

U.S. Department of the Treasury
Financial Management Service
Paper Check Conversion Over the
Counter (PCC OTC)



Standard Operating Procedures

Release 5.1

June, 2006

U.S. Department of the Treasury

Financial Management Service

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(PCC OTC)



Standard Operating Procedures
Introduction

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(Revised 2/9/07)

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Table of Contents

Manual Contents	4
Manual Conventions	4
PCC OTC Software Conventions	4
Introduction	5
What is Paper Check Conversion Over the Counter (PCC OTC)?	5
What are the PCC OTC Components?.....	6
Master Verification Database (MVD)/Local Verification Database (LVD)	9
What is ACH?.....	9
What is Check 21?	10
Learn More about PCC OTC	11
What's New for PCC OTC Release 5.1?	12
Settlement and Reporting.....	13
Location Group Management	13
CASHLINK II.....	13
Customer Support Hours	14
PCC OTC System Availability	14

Manual Contents

Section Title	Responsible Party
Chapter 1 - Introduction	All Users
Chapter 2 - Installation and Configuration	System Administrator, POC
Chapter 3 - System Administration Tool (SAT)	System Administrator, POC
Chapter 4 - Batch Manager (BM)	POC
Chapter 5 - ELVIS	All Users
Chapter 6 - Daily Processing Step-By-Step User Guide	POC, Operator
Chapter 7 - Reporting and Balancing with CASH-LINK	POC, Operator
Chapter 8 - Troubleshooting	POC, Operator
Chapter 9 - Appendix	POC, Operator
Chapter 10 & 11 – RDM Scanner User Guides	POC, Operator

Manual Conventions

The following typographical conventions are used in this manual:

1., 2., 3.	A numbered list indicates steps in a set of instructions.
Bold font within a procedure	Indicates an instruction to follow such as, Click the 'Edit' button.
<i>Italics</i>	Italics are used for notes and references to other chapters in the SOP.

Please 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.

PCC OTC Software Conventions

Navigation in the POS, the SAT and Batch Manager can be achieved with or without a mouse. If using a mouse, buttons and fields can be clicked to activate. If using only the keyboard, the 'Tab' key can move the user from field to field, and any field or menu option with an underlined letter within the command line can be performed by clicking the 'Alt' key plus the underlined letter.

Introduction

What is Paper Check Conversion Over the Counter (PCC OTC)?

Paper Check Conversion Over the Counter (PCC OTC) is the process of converting paper checks presented to agencies into electronic ACH (Automated Clearing House) debits or to image documents that are cleared through the Check 21 network. The process works as a Point of Sale (POS) when the consumer presents a physical check to the operator for payment, or as an Accounts Receivable when the check is received through the mail as payment. The operator takes the completed check and inserts it into the Point of Sale scanner that reads the MICR (Magnetic Ink Character Recognition) line on the bottom of the check and captures the image of the check into the POS computer. The check image is forwarded and stored for 7 years in a central database called the Central Image Research Archive (CIRA), which is part of the ELVIS system. ELVIS stands for **E**lectronic **V**erification and **I**mage **S**ervice. When processing in a 'Person Present' mode, the operator returns the cancelled check to the consumer on the spot with the transaction information. The financial information captured from the MICR line is transmitted to the Federal Reserve Bank of Cleveland (FRB-C). FRB-C processes the transaction either through the ACH network or the Check 21 network, depending on the initial agency set up. FRB-C makes the CA\$HLINK II entries, and provides the deposit ticket and debit voucher for the agency retrieval through ELVIS.

PCC OTC resides within the Treasury Web Applications Infrastructure (TWAI). TWAI is a highly secure environment provided by the Federal Reserve Information Technology (FRIT) to support several enterprise-wide Treasury applications. The TWAI is compliant with the Federal Information Processing Standard (FIPS) 140-2. All communications between PCC OTC and agencies is conducted using version 3-only Secure Socket Layer (SSL) encryption. PCC OTC has two locations within the TWAI, a production environment and a fully redundant, replicated secondary site for contingency purposes. A test environment is available for agencies to test with PCC OTC. All connectivity to and from the TWAI is supported by TWAI System Administrators. PCC OTC is supported by technicians at the Federal Reserve Bank of Cleveland and System Administrators at TWAI.

To participate in the PCC OTC program, Agencies must submit an Agency Participation Agreement (APA), an Agency Site Profile (ASP) and purchase a scanner. More information about the documents and equipment can be obtained by contacting your representative at FMS.

What are the PCC OTC Components?

There are two major components in PCC OTC that are used to process a check from presentment to collection. POS is the software used on the Agency's computer to process check transactions and ELVIS is used for researching check images. The entire family of products consisting of the POS and ELVIS is known as PCC OTC.

The first component is the POS — **P**oint **O**f **S**ale. The POS is a software package that is installed on the Agency's computer. The POS contains its own components in the form of separate modules. 1) The SAT stands for System Administration Tool. This component is used by the Agency's Point of Contact (POC) to grant access to individual users. Other security type functions are also performed within the SAT. 2) The POS is the PC-based software used to capture images of the check along with transaction data. The transactions are collected in a batch and transmitted to ELVIS via a secured transmission over the internet. 3) Batch Manager is a component to monitor and manage batches. 4) Tray Manager is a component that runs in the background and controls all functionality within the POS/SAT/Batch Manager.

The second component is ELVIS — **E**lectronic **V**erification and **I**mage **S**ervices. ELVIS is the Host application where all check images are stored in the subsystem called the Central Image Research Archive (CIRA) for 7 years or longer. ELVIS also houses the Master Verification Database (MVD) which is a listing of returned PCC OTC transactions. ELVIS is also used for retrieving deposit/debit voucher reports, viewing/editing the MVD, and generating various reports necessary for balancing. In addition, ELVIS creates files that are needed to complete the item collection process.

Figure 1.1 illustrates how the components within PCC OTC are related. Figure 1.2 is an example of the Point of Sale Data Entry Screen, and Figure 1.3 is an example of the ELVIS (**E**lectronic **V**erification and **I**mage **S**ervice) Logon screen.

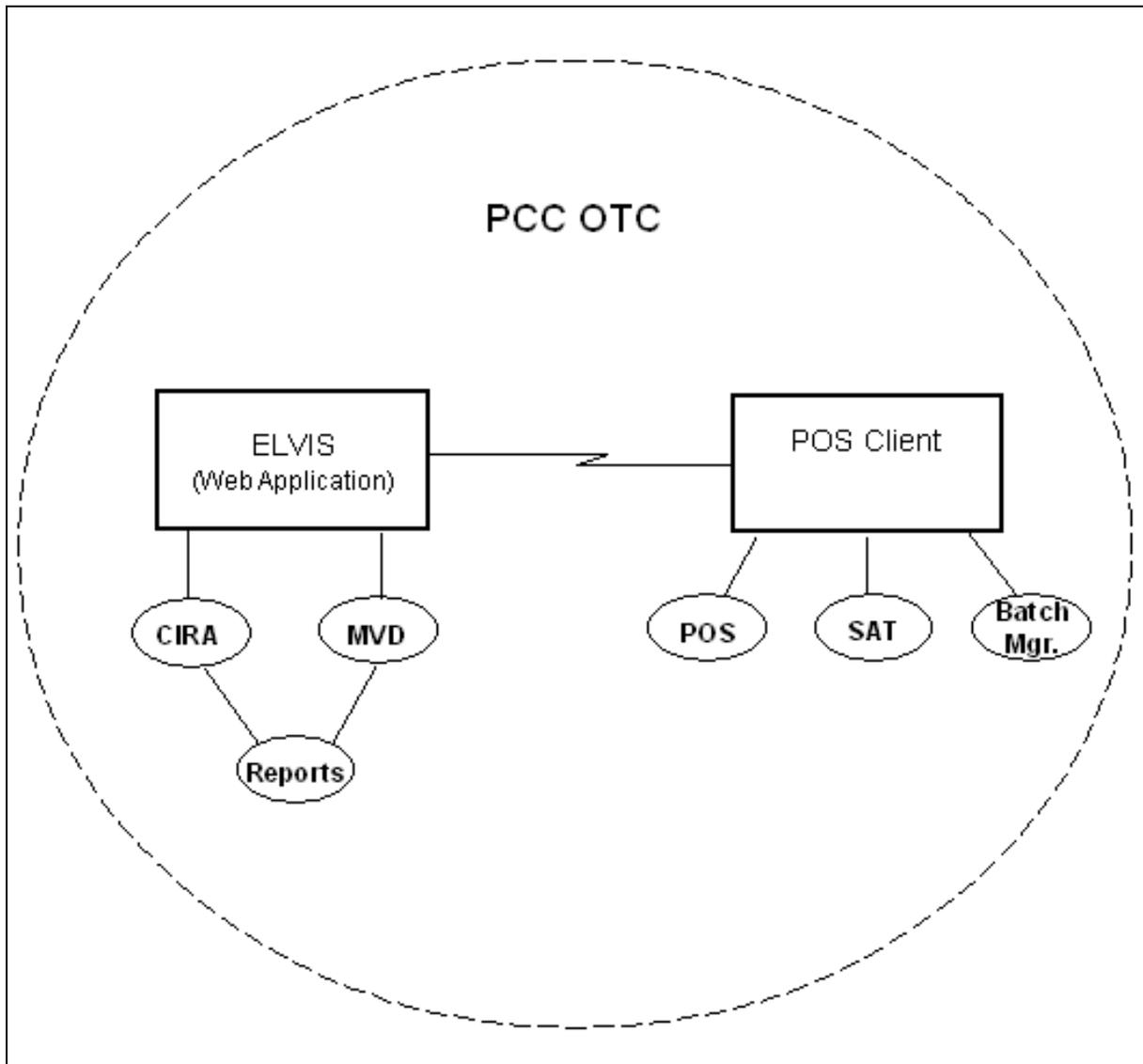


Figure 1.1

Point-Of-Sale Standard Operating Procedures

User: sharon b
Person: Present
Check: Personal
Amount: 377.70
SSN: 999-99-9999

DATE 3-14-06
PAY TO THE ORDER OF [signature] \$ ****377.79
Check Standardization
SAMPLE - NOT NEGOTIABLE

Waiting for back of check | Scan back of check | 4 3/14/2006

Figure 1.2

U.S. Treasury
Paper Check Conversion Over the Counter
Welcome! Please enter your user name and password:
User Name: Password: [OK] [Reset]
[Change your Password](#)
[To learn more about PCC-OTC](#)
WARNING: Information Protection
You are using an Official United States Government System, which may be used only for authorized purposes. Unauthorized modification of any information stored on this system may result in criminal prosecution. The Government may monitor and audit the usage of this system, and all persons are hereby notified that the use of this system constitutes consent to such monitoring and auditing. Unauthorized attempts to upload information and/or change information on these web sites are strictly prohibited and are subject to prosecution under the Computer Fraud and Abuse Act of 1986 and Title 18 U.S.C. Sec. 1001 and 1030.
[Rules of Behavior](#) - [Privacy Statement](#) - [Accessibility Statement](#)

Figure 1.3

Master Verification Database (MVD)/Local Verification Database (LVD)

The Master Verification Database (MVD) provides the POS system information to ensure a presented check is acceptable. It aids the Agency in determining the history of a particular check writer. The verification database is an optional online database that maintains the agency hierarchy check cashing policy, dishonored check information, and manually entered blocked items based on an agency's policy. The Master Verification Database (MVD) provides downloads of prior negative PCC OTC check information and blocked items to the POS via the Local Verification Database (LVD) on a daily basis. The LVD is a verification database that resides on each POS terminal. The information in the LVD prevents checks from being cashed on accounts, or other agencies specified criteria, that are in violation of the agency's policy. Verification information is available online. The MVD can be manually updated by the Federal Reserve Bank of Cleveland (FRBC) and selected agency personnel as determined by each agency. If the agency utilizes the MVD and LVD, refer to the Master Verification Database section for more information.

What is ACH?

The ACH Network is a nationwide batch-oriented electronic funds transfer system governed by the NACHA (National Automated Clearing House Association) OPERATING RULES which provide for the interbank clearing of electronic payments for participating depository financial institutions. The Federal Reserve and Electronic Payments Network act as ACH Operators, central clearing facilities through which financial institutions transmit or receive ACH entries.

ACH payments include:

- Direct Deposit of payroll, Social Security and other government benefits, and tax refunds;
- Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums;
- Business-to-business payments;
- E-checks;
- E-commerce payments;
- Federal, state and local tax payments.

What is Check 21?

Check 21, also known as ‘Check Clearing for the 21st Century’ Act, was signed into law on October 28, 2003. Provisions of the law took effect on October 28, 2004. It is important to understand the effects of Check 21 on PCC OTC. Check 21 provides the legal framework for the creation of substitute checks, which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. To meet legal requirements it must:

- Contain an image of the front and back of the original check.
- Bear a legend that states, “This is a legal copy of your check. You can use it the same way you would use the original check.”
- Display a MICR line containing all information appearing on the MICR line of the original check.
- Conform in paper stock, dimension, and otherwise, with generally applicable industry standards for substitute checks.
- Be suitable for automated processing in the same manner as the original check.
- Check 21 provides one seamless deposit and reporting stream. Check 21 has brought the following changes:
 - Possible elimination of TGA accounts and expenses.
 - Consolidated image archive, reporting, verification, settlement, customer service and representation for every agency point-of-presence worldwide.
 - Better accounting, security, privacy and management controls.

Overall, this legislation has modernized the nation’s check payments system. Check 21 is designed to foster innovation in the payments system and to enhance its efficiency by reducing some of the legal impediments to check truncation. ALL payment instruments are eligible for processing under PCC OTC, including Business Checks, Money orders, Treasury checks, Credit card checks, Traveler’s checks, Cashier’s checks, Official checks, Third-party checks, Payroll checks and checks drawn on state or local government.

Check 21 requires financial institutions to accept a substitute check from a presenting institute and grant it equivalent status as the original check, if the substitute check meets prescribed requirements. It also requires a reconverting bank to meet the warranties and indemnities enacted through the legislation and subsequent regulations. Check 21 requires financial institutions to provide education to individual consumers on substitute checks and consumer recredit rights. For more information on Check 21, visit:

<http://www.frbservices.org/Retail/Check21.html>

Note: All non-personal items are processed via Check 21.

Learn More about PCC OTC

There is a link at the bottom of the ELVIS Login Screen to learn more about PCC OTC (Figure 1.4). This link will take you to the PCC OTC information website that you see below in Figure 1.5. A password is not needed to access the informational site.

The PCC OTC website is an informational site that can be used to find answers to your questions about using PCC OTC. It is updated often with new information on upcoming changes, FAQ's, News, etc. It can also be used to download the latest bulletins and newsletters. You can access the site outside of ELVIS at <https://www.pccotc.org/pccotc/index.htm>.

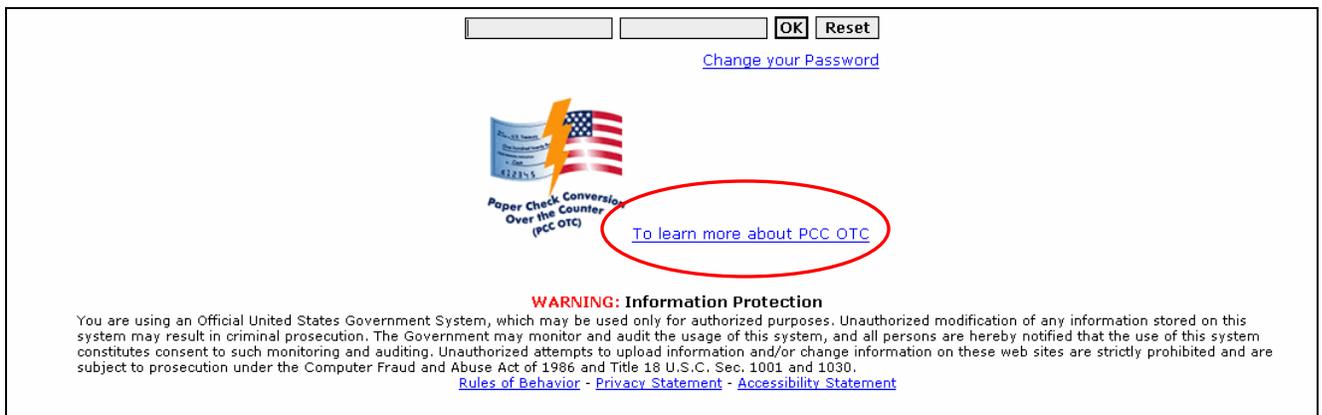


Figure 1.4

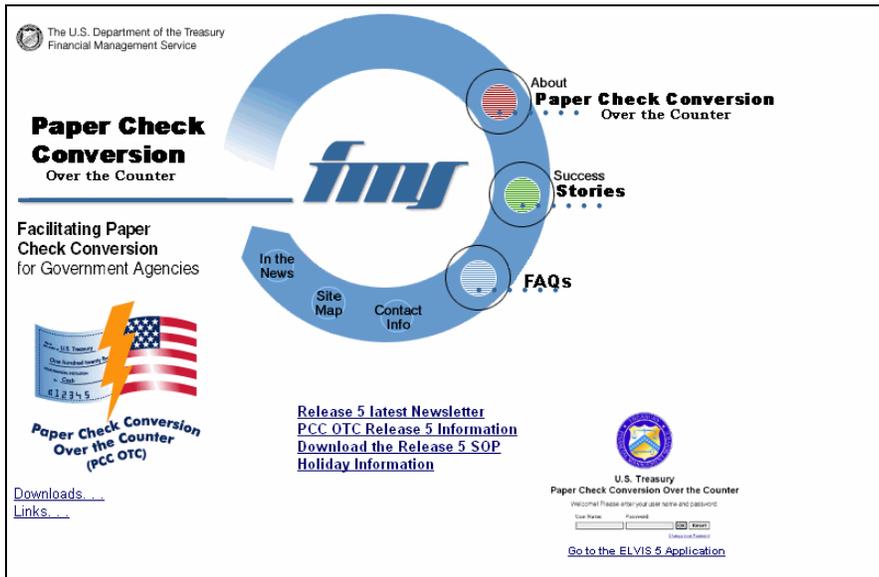


Figure 1.5

What's New for PCC OTC Release 5.1?

Release 5.1 includes functionality enhancements to both the POS software and ELVIS (Electronic Verification and Image System). They include:

POS:

- Batch scanning capability for the EC7000i scanners. Checks are continuously scanned into the check scanner without inputting the data information until the last check is scanned. Once the last check is scanned into the system the operator will input the corresponding data for each check.
- Franking capability for EC7000i scanners. As with the EC6000i scanners with Release 5, 5.1 expands this capability to the EC7000i scanners allowing checks to be automatically stamped with the words, “Electronically Presented” at the end of the transaction.
- MICR codeline correction for erroneous scans. For authorized users only, codeline correction allows for characters within the MICR line of the check to be corrected when interpreted incorrectly by the scanner.
- Image quality edits are performed on each check. If the check passes the image quality test, item processing continues. If the check fails the image quality test, i.e., (too dark, too light, etc.) the operator has the opportunity to rescan the check, accept the check as is (this option is not advisable), or cancel the transaction.
- Enhanced duplicate check detection. If the POS detects a duplicate item within a batch, or between batches (based on previously processed and stored batches on the same PC), a prompt appears requesting that the operator resolve the issue. Duplicate checks are determined and detected if the MICR and the check amount match those of another check. Retention of batches allows duplicate check detection for many batches instead of just one batch.
- Batch control/balancing options. Authorized individuals can choose configuration settings to make batch control optional or mandatory at either the start of the batch, or at batch close.
- Keyboard navigation providing the ability to maneuver through the application without using a mouse.

ELVIS:

- Floating menu bar that can be hidden allows for a larger work area.
- Ability to work with screen reader applications for the visually impaired.
- Supports the use of the browser's ‘back’ button in reports.
- Date fields can be typed or selected from the calendar icon.
- Online acceptance of the Rules of Behavior eliminates the need for the Rules of Behavior paper form. Automatically prompts the new user to read and agree to the terms. All users are prompted on an annual basis.
- The Check Number, Batch ID, Settlement Date, Debit Voucher Number, Deposit Ticket Number, and up to 24 configurable fields have been added to the CSV report
- Keyboard navigation – providing the ability to maneuver through the application without using a mouse.

Settlement and Reporting

The Federal Reserve Bank of Cleveland will convert the financial information captured from each check that was forwarded to ELVIS to an electronic Automated Clearing House (ACH) item or a Check 21 item.

Location Group Management

The MVD restricts the display of data based on the location of the user. A user will only see records which are associated with locations at or below the user’s location in the hierarchy or at locations specified in the Location Group. Depending on the type of data being requested, different rules will apply, as appropriate. Refer to the Master Verification Database section for more information.

CA\$HLINK II

The CA\$HLINK II system is used to settle and report transactions for the U.S. Government and its agencies. This system will reflect deposits for all checks processed as well as debits for checks that are returned to an agency. Each day, the Disbursing Officer, or designated personnel will log on to ELVIS and request a report that details transactions that have posted to CA\$HLINK II. For more information on requesting reports, please refer to the ELVIS chapter of this SOP.

POS Diagram

The following diagram depicts the flow of transactions through the Paper Check Conversion Over the Counter process conducted through the POS: (Figure 1.6)

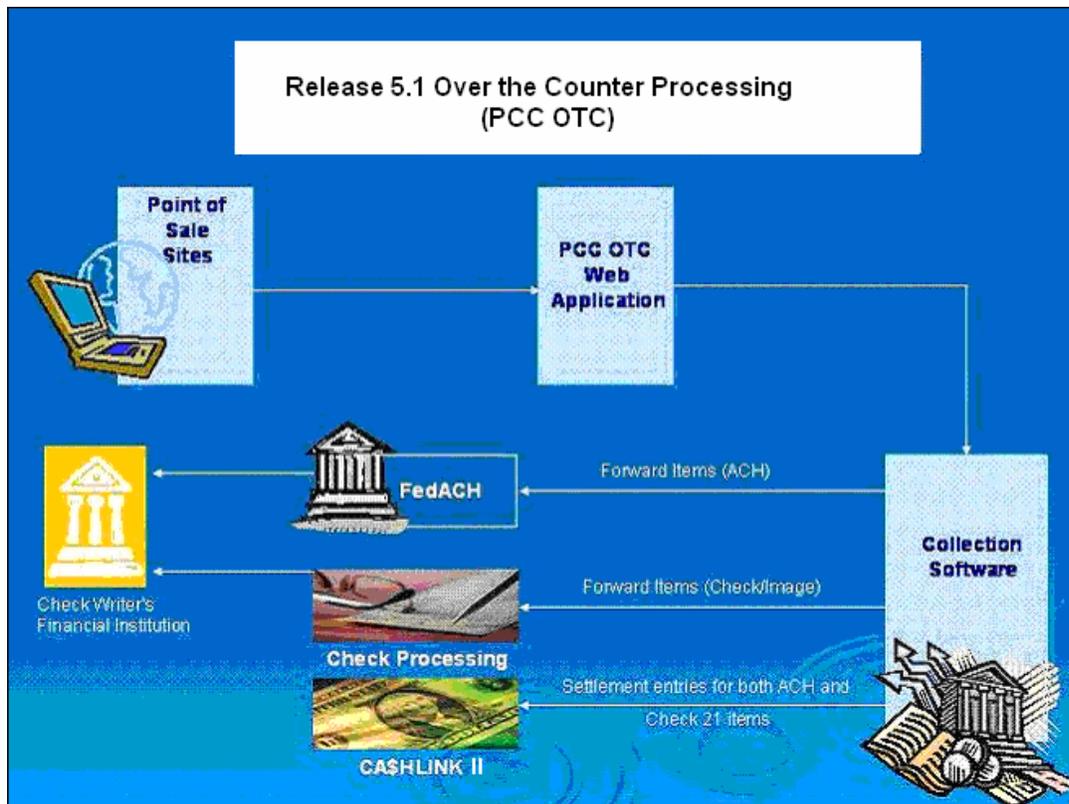


Figure 1.6

Customer Support Hours

All PCC OTC related inquiries should be directed to the FRB-C Customer Service at 216-579-2112, or 1-800-624-1373, or military DSN at 510-428-6824, option 4, option 5, option 4, or via email at pccotc@clev.frb.org. Customer support hours are from 6:00 a.m. ET until 8:00 p.m. ET Monday through Friday. Outside of these hours you can leave a voice mail message or send an email and our customer service staff will assist you as soon as they are available.

PCC OTC System Availability

The PCC OTC application is available for queries and batch processing through ELVIS 24 hours a day, 7 days a week with the exception of our maintenance window every Sunday morning from 2 AM - 6 AM ET. If the application has a planned period of downtime, such as hardware or software upgrades, advance notice will be provided to PCC OTC customers via e-mail with the timeframe of the planned downtime. Contact customer service if you need to add names to the distribution list for these notifications. Should the PCC OTC application experience any unplanned outages (on rare occasions), e-mails will be sent to the same distribution list to advise them of the outage and the expected time of resolution.

U.S. Department of the Treasury

Financial Management Service

Paper Check Conversion Over the Counter
(PCC OTC)



Standard Operating Procedures

Installation and Configuration

Release 5.1

July 2006

(Revised 10/4/07)

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
9/6/07	Scanner Hardware section	Addition of Figure 2.06.1	8
9/6/07	Connecting the Scanner section	New section - 'Connecting the Scanner'	9
10/4/07	Open Ports	Notation on the page includes definition of MSDE looping.	15

Table of Contents

INSTALLATION & CONFIGURATION	5
Requirements and Configuration.....	5
Computer Hardware and Software Requirements.....	5
Windows System Requirements	6
Database Requirements.....	6
Requirements for Router/Firewall Access	6
Scanner Hardware.....	7
Connecting the Scanner.....	8
Yes/No Keypad (Optional)	9
Operating System Setup.....	11
LAN Connectivity	11
Printer Requirements.....	11
Mirror Image - Backup Device Installation	11
Determine how much storage space you need	12
Efficiently manage your storage space	12
Pre-Installation	13
Enable the Computer Browser Service	13
Open Ports	15
Tray Manager	16
New Installation	17
Uninstall.....	21
Before Uninstalling.....	21
Uninstalling the R5.1 Software.....	22
Permanently Uninstalling the R5.1 POS Software	23
Reinstallation	24
Recovering Data Entry Screens	26
Upgrading the POS Software from a Previous Version	27
How to determine your version.....	27
Steps to follow prior to upgrading to R5.1	27
Upgrading from Version 3.5	29
Upgrading from Version 4 (or 4.2)	32
Upgrading from Release 5	35
POS Application Setup.....	38
POS Configuration.....	38
Devices Configuration Tab	38
Application Tab	39
Terminal ID.....	39
Cashflow	39
Processing	39
Batch Control	39

Point-Of-Sale Standard Operating Procedures

- ReportsTab..... 46
- ReportsTab..... 46
 - To setup a default POS Printer:..... 46
- About the POS 47**
- Help 47
 - Help – other menu options 48

Installation & Configuration

Note: This section may be used by the System Administrator to follow for first time installation.

Requirements and Configuration

Computer Hardware and Software Requirements

- Operating System - Windows 2000®, or Windows XP Professional®.

Note: We have validated that Windows 2000, Service Pack 4 and Windows XP Professional, Service Pack 2 work after POS 5.1 is freshly installed. Other variations of Operating System Service Pack releases were upgraded and tested. Please contact the PCC OTC Customer Service staff if you need to know if your specific SP version has been validated.

- Internet access is required to upload transaction data and check images and to allow downloads such as data entry screen updates and batch acknowledgments.
- Microsoft Internet Explorer™ version 6.0 or higher with Microsoft 128-bit encryption pack.
- Minimum 5 GB free hard drive space for the POS application and transaction data.
- Minimum of 512 MB RAM. Recommended 512 MB DDR SDRAM, 2 DIMMS expandable to 1 GB.
- Minimum Pentium™ III 1.2GHz computer or compatible. Recommended Intel Celeron™ Processor 2.40 GHz.
- Recommended 14.1 XGA Display with 800 X 600 screen resolution.
- RDM POS check scanner, model EC5000i, EC6000i, or EC7000i scanner.
- Scanner connection - Available 9-Pin Serial Port, PC Card Slot, or USB 2.0 port
- Two USB ports (recommended)
- Serial connection may be necessary if using the optional Yes/No keypad.
- One of the following for use as secondary storage:
 - USB Flash Drive (Recommended)
 - LAN Drive (PCC OTC will not be operational with this option during a LAN outage)
 - PCMCIA slot for use with a smartcard (used primarily for laptops/notebooks)
 - Parallel port
 - Zip drive

Point-Of-Sale Standard Operating Procedures

- CD-ROM drive
- Local or LAN printer
- Standard RJ45 Ethernet connection
- Surge protector/suppressor

Windows System Requirements

- Install the POS software using a system account with local administrative permission.
- Configure at least one local or LAN printer for the system using the Windows 'Add Printer' wizard before running the POS installation.
- Users must have full access to the RDM Corporation folder found on the hard drive under 'Program Files'.
- Users must have full access to the secondary storage location where backup images are stored, i.e., flash drive, zip drive, PCMCIA card, LAN drive, etc.

Database Requirements

The database installed with POS is Microsoft's MSDE which is a desktop version of Microsoft's SQL server.

Requirements for Router/Firewall Access

Router/Firewall Administrators must ensure and verify that outbound ACL (Access Control List) has complete https access, on port 443, and between each POS site and the PCC. Full upload and download capability using https is required to operate the POS.

Example ACL for both router and firewall access:

```
Access list XXXX permit tcp (Agency Internet IP Address-Proxy or Translated) host 199.169.192.37 eq 443 and 199.169.194.27 eq 443.
```

There is more security by dedicating a direct connection from an Agency IP address to the MVD IP address. This mechanism can ensure that any desktop running the POS can get access to ELVIS as long as there are no group or user restrictions applied. Once the IP address is requested, it should be translated at the firewall to the agency IP address and forward the connection onto the ELVIS system.

More information on the PCC OTC system and its parts can be obtained from your U.S. Department of the Treasury Representative by calling 1-202-874-6893, or the Federal Reserve Bank of Cleveland at 216-579-2112 or 1-800-624-1373. Military DSN can call the Federal Reserve at 510-428-6824, option 4, option 5, option 4.

Scanner Hardware

The scanner hardware consists of the following components:

1. EC5000i (Figures 2.01 and 2.02) or EC6000i (Figures 2.03 and 2.04), or EC7000i scanner unit (Figures 2.05 and 2.06), and the Panini MyVision scanner (Figure 2.06.1)
2. 9 Pin serial data cable, or USB data cable.
3. AC adapter power brick (220 power brick for overseas locations).
4. Franking Acknowledgment Printer Ink Roller.

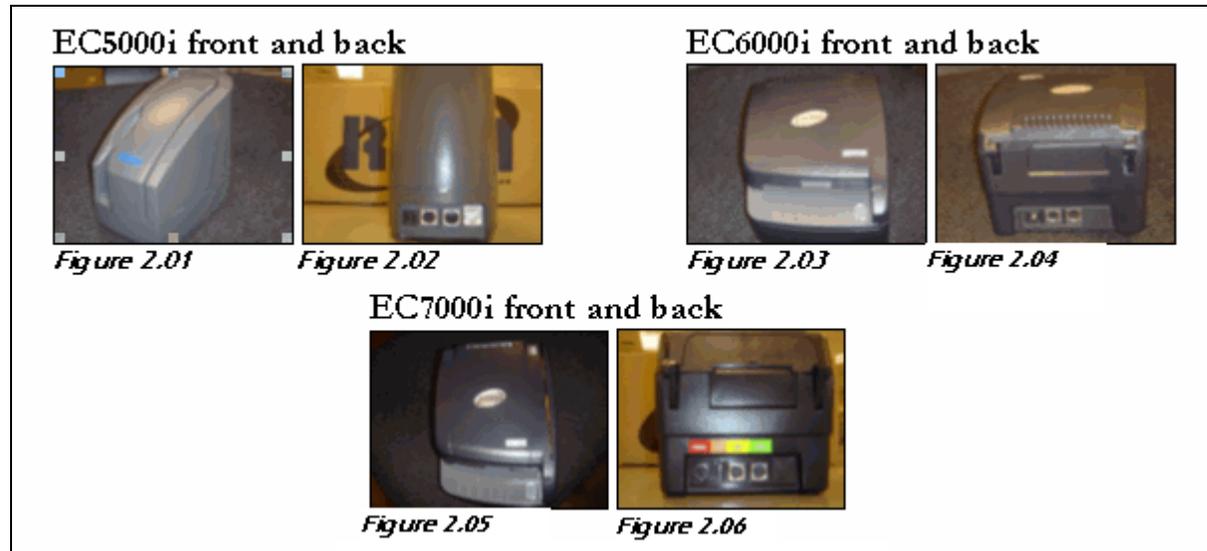


Figure 2.06.1

Connecting the Scanner

How the scanner is connected to your computer depends on the type of connection that will be used. If using a serial connection, one end of the scanner serial data cable plugs into the back of the scanner unit and the other end plugs into the 9 pin serial connection on the notebook or PC. If using a USB connection, the USB data cable plugs into the back of the scanner and the other end plugs into the USB port of the notebook or PC. The Panini scanner requires a USB 2.0 connection which a faster connection and is usually found on newer computers. Plug the power unit into a surge protected power strip. When the EC6000i, EC7000i or Panini scanner is connected to your computer for the first time, a driver will be installed to support the hardware. A 'Found New Hardware' screen will appear. Click the option to 'Install the software automatically'. The prompts will walk you through the driver install process.

Note: If you are using a USB-connected scanner, the scanner should be disconnected from the POS computer during POS software installation, otherwise the scanner driver may not be updated. After installing the POS software and connecting the USB scanner, the Windows 'Found New Hardware' window may open. The system will walk you through installing the scanner driver.

Note: The scanner MUST be at least 4 inches away from EM (Electro-magnetic) equipment, including the PC. If the scanner is too close it can cause a misread or an image distortion. Devices with electro-magnetic fields include the computer, credit card reader devices, laser beams from bar code scanner devices, etc.

On initial startup of the scanner it will cycle through each light. Upon completion, the light on the front of the scanner should be amber. If the light on the scanner is red, please refer to the *Troubleshooting* chapter of this SOP.

Yes/No Keypad (Optional)

The Yes/No Keypad allows the customer to confirm the amount of the transaction during a transaction when the application is in a Person Present mode. If the agency uses the Yes/No Keypad, it is enabled in the POS configuration. There are two models of Yes/No keypads used by the POS. They are pictured in Figure 2.1. The newer model, Ingenico 3050 will only work with POS 5.0 and higher. The keypads are connected through the back of the scanner, as pictured in Figure 2.2.

To enable the use of the keypad:

1. Sign on to the POS.
2. Click on **'File'**, then **'Configuration'**, then click the **'Devices'** tab. The following screen will appear (Figure 2.0.7)

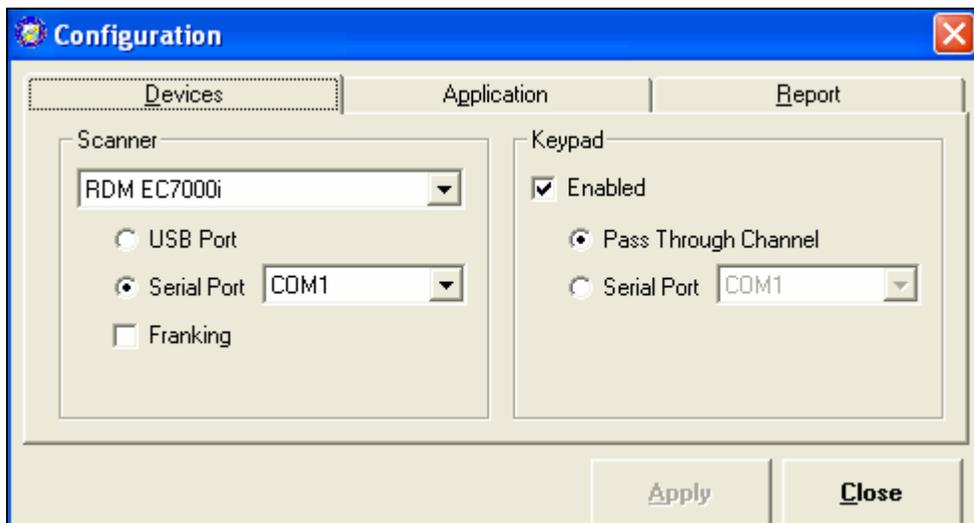


Figure 2.0.7

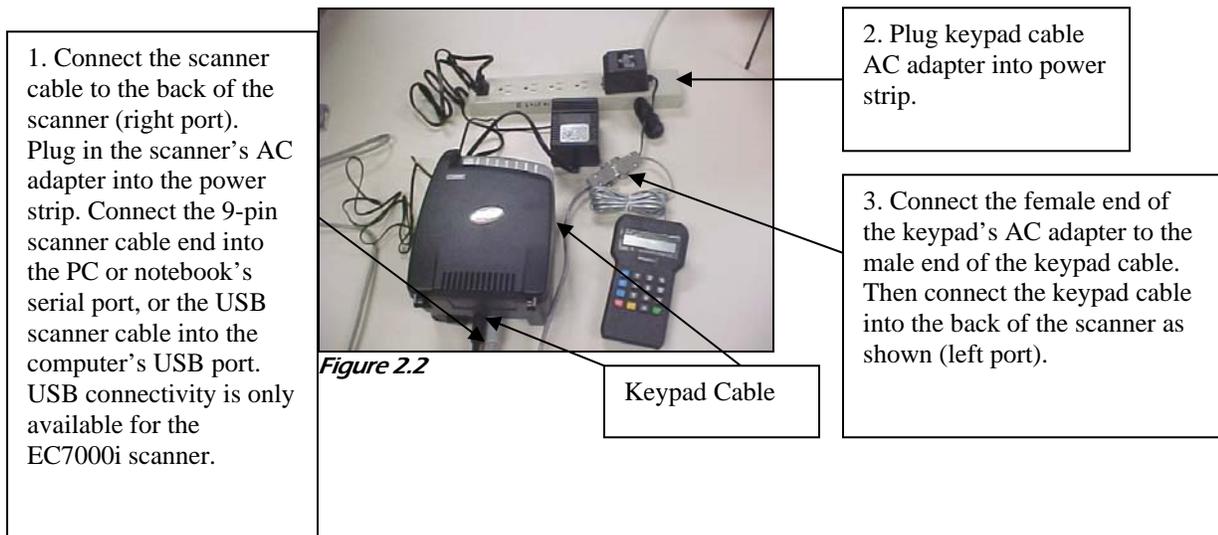
3. On the right side of the screen, click the box to add a check mark to the **'Enabled'** field under the **'Keypad'** column.
4. If your scanner is using a serial connection, you must set up the configuration as describe in this step in order for the Yes/No keypad to work. On the left side of the screen pictured in Figure 2.0.7, click the radio button for **'Serial Port'**. On the right side of the screen beneath the **'enabled'** field, click the radio button for **'Pass Through Channel'** then click the **'Apply'** button.
5. If your scanner is using a USB connection, you can use a serial connection for your keypad if you have a free COM port (serial port). Click the radio button for serial port, then choose the free COM port in the dropdown window.
6. If you have a computer that does not have a serial port, you can still connect the keypad by using a **'Serial to USB'** converter cable. Contact your technical staff for information.

Point-Of-Sale Standard Operating Procedures



Figure 2.1

The configuration that is pictured below shows the Ingenico eN-Crypt 150 keypad. The new Ingenico keypad is set up in the exact same manner.



Note: If using a Serial connection, the scanner and keypad must be configured to different ports. If they are not, an error is produced (Figure 2.2.1)

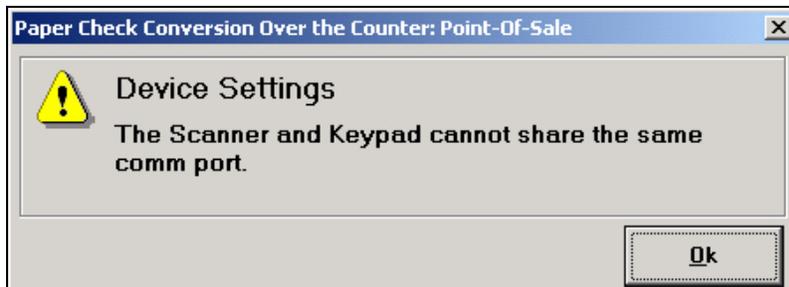


Figure 2.2.1

Operating System Setup

The POS runs on Windows XP Professional, Service Pack 2, or the Windows 2000 Professional, Service Pack 4, operating systems.

Verify that either the notebook or desktop computer is configured with an approved Operating System. Verify that the notebook or desktop computer time and date configurations are correct. If needed, the notebook or desktop date and time can be configured by selecting the Date/Time icon located in the Windows Control Panel.

NOTE: All devices should be plugged into a surge protection system.

LAN Connectivity

If the POS is connected to the Agency location's LAN, the notebook or desktop must be configured as a member of the domain used at the site and added to the network. This is necessary to submit transactions, and to use LAN-connected printers.

Printer Requirements

The POS installation requires a local/LAN printer configured on each system. **The ability to print is required to properly process daily work.**

Mirror Image - Backup Device Installation

PCC OTC requires the use of a secondary storage device. This device is used to retain batch information and check images in the event of a computer failure or data corruption on the hard drive prior to transmission. Once the batches are transmitted, the batch information is deleted from the device. This storage device could be in the form of a folder on a LAN drive, a Smartcard (for notebooks), a zip drive or a USB Flash drive. The volume of items processed by your location will determine which device will best serve as your backup device.

The mirror image is a back-up drive in case the hard drive crashes or data on the hard drive is corrupt. This is why the secondary storage should never be setup to use the computer's hard drive. Without the mirror image, daily processing information would not be retained and would not be available for transmission or batch recovery in the event of a computer failure. If batch recovery is needed due to a computer failure or other situation, please refer to the 'Batch Recovery' section of the *System Administration Tool - SAT* chapter of this SOP for complete instructions.

USB Flash Drive



Figure 2.3

A Flash drive is a small portable storage device (Figure 2.3). They are made by many different manufacturers and vary in size. They plug directly into the USB port on the notebook or desktop computer and the Windows® operating system will assign the device a drive letter, just like the floppy drive, CDROM drive, or hard drive. The recommended minimum size is 128MB. Flash drives are available in sizes as small as 64 MB and as large as 5 GB or more. The size that you choose should correspond with the amount of PCC OTC activity that you process.

There is one major drawback with the Flash drive – it is very easy to misplace. It is recommended that the Flash drive always be plugged into the computer or stored where it can be accessed whenever the POS software is used. Batches that have been created and not closed or sent will be inaccessible if the flash drive (or any other secondary backup unit) is removed or unavailable.

Contingency and backup procedures are contained in the *Troubleshooting* chapter of this SOP.

Determine how much storage space you need

How can you tell how much storage space you will need? The size of each check image is 20KB. You can figure you'll need 10MB of space per 500 item batch. Ten batches this size will require 100MB of secondary storage. Based on your volume, you can use these formulas to determine just how much space to allot for secondary storage for your PCC OTC computer.

Efficiently manage your storage space

In order to efficiently use the space on your secondary storage drive, display the batch status within Batch Manager. It is imperative that each transmitted batch displays a status of 'Acknowledged'. This ensures that the batch has been cleared from the secondary storage making room for new batches to be temporarily stored.

Pre-Installation

Enable the Computer Browser Service

The first part of the pre-installation involves enabling the 'Computer Browser' Windows service to ensure a successful installation. This applies only to first time installations (computers that have never had the POS software installed).

The 'Computer Browser' service is a service that maintains an updated list of computers on the network and supplies this list to computers designated as browsers. If this service is stopped, this list will not be updated or maintained. If this service is disabled, any services that explicitly depend on it will fail to start. If enabling this service causes operation issues at your Agency, the service can be disabled after the installation of POS 5.1.

From the Windows desktop, click **'Start', 'Control Panel'**. If your Control panel looks like the one in Figure 2.3.1, click the option to the left of the window, "Switch to Classic View".

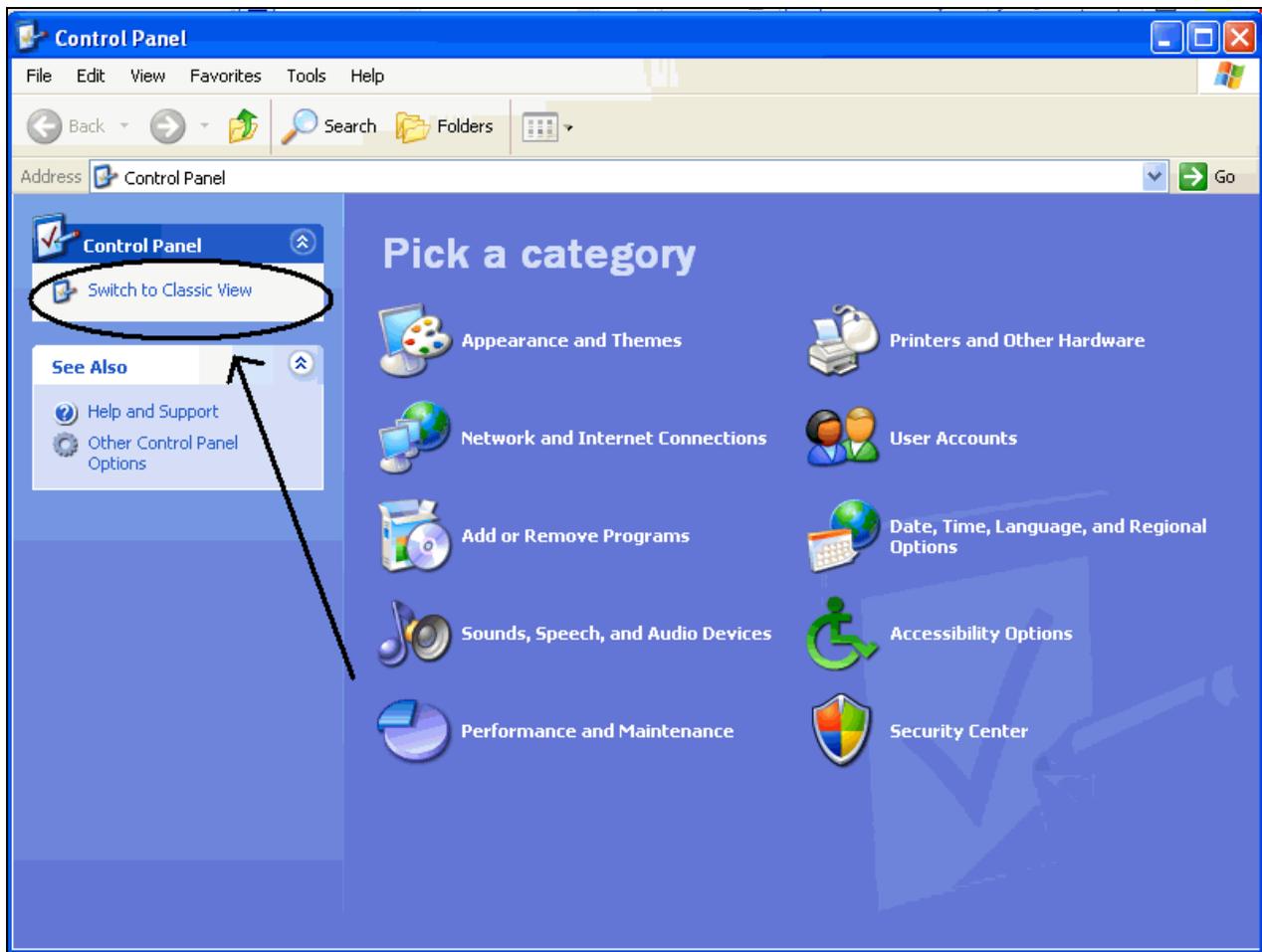


Figure 2.3.1

1. Once in Classic View, click the 'Administrative Tools' icon, then click on the 'Services' icon. Look for a

Point-Of-Sale Standard Operating Procedures

service in the 'Name' column called 'Computer Browser'. Double click the 'Computer Browser' service. The following screen will appear (Figure 2.3.2):

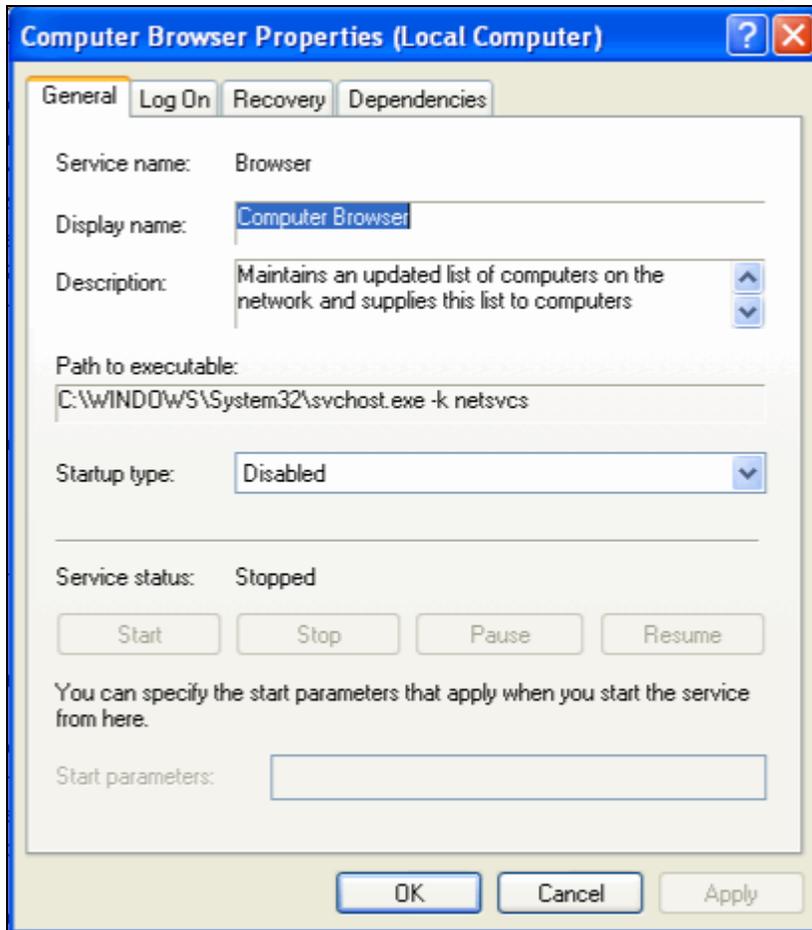


Figure 2.3.2

3. Click the down arrow in the 'Startup type:' field (mid screen) and choose 'Automatic'. Click the 'OK' button at the bottom of the window. Continue with the POS installation procedures.

As part of the POS installation, a file named PSKill.exe is installed into the RDM directory. If your Agency encounters an issue with this file during routine security scans, please work with your Information Security staff. They can contact the PCC OTC Customer Service staff for assistance.

Open Ports

This Pre-Installation process is for workstations with a local firewall enabled.

Prior to installing the POS the following ports must be opened, TCP 139, TCP 445, UDP 137 and UDP 138.

If you are installing on a Windows XP SP2 system the installation will automatically open and close these ports (part of the File and Printer Sharing group) as required, to install the MSDE component. When the installation is complete, the port settings will be returned to their original state.

To enable File and Printer Sharing as an exception:

1. From the Windows desktop, click **'Start', 'Control Panel'**.
2. Double-click the Windows Firewall icon.
3. If the General tab is not the active tab, click the General tab. Ensure that the 'Don't allow exceptions' option is not checked.
4. Click the **'Exceptions'** tab.
5. Select the File and Print Sharing option.
6. Click **'OK'**.
7. Close the Windows Firewall dialog and close the Control Panel window.

Note: Failing to enable these ports could cause the installation of the MSDE component to loop. When looping occurs, the MSDE installation piece of the install procedure will repeatedly try to install. The system will indicate that the MSDE installation is complete and ask if you wish to restart the computer. Upon restart, the MSDE installation begins again instead of continuing with the POS installation.

Antivirus software may cause the installation of MSDE to loop. This occurs because most antivirus programs block scripts from running. To avoid this behavior, configure the antivirus to allow scripts to run. After the software is installed, the antivirus can be re-configured to block scripts from running. Check with your internal security staff as they may require that you disconnect from the Internet or LAN during the installation. If you are using a McAfee antivirus product, manually disabling the scripts is not required. The installation process automatically stops and starts the script blocker as necessary.

Note: It is possible to install an older release of the POS such as 3.5, or 4.x in error, on a computer that already has POS 5.1 installed, and both releases will reside on the desktop. Please ensure that your old POS software CD's are destroyed after you have upgraded all of your POS computers. This is a preventable issue with Release 5.1 but will only take effect as Release 5.1 becomes the older release. Releases older than POS 5.1 do not contain this preventable measure.

Tray Manager

Tray Manager is the fourth module of the PCC OTC POS software. It runs in the background and controls all functionality within the POS/SAT/Batch Manager. It should always be up and running as indicated by the icon in the taskbar at the lower right of the Windows desktop (Figure 2.4). Tray Manager will restart

itself in the event of a shutdown. The Tray Manager icon  displays at the lower right of the screen when module is running.

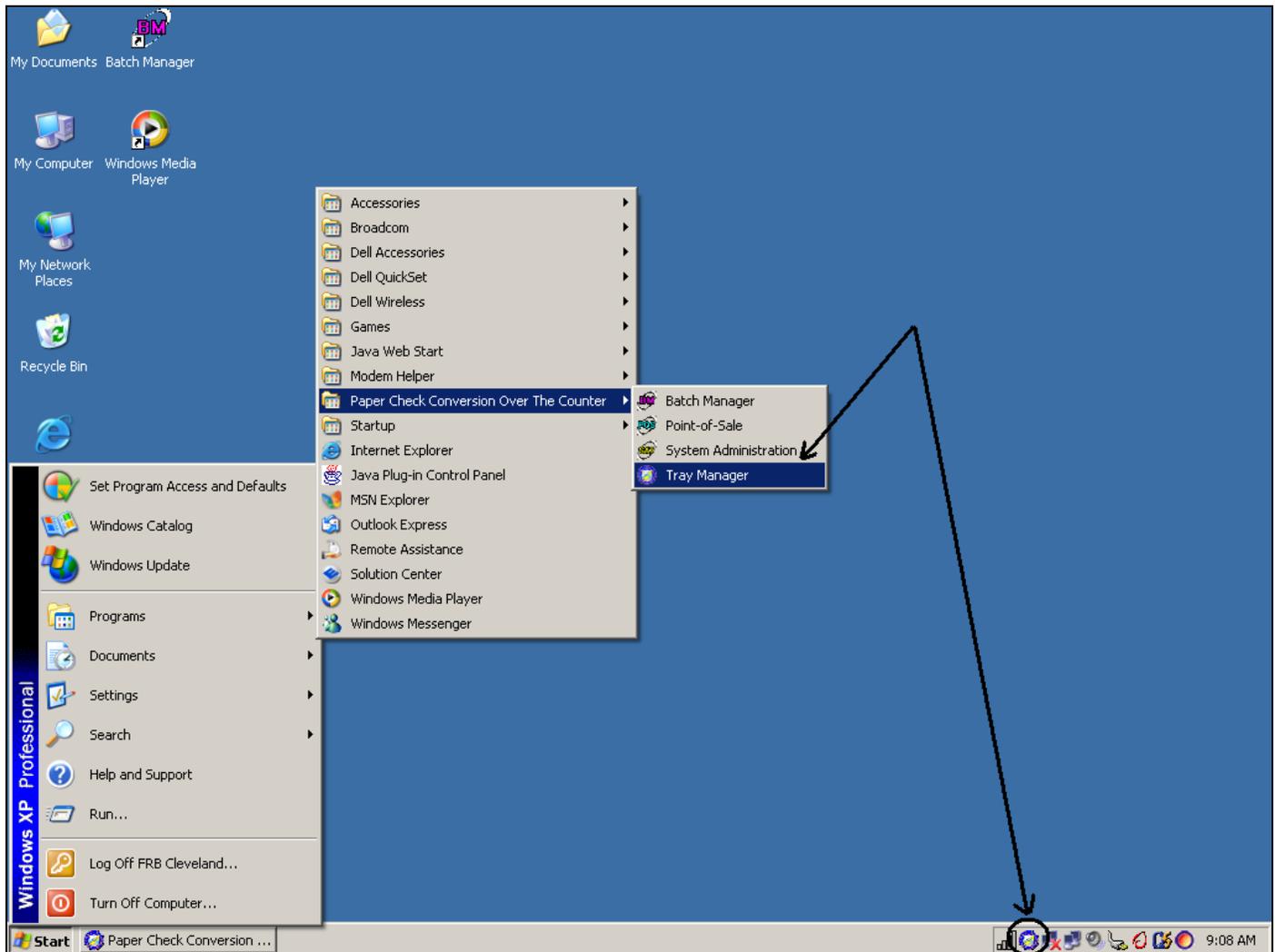


Figure 2.4

New Installation

The 'New Installation' procedure below assumes that the POS software has never been installed on the computer. It also assumes that you already have your computer running with Windows open. This install procedure is written for both Windows® 2000 and Windows® XP Operating Systems.

Note: *The following Microsoft services must be active during installation and operation: Computer Browser, Server, and Workstation. For information on activating a service, see the Pre-Installation section of this chapter.*

1. Insert the PCC OTC POS V5.1 CD into the CDROM drive. The disk should perform an autorun and the program begins the installation process. **Note:** *Autorun can be disabled on some computers. If the install does not automatically begin, click on 'Start', select 'Run' then click 'Browse'. Navigate to the CDROM drive, usually D:\ or E:\. Double-click the file named 'setup.exe'. From the 'Run' window, click 'OK'.*

Note: *If working from a network drive or other external source, copy the installation (setup.exe) file locally to the system before beginning the installation.*

The Start Installation window appears (Figure 2.5). Click 'Next'.

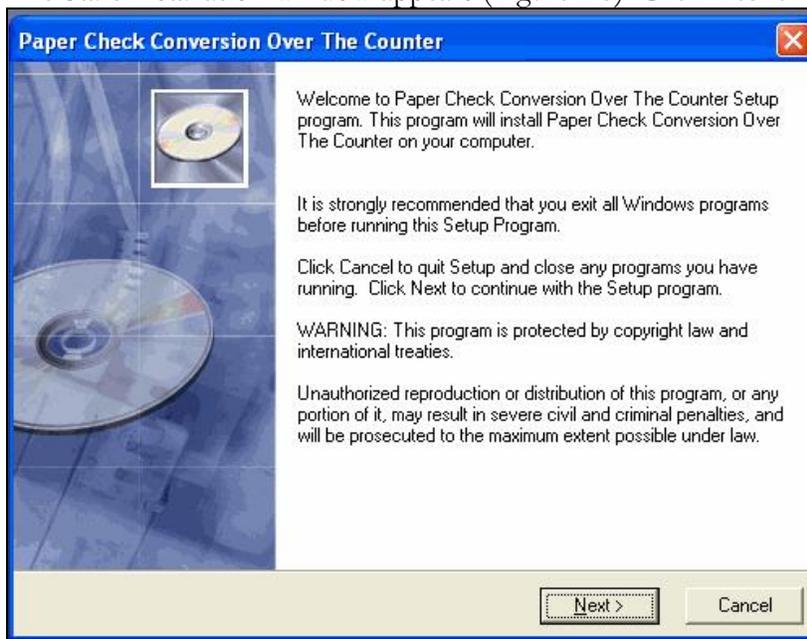


Figure 2.5

2. The system will prompt that it is 'Installing MSDE 2000 as pictured in Figure 2.6, and to please wait. MSDE stands for Microsoft SQL Server Desktop Engine™. The installation of MSDE can take as long as 5 minutes to complete.

Note: *If the required version of MSDE is already present on the system, the POS installation begins.*

Point-Of-Sale Standard Operating Procedures

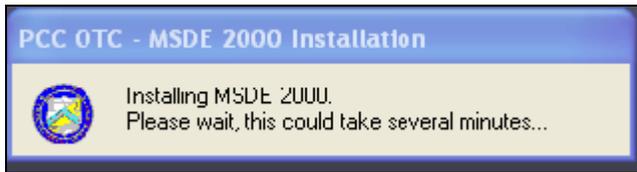


Figure 2.6

The following screen will appear notifying you that your system has been updated with MSDE (Figure 2.7). Click **'Yes'** to restart the computer.



Figure 2.7

3. The PCC OTC System Information screen will then appear.(Figure 2.9)

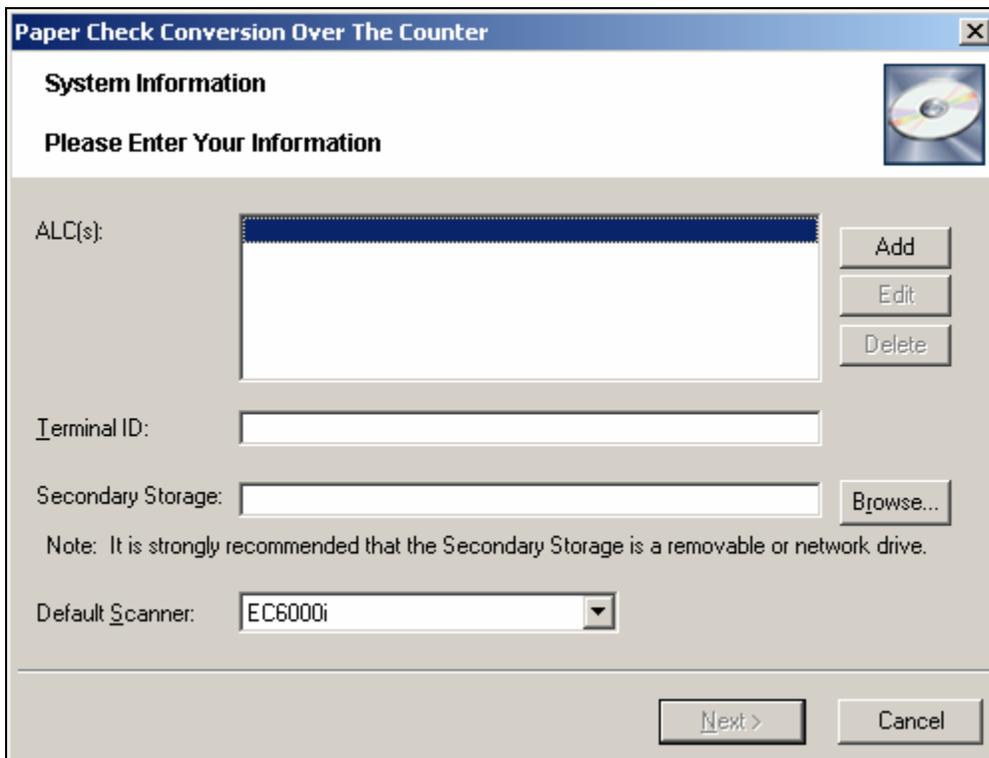


Figure 2.9

4. In the PCC OTC System Information Window click the **'Add'** button on the right, beside the ALC(s) heading. This function is used to add all of the ALC's that this computer uses for data entry. Type your first 10-digit ALC+2 in the ALC field. Press the tab key and type the Location description. The description is used internally for you to easily identify each location. Click **'OK'**.

Note: Prior to adding your ALC+2's, an Agency Site Profile (ASP) must be submitted to FRB/FMS for each ALC +2.

If more than one ALC+2 will be used, click the **'Add'** button again and repeat the previous step. Continue in this manner until all ALC's have been added. If you need assistance with identifying your ALC's, please call the Customer Service staff at the FRB-C at 1-800-624-1373 or military locations can call DSN 510-428-6824, option 4, option 5, option 4.

5. Type your terminal ID as provided by the FRB-C.
6. Click the **'Browse'** button on the right, just beside the Secondary Storage heading. Navigate to the correct drive for your secondary storage (This drive is usually the flash drive - normally E:\ or D:\). You can change the drive by selecting 'Browse'. Daily and archived batches will be stored on this drive. When your selection is complete, click **'OK'**. Your choice for the secondary storage should now be displayed in the field to the immediate right of the 'Secondary Storage'.
7. Select the correct scanner model. Click the down arrow to the right of the field and select your scanner model. Click **'Next'**.
8. A 'Start Installation' window will appear. Click **'Next'**.
9. The system will begin installing the PCC OTC databases and files. A window appears which displays the percentage of completion.
10. The Crystal Reports XI runtime module is then installed.
11. A window appears stating that the system configuration is being updated.
12. When complete, a window appears stating that the software has been successfully installed. Click **'Finish'**.
13. A prompt will appear stating that the system must be restarted to complete the installation. Click the **'OK'** button to restart. The computer will reboot.
14. Upon a successful installation, three shortcut icons to the POS program (POS – Point-of-Sale, SAT – System Administration, and BM - Batch Manager) will appear on the PC desktop (Figure 2.10). The version number can also be verified by signing on to the SAT, POS, or Batch Manager and clicking **'Help'**, **'About PCC OTC'** from the menu at top of the screen. The Security Administrator will need to sign on to the SAT as the 'admin' user and create user accounts. For complete information, refer to the *System Administration Tool* chapter, 'User Administration' section of this SOP.

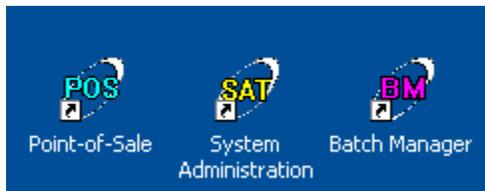


Figure 2.10

15. Before the POS software can be used to create transactions, the Agency's unique data entry screens will need to be downloaded. To download the screens, make certain that the check

Point-Of-Sale Standard Operating Procedures

scanner is connected to the POS computer, sign on the POS, click on **'Tools'**, then **'Check for'**, then click **'Data Entry Screen Upgrade'**.

16. Remove the PCC OTC R5.1 CD and store in a secure area.

Uninstall

If your computer should experience problems with file corruption or the administrative password is inaccessible, the POS software may need to be uninstalled and reinstalled. Uninstallation of the POS software should not be performed without permission from FRB-C Customer Service staff. Please call the PCC OTC Customer Service at 800-624-1373, 216-579-2112 or DSN 510-428-6824, option 4, option 5, option 4.

Note: *Uninstallation of the POS software will erase your unique data entry screens. See the ‘Recover Data Entry Screens’ section of this chapter for information on recovering those screens. The uninstall procedure will also remove all audit trails and Batch Manager history.*

Note: *To avoid a situation where the administrative password becomes inaccessible, please make certain that the ‘admin’ password is written down and locked up. All safeguards should be in place to ensure that the password is accessible to authorized personnel only.*

Before Uninstalling

Uninstalling the POS software usually means that a reinstall will need to occur immediately afterward. The following steps should be performed **prior** to uninstalling your POS software to ensure a smooth reinstall. The following steps assume that your current installation of the POS software is accessible. If the software is inaccessible and these steps cannot be performed, contact the FRB-C Customer Service staff at 800-624-1373, 216-579-2112 or DSN 510-428-6824, option 4, option 5, option 4.

1. Close and transmit all open batches in the POS. For details on how to close a batch, please refer to the Daily Processing chapter of this SOP. If the computer is not accessible and there are open batches, a batch recovery will need to be performed using the secondary storage drive, after the reinstallation of the software has been completed. For instructions on ‘Batch Recovery’, please refer to the *System Administration Tool – SAT* chapter of this SOP.
2. Back up all system data and existing POS data. Since each Agency has their own set of instructions for performing backups, please contact your Information Technology Support staff for assistance with backing up your computer.
3. Print the SAT and POS activity log for the past 90 days and user information from the SAT before upgrading the existing application. To print the activity log and user information, refer to ‘Activity Log’ and ‘User Information’ sections in the *Appendix* of this SOP.
4. Launch the SAT and login. Select **‘File’**, then **‘Configuration’**. From the ‘Data Entry Screens’ tab, make a note of the ALC(s). From the ‘General’ tab, make a note of the Secondary Image Storage path. Close the PCC SAT application.
5. Launch PCC POS and login. Click **‘File’**, and **‘Configuration’**. Select the Application tab and make a note of the Terminal ID.

Uninstalling the R5.1 Software

To uninstall the software, from the Windows desktop click on **'Start', 'Settings', then 'Control Panel'**. Double-click on **'Add/Remove Programs'**.

1. Click to highlight **'Paper Check Conversion Over the Counter'** then click on **'Change/Remove'**. (Figure 2.11)

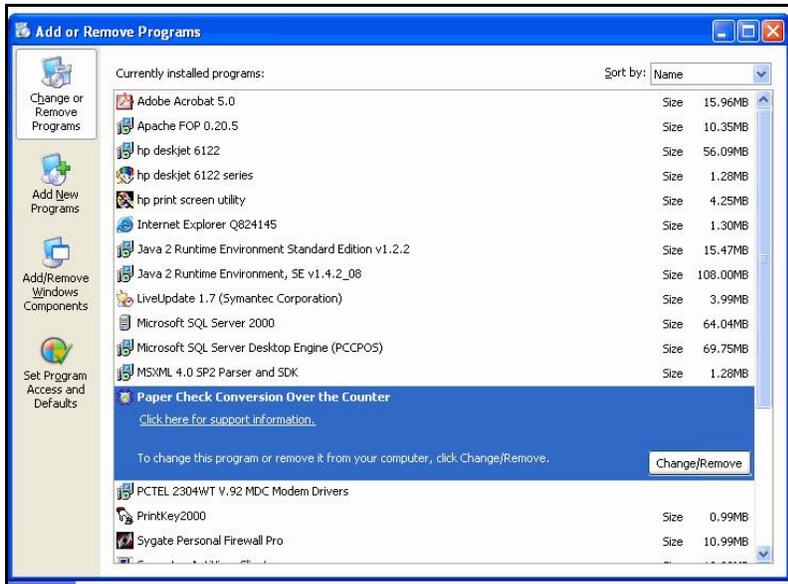


Figure 2.11

2. The prompt, "Please close all other applications before continuing", will appear. To continue, click on the **'OK'** button. The prompt, "Are you sure you want to uninstall PCC OTC?", will appear. Click the **'Yes'** button.
3. The prompt, "Do you want to keep the data from PCC OTC?", appears. The following choices are available:
 - 'Yes'** - to retain user data and transactions that have not yet been completed within PCC OTC.
 - 'No'** - if the purpose of this uninstall is to recover the administrative password in PCC OTC, or if the software is being permanently removed from this computer. Responding with 'No' will remove all users and pending transactions from the PCC OTC system, but the PCC OTC administrative password will be recovered, after the software has been re-installed.. All batches should be closed and transmitted prior to the uninstall or they will be lost. Choose **'Yes'** or **'No'**.
4. The uninstall process begins. This may take up to 5 minutes. A prompt may appear asking if you wish to remove a shared component. The uninstall process will inform you that the file is no longer being used by other programs and may be deleted. Click on **'Yes to All'**. (Figure 2.12)

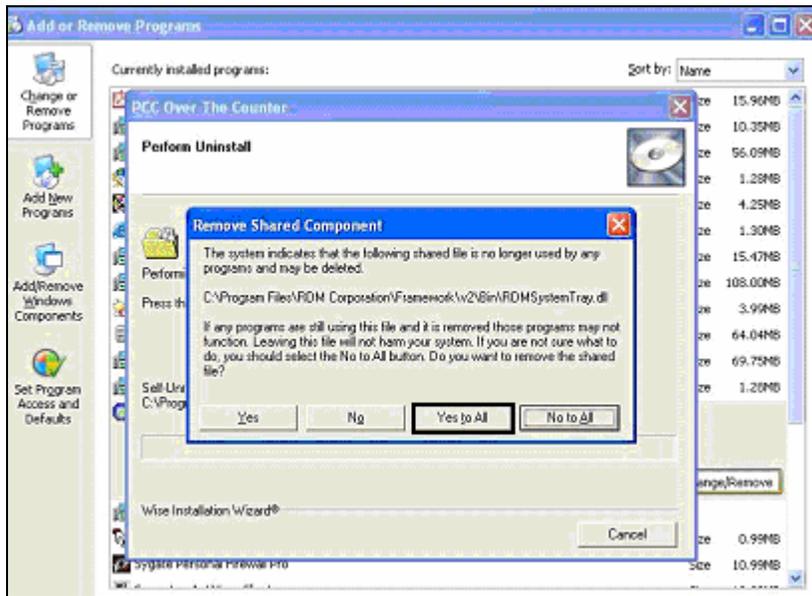


Figure 2.12

5. When uninstall is complete, a window will appear stating that the PCC OTC uninstall has completed successfully, click **'OK'**. The screen will return to the Add or Remove Programs Window and the PCC OTC software will no longer appear in the listing as a currently installed program. Click the **'X'** in the upper right corner of the screen to close.
6. Verify that the 'POS', 'SAT', and 'Batch Manager' icons are no longer on the computer's desktop.
7. Verify that the RDM folder has been removed. Right-click the Windows 'Start' button, then click 'Explore'. Navigate to the C: drive (or to whatever drive the POS software was installed) and click the plus (+) button to display all folders on the drive. Look for a folder called 'Program Files'. Click the plus (+) button beside the folder to view all folders beneath. Verify that the folder 'RDM Corporation' does not exist. If it does, right-click the folder name then choose 'Delete' from the menu. Be very careful that you are only deleting the RDM Corporation folder. You will be prompted with the message, "Are you sure you want to remove the folder 'RDM Corporation' and move all of its contents to the Recycle Bin?" Click the **'Yes'** button.

Permanently Uninstalling the R5.1 POS Software

If the POS software will no longer be used by your Agency for the PCC OTC program, follow the steps in the 'Uninstalling the R5.1 Software' in the previous section. Older releases of the software may have included POS CD's. Management needs to ensure that these CD's are destroyed. All sensitive data should be removed from your secondary storage device.

Point-Of-Sale Standard Operating Procedures

Reinstalling the POS Software After an Uninstall

In the event of a computer problem, a reinstallation of the POS may be necessary. Before performing a reinstall of POS:

Close and transmit all open batches in the POS. (For details on how to close a batch, please refer to the Daily Processing chapter of this SOP).

Back up all system data and existing POS data. Since each Agency has their own set of instructions for performing backups, please contact your Information Technology Support staff for assistance with backing up your computer.

Close all POS applications, such as POS, Batch Manager, and the SAT before installing any POS upgrade.

Close all other open applications before reinstalling the POS.

Reinstallation

To reinstall the software after an uninstall:

NOTE: If an error is encountered during any part of the installation, contact the FRBC at 800-624-1373 or 216-579-2112 or DSN 510-428-6824, option 4, option 5, option 4.

1. Insert the PCC OTC POS R5.1 CD into the CDROM drive. The disk should perform an autorun and the program begins the installation process. **Note: Autorun can be disabled on some computers. If the install does not automatically begin, click on 'Start', select 'Run' then click 'Browse'. Navigate to the CDROM drive, usually D:\ or E:\. Double-click the file named 'setup.exe'. From the 'Run' window, click 'OK'.** The Start Installation window appears (Figure 2.13). Click 'Next'.

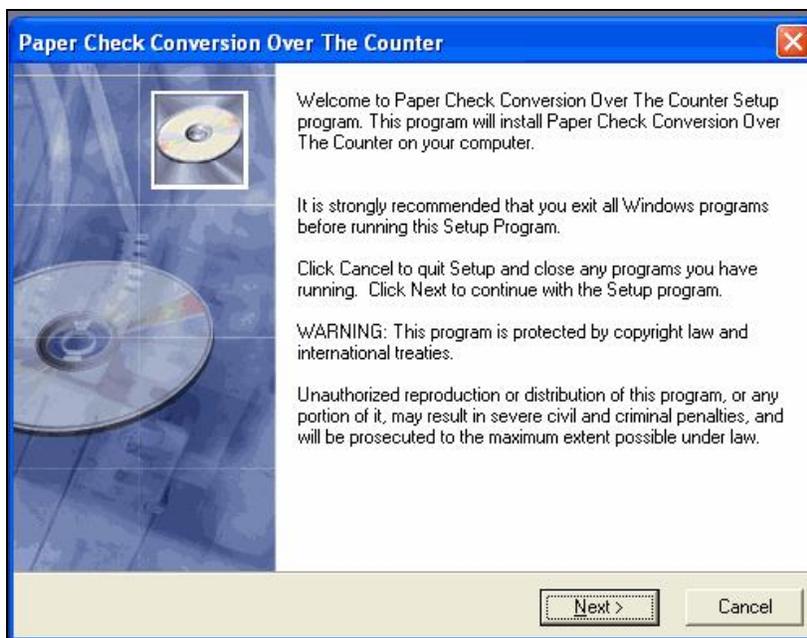


Figure 2.13

2. A System Configuration screen will appear as pictured in Figure.

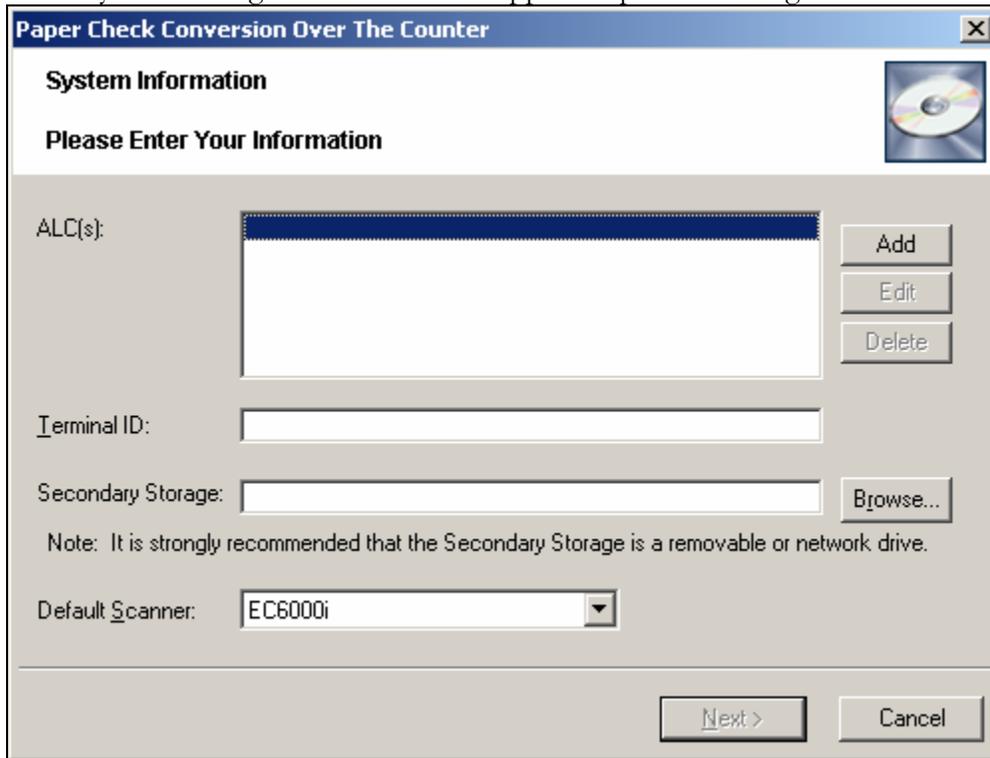


Figure 2.14

Note: It is critical that the information in the following screen be accurate. Use the information that you copied or screenprinted prior to the uninstall procedure to complete these fields.

3. In the PCC OTC System Information Window click the **'Add'** button on the right, beside the ALC(s) heading. This function is used to add all of the ALC's that this computer uses for data entry. A window will appear for you to type your first 10-digit ALC+2 in the ALC field. Press the tab key and type the Location description. The description is used internally for you to easily identify each location. Click **'OK'**.

Note: Prior to adding your ALC+2's, an Agency Site Profile (ASP) must be submitted to FRB/FMS for each ALC +2.

If more than one ALC+2 will be used, click the **'Add'** button again and repeat the previous step. Continue in this manner until all ALC's have been added. If you need assistance with identifying your ALC's, please call the Customer Service staff at the FRB-C at 1-800-624-1373 or military locations can call DSN 510-428-6824, option 4, option 5, option 4.

4. Type your terminal ID as provided by the FRB-C.
 5. Click the **'Browse'** button on the right, just beside the Secondary Storage heading. Navigate to the correct drive for your secondary storage (This drive is usually the jump drive - normally E:\ or D:\).

Point-Of-Sale Standard Operating Procedures

You can change the drive by selecting 'Browse'. Daily and archived batches will be stored on this drive. When your selection is complete, click **'OK'**. Your choice for the secondary storage should now be displayed in the field to the immediate right of the 'Secondary Storage'.

6. Select the correct scanner model. Click the down arrow to the right of the field and select your scanner model. Click **'Next'**.
7. A 'Start Installation' window will appear. Click **'Next'**.
8. The system will begin installing the PCC OTC databases and files.
9. A prompt appears stating that the system configuration is being updated.
10. When complete, an 'Install Finished' window will appear. Click **'Finish'**
11. A prompt will appear stating that the system must be restarted to complete the installation. Click the **'OK'** button to restart.
12. Upon a successful installation, three shortcut icons to the POS program (POS – Point-of-Sale, SAT – System Administration, and BM- Batch Manager) will appear on the PC desktop (Figure 2.15). The version number can also be verified by signing on to the SAT, POS, or Batch Manager and clicking **'Help'**, **'About PCC OTC'** from the menu at top of the screen.

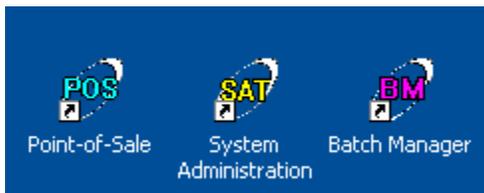


Figure 2.15

13. Before the POS software can be used to create transactions, the Agency's unique data entry screens will need to be recovered. See the 'Recovering Data Entry Screens' section of this chapter for instructions.
14. Remove the PCC OTC R5.1 CD and store in a secure area.

Recovering Data Entry Screens

Note: *Uninstallation of the POS software will erase your unique data entry screens. To recover the screens after an uninstall/reinstall, make certain that the check scanner is connected to the POS computer, sign on the POS, click on 'Tools', then 'Check for', then click 'Data Entry Screen Upgrade'.*

Upgrading the POS Software from a Previous Version

How to determine your version

There are three previous versions of the POS in the field today. Version 2.2.0.0523, more commonly referred to as version 3.5, and Version 2.3.0.2838, which is more commonly referred to as version 4.0 or 4.2 (which contains a minor patch), and Release 5.

If you have version 3.5, the POS and SAT icons on your desktop look like those in Figure 2.16.

If you have version 4.0 or 4.2, the POS and SAT icons on your desktop look like those in Figure 2.17.

If you have Release 5, you have three icons on your desktop that look like those in Figure 2.17.1

You can also determine the version number by choosing 'Help', then 'About PCC OTC'. A window will appear with the version number.



Figure 2.16/Release 3.5



Figure 2.17/Release 4.0 and 4.2



Figure 2.17.1/Release 5.0

Once the version number has been determined, follow the corresponding instructions below to install the Release 5.1 upgrade.

Steps to follow prior to upgrading to R5.1

Close and transmit all open batches in the POS.

Back up all system data and existing POS data. Since each Agency has their own set of instructions for performing backups, please contact your IT Support staff for assistance with backing up your computer.

Close the POS and SAT applications before installing the POS upgrade.

Print the SAT and POS activity log for the past 90 days and user information from the SAT before upgrading the existing application.

Launch the SAT and login.

Point-Of-Sale Standard Operating Procedures

1. Click **'File'**, then **'Configuration'**. From the 'Data Entry Screens' tab, make a note of the ALC(s). From the 'General' tab, make a note of the Secondary Storage location. Close the SAT application.
2. Launch the POS and login.
3. Click **'File'**, then **'Configuration'**. Select the Application tab and make a note of the Terminal ID.
4. Close the POS application.
5. Close all other open applications.

Upgrading from Version 3.5

These upgrade instructions work for both the Windows® 2000 and Windows® XP Operating Systems.

1. Make sure that you follow the steps outlined in ‘Steps to follow prior to upgrading to R5.1’ before beginning the upgrade.
2. Insert the PCC OTC POS R5.1 CD into the CDROM drive. The disk should perform an autorun and the program begins the installation process. **Note: Autorun can be disabled on some computers. If the install does not automatically begin, click on ‘Start’, select ‘Run’ then click ‘Browse’. Navigate to the CDROM drive, usually D:\ or E:\. Double-click the file named ‘setup.exe’. From the ‘Run’ window, click ‘OK’.**
3. The screen should indicate that a previous version of PCC OTC has been detected (Figure 2.17.2). Click **‘Yes’** to continue.

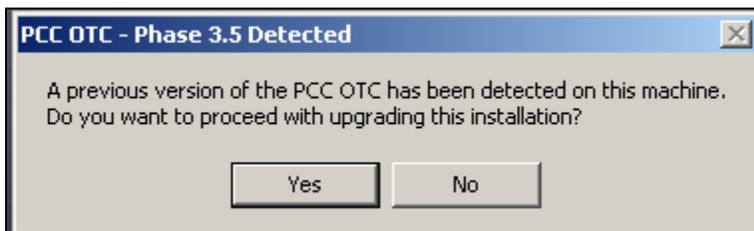


Figure 2.17.2

4. The system begins applying MSDE 2000 SP3a. This may take up to five minutes. When complete, a prompt will appear stating that the system has been updated with Microsoft SQL Server 2000 Desktop Engine Service Pack 3 and that a restart is required to continue. Click **‘Yes’**. The system will reboot. A welcome screen will appear (Figure 2.17.3), click **‘Next’**

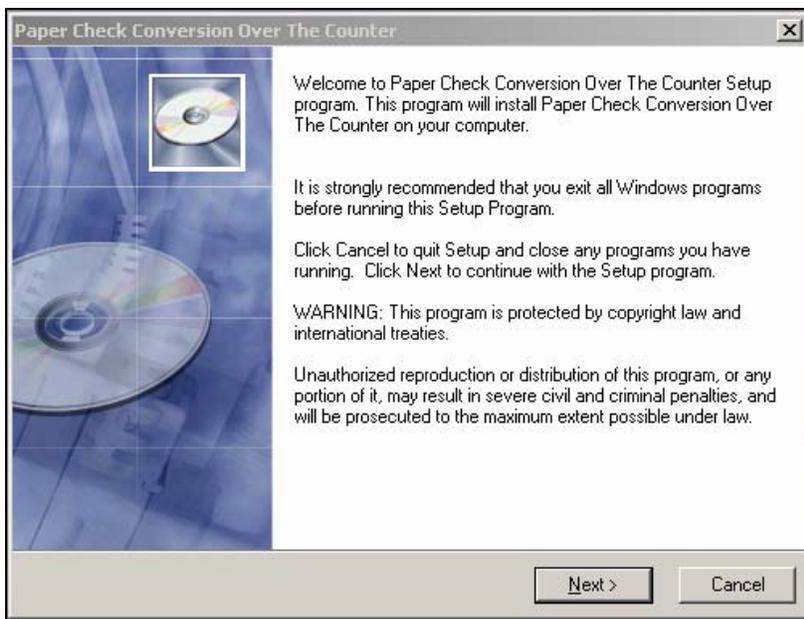


Figure 2.17.3

Point-Of-Sale Standard Operating Procedures

- The system may begin patching MSDE 2000 (Figure 2.18) if necessary. This can take several minutes.



Figure 2.18

- A System Configuration screen will appear as pictured in Figure 2.19.

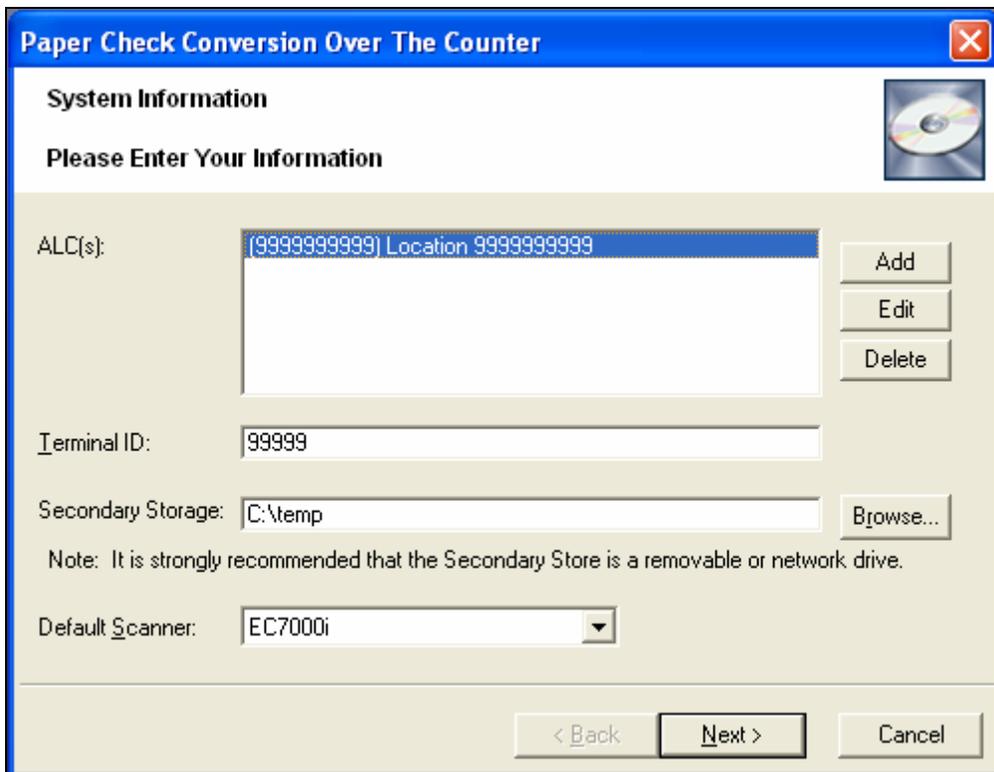


Figure 2.19

- The ALC that was used in the previous version of the POS will be displayed. Since Release 5.1 allows you to use multiple ALC's for data entry, you can add your additional ALC's from this screen. In the PCC OTC System Information Window click the **'Add'** button on the right, beside the ALC(s) heading. A window will appear for you to type your first 10-digit ALC+2 in the ALC field. Press the tab key and type the Location description. The description is used internally for you to easily identify each location. Click **'OK'**.

Note: Prior to adding your ALC+2's, an Agency Site Profile (ASP) must be submitted to FRB/FMS for each ALC +2.

If additional ALC+2's will be used, click the **'Add'** button again and repeat the previous step. Continue in this manner until all ALC's have been added. If you need assistance with identifying

- your ALC's, please call the Customer Service staff at the FRB-C at 1-216 579 2112, or 1-800-624-1373, or military locations can call DSN 510-428-6824, option 4, option 5, option 4.
8. Your terminal ID should have been retained from the previous version of the POS. If it is not correct, double-click within the field and type your terminal ID.
 9. The secondary storage designation should also be retained from the previous version of the POS. If it is not correct, click the **'Browse'** button on the right, besides the Secondary Storage heading. Navigate to the correct drive for your secondary storage (This drive is usually the flash drive - normally E:\ or D:\ but can also be a PCMCIA card (if a laptop) network drive or a zip drive). You can change the drive by selecting 'Browse'. Daily and archived batches will be stored on this drive. When your selection is complete, click **'OK'**. Your choice for the secondary storage should now be displayed in the field to the immediate right of the 'Secondary Storage'.
 10. Select the correct scanner model. Click the down arrow to the right of the field and select your scanner model. Click **'Next'**.
 11. A 'Start Installation' window will appear. Click **'Next'**.
 12. The system will begin performing various tasks such as installing the PCC OTC databases, migrating and detaching the previous database, uninstalling the previous version, and installing Apache FOP.
 13. The install will then begin copying files and show a screen which reflects the percentage of completion.
 14. The Crystal Reports XI runtime module will be configured.
 15. The system configuration will be updated.
 16. When complete, a window will appear that states that the software has been successfully installed. Click **'Finish'**. A prompt will appear stating that the system must be restarted to complete the installation. Click the **'OK'** button to restart.
 17. Upon a successful installation, three shortcut icons to the POS program (POS – Point-of-Sale, SAT – System Administration, and BM, Batch Manager) will appear on the PC desktop (Figure 2.20). The version number can also be verified by signing on to the SAT, POS, or Batch Manager and clicking **'Help'**, **'About PCC OTC'** from the menu at top of the screen. Login and password data is retained during the upgrade so users can sign on to the system as they did before the upgrade.



Figure 2.20

18. Before the POS software can be used to create transactions, the Agency's unique data entry screens will need to be downloaded. To download the screens, make certain that the check scanner is connected to the POS computer, sign on to the POS, click on **'Tools'**, then **'Check host for'**, then click **'Data Entry Screen Upgrade'**.
19. Remove the PCC OTC R5.1 CD and store in a secure area.

Note: *When upgrading from version 3.5 to 5.1, the LVD usage in the system configuration, general tab is defaulted to Person present/personal checks only mode. You may want to check your configuration settings to be sure that they are set correctly for your agency's requirements. They can be changed by accessing the SAT, click on 'File', 'Configuration', then click the 'General' tab. For complete instructions, refer to the SAT chapter of this SOP.*

Upgrading from Version 4 (or 4.2)

These upgrade instructions work for both Windows 2000® and Windows XP® Operating Systems.

1. Make sure that you follow the steps outlined in ‘Steps to follow prior to upgrading to R5.1’ before beginning the upgrade.
2. Insert the PCC OTC POS R5.1 CD into the CDROM drive. The disk should perform an autorun and the program begins the installation process. *Note: Autorun can be disabled on some computers. If the install does not automatically begin, click on ‘Start’, select ‘Run’ then click ‘Browse’. Navigate to the CDROM drive, usually D: \ or E: \. Double-click the file named ‘setup.exe’. From the ‘Run’ window, click ‘OK’.*
3. The screen should indicate that a previous version of PCC OTC has been detected (Figure 2.22). Click ‘Yes’ to continue.

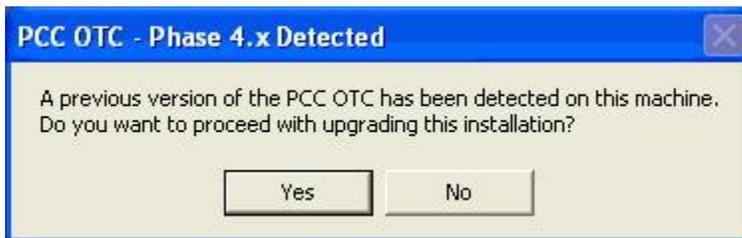


Figure 2.22

4. The system begins applying MSDE 2000 SP3a. This may take up to five minutes. When complete, a prompt will appear stating that the system has been updated with Microsoft SQL Server 2000 Desktop Engine Service Pack 3 and that a restart is required to continue. Click ‘Yes’.
5. The system will reboot and when Windows is restarted, the following prompt will appear (Figure 2.23). Click ‘Next’.

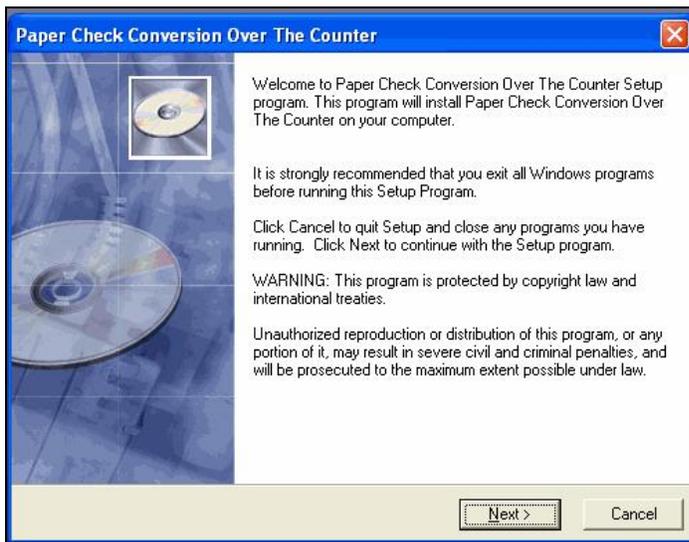


Figure 2.23

6. A System Configuration screen will appear as pictured in Figure.

Paper Check Conversion Over The Counter

System Information

Please Enter Your Information

ALC(s):

(9999999999) Location 9999999999	Add
	Edit
	Delete

Terminal ID: 99999

Secondary Storage: C:\temp Browse...

Note: It is strongly recommended that the Secondary Store is a removable or network drive.

Default Scanner: EC7000i

< Back Next > Cancel

Figure 2.24

7. The ALC that was used in the previous version of the POS will be displayed. Since Release 5.1 allows you to use multiple ALC's for data entry, you can add your additional ALC's from this screen. In the PCC OTC System Information Window click the **'Add'** button on the right, beside the ALC(s) heading. A window will appear for you to type your first 10-digit ALC+2 in the ALC field. Press the tab key and type the Location description. The description is used internally for you to easily identify each location. Click **'OK'**.

Note: Prior to adding your ALC+2's, an Agency Site Profile (ASP) must be submitted to FRB/FMS for each ALC +2.

If more than one ALC+2 will be used, click the **'Add'** button again and repeat the previous step. Continue in this manner until all ALC's have been added. If you need assistance with identifying your ALC's, please call the Customer Service staff at the FRB-C at 1-800-624-1373 or military locations can call DSN 510-428-6824, option 4, option 5, option 4.

8. Your terminal ID should have been retained from the previous version of the POS. If it is not correct, double-click within the field and type your terminal ID.
9. The secondary storage designation should also be retained from the previous version of the POS. If it is not correct, click the **'Browse'** button on the right, besides the Secondary Storage heading. Navigate to the correct drive for your secondary storage (This is usually the flash drive - normally E:\ or D:\ but can also be a PCMCIA card (if a laptop) network drive or a zip drive). You can change the drive by selecting 'Browse'. Daily and archived batches will be stored on this drive. When your selection is complete, click **'OK'**. Your choice for the secondary storage should now be displayed in the field to the immediate right of the 'Secondary Storage'.

Point-Of-Sale Standard Operating Procedures

Select the correct scanner model. Click the down arrow to the right of the field and select your scanner model. Click **'Next'**.

10. 'Start Installation' window will appear. Click **'Next'**.
11. The system will begin performing various tasks such as installing the PCC OTC databases, migrating and detaching the previous database, uninstalling the previous version, and installing Apache FOP.
12. The install will then begin copying files and show a screen which reflects the percentage of completion.
13. The Crystal Reports XI runtime module will be configured.
14. The system configuration will be updated.
15. When complete, a window will appear that states that the software has been successfully installed. Click **'Finish'**. A prompt will appear stating that the system must be restarted to complete the installation. Click the **'OK'** button to restart.
16. Upon a successful installation, three shortcut icons to the POS program (POS –Point-of-Sale, SAT – System Administration, and BM, Batch Manager) will appear on the PC desktop (Figure 2.25). The version number can also be verified by signing on to the SAT, POS, or Batch Manager and clicking **'Help'**, **'About PCC OTC'** from the menu at top of the screen. Login and password data is retained during the upgrade so users can sign on to the system as they did before the upgrade.

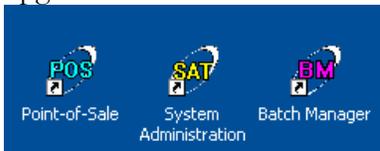


Figure 2.25

17. Before the POS software can be used to create transactions, the Agency's unique data entry screens will need to be downloaded. To download the screens, make certain that the check scanner is connected to the POS computer, sign on the POS, click on **'Tools'**, then **'Check host for'**, then click **'Data Entry Screen Upgrade'**.
18. Remove the PCC OTC R5.1 CD and store in a secure area.

Upgrading from Release 5

These upgrade instructions work for both Windows 2000® and Windows XP® Operating Systems.

1. Make sure that you follow the steps outlined in ‘Steps to follow prior to upgrading to R5.1’ before beginning the upgrade.
2. Insert the PCC OTC POS R5.1 CD into the CDROM drive. The disk should perform an autorun and the program begins the installation process. **Note: Autorun can be disabled on some computers. If the install does not automatically begin, click on ‘Start’, select ‘Run’ then click ‘Browse’. Navigate to the CDROM drive, usually D:\ or E:\. Double-click the file named ‘setup.exe’. From the ‘Run’ window, click ‘OK’.**
3. The screen should indicate that a previous version of PCC OTC has been detected (Figure 2.25.1). Click **‘Yes’** to continue.

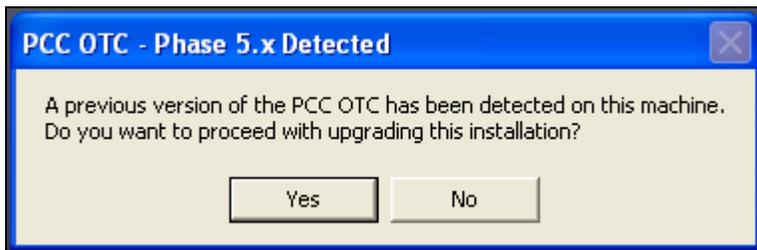


Figure 2.25.1

4. The Paper Check Conversion Over the Counter Welcome screen appears. (Figure 2.25.2). Click **‘Next’**.

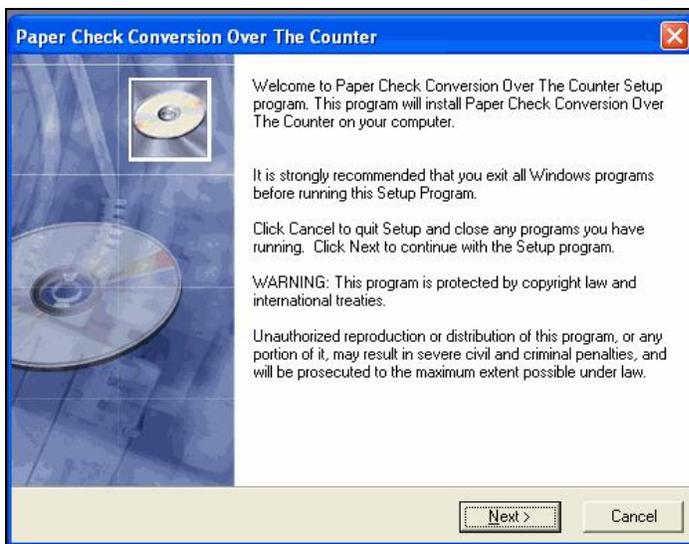


Figure 2.25.2

5. A System Configuration screen will appear as pictured in Figure 2.25.3.

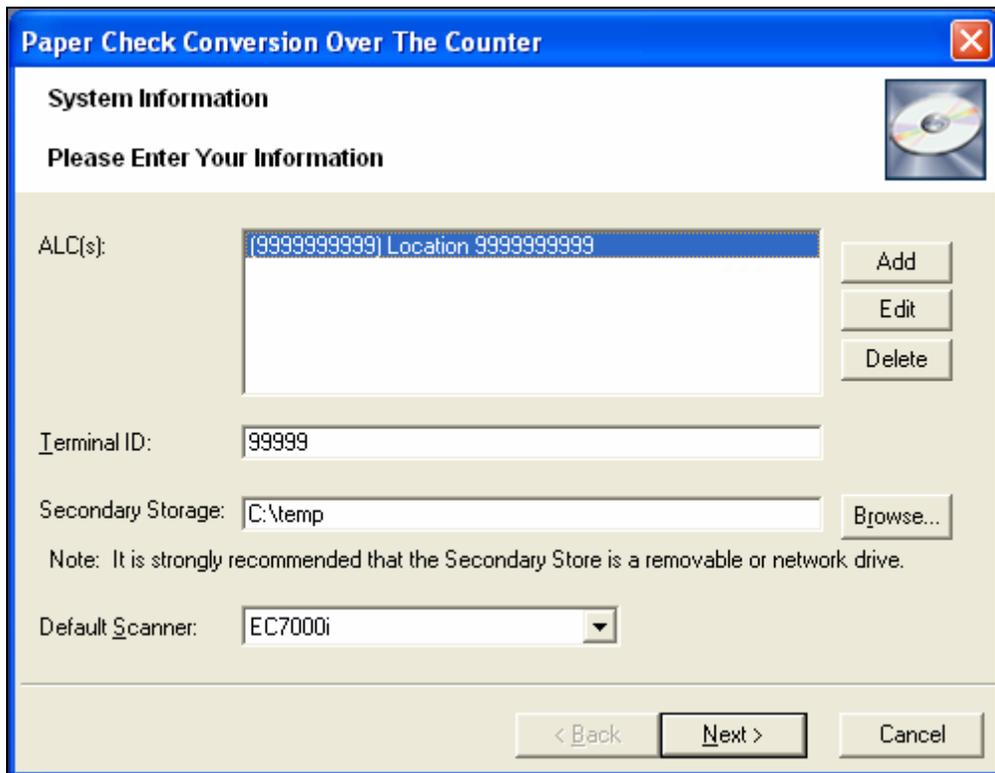


Figure 2.25.3

6. The ALC's that were used in the previous version of the POS will be displayed. If necessary, you can add your additional ALC's from this screen. In the PCC OTC System Information Window click the **'Add'** button on the right, beside the ALC(s) heading. A window will appear for you to type your first 10-digit ALC+2 in the ALC field. Press the tab key and type the Location description. The description is used internally for you to easily identify each location. Click **'OK'**.

Note: Prior to adding your ALC+2's, an Agency Site Profile (ASP) must be submitted to FRB/FMS for each ALC +2.

- If more than one ALC+2 will be used, click the **'Add'** button again and repeat the previous step. Continue in this manner until all ALC's have been added. If you need assistance with identifying your ALC's, please call the Customer Service staff at the FRB-C at 1-800-624-1373 or military locations can call DSN 510-428-6824, option 4, option 5, option 4.
7. Your terminal ID should have been retained from the previous version of the POS. If it is not correct, double-click within the field and type your terminal ID.
8. The secondary storage designation should also be retained from the previous version of the POS. If it is not correct, click the **'Browse'** button on the right, besides the Secondary Storage heading. Navigate to the correct drive for your secondary storage (This drive is usually the flash drive - normally E:\ or D:\ but can also be a PCMCIA card (if a laptop) network drive or a zip drive). You can change the drive by selecting 'Browse'. Daily and archived batches will be stored on this drive. When your selection is complete, click **'OK'**. Your choice for the secondary storage should now be displayed in the field to the immediate right of the 'Secondary Storage'.
9. Select the correct scanner model. Click the down arrow to the right of the field and select your scanner model. Click **'Next'**.
10. 'Start Installation' window will appear. Click **'Next'**.
11. The system will begin performing various tasks such as installing the PCC OTC databases, migrating and uninstalling the previous version.

12. The install will then begin copying files and show a screen which reflects the percentage of completion.
13. The Crystal Reports XI runtime module will be configured.
14. The system configuration will be updated.
15. When complete, a window will appear that states that the software has been successfully installed. Click **'Finish'**. A prompt will appear stating that the system must be restarted to complete the installation. Click the **'OK'** button to restart.
16. Upon a successful installation, three shortcut icons to the POS program (POS –Point-of-Sale, SAT – System Administration, and BM, Batch Manager) will appear on the PC desktop (Figure 2.25.4). The version number can also be verified by signing on to the SAT, POS, or Batch Manager and clicking **'Help'**, **'About PCC OTC'** from the menu at top of the screen. Login and password data is retained during the upgrade so users can sign on to the system as they did before the upgrade.

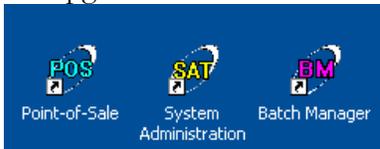


Figure 2.25.4

17. Before the POS software can be used to create transactions, the Agency's unique data entry screens will need to be downloaded. To download the screens, make certain that the check scanner is connected to the POS computer, sign on the POS, click on **'Tools'**, then **'Check host for'**, then click **'Data Entry Screen Upgrade'**.
18. Remove the PCC OTC R5.1 CD and store in a secure area.

POS Application Setup

POS Configuration

To view or edit current POS configurations, the authorized user will need to access the **'File'** menu then select **'Configuration'** within the POS. An authorized user, i.e. an administrator role, has the permission to edit POS settings, including the settings for each of the three tabs beneath the POS configuration, 'Devices', 'Application', and 'Report'.

Devices Configuration Tab

The 'Devices' configuration tab allows a user to change settings for the POS scanner and the optional POS Keypad (Figure 2.26). The left side of the window is used to choose the scanner model your POS system will use. Use the drop down arrow to display the models and click on the appropriate scanner.

Once the scanner model has been chosen, the type of connection must be established. You can choose to use a USB port (EC7000i models only), or the serial by clicking the appropriate radio button. If the Serial Port is chosen, use the drop down arrow to display and choose an available com port.

The 'Franking' option can be used if you have an EC6000i or EC7000i scanner. This option will allow the scanner to automatically stamp your checks with the words 'Electronically Presented' upon completion of each item. This will require the installation of the printer ink roller that comes with the scanner. For details on how to install the ink roller, refer to the Appendix Chapter, 'Franking Acknowledgment Printer Ink Roller' section of this SOP. This option is not available for the EC5000i scanner.

The Enable Keypad box should be checked if you are using the optional Yes/No keypad. Enabling the Keypad allows the check writer to confirm the transaction dollar amount. The Keypad feature is disabled while the application operates in the Person Not Present mode. Refer to the Yes/No Keypad section earlier in this chapter for more information on the Yes/No Keypad.

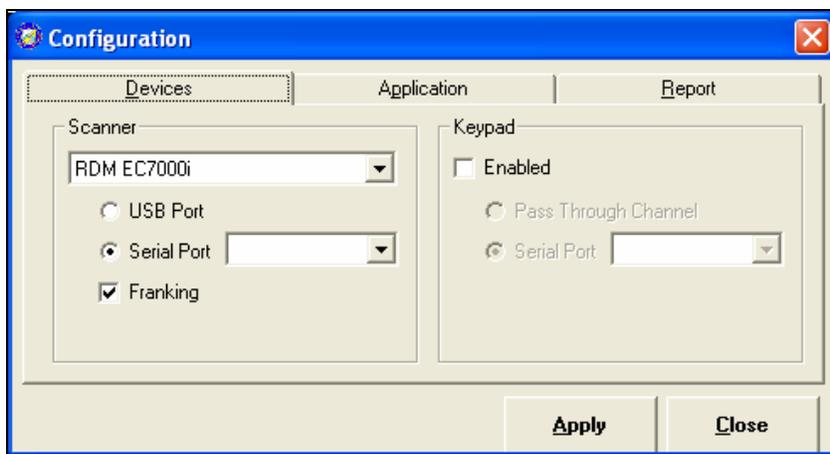


Figure 2.26

Application Tab

The Application tab is used to set up preferences within the POS application (Figure 2.27).

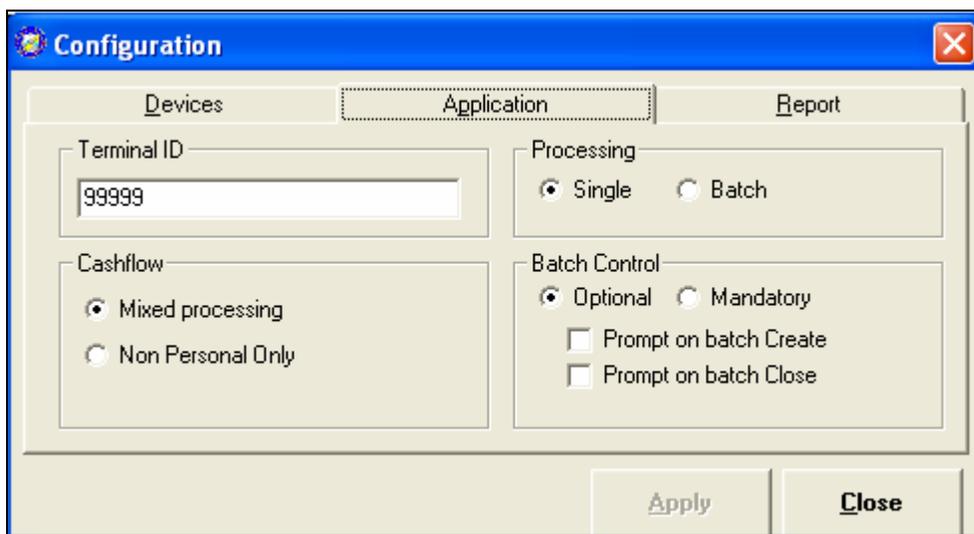


Figure 2.27

Terminal ID

The Terminal ID is provided by FRB-C prior to installation and entered during the Installation process. It should not be changed, unless the PC is being used as a backup PC for batch recovery. The Terminal ID in Figure 2.26 is only an example. Refer to *Batch Recovery* in the *Troubleshooting* section for more information. To change the terminal ID, click in the field and type the terminal ID. Call FRB-C Customer Service if value is unknown.

Cashflow

The Cashflow fields are used to specify whether your POS system will allow mixed processing, which represents both personal and non personal items, or only non personal items. Click the appropriate radio button to choose Mixed Processing or Non Personal Only.

Processing

This field establishes whether your POS will use Single mode or Batch mode processing. The Single processing mode allows the user to scan one check at a time. Batch processing mode allows a group of checks to be scanned all at once, prior to the data entry for the items. This option is scanner dependent. It cannot be setup if you are using the EC5000i scanner. For complete information on processing mode, please refer to the *Daily Processing* chapter of this SOP. Click the appropriate radio button to choose the processing mode.

