SOX Check Approval

Setup Guide

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SOX Check Approval 2018-2025 is described in several documents, with each one targeted at a different user. All guides describe the Standard and Enterprise versions of the product.

- **SOX Extended Payment Batch List User Guide** is for users of Sage 300 who prepare payment batches and submit them for approval.

- **SOX Check Approval Console User Guide** is 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 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 will install the software, set up databases, and configure the solution.

- **SOX Check Approval Update Guide** provides important information for system administrators who are updating an installation from a prior version of Check Approval.

Note: 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.
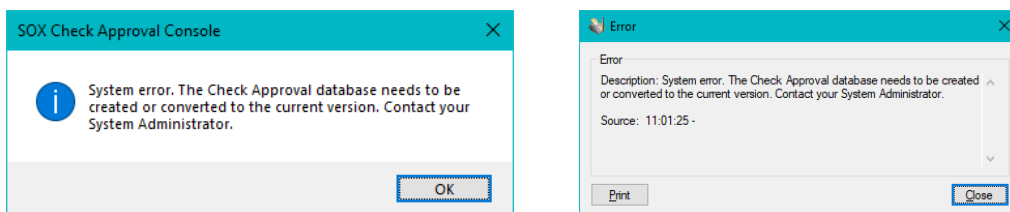
SOX Check Approval Setup Steps

This checklist describes the installation and setup steps for SOX Check Approval. Complete instructions for setting up SOX Check Approval are provided in the rest of this document.

☐	Install Check Approval Software using the appropriate setup program provided. • You must install Check Approval on all machines where Sage 300 is installed.
☐	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. • You require one (and only one) approval database for Check Approval.
☐	Run Data Activation for "SOX Check Approval" in all Sage 300 companies that will use SOX Check Approval. SOX Check Approval will appear on the Sage Desktop. • You need to activate Check Approval for each company using Check Approval.
☐	Select "SOX Check Approval" on the Sage Desktop and open the Check Approval Setup program. You must enter the license information the first time you choose Check Approval Setup.
☐	Enter the connection information for the SQL Server database in the fields at the top of the System tab. Click on the Test Connection button to verify the connection.
☐	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.
☐	Select program options on the Options tab. (If upgrading from older versions of Check Approval, uninstall the Desktop Control on each computer where Sage 300 is installed.)
☐	On the Company 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.
☐	I**f you use the Enterprise version of SOX Check Approval,** on the Banks tab, add the banks for which you are approving checks, select the check approval workflow for each bank, the number of check approval levels, and the Sage 300 users who approve checks at each level.

If you just *updated* SOX Check Approval from a prior version, the database may also need to be "converted"

Note: If have installed a new version of SOX Check Approval, and these messages appear when you open the SOX Check Approval Console program or when you open the A/P Payment Batch program or the SOX Check Approval Audit Report, you will also need to update the Check Approval database to the newest version.

SOX Check Approval Console	Error
System error. The Check Approval database needs to be created or converted to the current version. Contact your System Administrator.	Error Description: System error. The Check Approval database needs to be created or converted to the current version. Contact your System Administrator. Source: 11:01:25 -
OK	Print Close

Go to [I just updated SOX Check Approval and got a message that the database needs to be "created or converted."](#) This FAQ provides full update instructions.

Step 1 – Install SOX Check Approval Software

This guide takes you through the process of installing SOX Check Approval software on Sage 300 computers and setting up TaiRox SOX Check Approval.

NOTE: This guide describes the Standard and Enterprise versions of SOX Check Approval 2018-2025

If you have version 2017 or earlier of Sage 300, you should install SOX Check Approval for Sage 300 2012-2017.

If you try to Activate SOX Check Approval 2018-2025 with Sage 300 2012-2017, it will display an error stating that SOX Check Approval 2018-2025 requires System Manager 6.5A or later.

SOX Check Approval installation files

Note: The installation files for the Standard and Enterprise versions of SOX Check Approval are the same. *The different versions are activated by different license files.*

The installation files for SOX Check Approval 2018-2025 are as follows:

Installation Files for SOX Check Approval Setup program & Check Approval Console

- Desktop-2018-2025.msi

  Program for installing Check Approval software on Sage 300 computers.

  You must install this program on each computer where Sage 300 is physically installed.

  For example, if you have one or more RDP servers and use workstation setup, make sure that you install the SOX Check Approval program on all RDP servers. (After installing, you must also run RegAcc.exe on each workstation that runs Sage 300 from a server, or run Workstation Setup with "repair".)

- Console-2018-2025.msi

  Program for installing the SOX Check Approval Console on approvers' computers.

  o You must install the Console on all computers where Sage 300 is physically installed and on all approvers' computers where you want to run the Check Approval Console.

o You must also install Sage 300 – or run Sage 300 workstation setup – on all approvers' computers where you want to run the Check Approval Console.

Installation ZIP Files for SOX Check Approval <u>Web Screens</u>

The SOX Check Approval Web Screens "Download" zip file contains 6 installation files that support 3 different versions of Sage 300.

You must use the installation files that match your version of Sage 300.

- Sage 300 version 2023_0   *for the original release of Sage 300 2023*
  o TCSAWeb_2023_0_setup.msi   -- installs Web Screens
  o TaiRox.SCA.Customization_2023_0.zip   -- installs A/P Batch List button

- Sage 300 version 2022_2   *for Sage 300 2022.2 and higher (e.g. PU2, PU3)*
  o TCSAWeb_2022_2_setup.msi   -- installs Web Screens
  o TaiRox.SCA.Customization_2022_2.zip   -- installs A/P Batch List button

- Sage 300 version 2021_2   *for Sage 300 2021.2 and higher (e.g.* PU5, PU6*)*
  o TCSAWeb_2021_2_setup.msi   -- installs Web Screens
  o TaiRox.SCA.Customization_2021_2.zip   -- installs A/P Batch List button

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Note regarding the Web version of SOX Check Approval

Do not install the SOX Check Approval Web Screens unless you use Sage 300 Web Screens
Note: Web screen installation files are Sage 300-version-specific. You must install a web version that matches the version of Sage 300. TaiRox has a Web Check Approval Console for version 2021 of Sage 300 (PU2 and higher), 2022 (PU2 and higher), and 2023.

As you complete the steps for setting up Check Approval, keep the following points in mind.

- You require one (and only one) approval database for Check Approval. You create this database in Step 2.

- You must install the Check Approval Setup program using Desktop-2018-2025.msi on each computer where Sage 300 is physically installed.

  It may help to sketch out your Sage 300 and Check Approval installation.

- You must activate SOX Check Approval for each company that uses SOX Check Approval. You activate Check Approval in Step 3.

- You must install the Check Approval Console (*Console-2018-2025.msi*) on all computers where Sage 300 is physically installed – and any other computer where you want to run the Check Approval Console. *You must also install Sage 300 on check approvers' computers or run Workstation Setup.*

- After installing, you must run RegAcc.exe on each workstation that runs Sage 300 from a server (or run Workstation Setup with "repair").

- If you use Sage 300 Web Screens and want to run SOX Check Approval in a browser*:*

  o You must install the Web Screens for SOX Check Approval on all computers where Sage 300 is physically installed.

  Run "iisreset" after uninstalling a prior version of SOX Check Approval Web Screens, and clear your browser's cache of temporary Internet files.

  Run "iisreset" and clear your browser's cache after installing the new version of SOX Check Approval Web Screens.

o You must install the SCA customization package for A/P on all computers where Sage 300 is physically installed and assign it to all companies that use SOX Check Approval. See Installing Sage 300 Web Screen Customizations for more information.

Run "iisreset" after disabling and deleting a prior version of the customization package on each computer, and then install and assign the new customization package to each Sage 300 company and run "iisreset" on each web server.

Step 2 – Create SQL Server Database – *First Company Only*

> **Important Note:** If you are going to approve checks for more than one company, you create the Approval Database when setting up the *first* company. The Approval Database stores checks from *multiple* companies.

First Company Only

Prior to setting up and using Check Approval with Sage 300, you must create a SQL Server "approval" database using SQL Server management tools. You can use any name for the database – for example, "APPROVAL".

Collation – Latin1_General_BIN
Recovery Model – Simple

The database name, connection information and passwords are kept in an INI file, which will be created by the Check Approval Setup program in Step 4.

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

Step 3 – Activate SOX Check Approval – *All Companies*

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

• If you install SOX Check Approval 2018-2025 and try to Activate it on a version of Sage 300 that's earlier than 2018, Sage 300 will display an error stating that SOX Check Approval 2018-2025 requires System Manager 6.5A or later.

You must activate the program in all companies for which you want to control check printing.
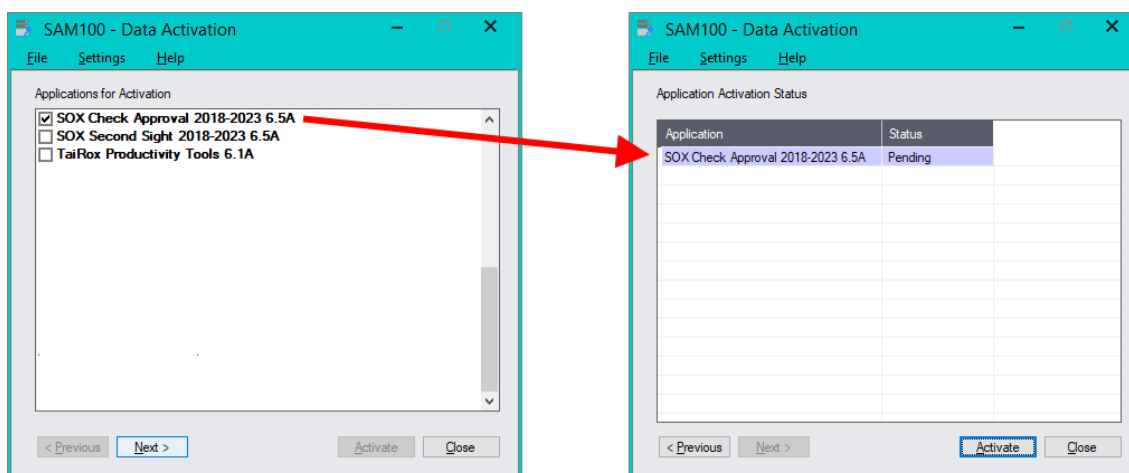
Step 4 – Enter License Information and Create Database Tables – *First Company Only*

