AuditOnline

(Facilitating Audit in Government)

User Manual

Panchayat Informatics Division

National Informatics Centre

Department of Information Technology

Ministry of Communications & Information Technology

Government of India

Introduction

1.1 Audience

AuditOnline is one of the applications developed as a part of Panchayat Enterprise Suite (PES) under e-panchayat Mission Mode Project (MMP) initiated by the Ministry of Panchayati Raj (MoPR). AuditOnline aims to record detailed information about audit conducted for Panchayati Raj Institutions (PRI), and Line department by Auditors (State AG/LFA). AuditOnline facilitates recording details for both Internal and External Audit as per the defined process. It is generic and open-source software developed as part of Panchayat Enterprise Suite.

AuditOnline is primarily used by PRI for maintaining the audit information of external/internal audits conducted for their offices apart from these users, the information is available in public domain and for usage by other e-PRI applications. The users are expected to have a basic understanding of using a computer and familiarity with the usage of keyboard in local language and mouse. AuditOnline user interface is intuitively designed so that it is simple, easy to use and self-explanatory. The software allows you to switch over to local language utilizing Bhasini services so that all the textual elements are displayed in local language for better understanding and effective use.

1.2 Purpose of this document

The purpose of this document is to briefly describe the operational aspects of AuditOnline which is the core module of e-Panchayat Mission Mode project (MMP). The document provides stepwise instructions for handling various aspects of the software with visual screens for easy and better understanding. It also describes the error messages encountered while working with the software with appropriate remedial actions required to be taken by user.

1.3 Document Organization

The document is divided into four chapters.

Chapter 1: Introduction – This Chapter introduces the document describing the intended audience, purpose of the document, conventions adopted in the document, references and contact address for reporting the problems, encountered, if any while using the software or related with this document.

Chapter 2: Brief Overview – This Chapter gives an overview of the software with a broad list of features offered by it.

Chapter 3: Minimum System Requirements – This chapter provides information about the minimum system requirement.

Chapter 4: General/Common Operating Instructions – This chapter provides instruction on how to invoke the package.

Chapter 5: Specific Operating Instructions – This Chapter provides specific operating instructions for each of the features offered by the software. The feature description includes a general description of the feature, screen description wherever applicable, stepwise instructions for carrying out the operation, what happens after the operation is successfully executed, what more can be done from the current screen and a list of messages that you might encounter while carrying out the operation.

1.4 Conventions

The document follows the font settings for Chapter Heading, Sub-Headings at various levels and text as indicated below:

Chapter Heading – Style h1

Sub-Heading Level 1 – Style H2

Sub Heading Level 2 – Arial Black, 10 pt

Sub Heading Level 3 – Arial, 10 pt, Bold

Body Text – Arial, 10 pt

The labels related to text fields, buttons, icons etc. have been indicated in bold in the document text.

1.5 References

User Manual Template (NIC-TPL-004 version 1.1) prescribed as per NIC Quality Standards.

1.6 Definitions/Glossary

This section gives a glossary of terms used in the rest of the document.

Term	Description
Actor	Actors are divided into Primary and Secondary. A Primary Actor is one having a goal requiring assistance of the system. A Secondary Actor is one from which the system needs assistance to satisfy the

Term	Description
	goal.
Attachment	Attachment refers to the Document attached by either of the Auditor or Auditee to substantiate the remarks on the observation made.
Period Being Audited	This refers to the Audit Period for which the Audit will be done. The Audit can be scheduled on a Monthly, Quarterly, Half Yearly or Yearly basis. For E.g.: 1st April 2014- 31st March 2015.
Reporting Period	This refers to the period/dates on which the Audit will be performed. For E.g.: 1-5th Jan 2015.
Auditor	An auditor is a person who is entrusted by the competent authority to check the veracity of the financial transactions of an organization to determine accuracy so as to bring about transparency in the activities of the organization.
Block	Block refers to a type of administrative division managed by the Local Government for which the actor has assigned the role of Block Panchayat Administrator.
Block Panchayat	Block/ Mandal Or Taluka Panchayats are Panchayats at Intermediate Level in Panchayat Raj Institutions (or PRIs) Block Panchayats are local governments Administrative Body at the block level in India.
C&AG	Comptroller & Auditor General of India
Case Record	Case Record refers to the basic details about a file or case on which the Auditor records the defaulter's information before recording the observations.
Department	Department refers to the Office responsible for performing a task.
District	The district refers to a type of administrative division managed by the Local Government for which the actor has assigned the role of Zilla Panchayat Administrator.

Term	Description
District Panchayat	District Panchayats are Panchayats at Apex or District Level in Panchayat Raj Institutions (or PRIs). District Panchayats are local governments Administrative Body at the district level in India.
Gram Panchayat	Gram Panchayats are local governments Administrative Body at the village or small-town level in India.
LGD	Local Government Directory, is used by Central and State departments who are responsible for forming new States/UTs, new Districts, new Sub-Districts, new villages and new local government bodies as well as changing their status, name and formation.
Line Department	Line Departments can exist at Central or State level. Central level line departments come under the jurisdiction of the Central Government and State level line departments come under the jurisdiction of State Government.
MoPR	Acronym for Ministry of Panchayati Raj.
NIC	Acronym for National Informatics Centre.
Panchayat	An institution (by whatever name is called) of self-government constituted under Article 243B, for rural areas.
Panchayati Raj Institution or Panchayat (PRI)	It refers to an institution of self-Government established under Part IX of Constitution of India for Rural areas, whether at the level of a village or of a block or district.
PRI User	The PRI (Panchayati Raj Institution) User includes Zilla Panchayat User, Block Panchayat User and Gram Panchayat User. A PRI user would typically have fewer rights than a PRI Administrator.
Privileges	Refer to the rights assigned to a particular Role in AuditOnline System. For example, an actor with a State Administrator Role will be assigned privilege to create and approve user(s) for Department. As a result, no one except an actor with such privilege would be able to perform a similar role.

Term	Description
Process Flow	A pre-defined sequence of steps to be followed in the Audit Process. This can include tasks like Record Observation by Auditor, Auditee Prepare Response etc.
Role	A role defines what activities a User can perform in AuditOnline. It corresponds to a group of individuals who have been assigned a common set of privileges in a software system.
Rural Local Body	Rural Local Body or Rural Local Government Includes District Panchayat (DP) or Zila Parishad (ZP), Block Panchayat (BP) or Intermediate Panchayat (IP) and Village Panchayat (VP) or Gram Panchayat (GP). In states where Part IX of the Constitution does not apply, RLBs would include traditional councils.
State	State refers to the different States of India for which the actor has assigned the role of State Administrator.
System	It refers to AuditOnline Software Application.
Task	Task refers to a step in the Process Flow in which some action will be taken by the workflow player.
Use Case	Refers to an interaction between an Actor and a System or between two Systems.
User	User is a person who is authorized to use Audit Online package. Each user is assigned a role. The same role may be assigned to more than one user.
User Account	User Account refers to the identity of the User in AuditOnline based on User's particular details. The User Account helps to View the profile details, update the profile, Change Password etc.
Village	A village is a clustered human settlement or community, larger than a hamlet but smaller than a town refers to the place which comes under Rural Local Body for which the actor has assigned the role of Village Panchayat Administrator.

Fact Sheet	Fact Sheet refers to the parameters defined for capturing Auditor's input based on various Category and Subcategory.
Workflow Player	This refers to the designated officer part of the Audit Process. For E.g.: Auditor, Assistant Audit Officer, CEO, Tax Officer etc.
Office Administrator	This refers to the admin created for a particular office location. For E.g.: Office Admin for ZP Akola, Office of Sub Registrar Hyderabad etc.

1.7 Problem Reporting

In case of any problem related to the software or to this document, please contact support-auditonline@gov.in.

Brief Overview

2.1 Introduction

AuditOnline aims to facilitate the financial audit of accounts at all the three levels of Panchayats viz District, Block and Village Panchayats, and Line department by Auditors (State AG/LFA). The software facilitates both internal as well as external audit. The software facilitates the online and offline audit of accounts and serves the purpose of maintaining the past audit records of the Panchayats /Line Departments with associated list of the auditors and audit team involved in the audit. The software ensures proper maintenance of accounts by Panchayats /Line Departments and works as a good financial audit tool and improves transparency & accountability.

The conventional audit process consists of entry meeting with the stakeholders, conducting Audit Enquiry (AE), generating Local Audit Report (LAR), exit meeting, generation of Draft Notes (DN), generation of Draft Paras (DP) and preparation of final audit Paras, followed by generation of the Audit Report and placing the same before the Legislative Assembly. After the Audit Report is placed before the Legislative Assembly the same will be reviewed by the Public Accounts Committee (PAC) with the concerned Department and the Government at frequent intervals to ensure compliance of the audit findings, rectification of the omissions/commissions if any and taking follow up action to remedy and prevent repetition of the mistakes/shortcomings. The Performance Audit also provides, from time to time, special Audit Reports on important areas for the benefit of the department concerned to improve the governance. Thus, the audit forms part of Good Governance in each of the departments and plays an important role in enabling Good Governance according to the stipulated rules and regulations.

Though the audit process is expected to assist the departments, the departments are unable to utilize the full benefit of the valuable process and the suggestions/recommendations of the AG from time to time due to the following reasons: -

- The system is paper based and not amenable for easy monitoring and evades institutionalizing good governance practices,
- The movement of paper/file across the levels in a Department/Government is time consuming and causes undue delay in initiating action for the corrective measures,
- Fixing accountability is very weak and follow up action is slow,
- It is not possible to identify the common mistakes and take remedial action promptly across the field units of the Department,
- The same mistakes get committed year after year across the offices and the system is not enabled to cross-check across the offices easily.

Thus, the existing manual system is very slow, cumbersome and long drawn process and by that time the audit observations come for the review before the Public Accounts Committee, enough time would have been lapsed making the corrective action unproductive. Many a times, there is huge time lag between the Audit Enquiry and final review by the Public Accounts Committee, making the process frustrating and in-fructuous. Hence no effective systematic improvement takes place.

Thus, a need for improving the system of audit is felt by the stakeholders and they decided to migrate the audit process from the existing "manual paper based system" to an "Online ICT based System" to address the problems plaguing the existing system. The existing Panchayat Enterprise Suit under e-Panchayat Mission Mode Panchayat was leveraged to develop the AuditOnline.

2.2 Features

Key features of the software include:

- A robust, scalable, enterprise version on a single platform to meet the needs of all the departments of the State.
- Ensures transparency, enables accountability and brings efficiency in the complete audit
- Configurable for both Internal/External Audit of Government Departments, PRIs etc.
- Captures complete process of the audit by seamlessly mapping the processes of Auditor/Auditee and between Auditor and Auditee and ensure reply and follow up instantaneously and amenable for analysis and monitoring,
- Enables access and usage by various units of the respective Departments with control and privacy and ensuring confidentiality as required
- Seamless flow of handling the audit at all stages in an intelligible way with linkage to transactional data at any stage and linkages with back-end data through uniform web service interface
- Facilitates taking corrective measures and triggers training need assessment and capacity building
- Facilitates constitution and managing audit teams and defining the audit schedule by assigning Auditee to the audit team and maintain its last Audited details.
- Enables qualitative tags for audit observations into categories/subcategories
- Dynamically create Forms to record details about a file/case (Case Record) and facts (Fact Sheet) for capturing Auditor’s input as per the defined parameters.

- Facilitates Auditors to view the Auditee accounts online/offline, record observations, and generate various reports applicable in the audit cycle (Audit Enquiry / Local Audit Report /Draft Note / Draft Para / Draft Audit Para etc.)
- Facilitates Auditee to respond to the queries raised by the Auditor.
- Adaptability to the variations across states – In view of the varying template for generating the Audit Report/ Draft Note / Draft Para / Draft Audit Para etc. the software allows generation of these reports per Configurable Report Templates
- Provides customizable dashboards on Audit Team Schedule, Office wise Pending observation, category and subcategory wise list of pending observations etc.
- MIS Reports available in PDF/Excel sent to users through email.
- Ensures complete confidentiality with high levels of security
- Technical architecture supports interoperation (data exchange) with other PES family products.
- Simple and User Friendly
- Facilitate Transparency
- SMS/Email Based Alerts/Notification on regular update(s)
- Supports multi-tenancy-multiple tenants in the same instance
- Strong Authentication Mechanism
- Work-Flow Enabled
- Multilingual Support
- Based on Open-Source Technologies
- Web-based and available 24x7

2.3 Sections

Audit Online is a role base application, and broad modules of the software are:

1. Configuration Module

This module facilitates configuring the application to meet the state specific requirements. Configuration includes:

- Defining the **process flow** which would be followed during the audit process, defining tasks and its mapping i.e. flow of movement of task from one designation to another and finally freezing the process flow
- Defining various **categories and subcategories** in which auditor would categorize the recorded observations
- Defining **dynamic forms** i.e. Case sheet and fact sheet to capture Auditor's input as per the defined parameters. **Factsheet** basically defines the parameters/fields on which Auditor records the observations against each category and sub category. For each category and sub category there can be only one form with many fields which auditor

department can create which would be used for recording certain figures/data. For instance, the category is Taxes on Sales/VAT and Sub category is Short levy of tax due to turnover escaped assessment, the fate sheet form could include fields like total turnover and Amount of Short levy, total amount etc. **Case sheet** basically includes certain basic details on which Auditor records the defaulter's information before recording the observations. For instance, in property registration audit, auditor is viewing the file of Hero Motors. So, while viewing the file, there would be certain details related to that file like Registrant Name, property id etc. which the auditor would record before recording the observations against that file.

- Defining **templates** for generating various kinds of reports i.e., Audit Enquiry Report, Inspection Report, Draft Note and Draft Para etc.

2. Record Observation

This module facilitates Auditors to view the Auditee accounts online/offline, record observations, generate Audit Enquiry and submission of it to Auditee for further action, maintain Audit records and generate Audit Report. The Auditor can generate various kinds of reports required during the audit process, drop certain raised observations on which Auditee has provided satisfactory response, do a follow up on the observation which could be perused internally and escalate critical observation to the next level. An audit process studied for the application i.e. External Audit of Commercial Tax Department by StateAG includes the following tasks:

- **Audit Enquiry Module:** The **Field level audit** starts with the preparation of **Entry Meeting** which is agreed upon by both the auditor and Auditee. The **Record Observation** process includes online recording of observations which the Auditor finds suitable which is verified by the Assistant Audit Officer (AAO) and finally approved and sent to the Auditee by the Audit Officer (AO). The Auditee provides his reply online, which the Auditor may accept and drop further action or reserve it for follow up action or include in the **Draft LAR.** At the end of field level audit **Exit Meeting** is conducted and Draft LAR is generated with all accompaniments which are scanned and attached with each observation which are forwarded to the HQ Section of the Office of the AG.
- **LAR Module**: At the HQ Section the Draft LAR is scrutinized, relevant modifications are incorporated by the Auditor, AAO and AO. The DAG approves the final **LAR** which is then sent to the Auditee. The response for the LAR is approved and sent by the Controlling Officer of the Auditee to AG. The responses to LAR Paras are scrutinized at the HQ Section, and are either dropped/closed or converted to **Draft Notes** which are finally approved and sent to the Government and to the Head of the Department.

- **Draft Note Module**: The responses to the Draft Notes are provided by the Government to the AG after correspondence with the department concerned. The responses Draft Notes are scrutinized by the HQ and Report Section of AG and the paras satisfactorily replied will be dropped/closed or converted to Draft Paras.
- **Draft Para Module**: Draft Para once approved by the AG is sent to Government and Head of Department for their responses. The responses to Draft Paras are provided by Government to AG based on the comments of the concerned HoD. The responses for Draft Paras that are not accepted by the AG are converted to **Audit Paras** by the Report Section which is approved by the AG and sent to the CAG for final approval

3. **Audit Scheduler**

Facilitates formation of Audit Team, define audit schedule by assigning Auditee to the audit team and maintain its last Audited details.

4. **Notification Designer**

Facilitates configuring the notification for SMS/Email based alerts by defining the various trigger points on which department wish to be notified. The notification could be configured depending on the requirement for individual modules like Process flow, Audit schedule etc.

5. **Reports Module**

Reports can be generated on the Audit Team Schedule, Office wise Pending observation, category and subcategory wise list of pending observations etc. These reports can be generated in Excel and PDF formats.

6. **User Management**

Facilitate creation of users for Panchayats, Urban Local Bodies and Line Departments. Different types of users include:

- **State Administrator**: Privilege to create the admin users for Department and PRI will be provided to these users.
- **Office Administrator**: They will have the privilege to create users for the designations that exist in their office. Besides they will also be responsible for assigning the users who will be part of the workflow.
- **Department Administrator**- The features that will be provided to the Department administrator of each Department. Department will be further segregated into 2 types:
  - **Auditor Department Admin**: They will be adding or managing details of auditor, adding the last audited details of Auditee, allocate Auditee office/entity to audit teams

for auditing, define the configuration and process flow that is to be followed for each Auditee unit during the Audit process.

  - **Auditee Department Admin**: The Department will be responsible for adding the Category and Sub Categories under which the observation would be recorded by the Auditor, define various dynamic forms like Case Sheet and Fact sheet.

- **Auditor**- These features will be provided to an auditor who is entrusted by the competent authority to check the veracity of the financial transactions. An Auditor may be a:
  - State AG
  - Local Fund Auditor
  - Internal Auditor of Department
  - CAs from any agency

The Auditor will be responsible for recording the observations on the discrepancies found in the documents viewed, generate Reports.

- **Workflow Player**: These are the users who will be part of the Audit process. They can be players from either Auditor or Auditee side. They will be responsible for generating various reports; Prepare Response against the audit observations raised by the Auditor and view the response given by the Auditee against the observations raised and finally perform the ATR on the remaining observations.

2.4 Target Users

AuditOnline software application targets following users:

- The Accountant General (State AG)
- Local Fund Audit Department (LFA)
- Comptroller & Auditor General (CAG)
- Rural Local Bodies (District Panchayats, Block Panchayats, Village Panchayats and TLBs)
- Line Departments
- Registered/Internal Auditors
- Citizens

A detailed description of the complete functionality of the software is provided under Specific Operating Instructions as part of Chapter 5.

3.0 Minimum System Requirements

AuditOnline is a web-based application, the minimum system requirements for accessing the website are:

1. Desktop or Laptop computer
2. Internet Connection
3. Web Browser
    i. Internet Explorer 9.0 +
    ii. Google Chrome
    iii. Mozilla Firefox

General/Common Operating Instructions

AuditOnline is web-based software that assists you to record audit observation for internal as well as external audit conducted for Panchayats/Urban Local Bodies/Line Departments by State AG/Local Fund Audit.

Let's now learn about how to start the AuditOnline portal in the upcoming section.

4.1 Getting Started

Viewers can open the Home page of the AuditOnline by typing **http://auditonline.gov.in** in the Address bar of the browser window and press the ENTER key from the keyboard. The AuditOnline home page appears, as shown in the following **Fig 4.1.1**.

Fig 4.1.1

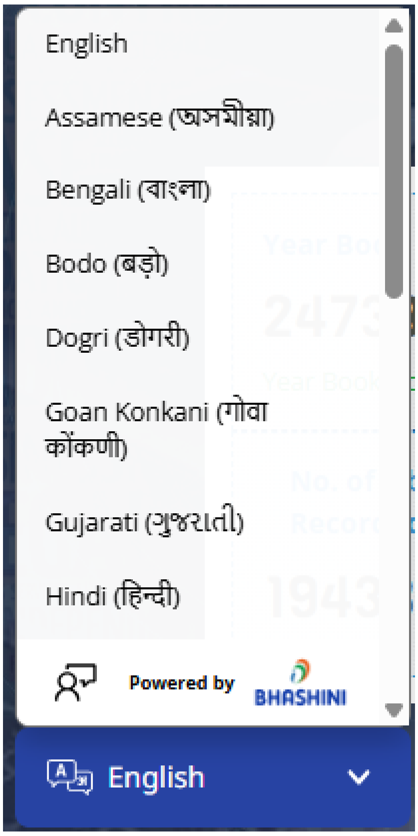
Home Page contains useful information and links related to AuditOnline application. The common features available on Home Page can be viewed by any website visitor without login. However, the website visitor needs to login to the AuditOnline application to use the system based on the privileges/roles assigned to the user.

Login: To login into the system, you first need to click the Login link present on the top right corner on the Home page of the AuditOnline. Once you click on Login link, a popup screen is displayed which facilitates you to login into the system.

Forgot Password- This field specifies the option to change your password (if you forgot it). Click on the option Forgot Password and provide the required information about your account to change the old password.

A- A A+ - These buttons can be used to increase or decrease the size of the screen.

Select Language– This field allows the user to select the language in which he wants to use the software application. The user can select the language of his choice from the list which contains the supporting languages, this service is offered utilizing BHASINI offerings.



About Us- This section contains the basic details about AuditOnline.

Citizen Section- This section contains reports such as Audit Scheduling, Constituted Audit Teams, Analysis of Observations, Task Tracking Report, KPI Reports etc. The citizens can view any reports.

Supporting Documents - This section provides options to view supporting documents, Presentation, Brochure and User Manual of AuditOnline.

Frequently Asked Questions (FAQs)-This section contains answers for probable questions related to different functionalities available in AuditOnline.

4.2 Supporting Documentation

4.2.1 General Description

When you open the home page of the AuditOnline by using http://auditonline.gov.in, then you will be able to see a section named Supporting Documentation. This section consists of several links, such as User Manual, SOPs, Transfer module document and Presentation. These links enable you to better understand the AuditOnline and guide you how to work in the AuditOnline application.

4.2.2 User Manual

This link contains the user manual which provides detailed descriptions about the various functionalities provided in the AuditOnline application and how to use it.

Flow:

On the Home page of the application, click the User Manual link under the Supporting Documentation section. The file starts downloading in your local system. When the downloading is completed, click the file to view its contents.

4.2.3 Presentation

This link contains presentations on the AuditOnline, which provides brief information about the various modules in AuditOnline application.

Flow:

On the Home page of the application, click the Presentation link under Supporting Documentation section. The presentation file starts downloading into your computer system. When the downloading is completed, click the file to view its contents.

4.2.4 Other Documents

The other documents are also listed under supporting documents of the AuditOnline, which provides brief information about the various features in AuditOnline application.

Flow:

On the Home page of the application, click the specific document link under Supporting Documentation section. The file starts downloading into your computer system. When the downloading is completed, click the file to view its contents.

5.0 Specific Operating Instruction

This section describes each module and its related forms in detail. It also explains fields, buttons, and flow to fill or handle the form in the application.

5.1 Home Page

5.1.1 System Login

Brief Description: The main purpose of this form is to allow you secure access to the AuditOnline application by authenticating the User ID and password. You can open the Home page of the AuditOnline application by typing the http://auditonline.gov.in in the Address bar of the browser window and press the ENTER key.

The Home page of the AuditOnline Application is shown in Fig-5.1.1.1.

Fig-5.1.1.1

To login into the system, you first need to click the Login link present in the Home page of the AuditOnline. Once you click on Login link, a popup screen is displayed which facilitates you to login into the system as shown in Fig 5.1.1.2.

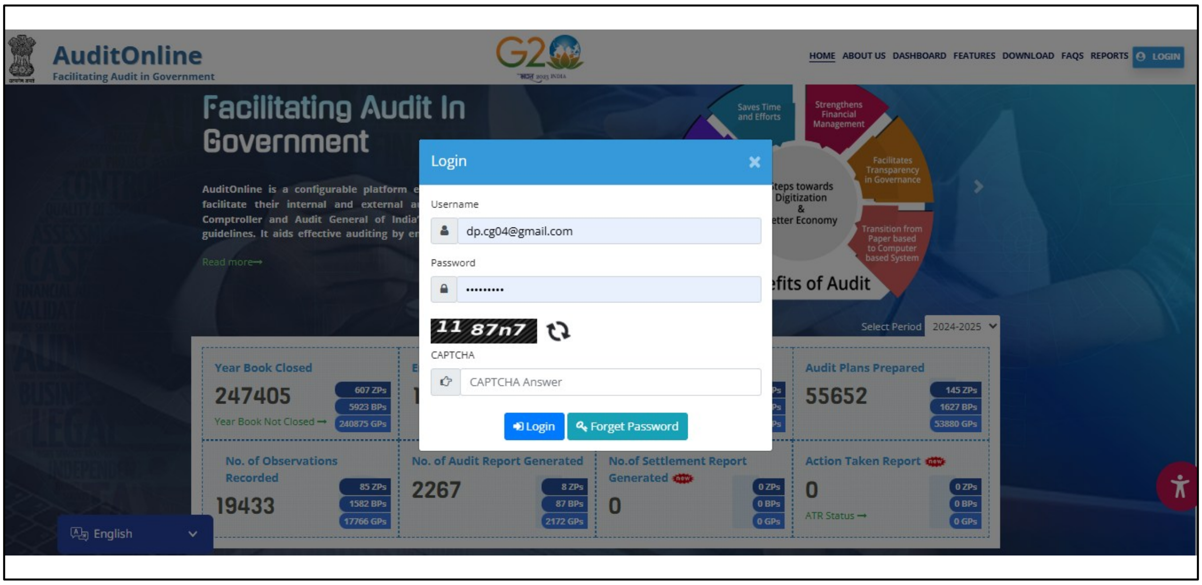


Fig 5.1.1.2

Pre-Condition

You need to have an internet connection and log into the system with the site address along with the valid credentials (User Name and Password). This page consists of the three textboxes; **Username, Password**, and **Captcha** and a button; **LOGIN.**

The Login page contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Username	**Description:** This field is used to specify the valid user name. **Validation:** This field must contain an authorized user id. **Mandatory/Optional/Read Only:** Mandatory
2	Password	**Description:** This field is used to specify the valid password for the mentioned user. **Validation:** This field must contain the valid password, which is assigned for the mentioned user id. **Mandatory/Optional/Read Only:** Mandatory
3	Captcha	**Description:** This field is used to specify the text mentioned in the image which will be used for verifying the user. **Validation:** This field must contain the correct word as per the word

		verification image. **Mandatory/Optional/Read Only:** Mandatory

The system login form contains the following buttons as indicated below:

- **Login**: This button allows you to login to the System.

Flow of Form

To login to the AuditOnline page, you need to follow the steps given below:

1. Open the AuditOnline application with the following URL: www.auditonline.gov.in.
2. Click on the login link provided on the top right corner on the home page.
3. Enter the Username, Password and captcha.
4. Click on **the login** button to submit the login details.
5. You may also click on **Refresh** icon to refresh the captcha image.
6. If the login credentials entered are authentic, the access will be granted into the system otherwise a relevant message will be shown.

Post-Condition

- Upon clicking **the Login** button, the system access will be granted if the credentials are authenticated.

Validations/Error Messages

During the login process, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This message is displayed when the user attempts to login without entering any data in the mandatory fields marked with *.	Enter data in Mandatory fields marked with *
2	You have entered invalid Login ID or Password	This message is displayed when the user attempts to log in when Login ID or password entered is wrong.	Login with correct login ID and Password.

3	You have entered wrong Captcha	This message is displayed when the actor enters the Captcha incorrectly	Enter correct Captcha

5.1.2 Forget Password

Brief Description

The main purpose of this form is to allow you to set a new password if you have forgotten your old password. Information like Username etc will help you to set a new password.

Fig 5.1.2.1

In **Fig 5.1.2.1,** you can see a sample screen of the Forgot Password form that appears when you open the AuditOnline application page. The field marked with the * symbol is mandatory and must contain some value.

On entering the valid User Login ID, One Time Password (OTP) will be sent to the Mobile number and Email registered against the login ID and the user will be asked to enter that. **Fig 5.1.2.2** shows the screen shot.

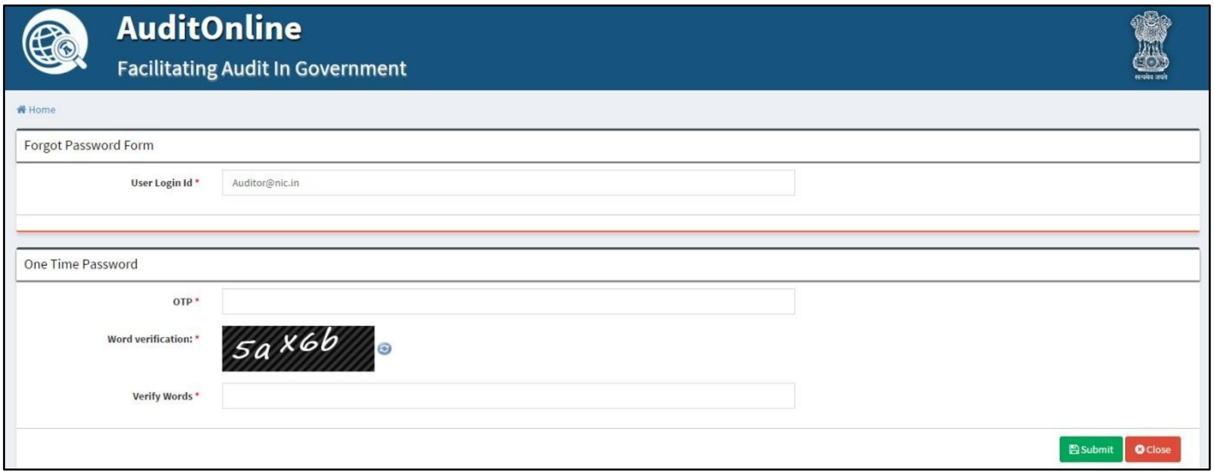


Fig 5.1.2.2

Pre-Condition

You must have a valid Username and updated profile details along with verified Email Address to reset the forgotten password. Updated profile details such as Email and Mobile number will help the user in retrieving the One Time Password (OTP) for resetting the password. You can open **Forgot Password** form by clicking the **Forgot Password link** which is available on the top header on the Home Page of the AuditOnline application.

Forgot password contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	User login ID	**Description:** This field is used to specify the valid username. **Validation:** This field must contain an authorized user id. **Mandatory/Optional/Read Only:** Mandatory
2	Captcha	**Description:** This field is used to specify the text mentioned in the image which will be used for verifying the user. **Validation:** This field must contain the correct word as per the word verification image. **Mandatory/Optional/Read Only:** Mandatory

Forget password form contains the following buttons as indicated below:

- **Submit**: This button allows you to submit the details provided by you
- **Close**: This button allows you to discard the details entered and close the page.

Flow of Form

To change the forgotten password, you need to follow the steps as given below:

1. Open the AuditOnline application with the following URL: www.auditonline.gov.in.
2. Click on the Login link provided on the top right corner of the page. You will be able to see the Forget Password link. Click on Forget Password to change the password.
3. The system will prompt the user to enter details such as Login ID and Captcha.
4. On clicking **Submit** button, the system generates a One Time Password (OTP) which is send to the registered Email and Mobile number.
5. Users will be required to enter the valid OTP and captcha and click on Submit button.

6. On clicking **Submit** button, a page will open which will prompt the user to enter the new password and confirm password.
7. Click on **the Submit** button to submit the details or click on **Close** button to discard the Forgot password operation and close the page.

Post-Condition

- Upon submitting the User Login ID and Captcha information, an alert message will be shown "One Time Password (OTP) sent to the Email {Email ID} and Mobile {Mobile number}."
- Upon clicking **Submit** button after entering the valid OTP and Captcha, a message will be shown "Password set successfully".
- Upon clicking **Close** button, a message "Are you sure you want to close the form?" will be shown. Upon confirmation, the form will be closed, and you will be brought back to the Home page.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This field is required	This message is displayed when the user attempts to submit without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	New Password and Confirm Password are not same	This message is displayed when the user attempts to submit when New Password and Confirm Password are not same	Login with correct username
3	Enter the valid OTP	This message is displayed when the user attempts to submit the wrongly entered OTP.	Enter the correct OTP.
4	You have entered wrong Captcha	This message is displayed when the actor enters the Captcha incorrectly	Enter correct Captcha
5	Invalid User Login ID	This message is displayed when the user attempts to enter the wrong User	Enter the correct User Login ID.

		Login ID.	
6	No Email and Mobile Number found against this Login ID	This message is displayed when no profile details have been filled against this user.	Fill in the profile details first.
7	Password should be 8 to 15 characters with at least one special character, one number, one small case and one upper case letter.	This message is displayed when the password is less than 8 characters.	The password should be 8 to 15 characters with at least one special character, one number, one small case and one upper case letter.
8	Verify the Email ID associated with this user for changing the password.	This message is displayed when the email has not been verified for this Login ID.	Verify the Email ID first.
9	You cannot change the password as the user has not been approved by the admin. Please contact the Administrator for approval.	This message is displayed when the user attempts to change password when the user has not been approved by the admin	Approve the user first for changing the password.

5.2 User Account Settings

5.2.1 Add User Profile

Brief Description

The main purpose of this form is to allow the user to submit the basic profile details such as Name, Mobile, Email, Date of Joining and Permanent Employee Number (PEN) when the user logs into the system for the first time. These details would be verified by the corresponding Admin and then the user would be able to use the system.

In **Fig 5.2.1.1**, you can see a sample screen shot of the **Create User Profile** form that appears when user logs into the system for the first time. The field marked with the * symbol is mandatory and must contain some value.

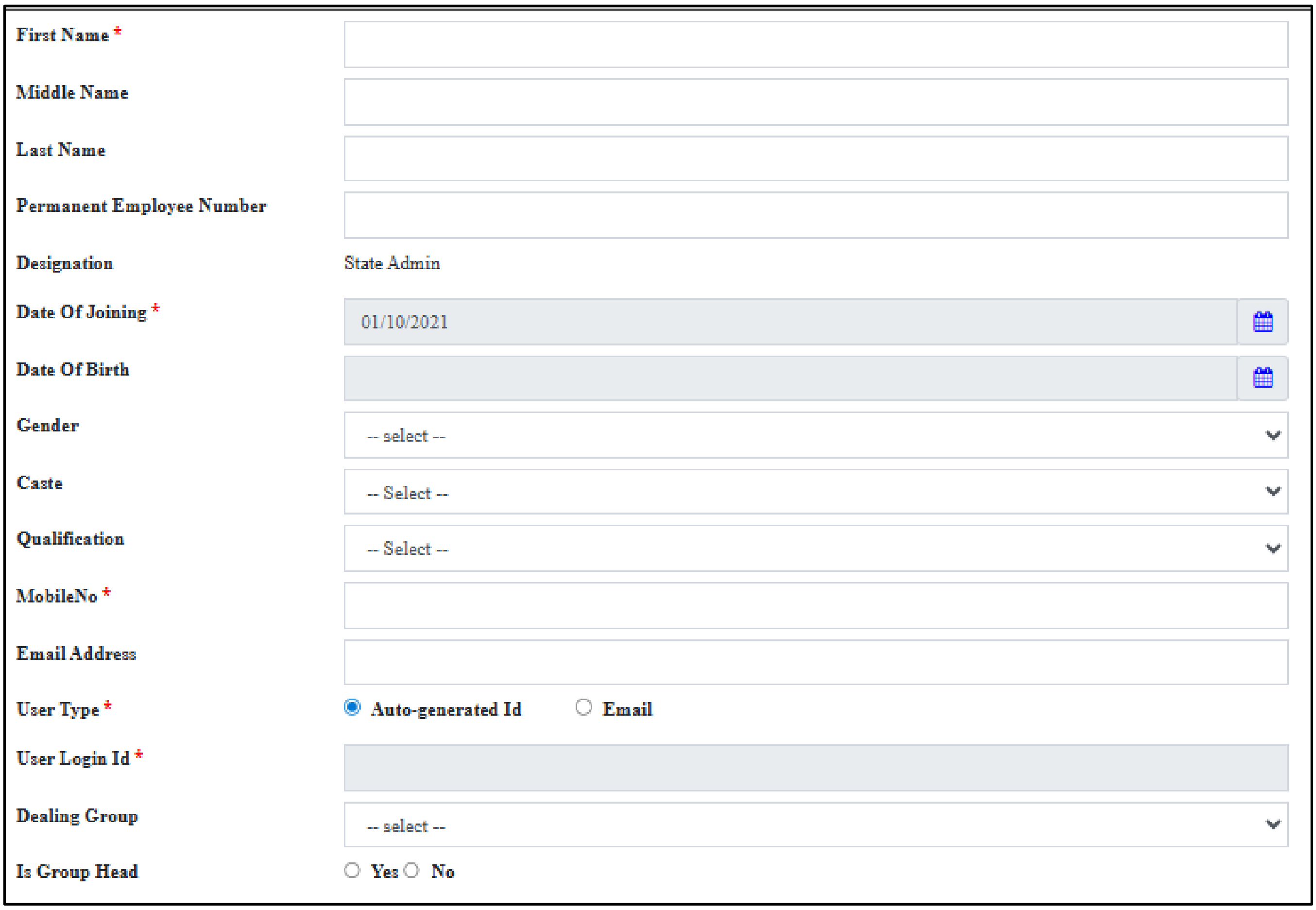


Fig 5.2.1.1

Pre-Condition

The user must log into the system for the first time with a valid Login ID and password.

Create User Profile contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	First Name	**Description:** This field is used to specify the first name of the user. **Validation: 1)** Only alphabets are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
2	Middle Name	**Description:** This field is used to specify the middle name of the user, if any. **Validation: 1)** Only alphabets are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Optional

3	Last Name	**Description:** This field is used to specify the last name of the user. **Validation: 1)** Only alphabets are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
4	Designation	**Description:** This field would auto-populate, providing the designation of the user. **Validation:** If the user has been created for an Admin, then Admin will populate otherwise for designation users, the designation of the user will populate. **Mandatory/Optional/Read Only:** Read only
5	Date of Joining	**Description:** This field is used to specify the Date of joining of the user in the current office. **Validation:** Date of joining cannot be beyond current date. **Mandatory/Optional/Read Only:** Mandatory
6	Permanent Employee Number (PEN)	**Description:** This field is used to specify the permanent employee number of the user. **Validation: 1)** Only alphabets and numbers are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
7	Date of Birth	**Description:** This field is used to specify the Date of Birth of the user. **Validation:** Date of birth cannot be of current date or under 18 years. **Mandatory/Optional/Read Only:** Optional
8	Gender	**Description:** This field is used to specify the gender type of the user. **Validation:** dropdown selection for male/female/transgender. **Mandatory/Optional/Read Only:** Optional

9	Caste	**Description:** This field is used to capture the caste type of the user. **Validation:** dropdown selection for available options. **Mandatory/Optional/Read Only:** Optional
10	Qualification	**Description:** This field is used to capture the qualification level of the user. **Validation:** dropdown selection for available options. **Mandatory/Optional/Read Only:** Optional
11	User type	**Description:** This radio selection is used to select the preference for the login-id type by the user. **Validation:** Either the email-id duly filled in profile or else the system generated unique sequence is allowed. **Mandatory/Optional/Read Only:** Mandatory
12	User Login id	**Description:** This field is to view the selected preference by the user for the user type. **Validation:** pre-populated input is only allowed from user type **Mandatory/Optional/Read Only:** Read Only
13	Mobile	**Description:** This field is used to specify the Mobile number of the user. The mobile number will be verified by the system by means of OTP. **Validation:** 1) It should be 10 digits. 2) It cannot start with 0 **Mandatory/Optional/Read Only:** Mandatory

14	Email	**Description:** This field is used to specify the email of the user. This will be verified by the system. **Validation:** 1) Email ID should begin with a letter. 2) Email ID should be of the format {xyz10@abc.com}. 3) Email ID should be unique. **Mandatory/Optional/Read Only:** Mandatory

Add Profile form contains the following buttons as indicated below:

- **Submit**: This button allows you to submit the details provided by you.
- **Close:** This button allows you to close the form and return to the previous page.

Flow of Form

To Add profile details, you need to follow the steps as given below:

1. You should login to the application with the valid Username and Password.
2. Upon successful login into the system for the first time, Create User Profile details form will appear.
3. Fill in the profile details such as First name, Middle Name, Last Name, Date of Joining, Email, Mobile etc.,
4. Click on **the Submit** button to submit the details or click on **Close** button to close the form.
5. Upon successful submission, alert message will populate displaying “Data saved successfully. OTP has been sent on the registered mobile number and a verification link on the Email for the successful verification of the details provided”.

Post-Condition

- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.
- Upon clicking **Submit** button, a message “Data saved successfully”. OTP has been sent on the registered mobile number and a verification link on the Email for the successful verification of the details provided” will appear.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action

1	This Field Is Required	This message is displayed when the user attempts to save without entering any data in the mandatory fields marked with *.	Enter data in Mandatory fields marked with *
2	Only alphabets are allowed	This message is displayed when the user attempts to submit the profile details by entering special characters or numbers in the Name Field	Enter only alphabets in the name field
3	Mobile number must be of 10 digits	This message is displayed when the user attempts to submit the details when the mobile number entered is not of 10 digits.	Enter a 10- d i g i t mobile number

4	Mobile Number cannot start with 0	This message is displayed when the user attempts to submit the profile details when the mobile number entered starts with 0	Mobile number cannot start with zero
5	Invalid Email ID	This message is displayed when the user attempts to submit the details by entering wrong Email ID.	Enter a correct email id with format {xyz10@abc.com}.
6	Email ID already registered	This message is displayed when the user attempts to submit the details by entering Email ID which has already been registered	Enter a different email id.
7	Email ID should begin with an alphabet.	This message is displayed when the user attempts to enter the first letter of Email ID other than alphabet.	Email ID should begin with an alphabet.
8	Only 99 characters are allowed	This message is displayed when the user attempts to enter more than 99 characters in the Name Field.	Enter name, less than 99 alphabets.
9	Only alphabets and numbers are allowed	This message is displayed when the user attempts to submit the profile details by entering special characters in the Permanent Employee Number Field.	Enter only alphabets and numbers in the name field.
10	Only 99 characters are allowed	This message is displayed when the user attempts to enter more than 99 characters in the Permanent Employee Number Field.	Enter PEN less than 99 characters.
11	Age is less than 18 years	This message is displayed when user attempts to select the date of birth	Enter a date which is valid for 18 years of age or above.

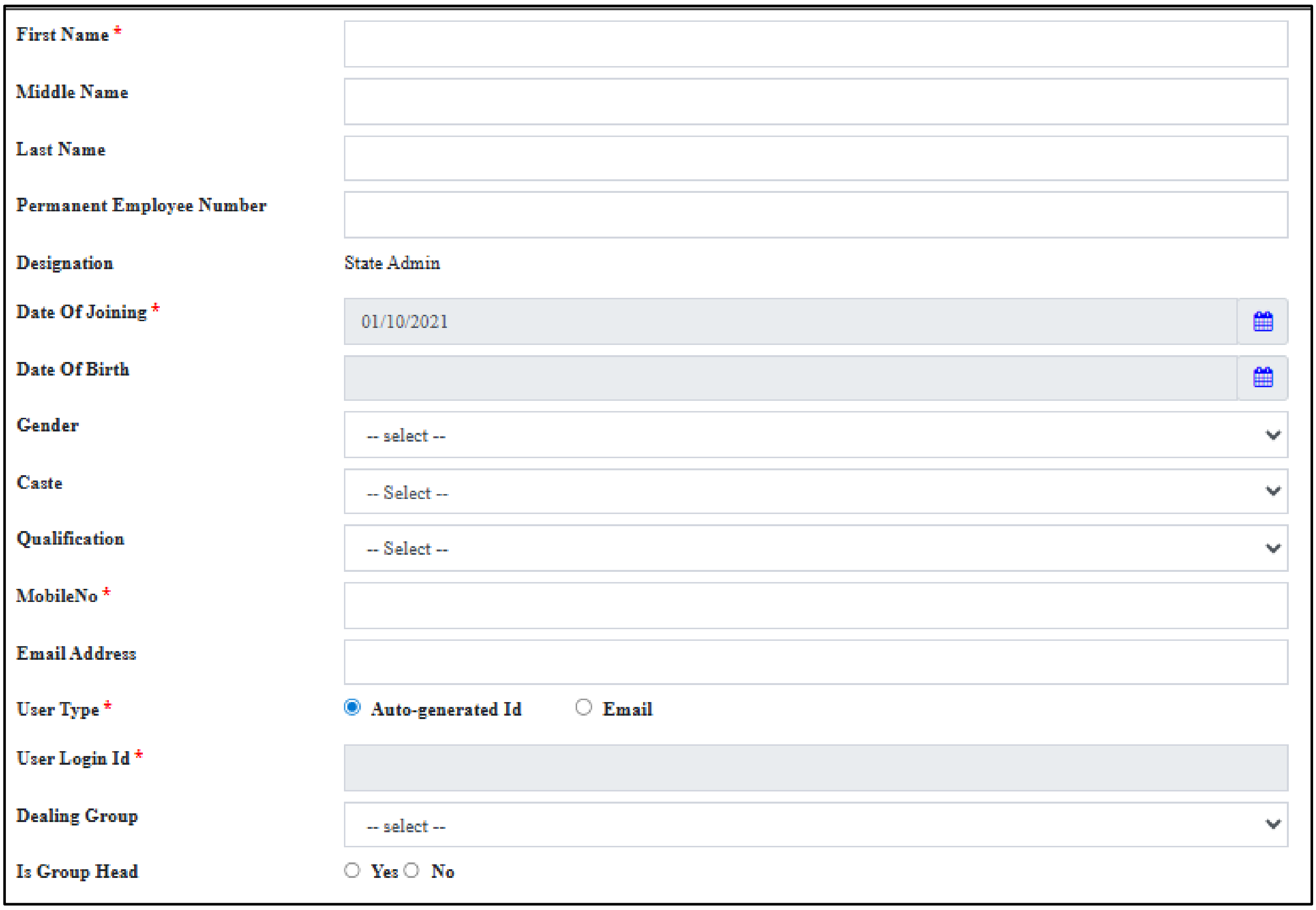
5.2.2 Update User Profile

Brief Description

The main purpose of this form is to allow the user to update the basic user profile details. Details such as

Name, Mobile number, Email and Permanent Employee Number can be updated. The field marked with the * symbol is mandatory and must contain some value.

In **Fig 5.2.2.1**, you can see a sample screen shot of the **Create User Profile** form that appears when user logs into the system for the first time. The field marked with the * symbol is mandatory and must contain some value.



First Name *	
Middle Name	
Last Name	
Permanent Employee Number	
Designation	State Admin
Date Of Joining *	01/10/2021
Date Of Birth	
Gender	-- select --
Caste	-- Select --
Qualification	-- Select --
MobileNo *	
Email Address	
User Type *	Auto-generated Id Email
User Login Id *	
Dealing Group	-- select --
Is Group Head	Yes No

Fig 5.2.2.1

<u>Pre-Condition</u>

The user should login to the system with valid credentials and have the privilege to update the user profile. You can open the **Update User Profile** form by clicking the **User Account Settings → Update User Profile** option available on the left menu.

Update User Profile contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	First Name	**Description:** This field is used to specify the first name of the user. **Validation: 1)** Only alphabets are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Mandatory

2	Middle Name	**Description:** This field is used to specify the middle name of the user, if any. **Validation: 1)** Only alphabets are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Optional
3	Last Name	**Description:** This field is used to specify the last name of the user. **Validation: 1)** Only alphabets are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
4	Designation	**Description:** This field would auto-populate, providing the designation of the user. **Validation:** If the user has been created for an Admin, then Admin will populate otherwise for designation users, the designation of the user will populate. **Mandatory/Optional/Read Only:** Read only
5	Date of Joining	**Description:** This field is used to specify the Date of joining of the user in the current office. **Validation:** Date of joining cannot be beyond current date. **Mandatory/Optional/Read Only:** Mandatory
6	Permanent Employee Number (PEN)	**Description:** This field is used to specify the permanent employee number of the user. **Validation: 1)** Only alphabets and numbers are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
7	Date of Birth	**Description:** This field is used to specify the Date of Birth of the user. **Validation:** Date of birth cannot be of current date or under 18 years. **Mandatory/Optional/Read Only:** Optional

8	Gender	**Description:** This field is used to specify the gender type of the user. **Validation:** dropdown selection for male/female/transgender. **Mandatory/Optional/Read Only:** Optional
9	Caste	**Description:** This field is used to capture the caste type of the user. **Validation:** dropdown selection for available options. **Mandatory/Optional/Read Only:** Optional
10	Qualification	**Description:** This field is used to capture the qualification level of the user. **Validation:** dropdown selection for available options. **Mandatory/Optional/Read Only:** Optional
11	User type	**Description:** This radio selection is used to select the preference for the login-id type by the user. **Validation:** Either the email-id duly filled in profile or else the system generated unique sequence is allowed. **Mandatory/Optional/Read Only:** Mandatory
12	User Login id	**Description:** This field is to view the selected preference by the user for the user type. **Validation:** pre-populated input is only allowed from user type **Mandatory/Optional/Read Only:** Read Only

13	Mobile	**Description:** This field is used to specify the Mobile number of the user. The mobile number will be verified by the system by means of OTP. **Validation:** 1) It should be 10 digits. 2) It cannot start with 0 **Mandatory/Optional/Read Only:** Mandatory
14	Email	**Description:** This field is used to specify the email of the user. This will be verified by the system. **Validation:** 1) Email ID should begin with a letter. 2) Email ID should be of the format {xyz10@abc.com}. 3) Email ID should be unique. **Mandatory/Optional/Read Only:** Mandatory

Update User Profile form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made.
- **Close**: This button allows you to close the Update Profile operation and return to the previous screen.

Flow of Form

To update user profile details, you need to follow the steps given below:

1. You should login to the application with the valid Username and Password.
2. Click the User Account Settings->Update User Profile to update the user profile details. A page will open on the screen which will help you to modify the details.
3. Details such as Designation will be in read only mode. Other details such as First name, Middle Name, Last Name, Email, Mobile and Permanent Employee Number, Date of joining etc., can be updated.
4. Click on **the Update** button to update the details or click on **Close** button to close the form.
5. Details such as Email and Mobile number, if modified, will be verified by the system by means of OTP and Email verification link.

Post-Condition

- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the User will be redirected to the previous screen.
- Upon clicking **the Update** button, a message "Data Updated Successfully" will appear. If details such as Email and Mobile number are updated, then OTP and email verification link will be sent to the user for verification.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This message is displayed when the user attempts to save without entering any data in the mandatory fields marked with *.	Enter data in Mandatory fields marked with *
2	Only alphabets are allowed	This message is displayed when the user attempts to submit the profile details by entering special characters or numbers in the Name Field	Enter only alphabets in the name field

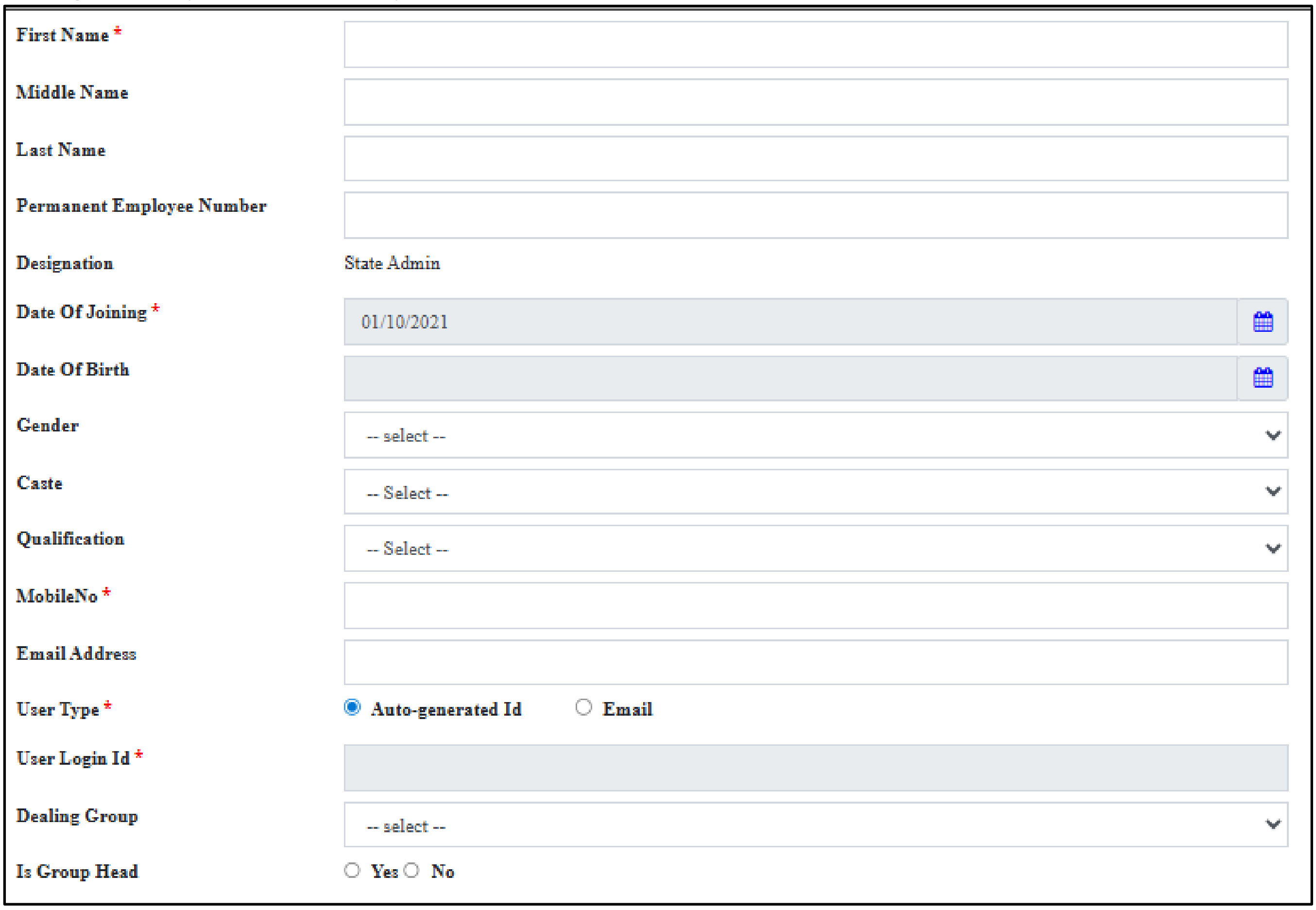
3	Mobile number must be of 10 digits	This message is displayed when the user attempts to submit the details when the mobile number entered is not of 10 digits.	Enter a 10 digit mobile number
4	Mobile Number cannot start with 0	This message is displayed when the user attempts to submit the profile details when the mobile number entered starts with 0	Mobile number cannot start with zero
5	Invalid Email ID	This message is displayed when the user attempts to submit the details by entering wrong Email ID.	Enter a correct email id with format {xyz10@abc.com}.
6	Email ID already registered	This message is displayed when the user attempts to submit the details by entering Email ID which has already been registered	Enter a different email id.
7	Email ID should begin with an alphabet.	This message is displayed when the user attempts to enter the first letter of Email ID other than alphabet.	Email ID should begin with an alphabet.
8	Only 99 characters are allowed	This message is displayed when the user attempts to enter more than 99 characters in the Name Field.	Enter name less than 99 alphabets.
9	Only alphabets and numbers are allowed	This message is displayed when the user attempts to submit the profile details by entering special characters in the Permanent Employee Number Field.	Enter only alphabets and numbers in the name field.
10	Only 99 characters are allowed	This message is displayed when the user attempts to enter more than 99 characters in the Permanent Employee Number Field.	Enter PEN less than 99 characters.

5.2.3 View User Profile

Brief Description

The main purpose of this form is to allow the user to View the basic profile details. All the details such as Name, Designation, Email, Mobile, Date of Joining, Permanent Employee Number etc., can be viewed by the user.

In **Fig 5.2.3.1**, you can see a sample screen shot of the **View User Profile** form.



First Name *	
Middle Name	
Last Name	
Permanent Employee Number	
Designation	State Admin
Date Of Joining *	01/10/2021
Date Of Birth	
Gender	-- select --
Caste	-- Select --
Qualification	-- Select --
MobileNo *	
Email Address	
User Type *	Auto-generated Id Email
User Login Id *	
Dealing Group	-- select --
Is Group Head	Yes No

Fig 5.2.3.1

Pre-Condition

The user should login to the system with valid credentials and have the privilege to view the profile details. You can open the **View User Profile** form by clicking the **User Account Settings → View User Profile** option available on the left menu.

View User Profile contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	First Name	**Description:** This field is used to specify the first name of the user. **Validation: 1)** Only alphabets are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
2	Middle Name	**Description:** This field is used to specify the middle name of the user, if any. **Validation: 1)** Only alphabets are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Optional
3	Last Name	**Description:** This field is used to specify the last name of the user. **Validation: 1)** Only alphabets are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
4	Designation	**Description:** This field would auto-populate, providing the designation of the user. **Validation:** If the user has been created for an Admin, then Admin will populate otherwise for designation users, the designation of the user will populate. **Mandatory/Optional/Read Only:** Read only
5	Date of Joining	**Description:** This field is used to specify the Date of joining of the user in the current office. **Validation:** Date of joining cannot be beyond current date. **Mandatory/Optional/Read Only:** Mandatory
6	Permanent Employee Number (PEN)	**Description:** This field is used to specify the permanent employee number of the user. **Validation: 1)** Only alphabets and numbers are allowed. 2) 99characters are allowed. **Mandatory/Optional/Read Only:** Mandatory

7	Date of Birth	**Description:** This field is used to specify the Date of Birth of the user. **Validation:** Date of birth cannot be of current date or under 18 years. **Mandatory/Optional/Read Only:** Optional
8	Gender	**Description:** This field is used to specify the gender type of the user. **Validation:** dropdown selection for male/female/transgender. **Mandatory/Optional/Read Only:** Optional
9	Caste	**Description:** This field is used to capture the caste type of the user. **Validation:** dropdown selection for available options. **Mandatory/Optional/Read Only:** Optional
10	Qualification	**Description:** This field is used to capture the qualification level of the user. **Validation:** dropdown selection for available options. **Mandatory/Optional/Read Only:** Optional
11	User type	**Description:** This radio selection is used to select the preference for the login-id type by the user. **Validation:** Either the email-id duly filled in profile or else the system generated unique sequence is allowed. **Mandatory/Optional/Read Only:** Mandatory

12	User Login id	**Description:** This field is to view the selected preference by the user for the user type. **Validation:** pre-populated input is only allowed from user type **Mandatory/Optional/Read Only:** Read Only
13	Mobile	**Description:** This field is used to specify the Mobile number of the user. The mobile number will be verified by the system by means of OTP. **Validation:** 1) It should be 10 digits. 2) It cannot start with 0 **Mandatory/Optional/Read Only:** Mandatory
14	Email	**Description:** This field is used to specify the email of the user. This will be verified by the system. **Validation:** 1) Email ID should begin with a letter. 2) Email ID should be of the format {xyz10@abc.com}. 3) Email ID should be unique. **Mandatory/Optional/Read Only:** Mandatory

View User Profile details form contains the following buttons as indicated below:

- **Close**: This button allows you to close the View Profile operation and return to the previous screen.

Flow of Form

To View user profile details, you need to follow the steps given below:

1. You should login to the application with the valid Username and Password.
2. Click the User Account Settings->View User Profile to view the profile details. A page will open on the screen which will help you to view the details.
3. All the details such as Name, Mobile Number, Designation, Date of joining, Permanent Employee Number, Email etc., will be shown in the read mode only.
4. Click on **the Close** button to close the form.

Post-Condition

- Upon clicking Close button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the User will be redirected to the previous screen.

Validations/Error Messages

None

5.2.4 Reset Password

Brief Description

The main purpose of this form is to allow you to reset password for all the users which have been created by you. Information like User Login Id will help you to reset the password.

In **Fig 5.2.4.1** you can see a sample screen shot of the **Reset Password** form that appears when you login as **Centre Admin, State Admin, Department Admin or Office Admin**. The field marked with the * Symbols are mandatory and must contain some value.

Fig 5.2.4.1

Pre-Condition

You must log in to the system as **Centre Admin, State Admin, Department Admin or office Admin** and have the privilege to reset the password. You can **reset the password** by clicking the **User Account Settings → Reset Password** option available on the left menu.

Reset Password contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	User login ID	**Description:** This field is used to specify the login ID of the user for which password needs to be reset. **Validation:** This field must contain an authorized user id to which the user is privileged to reset the password. **Mandatory/Optional/Read Only:** Mandatory

2	New Password	**Description:** This field is used to specify the New Password which requires being set. **Validation:** Password should be 8 to 15 characters with at least one special character, one number, one small case and one upper case letter. **Mandatory/Optional/Read Only:** Mandatory
3	Confirm Password	**Description:** This field is used to specify the confirm password. **Validation:** It should be the same as the New Password **Mandatory/Optional/Read Only:** Mandatory
4	Captcha	**Description:** This field is used to specify the Captcha information. **Validation:** This field must contain the correct word as per the word verification image. **Mandatory/Optional/Read Only:** Mandatory

Reset password form contains the following buttons as indicated below:

- **Submit**: This button allows you to submit the details provided by you.
- **Close**: This button allows you to discard the details entered and close the page.

Flow of Form

To reset password, you need to follow the steps given below:

1. You should login into the application as **Centre Admin, State Admin, Department Admin or Office Admin** and have the privilege to reset password details.
2. Click the **User Account Setting -> Reset Password option** available on the left menu. The **Reset Password Details** form will be displayed.
3. Enter the valid User login ID for which password must be reset.
4. Enter the New password and Confirm password.
5. Enter the Captcha information.
6. Click on the Submit button to submit details or, click on Close button to close the Reset Password form.

Post-Condition

- Upon clicking **Submit** button after entering the valid User Login ID, a message will be shown "Password set successfully".
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This field is required	This message is displayed when the user attempts to reset password without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	Invalid User Login ID	This message is displayed when the user attempts to reset password when the User Login ID is invalid	Enter a valid User Login ID
3	New Password and Confirm Password are not same	This message is displayed when the user attempts to reset password when New Password and Confirm Password are not same	New Password and Confirm Password should be same
4	New password and old password cannot be	This message is displayed when the user attempts to rest password when	New password should not be same as the old

	same	The new password is the same as old password	password.
5	Password should be 8 to 15 characters with at least one special character, one number, one small case and one upper case letter.	This message is displayed when the user attempts to reset password when password is less than 8 characters	The password should be 8 to 15 characters with at least one special character, one number, one small case and one upper case letter.
6	You have entered Wrong Captcha	This message is displayed when the actor enters the Captcha incorrectly	Enter correct Captcha
7	You do not have the privilege to reset the password for this User Login ID	This message is displayed when the actor attempts to reset password when the User Login ID is valid, but the actor does not have the privilege to reset the password for this user	Please enter a User Login ID for which you are authorized to reset the password.

5.2.5 Change Password

Brief Description

The main purpose of this form is to allow the user to change the current password. The user can only change the password of his account.

In **Fig 5.2.5.1** you can see a sample screen shot of the **Change Password** form. The field marked with the * symbol is mandatory and must contain some value.

Fig 5.2.5.1

Pre-Condition

You must log in to the system with the current credentials and have the privilege to change the password. You can **change the password** by clicking the **User Account Settings → Change Password** option available on the left menu.

Change Password contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Current Password	**Description:** This field is used to specify the current password. **Validation:** It should be the same as the current password. **Mandatory/Optional/Read Only:** Mandatory
2	New Password	**Description:** This field is used to specify the New Password which requires being set. **Validation:** Password should be 8 to 15 characters with at least one special character, one number, one small case and one upper case letter. **Mandatory/Optional/Read Only:** Mandatory
3	Confirm Password	**Description:** This field is used to specify the confirm password. **Validation:** It should be the same as the New Password **Mandatory/Optional/Read Only:** Mandatory
4	Captcha	**Description:** This field is used to specify the Captcha information. **Validation:** This field must contain the correct word as per the word verification image. **Mandatory/Optional/Read Only:** Mandatory

Change password form contains the following buttons as indicated below:

- **Submit**: This button allows you to submit the details provided by you.
- **Cancel**: This button allows you to discard the details entered and close the page.

Flow of Form

To change password, you need to follow the steps given below:

1. You should log in into the application with the current credentials.

2. If the user logs into the system for the first time and the user will be forced to change the Password.
3. Enter the current valid password in the text box provided.
4. Enter the New password and Confirm password in the text box provided.
5. Enter the Captcha information.
6. Click on the Submit button to submit the details or click on Close button to close the change Password form.

Alternate Flow:

1. You should login into the application with the current credentials and have the privileges to change the password.
2. Click the **User Account Setting -> Change Password** option available on the left menu. The **Change Password** form will be displayed on the screen.
3. Enter the current valid password in the text box provided.
4. Enter the New password and Confirm password in the text box provided.
5. Enter the Captcha information.
6. Click on the Submit button to submit the details or click on Close button to close the change Password form.

Post-Condition

- Upon clicking **Submit** button and entering all the details, a message will be shown "Password changed successfully" and the password will get updated in the database. The user will be re-directed back on the home page once the password is changed.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This field is required	This message is displayed when the user attempts to change password without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *

2	Current Password is wrong	This message is displayed when the user attempts to change password when the current password is wrongly entered	Enter the correct Current Password
3	New Password and Confirm Password are not same	This message is displayed when the user attempts to change password when New Password and Confirm Password are not same	New Password and Confirm Password should be same
4	New password and old password cannot be same	This message is displayed when the user attempts to change password when new password is same as old password	The new password should not be the same as the old password.
5	Password should be 8 to 15 characters with at least one special character, one number, one small case and one upper case letter.	This message is displayed when the user attempts to change the password when password is less than 8 characters	The password should be 8 to 15 characters with at least one special character, one number, one small case and one upper case letter.
6	You have entered Wrong Captcha	This message is displayed when the actor enters the Captcha incorrectly	Enter correct Captcha

5.3 User Management

5.3.1 Create User

Brief Description

The main purpose of this form is to allow the admin to create User(s) for his/her department which will be part of the AuditOnline application. The users can be created with varied privileges. Depending on the privilege given to the user, the roles may vary. The various types of users include **Centre Administrator**, **State Administrator, Department Administrator, office Administrator and Workflow player.**

Various Roles and the privileges assigned to them are:

Centre Administrator has the privilege of creating a user for State Admin.

__State Administrator__ has the privilege to create users for Department Admin in case of Line Department and RLB Admin in case of Local Government Body.

__Department Administrator__ has the privilege to create user(s) for Office Administrator i.e. Admin for each Office.

__Office Administrator__ has the privilege to create the user(s) for Workflow Player i.e. designated officers.

In **Fig 5.3.1.1**, you can see the sample screen shot when **Centre Administrator logs into the system and creates State Administrator**. In this form, the fields marked with the * (asterisk) symbol are mandatory. You need to fill in some data in these fields.

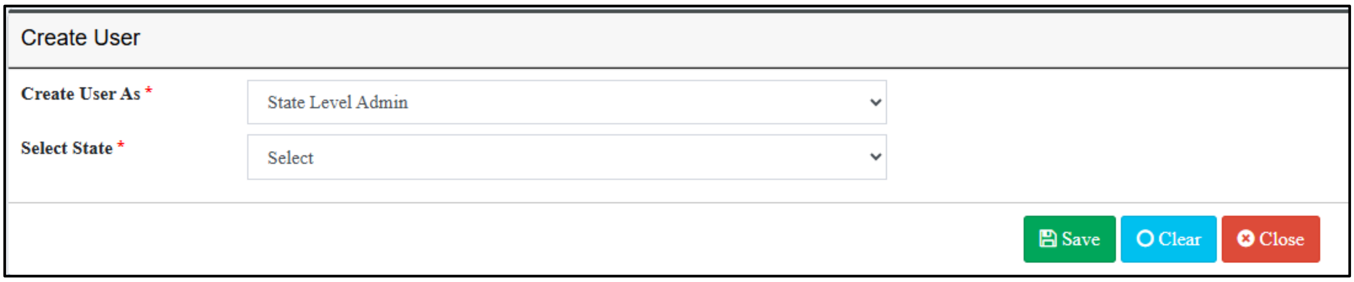


Fig 5.3.1.1

In **Fig 5.3.1.2**, you can see the sample screen shot when **State Administrator logs into the system and creates Department Administrator** for Line Department (Auditor/Auditee).

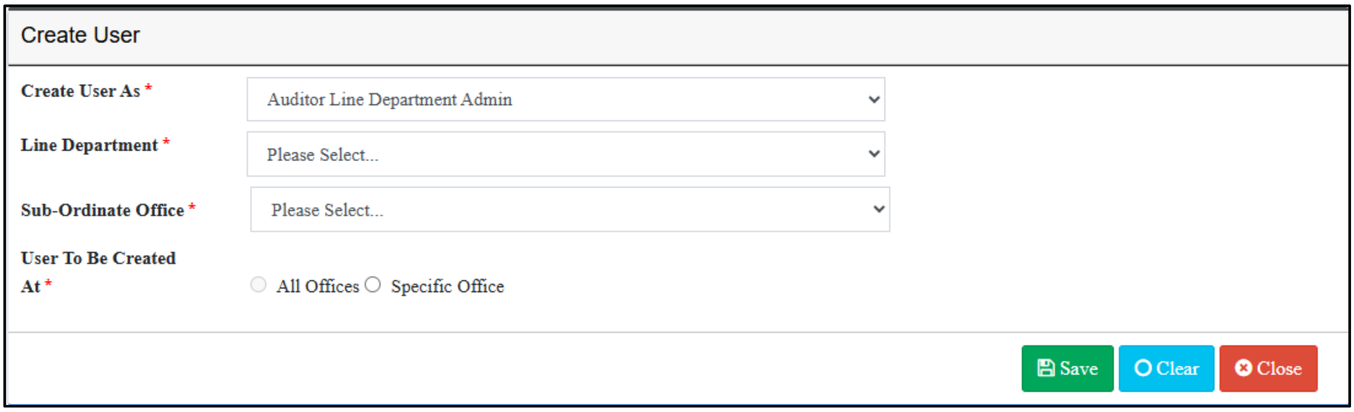


Fig 5.3.1.2

If the user selects **the Local Government Body**, then the screen will be displayed as shown in **Fig 5.3.1.3.**

Fig 5.3.1.3

In **Fig 5.3.1.4**, you can see the sample screen shot when the Department Administrator logs into the system and creates Office Administrator for Line Department.

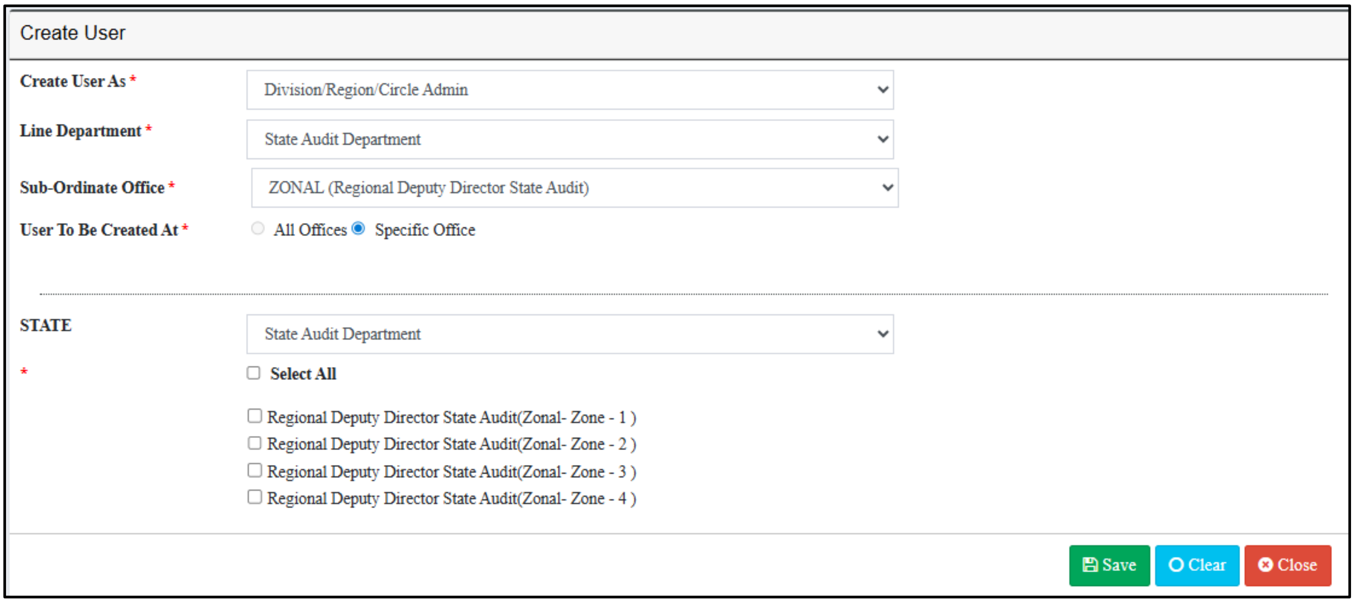


Fig 5.3.1.4

In **Fig 5.3.1.5**, you can see the sample screen shot when the Department Administrator logs into the system and creates Office Administrator for Local Government Body.

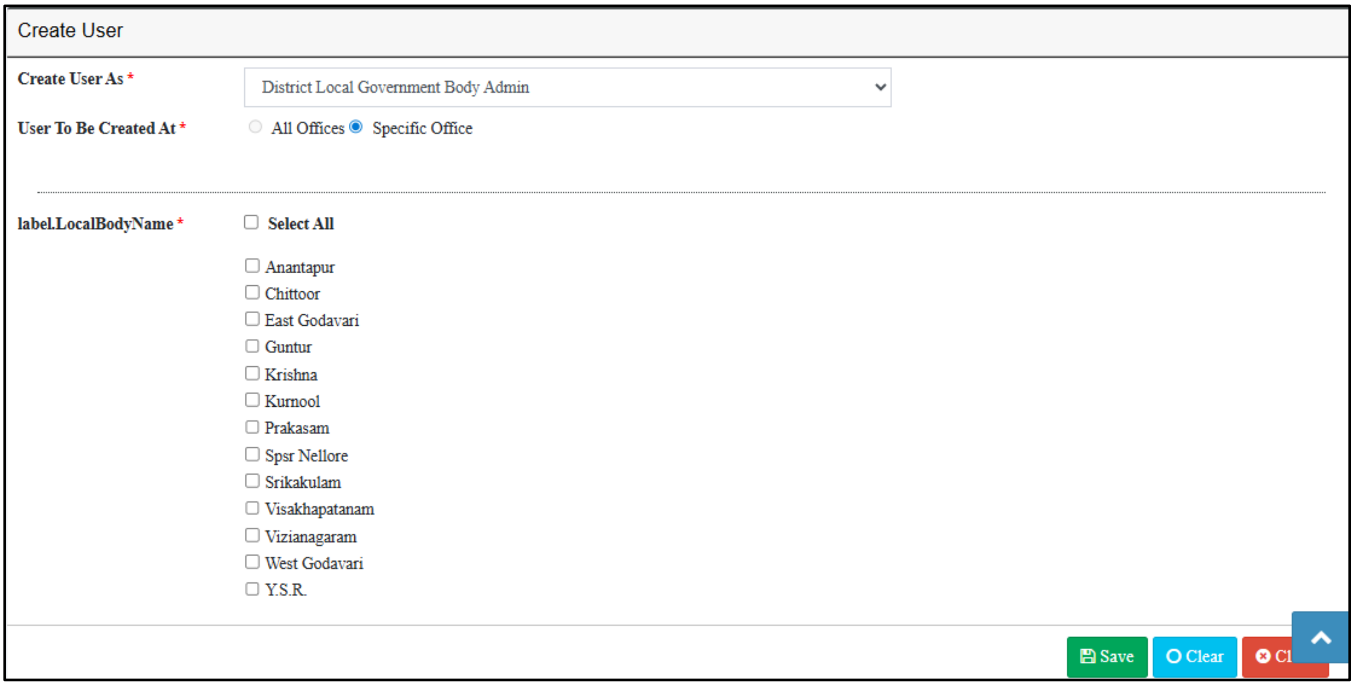


Fig 5.3.1.5

In **Fig 5.3.1.6,** you can see the sample screen shot when Office Administrator logs into the system and creates Workflow Players i.e. Designated Officers.

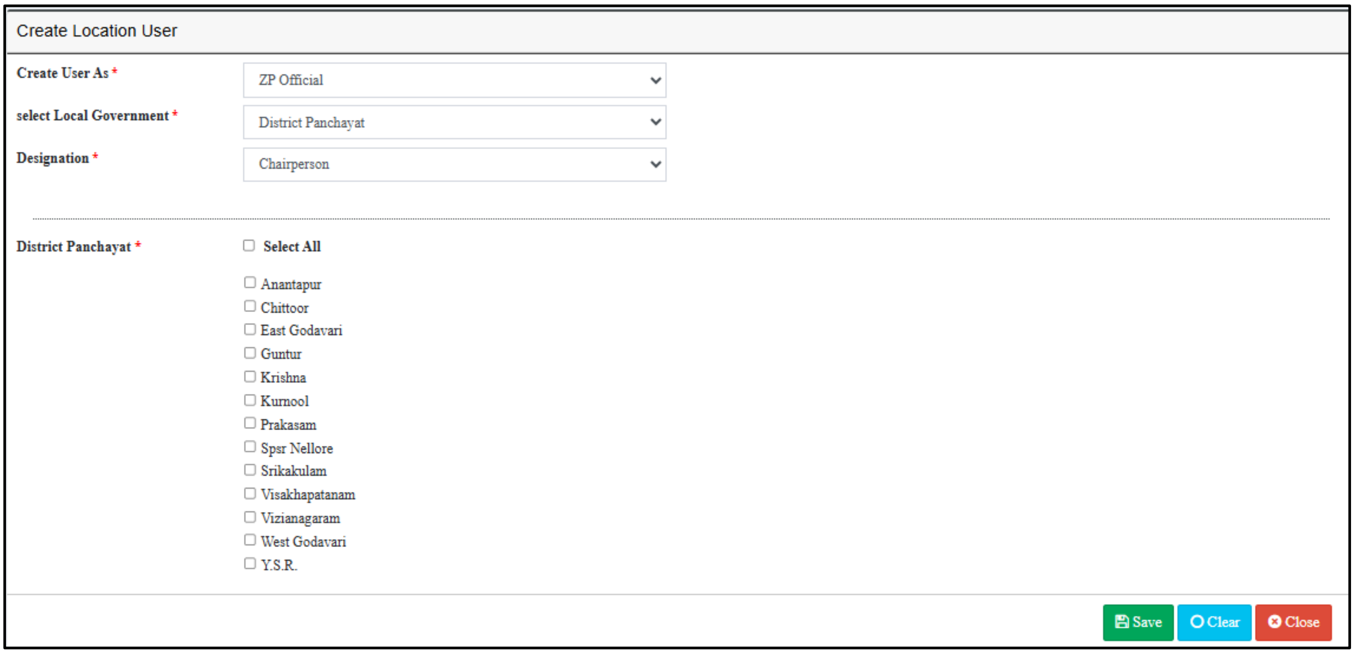


Fig 5.3.1.6

Pre-Condition

You must login into the system and have the privilege to create user(s). You can open the **Create User** form by clicking the **User Management → Create User** option available on the left menu.

