Sonoma County Office of Education

Escape Finance Workflow

DBUG September 2021

Table of Contents

Escape Workflow Implementation

Workflows are used for routing documents such as requisitions, payments, etc... through the software. Workflow definitions allow numerous levels of approvals and notifications for document routing requirements. We are moving to Workflow because of this flexibility, also because **Escape is phasing out of the Standard 1234 module that we are currently using and no longer supporting this process.**

What's the Difference? Standard 1234 vs Workflow

Standard 1234 gives four levels of approvals (location, account, fiscal, department).

Workflows are open-ended with much more flexibility – including the ability to define groups of approvers, or individual users; put approvals in any order based on a wide variety of fields; add Notifications.

Workflows allows you to:

- **Define Approvers**
- **Assign Buyers**
- **Define Notifications**
- **Setup Approval Routing**

Using the workflow setup, we will define approvers, assign buyers, define notifications and setup approval routing. Workflow is based on when an event occurs; the setup will determine what happens next and who is notified in order to process the document through the system. It also **allows editing while in submitted status** based on permissions.

Document Types

- Requisitions: Vendor, Stores, Department
- Journal Entries, Budget Transfers, Budget Revisions
- Payments: AP, Direct, Employee

Maximize Approvals Using Workflow!

STANDARD 1234 APPROVALS VS WORKFLOW APPROVALS

Maximize approvals using workflow!	1234	Workflow
REQUISITIONS - Vendor, Stores, Department		
Approval Notifications	X	X
Status Notifications		X
Other Notifications: Change Notice, Issues, Unissues, Returns		X
Ability to edit in submitted status		X
Approvers can have different account component approvals based on department and type of requisition		X
Approvals are re-evaluated if requisition is edited in submitted status		X
Approvals can be done automatically if requisition is edited in submitted status		X
Approval levels can be customized		X
Approvals done automatically when submtted by approver	X	X
Buyers can approve based on goods and services or account components		X
JOURNAL ENTRIES, BUDGET TRANSFERS, BUDGET REVISIONS		
Approval Notifications		X
Status Notifications		X
Other Notifications: On Hold, Off Hold, Reversed, Error		X
Approvers can have different account component approvals based on JE type		X
Ability to edit in submitted status		X
Approval levels can be customized		X
Approvals can be routed based on location, department, academic department, and campus.		X
Approvals done automatically when submitted by approver	X	X
Notifications for system-generated journal entries		X
COUNTY JOURNAL ENTRIES		
Approvals		X
Approval Notifications		X
Status Notfications		X
Other Notifications: On Hold, Off Hold, Reversed, Error		X
Ability to edit in submitted status		X
PAYMENTS: AP, DIRECT, EMPLOYEE		
Approval Notifications		X
Status Notifications		X
Other Notifications: Check Cancelled, Check Reissued, Check Stale Dated, Check Voided, On Hold, Off Hold, Error		X
Ability to edit in submitted status		X
Approvers can have different approvals based on payment type		X
Approval levels can be customized		X

Workflow Overview

Workflows are used for the organization to define the sequence of approval and notification processes that documents will follow as they move from creation to completion.

The trigger for a workflow is based on the document's events (a requisition is submitted, budget transfer is submitted, an employee is terminated, line items are received, etc.). When an event occurs, then you get to decide what happens next. Are users notified? Is a buyer assigned?

Workflow definitions are open-ended, allowing numerous levels and workflow logic to be defined for specific routing requirements.

While the activities are found in the System module, they can be assigned to non-system managers. This allows non-system managers (like Fiscal users and HR Directors) to create and maintain workflow definitions outside of the User record, controlling business rules without the intervention of system managers.

Relationships

Workflows are driven by document types. Currently, Escape Online supports the following document types:

- Department Requisitions
- Stores Requisitions
- Vendor Requisitions
- AP Payments
- Direct Payments
- Employee Payments
- Journal Entries
- Budget Transfers

There are several activities that are used to define the workflows.