After activating SOX Check Approval for a company, the SOX Check Approval module will appear in the Sage 300 menu structure, with two icons, Check Approval Setup and Check Approval Audit Report, as shown below.
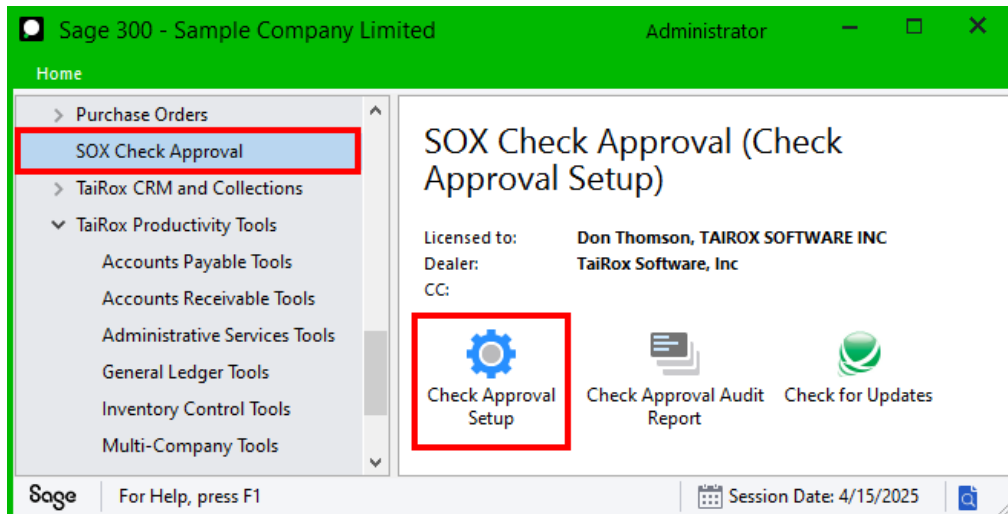

Enter the license information

Double-click the Check Approval Setup icon. If this is the first time that you open the program, the following form will appear for you to enter SOX Check Approval license information.

- Check the company name on the form. It must match the name used to generate the license.

- Enter/paste the license code into the License field, and click OK.

    The program will then display the Check Approval Setup program.

Note: TaiRox Software provides two version of SOX Check Approval 2018-2025 – the Standard version and the Enterprise version. Note that the Enterprise version includes an additional "Banks" tab for specifying workflows on a *per bank* basis: This guide shows the Banks tab in most screen shots.

Standard version tabs:
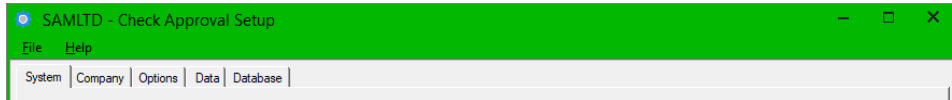
Enterprise version tabs:
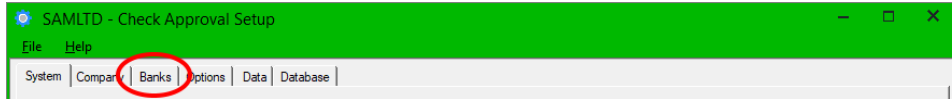
To connect to the Check Approval database and create database tables

When the Check Approval Setup program appears:

- **Select the System tab.** (This is the first tab.)
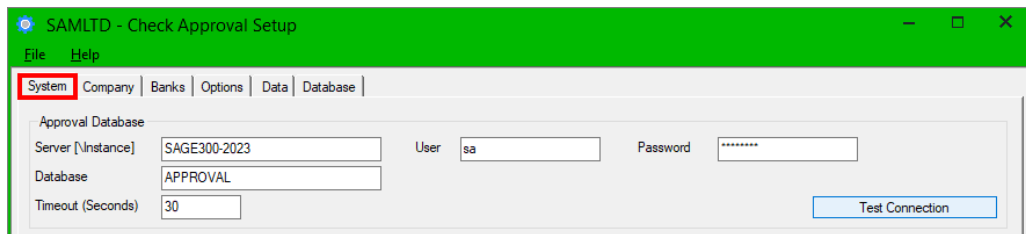
Enter connection information for the SQL Server Approval database that you created for SOX Check Approval, and click the Test Connection button.

- ○ For Server, enter the name\instance of the SQL server with the Check Approval database.
- ○ The User is the SQL Server account for accessing the Check Approval database.

- ***If the connection is successful, select the Database tab to create the database tables.***

  Make sure **<All>** tables are selected, and then click the Create button.
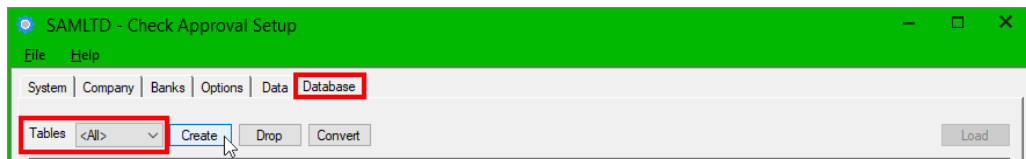
Once you click Create, the Check Approval database will be set up and ready for use.

When you have successfully created database tables, go to Step 5 – Specify the Approval Database User and Email Server Setting on the System Tab.

Viewing the .INI file for SOX Check Approval

You can click the Open INI File button at the bottom of the screen 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).
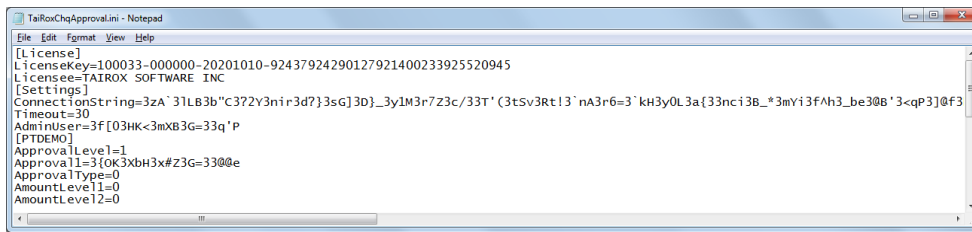
The INI file is kept in the Sage 300 shared folder, as it must be accessed by all users.

Upgrade Notes – Convert Button:

Some upgrades to the Check Approval module may also require a database update of the approval database. For example, you must update the database after the April 2025 update.

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.

Note that if you are updating to SOX Check Approval 2018-2025 from an earlier version of SOX Check Approval, you may have to run Convert to update the database to version 4.0.

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.

    To view a table, select the table you want from the Tables dropdown, and then click the Load button. (The table will be empty in a new database.)
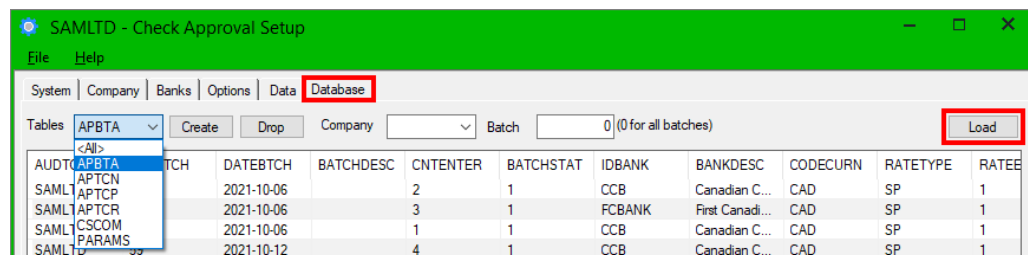
Step 5 – Specify the Approval Database User and Email Server Settings

The System 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.

- Specify the settings for the email server that will send notifications to check approvers.
- Identity your document management program if you use one that is supported by SOX Check Approval.

Specify the Approval database user

- **Select the System tab.** (This is the first tab.)

Select the Sage 300 User, enter the user's password, and test the connection to Sage
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.

    See Rights Required for the Approval Console's Sage 300 User Account.

- 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.

Specify the settings for your email server

Enter the settings for your email server.

- Enter the settings for your email server. These Email Server settings apply to all companies using SOX Check Approval.
- You can use any SMTP server accessible from the program server with credentials as you would set them up in an email client such as Outlook.

Turn on email logging to diagnose problems

Turn logging on if you have email issues. The "Enable Email Logging" checkbox creates a technical email log that documents all of the handshaking involved in communicating with an SMTP server. This feature helps you diagnose setup issues, as well as ones that arise due to email providers' changes.
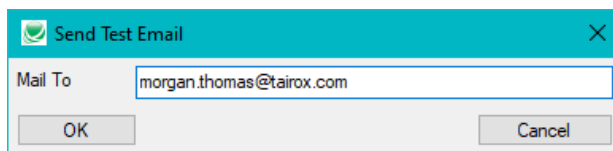
You can find the email log file in:
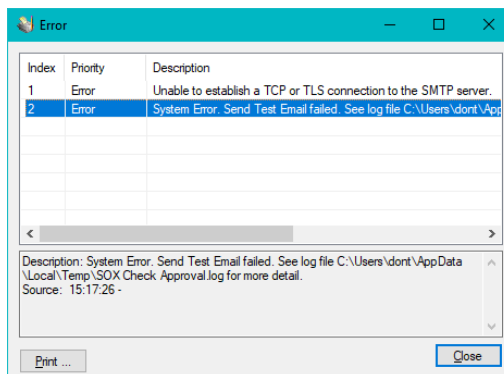
>Sage300\SharedData\Company\TaiRox SOX Check Approval\Logs

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, a message like the following one will appear. See the log file at "C:\Users\<username>\AppData\Local\Temp\SOX Check Approval.log" for details.

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.
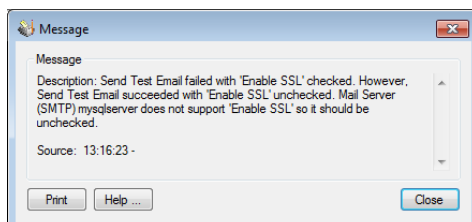
If this message appears, it means that Your SMTP server does not support current email communication styles on the port provided. (The "Enable SSL" checkbox has different meanings for different email sending mechanisms, particularly older ones.)

- You should uncheck "Enable SSL" to send emails without SSL protection.

Specify document management settings

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 6 – Choose Check Approval Options on the Options Tab

Now that the database has been set up, you can choose Check Approval options.

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

The settings on this tab are <u>per company</u>.

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 currency threshold 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 <u>safely</u> 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.

Restrict Vendors in Payment Batch to Vendors whose Bank Matches the Payment Batch Bank
This setting prevents users from adding payments with A/P Payment Entry for vendors whose banks do not match the batch bank.

For example, if the payment batch bank is CCB, and you try to enter a payment in Accounts Payable for a vendor that's assigned to the SEATAC bank code, the following message will appear.
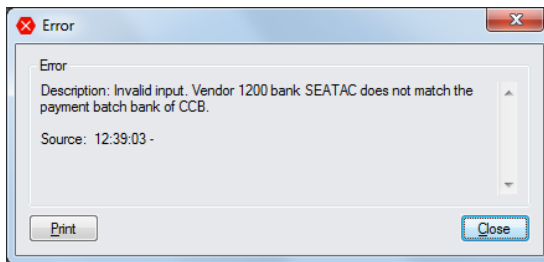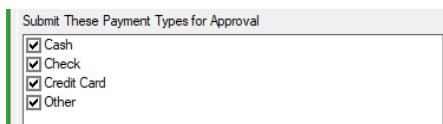

A User Can Approve a Batch they Submitted
Leave this option unchecked if you do not want users to be able to approve batches they submitted.

