



# SOX Check Approval Web Screens

## User Guide

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# SOX Check Approval System Overview

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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:

- [Approving/Rejecting Payments](#)
- [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

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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 must be added to Sage 300 as users, and must be identified as approvers in the SOX Check Approval Setup program.

- 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.

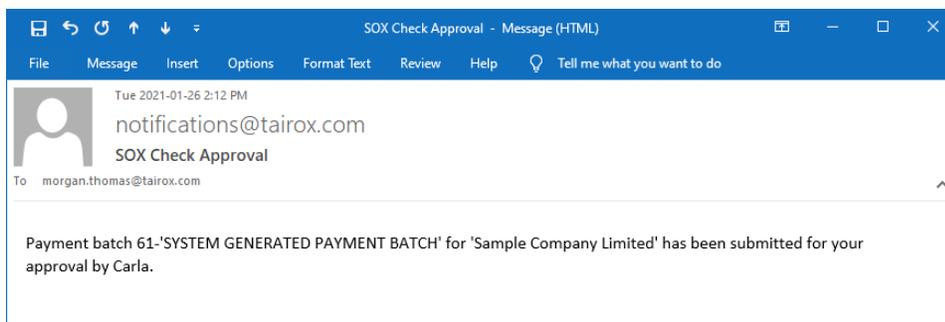
- Once payments have been reviewed, approvers click the Approve button or the Return button to move the payment batch to the next phase of the approval process or return it to the previous phase.
  - Approvers at the next level will get an email stating that the batch needs approval.
  - If you use the 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.

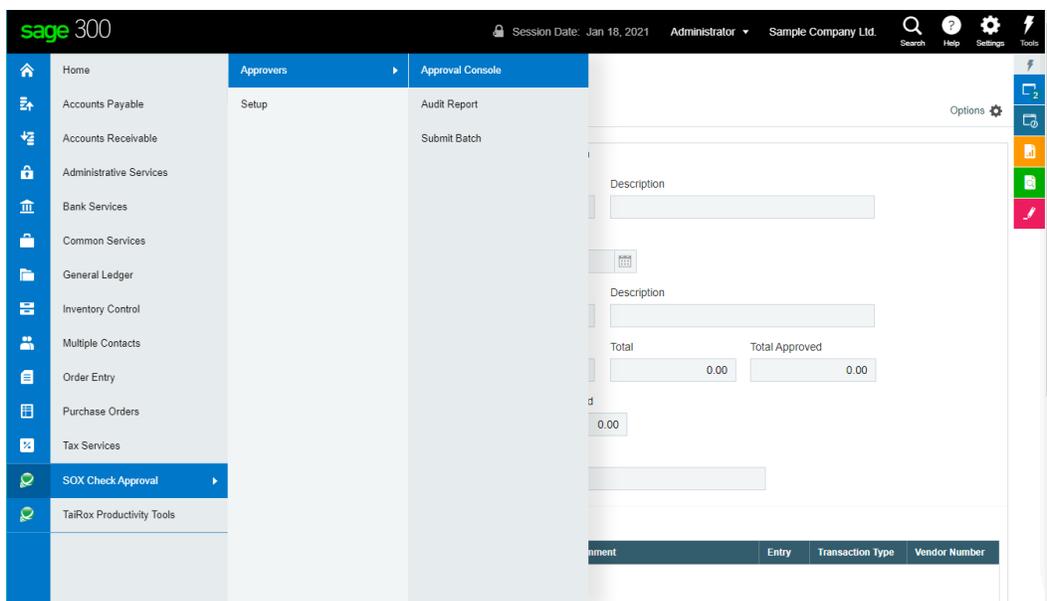
For example, the following message shows that “Carla” submitted payment batch 61 for Sample Company Ltd. for approval.

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.



### To start SOX Check Approval:

- Start Sage 300cloud in a Web browser:

