Mississippi Management and Reporting System

Department of Finance and Administration

MMRS MASH/Training Materials		
6101	SPAHRS Approval Process Overview	Revision Date: 06/02/2016
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SPAHRS Approval Process
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Objective

Explain the approvals process in SPAHRS.

Outcome

An understanding of the approval process and requirements of user agencies is achieved.

Overview

SPAHRS security is designed to (1) maintain the confidentiality of state agency data recorded in the system; (2) maintain internal control; and, (3) establish audit trails for all transactions in the system.

The SPAHRS Security Administrator is responsible for performing all centralized security management functions. This responsibility includes maintaining the integrity of system security and ensuring that state agency management staff who are authorized to approve internal system access adhere to the SPAHRS Security System procedures.

Each SPAHRS user is given system access to perform various functions in SPAHRS. These functions include entering and browsing data, and generating reports based upon the user's security profile. The security profile defines the security group assigned to the user, the security level, default printer information, and Notes and Comments groups for the user.

Approval Process

The approval process is an integral part of SPAHRS. It is designed to facilitate the review and final disposition of human resource and payroll transactions that require internal or regulatory agency action. Designated user agency personnel are set up in the approval subsystem as approvers, and the system validates the approvers with other SPAHRS files to ensure they are active employees who are authorized to approve. This approval subsystem adds another level to the multi-layered security in SPAHRS.

There are three components of the approval process:

- Approval Review Points by Agency - each agency designates two people (a primary and an alternate) for each review point; these are approvers for the agency.

- Transaction Profile with Review Points - routes the transaction from person to person for review and approval.

- Transaction Program - any transaction requiring approval has a profile code that triggers the approval process (*i.e.*, Hire Employee from NEOGOV).

Transaction Review Points

Transaction review points are the points established in transaction processing where designated personnel review and approve transactions in SPAHRS. There are two types of review points:

- Optional internal agency review points
- Mandatory control agency review points

Each group of human resource and payroll transactions can be established with different review points. User agencies may decide, based on staff resources, to duplicate the review points for some groups of transactions OR may choose not to use internal agency review points at all.

Each agency first determines whether internal agency review points are needed. If so, the agency designates a primary and an alternate employee to perform the review and/or approval tasks for the different types of data entry transactions requiring internal agency approval. The agency completes a SPAHRS Security Profile Maintenance Form for submission to the SPAHRS Security Administrator. When entered into SPAHRS, these designated personnel become the "review points" of the agency's approval process.

Approval Processing

The transactions requiring approvals are coded in the computer programs that process the transactions. When the user selects a menu option to perform a specific function, the approval process starts automatically if that transaction has been coded for approval processing. The person entering the transaction into the system completes data entry and releases the record by changing the "Transmit for Approval flag" to a "Y." The record automatically transfers to the first review point (individual) on the agency approval list for approval action. Each approval review point is automatically notified when a transaction is transferred to it for review and action. This process continues until the final disposition is completed. The originator is notified upon final disposition of the transaction.

The approval subsystem also provides a feature for entering "Notes and Comments" on processed transactions. "Notes and Comments" allows restrictions to be established to control viewing (reading) Notes and Comments by specific review points.

Designated agency personnel maintain the established review points. It is important to ensure that the review points are correct and active.

SPAHRS Owners of the Approval Process

The SPAHRS approval subsystem requires each user agency to establish a primary and an alternate owner for the approval system. The owners must be SPAHRS users with SPAHRS logon IDs. The owner has control over the review points for the agency. This means the owner can perform the following tasks:

- Remove existing agency review points
- Move transactions from the primary approver's mailbox to the alternate approver's mailbox
- Swap the primary and alternate for a review point when the primary is unavailable for an extended period of time
- Change the people in the review point (*i.e.*, when job responsibilities change)
- Change the PIN for a review point (*i.e.*, when someone is promoted or leaves an agency)

Maintenance of the review points is critical. Any approver change that is not recorded in the system will result in an error that stops the transmittal of transactions for approval at that point.

Notification Process

The system has an automatic notification process for approvals. If multiple approvals are required, the system notifies the next approving level that a transaction is ready for his/her approval. Notification when the approval or disapproval has been given can be transmitted back to the originating person or agency. Some browse options display records with pending approvals.