Batch Control

The Batch Control fields are used to setup the POS balancing tool. Batch control can be used to perform balancing on the number of checks that have been scanned, and ensure their respective dollar amounts have been accurately keyed. The Batch Control options are setup for each ALC+2 for which an Agency

Point-Of-Sale Standard Operating Procedures

processes. If it is used, the feature applies to both processing modes, i.e., Single and Batch. Listed below are the various options and their functions to consider when setting up the Batch Control fields:

Disabled

If the Batch Control feature is disabled, the POS system will not prompt the operator to key in the batch totals at any time. To completely disable the Batch Control feature, click the options as circled below in Figure 2.27.1:

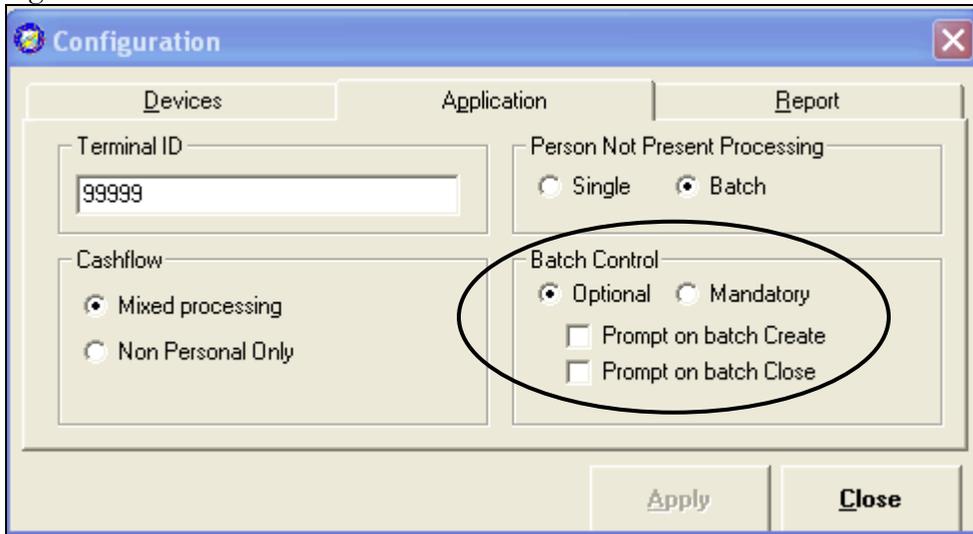


Figure 2.27.1

When Configuration is complete, click **'Apply'**, then click **'Close'**.

Optional

Administrators can opt to make batch control optional upon batch create, batch close, or both.

Optional on Batch Create

When the configuration settings are set to be optional on batch create only, as displayed in Figure 2.27.2, upon batch create the operator can choose to:

1. Type the actual batch control total amount and count.
2. Defer the batch control by clicking the 'Defer' button. This will bypass the batch control function.
3. Leave the batch control total amount and count at zeroes.

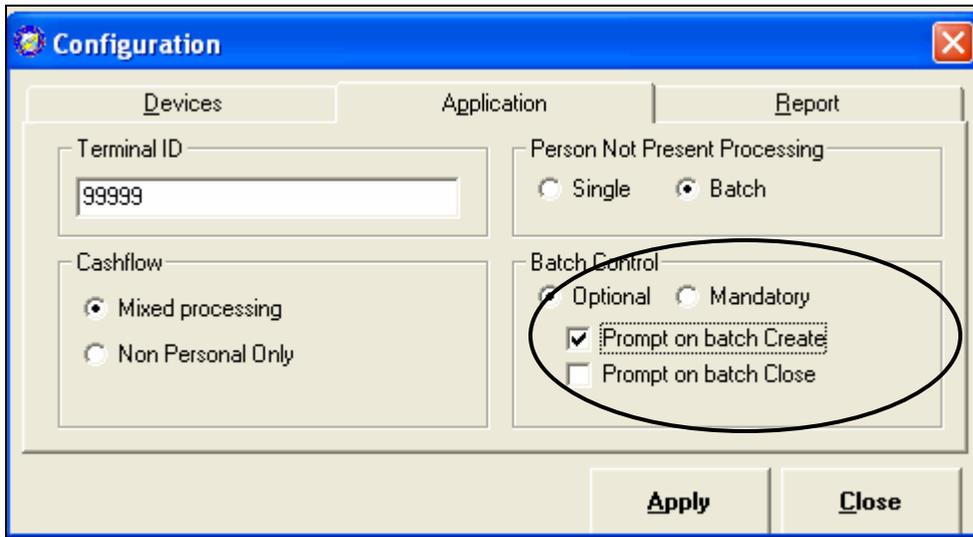


Figure 2.27.2

The batch control screen will not appear upon batch close. When Configuration is complete, click **'Apply'**, then click **'Close'**.

Optional at Batch Close Only

When the configuration settings are set to be optional on batch close only, as displayed in Figure 2.27.3, the operator will not be prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen will appear. The operator can choose to:

1. Type the actual batch control total amount and count.
2. Leave the batch control total amount and count at zeroes.

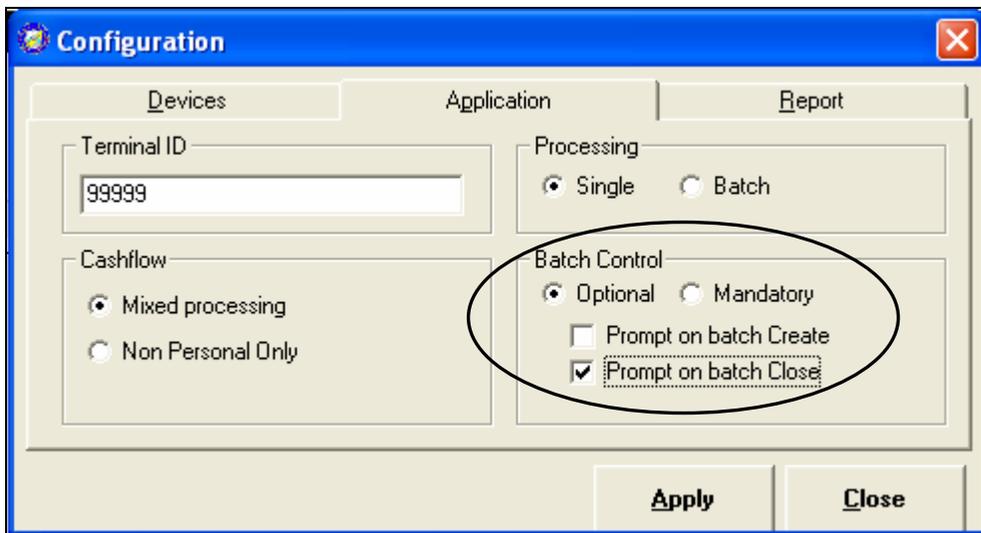


Figure 2.27.3

When Configuration is complete, click **'Apply'**, then click **'Close'**.

Point-Of-Sale Standard Operating Procedures

Optional at Batch Create and Batch Close

When the configuration settings are set to optional on both batch create and batch close, as displayed in Figure 2.27.4, the operator will be prompted with a batch control screen at batch create and batch close. The operator can choose to:

1. Type the actual batch control total amount and count at batch create.
2. Leave the batch control total amount and count at zeroes at batch create.
3. Defer the batch control by clicking the **'Defer'** button at batch create.

Upon batch close, the batch control screen will once again appear. The operator can choose to:

1. Type the actual batch control total amount and count.
2. Leave the batch control total amount and count at zeroes.

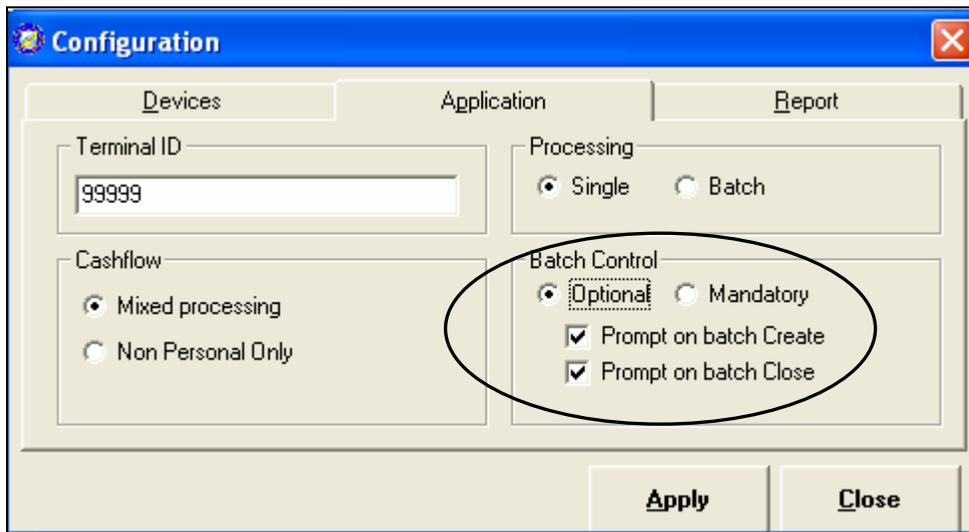


Figure 2.27.4

When Configuration is complete, click **'Apply'**, then click **'Close'**.

Mandatory

If the Batch Control feature is set to mandatory, then the POS will prompt for batch control totals as determined by your setup. The security administrator can set up the configuration to prompt for batch totals at either the start of the batch, at batch close, or both.

Mandatory at Batch Create Only

When the configuration settings are set to be mandatory on batch create only, as displayed in Figure 2.27.5, the operator:

1. Must type the actual batch control total amount and count.
2. Cannot defer the batch control. The 'Defer' button will not be available.
3. Cannot leave the batch control total amount and count at zeroes.

The batch control screen will not appear upon batch close.

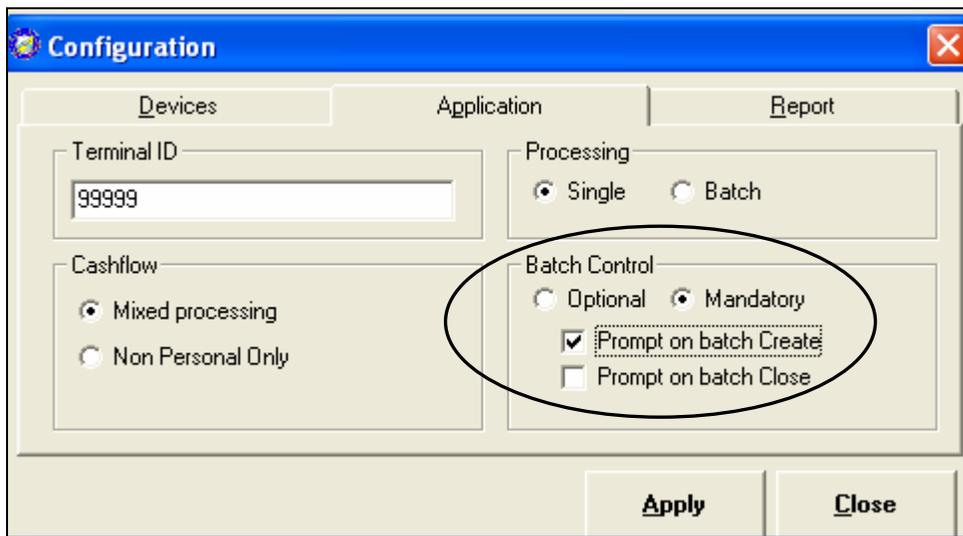


Figure 2.27.5

When Configuration is complete, click **'Apply'**, then click **'Close'**.

Point-Of-Sale Standard Operating Procedures

Mandatory at Batch Close Only

When the configuration settings are set to be mandatory on batch close only, as displayed in Figure 2.27.6, the operator will not be prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen will appear. The operator:

1. Must type the actual batch control total amount and count.
2. Cannot leave the batch control total amount and count at zeroes.

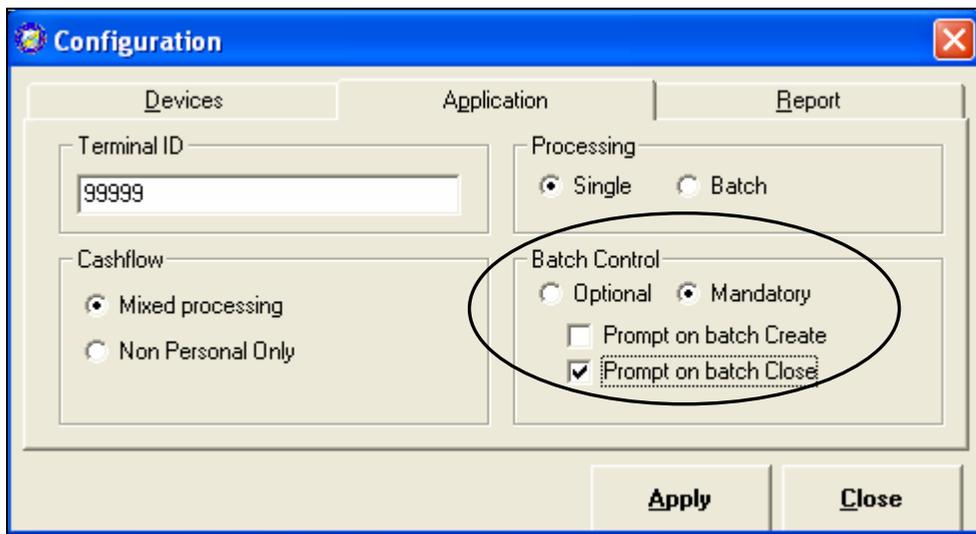


Figure 2.27.6

When Configuration is complete, click **'Apply'**, then click **'Close'**

Mandatory at Batch Create and Batch Close

When the configuration settings are set to mandatory on both batch create and batch close, as displayed in Figure 2.27.7, the operator will be prompted with a batch control screen at batch create and at batch close. The operator can choose to:

1. Type the actual batch control total amount and count at batch create.
2. Leave the batch control total amount and count at zeroes at batch create.
3. Defer the batch control by clicking the **'Defer'** button at batch create.

Upon batch close, the batch control screen will once again appear. The operator:

1. Must type the actual batch control total amount and count.
2. Cannot leave the batch control total amount and count at zeroes.

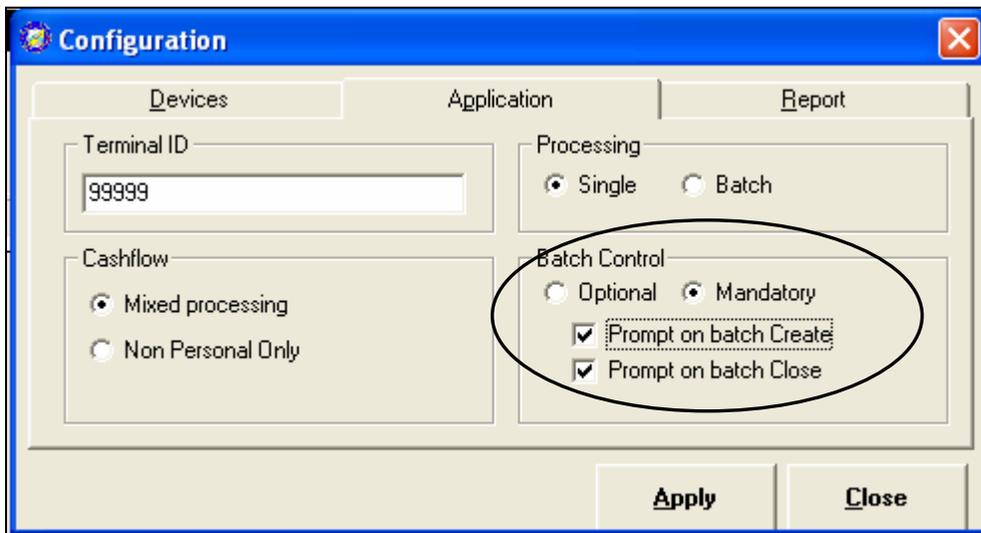


Figure 2.27.7

When Configuration is complete, click **'Apply'**, then click **'Close'**.

Note: Batch control will not be required on batches that contain only voided items.

ReportsTab

PCC OTC will use the default printer assigned in the operating system if one is not specified on this screen. If your Windows default printer is not the printer that you wish your PCC OTC report to print, you can specify another printer. Since it is mandatory to print the batch list as part of the batch closing process, this screen allows you to choose which of your printers to setup as the POS default printer. (Figure 2.28)

To install a new printer in your operating system, use the 'Printers' option in the Windows® operating system.

Once a printer is installed on the computer's operating system, a POS printer can be setup from the drop down menu, under the 'Report' tab within the configuration window. This sets the default printer for the POS application, however, there are instances while using the POS when the user will still have the option to choose another printer if so desired. The POS printer can be set up to be a different printer from the SAT printer.

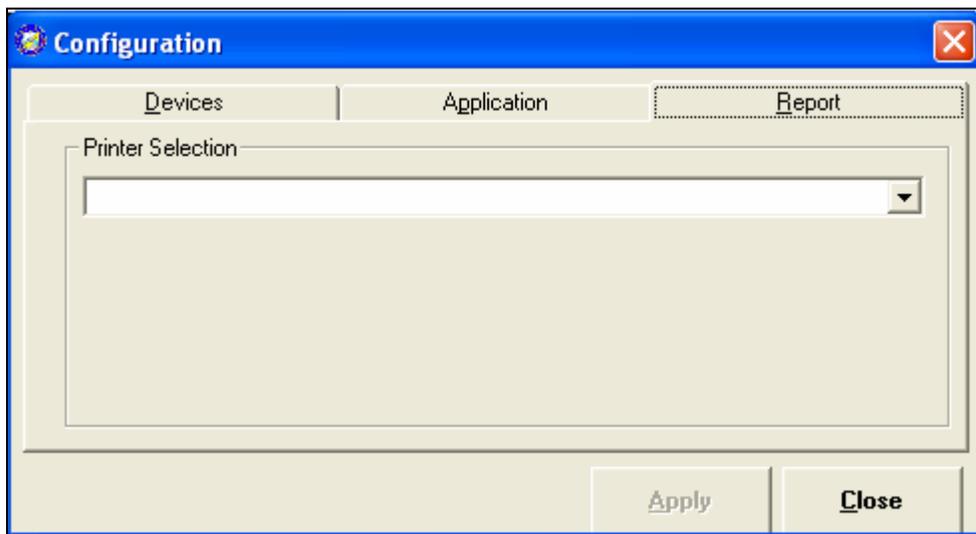


Figure 2.28

To setup a default POS Printer:

1. Sign on to the POS
2. Click on '**File**', '**Configuration**', then click the 'Reports' tab.
3. Use the drop down arrow to the right of the printer Selection field to display a listing of the printers that are installed on your computer. This includes both local and LAN printers.
4. Click on the printer that should be set up as the POS default printer, then click '**Apply**'.
5. Click '**Close**' when finished.

About the POS

Help

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

1. Login to the POS application.
2. Click **'Help'**, and **'About PCC OTC-Point-of-Sale'**.

The screen will display the version number for the POS (circled below in Figure 2.29). This information may be requested by the FRBC or the Treasury for troubleshooting purposes.

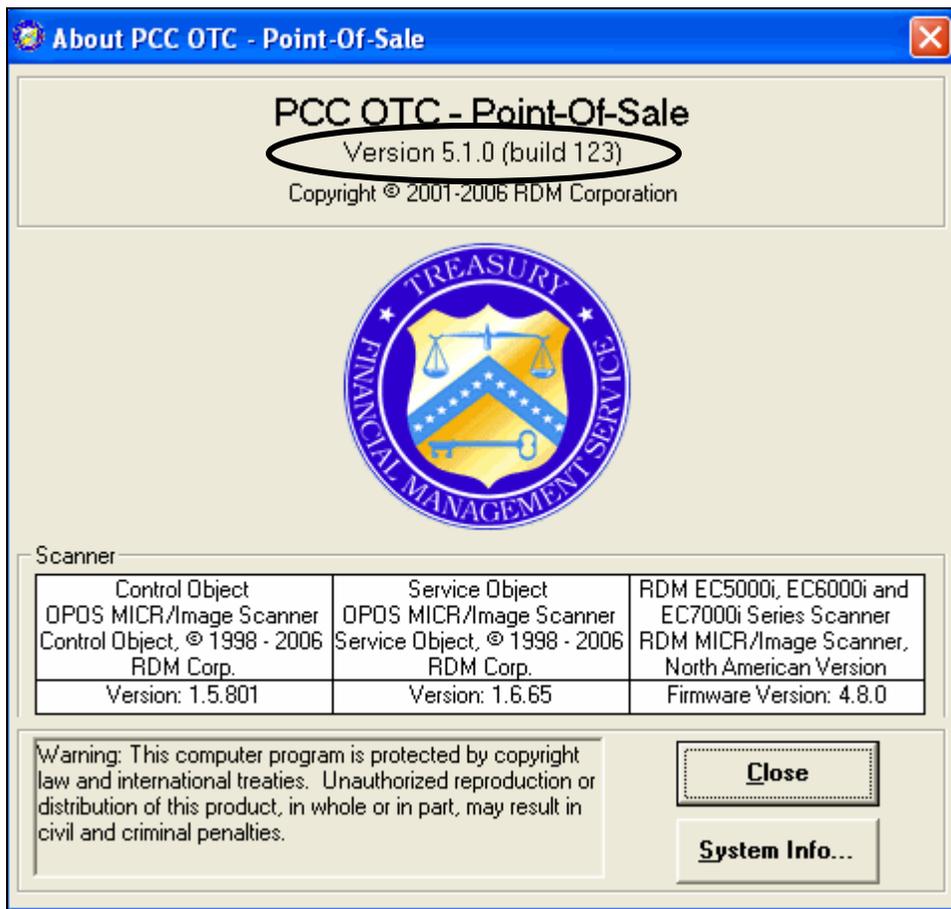


Figure 2.29

3. 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 2.30)

Point-Of-Sale Standard Operating Procedures

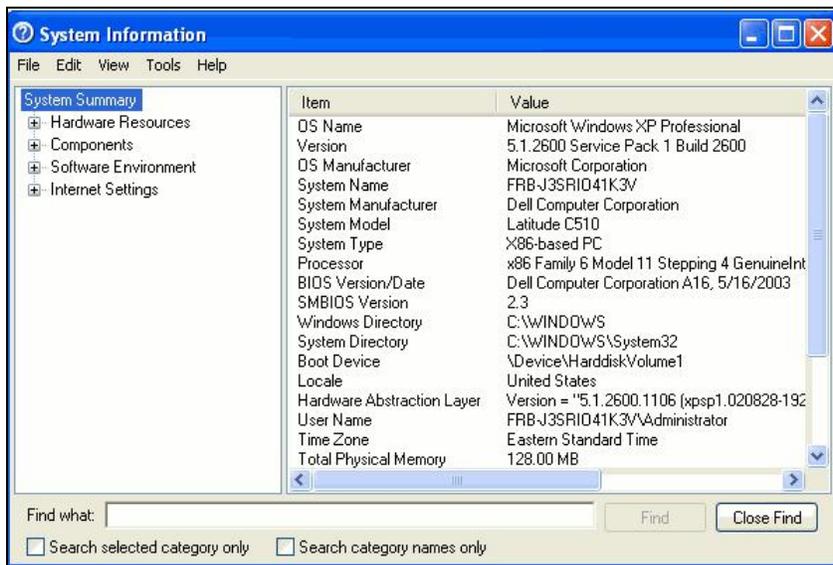


Figure 2.30

Help – other menu options

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

- Contents – Displays a menu of POS system messages as displayed below in Figure 2.31. 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 2.32.

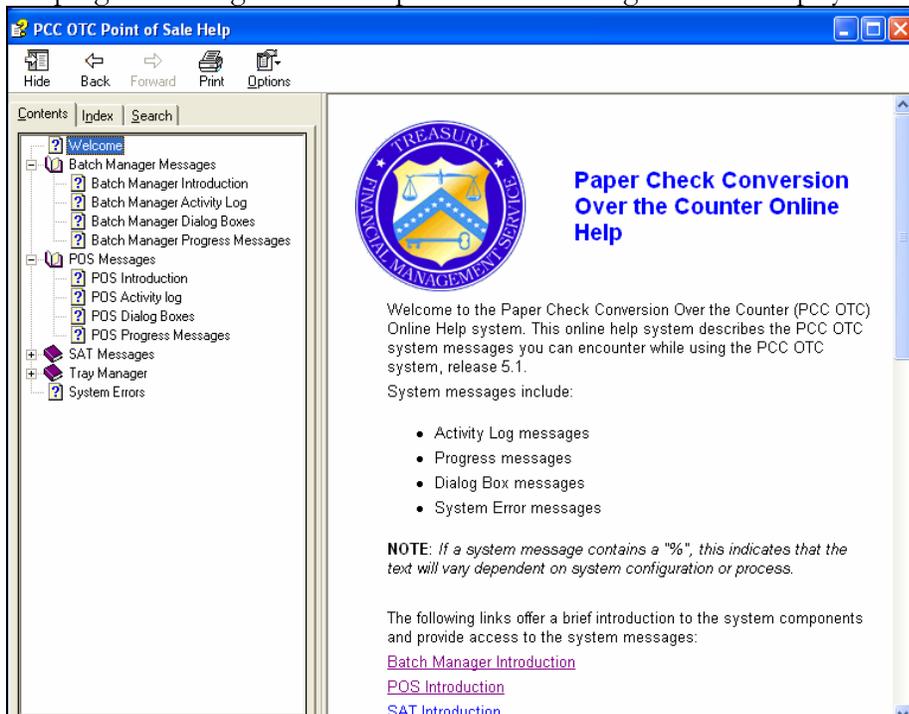


Figure 2.31

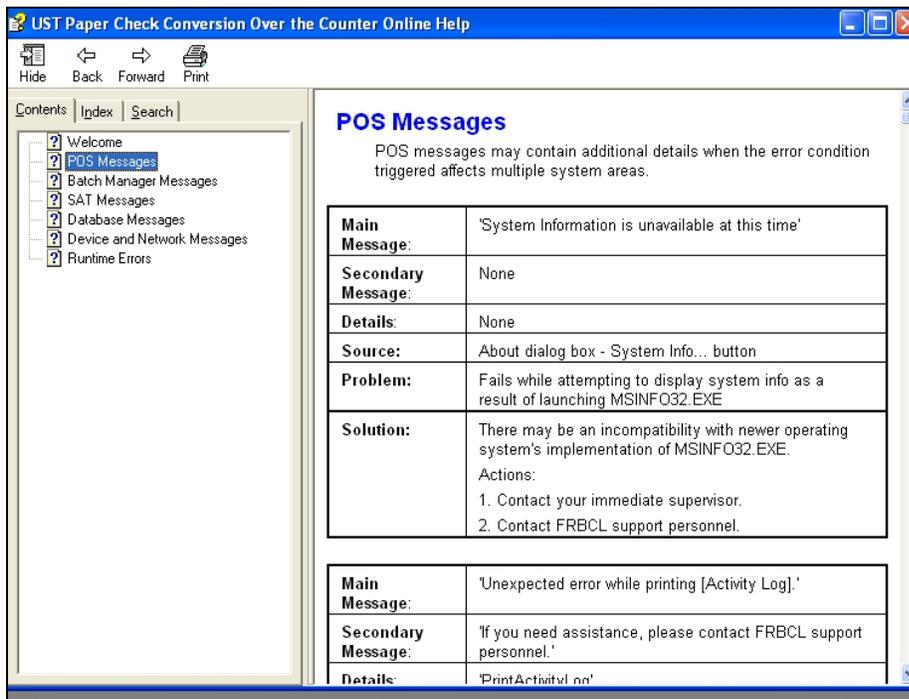


Figure 2.32

- 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 2.33)

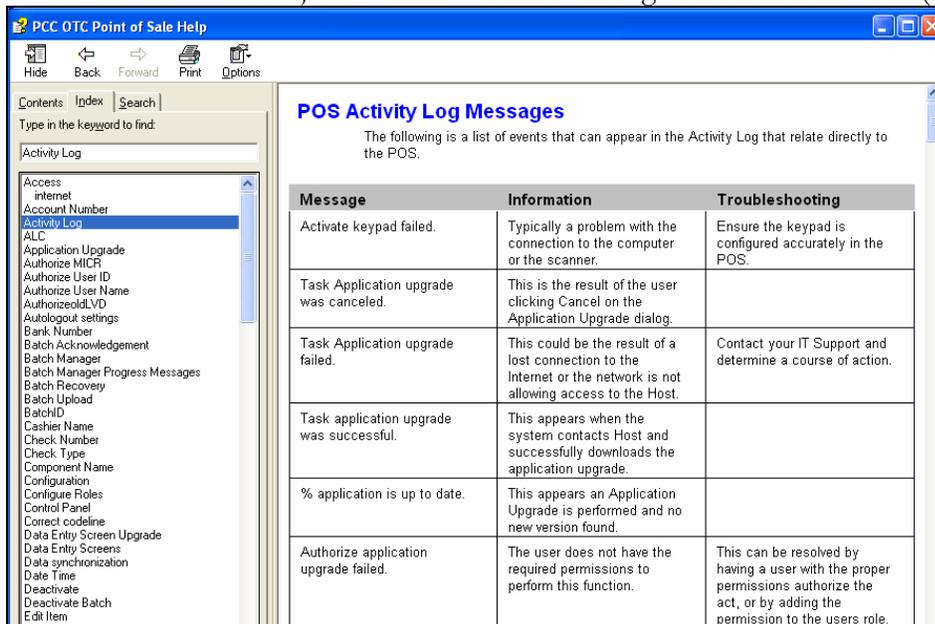


Figure 2.33

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 2.34.

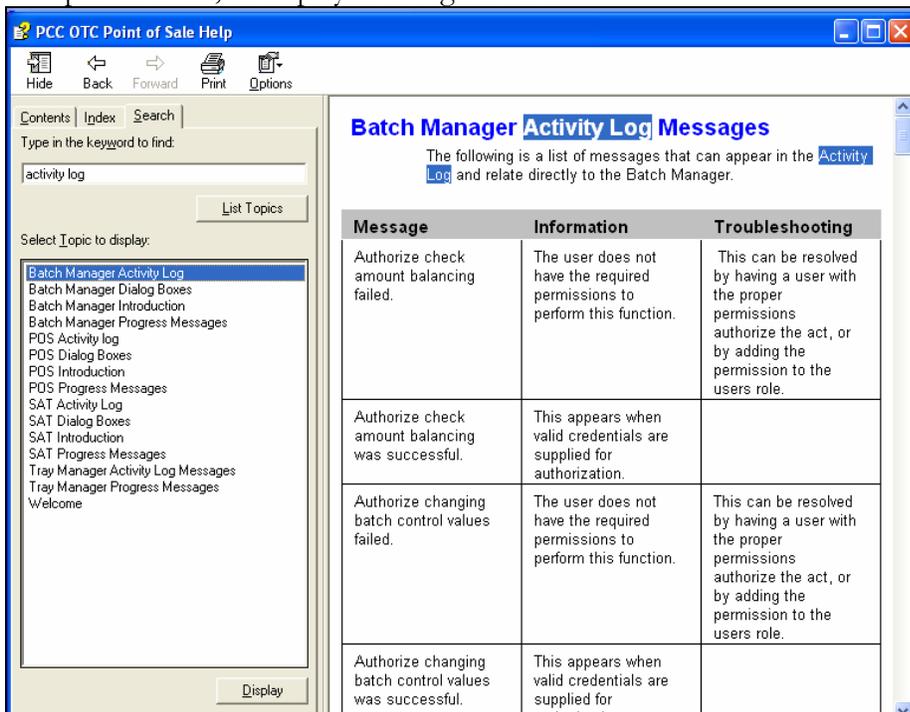


Figure 2.34

U. S. Department of the Treasury

Financial Management Service

Paper Check Conversion Over the Counter
(PCC OTC)



Standard Operating Procedures

System Administration Tool

Release 5.1

June, 2006

(Revised 2/9/07)

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Table of Contents

POS SAT – SYSTEM ADMINISTRATION TOOL	5
What is the SAT?	5
The Built-In SAT Administrative Login name	6
Accessing the Application	7
First Time Users.....	7
Changing a Password.....	8
Logging out of the SAT Application	8
Exiting the SAT Application	8
System Configuration.....	9
General Tab	9
LVD Usage - set the options for using the LVD, or turn off the LVD function.....	9
Printer Selection – select SAT default printer	9
Secondary Storage – Select the drive to be used for backup.....	10
Login – various login settings –	10
Batch – set the default days for batch retention	10
Activity Log – set the length of time the log is retained.	11
Data Entry Screens Tab	11
New – Add new ALC+2’s.....	11
Set Default ALC+2	12
Delete – allows the deletion of the ALC+2.....	12
Receipt Printing – setup whether or not to use receipt printing function	12
Tasks Tab.....	13
Retry Count and Retry Interval.....	13
Use Proxy Server	14
Task Selection – Automate tasks	15
Application upgrade.....	15
Batch acknowledgement	15
Batch upload	15
Data Entry Screen Update.....	15
LVD Download.....	16
User Administration.....	17
Adding a New User.....	19
Account Status	20
Edit User	21
Unlock	22
Reset Password	24
Activate or Deactivate User Account.....	25
To Deactivate a user’s account	25
To Activate a user’s account	27
Delete Users.....	29
Configure System Roles	30
Permissions	31
Predefined System Roles	32
Adding System Roles.....	33
Modify Roles	34
Deleting System Roles.....	34
Print User Information	35

Point-Of-Sale Standard Operating Procedures

Other SAT Report Preview Functions	36
Export Report.....	36
Page through a Report.....	37
Page Display	37
Search Text	37
Increase/Decrease Screen Display	38
Exit Report Preview.....	38
System Activity Log	39
Additional Functionality	42
To print the activity log:	43
To export the Activity Log:	43
Batch Recovery.....	44
Local Verification Database (LVD) Reset.....	47
Help – About PCC OTC - SAT	48
Help – other menu options	49
POS System Errors	52

POS SAT – System Administration Tool

What is the SAT?

The System Administration Tool or SAT is used by POC's (Point of Contact) to setup configurations for the POS. The PCC OTC POC (Point-of Contact) can also use this tool to set up/change/delete users and their permissions, set certain defaults within the POS and other administrative duties. Once setup is complete, this module is typically not used on a daily basis.

The SAT application consists of the following components: (Figure 3.1)

- Configuration
- Users
- Activity Log
- Batch Recovery
- Reset LVD (Optional – may be made inactive if not used)

A complete description of each of these components can be found later in this chapter.

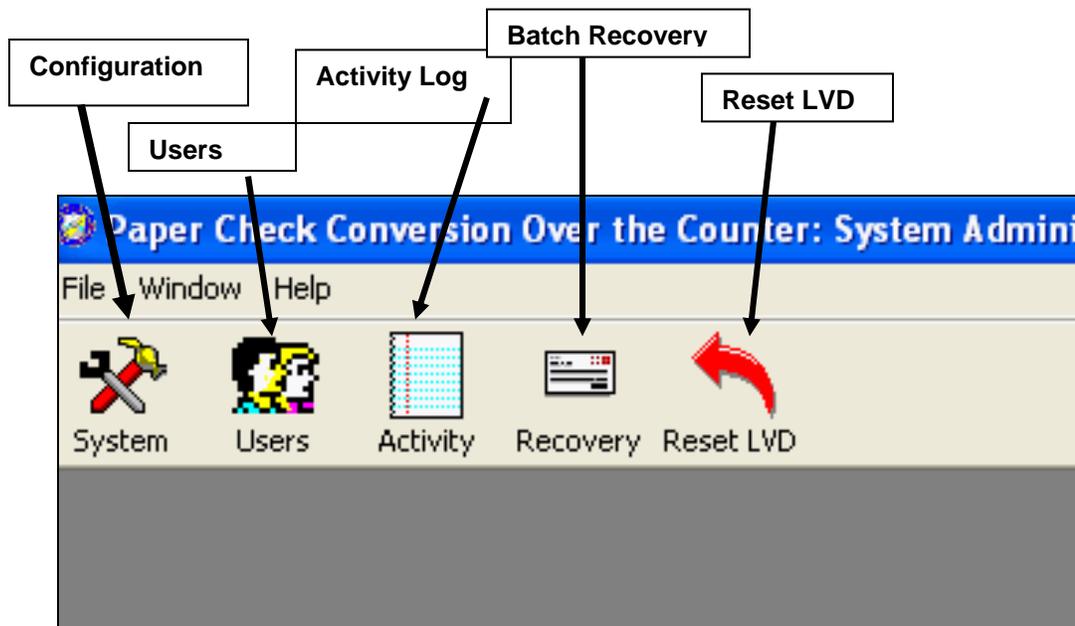


Figure 3.1

Note: The SAT steps described in this chapter need to be performed on each computer that is setup for PCC OTC processing. Since the application is not networked, all users will need to remember passwords for each computer.

SAT Access

Only an authorized System Administrator, IT Support, designated Point of Contact(s) (POC), or someone with the 'administrator' role should be accessing the POS SAT application. For the initial installation, the Deployment Specialist (i.e. FRB-C, Treasury Representative, or designated agency personnel) will launch the POS SAT icon to complete security and application configuration setup, or assist with this step. If the Deployment Specialist is not present at the location site, call FRB-C at 800-624-1373 or 216-579-2112 for assistance. Authorized users will be issued Login names and temporary passwords. Upon initial login, the password must be changed to a unique password and known only to that user.

The Built-In SAT Administrative Login name

The SAT comes with a built-in administrative login. This login name will be given to people who are authorized to access the SAT by the Deployment Specialist at the FRB-C or FMS. The password for the administrative login will need to be changed upon initial login. This login and password should only be known to those who share administrative rights for the PCC OTC software. It does not replace a person's own login and password and cannot be deleted from the system. Should this login name become locked because of three unsuccessful login attempts, the only way to recover the administration login is to uninstall and to reinstall the software. This is a security safeguard. For more information, please refer to *Appendix N* of this SOP.

Note: Once the administrative password has been changed, it should be written down and locked up for future use. If, at any time, the POS SAT system cannot be accessed via the administrative logon because the password is not known, the only way to recover the administrative password is to uninstall and reinstall the POS software. Keeping track (and tight security) of the administrative password is crucial.

Accessing the Application



The SAT icon representing the SAT application 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:

Double click the SAT icon on the desktop.

1. The login window opens. (Figure 3.3)



Figure 3.3

2. Type your Login name in the Login field.
3. In the Password box, type your password.
4. Click OK.
5. 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 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.

Note: *New login names must contain a minimum of 6 characters. Passwords must contain a minimum of 8 alpha/numeric characters. Existing users (those who used a previous version of the POS) will find that their login name can be less than six characters because the system has grandfathered in the older login names.*

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: *When the password is changed in the SAT, it is also changed in the POS and Batch Manager.*

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 3.4)
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'**.
7. The Change Password dialog window closes and access is provided to the application.



Figure 3.4

Logging out of the SAT Application

To log out of the application, select **'File'** from the menu at the top of the main SAT screen, then choose **'Logout'**. The Login window appears for another user to login.

Exiting the SAT Application

To exit the application:

Click the **'X'** at the upper right of the screen or select **'File'** from the menu at the top of the screen. Select **'Exit'** from the dropdown menu. The application closes and your computer returns to the desktop.

System Configuration

The system configuration module is used to configure the POS system to operate in an environment that fits your location's needs. Only authorized users can configure the system. The System Configuration contains three tabs: General, Data Entry Screens, and Tasks.



Select the System Configuration icon from the main SAT screen, or click 'File', 'Configuration...' from the menu at the top of the screen. The following window will appear: (Figure 3.5)

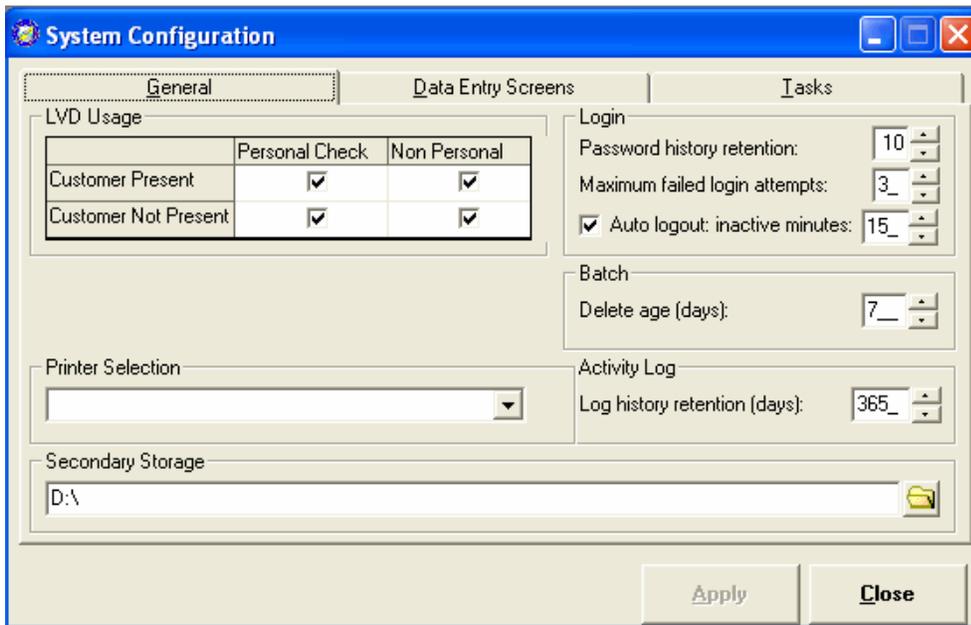


Figure 3.5

There are three tabs on this screen and they are described below.

Note: All configurations settings described below are per computer. Each PCC OTC computer must have configuration settings individually applied.

General Tab

LVD Usage - set the options for using the LVD, or turn off the LVD function.

Select the appropriate choice for which the system should perform check validation. Choices in this section can be set for Personal and/or Non Personal checks and for Customer Present and/or Customer Not Present. Using the LVD (Local Verification Database) is an optional feature. If none of the options are checked, the LVD will not be used.

Printer Selection – select SAT default printer

Use this section to specify the default printer for the SAT. The SAT printer can be setup to be a different printer from the one used for the POS if so required. If the printer selection is left blank, the system will use the Windows default printer. A font for your printouts can also be chosen by clicking on the 'Print' button and choosing an

Point-Of-Sale Standard Operating Procedures

alternate font. The font name and font sample is displayed to the right of the font button.

Secondary Storage – Select the drive to be used for backup

The secondary storage is used to save a temporary backup copy of batches gathered by the application. It is recommended that the secondary storage be on a removable or different network drive from the working POS storage. The ‘Secondary storage’ field was configured during installation. The drive displayed should be the same drive that was selected during installation. If it is not correct, this field can be used to navigate to the correct drive specification to change the drive reflected in the secondary storage field. Refer to the ‘New Installation’ section in the *Installation and Configuration* chapter of this SOP, if needed. If the Secondary Image Storage fails while in the POS application, refer to the *Troubleshooting* chapter of this SOP. To change the secondary storage, click the folder icon to the right of the field and choose the correct drive from the ‘browse for folder’ window.

Note: *If the secondary storage path is changed in the middle of processing batches, the system will not be able to find those batches and serious problems can occur.*

Also, *If the secondary storage location exists outside of the RDM directory (as is the recommendation), it will not be removed during an uninstall.*

Login – various login settings – This section contains configurable settings that apply to logins for users. The ‘**Password History Retention**’ field configures the system to remember a set number of previously used passwords and disallows their reuse. The default is 10 but it can be changed to a different number by an authorized user. The number can be typed, or the up/down arrow buttons to the right of the field can be used to increase or decrease the number.

The ‘**Maximum Failed Login Attempts**’ field is used to specify how many bad login attempts a user can have before they become suspended in the system. Once a user has become suspended, he/she must seek the help of an authorized person to have their password reset. The default number of failed login attempts is 3 but this number can be changed by an authorized user up to a maximum of 10. The number can be typed, or the up/down arrow buttons to the right of the field can be used to increase or decrease the number.

Note: *Upon installation, the agency POC (Point of Contact) should confirm that all settings are in compliance with the agency’s guidelines.*

The ‘**Auto Logout: inactive minutes**’ setting is used to set the number of minutes of inactivity before the system will log off the user. The default is 15 minutes but this number can be changed by an authorized user. The number can be typed, or the up/down arrow buttons to the right of the field can be used to increase or decrease the number.

Batch – set the default days for batch retention

This section allows an authorized user to set the number of days before acknowledged or deactivated batches are deleted from the system. The default setting is 7 calendar days but this number can be changed by an authorized user. The count begins when the batch acknowledgement is received at the POS computer from our system, or the batch is manually deactivated. The number can be typed, or the up/down arrow buttons to the right of the field can be used to increase or decrease the number.

Note: *Setting the default to a high number will use more disk space.*

Activity Log – set the length of time the log is retained.

The Log History Retention setting defines the length of time the system activity log is retained in days. It is recommended that a minimum of one year (365 days) of activity be maintained and it is also the default setting.

If changes have been made to any fields on the General tab, click the ‘Apply’ button. The system will respond with the message that the POS application will have to be restarted to use these changes.

Note: the POS should always be closed prior to making changes in the SAT.

Data Entry Screens Tab

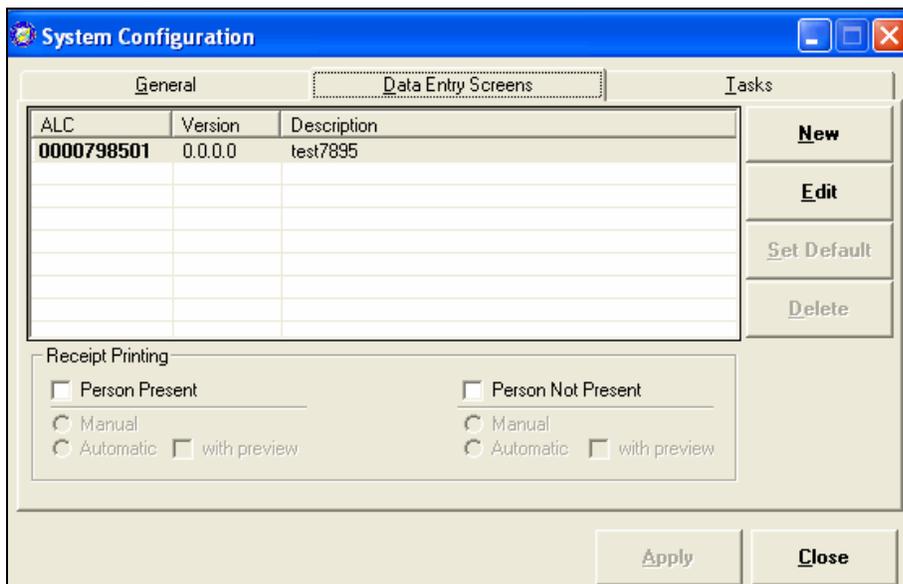


Figure 3.6

The purpose of the Data Entry Screens tab is to configure and manage the POS with the number of ALC+2’s that will be used by the POS computer and configure receipt printing. (See Figure 3.6) This feature would be used by Agencies who provide services on behalf of other ALC’s.

New – Add new ALC+2’s

Clicking the ‘New’ button opens a window that allows a new ALC+2 to be added. The ALC+2 and description need to be typed. The description field is an internal field intended only as a means of identifying the ALC+2. It is mandatory only when adding the first ALC +2. Additional ALC+2’s will not require a description but it is recommended. Adding the description makes it easier for the operator to identify the ALC+2 during data entry. The version column will list the version number of the most recent data entry screen upgrades downloaded from ELVIS (see tasks tab, task selection section for information on downloading data entry screen upgrades).

Note: An Agency Participation Agreement (APA) and an Agency Site Profile (ASP) must be submitted to participate in the PCC OTC program. Do not add an ALC+2 until approval has been granted for that ALC+2 from the FRB-C or FMS. Please advise FRB-C or FMS if you consolidate multiple locations into a single location.

Point-Of-Sale Standard Operating Procedures

Edit – edit the ALC+2's description

The data entry screens listing may be edited by clicking the **'Edit'** button. This allows the user to change the description of a location.

Set Default ALC+2

The 'Set Default' button allows an authorized user to choose which ALC+2 should be setup as the owner of the POS terminal. When the POS is accessed for the first time, the default ALC+2 will be defaulted to the data entry screen. Once another ALC+2 is chosen for a transaction, that ALC+2 will remain active as the processing ALC+2 until the operator chooses another ALC+2. Users choose the ALC+2 on the data entry screen from a multiple choice field, based on the transaction.

Delete – allows the deletion of the ALC+2

The 'Delete' button allows an authorized user to delete the ALC+2 by clicking on the ALC+2 to be deleted, then clicking the **'Delete'** button. It is recommended that ALC+2's be deleted only after all activity for that ALC+2 have been sent.

Note: The default ALC+2 cannot be deleted. If it is necessary to delete an ALC+2 that has been designated as the default ALC+2, change the default to another ALC+2 then delete the former default ALC+2.

Receipt Printing – setup whether or not to use receipt printing function

The bottom portion of this screen is used to setup receipt printing. Receipts can be created and printed to be handed to a person who is cashing a check or making a payment in person, or to be mailed for payments received via mail (person not present). These receipts are generated during the actual transaction, but default settings for those receipts are setup here. Leaving both the 'Person Present' and 'Person Not Present' fields unchecked will result in the disabling of this option. If receipts are desired, click to check the appropriate box(es). The choices of 'Manual', 'Automatic' or 'With preview' can then be chosen. Choosing 'Manual' will require that the operator take additional steps to print the receipt. Choosing 'Automatic' results in a receipt printout each time a transaction has been entered, and choosing the 'With Preview' option will allow the operator to see the receipt on the screen prior to the generation of the printout. When the 'Person Present' and/or 'Person Not Present' fields are clicked, the default setting is manual.

Note: Receipts will be printed on a full sheet of paper.

When all changes have been made to the Data Entry Screens window, click the 'Apply' button. The system responds with the message that the POS application will have to be restarted to use these changes.

Tasks Tab

The fields should be set exactly as displayed below (Figure 3.7) (URL and values are case-sensitive) and should only be changed with the direction and guidance of the FRB-C or the Treasury. **Upon deployment or re-installation, these settings will be confirmed. A change to any of these settings will prevent a successful transmission of your batches.**

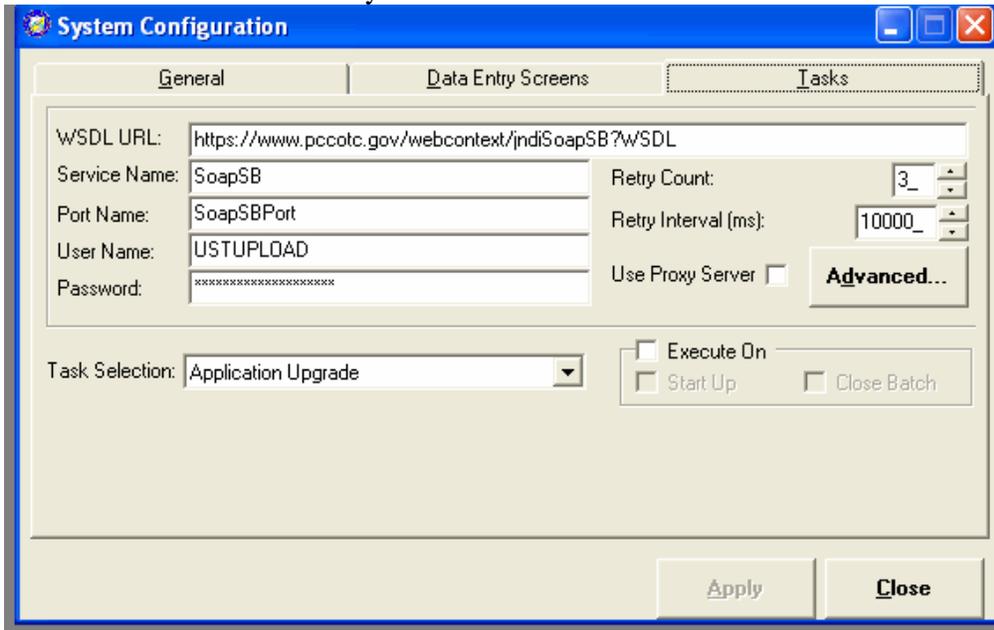


Figure 3.7

Note: The 'Password' field on this screen should not be changed unless under the direction and guidance of the FRB-C or FMS. If the Deployment Specialist is not present, call PCC OTC Customer Support at 800-624-1373 or 216-579-2112 or DSN 510-428-6824, option 5, option 4, option 5.

Retry Count and Retry Interval

These fields are defaulted to work with our ELVIS system as pictured in Figure 3.7. The defaults are set to the 'Retry Count' of 3 and the 'Retry Interval' of 10000 when the POS software is installed. Do not change these settings unless instructed to by FRB-C or FMS.

Use Proxy Server

This field is available for agencies to insert their internal proxy settings if proxy servers are used to grant access to the internet. To use the Proxy Server options, click to check the **'Use Proxy Server'** box then click the **'Advanced'** button to the right of the box. The following fields are available for setup: (Figure 3.7.1)

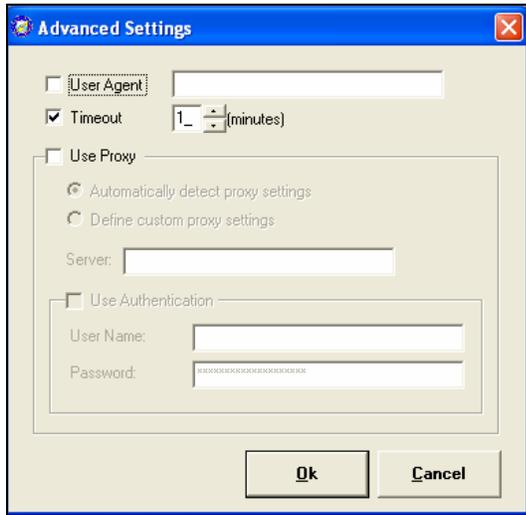


Figure 3.7.1

User Agent – Click the checkbox to activate the field. Type the name of the User Agent.

Timeout – Click the checkbox to activate the field. Type the number of minutes the application waits for a response from the host before it times out (for all communications). The default setting is 1 minute with a maximum setting of 30 minutes.

Note: *Work with your IT staff if you need more information regarding your proxy servers.*

Use Proxy – Click the checkbox to activate the fields beneath. Choose one of the two options:

- Automatically detect proxy settings. Click the check box if you want the system to automatically detect proxy settings.
- Define custom proxy settings. Click the check box if you want to define the proxy setting manually. You will need to type the name of the proxy server
- Use Authentication. Click the check box if the application needs a user name and password to connect to the proxy server. When this choice is used, a user name and password is required. These will be needed to access the internet.

Note: *The POS software is proxy aware. If your agency is proxy aware, you will need to enable the use of the Proxy Server by placing a check in the box for 'Use Proxy Server'. The associated proxy server's IP address and/or port numbers need to be specified in the 'Server' field. Any required user authentication parameters needed for internet access need to be set in the 'Use Authentication' field. Your central network infrastructure staff can assist you by providing the required values needed for this screen. Use of this screen will depend upon your firewall rules. Contact your Firewall Administrator for further information.*

Task Selection – Automate tasks

The bottom portion of the screen includes Task Selection. This field is used to automate certain tasks that are performed by the POS computer. Using the dropdown arrow to the right of the field, the choices are:

Application upgrade – POS allows for automatic downloads of application upgrades to the POS computer including firmware. Once the upgrade is transmitted to the POS, an authorized user will need to execute the upgrade. The download can be setup to require that upgrades to the POS application be performed at either ‘Start up’ or ‘Close Batch’ by clicking to check the appropriate box. The default is set so upgrades will download on ‘Close Batch’. It is vitally important to ensure that at least one box is checked.

Note: Firewalls can block the download of updates or files sent with an .exe extension. Your firewall may need to allow anything from our IP in order to receive the upgrade. If application downloads are not practical or permissible for your Agency, a CD with the upgrade can be sent via mail, or the upgrade can be placed on a server on your end and POS terminals can access the upgrade from that server.

Batch acknowledgement – A batch acknowledgement is sent to the POS computer once a batch is received and processed by the ELVIS system. Larger batches can take longer for our system to process so the batch acknowledgement may not be sent immediately after transmission. This system task can be setup to execute an acknowledgement to a batch at either ‘Start up’ or ‘Close Batch’. The default is set to execute on ‘Start Up’ and ‘Close Batch’. It is vitally important to ensure that at least one box is checked.

Batch upload – The Batch Upload task determines when your closed batch will be transmitted to ELVIS. This task can be setup to execute a batch transmission at either ‘Start up’ or ‘Close Batch’. The default is set to execute on ‘Close Batch’. It is vitally important to ensure that at least one box is checked.

Data Entry Screen Update - The Data Screen Update task allows new data screens, sometimes called forms, to be transmitted from ELVIS to the POS computer. Typically, the data entry screens are updated the first time you use the POS computer and occasionally when changes to your unique configurable fields are needed. This task can be setup to require that upgrades to the data entry screens be performed at either ‘Start up’ or ‘Close Batch’. The default is set to execute on ‘Close Batch’. It is vitally important to ensure that at least one box is checked.

LVD Download - The LVD Download task allows updates to your Local Verification Database, if your agency uses this optional feature. This task can be setup to execute an LVD download (update to the Local Verification Database) at either 'Start up' or 'Close Batch'. The default is set to execute on 'Close Batch'. When the LVD Download task selection is active, an additional field appears. This field allows you to choose the number of days the old LVD is allowed to become before an override is required from a supervisor. (See Figure 3.8) If the LVD information is 31 days old, the operator will be prompted to download an updated LVD. If the operator chooses to use the existing LVD without an update, the system will require a supervisor to approve (override) by supplying their login and password each time the POS application is launched. The default is set to execute on 'Close Batch'. It is vitally important to ensure that at least one box is checked.

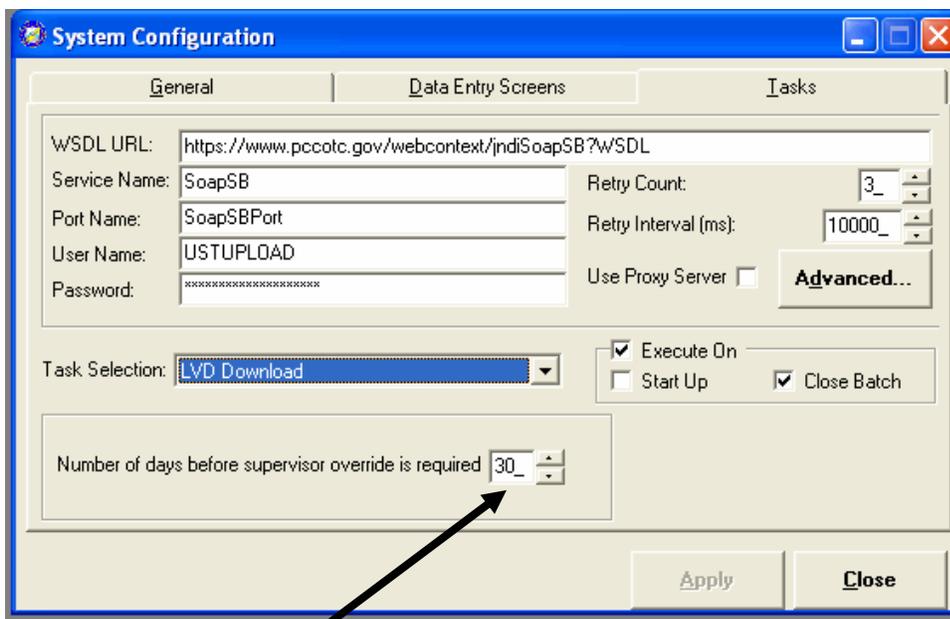


Figure 3.8

When all changes have been made within the Tasks Tab window, click the 'Apply' button. The system responds with the message that the POS application will have to be restarted to use these changes.

Note: We strongly recommend that you leave the settings at the default settings.

User Administration

This section covers the granting of access to the POS system only. If access needs to be granted to the web-based system called ELVIS, please refer to the *ELVIS* chapter of this SOP.

New users of the POS must first be set up in the SAT user administration and be assigned roles and permissions before accessing the POS application. New permissions have been added so existing user's roles must be reviewed to make certain they have all of the necessary permissions to perform their work.

Users that are added to the POS are controlled solely by your Agency. Action from the FRB-C is not needed to grant access to the POS component for user administration. Your Agency controls access on who uses the POS software and their level of access on your computer in your location.



Select the User Administration icon  from the main SAT screen to access the following user administration screen. (Figure 3.9), or using the menu at the top of the screen, click **'File'**, then **'Users...'**. This screen displays a list of all users including their Login name, full name, the date they were created in the system, the date that they last accessed the system and their role.

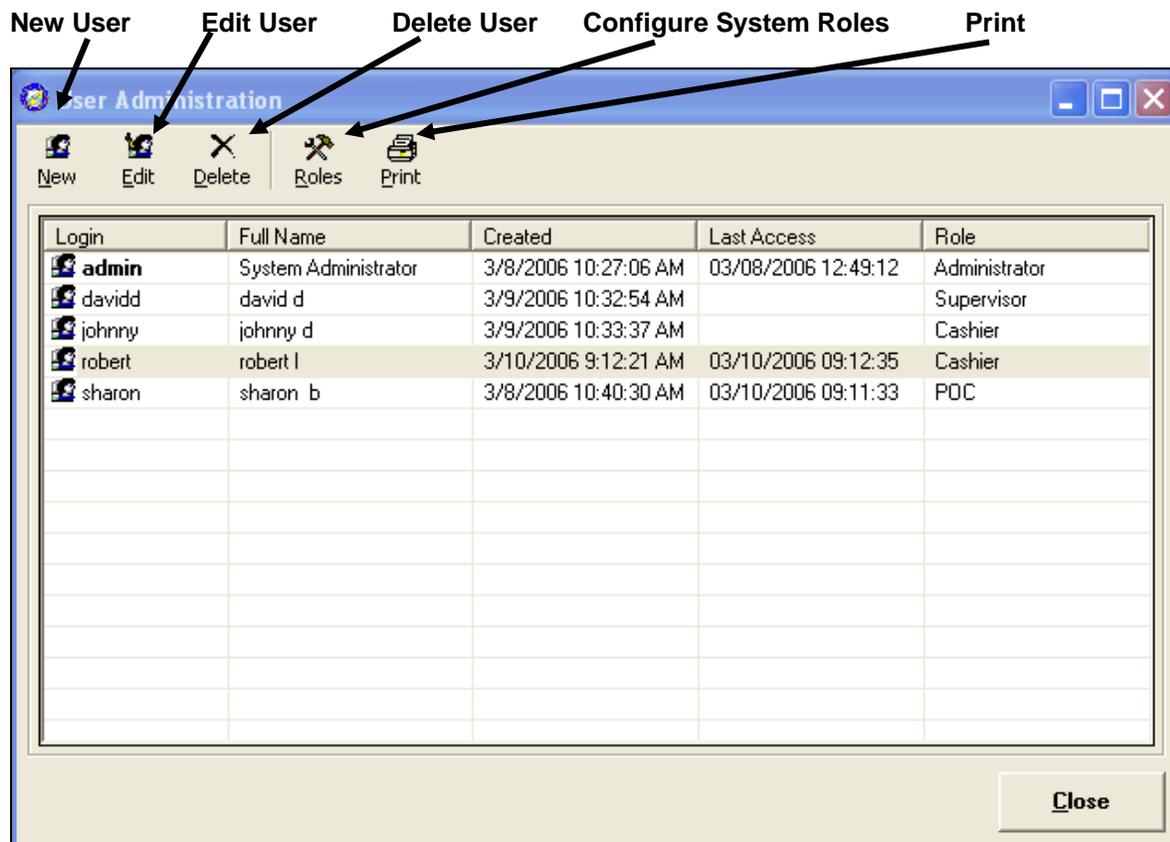


Figure 3.9

Point-Of-Sale Standard Operating Procedures

User Administration consists of five primary functions: (as displayed in Figure 3.9)

- Add New User
- Edit User
- Delete Users
- Configure System Roles
- Print out a list of system users

Further explanations of these functions are covered on the next pages.

Adding a New User

From the main SAT screen, select the 'Users' icon  then select the 'New User' icon  from the User Administration screen. Users can only be added by an authorized user. The following screen will appear: (Figure 3.10)

At the first login after the first software installation, step one is to setting up the POS is to add the person who will perform as the Point-Of-Contact (POC). This person needs to be setup as a user and assigned the POC role. This person has the highest level of authority within the POS.

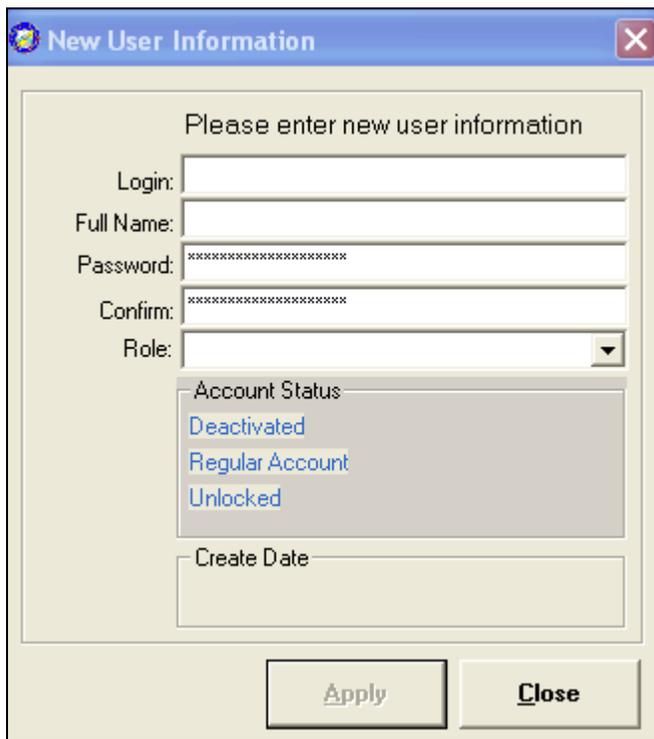


Figure 3.10

Enter the new user information including the Login, Full Name, and default Password. The default password is typed twice, once in the 'Password' field and then again in the 'Confirm' field.

- The Login is not case sensitive and must be between 6 and 20 characters. The login should be identifiable by the user, for example the user's first initial and last name. The Login can be all numeric, all alpha, or a combination of alpha-numeric and should not include commas, spaces, or apostrophes. The login does allow the use of a hyphen in the login ID.
- The Full Name field must be between 4 & 20 characters and should be the first and last name of the user. The Full Name should not include special characters such as commas, apostrophes and question marks.
- Passwords must be a minimum of eight alphanumeric characters, and are case sensitive. Users are assigned a default user password and are required to establish a new password upon their initial login.

Point-Of-Sale Standard Operating Procedures

Note: Users should be aware that 3 unsuccessful login attempts (or the configurable number of attempts that are set in the System Configuration) will result in a locked account. Once an account is locked, your POC (or a user with the 'administrator' role) must sign into the SAT and unlock the user and reset the password if necessary.

Select the appropriate role by using the dropdown arrow, then click **'Apply'**. Once a user has been added, an administrator can view the user's information, which would include the status of their account and the date that the user was added to the system.

Account Status

The 'Account Status' portion of the screen will display information pertaining to each user (See Figure 3.11)

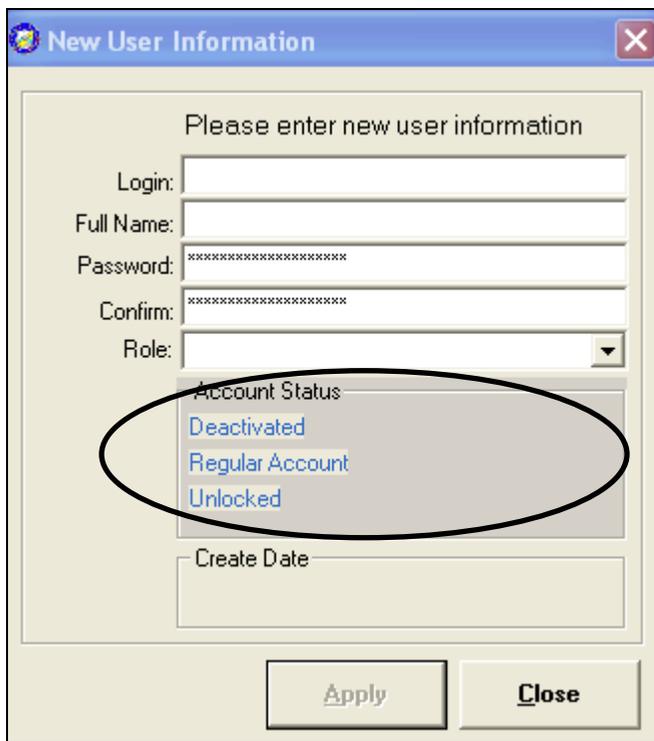


Figure 3.11

Active/Deactivated - Until the apply button is clicked, the new user will be displayed as 'Deactivated'. After the 'Apply' button is clicked and the user is successfully added, the new user's account status can be displayed by double-clicking on the new user from the User Administration screen. The user's status will now reflect 'Active'. Also, a user's status will display 'Deactivated' if that person has been deactivated by an authorized user.

Regular/System Account - All users will have an account status that displays 'Regular Account' unless the user has the Administrator role. Administrator accounts will display 'System Account'.

Locked/Unlocked - The normal status for a user is 'Unlocked'. If a user should exceed their maximum sign-on attempts (as defined in the SAT configuration settings) by typing an incorrect password, their account will become 'Locked'. That user will not be able to sign back into the POS, SAT or Batch Manager until their account has been changed to 'unlocked' by an authorized user.

Edit User

A user’s account can be edited by an authorized user. A user’s Login, Full name, password and role can be edited. To edit a user’s account:

1. From the main SAT screen, select the ‘User’s icon .
2. The screen will display all of the users as seen in Figure 3.12. Click to highlight the user to be edited then click the edit user button, or right-click on the user to be edited and choose ‘edit’.

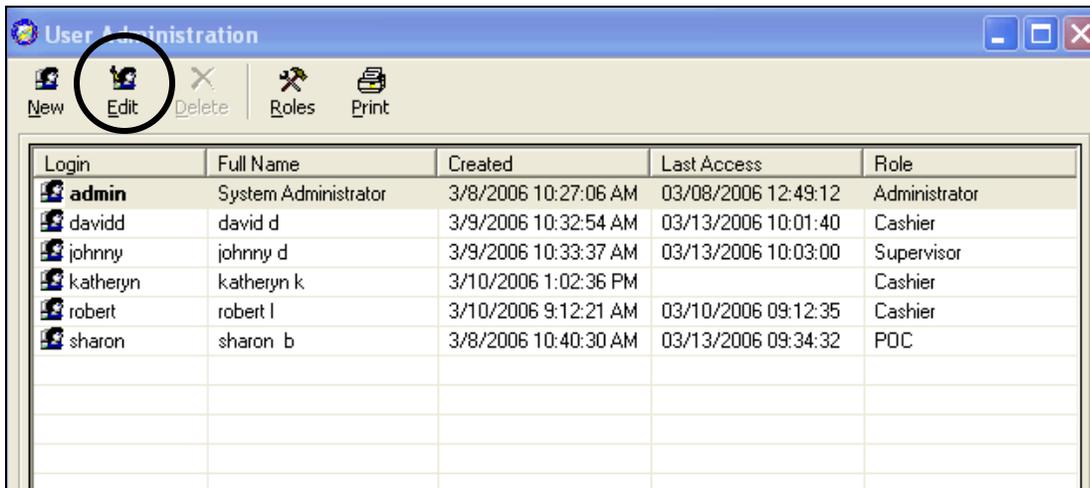


Figure 3.12

3. A ‘Modify User Information’ screen will appear (Figure 3.13).

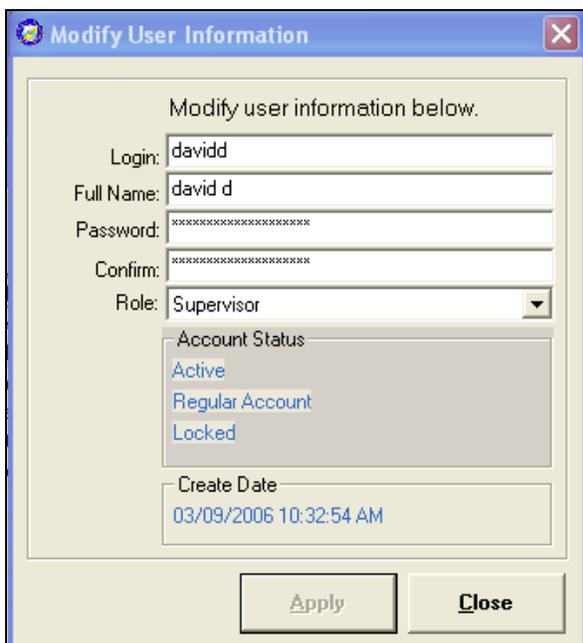


Figure 3.13

Point-Of-Sale Standard Operating Procedures

- Key in the updated information or click to choose a different role, then click the **'Apply'** button at the bottom of the window. The screen will return to the User Administration Window. Click **'Close'** when finished.

Unlock

A user's account will become 'locked' if their unsuccessful login attempts exceed the 'maximum failed login attempts' as set in the System Configuration. Your POC, or a user with the 'administrator' role, can 'Unlock' a user account. (*Note: The user's password may also need to be reset if the user does not remember their password – see Reset Password*). This function can only be performed from the User Administration screen. There are no menu options for unlocking a user's account.

To unlock a user's account:

- From the main SAT screen, select the 'Users' icon .

The screen will display all users as seen in Figure 3.14. When a user account is locked, a red 'lock' will appear.

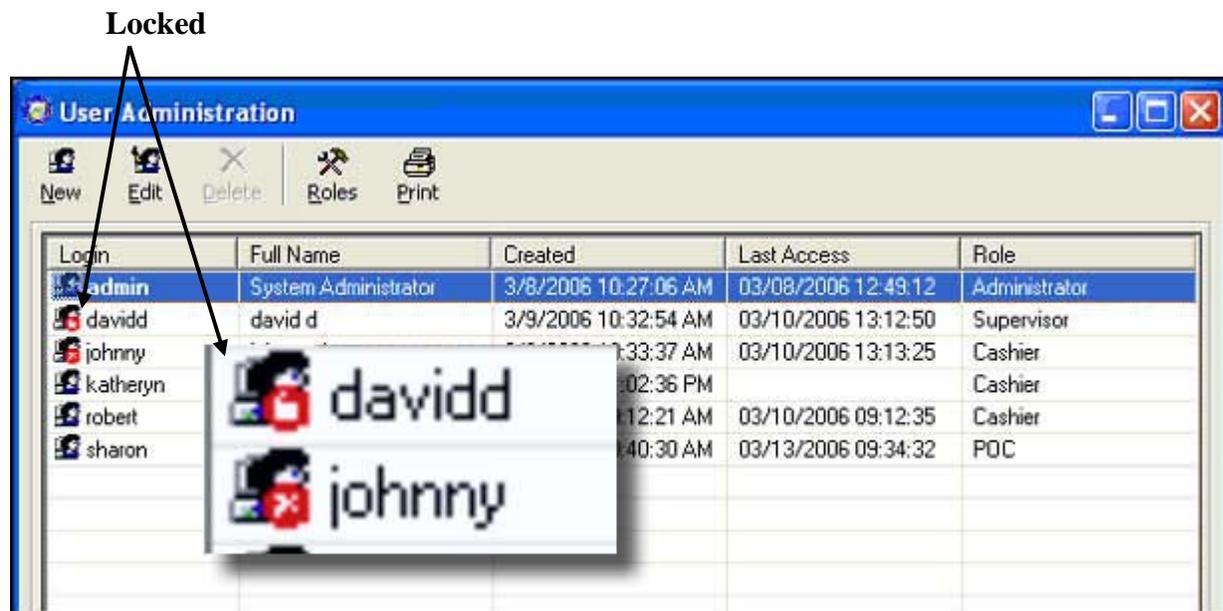


Figure 3.14

- To unlock, a user's account, right-click on the user's login. A drop down menu will appear with choices as seen in Figure 3.15.
- If the user has forgotten their password, the next step is to reset their password. Please see the next section, 'Reset Password'.

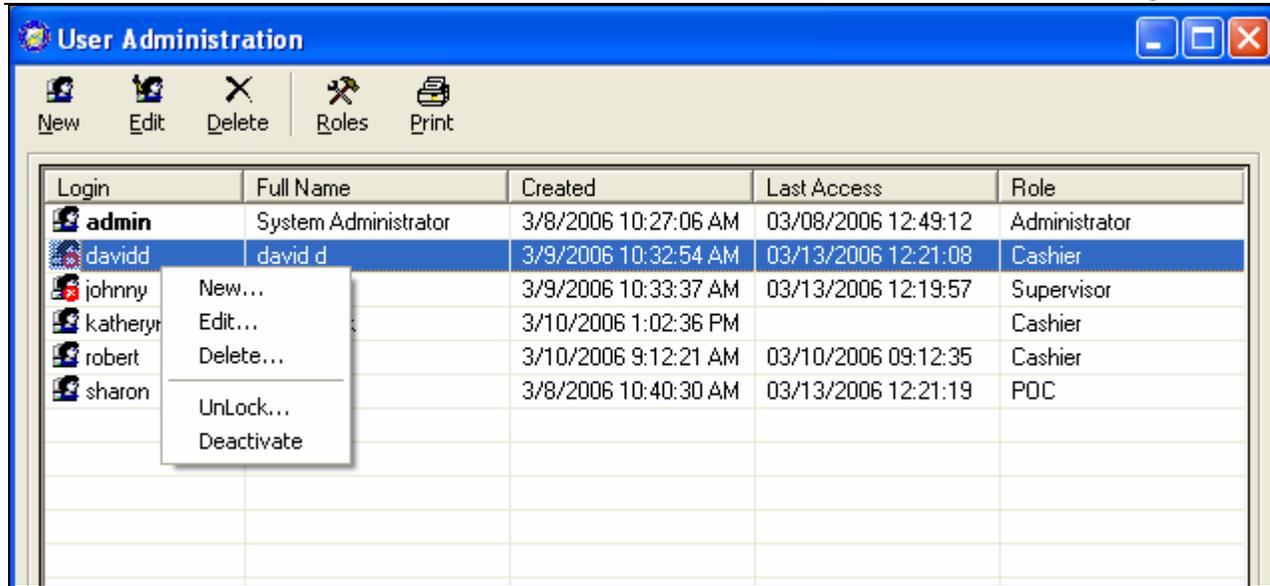


Figure 3.15

4. Click the 'UnLock' action and the user's account is immediately updated.
5. If the user has forgotten their password, it will be necessary to reset the user's password (see the 'Reset Password' section of this chapter).

Reset Password

If a user has become locked because they cannot remember their password, the POC or a user with the 'administrator' role needs to reset the user's password by assigning a new, temporary password. The user will be required to change their temporarily assigned password to their own unique password.

To reset a user's password:

1. Click the 'Users' icon  from the main SAT screen. A window will appear that displays all user accounts. Double-click the user login whose password needs to be reset. Type a new password in the 'Password' and 'Confirm Password' fields as displayed below in Figure 3.16. Password requirements mandate that the password have a minimum of 8 alphanumeric characters. The password is also case sensitive.
2. When complete, click '**Apply**' and '**Close**' to exit.

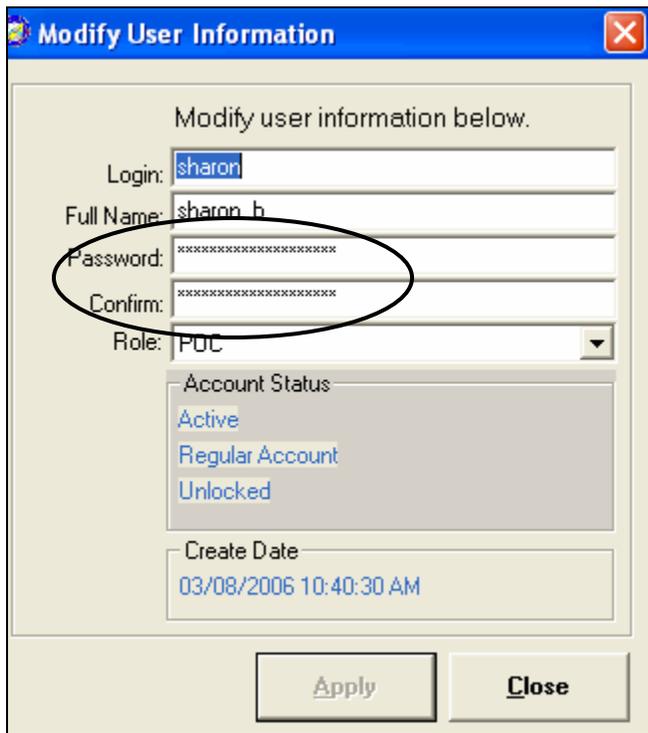


Figure 3.16

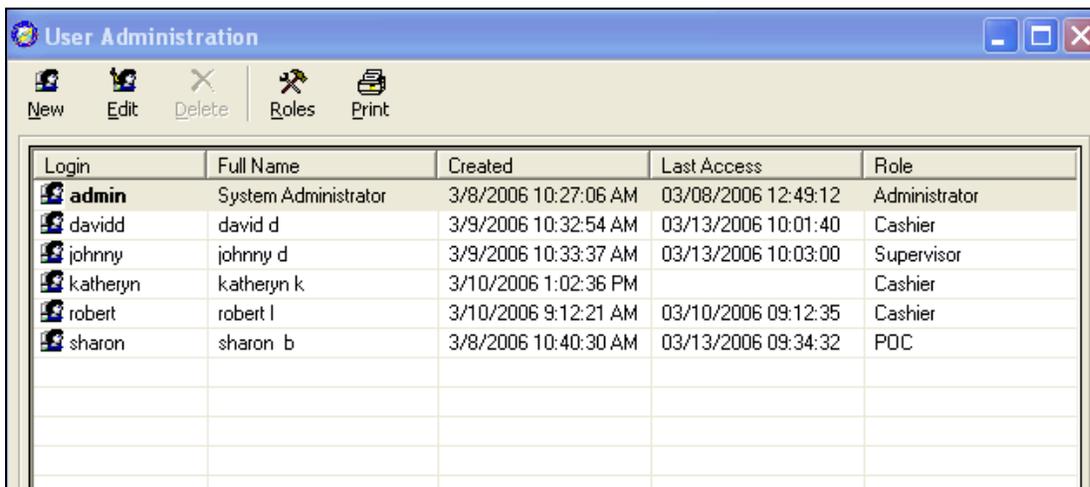
Note: Resetting a user's password automatically unlocks the account.

Activate or Deactivate User Account

A user account can be intentionally 'Deactivated' if, for example, a user is on vacation or medical leave. Upon their return, their account can be 'Reactivated'. These functions can only be performed from the User Administration screen by the POC or a user with the 'administrator' role. There are no menu options for these functions.

To Deactivate a user's account

1. From the main SAT screen, select the 'Users' icon .
2. The screen will display all users as seen in Figure 3.18.



The screenshot shows a window titled "User Administration" with a toolbar containing "New", "Edit", "Delete", "Roles", and "Print" buttons. Below the toolbar is a table with the following data:

Login	Full Name	Created	Last Access	Role
 admin	System Administrator	3/8/2006 10:27:06 AM	03/08/2006 12:49:12	Administrator
 davidd	david d	3/9/2006 10:32:54 AM	03/13/2006 10:01:40	Cashier
 johnny	johnny d	3/9/2006 10:33:37 AM	03/13/2006 10:03:00	Supervisor
 katheryn	katheryn k	3/10/2006 1:02:36 PM		Cashier
 robert	robert l	3/10/2006 9:12:21 AM	03/10/2006 09:12:35	Cashier
 sharon	sharon b	3/8/2006 10:40:30 AM	03/13/2006 09:34:32	POC

Figure 3.18

3. Right click on the Login whom you wish to deactivate. A drop down menu will appear with choices as seen in Figure 3.19.

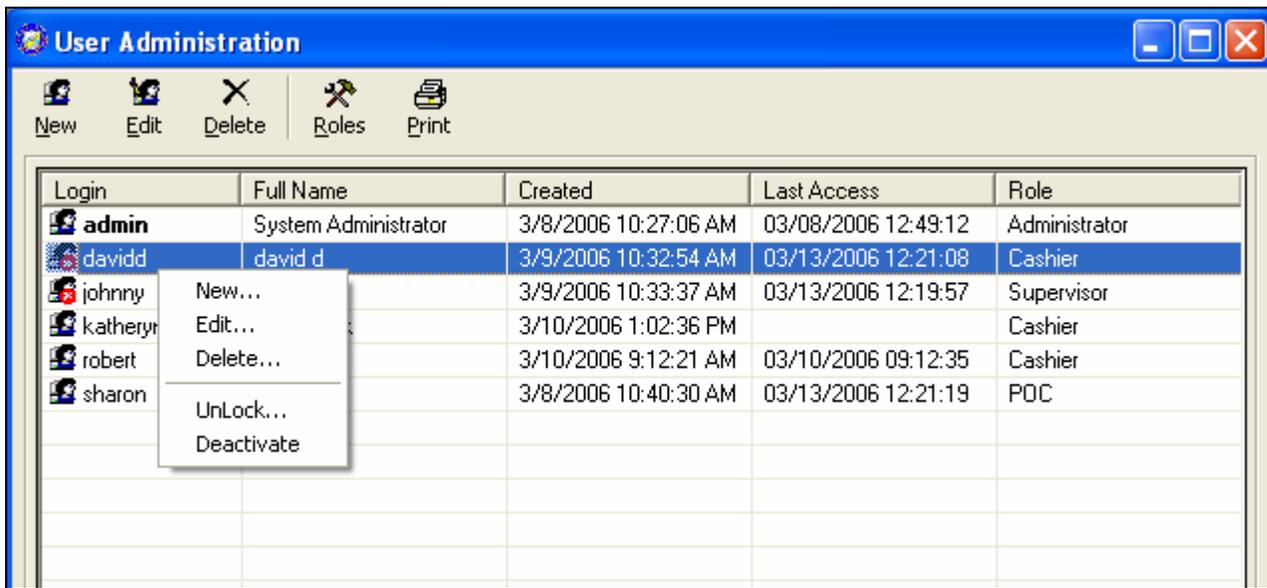


Figure 3.19

4. Click the 'Deactivate' action. The user's login will now appear with a red 'X' as displayed in Figure 3.20.
Deactivated

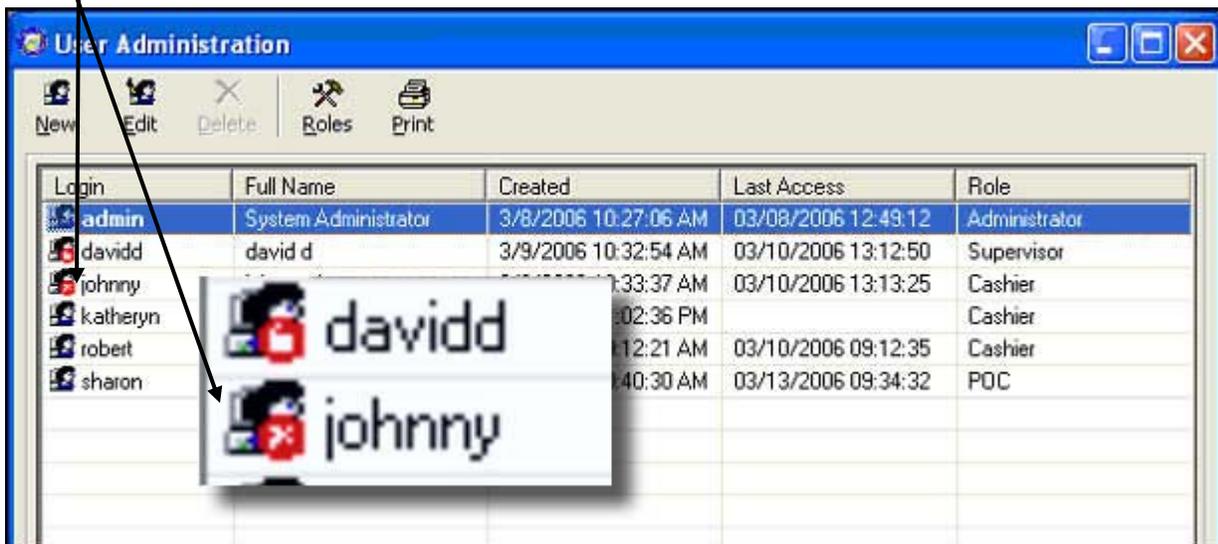
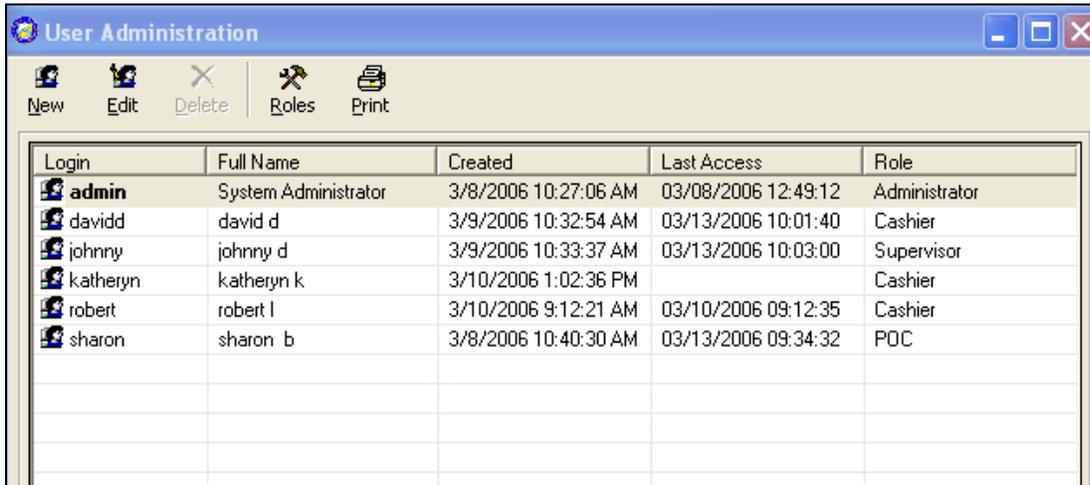


Figure 3.20

To Activate a user's account

1. From the main SAT screen, select the 'Users' icon .
2. The screen will display all users as seen in Figure 3.21.



The screenshot shows a window titled "User Administration" with a toolbar containing "New", "Edit", "Delete", "Roles", and "Print" buttons. Below the toolbar is a table with the following data:

Login	Full Name	Created	Last Access	Role
 admin	System Administrator	3/8/2006 10:27:06 AM	03/08/2006 12:49:12	Administrator
 davidd	david d	3/9/2006 10:32:54 AM	03/13/2006 10:01:40	Cashier
 johnny	johnny d	3/9/2006 10:33:37 AM	03/13/2006 10:03:00	Supervisor
 katheryn	katheryn k	3/10/2006 1:02:36 PM		Cashier
 robert	robert l	3/10/2006 9:12:21 AM	03/10/2006 09:12:35	Cashier
 sharon	sharon b	3/8/2006 10:40:30 AM	03/13/2006 09:34:32	POC

Figure 3.21

3. Right click the row of the Login whom you wish to activate. A drop down menu will appear with choices as seen in Figure 3.22.

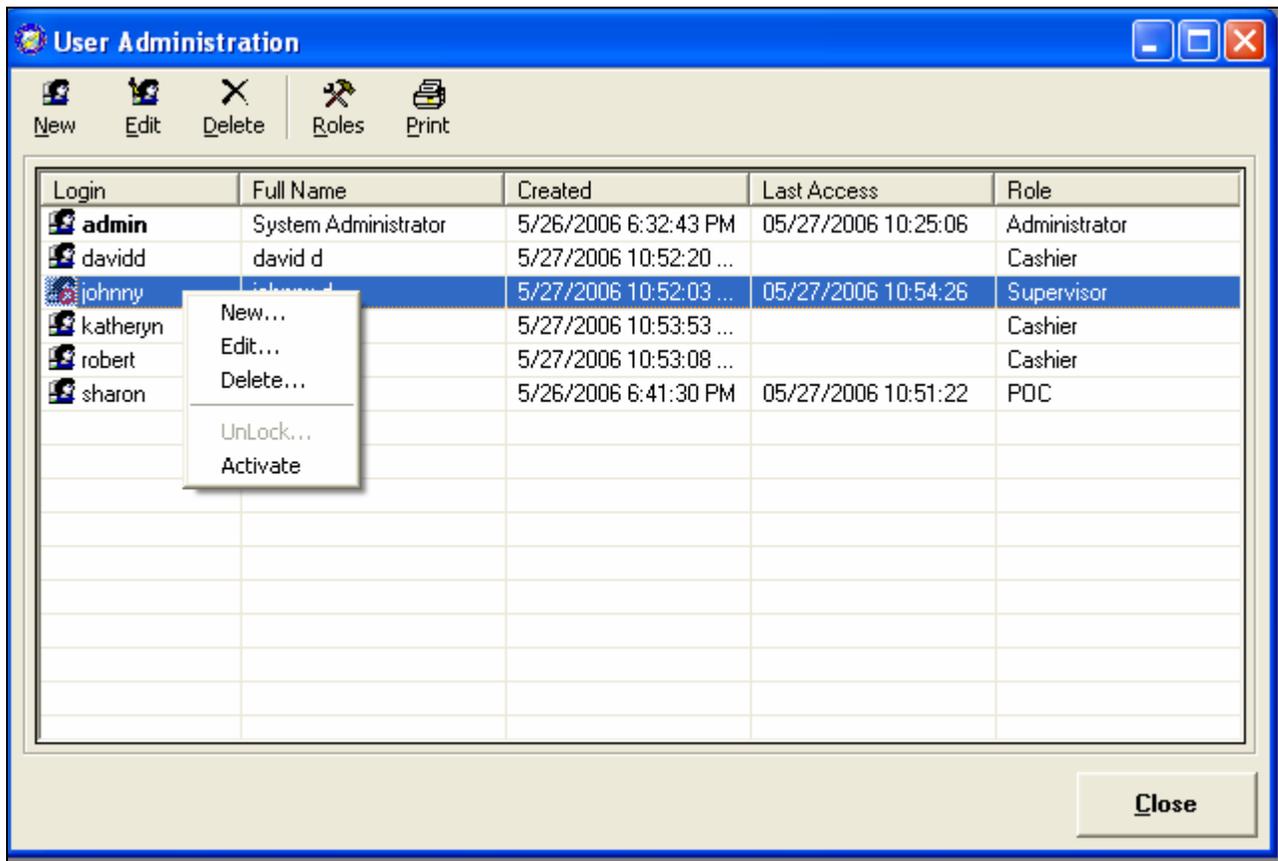


Figure 3.22

4. Click the 'Activate' action. The red 'X' that appeared on the user's login will no longer appear.
5. If the user has forgotten their password, it will be necessary to reset the user's password (see the 'Reset Password' section of this chapter).

Delete Users

An authorized user has the ability to delete a selected user.

1. From the main SAT screen, select the 'Users' icon .

2. Click on the user to be deleted.

3. Select the '**Delete User**' icon  from the User Administration screen. The user can also be deleted by selecting the user and right-clicking. Click '**Delete**' to delete the user.

4. A prompt will appear on the screen asking, "You have selected to delete user 'nnnn', Are you sure?" Click '**Yes**'. The user account will be removed from the system and will no longer appear on the User Administration screen.

Configure System Roles

System Roles are assigned specific system permissions to indicate the access levels of each role. Administrator, Cashier, POC (Point of Contact), and Supervisor are provided as system default roles. These roles can be changed according to your agency's needs. Additional system roles required by an agency can be added or edited by an authorized user. Each user is assigned one of the four system default roles, or an Agency created role. Roles should be consistent across an agency, and not be location specific. Highlight the specific role to determine the role permissions. For example, if you are logged in as a Supervisor, and the Supervisor role has the System Permission to configure users, the Supervisor user will be able to perform user configuration functions. Review the accuracy and completeness of the role permissions to agency requirements prior to assigning users.

To configure system roles, click the 'Users' icon  from the main SAT screen, then click the 'Configure System Roles' icon , from the User Administration screen. The following screen will appear: (Figure 3.25)

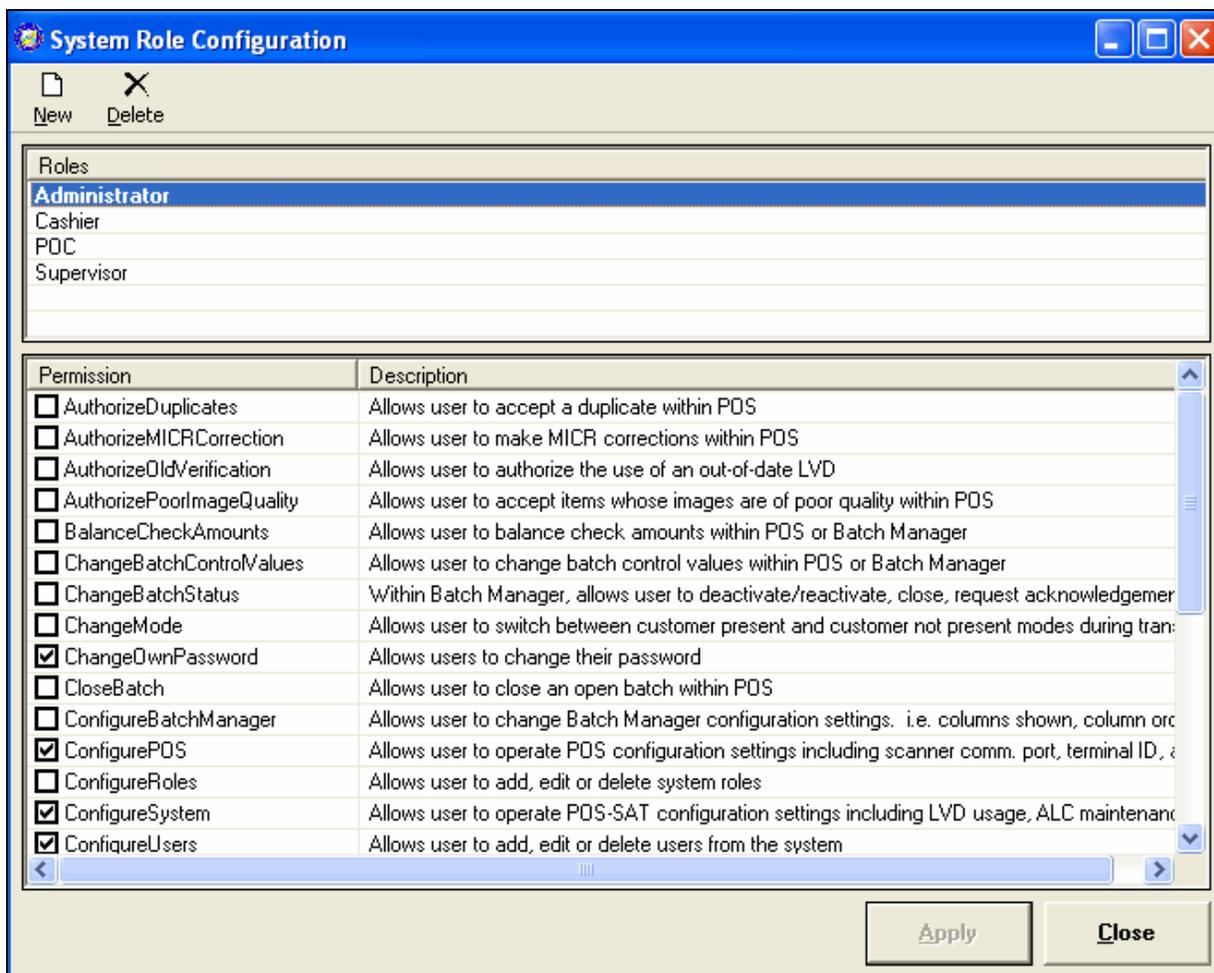


Figure 3.25

The system default roles can be edited by clicking to check or uncheck specific permissions.

Permissions

The table below describes the meaning and use of each of the permissions. These permissions can be assigned to new or predefined system roles.

Predefined permissions

Permission Name	Used to...
*AuthorizeDuplicates	Allows a user to accept a duplicate within the POS.
*AuthorizeMICRCorrection	Allows a user to make MICR corrections within the POS.
AuthorizeOldVerification	Allows usage of an LVD database that was not updated for more than a configurable number of days (“Supervisor override required” setting).
*AuthorizePoorImageQuality	Allows a user to accept items whose images are of poor quality within the POS.
*BalanceCheckAmounts	Allows a user to balance check amounts within the POS or Batch Manager.
*ChangeBatchControlValues	Allows a user to change batch control values within the POS or Batch Manager.
ChangeBatchStatus	Allows performing the following batch operations in Batch Manager:
ChangeMode	Allows a user to switch between customer present and customer not present modes during transaction entry on the POS’s main screen.
ChangeOwnPassword	Allows users to change their password on the login dialog.
CloseBatch	Allows a user to close an open batch within the POS.
ConfigureBatchManager	Allows a user to change Batch Manager configuration settings such as columns shown, column order and column move.
ConfigurePOS	Allows changing all POS settings including scanner comm. Port, terminal ID, and enable/disable Yes/No Keypad (excludes printer settings, see “Setup printer” permission below).
ConfigureRoles	Allows a user to add, edit or delete system roles
ConfigureSystem	Allows configuring SAT settings including LVD usage, ALC maintenance, and receipt printing.
ConfigureUsers	Allows a user to add, edit, or delete users from the system.
EditBatch	Allows editing an item in Batch Manager.
OverrideVerification	Allows a user to override a denial as returned from the Verification.
ProcessTransactions	Allows a user the ability to scan new items into the POS.
RecoverFromSecondaryStorage	Allows a user to initiate the recover function, thereby restoring (overwriting) the current database from the secondary storage location.
ResetLVD	Allows a user to clear all of the records from the LVD (to be re-populated through a subsequent update LVD operation)
Setup Printer	Allows a user to setup a default printer for the POS or SAT operations.
UpdateLVD	Allows a user to request updates (or entire database if LVD reset has occurred) of verification records to the LVD from the MVD.
UpgradeApplication	Allows a user to extract an upgraded application from the local database (once it has been downloaded from the host) and launch the installation procedure.
ViewActivityLog	Allows a user to view activity log entries of the completed audit trail within the system.
ViewBatchList	Allows a user to launch the View Batch List function within the POS or Batch Manager.
*VoidItems DuringBalancing	Allows a user to void items during balancing within the POS or Batch Manager
Void Transaction	Allows a user to void a previously processed transaction within the POS or Batch Manager.

*New permissions

Predefined System Roles

The following roles are the defaulted roles when the POS is first installed. If you have upgraded to POS R5.1 from a previous version, any changes that were made to these predefined roles in the previous version will be carried over to the upgrade.

Predefined roles and their default permissions

Name	POC	Supervisor	Administrator	Cashier
Authorize Duplicates	✓	✓	-	-
Authorize MICR Correction	✓	✓	-	-
Authorize old verification	✓	✓	-	-
Authorize poor image quality	✓	✓	-	-
Balance Check Amounts	✓	✓	-	✓
Change Batch Control Values	✓	✓	-	✓
Change batch status	✓	✓	-	-
Change mode	✓	✓	-	✓
Change own password	✓	✓	✓	✓
Close batch	✓	✓	-	✓
Configure Batch Manager	✓	✓	-	-
Configure POS	✓	✓	✓	-
Configure roles	✓	-	-	-
Configure system	✓	✓	✓	-
Configure users	✓	✓	✓	-
Edit batch	✓	✓	-	-
Override verification	✓	✓	-	-
Process transactions	✓	✓	-	✓
Recover from secondary storage	✓	✓	-	-
Reset LVD	✓	✓	✓	-
Setup printer	✓	✓	✓	✓
Update LVD	✓	✓	-	✓
Upgrade application	✓	-	✓	-
View activity log	✓	✓	✓	✓
Void items during balancing	✓	✓	-	-
View batch list	✓	✓	✓	✓
Void transaction	✓	✓	-	-

Adding System Roles



Authorized users are able to add system roles by selecting the ‘New System Role’ icon from the System Role Configuration screen. (Figure 3.26)

1. Enter the new system role name in the space indicated below, then click **‘OK’**. The new role will appear on the System Role Configuration screen.

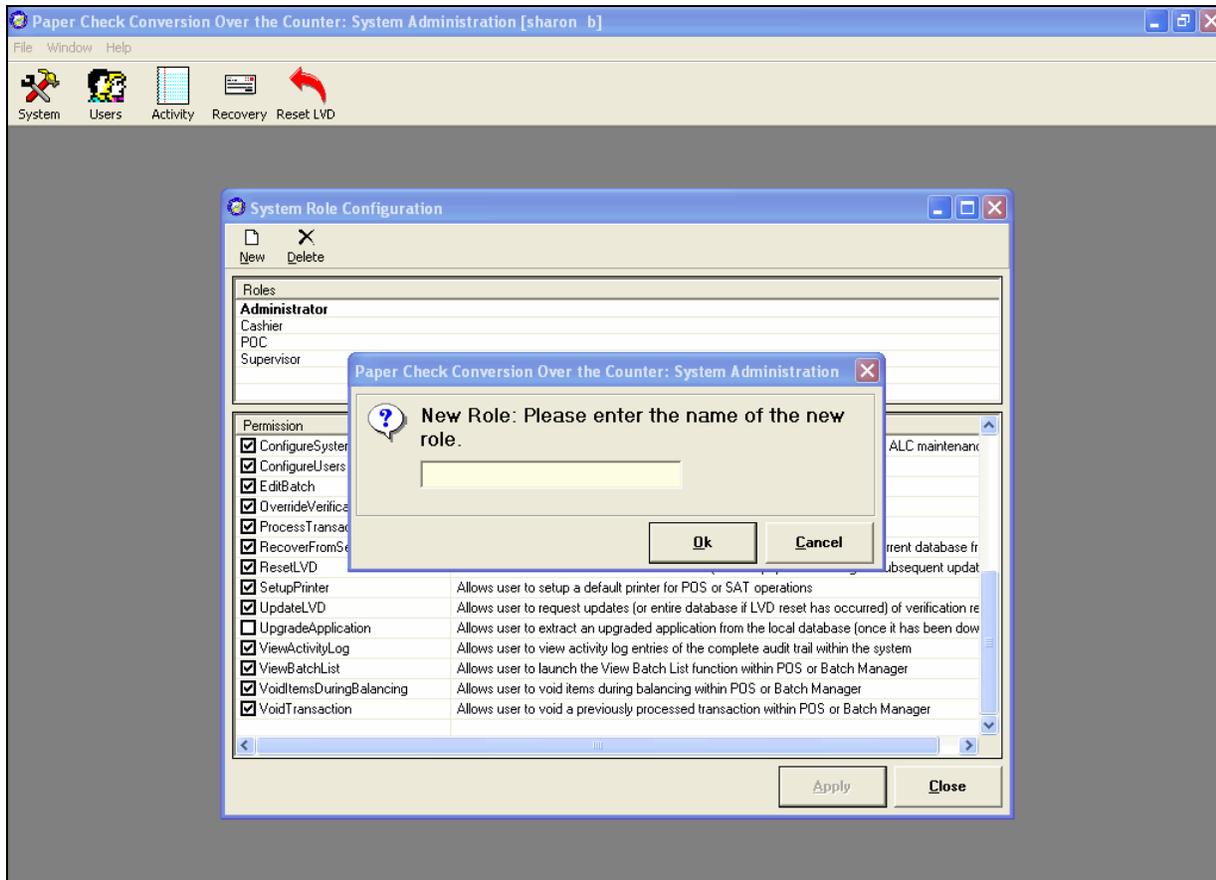


Figure 3.26

2. Click to select the new role, then click to check the System Permissions for that role. The System Permission, ChangeOwnPasword, must be checked for all roles. If it is not selected, the user will not be able to sign on.
3. Click **‘Apply’**.

Modify Roles

A user's role can also be modified. This function would be used to assign a different role to an existing user.

1. Click the 'Users' icon  from the main SAT screen. A window will appear that displays all user accounts.
2. Double-click the user whose role needs to be modified.
3. Change the user's role by clicking the down arrow to the right of the 'Role' field, then clicking on the new role as displayed in Figure 3.27.
4. When complete, click **'Apply'**. Click **'Close'** to exit User Administration.

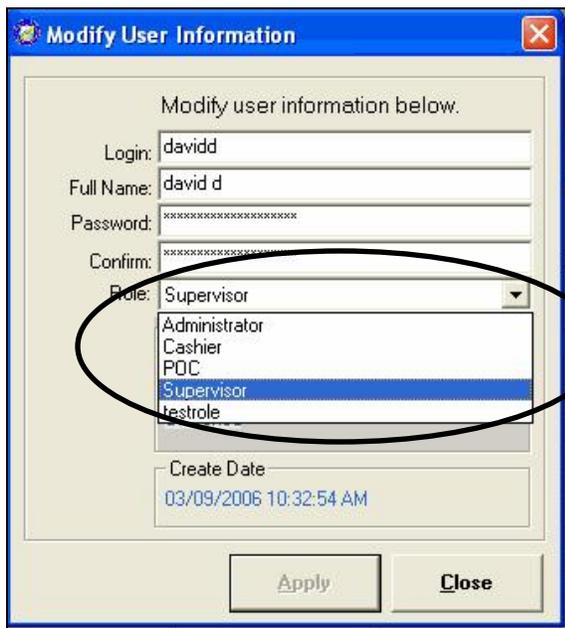


Figure 3.27

Deleting System Roles

Authorized users are able to delete system roles.

1. Click the 'Users' icon  from the main SAT screen. A window will appear that displays all user accounts.
2. Click the 'Configure System Roles' icon  from the User Administration screen.
3. Click to highlight the role that you wish to delete from the top of the 'System Role Configuration' window. Click the **'Delete System Role'** button  from the System Role Configuration screen.
4. At the verification message or 'Are you Sure?' click **'Yes'**. The role will be removed from the system Role Configuration screen.

Note: A role cannot be deleted if a user is assigned to that role. Reassign users to new roles before deleting the existing role.

Print User Information

An authorized user has the ability to print the listing of all user information.

1. From the main SAT screen, select the 'Users' icon . A window appears with a listing of all users in the POS system.

2. Fields can be sorted by clicking on the heading above each column.

3. Click the 'Print' icon  from the User Administration screen. A preview of the System User Report will be displayed on the computer's screen as displayed in Figure 3.27.1. To print the report, click the printer icon  at the top of the screen, or click 'File', then 'Print' from the menu at the top of the screen.

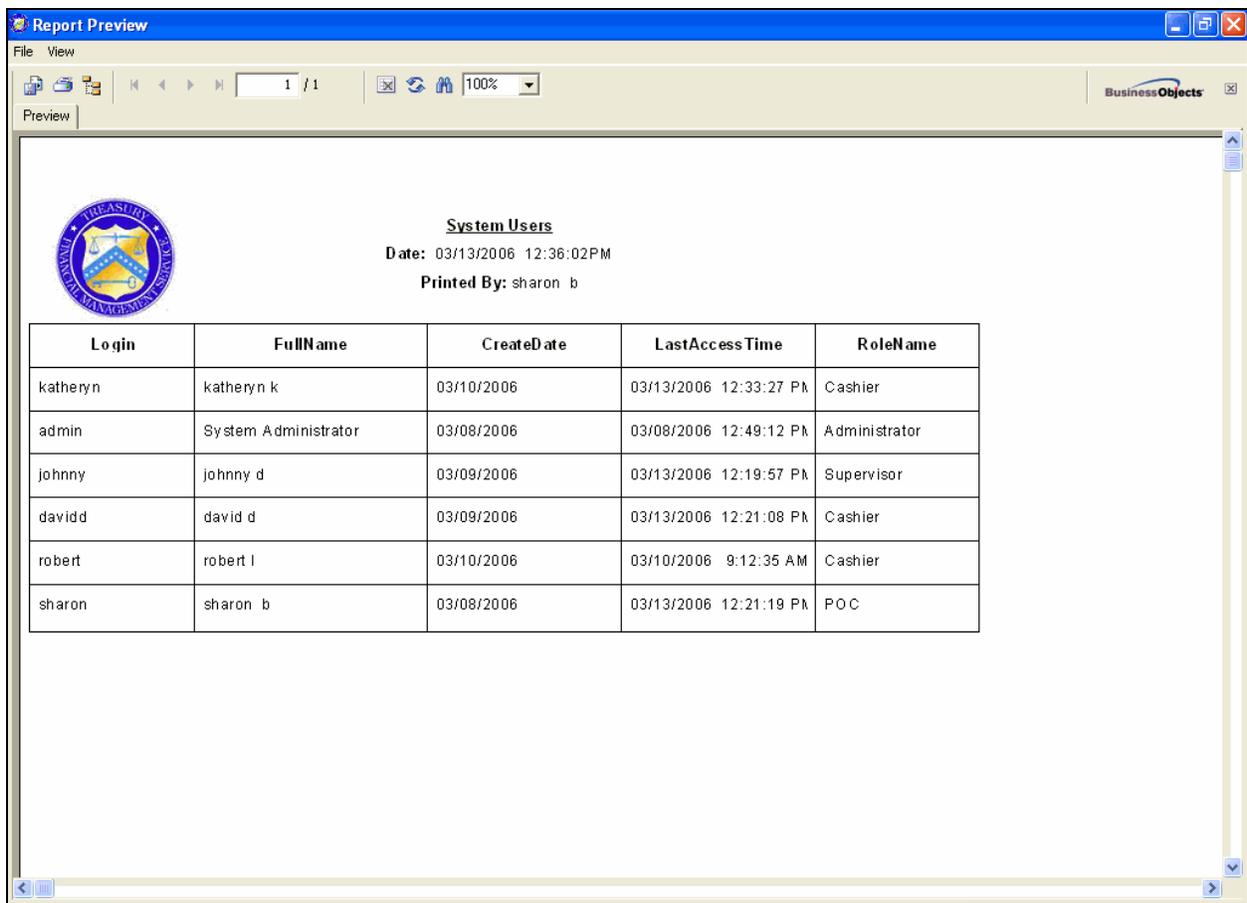


Figure 3.27.1

Other SAT Report Preview Functions

Export Report

The User Information report can be exported by clicking on the 'Export Report' icon  at the top left of the report preview screen. When the icon is clicked, a window appears that allows the user to choose the file format by using the dropdown arrow (Figure 3.28).