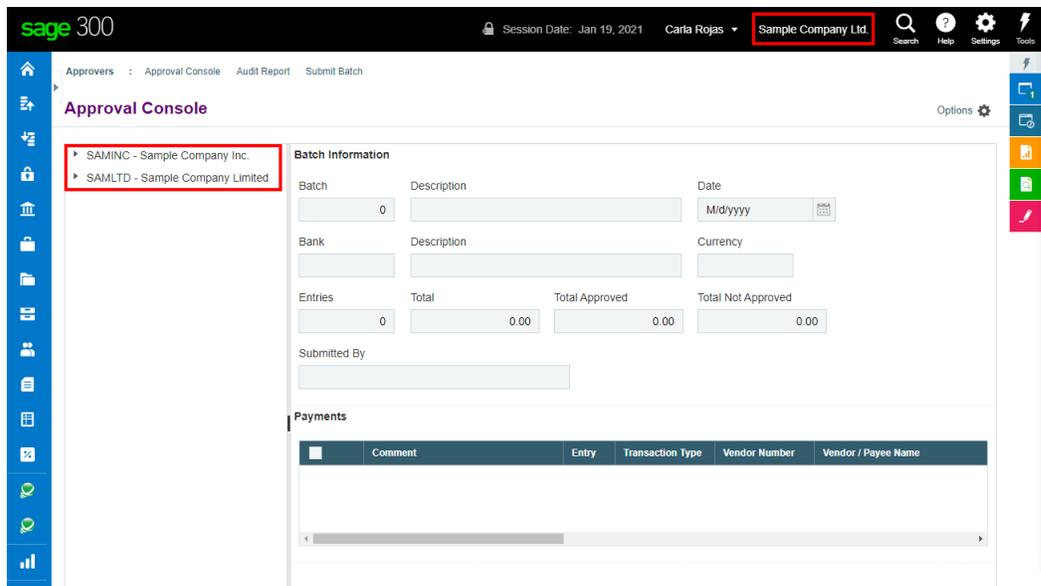
## To open the Approval Console and Approve Payments:

- 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:



### Note the following points:

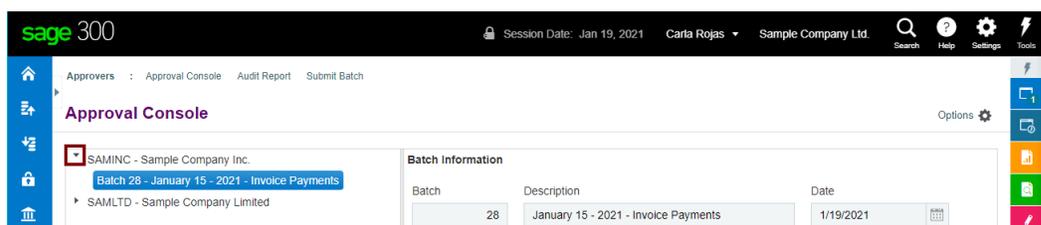
- The Approval Console displays *all companies* with submitted payment batches that require approval **and for which you are an approver**.

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



- 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.

The screenshot displays the Sage 300 SOX Check Approval web interface. The main content area is titled "Approval Console" and shows a tree view of companies and batches. The selected batch is "Batch 28 - January 15 - 2021 - Invoice Payments" under "SAMLTD - Sample Company Limited". The "Batch Information" section shows details for this batch, including the description, date, bank (SEATAC), and currency (USD). A summary table shows 12 entries with a total of 30,407.87, all of which are approved. Below this, a "Payments" table lists 8 individual payment entries with their respective vendor numbers and names. At the bottom, a "Documents Paid" table shows one document: an invoice with document number 100-01, dated 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.**

The screenshot shows a web interface for payment approval. On the left, a tree view shows the hierarchy: SAMINC - Sample Company Inc. > Batch 28 - January 15 - 2021 - Invoice Payments > SAMLTD - Sample Company Limited. The main area is titled 'Batch Information' and contains the following details:

- Batch:** 28
- Description:** January 15 - 2021 - Invoice Payments
- Date:** 1/19/2021
- Bank:** SEATAC
- Description:** Seattle Tacoma Bank
- Currency:** USD
- Entries:** 12
- Total:** 30,407.87
- Total Approved:** 30,407.87
- Total Not Approved:** 0.00
- Submitted By:** Caria Rojas (Email: Caria.Rojas@talrox.com)

Below the batch information is a 'Payments' table with the following columns: , Comment, Entry, Transaction Type, Vendor Number, Vendor / Payee Name. The table lists 8 payments, all of which are checked by default.

<input checked="" type="checkbox"/>	Comment	Entry	Transaction Type	Vendor Number	Vendor / Payee Name
<input checked="" type="checkbox"/>		1	Payment	1200	Chloride Systems
<input checked="" type="checkbox"/>		2	Payment	1450	Intercontinental Electronic
<input checked="" type="checkbox"/>		3	Payment	1500	Gould Manufacturing Ltd.
<input checked="" type="checkbox"/>		4	Payment	1580	Grant Office Supplies
<input checked="" type="checkbox"/>		5	Payment	1750	Esser Engineering Ltd
<input checked="" type="checkbox"/>		6	Payment	2150	Marshall-Davidson Ltd.
<input checked="" type="checkbox"/>		7	Payment	2800	Modern Design Ltd.
<input checked="" type="checkbox"/>		8	Payment	4540	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.**