Transactions requiring approvals are recorded as pending until approved. If the transaction is disapproved, it is noted as pending but flagged as disapproved. A disapproved action can be withdrawn and resubmitted for approval with necessary changes, or withdrawn and purged from the system. Certain processes of the system also record approvals by a status code. However, this generally occurs only for human resource transactions.

Key Concepts

Key Concepts	Description
User Security	Each SPAHRS user receives system access to perform various functions in SPAHRS.
Security Profile	Determines access to user functions including entering and browsing data, and generating reports. The security profile defines the security group assigned to the user, the security level, default printer information, and Notes and Comments groups for the user.

Key Concepts	Description
SPAHRS Security Administrator	The SPAHRS Security Administrator is responsible for performing all centralized security management functions.
Security Group	Determines the authorized access to specific menus, screens, transactions and types of processing (read only, delete, update) that can be performed by all members of the group.
Security Level	The security level determines which agencies the user can access.
Notes and Comments User Group	The notes and comments security group authorizes access to enter or retrieve various notes and comments throughout the system.
Agency Contact Person Primary/Alternate	These employees are responsible for authorizing all SPAHRS security access for a user agency.
Transaction Review Profile	Establishes the review and approval route for a transaction in SPAHRS.
Review Points	Points established in transaction processing for designated personnel to review and approve transactions in SPAHRS.
Transaction Programs	Transactions requiring approvals are coded in the computer programs that process the transaction. When the user selects a menu option to perform a specific function, the approval process is automatically started if that transaction has been coded for approval processing.
Primary/Alternate	SPAHRS requires a primary person and an alternate (backup) person to be set up as approvers and owners in the system.
Owners	Owners must be SPAHRS users with SPAHRS logon IDs. The owner has control over the review points for a user agency.
Notification Process	There is an automatic notification process for approvals. If multiple approvals are required, the system notifies the next approving level that a transaction is ready for approval. Notification when the approval or disapproval has been given can be transmitted back to the originating person or agency.
Notes and Comments	A feature, attached to predefined business processes in SPAHRS that allows a user to attach free-form notes or comments to a transaction “behind the business process.” It is used throughout the approval subsystem whereby notes and comments are entered and passed up the line, and/or returned to the requestor upon disapproval.

Approval Menu

Your Action ...	System Response ...
1. Choose **SA** (System Administration) from the Main Menu and press ENTER.	The System Administration Menu will appear.

```
PHFNC10  PHV3       STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      01/05/2016
PHIMAINU PHIMAINM             System Administration Menu              01:07 PM

         Code      Description                                       FastPath

          SM   Security                                              SCRTY
          GT   Generic Tables                                        GTMMRS
          GS   Generic Tables - SPB Owned                            GTSPB
          DM   Display Messages                                      CPRR
          AM   Approval Menu
          JT   Batch Job Tracking                                    BJOBT
          EM   Error Menu                                            ERR
          PM   Printer Menu                                          PRNT
          DU   Display Messages By User ID                           DMUI



    Code: __

Direct Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                                                   Quit
```

Your Action ...	System Response ...
2. Choose **AM** (Approval Menu) from the System Administration Menu and press ENTER.	The Approval Menu will appear.

```
FMSAS23  PHV3       STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/30/2012
PHIMAINU PHIMAINM                  Approval Menu                      02:10 PM

         Code      Description                                       FastPath

          AR   Approval Review Points by Agency
          TP   Transaction Profile W/ Review Points
          AP   Approval                                              APPR
          BA   Browse Approval                                       BAPPR
          AA   Browse Approval by SPB Analyst
          AC   Browse Approval by SPB Received Date
          CR   Copy/Purge Review Points                              CREVP
          RA   Browse Approval Review Points by Agency               RPRA
          RR   Browse Approval Review Points by Review Point         RPRR
          AO   Approval Security Override                            APPO
          RV   Re-Route Approval Review Points                       RARP
          DA   Delete Approval Records with no Transaction           DAPPV

    Code: __

Direct Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                                                   Quit
```

There are twelve options on this menu. All of these options will not appear on user agency screens; however, this manual includes screens used by the user agencies and the control agencies.

Browse Options

There are five browse options for approvals. The available action on each browse is D for Display.