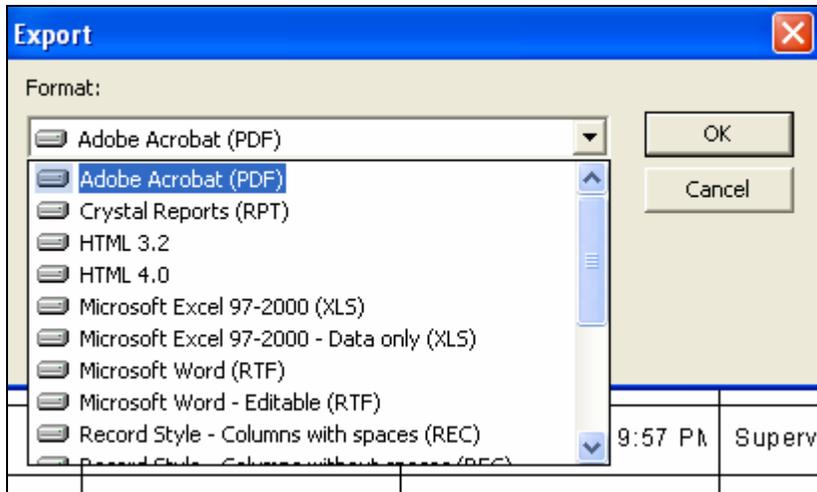


Figure 3.28

Click the appropriate format and the choice is placed in the format field. Click the 'Destination' drop down arrow and choose 'Disk File' as displayed in Figure 3.29.

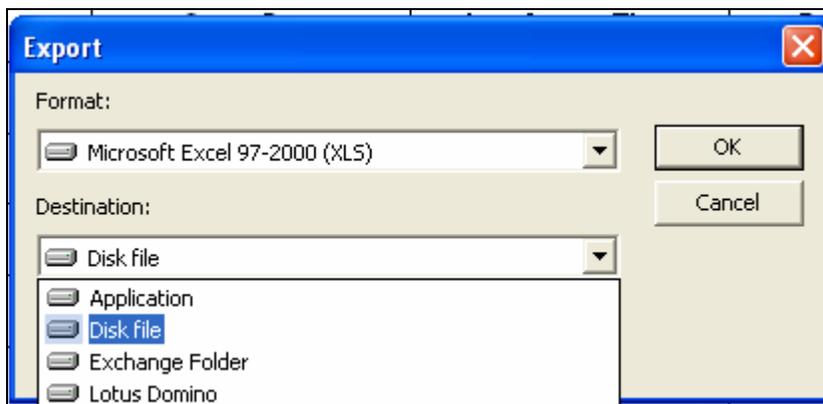


Figure 3.29

Based on the format that was chosen, additional data may need to be keyed regarding the file such as page range, column width (xls format), or delimiter /separator (csv format). If an additional options screen appears, key in the appropriate data or click the appropriate boxes, then click **OK**. A 'Choose Export File' screen will appear (Figure 3.30).

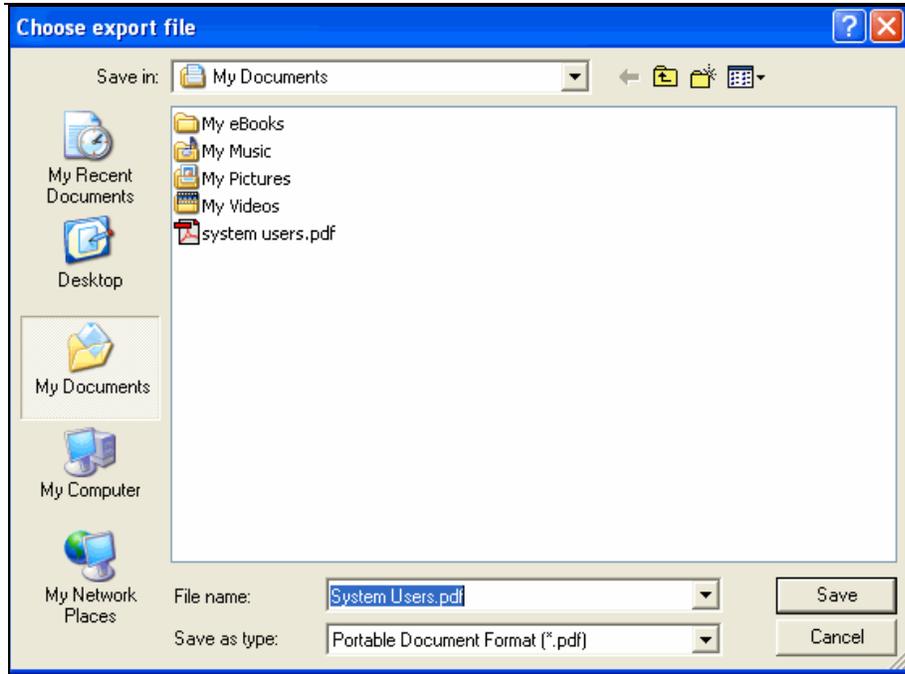


Figure 3.30

In the 'Save in' field at the top of the window, click the down arrow to navigate to the appropriate folder or drive in which to save the file. Near the bottom of the window, type the name of the file in the 'File name' field. Click 'Save'.

Page through a Report

The 'Arrow' icons  at the top of the screen can be used to page forward and backward in the printout (if more than one page).

Page Display

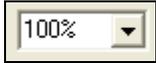
The page display icon  displays the current page within the box. The total number of pages in the report is displayed after the slash mark.

Search Text

The 'Search Text'  icon is used to pinpoint specific data within the report. When the icon is clicked, a window appears for the user to type the text. Click the 'Find Next' button. If the text is found within the report, the word or words are highlighted. To continue to search for more instances of the text click the 'Find Next' button. When there are no more instances of the text, the system will reply with the message, "Search could not find any more instances of the specified text after this page". Click OK.

Point-Of-Sale Standard Operating Procedures

Increase/Decrease Screen Display

The top right side of the screen displays the screen zoom percentage . Use the drop down arrow to the right of the percentage to choose another zoom percentage. The screen display can be increased or decreased.

Exit Report Preview

To exit the Report Preview screen, click the 'X' in the upper right corner of the screen (Figure 3.31).

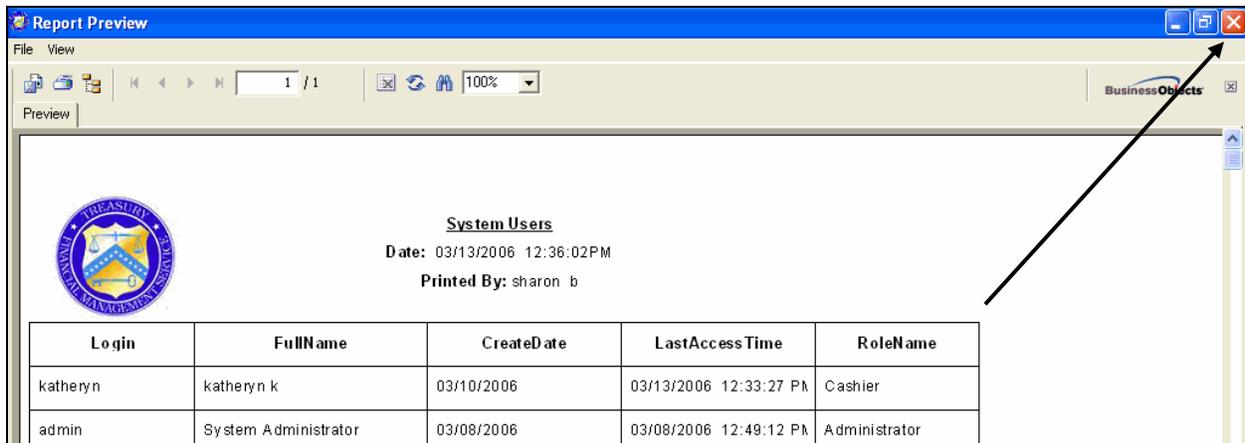


Figure 3.31

System Activity Log

The system activity log records all interaction between the user and the PCC OTC system. Selecting various settings changes the way that the information is displayed.



To view the activity log, select the Activity Log icon from the main SAT screen, or use the menu at the top of the screen and click **'File', 'Activity Log...'**. When viewing the activity log, select the appropriate event types, sources, and modules. The user can also check all settings to capture all system activity (Figure 3.32).

System Activity Log

Date Range: 06/03/2006 to 06/03/2006

Event Types: Warning, Error, Information

Modules: DEV, DPL, LAL, LAM

Sources: Batch Manager, Point-Of-Sale, System Administration, Tray Manager

Event Type	Date \ Time	Module	Description	Location	User Name	Source
	6/3/2006 6:17:25 PM	LAM	Login User	0000789501	sharon b	System Administration
	6/3/2006 6:08:37 PM	SYS	Inactive User	0000789501	sharon b	System Administration
	6/3/2006 6:08:37 PM	LAM	Logout User	0000789501	sharon b	System Administration
	6/3/2006 5:52:36 PM	LAM	Login User	0000789501	sharon b	System Administration
	6/3/2006 5:25:24 PM	LVD	LVD Cleanup			Tray Manager
	6/3/2006 5:25:23 PM	LAL	LAL Cleanup			Tray Manager
	6/3/2006 5:25:21 PM	Tray	Start Tray Manager			Tray Manager
	6/3/2006 2:42:05 PM	LVD	LVD Cleanup			Tray Manager
	6/3/2006 2:42:05 PM	LAL	LAL Cleanup			Tray Manager
	6/3/2006 2:42:02 PM	Tray	Start Tray Manager			Tray Manager

Details

Logon was successful.
 User Name : sharon b
 User ID : {5392D27A-E045-460C-A40A-91D5D8127B2A}

10 Records

Buttons: Refresh..., Export..., Print..., Close

Figure 3.32

Point-Of-Sale Standard Operating Procedures

Event Types

Event types are categories of events that can be recorded by the audit log. The event types include the following:

Event Type	Description
Warning	Warnings entries are created to inform the user when events of note have taken place. This includes canceling an action, deleting information from the system and inactive users.
Error	Error entries are created when the system is unable to complete an action.
Information	Information entries are general records of the activity that has happened while using the POS.

Modules

The following table identifies the Modules and briefly describes them.

Module	Description
DEV	Hardware integration module.
DPL	Centralized Deployment module.
LAM	Local Access management module.
LID	Local Item storage module.
LVD	Local Check verification module.
SYS	System integration module.
Tray	Service management module.
WKR	Background processing module.

The System Activity Logging consists of several sections:

1. Date Range – User configurable date criteria selection. Use the down arrows to choose the date range .A calendar will appear from which to choose the month/day, or simply type the date.
2. Event Types – Types of events logged for viewing include ‘Warning’, which are indicated in the listing with the symbol  ; ‘Error’, which are indicated in the listing with the symbol  ; and ‘Information’, which are indicated in the listing with the symbol  . The type of events that are displayed can be narrowed by clicking to un-check the event types that you do not wish to see.
3. Modules – Configurable selections. Some examples of these modules are:
LAM – Administrator; POS – Point of Sale;
LVD – Local Verification database; LID – batch activity
The total number of events displayed can be narrowed by clicking to un-check the modules you do not wish to display.
4. Sources – Current sources available include Batch Manager, Point-of-Sale, System Administration Tool, and Tray Manager
5. Listing – An event listing of selected sources and/or module by date. This listing contains a column for the Event type, Date/Time, Module, Description of the event, Location – which lists the ALC+2, The name of the user who was logged into the system at the time of the event, and the Source – the application in which the event occurred, i.e., POS, SAT, Batch Manager, etc.
6. Details – The details of an event are displayed in the Details portion of the screen when the line for a particular event is clicked.
7. Number of Records – displays the number of records within the requested log.

Additional Functionality

Refresh button – the Refresh button can be used to refresh the system activity log display. Any POS activity that occurs during the SAT session can be reflected on the screen by clicking the Refresh button.

Export button– Allows the log to be exported into a .csv (comma separated value file) which will allow the log to be opened in other programs such as spreadsheet software. There may be times when the PCC OTC Customer Service team may request an exported activity log for diagnostic purposes.

Print Button – Generates a print preview report and allows the log to be printed. Various other tools are used within the Report Preview window. For a complete explanation of how these tools work, please refer to *'Other SAT Report Preview Functions'* section of this chapter.

Close Button– Exit the System Activity Log listing.

The SAT activity log should be printed before an upgrade. It is also recommended that the SAT activity log be printed monthly, or as the Agency requires. If your location processes high volumes of checks, a more frequent schedule may be appropriate, because activity file data will be lost in the event of a hard drive failure.

To print the activity log:

1. Select the event types, modules, and sources desired.
2. Enter the date range.
3. Click **'Print'**.

To export the Activity Log:

1. Select the event types, modules and sources desired.
2. Enter the date range.
3. Click the **'Export'** button.
4. You will be asked to name and save the file on your hard drive. The file is saved in a .csv format which is Comma Separated Value and can be read by most spreadsheet software. This file can be sent to the FRB-C Customer Service staff via email.

Batch Recovery

Authorized users are able to use this feature to recover items from a non-functioning PC to restore items to a backup PC. This would occur when a POS terminal unexpectedly fails prior to batches being transmitted.

Note: The backup or contingency PC must have the same secondary media or a compatible secondary media in order for the batch recovery to work. If the backup or contingency PC is being used to process batches, all batches must be closed and transmitted before using the PC for batch recovery. The primary computer and the contingency computer must both have the same version of the POS installed.

If the Secondary Image Storage fails while in the POS application, a batch recovery cannot be performed. Call FRB-C at 1-800-624-1373 or 216-579-2112 for assistance or refer to the *Troubleshooting* chapter of this SOP.

To initiate a batch recovery and retrieve the unacknowledged, non-transmitted, or open batch from the secondary image storage of the failed PC, **do the following on the backup/contingency PC:**

1. Close all batches in process and exit the POS application.
2. Connect or insert the backup device (USB Flash drive, PCMCIA, zip, etc.) from the non-functioning PC to the backup PC. If the backup PC is only used as backup hardware, check the following:
 - Date and time are accurate.
 - Scanner is connected.
 - Printer driver is installed.
 - POS application version on the backup computer should be 5.1.0. Refer to the *Help* section in this chapter for instructions on how to display the computer's POS version number.
3. Launch the SAT application and enter your Login and Password. Make sure that the POS is closed before making the following changes.
4. Click **'File'**, then **'Configuration'** from the menu at the top of the screen. Write down or capture a screen print of the current configuration settings under all three tabs (General, Data Entry Screens and Tasks). If these settings need to be altered to accommodate the batch recovery procedure, they will need to be restored once the process is complete (step 19).
5. If the batch to be restored contains ALC+2's that are not currently on the backup PC, they will need to be added. Click **'File'**, then **'Configuration'**, from the menu at the top of the screen. Click on the **'Data Entry Screens'** tab and add the ALC+2's as described in the *Data Entry Screens Tab* section of this chapter.
6. Click the 'Tasks' tab at the top of the screen. Click the down arrow in the 'Task Selection' field and click to choose 'Data Entry Screen Upgrade'. Click to add a check mark to the 'Start up' box just to the right of the 'Task Selection' field, then click the **'Apply'** button.
7. A window appears indicating that the changes may affect the POS and a restart to the POS may be necessary. Click the **'Ok'** button. Click **'Close'** to close the System Configuration window.
8. Logout of the SAT and Login to the POS.
9. The Data Entry Screen Upgrade window will appear and the new Data Entry Screens will be applied.

Note: Verify the configuration information is the same as the failed POS computer's information, if unsure call FRB-C at 1-800-624-1373 or 216-579-2112 for assistance.

Verify the secondary image storage drive is accurate by selecting the secondary image drive from Windows Explorer (USB Flash drive, PCMCIA, zip, etc.).

If necessary changes were made, select 'Apply' to apply the changes, and 'Close' to close the System Configuration screen.

10. Launch the POS application on the backup computer and enter your Login and Password.
11. Select **'File'**, then **'Configuration'** from the menu.
12. Click the **'Application'** tab to change the Terminal ID field, so it matches the non-functioning POS terminal. If unsure of this information contact FRBC at 800-624-1373 or 216-579-2112.
13. Select the correct cashflow as **'Mixed'** or **'Non Personal Only'**.
14. Select **'Apply'** to apply the change), and **'Close'** to close the Configuration window screen.

15. Logon to the SAT. Select the Batch Recovery Icon  or from the menu at the top of the screen, select **'File'**, then **'Batch Recovery...'**. The following message will appear: (Figure 3.33)

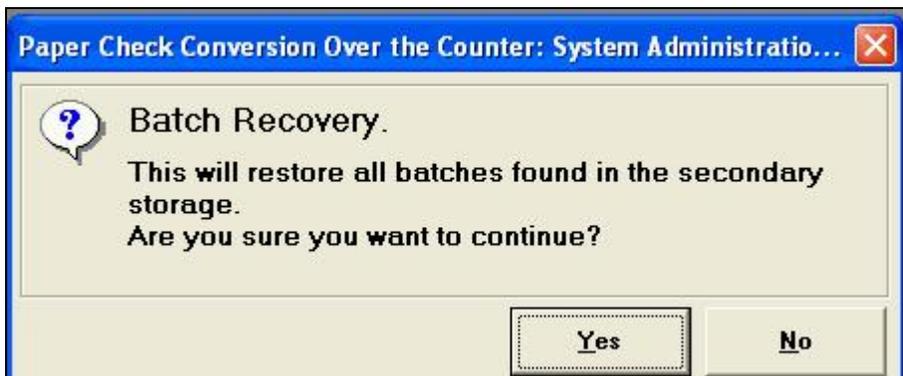


Figure 3.33

16. Click **'Yes'** to accept the batch recovery function. The following window appears and displays the percentage complete (Figure 3.34)

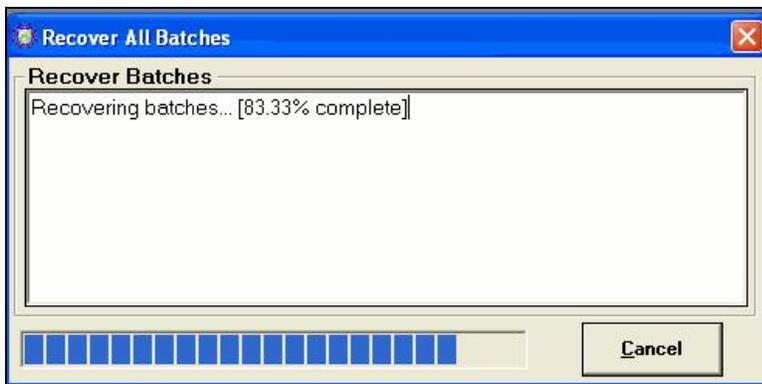


Figure 3.34

17. The following message will appear when the batch recovery is complete. (Figure 3.35)

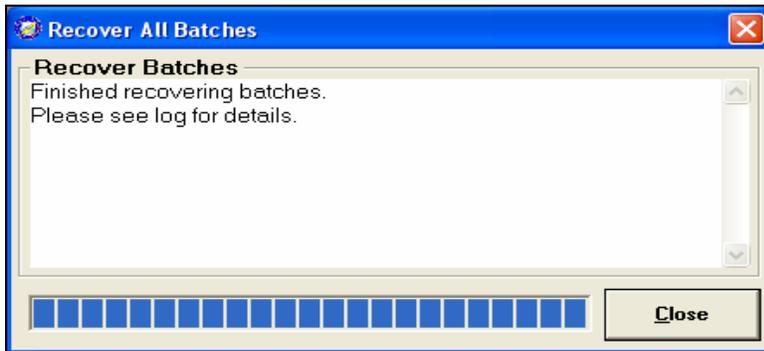


Figure 3.35

18. Check the SAT activity log to verify the batch recovery was successful. If it was unsuccessful, reseal (remove then replace) the backup device (if PCMCIA, zip or flash drive) and reselect Batch Recovery or call FRB-C at 800-624-1373 or 216-579-2112 for assistance to recover the batch(es).
19. Once complete, the cashier will then have an active batch list of items that were recovered. Select **'Close'** on the Batch Recovery screen. Follow the regular Batch Close process described in the *Daily Processing* chapter of this SOP. Balance with item count and dollar amount before you transmit the batch.
20. Once the batch is closed and transmitted, use extreme caution to restore the previous POS terminal configuration to its original configuration prior to further batch processing. Use the information you recorded in step 4 (written or screen print) to restore back to the original configuration if the settings were altered.

Note: *The person who created the batch must be added to the PC that is being used for batch recovery since batches are user-specific and only that user can close and transmit the batch. If the person who created the batch is not available, an authorized user can use Batch Manger to close and transmit the batch.*

Local Verification Database (LVD) Reset

If an agency is utilizing the check verification process through the LVD download, there will be occasions where a new LVD is required. Daily LVD downloads contain only new items received by the MVD. If there is a change in the location's policy, or if the POS is re-deployed to a new location, an entire new LVD should be obtained and needs to be requested manually. Only people authorized to use the SAT will be able to perform an LVD reset.

The LVD reset button erases everything on the LVD in anticipation for a full replacement with new data. **If the LVD reset is selected and a new LVD is not obtained, i.e., user forgets to download a new LVD, there**

will not be any verification of checks presented. To initiate an LVD reset, select the 'LVD Reset'  icon from the main SAT screen, or click 'File', 'Reset LVD...' from the menu at the top of the screen. The following window will appear: (Figure 3.36)

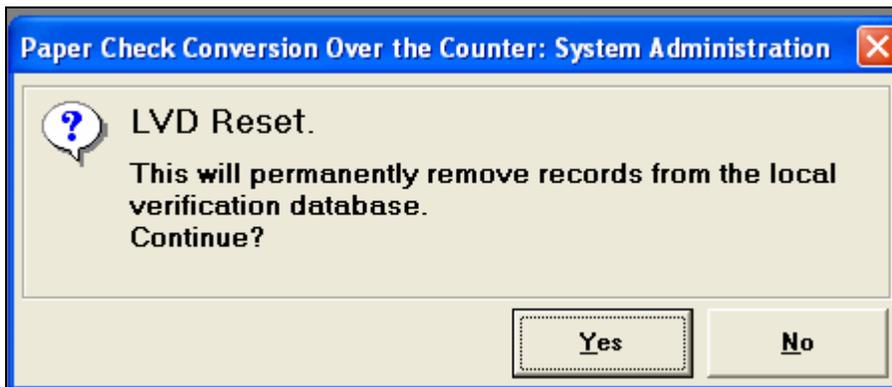


Figure 3.36

Click 'Yes' to perform the LVD Reset. Click 'No' to stop the process and return to the main SAT screen.

Additional information on the LVD is located in the 'Master Verification Database' section of the *ELVIS* chapter of the SOP.

Help – About PCC OTC - SAT

The About 'PCC OTC – SAT' option under the Help menu within the SAT provides the PCC OCT SAT version information, as well as a link to your computer's system information.

1. Login to the SAT application.
2. Select '**Help**', then '**About PCC OTC – System Administration...**'
3. The screen will display the version number for the SAT (circled). This information may be requested from the FRBC or the Treasury for troubleshooting purposes.(Figure 3.37)



Figure 3.37

4. The Help window can also be used to obtain information pertaining to your computer. Click on the 'System Info' button to display information regarding your computer. (Figure 3.38)

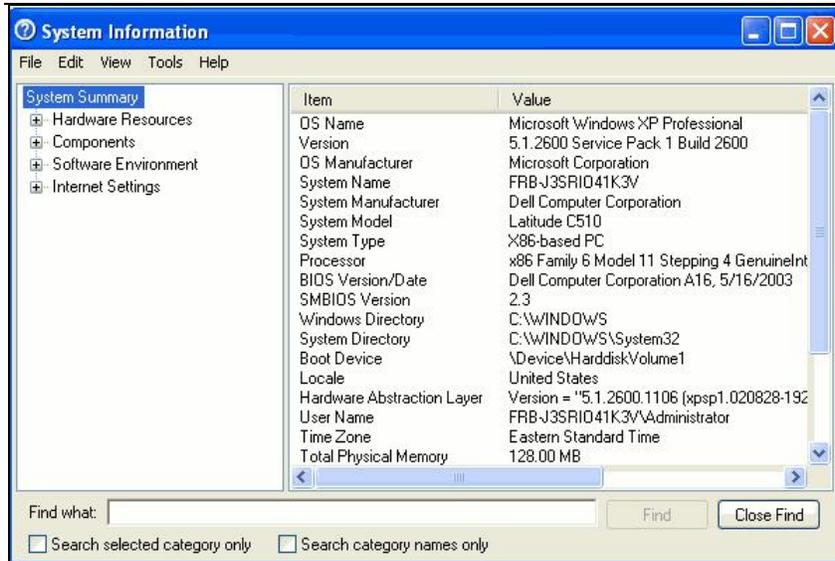


Figure 3.38

Help – other menu options

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

- **Contents** – Displays a menu of in the left pane that includes a Welcome screen – Introduction to Batch Manager, the POS and the SAT as displayed below in Figure 3.39. System messages for each application can also be displayed by clicking in the appropriate area of the left pane. The right pane includes links for the Introduction sections, Tray Manager (an application that monitors all of the PCC OTC applications) messages, System Errors, and a table of navigational key strokes to assist you while using the software. An example of POS Activity Log Messages is displayed in Figure 3.40.

Point-Of-Sale Standard Operating Procedures

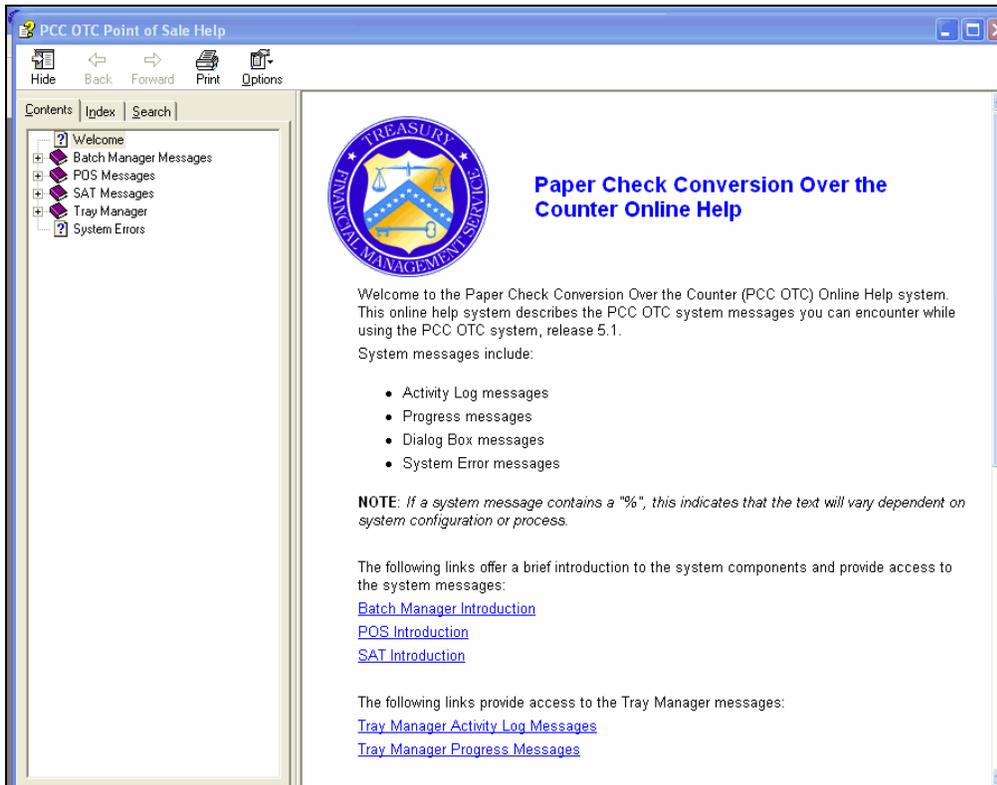


Figure 3.39

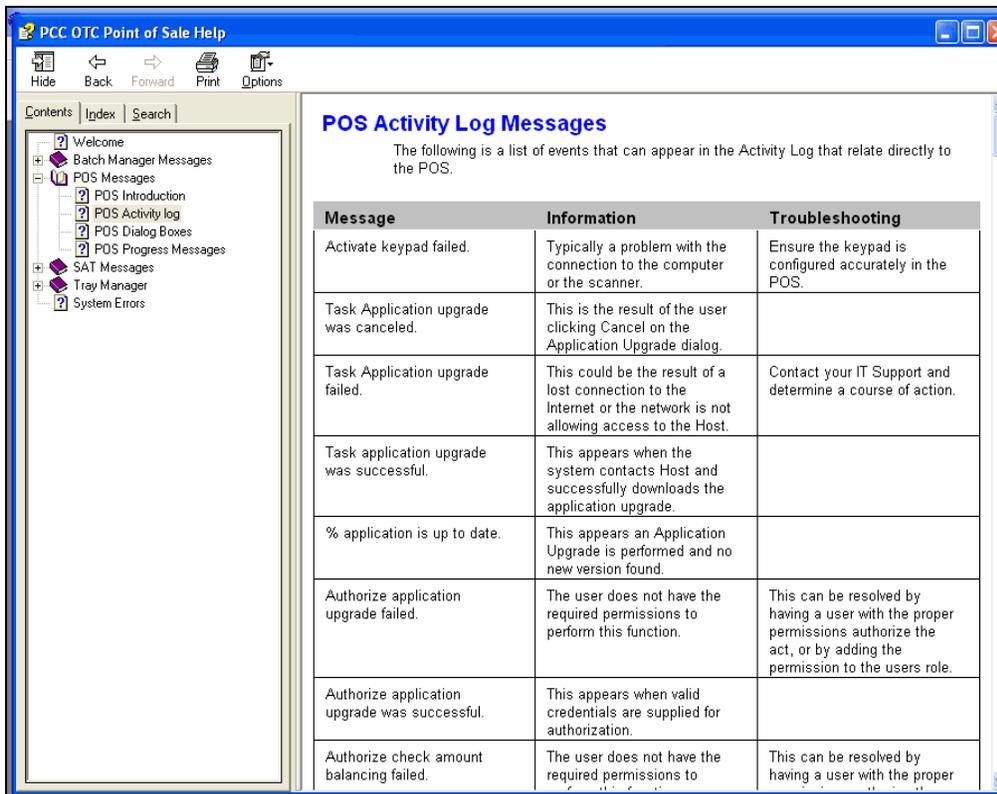


Figure 3.40

- Index – displays an alphabetical index of items on the left side of the screen and the user can click the ‘Display’ button at the bottom of the window on the left to display the contents of that subject in the window on the right side of the screen. (Figure 3.41)

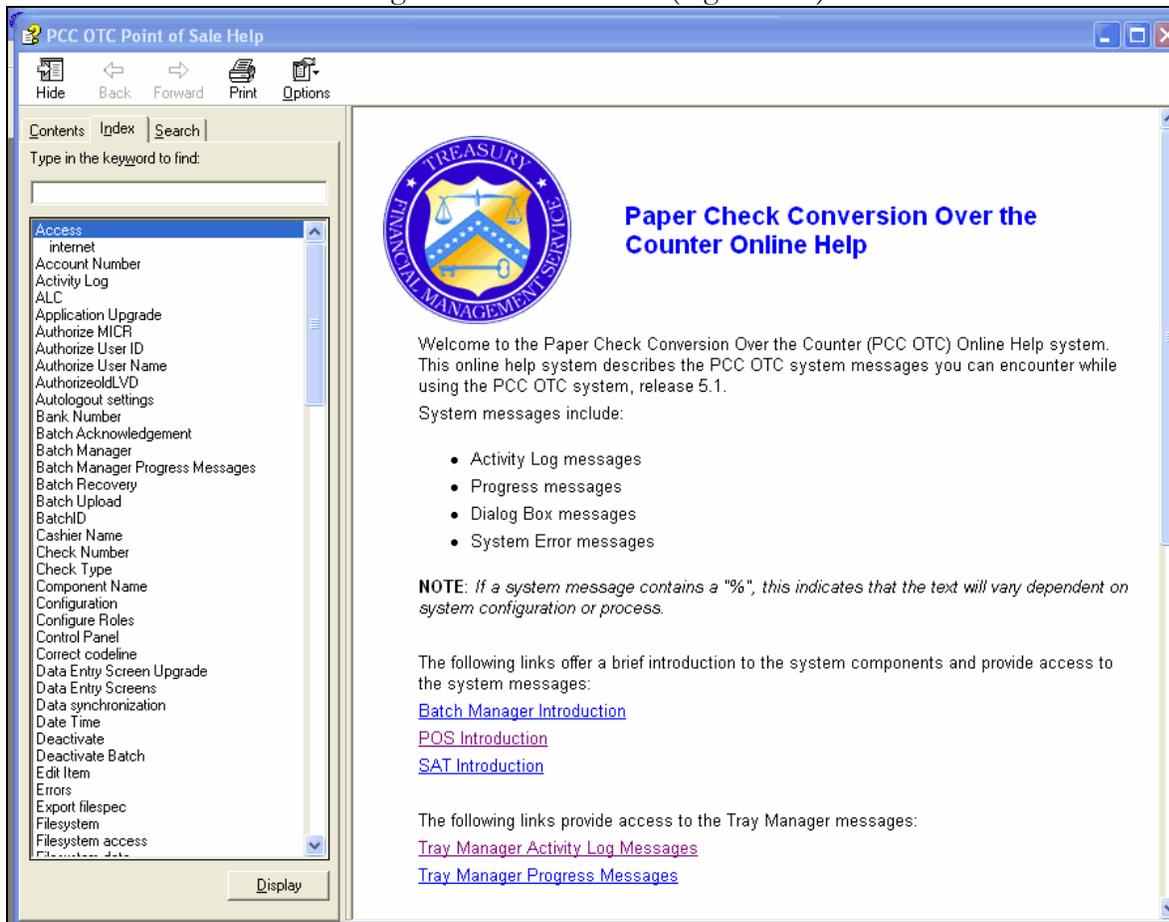


Figure 3.41

- Search – The search function allows the user to type a word or group of words to search for a specific error. An example of the results is displayed in Figure 3.42.

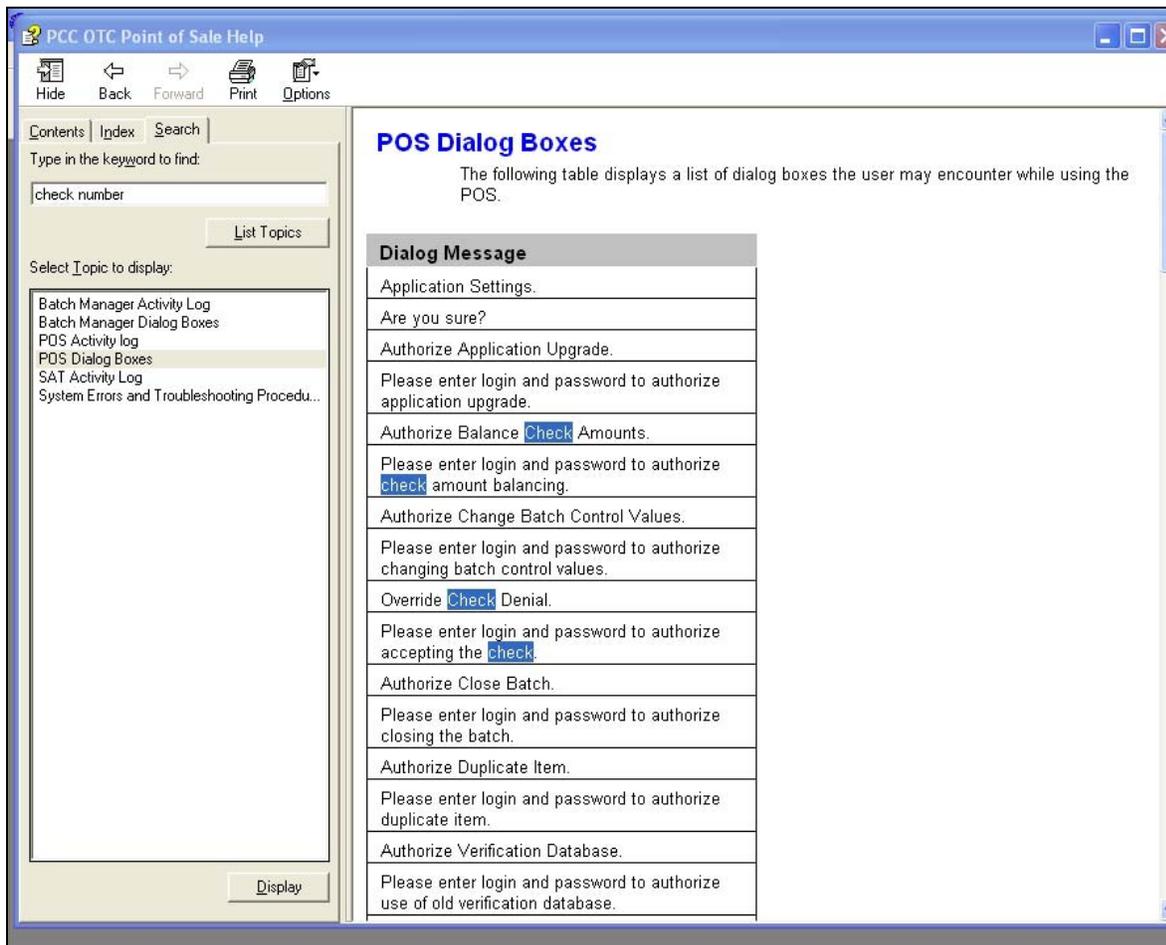


Figure 3.42

POS System Errors

Whenever an error is encountered while using the POS, the operator can check the 'Help' screens for an explanation of the error and the action to be taken. To access the System Error help:

1. Click 'Help' from the POS menu, then click 'Contents'.
2. Click the last option in the left window called 'System Errors'. The following screen will appear (Figure 3.43)

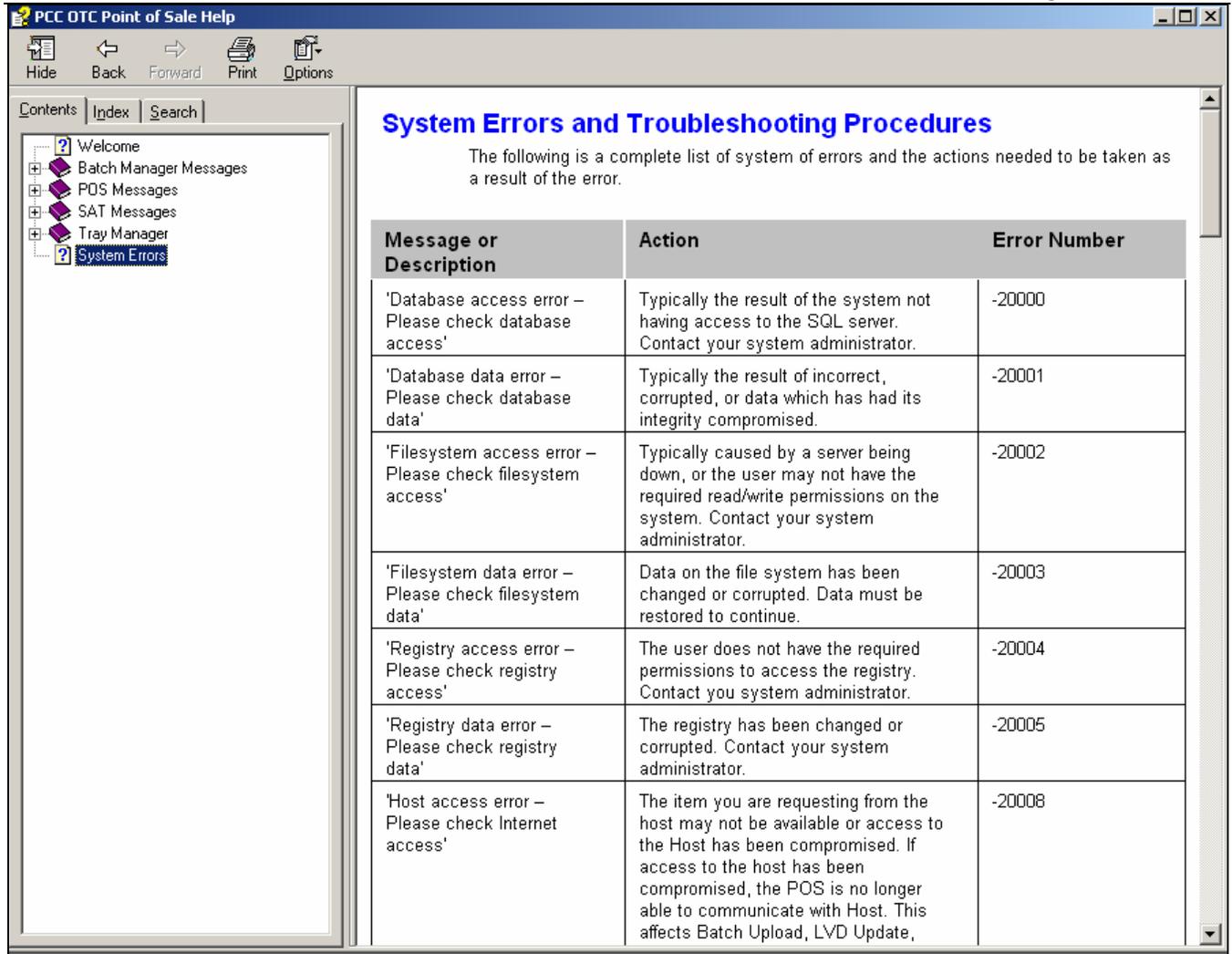


Figure 3.43

3. The error numbers appear in sequential order in the far right column. Scroll down to view all errors.

U.S. Department of the Treasury

Financial Management Service

Paper Check Conversion Over The Counter
(PCC OTC)



Standard Operating Procedures

Batch Manager

Release 5.1

June, 2006

(Revised 2/22/07)

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TABLE OF CONTENTS

Batch Manager	4
Access to Batch Manager	6
Opening the application	6
Logging into Batch Manager	6
Changing a password	7
Logging out of the application	8
Closing the application	8
The Batch Manager Main Window	9
Batch Status	10
Batch Management Functions	12
Refreshing a batch	12
Changing the Look of the Batch Manager Window	12
Deactivating a Batch.....	14
Activating a Batch	15
Acknowledging a batch	15
Closing a batch	16
Printing an item or batch.....	17
Uploading a batch	19
Show item – Print Receipt	19
Edit an item.....	21
Voiding an item	22
About Batch Manager	23
Help	23
Help – other menu options	24

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.

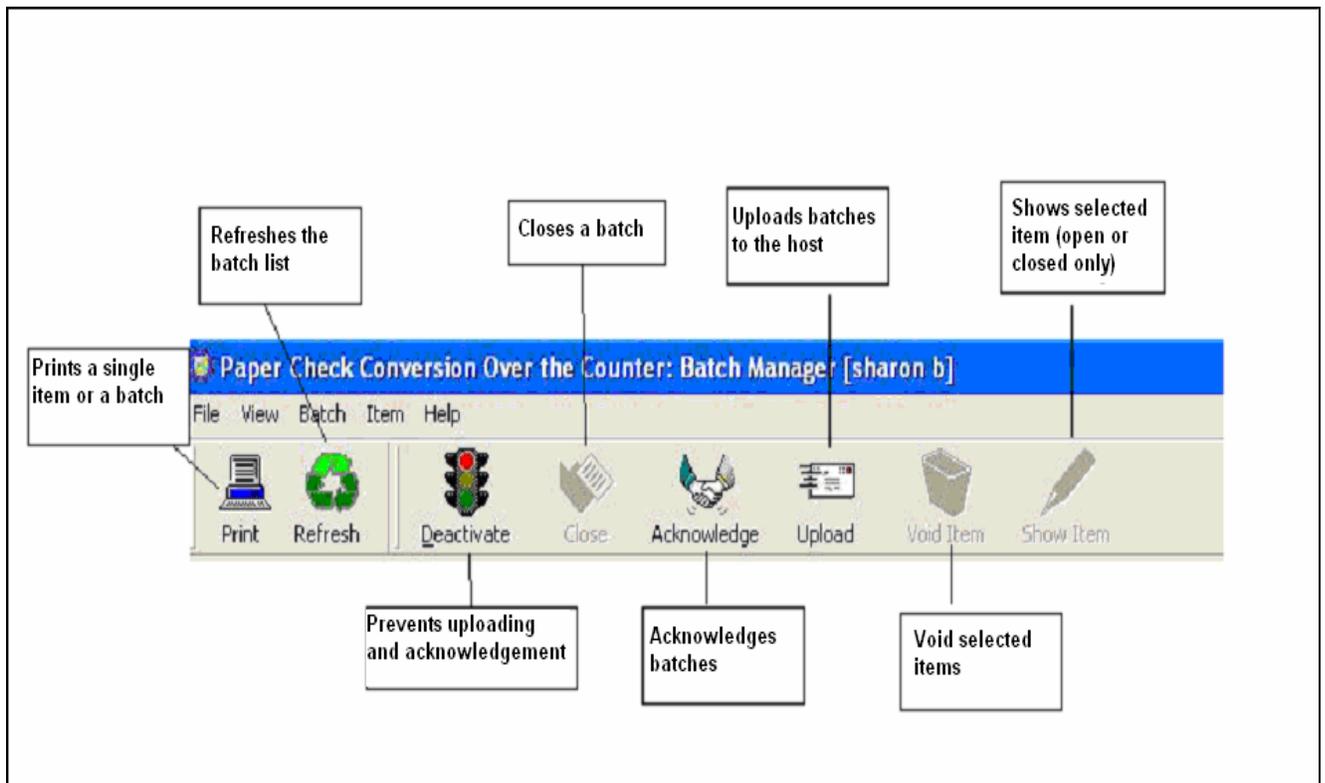


Figure 4.1

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.

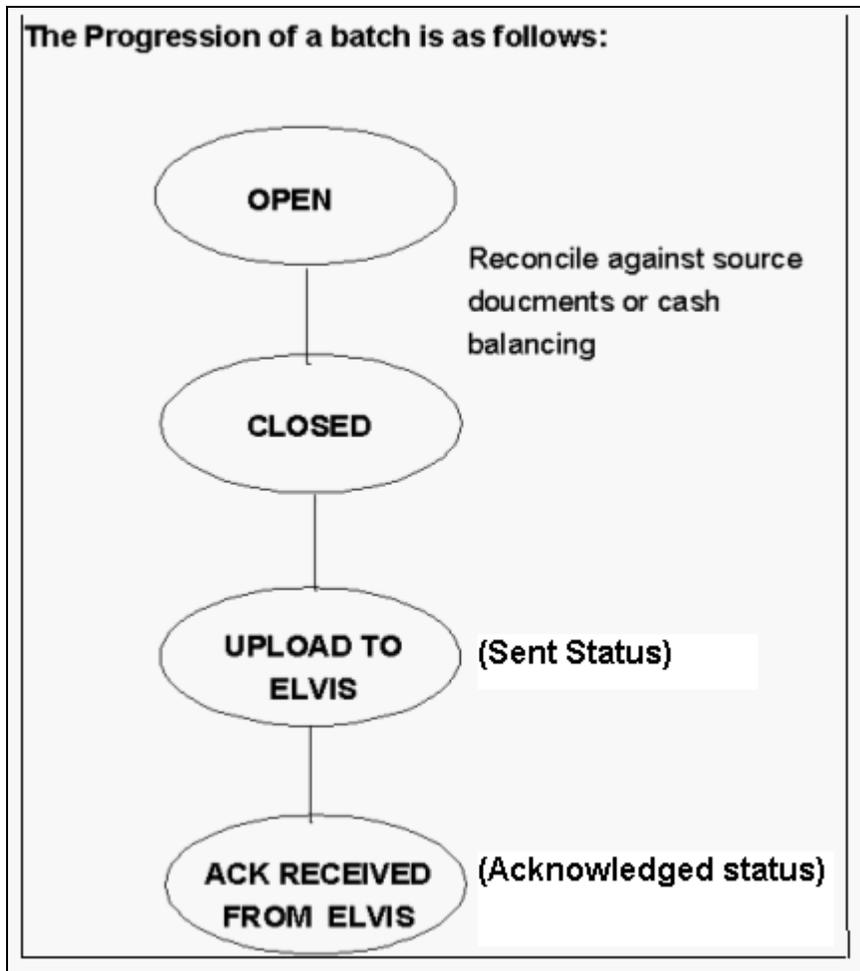
Sent – Batches that have been sent to ELVIS but have not yet been acknowledged. If a user tries to resend a batch that is already in a 'sent' status, ELVIS would indicate to POS that the batch has already been sent and a message as such is presented to the user.

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).

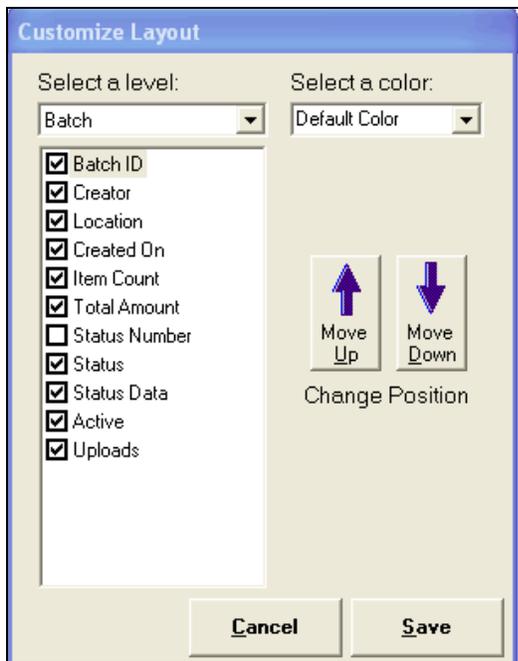


Figure 4.8

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)

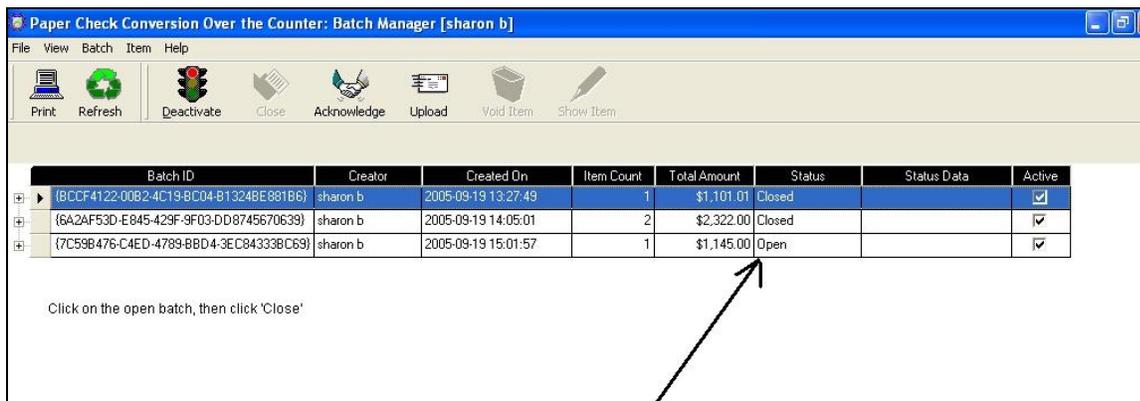


Figure 4.12

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

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.

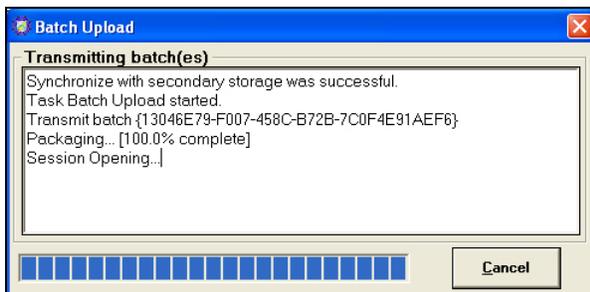


Figure 4.15

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'**.

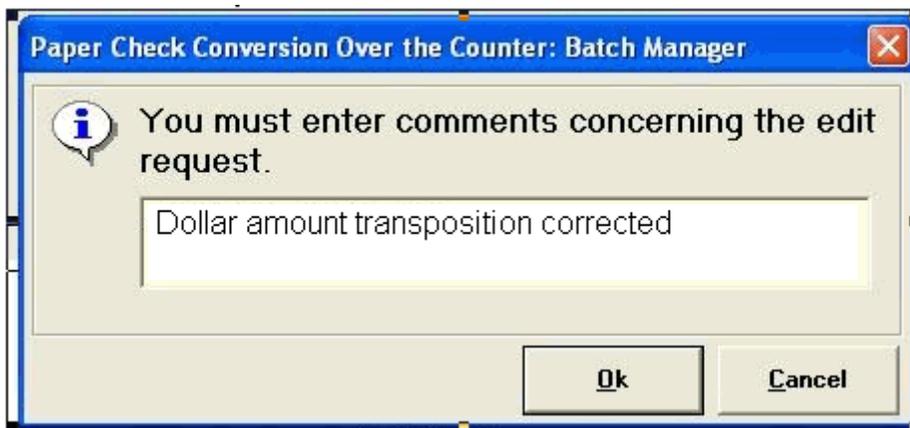


Figure 4.19

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.

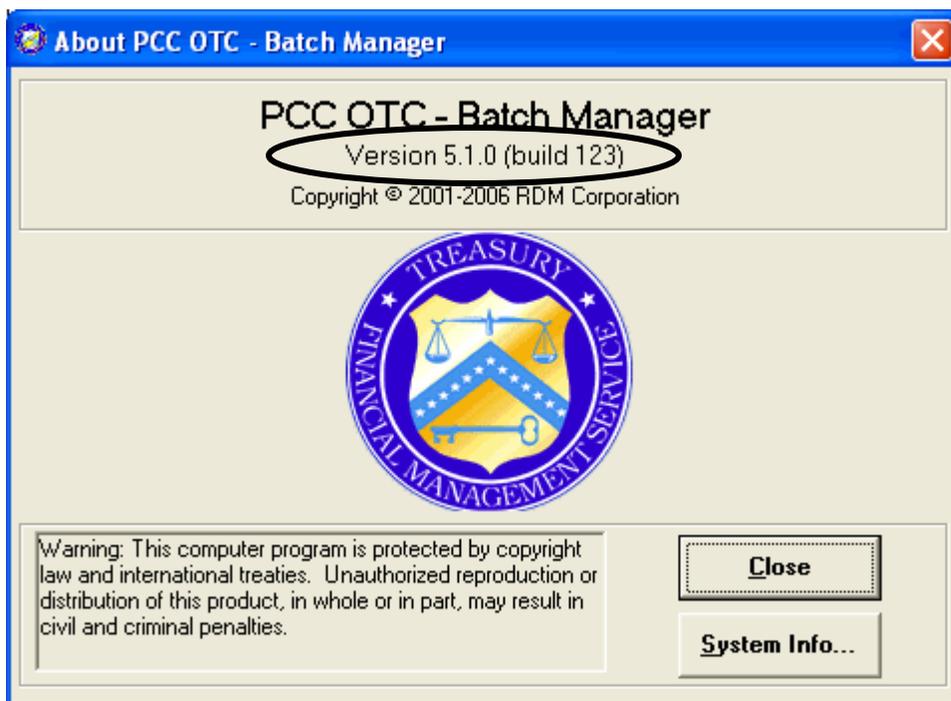


Figure 4.21

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

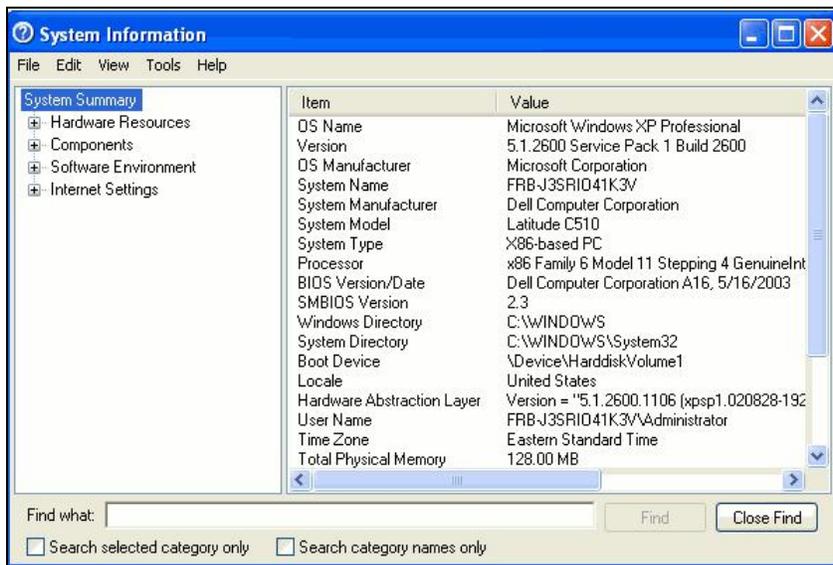


Figure 4.22

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.

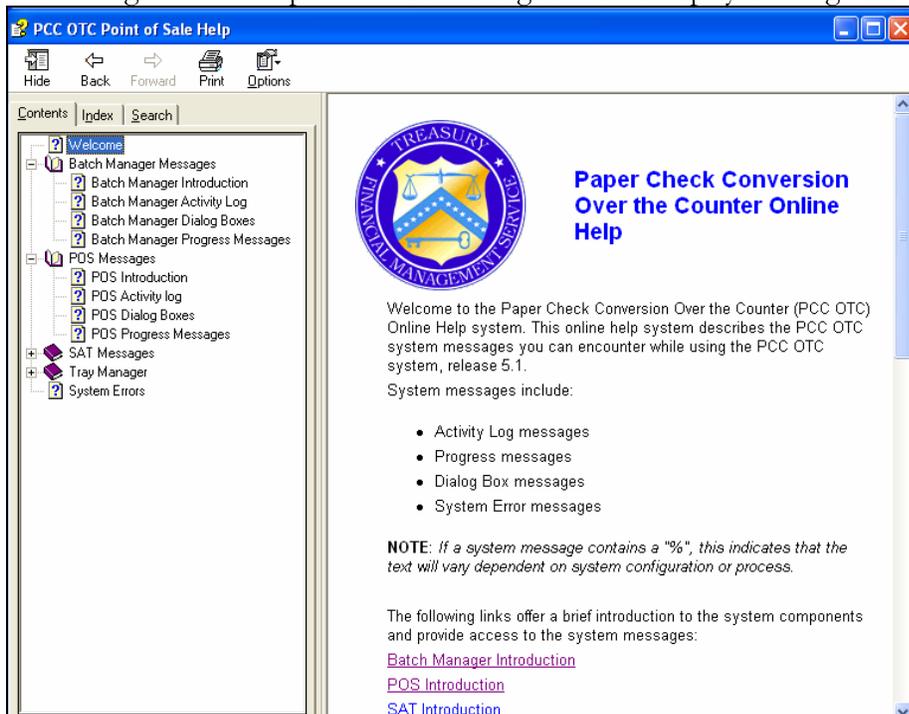


Figure 4.23

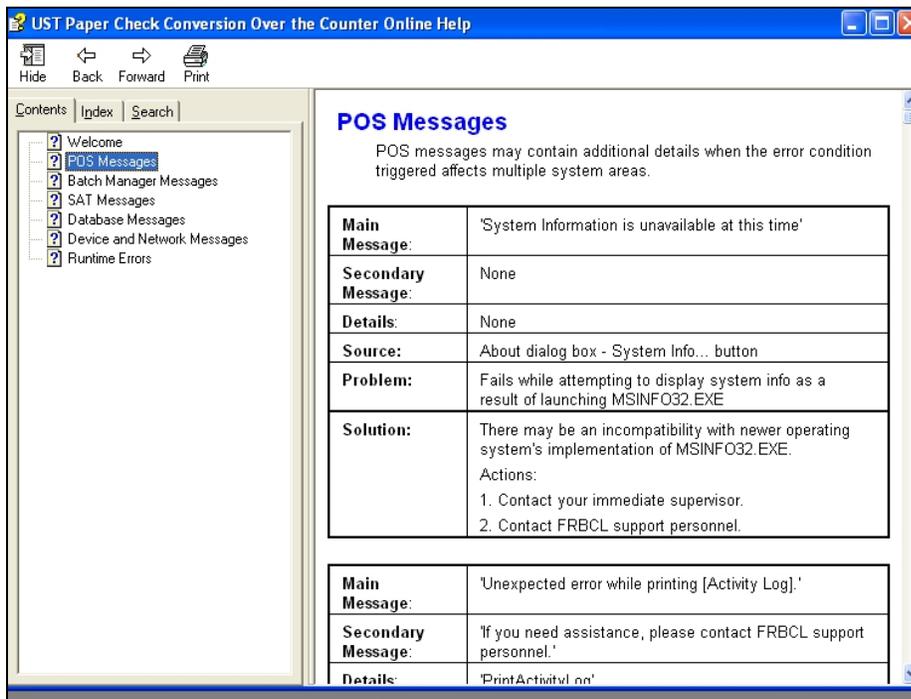


Figure 4.24

- 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)

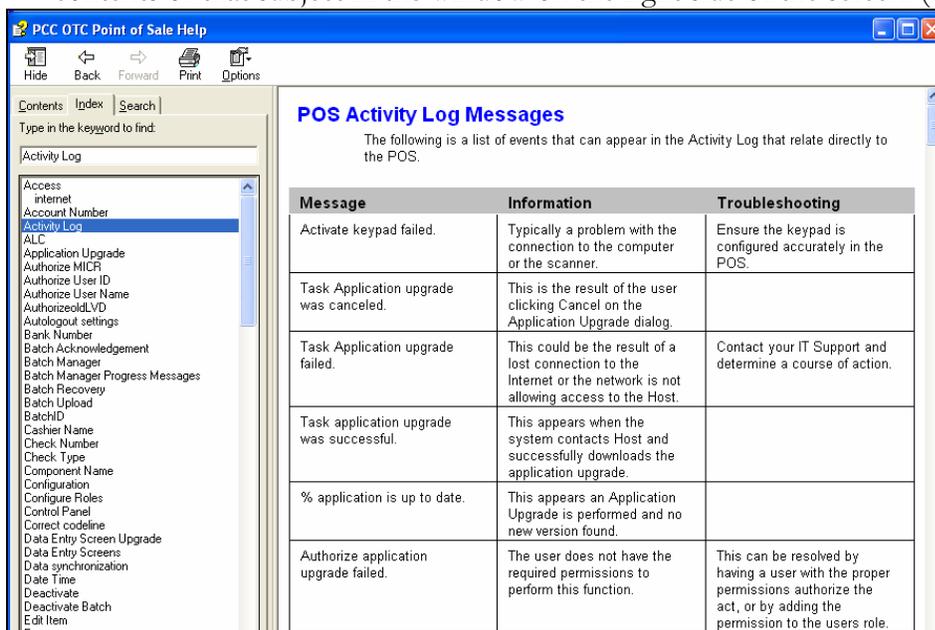


Figure 4.25

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.

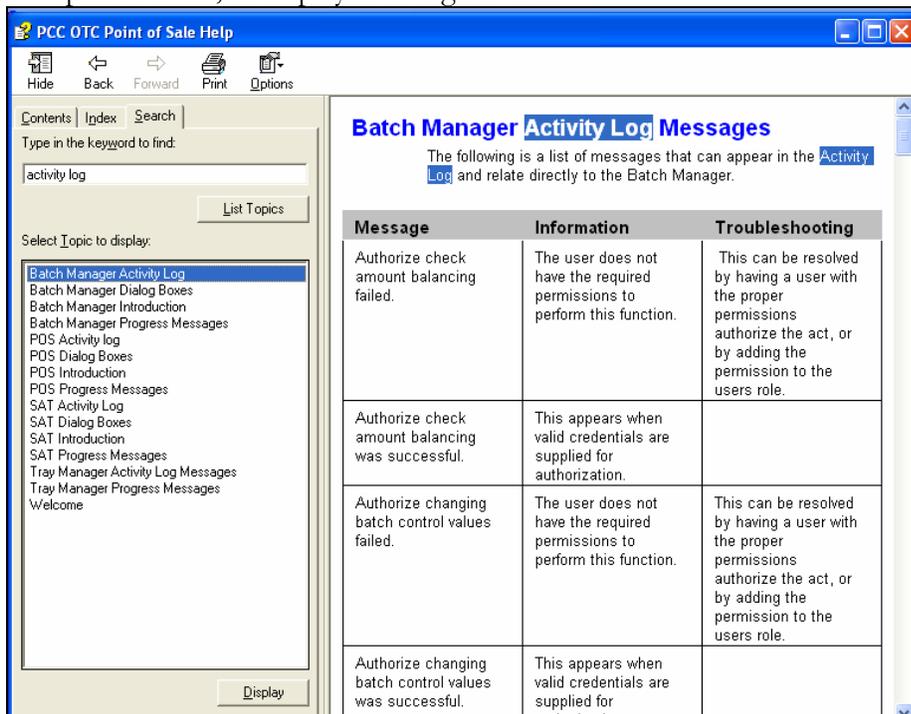


Figure 4.26

U.S. Department of the Treasury

Financial Management Service

Paper Check Conversion
Over the Counter (PCC OTC)



Standard Operating Procedures

ELVIS

Release 5.4

November, 2007

Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
11//2007		Original Document. Various typos corrected, certain acronyms changed for accessibility reasons. Changes reflect updates as related to r5.4 and various other changes as described below:	
	What is ELVIS?	New Figure 5.0.	Page 5
	How does the MVD Work?	-Section re-worded for clarification -New Figure 5.1.	Page 7 Page 8
	Problems Accessing ELVIS	-New 2 nd bullet item. -Updated text in 3 rd bullet item.	Page 12
	What's New for ELVIS 5.4	Replaces former section, 'What's New for ELVIS 5.2/5.1'.	Page 13
	Supported Browsers	Addition of Internet Explorer® 7.0.	Page 13
	Changing the ELVIS Password	-New reference to Appendix R password requirements. -Cannot reuse last 10 passwords.	Page 16
	ELVIS Password Requirements	Requirements reference Appendix R.	Page 17
	Password Error Messages	New Table describing error messages.	Page 18
	Adding a User	Additional text describes changes to the using the User Access Request Form.	Page 36
	Add MVD Record	-Updated description of a suspended record. -New second paragraph.	Page 49
	Clearing an MVD Record	New section (previously omitted).	Page 55
	Item Status	Clarified definition of 'failed' items.	Page 58
	To Perform a CIRA Query	Second 'Note' in the section is new.	Page 61
	215 Deposit Ticket Report	Report now available for 45 days.	Page 84
	5515 Debit Voucher Report	Report now available for 45 days.	Page 90
	CIRA CSV Report	-First 'Note' section references Appendix R. -Fifth 'Note' section is new.	Page 96 Page 97

Table of Contents

- ELVIS 5**
- What is PCC OTC? 5**
 - What is ELVIS? 5
 - What is the P O S? 5
 - Central Image Research Archive (CIRA) 6
 - Master Verification Database (MVD)..... 6
 - How Does the MVD Work?..... 7
 - What is Included in a Location’s Policy?..... 8
 - Location Hierarchy..... 9
 - PCC OTC Roles for ELVIS 10
 - Roles without MVD Permission..... 10
 - Roles with MVD Permission..... 11
- Problem Accessing ELVIS 12**
- What’s new for ELVIS 5.4? 13**
- Supported Browsers..... 13**
- Special Character Handling..... 14**
- Accessing the ELVIS URL 15**
 - The ELVIS Login Screen..... 15
 - Changing the ELVIS Password..... 16
 - ELVIS Password Requirements 17
 - Other Security Guidelines 17
 - Password Reset/Account Lock..... 17
 - Password Expiration..... 18
 - Logging into ELVIS for the First Time..... 18
 - Password Error Messages 18
 - Learn More About PCC OTC 20
 - Successful Login to ELVIS..... 21
 - Successful Login to ELVIS..... 21
 - Logout of ELVIS 22
 - Rules of Behavior..... 23
 - Declining the Rules of Behavior 25
 - Privacy Statement 26
 - Accessibility Statement..... 28
- Navigating ELVIS..... 29**
 - ELVIS Main Menu..... 29
 - Hide ELVIS Main Menu 29
 - Sorting Records..... 31
 - Field Formats 32
 - Icon Assisted Fields..... 32
 - Multiple Choice Fields 33
 - Reset Button..... 34

Point-Of-Sale Standard Operating Procedures

Cancel Button.....	35
System Timeout	35
ELVIS Administration	36
Establishing a PCC OTC Security Contact	36
Adding a User	36
Deleting or Modifying a User	36
Access Request	36
The ELVIS Menu Options	37
Location Query	38
Data Privacy	41
Dynamic Records	42
Verification (applicable for MVD users only).....	43
Status of Verification Record	43
Query Verification Records (MVD users only).....	44
Add MVD Record	49
Update MVD Record.....	51
Clearing an MVD Record.....	55
CIRA Query	56
Available Search Fields.....	56
Item Status.....	58
Count	59
To perform a CIRA Query:	59
To Show History	66
To Show Image:	67
To Print the Image:.....	68
To Print the Details.....	69
Other Uses for the CIRA Query	69
Request a CIRA Count:.....	70
The ELVIS Viewer.....	72
Show Image.....	72
Unzipping Files	74
Unzip Instructions for Windows XP Users:	74
Reports.....	77
To Request Reports	78
View Report – Common Functionality	78
Download Reports.....	79
Agency CIRA Report.....	80
Location Hierarchy Report.....	82
215 Deposit Ticket Report	84
LVD Contents Report	86
Location Check Cashing Policy Report	88
5515 Debit Voucher Report	90
CIRA CSV Report	96
Saving as a TXT File.....	98

ELVIS

What is PCC OTC?

There are two major components in PCC OTC that are used to process a check from presentment to collection. ELVIS is used for researching check images and settlement history, and P O S is the software used on the Agency's computer to process check transactions. The entire family of products consisting of ELVIS and P O S is known as PCC OTC.

What is ELVIS?

The first component is ELVIS — **EL**ectronic **V**erification and **I**mage **S**ervices. ELVIS is the host application where all check images are stored. This storage subsystem is called the Central Image Research Archive (CIRA). ELVIS also houses the Master Verification Database (MVD) which is a listing of returned PCC OTC transactions. In addition, ELVIS receives batches, creates files that are needed to complete the item collection process, and is used for creating reports.

What is the P O S?

The second component is the P O S — **P**oint **O**f **S**ale. The P O S is the PC-based software that contains its own components in the form of three separate modules. 1) The S A T stands for System Administration Tool. This component is used by the Agency's administrators to grant access to individual users. Other security type functions are also performed within the S A T. 2) Batch Manager is a component that is used to update or delete batches. 3) The P O S is used to capture images of the check along with transaction data. The transactions are collected in a batch and transmitted to ELVIS via a secured transmission over the internet. The following diagram (Figure 5.0) illustrates how the components within PCC OTC are related:

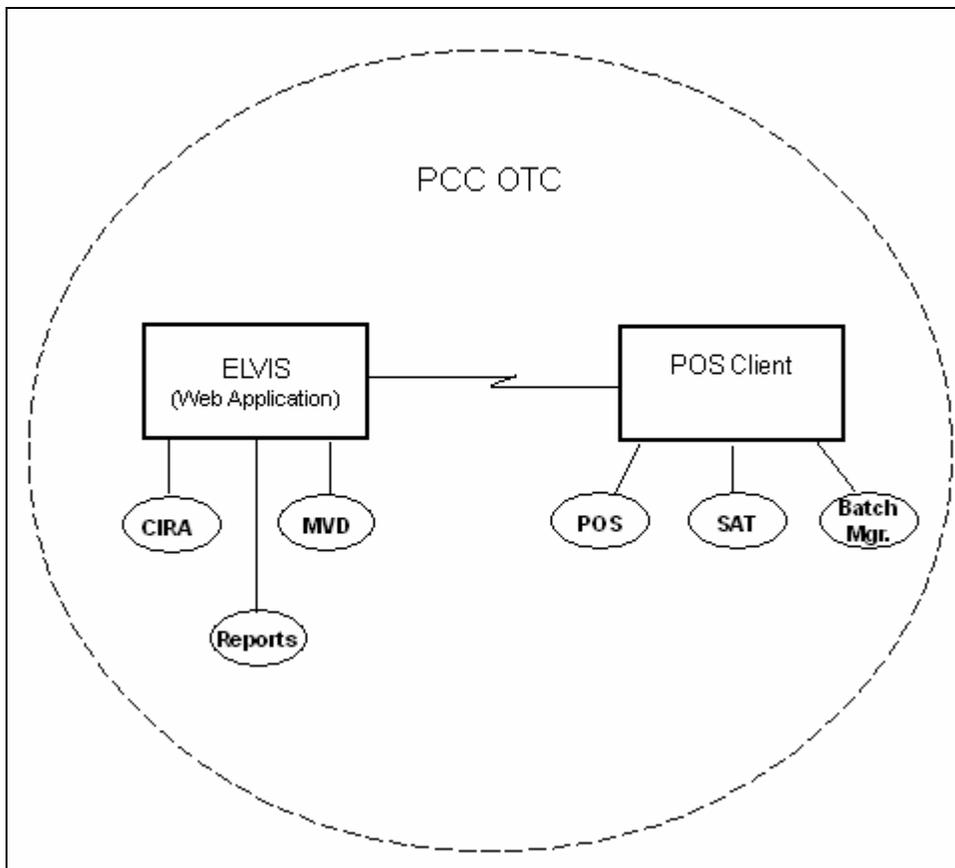


Figure 5.0

Central Image Research Archive (CIRA)

The CIRA contains an archive of all check images processed by participating agencies and locations of the PCC OTC program. The archived batches originate from multiple P O S applications deployed at various locations. During the 'Batch Close' process, transactions are transmitted into ELVIS and are available for viewing within minutes. (Volume and system activity will affect the amount of time it will take to view the batch in CIRA.). Authorized users can perform searches and view groups of specific checks that have been archived. Access to the CIRA should be limited to authorized users due to the confidential nature of the items.

Master Verification Database (MVD)

The Master Verification Database (MVD) provides the PCC OTC P O S system information to ensure a presented check is acceptable. This feature is optional for Agencies to use. The MVD is a "negative" database containing "return" information on checks and accounts that have failed to clear in a previous PCC OTC transaction attempt, and "blocked" accounts/routing numbers or individuals that have been identified where future transactions are not desired. The essence of this service is to advise the PCC OTC operator that the customer has had a prior transaction returned. This information can be used to determine whether or not the transaction should be completed on the P O S.

How Does the MVD Work?

Verification records are derived from returns of previous processed payments originated through the PCC OTC system, as well as manually entered records (i.e. blocked, suspended, or denied record). A subset of the MVD, based on requesting location and defined configurable filter parameters, is forwarded to the local P O S application (See Figure 5.1). This subset is known as the Local Verification Database (LVD). Blocked, suspended, or denied data is entered manually by an authorized person from a site, a region, an agency, or even the FRB. The transactional and blocked information is distributed to a P O S computer based upon the site’s position in the agency’s hierarchy and upon an agency’s policy (See Figure 5.1.1). By default a location will receive all blocked, suspended and denied records created at the location; all blocked, suspended, and denied records of the location’s subordinate sites; all blocked records created at all direct ancestors above the location; and any blocked, suspended, or denied records from any location and their subordinates in the requesting location’s location group. A location group typically includes locations from the hierarchy of respective location’s agency. Upon processing a check, the P O S application queries this information, known as the Local Verification Database or (“LVD”), for known negative payment history.

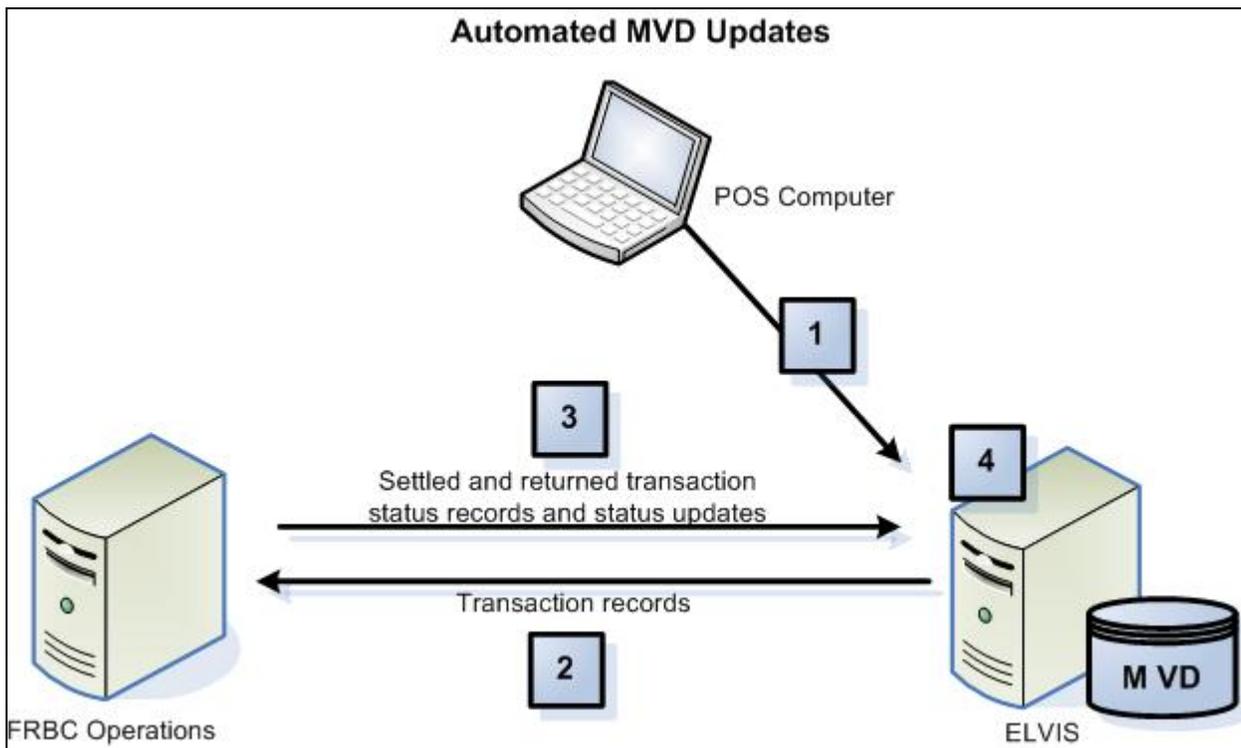


Figure 5.1

1. Check transactions are processed at the P O S and sent to ELVIS
2. Check transaction data is sent from ELVIS to the FRB-C operations
3. The negative returns on check transactions are sent from the FRB-C operations to the MVD.
4. Verification record is completed with information from original payment transaction.

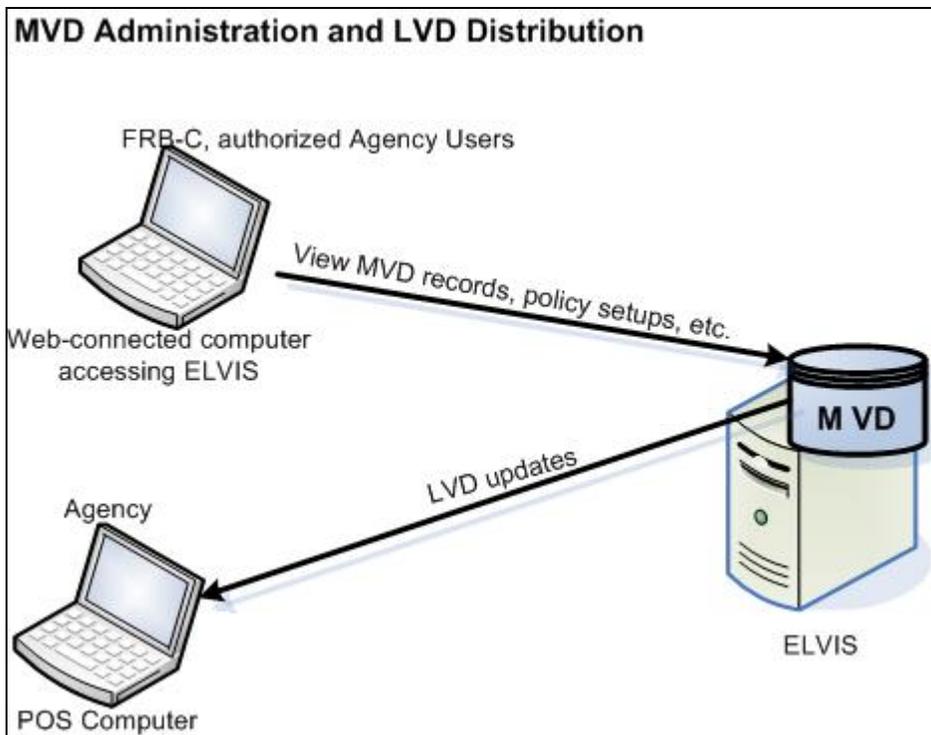


Figure 5.1.1

- FRB-C or Location Management submits blocked, suspended or denied records to the MVD.
- Periodically, the P O S system requests an update from the Verification Server to keep the P O S system's Local Verification Database (LVD) up-to-date.
- When checks are processed at the P O S, the routing number/account and the agency's required configurable field information is validated against the Local Verification Database.

What is Included in a Location's Policy?

A location's policy helps automate an Agency's check cashing/collection policy. The location's policy is based upon the agency's overall program or policy to ensure a consistent application of an agency-wide check verification including returned reason codes, suspension periods, and the inclusion of expired items. As part of the agency's participation in the PCC OTC program, the agency provides the FRBC, via the Agency Site Profile (A S P), their check collection policy regarding:

- Number of returns permissible by the agency
- Length of time for each suspension period
- Generate Verification records based on:
 - The inclusion of Represented and Retired checks
 - The inclusion of Retired checks only
 - The number and timing of representments

An Agency chooses when MVD records are created – either:

- With any return item - or -

- When items are retired to the Agency

The final piece of information required in a location's policy is what other locations are included in a location's LVD, known as the "location group". The location group typically includes locations from the hierarchy (see below for explanation of location hierarchy) of the respective location's agency, as well as locations from another agency's hierarchy that may be in close proximity or service similar customers.

The location's policy is established during the set-up of a location in the MVD system. FRBC will administer the set-up of all locations based on the agency's and the location's Agency Site Profile (A S P). FRBC will administer all edits or modifications to a location, including the location's policy.

Location Hierarchy

Security within ELVIS is based on location hierarchy. Starting at the lowest level of this hierarchy is a P O S device or collection of P O S devices at a single physical location. The next level of the hierarchical tree is a logical grouping of P O S's for an agency or branch of an agency. Each larger grouping progresses through an agency, up to a Bureau or Division, then up to a Department within the Federal Government.

The number of levels within the hierarchy varies depending on the structure of a given Federal agency. This hierarchical structure is used when determining access to records and reports within ELVIS as well as populating records in a download of Master Verification Database records to an individual P O S terminal.

PCC OTC Roles for ELVIS

In order for users to have access to ELVIS, a PCC OTC Access Request form must be completed by the Agency's Security Contact. Once received, the FRB-C issues users their User Name and temporary password. The PCC OTC Access Request form can be downloaded from the PCC OTC information website at <https://www.pccotc.gov/pccotc/index.htm>. Your agency may utilize any role (listed across the top) from the one of the following two grids as applicable to your business.

The following Roles are without MVD (Master Verification Database) permissions. Agencies who are not using our optional negative list should select roles from this area.

Roles without MVD Permission

ELVIS Permissions	Agency Manager1	CIRA	CIRA / Reports	CIRA / Reports/CSV	P O S Download
Read Locations	Y	Y	Y	Y	
Read CIRA records	Y	Y	Y	Y	
Read Agency Statistical Reports	Y		Y	Y	
Read CIRA CSV Report	Y			Y	
Read Deposit Ticket Report	Y		Y	Y	
Read Debit Voucher Report	Y		Y	Y	
Read General Agency Reports	Y		Y	Y	
P O S Download					Y

Point-Of-Sale Standard Operating Procedures

The following Roles include MVD permissions. Agencies who are using our optional negative list should select roles from this area.

Roles with MVD Permission

ELVIS Permissions	Agency Manager2	MVD Edit	MVD Edit/CIRA	MVD Edit/CIRA/ Reports	MVD Edit/CIRA/ Reports/ CSV	MVD View	MVD View/CIRA	MVD View/CIRA/ Reports	MVD View/CIRA/ Reports/ CSV	P O S Download
Read Locations	Y	Y	Y	Y	Y	Y	Y	Y	Y	
Read CIRA records	Y		Y	Y	Y		Y	Y	Y	
Read Agency Statistical Reports	Y			Y	Y			Y	Y	
Read CIRA CSV Report	Y				Y				Y	
Read Deposit Ticket Report	Y			Y	Y			Y	Y	
Read Debit Voucher Report	Y			Y	Y			Y	Y	
Read General Agency Reports	Y			Y	Y			Y	Y	
Create Verification Records	Y	Y	Y	Y	Y					
Update Verification Records	Y	Y	Y	Y	Y					
Read Verification Records	Y	Y	Y	Y	Y	Y	Y	Y	Y	
Read Block record containing only ABA	Y	Y	Y	Y	Y	Y	Y	Y	Y	
P O S Download										Y

Note: The P O S Download permission is given only to certain individual and gives them the capability to log on to ELVIS and download an updated Release of the P O S software whenever it is available. This permission requires a separate user name. This separate user name can only perform the P O S download function.

Problem Accessing ELVIS

If a user experiences difficulty in accessing ELVIS or obtaining images once on the ELVIS website:
Try to access another web site to ensure that Internet access is available.

- Shut the computer down and restart it using the 'Turn Off Computer' option from the Windows 'Start' menu. Click the 'Restart' button. If you are still unable to access the site after the computer restarts but able to access other sites, contact the System Administrator.
- Check your P O S version. P O S versions below 5.0 have not been tested and are not guaranteed to work with ELVIS 5.4 and your P O S may need to be upgraded.
- Make sure that you are accessing the correct URL to access ELVIS: <https://www.pccotc.gov/pcc5webapp/>. This URL is set in the system configuration settings. For further instruction on how to change the system configuration, please refer to the *S A T* chapter of this S O P.
- Ensure that you are not attempting to transmit or access ELVIS during our maintenance window which is every Sunday between 2:00am and 6:00am ET.
- Be certain that you are typing the correct password as it is case sensitive. If the account is locked, call FRB-C Customer Service at 800-624-1373, 216-579-2112, or DSN 510-428-6824, press 4, then 5, then 4, or send an email to pccotc@clev.frb.org.

What's new for ELVIS 5.4?

Changes continue to make the application more accessible to everyone. Most of the changes are behind the scenes and do not affect the look and feel of the application.

One of the biggest changes to ELVIS 5.4 is support for Internet Explorer 7. Agencies can access ELVIS using either IE 6 or IE 7.

The Back Office processing method allows customers to convert payments received at the point-of-sale or manned bill payment locations to A C H entries in a controlled, back-office environment. Support for the 'Back Office Conversion' processing mode in the P O S is reflected on all affected Reports including the CSV Agency detailed item report. The check type and processing method are indicated on the CSV report as 'personal/non personal' and 'Back Office', respectively.

Supported Browsers

To ensure the security of the ELVIS system, a 128 bit encrypted browser must be used. The following browsers support 128 bit encryption:

Internet Explorer 6.0 or Internet Explorer 7.0

Note: *No ELVIS features have been tested using Mozilla or Netscape.*

To determine your browser's version number, open the browser, click on 'Help', then 'About'. A window will open that displays the version number.

Special Character Handling

The special character handling defined below are consistent for all input fields. Do not use special characters in data input fields within ELVIS unless used as specified in the table below. (Password fields follow different rules and certain special characters can be used).

Special Character(s)	Handling
‘ _ - @ #	Valid if surrounded by alpha characters. Exception: The hyphen (dash) is only permitted for the fields associated with the MICR, Raw MICR, account number, routing number, and check number. The hyphen shall be permitted in the Batch ID field if surrounded by alphanumeric characters. The hyphen and/or underscore special characters shall be permitted in the I R N field in the Verification Query. The hyphen shall be permitted in the first configurable field of verification and CIRA records. Two consecutive hyphens are not allowed.
\$	Valid if surrounded by alpha or numeric characters
. / : _	Allowed wherever a URL must be entered. The forward slash is also permitted for use in a date entry field. The period is also permitted for use in free text fields if the period is preceded by an alpha or numeric character. The amount field will only accept numeric characters and one period.
All other special Characters	If a character was not specifically mentioned it is not permitted at all. Passwords are exempt from these special character handling rules.

Accessing the ELVIS URL

The ELVIS Login Screen

Start your Internet browser (Internet Explorer 6.0® or higher is recommended) and connect to the secure ELVIS web address at <https://www.pccotc.gov>. The following ELVIS Login screen appears (Figure 5.2):

U.S. Treasury
Paper Check Conversion Over the Counter

Welcome! Please enter your user name and password:

User Name: Password:

[Change your Password](#)

 [To learn more about PCC OTC](#)

WARNING: Information Protection

You are using an Official United States Government System, which may be used only for authorized purposes. Unauthorized modification of any information stored on this system may result in criminal prosecution. The Government may monitor and audit the usage of this system, and all persons are hereby notified that the use of this system constitutes consent to such monitoring and auditing. Unauthorized attempts to upload information and/or change information on these web sites are strictly prohibited and are subject to prosecution under the Computer Fraud and Abuse Act of 1986 and Title 18 U.S.C. Sec. 1001 and 1030.

[Rules of Behavior](#) - [Privacy Statement](#) - [Accessibility Statement](#)

Figure 5.2

To login to ELVIS, enter your User Name and Password in the appropriate fields and then click the **‘OK’** button. The password field will display blank spaces as you type your password, and only the moving cursor will be visible. Upon a successful login, the ELVIS Home page will be displayed. Users can change their password on this screen by selecting the **‘Change your Password’** link.

Note: Only authorized users can gain access to the ELVIS application. PCC OTC Security Contacts must submit a PCC OTC Access Request form for each user. This form can be found on the PCC OTC information website at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>. The FRB-C Information Security will email the username to the user’s email address with the phone number to call to obtain their temporary password.

Note: Upon the first signon to ELVIS, new users will see the Rules of Behavior displayed on the screen and must read and agree to the terms. Existing users will be prompted once a year to read and agree to the terms of the Rules of Behavior. Users will need to read and click the box that states **‘I agree’** to continue.

® Internet Explorer is a registered trademark of Microsoft Corporation.

Changing the ELVIS Password

The ELVIS password can be changed at anytime. The password will expire every 90 calendar days and each user will have to change their password to a new, unique password. For complete specifics regarding password requirements, please see *Appendix R – Password Requirements* in the Appendix chapter of this S O P, or contact the PCC OTC Customer Service team. A user may also change their password if they feel as though it has been compromised. The system maintains a record of the last 10 passwords used. The user will not be allowed to re-use their last 10 passwords.

To change a password:

1. Select the **'Change Your Password'** link from the ELVIS login screen. The following screen will appear: (Figure 5.3)

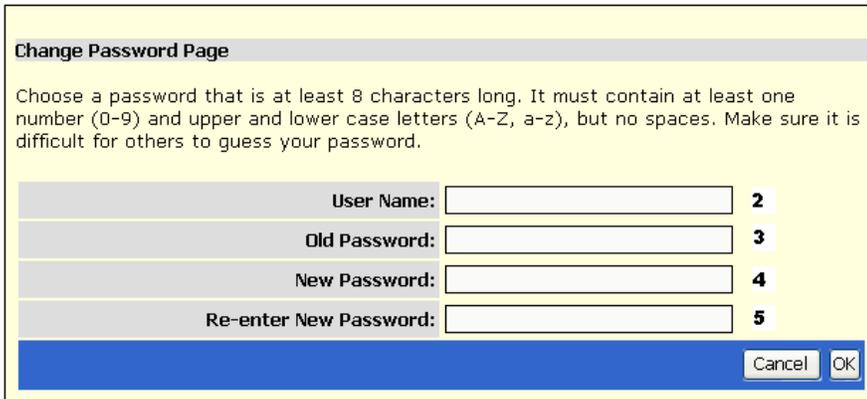


Figure 5.3

2. Enter your User Name as provided by FRB-C or the Treasury.
3. Enter your current password. All password fields will display blank spaces as you type your password, and only the moving cursor will be visible.
4. Enter a new password (see the *Password Requirements* section of this chapter for specifics)
5. Re-Enter the new password to confirm it.
6. Click the **'OK'** button.

If the password has been successfully changed, the screen will be similar to Figure 5.4 below:

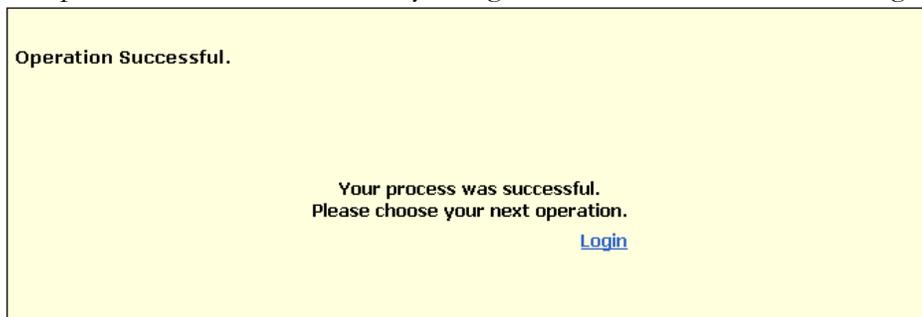


Figure 5.4

7. Click the **'Login'** link to continue with the login process. You will now login using your freshly changed password. Upon successful login, the ELVIS Home page appears, as displayed in Figure 5.6.

ELVIS Password Requirements

For information on password requirements, please see *Appendix R – Password Requirements* in the Appendix chapter of this S O P, or contact the PCC OTC Customer Service team.

Other Security Guidelines

- Prevent others from watching while your password is entered, or from guessing your password. Do not use names of persons, places, or things that are identified with you.
- If you feel that your password has been compromised, it must be changed immediately.
- Unauthorized use of the system must be reported to FRB Customer Service at 1-800-624-1373 or 216-579-2112.
- Log off of the system whenever you leave your computer unattended by clicking on the **'Logout'** button on the menu or clicking the **'X'** at the upper right corner of the screen.
- An authorization request must be completed yearly to certify users. This request will be initiated by FRB-C.

Password Reset/Account Lock

If a user account is locked and a password needs to be reset for ELVIS, call FRB-C Customer Service at 800-624-1373, 216-579-2112, or for military personnel, DSN 510-428-6824, option 4, option 5, option 4, Monday through Friday, from 8:00 a.m. to 8:00 p.m. ET. An FRB-C Information Security staff member will call the user back, and provide the user with the new password.

Note: This does not include the resetting of your P O S password. Only your on-site administrator (or Point-of-Contact) can reset your P O S password by accessing the S A T (System Administration Tool). Your P O C can also assist you with your operating system password.

Password Expiration

Passwords that are associated with your ELVIS User Name will expire every 90 days, based on the Treasury’s policy. A warning message will occur several days prior to password expiration, similar to the one in Figure 5.4.1 below:



Figure 5.4.1

If it has been more than 90 days since the user’s last login, the system will display the message, “Your password is expired. Please Update Your Password.” The user must key in their User Name and expired password, then key in a new unique password two times (See the ‘Changing the ELVIS password’ section of this chapter).

Logging into ELVIS for the First Time

First time ELVIS users will receive a User Name and temporary password from the FRB-C. The temporary password must be changed to a unique password and will remain active for 90 days. See the *Changing your Password* section for instructions on how to change your password.

First time Users will also need to accept the PCC OTC Rules of Behavior, and once every year, thereafter. Carefully read the Rules of Behavior then click the appropriate button to indicate that you have read and understand. The Rules of Behavior can be viewed at any time by clicking on the link at the bottom of any screen within ELVIS.

Password Error Messages

Problem	Error Message	Action
Temporary password typed incorrectly.	‘Warning: Please check your user name and password’.	Make sure there are not extra characters typed in the password field by highlighting the password. When highlighted, characters are revealed as dots. Retype temporary password.
User enters an invalid User Name, while attempting to change the password.	‘The user _____ is not found’ and clears the fields on the change password screen.	Retype the User Name.
User enters an invalid User Name upon login.	‘Warning: Please check your user name and password’.	Retype the User Name.

Point-Of-Sale Standard Operating Procedures

User enters an incorrect password.	“WARNING” Please check your user name and password.	Passwords are case sensitive. Make sure the cap lock is off on the keyboard and retype the password.
Old (temporary) password is invalid.	System will display a message advising the user that the old password is invalid and clears the fields on the change password screen.	Passwords are case sensitive. Make sure the cap lock is off on the keyboard and retype the password.
The newly chosen password does not meet the system requirements.	System displays a message advising the user that the new password “must contain 8 characters, contain a combination of upper and lower letters, and either a numeric or special character value”.	Choose a different password that meets the system requirements. See ‘Password Requirements’ section of this chapter.
User enters a password with a value that has less than 8 characters.	“Password is less than 8 characters. You must choose a password that is at least 8 characters in length.”	Choose a password that has between 8 and 20 characters.
The first and second password entries (new password typed twice for verification purposes) do not match.	“Your ‘New Password’ doesn’t match ‘Re-enter New Password.’”	Carefully retype both passwords.
User enters a password with a value that contains the user’s ‘username’.	“Your ‘New Password’ should not contain ‘User Name.’”	Choose a different password that does not contain your user name as all or part of the password.
User enters a password with a value that contains the word ‘password’.	“Your ‘New Password’ should not contain the word ‘PASSWORD’.”	Choose a different password that does not contain the word ‘password’ as all or part of the password.
User has 3 invalid Login attempts.	The system displays the message that the user’s account is now locked.	Please contact FRB-C Customer Service at 1-800-624-1373.
Password is the same as one of the last ten passwords used	System displays the message, ‘Password is currently in the Password History. Password Change Failed’ and clears the fields on the change password screen.	Use a password that has not been previously used.

Learn More About PCC OTC

There is a link at the bottom of the ELVIS Login Screen to learn more about PCC OTC (Figure 5.5). This link will take you to the PCC OTC information website. A password is not needed for the PCC OTC informational site. For more information about the PCC OTC information website, please refer to the *Introduction* chapter of this S O P.



WARNING: Information Protection
You are using an Official United States Government System, which may be used only for authorized purposes. Unauthorized modification of any information stored on this system may result in criminal prosecution. The Government may monitor and audit the usage of this system, and all persons are hereby notified that the use of this system constitutes consent to such monitoring and auditing. Unauthorized attempts to upload information and/or change information on these web sites are strictly prohibited and are subject to prosecution under the Computer Fraud and Abuse Act of 1986 and Title 18 U.S.C. Sec. 1001 and 1030. [Rules of Behavior](#) - [Privacy Statement](#) - [Accessibility Statement](#)

Figure 5.5

Successful Login to ELVIS

Once the user has successfully logged in, the ELVIS Home page appears, as shown below (Figure 5.6). The screen may look different depending on the user's access permissions.

Note: The menu selections are determined by your access levels. Only the permissible menu options will appear for a user's logon ID. If there is a missing menu option for a user, that user does not have access to that option/function. If access to a function is required but does not appear on a user's menu, an updated PCC OTC Access Request form needs to be completed and submitted. For a copy of the PCC OTC Access Request form and instructions on completing the form, see Appendices E and F of the Appendix chapter of this S O P.



Figure 5.6

From this screen, the user can access the areas of ELVIS that are allowed based upon the permissions established in the role assigned to the user, as established by the Security Contact for your Agency.

Logout of ELVIS

When a user is finished using ELVIS, they must logout of the system properly by clicking on the **'Logout'** link from the menu, (see below Figure 5.7), or by clicking the **'X'** at the upper right of the browser window. Clicking the **'Logout'** link will return the screen to the ELVIS login window. Clicking the **'X'** in the browser window will close the browser.

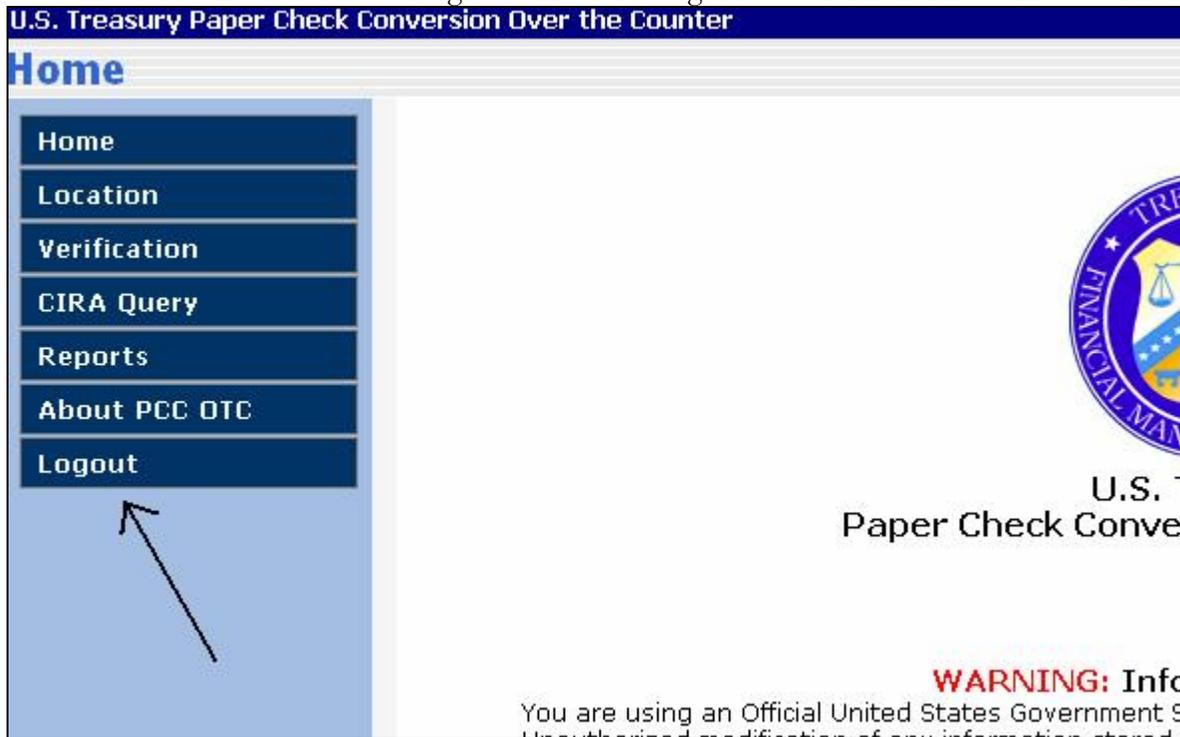


Figure 5.7

Rules of Behavior

When logging into ELVIS for the first time, the Rules of Behavior will be displayed as in Figure 5.7.1. The user must read and accept the rules by clicking on the **'Accept'** button at the bottom of the screen in order to continue.

**FEDERAL RESERVE BANK OF CLEVELAND
USER RESPONSIBILITY STATEMENT**

LOGON ID AND PASSWORD:

The Federal Reserve Bank (FRB) of Cleveland will e-mail the individual logon ID and user must call in for temporary password. The password, which is under your sole control, provides protection for you and us. The pattern of your logon ID may be known by others and the logon ID is displayed on the screen when entered, but your password is not displayed and not known by anyone other than you. After initial logon, all Paper Check Conversion Over the Counter (PCC OTC) system users must access the system at least once every ninety - (90) day's to remain active.

The following actions will be taken for inactive users:

- After ninety - (90) days of non-use, your Logon ID is deactivated and intervention will be required by FRBC to reactivate your account.
- If any user has not activated an account (never logged in) within 180 days, the account will be removed.
- If any user has not used an account within 12 months, the account will be removed.
- If an account is removed due to inactivity, the user must reapply for access.

If at any time during the log-on process, the individual's Logon ID or password should become suspended please contact the FRB Customer Support.

USER RESPONSIBILITIES:

Once assigned a logon ID and Temporary password by the FRB of Cleveland, you agree to be responsible for the consequences that result from the disclosure or use of your password. To avoid compromising your password, you agree that you will:

- Not make your password known to anyone or put it in written form unsecured.
- Prevent others from watching you enter your password and guessing your password (for example, you should not use names of persons, places, or things that are identified with you).
- Log off of the system whenever you leave your computer unattended.

Your password expires after 30 calendar days and the system will automatically prompt you to reset password. If you feel that your password has been compromised, it must be changed immediately. In addition, you must report unauthorized use to FRB Customer Service.

**U.S. Treasury Department - Financial Management Services
Paper Check Conversion Over the Counter (PCC OTC) System IT Security
RULES OF BEHAVIOR**

Please read the following rules and sign.

Users must ensure that the information technology (IT) resources with which they have been entrusted are used properly, as directed by FMS policies and standards, taking care that the laws, regulations, and policies governing the use of such resources are followed and that the value of all information assets are preserved. Each user is responsible for all activities associated with their assigned User ID.

Users must take positive steps to protect FMS equipment and, systems, software, and data from loss, theft, damage, and unauthorized use or disclosure. Users must report improper or suspicious use of FMS equipment and systems to the FRB Customer Support.

Users must ensure that unauthorized individuals cannot view screen contents.

Users must protect User IDs and passwords from improper disclosure. Passwords provide access to FMS any agency data and resources. Users are responsible for any access made under his/her User ID and password.

Users:

- Do not reveal passwords under any circumstances. Password disclosure is considered a security violation and is to be reported as such. If password disclosure is necessary for problem resolution, immediately select a new password once the problem has been resolved.
- Do not program login IDs or passwords into automatic script routines or programs.
- Do not share passwords with anyone else or use another person's password.
- Do not write passwords down, unless secured.
- Must change passwords at least every 30 days.
- Must choose hard to guess passwords, using a minimum of eight case-sensitive alphanumeric and/or special characters. Example: Pass\$word.

Users must not attempt to circumvent any PCC OTC system security control mechanisms.

Users must follow proper logon/logoff procedures. User is aware that his/her assigned User ID and password serve as his/her electronic signature, therefore, accepting responsibility, for all activity while active in the PCC OTC system.

Users must utilize anti-virus protection mechanism(s) on any systems connecting to FMS applications.

Users must complete and document IT security awareness, training and education as required by applicable government directives.

Users must report any known or suspected breaches of PCC OTC system security to the FRB Customer Service immediately after discovery of the occurrence.

ACCEPTANCE

I have read the Federal Reserve Bank of Cleveland's User Responsibility Statement, agree to its terms, and understand my responsibilities for the use and protection of my logon ID and password. Further, I understand the consequences that may result from disclosure or inappropriate use. If I fail to adhere to any of the terms in this statement, the Federal Reserve Bank of Cleveland may revoke my logon ID and take other appropriate action.

AND

I have read the Financial Management Service (FMS) IT Security Rules of Behavior for the PCC OTC system and fully understand the security requirements of the information systems, applications and data. I further understand that violation of these rules may be grounds for revocation of my User ID and may result in actions up to and including prosecution under federal law.

Figure 5.7.1

The following message is displayed on the screen upon selecting 'Accept': (Figure 5.7.2)



Figure 5.7.2

This procedure will be repeated on a yearly basis. All users will need to read and accept the Rules of Behavior, when prompted, once a year. To review the 'Rules of Behavior' at anytime, click on the 'Rules of Behavior' link at the bottom of the ELVIS Home Page (or any other page within the ELVIS system) as shown below (Figure 5.8):

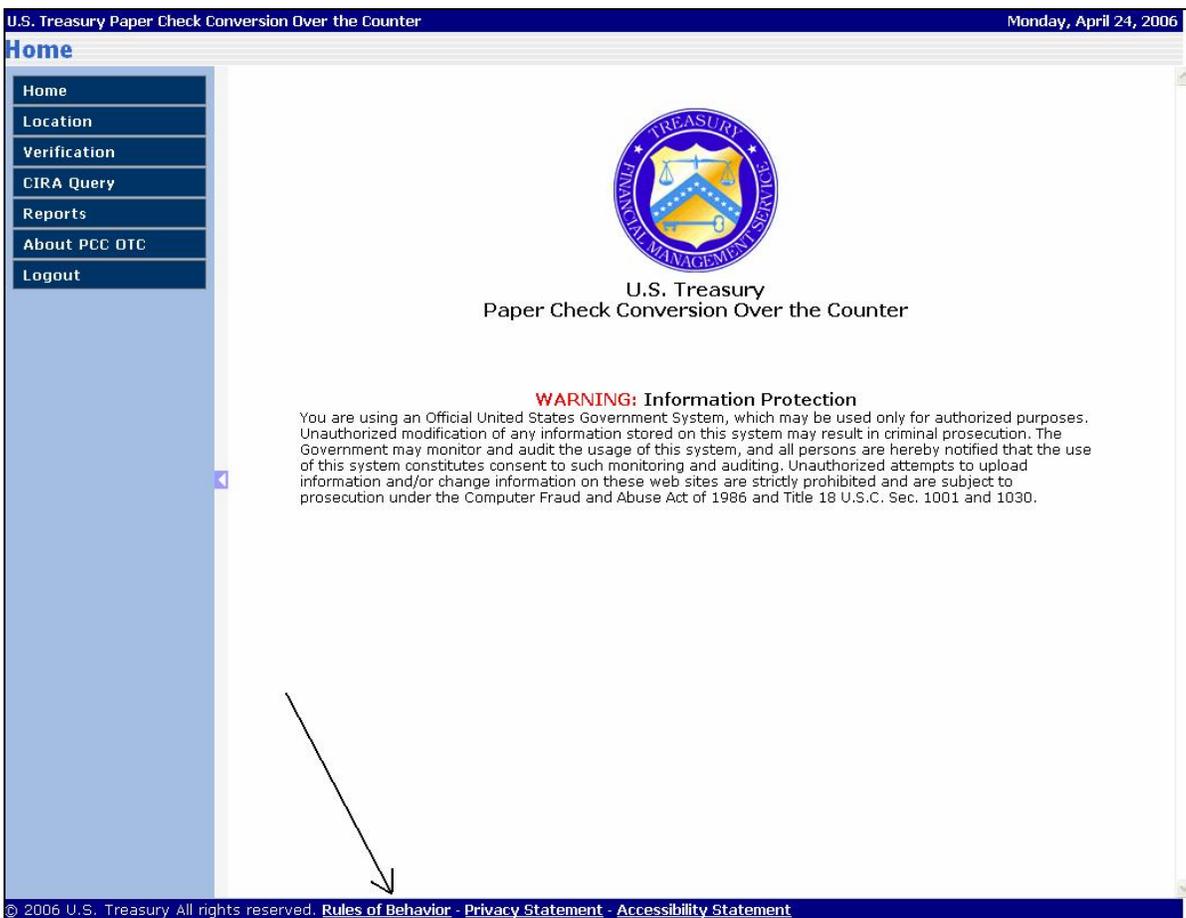


Figure 5.8

Doing so will display a screen that lists the Rules of Behavior, as pictured below (Figure 5.9). Scroll down to read the Entire Rules of Behavior.

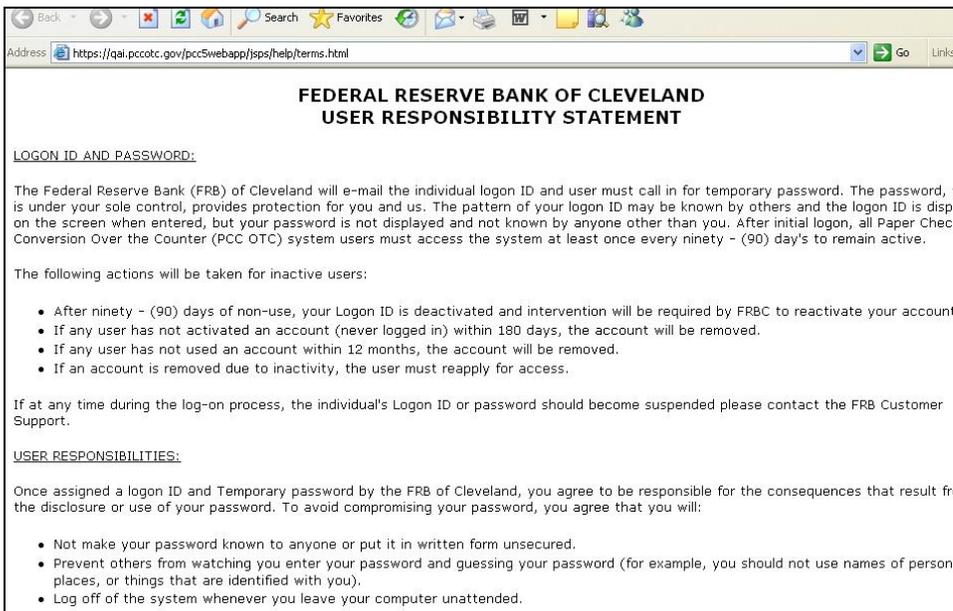


Figure 5.9

When finished, click on the **'Print'** button to print out the rules, or **'Home'** from the menu to return to the ELVIS home page.