Submit These Payment Types for Approval
Check Approval lets you choose which payments types go through the check approval process.

If you are upgrading from a version of Check Approval installed prior to Oct 6, 2020, "Check" will be the only selected payment type. As of Oct 2020, Cash, Credit Card, and Other payment types can also be submitted for approval in the Check Approval Console.

Note that payment types are associated with payment codes in Accounts Payable.

Exclude These Payment Types from Approval
Check Approval lets you exclude batches from the approval process based on the Payment Code.

Use the Finder in the grid to select payment codes.

Email Notifications

The Email section on the Options tab provides settings for email notification and email recipients.

Note that these Email notification settings are per company.

The *Email Server* settings for all companies are on the System tab.

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

The program uses the Sage 300 Email 1 addresses stored in Administrative Services **>** Users.

If you are upgrading from a prior version, make sure that all submitters and approvers have email addresses added to their user profiles in Sage 300. Prior versions of SOX Check Approval (before October 2022) used distribution lists to inform approvers of new batches.

Notify Submitter Upon Final Approval – Select this box to send approval notices back to the users who submitted batches.

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

Note that "Final Approval" means "completion of the approval process", so notifications will also be sent if the batch is returned to the original submitter.

Final Approval Distribution List – Enter any other email addresses that you want notified when a batch has been approved. The following example shows that an email will also be sent to the payables department email when a batch has been approved.

You can enter a list of addresses separated by semicolons.

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

In this example, the program will include the batch number and description in the email subject.
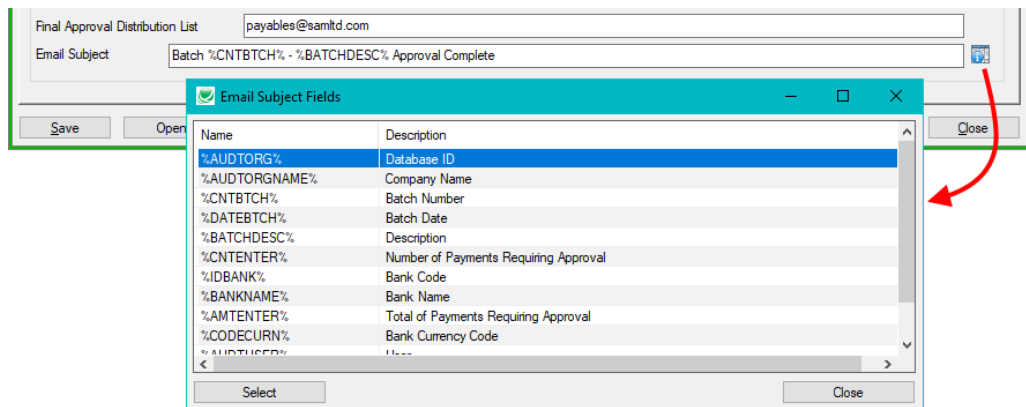

Using Windows Authentication with Sage 300 users

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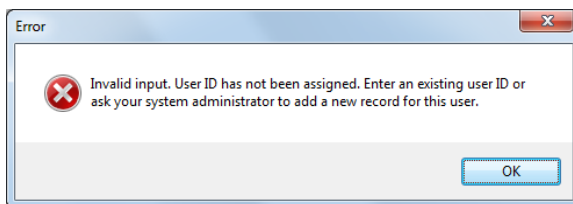
If this is the first time signing in, check that the User ID has been added in Sage 300, and confirm the password. (You can test the ID by using it to sign on to Sage 300.)

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.
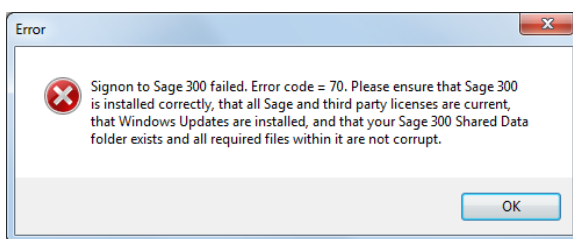

If this is the first time the user has signed in, they should sign in to Sage 300 to ensure their ID works properly, and then change their password if requested by Sage

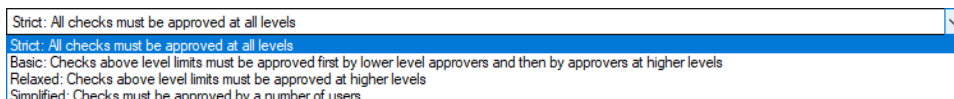# Step 7 – Choose Check Approval Workflow and Set Up Approvers for Company Workflows

Note:

- The settings on this tab are all **_per company_**.
- If you use the Enterprise version, these settings will be in effect for all payment batches that are not for the banks listed on the Banks tab.
- You must choose a workflow and specify approvers for the current company on this tab before you can save Check Approval settings.
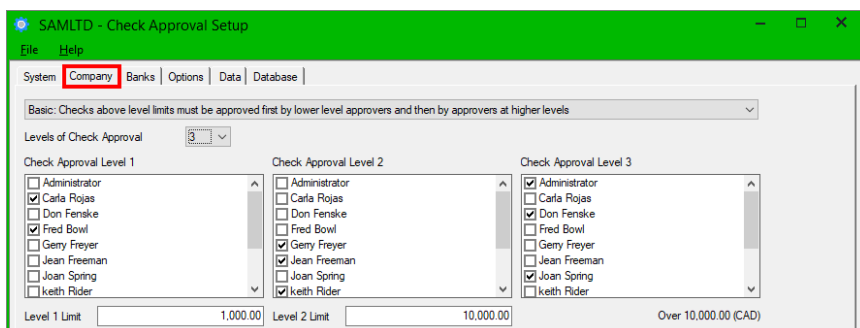
Select the Approval Workflow for your company

SOX Check Approval supports four different approval workflows. You select approval workflows on a per company basis, from the following drop-down (at the top of the tab):

- **Strict: All checks must be approved at all levels**
  This workflow lets you specify up to three levels of check approvers. Choose this workflow when the top level of approval <u>must see all checks in all batches</u>.

- **Basic: Checks above level limits must be approved at higher levels after first being approved by lower-level approvers**
  Like the Strict workflow, this option lets you specify up to three levels of check approvers. Choose this workflow when the top levels of approval only want to see checks above specified limits, and those checks must first be approved at lower levels.

  When you choose "Basic", a set of fields will appear below the check approvers to let you specify the approval limit for each level.

- **Relaxed: Checks above level limits must be approved at higher levels and not seen by lower-level approvers**
  Like the Strict workflow, this option lets you specify up to three levels of check approvers. Choose this workflow when the top levels of approval only want to see checks above specified limits, and those checks are not to be approved at lower levels.

  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.

You will see a warning message if you change the check approval levels:
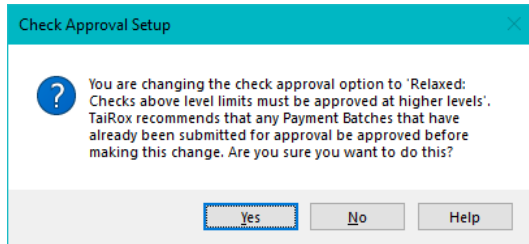
Warning: This message applies to you if you are already using SOX Check Approval and have batches that are currently in the approval process. To avoid issues, you should approve all batches that are currently in progress ***before*** changing workflows.

Select the number of approvers / approval levels

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

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

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, Basic, or Relaxed workflow (and you use 3 levels).

- You cannot select the same check approvers at multiple levels. If you want multiple approvers – in any order – choose the simplified workflow, then identify all acceptable approvers.

- Users cannot be approvers for a batch they submitted unless you select the option "A User Can Approve a Batch They Submitted" on the Options tab.

- Approvers must first be added as Sage 300 users in order to appear on this tab.

Specify the check limits if using the Basic or Relaxed workflow

When you choose "Basic" or "Relaxed", the following set of fields will appear below the check approvers to let you specify the approval limit for each lower level. Checks below a level limit do not need to be approved at the next level

> **When Changing Levels of Approval and Limits:** You can change the Levels of Check Approval and the Approval Limits; however, *to avoid issues*, you should approve all batches that are currently in progress *before* changing workflows.
>
> Any batches that are in the approval process will still require the original approval levels – which means that, if the number of approvers changes from 3 to 2, the unapproved batches will still need a third level of approval.

Sample Check Approval Settings

> The following screens illustrate each of the four workflow settings:
>
> - a 3-level process where each check must be approved by a level-1 approver, a level-2 approver, and a level-3 approver.
> - a 3-level "basic" process that requires fewer approvers for smaller check amounts.
> - a 3-level "relaxed" process where each check is approved at one level by an approver.
> - a single-level process that allows up to three users to approve in any order.

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

Sample Basic settings where checks below limits require fewer approvals
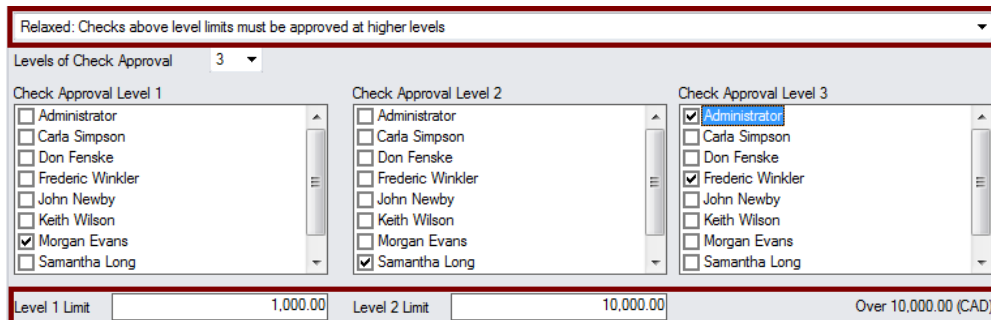

Clarification: With the above set up:

- The level 1 approver, Morgan Evans, will see all checks.

  Checks up to and including the level 1 limit only require approval by Morgan Evans. Checks over the level 1 limit will be routed to Samantha Long after they are approved by Morgan Evans.

- The level 2 approver, Samantha Long, will see all checks over $1,000.

  Checks up to and including the level 2 limit require approval by Morgan Evans and by Samantha Long. Checks over the level 2 limit will continue to the level 3 approver, Frederic Winkler, after being approved by Samantha Long.

