

# PlainSail Workflow User Guide

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## Overview of Workflow in PlainSail

One of the most powerful, cost-effective and production-boosting features of PlainSail is its implementation of workflow.

Many companies use paper checklists to ensure that a process follows all the correct steps and has all the appropriate approvals. The problem with these is that they can disappear because they are stuck at the bottom of somebody's inbox and there is often no record where they are or who has them.

Workflow ensures that important processes always follow the correct steps and are performed by the correct personnel. The progression of a workflow is always visible and can never be lost.

### What is Workflow?

Workflow is exactly like a flowchart where all the individual steps of a process are linked together in the correct order. It has a start and an end, and in between a set of steps each of which are assigned to a person or group of people for them to perform manually or to the computer to perform the task automatically.

The workflow steps move from one assignee to the next so that data may be gathered or a decision made and when this is done, it moves on to the next step and its assignee. This continues until the workflow reaches its logical conclusion or it is prematurely terminated.

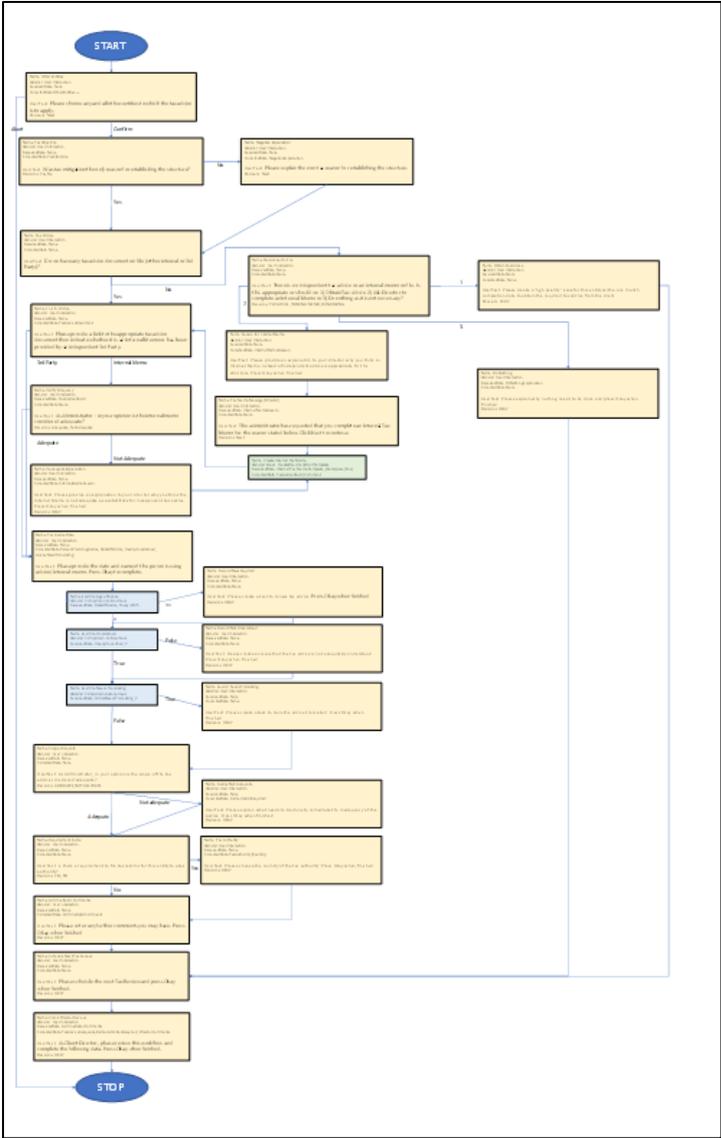
As a workflow progresses it gathers information, documentation and approvals from required parties (Compliance, Directors etc.).

A workflow step may be one that is fully automated, which means the system itself is the assignee and will perform the step. The workflow will appear dormant for a short period whilst the computer performs these tasks and therefore it is not unusual for a user to wait for the next step to be assigned as the system may be creating documents from templates, retrieving data, assessing information to make key decisions about the direction of the process flow etc.

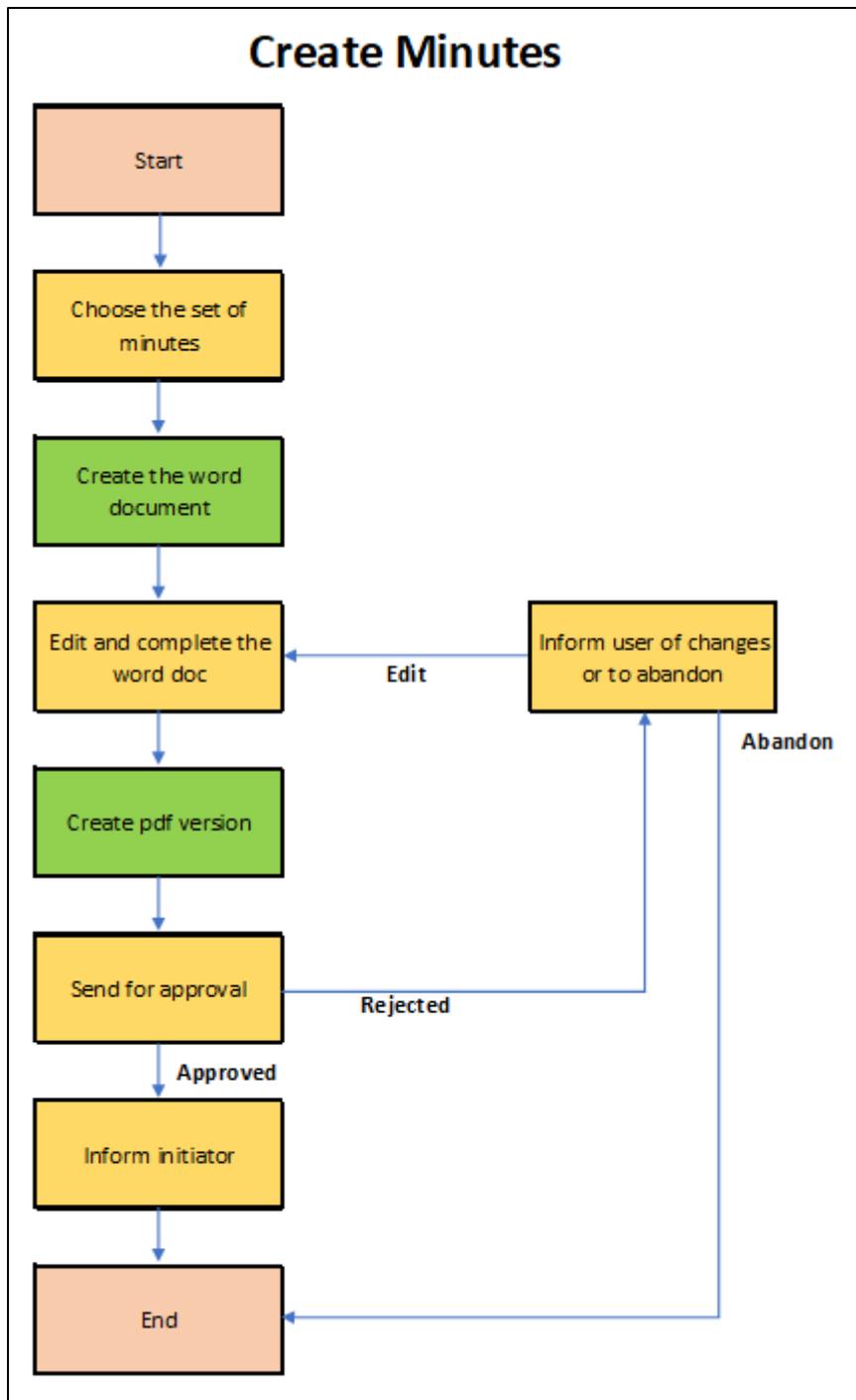
If the step is not a fully automated step, it is a 'user step' and will be assigned to a specific person or a group of people. If you are assigned a step, or you are a member of a group which has been assigned a step, you will be notified of the assignation and the step will appear on your dashboard. If you open the step, you will see that there are instructions to complete the task and all the relevant information will be provided. In all cases you will be asked either to do something, confirm that something has been done, provide information or make a decision. All user steps have at least one button to press and this may be labelled 'Next', 'Yes', 'No', 'Confirm', 'Approve' etc. Once pressed, the workflow will move to the appropriate next step.

### Simple example of a Workflow

In practice flowcharts and workflows are complex and will probably look something like this.



However, let's take a simpler example to illustrate how a workflow would be implemented. This one creates a set of minutes, requests approval and then files the minutes.



Notice that the colour coding differentiates by colour the start and end steps (buff), the automated system steps (green) and the user steps (yellow).

To launch the workflow, you will go to the appropriate entity and, from the Workflow's menu, you will choose the Create Minutes workflow. The workflow is launched and the start step will create the first user step 'Choose the set of minutes' and assign it to you as the initiator of the workflow.

### Step 1 – Choose the set of minutes

You will be sent a notification telling you that you have a new workflow task and when you go to your dashboard, you will see the step waiting for you to click open.

When you open the step, you will be presented with a screen requesting you to choose the minutes required in a dropdown list. In addition you will be asked which folder you would like the completed set of minutes to be stored in. When you have provided this information, the 'Next' button at the bottom of the step window will be activated and you will press this when you are ready. The step is completed and the next step is launched.

### Step 2 – Create the word document

This step is an automated step and therefore your involvement in the workflow is temporarily suspended while the system has time to complete its task.

Using the information you provided in step 1, the system will recall the document template which matches your choice of minutes. This template requires information such as date, entity name, address, directors etc. but the system automatically knows how to retrieve this information and will create the minutes in a word document with all information populated where possible. There will usually be additional information to which it has no knowledge and thus when it has completed the document, it will store the word document in the 'Editable' folder (or other according to the system configuration) of the entity and the step is complete.

### Step 3 – Edit and complete the word document

This step will also be assigned to you, as initiator, and it will contain a link to the word document and a request that you open it, check it and complete any missing information or additional wording, then close and save it.

When you have done this and click the Next button, the step will complete.

### Step 4 – Create pdf version

This is a system step which takes the, now completed, word document and creates a pdf version of it and files it in the folder which was specified by you in Step 1.

### Step 5 – Send for approval

This step is assigned to the user group 'Directors' and all directors will now be sent a notification that there is a workflow step assigned to them. Any one of the directors may perform this step.

Upon opening the step, the director will see a link to the pdf document and a request to open it and make a decision either to approve it or reject it. The step will also contain an optional input field that the director may complete upon rejection, to instruct the initiator why he/she has done so.

This step will present two buttons for the director to choose. One will say, Approve and the other Reject. If approved is chosen, the workflow moves onto step 6 but if reject is chosen, it goes on to step 7.

#### Step 6 – Inform initiator

This step is assigned to you as initiator and is merely a polite notice to you that the director has approved the minutes and that the workflow is now complete. The workflow now moves to the End step which completes the workflow.

#### Step 7 – Inform user of changes or to abandon

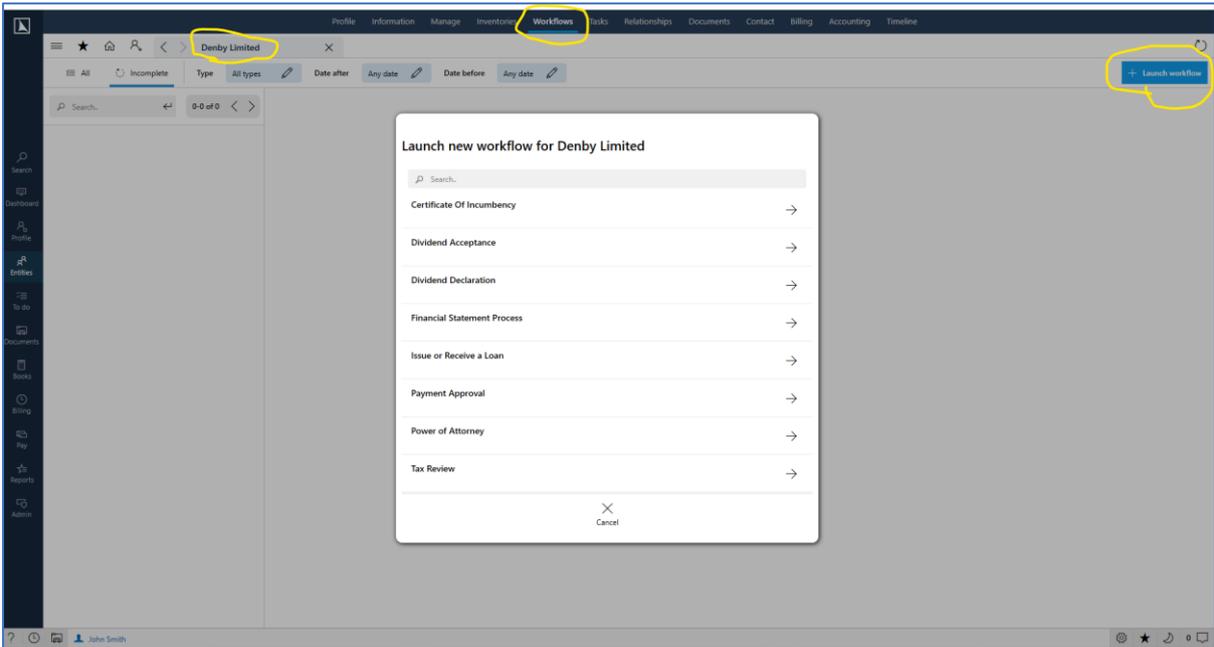
This step is assigned to you as initiator and informs you that the director has rejected the word document and will display the message input explaining what needs to be done. There will be two buttons for you to choose; Edit which takes you back to step 3 to recall the word document and make the necessary changes, or Abandon which will take you to the End step which completes the workflow.



## Launching a Workflow

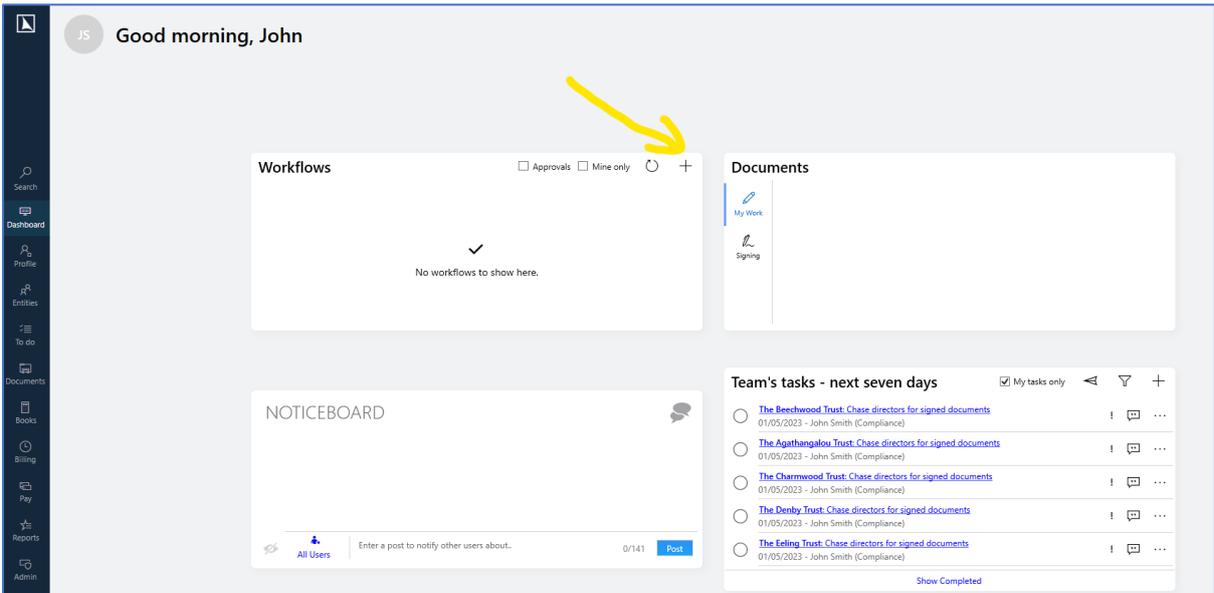
You can manually launch a workflow in two different ways.

The first involves calling up the entity you wish to perform the workflow for and choosing the Workflows option from the top menu where you can click the button marked '+ Launch workflow'. This will produce a screen like this.

