

Document Approval

A document workflow system has been added to the Gold Document Storage system. This has been designed to remove the necessity to move and use paper for authorisation and to problem solve issues surrounding the original document.

Workflow

Invoices and other documents received can be scanned externally or emailed in to the document store. Depending on the document type they can be filed immediately or held pending approval.

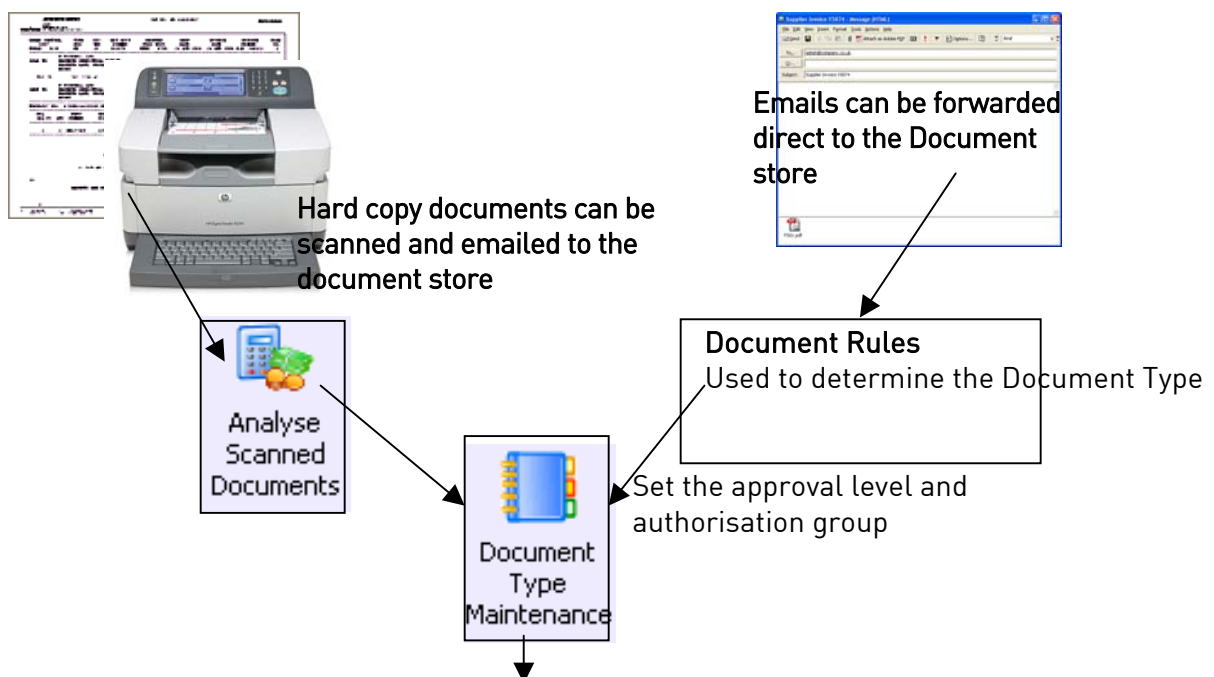
Invoices (or credits etc) can be electronically released for processing by an authorised person thus replacing the manual signature or stamp required on a paper document.

This means, for example, that a fixed asset invoice could be presented to an authorised person for approval, before it is entered in to the system. Other invoices could be posted to the Purchase Ledger without initial approval but held pending payment authorisation, if larger than a specified value, before they are released for payment.

On posting the invoice into the system, if any issues are found which prevent completion, the document can be forwarded to an appropriate person to resolve the issue. For example, where a GRN has not yet been input against the order thus preventing the invoice being processed.

It is not possible to continue with a forwarded document until the issues have been resolved and the document returned for posting.

Document Approval Flowchart



Pre-Posting Approval

Invoices can be electronically released by an authorised person, before they are processed.



(Equivalent of a signature)

Gold Processing

Invoices are processed in Gold in the normal way, for example via Parts Invoice Confirmation.

