DoD Role Based Insights on Demand (IOD) Training Guide

Version 8.5

December 18, 2018

DoD Role Based
IOD Training Guide 8.5

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Introduction

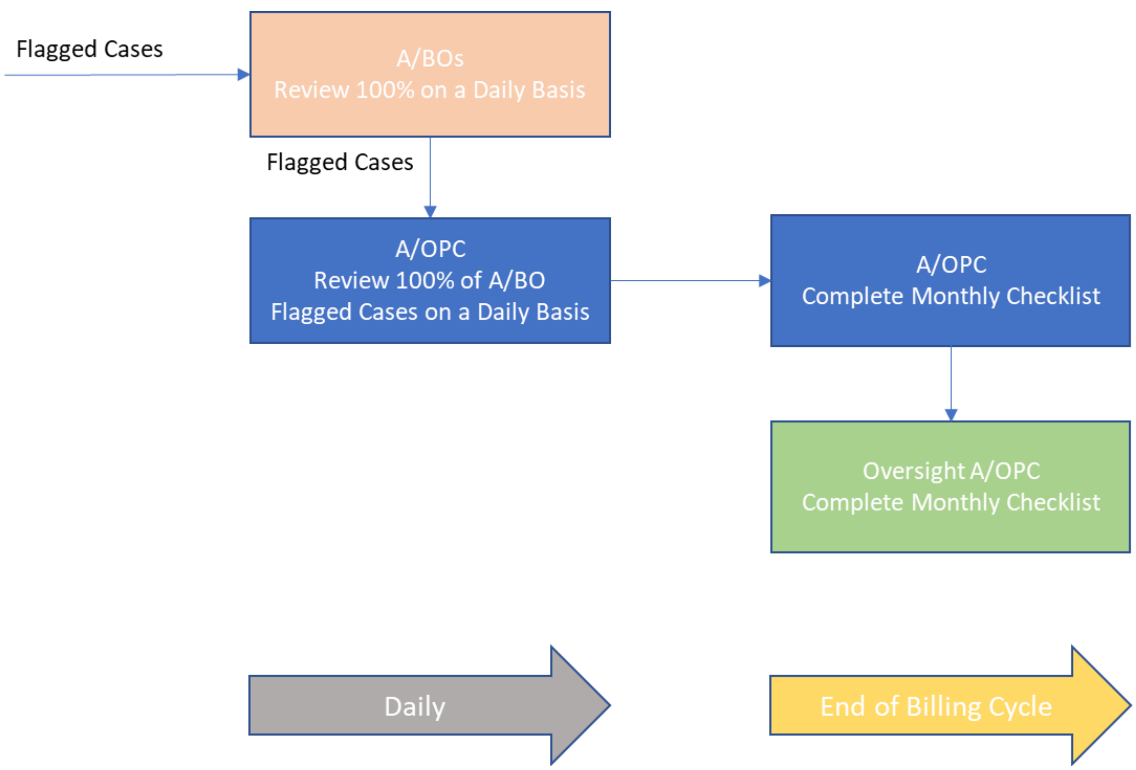
The *DoD Role Based Insights on Demand (IOD) Training Guide for Release 8.2* provides information needed for DoD Users to navigate and use IOD.

DoD User Roles

The table below depicts the user roles within DoD and provides a brief explanation of each role. IOD will be automatically configured to allow a user only to access the functionality for their specific role and cardholders within their assigned organization/organization.

The graphic below depicts the flow of cases through the DoD User roles.

- A/BO refers to an Agency Officer or Billing Officer
- A/OPC refers to an Agency/Organization Program Coordinator
- Oversight A/OPC refers to an Oversight Agency/Organization Program Coordinator
- Component Program Manager
- HA refers to Head of Activities



Each role is further described below from the lowest level of the hierarch to the highest:

DoD User	IOD Access	Responsibility within IOD
First Level Case Review		
A/BO – Level 6	Workbench	• Reviews 100% of assigned cases before the end of the billing cycle allowing time for higher level review.
Second Level Case Review & Monthly Checklist		
A/OPC – Level 3 A/OPC – Level 4 A/OPC – Level 5	Workbench	• Reviews 100% of assigned cases after A/BO review. Individual case review cannot begin until the responsible A/BO has completed his/her review. • Completes the Monthly Checklist at the end of the billing cycle.
Monthly Checklist & Dashboard		
OA/OPC – Level 3 OA/OPC – Level 4	Workbench Dashboard	• Completes the Monthly Checklist at the end of the billing cycle. • Access to Dashboard views
Dashboard		
CPM	Workbench Dashboard	• Access to Dashboard views with drill down capability to Workbench
HA	Workbench Dashboard	• Access to Dashboard views with drill down capability to Workbench

Frequently Asked Questions

Below are some of the most frequently asked questions regarding IOD, these questions are also available through the IVR.

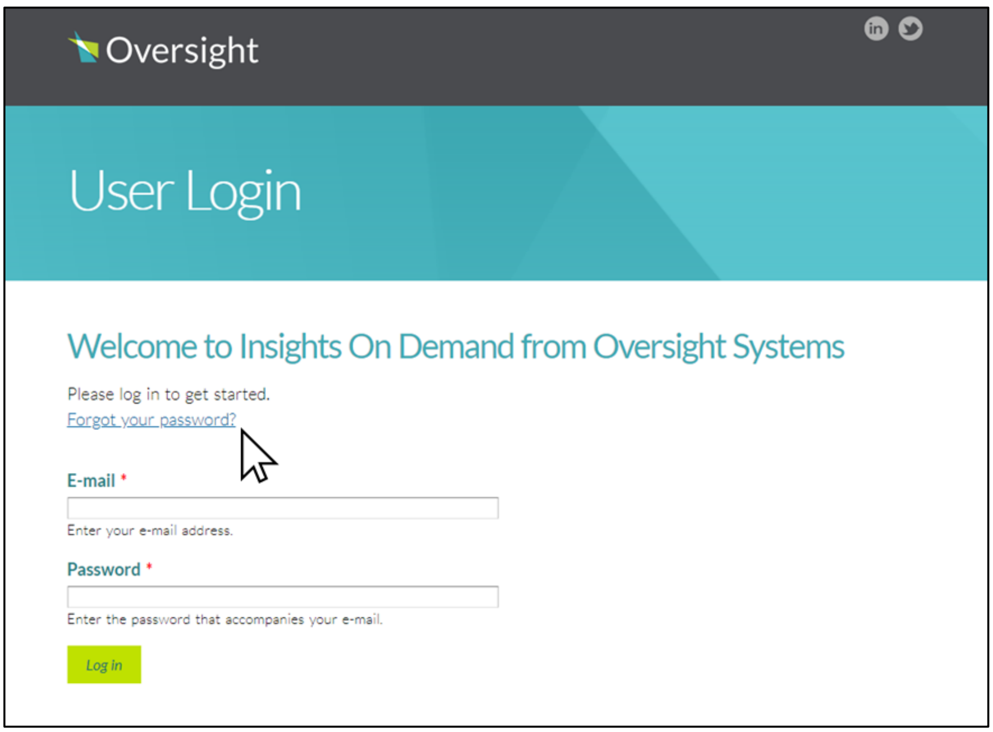
Accessing IOD and Login Error Messages

1. How do I access IOD?

Answer: In a browser, enter the following URL: **https://iodgov.oversightsystems.us**.

Make sure the link includes **https://**

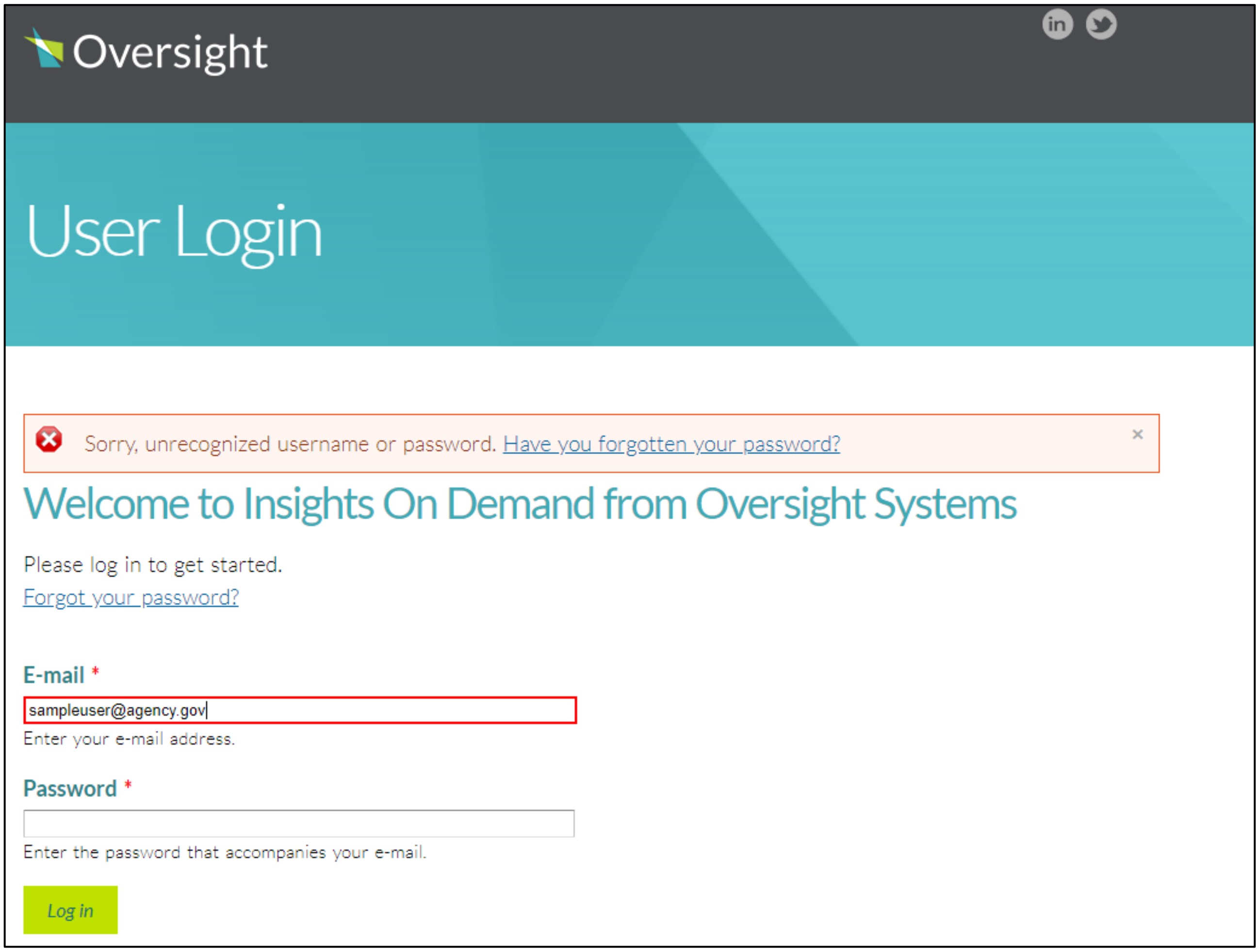
Navigate to InsightsGov.oversightsystems.com. From there you can enter your login information and click the "Log In" button. Browsers supported include Chrome, Safari, and Firefox.



2. I am getting a Login error message, what should I do?

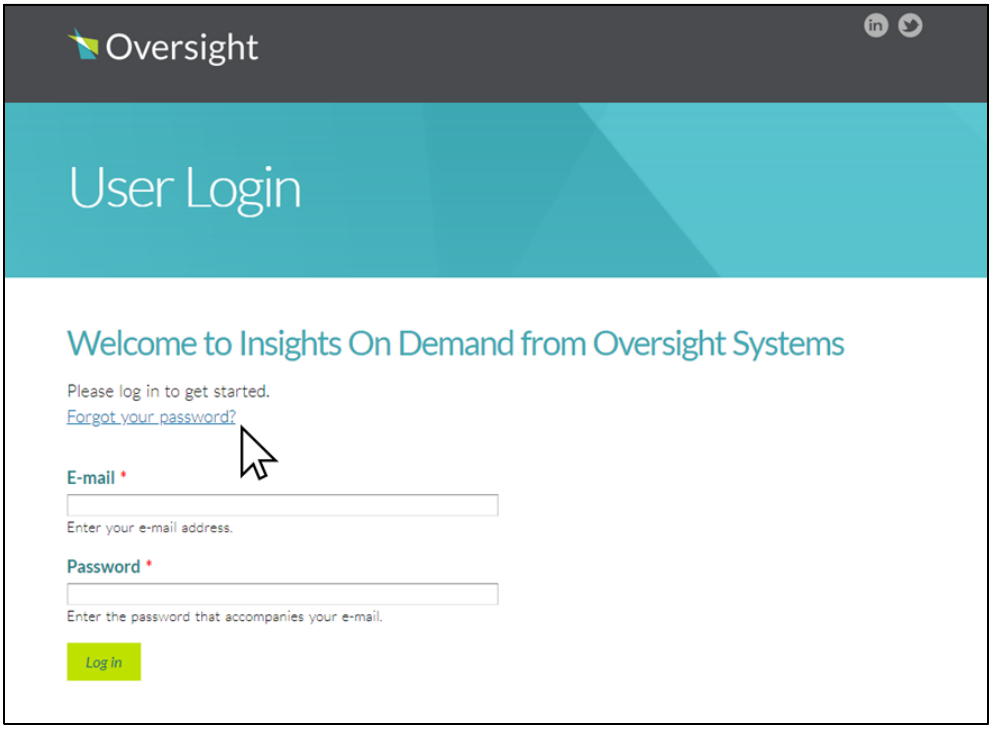
Answer: If you are getting an error message, it can usually be resolved by clicking refresh on your browser. If there is a pop-up box or error message, take a screenshot of the message and email it to iodgov@oversightsystems.com.

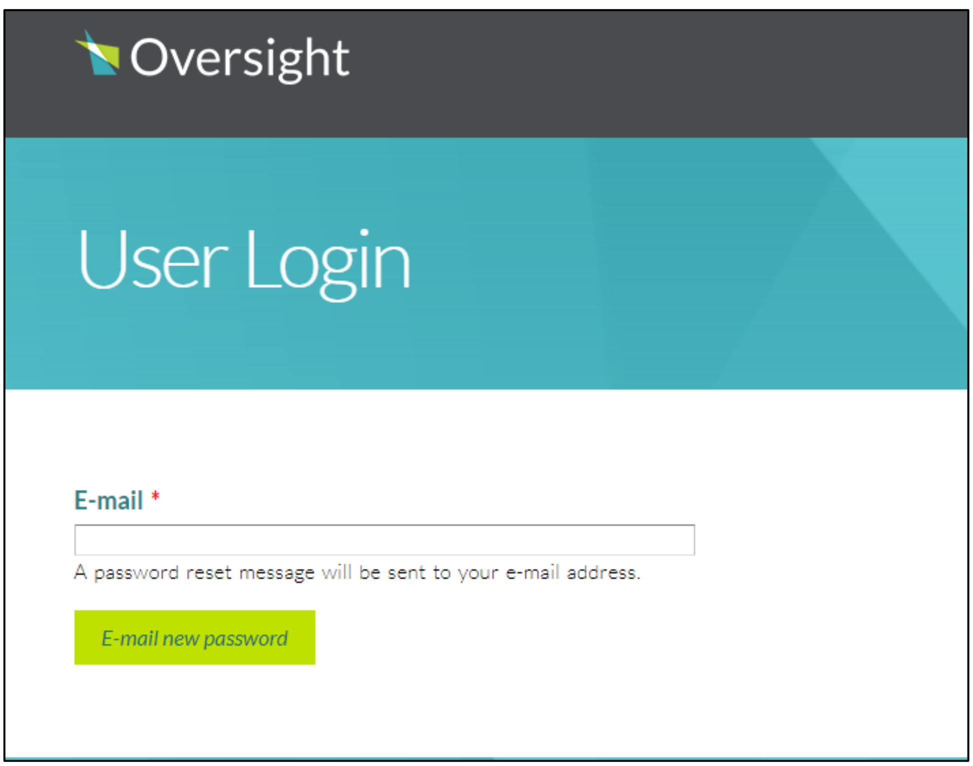
The User Login error message may look like the error message below:



3. I have forgotten my password?

Answer: If you have forgotten your password, click on “Forgot Your Password” in the portal login then click “Email New Password” and you will receive a link in your inbox to reset your password within a minute or two.



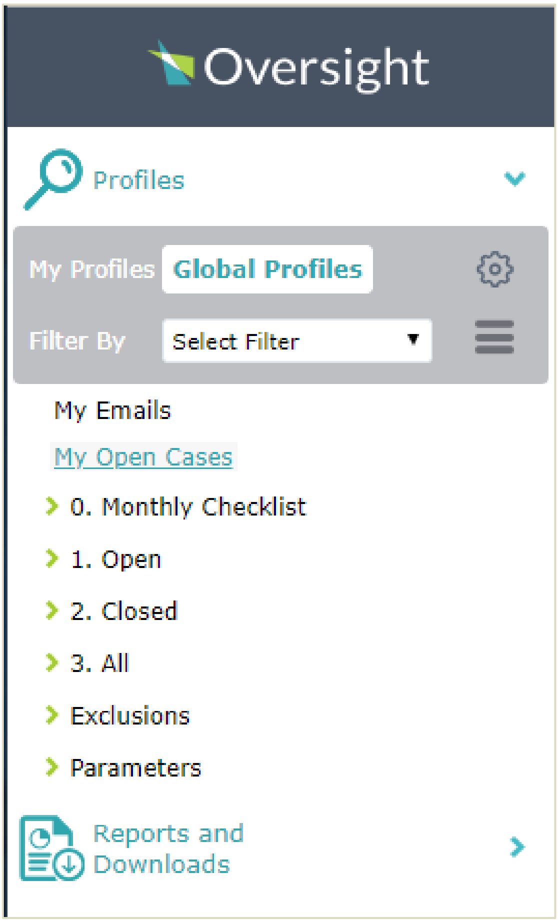


Viewing Assigned Cases

4. How do I see Cases that have been assigned to me?

Answer: To see cases assigned to you,

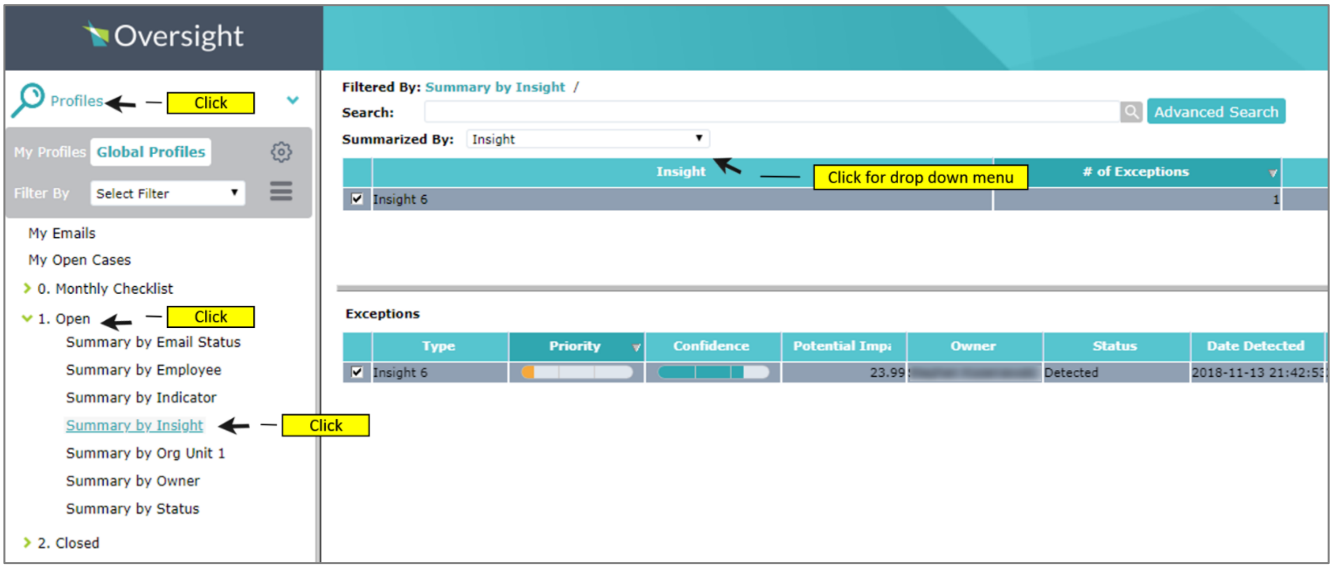
1. Click on the Workbench link and then on “Profiles”, then on “My Open Cases” profile. These are all the cases that have been assigned to you and are still in an open status.
2. You can also click on “My emails” to see any cases that are in an email sent or received status, and “Closed” to see cases that have been previously reviewed or closed.



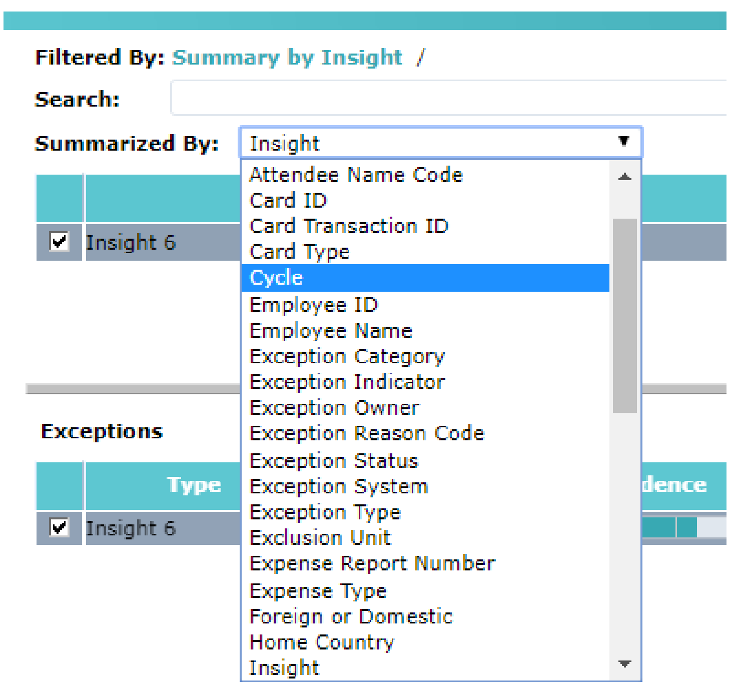
3. Let’s drill down further to view cases, for example, click on “Profiles”, then under My Open Cases, click “1. Open”, then click on “Summary by Insight”.

The Workbench displays the results of the selected profile, and the attribute by which it is summarized (in this case Summary by Insight).

For DoD, most of the views will be summarized by Cycle, so change the Summarized by drop down to select, “Cycle”.



4. Select the drop-down arrow next to the Summarized by to reveal the numerous ways in which a user can sort Insights.



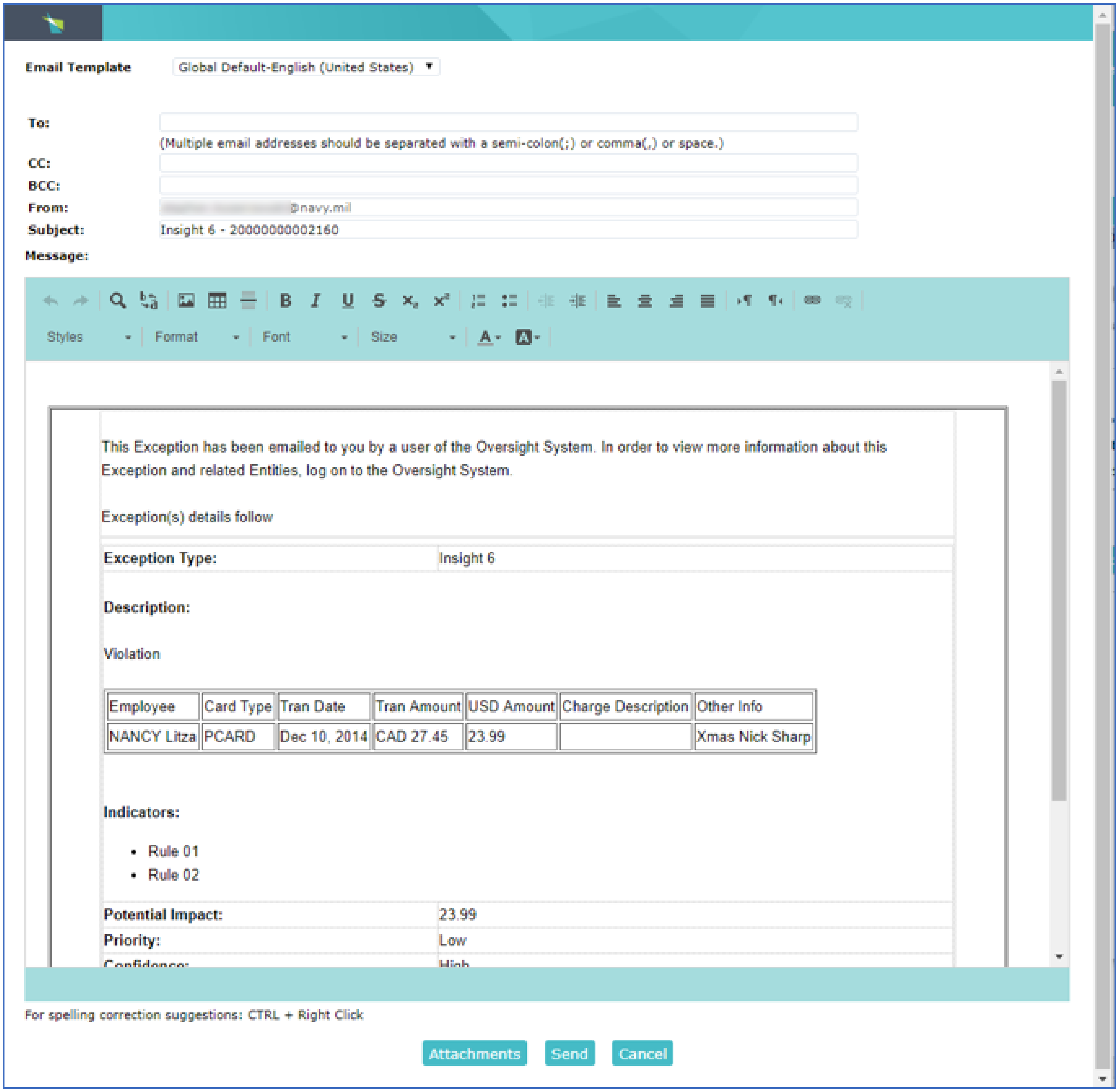
For more detailed information see Section Titled **Finding Cases to Process**

Emailing Cases

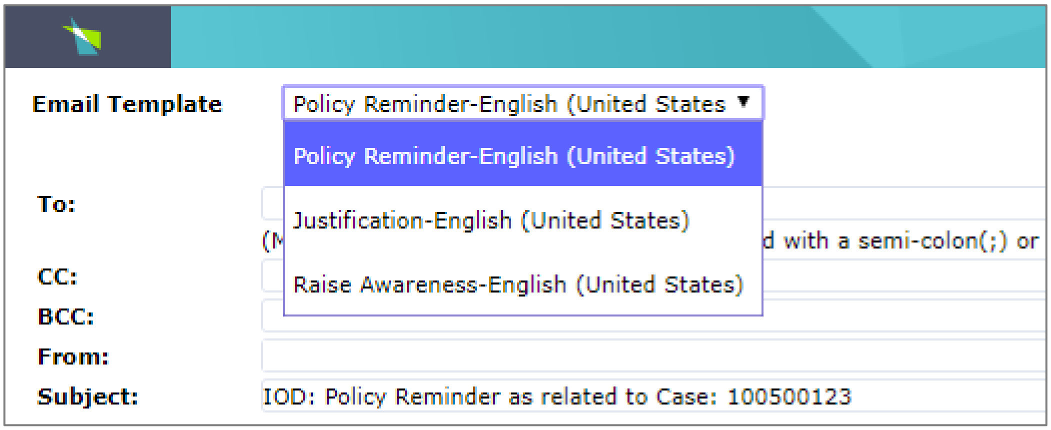
5. How do I select and email template and forward a case to someone?

Answer: To select an email template,

1. Click on the “send email” button at the top right corner of the case.
2. Once you’re in the email window, click the drop down next to the “Email Templates” and select the appropriate template.



Choose an email template from the templates listed in the **Template** drop down. The list of templates displayed will depend upon the type of case.

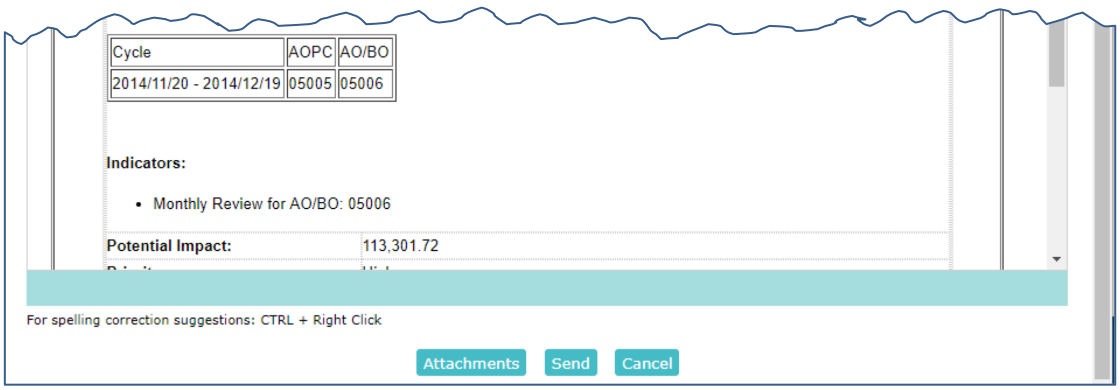


For more detailed information see Section titled **Emailing A Case.**

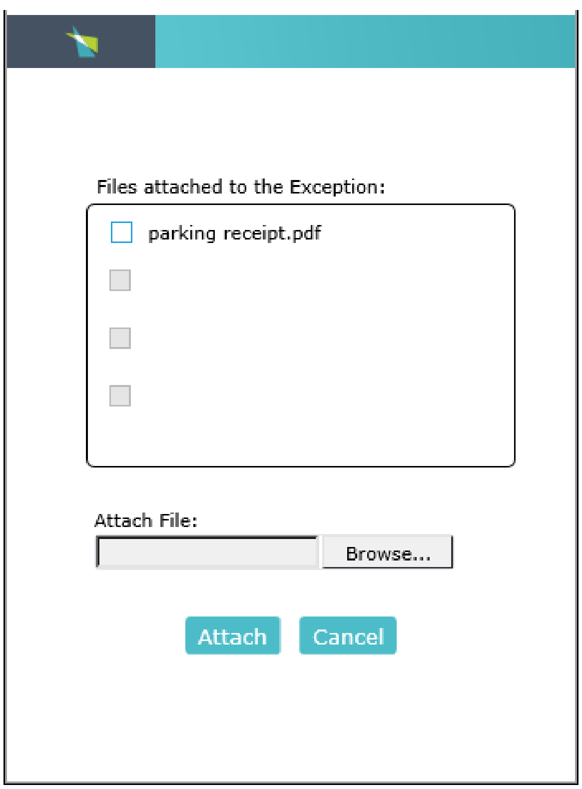
6. How do I add an attachment to an email template?

Answer: To add an attachment to an email,

1. First select the template that you'd like to use.
2. Click on "attachments" at the bottom and search for the file you'd like to attach before sending the email.



The Add Attachments window displays. If there are files that have been previously attached to the case they will be listed in the top of the window.

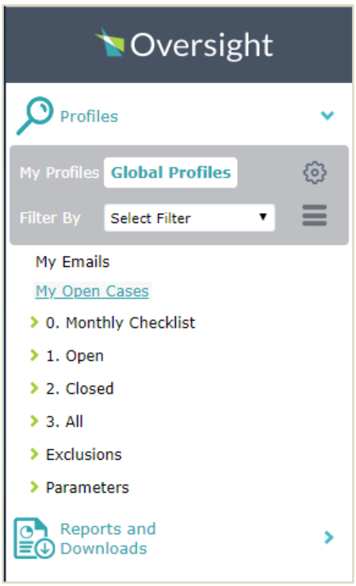


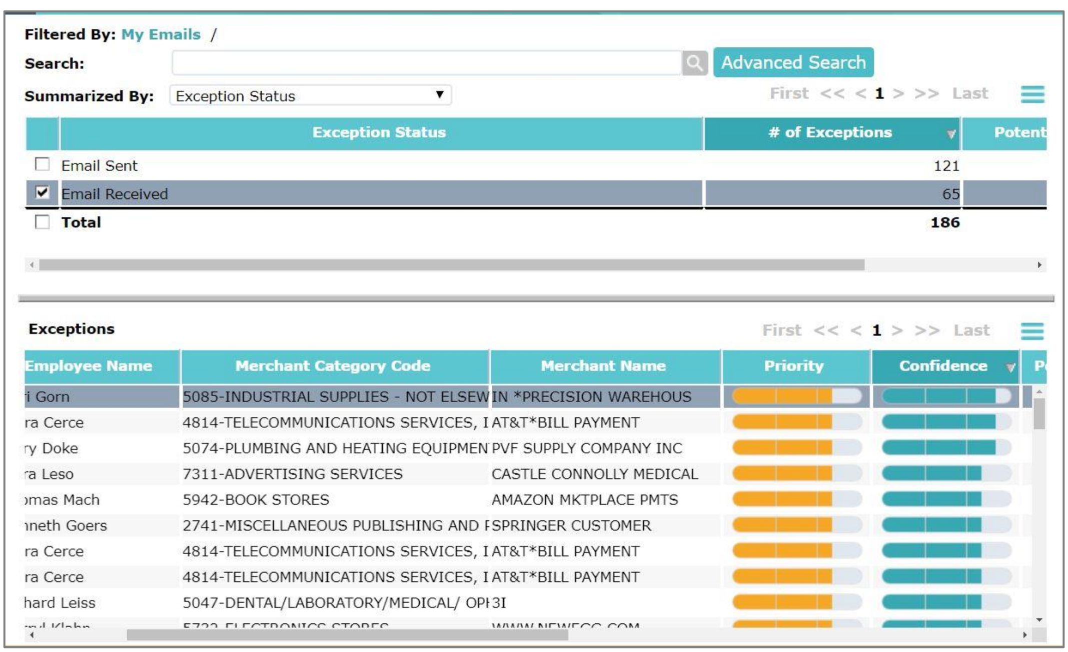
For more detailed information see Section titled **Attaching a File When Emailing A Case.**

7. How do I check for email responses?

Answer: To check email responses,

1. Click on the "My Emails" profile and
2. Double click on the "Email Received" status to see all cases that have received an email reply.
3. To view a response, double click on a case to open it in a new window then
4. Click on the messages tab.
5. Click on "View Message" next to the email reply to read the full message.