Payments

Vendor / Payee Name	Amount	Date	Reference	Document Number	Payment Code	Payment Code Description	Vendor Group
Esser Engineering Ltd	1,728.22	1/19/2021		PY00000000000000000059	18499	USD check Seattle Tacoma B...	INV
Marshall-Davidson Ltd.	3,979.30	1/19/2021		PY00000000000000000060	18499	USD check Seattle Tacoma B...	INV
Modern Design Ltd.	2,160.68	1/19/2021		PY00000000000000000061	18499	USD check Seattle Tacoma B...	INV
Leon Industries	1,027.18	1/19/2021		PY00000000000000000062	18499	USD check Seattle Tacoma B...	INV
New Look Interiors of London	6,846.58	1/19/2021		PY00000000000000000063	18499	USD check Seattle Tacoma B...	INV
Koyo Precision Bearings	1,353.14	1/19/2021		PY00000000000000000064	18499	USD check Seattle Tacoma B...	INV
Sentry Supplies	3,478.73	1/19/2021		PY00000000000000000065	18499	USD check Seattle Tacoma B...	INV
Quaker Bearings	10.75	1/19/2021		PY00000000000000000066	18499	USD check Seattle Tacoma B...	INV

- **Select a payment row to view the invoices being paid.**

Payments

<input type="checkbox"/>	Comment	Entry	Transaction Type	Vendor Number	Vendor / Pa
<input checked="" type="checkbox"/>		1	Payment	1200	Chloride
<input checked="" type="checkbox"/>		2	Payment	1450	Intercom
<input checked="" type="checkbox"/>		3	Payment	1500	Gould M
<input checked="" type="checkbox"/>		4	Payment	1580	Grant Of
<input checked="" type="checkbox"/>		5	Payment	1750	Esser Er
<input checked="" type="checkbox"/>		6	Payment	2150	Marshall
<input checked="" type="checkbox"/>		7	Payment	2800	Modern I
<input type="checkbox"/>	Don't pay - invoice is in dispute	8	Payment	4540	Leon Ind

Documents Paid

Document Number	Document Type	PO Number	Description	Date
100-01	Invoice			5/1/202
IN120111	Invoice		May 2020 receipt - 1200	5/5/202
IN120121	Invoice		May 2020 receipt - 1200	5/10/20
IN120131	Invoice		Jun 2020 receipt - 1200	6/23/20

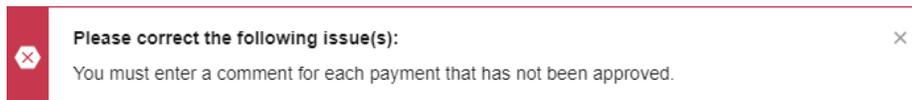
Click the payment – such as in the Comment field – to view the invoices being paid.

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

Payments

<input type="checkbox"/>	Comment	Entry	Transaction Type	Vendor Number	Vendor / Pa
<input checked="" type="checkbox"/>		5	Payment	1750	Esser Er
<input checked="" type="checkbox"/>		6	Payment	2150	Marshall
<input checked="" type="checkbox"/>		7	Payment	2800	Modern I
<input type="checkbox"/>	Don't pay - invoice is in dispute	8	Payment	4540	Leon Ind
<input checked="" type="checkbox"/>		9	Payment	7300	New Loo
<input checked="" type="checkbox"/>		10	Payment	7400	Koyo Pri
<input checked="" type="checkbox"/>		11	Payment	7936	Sentry S
<input checked="" type="checkbox"/>		12	Payment	9230	Quaker I

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:



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

Refresh Save Approve Return

- **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 The Batch To

The Person Who Submitted The Batch For Approval

Comment

OK Cancel

**Return Batch**

Return The Batch To

Level 1 Approvers

The Person Who Submitted The Batch For Approval

Level 1 Approvers

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.

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

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 not 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.

Payments								
<input checked="" type="checkbox"/>	Comment	Entry	Transaction Type	Vendor Number	Vendor / Payee Name	Amount	Date	Referenc
<input checked="" type="checkbox"/>		3	Payment	1500	Gould Manufacturing Ltd.	95.42	1/19/2021	
<input checked="" type="checkbox"/>		4	Payment	1580	Grant Office Supplies	211.62	1/19/2021	
<input checked="" type="checkbox"/>		12	Payment	9230	Quaker Bearings	10.75	1/19/2021	

