Consolidated Audit and Compliance System (CACS)/Tracking Audit Consolidated System (TRACS) - Mission User Guide

An Additional Help for ADS Chapter 220

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1.1	6/8/2012	DWitmeyer	Updated after Cairo and OAA pilots
1.2	7/5/2012	DWitmeyer	Updated after OAPA training
1.3	8/15/2014	DWitmeyer/DTravis	Updated per changes made in ASIST 3.11
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1.5	11/12/2015	DWitmeyer	Updated through ASIST 4.2
1.6	12/23/2015	DWitmeyer	New changes from customer
1.7	8/12/2016	DWitmeyer	Updated to include changes made in ASIST 4.5
1.8	8/17/2018	J Tobin	Accepting most M/CFO/ICFO revisions (summer 2017) to reflect release content up to and including ASIST 4.7, as well as ensure all Figures are captioned, all hyperlinks and URLs function properly, and numbering orders are correct

Version #	Date	Author/Validation	Description
1.9	10/17/18	J. Roberts	Corrected number formatting

TABLE OF CONTENTS

* NOTE: As per revisions to ADS 220, the PFMRAF and corresponding "Stage 1 - Rapid Appraisal" and "Stage 2 - Risk Assessments" are now replaced by a comprehensive Partner Government Risk Assessment Framework and process. To the extent that the terms "PFMRAF," "Stage 1," and "Stage 2" are used in this guide, they are solely for the purpose of pointing users to the correct ASIST /TRACS cabinet and folder names. These cabinet and folder naming conventions are pending update by CIO to correspond with ADS 220 revision.

1. Introduction

This guide is intended to provide USAID officials at overseas action offices with the information and instruction they need to use the Tracking Audit Consolidated System (TRACS) within the Agency Secure Image and Storage Tracking (ASIST) System. TRACS is used to capture required financial reviews, pre-award surveys, local currency trust fund audits and annual audits on foreign based for-profit, non-profit, and governmental organizations. These include Recipient Contracted Audits (RCAs), Agency Contracted Audits (ACAs), and audits performed by a Supreme Audit Institution (SAI). In addition, TRACS is used to capture required documentation as part of G2G risk management and risk assessment.

1.1 Background

TRACS is an implementation of the Agency Secure Image and Storage Tracking (ASIST) application; it leverages the existing standard features available in ASIST. ASIST is based on Documentum, which is an M/CIO approved commercial off-the-shelf (COTS) software product. TRACS users are ASIST users with access to the **CACS_TRACS** cabinet.

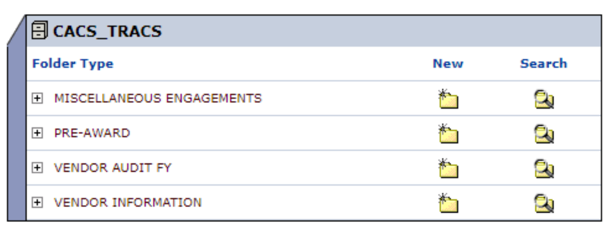
- The newer G2G Risk Management (**CACS_PFMRAF)** cabinet is now the repository for all required documentation as part of G2G risk management and risk assessment. See Section 6.1, for details. Users with access to the **CACS_TRACS** cabinet should also have access to the G2G Risk Management (**CACS_PFMRAF)** cabinet.

TRACS is designed to be used by both Mission Financial Management (FM) officials and M/CFO/APC staff in Washington, as well as by the Cost, Audit and Support Division of the Office of Acquisition and Assistance (M/OAA/CAS) for tracking annual vendor audits and for a variety of other related assurance activities.

TRACS aids in the tracking of pre-award surveys, annual vendor audits, and a variety of other vendor reviews and engagements. It supports the creation of the annual Audit Inventories and Audit Plans and also provides for the automated generation of Delinquency Letters.

1.2 Folders

With the release of ASIST 4.6, the **CACS_TRACS** cabinet houses four new, custom folder types:



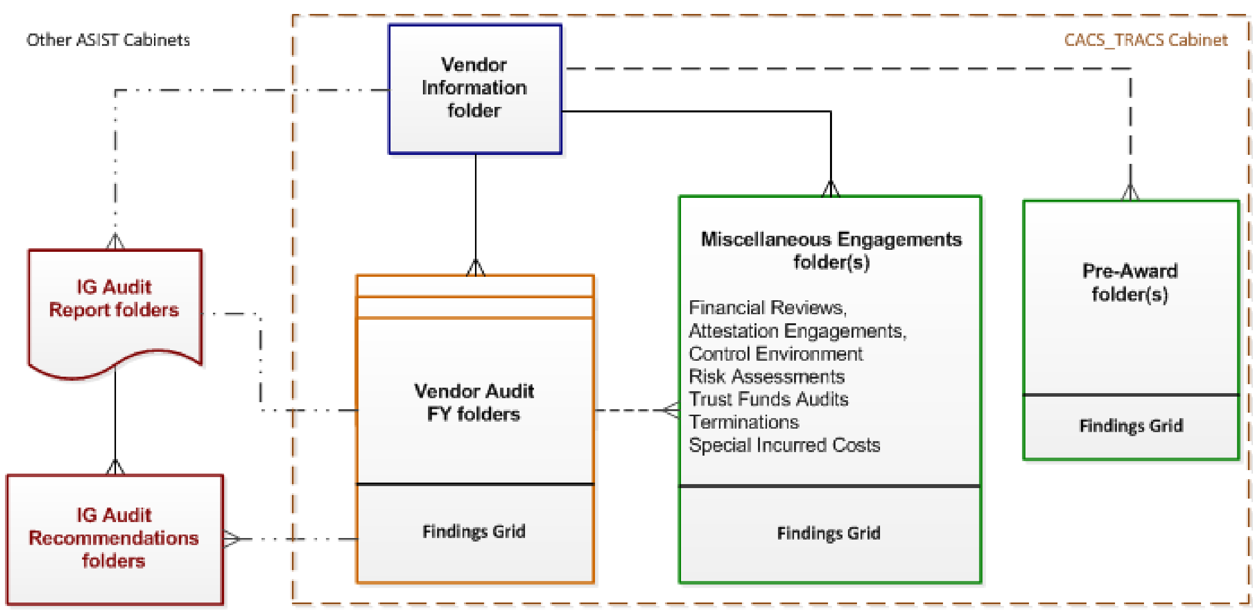
- Miscellaneous Engagements (ME) folders
- Pre-Award (PA) folders to include G2G assessments.
- Vendor Audit Fiscal Year (VAFY) folders
- Vendor Information (VI) folders

There will be one VI folder for each vendor that is tracked in TRACS. The VI folders are the parent folders, with all VAFY and ME folders, and some PA folders, linked to the VI folder for the vendor that is being audited/reviewed/surveyed/etc.

Some of the data for the VI folder is imported from Phoenix, via PhoenixViewer. This data, and some other data that is entered by TRACS users, is then copied into the VAFY and ME folders when they are created. When this data is updated in a VI folder, the corresponding data in any associated VAFY and ME folders is automatically updated to match.

Some award data in VAFY folders is imported from Phoenix via PhoenixViewer. Some of the other data in the VAFY folders is imported from ASIST Audit Report and Audit Recommendations folders.

The figure below shows some of the relationships among the TRACS folders, and with outside folders in ASIST.



2. Automated Folder Creation

TRACS provides automated creation of two types of folders:

1. Vendor Information (VI) folders are created automatically after an obligation is made based on certain obligation criteria.
2. VI folders are created for those newly added or newly qualified vendors that do not already have a VI folder in TRACS.
3. At folder creation, vendor data is copied from PhoenixViewer to specified fields in the ASIST VI folder.
4. When a VI folder is created automatically, an automated email notification is sent to each action office that has an obligation with the vendor. When you receive one of these, please supply or update the data in the folder.
5. VI folders can also be manually created by users as needed, but rarely should this option be used. See Section 3.2
6. A Vendor Audit Fiscal Year (VAFY) folder is created automatically by ASIST, at the end of each Vendor's fiscal year, for the audit of the preceding FY. In addition, for vendors with a FY-end between November 1 through December 31, a VAFY folder will be created on November 1 so it can be captured in the annual audit plan.
7. This process is run monthly (at the beginning of the month).
8. A folder is created for each vendor whose FY ended in the preceding calendar month, except:
    - If the VI folder is marked as not needing a VAFY folder, in the "**Allow VAFY Folders?"** field
    - The vendor has no expenditures for its last fiscal year.
9. This process uses the **Vendor FY End (mmdd)** date that is listed in the VI folder for each vendor.
    - If that field is not populated (either from Phoenix or manually), then the vendor is treated as if their FY ends on 1231 (December 31st). If the vendor's FY ends on 1231, a VAFY folder will be created on November 1 to ensure the folder in created during the audit plan creation process.
10. The data in the **Vendor** section of the VI folder is copied into the new VAFY folder at creation.
11. The value for the **Audit Cognizant Organization** field is copied from the VAFY folder for the previous FY.
    - This value needs to updated if the Audit Cognizant Organization has changed since the previous FY.
12. Award data is copied from PhoenixViewer to the **Award Details** table/grid of the new VAFY folder.
13. Award data in the **Award Summary** section is calculated using the data in the **Award Details** table/grid.

14. VAFY folders can also be manually created by users as needed. See Section 4.2

3. Vendor Information Folders

Vendor Information (VI) folders are used in TRACS to store the general data and documents about a vendor ─ information not related to a specific award, audit, or review. A VI folder for a vendor is needed before the annual audits (and most other reviews or engagements) for that vendor can be tracked in TRACS.

The VI folder is the **parent** folder that must be created before all of the folder types (except one, see below) for tracking annual audits or other engagements (for that vendor) can be created. These child folders are linked to the parent VI folder.

- The exception is Pre-Award folders, which are used for tracking the Pre-Award survey. Some of these vendors do not yet have USAID awards and therefore do not exist in Phoenix, so PA folders do not require the existence of a corresponding VI folder for the vendor.

3.1 Background Information

Before a VI folder can be created in ASIST, the vendor record must first exist in Phoenix. When a VI folder is created, it obtains the data for some of its critical fields from Phoenix. This data is periodically and automatically updated from Phoenix. To make this possible, the name of the VI folder in ASIST always is the same as Phoenix's "Vendor Code" for that vendor.

New VI folders are automatically created by TRACS, for any new Phoenix vendors of the types being tracked in TRACS. When this is done, edit rights are assigned based on the organization type and current awards.

- For US-based organizations, M/OAA is assigned edit rights.
- For Foreign-based organizations, edit rights are assigned to every Action Office that has a current contract/award with the vendor.

After the automated generation of VI folders, TRACS automatically sends an email to the Action Offices with edit rights, notifying them that they are responsible for completing the vendor's record.

Because the process for determining which Phoenix vendors are needed in TRACS is complex and not-quite-perfect, TRACS users are also able to manually create new VI folders when needed.

3.2 Manually Create a VI Folder

1. Open ASIST at the **My Home** page.
2. The left panel shows all of the ASIST cabinets to which you have access – this will include the **CACS_TRACS** cabinet (example from Figure 1).
3. Four folder types are listed for that cabinet, and for each folder type there are two icons – one for searching for folders of that type, and one for creating a new folder of that type.
4. Click on the **New** icon for the **Vendor Information** folder type.

5. The **Create New Folder** screen will open. The **Cabinet** and **Folder Type** fields will be auto-filled with **CACS_TRACS** and **Vendor Information**, respectively.

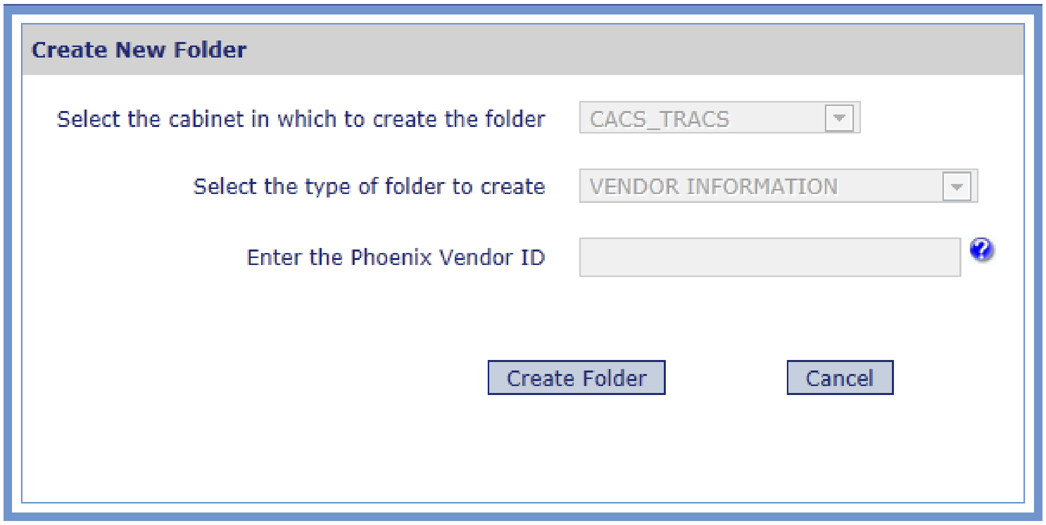


Figure 3 Manually Create a VI Folder

6. In the **Phoenix Vendor ID** field, enter the Phoenix Vendor Code for the vendor. This must be exactly as in Phoenix. This will become the Folder ID / name for the new folder and allows ASIST to update the folder with data from Phoenix.
7. Click on the **Create Folder** button at the bottom and the new VI folder will open


8. A pop-up message window will be displayed, warning you that the **Organization Type** field is critical and should be updated.
9. Click **OK** to close that window.
10. Some of the fields in the top, **Vendor** section are already populated with data from Phoenix.
11. See Section 3.4, below, for directions on entering and editing data in the folder.

3.3 Open the Folder

If you receive a automated notification email from ASIST, please open the folder referenced in the email and review it. Provide supplementary data when and wherever you can.

1. The email will contain a link to the VI folder to be updated. Click on the link.
2. ASIST will open at the VI folder in Chrome, at the **Information** tab/page.
3. You could open ASIST in Internet Explorer (IE) in the following manner: open IE and then copy and paste the folder link from the email into IE, where TRACS works better.

Otherwise, you can open ASIST manually.

- For instructions on opening ASIST, see Appendix A.
- You can search for the VI folder or any TRACS folder (or any other ASIST folder) in several ways ─ see Appendix B.

3.4 Enter/Update the Data

Enter data in or update all of the fields for which you know the information. Guidance for some specific fields is listed below.

