eCASE Investigations

User Manual

v5.15.0

July 2024

eCASE Investigations v5.15.0 User Manual

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Contents

Using This Manual

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

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

Acronyms

All acronyms used in this document are defined in the following table:

Acronym	Definition
AD	Active Directory
AIGI	Assistant Inspector General for Investigations
ASAC	Assistant Special Agent in Charge
CO	Contract Officer
CS	Contract Specialist
DIG	Deputy Inspector General
IR	Internal Reviewer
O/IB	Outreach/Integrity Briefing
SAM	System of Award Management

Acronym	Definition
SAC	Special Agent in Charge
SSN	Social Security Number
SSO	Single Sign On

1 eCASE Investigations Introduction

Consult the subsections below for introductory information about how to use eCASE Investigations.

1.1 About eCASE Investigations

eCASE Investigations is a centralized system that eliminates physical case files and implements a completely paperless complaint process. It reduces the costs associated with managing, storing, and destroying paper contract files. eCASE Investigations enforces internal security measures and maintains audit trails which track access to cases and attachments.

The purpose of this manual is to introduce you to the eCASE Investigations application, including all major functionalities and processes, to gain familiarity with the software and integrate it effectively into daily activities.

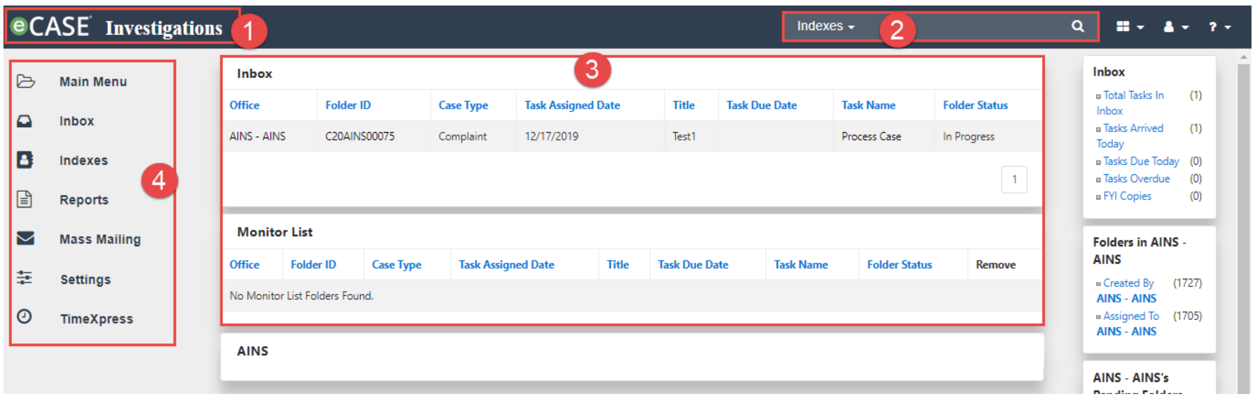
1.2 Sign In to eCASE Investigations

eCASE Investigations is accessible via web browser (Edge or Chrome). To access Investigations, navigate to the *eCASE Investigations* application via the link provided by your Administrator. Enter your **(1) Username** and **(2) Password** in the *Login* screen and click **(3) Sign In**.

(!!) Note: If your organization utilizes a PIV card, AD, or if LDAP authentication is enabled, you may not be required to enter your login credentials to sign in to eCASE Investigations.

1.3 Investigations Home Screen

The *Home Screen* and *Dashboard* appear after you log in to the application. The exact Home Screen configuration that appears is determined by your permissions level and Role, however most users see a page like the following example:

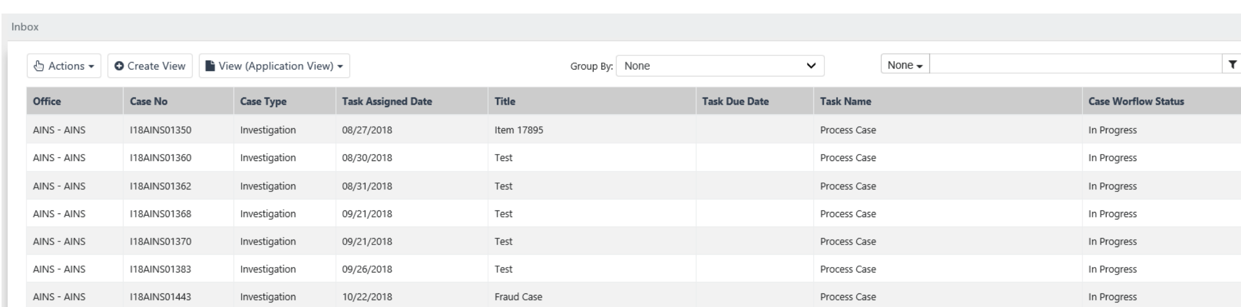


Within the *Home Screen*, you see the following eCASE features:

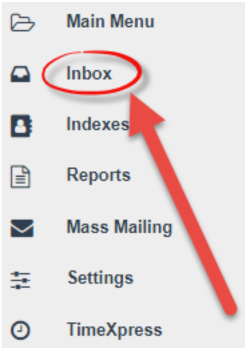
- **(1)** *Application Title*: Clicking the title returns you to the Home Screen from any page in the application.
- **(2)** *Quick Search bar*: You can perform quick searches on cases and documents using a word search or an attribute search.
- **(3)** *Dashboard*: Where you perform most of your work.
- **(4)** *Launch Pad*: Options to create new cases, search cases, view your inbox, manage and create indexes, generate reports, and application administration.

1.3.1 Inbox

The *Inbox* displays the list of tasks currently assigned to you. Additionally, it displays the case number, case type, office, task assigned date, task due date, task name, and case status.



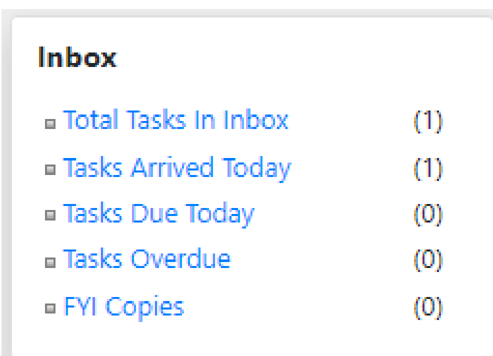
(!!) Note: You can also access the Inbox by selecting Inbox within the Launch Pad.



1.3.2 Inbox Widget

The *Inbox* widget displays a short breakdown of user-specific task information. Preconfigured categories include the total tasks in inbox, tasks arrived today, tasks due today, tasks overdue, tasks in office queue, and FYI copies.

(!!) Note: Hotline staff do not have access to this widget.



1.3.3 Office and Pending Folders

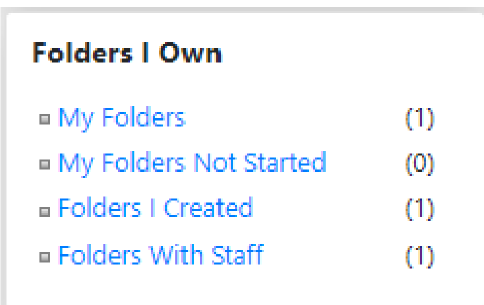
The *Office* widget displays the total tasks created by your office and cases that are assigned to your office. The *Pending Folders by Office* widget stores cases that are pending and have not yet been opened.

(!!) Note: Hotline staff do not have access to the Office and Pending Folders widgets.

1.3.4 Folders I Own Widget

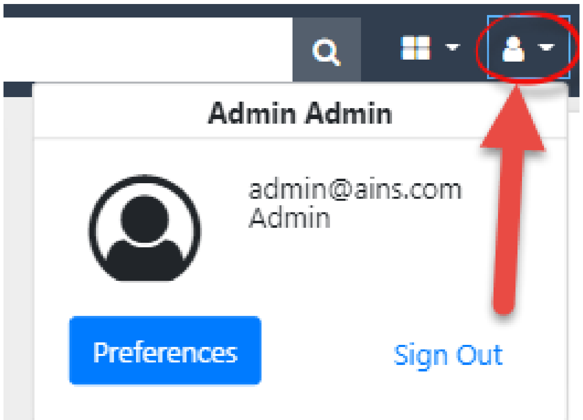
The *Folders I Own* widget displays your assigned cases, cases created by you but not yet started, cases that you created, and cases with staff.

(!!) Note: Hotline staff do not have access to the Folders I Own widget.



1.4 User Profile

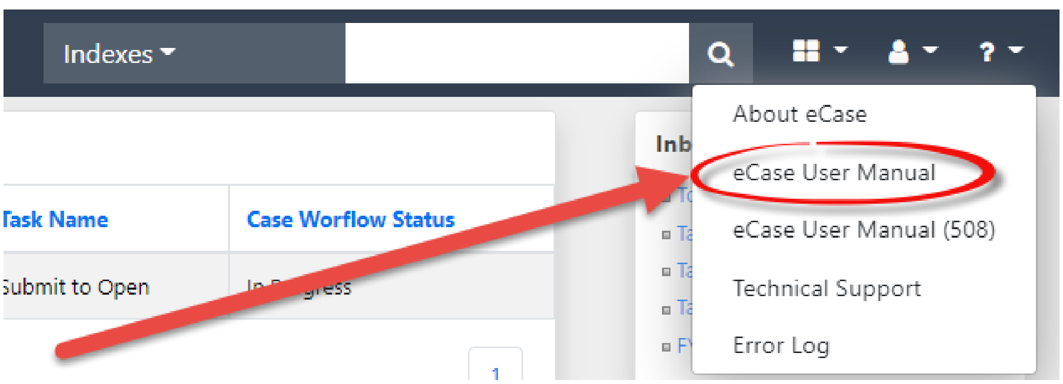
Your *User Profile* allows you to customize preferences or sign out of eCASE. The *Preferences* menu allows users to manage their favorites, change passwords, and perform limited user customization. You can access your user profile from the Navigation bar. After clicking your user profile, the menu expands to show the *Preferences* and *Sign Out* options as shown below:



Click the buttons under your user profile to navigate directly to that user profile feature:

- **Preferences**: Manage user preferences, including general preferences, manage favorites, folder options, out of office assistant, Home Screen widgets, and password management.
- **Sign Out**: You can click this to Sign out of eCASE.

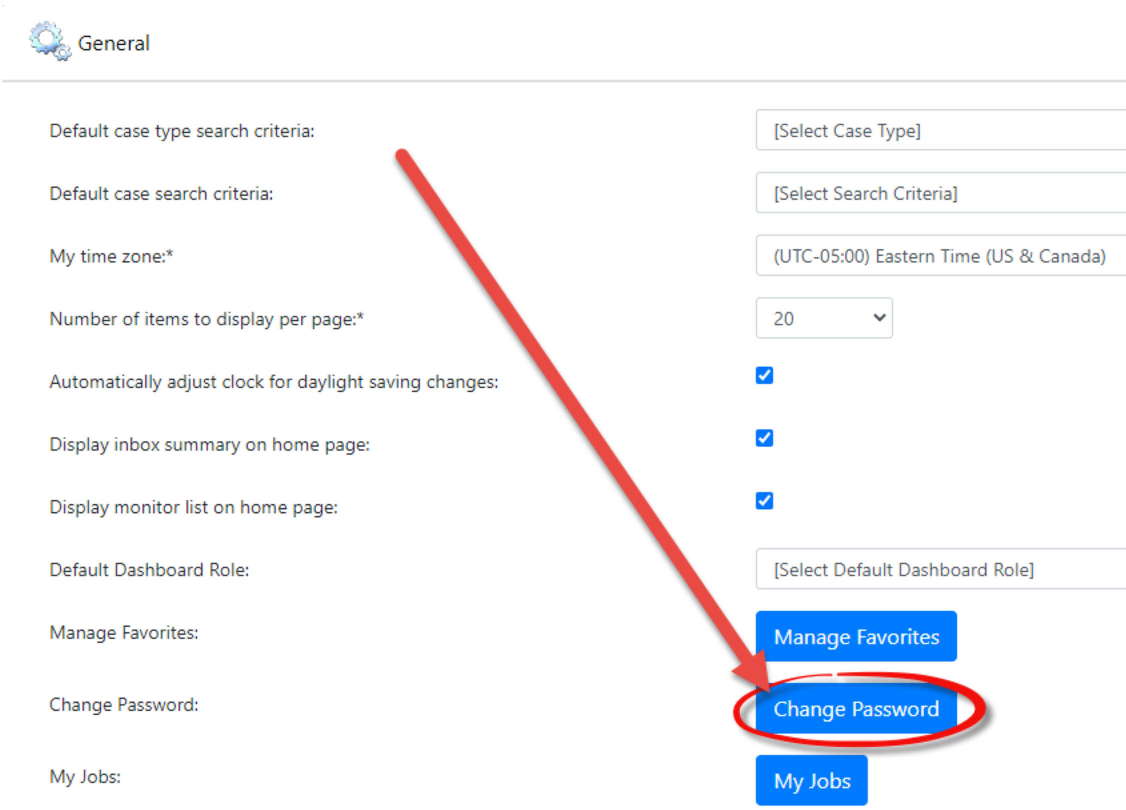
(!!) Note: For instructions on how to manage your Preferences, consult the eCASE User Manual, available within the Help menu:



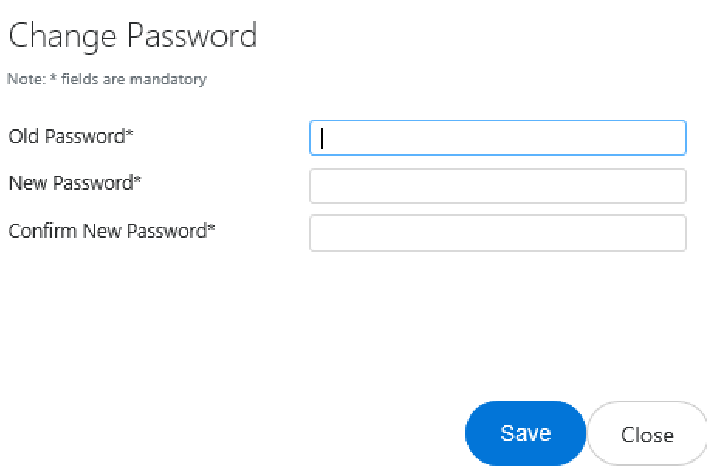
1.4.1 Change Password

You can change your eCASE password at any time via the *Preferences* page. To change your password:

1. Click your user profile from the *Navigation* bar, and select **Preferences**. The *Preferences* page appears.
2. Click **General** to expand the User Preference Options in this menu.



3. Click **Change Password**. The *Change Password* pop-up window appears.



4. Enter the **current password** in the *Old Password* field.
5. Enter the **new password** in the *New Password* field and in the *Confirm New Password* field.

(!!) Note: The New Password value entered in these fields replaces the current password value.

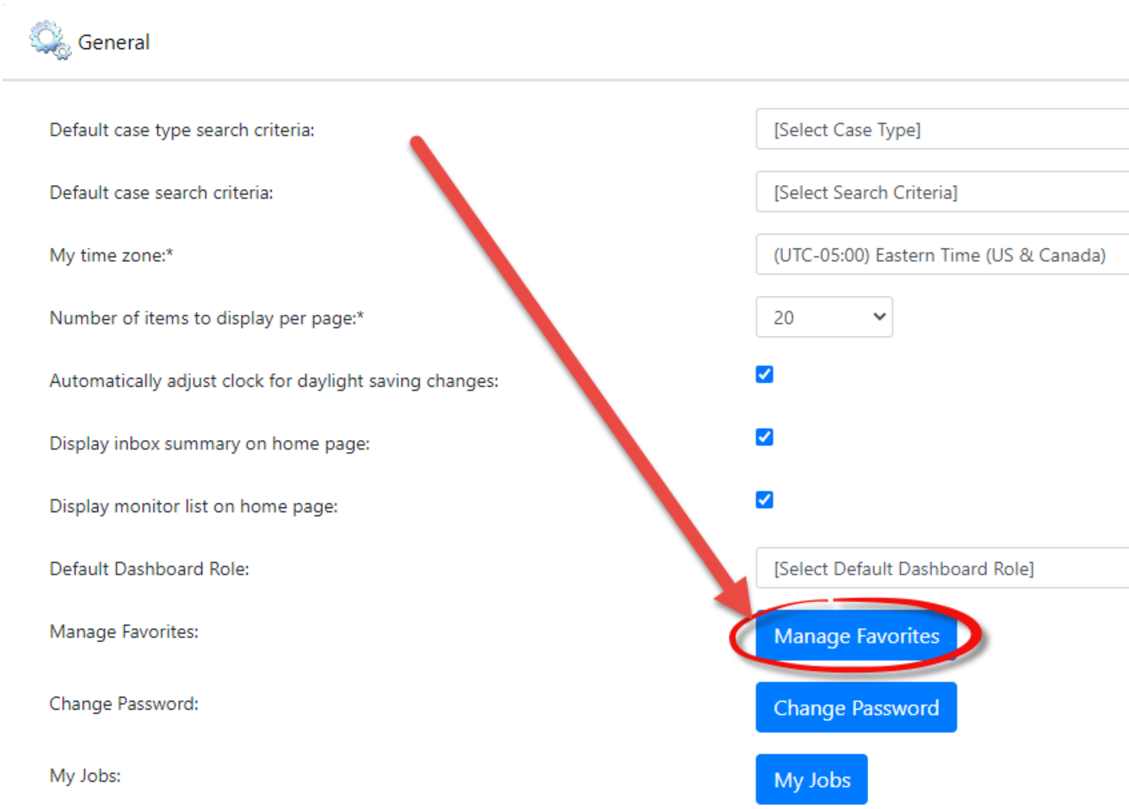
6. Click **Save** to save the new password, or **Close** to cancel and return to the *Preferences* screen.

1.4.2 Manage Favorites

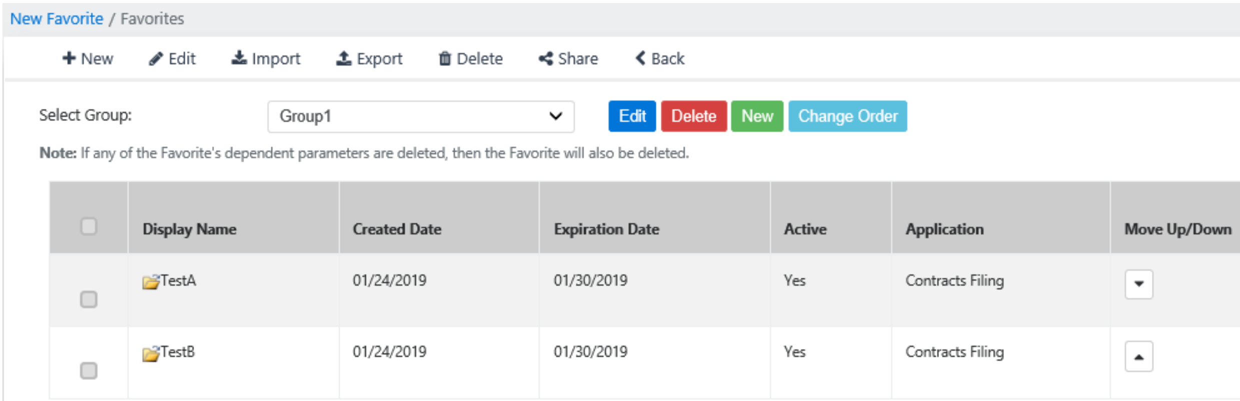
eCASE allows you to add specific Folders, Contacts, Search Criteria, Report Criteria, and Send Mail as links under *Manage Favorites* (as well as under the *My Action Items* field on the eCASE Home Screen), enabling quick access to frequently needed information.

(!!) Note: The My Action Items filed must be enabled in the dashboard.

To access the Favorites menu options, click your **User Profile** in the Navigation bar, then click **Preferences > General > Manage Favorites**.



The *Favorites* screen appears, as shown below:



The *Favorites* list features several attribute columns, which are described in the table below:

Column	Description
Select	Select a checkbox in this column to select a favorite and take further action.
Display Name	The chosen display name for the Favorite item.
Created Date	The date the Favorite was created.
Expiration Date	The expiration date set for the Favorite, if applicable.
Active	This column indicates if the Favorite item is currently active.
Application	The favorite’s associated application type.
Move Up/Down	Click the buttons in this column to rearrange the order in which the favorites appear.

Additionally, actions are available on this page as described below:

Action	Button	Description
Add New Favorite	+ New	Create a new Favorite item to add to the list.
Edit	Edit	Edit the selected Favorite.
Import	Import	Import a Favorite XML file into eCASE.
Export	Export	Export Favorite(s) as an XML file.
Delete	Delete	Delete the selected Favorite from the list.
Share	Share	Share the selected Favorite with another user.
Back	Back	Return to the previous screen.
Select Group	Select Group:	Using the drop-down list, you can select a Favorite group to display only the favorite items associated with that Favorite group. This section also allows you to **Edit**, **Delete**, and create **New** Favorite groups, using the adjacent buttons

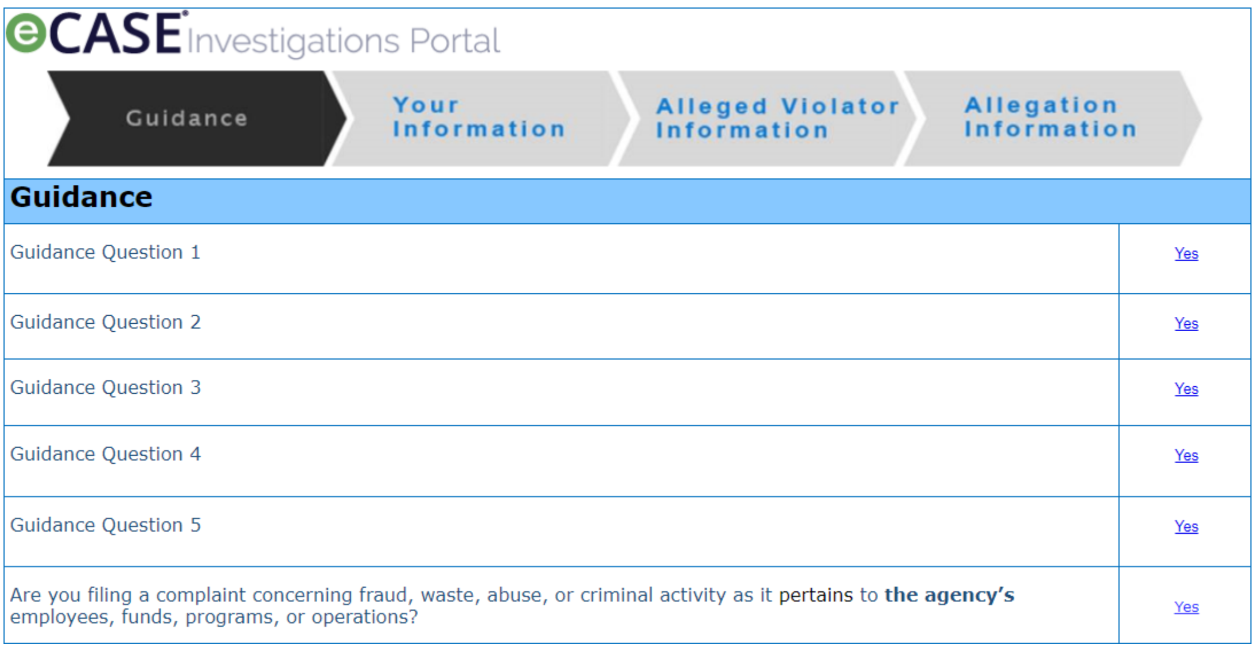
2 eCASE Investigations Lifecycle

The eCASE Investigations lifecycle typically begins with a complaint. A Complaint case can be filed by hotline users from within the Investigation Portal or created by OIG Complaint Intake Staff directly within eCASE itself. The following sections detail the lifecycle of a case, from complaint creation to completion or conversion to another case type.

2.1 eCASE Investigation Portal

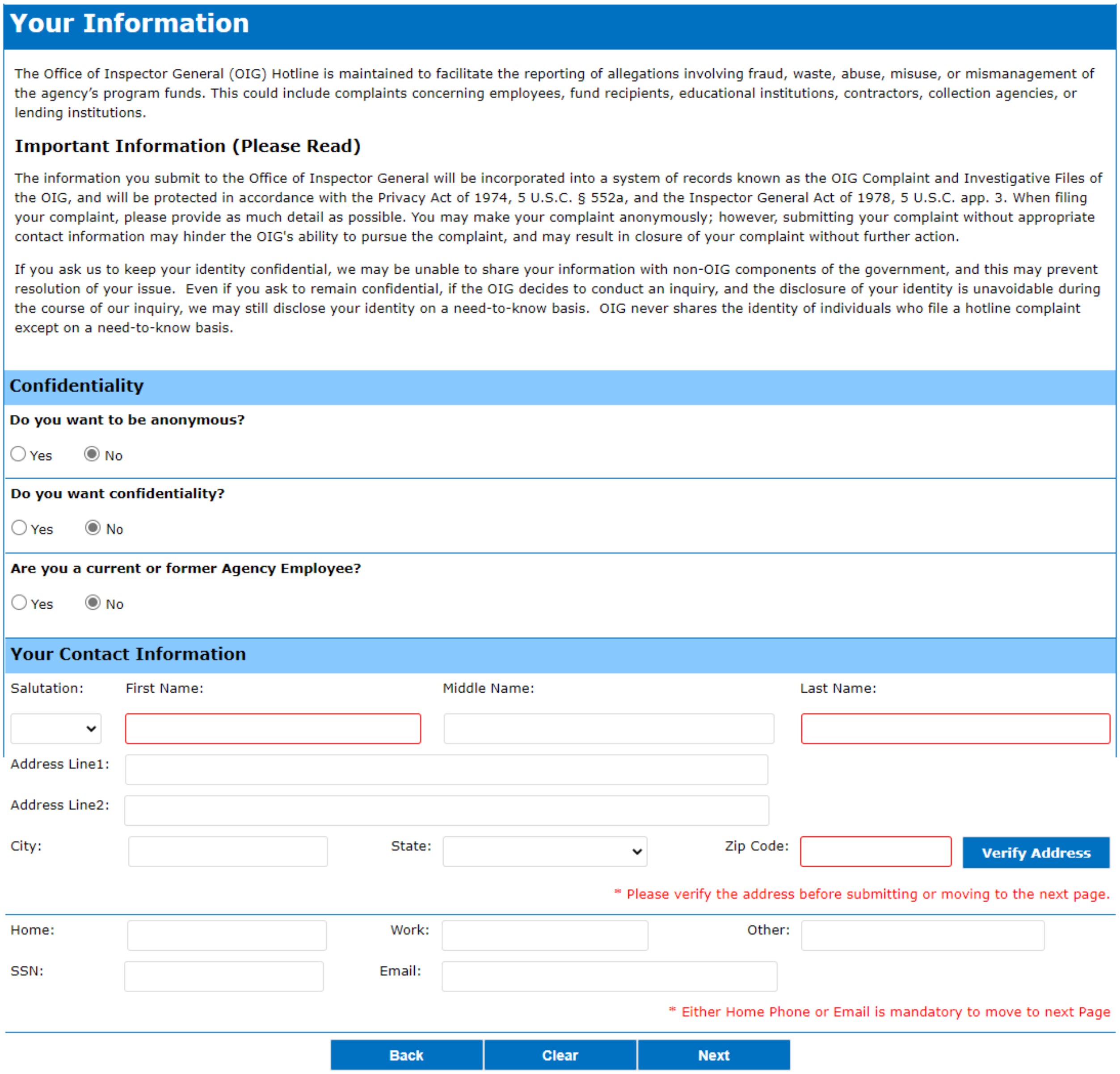
The eCASE Investigation portal is used to ingest submitted complaints from public users. If complaints are submitted via the portal, then the subsequent cases are available for OIG staff to open and process in eCASE Investigations.

To submit a complaint via the portal, users must complete the captcha and click **Submit**. After passing the captcha, portal users see the following window:



After reading the guidance material, if users are submitting a complaint based on the last question's parameters, they must click **Yes** to progress to the *Your Information* page. Users must answer the confidentiality questions and complete the contact information prior to proceeding to the next window.

(!!) Note: eCASE secures all contact information fields if the user answers Yes to the Do you want to be anonymous question.



Your Information

The Office of Inspector General (OIG) Hotline is maintained to facilitate the reporting of allegations involving fraud, waste, abuse, misuse, or mismanagement of the agency's program funds. This could include complaints concerning employees, fund recipients, educational institutions, contractors, collection agencies, or lending institutions.

Important Information (Please Read)

The information you submit to the Office of Inspector General will be incorporated into a system of records known as the OIG Complaint and Investigative Files of the OIG, and will be protected in accordance with the Privacy Act of 1974, 5 U.S.C. § 552a, and the Inspector General Act of 1978, 5 U.S.C. app. 3. When filing your complaint, please provide as much detail as possible. You may make your complaint anonymously; however, submitting your complaint without appropriate contact information may hinder the OIG's ability to pursue the complaint, and may result in closure of your complaint without further action.

If you ask us to keep your identity confidential, we may be unable to share your information with non-OIG components of the government, and this may prevent resolution of your issue. Even if you ask to remain confidential, if the OIG decides to conduct an inquiry, and the disclosure of your identity is unavoidable during the course of our inquiry, we may still disclose your identity on a need-to-know basis. OIG never shares the identity of individuals who file a hotline complaint except on a need-to-know basis.

Confidentiality

Do you want to be anonymous?

Yes No

Do you want confidentiality?

Yes No

Are you a current or former Agency Employee?

Yes No

Your Contact Information

Salutation: First Name: Middle Name: Last Name:

Address Line1:

Address Line2:

City: State: Zip Code: Verify Address

* Please verify the address before submitting or moving to the next page.

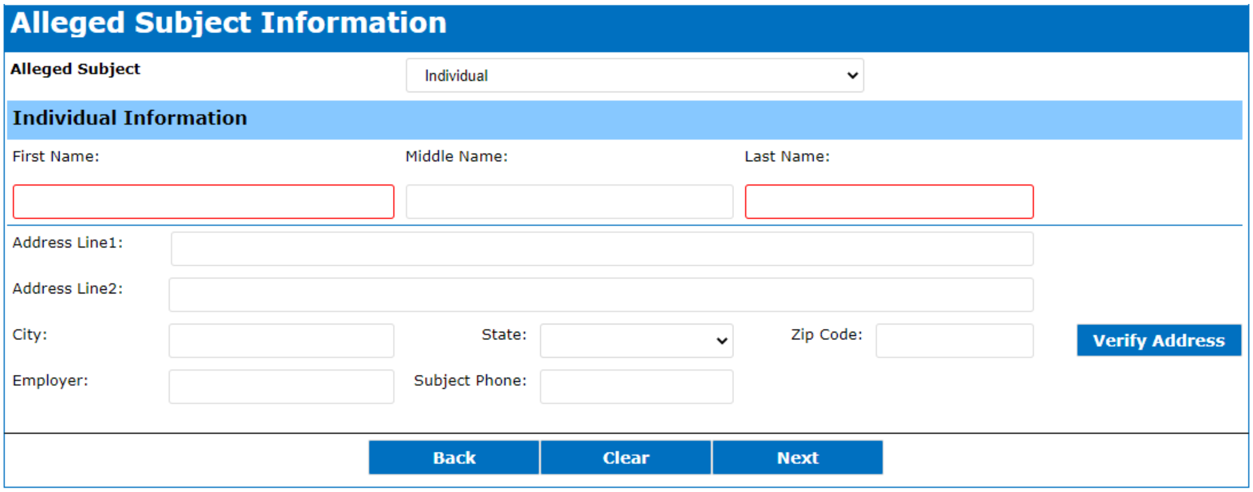
Home: Work: Other:

SSN: Email:

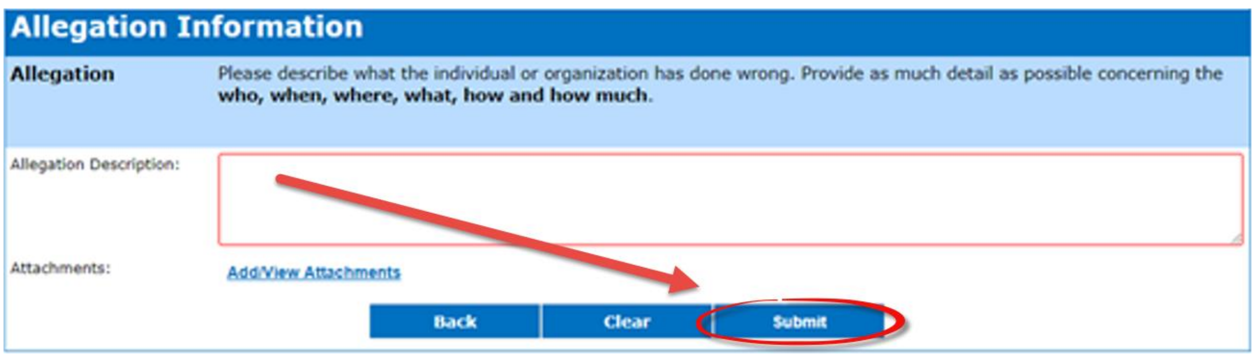
* Either Home Phone or Email is mandatory to move to next Page

Back Clear Next

After completing the contact information, click **Next.** The *Alleged Subject Information* page appears, and the user must complete all required fields. Users are required to select an **Entity Type (Alleged Subject)**, enter a **name**, and if possible, provide/verify an **address**. After providing the required information, click **Next.**

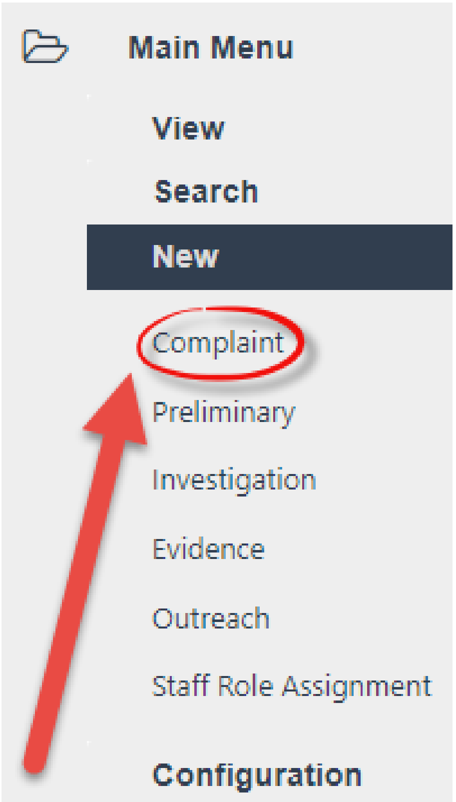


The *Allegation Information* page appears, and the user must enter a description of the allegation within the *Allegation Description* field. Users can attach and submit supporting documents by clicking the **Add/View Attachments** button. After sufficient content has been added, click **Submit**. A confirmation page appears, with the option to return to the agency's website using the **Home** button. The information is submitted to eCASE Investigations and prompts Complaint Intake Staff members to process the complaint.



