Business Process Guide

How to Process a Worklist Transaction

A guide for approving, returning and canceling a worklist transaction.

HR Data Management Contacts

Please refer to the Data Management staff directory for the Data Management Specialist responsible for your department.
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Introduction

The Personnel Transaction Request is the front-end application used to submit job data and payroll transactions and process-related transactions in PeopleSoft. The employee's job/payroll information is submitted through the PTR application where it is sent to the Cost Center or Grant Manager in your department for approval. Depending on the type of transaction, it also may be sent to other designated approvers. Once approved by all the appropriate levels, the PTR is either sent for further processing or uploaded to PeopleSoft.

Position Management is a front-end application used to submit position transactions that can be marked ready for recruitment. These transactions also use workflow and appear on the worklist of the Cost Center or Grant Managers and others in the department for approval.

Process Diagram for Workflow

1. PTR/Position is originated by a department user.

2. A specific set of workflow pathways will be generated for the transaction per the current matrix.

3. Each step must be approved by one of the listed approvers for that step, in order.

4. Transaction is sent for further processing or is staged for future update. PTR updates to Job Data once fully approved; Position integrates to Kenexa at next integration.
Preparation

Security Roles You Will Need

The security roles should be distributed according to your department’s internal business processes. Some users will have all roles; others will have a few roles and will need to work with other users in the department to complete the full process.

Each system — PTR, Position and Workflow — requires specific roles to complete the necessary transactions.

Also listed in this guide are several other roles needed for other systems that may be necessary prior to the PTR creation. These roles may all be performed by the person who originates the PTR or by another person in the department.

How to Apply for These Roles

To check what roles you currently have, log in to PeopleSoft at https://hr.oasis.asu.edu. Navigate to ASU Customizations > ASU Security > Manage Security Requests > My Security Access Roles

You may also choose the ‘PeopleSoft - Submit a Role Request’ catalog item in ServiceNow. You will be prompted to log in to PeopleSoft if you are not already.

Here are the roles you or someone within your department will need to start the process. There also is a brief description of the type of access these roles will provide.

Position Management Security Roles

<table>
<thead>
<tr>
<th>Human Capital Management (HR) - Position Management (PM)</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ ESC Redistribution</td>
</tr>
<tr>
<td>☐ ☐ HCM Dept Financial Mgr</td>
</tr>
<tr>
<td>☐ ☐ HCM Dept Financial Mgr</td>
</tr>
<tr>
<td>☐ ☐ HCM Dept Position Manager</td>
</tr>
<tr>
<td>☐ ☐ HCM Dept Position View</td>
</tr>
<tr>
<td>☐ ☐ ☐ OHR Position Mat General User</td>
</tr>
<tr>
<td>☐ ☐ ☐ OHR Position Mat General User</td>
</tr>
<tr>
<td>☐ ☐ ☐ OHR Position Mat Super User</td>
</tr>
<tr>
<td>☐ ☐ ☐ OHR Position Mat View</td>
</tr>
</tbody>
</table>

HCM Dept Financial Mgr:
Provides you with the ability to review and create or modify a position as well as to update the funding tied to a position number. Access to the position worklist is also granted.

HCM Dept Position Manager:
Provides you with the ability to review and create or modify a position number. Access to the position worklist is also granted.
PTR Originator:
This role provides you with the ability to submit personnel transactions through the PTR.

Security Training

Note that all three of these roles require training in order to gain access. The classes are available on-line in Career EDGE.

- Click “Browse Training” or under the "learning" menu header, select “learner home.”
  - Search for the desired class(es):
    - HRIS: Department Position Manager
    - Kenexa Access Training - Prior to Gaining Access
    - or Using the Personnel Transaction Request (PTR)
- Click on the "launch" button to start the course. Repeat the above steps to enroll in each class.

Follow the instructions found within the course to gain access to your role.
Workflow Roles

You do not need formal training for these roles, but it is helpful to look at the training documents online.