- While Phoenix supplies some vendor data, most of the data in this folder need to be entered by users.
- Some of these fields are essential for tracking vendor audits, such as:
    1. PHX Vendor ID – must match the vendor code in Phoenix.
    2. Allow FY Folders? – must be set as ‘Allow’ in order to generate VAFY folders.
    3. Organization Type – designates the type of organization the vendor is.
    4. Vendor FY End (mmdd) – determines the audit due date and generates the VAFY folder.
- Some of the Phoenix-supplied data will need to be updated.

3.4.1 Vendor Section

The values in the fields in this section are automatically copied into the corresponding **Vendor** sections of any child audit folders that are linked to the parent VI folder; this includes all VAFY folders, all Miscellaneous Engagements (ME) folders, and any linked Pre-Award (PA) folders. These fields are read-only in those folders and so must be updated here.

1. Update the **Organization Type** field by selecting the correct value from the selection (drop-down) list.
    a. This is critically important, as the value imported from Phoenix may be invalid or incorrect.
        - The values that TRACS uses are different in some cases from the categories that Phoenix uses/supplies.

    b. Valid values include only:
        - US For Profit
        - US Non-Profit
        - Foreign-based For Profit
        - Foreign-based Non-Profit
        - Foreign Government
        - PIO

c. If current value is something other than these six values, it must be updated, unless the mission is Afghanistan or West Bank Gaza. Please select the correct vendor organization type.

d. This update is required before TRACS can generate the VAFY folders used to track annual audits.

2. The **Allow FY Folders** field will default to **Allow**. At this time, this field has been disabled in order to mitigate the risk that the TRACS Coordinator does not update this field when an annual audit becomes required; and therefore, the audit is not included on the annual audit plan.
3. Enter the **Vendor FY End (mmdd)**. This is the last month and day of the vendor's fiscal year.
    a. Please enter this date if blank, and update it if it is incorrect.
    b. This update is critical, since this influences the automated generation of the fiscal year (VAFY) folders and the accuracy of data used and displayed in those folders.
    c. Enter just the four digits, with the month first, and without any separator.
4. If there has been a pre-award audit or survey for this vendor (or one is ongoing) and a Pre-Award folder exists, enter that folder ID/name in the **Pre-Award Folder** field.
    a. When you save (by clicking on the **Save the Changes** link at the top left of the page) a link to that folder will be created.

    b. This folder link will be marked by a folder icon beside the folder name. Click on the folder icon to open the PA folder.
    c. If the folder icon is not displayed after saving the data, ASIST could not find a folder with that exact Folder ID/name that was entered. Correct the folder ID and save again.
    d. If more than one Pre-Award folder exists for the vendor, enter the folder ID for the most recent one.

3.4.2 Vendor Contact Information Section

In the **Vendor Contact Information** section, provide all available information.

1. This data will be used when generating Delinquency Letters, so it needs to be entered.
2. A suggested **Name** is "Chief of Party" to avoid having to update the contact person each time the point of contact changes.
3. For the two **Honorific** fields, if the desired honorific is not on the drop-down list:
    a. Select **Type In Here To Add An Option Not Listed**.
    b. Type in the alternative honorific value.

c. To change an alternative honorific after it has been saved, select **Type In Here To Add An Option Not Listed** again and then enter the new/revised honorific.

3.4.3 The Name Change and Novation Grids

The **Name Change** and **Novation** table grids are needed only if there has been a name change or a novation. To use these:

1. For each name change or novation, click on the **Add** Add button (for the appropriate grid) to insert a new row.
2. Enter the data for each field in the row.
3. To delete a row, mark the **Select** checkbox for that row, and then click on the Delete button for that grid.

3.4.4 Audit Summary Grid

The **Audit Summary** grid provides information about, and links to, any VAFY folders for the Vendor. These fields are auto-populated by TRACS when a VAFY folder is created for the Vendor, and are read-only.

1. The **Add** Add and **Delete** Delete buttons function the same as for the other grids.
2. The **Vendor Audit Folder ID** field for each row will have an ASIST folder link to the respective VAFY folder, marked by a folder icon beside the folder name.

15. Click on the folder icon to open the VAFY folder.

3.4.5 Records Management Section

The **Records Management** section contains the fields used by ASIST to store information about the folder. This section is collapsed by default.

1. The **Folder ID** is the folder name. For VI folders, this is the Phoenix Vendor Code for the vendor.

16. It should only be changed if the Phoenix Vendor Code for the vendor is changed in Phoenix, in order to preserve the capability for automated updates.

2. The **Folder Owner** is, by default, the same as the **Folder Creator**.

17. The **Folder Owner** can to changed, the **Folder Creator** cannot.

18. The current folder owner always has edit permission for the folder.

3. Relevant **Keywords** can be entered, for use when searching for the folder.

3.5 Attach Documents to a VI Folder

All ASIST folders support the attachment of documents to the folder. This is done on the **Attachments** tab/page.

- Documents can only be attached, or edited, by users with edit rights for the folder.

- For detailed instructions on attaching documents to an ASIST folder, see Appendix D.

4. Vendor Audit Fiscal Year Folders

Vendor Audit Fiscal Year (VAFY) folders are used to track the process for conducting required annual audits of vendors, as per ADS 591.

1. A VAFY folder for a vendor can only be created if a VI folder already exists for the vendor.
2. VAFY folders are named by adding a dash and the audit fiscal year to the name of the parent VI folder.
3. A new VAFY folder for a vendor will be created every year, unless otherwise indicated.

4.1 Automated Creation of VAFY Folders

At the beginning of each month, ASIST automatically creates a new VAFY folder for those vendors whose fiscal year ended during the preceding calendar month.

- This is determined by the value in the **Vendor Fiscal Year End (mmdd)** field in the parent Vendor Information (VI) folder for the vendor. If this field is blank, ASIST assumes that the value is "1231" (December 31st), and creates the folder on November 1. If there is a date entered, the VAFY folder will be created the beginning of the following month. For example, if the Vendor FY End is 0331, a VAFY folder will be created on April 1.

Certain other criteria must also be met. These criteria include

- The value for the **Allow FY Folders?** field (in the VI folder) is set to **Allow** (the default value).
- The value for the vendor's **Organization Type** is appropriate.
- The vendor has accrued expenditures in one of the included categories.

This automatic process will create most of the needed VAFY folders. If any needed folder is not created during this process, users can manually create that VAFY folder.

- This manual process is described below in section 4.2.

Edit permissions for each new VAFY folder are assigned according to these criteria:

- For all US based vendors, edit permissions are assigned to M/OAA.
- For all foreign-based vendors, edit permissions are assigned to all Action Offices that have any current awards/contracts with the vendor.
- Where multiple action offices have awards with a vendor, they must mutually determine which Action Office is responsible for the annual audit.

The value for the **Audit Cognizant Organization** field is copied from the VAFY folder for the previous FY, and is editable.

A notification email will be sent out after the folder generation, from CFO/APC to all of the Action Offices with edit permissions. This will include guidance and instructions. When you receive one of these notifications, please update the VAFY folders for the vendors your action office uses.

4.2 Manual Creation of a VAFY Folder

If the automated process fails to create a needed VAFY folder, any TRACS user with *Create* permissions can create a folder manually. If a VAFY folder is needed but no VI folder pre-exists in TRACS, a VI folder must be created first. See Section 3.2 (above) for directions on creating a VI folder.

1. Unless you are following a folder link in an email, ASIST normally opens at the **My Home** page.
2. The left panel shows all of the ASIST cabinets to which you have access – this will include the **CACS_TRACS** cabinet. See Figure 4, above.
3. Four folder types are listed for that cabinet, and for each folder type there are two icons – one for searching for folders of that type, and one for creating a new folder of that type.
4. Click on the **New** icon for the **Vendor Audit FY** folder type.
5. The **Create New Folder** screen will open, displaying four fields. See Figure 4 below.

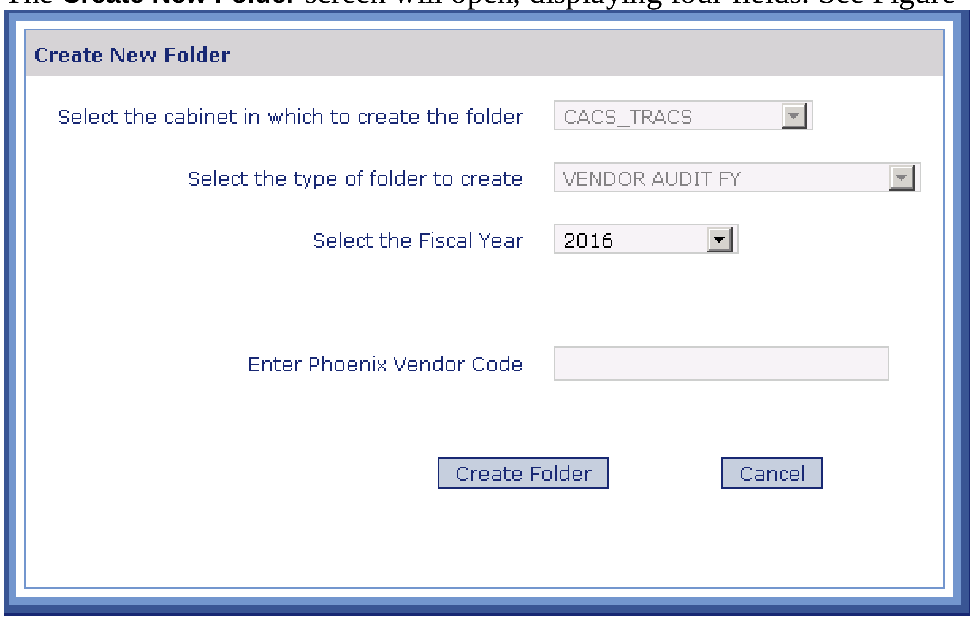


Figure 4 Create new VAFY Folder

- The Cabinet and Folder Type fields will be auto-filled with **CACS_TRACS** and **Vendor Audit FY**, respectively. These are read-only.
- The **Fiscal Year** field will be auto-filled with the current fiscal year.

6. If necessary, correct the **Fiscal Year** value to the vendor's FY of the annual audit that will be tracked in the folder.
7. In the **Phoenix Vendor Code** field, enter the Phoenix Vendor Code for the vendor.
   - This is the Folder ID (name) for the parent VI folder.
   - This will be used to construct the Folder ID / name for the new VAFY folder.

- This allows ASIST to update the folder with vendor data from the parent VI folder.

8. Click on the Create Folder button.
9. A pop-up window may be displayed, warning you that the **Organization Type** field is critical and should be updated.
   - This means that the **Organization Type** field needs to be populated, which must be done in the parent VI folder.
10. Click **OK** to close that message window.
11. The new VAFY folder will be opened, with some of the fields in the top, **Vendor** section already populated with data copied from the parent VI folder.
    - See section 4.4, below, for directions on entering data in the folder.

4.3 Open the Folder

If you receive one of the automated notification emails from ASIST, please open the folder and review it. Provide data when and where you can; see section 4.4, below.

1. The email will contain a link to the VAFY folder to be updated. Click on the link.
2. ASIST will open at the VAFY folder, on the **Information** tab/page.

Otherwise, you can open ASIST manually and log in.

1. For instructions on opening ASIST, see Appendix A.
2. You can search for a VAFY folder, or any TRACS folder (or any other ASIST folder) in several ways – see Appendix B.
3. Enter/Update the data as necessary.

4.4 Enter and Update the Data

Enter and update the data in the fields on the **Information** page of the VAFY folder. The description below is by page section, from top to bottom of the page.

4.4.1 Vendor Section

1. The **Phoenix Vendor ID** field has a link to the parent VI folder, marked by a folder icon.
   - If the folder icon is not present, the wrong vendor ID was entered (this could happen with manually created folders). This field should be edited to correct the value; this allows the link to be created by ASIST.
2. Most of the fields in this section (except the **Phoenix Vendor ID** and **Vendor FY End (mmdd)** fields) are read-only.
   - When a VAFY folder is created (automatically or manually), these fields are automatically filled with data copied from the corresponding fields in the **Vendor** section of the parent VI folder for the vendor.

3. To add or update missing or incorrect data for the read-only fields, open the parent VI folder by clicking on the folder icon, and then enter/update data there.
    - Any saved changes made in the VI folder (to the shared vendor data fields) will be copied to all child folders, including the VAFY folder, when the child folders are opened.
4. The **Vendor FY End (mmdd)** field can be updated here. When this update is saved:
    - The read-only **Submission /Audit Due Date** field will be updated.
    - The **Vendor FY End (mmdd)** field in the parent VI folder will also be updated.
5. The **E-Mail** field here is copied from the **E-mail** field for the Contact Person, in the **Vendor Contact Information** section of the VI folder.

4.4.2 Audit Data (all org types) Section

In the **Audit Data (all org types)** section, enter/update the data for the fields.

- The **Audit Fiscal Year** field is the vendor's fiscal year that is being audited.
- Select the correct **Action Office**, who will manage the audit. This field will also determine which audit plan the vendor will appear on.
- If a VAFY folder is automatically created but no vendor audit is actually needed in the specified year, this is indicated by selecting the reason from the list in the **Justification for No Audit** field.
- If the value for the **Indirect Expenditure Reporting Request** field is set to **Yes**, provide the reason for that request in the **Reason Requested** field.
- If the value for the **Combine with another VAFY Folder** field is set to **Yes**, enter the folder ID for that other VAFY folder in the **VAFY Folder ID** field. ASIST will create a folder link to that folder, on save.
    - If no folder link is created, the folder ID was entered wrong; no folder exists with the ID that was entered.
- The Delinquency Letter Generated Date is read-only. It is populated by TRACS with the most recent date that a delinquency letter was generated for this VAFY folder, if one has been generated.
    - Section 8.2 in following pages provides information on generating delinquency letters.

4.4.3 Disbursements Section

In the **Disbursements** section, two fields are calculated by ASIST, and one field needs to have data entered by users.

1. The amount for **Disbursements Against Direct Awards** is calculated by TRACS, summing the values in the **Total Adjusted Exp. to Vendor's FY** column, for all obligations listed in the **Obligation Details** grid (below). That column's fields are populated with all

Transaction Events coded as “DISB” from Phoenix, when the folder is created, only if it is generated automatically by ASIST.

2. Users enter the amount for the **Disbursements Against Indirect Awards** field, if any are known.
3. TRACS calculates the **Total Disbursements** amount as the sum of the other two fields, whenever the user saves the page by selecting the **Save the Changes** link at the top left of the tab/page.

4.4.4 Audit Data (Organization Type) Section

The value selected in the **Organization Type** field will be displayed in parentheses in this section header, and will determine exactly which fields are displayed in this section.