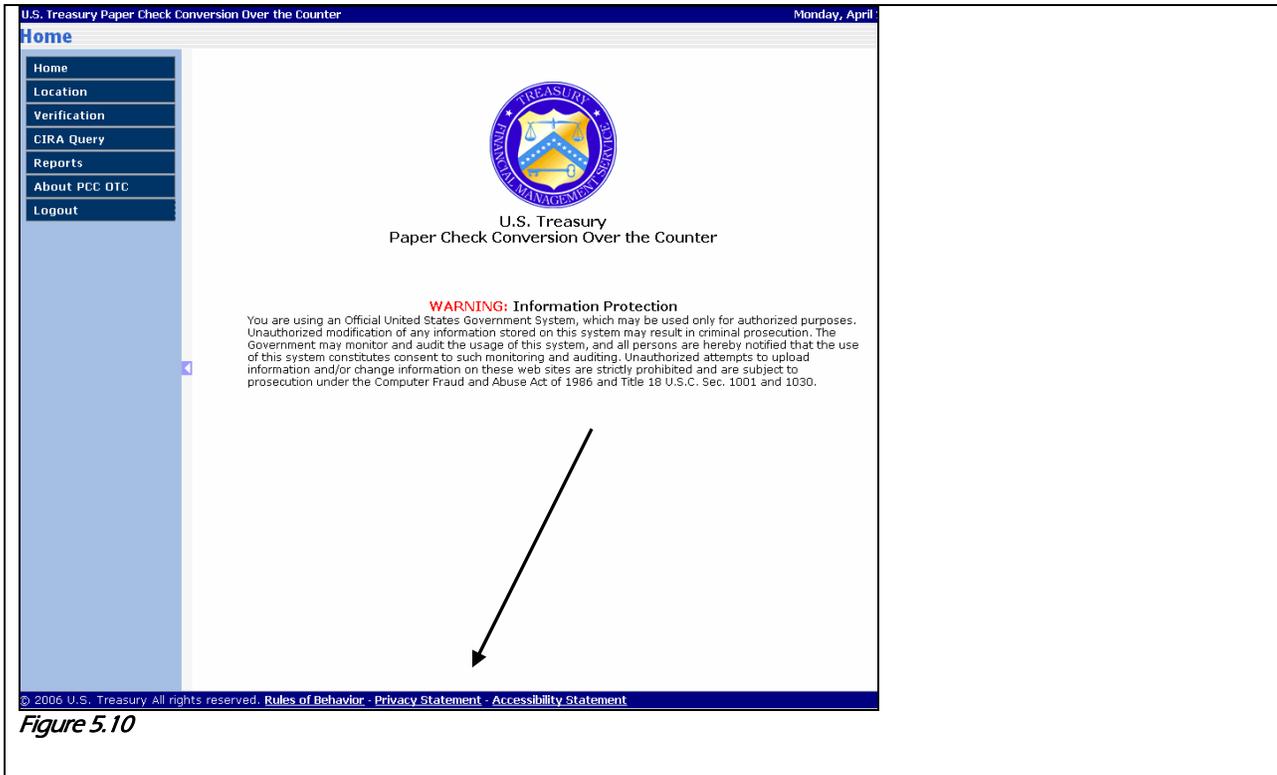
Note: *The Rules of Behavior link is also available on the ELVIS Login Screen so a user does not have to have a User Name and password to review the rules.*

Declining the Rules of Behavior

The user can also choose to 'Decline' the Rules of Behavior by clicking the **'Decline'** button. The system displays the message, "Are you sure that you want to decline the rules of behavior?" If the **'OK'** button is clicked, the system will return the user to the Login screen and displays the error message, "User must acknowledge and accept the Rules of Behavior prior to accessing the PCC OTC system."

Privacy Statement

To review the 'Privacy Statement', click on the '**Privacy Statement**' link at the bottom of the ELVIS Home Page (or any other page within the ELVIS system) as shown below (Figure 5.10):



Note: The Privacy Statement link is also available on the ELVIS Login Screen so a user does not have to have a User Name and password to review the Privacy Statement.

Doing so will open a window that displays the Privacy Statement, as pictured below (Figure 5.11). Scroll down to read the entire statement. When finished, click '**Home**' from the menu to return to the ELVIS home page.

The screenshot shows a web browser window with the title "U.S. Treasury Paper Check Conversion Over the Counter" and the date "Monday, April 24, 2006". The page has a blue header and a left-hand navigation menu with links: Home, Location, Verification, CIRA Query, Reports, About PCC OTC, and Logout. The main content area is titled "Privacy Statement" and contains the following text:

Thank you for visiting the PCC OTC web site provided by the U.S. Department of the Treasury, Financial Management Service (FMS). We administer this site and are committed to protecting the privacy rights of our visitors. These rights are ensured through the Privacy Act, other Federal statutes and FMS policies and practices.

We will not collect personal information about you just because you visit this site. In order to improve the usefulness of this web site for our visitors and users, we automatically collect and maintain statistical information from our site's data logs that concern network traffic flow and volume. This information consists of: name of domain from which the visitor accesses the Internet (e.g. "a company.com", "a school.edu; or "an agency.gov"), Internet protocol number, date and time the web site is visited and type of browser and operating system used to access the site.

We do not use this information to identify individual visitors. We do not collect personal identifiable information unless you choose to provide it to us. If you choose to provide personal information, for example, by sending an e-mail or by filling out a form and submitting it through our web site, we use that information to respond to your message and to help us provide you with the information and service your request. All uses of that information are described on the web page containing the form. It is used to assist program administrators in any technical problems that may occur. Aggregate information about the individual web pages visited is collected to improve the content and structure of the web site.

The PCC OTC web site uses **temporary session "cookies"** to give users a single, uninterrupted session when they are online. PCC OTC requires that you use a "cookie"-enabled browser when you are within the secured area of the web site. This enables you to move from one secure section to another without having to stop and re-enter your identifying data (such as password, etc). This temporary session "cookie" contains a system-generated session ID only and is **immediately deleted** when you leave the site.

We also monitor network traffic to identify unauthorized attempts to upload or change information or otherwise cause damage to the web service. We focus on web site security so that this service remains available to you and other visitors. No attempts are made to identify individual users unless illegal behavior is suspected.

At the bottom of the page, there is a footer: "© 2006 U.S. Treasury All rights reserved. Rules of Behavior Privacy Statement Accessibility Statement".

Figure 5.11

Accessibility Statement

To review the 'Accessibility Statement', click on the '**Accessibility Statement**' link at the bottom of the ELVIS Home Page (or any other page within the ELVIS system) as shown below (Figure 5.12):



Figure 5.12

Note: The Accessibility Statement link is also available on the ELVIS Login Screen so a user does not have to have a User Name and password to review the Accessibility Statement.

Doing so will display a screen that lists the Accessibility Statement, as pictured below (Figure 5.13). Scroll down to read the entire statement. When finished, click on '**Home**' from the menu to return to the ELVIS home page.

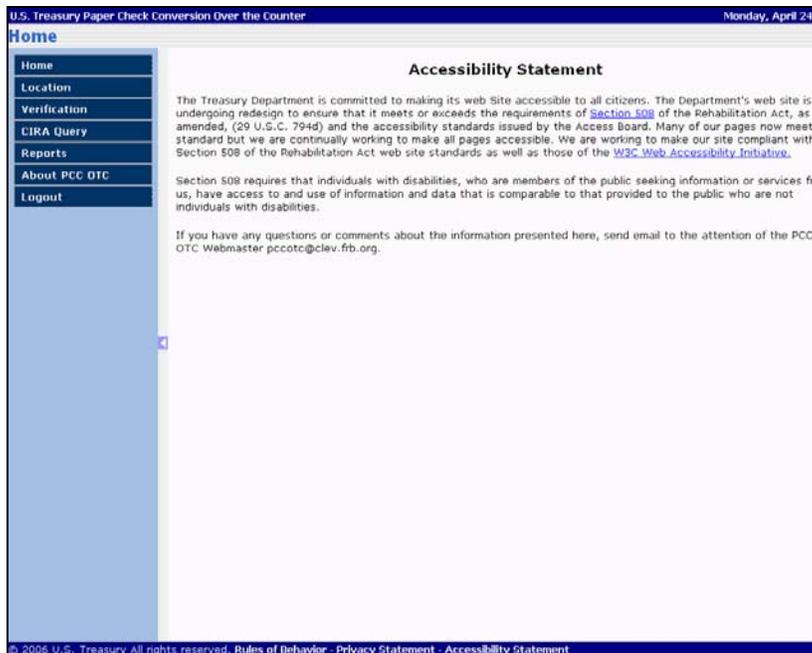


Figure 5.13

Navigating ELVIS

This section introduces the ELVIS user interface. It provides a simplified guide on how to navigate through the application.

ELVIS Main Menu

The ELVIS main menu is displayed along the left side of the page when the user logs into the system (Figure. 5.14). Menu options are displayed to users based on their roles and permissions.

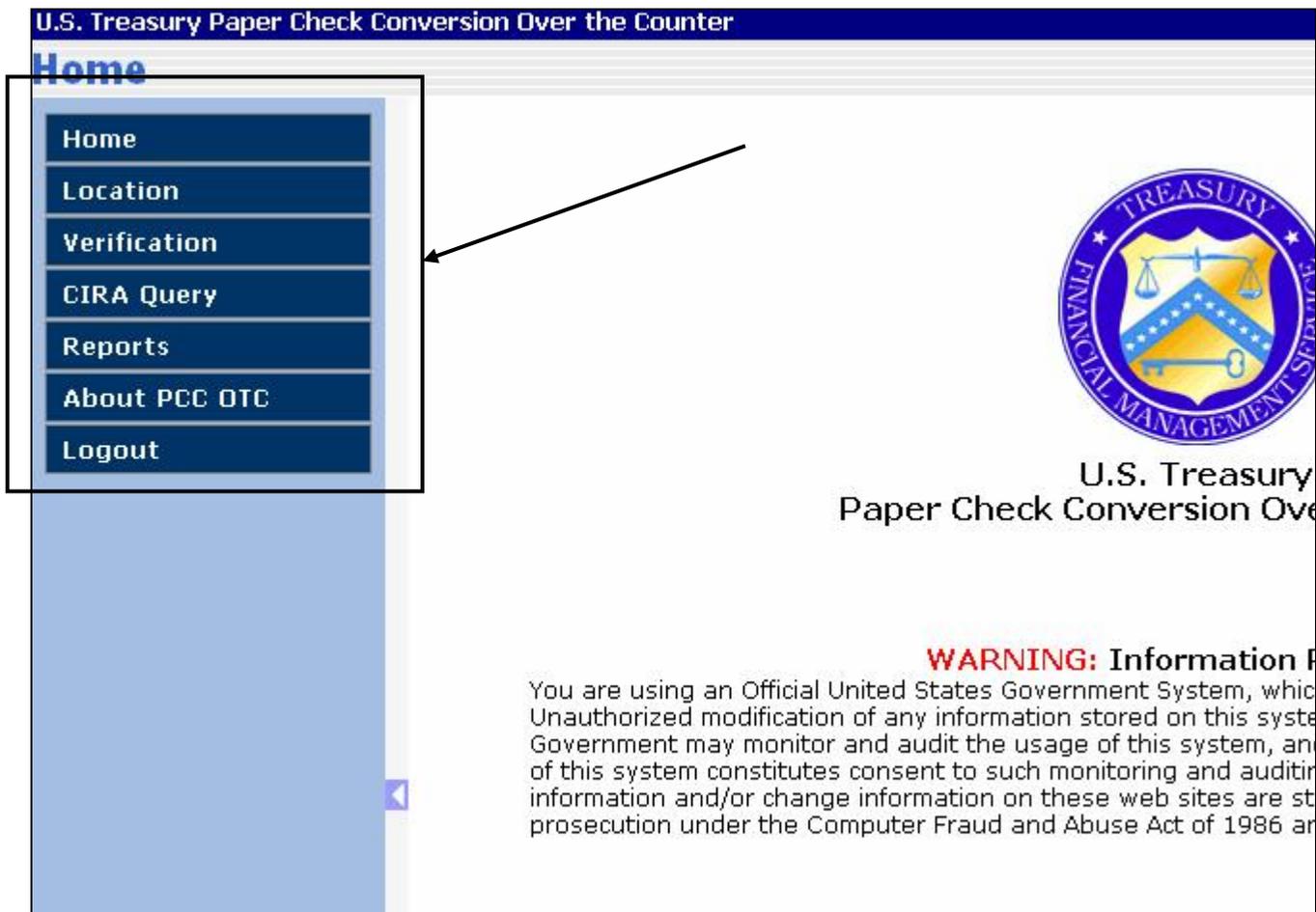


Figure 5.14

Hide ELVIS Main Menu

The menu can be hidden by clicking on the arrow (circled in Figure 5.15) below the menu choices. When clicked, the menu on the home page is no longer visible, as displayed in Figure 5.16 below.

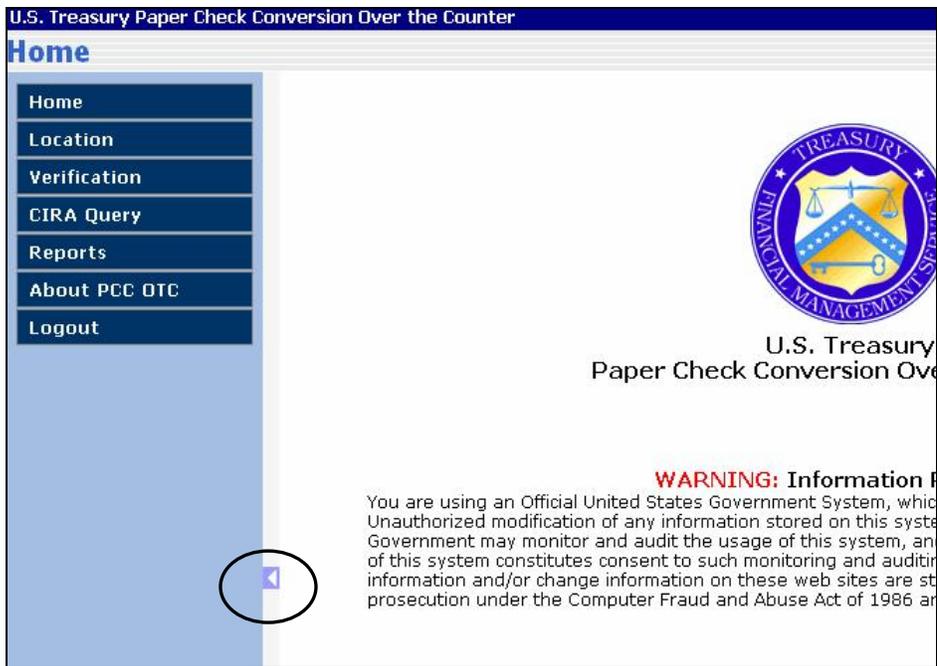


Figure 5.15



Figure 5.16

Clicking on the arrow again will bring the menu back into view.

Common ELVIS Functionality

This section is designed for all users and describes the following common user functionality in ELVIS:

- ◆ Sorting Records
- ◆ Field Formats
- ◆ Reset Button
- ◆ Cancel Button
- ◆ System Timeout

Sorting Records

Record listings on certain screens such as the CIRA Query screen can be sorted in ascending or descending order. Pictured below is an example of a CIRA Query Results screen. Each underlined column heading can be sorted by clicking on that heading (See Figure. 5.17). Click once for ascending order; click once more (or twice) for descending order.

<u>IRM</u>	<u>A/C</u>	<u>Capture Date</u>	<u>Bank Routing Number</u>	<u>Account Number</u>	<u>Check Amount</u>
1509177	76 00007E	09/20/2006 14:24:56	041201936	11 2	\$4,022.00
1509177	75 00007E	09/20/2006 14:24:43	041201936	11 1	\$4,021.00
1509177	74 00007E	09/20/2006 14:24:25	041201936	11 3	\$4,019.00
1509177	72 00007E	09/20/2006 14:23:03	041206436	11 3	\$3,199.00
1509177	71 00007E	09/20/2006 14:22:48	041206436	11 3	\$3,198.00
1509177	70 00007E	09/20/2006 14:22:35	041206436	11 7	\$3,197.00
1509177	59 00007E	09/20/2006 14:22:22	041206436	11 5	\$3,196.00
1509177	38 00007E	09/20/2006 14:22:08	041206436	11 5	\$3,195.00
1509177	57 00007E	09/20/2006 14:21:53	041206436	11 4	\$3,194.00
1509177	56 00007E	09/20/2006 14:21:38	041206436	11 3	\$3,193.00

The first 100 items are displayed out of 1,218. Total Amount: \$25,613,692.76. Please refine your Query Criteria or click < 1000 items.

Query Criteria

Figure 5.17

The column most recently clicked will display either an 'up' or a 'down' arrow indicating the order as ascending or descending (Figure 5.17.1).



<i>Capture Date</i>		
03/02/2006 09:13	09	
03/02/2006 09:40	10	

Figure 5.17.1

Field Formats

Icon Assisted Fields

Certain fields within ELVIS will display an icon to the right of the field. For example, clicking on the icon, such as the calendar icon , will allow the user to make choices from another window as displayed in Figure 5.17.2, or clicking on the location selection tool  will open a window for the user to select a location (Figure 5.17.3).

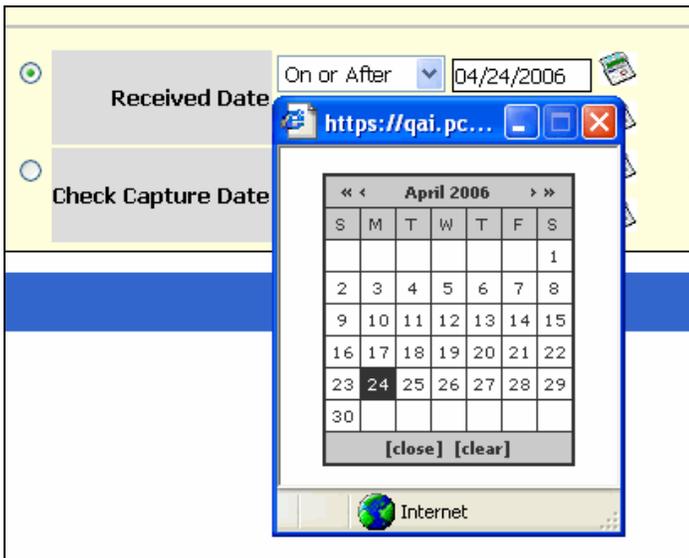


Figure 5.17.2

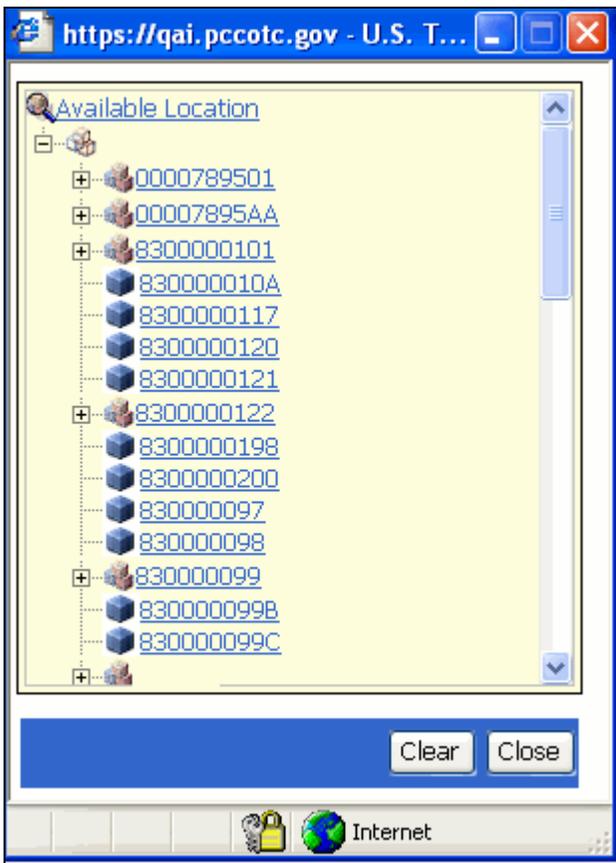


Figure 5.17.3

Multiple Choice Fields

Multiple Choice Fields are indicated with a drop down arrow to the right of the field (Figure 5.17.4). Data in these fields cannot be typed and must be chosen from the listing of choices. The first letter of a choice may be typed to bring up the choice in the field.

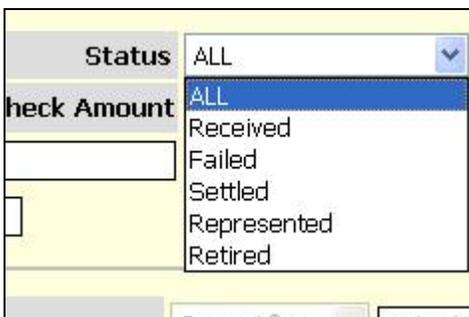


Figure 5.17.4

Reset Button

The 'Reset' button is available on all screens within ELVIS where data entry is applicable (Figure 5.17.5). Clicking the 'Reset' button will clear all of the fields on the screen allowing for fresh input.

U.S. Treasury Paper Check Conversion Over the Counter Thursday, Septe

CIRA Query - Criteria

Location	FederalReserve	Form Name	-- Select Form --
Include Subordinate Locations	Yes <input checked="" type="radio"/> No <input type="radio"/>	Deploy Date	-- Select Version --
Generic Fields			
GENERIC_FIELD1	<input type="text"/>	GENERIC_FIELD2	<input type="text"/>
GENERIC_FIELD3	<input type="text"/>	GENERIC_FIELD4	<input type="text"/>
Account	<input type="text"/>	Bank Routing Number	<input type="text"/>
IRN	<input type="text"/>	Cashier ID	<input type="text"/>
Check Number	<input type="text"/>	Batch ID	<input type="text"/>
5515/Debit Voucher Number	<input type="text"/>	215/Deposit Ticket Number	<input type="text"/>
Status	ALL	Check Amount	Equal To <input type="text"/>
Received Date <input type="radio"/> From <input type="text"/> 09/27/2007 To <input type="text"/> 09/27/2007			
Settlement Date <input type="checkbox"/> From <input type="text"/> 09/27/2007 To <input type="text"/> 09/27/2007			
Check Capture Date <input type="radio"/> From <input type="text"/> 09/27/2007 To <input type="text"/> 09/27/2007			
Return Settlement Date <input type="checkbox"/> From <input type="text"/> 09/27/2007 To <input type="text"/> 09/27/2007			

Figure 5.17.5

Cancel Button

The 'Cancel' button is designed to cancel your current activity and takes you to the previous screen (Figure 5.17.6).

The screenshot shows a web application window titled "CIRA Query - Criteria". The interface includes the following elements:

- Location:** FederalReserve
- Form Name:** -- Select Form --
- Include Subordinate Locations:** Yes (selected), No
- Deploy Date:** -- Select Version --
- Generic Fields:** Four input fields labeled GENERIC_FIELD1 through GENERIC_FIELD4.
- Account:** Input field
- Bank Routing Number:** Input field
- Status:** ALL
- IRN:** Input field
- Cashier ID:** Input field
- Check Amount:** Equal To
- Check Number:** Input field
- Batch ID:** Input field
- 5515/Debit Voucher Number:** Input field
- 215/Deposit Ticket Number:** Input field
- Received Date:** From/To date range (09/27/2007)
- Settlement Date:** From/To date range (09/27/2007)
- Check Capture Date:** From/To date range (09/27/2007)
- Return Settlement Date:** From/To date range (09/27/2007)
- Buttons:** View Items, Count, Reset, and Cancel (highlighted with a red box).

Figure 5.17.6

System Timeout

If you have logged into the system but have no system activity for over 15 minutes, the system will display the following message (Figure 5.17.7):



Figure 5.17.7

If you respond by clicking the 'OK' button within five minutes, your session will continue. If you attempt to respond with 'OK' and this message has been on the screen for longer than five minutes, your session will expire and you will need to log back into the system.

Clicking 'Cancel', will close the window and the user will not be prompted again during this session.

ELVIS Administration

Establishing a PCC OTC Security Contact

PCC OTC Security Contacts are authorized to request access be granted to individuals for the ELVIS system on behalf of their Agency and/or location. PCC OTC Security Contacts can be established by completing the PCC OTC Security Contact form found at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>. Submit the completed forms to the Federal Reserve Bank of Cleveland as indicated on the form. Instructions on how to complete these forms can also be found on the website.

Adding a User

To add a user to ELVIS, complete the User Access Request Form. Access should be limited to users who need to conduct research on activity, or those who need access to reports. The User Access Request form can be found on the PCC OTC Information website at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>. Indicate on the form the level of access necessary for each user, i.e., if the user should have permission to request reports. Instructions on how to complete the form can also be found on the website. Signatures are not required. Request forms must be completed and emailed to the Federal Reserve Bank of Cleveland, Information Security Department at: PCCOTC.SECURITY@CLEV.FRB.ORG. The email request must come from an authorized security contact's known email address.

Deleting or Modifying a User

To delete a user from ELVIS or to modify a user's access, complete and submit the appropriate section of the User Access Request form as described above. Delete users who have had a change in job assignments and/or no longer have a business need for the archival information or reports.

Access Request

The administration of locations, users, and roles are performed by FRB-C's staff. Please contact FRB-C Customer Service at 800-624-1373, 216-579-2112 or DSN 510-428-6824, option 4, option 5, option 4. Authorized users can view and monitor the information as described later in this section.

The ELVIS Menu Options

Once you have successfully logged in, you will see the ELVIS Home page appears as displayed in Figure 5.18. The Menu bar appears on the left side of the screen with the following options:

Note: *The options that appear on each user's screen are based on the access that they have. For more information, please refer to the 'PCC OTC Roles for ELVIS' section earlier in this chapter.*

Home – clicking on Home always returns the user to the ELVIS Home page.

Location – used for viewing Agency's locations.

Verification – used for viewing and adding records within the Master Verification Database and adding blocked/suspended/denied records.

CIRA Query – used to search specific items and their associated details.

Reports – used to request reports such as the Deposit Ticket Report, Debit Voucher Report, etc.

About PCC OTC – used to display the Release number, build date, patch date, and contact information at the FRB-C.

Please note that the Military personnel contact number has recently changed but the change has not yet been reflected on this screen. The number for Military personnel to call is 510-428-6824, option 4, option 5, option 4.

Logout – used to logout of the system.

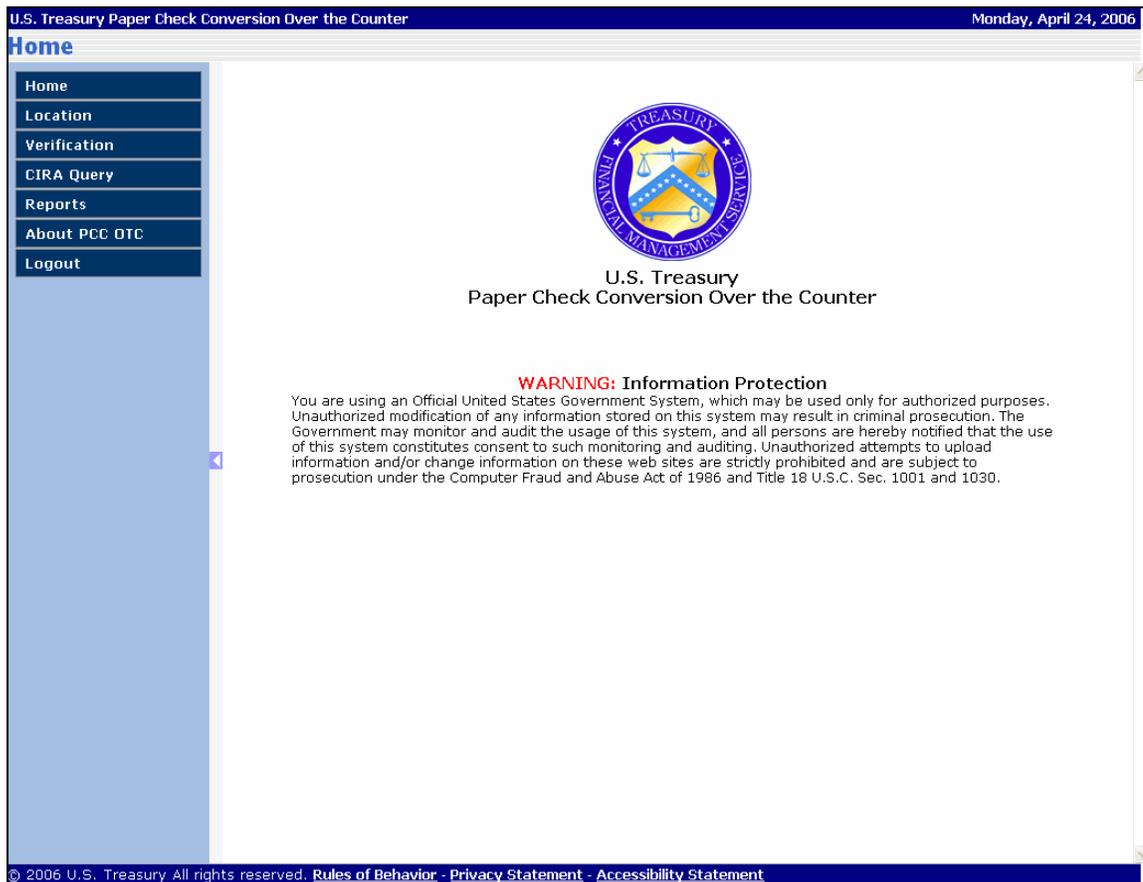


Figure 5.18

Location Query

Authorized users can select **'Location'** on the menu bar to view information on an Agency's locations. The initial Agency setup determines what location views are available. An agency and location's policy is critical to understanding the verification process on checks presented at the P O S computer.

Each Agency will establish the configurations for the following: relevant types of negative returns; the number of allowable returns; the length of the suspension period; and the other locations captured in a location's distributed verification database. This information will be entered into ELVIS by the FRBC staff in the location management section of ELVIS.

To view the location information,

1. Click **'Location'** from the Main Menu. The following Screen will appear (Figure 5.19):

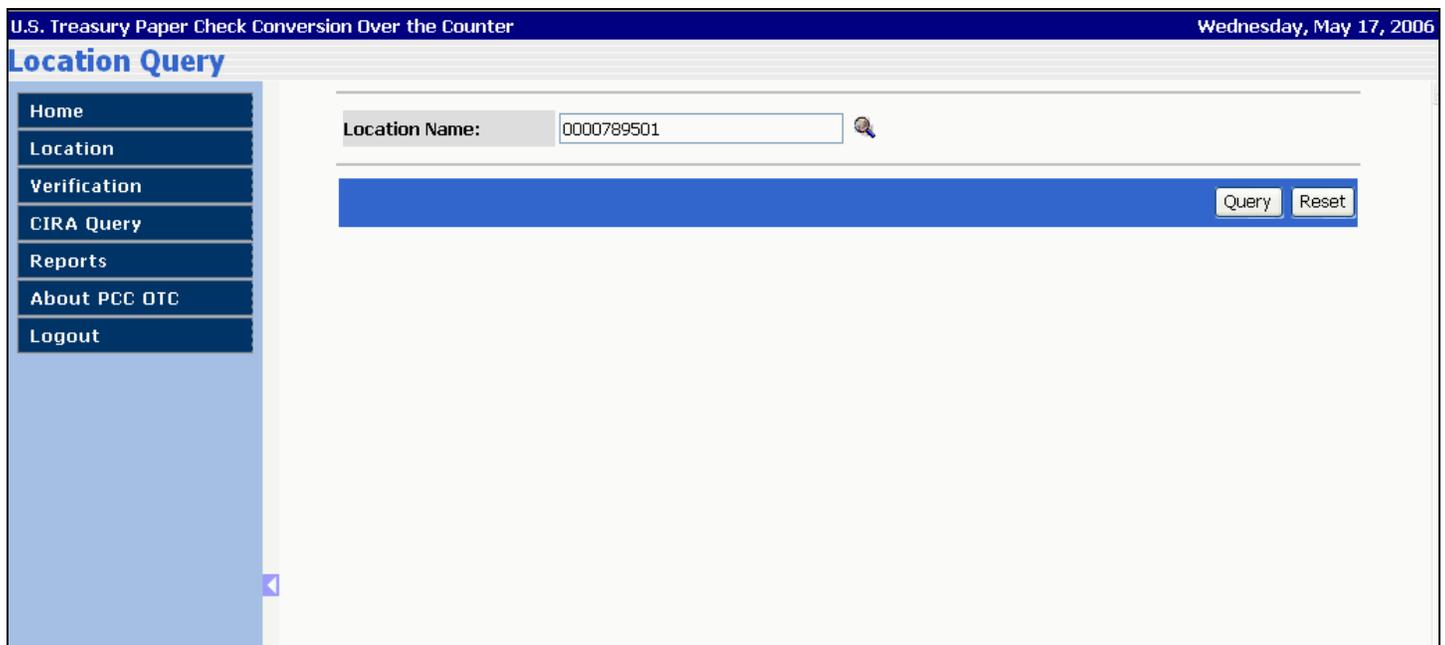


Figure 5.19

2. Type the 10-digit A L C+2 or click the search tool  to the right of the 'Location Name' field to choose the appropriate location to query. The locations are populated in this field based on the locations assigned to the person's User Name. The correct location is chosen simply by clicking on the location name, or by typing the location name into the field.
3. Click the **'Query'** button. The locations that are available for viewing will appear on the screen similar to the example below (Figure 5.20):

Location Detail

Location Name: 8300000101 **Parent:** FederalReserve

Description: Test Agency 1

Location Group: 8300000101 **Group Holder:** 8300000101
0000789501

Filter: 01 **Return Reason Codes. See Appendix for descriptions**
02
09
201 ←
202
203
204
301
A
B
C
D

Policy Holder: 8300000101

Suspension: 1 **Suspension occurrence** 5
2 10 ← **Suspension period in number of days**

Include expired counts

Generate verification record on:

Include Represented and Retired Checks

Include Retired Checks Only

ObjectName:	Attribute:	Block:
verification	Account	<input checked="" type="checkbox"/>
	LocTag	<input type="checkbox"/>
	UserField1	<input checked="" type="checkbox"/>
	RT	<input checked="" type="checkbox"/>
	Note	<input checked="" type="checkbox"/>

Figure 5.20

The screen's detailed information includes the following:

- **Location Name:** The 10-digit A L C+2 of the location being viewed.
- **Parent:** The highest location in the hierarchy. The parent is responsible for all location accounting, sets the policy, and determines the rules for returns.
- **Description:** The official description of the location being viewed.
- **Location Group:** A Location Group represents a listing of any locations outside the requesting location's hierarchy that will share LVD records.
- **Group Holder:** The 10-digit A L C+2 of the Group Holder.

Filter (applicable for MVD users only)

The filter allows the agency to specify the return reason codes relevant to the agency's program. These codes represent the numeric codes used in the A C H and paper return processing, which specify the reason for the return of the transaction

and Check 21 codes. For example, code '01' means Non-Sufficient Funds, '02' means the account is closed, etc. Individual locations may apply additional filters (with FRBC assistance) outside the agency's required filter to suit the specific needs of the location. The filter keeps track of the chargeable offenses incurred against a check cashing policy.

See the *Appendix* chapter of this S O P for a listing of A C H and Check 21 return reason codes.

Policy Holder: The 10-digit A L C+2 of the Policy Holder.

Suspension (applicable for MVD users only)

A Suspension level specifies the number of calendar days that an individual will be unable to cash a check or pay by check and is calculated from the date the system is aware of the return file. The first suspension level is applied the first time a returned check with the defined return reason code is received into the MVD. (The second suspension level will be applied to the second occurrence of a return when it is received on the respective account or other agency specified verification for the number of suspension levels that are defined for a particular location.) After all the suspension levels have been exhausted, the individual will be denied check cashing privileges.

In the example in Figure 5.20, an individual's first occurrence of a returned check, a 5 day penalty would be applied. The second occurrence would result in a loss of check cashing privileges for 10 days and the third occurrence is not set. A typical suspension period is 30 days on the first occurrence, 60 on the second and 90 on the third. The fourth occurrence results in the loss or denial of check cashing privileges for that person at this location.

Expired Accounts (applicable for MVD users only)

The 'Include Expired Counts' flag indicates whether or not previous suspensions that have since expired (i.e., the individual is no longer suspended) are counted when assessing the suspension level to assign when the individual writes a check.

Generate Verification Record On (applicable for MVD users only)

Indicates whether the verification record is generated on Represented and Retired items, or only Retired items.

This feature allows agencies the option to:

- Create records anytime a check writer has committed an offense against the Agency's check cashing/payment policy, i.e., returned for insufficient funds, account closed, etc.
- Only create MVD records for items PCC OTC has retired back to the Agency because PCC OTC was unable to collect.

Data Privacy

Configure Block

In addition to the filter, suspension, and location group setting, a location is able to establish their Data Privacy Policy, which defines the extent that users from other locations are able to view their verification records. This is accomplished the same way that role definitions are created to impose restrictions on what a user can view. The FRB-C creates the data in the Configuration Block based on the Agency Site Profile (A S P). (Figure 5.20.1):

Configure Block		
ObjectName:	Attribute:	Block:
verification		
	Account	<input checked="" type="checkbox"/>
	LocTag	<input type="checkbox"/>
	UserField1	<input checked="" type="checkbox"/>
	RT	<input checked="" type="checkbox"/>
	Note	<input checked="" type="checkbox"/>

Figure 5.20.1

Attribute Descriptions:

Account – Account number of the returned item

Loc Tag – (Location Tag) Site where record originated

UserField1 – The first configurable field. While an agency may use more than one configurable field, only the first configurable field (i.e., social security number, tax id number, etc) is included in the MVD.

RT - Routing Number

Note - Notes added to blocked or transactional records

Data Privacy allows the location to control what fields of their verification records can be viewed by outside users. By default, all fields are set to “Block”. For maximum data privacy, all fields would be marked as blocked, except Loc (Location) Tag. However, there may be situations where it is acceptable for outside users to view certain fields of verification records.

Any users at ancestor locations are not affected by this setting. Such users in general have complete control including edit capability (where applicable) over all fields of verification records originating at subordinate locations. Users from ancestor locations may be restricted based on their roles.

In establishing the Data Privacy Policy, it should be noted that in a situation where a user’s role imposes different restrictions on accessing these fields from what is configured in the location detail, the more restrictive permissions shall apply.

To summarize, using the diagram below (Figure 5.20.2), if location F is in location D’s location group then a user at location D will be able to view verification records originating at locations D, G, H, F, I and J as well as all Block records originating everywhere except at location E. The data privacy settings established at location F will control what fields in the verification records the user at location D can see when viewing records originating at location F only. Separate settings at locations C, I, and J will control how location D sees records originating from those locations.

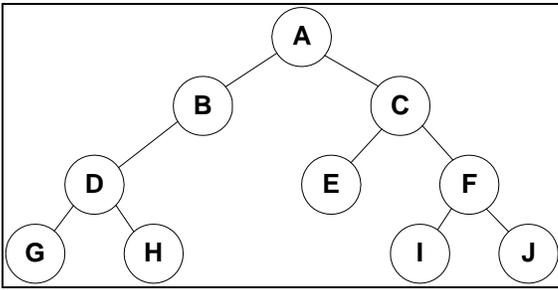


Figure 5.20.2

Dynamic Records

Dynamic records are those items whose trade status and deny date are calculated by the system. This is done by applying the location's policy to appropriate return items. If the trade status of a dynamic record is changed manually (from D-Denied, D-Suspend to Denied, Suspend, or Clear), the record is no longer dynamic. The changed record will maintain the manually assigned status with assigned date, and will no longer reflect any other location's policy.

Verification (*applicable for MVD users only*)

Verification management gives authorized users access to the individual transaction records in the MVD. Depending on your permissions, you may be able to view and/or modify the trade status and other parameters of an existing transaction.

Verification records originate from returns on previous processed payments originated through the P O S system and manually entered records (i.e. blocked, suspended and denied records). The LVD is a subset of the MVD, based on requesting location and defined configurable filter parameters that is forwarded to the local P O S application. Blocked, suspended, or denied data is entered manually by an authorized person from a site, a region, an agency, or even the FRBC. The transactional and blocked information is distributed to a P O S based upon the site's position in the agency's hierarchy and upon an agency's policy. By default a location will receive all blocked/suspended/denied records created at the location, all of the location's subordinate sites, all blocked records created at all direct ancestors above the location, and any blocked records from any location in the requesting location's location group.

In regards to transactional records, the location will only receive their own records and any transactional records originating at or below all locations, as well as any location included in the requesting location's Location Group. Upon processing a check, the P O S application queries this information, known as the Local Verification Database or 'LVD', for known negative payment history each time selected MICR information is read by the scanner.

Using the Verification Query, users can also find out what items are about to 'drop off' the suspension list. As an example, if the Agency has a 30 day suspension policy, queries can be performed using an MVD 'from' date of 30 days ago. The MVD 'to' date would be today's date. The results screen would list a 'deny date' in the far right column. This would show you the records ending deny date, meaning the date that the suspension period ends.

Note: Deny dates of 09/09/2099 indicate that the item has exhausted all of the policy thresholds.

Status of Verification Record

An individual's ability to use PCC OTC depends on the status in the system, which is a combination of the person's actual returned item history and the requesting site's policy. The status can be in one of five possible states:

- *Dynamic:* The status (D-Denied or D-Suspend) and deny date for each transactional record is based on the current policy of the requesting location. If the record status is edited, the record is no longer Dynamic. The changed record will maintain the manually assigned status and will no longer reflect any other location's policy.
- *Clear:* Prior restrictions on the individual's check payments have been removed. Select 'Clear' to reflect no status. **Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.**
- *Suspend:* Suspend means an individual's record is set to a predetermined suspension period. During this time, the P O S system will prevent an individual from cashing a check through the P O S computer. The individual's database record will have a Trade Status of Suspend and the expiration date will be set until a specific date.
- *Denied:* Denied means an individual's record is set to a permanent deny date of 9/09/2099. The P O S system will permanently deny this person from cashing a check through the P O S computer.
- *Blocked:* Indicates a manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

Query Verification Records (MVD users only)

Since the MVD can potentially contain thousands of records, the ability to clearly define a search will result in better system results. Search results can be defined to limit the amount of data retrieved. To limit a search, enter criteria in the Search window.

- Location – Location of requesting user
- I R N - Unique 'item reference number'
- Userfield1 – Agency's specific first configurable field
- Bank Routing Number – Bank Routing/transit number for the account associated with a transaction
- Account – Individual's account number
- Trade Status – Select a specific trade status from the drop down menu (Blocked, Suspend, Denied, Cleared, Dynamic, All). Refer to the *Status of Verification Records* for further explanation.
- MVD Date – (To/From) Date range on which to base the search. This is the date that the returned record was created in the MVD.

To query a Verification Record:

1. Click the **'Verification'** option from the Main Menu. The following screen will appear: (Figure 5.21)

The screenshot shows a web-based search interface for verification records. The title bar reads "U.S. Treasury Paper Check Conversion Over the Counter". The main heading is "Verification". Below this is a section titled "Search All Verification Records". The search form contains several fields: "Location" with the value "FederalReserve" and a magnifying glass icon; a checked checkbox for "Include Subordinates"; "IRN", "UserField1", and "Bank Routing Number" as empty text boxes; "Account" as an empty text box; "Trade Status" as a dropdown menu currently showing "ALL"; and "MVD Date" with "From" and "To" date pickers both set to "09/29/2006". At the bottom of the form are three buttons: "Query", "Add MVD Record", and "Reset".

Figure 5.21

2. Type all pertinent details relating to the item for which you are querying such as I R N, RT, Account number, etc.
3. Choose a **'From'** and **'To'** MVD Date. Note that the date fields use a calendar tool to assist you (as pictured below in Figure 5.22) Clicking on the single arrow to the right or left of the month name will increase or decrease the calendar one month at a time. Clicking on the double arrows to the right or left of the month name will increase or decrease the calendar one year at a time.

U.S. Treasury Paper Check Conversion Over the Counter

Verification

Search All Verification Records

Location	FederalReserve
	<input checked="" type="checkbox"/> Include Subordinates
IRN	
UserField1	
Bank Routing Number	
Account	
Trade Status	ALL
From	09/29/2006

Reset

https://qai.pc...

« < September 2006 > »

S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

[close] [clear]

Internet

Figure 5.22

Note: When viewing verification records within ELVIS, the suspension period is calculated based on the policy of the agency shown in the Location field for the query. For each transaction, the policy is added to the MVD date to determine the Deny date.

- Click 'Query' at the bottom of the window. The following is an example of the results screen that will be displayed (Figure 5.23):

<input type="button" value="Previous"/> <input type="button" value="Next"/> <input type="button" value="Print"/>										
Verification List [1 - 7 / 7]										
	IRN	UserField1	Loc Tag	Bank Routing Number	Account	Amount	MYD Date	Trade Statu		
<input type="radio"/>	MANUAL-13866	98	77	0000789502	04100	98	6	\$0.00	10/17/2007	SUSPENDED
<input type="radio"/>	MANUAL-13865	12	77	FederalReserve	04100	12	6	\$0.00	10/17/2007	SUSPENDED
<input type="radio"/>	MANUAL-13846	33	77	8300000113				\$0.00	10/10/2007	DENIED
<input type="radio"/>	MANUAL-13845	44	38	8300000113				\$0.00	10/10/2007	SUSPENDED
<input type="radio"/>	MANUAL-13825	90	70	0000789502				\$0.00	10/05/2007	SUSPENDED
<input type="radio"/>	160518710205100001297	90	34	0000789502				\$3,000.30	10/03/2007	D-SUSPENDE
<input type="radio"/>	160518710205100001299	09	34	0000789502				\$3,001.00	10/03/2007	D-SUSPENDE

Figure 5.23

Note: Fields that display the word 'denied' indicate the user does not have permission to view those fields.

- The first 20 records are displayed on the screen. Click the **'Next'** button at the top left of the listing to view the next 20 records or click the **'Print'** button to request a printout of the records that are on the screen. The system will open a Windows Print dialog window with the computer's default printer highlighted. Click the 'Print' button. If there are more than 20 items returned, the system will print the page that is displayed. To print all the records, the user must navigate through all of the pages and print each page individually.
- You can also click on any individual record line to have the detailed verification information displayed on the screen as shown in Figure 5.24.

https://qai.pccotc.gov - U.S. Treasury Paper Check Conversion Over the Cou...

Verification Info

IRN	150917770246100001313	Modified Time	09/27/2006 11:40
UserField1		Amount	\$2,363.00
Bank Routing Number	041212433	Capture Date	09/26/2006
Account	100161	Location Name	8300000101
TxType	T	MVD Date	09/27/2006

Verification Edit

Trade Status: DYNAMIC

Deny Date: 11/26/2006

Override:

Occurrence: 1

RR Code: 01

Location Description: PCC TEST AGY ONE

RR Description: Insufficient Funds

Note:

CIRA Detail Confirm Print Close Window

Figure 5.24

You can print the detail by clicking the **Print** button at the bottom of the window. The system will open a Windows Print dialog window with the computer's default printer highlighted. Click the 'Print' button.

7. You can also click the **'CIRA detail'** window and a screen will be displayed similar to Figure 5.25. You can jump between the CIRA detail and the Verification detail by clicking the appropriate button.

The screenshot shows a web browser window titled "https://qai.pccotc.gov - U.S. Treasury Paper Check Conversion Over the Cou...". The main content area is titled "CIRA Detail" and contains a table with the following data:

IRN	150917770246100001313
ALC or DSSN Code	8300000101
Capture Date	09/26/2006
Bank Routing Number	041212433
Bank Account Number	100161
Cashier ID	syed pcc
Check Type	Personal
Check Number	2361
Check Amount	\$2,363.00
Processing Mode	Not Present
Received Date	09/26/2006 11:02:22
Status	Represented
215/Deposit Ticket Number	000546
5515/Debit Voucher Number	
Settlement Date	09/27/2006
Return Settlement Date	
Batch ID	3802B8E8-EFB1-4853-8DB2-5A4E119D54F8

At the bottom of the window, there are five buttons: "Verification Detail", "Show Image", "Show History", "Print Details", and "Close Window".

Figure 5.25

8. There are more functions that can be performed at the bottom of the window. The 'Verification Detail' will take you back to the previous screen. Other options available are 'Show Image', 'Show History', 'Print Details' or 'Close Window'. These options are explained in the CIRA query section of this chapter.

Add MVD Record

Agencies can add suspended, denied, or blocked Records. This function is used to add manual records beyond the records automatically created with PCC OTC from returned transactions. For example, your Agency may know of individuals for which you do not want to accept checks. An agency has the option of adding a manual suspend record to prevent that check writer from cashing a check, from the current day through a defined 'suspend until' date. Agencies also have the option of adding a manual denied or blocked record which will deny the check writer from cashing a check indefinitely. Once these records are added in ELVIS and downloaded to the P O S, transactions that match the information on the manual records will display a pop-up message to the operator advising them of the suspend/blocked/denied record.

Manually added records are not handled the same as dynamically calculated records. The manual records are not used for calculations of the number of offenses against the check writer, nor do they count as another offense against the Agency's policy.

To add an MVD Record:

- 1 Click **'Verification'** from the Main Menu.
- 2 When the Verification window appears, click **'Add MVD Record'** at the bottom of the window. The 'Add MVD Record' window opens on the right side of the screen as it appears in Figure 5.26.

Figure 5.26

3. Fill in all pertinent information with regard to the item that is being added to the MVD.
4. Click the down arrow in the 'Trade Status' field and choose 'Suspended', 'Denied', or 'Blocked'.
5. Use the calendar tool to choose the deny date, or type the date in MM/DD/YYYY format. Within the calendar tool, click on the single arrow to the right or left of the month name to increase or decrease the calendar one month at a time. Click on the double arrows to the right or left of the month name to increase or decrease the calendar one year at a time.

6. Check or uncheck the 'Override' box. Checking the override box will allow the field to be overridden when it is received at the P O S end. If left unchecked, the P O S operator receiving the item will not be able to override the record.
7. Click the search tool to the right of the Location Name field to find the correct location, or type the 10-digit A L C+2.
8. Key in related notes referencing the reason for suspending, denying or blocking of the record. The maximum number of characters that can be keyed into the 'Notes' field is 200. Special characters such as “ < > ’ and & are not permitted. For more information on special characters, see the *'Special Character Handling'* section earlier in this chapter
9. When complete, click '**Confirm**'. The following screen will appear (Figure 5.27) confirming that the operation was successful.

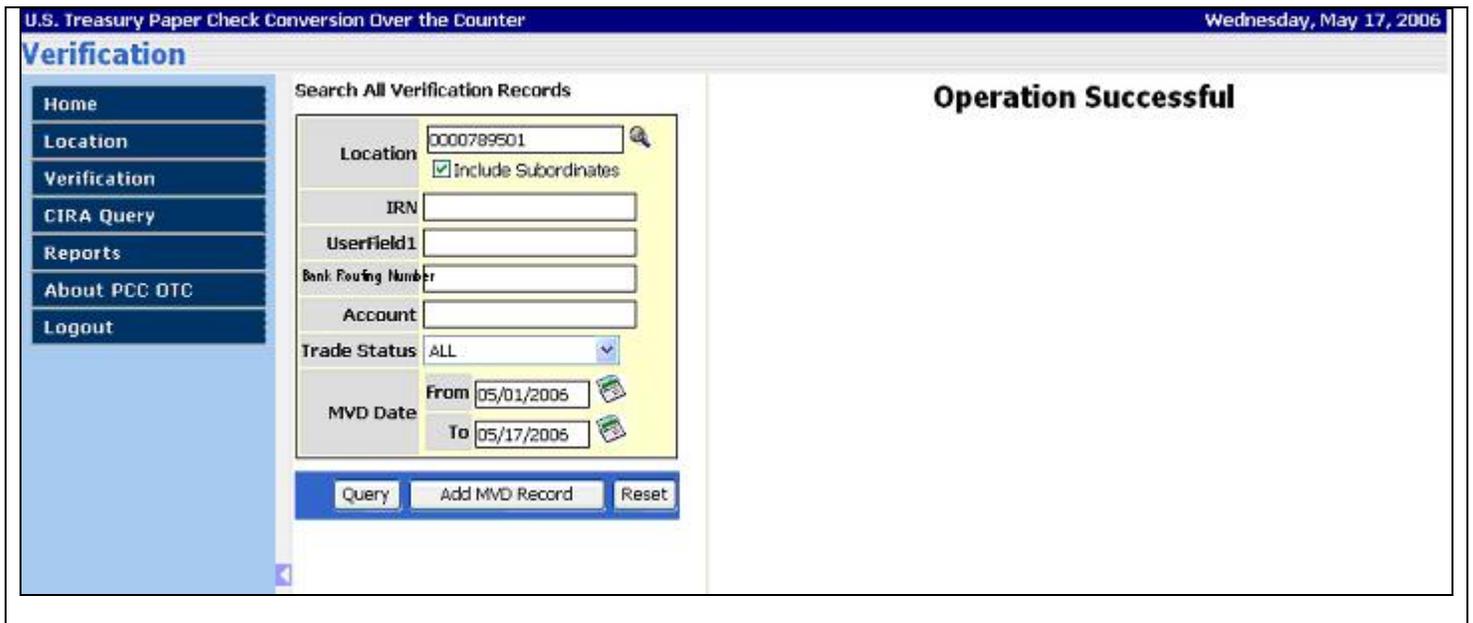


Figure 5.27

Update MVD Record

In order to update an MVD record, your role permission needs to have the 'MVD edit' privileges. You must first query the record to bring the detail to your screen. To query a Verification Record:

1. Click the '**Verification**' option from the Main Menu. The following screen will appear: (Figure 5.27.1)

U.S. Treasury Paper Check Conversion Over the Counter
Verification

Search All Verification Records

Location	FederalReserve
	<input checked="" type="checkbox"/> Include Subordinates
IRN	
UserField1	
Bank Routing Number	
Account	
Trade Status	ALL
MVD Date	From 09/29/2006
	To 09/29/2006

Query Add MVD Record Reset

Figure 5.27.1

2. Type all pertinent details relating to the item for which you are querying such as I R N, Bank Routing Number, Account number, etc.
3. Choose a '**From**' and '**To**' MVD Date. Note that the date fields use a calendar tool to assist you (as pictured below in Figure 5.27.2) Clicking on the single arrow to the right or left of the month name will increase or decrease the calendar one month at a time. Clicking on the double arrows to the right or left of the month name will increase or decrease the calendar one year at a time.

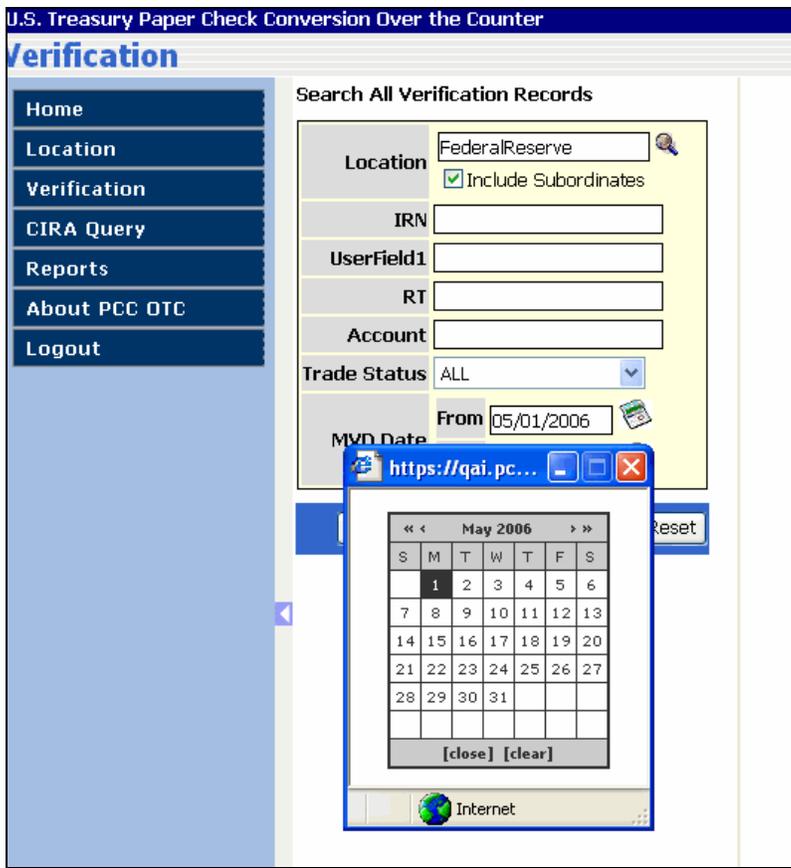


Figure 5.27.2

Note: When viewing verification records within ELVIS, the suspension period is calculated based on the policy of the agency shown in the Location field for the query. For each transaction, the policy is added to the MVD date to determine the Deny date.

4. Click 'Query' at the bottom of the window. The following is an example of the results screen that will be displayed (Figure 5.27.3):

IRN	UserField1	Loc Tag	Bank Routing Number	Account	Amount	MVD Date	Trade Status	
<input type="radio"/> MANUAL-13866	987987777	0000789502	04100	98	\$0.00	10/17/2007	SUSPENDED	
<input type="radio"/> MANUAL-13865	123	FederalReserve	04100	12	\$0.00	10/17/2007	SUSPENDED	
<input type="radio"/> MANUAL-13846	333	8300000113			\$0.00	10/10/2007	DENIED	
<input type="radio"/> MANUAL-13845	444	8300000113			\$0.00	10/10/2007	SUSPENDED	
<input type="radio"/> MANUAL-13825	909	0000789502			\$0.00	10/05/2007	SUSPENDED	
<input type="radio"/> 160518710205100001297	902	0000789502			\$3,000.30	10/03/2007	D-SUSPENDED	
<input type="radio"/> 160518710205100001299	098	0000789502			\$3,001.00	10/03/2007	D-SUSPENDED	
<input type="radio"/> BLOCK-13806	543	8300000102			\$0.00	09/27/2007	BLOCKED	
<input type="radio"/> MANUAL-13805	4321	8300000102			\$0.00	09/27/2007	SUSPENDED	
<input type="radio"/> MANUAL-13785	111	8300000102			\$0.00	09/27/2007	SUSPENDED	
<input type="radio"/> MANUAL-13766	Test	1109262007	8300000101		\$0.00	09/26/2007	SUSPENDED	
<input type="radio"/> BLOCK-13765	test	2007	8300000101		\$0.00	09/26/2007	BLOCKED	
<input type="radio"/> MANUAL-13746	092	il	0000789501		\$0.00	09/26/2007	SUSPENDED	
<input type="radio"/> BLOCK-13745	092		0000789501		\$0.00	09/26/2007	BLOCKED	
<input type="radio"/> MANUAL-13726	258		8300000102		\$0.00	09/25/2007	DENIED	
<input type="radio"/> MANUAL-13725	444		8300000102		\$0.00	09/25/2007	SUSPENDED	
<input type="radio"/> R02_160518710205100001106		0000789502	04121	3	15	\$1,152.00	09/25/2007	BLOCKED
<input type="radio"/> MANUAL-13705	568		8300000102		\$0.00	09/25/2007	CLEARED	
<input type="radio"/> MANUAL-13688	333		8300000102		\$0.00	09/24/2007	DENIED	
<input type="radio"/> MANUAL-13687	222		8300000102		\$0.00	09/24/2007	SUSPENDED	

Figure 5.27.3

- The first 20 records are displayed on the screen. Click the **Next** button at the top left of the listing to view the next 20 records that are on the screen.
- To update the MVD record, click on the radio button of the item to be updated. The system opens a new window with the verification details of the selected record as shown in Figure 5.27.4. Verification details are divided into two sections: Verification Info and Verification Edit. Verification Info displays ‘read-only’ details about the MVD record. Verification Edit displays more details about the MVD record through the following fields:
 - Trade Status (Editable)
 - Deny Date (Editable if Trade Status is not Denied or Blocked)
 - Override (Editable –may or may not be overridden based upon the trade status)
 - Occurrence (Read-only)
 - RR Code (Editable)
 - Location Description (Read-only)

- ◆ RR Description (Read-only)
- ◆ Note (Editable)

https://qai.pccotc.gov - U.S. Treasury Paper Check Conversion Over the Cou...

Verification Info

IRN	150917770246100001313	Modified Time	09/27/2006 11:40
UserField1		Amount	\$2,363.00
Bank Routing Number	041212433	Capture Date	09/26/2006
Account	100161	Location Name	8300000101
TxType	T	MVD Date	09/27/2006

Verification Edit

Trade Status	DYNAMIC
Deny Date	11/26/2006
Override	<input checked="" type="checkbox"/>
Occurrence	1
RR Code	01
Location Description	PCC TEST AGY ONE
RR Description	Insufficient Funds
Note	

CIRA Detail Confirm Print Close Window

Figure 5.27.4

Complete the appropriate fields as described below:

- Use the down arrow key to change the Trade Status to the revised status. If you are clearing an MVD record, keep in mind that this will only clear this one occurrence. If you are trying to reinstate an individual's check cashing privileges, more than one MVD record may need to be cleared.
- If a records is being changed to 'blocked', you may enter a deny date as MM/DD/YYYY, or click the calendar icon to use the calendar tool.
- Use the drop down arrow to change the RR (Return Reason) code, if necessary.
- Type the pertinent notes in the 'notes' field for audit purposes.
- Click the **'Confirm'** button. You should see a message that states your record has been successfully updated. Click **'OK'** to close the window.

Clearing an MVD Record

Clearing a verification record means that once the P O S is updated, transactions from the cleared record are now accepted into the system. To clear an MVD record:

1. Query the record to bring the detail to your screen as describe in the 'Update an MVD Record' section on the previous pages.
2. Once the record is displayed, change the trade status to 'Cleared' and click the 'Confirm' button. The system removes the 'Deny Date' and displays the message, "Your record has been updated successfully."
3. Click 'OK' to close the window.
4. The record will not be cleared at the P O S until an LVD download is performed. For information on how to perform an LVD Download, please see the *Daily Processing* Chapter of this S O P.

CIRA Query

The CIRA Query within ELVIS allows for searches on transactions and works much like it has in past releases with added functionality (Figure 5.27.5). The CIRA query screen can be customized by using available forms. A form is a set of user defined data fields. Agencies can have set of configurable fields for 'Person Present' mode (formerly known as P O S mode), and a different set of configurable fields for 'Person not Present' mode (formerly known as Lockbox mode).

S. Treasury Paper Check Conversion Over the Counter Friday, Novem

CIRA Query - Criteria

Location: Test Agency

Form Name: Test form 1

Include Subordinate Locations: Yes No

Deploy Date: 2005-06-11 21:12:30.0 | 1004

User Defined Fields

SSN: 111223333 SalesDate-ddmmyyyy:

Account: Bank Routing Number: 042900178 Status: ALL

IRN: Cashier ID: John W store12888 Check Amount: Equal To

Check Number: Batch ID:

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

Received Date: From: 11/01/2006 To: 11/17/2006

Check Capture Date: From: 11/17/2006 To: 11/17/2006

Settlement Date: From: 11/17/2006 To: 11/17/2006

Return Settlement Date: From: 11/17/2006 To: 11/17/2006

Figure 5.27.5

Available Search Fields

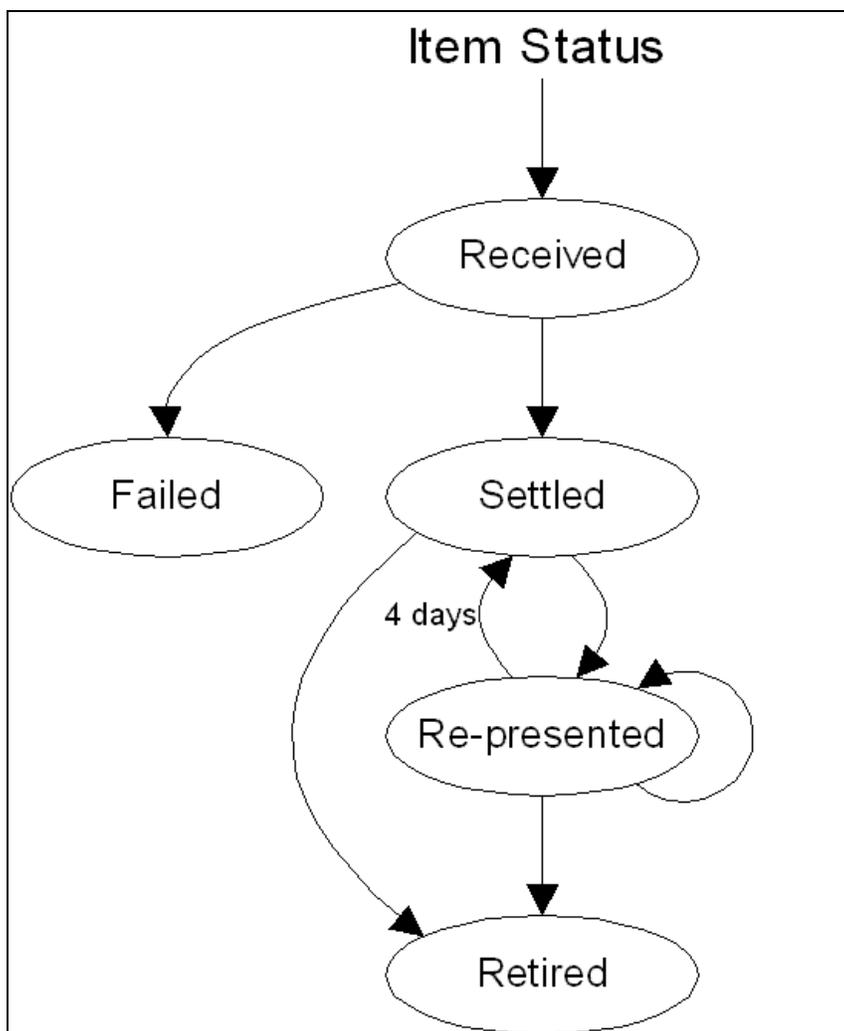
- **Location** – Search for items for a specific location.
- **Form Name** – Use the down arrow to choose one of your unique forms on which to search.
- **Deploy Date** – Select the most recent date of the form to populate the 'Generic Fields' with your unique field labels.
- **Include Subordinate Locations** – Choose the 'Yes' or 'No' radio button.
- **Deploy Date** – Used to choose the date of the appropriate form on which to search.
- **Generic Fields** - The first four Agency specific configurable fields, which are specific to the Agency's mode, may be searched. The field labeling and search type will be aligned to the field definitions for the form being searched and are populated automatically when selecting a particular form name/deploy date. The fields may consist of text, date, number, and currency. Searches can be performed using one or all of the generic fields.
- **Account** – The account number of the check writer
- **Bank Routing Number** – The 9-digit Bank Routing number or ABA.

- **Status** – Use the down arrow to select from the menu the status of the items to search. Valid statuses are, ‘All’, ‘Failed’, ‘Received’, ‘Represented’, ‘Retired’, and ‘Settled’, . (See Item Status Diagram, Figure 5.27.6 and the explanation of statuses that follows)
- **I R N** – The Item Reference Number (I R N) which is tied to a specific transaction.
- **Cashier ID** – The ID of the cashier that created the transaction.
- **Check Amount** – Using the drop down arrow, restrict the search by choosing ‘Equal to’, ‘Not Equal to’, ‘Greater than or Equal to’, ‘Greater than’, ‘Less than or Equal to’, or ‘Less than’. Type the dollar amount of the check.
- **Check Number** – The printed number of the check writer’s check.
- **Batch ID** – The batch ID is assigned by the P O S software and recorded on the batch list.
- **5515/Debit Voucher Number** – A unique identifier reflecting a debit into CA\$HLINK II for a given Agency. This entry represents items returned to an Agency because of unsuccessful collection efforts.
- **215/Deposit Ticket Number** - A unique identifier set for all items that are being credited into CA\$HLINK II for a given Agency on a given day.
- **Received Date** — The date the check was received into ELVIS, based on the FRB-C date/time ET. The CIRA Query screen allows the user to choose between the ‘Received Date’ and the ‘Check Capture Date’ by clicking the appropriate radio button. Using the drop down arrow, restrict the search by choosing ‘From’ to select a date range. When using ‘From’ you must also select a ‘To’ date to complete the search range. To search on a specific date, select ‘On’. Use the calendar tool to the right of the date field to choose the date or date range from the calendar. Within the calendar tool, click on the single arrow to the right or left of the month name to increase or decrease the calendar one month at a time. Click on the double arrows to the right or left of the month name to increase or decrease the calendar one year at a time.
- **Settlement Date** - Payment date of the item, which is when the payment amount is debited from the check writer’s account. To include the settlement date in your query, click to check the box to the left of the ‘Settlement Date’ field. Using the drop down arrow, restrict the search by choosing ‘From’ to select a date range. When using ‘From’ you must also select a ‘To’ date to complete the search range. To search on a specific date, select ‘On’. Use the calendar tool to the right of the date field to choose the date or date range from the calendar. Within the calendar tool, click on the single arrow to the right or left of the month name to increase or decrease the calendar one month at a time. Click on the double arrows to the right or left of the month name to increase or decrease the calendar one year at a time.
- **Check Capture Date** – The date the check was processed by the P O S computer. The CIRA Query screen allows the user to choose between the ‘Received Date’ and the ‘Check Capture Date’ by clicking the appropriate radio button. Using the drop down arrow, restrict the search by choosing ‘From’ to select a date range. When using ‘From’ you must also select a ‘To’ date to complete the search range. To search on a specific date, select ‘On’. Use the calendar tool to the right of the date field to choose the date or date range from the calendar. Within the calendar tool, click on the single arrow to the right or left of the month name to increase or decrease the calendar one month at a time. Click on the double arrows to the right or left of the month name to increase or decrease the calendar one year at a time.
- **Return Settlement Date** - Date of settlement of the returned item. To include the return settlement date in your query, click to check the box to the left of the ‘Return Settlement Date’ field. Using the drop down arrow, restrict the search by choosing ‘From’ to select a date range. When using ‘From’ you must also select a ‘To’ date to complete the search range. To search on a specific date, select ‘On’. Use the calendar tool to the right of the date field to choose the date or date range from the calendar. Within the calendar tool, click on the single arrow to the right or left of the month name to increase or decrease the calendar one month at a time. Click on the double arrows to the right or left of the month name to increase or decrease the calendar one year at a time.

Item Status

Figure 5.27.6

In ELVIS, there is a status to indicate the current state of a transaction throughout the collection process (See Figure 5.27.6). Inquiries related to the status can aid with the research and troubleshooting of a particular transaction.



Received - The Agency has sent this transaction into ELVIS. No settlement has been performed for this transaction yet.

Failed - The item was unable to be processed and/or settled by Federal Reserve Bank of Cleveland. These are items that could not be collected such as foreign items or possible duplicate items. These items will not be included on your 215 Report.

Settled - This transaction is complete and the funds have been credited to the Agency's CA\$HLINK account. The effective date of the deposit and the 215 Deposit Ticket Report deposit ticket number will be provided.

Represented- This transaction was returned with a reason code that allows for another collection attempt to be made. Depending on an agency’s policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

Retired- This transaction was unable to be collected. The Agency will receive a 5515 Report (Debit Voucher) with a debit processed to CA\$HLINK and the effective date and debit voucher number will be provided. The offset to the agency’s debit was an A C H return or a paper return (Check 21) received from the check writer’s financial institution. This transaction cannot be processed again through PCC OTC.

Count

From the CIRA Query screen a ‘count’ of items can be done. This should be used to give the user an idea of just how many items the system has found based on their search criteria. If the number of items is too large, more specific search criteria should be used to narrow the search. Searching on a large number of items can take longer. When the number of items found is too large, narrow the search whenever possible. See the section ‘To perform a CIRA Count’ for instructions on performing a CIRA Count.

To perform a CIRA Query:

1. From the ELVIS Main Menu, click on ‘CIRA Query’

The following screen will appear: (Figure 5.28)

Figure 5.28

2. Type the ten digit A L C+2 of the location or click on the search tool to the right of the 'Location' field to search for the A L C+2 (if you have access to see activity for multiple locations). The following window will appear with the list of authorized locations: (Figure 5.29)

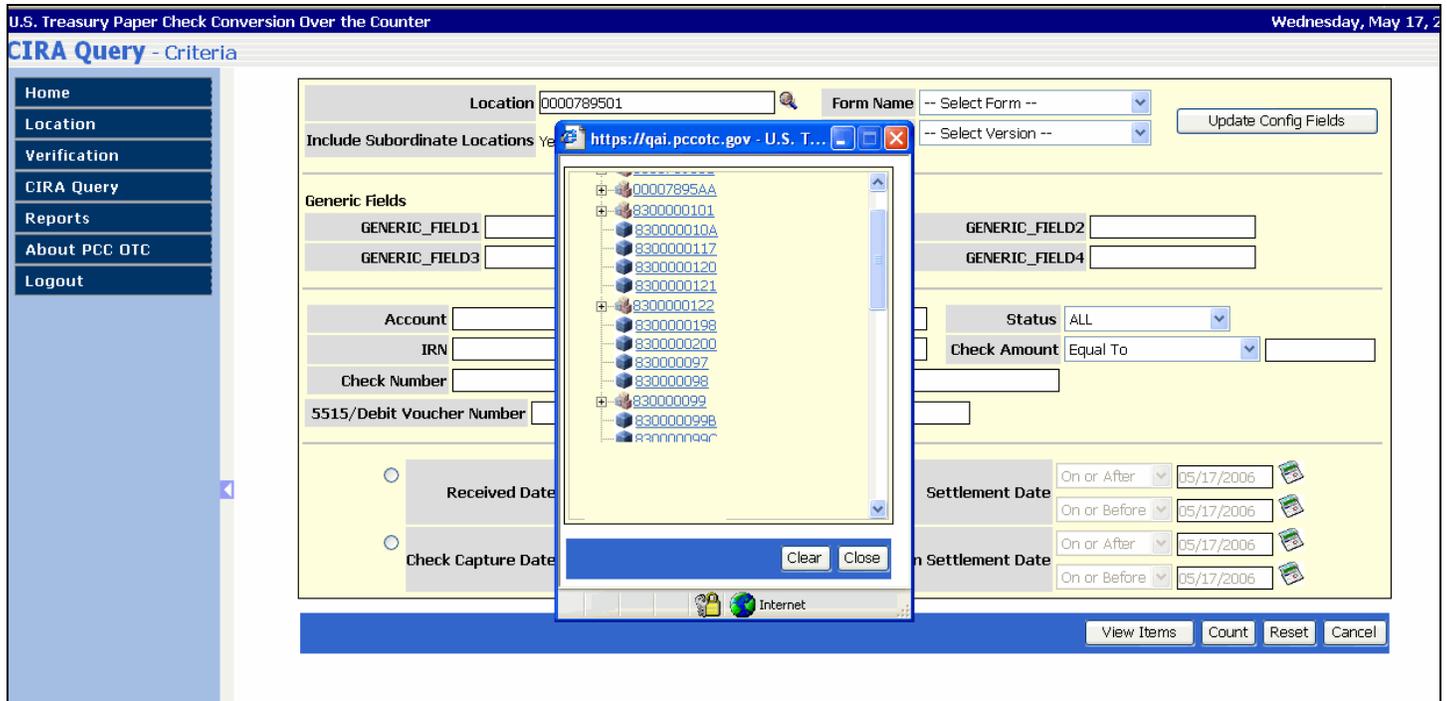


Figure 5.29

3. Click to choose the appropriate location on which to perform the search. The location is the site that scans the check into the P O S application and transmits the batch.
4. Click the down arrow key to choose the appropriate form name and deploy date of the form. The fields will be propagated with the correct configurable field labels for the form, based on these choices.
5. Click 'Yes' or 'No' to include subordinate locations. Subordinate locations are locations for which the user has permission to view, that are under your location in the hierarchy.
6. Key in the appropriate data in the remainder of the search fields.

Note: You can key data into one or more fields on the query screen to narrow your search. It is recommended that you input as much search criteria as possible in order to receive more refined search results. At least one other field must be included in the search when querying Generic field 1

7. Choose between the 'Received Date' and the 'Check Capture Date' by clicking the appropriate radio button.
8. The 'Settlement Date' and the 'Returned Settlement Date' are optional. To include one or both of these fields in your search, click to check the box to the left of the field.

9. The 'Received Date', 'Settlement Date', 'Check Capture Date', and the 'Return Settlement Date' fields use the calendar tool to choose the date. Using the drop down arrow, restrict the search by choosing 'From' to select a date range. When using 'From' you must also select a 'To' date to complete the search range. To search on a specific date, select 'On'. Use the calendar tool to the right of the date field to choose the date or date range from the calendar. Within the calendar tool, click on the single arrow to the right or left of the month name to increase or decrease the calendar, one month at a time. Click on the double arrows to the right or left of the month name to increase or decrease the calendar one year at a time.
10. When all search fields are completed click the **'View Items'** button at the bottom of the screen. The results screen will be similar to the image below: (Figure 5.30)

IRN	ALC	Capture Date	Bank Routing Number	Account Number	Check Amount	Cashier ID	Check Type	Pr
100701500117200006198	0000789502	06/06/2006 11:23:09	0436	0443	\$869.06	SAT 122 Test	Personal	Prt
100701500117200006243	0000789502	06/06/2006 11:45:22	0424	0401	\$183.55	SAT 122 Test	Personal	Prt
100701500117200006271	0000789502	06/06/2006 13:51:26	0424	0401	\$183.55	SAT 122 Test	Personal	Prt
100701500117200006273	0000789502	06/06/2006 13:52:12	0492	0409	\$783.93	SAT 122 Test	Personal	Prt
100701500117200006314	0000789502	06/07/2006 11:51:02	0454	0401	\$509.33	SAT 122 Test	Personal	Prt
140218700226100002125	0000789502	06/06/2006 10:59:16	0472	0405	\$86.89	SAT 122 Test	Personal	Prt
140218700226100002132	0000789502	06/06/2006 11:02:03	0436	0435	\$7.68	SAT 122 Test	Personal	Prt
140218700226100002138	0000789502	06/06/2006 11:05:40	0468	0405	\$7.89	SAT 122 Test	Personal	Prt
140218700226100002153	0000789502	06/06/2006 11:12:53	0459	0402	\$868.69	SAT 122 Test	Personal	Prt
140218700226100002354	0000789502	08/25/2006 12:42:19	0431	0401	\$25.99	syed pcc	Non-Personal	Prt

The first 100 items are displayed out of 7,493. Total Amount: \$44,017,424.78. Please refine your Query Criteria or click <Display first 1000> to view first 1000 items.

Query Criteria Display first 1000 Cancel

Figure 5.30

11. The screen will only display the first 100 items found based on the search criteria. The bottom of the screen will display the number of items that met the search criteria. In this instance, the search resulted in a total of 7,493 items that met the search criteria. The system displays the first 100 records of those items. A total dollar amount is also displayed. If there are more than 100 records but less than 1,000 records, the 'Display first 1000' button will still be displayed and clicking it will display all of the records that meet the criteria. To reduce the possibility of searching through such a high number of records, it is recommended that the user refine their search to add more unique information. This will reduce the number of items found by the query. There are three buttons at the bottom of the screen. The user can choose go back to the previous screen to refine their search by clicking on the **'Query Criteria'** button, or click the **'Display first 1000'** button which displays the first 1,000 records of the 6,928 total records, or click the **'Cancel'** button to cancel the query.

Note: If the 'Back Office' processing method is used when the checks are scanned into the P O S, this will be reflected in the CIRA Query Results as displayed below in Figure 5.30.1:

ALC	Capture Date	Bank Routing Number	Account Number	Check Amount	Cashier ID	Check Type	Processing Mode	Batch
01205	8300000102 09/27/2007 13:36:53 0*	3	1*	\$989.88	Nancy Test POS 54	Personal	Back Office	DE28
01207	8300000102 09/27/2007 13:38:53 0*	5	1*	\$454,353.45	Nancy Test POS 54	Personal	Back Office	DE28
01209	8300000102 09/27/2007 13:39:04 0*	3	1*	\$25,252.45	Nancy Test POS 54	Personal	Back Office	DE28
01212	8300000102 09/27/2007 13:40:28 0*	3	1*	\$1,358.00	Nancy Test POS 54	Personal	Present	DE28
01213	8300000102 09/27/2007 13:41:08 0*	3	1*	\$1,358.00	Nancy Test POS 54	Personal	Present	DE28
01215	8300000102 09/27/2007 13:52:38 0*	5	1*	\$1,021.00	Nancy Test POS 54	Non-Personal	Back Office	DE28
01217	8300000102 09/27/2007 14:01:35 0*	5	1*	\$1,022.20	Nancy Test POS 54	Non-Personal	Present	DE28
01219	8300000102 09/27/2007 14:02:31 0*	3	1*	\$1,350.60	Nancy Test POS 54	Personal	Not Present	DE28
01221	8300000102 09/27/2007 14:02:54 0*	5	1*	\$99.08	Nancy Test POS 54	Non-Personal	Not Present	DE28
01227	8300000102 09/27/2007 15:02:30 0*-----3	3	1*-----3	\$675.75	Nancy Test POS 54	Personal	Back Office	8CB5

The Query Result contains 23 items. Total Amount: \$522,360.14.

Query Criteria Cancel

Figure 5.30.1

12. To see the details of a particular item, click the radio button to the left of the record to be viewed. The following screen will appear: (Figure 5.31)

The screenshot shows a web browser window with the URL <https://qai.pccofc.gov>. The page title is "U.S. Treasury Paper Check Conversion Over the Cou...". The main content area is titled "CIRA Detail" and contains a form with the following fields:

- IRN: 100701500117200006243
- ALC or D55N Code: 0000789502
- Capture Date: 05/05/2006
- Bank Routing Number: 0- 4
- Bank Account Number: 01-----1
- Cashier ID: SAT 122 Test
- Check Type: Personal
- Check Number: 011740
- Check Amount: \$183.55
- Processing Mode: Present
- Received Date: 05/05/2006 13:41:03
- Status: Received
- 215/Deposit Ticket Number:
- 5515/Debit Voucher Number:
- Settlement Date:
- Return Settlement Date:
- Batch ID: CE4CB11E-8300-4840-867B-E739574CEA82

At the bottom of the form, there are buttons for "Show Config Fields", "Show Image", "Show History", "Print Details", and "Close Window". On the right side of the window, there is a list of check amounts and cashier IDs, including \$869.06 SAT 122, \$183.55 SAT 122, \$183.55 SAT 122, \$783.93 SAT 122, \$509.33 SAT 122, \$86.89 SAT 122, \$7.68 SAT 122, \$7.89 SAT 122, \$868.69 SAT 122, and \$25.99 eyed pcc. A "Query Criteria" button is also visible at the bottom right.

Figure 5.31

13. By clicking on the appropriate button at the bottom of the CIRA detail window, you can choose to **Show Config Fields**, which will display the unique user defined data fields, **Show Image**, which displays the image to the screen,

'Show History', which displays the item's history, and 'Print Details', to print the details of the item. Further information on the use of these functions is explained in the following pages. The user can also elect to click 'Close Window' to close the CIRA detail window.

- The 'Show Config Fields' button can be used to display the unique user defined fields that each Agency can elect to use. If the user defined fields are set up as optional, there may be transactions without user defined field information. In this case, the 'Show Config Fields' button will not appear on the screen. To display the user defined fields for this transaction, click the 'Show Config Fields' button. The following screen (Figure 5.31.0) will appear:

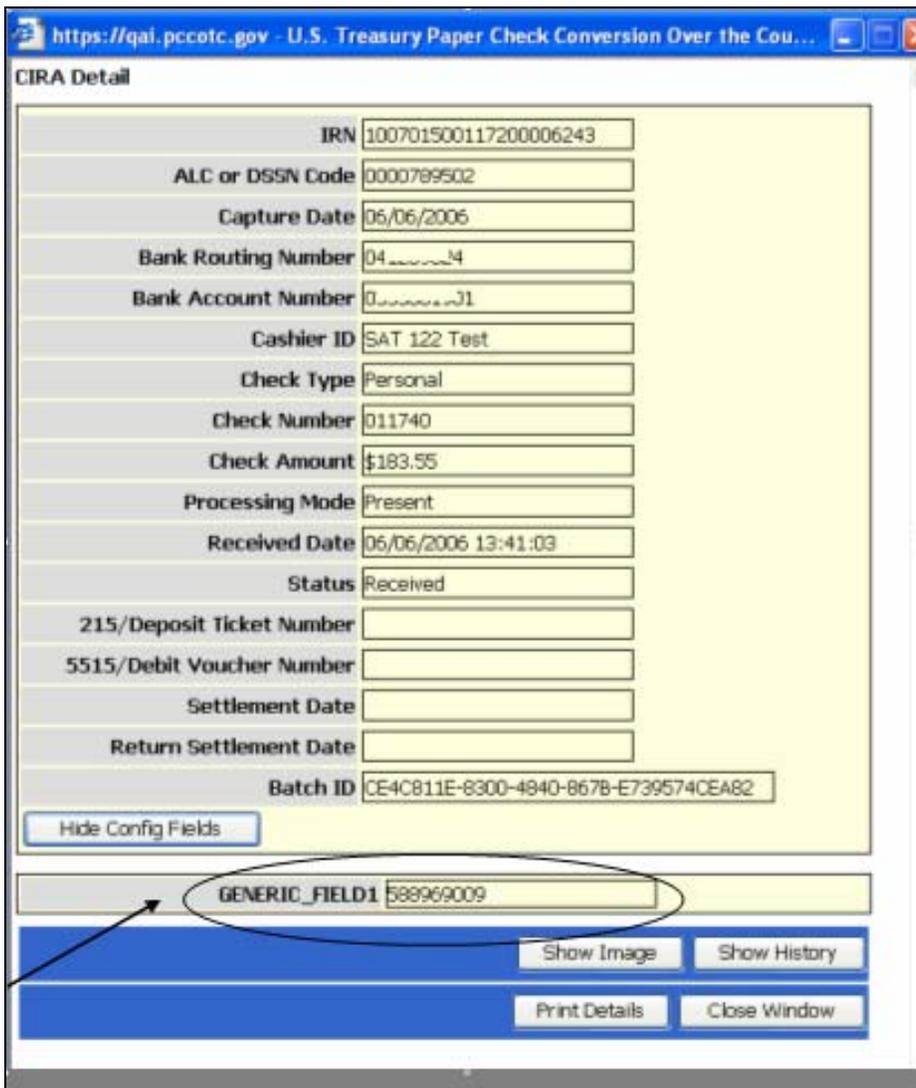


Figure 5.31.0

- The bottom of the screen will display the name of the field(s) and the data for each field. The fields can also be hidden. Once the user clicks on the 'Show Config Fields' button and the fields are displayed on the bottom of the screen, the button changes to 'Hide Config Fields'. Clicking on this button will hide the fields from view.

16. If the displayed CIRA detail has an associated verification record, a **Verification Detail** button will appear on the bottom of the screen as in Figure 5.31.01. The user must have permission to view a verification record.

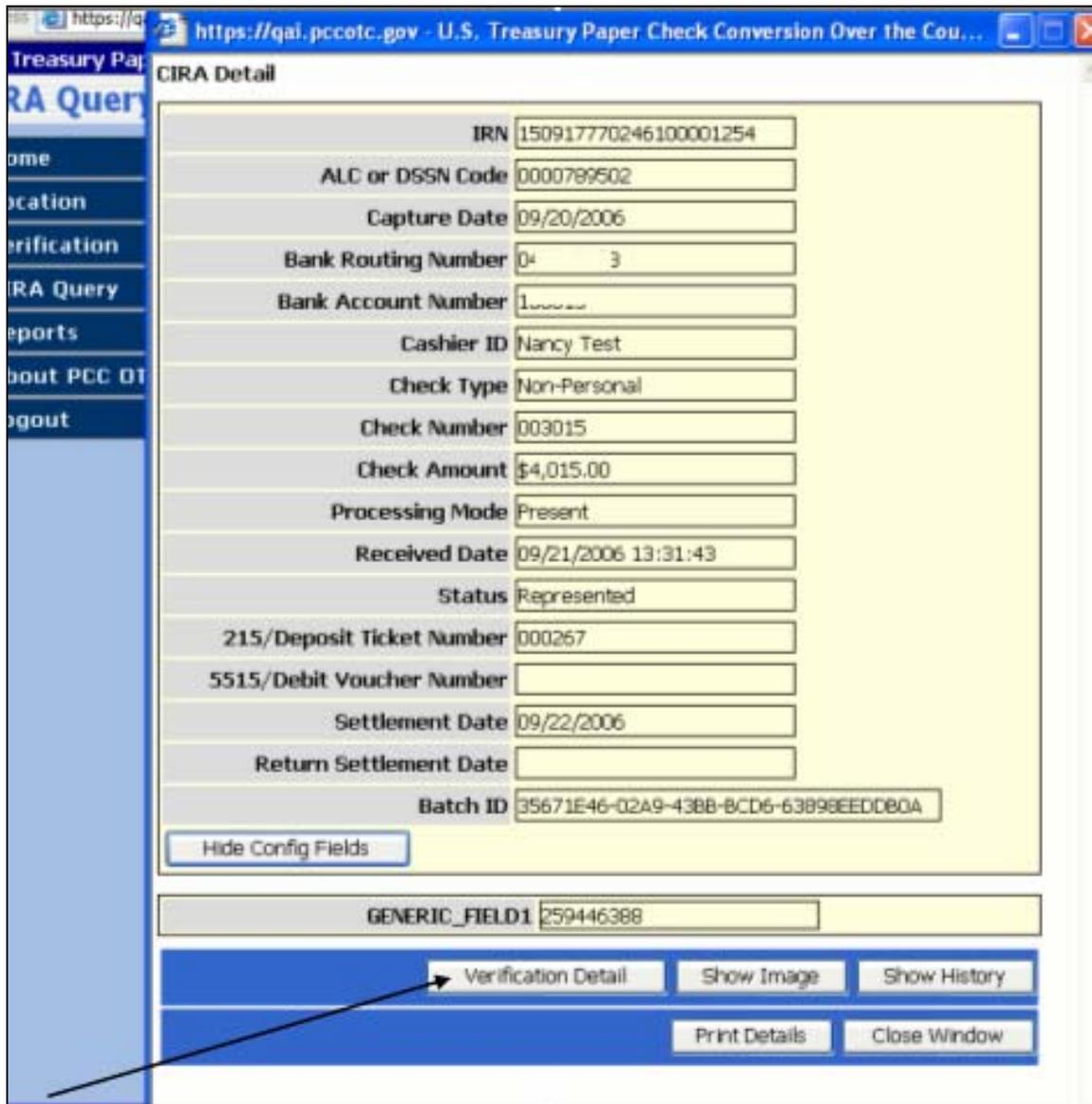


Figure 5.31.01

17. Click on the 'Verification Detail' button to display the details of the verification record as in Figure 5.31.02. The Verification Detail window allows the user to go back to the CIRA Detail window by clicking the 'CIRA Detail' button at the bottom of the window. The user can 'jump' back and forth between the CIRA Detail and the Verification Detail windows by using the corresponding buttons at the bottom of each window.

Verification Info

IRN	100701500117200006404	Modified Time	10/27/2006 18:31
UserField1		Amount	\$1,000.00
Bank Routing Number	0:-----	Capture Date	10/25/2006
Account	100001	Location Name	0000789502
TxType	T	MVD Date	10/27/2006

Verification Edit

Trade Status	D-SUSPENDED
Deny Date	11/05/2006
Override	<input checked="" type="checkbox"/>
Occurrence	1
RR Code	09
Location Description	Test Agency 5
RR Description	Uncollected Funds
Note	

CIRA Detail Confirm Print Close Window

Figure 5.31.02

To Show History

The 'Show History' button within the CIRA Detail window gives the user historic information regarding that item. If the item was returned and represented, information regarding effective entry dates and settlement dates will be included.

Figure 5.31.03 is an example of the 'Show History' results screen. There is a scroll bar at the bottom of the window that allows you to scroll from left to right. When you are done viewing, click the **'Close Window'** button.

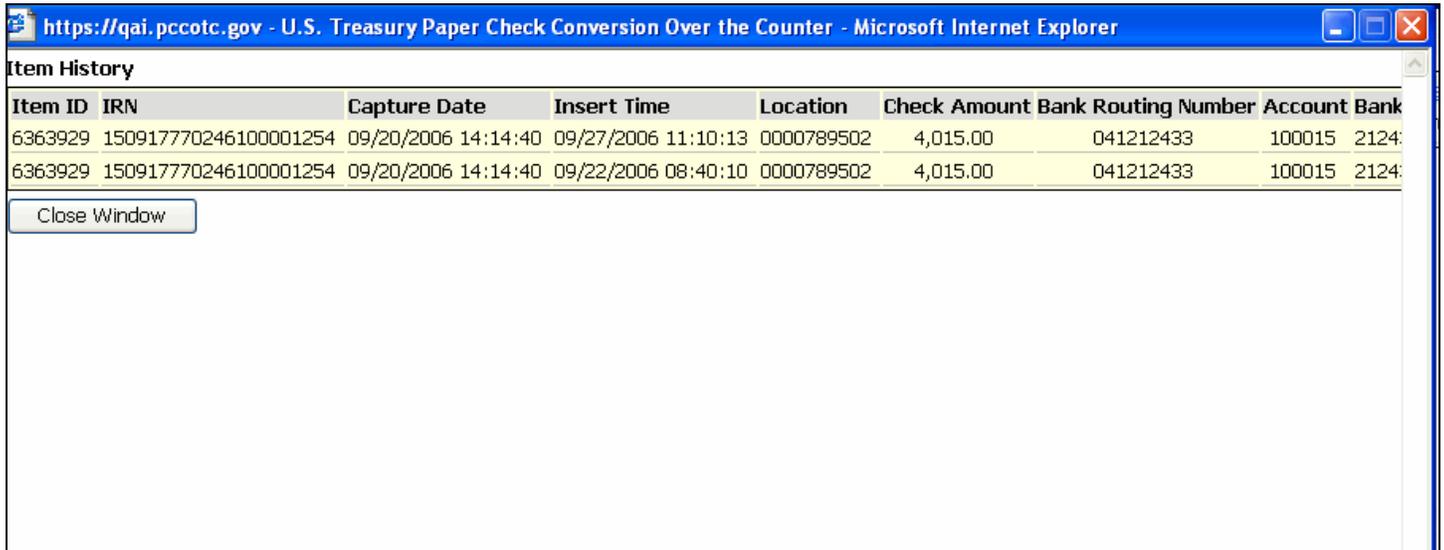


Figure 5.31.03

To Show Image:

From the 'CIRA Detail' window, click the 'Show Image' button. The ELVIS viewer window will open and the image of the check will be displayed as shown in Figure 5.31.04. It may be necessary to click the 'Fit Width' button at the bottom of the window to see the entire image within the window. The scroll button on the left side of the window can be used to scroll through the front and the back of the image.

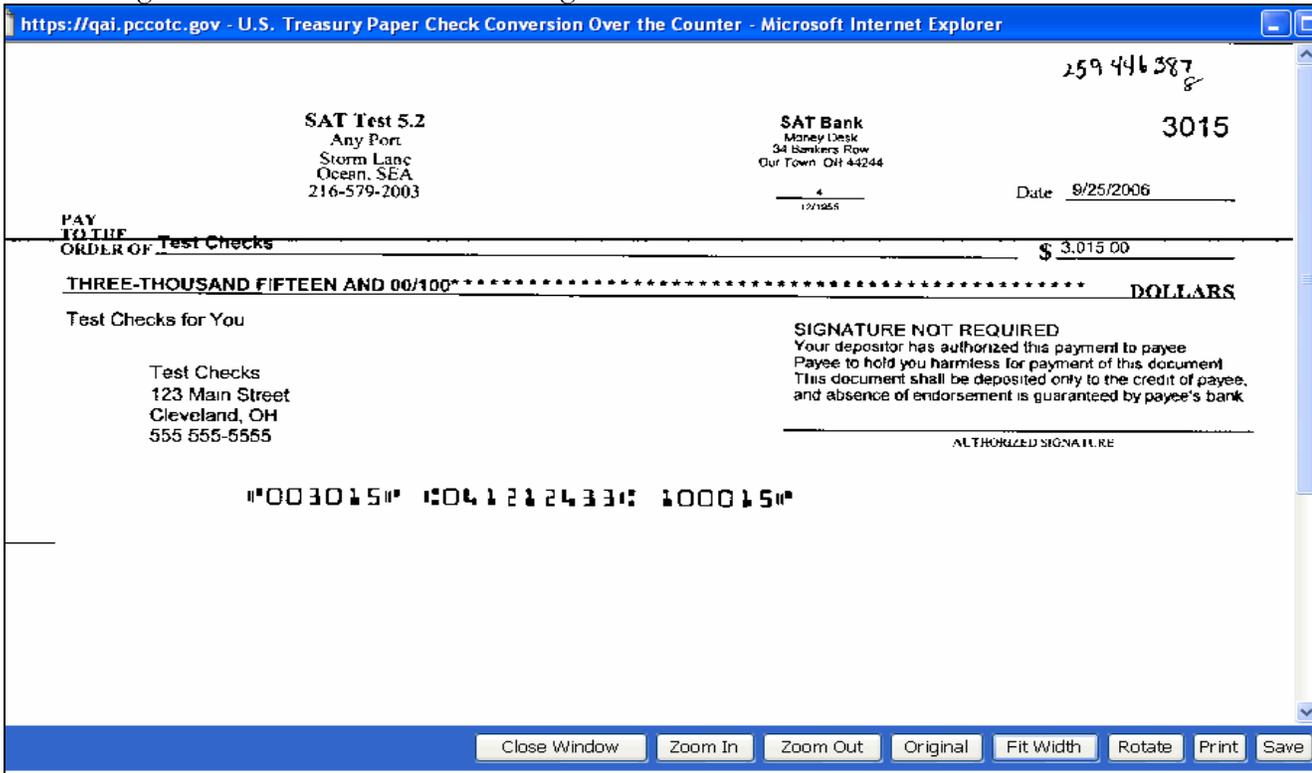


Figure 5.31.04

To Print the Image:

From the 'CIRA Detail' window, click the 'Show Image' button. Once the image is displayed as seen in Figure5.31.05, click the 'Print' button at the bottom of the window. A print dialog box appears allowing you to choose options such as the number of copies, page range, and printer. Click the 'Print' button.

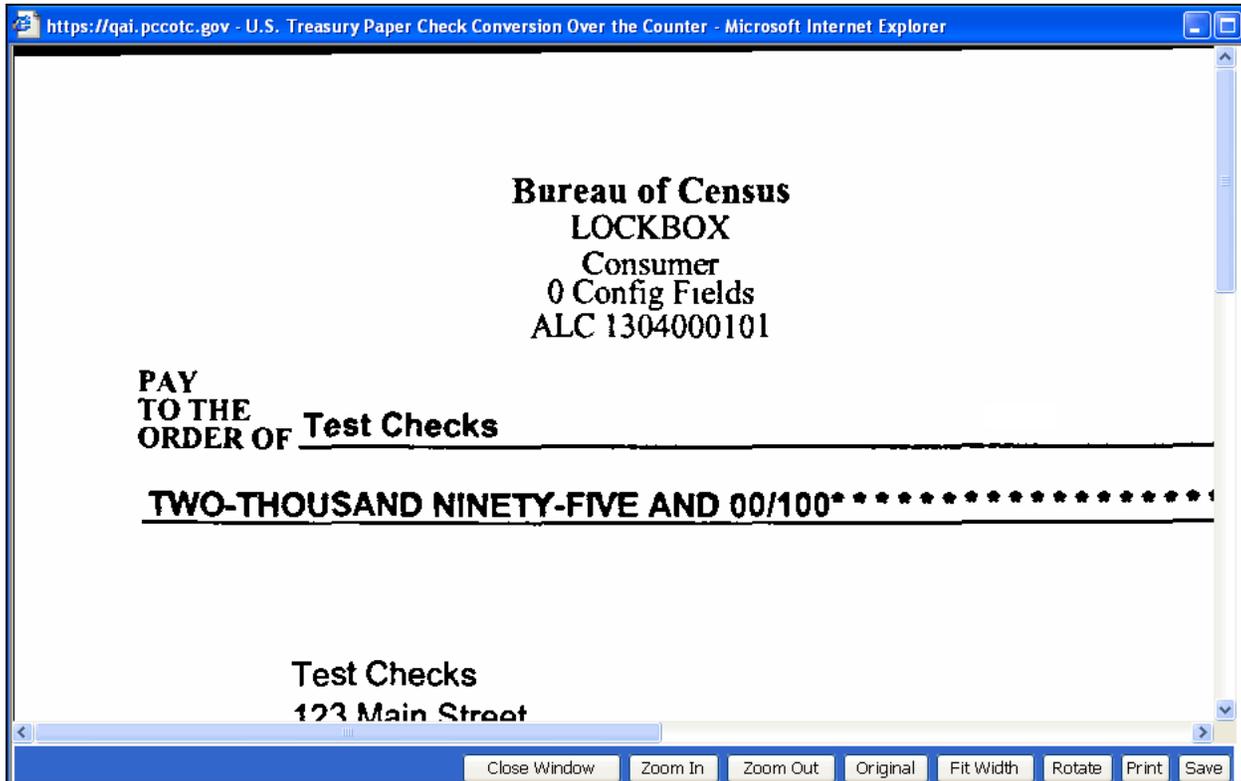


Figure 5.31.05

To Print the Details:

From the 'CIRA Detail' window, click the 'Print Details' button. A 'Check Details' screen will appear as in Figure 5.31.06. The scroll bar on the left can be used to scroll through the front, back, and check details. Click the **'Print'** button at the bottom of the window. A print dialog box appears allowing you to choose options such as the number of copies, page range, etc. Choose the printer to which the printout will be sent and click the **'Print'** button.

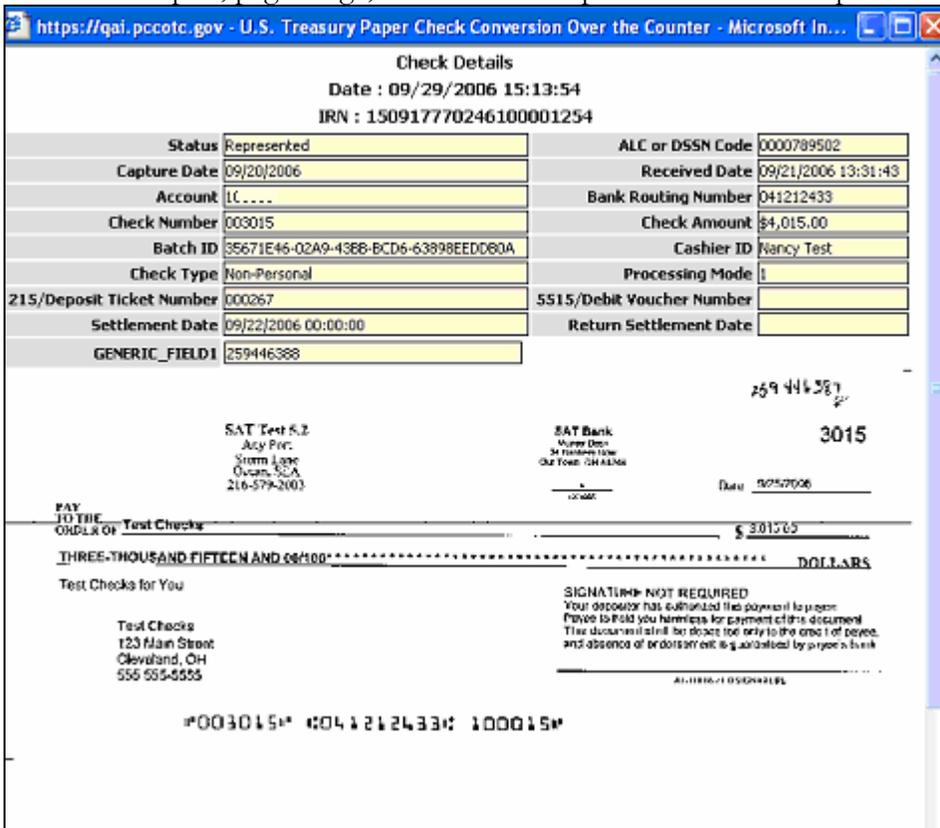


Figure 5.31.06

Other Uses for the CIRA Query

The CIRA Query can be used to retrieve historical information. Some examples include:

- Check writing trends – perform a search using a combination of the Bank Routing number and Account number for a specific time period to list all of the checks for a particular customer for that time period.
- Search for dollar amount specifics by using 'greater than', 'less than', 'equal to' – searches can be done on a specific dollar amount by using the drop down menu to the left of the dollar amount field. The search can be narrowed by specifying the location and by using the Receive date fields to specify a time frame, i.e., the past 6 months or year.
- High dollar items - there may be a need to search for high dollar items and this can be accomplished by using the 'greater than' (drop down) option to the left of the dollar amount field then specifying an amount, i.e.,

1,000,000.00. This search can be narrowed by specifying a location and/or time period using the 'Receive date' fields.

- ◆ Search for retired items – searches can be done for retired items by choosing 'retired' as the status. The search can be narrowed by location and a time period can be specified by using the 'To' and 'From' options in the 'Receive date' field.
- ◆ Search for items associated with a particular Deposit Ticket number or Debit Voucher number – type the Deposit Ticket number or Debit Voucher number in the corresponding field on the CIRA Query screen to search for items that were included on the report.

These are just a few of the examples of the ways in which the CIRA Query screen can be used to search for historical data. There are many more ways that the query screen can be used to retrieve customized information.

Request a CIRA Count:

The CIRA Count is used to quickly determine how many items fit a particular set of search criteria. It takes much less time to request a CIRA count than a CIRA query since the system does not have to display all of the details on the screen – only the total number of records and the total dollar amount of those records. If a CIRA Count is first performed, the search can be refined by using more criteria to limit the number of items displayed in the actual query if the count is too high.

1. From the ELVIS Main Menu, click on '**CIRA Query**'. Key in all of the search criteria necessary to perform the query as explained in the *To Perform a CIRA Query* section earlier in this chapter then click the '**Count**' button at the bottom of the screen. The following screen will be displayed (Figure 5.32) which shows the number of items and the total dollar amount of the items that meet the search criteria.

U.S. Treasury Paper Check Conversion Over the Counter Monday, 0

CIRA Query - Criteria

Location	0000789501	Form Name	-- Select Form --
Include Subordinate Locations	Yes <input checked="" type="radio"/> No <input type="radio"/>	Deploy Date	-- Select Version --

Generic Fields

GENERIC_FIELD1	GENERIC_FIELD2
GENERIC_FIELD3	GENERIC_FIELD4

Account	Bank Routing Number	Status	ALL
IRN	Cashier ID	Check Amount	Equal To
Check Number	Batch ID		
5515/Debit Voucher Number	215/Deposit Ticket Number		

<input checked="" type="radio"/> Received Date	From	09/01/2006	<input type="checkbox"/> Settlement Date	From	10/02/2006
	To	10/02/2006		To	10/02/2006
<input type="radio"/> Check Capture Date	From	10/02/2006	<input type="checkbox"/> Return Settlement Date	From	10/02/2006
	To	10/02/2006		To	10/02/2006

Total Records 77 **Total Check Amount** \$220,382.46

View Items Count Reset Cancel

Figure 5.32

2. If the number of items is too large, narrow the search by keying more data into the fields, if possible. This will reduce the amount of time the query will take.

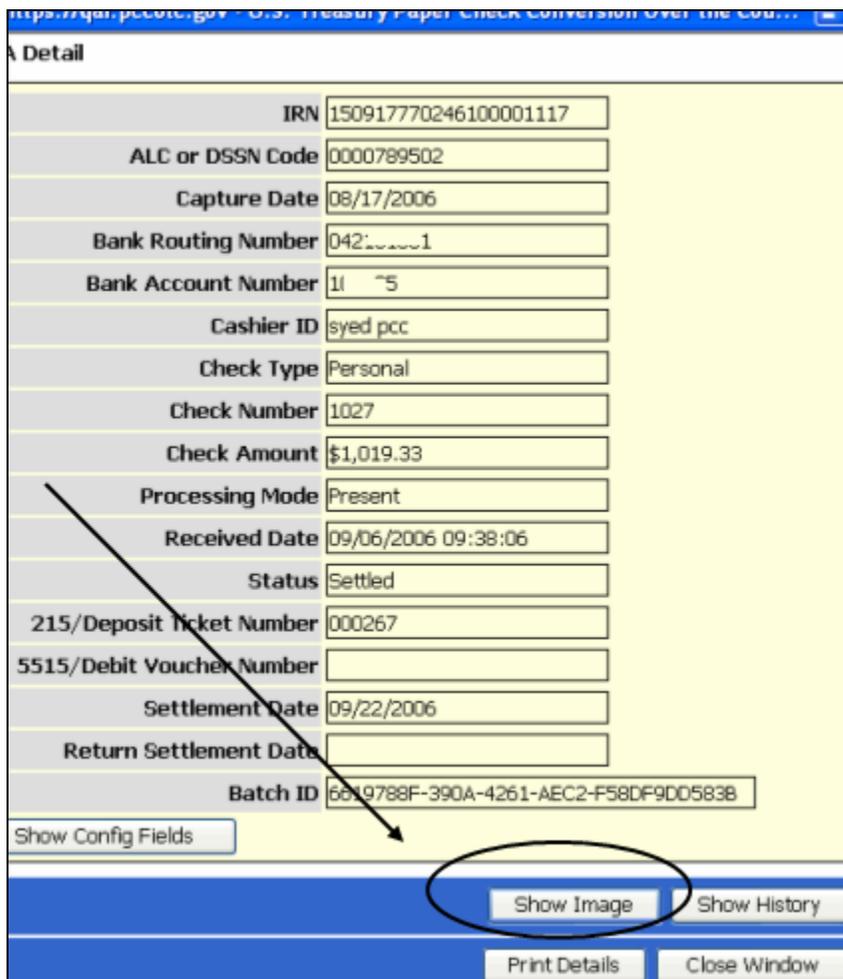
The ELVIS Viewer

When the 'Show Image' button is selected from a CIRA Detail screen, the ELVIS viewer window appears. The window displays the front of the check. The back of the check can be displayed by scrolling down.

Show Image

To show the image of the check, click the 'Show Image' button from the CIRA Detail screen, as displayed in Figure 5.32.1

Figure 5.32.1



The screenshot shows a web browser window with the URL <https://qair.pccote.gov> and the title "U.S. Treasury Paper Check Conversion Over the Cou...". The main content area is titled "A Detail" and contains a table of check information. A red circle highlights the "Show Image" button at the bottom of the table, with an arrow pointing to it from the left.

Field	Value
IRN	150917770246100001117
ALC or DSSN Code	0000789502
Capture Date	08/17/2006
Bank Routing Number	04210001
Bank Account Number	11 5
Cashier ID	syed pcc
Check Type	Personal
Check Number	1027
Check Amount	\$1,019.33
Processing Mode	Present
Received Date	09/06/2006 09:38:06
Status	Settled
215/Deposit Ticket Number	000267
5515/Debit Voucher Number	
Settlement Date	09/22/2006
Return Settlement Date	
Batch ID	6819788F-390A-4261-AEC2-F58DF9D0583B

Buttons at the bottom: Show Config Fields, Show Image (circled in red), Show History, Print Details, Close Window.

1. The system will retrieve and present the image as displayed in Figure 5.32.2.

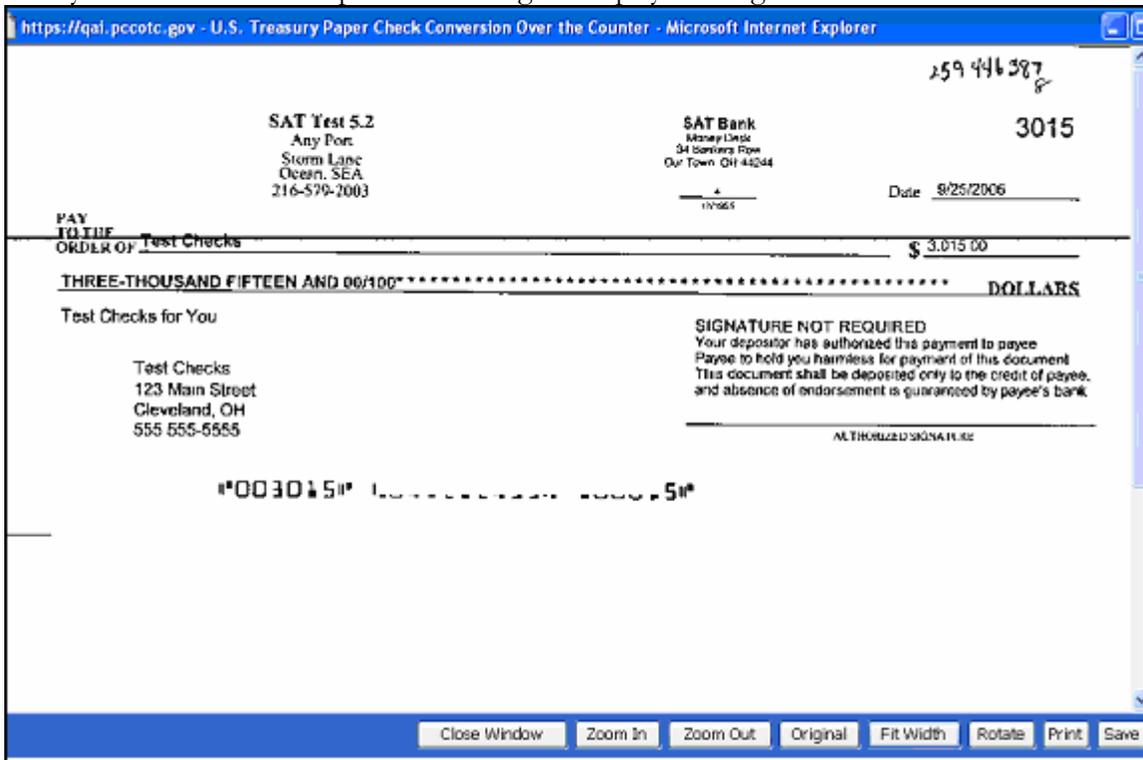


Figure 5.32.2

2. Use the buttons at the bottom of the screen to zoom in or out, revert to the initial view size by clicking on the 'Original' button, fit to width, rotate (90 degrees with each click), print, or save. If you choose to save the image, the system will save it as a zip file (see the following section for instructions on unzipping a file). When the file is unzipped, it will be saved to the specified area on your computer's hard drive or LAN as a .tiff file. A .tiff file is an image file that can be read by most popular image viewing software.
3. When finished viewing, select the 'Close Window' button to return to the CIRA Detail screen.

Note: When the image first appears in the window, it may appear 'zoomed in' so the entire image is not displayed. Click the 'Zoom out' or 'Fit Width' button at the bottom of the window until the entire image is in view.

Unzipping Files

When you save an image file in ELVIS, the files are saved in the .zip format. Zipped files are files that have been compressed to save space. There can be one or more files compressed into a single zip file. Zip files allow faster downloading of files from the internet. These zipped files end with the .zip extension. The Windows XP operating system includes a utility that allows a zipped file to be unzipped.