The **Create User** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Create User As	**Description:** This field is used to select the role for which the user is to be created. The role depends on the level of user to be created, and the role assigned to the Admin. **Validation: NA** **Mandatory/Optional/Read Only:** Mandatory
2	Select State	**Description:** This field is used to select the State from the dropdown. This will only populate when the Centre Administrator creates a State Administrator. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

3	User to be Created For	**Description:** This field is used to select the type for which the user must be created. This basically includes **the Line Department or Local Government Body**. This will only populate when the State Administrator creates a Department Administrator. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Category Type	**Description:** This field is used to select the type for which the user must be created. This basically includes **RLB**. This will only populate when the State Administrator creates a Department Administrator when the User to be Created for is Local Government Body. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
5	Line Department	**Description:** This field is used to select the Line Department from the dropdown. All the Line Department which exists in the LGD for the state will populate. This will only populate when the State Administrator creates a Department Administrator. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

6	Sub-Ordinate office	**Description:** This field is used to select the Sub-ordinate Office for which the user must be created. All the types of Sub-ordinate offices that have been defined for the department will populate in the dropdown. This will only populate when the Department Administrator creates an Office Administrator. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
7	User to be Created At	**Description:** This field is used to specify whether the users must be created at **All Location or Specific Location**. This will only populate when the Department Administrator creates an Office Administrator. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Designation	**Description:** This field is used to select the type of Designation for which user must be created. This will only populate when Office Administrator creates a user for Workflow Player. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
9	No. of users at Location	**Description:** This field is used to specify number of users that must be created for a particular Designation. This will only populate when Office Administrator creates a user for Workflow Player. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Create User form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the Create User operation and close the page.

<u>Flow of Form</u>

To create user(s), you need to follow the steps given below:

1. You should login into the application and have privilege to **Create User.**
2. Click the **User Management -> Create User** option available on the left menu. The **Create User** form is displayed on the screen. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. The options to create users will be displayed to the respective users based on the role of the user. A user can be assigned more than one role. If the user is associated with more than one role, then based on the allocated role(s) options will be displayed to the user like Department Administrator assigned the role of both Office Administrator and Workflow player.
4. When the Role is:

i. **Central Administrator:** User will be required to enter the following details:

   a. **Create User As**: Select the name of the Role from the dropdown for which the privileges have been given to the user for user creation. Central Administrator is given the privilege to create **State Administrator**.
   b. **Select State**: The list of all the states will populate in the dropdown for user's selection. Select the State for which the user must be created.

ii. **State Administrator:** User will be required to enter the following details:

   a. **Create User As**: Select the name of the Role from the dropdown for which the privileges have been given to the user for user creation. State Administrator is given the privilege to create **Department Administrator**.
   b. **User to be created for**: Select whether the user must be created for **Line Department or Local Government Body**. If the user selects:

      - **Line Department:** Enter the following details:

         - **Select Line Department**: Select the Line Department from the dropdown. All the Line Departments which exist in the State will be listed.
         - **Select Sub-Ordinate office**: Select the Sub-ordinate Office for which the user must be created. Only the Office Names which exist at the State level will be populated.
         - **User to be created at**: Select whether the user must be created for **All Offices or Specific Office**. If it is All Offices, then a user will be created for each office that

exists at the State level otherwise the user would be shown the name of the office and select the ones for which the user must be created.

- **Local Government Body:** Enter the following details:
    - **Category Type:** Select Category Type from RLB for which the user must be created.

iii. **Department Administrator:** User will be required to enter the following details:

a. **Create User As**: Select the name of the Role from the dropdown for which the privileges have been given to the user for user creation. By default, the Department Administrator is given the privileges to create **an Office Administrator, but additional roles can be assigned such as Workflow Player**.
b. **Line Department:** If the Department Administrator has been created for Line Department, then the name of the Line Department will populate in a read-only mode. This will only populate in the case of Line Department.
c. **Select Sub-Ordinate Office:** Depending on the type (Line Department/Local Government Body), the Sub-ordinate Office will populate. If it involves Line Department, then All the Sub-ordinate Offices which have been defined for the department will populate whereas if it involves Local government Body, then the entity levels such as ZP/BP/GP will populate in the dropdown. Select the Sub-ordinate Office for which the user must be created. The Sub-ordinate Office can exist in the District, Sub District, Village level etc.
d. **User to be created at**: Select whether the user must be created for **All Offices or Specific Office**. If it is:

    - **All Offices**: A user will be created for each office unit belonging to the Sub-Ordinate Office.
    - **Specific Office:** Based on the selected level of Subordinate Office, options will be provided to derive the offices of the selected sub-ordinate office. The user will be required to select one or more offices for which the user has to be created. Thus, there will be an office Administrator created for each office unit. **For e.g.,** if Sub-ordinate office level is selected as Village, then option will be there to select State, based on State selection Districts will be listed, upon District selection Sub District will be listed and upon Sub District selection all the Village level office will populate. The user can select All or Specific office.

iv. **Office Administrator:** User will be required to enter the following details:

a. **Create User As**: Select the name of the Role from the dropdown for which the privileges have been given to the user for user creation. The Office Administrator is given the privilege to create **a Workflow Player**.
b. **Designation:** Select the Designation for which the users must be created. All the Designations which exist at the Office Level will be populated here.
c. **No. of users At Location:** Select the number of users which must be created for a particular designation. The user can select the count from the dropdown.

5. Click the **Save** button to save the details and create the users. As the user(s) get created, Administrator will receive a mail on the Email ID registered against the logged in Administrator's Profile details with an attached Excel file consisting of system generated Login credentials (User ID and password) for the newly created user(s). The Excel sheet is password protected. For opening the Excel sheet, admin must enter the first four characters of the Name along with last four digits of the Mobile number registered against the Profile of the admin.
6. You may also click on **Close** button to discard the details and close the Create User page.

Post-Condition

- Upon clicking **save** button, data will be saved in the database and a message "User Created Successfully. Username and password for the newly created users have been sent to the Email: {email address}" will appear where the Email address would be the Email ID registered against the creator Admin's Profile.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.
- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the form fields will be cleared.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	The Field Is Required	This message is displayed when the user attempts to save without entering any data in the mandatory fields	Enter relevant data in the mandatory fields.

		marked with *.	
2	Line Departments have not been defined for this State	This message is displayed when the user attempts to select User to Be Created for as Line Department, but no line departments have been specified for this state.	Enter the Line Department in Local Government Directory.
3	Office Name not Found	This message is displayed when the user selects the Sub-Ordinate office, but the Office units have not been defined in the Sub-ordinate office.	Create the office units for the selected Sub-Ordinate Office level.
4	Designations have not been defined for this Office.	This message is displayed when the Office Administrator creates user(s) for Workflow Player but designations have not been specified.	Enter the Designations in LGD for this Office.

5.3.2 Manage User

Brief Description

The main purpose of this form is to allow you to manage the users created by the logged in Admin. When you click on **Manage** in the User Management, the Manage User form appears. This form allows the admin to **approve the users**, **view their Profile details or Assign the Role.**

Various Roles and the privileges assigned to them are:

Centre Administrator has the privilege to manage user(s) for State Admin and may act such as View, Approve and Assign Role.

The State Administrator has the privilege to manage user(s) for Department Admin in case of Line Department and RLB Admin in case of Local Government Body and may act such as View, Approve and Assign Role.

Department Administrator has the privilege to manage user(s) for Office Administrator i.e. Admin for each Office and may act such as View, Approve and Assign Role.

The Office Administrator has the privilege to manage user(s) Workflow Player i.e. designated officers and may act such as View, Approve and Assign Role.

In **Fig 5.3.2.1**, you can see the sample screen shot of the Manage User page when **Centre Administrator** logs in and manages the users created for State Administrator.

Manage User

Export To Spread Sheet

10 entries per page Search:

S.No.	User Login Id	State Name	Designation	Status	Created on	Profile Status	Action			
							Assign Role	View	Approved	Active Deactive
1	ap.admin@nic.in	Andhra Pradesh	Administrator	Approved	30-10-2017 17:29:56					
2	tripura.admin@epri.in	Tripura	Administrator	Approved	16-6-2020 0:13:56					
3	sk.admin@epri.in	Sikkim	Administrator	Approved	18-6-2020 18:26:33					
4	ts.admin@epri.in	Telangana	Administrator	Approved	22-6-2020 17:48:12					

Fig 5.3.2.1

In **Fig 5.3.2.2**, you can see the sample screen shot of the Manage User page when **State Administrator** logs in and manages the users created for Department Administrator.

Manage User

Export To Spread Sheet

10 entries per page Search:

S.No.	User Login Id	Location	Designation	Status	Created on	Profile Status	Action			
							Assign Role	View	Approved	Active Deactive
1	spmucprre-ap@nic.in	RLB	Administrator	Approved	30-10-2017 17:36:14					
2	auditonline.ap@gmail.com	State Audit Department	Administrator	Approved	6-11-2017 10:27:55					
3	AP001506	State Audit Department	Administrator	User Pending For Profile Submission	18-6-2020 15:14:44					
4	AP001507	State Audit Department	Administrator	User Pending For Profile Submission	18-6-2020 18:25:5					

Fig 5.3.2.2

<u>Pre-Condition</u>

You must login into the system and have the privilege to Manage user(s). You can open the **Manage User** form by clicking the **User Management → Manage User** option available on the left menu.

Flow of Form

To Manage User, you need to follow the steps given below:

1. You should login into the application as **Centre Administrator, State Administrator, Department Administrator** and **Office Administrator** and have privilege to **Manage User.**
2. Click the **User Management -> Manage** option available on the left menu. The Manage form will appear.
3. The user will be able to see the following information depending on the role assigned:

   i. **Central Administrator:** User will be able to see the details such as User Login ID, Location name, Designation type, Status, created on, Profile Status and Action (**Assign Role, View, Approve and Active/Deactive**) in the form of grid.

   ii. **State Administrator:** User will be able to see the details such as User Login ID, Location name (RLB/Line Department Name), Designation type, Status, created on, Profile Status and Action (**Assign Role, View, Approve and Active/Deactive**) in the form of grid.

   iii. **Department Administrator:** User will be able to see the details such as User Login ID, Location name (ZP/BP/GP/Office Level Name), Designation type, Status, created on, Profile Status and Action (**Assign Role, View, Approve and Active/Deactive**) in the form of grid. E.g. If the user is of type ZP, then the Office Name will show the name of the ZP and if the user is for Line Department and the user type is Circle Office, then the Office name will show the name of the office such as Circle Office Thiruvananthapuram.

   i. **Office Administrator:** User will be able to see the details such as User Login ID, Location name, Designation type, Status, created on, Profile Status and Action (**Assign Role, View, Approve and Active/Deactive**) in the form of grid.

4. The following details will be shown:

   i. **User Login ID**: The user Login ID of the user will be listed here. Initially when the user is a newly created user, a system generated sequence would be shown. As the user is updated, the updated user ID will be shown.

   ii. **Location**: The location of the user will depend on the office type for which the user is created and will vary from user to user.

   iii. **Designation**: The designation of a user may either be of an administrator or in case of workflow players (Auditors/Auditee) it could be any designation type applicable which creating a user.

   iv. **Created On**: the date on which the user is created.

   v. **Profile Status**: This would allow the user to use the same account by a different user or we may say the same account may be allotted to multiple profiles (one at a time).

vi. **Status:** Depending on the status of the user whether it is approved or not, the status will be shown. Various Statuses include **User Pending for Profile Submission, User Pending for Email Verification, User Pending for Approval and finally approved.** If it is:

- **User Pending for Profile Submission**: It signifies that the newly created user is yet to fill in the profile details.
- **User Pending for Email Verification:** It signifies that the user is yet to verify the Email.
- **User Pending for Approval:** It signifies that the user has filled in all the details but is yet to be approved. One approved the status changes to Approved.

vii. **Action**: The user can take either of the Action **from Assign Role, View, Approve or Active/Deactive.** User can only be approved when the status is User Pending for Approval. Role can only be assigned when the user has been approved and the status changes to Approved. By default, the user will be created with status User Pending for Profile Submission. User may choose to close the account by deactivating it using (**Active/Deactive).**

<u>Validations/Error Messages</u>

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	User(s) have not been created yet	This message is displayed when the user attempts to Manage the user details when no user has been created.	Create a user and then click on Manage

5.3.2.1 View *User*

Brief Description

The main purpose of this form is to allow you to view the details entered by the users created by the logged in Admin. When you click on **View** in the Manage User Management, the View User form appears. This form allows the admin to **view** the user profile details such as **Name, Designation, Permanent Employee Number, Date of Joining, Email, Mobile Number etc.,**

Various Roles and the privileges assigned to them are:

The Centre Administrator has the privilege to view the details for the State Administrator.
State Administrator has the privilege to view the details for Department Administrator in case of Line Department and RLB Administrator in case of Local Government Body.
Department Administrator has the privilege to view the details for Office Administrator i.e. Admin for each Office.
The Office Administrator has the privilege to view the details of Workflow Player i.e. designated officers.

In **Fig 5.3.2.1.1**, you can see the sample screen shot of the View page.


View User Profile.

First Name	AP
Middle Name	N/A
Last Name	PRRD
Permanent Employee Number	N/A
Designation	Admin
Date Of Joining	2019-01-31
Mobile Number	9989096768
Email Id	dolly.epri@gmail.com

Close

Fig 5.3.2.1.1

Pre-Condition

You must login into the system and have the privilege to View user(s) details. You can open the **View User** form by clicking the **User Management → Manage->View** option available on the left menu.

The **View User** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Name	**Description:** This field is used to specify the name of the user. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Designation	**Description:** This field is used to specify designation of the user. **Validation:** NA **Mandatory/Optional/Read Only:** Read only
5	Date of Joining	**Description:** This field is used to specify the Date of joining of the user in the current office. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Permanent Employee Number (PEN)	**Description:** This field is used to specify the permanent employee number of the user. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Mobile	**Description:** This field is used to specify the Mobile number of the user. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
8	Email	**Description:** This field is used to specify the email of the user. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

View User contains the following buttons as indicated below:

- **Close**: This button allows you to close the View User details page and close the page

Flow of Form

To View user details, you need to follow the steps as given below:

1. You should log in into the application and have the privilege to **View User.**
2. Click the **User Management -> Manage User->View** option available on the left menu.
3. In the Manage User page, click the View icon in front of the User Login ID for which the user details need to be viewed. The **View User** page is displayed on the screen.
4. Once the status of the user is changed to **Pending for Email Verification**, then the View icon may get activated and the admin can view the user details.
5. All the details such as Name, Mobile Number, Designation, Date of joining, Permanent Employee Number and Email will be shown in the read only mode.
6. Click on **Close** button to close the page.

Post-Condition

- Upon clicking Close button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the User will be redirected to the previous screen.

Validations/Error Messages

None

5.3.2.2 Approve *User*

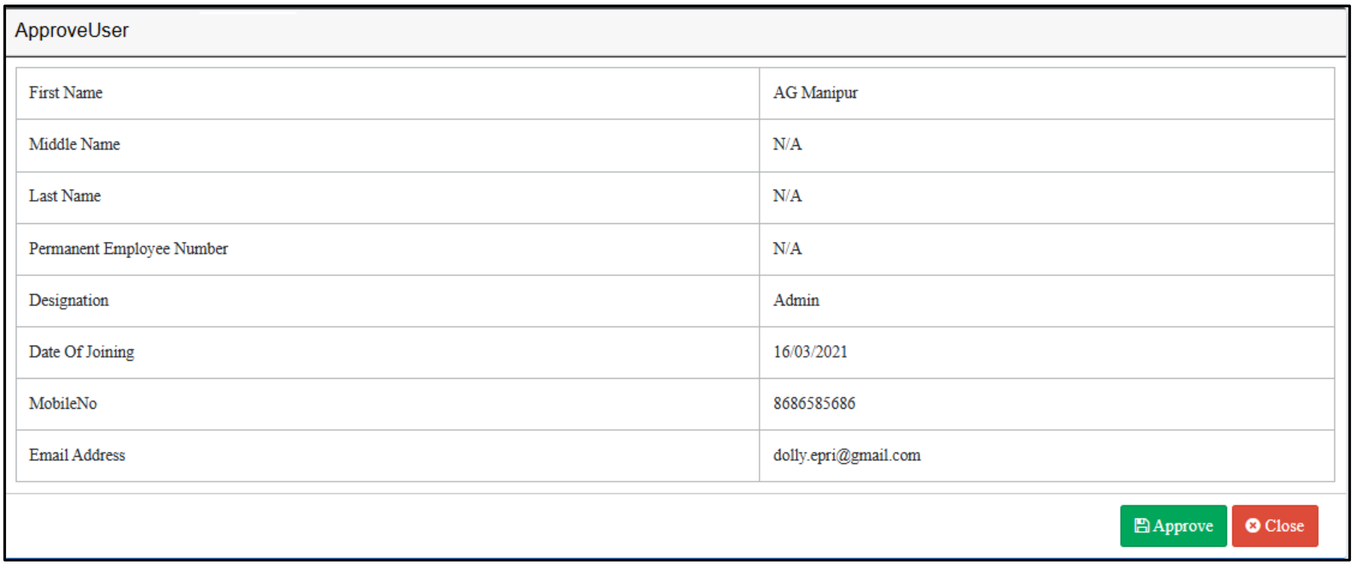
Brief Description

The main purpose of this form is to allow you to approve the users created by the logged in Admin. When you click on **Approve** in the Manage User Management, the Approve User form appears. This form allows the admin to **approve the user.**

Various Roles and the privileges assigned to them are:

The Centre Administrator has the privilege to approve user(s) for State Administrator.
State Administrator has the privilege to approve user(s) for Department Administrator in case of Line Department and RLB Administrator in case of Local Government Body.
Department Administrator has the privilege to approve user(s) for Office Administrator i.e. Admin for each Office.
The Office Administrator has the privilege to approve the user(s) for Workflow Player i.e. designated officers.

In **Fig 5.3.2.2.1**, you can see the sample screen shot when Centre Administrator logs into the system and clicks on Approve user.


ApproveUser

First Name	AG Manipur
Middle Name	N/A
Last Name	N/A
Permanent Employee Number	N/A
Designation	Admin
Date Of Joining	16/03/2021
MobileNo	8686585686
Email Address	dolly.epri@gmail.com

Approve Close

Fig 5.3.2.2.1

Pre-Condition

You must login into the system and have the privilege to Approve user(s). You can open the **Approve User** form by clicking the **User Management → Manage->Approve** option available on the left menu.

Approve User form contains the following buttons as indicated below:

- **Approve**: This button allows you to approve the user.
- **Close**: This button allows you to abort the Approve User operation and close the page.

Flow of Form

To approve user(s), you need to follow the steps as given below:

1. You should login into the application and have the privilege to **Approve User(s).**
2. Click the **User Management-> Manage User->Approve** option available on the left menu.
3. In the Manage User page, click the Approve icon in front of the User Login ID for which the user needs to be approved The **Approve User** form is displayed on the screen.
4. When the status of the user is changed to **Pending for Approval**, then the Approve icon may get activated and the admin can approve the user.
5. Information such as Name, Designation, Permanent Employee Number, Email, Mobile Number etc., can be viewed.
6. Admin can click on Approve button to approve the user or may click on Close button to close the approve user form.
7. Once the user is approved, the user can operate on the various privileges assigned to the

user by the default role assigned. Various other roles can be assigned to the approved user.

Post-Condition

- Upon clicking **Approve** button, user will be approved in the database and a message "User Approved Successfully.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

None

5.3.2.3 Assign *Role*

Brief Description

The main purpose of this form is to allow you to assign the roles to the users created by the logged in Admin. When you click on **Assign Role** in the Manage User Management, the Assign Role form appears. This form allows the admin to **Assign the Role to the created user.**

The following are the roles in Audit Online:

Types of Users (1)	**Default Privileges (2)**	**Additional Privileges which can be assigned to Type of User (1)**
Centre Administrator	State Administrator	-
State Administrator	Department Administrator	Process Flow, Category/Fact Sheet, Notification Template, User hierarchy Report , MIS Report
Department Administrator	Office Administrator	Workflow Player, Process Flow, Category/Fact Sheet, Assign Auditee/Team, Notification Template, User hierarchy Report, Transfer Module, MIS Report, Download CMS
Office Administrator	Workflow Player	Assign Auditee/Team, Notification Template, User hierarchy Report, Transfer Module, MIS Report, Generated Report Division, Generated Report District, Generated Report DPRO
Workflow Player	-	Record Observations, User hierarchy Report, MIS Report, Audit Requisition

Centre Administrator has the privilege to assign role(S) for State Administrator.

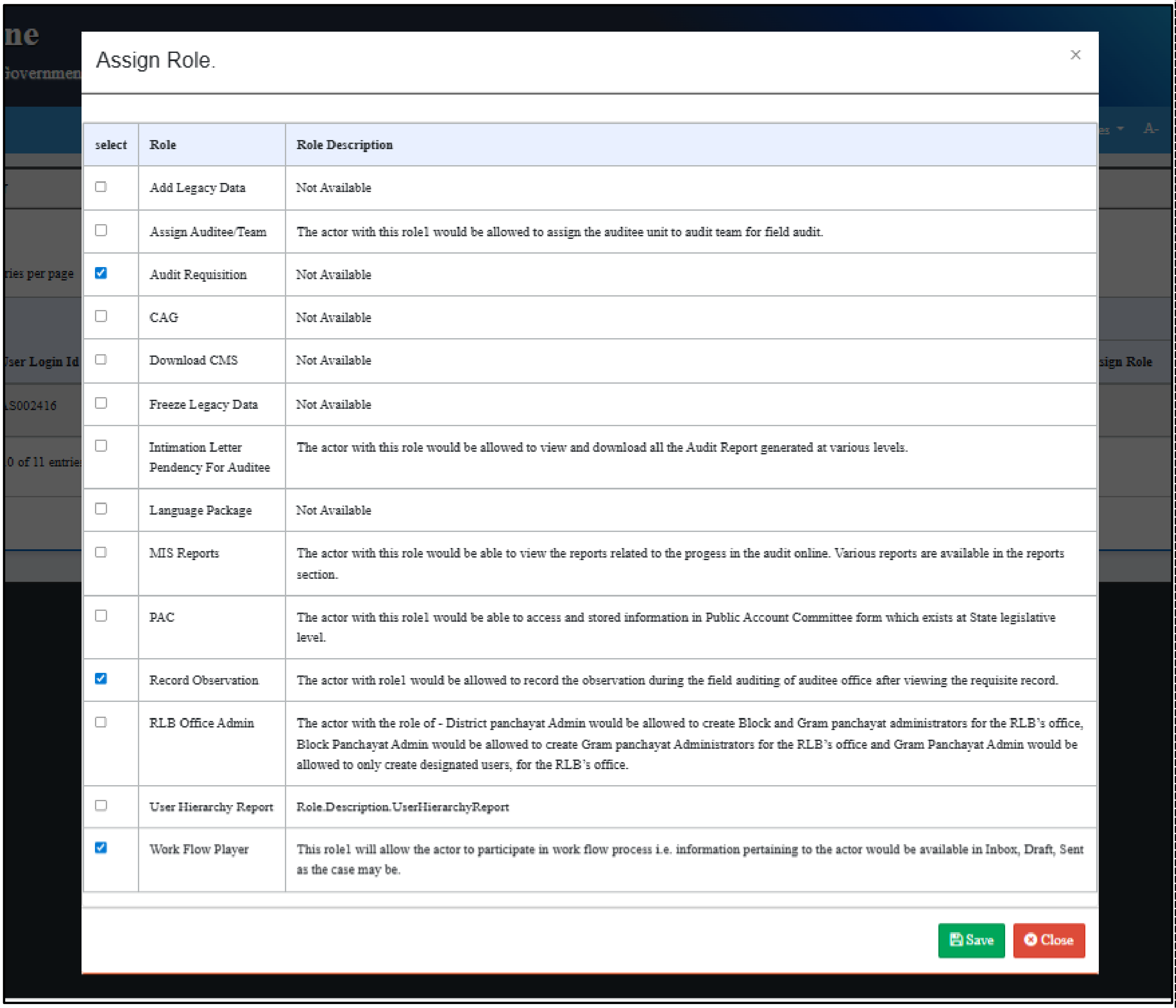
State Administrator has the privilege to assign role(s) for Department Administrator in case of Line Department and RLB Administrator in case of Local Government Body.

Department Administrator has the privilege to assign role(s) for Office Administrator i.e. Admin for each

Office.

<u>The Office Administrator</u> has the privilege to assign role(s) for Workflow Player i.e. designated officers.

In **Fig 5.3.2.3.1**, you can see the sample screen shot of the Assign Role page.



Assign Role.

select	Role	Role Description
☐	Add Legacy Data	Not Available
☐	Assign Auditee/Team	The actor with this role1 would be allowed to assign the auditee unit to audit team for field audit.
☑	Audit Requisition	Not Available
☐	CAG	Not Available
☐	Download CMS	Not Available
☐	Freeze Legacy Data	Not Available
☐	Intimation Letter Pendency For Auditee	The actor with this role would be allowed to view and download all the Audit Report generated at various levels.
☐	Language Package	Not Available
☐	MIS Reports	The actor with this role would be able to view the reports related to the progess in the audit online. Various reports are available in the reports section.
☐	PAC	The actor with this role1 would be able to access and stored information in Public Account Committee form which exists at State legislative level.
☑	Record Observation	The actor with role1 would be allowed to record the observation during the field auditing of auditee office after viewing the requisite record.
☐	RLB Office Admin	The actor with the role of - District panchayat Admin would be allowed to create Block and Gram panchayat administrators for the RLB's office, Block Panchayat Admin would be allowed to create Gram panchayat Administrators for the RLB's office and Gram Panchayat Admin would be allowed to only create designated users, for the RLB's office.
☐	User Hierarchy Report	Role.Description.UserHierarchyReport
☑	Work Flow Player	This role1 will allow the actor to participate in work flow process i.e. information pertaining to the actor would be available in Inbox, Draft, Sent as the case may be.

Save Close

Fig 5.3.2.3.1

<u>Pre-Condition</u>

You must login into the system and have the privilege to Assign Role to the newly created and approved user(s). You can open the **Assign Role** form by clicking the **User Management → Manage->Assign Role** option available on the left menu.

The **Assign Role** contains the following fields as indicated below:

Sr. No.	Field Name	Description

1	Select	**Description:** This field is used to select the role which must be assigned to the user. A role is assigned to the user by default. For additional roles, select the role name which must be assigned. **Validation: NA** **Mandatory/Optional/Read Only:** Mandatory
2	Role Name	**Description:** This field is used to specify the role name which must be assigned to the user. All the roles which have been privileged to assign to the logged in user will be shown. **Validation: NA** **Mandatory/Optional/Read Only:** Read Only
3	Role Description	**Description:** This field is used to specify the role description briefing about the tasks which can be performed with this role. **Validation: NA** **Mandatory/Optional/Read Only:** Read Only

Assign Role form contains the following buttons as indicated below:

- **Save**: This button allows you to save the role(s) assigned to the user.
- **Close**: This button allows you to abort the Assign Role operation and close the page.

Flow of Form

To Assign Role to the user(s), you need to follow the steps as given below:

1. You should login into the application and have privilege to **assign Role to the User(s).**
2. Click the **User Management-> Manage User->Assign Role** option available on the left menu.
3. In the Manage User page, click the Assign Role icon against the username for which the role must be assigned. All the roles which can be assigned to the user will be listed. One or more roles can be assigned to the user. The role can only be assigned when the user is approved.
4. The user can click on **Save** button to save the details of the roles assigned to the user or may click on **Close** button to close the page.

Post-Condition

- On clicking **Save** button, data will be saved and a message “Data Saved Successfully” will appear.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will

appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Select at least one role.	This message is displayed when the user attempts to save without selecting at least one role for the user.	Assign at least one role to the user.

5.4 Department/State Administrator

5.4.1 Audit Configuration

5.4.1.1 Add

Brief Description

The main purpose of this form is to allow you to define the Audit configuration. Audit configuration will include specifying information like type of audit (Internal/External) and who will be the corresponding Auditor and Auditee for each type of office that exists at various levels. This is a onetime process for specifying the possible Auditor and Auditee and type of Audit being performed. Configuration can be defined by the department who has been assigned the role of Auditing or the department for which the Audit must be done. This is the first step in configuring the system for performing the audit of a particular department.

In **Fig 5.4.1.1.1**, you can see a sample screen shot of the **Add Audit Configuration** form that appears when you logged in as **Department Administrator/State Administrator**. The field marked with the * symbol mandatory and must contain some value.

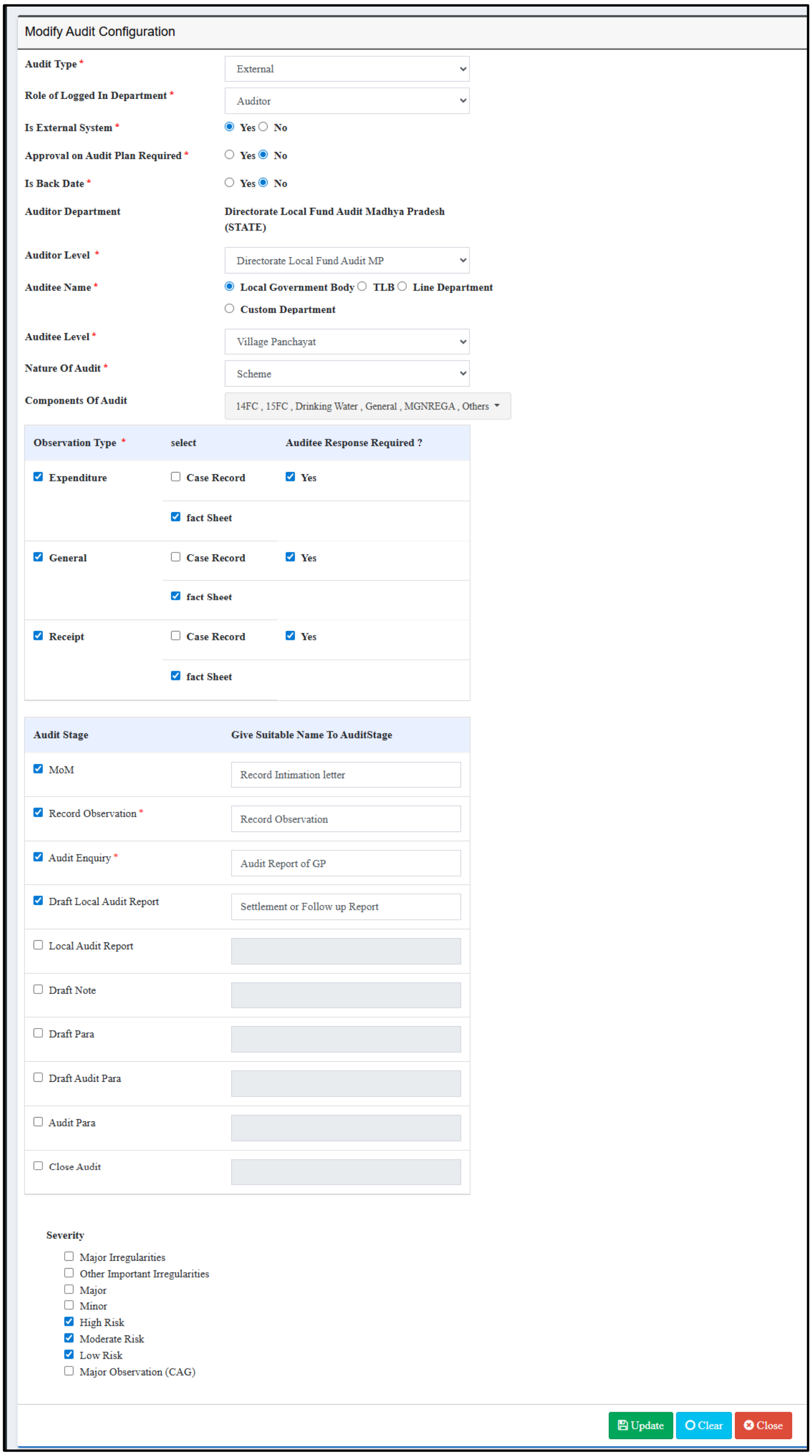


Fig 5.4.1.1.1

Pre-Condition

You should log in into the application as **Department Administrator/State Administrator** and have privilege to **Add Audit Configuration**. The department for which the audit must be performed shall exist on the system by defining the department hierarchy in the LGD (Local Government Directory). You can open the **Add Audit Configuration** form by clicking the **Audit Configuration** → **Add** option available on the left menu.

The Add Audit Configuration form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Type	**Description:** This field is used to select the audit type amongst Internal or External from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Role of logged in Department	**Description:** This field is used to specify the role of logged in department amongst Auditor or Auditee from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Is External System Required	**Description:** This field is used to specify whether integration with any external system is required for viewing of data at the time of audit. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Approval on Audit Plan Required	**Description:** This field is used specifically for Uttar Pradesh state for approving/freezing the audit plans prepared by District administrator at Division level of that District. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
5	Is Back Date	**Description:** This field is used to specify whether the Back Date entry is needed for years before the onboarding year period. Upon selection a dropdown financial year list is made available to choose the starting year for the same. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
6	Auditor Department	**Description:** This field is used to specify the name of Auditor Department. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

7	Auditor Level	**Description:** This field is used to specify the Auditor level from the list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Auditee Name	**Description:** This field is used to specify the name of Auditee from Either of the Local Government Body, Tribal Local Government body or Line Department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
9	Auditee Level	**Description:** This field is used to specify the Auditee level from the list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
10	Nature of Audit	**Description:** This field is used to specify the audit nature type which may be selected from the dropdown list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
11	Components of Audit	**Description:** This field is used to specify/select the components based on the value selected in Nature of Audit, the dropdown list to choose from the components values defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
12	Observation Type	**Description:** This grid is to define/select fields (Expenditure/General/Receipts) to specify the components under which the auditors may record their observations for. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
13	Audit Stage	**Description:** This field is used to specify/select various stages which may be applicable for the Audit process and under which the definition of process flow would be done later.

		Validation: NA **Mandatory/Optional/Read Only:** Mandatory
14	Severity	**Description:** This field is used to specify/select the severity types which would be made applicable for the Auditors to choose from the values defined in the system. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Add Audit Configuration form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the add Audit Configuration operation details and will close the page.

Flow of Form

To add Audit Configuration, you need to follow the steps given below:

1. You should login into the application as **Department Administrator/State Administrator** and have privilege to add Audit Configuration.
2. The Audit configuration details will be defined by Department Admin/ State Admin based on the following scenarios:
   i. When the audit is done by the Line Department for a Line Department, then configuration will be defined by Department Admin. The Department Admin could be either of the Auditors who is going to perform the audit or could be of Auditee for which the Audit will be done.
   ii. When the audit is done by the Line Department for Panchayat or vice versa, then configuration will be defined either by Department Admin or State Admin.
   iii. When the audit is done by the Panchayat, for a Panchayat, then configuration will be defined by State Admin.
3. Click the **Audit Configuration -> Add** option available on the left menu. The add form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
4. Enter the details in the following fields:
   i. **Audit Type**: Select the type of Audit (**Internal or External**) from the dropdown.
   ii. **Role of logged in Department**: Select the role amongst **Auditor** or **Auditee** from the dropdown. If the Auditor Department is defining the configuration, then select role of logged in Department as Auditor otherwise if Auditee Department is defining the configuration, select Auditee.
   iii. **Is External system required**- If the audit involves integrating with the external system for fetching and showcasing the data, select yes otherwise No.
   iv. **Approval on Audit Plan required**- Applicable for only Uttar Pradesh state exceptionally.

v. **Is Back Date:** If the audit involves entering previous years data at the time of onboarding on the platform, select yes otherwise No. If selected Yes, then additional field is populated for financial year selection.

vi. **Auditor Department:** This will auto populate with the name of the department from which the user has logged into the system.

vii. **Auditor level**: User will select this from the dropdown. All the levels at which the offices exist at various levels will be populated.

viii. **Auditee Name**: User will select from the radio button amongst **Local Government Body** or **Line Department**. When the user has selected Auditee Name as Line Department, then user will be asked to select the name of the Department and Auditee Level from the dropdown whereas if the user has selected Local Government Body, then the user will select the Auditee level only.

ix. **Auditee level**: User will select level from the dropdown. This dropdown will populate values based on Auditee Name.

x. **Nature of Audit:** User will select the audit nature type from the dropdown made available.

xi. **Components of Audit**: Value selected in Nature of Audit which led to selection of the components applicable for the same.

Also, select the values for **Observation type grid**, **Audit stages** and **Severity** then,

5. Click the **Save** button to save the details
6. You may also click on **Close** button to discard the details and close the Add Audit configuration page.

Post-Condition

- Upon clicking **Save** button, data will be saved in the database and a message “Data Saved Successfully” will appear.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.
- Upon clicking **Clear** button, a message “All details entered in the form would be lost. Do you want to continue?” will appear. Upon confirmation, the form fields will be cleared.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action

1	The Field is Required	This message is displayed when the user attempts to save without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	Audit configuration for the selected Auditor-Auditee combination already exists	This message is displayed when the user attempts to save the details with the same Auditor-Auditee Combination which already exists	NA

5.4.1.2 Manage

Brief Description

The main purpose of this form is to allow you to Manage Audit configuration details. When you click on **Manage** in the **Audit Configuration**, the Manage Audit configuration form appears. This form allows you to search the audit configuration based on **Audit type and Auditee Department** search parameter and thereby take necessary actions such as View, Modify and Delete.

In Fig. **5.4.1.2.1**, you can see a sample screen shot of **Manage Audit configuration** form that appears when you logged in as **Department Administrator/State Administrator**.

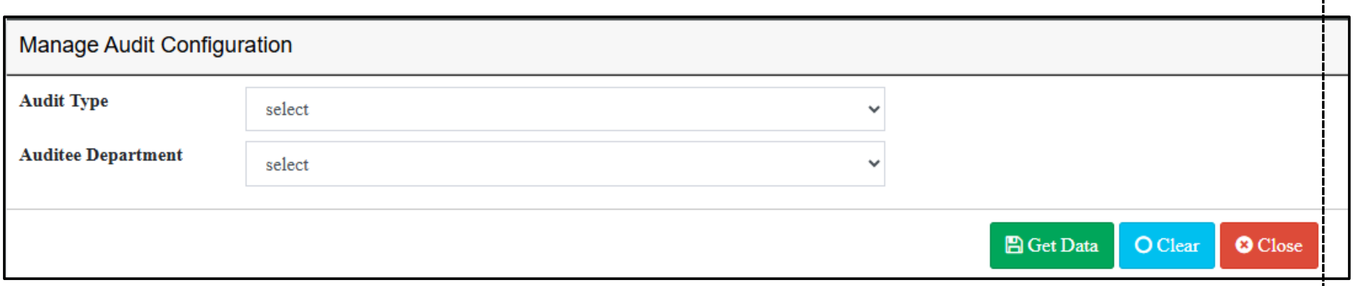
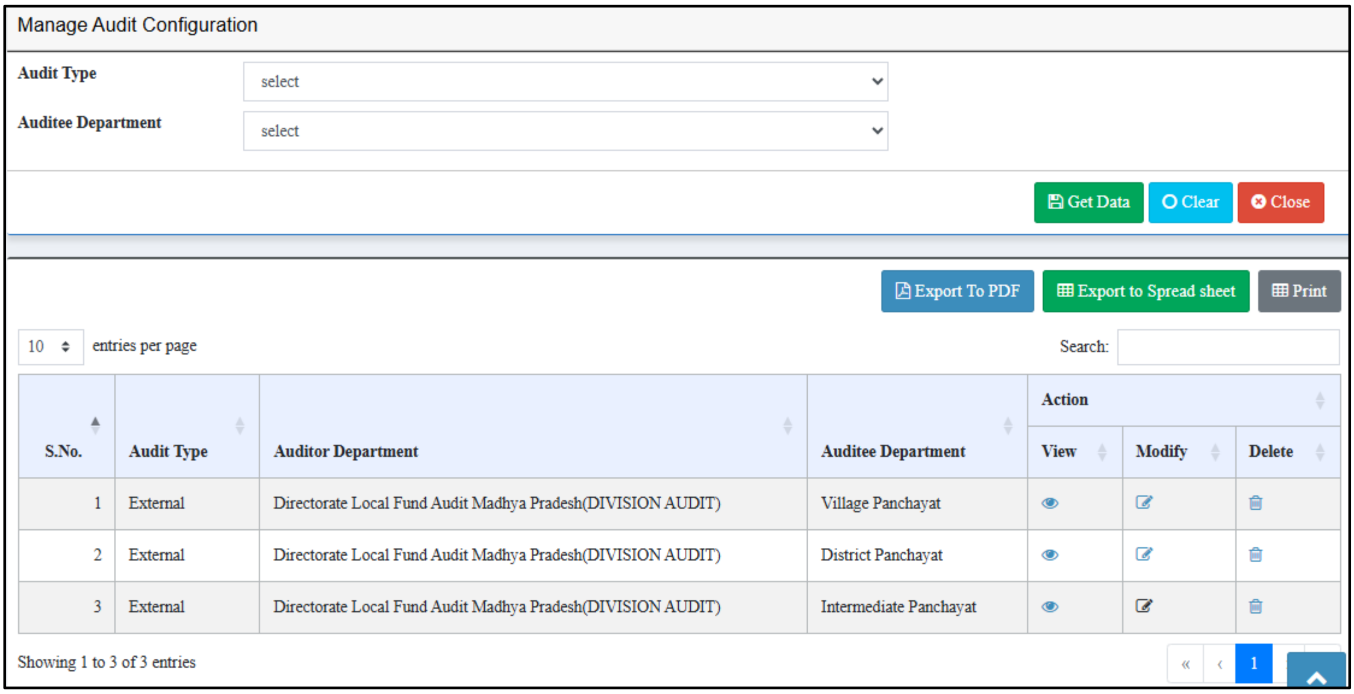


Fig: 5.4.1.2.1

On selecting the desired search parameter from the dropdown for which details need to be managed and clicking on Get Data button; the details will be populated as shown in **Fig: 5.4.1.2.2.** The user can click on View, Modify or Delete to take the necessary action.



Manage Audit Configuration

Audit Type: select

Auditee Department: select

Get Data | Clear | Close

Export To PDF | Export to Spread sheet | Print

10 entries per page

Search:

S.No.	Audit Type	Auditor Department	Auditee Department	Action		
				View	Modify	Delete
1	External	Directorate Local Fund Audit Madhya Pradesh(DIVISION AUDIT)	Village Panchayat			
2	External	Directorate Local Fund Audit Madhya Pradesh(DIVISION AUDIT)	District Panchayat			
3	External	Directorate Local Fund Audit Madhya Pradesh(DIVISION AUDIT)	Intermediate Panchayat			

Showing 1 to 3 of 3 entries

« ‹ 1

Fig: 5.4.1.2.2

Pre-Condition

You should login into the application as a **Department Administrator/State Administrator** and have privilege to **Manage Audit Configuration**. You can open the Manage Audit Configuration form by clicking the **Audit Configuration → Manage** option available on the left menu.

The Manage Audit configuration form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Type	**Description:** This field is used to select the audit type (Internal/External). **Validation:** NA **Mandatory/Optional/Read Only:** Optional

2	Auditee Department	**Description:** This field is used to specify the name of Auditee Department **Validation:** All the names of the Auditee Department would be listed for which configuration has been defined by the logged in Department admin **Mandatory/Optional/Read Only:** Optional

Manage Audit Configuration form contains the following buttons as indicated below:

- **Get Data**: This button allows you to display the list of defined Audit configuration.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the manage Audit Configuration operation details and will close the page.

Flow of Form

To Manage Audit configuration, you need to follow the steps given below:

1. You should login into the application as **Department Administrator/State Administrator** and have privilege to **Manage Audit configuration.**
2. The Audit configuration details will be managed by Department Admin/ State Admin based on the following scenarios:
   i. When the audit is done by the Line Department for a Line Department, then configuration will be managed by Department Admin. The Department Admin could be either of the Auditors who is going to perform the audit or could be of Auditee for which the Audit will be done.
   ii. When the audit will be done by the Line Department for Panchayat or vice versa, then configuration can be managed both by Department Admin and State Admin.

3. Click the **Audit Configuration -> Manage** option available on the left menu. The Manage form will appear.
4. Select the desired Audit Type and Auditee Department for which details need to be managed.
5. Click the **Get Data** button to get the audit configuration details. The search results are shown in the **Manage Audit Configuration** details form. The user can see information such as Audit

   Type, Auditor Department, Auditee Department and Action (**View, Modify and Delete**) in the form of grid.
6. Click Modify, View or Delete against the Auditee Department name to take the required

action.

7. Click on **Close** button to close the Manage Audit configuration page or **Clear** to clear the values entered in the search criteria.

Post-Condition

- Upon clicking **Get Data** button, audit configuration details are displayed, and the user can take the necessary action from View, Modify, and Delete.
- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the details entered in the form fields will be cleared.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	No Audit Configuration has been defined yet	This message is displayed when the user attempts to Get Data when Audit Configuration has not been defined yet	Define an audit configuration and then click on Get Data

5.4.1.2.1 Modify Audit Configuration

Brief Description

The main purpose of this form is to allow you to Modify Audit configuration details. When you click on **Modify** in the **Manage Audit configuration**, the Modify Audit configuration form appears. This form displays details such as Audit type and who will be the corresponding Auditor and Auditee and allows you to make desired changes.

In **Fig. 5.3.1.2.1.1** you can see a sample screen shot of **Modify Audit configuration** form that appears when you logged in as **Department Administrator/State Administrator**. The field marked with the * symbol is mandatory and must contain some value.

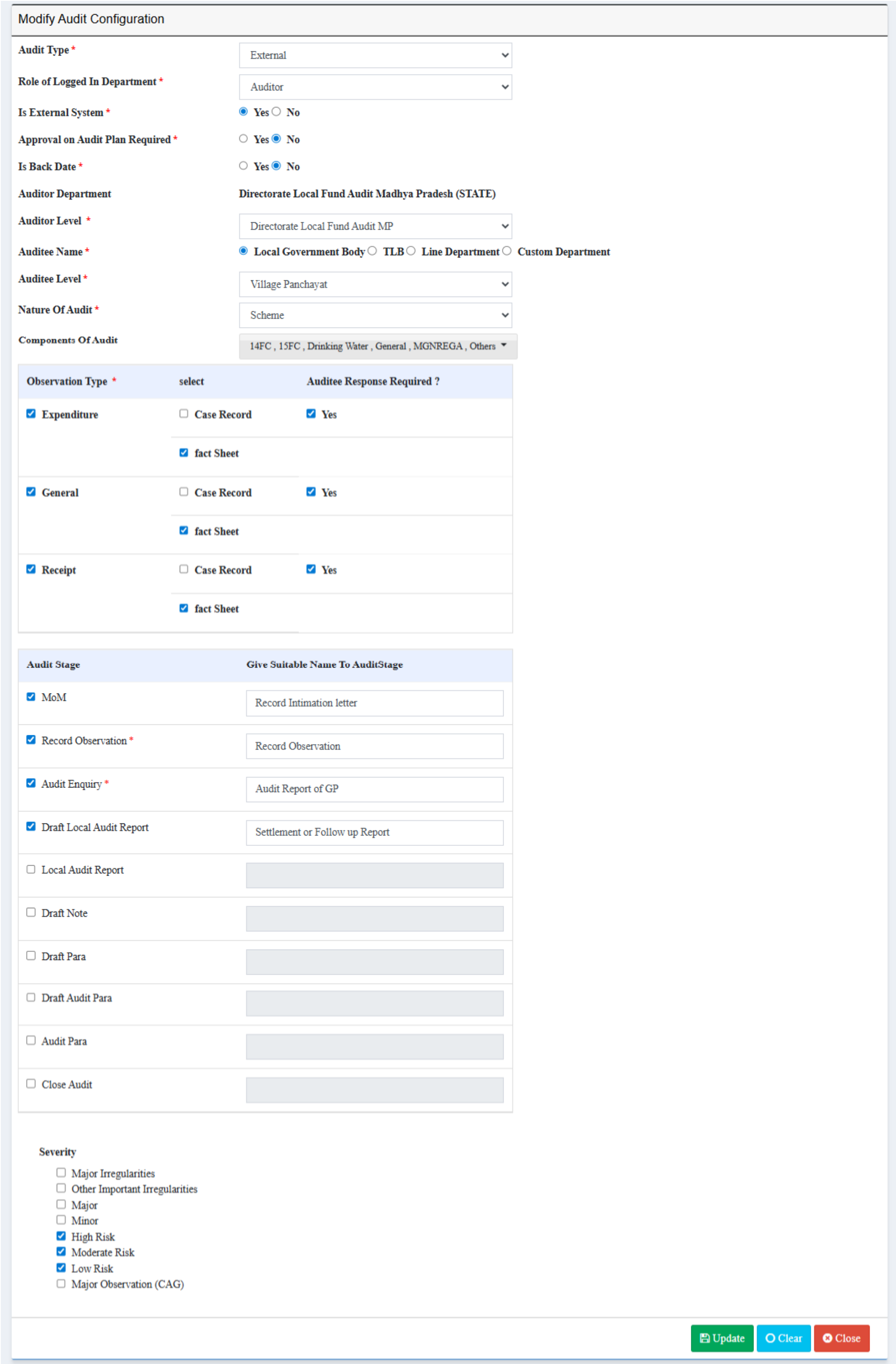


Fig. 5.4.1.2.1.1

Pre-Condition

You should login into the application as a **Department Administrator/State Administrator** and have privilege to **Modify Audit configuration**. You can modify the Audit configuration details when the details have already been added. You can open the **Modify Audit configuration** form by clicking the **Audit Configuration → Manage→ Modify** option available on the left menu.

The Modify Audit configuration form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Type	**Description:** This field is used to select the audit type amongst Internal or External from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Role of logged in Department	**Description:** This field is used to specify the role of logged in department amongst Auditor or Auditee from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Is External System Required	**Description:** This field is used to specify whether integration with any external system is required for viewing of data at the time of audit. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Approval on Audit Plan Required	**Description:** This field is used specifically for Uttar Pradesh state for approving/freezing the audit plans prepared by District administrator at Division level of that District. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
5	Is Back Date	**Description:** This field is used to specify whether the Back Date entry is needed for years before the onboarding year period. Upon selection a dropdown financial year list is made available to choose the starting year for the same. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
6	Auditor Department	**Description:** This field is used to specify the name of Auditor Department. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Auditor Level	**Description:** This field is used to specify the Auditor level from the list of levels defined in the system for the department. **Validation:** NA

		Mandatory/Optional/Read Only: Mandatory
8	Auditee Name	**Description:** This field is used to specify the name of Auditee from Either of the Local Government Body, Tribal Local Government body or Line Department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
9	Auditee Level	**Description:** This field is used to specify the Auditee level from the list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
10	Nature of Audit	**Description:** This field is used to specify the audit nature type which may be selected from the dropdown list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
11	Components of Audit	**Description:** This field is used to specify/select the components based on the value selected in Nature of Audit, the dropdown list to choose from the components values defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
12	Observation Type	**Description:** This grid is to define/select fields (Expenditure/General/Receipts) to specify the components under which the auditors may record their observations for. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
13	Audit Stage	**Description:** This field is used to specify/select various stages which may be applicable for the Audit process and under which the definition of process flow would be done later. **Validation:** NA

		Mandatory/Optional/Read Only: Mandatory
14	Severity	**Description:** This field is used to specify/select the severity types which would be made applicable for the Auditors to choose from the values defined in the system. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Modify Audit Configuration form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made
- **Close**: This button allows you to abort the modifying Audit Configuration operation details and will close the page.

Flow of Form

To modify Audit Configuration, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to modify Audit Configuration.
2. The Audit configuration details will be managed by Department Admin/ State Admin based on the following scenarios:
   i. When the audit is done by the Line Department for a Line Department, then configuration will be managed by Department Admin. The Department Admin could be either of the Auditors who is going to perform the audit or could be of Auditee for which the Audit will be done.
   ii. When the audit will be done by the Line Department for Panchayat or vice versa, then configuration can be managed both by Department Admin or State Admin.

3. Click the **Audit Configuration -> Manage-> Modify** option available on the left menu. The modify form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
4. Modify the details in the following fields:

   i. **Audit Type**
   ii. **Role of logged in Department**
   iii. **Is External system required**
   iv. **Approval on Audit Plan required**
   v. **Is Back Date**

vi. **Auditor Department**

vii. **Auditor level**

viii. **Auditee Name**

ix. **Auditee level**

x. **Nature of Audit**

xi. **Components of Audit**

xii. **Observation type grid**

xiii. **Audit stages**

xiv. **Severity**

Post-Condition

- Upon clicking **Update** button, data will be updated and a message "Data Updated Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This field is required.	This message is displayed when the user attempts to update without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	Audit configuration for the selected Auditor-Auditee combination already exists	This message is displayed when the user attempts to update the details with the same Auditor-Auditee Combination that already exists	Same combination of Auditor-Auditee details cannot be added more than once.
3	Audit Configuration has already been used, so cannot modify now	This message is displayed when the user attempts to update the audit configuration details when the configuration has already been used.	Configuration once used cannot be modified.

5.4.1.2.2 View Audit Configuration

Brief Description

The main purpose of this form is to allow you to view Audit configuration details. When you click on **View** in the **Manage Audit configuration**, the view Audit configuration form appears. This form displays details such as Audit type and who will be the corresponding Auditor and Auditee.

In **Fig. 5.4.1.2.2.1** you can see a sample screen shot of **View Audit configuration** form that appears when you logged in as **Department Administrator/State Administrator**.

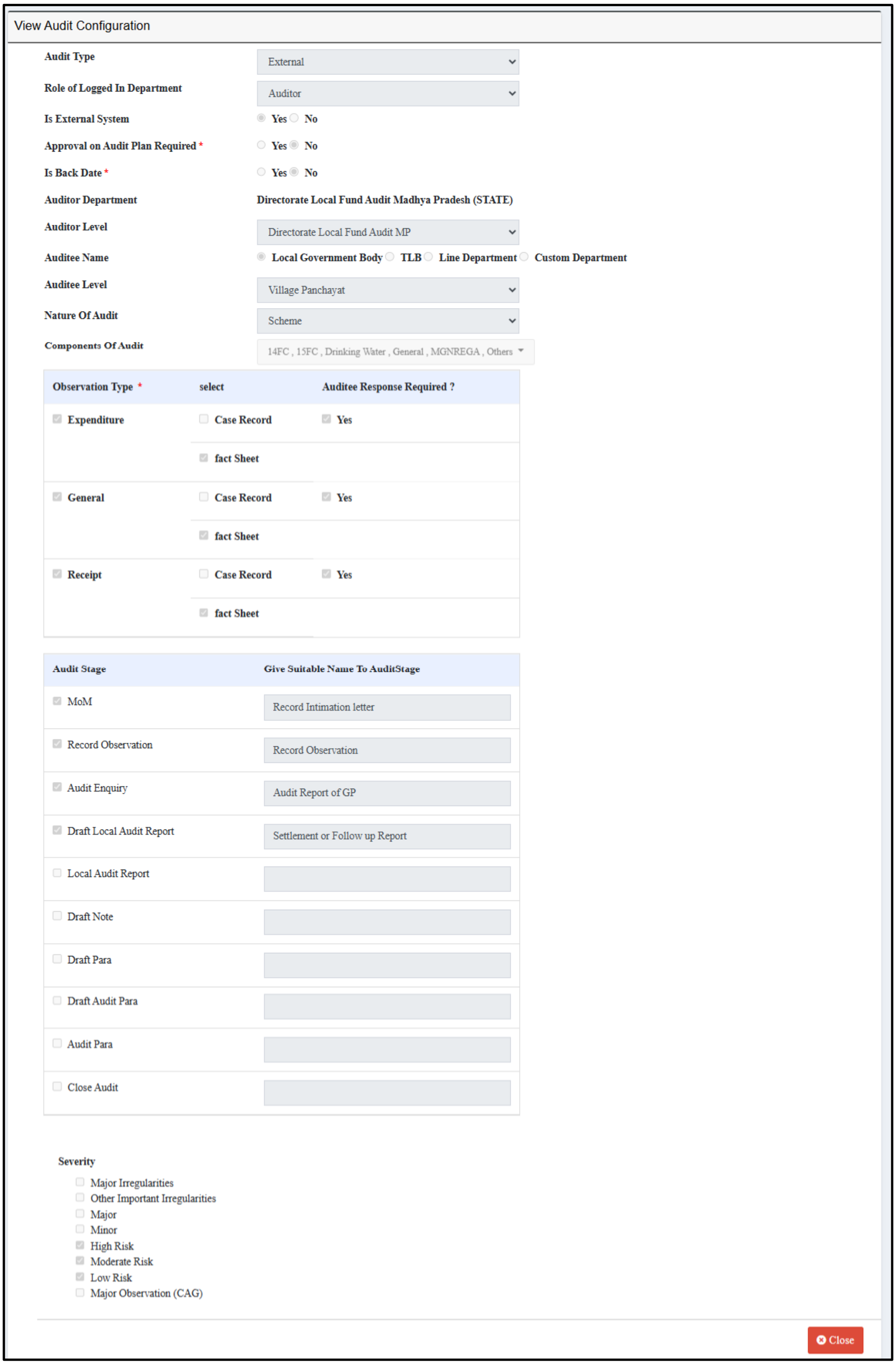


Fig. 5.4.1.2.2.1

Pre-Condition

You should log in into the application as a **Department Administrator/State Administrator** and have privilege to **View Audit configuration**. You can view the Audit configuration details when the details have already been added. You can open the **View Audit configuration** form by clicking the **Audit Configuration → Manage→ View** option available on the left menu.

The view Audit configuration form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Type	**Description:** This field is used to select the audit type amongst Internal or External from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Role of logged in Department	**Description:** This field is used to specify the role of logged in department amongst Auditor or Auditee from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Is External System Required	**Description:** This field is used to specify whether integration with any external system is required for viewing of data at the time of audit. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Approval on Audit Plan Required	**Description:** This field is used specifically for Uttar Pradesh state for approving/freezing the audit plans prepared by District administrator at Division level of that District. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
5	Is Back Date	**Description:** This field is used to specify whether the Back Date entry is needed for years before the onboarding year period. Upon selection a dropdown financial year list is made available to choose the starting year for the same. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
6	Auditor Department	**Description:** This field is used to specify the name of Auditor Department. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

7	Auditor Level	**Description:** This field is used to specify the Auditor level from the list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Auditee Name	**Description:** This field is used to specify the name of Auditee from Either of the Local Government Body, Tribal Local Government body or Line Department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
9	Auditee Level	**Description:** This field is used to specify the Auditee level from the list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
10	Nature of Audit	**Description:** This field is used to specify the audit nature type which may be selected from the dropdown list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
11	Components of Audit	**Description:** This field is used to specify/select the components based on the value selected in Nature of Audit, the dropdown list to choose from the components values defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
12	Observation Type	**Description:** This grid is to define/select fields (Expenditure/General/Receipts) to specify the components under which the auditors may record their observations for. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
13	Audit Stage	**Description:** This field is used to specify/select various stages which may be applicable for the Audit process and under which the definition of process flow would be done later.

		Validation: NA **Mandatory/Optional/Read Only:** Mandatory
14	Severity	**Description:** This field is used to specify/select the severity types which would be made applicable for the Auditors to choose from the values defined in the system. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

View Audit Configuration form contains the following buttons as indicated below:

- **Close**: This button allows you to abort the View Audit Configuration operation details and will close the page.

Flow of Form

To View Audit Configuration, you need to follow the steps given below:

1. You should login into the application as **Department Administrator/State Administrator** and have privilege to view Audit Configuration.
2. The Audit configuration details will be managed by Department Admin/ State Admin based on the following scenarios:
   i. When the audit is done by the Line Department for a Line Department, then configuration will be managed by Department Admin. The Department Admin could be either of the Auditors who is going to perform the audit or could be of Auditee for which the Audit will be done.
   ii. When the audit will be done by the Line Department for Panchayat or vice versa, then configuration can be managed both by Department Admin or State Admin.
3. Click the **Audit Configuration -> Manage-> View** option available on the left menu.
4. After getting the search result in the Manage Audit configuration form, click the View icon in front of the Auditee Department Name to view the details. The View audit configuration details page is displayed on the screen.
5. You can view the details such as Type of Audit, Role of logged in Department, whether external system is required, Auditor Department along with the level, Auditee Department along with the level etc.,
6. Click the **Close** button to close the details.

Post-Condition

- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

None

5.4.1.2.3 Delete Audit Configuration

Brief Description

The main purpose of this form is to allow you to delete Audit configuration details. When you click on **Delete** in the **Manage Audit configuration**, the delete Audit configuration page appears. This page displays details such as Audit type and who will be the corresponding Auditor and Auditee and allows you to delete the configuration details.

In **Fig. 5.4.1.2.3.1** you can see a sample screen shot of **Delete Audit configuration** page that appears when you logged in as **Department Administrator/State Administrator**.

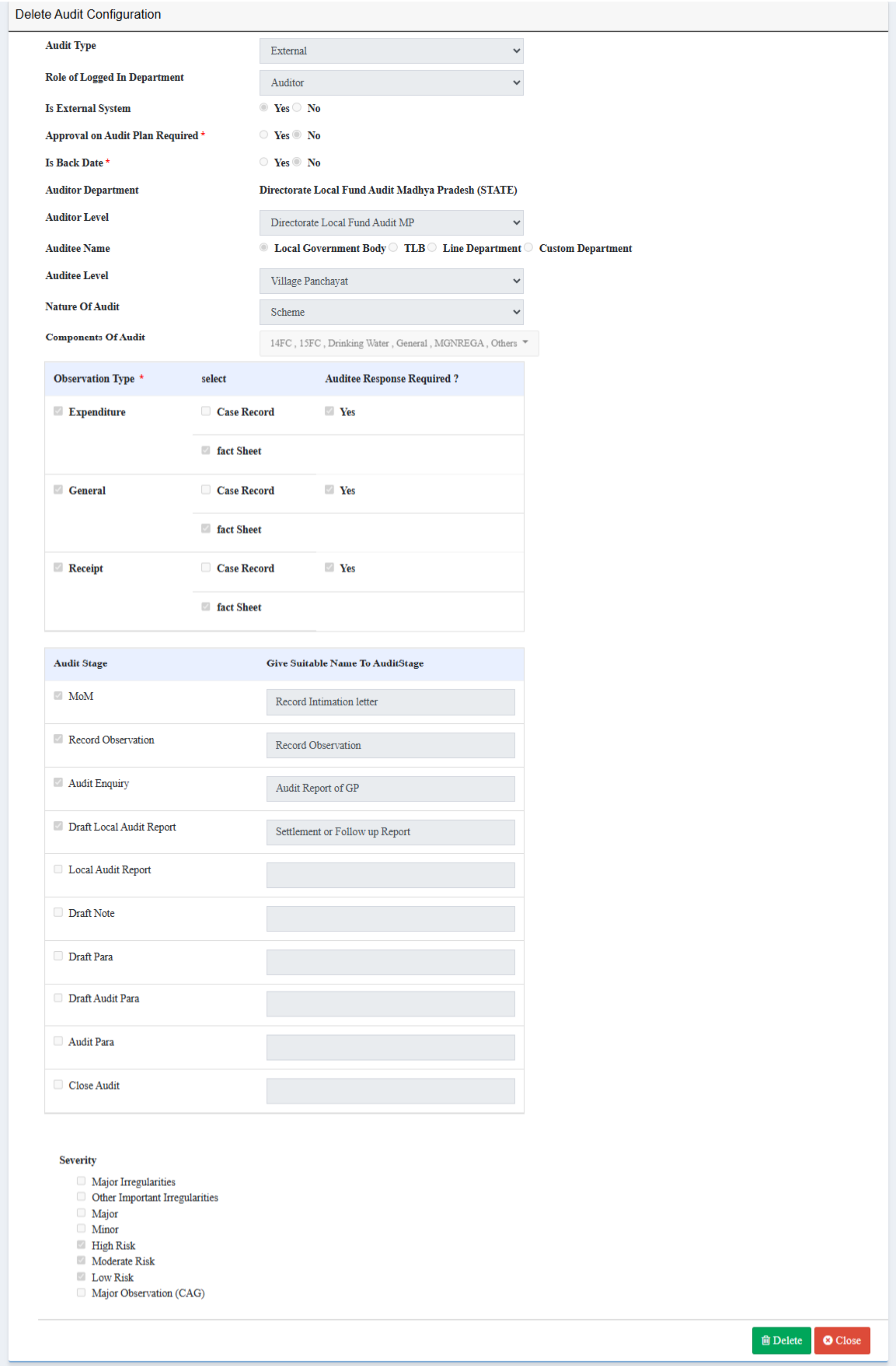


Fig. 5.4.1.2.3.1

Pre-Condition

You should login into the application as a **Department Administrator/State Administrator** and have privilege to **delete Audit configuration**. You can delete the Audit configuration details when the details have already been added. You can open the **delete Audit configuration** page by clicking the **Audit Configuration → Manage→ Delete** option available on the left menu.

The delete Audit configuration page contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Type	**Description:** This field is used to select the audit type amongst Internal or External from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Role of logged in Department	**Description:** This field is used to specify the role of logged in department amongst Auditor or Auditee from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Is External System Required	**Description:** This field is used to specify whether integration with any external system is required for viewing of data at the time of audit. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Approval on Audit Plan Required	**Description:** This field is used specifically for Uttar Pradesh state for approving/freezing the audit plans prepared by District administrator at Division level of that District. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
5	Is Back Date	**Description:** This field is used to specify whether the Back Date entry is needed for years before the onboarding year period. Upon selection a dropdown financial year list is made available to choose the starting year for the same. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
6	Auditor Department	**Description:** This field is used to specify the name of Auditor Department. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

7	Auditor Level	**Description:** This field is used to specify the Auditor level from the list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Auditee Name	**Description:** This field is used to specify the name of Auditee from Either of the Local Government Body, Tribal Local Government body or Line Department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
9	Auditee Level	**Description:** This field is used to specify the Auditee level from the list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
10	Nature of Audit	**Description:** This field is used to specify the audit nature type which may be selected from the dropdown list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
11	Components of Audit	**Description:** This field is used to specify/select the components based on the value selected in Nature of Audit, the dropdown list to choose from the components values defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
12	Observation Type	**Description:** This grid is to define/select fields (Expenditure/General/Receipts) to specify the components under which the auditors may record their observations for. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
13	Audit Stage	**Description:** This field is used to specify/select various stages which may be applicable for the Audit process and under which the definition of process flow would be done later.

		Validation: NA **Mandatory/Optional/Read Only:** Mandatory
14	Severity	**Description:** This field is used to specify/select the severity types which would be made applicable for the Auditors to choose from the values defined in the system. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Delete Audit Configuration form contains the following buttons as indicated below:

- **Delete**: This button allows you to delete the audit team details**.**
- **Close**: This button allows you to abort the View Audit Configuration operation details and will close the page.

Flow of Form

To delete Audit Configuration, you need to follow the steps given below:

1. You should login into the application as **Department Administrator/State Administrator** and have privilege to delete Audit Configuration.
2. The Audit configuration details will be managed by Department Admin/ State Admin based on the following scenarios:
   i. When the audit is done by the Line Department for a Line Department, then configuration will be managed by Department Admin. The Department Admin could be either of the Auditors who is going to perform the audit or could be of Auditee for which the Audit will be done.
   ii. When the audit will be done by the Line Department for Panchayat or vice versa, then configuration can be managed both by Department Admin or State Admin.
3. Click the **Audit Configuration -> Manage-> Delete** option available on the left menu.
4. After getting the search result in the Manage Audit configuration form, click the Delete icon in front of the Auditee Department Name to delete the details. The delete audit configuration details form is displayed on the screen.
5. You can view the details such as Type of Audit, Role of logged in Department, whether external system is required, Auditor Department along with the level and Auditee Department along with the level.
6. Click on the Delete button to delete the Audit configuration details.

7. Click the **Close** button to close the details.

Post-Condition

- Upon clicking **Delete** button, a message “Are you sure that you want delete the record?” will appear. Upon confirmation, the form data will be deleted.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Audit Configuration is in use so it cannot be deleted	This message is displayed when the user attempts to delete the Audit Configuration details when it is in use.	None

5.4.2 Process Flow

5.4.2.1 Add

Brief Description

The main purpose of this form is to allow you to define the process flow tasks based on which the audit process would be followed for a particular Auditor- Auditee level combination. Each task defined in the process flow is an individual step of the process flow. While defining the process flow tasks, details like whether it is main task or sub task, Task Name, whether it is for auditor or auditee, Audit Stage, task type, line department, Department level and finally designation of the person going to perform that task will be specified by the user. Process Flow tasks can be defined by the department who has been assigned the role of Auditing or the department for which the Audit must be done.

In **Fig 5.4.2.1.1**, you can see a sample screen shot of the **Add Process Flow** form that appears when you logged in as **Department Administrator**. The field marked with the * symbol is mandatory and must contain some value.

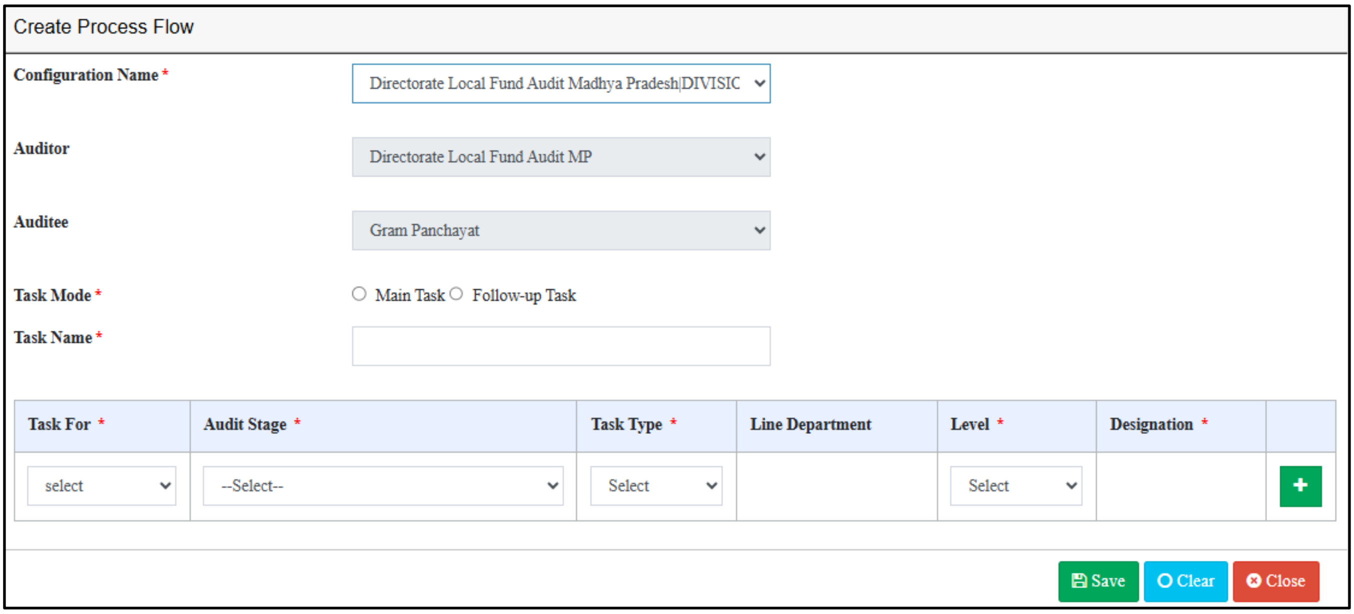


Fig 5.4.2.1.1

Fig 5.4.2.1.2 shows the screen shot when the user enters the task details.

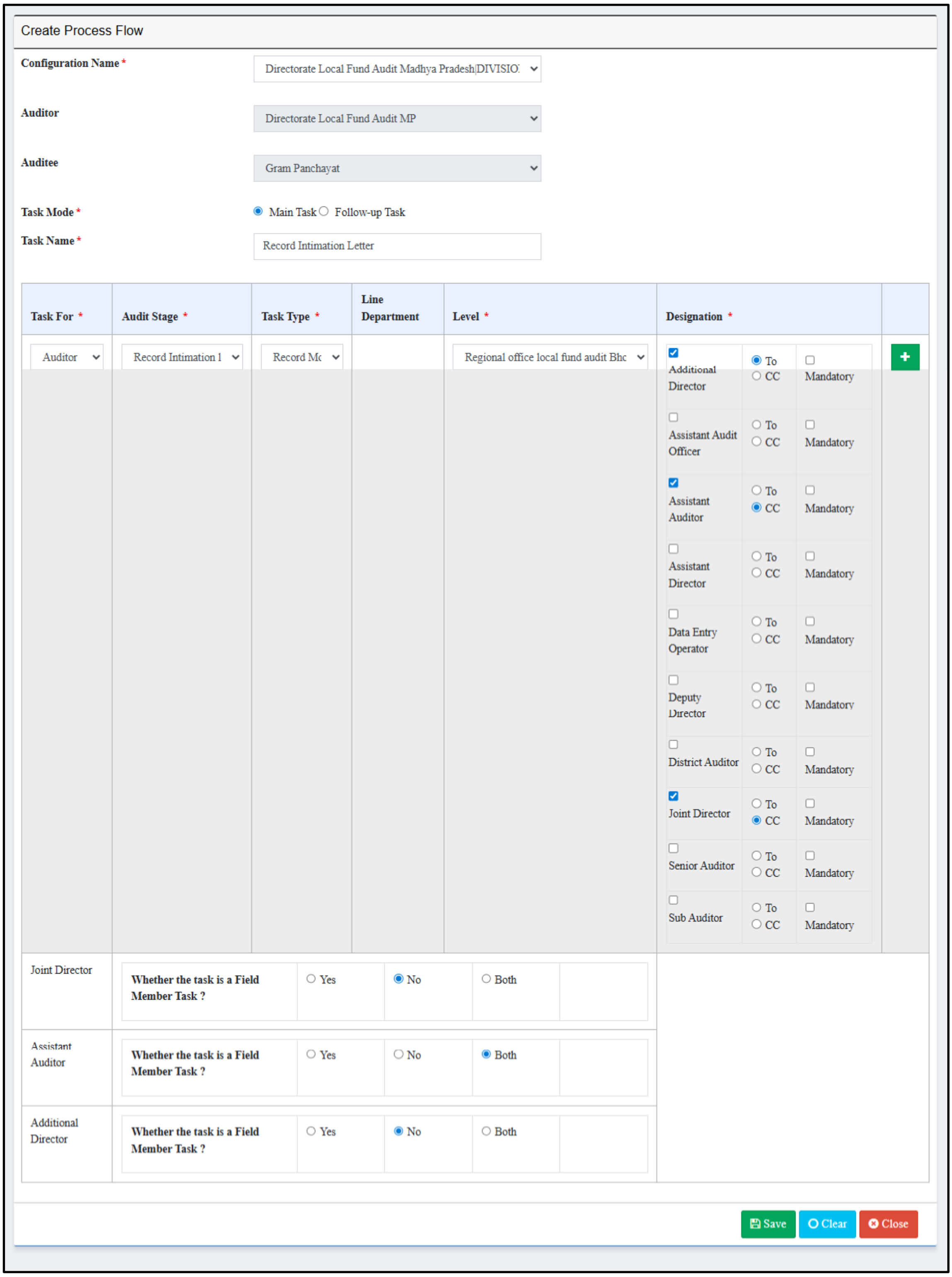


Fig 5.4.2.1.2

Pre-Condition

You should log in into the application as **Department Administrator** and have privilege to **Add Process Flow**. Configuration should have been defined for the Auditor and Auditee combination before the process flow is defined. You can open the **Add Process Flow** form by clicking the **Process Flow** → **Add** option available on the left menu.

