



ES&S

Audit Manager

System Operations

Procedures

Version Release 7.5.2.0

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Audit Manager System Operations Procedures, ES&S, Omaha, NE

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Proprietary Information

ES&S has identified and appropriately marked relevant portions of this document, which it considers confidential and proprietary. We request confidential treatment by the EAC of such information and would expect that such information is exempt from required disclosure. In the event that a third party requests disclosure of information which ES&S considers confidential and proprietary, we would ask that the EAC notify ES&S of such requested disclosure in order to provide us with an opportunity to seek exemption from disclosure.

The document sections referenced below contain Election Systems and Software, Inc. (ES&S) confidential information, which is provided for the sole purpose of permitting the recipient, to evaluate the ES&S Voting System submitted herewith. The following sections are designated as "Proprietary and Confidential" by Election Systems & Software.

Proprietary Document Section	Description

NOTICE OF UNCERTIFIED FUNCTIONALITY

This document is designated for use with the Unity 3.2.1.0 voting system, which has been tested to the standards of the *2002 Voting System Standards (VSS)* to include a limited system configuration and feature set. Please be advised that this system and associated documentation includes functionality and descriptions of functionality that have not been fully tested or certified to the VSS standards.

The products and/or system features designated below *HAVE NOT COMPLETED TESTING FOR CERTIFICATION BY THE ELECTION ASSISTANCE COMMISSION (EAC)* to the requirements of the VSS:

UNCERTIFIED PRODUCTS

- ❖ System Hardware
 - Automated Bar Code Reader
 - iVotronic DRE Precinct Tabulator
- ❖ System Software
 - Unity Data Acquisition Manager
 - Unity iVotronic Ballot Image Manager

UNCERTIFIED SYSTEM FEATURES

- ❖ Network Results Transmission
 - Including remote transmission of vote data and local networking of central tabulators. Local networking of Election Management System workstations and reporting workstations is supported.

If your jurisdiction requires voting system certification at the Federal level or you have questions about your jurisdiction's certification requirements, please refrain from using the products and system features listed above until you have received approval from your State Election Authority. **USE OF ANY UNCERTIFIED SYSTEM FEATURES NOTED ABOVE WILL NEGATE THE UNITY 3.2.1.0 EAC FEDERAL CERTIFICATION.** ES&S shall not be held responsible for any unauthorized use of the foregoing products and system features.

Please visit www.eac.gov for more information regarding United States Federal voting system certification requirements and procedures. Contact the Elections Authority for your jurisdiction with any questions about your local laws and requirements.

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AUDIT MANAGER SYSTEM OPERATIONS PROCEDURES v. 7.5.2.0

Chapter 1: Introduction

Election Data Manager and Image Manager use Audit Manager to store detailed logs of the actions performed in both programs. Open Audit Manager to access audit logs and control user access for Election Data Manager and Image Manager.

Operations Support Frequently Asked Questions

- ❖ How is the system purchased?

Purchase Audit Manager by contacting your ES&S representative.



Contact your ES&S representative by calling 877-377-8683 (USA & Canada) or 402-593-0101 (International).

- ❖ How is the system installed?

Install Audit Manager by following the steps in the ES&S implementation plan. Installation instructions are also included in the System Operations Procedures manuals.



Refer to [Install Audit Manager](#) in this manual for instructions for installing Audit Manager.

- ❖ How is the system set up?

Follow the steps in the ES&S implementation plan to set up the system. Setup instructions are also included in the System Operations Procedures manuals.

- ❖ How do you verify the system?

You may verify the system in a variety of ways.

- Compare the serial numbers on the hardware to the numbers on the purchase order.

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- Compare the software version in the About window to the version listed on the purchase order.



Refer to the [System Acquisition Procedures](#) heading in [Chapter 1: Introduction](#) for instructions for accessing the About window.

- The Acceptance Checklist will aid in the verification of the system.
- ❖ What training is required?
Training is determined at the time the system was purchased.
- ❖ What checklist should be followed?
Use the Acceptance Checklist to ensure that the system has been delivered and is performing as expected.

Contact ES&S for Technical Support

This manual should aid you in accomplishing most Audit Manager-related tasks. However, if you need additional assistance, or if you encounter a processing problem or system error, ES&S's technical support staff can provide advice and help you resolve the situation.

When you contact ES&S for technical support, please be near your equipment. In addition, be prepared to provide the following information to the support representative:

- ❖ The version number of the product you are using.
- ❖ The *exact* wording of any messages that appeared.
- ❖ A description of what happened when the problem occurred.

