

U.S. Department of the Treasury

Financial Management Service

Paper Check Conversion Over The Counter  
(PCC OTC)



Standard Operating Procedures

Batch Manager

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### Batch Manager

The Batch Manager module allows for processing, editing and management of batches. In the POS, operators are only permitted to close and transmit their own batches. If an operator should be called away before closing and transmitting their batches, an authorized user can access Batch Manager and close the batches. Batch Manager is installed when the POS software is installed on your computer. Authorized users can also edit, and void items. Batch Manager should be used by authorized users to monitor the status of all batches processed on the POS. The batches that are displayed in Batch Manager are PC specific, since the system is not networked. Batch Manager consists of the following functionality and Figure 4.1 displays the associated menu icons:

- Print Selection – Prints a single item or a batch.
- Refresh All – Refreshes the batch listing.
- Activate/Deactivate Batch – Deactivate prevents uploading and acknowledgment/Activating allows a previously deactivated batch to be uploaded and acknowledged.
- Close Batch – Closes a batch.
- Acknowledge Batch – Acknowledges the batch.
- Upload Batch – Transmits the batch to the host.
- Void Item- Allows the selected item to be voided.
- Show Item – Displays selected item, allows for editing and printing receipts.

These functions will be described separately in this chapter.

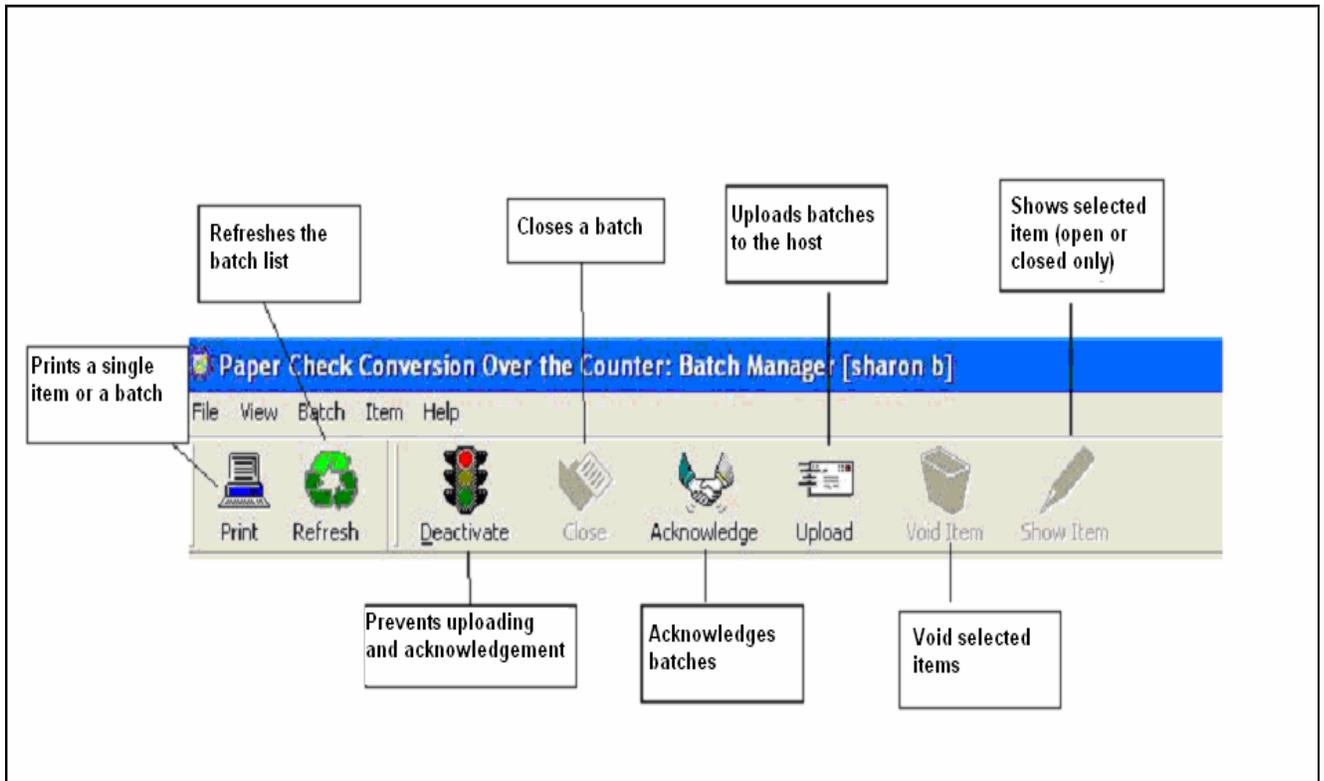


Figure 4.1

### Access to Batch Manager

Users with 'View Batch List' access can view batches within Batch Manager. Users with 'Edit Batch' access can edit items within Batch Manager, and users with 'Change Batch Status' access can deactivate/reactivate, request acknowledgement, or submit a batch for upload within Batch Manager. The level of your access within Batch Manager is determined by your POC.

### Opening the application



The Batch Manager (BM) icon is placed on the desktop after the installation of the software. A login window controls access to the application. Only authorized users are allowed access.

