



SOX Check Approval

Setup Guide

Copyright © 2009-2019 TaiRox Software, Inc. All rights reserved.

Important Notice

TaiRox does not warrant or represent that your use of this software product will be uninterrupted or error-free or that the software product can be run with any other version of Sage ERP Accpac other than 5.6A, 6.0A, or any version of Sage 300 other than 2012, 2014, 2016, 2017, 2018, 2019 or 2020, or that the information in this document is completely accurate. TaiRox warrants that any media by which you have received this software is free from defects. TaiRox will replace any such defective media. TaiRox expressly disclaims all other warranties, representations, conditions and guarantees of any kind including, but not limited to, warranties for merchantability or fitness for a particular use.

Check Approval System Overview

The use of SOX Check Approval is described in several documents, each one targeted at a different kind of user.

- **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 Audit Report User Guide** is for users who oversee the A/P check process. The report provides an audit trail for the approval of Sage 300 checks.
- **SOX Check Approval Setup Guide** is a document written for system administrators who set up databases and configure the solution.

Important Note: Reinstalling Desktop Menu Control to remove standard icons is required after performing any Sage 300 update.

SOX Check Approval keeps status and audit information for multiple Sage 300 databases in an Approval Database. The Approval Database is ***not*** a Sage 300 database.

Note: TaiRox has a product named SOX Second Sight that takes control of the Accounts Payable Payment Batch function. SOX Second Sight and SOX Check Approval can both be installed and activated, but only one can take control of the Payment Batch function at a time.

Check Approval Setup Checklist

This checklist is provided to guide you through installation and setup steps in the correct order. More details are provided in the rest of this document.

<input type="checkbox"/>	Install Check Approval Software using the Setup.msi program provided.
<input type="checkbox"/>	Create a SQL Server database using SQL Server Management Studio. This is not a Sage 300 company database. It stores approval data and logs from multiple companies.
<input type="checkbox"/>	Run Data Activation for "TaiRox Check Approval" in all Sage 300 companies that will use TaiRox Check Approval. TaiRox Check Approval will appear on the Sage Desktop.
<input type="checkbox"/>	Select "TaiRox Check Approval" on the Sage Desktop and open the Check Approval Setup program.
<input type="checkbox"/>	Enter a connection string to the SQL Server database in the field at the top of the form. Click on the Test Connection button verify the connection.
<input type="checkbox"/>	On the Database tab, make sure the <All> Tables choice is selected and click on the Create button. This will create all tables in the database.
<input type="checkbox"/>	On the Installation tab, click on the Install button for Desktop Menu Control so that the built-in Sage 300 functions are blocked. Uninstall will reverse this action.
<input type="checkbox"/>	On the Users tab, select the Sage 300 users who approve checks. Enter and test their Sage passwords. An administrator may do this for executives who do not use Sage 300.

Step 1 - Create SQL Server Database – *First Company Only*

Important Note: The Approval Database stores checks from *multiple* companies and should only be created **once**, when setting up Check Approval for the *first* company.

First Company Only

Prior to setting up and using Check Approval with Sage 300, you must create a SQL Server database using SQL Server management tools.

Collation – Latin1_General_BIN
Recovery Model – Simple

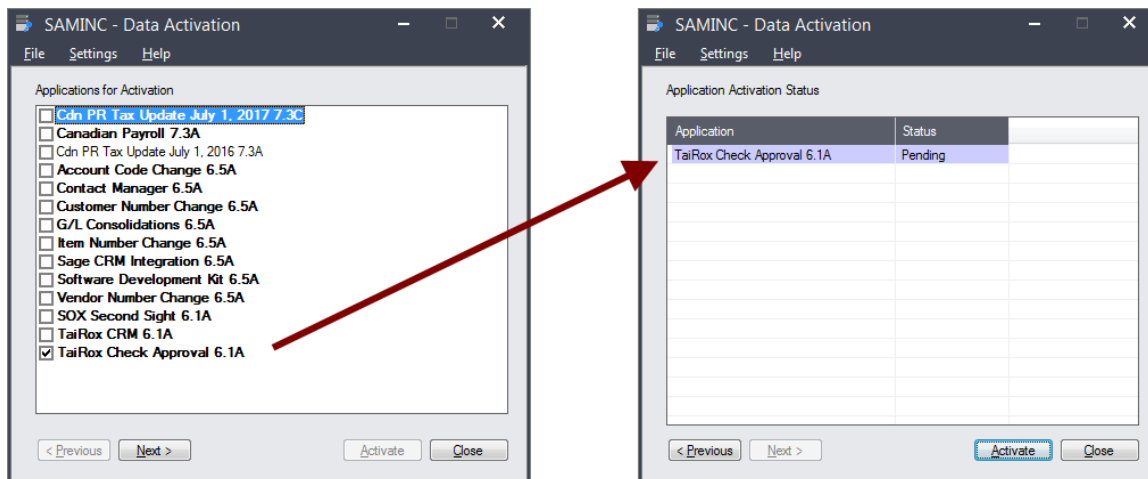
The connection information and passwords are kept in an INI file, which will be created by the Check Approval Setup program in Step 3.

Do not create an Approval database if you already created one to set up Check Approval with another company using the same Sage 300 server.

