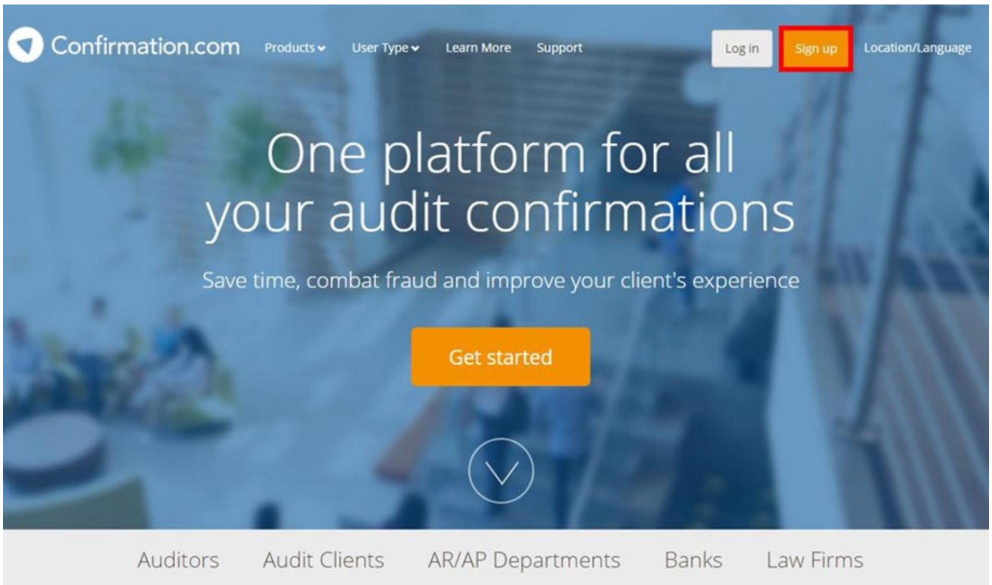
Requestor User Manual

Getting Started

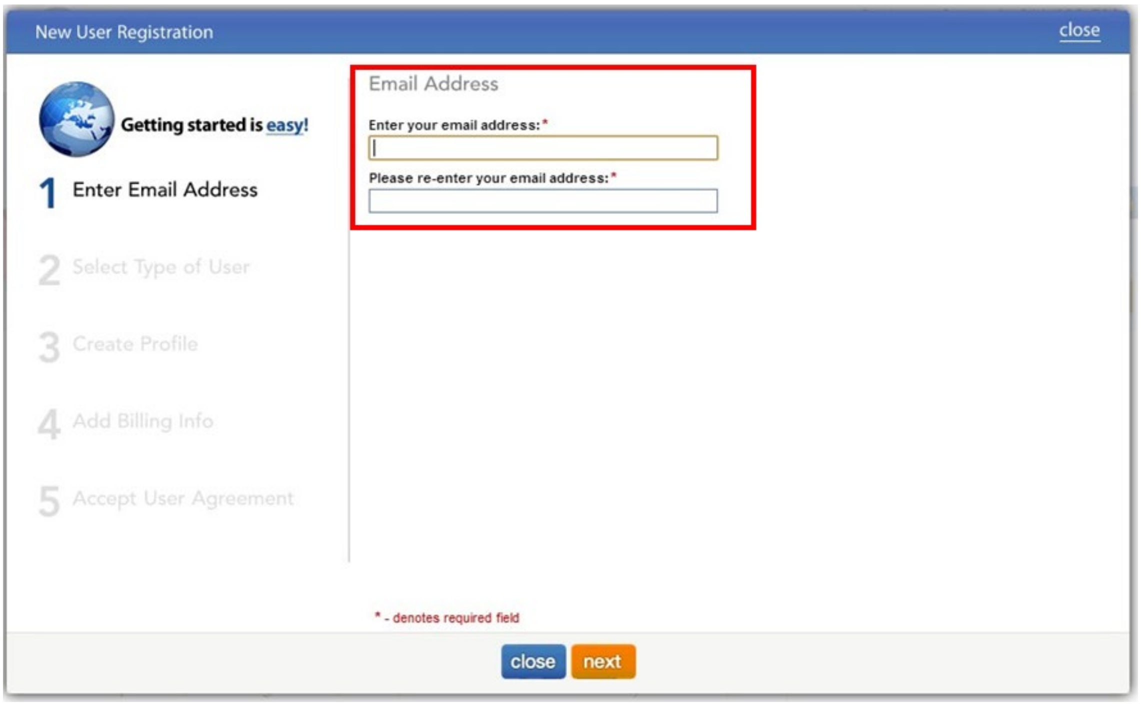
Step 1: Sign Up

Go to www.confirmation.com and select the Sign up link located within the login area or click here to sign up.



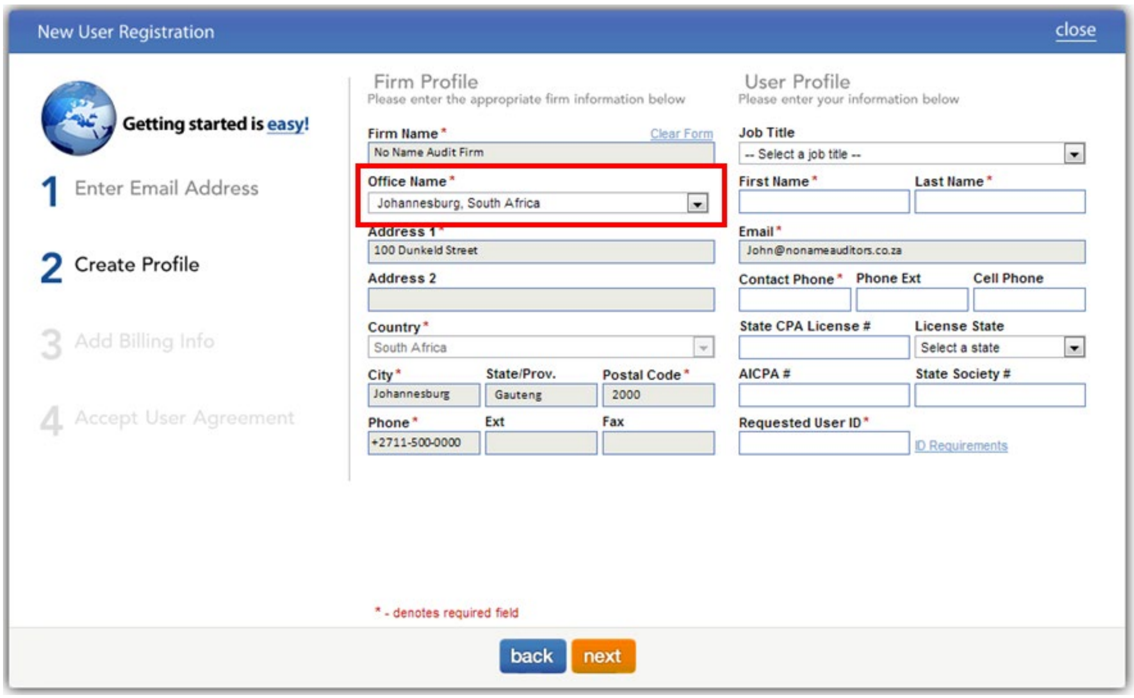
Step 2: Email Address

Enter your email address in the required fields and click next.



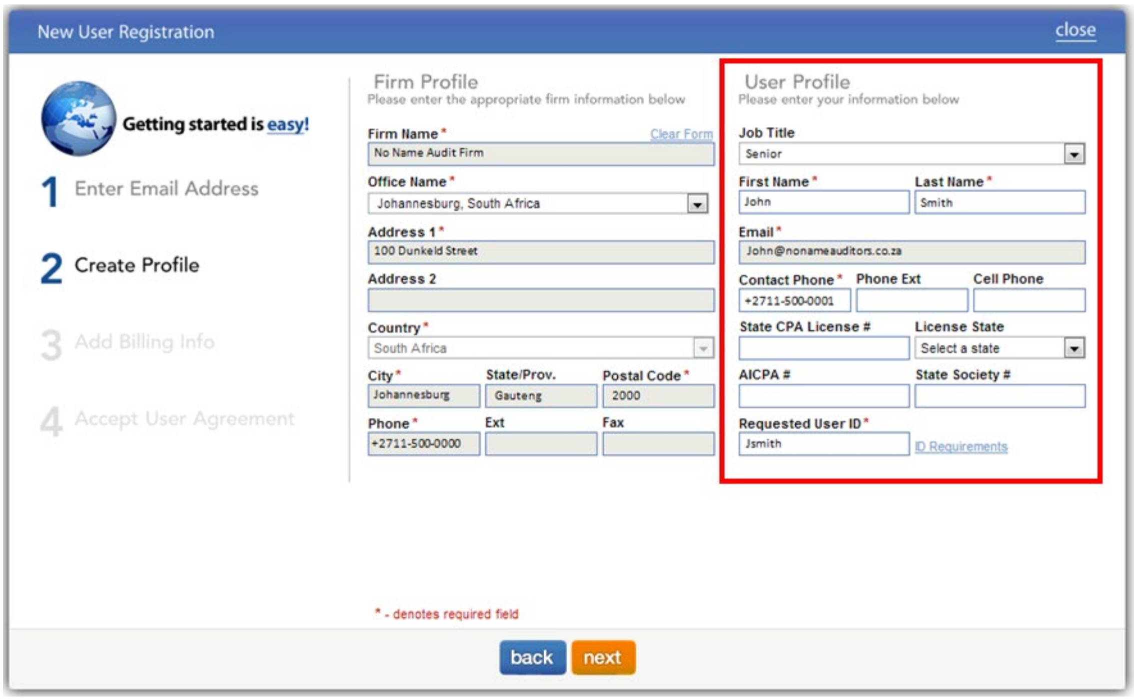
Step 3: Firm Profile

Select the firm office from the dropdown box. The Firm Profile fields will auto populate with the office details when the office is selected. To add a new office select "—Add New Office—".



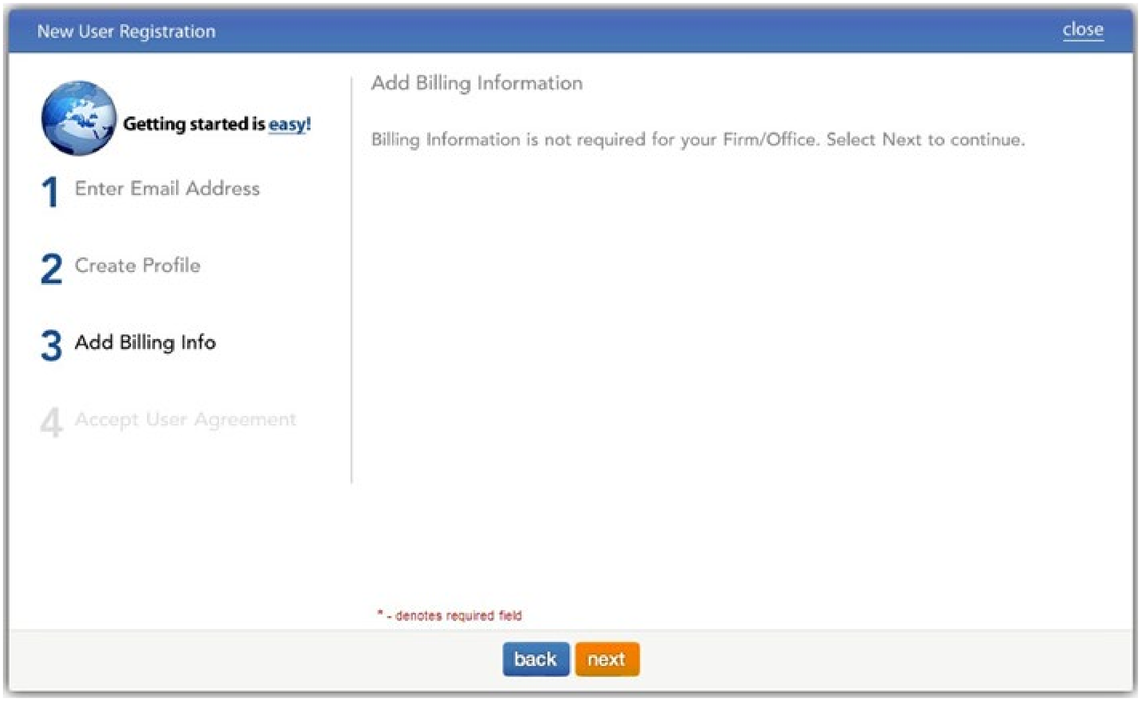
Step 4: User Profile

When a new audit staff member registers with Confirmation.com, the user who is signing up is required to enter his/her appropriate information under the User Profile section. This new user will be registered under the firm profile. (Please note that the User ID is the username that is required when logging into Confirmation.com. The User ID must be at least 6 characters and no more than 15 characters long and may contain numbers and letters. Once a UserID is set, it cannot be changed.)



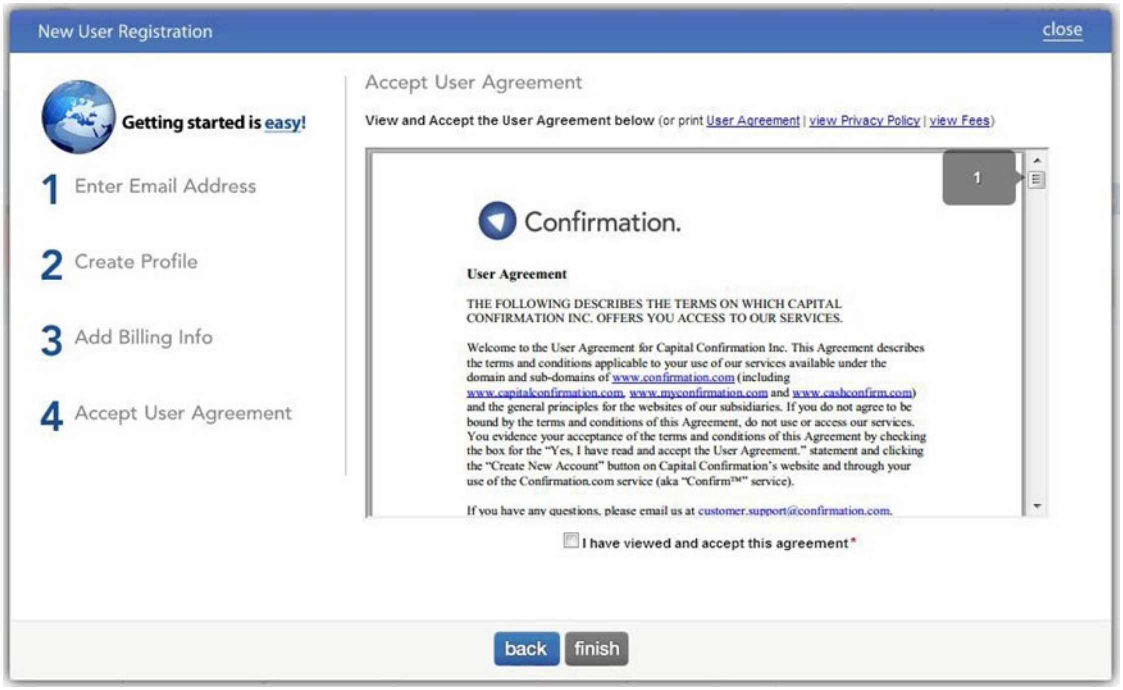
Step 5: Add Billing Information

Please note: The individual requestor is going to be required to input credit card details when initiating a confirmation request. When initiating a confirmation request the system will prompt the user for credit card details. (Refer to Step 4 of “Initiate a Request” below)



Step 6: Finish

Once a user clicks Finish, an email from **systems.administrator@confirmation.com** will be sent to the user to set up a password. (Please note this email sometimes lands up in the Spam / Junk email box).