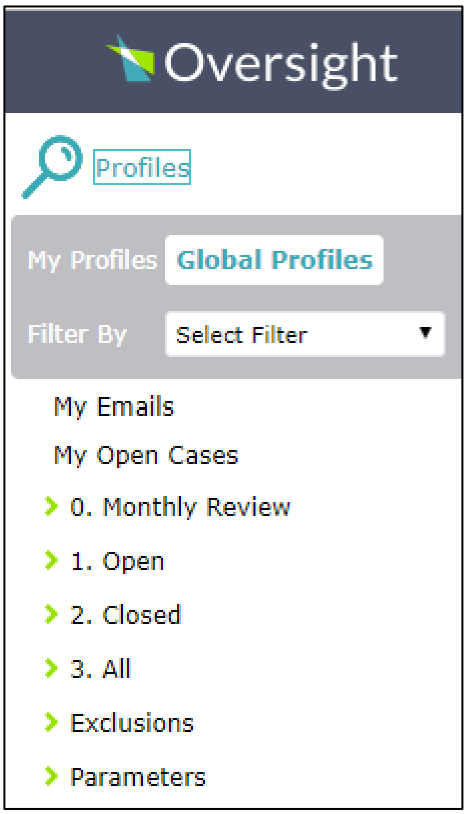


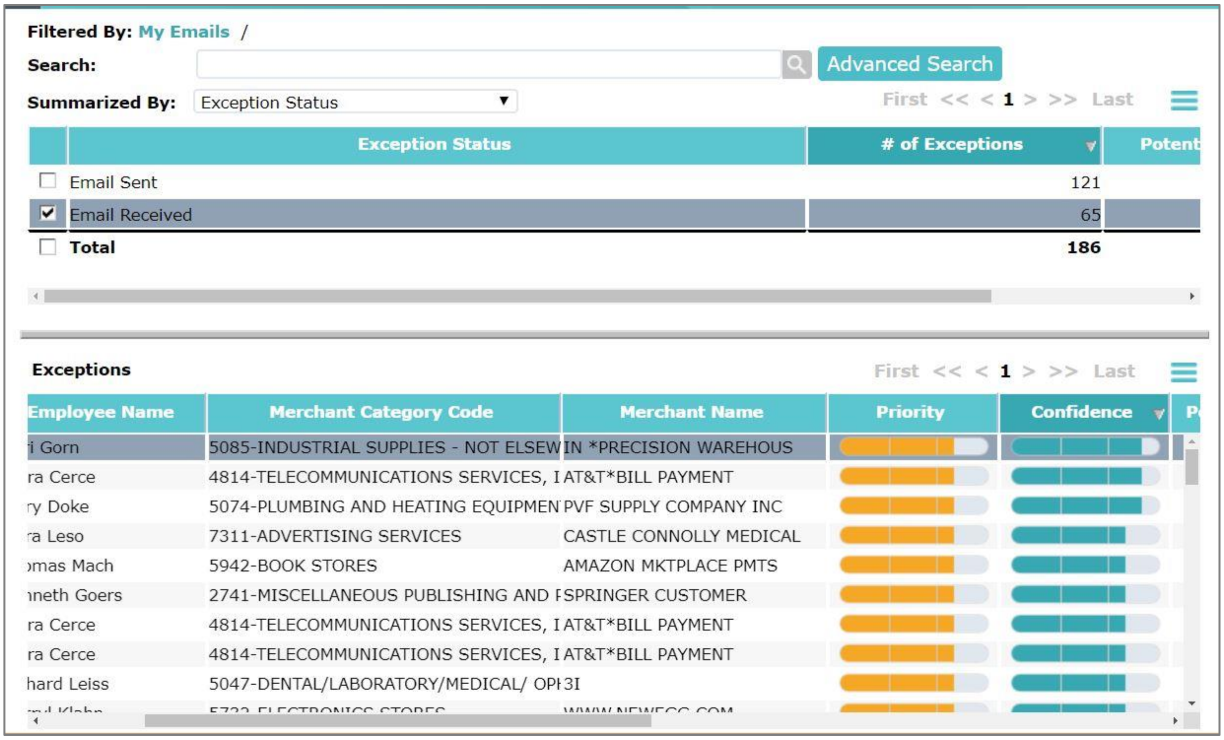


8. How do I respond to an email?

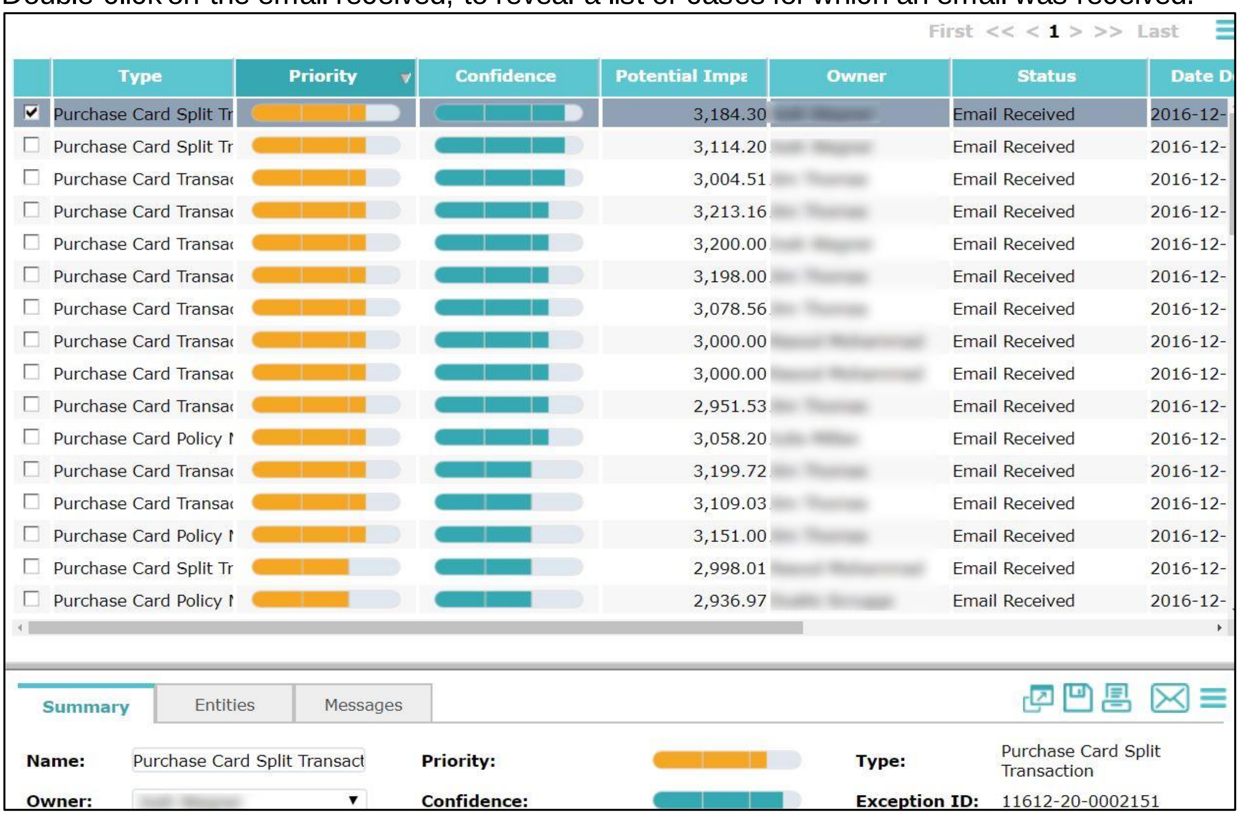
Answer: To respond to an email,

1. Click on the “My Emails” profile and
2. Then double click on the “Email Received” status to see all cases that have received an email reply.
3. **If there is a message to respond to you can respond. This menu is not available if no message to respond to.**
4. To view a response, double click on a case to open it in a new window
5. Then click on the messages tab.
6. From there, click on “View Message” next to the email reply to read the full message.
7. To reply to the message, click on “reply all” at the bottom then
8. Either select a template or type your message.
9. Once your message is ready to send, click on “send” at the bottom and the status will automatically change to “email sent”.





Double click on the email received, to reveal a list of cases for which an email was received.

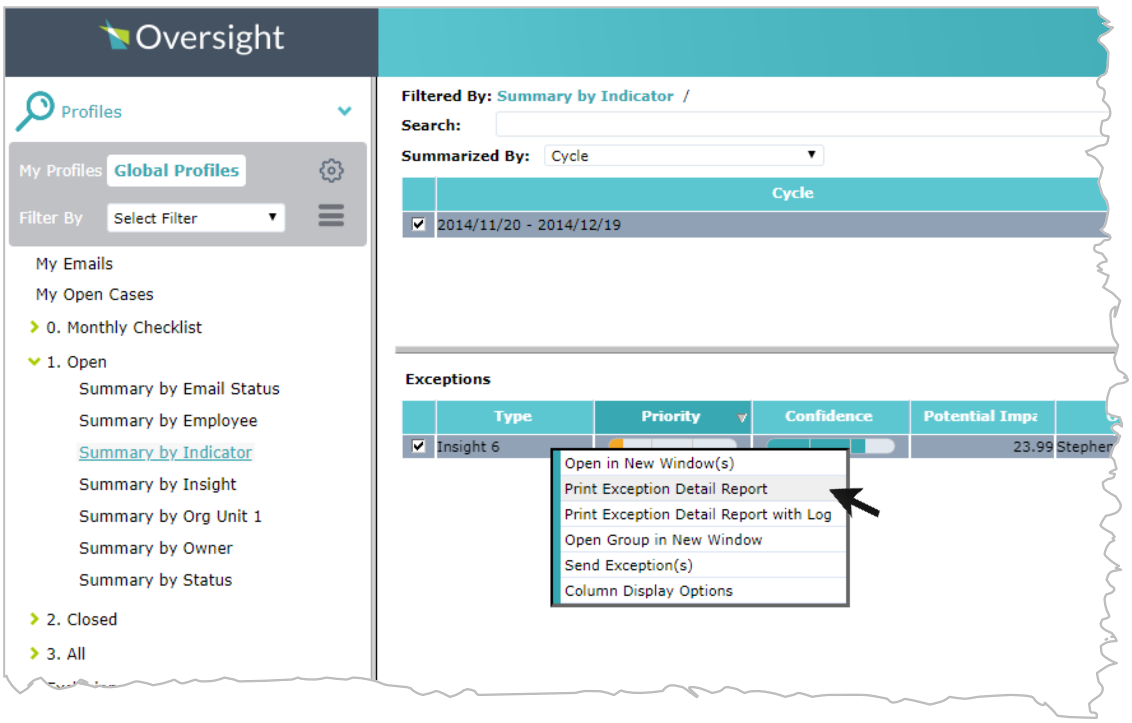


Printing, Viewing, Exporting Cases

9. How do I print a detailed report of the case?

Answer: If you would like to print or save a case report, follow the steps below:

1. First right click on the case in the case list in the bottom pane.
2. Click on "Print Case Detail Report"
   If you would like the audit log details included, click on "Print Exception Detail Report with Log."
3. Once the detail report is open, you can either print the report or save it as a PDF.



After Selecting Print Exception Detail Report.

Exception List

Description of Exceptions

Exception

Exception ID	20000-00-0002160	*Status*	Email Sent
Exception Type	Insight 6	*Name*	Insight 6 - 20000000002160
Impact	USD23.99	*Owner*	[illegible]
Priority	Low	*Date Detected*	2018-11-13 21:42:53
Confidence	High	*Last modified*	2018-12-09 18:41:48
Reason		*Category*	Misuse
		System	CTE

Violation

Employee	Card Type	Tran Date	Tran Amount	USD Amount	Charge Description	Other Info
NANCY Litza	PCARD	Dec 10, 2014	CAD 27.45	23.99		Xmas Nick Sharp

Indicators:

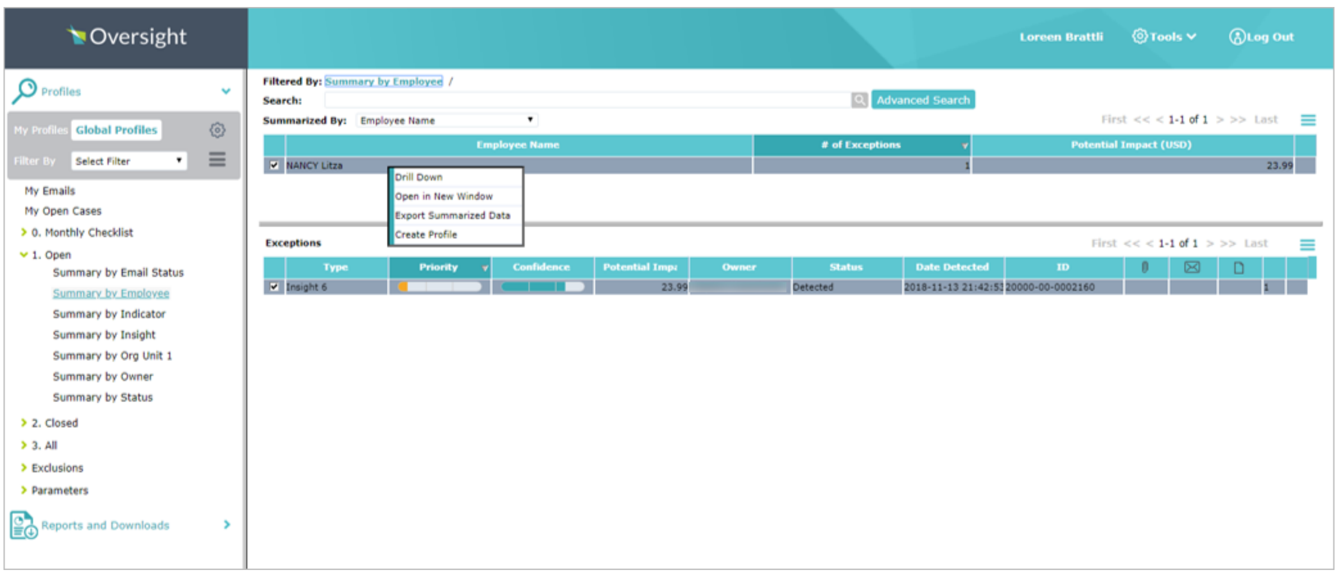
- Rule 01
- Rule 02

Exception Log

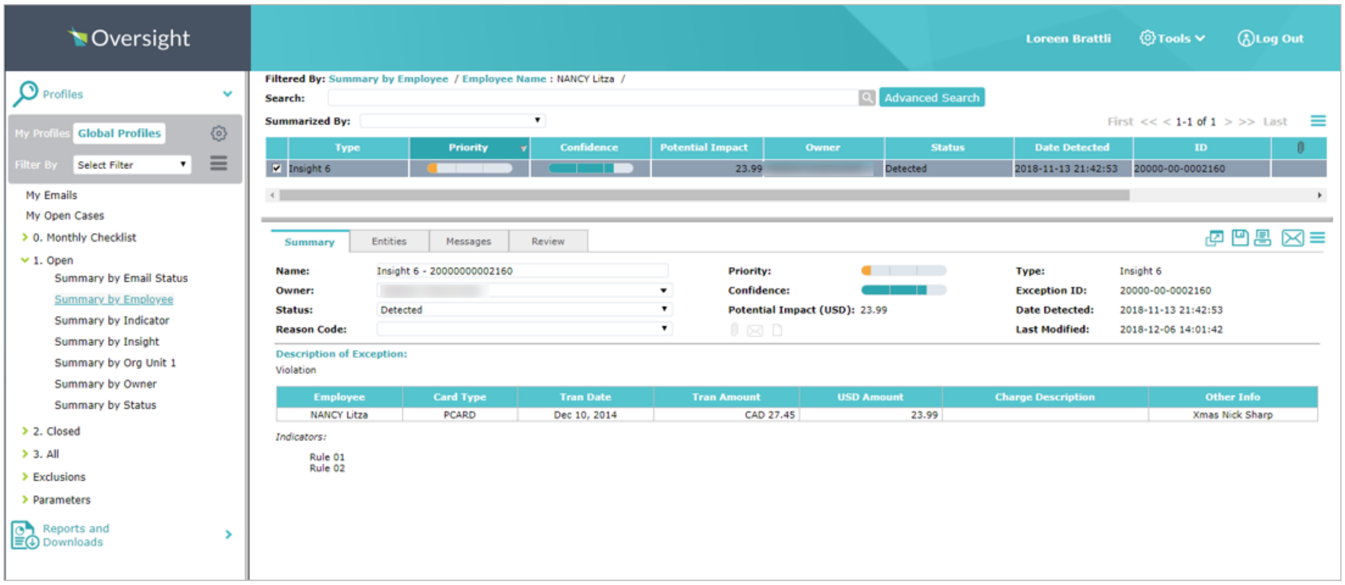
10. How do I export the case list details?

Answer: To export case list details, you must be drilled down into the group of cases you'd like to export. To drill down and export the detail:

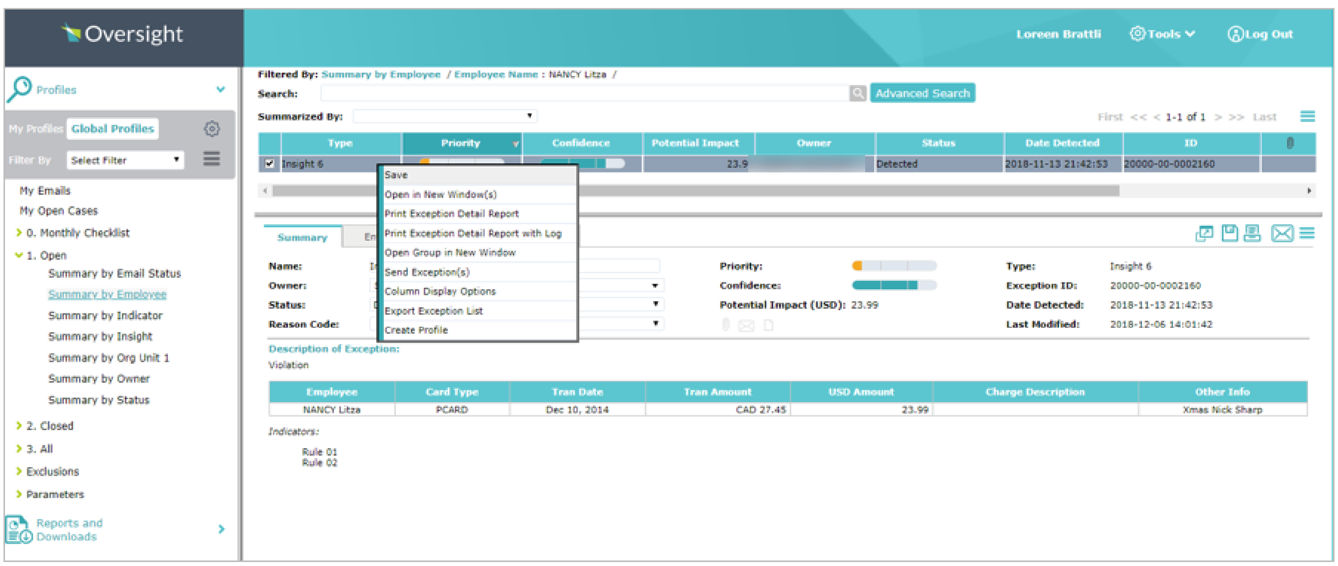
1. Right click on the Insight, Employee, etc. that you'd like to export the details for,
2. Then click "Drill Down".
3. After that, the case list will be in the top pane and you will be able to export the details.
4. Right click on any of the cases in the top pane and select "export case details" and it will open the Export Options window.
5. Name the file and select the file type you'd like to save it as,
6. Then click "Export" at the bottom.
7. You will be able to find your report in the "Reports and Downloads" section at the bottom left corner.
8. Click on "Reports and Downloads" then click on your report to open it.



Screen After Selecting Drill Down



Right Click on a case to bring up the drop-down menu.



Menu that appears when selecting Export Exception List:

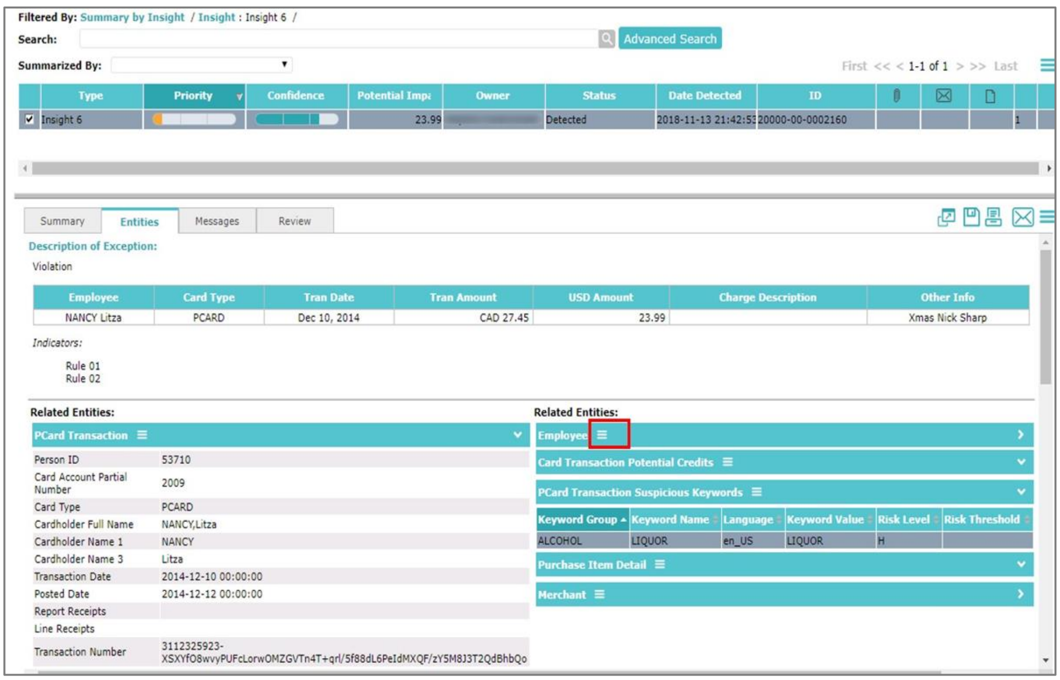
Report will be viewable in Reports and Downloads.

11. How do I view all of an employee’s cases?

Answer: To view all of an employee’s cases,

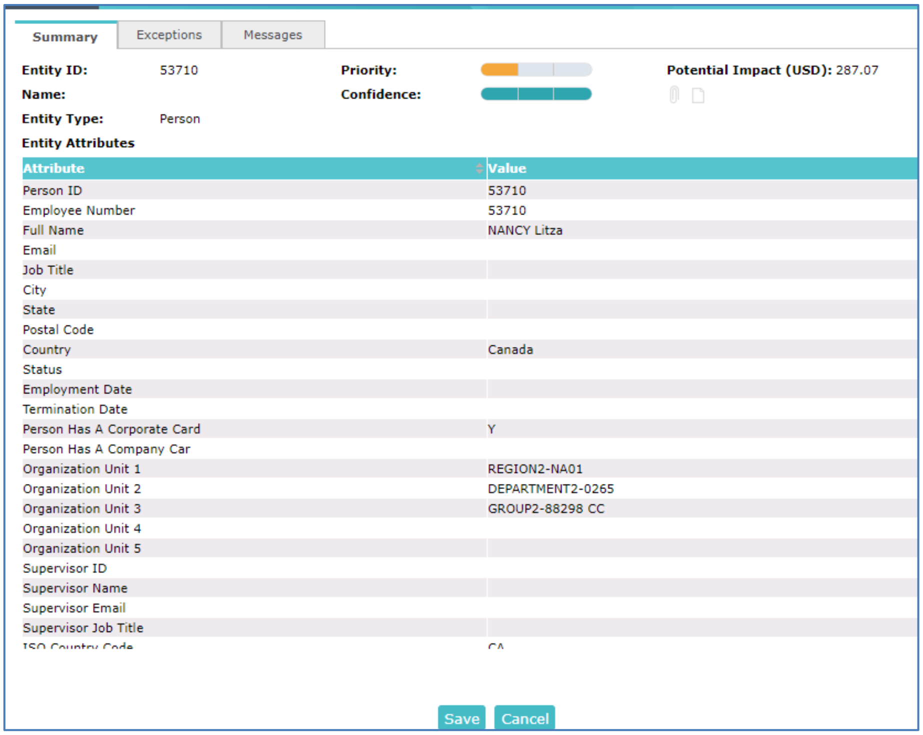
1. Click the Entities Tab of the open case.
2. Right click on the three-line option menu next to “Employee”
3. Click on “Open in New Window”. Once you’re in the employee view, click on the Cases Tab.
4. There you will be able to see every Case that has been flagged for an employee along with what status each of them is in.
5. You can double click on any of the Cases if you’d like to open it to see what happened with previous findings, etc.

Entities Tab



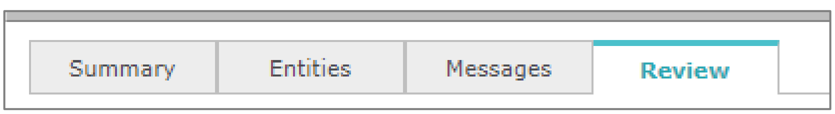
Click on the menu icon ( ) next to an entity heading to view a menu with the following options:

After Selecting Open New Window



12. How do I close a case?

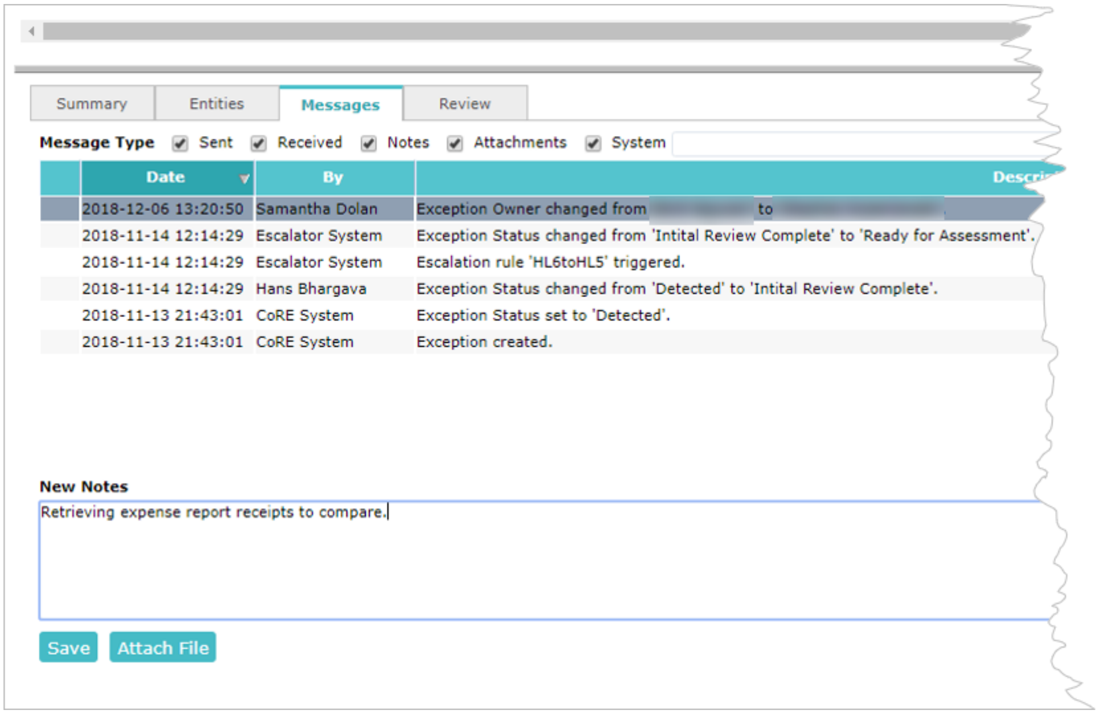
Answer: A case will be closed by answering the Questions under the Review tab and clicking the submit button. When the submit button is closed, this will complete the review process.



13. How do I add notes or attachments to a case log?

Answer: To add notes or attachments to a case,

1. Click on the Messages Tab of the Case.
2. If you want to add a note, click in the "New Notes" field and type the information you'd like to add.
3. If you want to add an attachment, click on "Attach File" then select the file you'd like to attach.
4. After you've added the note or file, click "Save" at the bottom to add the note or attachment to the audit log.



When you add a note and save it, the Oversight IOD system creates a new message entry with the text of the note.

You cannot edit a note once you have added it and saved it. Notes are limited to a maximum of 4,000 characters including spaces.

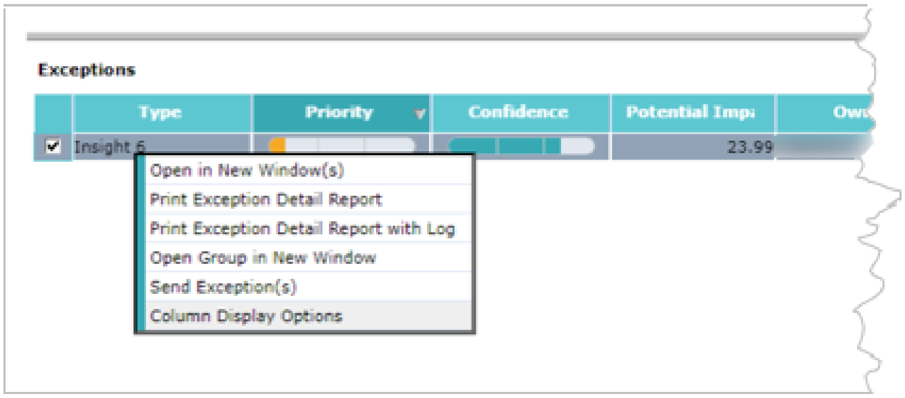
For more detailed information see Section titled **Add Notes to Case.**

IOD View Preferences

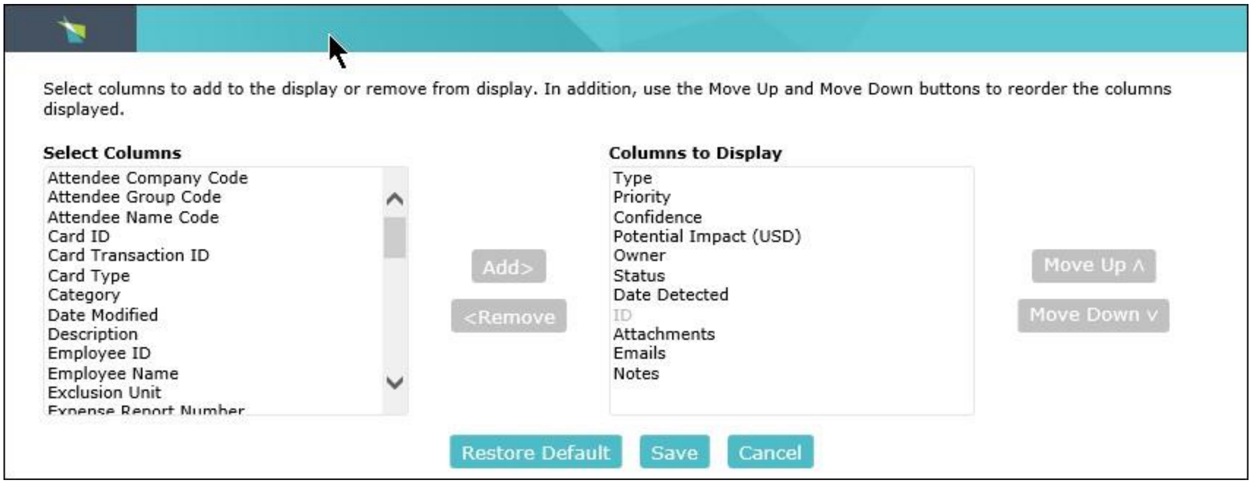
14. How do I change the columns displayed?

Answer: To change the columns being displayed,

1. Right click anywhere in the Case list on the bottom pane of the screen,
2. Then click “Column Display Options”.
3. To add a column, select the entity that you would like to add from the “Select Columns” group,
4. Then click the “add” button.
5. To remove a column, select the entity that you would like to remove from the “Columns to Display” group, then click remove.
6. You can select “save” to save these settings for the rest of the duration that you’re using this profile,
7. Or you can select “save as default” if you would like these to be your permanent display options in the current profile.