Step 2 - Activate TaiRox Check Approval – *All Companies*

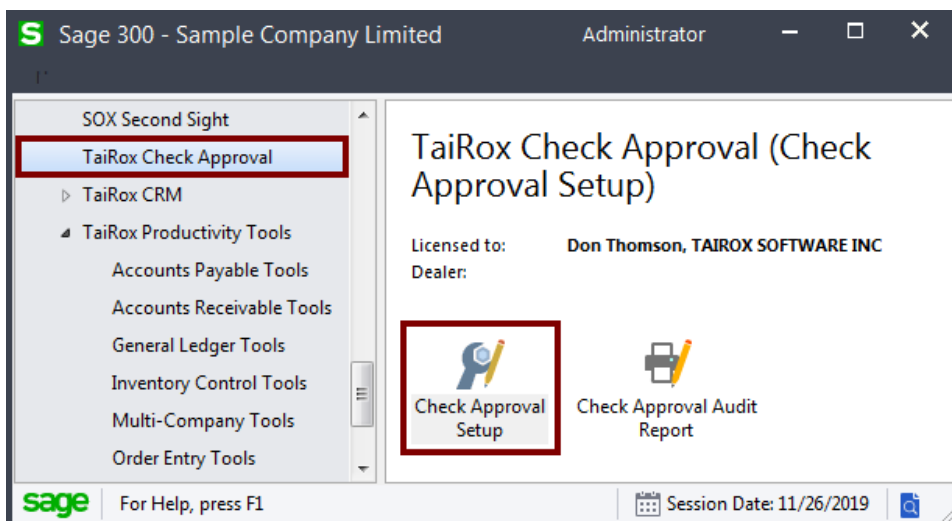
You must activate TaiRox Check Approval just like any core Sage 300 application.

You must activate it in all companies for which you want to control check printing.



Step 3 - Create Database Tables – *First Company Only*

After activating TaiRox Check Approval for a company, the TaiRox Check Approval module will appear in the Sage 300 menu structure, with a single icon, Check Approval Setup, as shown below.



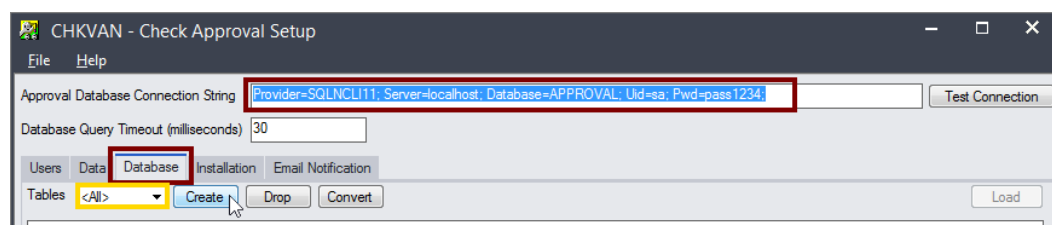
To connect to the Check Approval database and create database tables:

- Open the Check Approval Setup program.
- Select the Database tab.
- Enter an appropriate connection string to the SQL Server database, and click the Test Connection button.

Sample connection string:

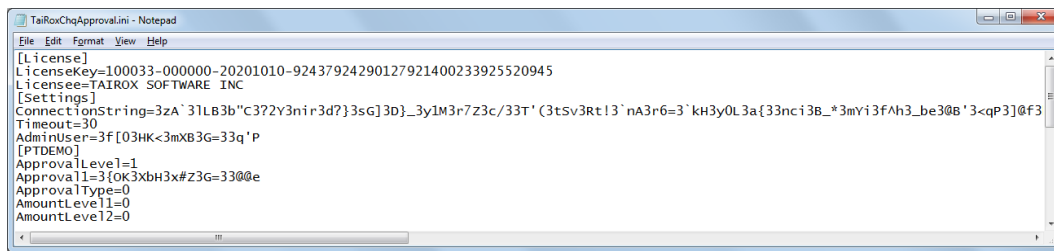
Provider=SQLNCLI11; Server=localhost; Database=APPROVAL; Uid=sa; Pwd=pass1234;

- SQLNCLI11 = SQL Server Native Client provider version 11. You can check the driver version on your system in the ODBC Data Source Administrator.
- For Server, enter the name\instance of the SQL server with the Check Approval database.
- If the connection is successful, make sure **<All>** tables are selected, and then click the Create button.



The Check Approval database is now set up and ready for use.

- Click the Save button.
- Click the Open INI file button to display the Check Approval licensing information and the connection and setup information that you just saved. All password information is encrypted in the .ini file (shown below).



```

TaiRoxChgApproval.ini - Notepad
File Edit Format View Help
[License]
LicenseKey=100033-000000-20201010-92437924290127921400233925520945
License=TAIROX SOFTWARE INC
[Settings]
ConnectionString=3zA`31LB3b"C3?2Y3nir3d?}3sg}3D}_3y1M3r7Z3c/33T'(3t5v3Rt!3`nA3r6=3`kH3y0L3a{33nci3B_*3myi3FAh3_be30B'3-qP3}@F3
Timeout=30
AdminUser=3f[03HK<3mXB3G=33q"P
[PTDEMO]
ApprovalLevel=1
Approval=3{0K3xbH3x#z3G=33@@e
ApprovalType=0
AmountLevel1=0
AmountLevel2=0

```

The INI file is kept in the Sage 300 shared folder, as it will need to be accessed by all users.

