

SOX Check Approval Web Screens

User Guide

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SOX Check Approval System Overview

SOX Check Approval is described in several documents, each targeted at different users.

- **SOX Extended Payment Batch List User Guide** is a document written for users of Sage 300 who prepare payment batches and submit them for approval.
- **SOX Check Approval Console User Guide** is a document written for key users who will perform a 1, 2 or 3-step approval. These users may not be familiar with Sage 300.
- **SOX Check Approval Web Screens User Guide** is for users of the web-based versions of Sage 300 who approve A/P payment batches or submit them for approval.
- SOX Check Approval Audit Report User Guide is for users who oversee the A/P payment process. The report provides an audit trail for the approval of Sage 300 payments.
- **SOX Check Approval Setup Guide** is a document written for system administrators who set up databases and configure the solution.

For information on specific tasks, see:

- <u>Approving/Rejecting Payments</u>
- Submitting Batches for Approval and Viewing Approval Status
- Viewing the Approval Status of Payments in a Batch
- Viewing the SOX Check Approval Audit Report

SOX Check Approval Web Screens

SOX Check Approval is designed for simplicity:

- Approvers get an email when a batch of payments is ready for approval.
- Approvers open a browser, sign in to Sage 300cloud, then choose SOX Check Approval > Approvers > Approval Console from the Sage 300cloud menu.

Note that all approvers <u>must be added to Sage 300 as users</u>, and <u>must be identified as</u> <u>approvers in the SOX Check Approval Setup program</u>.

- SOX Check Approval has four different check approval workflows:
 - **Strict workflow:** All checks go to the Level-1 approvers first, then to Level-2 approvers, and then to Level-3 approvers.
 - Basic workflow: All checks go to the Level-1 approvers first. Payments that are above the Level 1 payment limit move on to Level-2 approvers for approval, and payments that are above the Level 2 payment limit go to Level-3 approvers. Level 2 and 3 approvers do not approve lower payment amounts.
 - **Relaxed workflow:** Checks are approved at one level only. Level-1 approvers only see payments below the Level 1 payment limit, Level-2 approvers only see payments that are above the Level 1 payment limit and below the Level 3 payment limit, and Level-3 approvers only see payments that are above the Level 2 payment limit.
 - **Simplified workflow:** Requires up to 3 approvers for each check in any order. Approvers may see payments that have been approved by 0, 1, or 2 other users.

- Once payments have been reviewed, approvers click the Approve button or the Return button to move the payment batch to the next phase of the approval process or return it to the previous phase.
 - Approvers at the next level will get an email stating that the batch needs approval.
 - If you use the Simplified workflow, other approvers will be sent an email stating that the batch has been approved by a first approver.

Typical Email Notification

When email notifications are turned on for a company, an approver will receive an email when a payment batch is ready for approval.

For example, the following message shows that "Carla" submitted payment batch 61 for Sample Company Ltd. for approval.

The batch description is "SYSTEM GENERATED PAYMENT BATCH".



Starting SOX Check Approval

The Web screens for SOX Check Approval are installed like other Sage 300cloud Web screens.

sag	je 300		Session Date:	Jan 18, 2021	Administrator •	Sample	Company Ltd.	Q Search	? Help Se	Nings	Tools
â	Home	Approvers •	Approval Console								1
Ēr	Accounts Payable	Setup	Audit Report						Options	¢	C 2
*≊	Accounts Receivable		Submit Batch	_						_	دی 1
ô	Administrative Services			Description	1						a
血	Bank Services										J
^	Common Services			2014							
	General Ledger										
8	Inventory Control			Description	1						
-	Multiple Contacts			Total		Total Approv	ved				
	Order Entry				0.00		0.00				
⊞	Purchase Orders			d 0.00							
*	Tax Services										
	SOX Check Approval										
2	TaiRox Productivity Tools										
				nment		Entry	Transaction Type	Vend	or Number		

To start SOX Check Approval:

• Start Sage 300cloud in a Web browser:

To open the Approval Console and Approve Payments:

• Select SOX Check Approval > Approvers > Approval Console from the Sage 300cloud desktop.

To perform other tasks, see:

- Submitting Batches for Approval and Viewing Approval Status
- Viewing the Approval Status of Payments in a Batch
- Viewing the SOX Check Approval Audit Report

The Approval Console appears below:

sag	je 300		â	Session Date: Jan 19,	2021 Carla	a Rojas 🔻	Sample Company Ltd.	Q Search	Help Setting	7 s Tools
â	Approvers : Approval Console Audit Repo	rt Submit Batch								7
Ē₽	Approval Console								Options 🏠	
*2	SAMINC - Sample Company Inc.	Batch Information								
Ô	SAMLTD - Sample Company Limited	Batch	Description			Date				à
盦		0				M/d/yyyy				J
<u> </u>		Bank	Description			Currency				
		Entries	Total	Total Approve	ed	Total Not A	pproved			- 1
8		0		0.00	0.00		0.00			- 1
*		Submitted By								- 1
E										
		Payments								
*		Com	nent	Entry	Transaction Ty	ype Vendo	r Number Vendor / Pa	ayee Name		
۶										
2		1								
al									,	

Note the following points:

 The Approval Console displays <u>all companies</u> with submitted payment batches that require approval *and* <u>for which you are an approver</u>.

In this example, Carla signed into Sample Company Ltd. But the Approval Console also displays batches for Sample Company Inc, for which Carla is also an approver.

- The console will not list a company unless:
 - The company has batches requiring approval.
 - You are a valid approver for the batches that require approval.

For example, if you are a level 1 approver, you will see batches that require level 1 approval, but you will not see batches that require level 2 approval.