1. The value for the **Audit Cognizant Organization** field is copied from the VAFY folder for the previous FY.
    - Update this value if the Audit Cognizant Organization has changed since the previous FY.
2. The **Submission/Audit Due Date** is calculated by TRACS, based on the values in the **Organization Type** and the **Vendor Fiscal Year End (mmdd)** fields.
    - If the **Organization Type** field is blank, or if the **Organization Type** is not valid (not one of the values on the selection list for that field), no date is shown here.
    - If the **Organization Type** field is populated with a valid value, but the **Vendor Fiscal Year End (mmdd)** field is blank, a value of “1231” for that latter field is used in calculating the **Submission/Audit Due Date**.
    - To indicate a different **Submission/Audit Due Date**, utilize the **Submission/Audit Extension Date** field below.
3. The **Agency Contract Audit Type** as either an Agency Contracted Audit (ACA) or a Recipient Contract Audit (RCA).Indicate a different audit due date in the **Submission/Audit Extension Date** field if the system generated due date is not correct.
4. Enter the date the final audit report was received at USAID in the **Audit Report Received Date** field.
5. Enter the **Period Covered by Audit Start and End Dates**.

4.4.5 Cumulative Obligations (as of US FY end) Section

These three fields are editable.

- The **Total Current Obligation** amount is calculated by TRACS when the folder is created, as the sum of the amounts for the listed obligations in the **Obligation Details** grid, as shown in the **Total Oblig, (as of US FY)** field/column. (See section 4.4.6, below.)

4.4.6 Obligation Details Grid

The **Obligation Details** grid/table is populated (at folder creation, for automatically generated folders) with obligation data from Phoenix. Most fields are read-only

1. The **Start** and **End Dates** may need to be adjusted to capture the entire award period.
2. The **Total Exp. To Vendor's FY** amount is read-only (from Phoenix).
3. The **Exp. Adjustment** field is editable; this amount is entered by the user when an adjustment is needed to the calculated (read-only) amount for **Total Exp. To Vendor's FY**, for any reason. This adjustment can be a positive or negative amount. For negative amounts, use a minus sign immediately before the number, without a space between.
4. The **Total Adjusted Exp. to Vendor's FY** is calculated by TRACS, and therefore is read-only. It is the sum of the amounts in **Total Exp. To Vendor's FY** plus **Exp. Adjustment**.
5. The four fields on the right pertaining to excluding awards from the Audit Inventory or Plan can be updated both here and on the Audit Inventory/Audit Plan screen. (See Section 9)

4.4.7 OIG Transmitted Information Section

The **OIG Transmitted Information** section tracks what happens after the audit report is submitted to OIG/RIG by the Action Office.

1. The **Date of Submission of Report to IG** field is entered manually by the submitting Action Office.
2. If the OIG has issued a report, enter the **OIG Audit Report Number** in that field. This is also the folder ID for the corresponding Audit Report folder. Then select **Save the Changes**, at the top of the page/tab. TRACS will create a link to the corresponding Audit Report folder (in ASIST).

3. Click on the folder icon to open that Audit Report folder.
4. You can return to the VAFY folder by using the Back arrow button at the top left corner of the ASIST window.

5. Note that while any user with access to the CACS-TRACS cabinet can view your VAFY folder and this link, only users with access to the specified Audit Report folder will be able to follow the link and open that folder.
6. The **Date issued by OIG** and the **Date IG Report Received** fields may differ because the date the Operating Unit actually received the report may be long after the date the OIG issued the report.
7. The **6 Month Date** field is read-only. Its value is calculated by ASIST from the value entered in the **Date issued by OIG** field.

4.4.8 OIG Audit Resolution Grid

The **OIG Audit Resolution** grid/table is automatically populated when the user enters the **OIG Audit Report Number** (in the **OIG Transmitted Information** section, immediately above).

1. One grid row is created for each Audit Recommendation folder that is associated with the entered **OIG Audit Report Number**, and data is copied from those folders to this grid.
2. Because most of this data is copied from another cabinet, most of the fields are read-only here.
3. The **Assigned To** field copies data from the **Auditee** field in the Audit Recommendation folder but is editable here.
4. The **Comments** field data is also copied from the Audit Recommendation folder and is editable here.

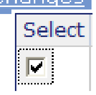
4.4.9 Referenced Folders Grid

The **Referenced Folders** grid provides the capability to create links to other ASIST folders that may be relevant to this annual audit.

1. To add a folder link, first add a row to the grid by clicking on the **Add** button. 

2. Enter the **ASIST Folder ID**.
3. Enter an **ASIST Folder Description** for each folder link, to better identify it.
4. Then select **Save the Changes**, at the top left of the tab/page. 

5. To delete a link, first select the row to be deleted by marking the **Select** checkbox for that row, and then click on the **Delete** button. 

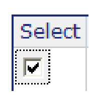


4.4.10 Meeting Grid

The **Meeting** grid is used to record information about the meetings related to the audit, with one row for each meeting.

1. To add a row / meeting, click on the **Add** button. 

2. Enter / update the information about the meeting.
3. To delete a meeting, first select the row to be deleted by marking the **Select** checkbox for that row, and then click on the **Delete** button. 



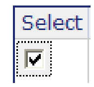
4. A **Sequence Number** can be entered for each meeting.
5. The **Meeting Attendees** field will accept up to 500 characters, and **Comments/Notes** will accept up to 2000.

4.4.11 Findings Grid

The **Findings** grid provides the capability to track the resolution process for any audit findings. This is used by the Action Office for those audits that do not receive an OIG/RIG review and report/recommendations.

1. Add a row for each finding by clicking on the **Add** button. 

2. To delete a link, first select the row to be deleted by marking the **Select** checkbox for that row, and then click on the **Delete** button. 



3. Enter and update the data as it becomes available.
4. The **Findings Narrative**, **Findings Agreed by USAID**, **Reasons to Consider as Finding**, and **Corrective Action** fields are large and will accept up to 2000 characters (including spaces and punctuation).

4.4.12 Records Management Section

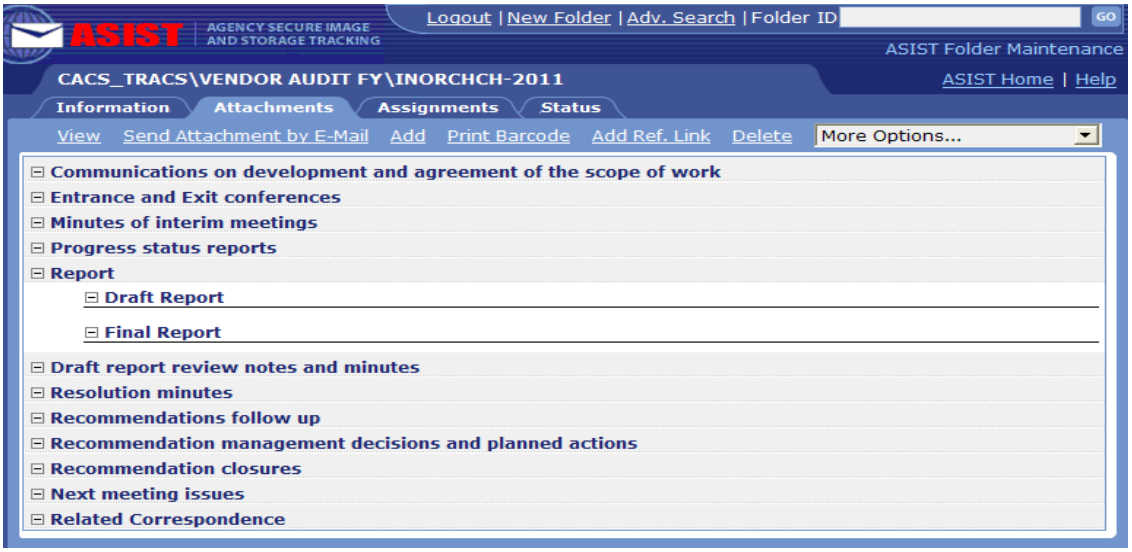
The **Records Management** section contains the fields used by ASIST to store information about the folder. This section is collapsed by default.

1. The **Folder ID** is the folder name. For VAFY folders, this is composed of the Phoenix Vendor Code for the vendor plus the four-digit FY of the audit: [*Phoenix Vendor Code*]-[*FY*].
    - It should only be changed if the Phoenix Vendor Code for the vendor is changed in the parent Vendor Information folder.
2. The **Folder Owner** is, by default, the same as the **Folder Creator**.
    - The folder owner always has edit permission.
3. Relevant **Keywords** can be entered, for use when searching for the folder.

4.5 Attaching Documents to a VAFY Folder

All ASIST folders support the attachment of documents to the folder. This is done on the **Attachments** tab/page. The Vendor Audit Fiscal Year folder type has a number of attachment types. See Figure 5, below.

For detailed instructions on attaching documents to an ASIST folder, see Appendix D.


ASIST
AGENCY SECURE IMAGE AND STORAGE TRACKING
Logout | New Folder | Adv. Search | Folder ID
GO
ASIST Folder Maintenance
CACS_TRACS\VENDOR AUDIT FY\INORCHCH-2011
ASIST Home | Help
Information
Attachments
Assignments
Status
View
Send Attachment by E-Mail
Add
Print Barcode
Add Ref. Link
Delete
More Options...
Communications on development and agreement of the scope of work
Entrance and Exit conferences
Minutes of interim meetings
Progress status reports
Report
Draft Report
Final Report
Draft report review notes and minutes
Resolution minutes
Recommendations follow up
Recommendation management decisions and planned actions
Recommendation closures
Next meeting issues
Related Correspondence

5. The Pre-Award (PA) Folder

Pre-Award folders are used to track pre-award audits or surveys of prospective recipients for awards, per ADS 591.3.3.1. They are also the correct folder type for tracking Government-to-Government (G2G) required documentation as part of G2G risk management and risk assessment Assessments and mitigations, per ADS 220.

Pre-Award folders are currently found in two separate cabinets: **CACS_TRACS** and **CACS_PFMRAF**. The folder type is identical in both cabinets, but the folders are segregated based on the value in the **Type of Pre-Award** field.

- If the **Type of Pre-Award** is “PFMRAF - Stage 1", "PFMRAF - Stage 2", "(now classified as G2G Risk Management as per ADS 220) or "G2G Pre-Award Survey (Non-PFMRAF)” then the folder can only be created in the **CACS_PFMRAF** cabinet.
- If the value is "Comprehensive", "Fixed Obligation Grant (FOG) Checklist", "Limited", or "NUPAS (Non-US Pre-award Survey)", then the folder can only be created in the **CACS_TRACS** cabinet.

The following subsections detail the process of creating Pre-Award folders in the **CACS_PFMRAF** cabinet (for use with all information and documents related to G2G Risk Management).

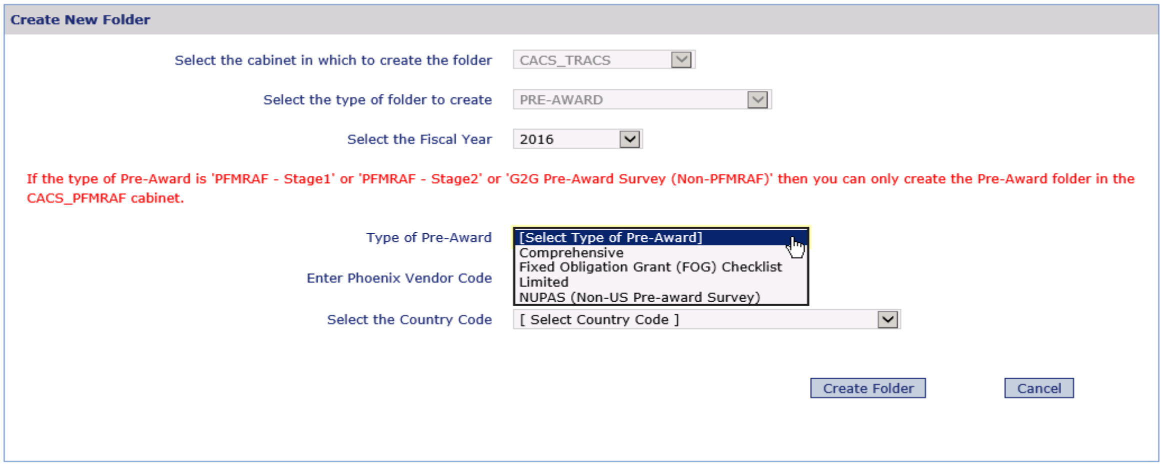
5.1 Folder Creation

Pre-Award folders are created manually when needed. If the vendor is already in Phoenix but no VI folder exists for the vendor, However, if the vendor is not in Phoenix, do not create a VI folder, as the system will automatically do this when an award is made (provided it meets the required criteria) and a conflict between the two folders will result.

- A PA folder can be created by any user with access to the **CACS_TRACS** cabinet.
- Edit rights are limited to the folder creator/owner and users in the Action Office.
    - For all US-based vendors, M/OAA will be the Action Office.
    - For foreign-based vendors, the Action Office is the one corresponding to the Country Code that is selected when the folder is created. There is a field in the folder for selecting another Action Office

To create the folder, from the ASIST **My Home** page:

1. The left half of the page shows all of the ASIST cabinets to which you have access, this should include the **CACS_TRACS** cabinet. If the cabinet is not shown there, and you believe you should have access, contact the CIO Help Desk and request access.
2. Four folder types are listed for that cabinet, and for each folder type there are two icons – one for searching for folders of that type, and one for creating a new folder of that type.



Click on the **New** icon for the **Pre-Award** folder type. The **Create New Folder** screen will open, displaying fields as shown above in Figure 6. The Cabinet and Folder Type fields will be auto-filled with **CACS_TRACS** and **PRE-AWARD**, respectively.

2. Select the **Type of Pre-Award**, either "Comprehensive", "Fixed Obligation Grant (FOG) Checklist", "Limited", or "NUPAS (Non-US Pre-award Survey)".
3. If you want to create a folder for one of the other types of Pre-Award audits or surveys, select the **Cancel** button, and then create the folder in the **CACS_PFMRAF** cabinet. (See Section 6.0, below). Note: CACS_PFMRAF cabinet should be used to capture and track all required documentation as part of G2G risk management, risk assessment and mitigation, per ADS 220.

4. The **Fiscal Year** field will default to the current FY; if this is not correct FY for this pre-award audit or survey, correct this value. In the **Phoenix Vendor Code** field:
    a. If there is an existing Vendor Information (VI) folder for the vendor, enter the Phoenix Vendor Code for the vendor.
        - This is the Folder ID (name) for the VI folder.
        - This will be used in constructing the Folder ID for the PA folder.
        - This will allow ASIST to automatically copy vendor data from the VI folder to the PA folder.
    b. If there is no VI folder, but the vendor is already in Phoenix, create a VI folder and then perform step (a), immediately above.
        - See Section 3.2, above, for directions on creating the VI folder.
5. Select the correct **Country Code** for your Action Office.
6. Click on the Create Folder button. The new PA folder will open, at the **Information** page. If there is a VI folder for the vendor, some of the vendor fields at the top of the **Information** page will be populated with data copied from the VI folder.