- **Workflow Role Codes** – These are simple codes that should reflect who takes action on a requisition. These roles are used exclusively for tying groups of users to workflow approval paths and workflow definitions. They do not affect access to activities.
- **Workflow Role Users** – These are your approvers. This defines the user's role, within the workflow structure. It is tied to their User ID for approvals and notification purposes.
- **Approval Paths** – These define the steps that are included in each approval. This is where levels, approval dollar range, and approve all vs. any is set up.
- **Workflow Definitions** – This defines the workflow steps and connects it to the document and approval path. The workflow step defines the event and action.
- **To Do Tasks – HR Authorizations Only.** This allows you to define and assign tasks that need to be performed outside of document routing.

Other activities used in setting up workflow features.

- **Buyers** – Vendor Requisitions Only. If you want to assign buyers to vendor requisitions using workflow definitions, you will need to set up buyer records and a role user.
- **Goods and Services** – Vendor Requisitions Only. Goods and services can be used to assign buyers to vendor requisitions based on the Goods and Services field specified in the requisition. (Although you could also use Goods and Services for general workflow without assigning a buyer.) Note that if you create these records and specify a workflow definition for a vendor requisition (in the Department record), the Goods and Services field becomes a required field for that department’s vendor requisitions.

Implementation Considerations

Here is a quick overview of the steps we suggest you take for implementing workflows.

1. Define Role Codes, Approval Path and Workflow Definitions (In Production)
2. Define Role User (In Production)
3. Copy Production to Test
4. Turn Workflows on (In Test)
5. Test Workflows (In Test)
6. Make Changes (In Test and Production)
7. Turn on Workflows (In Production)

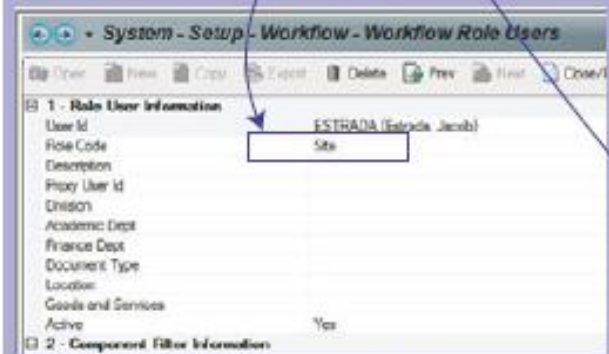
The four main workflow setup records (codes, users, approval paths, and definitions) combine to define the workflow process.

On the next page, there is a graphic representation of how those records work together.

STEP 1: Define Workflow Role Codes

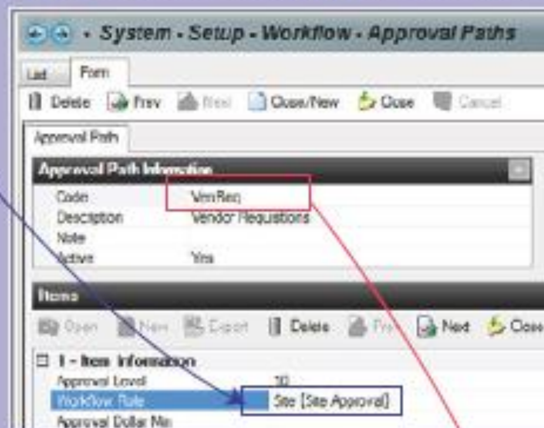
Groups users (e.g., purchasing specialist, payroll, program managers).