Expand the company entries to display the batches that require approval

S	age 300	a :	Session Date: Jan 19, 2021	Carla Rojas 🔻	Sample Company Ltd.	Q Search	e tings	7 Tools
â	Approvers : Approval Console Audit Report Submit Batch							7
Ēr	Approval Console						Options 🏠	
*⊒	SAMINC - Sample Company Inc.	Batch Information						
ô	Batch 28 - January 15 - 2021 - Invoice Payments	Batch	Description		Date			Q
血	 SAMELD - Sample Company Limited 	28	January 15 - 2021 - Invo	ice Payments	1/19/2021	1	m.1.a 	J

- Tree-view navigation lets you select a company and its batches. The console will initially appear with the tree-view not expanded.
- Click the arrow beside the company name to expand the list of batches, then click the batch description to display the batch information.

sag	je 300	â	Session Date: Jan 19, 2021	Carla Rojas	 Sample (Company Ltd.	arch Help Settin
An and a second sec	Approvers : Approval Console Audit Report Submit Batch Approval Console						Options 🏟
	 SAMINC - Sample Company Inc. Batch 28 - January 15 - 2021 - Invoice Payments SAMLTD - Sample Company Limited Batch 62 - Resubmitted Unapproved Payments for Batch 60 Batch 63 - Resubmitted Payments from Dec 31 batch (61) Batch 64 - Jan 15 Invoice payments - SAMLTD 	Batch Information Batch 28 Bank SEATAC Entries 12	n Description January 15 - 2021 - Invo Description Seattle Tacoma Bank Total : 30,407.87	tice Payments	ed 30,407.87	Date 1/19/2021 Currency USD Total Not Approved	0.00
		Carla Rojas Payments Co	mment	Carl	a.Rojas@tairox Transaction Ty	.com pe Vendor Numbe	r Vendor/Pa
2 2 .1				1 2 3 4 5	Payment Payment Payment Payment Payment	1200 1450 1500 1580 1750	Chloride Intercon Gould M Grant Of Esser Er
		•		6 7 8	Payment Payment Payment	2150 2800 4540	Marshall Modern I Leon Ind →
		Documents Paid	er Document Type	PO Numbe	r Descri	iption	Date
		100-01	Invoice				5/1/2020 ^

SOX Check Approval provides 3 different workflows. Each company that uses SOX Check Approval can choose a different workflow.

In a Strict workflow:

- A level 1 approver will only see payment batches and payments that have not been approved by anyone. Once the payments are approved, they are moved to the next step of the approval process.
- A level 2 user will only see payments that have been approved by a level-1 approver.
- A level 3 user will only see payments that have been approved by a level-2 approver.

In a Basic workflow:

- A level 1 approver will only see payment batches and payments that have not been approved by anyone. Once the payments are approved, they are moved to the next step of the approval process if they are over the Level 1 Limit for payment approval.
- A level 2 user will only see payments that have been approved by a level-1 approver and are over the Level 1 Limit for full payment approval.
- A level 3 user will only see payments that have been approved by a level-2 approver and are over the Level 2 Limit for full payment approval.

In a Relaxed workflow:

- A level 1 approver will only see payment batches and payments that have not been approved by anyone and are under the Level 1 Limit for payments.
- A level 2 user will only see payments that are over the Level 1 Limit for payments and under the Level 2 Limit for payments.
- A level 3 user will only see payments that are over the Level 2 Limit for payments.
- Once all payments have gone through the approval process, they are moved to the next step.

In a Simplified workflow:

• An approver will see all payment batches and payments that have not yet been approved by the required number of approvers.

Approving/Rejecting Payments

To Approve Payments:

• Click the batch description in the left column to list all payments in the batch that need approval – as shown below.

SAMINC - Sample Company Inc.	Batch Information					
Batch 28 - January 15 - 2021 - Invoice Payme	Batch	Description		Dat	e	
 SAMLID - Sample Company Limited 	28	January 15 - 2021 - Invoic	e Payments	1/	/19/2021	
	Bank	Description		Currency		
	SEATAC	Seattle Tacoma Bank		U	SD	
	Entries	Total	Total Approved	1 Tota	al Not Approved	
	12	30,407.87	:	30,407.87	0.00	0
	Submitted By					
	Carla Rojas		Carla	Rojas@tairox.com	1	
	Payments					
	Payments					
	Payments	nent	Entry 1	Transaction Type	Vendor Number	Vendor / Payee Name
	Payments	nent	Entry 1 1 F	Transaction Type Payment	Vendor Number 1200	Vendor / Payee Name Chloride Systems
	Payments Comm	nent	Entry 1 1 F 2 F	Transaction Type ⁹ ayment ⁹ ayment	Vendor Number 1200 1450	Vendor / Payee Name Chloride Systems Intercontinental Electronic
	Payments Comm Comm	nent	Entry 1 1 F 2 F 3 F	Transaction Type ^D ayment ^D ayment ^D ayment	Vendor Number 1200 1450 1500	Vendor / Payee Name Chloride Systems Intercontinental Electronic Gould Manufacturing Ltd.
	Payments Comm	nent	Entry 1 1 F 2 F 3 F 4 F	Transaction Type ^D ayment Dayment Dayment Dayment	Vendor Number 1200 1450 1500 1580	Vendor / Payee Name Chloride Systems Intercontinental Electronic Gould Manufacturing Ltd. Grant Office Supplies
	Payments Comm Comm Comm Comm Comm Comm Comm Com	nent	Entry 1 1 F 2 F 3 F 4 F 5 F	Transaction Type Payment Payment Payment Payment Payment	Vendor Number 1200 1450 1500 1580 1750	Vendor / Payee Name Chloride Systems Intercontinental Electronik Gould Manufacturing Ltd. Grant Office Supplies Esser Engineering Ltd
	Payments Comm Comm Comm Comm Comm Comm Comm Com	nent	Entry 1 1 F 2 F 3 F 4 F 5 F 6 F	Fransaction Type Payment Payment Payment Payment Payment Payment	Vendor Number 1200 1450 1500 1580 1750 2150	Vendor / Payee Name Chloride Systems Intercontinental Electronic Gould Manufacturing Ltd. Grant Office Supplies Esser Engineering Ltd Marshall-Davidson Ltd.
	Payments Comm V V V V V V V V V V V	nent	Entry 1 1 F 2 F 3 F 4 F 5 F 6 F 7 F	Fransaction Type Dayment Dayment Dayment Dayment Dayment Dayment Dayment	Vendor Number 1200 1450 1500 1580 1750 2150 2800	Vendor / Payee Name Chloride Systems Intercontinental Electronic Gould Manufacturing Ltd. Grant Office Supplies Esser Engineering Ltd Marshall-Davidson Ltd. Modern Design Ltd.
	Payments Comm Comm S S S S S S S S S S S S S S S S S S	nent	Entry 1 1 F 2 F 3 F 4 F 5 F 6 F 7 F 8 F	Transaction Type Deyment Deyment Deyment Deyment Deyment Deyment Deyment Deyment	Vendor Number 1200 1450 1500 1580 1750 2150 2800 4540	Vendor / Payee Name Chloride Systems Intercontinental Electronic Gould Manufacturing Ltd. Grant Office Supplies Esser Engineering Ltd Marshall-Davidson Ltd. Modern Design Ltd. Leon Industries

Notice that payments are marked as "Approved" by default. This is an optional setting.