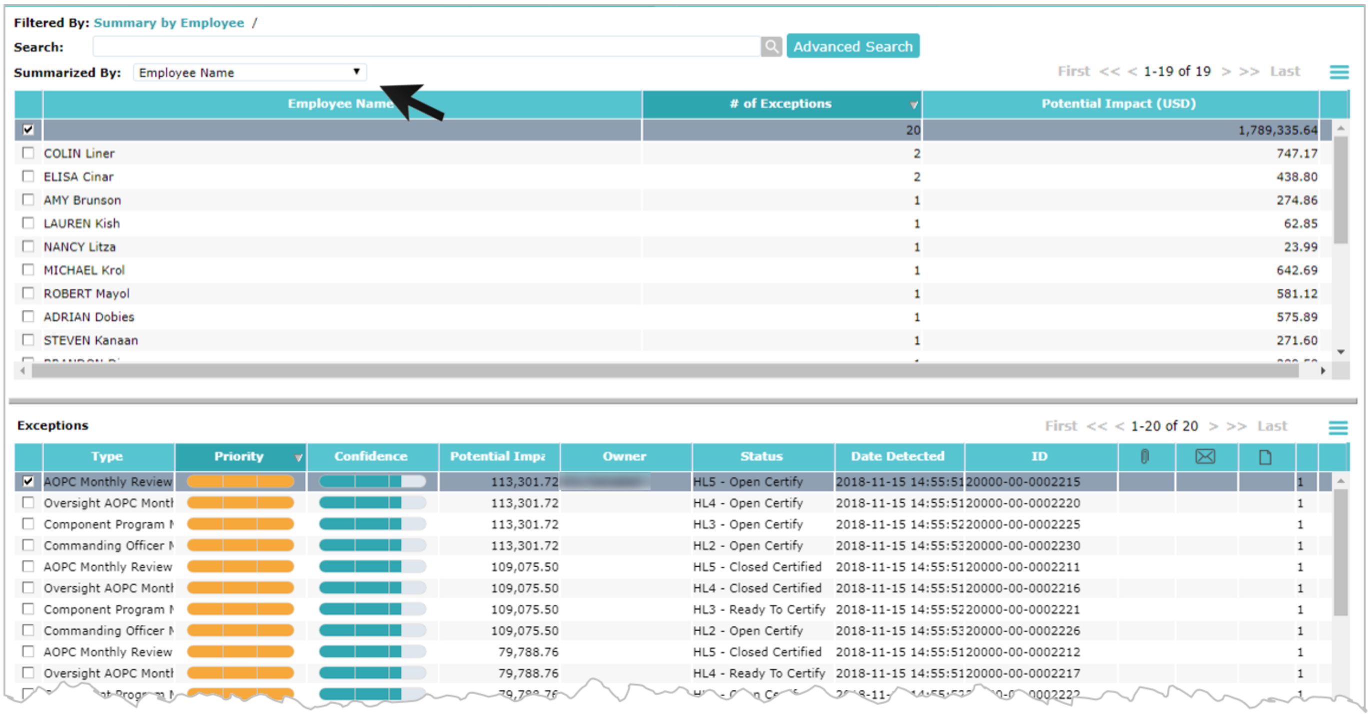


The *Column Display Options* dialog box displays

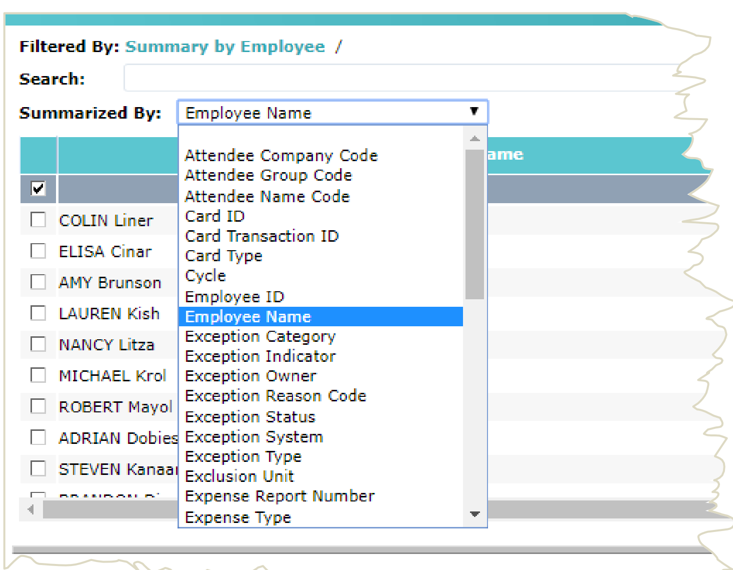


15. How do I change my summary view?

Answer: If you would like to change the summary view in a profile, click on the drop down next to "Summarize By". You can then select any of the available entities to change your summarized view.



Partial list of the **Summarized By** options



For more detailed information see Section titled **Cases: Search, Summary, and Sort Option,** Subsection **Summarized By List**.

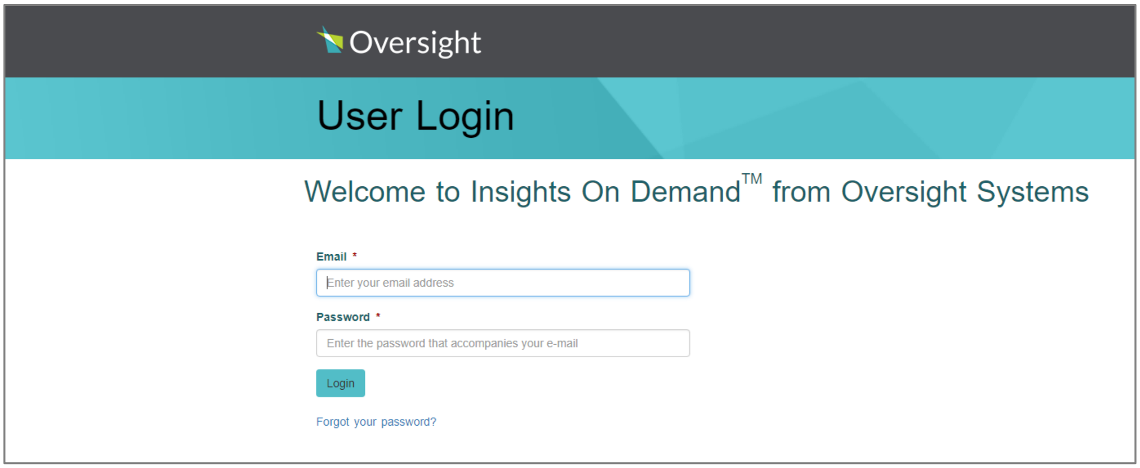
Accessing IOD

IOD Login

The IOD URL is as follows:

https://iodgov.oversightsystems.us

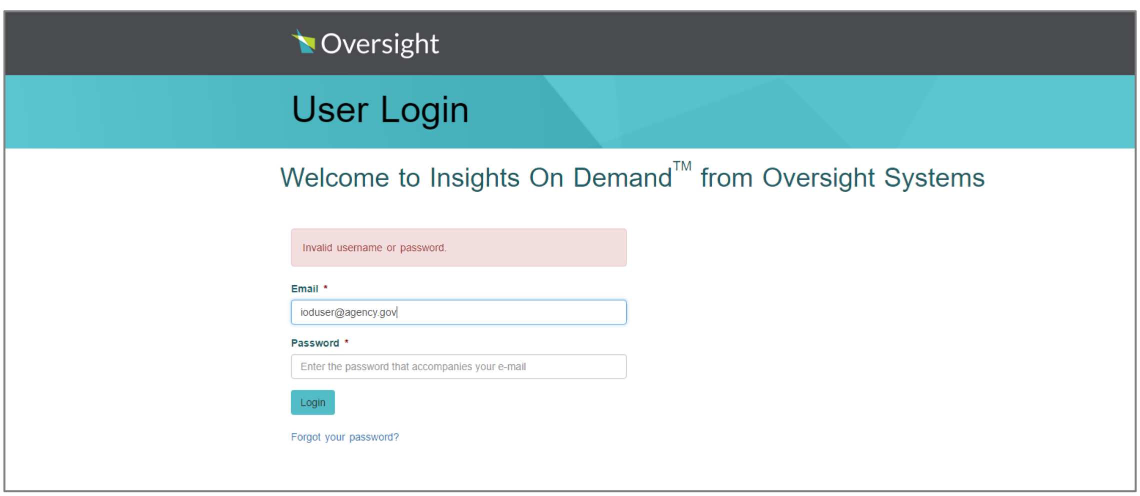
The log in screen will look as follows:



1. It is important that you enter the **https://** part of the URL.
2. If you still cannot access the URL, please take a screen print of the error message and email the message to the help desk at

IODgov@oversightsystems.com

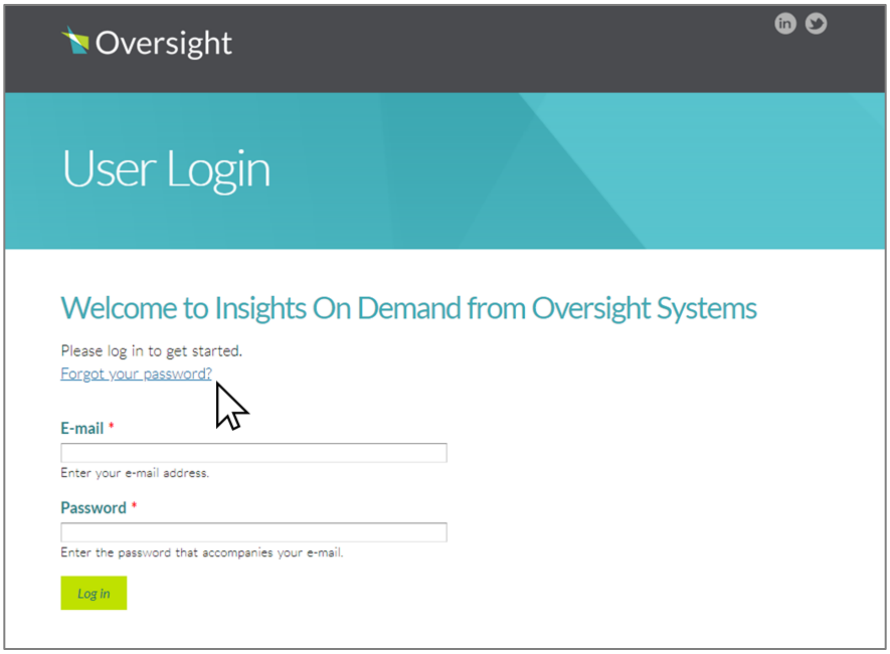
The login error message may look something like the image below:



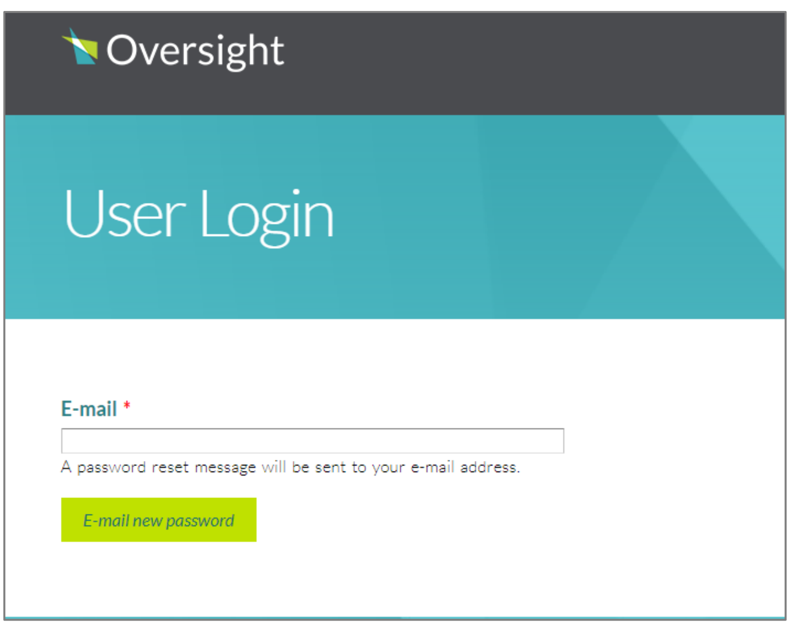
Forgotten IOD Password

If you have forgotten your IOD password.

1. Click on “Forgot Your Password” in the portal login



2. Enter your Email, then click “Email New Password” and you will receive a link in your inbox to reset your password.

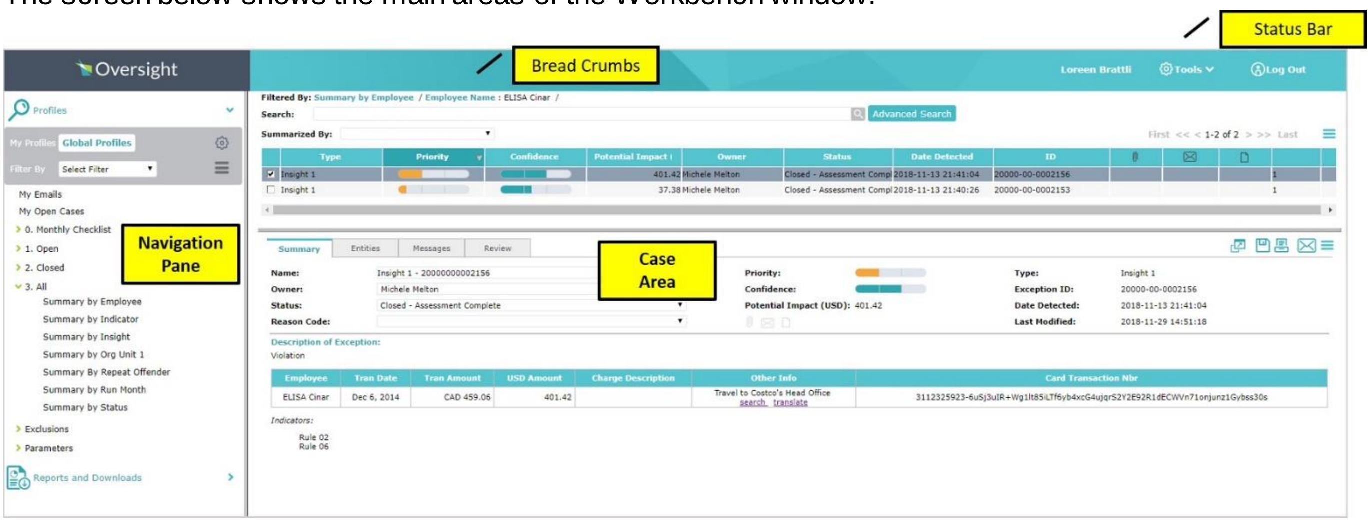


General Usage / Navigation

Understanding the various screen views within IOD is essential for optimal use of IOD.

Workbench Screen Components

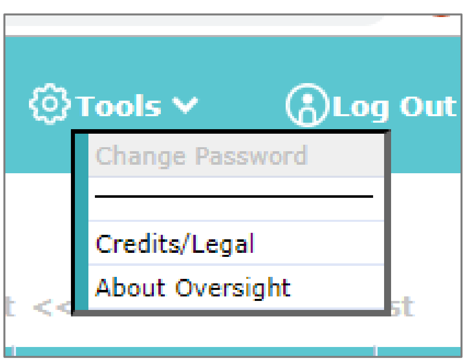
The screen below shows the main areas of the Workbench window:



Status Bar

The Status Bar displays the name of the current user, provides access to the Tools menu, and allows you to log out of the Workbench.

Tools Menu



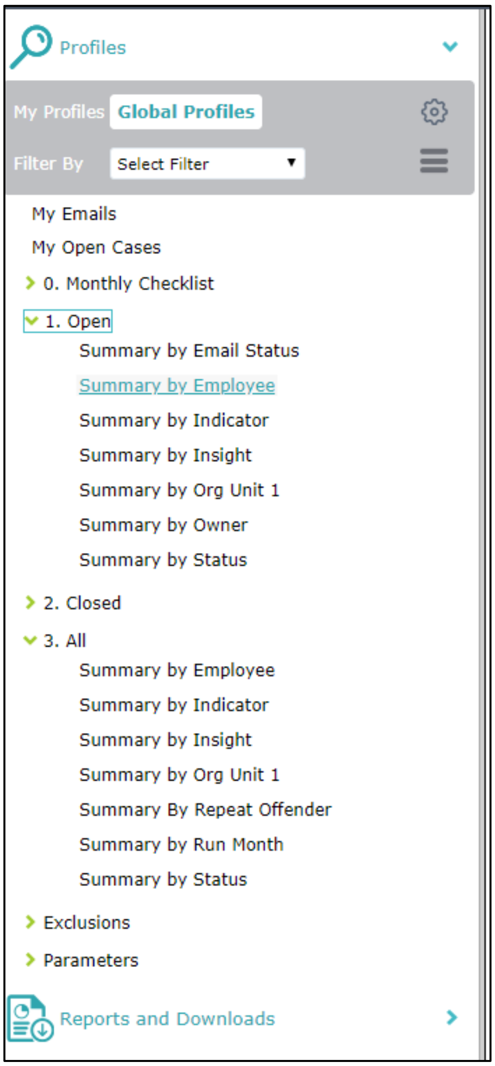
The **Tools** menu provides the following options:

- **Credits/Legal -** Displays version information for third-party software that Oversight uses.
- **About Oversight -** Displays version information for this installation of the Oversight Workbench.

Navigation Pane

Use the navigation pane to access the Workbench's main functions. The following shows the navigation pane with the **Profiles** option selected:

> **Note**: Profiles are customized sets of saved searches of cases and entities that allow you easy access to those cases and entities.



Click on the **Profiles** or the **Reports and Downloads** entry to expand that function. The choices for that function display beneath the entry. In the example above, you can see the **Global Profiles** provided with your system.

The entries you choose in the Navigation pane determines what displays in the Cases Area of the Workbench.

Cases Area

To the right of the Navigation pane is an area where the Workbench displays information about cases. For detailed information about this area refer to the Summarized By List, Case List, and Case Details sections.

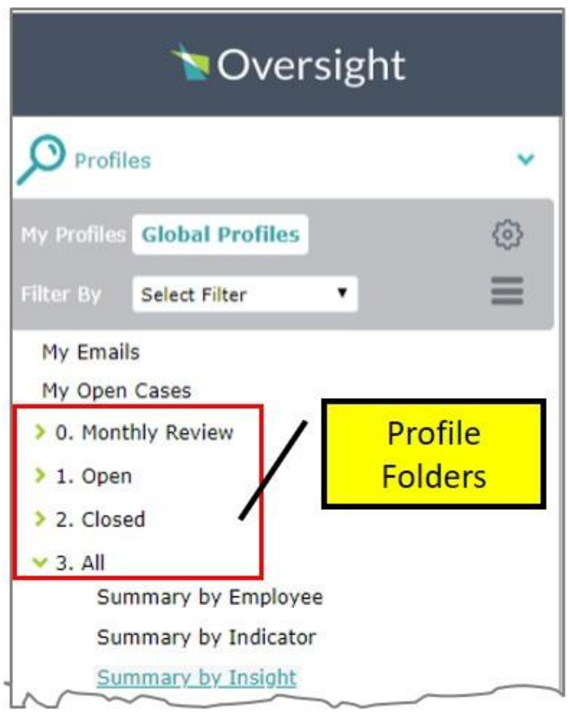
Profiles

The Workbench has a feature called Profiles which provides an easy way to view cases. Profiles are saved complex searches which find a set of cases for review and resolution. The Workbench comes with a set of Global Profiles. You can add filters to existing profiles or create new profiles to further narrow the search of cases.

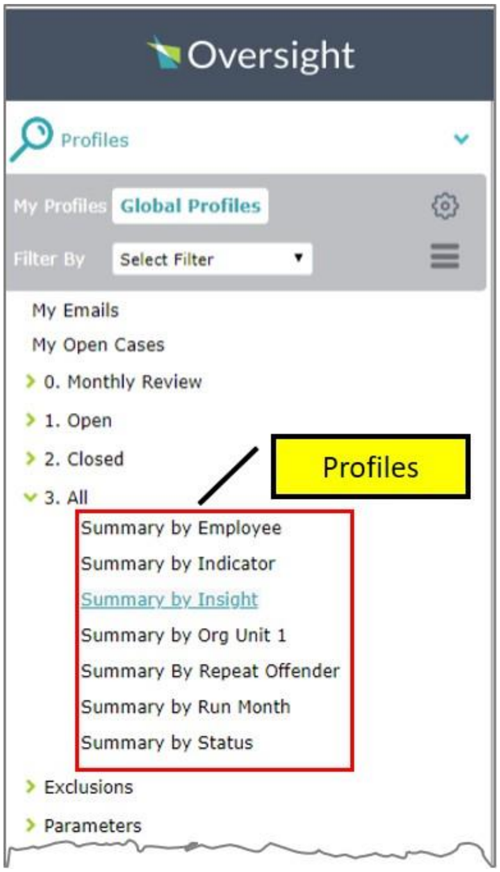
Viewing Profiles

Select **Profiles** from the Navigation pane to view a list of the Workbench provided profiles.

A list of profiles and profile folders displays. You can show the profiles in a folder by selecting the name of the folder.



Select the profile name to view the results.

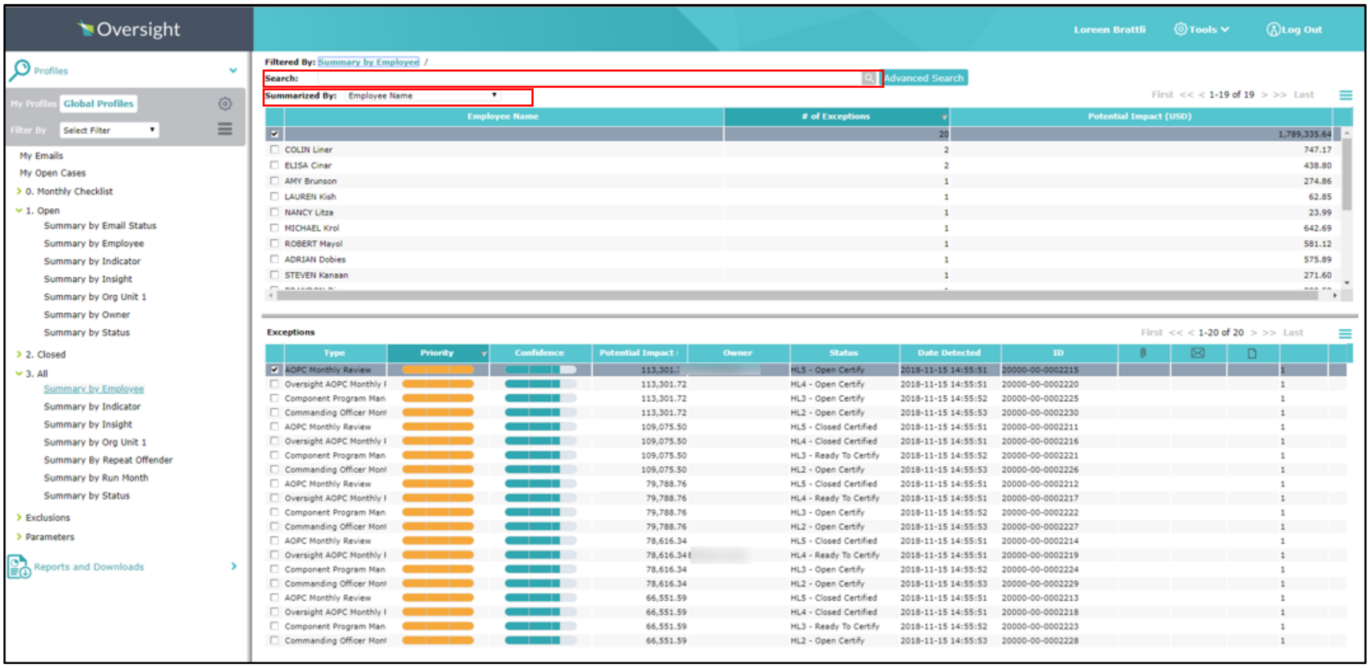


You can create your own profiles that are for your use only.

Cases: Search, Summary, and Sort Options

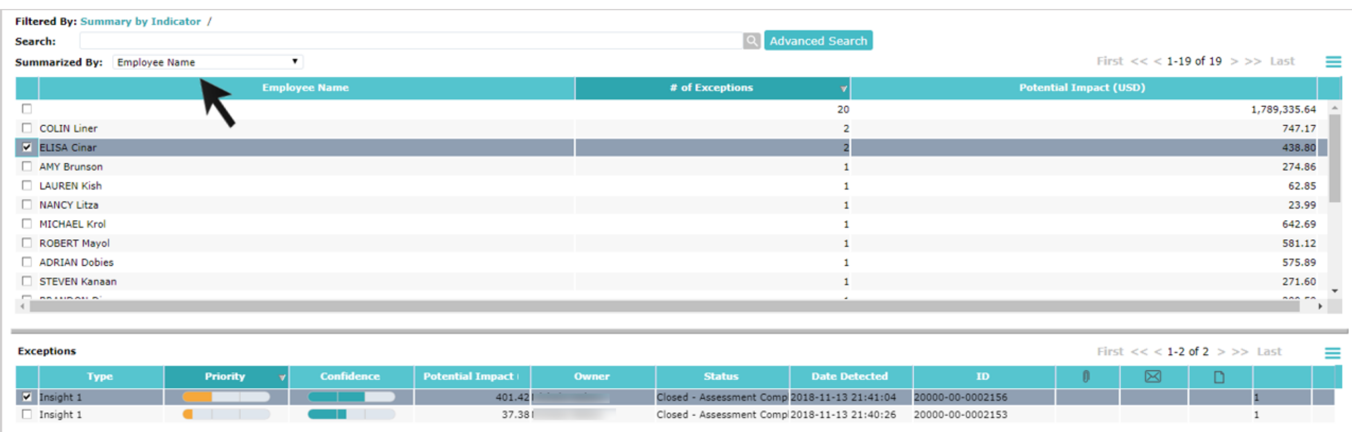
Most tasks in the Workbench begin by running a profile (saved search) to find a set of cases with which to work. This list can be quite large, making it difficult to work with such a large number of cases.

The Workbench provides several methods with which to sort, view, and narrow down a list of cases. You can search by entering a phrase in the **Search** box. You can group cases by choosing an option from the **Summarized By** drop down list. You can sort a list of cases by selecting a column header. The Case List is then sorted by the values in that column. The Workbench alternates between sorting the list in ascending and descending order each time the column is selected.



Summarized By List

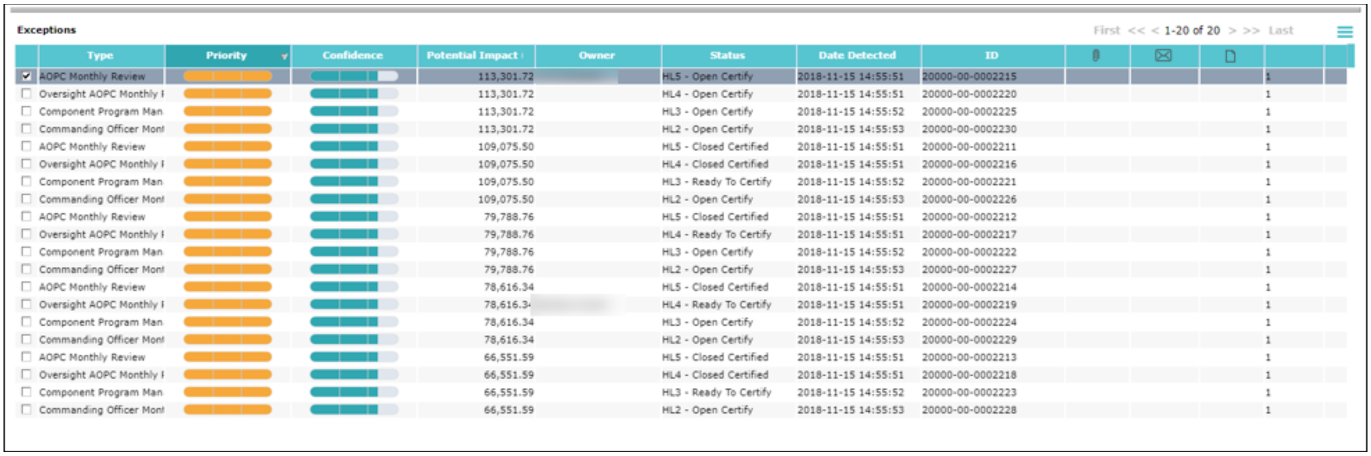
Profiles group their results by summarizing the results by an attribute (characteristic of the case), such as ***Employee Name***. Select an item such as ***Employee Name*** from the **Summarized By** drop down to create a list of cases summarized by that attribute.



A list of employee names displays in the top pane. When you select a specific employee name, an Case List of all the cases for that employee displays in the bottom pane. If you double click on an item in the summarized list or click on the **Drill Down** menu item on the **Options** menu, all the cases associated with that item move to the top pane of the window.

Case Assignment List

The Case List displays one line of information for each case in a group. It displays in the top or bottom pane depending on whether you drill down or select an item from the **Summarized By List**. If you drill down on an item, the Case List replaces the **Summarized By List** in the top pane. If you select an item, the Case List displays in the bottom pane.


Exceptions

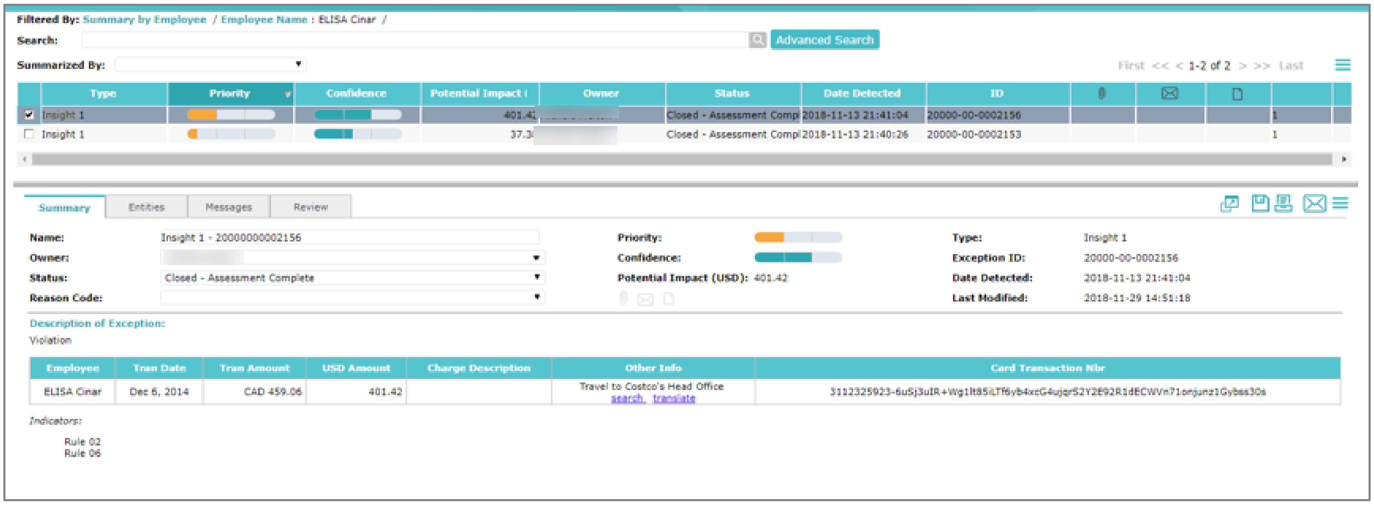
First << < 1-20 of 20 > >> Last

Type	Priority	Confidence	Potential Impact	Owner	Status	Date Detected	ID				
AOPC Monthly Review			113,301.72		HL5 - Open Certify	2018-11-15 14:55:51	20000-00-0002215				1
Oversight AOPC Monthly I			113,301.72		HL4 - Open Certify	2018-11-15 14:55:51	20000-00-0002220				1
Component Program Man			113,301.72		HL3 - Open Certify	2018-11-15 14:55:52	20000-00-0002225				1
Commanding Officer Mont			113,301.72		HL2 - Open Certify	2018-11-15 14:55:53	20000-00-0002230				1
AOPC Monthly Review			109,075.50		HL5 - Closed Certified	2018-11-15 14:55:51	20000-00-0002211				1
Oversight AOPC Monthly I			109,075.50		HL4 - Closed Certified	2018-11-15 14:55:51	20000-00-0002216				1
Component Program Man			109,075.50		HL3 - Ready To Certify	2018-11-15 14:55:52	20000-00-0002221				1
Commanding Officer Mont			109,075.50		HL2 - Open Certify	2018-11-15 14:55:53	20000-00-0002226				1
AOPC Monthly Review			79,788.76		HL5 - Closed Certified	2018-11-15 14:55:51	20000-00-0002212				1
Oversight AOPC Monthly I			79,788.76		HL4 - Ready To Certify	2018-11-15 14:55:51	20000-00-0002217				1
Component Program Man			79,788.76		HL3 - Open Certify	2018-11-15 14:55:52	20000-00-0002222				1
Commanding Officer Mont			79,788.76		HL2 - Open Certify	2018-11-15 14:55:53	20000-00-0002227				1
AOPC Monthly Review			78,616.34		HL5 - Closed Certified	2018-11-15 14:55:51	20000-00-0002214				1
Oversight AOPC Monthly I			78,616.34		HL4 - Ready To Certify	2018-11-15 14:55:51	20000-00-0002219				1
Component Program Man			78,616.34		HL3 - Open Certify	2018-11-15 14:55:52	20000-00-0002224				1
Commanding Officer Mont			78,616.34		HL2 - Open Certify	2018-11-15 14:55:53	20000-00-0002229				1
AOPC Monthly Review			66,551.59		HL5 - Closed Certified	2018-11-15 14:55:51	20000-00-0002213				1
Oversight AOPC Monthly I			66,551.59		HL4 - Closed Certified	2018-11-15 14:55:51	20000-00-0002218				1
Component Program Man			66,551.59		HL3 - Ready To Certify	2018-11-15 14:55:52	20000-00-0002223				1
Commanding Officer Mont			66,551.59		HL2 - Open Certify	2018-11-15 14:55:53	20000-00-0002228				1

The results are displayed 100 cases at a time. Use the vertical scroll bar to move within the list of 100 cases. To move to the next 100 cases, click the next page icon (>) in the upper right-hand corner. The right double arrow icon (>>) moves forward 10 pages (1000 cases) while the left double arrow icon (<<) moves backward 10 pages (1000 cases).