STEP 2: Define Workflow Role Users



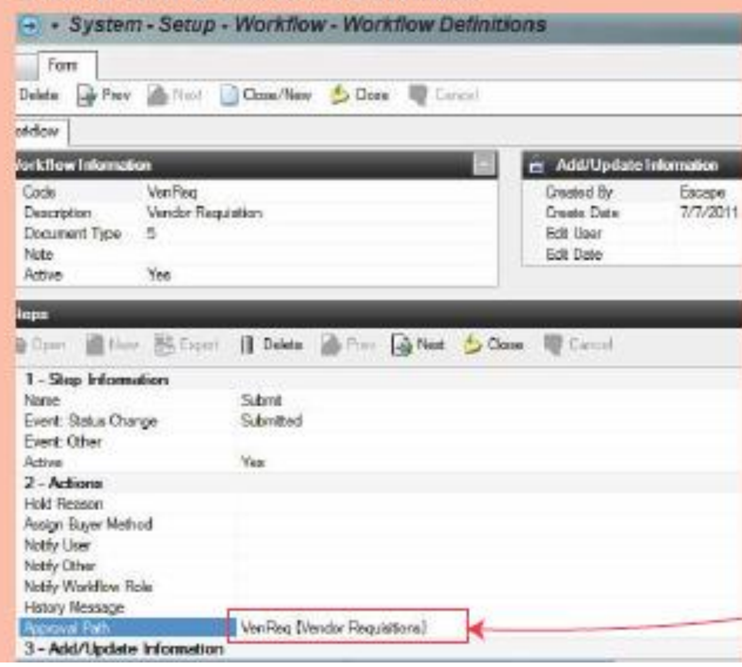
Controls how users fit into the workflow definition.

STEP 3: Define Workflow Approval Path



Defines the order of the approval routing.

STEP 4: Define Workflow Definition



Ties the roles, users and approval paths into a step-by-step workflow.

Workflow Role Codes

SYSTEM – SETUP – WORKFLOW – WORKFLOW ROLE CODES

These are simple codes that should reflect who takes action on a requisition. To start with, you should set up a code for each approval level. (When setting up the Approval path, these codes will be tied to a level and threshold.) Most customers set up codes that reflect the type of group (i.e., Principals, Resource Managers, Budget, etc.), but you could set up codes that just state the level (i.e., Level 10, Level 20).

In other words, the workflow role codes are the "roles" for the users defined in the approval hierarchy. These roles are used exclusively for tying groups of users to workflow approval paths and workflow definitions. They do not affect access to activities.

Just click New after opening this activity and fill out the code and description.

If you'd like the ability to add anyone as an approver manually, you will want to create a role called "manual" and then create a role user for all users that are not already assigned to a role. For example, you want the ability to assign Celeste as an approver but only in certain conditions. The only way to get Celeste in the lookup of approvers when manually adding an approver is if she has a role user record. So, you create a role code of Manual and then create a role user of Celeste and assign her to the Manual role code. This way Celeste will show up in the list of potential approvers without being on a formal approval path.

Sample Role Codes:

Role Code	Description	Note
ACCTCLK	Account Clerk	
CBO	Chief Business Official	
DEMOPORTAL	Demographic Portal Change	Demographic Portal Change
HR TECH	HR Technician	HRA
PAYTECH	Payroll Technician	HRA
PRIN	Principal	
TAXPORTAL	Employee Portal Tax Changes	HRA - Portal Tax changes

Workflow Role Users

SYSTEM – SETUP – WORKFLOW – WORKFLOW ROLE USERS

These are your approvers. This defines the user's role, within the workflow structure, for documents, departments, locations, goods/services and accounts. It is tied to their User ID for approvals and notification purposes. If you want to assign buyers by account components, you will need to assign those buyers to a BUYER ACCT workflow role code.

Click New to add a record. Some of the important fields include:

- Role Code – This is the role code for this user. All codes are not necessarily in the approval path, so you'll need to know which codes are.
- Document Type – Enter a document type if you want to limit this user to one type of document. For example, you only want the user to approve stores requisitions, not department or vendor requisitions.
- Location – If this approver should approve all requisitions for a specific Order Location (regardless of the accounts in the req), select that location from the lookup. Note that this is not the same as the location component in the account string.
- Finance Dept – This could be used for an approver who only needs to approve one department's vendor requisitions. Check out your Departments (Finance – Setup – Department – Departments). If you wanted to point this approver to one of those departments for vendor requisitions, you would select that department from the lookup.
- Goods and Services – This field is related to the assigning of buyers to vendor requisitions. Only use this field if you are interested in that functionality.
- JE Source(s) – JE/Budget Transfers Only. Use the lookup to select one or more sources for this user to approve. Manual and import sources can be applied to approvals or notifications. All other sources can be applied only to notifications.
- JE Type(s) – JE/Budget Transfers Only. Use the lookup to select one or more types for this user to approve. (See the Journal Entries activity How To for an in-depth discussion of the relationship between journal entry sources and types.)