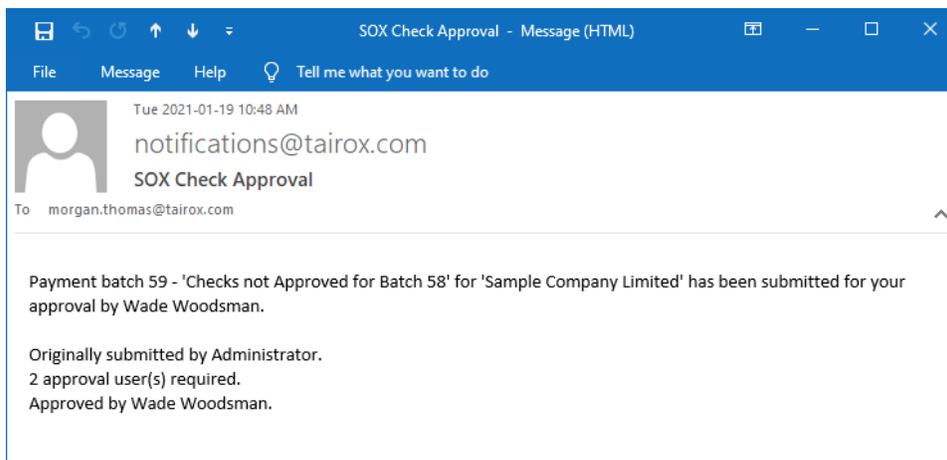
The level 2 approver sees all payments above \$1,000.00.

Payments								
<input checked="" type="checkbox"/>	Comment	Entry	Transaction Type	Vendor Number	Vendor / Payee Name	Amount	Date	Referenc
<input checked="" type="checkbox"/>		1	Payment	1200	Chloride Systems	8,156.36	1/19/2021	
<input checked="" type="checkbox"/>		2	Payment	1450	Intercontinental Electronics	1,359.89	1/19/2021	
<input checked="" type="checkbox"/>		5	Payment	1750	Esser Engineering Ltd	1,728.22	1/19/2021	
<input checked="" type="checkbox"/>		6	Payment	2150	Marshall-Davidson Ltd.	3,979.30	1/19/2021	
<input checked="" type="checkbox"/>		7	Payment	2800	Modern Design Ltd.	2,160.68	1/19/2021	
<input checked="" type="checkbox"/>		8	Payment	4540	Leon Industries	1,027.18	1/19/2021	
<input checked="" type="checkbox"/>		9	Payment	7300	New Look Interiors of London	6,846.58	1/19/2021	
<input checked="" type="checkbox"/>		10	Payment	7400	Koyo Precision Bearings	1,353.14	1/19/2021	

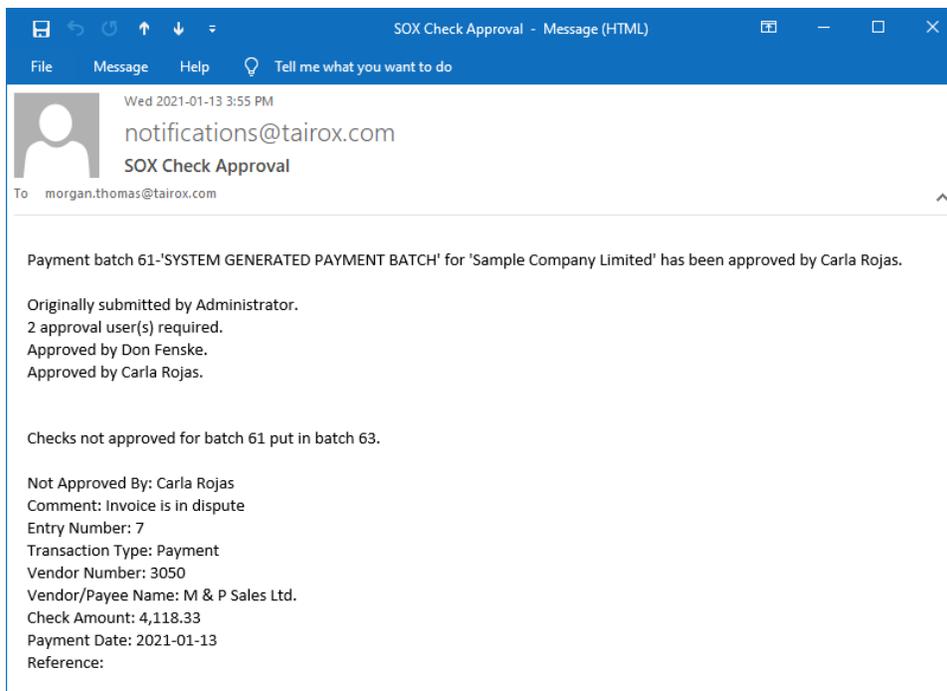
## Emails Generated When You Approve a Payment Batch