To open the application:

1. Double click the Batch Manager icon on the desktop.
2. The Batch Manager login window appears. (Figure 4.3)

### **Logging into Batch Manager**

Figure 4.3 is an example of the Batch Manager Login window. To login to Batch Manager:



*Figure 4.3*

1. Type your Login name in the Login field. This would be the same Login that is also used for the POS and the SAT modules.
2. In the Password box, type your password. If you have already established a password for either the SAT or the POS, the same password would be used to login to Batch Manager.
3. Click OK. The login window closes and access is provided to the application.

### **First Time Users**

If this is the first time the user is signing on to any of the PCC OTC modules, i.e., POS, SAT or BM, the user will be required to change their password. Your POC will assign each user a login name and an initial, temporary password. After typing the login name in the login field, and the temporary password in the password field, the system will prompt the user to change their password (see *Changing a Password* section below). The password must be at least 8-characters long and include at least 1 letter and 1 number. It should also be unique and difficult for others to guess.

### **Changing a password**

Users are required to change their password upon initial login. Passwords should be changed thereafter every thirty days or as often as your internal procedures require. Passwords should also be changed if the user feels that their password has been compromised.

**Note:** *Changing the password in Batch Manager also changes the password in the SAT and the POS if the user has access to those modules.*

To change a password:

1. In the Login window, enter your login name and password and click the **'Change Password'** button.
2. The Change Password window opens. (Figure 4.4)



**Figure 4.4**

3. In the 'Old Password' field, type your current password.
4. In the 'New Password field', type your new password
5. In the 'Confirm' field, type the new password again.
6. Click 'OK'. The Change Password dialog window closes and access is provided to the application.

### ***Logging out of the application***

There is not a logout option for the Batch Manager. When finished, close the application, as described below.

### ***Closing the application***

The Batch Manager should be closed if it is not being used.

To close the application:

1. Select **'File'**, then click **'Exit'**.
2. The system can also be exited by clicking the **'X'** in the upper right hand corner of the screen, like most Windows programs. The application closes.

## The Batch Manager Main Window

Once the user has signed on to Batch Manager, all batches that have been entered into the POS computer, and their associated statuses are displayed as in Figure 4.5. Each row represents a batch. To see the items within each batch, the view of that batch needs to be expanded by clicking on the plus sign (+) at the beginning of each line. The screen will resemble Figure 4.5.1. Batches that may be eligible to be edited are indicated with a check mark in the 'active' column on the far right. Batches that are in an open or closed state are the only batches that are eligible to be edited. From left to right, the columns are:

The Batch ID

Creator of the batch

Location or ALC+2 of the batch

Date and time the batch was created

The number of items in the batch

The total dollar amount of the batch

The status of the batch

Status data, if any

Active or inactive state of the batch

Uploads – Indicates the number of times the batch has been uploaded

**Note:** Columns can be sorted by clicking on the title above each column. Columns can be sized by hovering your cursor over the line between column headings until a double-sided arrow appears. Click and drag to adjust the size of the column.

The screenshot shows a window titled "Paper Check Conversion Over the Counter: Batch Manager [sharon b]". The window has a menu bar with "File", "View", "Batch", "Item", and "Help". Below the menu bar is a toolbar with icons for "Print", "Refresh", "Deactivate", "Close", "Acknowledge", "Upload", "Void Item", and "Show Item". The main area contains a table with the following data:

	Batch ID	Creator	Location	Created On	Item Count	Total Amount	Status	Status Data	Active	Uploads
+	{5F5BA721-3D48-4804-B5BD-E7E80A}	sharon b	0000789502	5/2/2006 1:03:21 PM	2	\$200.00	Open		<input checked="" type="checkbox"/>	0
▶	{887A3FFC-EC19-453C-98DA-B6C2C}	madeline x	0000789502	5/5/2006 9:31:41 AM	1	\$100.00	Open		<input checked="" type="checkbox"/>	0

Figure 4.5

## Point-Of-Sale Standard Operating Procedures

Batch ID	Creator	Location	Created On	Item Count	Total Amount	Status	Status Data	Active	Uploads
{5F5BA721-3D48-4804-B5BD-E7E80A}	sharon b	0000789502	5/2/2006 1:03:21 PM	2	\$200.00	Open		<input checked="" type="checkbox"/>	0

Item ID	Location	Mode	IRN	Cashier	Captured On	Account No.	Bank No.	Check No.	Amount	Status	SECCode
2	0000789502	Present	15091777023580000404	sharon b	5/2/2006 1:27:05 PM	0404219949	043312373	0707	\$100.00	Approved	Personal
1	0000789502	Present	15091777023580000402	sharon b	5/2/2006 1:04:37 PM	0404219949	043312373	0702	\$100.00	Approved	Personal

Batch ID	Creator	Location	Created On	Item Count	Total Amount	Status	Status Data	Active	Uploads
{887A3FFC-EC19-453C-98DA-B6C2C}	madeline x	0000789502	5/5/2006 9:31:41 AM	1	\$100.00	Open		<input checked="" type="checkbox"/>	0