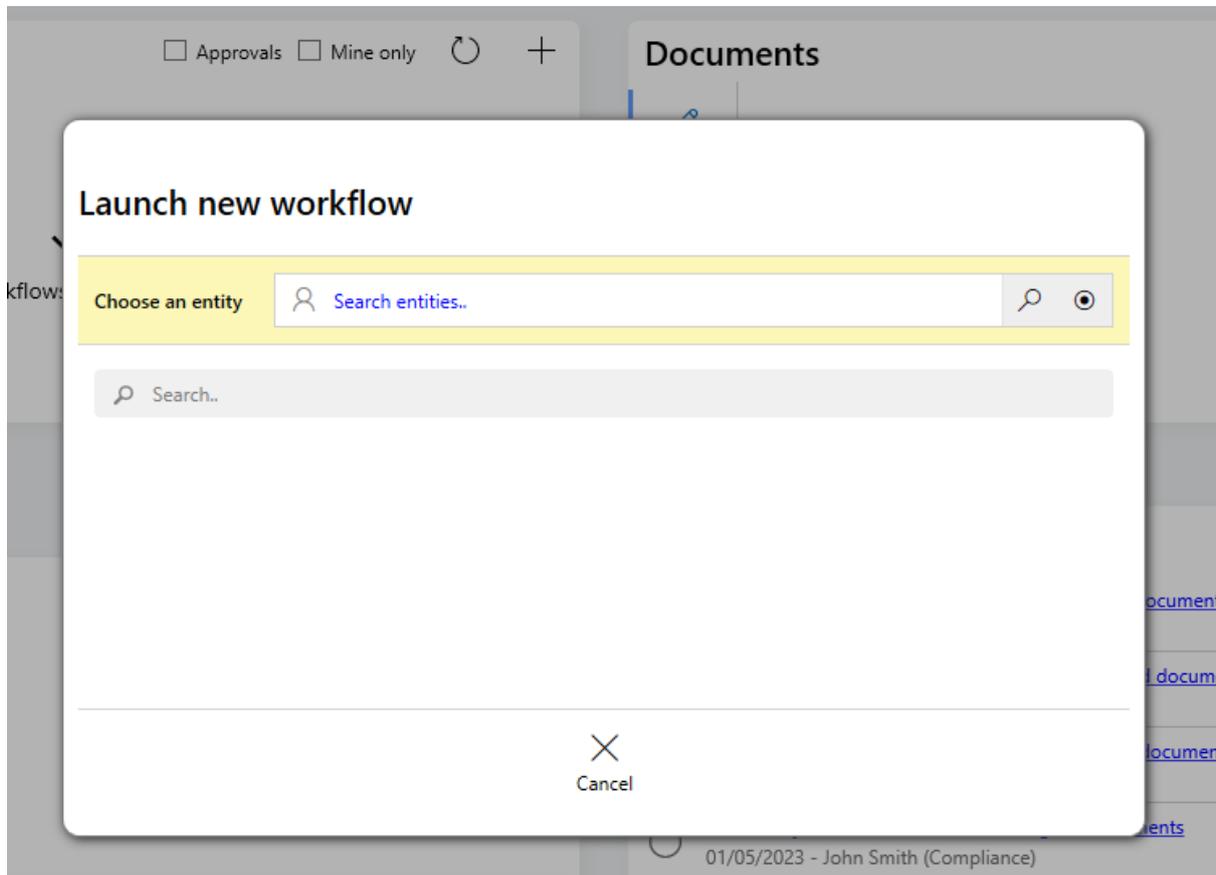


Choose the workflow you wish to perform from the list displayed.

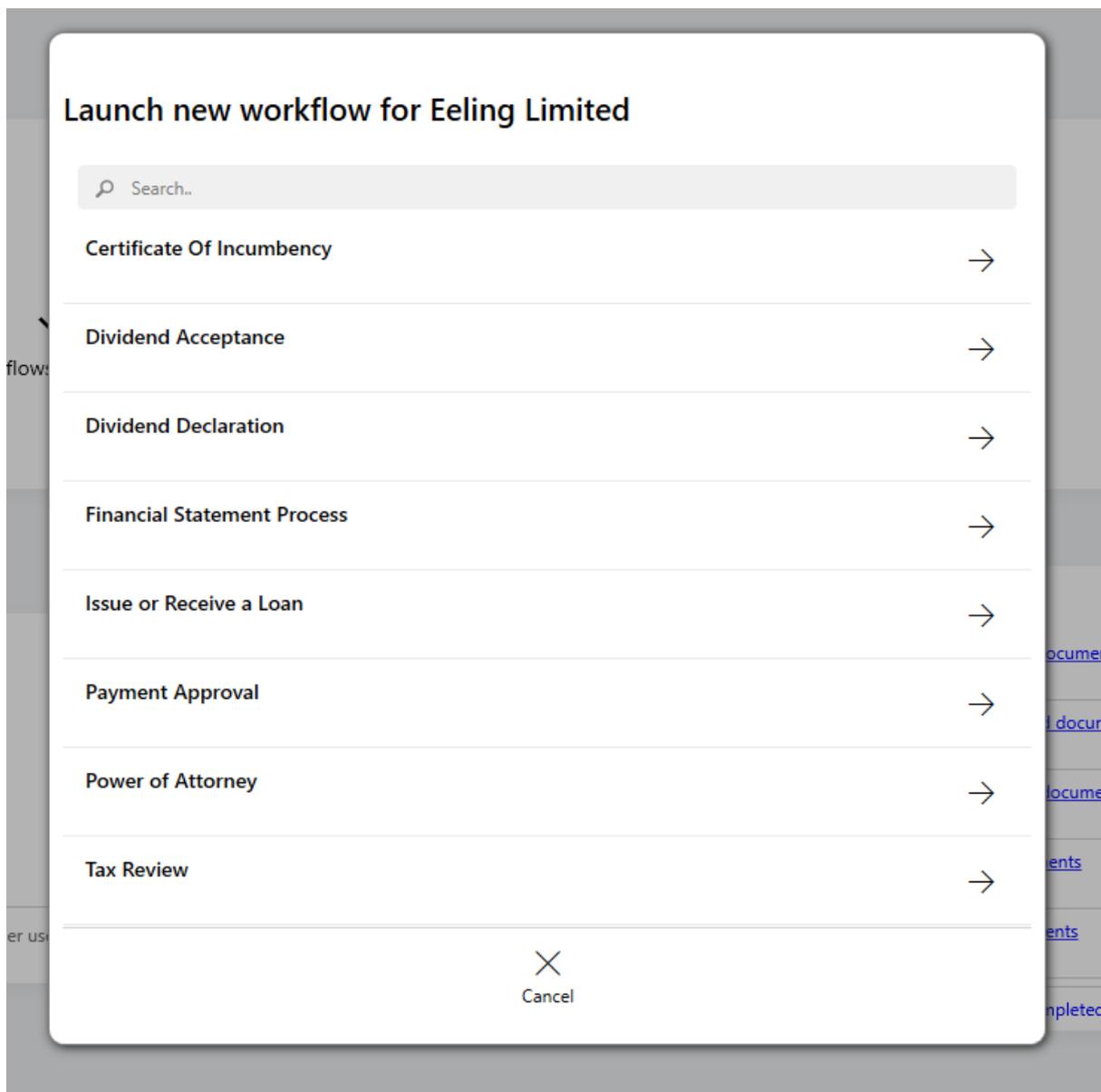
The second is launched by pressing the '+' button from the Workflow widget on your Dashboard.



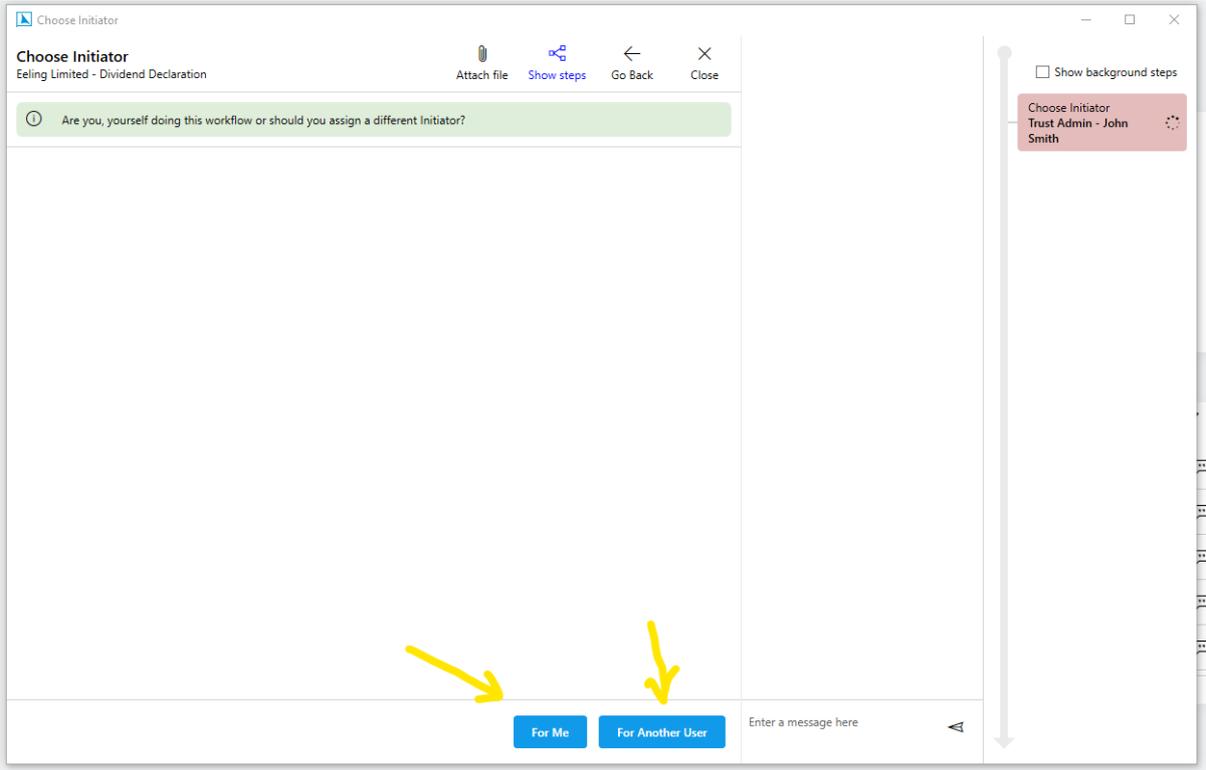
which gives this screen.



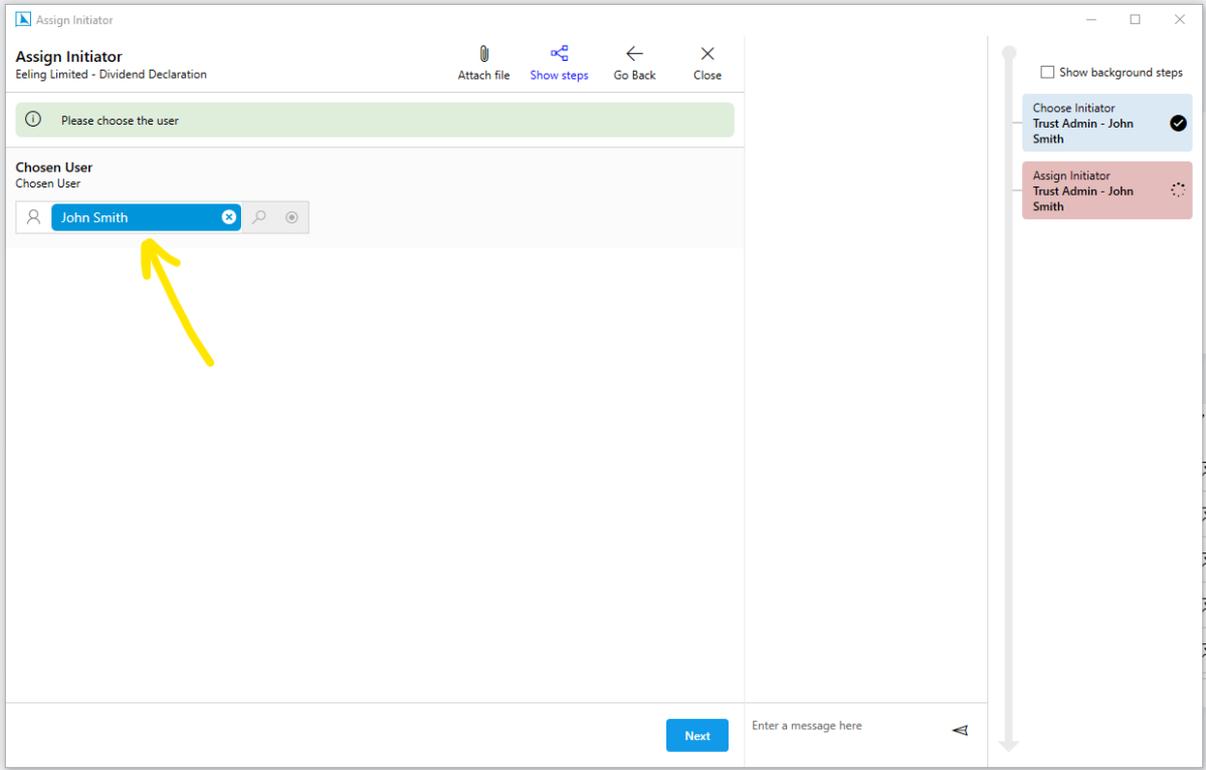
Select the subject entity for the workflow and then choose the workflow from the list provided.



Once the workflow is launched it may immediately open the first step of the workflow for your completion. We usually start with a standard step asking whether you wish to do the workflow yourself or, if you have launched the workflow for one of your personnel to complete, assign it to someone else.



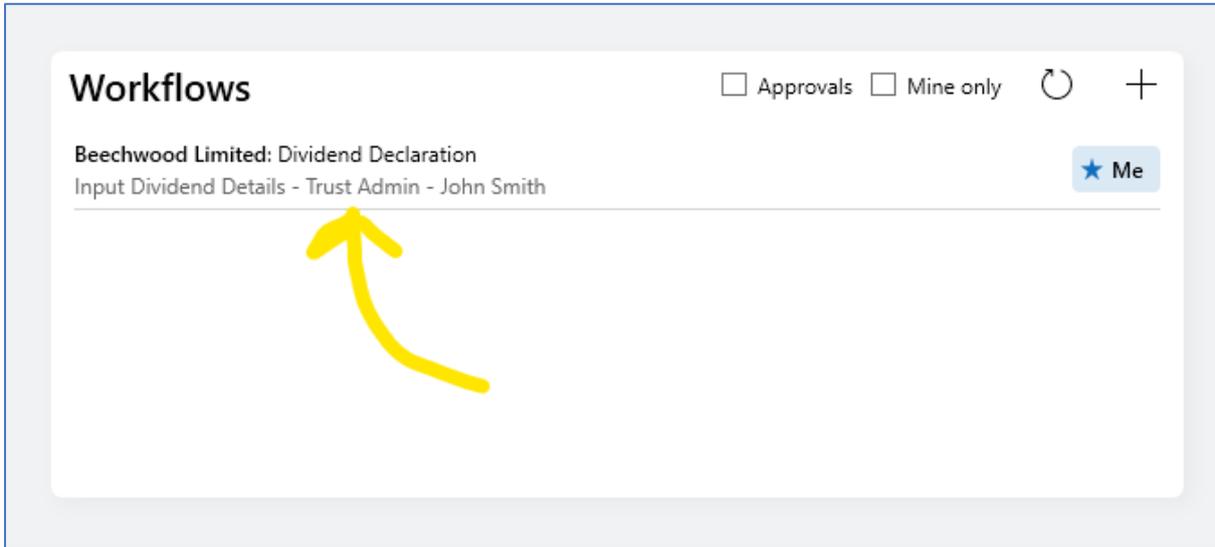
If you choose to assign it to somebody else, you will see this screen.



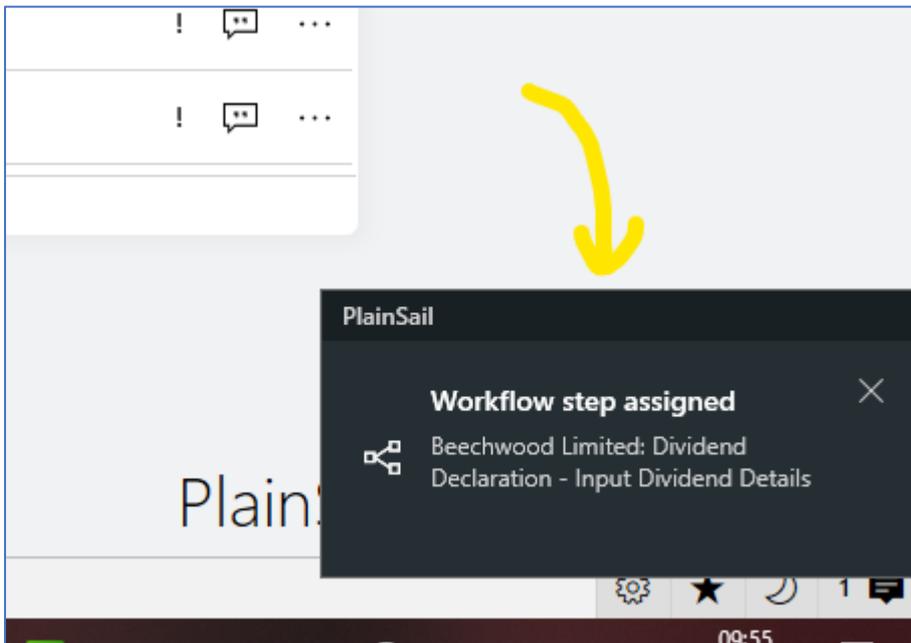
And you can change the user as required. This will then change the default user for the workflow and any steps that are assigned to the default, will go to them.

## Notifications of New Workflow Steps

When a new workflow step is assigned to you or a user group you are part of, the step will become visible on the Workflow screen on your Dashboard.



There will also be a notification sent to the bottom right-hand corner of your screen.

