



HYPERION® SYSTEM™ 9

FINANCIAL MANAGEMENT

RELEASE 9.2.0.3

ADDENDUM



This addendum covers new Process Management features in Financial Management. For a complete understanding of configuring and using Process Management, see the *Financial Management Administrator's Guide* and the *Financial Management User's Guide*.

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PROCESS MANAGEMENT SUBMISSION PHASES

This release introduces Process Management by Submission Phase, which enables you to define the accounts for each phase of review submission. During the review process, you can promote each phase of the process unit rather than the entire process unit. This eliminates the need for additional scenarios to enforce the review process.

You can use a maximum of nine submission phases in the review process. Submission phases can vary by period and scenario. For example, in the Actual scenario, you might submit Balance Sheet and Profit/Loss accounts for review in the first submission phase, and supplemental data in the second submission phase. In the Budget scenario, you might submit Intercompany data in the first submission phase, Balance Sheet and Profit/Loss accounts in the second phase, and supplemental data in the third phase.

DEFINING SUBMISSION PHASES BY SCENARIO AND PERIOD

Your review process requirements may vary from period to period. For example, the monthly close cycle might require a single-phase review process for Balance Sheet and Profit/Loss data in January and February. For a quarterly month such as March, the quarterly closing review process may require multiple phased submission cycles for supplemental data and Balance Sheet and Profit/Loss data.

Phase definition can also differ by scenario. For example, the Actual scenario might require only Balance Sheet and Profit/Loss accounts to be submitted for review. For the Budget scenario, all accounts might be required, and for the Forecast scenario, only Profit/Loss accounts and supplemental data might be required.

SETTING UP SUBMISSION PHASES

To set up submission phases, the administrator must complete these procedures:

- Set the application and dimension metadata attributes to use submission phases
- Define submission groups and assign submission groups to dimensional members (accounts, Custom 1 to 4 dimensions, ICP members)
- Assign submission groups to submission phases

SETTING UP APPLICATIONS FOR SUBMISSION PHASE SUPPORT

To use submission phases, the administrator must enable the following application setting in the metadata file and also enable one of the SupportSubmission Phases below:

UseSubmissionPhase=Y/N

By default, this setting is turned off. To use submission phases, you must set it to “Y”.

Once this setting is enabled, the administrator must define submission phases. At a minimum, at least one dimension must be enabled. For example, if the application only needs submission by accounts and not for Custom 1 to 4 or Intercompany (ICP) dimensions, you can select the SupportSubmissionPhase setting only for accounts.

These metadata attributes are available for submission phases:

- SupportSubmissionPhaseForAccount=Y/N
- SupportSubmissionPhaseForCustom1=Y/N
- SupportSubmissionPhaseForCustom2=Y/N
- SupportSubmissionPhaseForCustom3=Y/N
- SupportSubmissionPhaseForCustom4=Y/N
- SupportSubmissionPhaseForICP=Y/N

You can change these application settings at any time as needed.

DEFINING SUBMISSION GROUPS

For each application, the administrator must decide which dimensional members to include in a submission phase. You can create a maximum of 99 submission groups. However, to easily work with dimension members, it is recommended that you categorize them into appropriate groups.

You set the following attribute for submission groups in the metadata file:

SubmissionGroup=0 to 99 or <blank>

For example, if you set the submission group to 1, the account is included in Submission Group 1.

The default is blank. A <blank> value defaults to the value of 1.

If you set the submission group to zero (0), the account is not included in the review process.

You can specify the submission groups for [ICP None], and [ICP Entities]. The submission group value assigned to [ICP Entities] applies to all ICP entities in the [ICP Entities]sub-tree.

Every dimensional member defined in the application should be included in one of the submission groups (0 to 99).

Table 1 Submission Groups Example

Accounts	Submission Group
Cash	1
Invest	1
ICRec	2
ICPay	2
Liability	3
Equity	3
Revenue	4
Expense	4
SuppData1	5
SuppData2	5
Headcount	6
MiscData	6
HistData	0

C1 (Product)	Submission Group
[None]	1
Golf Balls	7
Tennis Balls	8
Soccer Balls	9

Base accounts do not inherit submission groups from parent accounts, and a parent account does not assume any submission group from its children. You must assign a submission group to each account. If you leave the submission group blank, it defaults to Submission Group 1.