Support representatives are available Monday through Friday between 8:00 A.M. and 5:00 P.M. central time.

Contact an ES&S Support Representative

Telephone:	877-377-8683 (USA & Canada)
	402-593-0101 (International)

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Contact an ES&S Support Representative

Fax: 402-593-8107

Write: Election Systems & Software
11208 John Galt Blvd.
Omaha, NE 68137 USA

ES&S's support services are subject to ES&S's prices, terms and conditions in place at the time the service is used.

Install Audit Manager

Install Audit Manager before you run Election Data Manager or Image Manager. If your jurisdiction programs elections on more than one system, install Audit Manager to a network drive to maintain a shared audit log. After you install Audit Manager to the network, change your settings so that Audit Manager points to the same location for all of your user systems.



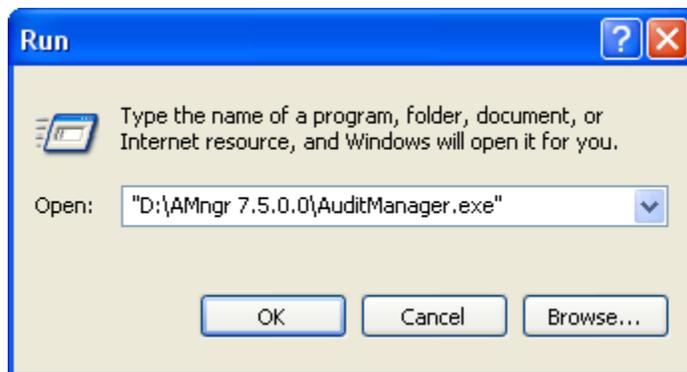
NOTE: Make sure that proper hardware drivers are installed for your PC.

1. Insert the installation CD into the CD-ROM drive.
2. Click **Start** on the Windows taskbar and select **Run** to open the Run window.
3. Click **Browse** to locate the CD ROM Drive on your PC. Find the **Audit Manager** (AMngr 7.5.0.0) folder and double-click it to open the folder.
4. Double-click on **AuditManager.exe** in the Audit Manager folder to place it on the open path:

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5. Click **OK** to begin the installation.
6. At the AuditManager InstallShield Wizard Welcome screen, click **Next**.
7. Click **Yes** to accept the License Agreement.
8. On the Customer Information screen, enter the **User Name** and **Company Name** and click **Next**.
9. At the Choose Destination Location screen, accept the default destination folder by clicking **Next**.
10. On the Select Program Folder screen, click **Next** to accept the default and begin installation.
11. Upon completion of the AuditManager installation, click **Finish** to complete the setup.



Contact ES&S technical support with any questions about installing Audit Manager to a network.



Election Security Caution: Install Audit Manager on a secure PC and network to enhance election security. Consult the information system personnel for your jurisdiction to make sure that network and PC security measures are the best possible for your system.



For information about updating an existing version of Audit Manager see [Chapter 2: Start Audit Manager](#).

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General Timeline for Election Preparation

90 Days	Submit site support request to ES&S
63 Days	All forms are due to ES&S (excluding Candidate forms)
56 Days	Candidate forms due to ES&S
46 Days	Last day to give ballot proofs to Counties (strictly for military or overseas voting).
45 Days	Absentee Voting begins
42 Days	Certification Deadline
28 Days	All ballot proofs must be signed off
21 Days	Last day to deliver Election Day ballots
20 Days	Advance or early voting begins
18 Days	Last day for ES&S to ship coding materials
10 Days	Software Installation for pre-election procedures
1 Day	Early voting ends



Refer to the Personnel Deployment and Training Requirements document for more information.

System Acquisition Procedures

Once you have installed Audit Manager, make sure your version matches the version listed on the purchase order.

1. From the **Help** menu, click **About**.



A window similar to the following will appear.

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2. Verify that the version number at the top of the screen matches the version number on your purchase order.



Contact ES&S customer support if the Version number on your software does not match the purchase order.

Back Up Data and Restore Backup Data

ES&S recommends that you back up all files in the \ELECADATA directory with your <election name> as well as the <election name> subfolder. Be sure to include all subfolders within the <election name> folder. If zipping the files, save the directory path. Back up data to a server.

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Chapter 2: Start Audit Manager

1. Click **Start** on the Windows desktop and select **Programs**.
2. Select Audit Manager from the program list to open the Audit Manager log in window.