Be sure to add a workflow role user record for each person that may be used in a manual approval, even if they are not part of the “defined” workflow. They will be assigned to the workflow role code of “manual” as defined above.

The fields in section 3 are where you define the account filters. These are filled out exactly as in the user-based setup Component Permissions.

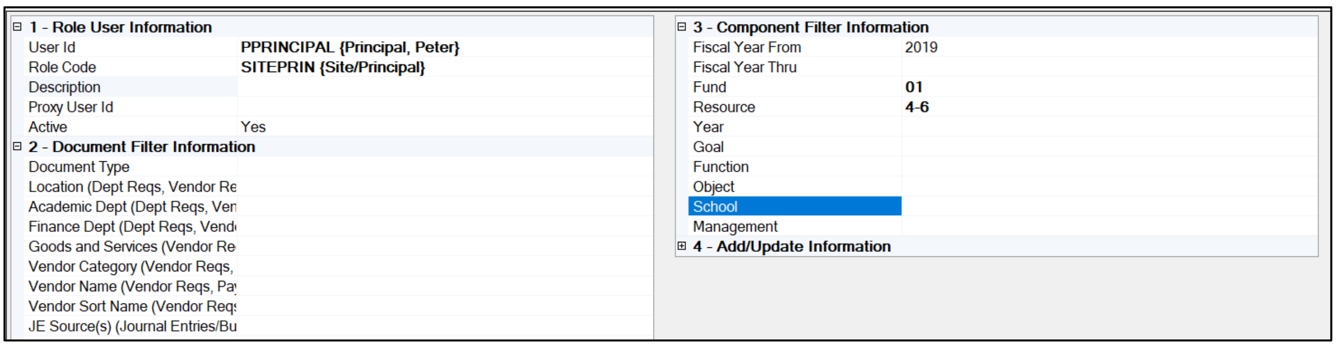
Careful consideration should be made when defining account components for filtering approvals. Note that only users with the exact same account approval setup will be able to approve requisitions for multiple users. This is considered a “restrictive policy.”

For example, you have three users with the account approval setup. Celeste and Michael are setup to approve for resource 3010. Jacob is setup to approve for resources 3010 AND 3020. All three users are set for level 20 with the Approve by All flag set to NO. Because Jacob has the additional resource of 3020, Jacob can approve for Celeste and Michael, but Celeste and Michael cannot approve for Jacob. Celeste and Michael are restricted to the ability to approve only for each other because their account approval setup is exactly the same.

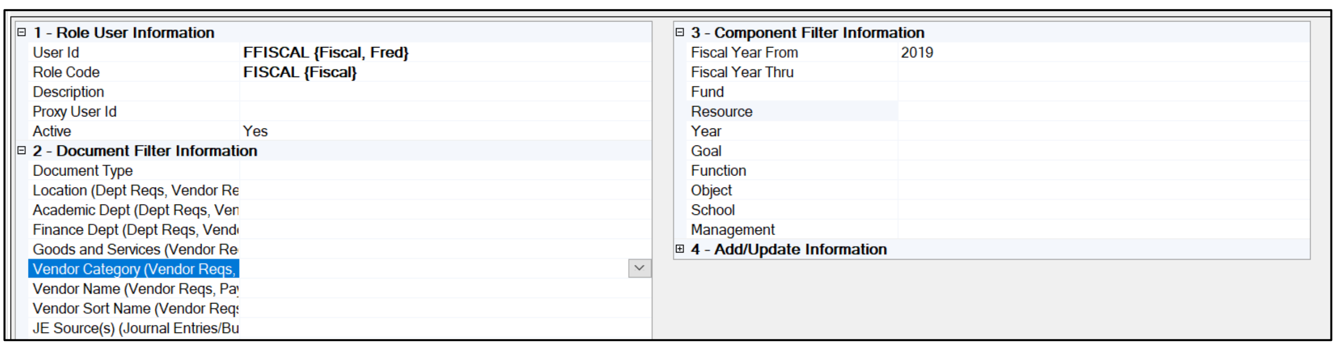
You can define the proxy in this record, but in practice most users handle the assigning of a proxy by themselves from their home page.