Browse Approvals

Your Action ...	System Response ...
1. Choose **SA** (System Administration) from the Main Menu and press ENTER.	The System Administration Menu will appear.
2. Choose **AM** (Approval Menu) from the System Administration Menu and press ENTER.	The Approval Menu will appear.
3. Choose **BA** (Browse Approval) from the Approval Menu and press ENTER.	The Browse Approval screen will appear.

```
FMSAS23  PHV3        STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/30/2012
PHIOAP1B PHIOAPAM                  Browse Approval                     02:11 PM

 Actions:  (D)
                          Pin/Win  Proc   Date
ACT Agency  Tran Status  Contract  ind Resolved Seq  Lvl  Approver    Status
--- ------ ----- ------ ---------  --- -------- ---  ---  --------  ----------









 Start *Agency: ____ *Tran: _____   Type (Outstanding/Completed): O
Type: _ PIN\WIN\Cont: ______ Originator: ________ Submission Date: __ __ ____
Direct Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                     Bkwd  Fwd         Left  Right Quit
```

Your Action ...	System Response ...
4. Selection criteria include Agency Number, Transaction Code, Type (Outstanding or Completed), Type, PIN\WIN\Cont Number, Originator, and Submission Date. Available action is Display.	

Your Action ...	System Response ...
5. Field descriptions are provided below: Agency: The submitting agency. Tran (Transaction) Code: This code indicates the type of business process awaiting approval. Status: This field indicates if the transaction is outstanding or complete. PIN/WIN/Contract: The PIN, WIN, or contract number is displayed. Proc. Ind (Indicator): This is the process indicator field that indicates whether the transaction has been processed by the system (*i.e.*, N is Not Processed). The transaction may be approved, but has not yet gone through nightly processing and therefore is not active. Date Resolved: The date the final approval is applied. Sequence/Level: This field shows where the transaction is in the review and approval process. Approver: The user ID of the approver. Status: The field shows what the approver has done: seen, approval required, approved, disapproved.	
6. Choose Display and press ENTER.	The Approval System, Approvers List screen will appear.

```
FMSAS23  PHV3       STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/31/2012
PHIOAP6N PHIOAP4M       Approval System, Approvers List               10:52 AM

          Agency : 0385        MH-NORTH MS REGIONAL CENTER
Func Trans. Code : RECNQ       RECRUITMENT PROFILE WITHOUT SPECIAL QUAL
  Date requested : 06/26/1998
 1__ of  1                                                Appr  Approver  Cont
 Act Nt Lvl Seq Agcy PIN    User-ID                 Status Type  Reviewer  stop
 --- -- --- --- ---- ------ ---------------------- ------ ----  --------  ----
  _       1   1 0160     40 CLPH002                 Appd  All   Approver  Stop


Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                     Bkwd  Fwd   Disp              Quit
```

Your Action ...	System Response ...
7. Press F9 to view the record transmitted for approval.	

Browse Approval by SPB Analyst (SPB USE ONLY)

Your Action ...	System Response ...
1. Choose **SA** (System Administration) from the Main Menu and press ENTER.	The System Administration Menu will appear.
2. Choose **AM** (Approval Menu) from the System Administration Menu and press ENTER.	The Approval Menu will appear.
3. Choose **AA** (Browse Approval by SPB Analyst) from the Approval Menu and press ENTER.	The Browse Approval by SPB Analyst screen will appear.

```
FMSAS23  PHV3       STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/31/2012
PHIOAPBB PHIOAPBM          Browse Approval by SPB Analyst             10:09 AM

 Actions: (D)

      SPB     SPB Recd                    Date    <----- Approver Details ---->
Act Analyst     Date    Agency Status  Resolved  Lvl Approver Status
--- -------- ---------- ------ ------ ---------- --- -------- ----------------









 Start User id: ________
Direct Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                     Bkwd  Fwd                      Quit
```

Your Action ...	System Response ...
4. Selection criterion includes User ID. Available action is Display.	
5. Field descriptions are provided below: SPB Analyst: The SPB analyst user ID. SPB Received Date: The date that SPB received the transaction. Agency: The submitting agency. Status: The status of the transaction (*i.e.*, N is Not Processed). The transaction may be approved, but has not yet gone through nightly processing and therefore is not active.	

