



GEMS TUTORIAL

APPROVALS MODULE

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Introduction

For organisations that have large volumes of entities to manage and maintain, it is essential that changes to these entities are monitored and approved before being updated in the database. GEMS Configurable Approvals Workflow provides change control for your entity data by enabling users to submit Change Requests for approval by Approvers.

In this tutorial, the following terms are used:

- **Submitter** – Any user who have permissions to create and/or edit companies/business entities in GEMS.
- **Approvers** - Users who have permissions to approve or reject changes made by Submitters.
- **Admin** - A user who assigns GEMS users to be Approvers.

The Approvals process uses Change Requests for the submission and approval of entity changes as follows:

- The Admin assigns one or more Approver to each entity that is to undergo change control – these assignments take place depending on whether the change relates to the addition of a new entity or updating of an existing entity on an individual user basis, or using the Internal Contacts functionality and are applied to entities using the Approvals Workflow Configuration wizard.
- Submitters then create a Change Request (CR) when they add, edit or delete information for an entity which has been configured to undergo approval.
- When the Submitter submits the CR, it will then appear in the Manage Change Requests panel.
- The Approver examines the details of the Change Request and reads the attached supporting documentation if any.
- The Approver approves the Change Request, the change is written to the live GEMS database and the CR is moved to the **Approved** tab

OR

The Approver rejects the Change Request and the CR is moved to the **Rejected** tab with reason for rejection included and returned to the Submitter.

- Email alerts can be set up to notify each of the users involved as Change Requests are created and processed.

Approvals Set-Up and Configuration Tasks

The GEMS Approvals Module is available to all GEMS users running GEMS 9.7 or above.

Enabling the Approvals Module

NOTE: It is essential that the Approvals Process is not enabled until all GEMS users involved in the process have a good understanding of how to perform their assigned tasks as part of Approvals.

To enable the approvals module it's important to activate it first via System Management > Options > General

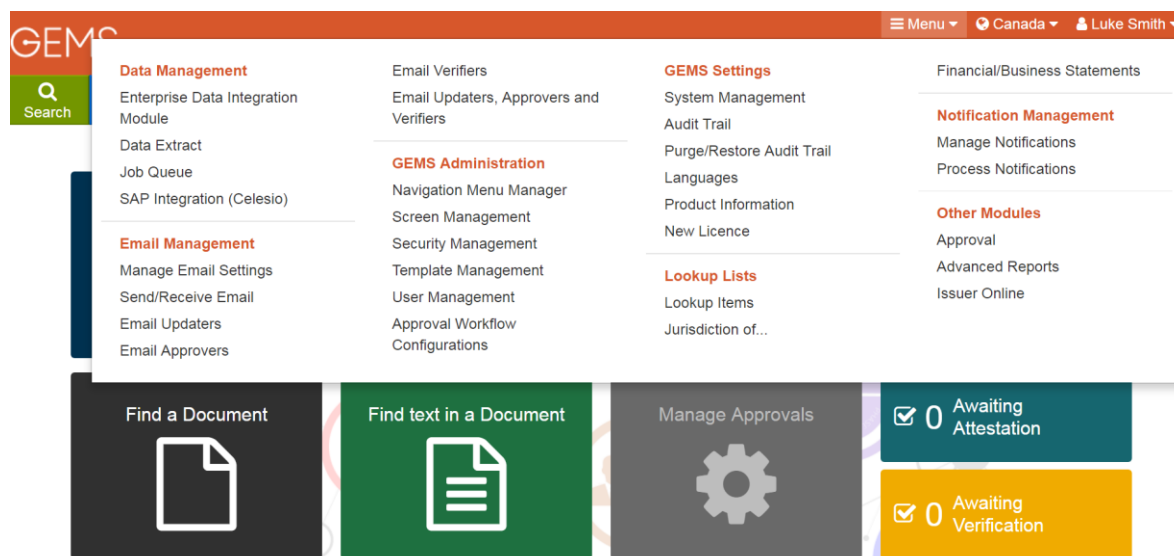
Figure 1: If approvals are not currently enabled this can be rectified by clicking the edit button on the top left hand side and enabling. It is important that these changes are saved after.

Approvals

Enable Yes

Attached Document Language English (United Kingdom)

Figure 2: Once enabled the Approvals Module can be launched via Menu > Approval Workflow Configurations



Assigning Change Control Responsibilities

Once a change request has been made within GEMS, it is the approver who has control over whether this information is permitted within the database. Approver privileges are assigned by Admin users during the Approval Workflow configuration. For new companies/business entities being added to the system this is done so on a user basis and for existing companies by using the internal contacts functionality within GEMS.

When a new Company/Business entity is added to GEMS, individual users are assigned as approvers to allow for change control within the database. Once this data is then accepted by the approver, the Company/Business entity is then viewed by GEMS as existing within the database and the Internal Contacts functionality can takeover to allow for the configuration of existing entity workflows.

The internal contacts functionality within GEMS allows for a high level of change-control in collaboration with the Configurable Approvals Workflow. For more information on managing Internal Contacts please see the tutorials on:

How to Assign Internal Contacts using the Internal Contacts Wizard

Replace Users in Internal Contact Types using the Search & Replace Wizard

NOTE:

- Approvers can be an **Edit** or a **Browse** type user.
- Only active users are available for selection.

Approvals Workflow Summary Screen

Figure 3: The Workflow Summary screen displays all workflow summaries' contained within GEMS.

