

# Updating to SOX Check Approval 2012-2017

---

This guide provides instructions for updating from prior versions of SOX Check Approval to SOX Check Approval 2012-2017.

**NOTE: This Guide describes the upgrade procedure to SOX Check Approval 2012-2017**

- If you are running Sage 300 2018 (6.5A) or higher, you should install SOX Check Approval 2018-2021.
- If you try to Activate SOX Check Approval 2018-2021 on a version of Sage 300 that is earlier than 2018, Sage 300 will display an error stating that SOX Check Approval 2018-2021 requires System Manager 6.5A or later.

## New Features in this version of Sox Check Approval

Note that the following new features have been added to SOX Check Approval since August, 2019. Refer to the SOX Check Approval Setup Guide for descriptions of all new features.

- Option to use approval process for payment types other than Check. (October, 2020)
- New option "Restrict Vendors in Payment Batch to Vendors whose Bank Matches the Payment Batch Bank". (July, 2020)
- Improved compatibility with Orchid View Extender. (June 2020)
- Audit Report added for SOX Check Approval. (November 2019)
- Added new "Simplified" workflow option. (August 2019)

SOX Check Approval supports three different check approval workflows:

- **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 must see all checks in all batches.  
This workflow was in prior versions.
- **Relaxed: Checks above level limits must be approved at higher levels**  
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.  
This workflow was in prior versions.  
When you choose "Relaxed", you must also specify the approval limit for each level.
- **Simplified: Checks must be approved by a number of users**  
This workflow lets you require up to three check approvers. Choose this workflow when each check requires more than one approver, but there is no hierarchy or order for approvers.  
This workflow was added in August 2019.

See [Changing Approval Workflows if You Have Unapproved Batches](#), in this guide.

## Preparation & Planning, Prior to Software Installation

Read this document thoroughly and create an upgrade plan. The plan should include the following items.

1. ***Prepare a list of all servers and workstations that will require software upgrades:***

- All computers that run Sage 300 applications.
- All computers where the SOX Approval Console is installed. A second installation program installs the SOX Approval Console on users' workstations.

The SOX Check Approval installation package includes two installation programs for SOX Check Approval 2012-2017:

- **Desktop-2012-2017.msi**
- **Console-2012-2017.msi**

Note that the installation package also contains installation files for SOX Check Approval 2018-2021. Those files are for users who are running Sage 300 2018 or higher.

For each computer, note which installations will be required.

2. ***If you plan to change the check approval workflow***, we recommend first approving all submitted payment batches (or sending them back for resubmission) before making this change. ***If you do not follow this recommendation***, prepare a list of all outstanding batches, the state those batches are in, and a list of all approval users at all levels.
3. ***Schedule an outage with enough time to complete all steps***. Note that all users must log out of Sage 300 and the SOX Check Approval Console as the first step of an outage. Consider whether or not you wish TaiRox resources to be available during the outage.

**Note:** TaiRox will review any outage plan at no charge prior to the outage if received several days prior to the outage.

## Steps for Updating SOX Check Approval

Note that SOX Check Approval includes two installation programs:

- ***Desktop-2012-2017.msi*** – installs the Check Approval Setup program and the A/P Extended Payments Batch program on the Sage 300 Desktop.
- ***Console-2012-2017.msi*** – installs the Check Approval Console for approvers.

The Check Approval Console is launched from the Windows Start list or Taskbar by approvers. The approvers' computers require Sage Workstation setup or a full Sage 300 installation.

### To update SOX Check Approval:

1. Have all users log out of Sage 300 and the SOX Check Approval Console.
2. *Uninstall "TaiRox Check Approval" from all computers running Sage 300 applications.*
3. *Uninstall "TaiRox Check Approval Console" from all computers running the Check Approval Console. (This will include all computers running Sage 300 applications.)*

4. Install the new Check Approval software on all computers running Sage 300 applications using the following installation file.

*Desktop-2012-2017.msi*

This program installs the new version of the Check Approval Setup program.

It also installs a new version of the Extended Payment Batch List for handling the new check approval workflow.