• Use the scroll bar to view additional payment information.

P	ayments								
	Vendor / Payee Name	Amount	Date	Reference	Document Number	Payment Code	Payment Code Description	Vendor Group	Ve
	Esser Engineering Ltd	1,728.22	1/19/2021		PY000000000000000000000000000000000000	. 18499	USD check Seattle Tacoma B	INV	*
L	Marshall-Davidson Ltd.	3,979.30	1/19/2021		PY000000000000000000000000000000000000	. 18499	USD check Seattle Tacoma B	INV	
	Modern Design Ltd.	2,160.68	1/19/2021		PY000000000000000000000000000000000000	. 18499	USD check Seattle Tacoma B	INV	
	Leon Industries	1,027.18	1/19/2021		PY000000000000000000000000000000000000	. 18499	USD check Seattle Tacoma B	INV	
	New Look Interiors of London	6,846.58	1/19/2021		PY000000000000000000000000000000000000	. 18499	USD check Seattle Tacoma B	INV	
	Koyo Precision Bearings	1,353.14	1/19/2021		PY0000000000000000064	. 18499	USD check Seattle Tacoma B	INV	
	Sentry Supplies	3,478.73	1/19/2021		PY00000000000000000000065	18499	USD check Seattle Tacoma B	INV	
	Quaker Bearings	10.75	1/19/2021		PY0000000000000000066	18499	USD check Seattle Tacoma B	INV	Ŧ
	4								F I

Payments

• Select a payment row to view the invoices being paid.

	Comment		Entry		Transactio	n Type	Vendor Number	Vendor / P
✓				1	Payment		1200	Chloride
✓			_ /	2	Payment		1450	Intercon
✓				3	Payment		1500	Gould M
✓				4	Payment		1580	Grant Of
~				5	Payment		1750	Esser Er
~				6	Payment		2150	Marshall
~			1	7	Payment		2800	Modern I
	Don't pay - invoi	ce is in dispute		8	Payment		4540	Leon Indi 🛪
cuments Pai	id	- /						•
Document Nur	nber	Document Type	PO Nu	imbe	er D	escription		Date
100-01		Invoice						5/1/202
N120111		Invoice			м	ay 2020 rec	eipt - 1200	5/5/202
N120121		Invoice			м	ay 2020 rec	eipt - 1200	5/10/20

Click the payment – such as in the Comment field – to view the invoices being paid.

• Deselect payments to reject them. You MUST add a comment if you reject a payment. (Reasons are required for all rejected payments.)

Payments					
	Comment	Entry	Transaction Type	Vendor Number	Vendor / Pa
✓		5	Payment	1750	Esser Er 🔺
✓		6	Payment	2150	Marshall
v		7	Payment	2800	Modern I
	Don't pay - invoice is in dispute	8	Payment	4540	Leon Ind
I		9	Payment	7300	New Loo
		10	Payment	7400	Koyo Pre
		11	Payment	7936	Sentry S
•		12	Payment	9230	Quaker E
4					• •

If you uncheck the "Approved" checkbox for a payment, then Save and click the Approve or Return button, the program will display the following message:

Please correct the following issue(s):	×	
You must enter a comment for each payment that has not been approved.		

You must also add a comment for each unapproved payment and click the Save button to continue.

- Click the Save button at the bottom of the form to save your edits.
 - You cannot save until you enter comments for all unapproved payments.
 - When you save your edits, the Approve and Return buttons will become active.

IN120131	Invoice	Jun 2020 receipt - 1200	6/23/20
IN120141	Invoice	Jun 2020 receipt - 1200	6/30/20
IN120151	Invoice		6/30/20 👻
•			۱.
		Refresh Save Approve	

- Once all edits are complete and saved, click the Approve button or the Return button.
 - The Approve button will move the payment batch to the next phase of the approval process.

If you are the final approver, the batch status will change to "Open" and unapproved payments will be deleted from the batch. Depending on the options chosen for your company, the deleted payments may be added to a new batch.

The approved payments can now be printed using the Extended Payment Batch List program.

• The Return button will return the batch to the previous phase of the process – or to the original batch submitter.

IN120141	Invoice	Jun 2020 receipt - 1200	6/30/20
IN120151	Invoice		6/30/20 -
		Refresh Save Approve	Return

If you click the Return button, then following dialog box will appear:

Return Batch		Return Batch
Return The Batch To		Return The Batch To
The Person Who Submitted The Batch For Approval	•	Level 1 Approvers
Comment		The Person Who Submitted The Batch For Approval
		Level 1 Approvers
OV	Cancel	OV Consel
UK	Cancer	OK Cancel

Use the dropdown to return the batch to the previous approval level or to the original batch submitter. Add comments to explain the reasons for returning the batch.

• Click the Return button to confirm.

Check Approval Option to Automatically Approve Payments Under a Threshold

SOX Check Approval includes an option to automatically set the payment status to "Approved" for payments under a particular threshold.

The following example shows how a payment batch will appear in the Approval Console if you choose to set default approval for payments below \$1,000.

