

U.S. Department of the Treasury
Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)



User Manual

Release 5.4

January, 2009
Document Version 1.0

U.S. Department of the Treasury
Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 1
Introduction

January, 2009
Document Version 1.0

Change/Revision History

Date	Section/Chapter		Page/Section Affected
01/2009		Original Citibank Release	

Table of Contents

Manual Contents	4
Manual Conventions	4
POS Software Conventions.....	5
Introduction	6
What is Paper Check Conversion Over the Counter (PCC OTC)?	6
What are the PCC OTC Components?.....	7
Master Verification Database (MVD)/Local Verification Database (LVD)	10
What is ACH?	10
What is Check 21?	11
Learn More about PCC OTC	12
What's New for PCC OTC Release 5.4?	13
ELVIS	13
POS	13
Settlement and Reporting.....	14
Batch Size Limitation	14
Location Group Management	14
CASHLINK II.....	15
Getting Started with PCC OTC.....	16
Cost	16
Minimal Paperwork.....	16
User Training	16
Customer Support Hours.....	16
Look up Phone Numbers for Financial Institutions	16
PCC OTC System Availability	17

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 CASHLINK II	POC, Operator
Chapter 8 - Troubleshooting	POC, Operator
Appendix	POC, Operator
RDM Scanner User Guides	POC, Operator
Panini Scanner User Guide	POC, Operator
Queue Interface (Military Agencies Only)	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 reference to other chapters or documents.
<i>Bold Italics</i>	Italics are used for notes.

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. It is strongly encouraged to establish procedures that ensure accurate and timely reconciliation of all PCC OTC activity.

POS Software Conventions

Navigation in the POS, SAT, ELVIS 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. Pressing the F12 key when the focus is on any particular POS screen, presents a screen that can be read by assistive technology.

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 Point of Sale (POS) when the consumer presents a physical check to the operator for payment, or as 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 **I**maging **S**ystem. When processing in 'Person (Customer) Present' mode, the operator returns the cancelled check to the consumer on the spot with the transaction information. The check should be stamped "Electronically Processed" either by hand or by the scanner to prevent the check writer from representing the heck. The financial information captured from the MICR line is transmitted to Treasury/FMS. Treasury/FMS processes the transaction either through the ACH network or the Check 21 network, depending on the initial agency set up. Treasury/FMS makes the CASHLINK II entries and provides the deposit ticket and debit voucher for agency retrieval through ELVIS.

PCC OTC resides within the Treasury Web Applications Infrastructure (TWAI). TWAI is a highly secure environment provided by Federal Reserve Information Technology (FRIT) to support several enterprise-wide Treasury applications. The TWAI is compliant with 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 Citibank 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 PCC OTC compatible check scanner. More information about these documents and equipment can be obtained by contacting your representative at Treasury/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. These two components are collectively known as PCC OTC.

The first component, the POS or **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 **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 tickets and 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.