- The level 3 approver, 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.

Sample Relaxed settings where checks are approved at each level by a single, appropriate level approver
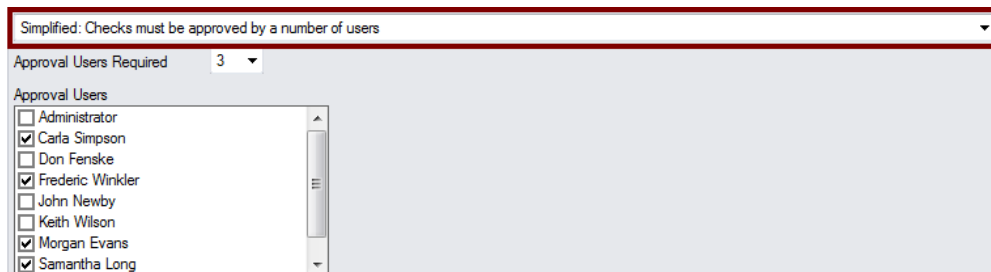

Clarification: With the above set up:

- 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 and including $10,000.

- Frederic Winkler will only see checks above $10,000.

In other words, a batch that contains all checks over $10,000 will only be seen and approved by Frederic Winkler.

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


Step 8 – Choose Check Approval Workflows and Set Up Approvers for Banks – *Enterprise Edition Only*

The Enterprise Edition of SOX Check Approval also supports four different approval workflows based on the bank selected for a payment batch.

> **Note:**
> - The levels or number of check approvals required, the check approvers and the excluded payment codes are all **per company and per bank**.
> - The workflows apply *only* to the banks that you specify on this tab. All payment batches for *unspecified banks* will use the workflow defined on the Company tab.

You add the banks to the grid at the top of the form, then select each bank in turn and specify the approval workflow for each bank.
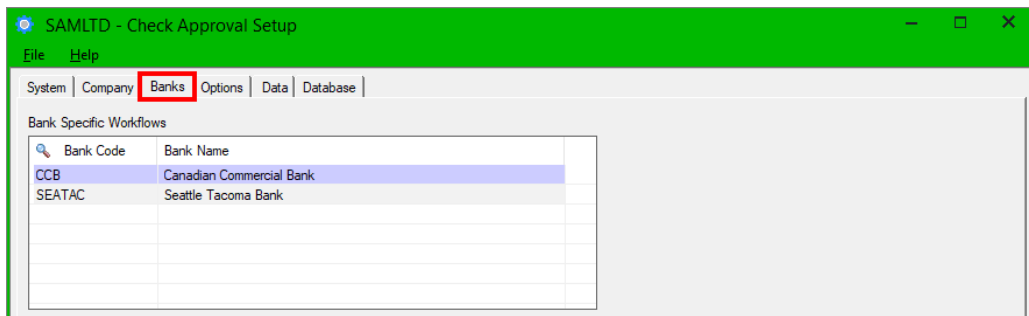
Banks that Require Approval – Add each of the banks that require a per bank approval workflow to the grid at the top of the page. SOX Check Approval lets you choose a different approval workflow for each bank.

> **Note:** Client's bank codes are presumed to be unique across all companies in the approval process. For example, if a bank code is XYZ and that code is used in multiple companies, it should refer to the same bank.

Select the workflow for each bank in your company listed in the top grid
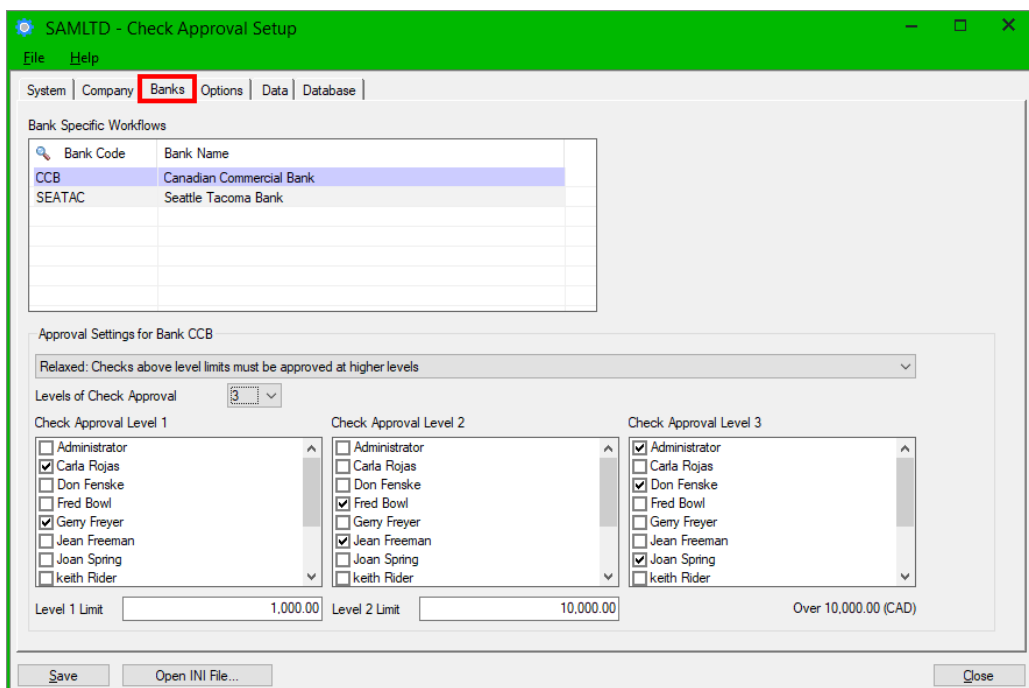
The workflows for companies and banks work the same way. See <u>Sample Check Approval</u> <u>Settings</u> in the previous section for approval workflow examples.

Remember that batches for banks that are not added to this tab will use the workflow defined on the Company tab.

Add or select the bank that you want to set up, and then select the approval workflow for the bank from the following drop-down:

Strict: All checks must be approved at all levels	⌄
Strict: All checks must be approved at all levels	
Basic: Checks above level limits must be approved first by lower level approvers and then by approvers at higher 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**
  This workflow lets you specify up to three levels of check approvers. Choose this workflow when the top level of approval <u>must see all checks in all batches</u>.

- **Basic: Checks above level limits must be approved at higher levels after first being approved by lower-level approvers**
  Like the Strict workflow, this option lets you specify up to three levels of check approvers. Choose this workflow when the top levels of approval only want to see checks above specified limits, and those checks must first be approved at lower levels.

  When you choose "Basic", a set of fields will appear below the check approvers to let you specify the approval limit for each lower level *in the bank currency*.

- **Relaxed: Checks above level limits must be approved at higher levels and not seen by lower-level approvers**
  Like the Strict workflow, this option lets you specify up to three levels of check approvers. Choose this workflow when the top levels of approval only want to see checks above specified limits, and those checks are not to be approved at lower levels.

  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 *in the bank currency*.

- **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

<u>If you choose the Strict, Basic, or Relaxed workflow</u>, you can have up to 3 levels of approval.

Strict: All checks must be approved at all levels	▾
Levels of Check Approval	3 ▾

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

Simplified: Checks must be approved by a number of users	▾
Approval Users Required	3 ▾

Select the check approvers at each Level

> **Note:** Approvers must first be added as Sage 300 users to appear on the Banks tab.

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

- You cannot select the same check approvers at multiple levels. If you want multiple approvers – in any order – choose the simplified workflow.

- Approvers will only get email notification to approve a batch if they are approvers for the bank assigned to the batch and if they did not already approve it (in a Simplified workflow).

  Note also that users cannot be approvers for a batch they submitted unless you select the option "A User Can Approve a Batch They Submitted" on the Options tab.

If you use the Simplified workflow, you must identify all acceptable approvers. Approvers can only approve a batch once.

You will see a warning message if you change the check approval levels:
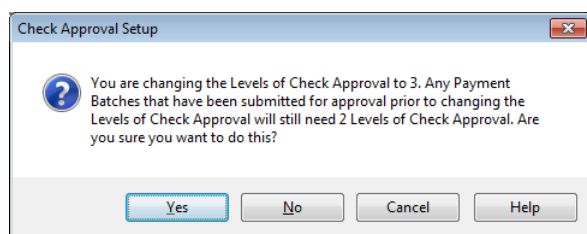
Warning: This message applies to you if you are already using SOX Check Approval and have batches that are currently in the approval process. To avoid issues, you should approve all batches that are currently in progress *before* changing workflows.

Specify the check limits if using the Basic or Relaxed workflow

When you choose "Basic" or "Relaxed", the following set of fields will appear below the check approvers to let you specify the approval limit for each lower level. Checks below a level limit do not need to be approved at the next level

Note: Level limits are in the *bank currency* – not the functional currency.

When Changing Levels of Approval and Limits: You can change the Levels of Check Approval and the Approval Limits; however, *to avoid issues*, you should approve all batches that are currently in progress *before* changing workflows.

Any batches that are in the approval process will still require the original approval levels – which means that, if the number of approvers changes from 3 to 2, the unapproved batches will still need a third level of approval.

Sample Check Approval Settings

See Sample Check Approval Settings in the previous section: Step 7 – Choose Check Approval Workflow and Set Up Approvers for Company Workflows. The workflows for companies and banks work the same way.

Also see Using Windows Authentication with Sage 300 users and Check Approval Console sign on error messages in Step 7 for more information on adding approvers.

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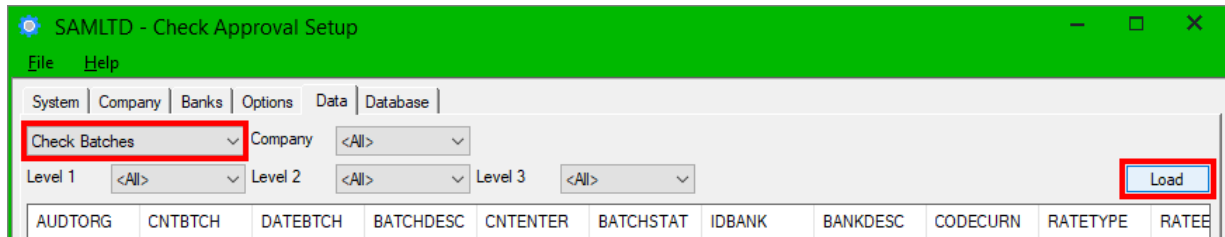
- Select "Check Batches" and click the Load button to view the details of batches waiting for approval.
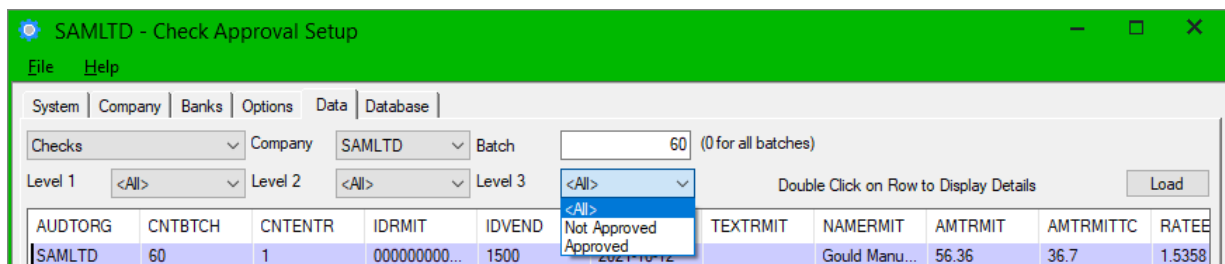

- Double-click a batch entry to view the list of payments. This is the same list that appears if you select "Checks" and click the Load button – as shown below – except that it lists payments for a single batch.