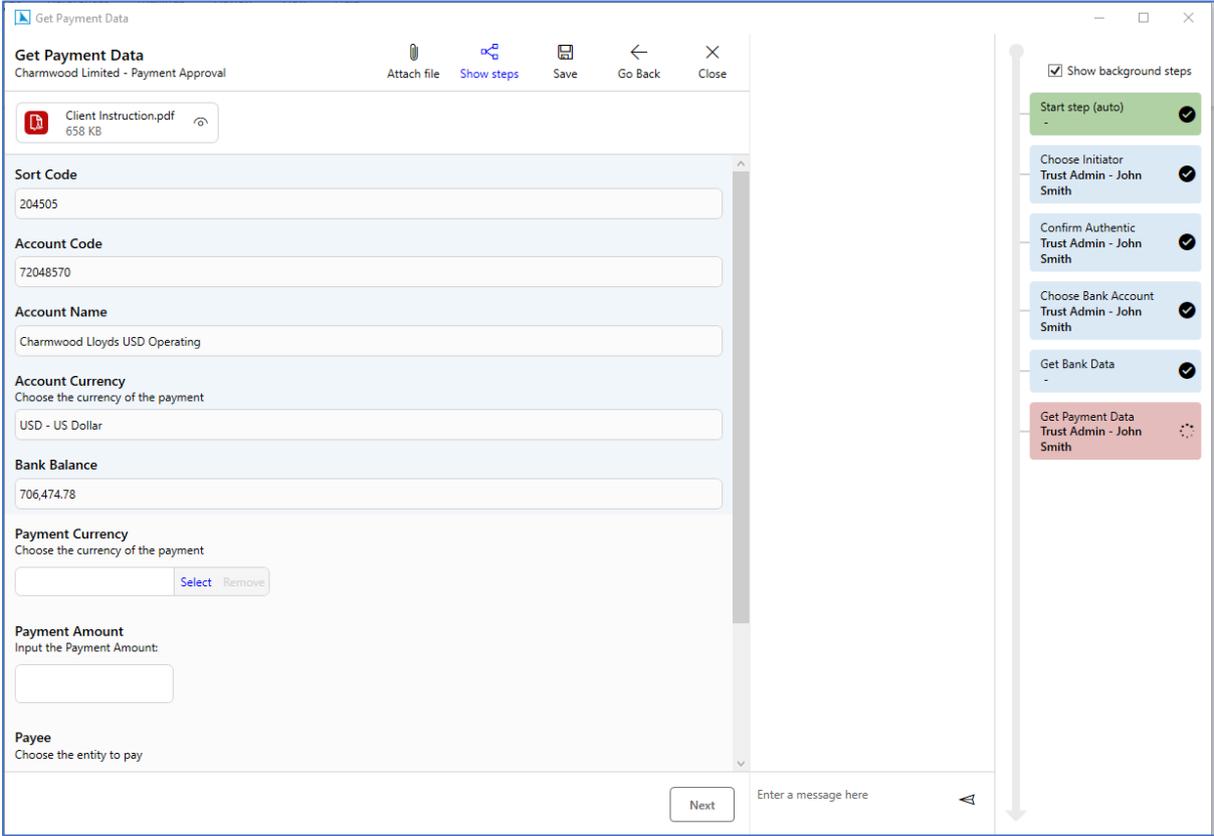


Clicking either of these notifications will open the workflow step. Please note that the notification on the bottom right may disappear after a time but the workflow widget will remain visible until the step has been opened or completed by you or another person.



## Composition of a Workflow User Step

A workflow step which has been assigned to a user for completion looks as follows.



Let's take a closer look at the components of this screen.

### Header section



This contains the name of the step (Get Payment Data), the subject entity (Charmwood Limited) and the name of the workflow (Payment Approval).

There are also 5 buttons providing options to the user as follows.

Attach file – press this button to attach any additional documentation.

Show steps – toggle to show or hide the steps panel on the right.

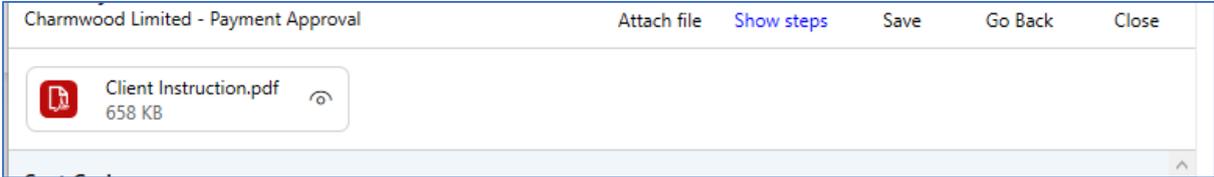
Save – saves the step without completion. Any data already provided to the step is saved and will be preserved when the step is next opened.

Go Back – if a mistake has been made, you can press this button to redirect the workflow to a previous step.



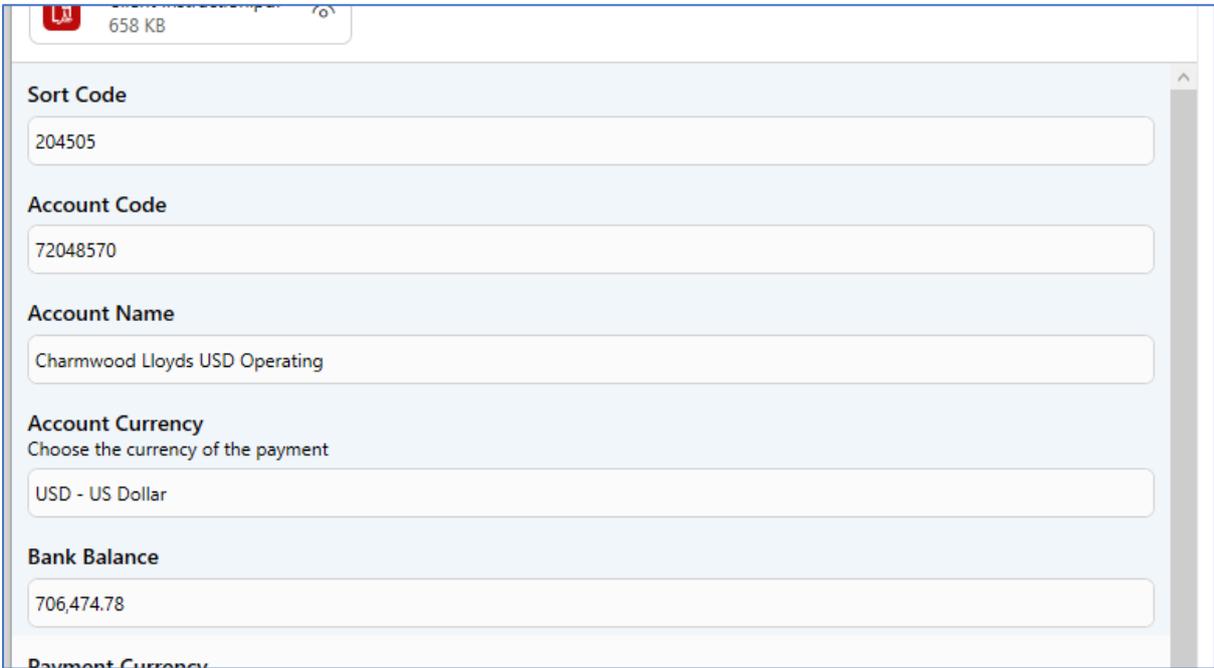
Close – Closes the step – any data input will be lost. Use Save if you wish to preserve data.

### Document section



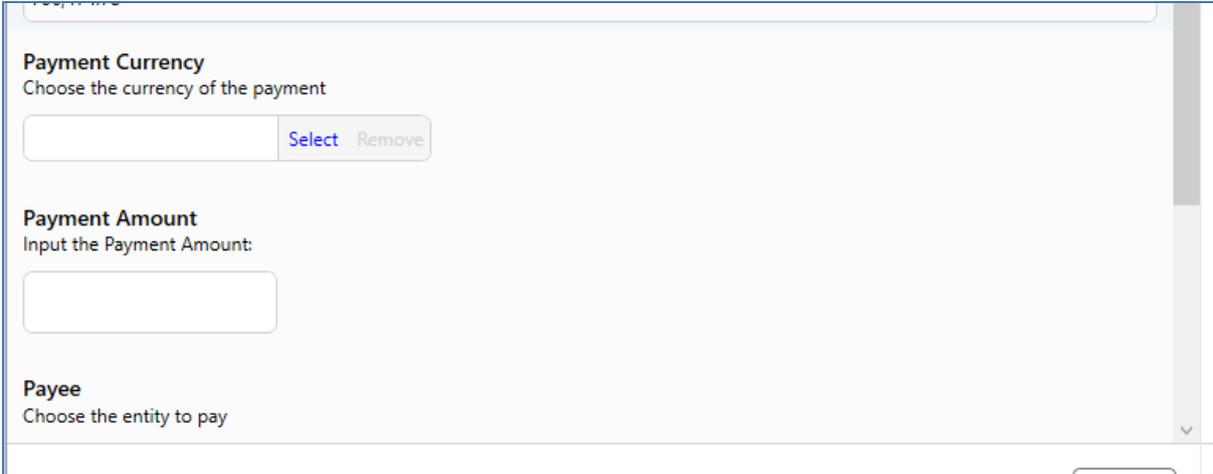
Any documentation that has been collected through the course of the workflow will be displayed here along with any files attached using the 'Attach file' button. Clicking on any document will open it for inspection.

### Display Data section



Any data which has been previously collected in the workflow and may be relevant to the step, is displayed in this section. It is displayed on a pale blue background and is for information only and therefore not editable. This section exists only if there is information to display.

### Input Data section



The screenshot shows a form titled "Input Data section" with three main fields:

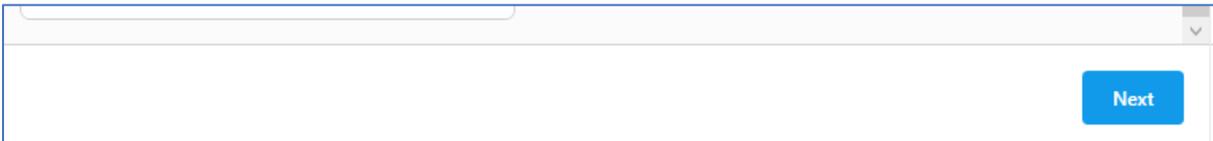
- Payment Currency**: "Choose the currency of the payment". It features a text input field, a "Select" button, and a "Remove" button.
- Payment Amount**: "Input the Payment Amount:". It features a text input field.
- Payee**: "Choose the entity to pay". It features a dropdown menu.

A scrollbar on the right side of the form indicates that there are more fields further down the screen.

This section is where you will input any data required by the step for the workflow. It is likely that the step exists purely to collect this data and the action buttons at the foot of the screen will not become activated until all mandatory data has been provided by you. If a data field has been designated as optional, the buttons will be activated whether they have been completed or not.

Note the scrollbar immediately to the right indicating that there are more fields further down the screen. Also note the background colour of this section is slightly different from the Display Data section which should help you to distinguish which sections require data to be provided.

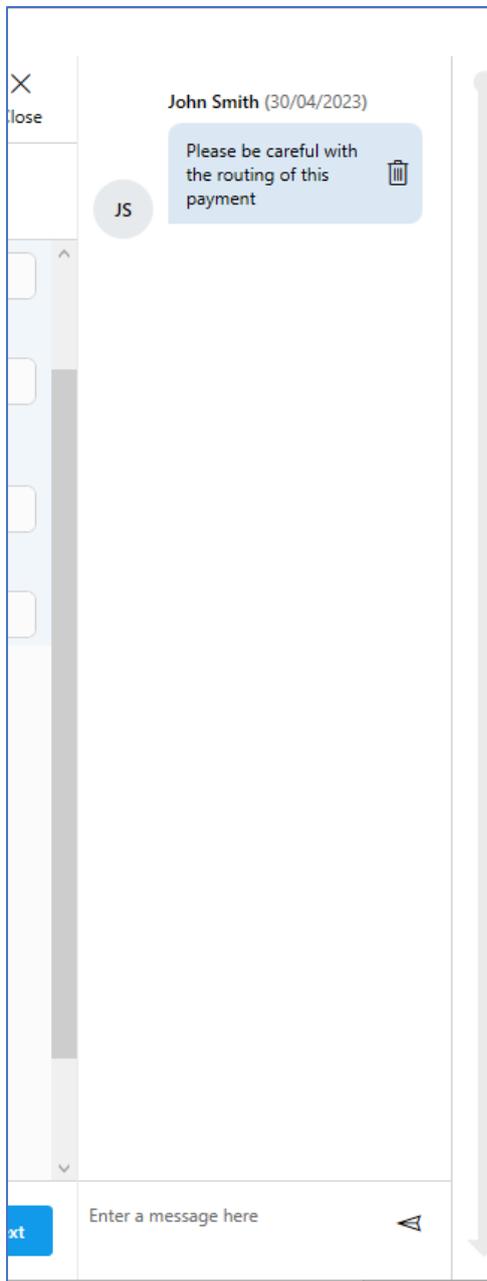
### Action Button section



The screenshot shows a form titled "Action Button section" with a single blue button labeled "Next" located at the bottom right corner.

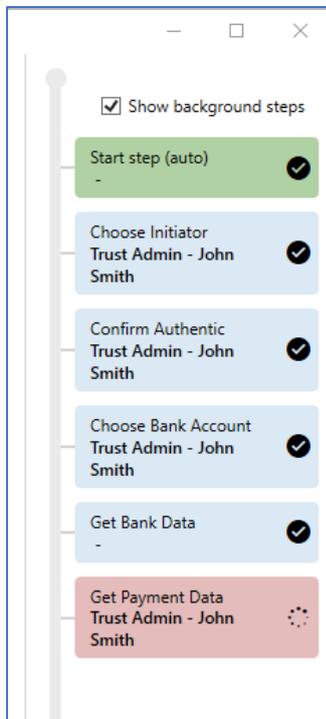
This section will always display at least one button but if there are more than one, it means that you will have to choose the appropriate one to click. Usually the decision you make will dictate the next step of the workflow. If the step contains blank data fields in the Input Data section, the buttons will not be active until you have supplied all mandatory information in these fields.

### Message section



At any time you may enter a message in the space provided and all messages will be sequentially listed in the area above the input box on all subsequent user steps of the workflow.

### Show Steps section

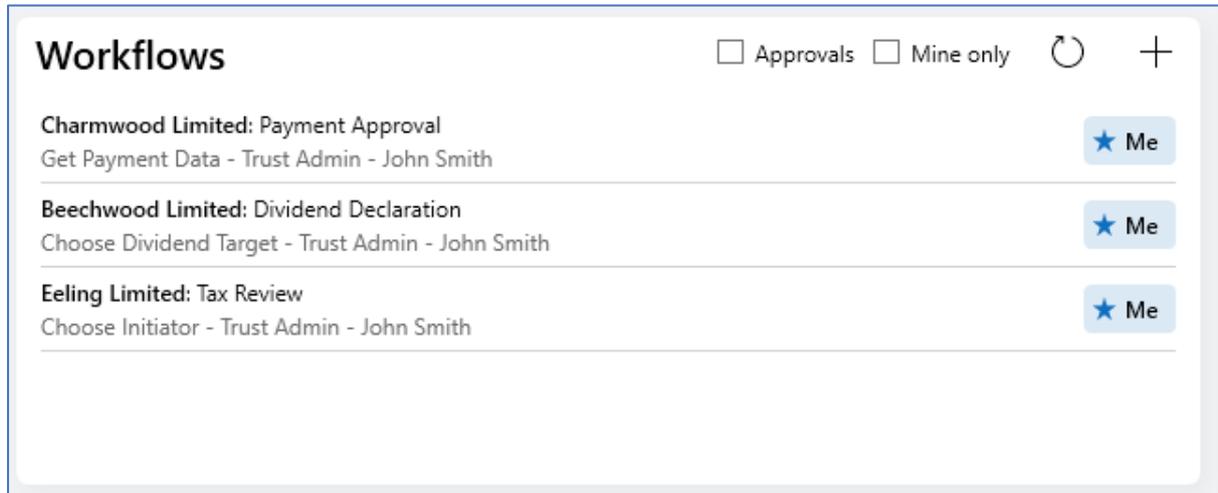


This section keeps a sequential history of the steps that have been performed in the workflow and the final step displayed is the currently open one. The tick box 'Show background steps' can be toggled to display the steps performed by the system otherwise only user steps will be displayed.

Clicking any of the step icons opens up the step in a popup window with greater details.

## The Dashboard Workflow Widget

On your dashboard one of the widgets available is the Workflow widget which looks as follows.



This screen will list any open workflow steps assigned to you or to a group of which you are a member. Items specifically assigned to you will display your name and this means you are responsible to complete these steps.

If a step is listed but does not mention you by name, it means that you are a member of the group it is assigned to and that you should consider whether you should perform the step or leave it to somebody else in the group. Unless there is a specific reason that another member of the group should perform it, you should take the initiative and do it yourself.

You can filter the items listed so that only steps specifically assigned to you are shown.

You can also filter the items to show only 'Approval' type workflows. These are mini workflows specifically designed to implement the 'four eyes principle' and force approval of input or changed data (e.g. Relationships) as defined in your system configuration.

You may also use the circular arrow button to refresh the list but it refreshes automatically every few seconds anyway.

You may also launch new workflows using the '+' symbol as explained in *Launching a Workflow* above.

It is strongly recommended that you do not allow the list of steps to grow to unmanageable proportions. Nearly all steps are very quick to perform and take only a few seconds.

## System Step Handlers

As you now know, workflows are series of steps which are linked to each other and where decisions are made which dictate which step will be performed next. You will only be assigned a 'user step' but there are other types of steps which are performed entirely in the background by the system itself. There are many types of system steps and each of them perform a specific task and add either data or documents to the workflow or examines data to make decisions on process flow.

There are currently over 20 different system steps and this number will grow to meet new and demanding requirements for workflow. Some of the existing ones are listed below.

- Document handlers which create word documents from templates, convert them to pdf documents and delete documents as necessary.
- Perform arithmetic functions on input data to provide the results back into the workflow.
- Manage date calculations.
- Make decisions based on comparing provided data.
- Launch other workflows.
- Edit whole or sections of an inventory.
- Send notifications.
- Retrieve key data for entities, bank accounts etc.
- Calculate risk scores and ratings.