Note: If you are using Windows 2000, contact your Information Technology department to obtain a program used to unzip files.

Unzip Instructions for Windows XP Users:

When you click the ‘Save’ button while viewing an item, the following window will appear: (Figure 5.32.3)

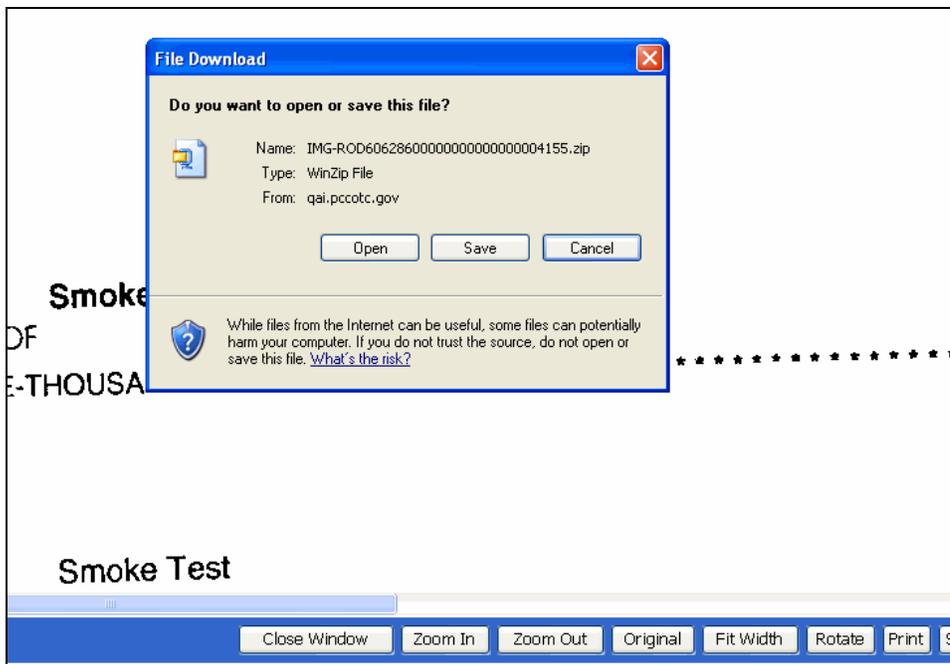


Figure 5.32.3

1. Click the ‘Save’ button in the File Download window. The system will display a ‘Save As’ window as in Figure 5.32.4.

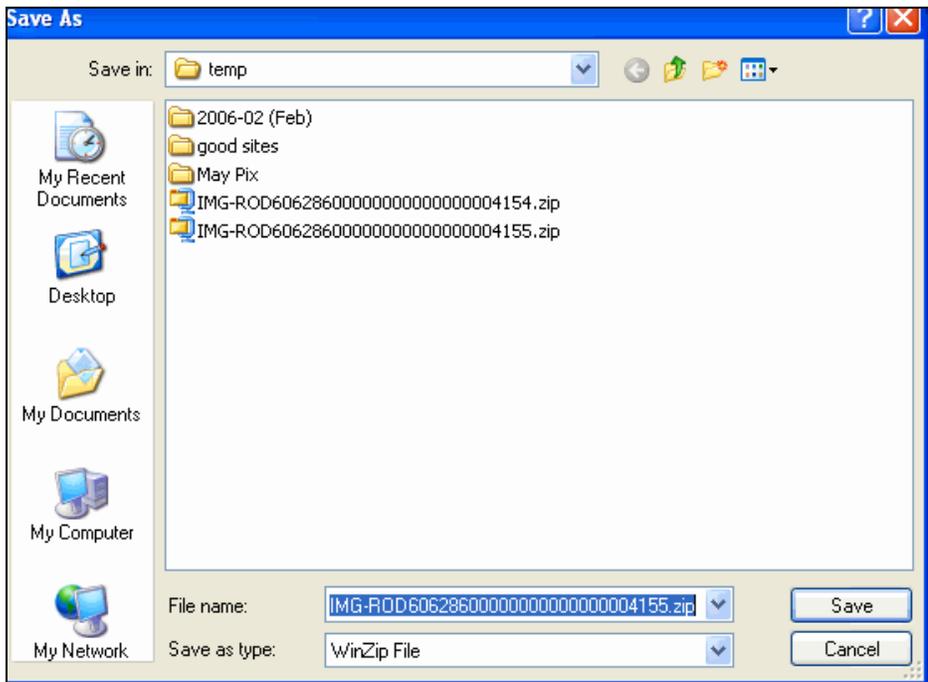


Figure 5.32.4

2. Click the down arrow in the 'Save in' field to navigate to the drive and folder on your computer's hard drive or LAN where the file should be saved. Choose the default file name or type a new file name in the 'File name' field and click the **'Save'** button. A 'Download Complete' window will appear as displayed in Figure 5.32.5.

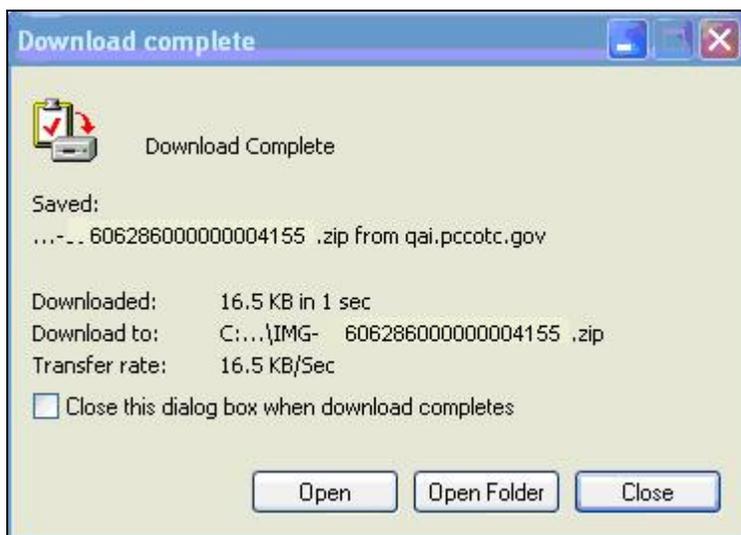


Figure 5.32.5

3. Click the **'Open'** button at the bottom of the window. A WinZip window will open (Figure 5.32.6). There are two image files listed in the example: the first zip file is the image file for the front of the check, and the second zip file is the image file for the back of the check.

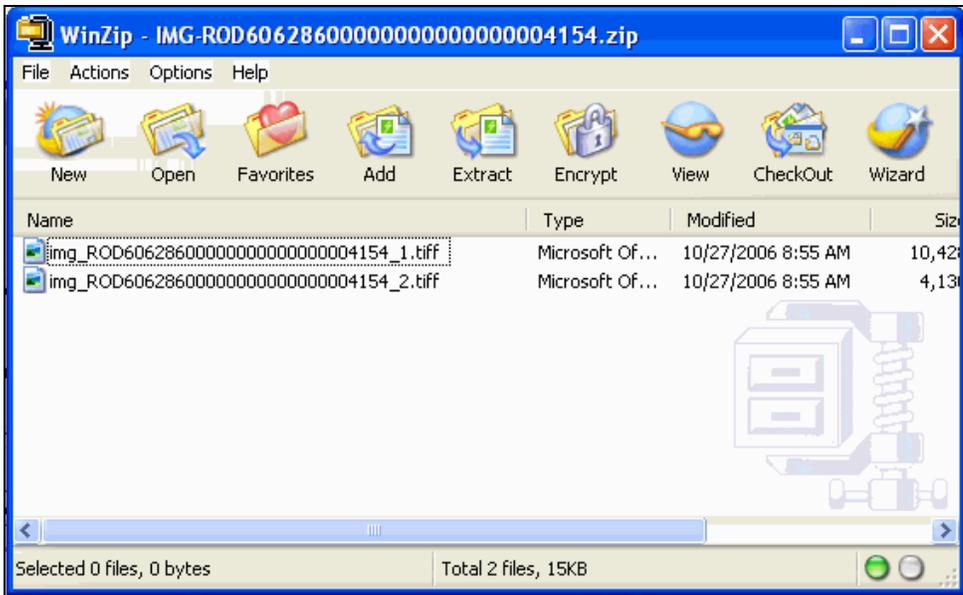


Figure 5.32.6

- Click each file name displayed within the window to select, then click the **'Extract'** icon at the top of the window. An 'Extract to' window will open (Figure 5.32.7).

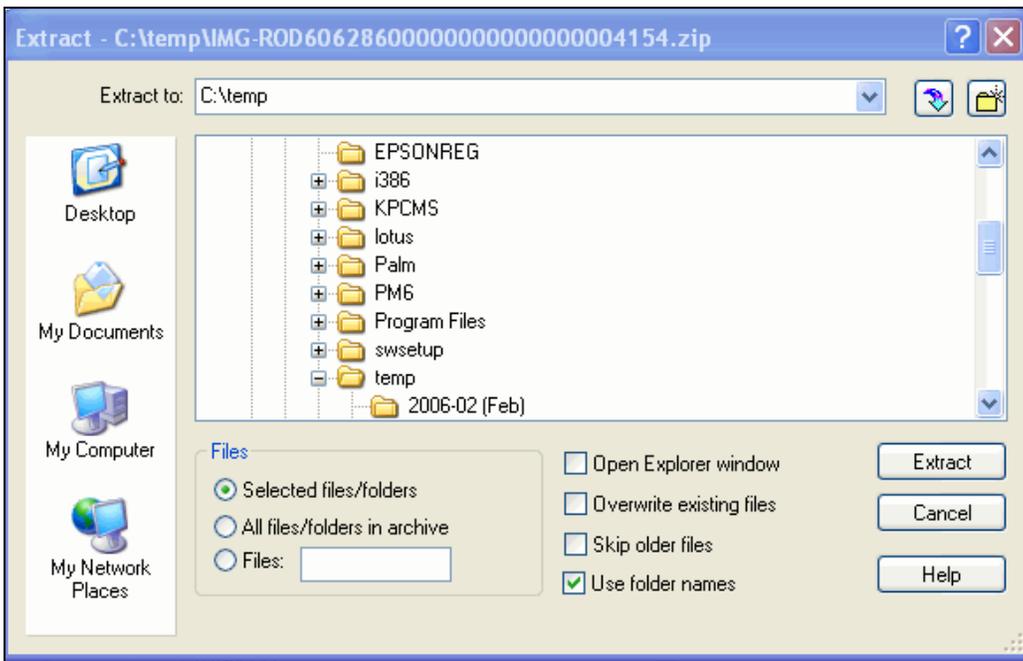


Figure 5.32.7

- Click the down arrow in the 'Extract to' field to navigate to the drive and folder of your computer's hard drive or LAN where the .tiff file(s) should be saved and click the **'Extract'** button at the lower right of the window. The files will be saved to the specified drive/folder. Click the **'X'** in the upper right of the window to close the WinZip Utility.

Reports

The reports described below are available in ELVIS. The following table describes each report.

Note: Adobe Reader® is required to download and view reports and can be downloaded free of charge from www.adobe.com.

Report	Description
Agency CIRA Report	This report displays the batch activity for specified locations and supplies the sending locations receive date, item count and dollar amounts.
Location Hierarchy	This report displays the target location within the context of the current location.
Deposit Ticket Report (SF215)	Runs once daily and covers all items processed within the preceding 24 hours. Report is available for 45 calendar days.
CIRA CSV Report	Allows users to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an Agency.
LVD Contents (For LVD users)	This report displays the contents of a Local Verification Database (LVD) for a given A L C+2.
Location Check Cashing Policy Report (For LVD users)	The Location Check Cashing Policy report displays the location policies used in the processing and delivery processes.
Debit Voucher Report (SF5515)	Run once daily and covers all retired items processed within the preceding 24 hours. Report is available for 45 calendar days.

To Request Reports

NOTE: In order for a user to request a report, their user role needs to have reports permission.

From the ELVIS home page, click the **'Reports'** button. The following screen will appear: (Figure 5.33)

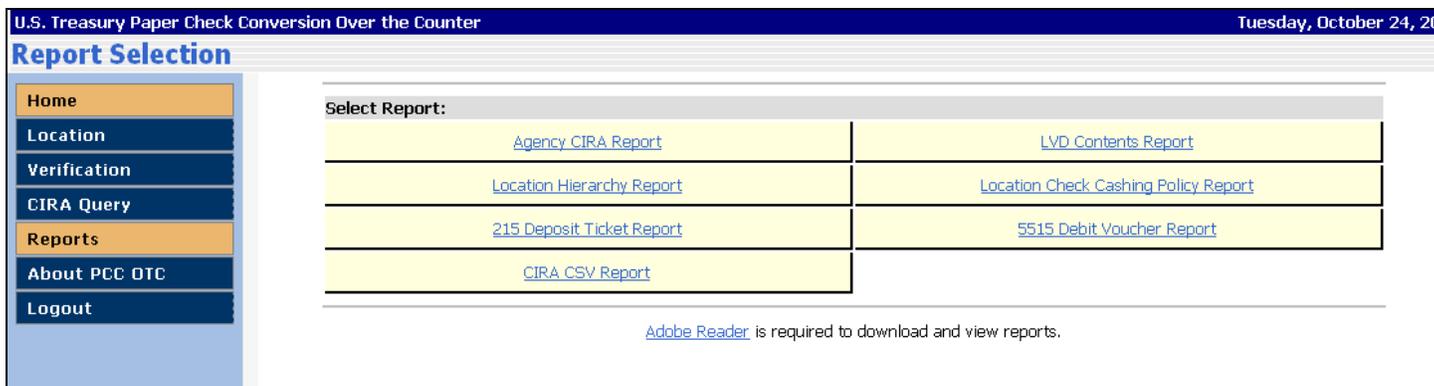


Figure 5.33

View Report – Common Functionality

Reports can be requested by authorized individuals. Once you have retrieved the report information, the following functionality (Figure 5.33.1) can be performed: (from left to right)



Figure 5.33.1

First: Click to display the first page of the report.

Prev: Click to display the previous page of the report.

Next: Click to display the next page of the report.

Last: Click to display the last page of the report.

Goto: This is used with Page (see below).

Page: Used with Goto to go to a particular page in the report. Type the page number of the page to view in the Page field and press ENTER or click the Goto button.

100%: Use the drop down arrow to resize the report display.

Download: Allows the user to view or save the report in a .pdf, excel, or RTF format. One or more pages can be downloaded (see Figure 5.33.2). (Note: The option to download in the excel format does not allow data to be manipulated due to an initial limitation with the reporting software. The reporting software vendor is working to correct this issue).

Print: Allows the user to print the report to any local or network printer that has been installed on the user's computer.

Note: The CIRA CSV Report does not have the above listed functionality, i.e., First, Prev, Next, etc., and the data is able to be manipulated in spreadsheet software.

Download Reports

Another common functionality of the reporting feature in ELVIS is the ability to download a report in different formats. To use this functionality:

1. Once the report has been retrieved and is displayed on the screen, click **'Download'**. The following screen will appear: (Figure 5.33.2)

Figure 5.33.2

2. Choose the report format as PDF, Excel Data, Excel Display, RTF, or Fully Editable RTF. If Excel data is chosen, note that the data cannot be manipulated at this time. Updates are being written and this functionality will be available in a future release. Also, Excel Data and Excel Display simply write the file as an .xls file but can be changed to a csv (comma separated value) format upon saving the file. This will allow the file to be opened in most spreadsheet applications.
3. Once the format is chosen, click the appropriate radio button to choose the page range of All, Current page, or specify a page number range in the provided field, as explained just below the field.
4. The option to view the report prior to saving is available by clicking on the **'View Report'** Button.
5. Click on the **'Save Report'** button. A file download window will appear asking if you'd like to open or save this file. Click the **'Save'** button. A 'Save As' window will appear. Chose the folder on your computer's hard drive or network drive where the file should be saved then type a file name. For Excel Data or Excel display, the default file extension is .xls but it can also be saved as a .csv by typing over the xls with csv. Click **'Save'**. A 'Download Complete' window will appear. Click the **'Close'** button.

Agency CIRA Report

The Agency CIRA Report displays the batch level transaction activity for a specific location. To request an Agency CIRA Report:

1. From the ELVIS Home Page click on the 'Reports' button
2. Click on the 'Agency CIRA Report' link. The following screen appears: (Figure 5.34)

The screenshot shows the 'Agency CIRA Report' form in the ELVIS system. The page title is 'U.S. Treasury Paper Check Conversion Over the Counter' and the date is 'Tuesday, M'. The form has a left-hand navigation menu with buttons for 'Home', 'Location', 'Verification', 'CIRA Query', 'Reports', 'About PCC OTC', and 'Logout'. The main content area is titled 'Agency CIRA Report' and contains a message: 'This report displays the transaction activity for the specified location.' Below this is a 'Search Criteria' section with the following fields: 'Location Name' (0000789501), 'Include Subordinate Locations' (checked), 'Date From' (04/25/2006), 'Date To' (05/02/2006), 'Received Date' (radio button selected), 'Captured Date' (radio button unselected), 'Batch ID' (ALL), and 'Cashier ID' (ALL). At the bottom right of the form are 'Submit Request' and 'Cancel' buttons.

Figure 5.34

3. Use the search tool to choose the appropriate location for which to request the report. For information about using the search tool, see the 'Icon Assisted Fields' section of this chapter along with Figure 5.17.3.
4. Click the box to the right of 'Include Subordinate Locations' if the search should include all locations beneath the Location Name.
5. Use the calendar tool to choose the 'Date From' and 'Date To' dates. For information about using the calendar tool, see the 'Icon Assisted Fields' section of this chapter along with Figure 5.17.2.
6. Click the radio button to choose to have the report based on either 'Received Date' or 'Captured Date'.
7. Key in a specific Batch ID or leave it at the default of 'All' for an all inclusive report.
8. Key in a specific Cashier ID or leave it at the default of 'All' for an all inclusive report.
9. Click 'Submit Request'. The following is an example of how the results screen will appear: (Figure 5.35)

Note: *If you are executing reports for multiple locations, the output is not sorted. This will be corrected in a future release.*

U.S. Treasury Paper Check Conversion Over the Counter Monday, October

Agency CIRA Report

[Home](#) | [Location](#) | [Verification](#) | [CIRA Query](#) | [Reports](#) | [About PCC OTC](#) | [Logout](#)

[First](#) | [Prev](#) | [Next](#) | [Last](#) | [Goto](#) | Page of 1 | | [Download](#) | [Print](#)

Agency CIRA Report

From Date: 10/26/2006 To Date: 10/30/2006

Location: 0000789501 Location Only: N

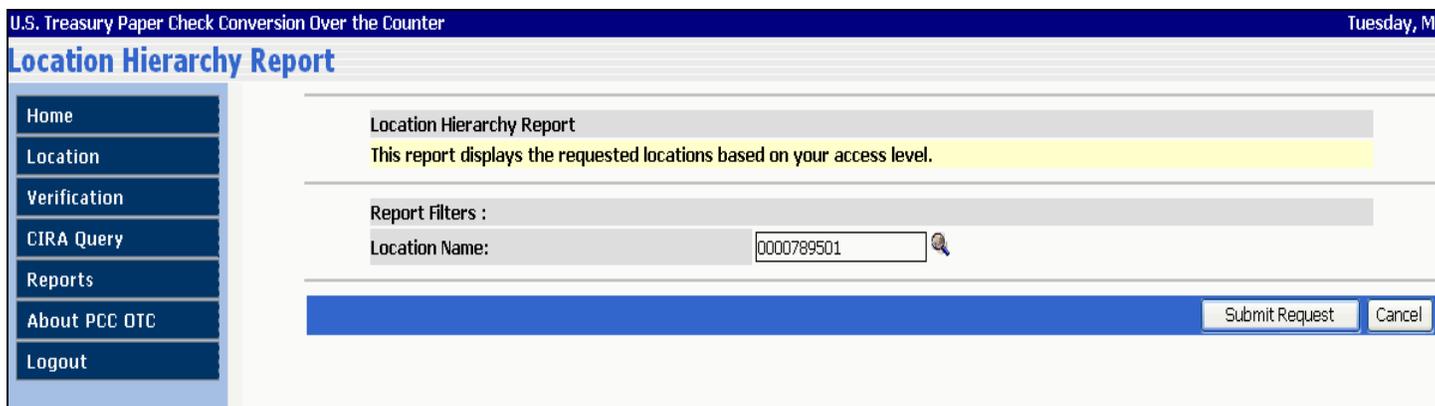
Daily Summary for all Locations	Received Date	Item Count	Dollar Amount
0000789502	10/26/2006	11	\$32,869.89
0000789502	10/26/2006	1	\$10,000,000.00
0000789502	10/26/2006	1	\$456.78
0000789502	10/26/2006	1	\$1.11
0000789502	10/27/2006	1	\$249,986.09
0000789502	10/28/2006	1	\$99,999,999.99
0000789502	10/30/2006	11	\$24,413.89
Grand Total:		27	\$110,307,727.75

Figure 5.35

Location Hierarchy Report

The Location Hierarchy Report displays the target location within the context of the current location, based on the user's access level. The report will show ancestor locations which are the parent and grandparent location. The descendants of location 0000789501, as shown in the example, display the children and grandchildren of location 0000789501. To request a Location Hierarchy Report:

1. From the ELVIS Home Page click on the **'Reports'** button.
2. Click on the **'Location Hierarchy Report'** link. The following screen appears: (Figure 5.36)



The screenshot shows a web application interface for the 'U.S. Treasury Paper Check Conversion Over the Counter' system. The page title is 'Location Hierarchy Report' and the date is 'Tuesday, Me'. On the left is a navigation menu with buttons for Home, Location, Verification, CIRA Query, Reports, About PCC OTC, and Logout. The main content area has a header 'Location Hierarchy Report' and a description: 'This report displays the requested locations based on your access level.' Below this is a 'Report Filters' section with a 'Location Name' field containing '0000789501' and a search icon. At the bottom right are 'Submit Request' and 'Cancel' buttons.

Figure 5.36

3. Click on the search tool to the right of the Location Name to choose the Location on which to search and choose the appropriate location. For information about using the search icon tool, see the 'Icon Assisted Fields' section of this chapter along with Figure 5.17.3.
4. Click the **'Submit Request'** button. The following screen will appear: (Figure 5.37)

U.S. Treasury Paper Check Conversion Over the Counter

Location Hierarchy Report

Home Location Verification CIRA Query Reports About PCC OTC Logout

First Prev Next Last Goto Page 1 of 1 75% Download Print

Location Hierarchy Report

05/02/2006

Home Location: 0000789501

Ancestor of location: 0000789501

Level
2 _____0000789501
Test Agency 8 . . .

1 _____Federal Reserve
The Federal Reserve, root of the location hierarchy.

Descendent of location: 0000789501

Level
2 _____0000789501
Test Agency 8 . . .

3 _____0000789502
Test Agency 5 . . .

4 _____00007895BB
test

Figure 5.37

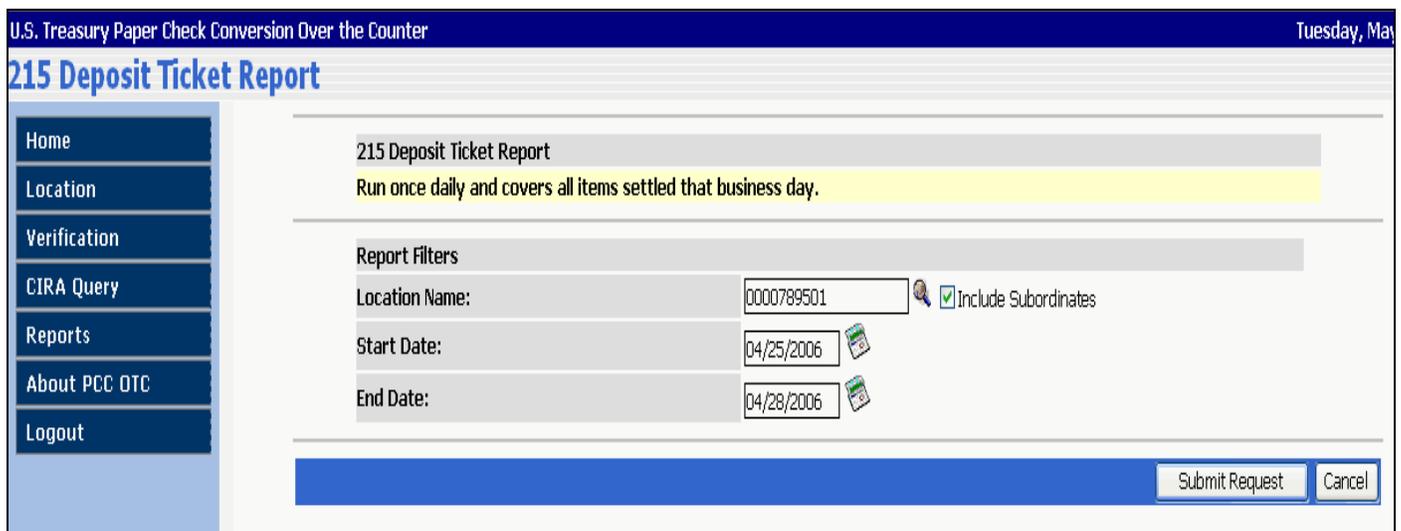
215 Deposit Ticket Report

The 215 Deposit Ticket Report runs once daily and covers all items processed within the preceding 24 hours. The 215 Report provides summary totals for all items being deposited into CA\$HLINK II for the specified business day. It is available at 10:00 a.m. and remains available for 45 calendar days. If you require a report that is older than 45 days, contact PCC OTC Customer Service. They can retrieve records that are up to seven years old.

The 215 is available each business day. If the report is requested on a day without activity, the report states, 'No data found for the criteria you entered'. The 215 Report contains detailed information with the number of transactions, dollar amount, transaction date, processing organization, and location.

To request a 215 Deposit Ticket Report:

1. From the ELVIS Home Page click on the 'Reports' button
2. Click on the '215 Deposit Ticket Report' link. The following screen appears: (Figure 5.38)



The screenshot shows a web application interface for the '215 Deposit Ticket Report'. At the top, there is a blue header bar with the text 'U.S. Treasury Paper Check Conversion Over the Counter' on the left and 'Tuesday, Mar' on the right. Below the header, the page title '215 Deposit Ticket Report' is displayed in a large blue font. On the left side, there is a vertical navigation menu with buttons for 'Home', 'Location', 'Verification', 'CIRA Query', 'Reports', 'About PCC OTC', and 'Logout'. The main content area features a section titled '215 Deposit Ticket Report' with a yellow highlight and the text 'Run once daily and covers all items settled that business day.' Below this is a 'Report Filters' section containing three input fields: 'Location Name' with the value '0000789501' and a search icon, 'Start Date' with the value '04/25/2006' and a calendar icon, and 'End Date' with the value '04/28/2006' and a calendar icon. To the right of the 'Location Name' field is a checked checkbox labeled 'Include Subordinates'. At the bottom right of the form area, there are two buttons: 'Submit Request' and 'Cancel'.

Figure 5.38

3. Use the search tool to the right of the 'Location Name' to choose the appropriate Location for which to request the Deposit Ticket Report. For information about using the search tool, see the 'Icon Assisted Fields' section of this chapter along with Figure 5.17.3.
4. Use the calendar tool to choose the Start and End Dates. For information about using the search icon tool, see the 'Icon Assisted Fields' section of this chapter along with Figure 5.17.2.

Note: Locations should be reconciling their PCC OTC activity to their CA\$HLINK account daily.

5. Click on the 'Submit Request' button. The following is an example of the results screen that will appear: (Figure 5.39)

U.S. Treasury Paper Check Conversion Over the Counter

215 Deposit Ticket Report

Home Location Verification CIRA Query Reports About PCC OTC Logout

First Prev Next Last Goto Page 1 of 1 75% Download Print

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: 04/25/2006 To Date: 04/28/2006

215 - Deposit Ticket

ALC 0000789502 Deposit Ticket No: 000183 Fiscal Agent: FRB Cleveland Settlement Date: 04/27/2006

215 - Detail

ALC 0000789502 Location Name: Test Agency 5 . . .

Cashier ID	Transaction Date	Summary Count	Summary Amount
Jon Test	04/24/2006	2	\$212.33
yd1	04/24/2006	2	\$946.32
edit new user	04/24/2006	12	\$77,170.40
edit new user	04/25/2006	15	\$10,439.15
poc user	04/25/2006	2	\$404.70
Total ALC: 0000789502		33	\$89,171.90

215 - Summary

Summary number of count: 33

Summary of total amount: \$89,171.90

Page 1 of 1

Figure 5.39

Note: If an Agency is setup for split Deposit Tickets, each A L C+2 would receive an individual Deposit Ticket that contains data only for their A L C+2.

Note: Agencies can now choose the flexibility of assigning separate numbering sequences to Deposit Ticket Numbers and Debit Voucher Numbers across an Agency's many Agency Location Codes (A L C). Deposit ticket and Debit Voucher numbers are six digits. Debits and credits can easily be identified by assigning a range for each category. For example, credits could be assigned a range of 000001 to 500000 and debits could be assigned a range from 600000 to 999999. The ranges are flexible and can be determined from the Agency's preferences. If no action is taken by the Agency then the deposit ticket and debit voucher numbers will remain on the current numbering sequence. For additional information please contact Customer Service.

LVD Contents Report

The LVD Contents Report displays the contents of a Local Verification Database (LVD) for a given ALC+2. To request an LVD Contents Report:

1. From the ELVIS Home Page click on the 'Reports' button
2. Click on the 'LVD Contents Report' link. The following screen appears: (Figure 5.40)

The screenshot shows a web application interface for the 'LVD Contents Report'. At the top, there is a blue header bar with the text 'U.S. Treasury Paper Check Conversion Over the Counter' on the left and 'Monday, October 2' on the right. Below the header, the page title 'LVD Contents Report' is displayed in blue. On the left side, there is a vertical navigation menu with buttons for 'Home', 'Location', 'Verification', 'CIRA Query', 'Reports', 'About PCC OTC', and 'Logout'. The main content area is titled 'LVD Contents Report' and contains a sub-header: 'This report displays the contents of a Local Verification Database (LVD) for a given ALC+2.' Below this, there is a section for 'Report Filters:' with several input fields: 'Location Name:' (text input with value '0000789501' and a search icon), 'Transaction Type:' (dropdown menu with 'ALL' selected), 'Trade Status:' (dropdown menu with 'ALL' selected), 'For Account:' (text input with value 'ALL'), 'Configurable Field 1:' (text input with value 'ALL'), and 'Bank Routing Number:' (text input with value 'ALL'). At the bottom right of the form area, there are two buttons: 'Submit Request' and 'Cancel'.

Figure 5.40

3. Click the search tool to the right of the 'Location Name' to search for the appropriate Location on which to conduct the search. For information about using the search icon tool, see the 'Icon Assisted Fields' section of this chapter along with Figure 5.17.3.
4. Use the down arrow to choose the appropriate 'Transaction Type'. The choices are 'All', 'Transaction', or 'Block'.
5. Use the down arrow to choose the appropriate 'Trade Status'. The choices are 'All', 'Cleared', 'Dynamic', 'Suspend', 'Denied', or 'Blocked'.
6. Key in the Account number to narrow the search.
7. Key in the Configurable Field 1 to narrow the search.
8. Key in the Bank RT number to narrow the search.
9. Click the 'Submit Request' button.

The following is an example of the results screen that will appear: (Figure 5.41)

LVD Contents Report

Home Location Verification CIRA Query Reports About PCC DTC Logout

First Prev Next Last Goto Page 1 of 1 100% Download Print

LVD Contents Report

Requested By: Sharonf . 1@FederalReserve Date: 05/02/2006
 Target Location: FederalReserve Num of records: 5

Configurable Field1	Routing Number	Account Number	Closed Account	Denied Until	Trade Status	Override	MVD Date	Location Description
	041000124	****132		12/31/1969	CLEARED	N	09/12/2002	
	041000124	****132		12/31/1969	CLEARED	N	11/18/2003	
	041000124	****92164	01	09/09/2099	D-DENIED	Y	02/23/2005	FES KOS
	041000124	****01		12/31/1969	CLEARED	N	06/02/2005	
292**6416	041000124	****47354	01	10/01/2005	D-SUSPENDE	Y	09/01/2005	UDEI

For Official Use Only

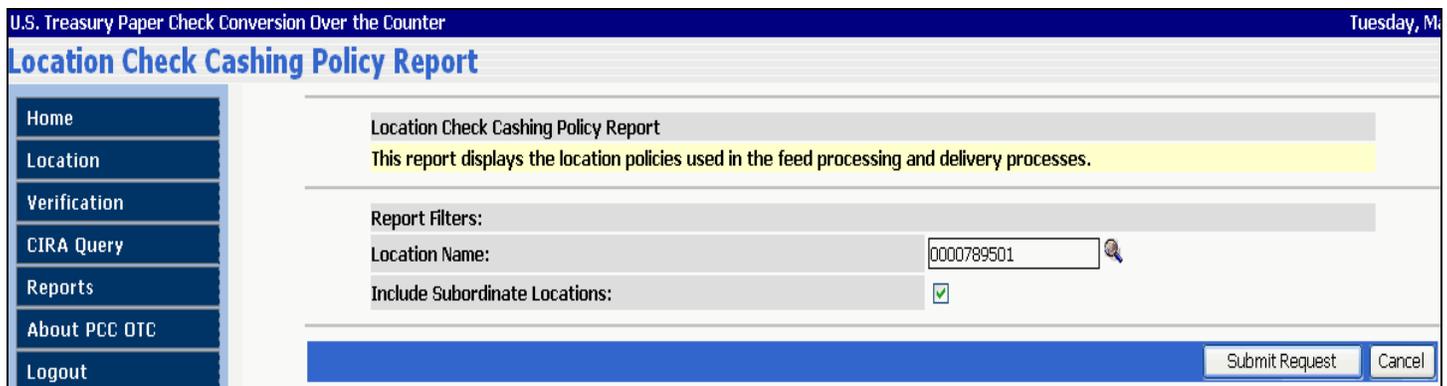
End Of Report

Figure 5.41

Location Check Cashing Policy Report

The Location Check Cashing Policy was created for Agencies that use the Master Verification Database (MVD). The MVD is a “negative” database containing “return” information on checks and accounts that have failed to clear in a previous PCC OTC transaction attempt, and “blocked” accounts/routing numbers or individuals that have been identified where future transactions are not desired. The Location Check Cashing Policy report displays the location policies used in the processing and delivery processes. The report outlines each location’s check cashing policy, i.e., the number of permissible returns, how many days the check writer is suspended from cashing a check for the first, second, third and fourth occurrence, and the acceptable return reason codes. Refer to the Location section of this chapter for a complete explanation of a Location Policy. To request a Location Check Cashing Policy Report:

1. From the ELVIS Home Page click on the ‘Reports’ button
2. Click on the ‘Location Check Cashing Policy Report’ link. The following screen appears: (Figure 5.42)



The screenshot shows a web application interface for the U.S. Treasury Paper Check Conversion Over the Counter. The page title is "Location Check Cashing Policy Report" and the date is "Tuesday, M...". On the left is a navigation menu with links: Home, Location, Verification, CIRA Query, Reports, About PCC OTC, and Logout. The main content area has a header "Location Check Cashing Policy Report" and a description: "This report displays the location policies used in the feed processing and delivery processes." Below this is a "Report Filters:" section with two fields: "Location Name:" with a text input containing "0000789501" and a search icon, and "Include Subordinate Locations:" with a checked checkbox. At the bottom right are "Submit Request" and "Cancel" buttons.

Figure 5.42

3. Click the search tool to the right of the ‘Location Name’ field and choose the appropriate location on which to search. For information about using the search icon tool, see the ‘Icon Assisted Fields’ section of this chapter along with Figure 5.17.3.
4. Click the box to the right of ‘Include Subordinate Locations’ if the search should include all locations beneath the Location Name.
5. Click the ‘Submit Request’ button.
6. The following is an example of how the results screen will appear: (Figure. 5.43)

U.S. Treasury Paper Check Conversion Over the Counter Monday, October

Location Check Cashing Policy Report

[Home](#) | [Location](#) | [Verification](#) | [CIRA Query](#) | [Reports](#) | [About PCC OTC](#) | [Logout](#)

[First](#) [Prev](#) [Next](#) [Last](#) [Goto](#) Page of 1 [Download](#) [Print](#)

Location Check Cashing Policy Report

Home Location: 0000789501
 Location Only: Y

Location: 0000789501 Level: 0

Policy Holder: 0000789501

Include Prior History?	Represented/Retired
Yes	Include Represented and Retired Checks

Suspension Periods

Occurrence	Days
1	2
2	9

Acceptable Return Reason Code

Return Reason Code	Description
01	Insufficient Funds
02	Account Closed
09	Uncollected Funds
201	Insufficient Funds
202	Uncollected Funds
203	Account Closed
A	Not Sufficient Funds
B	Uncollected Funds Hold
D	Closed Account

Figure 5.43

Note: If the report displays zeroes in the number of days, this indicates that your Agency does not use the Local Verification Database.

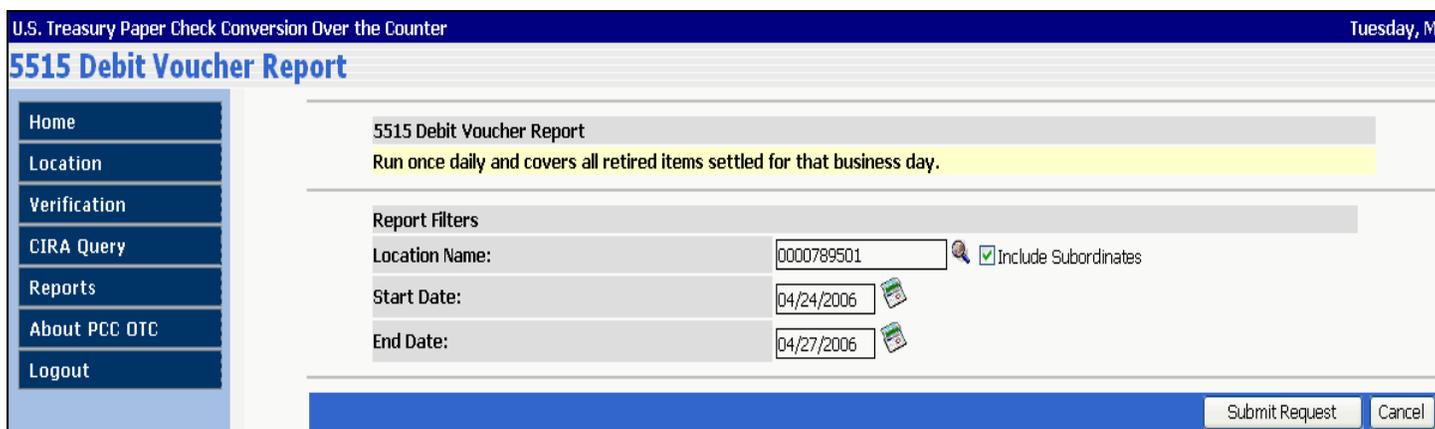
5515 Debit Voucher Report

The 5515 Debit Voucher Report is run once daily and covers all retired items processed within the preceding 24 hours. The Debit Voucher Report (5515 Report) will contain the debit voucher number for each item that is retired by the Federal Reserve Bank. It is available at 10:00 a.m. and remains available for 45 calendar days. If you require a report that is older than 45 days, contact PCC OTC Customer Service. Customer Service can retrieve records that are up to seven years old.

The Debit Voucher Report is available each business day. If the report is requested on a day without activity, the report will state, 'No data found for the criteria you entered'. The report provides detailed information on the Unique Transaction ID (or I R N number) for easy research in ELVIS.

To request a 5515 Debit Voucher Report:

1. From the ELVIS Home Page click on the 'Reports' button
2. Click on the '5515 Debit Voucher Report' link. The following screen appears: (Figure 5.44)



The screenshot shows a web application interface for the '5515 Debit Voucher Report'. At the top, it says 'U.S. Treasury Paper Check Conversion Over the Counter' and 'Tuesday, M'. The main heading is '5515 Debit Voucher Report'. On the left is a navigation menu with buttons for Home, Location, Verification, CIRA Query, Reports, About PCC OTC, and Logout. The main content area has a title '5515 Debit Voucher Report' and a description: 'Run once daily and covers all retired items settled for that business day.' Below this is a 'Report Filters' section with three input fields: 'Location Name' (containing '0000789501'), 'Start Date' (containing '04/24/2006'), and 'End Date' (containing '04/27/2006'). There is also a checkbox labeled 'Include Subordinates' which is checked. At the bottom right, there are two buttons: 'Submit Request' and 'Cancel'.

Figure 5.44

3. Use the search tool to the right of the 'Location Name' to choose the appropriate Location for which to request the 5515 Debit Voucher Report. For information about using the search icon tool, see the 'Icon Assisted Fields' section of this chapter along with Figure 5.17.3.
4. Use the calendar tool to choose the Start and End Dates. For information about using the search icon tool, see the 'Icon Assisted Fields' section of this chapter along with Figure 5.17.2.

Note: Locations should be reconciling their PCC OTC activity to their CA\$HLINK account daily.

5. Click on the 'Submit Request' button. The following is an example of how the results screen will appear: (Figure 5.45)

U.S. Treasury Paper Check Conversion Over the Counter Monday, October 30, 2006

5515 Debit Voucher Report

First Prev Next Last Goto Page of 1 Download Print

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

5515 Debit Voucher Report
From Date: 10/17/2006 To Date: 10/21/2006

Location: 0000789501 Fiscal Agent: FRB Cleveland
Location Name: 0000789502 Description: Test Agency 5 Settlement Date: 10/17/2006

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CA\$H LINK	\$ Amount	Cashier ID	Return Reason Code
000319	160518710205100000381	10/13/2006	000316	\$3,192.00	Nancy Test 42	06 - - Returned per ODFI Request

Summary number of transactions: 1

Summary of total dollars: \$3,192.00

Figure 5.45

Note: Agencies can now choose the flexibility of assigning separate numbering sequences to Deposit Ticket Numbers and Debit Voucher Numbers across an Agency's many Agency Location Codes (A L C). Deposit ticket and Debit Voucher numbers are six digits. Debits and credits can easily be identified by assigning a range for each category. For example, credits could be assigned a range of 000001 to 500000 and debits could be assigned a range from 600000 to 999999. The ranges are flexible and can be determined from the Agency's preferences. If no action is taken by the Agency then the deposit ticket and debit voucher numbers will remain on the current numbering sequence. For additional information please contact Customer Service.

Finding an Item that is Listed on the 5515 Report

Details of a particular item can be retrieved using the CIRA Query screen and the I R N of the item. The 5515 Report will list the I R N of each item that has been retired. The operator can copy the I R N from the 5515 report as it is displayed on the screen and paste it to the I R N field of the CIRA Query screen. The steps to do this are listed below.

Step 1: Obtain I R N of the item in question from the 5515 Report (Figure 5.45.1).

U.S. Treasury Paper Check Conversion Over the Counter Monday, December 4, 2006

5515 Debit Voucher Report

First Prev Next Last Goto Page 1 of 1 100% Download Print

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

5515 Debit Voucher Report
From Date: 11/15/2006 To Date: 12/04/2006

Location: 0000000000 Fiscal Agent: FRB Cleveland
Location Name: 0000000000 Description: Comp Library Settlement Date: 11/16/2006

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CASH LINK	\$ Amount	Cashier ID	Return Reason Code
001187	150914770207600000834	10/16/2006	001131	\$200.00	Paying Agent 1	01 - Insufficient Funds
Summary number of transactions:		1				
Summary of total dollars:		\$200.00				

Location Name: 0000000000 Description: Comp Library Settlement Date: 11/17/2006

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CASH LINK	\$ Amount	Cashier ID	Return Reason Code
001201	1509147702150000001405	10/16/2006	001131	\$200.00	Paying Agent 1	01 - Insufficient Funds

Figure 5.45.1

The I R N can be written down and typed into the I R N field of the CIRA Query, but the easier way is to use the copy/paste commands. To do this, click and drag the mouse on the I R N number as displayed above to highlight, then click the right mouse button to bring up a menu window. Click **'Copy'** from the menu. (Figure 5.45.2).

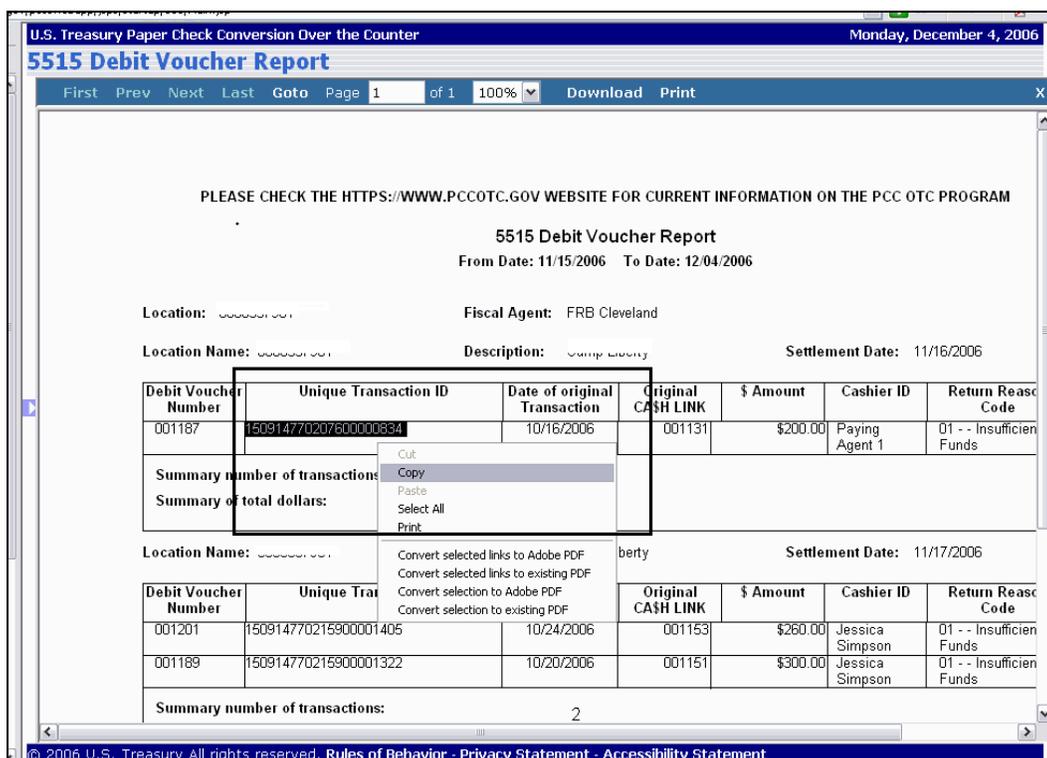


Figure 5.45.2

Step 2: From the ELVIS main menu, click on 'CIRA Query'. Type the ten digit A L C+2 in the 'Location' field then right-click in the 'IRN' field to open up a menu window. Click 'Paste'. (Figure 5.45.3). The IRN will be pasted into the field.

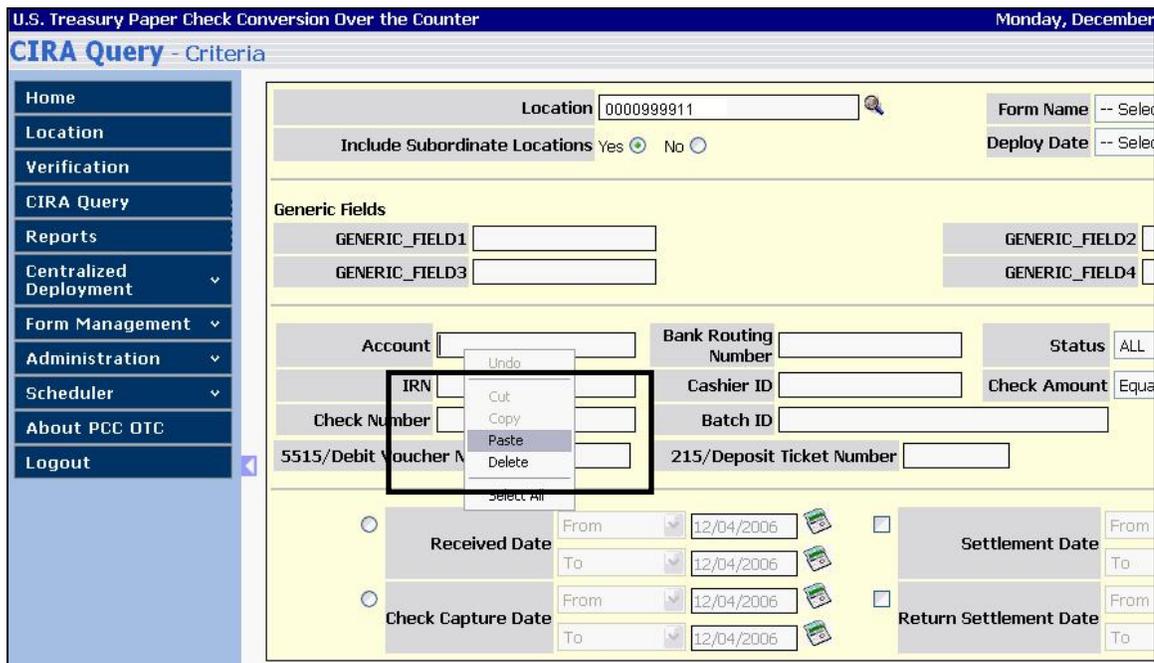


Figure 5.45.3

Step 3: Click the 'View Items' button at the bottom of the CIRA Query screen. The CIRA Query Results screen will appear. (Figure 5.45.4)

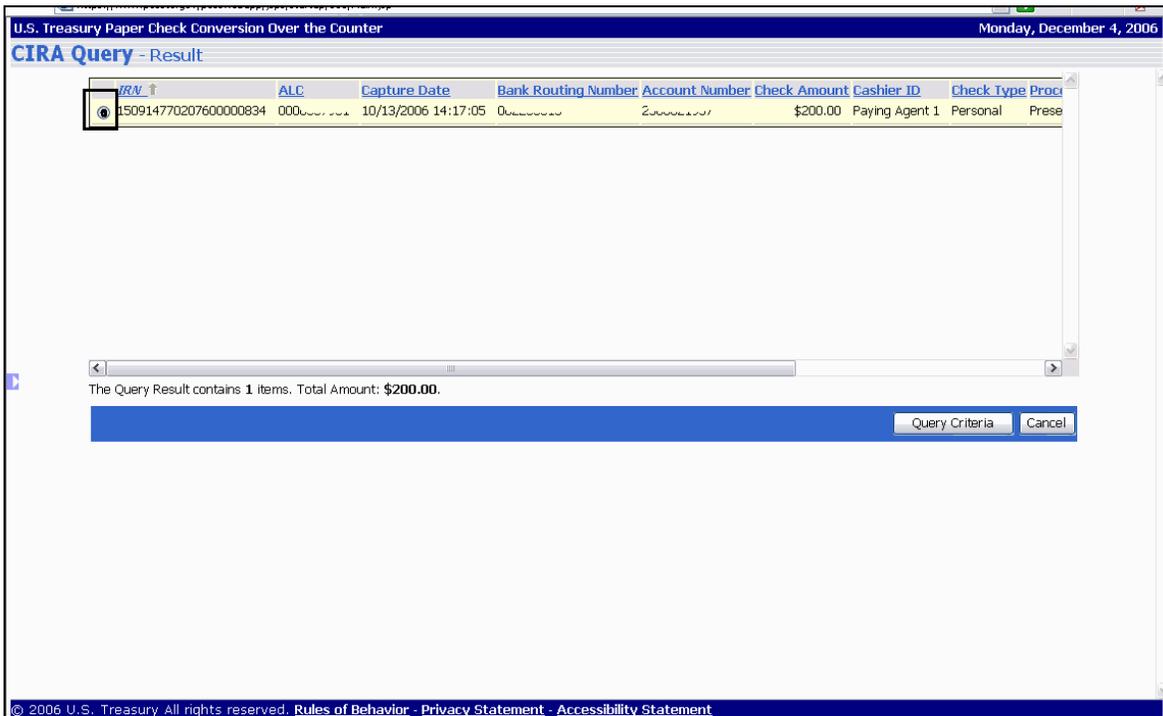


Figure 5.45.4

Click the radio button to the left of the item to display the detail for that particular I R N (Figure 5.45.5).

CIRA CSV Report

The CIRA CSV Report allows users to export a query based report to a spreadsheet or other software programs. The report is saved in a .csv format which can be opened in a spreadsheet program.

Note: users must have separate permission to execute this report – see PCC OTC Roles for ELVIS. This report gathers data from midnight to midnight and may contain extra items from other Deposit Ticket Numbers if requesting the report for a particular date. For the most accurate report, request the report by Deposit Ticket number ensuring that only items for that DTN will appear on the report. For file layout specifications of the CIRA CSV report, please see ‘Appendix R’ of the Appendix chapter of this S O P.

To request a CIRA CSV Report:

1. From the ELVIS Home Page click on the ‘Reports’ button
2. Click on the ‘**CIRA CSV Report**’ link. The following screen appears: (Figure 5.46)

U.S. Treasury Paper Check Conversion Over the Counter Monday, Oct

CIRA CSV Report - Report Criteria

Location: Federal Reserve Form Name: -- Select Form --

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

Generic Fields

GENERIC_FIELD1: _____ GENERIC_FIELD2: _____

GENERIC_FIELD3: _____ GENERIC_FIELD4: _____

Account: _____ Bank Routing Number: _____ Status: ALL

IRN: _____ Cashier ID: _____ Check Amount: Equal To _____

Check Number: _____ Batch ID: _____

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

Received Date: From: 10/02/2006 To: 10/02/2006

Settlement Date: From: 10/02/2006 To: 10/02/2006

Check Capture Date: From: 10/02/2006 To: 10/02/2006

Return Settlement Date: From: 10/02/2006 To: 10/02/2006

Report Reset Cancel

Figure 5.46

3. Fill in the appropriate fields on which to query as described in the CIRA Query Section and click the ‘Report’ button at the bottom of the screen.

Note: Data can be keyed into one or more fields on the query screen to narrow your search. Input as much search criteria as possible in order to receive more refined search results.

4. A window will appear with a choice to either ‘Open’ or ‘Save’ the report. If the user chooses to open the report, the computer’s spreadsheet software will open the file. If the computer does not have spreadsheet software, the file will

Point-Of-Sale Standard Operating Procedures

need to be 'Saved' and opened on a computer that has spreadsheet software. When the report is opened it will look similar to the screen below: (Figure 5.47)

Note: *Column width may need to be adjusted in order to view all data. Columns may also need to be formatted as general text fields for data to appear correctly. Consult your spreadsheet documentation.*

	A	B	C	D	E	F	G
1	CSV Agency Detailed Item Report						
2	Tue Dec 05 14:04:50 EST 2006						
3	TOTAL AMOUNT :	299493.2					
4	TOTAL NUMBER OF ITEMS :	586					
5	IRN	LOCATION	CAPTURE DATE	RECEIVE DATE	TRANSIT NUMBER	CHECK NUMBER	ACCOUNT
6	150914770207600001729	£ 1	11/28/2006 9:04	12/1/2006 8:06	11/28/2006	535 10	38
7	150914770207600001730	£ 1	11/28/2006 9:20	12/1/2006 8:06	30/11/2006	1451	55
8	150914770207600001731	£ 1	11/28/2006 10:02	12/1/2006 8:06	£ 3/11/2006	1064 74	
9	150914770207600001732	£ 1	11/28/2006 10:21	12/1/2006 8:06	1/11/2006	122	36
10	150914770207600001733	£ 1	11/28/2006 10:36	12/1/2006 8:06	1/11/2006	102	54
11	150914770207600001734	£ 1	11/28/2006 10:41	12/1/2006 8:06	3/11/2006	1023 267	
12	150914770207600001736	£ 1	11/28/2006 13:11	12/1/2006 8:06	7/11/2006	141299 80	
13	150914770207600001737	£ 1	11/28/2006 13:13	12/1/2006 8:06	1/11/2006	412	57
14	150914770207600001738	£ 1	11/28/2006 13:29	12/1/2006 8:06	2/11/2006	5420	30
15	150914770207600001739	£ 1	11/28/2006 13:31	12/1/2006 8:06	£ 3/11/2006	9012	35
16	150914770207600001740	£ 1	11/28/2006 13:59	12/1/2006 8:06	3/11/2006	1014 110	18
17	150914770207600001741	£ 1	11/28/2006 14:16	12/1/2006 8:06	3/11/2006	1034 337	
18	150914770207600001742	£ 1	11/28/2006 14:21	12/1/2006 8:06	2/11/2006	1 01E	70
19	150914770207600001743	£ 1	11/28/2006 14:24	12/1/2006 8:06	7/11/2006	1162	52
20	150914770207600001773	£ 1	4/26/2004 1:03	12/2/2006 8:39	1/11/2006	11 007	
21	150914770207600001774	£ 1	4/26/2004 1:04	12/2/2006 8:39	3/11/2006	3018 110	37
22	150914770207600001775	£ 1	4/26/2004 1:05	12/2/2006 8:39	3/11/2006	1042 072	
23	150914770207600001776	£ 1	4/26/2004 1:06	12/2/2006 8:39	3/11/2006	5397 017	
24	150914770207600001777	£ 1	4/26/2004 1:06	12/2/2006 8:39	1/11/2006	2070	55
25	150914770207600001778	£ 1	4/26/2004 1:07	12/2/2006 8:39	2/11/2006	1094	49
26	150914770207600001779	£ 1	4/26/2004 1:08	12/2/2006 8:39	3/11/2006	1543 177	

Figure 5.47

Note: *The word 'Null' will be displayed in a field in this report if that particular field is empty.*

Also – *There is a 50 page and 65,000 row limitation within the Excel software. There may be similar limitations in other spreadsheet software.*

Note: *If the 'Back Office' processing mode is used when the checks are scanned into the P O S, this will be reflected in the CSV Report results as displayed below in Figure 5.47.1:*

IRN	LOCATIO	CAPTURE	RECEIVE DATE	TRANSIT	CHE	ACCOUNT	AMOUNT	CASHIER	CHECK TYPE	PROCESSING	BA
160518710205100000000.00	8E+09	#####	#####	4.1E+07	###	153160	\$989.88	Nancy Tes	Personal	Back Office	DE
160518710205100000000.00	8E+09	#####	#####	4.2E+07	###	105321	\$454,353.45	Nancy Tes	Personal	Back Office	DE
160518710205100000000.00	8E+09	#####	#####	4.1E+07	###	153150	\$25,252.45	Nancy Tes	Personal	Back Office	DE
160518710205100000000.00	8E+09	#####	#####	4.1E+07	###	153158	\$1,358.00	Nancy Tes	Personal	Present	DE
160518710205100000000.00	8E+09	#####	#####	4.2E+07	###	105321	\$1,021.00	Nancy Tes	Non Perso	Back Office	DE
160518710205100000000.00	8E+09	#####	#####	4.2E+07	###	105322	\$1,022.20	Nancy Tes	Non Perso	Present	DE
160518710205100000000.00	8E+09	#####	#####	4.1E+07	###	153160	\$1,360.60	Nancy Tes	Personal	Not Present	DE
160518710205100000000.00	8E+09	#####	#####	4.2E+07	###	105322	\$99.08	Nancy Tes	Non Perso	Not Present	DE
160518710205100000000.00	8E+09	#####	#####	4.1E+07	###	153158	\$675.75	Nancy Tes	Personal	Back Office	80
160518710205100000000.00	8E+09	#####	#####	4.1E+07	###	153158	\$88.00	Nancy Tes	Personal	Back Office	80
160518710205100000000.00	8E+09	#####	#####	4.1E+07	###	153153	\$9,089.04	Nancy Tes	Personal	Back Office	82

Figure 5.47.1

Saving as a TXT File

For some, the format of the file described above may not fit their data manipulation needs. Saving the file as a .txt file may offer more flexibility. To save the CSV as a text file, follow these steps:

1. From the ELVIS Home Page click on the 'Reports' button
2. Click on the 'CIRA CSV Report' link.
3. Fill in the appropriate fields on which to query as described in the CIRA Query Section and click the 'Report' button at the bottom of the screen.
4. A window will appear with a choice to either 'Open' or 'Save' the report. Click **'Save'** and name the file in the following format: nnnnn.txt in the 'File Name' field. The first part of the file can be given a user specified name, i.e., Weds12062006 but make sure it ends in .txt. Example: Weds12062006.txt.
5. Click the 'Save as type' dropdown arrow and choose 'All Files'. Click 'Save'.
6. Open your spreadsheet software and click 'File', 'Open'. Type the name of the text file in the 'file name' field and click 'Open'.
7. A 'Text Import Wizard' screen will appear as in Figure 5.47.1.

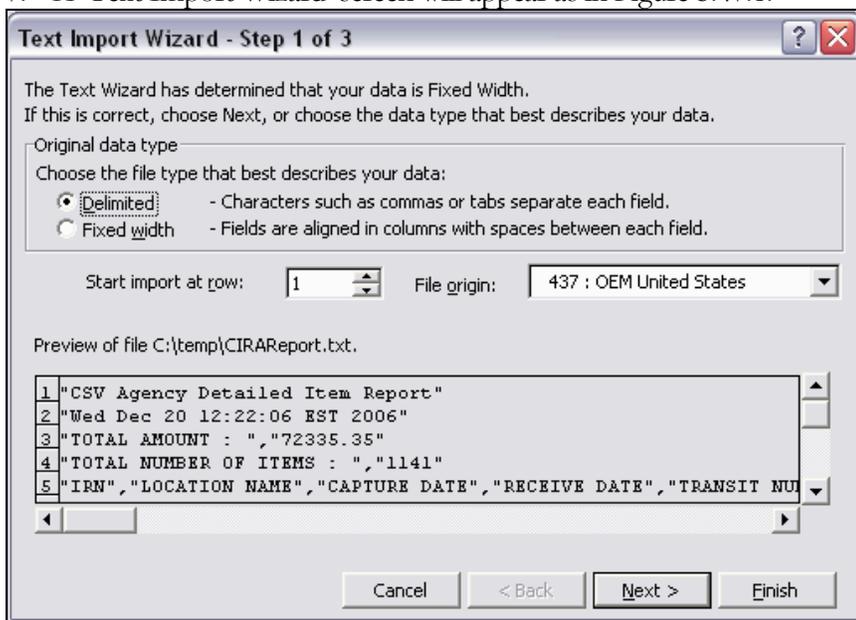


Figure 5.47.1

8. Click **'Delimited'**, then click **'Next'**.
9. In the **'Delimiters'** area at the top left of the window, click to check **'Comma'**. Click to uncheck any other choices that are checked, then click **'Next'**.
10. Click the **'Text'** radio button beneath Column data format, then click **'Finish'**.
11. The data will appear similar to Figure 5.47.2.

	A	B	C	D	E	F	G
1	CSV Agency Detailed Item Report						
2	Tue Dec 05 14:04:50 EST 2006						
3	TOTAL AMOUNT :	299493.2					
4	TOTAL NUMBER OF ITEMS :	586					
5	IRN	LOCATION	CAPTURE DATE	RECEIVE DATE	TRANSIT NUMBER	CHECK NUMBER	ACCOUNT
6	150914770207600001729	£ 1	11/28/2006 9:04	12/1/2006 8:06	11/28/2006 9:04	535 10	38
7	150914770207600001730	£ 1	11/28/2006 9:20	12/1/2006 8:06	30/11/28/2006 9:20	1451	55
8	150914770207600001731	£ 1	11/28/2006 10:02	12/1/2006 8:06	£ 3/11/28/2006 10:02	1064 74	36
9	150914770207600001732	£ 1	11/28/2006 10:21	12/1/2006 8:06	1/11/28/2006 10:21	122	54
10	150914770207600001733	£ 1	11/28/2006 10:36	12/1/2006 8:06	1/11/28/2006 10:36	102	38
11	150914770207600001734	£ 1	11/28/2006 10:41	12/1/2006 8:06	3/11/28/2006 10:41	1023 267	30
12	150914770207600001736	£ 1	11/28/2006 13:11	12/1/2006 8:06	7/11/28/2006 13:11	141299 80	37
13	150914770207600001737	£ 1	11/28/2006 13:13	12/1/2006 8:06	1/11/28/2006 13:13	412	35
14	150914770207600001738	£ 1	11/28/2006 13:29	12/1/2006 8:06	2/11/28/2006 13:29	5420	18
15	150914770207600001739	£ 1	11/28/2006 13:31	12/1/2006 8:06	£ 3/11/28/2006 13:31	9012	70
16	150914770207600001740	£ 1	11/28/2006 13:59	12/1/2006 8:06	3/11/28/2006 13:59	1014 110	32
17	150914770207600001741	£ 1	11/28/2006 14:16	12/1/2006 8:06	3/11/28/2006 14:16	1034 337	37
18	150914770207600001742	£ 1	11/28/2006 14:21	12/1/2006 8:06	2/11/28/2006 14:21	1 01E	32
19	150914770207600001743	£ 1	11/28/2006 14:24	12/1/2006 8:06	7/11/28/2006 14:24	1162	37
20	150914770207600001773	£ 1	4/26/2004 1:03	12/2/2006 8:39	12/4/26/2004 1:03	11 007	37
21	150914770207600001774	£ 1	4/26/2004 1:04	12/2/2006 8:39	3/4/26/2004 1:04	3018 110	37
22	150914770207600001775	£ 1	4/26/2004 1:05	12/2/2006 8:39	3/4/26/2004 1:05	1042 072	37
23	150914770207600001776	£ 1	4/26/2004 1:06	12/2/2006 8:39	3/4/26/2004 1:06	5397 017	37
24	150914770207600001777	£ 1	4/26/2004 1:06	12/2/2006 8:39	1/4/26/2004 1:06	2070	55
25	150914770207600001778	£ 1	4/26/2004 1:07	12/2/2006 8:39	2/4/26/2004 1:07	1094	49
26	150914770207600001779	£ 1	4/26/2004 1:08	12/2/2006 8:39	3/4/26/2004 1:08	1543 177	37

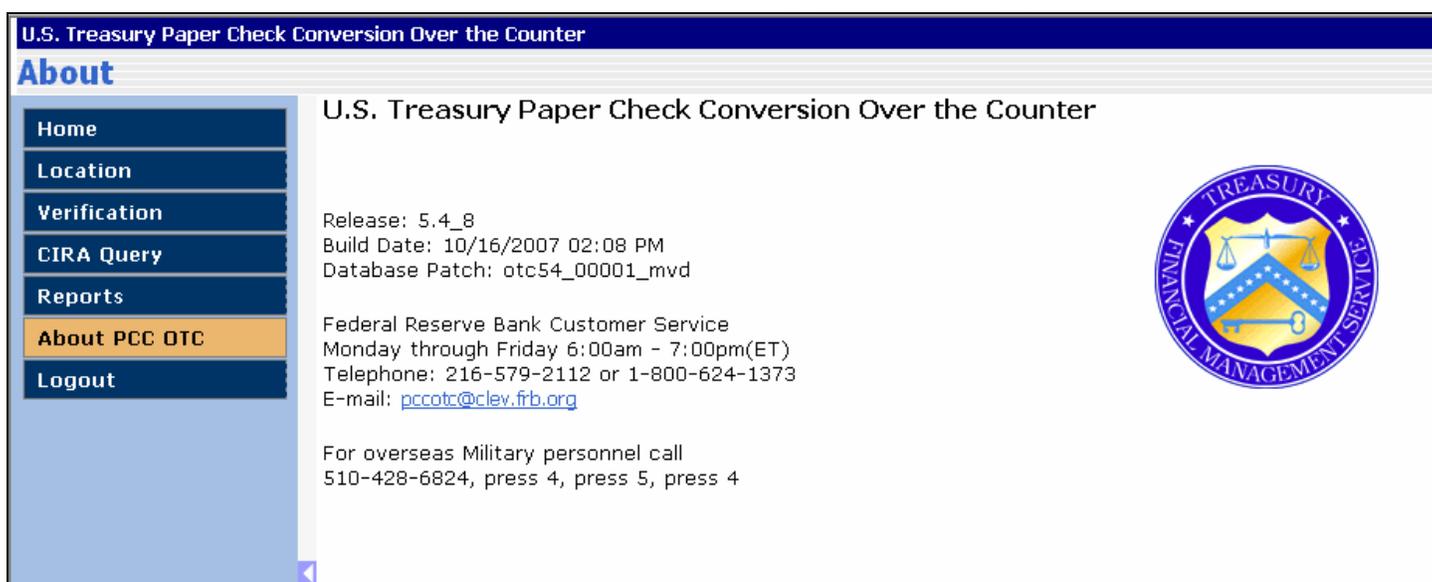
Figure 5.47.2

Certain columns may need to be formatted into a number format and column widths may need to be adjusted.

About PCC OTC

The About PCC OTC option displays the Release number of the ELVIS system as well as phone numbers to use to contact the PCC OTC Customer Service.

1. From the ELVIS Main menu click on 'About PCCOTC'.
2. The following screen appears: (Figure 5.48)



U.S. Treasury Paper Check Conversion Over the Counter

About

Home
Location
Verification
CIRA Query
Reports
About PCC OTC
Logout

U.S. Treasury Paper Check Conversion Over the Counter

Release: 5.4_8
Build Date: 10/16/2007 02:08 PM
Database Patch: otc54_00001_mvd

Federal Reserve Bank Customer Service
Monday through Friday 6:00am - 7:00pm(ET)
Telephone: 216-579-2112 or 1-800-624-1373
E-mail: pccotc@clev.frb.org

For overseas Military personnel call
510-428-6824, press 4, press 5, press 4



Figure 5.48

U.S. Department of the Treasury

Financial Management Service

Paper Check Conversion Over The Counter
(PCC OTC)



Standard Operating Procedures
Daily Processing

Release 5.1

July, 2006

(Revised 2/9/07)

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Table of Contents

Daily Processing Step-By-Step User Guide	5
Access Login.....	5
First Time Users.....	5
Changing a Password.....	6
Batch Acknowledgement upon Sign on.....	7
Task Forms/Data Entry Screen Upgrade Check upon Sign on	8
Update the Check Verification Database	10
Unprocessed Items Detected.....	11
Task upgrades.....	12
Tools	14
Application Upgrade	15
Scanner Firmware Upgrade.....	17
LVD Verification Records Upgrade	20
POS Data Entry Screen.....	21
Prior to Data Entry Screen Upgrade	21
After Data Entry Screen Upgrade	23
Batch Control.....	24
The Batch Control Screen.....	24
The Optional Batch Control Screen	24
The Mandatory Batch Control Screen.....	26
The Batch Balancing Screen	28
Logical Processing Order.....	32
Processing Mode	33
Single vs. Batch Processing Mode.....	33
Single Check Mode Processing.....	35
Selecting the Location	35
Select the Operating Mode (Single Check Mode)	36
Process a Check	37
Checks that CAN be processed through POS	37
List of Items that CANNOT be Processed through POS	37
Scanning a Check (Single Check Mode)	38
Select the Item Type (Single Check Mode)	40
Scan Check (EC7000i) (Single Check Mode)	44
Select the Item Type (Single Check Mode)	46
Batch Mode Processing	50
Selecting the Location (Batch Mode)	52
Select the Operating Mode (Batch Mode)	53
Checks that CAN be Processed through POS.....	54
List of Items that CANNOT be Processed through POS	54
Scan Check (EC7000i) in Batch Mode	55
Select the Item Type (Batch Mode)	57
Correcting the Codeline (MICR) line	62

Point-Of-Sale Standard Operating Procedures

MICR Code Description	62
Duplicate Check Detected	65
Image Quality.....	67
How to Cancel a Check	68
Print Receipt	69
Print Receipt using Show Item	71
How to Void an Item	74
How to View & Print a Batch List and Batch Items.....	78
Batch Close.....	82
Using the Yes/No Keypad.....	88
Check Verification Process	90
Blocked Item.....	91
Suspend Item	93
Deny Item	95
POS System Activity Log	97
To print the Activity Log:	98
To export the Activity Log:	99
Logging out of the POS Application	100
Exiting the POS Application.....	100

Daily Processing Step-By-Step User Guide

Access Login



After successful installation and configuration, a user can double click the POS desktop icon to start the application.

The POS login screen will appear. The user will be prompted to enter their POS 'Login' and 'Password' (See Figure 6.1).

After the login and password have been entered, select **'OK'** or press **'Enter'**.

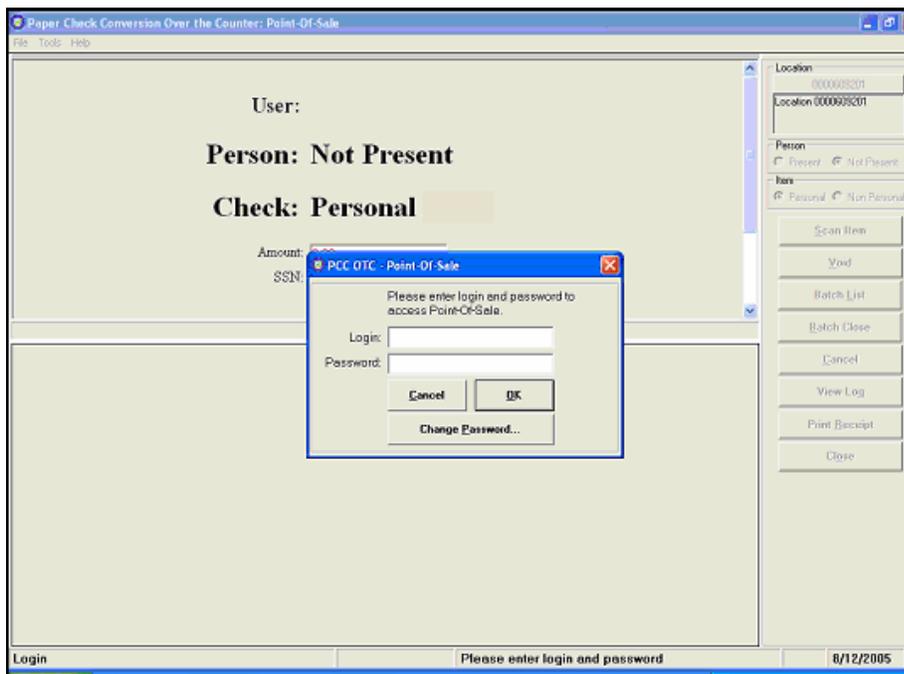


Figure 6.1

Note: The user will remain active in this session until:

1. the batch is closed
2. the user logs out
3. the PC automatically shuts down. The POS computer is configured to shutdown automatically after idle for a certain period of time. The default is set to 15 minutes but this can be altered to fit the Agency's requirements. For information on changing the auto logout default, refer to the SAT chapter, 'System Configuration', 'General Tab', 'Login' section of this SOP.

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. An authorized user from your internal staff 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: *When the password is changed in the POS, it is also changed in the SAT and Batch Manager provided that the user has access to those modules.*

To change a password:

In the Login window, enter your login name and password and click the **'Change Password'** button. The Change Password window opens. (Figure 6.2)

In the 'Old Password' field, type your current password.

In the 'New Password' field, type your new password

In the 'Confirm' field, type the new password again. Click **'OK'**.

The Change Password dialog window closes and access is provided to the application.



Figure 6.2

Scanner Configuration Validation

Each time a user signs on to the POS, the system checks to ensure that the scanner is properly configured. The message, 'Connecting to scanner' will momentarily appear. If the scanner is properly configured, the message will disappear and the sign on process continues.

If there is a problem with the scanner configuration, the system will notify the user, and if possible, attempt to rectify the problem. For more information, please refer to the Troubleshooting section of this SOP.

Batch Acknowledgement upon Sign on

Upon sign on, the POS may connect with the ELVIS system to check for batches that have not yet been acknowledged. This is based on how the POS computer's 'Tasks' are setup. For information on Tasks defaults, see the *SAT* chapter, 'System Configuration', 'Tasks Tab' of this SOP.

If there are no batches to acknowledge, the screen will reflect the image in Figure 6.3. If the system is acknowledging a batch or batches, the screen will reflect the image in Figure 6.4.



Figure 6.3

Click the 'Close' button to continue.

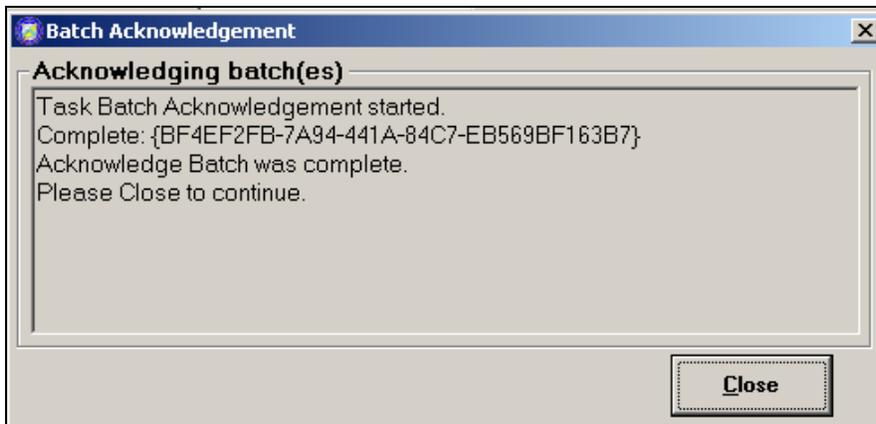


Figure 6.4

Task Forms/Data Entry Screen Upgrade Check upon Sign on

Upon startup, the POS may also connect to the ELVIS system to check for Forms/Data Entry Screen upgrades. This is based on how the POS computer's 'Tasks' are setup. For more information on 'Tasks' see *SAT* chapter, System Configuration, Tasks tab of this SOP.

Forms upgrade refers to the PCC OTC application's usage of XML forms. These forms create a custom data entry screen for each agency. Each agency includes specific information regarding their customized form(s) on their ASP (Agency Site Profile). This information is used by the FRB-C to create each customized form.

This form will display your custom configurable fields, up to 24, on the POS data entry screen. After the initial software install, the customized form that is needed will be downloaded. For more information on the downloading of data entry screens, see the 'Tools' section of this chapter. On occasion, new forms may be sent to the computer if you have requested changes to the form. Multiple forms are possible, one for each mode, Person Present and Person not Present. Also different customized forms can be used for each ALC+2.

When the system checks for the upgrade, the following window will appear (Figure 6.5):

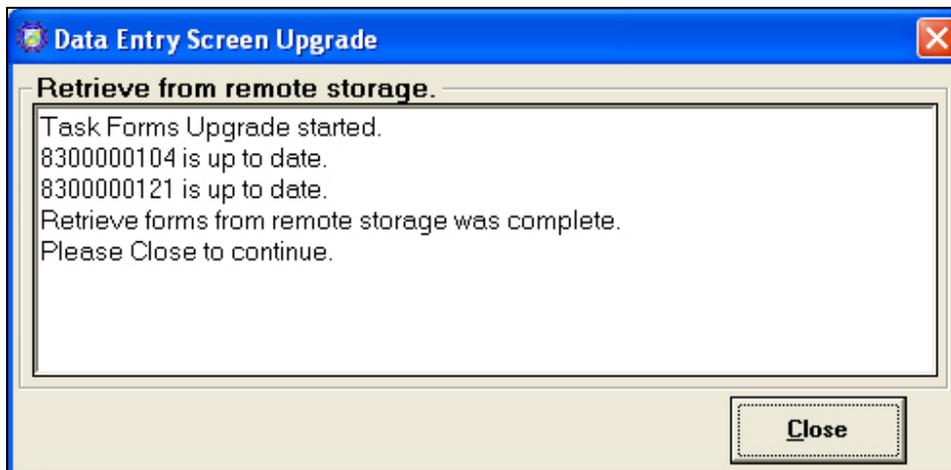


Figure 6.5

Information regarding the result of the Data Entry Screen Upgrade will appear within the window. Click the 'Close' button. The 'Retrieve Data Entry Screen from Local Storage' window opens. (Figure 6.5.1)

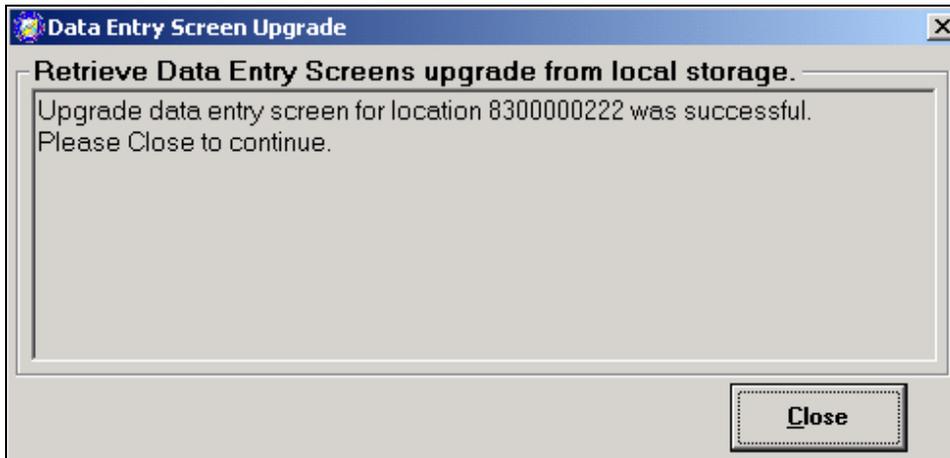


Figure 6.5.1

When it has finished you will be prompted to click the 'Close' button.

Note: Forms in the POS can be described as screens that contain unique data entry fields for a type of transactions. An agency can choose to have separate Person-present and Person-not-present forms if needed. Each ALC+2 may also have a different form, if desired.

Update the Check Verification Database

For agencies utilizing the optional **Check Verification Database**, also known as the Local Verification Database (LVD), the user may be prompted to update the Check Verification database upon login (Figure 6.6). If the Check Verification database has not been updated within the agency's requirements (as determined in the SAT configuration task setting), the user is prompted to update the database. The database could become outdated if the user was unable to connect to the Internet for some time, or an Agency was operating from a remote location for an extended period of time.

NOTE: *Mobile/remote users should update the Check Verification Database prior to mobilization by selecting 'Check for> Verification Records' from the Tools menu on the main POS screen.*

The Check Verification Database update occurs automatically at batch close, so selecting 'Yes' at this prompt is optional, however, the most current LVD should always be used. This will modify your LVD records before processing your activity for this batch.

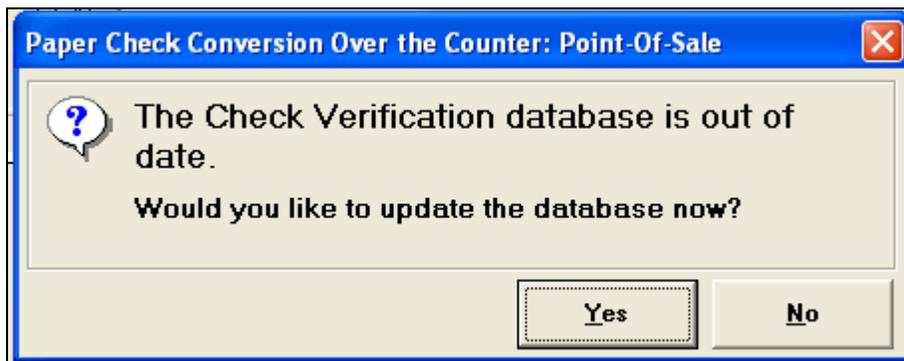


Figure 6.6

If you select **'Yes'**, the database will be updated. If you select **'No'**, the existing check verification information will be used when processing check data and the following message will be displayed (Figure 6.7):

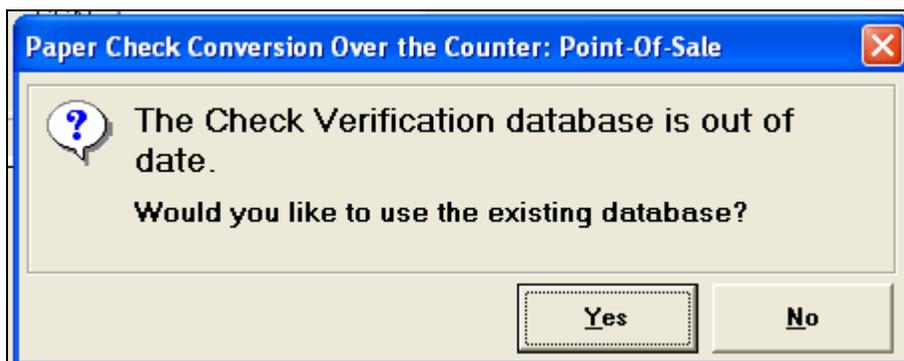


Figure 6.7

If you select **'Yes'**, the Local Verification Database will be updated with any new information since the last update (Figure 6.8). If **'No'** is selected, the system will continue with the sign on and the operator can continue processing items as long as the database has not exceeded the pre-configured timeframe for an upgrade. The default timeframe for an LVD upgrade is 30 days but this can be modified by an authorized user to a number between 1 and 100 days. If the system finds that the database is older than the allowable number of days, one of two actions

must occur: an authorized user will be required to sign on to allow the operator to continue using the outdated database, or the database must be updated. To determine the authorized user refer to *Configure System Roles* in the *System Administration Tool* chapter.

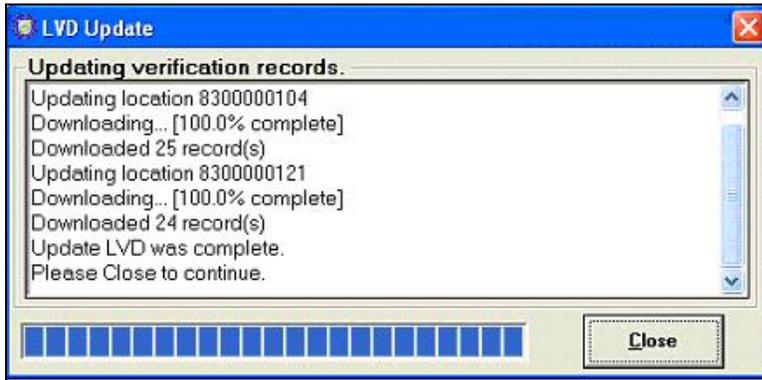


Figure 6.8

Unprocessed Items Detected

If a user should exit the system and leave behind an unprocessed batch, the following message will occur at that user's next sign on (Figure 6.8.1):

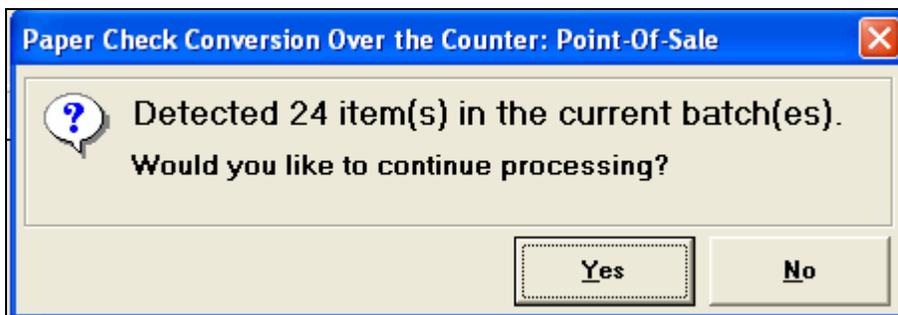


Figure 6.8.1

This alerts the user that previous items were not completed. If more checks need to be added to the batch, the user should respond with **'Yes'**. The next item that is scanned is added to this batch.

If more items should not be added to the batch, the user should respond with **'No'**. The system then asks if the user wishes to close the batch (Figure 6.8.2). In order to transmit the batch for processing, the batch must first be closed. To ready the batch for transmission, respond by clicking the **'Ok'** button to close the batch. The system will open the 'Close Batches' window. For procedural information on the 'Batch close' process, please refer to the 'Batch Close' section of this chapter.

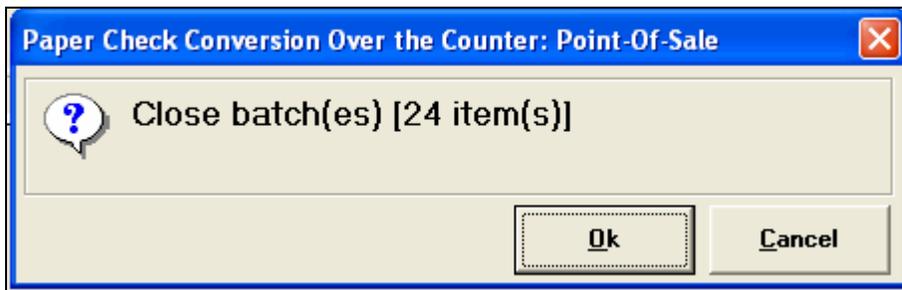


Figure 6.8.2

Very Important Note: Batches are owned by the individual who created the batch. Only the owner of the batch is notified of incomplete batches at sign on. If incomplete batches exist in the system and another user signs on to the system, they will not be notified. Because of this, it is vitally important for authorized users of Batch Manager to frequently check the status of batches in Batch Manager to ensure that all batches are successfully completed.

Task upgrades

Periodically, the user may be presented with questions, restrictions or options pertaining to an application upgrade, or scanner firmware upgrades (upgrades to the software that identifies the scanner to the computer) as they are available from the ELVIS system. These will appear to the user in the form of a pop-up question during the course of the business day. These tasks are setup to run at specific times, i.e., start of application, close batch, etc. Some examples can be seen in Figures 6.9, and 6.10 below.



Figure 6.9



Figure 6.10

Note: It is very important that you DO NOT click the 'Cancel' button to cancel these tasks.

Tools - POS Downloads

Tools

Authorized users can also perform the functions mentioned in the 'Other Task Upgrades' above whenever there is a need. To use the POS 'Tools':

From the POS Main Window, click '**Tools**', '**Check host for**' as pictured in Figure 6.10.1 below.



Figure 6.10.1

The following options are available:

Application Upgrade – A submenu will appear with the choices, '**PCC OTC Application**' and '**Scanner Firmware**' when choosing the application upgrade, as displayed in Figure 6.10.2.



Figure 6.10.2

Note: Firewalls can block the download of updates or files sent with an .exe extension. Your firewall may need to allow anything from our IP in order to receive the upgrade. If application downloads are not practical or permissible for your Agency, a CD with the upgrade can be sent via mail, or the upgrade can be placed on a server on your end and POS terminals can access the upgrade from that server.

Application Upgrade

An authorized user can use the **'PCC OTC Application'** upgrade tool to extract an upgraded application and launch the installation procedure.

To check the host for an Application upgrade:

Select **'Tools'**, **'Check Host For'**, **'Application Upgrade'**, **'PCC OTC Application'** as displayed above in Figure 6.10.2.

1. The PCC OTC Application Upgrade information window opens (Figure 6.10.3).

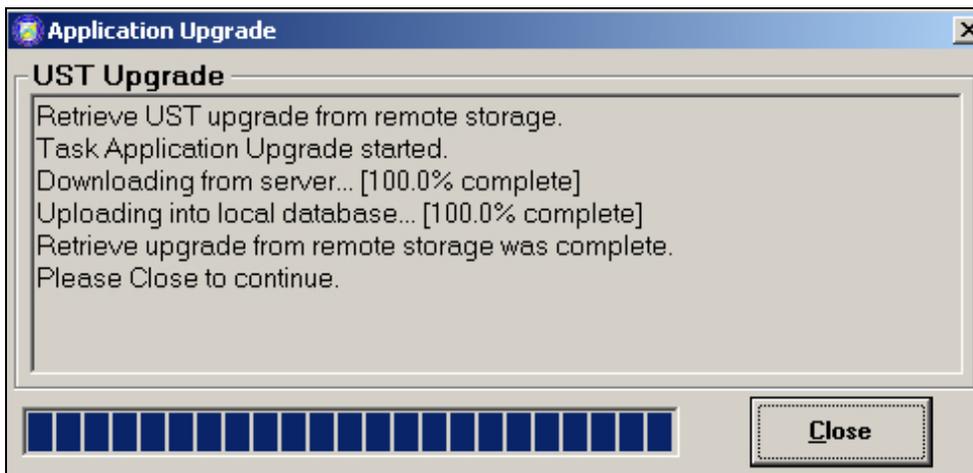


Figure 6.10.3

2. Click the 'Close' button. The 'New Version Available' window opens (Figure 6.10.4)

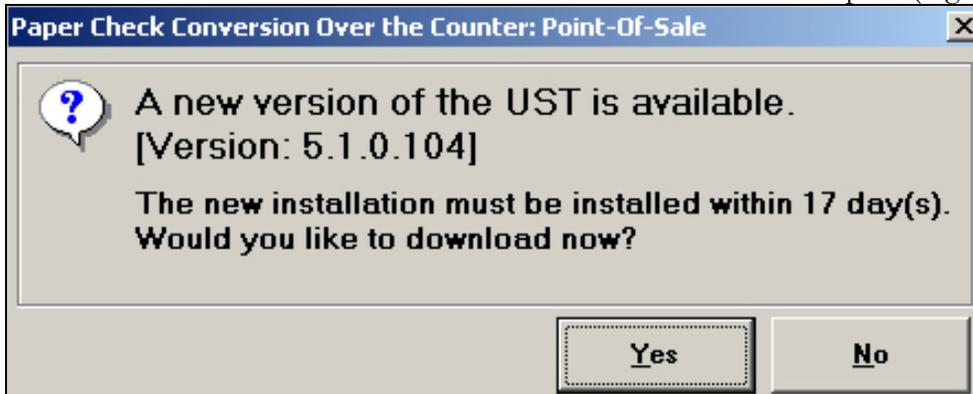


Figure 6.10.4

3. Click **'Yes'** to install the upgrade now, or **'No'** to postpone the install. Installation of the upgrade can be postponed but it is not recommended as the upgrade is assigned a specific grace period and must be installed within that period of time. The Retrieve Upgrade window opens (Figure 6.10.5).

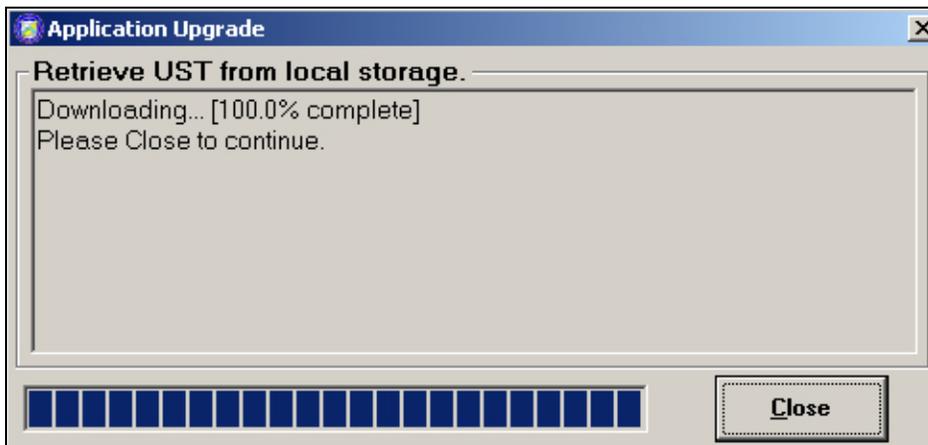


Figure 6.10.5

4. Click **'Close'**. The WinZip Self-Extractor archive window opens (Figure 6.10.6)

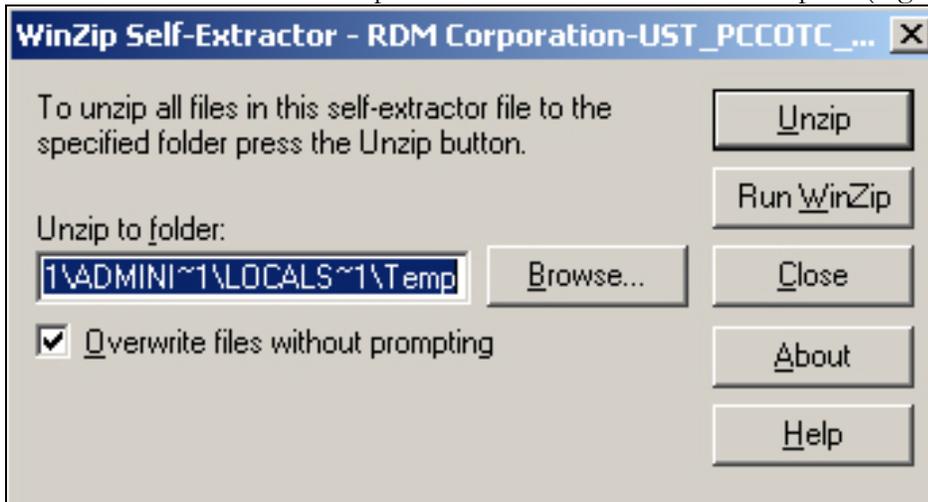


Figure 6.10.6

5. Specify a file location if different from the default and click **'Unzip'**.
6. Click **'OK'** on the Files Unzipped successfully screen. Close the WinZip Self-Extractor screen.
7. Ensure there are no instances of POS applications currently running, and click **Yes**.
8. Navigate to the file location specified on the WinZip Self-Extractor screen and double-click the 'Setup.exe' icon. Refer to PCC OTC POS Installation guide for information about installing the POS.

Note: If using the default file location on the WinZip Self-Extractor screen ensure that Windows is configured to display all folders including hidden folders.

Scanner Firmware Upgrade

The 'Scanner Firmware' upgrade tool will allow downloads of new scanner firmware. The firmware downloads automatically and attempts to install. This task can be configured as part of Application Upgrade to perform automatically at either application startup or batch close. The default is for it to run at 'Close Batch'. Only authorized users can perform the scanner firmware upgrade. To manually update the Firmware:

1. Select 'Tools', 'Check Host For', 'Application Upgrade', 'Scanner Firmware'. The Firmware Upgrade window opens (Figure 6.10.7)

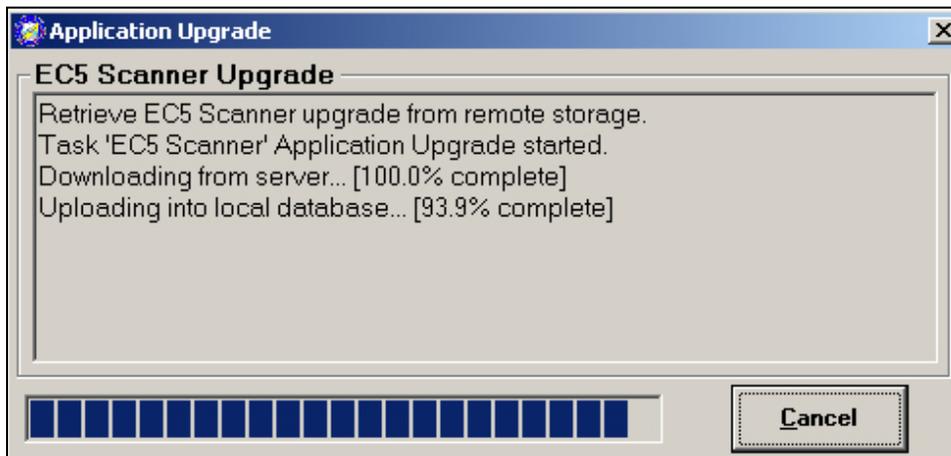


Figure 6.10.7

2. Click 'Close'. The New Version window opens (Figure 6.10.8).

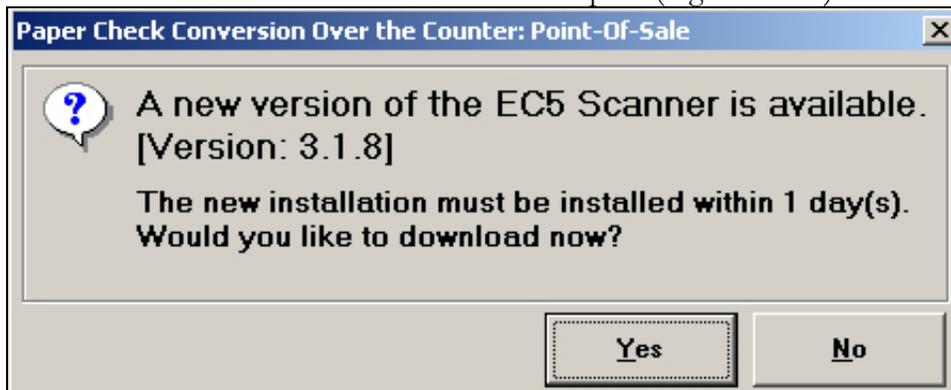


Figure 6.10.8

3. Click 'Yes' to install the new version. The Firmware Install screen window opens (Figure 6.10.9).



Figure 6.10.9

4. Click 'Next'. The Firmware file is parsed (Figure 6.10.10).



Figure 6.10.10

5. Click **'Next'** after powering the scanner off.
6. When prompted, power the scanner on. The Firmware is downloaded.

Data Entry Screen Upgrade

The POS allows for up to 24 configurable fields to be used on an Agency's Data Entry screen(s). The data entry screen upgrade allows a user to check for upgrades to their data entry screens. This tool needs to be used upon the initial login to the POS. After the data entry screen upgrades have been downloaded, this tool will only need to be used if changes to your Data Entry screens have been made. This task can be configured as part of Application Upgrade to perform automatically at either application startup or batch close and can be performed by all users.

To manually update the Data Entry Screens:

1. Select **'Tools', 'Check Host For', 'Data Entry Screen Upgrade'**. The Data Entry Upgrade window opens (Figure 6.10.11).



Figure 6.10.11

2. You will be prompted to click **'Close'**. The 'Retrieve Data Entry Screen From Local Storage' window opens (Figure 6.10.12)

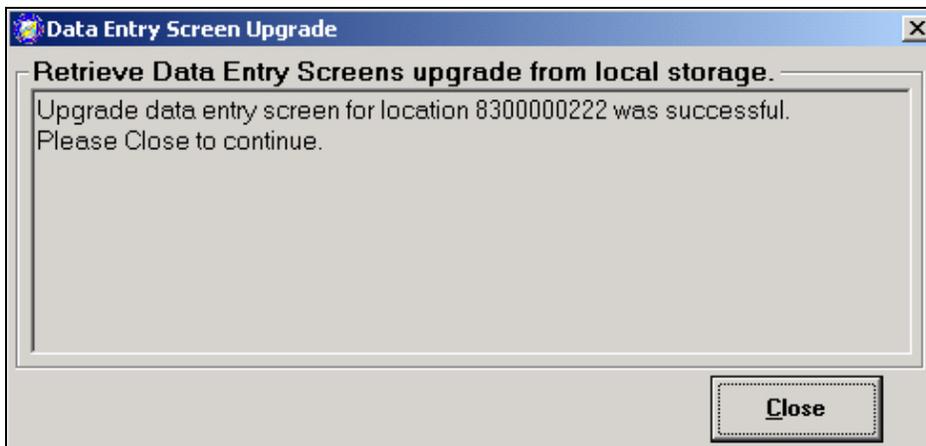


Figure 6.10.12

Point-Of-Sale Standard Operating Procedures

3. Click '**Close**'. The updated Data Entry Screen is displayed in the POS main window.

LVD Verification Records Upgrade

This tool can be used to update your Local Verification Records. The LVD download is performed with each batch transmission but can be requested in between batches whenever necessary. A good example of when this tool would be useful is in a contingency situation. If another computer needs to be used to send batches, an LVD download would be necessary to receive the most current information from the database.

The LVD Verification Record updates can be performed by all users with the permission. . These upgrades occur normally upon batch close, or however configured to occur in the SAT configuration settings for tasks. Users can request these upgrades anytime by using the 'Tools' menu functions.

To manually update the check verification database:

1. Select '**Tools**', '**Check Host For**', '**LVD Verification Records**'. The 'Process LVD Update Information' window opens (Figure 6.10.13).

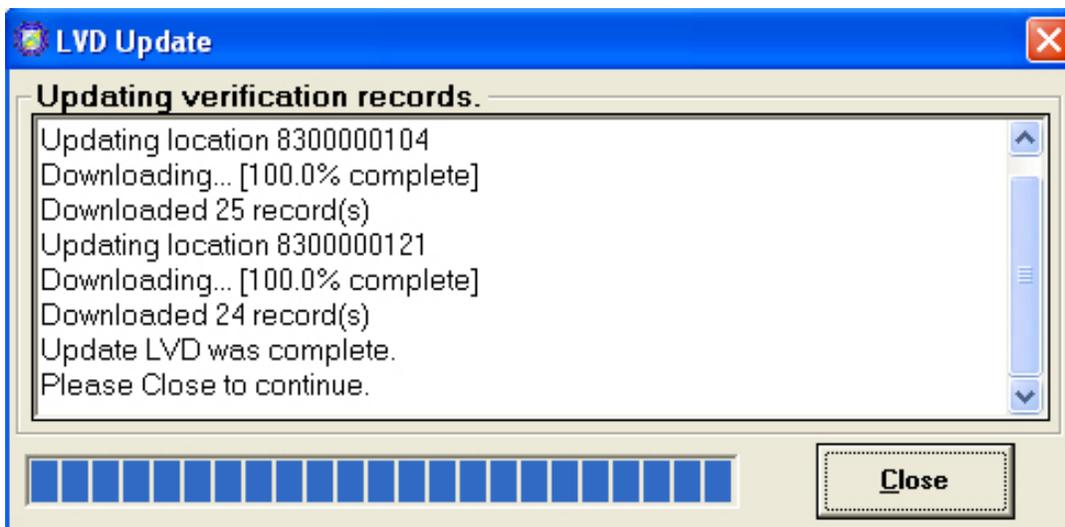


Figure 6.10.13

2. When complete, the user will be prompted to click '**Close**'. The check verification database is updated and ready for new transactions.

POS Data Entry Screen

Prior to Data Entry Screen Upgrade

In order to begin using the POS for data entry, the Data Entry Screen upgrade will first need to be performed to download your unique configurable fields. This applies to Agencies that are new to PCC OTC, and those Agencies who are upgrading from POS Release 4.2 or lower. Agencies have the option to use up to twenty-four configurable fields. Along with the amount fields, these configurable fields are also part of the screen design. Agencies that have not yet downloaded the Data Entry Screens upgrade will see a screen similar to the picture in Figure 6.11 when accessing the POS for the first time.

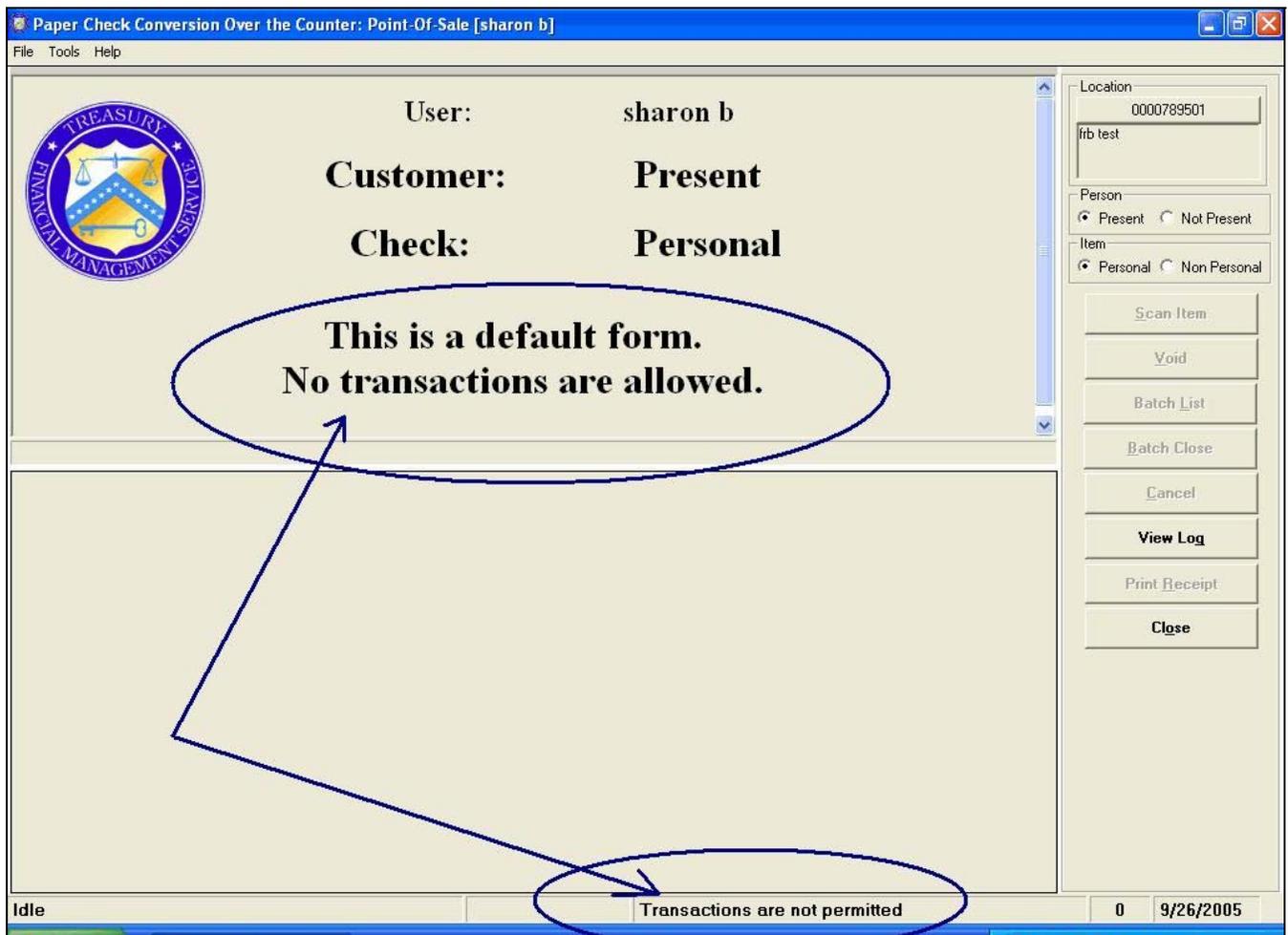


Figure 6.11

In order to upgrade the Data Entry Screen:

Sign on to the POS.

Click on **'Tools'**, **'Check host for'**, then click **'Data Entry Screen Upgrade...'**. A message similar to the one in Figure 6.12 will be displayed for your ALC+2's.



Figure 6.12

When complete, you will be able to begin using the POS data entry screen to process items.

After Data Entry Screen Upgrade

The POS Data Entry Screen, (Figure 6.13) also called the Main POS screen is configured depending on the respective agency’s requirements. In addition to the user and amount field, an agency may configure the POS window with up to twenty four fields. The different areas of the screen are labeled in Figure 6.13.

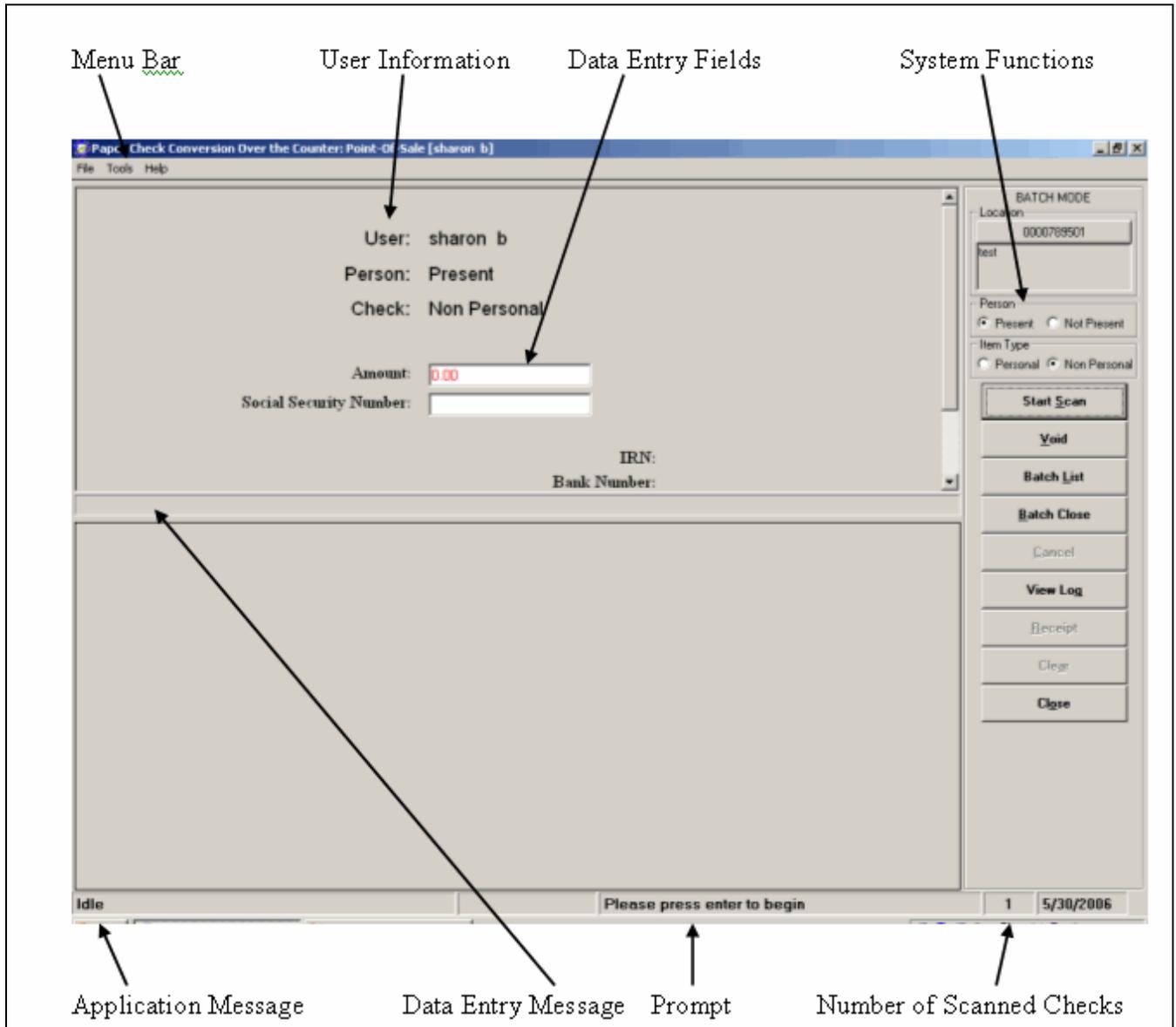


Figure 6.13

Note: The screen pictured above is only an example. Each Agency’s screen is customized for their needs and will appear differently than this example.

