



SOX Check Approval

Audit Report Guide

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Check Approval Audit Report

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

The report generates an Excel Spreadsheet, and has a number of options to determine its content.

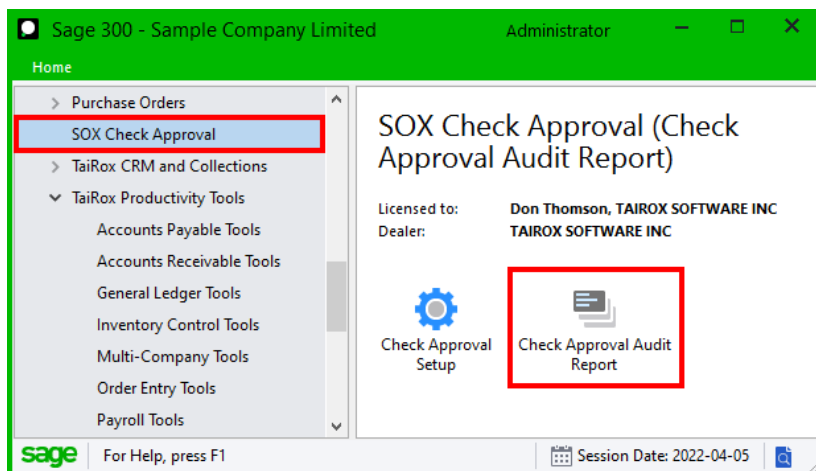
For example, here is a portion of an audit report showing three check batches. Check batch 63 has been approved at level 1, batch 64 has been approved at both required levels, and batch 65 has not yet been submitted for approval. You can see that one check in batch 64 was not approved.

2021-01-25 SAMLTD - Sample Company Limited							
Check Approval Audit Report							
Batch Number	[1] To [999999999]						
Batch Date	[2021-01-01] To [2021-01-25]						
Batch Type	[Entered, Imported, Generated, System, External]						
Batch Status	[Open, Open and Approved, Ready To Post, Posted, In Progress]						
Report Type	[Detail]						
Checks Approved	[Yes]						
Checks Not Approved	[Yes]						
Batch Number	Description	Batch Date	Batch Type	Batch Status	Bank Code	Bank Currency Code	Submitted By
63	Resubmitted Payments from Dec 31 batch (61)	2021-01-13	Generated	In Progress	SEATAC	USD	Mary Sellers
Approval Pending							
Simplified: Checks must be approved by a number of users: 2							
Level		Approved By					
1		Carla Rojas					
2							
Checks Pending Approval							
	Entry Number	Payment Date	Vendor Number	Vendor/Payee Name	Payment Amount	Entered By	Comment
	1	2021-01-13	9050	M & P Sales Ltd.	4118.33	Sam	
					4118.33		
Checks Not Approved							
None							
Batch Number	Description	Batch Date	Batch Type	Batch Status	Bank Code	Bank Currency Code	Submitted By
64	Jan 15 Invoice payments - SAMLTD	2021-01-19	Generated	Open and Approved	CCB	CAD	Joan Spring
Approved							
Relaxed: Checks above level limits must be approved at higher levels: 2							
Level		Approved By					
1		Carla Rojas					
2		Don Fenske					
Checks Approved							
	Entry Number	Payment Date	Vendor Number	Vendor/Payee Name	Payment Amount	Entered By	Comment
	1	2021-01-19	3350	Excide Industrial Batteries	47555.72	Sam	
	2	2021-01-19	1540	Hart Batteries	67784.42	Sam	
	3	2021-01-19	1890	Rasside Equipment Ltd.	10710.90	Sam	
	5	2021-01-19	5000	Deca Management	2039.07	Sam	
	6	2021-01-19	5030	Donald & Donald	775.99	Sam	
	7	2021-01-19	5080	Head Office - Stewart Office 5	1662.52	Sam	
					130528.62		
Checks Not Approved							
	Entry Number	Payment Date	Vendor Number	Vendor/Payee Name	Payment Amount	Entered By	Comment
	4	2021-01-19	2300	Torrington Ltd.	17178.46	John	Goods damaged. Waiting for new invoice.
					17178.46		
Batch Number	Description	Batch Date	Batch Type	Batch Status	Bank Code	Bank Currency Code	
65	Payments not Approved for Batch 64	2021-01-19	Generated	Open	CCB	CAD	
Batch was not submitted for approval.							

You can print audit reports at any time.

To generate the Check Approval Audit Report:

- Open “Check Approval Audit Report” from the Sage 300 Desktop.



- Choose options for generating the report from the form that appears.

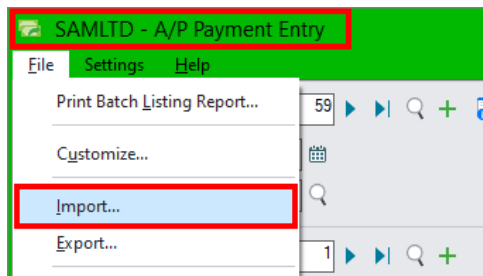
- Use the From and To **Batch Number** fields to specify the maximum range of batch numbers to include in the report.

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.
- Select the types of batches that you want to include:

Entered – batches added manually in Sage 300 Accounts Payable using the Extended Payment Batch List program.

Imported – batches transferred to Sage 300 Accounts Payable using the A/P Payment Entry > File > Import command on the A/P Payment Entry screen.



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 checks.

The report example on page 1 of this document shows a detail report with approved and rejected checks.