

University Of California, Riverside

Post Audit Notification 2



C o m p u t i n g & C o m m u n i c a t i o n s
C l i e n t S e r v e r P r o g r a m m i n g G r o u p
P e o p l e S o f t C u s t o m i z a t i o n S u p p o r t

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POST AUDIT NOTIFICATION

PURPOSE

This document is designed to provide the necessary information for designing the tables, queries and processes to be used in the next design iteration of the Post Audit Notification (PAN2) system, hereafter referred to as simply, PAN.

I. PAN QUERY

The SQL (standard query language) statement that makes PAN possible is stored in a stored procedure used to identify those journal lines that require review by the Reviewer, Process Owner, System Access Administrator (SAA), Internal Auditor, and Controller. The stored procedure inserts this data into a table that will be used to send email to the appropriate PAN users. Most of the PeopleSoft panels that will allow input of the SAA, Default Reviewer, Auditor, and Reviewer "roles" are complete. PAN provides for the following:

1. Establishment of Reviewers by the following chartfield elements:

- a. Fund (at any Tree Node within the FUND TREE).
- b. Activity (at any Tree Node within the ACTIVITY TREE).
- c. Account (at any Tree Node within the ACCOUNT TREE).
- d. Function (at any Tree Node within the FUNCTION TREE).

Please note that when the PAN query is run, it evaluates ALL tree nodes *at or below* the tree node specified for the reviewer. For example, if a reviewer is assigned the CNAS tree node within the Activity chartfield, the reviewer will be presented transactions from *all the activity codes* that make up the CNAS tree node.

2. Establishment of Reviewers within a "dollar range"

For example, reviewer Jones will only see transactions between \$100,000 and \$200,000. The dollar range can have an unlimited upper boundary (for example, reviewer Jones will only see transactions \$100,000 and above).

3. Establishment of Reviewers by Application Type.

PAN, therefore, will allow CNAS to establish a reviewer with the following characteristics:

Application:	Transfer of Funds.
Fund:	General Funds (assuming there is a PeopleSoft Tree Node called General Funds).
Activity:	CNAS (assuming there is a PeopleSoft Tree Node called CNAS).
Account:	Budget Summary Account for Academic Salaries.
Function:	All Functions.
Dollar Range:	All Transactions over \$10,000.

II. MEANS OF JOURNAL TRANSACTION INPUTS

There are three ways of inputting journal information into the PeopleSoft system.

1. PeopleSoft native transactions.

This includes Transfer of Funds, Transfer of Expenses and Nonpayroll Cost Transfer.

2. Batch input with a transactor.

This batch process provides the PAN system with journal information from feeder systems (SUB POLite).



3. Batch input without a transactor.

This includes telephone toll charges and physical plant charges. With these types of transactions, the Transactor does not authorize the *specific* expense that appears on the ledger (for example, the toll call expense for phone extension 5135). Nevertheless, the Transactor may have authorized Telecommunications to install line 5135 and authorized the phone user to make toll calls as needed for business purposes. Also, the expense must ultimately be reviewed / reconciled. The FSSC must provide C&C directions on how the PAN process for these types of transactions should proceed.

III. APPLICATIONS THAT WILL GENERATE PEOPLESOFT PAN NOTIFICATION SYSTEM

Initially, only those applications that are *native* PeopleSoft applications will use the PeopleSoft PAN system. These applications will include the Nonpayroll Cost Transfer System (NPCT), the Transfer of Expense (TOE) System, and, for example, an automated Recharge System. None of the batch input from the DEX ledger system will produce PAN notification. SUB POLite will use its own PAN system for the immediate future.

As feeder systems are transferred from DEX input to PeopleSoft input, they will become part of the PeopleSoft PAN notification process. So, for example, when POLite transactions flow to PeopleSoft via the DEX, POLite transactions will *not* generate PAN notifications. When they flow directly (initially as part of a nightly feed) into PeopleSoft, however, they will be part of the PAN notification process.

IV. PROCESS FLOW OF A JOURNAL TRANSACTION

In this section, the steps necessary to take a new journal entry from inception to concurrence are outlined.

