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:

- [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

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:

  o **Strict workflow:** All checks go to the Level-1 approvers first, then to Level-2 approvers, and then to Level-3 approvers.
  o **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.
  o **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.
  o **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.

   o Approvers at the next level will get an email stating that the batch needs approval.
   o 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".
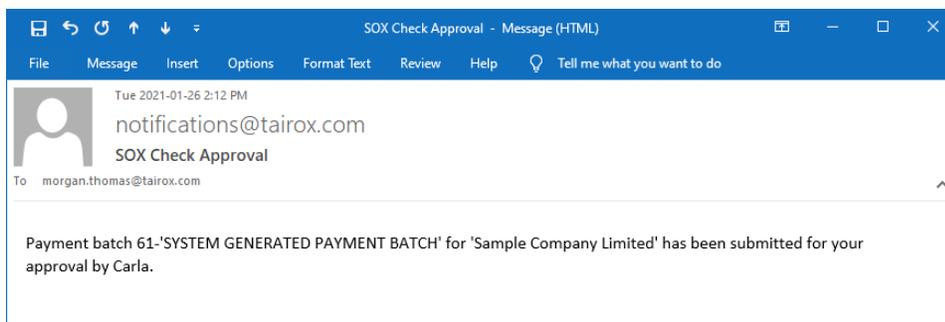
Starting SOX Check Approval

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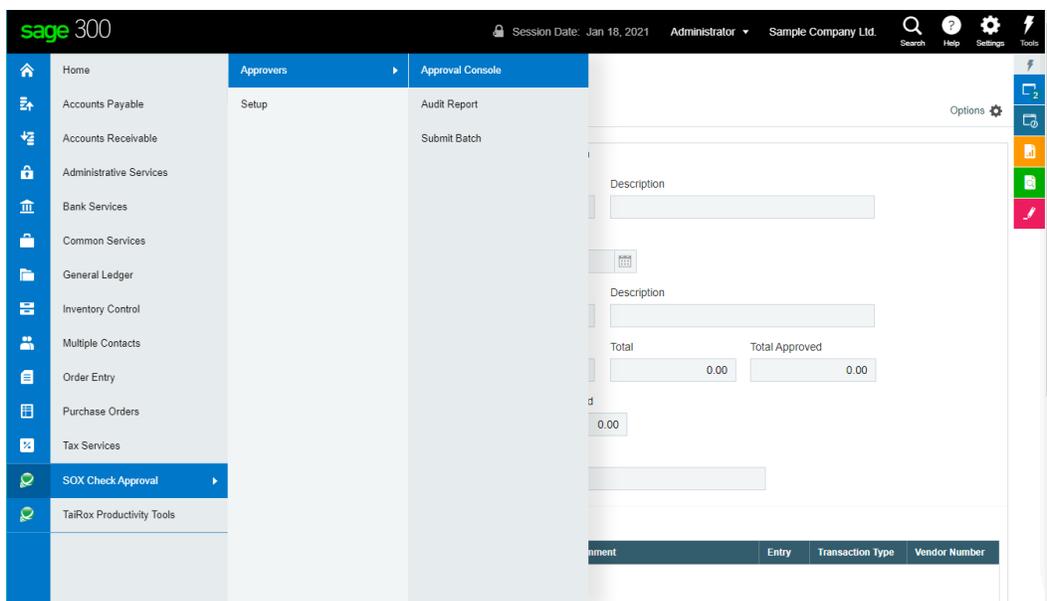
To start SOX Check Approval:

- 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:
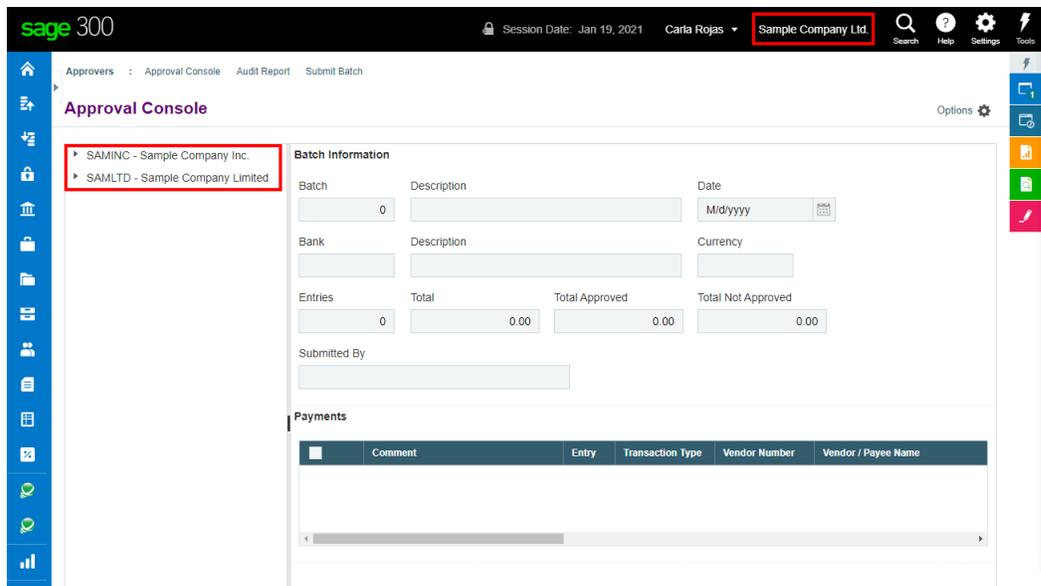
Note the following points:

- 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*:

  o The company has batches requiring approval.

  o 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
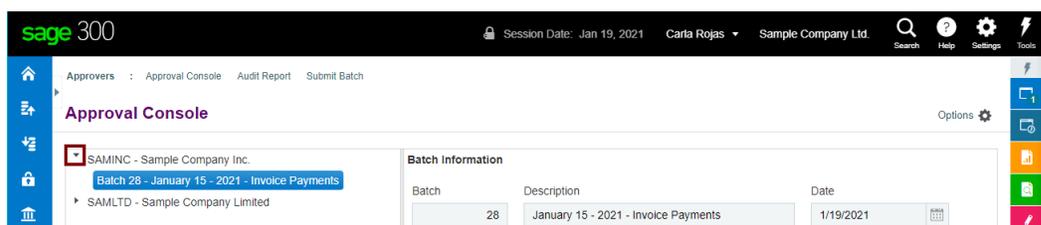
- Tree-view navigation lets you select a company and its batches. The console will initially appear with the tree-view not expanded.

- Click the arrow beside the company name to expand the list of batches, then click the batch description to display the batch information.

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.

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

- **Use the scroll bar to view additional payment information.**

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

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.** (<u>Reasons are required for all rejected payments</u>.)

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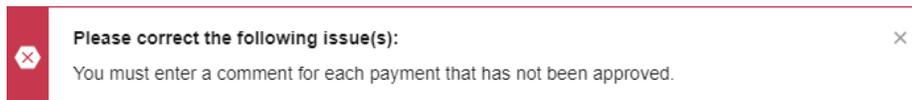
You must also add a comment for each unapproved payment and click the Save button to continue.

- **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.

- **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.

o   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
OK Cancel	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
☐		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	

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.

☑	Comment	Entry	Transaction Type	Vendor Number	Vendor / Payee Name	Amount	Date	Referer
☑		3	Payment	1500	Gould Manufacturing Ltd.	95.42	1/19/2021	
☑		4	Payment	1580	Grant Office Supplies	211.62	1/19/2021	
☑		12	Payment	9230	Quaker Bearings	10.75	1/19/2021	