Workflow Summary			
			New
Workflow Name ▼	Workflow Description ▼	Creator ▼	Status ▼
Existing Business Approval Workflow		Luke Smith	Active
New Business Entity Approval Workflow		Luke Smith	Inactive

Figure 4: From the Workflow Summary; workflows can be added, edited or deleted.

Workflow Summary			
			New
Workflow Name ▼	Workflow Description ▼	Creator ▼	Status ▼
Existing Business Approval Workflow		Luke Smith	Active
New Business Entity Approval Workflow		Luke Smith	Inactive

Edit
Delete

Configuring an Approvals Workflow

Approval workflows contain between 3- 4 configurable steps (determined by the entity details selected) which allows for the configuration of the workflow details

The process involved in setting up new Approval Workflow Configurations is outlined below.

Figure 5: Upon launching the Approvals Workflow Configurations the Workflow Summary will be presented on screen with the option to add a “New” Workflow

Workflow Summary

New

Workflow Name ▾

Workflow Description ▾

Creator ▾

Status ▾

Figure 6: First a description and whether this workflow will relate to new or existing entities must both be specified.

Save & Close

Approvals Workflow Description

Workflow Name *

Workflow Description

Approvals Workflow Type

Please select whether you wish to apply approvals on new or existing Business Entities

☐ Existing Business Entities

☐ New Business Entities

Next >

Configuring an Approvals Workflow for a New Business Entity

Given the importance surrounding control of the information being added to GEMS, configurable approval workflows make it possible to nominate Users within GEMS to act as approvers before new entities go live within the database. Below the processes for setting up approval workflows whether it be for specific new entities or all new entities are outlined.

Applying Workflow for All New Business Entities

To begin the workflow set up select "New Business Entities" and ensure this workflow is set to apply approvals to "All" new business entities.

Figure 7: All New Business Entity – Workflow Description

Save & Close

Approvals Workflow Description

Workflow Name*

Workflow Description

Status

Approvals Workflow Type

Please select whether you wish to apply approvals on new or existing Business Entities

☐ Existing Business Entities
☒ New Business Entities

Please select whether you wish to apply approvals on all or specific Business Entities

☒ All
☐ Specific

Next >

When a Workflow is designed to be run for new entities being entered into GEMS, as no internal contact types will be assigned to this yet; a singular approver will need to be initially selected - once approved by this approver new internal contact types may be added at a later point.

Figure 8: All New Business Entity – Selecting Approver(s)

Save & Close

Approvers

Approver(s)*

Next >

If desired multiple approvers and approval levels can be selected (New levels are applied using the "Add New Approval Level" button)

Figure 9: All New Business Entity – Multiple Approval Levels

Save & Close

Approvers

Level*1✕

Approver(s)*

Search for Approver(s)

Q

Mandatory Field

Level*2✕

Approver(s)*

Search for Approver(s)

Q

+ Add New Approval Level

< Previous

Next >

The final step in the workflow is based around whether supporting documentation is required to be submitted alongside the change request being made in GEMS. The workflow can then be activated.

Figure 10: All New Business Entity – Supporting Documentation & Activation

Save & Close

Supporting Documentation

Please select if a user must attach supporting documentation when submitting a change request

☐ Yes

☒ No

< Previous

Activate

NOTE: Even if supporting documentation is not set as a requirement, Submitters will still be presented with the option to attach these if they wish.

Applying Workflow for Specific New Business Entities

To begin workflow set up select “New Business Entities” and ensure this workflow is set to apply approvals to “Specific” new business entities.

Figure 11: Specific New Business Entity – Workflow Description

Save & Close

Approvals Workflow Description

Workflow Name*

New Business Entity Approval Workflow

Workflow Description

Status

Inactive

Approvals Workflow Type

Please select whether you wish to apply approvals on new or existing Business Entities

☐ Existing Business Entities

☒ New Business Entities

Please select whether you wish to apply approvals on all or specific Business Entities

☐ All

☒ Specific

If specific new entities are selected these entities can then be specified using “Jurisdiction”, “Entity Type” and “Entity Category”

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Computershare

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Figure 12: Specific New Business Entity – Outlining Entity Details

Save & Close

Approvals Workflow Description

Workflow Name*

Test

Workflow Description

Status

Active

Approvals Workflow Type

Please select whether you wish to apply approvals on new or existing Business Entities

Existing Business Entities

New Business Entities

Please select whether you wish to apply approvals on all or specific Business Entities

All

Specific

Specific Business Entity Details

Select an item from at least one of the searches below to filter the entities that this workflow will apply to.

Jurisdiction

Search for Jurisdiction

Q

Entity Type

Search for Entity Type

Q

Entity Category

Search for Entity Category

Q

Next >

When a Workflow is designed to be run for new entities being entered into GEMS, as no internal contact types will be assigned to this yet; individual approvers will need to be initially selected and once approved by them new internal contact types may be added at a later point.

Figure 13: Specific New Business Entity – Selecting Approver(s)

Save & Close

Approvers

Approver(s)*

Search for Approver(s)

Q

+ Add New Approval Level

< Previous

Next >

If desired multiple approvers can be selected using the “Add New Approval Level” button

Figure 14: All New Business Entity – Multiple Approval Levels

Save & Close

Approvers

Level* 1 x

Approver(s)* Search for Approver(s) q
Mandatory Field

Level* 2 x

Approver(s)* Search for Approver(s) q

+ Add New Approval Level

< Previous

Next >

The final step in the workflow is based around whether supporting documentation is required to be submitted alongside the change request being made in GEMS. The workflow can then be activated.