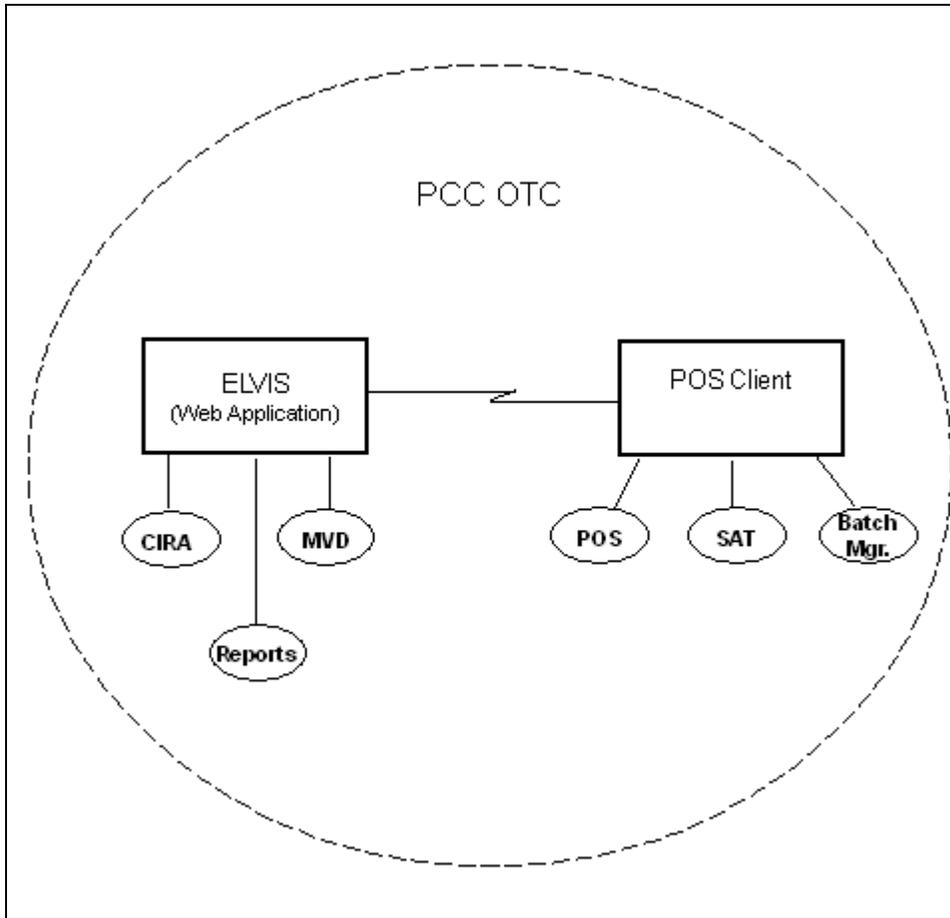


Figure 1.1

Figure 1.2 is an example of the Point of Sale Data Entry Screen.

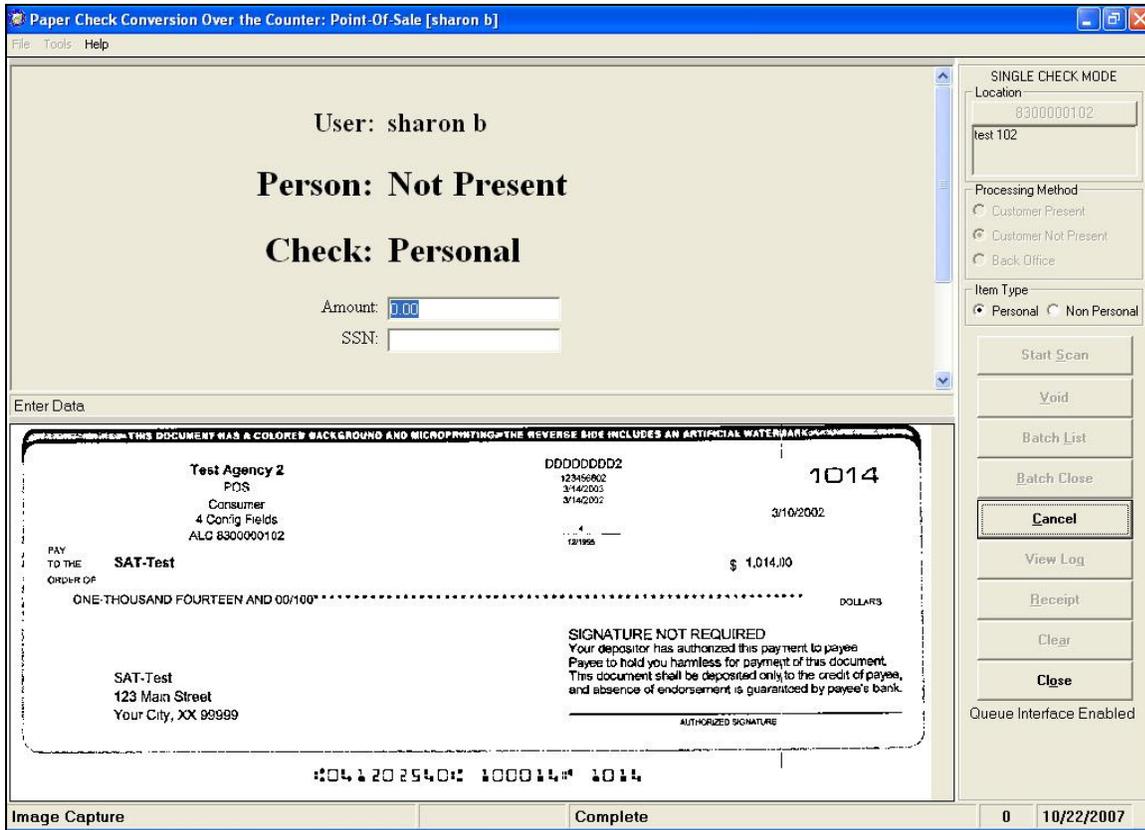


Figure 1.2

Figure 1.3 is an example of the ELVIS (Electronic Verification Imaging System) Logon screen.