3. ES&S supplies your initial user name and password when you purchase Election Data Manager. Enter your Password to access the Audit Manager main screen.

Manage the Users List

Assign all personnel with access to Election Data Manager a unique user name and password to make sure that unauthorized users do not gain access to Election Data Manager files.



Election Security Caution: The Audit Manager user administration feature provides security for your election. Do not share user names or passwords, and change them frequently.

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Enter User Information

Audit Manager keeps a history of every action taken within Election Data Manager and Ballot Image Manager. You can view audit log information as an overview of all action taken within the program or you can sort the audit data to view the actions of individual users.

Create a User Record

Create a record for each of your election workers with access to Unity software.

1. From the **Edit** menu, select **Users** to open the Users window:

The screenshot shows a window titled "Users" with a blue title bar and a close button. It contains three text input fields: "User ID:" with the text "Jane Doe", "Password:" with the text "kd54k.sk", and "Full Name:" with the text "Jane Doe". Below the fields are four buttons: "New User", "Delete User", "Edit User", and "Find User". At the bottom of the window are four navigation buttons: "<<", "<", ">", and ">>".

2. Select **New User** to create a new user record.

The screenshot shows the same "Users" window, but now with "John Doe" in the "User ID:" field, "kd89k.sk" in the "Password:" field, and "Johnathdn Doe" in the "Full Name:" field. The "New User" button is no longer visible, and instead, there are "Save" and "Cancel" buttons at the bottom.

3. In the **User ID** box, type an identification name for your new Unity software user.
4. In the **Password** box, type an initial password for your new user.
5. In the **Full Name** box, type your user's complete name.

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6. Click **Save** to save your new user information or click **Cancel** to return to the Users list without saving the new entry.

Delete a User Record

Delete user records to cancel access to Unity software for election workers.

1. Under the **Edit** menu, select **Users** to open the Users window.
2. Click the single right arrow to advance the user list by one entry or the single left arrow to view the previous entry. Select the double left arrow to open the first user on the list or click the double right arrow to open the last user on the list. Locate and select the user record that you want to erase.
3. Click **Delete User** to remove the entry. A confirmation message appears.
4. Click **Yes** in the confirmation window to erase the user record.

Edit a User Record

Edit user records to change personal information or change access privileges for your election workers.

1. Under the **Edit** menu, select **Users** to open the Users window.
2. Use the instructions under the **Delete a User Record** section of this chapter to locate a user record.
3. Select **Edit User**.



Refer to the [Create a User Record](#) heading in this chapter for information about how to change user information.

Locate a User Record

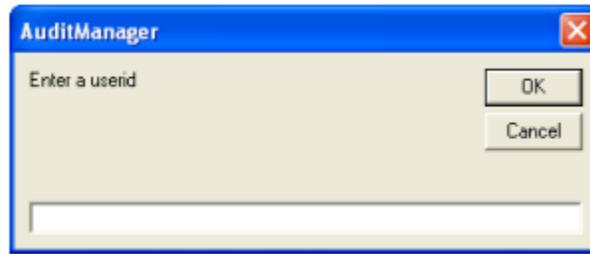
Use the **Find User** option to search your user database.

1. Under the **Edit** menu, select **Users** to open the Users window.
2. Select **Find User** to open a search window.

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3. Enter a user ID and click **OK** to search for a user. User information appears in the Users window or the message "Could not find the user," appears.

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Chapter 3: Audit Log

The audit log saves all of the user actions carried out in Election Data Manager and Image Manager. View activity by all users or narrow your search to view the activities of specific users.



Election Security Caution: The audit manager log function provides security for your election. Print audit reports for every election and archive them physically and electronically with your other election materials.

View the Audit Log

View your audit log to review all of the user actions performed by your election workers with Unity software.

1. Under the **Audit** menu, select **View Log** to open the View Log window:

App Name	Version	User Name	Date / Time	County	Election	Description	Message
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2850 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 3400 :COUNCILI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2300 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2350 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2400 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2450 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2500 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2550 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2600 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2650 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2700 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2200 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2800 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2150 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2900 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 2950 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 3000 :DIRECTOI
EDM	7.4.0.0H	admin	5/18/2005 1:18:35 PM		2002 GENERAL	Update record	[MASTER OFFICE] 3050 :DIRECTOI

2. Select the specific user whose actions you want to view from the **Select User** list. Select **<all users>** for a list of all actions carried out in Election Data Manager and Image Manager.