Forwarded Issues: if any issues arise that prevent processing, the document can be forwarded to another user who can resolve the problem and return the document for posting.

Supplier Enquiry

Where payment authorisation is in use, Invoices/Credits appear in the supplier enquiry with a status of "Wait" pending authorisation.

Date	Ref	Sup Ref	T	Outst Amt	Orig Amt	Set Dt	Set Amt	Stat	D	Description	Pay ...
30Jun09	P01050	1233	Inv	-652.50	-652.50	30Jul09		Wait			
30Jun09	P01061	1564	Inv	-116.00	-116.00	28Sep09		Stop			
01Jul09	P01052	154865	Inv	-126.50	-126.50	31Jul09		Wait			

Total outstanding -155695.91

Payment Authorisation

Date	Supplier	Sup Ref	Type	Value	Ref.	Sett Dt	Sett Amt	Disp	Invoice Description
30Jun09	DEERE	1051	Inv	100.00	P01051	28Sep09			
01Jul09	DEERE	154865	Inv	110.00	P01052	31Jul09			

One or more users can authorise payment based on document type and value, via the Document Approval program.

Stop/Release Invoices for Payment

Once authorised the invoices/credits are released for payment through the Stop/Release program.

1. Set Up

There are two types of authorisation to set up. The first is for documents that need pre-posting approval. This is set up by adding an approval level in the range 1-99 on each applicable Document Type and also on the Personnel Security File. For example, if a document carries an approval level of 11 then only users with 1 to 11 on their personnel security file can release the documents ready for posting.

The second type relates to payment authorisation and involves the set up of groups of people whom can authorise invoices for payment according to value. The authorisation group is then added to the relevant Document Type(s).

If an authorisation group is added to a document type that is not an invoice/credit, these are added to the "To Be Viewed" tab in the document approval screen.

1.1 Payment Authorisation Groups

(Housekeeping, Text Images/Printers, Payment Authorisation Group)

Payment Authorisation Groups can be set up to specify the users who can authorise invoices for payment. The authorisation group code is then added to individual document types as required. Invoices needing authorisation go on hold after posting until released for payment by a group member.

The screenshot shows a dialog box titled "Authorisation Group Maintenance - Insert Mode". It has two tabs: "Group" and "Users". The "Group" tab is active. The fields are as follows:

- Group: PARTS
- Description: Parts Documents
- Authorisation: A dropdown menu with "Any User" selected, and "All Users" also visible in the list.

At the bottom, there are "OK" and "Cancel" buttons.

Key Entry Fields (# indicates default setting)

Group		Enter a group code up to 6 characters
Authorisation	Any User	Any user from the list entered on the "Users" tab can approve documents.
	All Users	ALL users from the list must approve.

Users

Add users as required using details from the Personnel Security File.

The users listed will be able to authorise invoices for payment within the value ranges entered. It is possible to start with a minimum value of, say £100.00, which would mean that invoices up to £99.99 would not need any authorisation.

User	Override	Min. Value	Max. Value
GO George Osbourne	No	0.01	100.00
CB Carl Brockman	No	100.01	5000.00
HN Harry Newman	Yes	0.01	0.00

Group:	PARTS
Operator:	GO George Osbourne
Override Other Users in Group?	No
Min. Value:	0.01
Max. Value:	100.00

Key Entry Fields (# indicates default setting)

Operator	Lookup Available	Enter user initials from the Personnel Security File or select via the lookup.
Override Other Users in Group?	No # Yes	Set to 'Yes' to allow the user to override others in the group and authorise any invoice/credit
Min. Value		If required enter a minimum invoice value for the user to authorise.
Max. Value		If required, enter a maximum invoice value for the user to approve. This allows users to be restricted to a maximum value that they can authorise.

1.2 Document Types

(Housekeeping, Text Images/Printers, Document Type Maintenance)

Each individual document type can have an approval level set to indicate the users that can approve documents for posting and also a payment authorisation group for payment authorisation.