Figure 15: All New Business Entity – Supporting Documentation & Activation

Save & Close

Supporting Documentation

Please select if a user must attach supporting documentation when submitting a change request

☐ Yes

☒ No

< Previous

Activate

NOTE: Even if supporting documentation is not set as a requirement, Submitters will still be presented with the option to attach these if they wish.

Configuring an Approvals Workflow for an Existing Business Entity

Given the importance surrounding control of the information being added to GEMS, configurable approval workflows make it possible to nominate Users within GEMS to act as approvers before new entities go live within the database. Using configurable approval workflows it is possible to nominate Users Groups within GEMS to act as approvers before new updates to information goes live within the database. Below the processes for setting up approval workflows whether it be for specific existing entities or all existing entities are outlined.

Applying Workflow to All Existing Business Entities

When applying a workflow to existing entities this must be indicated under the approvals workflow type. It is then important that in the case of running a workflow on all existing business entities that the "All" button is selected in this field.

Figure 16: All Existing Business Entity – Workflow Description

Approvals Workflow Description

Workflow Name *

Workflow Description

Status

Approvals Workflow Type

Please select whether you wish to apply approvals on new or existing Business Entities

☒ Existing Business Entities
☐ New Business Entities

Please select whether you wish to apply approvals on all or specific Business Entities

☒ All
☐ Specific

The 2nd step in applying a workflow to all existing entities is to outline who will act as the approvers for this workflow. In the case of existing entities this is done by selecting an Internal Contact Type, which will act as the approval group.

Figure 17: All Existing Business Entity - Selecting Approval Group

Save & Close

Approvers

Approval Group*

Search for Approval Group

Q

+ Add New Approval Level

< Previous

Next >

If multiple approval levels are required, additional levels can be applied using the “Add New Approval Level” button

Figure 18: All Existing Business Entity - Multiple Approval Levels

Save & Close

Approvers

Level*

1

×

Approval Group*

Colm's Internal Contact Type 1

Search for Approval Group

Q

Level*

2

×

Approval Group*

Search for Approval Group

Q

+ Add New Approval Level

< Previous

Next >

The 3rd step involves selecting the Business Entity sections that will be undergoing the approvals process.

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Figure 19: All Existing Business Entity – Selecting Screen Fields to Undergo Approvals

Approval Sections

Please select the sections you wish to apply approvals on

<p>Company/Business Entity Details</p> <ul style="list-style-type: none"> <input type="checkbox"/> Company/Business Entity Basics <input type="checkbox"/> Addresses <input type="checkbox"/> Company Records Location <input type="checkbox"/> Communication <input type="checkbox"/> By-Laws/Articles of Association/Constitution <input type="checkbox"/> Industry Codes <input type="checkbox"/> Internal Contacts <input type="checkbox"/> Contacts <input type="checkbox"/> Business Activities <input type="checkbox"/> Ultimate Holding Company/Controllers <input type="checkbox"/> Inventory <input type="checkbox"/> Regulatory Reports <input type="checkbox"/> Branches/Locations <p>Taxation/Financial Details</p> <ul style="list-style-type: none"> <input type="checkbox"/> Taxation Details <p>Appointments</p> <ul style="list-style-type: none"> <input type="checkbox"/> Appointments <input type="checkbox"/> Appointments Held <input type="checkbox"/> Committee <input type="checkbox"/> Business Entity Committee Member <p>Groupings</p> <ul style="list-style-type: none"> <input type="checkbox"/> Group Relationship Manual -Parent 	<ul style="list-style-type: none"> <input type="checkbox"/> Group Relationship Manual -Subsidiary <input type="checkbox"/> Group Membership Manual <input type="checkbox"/> Business Entity Division <p>Persons with Significant Control (PSC)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Company PSC Status <input type="checkbox"/> PSC Summary <input type="checkbox"/> PSC Status History <p>Regulatory Details</p> <ul style="list-style-type: none"> <input type="checkbox"/> Regulator Details <input type="checkbox"/> Regulator Returns <input type="checkbox"/> Fees Report <input type="checkbox"/> Waiver <input type="checkbox"/> Regulatory Fines <input type="checkbox"/> Regulatory Business Permissions <p>Mergers & Continuation/Amalgamation History</p> <ul style="list-style-type: none"> <input type="checkbox"/> Surviving Entity <input type="checkbox"/> Amalgamating Entity <p>Intellectual Property</p> <ul style="list-style-type: none"> <input type="checkbox"/> Trademark, Patent or Service Mark <input type="checkbox"/> Jurisdiction Used <input type="checkbox"/> Domain Name Registration <p>Custom Screens</p> <ul style="list-style-type: none"> <input type="checkbox"/> " Special Characters Screen - I"£\$%^&*()_+ 的不了我这(F遣) 	<ul style="list-style-type: none"> <input type="checkbox"/> Financial Statement-Finanzkennzahlen for K3/K4 2010 onwards <input type="checkbox"/> Financial Statement-nora cr4093 <input type="checkbox"/> Germany GmbH Accounting/Audit <input type="checkbox"/> HealthCheck <input type="checkbox"/> Juri for Ireland only <input type="checkbox"/> Jurisdictional custom screen <input type="checkbox"/> Marie's Screen <input type="checkbox"/> Marie's Data Summary Screen <input type="checkbox"/> Paula's Custom Screen <input type="checkbox"/> PJ Custom Sxcreen <input type="checkbox"/> Property Portfolio <input type="checkbox"/> Purchase Details <input type="checkbox"/> Sales Details <input type="checkbox"/> screen 2 <input type="checkbox"/> screen 3 <input type="checkbox"/> screen1 <input type="checkbox"/> Service of Process <input type="checkbox"/> Taxation with custom rules <input type="checkbox"/> Test <input type="checkbox"/> TMF - Change Request <input type="checkbox"/> UK LLC Accounting/Audit
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The 4th and final step in the workflow is based around whether supporting documentation is required to be submitted alongside the change request being made in GEMS. This can be left as not required, required for all approval sections selected or required for specific approval sections selected. Once this is specified the workflow can then be activated.

