ADOA – General Accounting Office

QUICK REFERENCE GUIDE: WORKFLOW 101

WORKFLOW 101

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WORKFLOW 101

Overview

This quick reference guide explains the basic process of reviewing, approving, and rejecting transactions that are submitted to workflow. The approval process is also covered by the Transaction Approval CBT.

What Is Approved?

Transactions are approved. Transactions are routed for approval according to statewide workflow rules. The simplest transactions require approval by a department approver. Transactions with more complex review requirements route to additional approvals by the General Accounting Office (GAO) or other centralized agencies.

What Approval Restrictions Are There? (A: No self-approval)

The approval restriction is no self-approval. By policy and system restriction, approvers cannot approve transactions that they created. This means that the user creating and submitting a transaction cannot also be an approver on the transaction. If the user expects to be an approver for a transaction, be sure to have another user create and submit the transaction. In addition, the user is not permitted to edit a transaction and then subsequently approve it. The user creating and submitting the transaction takes equal responsibility for its content, so the user must review it just as an approver would.

How are Approvals Processed?

Approvals are process from worklists. Transactions awaiting approval are placed in departmental worklists. A user with a workflow role can go to the departmental worklist for that workflow role to "take" a transaction into the user's personal worklist. From there, the user can approve or reject the transaction. After approval or rejection, the transaction either goes to the next approval level, or it is finalized.

Worklists

Worklists hold transactions that are waiting to be approved. The worklist can be accessed by using a widget, a quicklink, or by using the page code WRKLSTC (Financial).

Approving using Departmental Worklist

AZ360 routes transactions that are pending approval to a departmental worklist; any user with theworkflow role corresponding to the transactions in the departmental worklist can take the transaction for approval. GAO recommends that departments assign enough users to the same workflow role to maintain normal business operations.

Approving using Personal Worklist

To approve a transaction, use Take Task to move it from the departmental worklist into the personal worklist. No other user can approve or reject the transaction when it is in the personal worklist.

If the user is not able to approve or reject the transaction, use Return Task to move it back to the departmental worklist so that another user with the same workflow role, may approve or reject the transaction.

Actions

Actions are listed both on the 3-dot menu and as buttons on the various pages where they are used.

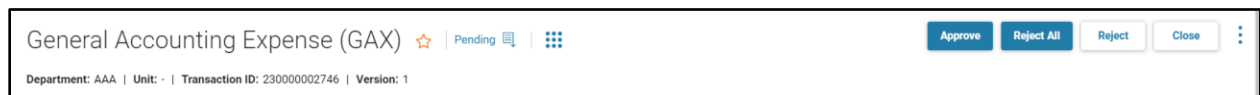## Workflow/Worklist Actions

In order to better understand the workflow process, it is important to understand the actions that can be used on a transaction. There are different actions that can be performed, depending on where users are in AZ360, some of these actions overlap between areas. When reviewing the different workflow actions, some actions are only available to an approver based on their security authorization. This topic will help differentiate between what actions can occur and where.

Note: It is important to keep in mind that some actions are only available to an approver, based on their security authorization.

Actions within a Transaction

After a user successfully validates a transaction (no errors prevent submission) and clicks Submit, if that transaction requires approvals, it will then be routed to workflow and assigned a phase of Pending. Once it is assigned to a workflow, an approver may approve or reject a transaction, using the buttons at the top of a transaction page. There are three buttons available for workflow processing, Approve, Reject All, and Reject.

- Approve – Applies approval to the transaction being reviewed by the user. If further approval is required for the transaction it is sent to that level in the workflow.
- Reject All – An administrative action that rejects the transaction completely out of workflow regardless of approval level or routing sequence level.
- Reject – Rejects a transaction pending approval at the approver's level. This action routes the transaction back to the previous approver for reconsideration, if applicable.

| General Accounting Expense (GAX) ☆	Pending 🗐	⠿		Approve	Reject All	Reject	Close	⋮
Department: AAA	Unit: -	Transaction ID: 230000002746	Version: 1						

There are additional workflow actions available in the transaction, which are accessible from the Page 3-dot menu located at the top right of a transaction page. Click the Page 3-dot menu to display the workflow actions under Primary Actions:

- Unapprove – Removes a previously applied approval from a transaction. Users may apply an Unapprove action only on a transaction on which an approve action has occurred, as opposed to a Reject action, which can be applied on a transaction at any approval level.
- Take Task – This action moves a transaction or transactions from an approval role to the personal worklist of an approver. This is an optional feature and is dependent upon department policy.
- Bypass Approvals – Available to authorized users only. Allows the transaction to process to Final without having to go through the approval process. The action can be applied from within the transaction or from the worklist.
- Override – Allows authorized users to finalize (override) transactions that contain acceptable errors. This action is only available on transactions in Draft phase.
- Remove Override – Allows authorized users to remove override approvals from transactions with errors that have been previously approved. This action is only available on transaction drafts with overrides applied. The action can be applied from the Financial Transaction Catalog, workflow list or an open transaction.

- Recall from Workflow – Select this link to re-review any transactions that users have approved on user's worklist provided those transactions are still in a Pending phase, and users approval is the highest one that has been applied to the transaction. At this point, users may re-approve the transaction or perform a Reject action. The transaction must be submitted in order to move into Final phase.
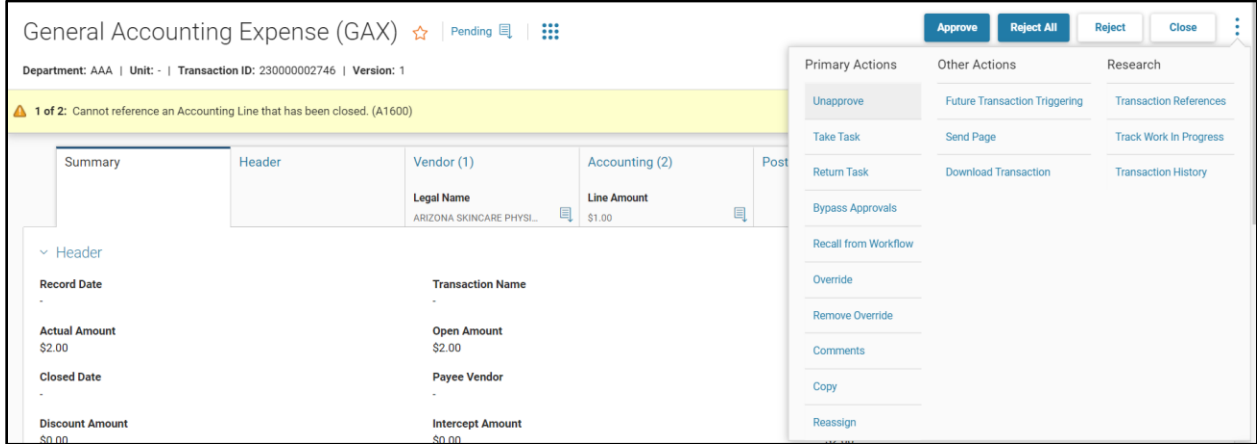
Transaction Actions

1. Use **Approve** to apply the signature and route the transaction to the next approver or to Final phase. From the **Transaction Comments** page that opens next, add a comment or attachment to provide helpful information to the next approver or for others that might review the transaction in its final state.

Submitter Mistakes
- Missing Attachments
- Resubmit after rejection without reading comment

2. Use **Reject** to return the transaction to the previous approver (or to the originator if the user are the first approver). From the **Transaction Comments** page that opens next, add a comment to explain any changes that are required before re-submitting the transaction.

Approver Mistakes
- Approve without review
- No instruction for next approver
- Missing explanation of Rejection

   a. Common reasons for rejection are listed in the figure to the right. Be sure to provide clear explanations of the actions to avoid re-work after the user are done with it.

3. Use **Unapprove** to remove the approval, such as when the next approver rejected the transaction and the user want it to go back to the original submitter.