PTR Approver: This role provides access to the worklist to approve transactions at the cost center/grant manager level. The user must be listed as a PeopleSoft HR Cost Center and PeopleSoft HR Grant Manager in Workday to be able to apply for this role.

Use the Approver Role Request on the Workday Landing Page to request the PS HR Cost Center or Grant Manager role in Workday.

PTR Dean/VP Approver: This role provides access to the worklist to approve transactions at the Dean/VP level for both Position and PTR. Members of this role must be the Dean/VP or someone who has been designated by the Dean/VP to perform approvals on their behalf.
**PTR Provost/EVP:** This role provides access to the worklist to approve transactions at the Provost/EVP level for PTR and Position Management. Membership in this role is limited and will only be granted if you have been designated by the Provost/EVP to obtain access to this role.

**Note:** There are many other security roles required to make the PTR process flow smoothly. All other roles are specific to areas within OHR, Financial Services, or Student Administration, and should not be requested by people outside of those groups.
General Overview of Worklist

Select Worklist Page

ASU Customizations >ASU HCM Custom >ASU HR >Personnel Transaction Request >PTR Worklist

This is the default landing page when you navigate to the PTR and Position Worklist. This page will display the total number of transactions on both the PTR and Position Worklists. You can navigate to either worklist from this page by clicking the link or by using the tabs at the top of the page.

<table>
<thead>
<tr>
<th>Pending Approvals</th>
<th>Transactions on Worklist</th>
<th>Transactions as Approver</th>
<th>Transactions as Originator</th>
</tr>
</thead>
<tbody>
<tr>
<td>PTR Worklist</td>
<td>48</td>
<td>39</td>
<td>9</td>
</tr>
<tr>
<td>Position Worklist</td>
<td>72</td>
<td>0</td>
<td>72</td>
</tr>
</tbody>
</table>

PTR and Position Worklist Overview

At the top of the worklist, you will find a series of filters to narrow your worklist to view only certain items. You can select more than one filter at a time.

PTR Filters:

Position Filters:

A legend is provided at the top and bottom of the worklist to help you determine what options are available for each specific transaction. As an Originator, you will only be able to Cancel, View/Approve and Review information about the workflow step.

The “Details” tab on this worklist can be used to view other information about the transaction.
**PTR Statuses**

Each PTR will be given a status: Below is a chart of all the statuses and what they mean to you.

<table>
<thead>
<tr>
<th>Status</th>
<th>What this means to you</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved (A)</td>
<td>PTR has gone through all workflows and is approved.</td>
</tr>
<tr>
<td>Batch (B)</td>
<td>For PTR with a Work in Process status, this status appears for individual pieces of a job when you click on the status hyperlink. It means the PTR was approved by all levels of approval, but is for a future effective date or payroll is open. These PTRs are staged in this status until the effective date of the PTR is met or payroll has closed.</td>
</tr>
<tr>
<td>Draft (D)</td>
<td>A PTR was started by you, but not yet submitted for approval.</td>
</tr>
<tr>
<td>CI Error (E)</td>
<td>The PTR has been approved by all approval levels, but a system error occurred and it was unable to upload to PeopleSoft. Data Management will manually process the transaction.</td>
</tr>
<tr>
<td>In-Process (I)</td>
<td>The PTR is waiting for all the approvals to be gathered for the transaction to be uploaded into job data. To find out which specific level of approval is needed, click on the “View Approvers” icon.</td>
</tr>
<tr>
<td>Manual PTR (M)</td>
<td>The PTR has been approved by all levels of approval, but an exception was identified for the PTR or pieces of the PTR. Data Management will manually process your transaction.</td>
</tr>
<tr>
<td>Processed (P)</td>
<td>The PTR has successfully uploaded to PeopleSoft and the transaction will be archived when the archive process runs.</td>
</tr>
<tr>
<td>Returned (R)</td>
<td>The PTR was returned by one of the approvers because the PTR needs editing.</td>
</tr>
<tr>
<td>CI in Process (U)</td>
<td>PTR should only appear in this status briefly during the time it is being applied to Job. Before the CI processing starts, the PTR status will be set to this value. If it errors, it should be set to ‘E’, if it is successfully processed, status should be set to ‘P’.</td>
</tr>
<tr>
<td>Work in Process (W)</td>
<td>Used when partial transactions are processed and when the PTR Updater starts to process PTR(s).</td>
</tr>
<tr>
<td>Canceled (X)</td>
<td>The PTR was canceled by the originator and is waiting for the archive process to run to archive the information.</td>
</tr>
</tbody>
</table>

