

U.S. Department of the Treasury
Financial Management Service

Paper Check Conversion Over The Counter
(PCC OTC)



Standard Operating Procedures
Reporting and Balancing

Release 5.1

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Reporting and Balancing

Note: These procedures cover the PCC OTC operation only. The Agency is required to incorporate the PCC OTC processes into their own existing internal operating procedures. We strongly encourage you to establish procedures that ensure accurate and timely reconciliation of all PCC OTC activity.

Overview

The ELVIS web site provides the ability to view transactions based on several criteria. On a daily basis (Monday through Friday) items received by 9:30 p.m.¹ET will be forwarded on to FedACH² or electronic check collection (Check 21³) for payment collections. All transactions sent to ELVIS since the last business day will be forwarded to the Federal Reserve Bank of Cleveland for further processing. Transactions will be processed at the Federal Reserve's Automated Clearing House system, known as FedACH and check collection. FedACH will send a debit ACH transaction to the check writer's financial institution. The following business day, an SF215 deposit ticket will be created for your agency's ALC. The Federal Reserve will report final deposit activity to CA\$HLINK II at end of business day. These debit and credit vouchers will be available to view in CA\$HLINK II the next business day. CA\$HLINK II will make available to agency personnel a preliminary voucher. A query will enable the agency to view all vouchers processed by the Federal Reserve as of 9:30 a.m. on the current business day. This voucher information is for preliminary purposes only and should not be used or considered a final deposit ticket or debit voucher as adjustments may occur during the day. All PCC OTC activity will be reflected in CA\$HLINK II as activity from ABA No. 042000437 which is the Federal Reserve Bank of Cleveland's Cincinnati office on the second day.

NOTE: Federal Reserve Bank of Cleveland business days are Monday through Friday, except holidays. To view holiday dates, please go to <https://www.pccotc.gov/pccotc/News/HolidayInformation.htm>

Items submitted through the PCC OTC application clear funds from the check writer's account through either ACH or check collection. These transactions are typically processed in an automated manner. All

¹ These times are subject to change based on the volume of transactions being processed. If this time changes, the appropriate agency contact will be notified 30 days prior to the change.

² FedACH or ACH (Automated Clearing House) is a computer-based clearing and settlement operation, often operated by a Federal Reserve Bank, established for the exchange of electronic transactions among participating depository institutions. Such electronic transactions can be substituted for paper checks used to make recurring payments such as payroll or preauthorized insurance premiums. The U.S. Treasury uses the ACH extensively to pay certain obligations of the government.

³ Check 21 is the Check Clearing for the 21st Century Act. It allows the use of a substitute check which can be used in place of the original paper document without an agreement in place with the Financial Institution.

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of our automated processing will follow a specific numbering pattern for Deposit Ticket and/or Debit Vouchers. (See Numbering Options Below). Settled transactions are presented on your Deposit Ticket reports that you retrieve from ELVIS under the reports menu option.

On occasion, in an exception basis, our payments operations staff may have to perform some manual processes in an attempt to clear all items on behalf of your agency. These transactions require our payments operations staff to manually create Deposit Tickets / Debit Vouchers. The forms used are preprinted with their own number, therefore, these manual transactions will not follow the same numerical sequence pattern as our automated transactions. All of the manually created Deposit Tickets / Debit Vouchers are e-mailed to your agency contacts as specified on the Agency Site Profile. All Debit Vouchers and Deposit Tickets appear in CA\$HLINK II together, whether generated automatically or manually.

In order for your agency to reconcile all of your PCC OTC transactions, you will need to combine both sets of Deposit Tickets / Debit Vouchers. Your automated ones retrieved from ELVIS reports need to be added to the manually created Deposit Tickets / Debit Vouchers that are e-mailed to your agency. The combined total will balance with the total transactions transmitted into the PCC OTC application as well as the returns received on these transactions.