## Viewing and Managing Workflows

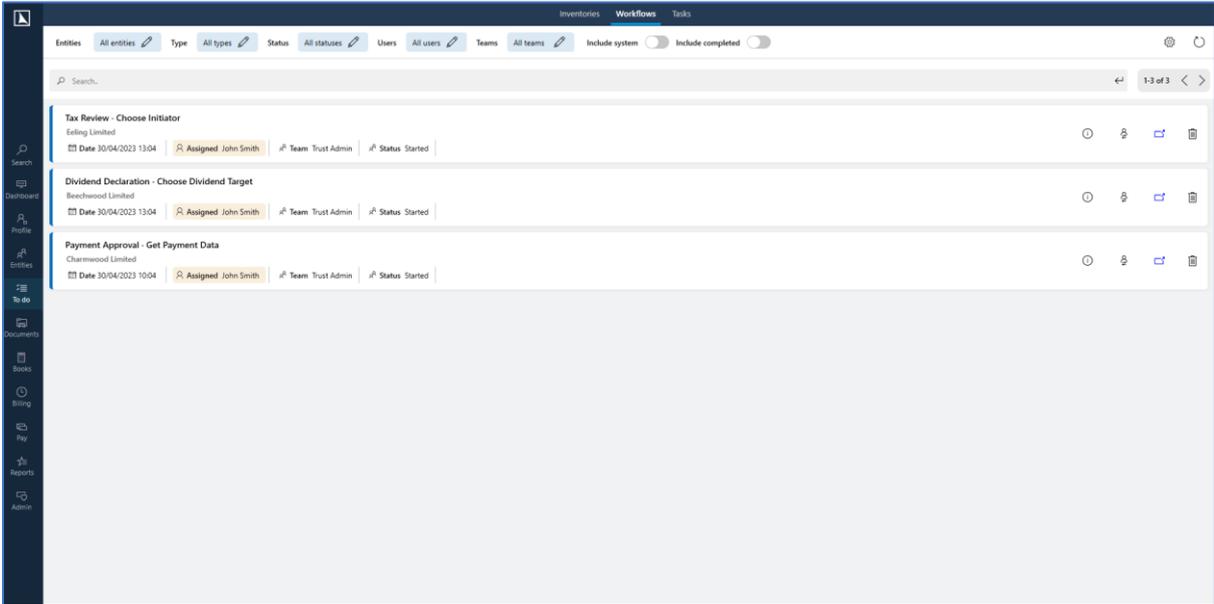
We recommend the use of workflow to manage important and complex business processes but with greater use there comes a greater need for good oversight and management of the workflow activities and good training and understanding by the users of the workflows.

It is therefore good practice to allocate supervisory workflow duties to a senior member of staff (or to senior staff in each department) to ensure that workflow steps are given the attention they need.

In order to assist these and any other personnel to get a clear picture of what is and isn't being done, there are two ways to view workflows and their components.

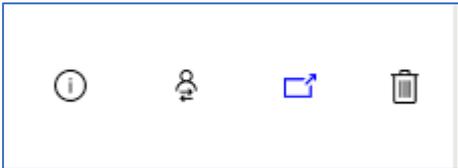
### Global Screen

The most powerful and functional of the methods is using the global screen by choosing Todo -> Workflows to get the following screen.



By default you will be presented with a list of all current user steps which are awaiting completion. However you have a very powerful set of filtering options which will allow you to display items for specific entities, workflows, personnel, teams and statuses. Furthermore you can opt to include background (or system) steps and steps which have been completed.

To the right of each open step are the following icons.



### Information

Press this icon to display a system screen detailing the information collected for each step of the workflow. The use of this icon is recommended only for technical experts for troubleshooting purposes and will not be helpful to personnel generally.

### Reassign the step

Clicking this icon gives the opportunity to change the assignee of the step and should be used only by qualified and supervisory personnel.

### Open the step

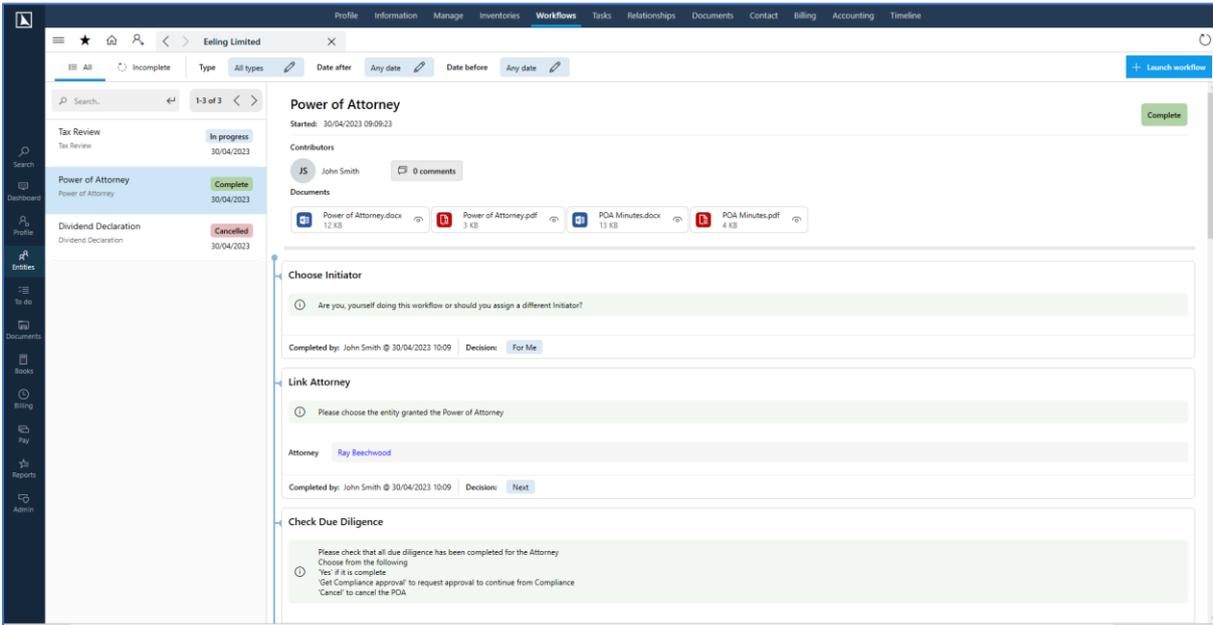
Clicking this icon will open the step for completion in the same way as clicking from the dashboard or the notification.

### Request cancellation

If a workflow has been incorrectly started or during its progress, it becomes redundant it cannot be cancelled directly but any user may request cancellation by clicking this icon. When activated, you will be asked to enter a reason for cancellation and the workflow branches into a system step which forwards the request to a member of the 'Workflow Owners' user group. The workflow owner will open the request and then grant approval or rejection. Approval cancels the workflow immediately whereas rejection returns the workflow to the step at which cancellation was requested.

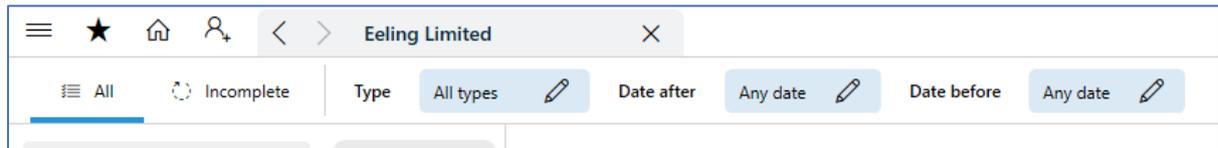
The second way to get a workflow overview is using the entity screen which is reached by choosing Entities -> Workflows.

### Entity Screen



Note this is the same screen as used for launching new workflows. All workflows launched for the subject entity are listed on the left and clicking any one of these produces a clear overview and timeline of the workflow steps for that particular workflow.

Like the previous screen, it has filtering capabilities but because the workflows are all for a specific entity, the filters are simplified.



You have the choice of viewing all workflows (All) or just ones that are still in progress (Incomplete) and you can filter by a specific workflow type (e.g. Dividend Declaration) and a specific date range within which the workflow was launched.

The listed workflow is particularly useful because it contains every user step of the workflow in sequence and each step displays all of the data that was input as well as the button that was chosen by the user.

It also shows any messages or comments made and all documents which are associated with the workflow.

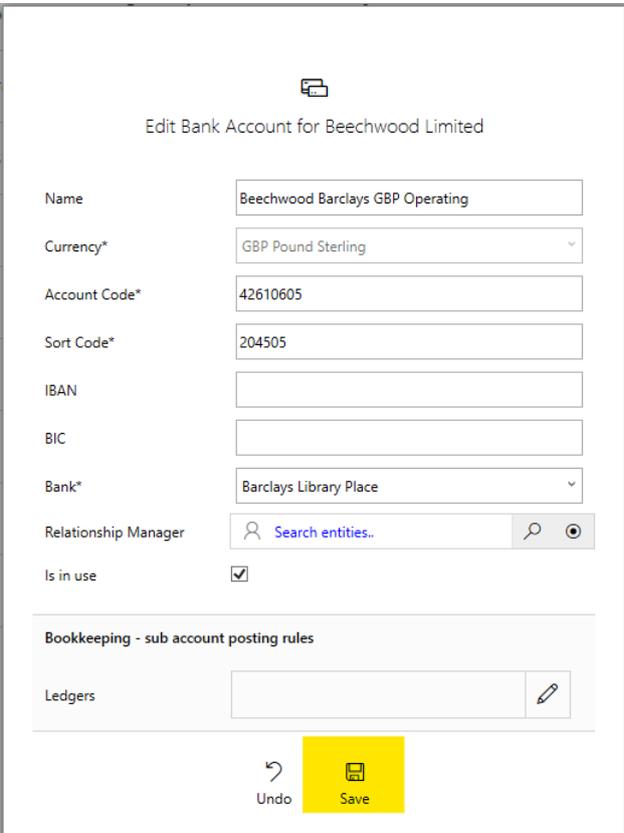
## Four-Eyes Approval Workflows

Two-Eyes  or Four-Eyes  Data Entry

PlainSail can be configured for users to enter data directly into it without any approvals or for new data to require an approved person to authorise it prior to it being committed and available to other users. In other words it may be configured as a two-eyes or a four-eyes input system. Furthermore the PlainSail administrator may configure which input modules require the four eyes approach and which only two.

See section called 'Configuring Approvals' for instructions in how to set up and maintain these.

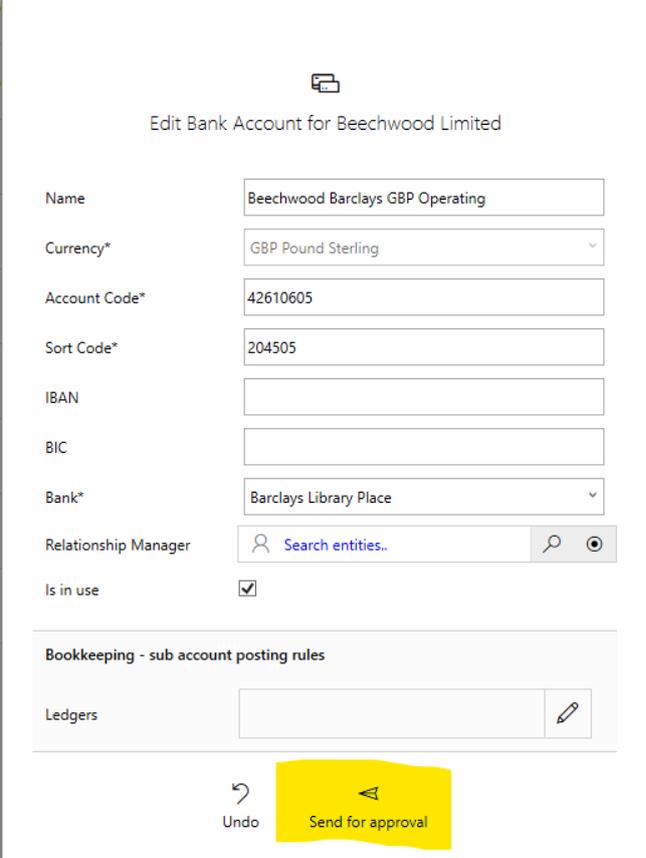
### Screens Configured for Single User Input



This is an example of an input screen which has been configured as a single user input. Please note that to commit the data the user would simply press the Save button (highlighted).

When entering data on a two-eyes basis, you simply launch the screen using the 'New' or 'Edit' buttons and save the data using the Save button when you have completed the screen.

Screens Configured for User Input Requiring Approval



Edit Bank Account for Beechwood Limited

Name: Beechwood Barclays GBP Operating

Currency\*: GBP Pound Sterling

Account Code\*: 42610605

Sort Code\*: 204505

IBAN:

BIC:

Bank\*: Barclays Library Place

Relationship Manager: Search entities..

Is in use:

Bookkeeping - sub account posting rules

Ledgers: [ ]

Undo [ Send for approval ]

This is an example of the same screen where the system administrator has configured that this data requires approval from a separate person before it is committed. Please note that the Save button has been replaced with a button marked 'Send for approval'.

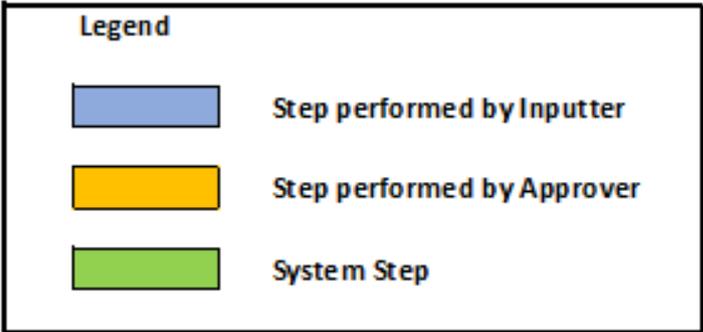
When you enter data on a four-eyes basis, the initial process is exactly the same as for the two-eyes basis except that the Save button has been replaced by one saying, 'Send for approval'.

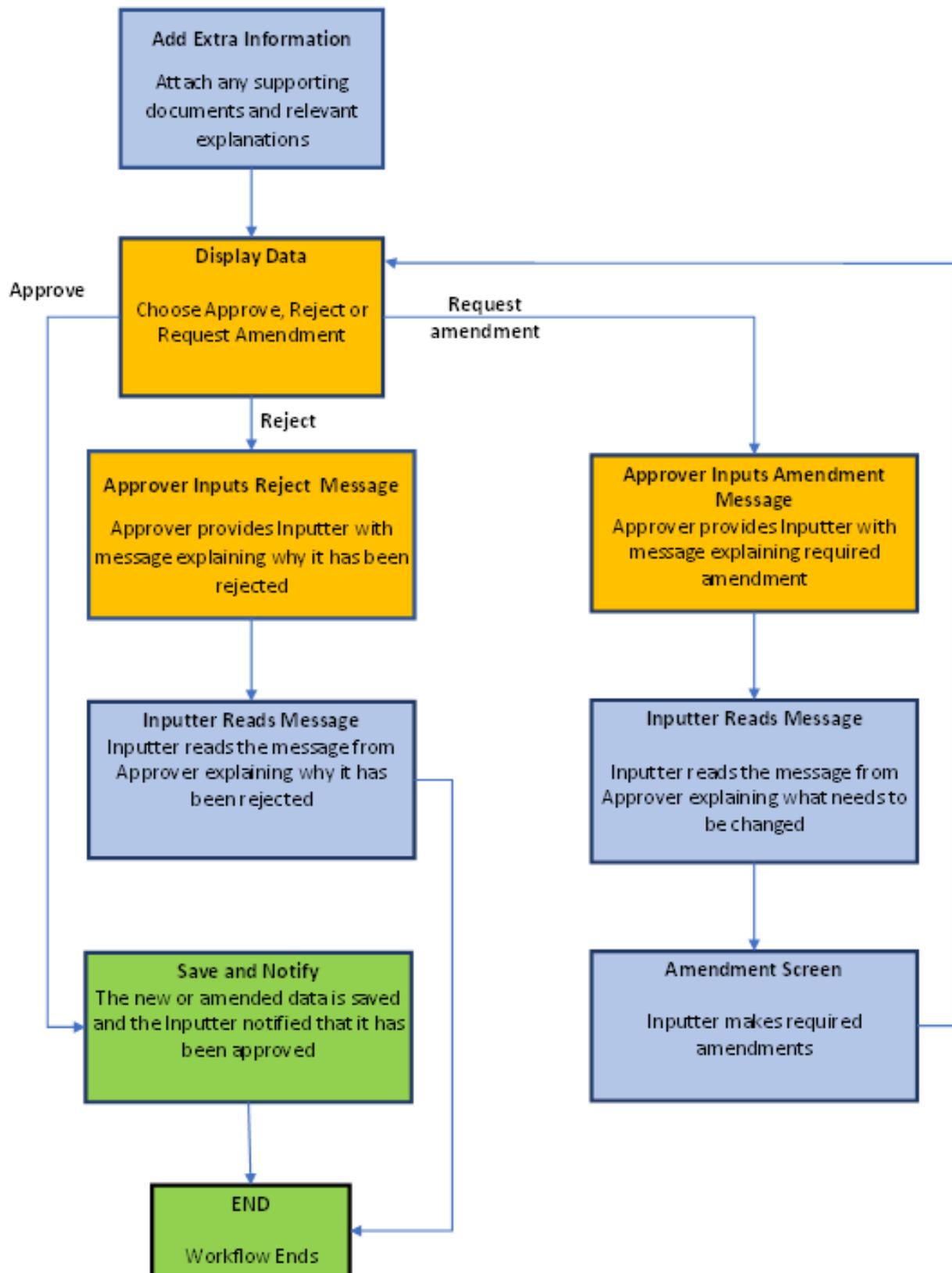
When you press this, it starts a workflow to transport the data to the Approver and thus you may want to attach further information to provide them with context or background.

Once you have pressed the button you will be given the opportunity to provide this extra information and then will later either be sent a notification that the input has been approved or will receive a workflow task with a message from the Approver requesting that the data be changed in some way.