When the Case List is in the top pane, and you select a case from the list, the **Case Details** for that case display in the bottom pane.

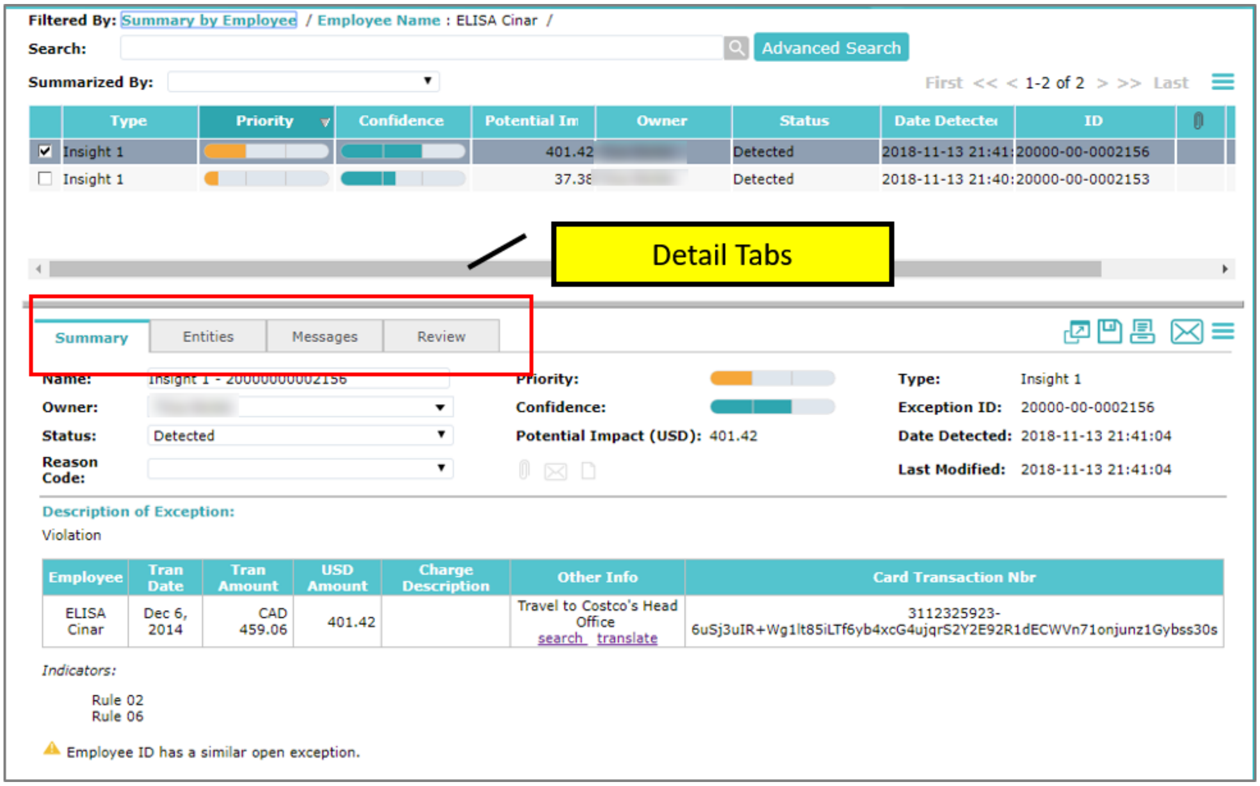
If you double click a case from the Case List, the details of that case display in a new window.



Case Details Display

The Case Details display in the bottom pane or in a new window depending on whether you selected or double clicked a case from the **Case List**.

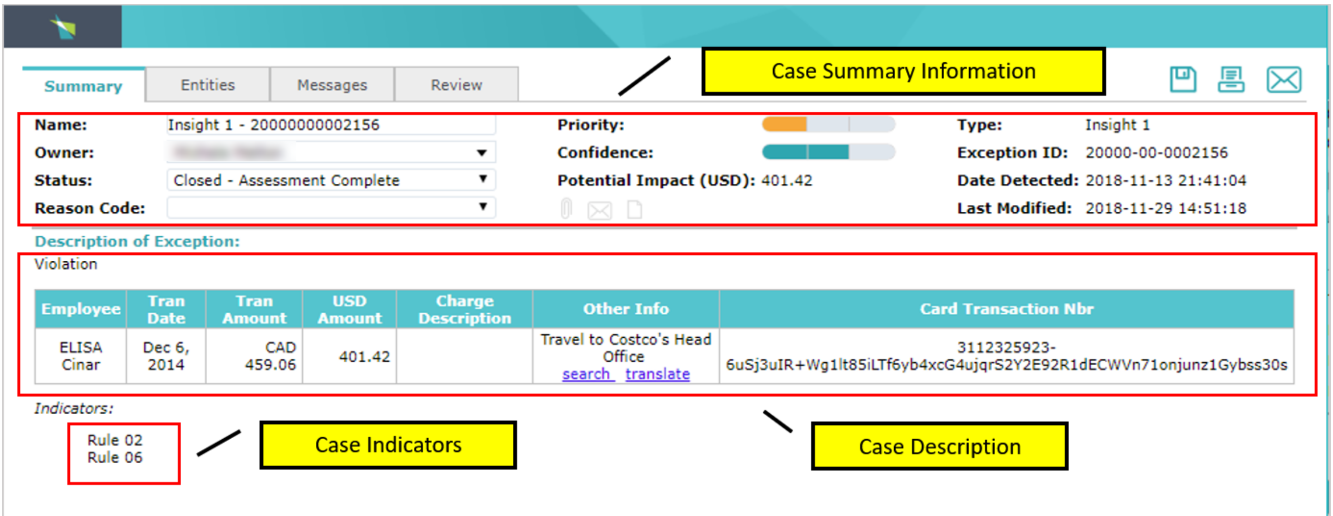
If the list of cases is in the top pane, you can view the details of a case by selecting the case in the top pane. The Workbench displays the Case Details in the bottom pane. If the Case List is in either pane, you can view the case details in a new window by double clicking the case.



There are four that display a case's details: **Summary**, **Entities**, **Messages**, and **Review**. The following sections explain each of the tabs.

Summary Tab

The **Summary** tab contains the basic details of the case and allows you to change certain fields. As noted on the screen below, there are four components of the Summary tab screen: case summary information, case description, case indicators, and related case messages.



Case Summary Information

Case summary information provides general information about the specific case. The **Owner** field indicates the Workbench user to whom the case has been assigned. The **Status** field tracks the current status of the case as it is being analyzed and resolved. You set the **Reason Code** at the end of the analysis to indicate the cause of the case or the **Reason Code** is updated after the questionnaire in the **Review** tab is complete. The **Priority**, **Confidence**, and **Potential Impact** fields indicate the seriousness of the case and the likelihood that the case truly represents a non-compliant condition. Other information about the case including the **Type**, **Case ID**, **Date Detected**, and **Last Modified** provided within this section includes

Case Description

The **Description of Case** field describes the issue that caused the case and contains information from the **entities** that Oversight examined to produce the case. Entities are the transactional and master data that Oversight analyzes. For example, vendors, purchase orders, payments, expense reports, purchase card transactions, and journal entries are all entities.

Case Indicators

IOD uses rules to identify transactions that need to be reviewed, which are referred to as cases. While the rules are shown on the sample screens in this user manual, the rules will not be visible to the A/BO or A/OPC during the review process.

Related Case Messages

Below the indicators, one or two messages may display that indicate information about related cases.

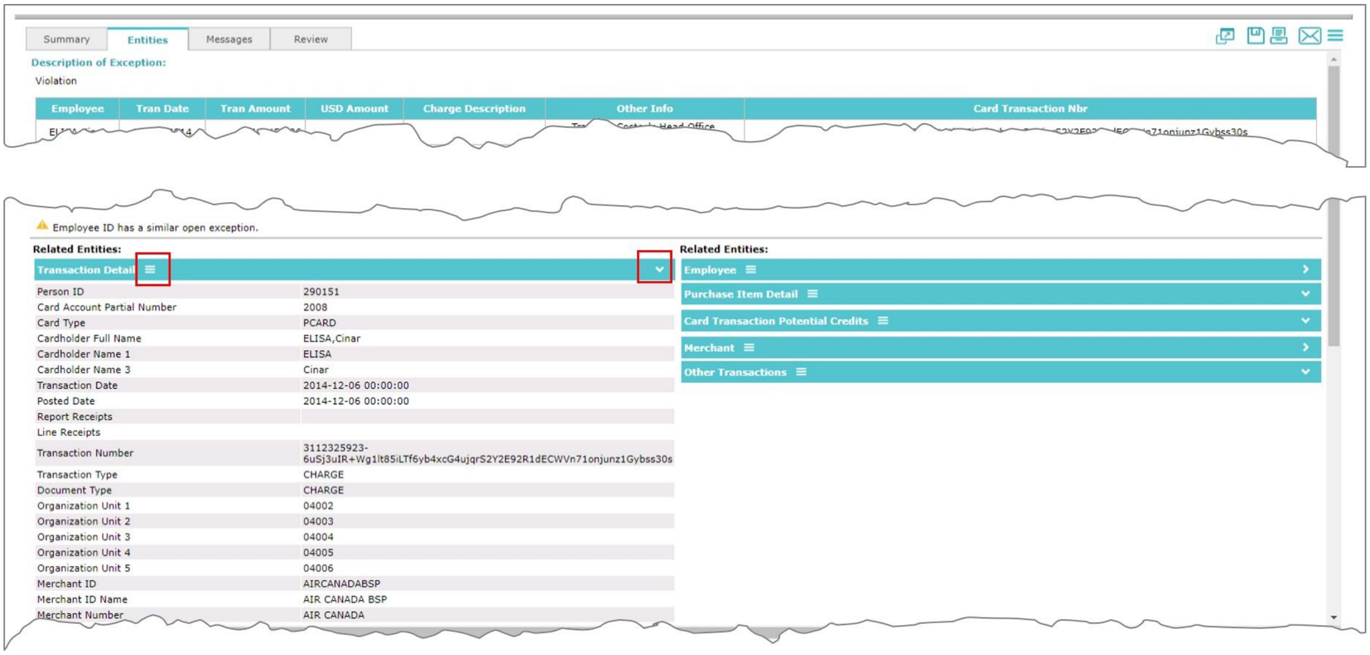
Employee ID Has a closed issue identified
Another case has been identified as a valid issue for the same employee as the current case.

Employee ID has a similar open case.
At least one other unresolved case of the same type as this case exists for the same employee.

Entities Tab

An **entity** is any transactional or master data that IOD analyzes. Vendors, purchase orders, payments, expense reports, purchase card transactions, journal entries, and personnel records are examples of entities.

The **Entities** Tab contains the description of the case, relevant entities that were used to cause the IOD system to create the case, and supplemental entities that can assist you in your investigation.



There can be more entity information that can fit on your screen. Click on the arrow icon on the right of the entity name to collapse ( ) or expand ( ) an entity so that you can view a different one.

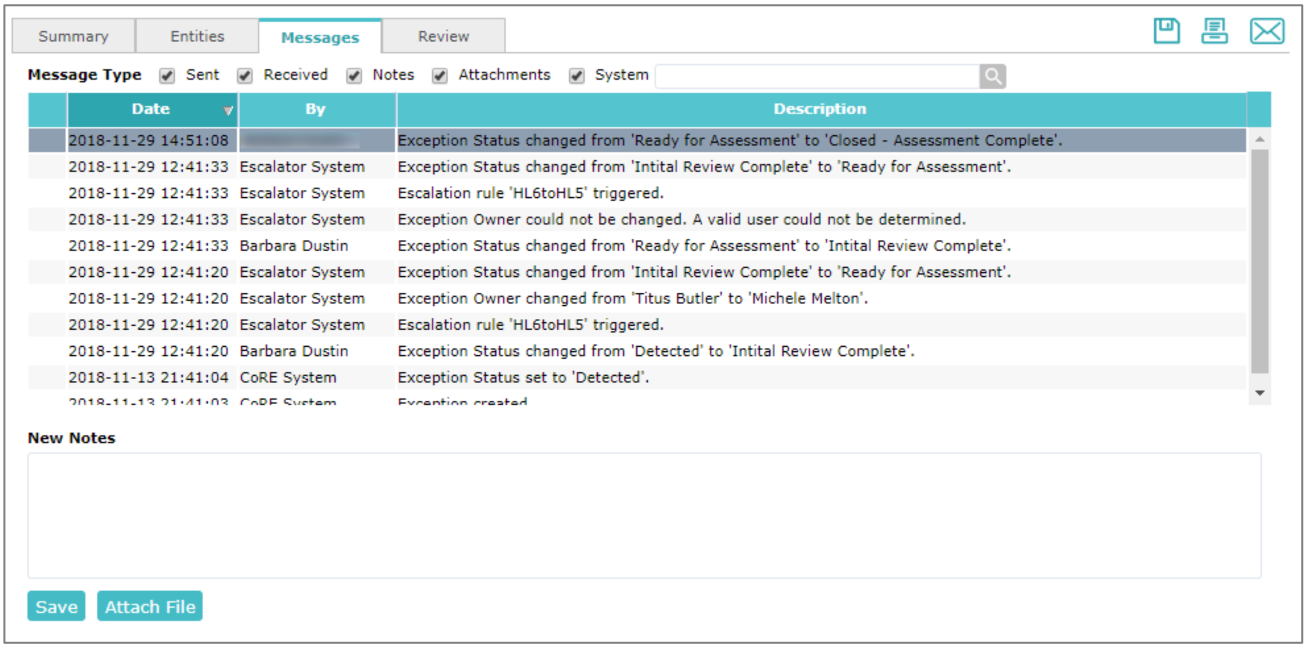
Click on the menu icon ( ) next to an entity heading to view a menu with the following options:

- **Open in New Window** - Opens the entity in a new window for ease of viewing.
- **Show Related Entities** - Opens a new window displaying a list of entities related to this entity.

For example, if you choose **Show Related Entities** for an ***Employee*** entity, the new window displays all ***Attendee Details***, ***Corporate Card***, ***Expense Report***, ***Expense Report Detail***, ***Expense Report Attendee List***, and ***Transaction*** data for this employee.

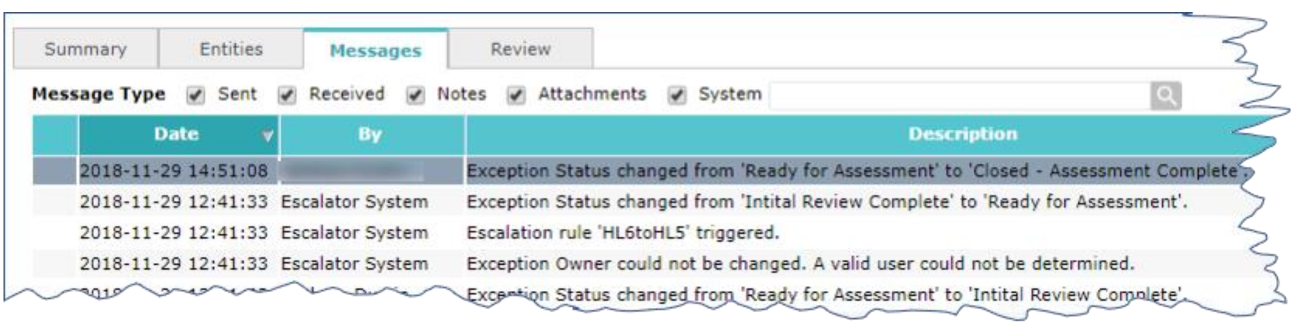
Messages Tab

The **Messages t**ab contains a detailed list of every change to a case beginning with when the Oversight IOD system first detected the case. Each message contains a description of the change, the user who performed the change, and the date and time of the change. The **Messages** tab displays the emails you sent and received, notes, attachments, and other system messages.



An icon in the left-most column indicates the message type associated with the case except for system messages. For email messages, only a few lines of the message display. Select the **View Message** link in the **Description** field to view the complete message. For attachments, click on the file name of the attachment in the **Description** field to download and view the attached file.

To filter which types of messages to display, click the associated check boxes at the top of the tab. To filter messages by a phrase, type the phrase in the **Search** box and click on **Search**.



The following section, Resolving/Closing Cases, explains in more detail how to use this tab to add notes and attachments.

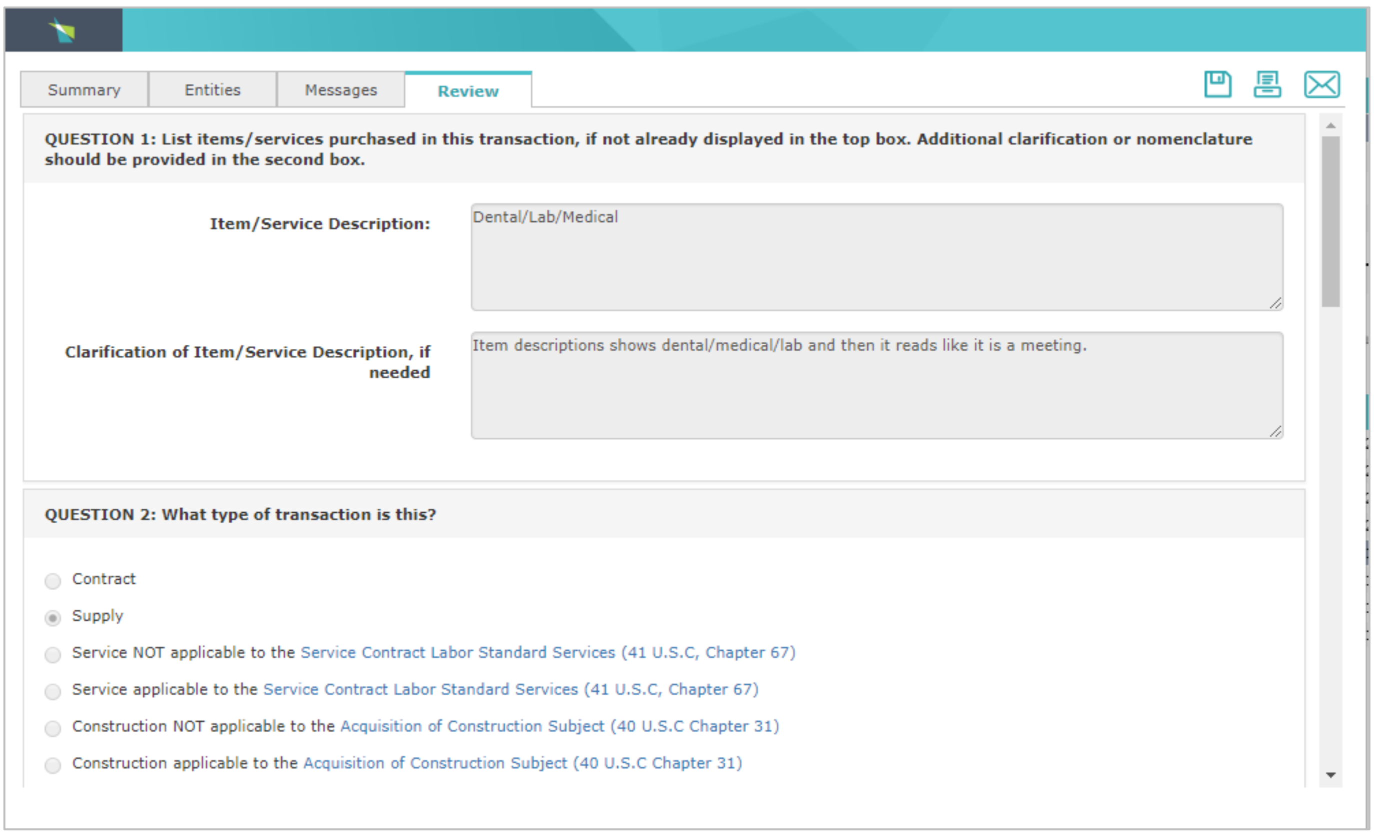
Review Tab

The **Review** tab is unique to DoD and serves an important role in reviewing and working each case to closure. The review tab was designed to specifically accommodate DoD and provides a decision tree methodology within IOD. Within the **Review** Tab there are multiple questions. Based on the selected response, a user will be taken to the next question.

The questionnaire is comprised of the following components:

- Transaction Review - Six questions regarding the transaction
- Transaction Determination Category
- Transaction Determination
- Corrective Actions Taken/Planned

Shown below is the first two questions that show up under the review tab, as shown the user has complete the questionnaire already for questions 1 and 2. The next step would be to continue answering the questionnaire until the questionnaire is complete.



For a complete description of the transaction review questions, please see the document titled, ***Defense Pricing and Contracting, Program Management Office, SmartPay 3 Data Mining, Transaction Review Questions, Final v-4, October 19, 2108***.

IOD Cases: Standard Daily Processing

This section provides you with information on how to use the Workbench to find, review, and resolve cases that have been assigned to you. It covers the standard daily processing steps for the following DoD Users.

- **A/BO (Approving Official or Billing Official)** – h/she reviews 100 percent of cases.
- **A/OPC (Agency / Organization Program Coordinator)** - h/she reviews 100 percent of cases after the A/BO has completed his/her review.

Cases will appear throughout the billing cycle and it is expected that the ABOs and A/OPCs will have ALL reviews completed within the 30-day cycle.

Processing /Reviewing Cases – Summary Steps

Processing cases involves the following steps:

1. Run a profile by clicking on a particular profile in the left Navigation pane of the Workbench window. Click on **1. Open**, then select a **Summary by** attribute (for this example, select **Summary by Indicator**).
2. Select a case by double clicking and the details screens for that case will appear (to reveal the **Summary** tab, **Entities** tab, **Messages** tab, and **Review** tab).
3. IOD defaults to the **Summary** tab. Examine information about the case under the **Summary** tab including the description of the case and indicators. Notice that the status is currently, **detected**. Once the reviewer has completed the questionnaire later in the process, IOD will update the status automatically.
4. Click on the **Entities** tab and examine the additional information about the case.
5. Click on the **Messages** tab to view the audit trail of the case. For a first-time review, there will be little or no information in the messages tab.
6. Click on the **Review** tab to go through the case questionnaire. Progress through the questionnaire by selecting the **Next** button. Depending on the answers selected, IOD will present the next question. When completed with the questionnaire, select **Submit**.
7. At any time during the case analysis and from any tab, if needed, you can email the case to seek clarification or correction of a non-compliant situation. Simply click on the email icon that is located on the right side of the screen in line with the detail tabs. You can send an email to another Workbench user or to someone inside or outside of your organization.
8. After completing the **Review** tab questionnaire, if needed go back to the **Messages** tab to add a note, to the case audit trail or attach a file to the case.
9. If you go back to the **Summary** tab you will see that that the status has been updated based on the results of the questionnaire.

   You have completed the standard daily processing of the case. If the case is marked as closed, it will be moved to under the Closed cases.
10. Repeat step 1 and run a different profile to view new cases.

The remainder of this section provides more information about each of the steps listed above.

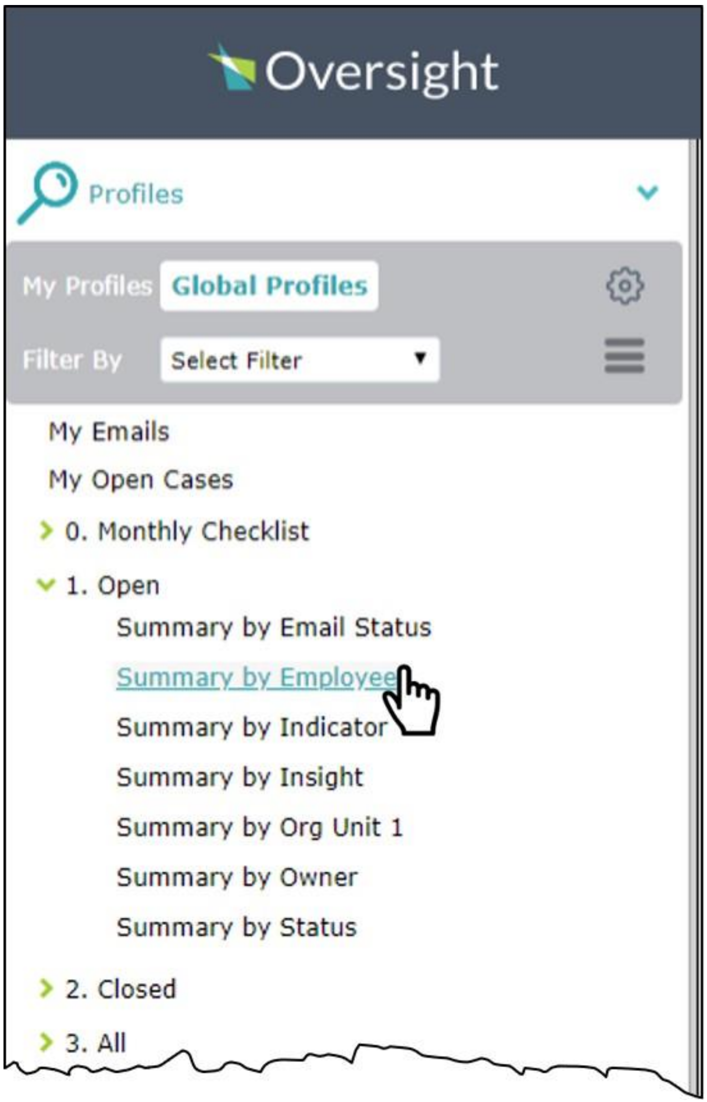
Finding Cases to Process

The Workbench provides pre-defined Global Profiles to assist you in viewing assigned cases. DoD users of IOD access their assigned cases through the **Profiles** section of the Navigation pane. When you select a profile, a summarized set of cases grouped by an attribute displays in the bottom pane Users can view all cases assigned to them including open and closed cases. Closed cases are grouped by the Billing Cycle.

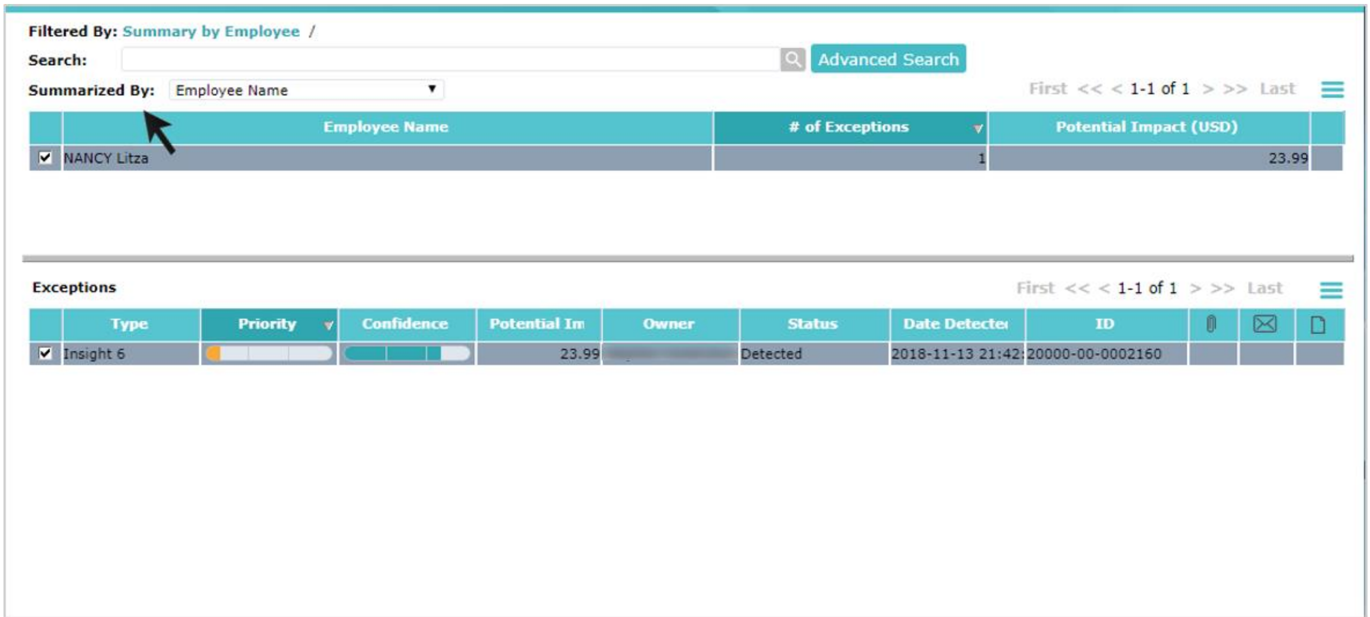
Select a Profile

To view your cases, open the **Profiles** section of the Navigation pane and select a profile to run.

When beginning the case review process, reveal the open cases by selecting **1. Open** and then select an attribute to display the open cases by clicking on a **Summary by** option. The screen below, shows the **Summary by Employee** attribute has been selected.

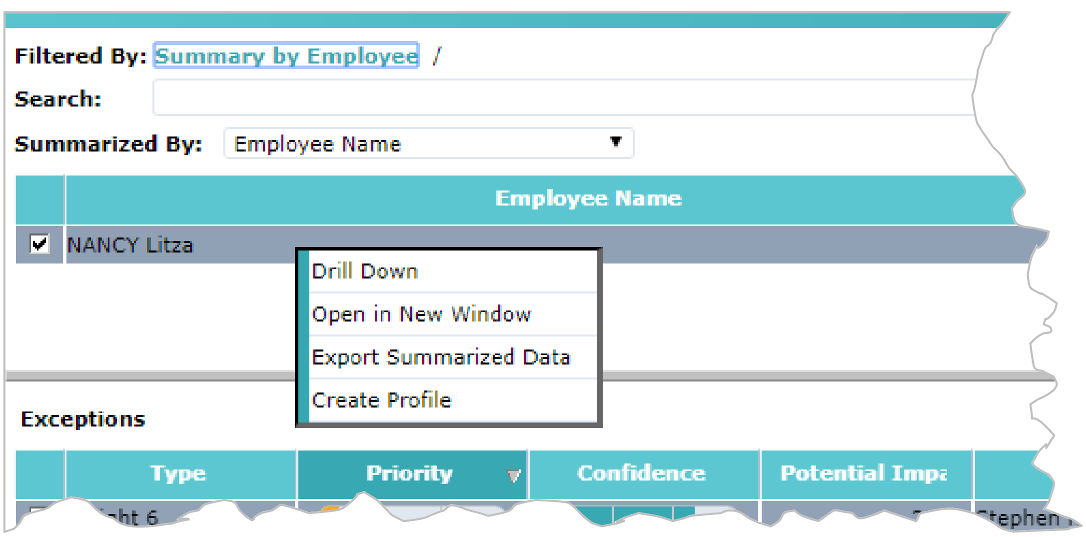


The Workbench displays the results of the selected profile, and the attribute by which it is summarized.

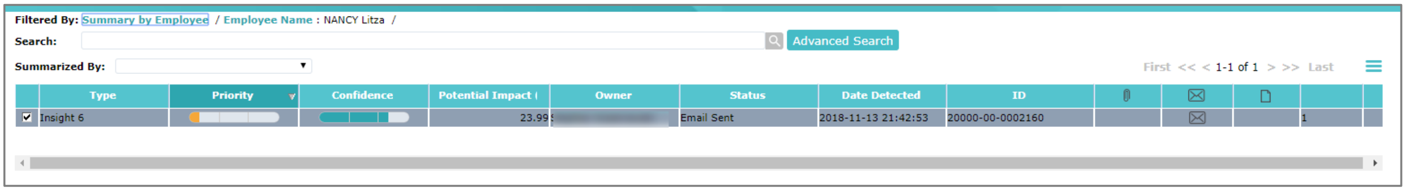


Drilling Down to a Smaller Group of Cases

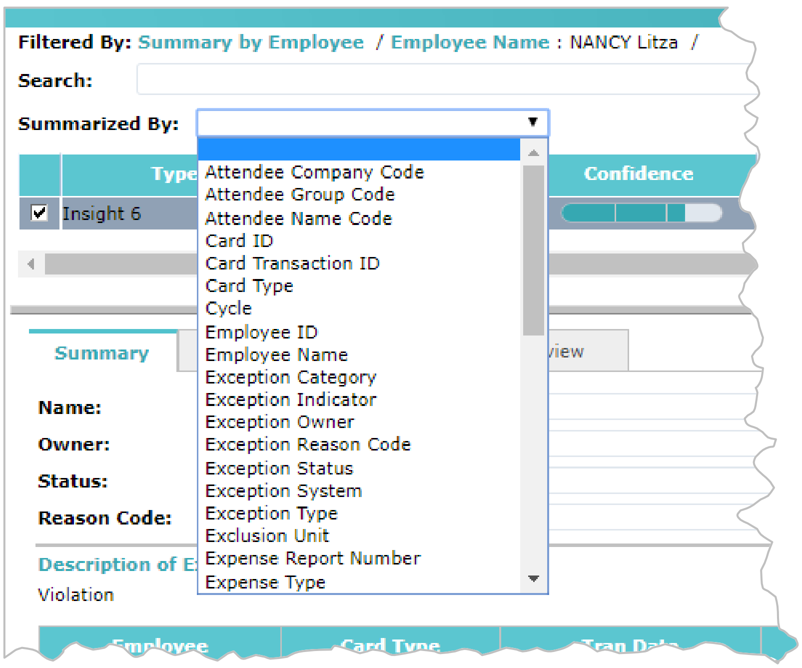
If you want to further refine your search results, drill down into a specific summary row by double clicking on the row or right clicking on the row and choosing **Drill Down** from the **Options** menu. The screen below shows the screen that appears when right clicking. Select **Drill Down**.