Sample Role Users

A user that approves only some accounts:



A user that approves all accounts:



Approval Paths

SYSTEM – SETUP – WORKFLOW – APPROVAL PATHS

These define the approvals for each role (not role user). This is where levels, approval dollar range, and approve all vs. any is set up. While you can add multiple approval paths, some customers set up only one.

Open the Approval Paths activity and click on New. In the top section of this record, just enter a code and description, VENREQ and Vendor Requisition Approval for example.

The Items section (at the bottom of the form) is where you add the levels. You can enter any value between 10 and 99 in the Approval Level field. The next field is the Workflow Role and has a lookup for the Role Codes that were set up in step 1. If this level has a Threshold, enter it in the Threshold field. The Approve by All field defaults to No, which means any approver at this level with the same approval criteria (see #4 below) will satisfy that level. If you set the Approval by All field to Yes, all users at this level with the same criteria will be required to approve.

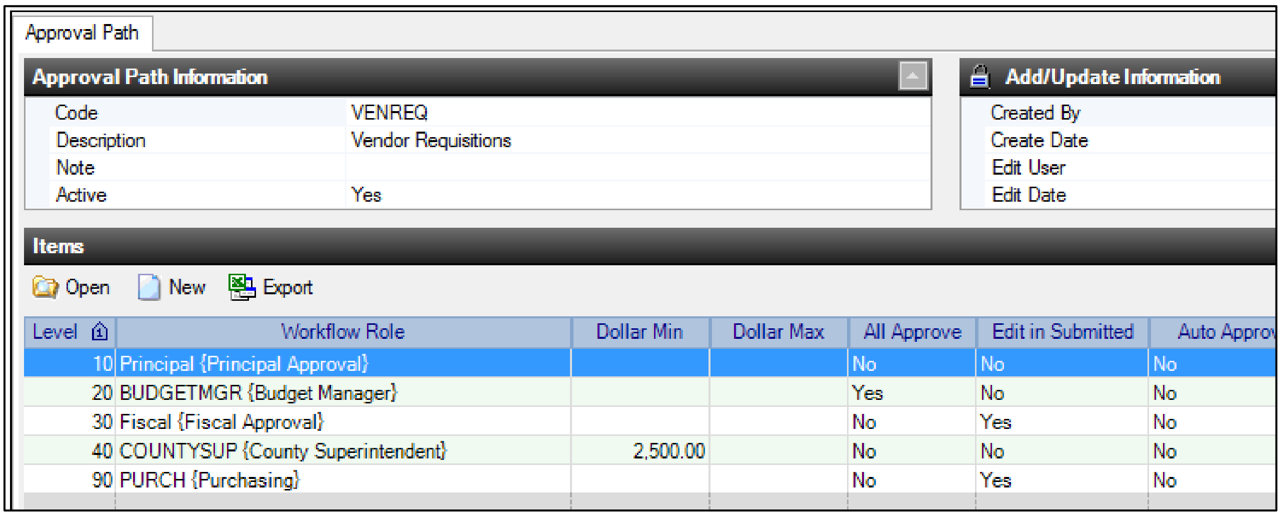
We recommend leaving gaps in the levels in case another level needs to be added at a later date.