Upgrade Notes – Convert Button: Future upgrades to the Check Approval module may also require a database update of the approval database. Press the Convert button to perform a database update, if necessary.

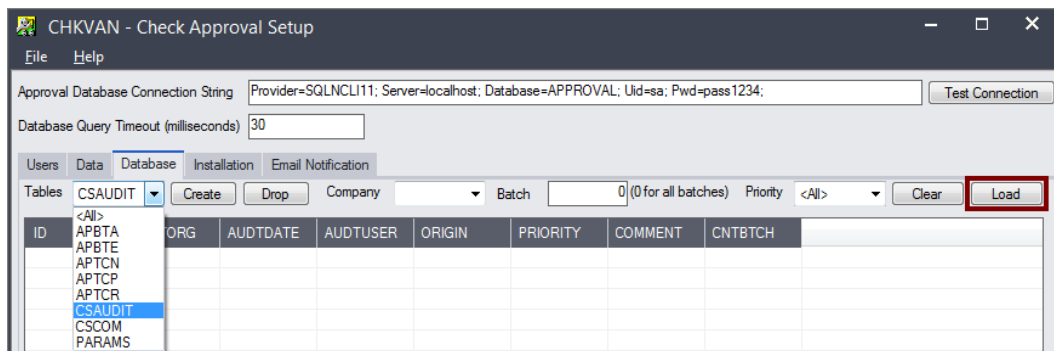
- If the database requires an update, the program will display an error message stating that the database must be upgraded.
- If you click the button now, the program will display a message stating that the database is at the current level.

Additional Notes – Loading table data on the Database Tab

The Database tab has two uses:

- It lets an administrative user create the tables in the SQL Server Check Approval database. **You will do this only once!**
- It also lets you display the data in the Check Approval database tables. This feature can help you diagnose problems with the program or processes. You can also drop and create individual tables if this becomes necessary for data repair. One of the Database tables, CSAUDIT, contains an audit trail of all operations performed.

To view a table, select the table you want from the Tables dropdown, and then click the Load button. (This table will be empty in a new database.)



Step 4 - Install Desktop Menu Control and Update A/P Icons

Now that the database has been set up, you can install the Check Approval functionality in the Accounts Payable module.

You must do this step for each company that will use TaiRox Check Approval. Check Approval supports multiple versions of Sage 300 in different companies at the same time.

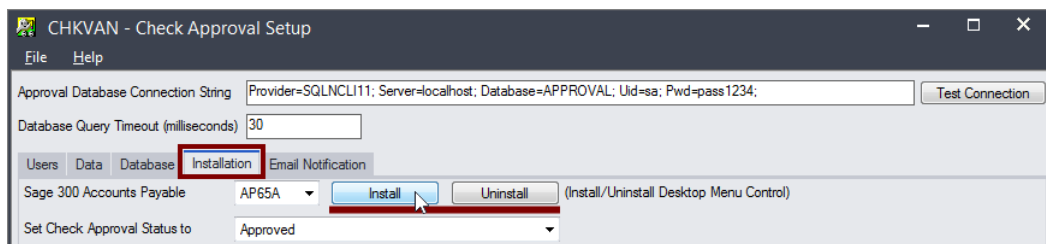
Very Important: Desktop Menu Control installation must be performed **after** Sage 300 installation so that certain Check Batch operations can be blocked.

- Uninstalling Check Approval will restore blocked A/P operations.
- This installation operation must be performed again after any Sage 300 upgrades are installed.

Sage 300 Update Note: You should Uninstall Desktop Menu Control **before** installing any Sage 300 updates. Then click the Install button after the Sage 300 update is complete.

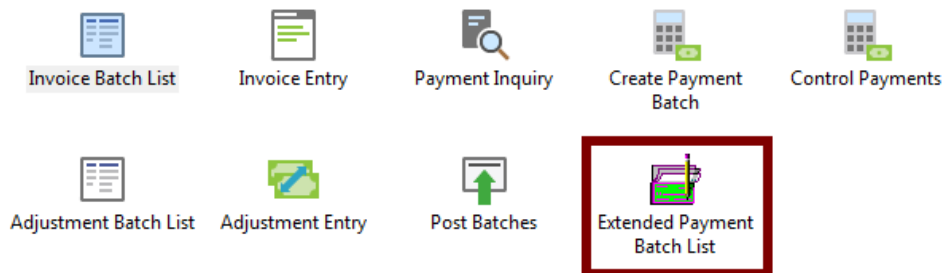
To install Check Approval in the Accounts Payable module:

- Select the Database tab in the Check Approval Setup program.
- Click the Install button.



Installation **adds** a new Extended Payment Batch List function to the A/P Transactions menu and **removes** the Sage 300 Payment Batch List and Payment Entry functions.

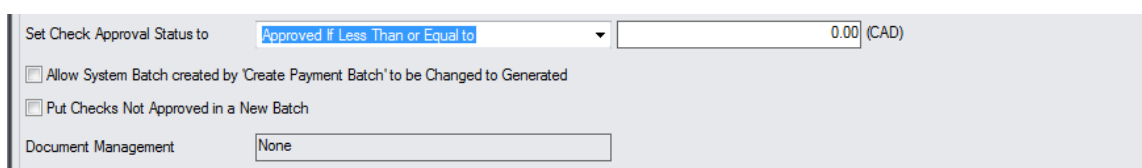
New Extended Payment Batch List icon



- Check Approval's "Desktop Menu Control" forces payment batches to go through the approval process.
- You can Install or Uninstall Desktop Menu Control at any time.
- Installing or uninstalling the Desktop Menu Control will affect all companies that have SOX Check Approval activated.