2.2 Complaint Case

Complaint cases are the first case type in the Investigations lifecycle. These can be submitted to eCASE via the portal. Alternatively, they can be created by eCASE agents/users by clicking **New** from the launch pad and selecting **Complaint**.



After the complaint moves through the complaint workflow, it can be converted to a Preliminary Case, converted to an Investigation, or closed.

2.2.1 Initialize a Complaint

After a complaint has been initialized, you must complete the *Case Details* form. After the required information has been completed, the case can be saved, and the Complaint can begin it workflow. To initialize a complaint:

1. Within the Launch Pad, click **Main Menu**, then click the **New** drop-down list and select **Complaint**. The *New Case* window appears.

Note: All fields marked with * are mandatory.

Case Details

Complaint	
Title*:	
Initial Allegation Synopsis*:	
Case Summary:	
Date Initiated:	05/18/2023
Date Allegation Received*:	mm/dd/yyyy
Case Attributes:	☐ Sensitive ☐ Grand Jury Case ☐ Qui-Tam ☐ Whistleblower Initiated ☐ Zero ☐ Hotline ☐ IG Priority Case ☐ Permanent Retention ☐ Fugitive ☐ NIBRS ☐ Project ☐ Case Attribute 5 ☐ Extended Case Attribute 6
Initiated from Outreach*:	
State(s):	
Agency*:	
Other Agency:	
Impacted Programs*:	
Division:	
City of that Agency:	
County of that Agency:	
External Complaint Tracking Number:	
Complaint Method*:	
Investigative Case Type*:	
Focus Areas*:	
Complaint Source:	
Allegation Types:	
Status:	Submit to Open

Case Opening Details

Is an advice of investigation needed?			
Priority Justification:			
Case Priority:			
Primary Alleged Violation			
Secondary Alleged Violation			
Location Of Offense: (Enter Zip Code, City & State will auto-populate)	Zip Code	City	State
	City AKA		

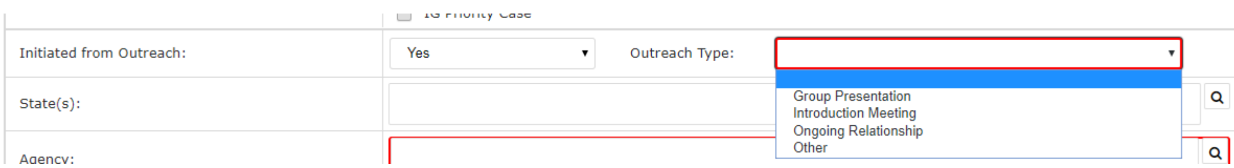
2. Enter a **title** for the case in the *Title* field.

(!!) Note: Required fields are indicated by a red border and/or an asterisk.

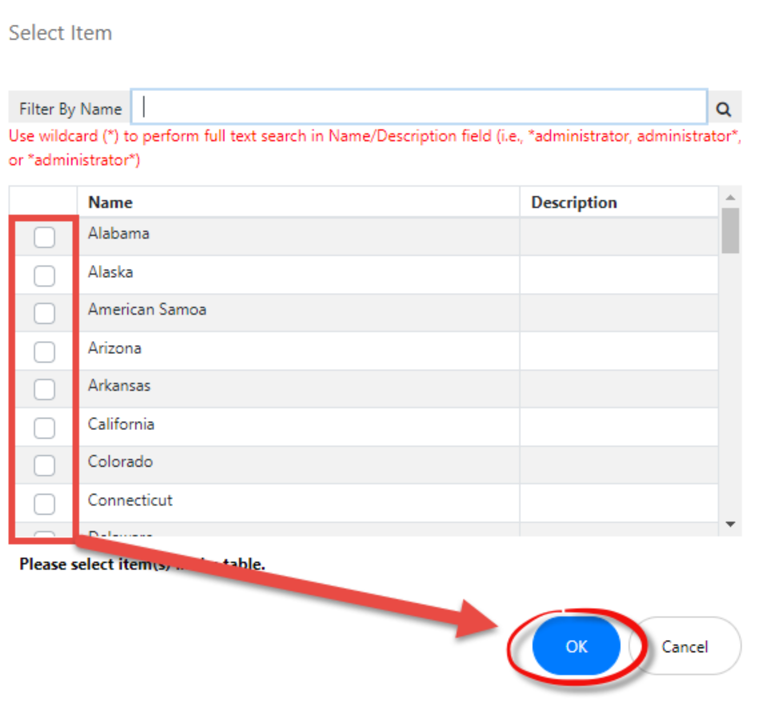
3. Enter the **allegation information** in the *Initial Allegation Synopsis* field.
4. Enter a **description** of the case in the *Case Summary* field.

(!!) Note: eCASE auto populates the Date Initiated and the Date Due fields based on configurations.

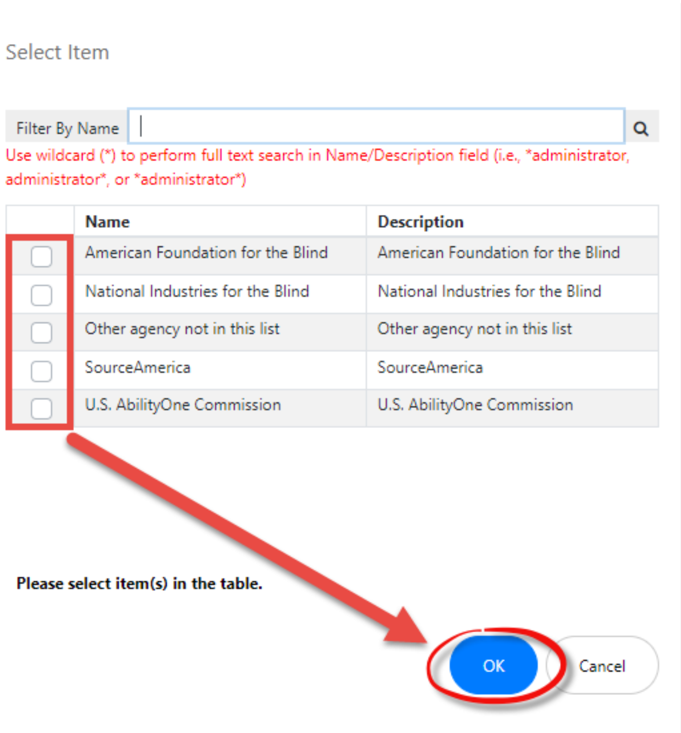
5. Select the **date the allegation was received** using the *Date Allegation Received* date picker.
6. Click the **checkbox(es)** next to whichever *Case Attributes* apply to the new case.
7. Select **Yes** or **No** from the *Initiated from Outreach* drop-down list.
    a. If **Yes** was selected in the field above, the *Outreach Type* drop-down list appears. Select a value from the list.



8. Click the **State(s)** lookup. The *Select Item* pop-up window appears.
9. Click the **checkbox** next to the state and click **OK**. The pop-up window closes and the selected value appears in the *State* field.



10. Clicking the **Agency** lookup. The *Select Item* pop-up window appears.
11. Click the **checkbox** next to the agency and then click **OK**.

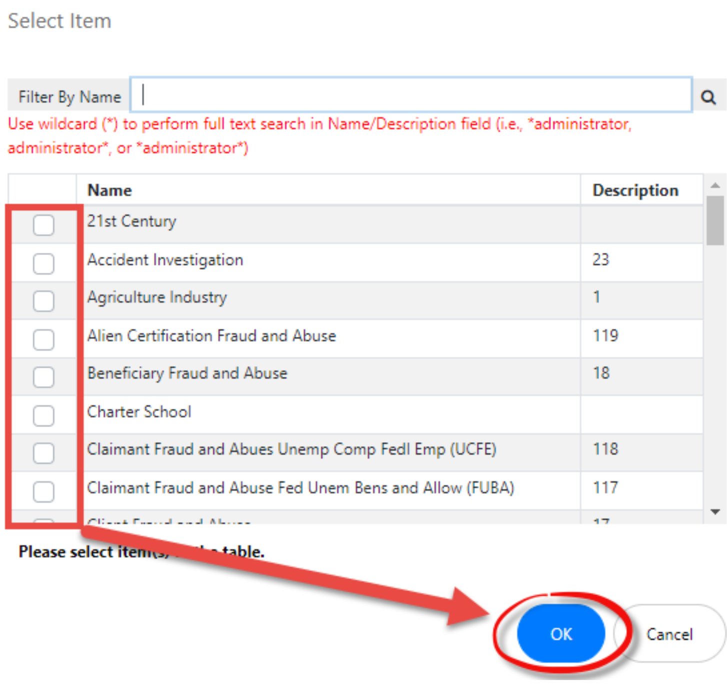


(!!) Note: When configured, if Other is selected for the Agency field, an additional free text field, Other Agency, appears for you to input the agency name.

12. The pop-up window closes and the selected value appears in the *Agency* field.
13. Select the **impacted programs** within the *Impacted Programs* field by clicking the **Select Agency** icon.

(!!) Note: The impacted programs listed here correspond with the selected agency, meaning the selections available in this field are dependent upon the selection made in the Agency field.

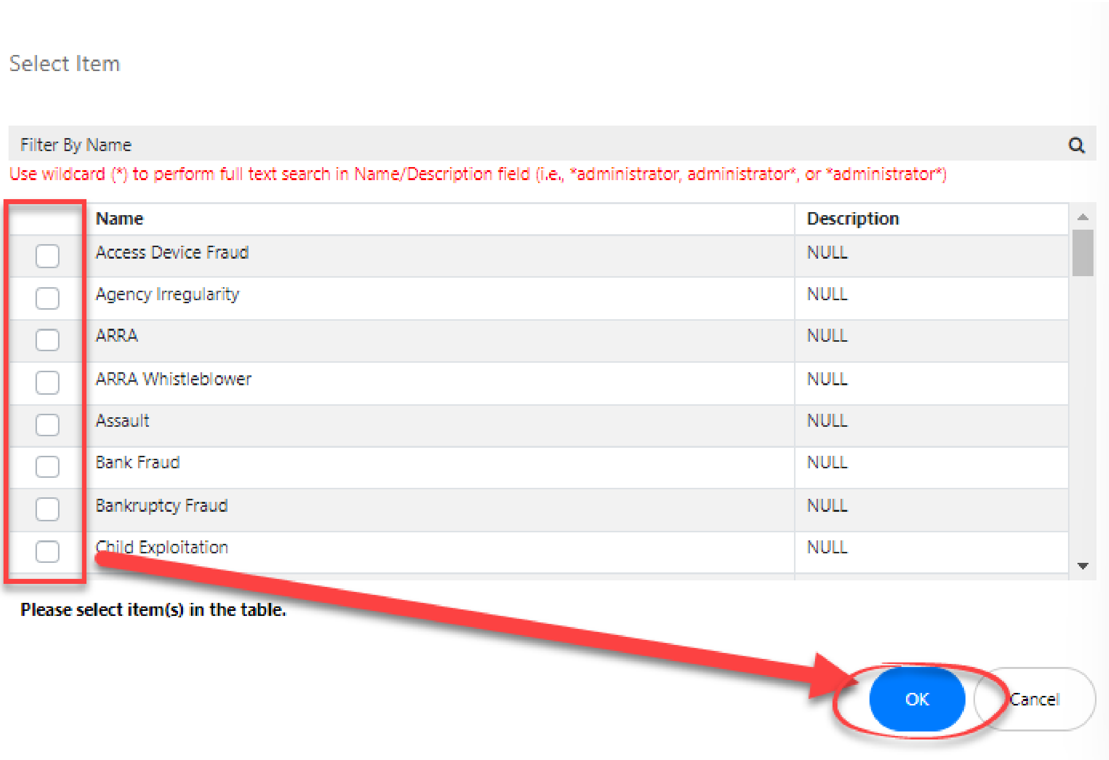
14. If configured, you will also be prompted to fill out the agency's **Division, City,** and **County.**
15. Fill out the **External Complaint Tracking Number.**
16. Select a **Complaint Method** from the *Complaint Method* drop-down list.
17. Select an **Investigative Case Type** from the *Investigative Case Type* drop-down list.
18. Click the **Focus Areas** lookup. The *Select Item* pop-up window appears.



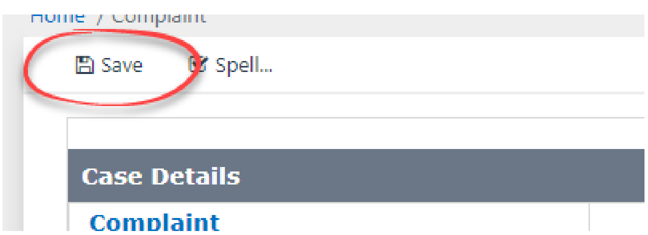
19. Click the **checkbox** next to the value, and then click **OK**. The pop-up window closes and the selected value appears in the field.

(!!) Note: You cannot alter the Status field. The status of the case changes automatically as the case moves through the workflow.

20. If prompted, select a **Complaint Source** from the *Complaint Source* drop-down list.
21. If prompted, use the **Allegation Types** lookup. The *Select Item* pop-up window appears.



22. Click the **checkbox** next to the value, and then click **OK**. The pop-up window closes and the selected value appears in the field.
23. Select a **priority number** from the *Case Priority* drop-down list. 1 is the highest priority.
24. Select the **alleged violation** from the *Primary Alleged Violation* drop-down list.
25. If required, select the Secondary Alleged Violation from the **Secondary Alleged Violation** drop-down list.
26. Click **Save** on the toolbar to save and create the complaint.

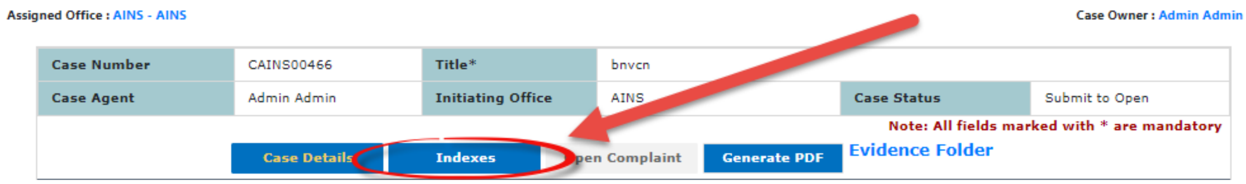


(!!) Note: There may be additional fields present on the Case Details form that are not outlined above or fields that are described, but not shown on the form. This is due to the case type configuration settings. Individual customer configuration may vary.

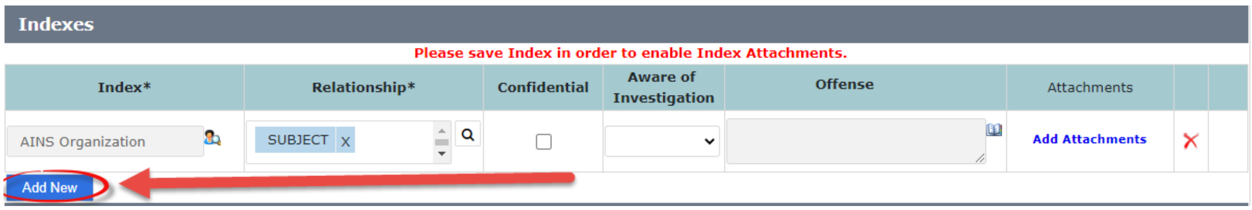
2.2.2 Add Indexes to a Complaint

To progress the case forward, the case must reach Open status. In order to reach *Open* status, at least one index must be added to the complaint. To add indexes to a complaint:

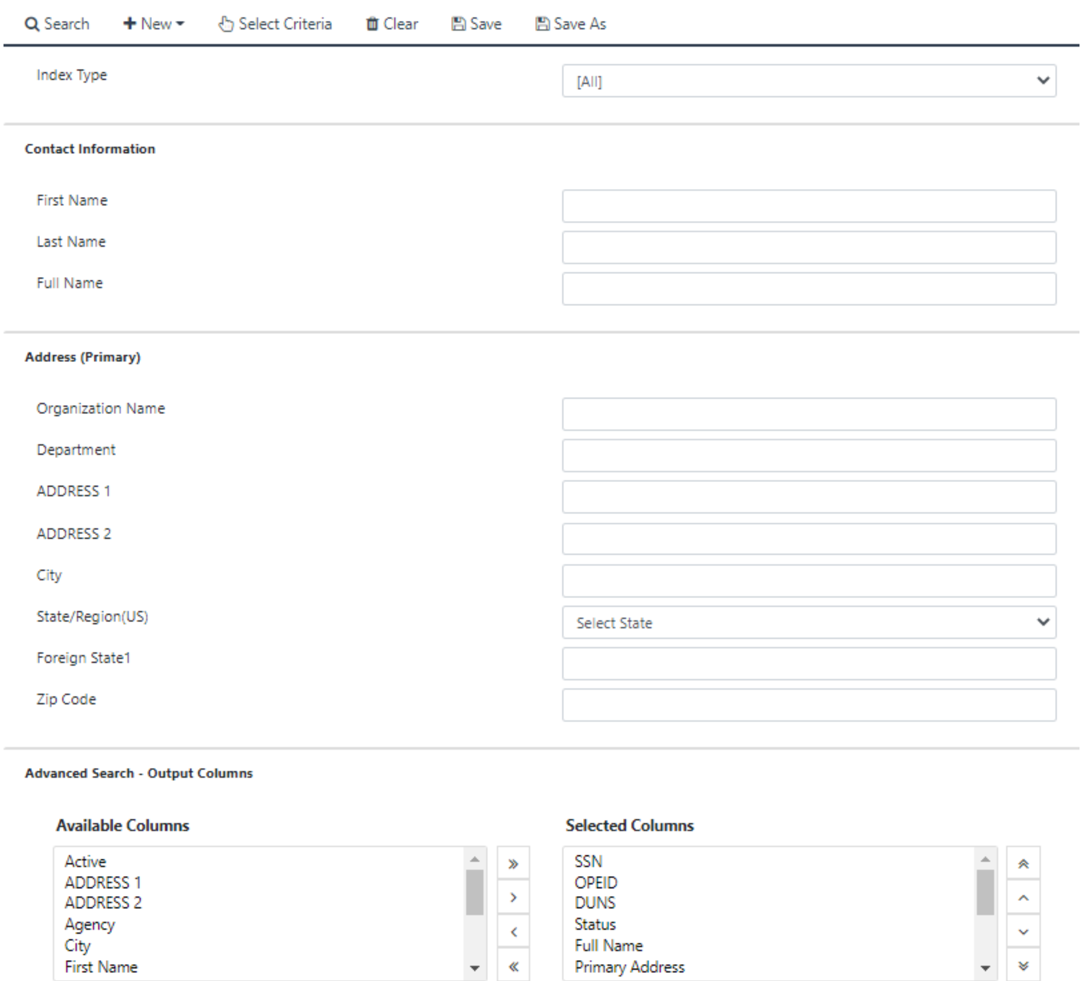
1. Open the Complaint folder, and within the Complaint tab, click **Indexes**.



2. If an index has already been added to the case file, it appears beneath the Indexes button. If no index has been added, or you want to add an additional index, click **Add New**.



3. The page refreshes to display a new blank row in the Indexes subsection. Click the **Index** lookup. The *Search for Index* pop-up window appears. Here, you can search for existing Indexes by performing a manual search or using existing Search Criteria. Alternatively, you also can create and select a new index by clicking the **New** button in the tool bar.

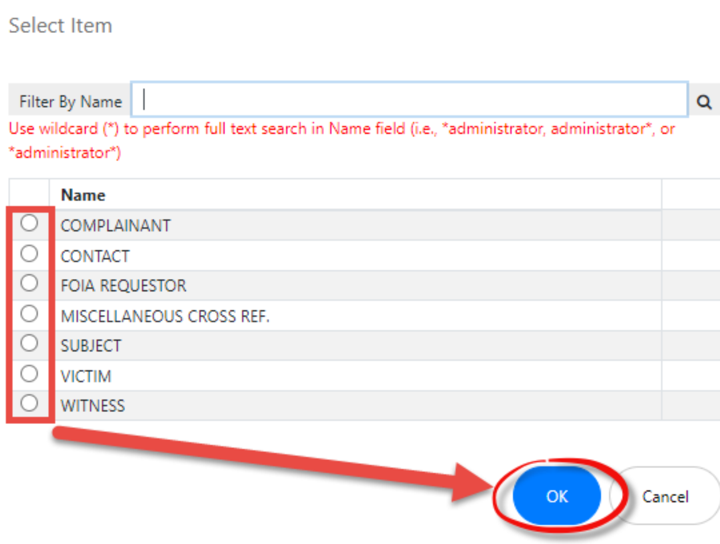


4. Enter any available index information into the search fields and/or click **Search**. The pop-up window refreshes to display a list of indexes that match the search criteria.

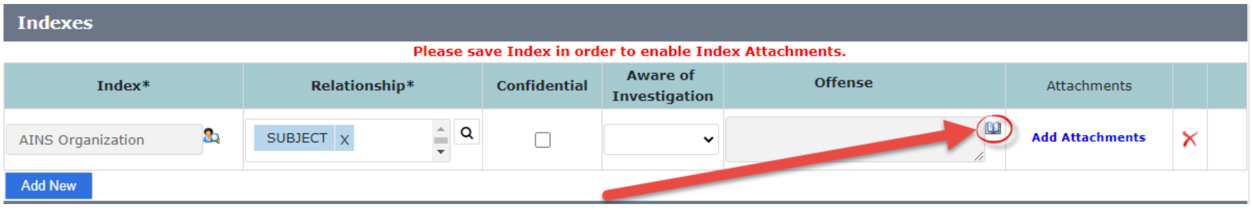
(!!) Note: Clicking Search without entering search criteria returns a list of all indexes in the application.

5. Select an index from the search results and click **Select**. The pop-up window closes and the selected Index appears in the field.

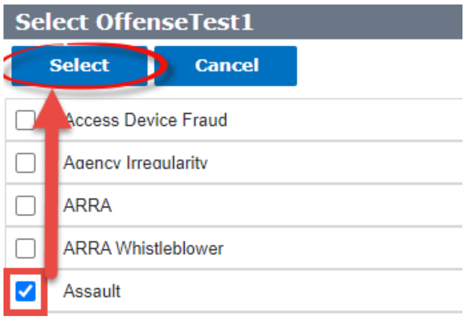
6. Click the **Relationship** lookup. A pop-up window appears.
7. Click the **radio button** next to the entry and click **OK**.



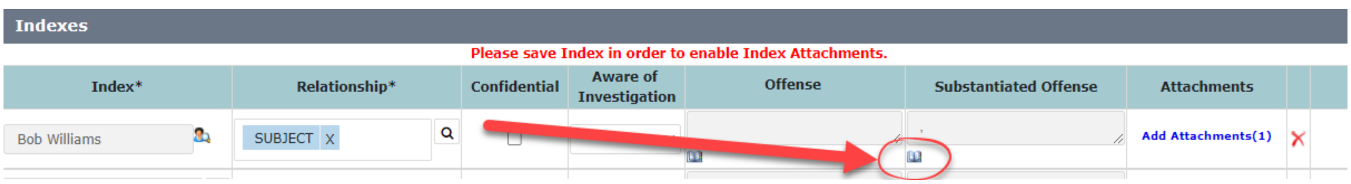
8. The pop-up window closes and the selection appears in the *Relationship* field.
9. If required, click the **Confidential** checkbox to designate the index as confidential.
10. Select a value from the **Aware of Investigation** drop-down list.
11. Click the **Offense** lookup. The page refreshes to display a list of Offenses.



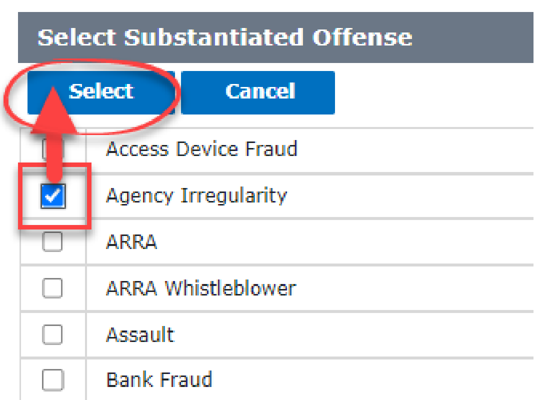
12. Click the **checkbox** next to the Offense, and then click **Select**.



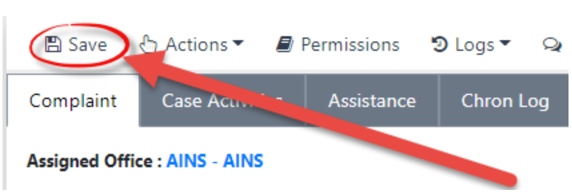
13. The page refreshes and the selected Offense appears in the *Offense* column.
14. Click the **Substantiated Offense** lookup. The page refreshes to display a list of Substantiated Offenses.



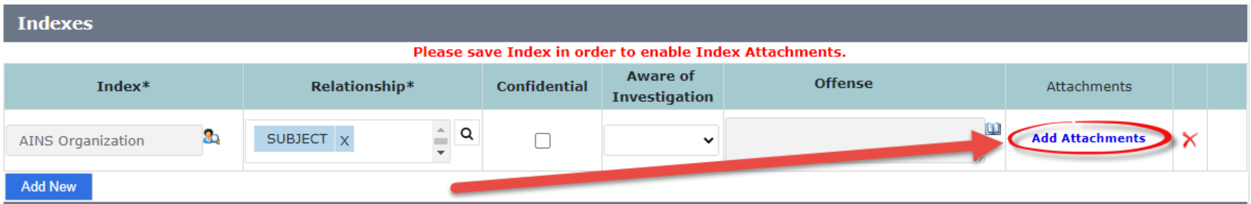
15. Click the **checkbox** next to the Substantiated Offense, then click **Select.**



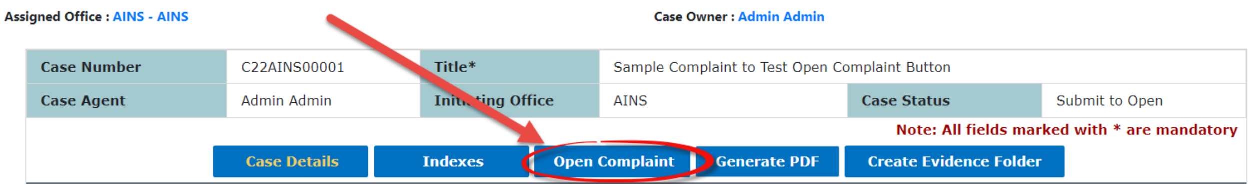
16. Click **Save** on the case folder toolbar to save the added Index(es) and the case folder.



17. A confirmation window appears. Click **OK**.
18. If necessary, click the **Add Attachments** button to add attachments to the Index.



19. After an index has been added to the case file, the complaint can move to *Open* status. Click the now enabled **Open Complaint** button to initiate the case opening.



20. A verification message appears with a message that is dependent upon your organizations approval process for opening a complaint. The complaint is either opened or assigned to a role/user to approve the opening. Click **OK**.

2.2.3 Open a Complaint from the Hotline Portal

Opening a complaint received from the Hotline Portal varies slightly from opening a complaint created within eCASE. The main differences are described below. Hotline intake users typically have a hotline dashboard that displays all the complaints submitted through the portal. The steps below outline opening a complaint from the portal.

1. From the Home Screen, open a hotline portal complaint from the Office/Inbox queue. It will have the status of *Submit to Open*.
2. The *Case Details* form appears. Complete the required fields and any additional information.
3. Click **Save** on the case folder tool bar.
4. Click **Indexes** to add/edit indexes related to the case.

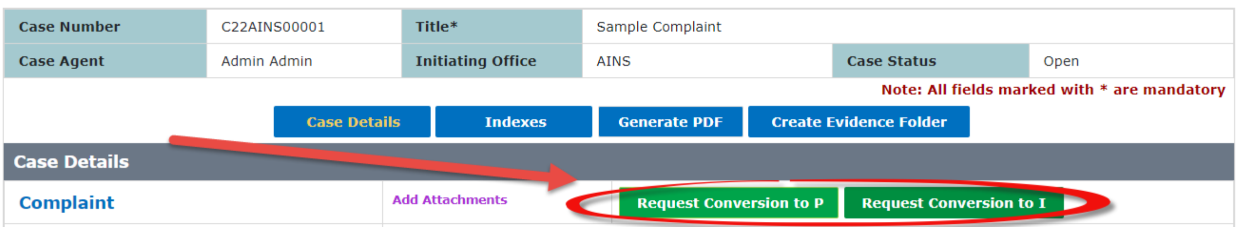
(!!) Note: Complaints submitted through the hotline portal will have auto-populated indexes based on the information provided within the portal. If provided, a Complainant index will be added using information from the Your Information page of the portal. A Subject index will be added using the information provided on the Alleged Subject Information page.

5. After all necessary information is added/updated, click the **Open Complaint** button.
6. A verification message appears with a message that depends on the approval process for opening a complaint. The complaint will either be opened or assigned to a role/user to approve the opening. Click **OK**.

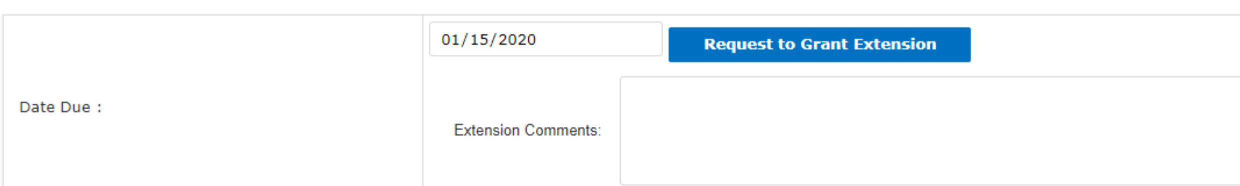
7. The complaint will either be opened or submitted to a role/user for approval, depending upon the organizational workflow.

2.2.4 Process a Complaint

After a complaint has reached *Open* status, staff can process the complaint by completing actions such as: delegating tasks to operation agents, adding attachments/documents, and assigning the case to another office, etc. Additionally, staff can continue the complaint/case lifecycle by converting the case to a Preliminary Investigation *(Request Conversion to P)*, converting a case to an Investigation Case *(Request Conversion to I)*, or closing the complaint case.



- The **Request Conversion to P (Preliminary)** button allows you to create a Preliminary case containing all the complaint information and documentation transferred from the initial complaint. The new Preliminary case maintains the same case number as the originating complaint; however, it also includes an additional identifying code. In the *Related Cases* tab, you can see the new Preliminary case number that is created.
- The **Request Conversion to I (Investigation)** button allows you to create an Investigation case containing all the complaint information and documentation transferred from the initial complaint. Investigation cases created in this fashion maintain the Complaint's Case Number, with an additional identifying number added. After clicking this button, you can navigate to the *Related Cases* tab, where you can see the new Investigation case number that is created.

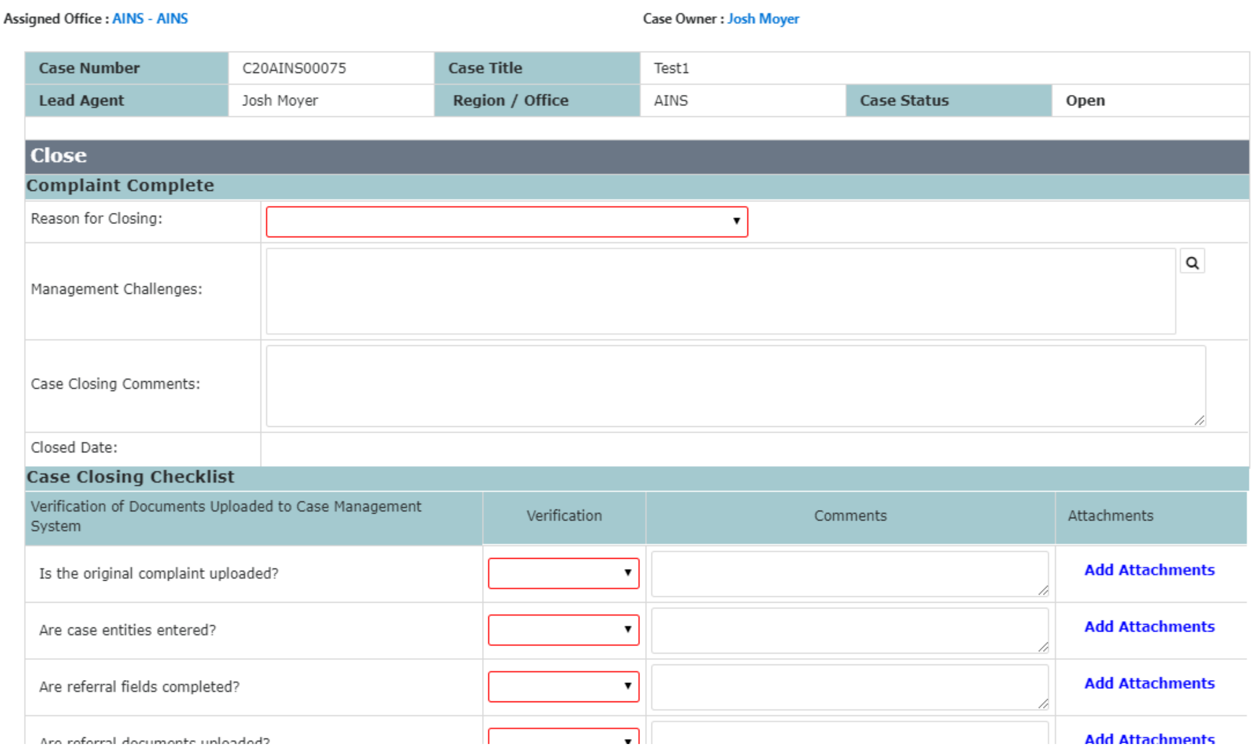


- The **Request to Grant Extension** button allows you to request an extension for a case. You must submit extension comments to request an extension.
- The **Assign to Office** button allows you to change the initial office of a complaint to another office.