The Add Process Flow form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to select the configuration name from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Auditor	**Description:** This field is used to specify Auditor level which has been used in the configuration. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Auditee	**Description:** This field is used to specify Auditee level which has been used in the configuration. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Task Mode	**Description:** This field is used to specify whether the new task is a **Main task or a Sub Task** from the radio button. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
5	Task Name	**Description:** This field is used to enter the task name. **Validation:** 1) Alphabets and special characters (-/_) are allowed. 2) Only 99 characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
6	Task For	**Description:** This field is used to specify whether the task is for **Auditor or Auditee** from the dropdown**.** **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

7	Audit Stage	**Description:** This field is used to associate audit stage with each task being defined. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Task Type	**Description:** This field is used to specify the task type with each task being defined. Task Type specifies the type of screen which shall be used based on the action which can be taken by Auditor or Auditee depending on the Audit Stage. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
9	Line Department	**Description:** This field is used to specify/select a line department that will be used to perform the task for ATR tasks type. **Validation:** would only be available when defining the task for Higher Authority based on the selection of Task For as "Higher". **Mandatory/Optional/Read Only:** Mandatory
10	Department Level	**Description:** This field is used to specify the department level that will perform the task. **Validation:** The department level would filter based on the selection of Task For. **Mandatory/Optional/Read Only:** Mandatory
11	Designation	**Description:** This field is used to specify the Designation who will perform this task along with whether this designation would be in 'To' or' Cc' and 'Mandatory'. If the control is given 'To', then the user will be able to take an action on that task, if it is 'CC' then a read only control would be given and if it is mandatory, then the user who is sending the task will have no option to de-select otherwise the user will have. **Validation:** The Designation would filter based on the selection of Department level. **Mandatory/Optional/Read Only:** Mandatory

Add Process Flow form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Clear**: This button allows you to clear or remove the information provided by you in all

the fields.

- **Close**: This button allows you to abort the Add Process flow operation and close the page.

Flow of Form

To add Process flow, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to add process flow tasks.
2. Click the **Process Flow -> Add** option available on the left menu. The add form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select the configuration name for which the process flow tasks need to be defined by the user. On selection of configuration name, Auditor and Auditee level will populate.
4. Select **Task Mode** from **Main Task** or **Follow-Up Task** from the dropdown**.**
5. If the Task Mode is:

   i. **Main Task**: Using the Main task means that only a linear flow can be followed, and no parallel flow of tasks can be followed. Enter the details mentioned below.

   ii. **Follow-Up Task**: It is used to specify the Follow-up task only i.e. when further communication is required to be done with the Auditee for certain/all the observations. Follow-up tasks basically specify that the parallel processing of tasks can happen i.e. Main task could be followed along with the follow-up task. If follow-up task is required to be merged with the main flow that can be done at a specified point otherwise the follow-up flow would be followed separately. Once the user has selected Auditor, then they select **Parent Task of Auditor** which will list down all the tasks defined for the Auditor. Enter the details below.

6. Enter the following details:

   i. **Task Name**: Enter a task name.

   ii. **Task For**: Select whether the task is for Auditor or Auditee.

   iii. **Audit Stage**: Select the Audit stage from the dropdown for which the task is being defined.

   iv. **Task Type**: Select the task type from the dropdown. The task type would be filtered based on selection of Task For and Audit Stage.

      - If **Higher** is selected, then the Line Department field would be made available too for department selection.

   v. **Department Level**: Select the Department level which will be performing this task. The Department level will be filtered based on the selection of Task For. All the levels which have been created for a particular department will be populated here.

vi. **Designation**: Select the Designation who will be performing the task. The Designation will be filtered based on the selection of Task For and Department level. Along with the Designation, specify whether the control should be given as ‘To’ or ‘CC’ and ‘Mandatory’. If the privileges have been given as ‘To’, some additional privileges (optional) will be populated for which the user has to specify the information whereas if the privileges have been given as ‘CC’, the designated user will receive the tasks designated for “To” user until the action is taken up on the same by the ‘To” user. ‘Mandatory’ check with ‘To’ and ‘CC’ is optional.

7. If the user has selected **Task For** as:

i. **<u>Auditor</u>**: The following audit stage and the corresponding task type would be populated. User must mandatorily specify the following details for each task belonging to Auditor:

- **Is Field Member:** Select Yes/No to specify the field member task or not**.** By Field member, it is meant whether the task will be done by the team member who visits the field and performs the audit or it will be done by other people who do not visit the field but it part of the Auditor department. If it is a field member, then select **yes** otherwise **No**.

a. **<u>Minutes of Meeting</u>**: Record MoM and Verify MoM will be the task types under this audit stage to take an action.

- **<u>Record MoM</u>**: This task type will let the user record the Minutes of Meeting. The Minutes of Meeting are divided into 2 phases: **Entry** and **Exit** Meeting. User must enter the Entry meeting first followed by Exit Meeting.
- **<u>Verify MoM</u>:** This task type will let the user verify the Minutes of Meeting recorded by another user.

b. <u>Record Observation</u>: Record Observations, Verify Observation, Approve Observation and Response on Unverified Observation will be the task types under this audit stage to take an action.

- **<u>Record Observation</u>:** This task type will let the user record the observation against the case/data records based on various categories and subcategories defined.

- **<u>Verify Observation</u>**: This task type will let the user verify the observation recorded by another user. The user can either **accept** or **reject** the observations recorded by the previous user. The user must specify the following details:

  - ❖ **Can Change category subcategory:** The user must specify **yes** for giving the privilege to change the category and subcategory and the fact sheet details to the task otherwise **No**.

- **<u>Approve Observation</u>**: This task type will let the user approve the observation recorded/verified by another user. The user can either **approve** or **reject** the observations recorded/verified by the previous user. The user must specify the following details:

  - ❖ **Can Change category subcategory:** The user must specify **yes** for giving the privilege to change the category and subcategory and the fact sheet details to the task otherwise **No**.

- **<u>Response on Unverified observation</u>**: This task type will let the user respond to the observations which have been rejected at the time of verification or approval. Once the response is prepared, the observation needs to be verified/ approved again. The user must specify the following details:

  - ❖ **Can Change category subcategory:** The user must specify **yes** for giving the privilege to change the category and subcategory and the fact sheet details to the task otherwise **No.**

c. **<u>Audit Enquiry</u>:** Generate Report will be the task type under this audit stage to take an action.

- **<u>Generate Report</u>:** This task type will let the user go for final review of the observations before it is sent across to the Auditee to prepare a response on the objections raised. The user who is taking an action on this task can view the details related to the observations, make the necessary changes in the observation by clicking on edit button, view the attached files or generate a PDF report in the format specified for that report type but if it's a report generated for and after FY 2022-2023 then it is a Standardized Audit Certificate. The user must specify the following details:
  - ❖ **Is File No Required:** The user must specify **yes** if any file number is required to be given and **No** otherwise.

For Standardized Audit Certificate the following fields must be specified by the User:

- ❖ **Select Format:** This needs to be selected to go ahead with the CAG prescribed Standard Audit Certificate.
- ❖ **Select Certificate Language:** User may choose from the available language options to print the report in the specified language type selected.
- ❖ **Select Opinion:** User needs to select any one opinion from the options and out of total four available, the selection may also depend on the type of observation severity in your final page of report generation.

d. **Draft Local Audit Report, Local Audit Report, Draft Note, Draft Para and Draft Audit Para:** Auditor View Response and Prepare Report, Auditor Review Report and Generate Report are the task types under these audit stages to take an action.

- **Auditor View Response and Prepare Report**: This task type will let the user view the audit observation recorded, the response given by Auditee and take the necessary action out of the following options- **Drop Observation, include it in the next level report or keep it for Follow-up**. The user can view the history of the previous audit stages while taking the necessary action by **View trail** and may attach the supporting documents. This form will come only when the user belonging to the Auditor party sees the response of the Auditee for the first time belonging to a particular audit stage. The user must specify the following details:

  - ❖ **Can Change category subcategory:** The user must specify **yes** for giving the privilege to change the category and subcategory and the fact sheet details to the task otherwise **No.**
  - ❖ **Is File No Required:** The user must specify **yes** if any file number is required to be given and **No** otherwise.
  - ❖ **Has Attachment:** The user must specify **yes** for giving the privilege to attach the files against the chapters defined in the report template and **No** otherwise**.** If the File attachment is **Yes**, then the user will also have the privilege to generate a PDF report of the observations in the format specified in the report template otherwise No.
  - ❖ **Can Categorize**: The user must specify **yes** for giving the privilege to categorize the observations and **No** otherwise.

- **Auditor Review Report:** This task type will let the user to view the action out of **Drop Observation, Include or Follow-up** taken by previous user on the response given by Auditee and give its own remarks. Depending on the action taken by previous user, the observations will be grouped in **3 tabs** namely **Drop observation,**

Include or Follow-up. The user can view the trail of the previous audit stages while taking the necessary action for the current audit belonging to this Auditee by clicking on **View trail** or may attach the supporting documents. This form shall be used when the subsequent users belonging to the Auditor party wishes to review the response given by the Auditee and take the necessary action. The user must specify the following details:

- ❖ **Can Change category subcategory:** The user must specify **yes** for giving the privilege to change the category and subcategory and the fact sheet details to the task otherwise **No.**
- ❖ **Is File No Required:** The user must specify **yes** if any file number is required to be given and **No** otherwise.
- ❖ **Has Attachment:** The user must specify **yes** for giving the privilege to attach the files against the chapters defined in the report template and **No** otherwise**.** If the File attachment is **Yes**, then the user will also have the privilege to generate a PDF report of the observations in the format specified in the report template otherwise No.
- ❖ **Can Categorize**: The user must specify **yes** for giving the privilege to categorize the observations as **Major and Other Important Regularity** and **No** otherwise.

- **<u>Generate Report:</u>** This task type will let the user go for final review of the observations before it is sent across to the Auditee to prepare a response on the objections raised. The user who is taking an action on this task can view the details related to the observations, make the necessary changes in the observation by clicking on edit button, view the attached files or generate a PDF report in the format specified for that report type. The user must specify the following details:

  - ❖ **Is File No Required:** The user must specify **yes** if any file number is required to be given and **No** otherwise.

e. Audit Para: Generate Report is the task type under this audit stage to take an action.

- **Generate Report:** This task type will let the user go for final review of the observations before it is sent across to the Auditee to prepare a response on the objections raised. The user who is taking an action on this task can view the details related to the observations, make the necessary changes in the observation by clicking on edit button, view the attached files or generate a PDF report in the format specified for that report type. The user must specify the following details:

- **Is File No Required:** The user must specify **yes** if any file number is required to be given and **No** otherwise.

ii. **Auditee:** The following audit stage and the corresponding task type would be populated.

a. **Audit Enquiry, Draft Local Audit Report, Local Audit Report, Draft Note and Draft Para:** Prepare Response, Auditee Review Response and Forward Auditor Observations are the task types under these audit stages to take an action.

- **Prepare Response:** This task type will let the user prepare the response against the objections raised by the Auditor. The user can see the objections raised by the Auditor, prepare the response against each observation, attach the supporting documents for substantiating the response and View trail on the response/remarks given by other users during other audit stages. The user must specify the following details:

    - **Can Generate Report:** The user must specify **yes** for giving the privilege to specify the subject, attach the files on the chapters defined and generate a PDF of the response given against the objections raised in the format specified in the report template for Auditee otherwise **No**.

- **Auditee Review Response:** This task type will let the user for reviewing the response given by another user and give his/her own remarks. The user can see the objections raised, review the response against each observation through View trail, review the already attached files and attach his/her own supporting documents for substantiating the response and finally give its own remarks. The user must specify the following details:

    - **Can Generate Report:** The user must specify **yes** for giving the privilege to specify the subject, attach the files on the chapters defined and generate a PDF of the response given against the objections raised in the format specified in the report template for Auditee otherwise **No**.

- **Forward Auditor Observation:** This task will let the user forward the observations to another user to prepare the necessary response. The user can prepare the response oneself or simply forward the observations to another user for taking the necessary action in preparing the response. The user can see the Auditor observations, view trail of other users who have responded or attach supporting files to substantiate the response. The user must specify the following details:

    - **Can Generate PDF Report:** The user must specify **yes** for giving the privilege to specify the subject, attach the files on the chapters defined and generate a PDF of the response given against the objections raised in the format specified in the report template for Auditee otherwise **No**.

8. Click on + icon to add the multiple rows to assign tasks to designations belonging to a different department level or with the privileges of either 'To' or 'cc'.
9. Click the **Save** button to save the details
10. You may also click on **Close** button to discard the details and close the Add Process flow page.

Post-Condition

- Upon clicking **Save** button, data will be saved in the database and a message "Data Saved Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.
- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the form fields will be cleared.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This field is Required	This message is displayed when the user attempts to save without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	Task name already exists.	This message is displayed when the user attempts to save the task details when the task name already exists	Enter a unique task name and then click save.
3	No Designation exists for Auditor/Auditee" where Auditor/Auditee depends for which the designations do not exist.	This message is displayed when the user attempts to enter the task details for the configuration when the designations do not exist for either Auditor or Auditee	Designations to be added in the department structure for Auditor/Auditee on LGD application.

4	Process flow has already been freezed for this configuration.	This message is displayed when the user attempts to define the process flow tasks for a particular configuration when the process flow has already been freezed	Unfreeze the process flow and then add the task.
5	Only alphabets and special characters (-/_) allowed.	This message is displayed when the user attempts to enter special characters or numbers in the task name field other than the ones allowed.	Enter only alphabets and special characters (-/_).
6	Multiple rows cannot be added in a grid belonging to same Task For and Department level combination.	This message is displayed when the user attempts to save the process flow details after adding multiple rows in a grid belonging to same combination of Task for and Department level.	NA
7	At least one designation should be assigned for sending the task to 'To' user	This message is displayed when the user attempts to assign a 'CC' designation to a task when no designation has been assigned in 'To'.	Assign at least one designation with the privileges of ‘To’.
8	Multiple designations in 'To' cannot be assigned to a task belonging to different Task For	This message is displayed when the user attempts to assign multiple designations to a task belonging to different Task for and 'To' user	NA
9	Only 99 characters are allowed	This message is displayed when the user attempts to enter more than 99 characters in the Task Name field.	Enter name less than 99 characters.

5.4.2.2 Manage

Brief Description

The main purpose of this form is to allow you to manage process flow task details. When you click on **Manage** in the **Process Flow**, the Manage process flow form appears. This form allows you to search the process flow tasks based on **Configuration name** search parameters and thereby take necessary actions such as View, Modify and Delete.

In **Fig. 5.4.2.2.1**, you can see a sample screen shot of **Manage process flow** form that appears when you logged in as **Department Administrator**. The field marked with the * symbol is mandatory and must contain some value.

Manage Process Flow

Configuration Name * Select

Close

Fig. 5.4.2.2.1

On selecting the desired Configuration Name from the dropdown for which tasks need to be managed, the details will be populated as shown on **Fig 5.4.2.2.2.** The user can click on View, Modify or Delete to take the necessary action.

Manage Process Flow

Configuration Name * Directorate Local Fund Audit Madhya Pradesh|D

Close

Export To PDF | Export to Spread sheet | Print

10 entries per page

Search:

S.No.	Task Name	Task For	Task Mode	Action		
				View	Modify	Delete
1	Reply and Approve of Intimation letter	Auditee	Main Task			
2	Verify the Auditee Response by Auditor	Auditor	Main Task			
3	Record Intimation Letter	Auditor	Main Task			
4	Record Observation and Prepare Draft Audit Paras	Auditor	Main Task			
5	Generate Audit Report	Auditor	Main Task			
6	Reply of Audit Report Paras	Auditee	Follow-up Task			
7	Follow up on the Paras by the Auditee	Auditee	Follow-up Task			
8	Verify the auditee response by Assistant Director	Auditor	Main Task			
9	Approve audit para by Deputy Director	Auditor	Main Task			
10	Issuance of Final Audit Report to Auditee	Auditor	Main Task			

Fig: 5.4.2.2.2

Pre-Condition

You should login into the application as a **Department Administrator** and have privilege to **Manage Process flow**. Configuration should have already been defined. You can open the Manage Process Flow form by clicking the **Process Flow → Manage** option available on the left menu.

The Manage process flow form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to select the configuration name from the dropdown for which tasks need to be managed. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Flow of Form

To Manage Process flow, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to **Manage Process flow.**
2. Click the **Process Flow -> Manage** option available on the left menu. The Manage form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select the desired **Configuration Name** for which task details need to be managed.
4. On selection of configuration name, the search result is shown in the **Manage Process Flow page**. The user can see information such as Task Name, Task For and Action (**View, Modify and Delete**) in the form of grid.
5. Click Modify, View or Delete against the task name to take the required action.

Validations/Error Messages

As you proceed, it may be possible that you encounter one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Tasks have not been defined for the selected configuration name	The user selects Configuration name but tasks have not been defined for this configuration.	NA

5.4.2.2.1 Modify Process Flow

Brief Description

The main purpose of this form is to allow you to modify process flow tasks details. When you click on **Modify** in the **Manage Process Flow**, the Modify Process Flow form appears. This form displays details such as whether it is main task or Follow-up task, Task Name, whether it is for auditor or Auditee, Audit Stage, task type, Department level, Line Department and finally designation of the person going to perform that task and allows you to make desired changes.

In **Fig. 5.3.2.2.1.1** you can see a sample screen shot of **Modify Process Flow** form that appears when you logged in as **Department Administrator**. The field marked with the * symbol is mandatory and must contain some value.

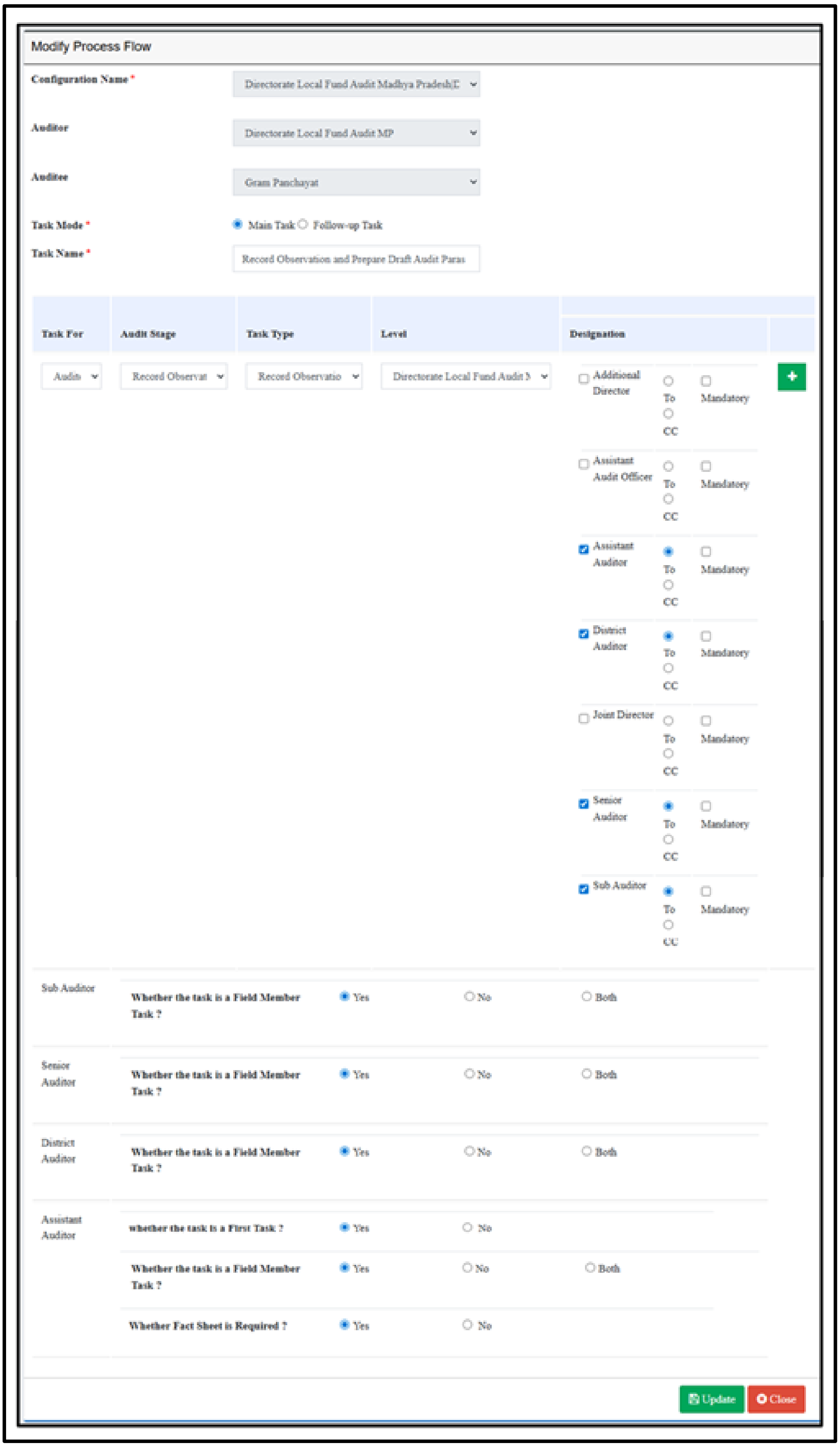


Fig. 5.4.2.2.1.1

Pre-Condition

You should login into the application as a **Department Administrator** and have privilege to **Modify Process flow**. Configuration should have already been defined and the tasks should have already been defined. You can open the Modify Process Flow form by clicking the **Process Flow → Manage-> Modify** option available on the left menu.

The Modify process flow form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to specify the configuration name from the
		dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditor	**Description:** This field is used to specify Auditor level which has been used in the configuration. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Auditee	**Description:** This field is used to specify Auditee level which has been used in the configuration. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Task Mode	**Description:** This field is used to specify whether the new task is a **Main task or a Sub Task** from the radio button. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
5	Task Name	**Description:** This field is used to enter the task name. **Validation:** 1) Alphabets and special characters (-/_) are allowed. 2) Only 99 characters are allowed. **Mandatory/Optional/Read Only:** Mandatory

6	Task For	**Description:** This field is used to specify whether the task is for **Auditor or Auditee** from the dropdown**.** **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
7	Task Type	**Description:** This field is used to specify the task type with each task being defined. Task Type specifies the type of screen which shall be used based on the action which can be taken by Auditor or Auditee depending on the Audit Stage. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Department Level	**Description:** This field is used to specify the department level that will perform the task. **Validation:** The department level would filter based on the selection of Task For. **Mandatory/Optional/Read Only:** Mandatory
9	Designation	**Description:** This field is used to specify the Designation who will perform this task along with whether this designation would be in 'To' or' Cc' and 'Mandatory'. If the control is given 'To', then the user will be able to take an action on that task, if it is 'CC' then a read only control would be given and if it is mandatory, then the user who is sending the task will have no option to de-select otherwise the user will have. **Validation:** The Designation would filter based on the selection of Department level. **Mandatory/Optional/Read Only:** Mandatory
10	Audit Stage	**Description:** This field is used to associate audit stage with each task being defined. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
11	Line Department	**Description:** This field is used to specify/select a line department that will be used to perform the task for ATR tasks type. **Validation:** would only be available when defining the task for Higher Authority based on the selection of Task For as "Higher". **Mandatory/Optional/Read Only:** Mandatory

Modify Process Flow form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made
- **Close**: This button allows you to abort the modify Process flow operation and close the page.

Post-Condition

- Upon clicking **Update** button, data will be updated and a message "Data Updated Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This field is Required	This message is displayed when the user attempts to update without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	Task name already exists.	This message is displayed when the user attempts to update the task details when the task name already exists	Enter a unique task name and then click save.
3	No Designation exists for Auditor/Auditee" where Auditor/Auditee depends for which the designations do not exist.	This message is displayed when the user attempts to update the task details for the configuration when the designations do not exist for either Auditor or Auditee.	Designations to be added in the department structure for Auditor/Auditee on LGD application.
4	Process flow has already been freezed for this configuration.	This message is displayed when the user attempts to update the process flow tasks for a particular configuration when the process flow has already been freezed.	Unfreeze the process flow and then update the task.

5	Only alphabets and special characters (-/) allowed.	This message is displayed when the user attempts to enter special characters or numbers in the task name field other than the ones allowed.	Enter only alphabets and special characters (-/).
6	Multiple rows cannot be added in a grid belonging to same Task For and Department level combination.	The user attempts to update the process flow details after adding multiple rows in a grid belonging to same combination of Task For and Department level.	NA
7	At least one designation should be assigned for sending the task to 'To' user	The user attempts to assign a 'CC' designation to a task when no designation has been assigned in 'To'.	Assign at least one designation with the privileges of ‘To’.
8	Multiple designations in 'To' cannot be assigned to a task belonging to different Task For	The user attempts to assign multiple designations to a task belonging to different Task for and 'To' user	NA
9	Only 99 characters are allowed	This message is displayed when the user attempts to enter more than 99 characters in the Task Name field.	Enter name less than 99 characters.

5.4.2.2.2 View Process Flow

Brief Description

The main purpose of this form is to allow you to view process flow tasks in detail. When you click on **View** in the **Manage Process Flow**, the view Process Flow page appears. This page displays the details such as whether it is main task or sub task, Task Name, whether it is for auditor or Auditee, Audit Stage, task type, Department level and finally designation of the person going to perform that task.

In **Fig. 5.4.2.2.2.1** you can see a sample screen shot of **View Process Flow** form that appears when you logged in as **Department Administrator**.

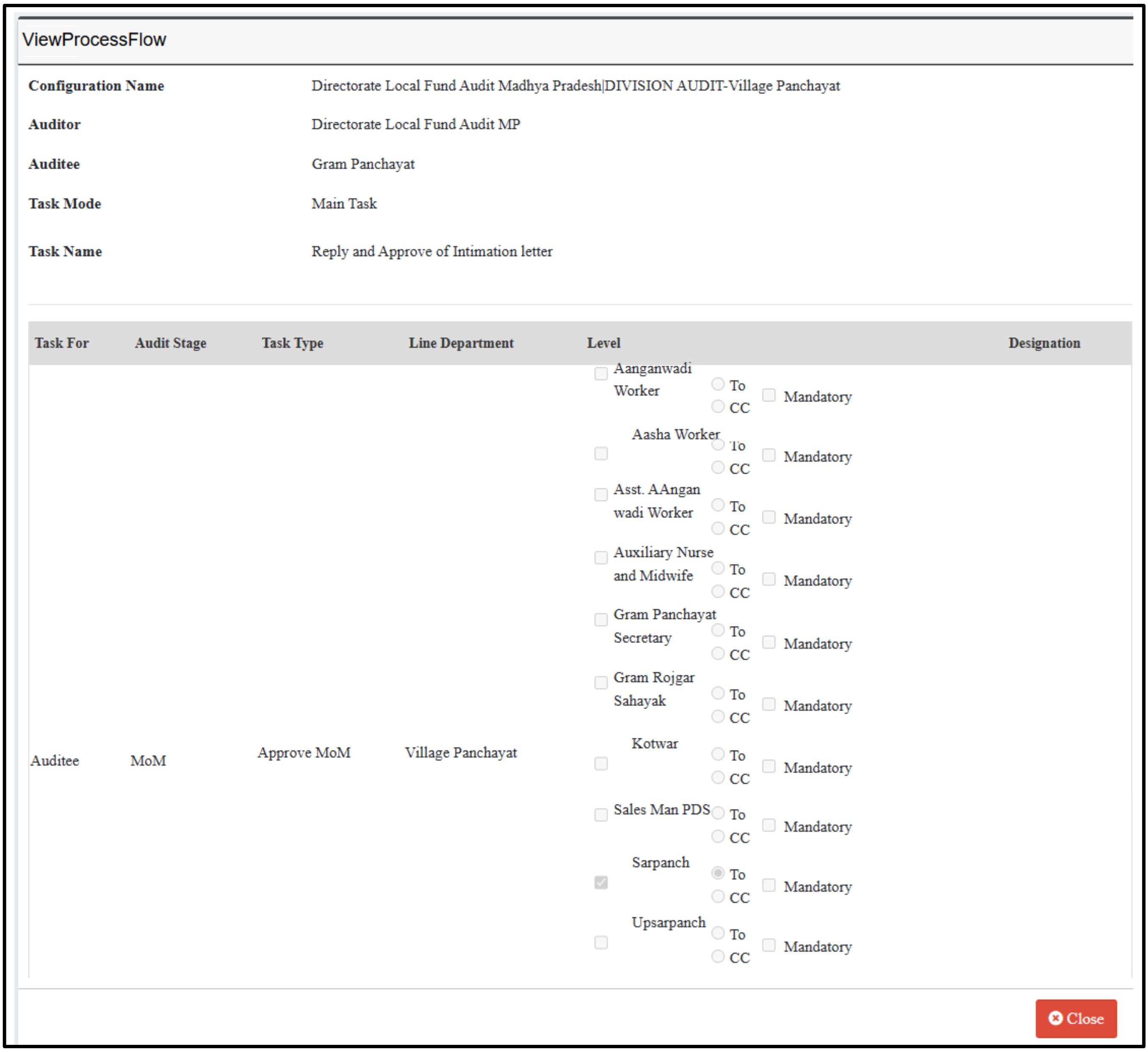


Fig. 5.4.2.2.2.1

Pre-Condition

You should login into the application as a **Department Administrator** and have privilege to **View Process flow**. Configuration should have already been defined and the tasks should have already been defined. You can open the View Process Flow form by clicking the **Process Flow → Manage-> View** option available on the left menu.

The View process flow form contains the following fields as indicated below:

Sr. No.	Field Name	Description

1	Configuration Name	**Description:** This field is used to specify the configuration name from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditor	**Description:** This field is used to specify Auditor level which has been used in the configuration. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Auditee	**Description:** This field is used to specify Auditee level which has been used in the configuration. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Task Mode	**Description:** This field is used to specify whether the new task is a **Main task or a Sub Task** from the radio button. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Task Name	**Description:** This field is used to populate all the master tasks if Task selected was 'Master Task', else for 'New Task', it will behave as text box, where task name needs to be specified. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Task For	**Description:** This field is used to specify whether the task is for **Auditor or Auditee** from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

7	Audit Stage	**Description:** This field is used to associate audit stage with each task being defined. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
8	Task Type	**Description:** This field is used to specify the task type with each task being defined. Task Type specifies the type of screen which shall be used based on the action which can be taken by Auditor or Auditee depending on the Audit Stage. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
9	Department Level	**Description:** This field is used to specify the department level that will perform the task. **Validation:** The department level would filter based on the selection of Task For. **Mandatory/Optional/Read Only:** Read Only
10	Designation	**Description:** This field is used to specify the Designation who will perform this task along with whether this designation would be in 'To' or' Cc' and 'Mandatory'. If the control is given 'To', then the user will be able to take an action on that task, if it is 'CC' then a read only control would be given and if it is mandatory, then the user who is sending the task will have no option to de-select otherwise the user will have. **Validation:** The Designation would filter based on the selection of Department level. **Mandatory/Optional/Read Only:** Read Only
11	Line Department	**Description:** This field is used to specify/select a line department that will be used to perform the task for ATR tasks type. **Validation:** would only be available when defining the task for Higher Authority based on the selection of Task For as "Higher". **Mandatory/Optional/Read Only:** Mandatory

View Process Flow form contains the following buttons as indicated below:

- **Close**: This button allows you to abort the View process flow tasks operation and close the page.

Flow of Form

To View Process flow tasks, you need to follow the steps as given below:

1. You should login into the application as **Department Administrator** and have privilege to view Process flow tasks.
2. Click the **Process Flow -> Manage-> View** option available on the left menu.
3. After getting the search result in the Manage Process Flow page, click the View icon in front of the Task Name to view the details. The View Process flow task details page is displayed on the screen.
4. You can view the details such as Configuration name, Task Mode, Task Name, Task For, Audit Stage, Task Type, Department level, Line Department and Designation.
5. Click the **Close** button to close the details.

Post-Condition

- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

None

5.4.2.2.3 Delete Process Flow

Brief Description

The main purpose of this form is to allow you to delete process flow tasks details. When you click on **Delete** in the **Manage Process Flow**, the delete Process Flow page appears. This page displays details such as whether it is main task or sub task, Task Name, whether it is for auditor or auditee, Audit Stage, task type, Department level, line Department and finally designation of the person going to perform that task and allows you to delete the process flow task details.

In **Fig. 5.4.2.2.3.1** you can see a sample screen shot of **Delete Process Flow** form that appears when you logged in as **Department Administrator**.

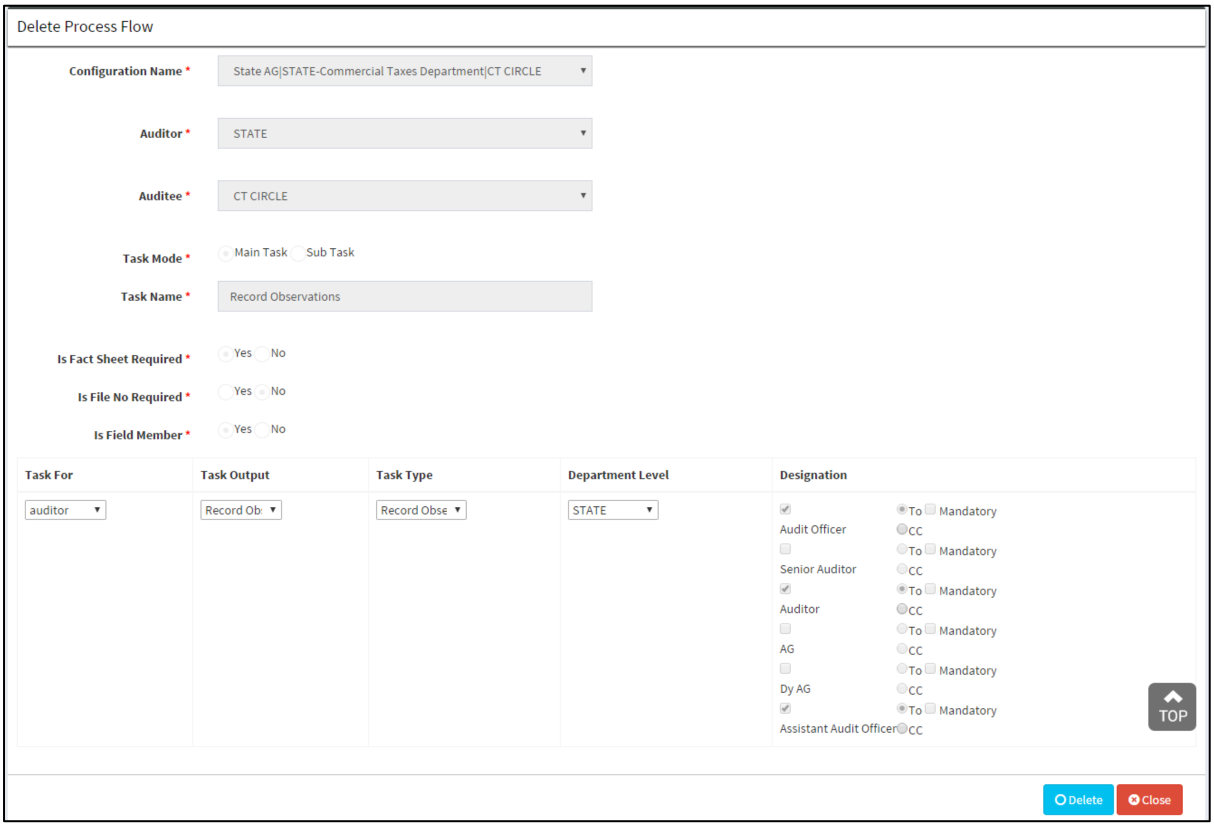


Fig. 5.4.2.2.3.1

Pre-Condition

You should login into the application as a **Department Administrator** and have privilege to **Delete Process flow**. Configuration should have already been defined and the tasks should have already been defined. You can open the Delete Process Flow by clicking the **Process Flow → Manage-> Delete** option available on the left menu.

Delete Process Flow form contains the following buttons as indicated below:

- **Delete**: This button allows you to delete the audit team details**.**
- **Close**: This button allows you to abort the View process flow tasks operation and close the page.

Flow of Form

To delete Process flow tasks, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to delete Process flow tasks.
2. Click the **Process Flow -> Manage-> Delete** option available on the left menu.
3. After getting the search result in the Manage Process Flow page, click the delete icon in front of the Task Name to delete the details. The Delete Process flow task details page is displayed on the screen.

4. You can view the details such as Configuration name, Task Mode, Task Name, Task For, Audit Stage, Task Type, Department level and Designation.
5. Click on the Delete button to delete the Audit configuration details.
6. Click the **Close** button to close the details.

Post-Condition

- Upon clicking **Delete** button, a message "Are you sure that you want delete the record?" will appear. Upon confirmation, the form data will be deleted.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Cannot delete the task as Process flow has already been freezed for this configuration name	This message is displayed when the user attempts to delete the process flow tasks defined for a particular configuration when the process flow has already been freezed	Unfreeze the process flow and delete the task.
2	Task cannot be deleted as it is used in task mapping.	This message is displayed when the user attempts to delete the process flow task defined for a particular configuration when the task has already been mapped to another task in the task mapping	Delete the task mapping and then delete the task.
3	Audit has already been started, so cannot update the Process Flow task	This message is displayed when the user attempts to delete the process flow task defined for a particular configuration when the process flow has already started.	NA

5.4.3 Process Flow Mapping

5.4.3.1 Add

Brief Description

The main purpose of this form is to allow you to map the Tasks defined, configuration wise to create the flow for routing the audit process among various tasks. This includes mapping of all the Tasks defined, to the **Successor Tasks** or to the **End of the process Flow**. There will be a default task- **End of Process Flow** which will be available for mapping with every task giving the user the privilege to End the process flow at a stage where the user has selected that default task. Workflow Player assigned to the selected Task can route the audit process to any of the assigned successor tasks in the process flow based on his/her decision. While mapping the tasks user must specify whether a Main task or a follow-up task is being mapped.

In **Fig 5.4.3.1.1**, you can see a sample screen shot of the **Add Process Flow Mapping** form that appears when you logged in as **Department Administrator**. The field marked with the ***** symbol is mandatory and must contain some value.

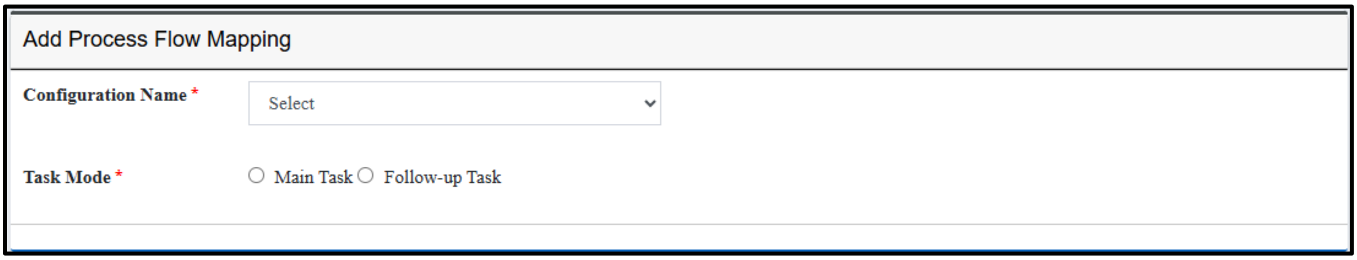


Fig 5.4.3.1.1

Fig 5.4.3.1.2 shows the screen shot when the user selects the Configuration Name and Task Mode and selects the task name from the dropdown to map the task.

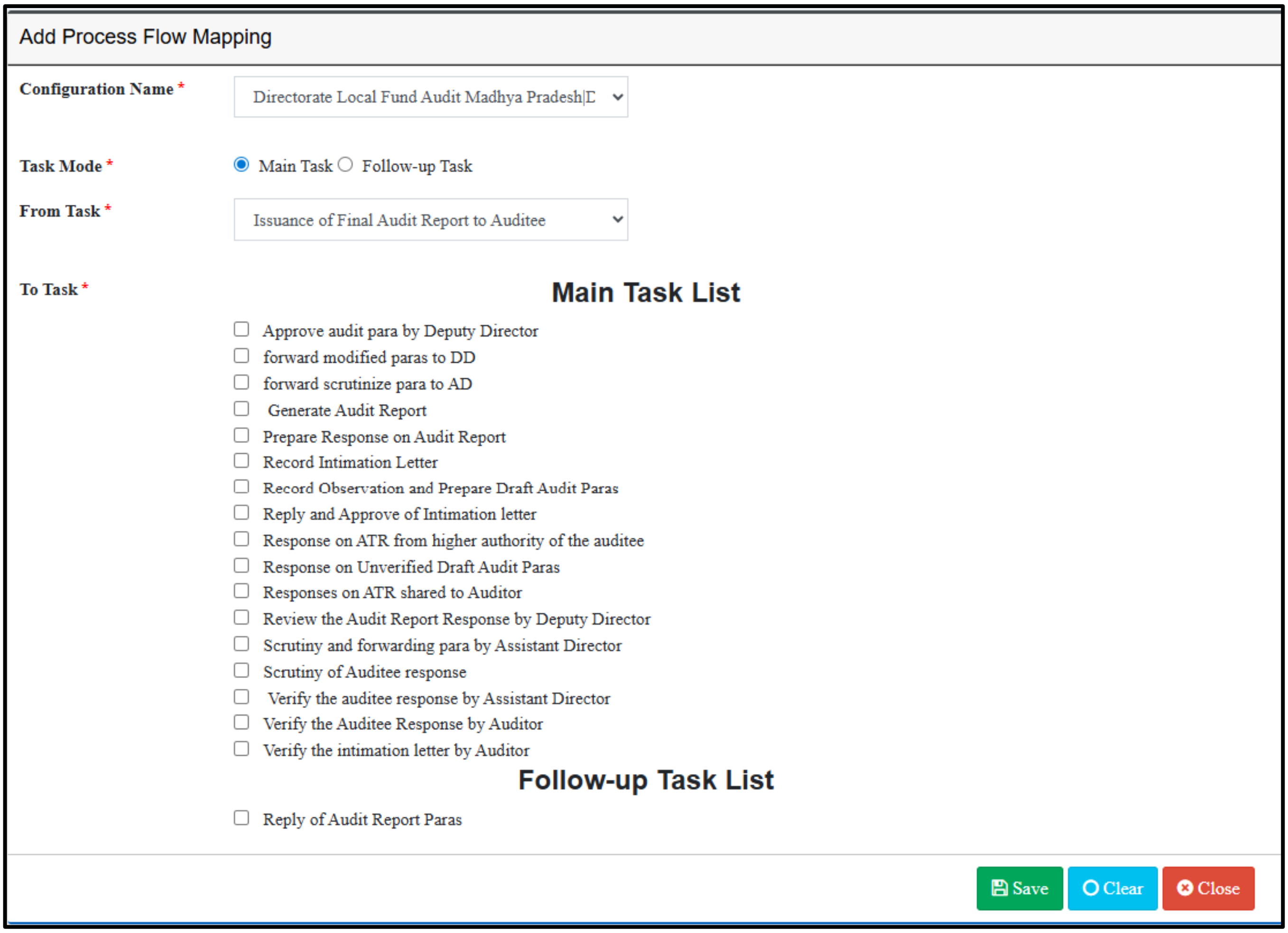


Fig 5.4.3.1.2

<u>Pre-Condition</u>

You should login into the application as **Department Administrator** and have privilege to **Add Process Flow Mapping**. Process Flow tasks should have already been defined. You can open the **Add Process Flow Mapping** form by clicking the **Process Flow Mapping→ Add** option available on the left menu.

The Add Process Flow Mapping form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to select the configuration name from the dropdown for which the task mapping must be added. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Task Mode	**Description:** This field is used to select the task mode from Main Task or Follow-up task. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Main Task	**Description:** This field will only populate in case the Task Mode has been selected as Follow-up Task. This field is used to select Main Task from which the follow-up tasks have been defined. All the Main Tasks from which the follow-up task has been defined would be populated in the dropdown. **Validation:** **Mandatory/Optional/Read Only:** Mandatory
4	From Task	**Description:** This field is used select the 'From' Task for which the mapping must be defined. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
5	To Task	**Description:** This field is used select the 'To' Task to which the control must be transferred from the 'From' Task. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Add Process Flow Mapping form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.

- **Close**: This button allows you to abort the Process Flow Mapping operation and close the page.

Flow of Form

To add Process Flow Mapping, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to add process flow task mapping.
2. Click the **Process Flow Mapping-> Add** option available on the left menu. The add form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select the **Configuration Name** from the dropdown.
4. Select the **Task Mode** from **Main Task** or **Sub Task.**
5. If the Task Mode is:

   i. **Main Task:** Enter the details below:

   - **From Task:** Select the **From Task** from the dropdown to which the successor or predecessor tasks need to be mapped. Initially, all the Main tasks which have been defined will be listed in the dropdown. As the From Task keeps on getting mapped the task name would get emptied from the dropdown.
   - **To Task**: All the tasks except the "From Task" would be listed along under the heading **Main Tasks**. Along with that, follow-up tasks which have been created using this Main Task would be listed under the heading **Follow-up Tasks**. There will be also a default task- **End of process flow** which will give the designated user assigned to that task with an additional privilege to End the process Flow. The user can select Task(s) by clicking on Checkbox.

   ii. **Follow-up Task**: Enter the details below:

   - **Main Task:** Select the **Main Task** from the drop down. Only the Main (Parent) tasks from which the follow-up tasks have been defined (using the Add Process Flow) would be populated in the dropdown.
   - **From Task:** Select the **From Task** from the dropdown to which the successor or predecessor tasks need to be mapped. Initially, all the Sub tasks which have been defined under the selected Main Task would be listed in the dropdown. As the From Task keeps on getting mapped the task name would get emptied from the dropdown.

- **To Task**: All the follow-up tasks which have been defined under the Main task except the From Task would be listed under the heading follow-up tasks. Along with that, all the Main Tasks would be listed under the heading Main Tasks. There will be also a default task- **End of process flow** which will give the designated user assigned to that task with an additional privilege to End the process Flow. The user can select Task(s) by clicking on Checkbox.

6. Click on **Save** button to save the details.
7. You may also click on **Close** button to discard the details and close the page or may click on **Clear** button to clear the entered details.

Post-Condition

- Upon clicking **Save** button, data will be saved in the database and a message "Data Saved Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.
- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the form fields will be cleared.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	The Field Is Required	This message is displayed when the user attempts to save without entering any data in the mandatory fields marked with *.	Enter relevant data in the mandatory fields.
2	Tasks have not been defined for the selected configuration name	This message is displayed when the user attempts to save the process flow mapping details when the tasks have not been defined for the selected configuration.	Add Tasks for the selected configuration and then try to save.
3	All the tasks belonging	This message is displayed when the	NA

	to this configuration name have already been mapped	user attempts to map the task when all the tasks belonging to the configuration have already been mapped.	

5.4.3.2 Manage

Brief Description

The main purpose of this form is to allow you to manage process flow mapping details. This form allows you to search the process flow mapping tasks based on **Configuration name** and **Task Name** search parameter and thereby take necessary actions such as View, Modify and Delete.

In **Fig**. **5.4.3.2.1**, you can see a sample screen shot of **Manage Process Flow Mapping** form that appears when you logged in as **Department Administrator**. The field marked with the * symbol is mandatory and must contain some value.

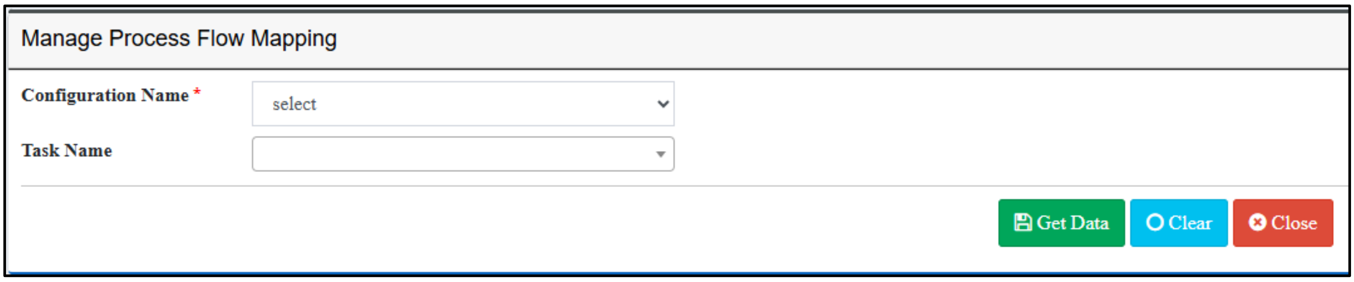
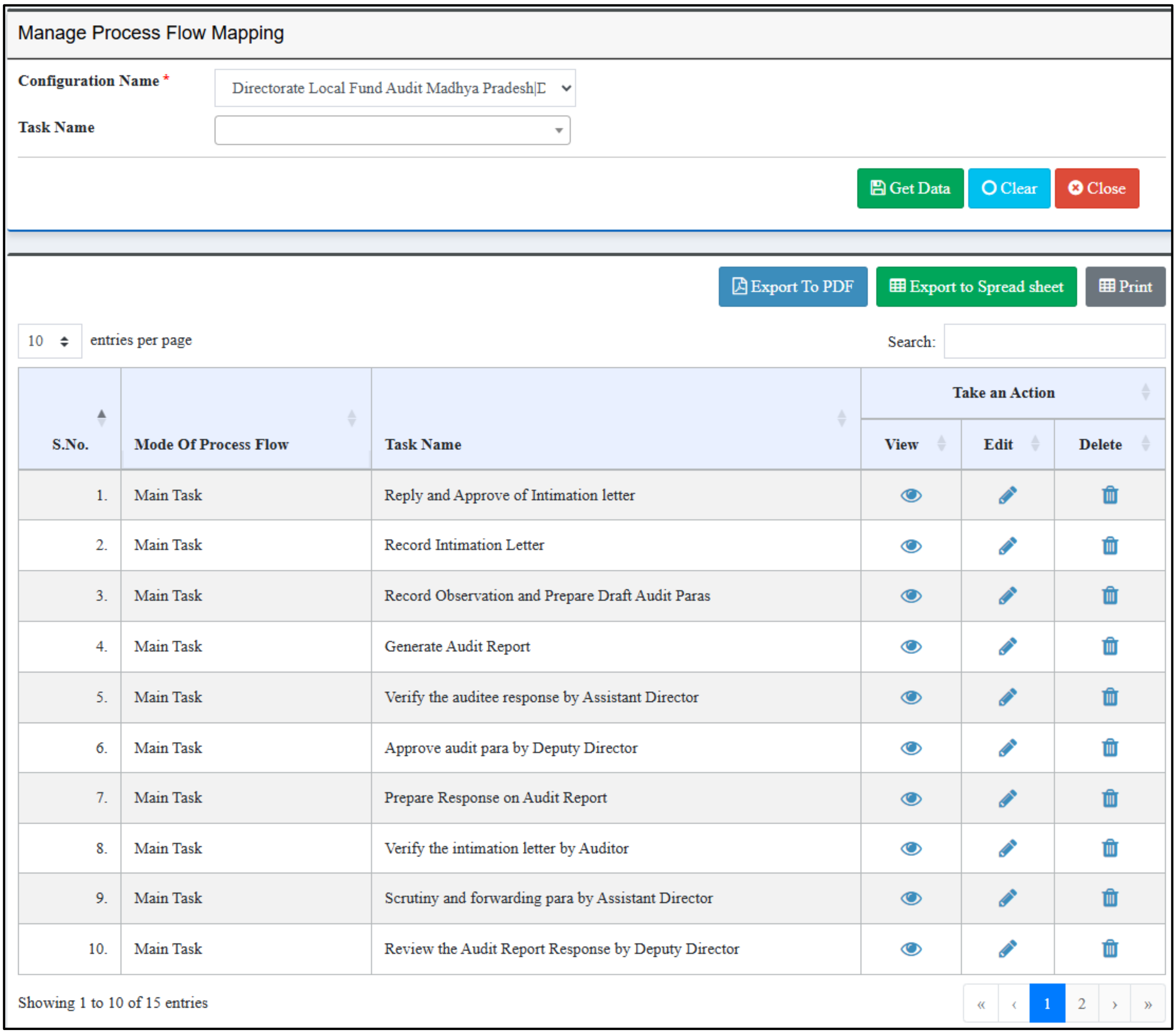


Fig. **5.4.3.2.1**

On selecting the desired search parameter from the dropdown for which details need to be managed and clicking on Get Data button, the details will be populated as shown in **Fig**. **5.4.3.2.2.** The user can click on View, Modify or Delete to take the necessary action.


Manage Process Flow Mapping

Configuration Name * Directorate Local Fund Audit Madhya Pradesh|D

Task Name

Get Data Clear Close

Export To PDF Export to Spread sheet Print

10 entries per page Search:

S.No.	Mode Of Process Flow	Task Name	Take an Action		
			View	Edit	Delete
1.	Main Task	Reply and Approve of Intimation letter			
2.	Main Task	Record Intimation Letter			
3.	Main Task	Record Observation and Prepare Draft Audit Paras			
4.	Main Task	Generate Audit Report			
5.	Main Task	Verify the auditee response by Assistant Director			
6.	Main Task	Approve audit para by Deputy Director			
7.	Main Task	Prepare Response on Audit Report			
8.	Main Task	Verify the intimation letter by Auditor			
9.	Main Task	Scrutiny and forwarding para by Assistant Director			
10.	Main Task	Review the Audit Report Response by Deputy Director			

Showing 1 to 10 of 15 entries « ‹ 1 2 › »

Fig. 5.4.3.2.2

Pre-Condition

You should login into the application as **Department Administrator** and have privilege to **Manage Process Flow Mapping**. You can open the **Manage Process Flow Mapping** form by clicking the **Process Flow Mapping→ Manage** option available on the left menu.

The Manage Process Flow Mapping form contains the following fields as indicated below:

Sr. No.	Field Name	Description

1	Configuration Name	**Description:** This field is used to select the configuration name from the dropdown for which the details of the task mapping have to be managed. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Task Name	**Description:** This field is used to select the task name for which the task mapping details need to be managed. **Validation:** NA **Mandatory/Optional/Read Only:** Optional

Manage Process Flow Mapping form contains the following buttons as indicated below:

- **Get Data**: This button allows you to display the list of tasks for which the mapping has been specified.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the manage Process flow mapping operation and close the page.

Flow of Form

To Manage Process flow mapping, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to **Manage Process flow Mapping.**
2. Click the **Process Flow Mapping-> Manage** option available on the left menu. The Manage form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select the desired **Configuration Name** and **Task name** for which task mapping details need to be managed.
4. On selection of configuration name and/or Task Name, the search result is shown in the **Manage Process Flow mapping** page. The user can see information such as Mode of Process Flow, Task Name and Action (**View, Modify and Delete**) in the form of grid.
5. Click Modify, View or Delete against the task name to take the required action.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This field is Required	This message is displayed when the user attempts to Get Data without selecting the mandatory field in the search criteria.	Select mandatory fields marked with * before clicking Get Data
2	Tasks have not been mapped for the selected configuration name	This message is displayed when the user attempts to Get data when the tasks have not been mapped for the selected configuration.	Map the tasks before selecting the configuration.

Modify Process Flow Mapping

Brief Description

The main purpose of this form is to allow you to Modify Process Flow Mapping details. This form displays details such as Configuration Name, Mode of task, From Task and To Task and allows you to make the desired change.

In **Fig. 5.4.3.2.1.1** you can see a sample screen shot of **Modify Process Flow Mapping** form that appears when you logged in as **Department Administrator**. The field marked with the * symbol is mandatory and must contain some value.

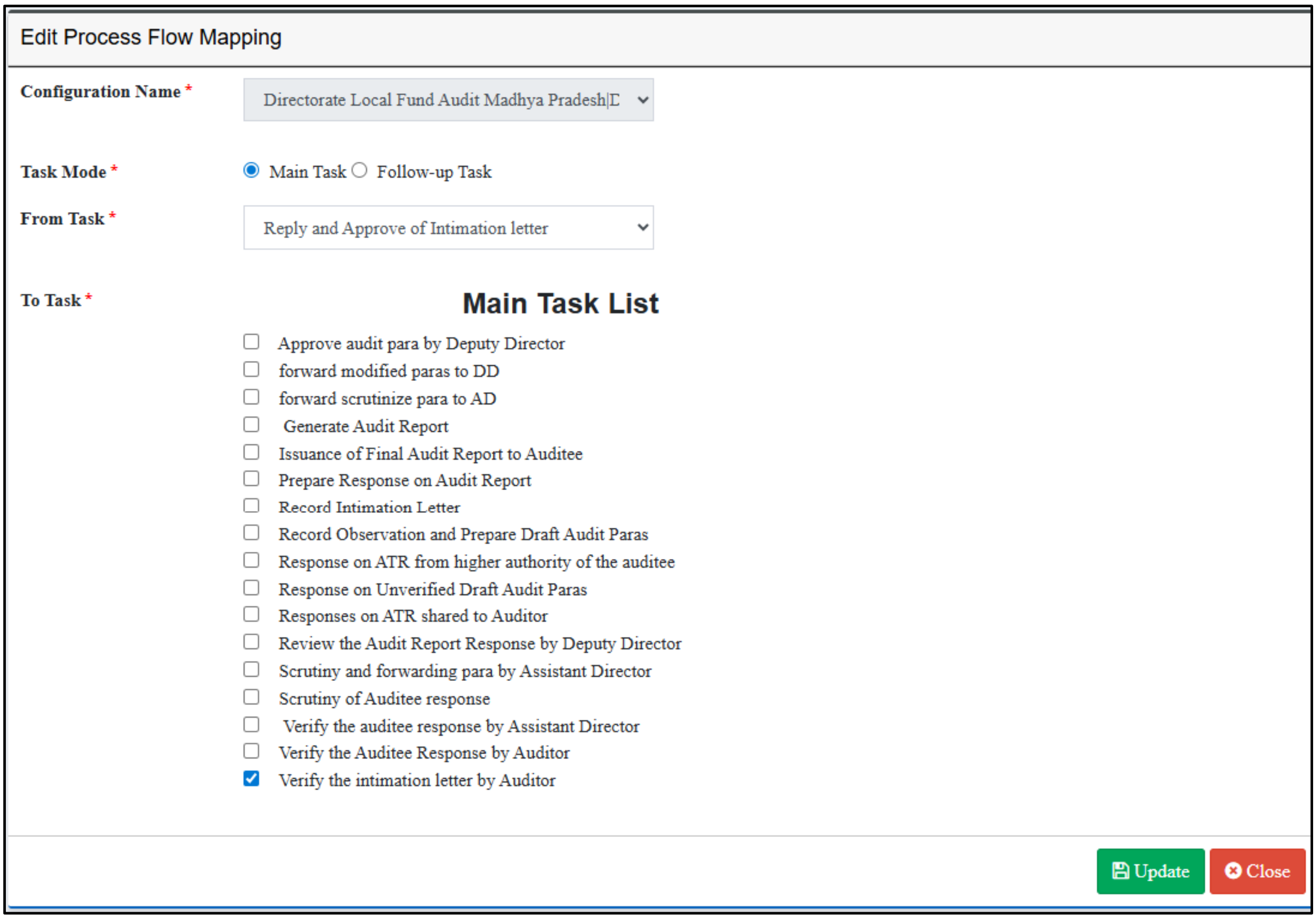


Fig. 5.4.3.2.1.1

Pre-Condition

You should login into the application as **Department Administrator** and have privilege to **Modify Process Flow Mapping**. Process Flow Tasks Mapping should have already been defined. You can open the **Modify Process Flow Mapping** form by clicking the **Process Flow Mapping→ Manage->Modify** option available on the left menu.

The Modify Process Flow Mapping form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to specify the configuration name for which the task mapping is modified. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

2	Task Mode	**Description:** This field is used to specify the task mode from Main Task or task. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Main Task	**Description:** This field will only populate in case the Task Mode has been selected as follow-up Task. This field is used to specify Main Task from which the follow-up Tasks have been defined. **Validation:** **Mandatory/Optional/Read Only:** Read Only
4	From Task	**Description:** This field is used specify the 'From' Task for which the task mapping is modified. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	To Task	**Description:** This field is used select the 'To' Task to which the control must be transferred from the 'From' Task. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Modify Process Flow Mapping form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made
- **Close**: This button allows you to abort the Process Flow Mapping operation and close the page.

Flow of Form

To modify Process Flow Mapping, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to modify process flow task mapping.
2. Click the **Process Flow Mapping-> Manage** option available on the left menu. The modify form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.

3. Details such as Configuration Name will be available in read-only mode.
4. If the Task Mode is:

   i. **Main Task:** Enter the details below:

      - **From Task:** This will populate the name of the task for which the details need to be modified. This will be in read-only mode.
      - **To Task**: All the tasks except the From Task would be listed along under the heading **Main Tasks**. Along with that, follow-up tasks which have been created using this Main Task would be listed under the heading **Follow-up Tasks**. The user can select Task(s) by clicking on Checkbox.

   ii. **Follow-up Task**: Enter the details below:

      - **Main Task:** This will populate the name of the Main task under which the follow-up task being modified is defined. This will come in read only mode.
      - **From Task:** This will populate the name of the task for which the details need to be modified.
      - **To Task**: All the follow-up tasks which have been defined under the Main task except the From Task would be listed under the heading follow-up Tasks. Along with that, all the Main Tasks would be listed under the heading Main Tasks. The user can select Task(s) by clicking on Checkbox.

5. Click on **Update** button to update the details.
6. You may also click on **Close** button to discard the details and close the page.

Post-Condition

- Upon clicking **Update** button, data will be updated and a message “Data Updated Successfully” will appear.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action

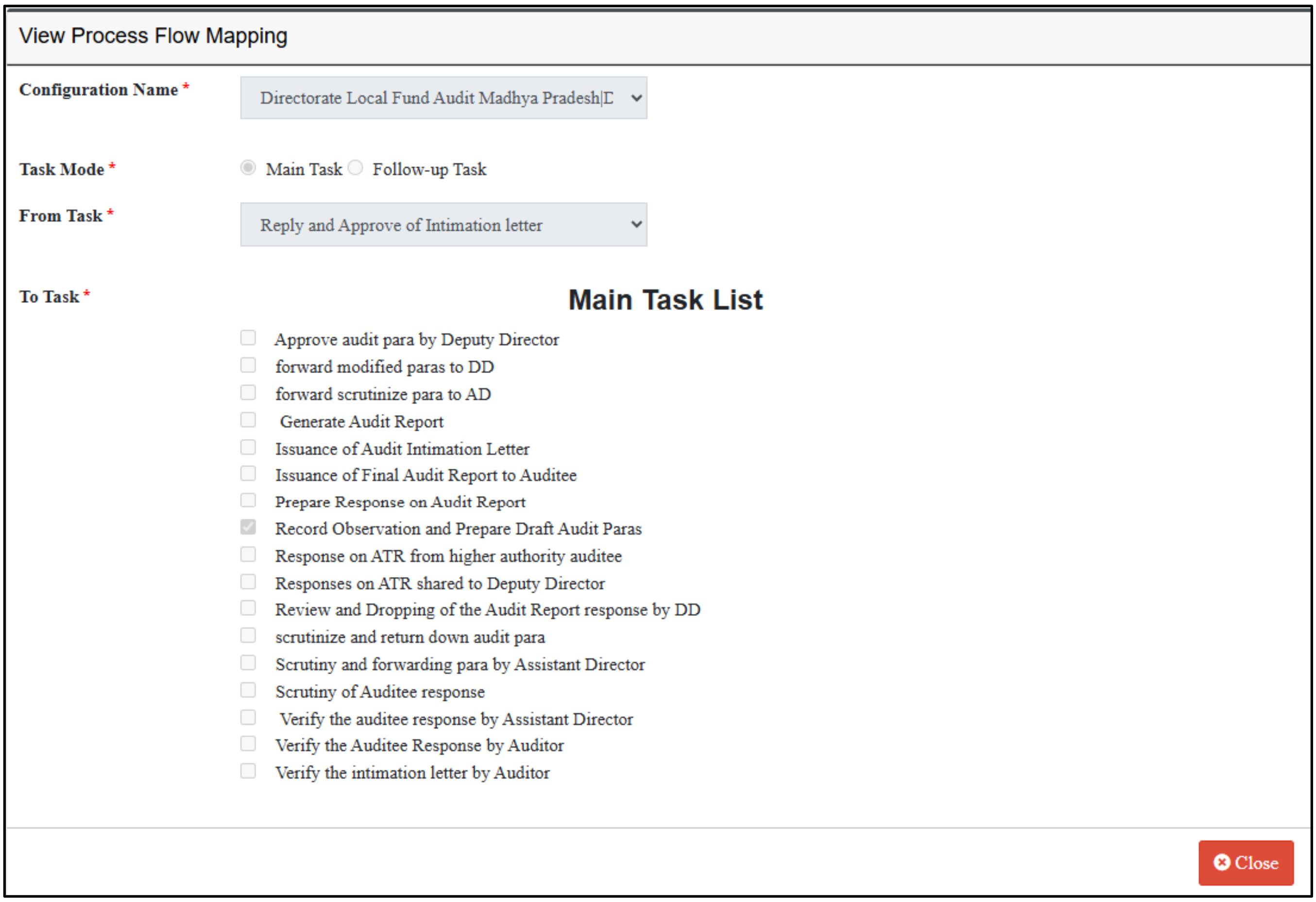
1	This field is Required	This message is displayed when the user attempts to update the task mapping details without entering all the mandatory fields.	Select mandatory fields marked with * before clicking Update button
2	Process Flow has already been freezed for this configuration name.	This message is displayed when the user attempts to modify the task mapping details when the process flow has already been freezed for the selected configuration name.	NA

5.4.3.2.2 View Process Flow Mapping

Brief Description

The main purpose of this form is to allow you to View Process Flow Mapping details belonging to a particular configuration. It displays details such as Configuration Name, Mode of task, From Task and To Task.

In **Fig. 5.4.3.2.2.1** you can see a sample screen shot of **View Process Flow Mapping** form that appears when you logged in as **Department Administrator**.


View Process Flow Mapping

Configuration Name *: Directorate Local Fund Audit Madhya Pradesh|D

Task Mode *: Main Task / Follow-up Task

From Task *: Reply and Approve of Intimation letter

To Task *:

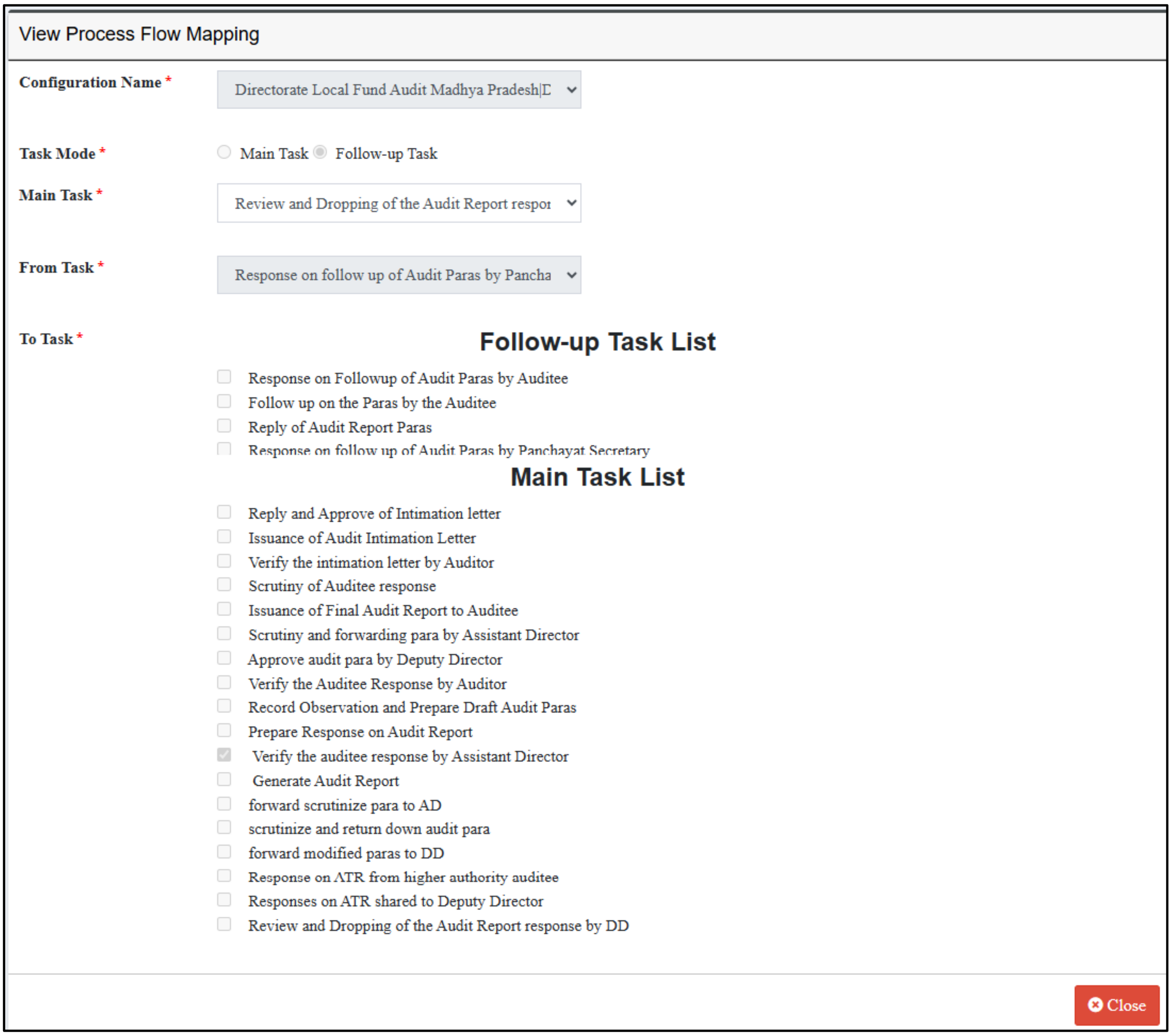
Main Task List

- Approve audit para by Deputy Director
- forward modified paras to DD
- forward scrutinize para to AD
- Generate Audit Report
- Issuance of Audit Intimation Letter
- Issuance of Final Audit Report to Auditee
- Prepare Response on Audit Report
- Record Observation and Prepare Draft Audit Paras
- Response on ATR from higher authority auditee
- Responses on ATR shared to Deputy Director
- Review and Dropping of the Audit Report response by DD
- scrutinize and return down audit para
- Scrutiny and forwarding para by Assistant Director
- Scrutiny of Auditee response
- Verify the auditee response by Assistant Director
- Verify the Auditee Response by Auditor
- Verify the intimation letter by Auditor

Close

Fig. 5.4.3.2.2.1

Fig. 5.4.3.2.2.2 shows the screen shot when the user views the details of the Follow-up Task.



View Process Flow Mapping

Configuration Name * Directorate Local Fund Audit Madhya Pradesh|D

Task Mode * Main Task Follow-up Task

Main Task * Review and Dropping of the Audit Report respor

From Task * Response on follow up of Audit Paras by Pancha

To Task *

Follow-up Task List

- Response on Followup of Audit Paras by Auditee
- Follow up on the Paras by the Auditee
- Reply of Audit Report Paras
- Response on follow up of Audit Paras by Panchayat Secretary

Main Task List

- Reply and Approve of Intimation letter
- Issuance of Audit Intimation Letter
- Verify the intimation letter by Auditor
- Scrutiny of Auditee response
- Issuance of Final Audit Report to Auditee
- Scrutiny and forwarding para by Assistant Director
- Approve audit para by Deputy Director
- Verify the Auditee Response by Auditor
- Record Observation and Prepare Draft Audit Paras
- Prepare Response on Audit Report
- Verify the auditee response by Assistant Director
- Generate Audit Report
- forward scrutinize para to AD
- scrutinize and return down audit para
- forward modified paras to DD
- Response on ATR from higher authority auditee
- Responses on ATR shared to Deputy Director
- Review and Dropping of the Audit Report response by DD

Close

Fig. 5.4.3.2.2.2

Pre-Condition

You should log in into the application as **Department Administrator** to **View Process Flow Mapping**. Process Flow Tasks Mapping should have already been defined. You can open the **View Process Flow Mapping** form by clicking the **Process Flow Mapping→ Manage->View** option available on the left menu.

The View Process Flow Mapping form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to specify the configuration name for which the task mapping is modified. **Validation:** NA

		Mandatory/Optional/Read Only: Read Only
2	Task Mode	**Description:** This field is used to specify the task mode from Main Task or task. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Main Task	**Description:** This field will only populate in case the Task Mode has been selected as follow-up task. This field is used to specify Main Task from which the follow-up tasks have been defined. **Validation:** **Mandatory/Optional/Read Only:** Read Only
4	From Task	**Description:** This field is used specify the 'From' Task for which the task mapping is modified. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	To Task	**Description:** This field is used select the 'To' Task to which the control must be transferred from the 'From' Task. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

View Process Flow Mapping form contains the following buttons as indicated below:

- **Close**: This button allows you to abort the Process Flow Mapping operation and close the page.

Flow of Form

To view Process Flow Mapping, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to modify process flow task mapping.
2. Click the **Process Flow Mapping-> Manage->View** option available on the left menu.
3. After getting the search result in the Manage Process Flow Mapping page, click the View icon in front of the Task Name to view the details. The View Process flow mapping details page is displayed on the screen.

4. If the Task Mode is:

    i. **Main Task:** Details such as Configuration Name, Task Mode, From Task and To Task will be available to view in a read only mode.
    ii. **Follow-up Task:** Details such as Configuration Name, Task Mode, Main Task, From Task and To Task will be available to view in a read only mode.

5. You may click on **Close** button to close the page.

Post-Condition

- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

None

5.4.3.2.3 Delete Process Flow Mapping

Brief Description

The main purpose of this form is to allow you to delete Process Flow Mapping details belonging to a particular configuration. It displays details such as Configuration Name, Mode of task, From Task and To Task and allows you to delete the mapping details.

In **Fig. 5.4.3.2.3.1** you can see a sample screen shot of **Delete Process Flow Mapping** form that appears when you logged in as **Department Administrator**.