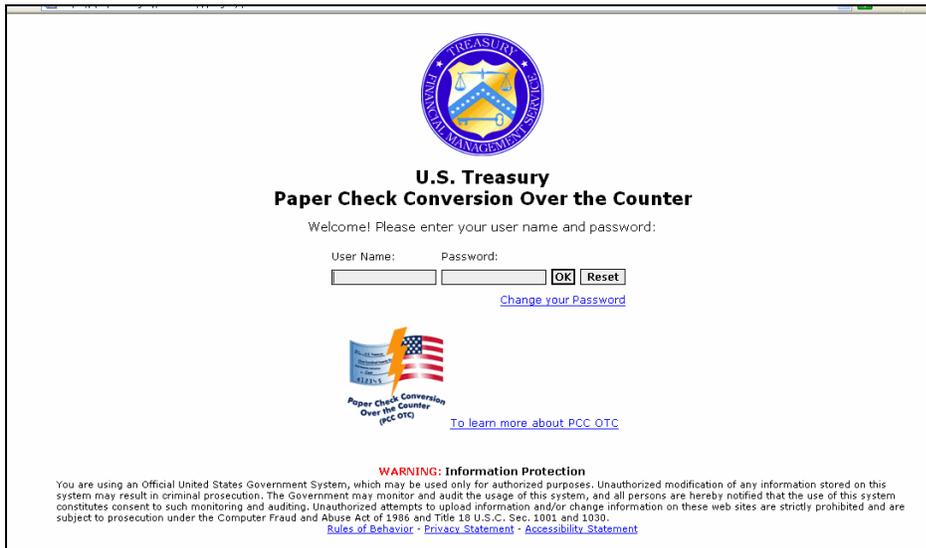


Figure 1.3

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 Treasury OTC Support Center 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, a substitute check 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.

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

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>

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 connects to the PCC OTC information website, pictured 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 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. The site can be accessed outside of ELVIS at <https://www.pccotc.gov/pccotc/index.htm>.