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3. Enter dates and times in the **To** and **From** boxes to view portions of the audit log by date. Enter the dates manually or click the arrows next to the date boxes and select a date range from the calendar.
4. Click **Ascending** under the **Select Sort** heading to view the oldest records at the top of the log and the most recent actions at the bottom. Select **Descending** to view the most recent actions at the top of the log and the oldest records at the bottom.
5. Click **Get Data** to display your requested audit data.



NOTE: To view the Audit Log, ES&S recommends maximizing the View Log window. Click the **Message** column for a full screen view.

In the Message column, numbers appear to the right in some of the rows. For an office title, the sequence number precedes the office title, followed by the number of candidates to vote for, followed by the term number. If a row contains a candidate, the party code appears to the right.



NOTE: These numbers may not appear on some of the reports if the paper size, margins, or other formatting attributes do not allow the extra numbers to appear on the first page; the printer settings for the particular output device will need to be adjusted so that the *entire* audit log message can be displayed on a single page.

Print the Audit Log

In the View Log window, select **Print** to print your audit log.



NOTE: Only the first 15 characters of the election name will appear on the audit log report.

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The Audit Log shows activity for each user name, description of action performed, and the log name of users who are added, edited, and deleted.

	A	B	C	D	E	F	G	H	I	J
1	Application	Version	User Name	Date/Time	County	Election	Description	Message	AddText1	AddText2
2	AM	7.5.0.0e	Admin	#####			Edited User	AM Editing User :mstaylor		
3	AM	7.5.0.0e	Admin	#####			Logged In	AM Logged In		
4	AM	7.5.0.0e	Admin	#####			Logged Out	AM Logged Out		
5	AM	7.5.0.0e	Admin	#####			Delete User	AM Deleting User :unity		
6	AM	7.5.0.0e	Admin	#####			Added User	AM Adding User :mstaylor		
7	AM	7.5.0.0e	Admin	#####			Added User	AM Adding User :unity		
8	AM	7.5.0.0e	Admin	#####			Logged In	AM Logged In		

Export the Audit Data

Export your audit log to other locations or to a disk to save your audit records for review.

1. In the View Log window, select **Export Data** to send audit data to another file location.
2. Select the location where you want to save your audit data and click **Save** to send your audit file to a new location. Select **Cancel** to return to the Audit Manager main screen without saving the file.

Change the Audit Log View

Select options under the **Windows** menu to change the appearance of your Audit Log windows.

1. Under the **Windows** menu, select **Cascade** to place windows one on top of another.
2. Select **Tile Horizontally** to arrange your open audit log windows horizontally across the screen.
3. Select **Tile Vertically** to arrange your open audit log windows vertically across the screen.
4. Select a log from the **Windows** list under the **Window** menu to open the log in an active window.

Archive the Audit Log

Archive your audit log to free up log space for new user data.

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1. From the **Audit** menu, select **Archive Log** to open the Archive Database window:



2. In the **From** box, select a beginning date and then select an ending date in the **To** box to set the time frame for archiving records. Enter dates manually or click the arrows to select dates from the calendar.
3. Select **Archive** to archive the selected records and provide a name for the text file that will be created. Click **Cancel** to return to the main screen without archiving your records.



NOTE: Archiving selected records will permanently remove them from the Audit Manager interface and place them in the text file you create. Follow your jurisdiction's standard procedures for securely archiving these records.

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Chapter 4: System Messages

AM System Messages

Error Messages	Type of Message	Explanation	Action
Cannot delete 'Admin' user!	Error	Working as designed. The Admin account cannot be deleted.	No further action is necessary.
Cannot delete 'ESSdefault' user!	Error	Working as designed. The default user cannot be deleted.	No further action is necessary.
Could not add record	Error		Contact ES&S.
Could not find the user (username)	Error	User account does not exist.	Contact the system administrator and request account creation.
Could not save changes.	Error	Changes could not be saved in Audit Manager.	Try rebooting the PC. If this does not work, Contact ES&S.
Invalid Password, try again!	Error	Incorrect password entered.	Contact the system administrator to reset password.
Record will be deleted permanently. Proceed?	Warning	Message warning user that the record will be permanently deleted.	Click Yes if you want to delete the account or No to cancel the action.
Recordset doesn't support the FIND method	Warning	Cannot search for the RecordSet.	Contact ES&S.
System Information Is Unavailable At This Time	Warning		Contact ES&S.
Unable to open audit database.	Error	Audit Manager is unable to open the Audit Log.	Contact ES&S.
Unknown IKeyValType	Error		Contact ES&S.