2.2.5 Close a Complaint

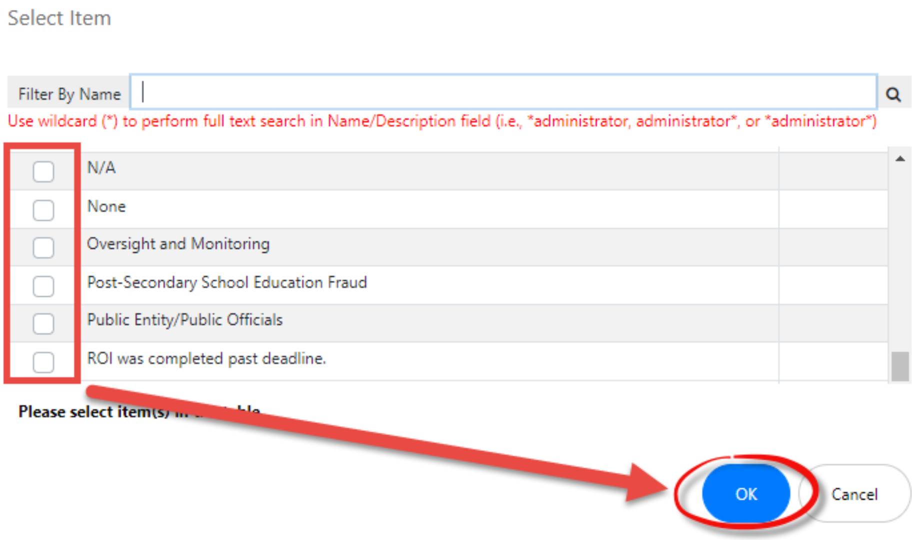
A Complaint case can be closed by completing the Case Closing Checklist (within the *Close* tab), or by converting the case into either a Preliminary case or an Investigation case.

A Complaint case folder features a *Close* tab, which is used track final closing information, the *Reasons for Closing*, or the *Case Closing Comments*. You enter their final disposition within the fields in this tab and the drop-down lists within this tab can be configured by administrators to meet the dispositions language of any organization. Additionally, you can also add comments expanding upon the reasoning behind the disposition.



To complete the *Close* tab of a complaint:

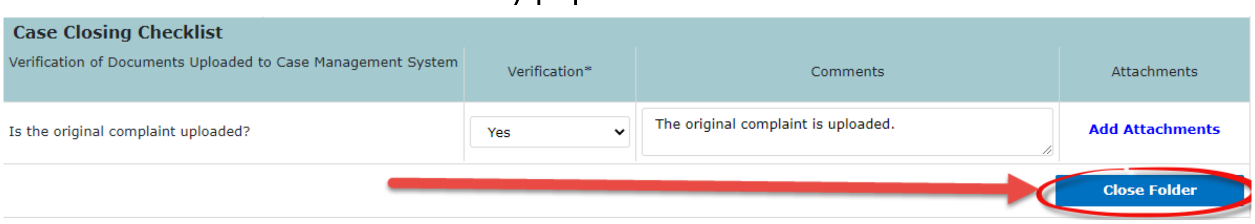
1. Open the Complaint case folder and navigate to the *Close* tab. Select a reason for closing from the **Reason for Closing** drop-down list.
2. Click the **Management Challenges** lookup. The *Select Item* pop up window appears.



3. Select one or more **Management Challenges** and click **OK**. The pop-up window closes and the selected Management Challenges appear in the field.
4. Enter any **case closing comments** in the Case Closing Comments field.
5. Answer the **Yes/No/NA** questions within the *Case Closing Checklist*.

(!!) Note: Attachments can be added to support the responses for each checklist question.

6. Click **Save** to save the case closing information.
7. Click **Close Folder** to close the complaint or start the approval process for closing. The *Closed Date* field is automatically populated.



8. The page refreshes, and the case is routed to the approvers responsible for approving case closure.

2.2.6 Convert a Complaint

Converting a Complaint case folder to either a Preliminary or Investigation case folder automatically closes the current complaint case. A conversion request is sent to an approver and all the case information (including attachments and logs) is transferred to the new case. On the Case Details form (*Complaint* tab), there are two buttons for the user/agent can click to start the conversion process to a Preliminary Investigation or Investigation: **Request Conversion to P** and **Request Conversion to I**. The complaint must be in an *Open* status to start the conversion.

2.3 Preliminary Case

A Preliminary case is created directly by authorized staff or by converting a complaint and is used to prepare for an Investigation case.

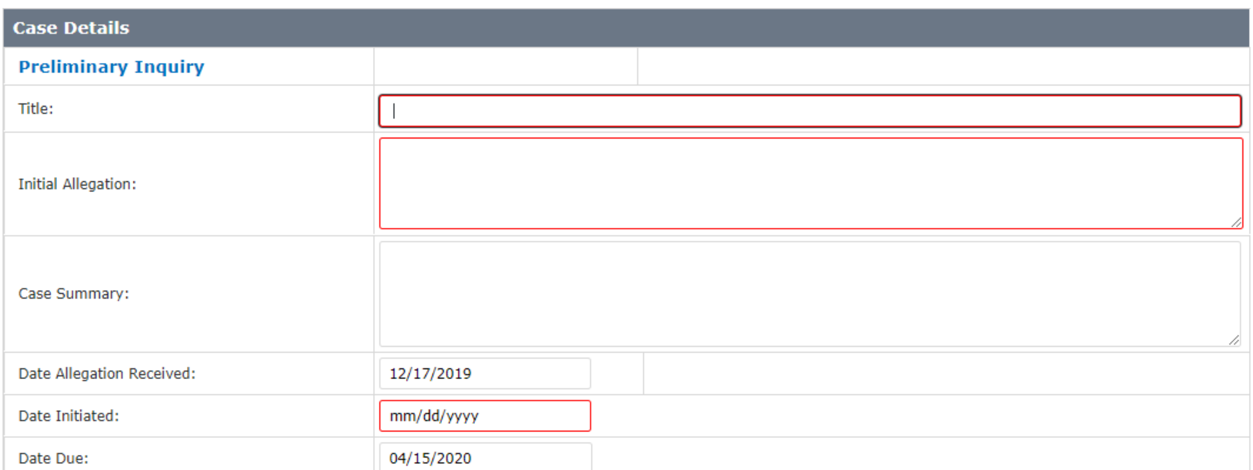
2.3.1 Initialize a Preliminary

Preliminary and Complaint Cases share many of the same fields, especially if the Preliminary case is converted from a complaint, which means the Preliminary case inherits all the information from the previous case.

2.3.2 Open a Preliminary

If the Preliminary case was created by conversion from a Complaint case, the Case Status is *Open*, and all data from the complaint is duplicated within the Preliminary case. To start a new Preliminary Case:

1. Within the Launch Pad, click **Main Menu,** then click the **New** drop-down list and select **Preliminary**. The page refreshes to display a new blank Preliminary case folder.
2. Enter a **title** for the case in the *Title* field.



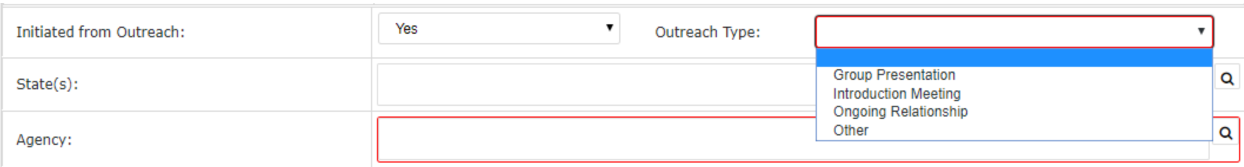
(!!) Note: Required fields are indicated by an asterisk (*).

3. Enter the **submitted allegation information** in the Initial Allegation Synopsis field.
4. Enter a **description** of the case in the Case Summary field.

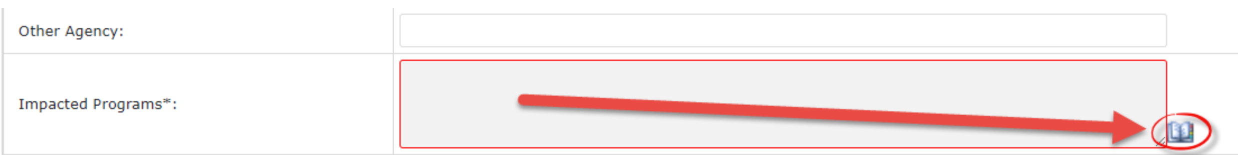
(!!) Note: eCASE auto populates the Date Initiated and the Date Due fields.

5. Select the **date the allegation was received** using the *Date Allegation Received* date picker.
6. Click the **checkbox(es)** next to whichever *Case Attributes* apply to the new case.
7. Select **Yes** or **No** from the *Initiated from Outreach* drop-down list.

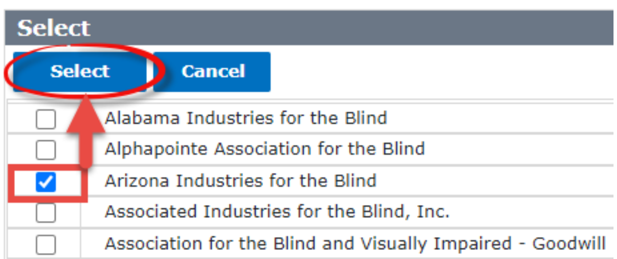
a. If **Yes** was selected, the *Outreach Type* drop-down list appears. Select a value from the drop-down list.



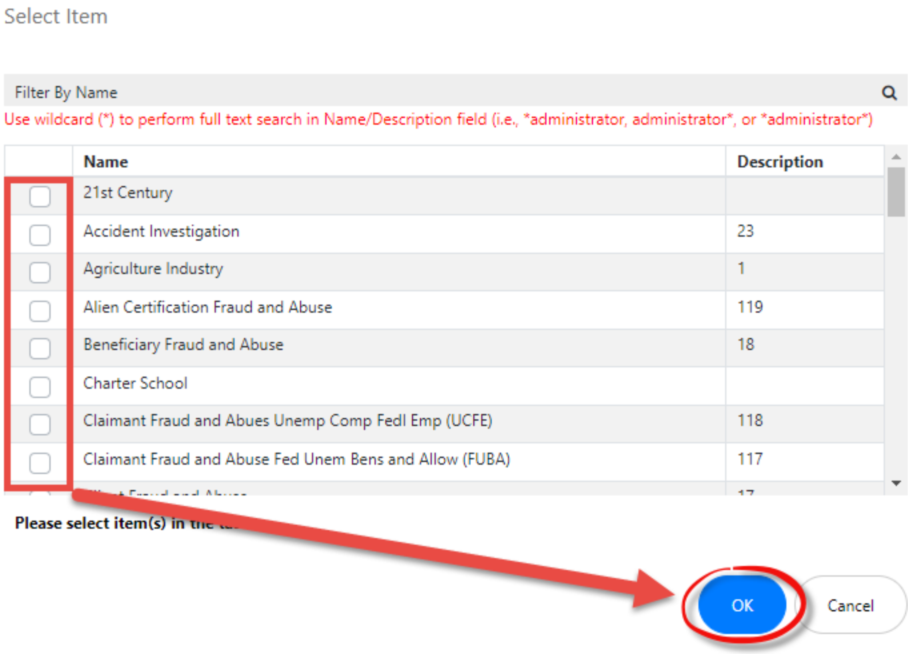
8. Click the **State(s)** lookup. The *Select Item* pop-up window appears.
9. Click the checkbox next to the value and click **OK**.
10. The pop-up window closes and the selected values appear in the *State(s)* field.
11. Click the **Agency** lookup. The *Select Item* pop-up window appears.
12. Click the checkbox next to the value and click **OK**.
13. The pop-up window closes and the selected values appear in the *Agency* field.
14. Click the **Impacted Programs** lookup.



15. The page refreshes to display a list of selectable values. Click the **checkboxes** next to the programs and click **Select**.



16. The page refreshes and the selected value(s) appears in the *Impacted Programs* field. Select a **complaint method** from the *Complaint Method* drop-down list.
17. Select a **case type** from the *Investigative Case Type* drop-down list.
18. Click the **Focus Areas** lookup. The *Select Item* pop-up window appears.
19. Click the checkbox next to the **Focus Area** and click **OK**.

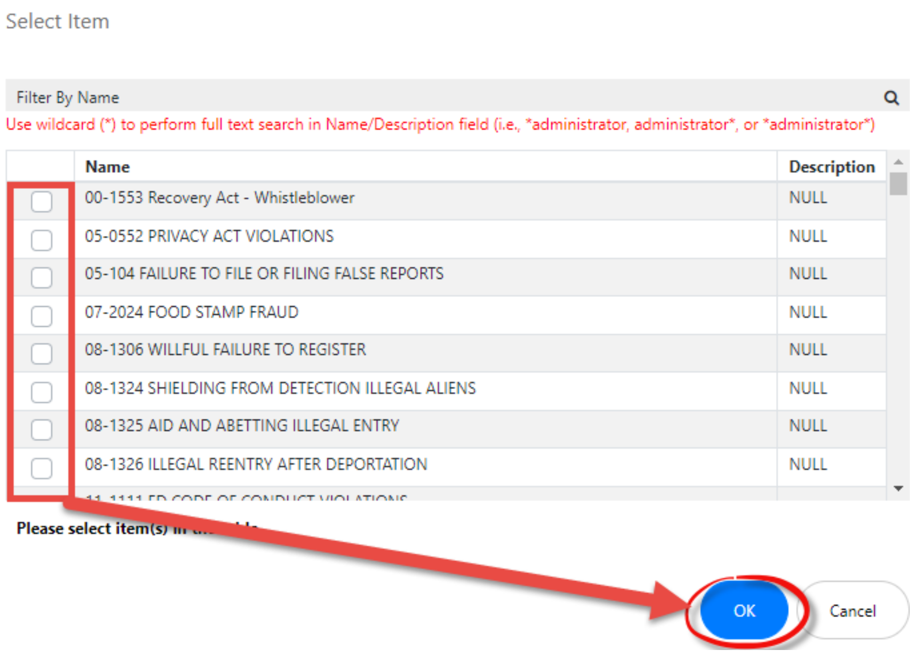


20. The pop-up window closes and the selected value appears in the *Focus Areas* field.
21. Select a **complaint source** from the *Complaint Source* drop-down list.

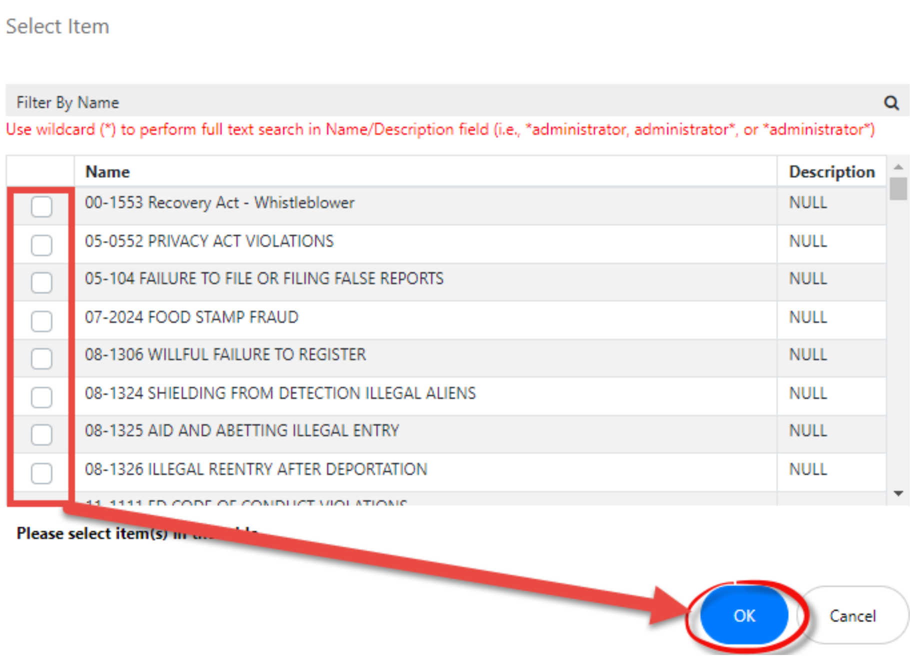
22. Select a **priority number** from the *Case Priority* drop-down list.

(!!) Note: When selecting a priority number, the number 1 is the highest priority.

23. Click the **Primary Alleged Violation** lookup. The *Select Item* pop-up window appears.
24. Click the **checkboxes** next to the value and click **OK**.



25. The pop-up window closes and the selected value appears in the field.
26. If necessary, click the **Secondary Alleged Violation** lookup. The *Select Item* pop-up window appears.
27. Click the **checkboxes** next to the value and click **OK**.



28. The pop-up window closes and the selected value appears in the field.
29. Click **Save** to create the Preliminary case.

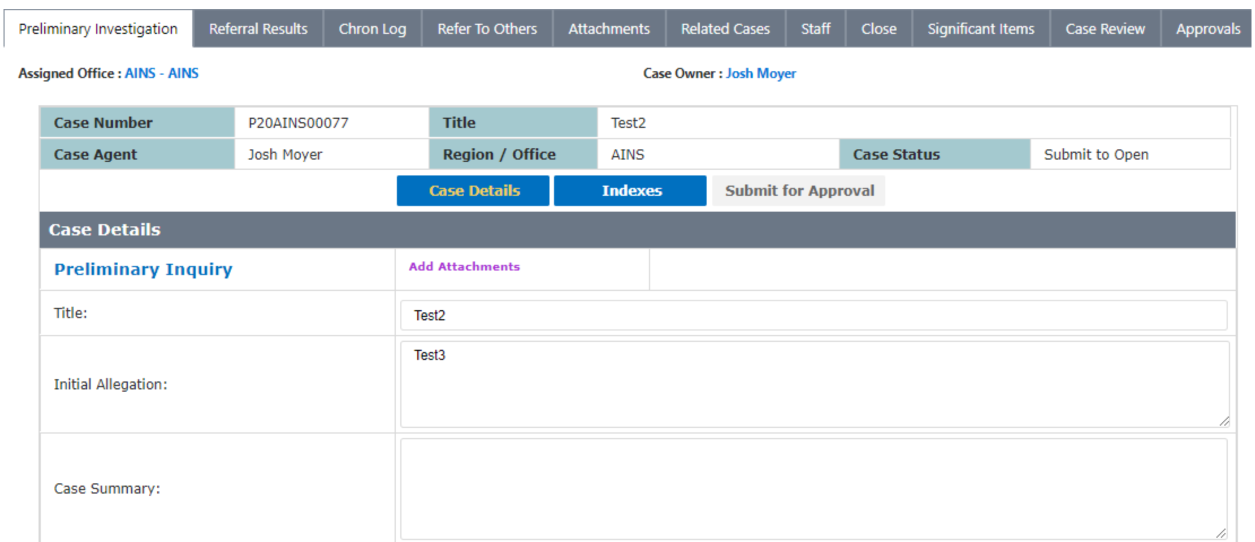
(!!) Note: There may be additional fields present on the Case Details form that are not outlined above or fields that are described above that are not shown on the form. Complete as many fields as possible prior to saving the case folder.

2.3.3 Process a Preliminary

Processing a Preliminary case is like processing a complaint. Many of the fields and tabs are the same, however, a Preliminary case may feature additional tabs that are not included in a Complaint case folder, such as *Case Review*.

2.3.3.1 Preliminary Investigation

The title of the case form is now *Preliminary Investigation*, and the case form no longer features the **Request Conversion to P** button. You can submit an Index to the case form in the same manner as adding an Index to a Complaint.

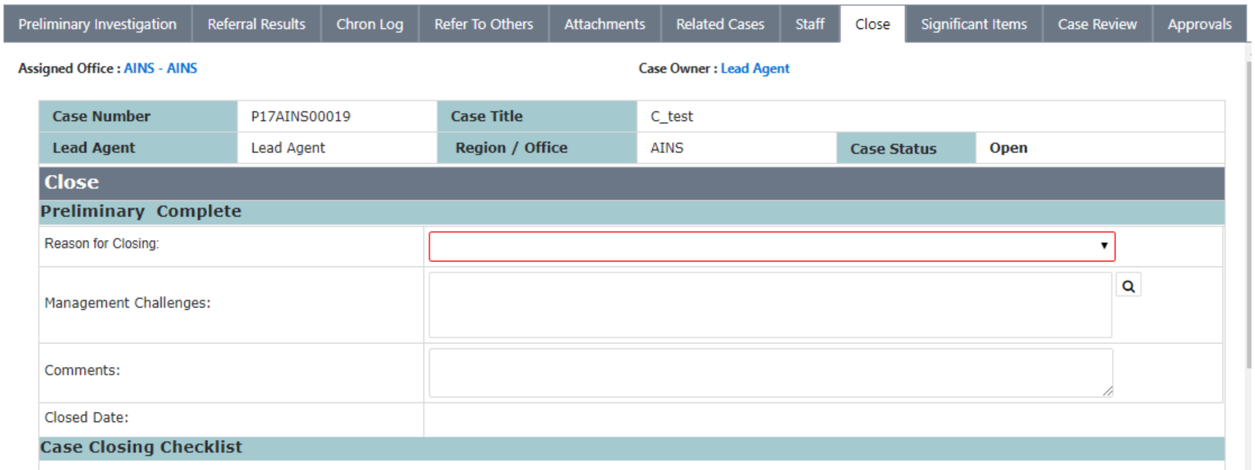


(!!) Note: A Preliminary case can only convert to an Investigation. It cannot be converted back to a Complaint.

2.3.4 Close a Preliminary

As mentioned above, a Preliminary case can be closed by submitting a request in the Close tab or by converting the case into an Investigation case.

The *Close* tab in a Preliminary case is like a Complaint, but it requires closing approval by default. Closing approval is configured by the Administrator and subject to organizational requirements. You must complete the *Case Closing Checklist* prior submitting the Close Request.



2.3.5 Convert a Preliminary

Converting a Preliminary case automatically closes the current case. A conversion request is sent to the approver and all the case information (including attachments and logs) is transferred to the new case. In the *Case Details* subsection (*Preliminary Investigation* tab), there is a button for the user/agent to start the conversion process to an investigation: **Request Conversion to I**. The preliminary investigation must be in an *Open* status to start the conversion.

2.4 Investigation Case

The Investigation case type is the final case type in the complaint lifecycle. Investigation cases can be processed and closed just like the other case types.

2.4.1 Initialize an Investigation

An Investigation case shares fields with the Preliminary and Complaint case types. If the case is converted from a Complaint or Preliminary case, it inherits all the information from the previous case. If the Investigation case is not converted from another case, you must complete the *Date Investigation Opened* field.

2.4.2 Open an Investigation

If the Investigation is converted from a Complaint or Preliminary case, the Case Status is *Open*, and all data from the previous case is duplicated within the Investigation case. New Investigation case folders can also be created using the Launch Pad. To create a new Investigation Case via the Launch Pad:

1. Click the **New** drop-down arrow within the launch pad, and select **Investigation**.

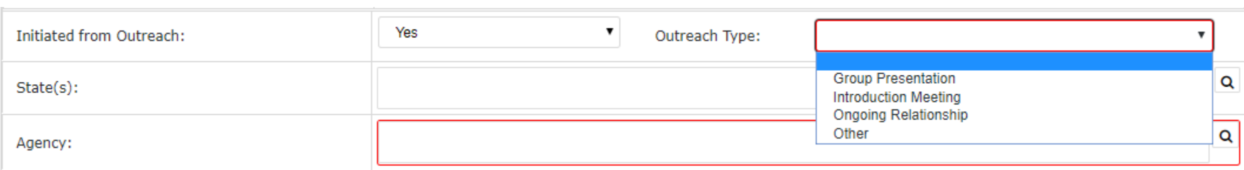
2. The page refreshes to display a new blank Investigation form. Enter a **title** for the Investigation in the *Title* field.

(!!) Note: Required fields are indicated by a red asterisk (*).

3. Enter the **submitted allegation information** in the *Initial Allegation Synopsis* field.
4. Enter a **description** of the case in the *Case Summary* field.

(!!) Note: eCASE auto populates the Date Initiated and the Date Due fields.

5. Select the **date the allegation was received** using the *Date Allegation Received* date picker.
6. Click the **checkbox(es)** adjacent to any *Case Attributes* which apply to the new case.
7. Select **Yes** or **No** from the *Initiated from Outreach* drop-down list.
    a. If **Yes** was selected, the page refreshes and the *Outreach Type* drop-down list appears. Select a value from the drop-down list.

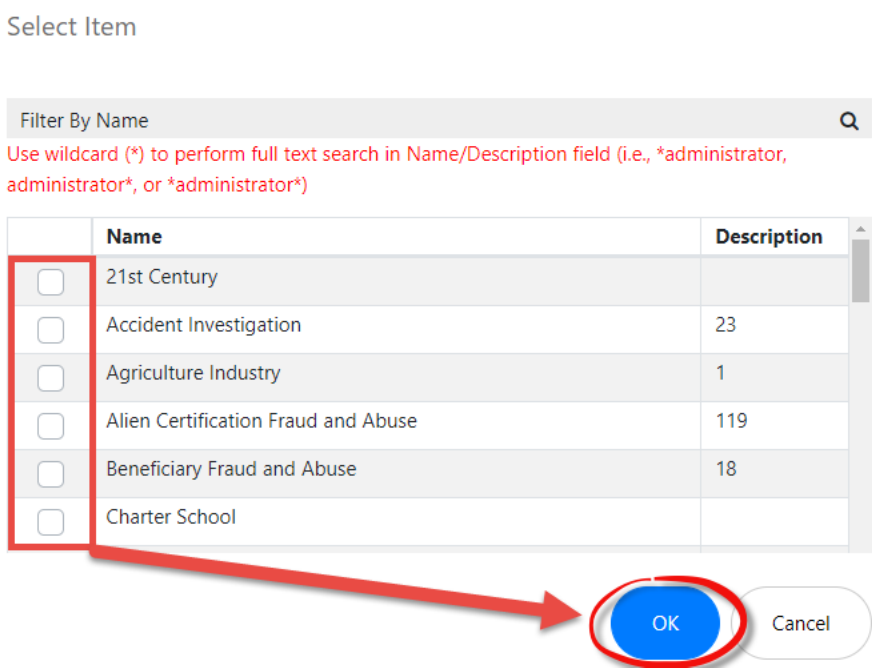


8. Click the **State(s)** lookup. The *Select Item* pop-up window appears.
9. Click the checkbox next to the value and click **OK**.
10. The pop-up window closes and the selected values appear in the *State(s)* field.
11. Click the **Agency** lookup. The *Select Item* pop-up window appears.
12. Click the checkbox next to the value and click **OK**.
13. The pop-up window closes and the selected values appear in the *Agency* field.
14. Click the **Impacted Programs** lookup.

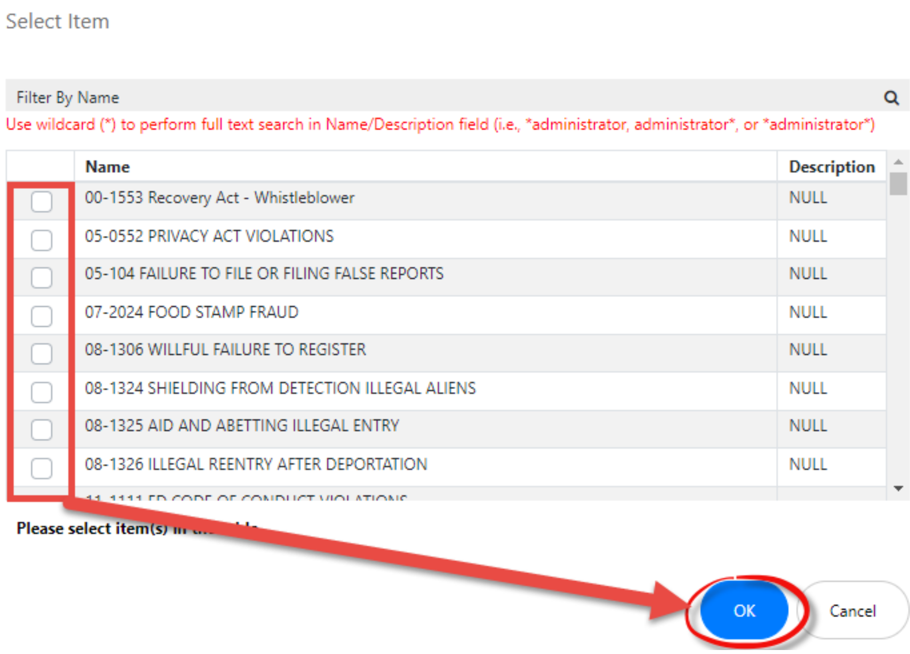
15. The page refreshes to display a list of selectable values. Click the **checkboxes** next to the programs and click **Select**.

16. The page refreshes to display the full case form, with the selected values appearing in the *Impacted Programs* field. Select a **complaint method** from the *Complaint Method* drop-down list.
17. Select a **case type** from the *Investigative Case Type* drop-down list.
18. Click the **Focus Areas** lookup.

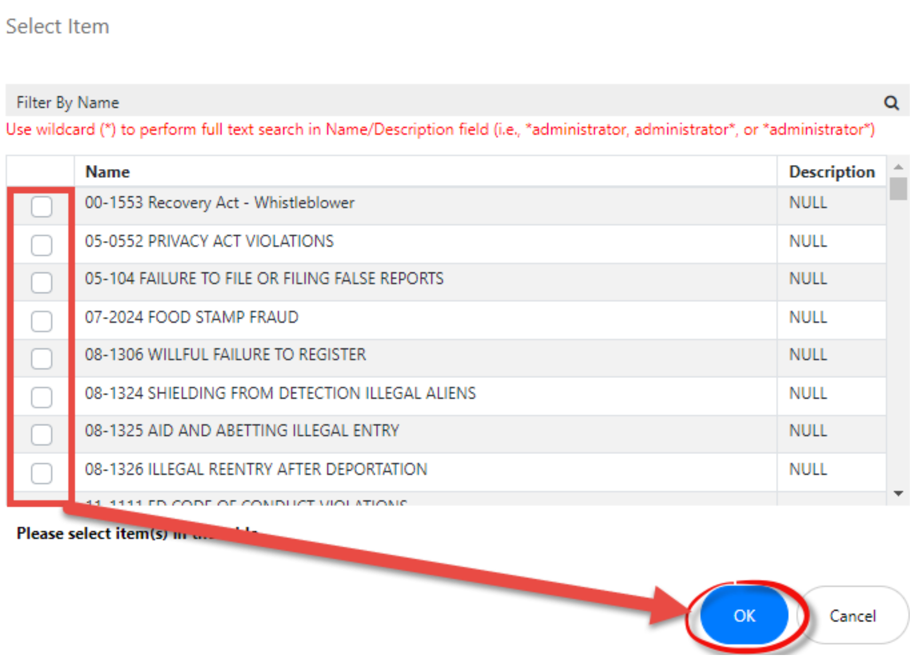
19. The Select Item pop-up window appears. Click the **checkbox** next to the item and click **OK**.



20. The pop-up window closes and the selected item appears in the field.
21. Click the **Primary Alleged Violation** lookup. The *Select Item* pop-up window appears.
22. Click the **checkboxes** next to the value and click **OK**.



23. The pop-up window closes and the selected value appears in the field.
24. If necessary, click the **Secondary Alleged Violation** lookup. The *Select Item* pop-up window appears.
25. Click the **checkboxes** next to the value and click **OK**.



26. The pop-up window closes and the selected value appears in the field.
27. Click **Save** to create the Preliminary case.

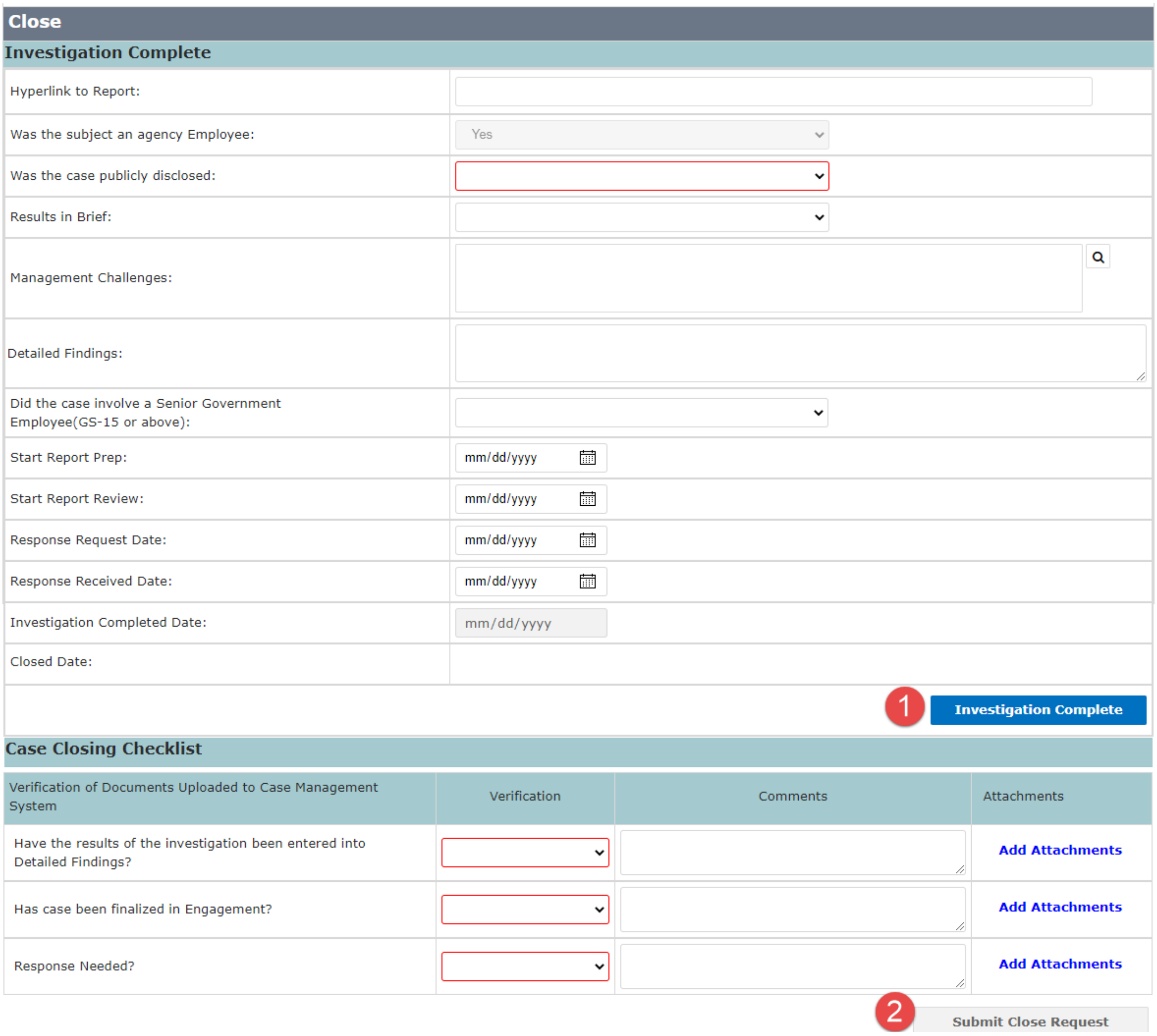
(!!) Note: There may be additional fields present on the Case Details form that are not outlined above or fields that are described, but not shown on the form. This is due to the case type configuration settings.