Figure 20: All Existing Business Entity – Supporting Documentation & Activation

Save & Close

Supporting Documentation

Please select if a user must attach supporting documentation when submitting a change request

☐ Not required
☐ Required for all approval sections selected
☒ Required for specific approval sections selected

Approval Sections

Company/Business Entity Details

☐ Company/Business Entity Basics

NOTE: Even if supporting documentation is not set as a requirement, Submitters will still be presented with the option to attach these if they wish.

Applying Workflow to Specific Existing Business Entities

If the workflow is designed specific existing entities – these entities can be specified using a preconfigured saved search. (For more information on searching in GEMS see the Advanced Search Tutorial)

Figure 21: Specific Existing Business Entity – Workflow Description

Save & Close

Approvals Workflow Description

Workflow Name* Existing Business Entity Approval Workflow

Workflow Description

Status Inactive

Approvals Workflow Type

Please select whether you wish to apply approvals on new or existing Business Entities

☒ Existing Business Entities
☐ New Business Entities

Please select whether you wish to apply approvals on all or specific Business Entities

☐ All
☒ Specific

Specific Business Entity Details

Please select a saved search containing the Business Entities that you wish to apply approvals on

Saved Search Search for a Saved Search

NOTE: While in use in an Approvals Workflow; Saved Searches cannot be deleted. If edits are made by to these searches a warning will be displayed. Edits to these searches can only be made by Admin Users.

The 2nd step is to outline who will act as the approvers for this workflow. In the case of existing entities this is done by selecting an internal contact type.

Figure 22: Specific Existing Business Entity - Selecting Approval Group

Save & Close

Approvers

Approval Group*

Search for Approval Group

Q

+ Add New Approval Level

< Previous

Next >

If multiple approval levels are required additional levels can be applied using the "Add New Approval Level" button

Figure 23: Specific Existing Business Entity - Multiple Approval Levels

Save & Close

Approvers

Level*

1

x

Approval Group*

Colm's Internal Contact Type 1

x

Search for Approval Group

Q

Level*

2

x

Approval Group*

Search for Approval Group

Q

+ Add New Approval Level

< Previous

Next >

The 3rd step in the process involves selecting the Business Entity sections that will be undergoing the approvals process

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Figure 24: Specific Existing Business Entity – Selecting Screen Fields to Undergo Approvals

Save & Close

Approval Sections

Please select the sections you wish to apply approvals on

✔ Select All

✖ Deselect All

Company/Business Entity Details

☐ Company/Business Entity Basics

☐ Addresses

☐ Company Records Location

☐ Communication

☐ By-Laws/Articles of Association/Constitution

☐ Industry Codes

☐ Internal Contacts

☐ Contacts

☐ Business Activities

☐ Ultimate Holding Company/Controllers

☐ Inventory

☐ Regulatory Reports

☐ Branches/Locations

Taxation/Financial Details

☐ Taxation Details

Appointments

☐ Appointments

☐ Appointments Held

☐ Committee

☐ Business Entity Committee Member

Groupings

☐ Group Relationship Manual -Parent

☐ Group Relationship Manual -Subsidiary

☐ Group Membership Manual

☐ Business Entity Division

Persons with Significant Control (PSC)

☐ Company PSC Status

☐ PSC Summary

☐ PSC Status History

Regulatory Details

☐ Regulator Details

☐ Regulator Returns

☐ Fees Report

☐ Waiver

☐ Regulatory Fines

☐ Regulatory Business Permissions

Mergers & Continuation/Amalgamation History

☐ Surviving Entity

☐ Amalgamating Entity

Intellectual Property

☐ Trademark, Patent or Service Mark

☐ Jurisdiction Used

☐ Domain Name Registration

Custom Screens

☐ " Special Characters Screen - I"£\$%^&*()_+ 的不了我这(F道)

☐ Financial Statement-Finanzkennzahlen for K3/K4 2010 onwards

☐ Financial Statement-nora cr4093

☐ Germany GmbH Accounting/Audit

☐ HealthCheck

☐ Juri for Ireland only

☐ Jurisdictional custom screen

☐ Marie's Data Screen

☐ Marie's Data Summary Screen

☐ Paula's Custom Screen

☐ PJ Custom Sxscreen

☐ Property Portfolio

☐ Purchase Details

☐ Sales Details

☐ screen 2

☐ screen 3

☐ screen1

☐ Service of Process

☐ Taxation with custom rules

☐ Test

☐ TMF - Change Request

☐ UK LLC Accounting/Audit

◀ Previous

Next ▶

The 4th and final step in the workflow is based around whether supporting documentation is required to be submitted alongside the change request being made in GEMS. This can be left as not required, required for all approval sections selected or required for specific approval sections selected. Once this is specified the workflow can then be activated.

Figure 25: Specific Existing Business Entity – Supporting Documentation & Activation

Save & Close

Supporting Documentation

Please select if a user must attach supporting documentation when submitting a change request

☐ Not required

☐ Required for all approval sections selected

☒ Required for specific approval sections selected

Approval Sections

☒ Select All

☒ Deselect All

Company/Business Entity Details

☐ Company/Business Entity Basics

Previous

Activate

NOTE: Even if supporting documentation is not set as a requirement, Submitters will still be presented with the option to attach these if they wish.