Pre-Initiation Checklist

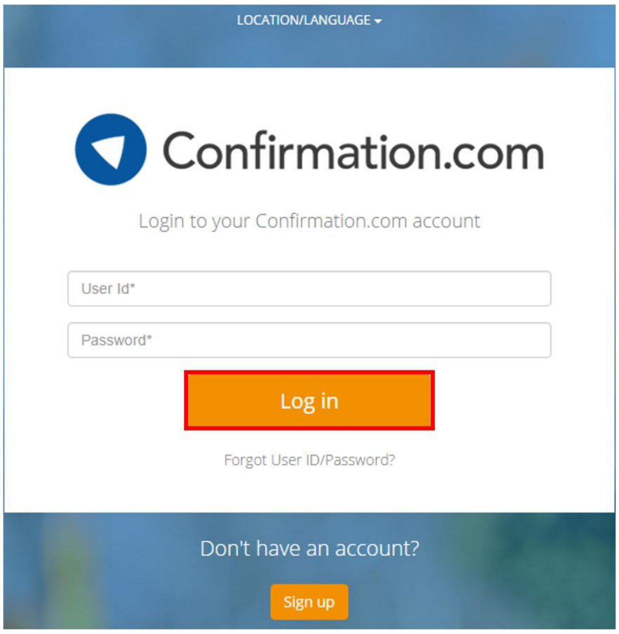
Information required before initiating a request

	Step 1: New Client Profile
☐	Obtain details of client: Client name, Office address, Website address, Engagement number/firm code
☐	Obtain details of client Authorised Signatory/ies for the various accounts to be requested: Name, Surname, Email address, Contact number
	Step 2: Obtain Accounts / Assess Client Risk
☐	Obtain from client, list of all bank accounts/lending facilities/derivatives(incl. FECs)
☐	Partner/Manager assess risk of client and determine which SAAPS 6 forms/accounts need to be confirmed ie: Asset; Liability; Contingent Liabilities (includes Guarantees); Derivatives (includes FECs); Signatories; Securities (ie: instruments); Letter of Credit; Cash Management; Bills. Refer to the confirmations webpage for bank instructions and a guide on SAAPS 6 Forms for additional help.
	(Note: Per SAAPS 6, you will need to send all the accounts you want confirmed, the bank will confirm what the auditor has sent)
☐	**Step 3: Client Authorisation** Inform client Authorised Signatory/ies to lookout for the authorisation email from systems.administrator@confirmation.com.
☐	**Step 4: Initiate Confirmation** Billing is done on a transactional basis ie: when requests are sent, therefore either a company credit card should be set up (request this to be set up by Confirmations) or the individual user will need to input credit card details.

Initiating Requests

Login

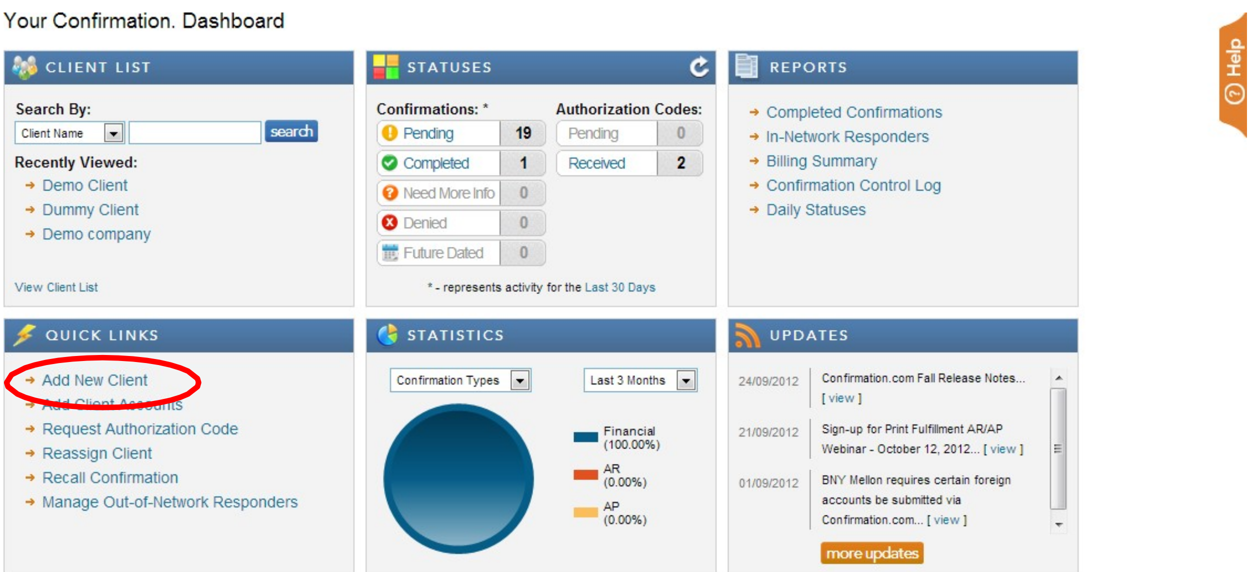
Go to www.confirmation.com, enter user id and password and click Login



Initiating confirmations for a client is a 4 step process. 1) A Client Profile must be established, 2) Accounts must be added, and 3) Authorisation must be received from the Client Signer. Once these steps are complete, the Initiate function will become available for this client. Clicking the Initiate button will allow you to select the desired accounts and input the desired As of Date. Once complete, review and accept the associated charges and select Initiate. For more information, see the how to video's under the guides section of the Help tab.

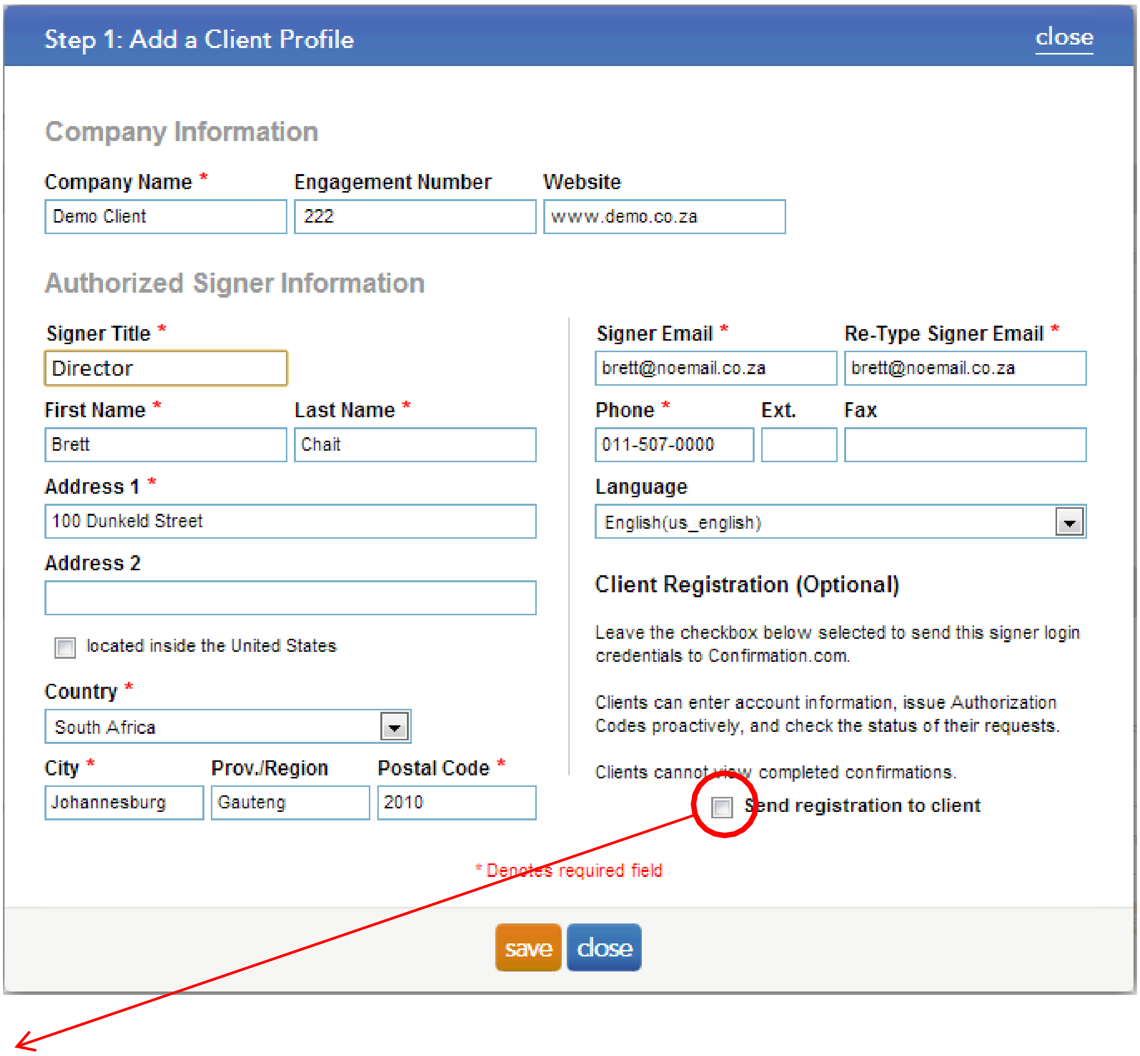
Step 1: Add New Client

- To set up a new client profile, click Add New Client link located in the dashboard's Quick links area.



- Enter the Client’s Company Information and Authorised Signer Information in the fields provided.

(Please note the Authorised Signer Information relates to the clients authorised signatory that is mandated to give the bank permission to release the company information to the auditor. Confirmation.com makes use of an electronic authorisation process, which replaces the old paper based physical client signature. Refer below to Step 3: Obtain Client Authorisation)

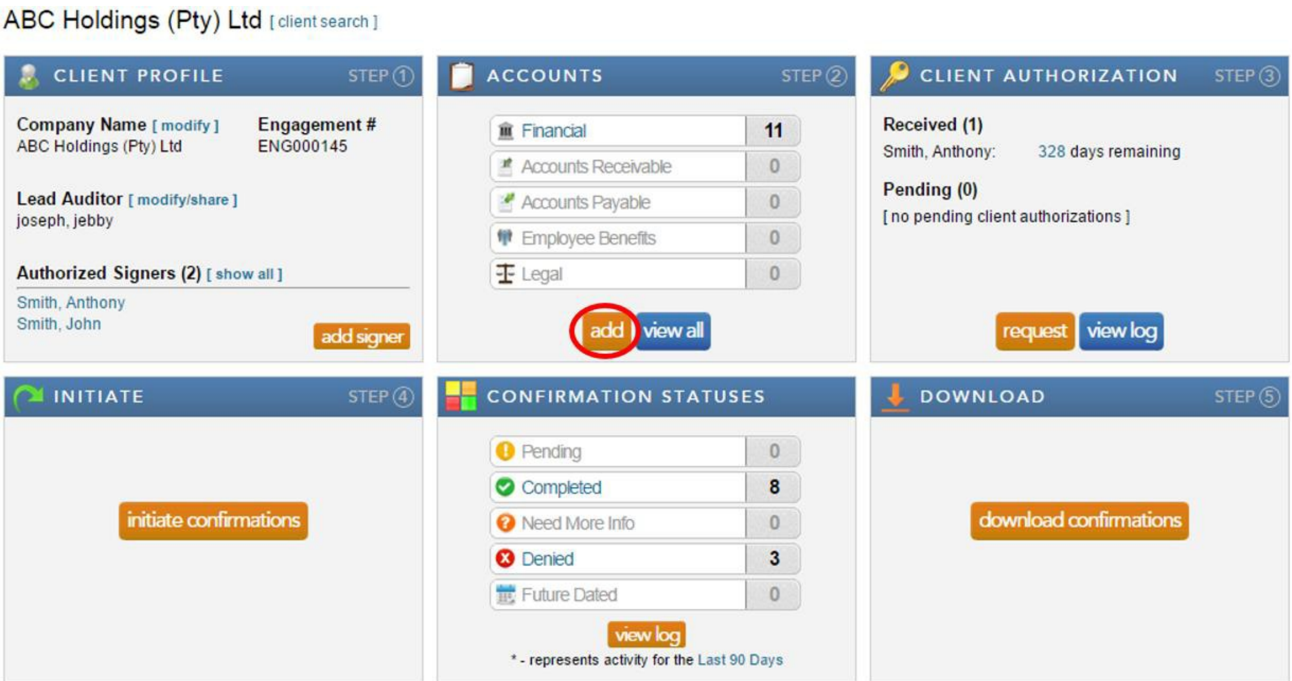


NB!!! Make sure this box is NOT ticked.