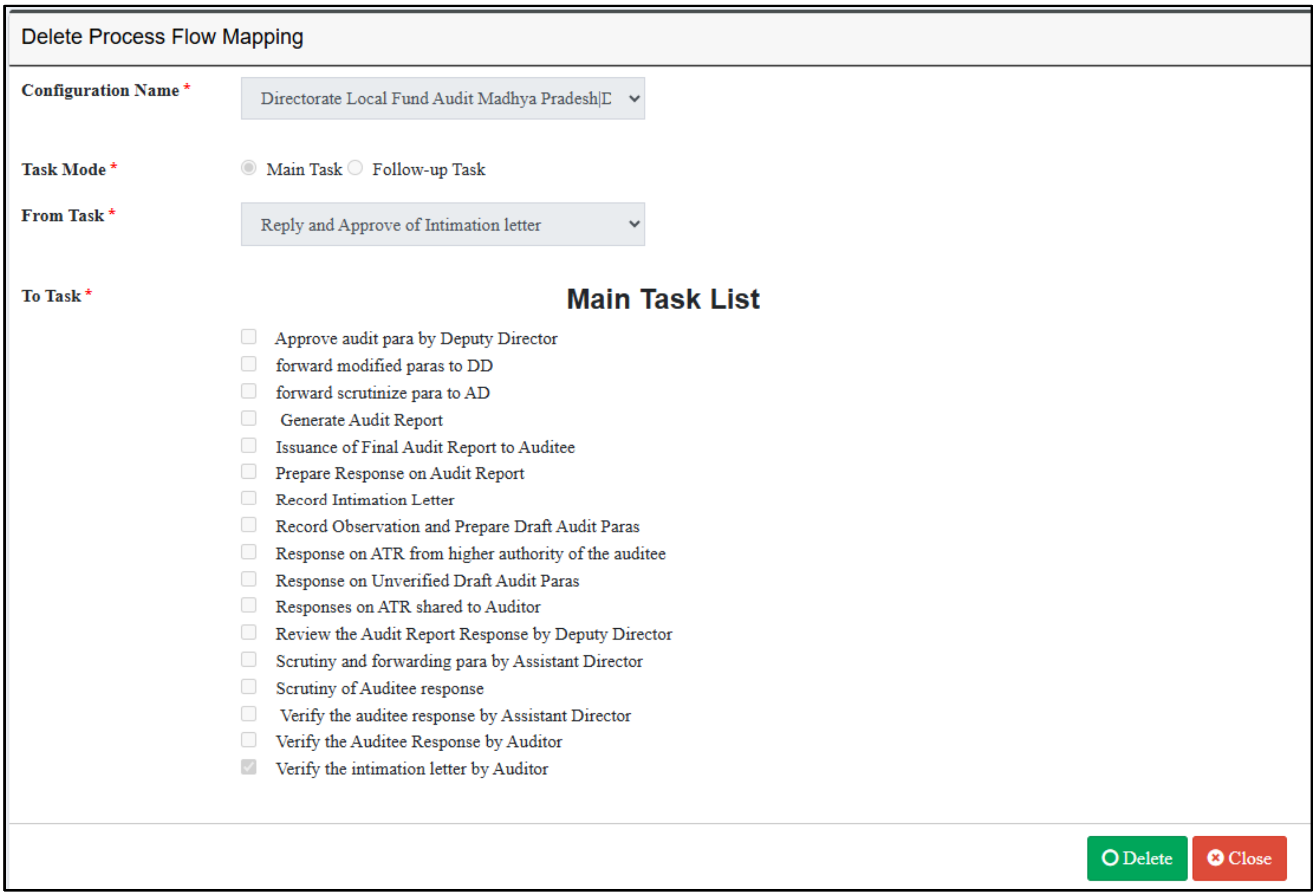
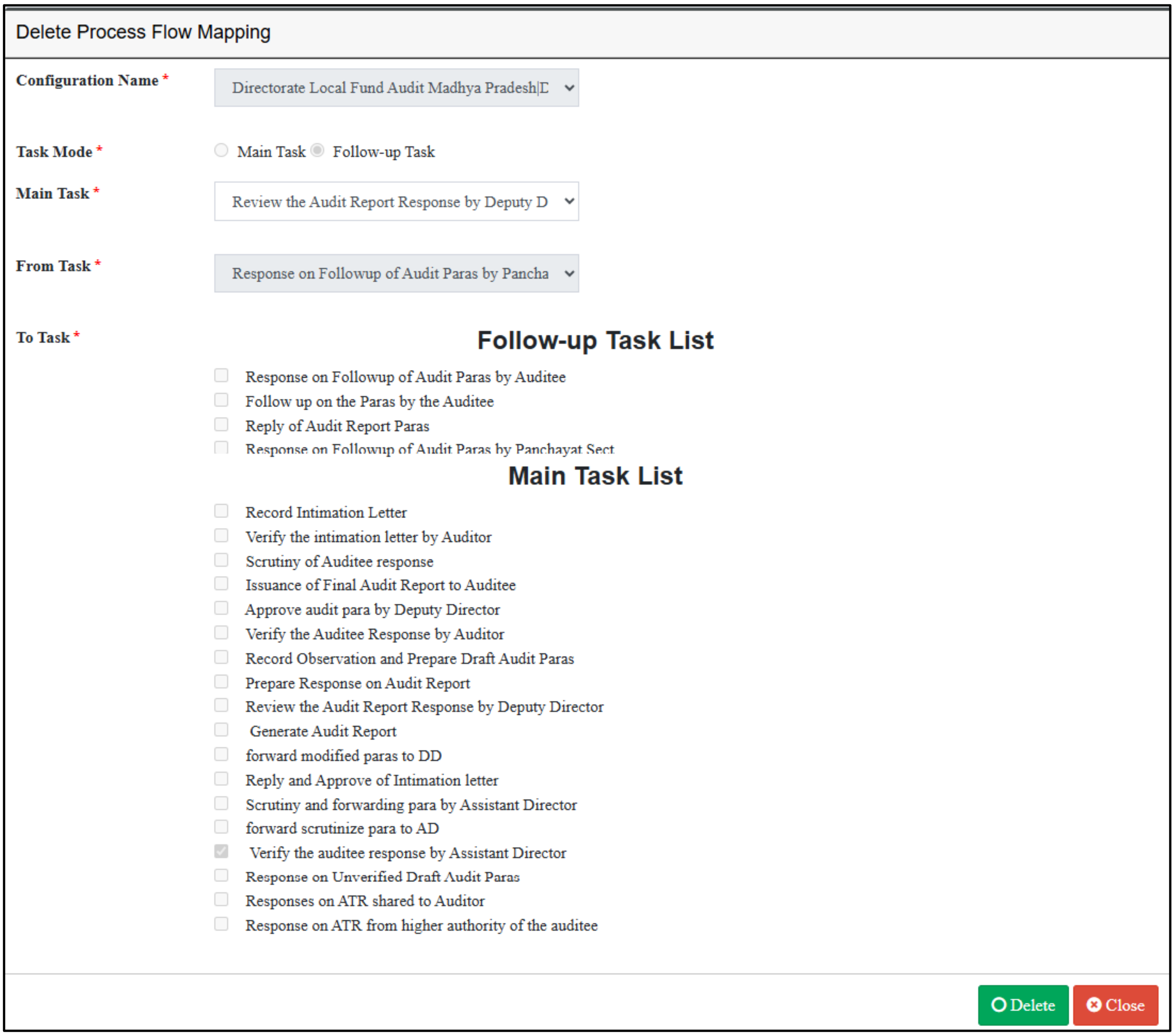


Fig. 5.4.3.2.3.1

Fig. 5.4.3.2.3.2 shows the screen shot when the user deletes the details of the Follow-up Task.


Delete Process Flow Mapping

Configuration Name * Directorate Local Fund Audit Madhya Pradesh|D

Task Mode * Main Task Follow-up Task

Main Task * Review the Audit Report Response by Deputy D

From Task * Response on Followup of Audit Paras by Pancha

To Task *

Follow-up Task List

- Response on Followup of Audit Paras by Auditee
- Follow up on the Paras by the Auditee
- Reply of Audit Report Paras
- Response on Followup of Audit Paras by Panchayat Sect

Main Task List

- Record Intimation Letter
- Verify the intimation letter by Auditor
- Scrutiny of Auditee response
- Issuance of Final Audit Report to Auditee
- Approve audit para by Deputy Director
- Verify the Auditee Response by Auditor
- Record Observation and Prepare Draft Audit Paras
- Prepare Response on Audit Report
- Review the Audit Report Response by Deputy Director
- Generate Audit Report
- forward modified paras to DD
- Reply and Approve of Intimation letter
- Scrutiny and forwarding para by Assistant Director
- forward scrutinize para to AD
- Verify the auditee response by Assistant Director
- Response on Unverified Draft Audit Paras
- Responses on ATR shared to Auditor
- Response on ATR from higher authority of the auditee

Delete Close

Fig. 5.4.3.2.3.2

Pre-Condition

You should login into the application as **Department Administrator** to **Delete Process Flow Mapping**. Process Flow Tasks Mapping should have already been defined. You can open the **Delete Process Flow Mapping** form by clicking the **Process Flow Mapping→ Manage->Delete** option available on the left menu.

The Delete Process Flow Mapping form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to specify the configuration name for which the task mapping is modified. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

2	Task Mode	**Description:** This field is used to specify the task mode from Main Task or task. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Main Task	**Description:** This field will only populate in case the Task Mode has been selected as follow-up Task. This field is used to specify Main Task from which the follow-up Tasks have been defined. **Validation:** **Mandatory/Optional/Read Only:** Read Only
4	From Task	**Description:** This field is used specify the 'From' Task for which the task mapping is modified. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	To Task	**Description:** This field is used select the 'To' Task to which the control must be transferred from the 'From' Task. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Delete Process Flow Mapping form contains the following buttons as indicated below:

- **Delete**: This button allows you to delete the audit team details**.**
- **Close**: This button allows you to abort the Process Flow Mapping operation and close the page.

Flow of Form

To delete Process Flow Mapping, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** to delete process flow task mapping.
2. Click the **Process Flow Mapping-> Manage->Delete** option available on the left menu.
3. After getting the search result in the Manage Process Flow Mapping page, click the delete icon in front of the Task Name to delete the details. The Delete Process flow mapping page is displayed on the screen.
4. If the Task Mode is:

i. **Main Task:** Details such as Configuration Name, Task Mode, From Task and To Task will be available to view in a read only mode.

ii. **Follow-up Task:** Details such as Configuration Name, Task Mode, Main Task, From Task and To Task will be available to view in a read only mode.

5. Click on Delete button to delete the task mapping details.
6. You may click on **Close** button to close the page.

Post-Condition

- Upon clicking **Delete** button, a message "Are you sure that you want delete the record?" will appear. Upon confirmation, the form data will be deleted.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

Sr. No.	Message	Reason	Expected Action
1	Cannot delete the task mapping as Process flow has already been freezed for this configuration name	This message is displayed when the user attempts to delete the process flow task mapping defined for a particular configuration when the process flow has already been freezed	Unfreeze the process flow and delete the task Mapping.

5.4.3.3 Manage Freeze Process Flow

Brief Description

The main purpose of this form is to allow you to Manage Freeze Process Flow Mapping details. This form allows you to search the process flow based on **Configuration Name** search parameter and thereby take necessary actions such as **Re-order, View Re-ordered Process Flow Mapping and Freeze** the process flow mapping details. The process flow mapping details can be re-ordered to create a sequential flow of tasks in the order in which it will get executed. On re-ordering, the process flow could be exported to PDF to know the order of tasks and upon successful re-ordering, the process flow could be freezed. The process flow mapping details once frozen cannot be changed.

In **Fig**. **5.4.3.3.1**, you can see a sample screen shot of **Manage Freeze Process Flow Mapping** form that appears when you logged in as **Department Administrator**.

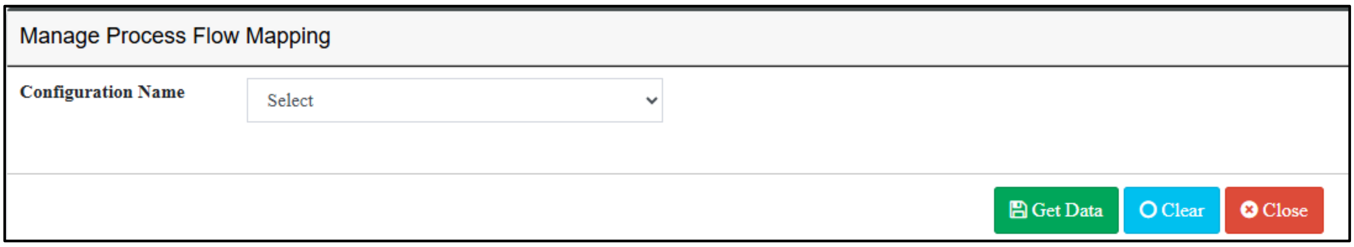


Fig. 5.4.3.3.1

On selecting the desired Configuration Name from the dropdown for which Process Flow Mapping Details needs to be managed and clicking on Get Data button, the details will be populated as shown in **Fig. 5.4.3.3.2.** The user can click on **Re-order, View or Freeze** for taking the necessary action.

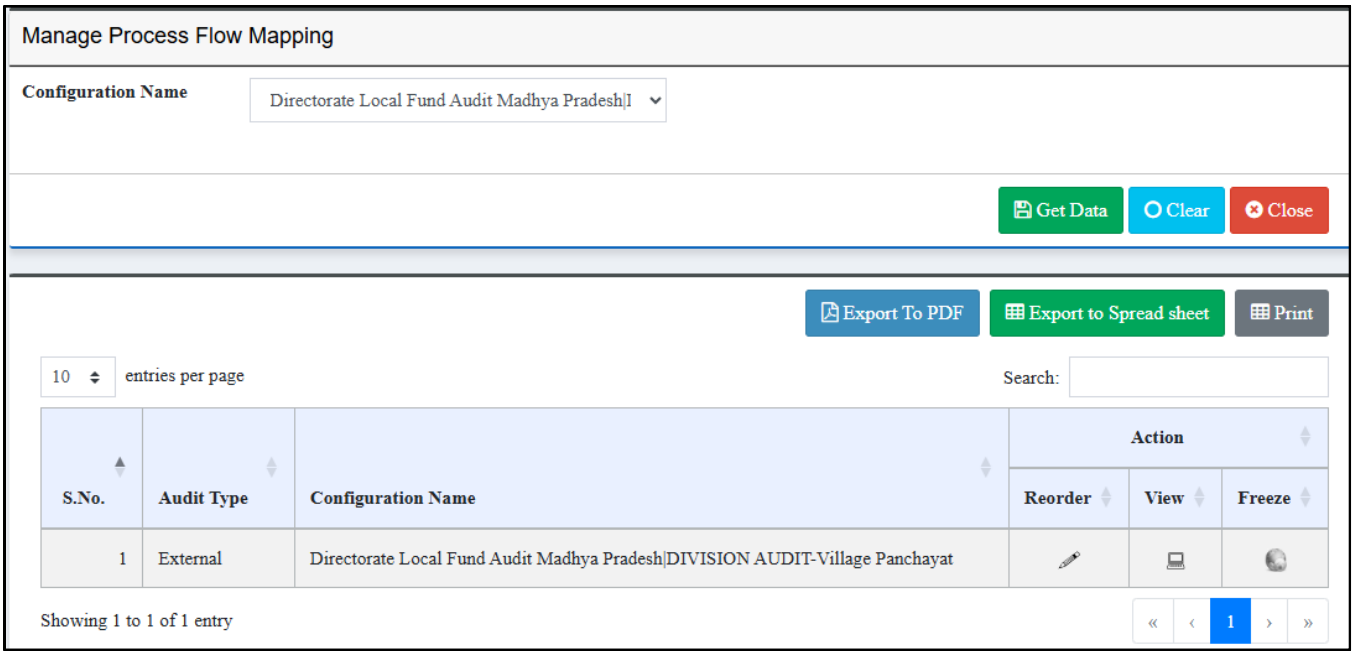


Fig. 5.4.3.3.2

<u>Pre-Condition</u>

You should log in to the application as **Department Administrator** to **Manage Freeze Process Flow Mapping**. You can open the **Manage Freeze Process Flow Mapping** form by clicking the **Process Flow Mapping→ Freeze -**option available on the left menu.

The Manage Freeze Process Flow Mapping form contains the following fields as indicated below:

Sr. No.	**Field Name**	**Description**
1	Configuration Name	**Description:** This field is used to select the configuration name from the dropdown for which the details of the task mapping must be managed. **Validation:** NA **Mandatory/Optional/Read Only:** Optional

Manage Freeze Process Flow Mapping form contains the following buttons as indicated below:

- **Get Data**: This button allows you to display the list of tasks for which the mapping has been specified.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the freeze Process flow mapping operation and close the page.

Flow of Form

To Manage Freeze Process flow mapping, you need to follow the steps as given below:

1. You should login into the application as **Department Administrator** and have privilege to **Manage Freeze Process Flow Mapping.**
2. Click the **Process Flow Mapping-> Freeze** option available on the left menu. The Manage form will appear.
3. Select the desired **Configuration Name** from the dropdown for which task mapping details needs to be managed and click on Get Data to get the desired result.
4. On selection of configuration name, the search result is shown in the **Manage Process Flow mapping** page. The user can see information such as Type of Audit (Internal/External), Configuration Name and Action (**Re-order, View and Freeze**) in the form of grid.
5. Click **Re-order, View and Freeze** against the Configuration Name to take the required action.

Validations/Error Messages

None

5.4.3.3.1 Re-order Process Flow Mapping

Brief Description

The main purpose of this form is to allow you to re-order the process flow task mapping details in the order in which it will get executed. The process flow task mapping can be re-ordered by simply dragging task and dropping it at a point where it shall exist.

In **Fig. 5.4.3.3.1.1** you can see a sample screen shot of **Re-order Process Flow Mapping** form that appears when you logged in as **Department Administrator**.

Reorder Process Flow Mapping

Type	Configuration Name	Auditee Department Name	Auditee Level Name	Auditor Department Name	Auditor Level Name
External	Directorate Local Fund Audit Madhya Pradesh|DIVISION AUDIT-Village Panchayat	Village Panchayat	Village Panchayat	Directorate Local Fund Audit Madhya Pradesh	DIVISION AUDIT

MAIN TASK FOLLOW-UP TASK

From Task	To Task
Record Observation and Prepare Draft Audit Paras (Assistant Auditor,District Auditor,Senior Auditor,Sub Auditor)	Scrutiny and forwarding para by Assistant Director
forward scrutinize para to AD (Assistant Auditor,Assistant Director)	forward modified paras to DD
forward modified paras to DD (Deputy Director)	Generate Audit Report
Generate Audit Report (Deputy Director)	Prepare Response on Audit Report
Prepare Response on Audit Report (Sarpanch)	Verify the auditee response by Assistant Director
Record Intimation Letter (Senior Auditor,Sub Auditor,Assistant Auditor,District Auditor,Additional Director)	Reply and Approve of Intimation letter
Reply and Approve of Intimation letter (Sarpanch)	Verify the intimation letter by Auditor
Response on ATR from higher authority of the auditee (Janpad Panchayat Adhyaksha)	Responses on ATR shared to Auditor
Response on Followup of Audit Paras by Panchayat Sect (Sarpanch)	Verify the auditee response by Assistant Director
Response on Unverified Draft Audit Paras (Additional Director,Assistant Auditor)	Approve audit para by Deputy Director Scrutiny and forwarding para by Assistant Director
Review the Audit Report Response by Deputy Director (Deputy Director)	Response on ATR from higher authority of the auditee Response on Followup of Audit Paras by Panchayat Sect
Scrutiny and forwarding para by Assistant Director (Assistant Auditor,Assistant Director)	Approve audit para by Deputy Director Response on Unverified Draft Audit Paras
Verify the auditee response by Assistant Director (Additional Director,Assistant Director)	Review the Audit Report Response by Deputy Director
Approve audit para by Deputy Director (Deputy Director)	Generate Audit Report Response on Unverified Draft Audit Paras
Verify the intimation letter by Auditor (Sub Auditor,District Auditor,Assistant Auditor,Senior Auditor)	Record Observation and Prepare Draft Audit Paras

Save Close

Fig. 5.4.3.3.1.1

Pre-Condition

You should log in to the application as **Department Administrator** to **Re-order Process Flow Mapping**. Tasks have already been defined and mapped for the process flow. You can open the **Re-order Process Flow Mapping** by clicking the **Process Flow Mapping→ Freeze->Re-order** option available on the left menu. The Re-order Process Flow Mapping form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Type	**Description:** This field is used to specify the type of audit (External/Internal). **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Configuration Name	**Description:** This field is used to specify the Configuration Name for which the details are re-ordered. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Auditee Department	**Description:** This field is used to specify Auditee Department which will be audited. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Auditee level Name	**Description:** This field is used to specify the level of Auditee which will be audited. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Auditor Department	**Description:** This field is used to specify the Auditor Department that will be performing the audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

6	Auditor Level Name	**Description:** This field is used to specify the level of Auditor that will be performing the audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	From Task	**Description:** This field is used to specify the list of From Tasks. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
8	To Task	**Description:** This field is used to specify the list of To Tasks. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Re-order Process Flow Mapping form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Close**: This button allows you to abort the re-order Process Flow Mapping operation and close the page.

Flow of Form

To re-order Process Flow Mapping, you need to follow the steps given below:

1. You should log in to the application as **Department Administrator** and re- order process flow task mapping.
2. Click the **Process Flow Mapping-> Freeze-> Re-order** option available on the left menu.
3. After getting the search result in the Manage Process Flow Mapping page, click the Re-order icon against the configuration Name for which details need to be re-ordered. The Re-order Process flow mapping details page is displayed on the screen.
4. Details such as Type (Internal/External), Configuration Name, Auditor Department, Auditee Level, Auditor Department and Auditor Level will be available in read only mode in the first grid.
5. In the second grid, users can see **From Task and To Task**.
6. Re-order the task starting from the first task in the order in which it will be executed by simply dragging the task and dropping it at the point where it shall be placed.
7. Click on **Save** button to save the re-order task mapping details or **Close** button to discard the

details and close the page.

Post-Condition

- Upon clicking **Save** button, data will be saved in the database and a message "Data Saved Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Tasks have not been defined for the selected configuration name	This message is displayed when the user attempts to re-order the process flow when the tasks have not been defined for the selected configuration name.	Define tasks for selected configuration and then perform reordering of process flow mapping.
2	Task mapping has not been done for the selected configuration name	This message is displayed when the user attempts to re-order the process flow mapping when the tasks have not been mapped for the selected configuration name.	Map tasks for selected configuration and then perform reordering of process flow mapping.
3	Task is not in sequence order i.e. 'From' task is not the 'To' task of the previous task	This message is displayed when the user attempts to re-order task details when the sequence of the task i.e. next 'From' task is not the 'To' task of the previous task	Reorder the task details where the sequence of the task i.e. next 'From' task is not the 'To' task of the previous task
4	Task cannot be re-ordered as the process flow has already been freezed for this configuration name	This message is displayed when the user attempts to re-order the task when the process flows for the configuration has already been freezed.	NA

5.4.3.3.2 View Re-ordered Process Flow Mapping

Brief Description

The main purpose of this form is to allow you to View the re-ordered process flow task mapping details in the order it will get executed. A PDF can also be exported to know the sequential flow of tasks defined for the process flow once re-ordered.

Reorder Process Flow Mapping

Type	Configuration Name	Auditee Department Name	Auditee Level Name	Auditor Department Name	Auditor Level Name
External	Directorate Local Fund Audit Madhya Pradesh|DIVISION AUDIT-District Panchayat			Directorate Local Fund Audit Madhya Pradesh	DIVISION AUDIT

MAIN TASK FOLLOW-UP TASK

From Task	To Task
Issuance of Audit Intimation Letter (District Auditor,Senior Auditor)	Reply the Intimation Letter by Zilla Panchayat
Reply the Intimation Letter by Zilla Panchayat (Chief Executive Officer)	Verify the Intimation letter
Verify the Intimation letter (District Auditor,Senior Auditor)	Prepare Draft Audit Paras Reply the Intimation Letter by Zilla Panchayat
Prepare Draft Audit Paras (District Auditor,Senior Auditor)	Approve Draft Audit Report by Joint Director Scrutinize of draft Audit Paras
Approve Draft Audit Report by Joint Director (Joint Director)	Generate and issue audit report by Joint Director Response on unverified paras
Scrutinize of draft Audit Paras (Assistant Director)	Approve Draft Audit Report by Joint Director Response on unverified paras
Response on unverified paras (District Auditor,Senior Auditor)	Approve Draft Audit Report by Joint Director Scrutinize of draft Audit Paras
Generate and issue audit report by Joint Director (Joint Director)	Prepare Response on Audit Report by Zila Panchayat
Prepare Response on Audit Report by Zila Panchayat (Chief Executive Officer)	Verify the auditee response by Assistant Director
Verify the auditee response by Assistant Director (Assistant Director)	Approve Recommendations on Auditee response by Joint Director
Approve Recommendations on Auditee response by Joint Director (Joint Director)	Follow up with the Zilla Panchayat for Paras
Follow up with the Zilla Panchayat for Paras (Chief Executive Officer)	Verify the auditee response by Assistant Director

Generate Report Close

5.4.3.3.2.1

In **Fig. 5.4.3.3.2.1** you can see a sample screen shot of **View Re-ordered Process Flow Mapping** form that appears when you logged in as **Department Administrator**.

Pre-Condition

You should log in to the application as **Department Administrator** to **View Re- ordered Process Flow Mapping**. Tasks have already been defined, mapped and re-ordered for the process flow. You can open the **View Re-ordered Process Flow Mapping** form by clicking the **Process Flow Mapping→ Freeze-> View** option available on the left menu.

The View Re-ordered Process Flow Mapping form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Type	**Description:** This field is used to specify the type of audit (External/Internal). **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Configuration Name	**Description:** This field is used to specify the Configuration Name for which the details are re-ordered. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Auditee Department	**Description:** This field is used to specify Auditee Department which will be audited. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Auditee level Name	**Description:** This field is used to specify the level of Auditee which will be audited. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Auditor Department	**Description:** This field is used to specify the Auditor Department that will be performing the audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

6	Auditor Level Name	**Description:** This field is used to specify the level of Auditor that will be performing the audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	From Task	**Description:** This field is used to specify the list of From Tasks. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
8	To Task	**Description:** This field is used to specify the list of To Tasks. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

View Re-ordered Process Flow Mapping form contains the following buttons as indicated below:

- **Generate Report:** This button allows you to export the task mapping details in the PDF belonging to a particular Configuration Name.
- **Close**: This button allows you to abort the re-order Process Flow Mapping operation and close the page.

Flow of Form

To View re-ordered Process Flow Mapping, you need to follow the steps as given below:

1. You should login into the application as **Department Administrator** to re- order process flow task mapping.
2. Click the **Process Flow Mapping-> Freeze-> View** option available on the left menu.
3. After getting the search result in the Manage Process Flow Mapping page, click the View icon against the configuration Name for which details need to be viewed. The View Re-ordered Process flow mapping details page is displayed on the screen.
4. Details such as Type (Internal/External), Configuration Name, Auditor Department, Auditee Level, Auditor Department, Auditor Level will be available in read only mode in the first grid.
5. In the second grid, user can view **from task and To Task**.
6. Click on **Generate Report** to export the task mapping details in PDF.
7. Click on **Close** button to close the page.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Tasks have not been defined for the selected configuration name	This message is displayed when the user attempts to View the process flow task mapping when the tasks have not been defined for the selected configuration name.	Define tasks for selected configuration and then perform viewing of process flow mapping.
2	Task mapping has not been done for the selected configuration name	This message is displayed when the user attempts to View the process flow task mapping when the tasks have not been mapped for the selected configuration name.	Map tasks for selected configuration and then perform viewing of process flow mapping.

5.4.3.3.3 Freeze Re-ordered Process Flow Mapping

Brief Description

The main purpose of this form is to allow you to Freeze the re-ordered process flow task mapping details in the order it will get executed. Process Flow once freezes, cannot be changed. A PDF can be exported to know the sequential flow of tasks defined for the process flow.

In **Fig. 5.4.3.3.3.1** you can see a sample screen shot of **Freeze Process Flow Mapping** form that appears when you logged in as **Department Administrator**.

Reorder Process Flow Mapping

Type	Configuration Name	Auditee Department Name	Auditee Level Name	Auditor Department Name	Auditor Level Name
External	Directorate Local Fund Audit Madhya Pradesh|DIVISION AUDIT-Village Panchayat	Village Panchayat	Village Panchayat	Directorate Local Fund Audit Madhya Pradesh	DIVISION AUDIT

MAIN TASK FOLLOW-UP TASK

From Task	To Task
Record Observation and Prepare Draft Audit Paras (Assistant Auditor,District Auditor,Senior Auditor,Sub Auditor)	Scrutiny and forwarding para by Assistant Director
forward scrutinize para to AD (Assistant Auditor,Assistant Director)	forward modified paras to DD
forward modified paras to DD (Deputy Director)	Generate Audit Report
Generate Audit Report (Deputy Director)	Prepare Response on Audit Report
Prepare Response on Audit Report (Sarpanch)	Verify the auditee response by Assistant Director
Record Intimation Letter (Senior Auditor,Sub Auditor,Assistant Auditor,District Auditor,Additional Director)	Reply and Approve of Intimation letter
Reply and Approve of Intimation letter (Sarpanch)	Verify the intimation letter by Auditor
Response on ATR from higher authority of the auditee (Janpad Panchayat Adhyaksha)	Responses on ATR shared to Auditor
Response on Followup of Audit Paras by Panchayat Sect (Sarpanch)	Verify the auditee response by Assistant Director
Response on Unverified Draft Audit Paras (Additional Director,Assistant Auditor)	Approve audit para by Deputy Director Scrutiny and forwarding para by Assistant Director
Review the Audit Report Response by Deputy Director (Deputy Director)	Response on ATR from higher authority of the auditee Response on Followup of Audit Paras by Panchayat Sect
Scrutiny and forwarding para by Assistant Director (Assistant Auditor,Assistant Director)	Approve audit para by Deputy Director Response on Unverified Draft Audit Paras
Verify the auditee response by Assistant Director (Additional Director,Assistant Director)	Review the Audit Report Response by Deputy Director
Approve audit para by Deputy Director (Deputy Director)	Generate Audit Report Response on Unverified Draft Audit Paras
Verify the intimation letter by Auditor (Sub Auditor,District Auditor,Assistant Auditor,Senior Auditor)	Record Observation and Prepare Draft Audit Paras

Freeze Generate Report Close

Fig. 5.4.3.3.3.1

Pre-Condition

You should login into the application as **Department Administrator** and have privilege to **Freeze Process Flow Mapping**. Tasks have already been defined, mapped and re-ordered for the process flow.

You can open the **Freeze Process Flow Mapping** form by clicking the **Process Flow Mapping→ Freeze-> Freeze** option available on the left menu.

The Freeze Process Flow Mapping form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Type	**Description:** This field is used to specify the type of audit (External/Internal). **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Configuration Name	**Description:** This field is used to specify the Configuration Name for which the details are re-ordered. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Auditee Department	**Description:** This field is used to specify Auditee Department which will be audited. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Auditee level Name	**Description:** This field is used to specify the level of Auditee which will be audited. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Auditor Department	**Description:** This field is used to specify the Auditor Department that will be performing the audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

6	Auditor Level Name	**Description:** This field is used to specify the level of Auditor that will be performing the audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	From Task	**Description: This field is used to specify the list of From Tasks.** **Validation: NA** **Mandatory/Optional/Read Only: Read Only**
8	To Task	**Description: This field is used to specify the list of To Tasks.** **Validation: NA** **Mandatory/Optional/Read Only: Read Only**

Freeze Process Flow Mapping form contains the following buttons as indicated below:

- **Freeze**: This button allows you to freeze the data.
- **Generate Report:** This button allows you to export the task mapping details in the PDF belonging to a particular Configuration Name.
- **Close**: This button allows you to abort the re-order Process Flow Mapping operation and close the page.

Flow of Form

To Freeze Process Flow Mapping, you need to follow the steps as given below:

1. You should login into the application as **Department Administrator** to Freeze process flow task mapping.
2. Click the **Process Flow Mapping-> Freeze-> Freeze** option available on the left menu.
3. After getting the search result in the Manage Process Flow Mapping page, click the Freeze icon against the configuration Name for which details need to be freezed. The Freeze Process flow mapping details page is displayed on the screen.
4. Details such as Type (Internal/External), Configuration Name, Auditor Department, Auditee Level, Auditor Department, Auditor Level will be available in read only mode in the first grid.
5. In the second grid, user can view **From task and To Task**.
6. Click on **Freeze** button to freeze the process flow. Data freezes cannot be changed.
7. Click on **Generate Report** to export the task mapping details in PDF.
8. Click on **Close** button to close the page.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Tasks have not been defined for the selected configuration name	This message is displayed when the user attempts to View the process flow task mapping when the tasks have not been defined for the selected configuration name.	Define tasks for selected configuration and then perform viewing of process flow mapping.
2	Task mapping has not been done for the selected configuration name	This message is displayed when the user attempts to View the process flow task mapping when the tasks have not been mapped for the selected configuration name.	Map tasks for selected configuration and then perform viewing of process flow mapping.
3	Process Flow has already been freezed.	This message is displayed when the user attempts to freeze the process flow when it is already freezed.	NA

5.4.4 Dynamic Form

5.4.4.1 Add

Brief Description

The main purpose of this form is to allow you to create the dynamic form for Case Sheet, Fact Sheet and Report (linking it to the external system by providing the URL) for capturing the Auditor's input as per the defined parameters.

Fact sheet basically defines the parameters/fields on which Auditor records the observations against each category and sub category. For each category and sub category there can be only one form with many fields which auditor department can create which would be used for recording certain figures/data whereas **Case sheet** basically includes certain basic details on which Auditor records the defaulter's information before recording the observations. Report is used for defining the form/fields by defining the parameters on which the external system would be queried based on the URL entered.

In **Fig 5.4.5.1.1**, you can see a sample screen shot of the **Add Dynamic form** that appears when you logged in as **Department Administrator or State Administrator.** The field marked with the * symbol is mandatory and must contain some value.

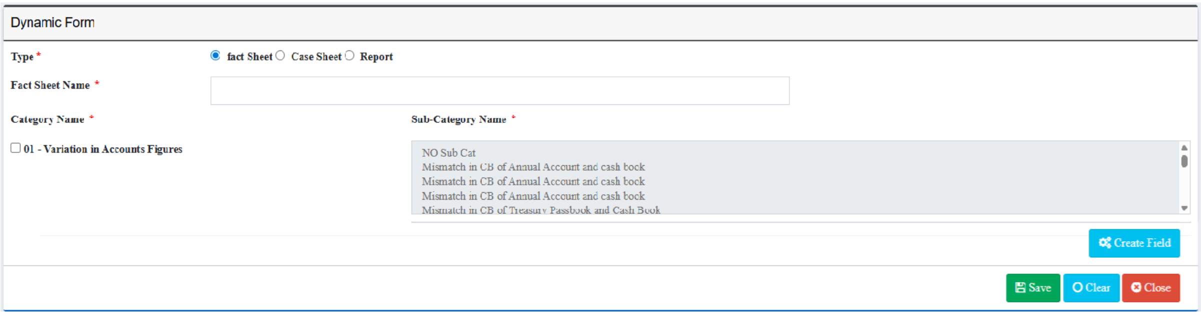


Fig 5.4.5.1.1

In Fig 5.4.5.1.2, users can see a sample screen for the types of fields that user can define when Create Field button is clicked.

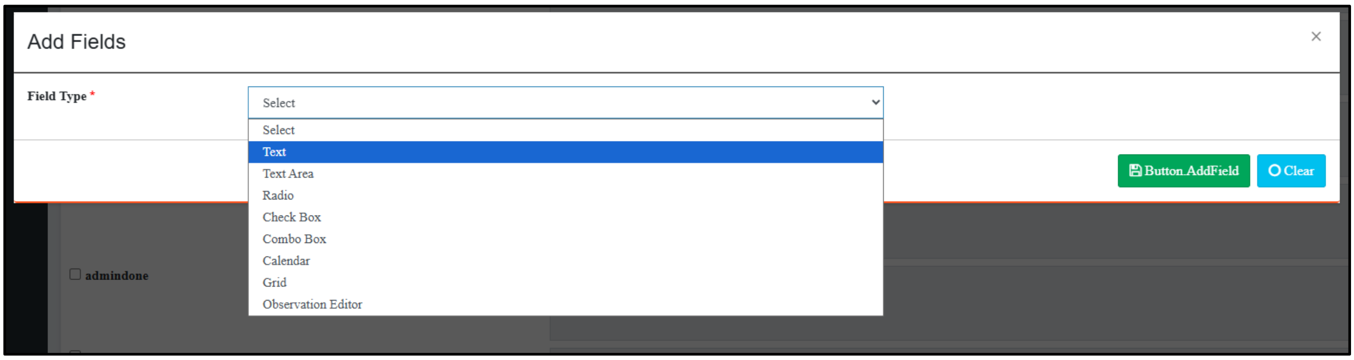


Fig 5.4.5.1.2

In **Fig 5.4.5.1.3,** user can see a sample screen for the information that a user has to enter when field type **Text** or **Text Area** is selected.

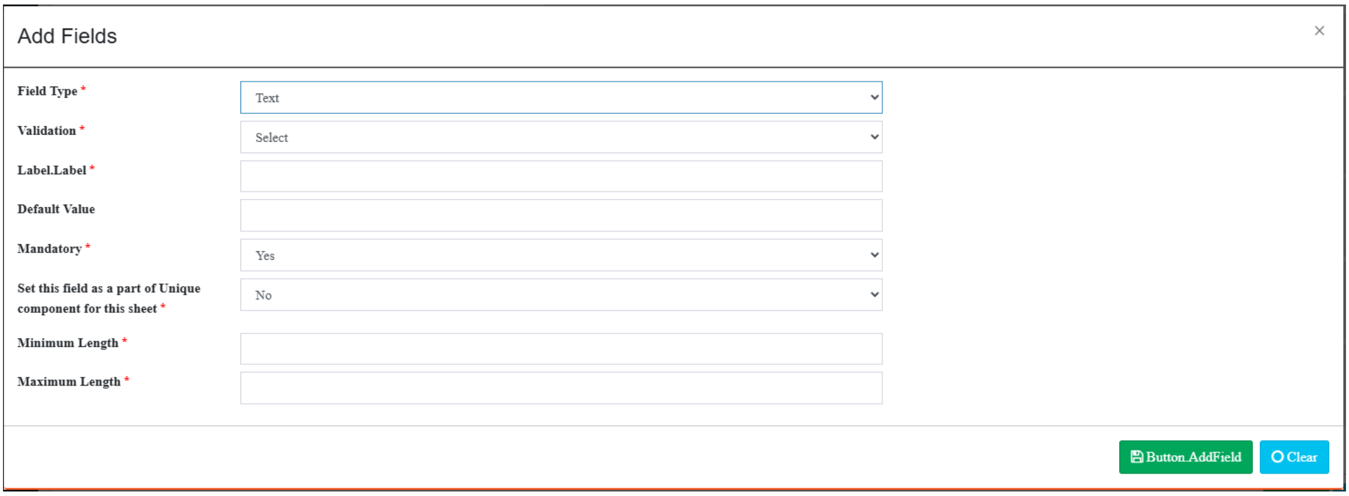


Fig 5.4.5.1.3

In **Fig 5.4.5.1.4,** user can see a sample screen for the information that a user has to enter when field type **Radio, Check box** or **Combo Box** is selected.

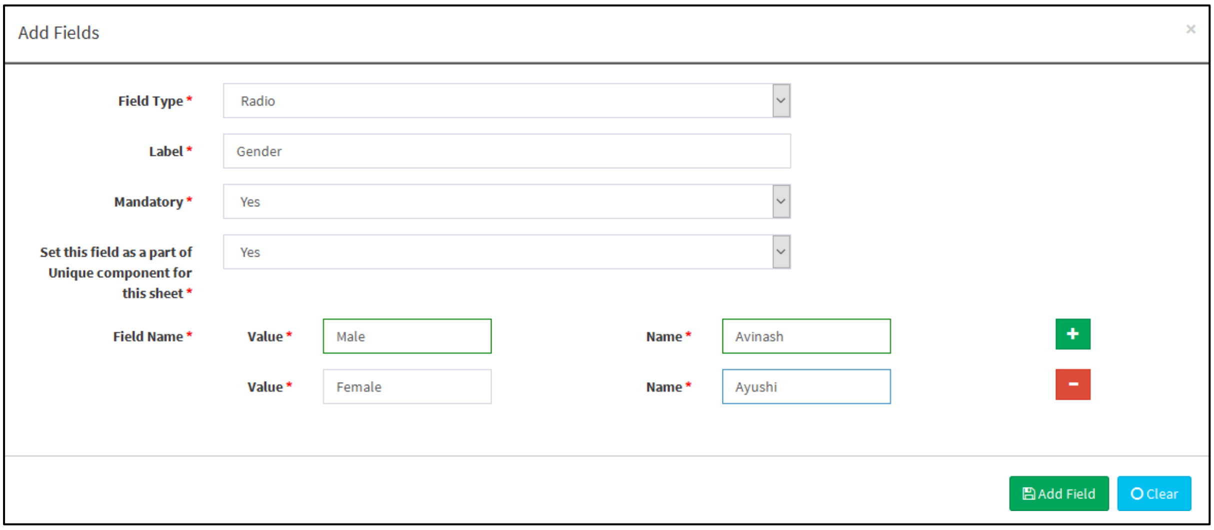


Fig 5.4.5.1.4

In **Fig 5.4.5.1.5,** user can see a sample screen for the information that a user has to enter when field type **Calendar** or **File** is selected.

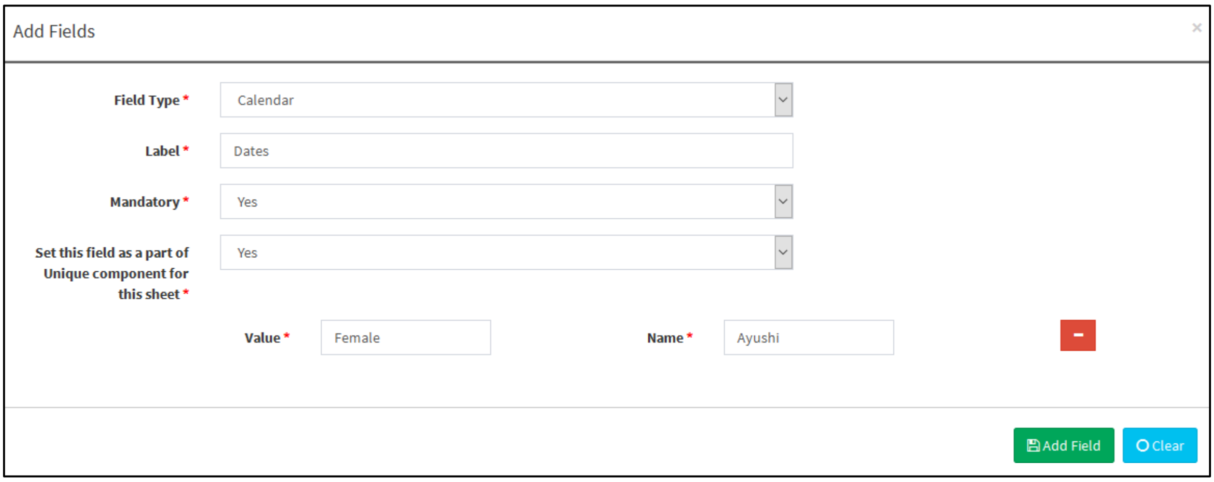


Fig 5.4.5.1.5

In **Fig 5.4.5.1.6,** user can see a sample screen for the information that a user has to enter when field type **Grid** is selected.

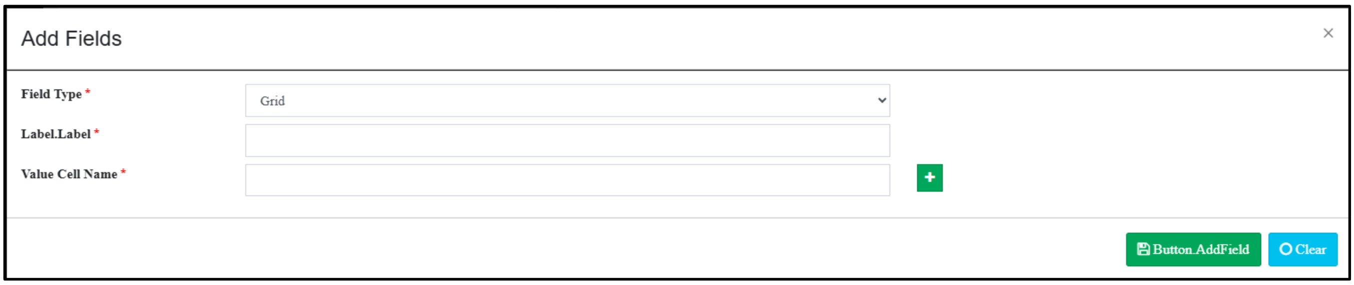


Fig 5.4.5.1.6

In **Fig 5.4.5.1.7,** user can see a sample screen for the information when type Fact Sheet has been selected. When selecting type as fact sheet, user must select the category and sub category for which the dynamic form is created.

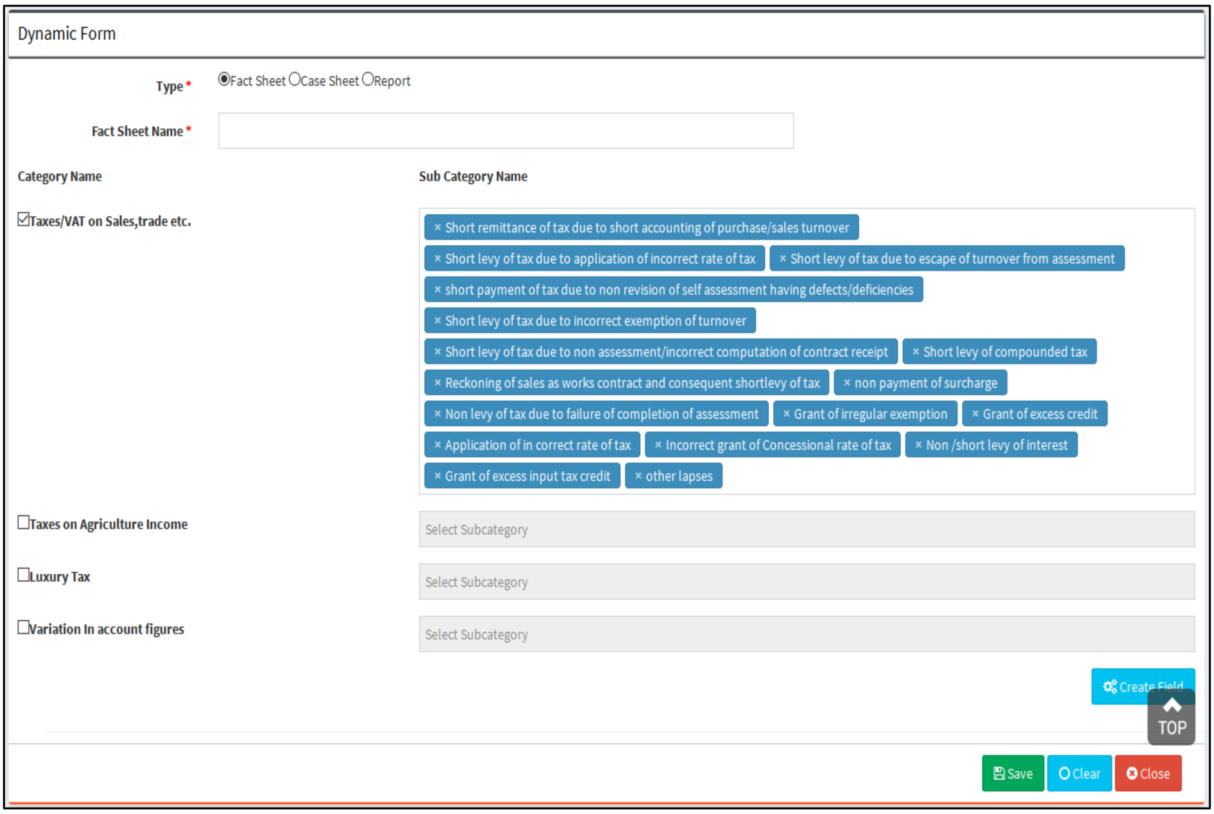


Fig 5.4.5.1.7

Pre-Condition

You should login into the application as **Department Administrator or State Administrator** and have privilege to **Add Dynamic Form**. You can open the **Add Dynamic Form** by clicking the **Dynamic Form → Add** option available on the left menu.

The Add Dynamic form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Type	**Description:** This field is used to select from Fact sheet, Case sheet or Report. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Category Name	**Description:** This field is used to select from the list of categories when **type Fact Sheet or Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Sub-Category Name	**Description:** This field is used to select from the list of sub-categories when **type Fact Sheet or Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Name (Fact Sheet/ Case Sheet/ Report)	**Description:** This field is used to specify a name to the Fact Sheet, Case Sheet or Report. **Validation: 1)** It should be unique. 2) Alphabets and numbers are allowed. 3) Special characters are not allowed. 4) Only 99 characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
5	URL	**Description:** This field is used to specify a URL when **type Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
6	Field Type	**Description:** This field is used to populate the selected field type **Validation:** NA

		Mandatory/Optional/Read Only: Mandatory
7	Validation	**Description:** This field is used to specify the validations from Only Char, Numeric or Both to specify the type of values it can hold. This will only populate when field type is selected as Text or Text Area. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Label	**Description:** This field is used to specify a label name to the field type selected. **Validation: 1)** It should be unique. 2) Only Alphabets are allowed. 3) Only 99 alphabets are allowed. **Mandatory/Optional/Read Only:** Mandatory
9	Mandatory	**Description:** This field is used to specify the mandatory nature of the form field. The values are Yes or No. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
10	Field Name	**Description:** This field is used to specify a field name if the Field type is Radio, checkbox and Combo box. **Validation: 1)** It should be unique. 2) Alphabets and numbers are allowed. 3) Only 99 characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
11	Column Labels	**Description:** This field is used to specify the column names if the Field type is selected as **Grid**. **Validation: 1)** It should be unique. 2) Alphabets and numbers are allowed. 3) Only 99 characters are allowed. **Mandatory/Optional/Read Only:** Mandatory

Add Dynamic Form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.

- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the add operation and close the page.
- **Delete**: This button allows you to delete the fields added.

Flow of Form

To add dynamic form, you need to follow the steps as given below:

1. You should log in into the application as **Department Administrator or State Administrator** and have privilege to add dynamic form.
2. Click the **Dynamic Form -> Add** option available on the left menu. The add form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select Type of dynamic form to be defined from Case Sheet, Fact Sheet or Report.
4. If the user has selected:

   i. **Case Sheet**: User will enter the details such as Case Sheet Name and define the form fields by clicking on Create Field button. Only one case sheet form can be created for a particular department.

   ii. **Fact Sheet**: User will select from the list of already defined categories and sub categories, specify the Fact sheet name and define the form by clicking on Create Field button. User can create a different form for each sub category belonging to a particular category or if the form fields are same for each sub category then user may select all the categories and sub categories and define a form. Only one form can be created for each sub category belonging to a particular category.

   iii. **Report**: User will select from the list of already defined categories and sub categories, specify the Report name, specify the URL which will be used for querying the external system for which the link has been provided based on the parameters being defined and define the form by clicking on Create Field button. Users can create a different form for each sub category belonging to a particular category. Only one form can be created for each sub category belonging to a particular category.
5. On click of **Create Field** button, a pop up will open. Specify the Field Type from **Text, Text Area, Radio, Checkbox, Combo box, Calendar, File and Grid** for which the field is required to be created.
6. If the user has selected,

i. **Text and Text Area**: Enter the following details:
   - **Validation**: Specify whether the text type field would accept Only Char, Numeric or both types of input.
   - **Label**: Specify a label to the field.
   - **Mandatory**: Specify whether the field would be mandatory or not.

ii. **Radio, Check box and Combo box:** Enter the following details:
   - **Label**: Specify a label to the field.
   - **Mandatory**: Specify whether the field would be mandatory or not.
   - **Field Name**: Specify the Value and Name that this field type would have. Users can add more than one value by clicking on **Add** button. Click the **Cross** button **(X)** to delete the row.

iii. **Calendar and File**: Enter the following details:
   - **Label**: Specify a label to the field.
   - **Mandatory**: Specify whether the field would be mandatory or not.

iv. **Grid:** Enter the following details:
   - **Label**: Specify a label to the field.
   - **Column Name:** Specify the column name that the grid would have. Users can add more than one column by clicking on **Add** button. Click the **Cross** button **(X)** to delete the value.

7. Click on **Add Field** button after defining a field to add more fields or click on **Clear** button to clear the values entered in the fields.
7. Click on **Cross** icon **(X)** to close the pop up and return to the main page.
8. Once all the field have been added, user can re-order them by simply dragging and drop or may delete a field by clicking on cross icon.
9. Click on **Save** button to save the form details, **Clear** to clear the form details, or Close to close the form.

Post-Condition

- Upon clicking **Save** button, data will be saved in the database and a message "Data Saved Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.
- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the form fields will be cleared.

- Upon clicking the **Cross** icon (X) on the main page, a message ", Are you sure you want to delete this row?" will appear. Upon confirmation, the form field will be deleted.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	The Field Is Required	This message is displayed when the user attempts to save without entering any data in the mandatory fields marked with *.	Enter relevant data in the mandatory fields.
2	Categories have not been defined. Add Category first	This message is displayed when the user attempts to Create Fact Sheet or Report when the Category has not been defined yet.	Define Category and then create Fact Sheet or Report
3	Sub-Categories have not been defined. Add Sub Category first	This message is displayed when the user attempts to Create Fact Sheet or Report when the Sub Category has not been defined yet.	Define Sub-Category and then create Fact Sheet or Report
4	Label is Required	This message is displayed when the user attempts to Add field when the label has not been defined for a particular field type.	Define the label name
5	Field label already exists	This message is displayed when the user attempts to Add field when the same label has already been defined belonging to the particular type.	Define a different label and then attempt to add a field
6	Minimum 2 field name is required for radio field type	This message is displayed when the user attempts to save the form when only one field name is specified for Radio Field type.	Specify at least two fields for Radio Field type and then attempt to add field

7	Case Record already exists	This message is displayed when the user attempts to add the case record details when the case record already exists.	Only one case record can be defined for 1 department
8	Fact Sheet/Report is already associated with this category and sub category	The user attempts to add the fact sheet details belonging to a particular category and sub category when it already exists.	One Fact Sheet/ Report can be defined belonging to one category and sub category
9	At least one field should be added	This message is displayed when the user clicks on save button when no fields have been defined	Define at least one field
10	Fact sheet/Case Sheet/Report name already exists	This message is displayed when the user attempts to save the Fact sheet/Case Sheet/Report name when the same already exists	Enter a unique Fact sheet/Case Sheet/Report name
11	Only 99 characters are allowed.	This message is displayed when the user attempts to enter the Label name with more than 99 characters.	Enter label less than 99 characters.

5.4.4.2 Manage Dynamic Form

Brief Description

The main purpose of this form is to allow you to manage the dynamic form details. When you click on **Manage** in the **Dynamic Form**, the Manage Dynamic form appears. This form allows you to search the dynamic form based on **Type** (Fact Sheet, Case Sheet or Report) and thereby take necessary actions such as View, Modify and Delete.

In **Fig**. **5.4.5.2.1**, you can see a sample screen shot of **Manage Dynamic Form** that appears when you logged in as **Department Administrator or State Administrator.** The field marked with the * symbol is mandatory and must contain some value.

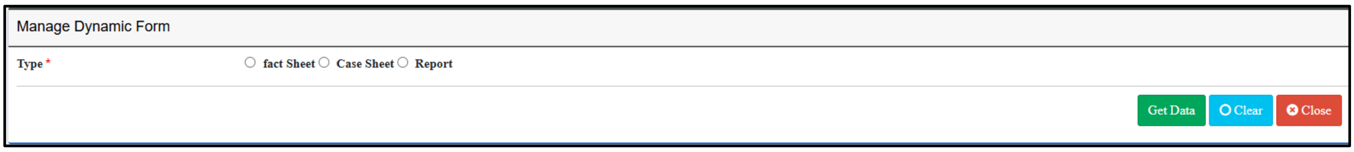
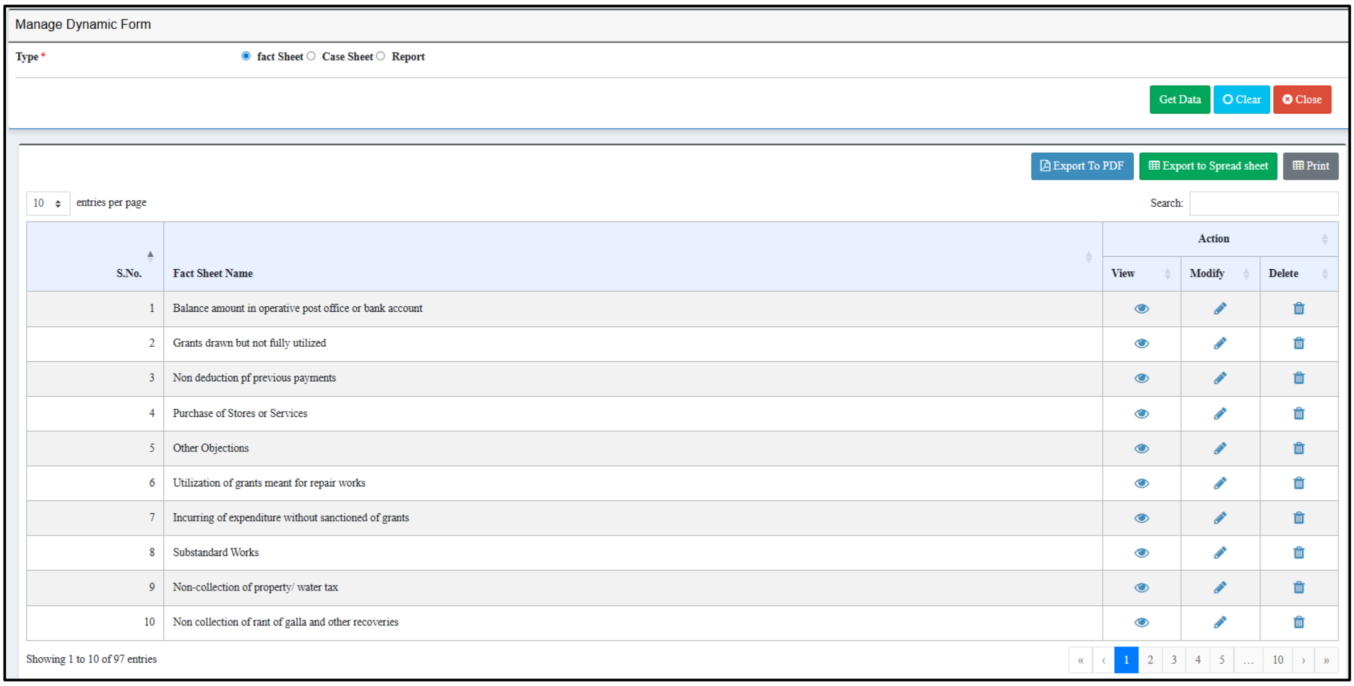


Fig. 5.4.5.2.1

In **Fig. 5.4.5.2.2**, you can see a sample screen shot of **Manage Dynamic form** that appears when you click on GetData button for managing the details.



S.No.	Fact Sheet Name	View	Modify	Delete
1	Balance amount in operative post office or bank account			
2	Grants drawn but not fully utilized			
3	Non deduction pf previous payments			
4	Purchase of Stores or Services			
5	Other Objections			
6	Utilization of grants meant for repair works			
7	Incurring of expenditure without sanctioned of grants			
8	Substandard Works			
9	Non-collection of property/ water tax			
10	Non collection of rant of galla and other recoveries			

Fig. 5.4.5.2.2

Pre-Condition

You should login into the application as a **Department Administrator or State Administrator** and have privilege to **Manage Dynamic Form**. You can open the Manage Dynamic Form by clicking the **Dynamic Form → Manage** option available on the left menu.

The Manage dynamic form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Type	**Description:** This field is used to select the type of dynamic form (Fact Sheet, Case Sheet or Report). **Validation:** NA **Mandatory/Optional/Read Only:** Optional

Manage Dynamic form contains the following buttons as indicated below:

- **Get Data**: This button allows you to display the list of defined dynamic form based on the selected type.

- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort manage dynamic form operation and will close the page.

Flow of Form

To manage dynamic form, you need to follow the steps as given below:

1. You should log in into the application as **Department Administrator or State Administrator** and have privilege to **Manage dynamic form.**
2. Click the **Dynamic Form -> Manage** option available on the left menu. The Manage form will appear.
3. Select the desired **Type** from Fact Sheet, Case Sheet or Report.
4. Click the **Get Data** button to get the dynamic form details based on selected Type. The search result is shown in the Manage Dynamic form. The user can see information such as Fact Sheet/Case Sheet/Report Name depending on the type selected and Action (**View, Modify and Delete**) in the form of grid.
5. Click Modify, View or Delete against the record to take the required action.
6. Click on **Close** button to close the Manage dynamic form page or **Clear** button to clear the values entered in the search criteria.

Post-Condition

- Upon clicking **Get Data** button, dynamic form details are displayed, and the user can take the necessary action from View, Modify, and Delete.
- Upon clicking **Clear** button, a message “All details entered in the form would be lost. Do you want to continue?” will appear. Upon confirmation, the details entered in the form fields will be cleared.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action

1	Please select Type!	This message is displayed when the user attempts to click on GetData button without selecting Type.	Select Type before clicking GetData
2	No data found for the selected Type	This message is displayed when the user attempts to click on GetData when no dynamic form has been added against a particular type	NA

5.4.4.2.1 Modify Dynamic Form

Brief Description

The main purpose of this form is to allow you to modify dynamic form details. When you click on **Modify** in the **Manage Dynamic form**, the Modify form appears. This form displays details such as Fact Sheet, Case Sheet or Report Name and allows you to make desired changes.

In **Fig 5.4.5.2.1.1**, you can see a sample screen shot of the **Modify Dynamic Form** that appears when you logged in as **Department Administrator or State Administrator**. The field marked with the * symbol is mandatory and must contain some value.

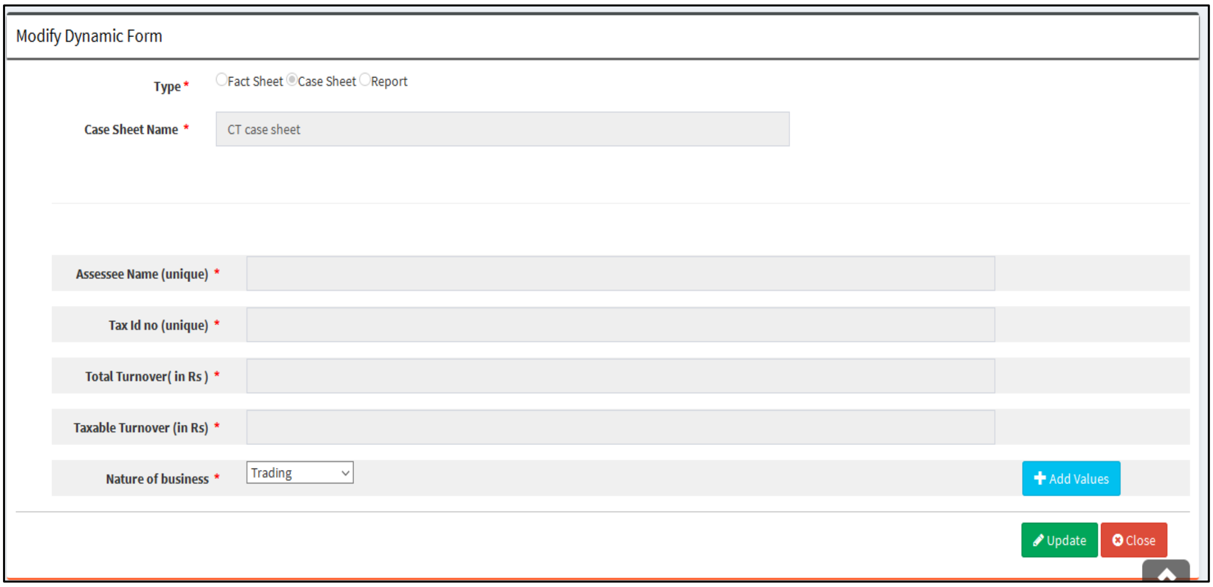


Fig 5.4.5.2.1.1

Pre-Condition

You should login into the application as **Department Administrator or State Administrator** and have privilege to **Modify Dynamic form**. You can modify the dynamic form details (Fact Sheet, Case Sheet or Report) when the details have already been added. You can open the Modify Dynamic form by clicking the **Dynamic Form -> Manage -> Modify** option available on the left menu.

The Modify dynamic form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Type	**Description:** This field is used to specify from Fact sheet, Case sheet or Report. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Category Name	**Description:** This field is used to select from the list of categories when **type Fact Sheet** or **Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Sub-Category Name	**Description:** This field is used to select from the list of sub-categories when **type Fact Sheet** or **Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Name (Fact Sheet/ Case Sheet/ Report)	**Description:** This field is used to specify a name to the Fact Sheet, Case Sheet or Report. **Validation: 1)** It should be unique. 2) Alphabets and numbers are allowed. 3) Special characters are not allowed. 4) Only 99 characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
5	URL	**Description:** This field is used to specify a URL when **type Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
6	Field Type	**Description:** This field is used to populate the selected field type **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

7	Validation	**Description:** This field is used to specify the validations from Only Char, Numeric or Both to specify the type of values it can hold. This will only populate when field type is selected as Text or Text Area. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Label	**Description:** This field is used to specify a label name to the field type selected. **Validation: 1)** It should be unique. 2) Only Alphabets are allowed. 3) Only 99 alphabets are allowed. **Mandatory/Optional/Read Only:** Mandatory
9	Mandatory	**Description:** This field is used to specify the mandatory nature of the form field. The values are Yes or No. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
10	Field Name	**Description:** This field is used to specify a field name if the Field type is Radio, checkbox and Combo box. **Validation: 1)** It should be unique. 2) Alphabets and numbers are allowed. 3) Only 99 characters are allowed. **Mandatory/Optional/Read Only:** Mandatory
11	Column Labels	**Description:** This field is used to specify the column names if the Field type is selected as **Grid**. **Validation: 1)** It should be unique. 2) Alphabets and numbers are allowed. 3) Only 99 characters are allowed. **Mandatory/Optional/Read Only:** Mandatory

Modify Dynamic Form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made.
- **Close**: This button allows you to abort the add operation and close the page.
- **Delete**: This button allows you to delete the fields added.

Flow of Form

To modify dynamic form, you need to follow the steps as given below:

1. You should log in into the application as **Department Administrator or State Administrator** and have privilege to modify dynamic form (Fact Sheet, Case Sheet or Report).
2. Click the **Dynamic Form -> Manage-> Modify** option available on the left menu.
3. Click the Modify icon in front of the record belonging to a particular type to modify the details. The modify form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
4. If the user has selected type as:

    i. **Case Sheet**: User will enter the details such as Case Sheet Name and define the form fields by clicking on Create Field button. Only one case sheet form can be created for a particular department.

    ii. **Fact Sheet**: User will select from the list of already defined categories and sub categories, specify the Fact sheet name and define the form by clicking on Create Field button. User can create a different form for each sub category belonging to a particular category or if the form fields are same for each sub category then user may select all the categories and sub categories and define a form. Only one form can be created for each sub category belonging to a particular category.

    iii. **Report**: User will select from the list of already defined categories and sub categories, specify the Report name, specify the URL which will be used for querying the external system for which the link has been provided based on the parameters being defined and define the form by clicking on Create Field button. User can create a different form for each sub category belonging to a particular category. Only one form can be created for each sub category belonging to a particular category.
5. On click of **Create Field** button, a pop up will open. Specify the Field Type from **Text, Text Area, Radio, Checkbox, Combo box, Calendar, File and Grid** for which the field is required to be created.
6. If the user has selected,

    i. **Text and Text Area**: Enter the following details:

    - **Validation**: Specify whether the text type field would accept Only Char, Numeric or both types of input.
    - **Label**: Specify a label to the field.
    - **Mandatory**: Specify whether the field would be mandatory or not.

ii. **Radio, Check box and Combo box:** Enter the following details:

- **Label**: Specify a label to the field.
- **Mandatory**: Specify whether the field would be mandatory or not.
- **Field Name**: Specify the Value and Name that this field type would have. Users can add more than one value by clicking on **Add** button. Click the **Cross** button **(X)** to delete the row.

iii. **Calendar and File**: Enter the following details:

- **Label**: Specify a label to the field.
- **Mandatory**: Specify whether the field would be mandatory or not.

iv. **Grid:** Enter the following details:

- **Label**: Specify a label to the field.
- **Column Name:** Specify the column name that the grid would have. Users can add more than one column by clicking on **Add** button. Click the **Cross** button **(X)** to delete the value.

7. The existing form field would be visible. The user can delete them by clicking on Cross icon **(X)** or may add more fields or re-order them. Click on **Add Field** button after defining a field to add more fields.
8. Click on **Update** button to update the form details or Close to close the form.

Post-Condition

- Upon clicking **Update** button, data will be updated and a message "Data Updated Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.
- Upon clicking the **Cross** icon (X) on the main page, a message ", Are you sure you want to delete this row?" will appear. Upon confirmation, the form field will be deleted.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	The Field Is Required	This message is displayed when the user attempts to update without entering any data in the mandatory	Enter relevant data in the mandatory fields.

		fields marked with *.	
2	At least one field should be added	This message is displayed when the user clicks on Update button when no fields have been defined.	Define at least one field
3	Fact Sheet/Report is already associated with this category and sub category	The user attempts to update the fact sheet details belonging to a particular category and sub category when it already exists.	One Fact Sheet/ Report can be defined belonging to one category and sub category
4	Fact sheet/Case Sheet/Report name already exists	This message is displayed when the user attempts to update the Fact sheet/Case Sheet/Report name when the same already exists	Enter a unique Fact sheet/Case Sheet/Report name
5	Field label already exists	This message is displayed when the user attempts to Add field when the same label has already been defined belonging to the type	Define a different label and then attempt to add field
6	Minimum 2 field name is required for radio field type	This message is displayed when the user attempts to update the form when only one field name is specified for Radio Field type	Specify at least two fields for Radio Field type and then attempt to add field
7	The form cannot be modified as it is already in use for the audit process	This message is displayed when the user attempts to modify the dynamic form when it is already in use for the audit process	NA
8	Label is Required	This message is displayed when the user attempts to Add field when the label has not been defined for a particular field type.	Define the label name
9	Only 99 characters are allowed.	This message is displayed when the user attempts to enter the Label name	Enter label less than 99 characters.

		with more than 99 characters.	

5.4.4.2.2 View Dynamic Form

Brief Description

The main purpose of this form is to allow you to View the dynamic form details. When you click on **View** in the **Manage Dynamic form**, view form appears. This form displays details such as Fact Sheet, Case Sheet or Report Name details added in the system.

In **Fig 5.4.5.2.2.1**, you can see a sample screen shot of the **View Dynamic Form** that appears when you logged in as **Department Administrator or State Administrator**.

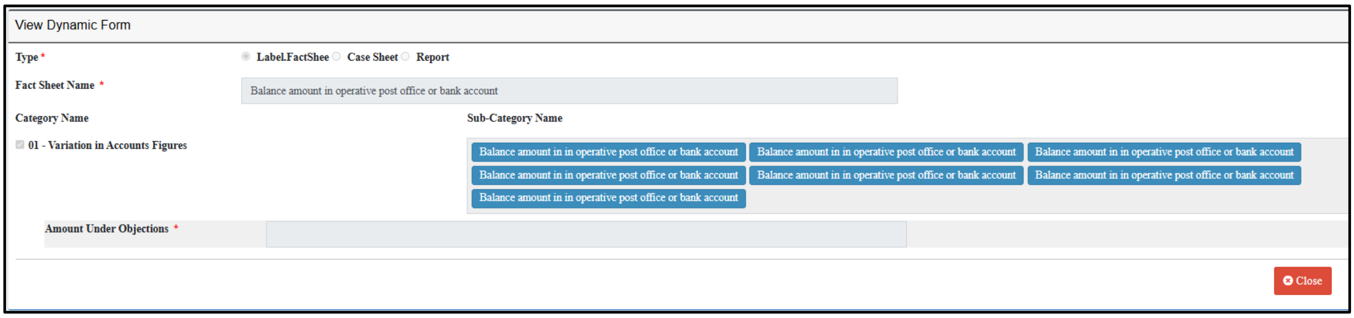


Fig 5.4.5.2.2.1

Pre-Condition

You should login into the application as **Department Administrator or State Administrator** and have privilege to **View Dynamic form**. You can view the dynamic form details (Fact Sheet, Case Sheet or Report) when the details have already been added. You can open the View Dynamic form by clicking the **Dynamic Form -> Manage -> View** option available on the left menu.

The View dynamic form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Type	**Description:** This field is used to specify from Fact sheet, Case sheet or Report. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Category Name	**Description:** This field is used to specify the category name when **type Fact Sheet** or **Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

3	Sub-Category Name	**Description:** This field is used to specify the sub category name when **type Fact Sheet** or **Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Name (Fact Sheet/ Case Sheet/ Report)	**Description:** This field is used to specify a name to the Fact Sheet, Case Sheet or Report. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	URL	**Description:** This field is used to specify a URL when **type Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Field Name	**Description:** This will specify all the form fields defined for a particular type. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

View Dynamic Form contains the following buttons as indicated below:

- **Close**: This button allows you to abort the add operation and close the page.

<u>Flow of Form</u>

To View dynamic form, you need to follow the steps as given below:

1. You should log in into the application as **Department Administrator or State Administrator** and have privilege to view dynamic form (Fact Sheet, Case Sheet or Report).
2. Click the **Dynamic Form -> Manage-> View** option available on the left menu.

3. After getting the search result in the Manage dynamic form, click the View icon in front of the record belonging to a particular type (Fact Sheet, Case Sheet or Report) to view the details. The View Dynamic form is displayed on the screen.
4. If the user has selected type as:

   i. **Case Sheet**: User will view the details such as Case Sheet Name and form fields which have been defined for Case Sheet.
   ii. **Fact Sheet**: User will view the details such as Fact Sheet name, category and sub category which have been associated with the fact sheet and form fields which have been defined.
   iii. **Report**: User will view the details such as Report Name, URL, category and sub category which have been associated with the Report and form fields which have been defined.
5. Click on **Close** to close the form.

Post-Condition

- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

None

5.4.4.2.3 Delete Dynamic Form

Brief Description

The main purpose of this form is to allow you to delete the dynamic form details. When you click on **Delete** in the **Manage Dynamic form**, the delete form appears. This form displays details such as Fact Sheet, Case Sheet or Report Name details added in the system and allows you to delete the record. In **Fig 5.4.5.2.3.1**, you can see a sample screen shot of the **Delete Dynamic Form** that appears when you logged in as **Department Administrator or State Administrator**.

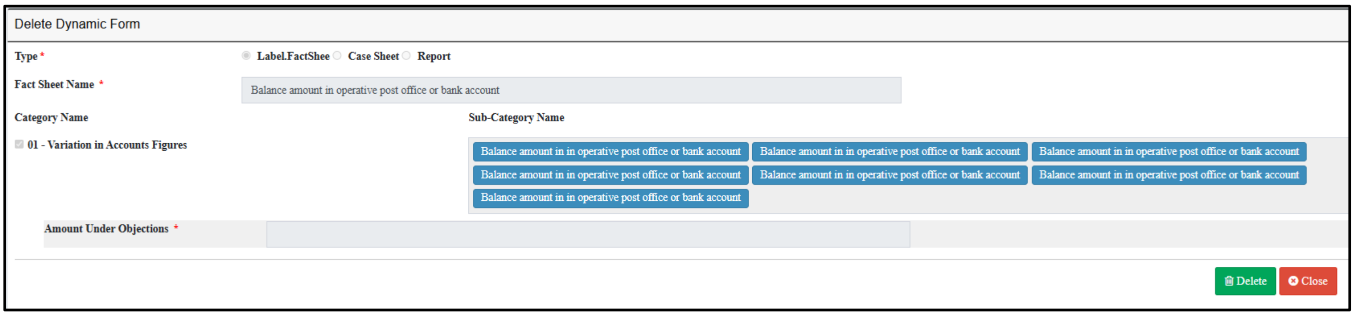


Fig 5.4.5.2.3.1

Pre-Condition

You should login into the application as **Department Administrator or State Administrator** and have privilege to **Delete Dynamic form**. You can delete the dynamic form details (Fact Sheet, Case Sheet or Report) when the details have already been added. You can open the delete Dynamic form by clicking the **Dynamic Form -> Manage -> Delete** option available on the left menu.

The Delete dynamic form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Type	**Description:** This field is used to specify from Fact sheet, Case sheet or Report. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Category Name	**Description:** This field is used to specify the category name when **type Fact Sheet** or **Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Sub-Category Name	**Description:** This field is used to specify the sub category name when **type Fact Sheet** or **Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

4	Name (Fact Sheet/ Case Sheet/ Report)	**Description:** This field is used to specify a name to the Fact Sheet, Case Sheet or Report. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	URL	**Description:** This field is used to specify a URL when **type Report** is selected. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Field Name	**Description:** This will specify all the form fields defined for a particular type. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Delete Dynamic Form contains the following buttons as indicated below:

- **Delete**: This button allows you to delete the audit team details**.**
- **Close**: This button allows you to abort the add operation and close the page.

Flow of Form

To delete dynamic form, you need to follow the steps given below:

1. You should log in into the application as **Department Administrator or State Administrator** and have privilege to delete dynamic form (Fact Sheet, Case Sheet or Report).
2. Click the **Dynamic Form -> Manage-> Delete** option available on the left menu.
3. After getting the search result in the Manage dynamic form, click the Delete icon in front of the record belonging to a particular type (Fact Sheet, Case Sheet or Report) to delete the details. The delete Dynamic form is displayed on the screen.
4. If the user has selected type as:

    i. **Case Sheet**: User will view the details such as Case Sheet Name and form fields which have been defined for Case Sheet.

    ii. **Fact Sheet**: User will view the details such as Fact Sheet name, category and sub category which have been associated with the fact sheet and form fields which have been defined.

iii. **Report**: User will view the details such as Report Name, URL, category and sub category which have been associated with the Report and form fields which have been defined.

6. Click on **Delete** button to delete the details.
7. Click on **Close** to close the form.

Post-Condition

- Upon clicking **Delete** button, a message “Are you sure that you want delete the record?” will appear. Upon confirmation, the form data will be deleted.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

Sr. No.	Message	Reason	Expected Action
1	The form cannot be deleted as it is already in use for the audit process	This message is displayed when the user attempts to delete the dynamic form when it is already in use for the audit process.	NA

5.4.5 Report Template

5.4.5.1 Add (Only applicable till FY 2021-2022)

Brief Description

The main purpose of this form is to allow you to create the Report Template for Auditor or Auditee for generating the report in the format belonging to a particular Audit Stage. While defining the Report template, the user can specify information such as Configuration Name, Report Template for (Auditor/Auditee), Audit Stage, Whether Report Chapterization Required, Annexure etc.

In **Fig 5.4.6.1.1**, you can see a sample screen shot of the **Add Report Template** that appears when you logged in as **Department Administrator.** The field marked with the * symbol is mandatory and must contain some value.