Batch Control

Batch Control is an optional feature that Agencies can use as a batch balancing tool. It can be used to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts have been accurately keyed. The functionality is available for both single item mode and batch mode. Authorized users can set this feature to be disabled, optional, or mandatory. For a complete explanation on how to setup these options, please refer to the *Installation and Configuration* chapter of this SOP.

The Batch Control Screen

The Optional Batch Control Screen

The Batch Control screen can appear at the beginning of a batch, prior to scanning the check, or just prior to Batch Close, depending on your configuration settings. Figure 6.13.1 is an example of an optional Batch Control screen. The optional Batch Control screen may include the 'Defer' button, based on the configuration settings.



Figure 6.13.1

The Batch Control screen displays the ALC+2 and description for the location. A batch control screen will appear for each ALC+2 that is included in the batch. Configuration settings for batch control are set in the POS configuration. Your Administrator can choose to configure batch control in four different manners.

Disabled

If set to be completely optional, the batch control screen will never appear.

Optional at Batch Create Only

When the configuration settings are set to be optional on batch create only, the operator can choose to:

Type the actual batch control total amount and count.

Defer the batch control by clicking the 'Defer' button. This will bypass the batch control function.

Leave the batch control total amount and count at zeroes.

The batch control screen will not appear upon batch close.

Optional at Batch Close Only

When the configuration settings are set to be optional on batch close only, the operator will not be prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen will appear. The operator can choose to:

Type the actual batch control total amount and count.

Leave the batch control total amount and count at zeroes.

Optional at Batch Create and Batch Close

When the configuration settings are set to optional on both batch create and batch close, the operator will be prompted with a batch control screen at batch create and batch close. The operator can choose to:

Type the actual batch control total amount and count at batch create.

Leave the batch control total amount and count at zeroes at batch create.

Defer the batch control by clicking the **'Defer'** button at batch create.

Upon batch close, the batch control screen will once again appear. The operator can choose to:

Type the actual batch control total amount and count.

Leave the batch control total amount and count at zeroes.

The Mandatory Batch Control Screen

The mandatory Batch Control screen will appear at the batch create, just prior to scanning the check, or just prior to batch close, depending on your configuration settings. Figure 6.13.2 is an example of a mandatory Batch Control screen, which does not include the 'Defer' button.



Figure 6.13.2

A batch control screen will appear for each ALC+2 that is included in the batch. Configuration settings for batch control are set in the POS configuration. Your Administrator can choose to configure batch control in three different manners.

Mandatory at Batch Create Only

When the configuration settings are set to be mandatory on batch create only, the operator:

Must type the actual batch control total amount and count.

Cannot defer the batch control. The 'Defer' button will not be available.

Cannot leave the batch control total amount and count at zeroes.

The batch control screen will not appear upon batch close.

Mandatory at Batch Close Only

When the configuration settings are set to be mandatory on batch close only, the operator will not be prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen will appear. The operator:

Must type the actual batch control total amount and count.

Cannot leave the batch control total amount and count at zeroes.

Mandatory at Batch Create and Batch Close

When the configuration settings are set to mandatory on both batch create and batch close, the operator will be prompted with a batch control screen at batch create and at batch close. The operator can choose to:

Type the actual batch control total amount and count at batch create.

Leave the batch control total amount and count at zeroes at batch create.

Defer the batch control by clicking the **'Defer'** button at batch create.

Upon batch close, the batch control screen will once again appear. The operator:

Must type the actual batch control total amount and count.

Cannot leave the batch control total amount and count at zeroes.

Clicking the 'Cancel' button, stops the transaction at the last level of processing, i.e., if the 'Cancel' button is clicked at the start of the batch, processing does not begin and an error message occurs on the screen as displayed in Figure 6.13.3. If the 'Cancel' button is clicked prior to Batch Close, the items still exist in the POS but the batch will not be closed and it cannot be transmitted for processing.

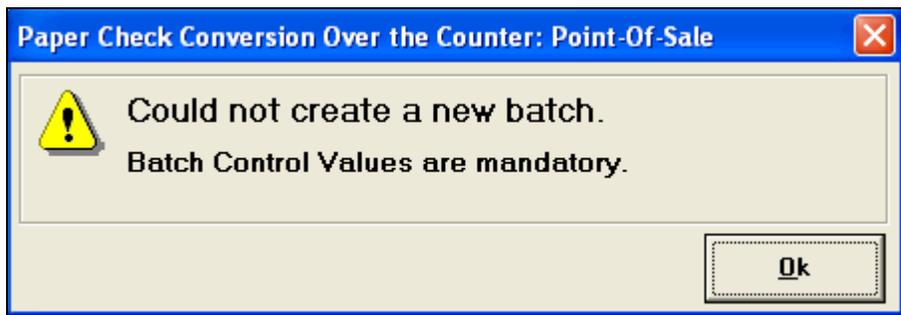


Figure 6.13.3

The Batch Balancing Screen

If the Batch Control totals that are keyed into the Batch Control screen do not match what was keyed into the data entry screen, a Batch Balancing screen will appear (Figure 6.13.4). This screen will only appear if there is a discrepancy between the totals.

To reconcile the discrepancy, the operator must discover where the problem exists. The Batch Balancing screen will display the Location's ALC+2 and the Location's description at the top of the screen. To the right, the dollar amounts of each check that was scanned will be displayed. In the example below, there are two checks, each for \$51.87 (circled). The operator can click on any of the amounts listed to display an image of the check to the left of the amount. For optimal viewing, the screen should be maximized by clicking the 'Maximize' button  in the upper right corner of the screen.

Below the check image are the following fields and their meanings. The left column displays the item counts and the right column displays the dollar amounts:

Batch List Count: The number of checks that have been scanned into the POS.

Batch Control Count: The number of checks keyed into the Batch Control screen by the operator.

Difference (count): Displays the difference between the actual count of scanned checks and the count that the operator keyed into the Batch Control screen.

Batch List Total: The total dollar amount of the items as keyed into the data entry screen of the POS.

Batch Control Total: The total dollar amount of the checks keyed into the Batch Control screen by the operator.

Difference (amount): Displays the difference between amount keyed into the data entry screen, all scanned checks, and the total dollar amount keyed into the Batch Control screen.

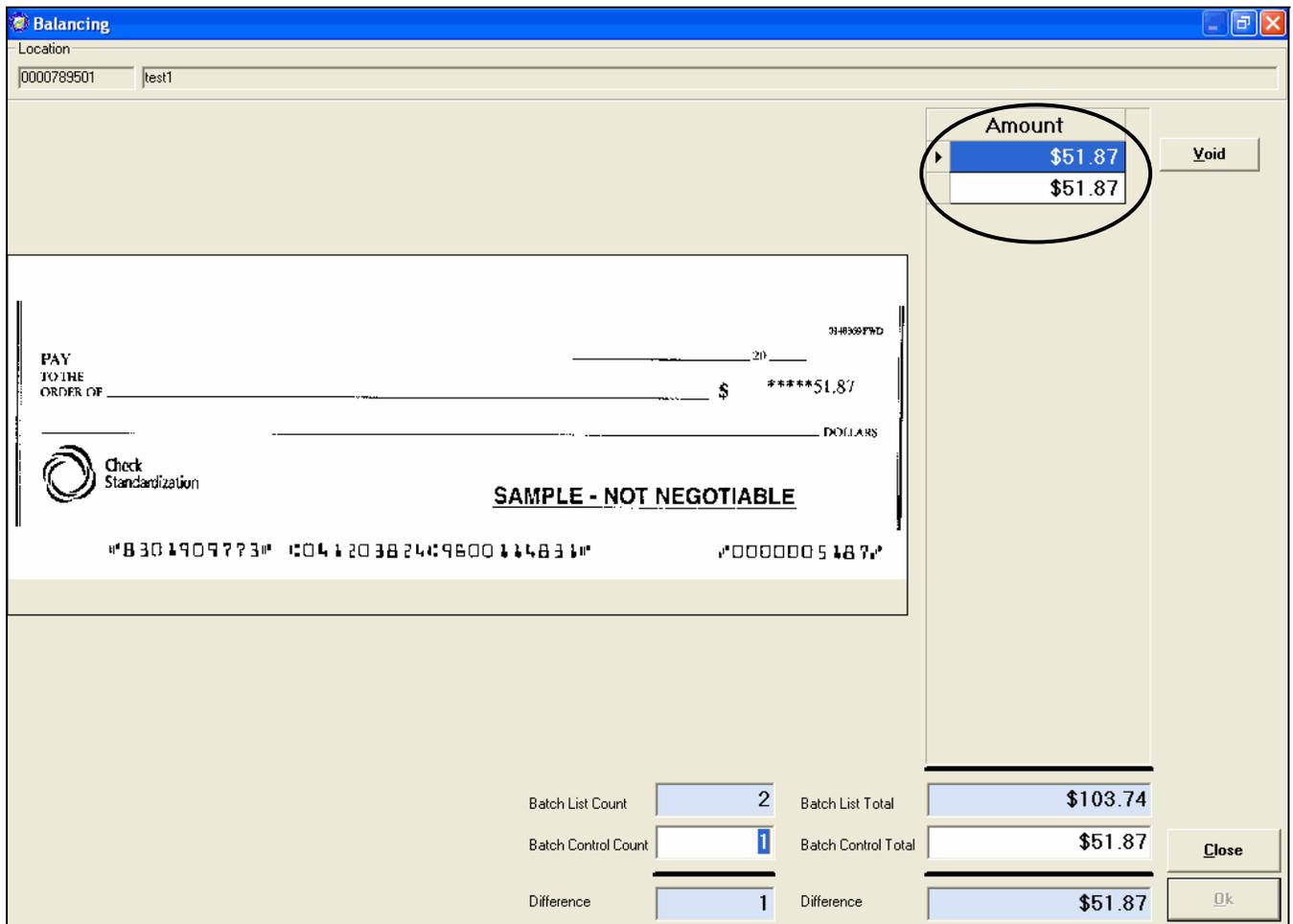


Figure 6.13.4

In the example above, the batch that is in the POS system contains 2 items at \$51.87 each. The operator keyed in 1 item at \$51.87 on the Batch Control screen. The number displayed in the 'Difference' row displays the discrepancy difference in both item count and dollar amount. It must be determined if there is an erroneously scanned item, or if the batch should contain both of the items. The operator would need to go back to the source documents for an answer. If it is determined that the batch should contain both items, the operator would change the number in the 'Batch Control Count' field from 1 to 2 and the dollar amount in the 'Batch Control Total' from \$51.87 to \$ 103.74, then click the 'Ok' button. The following message will appear (Figure 6.13.5):

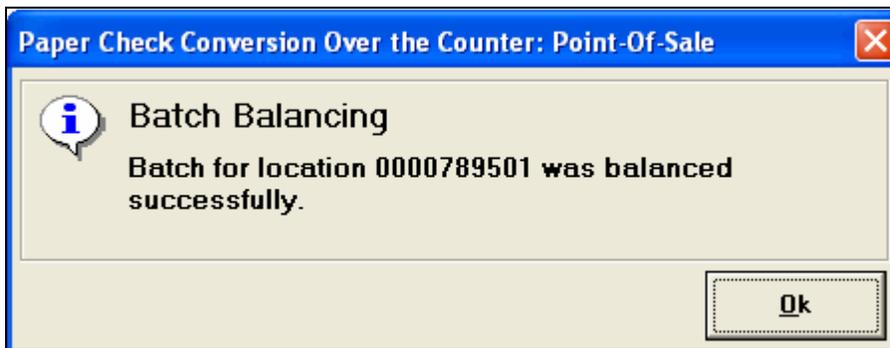


Figure 6.13.5

If it has been determined that the batch **does include an erroneously scanned item**, the operator must click on the erroneous amount at the top right of the screen (see Figure 6.13.4) to select the item, then click the **'Void'** button that is just to the right of the amount. The system will prompt with the following (Figure 6.13.6):

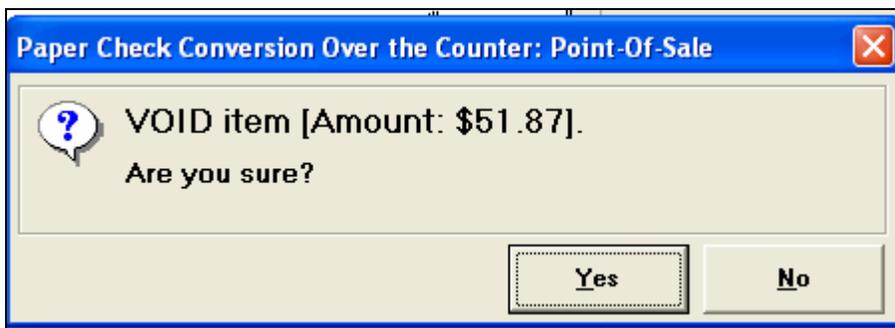


Figure 6.13.6

To void the item click the **'Yes'** button. The operator must type comments with regard to the void, then click the **'Ok'** button. A user with 'Void' authority may need to confirm the void by typing their login and password. The following prompt will appear stating that the void has been successful (Figure 6.13.7):

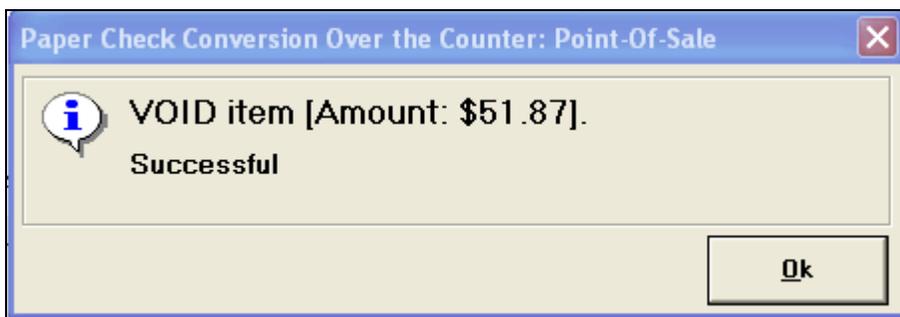


Figure 6.13.7

The screen will then return to the Batch Balancing screen with the new Batch Control Count and Batch Control total as displayed in Figure 6.13.8. To continue with the batch close process, click the 'Ok' button.

Location: 0000789501 test1

Amount: \$51.87 Void

PAY TO THE ORDER OF _____ \$ *****51.87

Check Standardization

SAMPLE - NOT NEGOTIABLE

Batch List Count	1	Batch List Total	\$51.87
Batch Control Count	1	Batch Control Total	\$51.87
Difference	0	Difference	\$0.00

Close Ok

Figure 6.13.8

Note: items can also be edited in Batch Manger if the amount was erroneously typed.

Point-Of-Sale Standard Operating Procedures

Logical Processing Order

When creating a batch it is important that the proper steps be taken to ensure that the batch reaches our system. Below is an outline of the logistic steps involved in creating a batch:

Batch Control – This function may or may not appear, based on your configuration settings. If used, key in total dollar amount of checks and the total number of checks to be scanned. This function can be setup in the configuration as disabled, optional, or mandatory by your Security Administrator. If this option is disabled, the Batch control screen will not appear. If optional, the Batch control screen can be deferred (skipped), and if mandatory, it can only be deferred at the beginning of the batch. It will be required at either the start of the batch or prior to Batch Close.

Scan the check (or checks if processing in batch mode)

Key in amount and configurable field data for each check

Cancel transactions while performing data entry, used only if necessary, i.e., image of the check is not legible, check scanned in as wrong item type.

Print the receipt – Just after the item information is keyed into the data entry screen, press ‘Enter’, then click the ‘Receipt’ button to print a receipt of the item or items.

Void items – Used to delete invalid items only if necessary, prior to Batch Close. Once data entry has been performed and the ‘Enter’ key is pressed, the item can no longer be cancelled and must be voided.

Batch Control – If mandatory and skipped at the start of the batch, or if optional and skipped at the start of the batch, batch control totals may need to be keyed. If batch control totals were keyed at the start of the batch, whether optional or mandatory, the control screen will not appear at Batch Close.

Print the Batch list – A printout of the batch listing must be done prior to Batch Close.

Pre-balance – Use the batch list that was just printed to reconcile all PCC OTC activity for this batch of work. If reconciling with cash drawers, count and reconcile to ensure activity is accurate.

Batch Balancing – This screen will only appear if the totals that are keyed into the Batch Control screen do not match what was actually keyed into the data entry screen, or if the number of checks scanned does not match the number keyed into the Batch Control screen.

Batch Close – Closes and transmits the batch to the FRB for processing.

Processing Mode

Single vs. Batch Processing Mode

New to POS Release 5.1, Agencies can choose to process their checks in one of two processing modes. The 'Single Check Mode' allows checks to be processed one at a time, as they were handled in previous versions of the POS, and 'Batch Mode', which is new to POS, allows for batches of checks to be scanned prior to data entry. The Batch Mode processing will only work with the EC7000i scanners.

To select the processing mode, authorized users can select 'File', 'Configuration' within the POS. Choose the 'Application' tab, and then select the processing mode of 'Single' or 'Batch' by clicking the appropriate radio button (see Figure 6.13.9). Click the 'Apply' button. Whatever mode has been selected within the POS configuration will appear on the POS data entry screen and cannot be changed by the operator (see Figures 6.13.10 – Single mode, and 6.13.11 – Batch mode).

Note: *Single mode is the default when the POS 5.1 software is installed.*

Note: *If 'Batch' mode is chosen, the POS will still allow for a single check to be processed.*

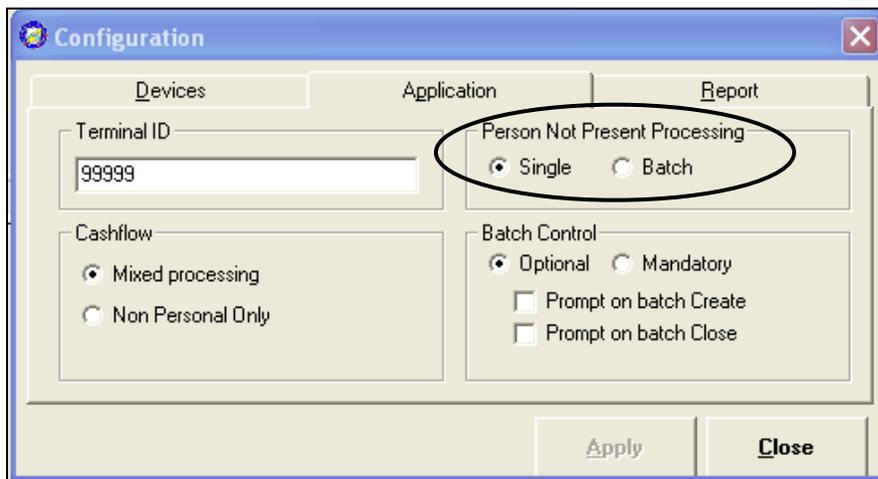


Figure 6.13.9

Point-Of-Sale Standard Operating Procedures

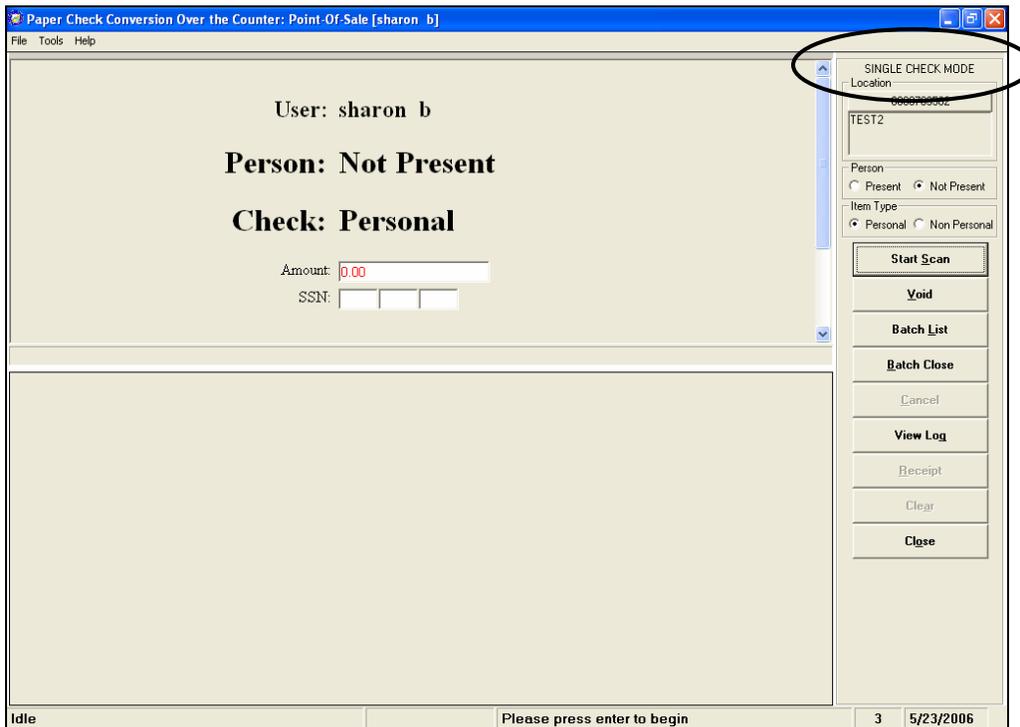


Figure 6.13.10

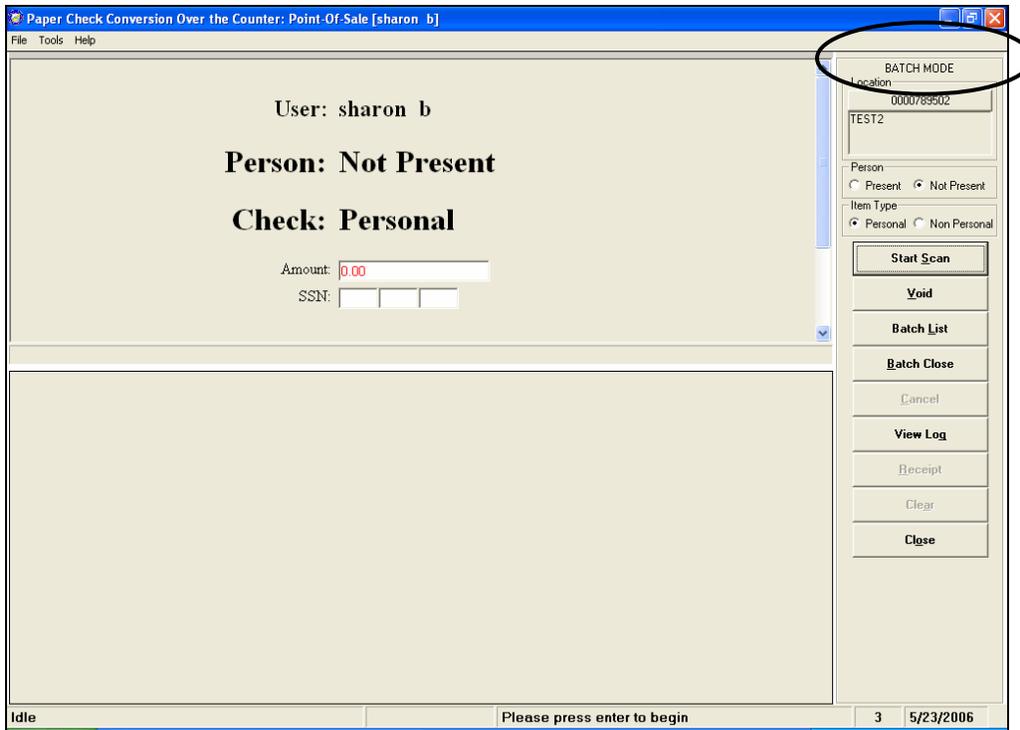


Figure 6.13.11

Single Check Mode Processing

Selecting the Location

Agencies can have multiple locations. Each location has their own unique ALC +2 (Agency Location Code). Batches can include items for multiple ALC+2's. Additional ALC's are added using the 'System Configuration' 'Data Entry Screens' within the SAT by authorized users (provided that the proper documentation is on file with the FRB-C). One of the ALC's is chosen to be the 'default' ALC. The default ALC will appear each time the POS is started. The location must be chosen prior to scanning the check. To choose an ALC+2, click on the ALC window at the upper right of the screen (Figure 6.14) and choose an ALC+2 from the dropdown list. This ALC+2 will remain for all items until changed by choosing a different ALC+2 from the dropdown list.

The screenshot shows the 'Paper Check Conversion Over the Counter: Point-Of-Sale [sharon b]' application window. The main display area contains the following text:

User: sharon b
Person: Present
Check: Non Personal

Amount: 0.00
SSN: [input field]

On the right side, the 'SINGLE CHECK MODE' panel is open, showing a 'Location' dropdown menu with '0000789501' selected. Below the dropdown is a list of other locations: [0000789501] - test1, [0000789502] - test2, [0000798501] - test7895, and [0000798502] - test02. The 'Item Type' section has radio buttons for 'Personal' and 'Non Personal', with 'Non Personal' selected. A vertical stack of buttons includes 'Start Scan', 'Void', 'Batch List', 'Batch Close', 'Cancel', 'View Log', 'Receipt', 'Clear', and 'Close'. The status bar at the bottom shows 'Idle', 'Please press enter to begin', '4', and '3/29/2006'.

Figure 6.14

Select the Operating Mode (Single Check Mode)

Just beneath the 'Location' choice at the right side of the screen is the option to choose **'Person'**. The choices are 'Present', or 'Not Present' (Figure 6.15). This option indicates the mode of operation. The 'Person Present' mode is used when the person is standing in front the operator with their check. The 'Person Not Present' mode is used when the writer of the check is not present, i.e. when checks are received through the mail as payments. Operators need to make certain that they are selecting the proper choices for each item to avoid returned payments from the check writer's financial institution. The operating mode is chosen prior to the scan. **Checks should be pre-sorted by person present/not present, prior to scanning.**

The Paper Check Conversion Over the Counter system is able to process checks through either the 'Person Present' mode, formerly known as POS for Point-of-Sale, or through the 'Person Not Present' mode, formerly known as Accounts Receivable/Lockbox. Both mode types can exist within a batch. The 'Person Present' mode is used when an individual is cashing a check, or purchasing goods or a service in person. The 'Person Not Present' mode is used when the writer of the check is not present, i.e. when checks are received through the mail as payments. Not all agencies will utilize both modes. Furthermore, your site may choose not to use both modes everyday, due to fluctuation in check volume.

The screenshot shows the 'Paper Check Conversion Over the Counter: Point-Of-Sale' software interface. The main display area shows the following information:

- User: sharon b
- Person: Present
- Check: Non Personal
- Amount: 0.00
- SSN: [Empty field]

On the right side, there is a 'SINGLE CHECK MODE' panel with the following options:

- Location: 0000789501
- test1
- Person: Present Not Present
- Item Type: Personal Non Personal
- Start Scan (highlighted with a red dashed box)
- Void
- Batch List
- Batch Close
- Cancel
- View Log
- Receipt
- Clear
- Close

The status bar at the bottom shows: Idle, Please press enter to begin, 4, 3/29/2006

Figure 6.15

Process a Check

Checks that CAN be processed through POS

All of the items listed below can be processed on your POS computer. These items should be processed as:

Non-personal:

US Treasury Checks
Traveler's Checks
Money Orders (including Postal Money Orders)
Third-party Checks (even if drawn on a personal account)
State and Local Government Checks
Credit card Checks
'Do not ACH' Checks
Official Checks
Business Checks
Cashier's Checks
Official Checks
Other US Government Checks
Payroll Checks

The following item(s) should be processed as:

Personal checks:

Personal/Consumer Checks

List of Items that CANNOT be Processed through POS

The following ineligible item(s) cannot be processed using your POS computer and may need to be processed through your authorized Treasury's General Account (TGA) depository.

Foreign items drawn on non-US Financial Institutions
Check payable in non-US currency
Savings Bond Redemptions

Note: Apply any necessary stamps in a location that does not interfere with the dollar amount, financial institution information, or the signature. Since you will not be depositing PCC OTC items at your bank, there is no need to stamp "For Deposit Only" on the back of the check. FRB-C becomes the bank of first deposit for all PCC OTC items.

Scanning a Check (Single Check Mode)

Once a user has successfully signed on to the POS and chosen the correct location and operating mode, the next step is to scan the check. The bottom of the POS screen will display, **'Please press enter to begin'**. Press the **'ENTER'** key or click the **'Start Scan'** button. Once the 'Enter' key is pressed, the scanner light will turn green, indicating that the scanner is ready to accept a check. The bottom of the PCC POS screen will then display **'Scan front of Check'**.

Note: A Batch Control screen may appear, based on your Agency's configuration settings.

For the **EC5000i** scanner, place the check in the left slot, with the MICR line of the check aligned on the bottom. The front of the check should face right, as shown in Figure 6.16.

For the **EC6000i** and the **EC7000i** scanner, place the check in the scanner with the MICR line of the check aligned with the right side of the scanner. Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed, as shown below (Figure 6.17). The scanner will automatically pull the check through to begin the scan.



Figure 6.16



Figure 6.17

A single beep will sound indicating a check has been scanned successfully. **NOTE: If a triple beep occurs, cancel and process check again.** To determine if there is a problem with the scanner, see the chart in Figure 6.18.

Scanner Light Color	Indicates
GREEN	Scanner is ready to accept a check and capture its image
AMBER	Scanner is in standby mode, not ready to accept a check
BLINKING RED	Unable to read check image. Cancel and try again, possibly with another check. Make sure that the check is inserted correctly.
CONSTANT RED	There is a problem with the scanner. Cancel the transaction and retry. See section in Troubleshooting.

Figure 6.18

Note: For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the RDM scanner chapter(s) at the end of this SOP.

The application will show a status bar on the bottom of the POS screen (circled in Figure 6.19) indicating the capture of the image. Once the capture is complete, the image will appear on the screen as displayed in Figure 6.19). 'Enter Data' appears mid screen (circled at the bottom in Figure 6.19)

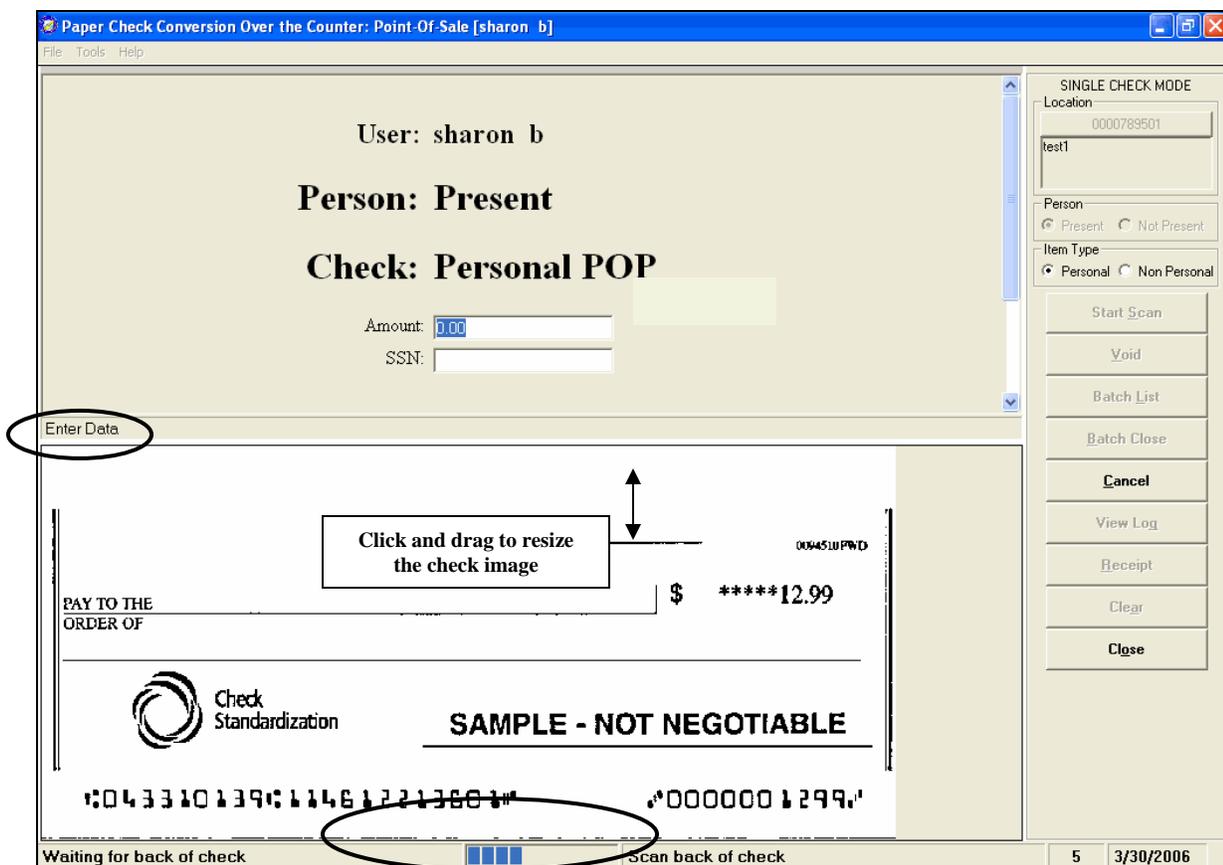


Figure 6.19

Point-Of-Sale Standard Operating Procedures

Select the Item Type (Single Check Mode)

After the check has been scanned, the operator must choose the item type. Just beneath the 'Person;' choice at the right side of the screen is the option to choose **'Item Type'**. The choices are **'Personal'** or **'Non Personal'**. (Figure 6.19.1) This indicates the type of item to be processed. When the operator clicks on 'Personal', the POS data entry screen displays, "Check: Personal". If the operator clicks 'Non Personal', the POS data entry screen displays, "Check: Non Personal". The POS application can process both personal and non personal checks within a batch. The operator needs to make certain that they are selecting the proper choices for each item. It is recommended that you presort your items into two groups (Personal and Non Personal) prior to scanning to avoid the pop-up message like the one displayed in Figure 6.19.2. When the POS software is first installed, both item types are available by default. Using the POS Configuration, authorized users can limit the item type to 'Non Personal only'. When 'Non Personal Only' is chosen in the POS configuration, the item type 'Personal' is no longer available for the operator to choose on the POS data entry screen. This can be set up for Agencies who never process personal checks. For more information, please refer to the POS Configuration section in the *'Installation and Configuration'* Chapter of this SOP.

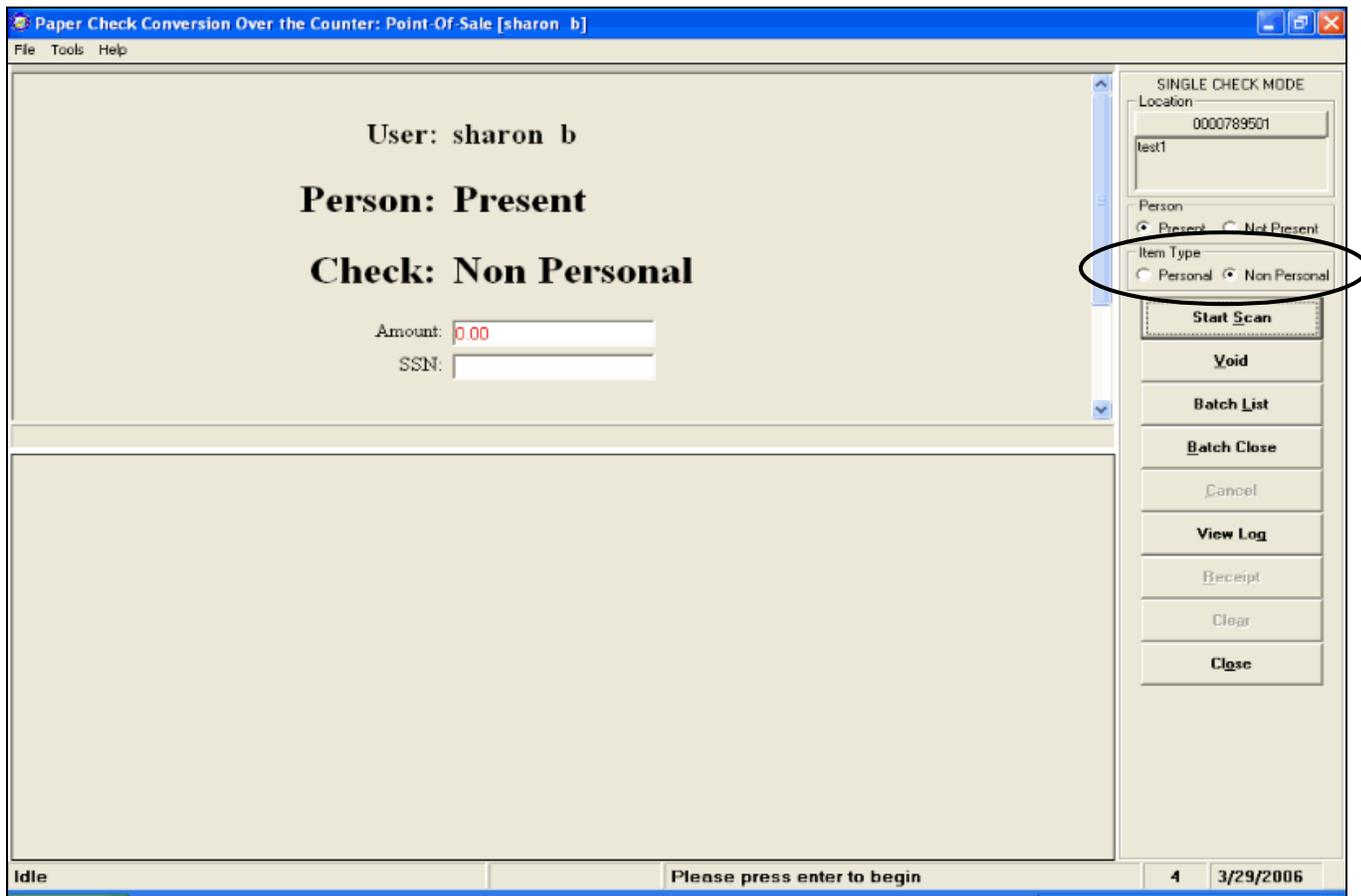


Figure 6.19.1

The operator should determine if the check is either a personal or a non-personal check. While most business checks are typically larger in size, business checks can look the same as personal checks. The title of the account owner should be your determining factor to decide if the check should be classified as personal or business.

Once scanned, if a personal check was detected due to the format of the MICR line, but the non personal check box was selected on the POS screen prior to the scan, the following message appears (Figure 6.19.2):

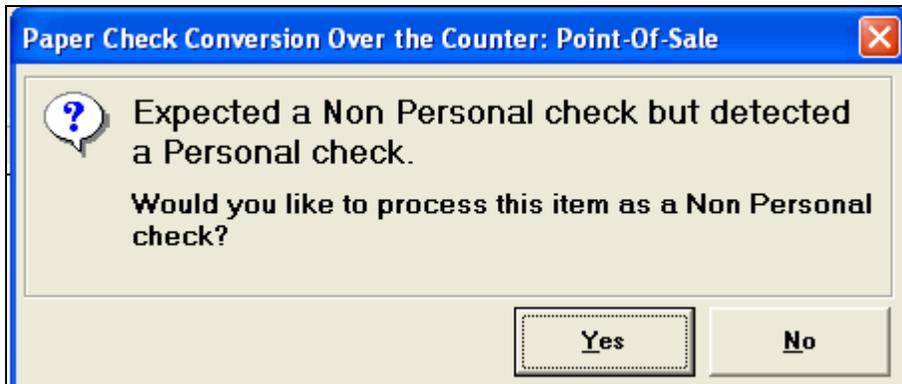


Figure 6.19.2

Select **No** if the check should be processed as a personal check. The screen will return to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'Personal'. Processing can then continue with data input.

Select **Yes** if the check should be processed as a non personal check. The screen will return to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as non personal.

Also, if a non personal check was detected due to the format of the MICR line, but the personal check box was selected on the POS screen prior to the scan, the message, "Expected a Personal check but detected a Non Personal check. Would you like to process the item as a Personal check?" will appear.

Select **No** if the check should be processed as a non personal check. The screen will return to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'non personal'. Processing can then continue with data input.

Select **Yes** if the check should be processed as a personal check. The screen will return to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as personal.

Note: The message displayed in Figure 6.19.2 will appear for certain Money Orders due to MICR number formatting of the check if Personal Check is selected on the data entry screen. **Yes** must be chosen for those items each time.

Point-Of-Sale Standard Operating Procedures

Ensure that the entire check image is visible on the screen and the dollar amount must be legible. (A check may successfully scan even though the item was folded going into the device.) If the image is not legible, click **'Cancel'** and re-scan the check.

Note: It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that will be submitted to the payor bank for collection. It will also be stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on your behalf with the image that has been submitted, the debit will go back to your agency and collection will become your responsibility.

Note: The image of the check can be resized by hovering the cursor near the top line of the check (as displayed in Figure 6.19) until you see the double arrow cursor \updownarrow . Click and drag up or down to resize the image.

After the check has been scanned, the cursor will be active on the 'Check Amount' field. Type the amount of the check and press **'Enter'**.

Note: Only numbers need input. For example, entering in 1290 would equal \$12.90, and 56321 would be equal to \$563.21.

Note: Be sure to verify the check dollar amount input into the POS to the actual check. If an incorrect amount is entered, an authorized user can sign on to Batch Manager and alter the check amount.

The cursor will then be active in the first agency specific (configurable) field in which the operator may key data. The operator should complete all fields using information submitted with the check, i.e. bill, form number, period being paid, etc. to facilitate the agency's internal processing. Transactions may include up to 24 Agency-defined configurable fields.

Note: Since configuration field requirements are established by each Agency, minimum/maximum requirements may exist for certain fields. If the operator does not satisfy those minimum/maximum field requirements, an error message will be displayed in the middle of the screen as displayed in Figure 6.20, and corrections must be made to the field before the POS will accept the transaction. In the example below, the pattern for SSN is XXX-XX-XXXX.

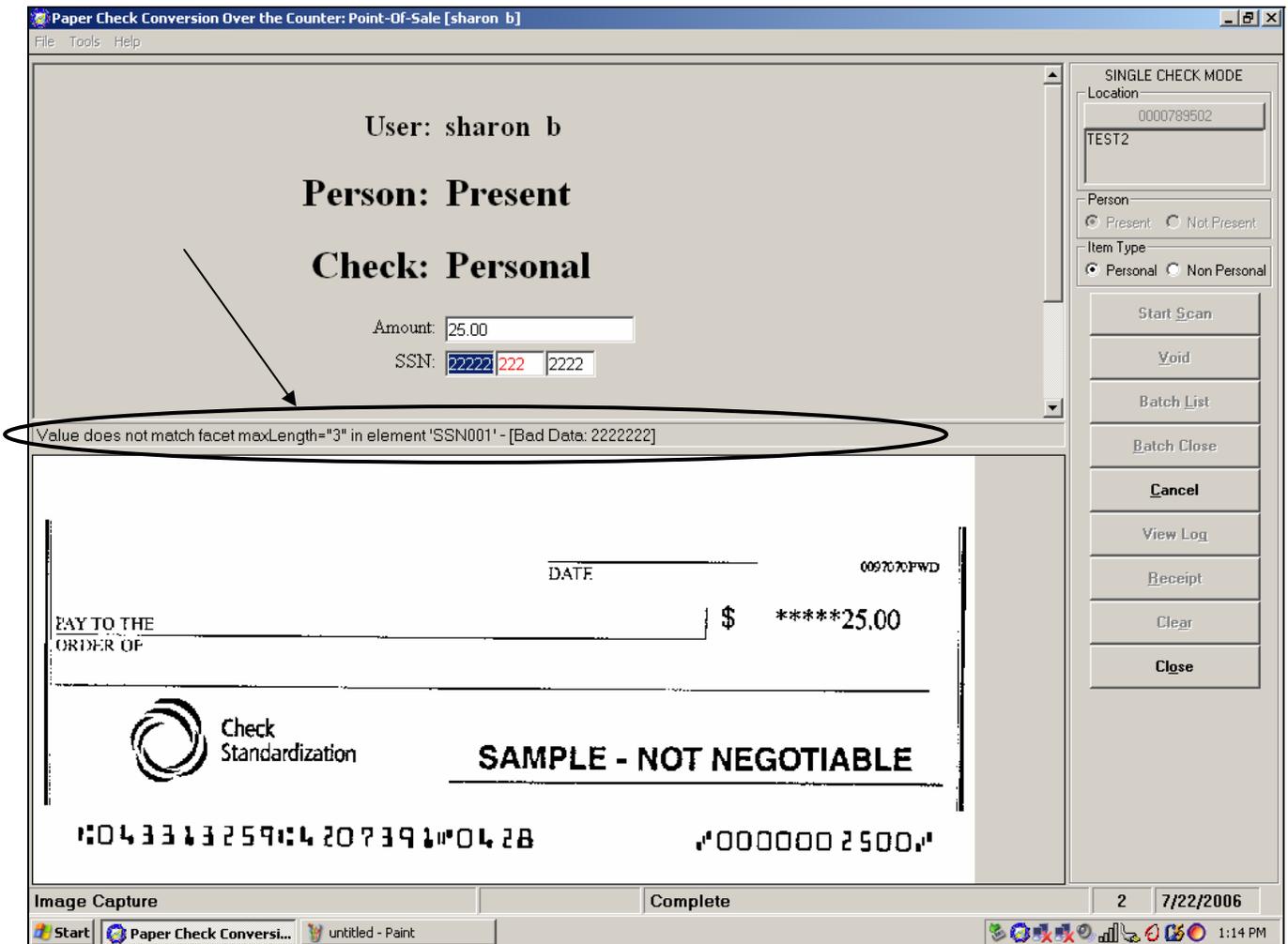


Figure 6.20

When complete, press **Enter**. The bottom of the screen will display, **Scan back of check**.

Remove the check from the scanner and reposition it to scan the back of the check.

The scanner will pull the check through to complete the scan. The middle of the screen will display 'Data Entry Complete' and the image of the back of the check will be displayed. The words 'Image Capture' and 'Complete' appear momentarily at the bottom of the screen, then is quickly changed to 'Done' and 'Use Esc or Enter to clear the screen'. After approximately 15 seconds the bottom of the screen will display, 'Idle' and 'Please press enter to begin', at which point another check can be scanned once Enter is pressed. To avoid the 15 second wait, press **Enter** when the message, 'Use Esc or Enter to clear the screen' appears.

Each check that is processed may be hand stamped with 'Electronically Processed' after the transaction is complete and the check has been scanned. Checks must be given back to the person if processed in person. If processed in the 'Person-not-present mode', checks must be destroyed within 14 days, according to the Agency Participation Agreement. The EC6000i scanner can also be setup to automatically stamp the front of the check with the words, 'Electronically Presented', once the transaction is complete. For instructions on setting up the scanner to stamp the checks, please refer to the *Appendix* Chapter of this SOP, 'Setting the EC6000i scanner to Frank Acknowledgments'.

Scan Check (EC7000i) (Single Check Mode)

Once a user has successfully signed on to the POS and chosen the correct location and operating mode, the next step is to scan the check. The bottom of the POS screen will display, **'Please press enter to begin'**. Press the **'Enter'** key or click the **'Scan Item'** button. Once the 'Enter' key is pressed, the scanner light will turn green, indicating that the scanner is ready to accept a check. The bottom of the POS screen will then display **'Scan Check (front side up)'**.

Note: A Batch Control screen may appear, based on your Agency's configuration settings.

Place the check in the scanner with the MICR line of the check aligned with the right side of the scanner. Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed, as shown in Figure 6.20.1. The scanner will automatically pull the check through to begin the scan.

A single beep will sound indicating a check has been scanned successfully. To determine if there is a problem with the scanner, see the chart in Figure 6.20.2.



Figure 6.20.1

Scanner Light Color	Indicates
GREEN	Scanner is ready to accept a check and capture its image
AMBER	Scanner is in standby mode, not ready to accept a check
BLINKING RED	Unable to read check image. Cancel and try again, possibly with another check. Make sure that the check is inserted correctly.
CONSTANT RED	There is a problem with the scanner. Cancel the transaction and retry. See section in Troubleshooting.

Figure 6.20.2

Note: If you experience one long beep followed by five short beeps while scanning items on your EC7000i scanner, please hit cancel to terminate that transaction and rescan that item. This sequence of beeps usually means that the back of the check has not been scanned. If you experience any other unusual issues or hear any tones to indicate scan errors, please cancel that transaction and rescan the item. If necessary, you may need to void the transaction.

The application will show a status bar on the bottom of the POS screen indicating the capture of the image. Once the capture is complete, the image will appear on the screen (Figure 6.20.3). Only the front of the check will be displayed at this time, even though the EC7000i scanner will capture the front and the back of the check in one pass. The back of the check is displayed at the end of the transaction. The front and back of the check can be viewed by using the 'Batch List' button once the transaction is complete.

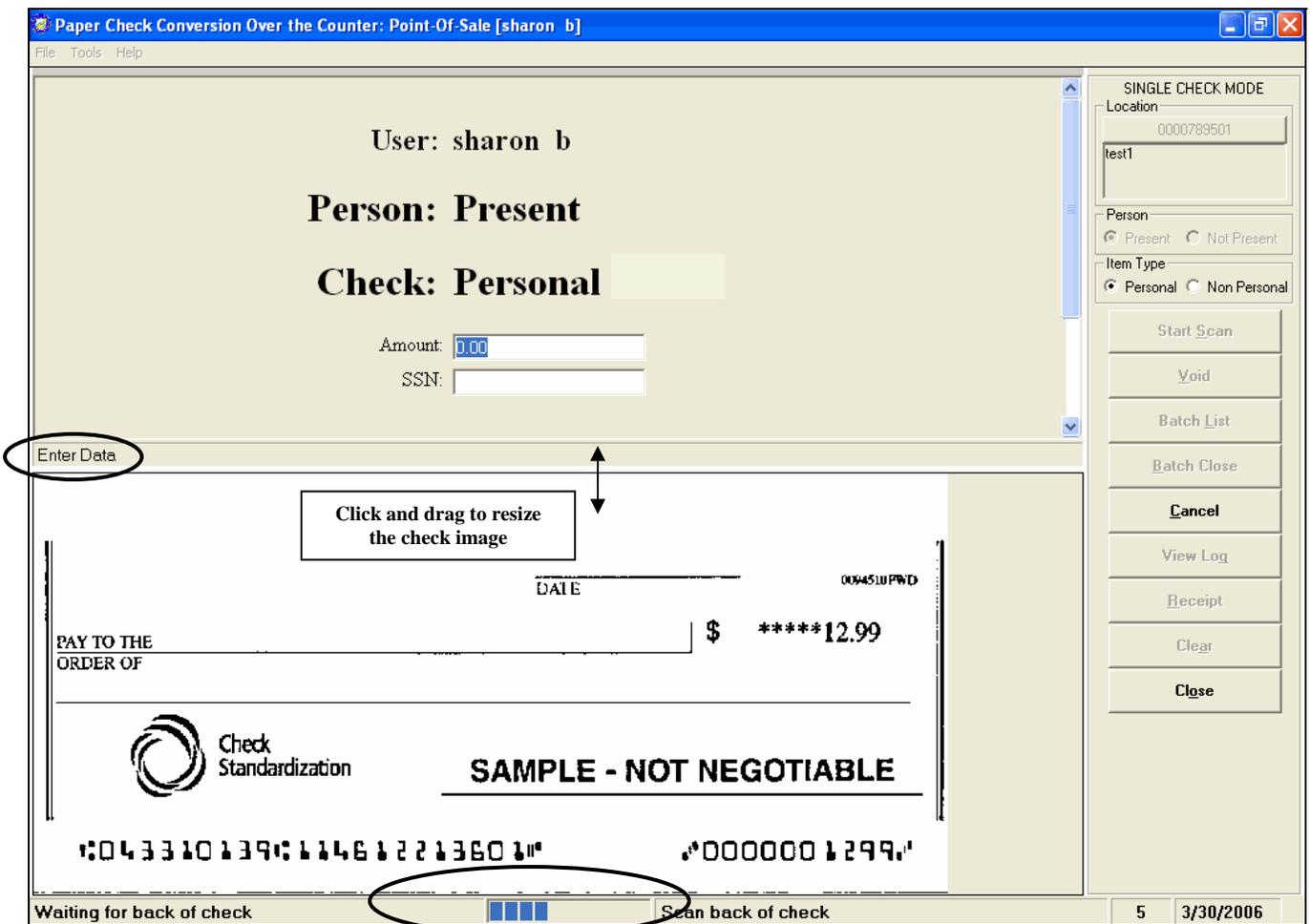


Figure 6.20.3

Point-Of-Sale Standard Operating Procedures

Select the Item Type (Single Check Mode)

Just beneath the 'Person;' choice at the right side of the screen is the option to choose 'Item Type'. The choices are 'Personal' or 'Non Personal'. (Figure 6.20.3.0) This indicates the type of item to be processed. When the operator clicks on 'Personal', the POS data entry screen displays, "Check: Personal". If the operator clicks 'Non Personal', the POS data entry screen displays, "Check: Non Personal". The POS application can process both personal and non personal checks within a batch. The operator needs to make certain that they are selecting the proper choices for each item. It is recommended that you presort your items into two groups (Personal and Non Personal) prior to scanning to avoid error messages like the one displayed in Figure 6.20.3.1. When the POS software is first installed, both item types are available by default. Using the POS Configuration, authorized users can limit the item type to 'Non Personal only'. When 'Non Personal Only' is chosen in the POS configuration, the item type 'Personal' is no longer available for the operator to choose on the POS data entry screen. This can be set up for Agencies who never process personal checks. For more information, please refer to the POS Configuration section in the *Installation and Configuration*' Chapter of this SOP.

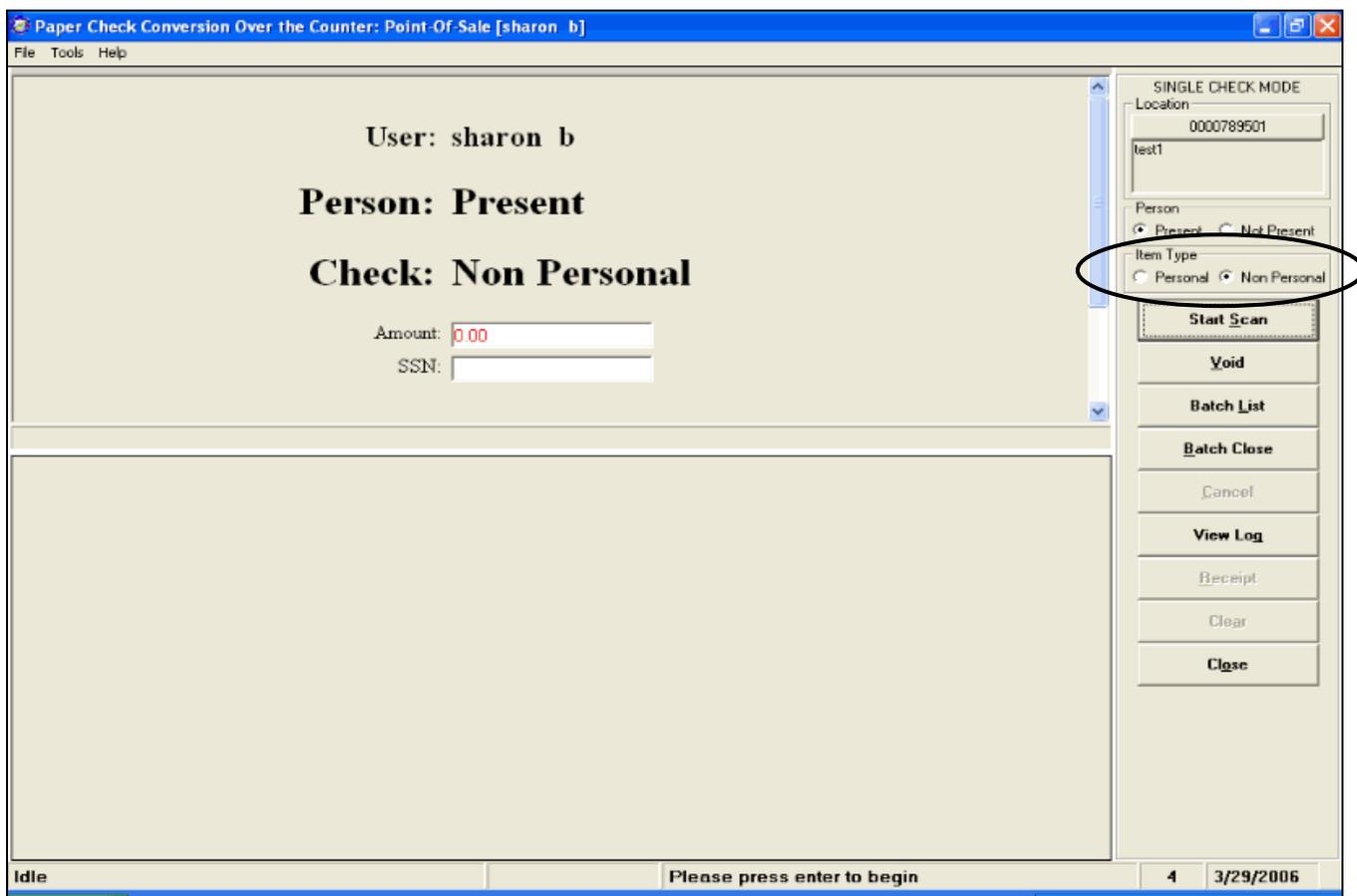


Figure 6.20.3.0

The operator should determine if the check is either a personal or a non-personal check. While most business checks are typically larger in size, business checks can look the same as personal checks. The title of the account owner should be your determining factor to decide if the check should be classified as personal or business.

Once scanned, if a personal check was detected due to the format of the MICR line, but the non personal check box was selected on the POS screen prior to the scan, the following message appears (Figure 6.20.3.1):

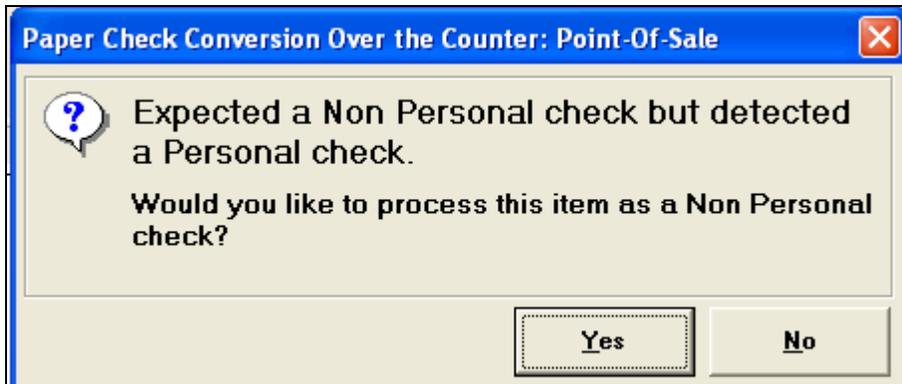


Figure 6.20.3.1

Select **'No'** if the check should be processed as a personal check. The screen will return to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'Personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a non personal check. The screen will return to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as non personal.

Also, if a non personal check was detected due to the format of the MICR line, but the personal check box was selected on the POS screen prior to the scan, the message, "Expected a Personal check but detected a Non Personal check. Would you like to process the item as a Personal check?" will appear.

Select **'No'** if the check should be processed as a non personal check. The screen will return to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'non personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a personal check. The screen will return to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as personal.

Note: The message displayed in Figure 6.20.3.1 will appear for certain Money Orders due to MICR number formatting of the check if Personal Check is selected on the data entry screen. **'Yes'** must be chosen for those items each time.

Point-Of-Sale Standard Operating Procedures

Ensure that the entire front of the check image is visible on the screen and that the dollar amount is legible. If the image is not legible, click 'Cancel' and re-scan the check.

Note: The image of the check can be resized by hovering the cursor near the top line of the check (as displayed in Figure 6.20.3) until you see the double arrow cursor \updownarrow . Click and drag up or down to resize the image.

Note: It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that will be submitted to the payor bank for collection. It will also go into the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on your behalf with the image that has been submitted, the debit will go back to your agency and collection will become your responsibility.

After the check has been scanned, the cursor will be active on the 'Amount' field. Enter in the amount as found on the image displayed in the lower portion of the screen and press 'Enter'.

Note: Only numbers need input. For example, entering in 1290 would equal \$12.90, and 56321 would be equal to \$563.21.

Note: Be sure to verify the check dollar amount input into the POS to the actual check. If an incorrect amount is entered, an authorized user can sign on to Batch Manager and alter the check amount.

The cursor will then be active in the first agency specific (configurable) field in which the operator may key data. The operator should complete all fields using information submitted with the check, i.e. bill, form number, period being paid, etc. to facilitate the agency's internal processing. Transactions may include up to 24 Agency-defined configurable fields.

Note: Since configuration field requirements are established by each Agency, minimum/maximum requirements may exist for certain fields. If the operator does not satisfy those minimum/maximum field requirements, an error message will be displayed in the middle of the screen as displayed in Figure 6.20.4, and corrections must be made to the field before the POS will accept the transaction. In Figure 6.20.4, the pattern for SSN is XXX-XX-XXXX.

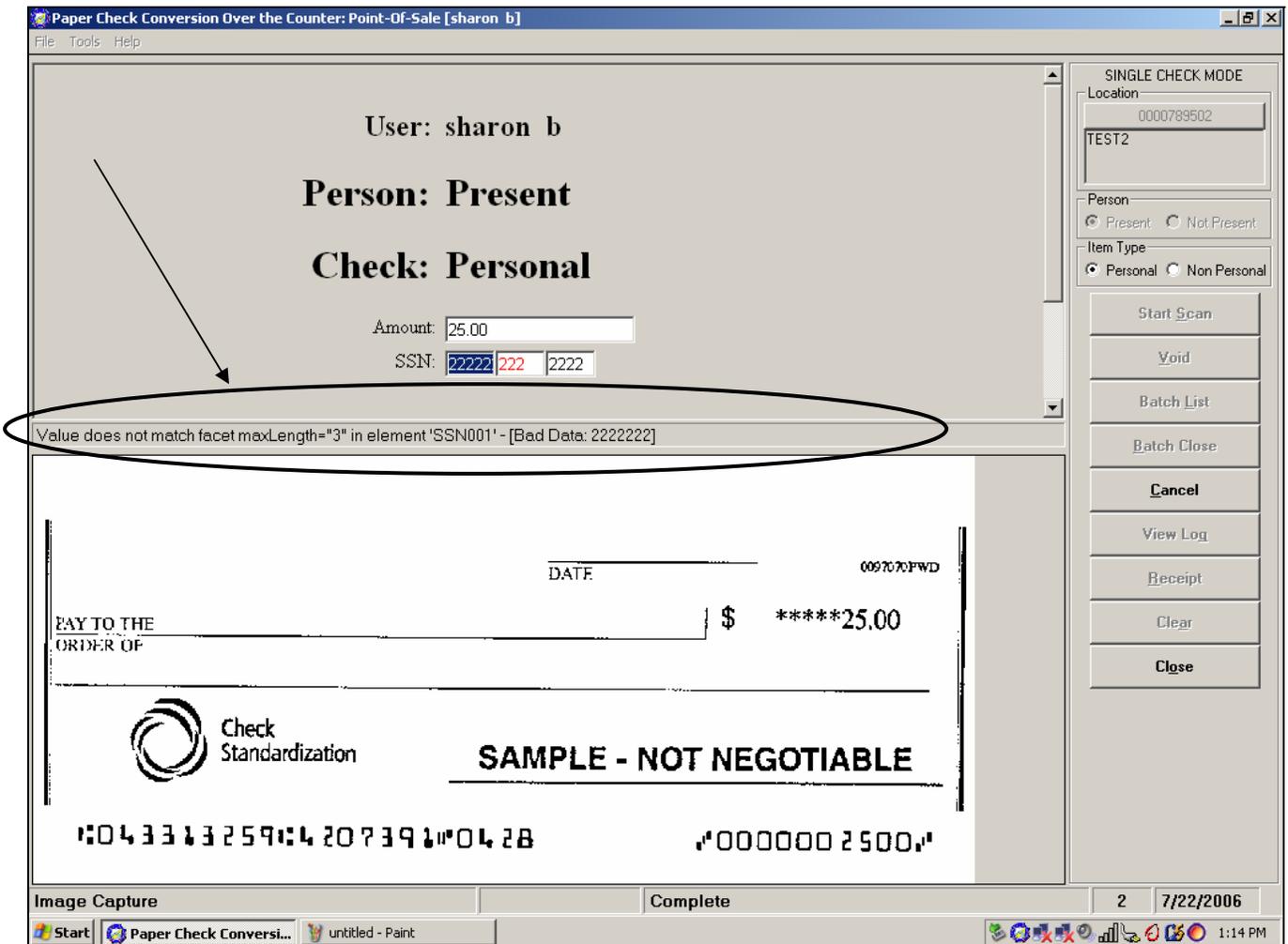


Figure 6.20.4

Once all of the required/necessary configuration fields have been keyed, press **‘Enter’**. The middle of the screen will display ‘Data Entry Complete’ and the image of the back of the check will be displayed. The words ‘Image Capture’ and ‘Complete’ appear momentarily at the bottom of the screen, then is quickly changed to ‘Done’ and ‘Use Esc or Enter to clear the screen’. After approximately 15 seconds the bottom of the screen will display, ‘Idle’ and ‘Please press enter to begin’, at which point another check can be scanned once Enter is pressed. To avoid the 15 second wait, press ‘Enter’ when the message, ‘Use Esc or Enter to clear the screen’ appears.

Each check that is processed may be hand stamped with ‘Electronically Processed’ after the transaction is complete and the check has been scanned. Checks must be given back to the person if processed in person. If processed in the Person-not-present mode, checks must be destroyed within 14 days, according to the Agency Participation Agreement. The EC7000i scanner can also be setup to automatically stamp the front of the check with the words ‘Electronically Presented’ once the transaction is complete. For instructions on setting up the scanner to stamp the checks, please refer to the *Appendix* Chapter of this SOP, ‘Setting the EC6000i/EC7000i scanner to Frank Acknowledgments’.

Batch Mode Processing

'Batch Mode', which is new to POS, allows for batches of two or more checks to be scanned prior to data entry. The Batch Mode processing will only work with the EC7000i scanners.

To select the Batch Processing mode, authorized users can select '**File**', '**Configuration**' within the POS. Choose the '**Application**' tab, and then select the processing mode of 'Batch' by clicking the appropriate radio button (see Figure 6.21). Click the '**Apply**' button.

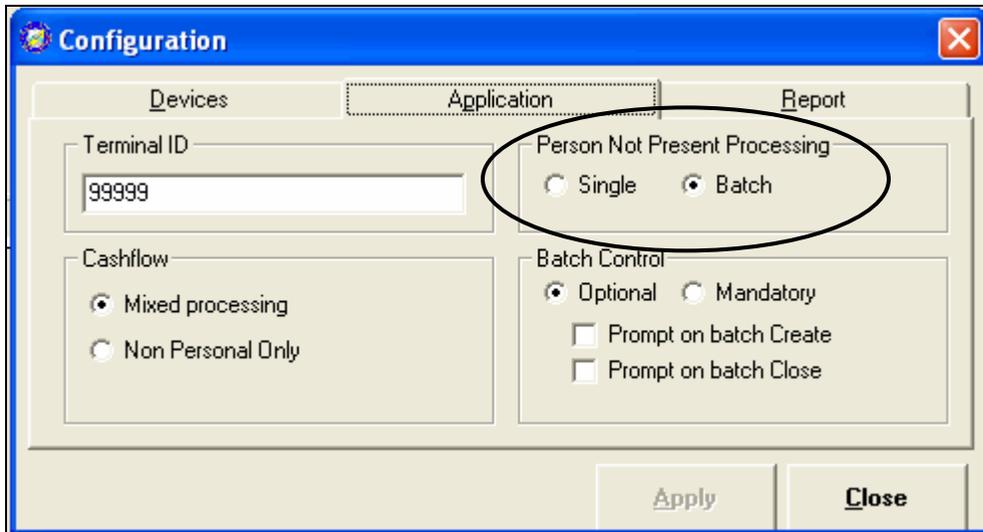


Figure 6.21

The words 'Batch Mode' will appear in the upper right corner of the POS data entry screen and cannot be changed by the operator (see Figure 6.22).

Point-Of-Sale Standard Operating Procedures

Paper Check Conversion Over the Counter: Point-Of-Sale [sharon b]

File Tools Help

 User: sharon b

Customer: Present

Check: Personal

Amount: 0.00

SSN: - - -

BATCH MODE

Location: 0000789502

test 789502

Person

Present Not Present

Item Type

Personal Non Personal

Start Scan

Void

Batch List

Batch Close

Cancel

View Log

Receipt

Clear

Close

Idle Please press enter to begin 0 5/29/2006

Figure 6.22

Note: Single mode is the default when the POS 5.1 software is installed.

Note: If 'Batch' mode is chosen, the POS will still allow for a single check to be processed.

Selecting the Location (Batch Mode)

Batches can include items for multiple ALC+2's. Additional ALC's are added using the 'System Configuration' 'Data Entry Screens' within the SAT by authorized users (provided that the proper documentation is on file with the FRB-C). One of the ALC's is chosen to be the 'default' ALC. The default ALC will appear each time the POS is started. The location must be chosen prior to scanning the check. To choose an ALC+2, click on the ALC window at the upper right of the screen (Figure 6.23) and choose an ALC+2 from the dropdown list. This ALC+2 will remain for all items until changed by choosing a different ALC+2 from the dropdown list.

The screenshot shows the 'Paper Check Conversion Over the Counter: Point-Of-Sale [sharon b]' application window. The main display area contains the following text:

User: sharon b
Person: Not Present
Check: Non Personal

Amount: 0.00
SSN:

The right-hand panel, titled 'BATCH MODE', includes a 'Location' dropdown menu currently set to '0000789501'. A list of other locations is visible below it:

- [0000789501] - test1
- [0000789502] - test2
- [0000798501] - test7895
- [0000798502] - test02

Below the location list are radio buttons for 'Item Type' with 'Personal' and 'Non Personal' options. At the bottom of the panel are buttons for 'Start Scan', 'Void', 'Batch List', 'Batch Close', 'Cancel', 'View Log', 'Receipt', 'Clear', and 'Close'.

The status bar at the bottom shows 'Idle', 'Please press enter to begin', '23', and '4/6/2006'.

Figure 6.23

Select the Operating Mode (Batch Mode)

Just beneath the 'Location' choice at the right side of the screen is the option to choose **'Person'**. The choices are 'Present', or 'Not Present' (Figure 6.24). This option indicates the mode of operation. The 'Person Present' mode is used when the person is standing in front the operator with their check. The 'Person Not Present' mode is used when the writer of the check is not present, i.e. when checks are received through the mail as payments. Operators need to make certain that they are selecting the proper choices for each item. The operating mode is chosen prior to the scan. **Checks should be pre-sorted by person present/not present, prior to scanning.** The application will issue a message in the form of a pop-up window (Figure 6.32.3) when it detects a problem with the item type vs. the MICR number formatting. We strongly encourage Agencies to pre-sort their checks prior to scanning to avoid the pop-up message.

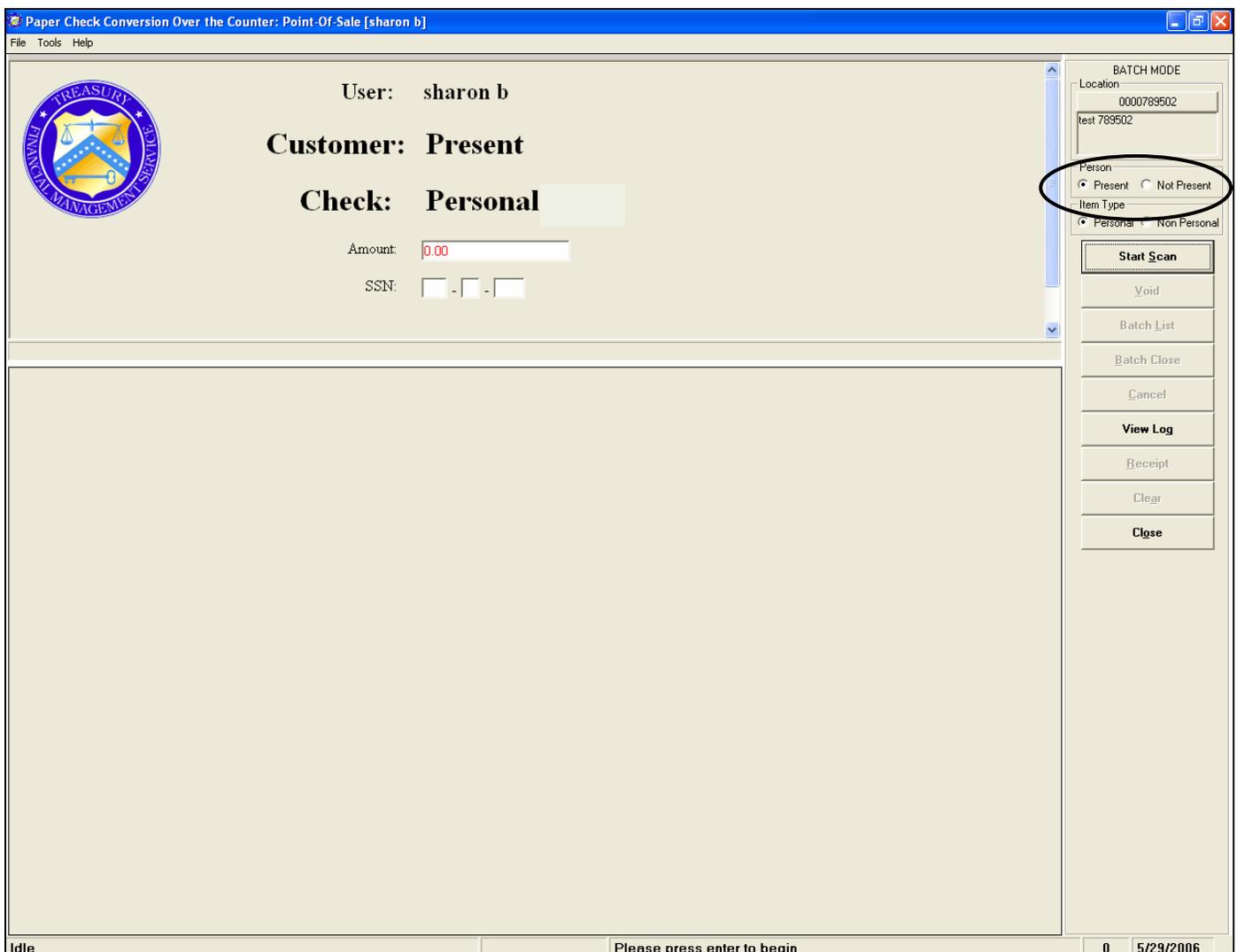


Figure 6.24

Checks that CAN be Processed through POS

All of the items listed below can be processed on your POS computer. These items should be processed as:

Non personal:

US Treasury Checks
Traveler's Checks
Money Orders (including Postal Money Orders)
Third-party Checks (even if drawn on a personal account)
State and Local Government Checks
Credit card Checks
'Do not ACH' Checks
Official Checks
Business Checks
Cashier's Checks
Official Checks
Other US Government Checks
Payroll Checks

The following item(s) should be processed as:

Personal

Personal/Consumer Checks

List of Items that CANNOT be Processed through POS

The following ineligible item(s) cannot be processed using your POS computer and may need to be processed through your authorized Treasury's General Account (TGA) depository.

Foreign items drawn on non-US Financial Institutions
Check payable in non-US currency
Savings Bond Redemptions

Note: Apply any necessary stamps in a location that does not interfere with the dollar amount, financial institution information, or the signature. Since you will not be depositing PCC OTC items at your bank, there is no need to stamp "For Deposit Only" on the back of the check. FRB-C becomes the bank of first deposit for all PCC OTC items.

Scan Check (EC7000i) in Batch Mode

Once a user has successfully signed on to the POS and chosen the correct location, operating mode, and item type, the next step is to scan the check. The bottom of the POS screen will display, **'Please press enter to begin'**. Press the **'Enter'** key or click the **'Scan Item'** button. Once the 'Enter' key is pressed, the scanner light will turn green, indicating that the scanner is ready to accept a check. Press the **'Enter'** key or click the **'Start Scan'** button. The scanner light will turn green, indicating that the scanner is ready to accept a check. A 'Batch Processing Window' will appear that says 'Please wait' and the bottom of the POS screen will then display **'Scan front of Check'**.

Note: A Batch Control screen may appear, based on your Agency's configuration settings.

Place the first check in the scanner with the MICR line of the check aligned with the right side of the scanner. Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed, as shown below (Figure 6.30). The scanner will automatically pull the check through and scan both the front and the back of the check.



Figure 6.30

A single beep will sound indicating a check has been scanned successfully. *Note: If a triple beep occurs, cancel and process check again.* To determine if there is a problem with the scanner, see the chart in Figure 6.31.

Note: If you experience one long beep followed by five short beeps while scanning items on your EC7000i scanner, please hit cancel to terminate that transaction and rescan that item. This sequence of beeps usually means that the back of the check has not been scanned. If you experience any other unusual issues or hear any tones to indicate scan errors, please cancel that transaction and rescan the item. If necessary, you may need to void the transaction.

Point-Of-Sale Standard Operating Procedures

Scanner Light Color	Indicates
GREEN	Scanner is ready to accept a check and capture its image
AMBER	Scanner is in standby mode, not ready to accept a check
BLINKING RED	Unable to read check image. Cancel and try again, possibly with another check. Make sure that the check is inserted correctly.
CONSTANT RED	There is a problem with the scanner. Cancel the transaction and retry. See section in Troubleshooting.

Figure 6.31

Note: For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the *RDM scanner chapter(s)* at the end of this SOP.

The 'Batch Processing Window' will display 'Captured Items Count:1' (as displayed in Figure 6.32) and the bottom of the POS screen will display 'Scan check (front side up)'. Remove the first check from the scanner.



Figure 6.32

Place the second check in the scanner as described in step 1.

Again, the bottom of the POS screen will display 'Scan check (front side up)'. Remove the second check and continue scanning all of the checks that should be included in this batch as described in the steps above.

When you have finished scanning all of the checks, click the 'Stop' button in the 'Batch Processing Window'.

The POS data entry screen appears displaying the image of the first check that was scanned (Figure 6.32.1). Ensure that the entire front of the check image is visible on the screen and that the dollar amount is legible. (A check may successfully scan even though the item was folded going into the device.)

The middle left of the screen indicates, 'Keying Item 1 of 1'

Note: The image of the check can be resized by hovering the cursor near the top line of the check (as displayed in Figure 6.32.1) until you see the double arrow cursor \updownarrow . Click and drag up or down to resize the image.

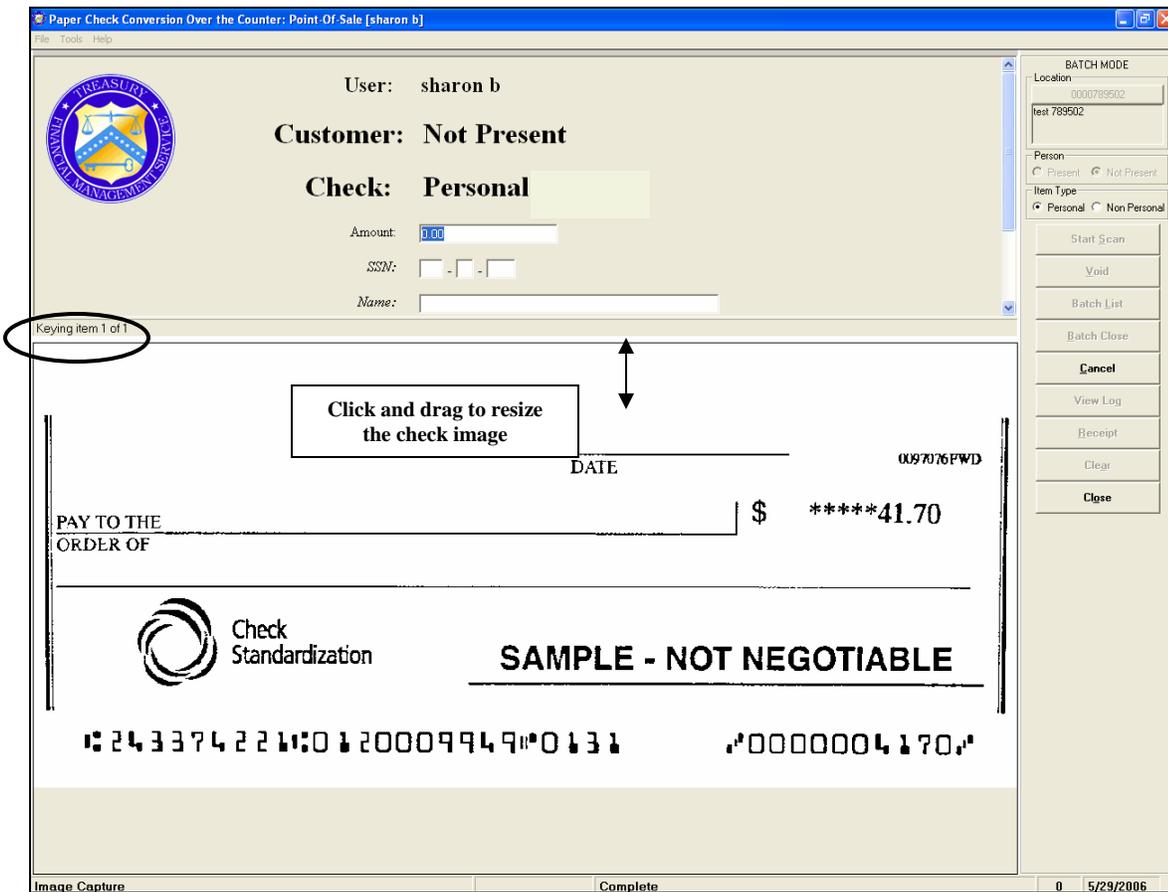


Figure 6.32.1

Select the Item Type (Batch Mode)

After all of the checks in the batch have been scanned, the operator must choose the item type for each check. Just beneath the 'Person;' choice at the right side of the screen is the option to choose **'Item Type'**. The choices are **'Personal'** or **'Non Personal'**. (Figure 6.32.2) This indicates the type of item to be processed. When the operator clicks on 'Personal', the POS data entry screen displays, "Check:Personal". If the operator clicks 'Non Personal', the POS data entry screen displays, "Check: Non Personal". The POS application can process both personal and non personal checks in a single batch. The operator needs to make certain that they are selecting the proper choices for each item. It is recommended that you presort your items into two groups (Personal and Non Personal) prior to scanning to avoid the pop-up message like the one displayed in Figure 6.32.3 When the POS software is first installed, both item types are available by default. Using the POS Configuration, authorized users can limit the item type to 'Non Personal only'. When 'Non Personal Only' is chosen in the POS configuration, the item type 'Personal' is no longer available for the operator to choose on the POS data entry screen. This can be set up for Agencies who never process personal checks. For more information, please refer to the POS Configuration section in the *'Installation and Configuration'* Chapter of this SOP.

Point-Of-Sale Standard Operating Procedures

Paper Check Conversion Over the Counter: Point-Of-Sale [sharon b]

File Tools Help



User: sharon b

Customer: Present

Check: Personal

Amount: 0.00

SSN: - - -

BATCH MODE

Location: 0000789502
test 789502

Person
 Present Not Present

Item Type
 Personal Non Personal

Start Scan

Void

Batch List

Batch Close

Cancel

View Log

Receipt

Clear

Close

Idle Please press enter to begin 0 5/29/2006

Figure 6.32.2

The operator should determine if the check is either a personal or a non-personal check. While most business checks are typically larger in size, business checks can look the same as personal checks. The title of the account owner should be your determining factor to decide if the check should be classified as personal or business.

Upon selecting the item type, if a personal check was detected due to the format of the MICR line, but the non personal check box was selected on the POS screen, the following message appears (Figure 6.32.3):

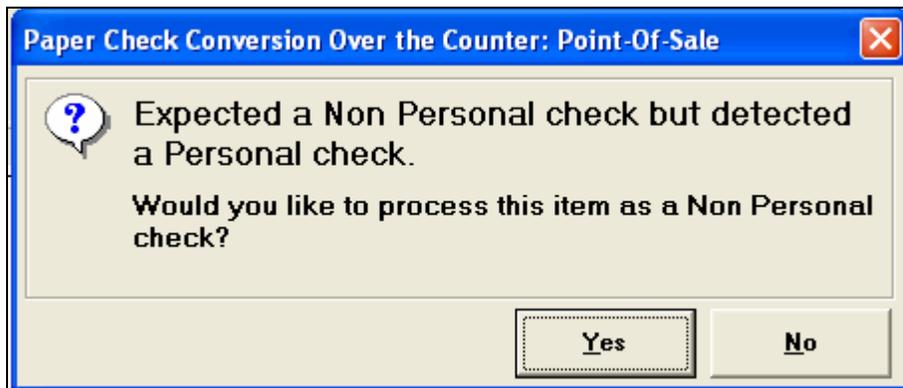


Figure 6.32.3

Select **'No'** if the check should be processed as a personal check. The screen will return to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'Personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a non personal check. The screen will return to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as non personal.

Also, if a non personal check was detected due to the format of the MICR line, but the personal check box was selected on the POS screen prior to the scan, the message, "Expected a Personal check but detected a Non Personal check. Would you like to process the item as a Personal check?" will appear.

Select **'No'** if the check should be processed as a non personal check. The screen will return to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'non personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a personal check. The screen will return to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as personal.

Note: *The message displayed in Figure 6.32.3 will appear for certain Money Orders due to MICR number formatting of the check if Personal Check is selected on the data entry screen. 'Yes' must be chosen for those items each time.*

The image of the first check that was scanned will appear on the lower portion of the screen. Data entry can now begin. If the image is not legible, click **'Cancel'**. The check can be re-scanned and added to the current batch after all of the data input has been completed.

Note: *When canceling a check in the batch mode, a 'Cancel Batch Mode' window appears as displayed below in Figure 6.32.4. To cancel the current item only, click 'No'. To cancel the current item and all remaining items, click 'Yes'.*

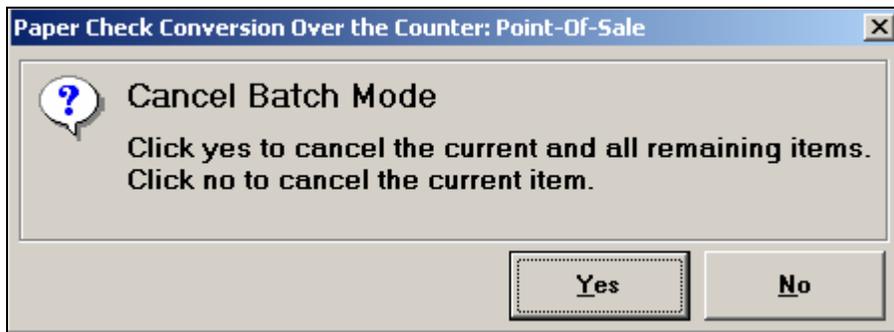


Figure 6.32.4

Note: *It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that will be submitted to the payor bank for collection. It will also be stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on your behalf with the image that has been submitted, the debit will go back to your agency and collection will become your responsibility.*

The cursor will be active on the 'Amount' field. Enter in the amount as found on the image displayed in the lower portion of the screen (and verify it to the paper check) and press 'Enter'.

Note: *Only numbers need input. For example, entering in 1290 would equal \$12.90, and 56321 would be equal to \$563.21.*

Note: *Be sure to verify the check dollar amount input into the POS to the actual check. If an incorrect amount is entered, an authorized user can sign on to Batch Manager and alter the check amount.*

The cursor will then be active in the first agency specific (configurable) field in which the operator may key data. The operator should complete all fields using information submitted with the check, i.e. bill, form number, period being paid, etc. to facilitate the agency's internal processing. Transactions may include up to 24 Agency-defined configurable fields. Key in all necessary information and press 'Enter'.

Note: *Since configuration field requirements are established by each Agency, minimum/maximum requirements may exist for certain fields. If the operator does not satisfy those minimum/maximum field requirements, an error message will be displayed in the middle of the screen as displayed in Figure 6.33, and corrections must be made to the field before the POS will accept the transaction.*

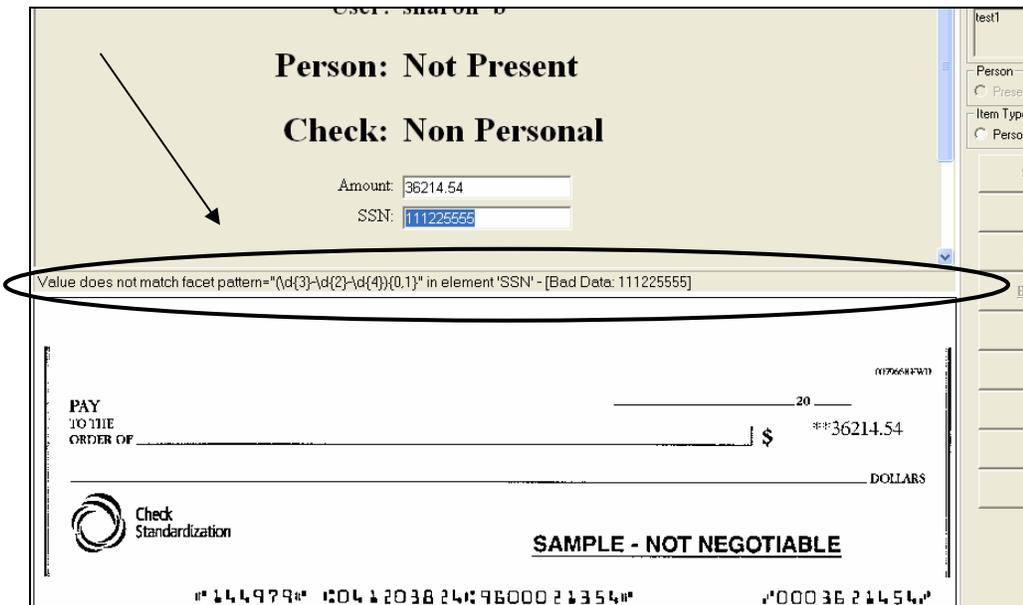


Figure 6.33

The back of the check will be displayed momentarily then the image of the next check that was scanned will appear. Repeat the data entry steps described in the previous steps until all of the checks within the batch have been input.

Each check that is processed may be hand stamped with 'Electronically processed' after the check has been scanned and the transaction is complete. Checks processed in the Person-not-present mode must be destroyed within 14 days, according to the Agency Participation Agreement. Automatic stamping (franking) **cannot** be setup to automatically stamp the front of the check in batch mode (at this time).

When the data entry for all scanned checks has been completed, the bottom of the POS screen will display, 'Please press enter to begin'. The batch can then be closed, or new items can be added to the existing batch,

Correcting the Codeline (MICR) line

If the scanner detects a problem with the MICR data, the operator will be prompted to correct the codeline. The following message is an example of the message that appears: (Figure 6.33.0). Figure 6.33.00 is an example of how a MICR code on a typical check appears. Only authorized users can perform a codeline correction.

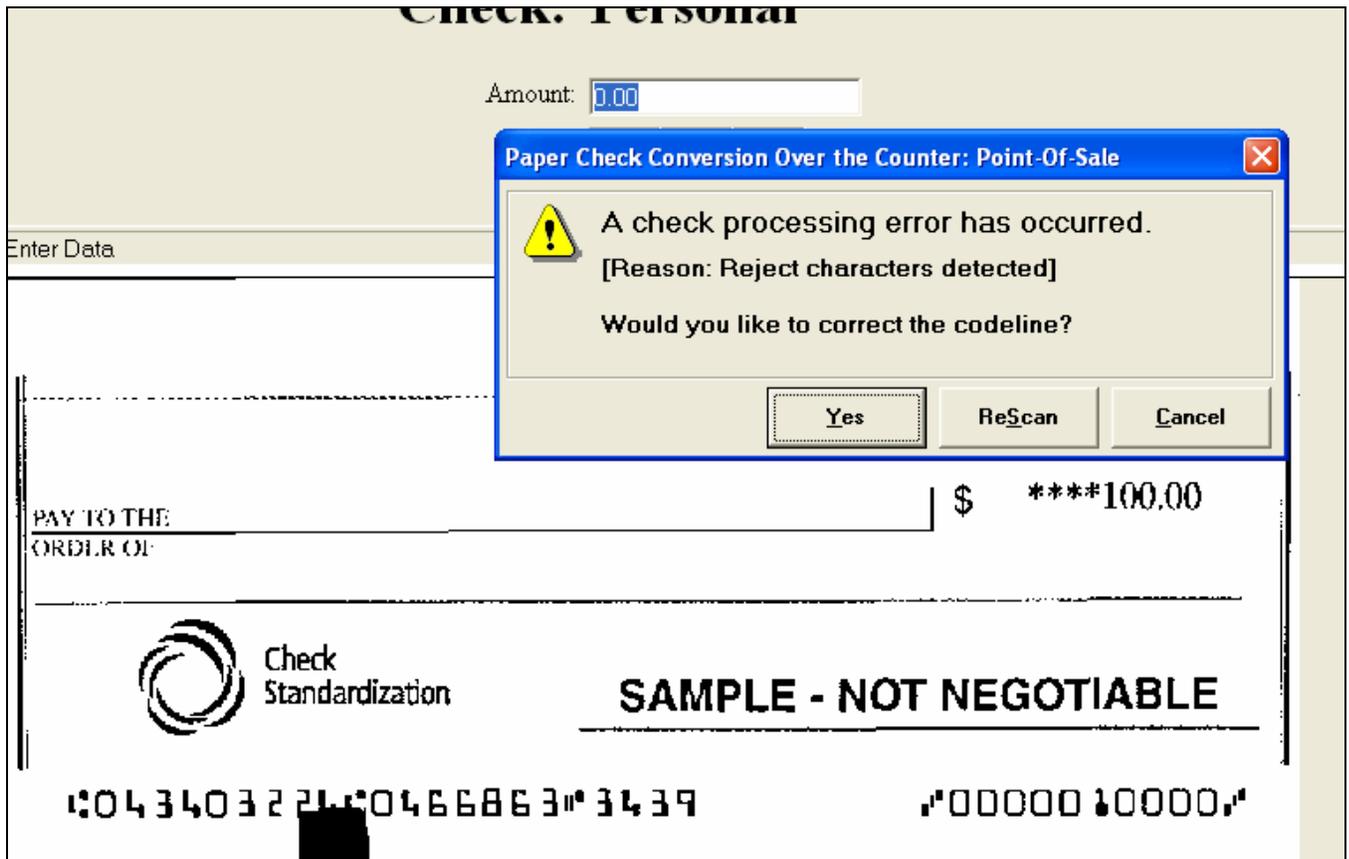


Figure 6.33.0

MICR Code Description

Figure 6.33.00 illustrates the bottom left of corner of a check, known as the MICR line, and what the numbers represent. Figure 6.33.01 illustrates what the symbols used within the MICR line represent.

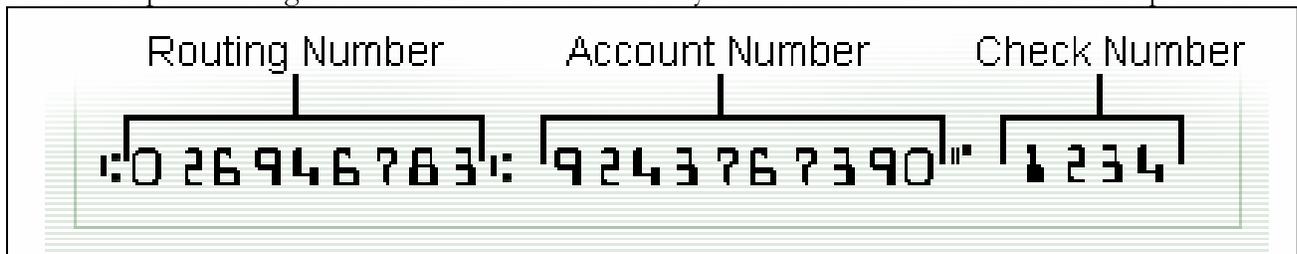


Figure 6.33.00

Code and Symbol	Description
T ■■	Beginning or ending of a transit number.
O ■■	The On-Us field contains the account number and may also contain a serial number and transaction code.
A ■■	Displays the amount of an amount-encoded check.
D ■■	Dash separates the values of the other fields.

Figure 6.33.01

When faced with a Codeline error message the user can elect to:

Click **'Yes'** to correct the codeline,

Click **'ReScan'** to rescan the check. This option would be used if the check was skewed or inserted upside down.

Click **'Cancel'** to completely cancel the transaction. The system returns to the main POS screen .

To correct the codeline:

Click **'Yes'** to correct the codeline.

The system may prompt for authorization. A user with codeline correction access will need to key in their Login and password before the system will allow the procedure to continue. The following is an example of the message that appears (Figure 6.33.01)

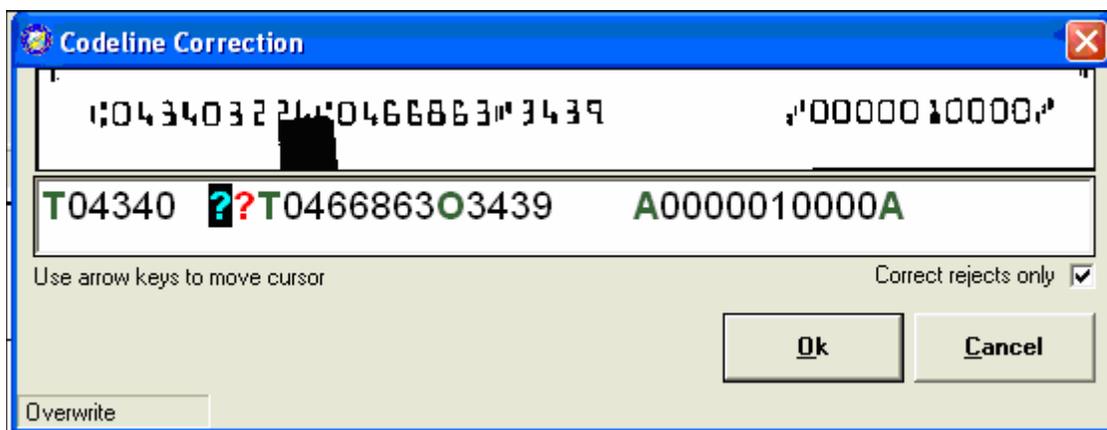


Figure 6.33.01

The line of characters at the bottom of the screen needs to be compared with the source document. In the example above, the system has rejected two characters that the scanner could not read. Those characters are represented with a question mark. By default, only the rejected characters can be corrected. If, when compared to the source document, the user agrees that only two characters need to be typed, the user can simply type the numbers as they should appear. The field is protected to allow only those characters represented by a question mark to be overwritten. If, however, the user needs to correct more in the codeline than the system has detected,

Point-Of-Sale Standard Operating Procedures

click to uncheck the 'Correct rejects only' box at the lower right of the window. This will allow additional characters to be inserted or overwritten, or extra characters to be deleted. Click anywhere in the line, press the insert key on the keyboard to insert characters. To overwrite characters, press the insert key again to turn off the insert function. When complete, click the 'OK' button. The system returns to the main POS screen with the word 'Complete' at the bottom of the screen.

Note: Caution should be used whenever a codeline correction is needed. The alpha characters within the line should not be overwritten as they represent delineation within the codeline. Mistyping of characters could result in debiting the wrong financial institution and/or customer's account, or the wrong dollar amount.

Duplicate Check Detected

While scanning checks, if a check is accidentally or intentionally scanned twice, the system will recognize the duplicate and the following warning message appears: (Figure 6.33.02)

The POS will detect duplicate checks within a current batch, or in any batch held in the Batch Manager on that POS computer. A prompt appears requesting that the operator resolve the issue. Duplicate checks are determined and detected if the MICR and the check amount match those of another check. The amount of time that a batch is stored on your PC and available for duplicate detection is configurable. Please note that duplicate check detection is PC specific. It cannot perform duplicate validation searches across other POS PC's at your location, only on the PC at which the check is being scanned.

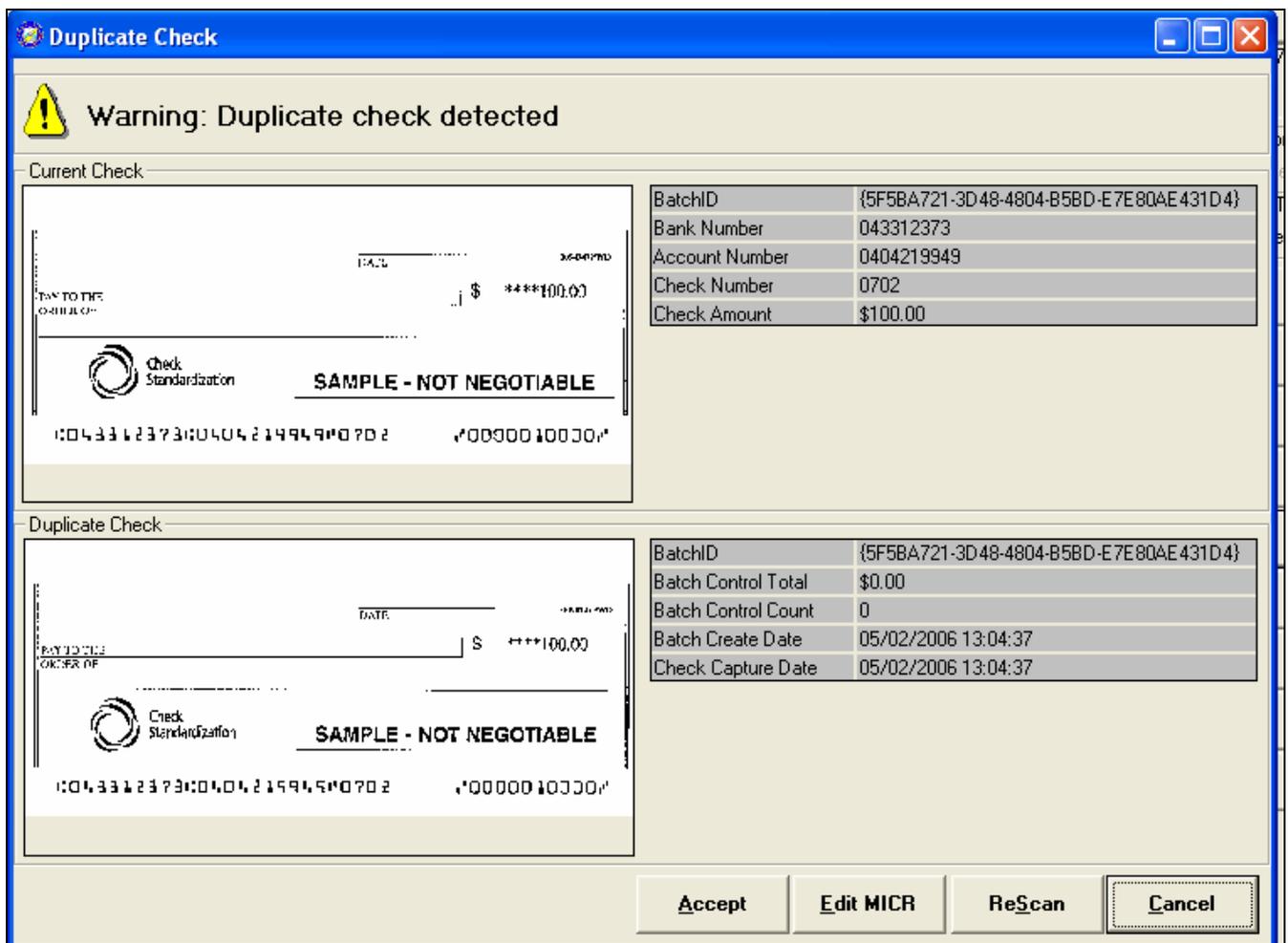


Figure 6.33.02

The user has a number of options that can be followed.

If the check was accidentally duplicated in error, simply click the **'Cancel'** button. The screen will return to the Main POS screen. Click on the 'Cancel' button on the right side of the screen. The message, "Cancel transaction.

Point-Of-Sale Standard Operating Procedures

Are you sure?” Click the **‘Yes’** button. The screen returns to the point where the user can press Enter to scan another check.

If the MICR line was misread by the scanner leading the system to believe that the check is a duplicate, it can be edited. To determine if the MICR line was misread, compare the two images in the window. The top image depicts the current check, and the bottom image depicts the most recently scanned check that is being deemed a duplicate by the system. Also compare the MICR line on the bottom check with the source document. If it has been determined to be a misread of the MICR line that needs to be corrected, click the ‘Edit MICR’ button at the bottom of the window. The following window will appear (Figure 6.33.03)

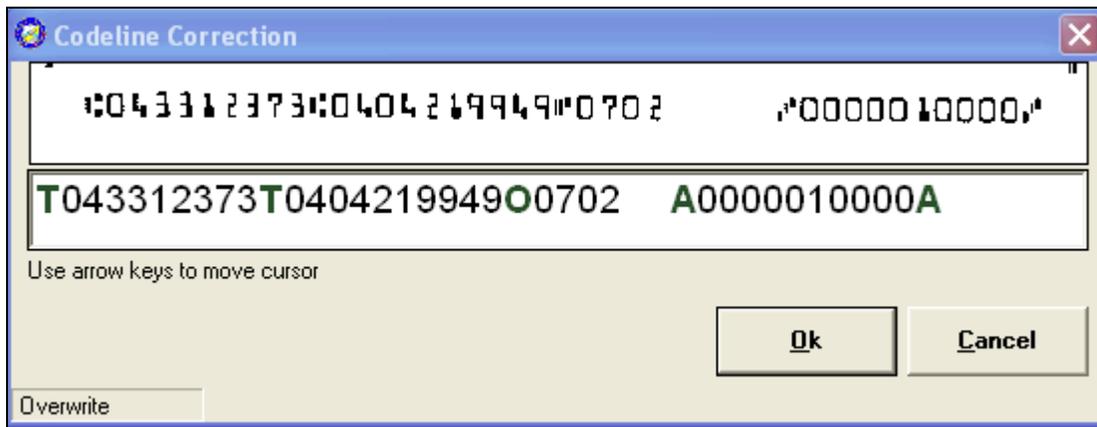


Figure 6.33.03

The cursor will be at the end of the line on the bottom. That is the editable line. A compare of what was read by the scanner is displayed in the top line. Click on the number(s) that need to be edited and type the corrected number. Accuracy is of the utmost importance. Double check to make sure that you are typing the correct number and you have not left behind extra numbers. When finished, click the ‘OK’ button. The POS Data entry screen appears for the user to type the dollar amount and configuration fields to complete the transaction.

The next option is to click the **‘ReScan’** button to rescan the check. This option is not available for Person Not Present batch mode.

The last option is to accept the check as it is and continue processing. This is done by clicking on the ‘Accept’ button.

Image Quality

Image quality tests are performed on each check, as soon as the check is captured and the image is available. If a check passes the image quality tests, item processing continues. If the check fails the image quality tests, the following message is displayed: (Figure 6.33.04)

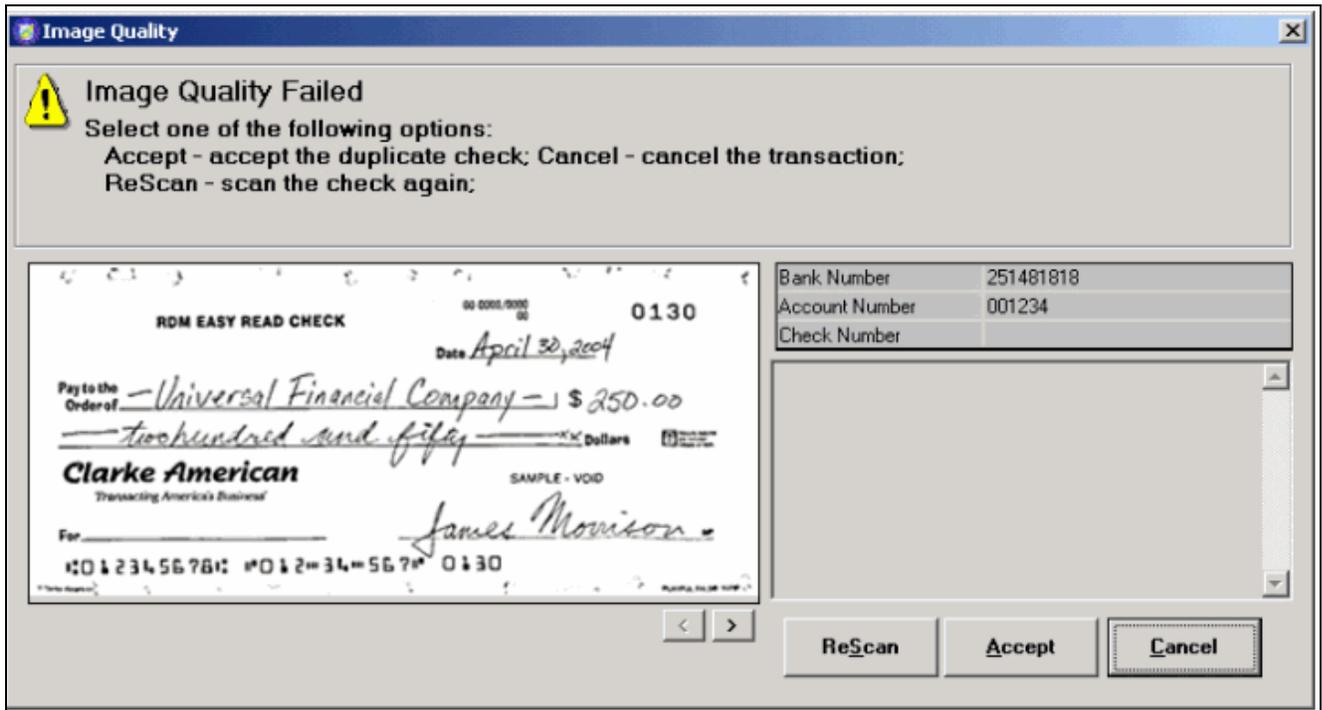


Figure 6.33.04

When prompted with an 'Image Quality Failed' message, the user can:

Click the **'ReScan'** button to rescan the check. If it still does not accept the check, it is recommended that the operator click 'Cancel' and attempt to rescan two more times before using your contingency processing procedure. The rescan option is not available in 'Person not Present' batch processing.

Click the **'Accept'** button to accept the check as-is and continue processing. Caution should be used whenever choosing this option – see the box below.

Note: *It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that will be submitted to the payor bank for collection. It will also be stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on your behalf with the image that has been submitted, the debit will go back to your agency and collection will become your responsibility.*

Click the **'Cancel'** button to cancel the transaction.

How to Cancel a Check

At any point during the processing of an item, the transaction can be cancelled prior to pressing the ENTER key to process the transaction. Checks are cancelled after a check or checks have been scanned and data entry is about to take place for that item. Just prior to pressing Enter, click the **'Cancel'** button, as displayed in Figure 6.33.1. The system will prompt with the message, "Cancel transaction. Are you sure?" Click the **'Yes'** button to cancel the item.

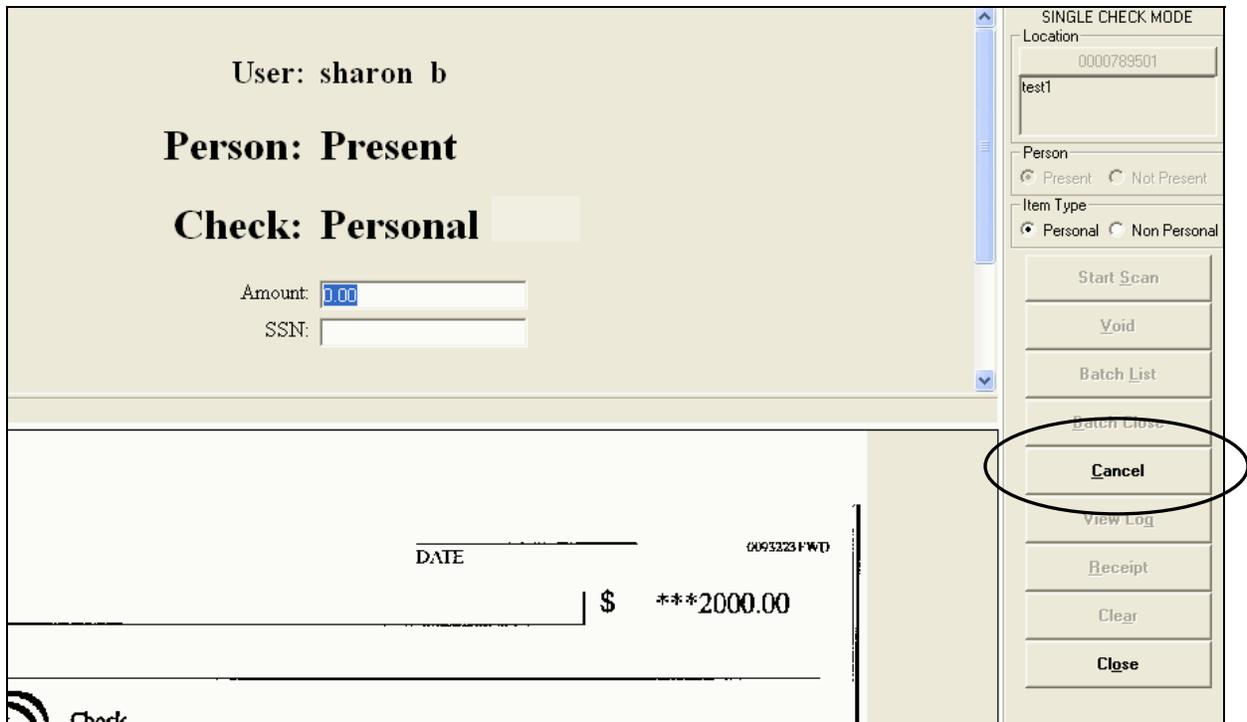


Figure 6.33.1

If the check has already been assigned a transaction number (found at the bottom of the screen) it has been entered into a batch, and can no longer be cancelled by using the 'Cancel' button. Instead, a void would need to be performed. Please refer to 'How to Void an Item' in this chapter of the SOP.