Item ID	Location	Mode	IRN	Cashier	Captured On	Account No.	Bank No.	Check No.	Amount	Status	SECCode
5	0000789502	Present	15091777023580000419	madeline x	5/5/2006 10:45:16 AM	0466863	043403224	3439	\$100.00	Approved	Personal
4	0000789502	Present	15091777023580000406	madeline x	5/5/2006 9:34:18 AM	030420860	043312373	2148	\$32.39	Void	Personal
3	0000789502	Present	15091777023580000405	madeline x	5/5/2006 9:32:19 AM	030420860	043312373	2148	\$32.39	Void	Personal

Figure 4.5.1

**Note:** Lines can be deleted from view by pressing the delete key on your keyboard. This will ONLY temporarily delete the item from the screen that is currently being viewed. It does not delete the item or the batch. Clicking the 'Refresh' button will bring the line back to the viewing screen. Also, once the application is closed then reopened, the item will once again be available for viewing.

## Batch Status

During batch processing and transmission, batch statuses change depending on the batch state. Batch state determines the functions you can perform on the batch.

**Open**– A batch to which items can be added. Authorized users can edit items, close or deactivate open batches.

**Closed**– A completed batch that has not yet been transmitted. Items cannot be added to a batch in a closed status. Authorized users can edit or void items, or deactivate closed batches.

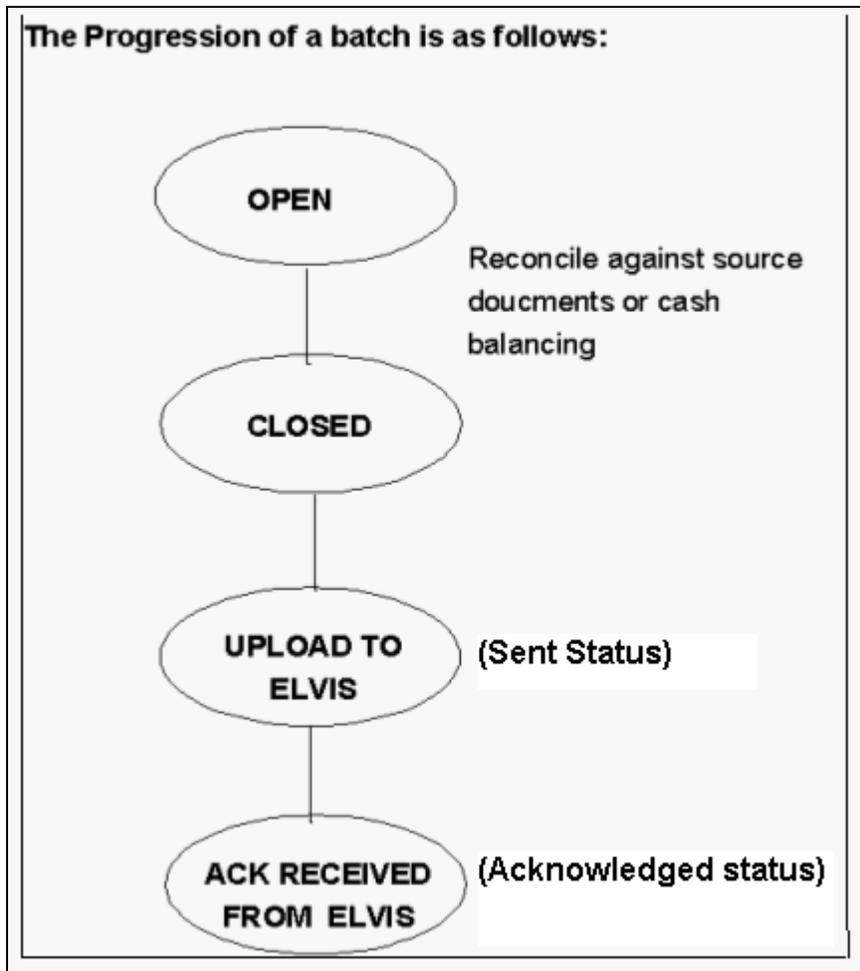
**Sent** – Batches that have been sent to ELVIS but have not yet been acknowledged. If a user tries to resend a batch that is already in a 'sent' status, ELVIS would indicate to POS that the batch has already been sent and a message as such is presented to the user.

**Send Error** – A batch whose upload to ELVIS has failed. Authorized users can try to send the batch again using the 'Upload' button or deactivate the batch if the batch should not be transmitted.

**Acknowledged** – A batch that has been successfully sent to ELVIS. Once ELVIS sends a message to the POS that the batch has been successfully processed, the status of the batch changes to acknowledged. If a user would attempt to request an acknowledgment on a batch that is already acknowledged, ELVIS would respond with an 'Already Acknowledged' message. Acknowledged is the final successful state for a batch.

**Acknowledgement Error** – A batch whose acknowledgement has failed, or for some reason the batch did not process in ELVIS. This can occur if a batch acknowledgement was requested and there was a problem with your internet connection or the connection is down. You may need to contact your technical staff to

check the connection. Once the problem has been corrected, the batch should be acknowledged the next time you start the POS application or close a batch for transmission. If you have not received an acknowledgement for the batch, check the status of the batch in ELVIS.



### Batch Management Functions

#### **Refreshing a batch**

While Batch Manager is open, new items or batches can be processed in the POS module. You can update the Batch Manager view to see all updates.