The screenshot shows the 'Document Type Maintenance - Amend Mode' window. The 'Details' tab is active. The 'Type' is 'PAPI' and the 'Description' is 'Parts Purchase Invoice'. The 'Security Level View' is set to 25 and 'Amend' is 10. The 'Pre-Posting Approval' is set to 11 and 'Payment Authorisation' is set to PARTS. The 'Exclude Primary Key from references?' is set to Yes and 'No. of Months to Retain Documents' is 0. The 'Gold Proc. Method' is empty and 'Licence' is PAPI. There are five key entry fields defined, with the first one being 'Supplier' with a length of 4 and type of 'Supplier'. The other four keys have a length of 10 and type of 'Alpha UC'. The 'OK' and 'Cancel' buttons are at the bottom left.

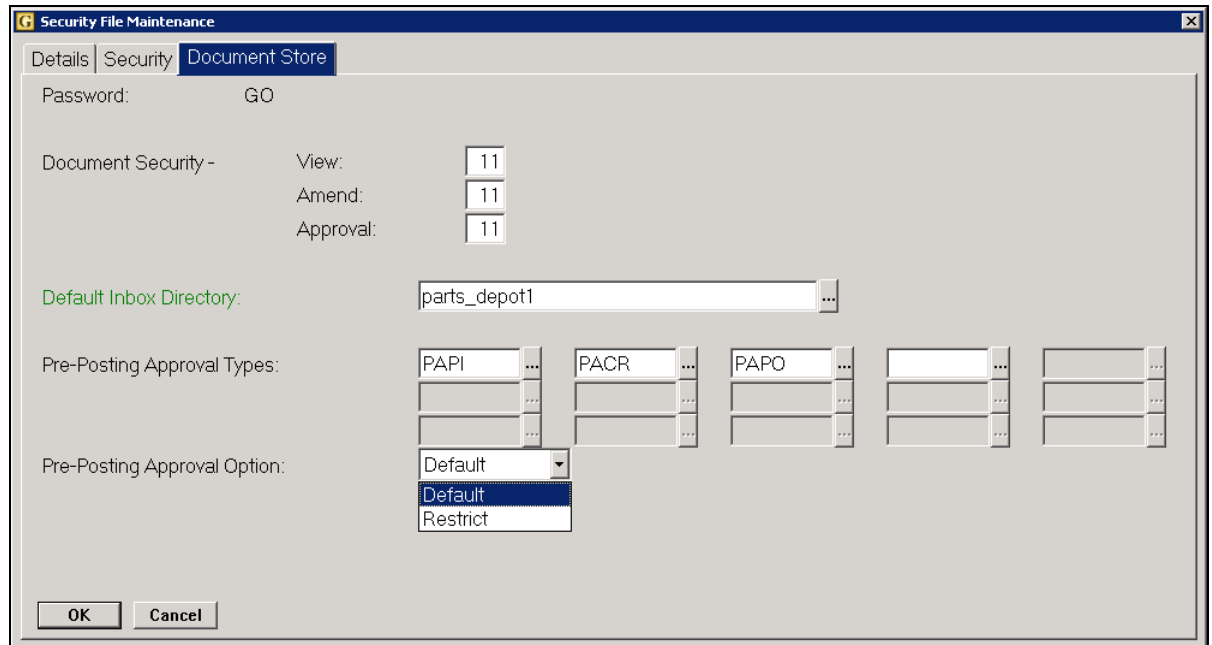
Key Entry Fields (# indicates default setting)

Pre-Posting Approval	0 for not used	Enter an approval level between 1 and 99. Only users with the specified approval level or lower may approve documents for posting. For example, a user with an approval level of 11 or less can approve for this type whereas a user with approval 12-99 cannot.
Payment Authorisation		Select a group code as set up above to indicate users with permission to authorise invoices of this type for payment.

1.3 Personnel Security

(System Management, Security, Personnel Security File)

On the “Document Store” tab, enter the security level for Pre Posting Approval. Up to 5 document types may be added. The user will be able to approve documents of the listed types by default although a “select” option is available to change the list.