Print Receipt

In order to use this function, receipts need to be set up for your Agency similar to the data entry screens. If your Agency is interested in using the receipt functionality, please contact the PCC OTC Customer Service staff at FRB-C. An example of your receipt layout will need to be provided for configuration purposes.

The receipt functionality must also be activated within the SAT configuration settings. For complete information, see the SAT chapter, *Configuration Settings* section of this SOP.

A receipt can be printed on the POS then handed to or mailed to the customer. It must be printed prior to closing the batch.

During the transaction, the operator can print the receipt by clicking the **'Receipt'** button prior to pressing the 'Enter' key to begin the next transaction. A receipt can only be printed at the end of the transaction, prior to scanning the next item. If the operator inadvertently begins the next transaction without printing the receipt, it can still be printed from the 'Batch List', Show Items' option. For details on how to use this function, refer to the *Print Receipt using the Show Items* option section of this chapter.

To print a receipt in single mode:

Scan the check and input the pertinent details.

Scan the back of the check (if using an EC5000i or EC6000i scanner)

The bottom of the screen will say, "Please press enter to begin". Do not press Enter.

Click the **'Receipt'** button (Figure 6.33.2)

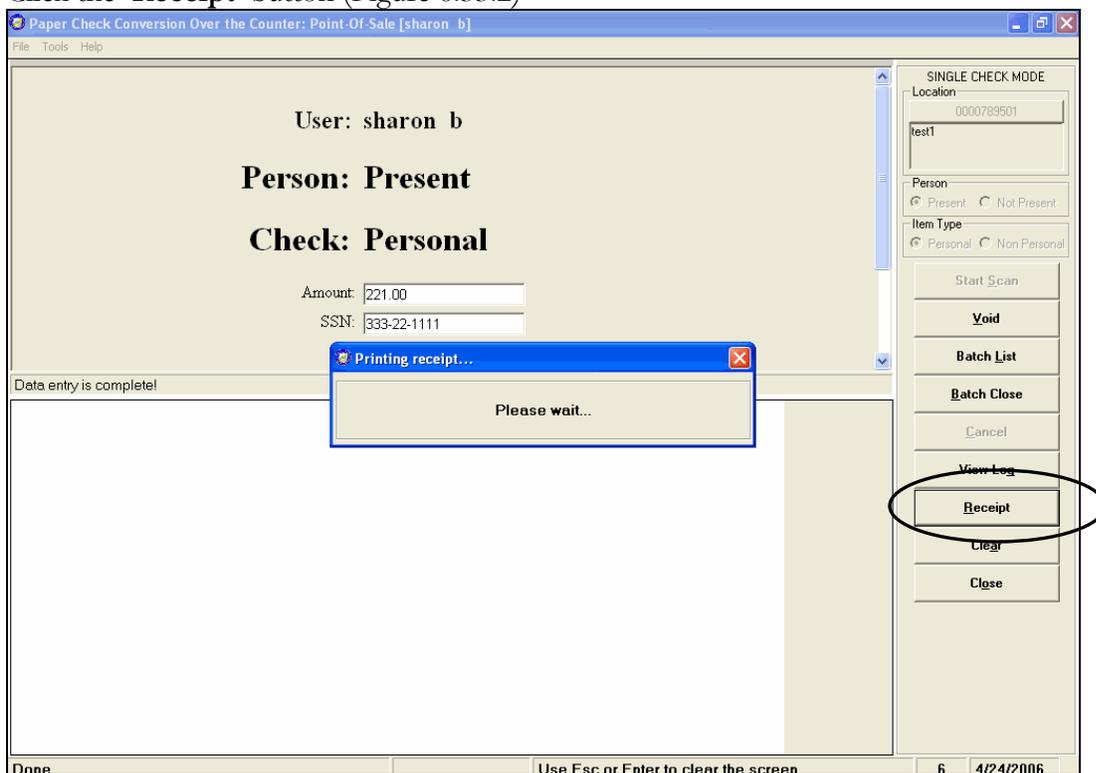


Figure 6.33.2

The system responds with, 'Please wait' and the receipt is printed to the default POS printer.

To print a receipt in batch mode:

Scan all the checks in the batch and input the pertinent details.

Scan the back of the checks (if using the EC6000i scanner)

The bottom of the screen will say, "Please press enter to begin". Do not press Enter.

Click the **'Receipt'** button (See Figure 6.33.2)

The system responds with, 'Please wait' and the receipt is printed to the default POS printer.

Print Receipt using Show Item

The ‘Show Item’ option allows the operator to view an item that has already been scanned into the system. The ‘Show Item’ option also allows the operator to print a receipt for the customer. This option can be used in the event that there was a problem with the receipt that was printed at the time the item was scanned.

To print the receipt using the ‘Show Item’ option:

From the main POS window click the ‘Batch List’ button.

The batch list window will display a single line that represents the batch. Click the  button to expand the view of the batch to include all items.

Click to highlight the item for which the receipt is to be printed, then click the ‘Show Item’ button (Figure 6.33.3)

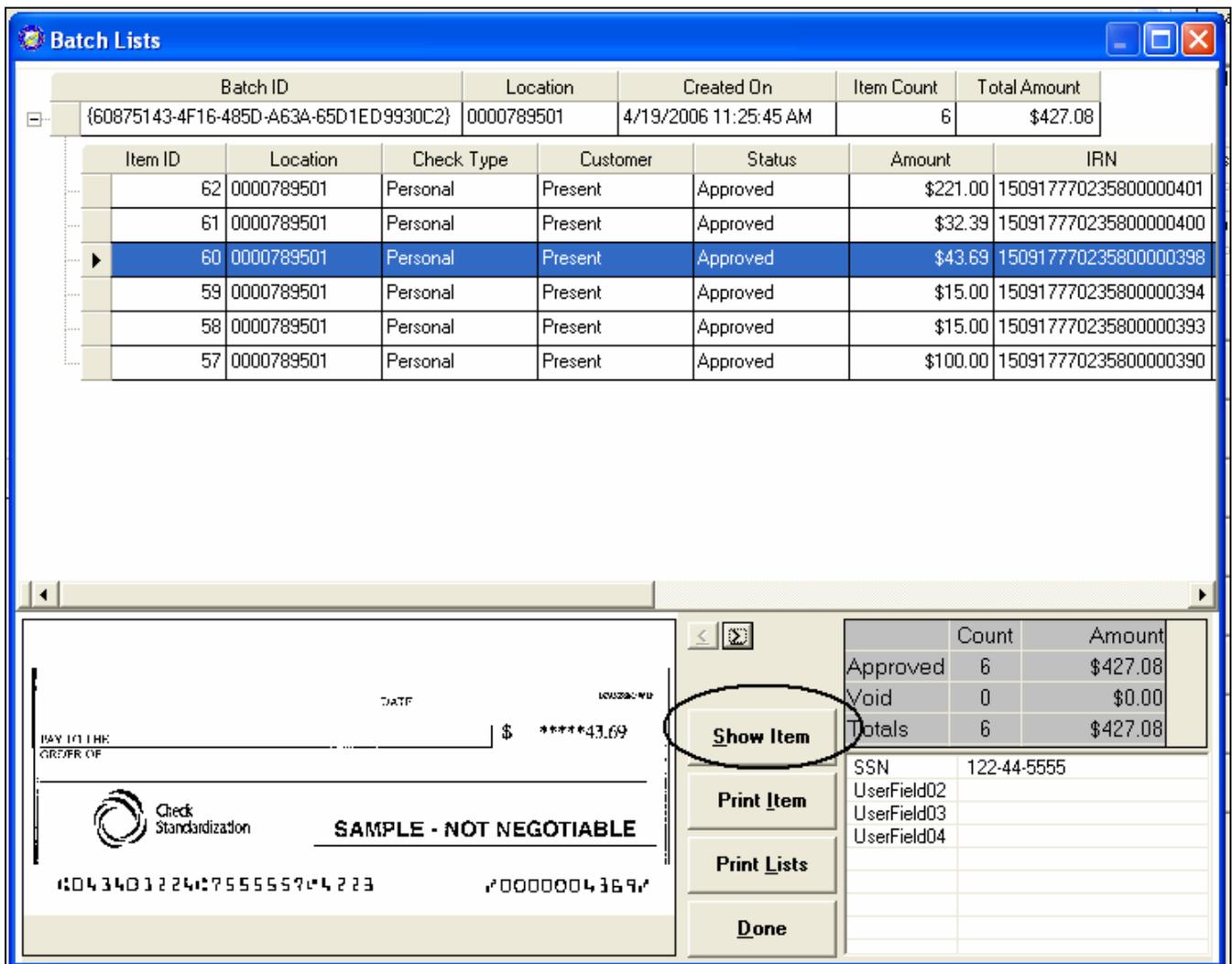


Figure 6.33.3

Point-Of-Sale Standard Operating Procedures

The following window appears: (Figure 6.34)

The screenshot shows a software window titled "Navigate Items". The window is divided into several sections:

- Header:** "User: sharon b", "Customer: Present", "Check: Personal". On the left is a circular logo for the Treasury Financial Management System.
- Check Preview (Center):** A large area showing a check image. The text on the check includes "DATE", "0093238 FWD", "PAY TO THE ORDER OF", "\$ *****15.00", "Check Standardization", and "SAMPLE - NOT NEGOTIABLE". At the bottom of the check image is a MICR line: "⑆0433⑆2373⑆0⑆04220⑆163⑆⑆1193⑆ ⑆000000⑆1500⑆".
- Metadata Panel (Right):** A vertical list of fields:
 - IRN: 150917770235800000393
 - Status: Approved
 - Capture Date: 04/19/2006 12:58:41 PM
 - Account Number: 0104220163
 - Bank Number: 043312373
 - Check Number: 1193
 - Check Type: Personal
- Navigation (Bottom Right):** Buttons for "< Previous", "Next >", "Receipt", and "Close". A "1 of 2" indicator is also present.

Figure 6.34

The upper right section of the screen shows details that are pertinent to this item, the lower left displays the image of the check, and the lower right of the screen allows the operator to scroll through all items one at a time using the 'Previous' and 'Next' buttons (Figure 6.34). The left/right arrows button to the left of the 'Close' button are used to switch the view from the front to the back of the check, and the 'Close' button will close the window and return to the batch list window.

Note: *The image of the check can be resized by hovering the cursor over the area shown in Figure 6.32.1 until you see the double arrow cursor \updownarrow . Click and drag up or down to resize the image.*

To print the receipt, click the 'Receipt' button.

A preview of the receipt appears on the screen allowing the operator to view, zoom, page, and print (Figure 6.35).

Maximize the size of the screen by clicking on the  maximize button. To print the receipt, click the printer icon button  at the upper left of the window, or click 'File', 'Print' from the menu at the top of the screen. Using the print dialog box, the operator can choose specific settings for the pages, or choose an alternate printer.

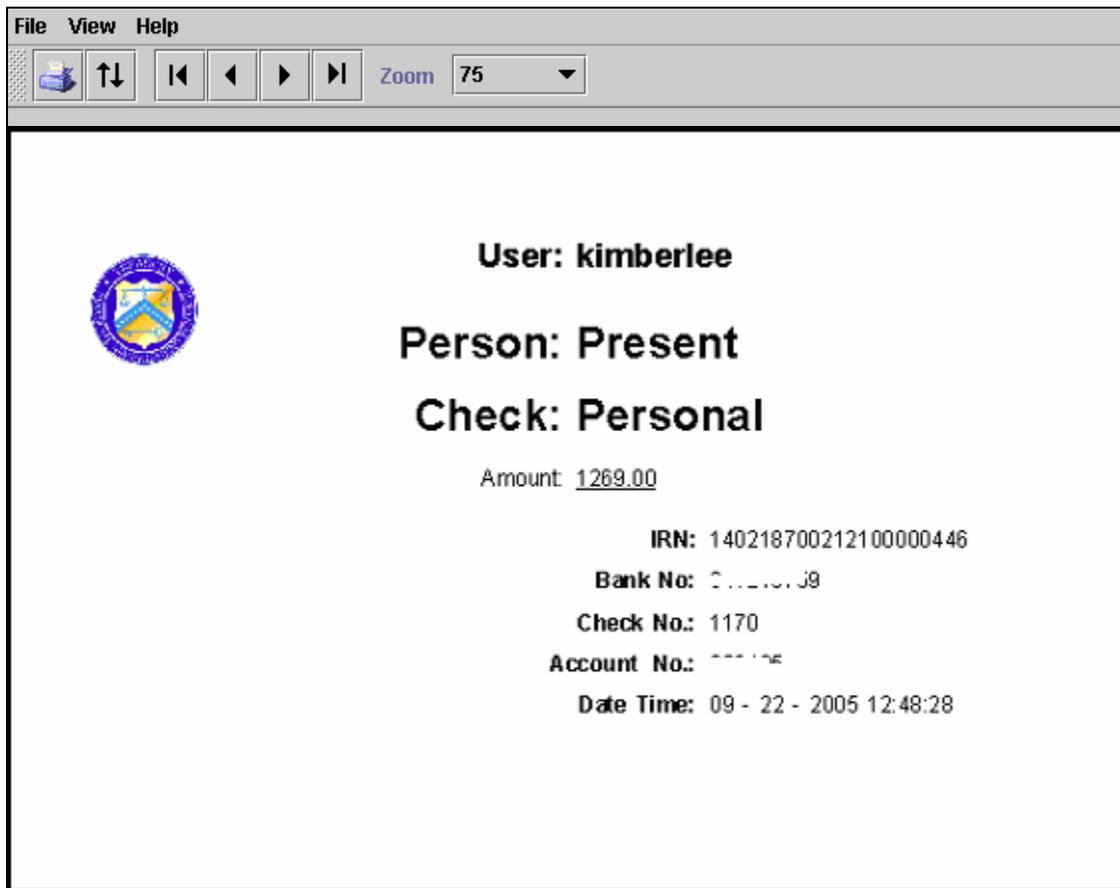


Figure 6.35

When finished, click the **'X'** at the upper right of the preview window.
Click the **'Close'** button to close the 'Show Item' window. This will return the screen to the Batch List Window.
Click **'Done'** to close the Batch List Window.

How to Void an Item

Transactions may need to be voided for various reasons. As long as the batch has not been closed, items within a batch can be voided. This can be done either in the POS or Batch Manager. For information on using Batch Manager to void an item, please refer to the *Batch Manager* chapter of this SOP. The void feature can be initiated by the operator; however, supervisory users may need to approve or complete the transaction with a description on why the item was voided.

To void a check:

In order to void the completed transaction, the check writer must provide the operator with the physical check that was scanned.

Click the **'Void'** button from the main POS screen. A 'Void Item' window will appear (Figure 6.36). Click the '+' on the left side (circled) to expand the view and see all details of the items within the batch (Figure 6.37)

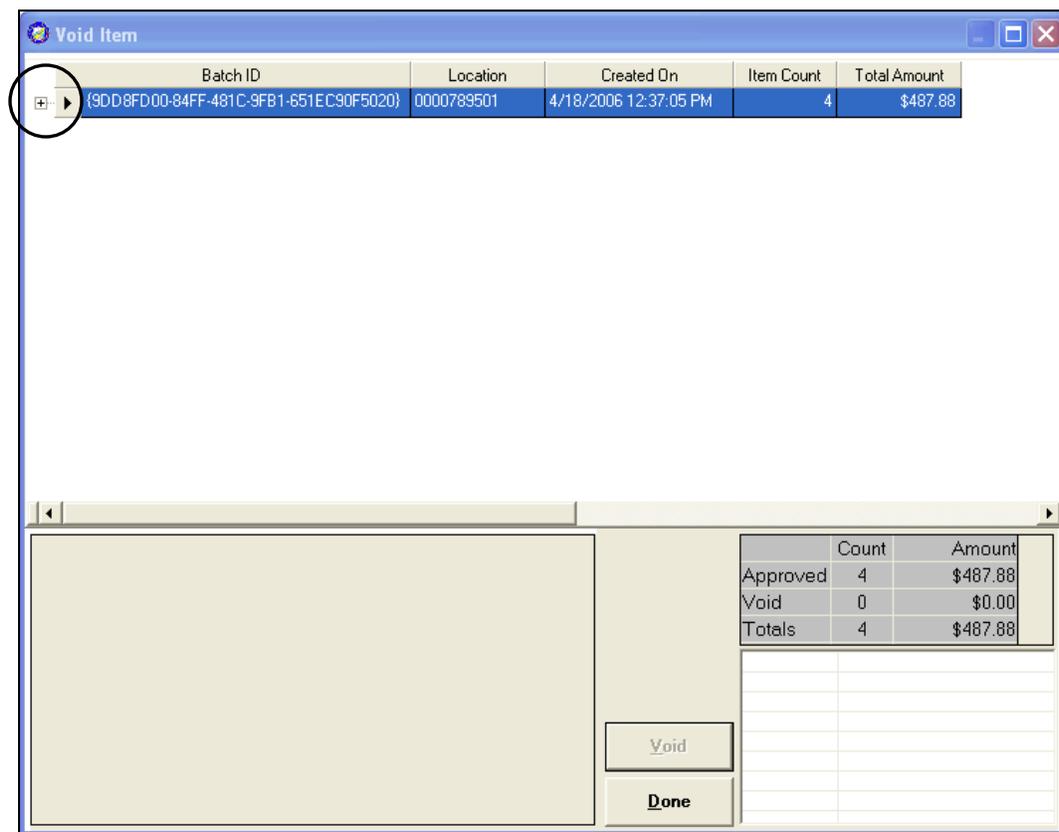


Figure 6.36

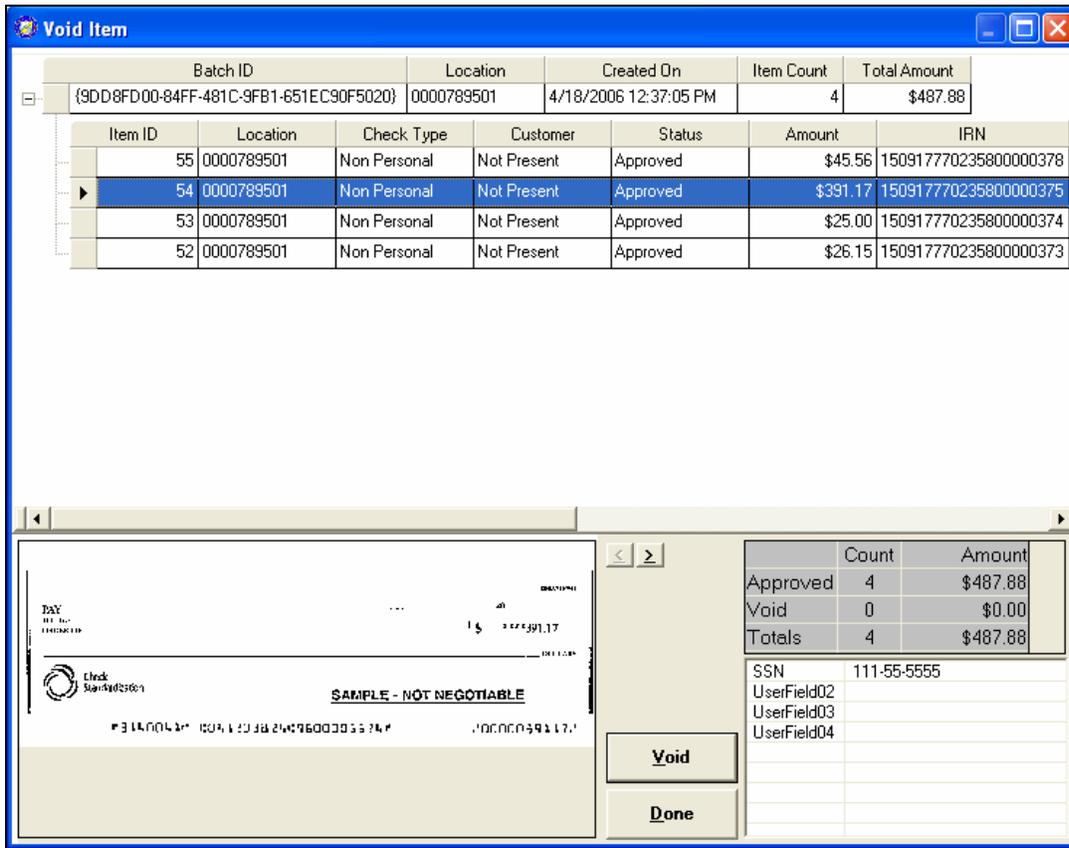


Figure 6.37

Click to highlight the item that needs to be voided then click the **'Void'** button at the bottom of the window. A confirmation window will appear asking you 'Are you sure?' (Figure 6.38)

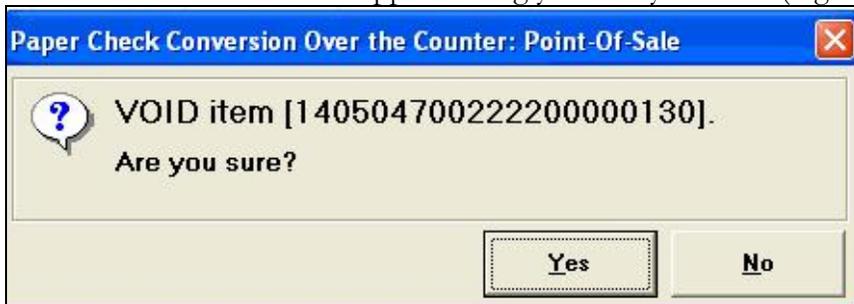


Figure 6.38

If you select 'Yes', an authorized user's login and password may be required to approve the void. The authorized user will be prompted to enter comments regarding the void request. Key in the void comments and click the **'Ok'** button. (Figure 6.39) The comment that is typed into the window will also appear in the audit log.



Figure 6.39

A confirmation window appears stating the 'Void' process was successful. (Figure 6.39.1)

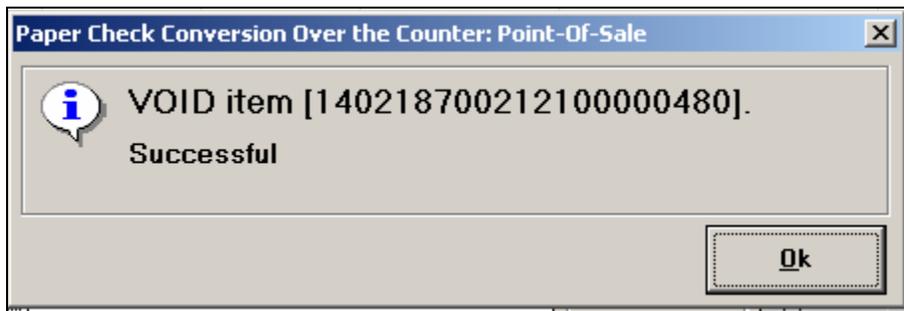


Figure 6.39.1

Once the item is voided it will continue to be displayed in both the Batch list and Batch close screens marked with a status 'Void' (Figure 6.39.2) until that batch has been closed and transmitted. If funds have already been given to a customer, the funds must be returned to the operator when a check is voided. The operator must stamp or write on the physical check with 'VOID: Non-negotiated item'. The operator can return the check to the person.

Click **'OK'**. The screen will return to the Void Item window. When finished voiding all items, click **'Done'** to return to the Main POS screen.

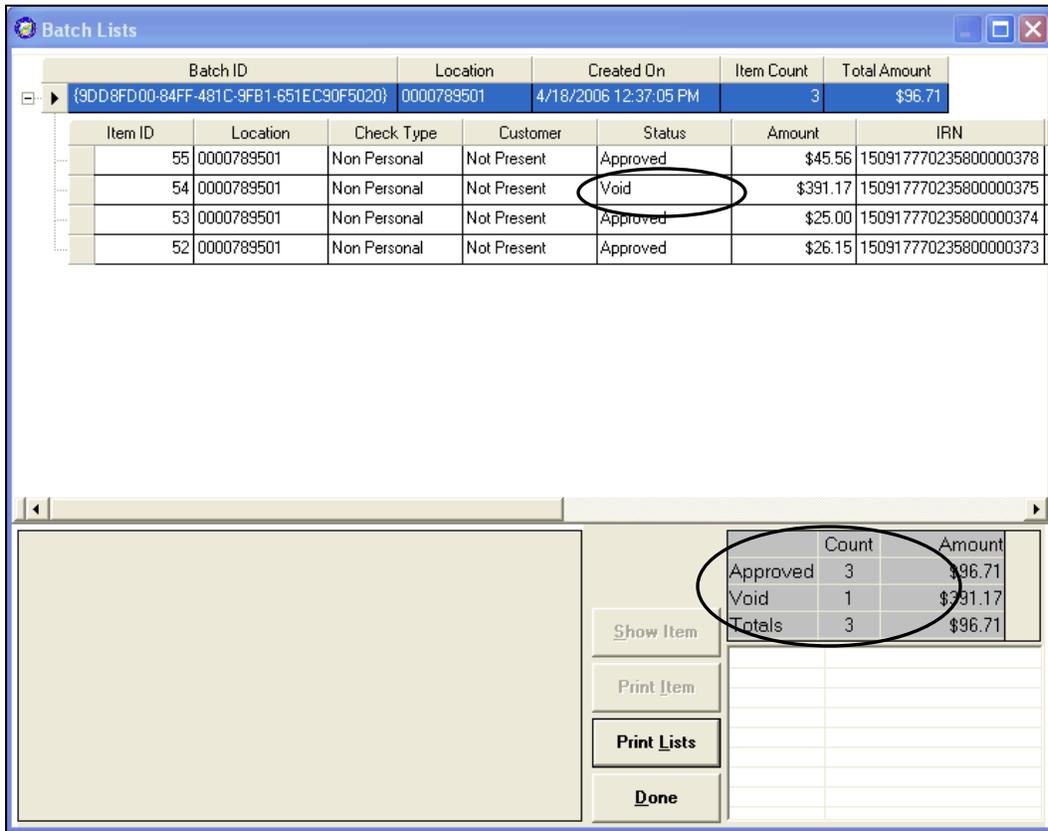


Figure 6.39.2

Going back to step 5 in the void item process, if 'No' is selected at the 'Are you sure?' prompt to void the item, the window closes and returns to the 'Void Item' window.

Once you have finished, click **'Done'**. This will close the Void window and return to the Main POS screen.

Voiding a check results in an event noted in the activity log, indicating that a particular check has been voided. Voided items are not transmitted to the Central Image Retrieval Archive (CIRA) for long-term storage. Only approved items are transmitted.

How to View & Print a Batch List and Batch Items

A Batch List consists of all transactions that have been processed by the POS, but not yet sent to ELVIS for processing. The printing of a batch list is part of the batch close procedure. During Batch close, the system will prompt to make certain that you acknowledge the printout of the batch list but it cannot force the user to print the batch. Be aware that a batch list printout will no longer be an available option once the batch has been closed. The Batch Close process collects the information for all transactions and transmits them to ELVIS for processing. The batch list must be printed prior to or during the Batch Close process.

To view a current 'Batch List' click the **'Batch List'** button from the Main POS Window. To view all items within the batch, click the '+' button (circled) (Figure 6.40) on the left side of the screen to expand the view as displayed in Figure 6.40.1).

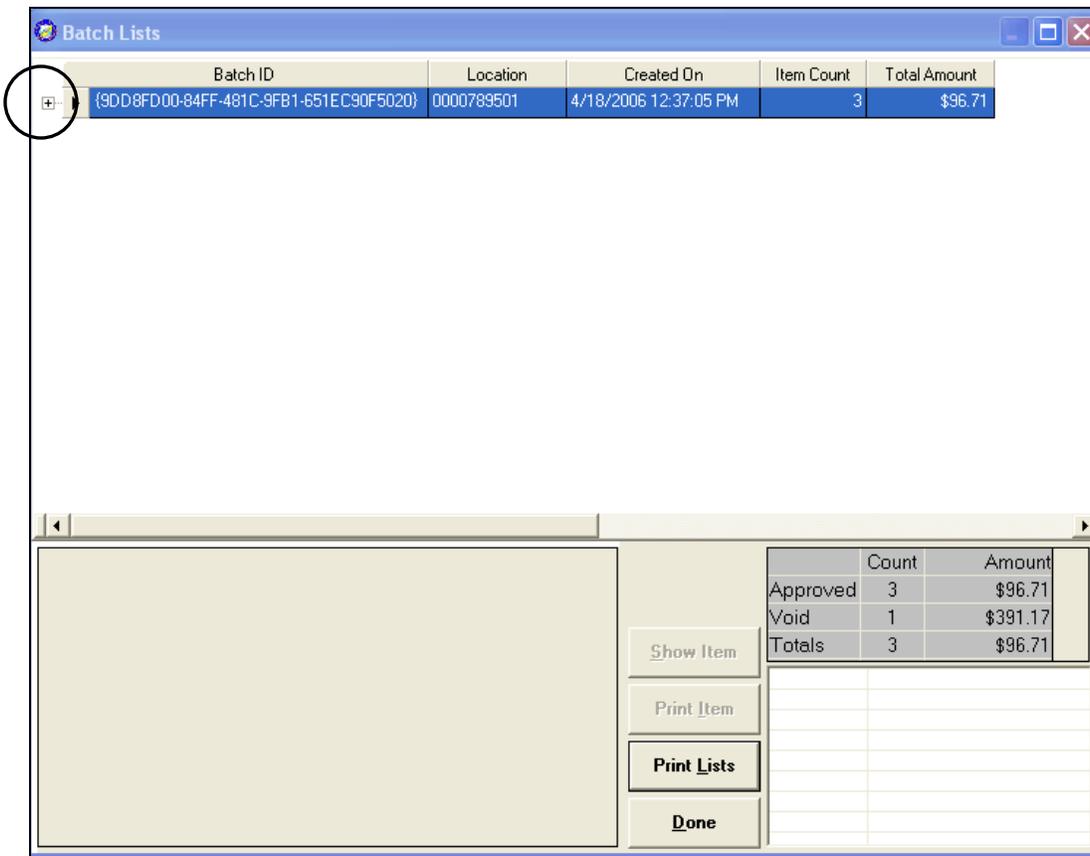


Figure 6.40

The Batch list allows a user to scroll through and view each item by clicking to highlight the item. (Figure 6.40.1) An authorized user may view the batch list at any time prior to Batch close.

Note: *If changes need to be made to the dollar amount or any of the configurable fields, this can be done using Batch Manager prior to transmitting the batch. For more information, please see the Batch Manager chapter of this SOP.*

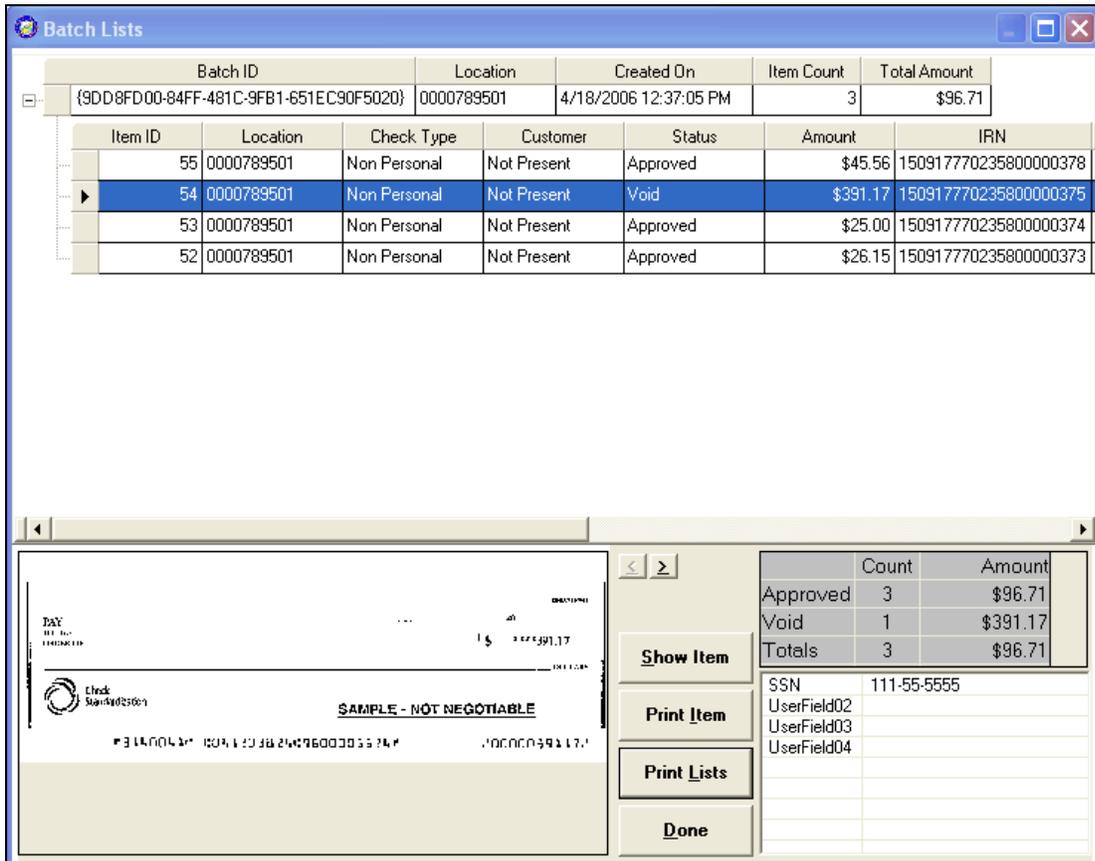


Figure 6.40.1

Columns within the batch list can be sorted by clicking the preferred column heading. Sorting by the IRN will put the items in the order they were input. When the column heading is clicked, an up arrow appears in the column (Figure 6.41) indicating the sort is ascending. Clicking again will change the arrow to the down position which indicates that the sort order is descending (Figure 6.42)

Amount	
\$25.00	15
\$26.15	15
\$45.56	15
\$391.17	15

Figure 6.41

Amount	
\$391.17	15
\$45.56	15
\$26.15	15
\$25.00	15

Figure 6.42

At the bottom of the Batch List screen is a summary box just the right of the check image. This box contains the following information:

Point-Of-Sale Standard Operating Procedures

Approved – The number and dollar amount of successful check transactions within the batch.

Void – The number and dollar amount of voided items within the batch.

Total – Total 'approved' count and dollar amount.

Users can print a selected item by clicking on the 'Print Item' button or the entire list of items in the batch by clicking on the 'Print Lists' button.

To print an item, click to highlight the item, then click the **'Print Item'** button. A preview window will appear in which you can view, zoom, page scroll, search text, and print the item using the buttons at the top of the page (Figure 6.43).

Report Preview

File View

1 / 1 100%

Item Detail

Batch : {9DD8FD00-84FF-481C-9FB1-651EC90F5020}

Date: 04/18/2006 1:53:29 PM

Printed By: sharon b

ALC: 0000789501

Person: Not 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
V	N	150917770235800000375	04/18/2006 12:40:20 PM	041203824	9600003324	03140041	\$391.17	SSN : 111-55-5555 UserField02 : UserField03 : UserField04 :

Front of Check

PAY TO THE ORDER OF _____ \$ ****391.17

Check Standardization

SAMPLE - NOT NEGOTIABLE

3140041# 041203824#9600003324# 0000039117#

Back of Check

0110659512
0410-0001-4
020820080012
ENT-2257 TRC-2257 PK=03
11282005
ENT-2257 TRC-2257 PK=01

Figure 6.43

To print the item, select the printer icon  at the top left corner. Once complete, the application returns to the 'Batch List' window.

To print the Batch List click **'Print Lists'** button from the Batch List window. A preview window will appear in which you can view, zoom, page scroll, search text, and print the Batch List using the buttons at the top of the page. (Figure 6.43.1)

Batch Close

Very Important Note: THE OPERATOR MUST BALANCE BEFORE CLOSING A BATCH. Balance to the list of transactions accepted for the day or since the last batch was closed. Each Agency has a variety of transactions. We strongly recommend reconciling against the source documents if transactions are payments. If the transactions are check cashing, we recommend that you balance the cash before you close the batch.

The Batch Close process should be performed at either the end of a day, shift, or whenever a location desires. Operators must balance their activity using the batch list before closing and transmitting their batch.

Closing a batch will transmit checks to ELVIS for archiving and begin the electronic processing. Only items that properly reflect processed transactions should be transmitted.

Note: When an operator closes and transmits a batch, only the batch owned by that operator will be closed and transmitted. Each operator is responsible to close and transmit their own batch(es). If an operator should be called away prior to closing their batch, an authorized person can close that batch using the Batch Manager module. For more information, refer to the Batch Manager chapter of this SOP.

To Perform a Batch Close:

1. Click the 'Batch Close' button from the Main POS Window.

Note: If an operator logs out of the POS prior to closing their batch, they will be prompted with the following message on their next sign in: (Figure 6.44) The operator can click 'Yes' to continue with the batch and scan more items. Clicking 'No' will allow the operator to close the batch. A prompt will appear asking if they wish to close the batch. Click 'OK' to begin the batch close process.

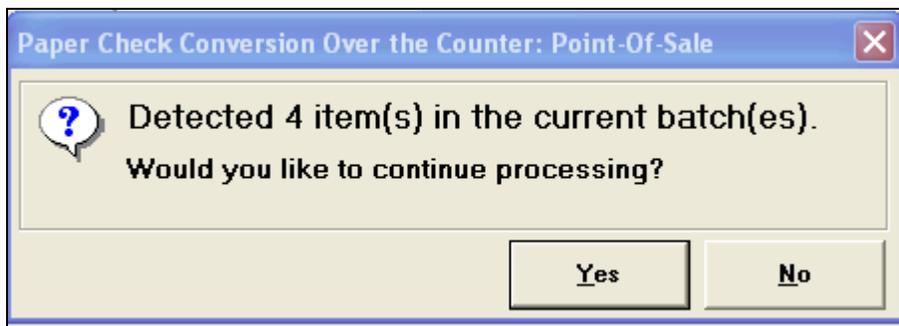


Figure 6.44

2. A 'Batch List' window will appear (Figure 6.45). Click the '+' button to show all of the items that have been scanned into the POS computer for that batch (Figure 6.46). Clicking on each item in the upper window will display that item's image in the lower left portion of the window. The lower right side of the window displays the item count and dollar amount of the approved and voided items as well as total count and dollar amounts.

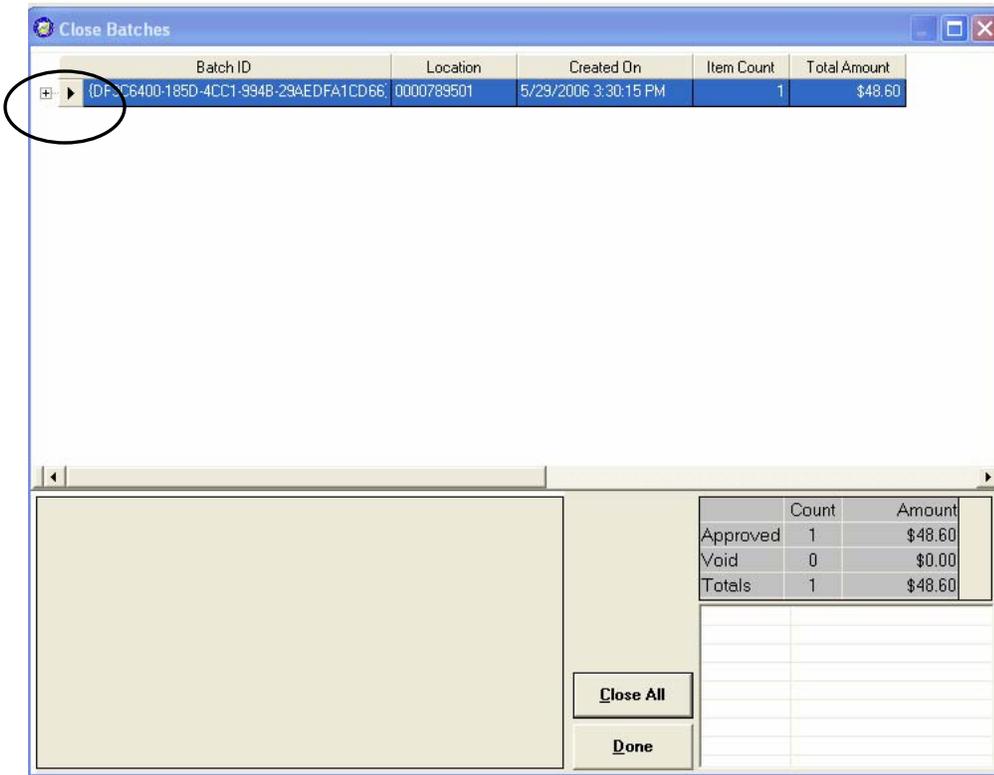


Figure 6.45

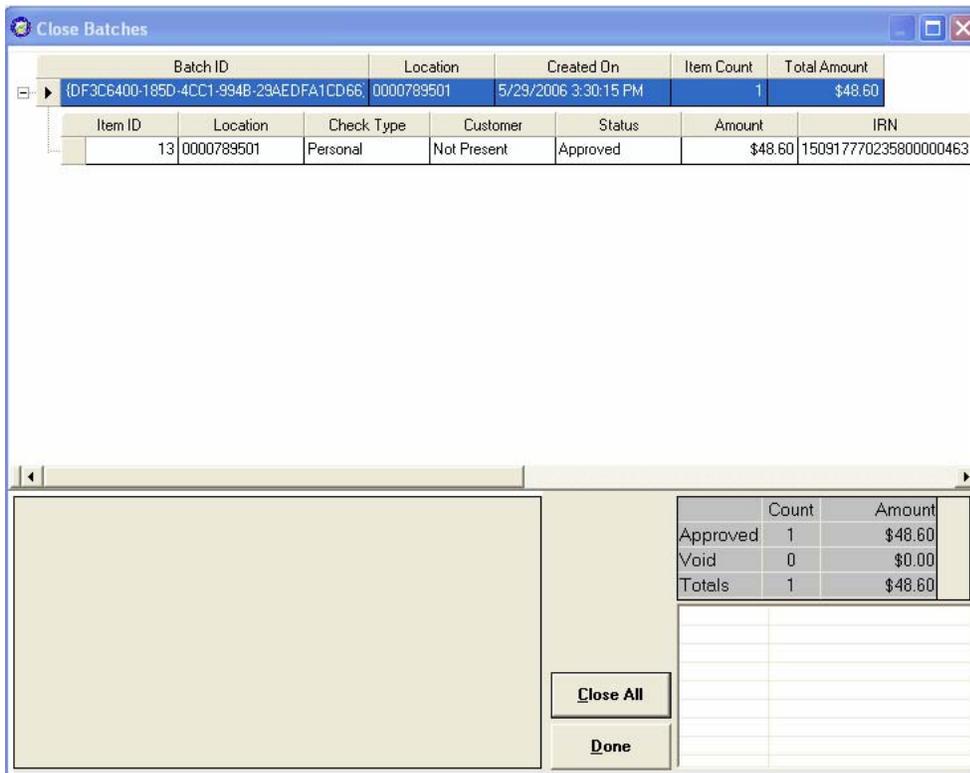


Figure 6.46

Point-Of-Sale Standard Operating Procedures

3. Click the **'Close All'** button at the bottom of the window to close the batch. The following prompt will appear: (Figure 6.47)

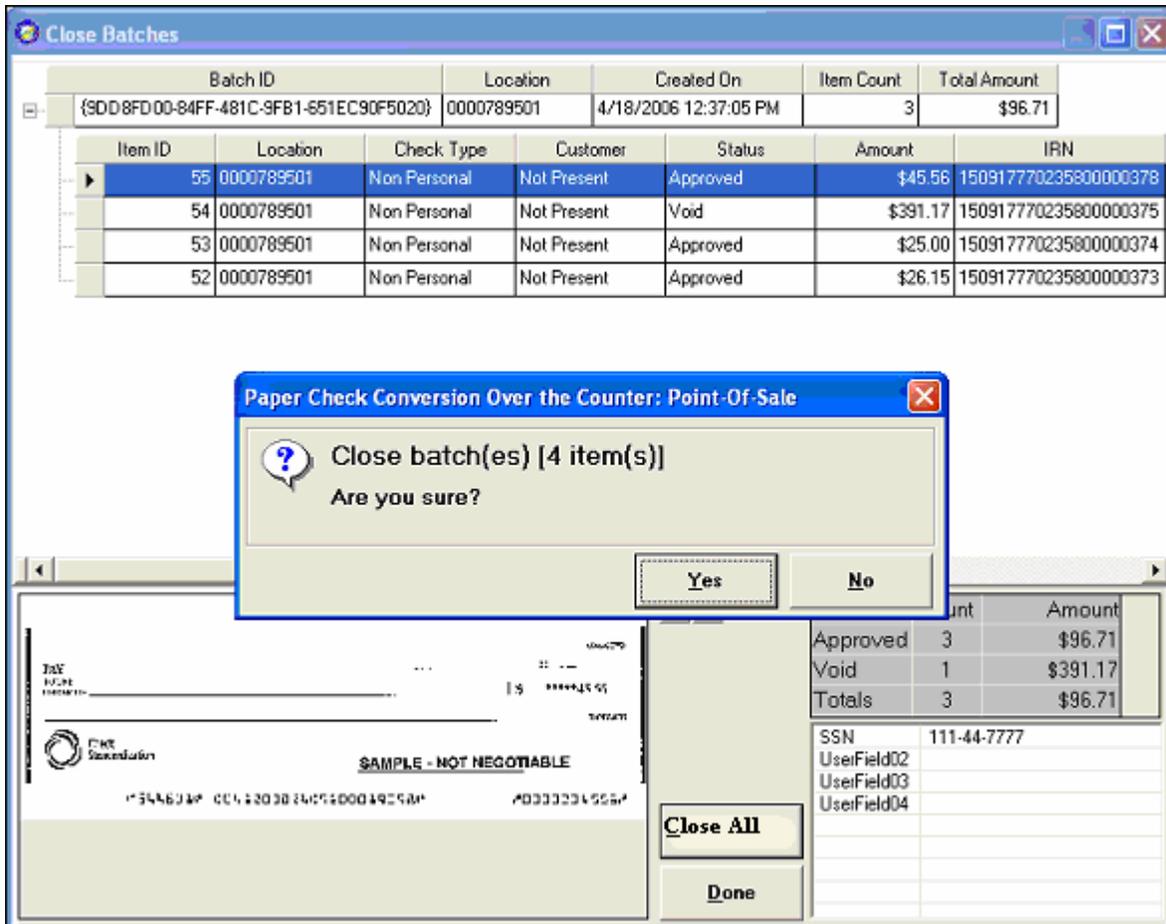


Figure 6.47

4. If you click **'No'** the screen will return to the batch list window.
5. If you click **'Yes'** a preview window will appear in which you can view, zoom, page scroll, search text, and print the Batch List by using the buttons at the top of the screen. (Figure 6.48). The batch list **must** be printed at this time. To print, click on the printer icon button  at the upper left of the screen, or click **'File', 'Print'** from the menu at the top of the screen. The operator can also click **'File', 'Print Setup'** to choose specific settings for the pages, or to choose an alternate printer. A 'Print' dialog window appears displaying the default printer and various other settings. Click the 'Print' button.

Point-Of-Sale Standard Operating Procedures



Figure 6.49

The batch will be transmitted to ELVIS. (Figure 6.50 & 5.51)

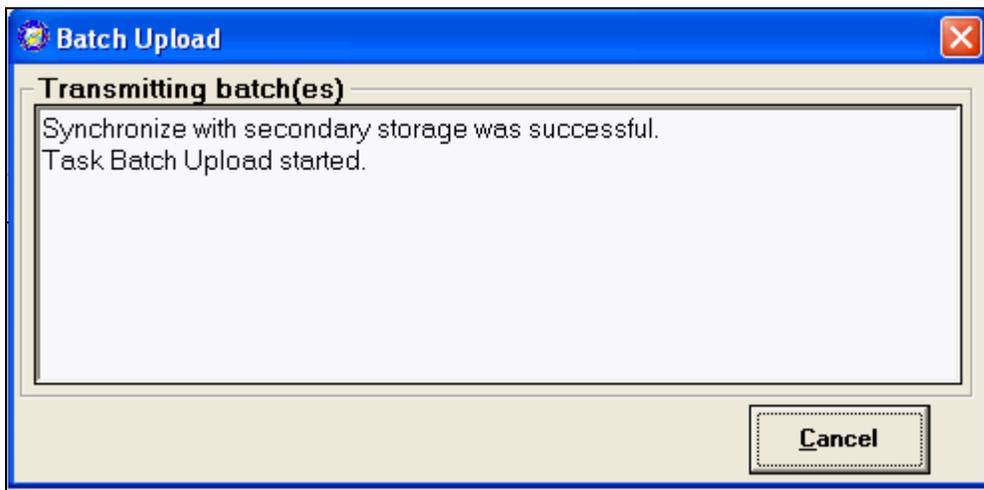


Figure 6.50

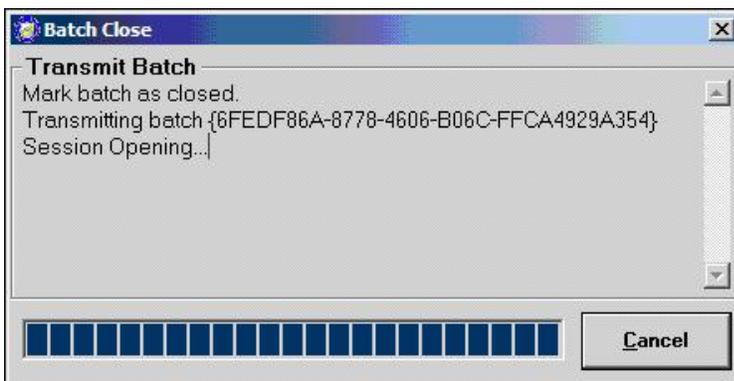


Figure 6.51

Users should be certain that they receive their 'batch acknowledgement'. The receipt of the 'Batch Acknowledgment' ensures that your batch has been successfully processed and will appear on the SF215 Deposit Ticket Report. Batch Acknowledgments are displayed on your screen once the batch has been successfully transmitted. (See Figure 6.52) Batch acknowledgments are usually received during the same batch transmission but large batches may take longer to process. If you do not receive your batch acknowledgment, look for it to come in with the next login to the POS.

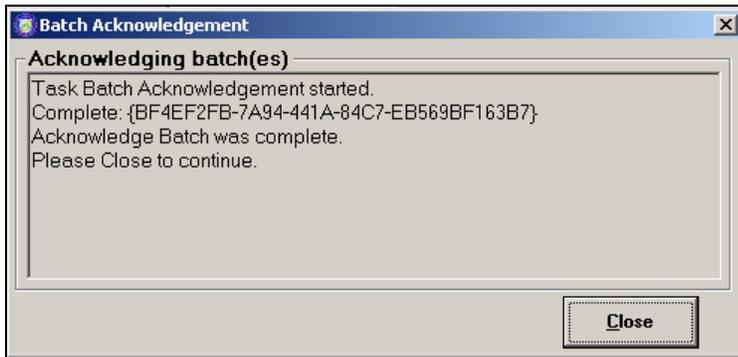


Figure 6.52

On successful completion the batch list will be deleted. Click the **'Close'** button.

If the agency utilizes the Check Verification Database, the LVD is defaulted to automatically update during the batch close process. Once a batch has been closed successfully, the current session ends and the application will delete expired LVD records and new LVD records are received. At this point the user will be prompted to login to the POS to begin a new session, or cancel to exit the POS. The Login window appears automatically.

The inability to close a batch may be due to a variety of reasons, including connectivity problems. If an error message is received, print or note the error message and refer to the Troubleshooting chapter of this SOP. The error message will also display on the activity log. Click 'Done'.

NOTE: Currently, transactions received before 9:30 p.m. EST will be reflected on the next day's deposit SF215. Batches should be closed and transmitted on the same business day on which the activity occurred in order to reflect on your SF215. We recommend reviewing Batch Manager on each POS computer to check the status of created batches. If batch status's within Batch Manager show them to be successfully transmitted, you can be certain that the funds will be included on the next day's SF215 report.

NOTE: Checks processed after an unsuccessful 'Batch Close' will be added to the current batch until the Batch Close process is successfully completed (provided all batches have been entered by the same operator).

Using the Yes/No Keypad

Use of the Yes/No keypad is optional. Agencies that have a large number of ‘Person Present’ transactions may wish to utilize the keypad. It enables the customer to confirm the amount that was keyed into the POS by the operator on the keypad and confirm or cancel the transaction based on the validity of the dollar amount. (See Installation and Configuration for instructions on activating/deactivating the Yes/No Keypad)

For Agencies using the optional Yes/No Keypad, the customer will be requested to verify the dollar amount using the Yes/No keypad. This is used only during a ‘Person Present’ transaction in Single check mode. After the check is scanned and check information is entered, the application bar on the bottom of the POS screen will indicate that customer validation is needed as circled in Figure 6.53. The dollar amount of the transaction will appear on the keypad’s screen for the customer to verify.

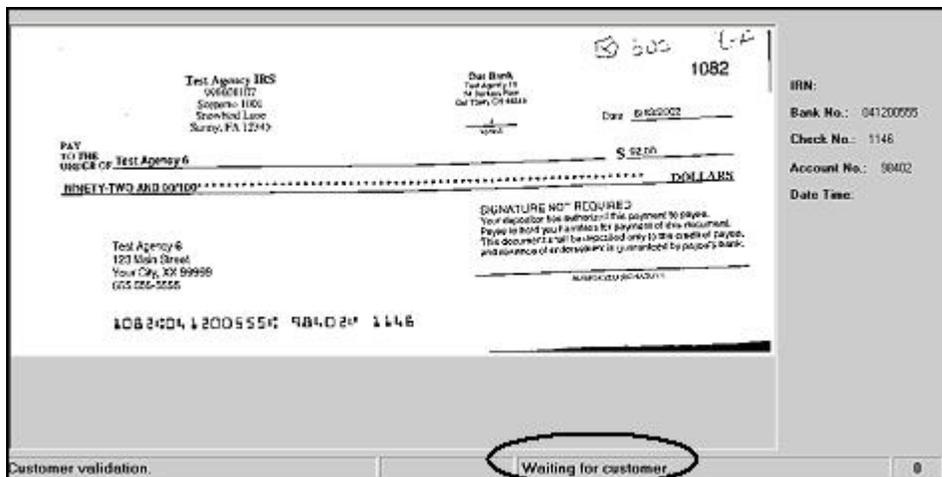


Figure 6.53

If the dollar amount is correct, the customer should be advised to press the green button marked ‘OK’. The following message will appear: (Figure 6.54)

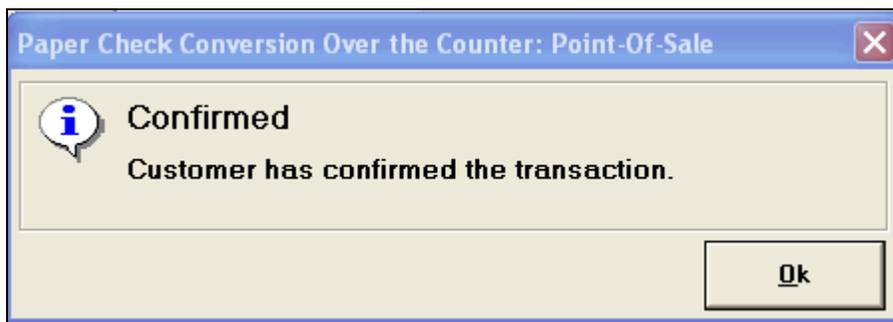


Figure 6.54

Click the ‘OK’ button. The transaction will complete.

If the dollar amount is incorrect, the customer should press the red ‘Cancel’ button. The following message will appear on the POS screen (Figure 6.55)

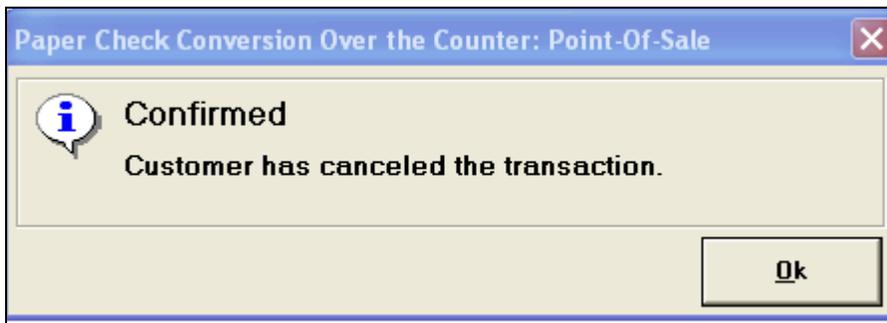


Figure 6.55

Click the **OK** button. When the bottom of the POS screen displays the message, “Scan check (front side up), click the **Cancel** button on the right side of the screen to begin a new transaction. The prompt, “Cancel transaction. Are you sure?” will appear. Click the **Yes** button. The screen will return with the message, “Please press enter to begin” and the same check can be scanned again (in the event of a mistyped dollar amount), or another check can be scanned.

If the customer takes too long to respond the following message appears: (Figure 6.55)

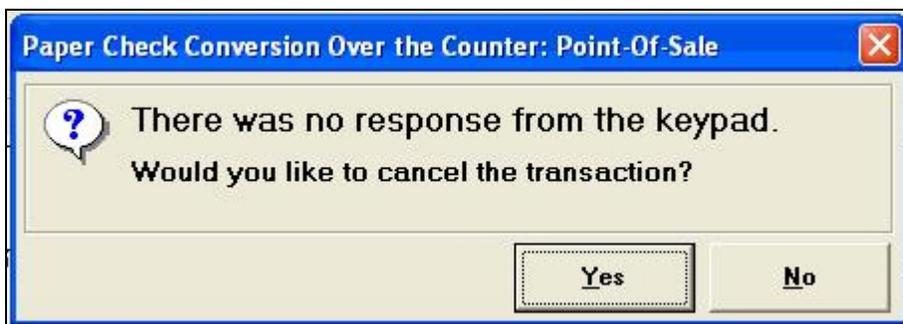


Figure 6.56

Click **No** to proceed, and give the customer more time to take action, or **Yes** to cancel the transaction. The screen will return with the message, “Please press enter to begin” and another check can be scanned

Note: The **OK** and **Cancel** buttons are the only two buttons on the Yes/No keypad that are enabled by the POS application.

Check Verification Process

If an Agency uses the LVD, there are three types of messages that can be received at the POS if an item has been identified as a red flag item, i.e., item has been blocked, suspended, or denied.

A blocked record is typically created by placing a manual block on the record (An 'Account Closed' is a blocked record. See Appendix B for a complete list of return codes). An authorized person at the Agency can block a record for various reasons. One example would be to block an account number that is known to be bad. The block message will be displayed if the item matches all data as it was input on the input of the block record. If the block record is only input with the routing transit number and account number, then that will only be flagged if the data matches. If the block record was only input with configurable field 1 data, then only configurable field 1 must match for the record. If the block record input both pieces of information, then it must match all combinations, i.e., routing transit and account along with configurable field 1.

A suspended item occurs when the check writer has exceeded the location's check cashing policy regarding allowable negative checks. Each location that uses the MVD sets their policies to a certain number of bad items associated with a certain number of days within the suspension period. During that pre-determined period if the check writer attempts to cash a check, a suspended message will appear on the POS screen. A typical check cashing policy may mandate that the check writer is suspended for 30 days upon their first offense and 60 days upon their second offense. During the suspension period, they cannot cash a check at that location.

The suspend or deny message will be displayed if the item scanned matches the LVD information. This will be either the match of the combination of both the routing number and account number, or a match against the configurable field 1 data.

A denied item occurs when the check writer has exceeded all grace periods. A typical suspension policy may specify that the check writer will be suspended for 30 days after the first offense, 60 days for the second and denied for the third offense meaning that that particular customer has lost their check writing privileges at that location.

Note: The check cashing policies described above are only examples. Check cashing policies are set up according to each Agency's requirements. To request a report of how your Agency's check cashing policy has been setup, see the 'Location Check Cashing Policy Report' section of the ELVIS Website chapter of this SOP.

Blocked Item

If an agency utilizes the optional check verification database (LVD/MVD), the operator will receive notification if there is a problem on the account or with the agency's specified verification field upon scanning the check. If the presented check is drawn on an account or verification field that has been identified as a red flag, the operator will receive the following message: (Figure 6.57)



Figure 6.57

An authorized person at the location can override a blocked message by clicking the 'Override' button, if the transaction is able to be overridden. *(Note: When an override of a blocked item is performed in the POS, the override is a temporary, one-time event. The item will remain blocked in the MVD/LVD unless an authorized person clears the item out of the MVD and the site performs a new LVD download).* The authorized person can access ELVIS as discussed in the MVD section of the ELVIS Interface chapter to research the history of the related account. If you are not an authorized user, the following message will appear. (Figure 6.58)



Figure 6.58

Point-Of-Sale Standard Operating Procedures

As part of the override process, the approving party will need to add a comment as to why the check was approved for processing (Figure 6.59). The comment that is keyed into the comment field will appear in the audit log.



Figure 6.59

The authorized person then receives a message that the blocked check was successfully overridden as shown below (Figure 6.60).



Figure 6.60

Suspend Item

If the agency and or location utilize the check verification database, the operator will receive notification if there has been negative return(s) received previously on either the account or the agency’s specified verification field. Based upon the location’s policy, the number of returns will impact the suspension period. If the presented check is drawn on an account or verification field that has negative return items, the operator will receive the following message on the POS screen: (Figure 6.61)

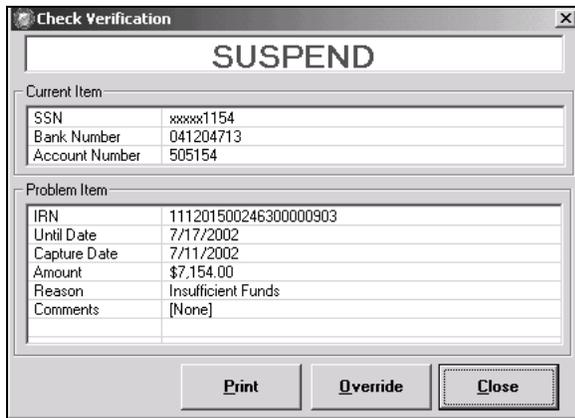


Figure 6.61

To determine where the return originated, the operator will require assistance from an authorized user who has researching access to the MVD in ELVIS (i.e. research the site where the return originated known as the Master Verification Database).

An authorized person at the location can override a suspend message by clicking the ‘**Override**’ button on the POS screen. The authorized person can access the MVD as discussed in *MVD* section of the *ELVIS Interface* chapter to research the history of the related account. If you are not an authorized user, the following message will appear. (Figure 6.62)



Figure 6.62

Point-Of-Sale Standard Operating Procedures

As part of the override process, the approving party will need to add a comment as to why the check was approved for processing (Figure 6.63). The comment that is typed into the comment field will appear in the audit log.



Figure 6.63

The authorized person then receives a message that the blocked check was successfully overridden.

Deny Item

If the agency or location utilizes the check verification database, the operator will receive notification if the number of allowable negative returns has been exceeded or if a negative return on a closed account has been received. Based upon the location's policy, the number of allowable negative returns will impact how rapidly an account moves to a deny status and becomes a dynamic record. A dynamic record is defined as items whose trade status and deny date are calculated by the system. This is done by applying the location's policy to appropriate return items. If the trade status of a dynamic record is changed manually (from D-Denied, D-Suspend to Denied, Suspend, or Clear), the record is no longer dynamic. The changed record will maintain the manually assigned status with assigned date, and will no longer reflect any other location's policy.

If the presented check is drawn on an account or verification field that has exceeded the allowable negative return policy, the operator will receive the following message: (Figure 6.64)

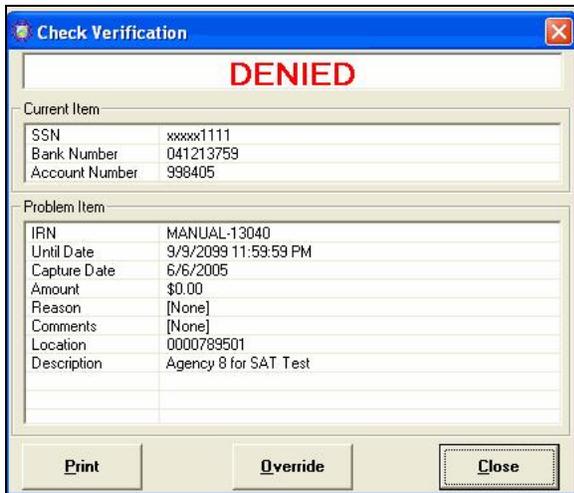


Figure 6.64

An authorized person at the location can override the deny message, except for instances where the account has been closed, by clicking the **'Override'** button. The authorized person can access ELVIS as discussed in *MVD* section of the *ELVIS Interface* chapter to research the history of the related account. An account is tracked by the agency's first required configurable field.

If you are not an authorized user, the following message will appear (Figure 6.65)



Figure 6.65

As part of the override process the approving party will need to add a comment as to why the check was approved for processing. (Figure 6.66) The comment typed into the comment field will appear in the audit log.



Figure 6.66

The authorized person then receives a message that the blocked check was successfully overridden as in Figure 6.67 below.

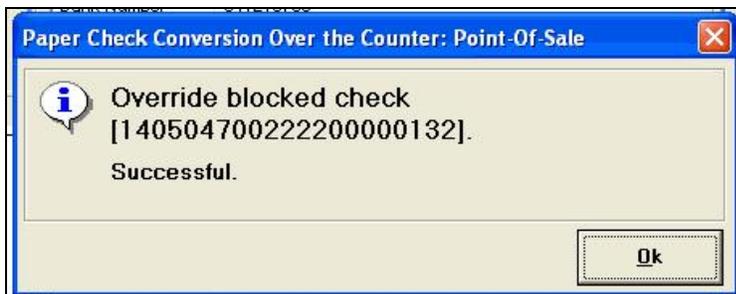


Figure 6.67

POS System Activity Log

The activity log is a listing of all actions, including transactions performed on the POS application (Figure 6.50). The log reflects all user logons, log offs, checks processed with their unique ID, and annotates voided and cancelled checks. The activity log will also show when a batch has been successfully closed. A sample activity log is found in *Appendix A*. An authorized user may view the log at any time.

Click **'View Log'** from the main POS screen. When viewing the activity log, select the appropriate event types and modules, or all settings should be checked to view all system activity. Enter the desired date range to view the log.

Similar to the SAT log, the POS System Activity Logging consists of several sections. The numbers below correspond with the numbers in Figure 6.68

- 1.) Date Range – click the down arrow to choose a 'from' and 'to' date from the calendar.
- 2.) Event types – click to check or uncheck the boxes to indicate the types of events to be viewed such as 'Information', 'Warning', or 'Errors'.
- 3.) Modules – click to check or uncheck the boxes to indicate the types of modules to be viewed. Some examples include WRK which contains information on updates to the POS and batch uploads; LID – includes information related to batch activity; LVD – includes information related to the Local Verification Database. The module field uses a scroll bar to the far right of the field to quickly move through the choices.
- 4.) Listing – an event listing of selected modules by date which includes the description of the event. Column headings within the listing section can be sorted in ascending or descending order by clicking on the heading. Click once and an ascending arrow appears in the right corner of the heading. All entries beneath the heading are sorted in ascending order. Click again and the arrow changes to descending. All entries beneath the heading are sorted in descending order. The scroll bar to the far right of the listing can also be used to quickly move through the listing.
- 5.) Details – a window that provides further details about a particular listing. The scroll bar to the far right of the detail section can be used to quickly move through the details.
- 6.) Number of Records – a window that displays the number of records that have been retrieved based on the user's choices at the top of the screen.

Refresh Button – reorders the log so the selected item is at the top of the viewing window.

Export Button – allows for export of the log in a .csv (comma separated value) format which can be opened in most spreadsheet programs, or text editors such as Windows Wordpad. In the event that you are experiencing problems, the PCC OTC Customer Service team may request a printout or export of your log for diagnostic purposes.

Print Button – allows the ability to print the activity log.

Close Button – Closes the Activity Log window and returns the user to the Main POS screen.

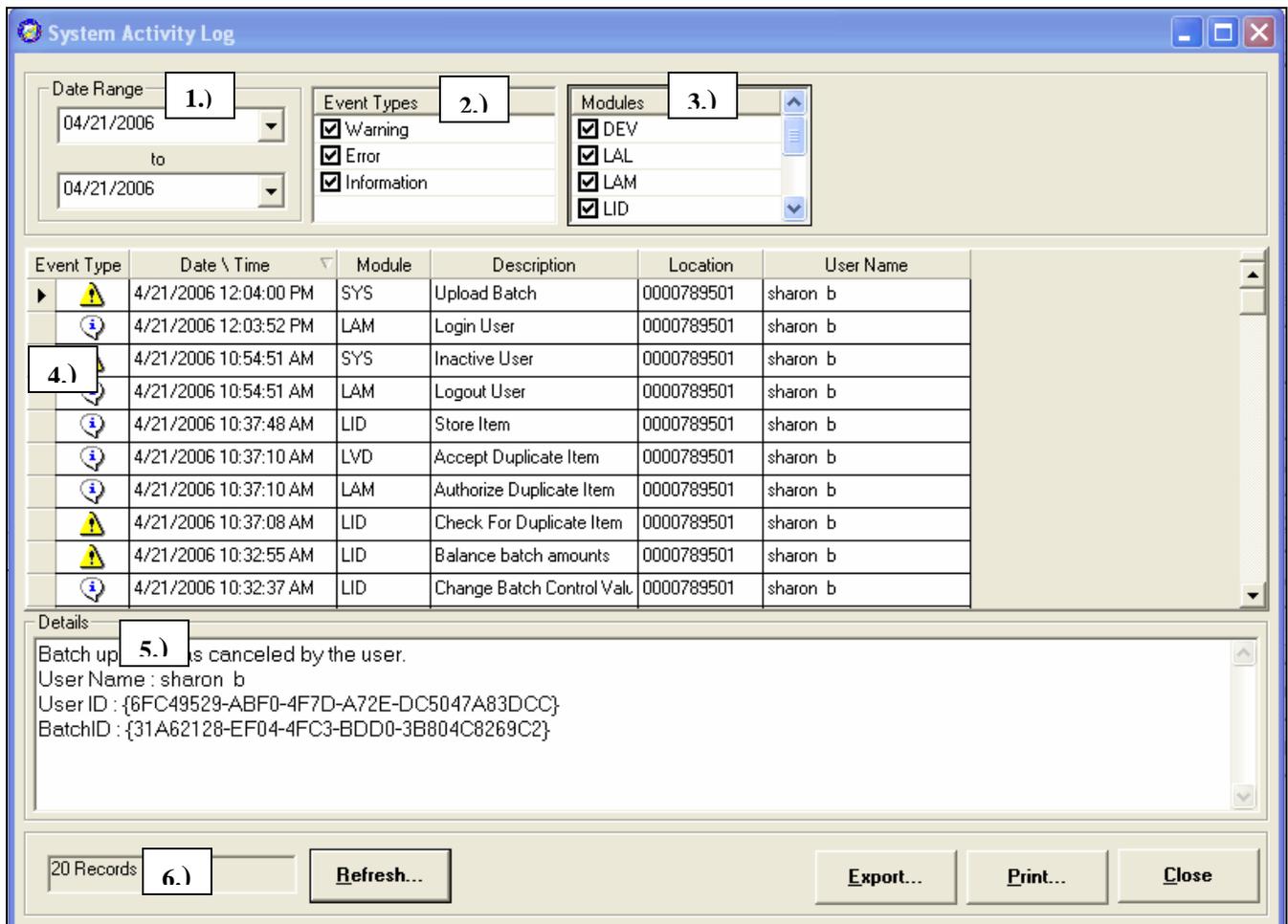


Figure 6.68

A user may print this log for various reasons. The activity log should be printed prior to new installation and on a monthly basis or as required by the agency.

To view information about an event, highlight the desired event. A detailed description of the selected event displays in the detail section (scroll down). The log should be printed prior to a new installation. It is also recommended that the log be printed periodically each month or however often your Agency requires. Information contained in the activity log may be useful in recovery after a hardware/software failure.

To print the Activity Log:

- Select the event types and modules desired.
- Enter the date range.
- Click the **'Print'** button.

To export the Activity Log:

Select the event types and modules desired.

Enter the date range.

Click the **'Export'** button.

You will be asked to name and save the file on your hard drive. This file can be sent to the FRB-C Customer Service staff via email.

Logging out of the POS Application

To log out of the application, select **'File'** from the menu at the top of the main POS screen.

Select **'Logout'**. The login box appears. This enables another user to logon without exiting the application completely. If a operator logs out of the application without closing a batch, the operator will be reminded that the batch is still open prior to exiting the system (Figure 6.69).

Note: Since batches are user specific, a new user will not be aware that the previous user's batches have not been closed and transmitted. Because of this, the Batch Manager module should be accessed frequently during the course of the business day. Batch Manager should definitely be accessed at the end of the day by an authorized user to check the status of all batches, and to make certain that they have been transmitted.

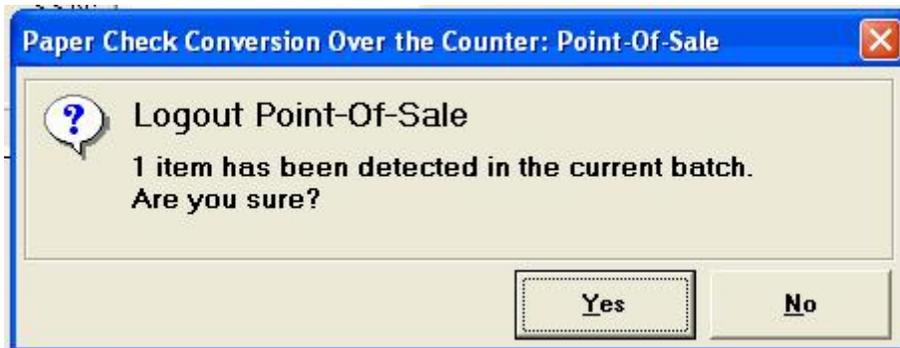


Figure 6.69

Exiting the POS Application

To exit the application:

Select **'File'** from the menu at the top of the screen.

Select **'Exit'**. The user will exit the application and return to the computer's desktop.

If a operator exits the application without closing a batch, the operator will be reminded that the batch is still open (Figure 6.69). Clicking **'Yes'** will allow the operator to exit anyway and the batch will not be transmitted (see Note: section above). Clicking **'No'** will allow the operator to stay within the application in order to close and transmit the batch.

The application can also be exited by clicking the 'Close' button at the bottom right of the POS main window, or by clicking on the **'X'** at the upper right of the screen. The user will exit the application and return to the computer's desktop.

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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(Revised 2/9/07)

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Table of Contents

REPORTING AND BALANCING.....	4
Overview.....	4
Numbering Options.....	6
Daily Reports.....	7
Supporting Detail for your Deposit Ticket Report.....	8
Supporting Detail for your Debit Voucher Report.....	11
Problems Balancing to CA\$HLINK II.....	14

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.

Point-Of-Sale Standard Operating Procedures

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.

Point-Of-Sale Standard Operating Procedures

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.)

Point-Of-Sale Standard Operating Procedures

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.

U.S. Treasury Paper Check Conversion Over the Counter Thursday, June 1,

5515 Debit Voucher Report

First Prev Next Last Goto Page 1 of 2 100% Download Print

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5515 Debit Voucher Report
From Date: 05/17/2006 To Date: 05/17/2006

Location: Sites Fiscal Agent: FRB Cleveland
Location Name: 0000999999 Description: Cleveland site Settlement Date: 05/17/2006

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CASH LINK	\$ Amount	Cashier ID	Return Reason Code
001676	4060270999999999	04/28/2006	001460	\$60.00	Mich	204 -- Refer to Maker
Summary number of transactions:		1				
Summary of total dollars:		\$60.00				

Location Name: 0000635502 Description: DFAS Norfolk Commissary Settlement Date: 05/17/2006

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CASH LINK	\$ Amount	Cashier ID	Return Reason Code
001678	150614700201800999999	05/04/2006	001530	\$29.22	eve	201 -- Insufficient Funds
001677	150614700201800999999	05/01/2006	001479	\$27.81	eve	204 -- Refer to Maker
Summary number of transactions:		2				
Summary of total dollars:		\$57.03				

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.)

Point-Of-Sale Standard Operating Procedures

U.S. Treasury Paper Check Conversion Over the Counter Thursday, June 1, 2006

CIRA Query - Criteria

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

Include Subordinate Locations Yes No

Generic Fields

GENERIC_FIELD1 <input type="text"/>	GENERIC_FIELD2 <input type="text"/>
GENERIC_FIELD3 <input type="text"/>	GENERIC_FIELD4 <input type="text"/>

Account <input type="text"/>	RT <input type="text"/>	Status <input type="text" value="ALL"/>	
IRN <input type="text"/>	Cashier ID <input type="text"/>	Check Amount <input type="text" value="Equal To"/>	<input type="text"/>
Check Number <input type="text"/>	Batch ID <input type="text"/>		

5515/Debit Voucher Number <input type="text" value="001676"/>	215/Deposit Ticket Number <input type="text"/>
---	--

<input type="radio"/> Received Date <table style="width: 100%; border-collapse: collapse;"> <tr> <td>On or After</td><td><input type="text" value="06/01/2006"/></td><td><input type="button" value="Calendar"/></td> </tr> <tr> <td>On or Before</td><td><input type="text" value="06/01/2006"/></td><td><input type="button" value="Calendar"/></td> </tr> </table>	On or After	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>	On or Before	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>	<input type="radio"/> Settlement Date <table style="width: 100%; border-collapse: collapse;"> <tr> <td>On or After</td><td><input type="text" value="06/01/2006"/></td><td><input type="button" value="Calendar"/></td> </tr> <tr> <td>On or Before</td><td><input type="text" value="06/01/2006"/></td><td><input type="button" value="Calendar"/></td> </tr> </table>	On or After	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>	On or Before	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>
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<input type="radio"/> Check Capture Date <table style="width: 100%; border-collapse: collapse;"> <tr> <td>On or After</td><td><input type="text" value="06/01/2006"/></td><td><input type="button" value="Calendar"/></td> </tr> <tr> <td>On or Before</td><td><input type="text" value="06/01/2006"/></td><td><input type="button" value="Calendar"/></td> </tr> </table>	On or After	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>	On or Before	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>	<input type="radio"/> Return Settlement Date <table style="width: 100%; border-collapse: collapse;"> <tr> <td>On or After</td><td><input type="text" value="06/01/2006"/></td><td><input type="button" value="Calendar"/></td> </tr> <tr> <td>On or Before</td><td><input type="text" value="06/01/2006"/></td><td><input type="button" value="Calendar"/></td> </tr> </table>	On or After	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>	On or Before	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>
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On or After	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>											
On or Before	<input type="text" value="06/01/2006"/>	<input type="button" value="Calendar"/>											

Figure 7.6

3. 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.

U.S. Treasury Paper Check Conversion Over the Counter Thursday, June 1, 2006

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. It is divided into two main sections: 'CIRA Query - Result' and 'CIRA Detail'.

CIRA Query - Result: This section shows a table of query results with columns for 'IRN' and 'ALC'. The table contains 10 rows of data, each with a radio button for selection. Below the table, 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 selected item. It includes the following fields:

- 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:** (empty)
- Debit Voucher Number:** (empty)
- Settlement Date:** (empty)
- Return Settlement Date:** (empty)
- Batch ID:** FFF02542-763F-4ESC-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.

U.S. Department of the Treasury

Financial Management Service

Paper Check Conversion Over the Counter
(PCC OTC)



Standard Operating Procedures

Troubleshooting

Release 5.1

June, 2006

(Revised 4/3/07)

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Table of Contents

TROUBLESHOOTING.....	4
Contingency.....	4
Back up your System.....	4
Troubleshooting Passwords and User Access.....	4
POS Passwords	4
Locked POS User Accounts.....	5
ELVIS Passwords	5
Locked ELVIS User Accounts.....	5
Inactive Account	5
Neutralized Account	5
Who to Contact for Access Problems	6
Scanner Imaging or Check Reading Problems	7
Properly Scan the Check.....	7
EC7000i Problem.....	8
Printer Problems.....	9
Error Messages	10
Troubleshooting Errors Within the PCC OTC POS Application.....	10
Problems Closing/Transmitting A Batch	18
LAN Connectivity Unavailable.....	18
Problem Accessing ELVIS.....	19
Adjusting an Incorrect Entry	20
Refilling the ‘Electronically Processed’ Hand Stamp.....	21
Local Verification Database (LVD) Reset – if applicable	22

Troubleshooting

This section of the SOP will attempt to assist you with problems that may occur while using the POS software. It is to be used only as a guide as each situation can present its own set of background circumstances making the problem unique.

Certain situations may require assistance from your internal management, i.e., System Administrator or IT personnel. Once these avenues have been exhausted, Agencies should then refer to this chapter of the SOP to determine if their problem is addressed. After that, contact the FRB-C Customer Service staff for assistance. They can be reached at 216-579-2112, or 800-624-1373, or DSN 510-428-6824 option 4, option 5, option 4.

Contingency

A contingency plan is a must. Stateside agencies can contact FRB-C for an overnight delivery of a scanner to the disaster relocation site in the event it is needed. The contingency site should house backup POS software and hardware, a copy of the PCC OTC SOP (Standard Operating Procedures) on your LAN or a duplicate CD of the SOP, and a listing of the FRB-C Customer Service phone numbers.

Back up your System

The POS software now supports the ability to use image copy software to back up your POS computer's hard drive and copy those images to other PC's for backup purposes, or for multiple installations. Your Information Technology contact can assist you with more information on performing regular backups to your POS computer

Troubleshooting Passwords and User Access

POS Passwords

Users are required to change the temporary passwords that are assigned by their Point of Contact (POC), upon first login to the POS, SAT or Batch Manager module. Once the password is changed in one module, the same password will be effective for the other two modules. Following the initial password change, FRB-C recommends that users change their password every 30 days.

Passwords must be between 8 and 20 characters long. Passwords must include at least one letter and at least one number. Passwords are case sensitive.

Password history retention is the number of most recent previous passwords stored by the POS for each user. Password history retention is set, by the POC, to between 1 and 10 passwords. The default password history retention is 10 passwords. This means when changing a password, the user cannot reuse any of the previous 10 passwords. Instruction on how to change the password history retention can be found in the *System Administration Tool* chapter of this SOP.

If a user forgets their password, a POC can edit a user to assign a new temporary password, so that the user may regain access to POS. For information on editing a user's account, see the *System Administration Tool* chapter of this SOP.

Locked POS User Accounts

A user has 3 unsuccessful sign on attempts (default) before their account is locked. The number of failed login attempts is configurable by the POC and can be set to a value between 1 and 10. If a user account becomes locked, they will not be allowed access to the system and must contact their POC to unlock the account. For more information on the SAT system configuration settings, see the *System Administration Tool* chapter of this SOP.

ELVIS Passwords

First time ELVIS users will receive a user name and temporary password from the FRB-C Information Security Department. The user will be required to change the temporary password to a unique password. The password will expire every thirty days and each user will have to change their password to a new, unique password. For complete specifics, see the 'Password Requirements' section of the *ELVIS Website* chapter of this SOP. A user may also change their password if they feel as though it has been compromised. The system maintains a record of the last 10 passwords used. The user will not be allowed to re-use these passwords.

Locked ELVIS User Accounts

A user has three unsuccessful sign on attempts before their account is locked. The user must contact the FRB-C Customer Service to have the account unlocked.

Inactive Account

After ninety days of inactivity, user accounts become inactive. The user must contact the FRB-C Customer Service to have the account reactivated.

Neutralized Account

New users who have not logged into the ELVIS system after 180 days are neutralized. Inactive accounts that have not been accessed over a twelve month period are also neutralized. A neutralized account is permanently inactive. When an account is neutralized the user must contact their POC to complete and submit a new 'PCC OTC Access Request Form'.

Point-Of-Sale Standard Operating Procedures

Who to Contact for Access Problems

PC Password – If the password that you use to access your computer’s operating system has become suspended, or you cannot remember the password, contact your System Administrator or Information Technology staff at your location.

POS – If the password that you use to access the POS software (POS, SAT, Batch Manager) has become suspended, or you cannot remember the password, contact your PCC OTC POC. That person needs to logon to the SAT and reset your password.

ELVIS - If the password that you use to access the ELVIS website has become suspended or you cannot remember the password, contact the PCC OTC Customer Service team. They can be reached at 216-579-2112, or 1-800-624-1373, or military DSN at 510-428-6824, option 4, option5, option 4. You can also send them an email at pccotc@clev.frb.org.

For instructions on how to reset or unlock a user’s account in the POS software, refer to the *System Administration Tool* chapter of this SOP.

Scanner Imaging or Check Reading Problems

Properly Scan the Check

If the scanner beeps three times when scanning an image, please check the following:

- Place the check in the scanner with the MICR line of the check aligned with the right side of the scanner. Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed, as shown in Figure 8.1. The scanner will automatically pull the check through to begin the scan.



Figure 8.1

- If the problem still exists, make sure that the check does not contain creases, tears or marks, or the MICR line is unreadable. If so, please ask the customer for another check (if the customer is present). If the customer is not present, try to flatten the check or fold it in the opposite direction so it lays flat and try scanning again.

If the above scenarios are not an issue, try the following:

- Unplug the scanner from the outlet, wait 5 seconds, then plug the cord back into the outlet.
- Attempt to scan the check at least 2 more times.
- Scan another check to determine if the problem is isolated to that check or a possible scanner problem.

If you are unable to connect to the scanner or the scanner light is red, try the following possible solutions:

- Check that the cable is connected firmly in the back of the scanner and in the serial or USB port of the computer.
- Replace the scanner cable with your backup scanner cable.
- Check that the cable is in the correct port on the scanner and laptop.

Point-Of-Sale Standard Operating Procedures

- Check that the correct COM port is selected in the POS software under configuration, 'Devices' tab.
- Make sure that the scanner is more than four inches from any electromagnetic device. These devices include the computer, credit card reader devices, laser beams from bar code scanner devices, etc.
- Make sure the scanner is plugged in and the power strip is turned on (The amber light indicates power up was successful).

If you are still experiencing the problem, please contact the System Administrator. If the System Administrator cannot resolve problem, move to the backup scanner and call the FRB-C PCC OTC Customer Service staff to report the problem. Customer Service will determine if a replacement scanner needs to be ordered.

EC7000i Problem

If you experience one long beep followed by five short beeps while scanning items on your EC7000i scanner, please click cancel to terminate that transaction and rescan that item. This sequence of beeps usually means that the back of the check has not been scanned. If you experience any other unusual issues or hear any tones to indicate scan errors, please cancel that transaction and rescan the item. If necessary, you may need to void the transaction.

Printer Problems

If experiencing problems with printing, check the following:

- Printer is connected to the LAN or to the local printer port on the back of the laptop/desktop.
- LAN is operational (if connected to a LAN).
- The correct printer is selected from the POS configuration screen. To check, click **'File'**, **'Configuration'** from the Main POS screen. Click the **'Report'** tab. The POS printer selection is displayed in the field. To change the printer, click the down arrow to the right of the field and select the correct printer. If no choices are available, see your IT personnel to have the printer added to your Windows operating system.
- Printer has paper.
- Printer is plugged in.
- Printer is online.
- Correct printer driver was installed.
- There is not paper jammed in the paper feed tray or the paper output tray.

If the problem still exists after checking the list above, turn the printer off, wait 5 seconds, and then turn it back on.

Contact the System Administrator if unable to resolve problem. Connect a local printer if the LAN connection cannot be resolved.

Error Messages

If an error message displays that is not indicated in this Troubleshooting section, or if you are experiencing additional problems, please contact the FRB-C Customer Service at 800-624-1373 or 216-579-2112 or DSN 510-428-6824, option 4, option 5, option 4.

If an option is grayed out, you do not have access to perform the action. Contact your POC to proceed.

Troubleshooting Errors Within the PCC OTC POS Application

The following table addresses troubleshooting dialog messages and scenarios that may occur while operating the system. The contents of this section can also be found in the POS Help file.

To access this file: Open the POS, SAT or Batch Manager module and select **'Help' 'Contents'**. Click on **'System Errors and Troubleshooting Procedures'** in the left window.

Message or Description	Action	Error Number
'Unexpected error – If you need assistance, please contact FRB-C support personnel'	Typically, this will be caused by an inability to redisplay the items after the selected action. Please note the action selected and, 1. Contact your immediate IT Support/supervisor. 2. Contact FRB-C support personnel.	-19999
'Database access error – Please check database access'	Typically the result of the system not having access to the SQL server. Contact your System Administrator.	-20000
'Database data error – Please check database data'	Typically the result of incorrect, corrupted, or data, which has had its integrity, compromised.	-20001
'Filesystem access error – Please check filesystem access'	Typically caused by a server being down or the user may not have the required read/write permissions on the system. Contact your System Administrator.	-20002
'Filesystem data error – Please	Data on the file system has been changed or corrupted. Data must be	-20003

Point-Of-Sale Standard Operating Procedures

Message or Description	Action	Error Number
check filesystem data'	restored to continue.	
'Registry access error – Please check registry access'	The user does not have the required permissions to access the registry. Contact you System Administrator.	-20004
'Registry data error – Please check registry data'	The registry has been changed or corrupted. Contact your System Administrator.	-20005
'Host access error – Please check internet access'	Access to the Host has been compromised. The POS is no longer able to communicate with the Host. This affects Batch Upload, LVD Update, Application Upgrade, and Data Entry Screen Upgrade. Contact your System Administrator.	-20008
'Host data error – Please check internet data'	Data received from the Host, via the Internet, has been corrupted in transit. This can be caused by a processing error within the Host. Contact your System Administrator.	-20009
'Data entry screen content error – Please check data entry screen content'	Typically the result of an error downloading from the Host. Can be caused if the service is interrupted during processing. 1. Retry Data Entry Screen upgrade. 2. Contact FRB-C support personnel.	-20011
'Printer error – Please check printer access/setup'	The printer may be inaccessible in some way. 1. Check access to printer 2. Select File>Configuration . 3. Select the Reports tab in the POS or the General tab in the SAT.	-20012

Point-Of-Sale Standard Operating Procedures

Message or Description	Action	Error Number
	<p>4. Check if the printer indicated in the Printer Selection is accessible.</p> <p>5. If the Printer Selection is blank, this indicates that the default Windows printer is being used. Check the accessibility of the default Windows printer.</p> <p>6. Contact your immediate IT Support/supervisor.</p> <p>7. Contact FRB-C support personnel.</p>	
<p>‘Scanner error – Please check scanner power/connection’</p>	<p>There may be a problem with the scanner, or the connecting cable, the scanner’s port B, the selected COM port, or the components used to communicate with the scanner.</p> <p>The COM port on the scanner is virtually connected to the keypad. While the application is communicating with the keypad, the COM port on the PC may have malfunctioned.</p> <p>1. Reboot the scanner device by disconnecting and connecting its power source.</p> <p>2. Check the connection between the system and the scanner, and reconnect, if necessary.</p> <p>3. Ensure that the keypad is properly configured for the application.</p> <p>4. Contact your immediate IT Support/supervisor.</p> <p>5. Contact FRB-C support personnel.</p>	<p>-20013</p>
<p>‘Keypad error – Please check keypad power/connection’</p>	<p>There may be a problem with the keypad, or the connecting cable, or the COM port that is selected or the</p>	<p>-20014</p>

Point-Of-Sale Standard Operating Procedures

Message or Description	Action	Error Number
	<p>components used to communicate with the keypad.</p> <ol style="list-style-type: none"> 1. Reconnect the keypad device by disconnecting and connecting the cable. 2. Check the connection between the scanner and the keypad, and re-connect, if necessary. 3. Ensure that the application is properly configured for the keypad. 4. Contact your immediate IT Support/supervisor. 5. Contact FRB-C support personnel. 	
‘Logon failed – Please ensure your login and password are correct’	Re-enter your login and password.	-21012
‘User account is disabled – Please contact your system administrator’	Contact your POC.	-21013
‘User account is locked – Please contact your system administrator’	Contact your POC.	-21014
‘Invalid role name – Please enter a valid role name’	Enter a valid role name.	-21002
‘Role already exists – Please enter a valid role name’	Enter a unique role name.	-21003
‘Login already exists – Please enter a unique login’	Enter a unique login.	-21005
‘Password has been recently used – Please enter a password that had not been used recently’	<p>By default, the system retains the past ten (10) passwords. This figure is configurable in the SAT Configuration tool.</p> <p>Enter a password that has not been</p>	-21006

Point-Of-Sale Standard Operating Procedures

Message or Description	Action	Error Number
	recently used.	
'Cannot delete a system account'	No action required.	-21007
'Cannot delete a system permission'	No action required.	-21008
'Cannot delete a system role'	No action required.	-21009
'Login Failed – Please enter a valid login and password'	Enter a valid login and password. If you have forgotten your password, a user with the required permissions can reset your password in the SAT User Edit dialog.	-21010 or –21011
'Invalid login string – Please conform to the following pattern'	A login must be between six (6) and 20 characters in length and cannot contain any special characters (e.g. *^&%).	-21050
'Invalid full name string – Please conform to the following pattern'	Ensure there is a space between the first name and the last name. The full name must be between eight (8) and 20 characters in length and cannot contain any special characters (e.g. *^&%).	-21051
'Invalid password string – Please conform to the following pattern'	Passwords must be between eight (8) and 20 characters in length and cannot contain any special characters (e.g. *^&%).	-21052
'Missing Printer – There must be at least one printer configured on the PC – Please use the Windows Control Panel to add a printer to the PC'	<p>If you have not configured a printer on the PC:</p> <ol style="list-style-type: none"> 1. Select Start>Settings>Control Panel on the Main Windows screen. 2. Double-click the Printers icon. 3. Double-click Add Printer. 4. Follow the Print Wizard. 	-22000
'Missing Terminal ID –	The Terminal ID field cannot be	-22001

Point-Of-Sale Standard Operating Procedures

Message or Description	Action	Error Number
Terminal ID cannot be blank'	blank. Enter a Terminal ID in the field. The terminal ID is provided by FRB-C	
'Missing ALC – At least one ALC must be defined'	The system must contain at least one (1) valid ALC code. Enter a valid, unique ALC code as provided by FRB-C.	-22002
'Could not extract forms for this item – Make sure location % is configured in the system and associated data entry screens are installed'	This occurs on the Show Item screen in the Batch Manager and POS. Typically this error is caused during batch recovery where there are no forms installed on the local system.	-22003
'Secondary storage is not valid – Please select a valid directory and try again'	<p>The secondary storage path entered is not valid. Enter a valid secondary storage path. If this does not work:</p> <ol style="list-style-type: none"> 1. Ensure the storage device is accessible and has not been removed. If it is a network drive, ensure there is communication over the network. 2. The drive or device may be full. Ensure there is space available. 3. The drive or device may be write protected. Ensure the user has write access. 	-22004
'The secondary storage is in use – Please shut down any other PCC OTC applications and try again'	<p>If other PCC OTC applications are running, the secondary storage location cannot be changed.</p> <p>Shut down all PCC OTC POS applications and try again.</p>	-22006
'The new secondary storage location does not exist – Please select a valid directory and try again'	Enter a valid secondary storage location.	-22007
'Moving files from secondary storage failed – Please make sure secondary storage is	Typically the result of a lost connection between the main system and the secondary storage.	-22009

Point-Of-Sale Standard Operating Procedures

Message or Description	Action	Error Number
accessible and try again'	Contact your System Administrator.	
'Verification was not successfully activated – Verification must be successfully activated before processing can be continued'	<p>Typically the result of the user not having the appropriate POS permissions.</p> <p>Ensure the user has the appropriate LVD permissions attached to their role (authorizeoldLVD and updateLVD).</p> <p>A less common way to receive the error is by selecting 'No' to updating the LVD and then selecting to not use the old LVD. The system must be updated, or use the old LVD to continue operation.</p>	-22010
'Batch Scanner – No checks in hopper'	Place checks in the hopper.	-20013
When the user changes the Keypad model between transactions, the keypad is not initialized. The result is that the first message that appears on the keypad may not be complete (i.e. missing the amount or the prompt).	<p>To avoid this behavior:</p> <ol style="list-style-type: none"> 1. After switching keypads between transactions, select File>Configuration. 2. Click OK. The Configuration dialog closes and the keypad and scanner are re-initialized. 	N/A
If a user attempts to run an application immediately after rebooting, the RDMLAL.exe continues to try to connect with the database and the Login dialog is not displayed.	<p>To avoid this behavior, allow the system approximately 2 minutes to connect with the database prior to launching an application.</p> <p>If the behavior does occur:</p> <ol style="list-style-type: none"> 1. Access Windows Task Manager. 2. Select the Processes tab. 3. End the RDMLAL.exe process. 	N/A
An error occurs on the system and the user or the local IT	When contacting technical support, have the trace logs available. There are	N/A

Point-Of-Sale Standard Operating Procedures

Message or Description	Action	Error Number
support are unable to find the source of the problem.	potentially four trace logs in the Logs folder. The default file path for the logs folder is C:\Program Files\RDM Corporations\Check Imaging 5.1\Logs.	

Problems Closing/Transmitting A Batch

If you are unable to close a batch, please check the following:

- LAN cable is plugged securely into the computer (if connected to a LAN).
- Network/LAN is operational (if connected to a Network/LAN).
- Internet connection is successful. Using Internet Explorer try to access a site outside of your agency. If this is unsuccessful, contact your internal System Administrator regarding the inability to connect to the internet.
- Proper Web site address has been entered. In the SAT, select 'File', 'Configuration', then click the 'Tasks' tab. Ensure that the URL in the 'WSDL URL' field is: <https://www.pccotc.gov/webcontext/jndiSoapSB?WSDL>. (URL is Case-sensitive)
- Ensure that you are not attempting to transmit during our maintenance window which is every Sunday between 2:00am and 6:00am ET.
- Secondary image storage location is connected. On occasion, smart card media can become loose and needs to be secured again. Eject, then reinsert the media. If you are using a Flash drive, someone may have removed it. It is very important that the same Flash drive be reinserted into the USB port on the computer as it stores data for up to 7 days.
- User roles have not been changed. Contact the POC to determine if the user's role has been updated/changed. Have a different user with batch transmission access logon to Batch Manager and try to upload the batch. If the batch transmission is successful, the user's role may have been modified and the user no longer has Close Batch access. If needed, request that the user's role be updated to enable batch transmission.
- Ensure that the user rights have not changed on the computer or that the computer name has not changed.

If you are still having difficulty, please contact the POC, System Administrator or FRB-C Customer Service Staff.

LAN Connectivity Unavailable

If you use a LAN, and the LAN is not available, a batch cannot be transmitted.

1. You may continue to process until your network is available, but if you have been using a LAN printer, you might need to install a local printer in order to balance your end-of day transactions.
2. For assistance in installing a local printer, please contact your System Administrator or FRB-C Customer Service.
3. Once LAN connectivity is reestablished, all operators should print their Batch Lists and Close their Batches.

NOTE: Each operator that has processed batches must sign on and print their own batch list since batches are user specific, or an authorized person can use Batch Manager to print the batch lists of all operators.

Problem Accessing ELVIS

If a user experiences difficulty in accessing the ELVIS website or obtaining images once on the ELVIS website:

Try to access another web site to ensure that Internet access is available.

- Shut the computer down and restart it using the ‘Turn Off Computer’ option from the Windows ‘Start’ menu. Click the ‘Restart’ button. If you are still unable to access the site after the computer restarts but able to access other sites, contact the System Administrator.
- Make sure that you are accessing the correct URL of the ELVIS website:
<https://www.pccotc.gov/pcc5webapp/>
- Be certain that you are typing the correct password as it is case sensitive. If the account is locked, call FRB-C Customer Service at 800-624-1373, 216-579-2112, or DSN 510-428-6824, press 4, then 5, then 4, or send an email to pccotc@clev.frb.org.
- If you can access the ELVIS website but cannot see check images, you may need to install or update your Java Runtime Environment file (JRE.exe). When a CIRA query is performed and the resulting items from the query are displayed on the screen, the bottom of the screen will contain a link to download the file (Figure 8.2).

The screenshot shows the 'CIRA Query - Result' page. On the left is a navigation menu with items: Home, Location, Verification, CIRA Query, Reports, Centralized Deployment, Form Management, Administration, Scheduler, About PCC OTC, and Logout. The main content area displays a table with the following columns: IRN, ALC, Capture Date, RTN, Account Number, and Check Amount. Below the table, a message states: 'The first 100 items are displayed out of 4,957. Total Amount: \$1,918,373.49. Please refine your Query Criteria to view 1000 items.' At the bottom of the page, a blue banner contains the text: 'Java Runtime Environment (JRE) is required to view CIRA item images.' This banner is circled in black.

IRN	ALC	Capture Date	RTN	Account Number	Check Amount
1203: 08850	000	101 06/14/2006 09:01	256078446	154 9	\$1,475
1203: 08851	000	101 06/14/2006 09:06	104000058	789	\$150
1203: 08852	000	101 06/14/2006 09:13	265577585	900 80	\$2,200
1203: 08853	000	101 06/14/2006 09:24	211489656	201 668	\$1,000
1203: 08856	000	101 06/14/2006 10:13	122101706	189	\$100
1203: 08858	000	101 06/14/2006 10:14	314074269	203	\$1,100
1203: 08859	000	101 06/14/2006 10:28	256078446	154 7	\$400
1203: 08860	000	101 06/14/2006 10:30	321379106	000	\$500
1203: 08861	000	101 06/14/2006 10:37	251480738	111 45	\$269
1203: 08863	000	101 06/14/2006 10:45	263178070	000	\$500

Adjusting an Incorrect Entry

NOTE: The minimum limit for reporting items that need to be adjusted by FRB Cleveland is \$25.00. If the adjustment is \$25.00 or more, the check will only be corrected to the written dollar amount on the face of the check.

PCC OTC payments should only be entered for the amount of the item being processed. If a data-entry error is made and the amount entered for the check differs from the written amount of the check, two options are available prior to transmission:

1. Void the item and rescan, this time typing the correct dollar amount of the check.
2. Ask an authorized user to sign on to Batch Manager and change the incorrectly typed amount with the correct amount. The batch can then be closed and transmitted by the operator who originally created the batch, or closed and uploaded by the authorized person using the Batch Manager module.

Do not scan the item a second time to process a second item for the amount difference. Doing so would create processing errors at FRB Cleveland as well as at the check writer's financial institution.

If a file containing the wrong amount has already been transmitted or if you ever encounter a processing issue and need assistance, please contact PCC OTC Customer Service.

Refilling the 'Electronically Processed' Hand Stamp

Agencies that use the EC5000i scanners may use the hand stamp if they wish to stamp their checks after processing. The hand stamp is used to stamp the words 'Electronically Processed' on each check once processed. Agencies that upgrade to a newer scanner can take advantage of the scanner's ability to stamp the checks using the scanner's franking functionality. For information on setting up your EC6000i or EC7000i scanner to frank checks, See *Appendix L* of this SOP.

When the hand stamp needs to be refilled, follow these steps:

1. Press the white section down just a bit, then push the two buttons located on either side of the stamp until they lock-in, which sets the swivel stamp in a locked position as shown below.



2. The ink pad has black ridges that are seen running lengthwise. Using a pencil or ruler, gently push on the black ridge section to slide the ink pad out of the stamping device. The ink pad will slide all the way out of the stamp.



3. Add ink drops onto the ink pad.

Point-Of-Sale Standard Operating Procedures



4. Slide the ink pad back in all the way with the ink side facing the bottom of the stamp, and the flat bottom of the ink tray resting on the white bridge inside of the bay where it is stored. Activate the ink pad by pressing it down onto a piece of paper.

Local Verification Database (LVD) Reset – if applicable

If an agency is utilizing the check verification process through the LVD download, there will be occasions where a new LVD is required. Daily LVD downloads contain only new items received by the MVD. If there is a change in the location's policy, or if the POS is re-deployed to a new location (military), an entire new LVD should be obtained.

The LVD reset button erases everything on the LVD. **If the LVD reset is selected and a new LVD is not obtained, verification of checks presented will not be performed.**

For instructions on how to perform an LVD reset, refer to the *SAT* chapter of this SOP.

U.S. Department of the Treasury
Financial Management Service

Paper Check Conversion Over the Counter
(PCC OTC)



Standard Operating Procedures
Appendix

Release 5.1

June, 2006

(Revised 10/3/07)

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
10/3/07	Appendix E	Removal of paper form for User Access Request form and new instructions on how to electronically complete and send the form. Removal of Appendix F – Instructions for completing the Access Request Form. Instructions are now a part of the electronic form.	22

Table of Contents

Change/Revision History.....	2
APPENDIX A – SAMPLE REPORTS	5
POS Reports <i>Batch List</i>	5
Activity Log and User Information.....	7
Activity Log.....	7
User Information.....	9
SF215 Deposit Ticket Report.....	10
APPENDIX B - RETURN REASON CODES	14
ACH Return Reason Codes	14
Check 21 Return Codes.....	17
Paper Check Return Codes.....	18
APPENDIX C – SYSTEM ADMINISTRATOR RESPONSIBILITY	19
System Administrator Support Prior to Deployment.....	19
Basic System Administrator Support at the Time of Deployment	19
Continuing System Administrator Support	20
APPENDIX D – EQUIPMENT RETURNS.....	21
APPENDIX E – PCC OTC USER ACCESS REQUEST FORM FOR ELVIS	22
APPENDIX G – R5.2 ROLES FOR ELVIS	23
APPENDIX H – PCC OTC SECURITY CONTACT AUTHORIZATION FORM FOR ELVIS.....	25

APPENDIX I – INSTRUCTIONS FOR COMPLETING THE PCC OTC SECURITY CONTACT AUTHORIZATION FORM..... 27

APPENDIX J – PCC OTC RULES OF BEHAVIOR..... 29

APPENDIX L – SETTING THE EC6000I AND EC 7000I SCANNER TO FRANK ACKNOWLEDGMENTS 31

APPENDIX M – RDM SCANNER INFORMATION..... 33

APPENDIX M – RDM SCANNER INFORMATION..... 34

APPENDIX N – PERSONNEL CHANGE OVER 34

POS Access.....34

ELVIS Access.....35

APPENDIX O – GLOSSARY..... 36

APPENDIX P – ACRONYMS..... 40

APPENDIX Q – IMAGE QUALITY..... 42

APPENDIX R – CIRA CSV FILE LAYOUT..... 43

Introduction43

Layout.....43

 Available Fields43

 File Layout.....44

 Sample File Layout.....46

 csv File Sample.....48

Appendix A – Sample Reports

POS Reports

Batch List

When requesting a Batch List, the system will first display the batches on the screen as in Figure 9.1. The Batch Totals on the Batch List screen summarize the following:

- Approved – Successful check transaction
- Void – Voided checks
- Total – Total approved transmission amount

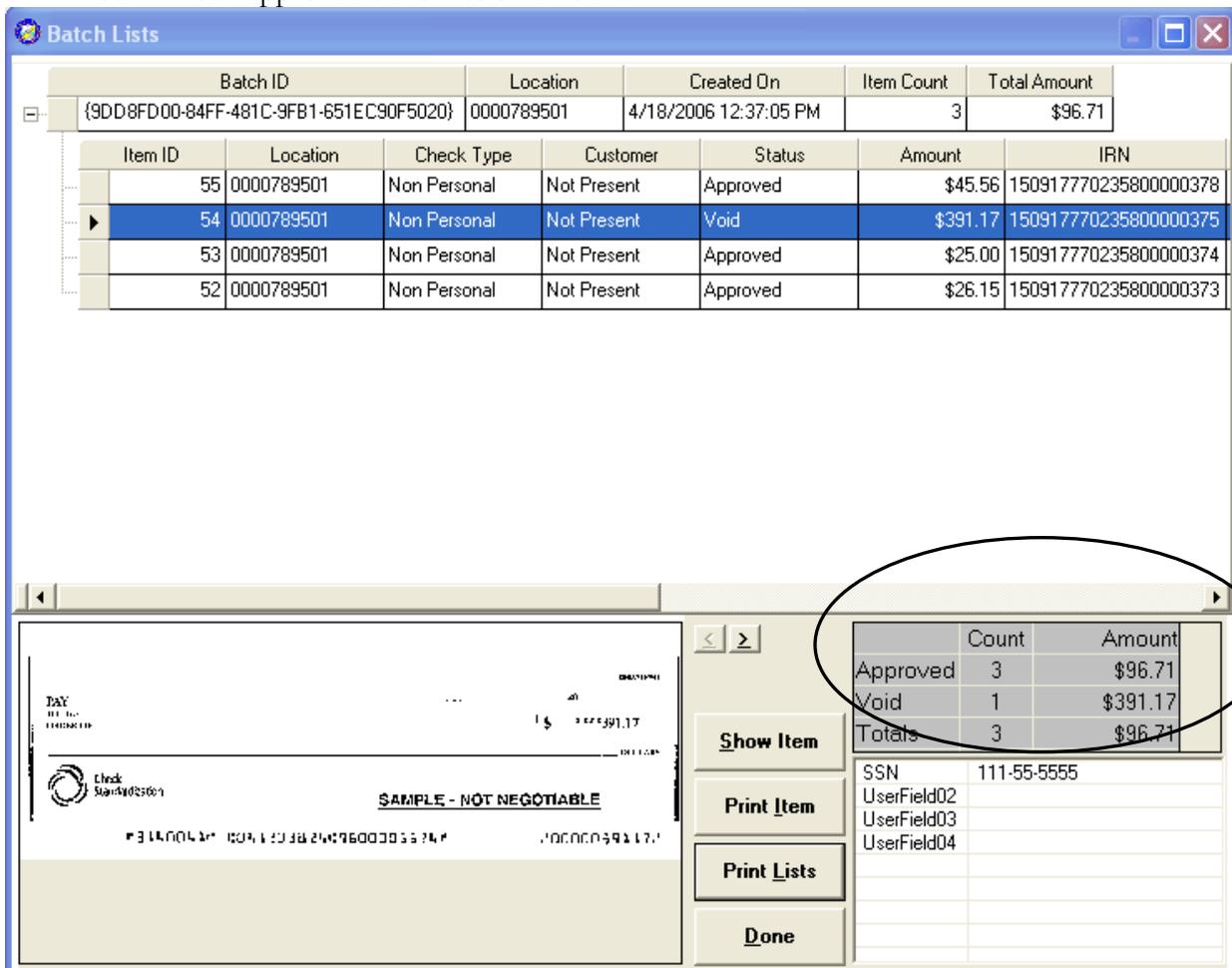


Figure 9.1

The Batch List is a report generated in the POS application by each cashier as the batch is closed and transmitted to ELVIS. A batch list may be created at any time before the batch is closed in addition to being created during the batch close process. After the batch has been closed, a batch list can still be printed using the 'Batch', 'Print', menu options from the Batch Manager module. The columns on the printed report found in Figure 9.2 represent:

Note: Use the horizontal scroll bar to view all of the columns.

Point-Of-Sale Standard Operating Procedures

- The first column marked with an ‘S’ represents the Status which can be A – Approved or V – Void
- The second column marked with a ‘T’ represents the Type which can be P – Personal or N – Non personal.
- IRN – Individual Reference Number. The unique number used to identify transactions within ELVIS.
- Date/Time – The date and time that the check is captured, in local time, on your computer.
- Bank No. – The nine-digit routing and transit number of the Financial Institution as found on the MICR line of the check.
- Account No. – The account number at the financial institution as found on the MICR line of the check
- Check No. – The number on the check, as found on the MICR line of the check.
- Amount – The dollar amount of the check that the cashier entered into the POS application.
- Configurable fields – Subsequent columns will list 1 through 24 configurable fields.

Batch List
 Batch : {01ED9E41-1C71-47EA-85EF-10428F4F8DAA}
 Date: 7/7/2006 11:57:07AM
 Printed By: sharon b

ALC: 0000789501
 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 Field
A	P	150917770235800000472	7/7/2006 11:55:31AM	043403224	7524795	6727	\$49.23	SocialSecurityNumbr 111227777
A	P	150917770235800000470	7/7/2006 11:54:58AM	043403224	7553928	2534	\$39.19	SocialSecurityNumbr 111883333

Sub Total: Count: 2 Amount: \$88.42
 ALC Total: Count: 2 Amount: \$88.42
 Grand Total: Count: 2 Amount: \$88.42

Figure 9.2

Note: Batches consist of only one cashier or POS operator. Each batch is per operator.

Activity Log and User Information

Activity Log

The Activity Log is an audit trail of activities that occur in the POS, SAT and Batch Manager Applications. Each login and logout is recorded along with the events that occur while a user is signed in. This includes, but is not limited to, checks scanned, checks voided, error messages, batch close and transmission. To view the POS activity log, click the **'View Log'** button from the main POS screen. To view the SAT activity log which includes entries reflecting Batch Manager activity, select **'File', 'Activity Log'** from the



menu or click the **'Activity'** icon from the SAT main screen.

Note: *The Batch Manager log is accessed from the SAT Activity Logs.*

To print the activity log from either the SAT or the POS:

1. Enter the date range. The beginning date should be the last date the log was printed, and the ending date should be the current date.
2. Select the event types, modules, and sources desired.
3. Click **'Print'** at the lower right of the screen.

