

EX.010.012 – ESTABLISHING APPROVER ASSIGNMENTS

Purpose	<ul style="list-style-type: none"> • To define Workflow. • To identify where transactions are routed if the approver assignment is missing or invalid. • To identify the routing path for approving expense transactions. • To establish approver assignments.
Description	<p>In PeopleSoft, the process of routing expense transactions electronically to various approval levels is called Workflow. Successful routing depends on the accurate assignment of approvers to all departments/projects across all active approval levels. The Approval Assignment page is critical to the functioning of Workflow in the Expenses module.</p> <p>Transactions that cannot be successfully routed because of a missing or invalid approver assignment will be sent to the Workflow Administrator (WFADMIN) for the institution. The WFADMIN must then manually reassign the transaction to the appropriate approver. This reassignment process is critical and must be monitored daily to ensure that all transactions successfully complete all required approval levels.</p> <p>This listing of approver assignments must be accurately maintained to ensure that expense transactions route to the appropriate approval personnel.</p>
Security Role	BOR_EX_SETUP_CONFIG
Dependencies/ Constraints	None
Additional Information	None

Procedure

Below are step by step instructions on how to establish approver assignments.

For this topic, you will establish approver assignments for the Department Manager 1 and AP Auditor levels.

You also have the option to review Expenses Workflow level information and view several scenarios of "what if an approver assignment is missing/incorrect".

Step	Action
1.	Approver Assignments control Travel & Expense approval routings. They should be carefully maintained as new departments are added or when personnel changes occur to ensure correct routing.
2.	As Approvers retire, leave the institution, or change departments/positions within the institution, Approver Assignments must be updated to reflect a new approver for the department and/or project.
3.	<p>Decision: Please select from the options listed below.</p> <ul style="list-style-type: none"> • Do you want to review how to update an Approver Assignment? Go to step Error! Reference source not found. on page 2 • Do you want to review information on Expenses Workflow Approval Levels? Go to step Error! Reference source not found. on page 8
4.	Click the NavBar icon.
5.	Click the Menu link.
6.	Click the Travel and Expenses link.
7.	Click the T and E Administration Center link.
8.	Click the Manage Approvals link.
9.	Click the Approver Assignment link.

Step	Action
10.	<p>On the Approver Assignment page, there are two tabs you can choose from: Find an Existing Value and Add a New Value.</p> <p>The Find an Existing Value tab will search and display all existing approvers for the profile you select (such as AP Auditor). From this tab you can also add new approvers once you have reviewed the existing approvers.</p> <p>The Add a New Value tab should only be used if there are no pre-existing approvers for the desired approval profile. As your approvers were entered during the upgrade activities, you should not need to use the Add a New Value tab.</p> <p>For this example, you will use the Find an Existing Value tab.</p>
11.	Click the Look up button next to the GL Business Unit field.
12.	Select your Business Unit ID from the Business Unit column.
13.	Click the Look up button next to the Approver Profile field.
14.	<p>There are five possible Approver Profiles (approval levels). Your institution decided prior to the v 8.9 upgrade as to how many Workflow levels would be utilized.</p> <p>In this exercise, we will enter a user for the Dpt Mgr 1 level and the AP Auditor level. The function of updating a user/department/project for the other Profiles (approval levels) is similar.</p>
15.	Click the Dept Manager 1 link in the Approver Profile column.
16.	Click the Search button.
17.	Next, you will add an approver to the Department Manager 1 profile.
18.	Click the Add a new row button on the right side of your last approver row.
19.	Click the User Id look-up button.
20.	Click an entry in the User ID column.
21.	Click the Department From button.
22.	Click an entry in the Department column.
23.	Click the Department To button.
24.	Click an entry in the Department column.
25.	Click the Save button.