Pausing the Setup of a Workflow

The ability to pause a Change Request that has already been started allows Submitters to exit the process and return at a later stage without losing their previous place/changes. The pause function can be found in the top right hand corner during the Approvals Configurable workflow.

Figure 26: Pausing a Workflow – Save & Close

Save & Close

Approvals Workflow Description

Workflow Name*

Workflow Description

Approvals Workflow Type

Please select whether you wish to apply approvals on new or existing Business Entities

☐ Existing Business Entities

☐ New Business Entities

Next

Paused workflows can be viewed from the Approval Workflow Summary page and will display an incomplete status – these workflows can be resumed by clicking the menu icon and edit.

Comments
be retitled

Figure 27: Resuming Paused Workflow – Menu & Edit

New

Workflow Name ▾	Workflow Description ▾	Creator ▾	Status ▾
Approval Workflow		Luke Smith	Incomplete

Edit

Delete

Deleting an Approvals Workflow

In circumstances whereby a workflow needs to be deleted this is possible from the Workflow Summary screen.

Figure 28: Workflow Menu - Delete

Workflow Summary

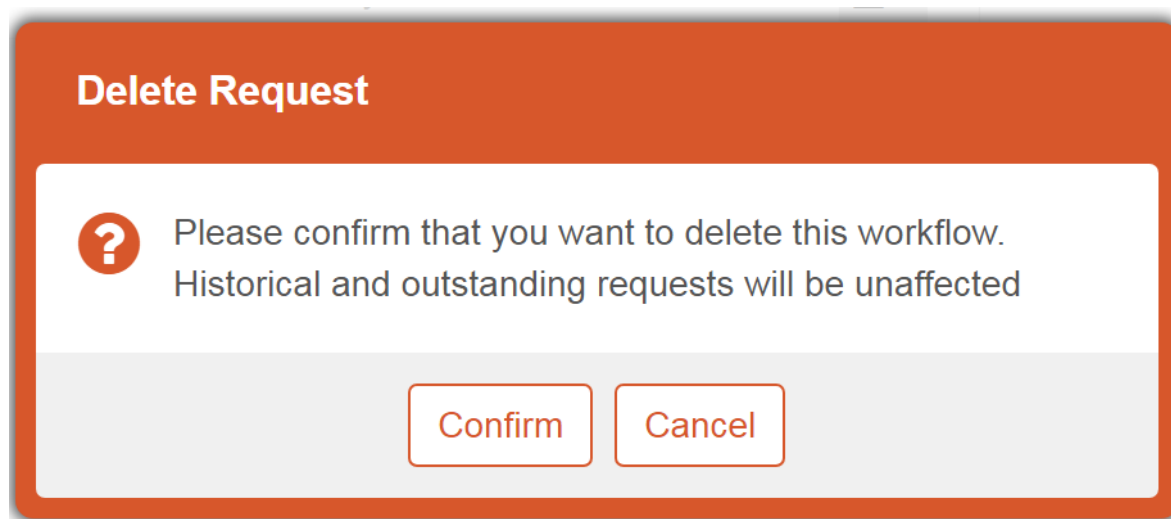
New

Workflow Name ▾	Workflow Description ▾	Creator ▾	Status ▾
Approvals Workflow		Paddy O Hara	Active

Edit

Delete

Note: If a workflow is edited while outstanding change requests are in process, users will have the choice to reset all requests or let current requests continue through the previous process

Figure 29: Notification – Deleting an Approval Workflow

Comments
updated

Email Configuration Settings

The Approvals Module automatically sends emails to users assigned to the 'Submitter' and 'Approver' Internal Contact Types whenever there is a change in the status of a Change Request they have submitted, or are responsible for reviewing. For the emails to be sent, the Administrator must ensure that the Email Admin settings in GEMS are configured as follows:

- The email server settings are configured in *Menu > Manage Email Settings > Email Accounts*. (See installation Guide for how to configure account details - this is not applicable to Hosted clients)
- Users assigned to the Internal Contact Types 'Submitter' and 'Approver' must have valid email addresses entered in their user profiles in *Menu > GEMS Administration > User Management > User > General*.
- The text and format of the emails are based on the templates set up by the Administrator in *Menu > Manage Email Settings > Email Templates*

NOTE: It is not mandatory to have email notifications configured for the Approvals process to function; they are optional alerts for notifying users about Change Request status updates. The status of a change request can be monitored using the "Manage Approvals Tile"

Comments
be the s

Alerts and Email Process

If Approval emails are configured, the email alerts process is as follows:

- Approvers and Submitters add the Alerts Panel from the Panel Catalog in My Page Settings to receive email alerts and notifications on the GEMS homepage if required, as well as their Inbox (see the Homepages Tutorial for details on how to add panels to home pages).
- When a Submitter submits a Change Request, he receives an email from GEMS in his corporate email account Inbox, and/or in the Received tab of his Alerts Panel.
- The Approver receives a message in her Inbox and/or Alerts Panel with the following headings:
 - From Name – this contains the sender details
 - Subject – this displays the change request reference number and entity name
 - Date – submittal date of the change request

Figure 30: Alerts Panel

From Name	Subject	Date
serveraccount@gemsmailpop3.com	Change Request 94 - Entity Test Company - England	28/08/2014
1 Record(s) Returned		

Yesterday

This Week (Mar 29 2015 - Apr 02 2015)

Last Week (Mar 22 2015 - Mar 28 2015)

Two Weeks Ago (Mar 15 2015 - Mar 21 2015)

Three Weeks Ago (Mar 08 2015 - Mar 14 2015)

This Month

Older

- If the Change Request is approved, an email alert is sent to the Submitter confirming the approval.