7. Otherwise, only the **Phoenix Vendor ID** field will be populated, with the ID you entered on the **Create New Folder** screen.

5.2 Entering / Updating Information

Enter and update the data in the fields on the **Information** page of the PA folder. The description here is by page section, from top to bottom of the page.

5.2.1 Vendor Section

The fields in this section are editable until this folder is linked to a parent VI folder. When linked, only the **Phoenix Vendor ID** field is editable.

1. If the **Phoenix Vendor ID** field includes a folder icon, this folder is linked to the parent VI folder for the vendor.
    a. The folder icon is a link to the parent VI folder. Click on that icon to open the VI folder.
    b. To return to the PA folder:
        i. Enter the PA folder ID in the **Pre-Award Folder** field, in the **Vendor** section of the VI folder.
        ii. Click on the **Save the Changes** link at the top left of the page.

        iii. A folder link will be created, marked by a folder icon beside the PA folder name.
        iv. Click on the folder icon to open the PA folder.
    c. The fields in this section will be updated with the values for the corresponding fields in the parent VI folder, whenever this folder is opened or saved.
2. If there was no VI folder for this vendor when this PA folder was created, but a VI folder has since been created for the vendor:
    a. Update the **Phoenix Vendor ID** field with the actual VI Folder ID.
    b. When you save that update:
        - ASIST will create a folder link to the VI folder in the **Phoenix Vendor ID** field. This will be marked by the addition of a folder icon in that field.
        - The fields in this section will be updated with the values in the corresponding fields in the VI folder, whenever this folder is opened or saved.

5.2.2 Vendor Contact Information Section

This is the same contact information as is collected in the VI folder.

- For the two **Honorific** fields, if the desired honorific is not on the drop-down list:
    a. Select **Type In Here To Add An Option Not Listed**.

b. Type in the alternative honorific.

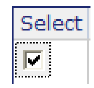
c. To change an alternative honorific after it has been saved, select **Type In Here To Add An Option Not Listed** again and then enter the new/revised honorific.

5.2.3 Number of Organizations / Sub-units Grid

If the organization being audited or surveyed has significant sub-units, those can be recorded here.

1. Add a row for each unit by clicking on the **Add** button. 

2. To delete a link, first select the row to be deleted by marking the **Select** checkbox for that row, and then click on the **Delete** button. 



3. The **Serial Number** provides a unique ID for each unit.

5.2.4 Pre-Award Assignment Information Section

This is the basic information about the pre-award audit or survey.

1. The **Action Office** field is critically important.
    - Once the **Action Office** is entered, all members of the ASIST access group for that Action Office are given edit rights on the folder.
2. Also select the appropriate **Operating Unit**, whether this is the same as the Action Office or different.
3. The **Reason for Pre-Award** is the reason that the assessment t or survey is being conducted. See ADS 591.3.3.1.
4. If **Limited** is selected for the **Type of Pre-Award**, provide the reason why it is a limited, in the **Comments** text box.
5. The **Conducted By** field defaults to **In-house**. If the Pre-Award will be conducted externally, change this value.

5.2.5 Status Section

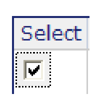
The fields in this section track the status of the assessment survey, including timeline dates.

5.2.6 Meetings Grid

This grid is the same as the **Meetings** grids in the VAFY and ME folders. It is used to record information about the Pre-Award meetings.

1. Add a row for each meeting by clicking on the **Add** button. 

2. To delete a meeting, first select the row to be deleted by marking the **Select** checkbox for that row, and then click on the **Delete** button. 



3. A **Sequence Number** can be entered to identify each meeting.

4. The **Meeting Attendees** field will accept up to 500 characters, and **Comments/Notes** will accept up to 2000.

5.2.7 Findings Grid

These fields provide the capability to track the findings from the Pre-Award Report on the audit or survey that was conducted.

1. Add a row for each finding by clicking on the **Add** button.
2. To delete a finding, first select the row to be deleted by marking the **Select** checkbox for that row, and then click on the **Delete** button.
3. The **Findings Narrative**, **Corrective Action**, and **Comments** fields are large and will accept up to 2000 characters (including spaces and punctuation).
4. The **Findings Agreed by USAID**, **Reasons to Consider as Finding**, and **Info documents** fields will accept up to 1000 characters.

5.2.8 Copying Data from the Findings Grid to the RMF Grid

Rows in the **Findings** grid can be copied into the **Risk Mitigation Framework** (RMF) grid.

1. Select one or more rows by marking the **Select** checkbox for those rows.
2. Click on the **Populate from Findings** button, in the **Risk Mitigation Framework** (RMF) grid.
3. A new row or rows will be created in the RMF grid, and the data for most populated fields will be copied.
4. ASIST will check for duplications, and will not create new RMF rows for any **Findings** grid rows that were previously copied.
5. Data from **Findings** grid rows is only copied once, so any updates made to **Findings** grid rows that have already been copied, should be manually copied into the corresponding RMF grid rows, as appropriate.
6. Values for RMF fields that cannot be copied from the **Findings** grid should be manually updated.
7. All fields in the RMF grid are editable and can be updated as needed.

5.2.9 Risk Mitigation Team Section

The fields in this section record the Risk Mitigation team. The **Expanded Team Members** field accepts up to 2,000 characters.

5.2.10 Risk Findings Table

The read-only **Risk Findings** table is automatically populated/ updated from the **Risk Mitigation Framework** grid, when the values in that grid are saved (**Save the Changes** link).

1. **Risk Findings** counts are tallied up and the total number of risks are shown for each **Risk Level category** .

2. For Pre-Award folders that were created before ASIST 4.2 was released, this table will initially be blank. Users will have to save once (using the **Save the Changes** link) to make ASIST populate this table.

⊟ **Risk Findings**

Add Delete Expand

Risk Level	Risk Findings
Critical	0
High	0
Medium	0
Low	0

5.2.11 Risk Mitigation Framework Grid

This grid is used to track the Risk Mitigation process.

1. Add a row for each risk finding by clicking on the **Add** button. Add
2. To delete a finding, first select the row to be deleted by marking the **Select** checkbox for that row, and then click on the **Delete** button. Delete Select ☑
3. The **Sequence Number** can be used to identify each Risk Mitigation finding.
4. The **Narrative (conditions in Pre-Award Report)**, **Conditions agreed by USAID**, **Reasons to consider as Condition**, **Level of consideration USAID**, and **Actions to mitigate risk** fields are large text fields that accept up to 2000 characters, including spaces and punctuation.

5.2.12 Records Management Section

The **Records Management** section contains fields used by ASIST to store information about the folder. This section is collapsed by default.

1. The **Folder ID** is the folder name. For PA folders, this is composed of the two-letter or three-digit country code plus the FY plus "PA" plus the Phoenix Vendor Code plus a sequence number. [*CC*]-[*FY*]-PA-[*Phoenix Vendor Code*]-[n].
    - It should only be changed when the value for the **PHX Vendor ID** field (the Phoenix Vendor Code) is changed. This will usually occur if the vendor was not previously in Phoenix but has now receives an award. The **PHX Vendor ID** field is then updated from the previous, user-created value to match the new/actual Phoenix Vendor Code (which is the folder ID for the parent VI folder).
2. The **Folder Owner** is, by default, the same as the **Folder Creator**.
    - The current folder owner always has edit permission.
3. Relevant **Keywords** can be entered, for use when searching for the folder.

5.3 Attaching Documents to a PA Folder

All ASIST folders support the attachment of documents to the folder. This is done on the **Attachments** tab/page. The Pre-Award folder type has a large number of attachment types. For detailed instructions on attaching documents to an ASIST folder, see Appendix D.

6. Partner Government Risk Assessment Framework

The Partner Government Risk Assessment Framework currently uses the same Pre-Award folder type as TRACS.

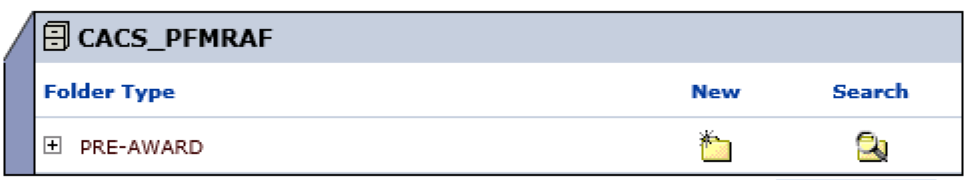
- This is the correct folder type for tracking all required documentation for Partner Government risk management and assessments, per ADS 220. All documentation related to Step 1 of the Risk Management Process should be placed in the folder currently called PFMRAF-Stage 1 and all documentation related to Steps 2 - 7 of the Risk Management Process should be in PFMRAF-Stage 2.

Whether the folder is in the **CACS_TRACS** cabinet, or in the **CACS_PFMRAF** cabinet, depends on the type of pre-award audit or survey to be performed, as recorded in the **Type of Pre-Award** field. This value is selected when the folder is created.

- If the **Type of Pre-Award** is "PFMRAF - Stage 1", "PFMRAF - Stage 2" (now classified as G2G Risk Management as per ADS 220) or "G2G Pre-Award Survey (Non-PFMRAF)" then the folder can only be created in the **CACS_PFMRAF** cabinet.
- If the value is "Comprehensive", "Fixed Obligation Grant (FOG) Checklist", "Limited", or "NUPAS (Non-US Pre-award Survey)", then the folder can only be created in the **CACS_TRACS** cabinet.

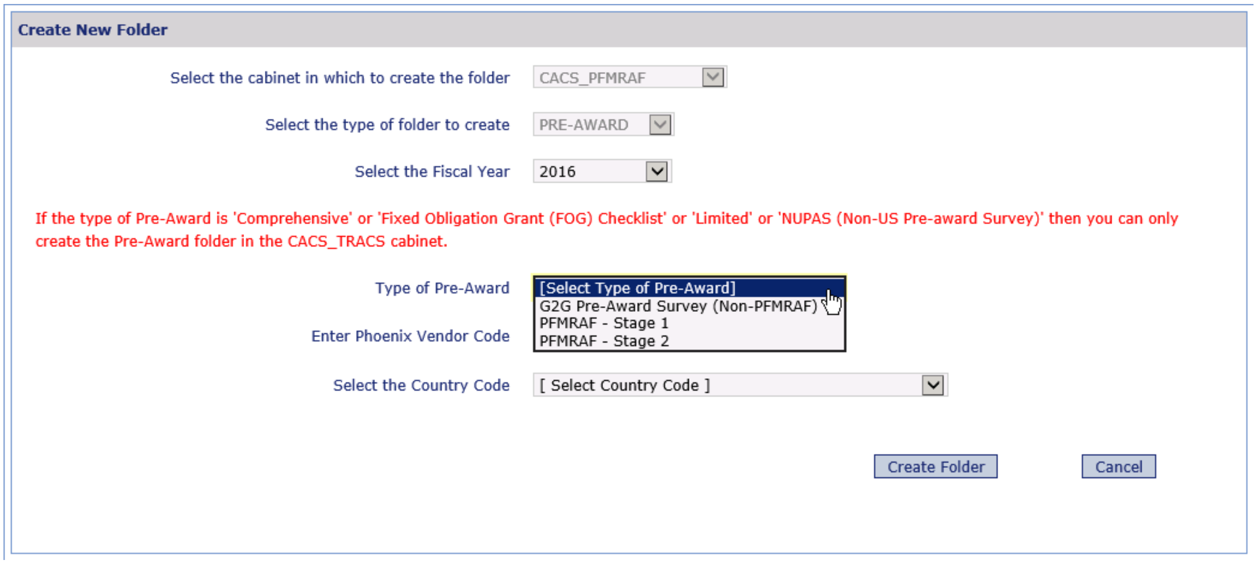
6.1.1 To Create a G2G Risk Management (PFMRAF) Pre-Award Folder

1. Locate the **CACS_PFMRAF** cabinet on the ASIST **Home** page. See Figure 10, below.



2. Click on the **New Folder** icon for the **PRE-AWARD** folder type. 

3. The **Create New Folder** window will open, per below.



4. The Cabinet and Folder Type fields will be auto-filled with **CACS_PFMRAF** and **PRE-AWARD**, respectively. These are read-only.
5. Select the **Type of Pre-Award**, either “PFMRAF - Stage 1", "PFMRAF - Stage 2" (now classified as G2G Risk Management as per ADS 220)or "G2G Pre-Award Survey (Non-PFMRAF)”. [If you want to create a folder for one of the other types of Pre-Award audits or surveys, select **Cancel** and create that folder in the **CACS_TRACS** cabinet.]
6. The **Fiscal Year** field will default to the current FY; if this is not the correct FY for this pre-award audit or survey, correct it.
7. In the **Phoenix Vendor Code** field:
   a. If there is an existing Vendor Information (VI) folder for the vendor, enter the Phoenix Vendor Code for the vendor.
      - This is the Folder ID (name) for the VI folder.
      - This will be used in constructing the Folder ID for the PA folder.
      - This will allow ASIST to automatically copy vendor data from the VI folder to the PA folder.
   b. If there is no VI folder, but the vendor is already in Phoenix, first create a VI folder and then create the PA folder.
      - See Section 3.2, above, for directions on creating the VI folder.
   c. If the vendor does not exist in Phoenix, create a meaningful vendor code to use for this folder.
      - This is limited to 15 characters.
      - It should identify which vendor it represents.

- This will be used in constructing the Folder ID for the PA folder.
- This should be updated later to an actual Phoenix Vendor Code if the vendor receives an award.

8. For the **Country Code**, M/OAA should select **United States (US), all others select accordingly**.
9. Click on the Create Folder button.
10. The new PA folder will open, at the **Information** page.
    a. If there is a VI folder for the vendor and the folder ID for that folder was entered as the **Phoenix Vendor Code** field on the **Create New Folder** screen, then some of the vendor fields at the top of the **Information** tab/page will be pre-populated with data copied from the VI folder.
    b. Otherwise, only the **Phoenix Vendor ID** field will be populated, with the ID you created and entered on the **Create New Folder** screen.

6.1.2 Updating the Folder

For detailed information on filling in and updating the fields on the folder's **Information** tab, see Section 5.2. For detailed information on attaching documents to the folder, see Section 5.3 (above) and Appendix D.

7. The Miscellaneous Engagements Folder

The Miscellaneous Engagements (ME) folders are used to track a variety of audits, assessments, procedures, reviews, and engagements that are not tracked in the VAFY and PA folders. These include:

- Agreed Upon Procedures
- Attestation Engagements
- Closeouts
- Concurrent Audits
- Control Environment Assessments
- Financial Reviews
- Incurred Costs
- Performance/Compliance Reviews
- Risk Assessments
- Termination Settlement Audits
- Trust Funds Audits

Notes:

➢ While Partner Government Risk Management assessments (per ADS 220) are risk assessments, use a Pre-Award folder in the **CACS_PFMRAF** file folder rather than an ME folder for tracking the process.