We are striving to make improvements for your agency with focus on reconciliation. In the future items previously handled in a manual manner will become more automated, allowing those debit vouchers and deposit tickets to follow the automated number sequence. This should aid your agency with determining if you have all of your Deposit Tickets / Debit Vouchers. We will keep you advised of any changes to our methods of settlement.

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Numbering Options

There are a number of various ways that we are able to create settlement for your Agency's PCC OTC activity. Your agency can specify how you want to have your Deposit Tickets / Debit Vouchers numbered. Please contact PCC OTC Customer Support if you want to change the way settlement is created for you today. All of the options below are available today.

| Option | Consolidated Or Split | Entries created at ALC level or at the ALC+2 level | Deposit Tickets** | Debit Vouchers** |
|---------------|---|---|---|---|
| Option A | Consolidated (one Deposit Ticket/Debit Voucher for all locations) | ALC | One common range of numbers shared across the ALC used by both Deposit Tickets and Debit Vouchers | |
| Option B | Consolidated (one Deposit Ticket/Debit Voucher for all locations) | ALC | One range of numbers used for only Deposit Tickets | One range of numbers used for only Debit Vouchers |
| Option C | Split (separate tickets created for each individual ALC+2) | ALC+2 (Each ALC+2 has its own separate Deposit Ticket number or Debit Voucher.) | One common range of numbers shared across the ALC, used by both Deposit Tickets and Debit Vouchers. | |
| Option D | Split (separate tickets created for each individual ALC+2) | ALC+2 (Each ALC+2 has its own separate Deposit Ticket number or Debit Voucher.) | One range of numbers used across the ALC for only Deposit Tickets. | One range of numbers used for only Debit Vouchers |
| Option E * | Split (separate tickets created for each individual ALC+2) | ALC+2 (Each ALC+2 has its own separate Deposit Ticket number or Debit Voucher.) | Each ALC+2 has its own separate and different range of numbers for Deposit Tickets. | Each ALC+2 has its own separate and different range of numbers for Debit Vouchers |

* No two ALC+2 locations will use the same Deposit Ticket / Debit Voucher number on the same business day.

** An ALC/ALC+2 can specify if they need entries created within a specific range of numbers

Daily Reports

Two reports are available in PCC OTC each business day. They can be requested from the ELVIS website. For instructions on how to request these reports, please refer to the *ELVIS Interface* chapter of this SOP. These reports include:

- The SF215 Deposit Ticket Report lists all items being deposited into CA\$HLINK II on that day. The SF215 report will contain the deposit ticket number as well as details such as the number of transactions, dollar amount, transaction date, cashier ID, and location that add up to a single deposit for an ALC/DSSN.
- The SF5515 report will contain the debit voucher number for each item that is retired by the Federal Reserve Bank. The report provides detailed information on the Unique Transaction ID (or IRN number) for easy research on ELVIS.

A sample of each of these reports is available in the *ELVIS Interface* chapter of this SOP.

Supporting Detail for your Deposit Ticket Report

When you request a Deposit Ticket Report, how do you know what items compose the totals that are listed on the ticket? Here are the steps to assist you:

1. Record the Deposit Ticket number, as displayed in Figure 7.1.

215 Deposit Ticket Report

PLEASE CHECK THE [HTTPS://WWW.PCCOTC.GOV](https://www.pccotc.gov) WEBSITE FOR CURRENT INFORMATION ON THE PCC OTC PROGRAM

215 Deposit Ticket Report
From Date: 05/17/2006 To Date: 05/17/2006

215 - Deposit Ticket
ALC 0000999999 **Deposit Ticket No:** 000136 **Fiscal Agent:** FRB Cleveland **Settlement Date:** 05/17/2006

215 - Detail
ALC 0000999901 **Location Name:** Collections

| Cashier ID | Transaction Date | Summary Count | Summary Amount |
|------------------------------|------------------|---------------|-----------------|
| Mich | 05/16/2006 | 87 | \$49,289,459.15 |
| Total ALC: 0000999901 | | 87 | \$49,289,459.15 |