The text and format of the emails are based on the templates set up by the Administrator in *Admin > Email Admin > Email Templates*. An example of an email (accessed through the Alerts panel) is as follows:

Figure 31: Email for CR status Changed to Submitted

Delete  

To Name	gemsadmin
To Email Address	account@gemsmailpop3.com
CC Email Address	
BCC Email Address	
Priority	1
From Name	GEMS Server Account
From Email Account	serveraccount@gemsmailpop3.com
Date Queued	28/08/2014
Date Sent	28/08/2014
Email Subject	Change Request 94 - Entity & Test Company - England &
Attachments	

The status of change request 94 for entity Test Company - England has been changed to Submitted

Comments:







Email Body
 CR Created By: gems admin on 28/08/2014 13:44:59
 CR Modified By: gems admin on 28/08/2014 13:44:59
 CR Administrator:

The main information is contained in the Email Body near the bottom of the message. This displays the details about the status of the Change Request, CR created and modified by, and the times of the changes.

The list of templates that are shipped includes three email templates relating to Approvals: *Change Request Status Changed* and *Change Request Administrator Assigned* and *Change Request Administrator Unassigned*.

Figure 32: Change Request-related Email Templates in GEMS

Page 1 of 1

Description	
<input type="checkbox"/> Notification Email - Change Request Administrator Assigned	 
<input type="checkbox"/> Notification Email - Change Request Administrator Unassigned	 
<input type="checkbox"/> Notification Email - Change Request Status Changed	 

The *Change Request Administrator Assigned* email is sent when an Approver is assigned to a CR. When the assigned Approver opens a Change Request and assigns another Approver to the CR, both the *Change*

Request Administrator Assigned (referring to the new Approver) and the *Change Request Administrator Unassigned* (referring to the former Approver) email is sent.

NOTE: It is also possible for users to send manual emails to all users assigned as Submitters, Approvers and/or Verifiers for any company in GEMS. See the Email Admin Tutorial for more information on how this feature works.

Comme

The Change Request Process

The Change Request process begins when a Submitter makes an edit to one of their assigned entities which has been set up to undergo the approvals process.

Create a Change Request

When a change request is made by a submitter on data which has been set up to undergo an approvals workflow, the tile show below will be displayed.

Figure 33: Change Request Blue Ribbon

Updating this information requires approval. Data changes will only be visible when approved



Once a request is submitted - the submitter will be directed to the next screen and provided the opportunity to upload supporting documentation relating to the change being requested. The  icon will allow for the upload of supporting documentation.

Figure 34: Change Request Blue Ribbon – Supporting Documentation

View More Details

 Company Details Basics

Supporting Documents for this Change Request can be attached / uploaded here

Supporting Documentation

Previous

Save

Figure 35: Supporting Documentation – Adding document properties

New Document

Description

Keywords

Related Entity

Related Contract

Based On Template

Document Type

Category

Sub-Category

Document Date

Notes

Attached File

Document URL

Submission/Accession #

mm/dd/yyyy

Today

Attach

Clear

Cancel

Save

Once the required documents are uploaded the change request can then be submitted

View More Details

Supporting Documents for this Change Request can be attached / uploaded here

Supporting Documentation

Description	Status	Date	User
Workflow Supporting Documentation	Created	03/08/2018	L.Smith

Previous

Save

Submit

Create a Change Request for 'Add New Entity'

Using the Add Entity Wizard a Submitter can add a new entity to the system.



This new entity also goes through the change request process and will require approval before going live in the system. The change request blue ribbon seen in Figure 33 will be displayed once the Company Basics data screen is reached to illustrate this entity will be undergoing the approval.

Pausing Change Requests

While working on a change request should the need arise the option to pause the request is available. Depending on whether the request relates to a new or existing entity this functionality can be implemented by selecting the Pause or Save buttons respectively.

Figure 36 Pause Change Request – New Entity

○

○

○

BasicsAddressesCommunication

Pause

Step 2 of 3

+ New

Address

Address Type	Address	Zip/Post Code	Effective From	Effective To	Confirmed	
Head Office	1001, Suite 1600, Pauahi Tower, Honolulu	96813			True	

1 Record(s) Returned. Page 1 of 1

< Previous

Next >

Figure 37 Pause Change Request – Existing Entity

Supporting Documents for this Change Request can be attached / uploaded here

Supporting Documentation

+

< Previous

Save

Submit

Paused Change Requests can be resumed from within the Manage Approvals tile on the Exective Homescreeen. To resume a request the user must click the blue hyperlink of the request in question - this can be found on the Saved Tab under the Submitter Approval Role