Approval Workflow Overview

The flowchart below shows the workflow after the 'Send for approval' button has been pressed.





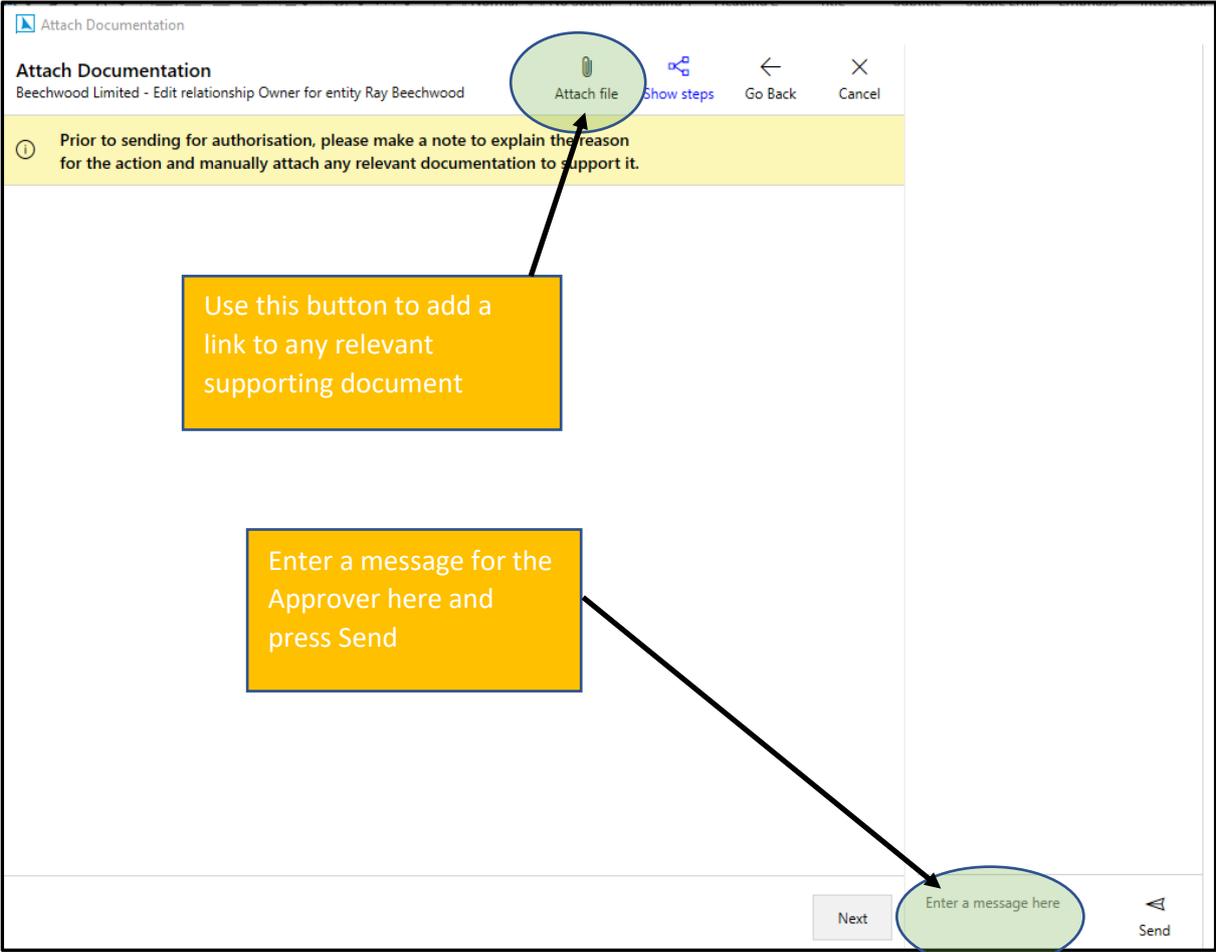
**The Approval Process – Step by Step**

Step 1 – Data Input or Amendment

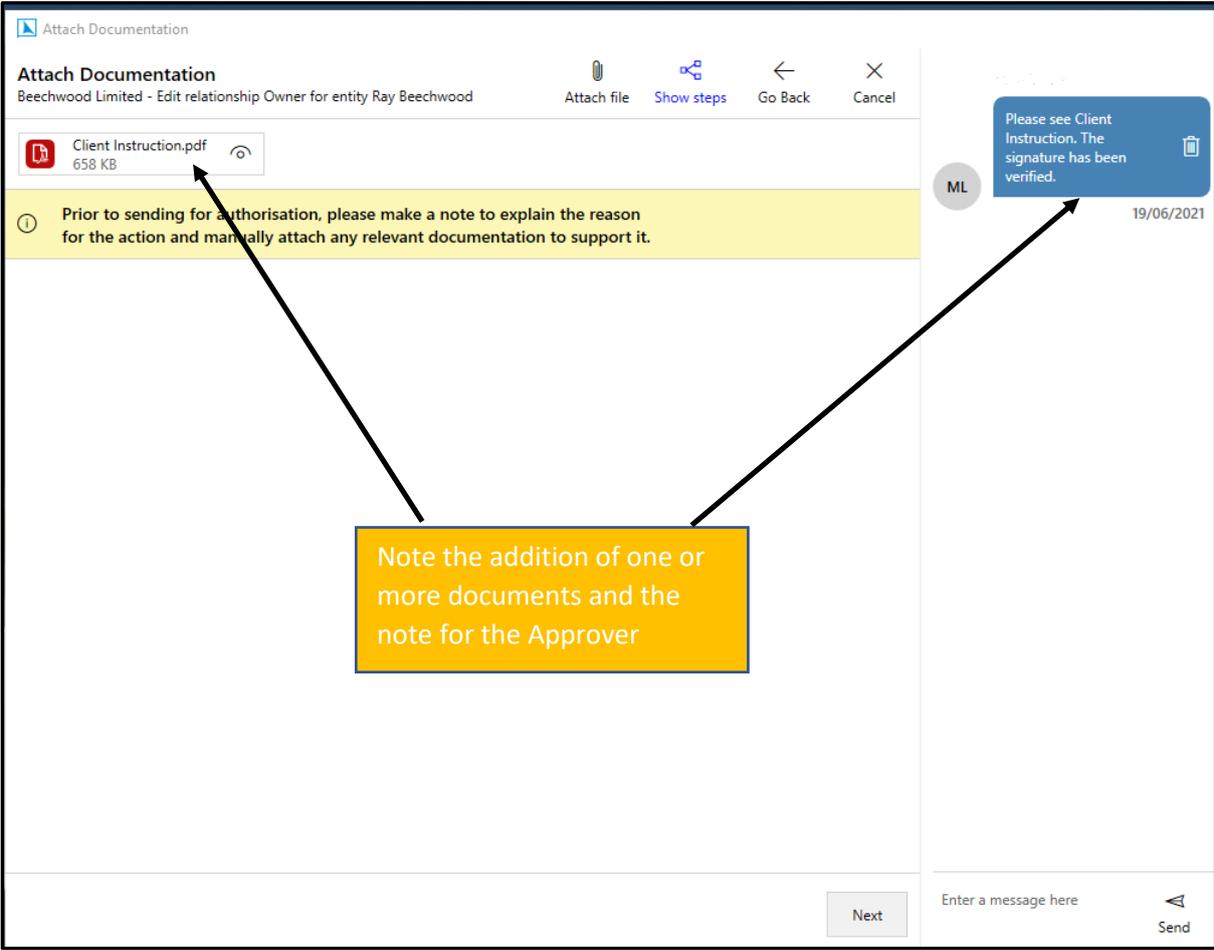
The process commences when you want to create or amend one of the PlainSail items such as a Bank Account, a Relationship, an Address, a Loan or any Inventory. This is launched and completed in the usual way and, as described above, the 'Save' button will have been replaced by a button marked 'Send for approval' if it has been configured as a four-eyes process.

Step 2 – Provide Supporting Data

You will immediately see the following screen.



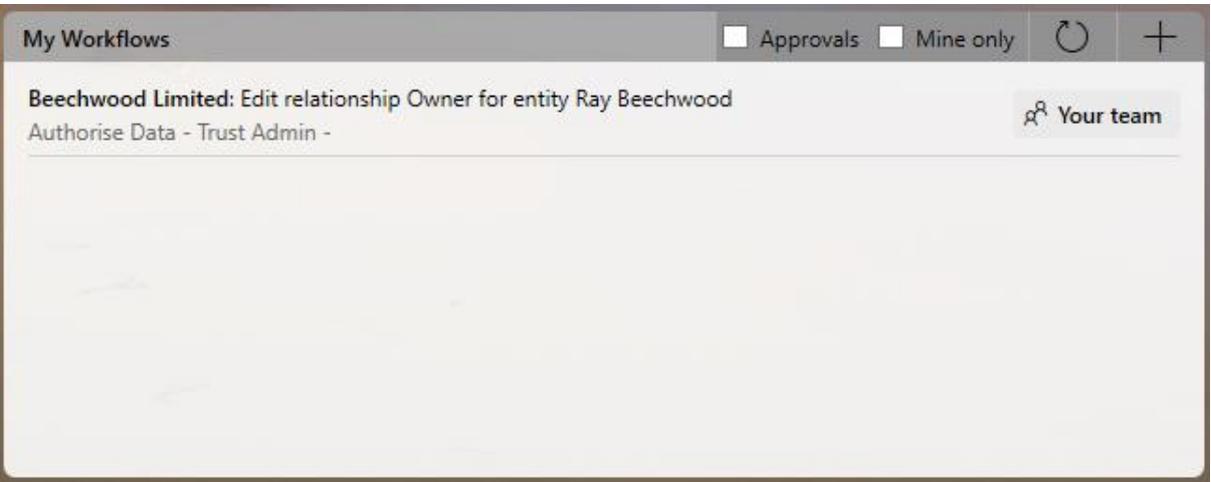
The screen requests that you provide information to the Approver in order they can see the origin for the change and can witness its authenticity. When you have done this the screen may look like this for example.



When you have finished, press the Next button.

Step 3 – Approver Display Screen

As this step of the workflow is assigned to the Approver Group, the workflow listing window on the Dashboard will contain this item for all members of the assigned Group and, if a specific user is assigned it will appear on their screen.

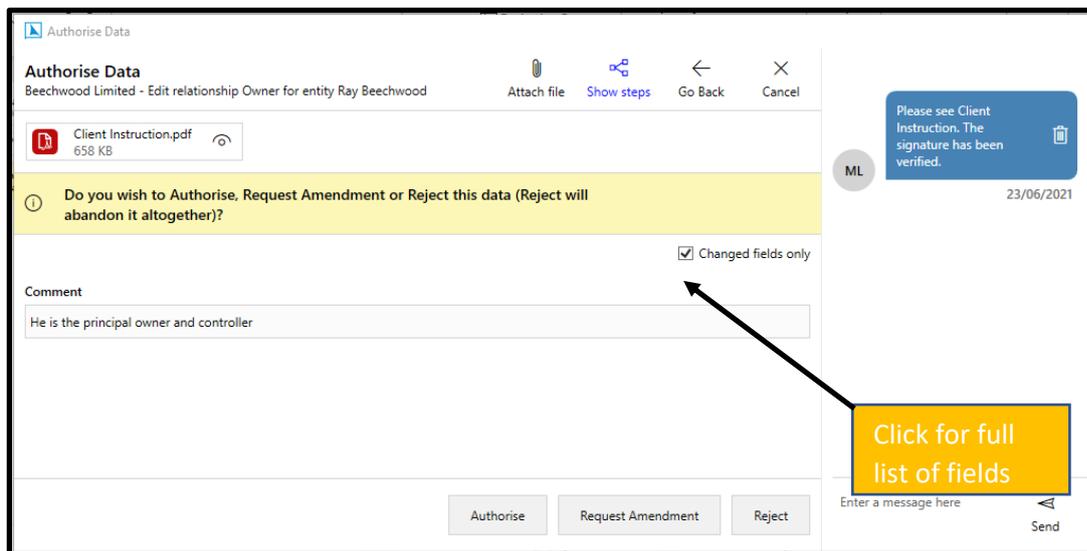


Anybody who has this workflow listed may perform the task and will be presented with the following screen. To filter out non-approval steps from the workflows widget, check the Approvals box.

**Note:** The Authorise step is assigned to a group using the following order:

1. A specific approval group (see section 'Configuring Different Approvers For Different Types').
2. The global approvers group (see section 'Choosing the Global Approvers User Group').
3. The team the initiator reports to as defined in their user setup (Admin > User Permissions > User > Reports To).
4. The Directors group.
5. The Workflow Owners reserved group (you should always ensure that the Workflow Owners group has at least one user in it).

**Note:** As well as configuring which group approves the data, you can also assigned specific users or roles for the different types of data (see section 'Configuring Different Approvers For Different Types').



By default you only see the fields that have been changed but you can untick 'Changed fields only' to see everything.

**Note:** If the inputter puts all the fields back to their original values before the workflow was started, there will be no changed fields and in that case you should reject the workflow.

Authorise Data
Attach file
Show steps
Go Back
Cancel

Beechwood Limited - Edit relationship Owner for entity Ray Beechwood

Client Instruction.pdf  
658 KB

**Do you wish to Authorise, Request Amendment or Reject this data (Reject will abandon it altogether)?**

Changed fields only

**Business entity 1**

Ray Beechwood

**Business entity 2**

Beechwood Limited

**Start date**

22/06/2021

**End date**

-

**Relationship**

Edit relationship Owner for entity Ray Beechwood

**Status**

Active

**Comment**

He is the principal owner and controller

**Percentage**

50.00

**Risk score**

0

Authorise

Request Amendment

Reject

Enter a message here

Send

Please see Client Instruction. The signature has been verified.

ML 23/06/2021

Hovering over a value that has been changed will display a box containing the previous value. The Approver may add as many additional documents or additional messages as they wish but then must press one of the three buttons at the foot of the screen: Authorise, Request Amendment or Reject.

**Step 4A – Authorise**

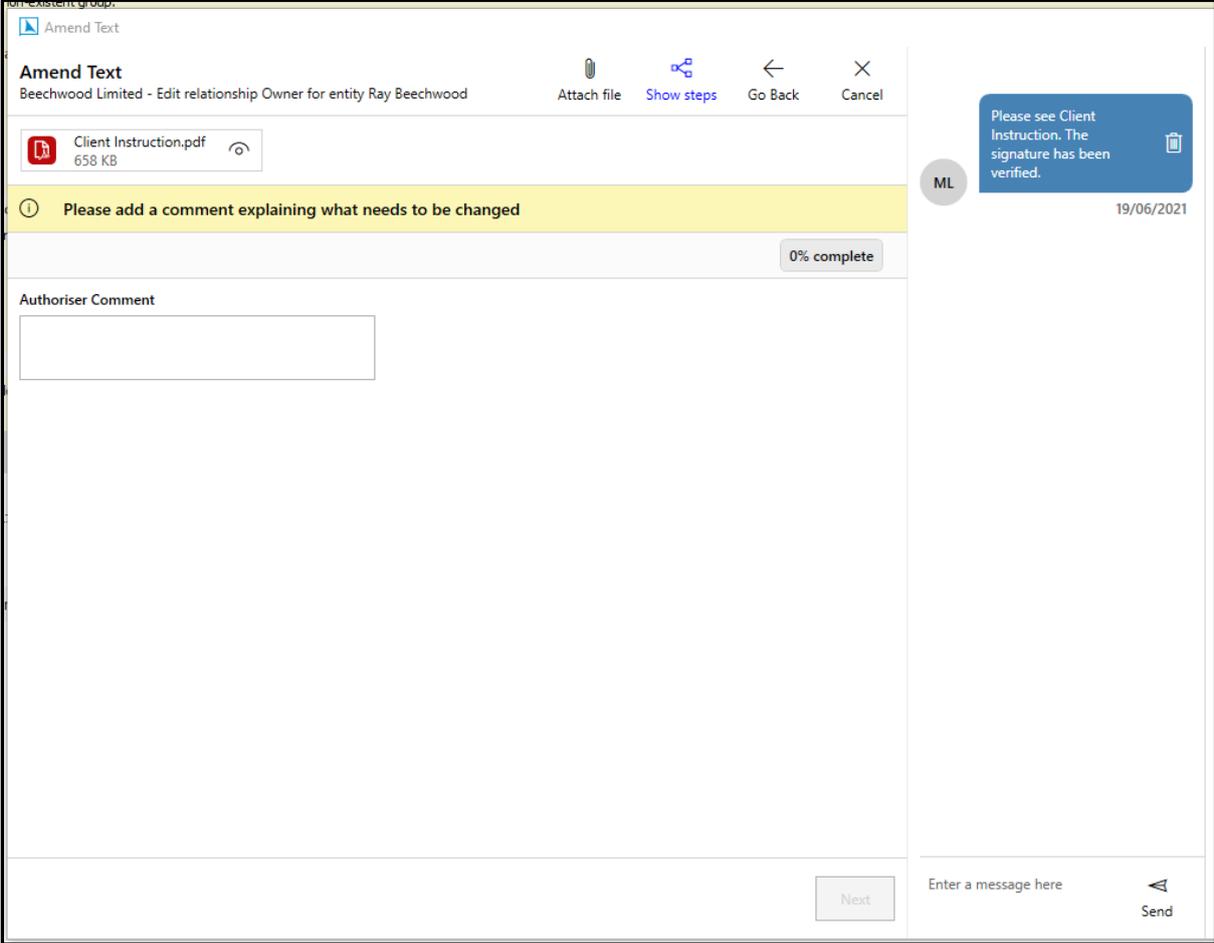
In most cases, if the inputter has performed the task correctly, the transaction will be authorised and the workflow at this point saves the information and sends the following notification message to the inputter. The workflow is then terminated.