➢ External audits for a vendor's annual fiscal year should be tracked in the VAFY folder, not in an ME folder.

7.1 Folder Creation

ME folders can be created manually as needed, by any user with access to the CACS_TRACS cabinet.

- A VI folder for the vendor is required before the ME folder can be created.
- If no VI folder currently exists for the vendor, manually create one – see Section 3.2 (above) for instructions.
- Edit rights for the ME folder are based on the default cabinet security settings.

    4. For all US-based vendors, and for centrally funded awards, M/OAA will be the action office.

    5. For foreign-based vendors, the action office is the one associated (in ASIST) with the Folder Creator.

7.1.1 *To Create an ME Folder, from the ASIST Home Page:*

1. Similar to preceding sections, the left half of the page shows all of the ASIST cabinets to which you have access – this should include the CACS_TRACS cabinet. Four folder types are listed for that cabinet, and for each folder type there are two icons – one for searching for folders of that type, and one for creating a new folder of that type.
    a. If the CACS_TRACS cabinet is not shown there, and you believe you should have access, contact the CIO Help Desk and request access.
2. If you click on the **Expand** icon beside the **MISCELLANEOUS ENGAGEMENTS** folder type, the list of folder type sections will be displayed. These correspond to the types of Miscellaneous Engagements shown in the figure below.

CACS_TRACS

Folder Type	New	Search
MISCELLANEOUS ENGAGEMENTS		
Agreed Upon Procedure		
Attestation Engagement		
Closeout		
Concurrent Audits		
Control Environment Assessment		
Financial Review		
Incurred Costs		
Performance/Compliance Review		
Risk Assessment		
Termination Settlement Audits		
Trust Funds Audits		

3. Click on the **New** icon for either the general **MISCELLANEOUS ENGAGEMENTS** folder type or one of the **MISCELLANEOUS ENGAGEMENTS** section types.
4. In either case, the **Create New Folder** screen will open, displaying five fields.

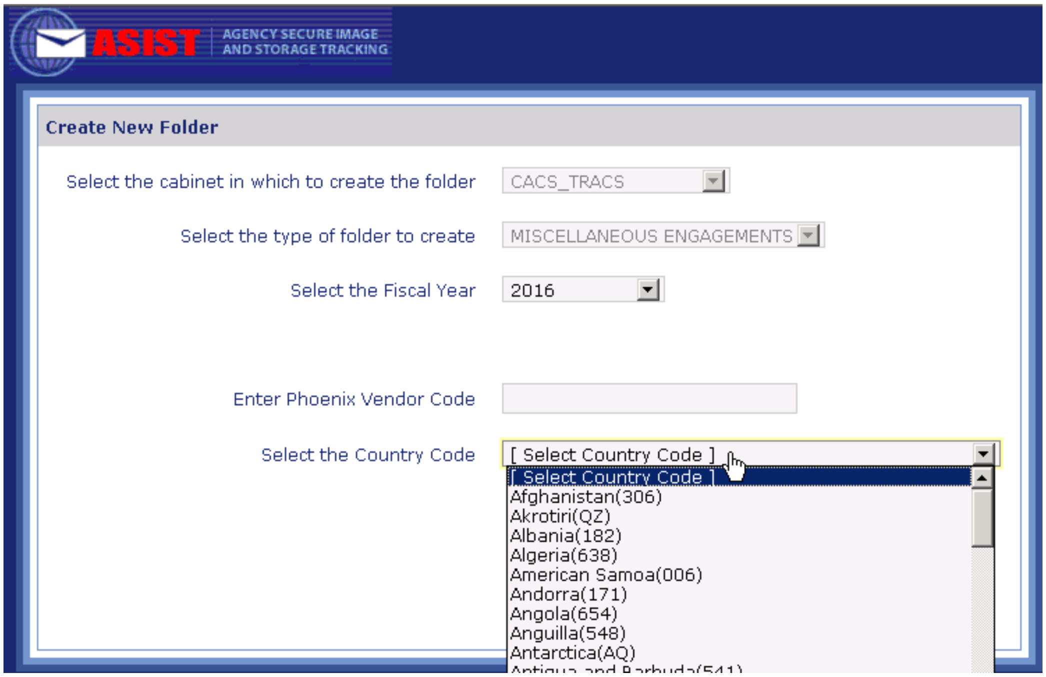


Figure 10 Create Miscellaneous Engagement Folder

b. The Cabinet and Folder Type fields will be auto-filled with **CACS_TRACS** and **MISCELLANEOUS ENGAGEMENTS**, respectively.

c. The **Fiscal Year** field will default to the current FY

5. If the engagement being tracked in this folder is for a FY other than the current FY, select the correct year.
6. In the **Phoenix Vendor Code** field, enter the Folder ID for the parent VI folder for the vendor.
   a. This is the Phoenix Vendor Code for the vendor.
   b. This will allow ASIST to automatically copy vendor data from the VI folder to the ME folder.
7. For the **Country Code**, select the country for the Action Office for this engagement.
8. Then click on the Create Folder button.
9. The new ME folder will open.
   a. Vendor information will be copied into the new ME folder from the corresponding vendor fields in the VI folder.
   b. The **Phoenix Vendor ID** field will include a folder icon, which is an ASIST folder link to the parent VI folder for the vendor.
   c. If the folder was created after clicking on a folder icon for a section type, the **Type of Engagement** field will be populated with the engagement type corresponding to the selected section type.

d. Otherwise, if the folder icon for the **MISCELLANEOUS ENGAGEMENTS** folder type was selected to create the folder, this field will still be blank.

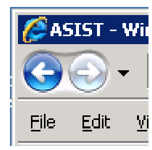
e. In either case, the value for the **Type of Engagement** field can be changed.

7.2 Entering / Updating Information

Enter and update the data in the fields on the **Information** page of the ME folder. The description here is by page section, from top to bottom of the page.

7.2.1 Vendor Section

1. All fields are read-only in this section. Their data is copied from the parent VI folder for the vendor.
2. The Phoenix **Vendor ID** field will include a folder icon , which is a folder link to the parent VI folder for the vendor.
3. The read-only fields in this section can be updated only in the VI folder, and that data will then be copied to the ME folder the next time it is opened.
4. Click on the folder icon to open the parent VI folder to update vendor data.
5. To return to the ME folder, use the Back arrow button at the top left corner of the ASIST window.



7.2.2 Procedure Information Section

This section includes information about the engagement being tracked in the folder.

1. Select the **Type of Engagement** that will be conducted.
2. Select the **Operating Unit**.
3. Enter and update the other data as it becomes available.
4. In the **Link to current FY folder for Vendor** field, enter the Folder ID for the current VAFY folder for the vendor, if one exists.
   a. When you click 'Save the Changes, ASIST will create a folder link to that VAFY folder, with a folder icon .
   b. When using this link, use the Back arrow button at the top left corner of the ASIST window.

5. The **Reason for engagement**, **Reason for delays**, and **Implementing partner POC** fields are large text fields and will accept up to 2000 characters.

7.2.3 Status Section

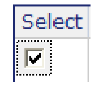
The fields in this section are used to track the status of the engagement.

7.2.4 *Meetings Grid*

This grid is the same as the **Meetings** grids in the VAFY and PA folders. It is used to record information about the meetings associated with the audit/review/engagement.

1. Add a row for each meeting by clicking on the **Add** button. 

2. To delete a meeting, first select the row to be deleted by marking the **Select** checkbox for that row, and then click on the **Delete** button. 



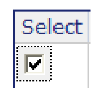
3. A **Sequence Number** can be entered to identify each meeting.
4. The **Meeting Attendees** field will accept up to 500 characters, and **Comments/Notes** will accept up to 2000.

7.2.5 *Findings*

These fields are used by the Action Office to track the findings from the audit or review or engagement that was conducted.

1. Add a row for each finding by clicking on the **Add** button. 

2. To delete a finding, first select the row to be deleted by marking the **Select** checkbox for that row, and then click on the **Delete** button. 



3. The **Findings Narrative**, **Findings Agreed by USAID**, **Reasons to Consider as Finding**, **Comments**, and **Corrective Action** fields are large and will accept up to 2000 characters (including spaces and punctuation).
4. The **Info Documents Needed for Closure** field takes up to 1000 characters.

7.2.6 *Records Management Section*

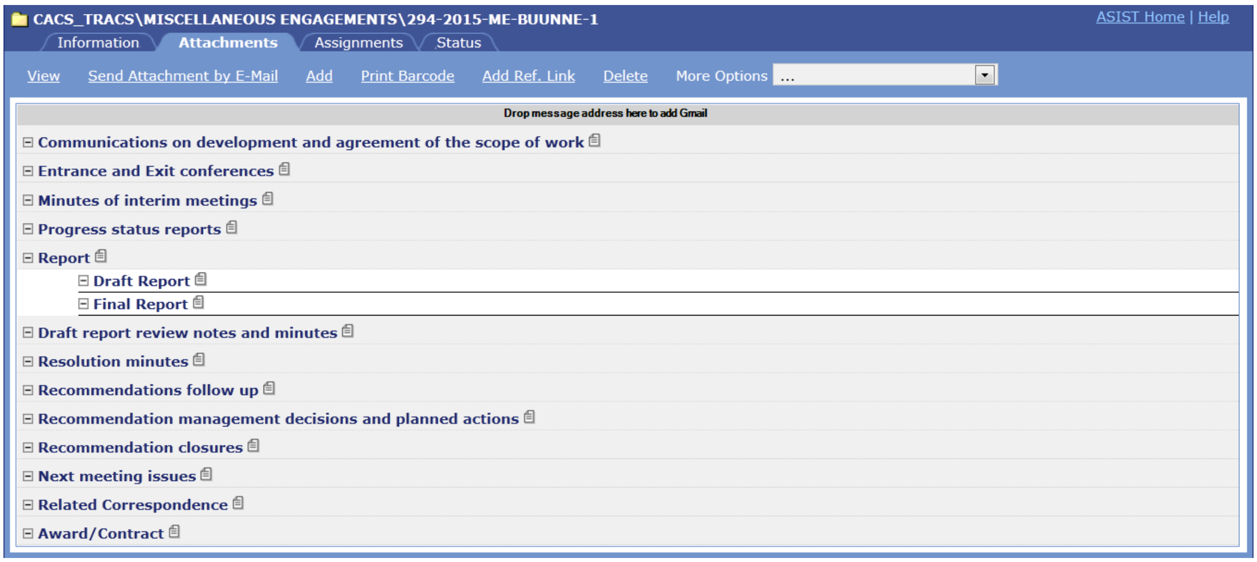
The **Records Management** section contains fields used by ASIST to store information about the folder. This section is collapsed by default.

1. The **Folder ID** is the folder name. For ME folders, this is composed of the two letter country code plus the FY plus "ME" plus the Phoenix Vendor Code plus a sequence number. [*CC*]-[*FY*]-ME-[*Phoenix Vendor Code*]-[n].
    - It should not be changed.
2. The **Folder Owner** is, by default, the same as the **Folder Creator**.
    - The current folder owner always has edit permission.
3. Relevant **Keywords** can be entered up to 250 characters, for use when searching for the folder.

7.3 Attaching Documents to an ME Folder

All ASIST folders support the attachment of documents to the folder. This is done on the **Attachments** tab/page, such as in the figure below.

The Miscellaneous Engagements folder type has many attachment types.



For detailed instructions on attaching documents to an ASIST folder, see Appendix D.

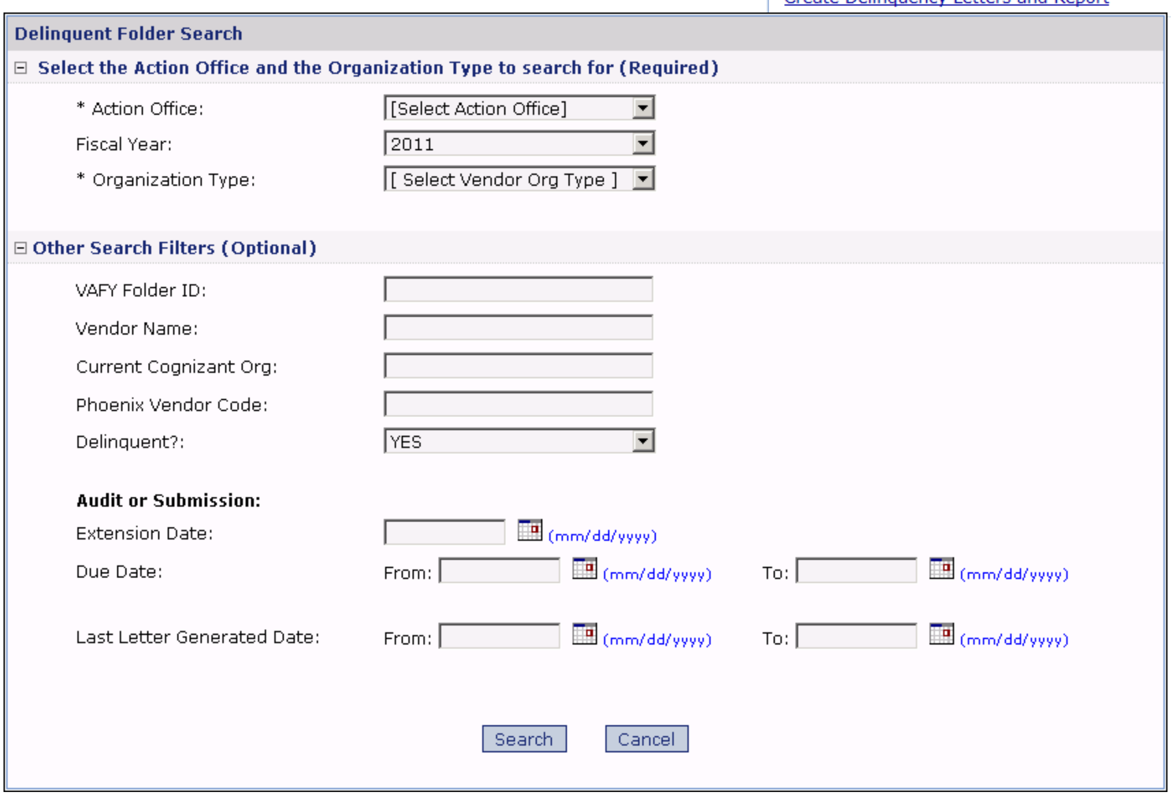
8. Delinquency Letters

Delinquency letters can be generated, individually or en masse, for printing and sending to vendors that are delinquent in providing required audits or submissions for auditing.

- This process uses a custom screen.
- The search results there can be printed as Delinquency Report.
- All users who can create folders can open this screen, but users will only be able to generate letters for those vendors for which their Operating Unit is the listed Action Office.

