Configuring Journal Approval Workflow to Satisfy a Variety of Business Needs

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Agenda

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• What is Journal Approval Workflow?
• General Approval Workflow Configuration Steps
• Configuring Approval Workflow by Source
• Configuring Approval Workflow by Supervisor by User ID
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• Approving Journals via Mobile Application
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Executive Summary
Tyson Moore is a director with Grant Thornton’s Advisory Services practice in Kansas City, specifically aligned with the Enterprise Resource Planning (ERP) Technology Solutions group. Prior to joining Grant Thornton, he was a director with MarketSphere Consulting until its acquisition by Grant Thornton in September 2013. Moore has more than 10 years of experience and specializes in providing financial and implementation consulting solutions across a broad range of industries. His product expertise includes PeopleSoft Financials & HCM, Oracle Planning, Hyperion Financial Management, Data Relationship Management, Business Intelligence Applications (OBIA/OBIEE), and Microsoft SharePoint. He brings extensive experience managing multiple solution implementations, ranging from custom development to packaged systems. Moore has led numerous complex multisite implementations and has a proven track record of delivering projects on or ahead of time, and on or below budget.

Presentations and Publications
RECONNECT ’13, “WorkCenters and Dashboards,” 2013 – Standing Ovation Award Winner
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What is Approval Workflow?

- The PeopleSoft Approval Framework process is a framework that enables users to develop, configure, and use transaction approvals that meet their business requirements.
- Functional users can design and maintain workflow using online PeopleSoft pages.
- The approval flow is determined using the Approval Process Setup, which is made up of:
  - **Stages**: one piece of the approval process, which can be made up of multiple paths; stages are executed sequentially.
  - **Paths**: a sequence of steps; multiple paths can be executed in parallel.
  - **Steps**: each step represents an approver or reviewer; steps within a path are executed sequentially.
What is Journal Approval Workflow?

• Journal approval workflow allows you to submit, review and approve a journal before it is posted, providing real-time analysis and fewer adjustments at month-end
• Workflow approval enables transactions that are initiated by End Users, to be routed through the system to pre-defined Approvers based on rules you define
• PeopleSoft General Ledger delivers much of the Approval Framework setup, however, some changes are necessary to conform to your workflow requirements
• Journals can be approved via email or worklist
  – Worklists can be accessed via a desktop or using the new Fluid UI / mobile worklist
Select Approval Method
Update User Profile
Define User List
Register Transactions
Transaction Configuration
Setup Approval Process Definition
Activate Integration Broker Services
Workflow Setup: Approval Framework

The first step in configuring Journal Approval Workflow is to specify the correct approval method in installation options. Approval Framework (AF) provides a configurable framework and page interface to implement workflow approval. PeopleSoft General Ledger uses AF for its header-level actuals journals, standard budget journals, and Commitment Control budget journal approval processes.
Workflow Setup: Update User Profile

In order for an approver to receive notifications via email and worklist, the routing preferences must be selected on the approver's User Profile. You can also use this page to view pending worklist entries and select an alternative approver if a person has changed positions or if the user is temporarily out.

Navigation: Main Menu > PeopleTools > Security > User Profiles > User Profile
Workflow Setup: User List Definition

Navigation: Main Menu > Enterprise Components > Approvals > Approvals > User List Setup

The User List Definition defines the user sources for use in the AF approval process. This page comes delivered with two GL Approver lists: GLApprovers(Query) and Supervisor by UserID. However, the user list definitions depend on the type of approval and will be discussed further in the presentation.
Workflow Setup: Transaction Registry

Navigation: Main Menu > Enterprise Components > Approvals > Approvals > Transaction Registry

- The Transaction Registry defines the integration between General Ledger and the Approval Framework (AF) by process ID and is delivered with system data.
- The Transaction Registry specifically defines:
  - Worklist approvals
  - Approval event handler class
  - Transaction approval levels
  - Email notifications
  - Ad hoc approver class logic
- The delivered General Ledger Transaction Registry Process ID is GLJournalApproval
Workflow Setup: Transaction Configuration

The Configure Transaction page defines elements that determine what triggers a notification, who receives the notification, and the content of the notification.

Notifications are mapped to work with the approval transaction registry and include menus and components and SQL definitions. The events for which the system sends notifications include:

– Launch of the approval process on a transaction.
– Queue of approval step to an approver.
– Denial of a line or header.
– Approval of a line or header.
– Completion of the approval process.

The delivered General Ledger Transaction Configuration Process ID is GLJournalApproval.
Navigation: Main Menu > Enterprise Components > Approvals > Approvals > Approval Process Setup

- The Approval Process Definition is made up of stages, paths, and steps. The system executes stages in sequence where one must complete before the next one begins. Each stage contains at least one path and one step. The approval steps that you specify on the path represent the levels that are required for a transaction.

- The delivered General Ledger Process ID is GLJournalApproval

Criteria can be added to the definition itself, the path, or the step, to route transactions a specific way (e.g. if a certain account exists on the journal entry).
Workflow Setup: Integration Broker Service Operation

In order to enable email routings and approvals, you must activate the Integration Broker Service Operation.

The delivered Service Operation is JRNL_AF_EM_APPROVAL

Navigation: PeopleTools > Integration Broker > Integration Setup > Service Operations
Journal Source approval is the most common type of approval. It allows you specify the Journal Source that requires approval and therefore enters the workflow process. To specify approval for the Journal Source, you must select "Require Approval" under the Approval Options tab on the Source Definition. Please note that additional configuration is required for journal approval workflow by source via the Approval Process Definition.