Additional Installation Tab Settings – Set Check Approval Status, Allow System Batch settings, and Put Checks Not Approved in a New Batch

Note: These settings are per company.



Set Check Approval Status to – controls how checkboxes are defaulted on the Check Approval Console when a batch is displayed for the first time:

- Approved (checked)
- Not Approved (unchecked)
- Approved if Less Than or Equal to nnn.

If you choose “Approved if Less Than or Equal to”, you must also enter a functional amount. Setting this amount facilitates operations when approval is only required for checks above a certain value – while at the same time making the other entries in the batch visible to approvers.

Allow System Batch created by ‘Create Payment Batch’ to be Changed to Generated
Sage 300 allows only 1 unposted System batch to be generated company-wide.

Select this checkbox if you wish to generate multiple batches and submit them for approval simultaneously. This will safely change the batch type to be ‘Generated’ rather than ‘System’. You will be prompted for confirmation when the batch is submitted for approval.

Put Checks Not Approved in a New Batch

When final approval has been made, all checks that are not approved are removed from the payment batch.

Select this checkbox if you want the deleted checks to be put into a new batch, facilitating re-submission.

Document Management

Document Management integration is available for Altec DocLink, Orchid Document Management Link, and docSTAR Eclipse, and is controlled by the activation code. (See [Additional Setup Requirements for Orchid Document Management Link.](#))

Note that for docSTAR integration, a URL must be provided by your docSTAR installer and entered here.

Step 5 – Set Up the Sage 300 User and Check Approvers

Note: The levels or number of check approvals required, the check approvers and the excluded payment codes are all per company.

The Users tab requires you to specify a single Sage 300 User – typically, the ADMIN user – that will be used to authenticate check approvers when they log in to the Check Approval Console.

Select the Sage 300 User, Enter the user’s password, and test the connection to Sage 300

You must select the Sage 300 User account that will be used by the Check Approval Console to sign on to Sage 300, authenticate check approvers, and perform Check Approval processes.

Typically, you will use the ADMIN user ID for this.

- **Note:** if you do NOT use the ADMIN ID, the Sage 300 User ID entered here must have Payment Batch Entry rights.

This user account is required to connect to Sage 300 and perform the required operations when batches are approved.

- The Sage 300 User password is encrypted and stored with the connection information.
- Click the Test Connection button after entering the ADMIN ID and password.

Select the Approval Workflow for your company

TaiRox Check Approval supports three different approval workflows. You select approval workflows on a per company basis, from the following drop-down:

A screenshot of a dropdown menu with the following options:

- Strict: All checks must be approved at all levels
- Relaxed: Checks above level limits must be approved at higher levels
- Simplified: Checks must be approved by a number of users

- **Strict: All checks must be approved at all levels**
Choose this workflow when the top level of approval must see all checks in all batches.
- **Relaxed: Checks above level limits must be approved at higher levels**
Choose this workflow when the top levels of approval only want to see checks above specified limits.

When you choose “Relaxed”, a set of fields will appear below the check approvers to let you specify the approval limit for each lower level.
- **Simplified: Checks must be approved by a number of users**
Choose this workflow when each check requires more than one approver, but there is no hierarchy for approvers.

Select the number of approvers / approval levels

If you choose the Strict or Relaxed workflow, you can have up to 3 levels of approval.

A screenshot of a dropdown menu with the following options:

- Strict: All checks must be approved at all levels

Below the dropdown, there is a field labeled "Levels of Check Approval" with a value of 3.

If you choose the Simplified workflow, you can require up to 3 check approvers per check.

A screenshot of a dropdown menu with the following options:

- Simplified: Checks must be approved by a number of users

Below the dropdown, there is a field labeled "Approval Users Required" with a value of 3.

Select the check approvers at each Level

You must identify all check approvers at Level-1, level-2 and level-3 if you use the Strict or Relaxed workflow 3 (and you use 3 levels).

If you use the Simplified workflow, you must identify all acceptable approvers.

Note: All check approvers must first be added as Sage 300 users in order to appear on the Users tab.

Specify the check limits if using the Relaxed workflow where checks below a level limit do not need to be approved at the next level

When you choose “Relaxed”, the following set of fields will appear below the check approvers to let you specify the approval limit for each lower level.

A screenshot of the check limits input fields:

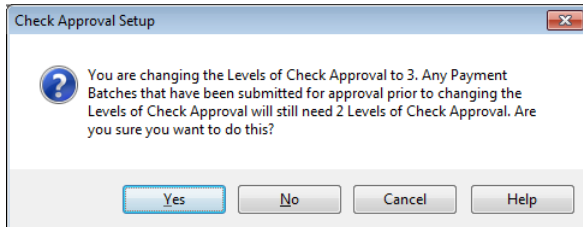
- Level 1 Limit: 1,000.00
- Level 2 Limit: 10,000.00
- Over 10,000.00 (CAD)

Note – When Changing Levels of Approval and Limits: You can change the Levels of Check Approval and the Approval Limits.