8.1 Search for Delinquent Vendors

1. In the **Favorites** panel on the right side of the ASIST **My Home** page, find the **Vendor Audit Favorites** box.
2. Click on the **Create Delinquency Letters** link.
3. The **Delinquent Folder Search** dialog will open, as shown in the table below.



4. Select your **Action Office** — this is a required field.
5. The **Fiscal Year** field will default to the prior FY.
   a. Select another fiscal year, if needed.

b. Or select **[Select Year]** (i.e., no specified year) to include all years.

6. Select the **Organization Type** to search for — this is a required field because TRACS has different letter templates for different types of vendor organizations. Therefore, letters for different types of organizations cannot be generated at the same time.

7. The **Delinquent?** field allows users to search for only vendors/folders that are delinquent, only those not delinquent, or **All**. The default value is **Yes**, meaning only delinquent vendors/folders.

8. Users can select other search filters to narrow the results, if that is useful.

9. When all desired filters have been specified, select the **Search** button. Search

10. The **Delinquent Folder Search Results** will be displayed, such as in the figure below.

Delinquent Folder Search Results

Folder ID	Action Office	Organization Type	Submission Due Date	Submission Extention Date	Vendor Name	Current Cognizant Org.	Phoenix Vendor Code	Delinquency Letter Generated Date	Delinquent?	Need Delinquency Letter?
AURAT-2011	PAKISTAN	Foreign-based Non-Profit	03/30/2012		AURAT PUBLICATION AN		AURAT		Yes	☐
NRSP-2011	PAKISTAN	Foreign-based Non-Profit	03/30/2012		NATIONAL RURAL SUPPO		NRSP		Yes	☐

Export options: Excel | Adobe PDF

Generate Letters | Return To Search | Cancel

11. A row will be displayed for each VAFY folder that matches the search criteria. Each row represents a VAFY folder that meets the search criteria.
    - If the default value was accepted for the **Delinquent?** field, each listed folder represents a vendor who is delinquent for a FY audit.
    - If no FY was specified for the search, there may be multiple VAFY folders listed for a vendor.

12. The folder icon beside each folder ID in the far left-most column, is an ASIST folder link that opens the respective VAFY folder.

13. The value in the **Delinquent?** field is calculated by ASIST, based on the values displayed in the **Organization Type** and the **Submission Due Date** columns.

8.2 Generate Delinquency Letters

1. Select the vendors for which you want to generate delinquency letters, by marking the checkbox(es) in the **Need Delinquency Letter?** column on the far right.

Note that if a Vendor has multiple awards, and if some of them are excluded from the Audit Plan (see Section 9, below), that Vendor may or may not be required to have an audit, based on the total amounts for the non-excluded obligations and the **Organization Type**.

ASIST can determine if an audit would be delinquent, based on the data in the VAFY folder, but the user will need to determine if an audit is actually required (and therefore delinquent), before sending the letter.

2. Then select the **Generate Letters** button.
3. TRACS will generate a delinquency letter for each selected folder/vendor and attach it to the corresponding VAFY folder. These are in MS Word (.doc or .docx) format. The file is listed on the **Attachments** tab of the VAFY folder, under the **Delinquency Letter** attachment type.
4. TRACS will also generate an MS Word file containing all of the generated letters, as one document.
5. Each letter will include the name and title of the contact person for the vendor, and the vendor's address, if (and only if) these have been entered in TRACS, in the corresponding VI folder, in the **Vendor Contact Information** section.
6. A dialog will open, asking the user to Open or Save this file.
7. This file can be edited as needed, before printing and sending the letter(s) to the vendor(s). This provides the capability for bulk printing of letters.
8. If any of the vendor contact information is missing or incorrect, open the VI folder for that vendor and add or edit the data there; then re-generate the letter(s). *DO NOT* simply add the information to the letter.

8.3 Create Delinquency Reports

The Delinquent Folder Search Results provide the capability to create a Delinquency Report.

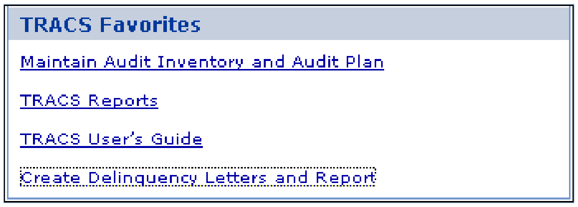
1. Using the search filters for the **Delinquent Folder Search**, define the report.
2. Then select the **Search** button.
3. When the search results are displayed, select one of the **Export** options, at the bottom left: **Excel** or **Adobe PDF**.
4. The results will be exported in the selected format. Results in Excel can be edited as needed within Excel before saving/printing, and reports from multiple searches can be easily combined (via copy-and-paste) into one report. Results in Adobe PDF are more difficult to edit, but can be secured against editing.

9. Audit Inventory and Plan

Audit Inventories and Plans are created and updated using the new Audit Inventory and Audit Plan screen.

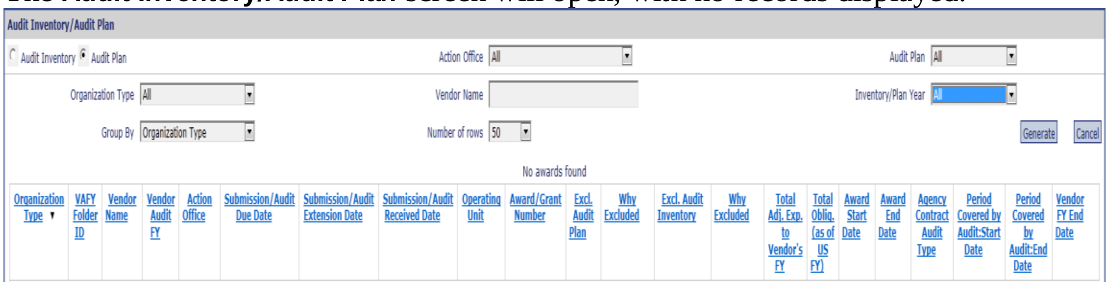
9.1 Open the Screen

1. In the **Favorites** panel, on the right side of the ASIST **My Home** page, scroll down to the **TRACS Favorites** box, see below figure.



2. Click on the **Maintain Audit Inventory** and **Audit Plan** link.

3. The **Audit Inventory/Audit Plan** screen will open, with no records displayed.



9.2 Filter the Search

This screen provides both filtered search capability and specified display of the search results.

1. Select the **Audit Plan** radio button (upper left), or leave the default **Audit Inventory** button as the selection. [The set of available fields for filtering varies somewhat depending on this selection.]

2. For Audit Inventories, select your **Operating Unit** or for Audit Plans, select your **Action Office.**

3. The **Audit Inventory** or **Audit Plan** field (top right) allows you to display either:

   - **All** awards (this is the default value)
   - Only those awards that have been **Included**
   - Only those that have been **Excluded**

4. Select values for any other fields you want to filter on ─ none are required.

5. Select the maximum number of rows to be displayed; the default is 50.

6. By default, TRACS will group the results by **Organization Type**, but you can change the **Group By** selection to **Action Office** or **Operating Unit**, if desired.
7. Select the **Plan Year**. The Plan Year is the year *after* the FY being audited. For example, selecting 2016 will limit results to (Audit Year) 2015 VAFY folders.
8. Click on the **Generate** button to run the search.
9. ASIST will run a search using the selected filters, and return all awards that meet the selected criteria.

9.3 Edit/Update the Audit Inventory or Plan

Much of the data displayed in the Audit Inventory and Plan is read-only, drawn from the VAFY folders where the search found awards meeting the filtering criteria.

To update any of this read-only data, click on the VAFY folder ID to open the selected folder in a new tab. Edit the data there and save it, before clicking back into the Inventory or Plan to see the data reflected after clicking on the **Generate** button again to update the Inventory or Plan with the revised data.

In Internet Explorer, if you have the browser set to use "Compatibility" mode, new tabs are not possible, so it will open the VAFY folder in the ***same tab*** *as the Inventory/Plan.*

9.3.1 Exclusions

The **Excl. Audit Plan** and **Excl. Audit Inventory** checkboxes, and their corresponding **Why Excluded** text fields, permit users to designate which awards should not be included in the user's Plan or Inventory.

1. For Audit Inventories, mark the **Excl. Audit Inventory** checkbox for any awards that should be excluded from your Audit Inventory.
2. The **Why Excluded** dialog window will pop-up.
3. Enter the **Reason** for excluding the award. This is required.
4. Click on the **OK** button to close the dialog.
5. The **Reason** text will be inserted in the **Why Excluded** field.
6. For Audit Plans, mark the **Excl. Audit Plan** checkbox for any awards that should be excluded from your Audit Plan, and then enter the **Reason**.
7. To edit a Reason that has been entered in either of the **Why Excluded** fields:
   a. Click on the associated **Excl. Audit Plan** or **Excl. Audit Inventory** checkbox to remove the check mark.
   b. The **Reason** will also be deleted from the **Why Excluded** field.
   c. Then click on the checkbox again, to mark it

d. The **Why Excluded** dialog window will pop-up.

e. Enter the new or revised **Reason**.

f. Click on the **OK** button Ok to close the dialog.

8. The values entered in these four "Exclude" fields are also displayed in the corresponding rows of the **Audit Details** grid in the corresponding VAFY folders. You can open the VAFY folder for any of the listed awards by clicking on the underlined folder link with the **VAFY Folder ID** column.

9.4 Export an Audit Inventory or Audit Plan

1. TRACS provides the capability to export the Audit Inventory or Audit Plan search results to either an Excel spreadsheet, or an Adobe .PDF file.
2. Select the preferred format and click on the corresponding link at the bottom left of the screen.
3. The **File Download** dialog will open.
4. **Save** the file, or **Open** it for immediate viewing.

10. Reports

In addition to Overdue / Delinquency Reports exported from the Delinquency Letter search results and Audit Inventory and Audit Plan reports exported from the Audit Inventory and Audit Plan search results, TRACS provides custom and ad hoc reporting capability using the **AIDViewer** Ad Hoc Reporting System.

10.1 Open AIDViewer and Specify Filtering

TRACS access to AIDViewer is available from the Favorites panel on the right side of the ASIST **My Home** page.

1. In the **TRACS Favorites** panel, select the **TRACS Reports** link. The AIDViewer window will open, displaying icons for applications for which you have AIDViewer access.

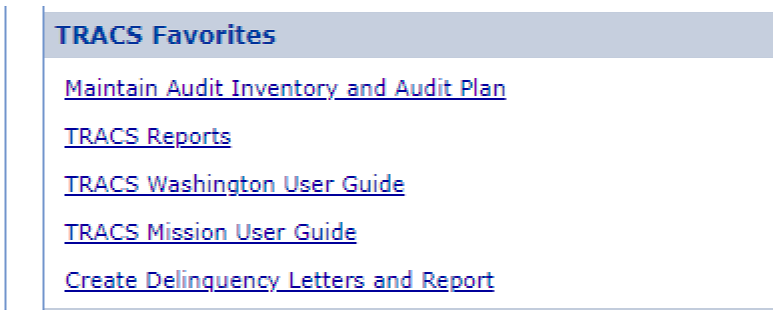


Figure 16 Accessing AIDViewer for TRACS Reports

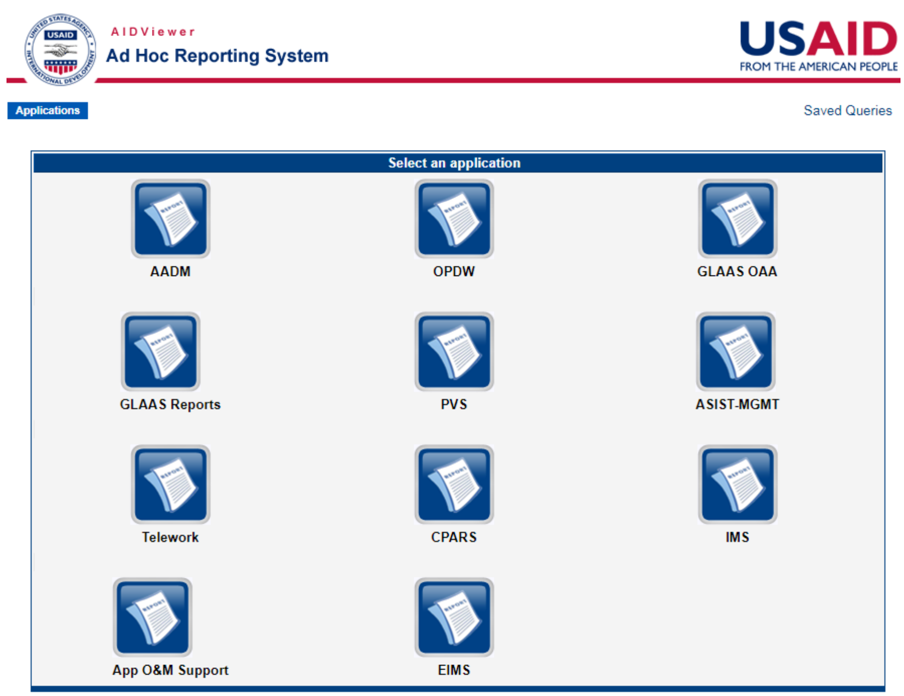


Figure 17 AIDViewer Window

2. Select **TRACS**
3. Select **Sensitive Reports**, and you will notice four reports are listed.
    a) Risk Mitigation Framework Findings Report
    b) TRACS Financial Review Report
    c) TRACS Audit Status Report
    d) TRACS Pre-Award Assessment Report
4. Select a report by clicking on it.

10.2 Filter and View the Report

1. The search page for the selected report will open, providing the ability to customize the search query for the report.
2. For date fields, you can specify a date range by selecting the beginning and end dates for the range.
3. For every other field, you can enter a string of one or more characters to search for in that field.
4. You can specify whether you want to find records that are equal to (**=**), not equal to (**< >**), **Like**, **Starts With**, or **Ends With** that string.
5. The default selection is equal to (**=**).
6. You can specify the number of rows/records per page to display; from 1 to 999.
7. After selecting the filtering, you can either display the data or export it.
8. To view the report, click on the **View Data** button View Data at the top right of the page.
9. The report screen will display the first page of the report.
10. The filters in use will be listed at the bottom left.