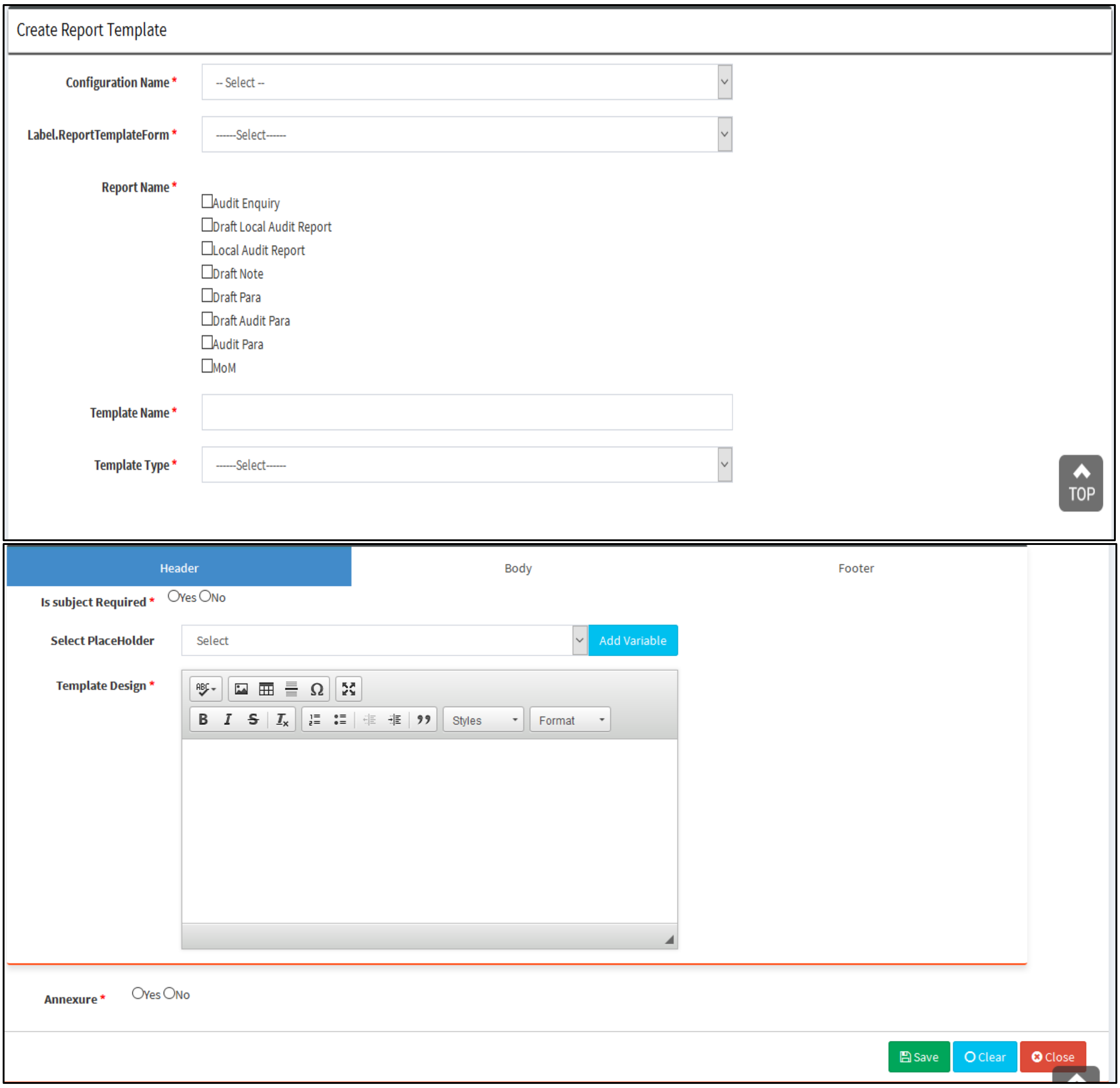


Fig 5.4.6.1.1

Pre-Condition

You should log in into the application as **Department Administrator** and have privilege to **Add Report Template**. Configuration should have already been defined. You can open the **Add Report Template** form by clicking the **Report Template → Add** option available on the left menu.

The Add Report Template form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to select the Configuration Name from the dropdown for which the report template is being defined. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

2	Report Template For	**Description:** This field is used to Report Template For (Auditor/Auditee) from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Report Name	**Description:** This field is used to select the Report Name (Audit Enquiry/Draft Local Audit Report/Local Audit Report/Draft Note/Draft Para) using the checkbox. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Template Name	**Description:** This field is used to enter the Template Name in the text box. **Validation: 1)** It should accept alphabet and special characters (-/_) only. 2) Only 99 characters are allowed to enter. **Mandatory/Optional/Read Only:** Mandatory
5	Is Report Chapterization Required	**Description:** This field is used to specify whether the Report Chapterization is Required or not. If yes, enter the Chapter name. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
6	Is Subject Required	**Description:** This field is used to select whether the subject is required or not. If the subject is required, then specify the task name where subject is required. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
7	Select Place Holder	**Description:** This field is used to select Place Holders from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

8	Select Order By	**Description:** This field is used to select the order by which the observations havmust grouped while ordering the observation. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
9	Template Design	**Description:** This field is used to enter the Template Design in the Editor provided. The Template Design is specified for each Header, Footer and Body. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
10	Annexure	**Description:** This field is used to specify whether Annexure is required or not. If the Report Template For is Auditor, then MoM and Observation Attachment will populate and if it is Auditee, then only Observation Attachment will populate. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Add Report Template form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the Add Report Template operation details and close the page.

Flow of Form

To add Report Template, you need to follow the steps as given below:

1. You should login into the application as **Department Administrator** and have privilege to add Report Template.
2. Click the **Report Template -> Add** option available on the left menu. The add form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select the **Configuration Name** from the dropdown.

4. Select the **Report Template for**- Auditor or Auditee from the dropdown.
5. Select the **Report Name(s)** from the checkbox.
6. Enter the Template Name in the text box provided.
7. The Report Template is defined into following parts:

   i. **Header**: The content specified in the Header part does not print recursively. It will be printed only once i.e. Place Holder variable gets replaced only once as in the case of Subjects. The following details will be populated:

      - **Is Report Chapterization Required:** Specify whether the report Chapterization is required or not**.** If the user selects yes, then Chapter(s) can be defined. Click on **Add More** button to add more chapters, Remove button to remove the chapters. If the user selects yes, then while defining the Process flow tasks, it must be specified on which task the file attachment for the chapters must be provided so that the designation user assigned to the task can attach external file to the chapter which will be merged and a report will be printed.
      - **Is Subject Required**: Specify whether the subject is required or not. If the user selects yes, then while defining the Process flow tasks, it must be specified on which the Subject is required to be entered.
      - **Template Design**: Specify the details to be included as part of the header in the editor provided. Select the Place Holder and add it to the Editor. The Place Holder variable will be replaced with the actual value.

   ii. **Body**: The content specified in the Body part gets printed recursively i.e. Placeholder variable gets replaced recursively as in the case of Observation to be printed in the report. The following details will be populated:

      - **Select Order By:** Specify the Order by in case the observations in the report template must be grouped in the specific order. The observations can be ordered based on Case Record Wise, Category Wise, Sub category Wise or Major/Other Important Irregularities wise specifically in case of Draft LAR/LAR.

      - **Template Design**: Specify the details to be included as part of the Body in the editor provided. Select the Place Holder and add it to the Editor. The Place Holder variable will be replaced with the actual value.

iii. **Footer**: The content specified in the Footer part does not print recursively. It will be printed only once i.e. Place Holder variable gets replaced only once as in the case of Signature. The following details will be populated:

- **Template Design**: Specify the details to be included as part of the Body in the editor provided. Select the Place Holder and add it to the Editor. The Place Holder variable will be replaced with the actual value.

8. Specify whether the **Annexure** is required or not. If the Report Template is for:

i. **Auditor**: Minutes of Meeting (MoM) and Observation Attachment will be shown in the annexure.

- MoM: If selected, then Entry and Exit meeting will be printed in the report. Enter a name which will be used to depict the MoM in the report.
- Observation Attachment: If selected, then the file attachments added against each observation will be included as annexure. Enter a name which will be used to depict the observation attachment.

ii. **Auditee**: Observation Attachment will be shown in the annexure. When it is selected, then the file attachments added against each observation will be included as annexure.

9. Click on **Save** button to save the details.
10. Click on **Clear** button to clear the details entered in the form or click on **Close** button to discard the details and close the page.

Post-Condition

- Upon clicking **Save** button, data will be saved in the database and a message "Data Saved Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.
- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the form fields will be cleared.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	The Field is Required	This message is displayed when the user attempts to save without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	Report Template already exists for this Report Name	This message is displayed when the user attempts to enter the details when the details have already been entered for this Report Name.	NA
3	Only alphabets and special characters (-/_) are allowed	This message is displayed when the user attempts to enter the Template Name with value other than alphabets and special character allowed.	Enter the alphabets and special character (-,/_)
4	Only 99 characters are allowed.	This message is displayed when the user attempts to enter the Template Name with more than 99 characters.	Enter Template Name less than 99 characters.

5.4.5.2 Manage

Brief Description

The main purpose of this form is to allow you to Manage Report Template details. When you click on **Manage** in the **Report Template**, the Manage Report Template form appears. This form allows you to search for the Report Template based on **Configuration Name and Report Name** search parameter and thereby take necessary actions such as View, Modify and Delete.

In **Fig**. **5.4.6.2.1**, you can see a sample screen shot of **Manage Report Template** form that appears when you logged in as **Department Administrator**. The field marked with the * symbol is mandatory and must contain some value.

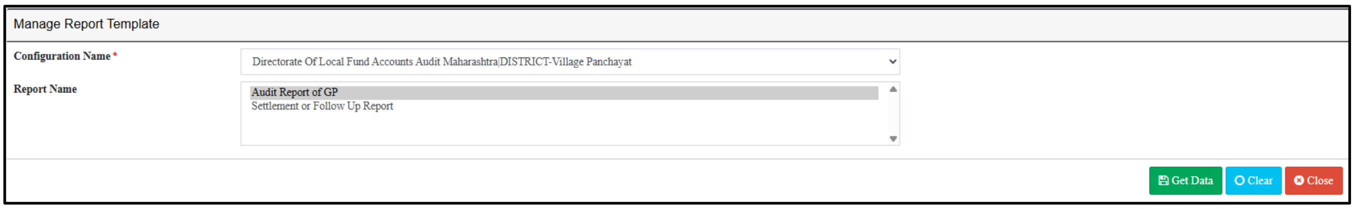


Fig. 5.4.6.2.1

On selecting the desired search parameter from the dropdown for which details need to be managed and clicking on GetData button, the details will be populated as shown in **Fig. 5.4.6.2.2.** The user can click on View, Modify or Delete to take the necessary action.

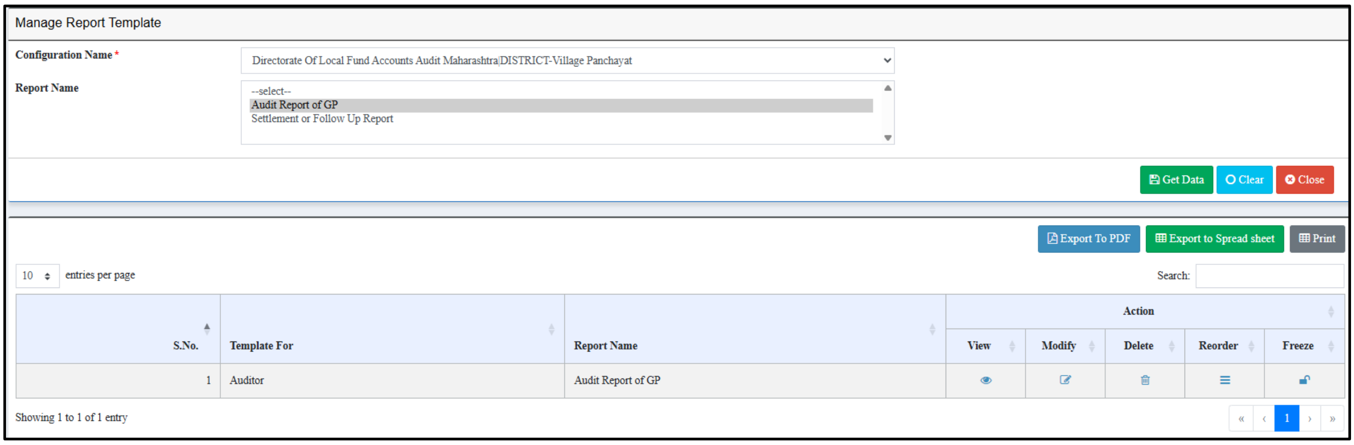


Fig. 5.4.6.2.2

Pre-Condition

You should login into the application as **Department Administrator** and have privilege to **Manage Report Template**. Configuration should have already been defined. You can open the **Manage Report Template** form by clicking the **Report Template → Manage** option available on the left menu.

The Manage Report Template form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to select the Configuration Name from the dropdown for which the report template details need to be managed. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Report Name	**Description:** This field is used to Report Template Name. **Validation:** NA **Mandatory/Optional/Read Only:** Optional

Manage Report Template form contains the following buttons as indicated below:

- **GetData**: This button allows you to display the list of defined Report templates belonging to a particular configuration.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the manage Report template operation details and close the page.

Flow of Form

To Manage Report Template, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to **Manage Report Template.**
2. Click the **Report Template -> Manage** option available on the left menu. The Manage form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select the desired Configuration Name and/or Report Name for which details need to be managed.
4. Click the **Get Data** button to get the Report Template details. The search result is shown in the **Manage Report Template** form. The user can see information such as Template For, Report Name and Action (**View, Modify and Delete**) in the form of grid.
5. Click Modify, View or Delete against the Report name to take the required action.

6. Click on **Close** button to close the Manage Audit Report Template page or **Clear** to clear the values entered in the search criteria.

Post-Condition

- Upon clicking **GetData** button, Report Template details are displayed, and the user can take the necessary action from View, Modify, and Delete.
- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the details entered in the form fields will be cleared.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field is Required	This message is displayed when the user attempts to GetData without entering any data in the mandatory fields marked with *.	Enter the data in the mandatory field marked with *.
2	Report Template has not been defined for this Configuration Name	This message is displayed when the user attempts to GetData when the report template has not been defined.	NA
3	Report Template has not been defined for this Report Name	This message is displayed when the user attempts to GetData when the report template has not been defined for the Report Name selected.	NA

5.4.5.2.1 Modify Report Template

Brief Description

The main purpose of this form is to allow you to modify report template details belonging to configuration. When you click on **Modify** in the **Manage Report Template**, the Modify Report Template form appears. This form displays details such as Configuration Name, Report

Template for (Auditor/Auditee), Report Name, Whether Report Chapterization Required, Annexure etc. and allows you to make the desired change.

In **Fig. 5.4.6.2.1.1** you can see a sample screen shot of **Modify Report Template** form that appears when you logged in as **Department Administrator**. The field marked with the * symbol are mandatory and must contain some value.

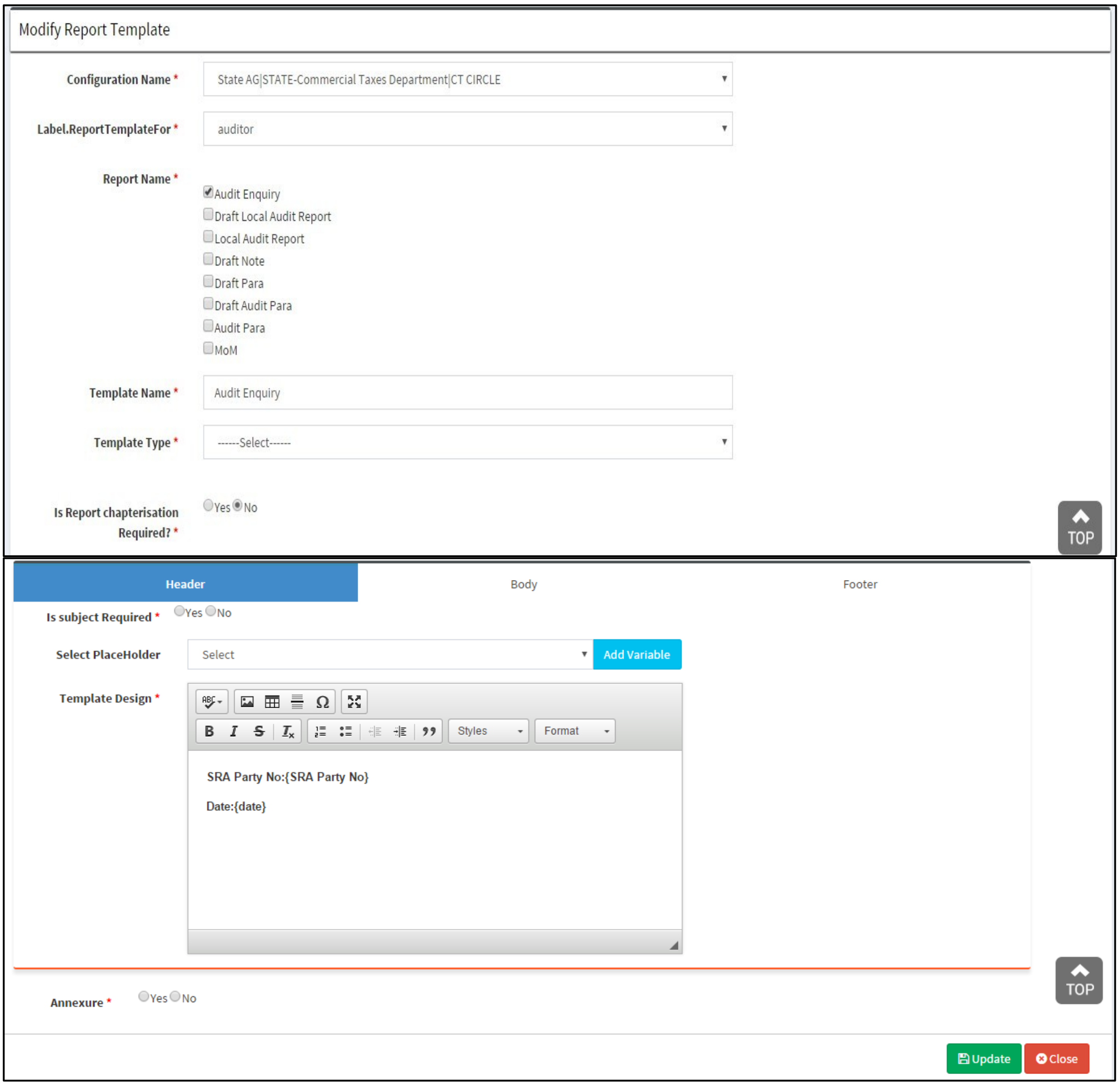


Fig. 5.4.6.2.1.1

Pre-Condition

You should login into the application as **Department Administrator** and have privilege to **Modify Report Template**. Report Template should have already been defined as belonging to a particular configuration. You can open the **Modify Report Template** form by clicking the **Report Template → Manage-> Modify** option available on the left menu.

The Modify Report Template form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to select the Configuration Name from the dropdown for which the report template is being defined. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Report Template For	**Description:** This field is used to Report Template For (Auditor/Auditee) from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Report Name	**Description:** This field is used to select the Report Name (Audit Enquiry/Draft Local Audit Report/Local Audit Report/Draft Note/Draft Para) using the checkbox. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Template Name	**Description:** This field is used to enter the Template Name in the text box. **Validation: 1)** It should accept alphabet and special characters (-/_) only. 2) Only 99 characters are allowed to enter. **Mandatory/Optional/Read Only:** Mandatory
5	Is Report Chapterization Required	**Description:** This field is used to specify whether the Report Chapterization is Required or not. If yes, enter the Chapter name. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
6	Is Subject Required	**Description:** This field is used to select whether the subject is required or not. If the subject is required, then specify the task name where subject is required. **Validation:** NA

		Mandatory/Optional/Read Only: Mandatory
7	Select Place Holder	**Description:** This field is used to select Place Holders from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Select Order By	**Description:** This field is used to select the order by which the observations must be grouped while ordering the observation. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
9	Template Design	**Description:** This field is used to enter the Template Design in the Editor provided. The Template Design is specified for each Header, Footer and Body. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
10	Annexure	**Description:** This field is used to specify whether Annexure is required or not. If the Report Template For is Auditor, then MoM and Observation Attachment will populate and if it is Auditee, then only Observation Attachment will populate. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Modify Report Template form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made.
- **Close**: This button allows you to abort the Modify Report Template operation details and close the page.

Flow of Form

To Modify Report Template, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to modify Report Template.

2. Click the **Report Template -> Manage->Modify** option available on the left menu.
3. After getting the search result in the Manage Report Template, click the Modify icon in front of the Report Template Name to modify the details. The Modify Report Template details page is displayed on the screen. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
4. Select the **Configuration Name** from the dropdown.
5. Select the **Report Template for**- Auditor or Auditee from the dropdown.
6. Select the **Report Name(s)** from the checkbox.
7. Enter the Template Name in the text box provided.
8. The Report Template is defined into following parts:

   i. **Header**: The content specified in the Header part does not print recursively. It will be printed only once i.e. Place Holder variable gets replaced only once as in the case of Subjects. The following details will be populated:

      - **Is Report Chapterization Required:** Specify whether the report Chapterization is required or not**.** If the user selects yes, then Chapter(s) can be defined. Click on **Add More** button to add more chapters, Remove button to remove the chapters. If the user selects yes, then while defining the Process flow tasks, it must be specified on which task the file attachment for the chapters has to be provided so that the designation user assigned to the task can attach external file to the chapter which will be merged and a report will be printed.
      - **Is Subject Required**: Specify whether the subject is required or not. If the user selects yes, then while defining the Process flow tasks, it must be specified on which the Subject is required to be entered.
      - **Template Design**: Specify the details to be included as part of the header in the editor provided. Select the Place Holder and add it to the Editor. The Place Holder variable will be replaced with the actual value.

   ii. **Body**: The content specified in the Body part gets printed recursively i.e. Placeholder variable gets replaced recursively as in the case of Observation to be printed in the report. The following details will be populated:

      - **Select Order By:** Specify the Order by in case the observations in the report template must be grouped in the specific order. The observations can be ordered based on Case Record Wise, Category Wise, Sub category Wise or Major/Other Important Irregularities wise specifically in case of Draft LAR/LAR.

- **Template Design**: Specify the details to be included as part of the Body in the editor provided. Select the Place Holder and add it to the Editor. The Place Holder variable will be replaced with the actual value.

iii. **Footer**: The content specified in the Footer part does not print recursively. It will be printed only once i.e. Place Holder variable gets replaced only once as in the case of Signature. The following details will be populated:

- **Template Design**: Specify the details to be included as part of the Body in the editor provided. Select the Place Holder and add it to the Editor. The Place Holder variable will be replaced with the actual value.

9. Specify whether the **Annexure** is required or not. If the Report Template is for:

iii. **Auditor**: Minutes of Meeting (MoM) and Observation Attachment will be shown in the annexure.

- MoM: If selected, then Entry and Exit meeting will be printed in the report. Enter a name which will be used to depict the MoM in the report.
- Observation Attachment: If selected, then the file attachments added against each observation will be included as annexure. Enter a name which will be used to depict the observation attachment.

iv. **Auditee**: Observation Attachment will be shown in the annexure. When it is selected, then the file attachments added against each observation will be included as annexure.

10. Click on **Update** button to update the details.
11. Click on **Close** button to discard the details and close the page.

<u>Post-Condition</u>

- Upon clicking **Update** button, data will be updated and a message “Data Updated Successfully” will appear.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	The Field is Required	This message is displayed when the user attempts to update without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	Report Template already exists for this Report Name	This message is displayed when the user attempts to enter the details when the details have already been entered for this Report Name.	NA
3	Only alphabets and special characters (-/_) are allowed	This message is displayed when the user attempts to enter the Template Name with value other than alphabets and special character allowed.	Enter the alphabets and special character (-,/_)
4	Only 99 characters are allowed.	This message is displayed when the user attempts to enter the Template Name with more than 99 characters.	Enter Template Name less than 99 characters.

5.4.5.2.2 View Report Template

Brief Description

The main purpose of this form is to allow you to view report template details belonging to configuration. When you click on **View** in the **Manage Report Template**, the View Report Template form appears. This form displays details such as Configuration Name, Report Template for (Auditor/Auditee), Report Name, Whether Report Chapterization Required, Annexure etc.

In **Fig. 5.4.6.2.2.1** you can see a sample screen shot of **View Report Template** form that appears when you logged in as **Department Administrator**.

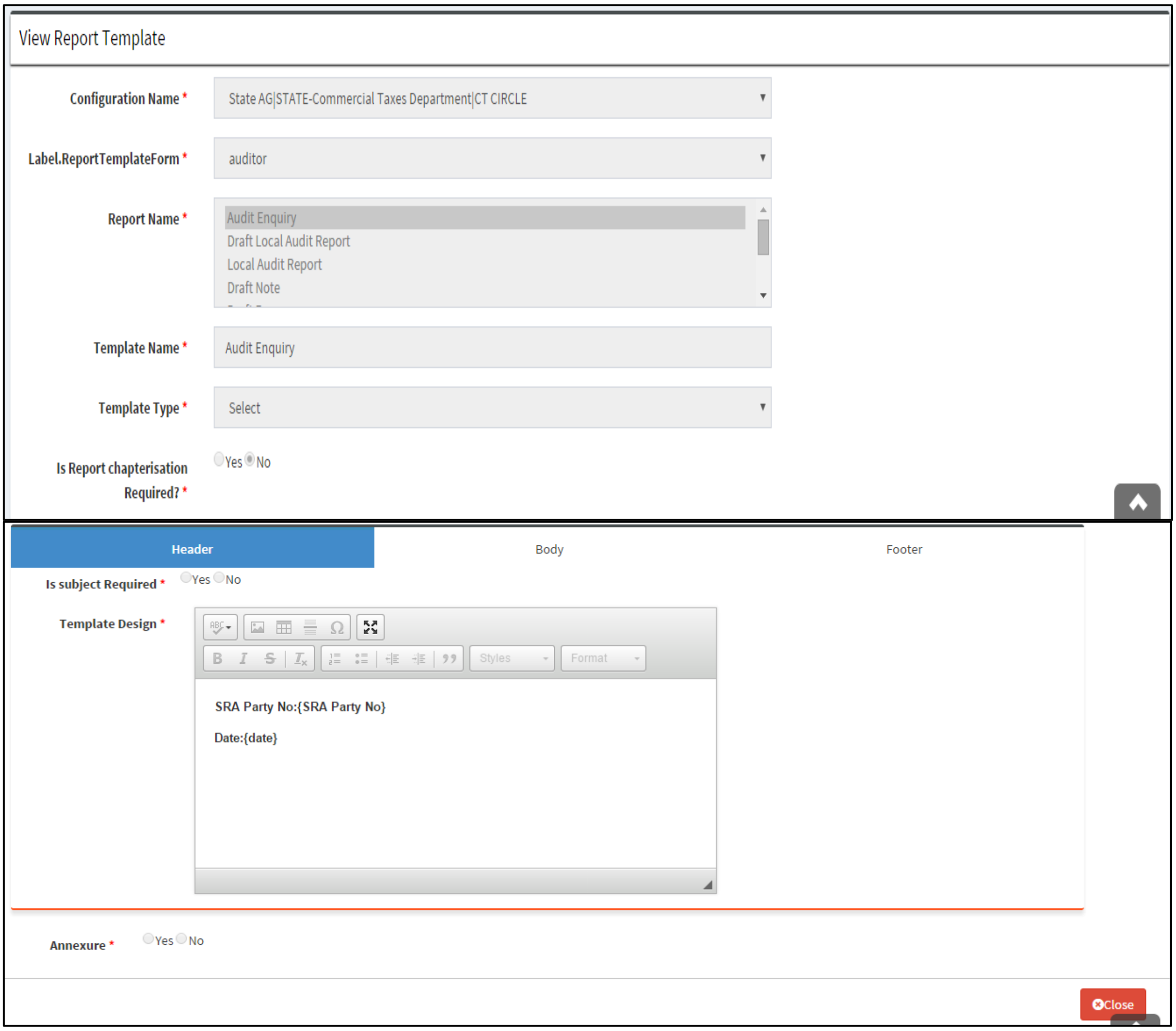


Fig. 5.4.6.2.2.1

Pre-Condition

You should login into the application as **Department Administrator** and have privilege to **View Report Template**. Report Template should have already been defined as belonging to a particular configuration. You can open the **View Report Template** form by clicking the **Report Template → Manage-> View** option available on the left menu.

The View Report Template form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to specify the Configuration Name. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Report Template For	**Description:** This field is used to specify the Report Template For

		(Auditor/Auditee). **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Report Name	**Description:** This field is used to specify the Report Name (Audit Enquiry/Draft Local Audit Report/Local Audit Report/Draft Note/Draft Para) using the checkbox. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Template Name	**Description:** This field is used to specify the Template Name in the text box. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Is Report Chapterization Required	**Description:** This field is used to specify whether the Report Chapterization is Required or not. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Is Subject Required	**Description:** This field is used to specify whether the subject is required or not. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Select Place Holder	**Description:** This field is used to specify Place Holders from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
8	Select Order By	**Description:** This field is used to specify the order by which the observations must be grouped while ordering the observation. **Validation:** NA

		Mandatory/Optional/Read Only: Read Only
9	Template Design	**Description:** This field is used to specify the Template Design in the Editor provided. The Template Design is specified for each Header, Footer and Body. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
10	Annexure	**Description:** This field is used to specify whether Annexure is required or not. If the Report Template For is Auditor, then MoM and Observation Attachment will populate and if it is Auditee, then only Observation Attachment will populate. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

View Report Template form contains the following buttons as indicated below:

- **Close**: This button allows you to abort the View Report Template operation details and close the page.

Flow of Form

To View Report Template, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to View Report Template.
2. Click the **Report Template -> Manage->View** option available on the left menu.
3. After getting the search result in the Manage Report Template, click the View icon in front of the Report Template Name to view the details. The View Report Template details page is displayed on the screen.
4. You can view the details such as **Configuration Name**, **Report Template For, Report Name, Template Name, whether Report Chapterization Required or not etc.**
5. Click on **Close** button to close the page.

Post-Condition

- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

None

5.4.5.2.3 Delete Report Template

Brief Description

The main purpose of this form is to allow you to delete report template details belonging to configuration. When you click on **Delete** in the **Manage Report Template**, the delete Report Template form appears. This form displays the details such as Configuration Name, Report Template for (Auditor/Auditee), Report Name, Whether Report Chapterization Required, Annexure etc. and allows you to delete the details.

In **Fig. 5.4.6.2.3.1** you can see a sample screen shot of **Delete Report Template** form that appears when you logged in as **Department Administrator**.

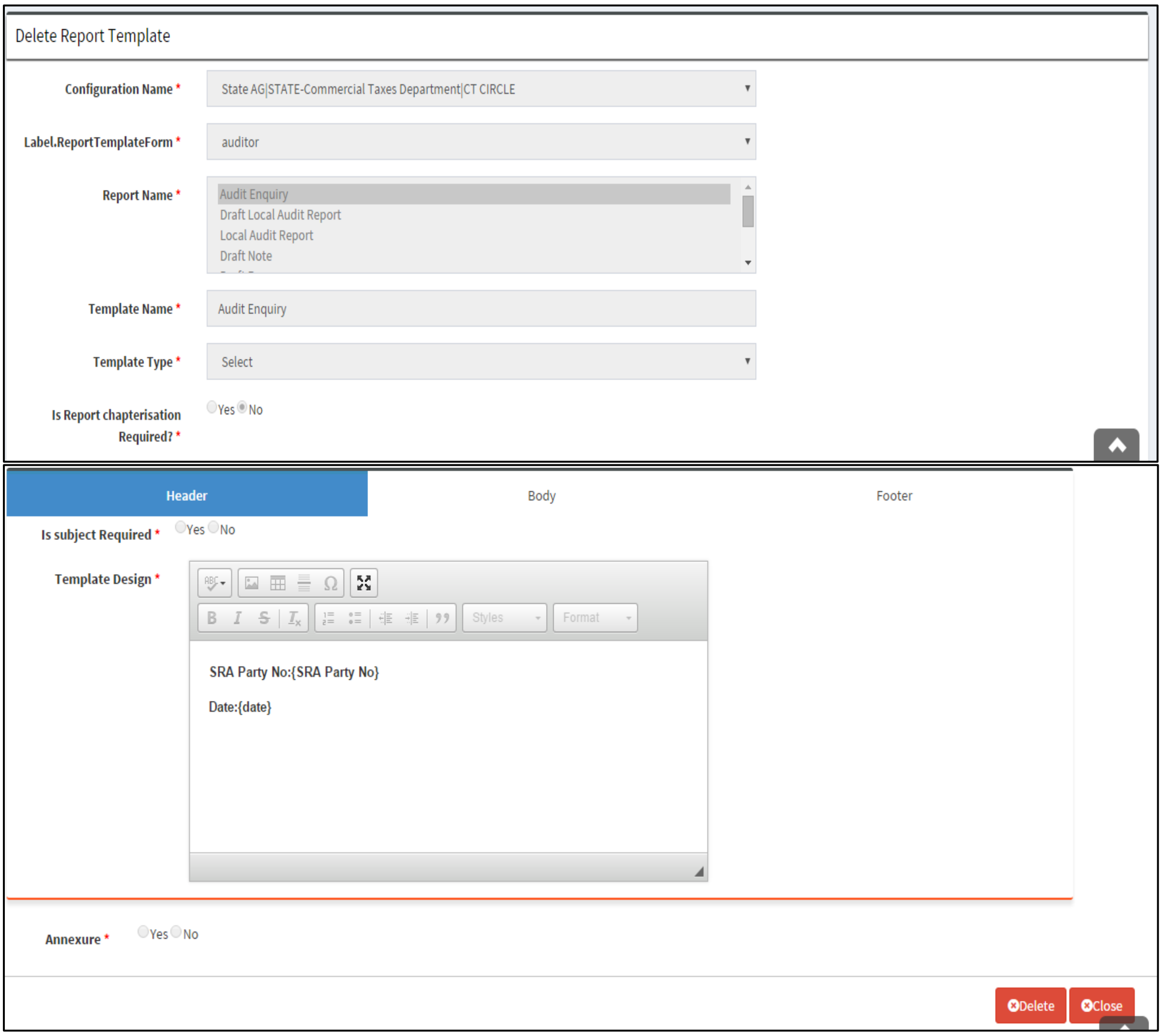


Fig. 5.4.6.2.3.1

Pre-Condition

You should log in into the application as **Department Administrator** and have privilege to **Delete Report Template**. Report Template should have already been defined as belonging to a particular configuration. You can open the **Delete Report Template** form by clicking the **Report Template → Manage-> Delete** option available on the left menu.

The Delete Report Template form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to specify the Configuration Name. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Report Template For	**Description:** This field is used to specify the Report Template For (Auditor/Auditee). **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Report Name	**Description:** This field is used to specify the Report Name (Audit Enquiry/Draft Local Audit Report/Local Audit Report/Draft Note/Draft Para) using the checkbox. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Template Name	**Description:** This field is used to specify the Template Name in the text box. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Is Report Chapterization Required	**Description:** This field is used to specify whether the Report Chapterization is Required or not. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

6	Is Subject Required	**Description:** This field is used to specify whether the subject is required or not. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Select Place Holder	**Description:** This field is used to specify Place Holders from the dropdown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
8	Select Order By	**Description:** This field is used to specify the order by in which the observations must be grouped while ordering the observation. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
9	Template Design	**Description:** This field is used to specify the Template Design in the Editor provided. The Template Design is specified for each Header, Footer and Body. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
10	Annexure	**Description:** This field is used to specify whether Annexure is required or not. If the Report Template For is Auditor, then MoM and Observation Attachment will populate and if it is Auditee, then only Observation Attachment will populate. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Delete Report Template form contains the following buttons as indicated below:

- **Delete**: This button allows you to delete the Report template details**.**
- **Close**: This button allows you to abort the delete Report Template operation details and close the page.

<u>Flow of Form</u>

To Delete Report Template, you need to follow the steps given below:

1. You should login into the application as **Department Administrator** and have privilege to delete Report Template.
2. Click the **Report Template -> Manage->Delete** option available on the left menu.
3. After getting the search result in the Manage Report Template, click the Delete icon in front of the Report Template Name to view the details. The Delete Report Template details page is displayed on the screen.
4. You can view the details such as **Configuration Name**, **Report Template For, Report Name, Template Name, whether Report Chapterization Required or not etc.**
5. Click on **Delete** button to delete the report template details.
6. Click on **Close** button to close the page.

Post-Condition

- Upon clicking **Delete** button, a message “Are you sure that you want delete the record?” will appear. Upon confirmation, the form data will be deleted.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Cannot delete the Report Template as it is used in the Audit Process.	This message is displayed when the user attempts to delete the report template when it is used in the audit process.	NA

5.5 Office Administrator

5.5.1 Audit Team

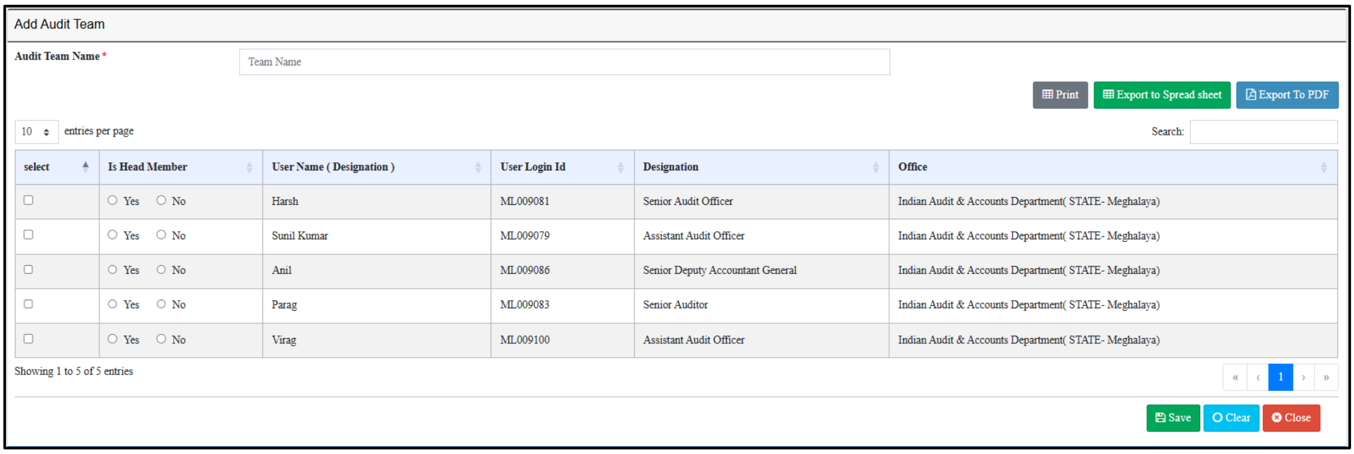
5.5.1.1 Add

Brief Description

The main purpose of this form is to allow you to add the members to form an Audit Team. This audit team will be involved in the audit process for an assigned Auditee based on the given schedule.

Audit team can be created by the Department Administrator in case of Office Administrator does not exist.

In **Fig 5.5.1.1.1**, you can see a sample screen shot of the **Add Audit Team** form that appears when you logged in as **Office Administrator**. The field marked with the * symbol is mandatory and must contain some value.



Add Audit Team

Audit Team Name * Team Name

Print | Export to Spread sheet | Export To PDF

10 entries per page Search:

select	Is Head Member	User Name (Designation)	User Login Id	Designation	Office
☐	○ Yes ○ No	Harsh	ML009081	Senior Audit Officer	Indian Audit & Accounts Department(STATE- Meghalaya)
☐	○ Yes ○ No	Sunil Kumar	ML009079	Assistant Audit Officer	Indian Audit & Accounts Department(STATE- Meghalaya)
☐	○ Yes ○ No	Anil	ML009086	Senior Deputy Accountant General	Indian Audit & Accounts Department(STATE- Meghalaya)
☐	○ Yes ○ No	Parag	ML009083	Senior Auditor	Indian Audit & Accounts Department(STATE- Meghalaya)
☐	○ Yes ○ No	Virag	ML009100	Assistant Audit Officer	Indian Audit & Accounts Department(STATE- Meghalaya)

Showing 1 to 5 of 5 entries « ‹ 1 › »

Save Clear Close

Fig 5.5.1.1.1

Pre-Condition

You should log in into the application as an **Office Administrator** and have privilege to **Add Audit Team**. Users should have already been created and approved by the Office Administrator, which has the privilege to form an Audit team. You can open the **Add Audit Team** form by clicking the **Audit Team → Add** option available on the left menu.

The Add Audit Team form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Team Name	**Description:** This field is used to enter an audit team name **Validation: 1**) Team can contain alphabets and numbers and special characters (-/_). 2) Team Name should be unique within a department. 3) It should accept only 99 characters. **Mandatory/Optional/Read Only:** Mandatory
2	Select	**Description:** This field is used to select the auditors which will be part of the team. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	Is Field Member	**Description:** This field is used to specify whether the selected member is a Field member or not. **Validation: 1)** All Field members which are part of one team cannot be part of another team. At least One member must be different to make another team. 2) All the Non-Field members can be part of multiple teams. **Mandatory/Optional/Read Only:** Mandatory
4	User Name	**Description:** This will populate the User name of the auditor **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	User Login ID	**Description:** This will populate the User Login ID of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Designation	**Description:** This will populate the Designation of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

7	Office	**Description:** This will populate the name of the office location of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Add Audit Team form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the add Audit Team operation details and will close the page.

Flow of Form

To add Audit Team, you need to follow the steps given below:

1. You should log in into the application as **Office Administrator** and have privilege to add **Audit Team.**
2. Click the **Audit Team -> Add** option available on the left menu. The add form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Specify the name of the team in the **Audit Team Name** field.
4. Select the members who will be part of the Audit team. All the members created and approved by the Office administrator having the privilege to add Audit team will be listed in the grid. Select the members who will be part of the team belonging to this office admin.
5. After selecting all the members, specify whether the member is a Field Member or Not. If the member is a member as:

    i. **Field Member**: They cannot perform audit simultaneously on different Auditee units based on same schedules acting as a Field member in each team. If the schedule is different, then member can be part of multiple audits by either having different schedules or being a field member in one team and non-field member in another team.

    ii. **Not a Field Member**: It can be part of the audit process belonging to various teams or Auditee's simultaneously based on same/different schedule dates.

6. Click the **Save** button to save the details
7. You may also click on **Close** button to discard the details and close the Add Audit team page.

Post-Condition

- Upon clicking **save** button, data will be saved in the database and a message "Data Saved Successfully" will appear.

Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the form fields will be cleared.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	The Field s Required	This message is displayed when you forget to enter data in the mandatory field marked with * and click on Save button	Specify the required details in the mandatory fields.
2	Only alphabets, Numbers and special characters (-/_) are Allowed	The user attempts to fill the Audit Team Name with special characters other than (-/_)	Only character value should be used for Audit Team Name.
3	First letter of the team's name can be either alphabet or number	The user attempts to enter the Audit Team Name with first letter other than character or number.	Enter the first character as either alphabet or number.
4	No Team Member is Selected	This message is displayed when the user attempts to save details without selecting the Audit team members.	Select at least one member.
5	Please specify whether the member is field member or not?"	The user attempts to save the details of the team without specifying whether the member is a field member or not?	Please specify whether the member is a field member or not.
6	Audit Team Name Already Exists	This message is displayed when the user attempts to save the Audit name with a duplicate value.	Enter another team name.

7	Team already exists constituting the same members	This message is displayed when the user tries to save an audit team when team has already been formed	Select different sets of members.

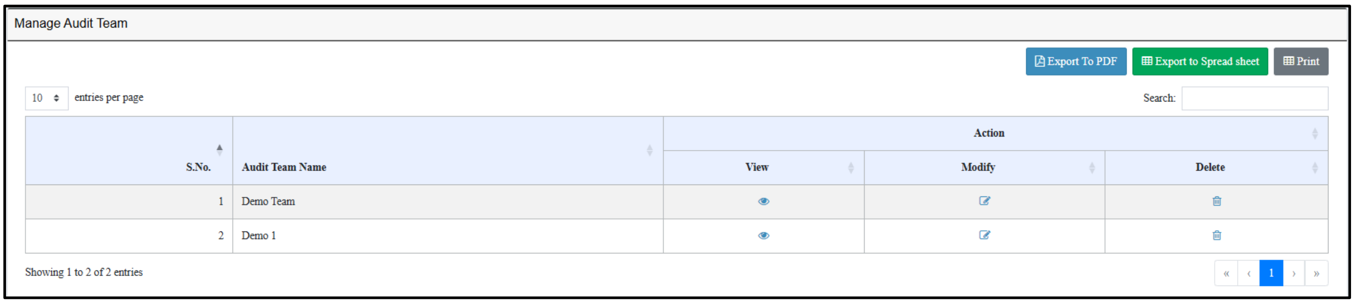
		constituting the same members.	
8	Only 99 characters allowed.	This message is displayed when the user tries to enter an audit team with more than 99 characters.	Enter team name with less than 99 characters.

5.5.1.2 Manage

Brief Description

The main purpose of this form is to allow you to Manage Audit Team details. When you click on **Manage** in the **Audit Team**, the **Manage Audit Team** form appears. This form allows you to search for the team based on **Audit Team** search parameter and thereby take necessary actions such as View, Modify and Delete.

In **Fig. 5.5.1.2.1,** you can see a sample screen shot of **Manage Audit Team** form that appears when you logged in as **Office Administrator**.



Manage Audit Team

Export To PDF | Export to Spread sheet | Print

10 entries per page

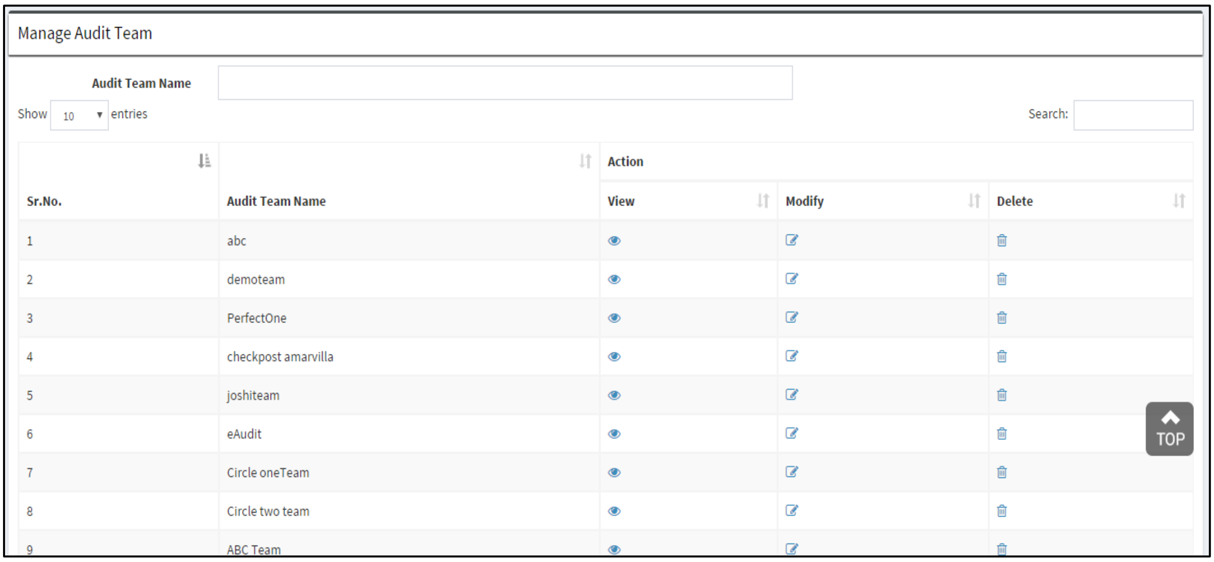
Search:

S.No.	Audit Team Name	Action		
		View	Modify	Delete
1	Demo Team			
2	Demo 1			

Showing 1 to 2 of 2 entries

Fig. 5.5.1.2.1

In **Fig. 5.5.1.2.2,** you can see a second sample screen shot of **Manage Audit Team** form that appears for managing the Audit Teams.



Manage Audit Team

Audit Team Name

Show 10 entries

Search:

Sr.No.	Audit Team Name	Action		
		View	Modify	Delete
1	abc			
2	demoteam			
3	PerfectOne			
4	checkpost amarvilla			
5	joshiteam			
6	eAudit			
7	Circle oneTeam			
8	Circle two team			
9	ABC Team			

TOP

Fig. 5.5.1.2.2

Pre-Condition

You should log in into the application as an **Office Administrator** and have privilege to **Manage Audit Team**. You can open the **Manage Audit Team** form by clicking the **Audit Team → Manage** option available on the left menu.

The Manage Audit Team form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Team Name	**Description:** This field is used to enter an audit team name **Validation: 1**) Team can contain alphabets and numbers and special characters (-/_). 2) Team Name should be unique within a department. 3) It should accept only 99 characters. **Mandatory/Optional/Read Only:** Optional

Manage Audit Team form contains the following buttons as indicated below:

- **GetData**: This button allows you to display the list of Audit Team details. When you enter the audit team name it will display the details of that Audit Team.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the Audit Team operation details and will close the page.

Flow of Form

To Manage Audit Team, you need to follow the steps as given below:

1. You should log in into the application as **Office Administrator** and have privilege to **Manage Audit Team.**
2. Click the **Audit Team -> Manage** option available on the left menu. The Manage form will appear.
3. Click Modify, View or Delete against the Audit team name to take the required action
4. Click on **Close** button to close the Manage Audit Team page or **clear** to clear the values entered in the search criteria.

Post-Condition

- Upon clicking **manage**, audit team details are displayed, and the user can take the necessary action from View, Modify, and Delete.
- Upon clicking **Clear** button, a message “All details entered in the form would be lost. Do you

want to continue?" will appear. Upon confirmation, the details entered in the form fields will be cleared.

- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

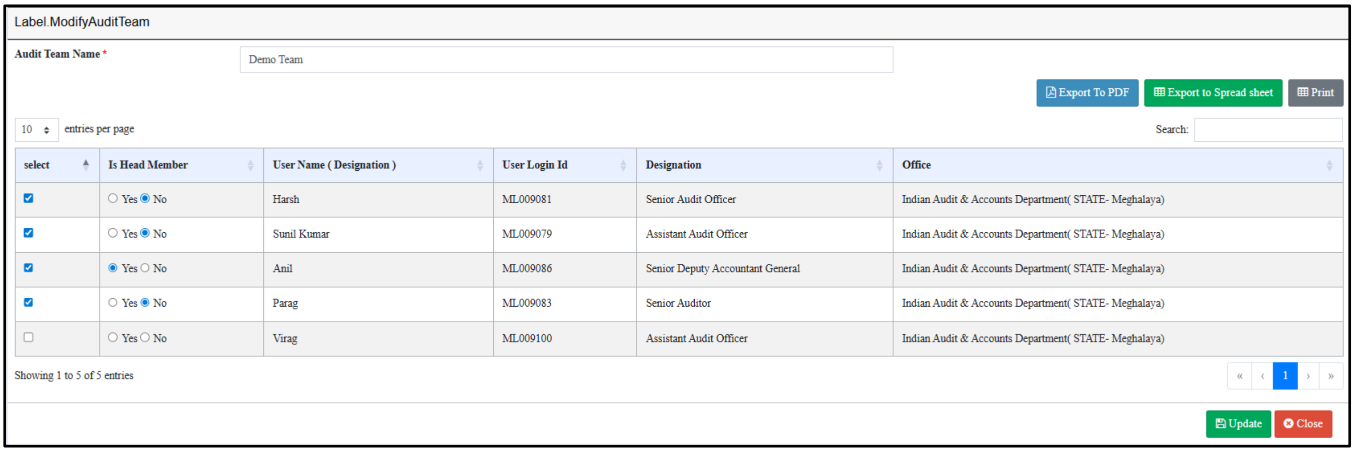
Sr. No.	Message	Reason	Expected Action
1	Audit Team does not exist	This message is displayed when the user attempts to search for an audit team when the team does not exist	Enter the correct name of the audit team for the required search results.
2	Only alphabets, Numbers and special characters (-/_) are Allowed	The user attempts to enter the Audit Team Name with special characters other than (-/_)	Only character value should be used for Audit Team Name.
3	First letter of the team's name can be either alphabet or number	The user attempts to enter the Audit Team Name with first letter other than character or number.	Enter the first character as either alphabet or number.
4	Only 99 characters allowed.	This message is displayed when the user tries to enter an audit team with more than 99 characters.	Enter team name with less than 99 characters.

Modify Audit Team

Brief Description

The main purpose of this form is to allow you to Modify Audit Team details. When you click on **Modify** in the **Manage Audit Team**, the Modify Audit Team form appears. This form displays the complete audit team details and allows you to make desired changes.

In **Fig. 5.5.1.2.1.1**, you can see a sample screen shot of **Modify Audit Team** form that appears when you logged in as **Office Administrator**. The field marked with the * symbol is mandatory and must contain some value.


Label.ModifyAuditTeam

Audit Team Name * Demo Team

Export To PDF | Export to Spread sheet | Print

10 entries per page Search:

select	Is Head Member	User Name (Designation)	User Login Id	Designation	Office
☑	○ Yes ◉ No	Harsh	ML009081	Senior Audit Officer	Indian Audit & Accounts Department(STATE- Meghalaya)
☑	○ Yes ◉ No	Sunil Kumar	ML009079	Assistant Audit Officer	Indian Audit & Accounts Department(STATE- Meghalaya)
☑	◉ Yes ○ No	Anil	ML009086	Senior Deputy Accountant General	Indian Audit & Accounts Department(STATE- Meghalaya)
☑	○ Yes ◉ No	Parag	ML009083	Senior Auditor	Indian Audit & Accounts Department(STATE- Meghalaya)
☐	○ Yes ○ No	Virag	ML009100	Assistant Audit Officer	Indian Audit & Accounts Department(STATE- Meghalaya)

Showing 1 to 5 of 5 entries

Update | Close

Fig. 5.5.1.2.1.1

Pre-Condition

You should login into the application as an **Office Administrator** and have privilege to **Modify Audit Team**. You can modify the Audit team details when the details have already been added. You can open the **Modify Audit Team** form by clicking the **Audit Team → Manage→Modify** option available on the left menu.

The Modify Audit Team form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Team Name	**Description:** This field is used to enter an audit team name **Validation: 1**) Team can contain alphabets and numbers and special characters (-/_). **2)** Team Name should be unique within a department. **3)** It should accept only 99 characters. **Mandatory/Optional/Read Only:** Mandatory
2	Select	**Description:** This field is used to select the auditors which will be part of the team. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

3	Is Field Member	**Description:** This field is used to specify whether the selected member is a Field member or not. **Validation: 1)** All Field members which are part of one team cannot be part of another team. At least One member must be different to make another team. 2) All the non-Field members can be part of multiple teams. **Mandatory/Optional/Read Only:** Read Only
4	User Name	**Description:** This will populate the User name of the auditor **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	User Login ID	**Description:** This will populate the User Login ID of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Designation	**Description:** This will populate the Designation of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Office	**Description:** This will populate the name of the office location of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Modify Audit Team form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made
- **Close**: This button allows you to abort the Modify Audit Team operation details and close the page.

Flow of Form

To Modify Audit Team, you need to follow the steps given below:

1. You should log in into the application as **Office Administrator** and have privilege to **Modify Audit Team.**
2. Click the **Audit Team → Manage→Modify** option available on the left menu. The Modify form will appear. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Specify the name of the team in the **Audit Team Name** field.
4. Select the members who will be part of the Audit team. All the members created and approved by the Office administrator having the privilege to add Audit team will be listed in the grid. Select the members who will be part of the team belonging to this office admin. All the members selected at the time of adding the audit team will be listed. You can select new members and un-select the existing ones.
5. Specify whether the member is a Field Member or Not. If the member is a:

   i. **Field Member**: They cannot perform audit simultaneously on different Auditee units based on same schedules acting as a Field member in each team. If the schedule is different, then members can be part of multiple audits by either having different schedules or being a field member in one team and non-field member in another team.

   ii. **Not a Field Member**: It can be part of the audit process belonging to various teams or Auditee's simultaneously based on same/different schedule dates.

6. Click the **Update** button to update the details.
7. You may also click on **Close** button to abort the update operation

Post-Condition

- Upon clicking **Update** button, data will be updated and a message "Data Updated Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	The Field s Required	This message is displayed when you forget to enter data in the mandatory field marked with * and click on Save button	Specify the required details in the mandatory fields.
2	Only alphabets , Numbers and special characters (-, /) are Allowed	The user attempts to fill the Audit Team Name with special characters other than (-,/)	Only character value should be used for Audit Team Name.
3	First letter of the team name can be either alphabet or number	The user attempts to enter the Audit Team Name with first letter other than character or number.	Enter the first character as either alphabet or number.
4	No Team Member is Selected	This message is displayed when the user attempts to save details without selecting the Audit team members.	Select at least one member.
5	Please specify whether the member is field member or not?”	The user attempts to save the details of the team without specifying whether the member is a field member or not?	Please specify whether the member is a field member or not.
6	Audit Team Name Already Exists	This message is displayed when the user attempts to save the Audit name with a duplicate value	Enter another team name.
7	Team already exists constituting the same members	This message is displayed when the user tries to save an audit team when team has already been formed constituting the same members	Select different sets of members.
8	The current audit Team has already started the audit of Auditee {xyz} on the schedule dates {...} . Do you still want to update?	This message is displayed when user tries to modify an audit team for which audit has already started.	If the team is modified, then the updated team will be responsible for doing the audit.

9	The current audit Team is already assigned an Auditee. Do you wish to update the already assigned audit team?	This message is displayed when the user attempts to update an audit team which is already assigned to some Auditee.	None
10	Only 99 characters allowed.	This message is displayed when the user tries to enter an audit team when team with more than 99 characters.	Enter team name with less than 99 characters.

5.5.1.2.2 View Audit Team

<u>Brief Description</u>

The main purpose of this form is to allow you to View Audit Team details. When you click on **View** in the **Manage Audit Team**, the View Audit Team form appears. This form displays the complete audit team details.

In **Fig. 5.5.1.2.2.1**, you can see a sample screen shot of **View Audit Team** form that appears when you logged in as **Office Administrator**.

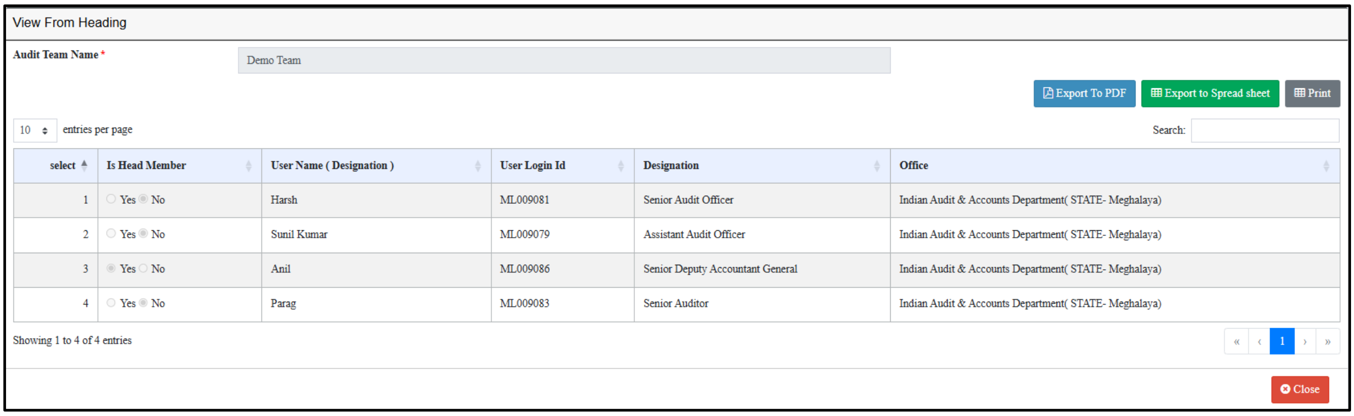


Fig. 5.5.1.2.2.1

<u>Pre-Condition</u>

You should log in into the application as an **Office Administrator** and have privilege to **View Audit Team**. You can view the Audit team details when the details have already been added. You can open the **View Audit Team** form by clicking the **Audit Team → Manage→View** option available on the left menu.

The View Audit Team form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Team Name	**Description:** This field is used to view audit team name **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Is Field Member	**Description:** This field is used to view whether the selected member is a Field member or not. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	User Name	**Description:** This will populate the User name of the auditor **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	User Login ID	**Description:** This will populate the User Login ID of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Designation	**Description:** This will populate the Designation of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Office	**Description:** This will populate the name of the office location of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

View Audit Team form contains the following buttons as indicated below:

- **Close**: This button allows you to abort the Modify Audit Team operation details and close the page.

<u>Flow of Form</u>

To View Audit Team, you need to follow the steps given below:

1. You should login into the application as **Office Administrator** and have privilege to **View**

Audit Team details**.**

2. Click the **Audit Team → Manage→View** option available on the left menu.
3. After getting the search result in the Manage Audit team form, click the View icon in front of the Audit Team Name to view the details. The **View audit team Details** form is displayed on the screen.
4. You can view the list of members' part of the team along with other details such as Audit Team Name, Is Field Member, User Name, User Login ID and Designation.
5. Click the **Close** button to close the details.

Post-Condition

- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

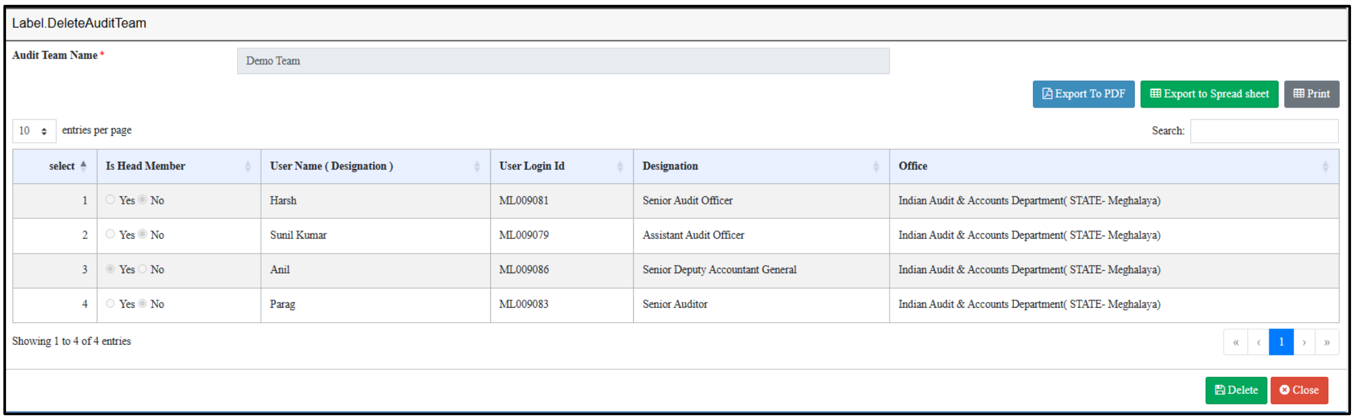
None

5.5.1.2.3 Delete Audit Team

Brief Description

The main purpose of this form is to allow you to Delete Audit Team details. When you click on **Delete** in the **Manage Audit Team**, the Delete Audit Team form appears. This form displays the complete audit team details and allows you to delete the audit team.

In **Fig. 5.5.1.2.3.1**, you can see a sample screen shot of **Delete Audit Team** form that appears when you logged in as **Office Administrator**.


Label.DeleteAuditTeam

Audit Team Name * Demo Team

Export To PDF | Export to Spread sheet | Print

10 entries per page Search:

select	Is Head Member	User Name (Designation)	User Login Id	Designation	Office
1	Yes No	Harsh	ML009081	Senior Audit Officer	Indian Audit & Accounts Department(STATE- Meghalaya)
2	Yes No	Sunil Kumar	ML009079	Assistant Audit Officer	Indian Audit & Accounts Department(STATE- Meghalaya)
3	Yes No	Anil	ML009086	Senior Deputy Accountant General	Indian Audit & Accounts Department(STATE- Meghalaya)
4	Yes No	Parag	ML009083	Senior Auditor	Indian Audit & Accounts Department(STATE- Meghalaya)

Showing 1 to 4 of 4 entries « ‹ 1 › »

Delete Close

Fig. 5.5.1.2.3.1

Pre-Condition

You should login into the application as an **Office Administrator** and have privilege to **Delete Audit Team**. You can modify the Audit team details when the details have already been added. You can open the **Delete Audit Team** form by clicking the **Audit Team → Manage→Delete** option available on the left menu.

The Delete Audit Team form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Team Name	**Description:** This field is used to view audit team name **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Is Field Member	**Description:** This field is used to view whether the selected member is a Field member or not. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	User Name	**Description:** This will populate the User name of the auditor **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	User Login ID	**Description:** This will populate the User Login ID of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Designation	**Description:** This will populate the Designation of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Office	**Description:** This will populate the name of the office location of the auditor. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Delete Audit Team form contains the following buttons as indicated below:

- **Delete**: This button allows you to delete the audit team details**.**
- **Close**: This button allows you to abort the Modify Audit Team operation details and close

the page.

Flow of Form

To Delete Audit Team, you need to follow the steps as given below:

1. You should login into the application as **Office Administrator** and have privilege to **Delete Audit Team.**
2. Click the **Audit Team → Manage→Delete** option available on the left menu.
3. After getting the search result in the Manage Audit team form, click the Delete icon in front of the Audit Team Name to delete the details. The **Delete audit team** details form is displayed on the screen with two buttons namely Delete and Close.
4. Click on the Delete button to delete the Audit team details.
5. You may also click on **Close** button to abort the delete operation.

Post-Condition

- Upon clicking **Delete** button, a message "Are you sure that you want delete the record?" will appear. Upon confirmation, the form data will be deleted.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Team cannot be deleted as Auditee is already assigned to the team.	This message is displayed when the actor attempts to delete an Audit Team Name which is assigned to an Auditee.	None

5.5.2 Last Audited Details

5.5.2.1 Add

Brief Description

The main purpose of this form is to allow you to add the last audited details of the Auditee. Before the current schedule of the Audit is defined for an Auditee, last Audit details need to be specified if it available. If the details are not available, then the user can simply specify that the details are not available. The Last Audit details are required to be specified only for the first time. However, for the next audit, the current audit details will become the Last Audit details.

Last Audited Details can be created by the Department Administrator in case Office Administrator does not exist.

In **Fig 5.5.2.1.1**, you can see a sample screen shot of the **Add Last Audited Details** form that appears when you are logged in as **Office Administrator**. The field marked with the * symbol is mandatory and must contain some value.

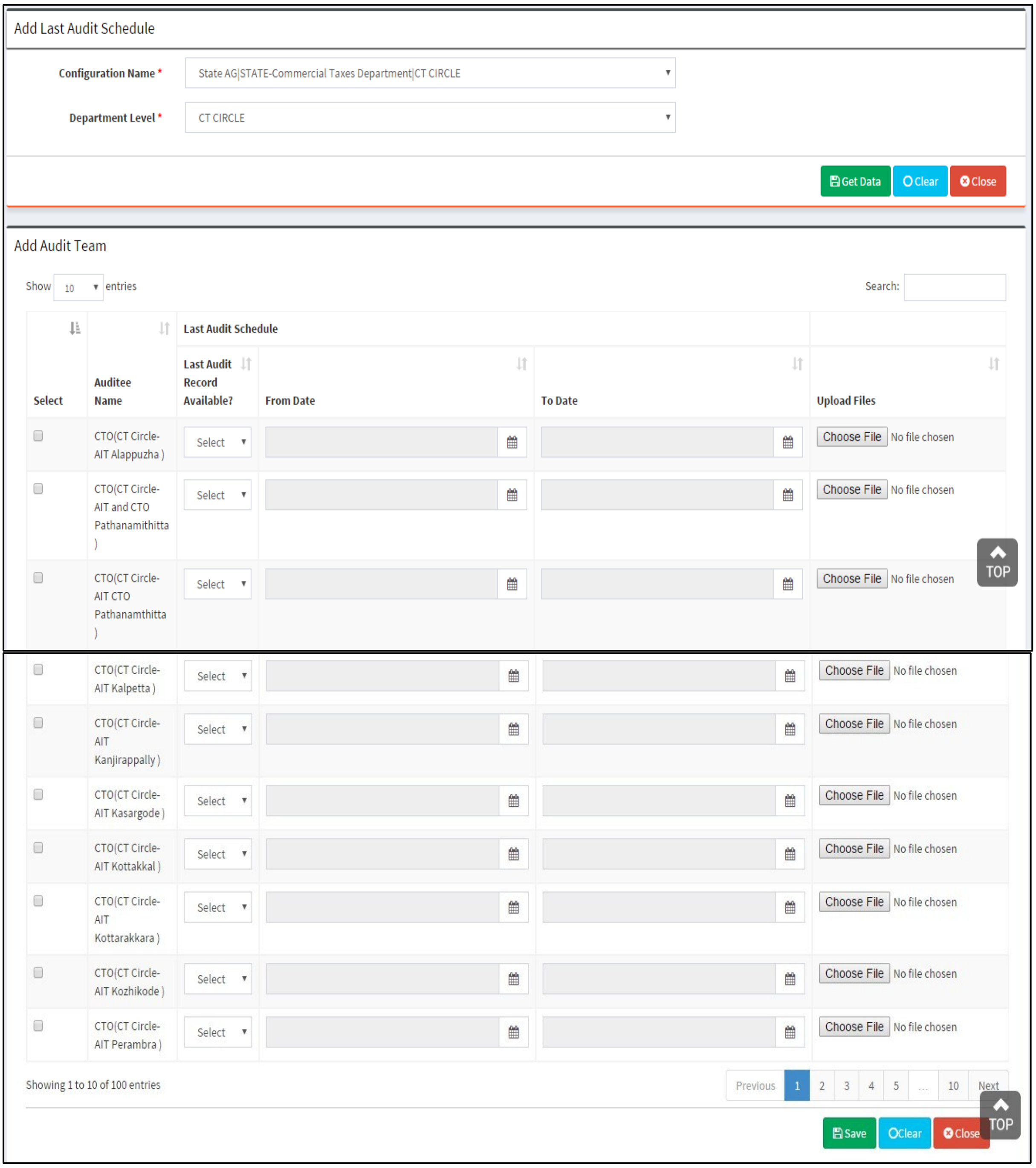
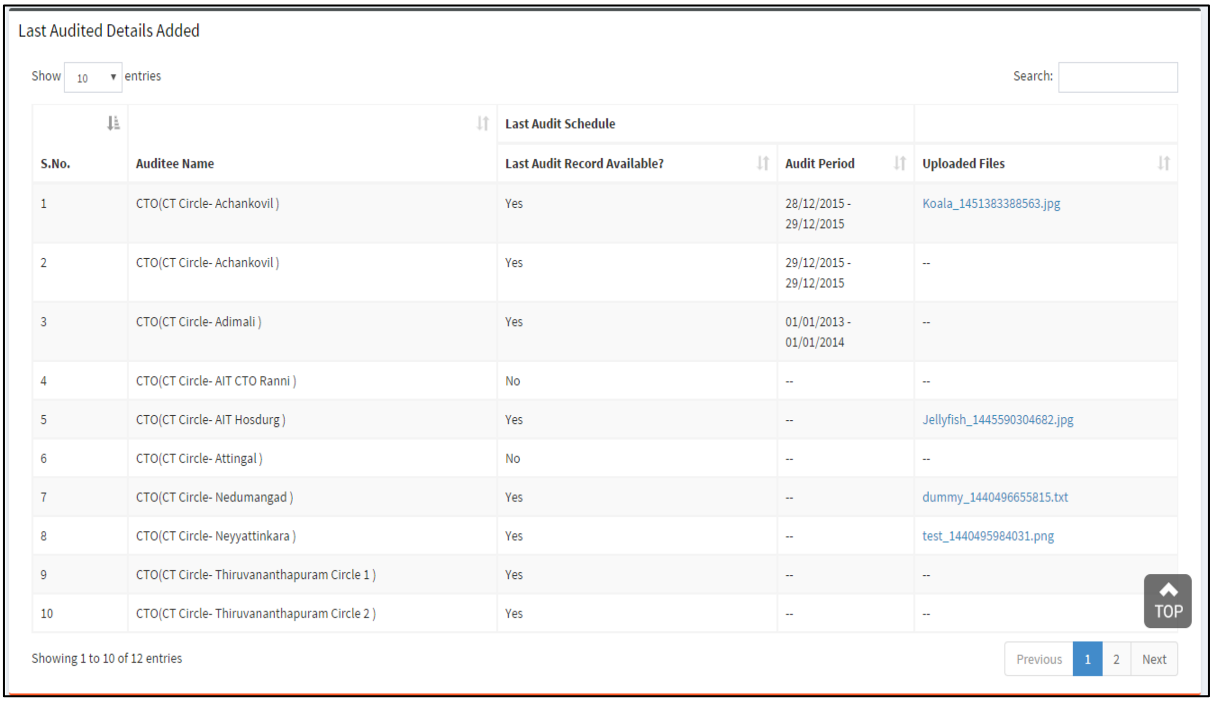


Fig 5.5.2.1.1

When details of the Last Audit have been specified for some of the Auditee units, belonging to the Department level which is involved in the configuration, a new grid showing the Last Audited Details Added will be shown on the screen along with the remaining Auditee units for which the details are yet to be specified. **Fig 5.5.2.1.2** shows the Last Audited Details Added grid showing the Auditee units for which the details have already been specified.



Last Audited Details Added

Show 10 entries Search:

S.No.	Auditee Name	Last Audit Schedule		
		Last Audit Record Available?	Audit Period	Uploaded Files
1	CTO(CT Circle- Achankovil)	Yes	28/12/2015 - 29/12/2015	Koala_1451383388563.jpg
2	CTO(CT Circle- Achankovil)	Yes	29/12/2015 - 29/12/2015	--
3	CTO(CT Circle- Adimali)	Yes	01/01/2013 - 01/01/2014	--
4	CTO(CT Circle- AIT CTO Ranni)	No	--	--
5	CTO(CT Circle- AIT Hosdurg)	Yes	--	Jellyfish_1445590304682.jpg
6	CTO(CT Circle- Attingal)	No	--	--
7	CTO(CT Circle- Nedumangad)	Yes	--	dummy_1440496655815.txt
8	CTO(CT Circle- Neyyattinkara)	Yes	--	test_1440495984031.png
9	CTO(CT Circle- Thiruvananthapuram Circle 1)	Yes	--	--
10	CTO(CT Circle- Thiruvananthapuram Circle 2)	Yes	--	--

Showing 1 to 10 of 12 entries Previous 1 2 Next

TOP

Fig 5.5.2.1.2

Pre-Condition

You should log in into the application as an **Office Administrator** and have privilege to **Add Last Audited Details**. Configuration should have already been defined, and Process flow should have already been freeze. You can open the **Add Last Audited Details** form by clicking the **Last Audited Details → Add** option available on the left menu.

The **Add Last Audited Details** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to select the configuration names from the dropdown. **Validation:** Only those configuration names will populate for which the logged in user is assigned the task of doing the Audit and process flow has been freeze. **Mandatory/Optional/Read Only:** Mandatory
2	Department/Entity Level/Local Body Type	**Description:** If the configuration was for an entity, then the user will select the entity level for which configuration has been added from the dropdown. If the configuration was for a department, then the user will select from the given department level. This will usually be a level

		involved in the configuration. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	ZP/BP/GP	**Description:** The entire hierarchy will be selected by the user in case the configuration involves any entity such as ZP/BP/GP. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Select	**Description:** This field is used to select the Name of the Auditee for which last audited details need to be added. **Validation:** Select at least one Auditee name. **Mandatory/Optional/Read Only:** Mandatory
5	Auditee Name	**Description:** This field represents the Auditee name which belongs to the Department/Entity level. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Last Audit Record Available?	**Description:** This field is used to specify whether the Last Audit Records are available or not. The user must select Yes or No. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
7	From Date	**Description:** This field is used to select the Start date from the calendar from which Audit was conducted. **Validation: 1)** This field will only be asked when the user has selected Yes in Last Audit Record Available. **2)** Calendar will be enabled till 1 day prior to the current date. **Mandatory/Optional/Read Only:** Mandatory
8	To Date	**Description:** This field is used to select the To date from the calendar till which Audit has already been conducted. **Validation: 1)** This field will only be asked when the user has selected

		Yes, in Last Audit Record Available. **2)** Calendar will be enabled till 1 day prior to the current date. **Mandatory/Optional/Read Only:** Mandatory
9	Upload File	**Description:** This field is used to upload the necessary documents for the Last Audit if it is available **Validation:** NA **Mandatory/Optional/Read Only:** Optional
10	Uploaded File	**Description:** This field is used to show the uploaded files for the Last Audit in the lower grid. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Add Last Audited Details form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the add Last Audited details operation and close the page.

Flow of Form

To add Last Audited details, you need to follow the steps given below:

1. You should login into the application as Office Administrator and have privilege to add **Last Audited Details.**
2. Click the **Last Audited Details -> Add** option available on the left menu. The **Last Audited Details** form is displayed on the screen. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select **Configuration Name** from the dropdown. All those configuration names will populate in the dropdown for which the logged in Admin has been assigned the role of performing the audit.
4. Select **Department /Entity Level** from the dropdown, depending upon the configuration. The level of the Auditee for which last audited details are being added would be shown.
5. If configuration involves Entity level such as Zilla Panchayat /Block Panchayat/Gram Panchayat then the following dropdowns will be available for the user to select values–

- **Select District Panchayat:** The system would populate all the list of district Panchayat names in the combo box. You may select All or specific district Panchayat name.
- **Select Block Panchayat:** The system would prompt to select the district Panchayat name in combo box first, then all the list of corresponding block Panchayat name which are mapped with the selected district Panchayat will be displayed. You may select All or block Panchayat name from the combo box.
- **Select Gram Panchayat:** The system would prompt the district Panchayat name in combo box first, and then you will select either All or corresponding block Panchayat name from combo box and finally selects either All or gram Panchayat name corresponding to the selected block Panchayat from combo box.

6. As soon as you select Department/Entity level from the dropdown, the system will show the list of Auditee's which belongs to that entity level for which last Audit details need to be added in the first grid. If certain details have already been added for this Entity/Department level, then another grid titled **Last Audited Details Added** will be shown, which will show you the list of Auditee's for which the details have already been added.
7. You can see the fields such as Select box, Auditee Name, Last Audit Record Available, From Date, To Date and Upload Files. Fill in the data in the required fields.
8. If the Last Audit Record is Available, then you will select **From** and **To** Date from the calendar and Upload Files Otherwise No.
9. Details once added can be seen in the second grid titled: **Last Audit Details Added**. Details such as Auditee Name, Last Audit Record Available, Audit Period and Uploaded Files can be seen.
10. After filling in all the mandatory fields, click on **save** button to save the details.
11. Click on **Clear** button to discard the details entered or click on C**lose** button to close the form.