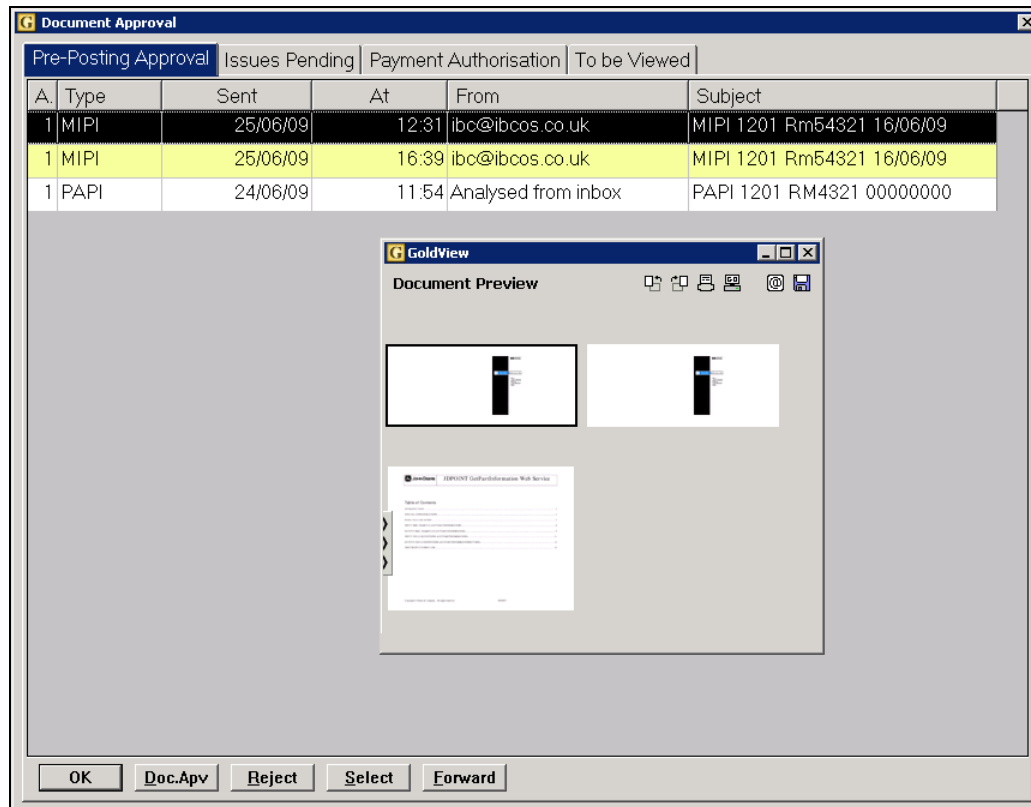
Approval	0 for not used	Enter an approval level between 1 and 99. The user may approve documents with the same or lower approval level. For example, a user with an approval level of 11 can approve documents with a level of 11 or less.
Pre-Posting Approval Types	Up to 5	Enter up to 15 document types for the user to approve. These types are displayed by default in the Approval Program. Leave blank for all types.
Pre-Posting Approval Option	Default Restrict	Select to default the list to the listed document types but allow changes. Select “Restrict” to only allow the user to view/approve the specified types.

2. Document Approval

2.1 Pre-Posting Approval

(Purchase Ledger, Document Management, Document Approval)

On entering the Pre-Posting Approval program a list of documents requiring attention is displayed.



The Pre-Posting Approval list contains documents that have come in to the document store but have not yet been released for processing.

This option replaces the need for a manual signature or stamp on an invoice before it is entered.

The Gold Viewer will display the document for the highlighted line.

Approving Documents

To approve the current line, press the <Enter> key. This will then roll on to the next line.

The “**Doc.Apv**” button displays further details for the highlighted line. It is possible to set a dispute code on the invoice and add comments within this screen. The invoice will still be available for processing but the dispute code will be displayed. Within the Document Approval screen it is possible to access the document details and change the document type if necessary using the “**Amend**” option.