1. When a transactor enters in journal transaction data via the NPCT or other native PeopleSoft applications, the keys to the Journal Header, Journal Line and PAN Journal tables are populated. As updates (adds or deletes) are made to the journal line or journal header data, the appropriate modifications are rippled throughout these tables.
The PAN Journal Line Review table will be updated one (1) time a day during the nightly batch run. Changes to the Account structure are reflected as new SAA's, controllers, reviewers, etc. are added and deleted.
2. Upon posting the journal, the journal status is set to 'P', and the review status is set to its default, 'N'.
3. A query join between these tables checks for the P/N pair (posted and not reviewed) and then provides the organization, application type, posting date and operator ID for that transaction.
4. After the join, the reviewer table is checked for the operator IDs (based on organization and application type) and emails are sent out to the appropriate reviewer. This process occurs after business hours, say at 11:00 PM each evening and the e-mail will arrive to the reviewer by the next morning. The email contains a single count of transactions to be reviewed for each application type, by counting the number of P/N pairs. This join implies six (6) queries.
5. The reviewer will be provided with a PeopleSoft panel and will be able to review all transactions for which they are responsible.
 - If the review status is pending, P, then the reviewer will enter a comment indicating what the discrepancy is and how to adjust it. For example,
"A wrong account number was entered for journal ID 123. Please use the account, XYZ for this journal ID"
 - The transactor will then credit that FAU combination and debit to the new FAU combination.
 - Note: Corrections of this sort will require that the review take action on three transactions:
 1. The original debit or credit,
 2. The debit or credit that reverses the original, and
 3. The final debit or credit that represents the correct posting of that transaction.

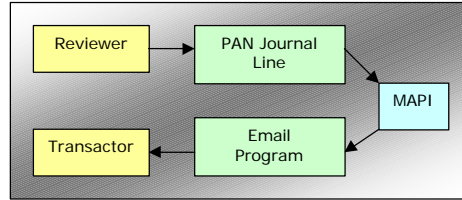


V. PAN EMAIL AND TRANSACTION STATUS QUERIES

This section describes the three (3) ways that the PAN application will take advantage of the email capability.

1. "Ad Hoc" Email sent From PeopleSoft Panels.

Currently, C&C has successfully tested the PeopleSoft system for sending email from a PeopleSoft panel and approved of the Eudora 3.0 Pro, Light and Microsoft Exchange MAPI's (Mail Application Protocol Interfaces) with PeopleSoft 6.10. We suggest standardizing on these two products since we can provide support for them. A user may wish to use any other MAPI compliant email product, but we cannot support these various products nor guarantee their functionality with PeopleSoft. The following diagram gives an overview of how the parts of PAN email work together.



2. PAN Email Content (overnight, standard messages).

The contents of PAN email messages will be specific to the "role" and "circumstance" of the message in question. For example, the content of a message to a Reviewer for a Zero Day notification will be different than a message to a Default Reviewer for a 5-Day notification. The following list itemizes the types of queries to be used in the overnight batch process.

1. **Zero day transactions.**
Send email to Reviewer and Courtesy Copy, 1 transaction count per Application Type.
2. **Transactions with no Reviewers.**
Send email to SAA, Default Reviewer, Internal Audit, and Controller. Include the journal ID, application type, count and organization.
3. **Transactions where the Transactor is the Reviewer.**
Same as 2.
4. **2-Day notification.**
If the status is still "Not Reviewed" and two days have passed since the posting date, send an email and log the notification into the audit file. The email will be repeated on a daily basis (and the 2 day counter field updated) until the transaction has been reviewed.
Same as 1, plus the SAA and reviewer.
5. **5-Day notification.**
Same as 4, plus the Default Reviewer, Internal Audit, and Controller. Include the journal ID, application type, count and organization.
6. **Transactions where the review status is pending, P.**
Transactions with a review status of P do NOT have any special rules associated with them.
7. **Transactions with no Reviewer and no Default Reviewer**
Send email to the Internal Auditor, Controller and SAA.

PAN 2 - DESIGN SPECIFICATIONS DOCUMENT

The following table summarizes how each user role corresponds to each transaction query that is sent out during the nightly batch run.

	Zero (0) Day	Two (2) Day	Five (5) Day	No Reviewer	Transactor = Reviewer	No Reviewer Or Default Reviewer
Reviewer	✓	✓	✓			
Controller			✓	✓	✓	✓
SAA		✓	✓	✓	✓	✓
Internal Audit			✓	✓	✓	✓
Default Reviewer			✓	✓	✓	
Courtesy Copy	✓					

Table 1

VI. EXTERNAL DATA DEFINITION RULES AND REQUIREMENTS

The following is a list of the specific rules that must be followed in the development of the PAN system.