In this example, the HistData account has a submission group assignment of 0, which means that the account does not require review process.

DETERMINING SUBMISSION GROUP FOR CELLS

When multiple dimensions are used for phased submissions, the system determines the cell submission group assignment by the maximum of the group assignments of its dimension members. Therefore, it is recommended that you consider all of the group assignments that you need before assigning submission groups.

Example 1

Account = 2
C1 = 1
C2 = 2
C3 = 1
C4 = 1
ICP = 1

The submission group value for the cell is 2 because the maximum submission group number for these dimensions is 2.

Example 2

Account = 1
C1 = 3
C2 = 2
C3 = 5
C4 = 1
ICP = 3

The submission group value for the cell is 5 because the maximum submission group number for these dimensions is 5.

MANAGING SUBMISSION PHASES

You can display and manage submission phases using a new data task called “Manage Submission Phases”. This task only displays if you enable the UseSubmissionPhase application setting in the metadata file. You must also be assigned to the administrator or Review Supervisor security role.

SUBMISSION GROUP ASSIGNMENTS BY SCENARIO AND PERIOD

Administrators can assign submission groups for accounts to each of the submission phases. The assignment applies only to the scenario that supports Process Management. However, the assignment must be done by Scenario and Period.

If a group is not specified, process management is not applied.

The following example shows the submission group assignments by period for the Actual Scenario. This example utilizes the submission group assignments defined in the Table 1 example.

Table 2 Example: Submission Group Assignment to Submission Phases

Period	Submission Phase 1	Submission Phase 2	Submission Phase 3
January (Single Phase)	1, 2, 3, 4	N/A (No supplemental or product data required)	N/A (No supplemental or product data required)
February	1, 2, 3, 4	N/A	N/A

Table 2 Example: Submission Group Assignment to Submission Phases (Continued)

Period	Submission Phase 1	Submission Phase 2	Submission Phase 3
March (Multiple Phases)	2	1, 3, 4, 7, 8, 9	5, 6
April	1, 2, 3, 4	N/A	N/A
May	1, 2, 3, 4	N/A	N/A
June (Multiple Phases)	2	1, 3, 4, 7, 8, 9	5, 6
July	1, 2, 3, 4	N/A	N/A
August	1, 2, 3, 4	N/A	N/A
September (Multiple Phases)	2	1, 3, 4, 7, 8, 9	5, 6
October	1, 2, 3, 4	N/A	N/A
November	1, 2, 3, 4	N/A	N/A
December (Multiple Phases)	2	1, 3, 4, 7, 8, 9	5, 6

January - Single Phase Assignment

For the January monthly close, in this example, Process Management is required for Submission Phase 1 but not required for Submission Phases 2 and 3. Since this is a short monthly close cycle, all Intercompany, Balance Sheet, and Profit/Loss data (Groups 1, 2, 3, and 4) is submitted in the same submission phase. Supplemental data is not required.

March - Multiple Phase Assignment

During the March quarterly close, Process Management utilizes submission across multiple phases.

Submission Phase 1 requires intercompany data, so includes data for ICRec and ICPay accounts; in this example, all accounts with a submission group assignment of 2.

Submission Phase 2 for March contains Balance Sheet and Profit/Loss accounts (Cash, Invest, Liability, Equity, Revenue and Expense accounts); in this example, all accounts with a submission group assignment of 1, 3, or 4.

Submission Phase 3 for March includes supplemental data, and contains supplemental data accounts such as SuppData1, SuppData2, Headcount, and MiscData; in this example, all accounts with a submission group assignment of 5 and 6.

In this example, the HistData account has a submission group assignment of 0, which means that this account does not require review process. The data is available to all users with appropriate security class access without needing to check for review level security.

ASSIGNING SUBMISSION GROUPS TO PHASES

You use the Manage Submission Phases task to assign submission groups to phases. The assignment must be done by Scenario and Period.

In the Manage Submission Phases window, you can specify the submission phases to display, from 1 to 9. You can change the setting as needed to display different submission phases.