Track Work in Progress

The approver can track the transaction history, using the Track Work In Progress function. Track Work in Progress displays where the transaction is located in the approval workflow process, and can be used by any user with access to the transaction.
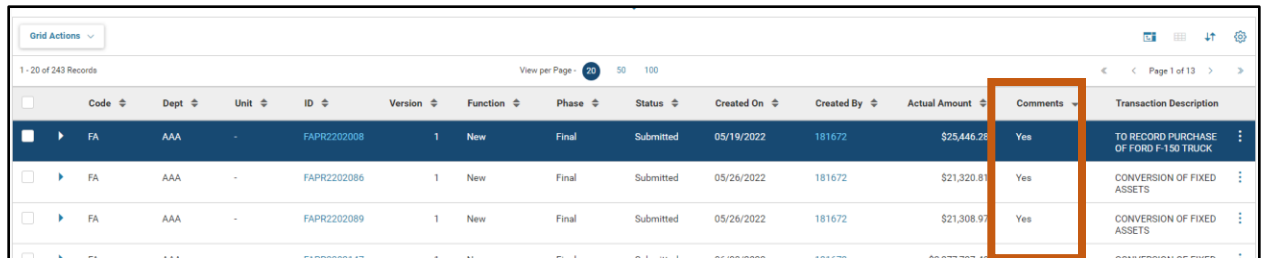
On the Track Work in Progress page, the user can review the transaction status, see what approval actions have been performed, determine the number of required transaction approval levels, and see the names of the approvers.

To access the Track Work in Progress page, open the transaction and click the Page 3-dot menu at the top right of the page. Then click Track Work in Progress located under Research. Or click the blue Pending status hyperlink (Note: The hyperlink will show when a user hovers over the word Pending).
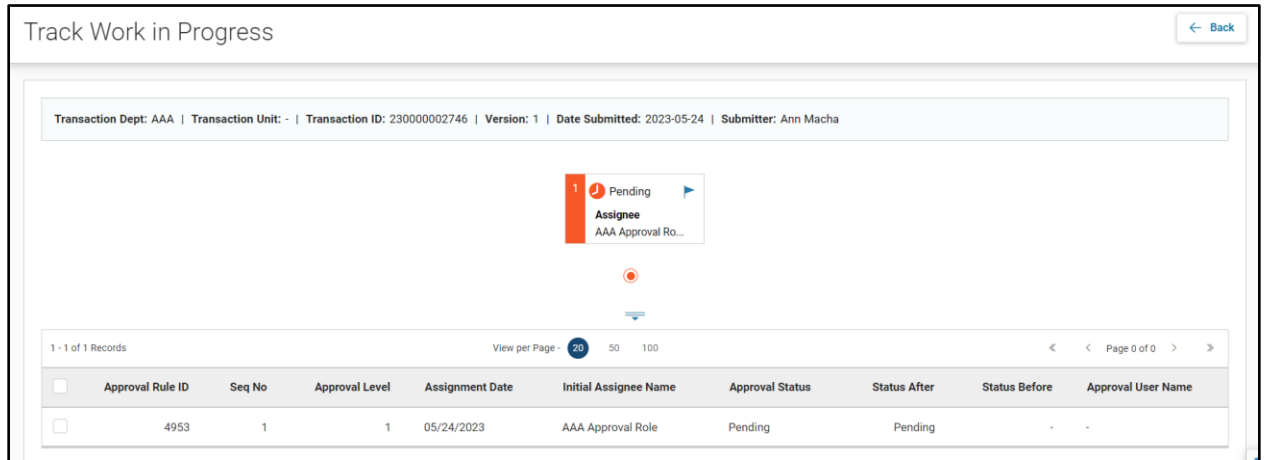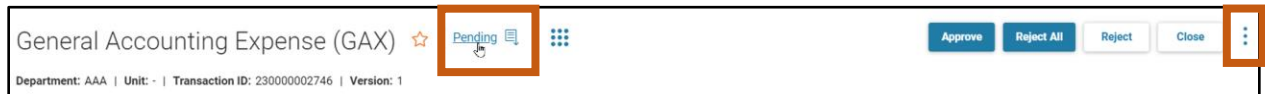
Comments & Attachments

As stated under Transaction Actions, adding a comment (and attachment, if needed) is the most important thing the user can do to communicate up and down the chain exactly what needs to be done to get the transaction approved, or provide necessary related information. Provide explicit instructions (which object or function to use, for example) if possible.

The Transaction Catalog shows whether transactions have comments. Comments and attachments are also indicated with a red dot on the 9-dot menu .

Fixed Asset Acquisition (FA) ☆ | Final 🖹 | ⚏

Department: AAA | **Unit:** - | **Transaction ID:** FAPR2202008 | **Version:** 1