Note: *If you need to return a batch to Open status* and cannot return the batch to the submitter using the Check Approval Console, an Administrator can return a batch to Open status by removing the batch entry from the Approval database.

- Open the Check Approval Setup program on the Sage 300 desktop.

- Go to the Data tab, select Check Batches, and click the Load button.

- Select the batch that you want to return to Open status, and press the Delete key.

- Click the Yes button to confirm the procedure.

Checks:

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

- Double-click a payment to see the payment application details.
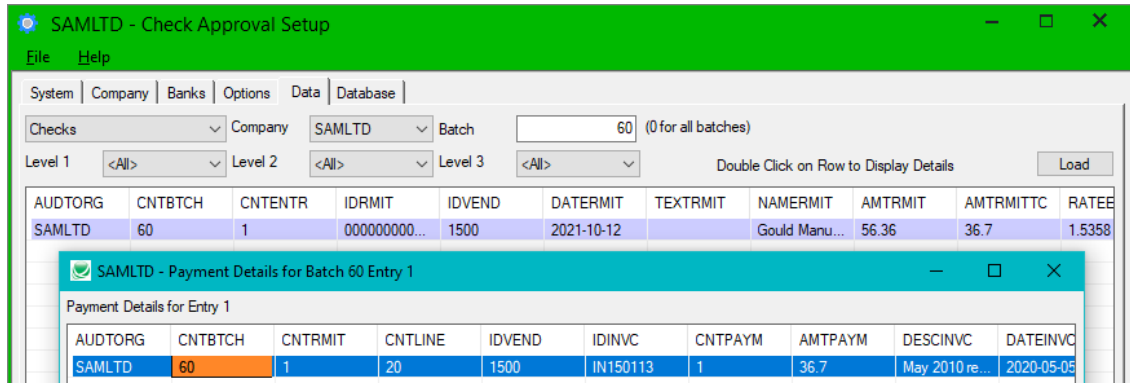
Note: A Document button appears at the bottom of the screen for applied payments *if Altec DocLink is installed on your system*. Click the Document button to drill down to original A/P documents.

# Additional Setup Requirements for Orchid Document Management Link

The SOX Check Approval console displays all matching entries set up in Orchid DML.

Note: Prior to June 2020, the Check Approval program took the first matching entry for the vendor, for payment document, and the document being paid. This meant that the console previously displayed 3 sections, but now it can display as many as the user wants to set up.

Check Approval Console showing Orchid DML popup with 3 document sections
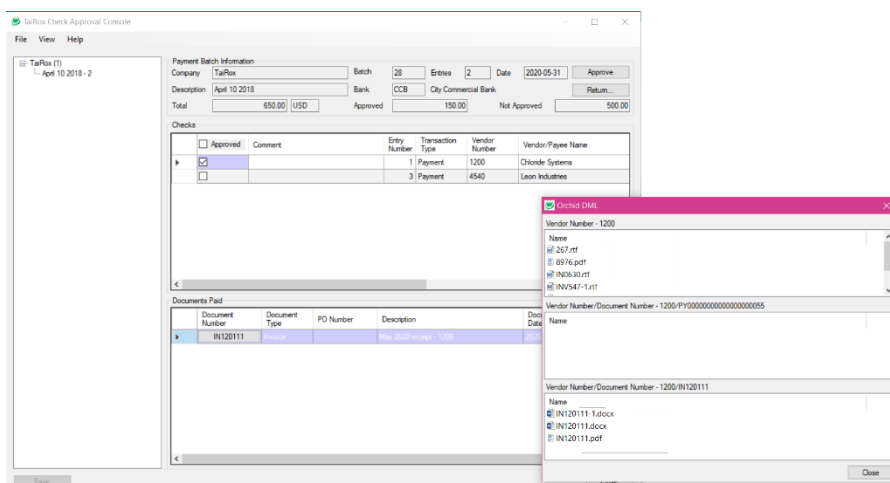

Check Approval Console showing Orchid DML popup with 4 document segments
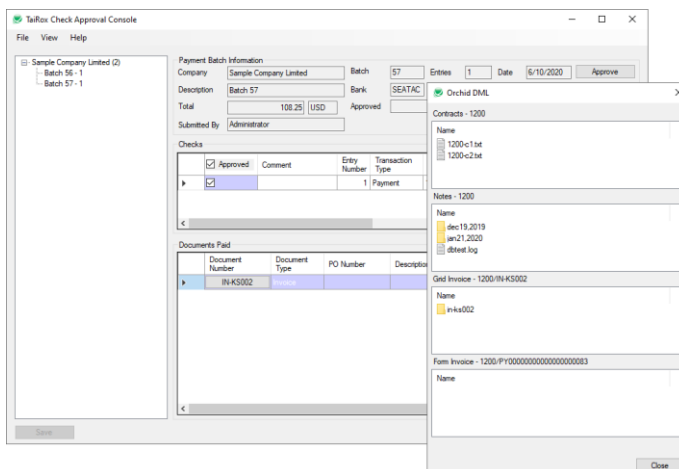
Entering Configuration Details in Orchid's Setup Program

Document management integration with Orchid Document Management Link is controlled by the SOX 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.

Orchid Setup Options
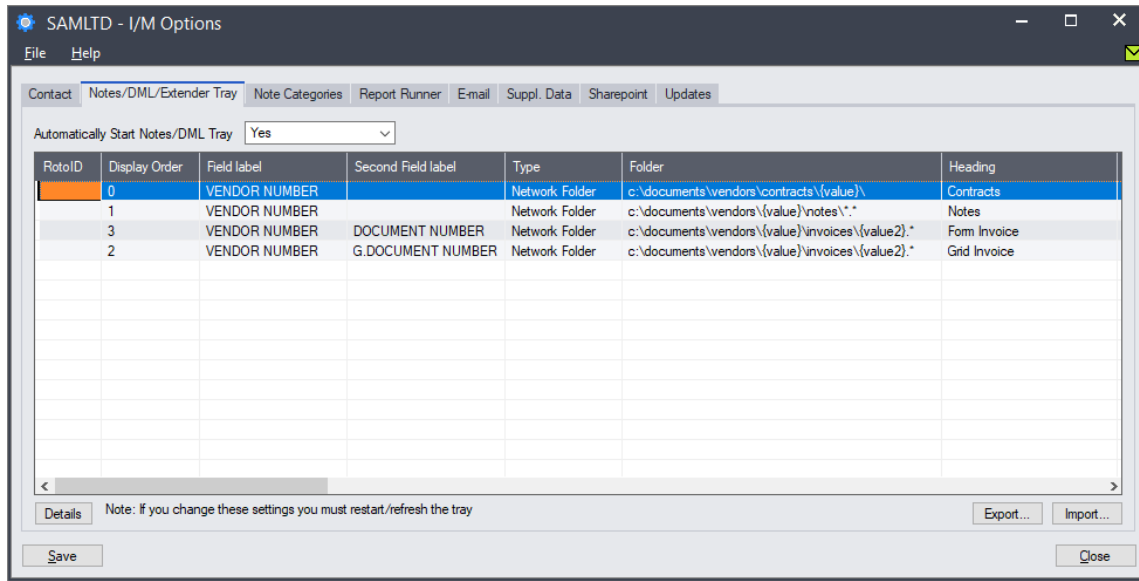
- SOX Check Approval Console displays document sections according to the display order specified in I/M Options. Entries with a blank or 0 appear at the top.

Note the following points:

- Previously, the Check Approval console looked only at entries with RotoID WW2000. As of June 2020, this is no longer the case. The program will also consider entries with a blank roto ID, as Orchid will match these to any screen with the correct field labels.

- Newer versions of Orchid DML allow you to specify a heading for each entry that will be displayed by SOX Check Approval console.

- Newer versions of Orchid also have an option to specify that you want subdirectories of the folders displayed. SOX Check Approval will respect this setting if possible.

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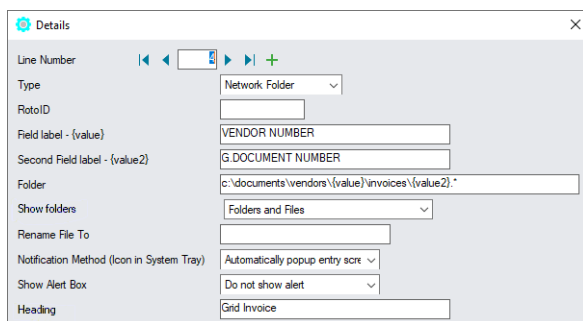
IMPORTANT: You can set up the entries in Document Management Link for all users or for specific users.

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.
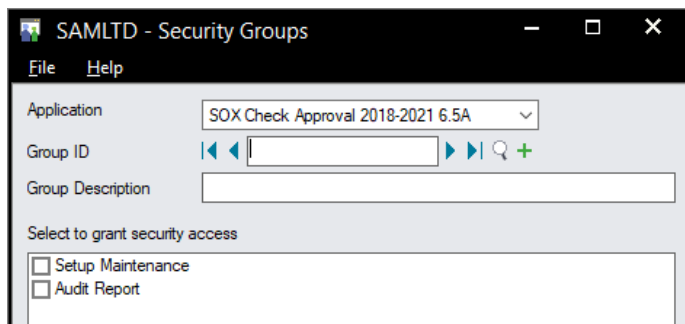
SOX Check Approval Security

SOX Check Approval uses Sage 300 security groups to prevent unauthorized users from changing program settings, printing payment audit reports and submitting payment batches for approval.

Security groups and user authorizations are all defined through Administrative Services – just like core Sage 300 modules.

To create security groups for SOX Check Approval:

- Choose Security Groups from the Administrative Services folder.

- Select SOX Check Approval from the Application dropdown.

- Enter a group ID and description.

- Select the security tasks you want for each group.

Once you create security groups, you can assign them to individual users.