10.3 Display the Report

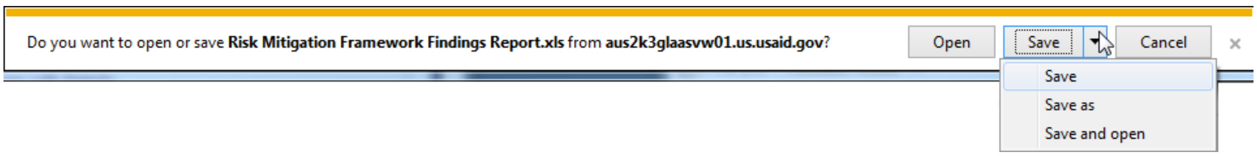
1. From the **Filtering** screen, select the **Export** button. Export
2. The **Export Report** pop-up window will open.
3. Select the radio button for the report type you want to generate:
    a) Microsoft Excel
    b) Microsoft Word
    c) CSV (Comma Separated Values)
    d) HTML Document
    e) Print

4. Then select the **Export** 

button in that dialog.

    a) If ASIST is open in Chrome, the Windows **Save As** window will open, allowing you to select where you want to save the file.

    b) If ASIST is open in Internet Explorer, a dialog will open at the bottom of the screen, with options to open and/or save the new report file.



Appendix A: Opening ASIST

When you need to open ASIST to access a TRACS folder:

1. Open **My USAID**, at the **Home** page of an IE or Chrome browser window. [1]
   a) Select **Apps** from the navigation pane on the left.
   b) The **Apps** page will open, at the **USAID Apps** tab.
   c) Click on the **ASIST** link in the top row there.

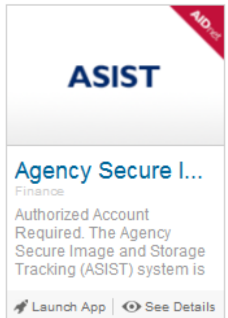


Figure 19: ASIST icon from My USAID page

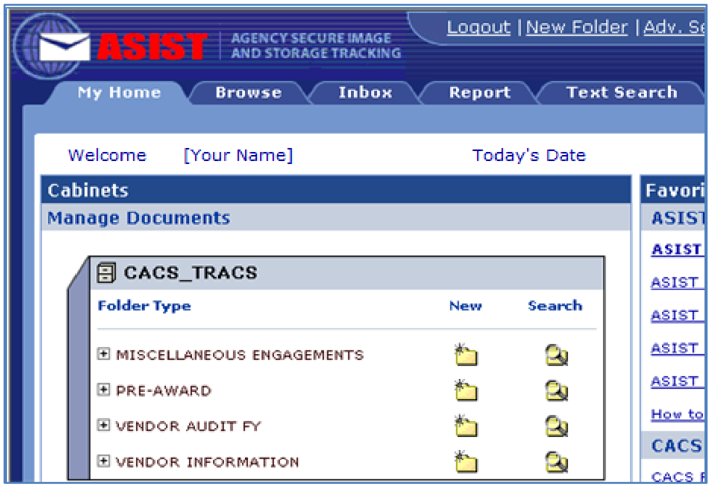
   d) ASIST will open in the browser in which you opened **My USAID**.

Alternatively, a user can open Internet Explorer or Google Chrome, type “Asist” into the browser’s address bar, and press the <**Enter**> key.

[1] IE is the preferred internet platform.

* NOTE: As per revisions to ADS 220, the PFMRAF and corresponding “Stage 1” and “Stage 2” assessments are now replaced by a comprehensive Partner Government Risk Assessment Framework and process. Folder and naming conventions in this guide reference, where needed, the terms “PFMRAF,” “Stage 1,” and “Stage 2” solely for the purpose of pointing users to the correct ASIST / TRACS cabinet and folder names. These cabinet and folder naming conventions are pending updated by CIO to correspond with ADS 220 revision.

2. In all of these cases, you will be automatically logged into ASIST using single sign-on, and taken to the **My Home** page. The **CACS_TRACS** cabinet, and any other cabinets to which you have access, will be listed on the left.



If your account to ASIST is inactive, contact the M/CIO helpdesk for access. Users must log into ASIST at least once every 90 days to maintain access to ASIST.

For instruction on how to search for a particular folder, see Appendix B.

Appendix B: Searching for a Folder within ASIST

ASIST has several different methods for finding folders and/or attachments. Searches can be as narrow or as broad as the user wishes.

- You will NOT be able to find the folder you are looking for if you do not have the proper permission to access the cabinet or folder type in which the folder or folders are located.
- You also may not be able to find the folder or attachment you are looking for, if you do not access rights to view it.

Quick-Search Field

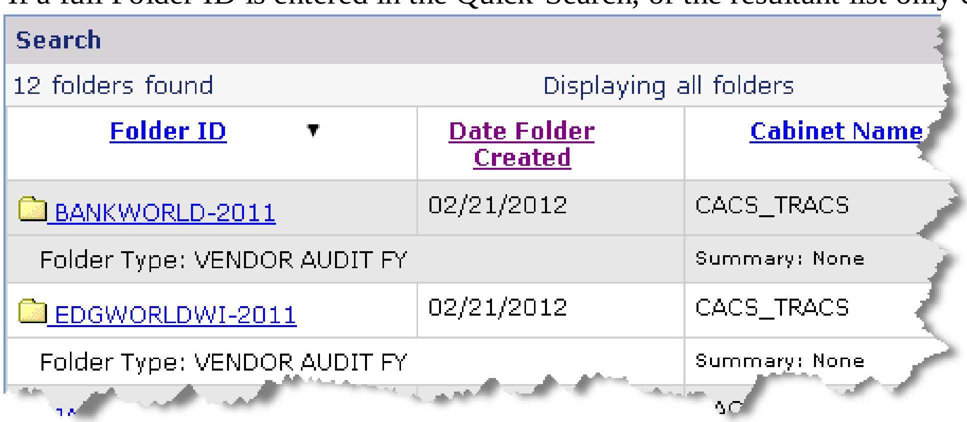
It is highly when you know the Folder ID.

- Users can quickly search for folders using the **Folder ID** text field on the ASIST Link Panel.
- Users can enter either a full or partial Folder ID. Entering a partial Folder ID will return a list of all folders that contain the entered string as part of its Folder ID.

To perform a Quick-Search, perform the following:

1. Enter a full or partial Folder ID in the **Folder ID** text field of the Link Panel.

2. Press the **Go** button GO to the right of the **Folder ID** text area. A list of folders with folder IDs containing the enter string will be displayed.
3. If a full Folder ID is entered in the Quick-Search, or the resultant list only contains one folder, the matching folder opens immediately and no resultant list is displayed. For example, entering "BANKWORLD-2011" would open that VAFY folder.



Search		
12 folders found	Displaying all folders	
Folder ID ▼	Date Folder Created	Cabinet Name
BANKWORLD-2011	02/21/2012	CACS_TRACS
Folder Type: VENDOR AUDIT FY		Summary: None
EDGWORLDWI-2011	02/21/2012	CACS_TRACS
Folder Type: VENDOR AUDIT FY		Summary: None

4. You may open a folder from the results list by clicking on either the Folder ID link or the folder icon ( ), for the folder you wish to open.

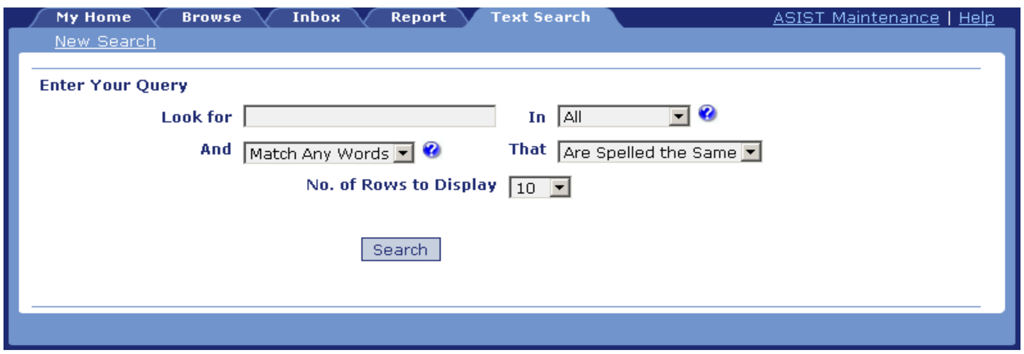
5. You may also list the attachments in this folder by selecting the **List Attachments** menu item while right mouse clicking over the folder link.

Text Search

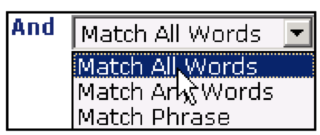
The text search utility allows a user to search folder attributes, attachment attributes, and/or attachment content for a specific word or words. The help icon ( ) is displayed next to the **And** and **In** fields. Click this icon for a description of the options given in each drop-down menu respectively.

To conduct a text search, perform the following:

1. Click on the **Text Search** tab from the "ASIST Home" page. A blank text search page is displayed.
2. Enter a word or words in the **Look for** field. Text searching is not case-sensitive.



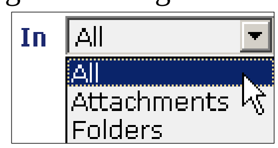
3. Select an option from the **And** drop-down menu, as show in the image. This option determines how the words are searched.



Match All Words	Searches for folders and/or attachments that contain all words in the **Look for** field. The words can appear in the content in any order, but all words must be in the content.
Match Any Words	Searches for folders and/or attachments that contain one or more of the words in the **Look for** field. One or more of the words can appear in the content in any order.
Match Phrase	Searches for folders and/or attachments that contain the phrase in the **Look for** field. The words must appear in the content in the same order given in the **Look for** field.

Table 1: Text Search Options

4. Select an option from the **In** drop-down menu, as shown in the image on the right. This option determines what part of a folder is searched.



5. The only option in the **That** drop-down menu is "Are Spelled the Same".
6. Select an option in the **No. of Rows to Display** drop-down menu, as shown in the image on the right. This option determines the number of rows to display per result page. Selection "100" is recommended.

7. Click on the **Search** button Search. If you selected **All** or **Attachments** from the **In** drop-down menu, both folders and their attachments will be displayed in the results. If you select "Folders" from the **In** field, only folders will be displayed in the results. The number of results from the search is the number of folders found that match the criterion selected.

Figure 24 Folder List Text Search Results

- If **Attachments** is selected in the **In** field, only folders that contain attachments matching the criterion are displayed.
- If the number of results from a text search exceeds the specified number to display per results page, the results are paginated (see Figure 23, above). A user can navigate the results by performing the following:
  - To navigate to a specific page of the results, click the page number link.
  - To navigate back to the first results page, click the **First** link, or the icon.
  - To navigate to the last results page, click the **Last** link, or the icon.

- To navigate to the next results page, click the **Next** link, or the icon .
- To navigate to the previous results page, click the **Prev** link, or the icon .
- Users can also sort the search results by clicking on any column header. Click on a header again to reverse the order displayed.

8. Click the **New Search** link in header of the **Text Search** Text Search tab, to start a new search.

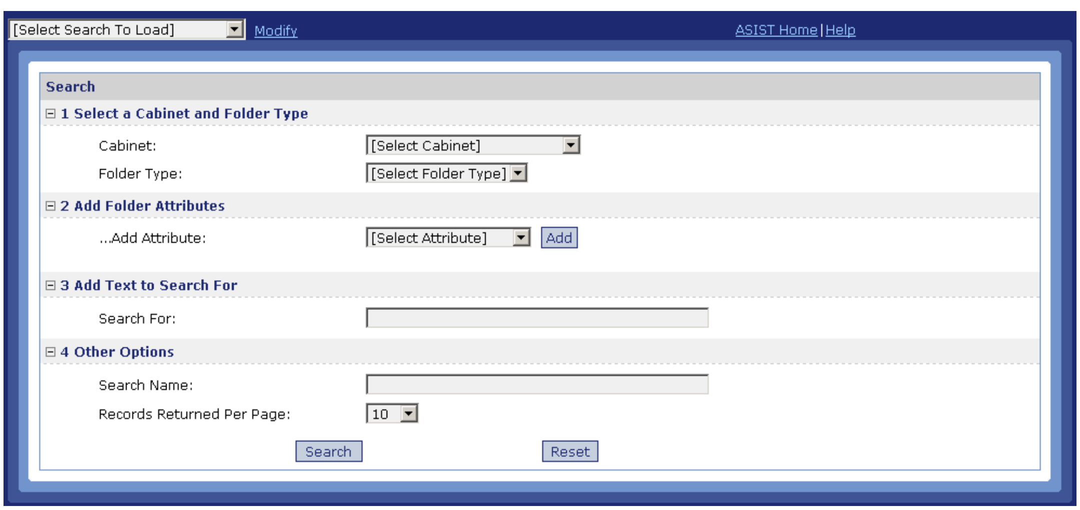
Advanced Search

The **Adv. Search** link allows you to search for folders by entering detailed information such as folder type, folder owner, cabinet, folder status, etc. The advanced search capability provides filtering capability on folder searches. Because search results will include the fields chosen in your query criteria, you can use this feature to produce and re-use ad-hoc reports.

To conduct an advanced search for folders, perform the following:

1. Click the **Adv. Search** link on the ASIST Link Panel, at the top of the page.

2. The **Search** window opens. In search step 1, from the **Cabinet** drop-down list, select the cabinet in which you want to search for folders.



To search all cabinets, select "[ALL Cabinets]" from the list. If no cabinet is selected, all cabinets will be searched.

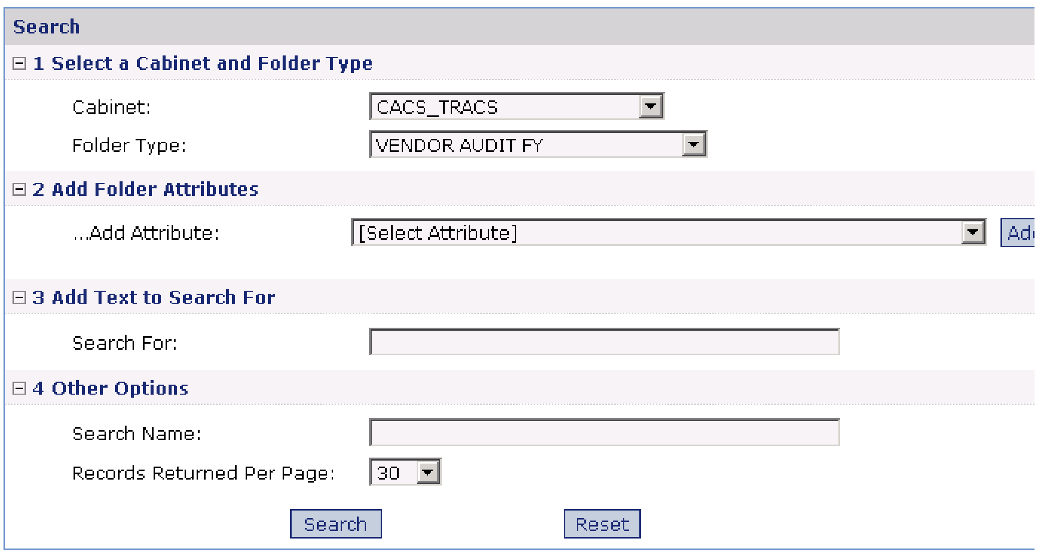
3. In search step 2, from the **Folder Type** drop-down list, select the type of folder for which you want to search.