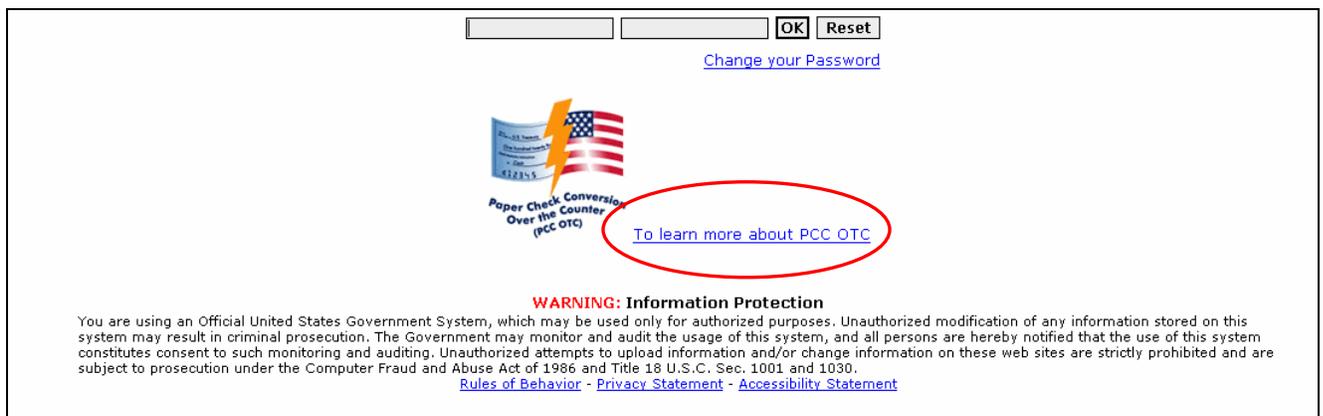


Figure 1.4

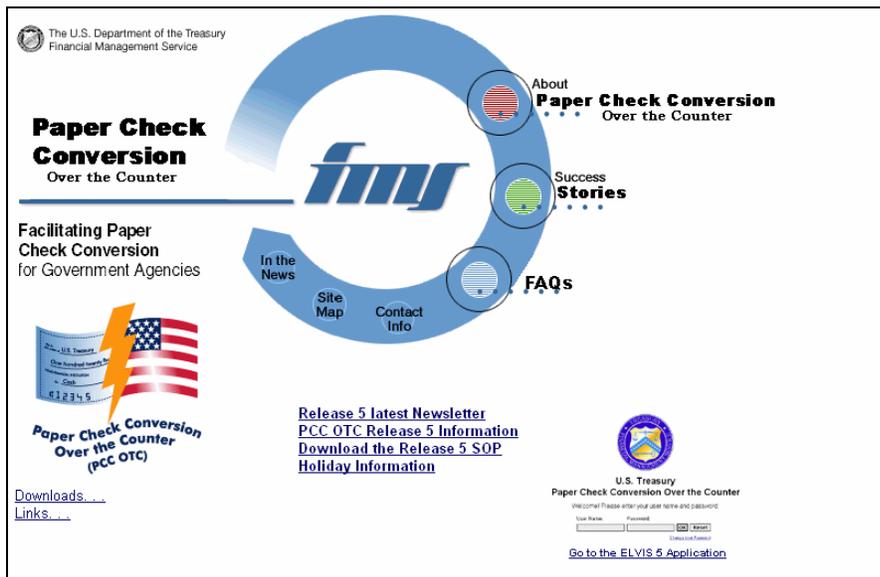


Figure 1.5

What's New for PCC OTC Release 5.4?

ELVIS

Back Office Conversion Processing Mode

ELVIS accepts and displays checks scanned with a processing mode of Back Office Conversion (BOC). The Back Office processing method should be used by Agencies that receive payments in person at the point-of-sale location, then scans the payments at a later time in a controlled, back office environment.

Environmental Upgrades

Internet Explorer 7 is now a supported browser.

Password Policy

A password cannot be reused if it has been used in the past 10 days. For complete information on password requirements, please see *Appendix R – Password Requirements* in the Appendix chapter of this User Manual, or contact the Treasury OTC Support Center.

Note: *POS Releases lower than 5.0 have not been tested and are not guaranteed to work with ELVIS Release 5.4.*

POS

Back Office Conversion

The Back Office processing method allows customers to convert payments received at the point-of-sale locations to ACH entries in a controlled, back-office environment.

The POS includes a new “Back Office Conversion” mode to capture check items. The new mode requires the following updates:

- CIRA query results and detail screens display the words ‘Back Office’ for the processing mode for all Back Office items.
- On the CSV Agency detailed item report, the check type and processing mode are indicated as ‘personal/non personal’ and ‘Back Office’ respectively.

Panini scanners

Updates have been made to correct some known issues with the Panini scanners:

- The Panini was unable to scan additional checks once the hopper was empty and caused an error condition.
- When a computer went into a power save mode, the Panini scanner would lose connection with the POS causing an error condition. Now whenever the computer goes into power save mode, the user is logged out of the system.

Queue Interface

The ability to configure and send information via the Queue Interface has been added. The Queue Interface provides the ability for a Military Agency's Application to interface with the Paper Check Conversion Over the Counter (PCC OTC) application, to accommodate a single transaction input for both applications, and provides the ability to store information so that both applications can share common transaction data.

- During the POS installation, a question is posed to install the Queue Interface. The user must respond with either 'Yes' or 'No'.
- If 'Yes' is chosen, a new permission, 'Configure Queue Interface' is added but not assigned to a role.
- Adding the permission to a role creates a new tab on the SAT System Configuration screen labeled 'Queue Interface' which allows Agency customization and enables the Queue Interface.
- Once enabled, a 'Queue Interface Enabled' message appears at the bottom right side of the POS data entry screen.
- The 'Help', 'About' screens in the POS, SAT, and Batch Manager states, "Queue Interface Installed" if the Queue Interface is installed.

Updated Password Policy

Modifications have been made to the password policy for both the POS and ELVIS. They now use the same password policy. For information on password requirements, please see *Appendix R – Password Requirements* in the Appendix chapter of this User Manual, or contact the Treasury OTC Support Center.

Web Service Interface

The Web Service Interface can be used by Agencies to retrieve deposit ticket numbers from ELVIS using the A L C+2 and effective date. A Web Service Interface guide is available to assist with setup. Agencies who are interested in using the Web Service Interface should contact Treasury OTC Support Center.