> **Note:** Access to the Approval Console is determined by settings in the Check Approval Setup program – not by security groups.
>
> - Only assigned users can log into the standard Check Approval Console that's launched from the Windows Start List.
>
> - Any user can open the Web Screens Approval Console; however, only assigned users will be able to review and approve batches that were submitted for approval.

Batch Creation, Editing, and Submitting a Batch for Approval

Users require Payment Batch Entry security rights in Accounts Payable in order to create, edit and submit payment batches for approval.

Setup Maintenance security task

Users must be granted Setup Maintenance security rights to be able to view or edit any SOX Check Approval settings.

Audit Report security task

Users must be granted the Audit Report security rights as well as be able to view AP payment batches (Payment Batch Inquiry, Payment Batch Entry, or Payment Batch Posting) in order for the Audit Report to show up on the Sage 300 desktop or on the Web desktop.

Rights Required for the Approval Console's Sage 300 User Account

You specify the Sage 300 user account that will be used by the Check Approval Console to sign on to Sage 300 on the System tab of the Check Approval Setup program. This user account is required to connect the Approval Console to Sage 300 and perform the processing operations when batches are approved.

Typically, you will use the ADMIN user ID for Sage 300 sign on – however, if necessary, you can use a different Sage 300 User ID that has Payment Batch Entry rights.

For example:

- Create a new user called "APPROVE".

- Create a new security group "APPROVE" with Payment Batch Entry security access.

- Assign User ID "APPROVE" to the "APPROVE" security group.

- Specify the APPROVE user ID on the System tab of the Check Approval Setup program.

Installing Sage 300 Web Screen Customizations

Follow these instructions to install the Web Screen customization package for SOX Check Approval. The customization package adds a button to the A/P Batch Payment list for submitting payment batches for approval and for checking the approval status of submitted batches.

To install Web Screen customization packages for Sage 300cloud:

- Install the version of SOX Check Approval and SOX Check Approval Web Screens that matches your version of Sage 300. (See SOX Check Approval installation files.)

- Copy the customization zip file for SOX Check Approval Web Screens (for example, TaiRox.SCA.Customization_2023_0.zip) to a convenient location. You will need to find it easily to import it.

  Make sure that you copy the customization files that match your version of Sage 300.

- Open your browser and browse to **<Sageserver\instance>Sage300/admin** to open the Sage 300 admin portal.
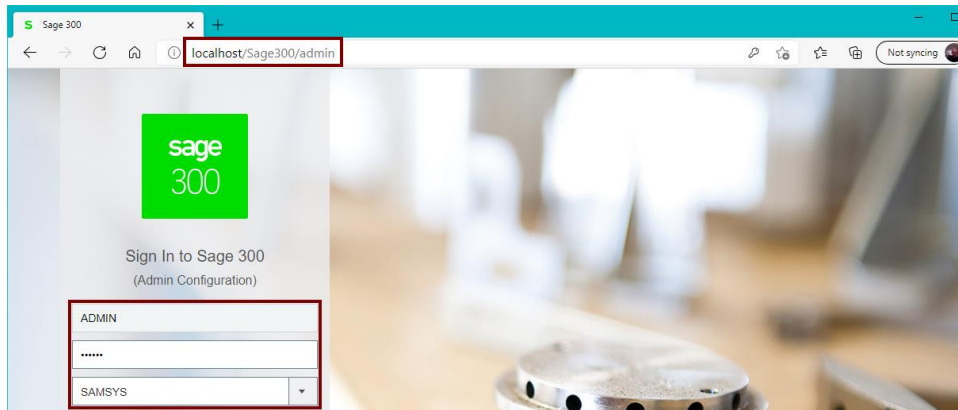
- Select the System database, and sign in with an Admin password.

On the Import Customizations screen:

- Click the Browse button and find the Customization zip file (TaiRox.SCA.Customization_2023_0.zip).
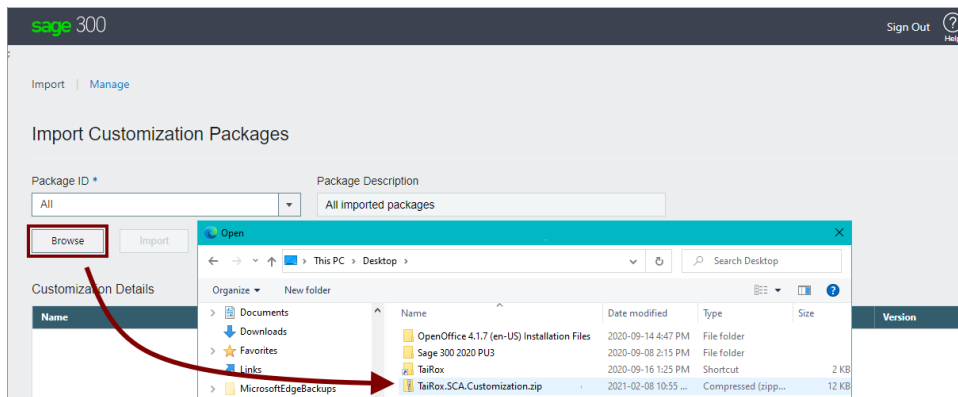
To Delete a prior customization first*, select the prior customization from the Package ID dropdown, and click the Delete button.*

- Double-click the zip file to select it, and click Import button.)

- Click the Assign button at the bottom of the Import screen, select the companies that use SOX Check Approval, and click OK.

- Sign out of Sage 300.

- Clear your browser's cache of temporary Internet files and exit the browser.

- Open a Command prompt and enter **iisreset** to restart iis.

- Verify the installation be signing in to the Sage 300 portal and opening the AP Payment Batch List program.

Check Approval FAQ

Read user guides for SOX Check Approval carefully in addition to reviewing this FAQ.

Note that SOX Check Approval is described in several documents, each one intended for a different kind of user.

- **SOX Extended Payment Batch List User Guide** is for users of Sage 300 who prepare payment batches and submit them for approval using the Sage 300 Windows desktop.

- **SOX Check Approval Console User Guide** is for key users who will perform a 1, 2 or 3-step approval using the Windows-based approval console. These users may not be familiar with Sage 300.

- **SOX Check Approval Web Screens User Guide** is for users who will approve payments or who will submit A/P payment batches for approval using the browser-based Sage 300cloud interface.

- **SOX Check Approval Audit Report User Guide** is for users who oversee the A/P check process and want to print reports from the Sage 300 Windows desktop. 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 will install the software, set up databases, and configure the solution.

- **SOX Check Approval Update Guide** provides important information for system administrators who are updating an installation from a prior version of SOX Check Approval.

Installation and Upgrade Issues

Q: Where can I get release notes for SOX Check Approval, and what will they tell me?

A: Click the [Release Notes]() link in the upper left-hand corner of the SOX Check Approval product page on the TaiRox web site.

Among other things, the Release Notes will tell you about recent fixes and provide program compatibility information. For example:

```
Build 2022-09-19
 - Support is added for Sage 300 2023.

Build 2022-03-24
 - Support for the Advanced Complex Passwords feature added in Sage 300
2022 PU2.
 - Fixes an issue in the Basic workflow that under certain conditions
caused an approval level to be skipped.
 - Setup options have been grouped to separate system-wide settings from
company-specific settings.

Build 2021-10-13
 - A new workflow, Basic, is added.
```

Q: I just installed Check Approval, but the default Sage icons are all still there. What happened?

A: *If you just installed the new version of **SOX Check Approval 2018-202n**, you will **not** see a change in the A/P icons. The new version of SOX Check Approval subclasses the A/P Payment Batch List and Payment Entry programs to add functionality that forces batches to be submitted for approval before you can print checks and post payments.*

As part of the upgrade procedure to SOX Check Approval 2018-202n, you must Uninstall the Desktop Menu control from all workstations that have a full install of Sage 300.

A2: ***If you are running "the classic" version of SOX Check Approval (for Sage 300 versions 2012-2017),** you must install the Check Approval program and install the desktop menu control on <u>each computer</u> where Sage 300 is physically installed. The Desktop Menu control must be installed on all workstations that have a full install of Sage 300.*

General Installation Notes:
Most SOX Check Approval users have one or more RDP servers and use workstation setup. Make sure that you install the SOX Check Approval program and install the desktop menu control on all RDP servers.

It may help to sketch out your Sage 300 and Check Approval installation.

- You require one (and only one) approval database for Check Approval.

- You need to activate Check Approval **for each company** using Check Approval.

- You need to install the Desktop Control **on each computer** that has a full install of Sage 300.

  - **If Check Approval 2012-2017 is active for the company,** installation **adds** the new Extended Payment Batch List function to the A/P Transactions menu and **removes** the Sage 300 Payment Batch List and Payment Entry functions.

Q: Why did the Extended Payment Batch List icon disappear from the A/P Transaction folder?

A: *Note that after January 2021, versions of the program that work with Sage 300 2018-202n do not change the icons in the A/P Transaction folder.*

If you are using a version of SOX Check Approval that was released before January 2021 – or if you installed the version for Sage 300 2012-2017, note the following.

Did you just update Sage 300?

For older versions of SOX Check Approval, you must Install Desktop Menu Control on the Check Approval Setup Installation tab when you install or update Sage 300 so certain Check Batch operations can be blocked and the correct icons appear on the Accounts Payable folder on the Sage 300 desktop.

- Click the Uninstall Desktop Menu Control button **before** installing any Sage 300 updates. Then click the Install button after the Sage 300 update is complete.

Q: Why don't I see everyone that I want to add as check approvers on the Users tab?

A: *All check approvers must first be added as Sage 300 users in order to appear on the Users tab. In addition, all submitters and users must have an email address in the Email 1 field of their Sage 300 user profile in order to be sent email notifications.*

Q: I just updated SOX Check Approval and got a message that the database needs to be "created or converted." What's wrong?