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

☑	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	
☑		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	
☑		9	Payment	7300	New Look Interiors of London	6,846.58	1/19/2021	
☑		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:
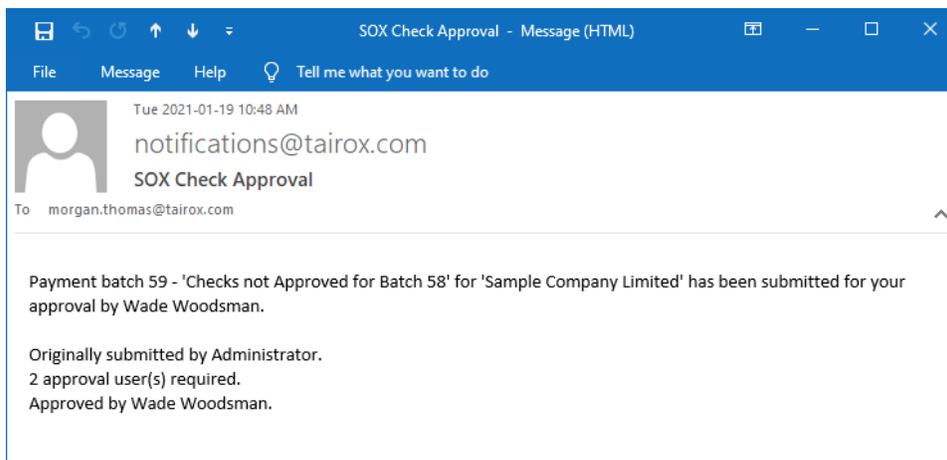
If the payment batch has rejected payments, and the batch is passed to another level or is finally approved, the email includes an audit of deleted entries in the email body:
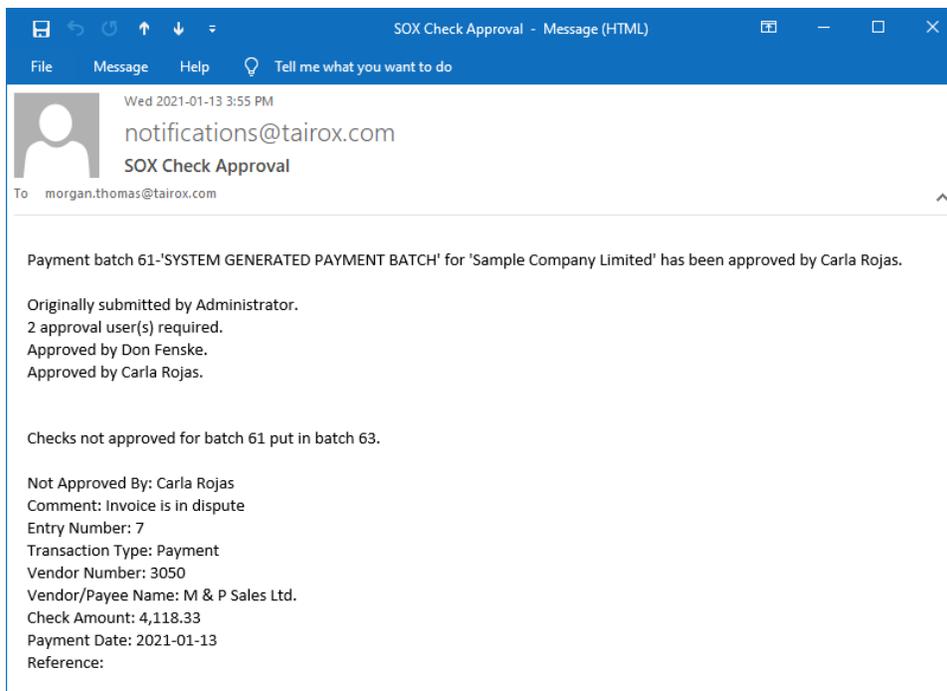
Returning Batches

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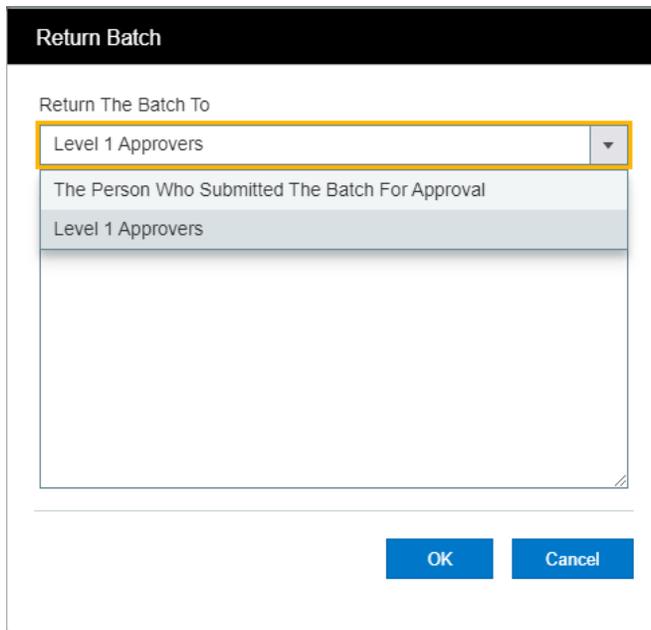
If the batch is returned to the original Sage 300 batch submitter, the batch status will be set back to Open.