If no folder type is selected, all folder types will be searched. The example below shows an advanced search in the **CACS_TRACS** cabinet, with the "VENDOR AUDIT FY**"** folder type selected.

4. If no folder type is selected, all folder types will be searched. The below example shows an advanced search in the **CACS_TRACS** cabinet, with the **VENDOR AUDIT FY** folder type selected.

Figure 26 Advanced Search VAFY Folder

5. In search step 2, add further search criteria by adding attributes to search on. To add attributes, perform the following:



a) From the **…Add Attribute** drop-down list, select an attribute on which to further filter the search and press the **Add** button. The added attributes are displayed with empty search values.
b) For each added attribute, set the value for which you are searching. If you wish to see specific attributes listed in the search results but do not want to filter any values on the attribute, leave the search value field(s) blank.
c) As illustrated below, the advanced search will return folders in the **CACS_TRACS** cabinet of type **VENDOR AUDIT FY**, with a value for the **Action Office** of "Egypt", and a value for the **Organization Type** of "Foreign-based Non-Profit**"**.
d) No search parameters are entered for **Audit Cognizant Org**, but because that attribute was included, the search results will show the values for that field, too.
e) To delete an attribute from the search, click the ✕ icon next to the attribute name.

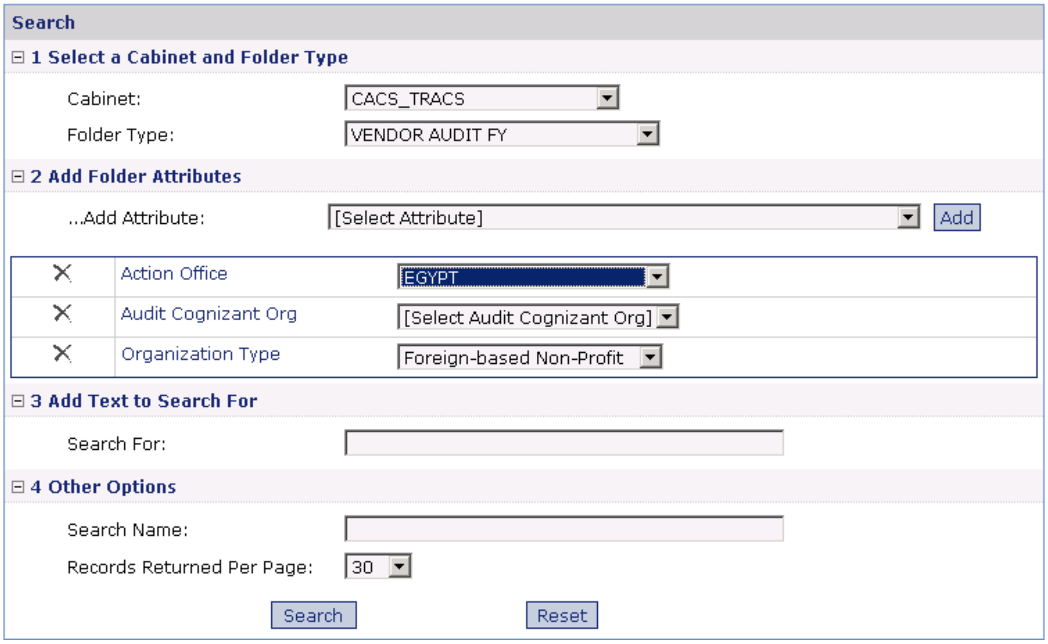


Figure 27 Adding Folder Attributes to Adv Search

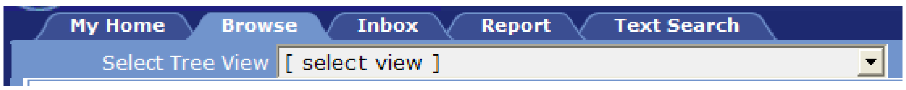
6. [Optional] In search step 3, enter any text to be used for text searching in addition to the criterion already selected. See the section on Text Search, above, for information on performing a text search without using Advanced Search.
7. [Optional] In search step 4, enter a name in the **Search Name** field. If a name is entered, the search is automatically saved, so it can be retrieved and re-used at a later time by selecting it from the drop-down list at the top of the search page.

Appendix C: Browse Views in ASIST

ASIST provides users with the capability to search for folders using Browse Views. These are hierarchical tree views that allow the user to drill down and find folders that fit the specified criteria. Users can construct their own, custom Views, — see the **ASIST Help** for details.

To access these Views:

1. From the ASIST **My Home** tab (where ASIST opens), select the **Browse** tab.



2. On **Browse** tab, click in the **Select Tree View** selection box to drop down the list of existing views, they may include views for any other ASIST folders and cabinets to which the user has access.

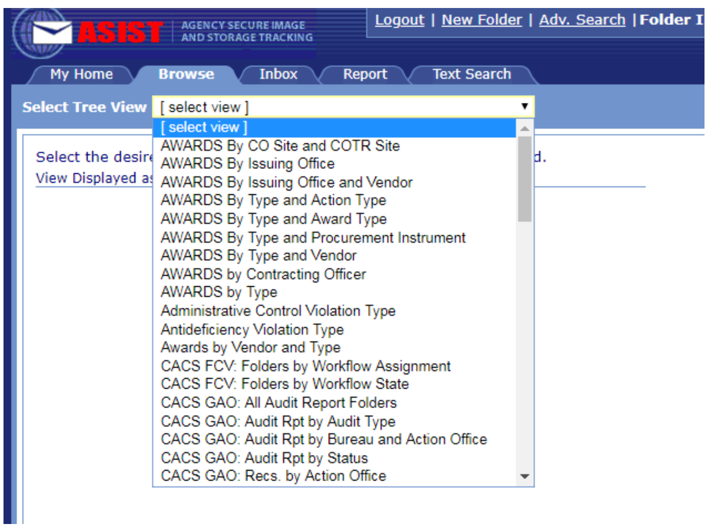
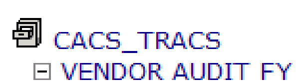


Figure 29 Selecting Tree Views

3. Select one of the **CACS_TRACS** Views. The selected View will be opened at the fully collapsed view, showing only the **CACS_TRACS** cabinet.

4. Click on the **Cabinet** icon to expand the tree by one level.



5. Clicking on an Expand icon ⊞ will expand that branch of the tree by one more level. Clicking on a **Collapse** icon ⊟ beside an expanded branch will collapse that branch.

6. Expanding a branch that contains folders will eventually open a list of folders that meet the filtering criteria represented by the branch.

Figure 30 View Folder Expansion

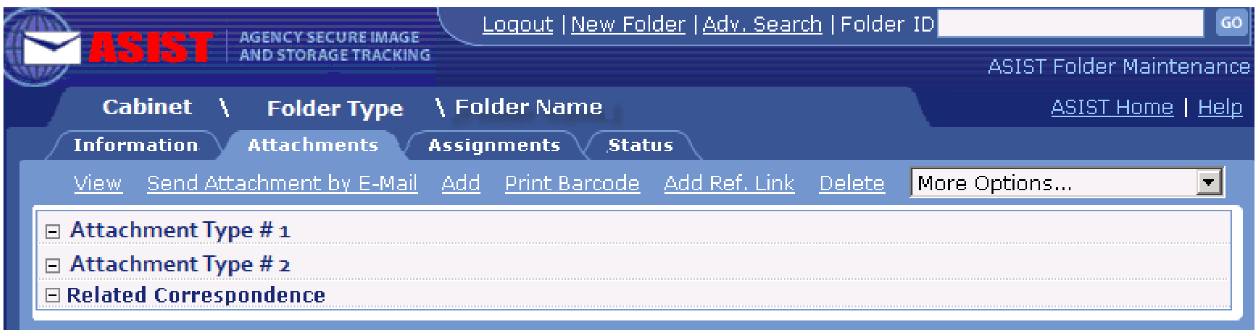
- In the example, the **Afghanistan** branch was expanded, and then the **Foreign-based For Profit** branch, to display a list of all of the Vendors whose VAFY folders meet the specified criteria.
- A Vendor branch was then expanded to show all VAFY folders for that Vendor.
- For some Views, a branch may contain zero sub-folders.

Appendix D: Attaching Documents to Folders

All ASIST folders support the attachment of documents to the folder. A wide range of file types is supported. These are attached on the **Attachments** tab/page.

1. Documents can only be attached, or edited, by users with edit rights for the folder.

2. Select the **Attachments** tab, to open that page.



3. Click on the Add link at the top of the page. The **Add Attachment** dialog will open in a pop-up window. The **Folder ID** will be filled in.

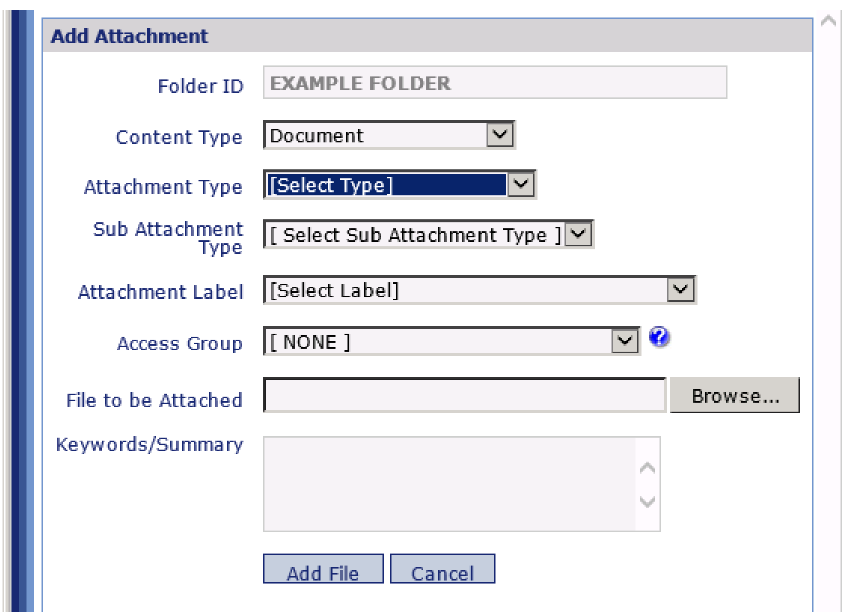


Figure 32 Add New Attachment window

4. Select a **Content Type**.

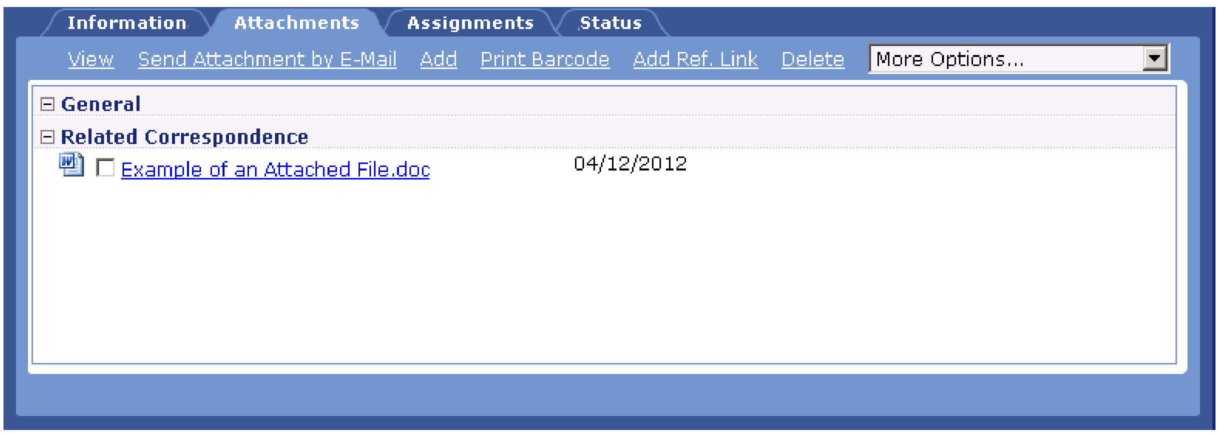
5. Select the **Attachment Type** – this is a required field.

6. DO NOT select an **Access Group**.
7. Click on the **Browse** button to open the Windows **Choose File** dialog.
8. Find and select the file to be attached.
9. Select the **Open** button.

   The **Choose File** dialog will close and return you to the **Add Attachment** dialog, with the path and name of the selected file displayed in the **File to be Attached** field.

10. Select the **Add File** button to attach the file and close the dialog

    The file for the attached document will now be listed under the selected attachment type.



Scanning Paper Documents

When paper documents must be scanned first before being attached to ASIST folders, use scanning software that will create an OCR PDF file that is stored two ways:

- Optical character recognition (OCR) software converts the text images to actual text that can be searched using ASIST's search capabilities
- Because OCR text is subject to errors in the process of recognizing the printed text, an image file is also created and displayed when you open the file in ASIST. This provides a more accurate view of what was written.

Drag and Drop

For directions on how to drag and drop (D&D) files, Gmail attachments, and Gmail messages into ASIST, see the ***ASIST Drag and Drop Reference Guide*** (the link is found in the **ASIST Favorites** panel on the right side of the **ASIST Home** page.

'Drag and Drop' is often the easiest method, especially when adding multiple files to a folder.

Appendix E: Acronyms

Acronym / Abbreviation	Term
ADS	Automated Directives System
APC	Audit Performance & Compliance Division (M/CFO/APC)
ASIST	Agency Secure Image and Storage Tracking System
CACS	Consolidated Audit and Compliance System
CAS	Cost, Audit and Support Division (M/OAA/CAS)
CC	Country Code
CFO	Chief Financial Officer
CIO	Chief Information Officer (M/CIO)
COTS	Commercial-Off-the-Shelf
CSV	Comma Separated Values
D&D	Drag-and-Drop
FM	Financial Management
FOG	Fixed Obligation Grant
FY	Fiscal Year
G2G	Government-to-Government
HTML	Hyper Text Markup Language
IG	Inspector General
ME	Miscellaneous Engagements (folder type)
NUPAS	Non-US Pre-award Survey
OAA	Office of Acquisition and Assistance (M/OAA)
OIG	Office of the Inspector General
OMB	Office of Management and Budget

Acronym / Abbreviation	Term
Org	Organization
PA	Pre-Award (folder type)
PDF	Portable Document Format
PFMRAF*	Public Financial Management Risk Assessment Framework
PIO	Public International Organization
POC	Point of Contact
RIG	Regional Inspector General
RMF	Risk Mitigation Framework
TRACS	Tracking Audit Consolidated System
VI	Vendor Information (folder type)
VAFY	Vendor Audit Fiscal Year (folder type)

Table 2: Acronyms