To refresh the main window view:



From the main Batch Manager window click the **'Refresh'** button, or click **'View', 'Refresh All'**. This will display any new batches that have been keyed into the POS since the user signed on to Batch Manager. Be aware that the 'Refresh' function will close the expanded viewing window.

Note: If new batches were created in the POS between clicking on 'Refresh', those new items would also be displayed.

#### **Changing the Look of the Batch Manager Window**

You can customize the Batch Manager window view by changing the layout of all batch and item tables. You can decide if you wish to view at a batch or an item level, change the color of the table headings, add or delete columns, as well as select the order of the columns.

To change the layout:

1. Click **'View'**, then click **'Layout'**. The customize Layout window is displayed (Figure 4.8).

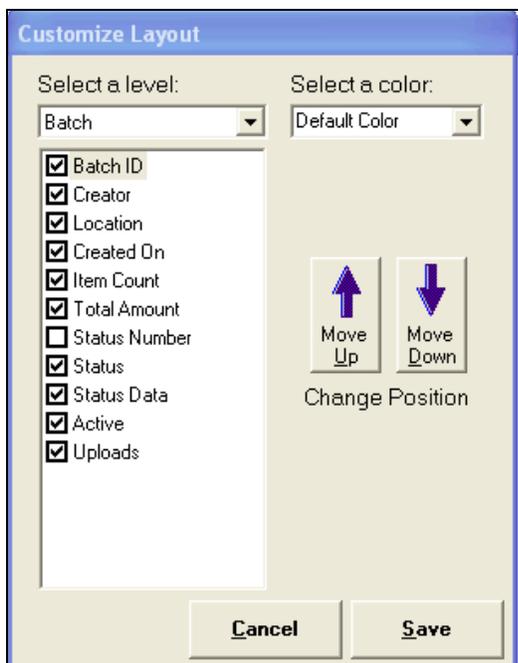


Figure 4.8

2. Select a level by clicking on the down arrow and choosing **'Batch'** or **'Item'**.
3. Select a color in the same manner for the table heading.
4. Clear the check box next to the column you want to delete from the view by clicking on the check mark. To add columns to the view, click to check the box to include the column in the view. To change the order of the column when viewing batches from the main Batch Manager screen, click the name of the column. It should be highlighted. Click the 'Move Up' or 'Move Down'. Change Position arrows on the right side of the screen. Click the 'Save' button. Your changes update the Batch Manager window immediately.

### **Deactivating a Batch**

Deactivating a batch may be necessary if there's a problem with an item within the batch and further research is needed. Deactivating a batch prevents it from being uploaded. A deactivated batch is prevented from being transmitted. A deactivated batch must be activated before it can be transmitted. The deactivated batch will be retained for as long as the configuration settings allow. The default setting is 7 days but your POC can alter the default setting to suit your Agency's needs. You can deactivate batches that are in an open, closed or error state only. You cannot deactivate a batch if that batch is currently in use and open in the POS. You must first close the POS application, by clicking on **'File'**, then **'Close'**, or clicking the **'X'** in the upper right corner of the screen (in the POS), then go back to Batch Manager and deactivate the batch.

To deactivate a batch:

1. Click to select the batch you wish to deactivate.(Figure 4.10)



**Figure 4.10**

2. Click the **'Deactivate'** button.

**Note:** *Batches that are deactivated will be deleted from Batch Manager after 1 week (default setting) on both the primary and secondary storage drives or for the amount of time configured in the SAT configuration (General Tab). Strong caution is urged whenever using the deactivate function.*

### Activating a Batch

Activating a batch will only be used if a batch has been previously deactivated. Activating a batch makes the batch available to be uploaded. See the Batch Status section in this chapter for more information.

To activate a batch:

1. Click to select the batch you wish to activate. (Figure 4.9)



Figure 4.9

2. Click the **'Activate'** button.

### Acknowledging a batch

A batch acknowledgement is a message that is received from ELVIS indicating the batch has been successfully sent and processed. Once the batch acknowledgement is received, the status of the previously sent batch changes to 'Acknowledged'. A request to acknowledge a batch can be manually sent within Batch Manager. The Batch Manager sends a message to ELVIS asking the system to confirm the number of items and the total amount of the items for a specific batch processed.

To acknowledge a batch:

1. Click to select the batch you wish to acknowledge.
2. Click the **'Acknowledge'** button. Batch acknowledgment opens a new window to confirm that the Batch Acknowledgment was completed (Figure 4.11)



Figure 4.11

**Note:** Items that are acknowledged will be deleted from Batch Manager after 1 week on both the primary and secondary storage drives or for the amount of time configured in the SAT configuration.

### Closing a batch

This function would be used to close a batch for an operator who has open batches but is not available to close the batches. Within the POS, only the operator that has created the batch can close the batch. Batch Manager should be used to monitor batches throughout the day to ensure that all batches that have been created are successfully closed and transmitted. Batches within the POS are user-specific so if an operator creates a batch and does not close it, the next operator that signs on to the POS will be unaware of the open batches and will not have access to close them.