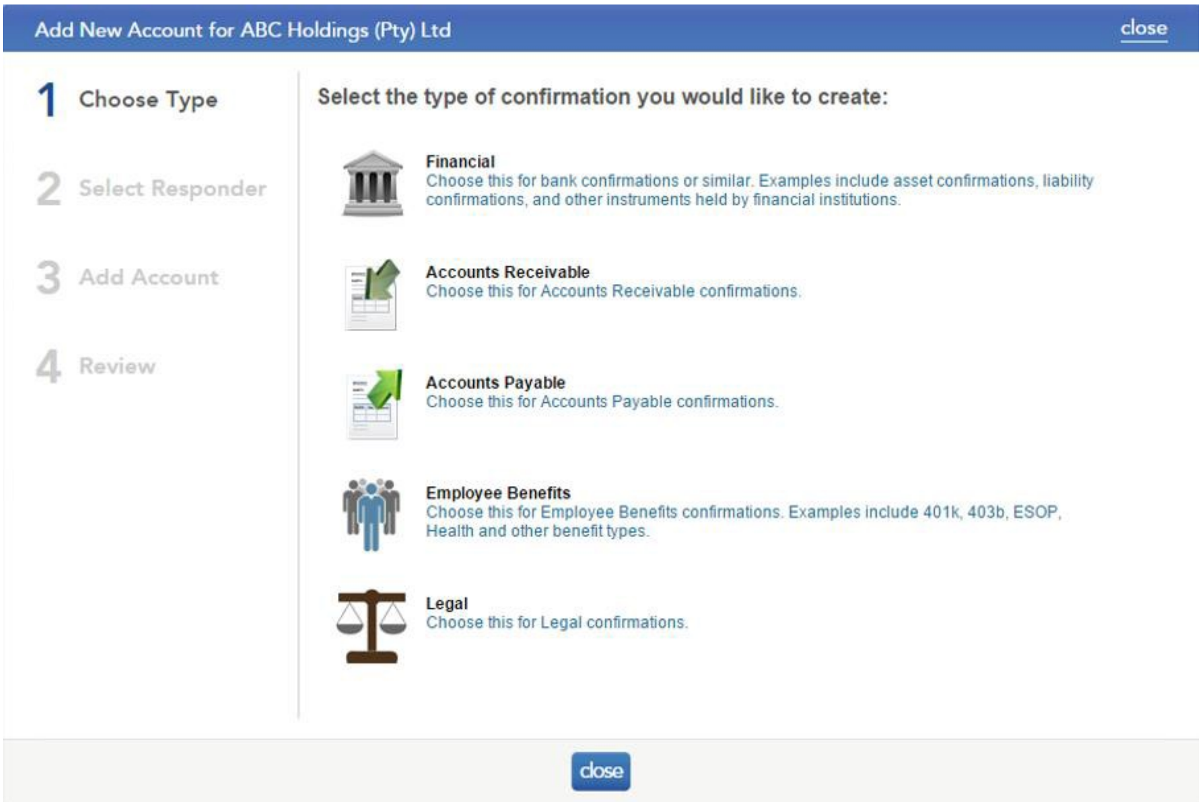
This option allows you send login credentials to your client’s authorised signer. The client will only be able to enter account information, issue authorisation proactively, and check the status of requests. The client will not be able to initiate requests or view completed confirmations. **It is not recommended to rely on clients for this and therefore it recommended leaving this un-ticked.**

Step 2: Add Accounts

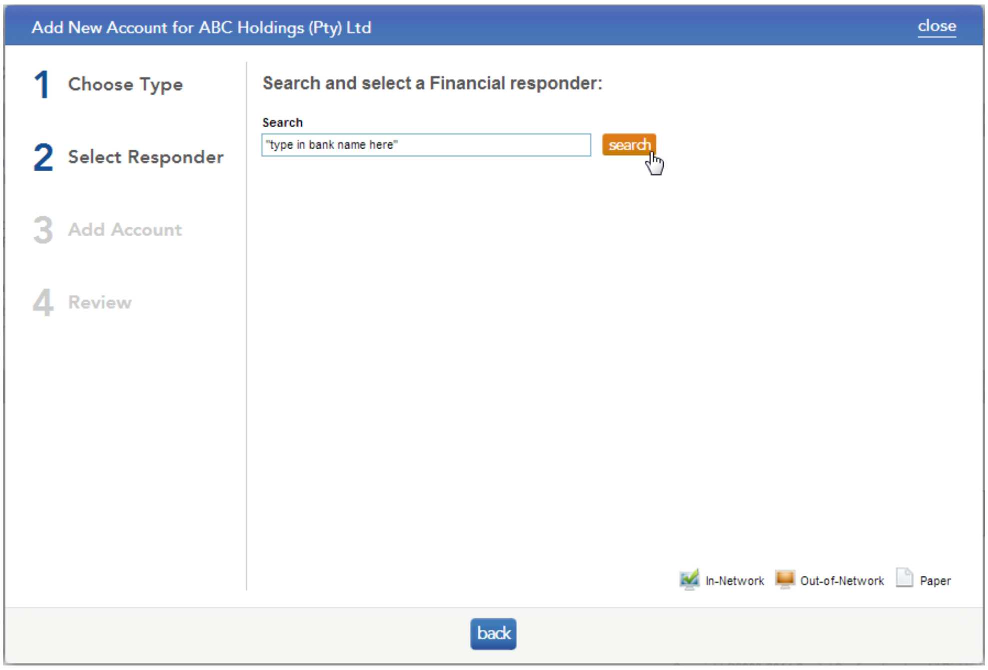
- Select the Add button located in the Accounts block.



- Select the “Financial” option.



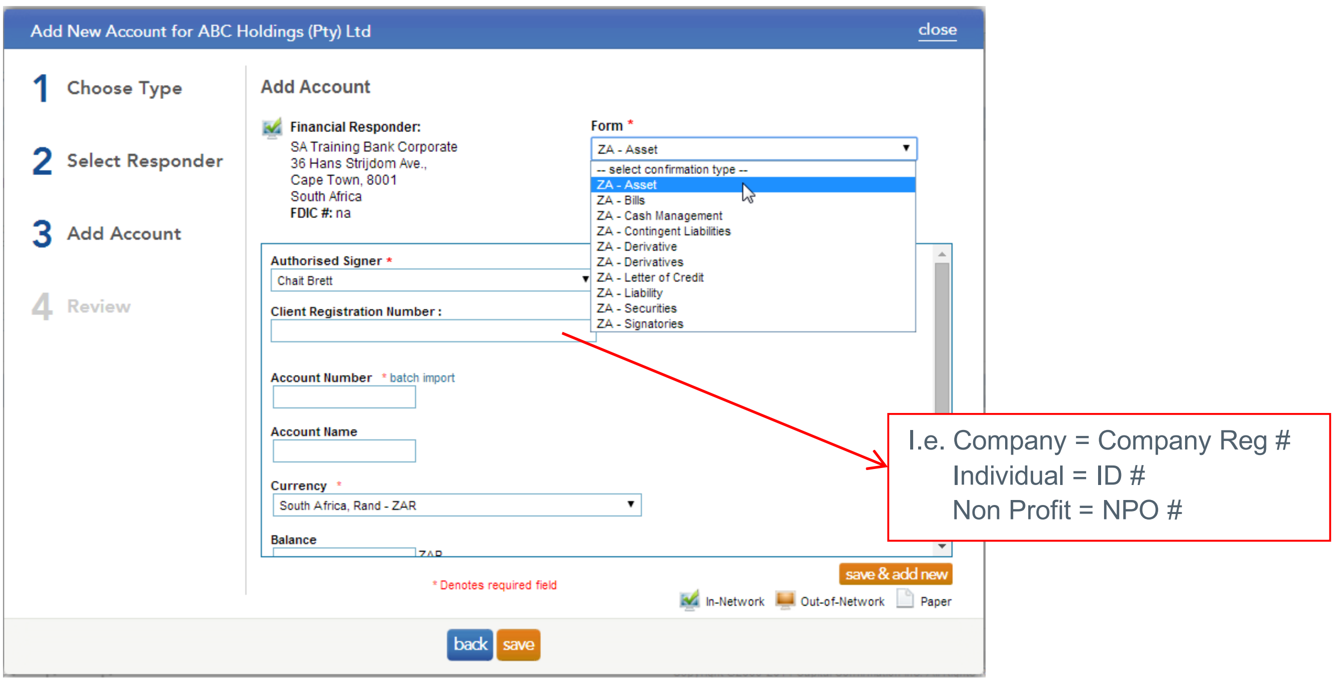
- Search for the financial institution name.



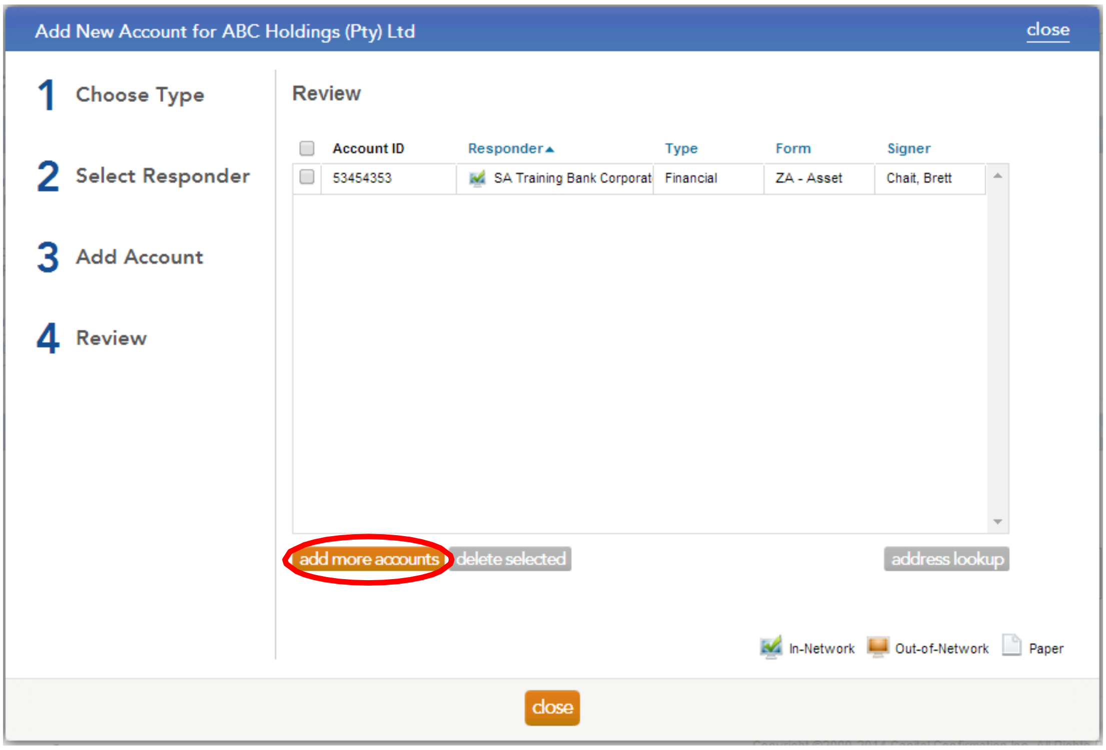
- Select form type and complete required fields. To add only 1 form click “save” or to add another form for the same bank click “save & add new”.

In terms of the new SAAPS 6 released by IRBA, there are 9 separate forms that an auditor can select to send to a Financial Institution in relation to an audit client: Asset, Liability, Securities, Contingent Liability/Guarantee’s, Derivatives, Bills, Letter of Credit, Cash Management Systems, Authorised Transactors / Signatories. SAAPS 6 suggests auditors now follow a risk- based approach for sending external confirmation requests. This allows auditors to assess the client's risk and to select form types based on this risk.

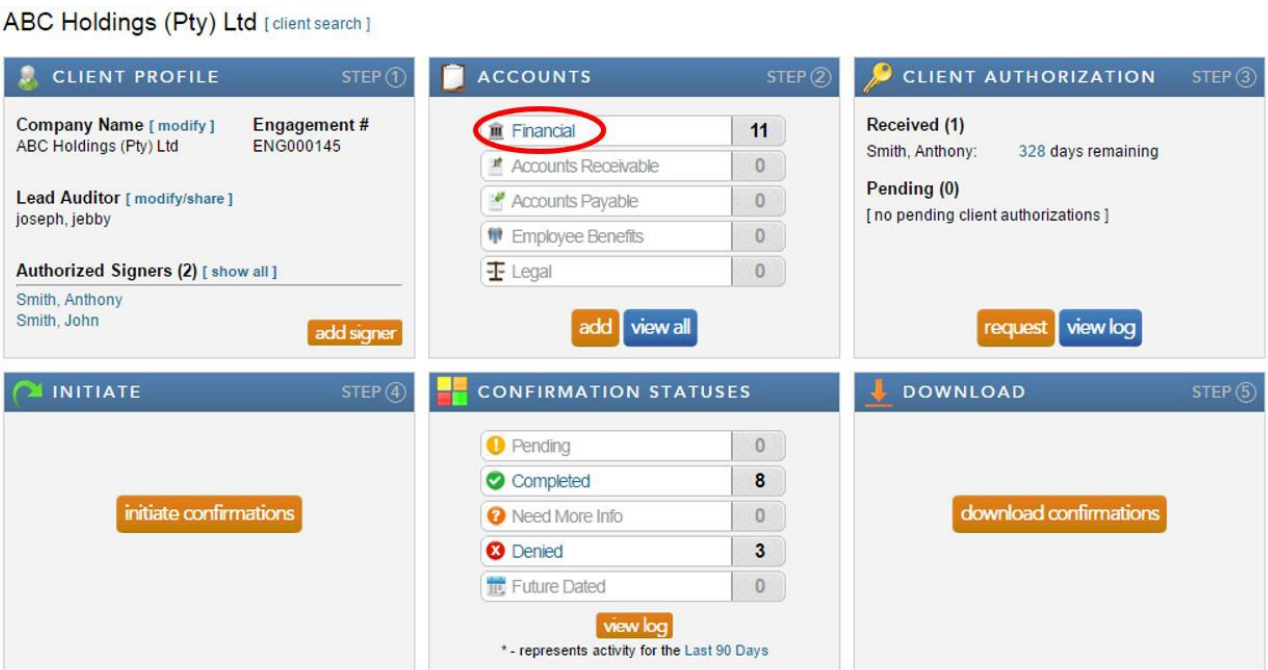
NB!! Each client Asset and Liability account required for request would need to be added individually, therefore more than one Asset/Liability form would be required if a client has multiple Asset/Liability accounts. (For clients with a large number of accounts, multiple asset or liability forms can be created using the batch import feature, refer below.)