2.4.3 Process an Investigation

Processing an Investigation case is similar to processing a Complaint or Preliminary Investigation. Most of the fields and tabs are the same, however, an Investigation case may feature additional tabs based on organizational needs and configuration.

2.4.4 Close an Investigation

An Investigation case can be closed through a two-step process. These steps are discussed in the subsections that follow.



Close

Investigation Complete

Hyperlink to Report:	
Was the subject an agency Employee:	Yes
Was the case publicly disclosed:	
Results in Brief:	
Management Challenges:	
Detailed Findings:	
Did the case involve a Senior Government Employee(GS-15 or above):	
Start Report Prep:	mm/dd/yyyy
Start Report Review:	mm/dd/yyyy
Response Request Date:	mm/dd/yyyy
Response Received Date:	mm/dd/yyyy
Investigation Completed Date:	mm/dd/yyyy
Closed Date:	

1 Investigation Complete

Case Closing Checklist

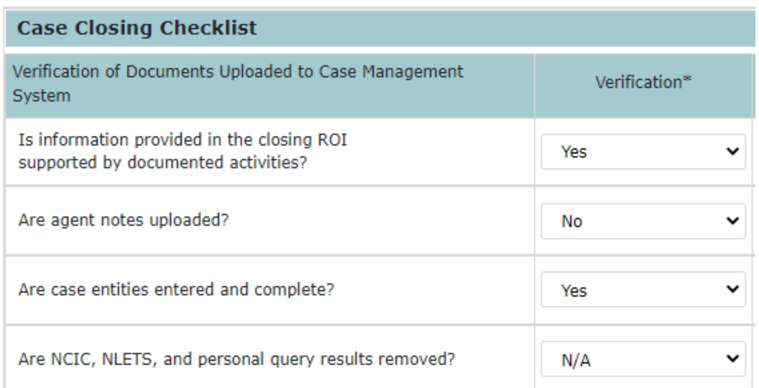
Verification of Documents Uploaded to Case Management System	Verification	Comments	Attachments
Have the results of the investigation been entered into Detailed Findings?			Add Attachments
Has case been finalized in Engagement?			Add Attachments
Response Needed?			Add Attachments

2 Submit Close Request

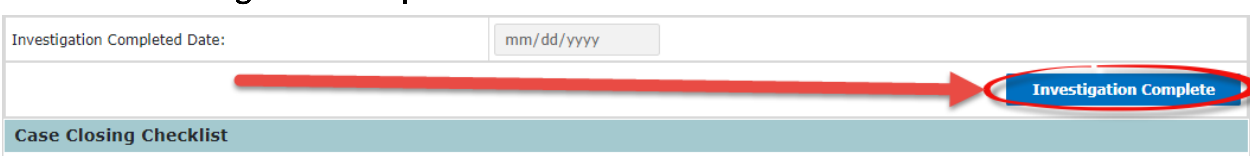
2.4.4.1 Completing the Investigation

After the Investigation has been completed, the agent can navigate to the *Close* tab to start the closing process.

1. Open the case folder and complete any required fields and information under the *Investigation Complete* section.
2. Navigate to the *Close* tab and complete the *Case Closing Checklist* by selecting a value from each drop-down list in the *Verification* column, adding *Comments*, and/or uploading relevant attachments for each configured checklist question.



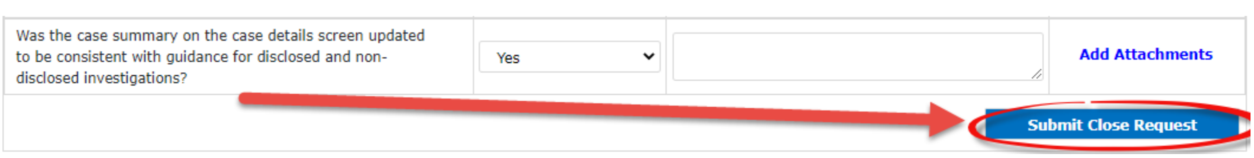
3. Click **Save.**
4. Click **Investigation Complete.**



The case status changes to *Investigation Complete*. Additionally, the user/lead agent can now submit the close request by navigating to the bottom of the Close tab and clicking **Submit Close Request**.

2.4.4.2 Submitting the Close Request

In order to submit a close request for an Investigation case, the case status must be *Investigation Complete*. As the Lead Agent, navigate to the *Close* tab and click **Submit Close Request**. This starts the Closing Approval workflow. After the necessary approvals are completed, the Investigation case folder will be *Closed*.



2.5 Outreach/Integrity Briefings

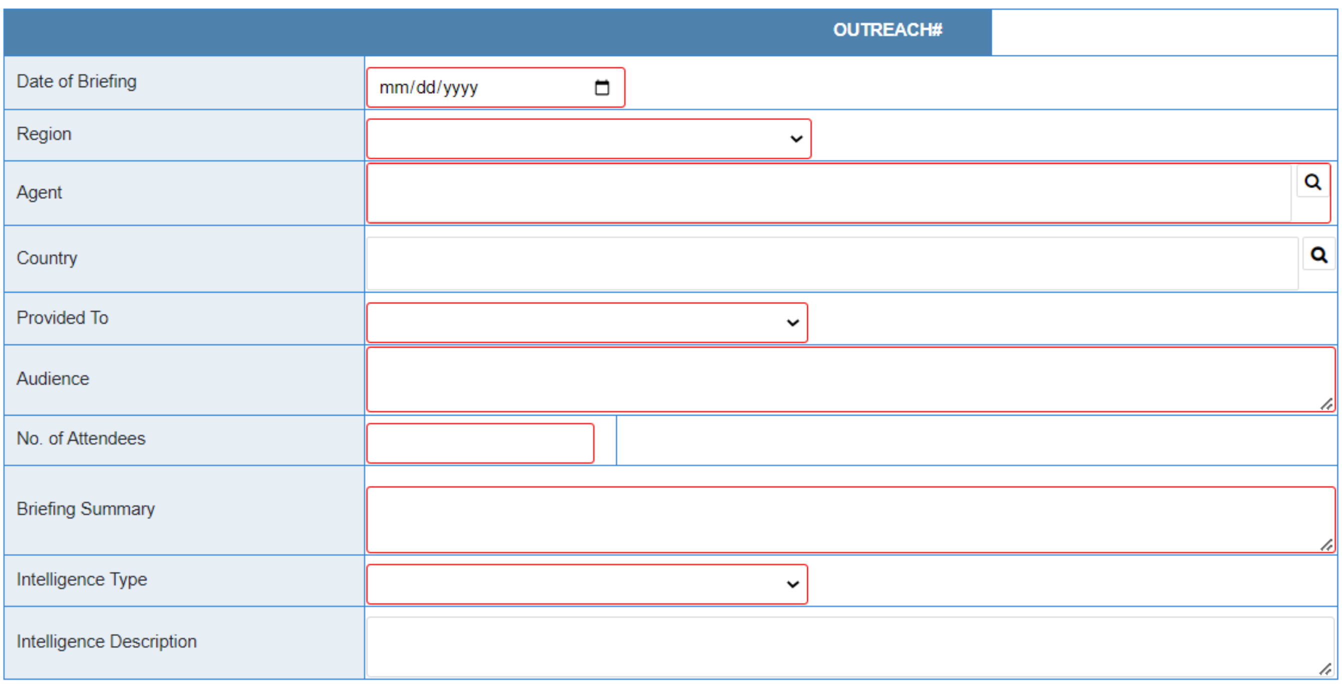
eCASE Investigations allows you to create Outreach/Integrity Briefing (O/IB) cases and associate these with new or existing *Complaints*, *Preliminaries*, and *Investigations*. These provide a summary of interviews with subjects associated with investigations, and include associated attachments.

(!!) Note: Outreach and Integrity Briefing refer to the same form. Different organizations use different terminology, so both are reflected here.

2.5.1 Create an Outreach/Integrity Briefing

Follow the steps below to create an Outreach/Integrity Briefing case.

1. From the *Main Menu*, click **New > Outreach**. The *New Case* screen appears, as shown below:



2. Use the date picker to select the **Date of Briefing**.

(!!) Note: Each interview should be captured in a unique O/IB form.

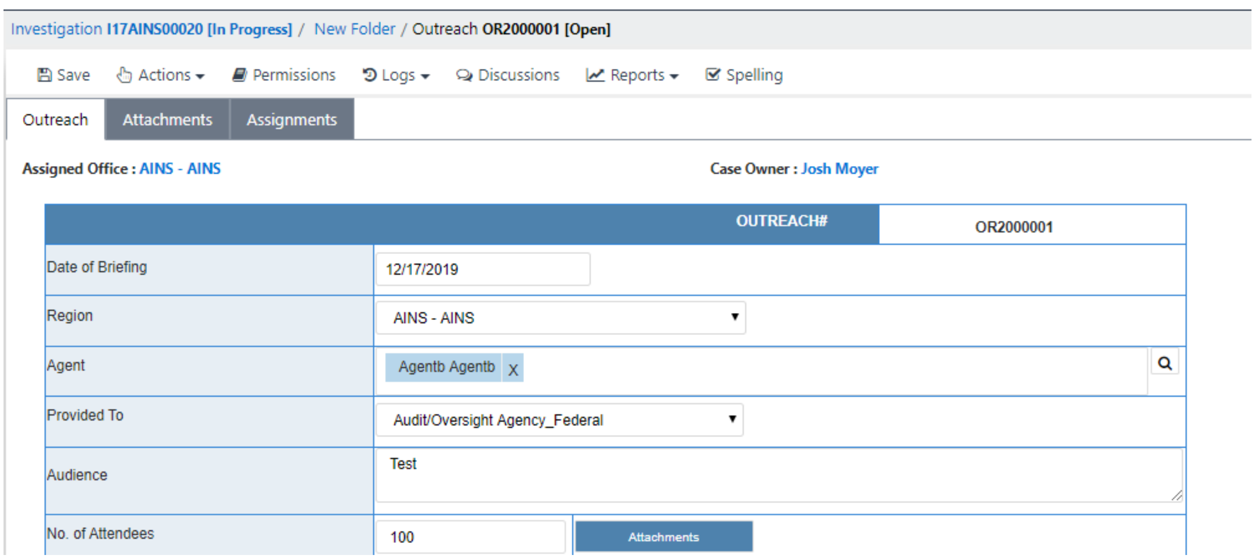
3. Select a *Region* from the drop-down list.
4. Click the **Agent** lookup. The *Select Item* pop-up window appears.
5. Click the **checkbox** next to the Agent and then click **OK**. The pop-up window closes and the selected Agent appears in the field.
6. Click the **Country** lookup. The *Select Item* pop-up window appears.

7. Click the **checkbox** next to the Country and then click **OK**. The pop-up window closes and the selected Country appears in the field.
8. Select the entity the outreach was **provided to** from the Provided To drop-down list.
9. Enter **Audience** information in the *Audience* text field. Enter as much information as required, this is a free text field.
10. Enter the number of **interview attendees** in the *No. of Attendees* field.
11. Enter a **Briefing Summary** in the *Briefing Summary* field. This is a free text field.
12. Select the **Intelligence Type** from the drop-down list.
13. If applicable, enter an **Intelligence Description** in the field.

(!!) Note: Intelligence Description is not a required field.

14. After all required fields are complete, click **Save** to save the new O/IB case.
15. A pop-up appears asking "Do you want to start the Workflow now?" Click **OK** to begin the workflow, or **Cancel** to postpone. Either selection prompts the newly saved Outreach case folder to appear.

(!!) Note: After clicking Save, the Outreach case folder is assigned an Outreach #, and contains new Attachments and Assignment tabs.



The new O/IB case is now created and available for further actions, including Assigning and Linking to existing cases. See the Working with an Outreach/Integrity Briefing subsection for details on working with the O/IB.

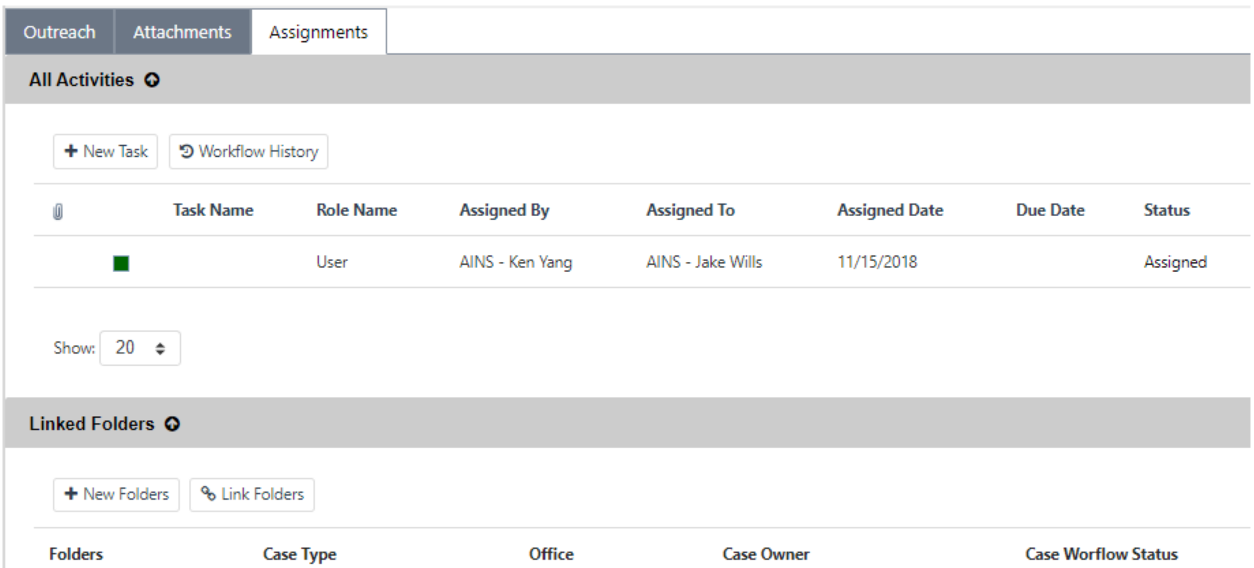
2.5.2 Working with an Outreach/Integrity Briefing

After an O/IB is created, several actions are available. These are detailed in the following subsections.

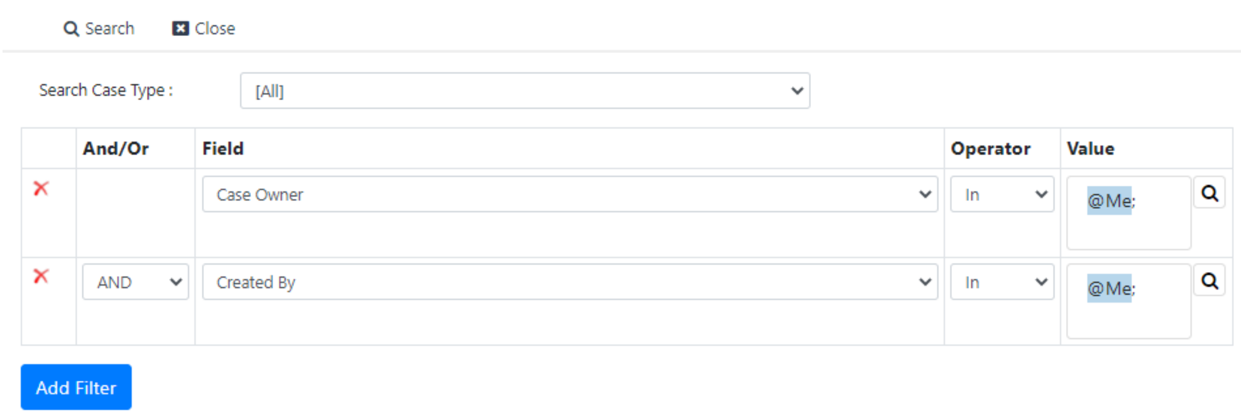
2.5.2.1 Link Case

All O/IB cases are required to be linked to a new or existing *Complaint*, *Preliminary*, or *Investigation* case. This must be done manually and cannot be automatically completed by the application. Complete the steps below to link an O/IB with another case folder:

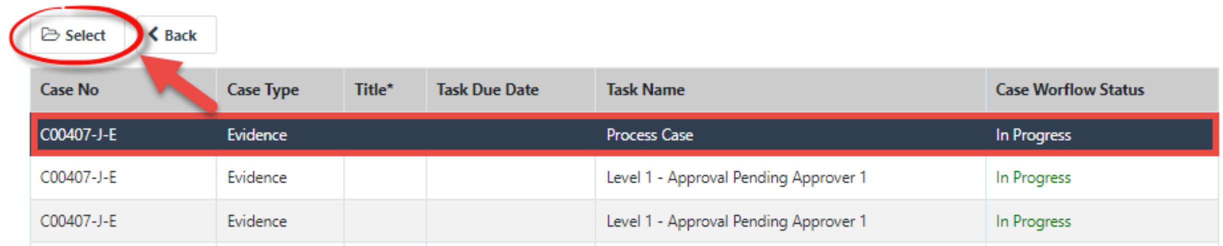
1. Open an existing O/IB (or create a new one), then click the *Assignments* tab.



2. Click **Link Folders**. The *Search Folders* pop-up window appears.



3. Use the fields to create a search query to locate the existing case you want to link to the O/IB and then click **Search**.
4. The pop-up window refreshes to display any matching Search Results. Select a **Case** then click **Select**.



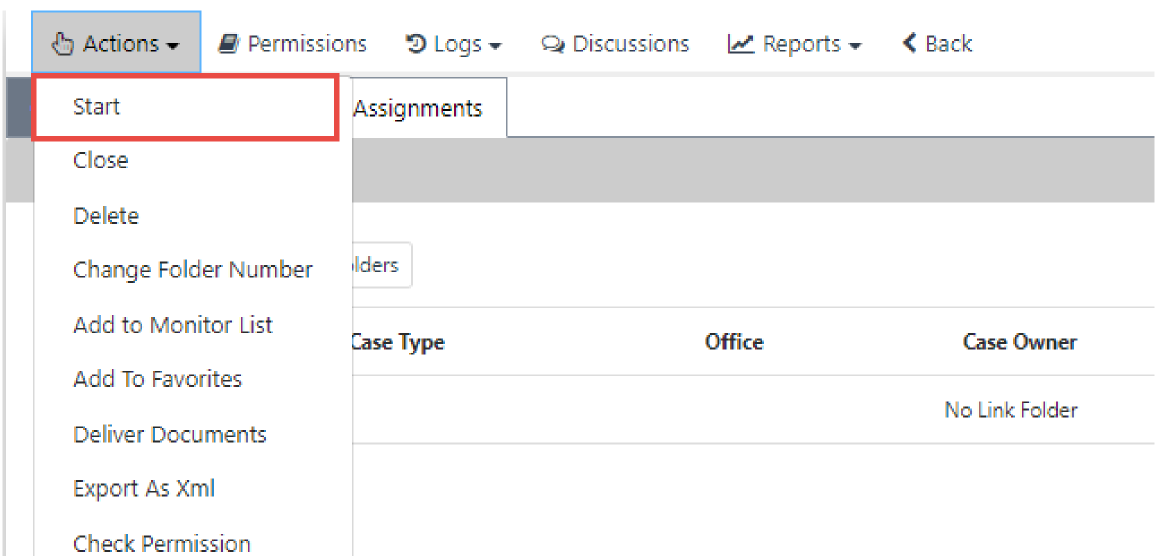
5. A confirmation window appears. Click **OK**.
6. The pop-up window closes, and the selected folder now appears in the Linked Folders subsection of the Assignments tab.

2.5.2.2 Assign Task

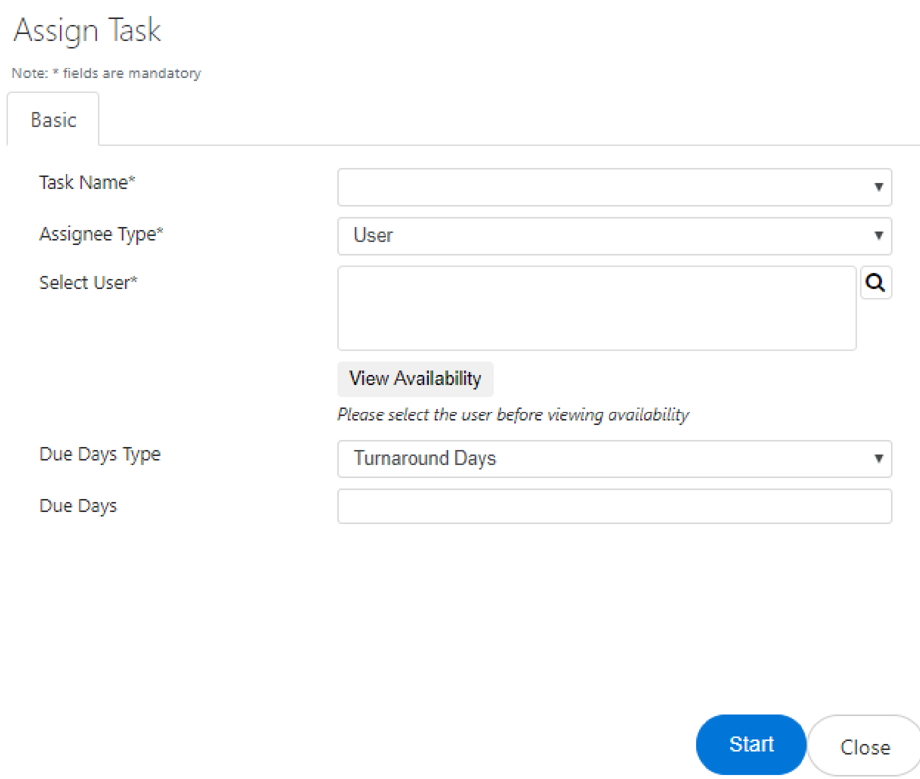
The O/IB can be assigned as part of the workflow. This can be done during creation (the system automatically prompts to begin the workflow when creating a new O/IB), or manually from the Assignments tab. Follow the steps below to assign the task.

(!!) Note: If clicking Yes from the task initiation prompt, skip to step 3 below.

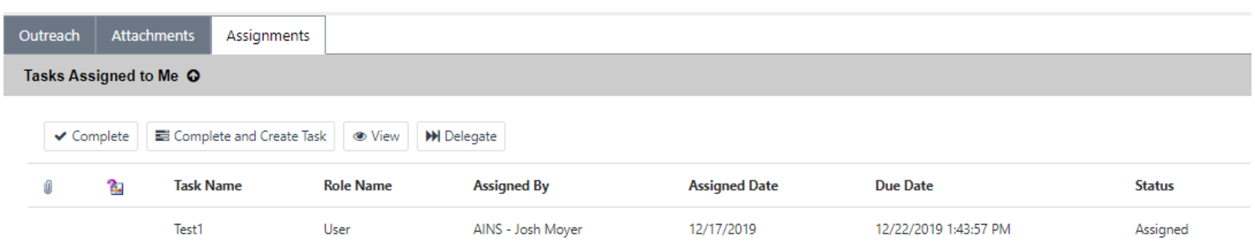
1. Open an existing O/IB, then navigate to the *Assignments* tab.
2. From the *Assignments* tab, click **Actions > Start**.



3. After clicking **Start**, the *Assign Task* screen appears as shown below:



4. Select a *Task Name* and *User* from the respective fields. These are required.
5. After entering the required information, click **Start** to initiate the task.
6. After clicking **Start**, the new assignment appears under the *Assignments* tab as shown below:

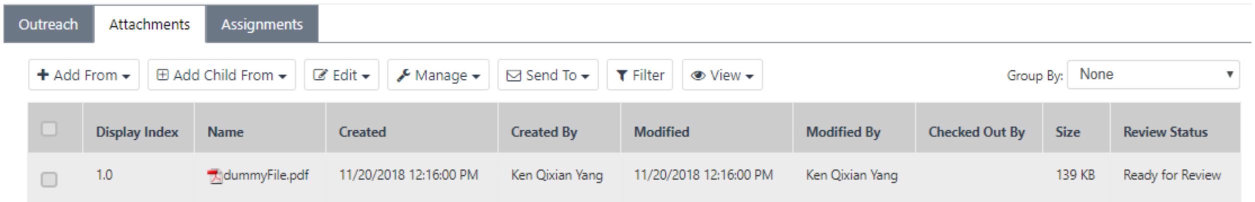


There are options to *Complete*, *Complete & Create Task*, and *Delegate* the task. See the *eCASE User Manual* for more information on assignment actions.

2.5.2.3 Attachments

You can add attachments to O/IB cases from the *Outreach* form, or from the *Attachments* tab. To add attachments from the *Outreach* form:

1. Open an existing O/IB. The case opens to the *Outreach* tab.
2. Click **Attachments** next to the *No. of Attendees* field.
3. After clicking Attachments, the *Case Attachments* pop-up appears as shown below:



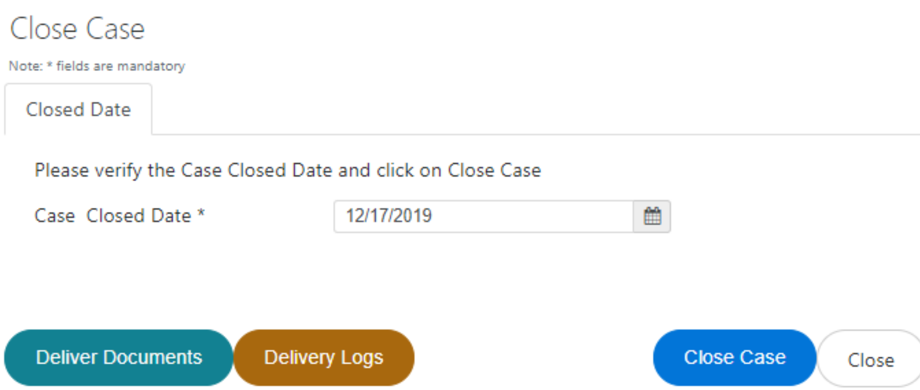
4. Use the Action Buttons to add attachments to the O/IB case. These can be viewed and managed from the *Attachments* tab at any time.

For more detail on using *Attachments*, see the *eCASE User Manual*.

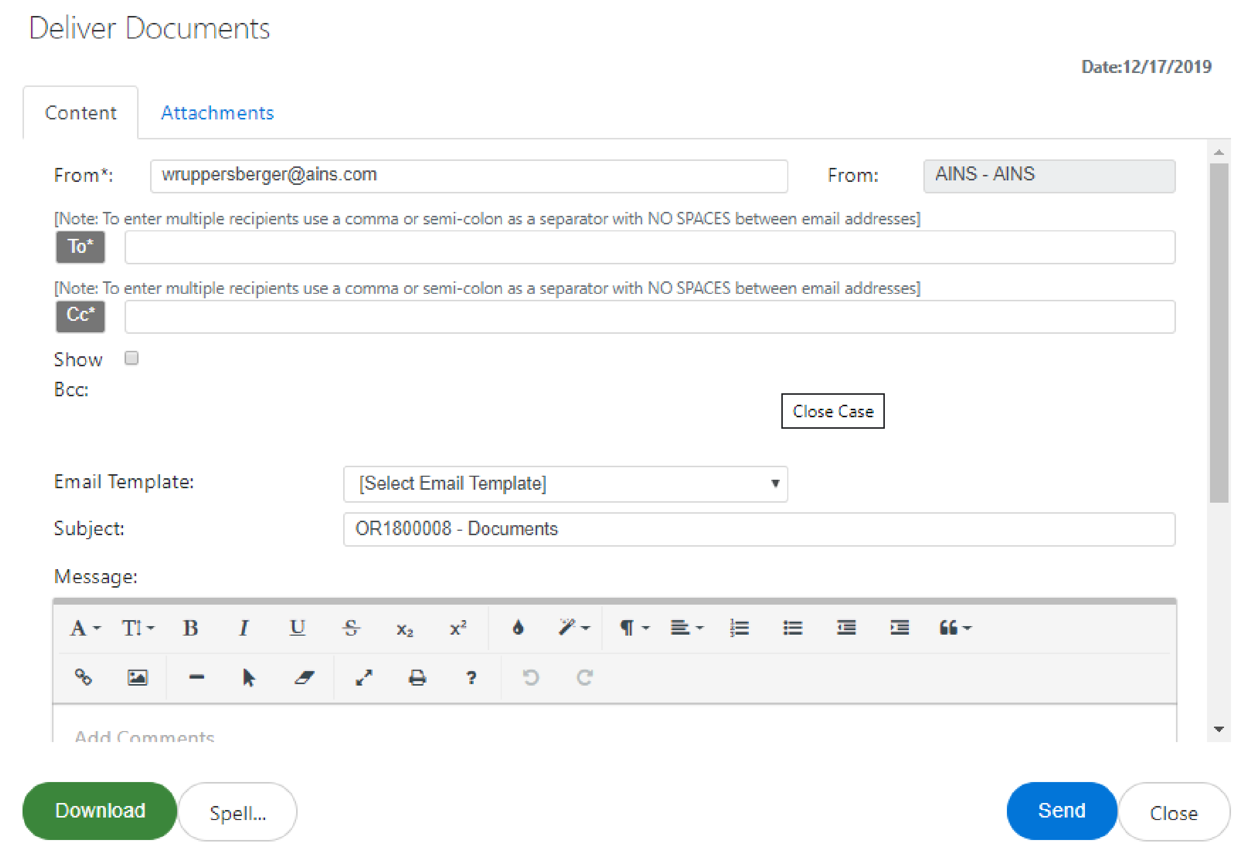
2.5.2.4 Close Case

An O/IB case can be closed at any time. Follow the steps below to close an O/IB case.

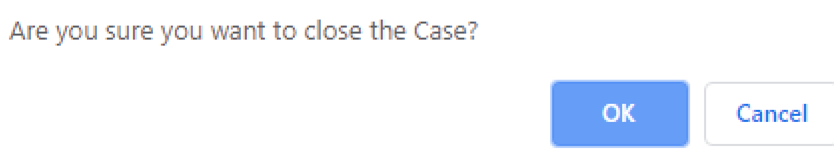
1. Open an existing O/IB case.
2. From the *Actions* bar, select **Actions > Close**. The *Close Case* screen appears as shown below:



3. Verify the closure date in the *Case Closed Date* field.
4. Optionally, use the *Email Notification* fields to send notification for the closure.



5. When the date is confirmed and option or set up, click **Close Case** to commit the closure action.
6. A pop-up confirmation appears:



7. Click **OK** to dismiss the message and close the case, or **Cancel** to cancel the action.
8. After clicking **OK**, the *Outreach* tab appears and reflects the *Closed* status.

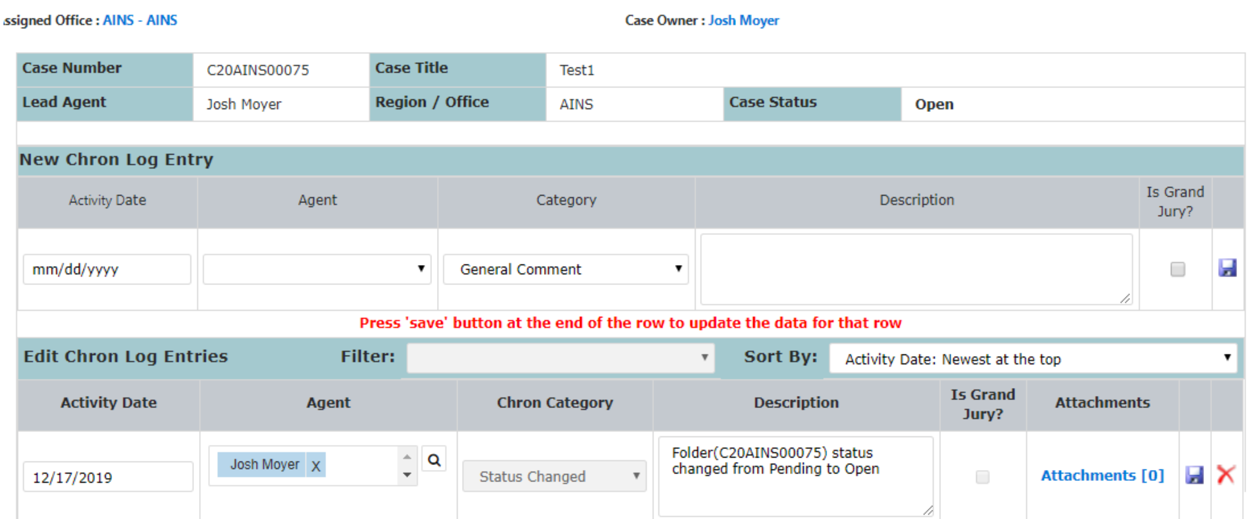
3 Case Folder Types

For every case folder, there are additional tabs to insert and record data pertaining to the case. Each case type can have a specific arrangement of tabs based on the organization's needs, configuration, and the case type itself. Additionally, when converting the case to a Preliminary Investigation or Investigation, all the information inputted will automatically be transferred over to the new case folder. Within this section, each possible tab will be described.