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**.
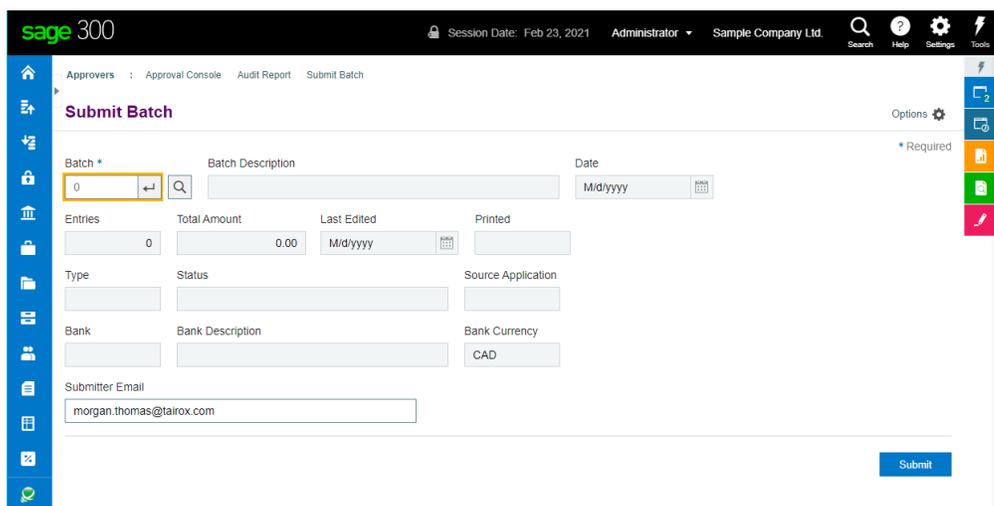
- Use the Finder to select the payment batch that you want to submit.

  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.

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.

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

The program will:

o   Submit the batch and change the button text to "In Progress" when you highlight the submitted batch.

o   Change the batch status from "Open" to "Check Creation in Progress".

o   Send notification emails to first approvers listed in SOX Check Approval Setup.

o   Change system generated payment batches to type "Generated" if the option was selected in Check Approval Setup.

o   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 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.

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

- 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.

- 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.

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.
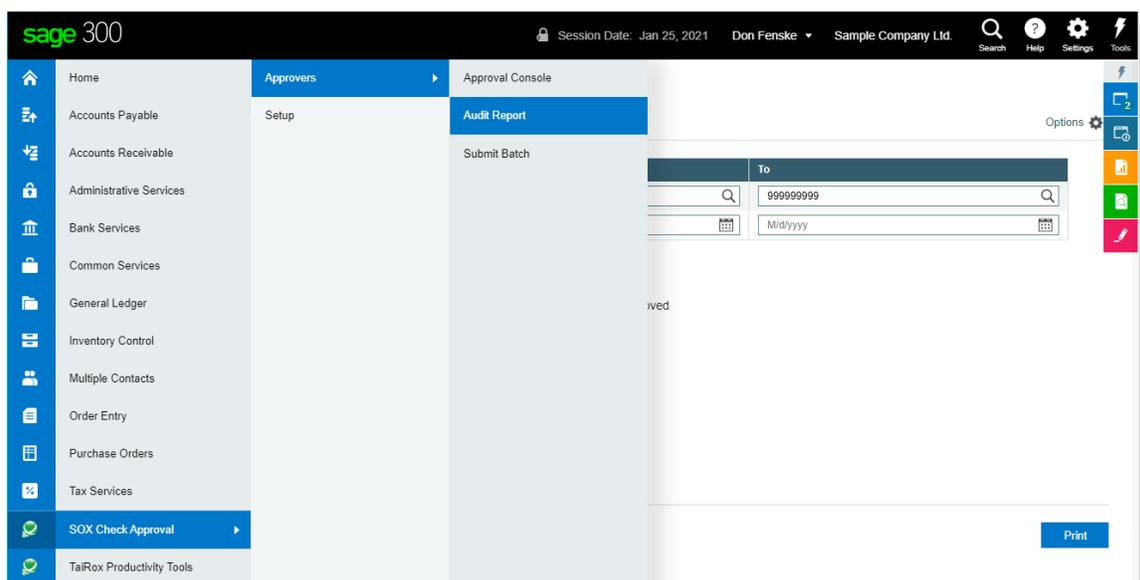
The SOX Check Approval Audit Report selection screen appears below:

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

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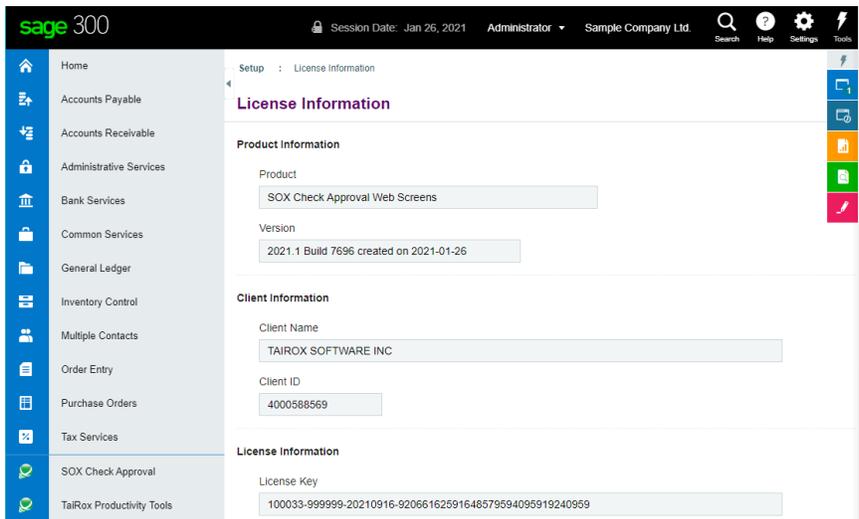
The License Information screen includes program version information, as well as your client name, client ID, and the program expiration date.

Audit Report Browser Settings

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

If you do not set the browser to <u>download</u> PDFs, the following error might appear:
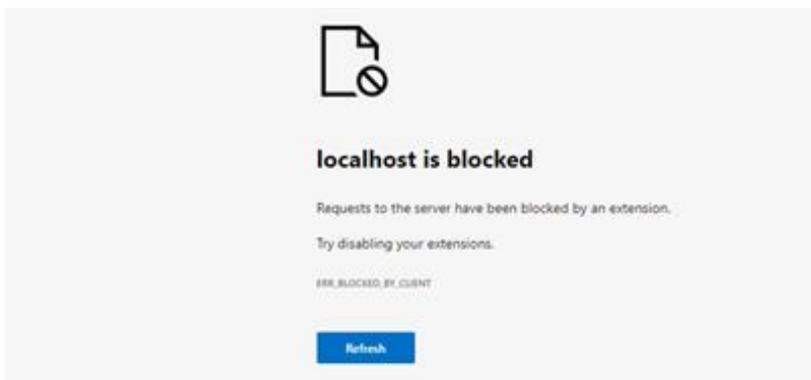
PDF download settings in Microsoft Edge

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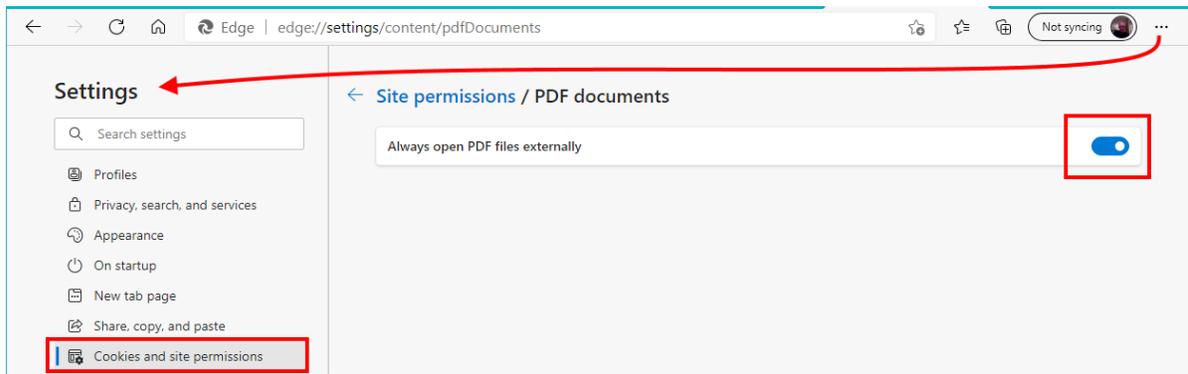
PDF download settings in Google Chrome

- 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".