Payments							
Comment	Entry	Transaction Type	Vendor Number	Vendor / Payee Name	Amount	Date	Reference
	1	Payment	1200	Chloride Systems	8,156.36	1/19/2021	-
	2	Payment	1450	Intercontinental Electronics	1,359.89	1/19/2021	
✓	3	Payment	1500	Gould Manufacturing Ltd.	95.42	1/19/2021	
	4	Payment	1580	Grant Office Supplies	211.62	1/19/2021	
	5	Payment	1750	Esser Engineering Ltd	1,728.22	1/19/2021	
	6	Payment	2150	Marshall-Davidson Ltd.	3,979.30	1/19/2021	
	7	Payment	2800	Modern Design Ltd.	2,160.68	1/19/2021	
	8	Payment	4540	Leon Industries	1,027.18	1/19/2021	-
4							•

Notice that the payments below the \$1,000 threshold default to "Approved" and the payments above the threshold require the approver to specifically select these payments.

You will not be able to save this batch until comments are provided for all payments that are <u>not</u> approved.

Basic and Relaxed Check Approval Options to Limit Approval Level Amounts

The Basic and Relaxed workflow options in SOX Check Approval let you limit the size of payments that can be fully approved at each level, and force larger payments to be approved at higher levels.

In the Basic workflow, all payments must be approved at lower levels, and larger payments must also be approved at higher levels.

In the Relaxed workflow, larger payments are not approved at the lower levels. Payments are only approved at the level that matches the payment amount.

For example, the following screens show a batch submitted where the level 1 approver can only approve payments up to \$1,000.00.

In this batch, the level 1 approver sees only three payments – all for amounts under 1,000.00.

F	ayments									
L	Z	Comment	Entry	Transaction Type	Vendor Number	Vendor / Payee Name	Amou	nt	Date	Referer
L	•		3	Payment	1500	Gould Manufacturing Ltd.		95.42	1/19/2021	
L	•		4	Payment	1580	Grant Office Supplies		211.62	1/19/2021	
L			12	Payment	9230	Quaker Bearings		10.75	1/19/2021	
L	4									÷

The level 2 approver sees all payments above \$1,000.00.

P	ayments								
	⊻	Comment	Entry	Transaction Type	Vendor Number	Vendor / Payee Name	Amount	Date	Reference
	✓		1	Payment	1200	Chloride Systems	8,15	5.36 1/19/2021	^
	✓		2	Payment	1450	Intercontinental Electronics	1,35	9.89 1/19/2021	
	✓		5	Payment	1750	Esser Engineering Ltd	1,72	3.22 1/19/2021	
	✓		6	Payment	2150	Marshall-Davidson Ltd.	3,97	9.30 1/19/2021	
	✓		7	Payment	2800	Modern Design Ltd.	2,16	0.68 1/19/2021	
	✓		8	Payment	4540	Leon Industries	1,02	7.18 1/19/2021	
	✓		9	Payment	7300	New Look Interiors of London	6,84	5.58 1/19/2021	
	I		10	Payment	7400	Koyo Precision Bearings	1,35	3.14 1/19/2021	-
Ľ	4								•

Emails Generated When You Approve a Payment Batch

If the payment batch is approved to the next level or next approver, an email will be sent to the next level of approvers (or to all approvers if you just have multiple approvers).

If all payments in the batch have been approved by the first approver, the email will be short – like this:

H			Ŷ	ψ											s	sc	נכ	Х	¢		0	C	1	h	1	e	.c	:k	: /	٩p	Þŀ	рі	ro	0	•	/	ā	3	1					N	1	e	ss	a	ıg	je		Η	IT	٦N	۸L	.)							Ŧ								[×	K	
File		Mes	sage	He	lp	Q		Te	ell	m	m	ne	e	• ۱	wł	ha	at	t	y	,	70	c	>	ı	IJ		N	Vā	an	۱t	to	0	0	d	lc	D																																									
			Tue 2	021-01	-19 10):48 AI	AM	M																																																																					
	Л		not	ifica	atio	ns(@	@1	ta	ai	iı	r	r	С)>	Κ.	.(С	2	(C)		r	1	Π	۱																																																	
			SOX	Chee	ck Ap	opro	ova	ova	al																																																																				
To m	orgai	n.tho	mas@t	airox.c	om																																																																							^	r.
Payı appı Orig 2 ap App	ment roval (inall oprov rove	t bate l by \ y sub /al us d by	ch 59 Vade omitte ser(s) Wade	- 'Che Wood d by requi	ecks n dsma Admi red. odsma	not Ap n. inistra an.	App	rato	or.		re	51		1	fc	or	r	E	3	6	9	9.	t	te	c	;	h	5	58	3'	f	0	or	r	•	1	s	òi	a	3	1	n	n	p	le	2	C	Co	or	m	ιp	ba	in	ıy	r L	.in	hit	e	ł' ł	185	; b	ee	٩	su	ıb	m	itt	e	d	fc	or	y	ol	ır			

If the payment batch has rejected payments, and the batch is passed to another level or is finally approved, the email includes an audit of deleted entries in the email body:

ਜ਼ 5 0 ↑ ↓ ਵ		SOX Check Approval	Message (HTML)	Ŧ			×
File Message Help	Q Tell me what yo	u want to do					
Wed 2021-01-13	3:55 PM						
notificati	ons@tairox.co	m					
SOV Check	Shible tan ox.co						
SOX Check P	pprovai						
lo morgan.thomas@tairox.com							^
Payment batch 61-'SYSTEM	GENERATED PAYMEN	IT BATCH' for 'Sample C	ompany Limited' has b	een approved	by Carla	a Rojas.	
Originally submitted by Adn	ninistrator.						
2 approval user(s) required.							
Approved by Don Fenske.							
Approved by Carla Rojas.							
Checks not approved for ba	tch 61 put in batch 63	3.					
Not Approved By: Carla Roja	35						
Comment: Invoice is in disp	Jte						
Transaction Type: Payment							
Vendor Number: 3050							
Vendor/Payee Name: M & F	Sales Ltd.						
Check Amount: 4,118.33							
Payment Date: 2021-01-13							
Reference:							

Returning Batches

When an approver returns a batch, they can choose to return it to an earlier approver level (if there are multiple levels of approvals) or to the original submitting Sage 300 user.

eturn Batch				
Return The Batch To				
Level 1 Approvers				•
The Person Who Sub	mitted The B	atch For Approva	al	
Level 1 Approvers				
				-//
		ОК	Cance	

If the batch is returned to the original Sage 300 batch submitter, the batch status will be set back to Open.