The PTR will auto-archive items that have been fully approved, canceled, or returned after four days from the date it reached one of those statuses. Drafts will be auto-archived after 30 days.
Position Statuses

Each Position will be given a status: Below is a chart of all the statuses and what they mean to you.

<table>
<thead>
<tr>
<th>Status</th>
<th>What this means to you</th>
</tr>
</thead>
<tbody>
<tr>
<td>Batch (B)</td>
<td>The position has an effective date set for the future and will process at that time, or the position is fully approved but payroll is open. Positions will be processed once the open payroll closes.</td>
</tr>
<tr>
<td>Error (E)</td>
<td>A problem occurred during processing, which will need to be addressed by Data Management. This status will only occur for filled positions.</td>
</tr>
<tr>
<td>WF Approve (K)</td>
<td>A position has been marked for recruitment, account funding has been added to the position, and it has been submitted for workflow approval. The position will appear on the originator’s worklist.</td>
</tr>
<tr>
<td>Manual (M)</td>
<td>The position requires manual intervention by Data Management. This status will only occur for filled positions.</td>
</tr>
<tr>
<td>Not Submitted (NS)</td>
<td>The position has not been submitted and will not process until you “Save and Submit.” This status occurs when you choose to “Save for Later.”</td>
</tr>
<tr>
<td>Processed (P)</td>
<td>The position has received all needed approvals and is awaiting integration, if applicable. Or position was not marked for recruitment, was automatically approved by the system, and is ready for use.</td>
</tr>
<tr>
<td>Returned (R)</td>
<td>An approver or Data Management has denied the position and it has been returned for your review. You must edit and resubmit to continue processing or you can choose to cancel the transaction by withdrawing the position.</td>
</tr>
<tr>
<td>Submitted (S)</td>
<td>The position has been submitted but account funding has not yet been added. This status occurs when you choose to “Save and Submit,” but have not yet added funding through maintain position accounting.</td>
</tr>
<tr>
<td>Withdrawn (W)</td>
<td>Changes you have made no longer exist and the transaction will be removed from your work-in-progress folder. This status occurs when you choose to “Withdraw” a position. You can only withdraw a position with NS status or R status.</td>
</tr>
</tbody>
</table>

Positions that are in recruitment will remain on the worklist until they are no longer in recruitment. This can happen either by the position being unmarked ready for recruitment by the PTR, or manually by Recruitment and Selection.
Approver's Worklist Overview

At the top of the worklist, you will find a series of filters to narrow your worklist to view only certain items. You can use more than one filter at a time.

PTR Filters:

<table>
<thead>
<tr>
<th>Filter</th>
<th>Role</th>
<th>PTR Action</th>
<th>PTR Status</th>
<th>PTR</th>
<th>Clear</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Position Filters:

<table>
<thead>
<tr>
<th>Filter</th>
<th>Role</th>
<th>Position</th>
<th>Status</th>
<th>Empl ID</th>
<th>Empl Class</th>
<th>Clear</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

A legend is provided at the top and bottom of the worklist to help you determine what options are available for each specific transaction. As an Approver, you will only be able to Approve, Return, View/Approve and Review information about the workflow step.