- Approval Level – Enter an approval level (from 10 - 99). This allows you to “sequence” approvals. The lowest level must be obtained first. To ensure an approval is always last, enter 99.
- Workflow Role – Use the lookup to select the workflow role for this level.
- Approval Dollar Min – Requisitions and Payments Only. Enter a dollar amount. If a document equals or exceeds this amount, it is routed for approval to the workflow role listed. Or, if you enter an amount in the Approval Dollar Max field, this field will work as a “minimum” to the range.
- Approval Dollar Max – Requisitions and Payments Only. This field works in conjunction with the Approval Dollar Min field (above). Using these two fields, you can enter a dollar range for approvals. For example, your organization could have one person authorized to approve requisitions that are up to 750.00 (blank min, 750 max). A different person authorized to approve requisitions that are from 750.01 to 3000.00 (750.01 min, 3000 max) and the assistant superintendent required to approve all requisitions over 3000.00 (3000 min, blank max).
- Approve by All – Enter Yes to have every user in the workflow role be required to approve all documents that match their workflow role user record. Enter No to allow ANY user in the workflow role to approve the document and move it to the next level.
- Allow Editing While Submitted – Enter Yes to allow approvers to edit requisitions or payments in the Submitted status as if the document were in the Open status. If this flag is set to Yes, all users with the specified workflow role code will be able to edit the document in the Submitted status at this level until they post their approval. This flag can be used for HRA Items, but we do not recommend it. Instead, we suggest that you

use the field-level access for an HRA item. The benefit of "item access" (defined in the HR/Payroll – Setup – HR Authorization – HRA Item Type Forms activity) is the powerful ability to control the editing of each field in an HRA item based on the status of the item.

- Auto Approval When Reevaluated – Works in conjunction with the 'Allow Editing While Submitted' flag. This flag applies to Vendor, Stores and Department requisitions. It also applies to Journal Entries and Budget Transfers.
  - Enter a Yes to automatically approve when user saves/closes document.
  - Enter a No to force the user to post approvals.
- Note – Enter a description of the path for internal purposes.

Sample Approval Path



Approval Path

Approval Path Information

Code	VENREQ
Description	Vendor Requisitions
Note	
Active	Yes

Add/Update Information

Created By
Create Date
Edit User
Edit Date

Items

Open New Export

Level	Workflow Role	Dollar Min	Dollar Max	All Approve	Edit in Submitted	Auto Approv
10	Principal {Principal Approval}			No	No	No
20	BUDGETMGR {Budget Manager}			Yes	No	No
30	Fiscal {Fiscal Approval}			No	Yes	No
40	COUNTYSUP {County Superintendent}	2,500.00		No	No	No
90	PURCH {Purchasing}			No	Yes	No

Workflow Definitions

SYSTEM – SETUP – WORKFLOW – WORKFLOW DEFINITIONS

This is where you define the steps of the workflow and connect it to the document and approval path. The workflow step defines the event (submitted, req items received, printed, etc.) and action (require approval, assign to a buyer, notify a user, etc.). These events are triggered through history records. For example, when a user submits a requisition, a history record is written. This, in turn, triggers a workflow step to assign a buyer and generate approval requests.

You can set up as many workflow definitions as needed. However, you will need at least one workflow definition for each document type.

From this activity, click New to add a Workflow Definition. In the top section, enter a code, description, and document type (i.e., VR and Vendor Requisitions).

In the bottom section, click New to add a step. The Name field should define the definition's purpose, like Approvals. The Event Status Change field has a lookup. You can choose from any event (like Submitted) on the list or use the Other Events field. The last field in section 2, Approval Path, use the lookup and select your path. Save/Close the Step and then Save/Close the Definition.

While you're in this record, check out the other fields. Workflow can be used for much more than just approvals.