The original submitter can then edit the batch and resubmit it for approval.

Using the Submit Batch Program to Submit Payments for Approval

SOX Check Approval provides two ways to submit Payment Batches for approval:

- Using the SOX Check Approval "Submit Batch" program.
- Using a Submit button on the A/P Payment Batch List screen.

To submit a batch for approval using the Submit Batch program:

• Open SOX Check Approval > Approvers > Submit Batch.

sag	je 300		a	Session Date: Feb 23,	2021 Administrator	Sample Company Ltd.	Q Search	Pelp Settings	7 Tools
â	Approvers : Appr	oval Console Audit Report	Submit Batch						4
Ē∳	Submit Batcl	h						Options 🏠	
*2	Batch *	Batch Description			Date			* Required	
ô	0 4	Q			M/d/yyyy				à
Î	Entries	Total Amount	Last Edited	Printed					L
<u> </u>	0	0.00	M/d/yyyy						- 1
	Туре	Status		Source Application					- 1
-									- 1
-	Bank	Bank Description		Bank Currency					- 1
-				CAD					- 1
E	Submitter Email								- 1
B	morgan.thomas@t	airox.com							
*								Submit	
								Oublin	
Ø									

• Use the Finder to select the payment batch that you want to submit. The program will display information regarding the batch.

- Check the batch information and check that the submitter email is correct. (The program defaults the email address to the last one you used.)
- Click the Submit button to submit the payment batch for approval.

You can check the status of submitted batch on the A/P Payment Batch List. See <u>Viewing the</u> <u>Approval Status of Payments in a Batch</u>.

Using the A/P Payment Batch List to Submit Payments for Approval

When you install SOX Check Approval Web Screens, the installation process adds a new button to the bottom of the A/P Payment Batch List form -- along with the functionality to submit payment batches for approval and check the current approval status of payments.

To submit a batch for approval using the A/P Payment Batch List screen:

- Open Accounts Payable > A/P Transactions > Payment Batch list.
- Highlight the batch that you want to submit for approval, and click the "Submit" button at the bottom of the screen.

Note: You can also submit payment batches for approval using **SOX Check Approval > Approvers > Submit Batch**. See the preceding section, above.

atch Number	t Batch List				
	66 ← Q	Show Posted and Deleted Batches			
III Edit Columns					
Batch Number	Batch Date	Batch Description	Number of Entries	Total Amount	Ready To Post
6	6 2/8/2021	January 31 Payments	8	1,500.000	No
6	5 1/19/2021	Payments not Approved for Batch 64	1	17,178.460	No
6	64 1/19/2021	Jan 15 Invoice payments - SAMLTD	6	130,528.620	No
6	3 1/13/2021	Resubmitted Payments from Dec 31 batch (61)	1	4,118.330	
6	2 1/13/2021	Resubmitted Unapproved Payments for Batch 60	1	791.000	
6	61 1/13/2021	SYSTEM GENERATED PAYMENT BATCH	7	2,136,852.130	
6	0 1/13/2021	November 31 Payments	32	11,638.000	No
5	9 12/28/2020	Checks not Approved for Batch 58	1	257,010.780	
5	8 12/28/2020	November 15 Payments	51	180,550.260	No
					۱.
	1 of 7 🕨			1 - 10	of 66 items 🛛 🖒

In this above example, batch 66 is highlighted, and the button lets you submit the payment batch for approval.

The "Submit" button submits batches and lets you view payment batch approval status:

The button text for the "Submit" button changes to "In Progress" for submitted batches, to let you see the approval status of all submitted payment batches and payments.

• Submit – means that the batch is open and has not yet been submitted for approval.

Create New Open Print Delete Post All Post

Submit

To submit the batch for approval, highlight the batch that you want to submit, and click the Submit button.

The program will display a message asking you to confirm the batch submission, and enter / confirm the email address. The program defaults to the last address entered.

Confirmation	×
Submitter Email	
administrator@tairox.com	
Are you sure you want to submit batch 56 for approval?	
No	

Click Yes to confirm batch submission – and to confirm your email address.

The program will:

- Submit the batch and change the button text to "In Progress" when you highlight the submitted batch.
- Change the batch status from "Open" to "Check Creation in Progress".
- Send notification emails to first approvers listed in SOX Check Approval Setup.
- Change system generated payment batches to type "Generated" if the option was selected in Check Approval Setup.
- Email you when the batch is *approved* (depending on SOX Check Approval settings).
- In Progress means that the highlighted batch has been submitted, but has not yet been approved.

In Progress	Create New	Open	Print	Post All	Post	

Click the In Progress button to view the approval status details of all payments in a popup window. See <u>Viewing the Approval Status of Payments in a Batch</u> (below).

 Approved – means that the batch has completed the approval process. (Note that some payments may have been rejected.)

Approved	Create New	Open	Print	Delete	Post All	Post	
----------	------------	------	-------	--------	----------	------	--

Click the In Approved button to view the approval status details.

• Not Submitted – the disabled button means that the batch has not been – and cannot be – submitted. For example, the batch might have been deleted or might predate the Check Approval system.

Print

Viewing the Approval Status of Payments in a Batch

Open

Create New

To view batch approval status using the A/P Payment Batch List program:

- Open Accounts Payable > A/P Transactions > Payment Batch list.
- Highlight a *submitted batch*. The "Submit" button text will change to "In Progress."
- Click the "In Progress" button to display the status of payments in the batch.

In Progress Create New Open Print Delete Post All Post

Note that the button text changes depending on the batch's stage in the approval process – see <u>The "Submit" button ...</u>; above.

Sample status screens

The following approval status screen shows that Batch 63 (highlighted in the A/P Batch List) has completed the approval process.

• All three levels show an approver – Keith, Samantha, and Daniel.

If only two levels of approval were competed, you would see only two approves on the form, and the first payment heading on the form would be --- **Pending Approval** --- instead of --- **Approved** ---.

• Six payments have been approved, and two payments were rejected.