Your Action ...	System Response ...
Continued. Date Resolved: The date the final approval is applied. Approver Details: Level: This field shows which level of review the transaction is currently in. Approver: The user ID of the approver. Status: The field shows the approver action: seen, approval required, approved, disapproved.	
6. Choose Display and press ENTER.	The Approval System, Approvers List screen will appear.

```
FMSAS23  PHV3       STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/31/2012
PHIOAP6N PHIOAP4M       Approval System, Approvers List               10:52 AM

          Agency : 0385        MH-NORTH MS REGIONAL CENTER
Func Trans. Code : RECNQ       RECRUITMENT PROFILE WITHOUT SPECIAL QUAL
  Date requested : 06/26/1998
 1__ of  1                                                 Appr  Approver  Cont
 Act Nt Lvl Seq Agcy PIN    User-ID                     Status Type  Reviewer  stop
 --- -- --- --- ---- ------ ---------------------- ------ ----  --------  ----
  _       1   1 0160     40 CLPH002                    Appd  All   Approver  Stop




Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                      Bkwd  Fwd   Disp              Quit
```

Your Action ...	System Response ...
7. Press F9 to view the record transmitted for approval.	

Browse Approval by SPB Received Date (SPB USE ONLY)

Your Action ...	System Response ...
1. Choose **SA** (System Administration) from the Main Menu and press ENTER.	The System Administration Menu will appear.
2. Choose **AM** (Approval Menu) from the System Administration Menu and press ENTER.	The Approval Menu will appear.
3. Choose **AC** (Browse Approval by SPB Received Date) from the Approval Menu and press ENTER.	The Browse Approval by SPB Received Date screen will appear.

```
FMSAS23  PHV3        STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/31/2012
PHIOAPCB PHIOAPCM        Browse Approval by SPB Received Date          11:28 AM

 Actions: (D)

            SPB Recd     SPB                Date     <----- Approver Details ---->
Act Agency    Date     Analyst  Status  Resolved  Lvl Approver Status
--- ------ ---------- -------- ------ ---------- --- -------- ----------------
 _   0160  05/06/1997  CLPH006    A   07/07/1997   1  CLPH006
 _   0160  05/08/1997  CLPH004    A   05/08/1997   1  CLPH004
 _   0160  05/08/1997  CLPH006    A   07/07/1997   1  CLPH006
 _   0160  05/08/1997  CLPH006    A   07/07/1997   1  CLPH006
 _   0160  05/08/1997  CLPH006    A   07/07/1997   1  CLPH006
 _   0160  05/08/1997  CLPH006    A   07/07/1997   1  CLPH006
 _   0160  05/09/1997  CLPH006    A   07/01/1997   1  CLPH006
 _   0160  05/09/1997  CLPH006    A   07/07/1997   1  CLPH006
 _   0160  05/09/1997  CLPH006    A   07/07/1997   1  CLPH006
 _   0160  05/09/1997  CLPH006    A   07/07/1997   1  CLPH006

 Start *Agency: 0160  Date: ________
Direct Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End   Add               Bkwd  Fwd                     Quit
```

Your Action ...	System Response ...
4. Selection criterion includes Agency Number and Date. Available action is Display.	
5. Field descriptions are provided below: Agency: The submitting agency. SPB Received Date: The date SPB received the transaction. SPB Analyst: The SPB analyst user ID. Status: This shows the level of review the transaction is currently in. Date Resolved: The date the final approval is applied. Approver Details: Level: This field shows where the transaction is in the review and approval process. Approver: The user ID of the approver. Status: The field shows the approver action: seen, approval required, approved, disapproved.	
6. Choose Display and press ENTER.	The Approval System, Approvers List screen will appear.

```
FMSAS23  PHV3       STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/31/2012
PHIOAP6N PHIOAP4M       Approval System, Approvers List               10:52 AM

          Agency : 0385        MH-NORTH MS REGIONAL CENTER
Func Trans. Code : RECNQ       RECRUITMENT PROFILE WITHOUT SPECIAL QUAL
  Date requested : 06/26/1998
 1__ of  1                                                 Appr  Approver  Cont
 Act Nt Lvl Seq Agcy PIN    User-ID                  Status Type  Reviewer  stop
 --- -- --- --- ---- ------ ---------------------- ------ ----  --------  ----
  _       1   1 0160     40 CLPH002                  Appd  All   Approver  Stop


Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                     Bkwd  Fwd   Disp              Quit
```

Your Action ...	System Response ...
7. Press F9 to view the record transmitted for approval.	