Any batches that have been previously submitted remain at their original levels.

This means that, if the level changes from 2 to 1, any unapproved batches will still need a second level of approval.

You will see a warning message if you change the check approval levels:

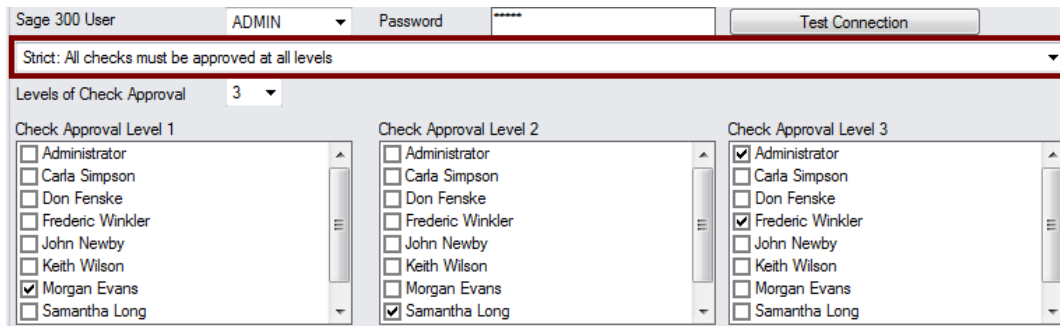


Sample Check Approval Settings

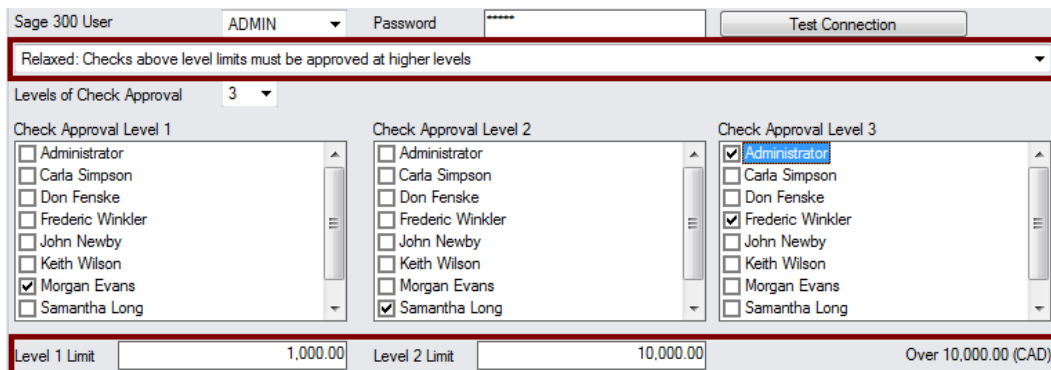
The screens below illustrate each of the three workflow settings:

- a 3-level process with Morgan Evans and Samantha Long as the level-1 and level-2 approvers, and Frederic Winkler or Administrator as the level-3 approvers.
- a 3-level process that requires fewer approvers for smaller check amounts.
- a 3-approver, single level process that allows any three users to approve in any order.

Sample Strict settings where all checks must be approved at all levels



Sample Relaxed settings where checks below limits require fewer approvals



Clarification: With the above set up:

- Morgan Evans will only see – *and can only approve* – checks up to and including \$1,000 CAD (functional currency).
- Samantha Long will only see – *and can only approve* – checks above \$1,000 and up to \$10,000.
- Frederic Winkler will only see checks above \$10,000.

In other words, a batch that contains no checks above \$1,000 can be approved by Morgan Evans alone.

An auditor may view this as a control deficiency and suggest that either the “All checks must be approved at all levels” workflow be used or that a compensating control be put in place.

The approval activity for a batch is available from the Sage 300 Extended Payment Batch program, both during and after the workflow is complete.

Sample Simplified settings where any three users can approve checks in any order

The screenshot shows the Sage 300 user configuration window. At the top, there are fields for 'Sage 300 User' (set to ADMIN), 'Password' (masked with asterisks), and a 'Test Connection' button. Below this, a dropdown menu is highlighted with a red border, displaying the text 'Simplified: Checks must be approved by a number of users'. Underneath, the 'Approval Users Required' is set to 3. A list of 'Approval Users' is shown with checkboxes: Administrator (unchecked), Carla Simpson (checked), Don Fenske (unchecked), Frederic Winkler (checked), John Newby (unchecked), Keith Wilson (unchecked), Morgan Evans (checked), and Samantha Long (checked).

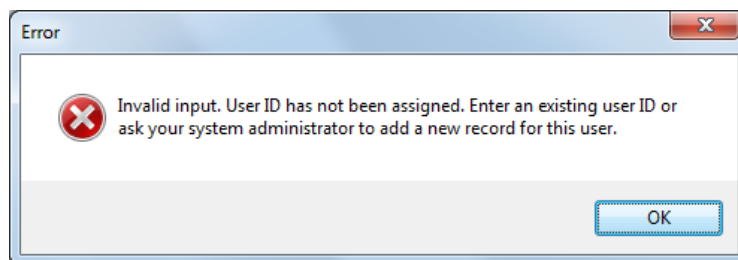
Using Windows Authentication with Sage 300 users

Approver's passwords are not stored by SOX Check Approval. Typically, as executives, they may be set up to use Windows authentication to log into Sage 300 – and this mechanism is used by the Check Approval Console so as to avoid unnecessary authentication.