5. Install the new Check Approval Console on all computers in step 3, above, using the following installation file.

*Console-2012-2017.msi*

**WARNING: You MUST update the Console for ALL Check Approvers.**

Some new features will not work properly if you continue to use the old Check Approval Console.

Note that if you are adding new approvers, you must add them first as users to Sage 300.

6. Run the SOX Check Approval Setup program, go to the Installation tab and uninstall and reinstall the Desktop Menu Control.

You must reinstall the Desktop Menu Control on all workstations and all RDP computers that have a full install of Sage 300.

7. Optionally, choose new Check Approval workflows using the SOX Check Approval Setup program.

You can choose different workflows for different companies in your installation.

Note that under the Strict and Relaxed workflows, you cannot select the same check approvers at multiple levels. If you want multiple approvers – in any order – choose the Simplified workflow.

**Important: Read the next section for information on changing approval workflows if batches have already been submitted for approval.**

## Changing Approval Workflows if You Have Unapproved Batches

You can select and change approval workflows on a per company basis

**Note – When Changing Approval Workflows or Limits:** You can change from one workflow model to another and change the levels of check approval and the approval limits.

***Any batches that were already submitted will continue to use the previous settings.***

- If the level changes from 3 to 2, any unapproved batches that have ***already been submitted for approval*** will still need a third level of approval.
- If you change from the multi-level “strict” workflow to the “simplified” workflow, unapproved batches will still need the approvers who were previously at the second and third levels to approve checks.

**This means that you must not remove existing check approvers from the Level 2 and Level 3 lists when you reduce levels or switch to the Simplified workflow!**

For example, assume that you currently have 3 levels of check approval, and all checks have to be approved at all levels.

Currently, the User tab on the Check Approval Setup screen will look like this:

Strict: All checks must be approved at all levels

Levels of Check Approval: 3

Check Approval Level 1

- ☐ Administrator
- ☒ Carla Simpson
- ☐ Don Fenske
- ☒ Frederic Winkler
- ☐ John Newby
- ☐ Keith Wilson
- ☒ Morgan Evans
- ☐ Samantha Long

Check Approval Level 2

- ☐ Administrator
- ☐ Carla Simpson
- ☐ Don Fenske
- ☐ Frederic Winkler
- ☒ John Newby
- ☐ Keith Wilson
- ☐ Morgan Evans
- ☒ Samantha Long

Check Approval Level 3

- ☒ Administrator
- ☐ Carla Simpson
- ☒ Don Fenske
- ☐ Frederic Winkler
- ☐ John Newby
- ☒ Keith Wilson
- ☐ Morgan Evans
- ☐ Samantha Long

If you change to the Simplified model, you will need to keep John and Samantha as approvers for Level 2 and Don, Keith, and the Administrator as Level 3 approvers in order to finish approving all batches that are currently “in Processing”.

When you select the Simplified workflow, the boxes for Level 2 and Level 3 will disappear from the screen – **but**, they will still be used for batches with unfinished approval cycles.

New Simplified Approval Users —add all approvers—	Check Approvers for Levels 2 and 3 for Strict Workflow —DO NOT REMOVE SELECTIONS—
<p>Simplified: Checks must be approved by a number of users</p> <p>Approval Users Required: 3</p> <p>Approval Users</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Administrator</li> <li><input checked="" type="checkbox"/> Carla Simpson</li> <li><input checked="" type="checkbox"/> Don Fenske</li> <li><input checked="" type="checkbox"/> Frederic Winkler</li> <li><input type="checkbox"/> John Newby</li> <li><input checked="" type="checkbox"/> Keith Wilson</li> <li><input checked="" type="checkbox"/> Morgan Evans</li> <li><input checked="" type="checkbox"/> Samantha Long</li> </ul>	<p>These boxes will no longer appear – but will be used for existing batches</p> <p>Check Approval Level 2</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Administrator</li> <li><input type="checkbox"/> Carla Simpson</li> <li><input type="checkbox"/> Don Fenske</li> <li><input type="checkbox"/> Frederic Winkler</li> <li><input checked="" type="checkbox"/> John Newby</li> <li><input type="checkbox"/> Keith Wilson</li> <li><input type="checkbox"/> Morgan Evans</li> <li><input checked="" type="checkbox"/> Samantha Long</li> </ul> <p>Check Approval Level 3</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Administrator</li> <li><input type="checkbox"/> Carla Simpson</li> <li><input checked="" type="checkbox"/> Don Fenske</li> <li><input type="checkbox"/> Frederic Winkler</li> <li><input type="checkbox"/> John Newby</li> <li><input checked="" type="checkbox"/> Keith Wilson</li> <li><input type="checkbox"/> Morgan Evans</li> <li><input type="checkbox"/> Samantha Long</li> </ul>