NOTICE OF UNCERTIFIED FUNCTIONALITY

The following products and/or system features HAVE NOT COMPLETED TESTING FOR CERTIFICATION BY THE ELECTION ASSISTANCE COMMISSION (EAC) to the requirements of the VSS:
 ●Automated Bar Code Reader (ABCR) ●iVotronic DRE ●Unity Data Acquisition Manager (DAM) ●Unity iVotronic Ballot Image Manager (iVIM) ●Network results transmission and Networked central tabulators

AUDIT MANAGER SYSTEM OPERATIONS PROCEDURES v. 7.5.2.0

August 13, 2009

Chapter 5: Revision History

Audit Manager v. 7.5.2.0 August 13, 2009

Chapter	Description	Project
	Updated 'Notice of Uncertified Functionality' following the copyright page and disclaimer included in document footers.	

Audit Manager v. 7.5.2.0 May 26, 2009

Chapter	Description	Project
	Version Change	

Audit Manager v. 7.5.0.0 April 3, 2009

Chapter	Description	Project
Network Results Transmission	Corrected spelling error (Nnetwork to Network) under Network Data Transmission	
Chapter 4: System Messages	Corrected spelling error (wrok to work) in the table under "Could not save changes."	

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AUDIT MANAGER SYSTEM OPERATIONS PROCEDURES v. 7.5.2.0

Audit Manager v. 7.5.0.0 October 17, 2008

Chapter	Description	Project
Chapter 1: Introduction	Added a new heading, Operations Support Frequently Asked Questions providing information about the following. <ul style="list-style-type: none"> • how the system is purchased • how the system is installed • setup of the system • how a user can verify the system • the training needed • the checklist to be followed 	#27

Audit Manager v. 7.5.0.0 August 22, 2008

Chapter	Description	Project
Chapter 1: Introduction	Added the following note before the installation steps: "Make sure that proper hardware drivers are installed for your PC."	(#284)
Chapter 3: Audit Log	In the View the Audit Log section, under step 5, added a note stating what the numbers in the audit log represent.	(#232)

Audit Manager v. 7.5.0.0 July 8, 2008

Chapter	Description	Project
Chapter 1: Introduction	Information about how to install Audit Manager has been added to Chapter 1: Introduction beginning on Page 3.	VVSG Vol 2, Sec 2.8.6 (#436)

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Audit Manager v. 7.5.0.0 May 19, 2008

Chapter	Description	Project
Chapter 1: Introduction	Removed installation instructions and added note referring to the new install instructions packaged with the CD on Page 3.	
Chapter 1: Introduction	Added Backup Data and Restore Backup Data heading for procedures on safeguarding audit data	VVSG Vol. 2, Section 2.8.4.a,b
Chapter 3: Audit Log	Added this new feature, Print the Audit Log with a screen print and text stating that the Audit Log shows activity for each user name, description of action performed, and the log name of users who are added, edited, and deleted.	ENH11977 & ENH11978
Chapter 3: Audit Log	Added a note at the end of the View the Audit Log section describing how to maximize the window to read the Message column.	VVSG Vol. 1, Section 2.2.5.2.1.f (#291)
Chapter 4: System Messages	Replaced previous Error Messages with Chapter 4: System Messages , which explains the type of message, explanation of message, and action required.	VVSG Vol. 1, Section 2.1.5.1 b

Audit Manager v. 7.6.0.0 February 29, 2008

Chapter	Description	Project
Chapter 1: Introduction	Added step 10 to installation instructions, plus a pop-up window at the end of step 9.	51

Audit Manager v. 7.5.0.0 November 16, 2007

Chapter	Description	Project
Chapter 1: Introduction	Added Contact ES&S for Technical Support . Page 2	
Chapter 1: Introduction	Added Update or Reinstall Existing Version of Audit Manager . Page 7	

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Audit Manager v. 7.5.0.0 July 13, 2007

Chapter	Description	Project
Chapter 1: Introduction	Added System Requirements . Page 1	
Chapter 3: Audit Log	Removed the Erase Audit Log Data section from the manual.	
Chapter 3: Audit Log	Made changes to item number 3 in the Archive the Audit Log section. Added note in the same section. Page 13	
Chapter 4: Error Messages	Added Error Messages to manual.	

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AUDIT MANAGER SYSTEM OPERATIONS PROCEDURES v. 7.5.2.0

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AUDIT MANAGER SYSTEM OPERATIONS PROCEDURES v. 7.5.2.0