Depending on your system settings, the rejected might – or might not – be placed in a new payment batch.

sag	ge 300			Session Date:	Feb 10, 202	21 Keith	Wilson 🔻 Sam	ple Company Limited	Q ?	D Settings T	¢ ≜	
â	A/P Transactions : I	Invoice Batch List In	nvoice Entry Payment Batch List Pa	ayment Entry Payment Inquiry More	Ŧ						9	
Ēŧ	A/P Payment E	Batch List		[SOX Ch	eck Appro	val - Batch 63					×
*2	Batch Number											
ô		63 ↔ Q	Show Posted and Deleted Ba	atches	Level			Approved By				
盦	III Edit Columns				2			SAM				
_		0.11.0.1	B. L.L. Browningford		3			DON				
	Batch Number	Batch Date	Batch Description	Number of Entries Total Amou								
	62	2/9/2021	Payments -January 31 2021	20 7	Appr	oved						
8	61	11/23/2020	Payments -January 15 2021	21 25	Entry	Date	Vendor Num	ber Vendor / Payee	Name	Amount	Entered By	Comment
	60	11/23/2020	Payments - December 31 2020	20	1	9/22/2020	1200	Chloride System	15	8,2	64.61 DAN	_
	59	11/23/2020	Payments - December 15 2020	50	2	9/22/2020	1450	Intercontinental Grant Office Sur	Electronics	32,4	114.64 DAN	
	58	7/6/2020	Payments - November 30 2020	23	5	9/22/2020	1750	Esser Engineeri	ng Ltd	2	66.84 DAN	_
Ħ	57	7/6/2020	Payments - November 15 2020	31	6	9/22/2020	2150	Marshall-Davids	ion Ltd.	806,8	25.94 DAN	
	56	7/6/2020	Payments - October 31 2020	22	8	9/22/2020	6010	Seattle Tacoma	Bank	13,9	07.76 DAN	
×	55	7/31/2020	July 2020, Corporate Payments	35								
*8	54	7/12/2020	Cash invoice	1	Not A	pproved						
*	4		_ /		Entry	Date	Vendor Number	Vendor / Payee Name	Amount	Entered By	Comment	
	Page	1 of 7 🕨	м		3	9/22/2020	1500	Gould Manufacturing Ltd.	150,624.25	DAN	Pricing in dispute - plea	ise hold
2			(7	9/22/2020	3050	M & P Sales Ltd.	4,118.33	DAN	Hold payment - damag	ed goods on invoice
al				In Progress Cr								×

Let's look at a few more examples of partially and fully-approved payment batches.

Approved by 1 approver – where payments require 3 approvers in any order

Submitted By: Carla Simpson									
implifi	ed: Payment	s must be approv	ed by a number of users						
Level			Approved By						
1			DON						
2									
3									
Appr	oval Pendin	g							
- Appr Entry	oval Pendin Date	g Vendor Number	Vendor / Payee Name	Атои	nt Entere	d By Comment			
- Appr Entry 1	Date 9/22/2020 9/22/2020	g Vendor Number 1200 1450	Vendor / Payee Name Chloride Systems	Amou 8,26	nt Entere 4.61 DAN	ed By Comment			
- Appr Entry 1 2 3	Date 9/22/2020 9/22/2020 9/22/2020	g Vendor Number 1200 1450 1580	Vendor / Payee Name Chloride Systems Intercontinental Electroni Grant Office Supplies	Amou 8,26 cs 32,41 74	nt Entere 4.61 DAN 4.64 DAN 4.65 DAN	d By Comment			
- Appr Entry 1 2 3 4	Date 9/22/2020 9/22/2020 9/22/2020 9/22/2020	g Vendor Number 1200 1450 1580 1750	Vendor / Payee Name Chloride Systems Intercontinental Electroni Grant Office Supplies Esser Engineering Ltd	Amou 8,26 cs 32,41 74 26	nt Entere 4.61 DAN 4.64 DAN 4.65 DAN 6.84 DAN	d By Comment			
Appr Entry 1 2 3 4 5	Date 9/22/2020 9/22/2020 9/22/2020 9/22/2020 9/22/2020 9/22/2020 9/22/2020 9/22/2020	g 200 1450 1580 1750 6010	Vendor / Payee Name Chloride Systems Intercontinental Electroni Grant Office Supplies Esser Engineering Ltd Seattle Tacoma Bank	Amou 8,26 cs 32,41 74 26 13,90	Entere 4.61 DAN 4.64 DAN 4.65 DAN 6.84 DAN 7.76 DAN	d By Comment			
- Appr Entry 1 2 3 4 5 - Not A	Date 9/22/2020 9/22/2020 9/22/2020 9/22/2020 9/22/2020 9/22/2020	Vendor Number 1200 1450 1580 1750 6010	Vendor / Payee Name Chloride Systems Intercontinental Electroni Grant Office Supplies Esser Engineering Ltd Seattle Tacoma Bank	Amou 8,26 cs 32,41 74 26 13,90	nt Entered 4.61 DAN 4.64 DAN 4.65 DAN 6.84 DAN 7.76 DAN	d By Comment			

- 5 payments have been approved, and one has been rejected.
- Approval is still pending because the payment needs two more approvers.
- Don rejected 1 payment, and the remaining payments will move on to the next approver.

Approved by 2 approvers – where payments require up to 3 approval levels – depending on the payment amounts

In this "Relaxed" workflow example, payments under \$5,000 can be approved by the level 1 approver. The level 2 approver can approve payments up to 50,000, and the level 3 approver approves payments over \$50,000.

contractor.		above level limits i	nust be approved at h	inher levels	7		
Level	ay.menta	above level minits i	Approved By	igner levels	_		
1		\rightarrow	*				
2			SAM				
3							
1	9/22/2020	1200	Chloride Systems	anc	8,264.61	DAN	Comment
1	9/22/2020	1200	Chloride Systems		8,264.61	DAN	
2	9/22/2020	1450	Intercontinental Ele	ctronics	32,414.64	DAN	
		2150	Marshall-Davidson	Ltd.	806,825.94	DAN	
4	9/22/2020						
4 5	9/22/2020 9/22/2020	6010	Seattle Tacoma Ba	nk	13,907.76	DAN	
4	9/22/2020 9/22/2020	6010	Seattle Tacoma Ba	nk	13,907.76	DAN	
4 5 - Not A	9/22/2020 9/22/2020 pproved	6010	Seattle Tacoma Ba	nk	13,907.76	DAN	

- The asterisk (*) in the Approved By column shows that there were no payments in the batch that matched the level 1 approval limits. (The batch went directly to second level approval because all payments were over \$5,000.)
- The level 2 approver rejected 1 payment and because their limit was \$50,000, they did not see the payment for \$806,825 in the Approval Console.
- The level 3 approver will only see the one large payment for Marshall-Davidson, because that is the only payment that requires level 3 approval.