Post-Condition

- Upon clicking **save** button, data will be saved in the database and a message "Data Saved Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.
- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the form fields will be cleared.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Please select at least one Auditee unit	This message is displayed when the user attempts to save the last audited details of Auditee without selecting at least one Auditee unit.	Select at least one Auditee unit
2	Please select Yes, if the details for the last audit record is available, otherwise No.	This message is displayed when user attempts to save the details of Auditee currently selected for adding last audited details, without selecting Yes or No for 'Last Audit Record Available?'.	Select Yes or No for 'Last Audit Record Available?'
3	Please select FROM date from calendar	This message is displayed when user attempts to save the details of Auditee currently selected for adding last audited details, without selecting the FROM date in the Last Audit Schedule.	Select the FROM date in the Last Audit Schedule Date
4	Please select TO date from calendar	This message is displayed when user attempts to save the details of Auditee currently selected for adding last audited details, without selecting the TO date in the Last Audit Schedule.	Select the FROM date in the Last Audit Schedule Date
5	FROM date should be earlier than TO date	This message is displayed when user attempts to select FROM date with a value equal or greater than TO date	Select FROM date with a value less than TO date
6	Invalid file format. Only PDF, TXT, JPG, DOC, DOCX, PNG, ODT	This message is displayed when the user attempts to upload file in unacceptable formats.	Select a file in the acceptable formats such as PDF, TXT, JPG, DOC, DOCX, PNG, JPEG, PNG.
7	Last Audited Details of all the Auditee units belonging to this Configuration Name have	This message is displayed when the user attempts to add the last audited details of the Auditee units belonging to the configuration name when last audited	NA

	already been defined	details have already been defined.	

5.5.2.2 Manage

Brief Description

The main purpose of this form is to allow you to Manage Last Audited details. When you click on **Manage** in the **Last Audited Details**, the **Manage Last Audited Details** form appears. This form allows you to search for the last Audited details added based on **Configuration Name** search parameter and thereby take necessary actions such as View, Modify and Delete.

In **Fig 5.5.2.2.1**, you can see a sample screen shot of the **Manage Last Audited Details** form that appears when you are logged in as **Office Administrator**. The field marked with the * symbol is mandatory and must contain some value.

Fig 5.5.2.2.1

On selecting the desired Configuration Name from the dropdown for which details need to be managed, the details will be populated as shown in **Fig 5.5.2.2.2.** The user can click on View, Modify or Delete to take the necessary action.

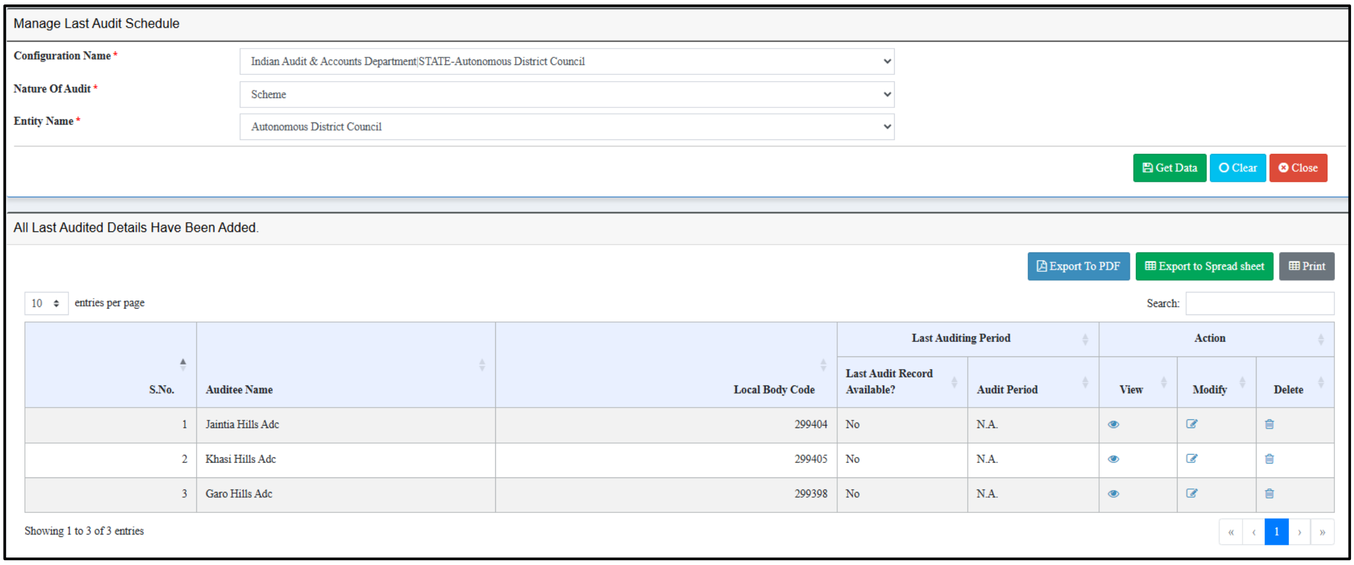


Fig 5.5.2.2.2

Pre-Condition

You should log in into the application as an **Office Administrator** and have privilege to **Manage Last Audited Details**. Configuration should have already been defined, and Process flow should have already been freeze. You can open the **Manage Last Audited Details** form by clicking the **Last Audited Details → Manage** option available on the left menu.

The **Manage Last Audited Details** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Configuration Name	**Description:** This field is used to select the configuration names from the dropdown. **Validation: O**nly those configuration names will populate for which the logged in user is assigned the task of doing the Audit and process flow has been freeze. **Mandatory/Optional/Read Only:** Mandatory
2	Department/Entity Level/Local Body Type	**Description:** If the configuration was for an entity, then the user will select the entity level for which configuration has been added from the dropdown. If the configuration was for a department, then the user will select from the given department level. This will usually be a level involved in the configuration. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
3	ZP/BP/GP	**Description:** The entire hierarchy will be selected by the user in case the configuration involves any entity such as ZP/BP/GP. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	Nature of Audit	**Description:** This will be Scheme type as the panchayats audit is carried out likewise. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Flow of Form

To Manage Last Audited details, you need to follow the steps as given below:

1. You should login into the application as Office Administrator and have privilege to Manage **Last Audited Details.**
2. Click the **Last Audited Details -> Manage** option available on the left menu. The Manage **Last Audited Details** page is displayed on the screen. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select **Configuration Name** from the dropdown. All those configuration names will populate in the dropdown for which the logged in Admin has been assigned the role of performing the audit.
4. Select **Department /Entity Level** from the dropdown, depending upon the configuration. The level of the Auditee for which last audited details are being added would be shown.
5. If configuration involves Entity level such as Zilla Panchayat /Block Panchayat/Gram Panchayat then the following drop-downs will be available for the user to select values–
   - **Select District Panchayat:** The system would populate all the list of district Panchayat names in the combo box. You may select All or specific district Panchayat name.
   - **Select Block Panchayat:** The system would prompt to select the district Panchayat name in combo box first, then all the list of corresponding block Panchayat name which are mapped with the selected district Panchayat will be displayed. You may select All or block Panchayat name from the combo box.
   - **Select Gram Panchayat:** The system would prompt the district Panchayat name in combo box first, and then you will select either All or corresponding block Panchayat name from combo box and finally selects either All or gram Panchayat name corresponding to the selected block Panchayat from combo box.

1. As soon as you select Department/Entity level from the dropdown, the system will show the list of Auditee's for which details have already been added. The user can see information such as Auditee Name, Last Audit Record Available, Audit period and Action (**View, Modify and Delete)** in the form of grid.

2. Click Modify, View or Delete against the Auditee Name to take the required action.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action

1	Last Audited Details have not been added for the selected Configuration name	This message is displayed when the user attempts to populate the record when no record has been added according to the search criteria selected.	None

5.5.2.2.2 Modify Last Audited Details

Brief Description

The main purpose of this form is to allow you to modify the last audited details of the Auditee. When you click on **Modify** in the **Manage Last Audited Details**, the Modify Last Audited Details form appears. This form displays the complete details entered by the user such as Auditee Name, whether last record is available or not, From Date, To Date and file uploads if any and allows you to make desired changes.

In **Fig 5.5.2.2.1.1**, you can see a sample screen shot of the **Modify Last Audited Details** form that appears when you are logged in as **Office Administrator**. The field marked with the * symbol is mandatory and must contain some value.

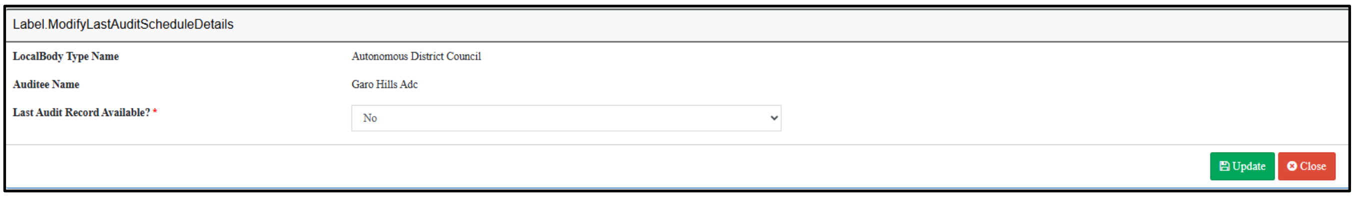


Fig 5.5.2.2.1.1

Pre-Condition

You should login into the application as an **Office Administrator** and have privilege to **Modify Last Audited Details**. You can modify the Last Audited Details when the details have already been added. You can open the **Modify Last Audited Details** form by clicking the **Last Audited Details → Manage→Modify** option available on the left menu.

The **Modify Last Audited Details** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Department/Entity Level/Local Body Type	**Description:** If the configuration was for an entity, then the entity level will be shown whereas if the configuration was for a department, then the department level will be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditee Name	**Description:** This field is used to specify the Auditee name for which the Last Audit details have been entered. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Last Audit Record Available?	**Description:** This field is used to specify whether the Last Audit Records are available or not. The user must select Yes or No. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	From Date	**Description:** This field is used to select the Start date from the calendar from which Audit was conducted. **Validation: 1)** This field will only be asked when the user has selected Yes in Last Audit Record Available. **2)** Calendar will be enabled till 1 day prior to the current date. **Mandatory/Optional/Read Only:** Mandatory
5	To Date	**Description:** This field is used to select the to date from the calendar till which Audit has already been conducted. **Validation: 1)** This field will only be asked when the user has selected Yes in Last Audit Record Available. **2)** Calendar will be enabled till 1 day prior to the current date. **Mandatory/Optional/Read Only:** Mandatory
6	Upload File	**Description:** This field is used to upload the necessary documents for the Last Audit if it is available **Validation:** NA **Mandatory/Optional/Read Only:** Optional

Modify Last Audited Details form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made.
- **Close**: This button allows you to abort the Modify Last Audited details operation and close the page.

Flow of Form

To Modify Last Audited details, you need to follow the steps as given below:

1. You should login into the application as Office Administrator and have privilege to **Modify Last Audited Details.**
2. Click the **Last Audited Details -> Manage -> Modify** option available on the left menu. The **Modify Last Audited Details** form is displayed on the screen. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Specify whether the last record is available or not.
4. If the Last Audit Record is Available, then select **From** and **To** Date from the calendar and Upload Files if any otherwise No.
5. After filling in all the mandatory fields, click on **Update** button to update the details.
6. Click on C**lose** button to close the form.

Post-Condition

- Upon clicking **Update** button, data will be updated in the database and a message "Data Updated Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This field is required	The actor attempts to save without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	Please select Yes, if the details for the last audit record is available, otherwise No.	This message is displayed when user attempts to save the details of Auditee currently selected for adding last audited details, without selecting Yes or No for 'Last Audit Record Available?'.	Select Yes or No for 'Last Audit Record Available?'

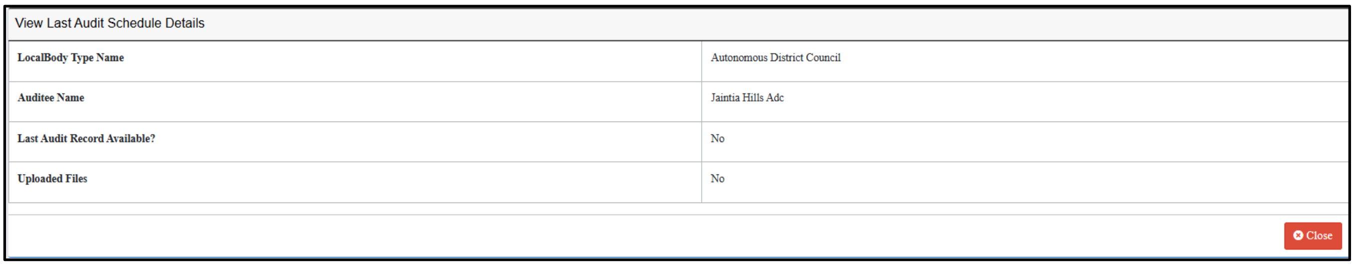
3	Please select FROM date from calendar	This message is displayed when user attempts to save the details of Auditee currently selected for adding last audited details, without selecting the FROM date in the Last Audit Schedule.	Select the FROM date in the Last Audit Schedule Date
4	Please select TO date from calendar	This message is displayed when user attempts to save the details of Auditee currently selected for adding last audited details, without selecting the TO date in the Last Audit Schedule.	Select the FROM date in the Last Audit Schedule Date
5	FROM date should be earlier than TO date	This message is displayed when user attempts to select FROM date with a value equal or greater than TO date	Select FROM date with a value less than TO date
6	Invalid file format. Only PDF,TXT, JPG, DOC, DOCX, PNG, ODT	This message is displayed when the user attempts to upload file in unacceptable formats.	Select a file in the acceptable formats such as PDF, TXT, JPG, DOC, DOCX, PNG, JPEG, and PNG.
7	This Auditee has already been assigned for Auditing, so cannot update now.”	This message is displayed when the user tries to modify last audited details where an Auditee is already assigned for audit.	None

5.5.2.2.3 View Last Audited Details

Brief Description

The main purpose of this form is to allow you to View the last audited details of the Auditee. When you click on **View** in the **Manage Last Audited Details**, the view Last Audited Details form appears. This form displays the complete details entered by the user such as Auditee Name, whether last record is available or not, From Date, To Date and file uploads if any.

In **Fig 5.5.2.2.2.1**, you can see a sample screen shot of the **View Last Audited Details** form that appears when you are logged in as **Office Administrator**.



View Last Audit Schedule Details

LocalBody Type Name	Autonomous District Council
Auditee Name	Jaintia Hills Adc
Last Audit Record Available?	No
Uploaded Files	No

Close

Fig 5.5.2.2.2.1

Pre-Condition

You should log in into the application as an **Office Administrator** and have privilege to **View Last Audited Details**. You can view the Last Audited details when the details have already been added. You can open the **View Last Audited Details** form by clicking the **Last Audited Details → Manage→View** option available on the left menu.

The **View Last Audited Details** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Department/Entity Level/Local Body Type	**Description:** If the configuration was for an entity, then the entity level will be shown whereas if the configuration was for a department, then the department level will be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditee Name	**Description:** This field is used to specify the Auditee name for which the Last Audit details have been entered. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Last Audit Record Available?	**Description:** This field is used to specify whether the Last Audit Records are available or not. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

4	From Date	**Description:** This field is used to select the Start date from the calendar from which Audit was conducted. **Validation:** This field will only be asked when the user has selected Yes in Last Audit Record Available. **Mandatory/Optional/Read Only:** Read Only
5	To Date	**Description:** This field is used to select the To date from the calendar till which Audit has already been conducted. **Validation:** This field will only be asked when the user has selected Yes in Last Audit Record Available. **Mandatory/Optional/Read Only:** Read Only
6	Upload File	**Description:** This field is used to upload the necessary documents for the Last Audit if it is available **Validation:** This field will only be asked when the user has selected Yes in Last Audit Record Available. **Mandatory/Optional/Read Only:** Read Only

View Last Audited Details form contains the following buttons as indicated below:

- **Close**: This button allows you to abort the Add Last Audited details operation and close the page.

Flow of Form

To View Last Audited details, you need to follow the steps as given below:

1. You should log in into the application as Office Administrator and have privilege to **View Last Audited Details.**
2. Click the **Last Audited Details -> Manage -> View** option available on the left menu.
3. After getting the search result in the Manage Last Audited details form, click the View icon in front of the Auditee Name to view the details. The **View Last Audited details** form is displayed on the screen.
4. You can view the Auditee Name, Whether the Last Record is Available or not, From and To Date and Uploaded files if the details are available otherwise No.
5. Click the **Close** button to close the details.

Post-Condition

- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

None

5.5.2.2.4 Delete Last Audited Details

Brief Description

The main purpose of this form is to allow you to delete the last audited details of the Auditee. When you click on **Delete** in the **Manage Last Audited Details**, the delete Last Audited Details form appears. This form displays the complete details entered by the user such as Auditee Name, whether last record is available or not, From Date, To Date and file uploads if any and allows you to delete the details.

In **Fig 5.5.2.2.3.1**, you can see a sample screen shot of the **Delete Last Audited Details** form that appears when you are logged in as **Office Administrator**.

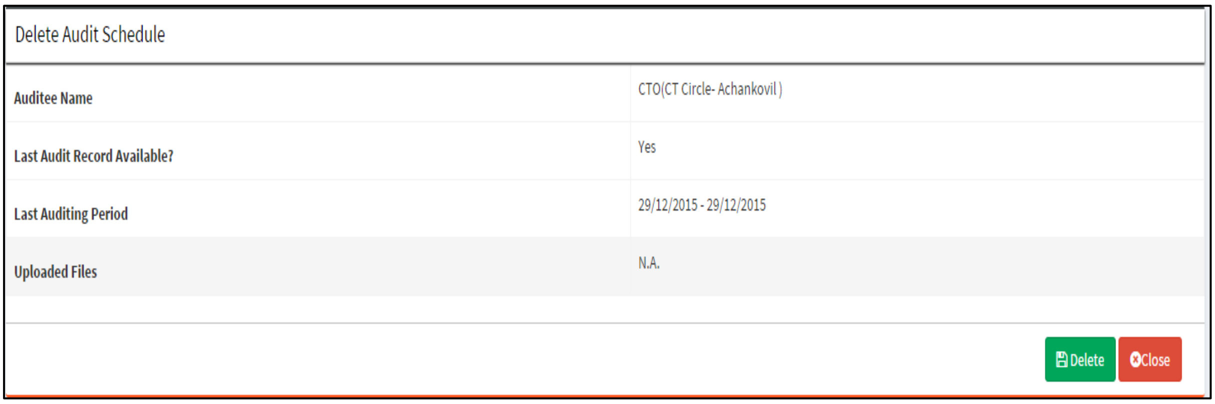


Fig 5.5.2.2.3.1

Pre-Condition

You should login into the application as an **Office Administrator** and have privilege to **Delete Last Audited Details**. You can delete the Last Audited details when the details have already been added. You can open the **Delete Last Audited Details** form by clicking the **Last Audited Details → Manage→Delete** option available on the left menu.

The **Delete Last Audited Details** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Department/Entity Level/Local Body Type	**Description:** If the configuration was for an entity, then the entity level will be shown whereas if the configuration was for a department, then the department level will be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditee Name	**Description:** This field is used to specify the Auditee name for which the Last Audit details have been entered. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Last Audit Record Available?	**Description:** This field is used to specify whether the Last Audit Records are available or not. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	From Date	**Description:** This field is used to select the Start date from the calendar from which Audit was conducted. **Validation:** This field will only be asked when the user has selected Yes in Last Audit Record Available. **Mandatory/Optional/Read Only:** Read Only
5	To Date	**Description:** This field is used to select the To date from the calendar till which Audit has already been conducted. **Validation:** This field will only be asked when the user has selected Yes in Last Audit Record Available. **Mandatory/Optional/Read Only:** Read Only
6	Upload File	**Description:** This field is used to upload the necessary documents for the Last Audit if it is available **Validation:** This field will only be asked when the user has selected Yes

		in Last Audit Record Available. **Mandatory/Optional/Read Only:** Read Only

Delete Last Audited Details form contains the following buttons as indicated below:

- **Delete**: This button allows you to delete the audit team details**.**
- **Close**: This button allows you to abort the add Last Audited details operation and close the page.

Flow of Form

To delete Last Audited details, you need to follow the steps given below:

1. You should login into the application as Office Administrator and have privilege to **Delete Last Audited Details.**
2. Click the **Last Audited Details -> Manage -> Delete** option available on the left menu.
3. After getting the search result in the Manage Last Audited details form, click the delete icon in front of the Auditee Name to delete the details. The **delete Last Audited details** form is displayed on the screen.
4. You can view the Auditee Name, Whether the Last Record is Available or not, From and To Date and Uploaded files if the details are available otherwise No.
5. Click the **Delete** button to delete the last audited details.
6. Click on **Close** button to close the details.

Post-Condition

- Upon clicking **Delete** button, a message “Are you sure that you want delete the record?” will appear. Upon confirmation, the form data will be deleted.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Auditee has already been assigned for	This message is displayed when the user tries to delete last audited details where	This Auditee has already been assigned for Auditing,

	Auditing, so cannot delete now.	an Auditee is already assigned for audit.	so cannot delete now.

5.5.3 Assign Auditee

5.5.3.1 Add

<u>**Brief Description**</u>

The main purpose of this form is to Assign Auditee to the Audit team. A schedule is prepared for the audit team, based on which, a team of auditors perform audit of the specified Auditee. One team can be assigned multiple Auditee's' based on varying schedules.

<u>**Assign Auditee Details can be created by the Department Administrator in case of Office Administrator does not exist.**</u>

In **Fig 5.5.3.1.1**, you can see a sample screen shot of the **Add Assign Auditee Details** form that appears when you are logged in as **Office Administrator**. The field marked with the * symbols are mandatory and must contain some value.

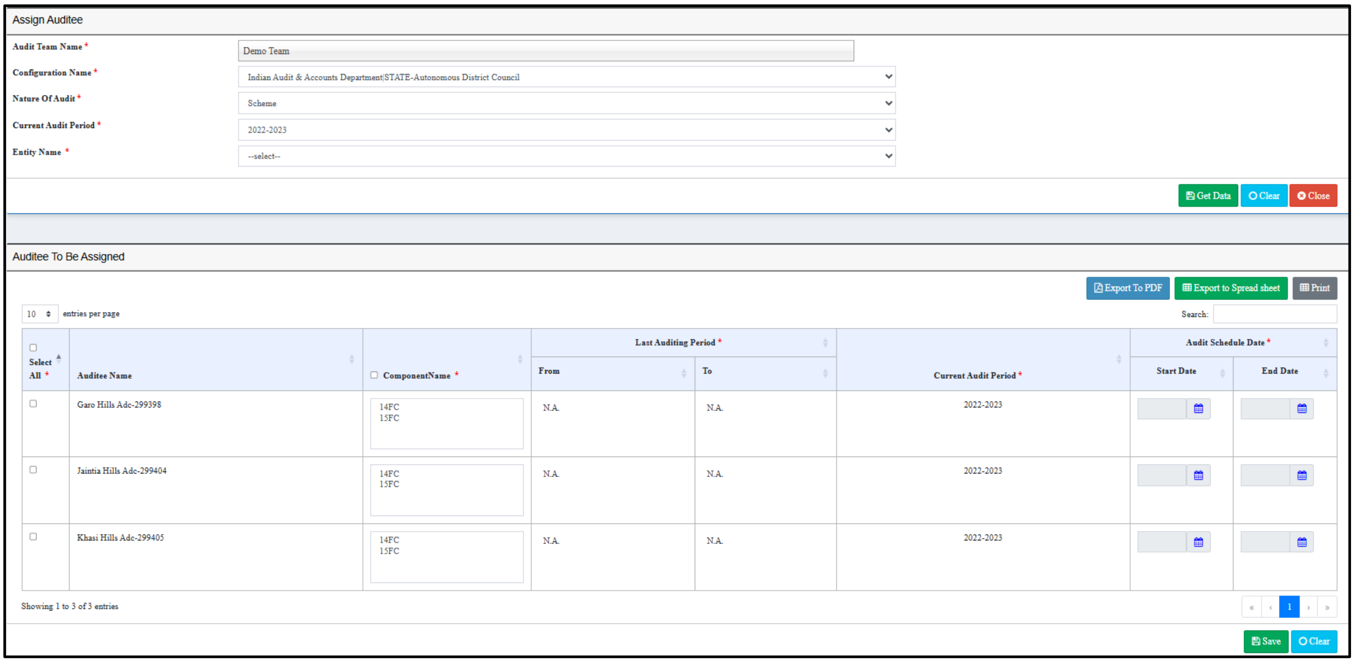


Fig 5.5.3.1.1

Pre-Condition

You should login into the application as an **Office Administrator** and have privilege to **Add Assign Auditee Details**. Configuration should have already been defined, Process flow should have already been freeze, Audit Team should have been formed, and Last Audited Details of the Auditee should have been specified. You can open the **Add Assign Auditee** form by clicking the **Assign Auditee → Add** option available on the left menu.

The **Add Assign Auditee** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Team Name	**Description:** This field is used to select the audit team from the dropdown. **Validation:** All the list of teams which have been formed by the logged in Admin will be populated in the dropdown. **Mandatory/Optional/Read Only:** Mandatory
2	Configuration Name	**Description:** This field is used to select the configuration names from the dropdown. **Validation: O**nly those configuration names will populate for which the logged in user is assigned the task of doing the Audit and process flow has been freeze. **Mandatory/Optional/Read Only:** Mandatory
3	Department/Entity Level/Local Body Type	**Description:** If the configuration was for an entity, then the user will select the entity level for which configuration has been added from the dropdown. If the configuration was for a department, then the user will select from the given department level. This will usually be a level involved in the configuration. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
4	ZP/BP/GP	**Description:** The entire hierarchy will be selected by the user in case the configuration involves any entity such as ZP/BP/GP.

		Validation: NA **Mandatory/Optional/Read Only:** Mandatory
4	Select	**Description:** This field is used to select the Name of the Auditee for which assign Auditee details needs to be added. **Validation:** Select at least one Auditee name. **Mandatory/Optional/Read Only:** Mandatory
5	Auditee Name	**Description:** This field represents the Auditee name which belongs to the Department/Entity level. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Last Auditing Period	**Description:** This field is used to specify the last audit period of the Auditee if the details have been specified by the user in the Last Audited details otherwise NA would be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Current Auditing Period-From Date	**Description:** This field is used to specify the FROM Date of the current audit period for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Current Auditing Period-To Date	**Description:** This field is used to specify the TO Date of the current audit period for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
9	Audit Schedule Date-Start Date	**Description:** This field is used to specify the Start Date of the Audit schedule. **Validation:** NA

		Mandatory/Optional/Read Only: Mandatory
10	Audit Schedule Date-End Date	**Description:** This field is used to specify the End Date of the Audit schedule. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
11	Component Name	**Description:** This field is used to select the scheme component. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
12	Nature of Audit	**Description:** This field is used to select the nature or the type of audit which is to be carried out. (By default, scheme for Panchayats & Equivalent) **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Add Assign Auditee details form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.

Flow of Form

To add assign Auditee details, you need to follow the steps as given below:

1. You should login into the application as Office Administrator and have privilege to add **Assign Auditee Details.**
2. Click the **Assign Auditee -> Add** option available on the left menu. The **Details** form is displayed on the screen. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.
3. Select **Configuration Name** from the dropdown. All those configuration names will populate in the dropdown for which the logged in Admin has been assigned the role of performing the audit.
4. Select **Department /Entity Level** from the dropdown, depending upon the configuration. The level of the Auditee for which assign Auditee details are being added would be shown.
5. If configuration involves Entity level such as Zilla Panchayat /Block Panchayat/Gram Panchayat

then the following drop-downs will be available for the user to select values–

- **Select District Panchayat:** The system would populate all the list of district Panchayat names in the combo box. You may select All or specific district Panchayat name.
- **Select Block Panchayat:** The system would prompt to select the district Panchayat name in combo box first, then all the list of corresponding block Panchayat name which are mapped with the selected district Panchayat will be displayed. You may select All or block Panchayat name from the combo box.
- **Select Gram Panchayat:** The system would prompt the district Panchayat name in combo box first, and then you will select either All or corresponding block Panchayat name from combo box and finally selects either All or gram Panchayat name corresponding to the selected block Panchayat from combo box.

6. As soon as you select Department/Entity level from the dropdown, the system will show the list of Auditee's which belongs to that entity level for which assign Auditee details needs to be added in the grid.
7. You can see the fields such as Select box, Auditee Name, Last Auditing Period, Current Auditing Period-From and To Date, Audit Schedule Date – Start and End Date. Fill in the data in the required fields.
8. After filling in all the mandatory fields, click on **save** button to save the details.
9. Click on **Clear** button to discard the details entered.

Post-Condition

- Upon clicking **save** button, data will be saved in the database and a message "Data Saved Successfully" will appear.
- Upon clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the form fields will be cleared.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	No audit team exists. Please create the audit team first!	This message is displayed when the user attempts to add assign Auditee details when audit team has not been created.	Create an Audit team and then add assign Auditee details.

2	Select Audit Team	This message is displayed when the user attempts to save the assign Auditee details when audit team has not been selected.	Select an Audit Team and then save the assign Auditee details.
3	Audit Configuration has not been defined yet	This message is displayed when user attempts to add assign Auditee details when configuration details has not been defined yet for this office level.	Define Configuration details and then save the assign Auditee details.
4	Please select at least one Auditee unit	This message is displayed when the user attempts to save the assign Auditee details without selecting Auditee unit.	Select at least one Auditee unit and then save the assign Auditee details.
5	Please select FROM Date from the calendar	This message is displayed when user attempts to save the details of Auditee currently selected for assign Auditee, without selecting the appropriate FROM Date in the current audit period.	Select the appropriate FROM date in the assign Auditee.
6	Please select TO Date from the calendar	This message is displayed when user attempts to save the details of Auditee currently selected for assign Auditee, without selecting the appropriate TO date in the current audit period.	Select the appropriate TO date in the assign Auditee.
7	FROM Date should be earlier than TO Date	This message is displayed when user attempts to enter the Current Audit To date with value earlier than or equal to value entered in Current Audit From date.	Select FROM date with a value less than TO date.
8	Audit has already been conducted for the currently selected Audit dated	This message is displayed when the user attempts to select Current Audit From Date –To Date as same date for which audit has already been conducted as specified in the last Audit period.	Select a different Current Audit From –To date than as specified in the Last Audit Period.

9	Start Date should be earlier than End Date	This message is displayed when the actor attempts to Schedule End Date with an earlier or equal value than Schedule Start Date.	Select Start date with a value less than End Date.
10	Please enter a different schedule date as current team is already scheduled for another Auditee during this period.	This message is displayed when the user attempts to schedule same Start or End Dates for different Auditee unit belonging to same audit team.	Schedule different Start or End Dates for different Auditee unit belonging to same audit team
11	"{Designation- name of the auditor who is part of the multiple teams} is already assigned an Auditee based on the selected schedule dates. Please enter a different schedule date	This message is displayed when the user attempts to assign different teams with one or more members as part of multiple teams to the Auditee with the same schedule.	Assign audit teams where common members do not find the same audit schedule for their different teams.
12	All the Auditee's belonging to this configuration name have already been assigned	This message is displayed when the user attempts to add the Assign Auditee details of all the Auditee's belonging to the configuration name when Assign Auditee details have already been defined.	NA
13	All Components have been assigned to this Auditee.	This message is displayed when the Auditee is assigned for each component in a particular financial year.	NA

5.5.3.2 Manage

Brief Description

The main purpose of this form is to allow you to Manage Assign Auditee details. When you click on **Manage** in the **Assign Auditee Details**, the **Manage Assign Auditee Details** form appears. This form allows you to search for the assign Auditee details added based on **Configuration Name** search parameter and thereby take necessary actions such as View, Modify and Delete.

In **Fig 5.5.3.2.1**, you can see a sample screen shot of the **Manage Assign Auditee Details** form that appears when you are logged in as **Office Administrator**.

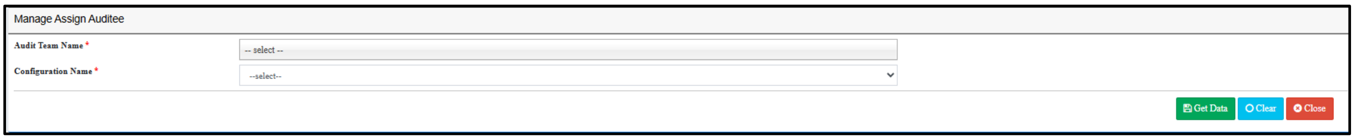


Fig 5.5.3.2.1

On selecting the desired Configuration Name from the dropdown for which details need to be managed, the details will be populated as shown on **Fig 5.5.3.2.2.** The user can click on View, Modify or Delete to take the necessary action.

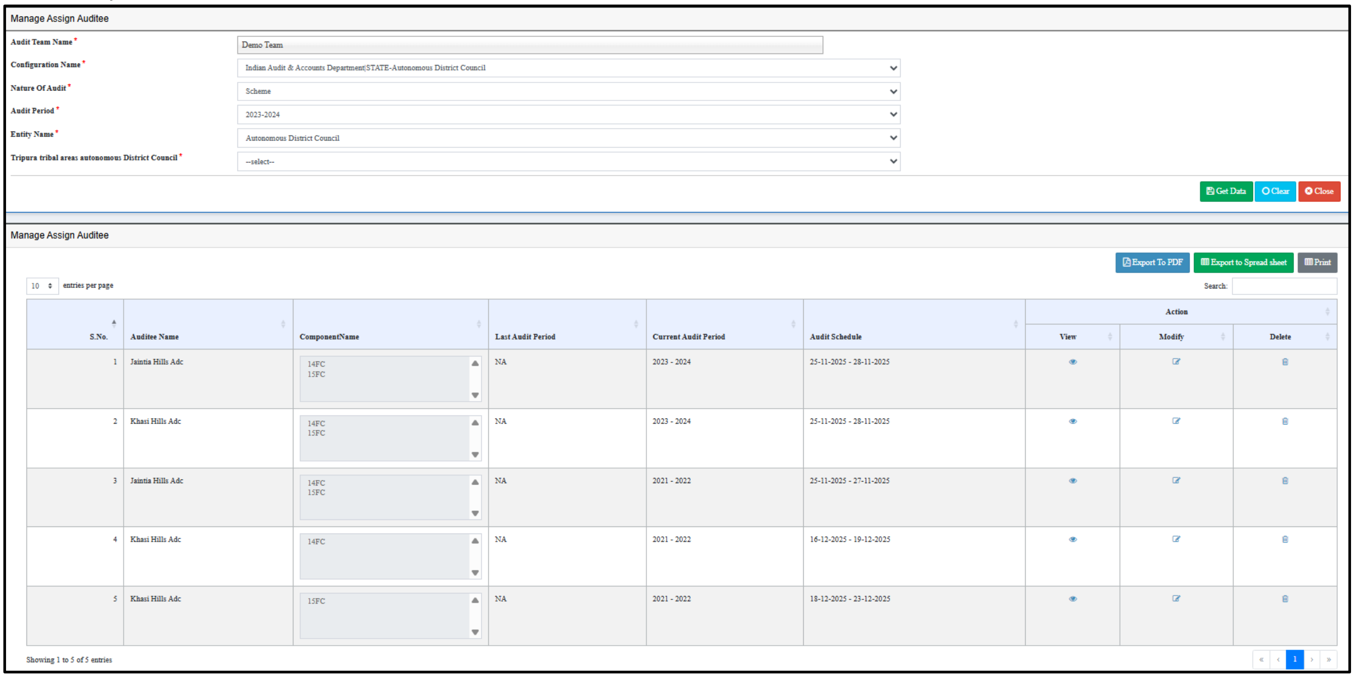


Fig 5.5.3.2.2

Pre-Condition

You should login into the application as an **Office Administrator** and have privilege to **Manage Assign Auditee Details**. Configuration should have already been defined, Process flow should have already been freeze, Audit Team should have been formed, and Last Audited Details of the Auditee should have been specified. You can open the **Manage Assign Auditee Details** form by clicking the **Assign Auditee Details → Manage** option available on the left menu.

The **Manage Assign Auditee Details** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Audit Team Name	**Description:** This field is used to select the audit team from the dropdown for searching for the assign Auditee details. **Validation:** All the list of teams which have been formed by the logged in Admin will be populated in the dropdown. **Mandatory/Optional/Read Only:** Either of the Audit Team name or Configuration is Mandatory to select.

2	Configuration Name	**Description:** This field is used to select the configuration names from the dropdown. **Validation: O**nly those configuration names will populate for which the logged in user is assigned the task of doing the Audit and process flow has been freeze. **Mandatory/Optional/Read Only:** Either of the Audit Team name or Configuration is Mandatory to select.
3	ZP/BP/GP	**Description:** The entire hierarchy will be selected by the user in case the configuration involves any entity such as ZP/BP/GP. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Flow of Form

To Manage Assign Auditee details, you need to follow the steps as given below:

1. You should login into the application as Office Administrator and have privilege to Manage **assign Auditee Details.**
2. Click the **Assign Auditee Details -> Manage** option available on the left menu. The Manage **Assign Auditee Details** page is displayed on the screen.
3. Select Audit Team Name from the dropdown.
4. Select **Configuration Name** from the dropdown. All those configuration names will populate in the dropdown for which the logged in Admin has been assigned the role of performing the audit.
5. Either the Audit Team Name or Configuration Name is mandatory to select for filtering the records.

6. If configuration involves Entity level such as Zilla Panchayat /Block Panchayat/Gram Panchayat then the following drop-downs will be available for the user to select values–
   - **Select District Panchayat:** The system would populate all the list of district Panchayat names in the combo box. You may select All or specific district Panchayat name.
   - **Select Block Panchayat:** The system would prompt to select the district Panchayat name in combo box first, then all the list of corresponding block Panchayat name which are mapped with the selected district Panchayat will be displayed. You may select All or block Panchayat name from the combo box.

Select Gram Panchayat: The system would prompt the district Panchayat name in combo box first, and then you will select either All or corresponding block Panchayat name from combo box and finally selects either All or particular gram Panchayat name corresponding to the selected block Panchayat from combo box.

1. As soon as you select Department/Entity level from the dropdown, click on GetData button to populate all the records pertaining to the search criteria.
2. As the GetData is clicked, the system will show the list of Auditee's for which details have already been added. The user can see information such as Auditee Name, Last Audit Record, Current Audit period, Audit Schedule and Action (**View, Modify and Delete)** in the form of grid.
3. Click Modify, View or Delete against the Auditee Name to take the required action.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Either of the Audit Team name or Configuration is mandatory to select	This message is displayed when the user attempts to click on GetData button without selecting either of the Audit Team Name or Configuration from the dropdown	Select either of the Audit Team name or Configuration name for filtering the records.
2	No Auditee has been assigned to this Configuration/Audit Team (where Configuration/Audit Team depends on the search parameter selected).	This message is displayed when the user attempts to click on GetData button after selecting either of the Audit Team Name or Configuration from the dropdown but the Auditee has not been assigned for Auditing	None
3	No Auditee has been assigned belonging to this Configuration and Audit Team	This message is displayed when the user attempts to click on GetData button after selecting both the Audit Team Name and Configuration from the dropdown but the Auditee has not been assigned for	None

		Auditing.	

5.5.3.2.2 Modify Assign Auditee

Brief Description

The main purpose of this form is to allow you to modify the assign Auditee details of the Auditee. When you click on **Modify** in the **Manage Assign Auditee**, the Modify assign Auditee form appears. This form displays the complete details entered by the user such as Auditee Name, last audit period, Current Audit period and current schedule dates and allows you to make desired changes.

In **Fig 5.5.3.2.1.1**, you can see a sample screen shot of the **Modify Assign Auditee** form that appears when you are logged in as **Office Administrator**. The field marked with the * symbol are mandatory and must contain some value.

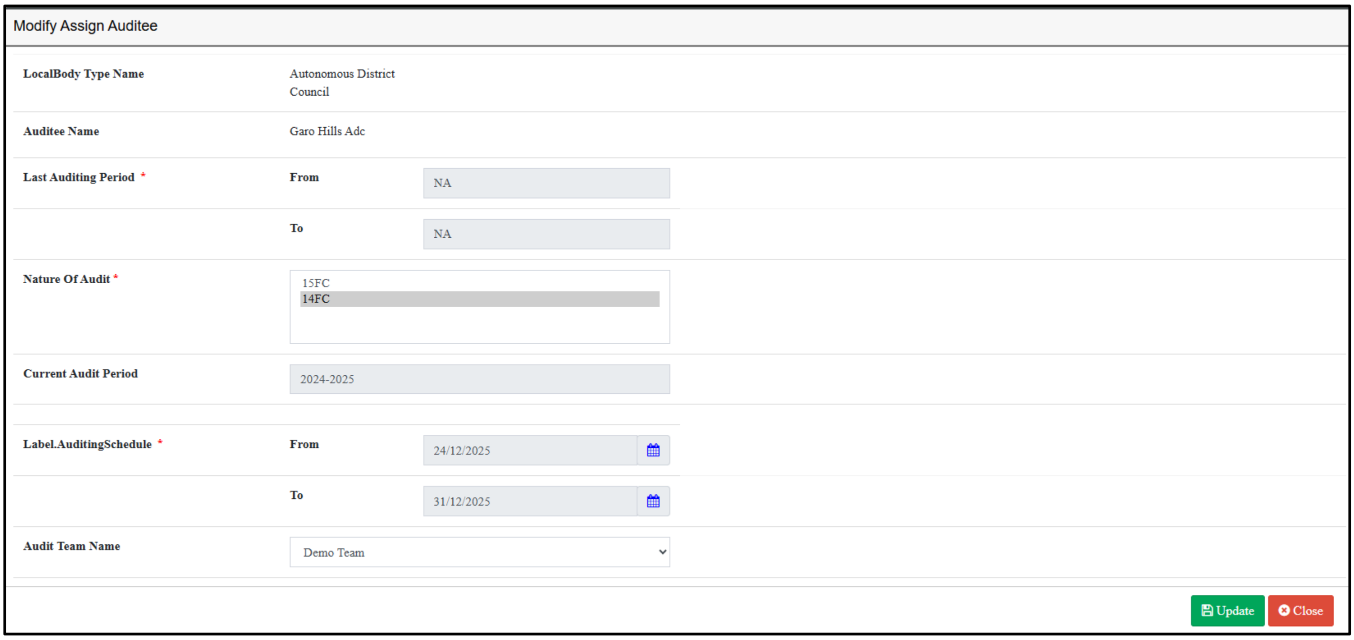


Fig 5.5.3.2.1.1

Pre-Condition

You should login into the application as an **Office Administrator** and have privilege to **Modify Assign Auditee Details**. You can modify the assign Auditee Details when the details have already been added. You can open the **Modify Last Assign Auditee details** form by clicking the **Assign Auditee → Manage→Modify** option available on the left menu.

The **Modify Assign Auditee** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Department/Entity Level/Local Body Type	**Description:** If the configuration was for an entity, then the entity level will be shown whereas if the configuration was for a department, then the department level will be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditee Name	**Description:** This field is used to specify the Auditee name for which the assign Auditee details have been entered. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Last Audit Period	**Description:** This field is used to specify the last audit period of the particular Auditee if the details have been specified by the user in the Last Audited details otherwise NA would be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Current Auditing Period - From Date	**Description:** This field is used to specify the FROM Date of the current audit period for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
5	Current Auditing Period - To Date	**Description:** This field is used to specify the TO Date of the current audit period for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
6	Audit Schedule Date-Start Date	**Description:** This field is used to specify the Start Date of the Audit schedule. **Validation:** NA

		Mandatory/Optional/Read Only: Mandatory
7	Audit Schedule Date-End Date	**Description:** This field is used to specify the End Date of the Audit schedule. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
8	Audit Team Name	**Description:** This field is used to select the audit team from the dropdown. **Validation:** All the list of teams which have been formed by the logged in Admin will be populated in the dropdown. **Mandatory/Optional/Read Only:** Mandatory
9	Nature of Audit	**Description:** This field is used to specify the audit nature type which may be selected from the dropdown list of levels defined in the system for the department. **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory

Modify Assign Auditee form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made.
- **Update and Freeze:** This button allows the schedule for the Auditee to freeze after updating the changes or modifications made. Data once freeze cannot be updated.
- **Close**: This button allows you to abort the Modify Assign Auditee details operation and close the page.

<u>Flow of Form</u>

To modify Assign Auditee details, you need to follow the steps as given below:

1. You should login into the application as Office Administrator and have privilege to **Modify Assign Auditee Details.**
2. Click the **Assign Auditee -> Manage -> Modify** option available on the left menu. The **Modify Assign Auditee** form is displayed on the screen. You will notice that there are certain fields marked with * sign, which means that they are mandatory and required to be filled in.

3. User will be able to see Department/Entity level, Auditee Name and Last Auditing Period for the Auditee in a read only mode.
4. Specify the details such as Current Auditing period- From Date and To Date, Auditing Schedule-Start and End Date and Audit team Name.
5. After filling in all the mandatory fields, click on **Update** button to update the details.
6. Click on **Update and Freeze** button to freeze the schedule for the Auditee and update the change made. Data once freeze cannot be updated.
7. Click on C**lose** button to close the form.

Post-Condition

- Upon clicking **Update** button, data will be updated in the database and a message "Data Updated Successfully" will appear.
- Upon clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This field is required	This message is displayed when the user attempts to save without entering any data in the mandatory fields marked with *.	Enter Data in Mandatory fields marked with *
2	Please select FROM Date from the calendar.	This message is displayed when user attempts to save the details of Auditee currently selected for assign Auditee, without selecting the appropriate FROM date in the current audit period.	Select the appropriate FROM date in the assign Auditee
3	Please select TO Date from the calendar.	This message is displayed when user attempts to save the details of Auditee currently selected for assign Auditee, without selecting the appropriate TO date in the current audit period.	Select the appropriate TO date in the assign Auditee

4	FROM Year should be earlier than TO date	This message is displayed when user attempts to save FROM date with a value equal or greater than TO date	Select FROM date with a value less than TO date
5	The Audit process of this Auditee has already been started. Cannot update now	This message is displayed when user tries to update an Assigned Auditee where the Audit process has been started	NA
6	Audit has already been conducted for the selected Current Audit period	This message is displayed when the user attempts to select Current Audit From Date – To Date as same date for which audit has already been conducted as specified in the last Audit period.	Select a different Current Audit From –To date than as specified in the Last Audit Period.
7	Start Date should be earlier than End Date	This message is displayed when the user inputs the Schedule End Date with an earlier or equal value than Schedule Start Date.	Select Start date with a value earlier than End Date.
8	Please enter a different schedule date as current team is already scheduled for another Auditee during this period.	This message is displayed when the actor attempts to schedule same Start or End Dates for different Auditee unit belonging to same audit team.	Schedule different Start or End Dates for different Auditee unit belonging to same audit team.
9	"{Designation- name of the auditor who is part of the multiple teams} is already assigned an Auditee based on the selected schedule dates. Please enter a different schedule date	This message is displayed when the user attempts to assign different teams with one or more members as part of multiple teams to the Auditee with the same schedule.	Assign audit teams where common members cannot find the same audit schedule for their different teams.

10	The Assign Auditee details cannot be modified as it has already been freeze for this Auditee	This message is displayed when the user attempts to modify Assign Auditee details when the details have already been freeze.	Details cannot be modified once the audit schedule has been freeze for the Auditee.
11	Audit Process has already been completed for the Auditee so cannot modify now.	This message is displayed when the user attempts to modify the details of the assigned Auditee when the audit process has already been completed for the Auditee.	NA

5.5.3.2.3 View Assign Auditee

Brief Description

The main purpose of this form is to allow you to view the assign Auditee details for the Auditee. When you click on **view** in the **Manage Assign Auditee**, the view Assign Auditee form appears. This form displays the complete details entered by the user such as Auditee Name, last audit period, Current Audit period and current schedule dates.

In **Fig 5.5.3.2.2.1**, you can see a sample screen shot of the **View Assign Auditee** form that appears when you are logged in as **Office Administrator**.

View Assign Backlog Auditee

LocalBody Type Name	Autonomous District Council
Auditee Name	Garo Hills Adc
Last Auditing Period	NA
Current Audit Period	2024- 2025
Schedule Start Date	24-12-2025
Schedule End Date	31-12-2025
Audit Team Name	Demo Team

Close

Fig 5.5.3.2.2.1

Pre-Condition

You should login into the application as an **Office Administrator** and have privilege to **view Assign Auditee Details**. You can view the assign Auditee Details when the details have already been added. You can open the **View Last Assign Auditee details** form by clicking the **Assign Auditee → Manage→View** option available on the left menu.

The **View Assign Auditee** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Department/Entity Level/Local Body Type	**Description:** If the configuration was for an entity, then the entity level will be shown whereas if the configuration was for a department, then the department level will be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditee Name	**Description:** This field is used to specify the Auditee name for which the assign Auditee details have been entered. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Last Audit Period	**Description:** This field is used to specify the last audit period of the particular Auditee if the details have been specified by the user in the Last Audited details otherwise NA would be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Current Auditing Period - From Date	**Description:** This field is used to specify the FROM Date of the current audit period for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Current Auditing Period - To Date	**Description:** This field is used to specify the TO Date of the current audit period for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Audit Schedule Date-Start Date	**Description:** This field is used to specify the Start Date of the Audit schedule. **Validation:** NA

		Mandatory/Optional/Read Only: Read Only
7	Audit Schedule Date- End Date	**Description:** This field is used to specify the End Date of the Audit schedule. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
8	Audit Team Name	**Description:** This field is used to select the audit team from the dropdown. **Validation:** All the list of teams which have been formed by the logged in Admin will be populated in the dropdown. **Mandatory/Optional/Read Only:** Read Only

View Assign Auditee form contains the following buttons as indicated below:

- **Close**: This button allows you to abort the view Assign Auditee details operation and close the page.

Flow of Form

To view Assign Auditee details, you need to follow the steps as given below:

1. You should login into the application as Office Administrator and have privilege to **View Assign Auditee Details.**
2. Click the **Assign Auditee -> Manage -> View** option available on the left menu. The **View Assign Auditee** form is displayed on the screen.
3. After getting the search result in the Manage assign Auditee form, click the View icon in front of the Auditee Name to view the details. The view assign Auditee details form is displayed on the screen.
4. User will be able to view the details such as Department/Entity level, Auditee Name, Last Auditing Period, Current Auditing period- From Date and To Date, Auditing Schedule- Start and End Date and Audit team Name.
5. Click on C**lose** button to close the form.

Post-Condition

- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

None

5.5.3.2.4 Delete Assign Auditee

Brief Description

The main purpose of this form is to allow you to delete the assign Auditee details for the Auditee. When you click on **delete** in the **Manage Assign Auditee**, the delete Assign Auditee form appears. This form displays the complete details entered by the user such as Auditee Name, last audit period, Current Audit period and current schedule dates and allows you to delete the details.

In **Fig 5.5.3.2.3.1**, you can see a sample screen shot of the **Delete Assign Auditee** form that appears when you are logged in as **Office Administrator**.

Delete Assigned Auditee Details

LocalBody Type Name	Autonomous District Council
Auditee Name	Garo Hills Adc
Last Auditing Period	NA
Current Audit Period	2024- 2025
Schedule Start Date	24-12-2025
Schedule End Date	31-12-2025
Audit Team Name	Demo Team

Delete Close

Fig 5.5.3.2.3.1

Pre-Condition

You should login into the application as an **Office Administrator** and have privilege to **delete Assign Auditee Details**. You can delete the assign Auditee Details when the details have already been added. You can open the **delete Last Assign Auditee details** form by clicking the **Assign Auditee → Manage→Delete** option available on the left menu.

The **delete Assign Auditee** form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Department/Entity Level/Local Body Type	**Description:** If the configuration was for an entity, then the entity level will be shown whereas if the configuration was for a department, then the department level will be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

2	Auditee Name	**Description:** This field is used to specify the Auditee name for which the assign Auditee details have been entered. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Last Audit Period	**Description:** This field is used to specify the last audit period of the particular Auditee if the details have been specified by the user in the Last Audited details otherwise NA would be shown. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Current Auditing Period - From Date	**Description:** This field is used to specify the FROM Date of the current audit period for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Current Auditing Period - To Date	**Description:** This field is used to specify the TO Date of the current audit period for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	Audit Schedule Date- Start Date	**Description:** This field is used to specify the Start Date of the Audit schedule. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Audit Schedule Date- End Date	**Description:** This field is used to specify the End Date of the Audit schedule. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

8	Audit Team Name	**Description:** This field is used to select the audit team from the dropdown. **Validation:** All the list of teams which have been formed by the logged in Admin will be populated in the dropdown. **Mandatory/Optional/Read Only:** Read Only

Delete Assign Auditee form contains the following buttons as indicated below:

- **Delete**: This button allows you to delete the audit team details**.**
- **Close**: This button allows you to abort the delete Assign Auditee details operation and close the page.

Flow of Form

To delete Assign Auditee details, you need to follow the steps as given below:

1. You should login into the application as Office Administrator and have privilege to **delete Assign Auditee Details.**
2. Click the **Assign Auditee -> Manage -> delete** option available on the left menu. The **delete Assign Auditee** form is displayed on the screen.
3. After getting the search result in the Manage assign Auditee form, click the delete icon in front of the Auditee Name to delete the details. The delete assign Auditee details form is displayed on the screen.
4. User will be able to view the details such as Department/Entity level, Auditee Name, Last Auditing Period, Current Auditing period- From Date and To Date, Auditing Schedule- Start and End Date and Audit team Name.
5. Click on **Delete** button to delete the assign Auditee details for the Auditee.
6. Click on C**lose** button to close the form.

Post-Condition

- Upon clicking **Delete** button, a message “Are you sure that you want delete the record?” will appear. Upon confirmation, the form data will be deleted.
- Upon clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon confirmation, the form will be closed, and the user will be redirected to the previous screen.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Audit has already been started for the Auditee. Cannot delete now	This message is displayed when the user tries to delete the details of Assigned Auditee which is currently in the Audit process	NA
2	Audit has already been completed for the Auditee. Cannot delete now	This message is displayed when the user tries to delete the details of the Auditee when the Audit process has been completed for the Auditee	NA
3	The Assign Auditee details cannot be deleted as it has already been freezed for this Auditee.	This message is displayed when the user attempts to delete the Assign Auditee details when the details have already been freezed.	NA

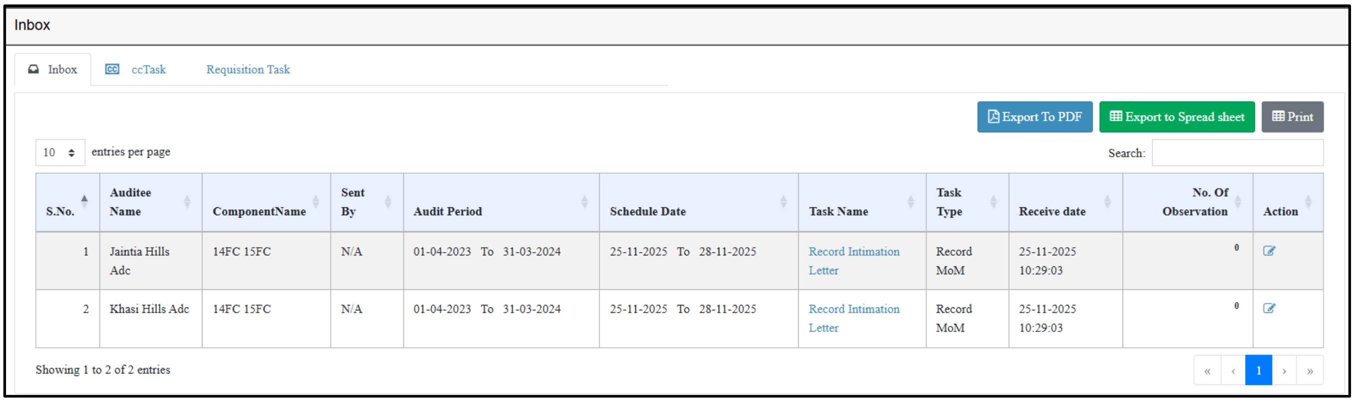
5.6 Workflow Player

5.6.1 Inbox

Brief Description

The main purpose of this form is to allow the Workflow Player to view the tasks list on which that user is required to take an action for the assigned Auditee's. Any task on which the user is required to take an action will come in the Inbox of the user where the user will be privileged to take an action.

In **Fig 5.6.1.1**, you can see the sample screen shot of Inbox. All the tasks for which user is assigned the privilege of taking an action are shown in the screen shot.



S.No.	Auditee Name	ComponentName	Sent By	Audit Period	Schedule Date	Task Name	Task Type	Receive date	No. Of Observation	Action
1	Jaintia Hills Adc	14FC 15FC	N/A	01-04-2023 To 31-03-2024	25-11-2025 To 28-11-2025	Record Intimation Letter	Record MoM	25-11-2025 10:29:03	0	
2	Khasi Hills Adc	14FC 15FC	N/A	01-04-2023 To 31-03-2024	25-11-2025 To 28-11-2025	Record Intimation Letter	Record MoM	25-11-2025 10:29:03	0	

Fig: 5.6.1.1

Pre-Condition

You should login into the application as **a workflow player**. You can open **Inbox** by clicking on **Inbox** option available on the left menu.

Inbox contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Auditee Name	**Description:** This field is used to populate the name of the Auditee office. Eg: Office of Deputy Commissioner, Kottyam **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Task Name	**Description:** This field is used to populate the name of the task on which user is required to take an action. **Validation:** Task Name is clickable. **Mandatory/Optional/Read Only:** Optional
3	Task Type	**Description:** This field is used to populate the task type which was defined at the time of task creation. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Received Date	**Description:** This field is used to populate the date on which task was received in the Inbox of the user. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Action	**Description:** This field is used to take an action on the assigned task. **Validation:** Action is clickable **Mandatory/Optional/Read Only:** Optional
6	Audit Schedule	**Description:** This field is used to specify the Start Date and End Date of the Audit schedule. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
7	Audit Period	**Description:** This field is used to specify the Start Date and End Date of the Audit period. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

8	Number of Observations	**Description:** This field specifies the total count of observations/para recorded for the Audit period. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
9	Component Name	**Description:** This field specifies the name of the component for that Audit period. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Flow of Form

To take an action in Inbox, you need to follow the steps as given below:

1. You should login into the application as **a Workflow Player.**
2. Click the **Inbox→ Inbox** option available on the left menu. A page will open on the screen which will specify the tasks which is assigned to the logged in user.
3. Click on the **Action** button or task name on which the required action must be taken by the user.
4. A page will open on the screen for the user to take the necessary action.

Post Conditions

- On clicking the **Task Name or Action** button in the **Inbox** tab, a form will open for the user to take the necessary action.

5.6.2 Drafts

Brief Description

The main purpose of this form is to allow the Workflow Player to view the tasks list which was saved as draft before sending it to the next User. Data once saved as Drafts can be updated before it is sent to the next user.

In **Fig 5.6.2.1**, you can see the sample screen shot of Drafts. All the tasks for which user is has saved the data as Drafts is shown.

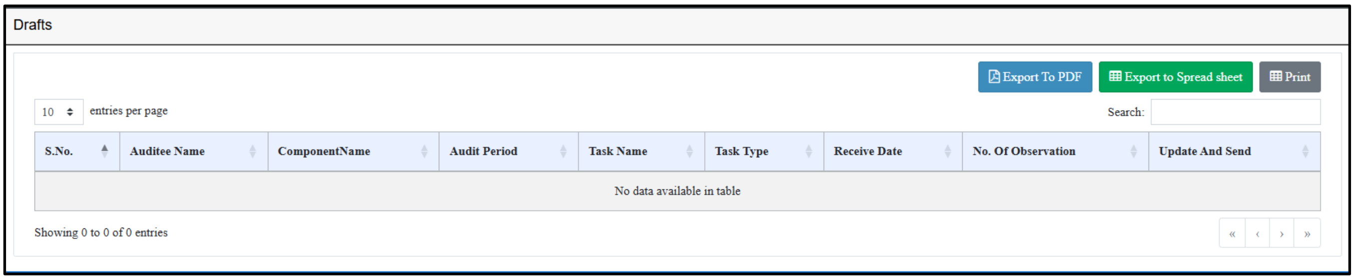


Fig 5.6.2.1

Pre-Condition

You should login into the application as **a workflow player**. You can open **Drafts** by clicking **Drafts** option available on the left menu.

Drafts contain the following fields as indicated below:

Sr. No.	Field Name	Description
1	Auditee Name	**Description:** This field is used to populate the name of the Auditee office. Eg: Office of Deputy Commissioner, Kottyam **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Task Name	**Description:** This field is used to populate the name of the task on which user is required to take an action. **Validation:** Task Name is clickable. **Mandatory/Optional/Read Only:** Optional
3	Task Type	**Description:** This field is used to populate the task type which was defined at the time of task creation. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Received Date	**Description:** This field is used to populate the date on which task was received in the Inbox of the user. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Action	**Description:** This field is used to take an action on the assigned task. **Validation:** Action is clickable **Mandatory/Optional/Read Only:** Optional
6	Audit Schedule	**Description:** This field is used to specify the Start Date and End Date of the Audit schedule. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

7	Audit Period	**Description:** This field is used to specify the Start Date and End Date of the Audit period. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
8	Number of Observations	**Description:** This field specifies the total count of observations/para recorded for the Audit period. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
9	Component Name	**Description:** This field specifies the name of the component for that Audit period. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

Drafts contain the following buttons as indicated below:

- **Update and Send**: This button allows the changes to be updated and triggers the send screen for transferring control to the next task.
- **Close:** This button allows you to abort the send operation and return to the home page.

Flow of Form

To take an action in Drafts, you need to follow the steps

given below:

1. You should login into the application as **a Workflow Player.**
2. Click the **Drafts** option available on the left menu. A page will open on the screen which will specify the tasks on which action has been taken by the user and the data is saved as Draft.
3. Click on the **Action** button on which the required changes must be made. A page will open on the screen where the data entered earlier would be populated and the changes can be made accordingly.
4. Click on Update and Send button to update the data and send it to the next task.
5. Click on Close button to discard the changes and close the form.

Post Conditions

- On clicking **Action**, a form will be shown for User to take appropriate action.
- On clicking **Update and Send**, the data will be updated and Send screen will be shown to the User, where ‘To Task’ and assigned user will need to be specified.
- On clicking **Close** button, a message “Are you sure you want to close this form?” will appear. Upon

confirmation, the form will be closed.

5.6.3 Sent

Brief Description

The main purpose of this form is to allow the Workflow Player to view the tasks on which an action has been taken by the logged in user along with the details pertaining to each task. The data will be available for view in read only mode.

In **Fig 5.6.3.1**, you can see the sample screen shot of Sent. All the tasks on which user has taken an action upon will be visible.

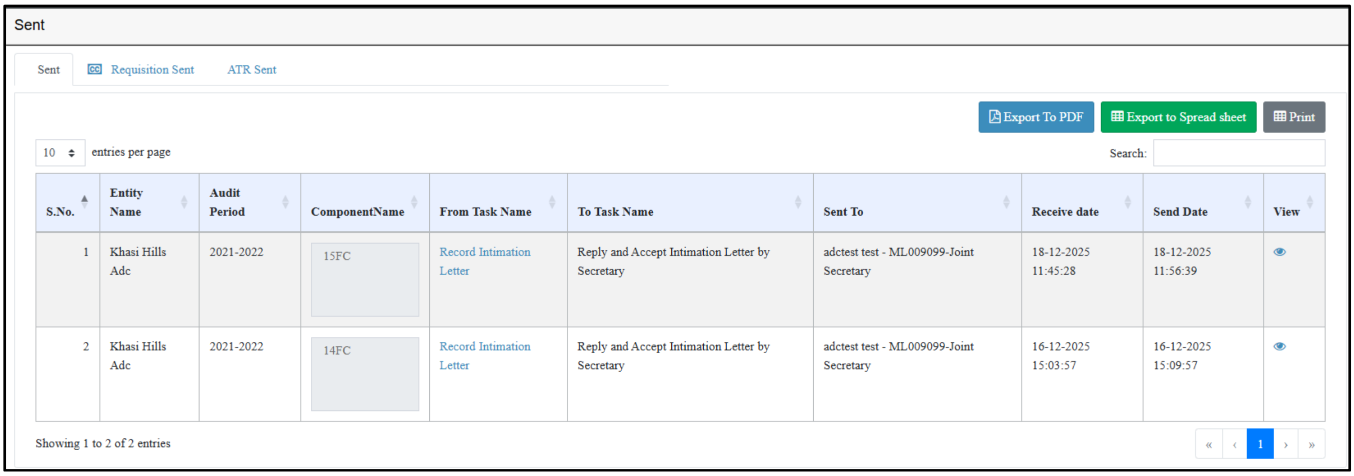


Fig 5.6.3.1

Pre-Condition

You should login into the application as **a workflow player**. You can open **Sent** by clicking **on Sent** option available on the left menu.

Sent contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Auditee Name	**Description:** This field is used to populate the name of the Auditee office. Eg: Office of Deputy Commissioner, Kottyam **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	From Task Name	**Description:** This field is used to populate the name of the task on which user has acted. **Validation:** Task Name is clickable. **Mandatory/Optional/Read Only:** Optional

3	To Task Name	**Description:** This field is used to populate the name of the 'To' task to which the control has been transferred after the execution of current From task. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Received Date	**Description:** This field is used to populate the date on which task was received in the Inbox of the user. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Send Date	**Description:** This field is used to populate the date on which user has transferred the control to the next user to act upon. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
6	View	**Description:** This field is used to view detailed information of action being taken. **Validation:** View is clickable **Mandatory/Optional/Read Only:** Optional

Sent form contains the following buttons as indicated below:

- **Close:** This button allows you to abort the send operation and return to the home page.

Flow of Form

1. You should login into the application as **a Workflow Player.**
2. Click the **Sent** option available on the left menu. A grid will open on the screen which will specify the tasks on which the logged in user has taken an action upon.
3. The user will be able to see the information such as Auditee Name, From Task name, To Task name, Receive Date, Send Date and View.
4. Click on the **View** button against the task name to view the complete details on the action taken on the task.
5. Click **Close** button to abort the viewing and close the page.

Post Conditions

- On clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

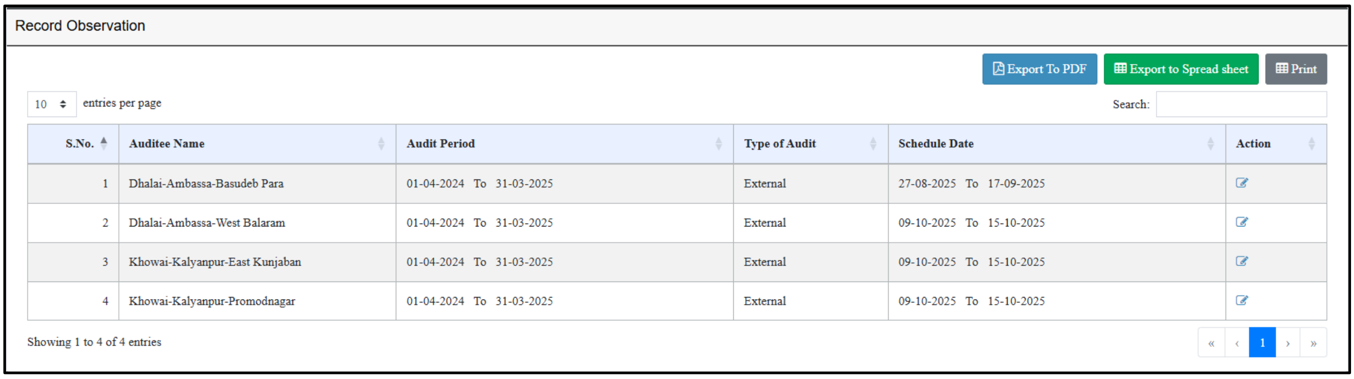
5.6.4 Role Based

5.6.4.1 Record Observation

Brief Description

The main purpose of this form is to allow the Audit party to record the observations which include specifying information like Observation type, Case Record details, Category and sub category details under which the recorded observation will lie and finally the Audit observation in the text area provided. These observations will form the basis for the Auditee to respond to the observations raised.

In **Fig 5.6.4.1.1**, the navigation for opening the Record observation form is shown. All those Auditee names will be visible which has been assigned to the logged in user for recording the observations. The user cannot act until the scheduled date for that Auditee has arrived.


Record Observation

Export To PDF | Export to Spread sheet | Print

10 entries per page

Search:

S.No.	Auditee Name	Audit Period	Type of Audit	Schedule Date	Action
1	Dhalai-Ambassa-Basudeb Para	01-04-2024 To 31-03-2025	External	27-08-2025 To 17-09-2025	
2	Dhalai-Ambassa-West Balaram	01-04-2024 To 31-03-2025	External	09-10-2025 To 15-10-2025	
3	Khowai-Kalyanpur-East Kunjaban	01-04-2024 To 31-03-2025	External	09-10-2025 To 15-10-2025	
4	Khowai-Kalyanpur-Promodnagar	01-04-2024 To 31-03-2025	External	09-10-2025 To 15-10-2025	

Showing 1 to 4 of 4 entries

« ‹ 1 › »

Fig: 5.6.4.1.1

In **Fig 5.6.4.1.2**, you can see a sample screen of the **Record observations** form. This form consists of several fields in which some of them are marked with the * symbol that indicates these fields are mandatory. You need to fill out some data in these fields.

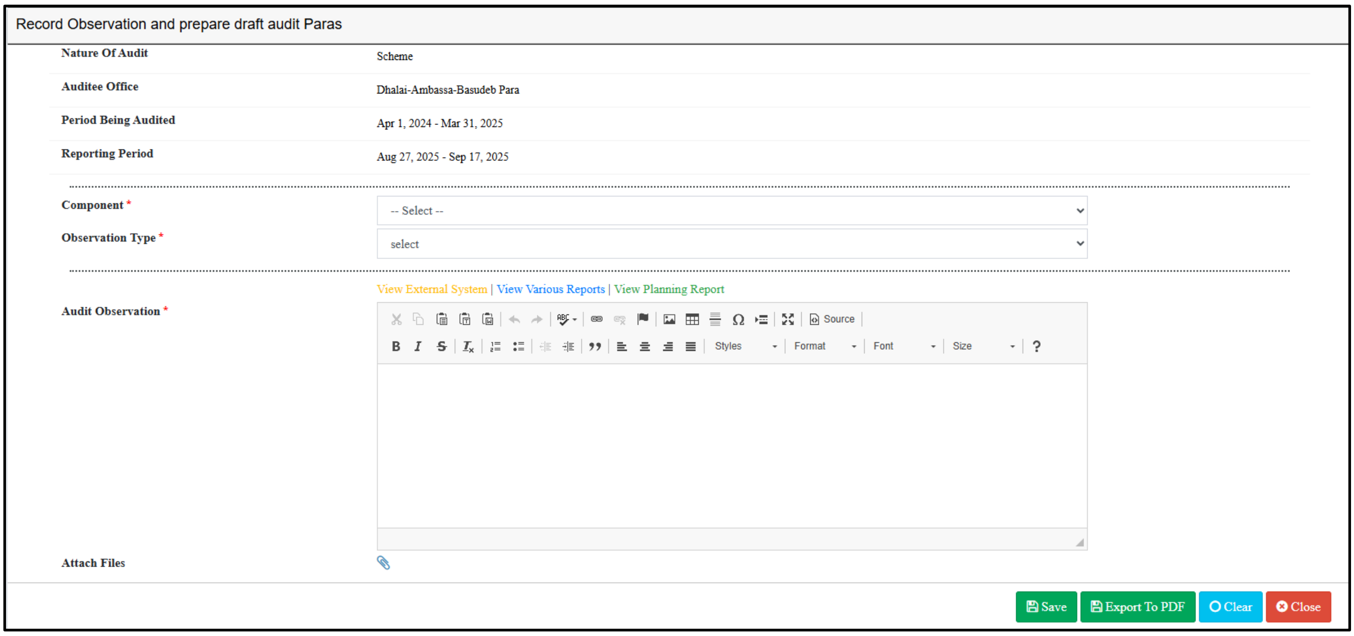


Fig: 5.6.4.1.2

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **record the observations**. You can open the **Record Observation** form by clicking the **Record Observations → Add** option available on the left menu.

The Record Observation form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Auditee Department	**Description:** This is used to specify the name of the Department for which the audit is conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditee Office	**Description:** This is used to specify the name of the Auditee Office for which the Audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

3	Period Being Audited	**Description:** This is used to specify the period of the Audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Reporting Period	**Description:** This is used to specify the schedule period in which the Audit will be conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Observation Type	**Description:** This field is used to specify the type of observation from Receipt or Expenditure. **Validation:** Select the desired option from the dropdown. **Mandatory/Optional**: Mandatory
6	Audit Observation	**Description:** This field is used to specify the audit observation in the text editor provided. **Validation:** NA **Mandatory/Optional:** Mandatory
7	Attach Files	**Description:** This field is used to attach the support files if any. **Validation:** Attach the supporting file formats such as Excel, JPG, PNG, Doc, Docx. **Mandatory/Optional:** Optional

The **Record Observations** form contains the following buttons as indicated below:

- **Save**: This button allows you to save the information provided by you in the given fields.
- **Clear**: This button allows you to clear or remove the information provided by you in all the fields.
- **Close**: This button allows you to abort the Record Observation operation and will return to the home page.

Flow of Form

To record observation, you need to follow the steps given below:

1. You should login into the application as **a workflow player** and have privileges to record Audit observations.
2. Click the **Record Observations→ Add** option available on the left menu. A page will open on the screen which will specify the Auditee assigned to the logged in user. Click on the Action button ✎ against the name of the Auditee for which the observation must be recorded.
3. On clicking the Action button, the Record Observations page will open.
4. Select the Observation type (Receipt / Expenditure/General) from the dropdown.
5. Select the Category and Sub Category details from the dropdown.
6. Record the audit observation in the text editor provided.
7. Attach any files, if any to substantiate the audit observation recorded.
8. Click the **Save** button to save the information provided by you.

Post-Condition

- On clicking **Save** button, data will be saved and a message "Data Saved Successfully" will appear.
- On clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the details entered in the form fields will be cleared.
- On clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may possible that you are encountered with one of the following messages or errors:

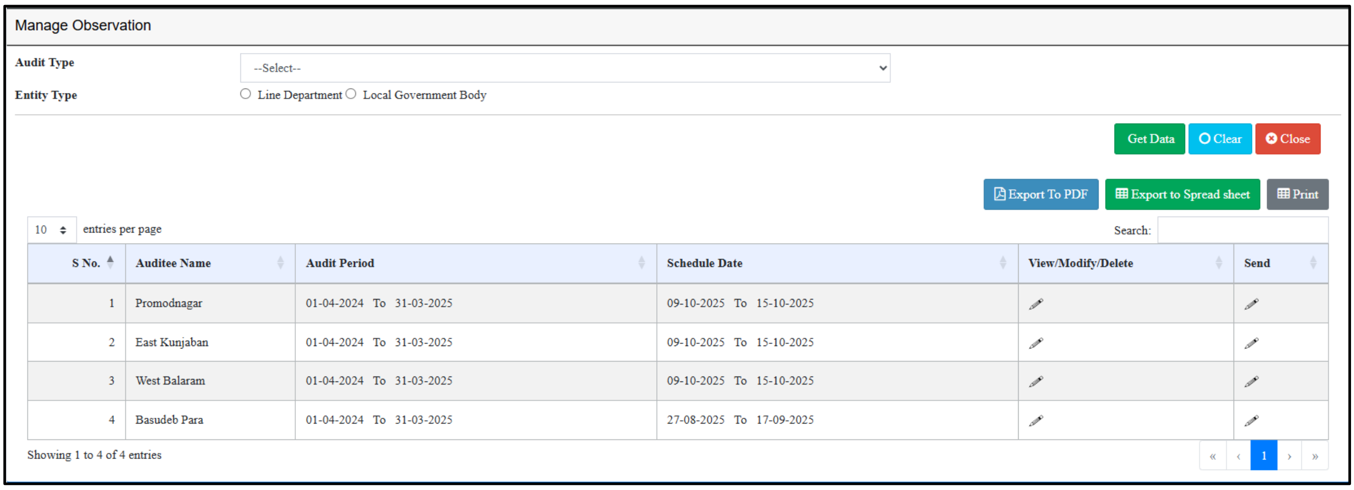
Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This indicates that it is mandatory to enter data in this field.	Enter / select the required details in those fields

5.6.4.2 Manage Record Observation

Brief Description

The main purpose of this form is to allow the user to manage the observations recorded for the assigned Auditee based on various categories and sub categories defined. The user can perform actions such as modify, view, delete or send the recorded observation for verification or approval.

In **Fig 5.6.4.2.1**, the navigation for opening the Manage Record observation form is shown. All those Auditee names will be visible which has been assigned to the logged in user for recording or managing the observations.