- After clicking “save” you will review forms added. You have the option at this point to add forms for a different bank by selecting “add more accounts” or click “close” if done.

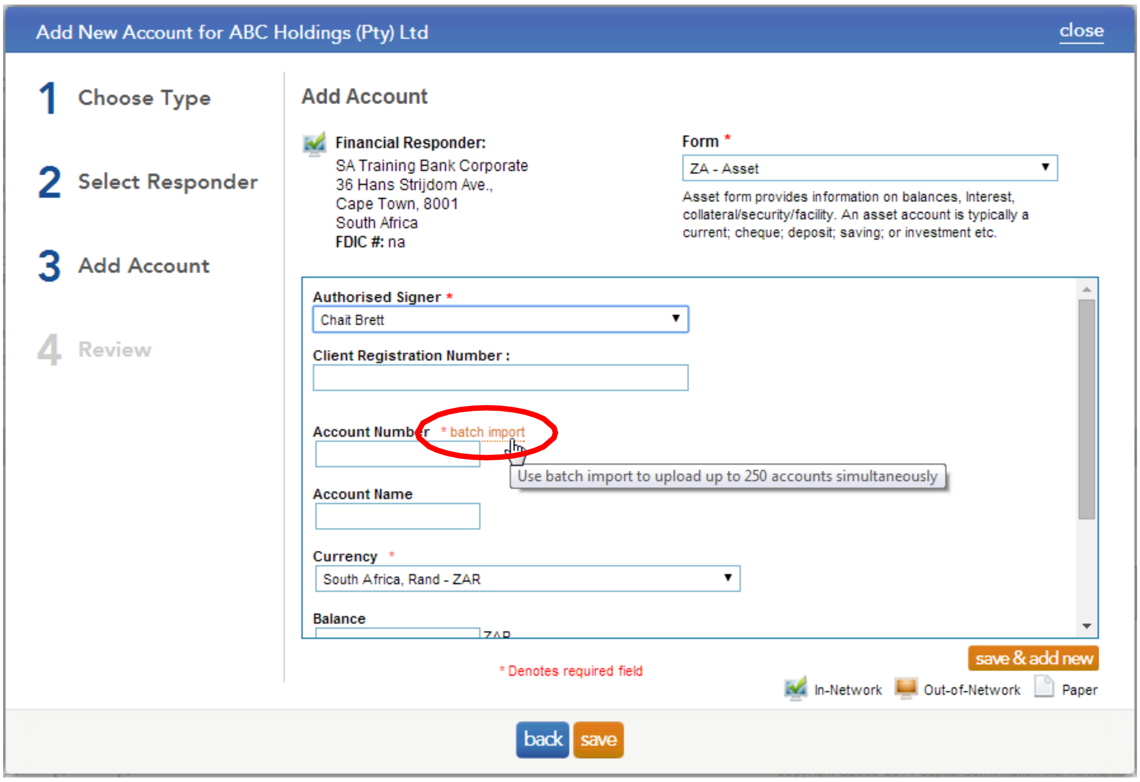


- To view a list of all forms added to client profile click on “Financial” under accounts block.



Batch Import Functionality:

To batch import a number of accounts, you can select the “batch import” link within the Asset or Liability form being created. This will batch create the form type you have selected, for the bank you have selected. (I.e. if you use the link within the asset form, this will create all asset forms for the bank selected.) If your client is multi banked, you would need to batch import per bank.



Setup up an excel spreadsheet (save to computer) with a listing of all the account numbers to be uploaded for this form. The sample excel spreadsheet provided will assist with format to be used.

Setup of excel spreadsheet must be as follows:

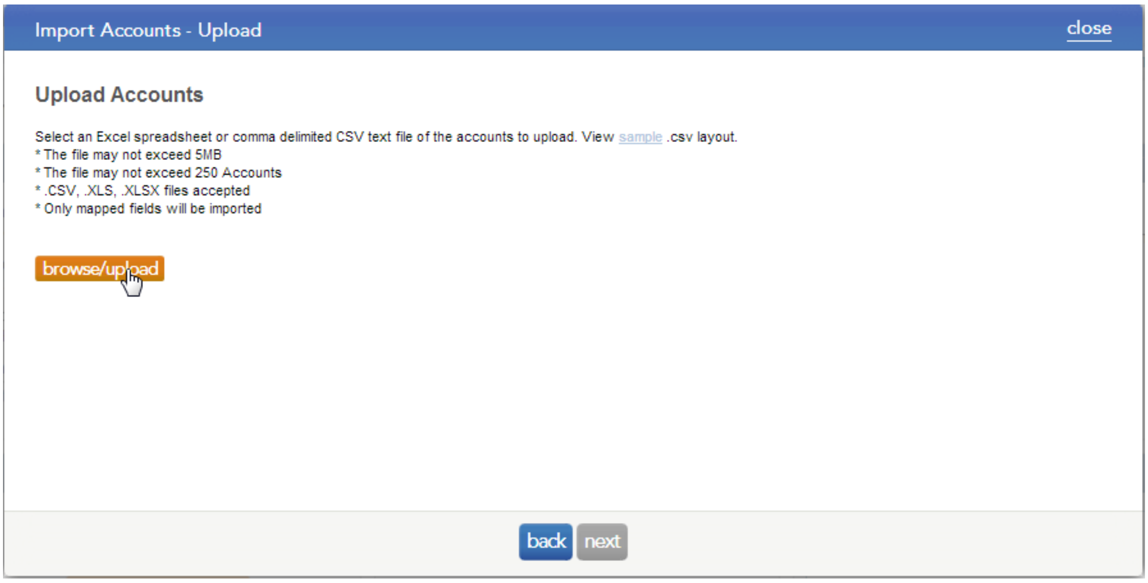
1) Use headings listed below in first three columns of spreadsheet
2) Account ID is the account number
3) Balance can be left **blank**

[Make sure there are no empty rows or columns in the listing]

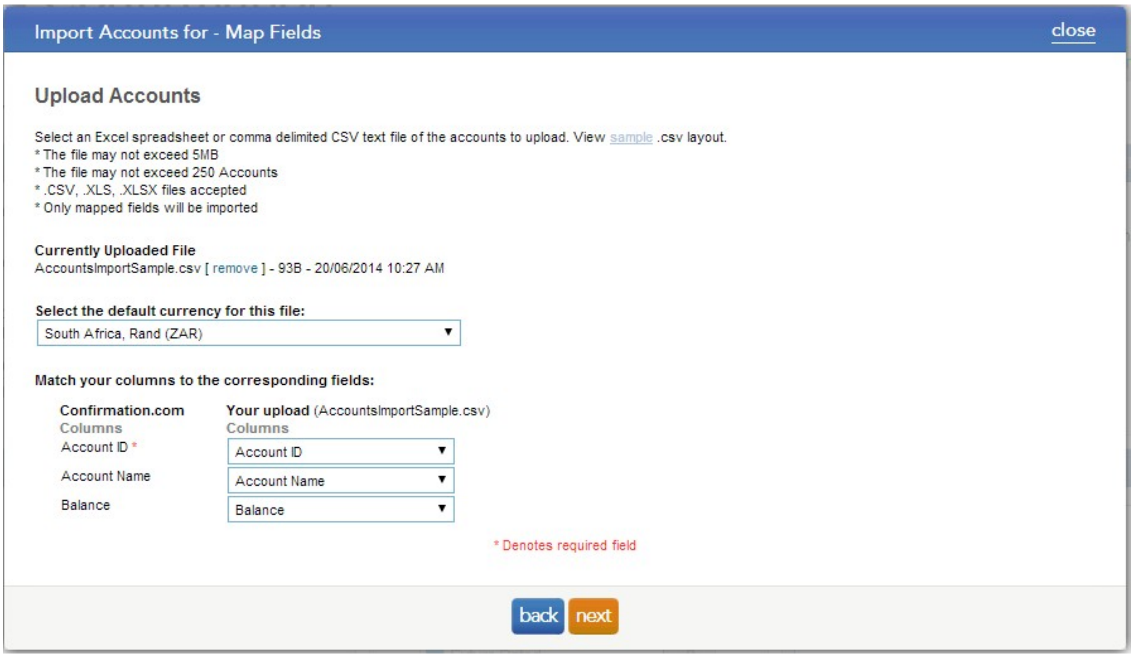
G9

	A	B	C	D
1	Account ID	Account Name	Balance	
2	1234567	Money Market		
3	8901234	Checking		
4	5678901	current		
5	23432423	Investment		
6				
7				
8				

Click “browse/upload”, and upload the saved excel spreadsheet.



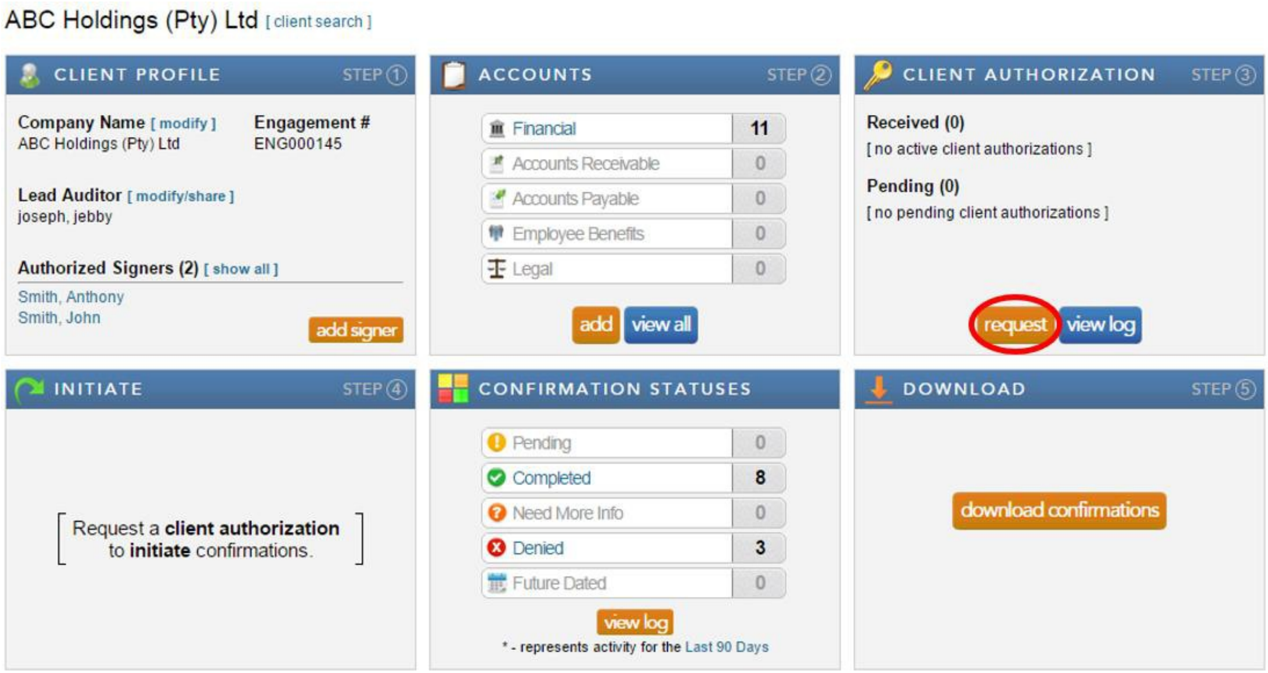
Select the default currency (South African Rand), link the column headings to the excel column heading and click next.



Step 3: Obtain Client Authorisation

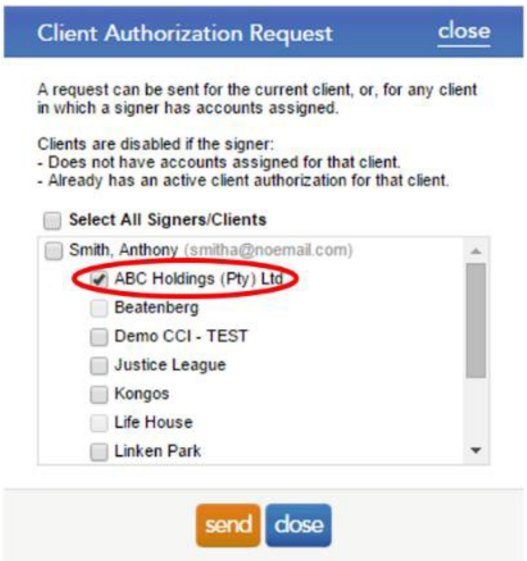
The Client Authorisation is the mechanism by which the client bank mandated signatory can provide electronic approval to the auditor to initiate confirmations. Without this approval, confirmations cannot be initiated using Confirmation.com. Once requested by the auditor, the Client Signer will receive an email containing information about: the auditor details, what companies the auditor wants authorisation for. The client signer can give the authorisation by clicking on a link within the email.

- Select the Request button located in the Client Authorisation block.



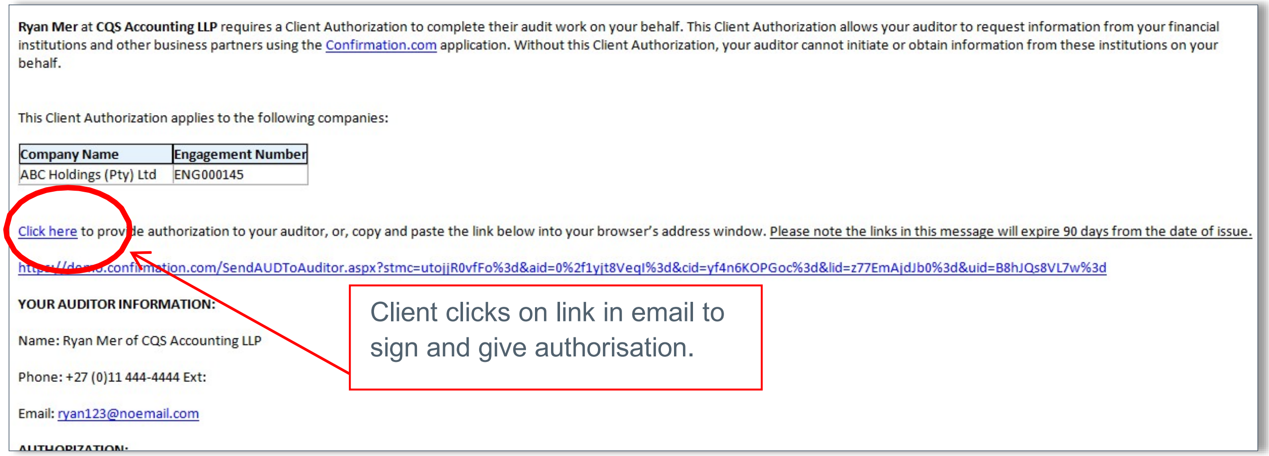
- Tick client signer name and the required entities to obtain authorisation for and click send.