Note: These messages can appear when you open the SOX Check Approval Console program or when you open the A/P Payment Batch program or the SOX Check Approval Audit Report
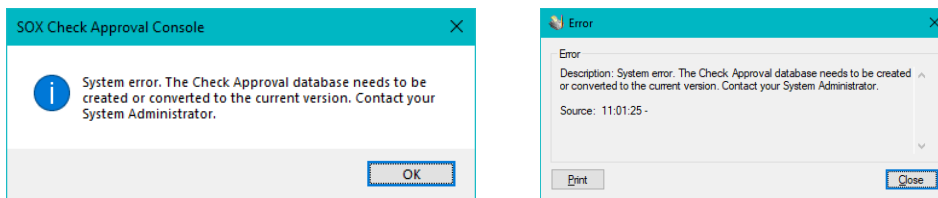

A: *These messages appear if you updated SOX Check Approval and you also need to update the Check Approval database because of program changes.*

For example, the April 2025 update required you to update the Check Approval program, and then update the Check Approval database because database was changed in April 2025 to add the check batch approval date.
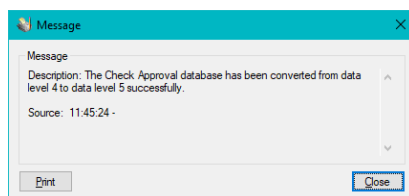
To update the Check Approval database:

- Sign on to Sage 300 as an administrator and open SOX Check Approval Setup.
- Select the Database tab.
- Click the Convert button.
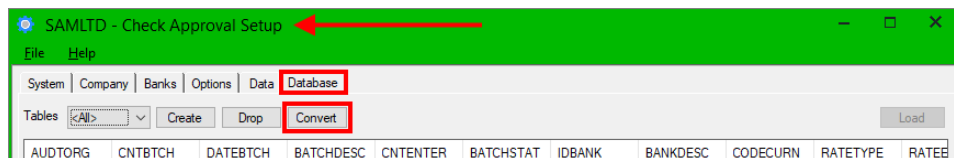

The program will display the following message:
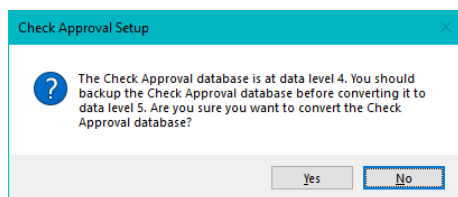
If you have backed up your database, click Yes to convert the data. The following message will appear:

Q: I moved all Sage SQL databases and the Approval database to a new SQL Server and installed the latest versions of Sage modules and Cheque Approval Desktop and Console on a new server.

All Sage modules appear properly, but I don't see SOX Check Approval on the Sage Desktop, and I get the following message when opening the Check Approval Console. What's the problem?
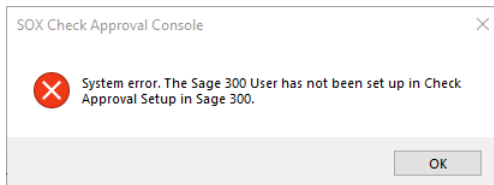

A: <u>If Check Approval Setup does not show up on the Sage 300 Desktop</u>, you need to install the C/C++ runtime that is shipped with the SOX Check Approval installation files -- vcredist_2013_x86.exe.

   As noted in the readme file "READ-WHY-NEEDED-vcredist_2013_x86.txt", the C/C++ runtime required by SOX Check Approval may not be present on newer versions of Windows such as Windows 10.
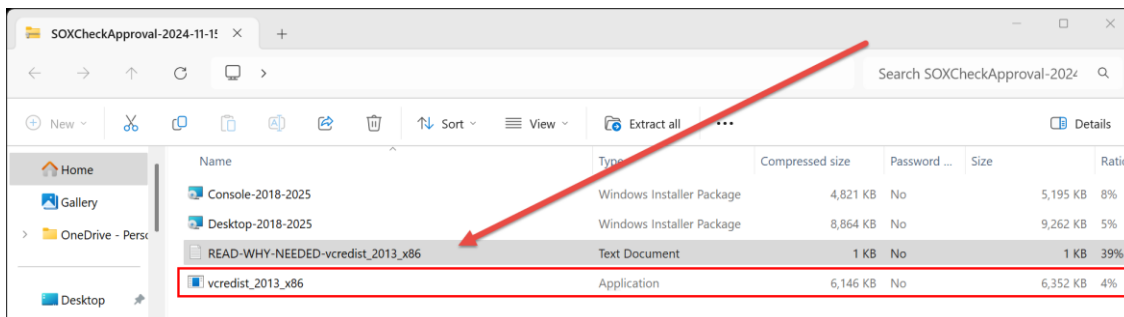
   You also need to copy the TaiRoxChqApproval.ini file from the old server's Sage 300 SharedData Folder to the Sage 300 SharedData Folder on the new server.
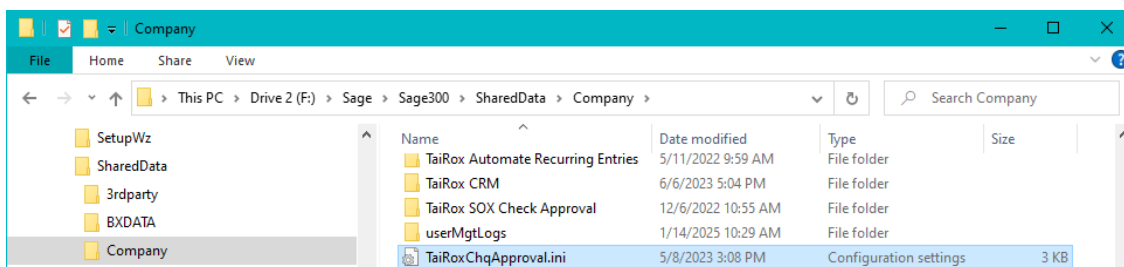
   And you will need to update the Sage 300 User in Check Approval Setup – typically, the ADMIN user –that's used to authenticate check approvers when they log in to the Check Approval Console.

Issues with Email Setup

Q: I can successfully send a test email to my Gmail account from the SOX Check Approval Setup program, but I get an email error message when I submit A/P batches for approval, and email notification is not sent to approvers.

A: *Check the port number for the Email Server on the Email Notification tab in SOX Check Approval setup.*

If it's set to port 465 in Setup, the test will work properly, but email notifications will not be sent from the Web Screens. Change the email port to 587, test the settings, then check that it works with the Web screens.

All approvers must have an email address in the Email 1 field of their Sage 300 user profile.

Also check that your Gmail account is configured to allow access for less secure apps.

**Q: How can I test email for the Web Check Approval Console. It doesn't have a choice to send a test email.**

A: *You can test the Web Check Approval Console email by installing the Classic Check Approval Console on the web server, and then use the Classic Check Approval Console to test email.*

Q: How do I list multiple recipients for distribution lists or for sending test emails from the Email Notifications tab?

A: *Use commas or semicolons to separate email addresses if you need to enter more than 1.*

Note that newer versions of SOX Check Approval (as of December 2022) do not use distribution lists. The program uses the Email 1 email addresses stored in Sage 300 User profiles.

Q: I am trying to set up email notification in TaiRox Cheque Approval, but I am receiving the following error. I have checked many times, and the username and password are correct. What's wrong?
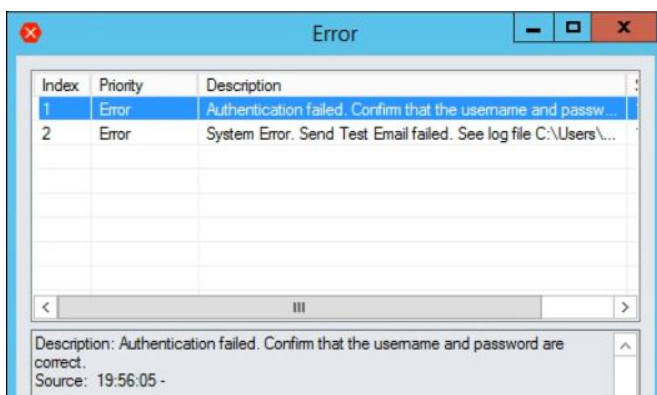
A. *Confirm that the username and password are correct, and review the log file.*

For example, the following log extract suggests that 2-factor authentication is in place (and the second factor has not been entered on the device where you are running SOX Check Approval). If 2-factor authentication is on, you might read this article:

https://support.microsoft.com/en-us/account-billing/turning-two-step-verification-on-or-off-for-your-microsoft-account-b1a56fc2-caf3-a5a1-f7e3-4309e99987ca

```
readSmtpResponse:
    SmtpCmdResp: 535 5.7.3 Authentication unsuccessful
    [MWHPR21CA0063.namprd21.prod.outlook.com]
    (leaveContext)
SMTP authentication failed after sending password.
office365_tips:
    Your office365 account might be requiring MFA (multi-factor authentication).
    Change your office365 account settings to allow single-factor authentication
    (allow legacy authentication).
    See https://docs.microsoft.com/en-us/azure/active-directory/conditional-
    access/block-legacy-authentication
    Also, you may need to create an App password.
```

Q: How do I turn on email logging and view the log file?

A: Select the "Enable Email Logging" checkbox on the System tab for SOX Check Approval Setup. The logging option creates a technical email log that documents all of the handshaking involved in communicating with an SMTP server. This feature helps you diagnose setup issues, as well as ones that arise due to email providers' changes.

You can find the email log file in:

>Sage300\SharedData\Company\TaiRox SOX Check Approval\Logs

Issues with A/P Check Batches

Q: I have AP check batches. Why do I get this message when I submit the batches for approval?

Incorrect Procedure. Payment batch 712 has no payments or checks that need check approval. Payment batch 712 does not need to be submitted for check approval.

A: Review the "Submit These Payment Types for Approval" option on the Options tab (or Installation tab in older versions) for SOX Check Approval Setup. Older versions of Check Approval only submitted transaction type "Check" for approval. (Check Approval allowed other payment types in Oct 2020.)

Note that payment types are associated with payment codes, which can be assigned cash, check, credit card, or other payment types. If you are submitting Check payment types only, then Check Approval will not be involved if the type is "Cash" or "Other".

Also, changing the 'Payment Type' in Payment Codes after entering a transaction does not affect existing Payment Entries. If you entered a payment that requires approval with the wrong payment type, you must delete it, then re-enter it with the correct Payment Type.

Q: How can I return a batch to Open status that was submitted for approval?

A: The standard way to return a batch to Open status is to have an approver use the Check Approval Console to return it to the submitter.

If you cannot return the batch to the submitter, an Administrator can return a batch to Open status by removing the batch entry from the Approval database.

- *Open the Check Approval Setup program on the Sage 300 desktop.*

- *Go to the Data tab, select Check Batches, and click the Load button.*
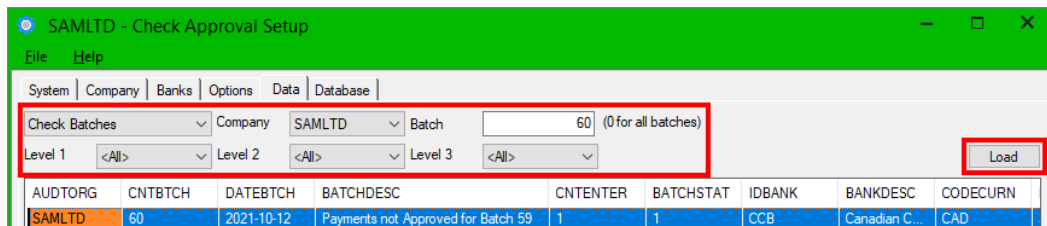
- Select the batch that you want to return to Open status, and press the Delete key.