Manage Observation

Audit Type --Select--

Entity Type ○ Line Department ○ Local Government Body

Get Data | Clear | Close

Export To PDF | Export to Spread sheet | Print

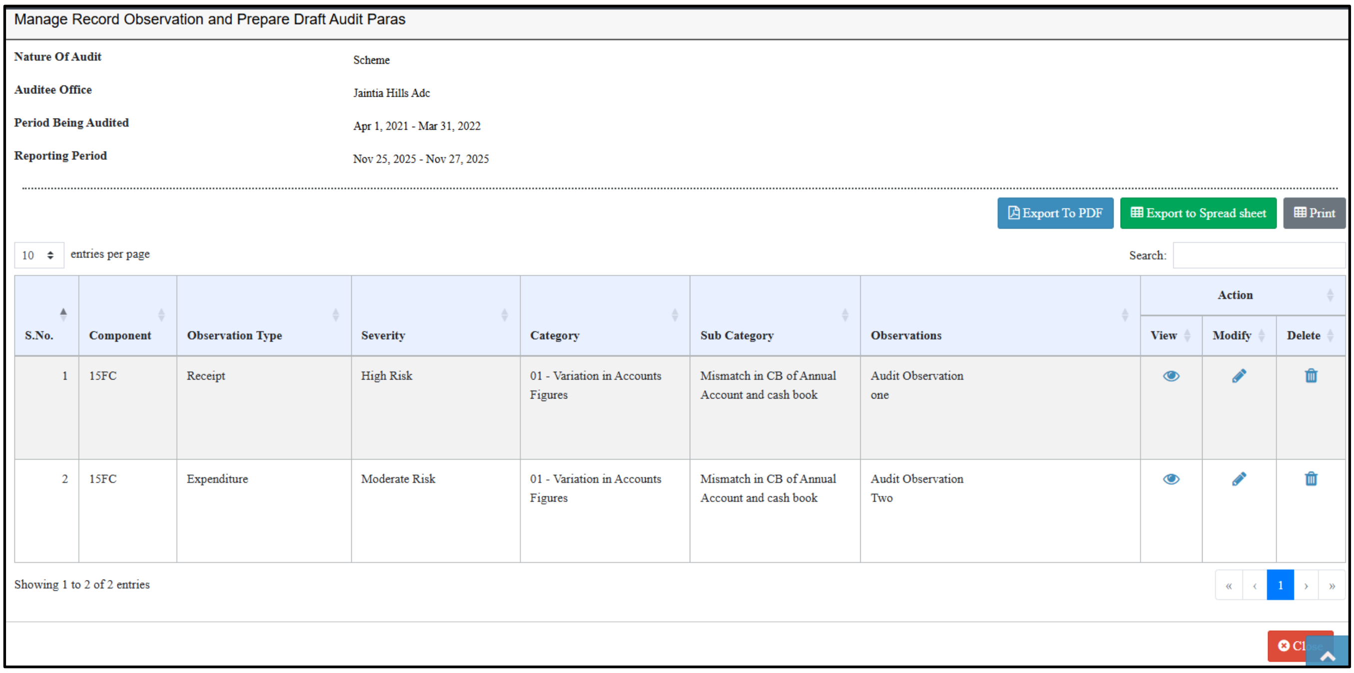
10 entries per page Search:

S No.	Auditee Name	Audit Period	Schedule Date	View/Modify/Delete	Send
1	Promodnagar	01-04-2024 To 31-03-2025	09-10-2025 To 15-10-2025		
2	East Kunjaban	01-04-2024 To 31-03-2025	09-10-2025 To 15-10-2025		
3	West Balaram	01-04-2024 To 31-03-2025	09-10-2025 To 15-10-2025		
4	Basudeb Para	01-04-2024 To 31-03-2025	27-08-2025 To 17-09-2025		

Showing 1 to 4 of 4 entries

Fig 5.6.4.2.1

Fig 5.6.4.2.2 shows the page when the user clicks on Action button for Modifying, Viewing or Deleting the observations.


Manage Record Observation and Prepare Draft Audit Paras

Nature Of Audit: Scheme

Auditee Office: Jaintia Hills Adc

Period Being Audited: Apr 1, 2021 - Mar 31, 2022

Reporting Period: Nov 25, 2025 - Nov 27, 2025

Export To PDF | Export to Spread sheet | Print

10 entries per page Search:

S.No.	Component	Observation Type	Severity	Category	Sub Category	Observations	Action		
							View	Modify	Delete
1	15FC	Receipt	High Risk	01 - Variation in Accounts Figures	Mismatch in CB of Annual Account and cash book	Audit Observation one			
2	15FC	Expenditure	Moderate Risk	01 - Variation in Accounts Figures	Mismatch in CB of Annual Account and cash book	Audit Observation Two			

Showing 1 to 2 of 2 entries

Fig 5.6.4.2.2

<u>Pre-Condition</u>

You should login into the application as **a workflow player** and have privilege to **manage the observations**. You can open the **Manage Record Observation** form by clicking the **Record Observations → Manage** option available on the left menu.

The Manage Record Observation form contains the following fields as indicated below:

Sr. No.	Field Name	Description

1	Entity Type	**Description:** This field is used to populate the list of Departments/Local bodies for which Auditor has been assigned the role of Recording Observations **Validation:** NA **Mandatory/Optional/Read Only:** Mandatory
2	Audit Type	**Description:** This is used to specify the type of Audit (Internal/External). **Validation:** NA **Mandatory/Optional/Read Only:** Optional

The **Manage Record Observations** form contains the following buttons as indicated below:

- **GetData**: This button allows you to display the details according to the search criteria selected.
- **Clear**: This button allows you to clear or remove the information provided by you in the search criteria.
- **Close**: This button allows you to discard the details and close the form.

<u>Flow of Form</u>

To manage recorded observation, you need to follow the steps as given below:

1. You should login into the application as **a workflow player** and have privileges to manage recorded Audit observations.
2. Click the **Record Observations→ Manage** option available on the left menu. Manage Record observations page will open on the screen which will show the search criteria to the user. Select the appropriate values in the search criteria and click on **GetData** button.
3. Details such as Auditee Name, Action and Send icon will be visible to the user in the grid.
4. Click on the **Action** icon against the name of the Auditee for which the observation has to be recorded to View, modify or delete the recorded observations.
5. On clicking Action icon, the user will see the details such as Auditee Name in the header and Category, Sub Category, Observation and Action (View, Modify, and Delete) in the form of grid. The user can take the necessary action.
6. Click on **Send** icon for sending the recorded observations to the next task mapped in the process flow. On clicking Send icon, all the recorded observations will be populated which are to be send to the next user for Verification, approval or generation of Audit Enquiry. Select the observations which require to be sent.
7. Click the Close button to close the Manage Record Observations form.

Post-Condition

- On clicking **GetData** button, the list of Auditee according to the search criteria selected will be displayed in the grid and the user can take the necessary action from View, Modify, Delete or sending the recorded observation.
- On clicking **Clear** button, a message "All details entered in the form would be lost. Do you want to continue?" will appear. Upon confirmation, the details entered in the form fields will be cleared.
- On clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This indicates that it is mandatory to enter data in this field.	Enter / select the required details in those fields
2	No Auditee found	This message is displayed when the actor attempts to Getdata after selecting the search criteria but no record exists for the selected criteria.	Action cannot be taken unless the Auditee is assigned to the logged in user.
3	No Audit Observations found	This message is displayed when the actor attempts to click on Action icon for modifying, viewing or deleting the observations or clicks on Send icon for sending it to the next task.	Record at least one observation.

5.6.4.2.1 Send Recorded Observation

Brief Description

When the audit observation has been recorded by the Audit party, it must be sent to another user defined in the process flow for taking the necessary action such as verification or approval.

Fig 5.6.4.3.1 shows the navigation path for sending the recorded observation.

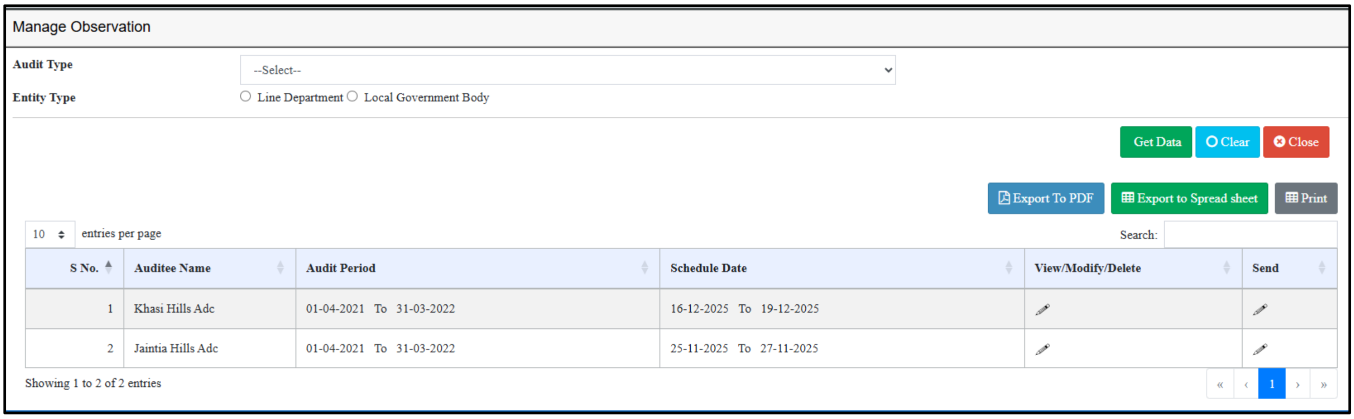


Fig: 5.6.4.3.1

Fig 5.6.4.3.2 shows the sample screen of how the observation would look like before it is being sent. All the observations which have been recorded but are yet to be sent will be shown here.

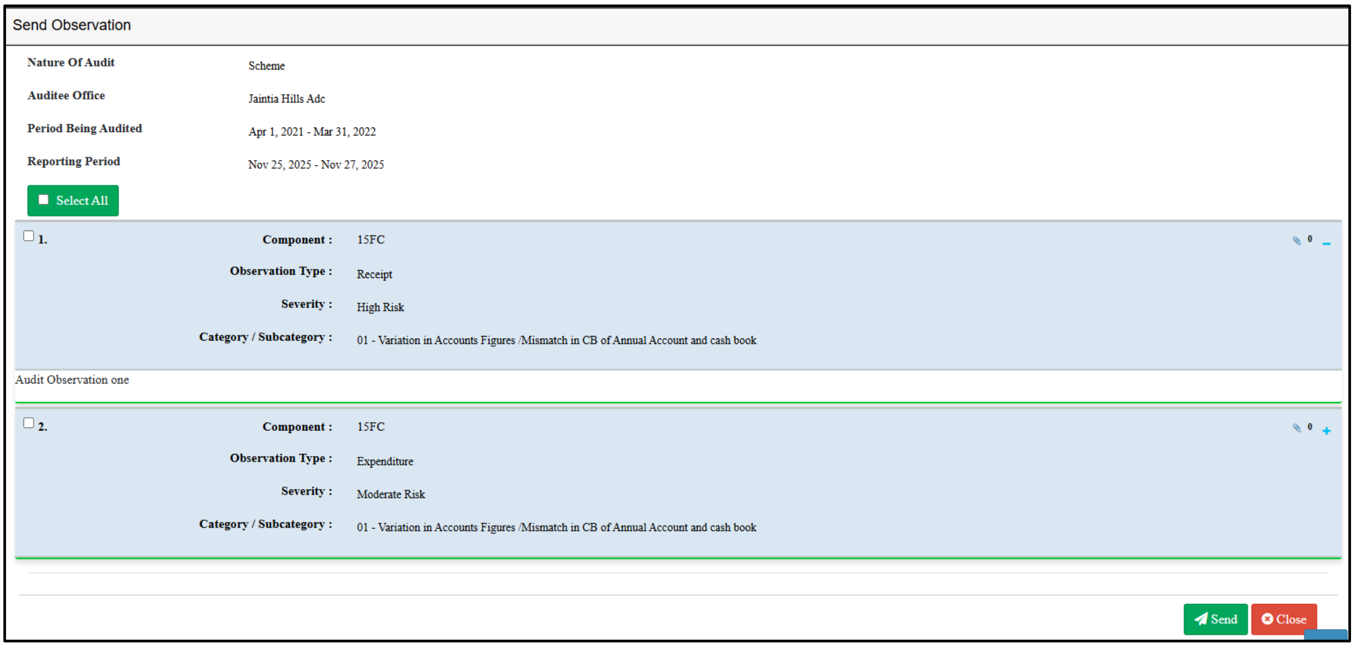


Fig: 5.6.4.2.2

Flow of Form

To send the recorded observation, you need to follow the steps given below:

1. Click on **Record Observation-> Manage** option available on the left menu.
2. Click on **GetData** after filling in the required search criteria.

3. Click on **Send** icon against the Auditee name for which the recorded observations have to be sent.
4. All the observations which have been recorded by you will be populated. Select the observations which must be send by clicking on the select box against each observation. The details of the observation can be seen by expanding the observation.
5. Select the **task name** and its corresponding **user** to which the observations must be send.
6. Click on **Send** button to send the observations.
7. Click on **Back** button to go back to the previous screen.
8. Click on **Close** button to abort the send operation and return it to the home page.

5.6.4.2.2 Modify Record Observation

<u>Brief Description</u>

The main purpose of this form is to allow the user to modify the observations added for a particular Auditee assigned. The observations can only be modified before they are sent for verification, approval or formation of Audit Enquiry. Once the observations recorded by the logged in user goes out of his purview, the observations cannot be modified.

In **Fig 5.6.4.2.2.1**, you can see a sample screen shot of the **Modify Record Observation** form. This form consists of several fields in which some of them are marked with the * symbol that indicates these fields are mandatory. You need to fill out some data in these fields.

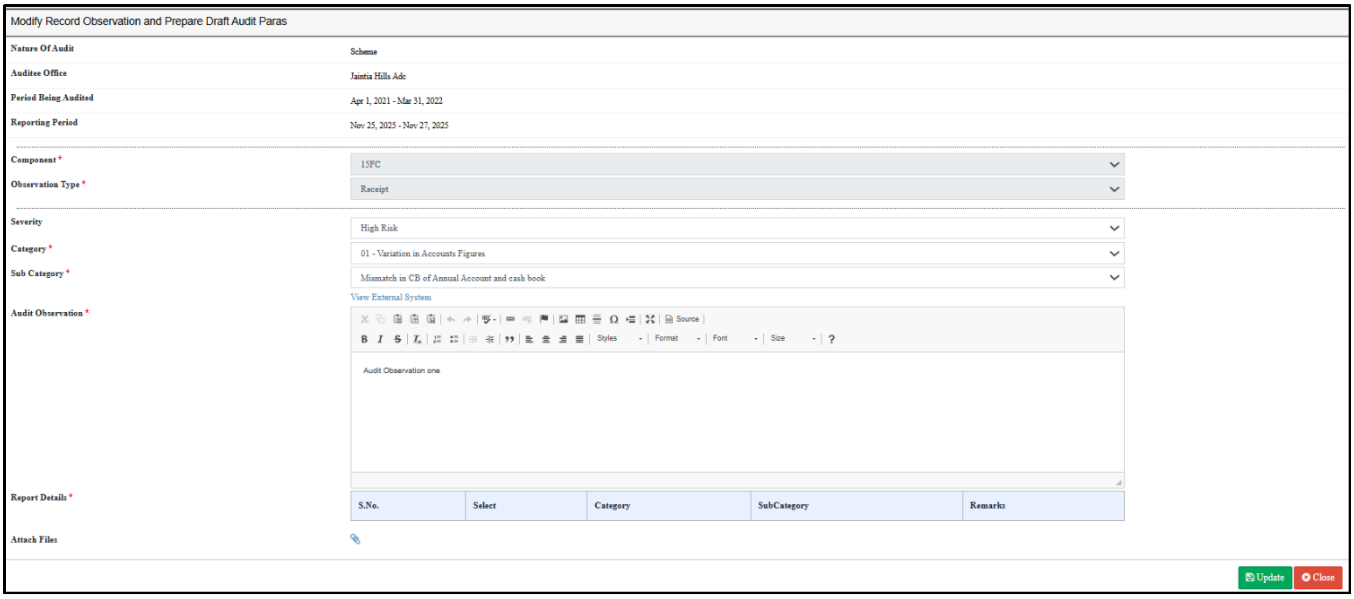


Fig 5.6.4.2.2.1

<u>Pre-Condition</u>

You should login into the application as **a workflow player** and have privilege to **modify the observations**. You can open the **Modify Record Observation** form by clicking the **Record Observations → Manage-> Action-> Modify** option available on the left menu.

The Modify Record Observation form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Auditee Department	**Description:** This is used to specify the name of the Department for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditee Office	**Description:** This is used to specify the name of the Auditee Office for which the Audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Period Being Audited	**Description:** This is used to specify the period of the Audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Reporting Period	**Description:** This is used to specify the schedule period in which the Audit will be conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Observation Type	**Description:** This field is used to specify the type of observation from Receipt or Expenditure. **Validation:** NA **Mandatory/Optional/Read Only**: Read Only
6	Severity	**Description:** This field is used to specify the severity of the observation which is being recorded. **Mandatory/Optional**: Mandatory
7	Category	**Description:** This field is used to select the Category from the list of already specified categories. **Validation:** The category can be changed. **Mandatory/Optional/Read Only:** Mandatory

8	Sub Category	**Description:** This field is used to select the Sub-Category from the list of already specified sub-categories. **Validation:** The sub category can be changed. **Mandatory/Optional:** Mandatory
9	Audit Observation	**Description:** This field is used to specify the audit observation in the text editor provided. **Validation:** NA **Mandatory/Optional:** Mandatory
10	Attach Files	**Description:** This field is used to attach the support files if any. **Validation:** Attach the supporting file formats such as Excel, JPG, PNG, Doc, Docx **Mandatory/Optional:** Optional

The Modify **Record Observations** form contains the following buttons as indicated below:

- **Update**: This button allows you to update the changes or modifications made.
- **Close**: This button allows you to abort the Record Observation operation and will return to the home page.

<u>Flow of Form</u>

To modify the recorded observation, you need to follow the steps as given below:

1. You should login into the application as **a workflow player** and have privileges to modify recorded Audit observations.
2. Click the **Record Observations→ Manage->Action->Modify** option available on the left menu. A page will open on the screen which will show the list of observations recorded by the user. Click on modification against the observation which requires to be modified.
3. The user will be able to see the details such as Auditee Department, Auditee Office, Period Being Audited, Reporting Period, Observation type (Receipt/Expenditure) in a read only mode.
4. Other details mentioned below can be modified by the user:
    i. **Severity:** By default, the existing chosen severity details will be shown
    ii. **Category**: By default, the existing category details will be shown, and the user can change the category from the list of defined categories from the dropdown.
    iii. **Sub- Category**: By default, the existing sub-category details will be shown, and the

user can change the sub-category from the list of defined sub-categories from the dropdown.

iv. **Audit Observation**: The recorded audit observation will be shown in the editor. The user can change that.

v. **Attached Files**: All the files attached will be shown. The user can remove certain files and add more files in the specified format.

5. Click the **Update** button to update the details or click **Close** button to abort the update operation.

Post Condition

- On clicking **Browse** button in front of Attach file, the User will be prompted with browsing window for selection of required file in formats like, PDF,TXT, JPG, DOC, DOCX, PNG, JPEG, GIF' for uploading.
- On clicking **Add** button, multiple files belonging to the same observation can be attached.
- On clicking **Remove** button, multiple files belonging to the same observation can be removed.
- On clicking **Upload** button in attached files, if file type is valid, a message "File Upload Successful" will appear.
- On clicking **Update** button, data will be updated and a message "Data Updated Successfully" will appear.
- On clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This message is displayed when the user attempts to update without entering any data in the mandatory fields marked with *.	Enter Data in mandatory fields marked with *
2	Case Record Details Already Exists	This message is displayed when the user attempts to update the details in the case record with duplicate value	Add details with unique values

3	File Upload Failure Due To Invalid File Content Type or Extension is not Valid. Please Upload Supported Files (TXT, PDF, JPG, DOC, DOCX, and PNG) only	This message is displayed when the user attempts to attach files in the format not supported by the system	Attach files with supported formats - TXT, PDF, JPG, DOC, DOCX, and PNG
4	Observations have already been sent for either the Verification or approval so the observations cannot be modified.	This message is displayed when the user attempts to update Audit observations when same has already been sent for wither of the verification or approval.	The observations cannot be modified/
5	Invalid file Name. File cannot contain dots in between	This message is displayed when the file name of the attached file is invalid.	Change the file name

5.6.4.2.3 View Record Observation

Brief Description

The main purpose of this form is to allow the user to View the observations added for a particular Auditee assigned.

In **Fig 5.6.4.2.3.1**, you can see a sample screen shot of the **View Record Observation** form.

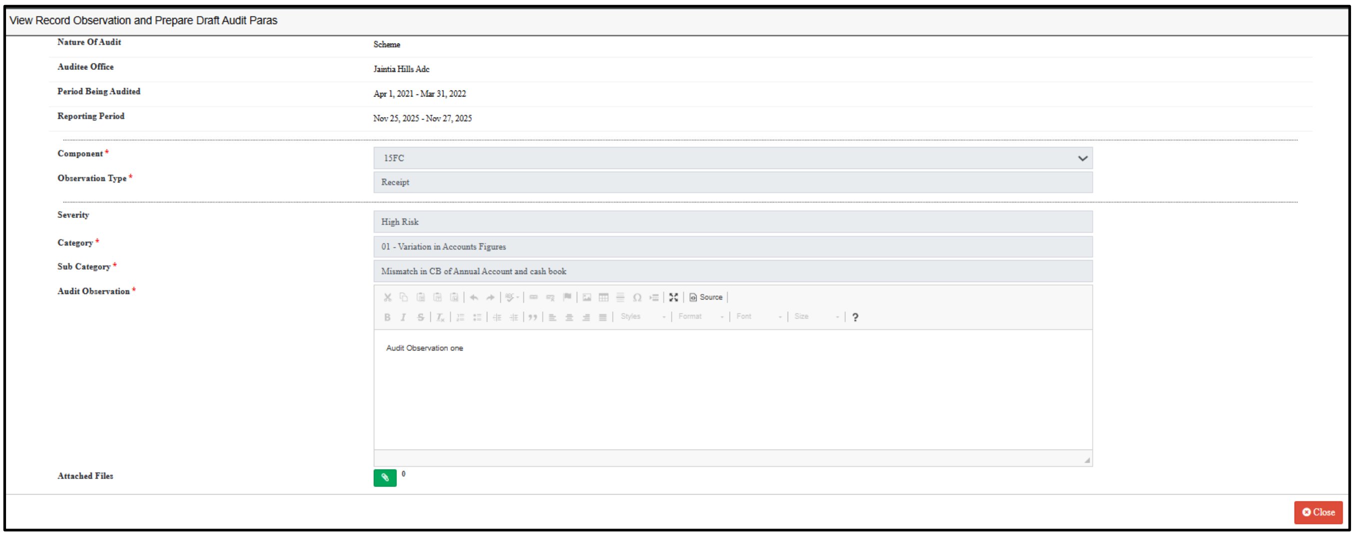


Fig 5.6.4.2.3.1

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **view the observations**. You can open the **View Record Observation** form by clicking the **Record Observations**

→ **Manage-> Action-> View** option available on the left menu.

The View Record Observation form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Auditee Department	**Description:** This is used to specify the name of the Department for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditee Office	**Description:** This is used to specify the name of the Auditee Office for which the Audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Period Being Audited	**Description:** This is used to specify the period of the Audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Reporting Period	**Description:** This is used to specify the schedule period in which the Audit will be conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Observation Type	**Description:** This field is used to specify the type of observation from Receipt or Expenditure. **Validation:** NA **Mandatory/Optional/Read Only**: Read Only
6	Severity	**Description:** This field is used to specify the severity of the observation which is being recorded. **Mandatory/Optional**: Mandatory
7	Category	**Description:** This field is used to select the Category from the list of already specified categories. **Validation:** The category can be changed. **Mandatory/Optional/Read Only:** Mandatory

8	Sub Category	**Description:** This field is used to select the Sub-Category from the list of already specified sub-categories. **Validation:** The sub category can be changed. **Mandatory/Optional:** Mandatory
9	Audit Observation	**Description:** This field is used to specify the audit observation in the text editor provided. **Validation:** NA **Mandatory/Optional:** Mandatory
10	Attach Files	**Description:** This field is used to attach the support files if any. **Validation:** Attach the supporting file formats such as Excel, JPG, PNG, Doc, Docx **Mandatory/Optional:** Optional

The View **Record Observations** form contains the following buttons as indicated below:

- **Close**: This button allows you to abort the Record Observation operation and will return to the home page.

Flow of Form

To View the recorded observation, you need to follow the steps as given below:

1. You should login into the application as **a workflow player** and have privileges to view recorded Audit observations.
2. Click the **Record Observations→ Manage->Action->View** option available on the left menu. A page will open on the screen which will show the list of observations recorded by the user. Click on View against the observation which requires to be viewed.
3. The user will be able to see the details such as Auditee Department, Auditee Office, Period Being Audited, Reporting Period, Observation type (Receipt/Expenditure),Case Record, Category, Sub category, Audit observation, attached files if any in a read only mode.
4. Click the **Close** button to close the page.

Post Condition

- On clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

5.6.4.2.4 Delete Record Observation

Brief Description

The main purpose of this form is to allow the user to delete the observations added for a particular Auditee assigned. The observations can only be deleted if the observations have not been sent either for verification, approval or generation of Audit Enquiry. Once the observations go out of the purview of the recorded user, the observation cannot be deleted.

In **Fig 5.6.4.2.4.1**, you can see a sample screen shot of the **Delete Record Observation** form.

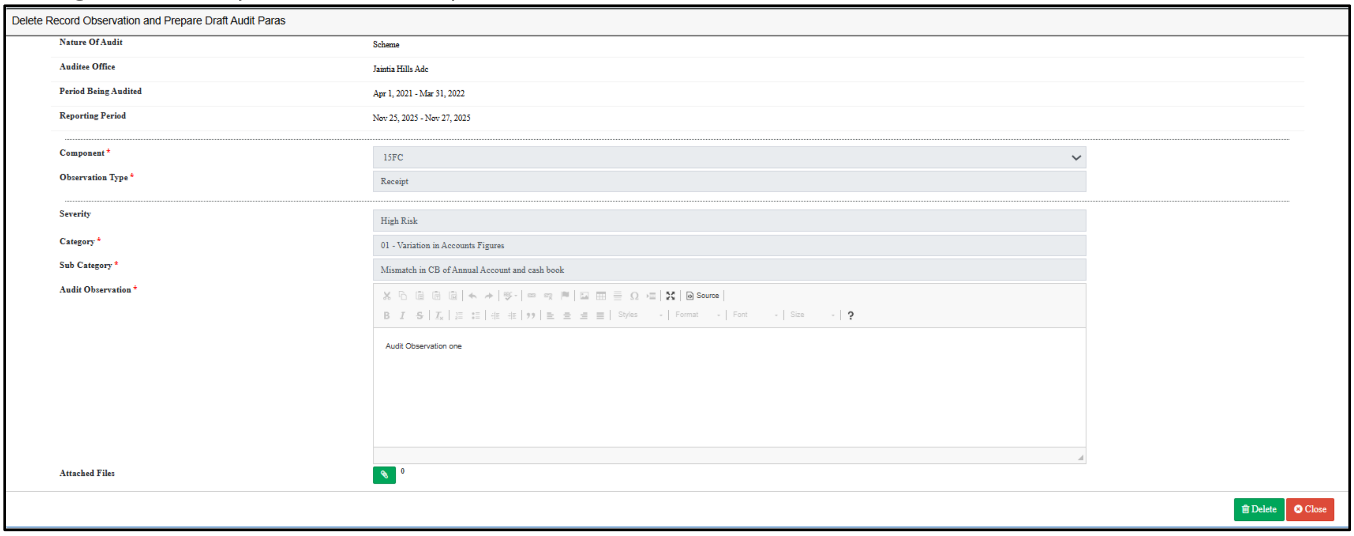


Fig 5.6.4.2.4.1

<u>Pre-Condition</u>

You should login into the application as **a workflow player** and have privilege to **delete the observations**. You can open the **Delete Record Observation** form by clicking the **Record Observations → Manage-> Action-> Delete** option available on the left menu.

The Delete Record Observation form contains the following fields as indicated below:

Sr. No.	Field Name	Description
1	Auditee Department	**Description:** This is used to specify the name of the Department for which the audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Auditee Office	**Description:** This is used to specify the name of the Auditee Office for which the Audit is being conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
3	Period Being Audited	**Description:** This is used to specify the period of the Audit. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only

4	Reporting Period	**Description:** This is used to specify the schedule period in which the Audit will be conducted. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
5	Observation Type	**Description:** This field is used to specify the type of observation from Receipt or Expenditure. **Validation:** NA **Mandatory/Optional/Read Only**: Read Only
6	Severity	**Description:** This field is used to specify the severity of the observation which is being recorded. **Mandatory/Optional**: Mandatory
7	Category	**Description:** This field is used to select the Category from the list of already specified categories. **Validation:** The category can be changed. **Mandatory/Optional/Read Only:** Mandatory
8	Sub Category	**Description:** This field is used to select the Sub-Category from the list of already specified sub-categories. **Validation:** The sub category can be changed. **Mandatory/Optional:** Mandatory
9	Audit Observation	**Description:** This field is used to specify the audit observation in the text editor provided. **Validation:** NA **Mandatory/Optional:** Mandatory
10	Attach Files	**Description:** This field is used to attach the support files if any. **Validation:** Attach the supporting file formats such as Excel, JPG, PNG, Doc, Docx **Mandatory/Optional:** Optional

The **Delete Record Observations** form contains the following buttons as indicated below:

- **Delete**: This button allows you to delete the observation recorded for a particular assigned Auditee.

- **Close**: This button allows you to abort the Record Observation operation and will return to the home page.

Flow of Form

To delete the recorded observation, you need to follow the steps as given below:

1. You should login into the application as **a workflow player** and have privileges to delete the recorded Audit observations.
2. Click the **Record Observations→ Manage->Action->Delete** option available on the left menu. A page will open on the screen which will show the list of observations recorded by the user. Click on delete against the observation which requires to be deleted.
3. The user will be able to see the details such as Auditee Department, Auditee Office, Period Being Audited, Reporting Period, Observation type (Receipt/Expenditure),Case Record, Category, Sub category, Audit observation, attached files if any in a read only mode.
4. Click the **delete** button to delete the observation.
5. Click the **Close** button to close the page.

Post Condition

- On clicking Delete button, a message "Are you sure that you want delete the record?" will appear. Upon confirmation, the form data will be deleted.
- On clicking **Close** button, a message "Are you sure you want to close this form?" will appear. Upon confirmation, the form will be closed.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	The observation cannot be deleted because it is sent for verification, approval or generation of Audit Enquiry.	This message is displayed when the user attempts to Delete Audit observations when observations have been sent for verification, approval or generation of Audit Enquiry.	NA

5.6.5 Task Type Based

5.6.5.1 Add Entry Minutes of Meeting

Brief Description

The main purpose of this form is to allow the Audit party to record the minutes of Entry Meeting held with the Auditee party at the initiation of field audit. This includes capturing information such as Date of Meeting, office Name, Participants, Introduction and any support files if any.

In **Fig 5.6.5.1.1**, you can see a sample screen of the **Entry Minutes of Meeting** form. This form consists of several fields in which some of them are marked with the * symbol that indicates these fields are mandatory. You need to fill some data in these fields.

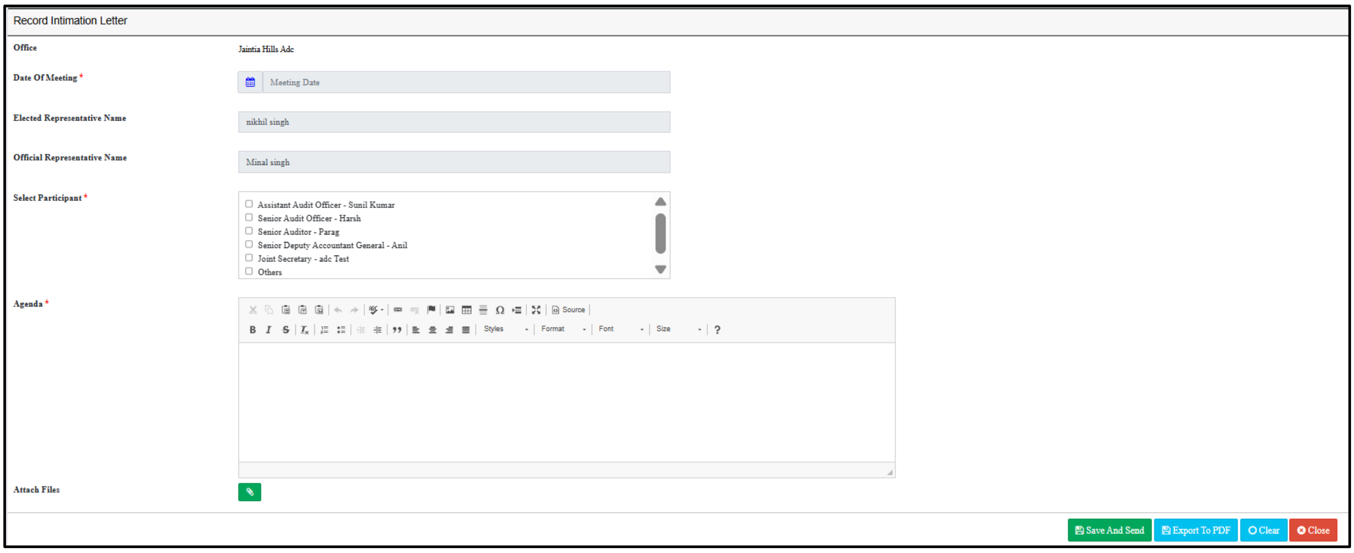


Fig 5.6.5.1.1

Pre-Condition

You should login into the application as **a workflow player** and have privilege to record the **Entry Minutes of Meeting**. You can act on the task by clicking the task name in **Inbox** where **Entry Minutes of Meeting** task type has been specified**.**

Minutes of Meeting form contains the following fields:

Sr. No.	Field Name	Description
1	Meeting Type	**Description:** This is used to specify the Meeting Type i.e. Entry. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Date of Meeting	**Description:** This field is used to specify the Date of Meeting on which the meeting is held with the Auditee. **Validation:** 1) Date of Meeting can only be within the Auditee schedule period. **Mandatory/Optional**: Mandatory

3	Office Name	**Description:** This field is used to specify the name of the Auditee office for which the minute of meeting is being recorded. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Participants	**Description:** This field is used to specify the name of the participants who have attended the meeting. **Validation:** Only characters and numerical values are allowed. **Mandatory/Optional:** Mandatory
5	Agenda	**Description:** This field is used to specify the Introduction in the Editor provided for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Mandatory
6	Elected Representative Name	**Description:** This field is used to specify the elected representative name for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Optional
7	Official Representative Name	**Description:** This field is used to specify the official representative name for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Optional
8	Attach Files	**Description:** This field is used to attach any document type for Entry Meeting. **Validation:** Attach the supporting file formats such as Excel, JPG, PNG, Doc, Docx **Mandatory/Optional:** Optional

The **Entry Minutes of Meeting** form contains the following buttons as indicated below:

- **Save and Send**: This button allows you to save the information provided by you in the given fields and send the control to the next user.

- **Close**: This button allows you to abort the record Minutes of Meeting operation and close the page.

Flow of Form

To record the Entry Minutes of Meeting, you need to follow the steps given below:

1. You should log in into the application as **a workflow player** and have privileges to record the Entry Minutes of Meeting.
2. Click on **Inbox→ {Task Name} where Entry Minutes of Meeting** task type is shown. A page will open on the screen which will populate the fields such as Date of Meeting, office Name, Participants, Introduction, supporting files if any etc which are required to be captured.
3. The user will enter the data in the required fields and attach any documents if any by clicking on Attach File icon.
4. Click on **Save and Send** button to save the minutes of meeting and send the control to the next task defined in the process flow.
5. The data once saved can be updated by clicking on Task Name either from the Inbox or from the Drafts tab. Data once saved will be updated in the database by clicking on **Update and Send** button**.**
6. User can generate a PDF of the Entry Minutes of Meeting recorded by the user and keep it for reference.
7. Click on **Close** button to **close** the Entry Minutes of Meeting form.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This message is displayed when the user attempts to save the data without entering any data in the mandatory fields marked with *.	Enter the data in the mandatory field marked with *.

5.6.5.2 Add Exit Minutes of Meeting

Brief Description

The main purpose of this form is to allow the Audit party to record the minutes of Exit Meeting held with the Auditee party at the completion of field audit. This includes capturing information such as Date of Meeting, office Name, Participants, Introduction and any support files if any.

In **Fig 5.6.5.2.1**, you can see a sample screen of the **Exit Minutes of Meeting** form. This form consists of several fields in which some of them are marked with the * symbol that indicates these fields are mandatory. You need to fill some data in these fields.

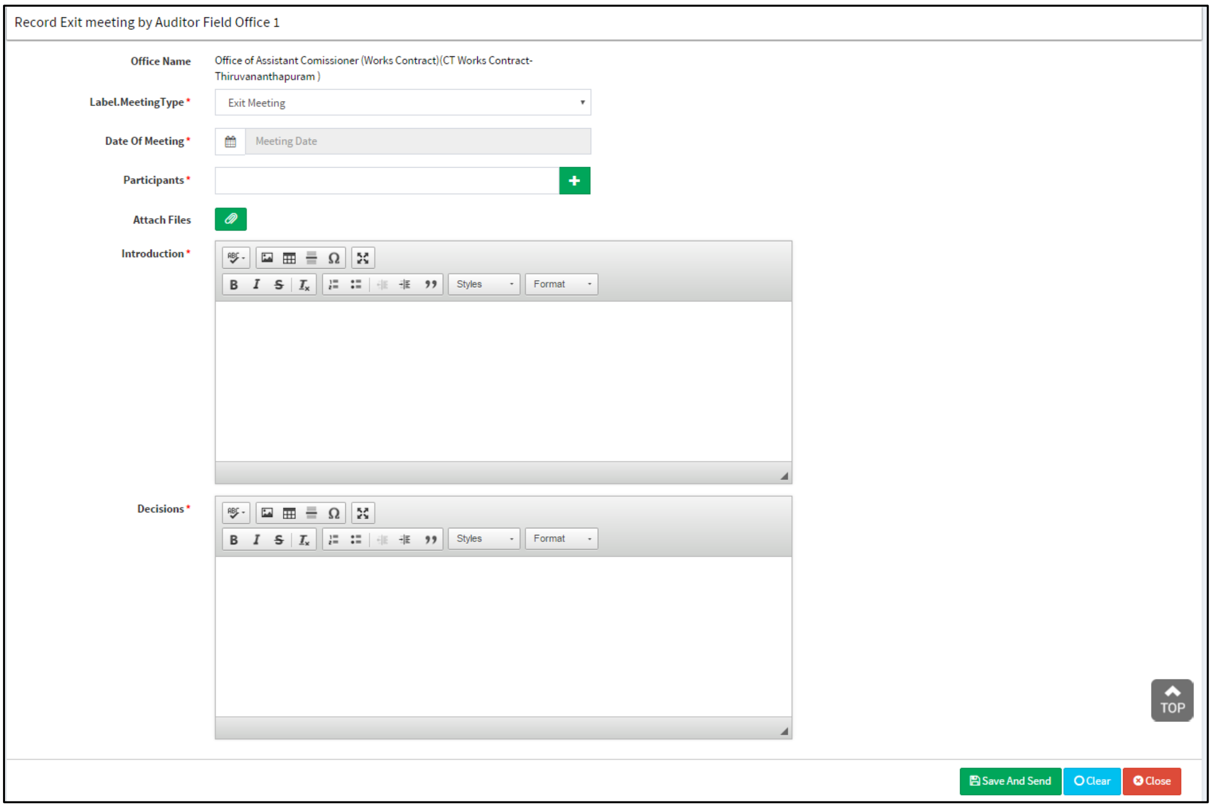


Fig 5.6.5.2.1

Pre-Condition

You should login into the application as **a workflow player** and have privilege to record the **Exit Minutes of Meeting**. You can act on the task by clicking the task name in **Inbox** where **Exit Minutes of Meeting** task type has been specified**.**

Minutes of Meeting form contains the following fields:

Sr. No.	Field Name	Description
1	Meeting Type	**Description:** This is used to specify the Meeting Type i.e. Entry. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Date of Meeting	**Description:** This field is used to specify the Date of Meeting on which the meeting is held with the Auditee. **Validation:** 1) Date of Meeting can only be within the Auditee schedule period. **Mandatory/Optional**: Mandatory
3	Office Name	**Description:** This field is used to specify the name of the Auditee office for which the minute of meeting is being recorded. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Participants	**Description:** This field is used to specify the name of the participants who have attended the meeting. **Validation:** Only characters and numerical values are allowed. **Mandatory/Optional:** Mandatory
5	Agenda	**Description:** This field is used to specify the Introduction in the Editor provided for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Mandatory
6	Elected Representative Name	**Description:** This field is used to specify the elected representative name for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Optional

7	Official Representative Name	**Description:** This field is used to specify the official representative name for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Optional
8	Attach Files	**Description:** This field is used to attach any document type for Entry Meeting. **Validation:** Attach the supporting file formats such as Excel, JPG, PNG, Doc, Docx **Mandatory/Optional:** Optional

The **Exit Minutes of Meeting** form contains the following buttons as indicated below:

- **Save and Send**: This button allows you to save the information provided by you in the given fields and send the control to the next user.

- **Close**: This button allows you to abort the record Exit Minutes of Meeting operation and close the page.

Flow of Form

To record the Exit Minutes of Meeting, you need to follow the steps given below:

You should login into the application as **a workflow player** and have privileges to record the Exit Minutes of Meeting.

1. Click on **Inbox→ {Task Name} where Exit Minutes of Meeting** task type is shown. A page will open on the screen which will populate the fields such as Type of Meeting, Date of Meeting, office Name, Participants, Introduction, supporting files if any etc which are required to be captured.
2. The user will enter the data in the required fields and attach any documents if any by clicking on Attach File icon.
3. Click on **Save and Send** button to save the minutes of meeting and send the control to the next task defined in the process flow.
4. The data once saved can be updated by clicking on Task Name either from the Inbox or from the Drafts tab. Data once saved will be updated in the database by clicking on **Update and Send** button**.**
5. User can generate a PDF of the Entry Minutes of Meeting recorded by the user and keep it for reference.
6. Click on **Close** button to **close** the Entry Minutes of Meeting form.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This message is displayed when the user attempts to save the data without entering any data in the mandatory fields marked with *.	Enter the data in the mandatory field marked with *.
2	Exit Meeting Date cannot be prior to the Entry Meeting Date.	This message is displayed when the user attempts to enter the Exit Meeting Date prior to the Entry Meeting Date.	Enter Exit Meeting date after the Entry Meeting.

5.6.5.3 Verify Minutes of Meeting

Brief Description

The main purpose of this form is to allow the Audit party to verify the Minutes of Meeting (Entry/Exit) recorded by another user. This includes verifying information such as Type of Meeting (Entry/Exit), Date of Meeting, office Name, Participants, Introduction, supporting files if any and makes the necessary change. The user can either **Accept** and make the change himself or can **Reject** and send the minutes of meeting to the recorder. The verifier will see the data in the pre-populated fields recorded by the recorder.

In **Fig 5.6.5.3.1**, you can see a sample screen of the **Verify Minutes of Meeting** form. This form consists of several fields in which some of them are marked with the * symbol that indicates these fields are mandatory. You need to fill out some data in these fields.

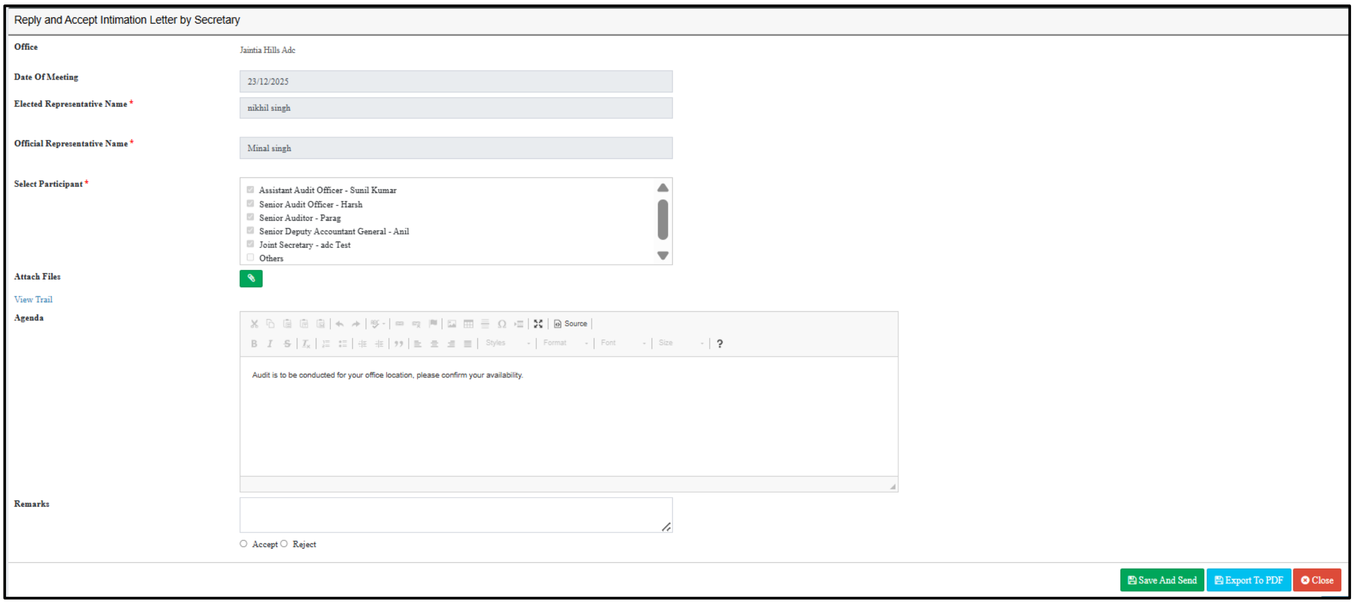


Fig 5.6.5.3.1

<u>**Pre-Condition**</u>

You should login into the application as **a workflow player** and have privilege to **Verify Minutes of Meeting**. You can act on the task by clicking the task name in **Inbox** where **Verify Minutes of Meeting** task type has been specified**.**

Verify Minutes of Meeting form contains the following fields:

Sr. No.	Field Name	Description
1	Meeting Type	**Description:** This is used to specify the Meeting Type i.e. Entry. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Date of Meeting	**Description:** This field is used to specify the Date of Meeting on which the meeting is held with the Auditee. **Validation:** 1) Date of Meeting can only be within the Auditee schedule period. **Mandatory/Optional**: Mandatory

3	Office Name	**Description:** This field is used to specify the name of the Auditee office for which the minute of meeting is being recorded. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Participants	**Description:** This field is used to specify the name of the participants who have attended the meeting. **Validation:** Only characters and numerical values are allowed. **Mandatory/Optional:** Mandatory
5	Decisions	**Description:** This field is used to specify the Decision in the Editor provided for the Minutes of Meeting. **Validation:** NA **Mandatory/Optional:** Mandatory
6	Remarks	**Description:** This field is used to write the remarks if any. **Validation:** NA. **Mandatory/Optional:** Mandatory
7	Agenda	**Description:** This field is used to specify the Introduction in the Editor provided for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Mandatory
8	Elected Representative Name	**Description:** This field is used to specify the elected representative name for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Optional
9	Official Representative Name	**Description:** This field is used to specify the official representative name for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Optional

10	Attach Files	**Description:** This field is used to attach any document type for Entry Meeting. **Validation:** Attach the supporting file formats such as Excel, JPG, PNG, Doc, Docx **Mandatory/Optional:** Optional

The **Verify Minutes of Meeting** form contains the following buttons as indicated below:

- **Save and Send**: This button allows you to save the information provided by you in the given fields and send the control to the next user.
- **Close**: This button allows you to abort the Verify Minutes of Meeting operation and close the page.

Flow of Form

To verify the Minutes of Meeting, you need to follow the steps given below:

1. You should login into the application as **a workflow player** and have privileges to Verify Minutes of Meeting.
2. Click on **Inbox→ {Task Name} where Verify Minutes of Meeting** task type is shown. A page will open on the screen which will populate the fields such as Date of Meeting, office Name, Participants, Introduction, supporting files if any etc which are required to be verified.
3. The user will be able to see the minutes of meeting recorded by the recorder.
4. The user can also view the files attached by the recorder and attach their own files if any by clicking on Attach File icon.
5. The user can either make the necessary changes, if any minor changes are required to be made and click on **Accept** button or can **Reject** it and send back to the recorder if major changes are required to be made.
6. The user can also write the remarks in the area provided if any.
7. The user can also click on **View trail** to view the conversations that have taken place amongst various users on the Auditors side.
8. Click on **Save and Send** button to save the record and send the control to the next task.
9. The data once saved can be updated by clicking on Task Name either from the Inbox or from the Drafts tab. Data once saved will be updated in the database by clicking on **Update and Send** button**.**
10. Users can generate a PDF of the Minutes of Meeting and keep it for reference.
11. Click on **Close** button to discard the changes and close the form.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This message is displayed when the user attempts to save the data without entering any data in the mandatory fields marked with *.	Enter the data in the mandatory field marked with *.

5.6.5.4 Approve Minutes of Meeting

Brief Description

The main purpose of this form is to allow the Auditee to approve the Minutes of Meeting (Entry/Exit) recorded by Auditor. This includes approving the information such as Type of Meeting (Entry/Exit), Date of Meeting, office Name, Participants, Introduction, supporting files if any. Auditee can either **Approve** the minutes of meeting, if agreed completely with the Auditor party or can **Reject** and send the minutes of meeting to the Auditor to make the necessary changes. Minutes of Meeting once approved cannot be changed by anyone.

In **Fig 5.6.5.4.1**, you can see a sample screen of the **Approve Minutes of Meeting** form.

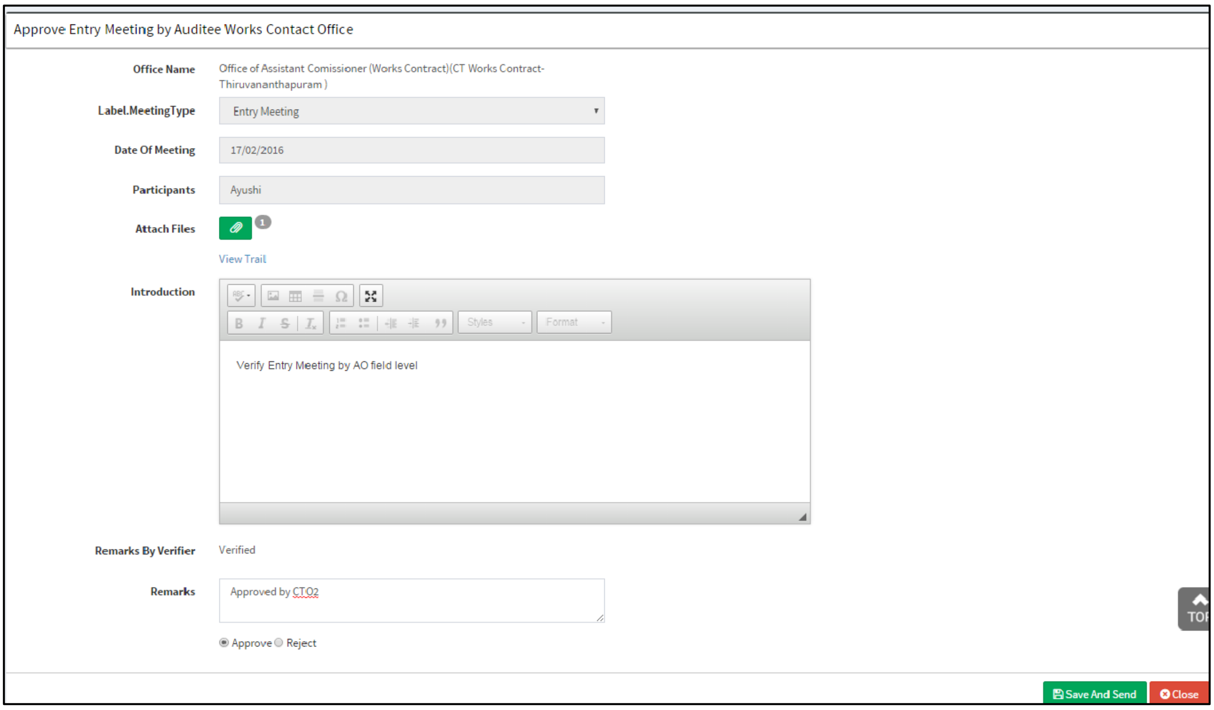


Fig 5.6.5.4.1

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **Approve Minutes of Meeting**. You can take action on the task by clicking the task name in **Inbox** where **Approve Minutes**

of Meeting task type has been specified**.**

Approve Minutes of Meeting form contains the following fields:

Sr. No.	Field Name	Description
1	Meeting Type	**Description:** This is used to specify the Meeting Type i.e. Entry. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
2	Date of Meeting	**Description:** This field is used to specify the Date of Meeting on which the meeting is held with the Auditee. **Validation:** 1) Date of Meeting can only be within the Auditee schedule period. **Mandatory/Optional**: Mandatory
3	Office Name	**Description:** This field is used to specify the name of the Auditee office for which the minute of meeting is being recorded. **Validation:** NA **Mandatory/Optional/Read Only:** Read Only
4	Participants	**Description:** This field is used to specify the name of the participants who have attended the meeting. **Validation:** Only characters and numerical values are allowed. **Mandatory/Optional:** Mandatory
5	Decisions	**Description:** This field is used to specify the Decision in the Editor provided for the Minutes of Meeting. **Validation:** NA **Mandatory/Optional:** Mandatory
6	Remarks	**Description:** This field is used to write the remarks if any. **Validation:** NA. **Mandatory/Optional:** Mandatory
7	Agenda	**Description:** This field is used to specify the Introduction in the Editor provided for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Mandatory

8	Elected Representative Name	**Description:** This field is used to specify the elected representative name for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Optional
9	Official Representative Name	**Description:** This field is used to specify the official representative name for Entry Meeting. **Validation:** NA **Mandatory/Optional:** Optional
10	Attach Files	**Description:** This field is used to attach any document type for Entry Meeting. **Validation:** Attach the supporting file formats such as Excel, JPG, PNG, Doc, Docx **Mandatory/Optional:** Optional

The **Approve Minutes of Meeting** form contains the following buttons as indicated below:

- **Save and Send**: This button allows you to save the information provided by you in the given fields and send the control to the next user.
- **Close**: This button allows you to abort the approve Minutes of Meeting operation and close the page.

Flow of Form

To approve the Minutes of Meeting, you need to follow the steps as given below:

1. You should login into the application as **a workflow player** and have privileges to Approve Minutes of Meeting.
2. Click on **Inbox→ {Task Name} where Approve Minutes of Meeting** task type is shown. A page will open on the screen which will populate the fields such as Date of Meeting, office Name, Participants, Introduction, supporting files if any etc which are required to be approved in the read only mode.
3. The user will be able to see the minutes of meeting (Entry/Exit) recorded in the read only mode.
4. The user can also view the files attached by the recorder by clicking on Attached File icon.

5. The user can either **Approve** the minutes of meeting or can **Reject** it. Minutes of Meeting once approved cannot be changed by anyone.
6. The user can also write the remarks in the area provided if any.
7. Click on **Save and Send** button to save the record and send the control to the next task.
8. The data once saved can be updated by clicking on Task Name either from the Inbox or from the Drafts tab. Data once saved will be updated in the database by clicking on **Update and Send** button**.**
9. User can generate a PDF of the Minutes of Meeting and keep it for reference.
10. Click on **Close** button to discard the changes and close the form.

Validations/Error Messages

None

5.6.5.5 Verify Observation

Brief Description

The main purpose of this form is to allow the Audit party to verify the observations which have been recorded by another user. The actor who will verify the recorded observations will be amongst the team members who visit the field, scrutinize the record and perform the audit. The verification task could be skipped, and the observations could be directly sent for approval or for generation of audit enquiries.

In **Fig 5.6.5.5.1**, you can see a sample screen of the **Verify observations** form. This form consists of several fields in which some of them are marked with the * symbol that indicates these fields are mandatory. You need to fill out some data in these fields.

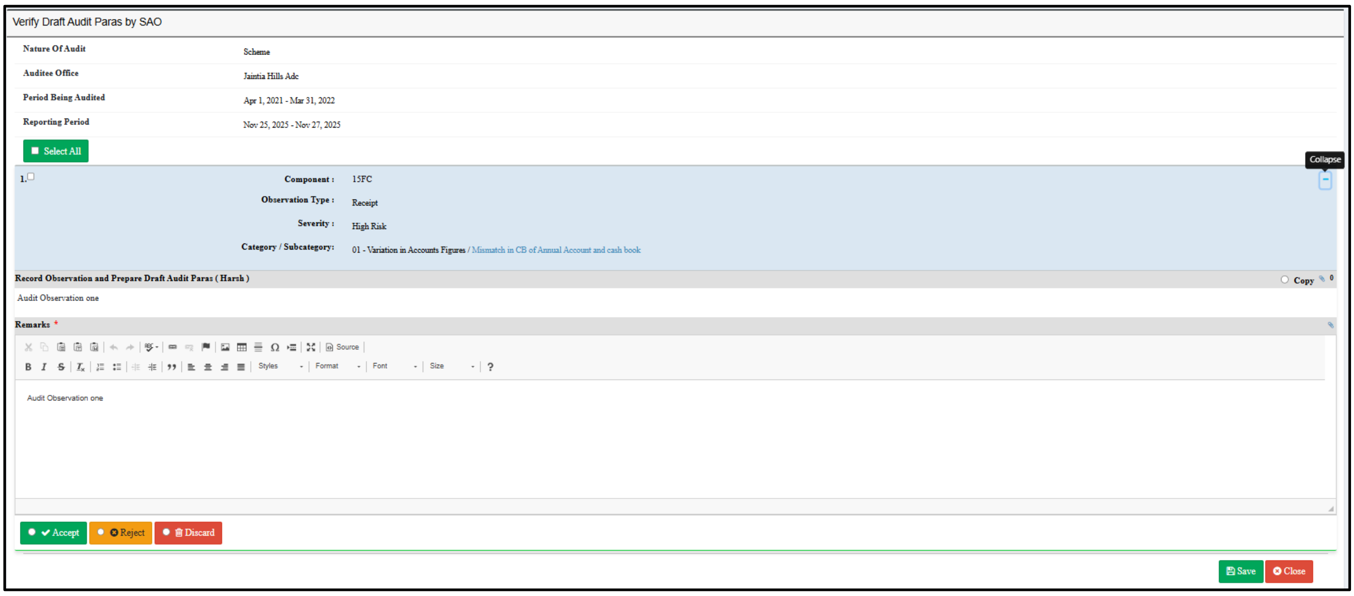


Fig: 5.6.5.5.1

After taking the necessary action from **Accept** or **Reject** and clicking on **Save** button, the data gets saved and the task must be send to another user. **Fig 5.6.5.5.2** depicts the ‘To’ tasks and the corresponding user which has been mapped to the current ‘From’ task. The user can select any ‘To’ task depending on which task has to be executed.

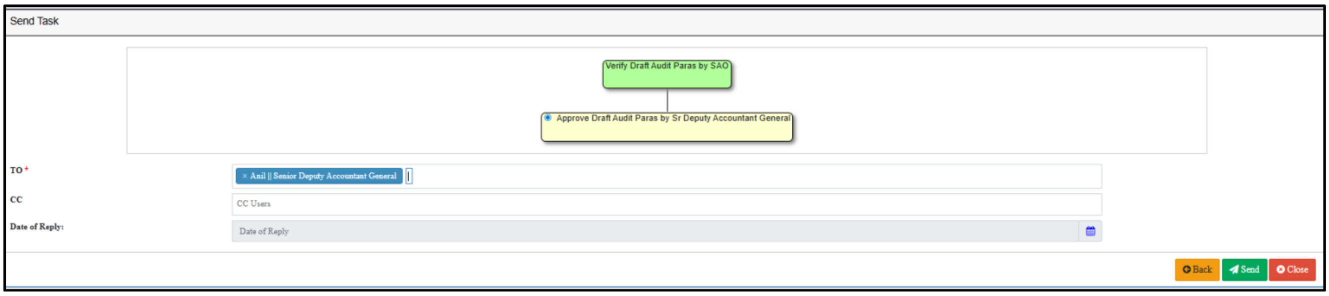


Fig: 5.6.5.5.2

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **verify the observation(s)**. You can act on the task by clicking the task name in **Inbox** where **Verify Observations** task type has been specified**.**

Flow of Form

To verify the recorded observation, you need to follow the steps given below:

1. You should log in into the application as **a workflow player** and have privileges to verify Audit observations.
2. Click on **Inbox→ Verify observation by field level** task available in the Inbox. A page will open on the screen which will list down the observations which have to be verified.
3. Brief details of the observations such as **Observation Type**, **Category** and **Sub Category details etc.,** will be shown.
4. Click on the plus + given on the right side of the observation details to expand the observations and view the complete details.
5. The observation recorded by the previous user will be listed. There will be an icon for **viewing** the **files attached** by the user at the time of recording the observation along with a copy radio button for copying the observation in the editor provided.
6. The verifying user must give some remarks on the observation in the editor provided. The user can copy the observation of the previous user and make the necessary changes or simply write oneself. The user can also change the category and sub category initially selected at the time of recording observations.
7. There will be a provision to attach the files by user who is verifying the observation. The attachments made by the previous actor can be dropped or carried forward as it is and more files can be attached.
8. Click on **Accept button** to accept and verify the observation or click on **Reject button** to reject the observation and send it back to the user who has recorded the observation for

making the necessary changes.

9. Click on **Save** button to save the action taken and send it to the next user for taking the necessary action.
10. On clicking **Save** button, the next user to whom the task is to be sent will be shown on the page. Select the task by clicking on the radio button and selecting the corresponding user who will be performing that task and click on Send button.
11. Click on **Close** button to abort the sending operation and return on home page. When the close button is clicked, the user can return to this page by clicking on Inbox-> Verify task again and send the observation to the next user.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This indicates that it is mandatory to enter data into this field.	Enter / select the required details in those fields

5.6.5.6 Approve Observation

Brief Description

The main purpose of this form is to allow the Audit party to approve the observations which have been recorded by another user. The actor who approves the recorded observations will be amongst the team members who visit the field, scrutinize the record and perform the audit. This approval task could be skipped and directly an audit enquiry can be generated and send to the Auditee for responding.

In **Fig 5.6.5.6.1**, you can see a sample screen of the **Approve observations** form. This form consists of several fields in which some of them are marked with the * symbol that indicates these fields are mandatory. You need to fill some data in these fields.

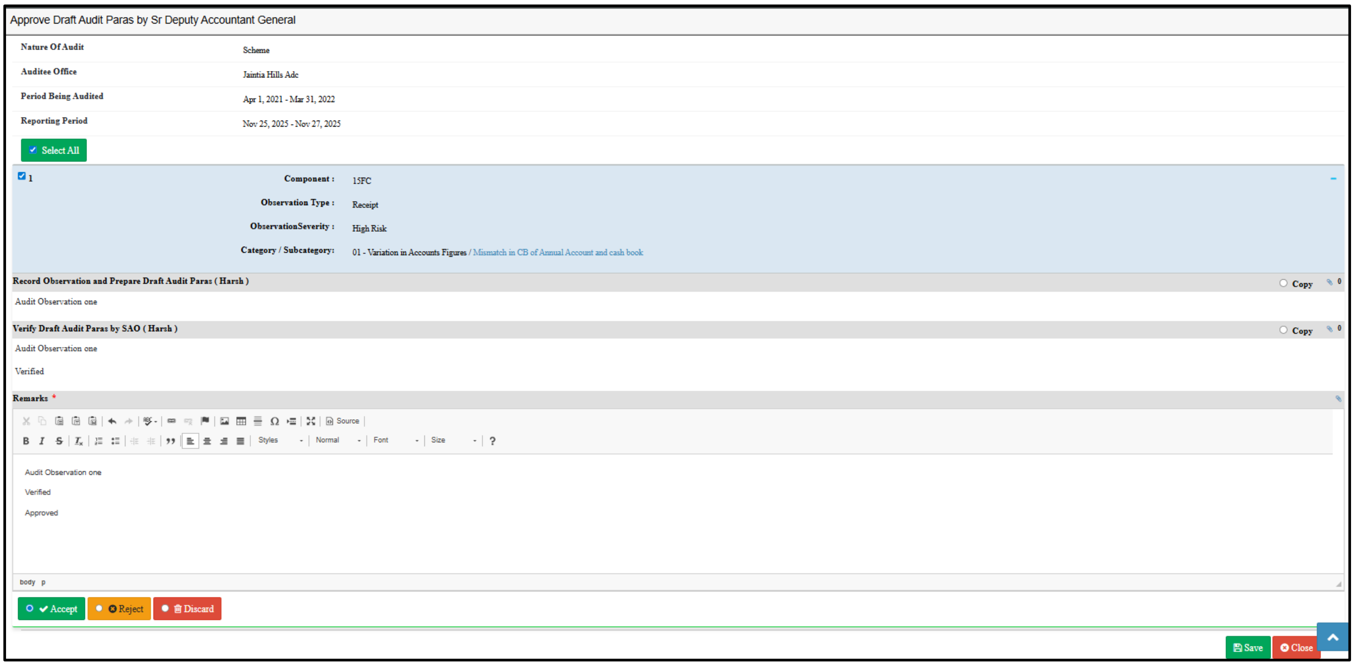


Fig: 5.6.5.6.1

After taking the necessary action from **Approve** or **Reject** and clicking on **Save** button, the data gets saved and the task must be send to another user. **Fig 5.6.5.6.2** depicts the 'To' tasks and the corresponding user which has been mapped to the current 'From' task. The user can select any 'To' task depending on which task has to be executed.

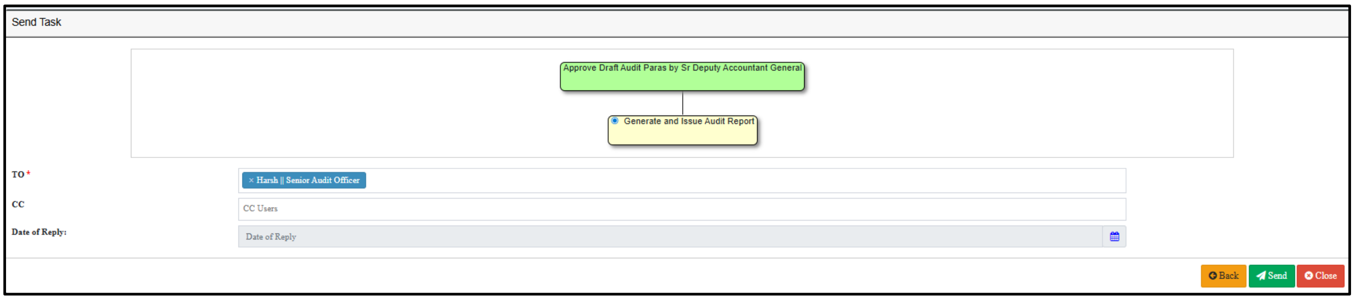


Fig: 5.6.5.6.2

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **approve the observation(s)**. You can act on the task by clicking the task name in **Inbox** where **Approve observation** task type has been specified**.**

Flow of Form

To approve the recorded observation, you need to follow the steps given below:

1. You should login into the application as **a workflow player** and have privileges to approve Audit observations.
2. Click on **Inbox→ Approve observation by field level** task available in the Inbox. A page will open on the screen which will list down the observations which have to be approved.
3. Brief details of the observations such as **Observation Type**, **Case Related to**, **Category** and **Sub Category details** will be shown.

4. Click on the plus given on the right side of the observation details to expand the observations and view the complete details.
5. The observation recorded by the user will be listed along with the remarks of each user who has taken an action on that observation during verification. There will be an icon for **viewing** the **files attached** by the user at the time of recording the observation or verification along with a copy radio button for copying the observation in the editor provided.
6. The approving user must give some remarks on the observation in the editor provided. The user can copy the observation of the previous user and make the necessary changes or simply write oneself. The user can also change the category and sub category initially selected at the time of recording observations or verifying the observations.
7. There will be a provision to attach the files by user who is approving the observation. The attachments made by the previous actor can be dropped or carried forward as it is and more files can be attached.
8. Click on **Approve button** to accept and approve the observation or click on **Reject button** to reject the observation and send it back to the user who has recorded the observation for making the necessary changes.
9. Click on **Save** button to save the action taken and send it to the next user for taking the necessary action.
10. On clicking **Save** button, the next user to whom the task is to be sent will be shown on the page. Select the task by clicking on the radio button and selecting the corresponding user who will be performing that task and click on Send button.
11. Click on **Close** button to abort the sending operation and return it to the home page. When the close button is clicked, the user can return to this page by clicking on Inbox-> Approve task again and send the observation to the next user.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This indicates that it is mandatory to enter data in this field.	Enter / select the required details in those fields

5.6.5.7 Response on Unverified Observation

Brief Description

The main purpose of this form is to allow the Audit party to respond on the observations which have been rejected by the user at the time of verification or approval. The user can view the trail of remarks given by various users for un-verifying it and make the necessary change. After making the necessary changes, the user can send it back to the user from whom the task had come.

In **Fig 5.6.5.7.1** you can see a sample screen of the **Response on Unverified Observation** form. This form consists of several fields in which some of them are marked with the * symbol that indicates these fields are mandatory. You need to fill out some data in these fields.

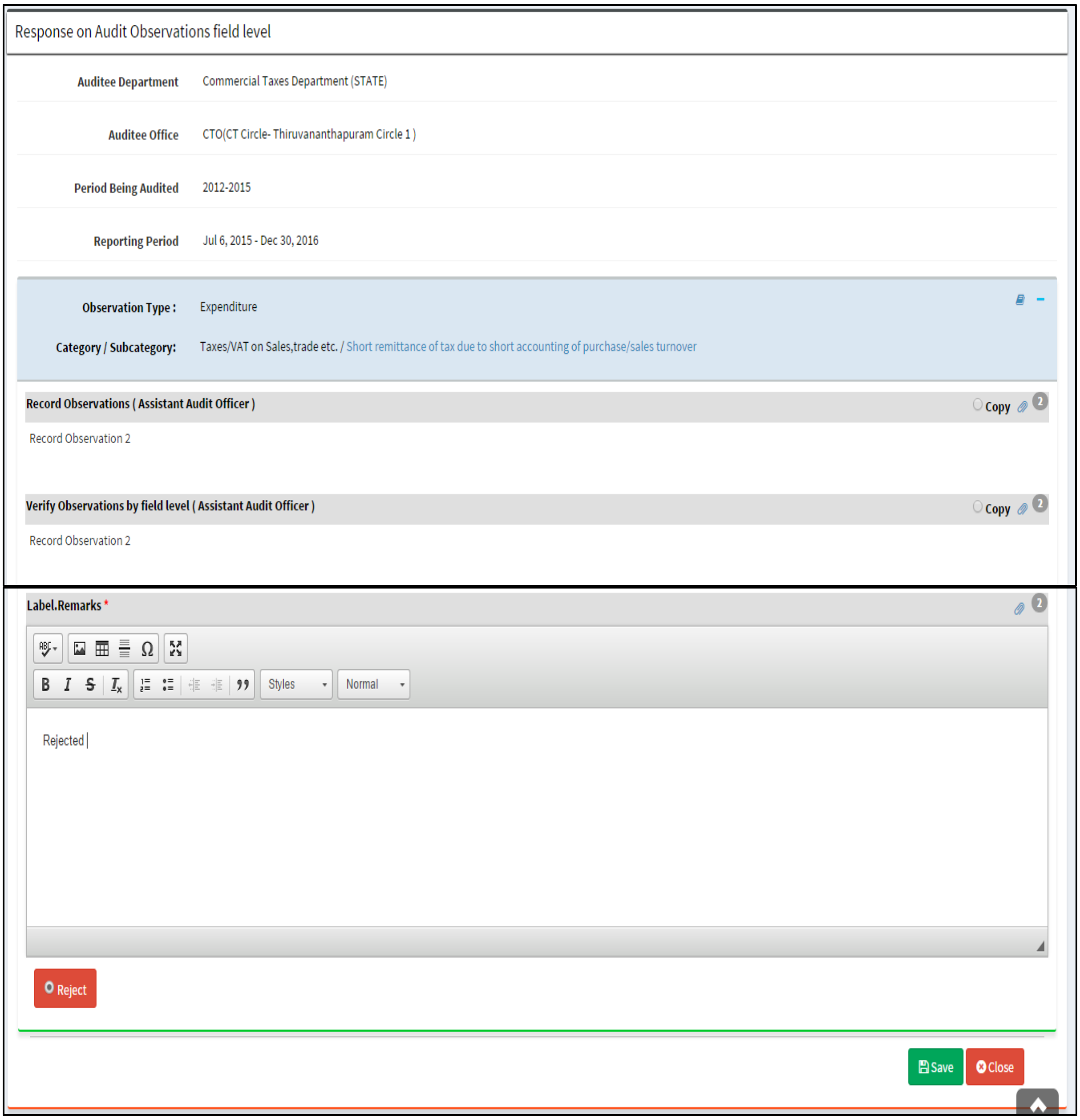


Fig: 5.6.5.7.1

After making the necessary change on un-verified observation and clicking on **Save** button, the data gets saved and the task has to be send to another user. **Fig 5.6.5.7.2** depicts the 'To' tasks and the corresponding user that have been mapped to the current 'From' task. The user can select any 'To' task depending on which task has to be executed.

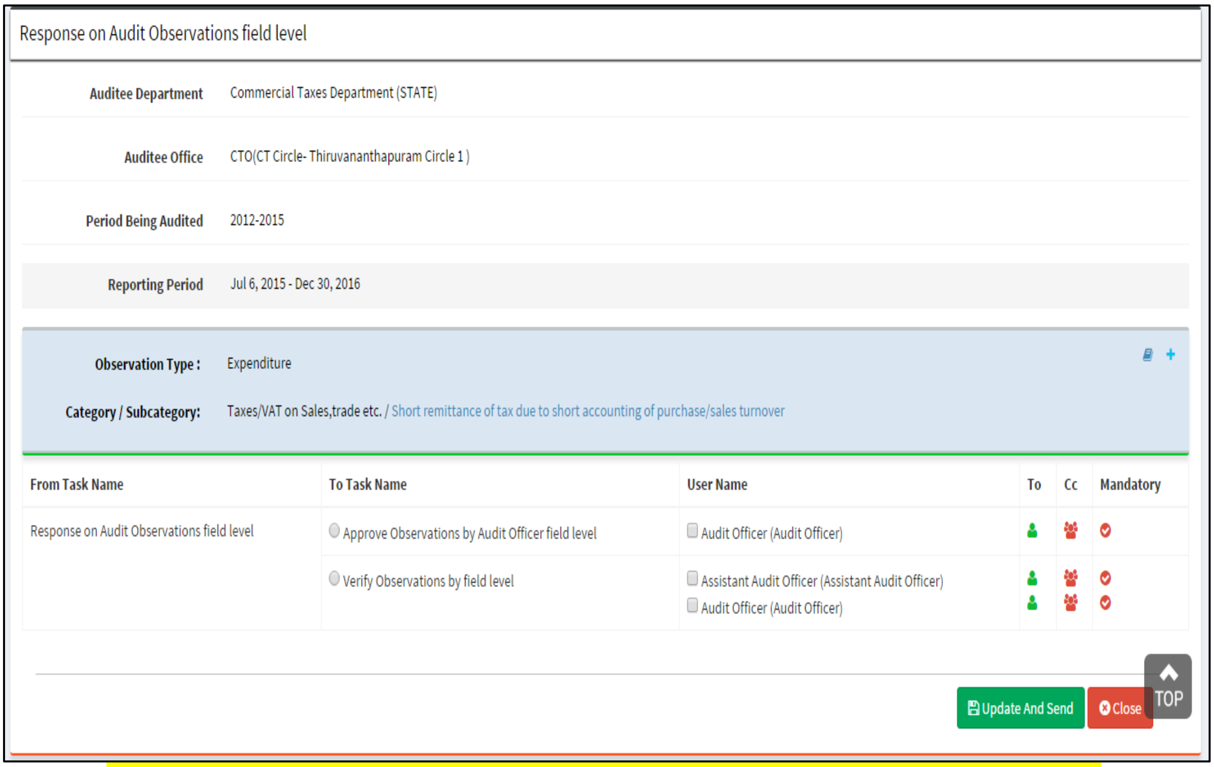


Fig: 5.6.5.7.2

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **respond on the unverified observation(s)**. You can act on the task by clicking the task name in **Inbox** where **Response on the unverified Observations** task type has been specified**.**

Flow of Form

To respond to the unverified observations, you need to follow the steps given below:

1. You should login into the application as **a workflow player** and have privileges to respond to un-verified observations.
2. Click on **Inbox→ Response on the unverified observations** task available in the Inbox. A page will open on the screen which will list down the observations which have to be responded.
3. Brief details of the observations such as **Observation Type**, **Category** and **Sub Category details etc.,** would be shown.

4. Click on the plus given on the right side of the observation details to expand the observations and view the complete details.
5. The observation recorded by the user will be listed along with the remarks of each user who has taken an action on that observation either during verification or approval. There will be an icon for **viewing** the **files attached** by the user at the time of recording the observation or verification or approval along with a copy radio button for copying the observation in the editor provided.
6. The user must give some remarks on the observation that has been unverified in the editor provided. The user can copy the remarks of the previous user and make the necessary changes or simply write by himself.
7. There will be a provision to attach the files by user who is responding to the unverified observation. The attachments made by the previous actor can be dropped or carried forward as it is and more files can be attached.