**Note:** A batch cannot be closed in Batch Manager if it is still active in the POS. Exit the POS application first.

To close a batch:

1. Click to select the open batch you want to close. (Figure 4.12)

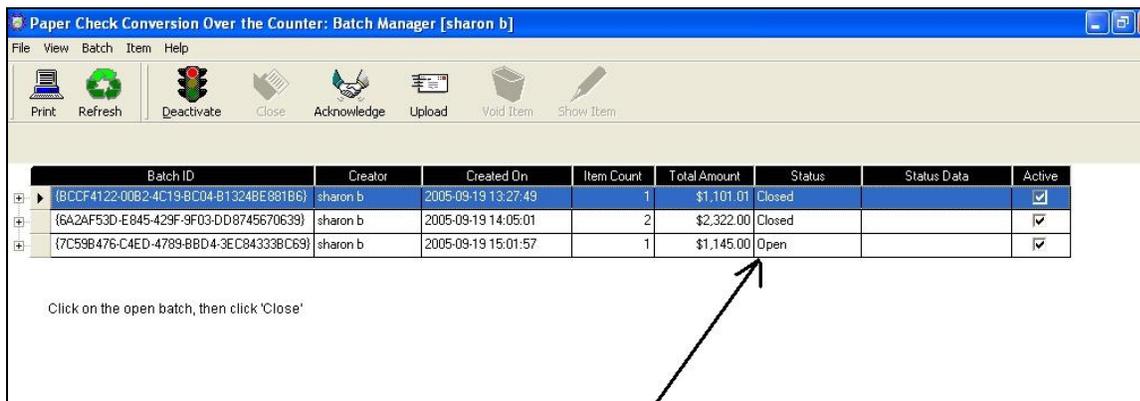


Figure 4.12

2. A Report Preview screen appears. Click the printer icon at the top of the screen. The system will respond with a prompt asking you to confirm that the Batch list was printed. When closing a batch it is important to make certain that the batch list printed. Once confirmed, click the 'Yes' button. Click the 'Close' button. The status of the batch changes to 'Closed' (Figure 4.13).



Figure 4.13

### Printing an item or batch

You can print a list of items in a batch at any time before the batch is uploaded. It is strongly recommended that the batch list is printed prior to uploading.

To print a batch:

1. Click to select the batch or item you wish to print.



2. To print the batch or item, click the **'Print'** button , or select **'Batch'**, then **'Print'** from the menu.
3. A preview window will be displayed allowing you to zoom or scroll through the pages (Figure 4.14). Click the **'Print'** button at the upper left of the window. When printing is complete, the screen returns to the main Batch Manager screen.

# Point-Of-Sale Standard Operating Procedures

**Report Preview**

File View

1 / 2 80%

Business Objects

**Batch List**

Batch : (887A3FFC-EC19-453C-98D A-B6C2C0D0D5BC )

Date : 5/10/2006 12:59:33PM

Printed By: sharon b

ALC: 0000789502

Person: Present

KEY - [S]tatus: [A]pproved, [V]oid; [T]ype: [P]ersonal, [N]onPersonal

S	T	IRN	Date Time	Bank No.	Account No.	Check No.	Amount	Configurable Fields
A	P	150917770235800000419	5/5/2006 10:45:16AM	043403224	0466863	3439	\$100.00	SSN : 222555555
V	P	150917770235800000406	5/5/2006 9:34:18AM	043312373	030420860	2148	\$32.39	SSN : 111990000
V	P	150917770235800000405	5/5/2006 9:32:19AM	043312373	030420860	2148	\$32.39	SSN : 122112222

Sub Total: Count: 1 Amount: \$100.00

ALC Total: Count: 1 Amount: \$100.00

Grand Total: Count: 1 Amount: \$100.00

Figure 4.14

### **Uploading a batch**

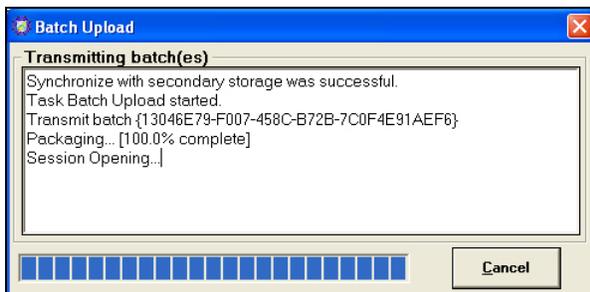
A closed batch can be manually uploaded in Batch Manager and transmitted to ELVIS. This function's purpose is to transmit a closed batch for an operator in the event that the creator of the batch is no longer available to transmit the batch. The authorized user must sign on to Batch Manager, close the batch, and then upload the batch to ELVIS.

To manually upload a batch:

1. Click to highlight the batch that you wish to upload.



2. Click the Upload button. The batch upload transmission begins in a new window as in Figure 4.15.



**Figure 4.15**

3. Click Close when the upload is complete.

### **Show item – Print Receipt**

The show item feature in Batch Manager can be used to view items, edit items or print a receipt of an item.

To print a receipt using the 'Show Item' feature:

You can display transaction data for any item in any batch as long as the data is still retained by the system.

To show an item:

1. Expand the batch containing the item you want to show by clicking on the plus (+) button to the left of the batch. Click to select the item to display.