**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:

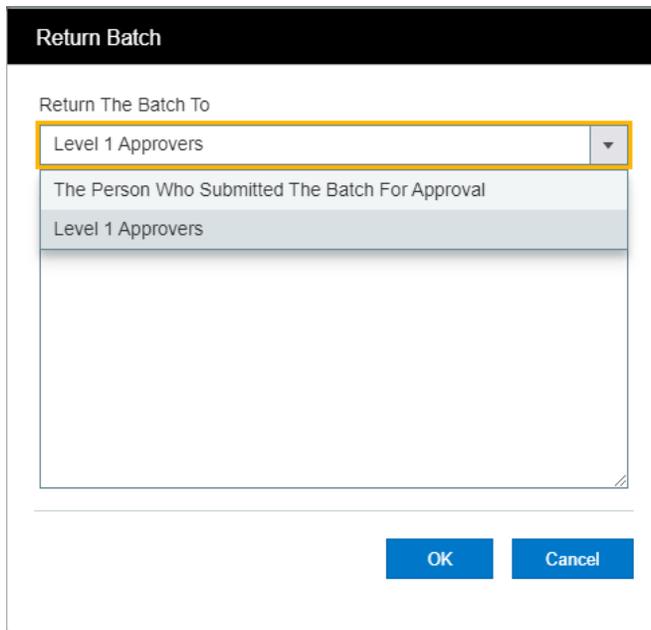


**If the payment batch has rejected payments**, and the batch is passed to another level or is finally approved, the email includes an audit of deleted entries in the email body:



## 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.



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.

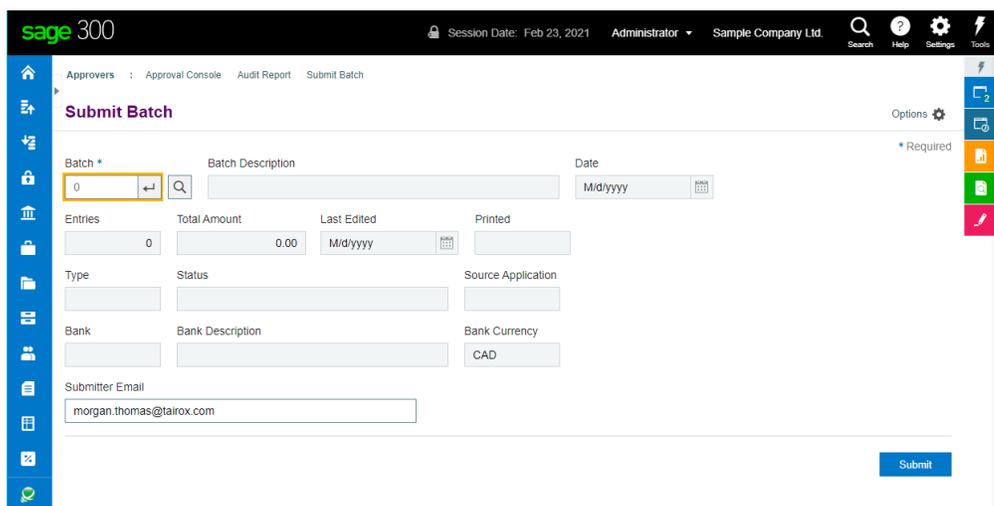
## Using the Submit Batch Program to Submit Payments for Approval

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**.



- 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 [Viewing the Approval Status of Payments in a Batch](#).

## 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.

The screenshot shows the 'A/P Payment Batch List' interface. At the top, there are navigation tabs: 'A/P Transactions', 'Invoice Batch List', 'Invoice Entry', 'Payment Batch List', 'Payment Entry', 'Payment Inquiry', and 'More'. Below the tabs, the title 'A/P Payment Batch List' is displayed. A search field for 'Batch Number' contains the value '66'. A checkbox labeled 'Show Posted and Deleted Batches' is checked. An 'Edit Columns' button is visible. The main table has the following columns: 'Batch Number', 'Batch Date', 'Batch Description', 'Number of Entries', 'Total Amount', and 'Ready To Post'. The table contains several rows, with the first row (Batch 66) highlighted in red. Below the table, there is a pagination control showing 'Page 1 of 7' and '1 - 10 of 66 items'. At the bottom of the screen, there is a row of buttons: 'Submit', 'Create New', 'Open', 'Print', 'Delete', 'Post All', and 'Post'. The 'Submit' button is highlighted in red.

Batch Number	Batch Date	Batch Description	Number of Entries	Total Amount	Ready To Post
66	2/8/2021	January 31 Payments	8	1,500,000	No
65	1/19/2021	Payments not Approved for Batch 64	1	17,178.460	No
64	1/19/2021	Jan 15 Invoice payments - SAMLTD	6	130,528.620	No
63	1/13/2021	Resubmitted Payments from Dec 31 batch (61)	1	4,118.330	
62	1/13/2021	Resubmitted Unapproved Payments for Batch 60	1	791.000	
61	1/13/2021	SYSTEM GENERATED PAYMENT BATCH	7	2,136,852.130	
60	1/13/2021	November 31 Payments	32	11,638.000	No
59	12/28/2020	Checks not Approved for Batch 58	1	257,010.780	
58	12/28/2020	November 15 Payments	51	180,550.260	No

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.