Check Approval Console sign on error messages

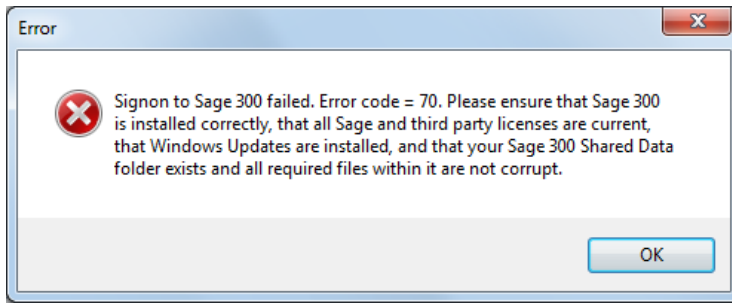
The following error messages may appear when users sign on for the first time to the Check Approval Console.

Invalid input: The following error message will appear if the ID entered has not been added to Sage 300 or if the password entered by the user is incorrect.



If this is the first time signing in, check that the User ID has been added in Sage 300, and confirm the password. (You can test the ID by using it to sign on to Sage 300.)

Signon failed: This next message can appear if you were assigned a new Sage 300 ID that required a password change on the first login, or if the ID password has expired.

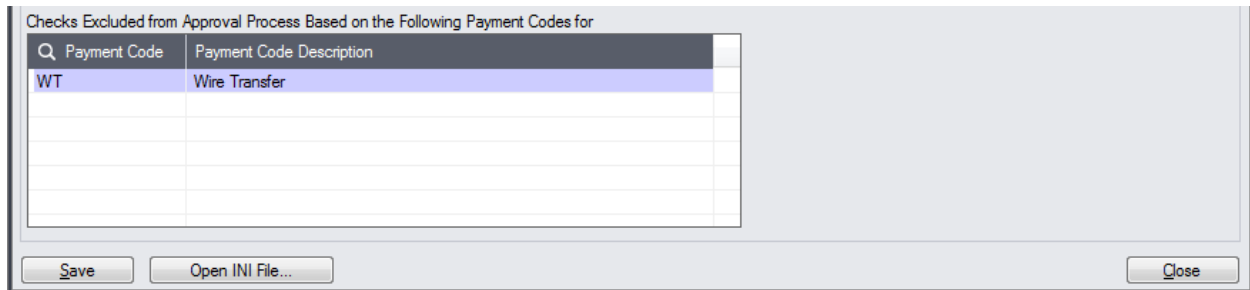


If this is the first time the user has signed in, they should sign in to Sage 300 to ensure their ID works properly, and then change their password if requested by Sage.

Excluding Batches based on Payment Code

SOX Check Approval also lets you exclude batches from the approval process based on the Payment Code.

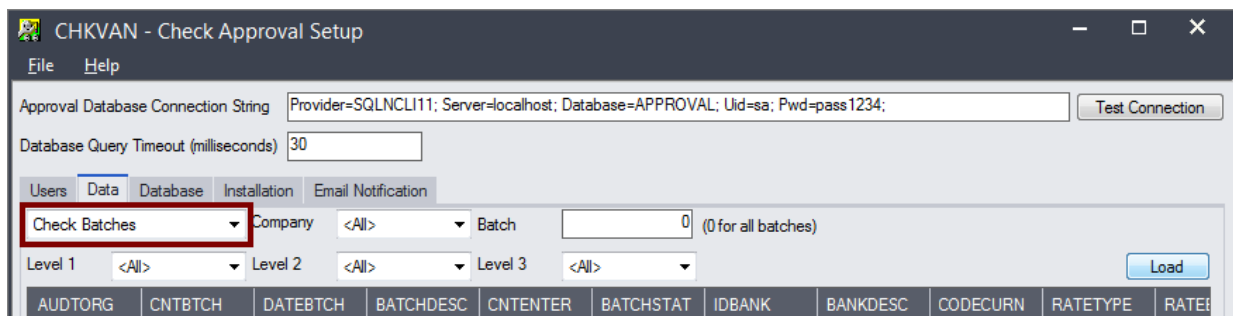
Use the Finder in the grid at the bottom of the Users tab to select payment types.



Checking Batches on the Data Tab

The Data tab shows check batches and checks that have been submitted for approval, depending on the drop-down choice.

Batches:

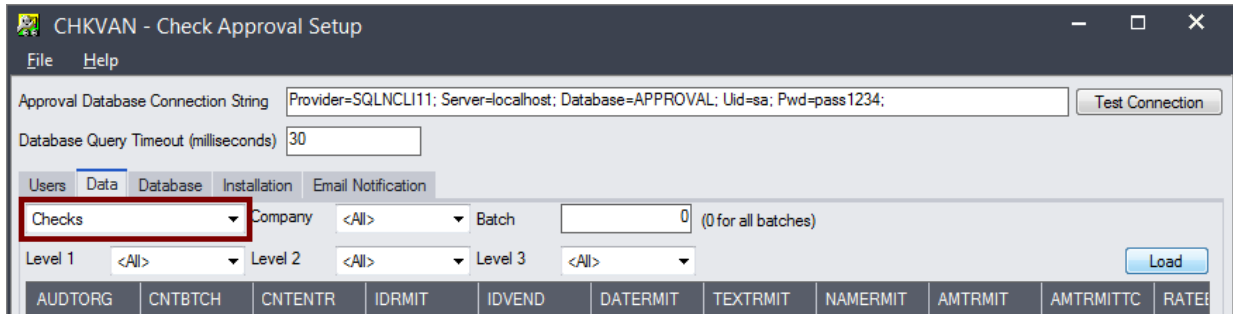


- Select “Check Batches” and click the Load button to view the details of batches waiting for approval.