215 - Deposit Ticket
ALC 0000999902 **Deposit Ticket No:** 000146 **Fiscal Agent:** FRB Cleveland **Settlement Date:** 05/17/2006

215 - Detail
ALC 0000999902 **Location Name:** Collections

| Cashier ID | Transaction Date | Summary Count | Summary Amount |
|------------------------------|------------------|---------------|----------------|
| Jeff | 05/16/2006 | 51 | \$352,708.43 |
| Total ALC: 0000999999 | | 51 | \$352,708.43 |

Figure 7.1

2. Request a CIRA Query. Key in the 10-digit ALC+2 and the Deposit Ticket number (including leading zeroes) that was recorded in step 1. Click on the 'View Items' button at the bottom of the screen. (Figure 7.2) (For more information on requesting CIRA Queries, please see the *ELVIS Website* chapter of this SOP.)

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Figure 7.2

- The system will display the information for all of the items that are included within that ticket number (Figure 7.3.) Scroll down to see all records. To see detailed information on a particular item, click to select the radio button at the beginning of each line (Figure 7.4). You can print each screen by clicking the 'Print Screen' key on your keyboard.

| IRN | ALC | Capture Date | RTN | Account Number | Check Amount | Cashier ID | Check Type | Processing Mode |
|----------------|-------|---------------------|-----------|----------------|-----------------|------------|--------------|-----------------|
| 1510037702088C | 7 000 | 01 05/16/2006 09:01 | 000000518 | E 186 | \$14,292,255.28 | Mich. | Non-Personal | Not Present |
| 1510037702088C | 3 000 | 01 05/16/2006 09:02 | 000000518 | C 736 | \$30,000,000.00 | Mich. | Non-Personal | Not Present |
| 1510037702088C | 3 000 | 01 05/16/2006 09:03 | 000000518 | C 366 | \$21,354.00 | Mich. | Non-Personal | Not Present |
| 1510037702088C | 0 000 | 01 05/16/2006 09:04 | 000000518 | C 366 | \$1,000,000.00 | Mich. | Non-Personal | Not Present |
| 1510037702088C | . 000 | 01 05/16/2006 09:04 | 000000518 | C 366 | \$87.23 | Mich. | Non-Personal | Not Present |
| 1510037702088C | : 000 | 01 05/16/2006 09:05 | 000000518 | E 356 | \$2.41 | Mich. | Non-Personal | Not Present |
| 1510037702088C | : 000 | 01 05/16/2006 09:05 | 041207040 | E 351 67 | \$1,235.32 | Mich. | Non-Personal | Not Present |
| 1510037702088C | . 000 | 01 05/16/2006 09:06 | 071923284 | E -01 0 | \$1,170.55 | Mich. | Non-Personal | Not Present |
| 1510037702088C | : 000 | 01 05/16/2006 09:06 | 071923284 | E -01 0 | \$4,384.72 | Mich. | Non-Personal | Not Present |
| 1510037702088C | . 000 | 01 05/16/2006 09:06 | 031100209 | E 584 | \$1,802.32 | Mich. | Non-Personal | Not Present |

Figure 7.3

Supporting Detail for your Debit Voucher Report

When you request a Debit Voucher Report, how do you find more detail for each item listed on the report? Here are the steps to assist you:

1. Record the Debit Voucher number, as displayed in Figure 7.5.

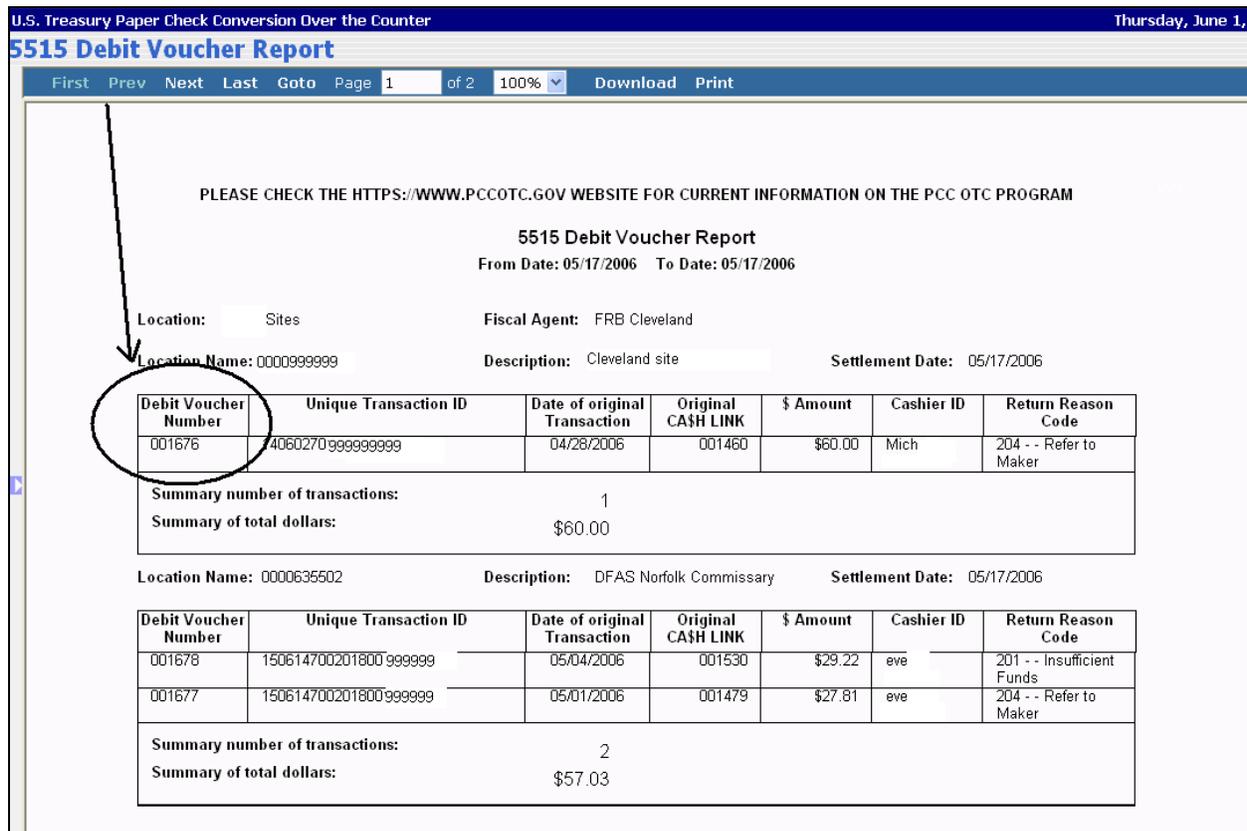


Figure 7.5

2. Request a CIRA Query. Key in the 10-digit ALC+2 and the Debit Voucher number (including leading zeroes) that was recorded in step 1. Click on the 'View Items' button at the bottom of the screen (Figure 7.6). (For more information on requesting CIRA Queries, please see the *ELVIS Website* chapter of this SOP.)

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CIRA Query - Criteria

- Home
- Location
- Verification
- CIRA Query
- Reports
- Centralized Deployment
- Form Management
- Administration
- Scheduler
- About PCC DTC
- Logout

Location: 0000999999
Form Name: -- Select Form --
Update Config Fields

Include Subordinate Locations: Yes No
Deploy Date: -- Select Version --

Generic Fields

GENERIC_FIELD1:

GENERIC_FIELD3:

GENERIC_FIELD2:

GENERIC_FIELD4:

Account: RT: Status: ALL

IRN: Cashier ID: Check Amount: Equal To

Check Number: Batch ID:

5515/Debit Voucher Number: 001676 215/Deposit Ticket Number:

Received Date: On or After 06/01/2006

Check Capture Date: On or After 06/01/2006

Settlement Date: On or After 06/01/2006

Return Settlement Date: On or After 06/01/2006

Figure 7.6

- The system will display the information for all of the items that are included within that Debit Voucher number (Figure 7.7). Scroll down to see all records. To see detailed information on a particular item, click to select the radio button at the beginning of each line (Figure 7.8). You can print each screen by clicking the 'Print Screen' key on your keyboard.