Figure 38: Executive Home Screen

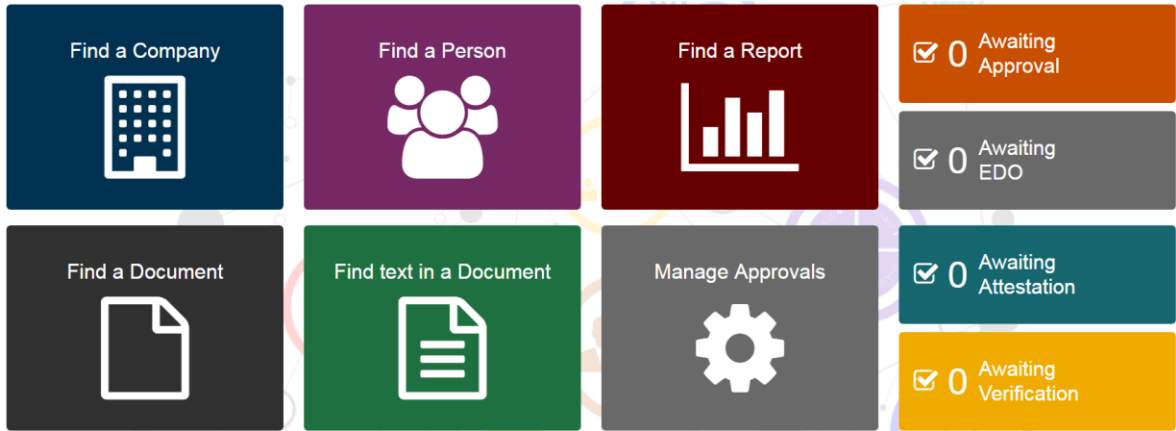


Figure 39: Submitter Approval Role – Saved Tab

Approval Role Submitter

Saved Submitted Approved Rejected

Change Description	Detailed Description	Name	Date	Change #
Update Basics	Regulated Entity: No, Legal Name: John Doe,	John Doe	03/29/2018	24

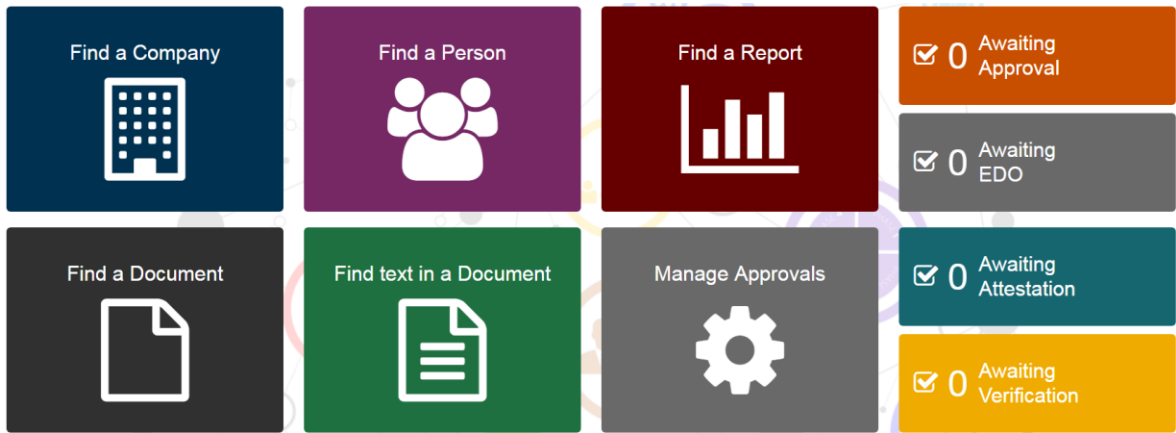
John Doe

Updating this information requires approval. Data changes will only be visible when approved.

Managing Approvals

Submitted change request can be viewed using the Manage Approvals tile on the Executive Home Screen

Figure 40: Executive Home Screen



From the Manage Approvals Tile the user will depending on their approval roles be able to change their view to display the progress of their submissions or the status of the change requests they are the responsible approver for.

Submitter

Saved

While in the process of changing or adding new information to GEMS it is possible to pause the CR and continue updating this data at a later point in time. For updates to existing entities this can be implanted by clicking the save button on the supporting documentation screen. During the Add Entity Wizard this is implemented by selecting the Pause button.

Figure 41: Change Request Blue Ribbon – Supporting Documentation

Supporting Documents for this Change Request can be attached / uploaded here

Supporting Documentation

Previous

Save

Submit

Figure 42: Add Entity Wizard – Pause Button

○

Basics

○

Addresses

○

Communication

Pause

Step 2 of 3

+ New

Address

Address Type	Address	Zip/Post Code	Effective From	Effective To	Confirmed	
Head Office	1001, Suite 1600, Pauahi Tower, Honolulu	96813			True	

1 Record(s) Returned. Page 1 of 1

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Next >

In these instances these saved changes will appear in the "Saved" tab under the Submitter Approval Role. From here the blue hyperlink can be followed to edit the change, add supporting documentation and submit the change for approval by its respective approver(s). Or the menu icon can be clicked to delete the Saved change

Figure 43: Submitter Approval Role – Saved Tab

Manage Approvals

Approval Role

Submitter

Saved

Submitted

Approved

Rejected

Change Description	Detailed Description	Name	Date	Change #	
Update Basics	Regulated Entity: No, Legal Name: 001FOX COMPANY E...	001FOX COMPANY ENGLAND	03/07/2018	1	<div>Delete</div>

1 Record(s) Returned Page 1 of 1

Once the blue hyperlink has been followed - to edit a Saved change or view the associated documents to this change the respective button must be clicked which can be found in the top right hand corner of the screen field.

Figure 44: Change Request – Edit & Add Supporting Documentation

John Doe

Updating this information requires approval. Data changes will only be visible when approved.

Figure 45: Change Request - Resume

001FOX COMPANY ENGLAND

Updating this information requires approval. Data changes will only be visible when approved.

Name

Business Unit

Reference ID

Regulated EntityNo

Archived

Legal Name001FOX COMPANY ENGLAND

Short Name001FOX COMPANY ENGLAND

Submitted

From the submitter view it’s possible to see descriptions of the changes made by the user, when the change was made, the number of approvers required and the % complete in terms of the required approval levels. Using the menu icon to the right users can also “recall” submitted requests which moves the request to the saved tab where edits can be made before resubmission.