To reject a document use the “**Reject**” button. Rejected documents are flagged as rejected and can be seen in a list of documents on hold in the Document Details program. The rejected flag can be cleared from the Document Details program if required. To send on to another user for checking use the “**Forward**” button.

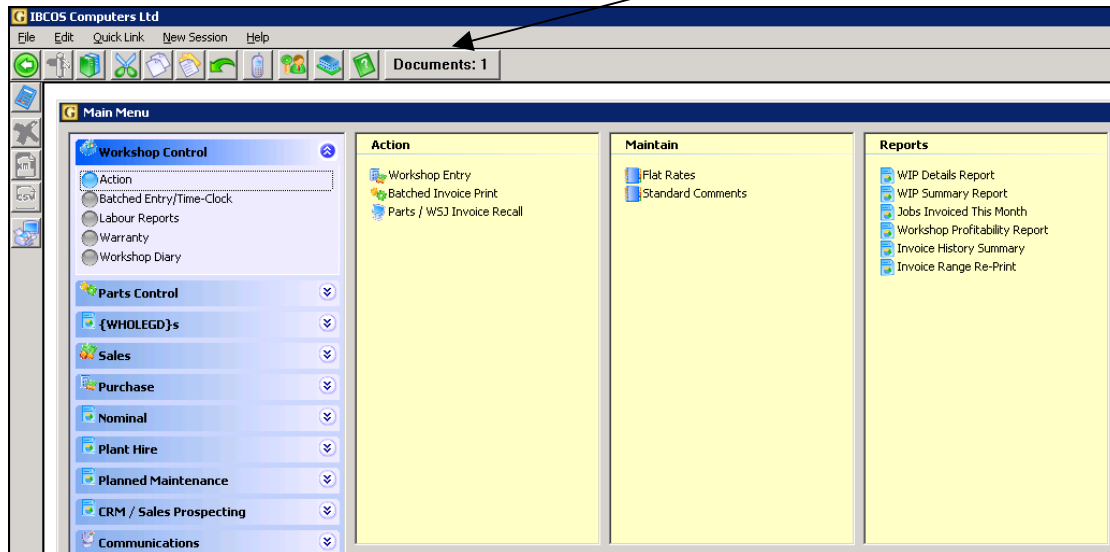
The document list is generated based on the details set on the Personnel Security File. The “**Select**” option can be used to expand the selection list to include other options.

Key Entry Fields (# indicates default setting)

<p>Document Types</p>		<p>Enter up to 15 document types to check for. If document types are entered in the personnel security file these will be displayed by default although they may be changed if required and security allows.</p>
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Main Menu

If there are any outstanding documents (issues pending or payment authorisation) for the user a button is displayed on the main menu on log in.



Click the button to switch to the Document Approval screen.

3. Issues Pending

All approved documents will be available for processing in the relevant program, Parts Invoice Confirmation, Plant Cost Posting, Miscellaneous Cost Posting, Wholegood Cost Posting and Planned Maintenance Cost Posting.

Example: Parts Invoice Confirmation

The parts invoice confirmation is started in the normal manner with “Docs” (F5) used to check for invoices/credits available to process from the document store. Only documents that have been pre-approved for posting will be available.

If there is an issue found with a selected invoice the “Forward” (F5) option can be used on the “Orders” tab or from the Document List to send the document to another user for action.

Atts	Type	Sent	At	From	Subject
1	PAPI	14/01/09	18:44	poolescan3@ibcos.co.uk	PAPI 1233
1	PAPI	1/07/09	15:04	Analysed from inbox by LS	PAPI 1201
1	PAPI	9/07/09	10:47	Analysed from inbox by LS	PAPI 1102
1	PAPI	9/07/09	10:48	Analysed from inbox by LS	PAPI 1102
1	PAPI	6/10/09	9:57	Analysed from inbox by LS	PAPI 1201 00000000 ABCDEF
1	PAPIJD	18/06/09	9:10	colin@ibcos.co.uk	PAPIJD 1200 444444

Details Fwd.List Forward Comment Message Attach

Fwd. List (F4)

Use to show a list of forwarded documents awaiting issues to be resolved.