It is highly recommended that you use the View/Approve link to view the transaction before you decide whether to approve the transaction or return the transaction to the originator. You are the originator's second set of eyes to make sure the data entered into the system is correct.

For Position approvals it is also recommended to review the Position Justification by clicking on the position number link on the worklist. This will give you access to the comments that were entered by the originator when they created the transaction.
Because a transaction requires your approval, it will appear on your worklist and you will be notified via email that you have a transaction to view. As you approve or return the transaction, the transaction will disappear from your worklist.

When a step has multiple approvers listed for a given transaction, only one of those approvers must approve or return the transaction. An email will be generated to all approvers at a given step; however, once one approval is applied to the transaction, it will no longer appear on the other approvers’ worklist at that step.

As an approver, you will be given the opportunity to write comments if you decide to approve or return a transaction. Comments are optional on an approval. If you do decide to comment, all the proceeding approvers (if there are multiple approval steps) will be able to view your comments.

Comments are required if you return a transaction. These comments should be explicit to the originator explaining exactly why the transaction is being returned and what action the originator must take.

**Note:** This comment box is limited to 250 characters.

After you type your comments or choose not to comment, click the “OK” button. You will then receive the following message:

**PTR Message:**
Position Message:

Once you click the “OK” button, you will be returned to the worklist and the transaction you approved will be removed from the worklist.

**Note**: If you hold both Originator and Approver roles, your worklist will contain both types of worklist items. Your view could be different depending on the type of transaction and if you hold any additional approval roles (i.e., Dean/VP or Provost/EVP). Here is an example of what it would look like:

<table>
<thead>
<tr>
<th>Proposed Data</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Status</td>
<td>Workflow Step</td>
</tr>
<tr>
<td>In-Process</td>
<td>Cost Center/Grant Mgr Non-Term</td>
</tr>
<tr>
<td>In-Process</td>
<td>Cost Center/Grant Mgr Non-Term</td>
</tr>
</tbody>
</table>

In the example above, both transactions are waiting for action to be taken. Since you are in the approver role, you must approve or return the top transaction. Once you do so, it will be removed from your worklist. The bottom transaction is one that you originated. You may cancel the request if needed while it is in-process (not yet fully approved) or review the PTR details. It will remain on your worklist until all approvers have approved the transaction, it has been processed into job data, and the auto-archive process runs or the position is no longer ready for recruitment.
Step-by-Step Worklist

Managing PTR transactions on your worklist versus Position transactions is very similar. The steps below should be used for either worklist.

How to Approve a PTR/Position Worklist Transaction

You should receive an email indicating that you have a transaction to approve. You can use the link in the email to navigate to the worklist.

If you are unable to use the link to get to the worklist, access Position/PTR Worklist via My ASU:

Here is the navigation path to go to the worklist directly through PeopleSoft:

ASU Customizations > ASU HCM Custom > ASU HR > Personnel Transaction Request > PTR Worklist

Step 1: Locate the transaction you are trying to approve on your worklist. There are many filters at the top of the page to narrow your worklist view to see only the items you want to see.
Step 2: Use the View/Approve icon to view the PTR/Position submitted for your approval. Be sure to review the information for errors.

Step 3: Click on the “Go to PTR Worklist” button to return to your worklist. On the Main PTR Page:

On the Position Cross-Reference Page:
**Step 4:** To view the list of approvers from the worklist, click on the “Workflow Step” link.

**PTR Worklist:**

![Worklist Example]

**Position Worklist:**

![Position Worklist Example]

To see the list of approvers, click on the “Multiple Approvers” link.

**Cost Center/Grant Mgr**

![Cost Center/Grant Mgr Example]

A window will pop-up, which contains all the approvers at the level selected.

![Approver List Example]
**Step 5:** Click the “Return” button to return to your worklist.

![Cost Center/Grant Mgr](image)

**Step 6:** Click on the ✔️ Approve icon. PTR Worklist:

![PTR Worklist AWE Monitor](image)

You may also approve the PTR by clicking on the “Approve” button at the bottom of the PTR.