POS Activity Log Report (Figure 9.3)

The fields found on this report include:

- Date/Time – The date and time that the event was recorded, based on the computer's clock setting.
- Source – Describes the source as either Point-Of-Sale, System Administration Tool (in the SAT activity log), or Batch Manager (in the SAT Activity log).
- Description – The description of the event being logged. (Error messages tend to have more description than what is displayed on the screen during an error condition.)

Point-Of-Sale Standard Operating Procedures



Activity Log

Date: 05/11/2006 3:13:48 PM

Printed By: sharon b

Date Time	Source	Description
05/11/2006 3:13:28 PM	Batch Manager	LAM Logon was successful. User Name : sharon b User ID : {B10D92F6-E48B-4914-889B-A4D4FD76BEF7}
05/11/2006 3:10:04 PM	System Administration	LAM Logon was successful. User Name : sharon b User ID : {B10D92F6-E48B-4914-889B-A4D4FD76BEF7}
05/11/2006 3:03:05 PM	Point-OfSale	LID Store item was successful. User Name : sharon b User ID : {B10D92F6-E48B-4914-889B-A4D4FD76BEF7} IRN : 150917770235800000432 Mode : Present Check Type : Personal
05/11/2006 2:57:07 PM	Point-OfSale	LAM Authorize void item was successful. User Name : sharon b User ID : {B10D92F6-E48B-4914-889B-A4D4FD76BEF7} Authorize User Name : sharon b Authorize User ID : {B10D92F6-E48B-4914-889B-A4D4FD76BEF7} } Comment : ldkjif
05/11/2006 2:57:07 PM	Point-OfSale	LID Void item was successful. User Name : sharon b

05/11/2006
Page 1

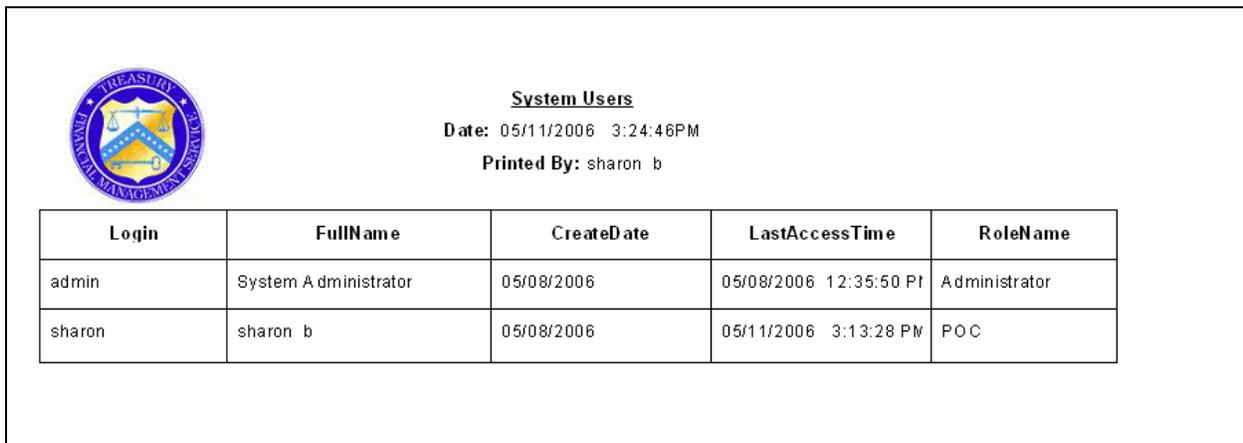
Figure 9.3

User Information

The User Administration screen in the SAT application provides user information including the user name, login, and role. This information should be printed prior to an application upgrade so users can easily be re-entered if needed, after an initial installation and configuration, and any time changes are made.

To access the user information:

1. Launch SAT application.
2. Click the **'Users'** button to view the user information.
3. Click the 'Print' button from the top of the User Administration window to print the user information (Figure 9.4).



Login	FullName	CreateDate	LastAccessTime	RoleName
admin	System A dministrator	05/08/2006	05/08/2006 12:35:50 PM	Administrator
sharon	sharon b	05/08/2006	05/11/2006 3:13:28 PM	POC

Figure 9.4

When complete, click the **'X'** at the upper right of the screen, or select 'File', 'Exit' from the menu at the top of the window to close the System User window.

ELVIS Reports

SF215 Deposit Ticket Report

NOTE: If a check adjustment occurs due to a processing anomaly, a separate 215 Deposit Ticket Report may be provided via email.

The Deposit Ticket Report will be available each business day, after 9:30am, for the prior day's transactions. It should be used to balance your work from the previous business day. The information on the report is as follows: (Figure 9.5)

ALC/DSSN – The 9-digit identifier used for accounting purposes to group transactions to a specific agency. The ninth digit in the ALC is a check digit used only by FRB-C. Multiple computers using the POS application may use the same ALC. The 10 digit ALC + 2 specifies an agency or type of location within the ALC and will have a name associated with it.

Deposit Ticket Number – The deposit ticket number as entered into the CA\$HLINK II system.

Fiscal Agent – This will be FRB Cleveland

Settlement Date – The date that the return posted to CA\$HLINK II also referred to as the payment date of the item, which is when the payment amount is debited from the check writer's account.

Detail – for ALC and Location Name

Cashier ID – The cashier ID that processed a group of checks at the POS.

Transaction Date – The date of the transaction (date the checks were scanned).

Summary Count – The total number of checks for a cashier for a specified transaction date.

Summary Amount – The total dollar amount of checks for a cashier for the specified transaction date.

Total ALC – Includes Summary of Transactions – The total dollar amount and number of transactions for all cashiers .

Summary Total of Dollars – The total dollar amount for the CA\$HLINK II entry for all cashiers and all transaction dates that were included in a single CA\$HLINK II entry.

Point-Of-Sale Standard Operating Procedures

SF5515 Debit Voucher Report

The Debit Voucher Report is available each business day for the prior day's transactions, and reports items that are being returned by financial institution due to uncollected funds. This report contains the following information: (Figure 9.6)

Location– The 10-digit identifier used for accounting purposes to group transactions to a specific ALC+2.
Fiscal Agent – The Federal Reserve Bank of Cleveland

Settlement Date – The date that the return posted to CA\$HLINK II also referred to as the payment date of the item, which is when the payment amount is debited from the check writer's account.

Location name – the descriptive name of the Location to which the 10-digit ALC belongs.

Debit Voucher Number - The debit voucher number as entered into the CA\$HLINK II system

Unique Transaction ID – The IRN number assigned by the scanner that follows each transaction through to the CIRA and FRB-C processing.

Date of Original Transaction – The date that the check was initially scanned by the cashier.

Original CA\$HLINK DTN – The deposit ticket number (DTN) that contained the original check processed.

\$ Amount – The dollar amount of the transaction being returned.

Cashier ID – The Cashier ID (full name of the operator) that initially processed the check.

Return Reason Code – The code that represents the reason for return. For a complete listing of Return Codes see Appendix B of this chapter.

Point-Of-Sale Standard Operating Procedures

Debit Voucher Report

First Prev Next Last Goto Page 1 of 1 75% Download Print

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

5515 Debit Voucher Report

From Date: 04/24/2006 To Date: 04/27/2006

Location: 0000789501

Fiscal Agent: FRB Cleveland

Settlement Date: 05/02/2006

Location Name: 0000789502

Description: Test Agency 5

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CASH - LINK DTN	\$ Amount	Cashier ID	Return Reason Code
000182	15101477020540000173	04/13/2006	000179	\$244.31	Nancy Test	01 - Insufficient Funds
000184	15101477020540000173	04/24/2006	000183	\$200.00	edit new user	10 - Customer Advises Not Authorized
000186	15101477020540000173	04/25/2006	000183	\$561.19	edit new user	02 - Account Closed
000187	15101477020540000173	04/25/2006	000183	\$400.00	edit new user	02 - Account Closed
000188	15101477020540000173	04/25/2006	000183	\$21.19	edit new user	08 - Payment Stopped
000189	15101477020540000173	04/25/2006	000183	\$10.00	edit new user	88 - Stop Payment on Source Document
000185	15101477020540000173	04/25/2006	000183	\$634.56	edit new user	87 - Source Document Presented for Payment
Summary number of transactions:		7				
Summary of total dollars:		\$2,071.25				

Page 1 of 1

Figure 9.6

Appendix B - Return Reason Codes

ACH Return Reason Codes

These return codes will be used when an item that has been converted to an ACH entry is returned. They are used by the paying institution from where the item is drawn, when they return an ACH transaction that was processed by the POS. The return reason code for a particular item is listed on the Debit Voucher Report. (SF5515).

Return Reason Code (RRC)	Description
R01	Insufficient funds
R02	Account closed
R03	No account/unable to locate account
R04	Invalid account number
R05	Unauthorized debit to consumer account using corporate SEC Code
R06	Returned per Originating Depository Financial Institution's request
R07	Authorization revoked by customer
R08	Payment stopped
R09	Uncollected funds
R10	Customer advises not authorized
R11	Check truncation entry return
R12	Branch sold to another Depository Financial Institution
R13	RDFI not qualified to participate a (ACH operator initiated)
R14	Representative Payee (account holder) deceased or unable to continue in that capacity
R15	Beneficiary or account holder (other than a representative payee) deceased
R16	Account frozen
R17	File record edit criteria
R18	Improper effective entry date (ACH operator initiated)
R19	Amount field error (ACH operator initiated)

Point-Of-Sale Standard Operating Procedures

R20	Non-transaction account
R21	Invalid company identification
R22	Invalid individual ID number
R23	Credit entry refused by receiver
R24	Duplicate entry
R25	Addenda Error
R26	Mandatory Field Error
R27	Trace Number Error
R28	Routing Number Check Digit Error
R29	Corporate customer advises not authorized (CCD)
R30	RDFI Not Participant in Check Truncation Program
R31	Permissible return entry (CCD)
R32	RDFI Non-Settlement
R33	Return of XCK Entry
R34	Limited Participation DFI
R35	Return of Improper Debit Entry
R36	Return of Improper Credit Entry
R37	Source document presented for payment (adjustment entries) (ARC)
R38	Stop payment on source document (adjustment entries)
R39	Improper Source Document
R40	Return of ENR Entry by Federal Government Agency (ENR only)
R51	Notice not provided/signature not authentic/Item altered/Ineligible for conversion/Amount of entry not accurately obtained from item
R40	Non Participant in ENR Program
R41	Invalid Transaction Code (ENR only)
R42	Routing Number/Check Digit Error
R43	Invalid DFI Account Number
R44	Invalid Individual ID Number
R45	Invalid Individual Name
R46	Invalid Representative Payee Indicator
R47	Duplicate Enrollment

Point-Of-Sale Standard Operating Procedures

R50	State Law Prohibits Truncated Checks
R51	Notice not provided/Signature not authentic/ Item altered/Ineligible for conversion
R52	Stop Pay on Item
R53	Item and ACH Entry Presented for Payment
R61	Misrouted Return
R62	Incorrect Trace Number Discontinued
R63	Incorrect Dollar Amount Discontinued
R64	Incorrect Individual Identification Discontinued
R65	Incorrect Transaction Code Discontinued
R66	Incorrect Company Identification Discontinued
R67	Duplicate Return
R68	Untimely Return
R69	Field Errors
R70	Permissible Return Entry Not Accepted
R71	Misrouted Dishonor Return
R72	Untimely Dishonored Return
R73	Timely Original Return
R74	Corrected Return
R75	Original Return not a Duplicate
R76	No Errors Found
R80	Cross-Border Payment Coding Error
R81	Non-Participant in Cross-Border Program
R82	Invalid Foreign Receiving DFI Identification
R83	Foreign Receiving DFI Unable to Settle
R84	Entry Not Processed by OGO (Originating Gateway Operator)

Check 21 Return Codes

These reason codes are used by the paying Financial Institution from where the item was drawn, when a Check 21 transaction is returned. The returned item was originally processed by the POS. The return reason code for a particular item is listed on the Debit Voucher Report (SF5515).

Return Code	Description
A	Not Sufficient Funds
B	Uncollected Funds Hold
C	Stop Payment
D	Closed Account
E	Unable to Locate Account
F	Frozen/Blocked Account
G	Stale Dated
H	Post Dated
I	Endorsement Missing
J	Endorsement Irregular
K	Signature(s) Missing
L	Signature(s) Irregular
M	Non Cash Item
N	Altered/Fictitious Item
O	Unable to Process
P	Item Exceeded Dollar Limit
Q	Not Authorized
R	Branch/Account Sold
S	Refer to Maker
T	Stop Payment Suspect
U	Unusable Image
V	Image Fails Security Check
W	Cannot Determine Account

Note: Items that will be processed via Check 21 include all non-personal items. Personal items may also be processed via Check 21.

Paper Check Return Codes

These reason codes are used by the paying Financial Institution from where the item was drawn, when a paper check transaction is returned. The returned item was originally processed by the POS. The return reason code for a particular item is listed on the Debit Voucher Report (SF5515).

201 - Insufficient Funds
202 - Uncollected Funds
203 - Account Closed
204 - Refer to Maker
205 - Payment Stopped
206 - Account Frozen
207 - Unable to Locate – Invalid Account
208 - Bankruptcy
209 - No Account
210 - Garnishment
211 - Signature Missing
212 - Signature Incomplete
213 - Two Signatures Required
214 - Signature Not on File
215 - Maker Deceased
216 - Non-Negotiable Item
217 - Amount Over Limit
218 - Payee Not Originating Company
219 - Better Bank Address
220 - Post Dated
221 - Stale Dated
222 - Amounts Differ
223 - Balance Held
224 - Fraud
225 - Miscellaneous Derogatory Return
226 - Unauthorized
300 - Loan Activator - Redeposit
301 - Loan Activator - Retire
302 - Foreign Item
303 – Payment MICR and Image MICR Differ
304 - Missing Item
305 - Duplicate
306 - Unidentified (Cannot Identify Maker as Customer)
307 - Item not Deposited by Originating Company
308 - Mutilated

Appendix C – System Administrator Responsibility

The Paper Check Conversion Over The Counter (PCC OTC) program will require the System Administrator to provide a small, but important, amount of system support at initial deployment. Basic System Administrator support will primarily be related to the initial deployment of the system. System Administrator support may also be needed for troubleshooting and equipment tracking.

System Administrator Support Prior to Deployment

The System Administrator will be responsible for working with the designated agency contact (i.e. Point-Of-Contact, Disbursing Officer, etc.) in order to complete the Agency Site Profile (ASP). Generally the ASP will require the System Administrator to:

1. Identify the local baseline software and install baseline software as needed.
2. Identify the hardware specifications of the computer to be used for the PCC OTC.
3. Provide a LAN drop for the system if PC is not already connected to the LAN.
4. Reserve an IP address (may not be necessary at your location).
5. Other items relating to electrical power.

Basic System Administrator Support at the Time of Deployment

The System Administrator is responsible for the following at the time of deployment:

1. Install the local baseline software package, hot fixes, and user settings if not done prior to deployment.
2. Assign an IP address to the computer (if needed) and make it a member of the local network. This step is only necessary if your Agency uses a static IP address.
3. Ensure that the computer has access to the Internet (usually through the LAN) at 128 bit encryption.
4. Set up the computer to print out on the network printer (or local printer if no network printer is available).
5. Set up the designated agency contact and Cashiers to have read/write access to the RDM folder on the hard drive and its secondary drive and have permissions set to all access to the network printer.
6. Request copy of POS software from deployment specialist.
7. Test in QA-E (Quality Assurance External site) to ensure connectivity.
8. Ensure that the computer has a secondary storage unit such as a USB Flash drive, or PCMCIA storage card. A network shared drive can also be used for secondary storage.
9. Make sure that all operators of the POS software have access to use the internet from the workstation.

Continuing System Administrator Support

See the *Troubleshooting* section for hardware issues pertaining to the PCC OTC computer and scanner.

FOR ALL OTHER ISSUES PLEASE CONTACT YOUR AGENCY PCC OTC POINT OF CONTACT OR CALL THE FEDERAL RESERVE BANK OF CLEVELAND AT

216-579-2112, OR 800-624-1373, MILITARY DSN 510-428-6824, OPTION 4, OPTION 5, OR OPTION 4, OR SEND AN EMAIL TO PCCOTC@CLEV.FRB.ORG.

Appendix D – Equipment Returns

If you experience problems with your PCC OTC equipment that was purchased from FMB/FRB-C, contact the PCC OTC Customer Service staff. A Customer Service staff member will verify your warranty information (if any) and dollar valuation on the following pieces of equipment: Laptops, Scanners and Yes/No keypads. Otherwise, if you have purchased PCC OTC equipment directly from a vendor, please contact the vendor for warranty and/or repair information.

If the warranty is active, use the following address for equipment returns:

PCC OTC Deployment Center
Federal Reserve Bank of Cleveland
1455 E. 6th Street – Ground Floor, Main Building
Cleveland, OH 44114
Telephone 216.579.2000

Equipment should be returned either by certified mail with return receipt, or FedEx. When using either method, please purchase insurance for equipment's full dollar a value. Please include a note explaining the reason for return, i.e., describing the damaged or defective equipment.

In the event that the warranty has expired on the your PCC OTC equipment, please call your Point of Contact for further instructions on possible equipment repairs or new equipment purchases.

Appendix E – PCC OTC User Access Request Form for ELVIS

The **PCC OTC Access Request Form** is used primarily to request user access to the ELVIS Application. It should also be used when making a change to an existing user, and when deleting a user. Signatures are not required. Request forms must be completed and emailed to the Federal Reserve Bank of Cleveland, Information Security Department at: PCCOTC.SECURITY@CLEV.FRB.ORG. The email request must come from an authorized security contact's known email address. The form is available electronically at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>. Instructions on completing the form are also included.

If you have questions regarding this form, please contact the PCC OTC Customer Service team at Phone: 216-579-2112 or 800-624-1373 DSN (510) 428-6824, option 4, option 5, option 4.

Appendix G – R5.2 Roles for ELVIS

The Security Contact for your Agency assigns a specific role to each person who needs access to PCC OTC information in ELVIS. Your agency may utilize any role (listed across the top) from the one of the following two grids as you see fit for your business.

The following Roles are without MVD (Master Verification Database) permissions. Agencies who are not using our optional negative list should select roles from this area.

ELVIS Permissions	Agency Manager1	CIRA	CIRA / Reports	CIRA / Reports/CSV	POS Download
Read Locations	Y	Y	Y	Y	
Read CIRA records	Y	Y	Y	Y	
Read Agency Statistical Reports	Y		Y	Y	
Read CIRA CSV Report	Y			Y	
Read Deposit Ticket Report	Y		Y	Y	
Read Debit Voucher Report	Y		Y	Y	
Read General Agency Reports	Y		Y	Y	
Create Verification Records					
Update Verification Records					
Read Verification Records					
Read Block record containing only ABA					
POS Download					Y

Point-Of-Sale Standard Operating Procedures

The following Roles include MVD permissions. Agencies who are using our optional negative list should select roles from this area.

ELVIS Permissions	Agency Manager2	MVD Edit	MVD Edit/CIRA	MVD Edit/CIRA/ Reports	MVD Edit/CIRA/ Reports/CSV	MVD View	MVD View/CIRA	MVD View/CIRA/ Reports	MVD View/CIRA/ Reports/CSV	POS Download
Read Locations	Y	Y	Y	Y	Y	Y	Y	Y	Y	
Read CIRA records	Y		Y	Y	Y		Y	Y	Y	
Read Agency Statistical Reports	Y			Y	Y			Y	Y	
Read CIRA CSV Report	Y				Y				Y	
Read Deposit Ticket Report	Y			Y	Y			Y	Y	
Read Debit Voucher Report	Y			Y	Y			Y	Y	
Read General Agency Reports	Y			Y	Y			Y	Y	
Create Verification Records	Y	Y	Y	Y	Y					
Update Verification Records	Y	Y	Y	Y	Y					
Read Verification Records	Y	Y	Y	Y	Y	Y	Y	Y	Y	
Read Block record containing only ABA	Y	Y	Y	Y	Y	Y	Y	Y	Y	
POS Download										Y

Appendix H – PCC OTC Security Contact Authorization Form for ELVIS

This form is completed by those individuals that are authorized to approve other individual's access to ELVIS. Please note that a person is not eligible to authorize him/herself. Please complete the form on the following page. Since this form is subject to change, the most current version of this form can be found at: <https://www.pccotc.gov/pccotc/Downloads/download.htm>.

A yearly review will take place by the FRB-C's Information Security Department. Security Contacts will be asked to confirm the names of the individual's that have access to the system.

Paper Check Conversion Over The Counter (PCC OTC) Security Contact Authorization Form

This form is used to designate individuals who are authorized to approve other individual's access to the Paper Check Conversion Over the Counter (PCC OTC) System. **Please note that a person is not eligible to authorize him/herself.**

Location Name: _____

Eight digit ALC or four digit DSSN: _____

Below, list the site(s) over which these PCC OTC Security Contacts has authorization: (please check only one)

- All locations for ALC
- Specific Locations (Please list specific location names below)

PCC OTC Security Contact: _____
Signature _____ Date _____

Name & Title (printed or typed)

E-mail _____ Phone (Commercial and DSN Country Code) _____

PCC OTC Security Contact: _____
Signature _____ Date _____

Name & Title (printed or typed)

E-mail _____ Phone (Commercial and DSN Country Code) _____

Approved by: I hereby approve the above individual(s) as PCC OTC Security Contact(s) to submit user requests allowing access to the PCC OTC System on behalf of my agency site.

Managerial Level Signature _____ Date _____

Name & Title (printed or typed)

E-mail _____ Phone (Commercial and DSN Country Code) _____

Return this form to: Federal Reserve Bank of Cleveland
1455 E. Sixth St., Cleveland Ohio 44101-1387
Attn: Information Security Department
FAX: 216-579-3175
Email: PCCOTC.Security@clev.frb.org

Appendix I – Instructions for Completing the PCC OTC Security Contact Authorization Form.

Instructions for completing the Paper Check Conversion Over the Counter (PCC OTC) Security Contact Authorization Form

The purpose of the PCC OTC Security Contact Authorization Form is to designate PCC OTC Security Contacts. These contacts are authorized to request access be granted to another individual to the PCC OTC System. It must be approved by a third party in a managerial position and a person cannot authorize him/herself.

Please note all changes must be approved by an individual with a managerial level position. Since signatures are required, this form must be faxed to FRB Cleveland, scanned and sent via email, or sent to the address information at the bottom of the form.

Location Name: Please specify the location(s) to which the Security Contact is authorized to request user access.

Eight Digit ALC or four digit DSSN:

For Agencies: Provide the 8-digit Agency Location Code.

For Military: Provide the 4-digit Disbursing Station Symbol Number.

List the site(s) over which the PCC OTC Security Contact has authorization: Check only one of the two boxes. The PCC OTC Security Contact(s) can be issued authorization over all of the sites for the ALC or for specific sites. If specific sites are chosen, please supply a list of the site names in the space provided. Please be as detailed as possible when describing each site.

PCC OTC Security Contact: The PCC OTC Security Contact is the person(s) who has the authorization to request access be granted to another individual to use the PCC OTC System. Use this section to designate a person to be a Security Contact and provide the name of the PCC OTC Security Contact.

Signature: The PCC OTC Security Contact must provide their signature.

Date: Provide the date that the form was signed.

Name and Title: Print or type the PCC OTC Security Contact's first and last name and provide their job title.

E-mail: Provide the PCC OTC Security Contact's email address.

Phone: Provide the PCC OTC Security Contact's work telephone number (commercial and/or DSN – Defense Switched Network for Military).

Point-Of-Sale Standard Operating Procedures

PCC OTC Security Contact: Designate a second person who can request access to the MVD/CIRA be granted to another individual. It is **strongly recommended** that you supply a second PCC OTC Security Contact person. Please supply the same information for this person as was supplied for the first PCC OTC Security Contact (above).

Approved by: This form must be approved (signed) by a person in your area that is in a managerial level position or higher. **(Note: cannot be the same person as the PCC OTC Security Contact).**

Date: Provide the date that the form was signed.

Name and Title: Print or type the full name of the approver.

E-mail: Provide the email address of the approver.

Phone: Provide the work telephone number of the approver. (Commercial and/or DSN – Defense Switched Network for Military).

Note: Since signatures are required, this form must be faxed to FRB Cleveland, scanned and sent via email, or sent to the address information at the bottom of this form.

Appendix J – PCC OTC Rules of Behavior

PCC OTC System IT Security Rules of Behavior

The PCC OTC Rules of Behavior will be electronically displayed to each new user, and current users on a yearly basis (Figure 9.7). Upon sign on to the ELVIS system, the PCC OTC Rules of Behavior will appear on the user’s screen. They will be asked to read the rules, then click the ‘I Agree’ button at the bottom of the screen. User’s who click the ‘Decline’ button will not be permitted access to the system.

If you have any question concerning the Rules of Behavior, please call the PCC OTC Customer Support at 216-579-2112, or 1-800-624-1373, or for Military personnel using a DSN line call 510-428-6824, option 4, option 5, option 4.

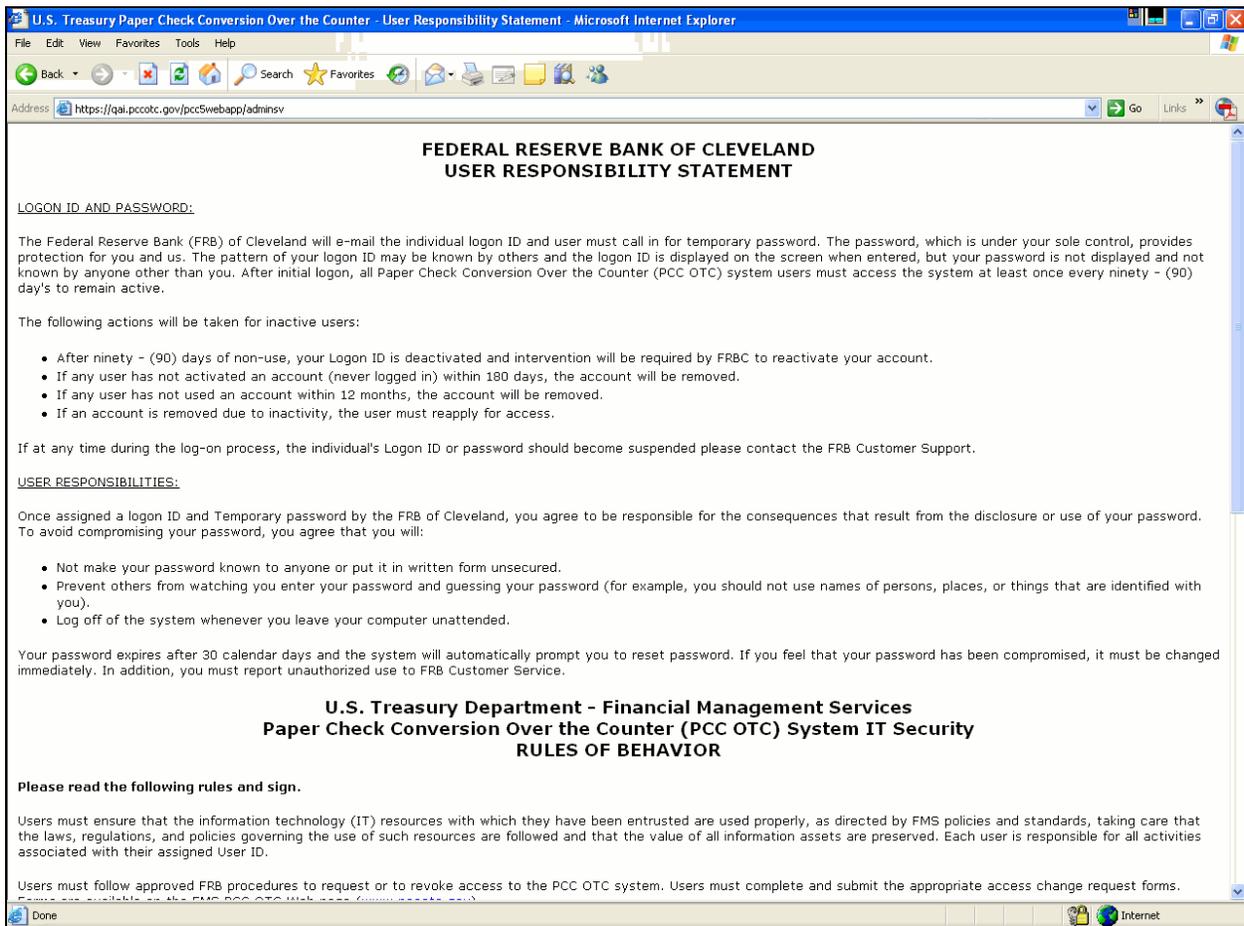


Figure 9.7

Appendix K – System Permission Descriptions for the POS

The following permissions are available using the SAT System Role Configuration. A check to the left of the permission indicates that that role/user has been given that permission.

Permission Name	Used to...
AuthorizeDuplicates	Allows a user to accept a duplicate within the POS.
AuthorizeMICRCorrection	Allows a user to make MICR corrections within the POS.
AuthorizeOldVerification	Allows usage of an LVD database that was not updated for more than a configurable number of days (“Supervisor override required” setting).
AuthorizePoorImageQuality	Allows a user to accept items whose images are of poor quality within the POS.
BalanceCheckAmounts	Allows a user to balance check amounts within the POS or Batch Manager.
ChangeBatchControlValues	Allows a user to change batch control values within the POS or Batch Manager.
ChangeBatchStatus	Allows performing the following batch operations in Batch Manager:
ChangeMode	Allows a user to switch between customer present and customer not present modes during transaction entry on the POS’s main screen.
ChangeOwnPassword	Allows users to change their password on the login dialog.
CloseBatch	Allows a user to close an open batch within the POS.
ConfigureBatchManager	Allows a user to change Batch Manager configuration settings such as columns shown, column order and column move.
ConfigurePOS	Allows changing all POS settings including scanner comm. Port, terminal ID, and enable/disable Yes/No Keypad (excludes printer settings, see “Setup printer” permission below).
ConfigureRoles	Allows a user to add, edit or delete system roles
ConfigureSystem	Allows configuring SAT settings including LVD usage, ALC maintenance, and receipt printing.
ConfigureUsers	Allows a user to add, edit, or delete users from the system.
EditBatch	Allows editing an item in Batch Manager.
OverrideVerification	Allows a user to override a denial as returned from the Verification.
ProcessTransactions	Allows a user the ability to scan new items into the POS.
RecoverFromSecondaryStorage	Allows a user to initiate the recover function, thereby restoring (overwriting) the current database from the secondary storage location.
ResetLVD	Allows a user to clear all of the records from the LVD (to be re-populated through a subsequent update LVD operation)
Setup printer	Allows a user to setup a default printer for the POS or SAT operations.
UpdateLVD	Allows a user to request updates (or entire database if LVD reset has occurred) of verification records to the LVD from the MVD.
UpgradeApplication	Allows a user to extract an upgraded application from the local database (once it has been downloaded from the host) and launch the installation procedure.
ViewActivityLog	Allows a user to view activity log entries of the completed audit trail within the system.
ViewBatchList	Allows a user to launch the View Batch List function within the POS or Batch Manager.
VoidItems DuringBalancing	Allows a user to void items during balancing within the POS or Batch Manager
Void transaction	Allows a user to void a previously processed transaction within the POS or Batch Manager.

Appendix L – Setting the EC6000i and EC7000i scanner to Frank Acknowledgments

The EC6000i/EC700i scanner comes with an ink roller that can be used to automatically stamp the check 'Electronically Presented'. This is an optional feature. It is defaulted to inactive when the POS software is installed but it can be activated by an authorized user. To activate, click on **'File', 'Configuration'** within POS. Click on the 'Devices' tab, then check the 'Franking' box as pictured below in Figure 9.8.

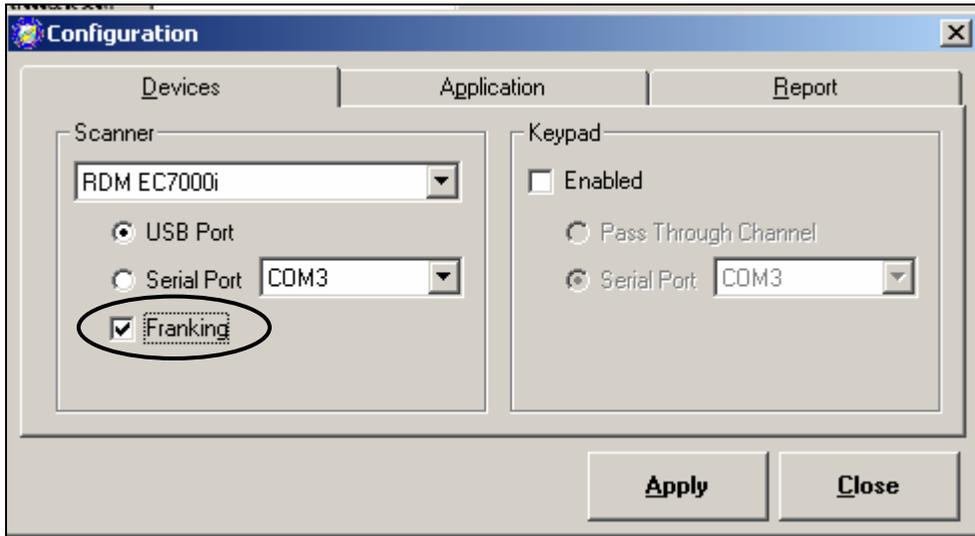
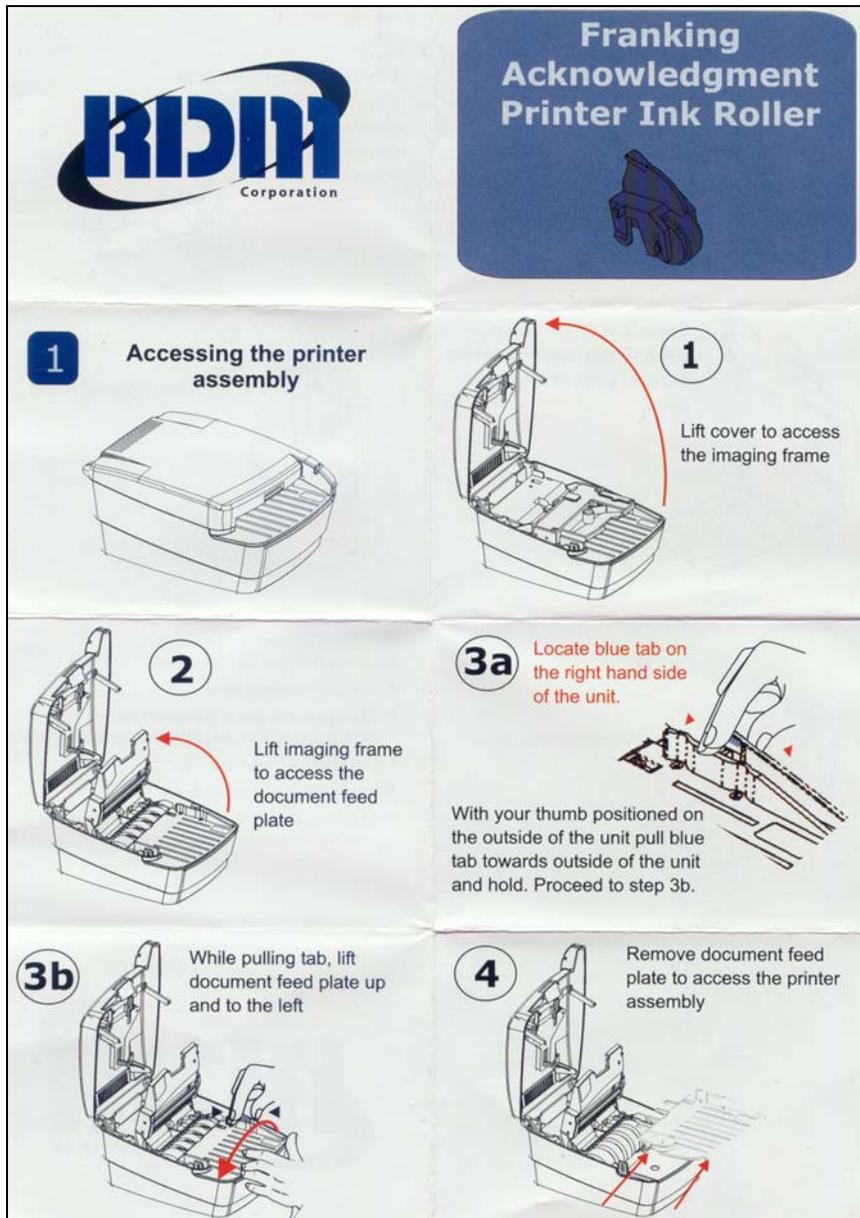
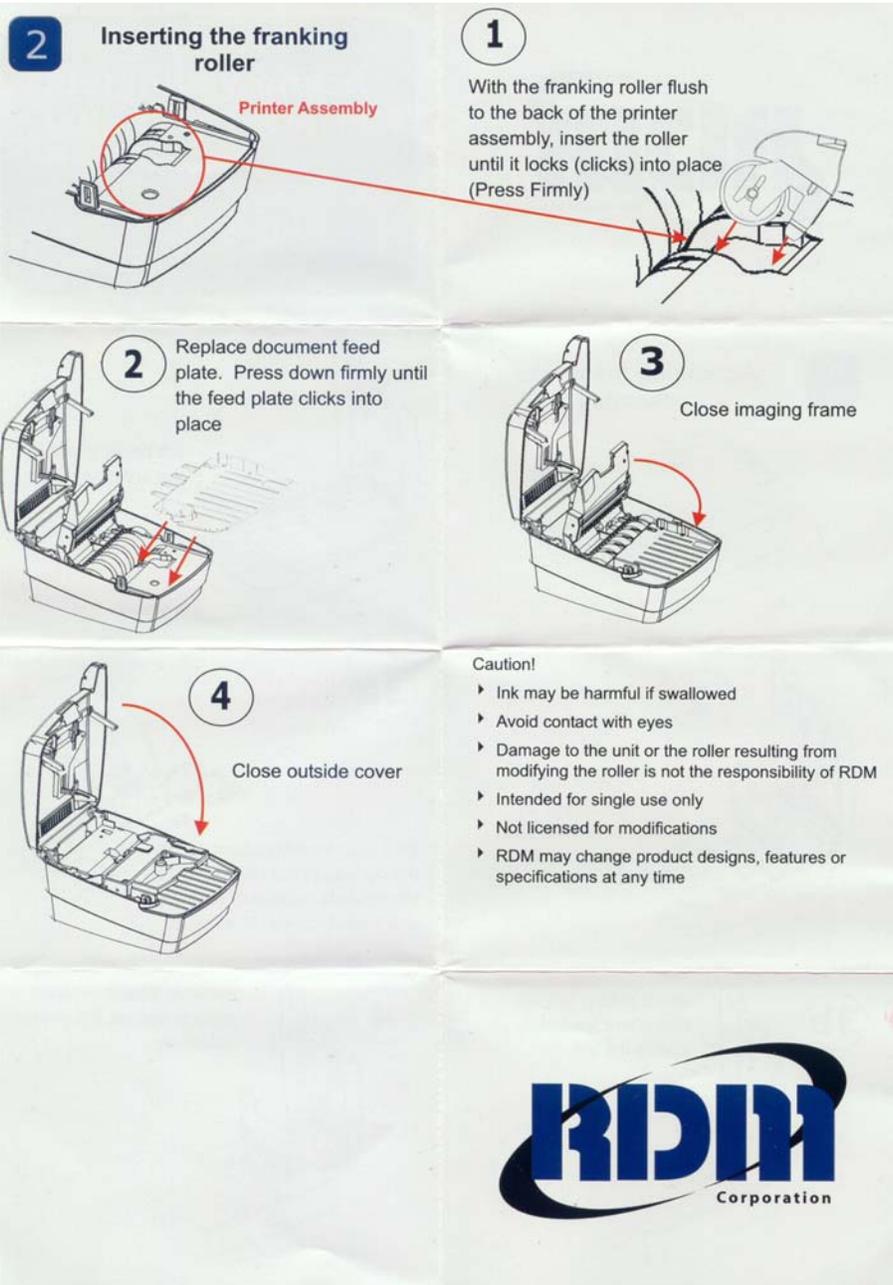


Figure 9.8

Installing the Ink Roller

To install the ink roller in the EC6000i and EC7000i, follow these steps:





Appendix M – RDM Scanner Information

Refer to the RDM EC5000i or RDM EC6000i/EC7000i User Manual at the end of this SOP for more detailed information on the PCC OTC scanner.

Appendix N – Personnel Change Over

NOTE: Access should be changed on all equipment and backup equipment.

Follow the following procedures are for access changes to the POS and ELVIS.

POS Access

POC stands for Point of Contact. The PCC OTC Point of Contact is the person or persons responsible for the POS system. The POC determines who should have access to the POS system and what levels of access each user should possess. When a **POC** is replaced, access to the POS system needs to be given to the new POC.

When the POS software is installed, an ‘admin’ user is built into the system. The ‘admin’ user has the role of ‘administrator’. The ‘admin’ user is not owned by a single person. It does not contain a high level of authority but it extremely important especially in the event that the POC cannot remember their password or becomes locked out of the system. Its purpose is to grant access to the POC so the POC can create, edit, and delete users. It will also be used by a POC to reset their own password should they forget it or become locked out.

When there is a change to the person or persons assigned the POC position, the existing POC must logon as the ‘admin’ user, type the admin password then select ‘Change Password’. The **new** POC must type a new password for the ‘admin’ user. It is recommended that the password be written down and locked in a secure space – see the ‘Note’ below.

The new POC must start by adding themselves as a user to the system with their own name and temporary password, with the role of POC – which is the highest level of access within the POS system. The POC will then need to sign off as ‘admin’ and sign on as themselves. The system will prompt them to change their temporary password. Once they have successfully signed on, the POC can then create, edit or delete users on that POS terminal and should, most likely, begin by deleting the old POC from the system. The resetting of the ‘admin’ password will need to be completed on each POS terminal. POS terminals are not linked together and do not share password files.

As a word of caution, the ‘admin’ user can become locked out of the system for failed password attempts. The default is 3 attempts (for all users) but can be different based on your POS’s configuration settings. Should the ‘admin’ user become locked out, the only way to restore this default user is to reinstall the POS software.

Note: Once the 'admin' password has been changed, it should be written down and locked up for future use. If, at any time, the SAT system cannot be accessed via the 'admin' logon because the password is not known, the only way to access the SAT is to uninstall and reinstall the POS software. Keeping track (and tight security) of the 'admin' password is crucial. It is very important to remember that the 'admin' user ID will only be used in an emergency situation and not be used as a daily logon ID.

ELVIS Access

If applicable, access to ELVIS needs to be given to the new system administrator. Personnel no longer requiring access to your site's business activity (in ELVIS) need to be removed. Adding, changing and deleting users is done by completing the PCC OTC Access Request Form that is found in this chapter of the SOP. Instructions on completing the form are also found in this chapter of the SOP, or for the most current form, download the form at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>.

All users of the ELVIS system must read and agree to the electronic Rules of Behavior form. The Rules of Behavior will appear on the user's screen upon their first login to ELVIS and yearly, thereafter.

The PCC OTC Security Contact Authorization form must also be completed and submitted to the Federal Reserve Bank of Cleveland as indicated on the form. This form designates individuals at each Agency that are authorized to request access to the ELVIS system for other individuals. This form can also be found in this chapter of the SOP, or for the most current form, download the form at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>

Once a year, an email will be sent to the individual that authorizes the 'Change Request Form' to verify the personnel that have access are still valid. i

Appendix O – Glossary

ABA - American Bankers Association 9-digit routing and transit number.

ACH: Automated Clearing House – Electronic method of collection

ACK: Abbreviation for Acknowledgement.

ACL: Access Control List - a set of data that informs a computer's operating system which permissions, or access rights, that each user or group has to a specific system object, such as a directory or file.

APA: Agency Participation Agreement. A document provided by FMS and must be completed prior to participating in the PCC OTC program.

ASP: Agency Site Profile – A document that will be used to provide specific payment information to FMS prior to processing transactions.

ALC: Agency Location Code - An eight digit number identifying a governmental agency for accounting purposes – used in the CA\$HLINK II system to distribute funds.

ALC+2: Agency Location Code plus 2 - The agency identifying code plus a unique two digit number that is used in POS to identify a cashflow. This number is assigned by the FRB-C.

ARC: Accounts Receivable Entry– the ACH standard entry class code for a consumer payment processed in a Person Not Present environment and converted to ACH.

Bank Account Number: The account number of the check writer

Banking Day: A business day on which an office of a financial institution is open to the public for carrying on substantially all of its banking functions. This excludes holidays observed by the Federal Reserve System.

Bank Routing Number: The 9-digit Bank Routing number.

Batch: A collection of items (scanned checks).

Cashflow: Collections belonging to an Agency for a specific business purpose. A unique ALC+2 is assigned to identify an individual cashflow.

CCD: Cash Concentration or Disbursement. The ACH standard entry class code that is used for a non-personal payment processed in a Person Not Present environment and converted to ACH.

Centralized deployment: The component that allows for the electronic download of upgrades to the POS system.

Point-Of-Sale Standard Operating Procedures

Check 21: ‘Check Clearing for the 21st Century’ Act. The act was signed into law on October 28, 2003. Provisions of the law took effect on October 28, 2004. Check 21 provides the legal framework for the creation of substitute checks, which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. For more information, see the *Introduction* chapter of this SOP.

Check Capture Date: The date the check was processed by the POS computer.

CIRA: Central Image and Research Archive: The image archive component of ELVIS that authorized users will be able to view transactions and reports via a web site.

Configurable fields: Agency Unique fields identified by each Agency and used on the Agency’s data entry screens in the POS.

Deposit Ticket Report (215 Report): The report provided by the FRB-C to an Agency that Funds have been deposited into their CA\$HLINK II account.

Debit Voucher Report (5515 Report): The report provided by the FRB-C to an Agency that Funds have been debited from their CA\$HLINK II account.

Dpi: Dots per inch, which indicates the resolution of images.

DTN: Deposit Ticket Number: The unique identifier set for all items that are being credited into CA\$HLINK II for a given Agency.

DVN: Debit Voucher Number: The unique identifier reflecting a debit from CA\$HLINK II for a given Agency. This entry represents items returned to an Agency because of unsuccessful collection efforts that an Agency will need to collect.

ELVIS: ELectronic Verification & Image System – core of the PCC OTC System that contains 3 major components which are; the CIRA, Verification database, and Reporting.

FedACH: FedACH is the Federal Reserve System's Automated Clearing House (ACH) system. The ACH enables debits and credits to be sent electronically between depository financial institutions.

Firewall: A system designed to prevent unauthorized access to or from a private network

FRB-C: Federal Reserve Bank of Cleveland

IRN: Individual Reference Number: The unique number used to identify transactions within ELVIS.

Item Status: Item statuses are defined below:

Received - The Agency has sent this transaction into ELVIS. No settlement has been performed for this transaction yet.

Failed - The item was unable to be processed and/or settled by FRB-C.

Point-Of-Sale Standard Operating Procedures

Settled- This transaction is complete and the funds have been credited to the Agency's CA\$HLINK II account. The effective date of the deposit and the 215 Deposit Ticket Report deposit ticket number will be provided.

Represented- This transaction was returned with a reason code that allows for another collection attempt to be made. Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

Retired- This transaction was unable to be collected. The Agency will receive a 5515 Report (Debit Voucher) with a debit processed to CA\$HLINK II and the effective date and debit voucher number will be provided. The offset to the agency's debit was an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through PCC OTC.

JRE.exe file: Java Runtime Environment executable file. A subset of the Java Development Kit (JDK) that contains the core executables and files that constitutes the standard Java platform. The JRE includes the Java Virtual Machine (JVM), core classes, and supporting files.

Login: The name assigned to a user and used to sign into the POS, SAT, Batch Manager, or the ELVIS system along with a unique password.

LVD: Local Verification Database. The LVD is an optional verification database that resides on each POS terminal. The information in the LVD prevents checks being cashed on accounts, or other agencies specified criteria, that is a violation of the agency's policy.

MICR: Magnetic Ink Character Recognition. A character recognition system using special ink and characters which can be magnetized and read automatically. This line is at the bottom of a check representing payment information such as routing number, account number, and check number.

MVD: Master Verification Database. The Master Verification Database is an online database that maintains the agency hierarchy check cashing policy, dishonored check information, and manually entered blocked items based on an agency's policy. The Master Verification Database (MVD) provides downloads of negative check information and blocked items (of previous PCC OTC returned transactions) to the POS via the Local Verification Database (LVD) on a daily basis.

NACHA: National Automated Clearing House Association. The Electronic Payments Association that sets guidelines for the ACH payments mechanism.

PCC OTC: Paper Check Conversion Over the Counter.

Person Present Mode: The mode used in the POS when the check writer is presenting the check in person.

Person Not Present Mode: The mode used in the POS when the check writer is not present and has delivered the check in another manner, i.e., mail.

Point of Contact (POC): The person within an Agency that is the designated PCC OTC Point of Contact.

Received Date: The date the check was received into ELVIS.

Secondary Storage: The POS requires the use of a secondary storage device or drive. The secondary storage, or mirror image, retains the batch information and check image prior to transmission to ELVIS. The mirror image is a back-up drive in case the hard drive crashes or data on the hard drive becomes corrupt.

Settlement Date: Payment date of the item, which is when the payment amount is debited from the check writer's account.

System Administrator – An Agency's internal IT (Information Technology) personnel or IT contact person.

Tray Manager: Part of the PCC OTC POS software. It runs in the background and controls all functionality within the POS/SAT/Batch Manager.

Appendix P – Acronyms

ABA - American Bankers Association

ACH – Automated Clearing House

ACL - Access Control List

APA - Agency Participation Agreement

ASP – Agency Site Profile

BM – Batch Manager

CIRA – Central Image Research Archive

DVN – Debit Voucher Number

DTN - Deposit Ticket Number

ELVIS - **E**lectronic **V**erification and **I**mage **S**ervice

FIPS - Federal Information Processing Standard

FRB-C – Federal Reserve Bank of Cleveland

FRIT - Federal Reserve Information Technology

GB - Gigabyte

GHz – Gigahertz

IP – Internet Protocol

IT – Information Technology

JRE – Java Runtime Environment

LAN – Local Area Network. A computer network that spans a relatively small area

LVD – Local Verification Database

MICR - Magnetic Ink Character Recognition

Point-Of-Sale Standard Operating Procedures

MSDE – Microsoft Desktop Engine

MVD – Master Verification Database

PCC OTC – Paper Check Conversion Over the Counter

PCMCIA– Personal Computer Memory Card International Association

POC – Point of Contact. The person within an Agency that is the designated PCC OTC Point of Contact.

POS – Point of Sale

R5.1 – Release 5.1 (of the POS and ELVIS).

RAM – Random Access Memory

SAT – System Administration Tool

SOP – Standard Operating Procedure.

SOAP – Simple Object Access Protocol

SSL – Secure Socket Layer encryption

TWAI - Treasury Web Applications Infrastructure

URL – Uniform Resource Locator

USB – Universal Serial Bus

UST – United States Treasury

WSDL – Web Services Description Language

XML – Extendable Mark-up Language (Industry Standard)

Appendix Q – Image Quality

The POS Release 5.1 has a new feature that checks for the image quality of every check scanned. Agencies can, however, choose to override a poor image in hopes that it will process anyway. The following examples are of a poor image scan (Figure 9.9), and an image of good quality (Figure 9.10). Agencies should be aware that overriding a poor image may result in a returned item, depending upon the paying financial institution.

Poor Image Quality:

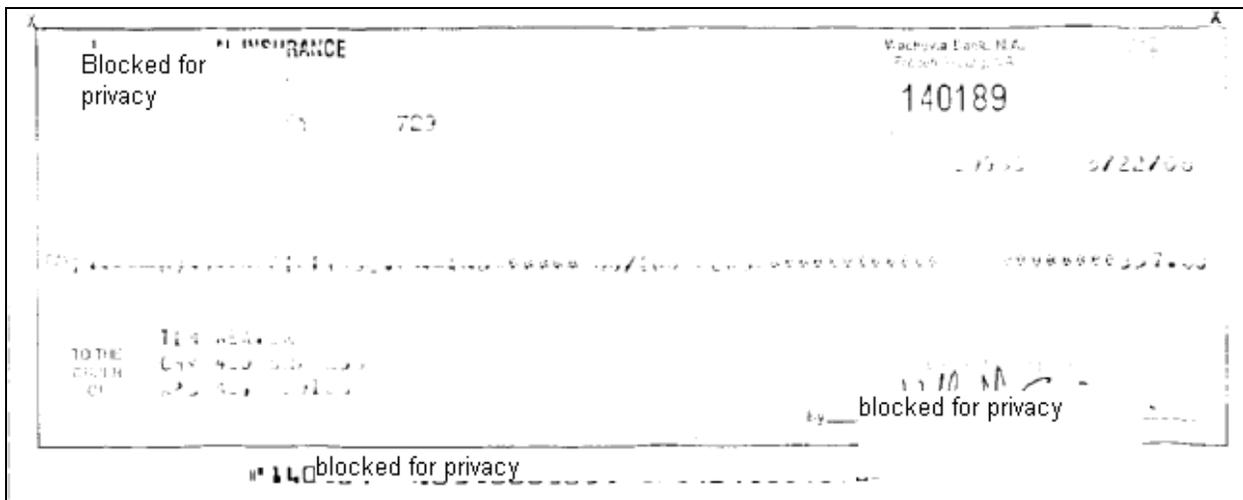


Figure 9.9

Good Image Quality:

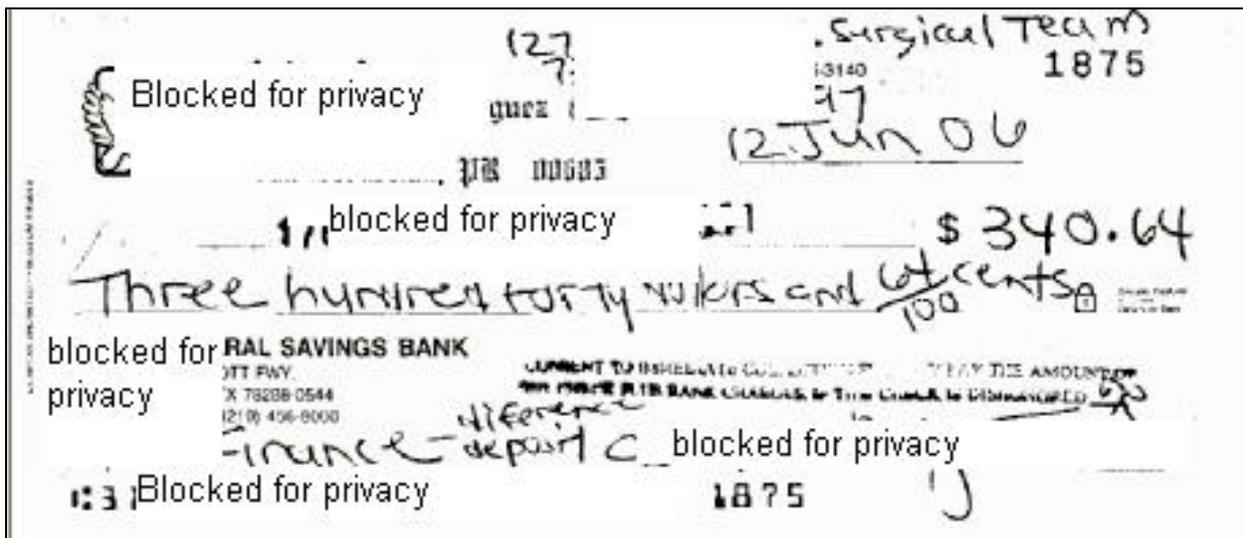


Figure 9.10

Appendix R – CIRA CSV File Layout

Introduction

This document contains all of the fields available through the file layout for CIRA CSV reports implemented in PCC OTC r5.1. The CSV report provides input into downstream systems, and provides PCC OTC r5.1 users with a facility to download item information in a standard format.

Layout

The CIRA CSV report consists of multiple lines and is defined as follows:

- Each line is terminated by a carriage return followed by a new line (0D0A).
- The first 5 lines always exist. The real csv data begins on line 6.
- The file is terminated by an empty line followed by 0D0A.

Available Fields

All possible fields found in the report are listed below.

- IRN
- LOCATION NAME
- CAPTURE DATE
- RECEIVE DATE
- TRANSIT NUMBER
- CHECK NUMBER
- ACCOUNT
- AMOUNT
- CASHIER ID
- CHECK TYPE
- PROCESSING MODE
- BATCHID
- SETTLEMENT DATE
- DEBIT VOUCHER NUMBER
- DEPOSIT TICKET NUMBER
- USER FIELD 1
- USER FIELD 2
- USER FIELD 3
- USER FIELD 4
- USER FIELD 5
- USER FIELD 6
- USER FIELD 7
- USER FIELD 8
- USER FIELD 9
- USER FIELD 10
- USER FIELD 11
- USER FIELD 12
- USER FIELD 13
- USER FIELD 14

Point-Of-Sale Standard Operating Procedures

- USER FIELD 15
- USER FIELD 16
- USER FIELD 17
- USER FIELD 18
- USER FIELD 19
- USER FIELD 20
- USER FIELD 21
- USER FIELD 22
- USER FIELD 23
- USER FIELD 24

Note: Not all USER FIELD fields may exist. Depending on the ALC+2 form, only four USER FIELD fields may exist in a report. You can have a maximum of 24 USER FIELD fields.

File Layout

This section defines the size of all fields and the order in which the fields are laid out within the file.

Line Number	Field Number	Name	Type	Format/Sample	Description
1	1.	Report Title	String	CSV Agency Detailed Item Report	Report Title Constant
2	1.	Date/Time	String	Thu May 05 12:27:53 EDT 2005	Date that the report was executed
3	1.	Total Amount	String	TOTAL AMOUNT :	Constant String
	2.	Total Amount Value	Float	39594.43	Total dollar amount of the items queried
4	1.	Total number of items	String	TOTAL NUMBER OF ITEMS :	Constant String
	2.	Total number of items value	Number	81	Number of items queried
5	1.	IRN	String	IRN	Constant String column header, value of the IRN
	2.	LOCATION NAME	String	LOCATION NAME	Constant String column header, ALC+2
	3.	CAPTURE DATE	String	CAPTURE DATE	Constant String column header, Time the image and data was originally captured
	4.	RECEIVE DATE	String	RECEIVE DATE	Constant String column header, Time the data was processed by PCC OTC

Point-Of-Sale Standard Operating Procedures

Line Number	Field Number	Name	Type	Format/Sample	Description
	5.	TRANSIT NUMBER	String	TRANSIT NUMBER	Constant String column header, Routing number parsed from RAW MICR
	6.	CHECK NUMBER	String	CHECK NUMBER	Constant String column header, Check number parsed from RAW MICR
	7.	ACCOUNT	String	ACCOUNT	Constant String column header, Account number parsed from RAW MICR
	8.	AMOUNT	String	AMOUNT	Constant String column header, Amount of the payment
	9.	CASHIER ID	String	CASHIER ID	Constant String column header, Value provided by ALC+2 for the operator id
	10.	CHECK TYPE	String	CHECK TYPE	Constant String column header, 1 means "Corporate Check"; 3 means "Consumer POP Check" or 5 means "Consumer ARC Check";
	11.	PROCESSING MODE	String	PROCESSING MODE	Constant String column header, 0 means "Person Not Present"; 1 means "Person Present";
	12.	BATCH ID	String	Batch ID	Constant String column header. Batch containing the IRN
	13.	SETTLEMENT DATE	String	Settlement Date	Constant String column header. Settlement Date
	14.	DEBIT VOUCHER NUMBER	String	DEBIT VOUCHER NUMBER	Constant String column header. Debit Voucher Number
	15.	DEPOSIT TICKET NUMBER	String	DEPOSIT TICKET NUMBER	Constant String column header. Deposit Ticker Number
	16.	User field 1	String	USER FIELD 1	Constant String column header
	17.	User field 2	String	USER FIELD 2	Constant String column header
	18.	User field 3	String	USER FIELD 3	Constant String column header
	19.	User field 4	String	USER FIELD 4	Constant String column header
	20.	User field 5	String	USER FIELD 5	Constant String column header
	21.	User field 6	String	USER FIELD 6	Constant String column header
	22.	User field 7	String	USER FIELD 7	Constant String column header
	23.	User field 8	String	USER FIELD 8	Constant String column header

Point-Of-Sale Standard Operating Procedures

Line Number	Field Number	Name	Type	Format/Sample	Description
	24.	User field 9	String	USER FIELD 9	Constant String column header
	25.	User field 10	String	USER FIELD 10	Constant String column header
	26.	User field 11	String	USER FIELD 11	Constant String column header
	27.	User field 12	String	USER FIELD 12	Constant String column header
	28.	User field 13	String	USER FIELD 13	Constant String column header
	29.	User field 14	String	USER FIELD 14	Constant String column header
	30.	User field 15	String	USER FIELD 15	Constant String column header
	31.	User field 16	String	USER FIELD 16	Constant String column header
	32.	User field 17	String	USER FIELD 17	Constant String column header
	33.	User field 18	String	USER FIELD 18	Constant String column header
	34.	User field 19	String	USER FIELD 19	Constant String column header
	35.	User field 20	String	USER FIELD 20	Constant String column header
	36.	User field 21	String	USER FIELD 21	Constant String column header
	37.	User field 22	String	USER FIELD 22	Constant String column header
	38.	User field 23	String	USER FIELD 23	Constant String column header
	39.	User field 24	String	USER FIELD 24	Constant String column header

Sample File Layout

Following is a sample file layout starting on line 6:

Field Number	Name	Type	Sample value
1.	IRN	String	111201500244600000608
2.	LOCATION NAME	String	0000633502
3.	Capture Date	Date/Time	2002-07-19 14:11:14
4.	Receive Date	Date/Time	2002-07-22 07:31:19
5.	TRANSIT NUMBER	String	251480576
6.	CHECK NUMBER	String	4114784
7.	ACCOUNT	String	787910415647
8.	AMOUNT	String	38.81

Point-Of-Sale Standard Operating Procedures

Field Number	Name	Type	Sample value
9.	CASHIER ID	String	Patrick
10.	CHECK TYPE	String	1
11.	PROCESSING MODE	String	1
12.	BATCH ID	String	FF1E9FE2-FB22-4353-A27A- 06C86FC3D2AA
13.	SETTLEMENT DATE		2002-08-22 07:43:10
14.	DEBIT VOUCHER NUMBER	String	24
15.	DEPOSIT TICKET NUMBER	String	8
16.	User field 1	String	USER FIELD 1
17.	User field 2	String	USER FIELD 2
18.	User field 3	String	USER FIELD 3
19.	User field 4	String	USER FIELD 4
20.	User field 5	String	USER FIELD 5
21.	User field 6	String	USER FIELD 6
22.	User field 7	String	USER FIELD 7
23.	User field 8	String	USER FIELD 8
24.	User field 9	String	USER FIELD 9
25.	User field 10	String	USER FIELD 10
26.	User field 11	String	USER FIELD 11
27.	User field 12	String	USER FIELD 12
28.	User field 13	String	USER FIELD 13
29.	User field 14	String	USER FIELD 14
30.	User field 15	String	USER FIELD 15
31.	User field 16	String	USER FIELD 16
32.	User field 17	String	USER FIELD 17
33.	User field 18	String	USER FIELD 18
34.	User field 19	String	USER FIELD 19
35.	User field 20	String	USER FIELD 20
36.	User field 21	String	USER FIELD 21
37.	User field 22	String	USER FIELD 22
38.	User field 23	String	USER FIELD 23
39.	User field 24	String	USER FIELD 24



EC5000i User Manual

(Last revision 10/22/2003)

This manual, the EC5000i series User Manual, is intended for all units (EC50XXi) belonging to the EC5000i family. EC5000i is a trademark of RDM Corporation. All brand names and trademarks appearing in this guide are the property of their respective holders.

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FCC Compliance NOTE: This equipment has been tested and found to comply with the limits for a Class A digital device, pursuant to part 15 of the FCC Rules. These limits are designed to provide reasonable protection against harmful interference when the equipment is operated in a commercial environment. This equipment generates uses and can radiate radio frequency energy and, if not installed and used in accordance with the instruction manual, may cause harmful interference to radio communications. Operation of this equipment in a residential area is likely to cause harmful interference in which case the fuser will be required to correct the interference at his own expense.

If an internal modem is present: The EC5000i is designed to be used on standard device telephone lines. It connects to the telephone line by mean of a standard jack (USOCRJ-11 C). An FCC compliant telephone cord and modular plug are provided with the equipment, which is designed to connect to the telephone network or premises wiring using a Part 68 compliant compatible jack. Connection to telephone company provided coin service is prohibited. Connection to party line service is subject to state tariffs. **Telephone Company Procedures:** The goal of the telephone company is to provide you with the best service it can. In order to do this, it may occasionally be necessary for them to make changes in their equipment, operations or procedures. If these changes might affect your services or the operation of your equipment, the telephone company will give you notice, in writing, to allow you to make any changes necessary to maintain uninterrupted service. In certain circumstances, it may be necessary for the telephone company to request information from you concerning the equipment which you have connected to your telephone line (FCC registration number and ringer equivalence number - REN. See underside of EC5000i unit). In order to assure proper service from the telephone company, the sum of all REN's on each telephone lines should be five or less. In some cases, a sum of five REN's may not useable on a give line. **If Problems Arise:** If any of your telephone equipment is not operating properly, you should immediately remove it from your telephone line, as it may cause harm in the telephone network. If the telephone company notes a problem, they may temporarily discontinue service. When practical, they will notify you in advance of this disconnection. If advance notice is not feasible, your will be notified as soon as possible. When you are notified, you will be given the opportunity to correct the problem and informed of your right to file a complaint with the FCC. Contact your telephone company if you have any questions about your phone line. In the event repairs are ever needed on the EC5000i, they should be performed by RDM Corporation or an authorized representative of RDM Corporation (by going through the Federal Reserve Bank of Cleveland). For information, contact The Federal Reserve Bank of Cleveland at 800-624-1373, or 216-579-2112, or for military personnel dial DSN 510-4-2-86824, option 6, option 4.



Requirements & Recommendations

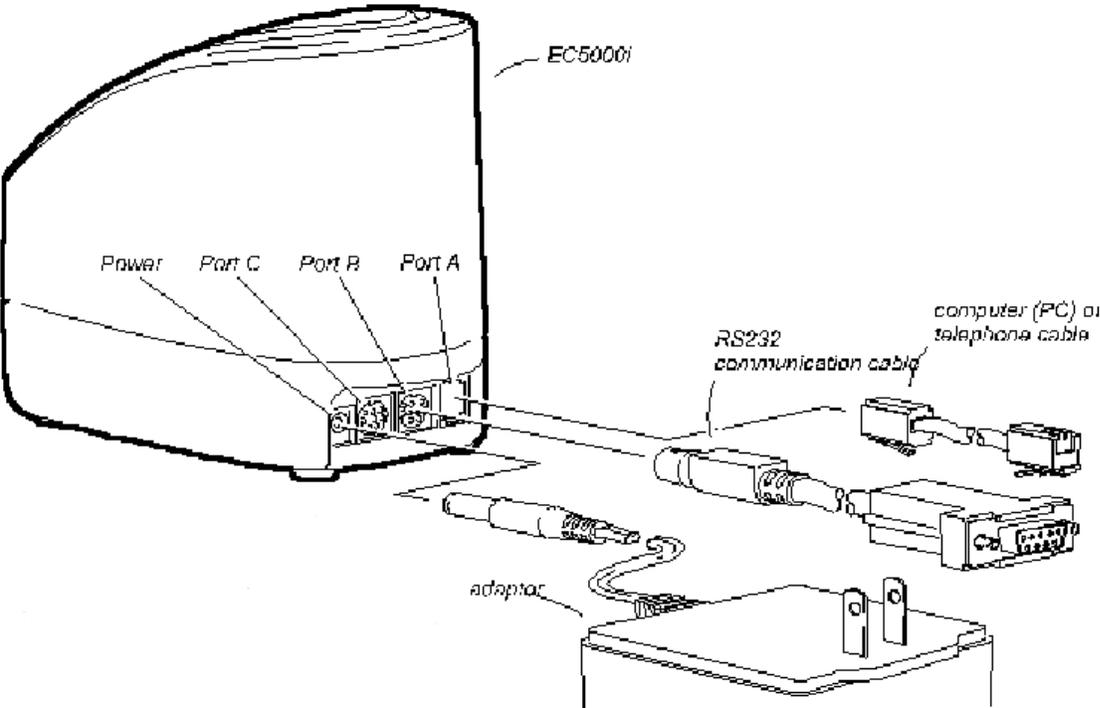
Requirements

- The EC5000i is for indoor use only. Keep the EC5000i dry and avoid placing it in areas of high humidity
- The EC5000i must be used with the power adaptor supplied in the original shipping container, power adaptor model number MD482405. Connect the power adaptor to a 120V AC60 Hz electrical outlet.
- The EC5000i contains hazardous high voltage. Do not remove any cabinetry other than the outer cover referred to in the cleaning section of this guide.

Recommendations

- This unit may be installed and programmed by a distributor (installer) other than the original manufacturer. **Record all distributor contact information** (name, address, phone no ...) for future reference.
- **Save the original box** and packing material. Re-use them if the unit has to be shipped to a new location or returned to the distributor.
- **Position the unit** so that the operator has easy access to the check path and a clear view of the LED. Do not put the unit close to a heat source, in direct sunlight or close to any device that can emit electromagnetic interference such as a computer monitor

EC5000i PORTS



Port Configuration if a Modem is *Not* Present

Port Configuration	EC5000i Connector	Destination Connector
Port A for a Remote Communication Server OR for a Data Capture PC	RJ45 Plug RJ45 Plug	DB- OR RJ45 Plug DB-9
Port B for a Credit Card Authorization terminal OR for an ECR/PC Serial	Mini-DIN 9 Mini-DIN 9	DIN 8 DB-9
Port C for a Printer	Mini-DIN 8	Mini-DIN 8

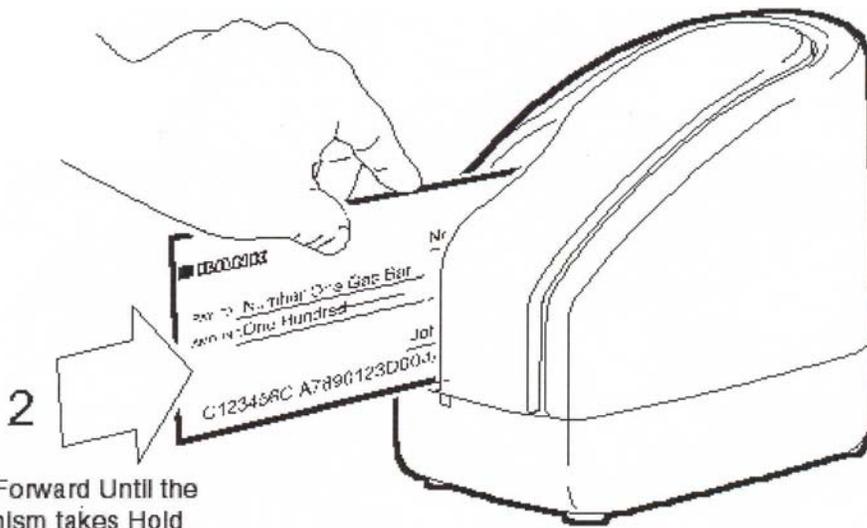
Port Configuration if a Modem is Present

Port Configuration	EC5000i Connector	Destination Connector
Port A for a Telephone Line	RJ11 Plug	RJ11 Plug
Port B for a Credit Card Authorization terminal OR for an ECR/PC Serial	Mini-DIN 9 Mini-DIN 9	DIN 8 DB-9
Port C for a Printer	Mini-DIN 8	Mini-DIN 8

Feeding Checks

Checks should be fed with the information side facing in and the MICR line down

- 1 Hold Check Flush on the Track Bottom



Unit Status

The unit's status is shown through a single, multi-state LED (light emitting diode).

- The LED has three colors: green, amber, and red.
- Each color can appear solid or flashing.

LED	Meaning ... what to do
Green Solid	The unit is Ready to accept a check. Insert a check.
Green Flashing	The unit is Busy processing the last check. Wait for the job to finish.
Amber Solid	The unit is Idle. Start the next job with a command from the terminal.
Amber Flashing	The unit is Sending or Receiving information from the terminal. Wait for the job to finish.
Red Solid	The unit Failed during self-test. Check the terminal display for instructions / refer to your local procedures / call the FRBC at 800-624-1373 or 216-579-2112 or DSN (for Military) 510-4-2-86824, option 6, option 4.
Red Flashing	An Error occurred during processing. See Tone and Meaning for details. Check the terminal display for instructions / refer to your local procedures/ call the FRBC at 800-624-1373 or 216-579-2112 or DSN (for Military) 510-4-2-86824, option 6, option 4.
Green/Amber/Red Off (repeated)	The unit is Starting up or Performing Diagnostics. Wait for the activity to finish, then check the LED again.

Check Processing/LED Cycle

- The unit is on and idle - the LED is SOLID AMBER
- A command is entered from the terminal to start a transaction - the LED turns to SOLID GREEN
- A check is run through the unit - the LED turns OFF (3-4 sec.) then FLASHES GREEN
- The terminal displays an "Approved" message - the LED returns to SOLID AMBER

Several conditions are also signaled by a pattern of tones in addition to the LED Display

Tone	Meaning
1 Short beep & LED is Flashing Green	The unit was Successful in reading the MICR line.
3 Short beeps & LED is Flashing Red	The unit was NOT Successful in reading the MICR line.
1 Long beep & LED is Flashing Red	An Error occurred during processing or storing of the captured image.

Cleaning

Under normal operating conditions, the EC5000i does not require cleaning, however, in working environments that involve excess dust or smoke, the EC5000i may be cleaned by removing the outer cover.

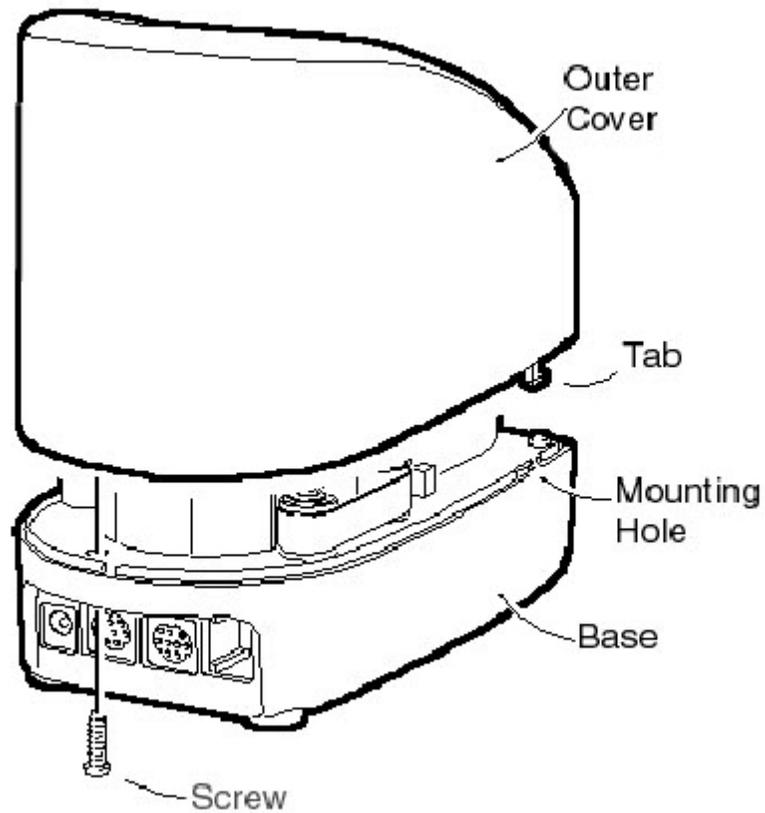
NOTE: Before removing the cover, DISCONNECT all cables.

To remove the outer cover:

- Remove the screw from the back of the unit.
- Push the outer cover towards the back of the unit, about 1/8" (3mm).
- Lift the cover off.

To attach the outer cover:

- Align the tabs on the cover with the mounting holes in the base and push the cover forward into place.
- Insert the screw.



Cleaning

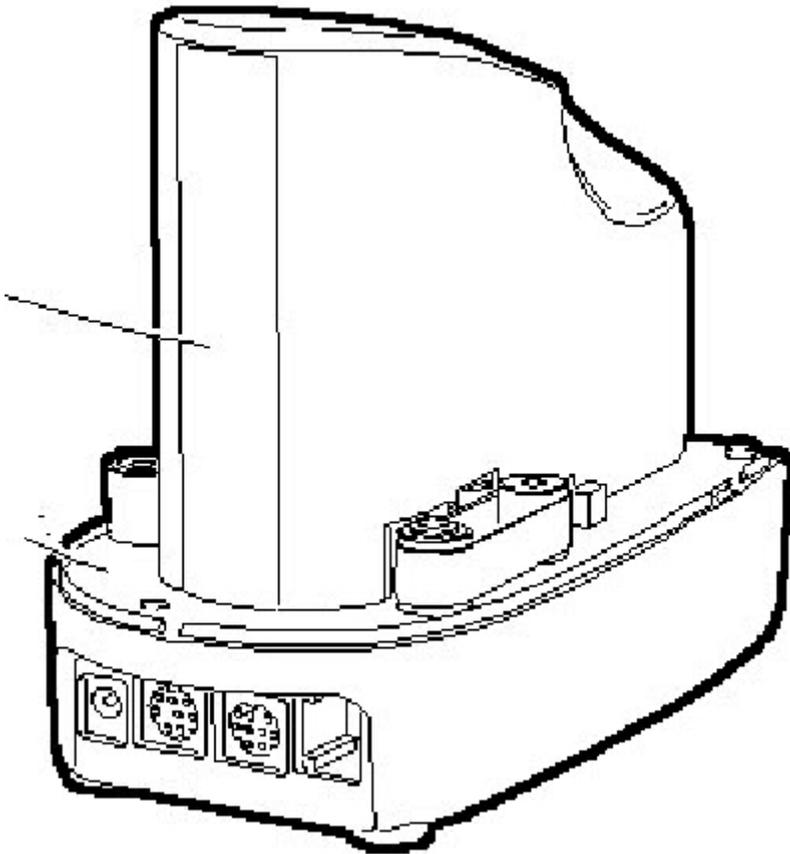
The EC5000i performs best when all working surfaces are clean and the track area is free of foreign material.

Clean the window area with lens cleaning tissue or a soft lint free cloth

Blowout dust from the track area with compressed canned air or with the blow feature on a vacuum cleaner

To clean the **outside cabinetry** of the EC50001, use a damp cloth (and a mild soap if necessary).

CAUTION: Do NOT use solvents or harsh cleaners on the cabinetry. The plastic cabinetry may discolor.



EC5000i Unit Specifications

Unit Size	28 sq, footprint (i.e, 7" long x 4" wide) and 6" high 180 sq, cm footprint (i.e, 17,8 cm long x 10,2 wide) 15,2 cm high
Unit Weight	36 Ounces (1,02 kg)
Unit Orientation	for proper operation, the unit is to be placed on a level, horizontal surface,
Connectors	3 Connectors, A, B, and C A - RJ45 w/o modem, serial interface OR RJ11 w/modem, _modem interface, B - mini DIN 9 pin defaults to terminal connection, C - mini DIN 8 pin defaults to printer interface,
Document Feed	Sensor detects presence of document and starts processing,
Operating Temperature	50 to 104 degrees F (10 to 40 degrees C).
Operating Humidity	20 to 80% relative humidity (non-condensing).

Document/Check Specification

Document Size	Minimum: 4.25" x 2.75" (10.8 cm x 7.0 cm) Nominal: 6" x 2.75" (15.2 cm x 7.0 cm) Maximum: 8.5" x 3.67" (21.6 cm x 9.3 cm)
Document Weight	Weight Range: 20 lb. to 281b.
Font	E13B MICR Character Set

Electrical Power Requirements For Power Adapter

Idle State

0.100 amps at 120Volts AC 60 Hz Input 0.130 amps at 120Volts AC 60 Hz Input

Processing State

Modem Specifications

Supports	V.34bis, V.34 V.F.C, V.32bis, V.32, V.22bis, V.22A/B, V.23, V.21, Bell 212A and 103
Error Correcting	V.42 LAMP, MNP. 2-4 and MNP 10.
Data Compression	V.42bis and MNP 5

Customer Service

If the unit is found to be damaged when delivered or if you have question regarding the opera maintenance of the unit, please contact the Federal Reserve Bank of Cleveland at 800-624-1373, or 215-579-2112 or DSN (for military) 510-4-2-86824, option 6, option 4.

Federal Reserve Bank of Cleveland
1455 East Sixth Street
Cleveland, OH 44114

LIMITED WARRANTY: The EC5000i is warranted against defects in materials and workmanship under normal use and service for a period of one year after the date of receipt by you. The entire liability of RDM Corporation (the Corporation), distributors of the EC5000i and manufacturers of auxiliary equipment used with the EC5000i and your exclusive remedy shall be, at the Corporation's option either (a) return of the price paid, or (b) repair or replacement of the EC5000i that does not meet this limited warranty and which is returned to the Corporation with a copy of the proof of purchase.

The limited warranty is void if failure of the EC5000i has resulted from accident, abuse or misapplication. Any replacement EC5000i will be warranted for the remainder of the original warranty period.

The equipment is sold with the understanding that neither the Corporation, such distributors nor such manufacturers will be liable for any damages whatsoever (include, without limitation, direct or indirect damages for personal injury, loss of business profits, business interruption, loss of business information, or any other pecuniary loss) arising out of the use of or inability to use the EC5000i, even if the Corporation, such distributors and/or such manufacturers have been advised of the possibility of such damages. In any case, the entire liability of the Corporation, such distributors and such manufacturers with respect to the EC5000i shall be limited to the amount actually paid by you for the EC5000i.

The Corporation, such distributors and such manufacturers disclaim all other warranties, express or implied, including, without limitation, implied warranties of merchantability and fitness for a particular purpose with regard to the EC5000i and the accompanying written materials.

Although every effort has been made to ensure the accuracy of the information contained in this guide, no warranty or representation to that effect is made.

EC6000i Gen2 and EC7000i Series Installation Guide (Updated 2-16-06)





This manual, the EC6000i Gen2 and EC7000i Series Installation Guide, is intended for all units belonging to the EC6000i Gen2 and EC7000i family of products.

EC6000i Gen2 is a registered trademark of RDM Corporation. EC7000i, ITMS, RDM, and the RDM logo are all trademarks of RDM Corporation. All other brand names and trademarks appearing in this guide are the property of their respective holders.

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Part Number: 302655 Revision Number: A

Contents

Compliance Statements	4
Introduction	4
Requirements	5
Recommendations	5
Setting Up the EC6000i Gen2 or EC7000i	6
A. Choose a Location	6
B. Unpack the Shipping Box	6
C. Inspect the Unit's Features.....	7
Connection Ports:	9
D. Insert the Franking Acknowledgement Printer Cartridge (Optional).....	10
E. Connect to a Telephone Line.....	12
F. Connect the Power Cord.....	12
Operating the EC6000i Gen2 or the EC7000i	13
Preparing Checks	13
Feeding Checks.....	13
Swiping Magnetic Stripe Cards (Optional).....	13
Understanding Status Signals	14
Maintaining the EC6000i Gen2 or EC7000i	15
Cleaning the Scanner	15
Cleaning the Imager.....	16
Troubleshooting	17
Modem Does Not Function.....	17
Peripheral Device Does Not Respond.....	17
Check Feeder Does Not Function Properly	18
Card Transactions Do Not Function Properly.....	19
Specifications	19
Warranty Information	20

Compliance Statements

FCC Compliance Statement NOTE: This equipment has been tested and found to comply with the limits for a Class A digital device, pursuant to part 15 of the FCC Rules. These limits are designed to provide reasonable protection against harmful interference when the equipment is operated in a commercial environment. This equipment generates, uses and can radiate radio frequency energy and, if not installed and used in accordance with the instruction manual, may cause harmful interference to radio communications. Operation of this equipment in a residential area is likely to cause harmful interference in which case the user will be required to correct the interference at his or her own expense.

If an internal modem is present: RDM's EC6000i Gen2 and EC7000i are designed to be used on standard device telephone lines. It connects to the telephone line by means of a standard jack (USOC RJ-11C). An FCC compliant telephone cord with modular plug is provided to connect the equipment to the telephone network or premises wiring using a Part 68 compliant compatible jack. Connection to telephone company provided coin service is prohibited. Connection to party line service is subject to state tariffs.

Telephone company procedures: The goal of the telephone company is to provide you with the best service it can. In order to do this, it may occasionally be necessary for them to make changes in their equipment, operations or procedures. If these changes might affect your services or the operation of your equipment, the telephone company will give you notice, in writing, to allow you to make any changes necessary to maintain uninterrupted service. In certain circumstances, it may be necessary for the telephone company to request information from you concerning the equipment that you have connected to your telephone line (FCC registration number and ringer equivalence number – REN. See underside of the EC6000i Gen2 or EC7000i unit). In order to assure proper service from the telephone company, the sum of all REN's on each telephone line should be five or less. In some cases, a sum of five REN's may not be useable on a given line.

If problems arise: If any of your telephone equipment is not operating properly, you should immediately remove it from your telephone line, as it may cause harm in the telephone network. If the telephone company notes a problem, they may temporarily discontinue service. When practical, they will notify you in advance of this disconnection. If advance notice is not feasible, you will be notified as soon as possible. When you are notified, you will be given the opportunity to correct the problem and informed of your right to file a complaint with the FCC. Contact your telephone company if you have any questions about your phone line. In the event repairs are ever needed to the EC6000i Gen2 or EC7000i, they should be performed by RDM Corporation or an authorized representative of RDM Corporation.

For information contact: RDM Corporation, 608 Weber Street North, Waterloo, Ontario, Canada N2V 1K4

Introduction

The EC6000i Gen2 and the EC7000i are cost effective, feature rich, imaging solutions. Utilizing RDM's industry leading progressive MICR method and imaging technology, the EC6000i Gen2 and the EC7000i are ideal for Check Electronification, Check Cashing, and Walk-in Bill Payment applications.

Requirements

- ◆ The EC6000i Gen2 and the EC7000i units are for indoor use only. Keep the EC6000i Gen2 and the EC7000i **dry** and avoid areas of high humidity.
- ◆ The EC7000i requires a higher current power supply (RDM P/N# 302671). The EC6000i Gen2 can use its supplied power supply or the higher current power supply. See **Specifications** on page 21 for power supply details.
- ◆ **Do not remove any cabinetry** other than the areas specified in this guide; removing cabinetry other than the areas specified in this guide will void the warranty.

Recommendations

- ◆ This unit may be installed and programmed by a distributor (reseller) other than the original manufacturer. Record all distributor contact information for future reference.
- ◆ Save the original box and packing material. Re-use them if the unit must be shipped to a new location.
- ◆ Position the unit so that the operator has easy access to the check path and a clear view of the LED. Do not put the unit close to a heat source, in direct sunlight, or close to any device that can emit electromagnetic interference such as a computer monitor or power adapter. Do not use the unit near water, including a sink, swimming pool, or damp basement.

Setting Up the EC6000i Gen2 or EC7000i

To set up the EC6000i Gen2 or EC7000i, follow steps A – F.

A. Choose a Location

Locate your scanner in a place that:

- has a flat surface, such as a countertop or table
- is convenient for the scanner operator
- offers adequate ventilation and protection from elements such as heat, dust, oil or moisture
- is close to a telephone line or network connection (depending on your unit) and power connections.

B. Unpack the Shipping Box

1. Open the top of the box.
2. Remove and unwrap the items.
3. Save the box and wrapping for future use.

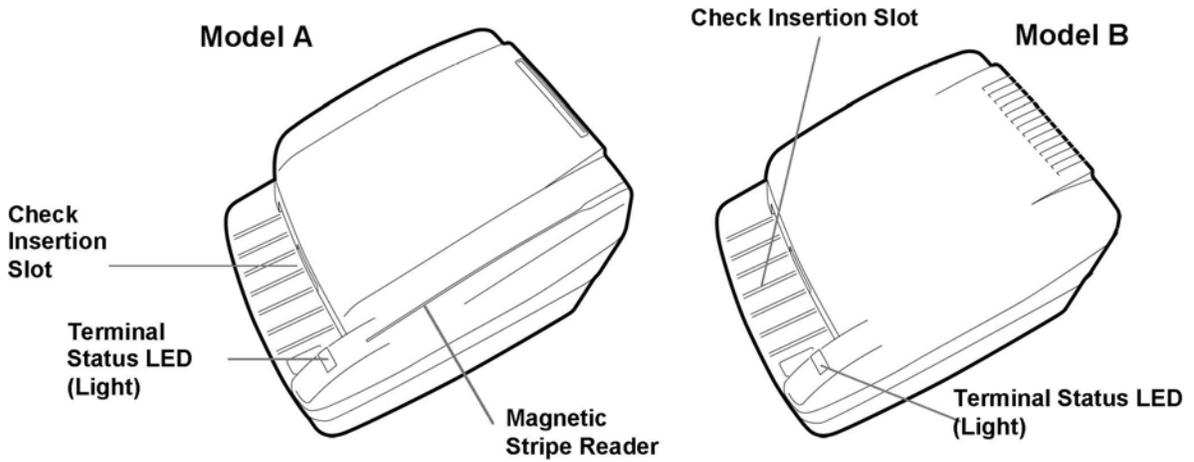
NOTE: Before unpacking the box, examine it for damage received during shipping. If the scanner, or any component, appears damaged, do not use it. File a claim with the shipping company and contact your distributor.

Your EC6000i Gen2 or EC7000i product package includes the following:

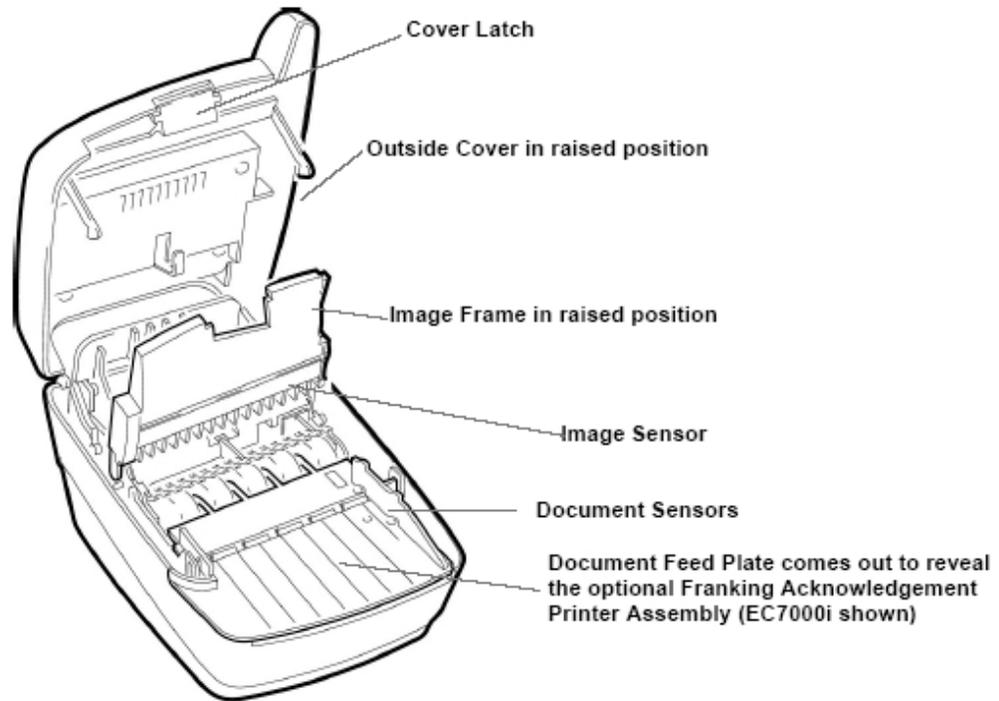
- The EC6000i Gen2 or EC7000i scanner
- Power adapter
- Telephone line (optional with modem)
- Franking Acknowledgement Printer Cartridge (optional)

C. Inspect the Unit's Features

The EC6000i Gen2 and the EC7000i are provided in two models. Model A below has an integrated Magnetic Stripe Reader (MSR). Model B below does not include an MSR. Scanner Model A will be graphically represented throughout this manual for consistency. All other features of the EC6000i Gen2 and EC7000i are available as standard or optional on either model.



Inside Components:



Connection Ports:

RDM's EC6000i Gen2 and EC7000i can be installed in different configurations. These configurations are set and programmed by the distributor (reseller) to suit your unique needs. Follow instructions provided by your distributor (reseller).

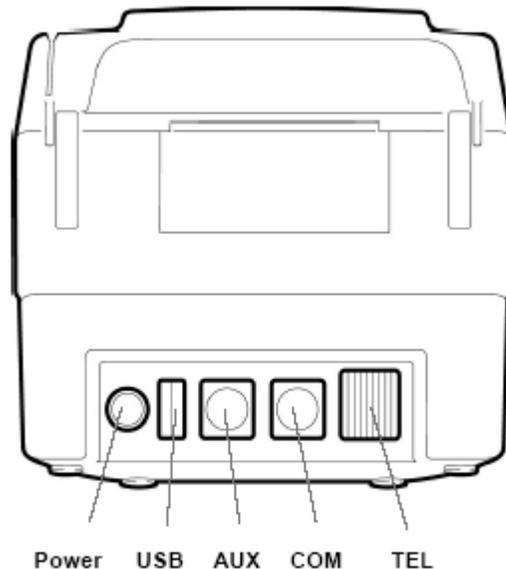
Power: Red: Connect the power adaptor to this port.

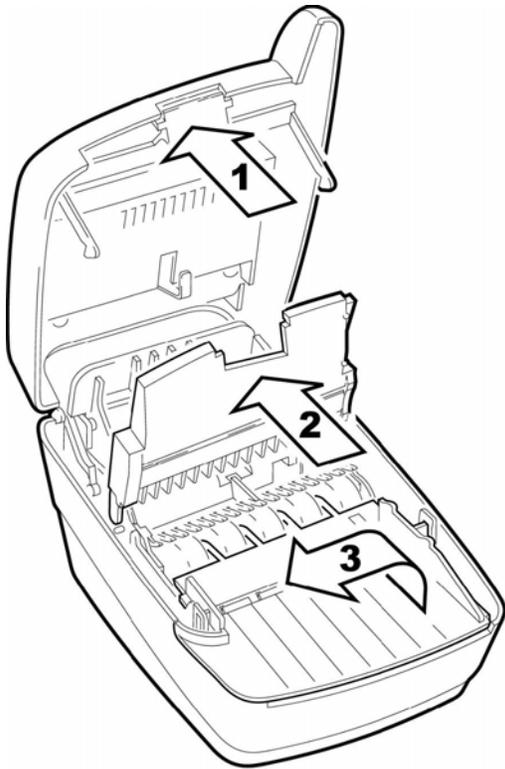
USB: Orange. Use this port to connect to a PC.

AUX: Yellow. Use this port to connect optional peripheral devices such as a pass through printer

COM: Green. Use this port to connect to a PC or terminal

TEL: Purple. This port offers an optional modem, to be connected to a telephone line. Some scanners may not contain a TEL Port.



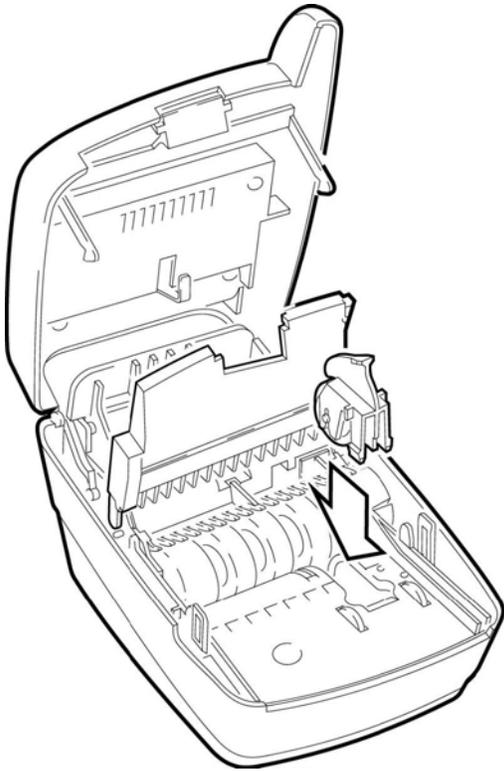


D. Insert the Franking Acknowledgement Printer Cartridge (Optional)

The Franking Acknowledgement Printer Cartridge is an optional ink stamp, which marks the front of each check to read “Electronically Presented” or a customized message. If you have purchased this option, follow these directions to insert the printer cartridge into the unit.

I. Access the Printer Assembly:

1. Press the latch and lift the cover to access the imaging frame.
2. Lift the imaging frame to access the feed plate.
3. Locate the blue tab on the side of the unit.
 - a. With your thumb on the outside of the unit, apply enough pressure to pull the blue tab towards the outside of the unit and hold it there.
 - b. While holding the blue tab, lift the document feed plate up and to the left or up and to the right to free it from the opposite side.
 - c. Remove the plate completely. (continued...)



II. Insert the Franking Acknowledgement Printer Cartridge into the Printer Assembly:

1. Insert the Franking Acknowledgment Printer Cartridge straight into the printer assembly.
2. Apply pressure to the widest part of the flat top until the cartridge clicks into place.
3. Replace the document feed plate by pressing down firmly until it clicks into place.
4. Close the imaging frame.
5. Close the outside cover.

CAUTION:

Avoid contact with the main drive roller to prevent ink transfer to documents. See **Cleaning the Imager** for details.

Ink may be harmful if swallowed.

Avoid contact with eyes.

Damage to the unit or the cartridge resulting from modifying the cartridge is not the responsibility of RDM.

The ink cartridge is intended for single use only.

Not licensed for modifications.

RDM may change product designs, features, or specifications at any time.

E. Connect to a Telephone Line

FOR TEL: If you have purchased the EC6000i Gen2 or the EC7000i with the optional modem...follow these directions to connect the telephone line:

1. Insert the end of the telephone line into the “TEL” port on the back of the scanner.
2. Insert the other end of the telephone line into the telephone company wall jack.

CAUTION: Plug the telephone line into an “outside line” analog phone jack only; the modem will not work if plugged into a PBX digital line.

Test the Telephone Line and Third-Party Line:

1. Call the third-party line to ensure that it is working properly.
2. If the third-party line is not working, contact your local telephone company for repair.
3. If the telephone line works, contact your distributor to have the EC6000i Gen2 or the EC7000i serviced.

F. Connect the Power Cord

1. Insert the round end of the power cord into the “power” port on the back of the scanner.
2. Align the flat side of the power connector facing up.
3. Plug the metal-pronged end of the power cord into an electrical power outlet.
4. When you connect to power, the LED will light up. Your unit is now turned on.

CAUTION: Disconnecting the power source while the terminal is processing a transaction may cause data files stored in the unit’s memory to be lost.

NOTE: The EC6000i Gen2 and EC7000i power adaptor contains a locking mechanism that securely connects the power cord to the scanner. To prevent cord damage, do not pull on the cord. Firmly slide back the locking mechanism before disconnecting the power cord from the unit.

Operating the EC6000i Gen2 or the EC7000i

Preparing Checks

To reduce the possibility of errors and damage to the unit, you should:

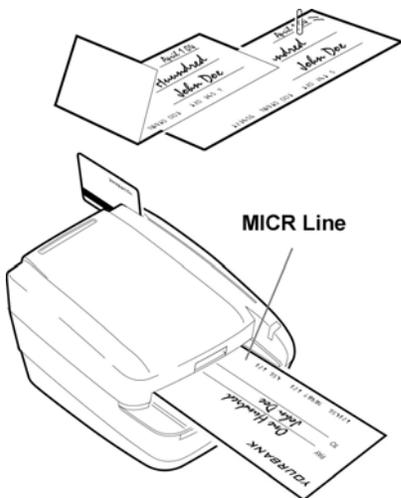
- Remove all folds and creases in the check.
- Remove any paper clips and staples from the check.

Feeding Checks

The EC6000i Gen2 or the EC7000i unit is ready to accept checks when the LED is green.

As shown below, insert the check...

- Flush to the left side of the EC6000i Gen2 or the EC7000i.
- Information side facing up.
- MICR line to the inside right.
- Slide the check all the way to the right.
- Gently push the check forward into the scanner until the scanner grasps the check.



Swiping Magnetic Stripe Cards (Optional)

Swipe the credit card with the black, magnetic stripe facing downward, and to the left.

CAUTION: Do not open the cover or otherwise try to access the inside of the unit while it is in the process of scanning a document.

Understanding Status Signals

The EC6000i Gen2 or EC7000i comes equipped with default light and sound signals described below.

Default Light Signals:

The unit's status is shown through a single, multi-state LED (light emitting diode)—the light on the top, front, right-hand side of the unit. The table below details typical status signals and their meanings:

LED	Meaning...What To Do
Green Solid	The unit is ready to accept a check...insert a check.
Green Flashing	The unit is busy , processing the last check...wait for the job to finish.
Amber Solid	The unit is idle ...start the next job with a command from the terminal
Amber Flashing	The unit is sending or receiving information from the terminal...wait.
Red / Green / Amber Flashing	The unit is starting up or performing diagnostics ...wait.
Red Solid	The unit failed during a self-test... check the terminal display for instructions / refer to your local procedures / call you distributor (reseller).
Red Flashing	An error occurred during processing. See "Sound Signals" on the next page for details... check the terminal display for instructions / refer to your local procedures / call your distributor (reseller).
Green with short Red Flashes	The unit has detected excessive electromagnetic interference that may impact MICR reading performance. Move the unit or source of interference until the LED glows solid green

Default Sound Signals:

Several conditions are also signaled by a pattern of tones in addition to the LED display:

Tone	Meaning
One short beep LED is flashing green	The unit was successful in reading the MICR line.
Three short beeps LED is flashing red	The unit was not successful in reading the MICR line.
One long beep LED is flashing red	An error occurred during processing or storing of the captured image.

A Typical Check Processing / LED Cycle:

1. The unit is on and idle...the LED is **Solid Amber**.
2. The LED turns to **Solid Green** when the scanner is ready to accept a check.
3. A check is run through the unit...the LED turns OFF (3-4 seconds) then **Flashes Green**. The unit emits a short “beep” sound.
4. The LED returns to **Solid Amber** when the transaction is complete.

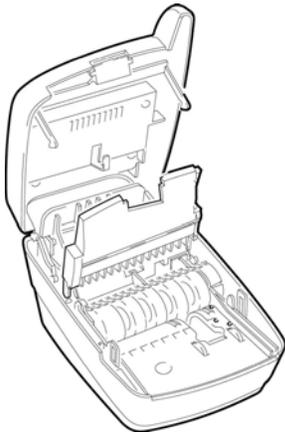
Maintaining the EC6000i Gen2 or EC7000i

The EC6000i Gen2 or EC7000i performs best when all working surfaces are clean and free of foreign material.

Cleaning the Scanner

CAUTION:

- Prior to cleaning, always disconnect the power.
- Solvents or harsh cleaners may damage or discolor the cabinetry.



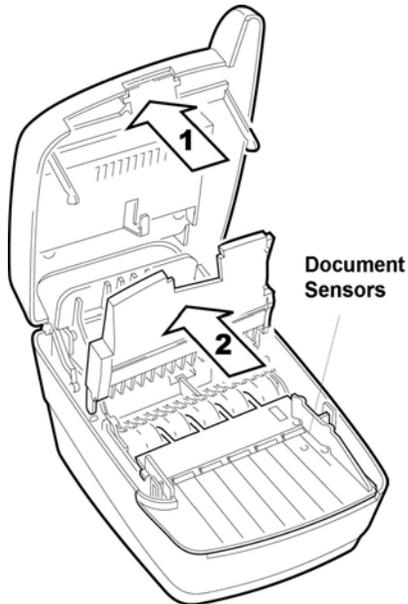
To clean the outside cabinetry: Use a damp cloth and mild soap.

To clean the inside of the unit: To remove dust and debris inside the unit, open it by following the steps below. Use a dusting brush designed for use on electronic equipment, or use a compressed air duster. To clean the inside:

1. Press the latch and lift the cover to access the imaging frame.
2. Lift the imaging frame to access the document feed plate.
3. Locate the blue tab on the side of the unit. With your thumb positioned on the outside of the unit, apply enough pressure to pull the blue tab towards the outside of the unit and hold it there.
4. While holding the blue tab, lift the document feed plate up and to the left or up and from the right to free it from the opposite side.

5. Remove the plate.
6. Ensure that the black fingers on the baffle move freely (EC7000i only).

Cleaning the Imager



Occasionally, it may be necessary to clean the image sensors and remove dust or debris from the interior of the EC6000i Gen2 or the EC7000i.

To locate and access the document sensors, follow the instructions below.

1. Press the latch and lift the cover to access the imaging frame.
2. Lift imaging frame to access the document sensors.
3. Use a lens cleaning tissue or a damp lint-free cloth:
 - to remove any ink or dust from the document sensors.
 - to remove any ink or dust from the main drive roller.

Troubleshooting

In the course of everyday operations, you may encounter minor malfunctions in the EC6000i Gen2 or the EC7000i unit. Before calling for service, review the troubleshooting steps below.

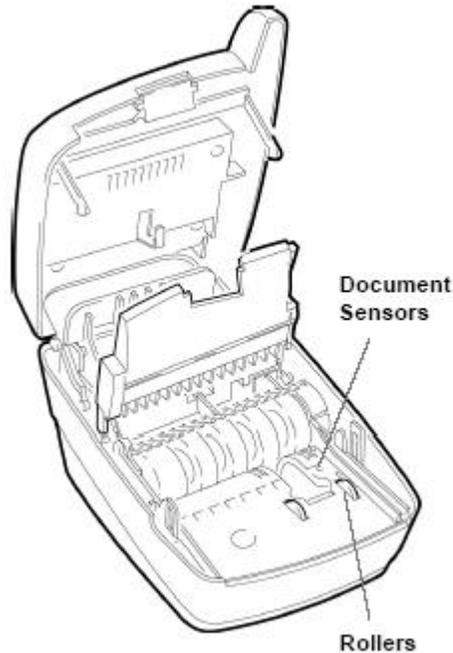
Modem Does Not Function

1. Examine the telephone line cord and all telephone connections to ensure that they are still connected properly.
2. Ensure the telephone line is working by removing the connection from the EC6000i Gen2 or the EC7000i and connecting it to a telephone base unit.
3. If the telephone line is not working, contact your local telephone company for repair.

Peripheral Device Does Not Respond

1. Ensure that the scanner's cable is still properly connected to the correct port on the back of the unit (according to instructions provided by your distributor).
2. If the problem persists, contact your distributor.
3. Ensure that the correct power adaptor is connected to the unit and change adaptors if necessary.

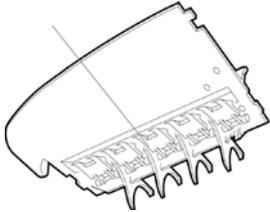
Check Feeder Does Not Function Properly



1. Press the latch and lift the cover to access the imaging frame.

Black Rollers

2. Lift the imaging frame to access ^{Fingers} the document feed plate.
3. Clear any paper or debris from the imaging frame and document feed plate.
4. Ensure that the black fingers on the baffle move freely (EC7000i only).

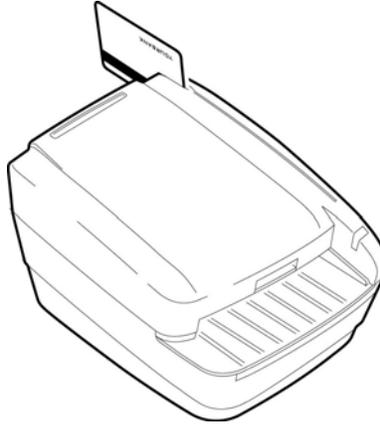


5. Use a lens cleaning tissue or a damp lint-free cloth to remove any ink or dust from the document sensors.
6. Ensure that the rollers under the baffle are clean (EC7000i only).
7. Re-close the imaging frame and cover.

Card Transactions Do Not Function Properly

Test the Card Swipe Mechanism:

1. Ensure that you are swiping the card properly: The black, magnetic stripe on the back of the card must face downward and to the left.
2. Try using another card to ensure the first card was not defective.



Specifications

EC6000i Gen2 and EC7000i Specifications	
Unit Size	Without MSR 10.2" long x 6.2" wide x 4.8" high 22.5 cm long x 15.5 cm wide x 12 cm high With MSR 10.2" long x 6.2" wide x 5.3" high 22.5 cm long x 15.5 cm wide x 13.5 cm high
Unit Weight	EC6000i Gen2: 3.1lbs. / 1.4 Kg EC7000i: 3.4 lbs. / 1.5 Kg
Unit Orientation	For proper operation, place unit on a level, horizontal surface.
EC6000i Gen2 and EC7000i Connectors	Power: Red. Mini-DIN 3-pin. USB: Orange. USB-A. (1.1) AUX: Yellow. Mini-DIN 8-pin. COM: Green. Mini-DIN 9-pin. TEL: Purple. RJ11 plug. Modem (optional).

Environmental	
Operating Temperature	32 to 104 degrees F (0 to 40 degrees C).
Operating Humidity	10 to 85% relative humidity (non-condensing).
Document Specifications	
Document Size and Weight	Nominal: 2.16" W x 4.4" L (5.5 cm x 11.2 cm) Maximum: 4" W x 9" L (10.16 cm x 22.86 cm) Weight Range: 8 lb to 100 lb (thermal paper to business card stock)
Font	E13B MICR Character Set Alphanumeric OCR A and B font recognition (optional)
Electrical Power Requirements for Power Adapter	
	Use an RDM-supplied power adaptor.
EC6000i Gen2 Power Supply (RDM P/N # 302493)	Input: 120V 60Hz 0.4A Output: 24VDC 0.5A
EC7000i Power Supply (RDM P/N #302671)	Input: 100-240VAC, 50-60Hz 1.2A Output: 24VDC 1.5A

22

Optional Modem Specifications	
Supports	V.34bis, V.34 V.F.C, V.32bis, V.32, V.22bis, V.22A/B, V.23, V.21, Bell 212A and 103
Error Correction	V.42 LAPM and MNP 2-4
Data Compression	V.42bis and MNP 5
(Optional) Magnetic Stripe Reader (MSR) Specifications	
MSR Specifications	3 track, bi-directional

Warranty Information

LIMITED WARRANTY:

The EC6000i Gen2 and EC7000i are warranted against defects in materials and workmanship under normal use and service for a period of one year after the date of receipt by you. This warranty is extended only to the original purchaser.

The entire liability of RDM Corporation (the Corporation), distributors of the EC6000i Gen2 and EC7000i and manufacturers of auxiliary equipment used with the EC7000i and your exclusive remedy shall be, at the Corporation's option either (a) return of the price paid, or (b) repair or replacement of the EC7000i that does not meet this limited warranty and which is returned to the Corporation with a purchase receipt or other proof of date of original purchase which will be required in order to exercise your rights under this warranty.

The limited warranty is void if failure of the EC6000i Gen2 or EC7000i has resulted from accident, abuse or misapplication. Any replacement of the EC6000i Gen2 or the EC7000i will be warranted for the remainder of the original warranty period.

The equipment is sold with the understanding that neither the Corporation, such distributors nor such manufacturers will be liable for any damages whatsoever (including, without limitation, direct or indirect damages for personal injury, loss of business profits, business interruption, loss of business information, or any other pecuniary loss) arising out of the use of or inability to use the EC6000i Gen2 or the EC7000i, even if the Corporation, such distributors and/or such manufacturers have been advised of the possibility of such damages.

In any case, the entire liability of the Corporation, such distributors and such manufacturers with respect to the EC6000i Gen2 or the EC7000i shall be limited to the amount actually paid by you for the EC6000i Gen2 or the EC7000i.

The Corporation, such distributors and such manufacturers disclaim all other warranties, express or implied, including, without limitation, implied warranties of merchantability and fitness for a particular purpose with regard to the EC6000i Gen2 or the EC7000i and the accompanying written materials.

Although every effort has been made to ensure the accuracy of the information contained in this guide, no warranty or representation to that

effect is made. Due to product improvements, specifications are subject to change without notice.

WARRANTY SPECIFICS:

This warranty only covers failures due to defects in materials or workmanship, which occur during normal use. It does not cover the following:

- Damage, which occurs in shipment,
- Failures which are caused by products not supplied by RDM or failures which result from accident, misuse, abuse, neglect, excessive dirt or dust caused by lack of preventive maintenance measures, mishandling, misapplication, alteration or modification; service by anyone other than RDM, or damage that is attributable to acts of nature including but not limited to:
 - .- Flood, lightening, power surges or static electricity, water damage, falls, theft, or vandalism,
 - .- Spillage of liquid or objects that have fallen into the equipment,
 - .- Equipment that has been exposed to excessive heat or unstable environmental conditions,
 - .- Consumables such as Franking Acknowledgement Printer Cartridge or Franker Assembly, or other EC6000i Gen2 or EC7000i consumables or accessories such as cables.

RDM's EC6000i Gen2 or EC7000i units with problems found to be caused by incorrectly set configuration parameters (IRN #, Owner Code, Merchant ID, etc.) are not considered defective and will not be serviced under warranty.

Warranty is void if any of the external case of the unit has been opened or removed or the unit has, in RDM's opinion, been damaged through misuse or improper care.

Units returned to RDM for warranty repair will be re-configured with factory defaults and returned to customers. All stored images in the scanner will be cleared. Customers will have the option of having the images uploaded to RDM's Image & Transaction Management System (ITMS) for archiving or e-mailed to them prior to being cleared from the scanner.



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Waterloo, Ontario Canada