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.

A confirmation dialog box titled "Confirmation" with a close button (X) in the top right corner. It contains a "Submitter Email" field with the text "administrator@tairox.com" entered. Below the field is the question "Are you sure you want to submit batch 56 for approval?". At the bottom are two buttons: "No" and "Yes".

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.



Click the In Progress button to view the approval status details of all payments in a pop-up window. See [Viewing the Approval Status of Payments in a Batch](#) (below).

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



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.



## Viewing the Approval Status of Payments in a Batch

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.



Note that the button text changes depending on the batch's stage in the approval process – see [The "Submit" button ...](#); 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 completed, 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.

The screenshot shows the Sage 300 interface. On the left, the 'A/P Payment Batch List' is displayed with a table where Batch 63 is highlighted in red. A red arrow points from this row to the 'SOX Check Approval - Batch 63' window on the right. This window shows the approval status for Batch 63, including a table of approvers for three levels and a list of payments categorized as 'Approved' and 'Not Approved'.

Level	Approved By
1	KEITH
2	SAM
3	DON

Entry	Date	Vendor Number	Vendor / Payee Name	Amount	Entered By	Comment
1	9/22/2020	1200	Chloride Systems	8,264.61	DAN	
2	9/22/2020	1450	Intercontinental Electronics	32,414.64	DAN	
4	9/22/2020	1580	Grant Office Supplies	744.65	DAN	
5	9/22/2020	1750	Esser Engineering Ltd	266.84	DAN	
6	9/22/2020	2150	Marshall-Davidson Ltd.	806,825.94	DAN	
8	9/22/2020	6010	Seattle Tacoma Bank	13,907.76	DAN	

Entry	Date	Vendor Number	Vendor / Payee Name	Amount	Entered By	Comment
3	9/22/2020	1500	Gould Manufacturing Ltd.	150,624.25	DAN	Pricing in dispute - please hold
7	9/22/2020	3050	M & P Sales Ltd.	4,118.33	DAN	Hold payment - damaged goods on invoice

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

This screenshot shows the 'SOX Check Approval - Batch 63' window. It highlights a 'Simplified' rule: 'Payments must be approved by a number of users'. Below this, the approval levels are shown, with Level 1 having a single approver, DON. The payment list shows five approved entries and one 'Not Approved' entry with the comment 'Disputed payment'.

Level	Approved By
1	DON
2	
3	

Entry	Date	Vendor Number	Vendor / Payee Name	Amount	Entered By	Comment
1	9/22/2020	1200	Chloride Systems	8,264.61	DAN	
2	9/22/2020	1450	Intercontinental Electronics	32,414.64	DAN	
3	9/22/2020	1580	Grant Office Supplies	744.65	DAN	
4	9/22/2020	1750	Esser Engineering Ltd	266.84	DAN	
5	9/22/2020	6010	Seattle Tacoma Bank	13,907.76	DAN	

Entry	Date	Vendor Number	Vendor / Payee Name	Amount	Entered By	Comment
6	9/22/2020	2150	Marshall-Davidson Ltd.	806,825.94	DAN	Disputed payment

- 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.

SOX Check Approval - Batch 63

Submitted By: Carla Simpson

Relaxed: Payments above level limits must be approved at higher levels

Level	Approved By
1	*
2	SAM
3	

--- Approval Pending ---

Entry	Date	Vendor Number	Vendor / Payee Name	Amount	Entered By	Comment
1	9/22/2020	1200	Chloride Systems	8,264.61	DAN	
2	9/22/2020	1450	Intercontinental Electronics	32,414.64	DAN	
4	9/22/2020	2150	Marshall-Davidson Ltd.	806,825.94	DAN	
5	9/22/2020	6010	Seattle Tacoma Bank	13,907.76	DAN	

--- Not Approved ---

Entry	Date	Vendor Number	Vendor / Payee Name	Amount	Entered By	Comment
3	9/22/2020	1580	Grant Office Supplies	23,641.50	DAN	Disputed invoice - hold payment

- 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.