![PTR Business Notes](image)
Position Worklist:

You may also approve the Position by clicking on the “Approve” button at the bottom of Position Cross Reference.

Step 7: You will be prompted to enter comments on your approval. Please type in the comments and click the “OK” button.

Comments are not required on an approval. If you do not want to comment, leave the comment field blank and click the “OK” button.

You will receive a message that indicates the approval has been processed for the specific employee you have selected. Click the “OK” button to continue.
Step 8: Repeat above steps and approve another transaction or sign out of PeopleSoft.
How to Return a PTR/Position Transaction from Your Worklist

You should receive an email telling you there is a transaction to approve. Click on the link in the email to navigate to the worklist.

If you are unable to use the link to get to the worklist, access PTR/Ptr Worklist via My ASU:

Here is the navigation path to go to the worklist directly through PeopleSoft:

ASU Customizations > ASU HCM Custom > ASU HR > Personnel Transaction Request > PTR Worklist

Step 1: Locate the transaction you are trying to return on your worklist. There are many filters at the top of the page to narrow your worklist view to see only the items you want to see.
Position Worklist:

**Step 2:** Use the View/Approve icon to view the PTR/Position submitted for your approval. Be sure to review the information for errors.

**Step 3:** Click on the “Go to PTR Worklist” button to return to your worklist. On the Main PTR Page:

On the Position Cross-Reference Page:
**Step 4:** To view the list of approvers, click on the “Workflow Step” link. PTR Worklist:

![Screen capture of Proposed Data table](image)

Position Worklist:

![Screen capture of Proposed Data table](image)

To see the list of approvers, click on the “Multiple Approvers” link.

![Screen capture of PTR Worklist AWE Monitor](image)

A window will pop-up, which lists the approvers at the level selected.

![Screen capture of approver list](image)
Step 5: Click the “Return” button to return to your worklist.

Step 6: Click on the Return icon. PTR Worklist:

You may also return the PTR by clicking on the “Return” button at the bottom of the PTR.

Position Worklist: Click on the Return icon.

You may also return the Position by clicking on the “Return” button at the bottom of Position Cross Reference.
**Step 7:** You will be prompted to enter comments. These required comments should reflect the reason you are returning the transaction and what you would like the originator to do. Once the comments are entered, click the “OK” button.

You will receive a message that indicates the return has been processed for the specific employee you have selected.

**PTR Message:**

Position comments screen:

**Position Message:**
An email will be automatically generated to the Originator to let him/her know you have returned the PTR/Position.

PTR for [REDACTED] has been returned.
To: [REDACTED]@asu.edu

PTR 00000468273 has been returned and is not approved. Please click the link to review the details.

https://urldefense.proofpoint.com/v2/url?u=https%3A__asuhrst.psdev.asu.edu__psp_asuhrst_EMPLOYEE UV2558Qusp8WY00n1GcN4_2flnakYs2h9oQ8r=8ulf619st7t2OVRHlw8jAsM8QuUyVGgKZ_x8yHaow&m=GyTQCIihj6vbB8Dh8T0DAiJSwrbQauv8DEWnmcs5Gwx85e4kE_KKDID1jzI-ZWcGMqIEpkp

Position 114276 has been returned and is not approved. Please review the return reason listed below and use the 'Work-in-Progress' radio button in "Create/Modify Positions" to take corrective action.

Return Reason:

Step 8: Repeat the above steps and return another transaction or log out of PeopleSoft.
How to Cancel a PTR/Position Transaction from Your Worklist

The ability to cancel a transaction is granted only to the Originator of that transaction. PTR transactions that an originator has submitted or saved as draft will appear on the worklist until fully approved/canceled and archived or returned. Originators can cancel a transaction at any point before the transaction has received all approvals. Position transactions that have been submitted will appear on the worklist until fully approved and archived, canceled, or returned. Originators can only cancel new positions at any point before the transaction has received all approvals. The cancel button will be greyed out for modified positions—these positions must be returned and withdrawn to be canceled.