AUDTORG	CNTBTCH	DATEBTCH	BATCHDESC	CNTENTER	BATCHSTAT	IDBANK	BANKDESC	CODECURN	RATETYPE	RATE
PTDEMO	59	7/31/2019	test batch fo...	2	1	CCB	Canadian C...	CAD	SP	1

- Double-click a batch entry to view the list of payments. This is the same list that appears if you select “Checks” and click the Load button – as shown below – except that it lists payments for a single batch.

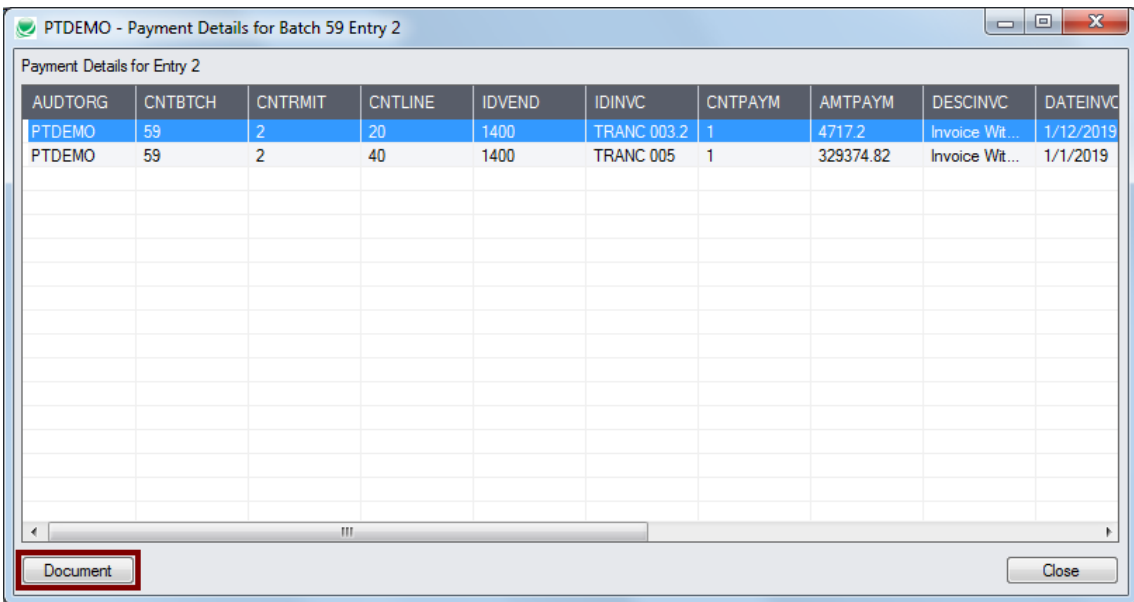
Checks:



- Select “Checks” and click the Load button to view the list of payments waiting for approval.

AUDTORG	CNTBTCH	CNTENTR	IDRMIT	IDVEND	DATERMIT	NAMERMIT	AMTRMIT	AMTRMITTC	RATE
PTDEMO	59	1	00000000...	1200	7/31/2019	Seattle Tacoma Bank	4139.4	3000	1.3798
PTDEMO	59	2	00000000...	1400	7/31/2019	Coastal Heating of Ottawa	334092.02	334092.02	1

- Double-click a payment to see the payment application details.



Note: The Document button appears for applied payments if Altec DocLink is installed on your system. Click the Document button to drill down to original A/P documents.

Setting Up Email Notifications Tab

The Email Notification tab shows the settings for email notification.

Note:

- Email notification settings are per company.
- Email Server settings apply to all companies.

Leave a distribution list empty if you do not wish emails to be sent.

Email Notification

Email Notification checkbox – Select this box to send emails to approvers and to users who submitted batches for approval.

Email Distribution Lists – Add the email addresses for each approval level. Use commas to separate email addresses if you need to enter more than 1.

Email Users Who Submit Payment Batches When They Are Approved – Select this box to send approval notices back to users who submitted batches.

The program will use the Email 1 email address set up in the User window in Sage 300.

Email Subject – Click the Finder button to the right of the subject field to view a list of variables that you can insert into the Email Subject line.

Name	Description
%AUDTORG%	Database ID
%AUDTORGNAME%	Company Name
%CNTBTCH%	Batch Number
%DATEBTCH%	Batch Date
%BATCHDESC%	Description
%CNTENTER%	Number of Entries
%IDBANK%	Bank Code
%BANKNAME%	Bank Name
%AMTENTER%	Batch Total
%CODECURNY%	Bank Currency Code
...	...

Email Server Settings

Enter the settings for your email server.