Settlement and Reporting

Treasury/FMS converts the financial information captured from each check that is forwarded to ELVIS to an electronic Automated Clearing House (ACH) item or a Check 21 item.

Batch Size Limitation

The maximum number of items that should be included in one batch is 6,000 items, and the maximum dollar amount per batch is \$9,999,999,999.99.

Note: The max number of items is also limited by the TIFF file.

Location Group Management

The MVD restricts the display of data based on the location of the user. A user only sees 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 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 reflects 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 logs on to ELVIS and requests 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 User Manual.

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)

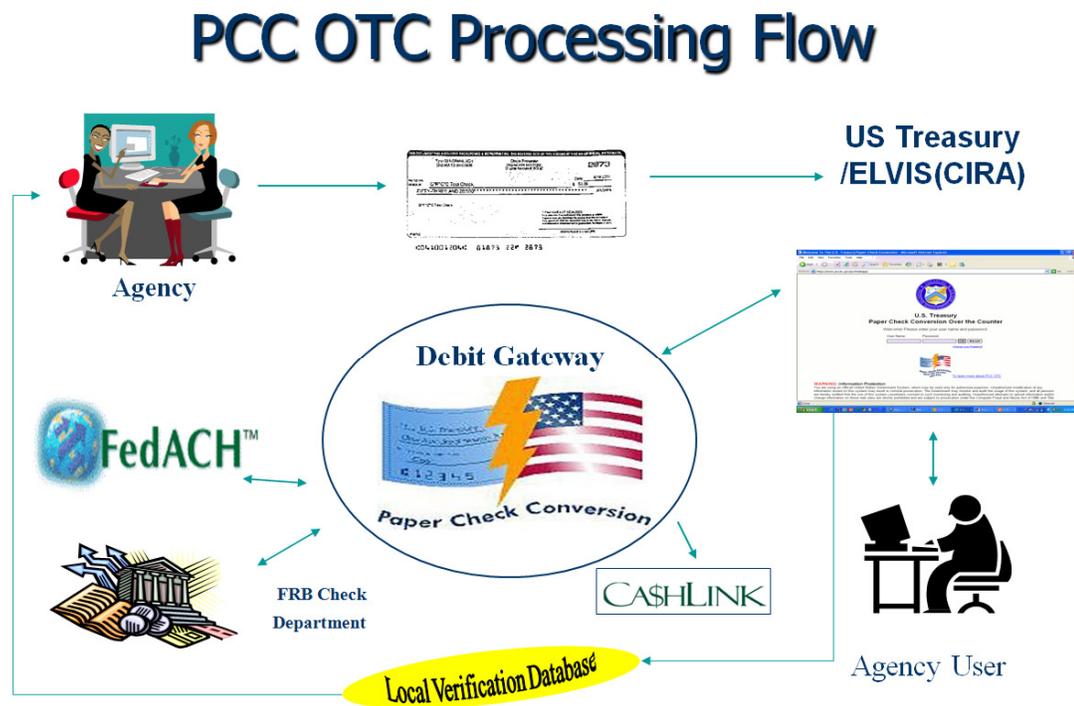


Figure 1.6

Getting Started with PCC OTC

Cost

The Agency's cost for participating in the program is limited to the purchase of hardware. Scanners, scanner cables and USB. Flash drives can either be purchased from the Treasury/FMS, or a vendor of the Agency's choice. The RDM POS check scanner model supported is the EC7000i or the Panini My Vision Batch scanner models X-30, X-60, or X-90. Older scanner models (RDM EC5000i, EC6000i) are supported but may not be available for purchase. All other computer hardware is purchased through another vendor. The Treasury/FMS pays all other fees associated with the program so there are no hidden software purchase costs or transaction fees.

Minimal Paperwork

Agencies need to submit a signed Agency Participation Agreement, an Agency Site Profile for each location, and an interagency agreement if purchasing hardware using IPAC. Once agreements are signed and received, the Agency can be up and running on the software within 2 weeks.

User Training

The program offers a comprehensive User Manual. We recommend that each person who will use the system participates in a tailored training sessions; your Treasury OTC Support Center Deployment Specialist will work with you to determine training type and schedule. To get the most out of the training session, it should be scheduled within 2 weeks of the Agency's conversion date.