  [Note a system generated email from systems.administrator@confirmation.com will be sent to the email address of the selected client signer. Only one email will be sent and this email will reflect on the email all the legal entities selected. The client signer will be able to give authorisation for all selected legal entities at once]



- Authorisation Email Sent to Client Signer

  [Note: It is suggested for auditors to inform client signer that an email is sent from systems.administrator@confirmation.com. This can land up in the client spam/junk folder]



Ryan Mer at **CQS Accounting LLP** requires a Client Authorization to complete their audit work on your behalf. This Client Authorization allows your auditor to request information from your financial institutions and other business partners using the Confirmation.com application. Without this Client Authorization, your auditor cannot initiate or obtain information from these institutions on your behalf.

This Client Authorization applies to the following companies:

Company Name	Engagement Number
ABC Holdings (Pty) Ltd	ENG000145

Click here to provide authorization to your auditor, or, copy and paste the link below into your browser's address window. Please note the links in this message will expire 90 days from the date of issue.

https://demo.confirmation.com/SendAUDToAuditor.aspx?stmc=utojjR0vfFo%3d&aid=0%2f1yjt8VeqI%3d&cid=yf4n6KOPGoc%3d&lid=z77EmAjdJb0%3d&uid=B8hJQs8VL7w%3d

YOUR AUDITOR INFORMATION:

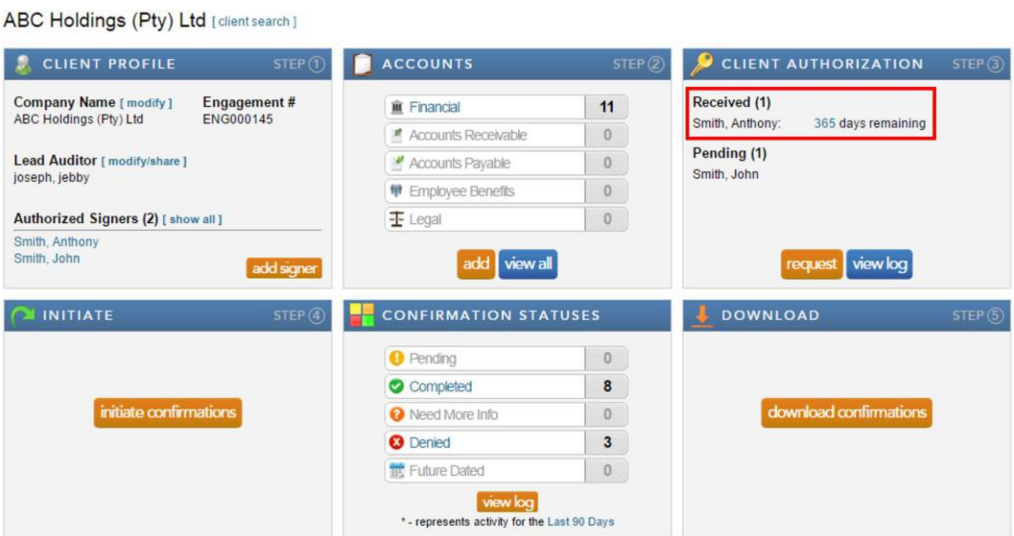
Name: Ryan Mer of CQS Accounting LLP

Phone: +27 (0)11 444-4444 Ext:

Email: ryan123@noemail.com

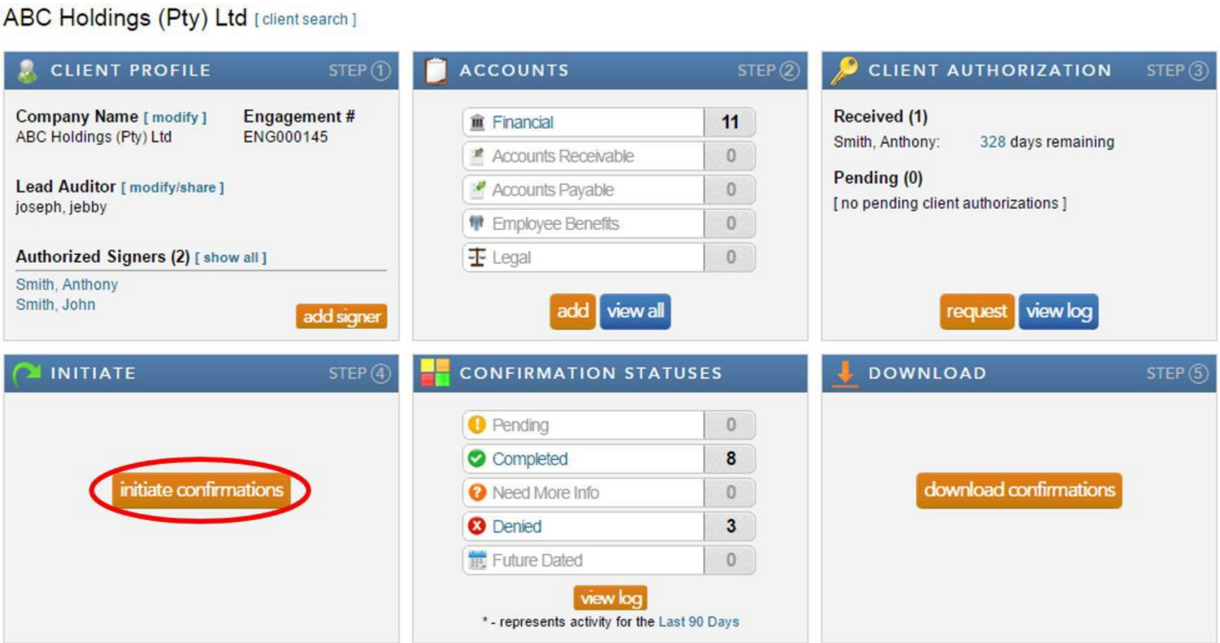
- Once client clicks on link in email a client signer Webpage will open in the client's browser. Client must sign using a mouse, trackpad, touchscreen device or the option to type name in the block. Once client clicks send the system will update auditors client profile with received authorisation

- Auditor client profile received view after client signed



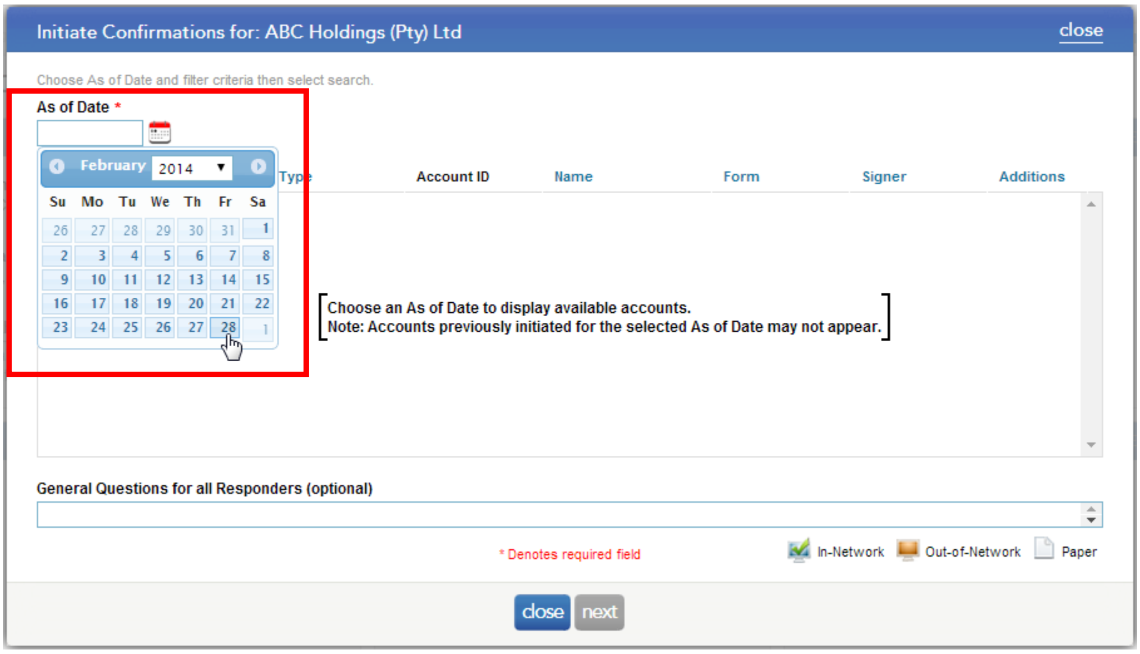
Step 4: Initiate Confirmation

- Select the Initiate Confirmations button located in the Initiate block.



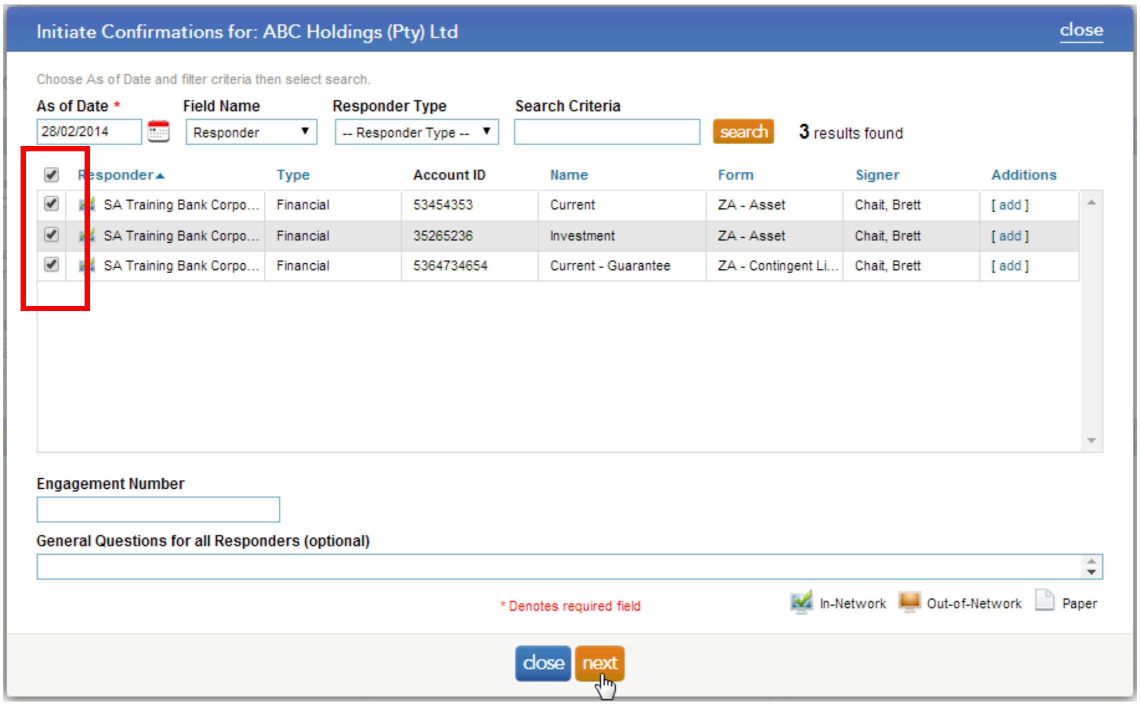
- Select the "**As of Date**". The "As of Date" supplied by the auditor when initiating confirmations is the date the responder will use when providing the desired client information back to the auditor. This is the date the auditor wants the confirmation as of ie: Client Y/E Date or Interim Date, **NOT** the date the confirmations were initiated.

  Note: The system allows for requests to be **future dated**. Select a future date in the As of Date field, up to 90 days in advance. The system will hold back these requests and only release them to the bank immediately after the As of Date.

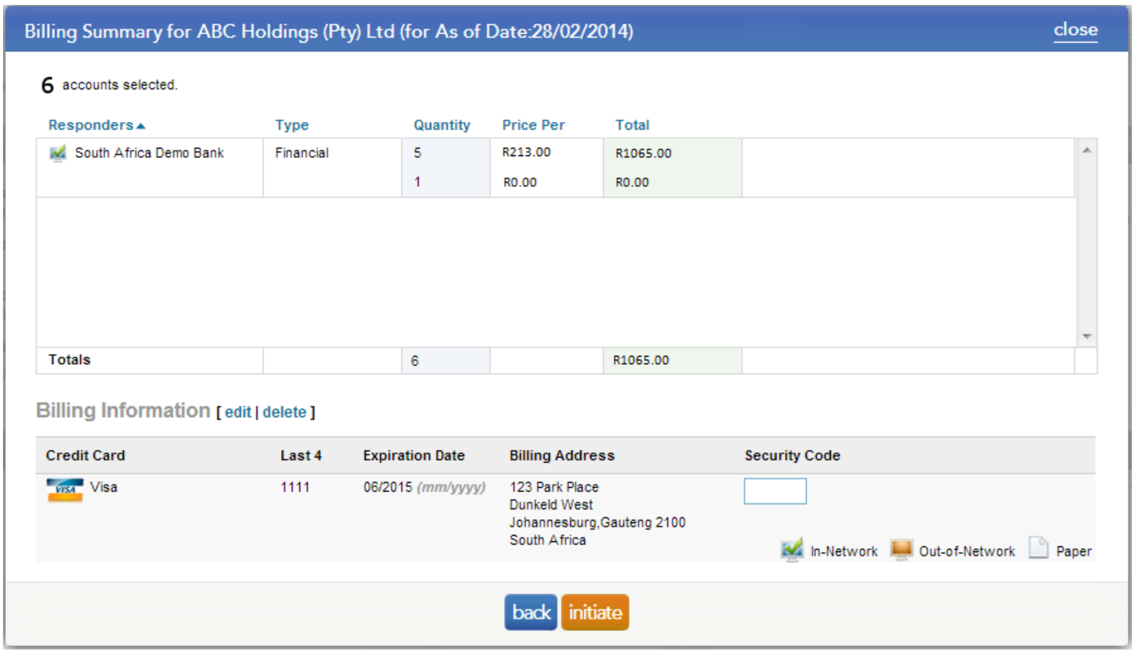


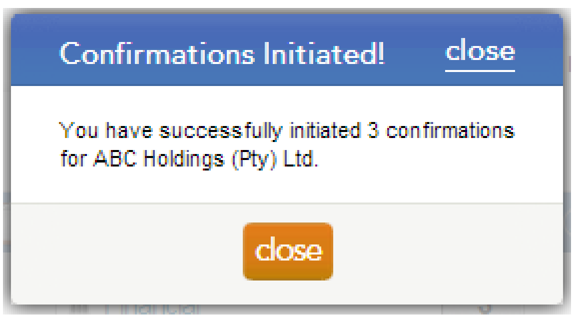
- Select the forms, per the client profile, that you would like to confirm with the bank, by checking the tick box located on the left of each account and click next.