- You can use the default settings provided for the TaiRox notification server. Click the Reset Email Settings button to return to the default settings.
- Alternatively, you can use any other SMTP server accessible from the server with credentials as you would set them up in an email client such as Outlook.

Send Test Email

The Send Test Email button lets you check your settings.

- Click the Send Test Email button, then provide a Mail To address for the test.

If the send test email fails, the following message will appear. The program will not provide an email log file.

Note regarding “Enable SSL” if unsupported by the SMTP server

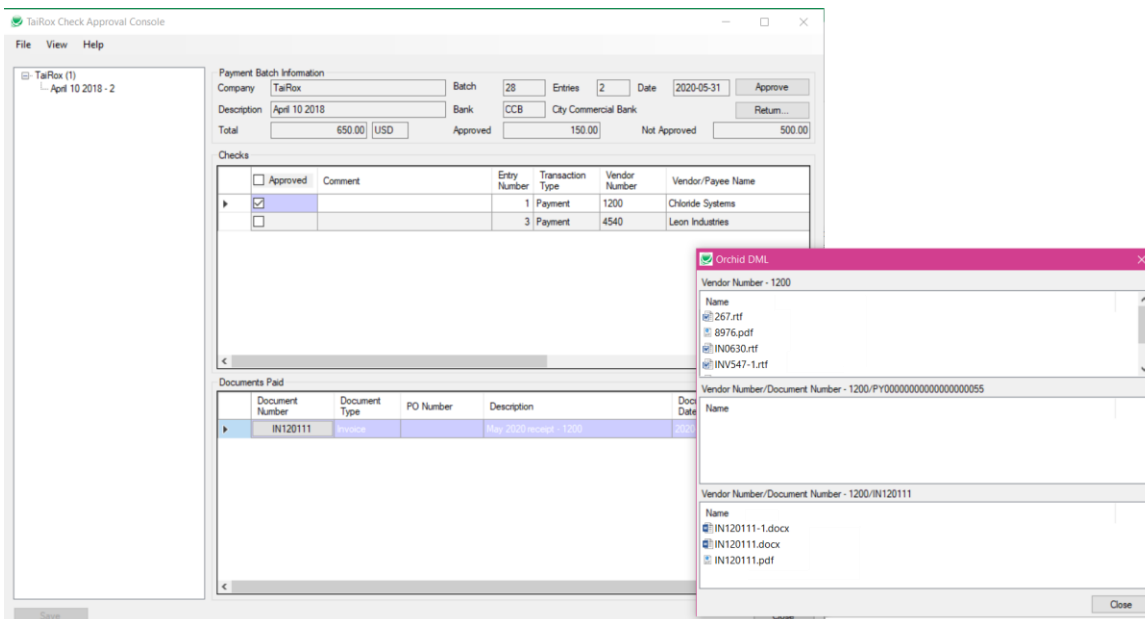
If you select the “Enable SSL” checkbox, the program will first try to send a test email securely. If it does not succeed, it will try to send a test email insecurely. The program will display an error message if the secure test fails, but the insecure test is successful.

If this message appears, it means that:

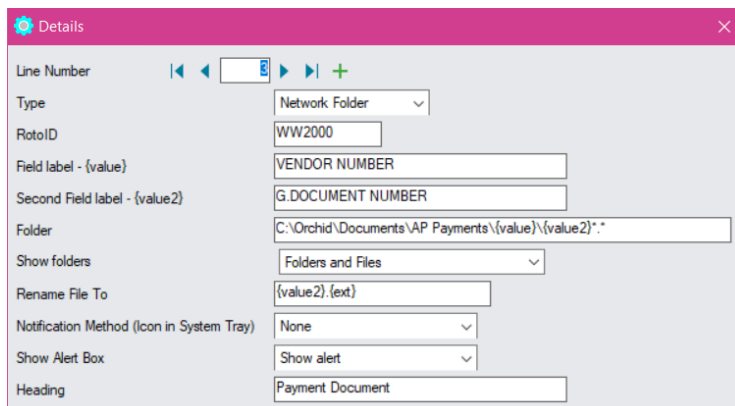
- Your SMTP server does not support current email communication styles on the port provided. (The "Enable SSL" checkbox has different meanings for different email sending mechanisms, particularly older ones.)
- You should uncheck "Enable SSL" to send emails without SSL protection.

Additional Setup Requirements for Orchid Document Management Link

The TaiRox Check Approval screen can show up to 3 sets of documents from Orchid DML – for the vendor, the payment, and the original document (e.g. invoice).



Document management integration with Orchid Document Management Link is controlled by the TaiRox Check Approval activation code. But you also need to enter configuration details for each document set that you want to display using Orchid's Setup program.



The three entries use RotoID WW2000.

1. Vendor

RotoID=WW2000

Field Label = VENDOR NUMBER

Second Field Label = blank

2. The Payment Document

RotoID=WW2000

Field Label = VENDOR NUMBER

Second Field Label = DOCUMENT NUMBER

3. The Invoice being paid

RotoID=WW2000

Field Label = VENDOR NUMBER

Second Field Label - **G**.DOCUMENT NUMBER

IMPORTANT: You can set up the entries in Document Management Link for all users or for specific users.

If you set them up for specific users, you must be sure to create entries for the users that will be using the approval console.