You can enter one or more groups for a submission phase and use a comma as a separator for multiple groups assignment (for example, 1, 5, 6, 8, 9, 10).

You can specify a range of groups. For example, to assign groups 1, 2, 3, 4, 5, 7, and 8 to a submission phase, you can specify 1-5, 7-8. If you enter one or more groups in a range using commas, when you submit and refresh the data, the system displays the groups that are in a range (for example, 1,2, 3, 4 displays as 1-4).

Valid groups are 1 to 99. You can use the asterisk (*) keyword to indicate all groups. The default for Submission Phase 1 is the asterisk (*) to indicate all groups. All groups belong to Submission Phase 1 until you change their assignment.

You cannot assign the same group to multiple phases in the same period. For example, you cannot specify Groups 2 through 5 for Phase 1, and Groups 3 and 8 for Phase 2, because Group 3 cannot be assigned to both Phase 1 and Phase 2. A submission group can only be assigned to one phase in the same period. An error message displays if you try to assign a submission group to a phase with one already assigned.

If you move all groups out of a submission phase into a different submission phase, the original phase is cleared entirely from the system for the specified scenario and period.

You can skip a submission phase assignment. For example, you can assign groups in Phase 1 and 3 but not in Phase 2. Any groups that are not assigned to a submission phase are not considered part of the review process. Those dimensional members are available to all users with the appropriate security class access without the need to check for review level security. Unassigned cells do not need to be started for process management before you can enter data.

To assign submission groups for submission phases:

1. In the Browser View, select **Tasks > Data Tasks > Manage Submission Phases**.
2. Select the phases to display, and click **OK**.
3. To change the scenario, click on it, select a scenario, and click **OK**.
4. In each phase column, enter the groups for that submission phase and click **Enter**:
 - To enter multiple groups, use a comma as a separator.
 - To specify a range of groups, use a dash as a separator.
 - To indicate all groups, use an asterisk (*).
5. Click **Submit Data** to save the data, or click **Reset Data** to refresh the database.

LOADING AND EXTRACTING GROUP ASSIGNMENTS BY PHASE

In the Load Data task, you can load and extract submission group assignments by phase. These guidelines apply to the load process:

- In the Load Data dialog box, you must select “File Contains Process Management Data”.
- The load file cannot contain both submission phase records and data records.
- The submission phase number must be between 1 and 9 (inclusive) and the group number must be between 0 and 99 (inclusive).

- All new applications have “All groups” assigned to Phase 1 for all scenarios that support process management, and all base periods.
- No period can have a duplicate group assigned for phases 1-9. If duplicates are assigned, the entire load for that period is ignored and returned to the status before the load.

In Replace mode, all data for the period is cleared before new group/phase assignments are processed for that period, and new data replaces the old data.

Replace Mode Example:

If Scenario = Actual, Period = January, has the following assignments:

Phase =1, Groups = 1,3, 5

Phase =2, Groups = 2,4,6

If you load the following data:

```
!SUBMISSION_PHASE
```

```
Actual; January; 1; "7,8,9"
```

All data for January (including Phase 2 assignments) is cleared, and the final result is as follows:

```
Scenario=Actual; Period = January
```

```
Actual; January; 1; "7,8,9"
```

In Merge mode, the new group/phase assignments for the period override the assignments for the same groups, but keep the assignments for other groups. If an error is detected for a period, all new assignments for that period are ignored.

The load format is as follows:

```
!SUBMISSION PHASE
<scenario>;<period>;<phase#>;<"group assignment">
<scenario>;<period>;<phase#>;<"group assignment">
<scenario>;<period>;<phase#>;<"group assignment">
...
```

LOAD FILE EXAMPLE

```
!SUBMISSION PHASE

Actual; January; 1; "*"
Actual; February; 1; "1, 3, 5"
Actual; February; 2; "2, 4, 6-15"
Actual; March; 1; "1, 2, 3-5, 7-9"
Actual; March; 2; "8, 10-13, 15"
Actual; March; 3; "14"
```

PROCESS CONTROL TEMPLATE CHANGES

SETTING PROCESS CONTROL OPTIONS

For applications that are not set up for phased submissions, Process Control displays one page of options for process control units. Options include style (list or tree view), filter and sort options, period view, entity view, review options, status, and page size.