2. Click the 'Show Item' button at the top of the screen or click 'Item', then 'Show...' from the menu. The following screen will appear: (Figure 4.17)

## Point-Of-Sale Standard Operating Procedures

**Check: Personal**

Amount: 100.00  
SSN: 111 22 3333  
IRN: 15091777023580000402  
Bank No.: 043312373  
Check No.: 0702

IRN: 15091777023580000402  
Status: Approved  
Capture Date: 05/02/2006 01:04:37 PM  
Account Number: 0404219949  
Bank Number: 043312373  
Check Number: 0702  
Check Type: Personal

2 of 2

Apply  
Receipt  
Close

DATE \_\_\_\_\_ 0094347FWD

PAY TO THE ORDER OF \_\_\_\_\_ \$ \*\*\*\*100.00

Check Standardization

**SAMPLE - NOT NEGOTIABLE**

⑆043312373⑆0404219949⑆0702 ⑆0000010000⑆

Figure 4.17

3. Navigate through all items in the current batch by clicking on the **'Next'**/ **'Previous'** buttons at the Right of the screen. You can use the left arrow and right arrow buttons to the left of the **'Close'** button to switch the view from the front to the back of the check.
4. Click the **'Receipt'** button to print a receipt of the selected item. A generic receipt will print. You can elect to setup a customized receipt with the FRB-C. Contact FRB-C to customize a receipt for your Agency.

### **Edit an item**

You can edit the transaction data for an item whose state is open or closed only. Configurable field information as well as dollar amount can be edited.

To edit an item:

1. Expand the view of the batch that contains the item to be edited by clicking the plus (+) button to the left of the batch.
2. Click to select the item to edit.
3. Click the **'Show Item'** button. You can scroll through the items within the batch by clicking on the **'Next/Previous'** buttons.
4. When the correct item has been found, make the necessary changes to the configurable fields and/or dollar amount values. *(Note: The MICR Codeline cannot be modified)*
5. Click the **'Apply'** button to save the changes.
6. Enter comments regarding the reason for editing the item (Figure 4.19) and click **'Ok'**, You can also print a receipt prior to clicking the **'Close'** button by clicking on the **'Print Receipt'** button. When finished, click **'Close'**.



Figure 4.19

7. The screen returns to the Batch Manager Main Window.

**Note:** *If items need to be added to an existing batch that has not yet been closed, the operator will need to sign on to the POS to add the items. Only the person who originally created the batch can add items to that batch. If someone other than the owner of a batch needs to create additional item, that person must sign on to the POS and create a new batch to process additional items.*

### Voiding an item

Within Batch Manager, you can *only* void an item when the batch status is closed. If the batch is still open in the POS and an item needs to be voided, the operator can access the POS and void the item. If, however, the operator is unavailable, no one else will have access to that item in the POS and an authorized user must access Batch Manager to void the item. Since the item is open in the POS, the status within Batch Manager will also be open. As stated in above, only items with a batch status of 'Closed' can be voided **in Batch Manager** so the authorized user must first change the status of the open batch to closed before it can be voided in Batch Manager.

**Note:** *Changing the status in Batch Manager to closed DOES NOT automatically transmit the batch to ELVIS. Within Batch Manager, the batch would have to be uploaded to transmit.*

To void an item in Batch Manager:

1. Make sure that the status of the batch is closed. If not, click the batch (not an item within the batch) and click the 'Close' icon at the top of the screen. Once the batch status is closed, expand the batch containing the item you wish to void by clicking on the plus (+) button to the left of the batch.

2. Click to select the item to void.

3. Click the 'Void Item' button



4. The system responds with the prompt, "Void Item (n). Are you sure?" Click 'Yes' to confirm.

5. Enter comments regarding the reason for the void (Figure 4.20) and click 'OK'.



Figure 4.20

6. A window appears that states, "Void Item (n) successful". Click the 'OK' button. The screen will return to the Batch Manager Main Window and the item that was voided will display a new status of 'Void'.
7. The batch can then be uploaded to the Host by clicking the 'Upload' icon at the top of the screen.

## About Batch Manager

### Help

The 'Help' menu supplies information about the software and scanner version as well as a link to your computer's system information.

1. Login to Batch Manager.
2. Click **'Help'**, and **'About PCC OTC-Batch Manager'**.

The screen will display the version number for the software (circled below in Figure 4.21). This information may be requested by the FRBC or the Treasury for troubleshooting purposes.