SOX Check Approval - Batch 63

Submitted By: Carla Simpson

**Relaxed:** Payments above level limits must be approved at higher levels

Level	Approved By
1	*
2	SAM
3	*

--- Approved ---

Entry	Date	Vendor Number	Vendor / Payee Name	Amount	Entered By	Comment
1	9/22/2020	1200	Chloride Systems	8,264.61	DAN	
2	9/22/2020	1450	Intercontinental Electronics	32,414.64	DAN	
3	9/22/2020	1580	Grant Office Supplies	23,641.50	DAN	
4	9/22/2020	2150	Marshall-Davidson Ltd.	16,972.20	DAN	
5	9/22/2020	6010	Seattle Tacoma Bank	13,907.76	DAN	

## Viewing the SOX Check Approval Audit Report

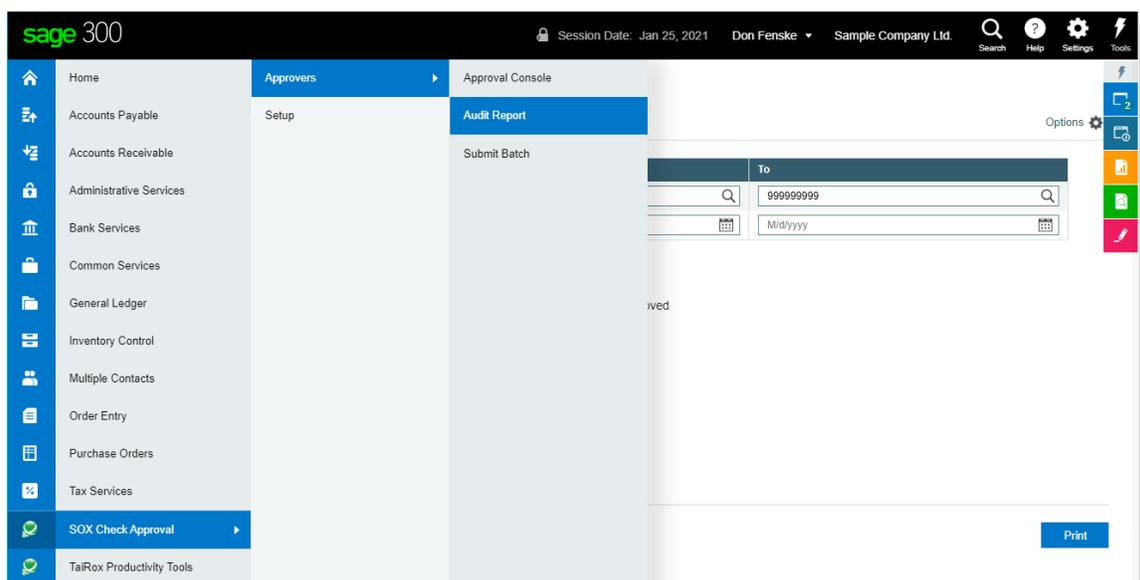
The SOX Check Approval Audit Report provides an audit trail for the approval of Sage 300 payment batches that pass through the Check Approval process. The audit report trail includes the status of batches, names of payment approvers, and, optionally, the details of each payment approval.

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.



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).

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.