For applications with phased submissions enabled, Process Control options are displayed on two tabs and include phased submission options. For Rows, you can select the style, entity view, page size and these submission phase filter options:

- Submission phase
- Review Level X and below
- Review Level X and above
- Equal to Review Level X
- All equal to Review Level X
- All above Review Level X
- All below Review Level X
- Pass only
- Fail only
- Pass and Fail
- Status

For Columns, you can select to display a single period or all periods, and submission phases. For each phase, you can display Review Level, Pass/Fail, and Validation information. Calculation status and Journals status can be displayed, however they apply to the entire process unit and are not varied by submission phase.

To display submission phases in Process Control:

1. In the Browser View, select **Tasks > Data Tasks > Process Control**.
2. From the menu bar, click **Options**.
3. On the Row and Column tabs, select the phases and other options to display in Process Control, and click **OK**.

DISPLAYING MULTIPLE PHASES IN PROCESS CONTROL

You can display multiple submission phases, view review level status, and perform process management actions for multiple phases in Process Control.

If you select Single period view, you can select one or more submission phases to include in the columns. For each column, you can display one or more of these options: Calculation Status, Journals, Review Level, Pass/Fail, and Validation. If selected, Review Level, Pass/Fail, and Validation are included for each phase. Since Calculation Status and Journals apply to the entire processing unit, they are displayed only once regardless of how many phases are selected.

If you select All period view, you can select Calculation Status or Review Level information for the columns. If you select Review Level information, you should select one submission phase for display. When you select All periods, or Tree for the display, the filter option is unavailable.

VIEWING UNASSIGNED SUBMISSION GROUPS

In Process Control, you can view submission groups that are not assigned to any phase. Submission groups that are not assigned a submission phase are not part of the review process. Viewing unassigned groups enables you to check if you have accidentally omitted groups from the review process.

The system displays groups assigned to dimension members that are not assigned to any submission phase, and groups assigned to a submission phase that are not assigned to any dimension member. If a group has not been assigned to either a dimension member or phase, it is not displayed.

For example, an application has submission groups 1-10 assigned:

Table 3 Example: Submission Groups

Period	Submission Phase 1	Submission Phase 2	Submission Phase 3
January	1, 2, 3, 4	5, 7	8,9
February	1, 2, 3, 4	5-8	N/A
March	2	1, 3, 4	5, 6
April	1, 2, 3, 4	5,6	8
May	1, 2, 3, 4	5-8	N/A
June	2	1, 3, 4	5, 6
July	1, 2, 3, 4	N/A	N/A
August	1, 2, 3, 4	N/A	N/A
September	2	1, 3, 4	5, 6
October	1, 2, 3, 4	N/A	N/A
November	1, 2, 3, 4	N/A	N/A
December	2	1, 3, 4	5, 6

If you select the option to display unassigned groups, for January in the previous example, these groups are shown as unassigned:

Table 1 Example: Unassigned Groups

Period	Unassigned Group
January	6, 10

To view unassigned submission groups in Process Control:

1. In the Browser View, select **Tasks > Data Tasks > Manage Submission Phases**.
2. Select the cell for the phase, right-click and select **Show Unassigned Groups**.
3. From the popup list, review the list of unassigned groups if applicable, and then click **OK**.

REVIEW LEVELS AND SUBMISSION PHASES

The review level for each process unit is stored by submission phase. You must promote each submission phase independently. All of the rules for promotion to each review level still apply. In addition, there is the following dependency based on the submission phase number:

The review level of a submission phase must be less than or equal to the review level of all the lower numbered phases in that subcube.

For example, if an account is in Submission Phase 1 and the Review Level for Submission Phase 1 is Review Level 4, you cannot promote accounts in Submission Phase 2 to a review level greater than 4. If Balance Sheet and Profit/Loss accounts are Submission Phase 1 accounts, and Submission Phase 1 has Review Level 4 status, you cannot promote Supplemental accounts, which are Submission Phase 2 accounts, to a review level greater than 4.