Browse Approval Review Points by Agency

Your Action ...	System Response ...
1. Choose **SA** (System Administration) from the Main Menu and press ENTER.	The System Administration Menu will appear.
2. Choose **AM** (Approval Menu) from the System Administration Menu and press ENTER.	The Approval Menu will appear.
3. Choose **RA** (Browse Approval Review Points by Agency) from the Approval Menu and press ENTER.	The Browse Approval Review Points by Agency screen will appear.

```
FMSAS23  PHV6       STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/31/2012
PHIOAR4B PHIOAR4M      Browse Review Points by Agency                 12:39 PM

  ACTIONS: (D,M,P)
    Agcy  Review                              <=  Primary  =>   <= Alternate =>
Act code  code    Review Point Desc          Agcy    PIN Err   Agcy    PIN Err
--- ----  ------  -------------------------- ---- ------ ---   ---- ------ ---









        *Agency: ____      *Review: _____
 Direct Command: ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                      Bkwd  Fwd                     Quit
```

Your Action ...	System Response ...
4. Selection criteria include Agency Number and Review Point. Available action is Display.	
5. Field descriptions are provided below: Agency Code: The agency number. Review Code: The review point code. Review Point Description: The description of the review point. Primary: Agency Number: The reviewer's agency code. PIN: The PIN of the reviewer. Error: Asterisks indicate errors in the review process. Alternate: Agency Number: The reviewer's agency code. PIN: The PIN of the reviewer. Error: Asterisks indicate errors in the review process.	
6. Choose Display and press ENTER.	The information about the primary and alternate reviewers screen will appear.

```
FMSAS23  PHV6        STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/31/2012
PHIOAR0D PHIOAR0M          Approval Review Points by Agency            12:42 PM

  Action: _ (A,B,C,D,M,N,P)

 *Agency      : ____
 *Review Point: _____


     Primary  : *Agency   ____
     Reviewer : *PIN      ______


     Alternate: *Agency   ____
     Reviewer : *PIN      ______


     Comment  : ____________________________________________________________


 Direct Command ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                                                    Quit
```

Browse Approval Review Points by Review Point (Only used by Control Agencies)

Your Action ...	System Response ...
1. Choose **SA** (System Administration) from the Main Menu and press ENTER.	The System Administration Menu will appear.
2. Choose **AM** (Approval Menu) from the System Administration Menu and press ENTER.	The Approval Menu will appear.
3. Choose **RR** (Browse Approval Review Points by Review Point) from the Approval Menu and press ENTER.	The Browse Review Points by Review Point screen will appear.

```
FMSAS23  PHV6        STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/31/2012
PHIOAR5B PHIOAR5M    Browse Review Points by Review Point              01:34 PM

  ACTIONS: (D,M,P)
    Review  Agcy                            <=  Primary  =>   <= Alternate =>
Act code    code  Review Point Desc         Agcy    PIN Err   Agcy    PIN Err
--- -----   ----  ------------------------- ---- ------ ---   ---- ------ ---









         *Review: _____          *Agency: ____
 Direct Command: ___________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                     Bkwd  Fwd                      Quit
```

Your Action ...	System Response ...
4. Selection criteria include Review Point and Agency. Available action is Display.	
5. Field descriptions are provided below: Review Code: The review point code. Agency Code: The agency number. Review Point Description: The description of the review point. Primary: Agency Number: The reviewer's agency code. PIN: The PIN of the reviewer. Error: Asterisks indicate errors in the review process. Alternate: Agency Number: The reviewer's agency code. PIN: The PIN of the reviewer. Error: Asterisks indicate errors in the review process.	
6. Choose Display and press ENTER.	The information about the primary and alternate reviewers screen will appear.

```
FMSAS23  PHV6        STATEWIDE PAYROLL AND HUMAN RESOURCE SYSTEM      10/31/2012
PHIOAR0D PHIOAR0M          Approval Review Points by Agency            01:41 PM

  Action: _ (A,B,C,D,M,N,P)

 *Agency      : ____
 *Review Point: _____


     Primary  : *Agency   ____
     Reviewer : *PIN      _______


     Alternate: *Agency   ____
     Reviewer : *PIN      _______


     Comment  : ____________________________________________________________


 Direct Command ____________________________________________________________
Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
      Help  Main  End                                                    Quit
```