3.1 Chron Log

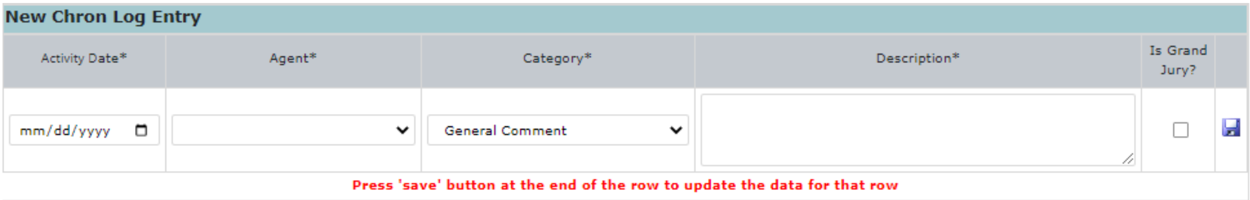
The *Chron Log* tab stores case activities and changes to the case, including status changes, a description of events, the agent involved, and the activity date. Additionally, authorized users can edit Chron Log Entries to reflect additional changes to the event or add supporting documentation to the Chron Log Entry.

(!!) Note: Chron Log Entries are auto-generated and can also be manually completed by authorized users.

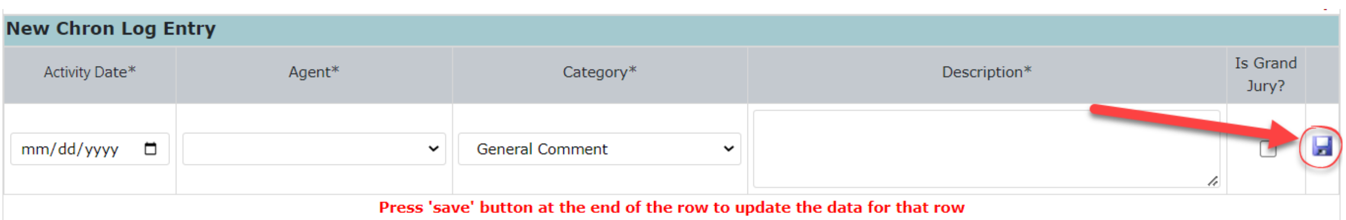


The New Chron Log Entry subsection allows you to add new Chron Log Entries to the case. To add a new Chron Log Entry:

1. Open the Complaint case folder and navigate to the *Chron Log* tab.
2. Inside the *New Chron Log Entry* section, select an **activity date** for the event by using the *Activity Date* picker.



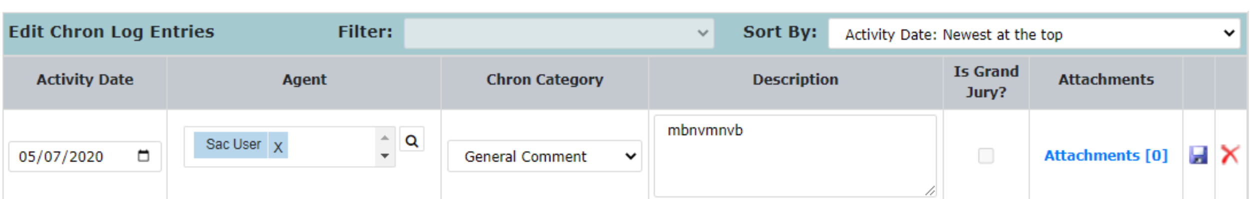
3. Select the **agent** who performed the event from the *Agent* drop-down list.
4. Select a **category** for the event from the *Category* drop-down list.
5. Enter a **description** for the event in the *Description* field, if applicable.
6. Click the **Is Grand Jury** checkbox to apply the Grand Jury case attribute to the Chron Log Entry.
7. Click the **save** icon to save the Chron Log Event.



8. The page refreshes and the new entry appears in the *Edit Chron Log Entries* subsection.

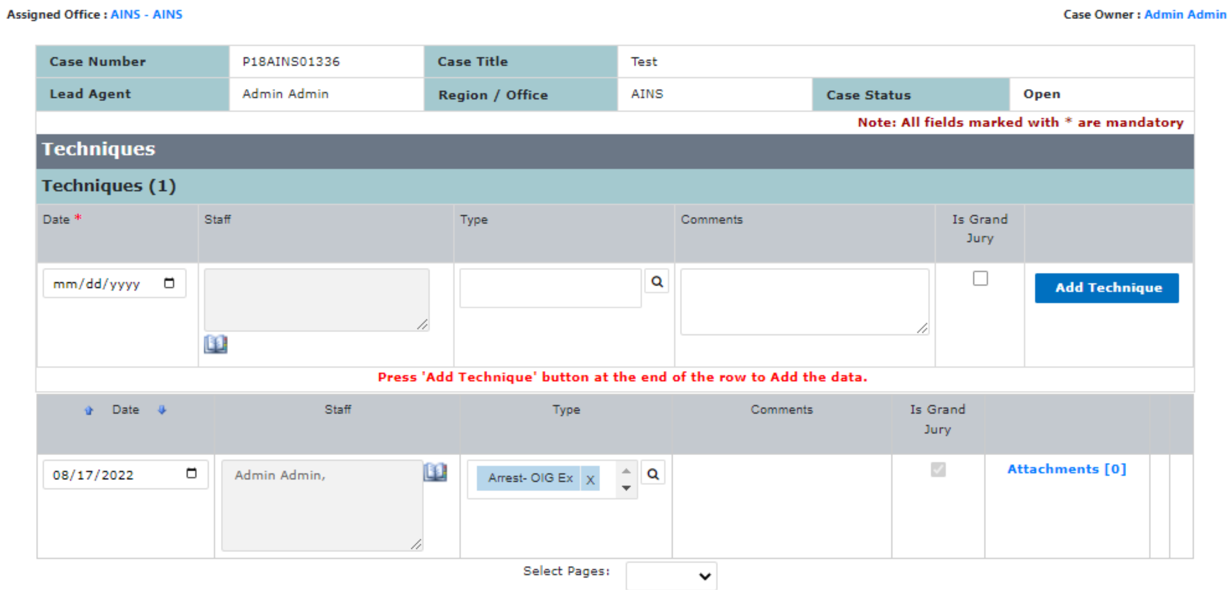
(!!) Note: An attachment can be added to a Chron Log Entry after it has been saved.

The *Edit Chron Log Entries* subsection allows authorized users to edit existing Chron Log Entries. All fields can be edited except for the Chron Category. Attachments can be added within this section by clicking the **Attachments** link. Click the **Red X** icon to delete the Chron Log Entry.



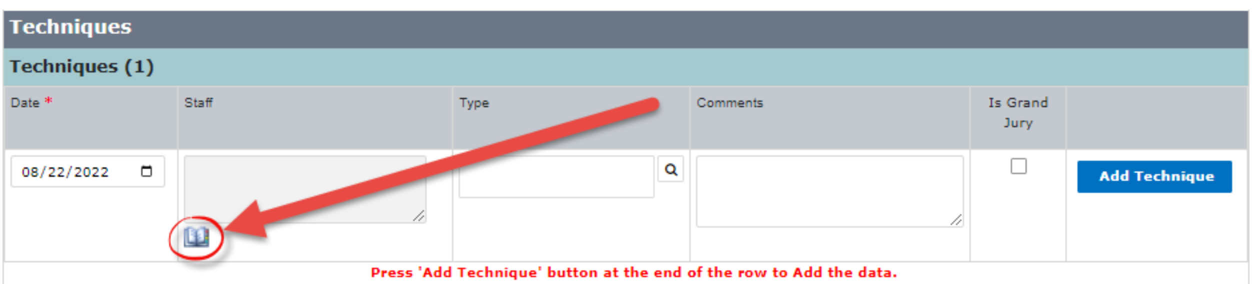
3.2 Techniques

The *Techniques* tab stores the actions/activities that were performed by agents while processing the case. These technique items are not generated by the system but instead must added by you or other authorized staff. Techniques are automatically added as Chron Log entries.

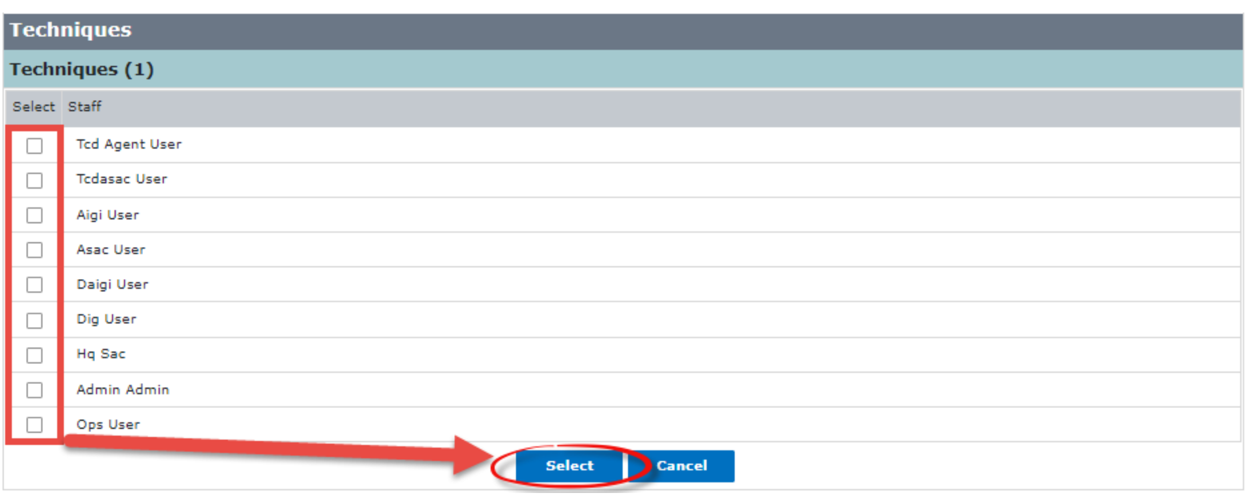


To add a new technique:

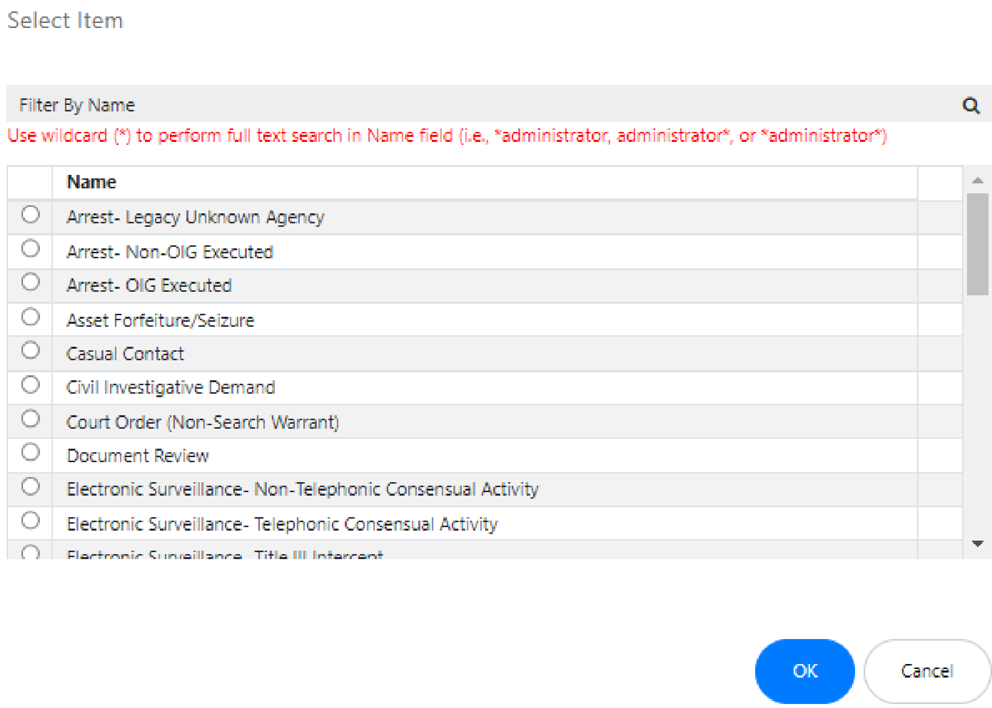
1. Within the blank technique row, select the **date** by using the *Date* picker.
2. Click the **Staff** lookup to select the staff that performed the technique.
    a. Additional staff members can be added within the *Staff* tab.



3. The page refreshes to display the *Techniques* subsection. Click the checkbox next to the staff role, and then click **Select**.



4. The page refreshes to display the full Techniques tab, and the selected user role appears in the *Staff* column. Click the **Type** lookup. The *Select a Value* pop-up window appears.

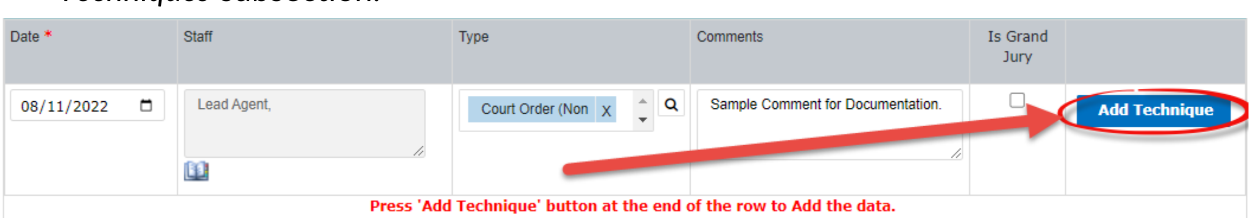


5. Select a **value** from the list and click **OK**. The pop-up window closes, the page refreshes, and the selected value appears in the *Type* field.
6. Enter any **comments** regarding the technique within the *Comments* field.

(!!) Notes:

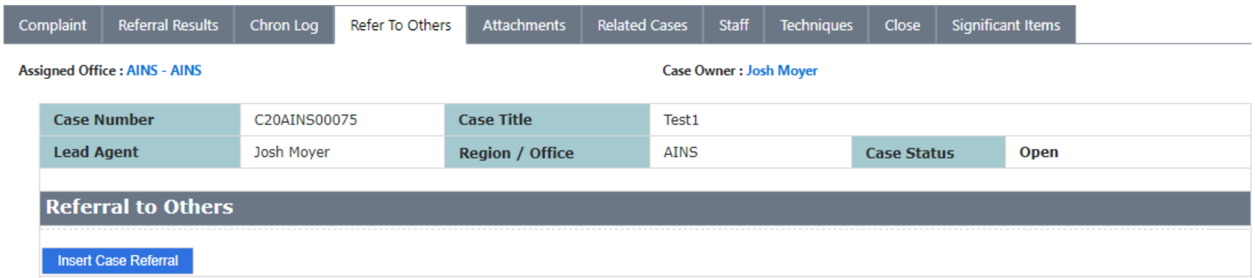
- **The Comments field is limited to 200 characters.**
- **An attachment can be added to a Technique entry after it has been saved.**

7. Click **Add Technique**. The page refreshes and the Technique is saved and appears in the *Techniques* subsection.



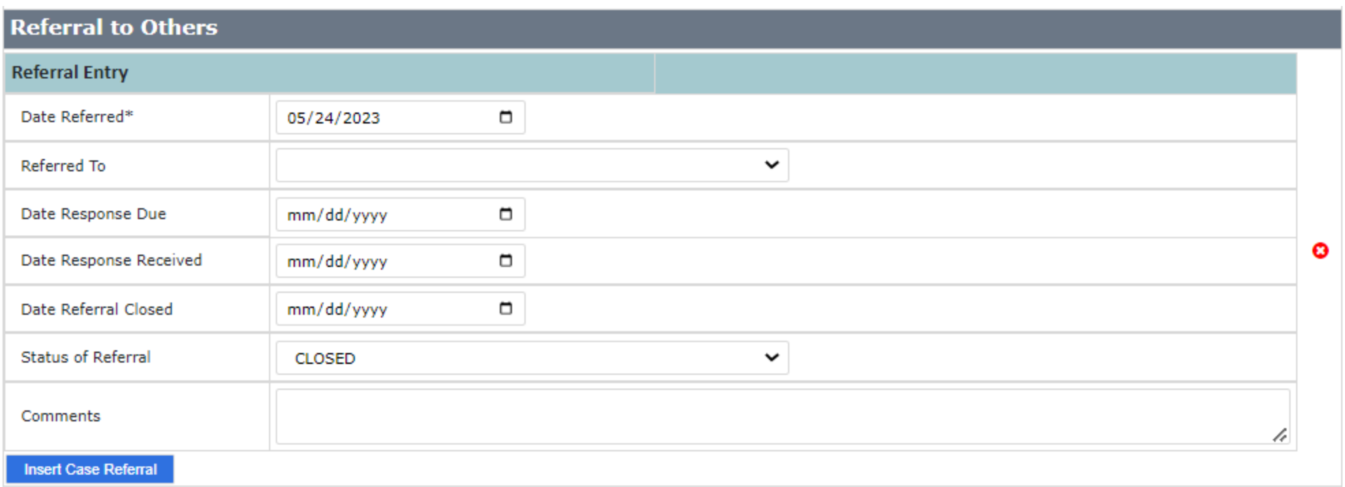
3.3 Refer to Others

The *Refer To Others* tab allows you to refer the case to another agency.

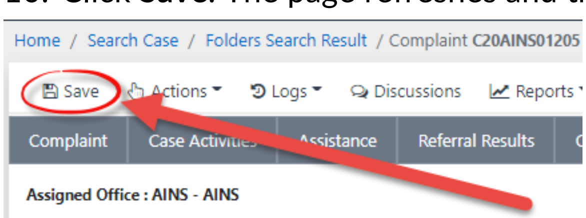


To create a new case referral:

1. Open the case folder and click the **Refer To Others** tab.
2. Click **Insert Case Referral**. The tab refreshes and a new *Referral* row appears, with all fields blank.



3. Select the **date referred** from *Date Referred* date picker.
4. Select the **agency that this case is referred to** from the *Referred To* drop-down list.
5. Select the **date the response is due** using the *Date Response Due* date.
6. Select the **date the response was received** using the *Date Response Received* date picker.
7. Select the **date the referral was closed** using the *Date Referral Closed* date picker.
8. Select the **status of the referral** from the *Status of Referral* drop-down list.
9. Enter any relevant Comments in the Comments field.
10. Click **Save**. The page refreshes and the Case Referral is saved.

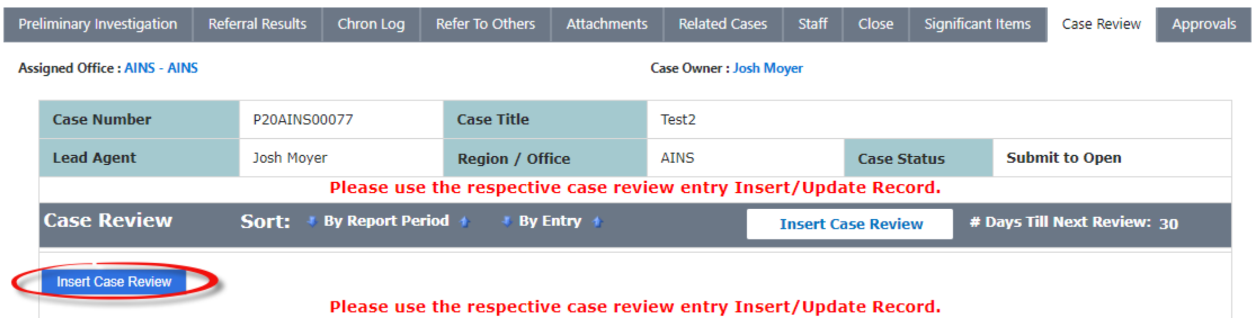


(!!) Note: An attachment can be added to a Referral after it has been saved.

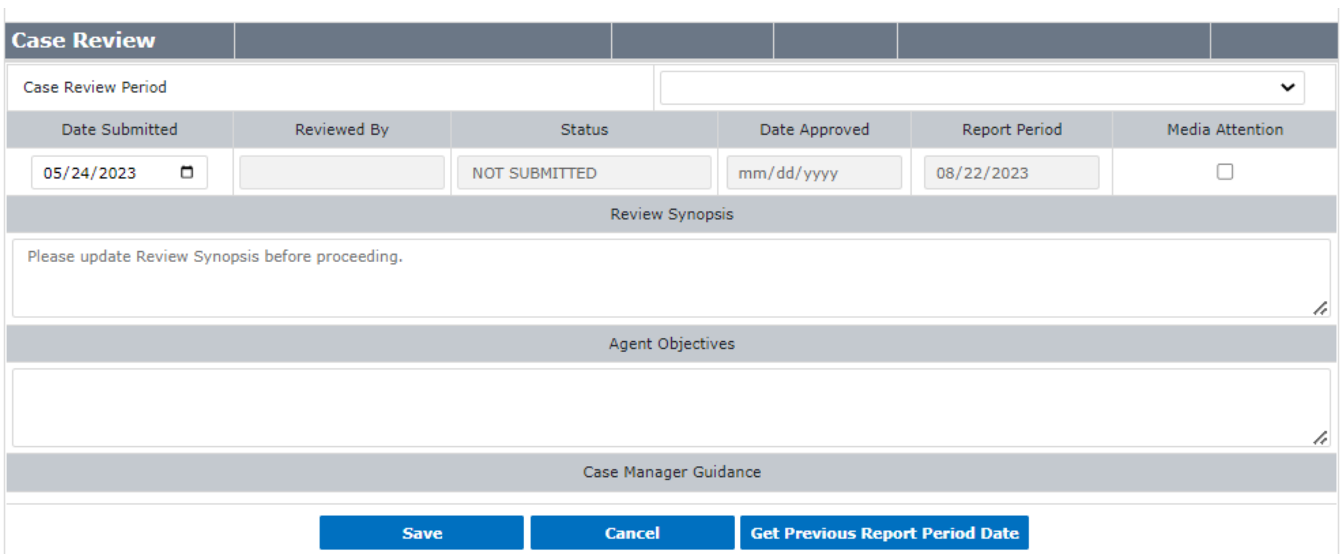
3.4 Case Review

The *Case Review* tab is featured within the Preliminary and Investigation case types. Authorized users can add a Case Review to the form after the review is completed, and this review serves as the justification for closing or conversion to Investigation. To complete a case review:

1. Click the **Case Review** tab.
2. Click **Insert Case Review.**



3. The page refreshes to display new empty Case Review fields The *Date Submitted* field automatically populates. If necessary, select a date from Date Submitted date picker.



(!!) Notes:

- **The Reviewed By field automatically populates and reflects who is tasked to approve or reject the case review.**
- **The Status field automatically generates and is updated as the review progresses.**
- **The Date Approved field cannot be altered and is later updated with the date the case review is approved.**

- **The Report Period cannot be altered and displays the due date for the case review.**

4. Click the **Media Attention** checkbox if the case has received media attention.
5. Enter a **Case Review Synopsis** within the *Review Synopsis* field.

(!!) Note: Staff should update the review synopsis before proceeding. It is not a required field, but it is recommended to update the field information before proceeding.

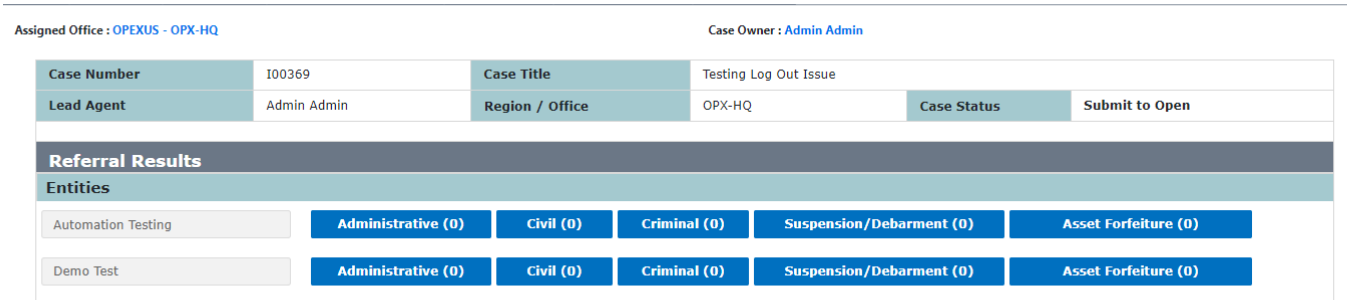
6. Enter the **Agent Objectives** within the *Agent Objectives* field.

(!!) Note: The Case Manager Guidance field is only available for the approver/reviewer to update after this case review is submitted for review.

7. Click **Save**.
8. The screen refreshes and displays additional options.
9. Click **Submit to Approval** to submit the Case Review to the reviewer.
10. A pop-up window appears, indicating the Case Review entry was successfully submitted for approval. The approver must review the information and input the case manager guidance. After, they can approve or disapprove the request.

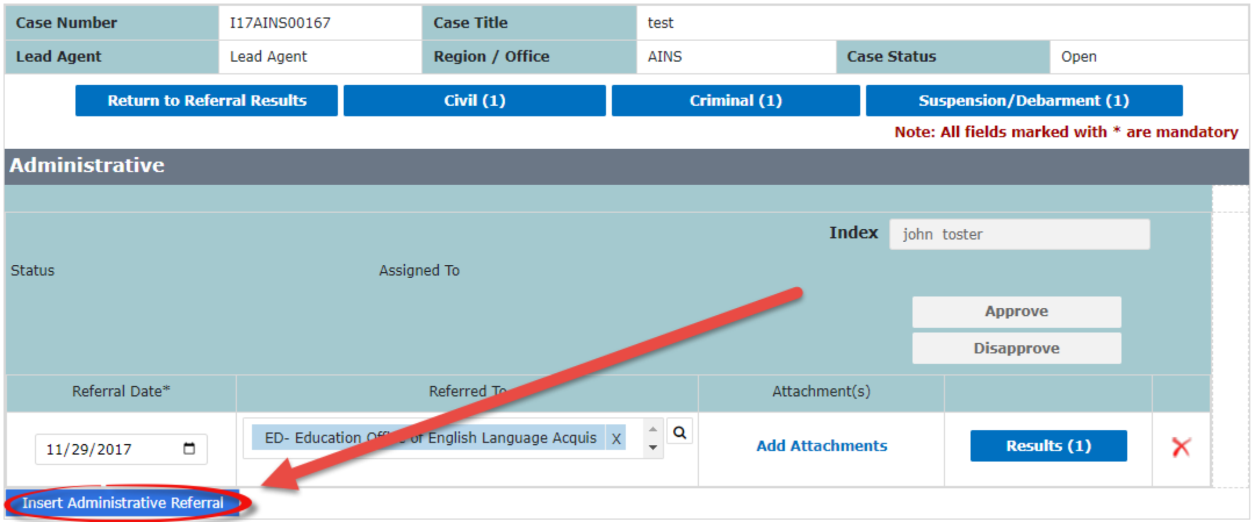
3.5 Referral Results

The *Referral Results* tab is used to record conclusions from referred indexes. The tab lists each index in a grid structure, and any referral results logged for that index are displayed in a button in the corresponding row and the number of referral results are indicated in parenthesis within the button. There are five types of referral results that can be logged under an index: *Administrative*, *Civil*, *Criminal*, *Suspension/Debarment*, and *Asset Forfeiture*.



(!!) Note: Within the grid, indexes with at least one result logged under a type appear in light blue. The total number of results appears in parenthesis next to the type. Dark blue items denote those without any results logged.

To view existing results, or add new results under a type, click that item next to the index. If any results exist, these are listed. Otherwise, you are given the option to add a new results, for example using the **Insert Administrative Referral** button below:



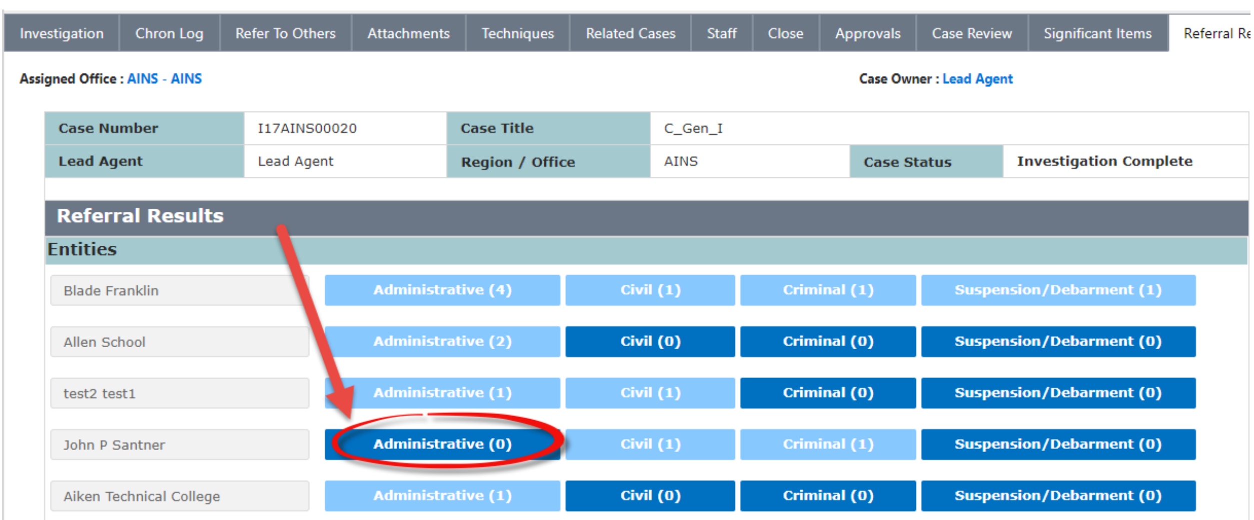
The following subsections provide steps for adding referral results under each available referral type.

3.5.1 Administrative

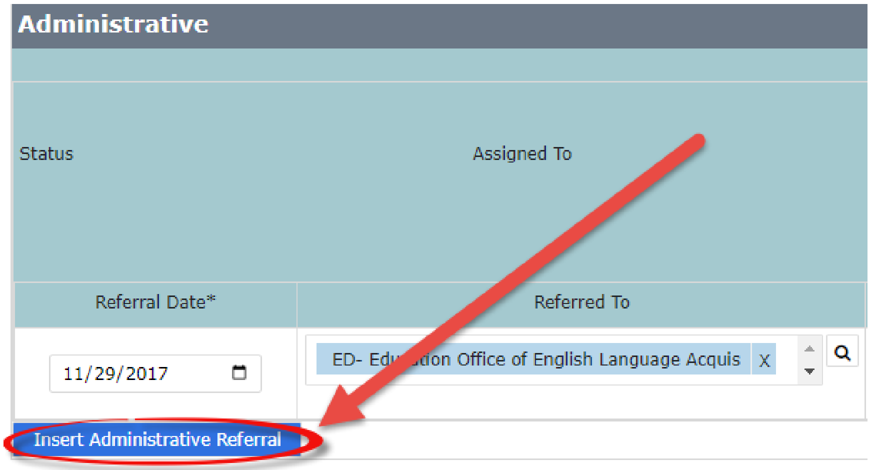
Each Administrative Referral includes both the Administrative Referral as well as a Monetary Result. Each Referral logged should also include a Monetary Result. This section walks through creating both.

To create a new Administrative Referral, follow the steps below:

1. Within an Investigation folder, click the **Referral Results** tab, locate an entity row where you want to record the referral and click the adjacent **Administrative** button:

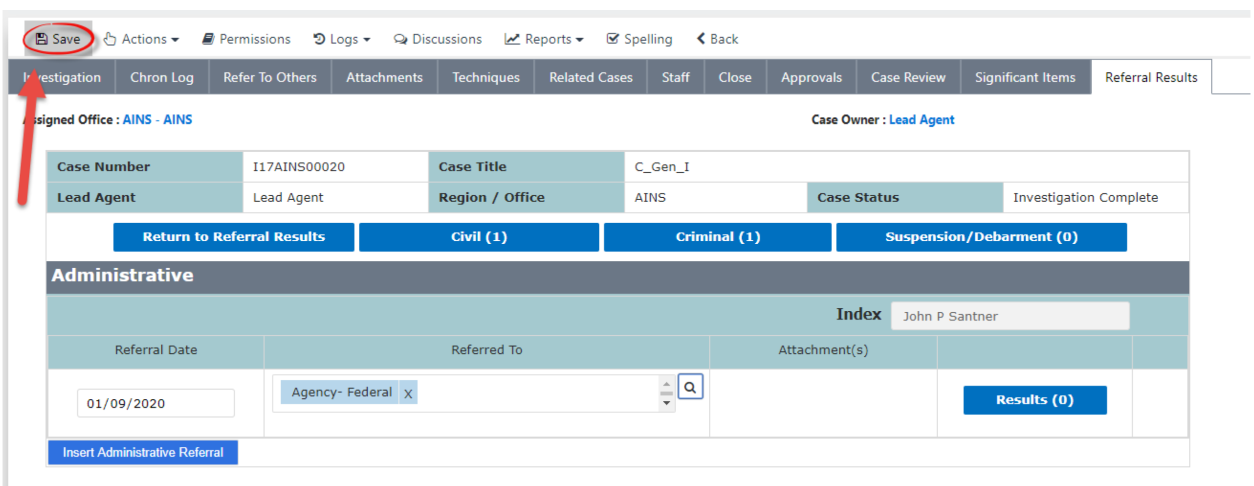


2. Click **Insert Administrative Referral**.

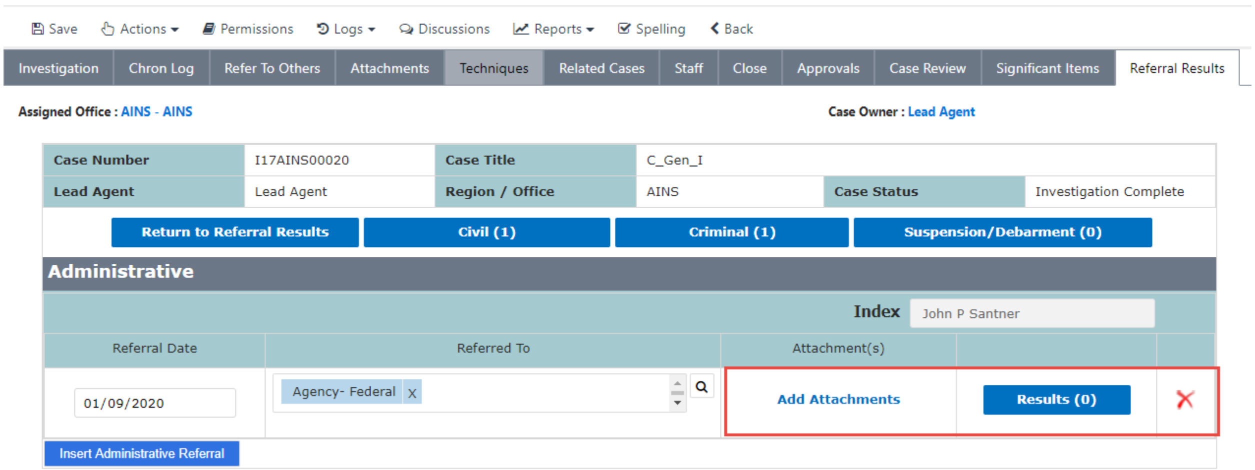


3. The page refreshes to display additional fields. Use the date picker to select the **Referral Date**.
4. Click the **Referred To** lookup. The *Select Item* pop-up window appears.