Figure 4.21

4. The Help window can also be used to obtain information pertaining to your computer. Click on the **'System Info'** button at the bottom of the window to display information regarding your computer. (Figure 4.22)

## Point-Of-Sale Standard Operating Procedures

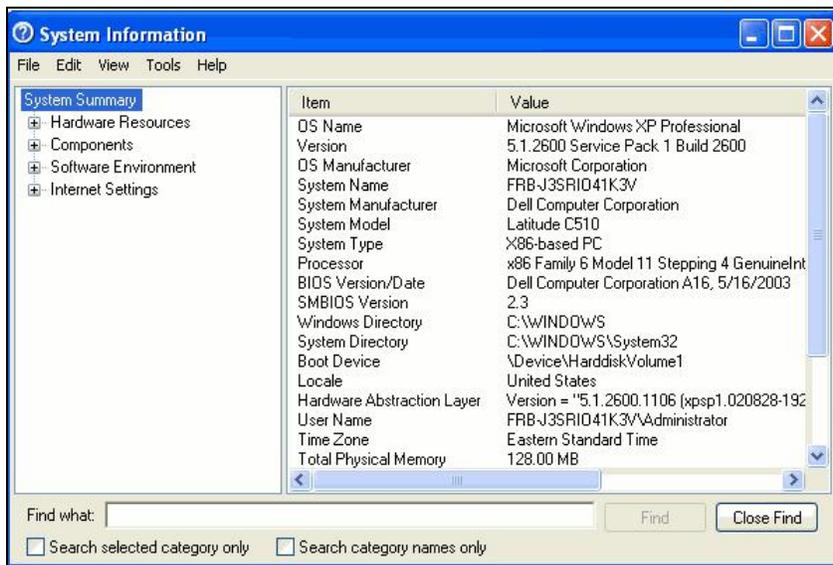


Figure 4.22

### Help – other menu options

By clicking on 'Help' from the menu, you can choose between 'Contents', 'Index', or 'Search'.

- Contents – Displays a menu of POS system messages as displayed below in Figure 4.23. You can click on any of the categories to see the description of various messages for that category. POS messages include an Introduction, along with Activity Log messages, POS dialog box messages and POS progress messages. An example of a POS message screen is displayed in Figure 4.24.