Authorised and saved workflow 'Edit bank account 'Beechwood Lloyds USD Operating' at bank Lloyds Bank' for 'Beechwood Limited', launched by Mark Little on 22/06/2021.

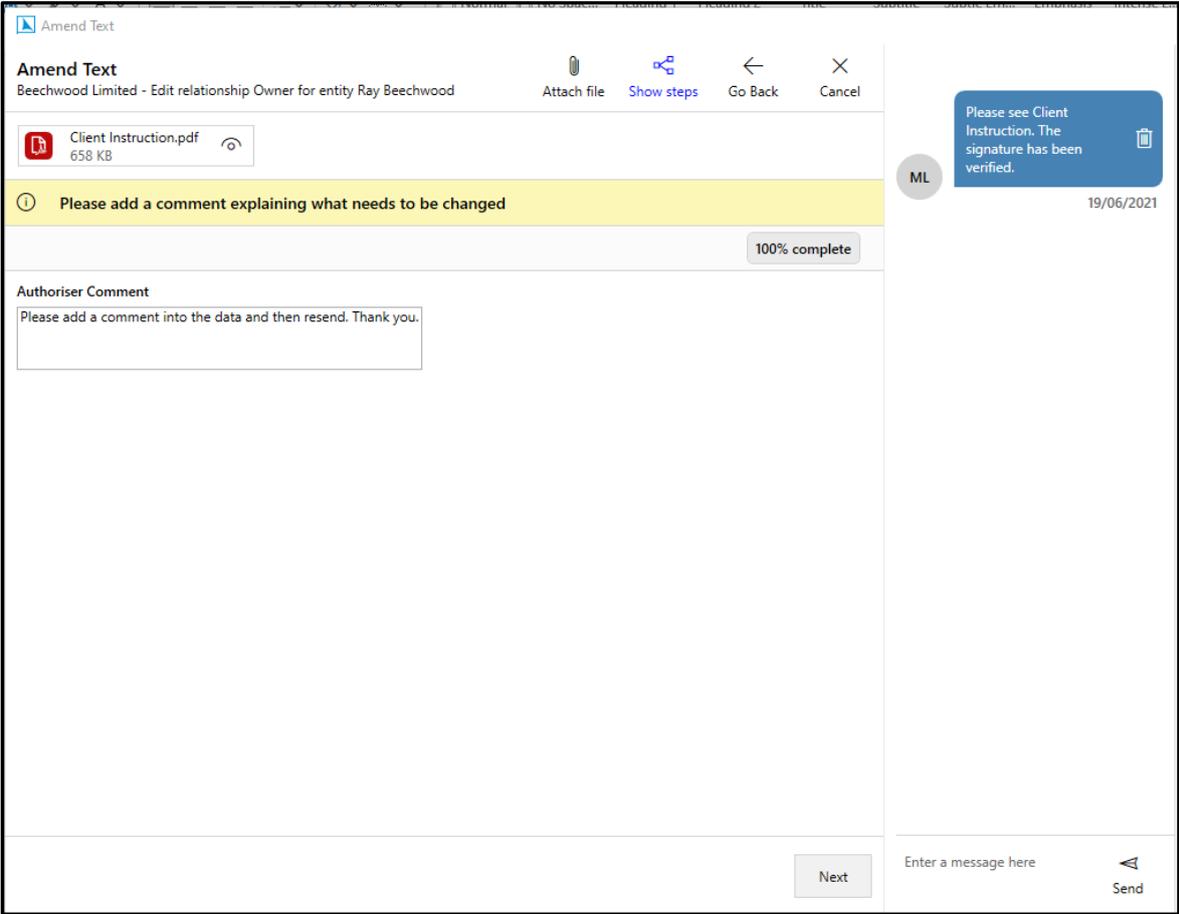
SystemUser 23/06/2021 - 08:27

Step 4B – Request Amendment

The Approver, instead of authorising the transaction, may require an amendment to be made to the data by pressing the ‘Request Amendment’ button. Doing this produces the following screen.



The approver adds their comment (see below). Please note that it is mandatory to write something in the comment box and this makes the Next button available.



Amend Text

Beechwood Limited - Edit relationship Owner for entity Ray Beechwood

Attach file Show steps Go Back Cancel

Client Instruction.pdf  
658 KB

**Please add a comment explaining what needs to be changed**

100% complete

Authoriser Comment

Please add a comment into the data and then resend. Thank you.

Next

Enter a message here Send

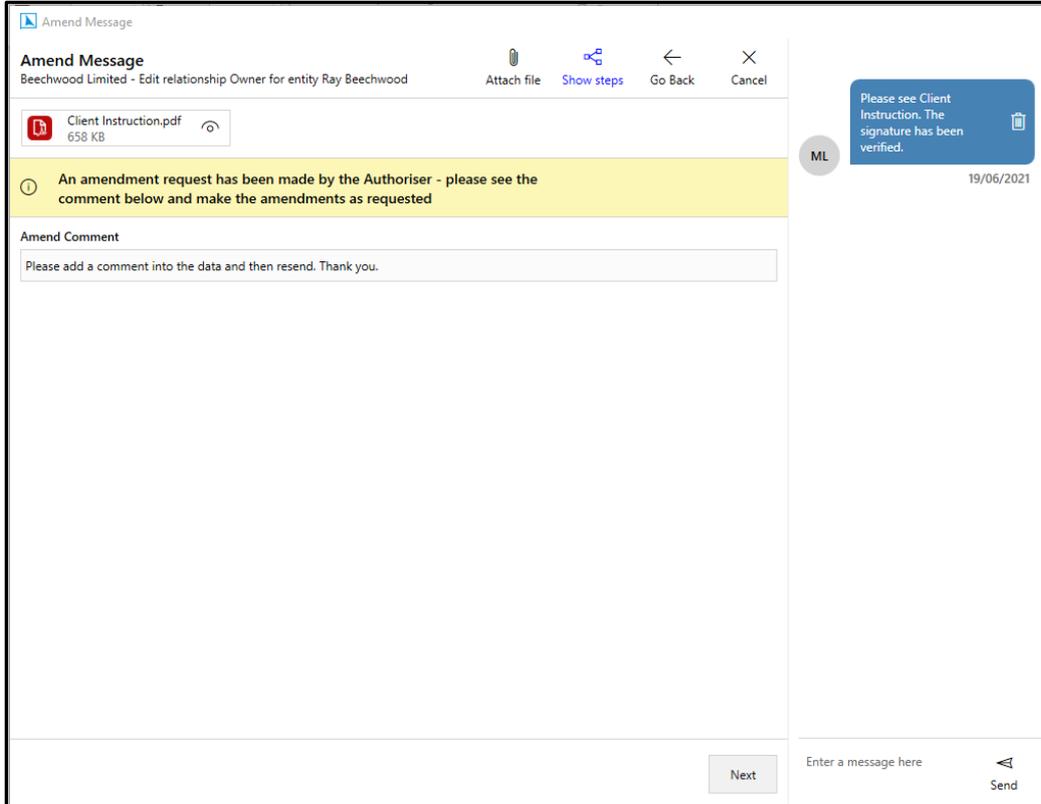
ML 19/06/2021

Please see Client Instruction. The signature has been verified.

Pressing the Next button completes this step.

### Step 5B – Back to the Inputter

The inputter receives their workflow back with the message from the Approver on the following screen. When Next is pressed the following screen appears.



### Step 6B – Amend the Data

The amendment is then made and, after the inputter presses Next the workflow jumps back to Step 3 above which presents the data for authorisation to the Approver.

Edit Data
Attach file
Show steps
Go Back
Cancel

Beechwood Limited - Edit relationship Owner for entity Ray Beechwood

Client Instruction.pdf  
658 KB

**Edit your data and click Next**

Business Entity 1\* Ray Beechwood

Relationship\* Owner

Summary  
Ray Beechwood is *beneficial owner* of Beechwood Limited

Comment

Start Date\* 17/06/2020

End Date Select a date

Risk score\* 0

Percentage\* 50

ML

Please see Client Instruction. The signature has been verified.

19/06/2021

Next

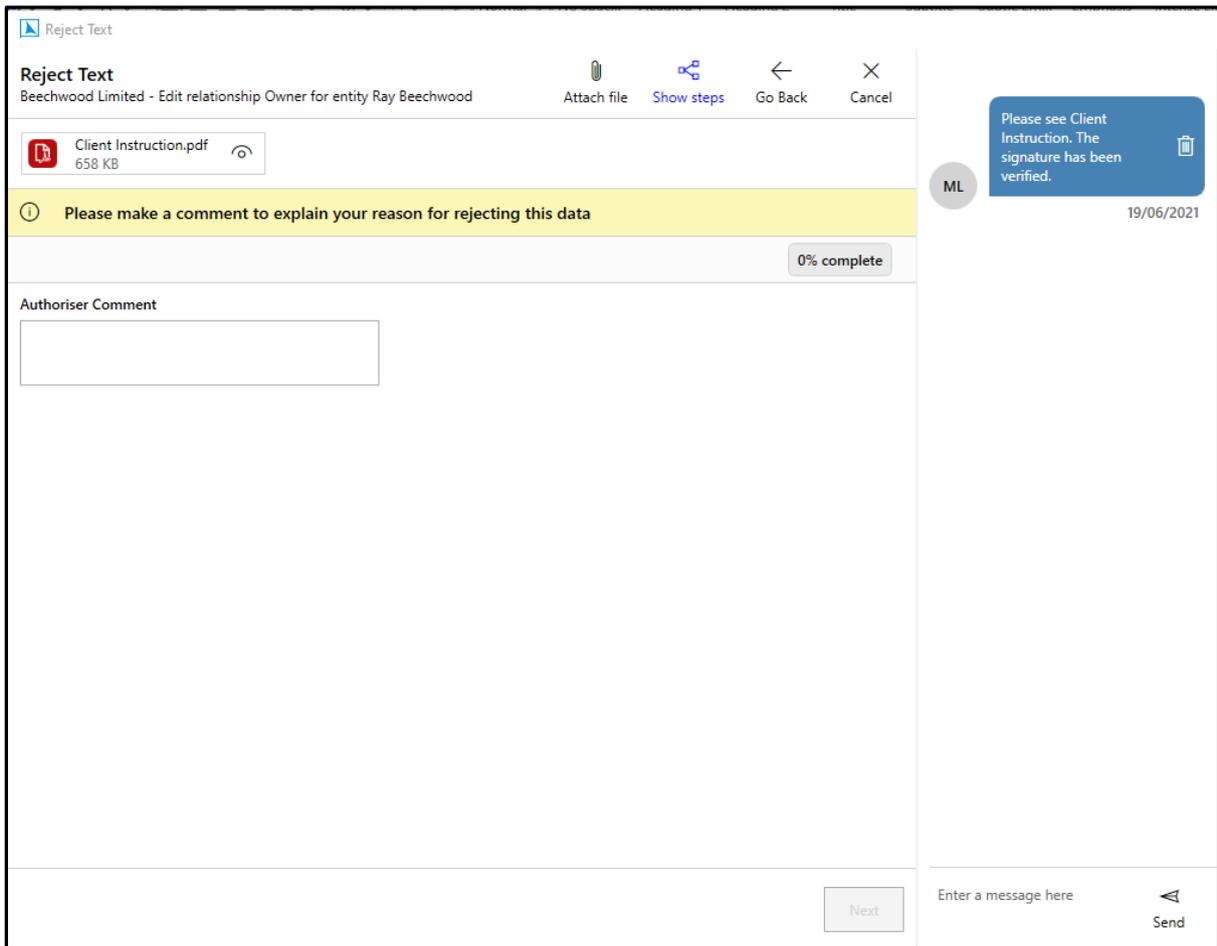
Enter a message here
Send

### Step 4C – Reject

If the Approver presses the Reject button, they wish to cancel the whole workflow and nullify the input that has been made. On pressing Reject, they are requested to confirm that it's really what they want with the message 'This will cancel the whole workflow – are you sure?'. If they confirm that this is what they want, they move onto the next step as follows.

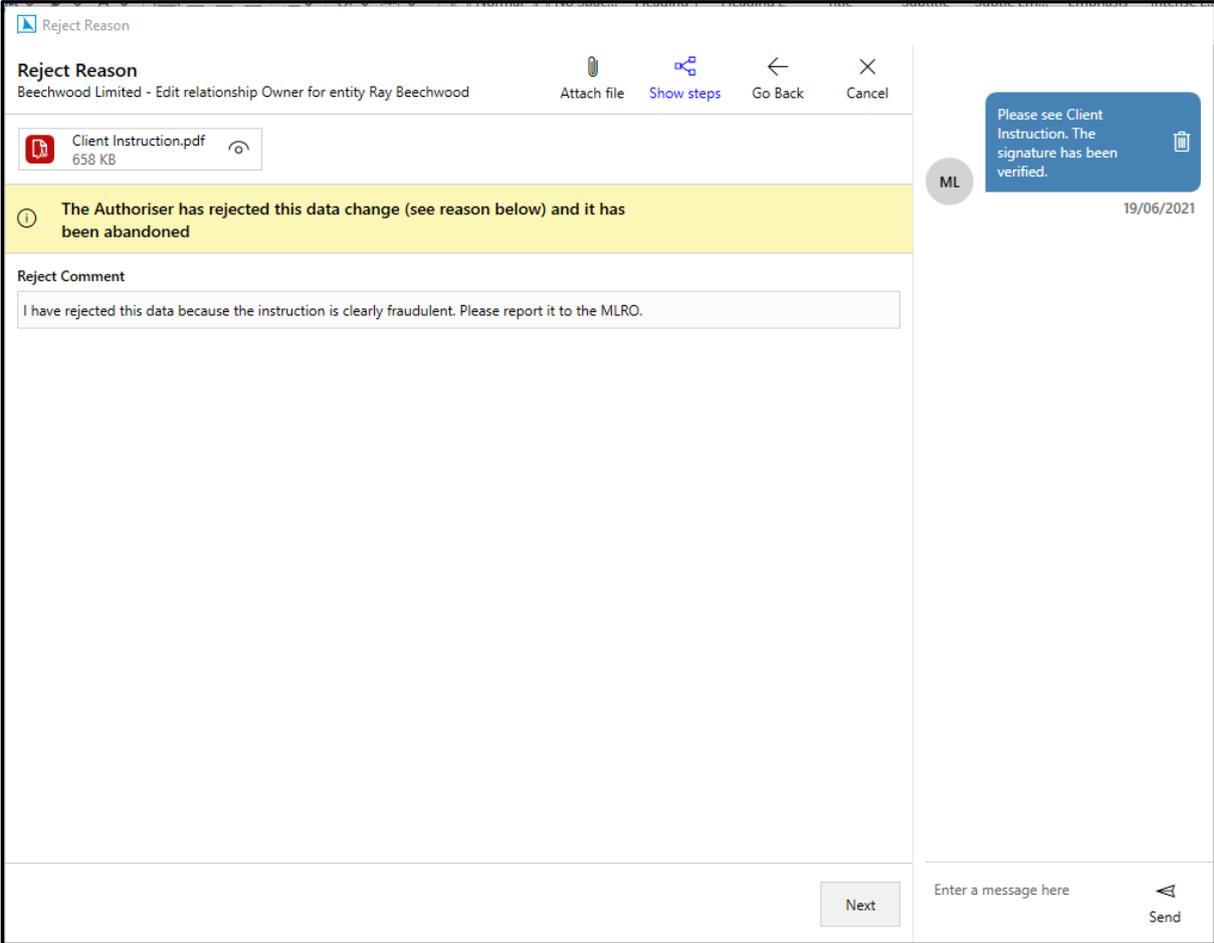
### Step 5C – Input Reject Message

As before they explain the reason for rejection, which will activate the Next button which, when pressed, moves the workflow back to the inputter.



The screenshot shows a software interface for a 'Reject Text' step. At the top, the title is 'Reject Text' with a subtitle 'Beechwood Limited - Edit relationship Owner for entity Ray Beechwood'. Navigation buttons include 'Attach file', 'Show steps', 'Go Back', and 'Cancel'. A file attachment 'Client Instruction.pdf' (658 KB) is visible. A yellow banner contains the instruction: 'Please make a comment to explain your reason for rejecting this data'. Below this is a '0% complete' progress indicator and a text area labeled 'Authoriser Comment'. On the right side, a blue notification bubble from 'ML' states: 'Please see Client Instruction. The signature has been verified.' with a date of '19/06/2021'. At the bottom right, there is a 'Next' button and a text input field with a 'Send' button.

Step 6C – Inputter Reads Reject Message  
 The inputter is presented with the following screen.



The inputter reads the message and notes any actions required. When Next is pressed, the workflow terminates without any data being saved.

**Inventories**

Inventories are, by default subject to a two-eyes approach for input and editing. However, your system’s administrator can also flag any inventory for requiring a four-eyes approach so that when a new one is created or an existing one amended, it will automatically go into exactly the same workflow process for approval as screen data above.

Creating a new ‘four-eyes’ inventory is performed exactly the same way as a ‘two-eyes’ but whereas a ‘two-eyes’ one immediately opens the input screen, a ‘four-eyes’ one opens Step 1 of the workflow process described above.

To edit an existing one, you follow the same process as for a ‘two-eyes’ inventory, but you will find that pressing the Open icon alongside the chosen inventory opens the inventory in View Only mode and will not allow any editing. This is illustrated below.