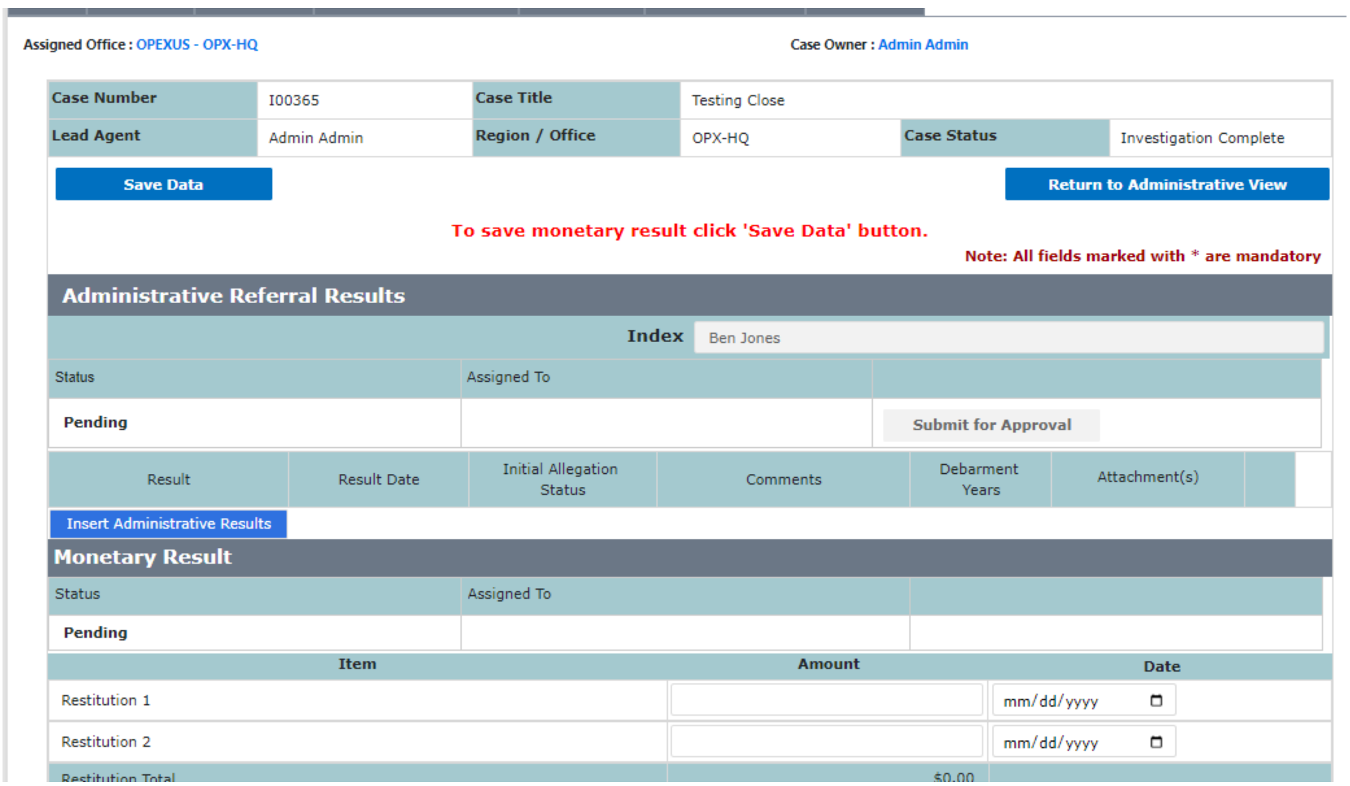
5. Click the **radio button** next to the entry, and then click **OK**. The pop-up window closes and the selected value appears in the *Referred To* field.
6. Click **Save** to save the date and agency.



7. The screen refreshes to show the newly added Referral Result, which now includes an **Add Attachments** button, a button to add **Results**, and the **X** button which is used to delete the referral.

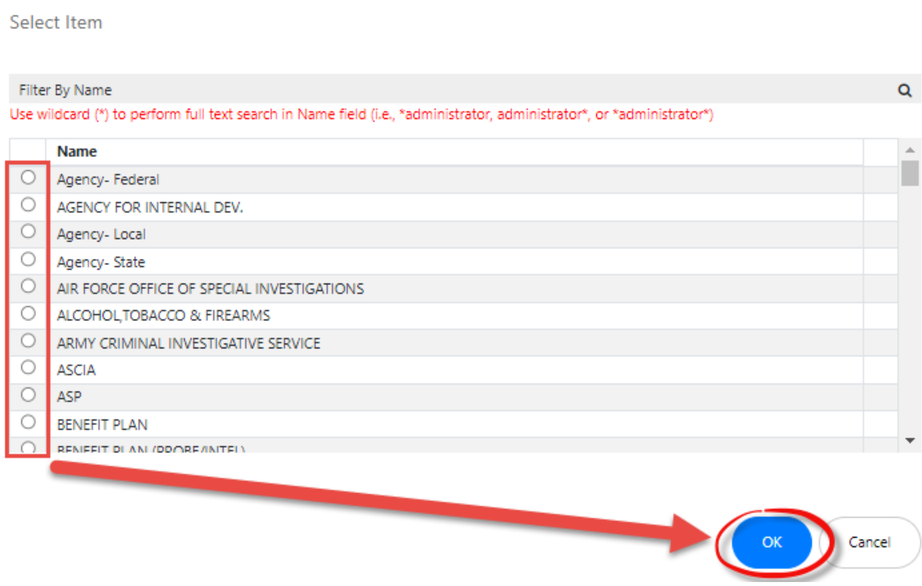


8. To add Result Information, click **Results**. The screen refreshes to show the new *Monetary Result* form, as shown below, as well as the **Insert Administrative Results** button.

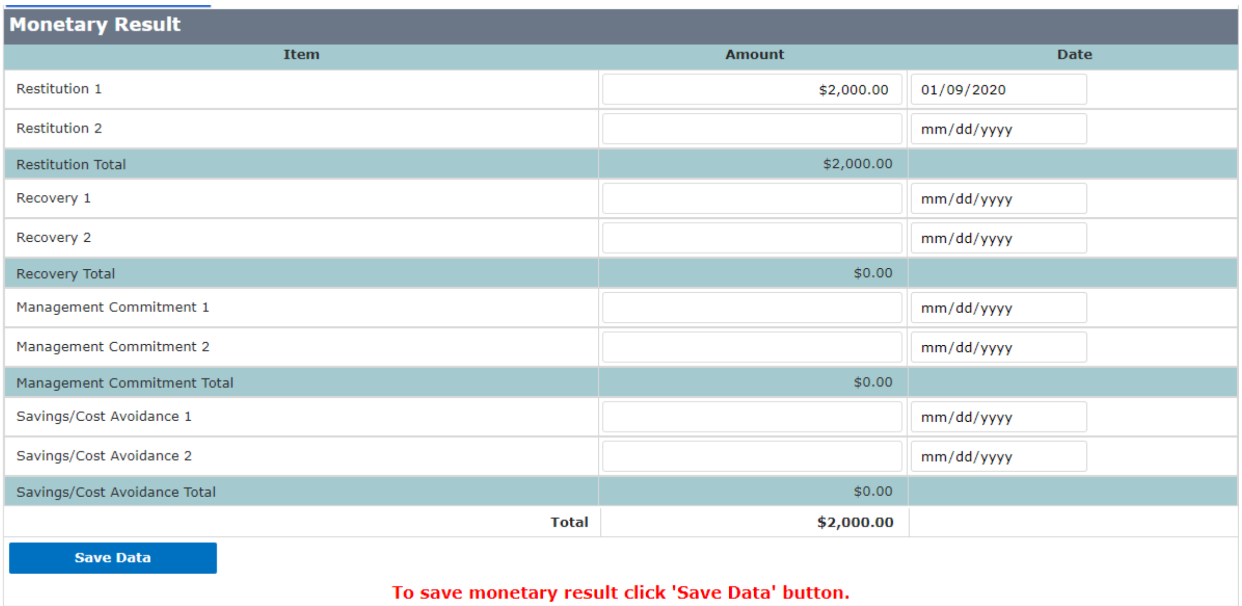


9. Click **Insert Administrative Results**. The page refreshes to display additional fields.
10. Select the **Result Date** using the date picker.

11. Click the **Result** lookup button. A pop-up window appears.
12. Select the radio button next to the **agency**, and then click **OK**.



13. The pop-up window closes and the selected agency appears in the field.
14. After all results are added, click the **Save Data** button at the top of the form to save the data.
15. Next, you must add the *Monetary Result* information to the Referral.
16. The page refreshes to display the *Monetary Result* workspace. Enter the Amount value in each row that requires a monetary result to be added.



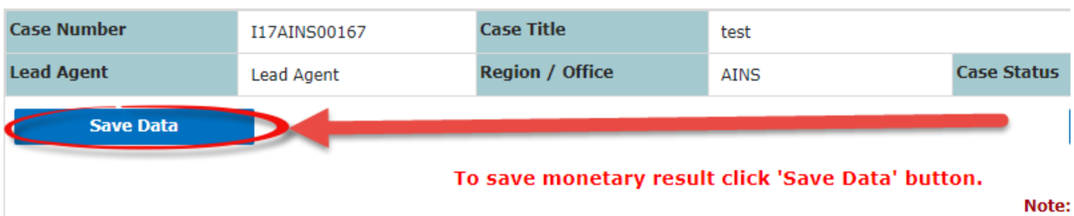
Monetary Result

Item	Amount	Date
Restitution 1	$2,000.00	01/09/2020
Restitution 2		mm/dd/yyyy
Restitution Total	$2,000.00	
Recovery 1		mm/dd/yyyy
Recovery 2		mm/dd/yyyy
Recovery Total	$0.00	
Management Commitment 1		mm/dd/yyyy
Management Commitment 2		mm/dd/yyyy
Management Commitment Total	$0.00	
Savings/Cost Avoidance 1		mm/dd/yyyy
Savings/Cost Avoidance 2		mm/dd/yyyy
Savings/Cost Avoidance Total	$0.00	
Total	$2,000.00	

Save Data

To save monetary result click 'Save Data' button.

17. Use the date picker to select the date in each row that requires a monetary result.
18. When all data is entered in the form, click **Save Data** to save the monetary result.

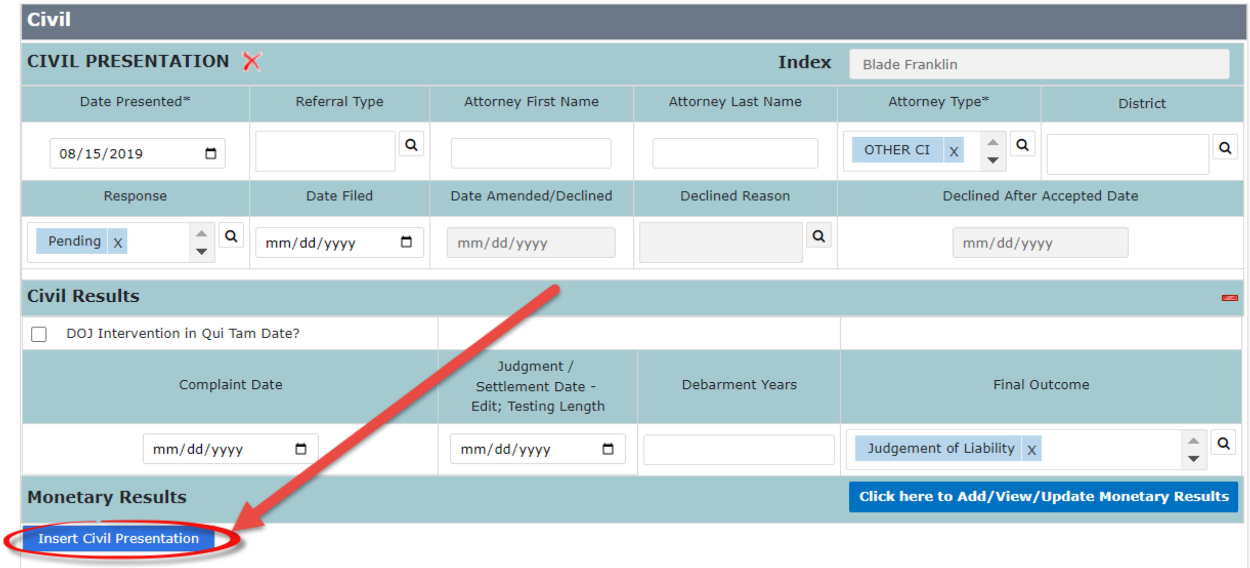


19. The page refreshes and the results are now saved. Click **Return to Administrative View** to return to the results listing.

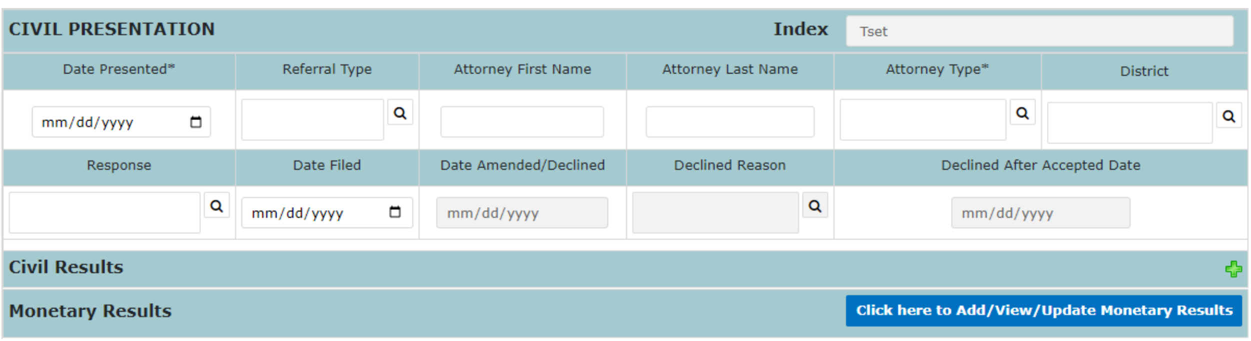
3.5.2 Civil

Within a Civil Referral there are three subsections: *Civil Presentation*, *Civil Results* and *Monetary Results*. To create a new Civil Referral, follow the steps below:

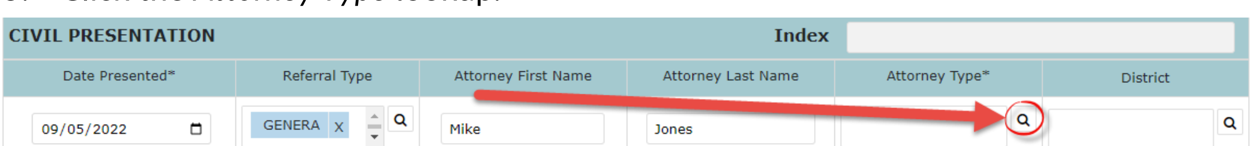
1. From an Investigation folder, click the **Referral Results** tab, then locate an entity to receive the referral and click the corresponding **Civil** button:
2. The page refreshes to display any previously created Civil referrals. Click **Insert Civil Presentation** to add a new Civil Presentation:



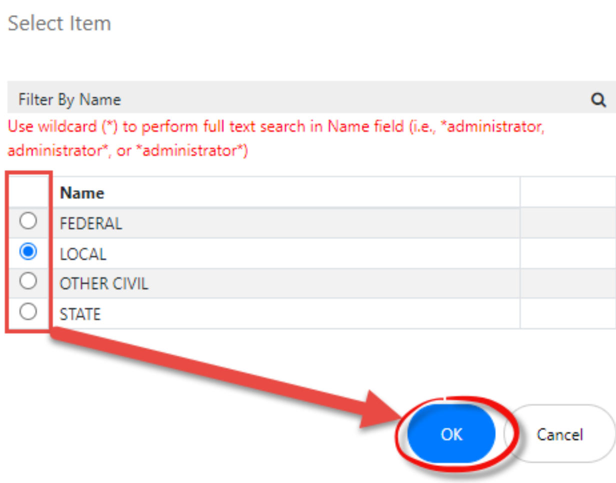
3. The screen refreshes again to display new fields for capturing the Civil Presentation. Additionally, there are areas for capturing *Civil Results* and *Monetary Results*. First, complete the required fields within the *Civil Presentation* subsection.



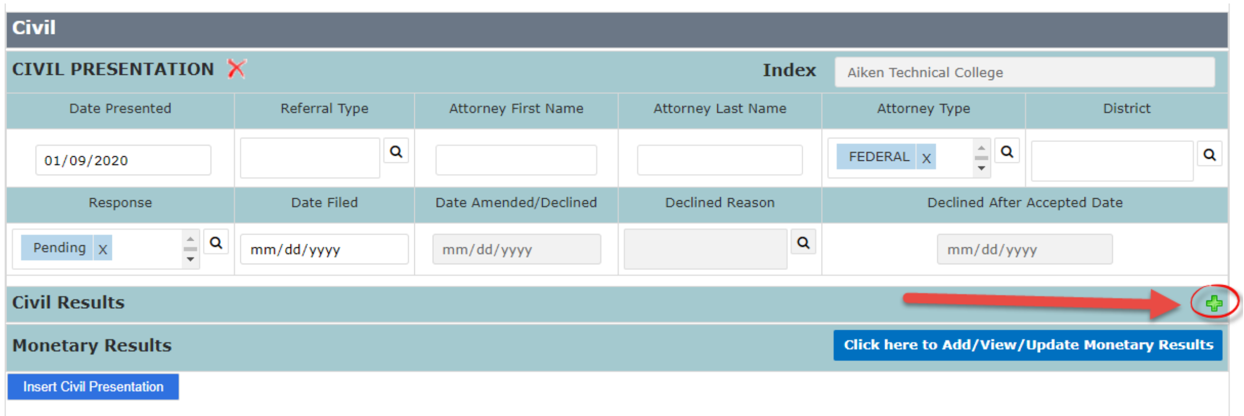
4. Select the *Date Presented* using the date picker.
5. Click the *Attorney Type* lookup.



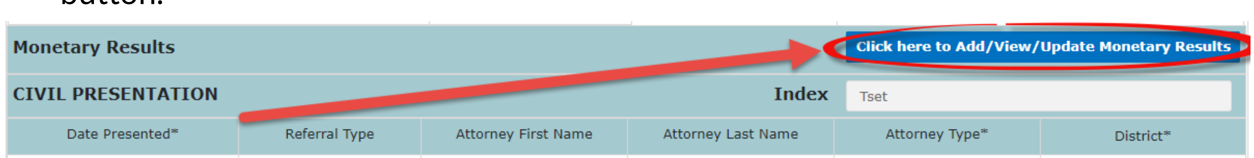
6. The *Select Item* pop-up window appears. Click the **radio button** next to the entry, and then click **OK**.



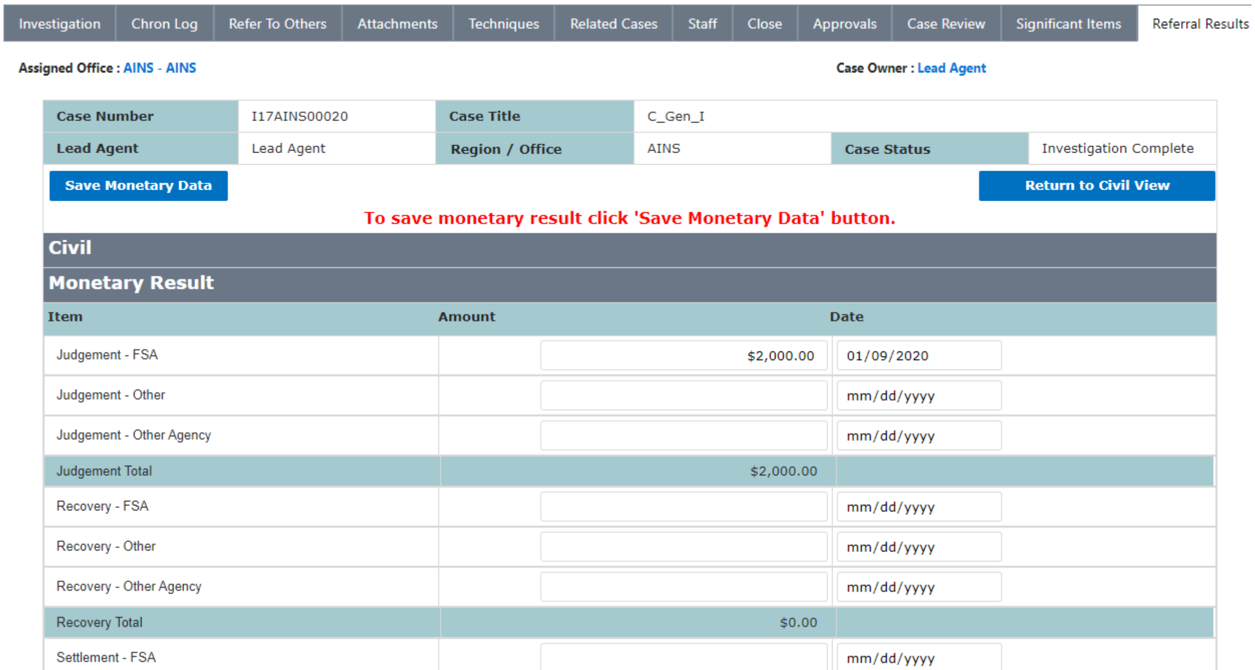
7. The pop-up window closes, and the selected entry appears in the field. If applicable, complete the *Referral Type*, *Attorney Name*, *District*, *Date Filed/Amended*, and other fields.
8. Click **Save**.
9. To add Civil Results, click the green **Plus** sign in the appropriate section of the form:



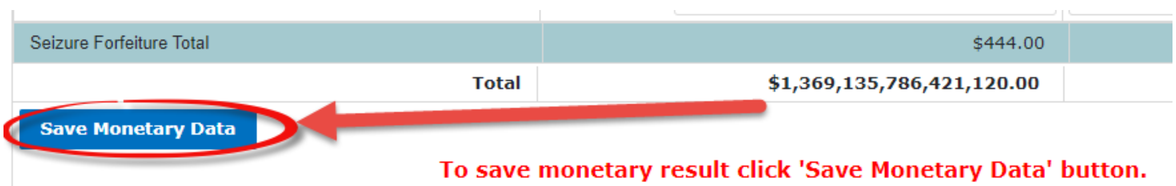
10. The page refreshes and additional fields appear for capturing the Civil Results information. Complete these fields, if applicable, and then click **Save** to save the information.
11. To capture Monetary Results, click the **Click here to Add/View/Update Monetary Results** button.



12. The screen refreshes to show fields for capturing *Monetary Result* information. Enter as much information as possible in the fields provided for capturing *Amount* and *Date*.



13. When all data is entered in the form, click **Save Monetary Data** to save the monetary result.

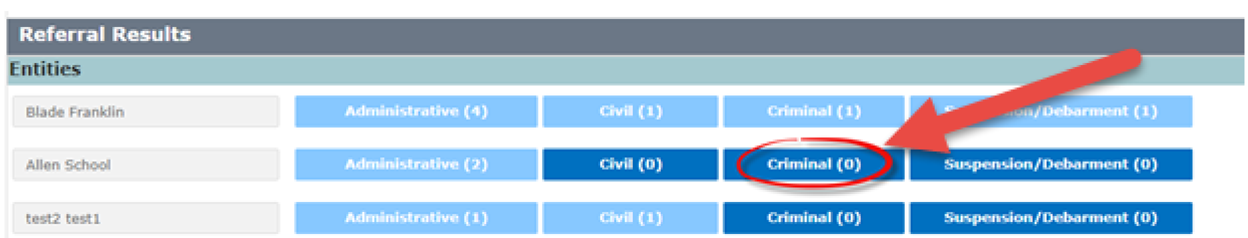


14. When complete, click **Return to Civil View** to return to the Civil referral screen.

3.5.3 Criminal

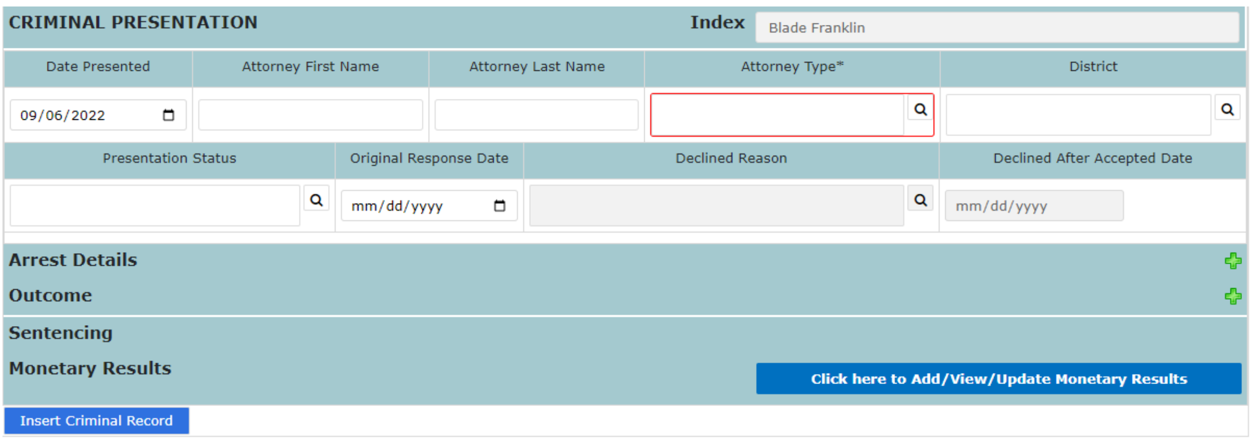
Each Criminal referral in this section contains five subsections: *Criminal Presentation*, *Arrest Details*, *Outcome*, *Sentencing*, and *Monetary Results*. To create a new Criminal Referral, follow the steps below:

1. Open an Investigation folder and navigate to the *Referral Results* tab. Locate the entity to receive the referral and click the adjacent **Criminal** button:

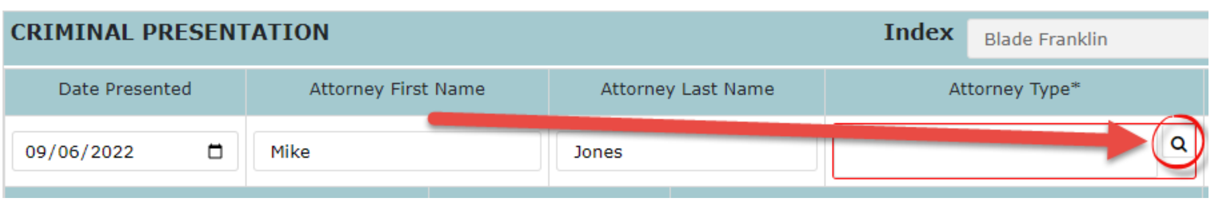


2. The page refreshes to display the expanded *Criminal Referral* workspace. Click **Insert Criminal Record** to add a new entry.

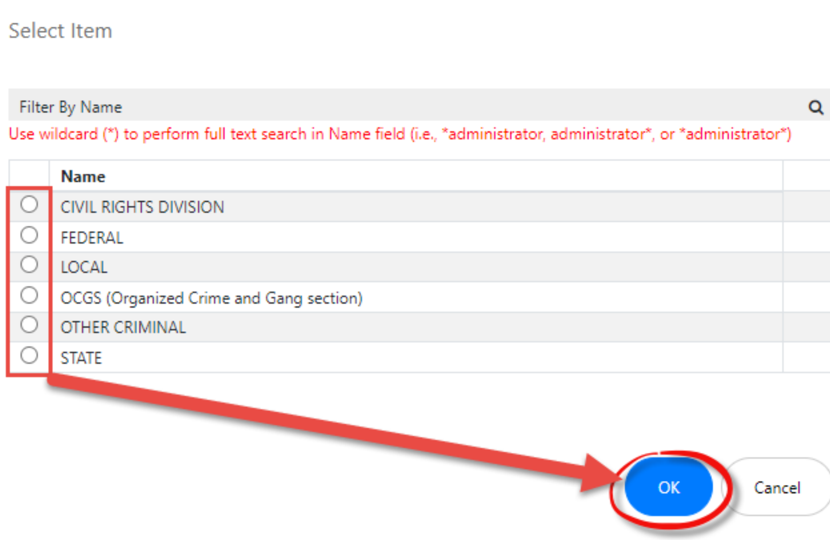
3. The screen refreshes to show additional fields within the *Criminal Presentation* subsection, as shown below. Additionally, there are spaces to capture the *Arrest Details*, *Outcome*, *Sentencing*, and *Monetary Results*. Complete these fields, if possible.



4. Click the **Attorney Type** lookup.

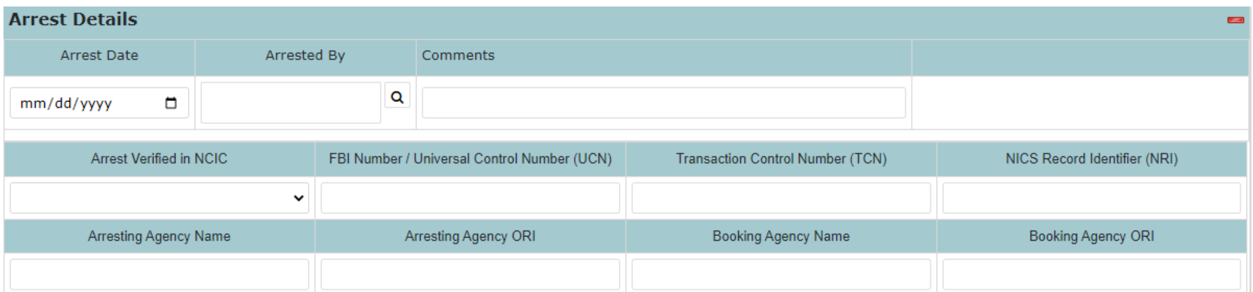


5. The *Select Item* pop-up window appears. Click the **radio button** next to the selection, and then click **OK**.



6. After all fields are complete, click **Save** to save the details.
7. Next, you must add *Arrest Details* information. Click the green **+** on the *Attest Details* line to expand the fields:

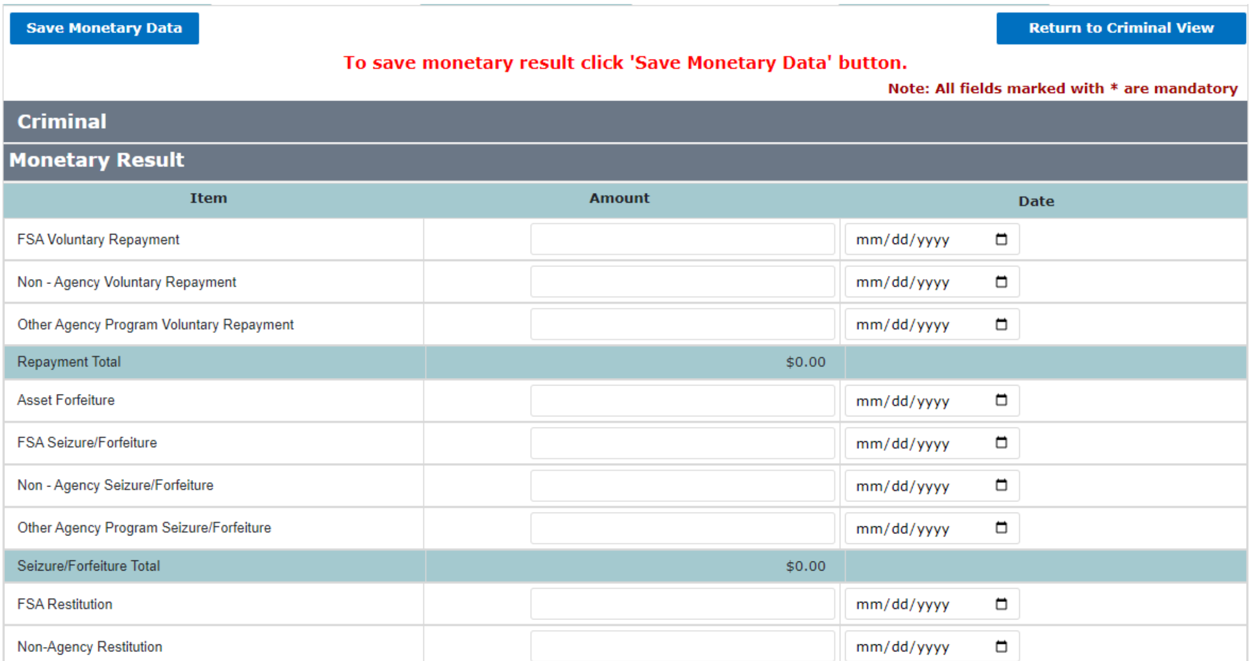
8. The page refreshes to display additional fields used for capturing the *Arrest Details*. Complete as many fields as possible and then click **Save** to save data entered in these fields.



9. Click the **+** to expand the *Outcome* fields, as shown below:

10. The page refreshes to display additional fields. Complete as many fields as possible, then click **Save** to save the *Outcome* details.

11. To capture Monetary Results, click **Click here to Add/View/Update Monetary Results**.
12. The screen refreshes to display additional fields for capturing *Monetary Result* information. Provide as much detail as possible in the fields provided. Fields exist for different types of monetary results, including dates and amounts.