Customer Support Hours

All PCC OTC related inquiries should be directed to the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4, or via email at FMS.OTCChannel@citi.com. Customer support is available 24 hours a day, 7 days a week.

Look up Phone Numbers for Financial Institutions

Go to www.fededirectory.frb.org.

Contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com

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 A M - 6 A M E T.

If the application has a planned period of downtime, such as hardware or software upgrades, advance notice is provided to PCC OTC customers via e-mail with the timeframe of the planned downtime. Contact the Treasury OTC Support Center if additional names need to be added to the distribution list for these notifications. Should the PCC OTC application experience any unplanned outages (on rare occasions), e-mails are sent to the same distribution list to notify Agencies of the outage and to provide the expected time of resolution.

U.S. Department of the Treasury
Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 2
Installation and Configuration

January, 2009
Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	

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.....	8
Connecting the Scanner	9
Optional Battery Pack.....	10
Charging the Battery Pack	10
Connecting the Battery Pack.....	11
Yes/No Keypad (Optional).....	12
LAN Connectivity.....	14
Printer Requirements.....	14
Mirror Image - Backup Device Installation (Secondary Storage).....	14
Determine How Much Storage Space is Needed.....	15
Efficiently Manage Storage Space	15
Tray Manager.....	16
Pre-Installation.....	17
Enable Services	17
Open Ports.....	19
Disconnect USB –connected Scanners.....	19
Central Deployment	21
Download the POS from ELVIS.....	21
Download a POS Release from Within the POS Software.....	23
New Installation – Installing from CD	26
Upgrading the POS Software	30
Upgrading the POS Software	30
Determine the Release	30
Upgrading from an Old Version	30
Steps to Follow Prior to Upgrading to R5.4	31
Upgrading from Release 5 through 5.2(using a CD).....	32
Uninstall.....	36
Before Uninstalling.....	36
Uninstalling the r5.4 Software.....	37
Permanently Uninstalling the R5.4 POS Software.....	39
Reinstalling the POS Software After an Uninstall.....	39
Recovering Data Entry Screens	39

POS Application Setup..... 40
 POS Configuration..... 40
 Devices Configuration Tab 40
 Application Tab..... 41
 Terminal ID 41
 Cashflow 41
 Processing..... 42
 Batch Control..... 42
 Reports Tab 49
 Reports Tab 49
 To setup a default POS Printer:..... 49

About the POS..... 50
 Help 50
 Help – other menu options..... 51

Installation & Configuration

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: Only Windows 2000, Service Pack 4 and Windows XP Professional, Service Pack 2 have been validated to work after POS 5.4 is freshly installed. Other variations of Operating System Service Pack releases were upgraded and tested. Please contact the Treasury OTC Support Center for information about specific SP version validation.

- Internet access via LAN, DSL or dial-up is required to upload transaction data and check images and to allow downloads such as data entry screen updates and batch acknowledgments.
- A browser that supports 128-bit encryption. Microsoft Internet Explorer™ version 6.0 or Internet Explorer 7 with 128-bit encryption.
- Minimum LAN bandwidth should be 128 kb/ps.
- 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. Recommend Intel Celeron™ Processor 2.40 GHz.
- Recommend 14.1 XGA Display with minimum 800 X 600 screen resolution.
- RDM POS check scanner, model EC5000i, EC6000i, or EC7000i scanner (can be battery operated), or Panini MyVision scanner.
- Scanner connection - Available 9-Pin Serial Port, PC Card Slot, or USB 2.0 port.
- Two USB ports recommended – one if using a USB-connected scanner, and another to use a USB Flash drive as the secondary storage drive. (Panini scanner requires USB 2.0)
- 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 is not operational with this option during a LAN outage)
- PCMCIA slot for use with a smartcard (used primarily for laptops/notebooks)
- Parallel port
- Zip drive
- CD-ROM drive
- Local or LAN printer
- Standard RJ45 Ethernet connection
- Surge protector/suppressor
- Optional I3050 Ingenico Keypad

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 2000 Service Pack 4 which is a desktop version of Microsoft's SQL server. MSDE stands for Microsoft Desktop Engine.