Forward (F5)

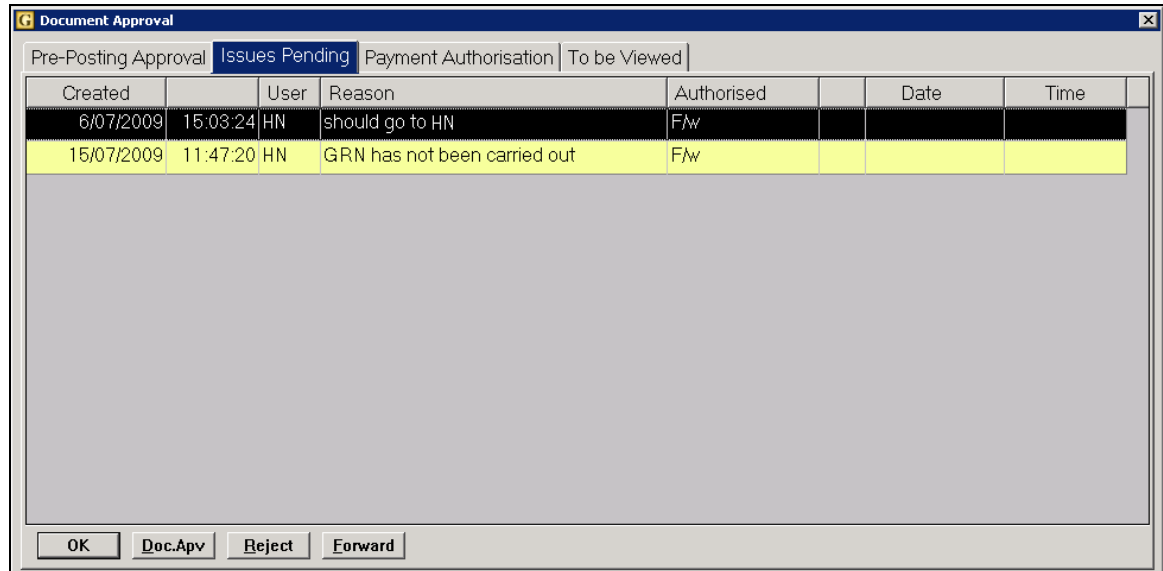
Use to forward the highlighted document to another user to resolve a problem.

Forward Document	
Forward To:	HN ... Harry Newman
Reason:	GRN has not been done.
<input type="button" value="OK"/> <input type="button" value="Cancel"/> <input type="button" value="Comment"/>	

The “**Comment**” option can be used to add further notes and automatically adds the user along with the date and time. Where comments have previously been entered the button appears as “***Commnt**”.

Note: it is also possible to add manual notes to the PDF shown in the Gold Viewer to highlight any issues.

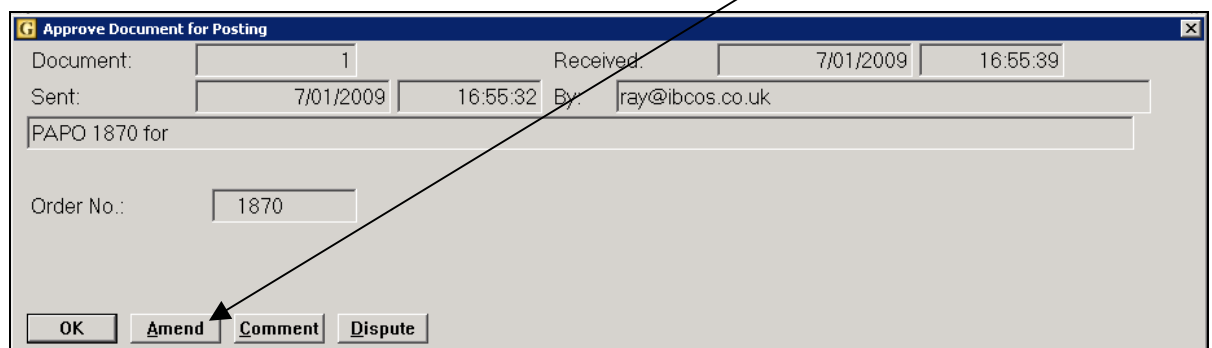
The user to which the document has been forwarded can see these in a list of Issues Pending in the Document Approval program within Purchase Ledger, Document Management.