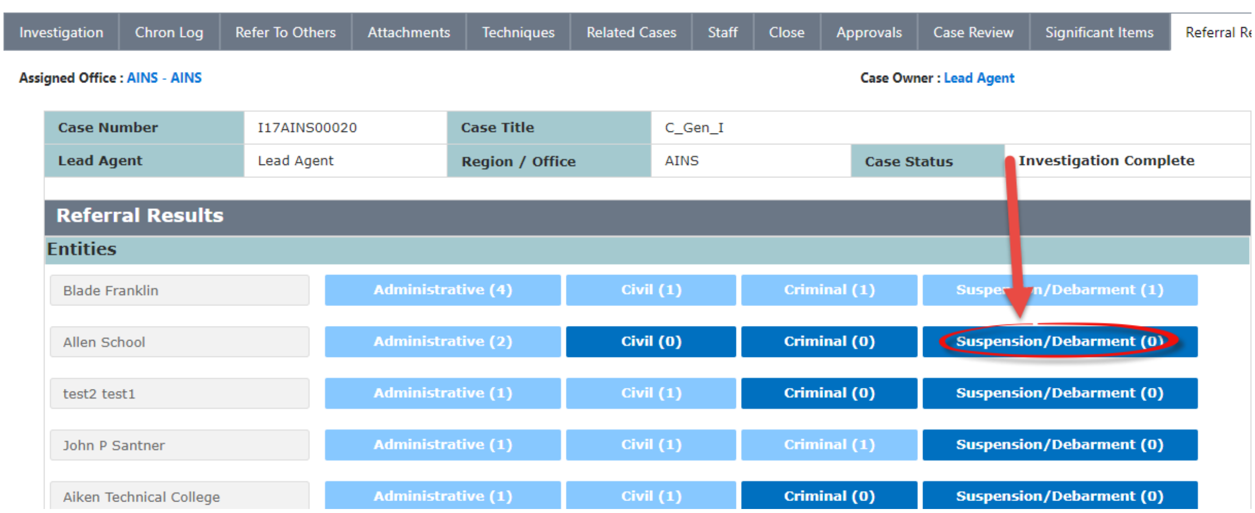


13. Click **Save Monetary Data** to save the monetary result information.

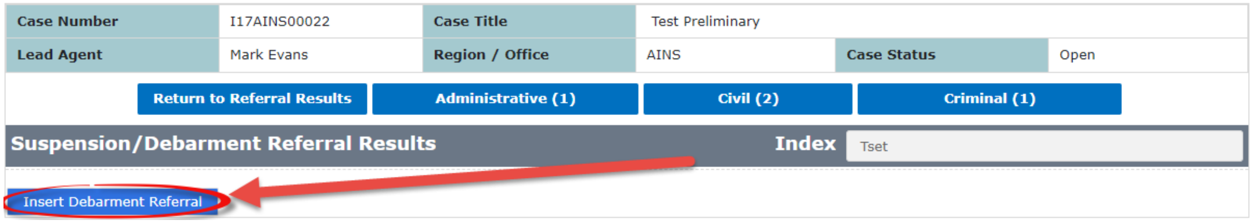
3.5.4 Suspension/Debarment

Follow the steps below to log a Suspension/Debarment Referral.

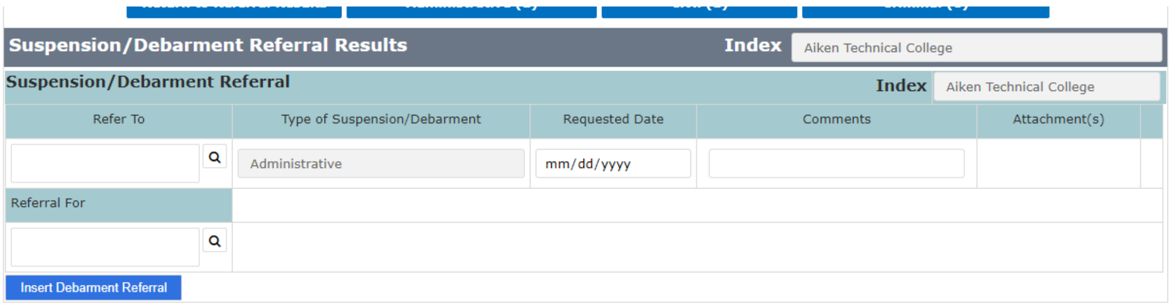
1. Open an Investigation folder and navigate to the **Referral Results** tab.
2. Locate an entity to receive the referral and click the adjacent **Suspension/Debarment** button.



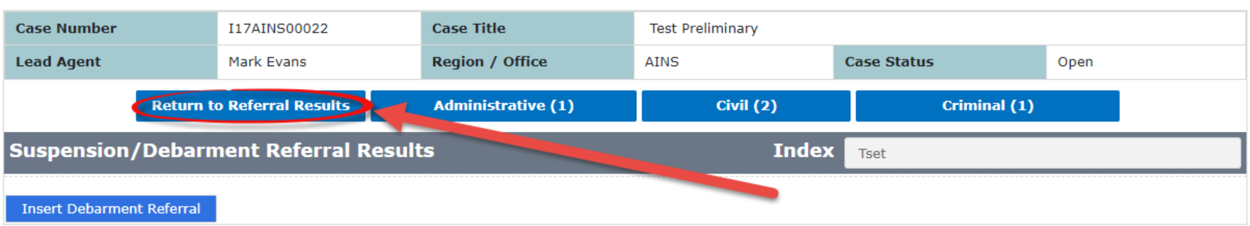
3. The page refreshes to display the *Suspension/Debarment Referral Results* workspace. Click the **Insert Debarment Referral** button.



4. The page refreshes to display additional fields for capturing the Suspension/Debarment Referral, as shown below:



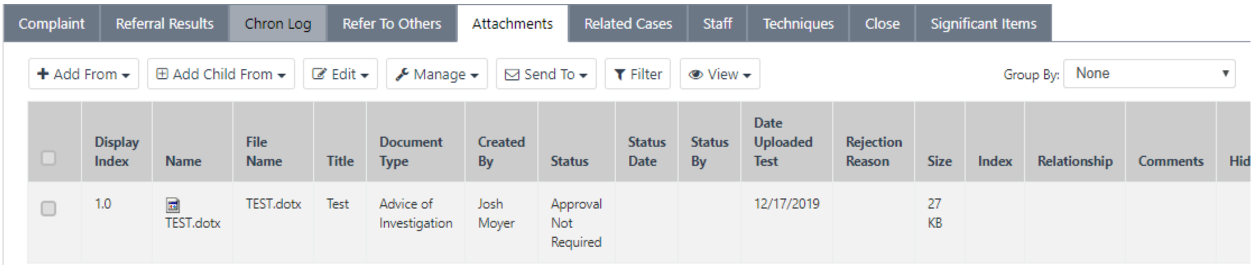
5. Complete the fields to capture details on the Suspension/Debarment Referral Results.
6. When complete, click **Save** to record the changes.
7. After all referrals are complete, click **Return to Referral Results** to return to the previous screen.



3.6 Attachments

3.6.1 About the Investigations Attachments Tab

The *Attachments* tab allows you to add attachments and child attachments to a case, as well as manage these attachments using the **Check Out/In, Send To,** and **OCR Document** functions. Attachments across the case folder are stored within this tab and are sorted by *Attachment Type* and *Document Type*.



The *Add From* drop-down list is the primary method in which new attachments can be added to a case. You must select the attachment type, document type, description, etc. to add an attachment. The *Add From* drop-down list allows you to add attachments to the case from the following locations:

- **My Computer**: Add an attachment from the local desktop.
- **Default Attachments**: Add an attachment from the default attachments, if configured.
- **Case**: Add an attachment from an existing case. eCASE opens the Search Case Documents window, allowing you to search for and select any existing case documents.

3.6.2 Adding Attachments

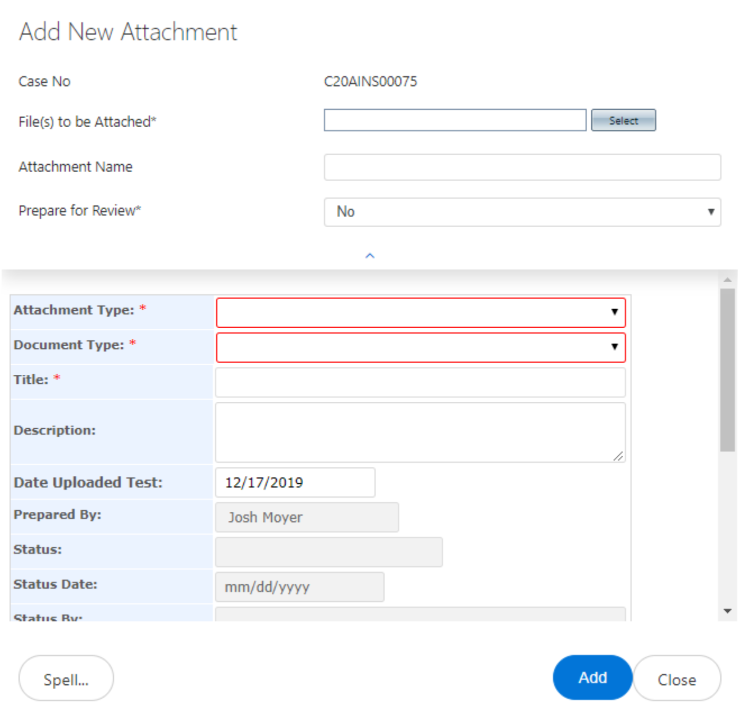
The fields described below are only available within the **Add From > My Computer** option, which is the most frequently used attachment source. They include:

- **Case Number**: This field is auto populated and inherited from the current case.
- **File(s) to be Attached**: The **Select** button allows you to select the attachment(s) from a local computer.

(!!) Note: Required fields are indicated by a red asterisk (*).

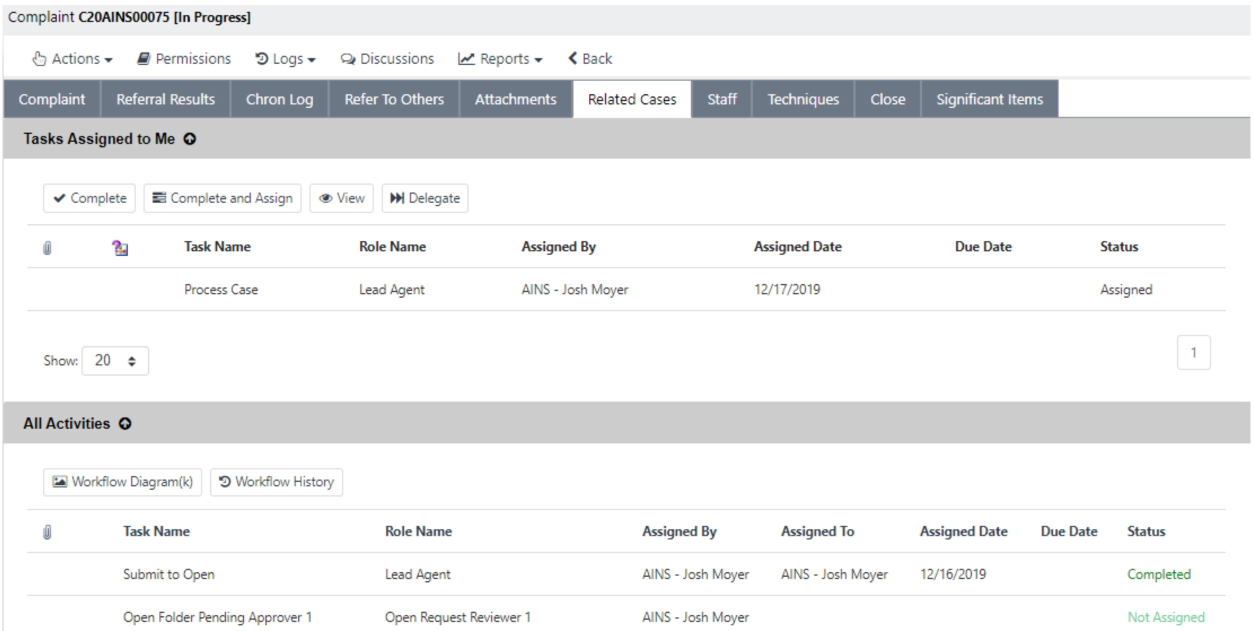
- **Attachment Name**: You can enter an alternative name for the attachment into the *Attachment Name* field, which replaces the original file name within eCASE.
- **Prepare for Review**: Select Yes to automatically assign the attachment to the designated user for review. Selecting Yes in this field prompts additional fields to appear. You can click the **Assigned To** lookup to designate the user to assign this review.
- **Attachment Type**: Select the **attachment type** from the *Attachment Type* drop-down list.
- **Document Type**: Select the **document type** of the attachment from the *Document Type* drop-down list.
- **Title**: Enter a title for the attachment. This field will overwrite the existing document title upon upload.
- **Description**: Enter a **description** of the attachments within the *Description* field.

- **Date Uploaded**: This field is auto generated and uses the current date, however it can be altered via the date picker.
- **Prepared By**: This field is auto generated and displays the current user who is adding the attachment.
- **Status**: This field displays the current status of the document. Some attachments require approval prior to uploading, (via the **Submit for Review** and **Resubmit** buttons). It displays the *Approval Not Required* status if the there are no approval requirements for the attachment, otherwise it displays *Submit for Approval*.
- **Status Date**: Select the **status change date** of the attachment by using the *Status Date* picker.
- **Status By**: This field is automatically generated and displays the user who approved/rejected the attachment.
- **Rejection Reason**: If the attachment is rejected, you must enter a **rejection reason** within the *Rejection Reason* field.
- **Is Grand Jury**: Click the **Is Grand Jury** checkbox if the attachment is grand jury related.
- **Is Sensitive/ExParte**: Select the **Is Sensitive/ExParte** checkbox if the attachment is sensitive/ExParte.
- **Potential Exhibit**: Select the **Potential Exhibit** checkbox if the attachment is a potential exhibit.



3.7 Related Cases

The *Related Cases* tab allows you to manage all tasks related to the case and linked folders. Its task management workspaces include *Tasks Assigned to Me*, *All Activities* and *Linked Folders*. All potential tasks can be viewed and managed within this tab. Converted cases and other linked case are available within the *Linked Folders* option.

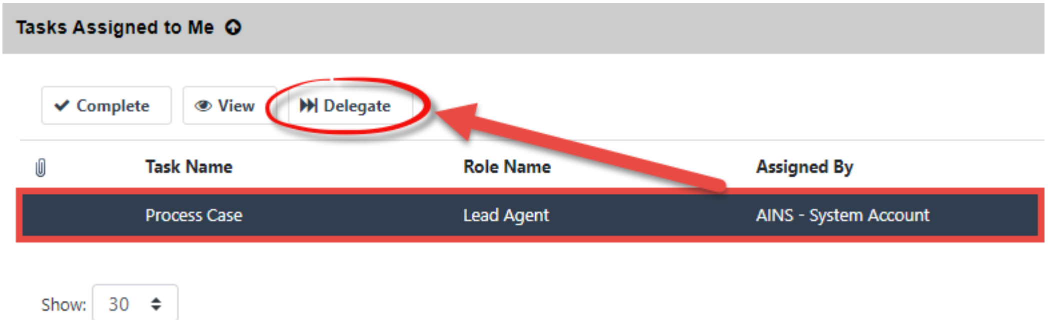


The *Tasks Assigned to Me* subsection is only available to users who have ongoing tasks assigned to them, otherwise this subsection does not appear. You can **Delegate** a task within this tab. You cannot use the **Complete** or the **Complete & Assign** buttons to progress the case through the workflow; instead, they must use the *Approvals* tab.

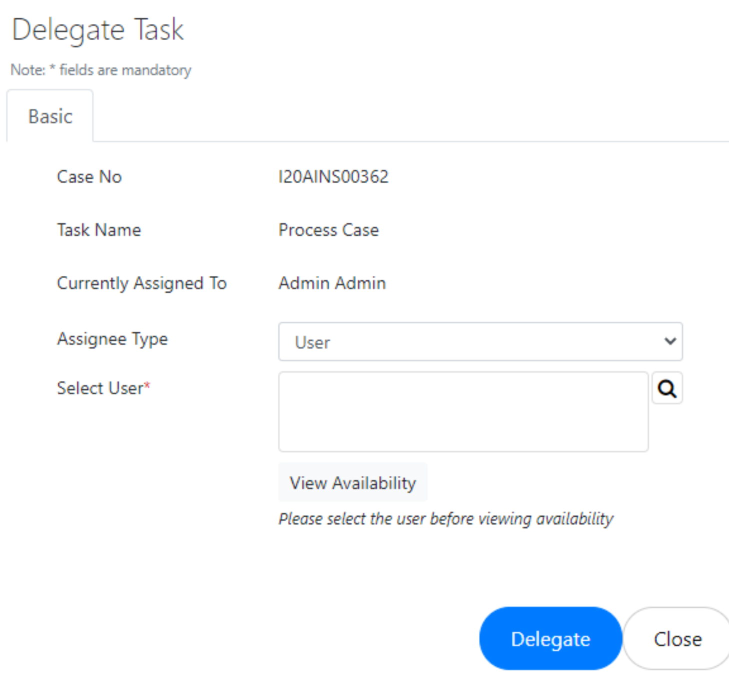
3.7.1 Delegate Assigned Tasks

To delegate a task:

1. Open the Investigation Case Folder and navigate to the *Related Cases* tab.
2. Within the *Tasks Assigned to Me* workspace, select the assigned task to delegate and click **Delegate**.



3. The *Delegate Task* window appears. Select the **Assignee Type** from the drop-down list. Menu options include:
    a. *User*: Select the **user that the task is delegated to** by clicking the **search** icon within the *User* field.
        i. The **View Availability** button allows you to check the selected user's availability according to that user's calendar.



(!!) Note: Selecting any other value from the Assignee Type drop-down list prompts the page to refresh and display additional fields.

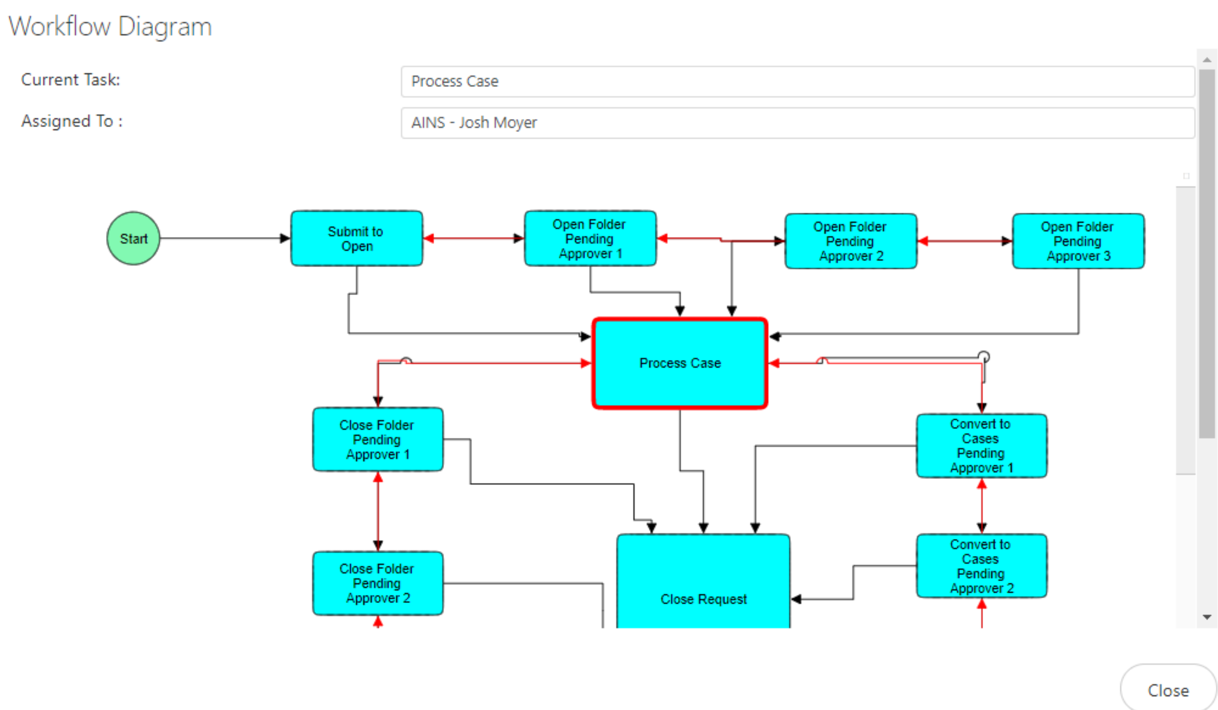
    b. *Office Queue*: Select the **office to delegate the task to** from the Office Queue field.
    c. *Case Owner*: The **Case Owner** field is static, and delegates the task back to the case owner if you are not the case owner.
    d. *Previous Task Assignee*: The **Previous Task Assignee** field is static, and delegates the task back to the previous task assignee.

4. After selecting the Assignee Type and, if applicable, user or office, click **Delegate**. The pop-up window closes, the tab refreshes, and the task is assigned to the selected assignee.

3.7.2 All Activities

The *All Activities* subsection displays a list of all possible activities, which are populated by the workflow template. Each task can be delegated to other users.

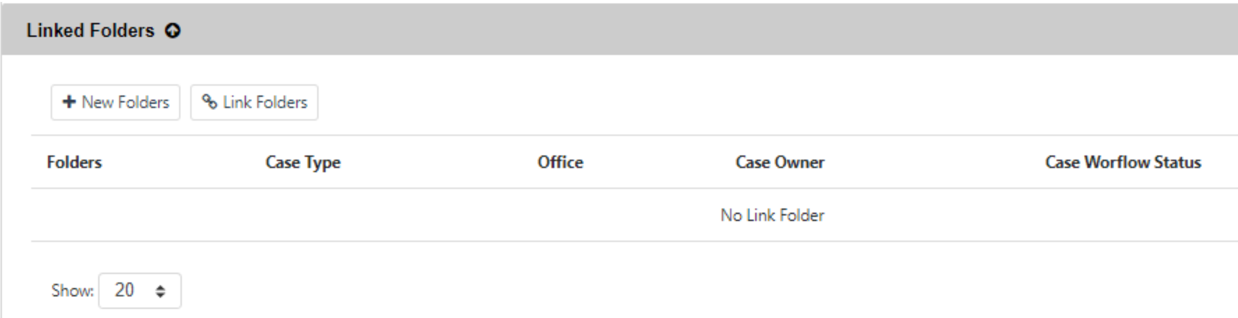
You can click the **Workflow Diagram(K)** button to view a diagram depicting the current workflow:



The **Workflow History(j)** button displays task(s) that have been performed in any related cases. You can print this report.

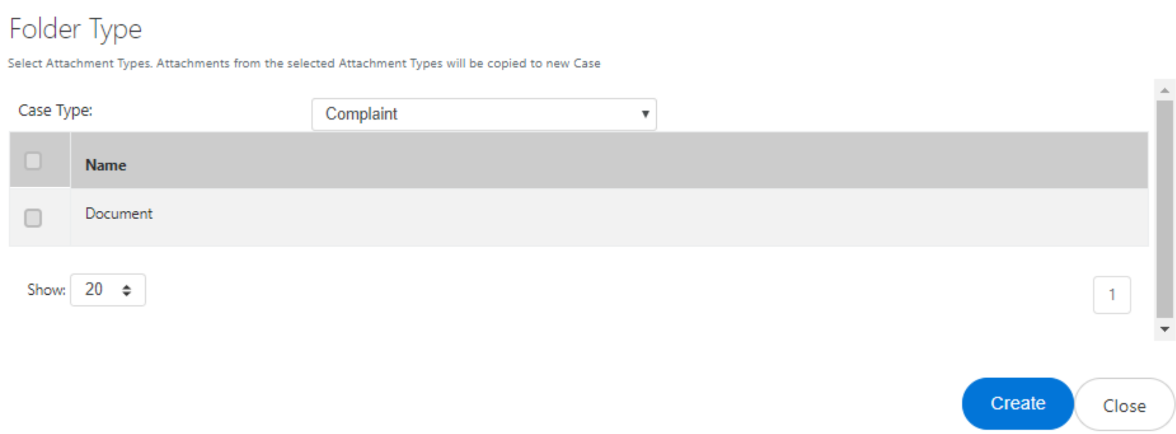
3.7.3 Linked Folders

The *Linked Folders* subsection displays all cases linked to the current case.



The **New Folders** button allows you to create a new case linked to the current case. To create a new case:

1. Click the **New Case** button. The *Folder Type* window appears.
2. Select a **case type** from the *Case Type* drop-down list.



3. Click **Create**. The new case appears within the *Linked Folders* subsection.

The **Link Folders** button allows you to search the cases which link with the current case. To link a case:

1. Click **Link Folders**. The *Search Folders* window appears.

2. Enter any relevant search criteria in the available fields, including:

   a. **Case Number**: Search cases by case number.
   b. **Case Owner**: Search all cases owned a user.
   c. **Subject**: Search all cases related to this subject.
   d. **Case Status**: Search all cases with the selected case status.
   e. **Current Task Assigned To**: Search cases which these cases' Current Task Assigned To the following (Any, User, Group, Office, or Office Queue).
3. Click **Search**. The system displays all relevant search results.
4. Select a case from the search results and click **Select**. The two cases are now linked. You can take additional linked case actions by clicking the **Linked Case Actions(r)** drop-down list. Options include:
   a. Open Case
   b. Unlink Case
   c. Details Report

All Activities

Workflow Diagram(k) | Workflow History

	Task Name	Role Name	Assigned By	Assigned To	Assigned Date	Due Date	Status
	Submit to Open	Lead Agent	AINS - Josh Moyer	AINS - Josh Moyer	12/16/2019		Completed
	Open Folder Pending Approver 1	Open Request Reviewer 1	AINS - Josh Moyer				Not Assigned
	Open Folder Pending Approver 2	Open Request Reviewer 2	AINS - Josh Moyer				Not Assigned
	Open Folder Pending Approver 3	Open Request Reviewer 3	AINS - Josh Moyer				Not Assigned
	Process Case	Lead Agent	AINS - Josh Moyer	AINS - Josh Moyer	12/17/2019		Assigned
	Close Request	Lead Agent	AINS - Josh Moyer	AINS - Josh Moyer			Not Assigned
	Close Folder Pending Approver 1	Close Folder Approver 1	AINS - Josh Moyer				Not Assigned

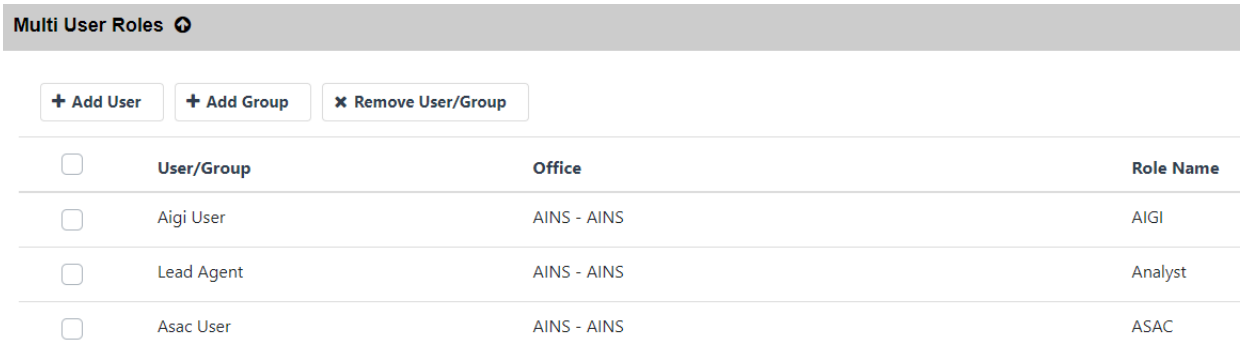
Tasks are color coded for quick reference:

- : Current Task
- : Next Task
- : Next Possible Task

3.8 Staff

The *Staff* tab allows authorized users to manage the users and groups who have access to a case. Additionally, authorized users can add a new user or group, or remove an existing user/group.

(!!) Note: If an additional user is added to the case via the Staff tab, any tasks assigned to any previous users with the same role are automatically reassigned to the new user.



Multi User Roles

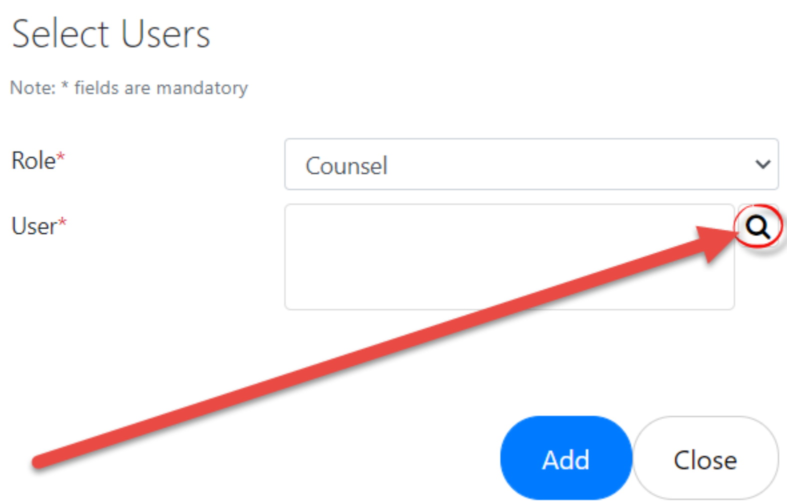
+ Add User | + Add Group | ✖ Remove User/Group

	User/Group	Office	Role Name
☐	Aigi User	AINS - AINS	AIGI
☐	Lead Agent	AINS - AINS	Analyst
☐	Asac User	AINS - AINS	ASAC

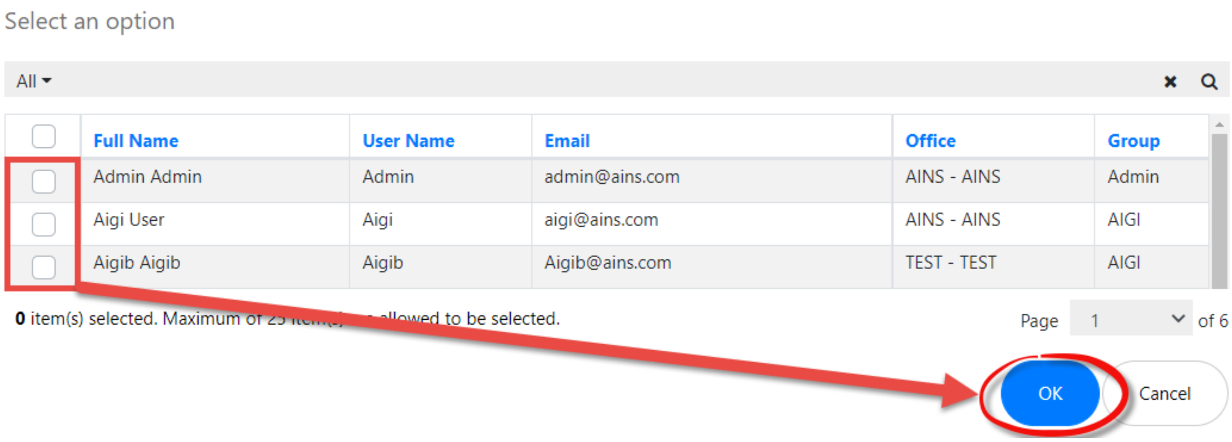
3.8.1 Add User

To add a new user to the staff list:

1. Open the case folder and navigate to the *Staff* tab.
2. Click **Add User**. The *Assign Role* pop-up window appears.
3. Select the **user role** from the *Role* drop-down list. The pop-up window refreshes to display additional fields.
4. Click the **User** lookup. The pop-up window refreshes to display a list of eligible users.



5. Click the **checkbox** next to the user name, and then click **OK**.

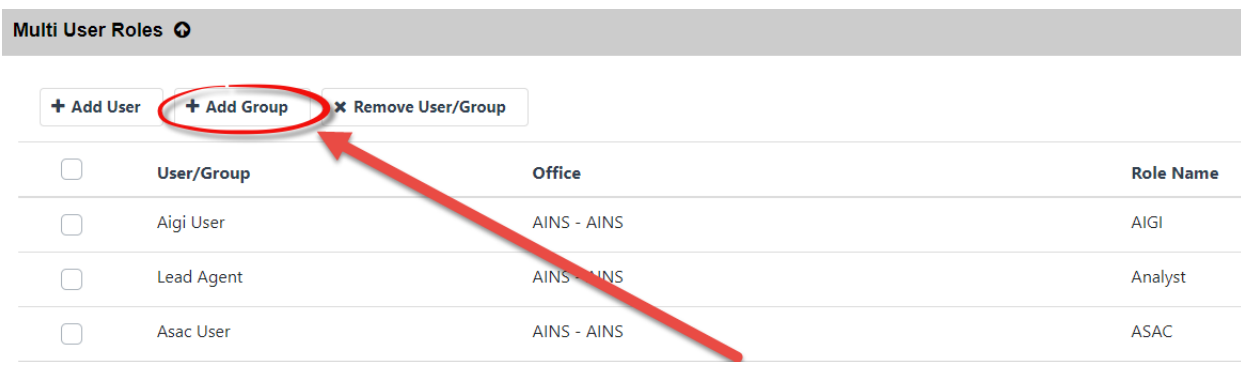


6. The pop-up window refreshes to display the selected user name in the *User* field. Click **Add**. The pop-up window closes, and the selected user now has access to the case and is visible within the *Staff* tab.