List of all inventories for Beechwood Limited

After | 20/06/2006 Before | 27/06/2021 Maximum results | 250 Edit

Progress	Details	Assigned
<ul style="list-style-type: none"> <li>✓ Agreement 17 June 2021 15:14 1/1</li> <li>! CDD for Structure 17 June 2021 14:49 0/1</li> <li>✓ Lifecycle Timeline 17 June 2021 14:49 1/1</li> <li>! Tax Profile Company 17 June 2021 14:49 0/1</li> <li>✓ Transaction Profile 17 June 2021 14:49 1/1</li> </ul>	<p>100% Agreement</p>	<p>Standard User</p> <p>Date created 2 days ago Date updated 2 days ago Last changed by System User</p>

Pressing this button

BL Beechwood Limited Agreement

Category	Description	Value	Completed	Completed by
Other	Counterparty*	Ray Beechwood	20/06/2021	System User
Other	Agreement Start Date*	01/01/2010	17/06/2021	System User
Other	Agreement Expiry Date*	31/12/2022	17/06/2021	System User
Other	Agreement Type*	Consultancy	17/06/2021	System User
Other	Agreement Description*	Sam to do work	17/06/2021	System User
Other	Agreement Terms*	Sam to bill for time.	17/06/2021	System User
Other	Agreement Document*	Payment Receipt AC# 20180920	17/06/2021	System User
*** Before creating minutes, please ensure that all the above data is complete ***				
Other	Minutes of Agreement*	Minutes of Agreement	17/06/2021	System User

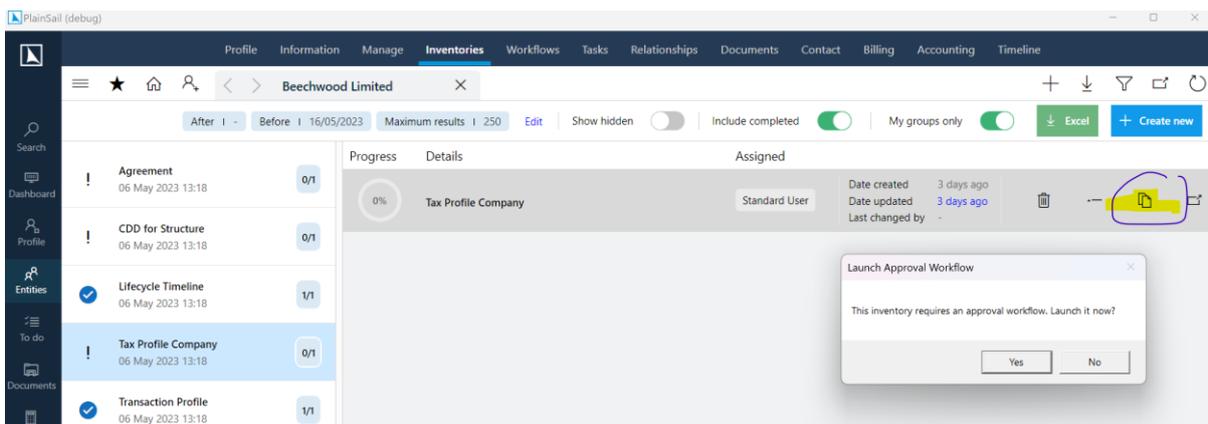
This means that you can easily view your inventories without going into edit mode. In order to take this screen forward for editing you must now press the Edit button (see below) which will



immediately open the screen for Step 1 of the workflow, as described above, and the rest follows that process exactly.

Category	Description	Value	Completed	Completed by	Expires
Other	Counterparty*	Mike Lucas	17/06/2021	System User	
Other	Agreement Start Date*	01/01/2010	17/06/2021	System User	
Other	Agreement Expiry Date*	31/12/2022	17/06/2021	System User	
Other	Agreement Type*	Consultancy	17/06/2021	System User	
Other	Agreement Description*	Sales to do work	17/06/2021	System User	
Other	Agreement Terms*	Sales to bill for time	17/06/2021	System User	
Other	Agreement Document*	Payment Receipt ACP 20102020	17/06/2021	System User	
Other	Minutes of Agreement*	Minutes of Agreement	17/06/2021	System User	

As well as creating new or opening existing inventories, you click the copy icon to create a new one populated with the same data as a previous one:



When you launch the workflow, it records the id of the inventory you want to copy and then copies all its existing values in a new inventory that you edit in the workflow.

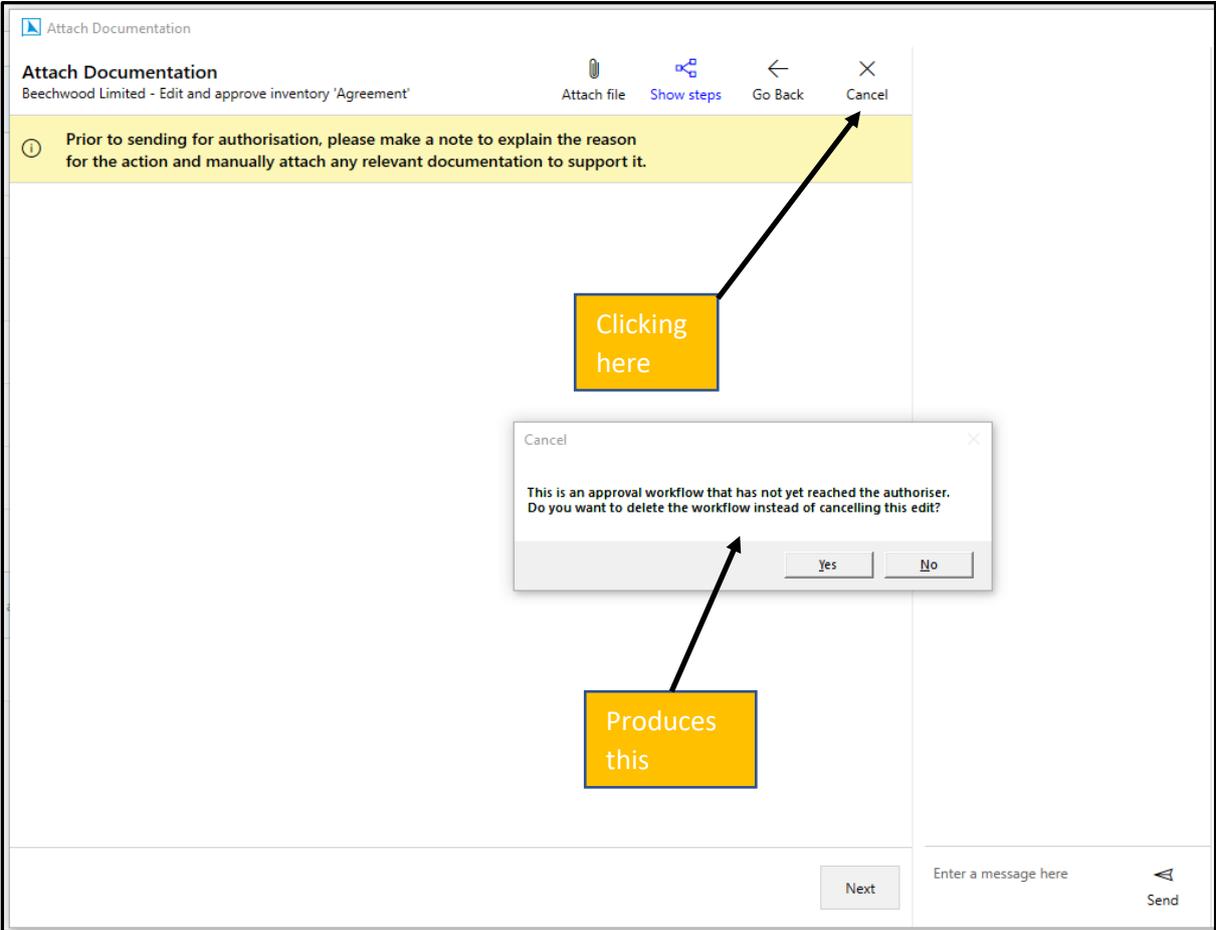
## Cancelling a Workflow

Workflows may be cancelled in two different ways depending on the number of steps that have been performed.

### Cancelling in the Early Stages

Before your changes have been sent to the authoriser, you can simply click the Cancel button on the top right hand of the screen. Usually this means that you want to merely cancel the step you are on for completing at a later stage but from an approval workflow it assumes that you may have launched the workflow in error and gives you the option to completely delete the workflow along with any evidence of its existence.

This presents itself as follows.

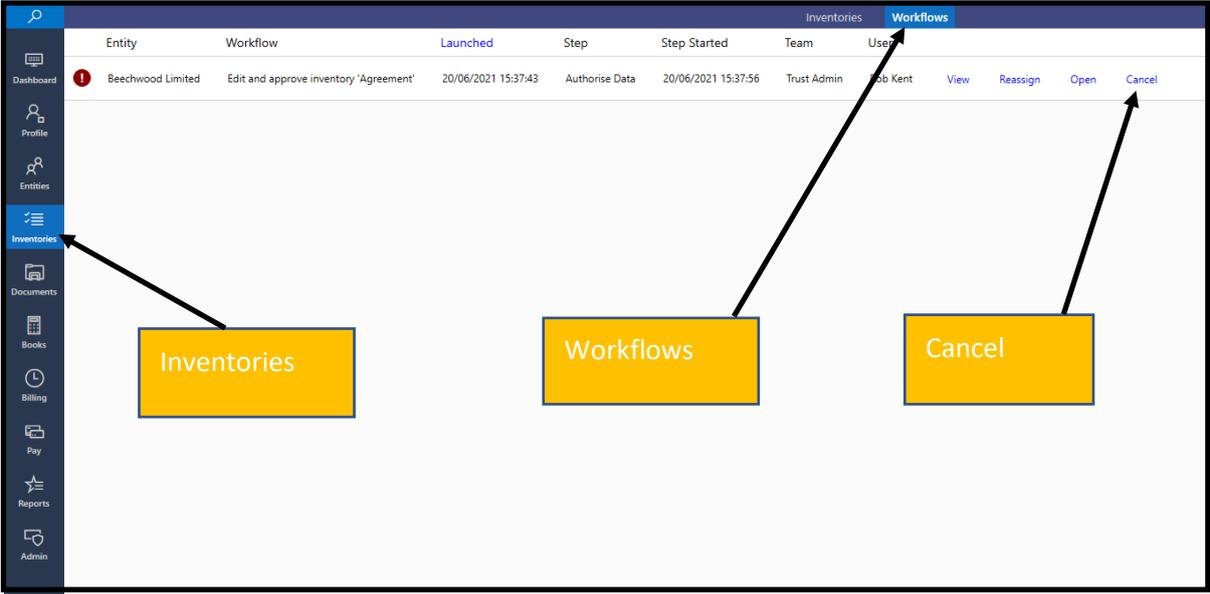


If you choose Yes, the whole workflow is abandoned as if it never existed.

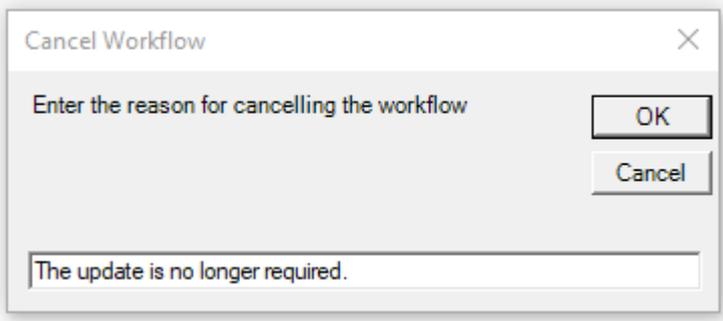
### Cancelling in the Later Stages

Once you have input some data and sent it to an authoriser, you cannot simply delete the workflow with the Cancel button. It can only be cancelled either by the authoriser rejecting it or by cancelling it from the global Workflows screen. This is done by pressing the Inventories tab on the left-hand

panel and the Workflow tab on its top panel and choosing Cancel alongside the workflow you wish cancelled. See below.



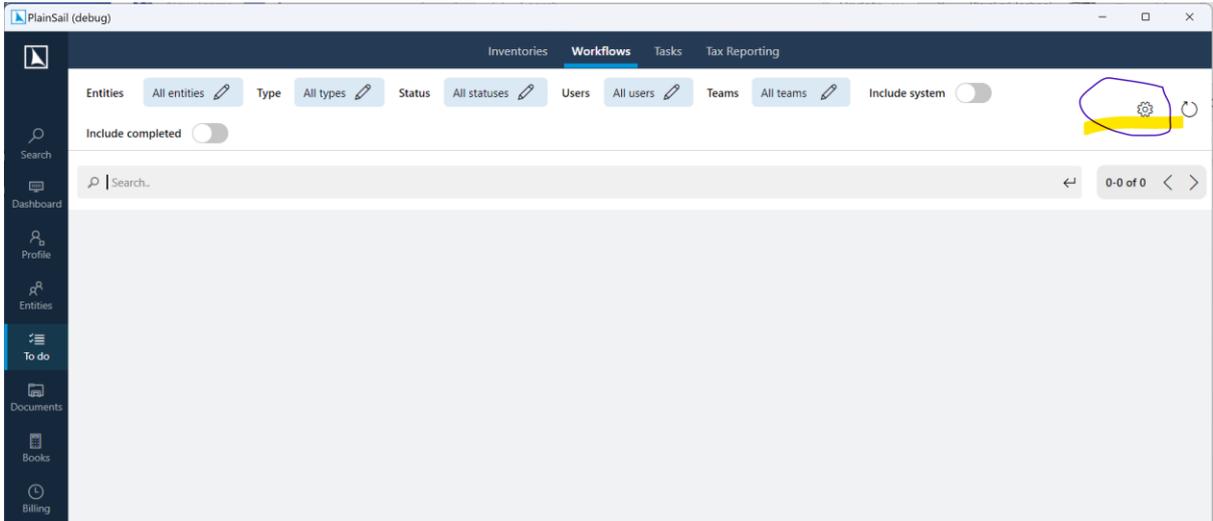
Pressing the Cancel button produces a dialogue box requesting a reason for cancelling the workflow as illustrated below.



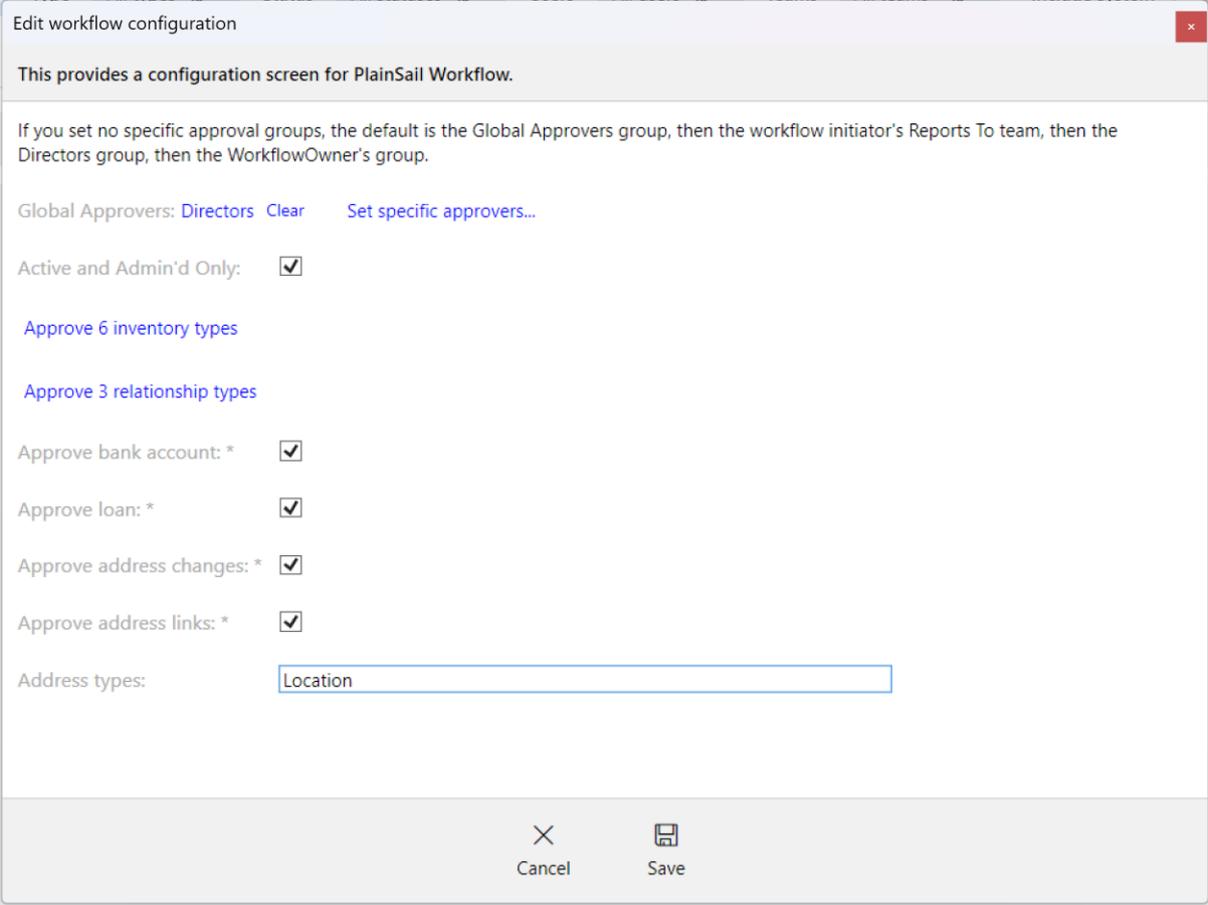
When OK is pressed, a new step is produced which is routed to the Workflow Owners group members who will decide whether the cancellation is justified and will either approve or reject it. If approved, the workflow is terminated unfinished but remains available in the Completed Workflows archive.