Step	Action
26.	<p>You have successfully updated the approval assignments for the Department Manager 1 level.</p> <p>Instead of adding a row, you can also change the UserID or the Department for an existing row.</p>
27.	Click the Return to Search button.
28.	Next, you will add an approver assignment for the AP Auditor.
29.	Click the Look up Approver Profile button to display all of the Profile options.
30.	Select AP Auditor from the Approver Profile column.
31.	Click the Search button.
32.	<p>This page will display all active approval assignments for the AP Auditor level.</p> <p>For this exercise, there were no pre-existing AP Auditors, so we will add two AP Auditors that will approve for all departments.</p>
33.	Click the User Id button to select a valid UserID for the AP Auditor assignment.
34.	Select a name from the UserID column.
35.	<p>Now you need to assign a department or a range of departments for this user to approve at the AP Auditor level.</p> <p>For this example, we wish to have two AP Auditors approve all Expense transactions for the institution. Let us see how this is done.</p>
36.	Click the Department From look-up button.
37.	<p>Department numbers may either begin with a number or with a character depending on your institution's departmental naming convention.</p> <p>In this example, the institution has departments that begin with both a number and a character. Since we would like to assign ALL departments to this User ID, we must ensure that we set-up the full departmental spectrum.</p> <p>Ideally, we need to include all departments that begin with numbers 0 thru 9 and all departments that begin with letters A through Z. However, the system requires that real departments be selected. Thus, you must select the first and last departments from each of these ranges. If a new department is added to the end of either of these sequences, the approver assignments must be updated to include this new department.</p>
38.	Select the first Department number in the Department column.
39.	Click the Department To button.

Step	Action
40.	In this example, there are more than 300 departments. The system will only display the first 300, thus we must limit our search results to ensure that we select the last department that begins with a number.
41.	Click in the blank Department field near the top of the page.
42.	Enter " 9 " in the Department field. If your institution does not have any departments beginning with 9, input the digit that the highest department number begins with to ensure that you capture ALL numerical departments.
43.	Click the Look Up button.
44.	Since only 253 results were returned, we know that we can select the last active department.
45.	Click the Last link.
46.	Click the vertical scrollbar to navigate to the bottom of the page.
47.	Click the last department number in the Department column.
48.	Review the numbers in the Department From and Department To columns. You should have selected the first and last departments that begin with a number. Next, you perform this same procedure for those departments that begin with an alphabetical letter.
49.	Click the Add a new row at row 1 button.
50.	Since we already know our User ID, enter " BDAVIS " in the User Id field.
51.	Click the Department From button.
52.	Enter " a " in the Department field.
53.	Click the Look Up button.
54.	Click the first entry in the Department column.
55.	Click the Department To button.
56.	Click the begins with pull down menu next to Department .
57.	Click the >= list item.
58.	Enter " a " in the Department field. This search criteria will enable you to search for any department that begins with a character. If you know the character that your last department begins with, you can enter it in this field instead of "A".

Step	Action
59.	Click the Look Up button.
60.	Make sure that your search results do not exceed 300. If more than 300 results were returned, you should limit your search results.
61.	Navigate to the bottom of the page.
62.	Click the last entry in the Department column.
63.	<p>Both the Reviewer and the AP Auditor levels can pool their reviewers/approvers. This means that you may assign more than one User ID to the same range of departments. This may be particularly important for larger institutions where the Reviewer and AP Auditor roles are likely performed by more than one individual.</p> <p>When a transaction is routed to a pooled level (such as the AP Auditor,) the transaction can be approved by any User ID assigned to the department for that level. Once the transaction is reviewed and signed off on, the transaction will disappear from all of the other approver's queues for that level. A transaction is not required to be reviewed/approved by all User IDs for a pooled level.</p>
64.	<p>You have now added the complete spectrum of departments to this User ID.</p> <p>Since the AP Auditor is a pooled approval level, you are permitted to add additional UserIDs to the same range of departments.</p>
65.	Click the Add a new row button at the end of the last row.
66.	Click the User Id button.
67.	Click an entry in the User ID column.
68.	Since you already know the full department range, you can simply enter the values for the second User ID in the appropriate fields. Enter " 1211000 " in the Department From field.
69.	Enter " 9999999 " in the Department To field.
70.	Click the Add a new row button at the end of this row.
71.	Enter the same UserID " DSCOTT " in the User Id field.
72.	Enter " A000001 " in the Department From field.
73.	Enter " A000079 " in the Department To field.
74.	Click the Save button.
75.	Click the Return to Search button.
76.	You have successfully updated the Department Manager 1 and AP Auditor approval levels. Using the same method outlined in this topic, you can update the other approval levels.