Approval by Source is a common way to exclude automated/interfaced sources like Payroll, AP, etc. from the approval process.
Approval by Supervisor by User ID is the most simplistic type of journal approval workflow since the User List is delivered. In order to utilize the Supervisor by User ID approval, a User ID must be specified on the Workflow tab on the User Profile. The User ID can be populated either by HCM to FSCM integration or they can be added/managed manually.

“Include Users as Input” tells the user list to evaluate who submitted the transaction to determine the approver.
Approver Identification - Business Unit

There is additional configuration outside the delivered PeopleSoft Approval Framework that is required to set up Business Unit approval workflow routing (e.g., define approval for journals based on the business unit on the accounting entry). In this example, we will utilize the route control functionality to send approvals to a group of Business Unit owners.

- **Route Control Type**
  - The Route Control Type identifies the situational factor or business requirement on which you want to base routing decisions.

- **Route Control Profile**
  - The Route Control Profile specifies the range of values within a route control type.
  - In this example, we’re setting up a route control type for each Business Unit we want to include for approval – BU US001 and BU US004.
As mentioned in a previous slide, the User List Definition defines sources for use in the AF approval process. In this example, the User List Definition is role-based and includes the route control profile information setup in the previous step.

- **Setup Security Roles**
  - The new security role is a placeholder only and doesn't include an permission lists

- **User List Definition**
As mentioned in a previous slide, the Approval Process Setup ties together the User List and the transaction approval criteria through stages, paths, and steps. In this example, we have configured a stage for both Business Units – US001 and US004.

- Approval Process Definition
Approver Identification - Business Unit

Navigation: Main Menu > Enterprise Components > Approvals > Approvals > Approval Process Setup

• Approval Process Definition – Definition Criteria
  – The Criteria Definition applies to the entire approval Process ID, regardless of the specified Path information
  – In the below example, we’re specifying criteria by Journal Sources ONL and ADJ that are above $5,000
Approval Workflow by Business Unit

Navigation: Main Menu > Enterprise Components > Approvals > Approvals > Approval Process Setup

- Approval Process Definition – Criteria Definition in the Path
  - You must specify the Business Unit criteria in the Path Criteria Definition
Approval Workflow by Business Unit

Navigation: Main Menu > PeopleTools > Security > User Profiles > User Profile

- Route Control
  - On the Approval Security Role, you must specify the appropriate Route Control Profile. This ties the security role to the route control.
Approval Workflow by Business Unit

- **Approval Status**
  - After the journal has been submitted, an email notification was sent to the appropriate approvers. Only one approver is required to approve the journal before it can be posted. The journal can be approved via the worklist or via email.
Mobile Approval

- PeopleSoft Mobile Approval Framework keeps your business going when users are on the go. It allows you to perform the following from your mobile device:
  - Approve, deny, or push back pending transactions at the header level from a mobile device. You can perform approval actions for individual transactions or multiple transactions at once
  - View attachments (if applicable) and add comments for approval actions
  - Preview a graphical representation of the transaction approval flow, view other approvals, and see any comments that previous approvers have entered
- PeopleTools 8.52 or greater is required in order to use mobile approvals
Common Configuration

• Approval Workflow enabled at the Journal Source level
  – Note: If you enable approvals for a given source, all journals for that source require submission for approval.
  – Even if your workflow setup criteria would exclude transactions within a source (e.g. auto approve), the user must still submit for approval, and, at that time, the journal would be approved.

• Route to approvers based on:
  – Supervisor for the user entering the transaction – e.g. Sally is Joe’s manager and approver
  – Business Unit owner(s) – e.g. Joe approves for US001 and Sally approves for US004
  – Department owner(s) – e.g. Joe approves for Corporate Finance and Sally approves for Operations
  – Account Group owner(s) – e.g. Joe manages/owns the Fixed Asset accounts, while Sally manages/owns the Revenue accounts
Considerations / Pitfalls

• Ensure your approvers are individuals that can be in the system constantly during your period close activities
  – Close schedules may be lengthened at first as approvers get accustomed to reviewing/approving journals within the system prior to post

• Route to approvers based on criteria specific to them
  – Routing all “US001” journals is much more broad / far reaching than targeting your routing at the Supervisor, Department, and/or Account Grouping level
  – Ensures approvers are “in the know” and can easily understand the entry to approve

• Train approvers to use the Alternate Approver / Out of Office functionality
  – The worst thing that can happen is an approver who is gone on vacation for 2 weeks over a period-end close and forgets to assign an alternate approver
  – Workflow Administrator(s) would have to manually re-route transactions versus having the system automatically re-route for them
Questions?

#PSRECONNECT
Please complete the session evaluation

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Appendix: My System Profile

To effectively hide other sections on the My System Profile page, where users can set their “out of office” / alternate approver, you can create custom CSS (Cascading Style Sheet) and assign it to that component.

In this example, we only show the users the Personalizations, Alternate User, Workflow Attributes, And Email sections, and hide the rest from view.
Create CSS to hide the sections on the page you don’t want users to see. Below are the contents used in this example:

```css
[id*="PSOPRDEFN_OPERPSWD"] { display: none; }
[id*="MCF_IM_XMPP_CFG"] { display: none; }
```
Appendix: My System Profile

Now assign the custom CSS to the My System Profile Component (USERMAINT_SELF). Then sign out, clear your cache, and sign back in!

Navigation: Main Menu > PeopleTools > Portal > Branding > Component Branding