Events

- Name – Enter up to 30 characters to "name" the step. For example, Assign Buyer, Route for Approvals, Accounting.
- Event: Status Change – Use the lookup window to select an event (e.g., submit, approved, cancelled, etc.). This field's lookup is filtered by the document type selected above. Some statuses deserve special consideration.
  - Open is for sending notifications when a document is returned to open.
  - Submitted is the only status that supports approvals, regardless of document type.
  - Audit only applies to documents that have COE-level approvals set up. If a document does not have COE-level approvals set up, the document will never go to this status.
- Event: Other – Use the lookup window to select an event that is not related to a document's status (e.g., change notice, on hold, off hold, error, etc.). This field's lookup is filtered by the document type selected above.
- Active – Enter No to "deactivate" this record. It will no longer appear in lookup windows.

Actions

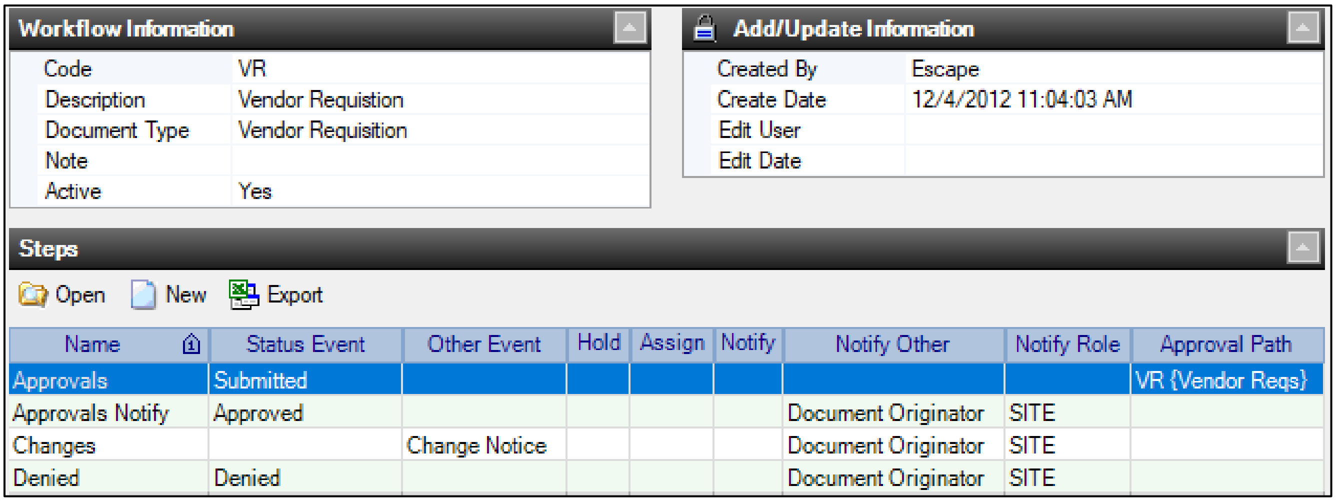
When the event defined above occurs, the following actions will take place.

- **Hold Reason** – Enter a reason to force a document to be put on hold. This means that when the event defined above occurs, the document will automatically be put on hold. Some customers use this to provide extra time to assign a buyer to the requisition. An example of an entry for this field is “buyer hold” for the document type of Vendor Requisition. The entry of this field displays on the approval list.
- **Assign Buyer Method** – Vendor Requisitions Only. Select the Goods and Services method to assign the buyer specified in the Goods and Services record to any requisition that is associated with those goods and services.

  Select Account Components to assign the buyer based on the account components in their role user record, when they have a role of BUYER ACCT.

- **Notify User** – Use the lookup to select an Escape Online user ID to notify. For example, you may want to notify the Superintendent when requisitions over a certain dollar amount are approved.
- **Notify Other** – Use the lookup to select other types of individual notifications (document originator, previous approvers, vendor). This option can be very nice for document originators. For example, you could set up a workflow that notifies the user who created the document when the status changes to complete. This may be especially helpful for HR and Payroll personnel managing HR authorizations. Or, if requisitioners want to know if their requisition has had a change notice created.
- **Notify Workflow Role** – Use the lookup to select a workflow role (group of users) to notify. For example, budget managers want to know when requisitions of a certain amount have been completed. Or, after an employee separation HR authorization has been approved, the IT department may want to know that an employee has been terminated so that they can remove all of the employee’s access points.
- **History Message** – Enter a custom history message to be written to the History tab of the document.
- **Approval Path** – Use the lookup to select the approval path to be used when the event defined above occurs.