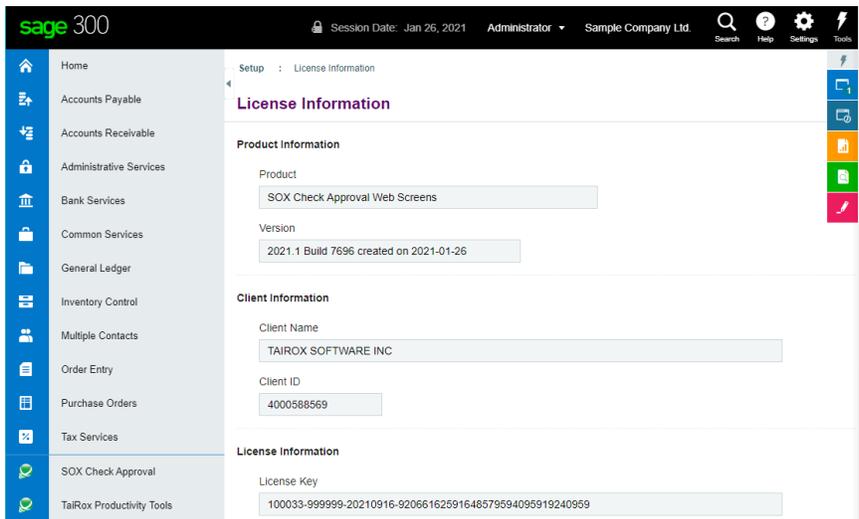
### Sample Check Approval Report

Batch	Description	Date	Type	Status	Bank	Currency	Approval Status	Submitted By
61	SYSTEM GENERATED PAYMENT BATCH	1/13/2021	Generated	Open	SEATAC	USD	Not Submitted	
62	Resubmitted Unapproved Payments for Ba...	1/13/2021	Generated	In Progress	CCB	CAD	Approval Pending	Carla Rojas
Simplified: Payments must be approved by a number of users								
Level Approved By								
1								
2								
--- Approval Pending ---								
Entry	Date	Vendor Number	Vendor / Payee Name			Amount	Entered By	Comment
1	1/13/2021	8950	Vulcan & Sons			791.00	ADMIN	
						791.00		
63	Resubmitted Payments from Dec 31 batch ...	1/13/2021	Generated	In Progress	SEATAC	USD	Approval Pending	Carla Rojas
Simplified: Payments must be approved by a number of users								
Level Approved By								
1 Carla Rojas								
2								
--- Approval Pending ---								
Entry	Date	Vendor Number	Vendor / Payee Name			Amount	Entered By	Comment
1	1/13/2021	3050	M & P Sales Ltd.			4,118.33	ADMIN	
						4,118.33		
64	Jan 15 Invoice payments - SAMLTD	1/19/2021	Generated	Open	CCB	CAD	Approved	Administrator
Relaxed: Payments above level limits must be approved at higher levels								
Level Approved By								
1 Carla Rojas								
2 Don Fenske								
--- Approved ---								
Entry	Date	Vendor Number	Vendor / Payee Name			Amount	Entered By	Comment
1	1/19/2021	1350	Exoide Industrial Batteries			47,555.72	ADMIN	
2	1/19/2021	1540	Hart Batteries			67,784.42	ADMIN	
3	1/19/2021	1890	Raaside Equipment Ltd.			10,710.90	ADMIN	
5	1/19/2021	5000	Deca Management			2,039.07	ADMIN	
6	1/19/2021	5030	Donald & Donald			775.99	ADMIN	
7	1/19/2021	5080	Head Office - Stewart Office S			1,662.52	ADMIN	
						130,528.62		
--- Not Approved ---								
Entry	Date	Vendor Number	Vendor / Payee Name			Amount	Entered By	Comment
4	1/19/2021	2300	Torrington Ltd.			17,178.46	ADMIN	Goods damaged. Waiting for new invoice.
						17,178.46		

### 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.

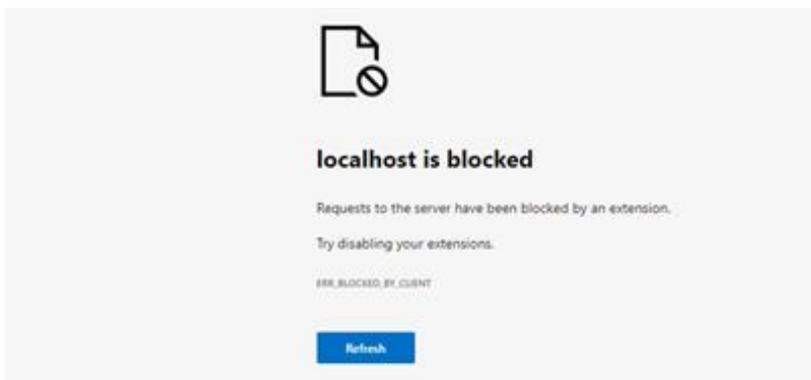


The License Information screen includes program version information, as well as your client name, client ID, and the program expiration date.

## Audit Report Browser Settings

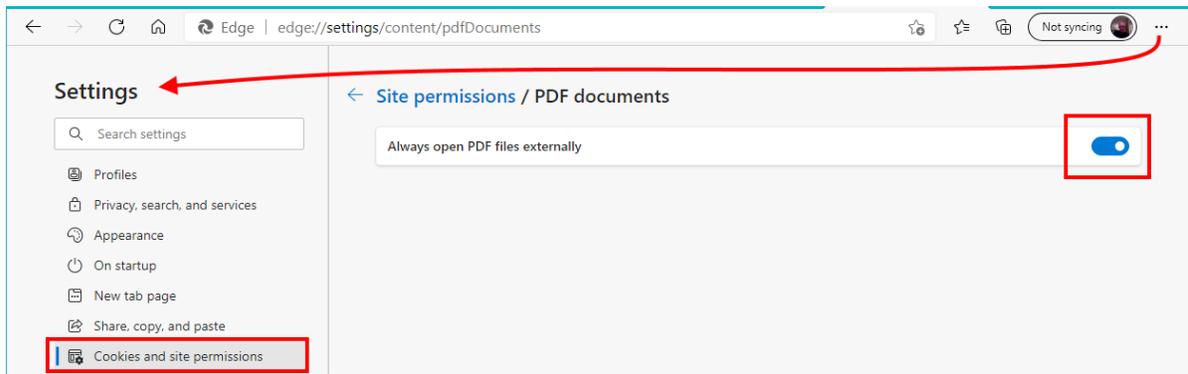
SOX Check Approval generates an audit report in PDF format that needs to be downloaded to some browsers in order to be viewed.

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”.