  [Note: forms that have been sent for the selected “As of Date” already and that is still pending at the bank will not be available for selection.]



- Enter credit card details and click the initiate button. A notification will appear indicating the transaction was successful and the confirmation request has been sent to the banks.





Billing Options:

There are 2 credit card options available to a firm for billing purposes:

- Individual user Credit Card Method – At the time of initiating a request, credit card details would need to be entered by a requesting user (This is set as the default method for all newly registered firms)

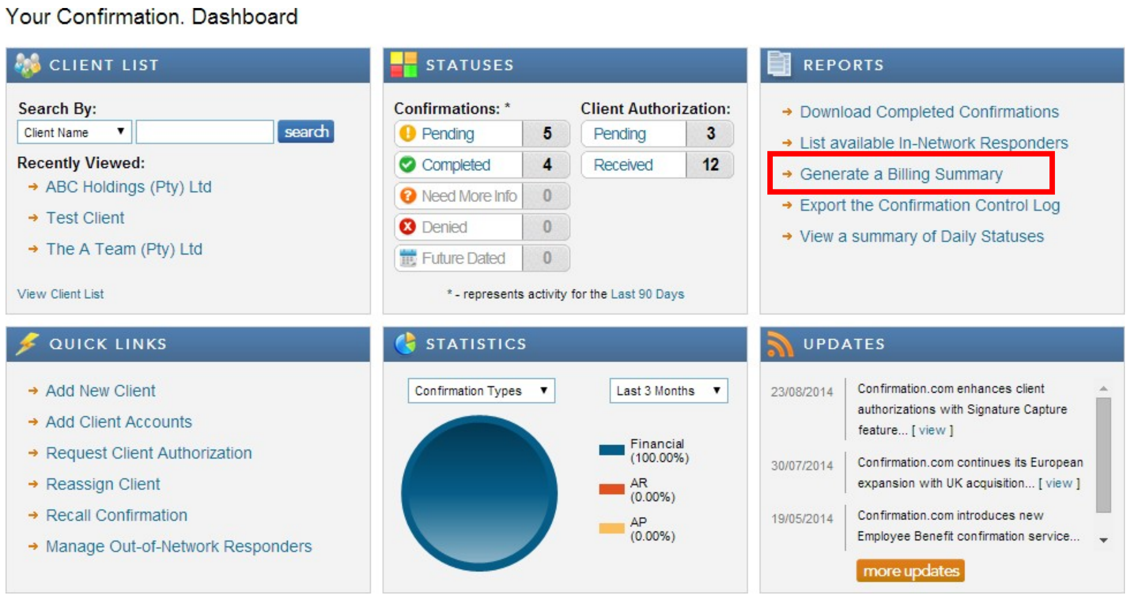
- Firm/Office Credit Card Method – A firm/office credit card can be set in the system to the firm/office profile. All registered users under the firm/office will be linked to this card. This card will be charged when requests are initiated by the users and the user will not need to enter credit card details. The firm credit card details will not be viewable to firm staff. For this option please contact Confirmations.

  [Please note that Confirmation.com only accepts major credit card carriers, Visa and Mastercard for processing Rand based transactions. If a South African Diners Club card is used, the transaction can only be processed in US Dollars, currently set at $23 per billable transaction.]

Purchase Receipts:

The Billing Summary Report is located in the reports section of the dashboard. This report is used for pulling billing information relating to a selected Client for a selected year end date and includes all associated charges related to the confirmation activity.

[Note: A user can only export a billing summary report for an individual client that the user has been assigned to as either a “lead auditor” or “shared auditor”.]



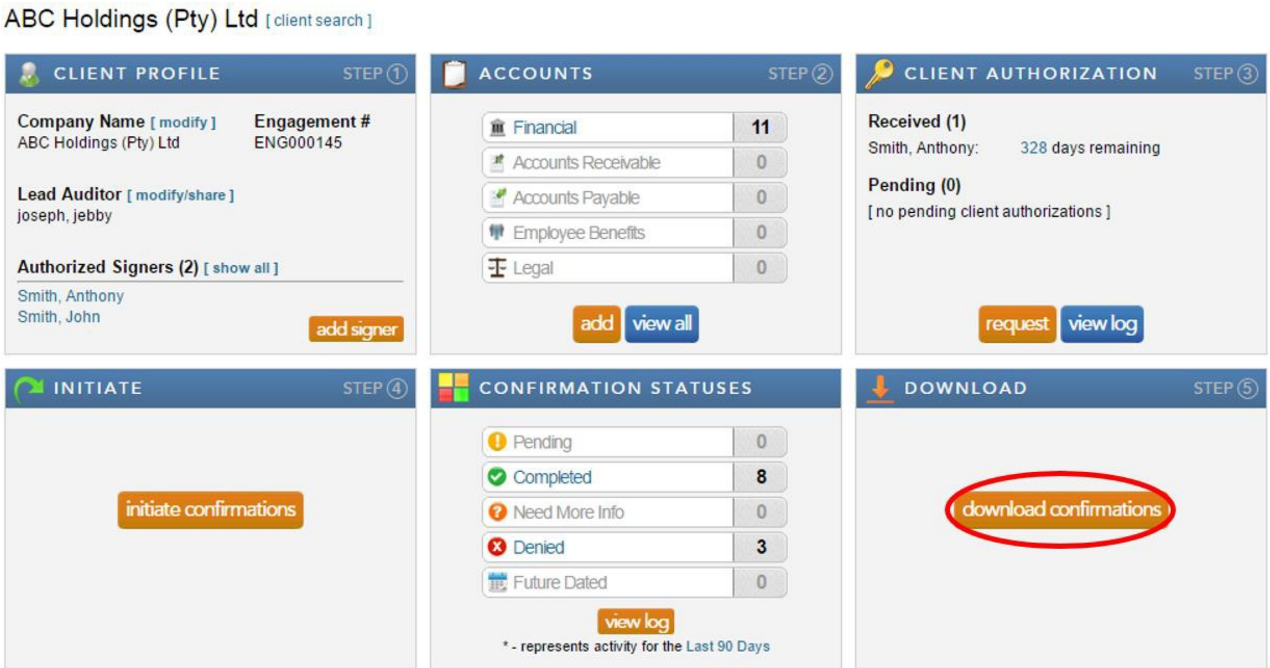
Firm / Office Billing Report:

Confirmations can setup an administrator function for a firm. The administration function of Confirmation.com includes an office activity report, which is a summary report of confirmation activity and billing for an office / firm. For this option please contact Confirmations.

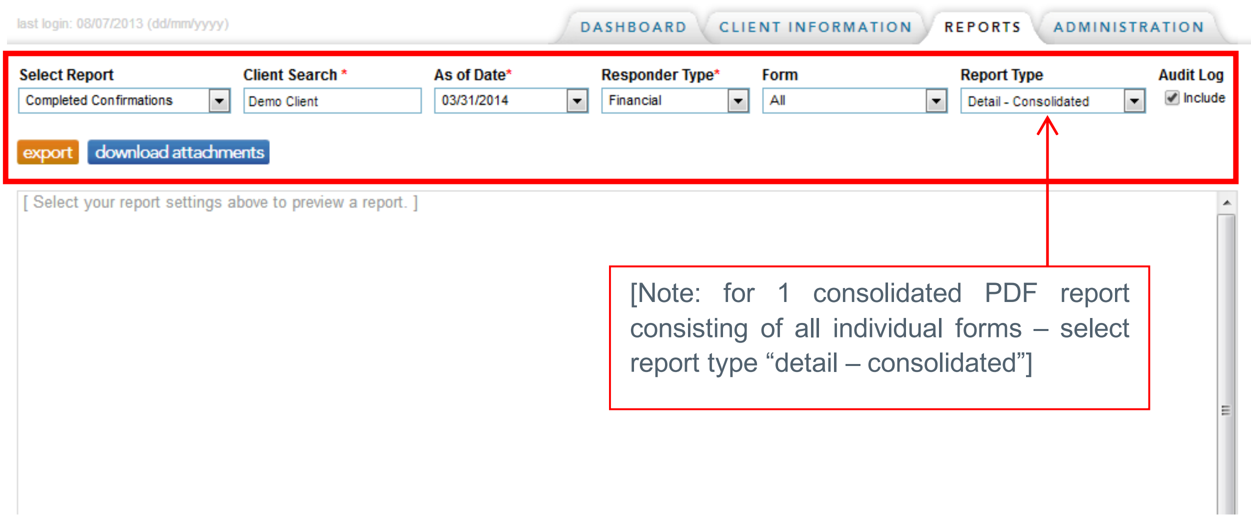
Retrieving Completed Confirmations

There is the option to export either one consolidated pdf report of all the individual completed confirmation forms for a client, or to export each completed confirmation form individually.

- Click on "download confirmations" button in the Download block located under the client profile. (When Confirmations have been completed and returned by the bank, a large orange button will appear in the "Download" block. This button provides a link to the Completed Confirmations report with default report parameters for the selected client.)



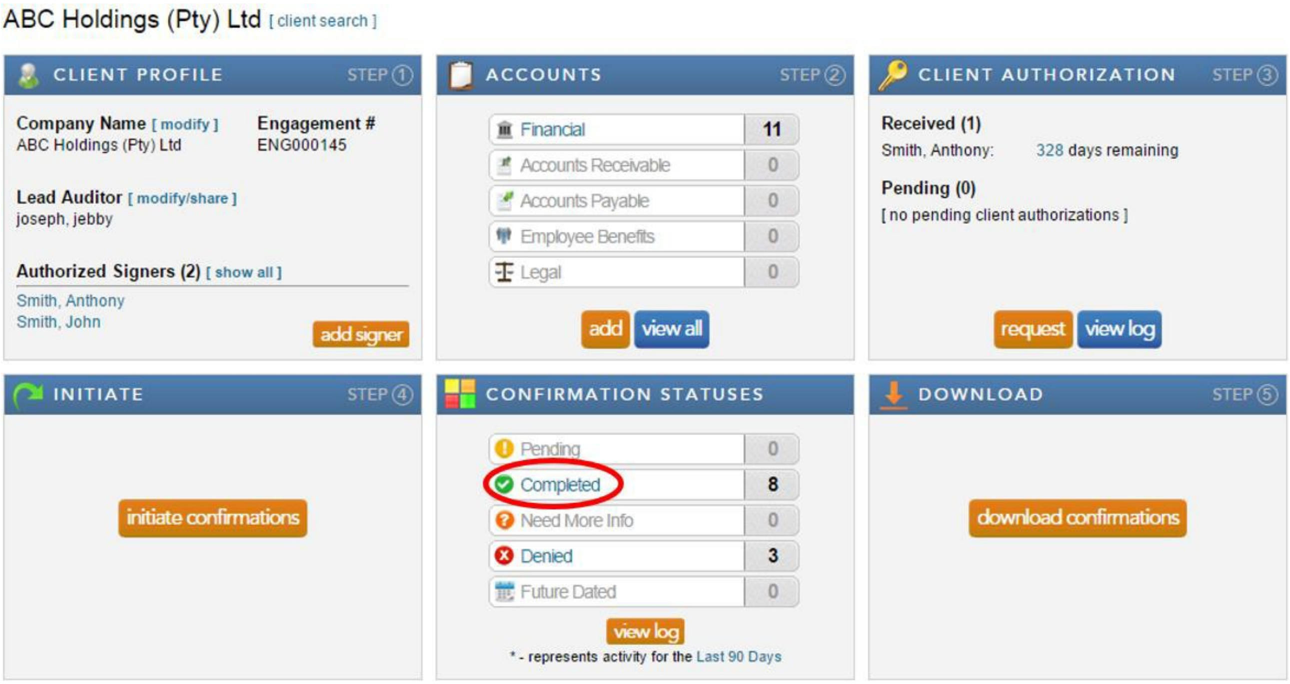
- Complete the required information for each field and click "export" for the confirmation report and "download attachments" for any accompanying schedules the bank may have attached with the report.



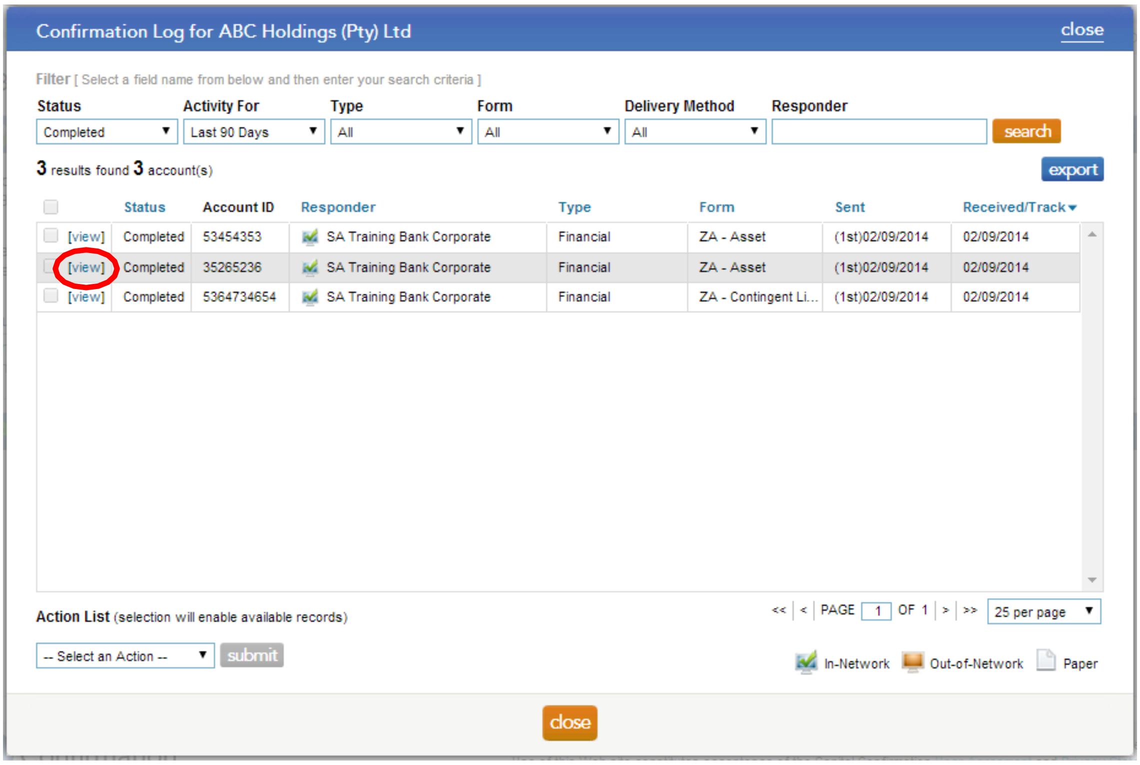
Re-confirming/Querying a Completed Confirmation

Please note any completed confirmation can be queried / reconfirmed. There is no charge for a query / re-confirmation as it forms part of the original request. The bank has the ability to correct a queried / re-confirmed request.