Whilst the document remains in the “Issues Pending” list it is not available for processing in the invoice confirmation/cost posting programs. Use the “**Forward**” button from the document list to see the list of documents with issues pending.

Once the matter has been addressed the document can be approved by pressing <Enter> on the line or selecting “**Doc.Apv**” and will then be available for processing again.

Within the Document Approval screen it is possible to access the document details and change the document type if necessary using the “**Amend**” option.



In the case of Parts Invoice Confirmation, the details that had been entered before the document was forwarded will be stored for recall when the issue has been resolved.

4. Payment Authorisation

Document Types that have an authorisation group code set need to be authorised before they are available for the Stop/Release Invoice program to pay.

The invoice/credit status is shown as "Wait" pending authorisation.

Open Item - Pay by Cheque

Supplier A/c.: 1201 Main Franchise Supplier Mth3+ -149740.66
 Tel: 01949 6049145 Unit 14, Flambard Trading Est Mth 2 -287.50
 Alt: Floxton Mth 1 -5541.25
 Fax: 01949 6049011 Tilbury Cur -126.50
 Days Credit: 30 Rutland Bal -155695.91
 Pay To A/c.: 1201 RT12 4QZ Sales: 0.00 Set To Pay -28500.00

Date	Ref	Sup Ref	T...	Outst Amt	Orig Amt	Set Dt	Set Amt	Stat	D	Description	Pay ...
30Jun09	P01050	1233	Inv	-652.50	-652.50	30Jul09		Wait			
30Jun09	P01051	1564	Inv	-115.00	-115.00	28Sep09		Stop			
01Jul09	P01052	154865	Inv	-126.50	-126.50	31Jul09		Wait			

Total outstanding -155695.91

Buttons: Dates, Find, Nominal, Docs, Dispute, Csh.All, Currency

Users who are members of the required authorisation group can see a list of invoices awaiting payment authorisation from the Document Approval program (Purchase Ledger, Document Management)

Document Approval

Pre-Posting Approval | Issues Pending | **Payment Authorisation** | To be Viewed

Date	Supplier	Sup Ref	Type	Value	Ref.	Sett.Dt	Sett.Amt	Disp	Invoice Description
30Jun09	DEERE	1051	Inv	100.00	P01051	28Sep09			
01Jul09	DEERE	154865	Inv	110.00	P01052	31Jul09			

Buttons: OK, AuthDoc, Select, Forward, Scr.Pad

Authorising Documents

To authorise a document for payment, use the <Enter> key.

The “AuthDoc” button displays further details for the highlighted line. It is possible to set a dispute code on the invoice and add comments within this screen.

To send the invoice/credit to another user for checking use the “Forward” button.

The document list is generated based on the details set on the Personnel Security File. The “**Select**” option can be used to change the selection using other options.

The screenshot shows a dialog box titled "Authorisation Selection". It contains the following fields and controls:

- Supplier A/c.: [] ...
- Depot Code: [ALL] ...
- Email From: []
- Sent From: [0/00/0000] ... To: [TODAY] ...
- Priority From: [0] To: [9]
- Include Non-posted Documents? [No]
- Buttons: OK, Cancel, Reset

5. To Be Viewed

If a Payment Authorisation Group is set on a Document Type that is unrelated to Purchase Ledger payments, e.g. Customer Documents, these show in the document approval system as “To Be Viewed”. Once accepted using the “**Ack.Doc**” button the document is stored in the relevant area of Gold, in this example on the customer account.