Interim Email Routing and Approval Procedure for "Paper" Journals

In response to COVID-19, to protect the health and safety of faculty & staff involved in preparing, reviewing, and entering "paper" journals (over 1 year, temp over 90, payroll to stipend acct code change, emeritus), physical paper materials will no longer be used in the workflow process.

For urgent submissions only, the email routing & approval procedure below may be used on an interim basis effective 3/17/20. Testing is currently underway for a semi-automated approval workflow using OnBase; further communication will be forthcoming after testing is complete.

Interim Email Workflow Procedure (for urgent submissions only)

1. Department compiles all journal materials into a single PDF, and saves the file per the following naming convention: "Last, First Name (emplID)_From Date_To Date". If special approvals are needed (for example, to charge a sponsored project over 1 year), these must be obtained prior to submission and included in the PDF file.
   - Example file name: "Hernandez, Marcia (1234567)_09-01-17_11-30-17"
2. Department emails the file to the PI's official Northwestern or NMG email address for approval, using the following email template:
   - Subject: Your PI Approval Needed for [File Name]
   - Attachment: [File Name]
   - Body: "Dear PI – please review the proposed cost transfer journal attached for [File Name], which includes the proposed transactions and the over 90 day memo. If you approve, please reply to this email with confirmation, which will be saved as documentation of your approval, in lieu of physical signature on the memo. In response to COVID-19, a revised approval procedure has been implemented for journals previously managed as physical paper submissions, to protect the health and safety of faculty & staff involved in preparing, reviewing, and entering these journals."
3. After receiving PI's reply with approval, Department forwards this email along with the attachment to Dean's Office reviewer (or school's central mailbox if applicable), per the following template:
   - Subject: Dean's Office Approval Needed for [File Name]
   - Attachment: [File Name]
   - Body: "Dear Dean's Office Approver - please review the proposed cost transfer journal attached for [File Name]; the PI approval of this submission is included below, and this email serves as Preparer approval in lieu of physical signature on the memo. If you approve, please forward this email & attachment (**do not delete previous correspondence below**) with your approval to your campus Effort Coordinator (Chicago: Erin Farlow [e-farlow@northwestern.edu]; Evanston: Tina Mete [c-mete@northwestern.edu]) to continue workflow. Your email will be saved as documentation of Dean's Office approval, in lieu of physical signature on the memo."
4. If Dean's Office approves, the reviewer forwards the email with attachment to the appropriate campus Effort Coordinator, per the following template:
   - Subject: Effort Approval Needed for [File Name]
   - Attachment: [File Name]
   - Body: "Dear Effort Approver - please review the proposed cost transfer journal attached for [File Name]; the Preparer and PI approvals of this submission are included below, and this email serves as Dean's Office approval in lieu of physical signature on the memo. If you approve, please forward this email & attachment (**do not delete previous correspondence below**) with your approval to the appropriate ASRSP GCFA to continue workflow. Your email approval will be saved as documentation of Effort approval, in lieu of physical signature on the journal transactions face page."
5. If Effort approves, the reviewer forwards the email with attachment to the assigned ASRSP GCFA per Template 5.a. If approval from more than one GCFA is required, use Procedure/Template 5.b.
   - Template 5.a: Single GCFA
     - Subject: ASRSP Approval Needed for [File Name]
     - Attachment: [File Name]
     - Body: "Dear ASRSP Approver - please review the proposed cost transfer journal attached for [File Name]; the Preparer, PI, and Dean's Office approvals of this submission are included below,

and this email serves as Effort approval in lieu of physical signature on the journal transactions face page. If you approve, please forward this email & attachment (**do not delete previous correspondence below**) with your approval to Payroll for entry. Your email approval will be saved as documentation of ASRSP approval, in lieu of physical signature on the journal transactions face page."

- Procedure/Template 5.b: Two or More GCFAs
  - Effort approver forwards the email with attachment to GCFA 1 per the template below, along with a list of ASRSP Approvers (i.e. all GCFAs assigned to included chart strings).
    - Subject: ASRSP Approval Needed for [File Name] – GCFA 1
    - Attachment: [File Name]
    - Body: "Dear ASRSP Approver 1- please review the proposed cost transfer journal attached for [File Name]; the Preparer, PI, and Dean's Office approvals of this submission are included below, and this email serves as Effort approval in lieu of physical signature on the journal transactions face page. If you approve, please forward this email & attachment (**do not delete previous correspondence below**) with your approval to GCFA 2 [Name] for review. GCFA email approvals will be saved as documentation of ASRSP approval, in lieu of physical signatures on the journal transactions face page."
      - ASRSP Approver 1: [Name]
      - ASRSP Approver 2: [Name]
  - GCFA 1 forwards the email with attachment to GCFA 2 per the template below. The template can be modified as needed if there are three or more GCFAs.
    - Subject: ASRSP Approval Needed for [File Name] – GCFA 2
    - Attachment: [File Name]
    - Body: "Dear ASRSP Approver 2- please review the proposed cost transfer journal attached for [File Name]; the Preparer, PI, Dean's Office, and Effort approvals of this submission are included below, and this email serves as my GCFA 1 approval in lieu of physical signature on the journal transactions face page. If you approve, please forward this email & attachment (**do not delete previous correspondence below**) with your approval to Payroll for entry. GCFA email approvals will be saved as documentation of ASRSP approval, in lieu of physical signatures on the journal transactions face page."
      - ASRSP Approver 1: [Name]
      - ASRSP Approver 2: [Name]

6. If ASRSP approves, the final reviewer forwards the email with all approvals & the attachment to Payroll (Linda King, or a central mailbox if preferred) per the template below.
   - Subject: Entry Needed for Fully Approved [File Name]
   - Attachment: [File Name]
   - Body: "Dear Payroll - please enter the fully approved [File Name] cost transfer journal attached. The Preparer, PI, Dean's Office, and Effort approvals of this submission are included below, and this email serves as ASRSP approval in lieu of physical signature on the journal transactions face page."
7. The final ASRSP reviewer forwards the email that was sent to Payroll, complete with attachment, to the Effort Coordinator who approved it previously. The Effort Coordinator creates a single PDF file combining the attachment and complete email approval chain using the following naming convention: "Approved JNL_Last, First Name (emplID)_From Date_To Date", then uploads this file to ASRSP's central storage folder (S: Drive) and to an associated effort report (if available) in the Effort Reporting System.
8. Payroll enters the journal for processing in myHR.