12. Click on **Save** button to save the remarks and send them to the next user to take the necessary action. Data once saved will be available for updation thought the Inbox/Drafts tab on the left menu.

8. On clicking **Save** button, the next user to whom the task is to be sent will be shown on the page. Select the task by clicking on the radio button and selecting the corresponding user who will be privileged to perform that task and click on Send button.
9. Click on **Close** button to abort the sending operation and return it to the home page. When the close button is clicked, the user can return to this page by clicking on Inbox-> **Response on the unverified observations** task again and send the observation to the next user.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	This Field Is Required	This indicates that it is mandatory to enter data into this field.	Enter / select the required details in those fields

5.6.5.8 Generate Report

<u>Brief Description</u>

The main purpose of this form is to allow the user belonging to the Audit party for final review of the observations before it is sent across to the Auditee to prepare a response to the objections raised. The user who is taking an action on this task can view the details related to the observations, make the necessary changes in the observation by clicking on edit button, view the attached files or generate a PDF report in the format specified for that report type.

In **Fig 5.6.5.8.1**, you can see a sample screen of the **Generate Report** page. This form consists of several fields in which some of them are marked with the * symbol that indicates these fields are mandatory. You need to fill out some data in these fields.

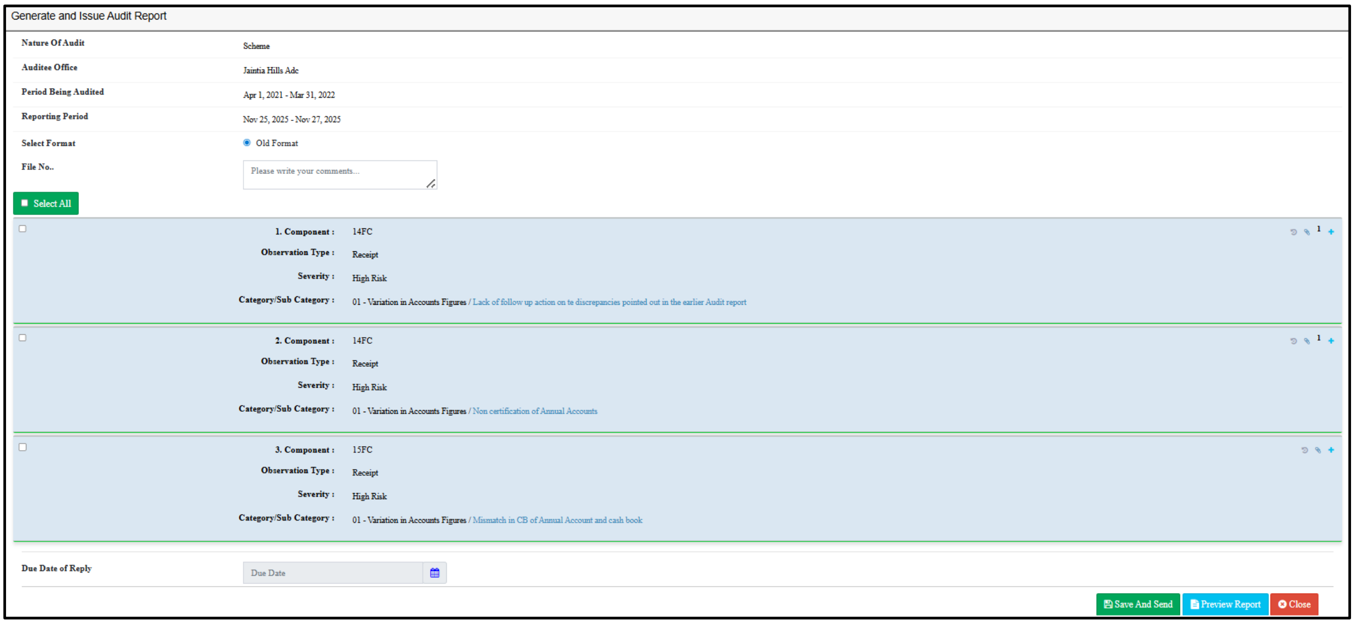


Fig: 5.6.5.8.1

The user can click on Edit icon for editing the observation or may click on Attachment icon to view the attached files. Refer **Fig 5.6.5.8.2** for new report format which is made standard throughout PAN India as prescribed by CAG, applicable FY 2022-23 onwards.

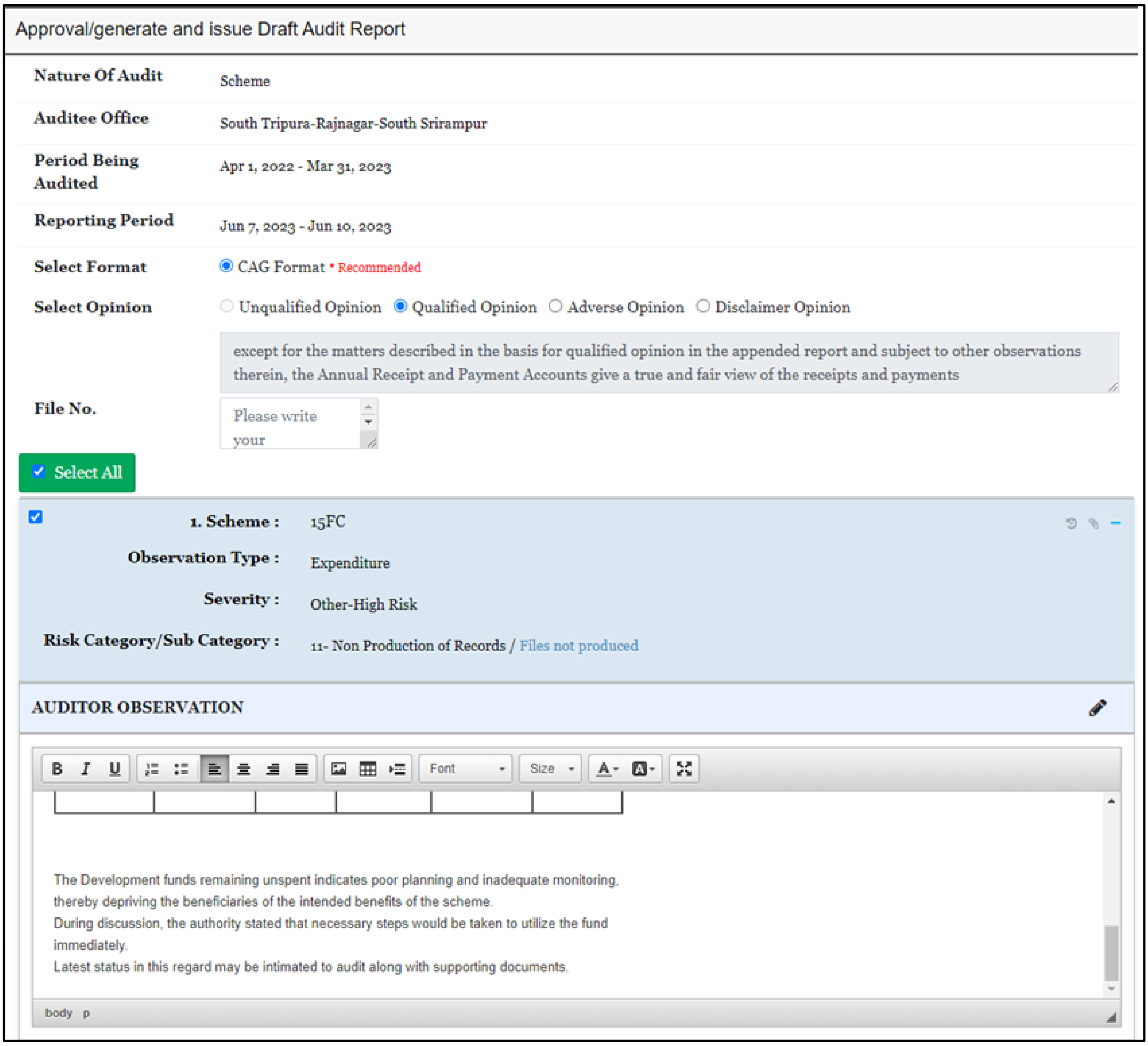


Fig: 5.6.5.8.2 CAG Format

Fig 5.6.5.8.3 shows the attached files when attachment icon is clicked.

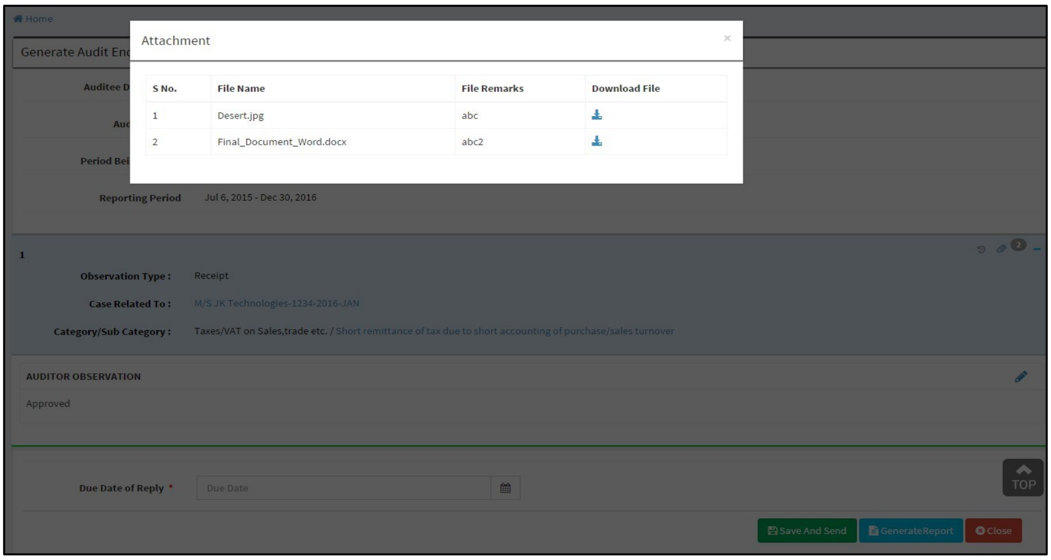


Fig: 5.6.5.8.3

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **Generate Report**. You can act on the task by clicking the task name in **Inbox** where **Generate Report** task type has been specified**.**

Flow of Form

To generate report, you need to follow the steps given below:

1. You should login into the application as **a workflow player** and have privileges to generate report.
2. Click on **Inbox→ {Task Name} where Generate Report** task type is shown. A page will open on the screen which will list down the observations which require sending to the Auditee for responding.
3. Brief details of the observations such as **Observation Number**, **Observation Type**, **Case Related to**, **Category** and **Sub Category details** would be shown.
4. Click on the plus given on the right side of the observation details to expand the observations and view the complete details.
5. Along with the observations, there will also be Edit icon for modifying the observation before it is sent across to the Auditee for responding. The user can also click on attachment icon for viewing the attached files.
6. If the chapters have been defined in the report template, the user is also required to attach the files against those chapters to merge those individual files and prepare a PDF.
7. The user must specify the Due Date of Reply by which the Auditee is required to respond on the observations raised.
8. The user can also click on **Generate Report** for exporting the observations in the form of PDF. The generated PDF shall print the observations in the format specified for its report type like Audit Enquiry, Local Audit Report, Draft Note and Draft Para.
9. If the chapters have been defined in the report template, the user is also required to attach the files against those chapters to merge those individual files and prepare a PDF in the format specified.
10. Click on **Save and Send** button to save the edited observations and send them to the next user for taking the necessary action. Data once saved will be available for updating through the Inbox/Drafts tab on the left menu.
11. On clicking **Save and Send** button, the next user to whom the task is to be sent will be shown on the page. Select the task by clicking on the radio button and selecting the corresponding user who will be privileged to perform that task and click on Send button.
12. Click on **Close** button to abort the sending operation and return it to the home page. When the close button is clicked, the user can return to this page by clicking on Inbox-> **{Task**

name} where Generate Report task type is shown and send the observation to the next user or update the existing observations.

When the user returns to this page after aborting the sending operation, the user can also update the observations and click on **Update and Send** button to send the observations to the next task.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Please attach the files against the chapters	This indicates that if the Chapterization is defined in the report template belonging to this report type, it is mandatory to attach a file against each chapter.	Attach a file against each chapter defined.
2	Please specify Due Date of Reply	This indicates that it is mandatory to select Due Date of Reply before sending the observations to the next actor or for generating the report.	Select the Due Date of Reply.
3	Report Template is not defined.	This indicates that it is mandatory to specify the report template for exporting the observations in PDF.	Add the Report template for this Report type by logging into the system through Department Admin credentials.

5.6.5.9 View Response and Prepare Report

Brief Description

The main purpose of this form is to allow the user belonging to the Auditor party to view the audit observations recorded, the response given by Auditee and takes the necessary action out of the following options- **Drop Observation, Including it in the next level report or keeping it for Follow-up**. If the response of the Auditee seems acceptable, then the user may select Drop Observation; if the response does not seem to be satisfactory then user may consider Including it next level of Report and if the response seems satisfactory but require more clarifications, then Follow-up shall be selected. The user can also view the history of the previous reports while taking the necessary action for the current audit belonging to this Auditee by clicking on **View trail** and may attach the supporting documents for escalating it further or following it up. This form will come only when the user belonging to the Auditor party sees the response of the Auditee for the first time belonging to a particular report type.

In **Fig 5.6.5.9.1**, you can see a sample screen of the **View Response and Prepare Report** page.

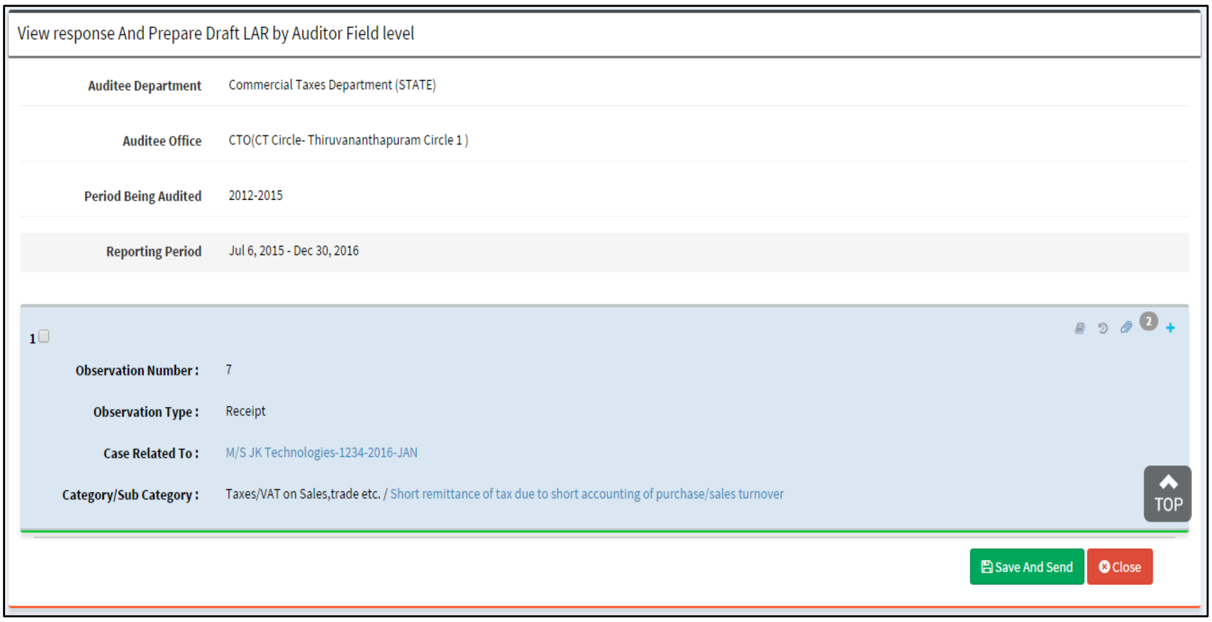


Fig: **5.6.5.9.1**

The user can take the necessary action and write a remark in the editor provided. The user can also click on attach file icon for attaching the files, if any. Refer **Fig 5.6.5.9.2**

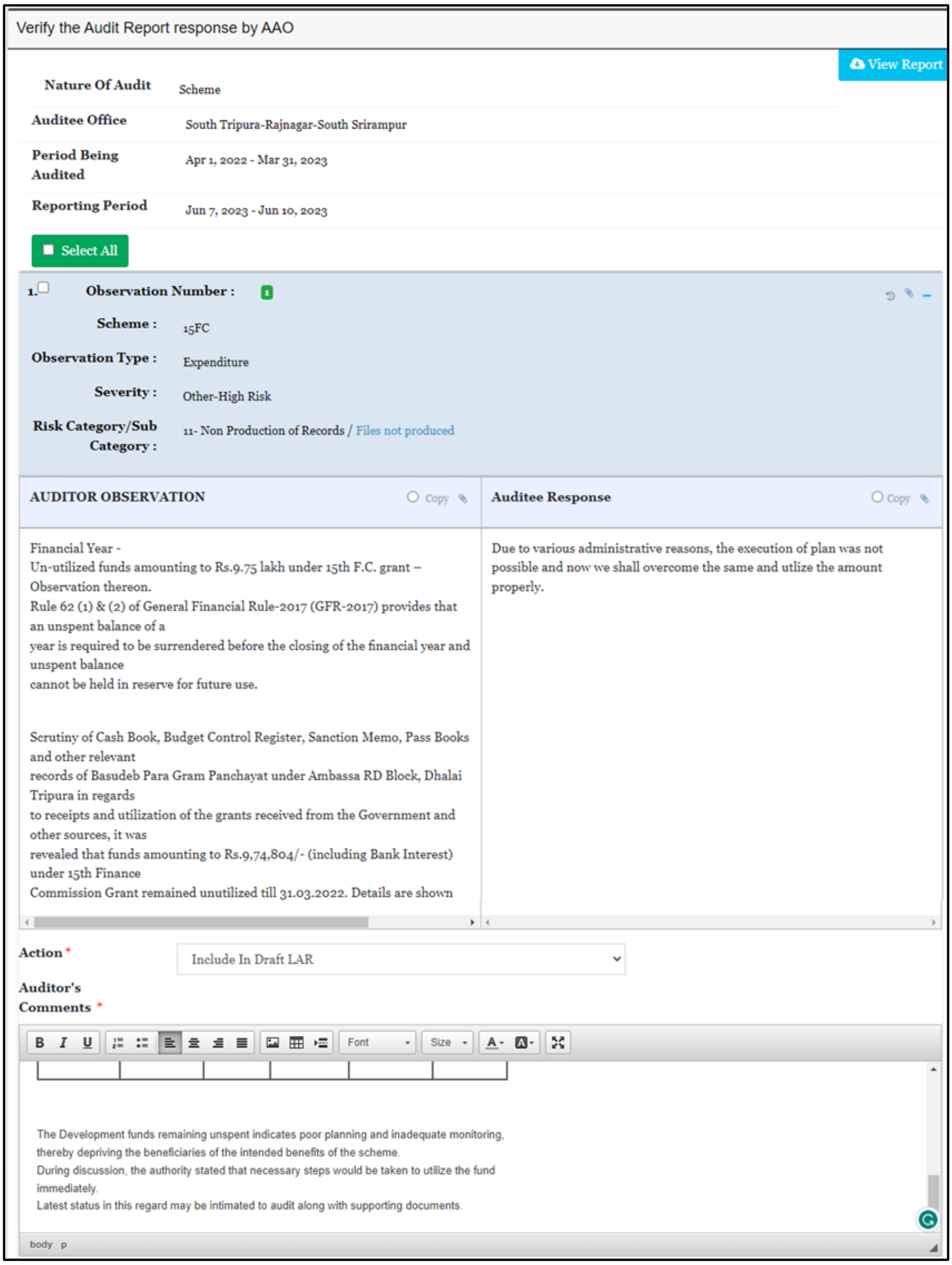


Fig: 5.6.5.9.2

Fig **5.6.5.9.3** shows the screen of View trail. Along with the remarks, the files attached can also be viewed by clicking on attachment icon. View trail shows the remarks of various users belonging to the Auditor group based on the type of report such as Audit Enquiry, Draft Local Audit Report, Local Audit Report, Draft Note and Draft Para.

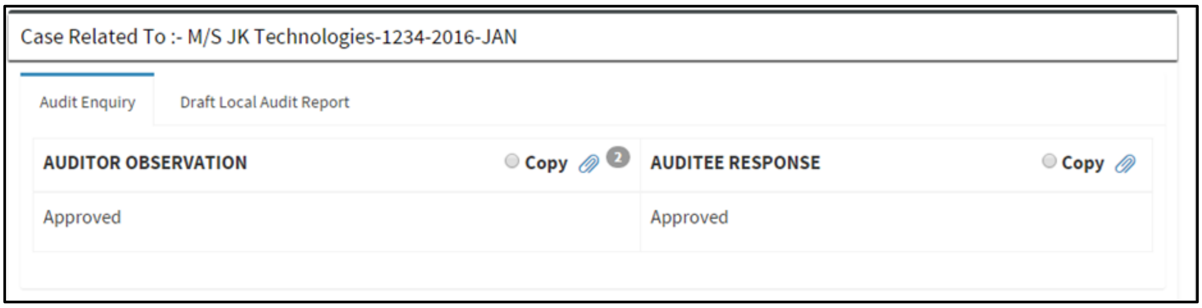


Fig: 5.6.5.9.3

Fig: 5.6.5.9.4 shows the file attachment screen.

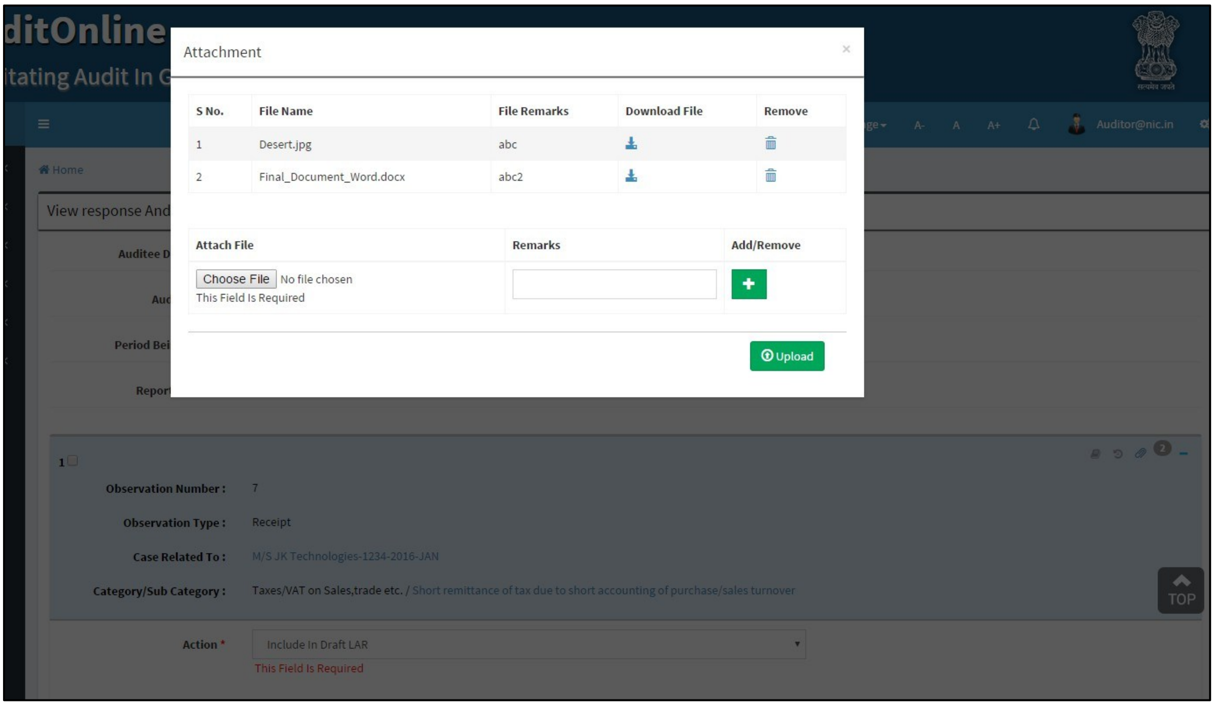


Fig: 5.6.5.9.4

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **View Response and Prepare Report**. You can act on the task by clicking the task name in **Inbox** where **View Response and Prepare Report** task type has been specified**.**

Flow of Form

To act on the specified task, you need to follow the steps given below:

1. You should login into the application as **a workflow player** and have privileges to act on View Response and Prepare Report task.
2. Click on **Inbox→ {Task Name}** where **View Response and Prepare Report** task type is shown. A page will open on the screen which will list down the observations on which action has to be taken.
3. Brief details of the observations such as **Observation Number**, **Observation Type**, **Case Related to**, **Category** and **Sub Category details** would be shown.

4. Click on the plus given on the right side of the observation details to expand the observations and view the complete details.
5. The user can click on **View trail** for viewing the Audit observations raised and the response given by the Auditee along with the internal comments of the Auditor part of the workflow. The user can also click on view attachment icon for viewing the files attached, if any.
6. The user can take the necessary action from **Drop Observation, Include or Follow-up**. If the user has selected:
   i. **Drop Observation**: This indicates that the response furnished by the Auditee is acceptable, and the Auditor do not want to pursue it further and wishes to drop.
   ii. **Include**: This indicates that the reply furnished by the Auditee do not seem to be acceptable and thus the user wants to peruse it ahead and take it to the next level.
   iii. **Follow-up**: This indicates that the reply furnished by the Auditee is satisfactory, but more clarifications shall be sought from the Auditee.
7. The user can write the comment in the editor provided after taking the necessary action. The user can also copy either the Auditor observations or Auditee response from the trail by clicking on Copy radio button against the remark which must be copied.
8. The user can click on Attach file icon located on the main page to attach the files for substantiating the remark.
9. The user can also click on **Generate Report** button for exporting the remarks in the form of PDF if it has been configured in the process flow against the task. The button **Generate Report** will only be active if the same has been configured in the process flow and the report template has been defined for this report type. The generated PDF will print the remarks in the format specified for its report type like Audit Enquiry, Local Audit Report, Draft Note and Draft Para.
10. If the **chapters** have been defined in the report template, the user will also be required to attach the file against the chapters to merge those individual files and prepare a PDF in the format specified.
11. Other things like **File number** and **Subject** can also be configured in the report template which will prompt the user to enter the file number and subject on the user interface for including it as part of PDF.
12. If the task has been configured in a way where instead of all the observations being responded at a time, individual observations can be responded at different times, then the user will be prompted to select the check box for selecting and sending the observation.
13. Click on **Save and Send** button to save the remarks against the observations and send them to the next user for taking the necessary action. Data once saved will be available for updating through the Inbox/Drafts tab on the left menu.
14. On clicking **Save and Send** button, the next user to whom the task is to be sent will be

shown on the page. Select the task by clicking on the radio button and selecting the corresponding user who will be privileged to perform that task and click on Send button.

15. Click on **Close** button to abort the sending operation and return it to the home page. When the close button is clicked, the user can return to this page by clicking on Inbox-> **{Task name} where View Response and Prepare Report** task type is shown and send the remarks to the next user or update the existing action before sending them to the next user.
16. When the user returns to this page after aborting the sending operation, the user can also update the action and click on **Update and Send** button to send the remarks to the next user.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Please attach the files against the chapters	This indicates that if the Chapterization is defined in the report template belonging to this report type, it is mandatory to attach a file against each chapter.	Attach a file against each chapter defined.
2	Report Template is not defined.	This indicates that it is mandatory to specify the report template for exporting the observations in PDF.	Add the Report template for this Report type by logging into the system through Department Admin credentials.
3	This field is required	This indicates that it is mandatory to take the action and write the remarks	Please take the necessary action and write the remark against one

		against one observation at least.	observation at least.
4	Enter the subject	This indicates that if the subject is defined in the report template belonging to this report type, it is mandatory to specify the subject.	Specify the subject in the area provided.
5	Select at least one observation	This indicates that if the observation can be sent to the next user at different times, then it is mandatory to select at least one check box for selecting the observation which is to be sent to the next user.	Select at least one observation

5.6.5.10 Auditor Review Report

Brief Description

The main purpose of this form is to allow the user belonging to the Auditor party to view the action out of **Drop observation, Include or Follow-up** taken by another user on the response given by Auditee for the objection raised in a particular type of report and give its own remark. Depending on the action taken by previous users, the observations will be grouped in **3 tabs** namely **Drop Observation, Include or Follow-up**. The user can view the trail of the previous reports while taking the necessary action for the current audit belonging to this Auditee by clicking on **View trail** or may attach the supporting documents. This form will come when the subsequent users belonging to the Auditor party wishes to review the response given by the Auditee and take the necessary action.

In **Fig 5.6.5.10.1**, you can see a sample screen of the **Auditor Review Report** page.

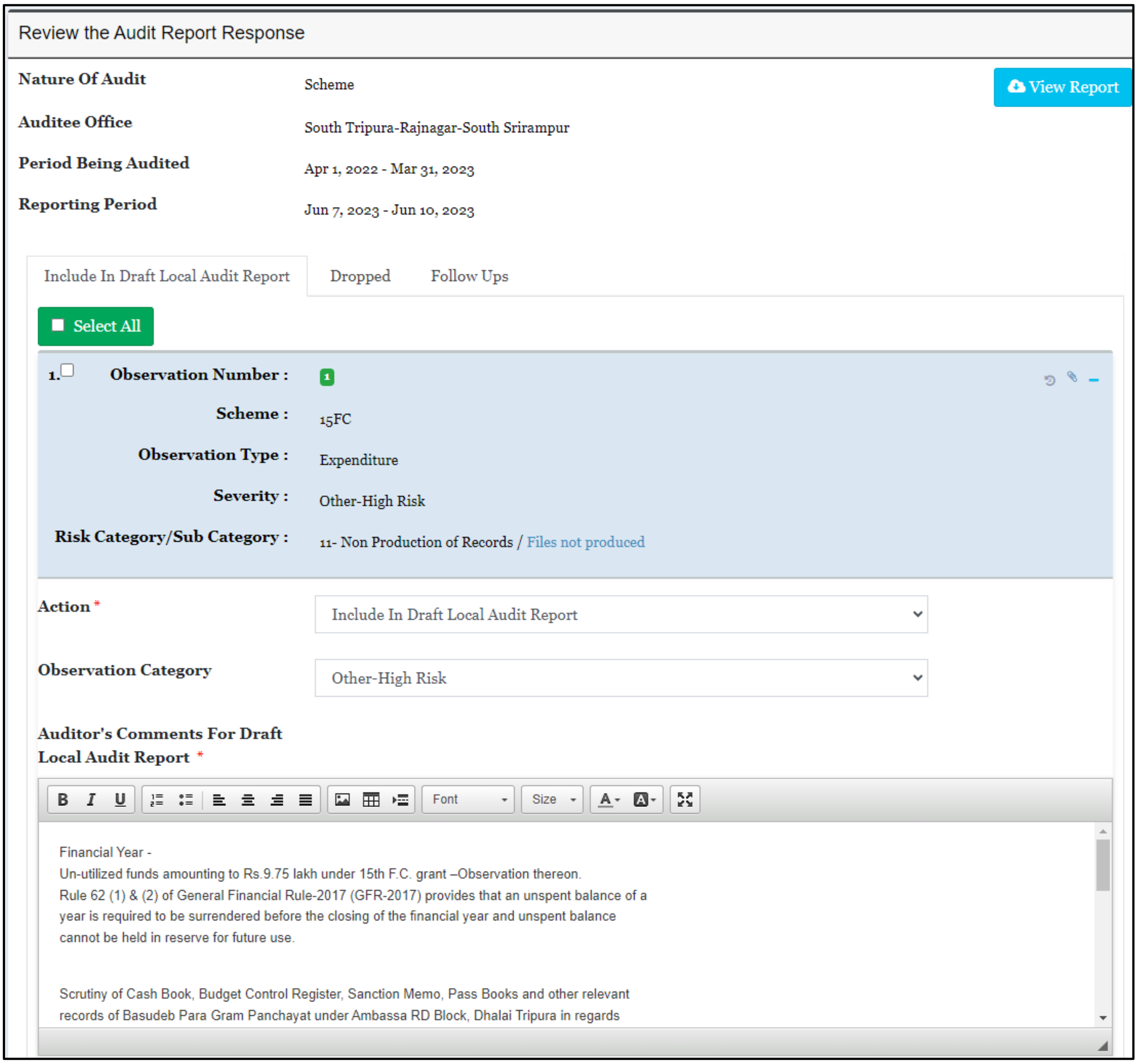


Fig: **5.6.5.10.1**

The user can take the necessary action and write a remark in the editor provided. The user can also click on attach file icon for attaching the files, if any. Refer **Fig 5.6.5.10.2**

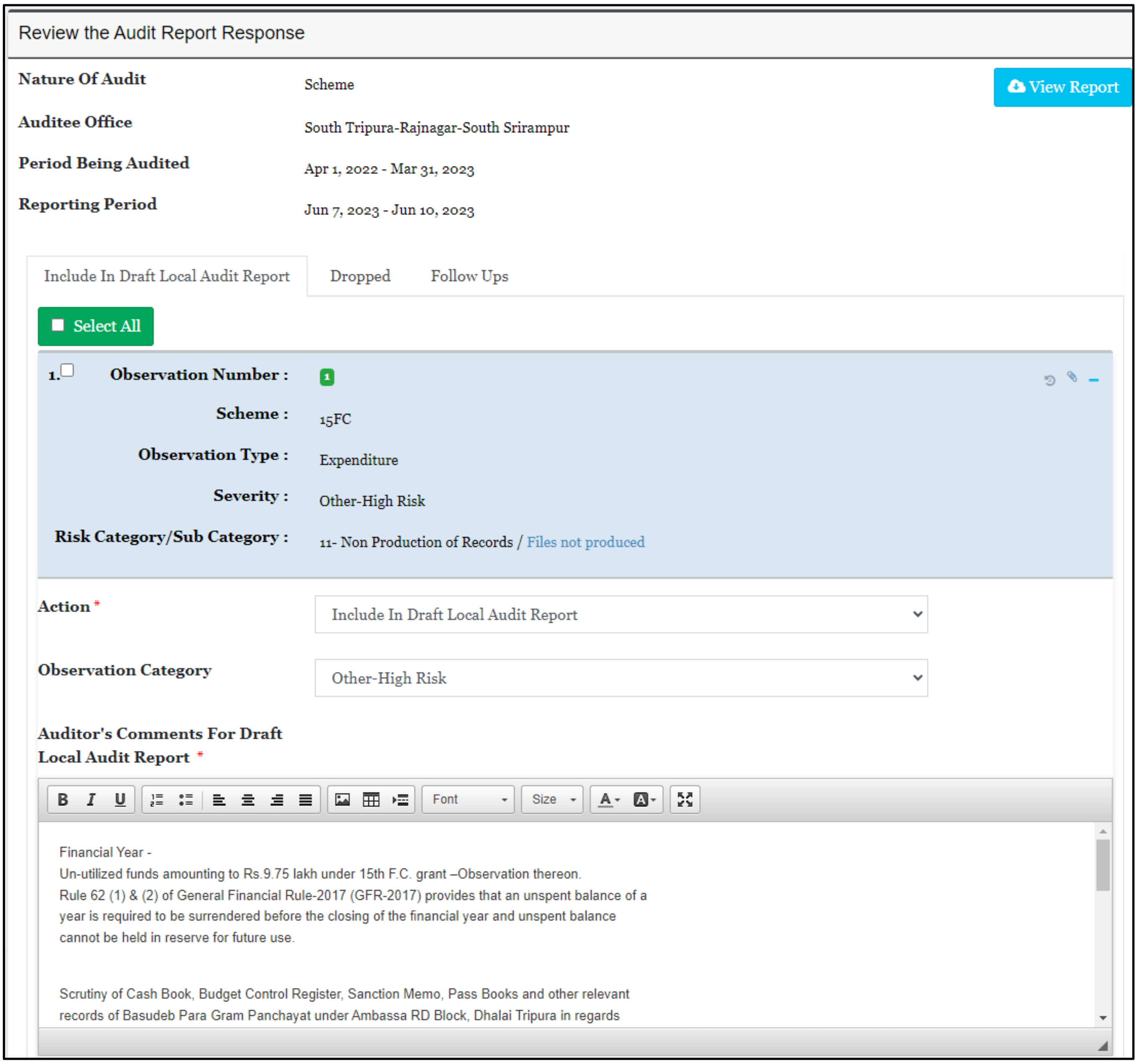


Fig: 5.6.5.10.2

Fig 5.6.5.10.3 shows the screen of View trail. Along with the remarks, the files attached can also be viewed by clicking on attachment icon. View trail shows the remarks of various users belonging to the Auditor, grouped based on the report type such as Audit Enquiry, Draft Local Audit Report, Local Audit Report, Draft Note and Draft Para.

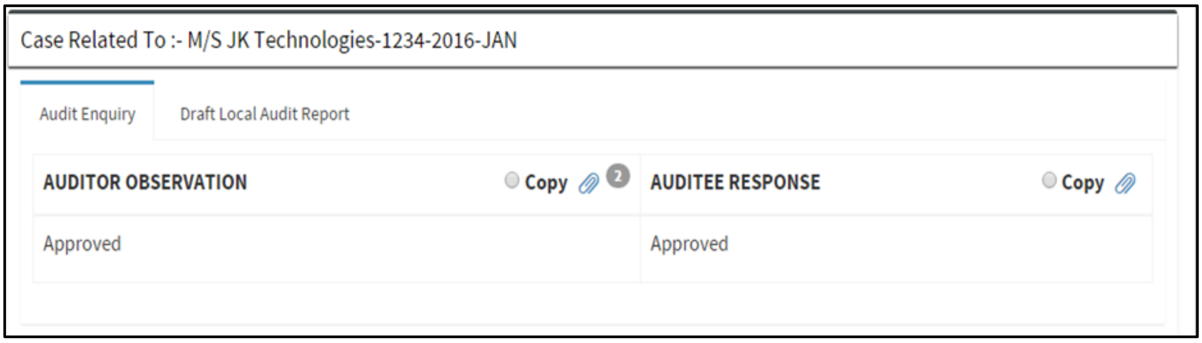


Fig: 5.6.5.10.3

Fig: 5.6.5.10.4 shows the file attachment screen.

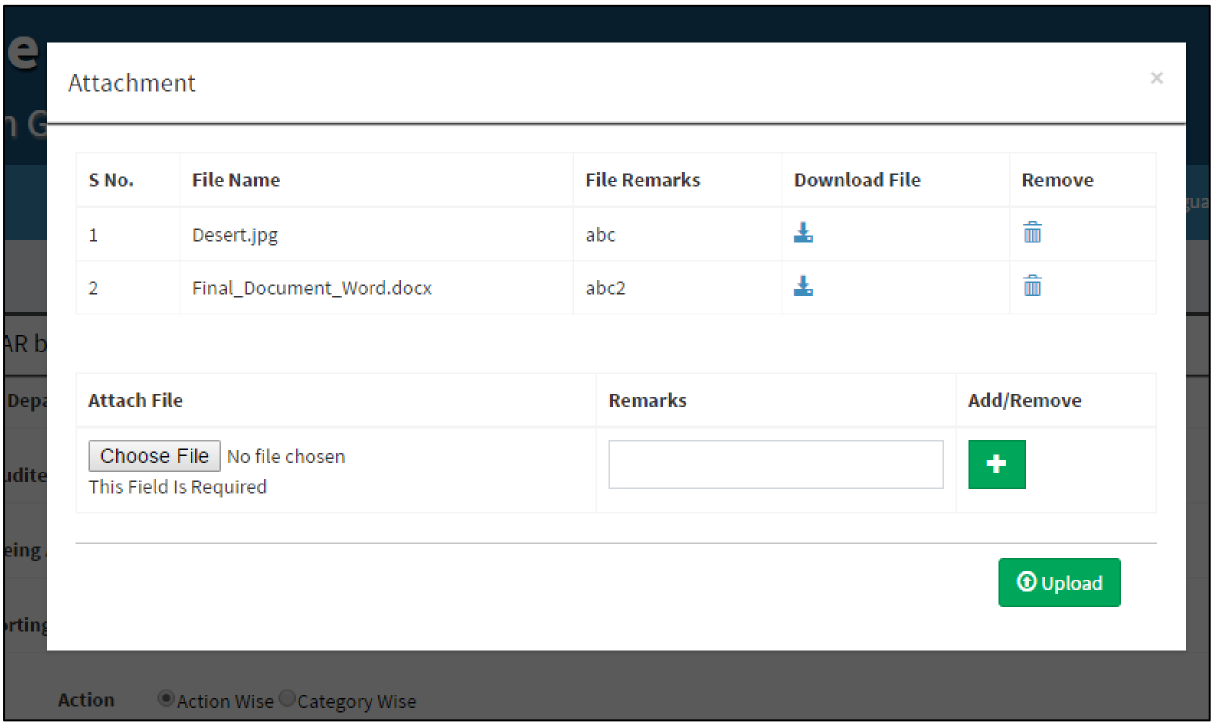


Fig: 5.6.5.10.4

Pre-Condition

You should login into the application as **a workflow player** and have privilege to act on **Auditor Review Report**. You can act on the task by clicking the task name in **Inbox** where **Auditor Review Report** task type has been specified**.**

Flow of Form

To act on the specified task, you need to follow the steps given below:

1. You should login into the application as **a workflow player** and have privileges to act on **Auditor Review Report** task.
2. Click on **Inbox→ {Task Name}** where **Auditor Review Report** task type is shown. A page will open on the screen which will list down the observations grouped in 3 tabs namely- **Drop Observation, Include and Follow-up** based on the action taken by previous user. By default, the tab with the observations will be active. If there exist observations in all the 3 tabs, then by default **Include** tab will be active.
3. Brief details of the observations such as **Observation Number**, **Observation Type**, **Case Related to**, **Category** and **Sub Category details** would be shown.
4. Click on the plus given on the right side of the observation details to expand the observations and view the complete details.

5. The user can click on **View trail** for viewing the Audit observations raised and the response given by the Auditee along with the internal comments of the Auditor part of the workflow. The user can also click on view attachment icon for viewing the files attached, if any.
6. The user can take the necessary action from **Drop Observation, Include or Follow-up**. If the user has selected:
   i. **Drop Observation**: This indicates that the response furnished by the Auditee is acceptable, and the Auditor do not want to pursue it further and wishes to drop.
   ii. **Include**: This indicates that the reply furnished by the Auditee do not seem to be acceptable and thus the user wants to peruse it ahead and take it to the next level.
   iii. **Follow-up**: This indicates that the reply furnished by the Auditee is satisfactory, but more clarifications shall be sought from the Auditee.
7. The user can write the comment in the editor provided after taking the necessary action. By default, the action taken by the previous actor in this review cycle will be populated along with the comments. The user can change the comments and action. The user can also copy either the Auditor observations or Auditee response from the trail by clicking on Copy radio button against the remark which must be copied.
8. The user can click on Attach file icon located on the main page to attach the files for substantiating the remark.
9. The user can also click on **Generate Report** button for exporting the remarks in the form of PDF if it has been configured in the process flow against the task. The button **Generate Report** will only be active if the same has been configured in the process flow and the report template has been defined for this report type. The generated PDF will print the remarks in the format specified for its report type like Audit Enquiry, Local Audit Report, Draft Note and Draft Para.
10. If the **chapters** have been defined in the report template, the user will be required to attach the file against the chapters to merge those individual files and prepare a PDF in the format specified. If another user in this review cycle has attached the file against the chapters, then the attached file would be visible and by default the attached file would be carried forward. The user can download the attached file by clicking on the file. The user can discard the previous file and attach its own file.
11. Other things like **File number** and **Subject** can also be configured in the report template which will prompt the user to enter the file number and subject on the user interface for including it as part of PDF.

12. If the task has been configured in a way where instead of all the observations being responded at a time, individual observations can be responded at different times, then the user will be prompted to select the check box for selecting and sending the observation.
13. Click on **Save and Send** button to save the remarks against the observations and send them to the next user for taking the necessary action. Data once saved will be available for updating trough the Inbox/Drafts tab on the left menu.
14. On clicking **Save and Send** button, the next user to whom the task is to be sent will be shown on the page. Select the task by clicking on the radio button and selecting the corresponding user who will be privileged to perform that task and click on Send button.
15. Click on **Close** button to abort the sending operation and return it to the home page. When the close button is clicked, the user can return to this page by clicking on Inbox-> **{Task name} where Auditor Review Report** task type is shown and send the remarks to the next user or update the existing action before sending them to the next user.
16. When the user returns to this page after aborting the sending operation, the user can also update the action and click on **Update and Send** button to send the remarks to the next user.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Please attach the files against the chapters	This indicates that if the Chapterization is defined in the report template belonging to this report type, it is mandatory to attach a file against each chapter.	Attach a file against each chapter defined.
2	Report Template is not defined.	This indicates that it is mandatory to specify the report template for exporting the observations in PDF.	Add the Report template for this Report type by logging into the system through Department Admin credentials.
3	PDF cannot be generated because no observations exist in Include in {Report	This indicates that at least one observation should be part of the	Keep at least one observation with action as

	Name}.	Include tab for exporting the PDF.	Include.
4	This field is required	This indicates that it is mandatory to take the action and write the remarks against one observation at least.	Please take the necessary action and write the remark against one observation at least.
5	Enter the subject	This indicates that if the subject is defined in the report template belonging to this report type, it is mandatory to specify the subject.	Specify the subject in the area provided.
6	Select at least one observation	This indicates that if the observation can be sent to the next user at different times, then it is mandatory to select at least one check box for selecting the observation which is to be sent to the next user.	Select at least one observation

5.6.5.11 Prepare Response

Brief Description

The main purpose of this form is to allow the user belonging to the Auditee party to prepare the response against the objections raised. The user can see the objections raised by the Auditor, prepare the response against each observation, and attach the supporting documents for substantiating the response and View trail on the response/remarks given by the other users of the Auditee party while preparing the response.

In **Fig 5.6.5.11.1**, you can see a sample screen of the **Prepare Response** page.

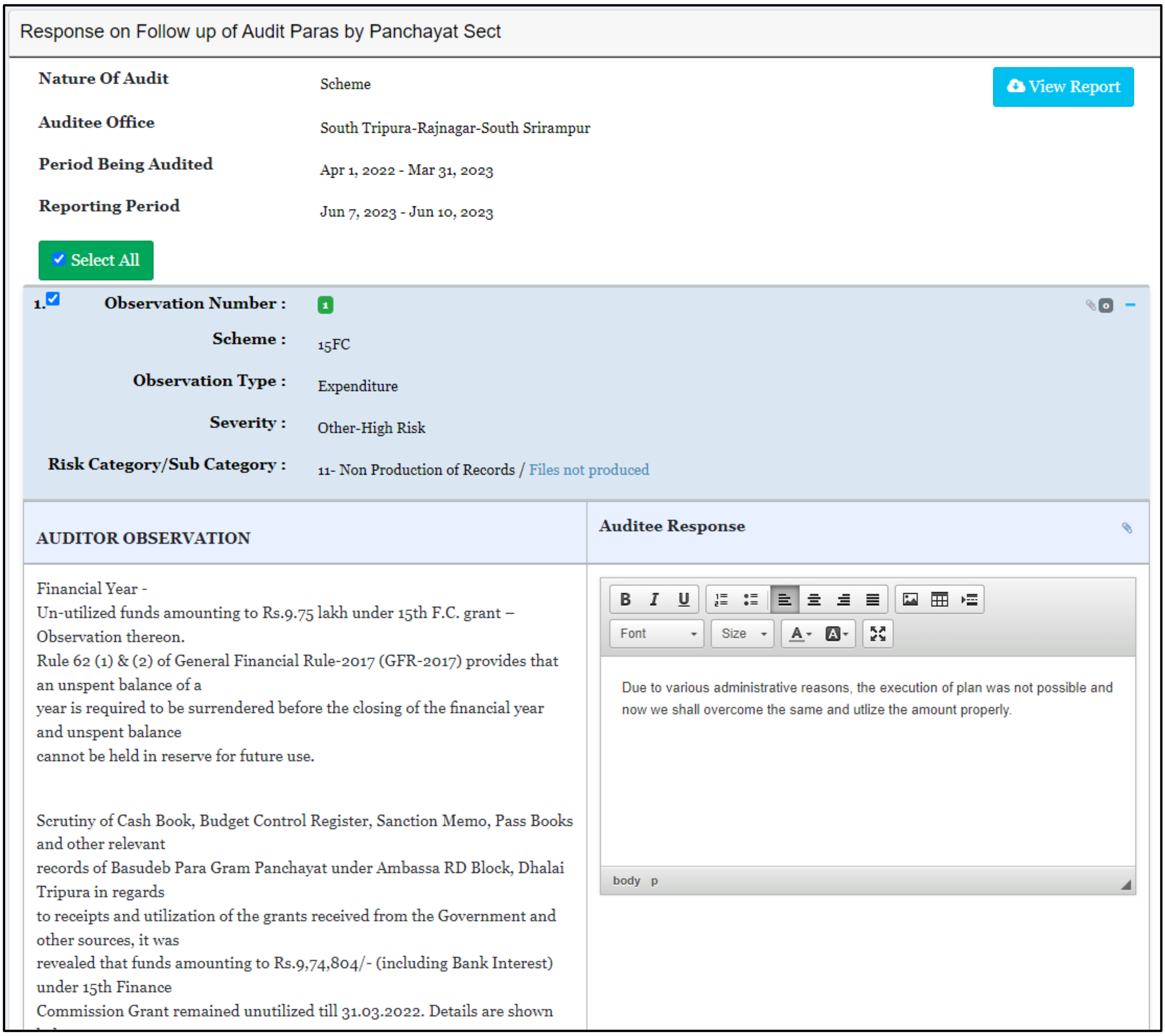


Fig: 5.6.5.11.1

The user can prepare response against each observation in the editor provided. The user can click on View Report button shown on the top right corner of the screen for viewing the PDF of the observations in the specified format. Refer **Fig 5.6.5.11.2**

Response on Follow up of Audit Paras by Panchayat Sect

Nature Of Audit Scheme

View Report

Auditee Office South Tripura-Rajnagar-South Srirampur

Period Being Audited Apr 1, 2022 - Mar 31, 2023

Reporting Period Jun 7, 2023 - Jun 10, 2023

Select All

1. **Observation Number :** 1

Scheme : 15FC

Observation Type : Expenditure

Severity : Other-High Risk

Risk Category/Sub Category : 11- Non Production of Records / Files not produced

AUDITOR OBSERVATION	Auditee Response
Financial Year - Un-utilized funds amounting to Rs.9.75 lakh under 15th F.C. grant – Observation thereon. Rule 62 (1) & (2) of General Financial Rule-2017 (GFR-2017) provides that an unspent balance of a year is required to be surrendered before the closing of the financial year and unspent balance cannot be held in reserve for future use. Scrutiny of Cash Book, Budget Control Register, Sanction Memo, Pass Books and other relevant records of Basudeb Para Gram Panchayat under Ambassa RD Block, Dhalai Tripura in regards to receipts and utilization of the grants received from the Government and other sources, it was revealed that funds amounting to Rs.9,74,804/- (including Bank Interest) under 15th Finance Commission Grant remained unutilized till 31.03.2022. Details are shown	B I U Font Size Due to various administrative reasons, the execution of plan was not possible and now we shall overcome the same and utlize the amount properly. body p

Fig: 5.6.5.11.2

Fig 5.6.5.11.3 shows the screen for attaching the supporting documents.

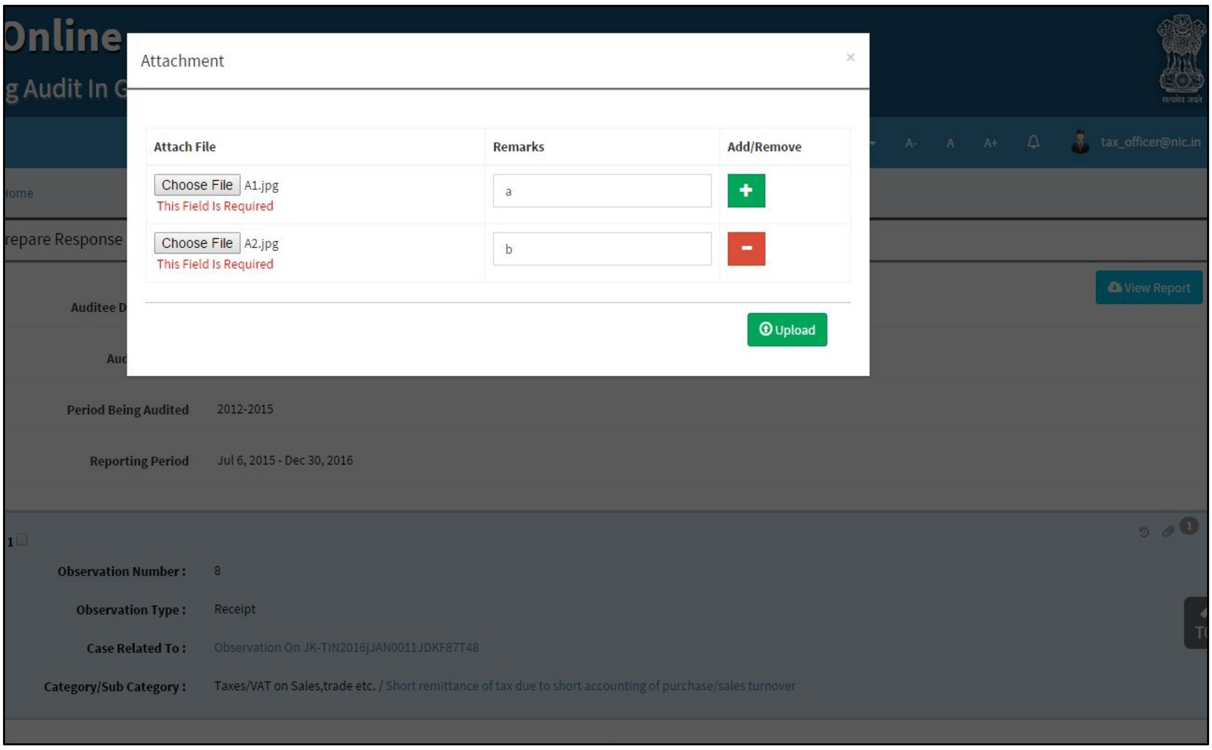


Fig: 5.6.5.11.3

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **Prepare Response**. You can act on the task by clicking the task name in **Inbox** where **Prepare Response** task type has been specified**.**

Flow of Form

To prepare response to the objections raised, you need to follow the steps given below:

1. You should login into the application as **a workflow player** and have privileges to prepare response.
2. Click on **Inbox→ {Task Name} where Prepare Response** task type is shown. A page will open on the screen which will list down the observations which requires to be responded by the Auditee party.
3. Brief details of the observations such as **Observation Number**, **Observation Type**, **Case Related to**, **Category** and **Sub Category details** would be shown.
4. Click on the plus given on the right side of the observation details to expand the observations and view the complete details.
5. The user can prepare the response against each observation in the editor provided.
6. The user can also click on attachment icon for attaching the files.

7. The user can click on **View Report** button located on the top right corner of the page for downloading the PDF prepared by Auditor party consisting of the observations belonging to a particular report type.
8. The user can also click on **Generate Report** button for exporting the response against the observations in the form of PDF if it has been configured in the process flow against the task. The button **Generate Report** will only be active if the same has been configured in the process flow and the report template has been defined for this report type. The generated PDF will print the response in the format specified for its report type like Audit Enquiry, Local Audit Report, Draft Note and Draft Para.
9. If the **chapters** have been defined in the report template, the user will also be required to attach the file against the chapters to merge those individual files and prepare a PDF in the format specified. Other things like **Subject** can also be configured in the report template which will prompt the user to enter the subject on the user interface for including it as part of PDF.
10. If the task has been configured in a way where instead of all the observations being responded at a time, individual observations can be responded at different times, then the user will also be prompted to select the Check box for sending the response.
11. Click on **Save and Send** button to save the response against the observations and send to the next user for taking the necessary action. Data once saved will be available for updating trough the Inbox/Drafts tab on the left menu.
12. On clicking **Save and Send** button, the next user to whom the task is to be sent will be shown on the page. Select the task by clicking on the radio button and selecting the corresponding user who will be privileged to perform that task and click on Send button.
13. Click on **Close** button to abort the sending operation and return it to the home page. When the close button is clicked, the user can return to this page by clicking on Inbox-> **{Task name} where Prepare Response task type** is shown and send the response to the next user or update the existing prepared response.
14. When the user returns to this page after aborting the sending operation, the user can also update the response and click on **Update and Send** button to send the response to the next task.

<u>**Validations/Error Messages**</u>

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Please attach the files against the chapters	This indicates that if the Chapterization is defined in the report template belonging to this report type, it is mandatory to attach a file against each chapter.	Attach a file against each chapter defined.
2	Report Template is not defined.	This indicates that it is mandatory to specify the report template for exporting the observations in PDF.	Add the Report template for this Report type by logging into the system through Department Admin credentials.
3	This field is required	This indicates that it is mandatory to prepare the response against one observation at least.	Please specify the response against one observation at least.
4	Enter the subject	This indicates that if the subject is defined in the report template belonging to this report type, it is mandatory to specify the subject.	Specify the subject in the area provided.

5.6.5.12 Auditee Review Response

Brief Description

The main purpose of this form is to allow the user belonging to the Auditee party to review the response given by another Auditee user part of the workflow and give its own remarks. The user can see the objections raised by the Auditor, review the response given by other users against each observation through View trail, review the already attached files and attach its own supporting documents for substantiating the response and finally give its own remarks.

In **Fig 5.6.5.12.1**, you can see a sample screen of the **Auditee Review Response** page.

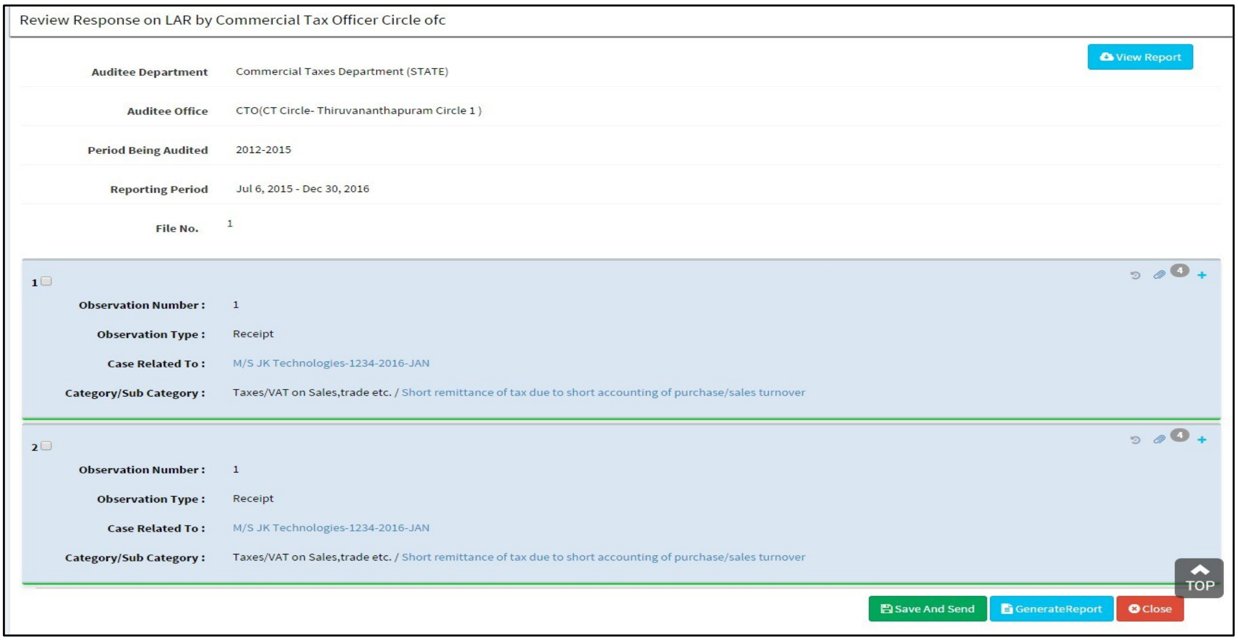


Fig: 5.6.5.12.1

The user can review the response given by the previous user and prepare its own remarks. By default, the remarks of the previous user will be populated in the text editor. The user can also click on View Report button shown on the top right corner of the screen for viewing the PDF of the observations in the format specified. Refer **Fig 5.6.5.12.2**

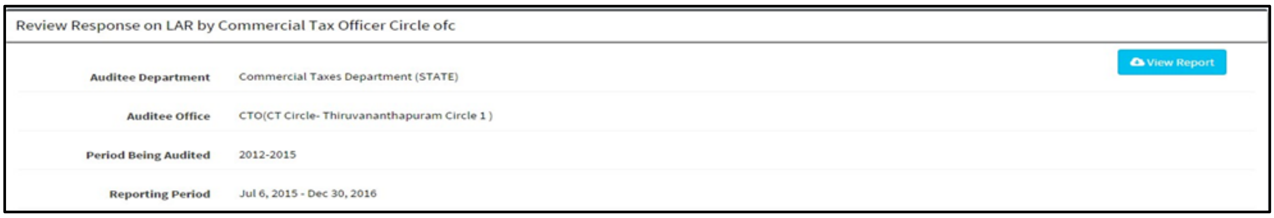


Fig: 5.6.5.12.2

Fig 5.6.5.12.3 shows the screen for attaching the supporting documents.

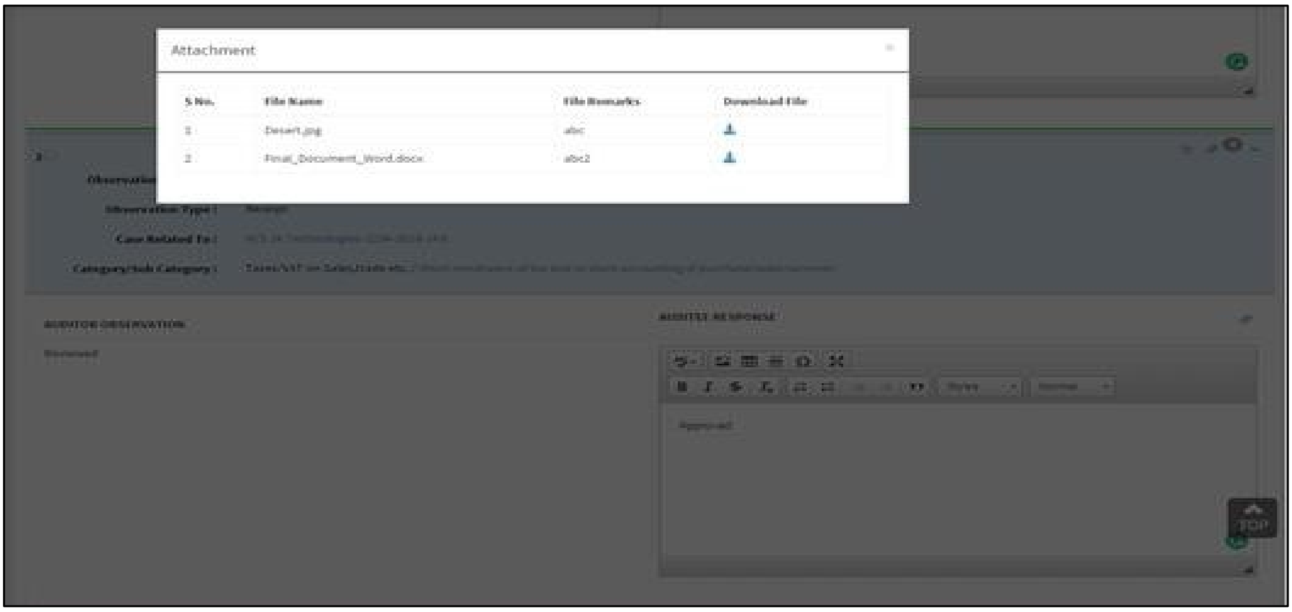


Fig: 5.6.5.12.3

Pre-Condition

You should login into the application as **a workflow player** and have privilege to **Auditee Review Response**. You can act on the task by clicking the task name in **Inbox** where **Auditee Review Response** task type has been specified**.**

Flow of Form

To review response to the objections raised, you need to follow the steps given below:

1. You should login into the application as **a workflow player** and have privileges to review response.
2. Click on **Inbox→ {Task Name} where Auditee Review Response** task type is shown. A page will open on the screen which will list down the observations which requires to be reviewed by the Auditee party.
3. Brief details of the observations such as **Observation Number**, **Observation Type**, **Case Related to**, **Category** and **Sub Category details** would be shown.
4. Click on the plus given on the right side of the observation details to expand the observations and view the complete details.
5. The user can review the response against each observation.
6. The user can also click on attachment icon  for attaching the files.
7. The user can click on **View Report** button located on the top right corner of the page for downloading the PDF prepared by Auditor party consisting of the observations in the format belonging to a particular report type.
8. The user can also click on **Generate Report** button for exporting the response against the observations in the form of PDF if it has been configured in the process flow against the task. The button **Generate Report** will only be active if the same has been configured in the process flow and the report template has been defined for this report type. The generated PDF will print the response in the format specified for its report type like Audit Enquiry, Local Audit Report, Draft Note and Draft Para.
9. If the **chapters** have been defined in the report template, the user will also be required to attach the file against the chapters to merge those individual files and prepare a PDF in the format specified.
10. Other things like **Subject** can also be configured in the report template which will prompt the user to enter the subject on the user interface for including it as part of PDF.
11. If the task has been configured in a way where instead of all the observations being responded at a time, individual observations can be responded at different times, then the user will be prompted to select the check box for selecting and sending the response.
12. Click on **Save and Send** button to save the response against the observations and send to the next user for taking the necessary action. Data once saved will be available for updating

through the Inbox/Drafts tab on the left menu.

13. On clicking **Save and Send** button, the next user to whom the task is to be sent will be shown on the page. Select the task by clicking on the radio button and selecting the corresponding user who will be privileged to perform that task and click on Send button.
14. Click on **Close** button to abort the sending operation and return it to the home page. When the close button is clicked, the user can return to this page by clicking on Inbox-> **{Task name} where Auditee Review Response** task type is shown and send the response to the next user or update the existing prepared response.
15. When the user returns to this page after aborting the sending operation, the user can also update the response and click on **Update and Send** button to send the response to the next task.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Please attach the files against the chapters	This indicates that if the Chapterization is defined in the report template belonging to this report type, it is mandatory to attach a file against each chapter.	Attach a file against each chapter defined.
2	Report Template is not defined.	This indicates that it is mandatory to specify the report template for exporting the observations in PDF.	Add the Report template for this Report type by logging into the system through Department Admin credentials.
3	This field is required	This indicates that it is mandatory to prepare the response against one observation at least.	Please specify the response against one observation at least.
4	Enter the subject	This indicates that if the subject is defined in the report template belonging to this report type, it is mandatory to specify the subject.	Specify the subject in the area provided.

5.6.5.13 Forward Auditor Observations

Brief Description

The main purpose of this form is to allow the user belonging to the Auditee party to forward the observations to another Auditee user to prepare the necessary response. The user can prepare the response oneself or simply forward the observations to another user for taking the necessary action in preparing the response. The user can see the Auditor observations, view trail of other users who have responded or attach supporting files to substantiate the response.

In **Fig 5.6.5.13.1**, you can see a sample screen of the **Forward Auditor Observations** page.

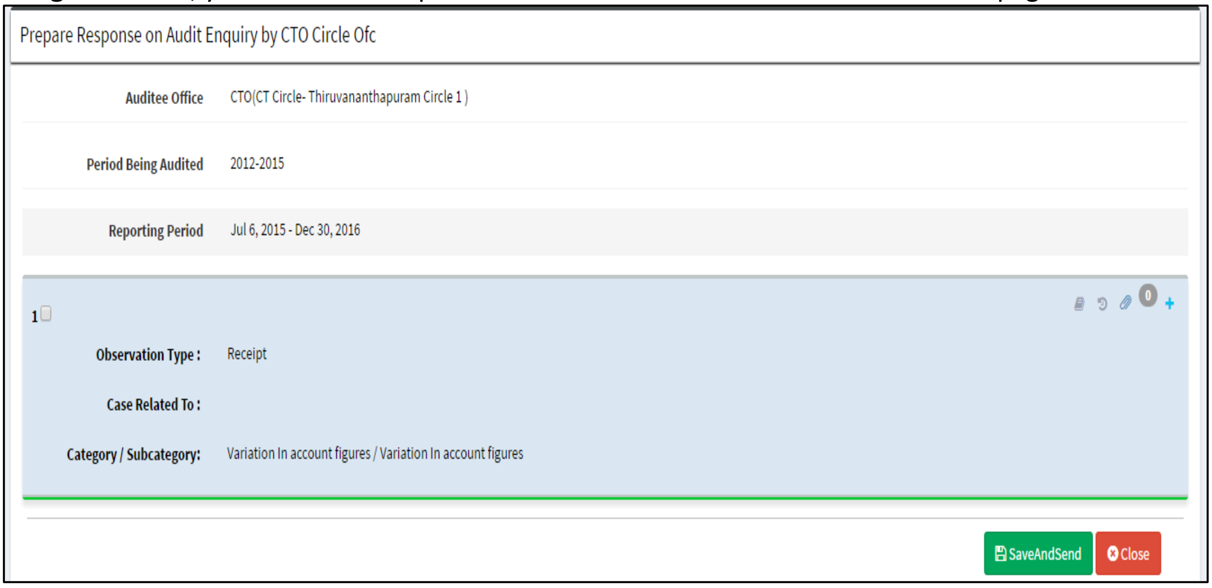


Fig: 5.6.5.13.1

The user can prepare response against each observation in the editor provided. The user can click on View Report button shown on the top right corner of the screen for viewing the PDF of the observations in the specified format. Refer **Fig 5.6.5.13.2**

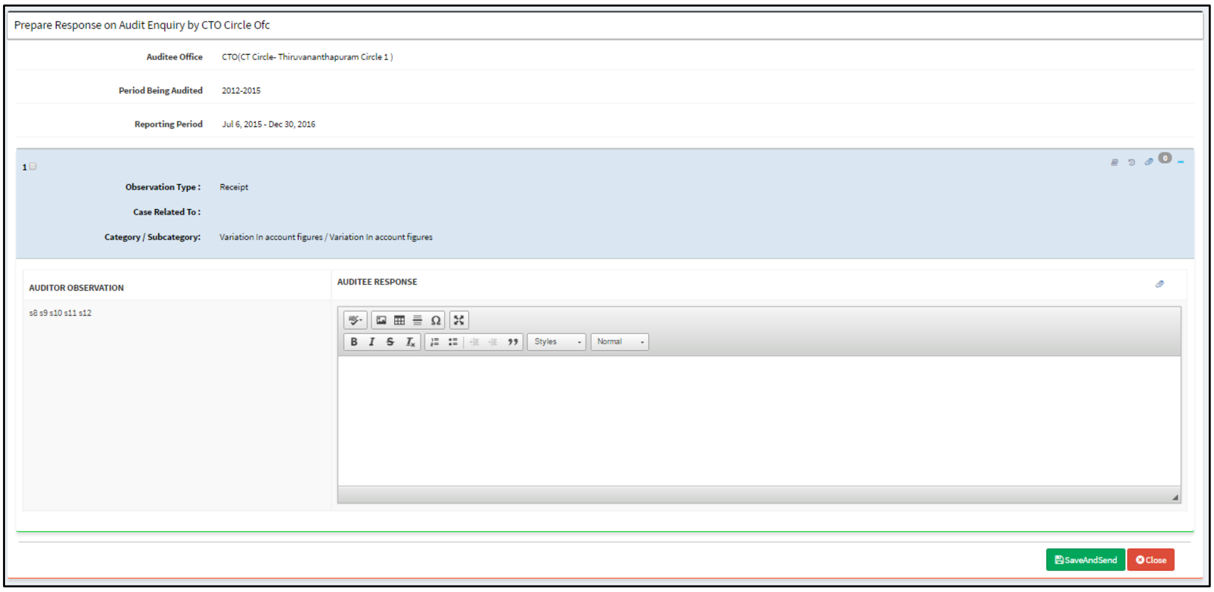


Fig: 5.6.5.13.2

Fig 5.6.5.13.3 shows the screen for attaching the supporting documents.

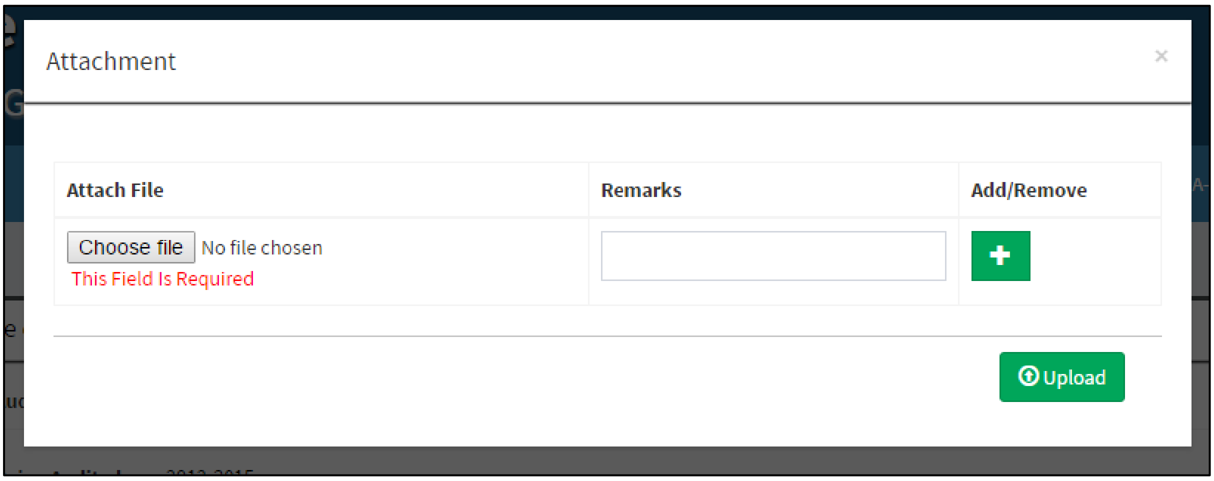


Fig: 5.6.5.13.3

<u>Pre-Condition</u>

You should login into the application as **a workflow player** and have privilege to make **Forward Auditor Observations**. You can act on the task by clicking the task name in **Inbox** where **Forward Auditor Observations** task type has been specified**.**

<u>Flow of Form</u>

To forward observations/prepare response on the objections raised, you need to follow the steps as given below:

1. You should login into the application as **a workflow player** and have privileges to prepare response.
2. Click on **Inbox→ {Task Name}** where **Forward Auditor Observations** task type is shown. A page will open on the screen which will list down the observations which requires to be responded by the Auditee party.
3. Brief details of the observations such as **Observation Number**, **Observation Type**, **Case Related to**, **Category** and **Sub Category details** would be shown.
4. Click on the plus given on the right side of the observation details to expand the observations and view the complete details.
5. The user can prepare the response against each observation in the editor provided or can simply forward the observations to another Auditee user for taking the necessary action.
6. The user can also click on attachment icon for attaching the files.
7. The user can click on **View Report** button located on the top right corner of the page for downloading the PDF prepared by Auditor party consisting of the observations belonging to a particular report type.

8. The user can also click on **Generate Report** button for exporting the response against the observations in the form of PDF if it has been configured in the process flow against the task. The button **Generate Report** will only be active if the same has been configured in the process flow and the report template has been defined for this report type. The generated PDF will print the response in the format specified for its report type like Audit Enquiry, Local Audit Report, Draft Note and Draft Para.
9. If the **chapters** have been defined in the report template, the user will be required to attach the file against the chapters to merge those individual files and prepare a PDF in the format specified.
10. Other things like **Subject** can also be configured in the report template which will prompt the user to enter the subject on the user interface for including it as part of PDF.
11. If the task has been configured in a way where instead of all the observations being responded at one time, individual observations can be responded at different times, then the user will also be prompted to select the check box for selecting and sending the response.
12. Click on **Save and Send** button to save the response against the observations and send to the next user for taking the necessary action. Data once saved will be available for updating through the Inbox/Drafts tab on the left menu.
13. On clicking **Save and Send** button, the next user to whom the task is to be sent will be shown on the page. Select the task by clicking on the radio button and selecting the corresponding user who will be privileged to perform that task and click on Send button.
14. Click on **Close** button to abort the sending operation and return it to the home page. When the close button is clicked, the user can return to this page by clicking on Inbox-> **{Task name} where Forward Auditor Observations** task type is shown and send the response to the next user or update the existing prepared response.
15. When the user returns to this page after aborting the sending operation, the user can also update the response and click on **Update and Send** button to send the response to the next task.

Validations/Error Messages

As you proceed, it may be possible that you are encountered with one of the following messages or errors:

Sr. No.	Message	Reason	Expected Action
1	Please attach the files against the chapters	This indicates that if the Chapterization is defined in the report template belonging to this report type, it is	Attach a file against each chapter defined.

		mandatory to attach a file against each chapter.	
2	Report Template is not defined.	This indicates that it is mandatory to specify the report template for exporting the observations in PDF.	Add the Report template for this Report type by logging into the system through Department Admin credentials.
3	Enter the subject	This indicates that if the subject is defined in the report template belonging to this report type, it is mandatory to specify the subject.	Specify the subject in the area provided.

*******************END **********************