1. Two (2) days are allowed for a reviewer to review transactions before they're sent to the SAA.
2. Every transaction must have a reviewer, otherwise notify the process owner and others via email.
3. Every application and organization pair must have a reviewer, really same as note 2, otherwise notify as in item 2.
4. Every application type must have an owner.
5. Every organization must have an SAA.
6. Duplicate operators ID's are allowed in the data definitions (a transactor may also be a reviewer).
7. Keep an audit file of everything being altered. This file must be easily manipulated and read only.
8. The application source must be written to the database (on PeopleSoft native applications, it must be part of the panel, on batch input, it is supplied as an additional field).
9. A transactor for application "X" may not be the *only* reviewer for application "X". If a transactor is *also* a reviewer for a particular application, he or she will *never* be presented transactions for review for which he or she was the transactor. Please see the section V "Transaction Status Queries for Sending PAN Email" for more details.
10. It is mandatory that all participants in the PeopleSoft automated PAN process have PeopleSoft Operator IDs and, therefore, valid Alpha usernames.
11. Upon review, three possible responses are:
 - Not reviewed
 - Concur
 - Pending



VII. ENTITY RELATIONSHIP DIAGRAM

The following ER diagram shows the fields (keys are in bold italics) of the tables required to track information about the transaction process, from journal line entry through email notification. The original PeopleSoft tables are shown to the left, and the suggested PAN tables have the PAN_ prefix.

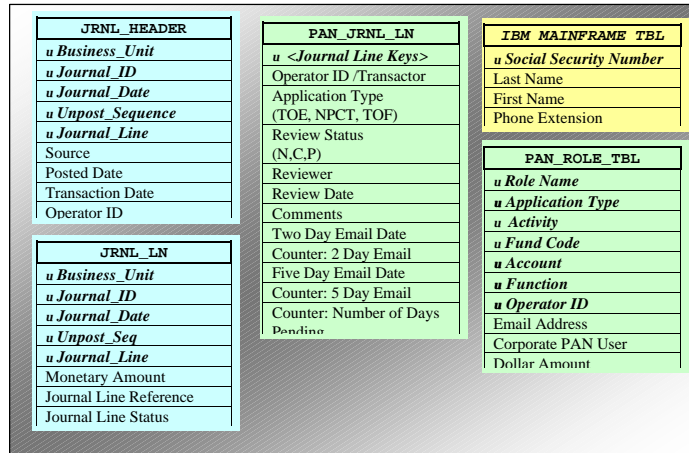


Figure 1 – PAN ER Diagram

VIII. PAN PROCESS DESIGN STEPS

The PAN process design steps are laid out as follows.

1. Build the PAN tables.
2. Populate the table with the NPCT transaction information.
3. Design the PeopleSoft transaction review panel to view the journal data.
4. Create the queries and processes.
5. Design the email notification server.

IX. USER ROLE DEFINITIONS

This section defines the user roles within the PAN system.

Corporate PAN User - A SAA with the ability to assign any account at any level in the Account tree.

Courtesy Copy - A user who receives a courtesy copy email whenever a transaction has been posted.

Default Reviewer - Similar to the original reviewer role, with the application and organization pair. The organization code, however, is usually a high level tree node. This user does not get 0-Day or 2-Day email unless there are no reviewers.

Reviewer – Reviews transactions on the G/L and marks them P for pending or C for concur.

SAA – (System Access Administrator) Grants access to the application via requests to Controller who establishes operator security.

Transactor – Uses applications to send transactions to the G/L.

X. ISSUES AND CONCERNS

The following is a list of particular points about the various aspects of the PAN system.

1. A journal ID needs to be system generated and cannot be altered by the user.
2. For the batch input, the following data are *required*:
 - Operator ID,
 - Organization,
 - Application Type.
3. The system will require a valid PeopleSoft Operator ID. How do we ensure that feeder systems will supply this information?
4. An example transaction for email notification:
 - 3/1/97 – A P.O. is liened on the ledger, or a NPCT is posted to the ledger. At night, send a notification email.
 - 3/2/97 – The reviewer will receive the email in the morning stating that there are transactions to be reviewed. Keep sending the email daily until a response is received.
 - 3/4/97 – Send a 2 day notification email to the SAA, which will be received in the morning, saying that no review response has been received. Keep sending the email daily until a response is received.
 - 3/7/97 – Send a 5 day email, which will be received in the morning, to the Process Owner, SAA, Internal Audit, and Controller. Use the journal post date to calculate the elapsed time. Keep sending the email daily until a response is received.
5. Processing is dependent upon journal header status being posted (or a feeder system being encumbered).
6. Adds and deletes must be reflected on both the Journal Line and PAN Journal Line tables before processing.