VALIDATION ACCOUNT BY SUBMISSION PHASE

Validation accounts are used to ensure that the value equals zero before a process unit can be promoted to the next review level. Financial Management application settings now include these additional validation accounts that you can use for each submission phase:

Validation Account= (current validation account; now used for Submission Phase 1)
Validation Account2 =<valid account> (for Submission Phase 2)
Validation Account3 =<valid account> (for Submission Phase 3)
Validation Account4 =<valid account> (for Submission Phase 4)
Validation Account5 =<valid account> (for Submission Phase 5)
Validation Account6 =<valid account> (for Submission Phase 6)
Validation Account7 =<valid account> (for Submission Phase 7)
Validation Account8 =<valid account> (for Submission Phase 8)
Validation Account9 =<valid account> (for Submission Phase 9)

If a Validation Account is not set for a submission phase, no validation needs to be done for that phase. You can use the same validation account across multiple submission phases.

LOCKING PHASED SUBMISSIONS

For applications that support phased submissions, the system checks to ensure that all phases of the processing unit have reached the Published status before it can be locked. It also checks that all validation accounts for the appropriate phases have a zero value before applying the lock status. The lock status is a calculation status and applies to the entire process unit.

WEB DATA GRID CHANGES

When you right-click a cell in a Web data grid and select Process Management, the system determines the submission phase that applies to the cell. There can only be one review status for each submission phase, so when you promote the cell, you promote all the cells for that submission phase.

If you select to promote multiple cells in the data grid, the system determines all of the submission phases that apply to those cells and promotes these phases at the same time, depending on the review level dependency rules.

When you right-click on a cell and select Cell Information, in addition to the review level status, the system displays the submission group and the submission phase to which the group is assigned for that scenario and period.

NEW RULE FUNCTIONS

These new rule functions are available for submission phase information.

GetSubmissionGroup

Gets the process management submission group for the cell.

Syntax

```
HS.GetSubmissionGroup  
( "A#Account.C1#Custom1.C2#Custom3.C4#Custom4.I#ICP" )
```

Return Value

An integer representing the process management submission group. Valid values are 1-99.

Example

```
HS.GetSubmissionGroup( "A#Sales.C1#Golfballs.C2#Tennisballs.C3#  
Soccerballs.C4.#Basketballs.I#EastSales" )
```

GetSubmissionPhase

Gets the process management submission phase for the cell.

Syntax

```
HS.GetSubmissionPhase( "S#Scenario.P#Period.A#Account.C1#Custom1.C2#  
Custom2.C3#Custom3.C4#Custom4.I#ICP" )
```

Return Value

An integer representing the process management submission phase. Valid values are 1-9.

Example

```
HS.GetSubmissionPhase( "S#Actual.P#January.A#Sales.C1#Golfballs.C2#Tennis  
balls.C3#Soccerballs.C4#Basketballs.I#EastSales" )
```

ReviewStatusUsingPhaseID

Gets the review status for a specified point of view using the process management submission phase ID.

Syntax

```
HS.ReviewStatusUsingPhaseID( "S#Scenario.Y#Year.P#Period.E#Entity" , n )
```

where *n* is an integer representing the process management submission phase. Valid values are 1-9.

Return Value

A string that specifies the review status for the member using the Submission Phase ID. Valid review statuses are: Not Started, First Pass, Review Level 1-10, Submitted, Approved, Published, Not Supported.

Example

```
HS.ReviewStatusUsingPhaseID( "S#Actual.Y#2007.P#January.E#Connecticut" , 3 )
```

SubmissionGroup

Gets the process management submission group for a dimension member.

Syntax

```
HS.<Dimension>.SubmissionGroup(Dimension member)
```

where *Dimension* is one of the following dimensions: Account, Custom 1...4.

Return Value

An integer representing the submission group for the dimension member. Valid values are 1-99.

Example

```
HS.Account.SubmissionGroup("Sales")
```

ValidationAccountEx

Gets the validation account for a process management submission phase.

Syntax

```
HS.AppSettings.ValidationAccountEx(n)
```

where *n* is an integer representing the process management submission phase. Valid values are 1-9.

Return Value

A string that specifies the name of the validation account for the process management submission phase.

Example

```
HS.AppSettings.ValidationAccountEx(5)
```


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