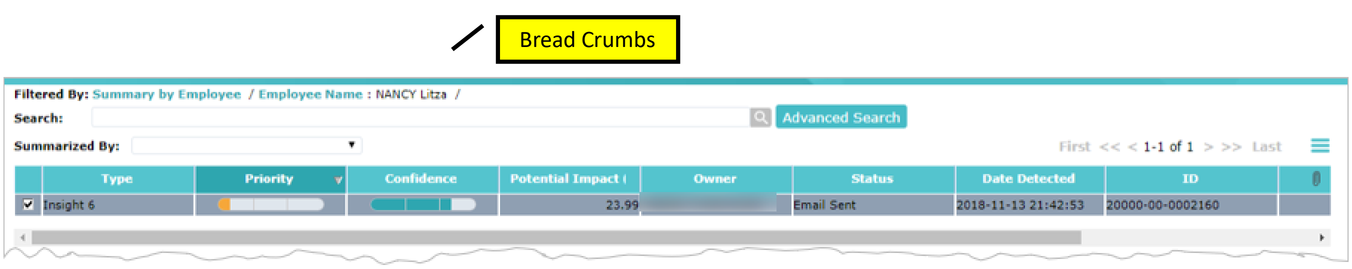
In the top pane, the Workbench displays the cases that match the selected row.



If you want to continue refining these search results, select an entry from the **Summarized By** drop down and then drill down again.



After each drill down operation the Workbench displays the sequence of drill downs with a series of bread crumbs at the top of the page following the **Filtered By** label. Select any of the links in the bread crumbs to return to the list summarized by that attribute.



Working Cases to Closure

The process of working assigned cases to closure involves reviewing detailed information about the case within the **Summary**, **Entities**, **Messages**, and **Review** tabs. The instructions below describe the actions you can take within each of the tabs to complete the review process.

DoD IOD Users will work their assigned cases as follows:

- **A/BO** – h/she reviews 100 percent of cases
- **A/OPC** – h/she reviews 100 percent of cases after the A/BO has completed his/her review.

To resolve a case and determine its cause, you can take the following actions:

- Add notes
- Attach images or documents to the case
- Assign the case to another workbench user
- Send an email about the case
- Complete a review questionnaire about the specific case
- Set a reason code to indicate the root cause of the case
- Change the status of the case to indicate when your investigation is complete. For A/BOs, once his/her review is complete, the case will move to the next level of reviewer, the A/OPC.

The steps below provide detail regarding the actions to take for working a case to closure.

Summary Tab: Change Owner, Assign Status and Reason Code

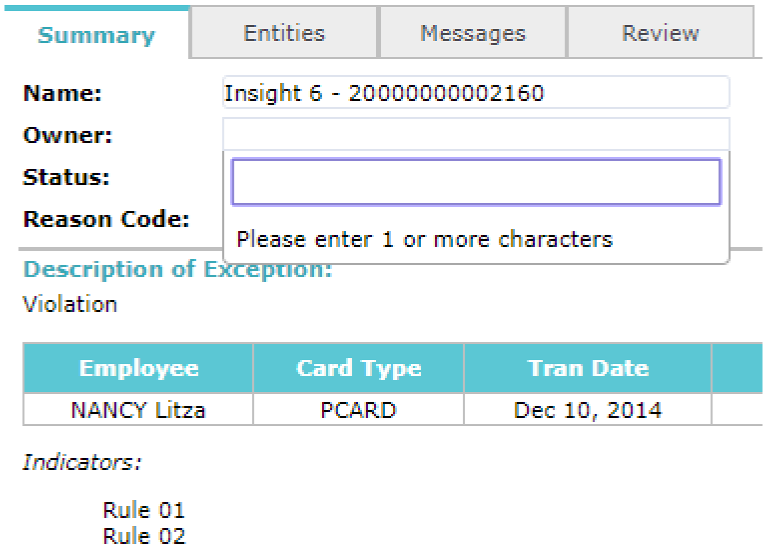
Familiarize yourself with the case by viewing the summary information on the screen.

Three items on the summary screen can be changed. **Owner**, **Status**, and **Reason Code**. While it is not necessary to change the **Owner** of a case, it is an available option. The **Status** and **Reason Code** will be updated automatically by the system after the questionnaire is complete and the user clicks Submit; however, the A/BO or A/OPC can manually change the status and reason code if needed.

Changing the Case Owner: Assign a case to Another Workbench User

If another user is better qualified or more available to resolve a specific case, the case can be assigned to another user.

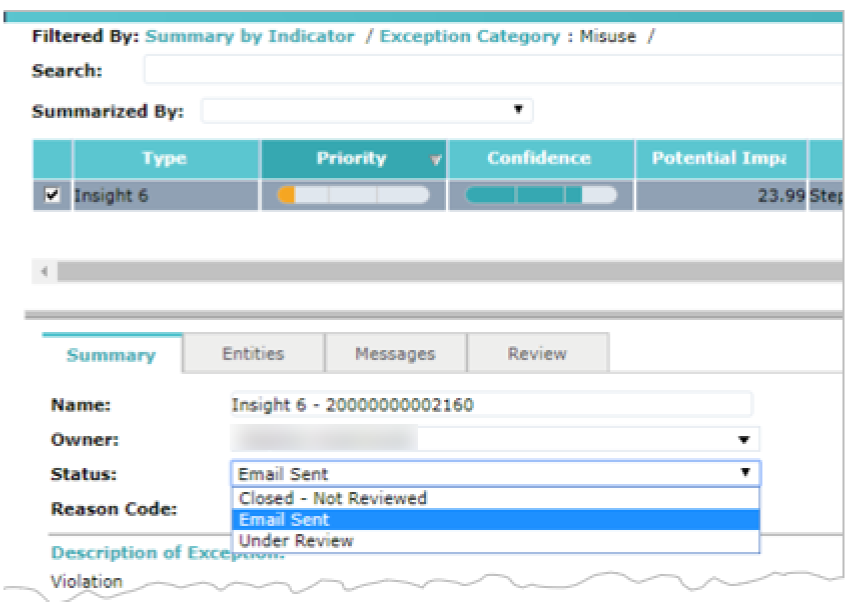
To assign a case to another user, start keying in a user name. Only users with permission to view a given case based on hierarchy will appear and be selectable. Select the new owner from the **Owner** drop down by starting to type the new owner's name.



Change Status of a case

The **Status** field indicates where a case is in the process of resolving it.

The system offers three status: Email sent, Closed – Not Reviewed, or Under review as shown below.



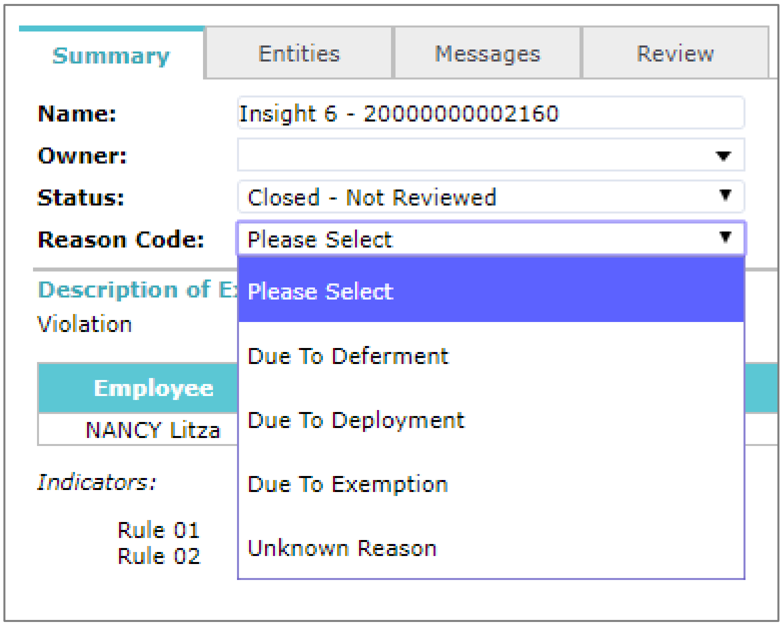
The Workbench user and the Oversight IOD system can change the status of a case. For example, an IOD system status change would occur if an email is sent or if the case is closed after the review questionnaire is complete.

Once the review questionnaire is complete, the case will be handled within the system according to the answers provided in the review questionnaire.

Set a Reason Code on a Case

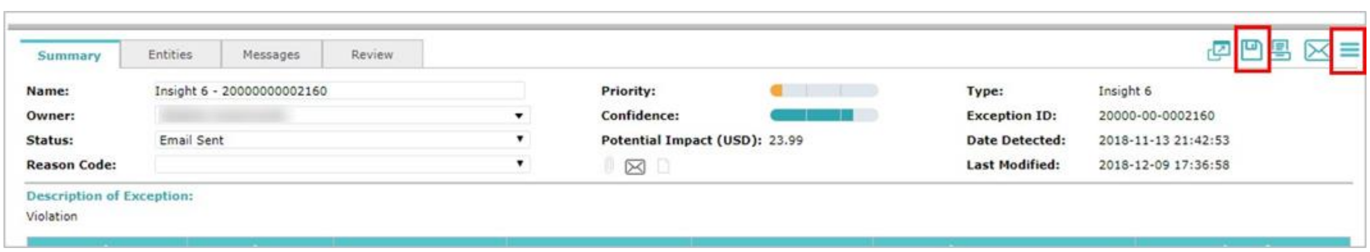
Reason codes are assigned by IOD automatically based on the questionnaire responses. From the Summary tab users can view the assigned reason code for the case to track the reason a case occurred. The reason code assignment with the case helps to accurately perform root cause analysis, and support business process changes to improve performance.

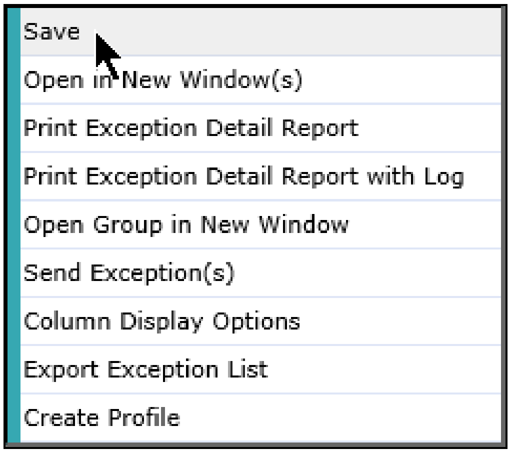
The IOD system provides a set of standard reason codes that have been configured to reflect DoD business processes, these set codes are shown below.



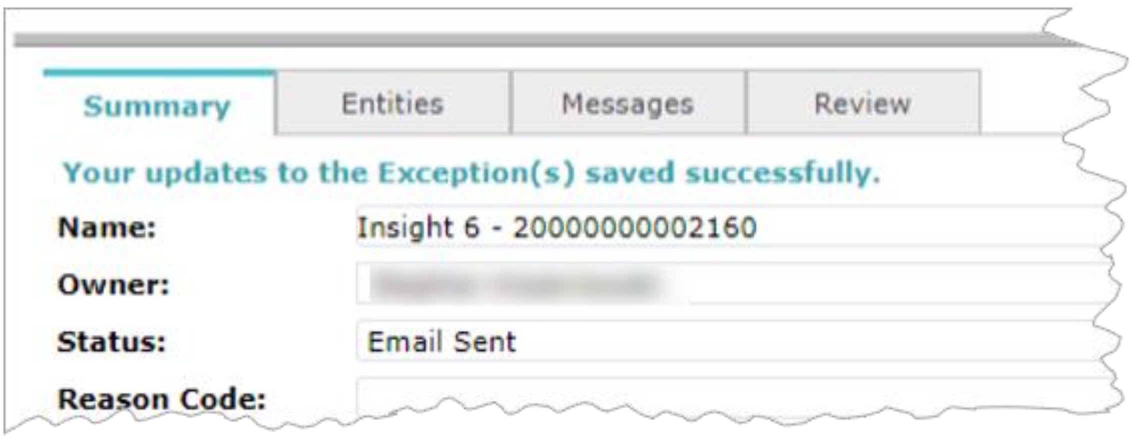
Saving Your Changes

When you finish making changes, save them by clicking the Save icon ( ) or by clicking the Menu icon ( ) and then selecting **Save**. You must save your work, otherwise your changes will be lost.

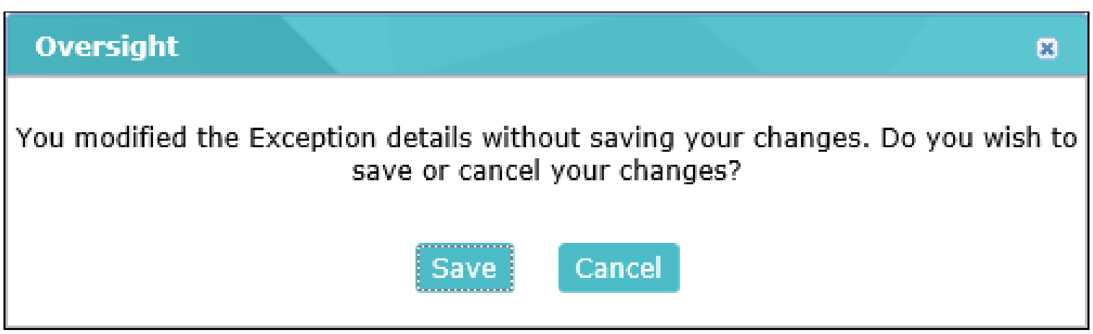




The Workbench displays a message showing that your changes were successfully saved. You can now make more changes or work on another case.



If you switch to another case without saving your changes, the following window appears.



If you want to save your changes and switch to the other case, click Save. If you want to discard your changes and remain on the current case, click Cancel.

Entities Tab

The A/BO and the A/OPC should review information about the case within the **Entities** tab. Much information can be learned about the case through this tab such as detailed merchant category information and purchase item details. If available, the system will display a summary of recent merchant charges by attribute. Through the **Entities** tab a reviewer can learn more about the transaction so he/she can determine if it was a legitimate purchase. Information from the **Entities** tab is also used to complete the questionnaire as the questionnaire guides the user through the determination process.

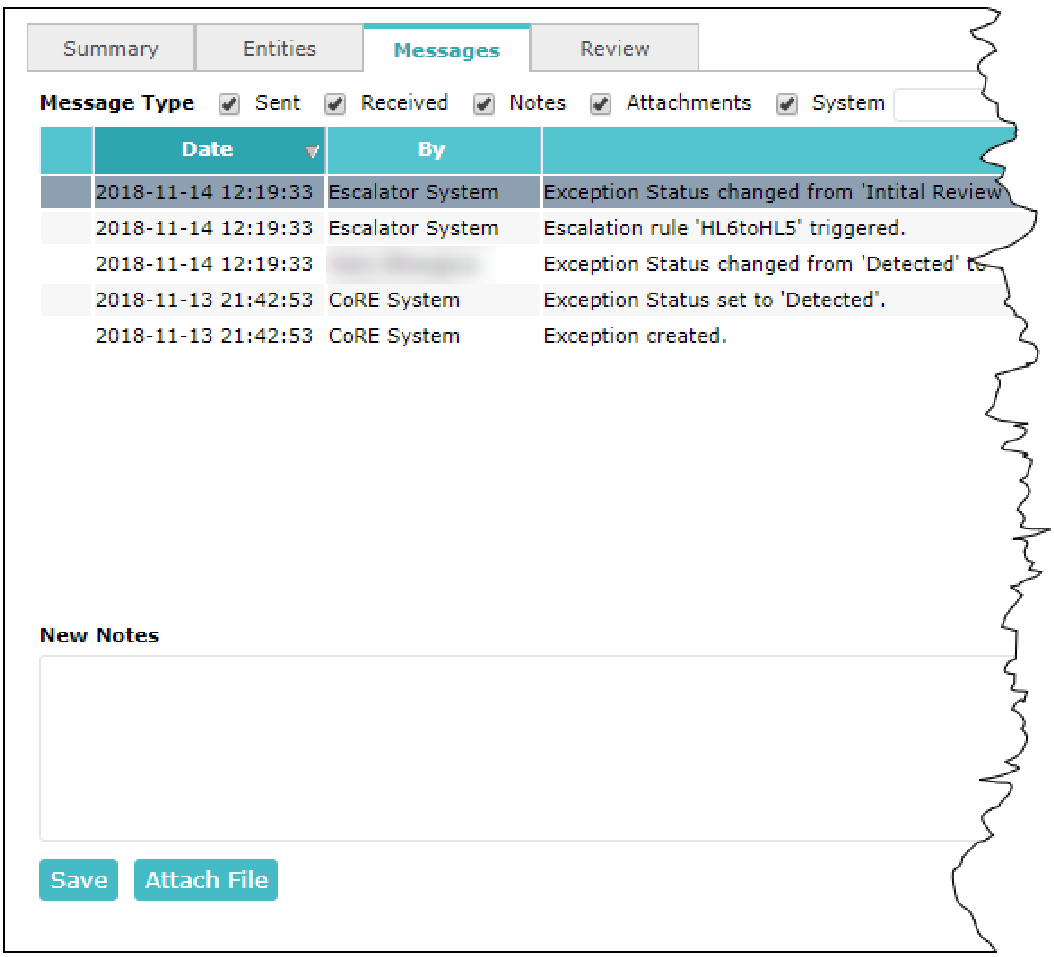
Messages Tab: Add Notes, Attach File, View Audit Trail

Within the **Messages** tab, users can view the audit trail of the case, add notes to the case, and attach one or more files to the case.

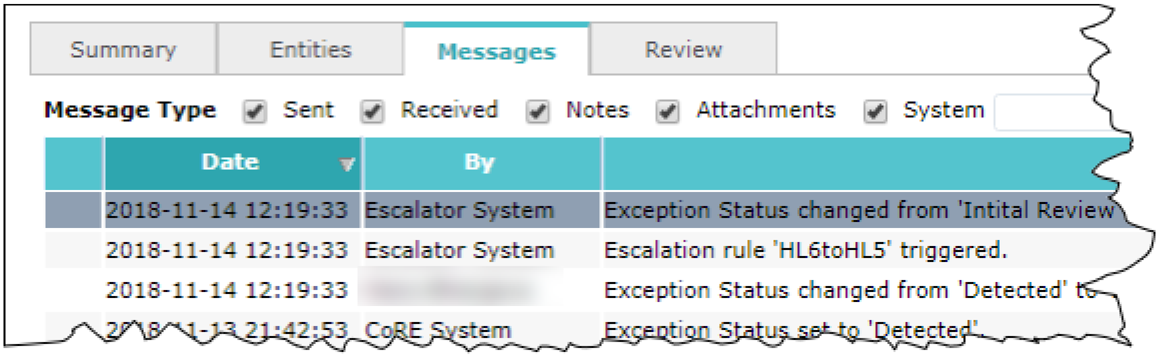
While minimal information will appear about the case when it first appears to the A/BO, as the case is worked the IOD system will add information for the audit trail. A/OPC users may find it helpful in his/her review of a case to view the audit trail of the actions taken by the A/BO.

Adding Notes to a Case

Use the **New Notes** box at the bottom of the **Messages** tab to add important notes about the case. This could include information found during the investigation of the case or reasons for the final resolution of the case.



When you add a note and save it, the Oversight IOD system creates a new message entry with the text of the note. Notes become a permanent part of the audit trail for the case.



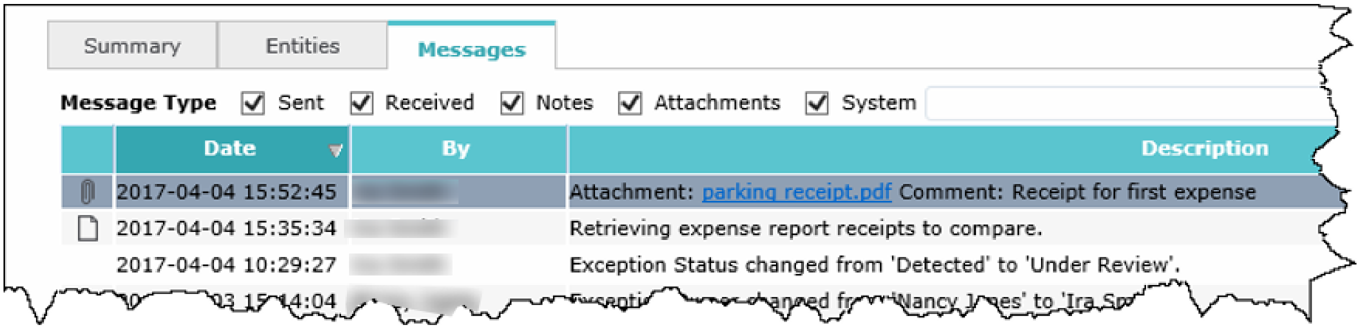
You cannot edit a note once you have added it and saved it. Notes are limited to a maximum of 4,000 characters including spaces.

Add Image or Document to a Case

From the **Messages** tab, you can attach an image or document to a case.

1. Click the Attach File button below the **New Notes** box.
2. Select the file you want to attach and open it when the file upload window displays. The file name appears next to the Attach File button at the bottom of the **Messages** tab.
3. Add any comments or notes about the file if needed in the New Notes box.

4. Click the Save button tab to attach and upload the file and your notes. A new message entry displays in the **Description** field showing the file name and your notes.



Review Tab: Case Questionnaire

The Review tab is an essential component for the A/BO and A/OPC review process. Under the review tab, IOD users will response to a questionnaire regarding the case. The questionnaire will change based on the unique case and the selections made.

The full questionnaire includes six review questions a transaction determination category, a transaction determination, and a Corrective Action taken/planned.

Depending on the items selected, the user will be taken to the next appropriate question. The list is summarized below:

QUESTION 1: List items/services purchased in this transaction, if not already displayed in the top box. Additional clarification or nomenclature should be provided in the second box.

QUESTION 2: What type of transaction is this?

QUESTION 3: Verify the following in regard to the current transaction and its associated documentation.

QUESTION 4: Select the reason why the transaction exceeded the Federal-wide Open Market Micro-Purchase Threshold (MPT).

QUESTION 5: Select all applicable findings associated with this flagged transaction. If none are identified, select "No Findings". Note: Some findings may have been identified based on answers from previous questions.

QUESTION 6: Based on the answers you provided, the most significant finding is Prohibited Item. What is your determination on this finding?

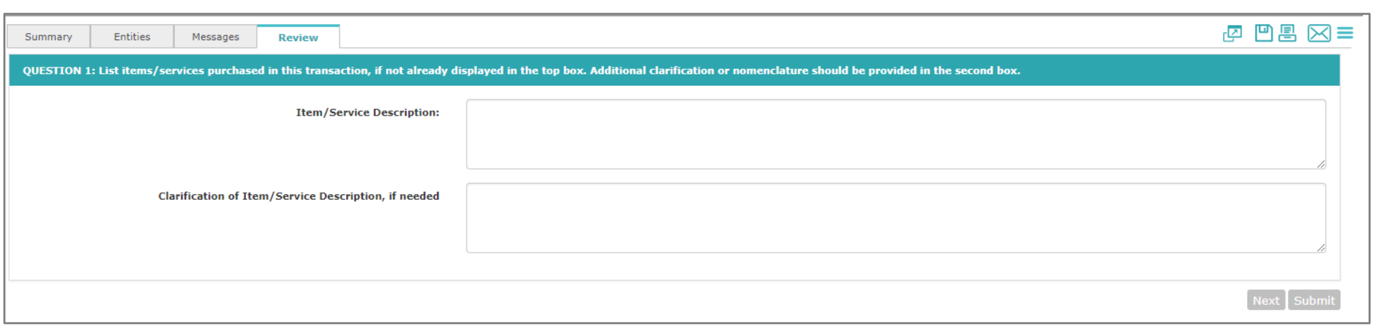
Transaction Determination Category

Transaction Determination

Corrective Actions Taken/Planned Based on responses to questions

Each of the questions as they appear in IOD are shown below.

Question 1: Item/Service Description and Clarification of Item/Service Description



Question 2: What type of transaction is this?

Contract Transaction

QUESTION 2: What type of transaction is this?

- (•) Contract
- ( ) Supply
- ( ) Service NOT applicable to the Service Contract Labor Standard Services (41 U.S.C, Chapter 67)
- ( ) Service applicable to the Service Contract Labor Standard Services (41 U.S.C, Chapter 67)
- ( ) Construction NOT applicable to the Acquisition of Construction Subject (40 U.S.C Chapter 31)
- ( ) Construction applicable to the Acquisition of Construction Subject (40 U.S.C Chapter 31)
- ( ) External Fraud (Compromised Card)
- ( ) Disputable Transaction

Supply Transaction

QUESTION 2: What type of transaction is this?

- ( ) Contract
- (•) Supply
- ( ) Service NOT applicable to the Service Contract Labor Standard Services (41 U.S.C, Chapter 67)
- ( ) Service applicable to the Service Contract Labor Standard Services (41 U.S.C, Chapter 67)
- ( ) Construction NOT applicable to the Acquisition of Construction Subject (40 U.S.C Chapter 31)
- ( ) Construction applicable to the Acquisition of Construction Subject (40 U.S.C Chapter 31)
- ( ) External Fraud (Compromised Card)
- ( ) Disputable Transaction

Question 3: Verify the following in regards to the current transaction and its associated documentation

QUESTION 3: Verify the following in regards to the current transaction and its associated documentation.

Provide Contract Number: 80-55555

- (•) Yes ( ) No **Sales receipt/merchant invoice/order confirmation (e.g., FedMall)**
- (•) Yes ( ) No **Cardholder Purchase Log entry complete**
- (•) Yes ( ) No **Independent Receipt and Acceptance (Does Purchase Documentation validate a minimum two-way Separation of Duties?)**

Question 4: Select the reason why the transaction exceeded the Federal-wide Open Market Micro-Purchase Threshold (MPT).

QUESTION 4: Select the reason why the transaction exceeded the Federal-wide Open Market Micro-Purchase Threshold (MPT).

- DLA Document Services (up to $25,000)
- SF-182 Training Payment (up to $25,000)
- Used delegated authority for Open Market Outside the U.S. (Up to $25,000 per DFARS 213.301)
- In support of Contingency declared by Secretary of Defense
- Contract Order (FSS, BPA, IDIQ)
- Other:
- Exceeds the Authorized Limit (current MPT)

Next Submit

Question 5: Select all applicable findings associated with this flagged transaction. If none are identified, select "No Findings".

QUESTION 5: Select all applicable findings associated with this flagged transaction. If none are identified, select "No Findings".
Note: Some findings may have been identified based on answers from previous questions.

- [ ] Not for Government Use (Personal Use)
- [ ] Unauthorized Use
- [x] Prohibited Item
- [ ] Split Purchase to Circumvent the Current MPT
- [ ] Exceeds the Authorized Limit
- [ ] Exceeds Minimum Mission Need
- [ ] Failure to Use/Screen Required Sources when Applicable
- [ ] Separation of Duties NOT Performed
- [ ] Sustainable (Green) Procurement Procedures NOT Followed
- [ ] Incomplete Purchase Records
- [ ] No Findings

Question 6: Based on the answers you provided, the most significant finding is Prohibited Item. What is your determination on this finding?

QUESTION 6: Based on the answers you provided, the most significant finding is Prohibited Item. What is your determination on this finding?

- (selected) Misuse – (Unintentional)
- Abuse – (Intentional)

Additional Comments: At this case holders previous duty station, purchase of golf clubs was permitted, however at the individuals current duty station, they are a prohibited item. This cardholder will be advised that this is a prohibited item at his/her current duty station."

QUESTION 6: Based on the answers you provided, the most significant finding is Incomplete Purchase Records. What is your determination on this finding?

- (●) Administrative Discrepancy - (Unintentional)
- ( ) Potential Internal Fraud - (Malicious Intent)

Additional Comments:

Transaction Determination Category

TRANSACTION DETERMINATION CATEGORY The most significant Finding has been identified as:

- [ ] Not for Government Use (Personal Use)
- [ ] Unauthorized Use
- [x] Prohibited Item
- [ ] Split Purchase to Circumvent the Current MPT
- [ ] Exceeds the Authorized Limit
- [ ] Exceeds Minimum Mission Need
- [ ] Failure to Use/Screen Required Sources when Applicable
- [ ] Separation of Duties NOT Performed
- [ ] Sustainable (Green) Procurement Procedures NOT Followed
- [ ] Incomplete Purchase Records
- [ ] No Findings

TRANSACTION DETERMINATION: Based on the Finding identified, the Determination is:

(●) No Findings

Additional Comments:

Transaction Determination

TRANSACTION DETERMINATION: Based on the Finding identified, the Determination is:

(●) Misuse – (Unintentional)

( ) Abuse – (Intentional)

Additional Comments: At this case holders previous duty station, purchase of golf clubs was permitted, however at the individuals current duty station, they are a prohibited item. This cardholder will be advised that this is a prohibited item at his/her current duty station."

TRANSACTION DETERMINATION: Based on the Finding identified, the Determination is:

(●) Administrative Discrepancy - (Unintentional)

( ) Potential Internal Fraud - (Malicious Intent)

Additional Comments:

TRANSACTION DETERMINATION: Based on the Finding identified, the Determination is:

- (selected) Misuse – (Unintentional)
- Abuse – (Intentional)
- Potential Internal Fraud - (Malicious Intent)

Additional Comments: Not sure if this was a valid purchase for the cardholder. Some offices can purchase liquor based on their mission; e.g., Chaplains.

Corrective Actions Taken/Planned Based on responses to questions

Corrective Actions Taken/Planned Based on responses to questions, the following actions table must be completed.

Action	Planned/Taken	Action Date (mm/dd/yy)
Request merchant credit/Dispute the transaction	☐	mm/dd/yyyy
Informal counseling	☐	mm/dd/yyyy
Refresher training	☑	mm/dd/yyyy
Reimbursement to program	☐	mm/dd/yyyy

Review Tab: Example 1: A/BO Contract with Findings

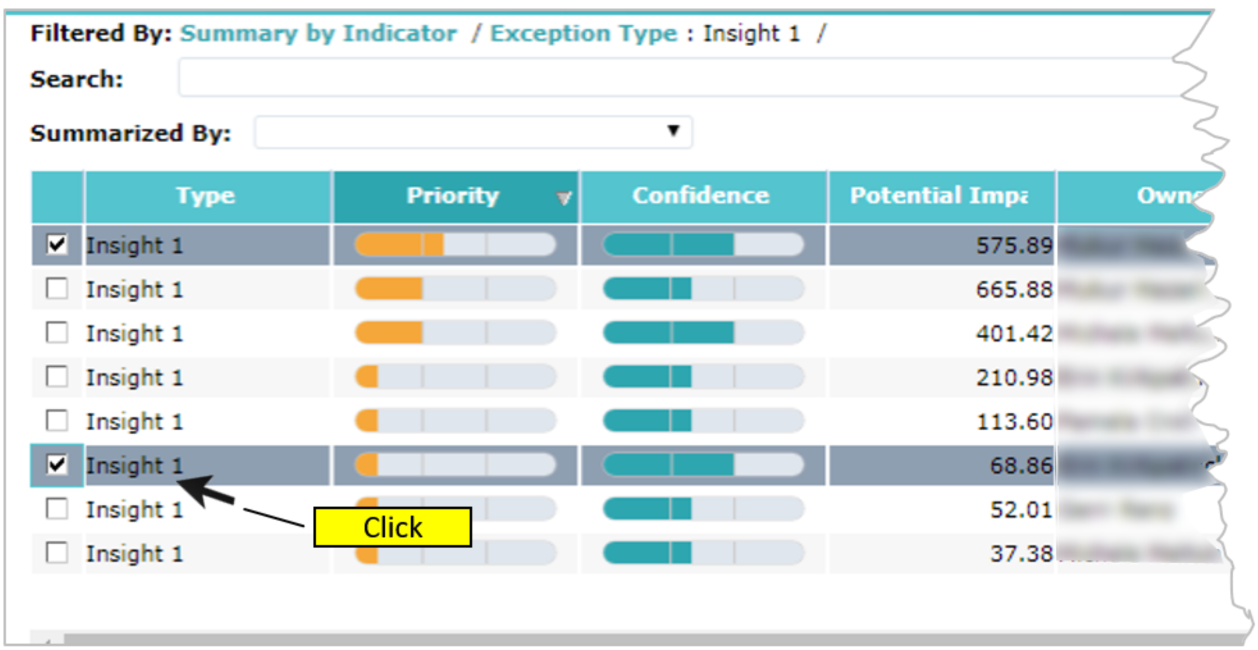
Below are detailed steps that an A/BO would take if a case appears within IOD that is in violation of the Contract and findings need to be documented.

Step 1 – Login
Login to portal (https://iodgov.oversightsystems.us)

Step 2 – The Workbench
A/BOs and A/OPCs will click on View Workbench after login.