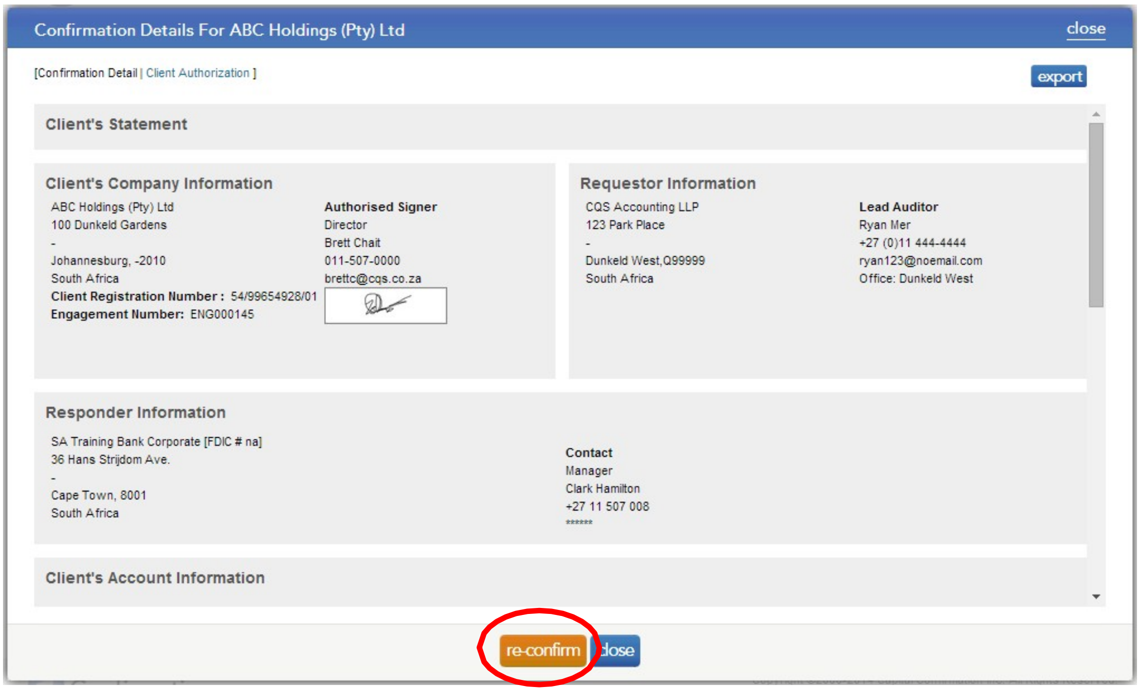
- Select Completed link located under the “Confirmation Statuses” section in the client’s profile dashboard.



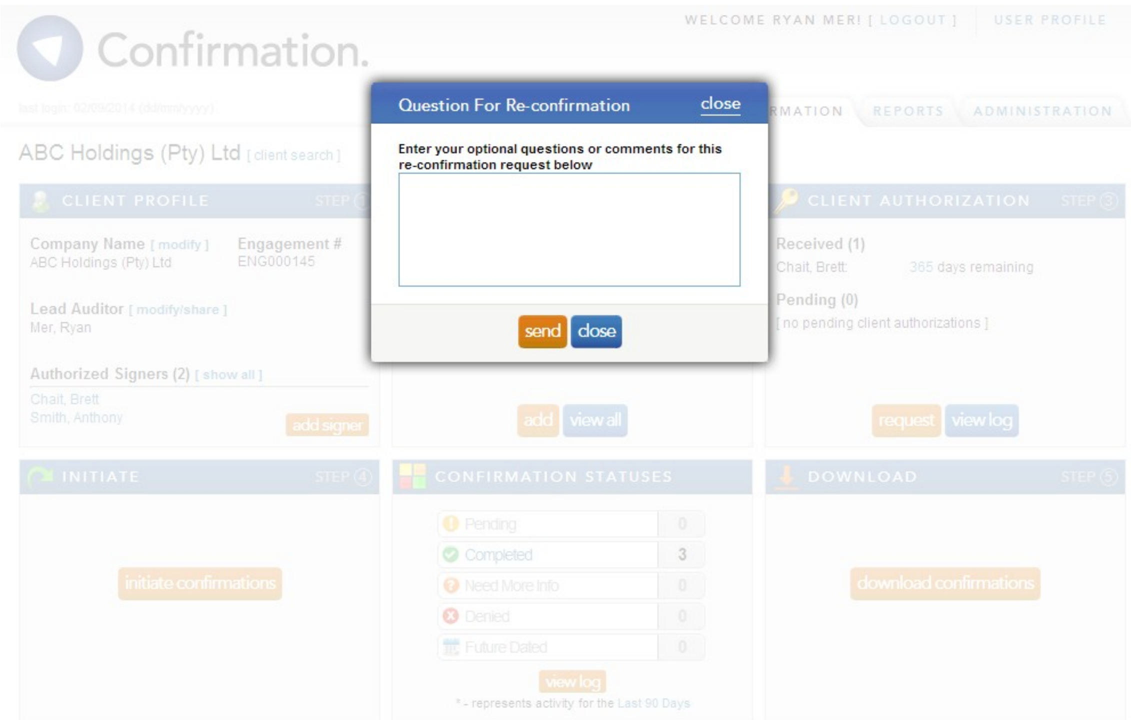
- Select “view” next to the completed confirmation in query, to open and view the completed confirmation.



- Click “re-confirm” to query / re-confirm a request.



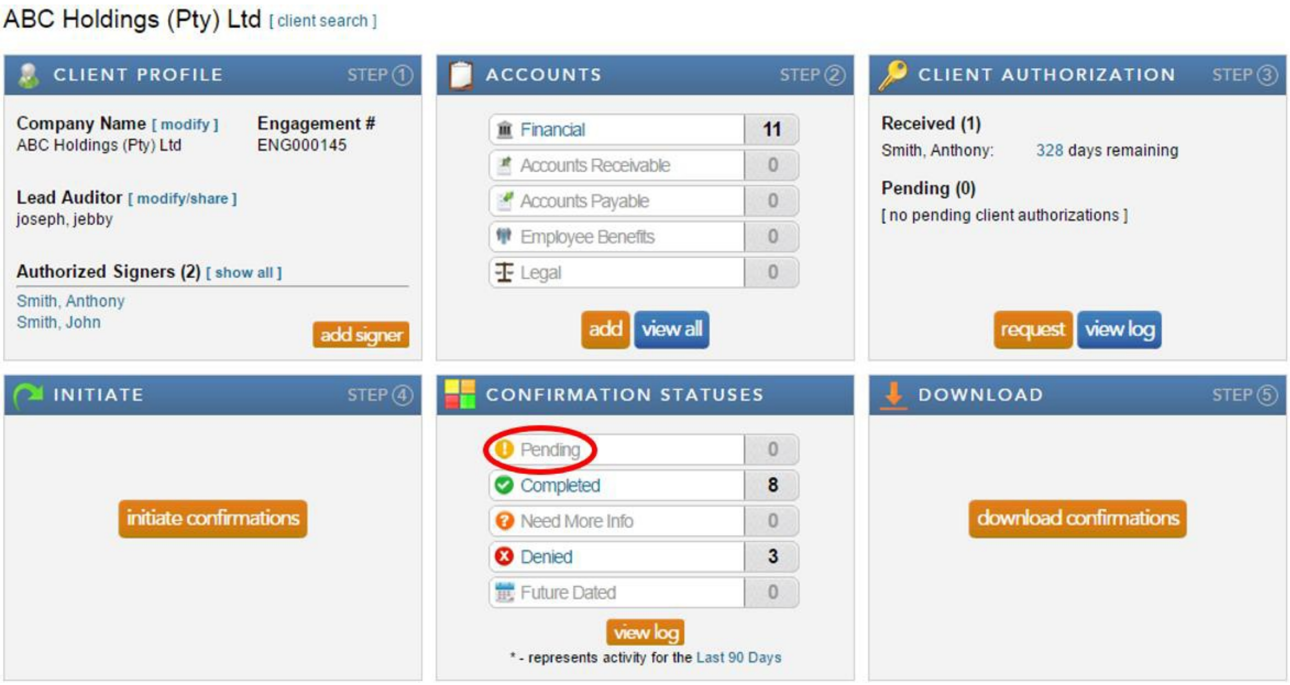
- A dialog box will appear to enter the relevant query for the bank. Once click “send” the confirmation will be resent to the bank as priority and will appear as pending in the confirmation statuses section.



Recalling Sent Confirmations

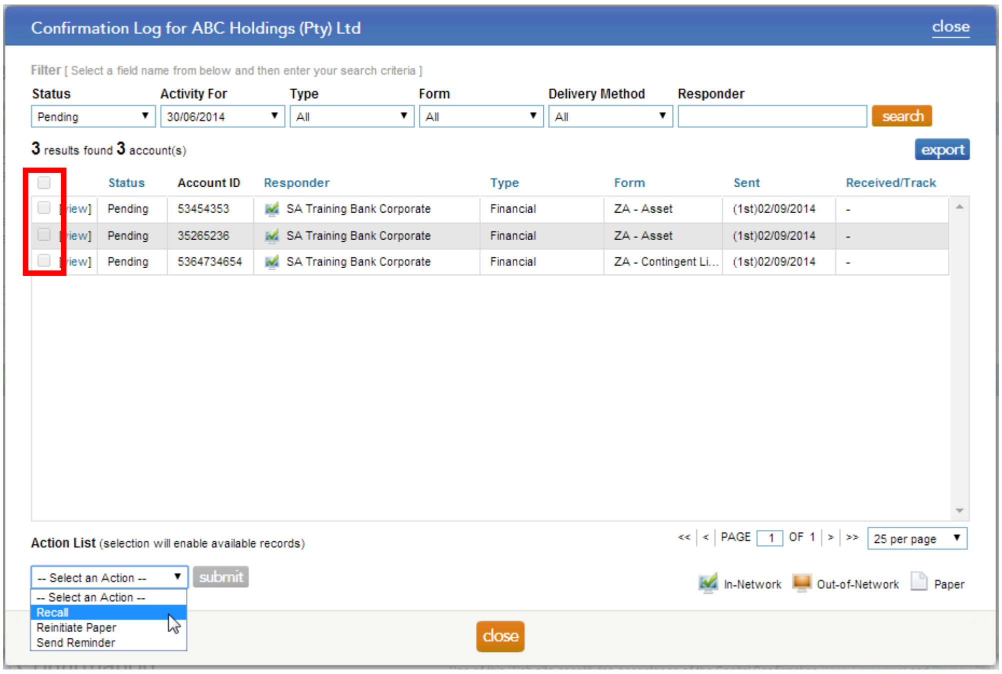
Requests sent erroneously can be recalled with an automatic refund issued.

[Note: confirmations sent to the bank can only be recalled if the bank has not started the workflow on the requests. If the box next to a pending request is greyed out, this indicates that the bank has started the workflow on the request and that the request can no longer be selected for recall.]



- Select "Pending" from the client profile

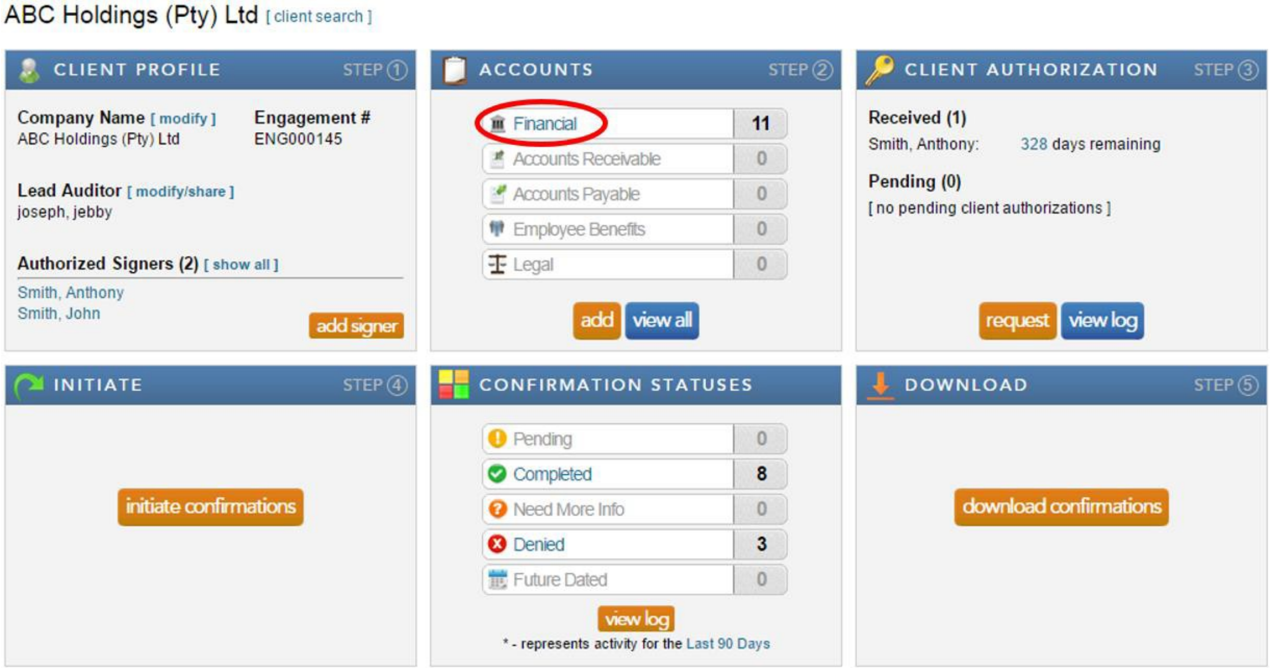
- Select "Recall" from the "Action List" dropdown
- Tick Boxes next to the requests you want to recall
- Click "submit" next to "Action List" and click "ok"