Step	Action
77.	<p>Decision: Please select from the options listed below.</p> <ul style="list-style-type: none"> • Finish the topic without reviewing "what if" scenarios Go to step Error! Reference source not found. on page 8 • View scenarios of what happens if an Approver Assignment is missing or incorrect Go to step Error! Reference source not found. on page 10
78.	<p>Congratulations. You have just completed the Establishing Approver Assignments topic. Below is a summary of the key concepts of this topic:</p> <ul style="list-style-type: none"> - Workflow is the process of routing expense transactions electronically to various approval levels in PeopleSoft. - If the approver assignment is missing or invalid, PeopleSoft routes transactions to the Workflow Administrator, who must then manually reassign the transaction to each subsequent approver level. - The routing path when an employee submits an expense transaction is Dept Manager 1, Dept Manager 2, Grants Admin, Reviewer, and AP Auditor. - This listing must be accurately maintained to ensure that expense transactions route to the appropriate approval personnel. <p>End of Procedure. Remaining steps apply to other paths.</p>
79.	<p>There are five possible levels for Expenses Workflow, but your institution does not have to implement all five. Your institution made a decision on the number of levels that would be used when they implemented the Travel & Expense module.</p> <ul style="list-style-type: none"> •Department Manager 1 – Required for each active department •Department Manager 2 – Optional for all or some departments •Grant Administrator/Project Manager – Required for each active project/grant •Reviewer – Optional for the institution as a whole •AP Auditor – Required for each active department

Step	Action
80.	<p data-bbox="300 296 966 331"><u>Department Manager 1</u> (1st level of Approval)</p> <p data-bbox="300 369 1453 552">The Department Manager 1 validates and updates chartfield coding, budget checks any transactions with 'N' (not checked) as the Budget Header Status, resolves budget checking exceptions, and reviews requests in light of state travel guidelines. This role is typically filled by the person who serves as the HR department supervisor and/or budget administrator.</p> <ul data-bbox="300 590 1453 1285" style="list-style-type: none"> •Department Manager 1 approval is required for all institutions •Institutions must designate a Department Manager 1 approver for every active department •Department Manager 1's must act upon a transaction (approved, denied, sent back, etc.) before the transaction can be routed to the next approval level. This level is a non-pooled approval level - meaning a transaction that is routed to an individual at this level will not proceed through the Workflow process until this individual acts on the transaction (or it is routed to the WF Admin after 5 days of inactivity). •Department Managers 1's cannot approve a transaction unless it has been budget checked. Before the Department Manager 1 can approve an Expense Report or a Travel Authorization, the transaction must be successfully budget checked. As such, please consider who will need to perform the Department Manager 1 responsibilities for your institution. The Department Manager 1 should understand the accounting ChartFields used to correct erroneous or incomplete data for the Department transactions they are approving. •Department Managers 1's may be the approver for a single department, a range of departments, or multiple departments. •UserIDs for Department Managers are case sensitive.

Step	Action
81.	<p data-bbox="300 296 974 331"><u>Department Manager 2</u> (2nd level of Approval)</p> <p data-bbox="300 369 1445 552">The Department Manager 2 reviews transactions for reasonableness and “added business value” considering budgetary constraints and other pending authorization requests. This role is typically filled by the person who monitors actual and budgeted costs, and net available balance amounts for departmental budgets.</p> <ul data-bbox="300 590 1445 1024" style="list-style-type: none"> •Department Manager 2 approval level is optional. •This level can be populated for some departments, and omitted for other departments, if it is not needed. •Department Manager 2’s must act upon a transaction (approved, denied, sent back, etc.) before the transaction can be routed to the next approval level. This level is a non-pooled approval level - meaning a transaction that is routed to an individual at this level will not proceed through the Workflow process until this individual acts on the transaction (or it is routed to the WF Admin after 5 days of inactivity). •Department Managers 2’s may be the approver for a single department, a range of departments, or multiple departments. •UserIDs for Department Managers are case sensitive.

Step	Action
82.	<p data-bbox="300 296 1209 331"><u>Grant Administrator / Project Approver</u> (3rd level of approval)</p> <p data-bbox="300 369 1429 621">The Grant/Project Approver reviews transactions for reasonableness, compliance with grant / project agreements and “added project value” in light of Life-To-Date project costs and other pending authorization requests. This role is typically filled by the person who serves as the grant administrator, project administrator, contract administrator, or other person tasked with monitoring actual and budgeted costs, contract compliance and net available balance amounts for project budgets.</p> <ul data-bbox="300 661 1445 1129" style="list-style-type: none"> •Grants Administrator approval level is required if your institution uses the project ChartField value on an expense transaction. •Institutions must designate a Grant Administrator approver for each active Project/Grant at your institution. •Grant Administrators must act upon a transaction (approved, denied, sent back, etc.) before the transaction can be routed to the next approval level. This level is a non-pooled approval level - meaning a transaction that is routed to an individual at this level will not proceed through the Workflow process until this individual acts on the transaction (or it is routed to the WF Admin after 5 days of inactivity). •Grant Administrators may be the approver for a single project, a range of projects, or multiple projects. •UserIDs for Grant Administrators are case sensitive.