## Warning message when you change the number of levels or the workflow

You will see the following warning message if you change the number of check approval levels:

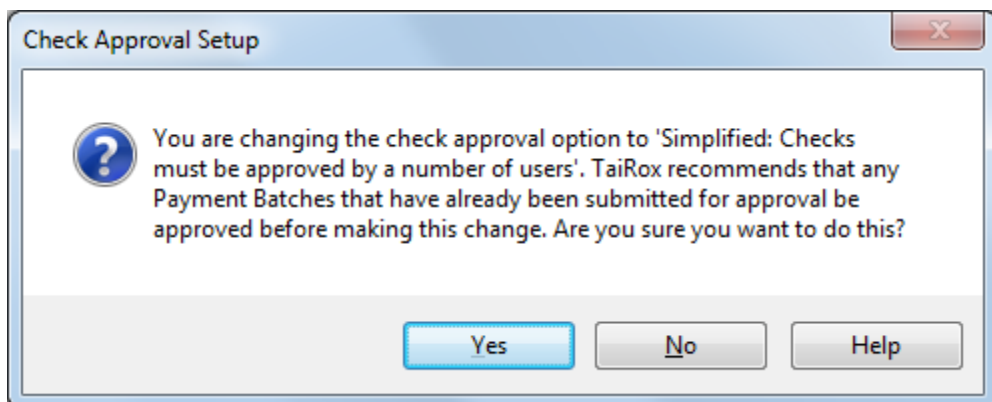
Check Approval Setup

? You are changing the Levels of Check Approval to 2. Any Payment Batches that have been submitted for approval prior to changing the Levels of Check Approval will still need 3 Levels of Check Approval. Are you sure you want to do this?

Yes No Cancel Help

As noted above, the prior Check Approval Level 3 list is still in affect. Make sure that you do not remove all approvers from the list when you change the levels.

The following message will appear if you change the workflow.



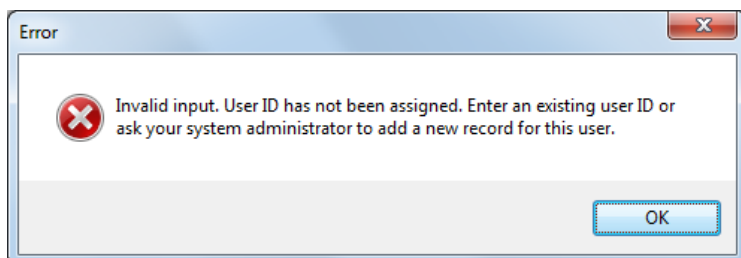
This message recommends that you should approve all batches that are currently in progress before changing workflows.

Make sure that you understand the issues detailed on the previous pages before continuing.

### Check Approval Console sign on error messages – if you added new approvers

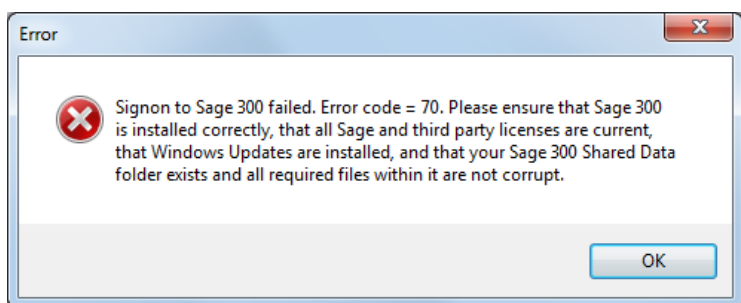
The following error messages may appear when new check approvers sign on for the first time to the Check Approval Console.

**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.