All payments approved by 1 approver – where the approver level depends on the payment amounts

Here is another "Relaxed" workflow example.

In this case, all payments in the batch matched the approval range for the level 2 approver – between \$5,000 and \$50,000.

• An asterisk appears for level 1 and level 3, because these approvers were not required to approve the payment batch.

The amounts were above the limit for level 1, and below the threshold required for level 3.

Submitted By: Carla Simpson									
Relaxed: Payments above level limits must be approved at higher levels									
Level			Approved By						
1			*						
2			SAM						
3	3								
Appr Entry	oved Date	Vendor Number	Vendor / Payee Name	Amount	Entered By	Comment			
Appr Entry 1	oved Date 9/22/2020	Vendor Number 1200	Vendor / Payee Name Chloride Systems	Amount 8,264.61	Entered By DAN	Comment			
Appr Entry 1 2	oved Date 9/22/2020 9/22/2020	Vendor Number 1200 1450	Vendor / Payee Name Chloride Systems Intercontinental Electronics	Amount 8,264.61 32,414.64	Entered By DAN DAN	Comment			
Appr Entry 1 2 3	Oved Date 9/22/2020 9/22/2020 9/22/2020	Vendor Number 1200 1450 1580	Vendor / Payee Name Chloride Systems Intercontinental Electronics Grant Office Supplies	Amount 8,264.61 32,414.64 23,641.50	Entered By DAN DAN DAN	Comment			
Appr Entry 1 2 3 4	Date 9/22/2020 9/22/2020 9/22/2020 9/22/2020 9/22/2020	Vendor Number 1200 1450 1580 2150	Vendor / Payee Name Chloride Systems Intercontinental Electronics Grant Office Supplies Marshall-Davidson Ltd.	Amount 8,264.61 32,414.64 23,641.50 16,972.20	Entered By DAN DAN DAN DAN	Comment			

Viewing the SOX Check Approval Audit Report

The SOX Check Approval Audit Report provides an audit trail for the approval of Sage 300 payment batches that pass through the Check Approval process. The audit report trail includes the status of batches, names of payment approvers, and, optionally, the details of each payment approval.

The report generates a PDF file, and has a number of options to determine its content.

Note: Users will not see the Audit Report menu choice unless they are granted Audit Report security rights in Sage 300 and can also view A/P payment batches (using Payment Batch Inquiry, Payment Batch Entry, or Payment Batch Posting).

To generate the Check Approval Audit Report:

Select SOX Check Approval > Approvers > Audit Report from the Sage 300cloud desktop.

sag	ge 300		Session Date: Ja	an 25, 2021 🛛 🛛	Don Fenske 🔻	Sample Company Ltd.	Q Search	?	tings 1	7 Tools
â	Home	Approvers >	Approval Console							4
Ē₽	Accounts Payable	Setup	Audit Report					Option	is 🗘	
壇	Accounts Receivable		Submit Batch	_	То					
ô	Administrative Services			Q	999999999			Q		à
<u>ش</u>	Bank Services		-		M/d/yyyy			:::		J
Ê	Common Services									
	General Ledger		,	ved						- 1
8	Inventory Control									
-	Multiple Contacts									
٨	Order Entry									- 1
⊞	Purchase Orders									
%	Tax Services									
	SOX Check Approval							Pr	int	
	TaiRox Productivity Tools									

	From			То	
Batch Number	1		Q	999999999	Q
Batch Date	1/1/2021		:::	1/26/2021	
/pe		Status			
Entered		 Open 			
Imported		 Open And Approved 			
 Generated 		Ready To Post			
 System 		Posted			
 External 		In Progress			
eport Type		Detail Report Options			
Summary		 Show Approved 			
Detail		 Show Not Approved 			

The SOX Check Approval Audit Report selection screen appears below:

Choose options for generating the report.

• Use the From and To **Batch Number** fields to specify the maximum range of batch numbers to include in the report.

The default range includes all batches from the beginning of the current fiscal year to the session date.

- Use the From and To **Batch Date** fields to specify the maximum range of batch creation dates. By default, the program displays a date range from the beginning of the month.
- Select the types of batches that you want to include:

Entered – batches added manually in Sage 300 Accounts Payable using the A/P Payment Entry program.

Imported – batches transferred to Sage 300 Accounts Payable using the Options > Import command on the A/P Payment Entry Web screen (or using the A/P Payment Entry > File > Import command on the A/P Payment Entry screen on the Sage 300 Windows Desktop).

sag	je 300	Sessio	n Date: Feb	17, 2021	Administra	ator 🝷	Sample Company Limited	Q Search	?	Settings	Ť Tools
â	A/P Transactions : Invoice Batch List Invoice Entry Payment Batch List Payment Entry	Payment Inquiry	More 🔻								<i>Ť</i>
Ēr	A/P Payment Entry			Q	ptions 🔅	• 0	Create New Entry	Create	New Bate	:h	5
43			Impo	rt					• Red	quired	
ô	Batch Number		Expo Custo	rt omize							a
Î	Batch Date Bank Currency		lext	Size	•					0	1
	2/17/2021 CCB 4 Q CAD	↓ Q]	Total Am	ount				0.	00	

These batches could be created by Sage 300 Accounts Payable at another location, or by a non-Sage 300 program. They could also be recurring batches that you created in your own Accounts Payable ledger, and then exported for later use.

Generated – batches created in Accounts Payable, such as transactions that were not approved previously or that were rejected during posting.

System – batches created using A/P's Create Payment Batch program.

External – batches created by other Sage 300 programs.

• Select the statuses of batches that you want to include on the report.

Open – batches that have not yet been submitted for approval.