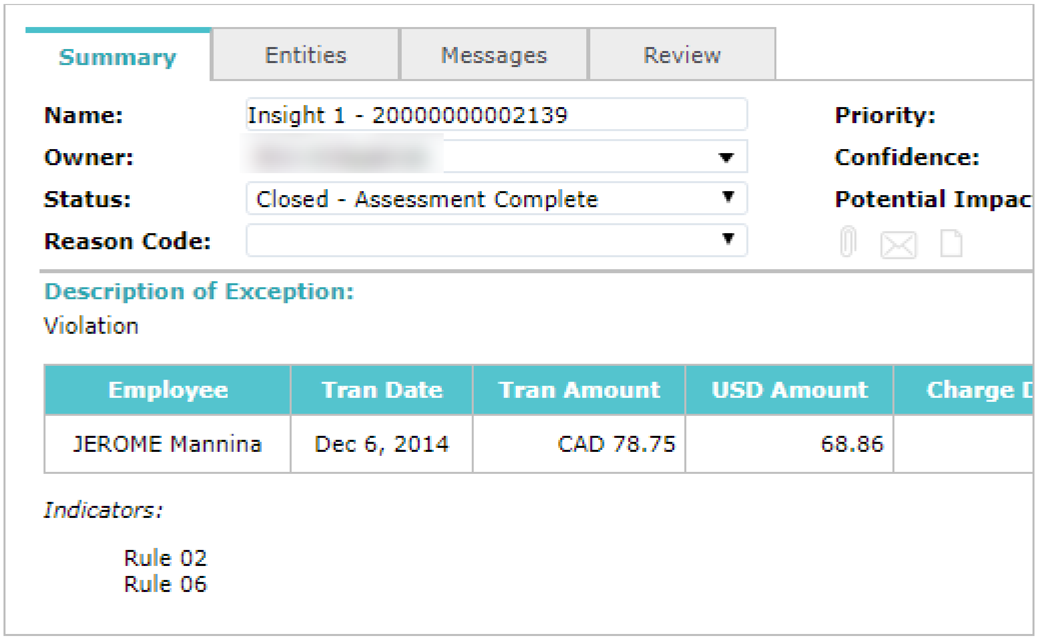
Step 3 – Navigate past security message
Click "OK" on the security message pop-up

Step 4
1. Click on My Open Cases
2. Click on **Choose one of the Cases on the right-hand side and double click to open the case in a new window to start the review.**



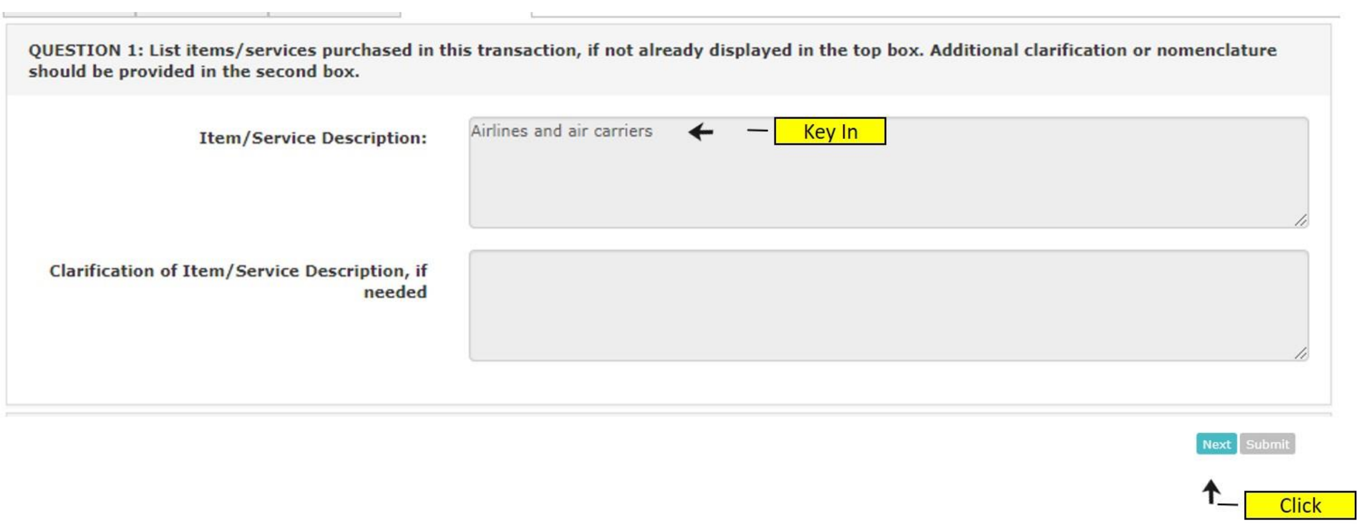
Step 5 – A/BO review – Questionnaire

To get to the questionnaire, click on the **Review** tab, which is the right-most tab.



Step 6 – A/BO review – Questionnaire

Question 1 is shown. Enter a value in the Item/Description question box. For example, “Airlines and air carriers”. Enter “n/a” in the “Clarification of Item/Service Description, if needed” question box. Click the **“Next”** button to proceed to Question 2.

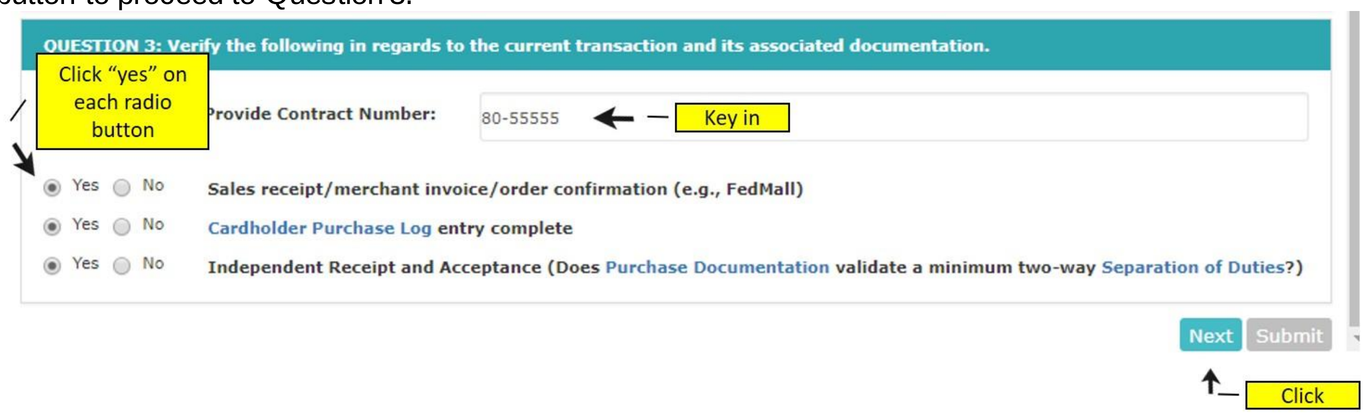


Step 7 – A/BO review – Questionnaire

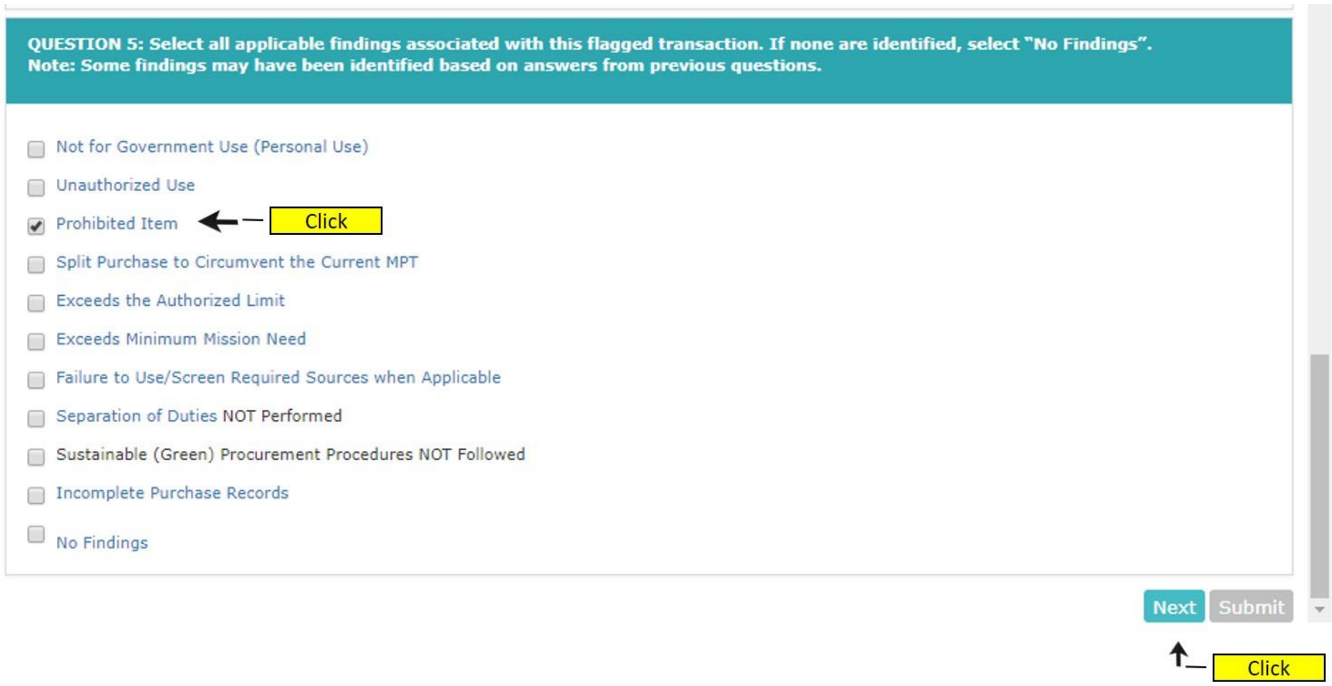
Question 2 is shown. Click the radio button next to the "**Contract**" option. This is the first option in the list that is displayed for question 2. Click the "**Next"** button to proceed to Question 3.

Step 8 – A/BO review – Questionnaire

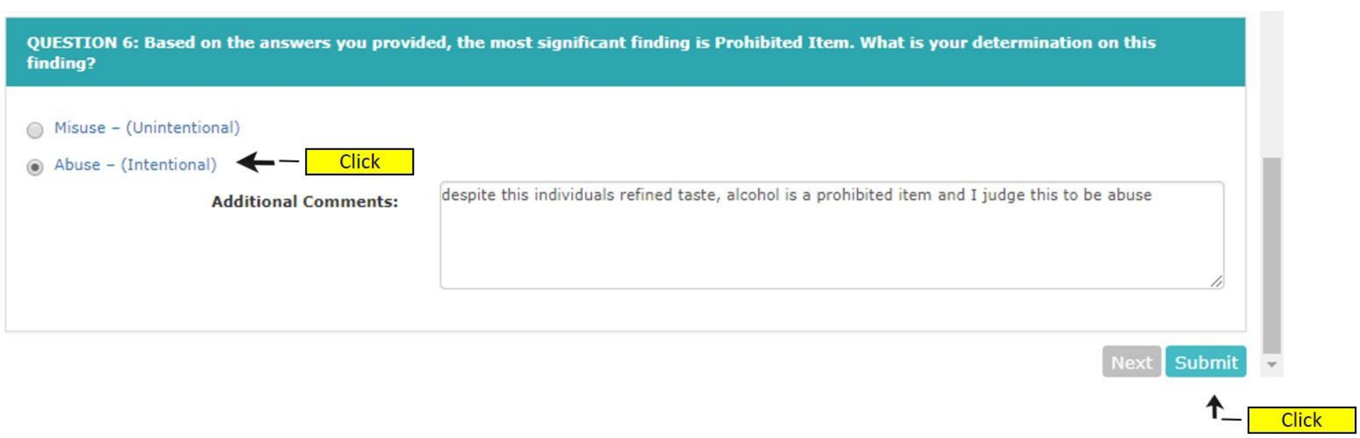
Question 3 is shown. Enter a value in the "Provide Contract Number" question box. For example, "80-55555". Click the "**Yes**" radio button for each of the items in the next displayed. Click the "**Next**" button to proceed to Question 3.



Step 9 – A/BO review – Questionnaire
Question 5 is shown, and question 4 is skipped based on your previous answers. Click the "**Prohibited Item**" checkbox. This is the third option in the displayed list. Click the "**Next"** button to proceed to Question 6.



Step 10 – A/BO review – Questionnaire
Question 6 is shown. Click the "**Abuse (Intentional)**" radio button. This is the second option in the displayed list. Enter comments in the additional comments question box. For example, "despite this individuals refined taste, alcohol is a prohibited item and I judge this to be abuse."



Step 11 – A/BO review – Questionnaire
The "Submit" button at the end of the questionnaire to close out the window. Once the submit button is pressed, the information will be stored in the system automatically.

Review Tab: Example 2: A/BO Supply with Findings

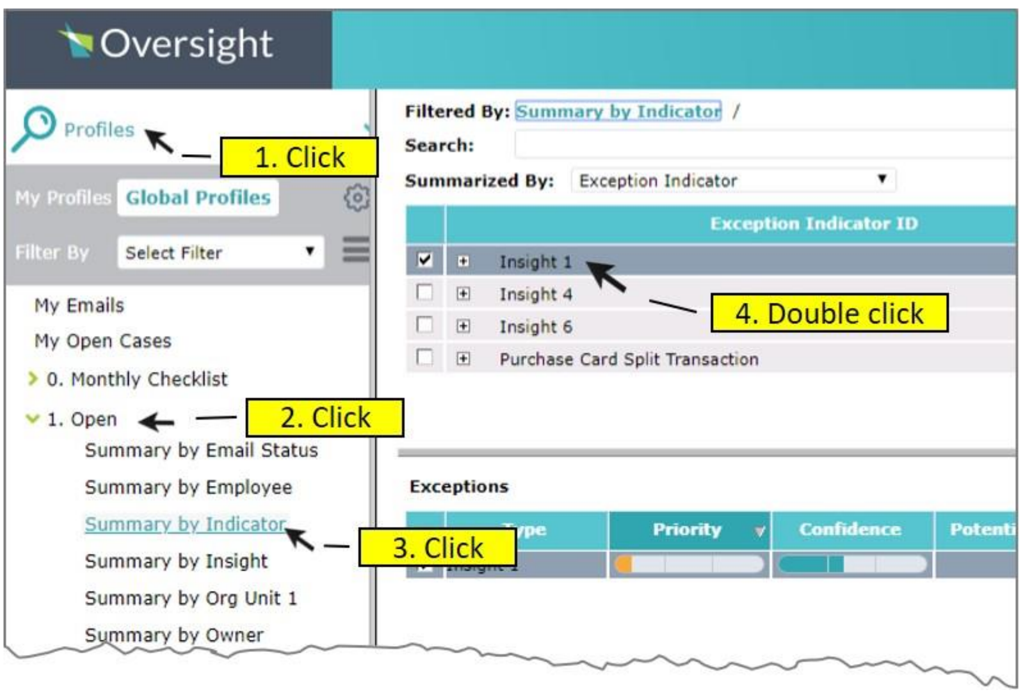
Below are detailed steps that an A/BO would take if a case appears within IOD that related to a supply purchase and findings need to be documented.

Step 1 – Login
Login to portal (https://iodgov.oversightsystems.us)

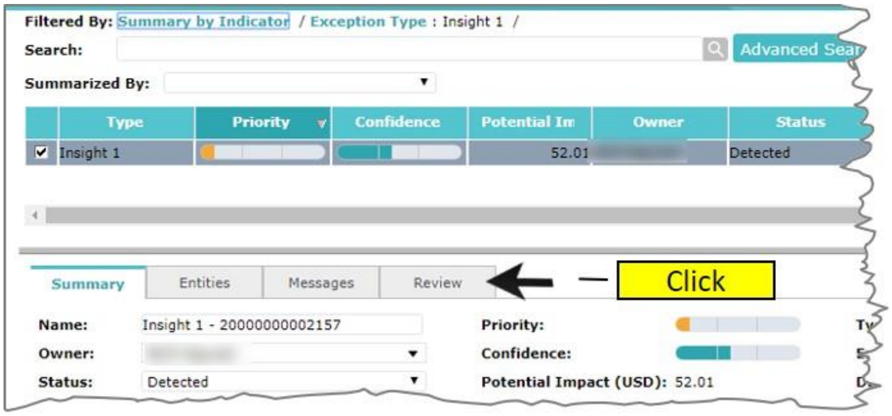
Step 2 – The Workbench
A/BOs and A/OPCs will click on View Workbench after login.

Step 3 – Navigate past security message
Click "OK" on the security message pop-up

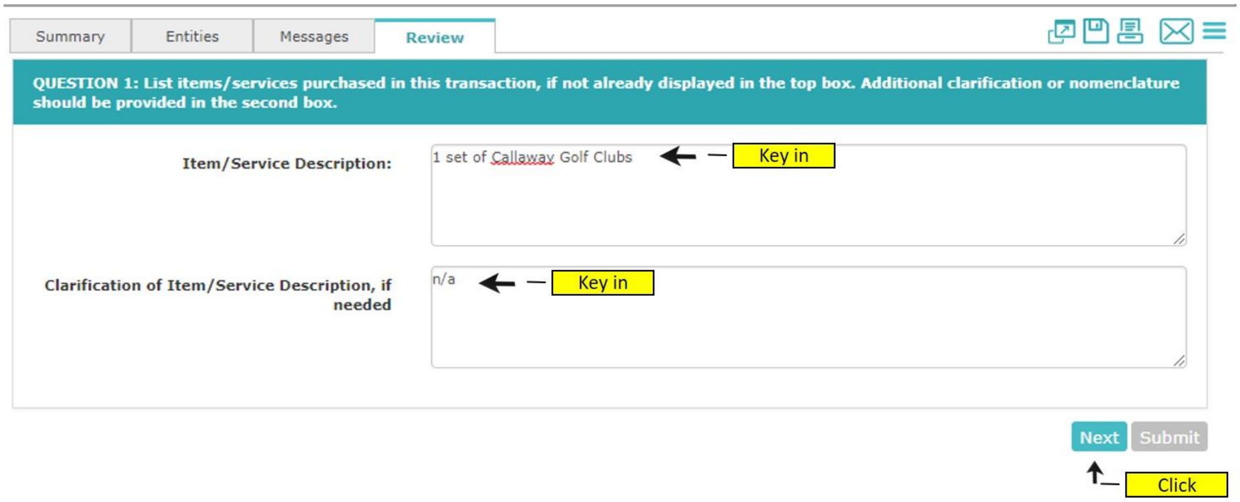
Step 4
1. Click on the **Profile**s menu on the left navigation bar
2. Click on My Open Cases
3. Choose one of the Cases on the right-hand side (**Insight 1**) and double click on it to review



Step 5 – A/BO review – Questionnaire
To get to the questionnaire, click on the **Review** tab, which is the right-most tab.



Step 6 – A/BO review – Questionnaire
Question 1 is shown. Enter a value in the Item/Description question box. For example, "1 set of Callaway Golf Clubs". Enter "n/a" in the "Clarification of Item/Service Description, if needed" question box. Click the "Next" button to proceed to Question 2.

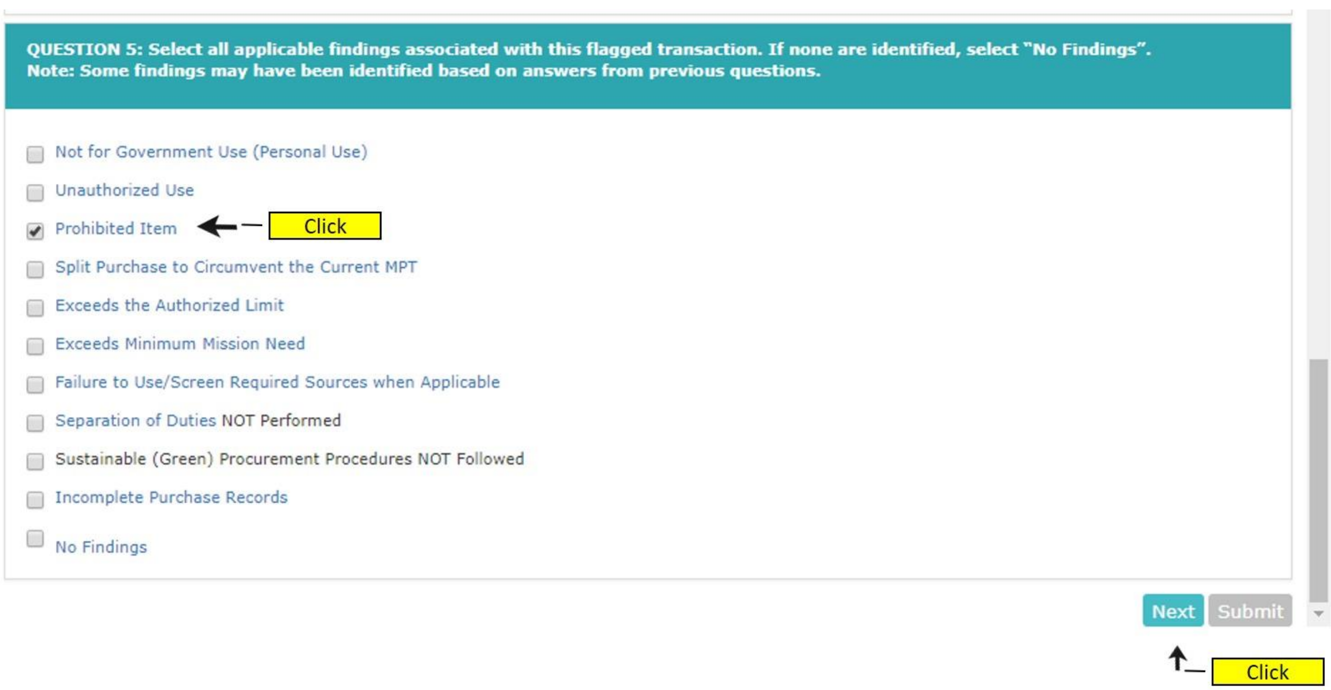


Step 7 – A/BO review – Questionnaire

Question 2 is shown. Click the radio button next to the “Supply” option. This is the second option in the list that is displayed for question 2. Click the “Next” button to proceed to Question 5.

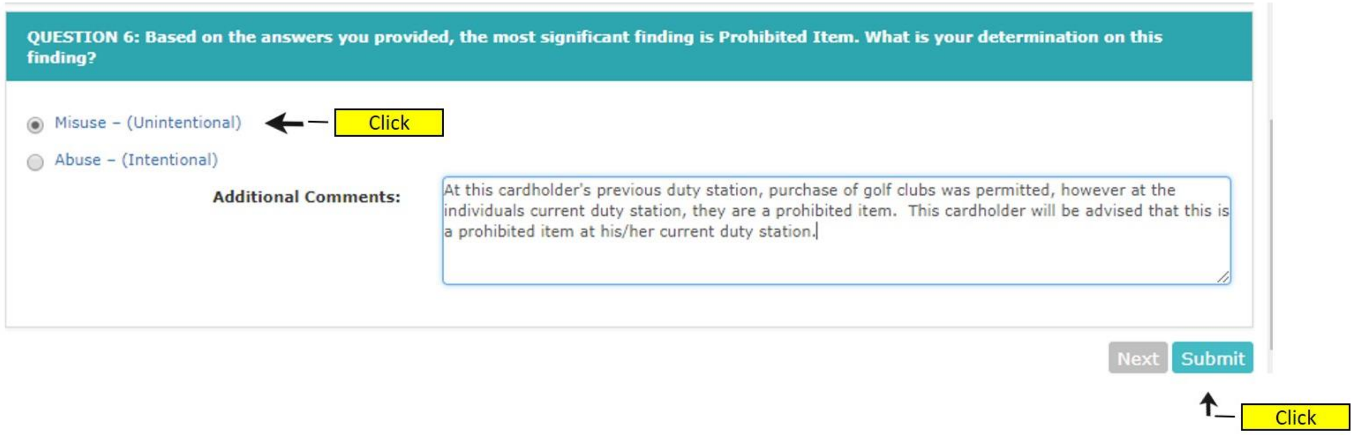
Step 8 – A/BO review – Questionnaire

Question 5 is shown, and questions 3 and 4 are skipped based on your previous answers. Click the “Prohibited Item” checkbox. This is the third option in the displayed list. Click the “Next” button to proceed to Question 6.



Step 9 – A/BO review – Questionnaire

Question 6 is shown. Click the “Misuse (Unintentional)” radio button. This is the second option in the displayed list. Enter comments in the additional comments question box. For example, “At this case holders previous duty station, purchase of golf clubs was permitted, however at the individuals current duty station, they are a prohibited item. This cardholder will be advised that this is a prohibited item at his/her current duty station.”



Step 10 – A/BO review – Questionnaire

The “Submit” button at the end of the questionnaire close out the window.

Review Tab: Example 3: A/BO No Findings

In this example, the A/BO is recording “no findings” for the case.

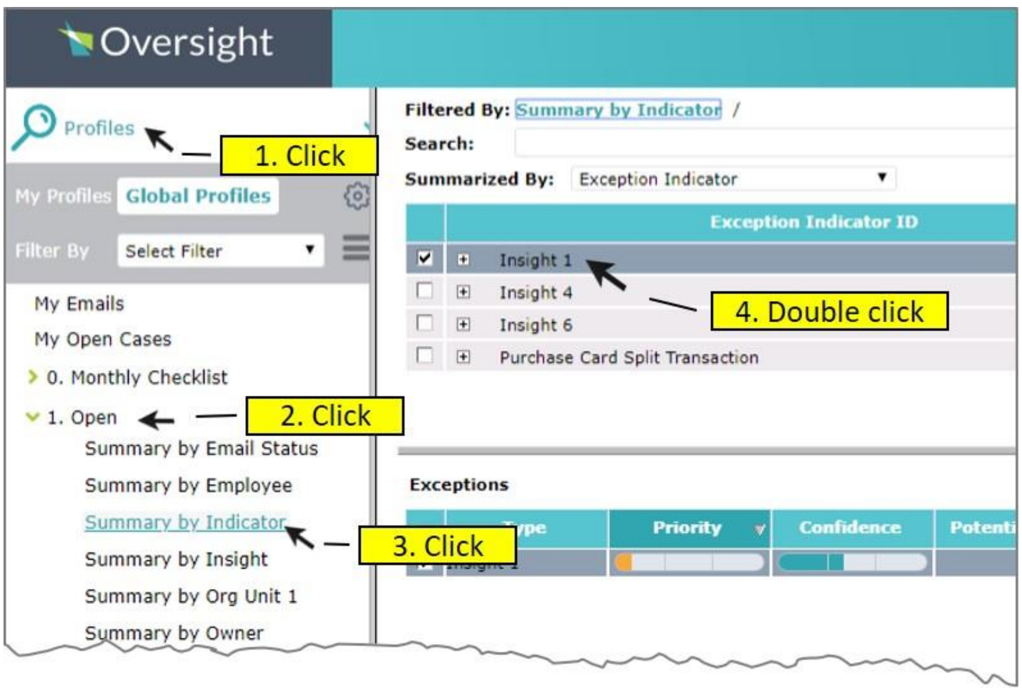
Step 1 – Login
Login to portal (https://iodgov.oversightsystems.us)

Step 2 – The Workbench
A/BOs and A/OPCs will click on View Workbench after login.

Step 3 – Navigate past security message
Click “OK” on the security message pop-up

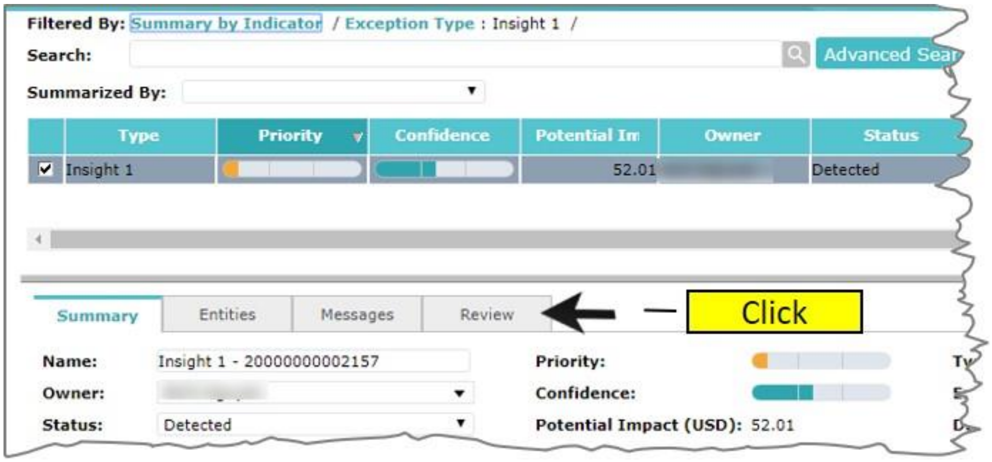
Step 4
Click on the Profiles menu on the left navigation bar
For A/BO testing, click on My Open Cases
Choose one of the Cases on the right-hand side and double click on it to review

1. Click on the **Profile**s menu on the left navigation bar
2. Click on My Open Cases
3. Choose one of the Cases on the right-hand side and double click on it to review



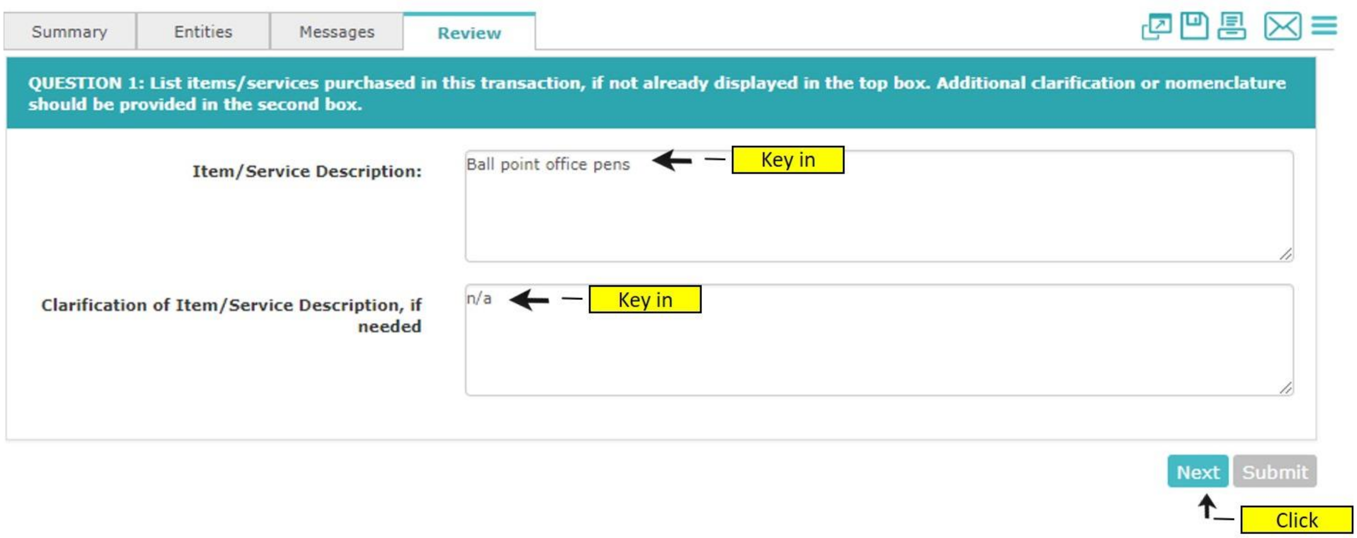
Step 5 – A/BO review – Questionnaire

To get to the questionnaire, click on the **Review** tab, which is the right-most tab.



Step 6 – A/BO review – Questionnaire

Question 1 is shown. Enter a value in the Item/Description question box. For example, "Ball point office pens". Enter "n/a" in the "Clarification of Item/Service Description, if needed" question box. Click the "Next" button to proceed to Question 2.

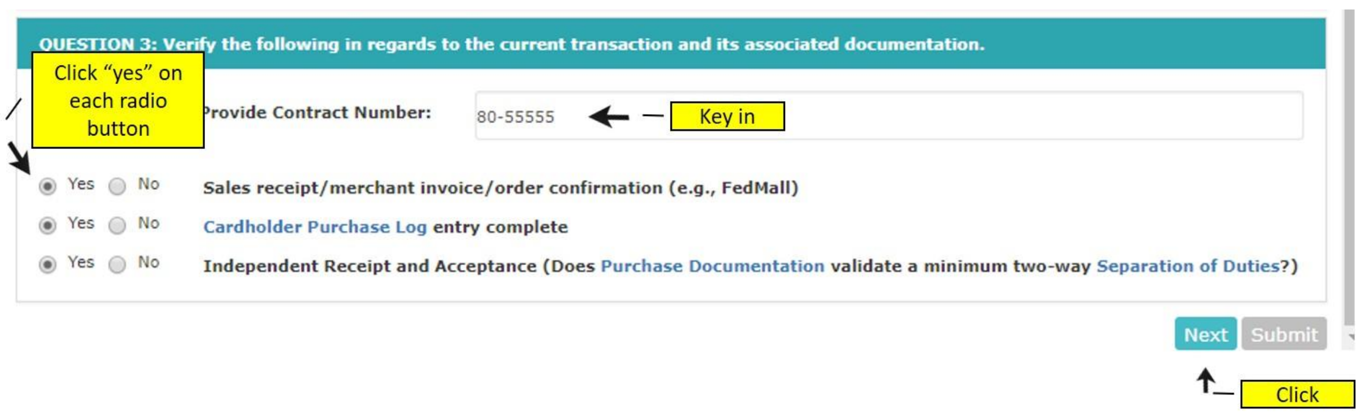


Step 7 – A/BO review – Questionnaire

Question 2 is shown. Click the radio button next to the “Contract” option. This is the first option in the list that is displayed for question 2. Click the “Next” button to proceed to Question 3.