Figure 46: Submitter Approval Role – Submitted Tab

Manage Approvals

Approval Role

Submitter

Saved

Submitted

Approved

Rejected

Change Description	Detailed Description	Name	Date	# of Approvers	% Complete	Change #
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	John Doe	03/08/2018	1	0	2

1 Record(s) ReturnedPage 1 of 1

Approved

From the Approved view it’s possible to view previous change requests which have been approved. Included here is a description and also the date in which the change was approved. To view the actual changes which were made the blue hyperlink can be followed.

Figure 47: Submitter Approval Role – Approved Tab

Manage Approvals

Approval Role

Submitter

Saved

Submitted

Approved

Rejected

Change Description	Detailed Description	Name	Date	Change #
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	1005, John Doe	03/16/2018	21
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	1005, John Doe	03/16/2018	20


2 Record(s) Returned

Page 1 of 1

Rejected

From the Rejected tab it is possible to see a list of Change Requests submitted by the user which have been rejected. Included here is the description of the change request, the reason and date of the rejection . By following the blue hyperlink the change request can be viewed and updated. By clicking the menu button on the left of the change number the rejected change request can also be deleted by the user.

Figure 48: Submitter Approval Role – Rejected Tab

Manage Approvals					
					Approval Role Submitter ▼
Saved	Submitted	Approved	Rejected		
Change Description ▼	Detailed Description ▼	Name ▼	Date ▼	Reason for Rejection ▼	Change # ▼
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	1005, John Doe	03/29/2018	Incorrect Information.	28
					
1 Record(s) Returned Page 1 of 1					

Approver

Awaiting My Approval

From the Awaiting My Approval tab all outstanding approvals assigned to a user can be viewed. For each outstanding approval; information such as - the date the approval was submitted, the name of the submitter and a description of the change in question will be displayed.

To view the change request which has been made the blue hyperlink can be followed. After opening the change request it can then be reviewed and either accepted or rejected with the option to add details surrounding the rejection if necessary.

Figure 49: Approver Approval Role – Awaiting My Approval Tab

Manage Approvals

Approval Role

Approver

Awaiting My Approval

Awaiting Further Approval

Approved

Rejected

Change Description	Detailed Description	Name	Date	Submitter	Change #
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	John Doe	03/16/2018	Ross Brown	20

Awaiting Further Approval

From the Awaiting Further Approval tab all approved requests assigned to a user which require approval at a higher approval level can be viewed. Once approved at the higher approval level the request will disappear from this tab and moved to the approved.

The awaiting further approval tab is used where multiple approvals levels are applied to a workflow and allow the monitoring of the progress of such approvals through approval levels.

For each outstanding approval; information such as - the date the approval was submitted, the name of the submitter and a description of the change in question will be displayed. In addition due to the multiple levels of approval applied to the workflow information surrounding the number of approvers and percentage complete will also be displayed.

Figure 50: Approver Approval Role – Awaiting Further Approval Tab

Manage Approvals

Approval Role

Approver

Awaiting My Approval

Awaiting Further Approval

Approved

Rejected

Change Description	Detailed Description	Name	Date	Submitter	# of Approvers	% Complete	Change #
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	John Doe	03/16/2018	Ross Brown	2	50	22

1 Record(s) Returned Page 1 of 1

Approved

From the Approved view it's possible to view previous change requests which have been approved. Included here is a description and also the date in which the change was approved. To view the actual changes which were made the blue hyperlink can be followed.

Figure 51: Approver Approval Role – Approved Tab

Manage Approvals

Approval Role

Approver

Awaiting My Approval

Awaiting Further Approval

Approved

Rejected

Change Description	Detailed Description	Name	Date	Submitter	Change #
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	John Doe	03/29/2018	Ross Brown	30
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	John Doe	03/16/2018	Ross Brown	21
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	John Doe	03/16/2018	Ross Brown	20

3 Record(s) Returned

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Rejected

From the Rejected tab it is possible to see a list of Change Requests submitted by the user which have been rejected. Included here is the description of the change request, the reason and date of the rejection . By following the blue hyperlink the change request can be viewed and updated.

Figure 52: Approver Approval Role – Rejected Tab

Manage Approvals

Approval Role

Approver

Awaiting My Approval

Awaiting Further Approval

Approved

Rejected

Change Description	Detailed Description	Name	Date	Submitter	Reason for Rejection	Rejected By	Change #
Update Basics	Regulated Entity: No, Legal Name: John Doe, Other ...	John Doe	03/29/2018	Ross Brown	Incorrect Information.	Luke Smith	28

1 Record(s) Returned

Page 1 of 1

Admin

Viewing Change Request Data

Within Manage Approvals Change Requests can be viewed by selecting the blue hyperlink beside the request in question. When viewing a change request the data which has been changed will be highlighted in blue and contain the current data on the left with the new data on the right as seen in Figure 53.

Comments completed

Figure 53: Change Request – Before and After

Name

Business Unit

Reference ID

Regulated Entity

Archived

Legal Name

Short Name

Other Name

Effective From

No

☐

John Doe

John Doe

Current Data

New Data

03/08/2018

Document History

The below table details updates to this tutorial:

Table 1: Document History

Date	Related GEMS Version	Comments
March 2018		First release

Version Compatibility

The below table indicates which versions of GEMS this tutorial is compatible with:

Table 2: Version Compatibility

GEMS Version	Compatible	Comments
9.7	Yes	

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