Open and Approved – batches that have gone through the approval process.

Batches that have been approved by SOX Check Approval are marked as Open until the checks are printed and payments are posted.

Ready To Post – completed batches that have been marked Ready To Post.

Posted – batches that have been posted.

In Progress – batches that have been submitted for approval but have not yet finished the approval process.

• Select the report type – either Summary or Detail.

Summary – lists batch information only, along with the batch approvers.

Detail – lets you also list all approved and all rejected payments.

Sample Check Approval Report

latch Number Jatch Date ype Itatus Leport Type show Approved show Not Approv	[61] t [1/1/2 [Ente [Ope [Deta [Yes] ved [Yes]	o [999999999] 1021] to [1/26/2021] red, Imported, Genera n, Open And Approved il]	ated, System, Extern d, Ready To Post, In	nal] n Progress]							
Batch Descrip	tion		Date T	vpe	Status	Bank	Currency	Approval S	itatus !	Submitted By	
61 SYSTE	M GENERAT	ED PAYMENT BATCH	H 1/13/2021 G	ienerated	Open	SEATAC	USD	Not Submit	ted		
62 Resubr	nitted Unappr	oved Payments for Ba	1/13/2021 G	enerated	In Progress	CCB	CAD	Approval P	endina (Carla Rojas	
Simplifi	ed: Payments	must be approved by	a number of users							* *	
Level	Approved	By									
1											
2											
Appr	oval Pending										
Entry	Date	Vendor Number	Vendor / Payee N	ame				Amount	Entered By	Comment	
1	1/13/2021	8950	Vulcan & Sons					791.00	ADMIN		
								791.00			
63 Resubr	nitted Payme	nts from Dec 31 batch	1/13/2021 G	ienerated	In Progress	SEATAC	USD	Approval P	ending (Carla Rojas	
					-						
Simplifi	ed: Payments	must be approved by	a number of users		-						
Simplifi Level	ed: Payments Approved	s must be approved by I Βγ	a number of users		-						
Simplifi <u>Level</u> 1	ed: Payments <u>Approvec</u> Carla Roj	i must be approved by I By as	a number of users		-						
Simplifi Level 1 2	ed: Payments <u>Approvec</u> Carla Roj	s must be approved by I By as	a number of users		-						
Simplifi Level 1 2 Appr	ed: Payments <u>Approvec</u> Carla Roj	i must be approved by I By as	a number of users		-				_		
Simplifi Level 1 2 Appr Entry	ed: Payments <u>Approvec</u> Carla Roj oval Pending Date	i must be approved by I Bγ as <u>Vendor Number</u>	Vendor / Payee N	lame				Amount	Entered By	Comment	
Simplifi Level 1 2 Appr Entry 1	ed: Payments <u>Approvec</u> Carla Roj oval Pending <u>Date</u> 1/13/2021	: must be approved by I By as <u>Vendor Number</u> 3050	Vendor / Payee N M & P Sales Ltd.	ame				Amount 4,118.33	Entered By ADMIN	Comment	
Simplifi Level 1 2 Appr Entry 1	ed: Payments <u>Approvec</u> Carla Roj oval Pending <u>Date</u> 1/13/2021	: must be approved by 1 By as 	Vendor / Payee N	lame				Amount 4,118.33 4,118.33	Entered By ADMIN	/ Comment	
Simplifi Level 1 2 Appr <u>Entry</u> 1 64 Jan 15	ed: Payments Approved Carla Roj oval Pending Date 1/13/2021 Invoice paym	: must be approved by I By as 	Vendor / Payee N M & P Sales Ltd. 1/19/2021 G	lame Generated	Open	ссв		Amount 4,118.33 4,118.33 Approved	<u>Entered By</u> ADMIN	r_Comment	
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Simplifi Level 2 Appr <u>Entry</u> 1 64 Jan 15 Relaxe Level 1	ed: Payments Approves Carla Roj Date 1/13/2021 Invoice paym d: Payments a Approves Carla Roj	must be approved by By 	Vendor / Payee N M & P Sales Ltd. 1/19/2021 G t be approved at hig	iame ienerated her levels	Open	ССВ	CAD	Amount 4,118.33 4,118.33 Approved	Entered By ADMIN	r_ <u>Comment</u> Administrator	
Simplifi Level 1 2 Appr <u>Entry</u> 1 64 Jan 15 Relaxe Level 1 2 Accession	ed: Payments <u>Approves</u> Carla Roj voval Pending <u>Date</u> 1/13/2021 Invoice paym d: Payments a <u>Approves</u> Carla Roj Don Fens	must be approved by I By as <u>Vendor Number</u> 3050 ents - SAMLTD above level limits must By as ke	Vendor / Payee N M & P Sales Ltd. 1/19/2021 G t be approved at hig	lame Generated her levels	Open	ССВ	CAD	Amount 4.118.33 4.118.33 Approved	<u>Entered By</u> ADMIN	r_ Comment Administrator	
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Viewing SOX Check Approval License Information

To view license information for SOX Check Approval:

• Select SOX Check Approval > Setup > License Information from the Sage 300 menu.

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	General Ledger	2021.1 Build 7696 created on 2021-01-26
8	Inventory Control	Client Information
-	Multiple Contacts	Client Name
e	Order Entry	
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2	Tax Services	
2	SOX Check Approval	License Information
2	TaiRox Productivity Tools	100033-99999-20210916-92066162591648579594095919240959

The License Information screen includes program version information, as well as your client name, client ID, and the program expiration date.

Audit Report Browser Settings

SOX Check Approval generates an audit report in PDF format that needs to be <u>downloaded</u> to some browsers in order to be viewed.

If you do not set the browser to download PDFs, the following error might appear:



PDF download settings in Microsoft Edge

- Choose Settings from the Edge menu.
- Select Cookies and Site Permission.
- Scroll down and select "PDF Documents".
- Turn on "Always open PDF files externally.



PDF download settings in Google Chrome

- Choose Settings from the Edge menu.
- Select Privacy and security.
- Scroll down and select "Site Settings".
- Scroll down and expand "Additional content settings".
- Select "PDF documents".
- Turn on "Download PDF files instead of automatically opening them in Chrome".

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