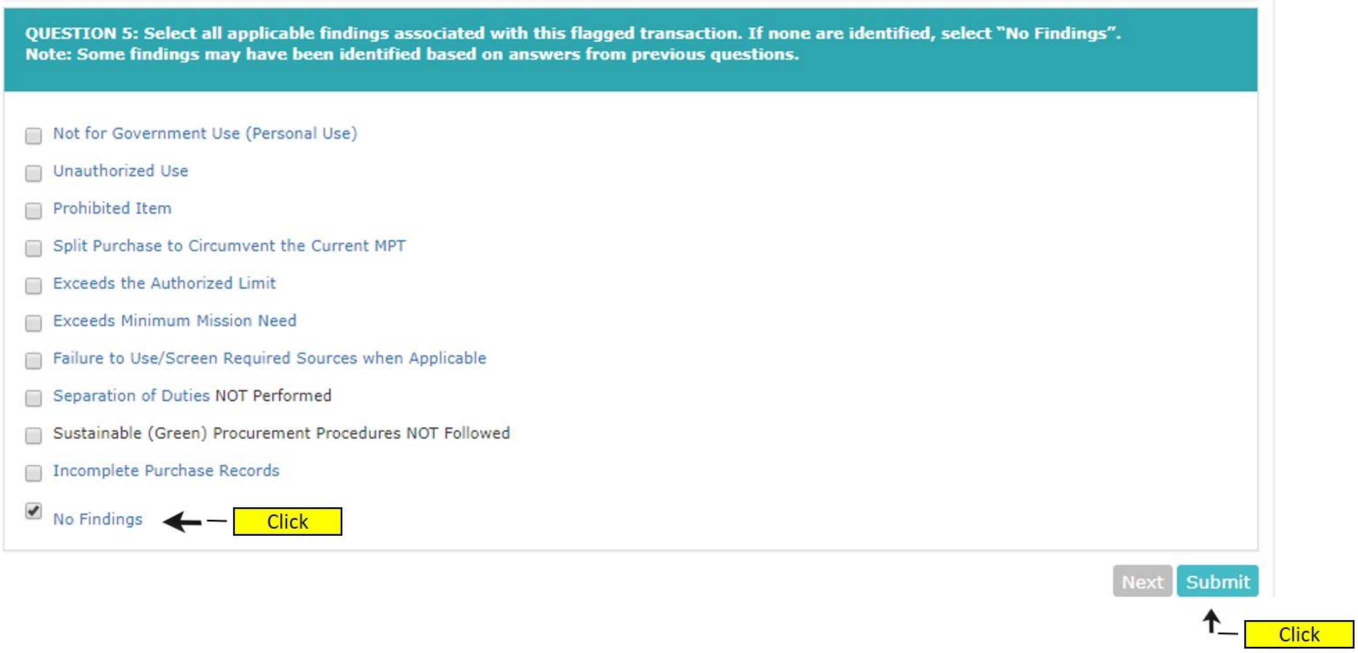
Step 8 – A/BO review – Questionnaire

Question 3 is shown. Enter a value in the “Provide Contract Number” question box. For example, “80-55555”. Click the “Yes” radio button for each of the items in the next displayed. Click the “Next” button to proceed to Question 5.



Step 9 – A/BO review – Questionnaire

Question 5 is shown, and question 4 is skipped based on your previous answers. Click the “No Findings – Valid Transaction” checkbox. This is the last option in the displayed list.



Step 10 – A/BO review – Questionnaire

The “Submit” button at the end of the questionnaire will close out the window.

Review Tab: Example 4: A/BO Deferred Status

The deferred status is used in the case when an A/BO or A/OPC is either deployed or has some legitimate reason they are unable to perform the Case review at the current time. Technically, these cases can be placed in a deferred status and then reviewed later.

This is the only time that the Status and Reasons Code features will be used by an A/BO or A/OPC. In this case, the user will update the status to **Closed – Not Reviewed** and will select an appropriate Reason Code.

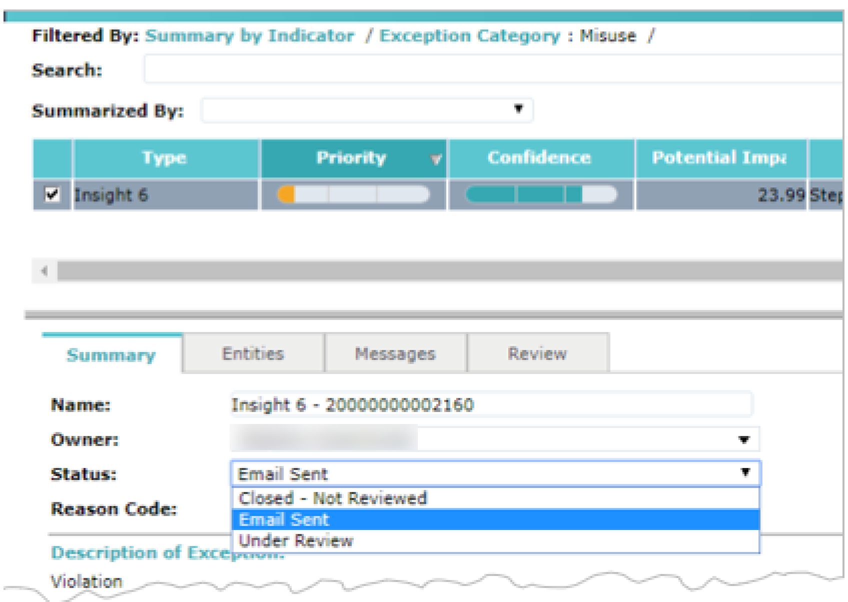
Step 1 – Login
Login to portal (https://iodgov.oversightsystems.us)

Step 2 – The Workbench
A/BOs and A/OPCs will click on View Workbench after login.

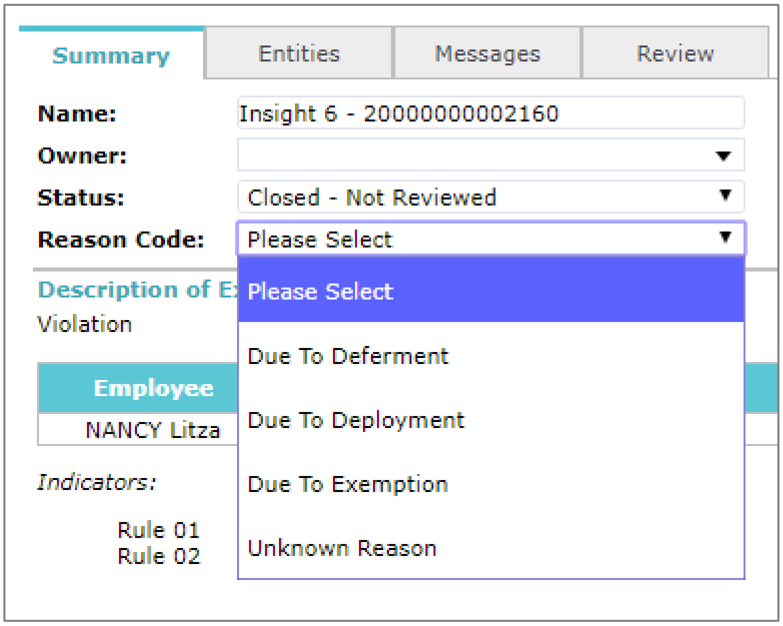
Step 3 – Navigate past security message
Click "OK" on the security message pop-up

Step 4

1. Click on the **Profile**s menu on the left navigation bar
2. Click on My Cases
3. Choose one of the Cases on the right-hand side and double click on it to review
4. Go to the Summary Tab, and change the Status to **Closed Not Reviewed**



Step 5
Change the **Reason Code** to one of the selections, such as **Due to Deferment.**



Review Tab: Example 5: A/OPC – Review A/BO Cases

In this example the A/OPC is performing his/her review of the cases that were initially reviewed by an A/BO in his/her assigned group. The A/OPC is required to conduct 100 percent review of all cases.

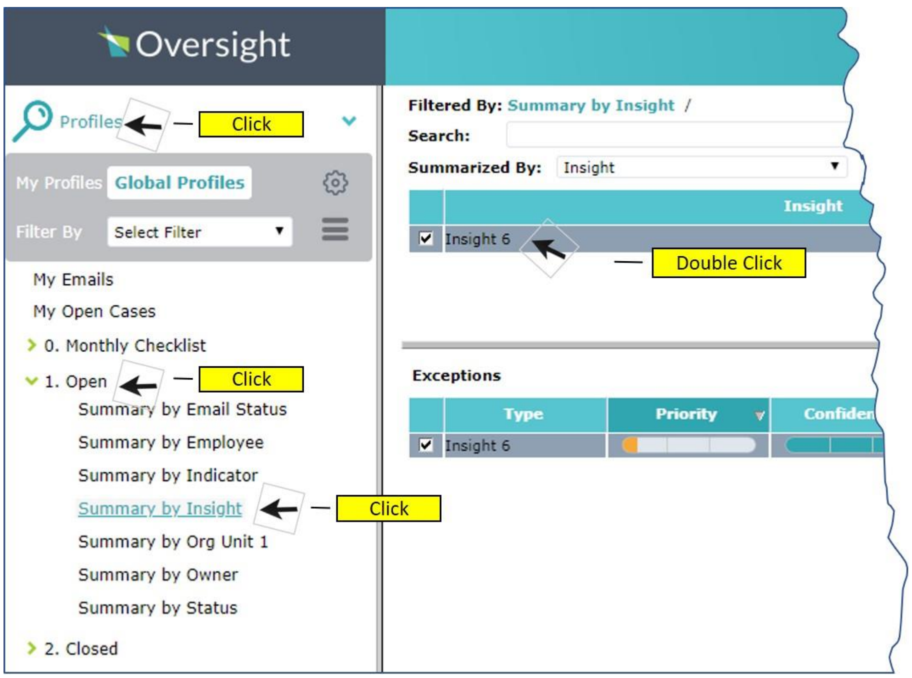
Step 1 - Login
Login to portal (https://iodgov.oversightsystems.us)

Step 2 – The Workbench
A/BOs and A/OPCs will click on View Workbench after login.

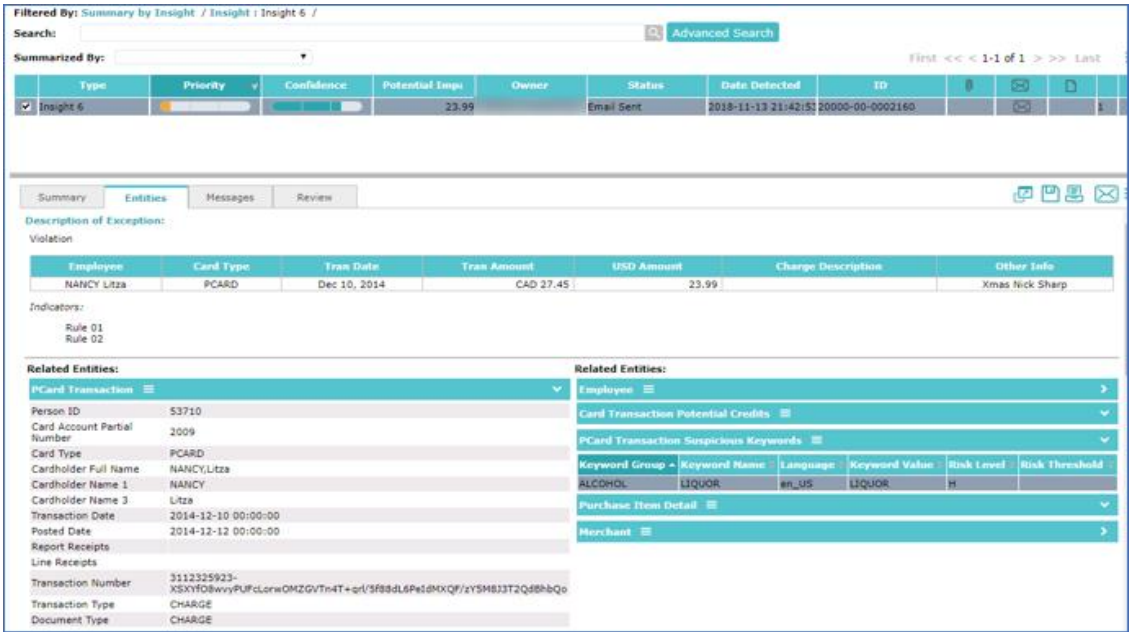
Step 3 – Navigate past security message
Click "OK" on the security message pop-up

Step 4 – Select Case to Review

1. Click on the **Profiles** menu on the left navigation bar
2. Click on **My Open Cases**
3. Choose one of the Cases on the right-hand side and double click on it to review



4. On the Right-Hand side, double-click on one of the Cases that have been assigned to you to complete the Review process



Step 5 – A/BO Review of Case Information

Review information behind each of the detail tabs:

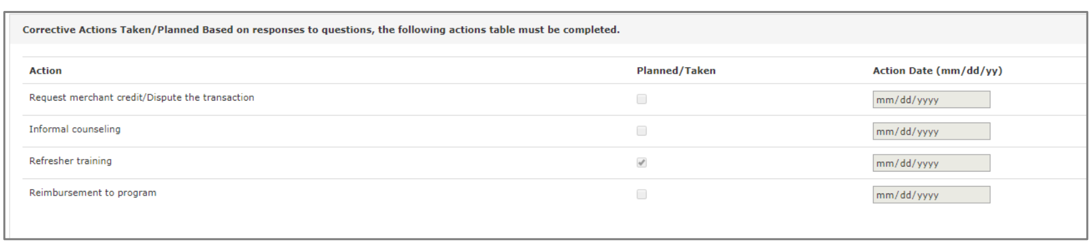
- Summary Tab
- Entities Tab
- Messages Tab
- Review Tab – review the values that the A/BO entered for Questions 1-6

Step 6 – Make assessment and confirm or change values to Questions 5 and 6.

As an A/OPC, you have your own copies of Questions 5 and 6 of the Review Questionnaire. You can keep the same values as the A/BO or you can update with different values.

Step 7 – Verify the Actions Listed

After completing Question 6 and choosing **Next**, you should see the Actions screen.



Step 8 – Complete the Actions

Choose one of the Actions and select a date corresponding to the Taken/Planned for the Action. Click on the “Submit” button.

Go back to Step 4 and complete all of the Cases that have been escalated for your review

Review Tab: Example 6: A/OPC & Oversight A/OPC – Complete Monthly Checklist

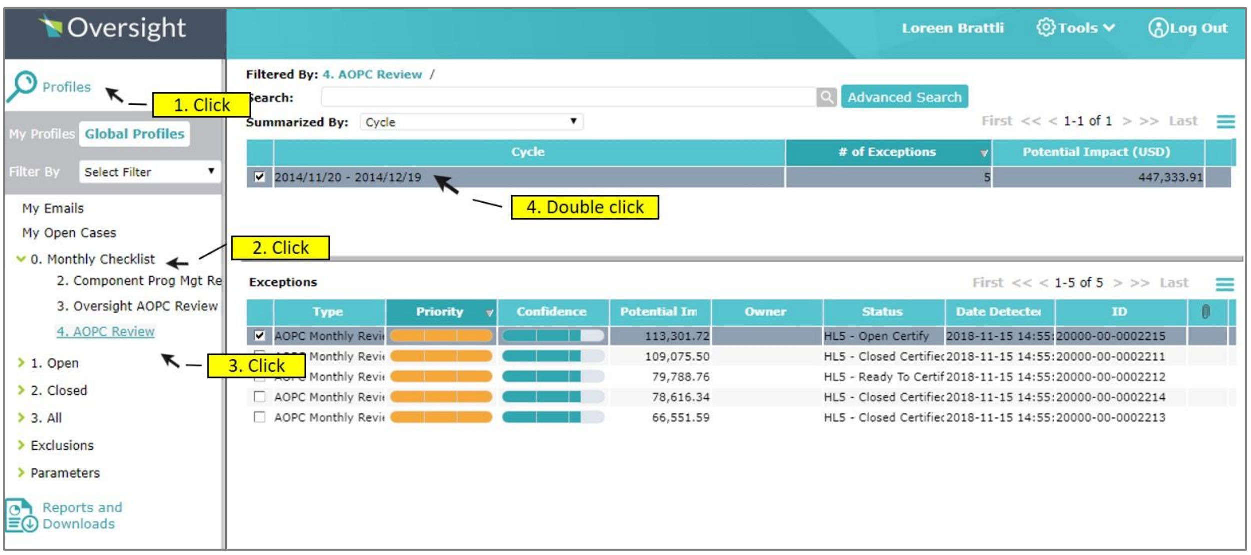
This example takes the A/OPC user through the steps for performing the monthly checklist review.

Step 1 - Login
Login to portal https://iodgov.oversightsystems.us)

Step 2 – The Workbench
A/BOs and A/OPCs will click on View Workbench after login.

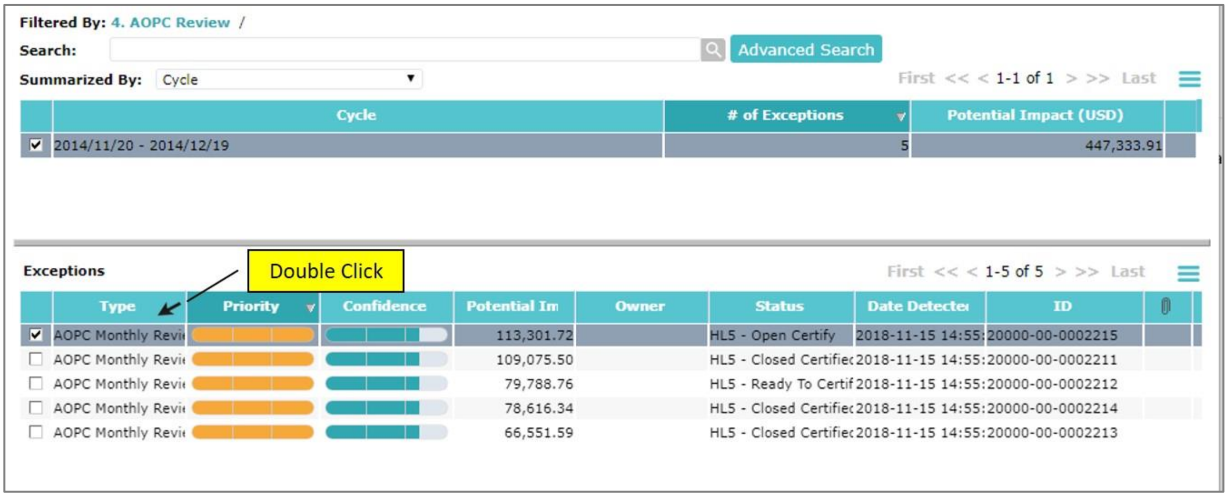
Step 3 – Navigate past security message
Click "**OK**" on the security message pop-up

Step 4 – Identify Billing Cycle for Review
1. Click on the **Profiles** menu on the left navigation bar
2. Click on **Monthly Checklist** Folder
3. Click on **4. AOPC** Review Profile (if you are an Oversight A/OPC click on that designation)
4. On the Right-Hand side, click on a Billing Cycle that has closed (for testing we will use "2014/11/20 - 2014/12/19")



Step 5 – Select Certification for Monthly Review

On the bottom of the right-hand side, double-click on one of the Certifications for review.



Step 6 – View information in the Entities tab

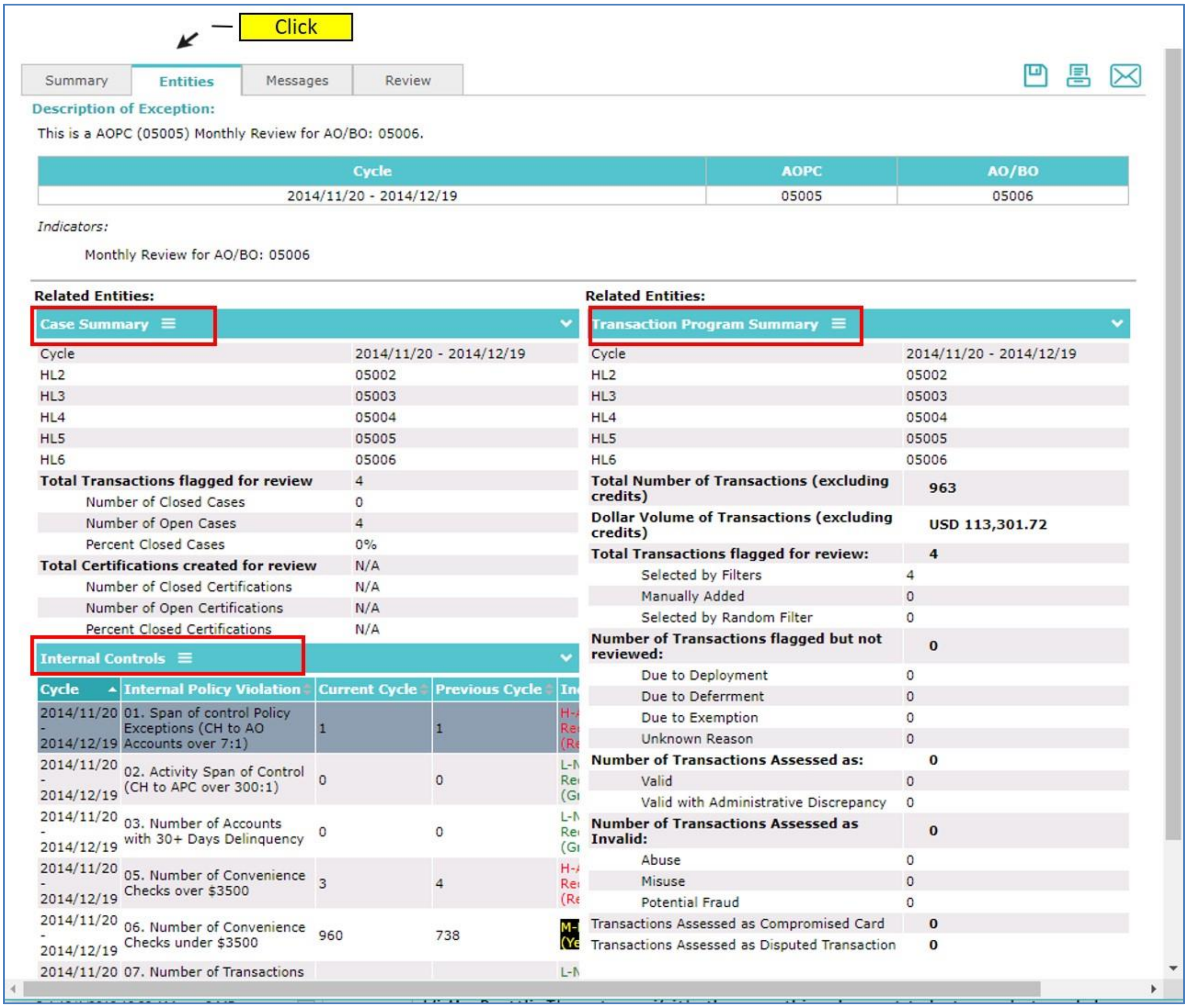
Click on the Entities tab and review the details. The information revealed under the Entities tab for the Monthly Checklist process is different information than was revealed for the individual case review. Several key elements of the screen include:

- **Case Summary** – Summarizes the hierarchies under the A/OPCs span of control. Also identifies the number of transactions flagged, including the open and closed cases. It should be noted, that the monthly checklist cannot be completed until ALL cases are closed.

- **Transaction Program Summary** – Provides more detailed information about the specific transactions that were flagged and the assessment of the transactions.

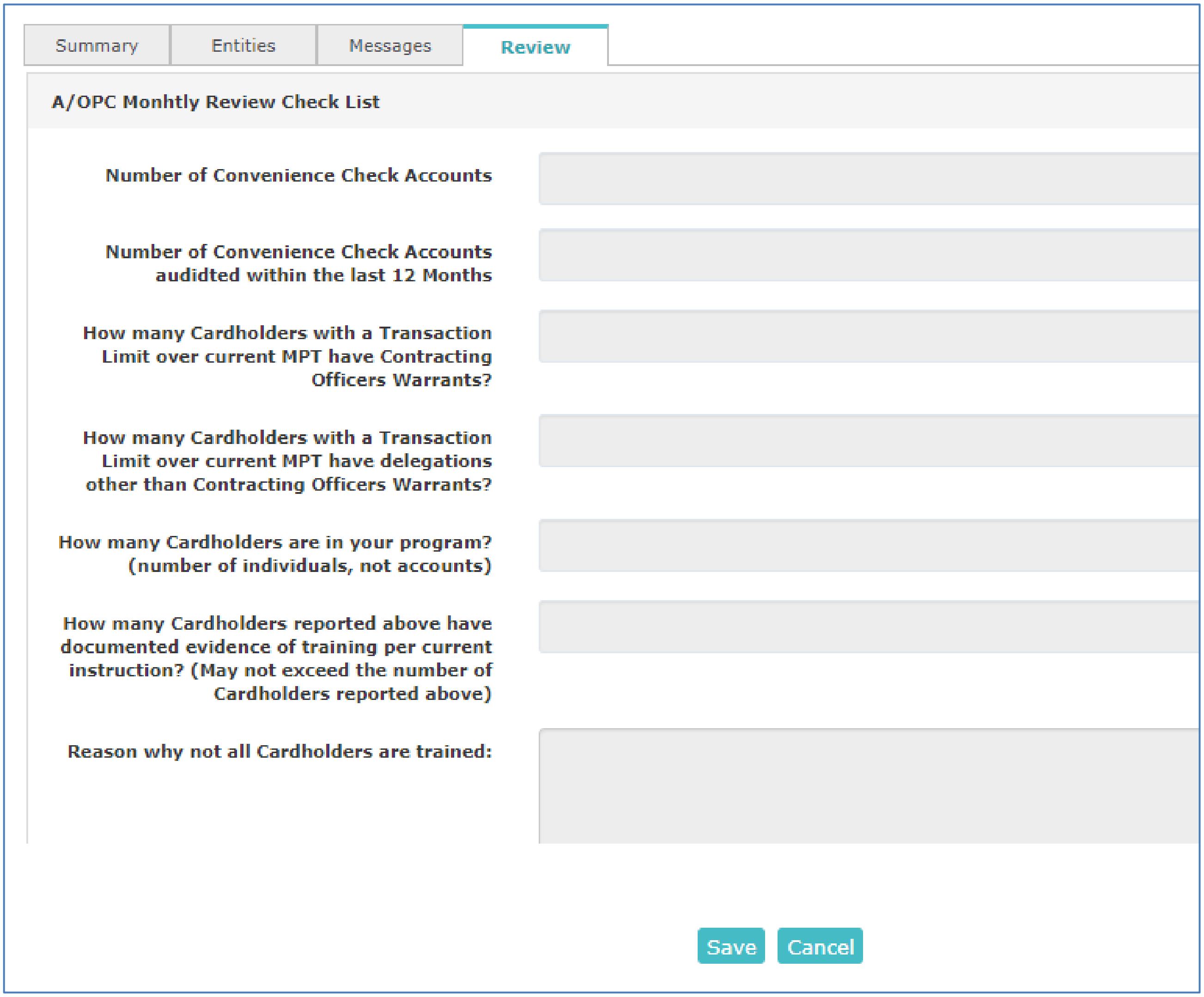
- **Internal Controls** – The internal controls are specific program conditions that indicate risk. In the “Internal Policy Violation” column there is a description of what is being checked by the control. The columns to the right show the counts of times the condition is true in this cycle and in the previous cycle. For most of the internal controls, it is desirable to have the number equal to zero. The convenience checks can be greater than zero, but each check is risky. So, this view gives them a view into the risk of their program based on the specific controls listed here.

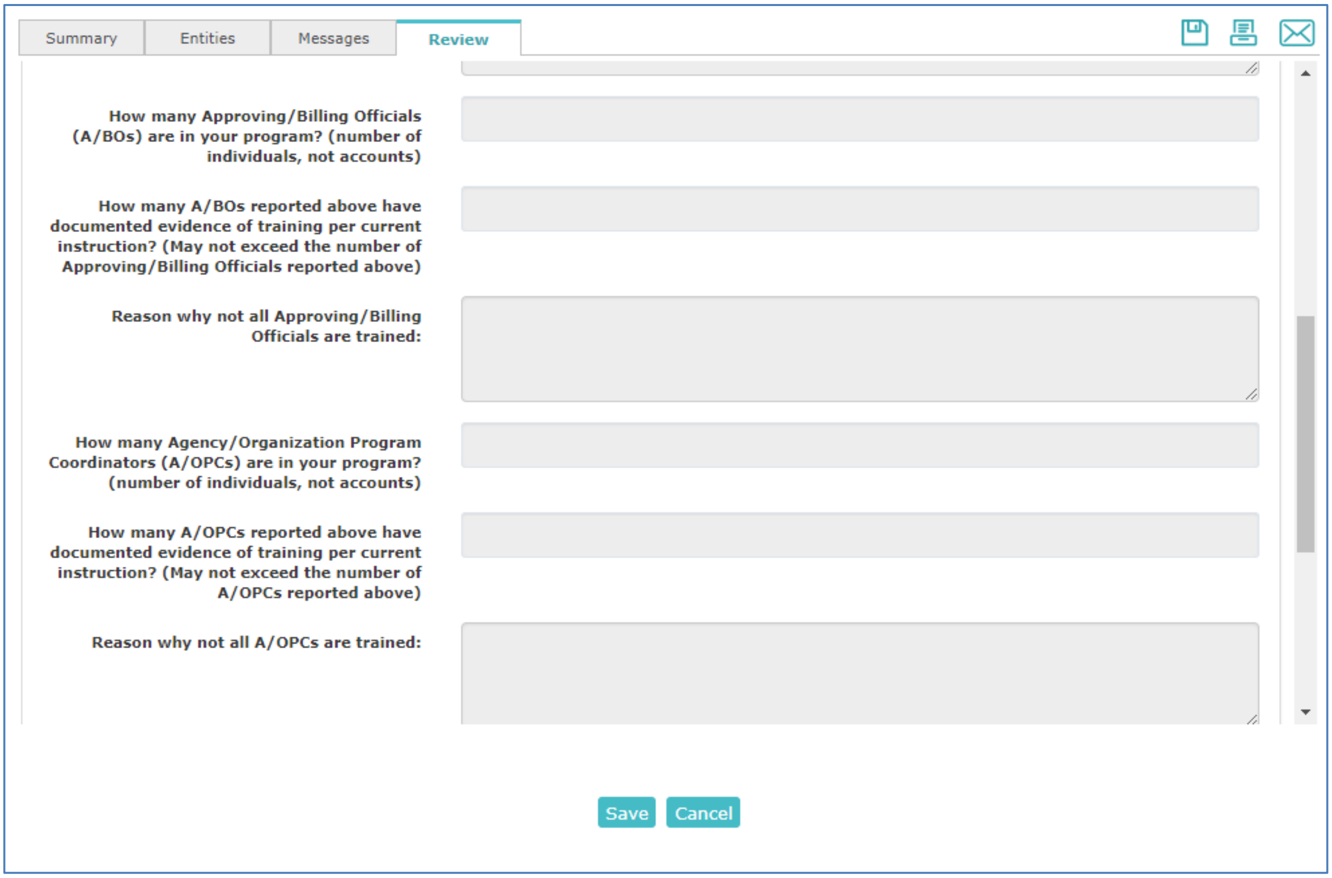
Review the information on the entities screen (shown below).


Click
Summary
Entities
Messages
Review
Description of Exception:
This is a AOPC (05005) Monthly Review for AO/BO: 05006.
Cycle
AOPC
AO/BO
2014/11/20 - 2014/12/19
05005
05006
Indicators:
Monthly Review for AO/BO: 05006
Related Entities:
Case Summary
Cycle 2014/11/20 - 2014/12/19
HL2 05002
HL3 05003
HL4 05004
HL5 05005
HL6 05006
Total Transactions flagged for review 4
Number of Closed Cases 0
Number of Open Cases 4
Percent Closed Cases 0%
Total Certifications created for review N/A
Number of Closed Certifications N/A
Number of Open Certifications N/A
Percent Closed Certifications N/A
Internal Controls
Cycle
Internal Policy Violation
Current Cycle
Previous Cycle
2014/11/20 - 2014/12/19 01. Span of control Policy Exceptions (CH to AO Accounts over 7:1) 1 1
2014/11/20 - 2014/12/19 02. Activity Span of Control (CH to APC over 300:1) 0 0
2014/11/20 - 2014/12/19 03. Number of Accounts with 30+ Days Delinquency 0 0
2014/11/20 - 2014/12/19 05. Number of Convenience Checks over $3500 3 4
2014/11/20 - 2014/12/19 06. Number of Convenience Checks under $3500 960 738
2014/11/20 07. Number of Transactions
Related Entities:
Transaction Program Summary
Cycle 2014/11/20 - 2014/12/19
HL2 05002
HL3 05003
HL4 05004
HL5 05005
HL6 05006
Total Number of Transactions (excluding credits) 963
Dollar Volume of Transactions (excluding credits) USD 113,301.72
Total Transactions flagged for review: 4
Selected by Filters 4
Manually Added 0
Selected by Random Filter 0
Number of Transactions flagged but not reviewed: 0
Due to Deployment 0
Due to Deferrment 0
Due to Exemption 0
Unknown Reason 0
Number of Transactions Assessed as: 0
Valid 0
Valid with Administrative Discrepancy 0
Number of Transactions Assessed as Invalid: 0
Abuse 0
Misuse 0
Potential Fraud 0
Transactions Assessed as Compromised Card 0
Transactions Assessed as Disputed Transaction 0

Step 7 – Complete the Monthly Review
Click on the Review tab and enter values in the Monthly Review questionnaire. The review questionnaire contains the same questions each time and the questionnaire is not pre-populated with information.

There are a total of 16 questions, the following screens show all the questions.