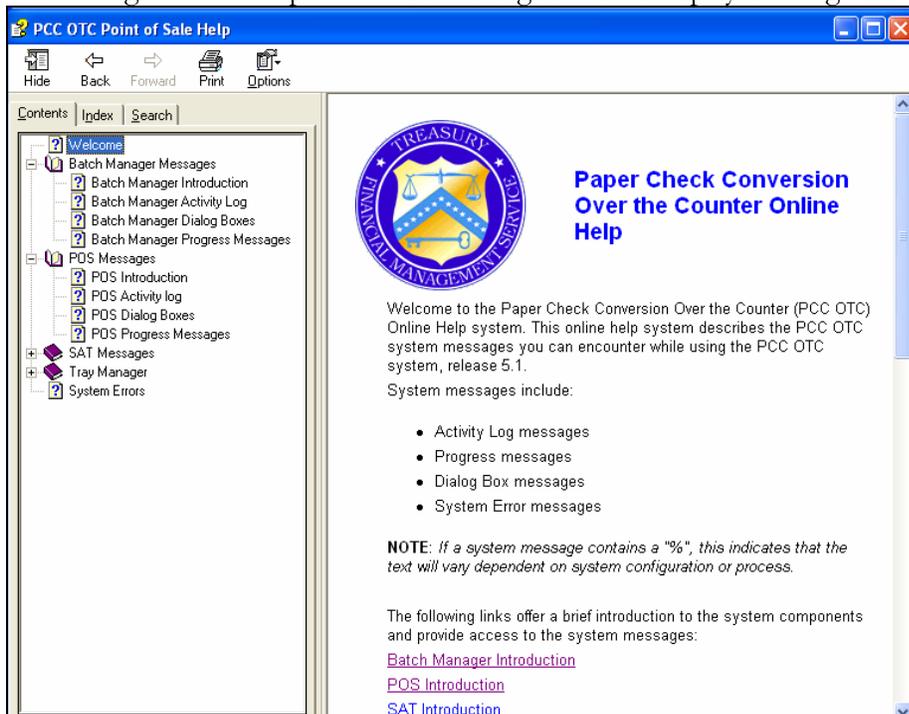


Figure 4.23

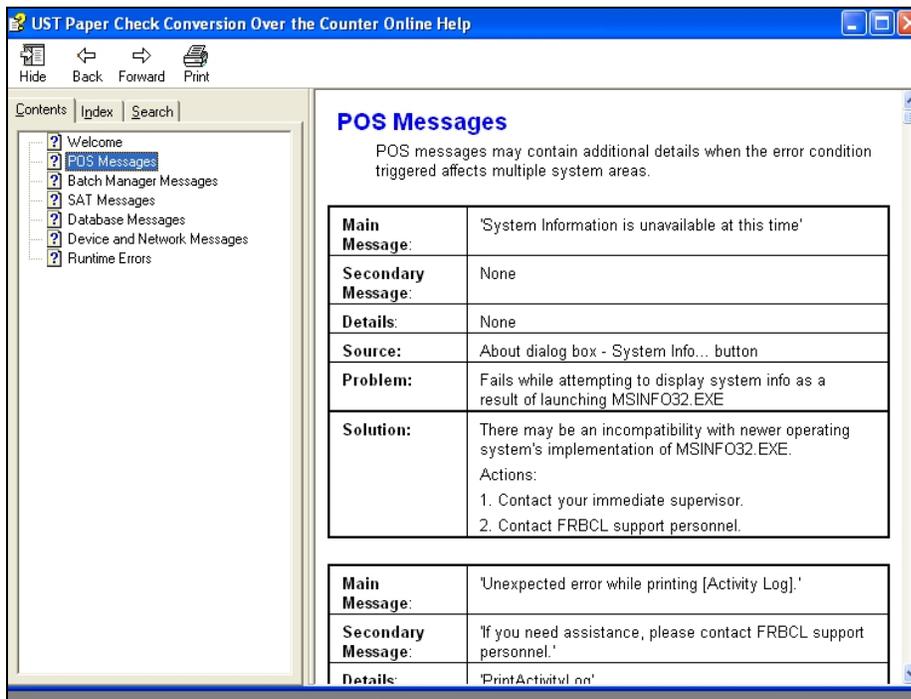


Figure 4.24

- Index – displays the index of items on the left side of the screen. The user can click to highlight an item on the left then click the 'Display' button at the bottom of the window to display the contents of that subject in the window on the right side of the screen. (Figure 4.25)

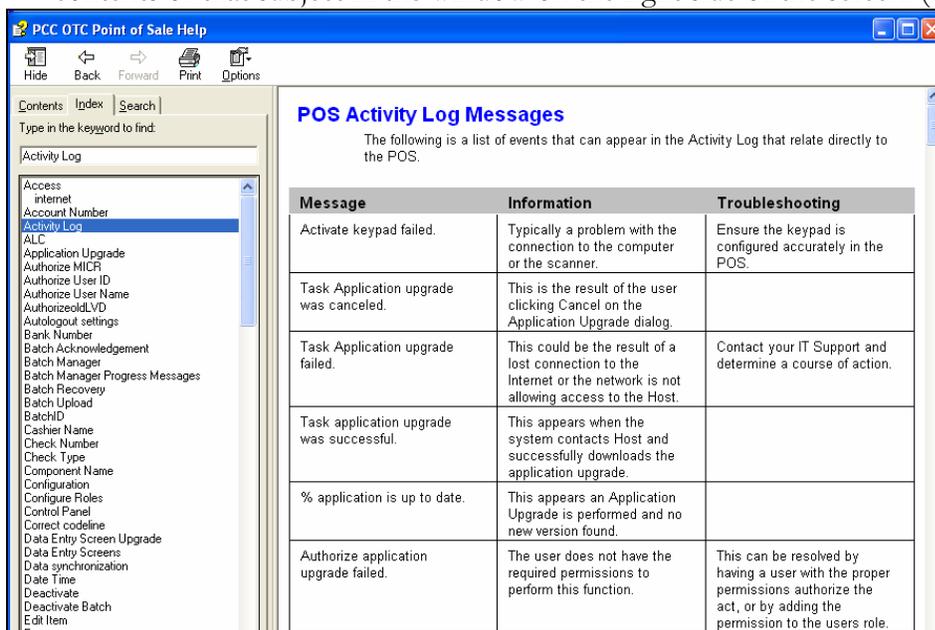


Figure 4.25

## Point-Of-Sale Standard Operating Procedures

- Search – The search function allows the user to type a word or group of words to search for a specific error, as displayed in Figure 4.26.

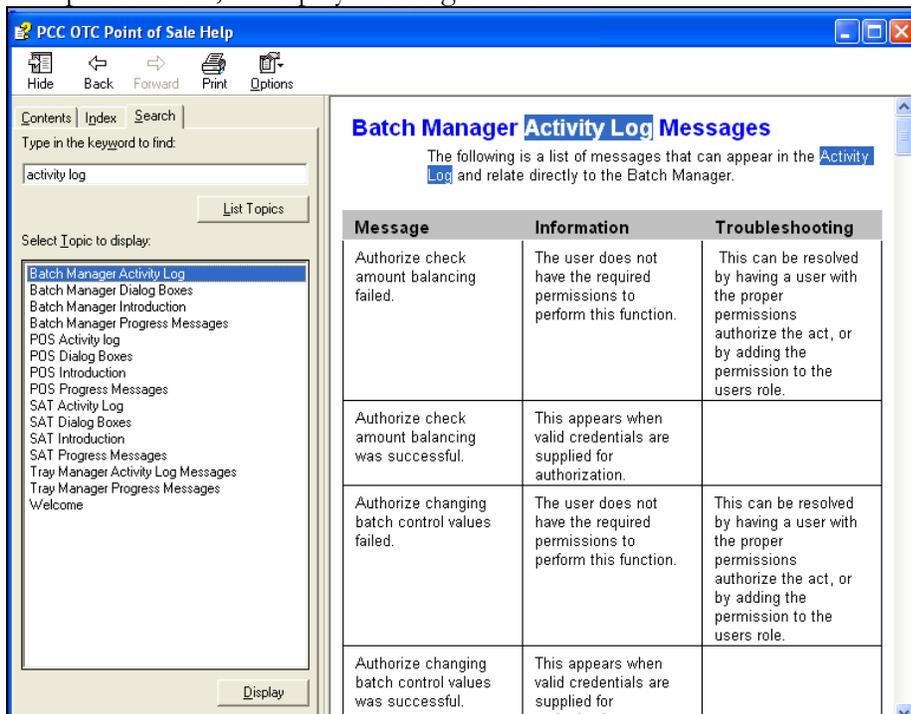


Figure 4.26