Sample Workflow Definition



Workflow Information

Code	VR
Description	Vendor Requistion
Document Type	Vendor Requisition
Note	
Active	Yes

Add/Update Information

Created By	Escape
Create Date	12/4/2012 11:04:03 AM
Edit User	
Edit Date	

Steps

Open New Export

Name	Status Event	Other Event	Hold	Assign	Notify	Notify Other	Notify Role	Approval Path
Approvals	Submitted							VR {Vendor Reqs}
Approvals Notify	Approved					Document Originator	SITE	
Changes		Change Notice				Document Originator	SITE	
Denied	Denied					Document Originator	SITE	

Activating Workflows

SCOE IT will activate Workflow activities. These are the activities in which you specify a workflow to be used.

- **Finance Departments** – ALL Requisitions, AP Payments only. This is where you “turn on” workflow for ALL requisition types and AP payments. Enter the Workflow Definition in the associated Workflow Definition field in the document section of the Finance Department record (Finance – Setup – Department – Departments) and Escape Online will route the document using workflows. You will also need to set the Payment Approval Option flag in the Organization record to define the payment approval processing option for your org-level payment approvals.
- **Bank Accounts** – Employee and Direct Payments only. This is where you “turn on” workflow for employee and/or direct payments. Enter the Workflow Definition in the associated Workflow Definition field in the Bank Account record (Finance – Setup – General – Bank Account) and Escape Online will route the payments using workflows. You will also need to set the Payment Approval Option flag in the Organization record to define the payment approval processing option for your org-level payment approvals.
- **Organization Record** – JE Approval Tab – For budget revisions and general JEs only. This is where you “turn on” workflow for JE Types, including Budget Transfer/Revisions and General JEs. Enter the Workflow Definition in the associated Non System (manual and import sources) or System Workflow Definition field in the JE Approvals tab in the Organization record (System – Setup – Organization) and Escape Online will route the

document using workflows. Only journal entries with a source of manual or import can go through an approval process. All other journal entry sources and types support notifications. In addition, workflow role users can be assigned to finance departments for approval routing.

- **HRA Item Types** – HR Authorizations Only. This is where you “turn on” workflow for an HRA item (e.g., position change, payroll change, etc.). Enter the Workflow Definition in the Workflow Definition field of the record you want to turn on (HR/Payroll – Setup – HR Authorization) and Escape Online will route all items of that type using workflows.
- **System Workflow** – County Journal Entries Only. These are the same types of activities as the “regular” workflow code, user, path, definition, except they are at the system level, designed specifically for system managers to set up workflows for county journal entries.
- **System Config** – County Journal Entries Only. This is where you “turn on” workflow for county journal entries. If you specify a workflow definition in the respective Workflow Definition fields, Escape Online will route the document using workflows.

Testing Workflow Setup

Once you have set up your workflows, it is time to test them. For each document type, you will want to sign in as a user that is not an approver and submit documents that have all of your approval scenarios in the accounts. Make sure you handle more than just component approvals, check to make sure that dollar amount thresholds and goods and services work the way you expect.

Resources

There are many resources available to learn more about this topic and navigation in Escape Online. These links are live only if you are logged into Escape.

- This Handout
- Activity “How To” and “Tutorial” (if applicable)
- Online Resources – Videos
    - General – Jump Start
        - Escape Basics
        - Date Mnemonics
    - System – Workflow Setup
        - Workflow Concepts
        - Workflow Setup
        - Workflow Setup (Webinar)
- Online Resources – Tools – Escape Guides
    - Escape Keys
    - Workflow Overview