### Configuring Approvals

The following may only be performed by selected persons in your organisation who have been granted system administrator permissions. To configure approvals, choose the To Do option from the left-hand panel and the Workflows option from its top panel, followed by the Settings icon on the upper right window.



This will produce the following window.



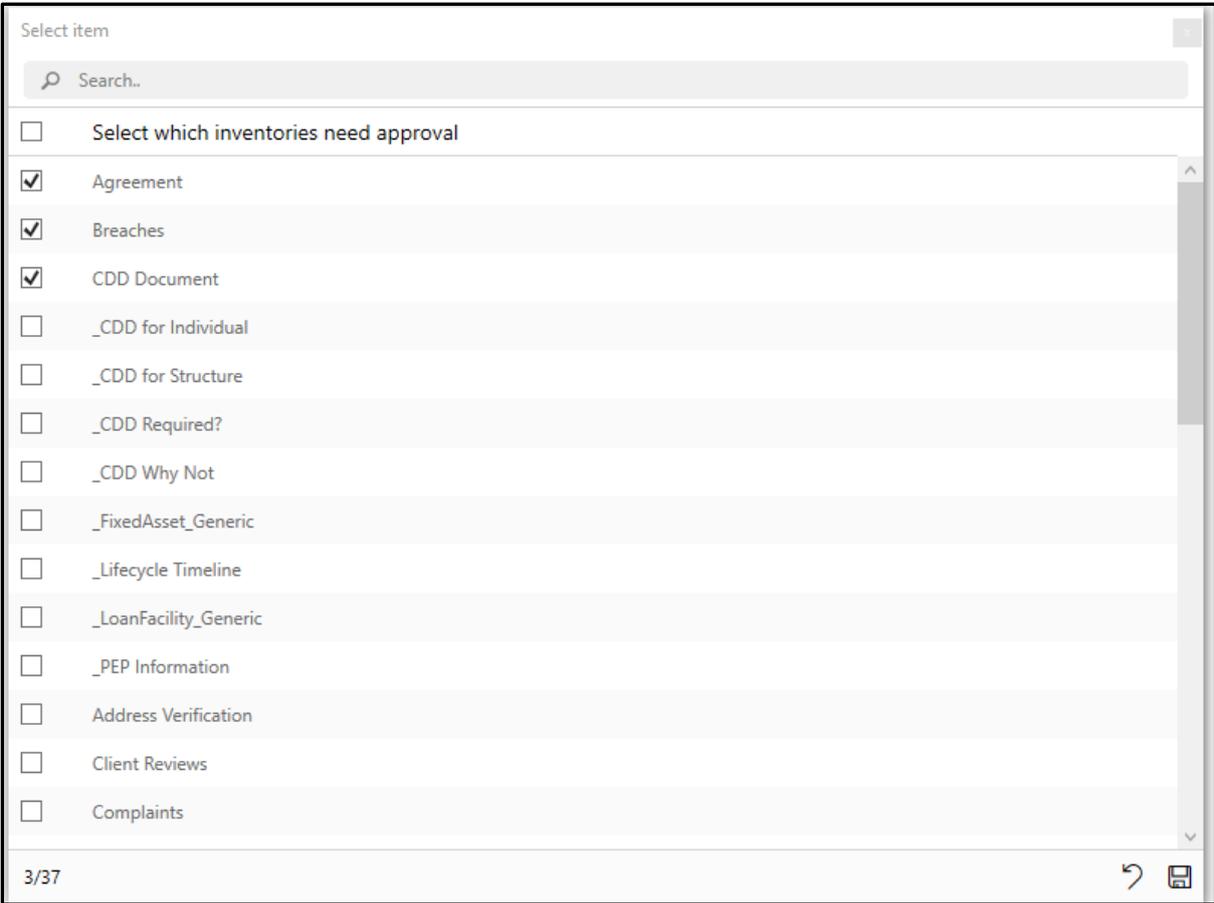
The first time this is performed all the boxes will be unticked and by placing a tick against the appropriate item, this item will, after saving, require any new or edited records to go through a 'four-eyes' process. The effect is immediate on the machine it is performed but it will only become effective for all other users once they have closed and re-opened PlainSail.

At present only bank accounts, relationships, loans and contact details are available but other types such as shares, share classes, fixed assets etc will be supported in a future release.

As can be seen above, the choices for Addresses are a little more complex. This is because PlainSail keeps a record of its addresses in a central place and entities link to each applicable address. This ensures that multiple occurrences of the same address are managed centrally. This means that you can choose address changes and/or address links to be flagged for requiring approval. In addition you can specify which types of address are chosen for requiring approval. This includes Location, Telephone, Email, Skype etc and is typed in comma-separated text, for example:

Location,Telephone,Email,Skype

In addition to the list of screens, you can click on the inventories hyperlink to open a screen from which you can tick which ones must go through the ‘four-eyes’ process. See below.



In the above example, 3 inventories have been chosen and they are listed above the unselected in alphabetical order below. If another is chosen, it will also be listed at the top of the list when the window is subsequently opened.

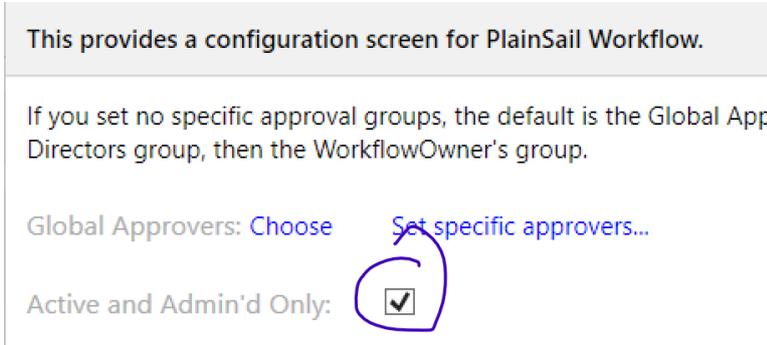
You can do the same for Relationships, choosing which types you want to have four-eyes approval.

[Turn on Four-Eyes Approval Only for Active, Administered Entities](#)

Tick the ‘Active and Admin’d Only’ checkbox to activate four-eyes only for entities that have a Status of Active and are marked as Administered. This is useful when you are onboarding clients or



performing CDD on third parties such as suppliers and other ancillary entities that do not need full CDD.



If this option is ticked, all changes marked as requiring four-eyes approval will be ignored if the entity is not administered or does not have a status of Active or Active-Closing.

### Choosing the Global Approvers User Group

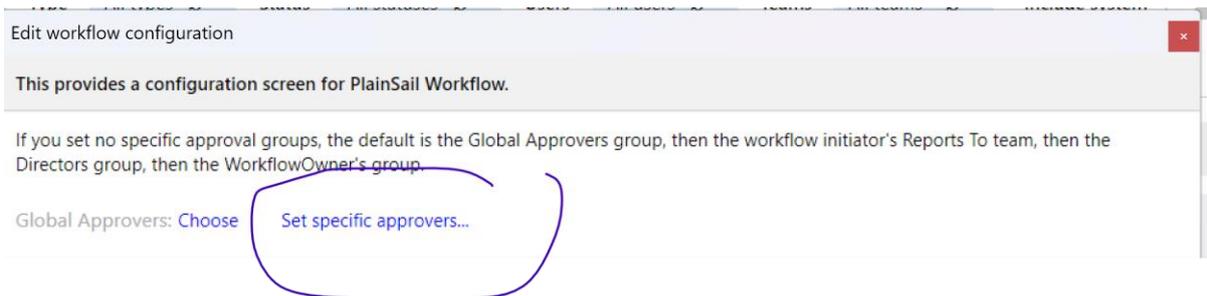
When we are deciding which group an approval should be sent to, we look first at the Global Approvers group, which you can set to any group you like so long as it is a group that contains users. If you do not set a Global Approvers group, we move on to look for the team that the initiator of the workflow reports to; if that is not set, we fall back to the Workflow Owners group which is a reserved PlainSail user group that you should ensure always has at least one user.



### Configuring Different Approvers For Different Types

It is likely that you will want different teams approving different types of data, for example Compliance for CDD and Finance for payment requests. You can configure this by clicking on "Set specific approvers".

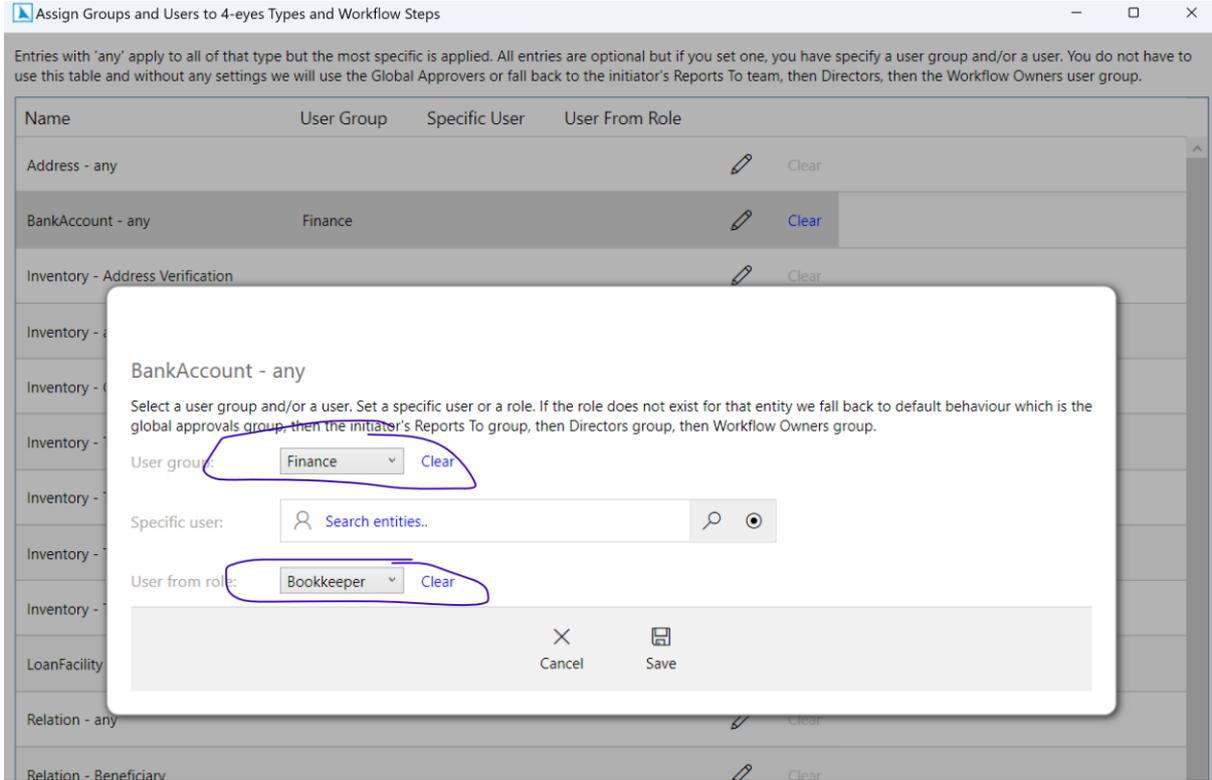
**Note:** Because the specific approvers list is aligned with the types that you have selected, you need to save your changes before choosing the specific approvers.





There is an entry for every type you have selected for four-eyes approval. For inventories and relationships there is a line for each type you have selected as well as a general one, 'any'. For screens such as Bank Account and Loan, you cannot set an approver for specific bank accounts so you only have the 'any' option.

Click on a pencil icon to set the approvers. Here we have selected any Bank Account:



For each type you can set a user group and/or a user. If you do not select a user group, we use the default algorithm as explained above. If you do not choose a user, the approval is simply sent to the group.

For the user you can either choose a specific user or you can choose a role from the entity's profile. Some entities may not have the chosen role defined at the point where we create the approval step in the workflow and in that case it is the same as when no user is defined: only the group is used.

You do not need to choose a specific approver for every row. For example, you could leave all the inventory rows empty but simply set 'Inventory – any' and it will apply to all inventories regardless of their type.

Setting specific approvers is optional and you can ignore this screen if you are happy with the Global Approvers and the default choices that PlainSail makes for you.

## Workflow FAQs

### I was expecting a new step to come up for me but it hasn't – where is it?

Be patient! A workflow may seem to disappear. Don't worry they don't disappear but may have been directed to other users or are going through a number of system steps which can take time. When a new step is launched, it has to wait for a background process to wake up and take a look to see if there is new work to be done. There is an interval in the system configuration which dictates how often the system wakes up to check new tasks and this may be as long as every 5 seconds. So if there were, say, 6 consecutive system steps to perform, the workflow would appear to be dormant for up to 30 seconds.

### Should someone be assigned to supervise workflow activity?

It is good practice to assign a person (or people) to oversee the workflows – we call this person the workflow owner and there is a standard user group called Workflow Owners. Please enrol all the personnel you wish to have a supervisory role over the workflow processes and provide them with appropriate training to perform the associated tasks. These include the handling of requests by users to abandon a workflow.

### If I start a workflow does that mean I have to do all the work?

No. All workflows have a default user and this is initially assigned to the initiator but most of our workflows have a standard first step which asks whether the workflow is for you or whether you'd like to change the default user.

### Are all workflows started manually?

Many workflows are launched manually by a user but there are some which are triggered by specific actions in the system. For example, approval workflows are ones which are automatically launched when somebody tries to set up various new information (e.g. a new relationship) which has been defined in the system configuration as requiring approval. We envisage that as PlainSail grows there will be much greater use of workflows being launched automatically.

### How are workflow steps assigned?

When a workflow is created, every user step is assigned to either a specific user or a specific user group. However, once installed your company can specify exactly how it wishes to assign the steps and any assignments made like this will override the default assignment created in the build.

### What options are there for assigning a step to an individual?

Actual individuals may be assigned to carry out a step but there are many options to assign individuals obliquely as follows.

The initiator – you may assign a step to the person who launched the workflow.

The administrator, director, client manager or bookkeeper may be assigned – this will look up the appropriate person from the role specified.

From a user specified in a workflow field. If the workflow collects the name of a specific user in a field called, say, Chosen User, any subsequent step may use Chosen User as the assignee.

From the previous step – whoever did the last step will also do this one.

From another step – the assignee is the same person who did a step earlier in the workflow.

Do not assign a user at all (because it's assigned to a user group).

#### How does assigning a group to a step work?

As well as using one of the specific user assignments, a step may be additionally assigned to a user group. These may be Compliance Team, Managers, Directors etc. and it means that when this step becomes active all users in the group will see the step on their dashboard. Thus if an approval step is assigned to the Directors group, all directors will see the step but which director actually performs the step is at their own discretion.

For four-eyes approval workflows you can use the Workflow Configuration screen to set which groups and users do which types of approvals. For other types of workflows that you launch from the Workflows screen, the groups are assigned by PlainSail (at your direction) when we design and implement the workflows for you. In a future release you will also be able to change these yourself from within the app but this feature is not yet available.

#### How can you assign an individual by role?

If the role is one of the four roles specified on the administered entity (Client Director, Administrator, Manager, Bookkeeper), the 'Assign User by Role' function may be used. If the role is not one of those, the step should be assigned to a group. This necessitates a user group to be set up and the individual who performs that role should be contained in the group. For example, if the step should be performed by the Compliance Director, it should be assigned to the Compliance Director group. This group should be set up with a single person, the Compliance Director, in it. This has the distinct advantages that if the role changes, a new person can be assigned to the group and the other removed. Also if the individual is absent, a new person can be enrolled into the group temporarily until they return.

There are many such groups set up by default in PlainSail but the company can create any other such groups as befits their configuration.

#### If a step is assigned to me specifically, does that mean that only I can perform it?

No, anyone in the group to which the step is assigned can see it and perform it but only you will be notified of the step. All the other users in the group will see it on their dashboard too but it won't show if they tick 'Mine only'. However, there are other ways to see unfinished steps and other personnel may open these steps from here.

#### Can I reassign my workflow step to someone else?

Yes. This can be done from the Todo -> Workflows screen if you have the authority. If you don't, you can request a workflow owner to reassign it for you.

#### Can Two Users Open the Same Step at the Same Time?

No, when you open a step, it is locked for you only and while you have it open it will be removed from others' dashboards. There may be a few seconds after you have opened it where it is still

showing on other dashboards and if another user clicks on it they will see a message informing them that another user has it open.

Why are the buttons on my workflow step screen not working?

On a user step, there is always at least one button, but it (and any others visible) will not work until all the data you are required to provide has been completed.

Can I create my own workflows?

Not yet. PlainSail does not yet have a workflow designer and builder. However, we do intend to provide one at a later date. In the meantime, workflows may be commissioned by you for us to create. Whilst this is chargeable work, it is recommended as it brings very reliable controls to important processes, spectacular improvements in efficiency and is guaranteed to provide a good return on the investment.

Why do I see so many unfinished workflows on the dashboard?

Overdue workflow steps are not a desirable occurrence and it sounds like your staff need further guidance and training. Additionally, we recommend you assign ownership and accountability to key personnel to oversee and manage items which are being ignored. Usually workflow steps are quick and easy to perform but their importance to the company's productivity and efficiency is paramount.

What functions can be performed in system steps?

See *System Step Handlers*

If a mistake on the workflow has been made, can I go back?

Yes, there is an option on every user step screen to labelled Go Back.

Can I terminate a workflow I no longer need?

Yes. See *Request cancellation* . You cannot just delete a workflow because the initiator or the initiator's manager needs to know. By cancelling you are going through a controlled process of discarding the workflow with a recorded reason.

Can I add documents to a workflow?

Yes this can be done on any user step. See *Header section*.

How long should I leave steps assigned to me?

Don't leave them, do them as soon as possible. Usually they are very quick and easy to do.

What options are there for viewing both active and completed workflows?

See *Viewing and Managing Workflows*.