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CIRA Query - Result

- Home
- Location
- Verification
- CIRA Query
- Reports
- Centralized Deployment
- Form Management
- Administration
- Scheduler
- About PCC DTC
- Logout

| IRN ↑ | ALC | Capture Date | RTN | Account Number | Check Amount | Cashier ID | Check Type | Processor |
|---|------------|------------------|-----------|----------------|--------------|------------|------------|------------|
| <input type="radio"/> 1406027011431000943/4 | 0000000001 | 04/27/2006 17:33 | 103112675 | 1000000002 | \$60.00 | Mich | Personal | Not Preser |

The Query Result contains 1 items. Total Amount: **\$60.00**.

Java Runtime Environment (JRE) is required to view CIRA item images.

Figure 7.7

The screenshot displays a web application interface for 'U.S. Treasury Paper Check Conversion Over the Counter'. It is divided into two main sections: 'CIRA Query - Result' and 'CIRA Detail'.

CIRA Query - Result: This section shows a list of query results with columns for 'IRN' and 'ALC'. The results are as follows:

| IRN | ALC |
|-----------------------|-----|
| 130805700200500000579 | 9 |
| 130805700200500000603 | 9 |
| 130805700200500000605 | 9 |
| 130805700200500000607 | 9 |
| 140218700209300000292 | 9 |
| 140218700209300000294 | 9 |
| 140218700209300000300 | 9 |
| 140218700209300000427 | 9 |
| 140218700209300000529 | 9 |
| 140218700209300000616 | 9 |

Below the list, it states 'The Query Result contains 66 items. T' and 'Java Runtime Environment (JRE) is rec'.

CIRA Detail: This section provides a detailed view of a specific check conversion. The fields and their values are:

| | |
|------------------------|--------------------------------------|
| IRN | 130805700200500000579 |
| ALC or DSSN Code | C |
| Capture Date | 04/17/2006 |
| Bank Routing Number | 043403224 |
| Bank Account Number | 7 96 |
| Cashier ID | Jolly Kosla |
| Check Type | Personal |
| Check Number | 0609 |
| Check Amount | \$0.01 |
| Processing Mode | Not Present |
| Received Date | 04/17/2006 15:55 |
| Status | Received |
| Deposit Ticket Number | |
| Debit Voucher Number | |
| Settlement Date | |
| Return Settlement Date | |
| Batch ID | FFF02542-763F-4E5C-947B-F6943E0249D4 |

At the bottom of the CIRA Detail section, there is a 'Show Config Fields' button. At the very bottom of the application, there are three buttons: 'Edit Item', 'Show Image', and 'Show History'.

Figure 7.8

Problems Balancing to CA\$HLINK II

If the information contained within your daily SF215 does not match what was transmitted to ELVIS:

- Determine the time that the information was sent to ELVIS. If batches were transmitted prior to 9:30 p.m. EST, the batch of transactions will be contained on the SF215 report on the next day.
- If all transactions were sent prior to 9:30 p.m. EST but are not on the SF215 report, please contact the FRB-C Customer Service staff at 800-624-1373 or 216-579-2112 or at pccotc@clev.frb.org.
- Agencies should be able to see their transactions in CA\$HLINK II on day 2 after 10:00am E.T. (provided there were no operational problems that would prevent deadlines from being met).

Note: If unable to match to information provided on the SF215, please contact the FRB-C Customer service. Please be prepared to have the transmission date, ALC numbers of the locations having problems balancing, batch number, batch list, and total dollar amount and item count.

Also:

If your site has large dollar transactions, please ensure that you see the items in ELVIS on the same day of the batch transmission. Items are typically available for viewing in ELVIS twenty minutes after transmission. This ensures that the batch transmitted successfully. It will also provide you with a level of confidence that you will obtain your CA\$HLINK II deposit the next business day.