- Click the Yes button to confirm the procedure.
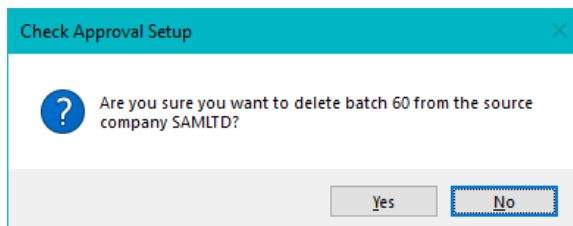
Q: We have batch that is "hung up" in the approval process. How can we reset it?

A: No matter why the batch became stuck, you can follow the instructions in the previous FAQ "How can I return a batch to Open status that was submitted for approval?" to return a batch to Open status, and then resubmit it.

A batch can become "stuck" if you change the approval workflow (usually by reducing the number of approval levels) after submitting the batch for approval.

Issues with the Check Approval Console

Q: Why do I get an Invalid Input or a Signon Failed message when I try to log in to the Check Approval Console?
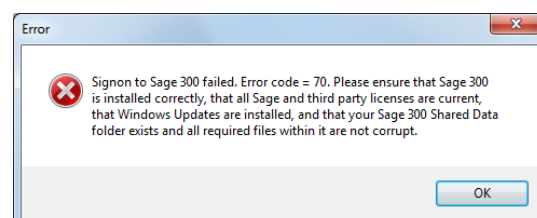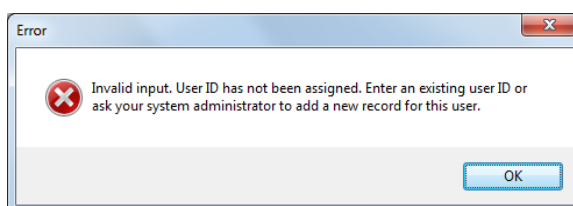
A: *Invalid Input message can appear if the user ID you entered has not been added to Sage 300 or if the password you entered is incorrect.*

If this is your first time signing in, check with a system administrator that the User ID has been added in Sage, and confirm the password. (You can test the ID by signing on to Sage 300.)

A *"Signon failed" message can appear if you were assigned a new Sage 300 ID that required a password change on the first login.*

If this is your first time signing in, you should sign in to Sage 300 first to ensure your ID works properly, and then change your password if requested by Sage.

Q: How can I change my signon password for the Check Approval Console?

A: *Your Check Approval Console ID and password were assigned in Sage 300.*

Start Sage 300, then click the "Change Password" button when the Open Company signon screen appears.

Q: Why do I get a message about "Integration with document management software?

A: *SOX Check Approval integrates with Altec DocLink and Orchid Document Management Link, allowing check approvers to drill down to and examine source documents that have been paid – mainly invoices.*

When applicable, the Document Number column in the Console includes a button that you can click on to launch a document management product to view the original source document.

Q: We submitted a Payment batch which shows Check Creation in Progress status. It has been approved in Level 1, but it does not show up in the Check approval console for any of the Level 2 approvers.

Here is our settings screenshot.

A: *You have the same approvers for level 1 and 2. If you want the same approvers for each level (that is, you want each check approved by 2 people, in any order), you should use the Simplified workflow.*

- 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.

If a user approves a batch at level 1 – and the user is also a level 2 approver – the batch will be approved at both levels.

Q: I have a batch with a single payment that is not approved. How can I move the batch along so it is no longer in the queue. I get an error when I try to approve the batch without approving the entry.
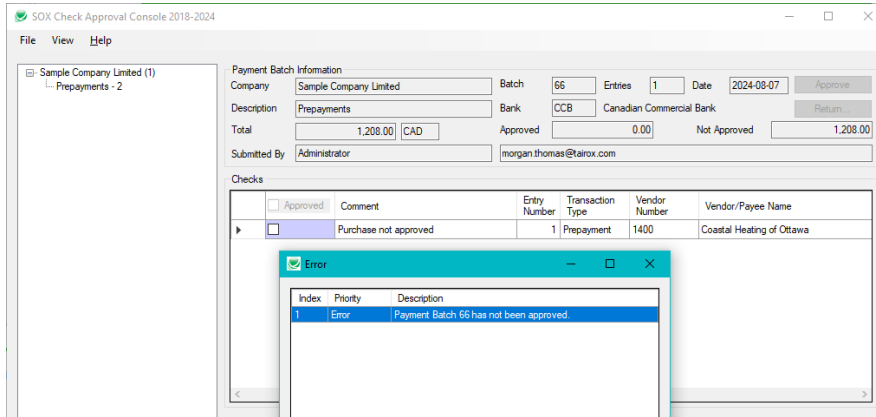

*A: Acknowledge the message, choose **View > Refresh** from the SOX Check Approval Console, and then click the Return button. Type the reason for rejecting the payment.*

SOX Check Approval doesn't create new batches with rejected entries if no entries have been approved.

Issues with Orchid Document Management Link

Q: Orchid DML works properly in A/P Invoice Entry and when I enter a payment in TaiRox Extended Payment Entry. Why don't the documents appear in the Check Approval Console?
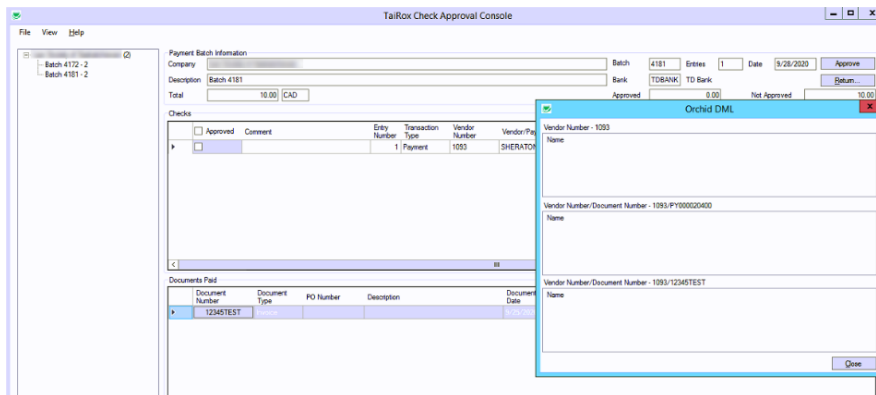

A: Check that the user (network user account) running the TaiRox SOX Check Approval Console has read access to the network folder with the A/P documents.

Use a UNC path to the A/P document drive if running the console from a different server from where you run Sage 300.

Issues with the Audit Report

Q: How can I generate an Audit Report?

A: You can generate an audit report by running the Sage 300 Desktop, opening the SOX Check Approval folder, and choosing the "Check Approval Audit Report" icon.
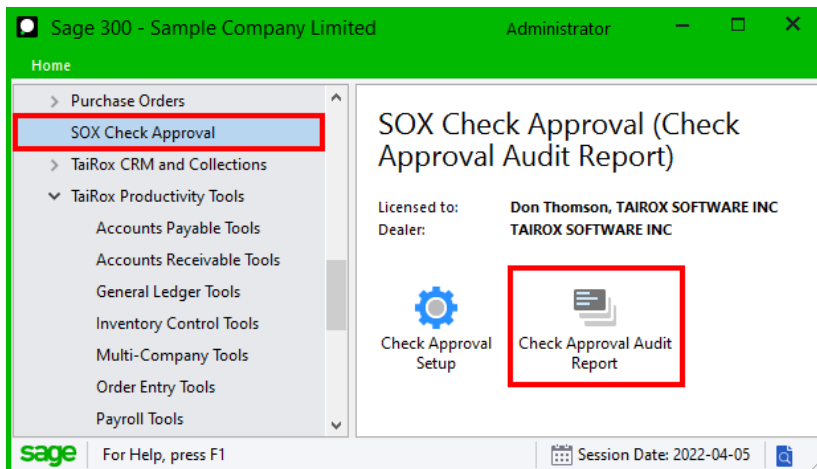
Q: The Check Approval Audit report (and the Extended Payment Batch "*In Progress*" popup) show blank approval dates. What's wrong?

A: If you recently updated the SOX Check Approval database and have batches approved from before you updated to the April 2025 version, these batches will not show approval dates on the Check Approval Console screens or on the Check Approval Audit report. The dates will appear only for batches that were approved after SOX Check Approval was updated (i.e. after April 2025).

Issues with Viewing the Web Screen Audit Report

Q: The menu choice for the Audit Report does not appear on my screen. What's Wrong?

A   In order for the Audit Report to show on the Web desktop, a user must have been granted the Audit Report security rights as well as be able to view AP payment batches (Payment Batch Inquiry, Payment Batch Entry, or Payment Batch Posting).

Q: My browser displays the following error message when I generate an Audit Report. What's Wrong?
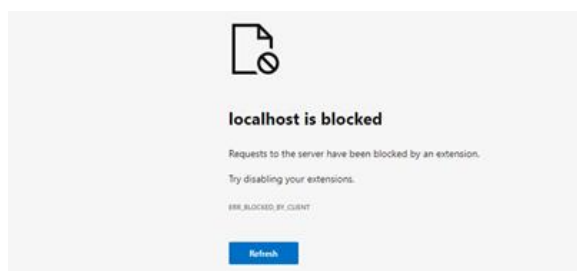
A: The Check Approval Console generates an audit report in PDF format that needs to be downloaded to some browsers in order to be viewed

Some browsers will let you view the PDF directly, but others will not. Follow the instructions listed below to download PDFs for Edge and Chrome. You can then open the downloaded PDF files.

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.
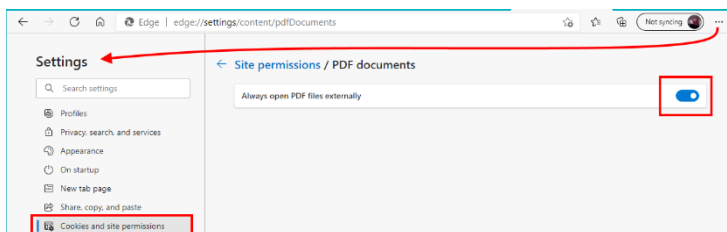
PDF download settings in Google Chrome

- 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".
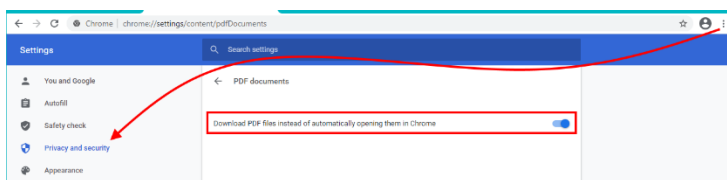
Issues with Viewing Approval Dates and Times in the Database

Q: The Approval Dates and Times in the Approval database are out by several hours. What's Wrong?

A   The Dates and Times are stored in UTC (Coordinated Universal Time) and displayed on the audit report according to the time zone of the current user.