ADOA – General Accounting Office

QUICK REFERENCE GUIDE:
WORKFLOW 101
Workflow 101 Purpose

This Quick Reference Guide explains the basic process of reviewing, approving, and rejecting documents that have been submitted to workflow. The approval process is also covered by the Document Approval CBT.

Overview

Q: What Gets Approved? (A: Documents)

Answer: Documents are routed for approval according to Statewide Workflow rules. The simplest documents require approval by a Department Approver; documents with more complex review requirements route to additional approvals by GAO or other centralized agencies.

Q: How are Approvals Processed? (A: From Personal Worklists)

Answer: Documents awaiting approval are placed in Role Worklists. A User with a Workflow Role can go to the Role Worklist for that Workflow Role to “take” a document into the User’s Personal Worklist. From there, the person can approve or reject the document. After approval or rejection, the document either goes to the next approval level, or it is finalized.

Q: What approval restrictions are there? (A: No self-approval)

Answer: By policy and system restriction, Approvers cannot approve documents that they created. This means that the user creating and submitting a document cannot also be an approver on the document. If you expect to be an approver for a document, be sure to have another user Create and Submit the document. In addition, you are not permitted to Edit a document and then subsequently approve it. The user creating and submitting the document takes equal responsibility for its content, so the user must review it just as an approver would.

Worklists

Worklists hold documents that are waiting to be approved. They are found under the Message Center in the AFIS Navigation Panel.

Role Worklist

AFIS routes documents that are pending approval to a Role Worklist; any user with the Workflow Role corresponding to the Role Worklist can take the document for approval. GAO recommends that Departments assign enough Users to the same Workflow Role to maintain normal business operations.

Personal Worklist

To approve a document, use Take Task to move it from the Role Worklist into your Personal Worklist. No other user can Approve or Reject the document when it is in your Personal Worklist.
If you are not able to approve or reject the document, use **Return Task** to move it back to the Role Worklist so that another User with the same Workflow Role, may Approve or Reject the document.

**Actions**

Actions are listed both on the Action Menu and as links on the various pages where they are used.

**Worklist Actions**

1. From the Role Worklist, use **Take Task** to bring the document into your Personal Worklist

2. From your Personal Worklist, use **Return Task** to put the document back in the Role Worklist so that someone else can review and Approve or Reject it

3. Use **Refresh** to update a page after you have made changes

4. Use **Recall** to re-review any documents you have already approved (and that no longer appear in your Personal Worklist); you can then decide to Approve or Reject. Recall will not work if the document has been finalized.
Document Actions

1. **Use Approve** to apply your **signature** and route the document to the next approver or to Final phase. From the Document 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 document in its final state.

2. **Use Reject** to return the document to the previous approver (or to the originator if you are the first approver). From the Document Comments page that opens next, add a Comment to explain any changes that are required before resubmitting the document.

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

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**Submitter Mistakes**

- Missing Attachments
- Resubmit after rejection without reading comment

**Approver Mistakes**

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

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*Common reasons for Rejection are listed in the box. Be sure to provide clear explanations of your actions to avoid re-work after you are done with it.*
Track Work in Progress

For any document in Pending or Final phase, use **Track Work in Progress** to view approvals and rejections that have been applied as well as who is next to approve.

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Comments and Attachments

As stated under Document Actions, adding a Comment (and Attachment, if needed) is the most important thing you can do to communicate up and down the chain exactly what needs to be done to get the document approved, or provide necessary related information. Provide explicit instructions (which Object or Function to use, for example) if possible.

The Document Catalog shows whether Documents have Comments. Comments are also indicated with a quote-bubble icon on the Title bar of the document.

Attachments are indicated with a paper clip icon at the Component where they are attached.