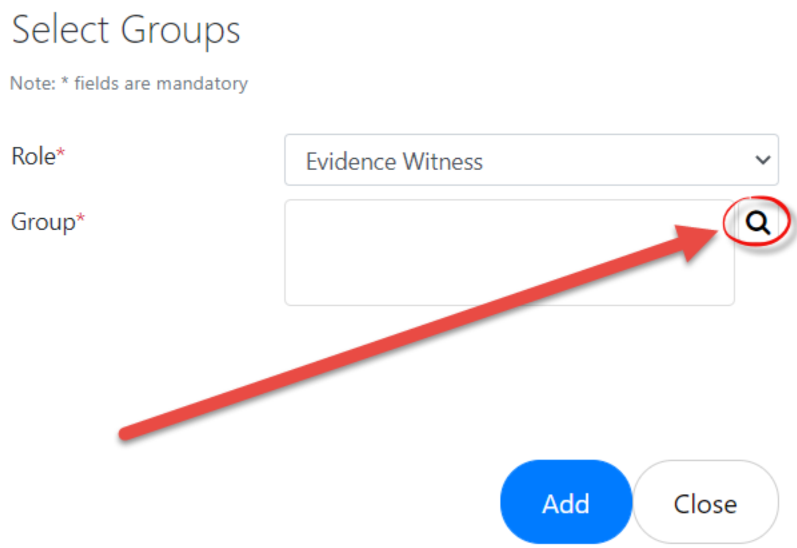
3.8.2 Add Group

To add a new group to the staff list:

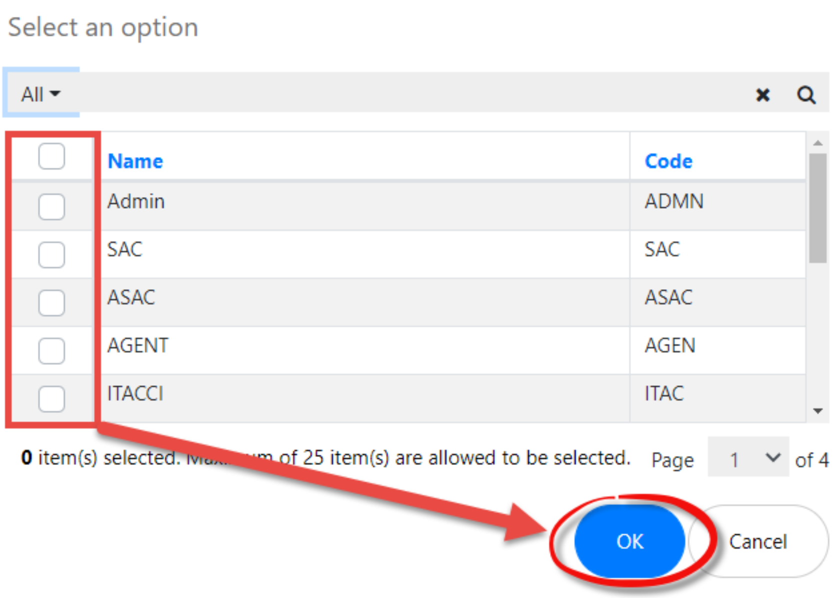
1. Open the case folder and navigate to the *Staff* tab. Click **Add Group.**



2. The *Assign Role* window appears. Select the **user role** from the *Role* drop-down list.
3. The pop-up window refreshes to display additional fields. Click the **Group** lookup icon.



4. The pop-up window refreshes to display a list of eligible groups. Click the checkbox next to the group and then click **OK**.

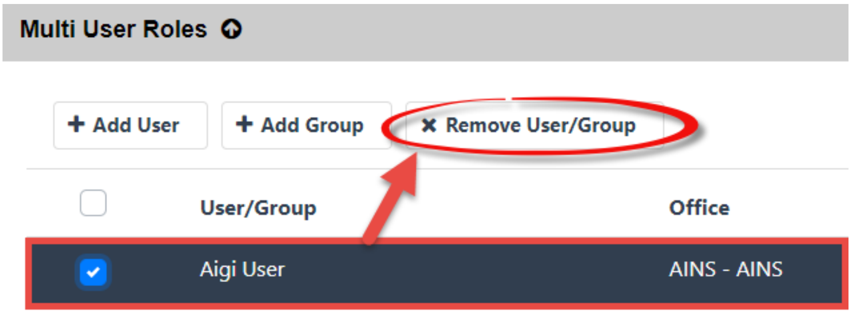


5. Click **Add.** The pop-up window closes, the *Staff* tab refreshes, and the selected group now has access to the case and is visible within the *Staff* tab.

3.8.3 Remove User/Group

To remove a user/group:

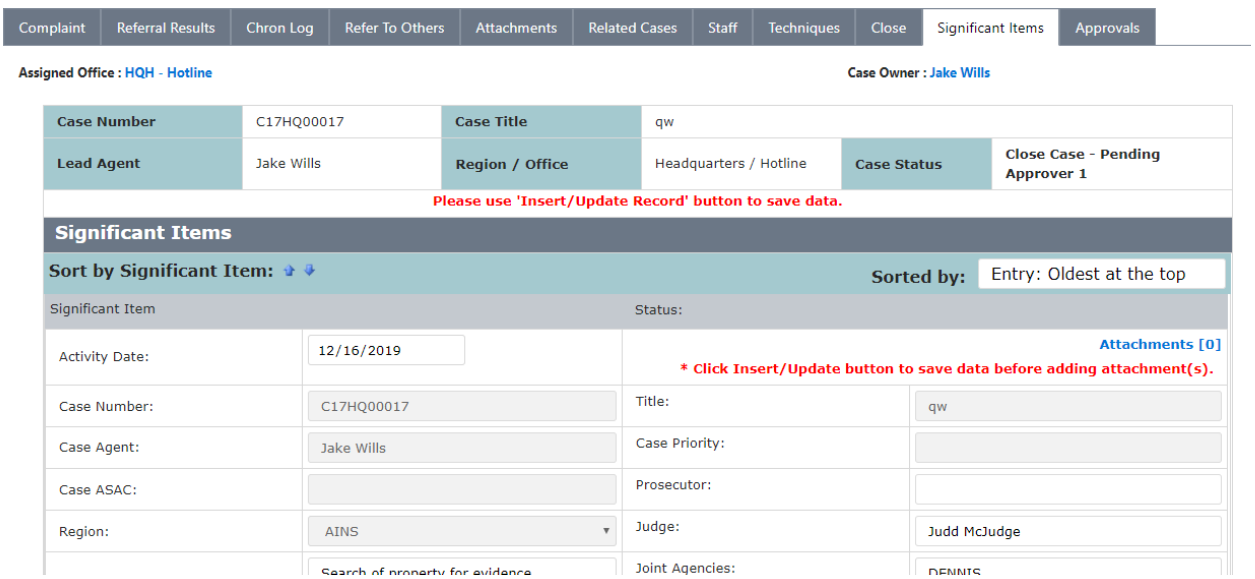
1. Open the case folder and navigate to the *Staff* tab.
2. Select a user or group from the list within the *Staff* tab.
3. Click **Remove**. The screen refreshes and the selected user is removed from the *Staff* tab.



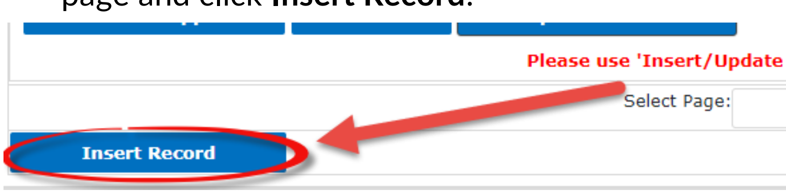
3.9 Significant Items

The *Significant Items* tab is used to document important events relating to the case. These events can include an arrest, search, trial, sentencing, etc. Follow the steps below to log an event under *Significant Items*:

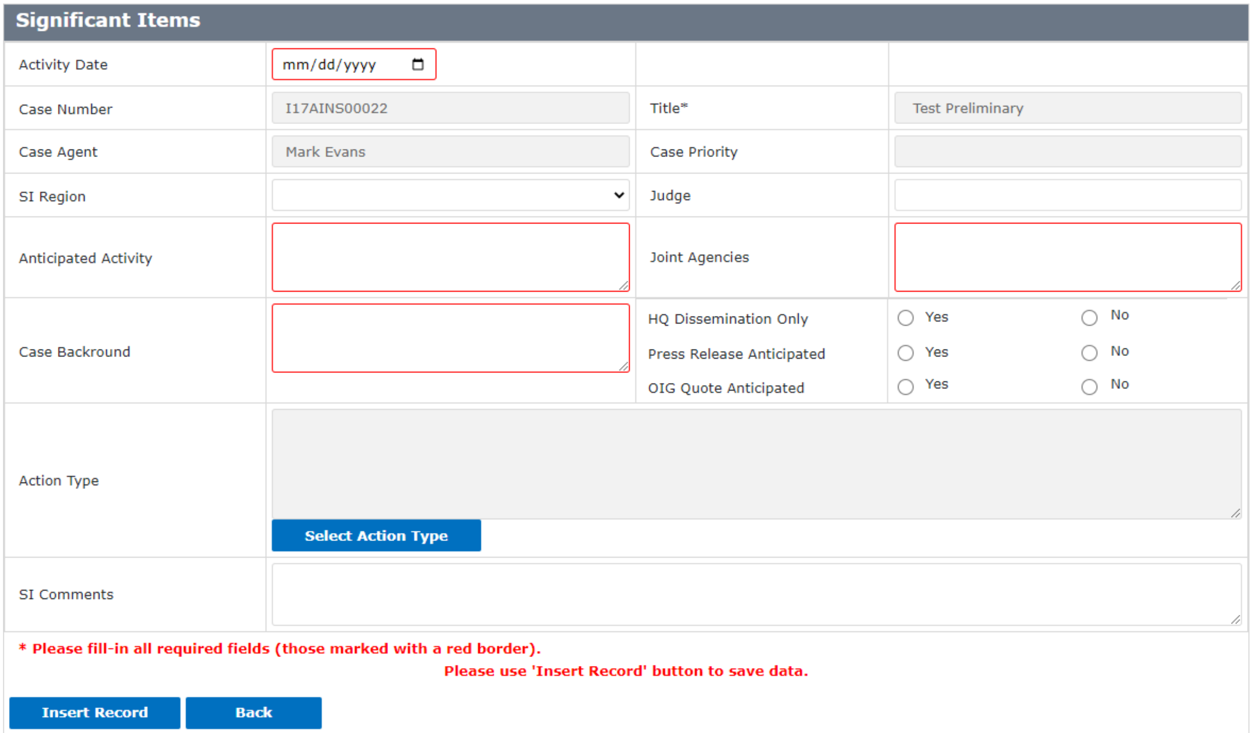
1. Open the case folder and navigate to the *Significant Items* tab.



2. Any previously created Significant Items are listed on this tab, with the oldest item appearing on top by default. To log a new Significant Item, scroll to the bottom of the page and click **Insert Record**.

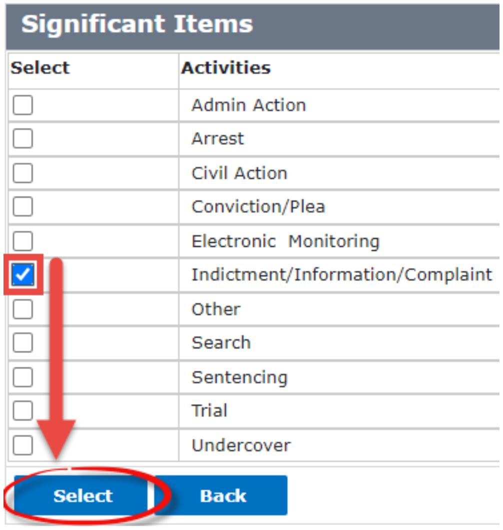


3. The page refreshes to display a new set of fields for logging a Significant Item. Complete the required fields, highlighted in red, starting by selecting the *Activity Date:*



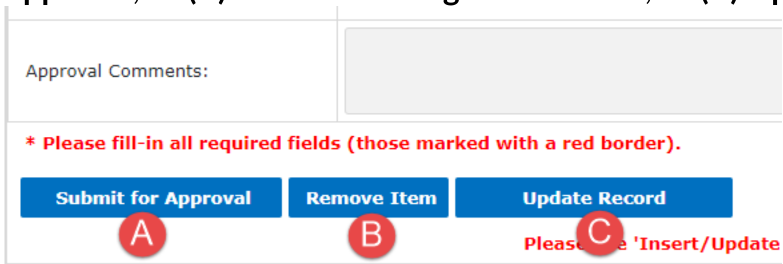
4. Complete the *Anticipated Activity* and *Case Background* fields.
5. Using the free text field, list all *Joint Agencies*.
6. Use the Yes/No radio buttons to indicate if the case is *HQ Dissemination Only*, *Press Release Anticipated*, and *OIG Quote Anticipated*.
7. Click **Select Action Type**.

8. The page refreshes to display the *Significant Items* workspace. Click the **checkbox** adjacent any Activities, and then click **Select**.

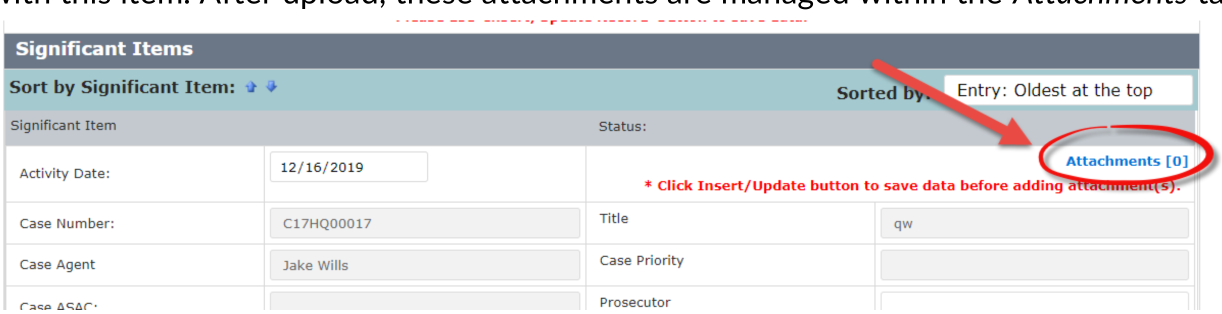


9. After clicking **Select**, the page refreshes to display the Investigation case folder, and the selected Activities appear in the *Action Type* field.
10. When all details are complete, click **Insert Record** to save the information.
11. A pop-up window appears, indicating that the Record was successfully added to the case folder. Click **Close**.

After the item is saved, buttons appear allowing you to **(A) Submit the Significant Item for Approval**, **to (B) Remove the Significant Item**, or **(C) Update the Record.**



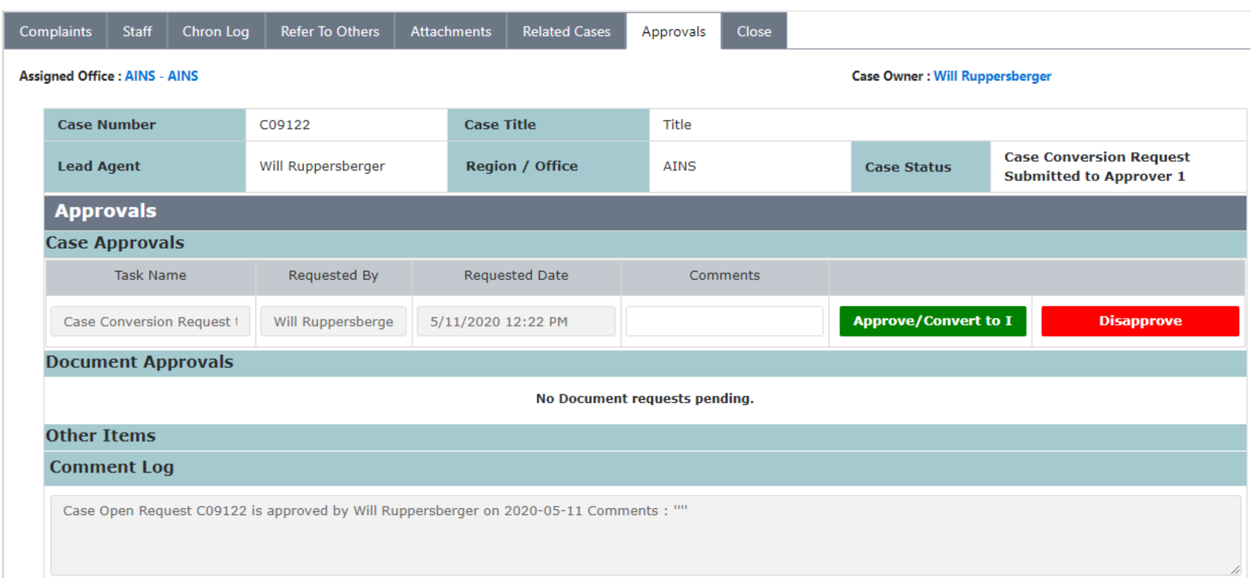
After the Significant Item is saved, you can click **Attachments** to add attachments associated with this item. After upload, these attachments are managed within the *Attachments* tab.



3.10 Approvals

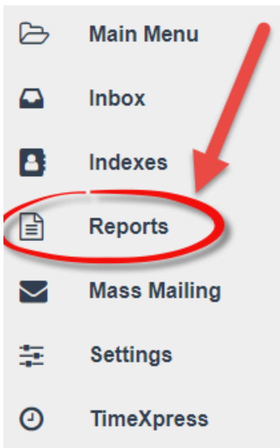
The *Approvals* tab displays all approval requests related to the case, including Case Approvals, Document Approvals and Other Items. For each action performed by an approver, an entry is added to the *Comment Log*.

- The *Case Approvals* subsection allows authorized users to approve/disapprove a case.
- The *Document Approvals* subsection allows authorized users to approve/disapprove documentation.
- The *Assistance Request Approvals* subsection allows authorized users to approve/disapprove requests assistance that have been assigned to other Investigations users.
- The *Significant Approvals* subsection allows authorized users to approve/disapprove significant approval requests.
- The *Case Activity Approvals* subsection allows authorized users to approve/disapprove Case Activity Approvals.
- The *Other Items* subsection allows authorized users to approve/disapprove miscellaneous requests within the case.
- The *Comment Log* records a log of approvals/comments/disapprovals for a case.



4 eCASE Reports

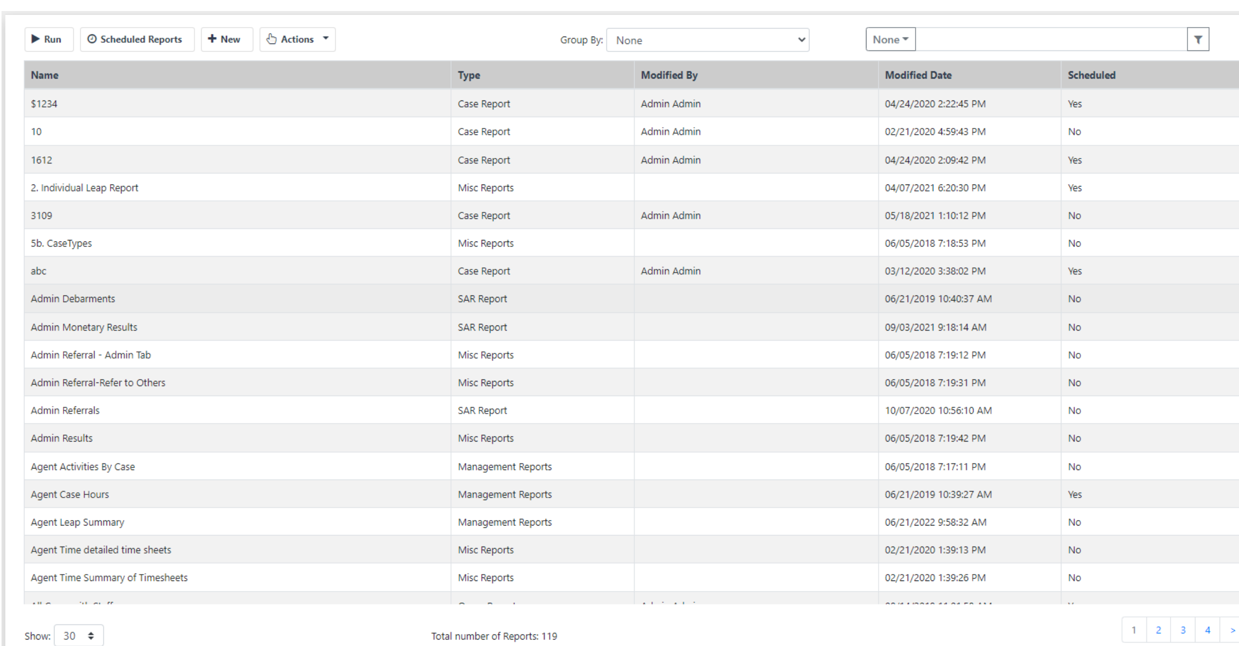
eCASE Investigation features a reporting tool that generates user-selected information about case folders that can be used to track information by date, time period, contact information, users working on folders, and task details under each folder. The *Reports* section is located within the *Launch Pad*, under the *Reports* drop-down arrow.



4.1 Application Reports

To run an application report:

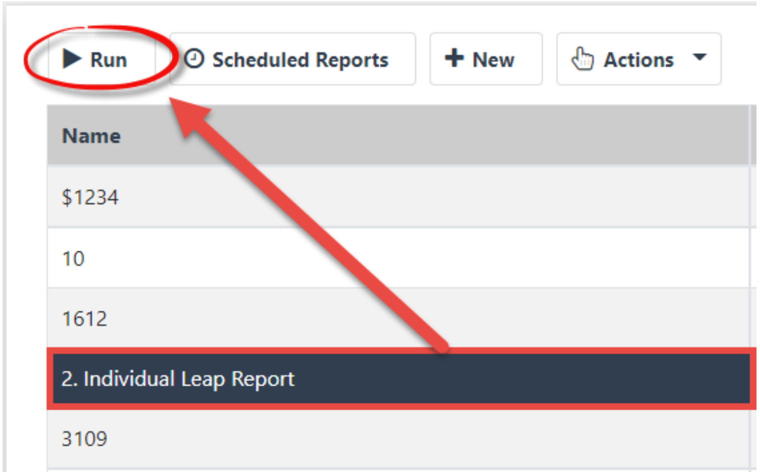
1. Click the **Reports** menu option within the *Launch Pad*. The page refreshes to display the *Reports List*.



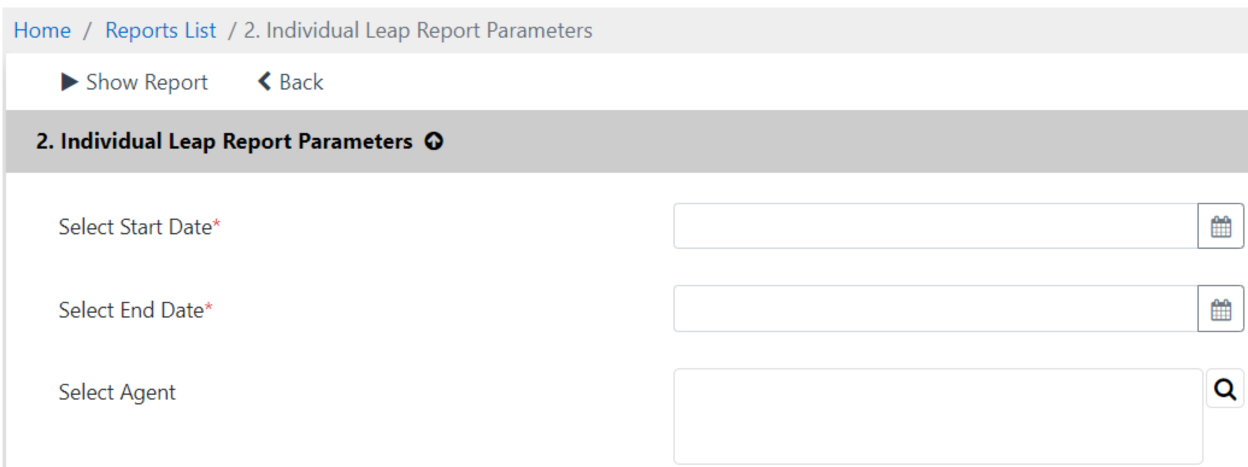
Name	Type	Modified By	Modified Date	Scheduled
$1234	Case Report	Admin Admin	04/24/2020 2:22:45 PM	Yes
10	Case Report	Admin Admin	02/21/2020 4:59:43 PM	No
1612	Case Report	Admin Admin	04/24/2020 2:09:42 PM	Yes
2. Individual Leap Report	Misc Reports		04/07/2021 6:20:30 PM	Yes
3109	Case Report	Admin Admin	05/18/2021 1:10:12 PM	No
5b. CaseTypes	Misc Reports		06/05/2018 7:18:53 PM	No
abc	Case Report	Admin Admin	03/12/2020 3:38:02 PM	Yes
Admin Debarments	SAR Report		06/21/2019 10:40:37 AM	No
Admin Monetary Results	SAR Report		09/03/2021 9:18:14 AM	No
Admin Referral - Admin Tab	Misc Reports		06/05/2018 7:19:12 PM	No
Admin Referral-Refer to Others	Misc Reports		06/05/2018 7:19:31 PM	No
Admin Referrals	SAR Report		10/07/2020 10:56:10 AM	No
Admin Results	Misc Reports		06/05/2018 7:19:42 PM	No
Agent Activities By Case	Management Reports		06/05/2018 7:17:11 PM	No
Agent Case Hours	Management Reports		06/21/2019 10:39:27 AM	Yes
Agent Leap Summary	Management Reports		06/21/2022 9:58:32 AM	No
Agent Time detailed time sheets	Misc Reports		02/21/2020 1:39:13 PM	No
Agent Time Summary of Timesheets	Misc Reports		02/21/2020 1:39:26 PM	No

Show: 30 Total number of Reports: 119 1 2 3 4 >

2. Select a **report** from the *Report Name* list, then click **Run Report**.

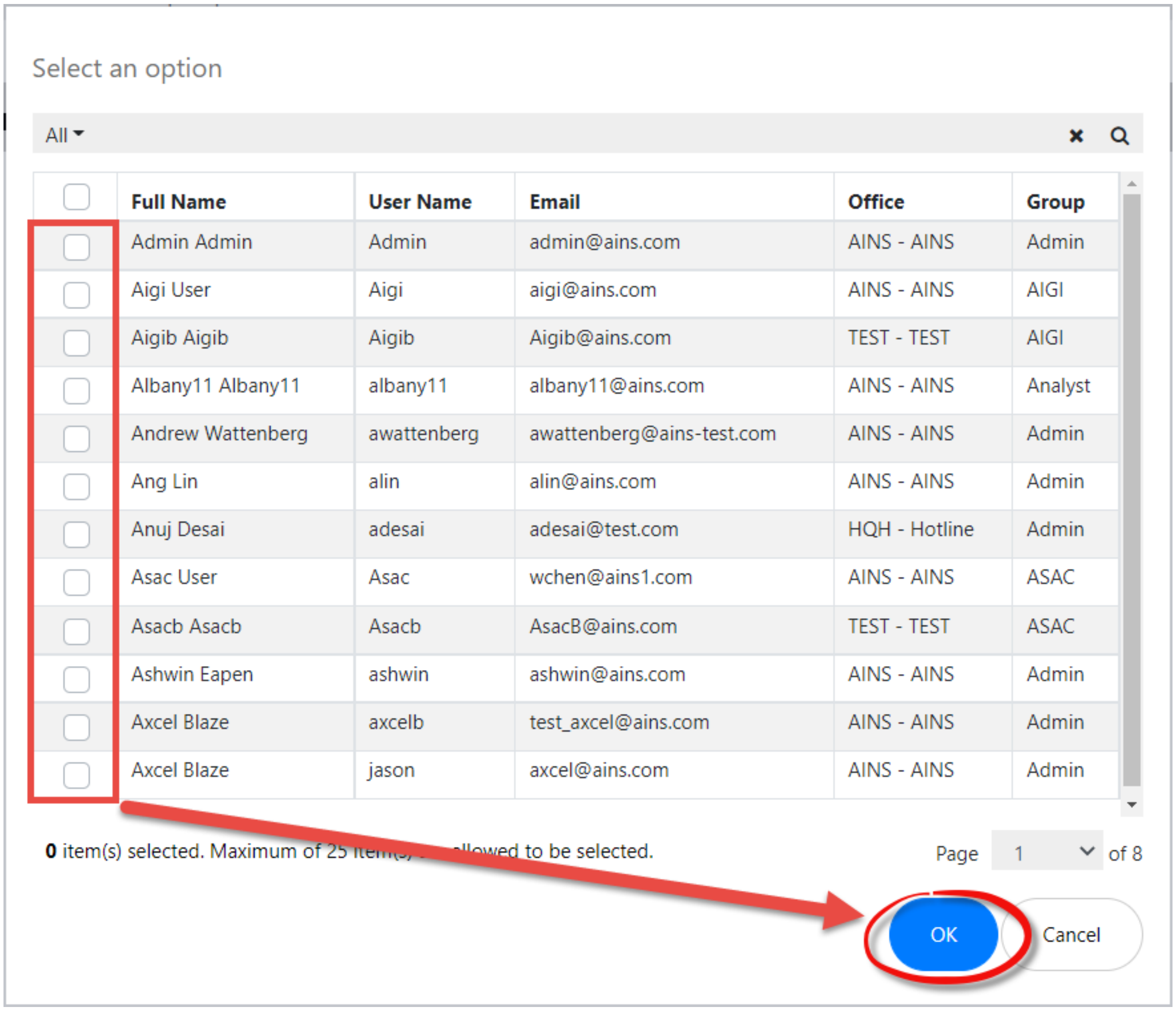


3. Select the **Start Date** and **End Date** for the report.



(!!) Note: The Parameter fields you must select vary between reports.

4. Click the **Select Agent** lookup. A pop-up window appears.
5. Click the **checkbox** next to the user and then click **OK**.



6. Click **Show Report**. The page refreshes to display a list of investigations cases that match the search criteria.

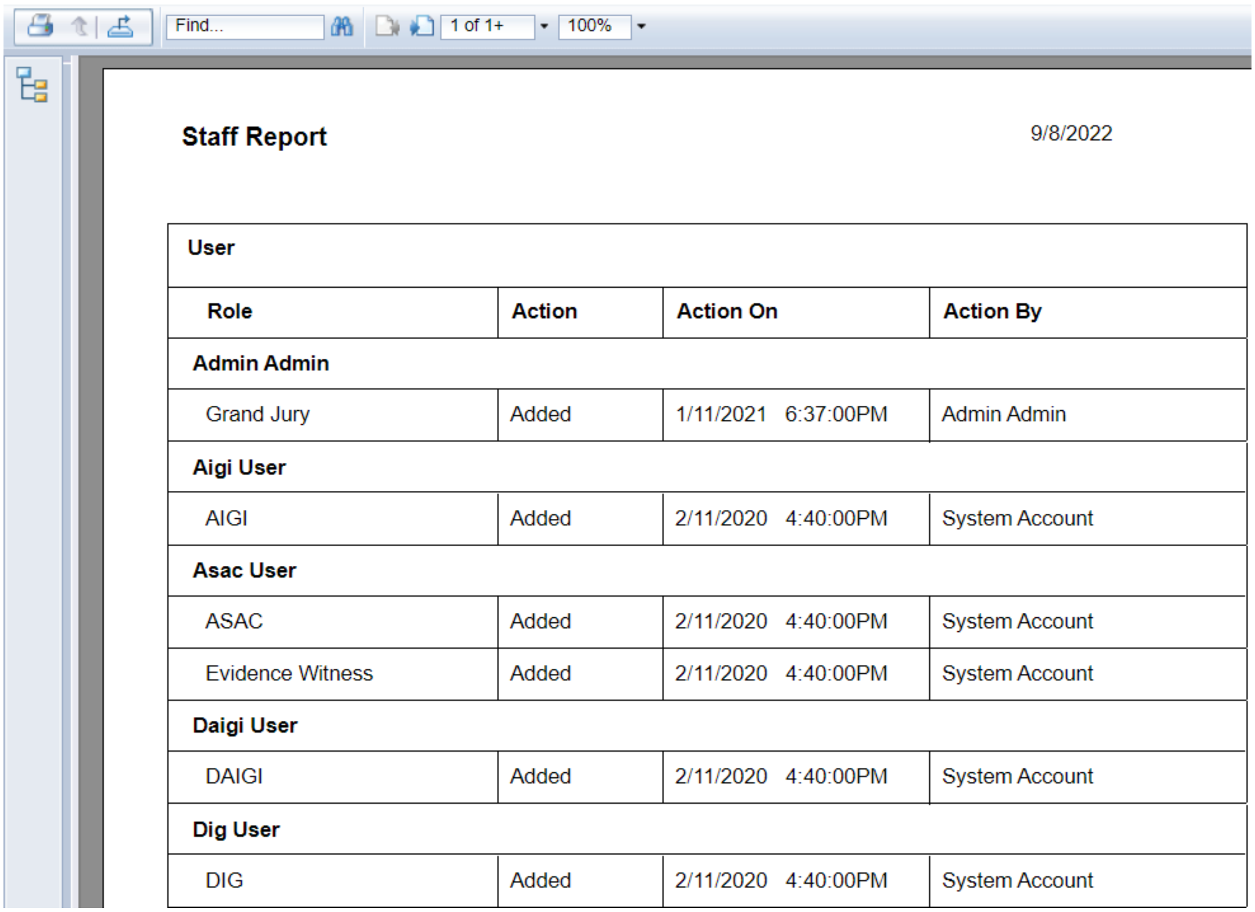
4.2 Folder Reports

To run a folder report:

1. Open the case folder and click the *Reports(y)* drop-down list.
2. The drop-down list expands. Select the **report**. Options include:
    a. Case Summary Report
    b. Chron Log Report
    c. Complaints Case Summary Report
    d. Completed Course List Report
    e. Course Status Report
    f. Investigation Summary Report
    g. Investigation Case Summary Report

   h. Preliminary Case Summary Report
   i. Staff Report
   j. Techniques Report

3. A pop-up window appears, containing the report.



Staff Report 9/8/2022

User			
Role	**Action**	**Action On**	**Action By**
Admin Admin			
Grand Jury	Added	1/11/2021 6:37:00PM	Admin Admin
Aigi User			
AIGI	Added	2/11/2020 4:40:00PM	System Account
Asac User			
ASAC	Added	2/11/2020 4:40:00PM	System Account
Evidence Witness	Added	2/11/2020 4:40:00PM	System Account
Daigi User			
DAIGI	Added	2/11/2020 4:40:00PM	System Account
Dig User			
DIG	Added	2/11/2020 4:40:00PM	System Account

4.3 Report Designer (Administrators)

eCASE Investigations utilizes the eCASE Report Designer module for creating custom reports. See the eCASE Administrator and App Design Manual for step-by-step instructions on using the designer tool.