Step	Action
83.	<p><u>Reviewer</u> (4th level of approval) The Reviewer reviews transactions considering institutional policy and management’s published short and long-term goals. This role is typically filled by a controller, dean or division manager.</p> <ul style="list-style-type: none"> •Reviewer approval level is optional for an institution. •Reviewers must be populated for all departments if the Reviewer level is used. If your institution decides to use this level for ANY department, then you MUST have a UserID listed for ALL active departments. It is "all or nothing" for the Reviewer level. •Institutions may define multiple Reviewers for one or more departments. This level is a pooled approval level - meaning a transaction can route to multiple Reviewers at the same time. •Transactions are routed to all department Reviewers at the same time; any Reviewer may act upon the transaction. Action by one Reviewer causes the system to remove the transaction from all Reviewers’ worklists. •A Reviewer must act upon a transaction (approved, denied, sent back, etc.) before the transaction can be routed to the next approval level. •A UserID may be listed for a single department, a range of departments, or multiple departments. •UserIDs for Reviewers are case sensitive.
84.	<p><u>AP Auditor</u> (5th level of approval) The AP Auditor verifies receipts, performs final review of chartfield coding for accuracy and completeness, updates chartfield coding, as needed, and performs final review of transactions for compliance with state travel guidelines. This role is typically filled by the AP clerk who processed travel reimbursement requests in v. 7.5.</p> <ul style="list-style-type: none"> •AP Auditor approval level is required for all institutions. •Institutions must designate an AP Auditor approver for every active department at your institution. •Institutions may define multiple AP Auditors for one or more departments. This level is a pooled approval level - meaning a transaction can route to multiple AP Auditors at the same time. •Transactions are routed to all department AP Auditors at the same time; any AP Auditor may act upon the transaction. Action by one AP Auditor causes the system to remove the transaction from all AP Auditors’ worklists. •A UserID may be listed for a single department, or a range of departments. •UserIDs for AP Auditors are case sensitive

Step	Action
85.	<p>The Department Manger 1, Department Manager 2, and Project/Grant approval levels are Non-Pooled, meaning that a transaction can only be routed to a single approver at a time for these levels.</p> <p>Thus, if you are an approver for one of these levels, if a transaction appears in your queue, it will not proceed to the next approver in the sequence until you approve the transaction.</p>
86.	<p>The Reviewer and AP Auditor approval levels are Pooled, meaning that it is possible for multiple UserIDs to receive the same transaction in their queue at a time.</p> <p>In a Pooled level, when an approver acts on a transaction, it disappears from all the other approver's queues for that same level.</p> <p>CAUTION: You must assign more than one UserID to a department for the "pooled" action to be available. If only one approver is assigned for a department on either the Reviewer or AP Auditor levels, this one approver will be required to approve the transaction before it can move forward.</p> <p>Go to step Error! Reference source not found. on page 2</p>
87.	<p>Although the system will perform the routing in this manner, ALL institutions are strongly encouraged to populate the Department Manager 1 field for ALL departments.</p>
88.	<p>This is an example of why the Department Manager 2 level is not required for all departments.</p>
89.	<p>This situation should be avoided as transactions that route to the Workflow Administrator may experience unnecessary delays in processing time.</p>
90.	<p>This slide assumes that there were NO reviewers for a department.</p>
91.	<p>This slide assumes that there were no AP Auditors for the department.</p>
92.	<p>Below is a summary of the key concepts of this topic:</p> <ul style="list-style-type: none"> - Workflow is the process of routing expense transactions electronically to various approval levels in PeopleSoft. - If the approver assignment is missing or invalid, PeopleSoft routes transactions to the Workflow Administrator, who must then manually reassign the transaction to each subsequent approver level. - The routing path when an employee submits an expense transaction is Dept Manager 1, Dept Manager 2, Grants Admin, Reviewer, and AP Auditor. - This listing must be accurately maintained to ensure that expense transactions route to the appropriate approval personnel. <p>End of Procedure.</p>