Step 1: Locate the transaction you are trying to cancel on your worklist. There are many filters at the top of the page to narrow your worklist view only the items you want to see.

PTR Worklist: status must be In-Process to cancel

Position Worklist: position must be new and status must be WF Approve to cancel

Step 2: Click on the “Workflow Step” link to view comments (if any) of other people who have approved the transaction.

PTR Worklist:
Position Worklist:

Step 3: Click the “Return” button to return to your worklist.

Step 4: Click the “Cancel” icon.

You may also cancel the PTR by clicking on the “Cancel” button at the bottom of the PTR.
Position Worklist: this is the only way to cancel a position

**Step 5:** You will be prompted to confirm you want to cancel the PTR/Position. Click the “OK” button if you want to proceed.

**Note:** The status on the PTR worklist will automatically be changed to canceled (the canceled position will be automatically removed from the worklist).

The PTR will be auto-archived five days after this action was taken. If you would like to manually archive the transaction you must to go to the Main PTR Page to do so. If you manually archive your PTR, the employee record will be available immediately for further action to be taken by you or another originator in your department.

All people who have approved the transaction previously will be notified via email that the transaction has been canceled.
If no approvers had approved the transaction prior to the originator’s cancel action, they will not be sent an email. When the approver reaches the worklist page, there will no longer be a transaction available for them to approve.

Other Functionality That May be Used:

**PTR**

**Edit PTR Function**

As an originator, there may be cases in which you would like to resubmit a PTR you have canceled. You can resubmit the PTR by clicking on the “Edit PTR” button at the bottom of the Main PTR Page.

You will receive a message indicating a new PTR must be created to regenerate the workflow that would associate with the new transaction.

This will cause the PTR fields to be opened for data entry. You can then make any changes and click on the “Save and Send for Approval” button at the bottom of the page.

If you have modified position details or position accounting details, you must remove the position number, ‘tab’ out of the field, and then replace it so that the PTR reflects the changed values. Failure to do so may result in errors.
Position

Withdraw a Position

As an originator, you have the ability to cancel any newly created positions before they are fully approved, but you cannot cancel a transaction for a modified position. However, you can withdraw this transaction before the workflow is initiated or if it has been returned to you by an approver or Data Mgmt.

In order to withdraw a position change request, the position number needs to be in either a “Not Submitted” or “Returned” status. You can therefore withdraw while you are in the middle of creating or modifying a position by clicking the button at the bottom of the page, you can reenter a position with a “Not Submitted” status that you originally saved for later and click the Withdraw button, or you can enter a “Returned” position in order to withdraw.

On the Position Worklist, only a modified position will show the cancel button greyed out while the status is WF Approve. If you need to cancel this transaction, contact an approver and request the transaction be returned to you.

Once you receive notification of the return, you can view the transaction in your worklist:

To withdraw, navigate to your Return to Work-In-Progress menu using this navigation: ASU Customizations > ASU HCM Custom > ASU Position Management > Create/Modify Positions

Create/Modify Positions

Create New or Modify Existing Position

○ Create New Position  ○ Modify Existing Position  ○ Return to Work-In-Progress
Click on the position link for the position in a Returned status:

**Workflow Matrix**

The most current workflow matrix for both Position and PTR is available online, under Resources on the Data Mgmt website. It is important to note that this matrix can be changed at any time, which will also be reflected in the PTR/Position workflow. If changes are made to the workflow, these changes apply to any PTR/Position that is submitted after the effective date of the workflow changes. Previously submitted PTRs/Positions are not subject to any workflow change rules. If you have questions on the way a transaction is routing, it is advisable to check the current matrix. If the transaction seems to be routing inappropriately, please contact your Data Management representative.

**Resources**

Please review the resources available on the Data Management website and contact Data Mgmt if you have questions.