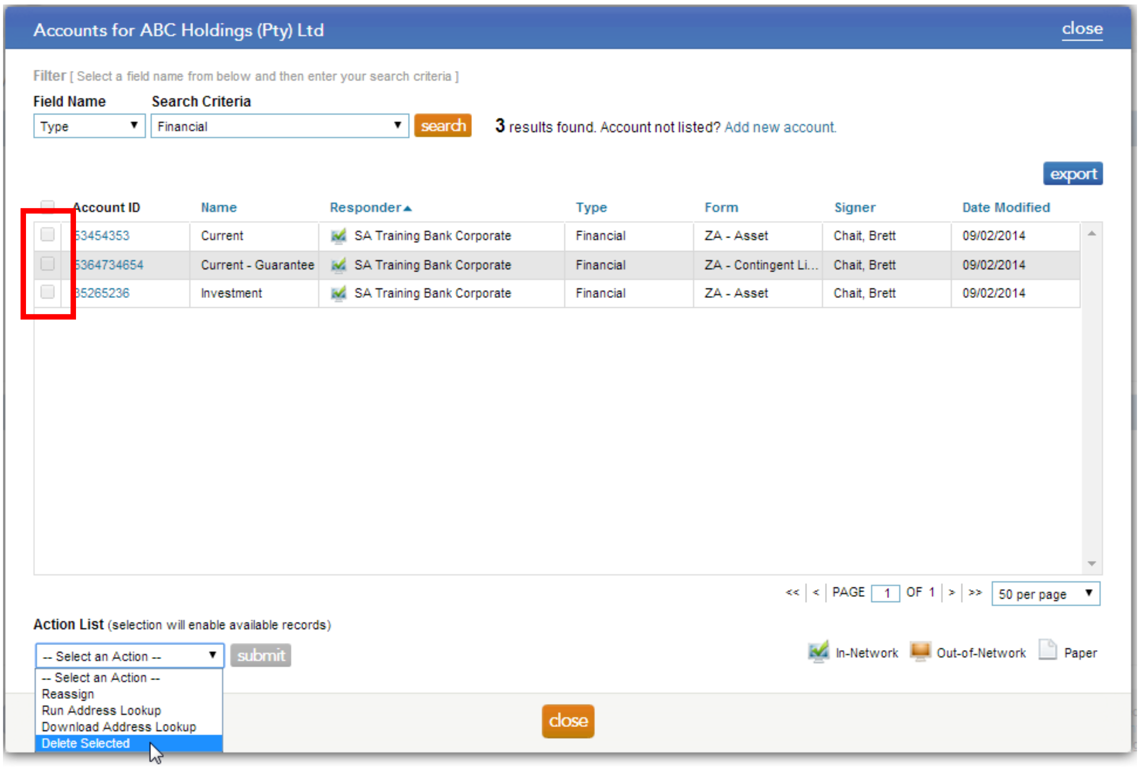
Deleting Forms on a Profile

Any forms incorrectly added to a client profile can be deleted.

- Select “Financial” from the client profile

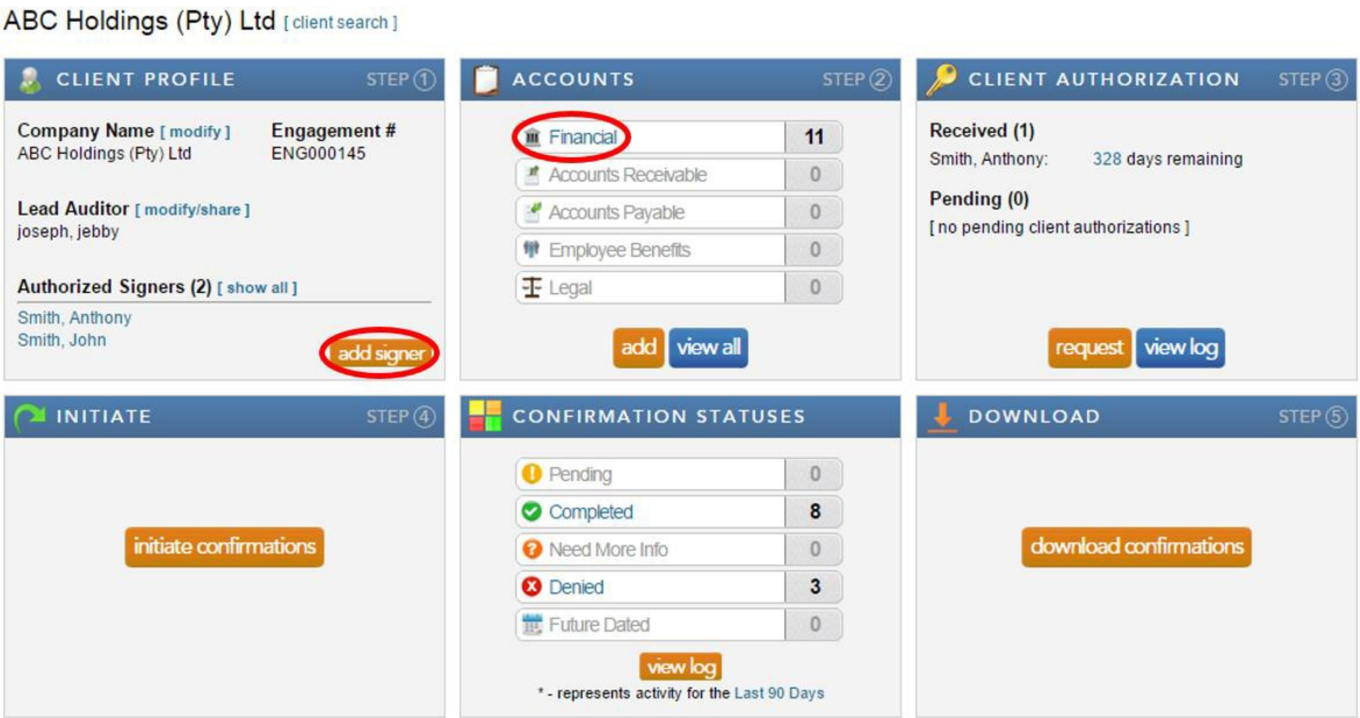


- Select “Delete Selected” from the “Action List” dropdown
- Tick Boxes next to the forms you want to delete
- Click “submit” next to “Action List”

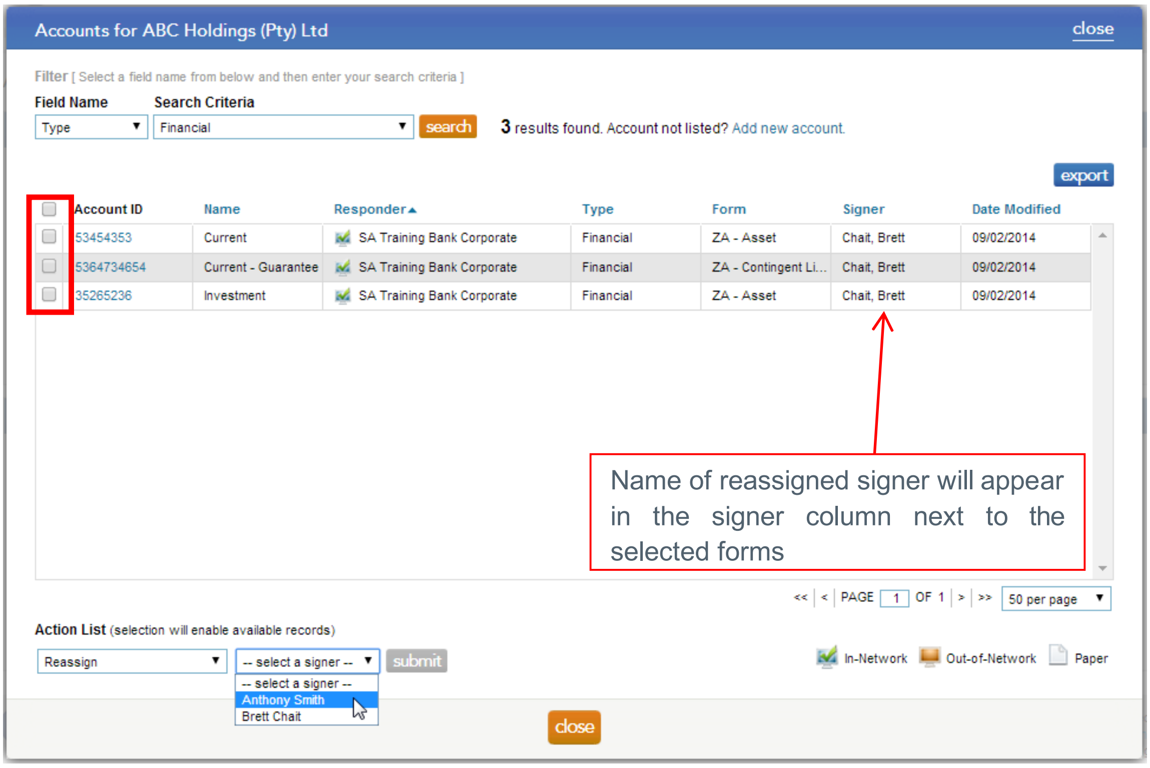


Changing Client Signer on Forms

- First add a new signer by clicking “add signer” under “Client Profile” block
- Select “Financial” from the client profile



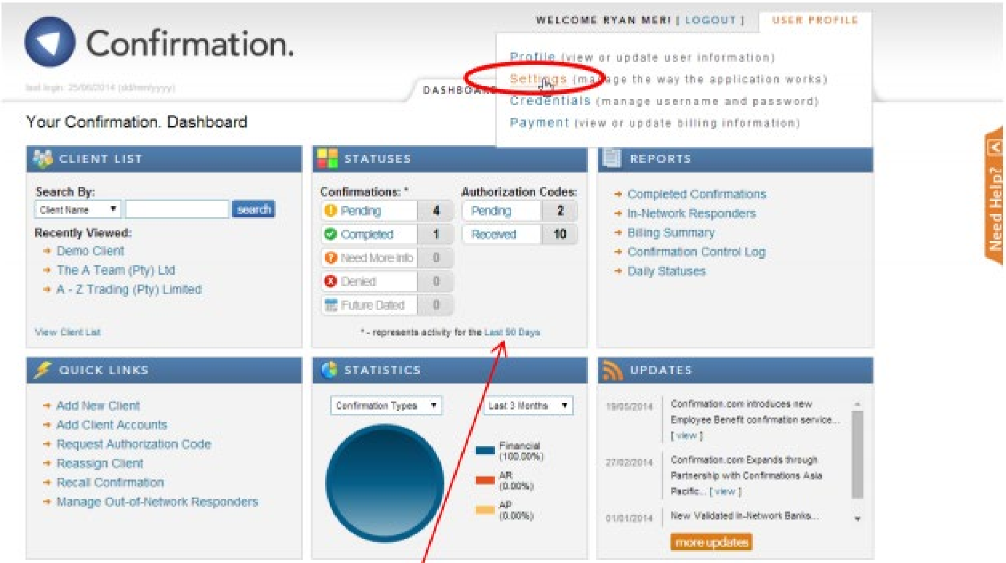
- Select “Reassign” from the “Action List” dropdown
- Select new signer name from the “Action List” dropdown
- Tick Boxes next to the forms to reassign signer
- Click “submit” next to “Action List”



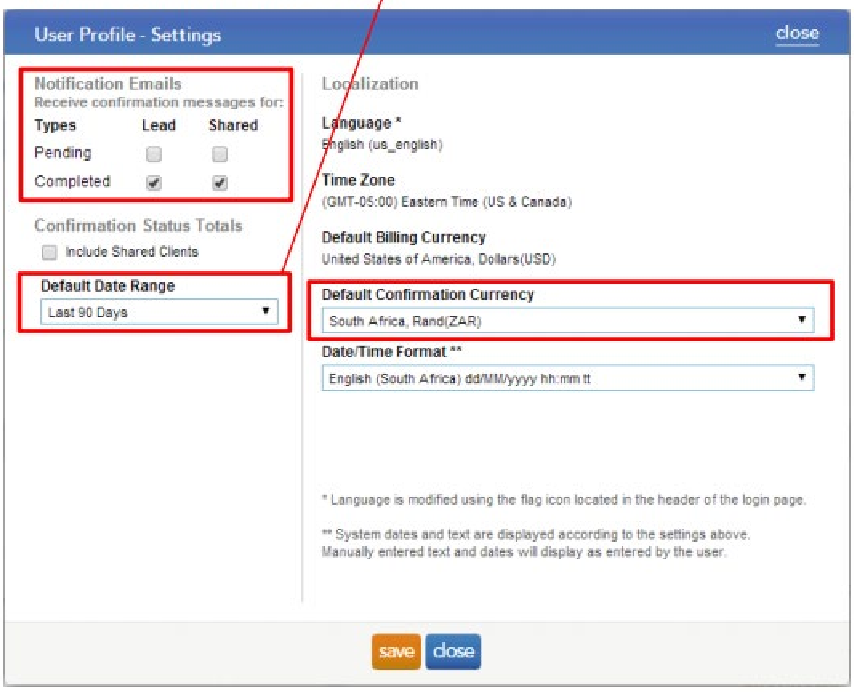
Changing User Settings

Individual users can update their settings. This includes notification emails, default date range of the client confirmation status tool and the default confirmation currency used on the forms.

- Select “User Profile” and “Settings” at the top right of the user profile



- Update Details and Click “save”



Confirmation support details:

Region	*Call*	*Email*
South Africa & Sub Saharan Africa	+27 10 494 1001 op 3	confirmations@adaptit.com
Asia Pacific	+61 402 035 542	info@apac.confirmation.com
UK & Europe	+44 (0)203 757 6312	uk.support@confirmation.com
USA & Global	+1 866 325 7201	customer.support@confirmation.com