Summary | Entities | Messages | Review

How many Approving/Billing Officials (A/BOs) are in your program? (number of individuals, not accounts)

How many A/BOs reported above have documented evidence of training per current instruction? (May not exceed the number of Approving/Billing Officials reported above)

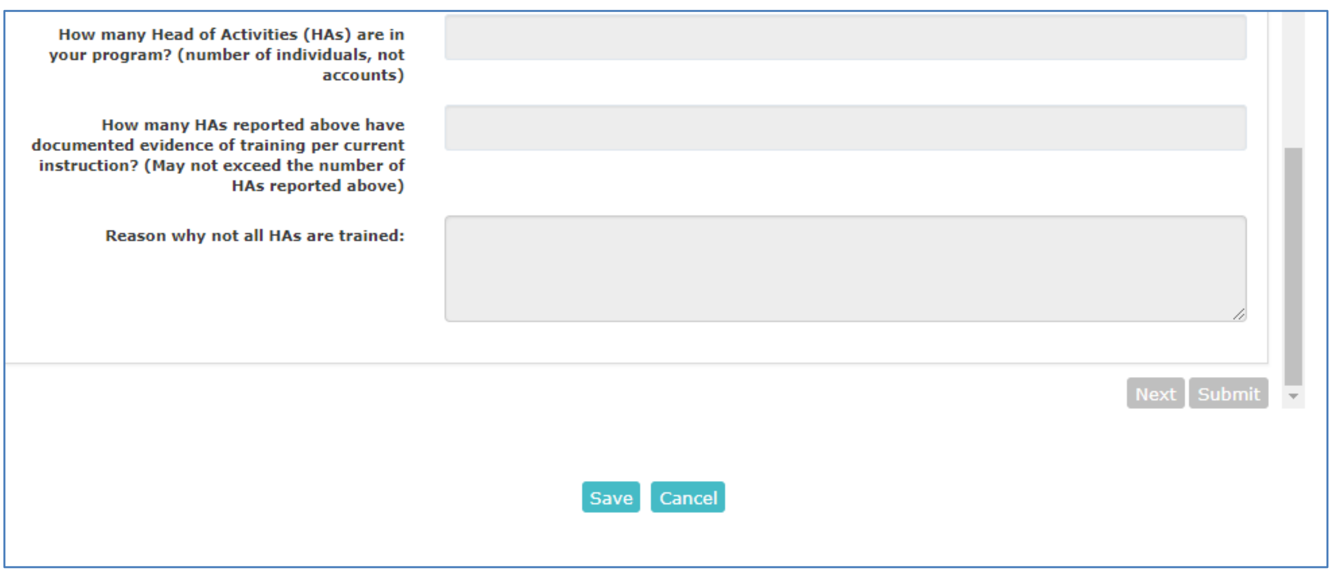
Reason why not all Approving/Billing Officials are trained:

How many Agency/Organization Program Coordinators (A/OPCs) are in your program? (number of individuals, not accounts)

How many A/OPCs reported above have documented evidence of training per current instruction? (May not exceed the number of A/OPCs reported above)

Reason why not all A/OPCs are trained:

Save Cancel



How many Head of Activities (HAs) are in your program? (number of individuals, not accounts)

How many HAs reported above have documented evidence of training per current instruction? (May not exceed the number of HAs reported above)

Reason why not all HAs are trained:

Next Submit

Save Cancel

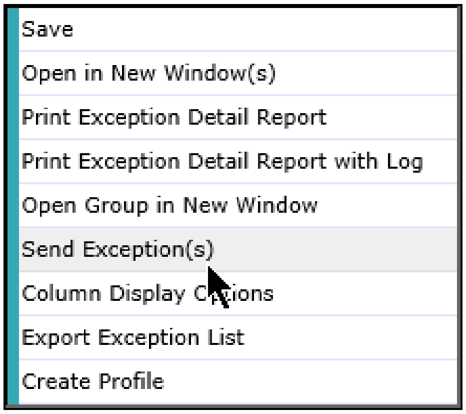
Emailing a Case

During the process of resolving a case, you can send information about the case to request additional information or clarification. You can email cases to another user, a non-user inside your organization, or an outside person, such as a vendor. The Workbench comes with a set of email templates.

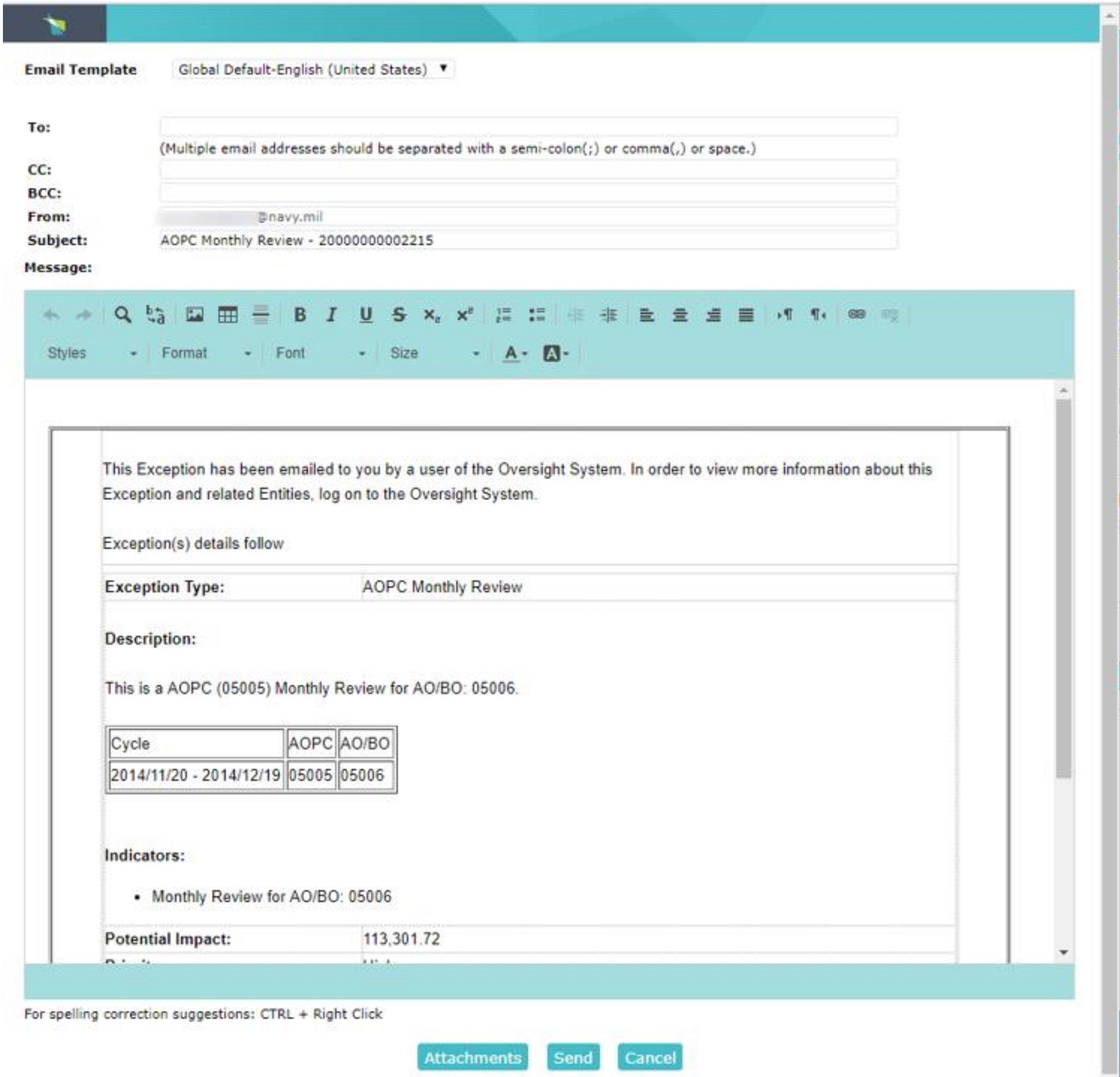
To email a case:

1. Open the Case Email window using one of the following methods:

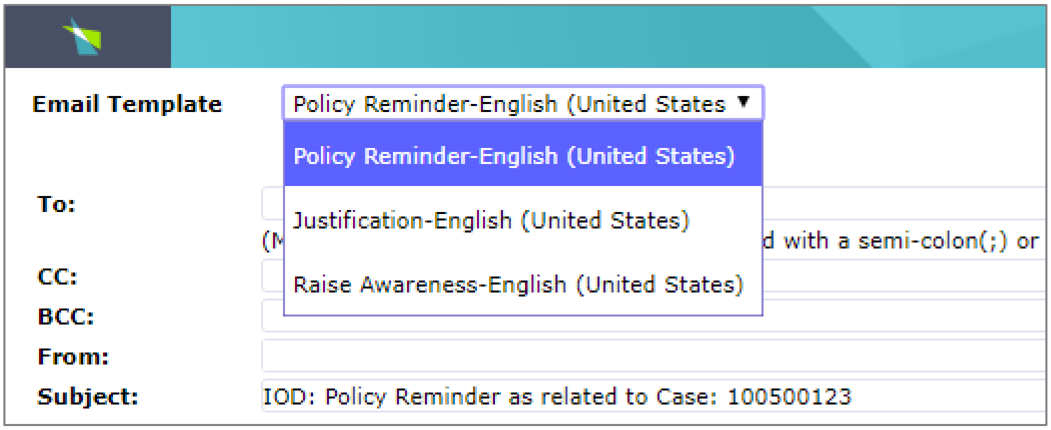
    a. Open the **Options** menu by right clicking in the Case List or by selecting the menu icon ( ) on the right-hand side of the window and then choosing **Send Exception(s)**.

    b. Click on the email icon ( ) on the right-hand side of the Case Details pane. The Case(s) Email window displays.

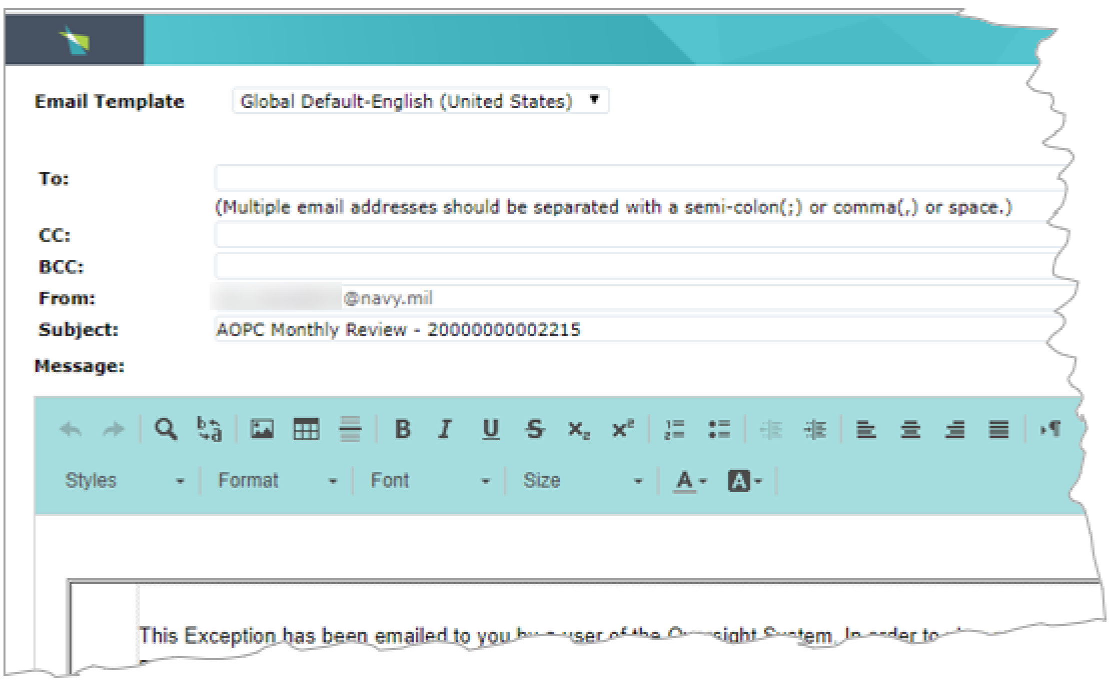


3. Choose an email template from the templates listed in the **Template** drop down. The list of templates displayed will depend upon the type of case.



Note: Your Oversight Administrator can edit this template or can create other templates for certain types of cases. These templates would then be listed in the **Template** drop down.

4. Type email address(s) into the **To** and optionally the **CC** and **BCC** fields. Multiple email addresses are separated with a semi-colon (;) or comma (,) or space. You can optionally change the **Subject** field.

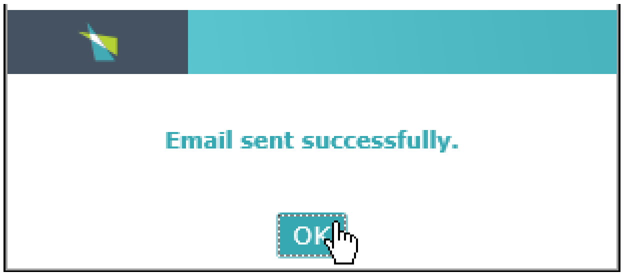


5. Edit the email using the text editing tools if necessary. The email body contains default information that should satisfy most requirements. There may be situations where you want to add additional information or remove information. There is a set of text editing tools to format the text.

6. To attach a file to this email message, see **Attaching a File When Emailing a case**.

7. Click Send when the email is complete.

A Message box displays indicating that the email was successfully sent.



8. Click **OK** to acknowledge the message and close the window.

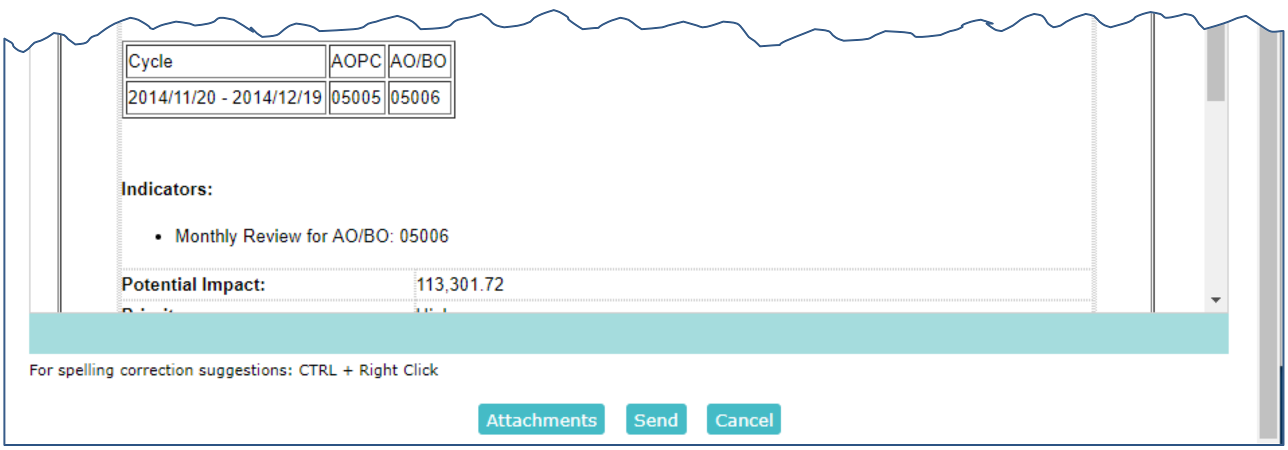
A line is added to the Messages Tab showing when your email was sent and the first part of the message. See the Messages Tab for more information.

Attaching a File When Emailing a case

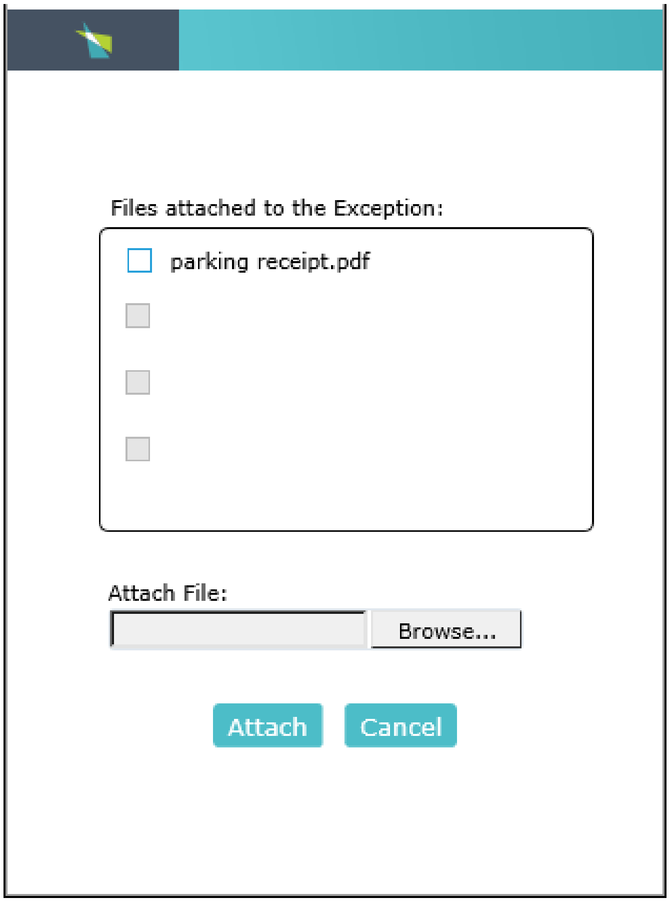
When emailing a case, you can attach a file to the message. The file is permanently stored with the case and can be found in the **Messages** tab of the case's details.

To attach a file when emailing a case, follow these steps:

1. Click the Attachments button at the bottom of the screen. You may need to scroll the window to make the button visible.

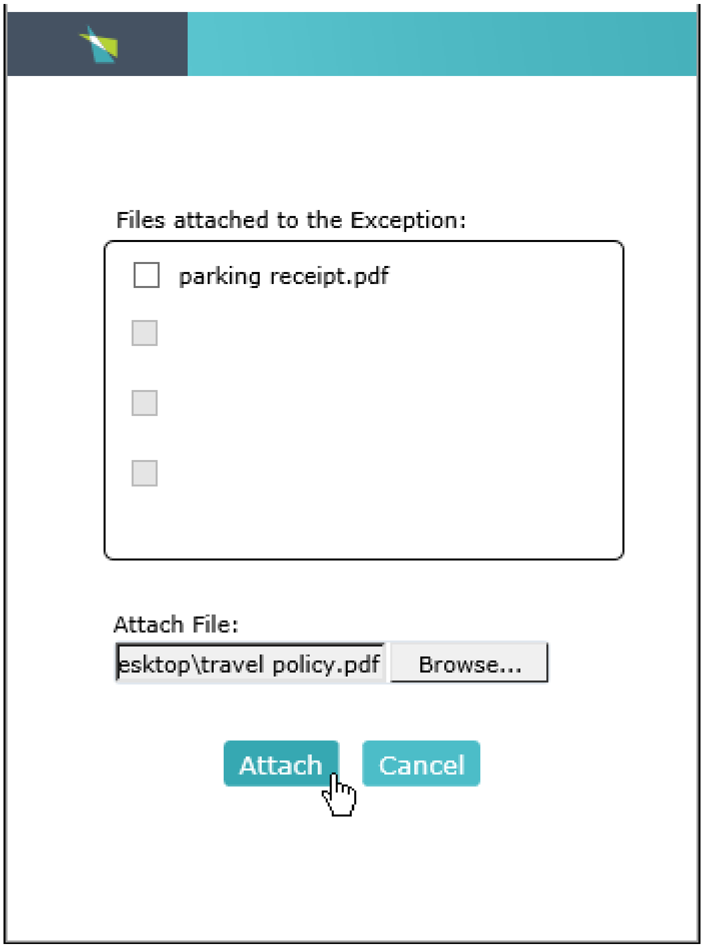


The Add Attachments window displays. If there are files that have been previously attached to the case they will be listed in the top of the window.

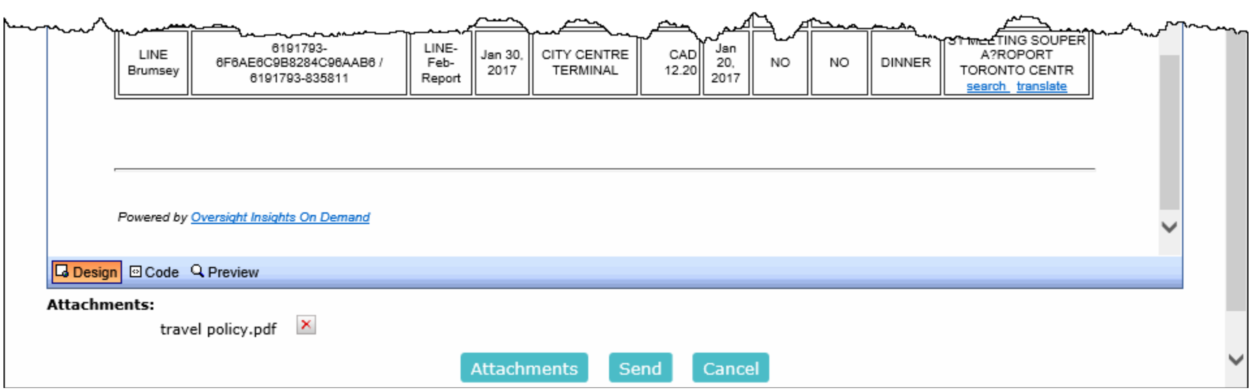


2. Click the check box to choose an existing file.
3. Click the Browse... button to choose a different file to upload. The standard file selection dialog box displays.
4. Find the file to be attached and select it.

5. Click Open. The Add Attachments window will re-display.

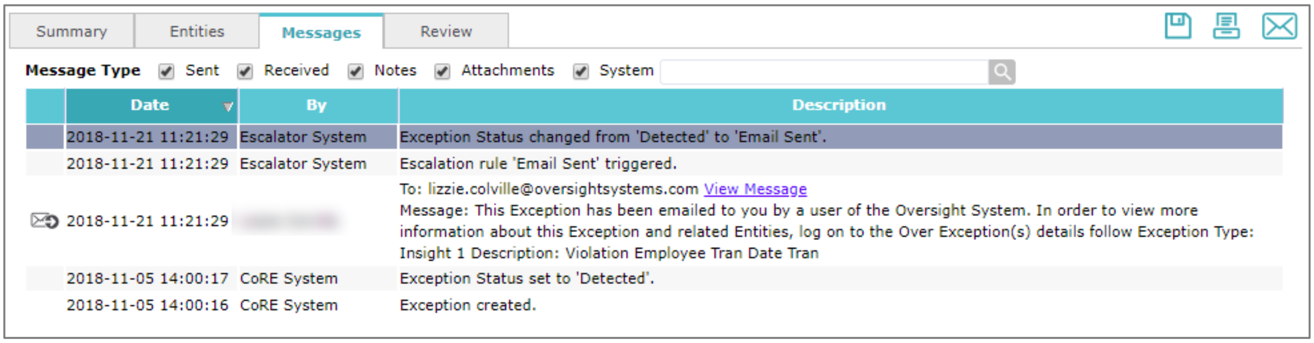


6. Click Attach. The Email Template will re-display with the attached file listed at the bottom. If you want to remove the attachment, click the remove attachment ( ) icon.



7. Click Send to email the case with the attachment.

8. The email and the file that was attached to the case now displays in the **Messages** tab.



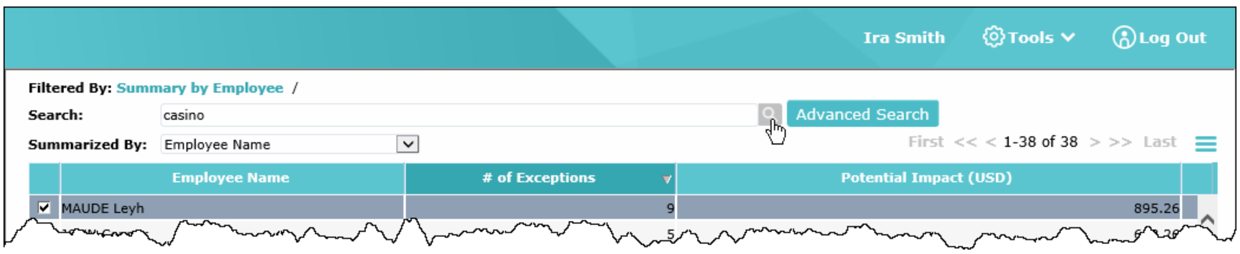
Searching for Cases

Searching is the process of narrowing down case lists. The Workbench provides five methods to search for cases:

- Simple (Alphanumeric) Search
- Advanced Search
- Summarized By/Drill Down
- Profiles
- Filters

Performing a Simple Search

When you perform a simple (alphanumeric) search, the Workbench searches through all the cases currently in profiles to show the specific list of cases. To perform a simple (alphanumeric) search, enter the text you want to search for and press Enter or click on the Search icon ( ).



You can use partial or complete alphanumeric strings. Use an underscore (_) to match any single character or percent sign (%) to match zero or more characters. The Workbench searches for the text without regard to case at the beginning, middle, or end of all searchable fields configured in your system. For example, "SM_th will match "Smith", Smyth", and "Smithson", but not "Smooth". Another example is "Ra%el" will match "Rachel", and "Rachael".

Searchable fields are:

- Case ID
- Case Name
- User First Name
- User Last Name
- User Full Name
- All custom-defined case attributes

The Workbench displays your list of cases with the specified word, and in this example, it is all the cases in a Detected Status with a reference to alcohol.

Filtered By: Summary by Status / Exception Status : Detected /

Search: alcohol Advanced Search

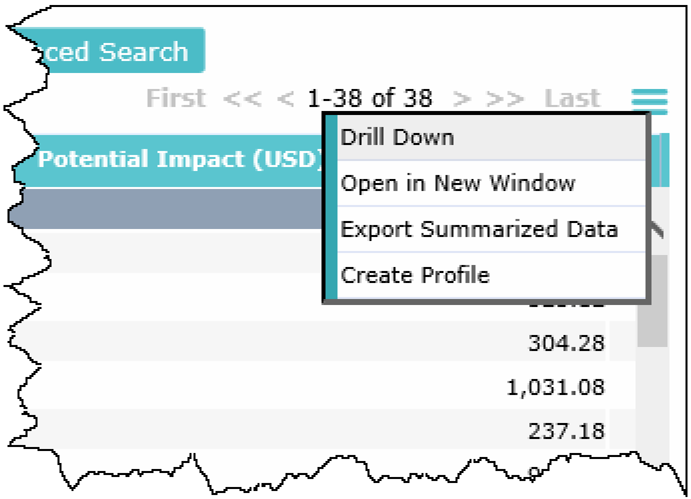
Summarized By: First << < 1-11 of 11 >

	Type	Priority	Confidence	Potential Im	Owner	Status	Date Detectec	ID
☑	Insight 1			1,604.22		Detected	2018-11-05 13:59:	20000-00-0000682
☐	Insight 1			629.60		Detected	2018-11-05 13:59:	20000-00-0000902
☐	Insight 1			206.14		Detected	2018-11-05 13:59:	20000-00-0000770
☐	Insight 1			194.62		Detected	2018-11-05 13:59:	20000-00-0000743
☐	Insight 1			179.05		Detected	2018-11-05 13:59:	20000-00-0000945
☐	Insight 1			115.46		Detected	2018-11-05 13:59:	20000-00-0000734
☐	Insight 1			108.09		Detected	2018-11-05 13:59:	20000-00-0000781
☐	Insight 1			61.80		Detected	2018-11-05 13:59:	20000-00-0000932
☐	Insight 1			43.07		Detected	2018-11-05 13:59:	20000-00-0000787
☐	Insight 6			23.99		Detected	2018-11-05 14:07:	20000-00-0002071
☐	Insight 1			34.80		Detected	2018-11-05 13:59:	20000-00-0000953

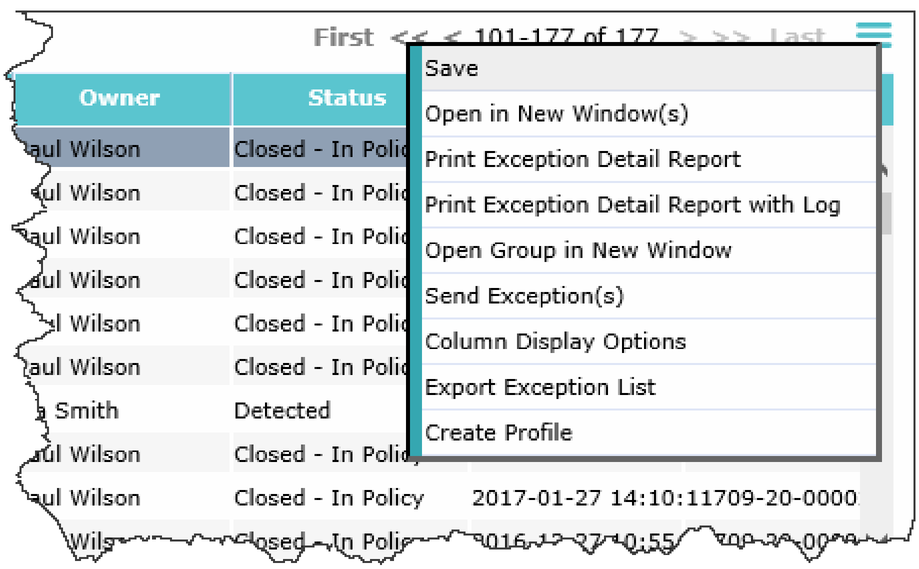
Options Menu

The **Options** menu is a context-sensitive menu that varies depending upon which data you are viewing in the Workbench. To display the menu, right click anywhere in a list or select the menu icon () on the top right- hand side of the pane. The menu selection applies to the cases highlighted in the list.

The following shows the **Options** menu when you are viewing summarized data:



The following shows the **Options** menu when viewing a list of cases:



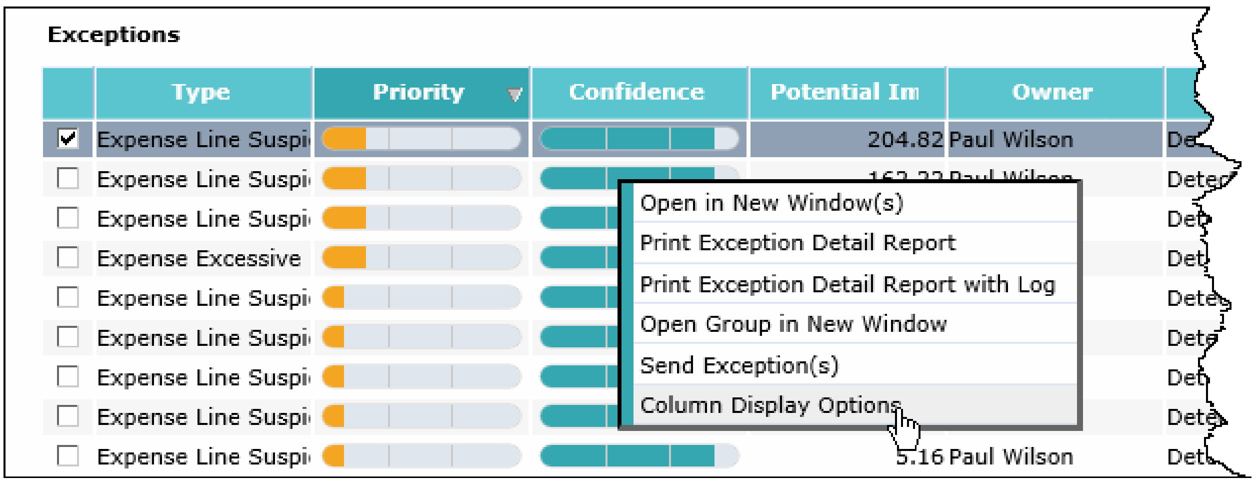
IOD View Preferences

Customizing Columns

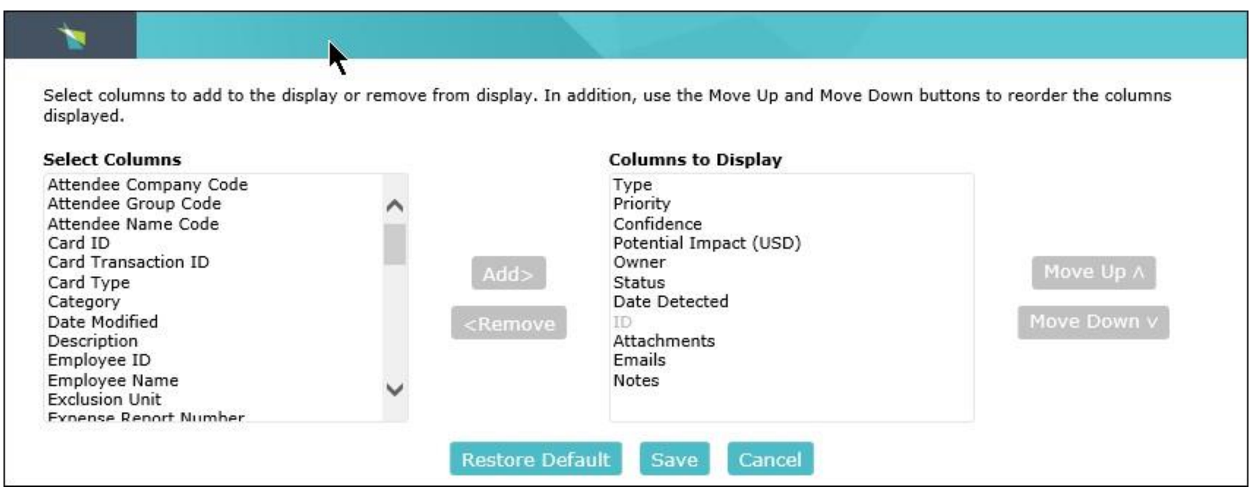
When a list of cases displays, you can change which columns are displayed and the order of the columns using the *Column Display Options* dialog box.

To use the Column Display Options dialog box, follow the steps listed below:

1. Right click anywhere in the Case List or click the menu icon in the upper right-hand corner of the Case List pane to display the pop-up **Options** menu. Then select **Column Display Options** from the menu.



2. Select **Column Display Options**. The *Column Display Options* dialog box displays:



The **Columns to Display** list includes all the columns that the Workbench displays. The **Select Columns** list includes additional columns available for display.

1. Select columns in these lists and use the Add and Remove buttons to move columns between the lists. Column names that are gray cannot be moved.

2. Select a column in the Columns to Display list and use the Move Up and Move Down buttons to change the order of the columns.

3. Click **Save** to save your changes. Click **Cancel** to close the window without saving your changes. Click **Restore Default** to return to the default columns.

The Workbench maintains a separate set of options for each profile.