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 OTC. 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 Treasury/FMS by calling

the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

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. Optional Battery Pack for EC7000i scanner
3. 9 Pin serial data cable, or USB data cable
4. AC adapter power brick (220 power brick for overseas locations)
5. Franking Acknowledgment Printer Ink Roller

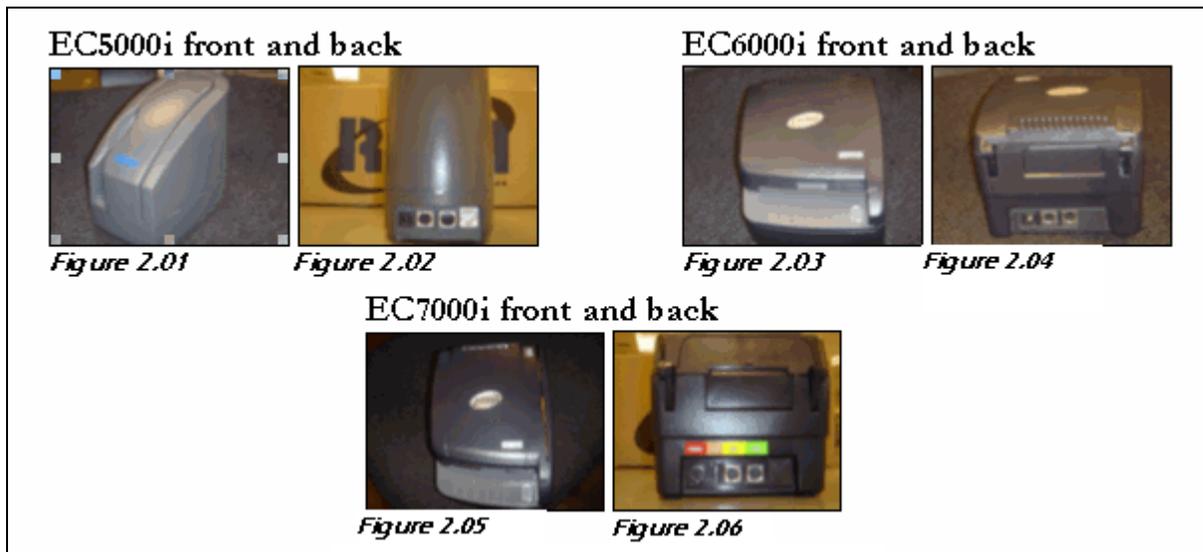


Figure 2.06.1

Connecting the Scanner

How the scanner is connected to the POS computer depends on the type of connection that is 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 is 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 the computer for the first time, a driver is installed to support the hardware. A 'Found New Hardware' screen will appear. Click the option to 'Install the software automatically'. The prompts walk the user through the driver install process.
- On initial startup, the scanner cycles 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 User Manual.

Note: If 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 walks the user 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.

Optional Battery Pack

An optional battery pack can be used for the EC7000i scanner. Agencies who work in temporary housing or in areas where electricity may not always be available can utilize the battery pack to power the scanner for over an hour between charges. The battery package consists of a NiCd charger and a battery pack. (See Figure 2.06.2).



Figure 2.06.2

Charging the Battery Pack

Prior to using the battery pack, the unit must be charged by plugging it into a wall outlet. There is a 3-way switch on the battery pack. The switch has three symbols, =, **0**, and -. Press the switch to move it to the '-' symbol for charging. The LED display on the NiCd charger glows orange for several minutes then changes to red. (The 3-way switch and LED are displayed in Figure 2.06.2). When fully charged, the LED display changes to green indicating that the battery pack is now ready for use.

Note: It takes approximately 2 hours to charge the battery pack. The battery pack provides 1.2 hours of continuous scanning, or approximately 497 checks, and has a continuous standby time of 5 hours.

Connecting the Battery Pack

To connect the battery pack to the scanner, disconnect the A/C cable from the port marked 'power' on the back of the scanner. Connect the short cable on the battery pack (Figure 2.06.3) to the same 'power' port of the scanner. Press the 3-way switch on the battery pack to the '=' symbol. The scanner should power up as normal. The third switch on the battery pack is the middle position (the o symbol). This is the off position.



Figure 2.06.3

Contact Treasury/FMS if interested in purchasing a scanner battery pack.

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 Customer Present mode. There are two models of Yes/No keypads used by the POS. They are pictured in Figure 2.1. The newer model, Ingenico 3050 only works with POS 5.0 and higher. The keypads are connected through the back of the scanner, as pictured in Figure 2.2. In order to use the Yes/No keypad, it must be enabled in the POS configuration.

To enable the keypad:

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

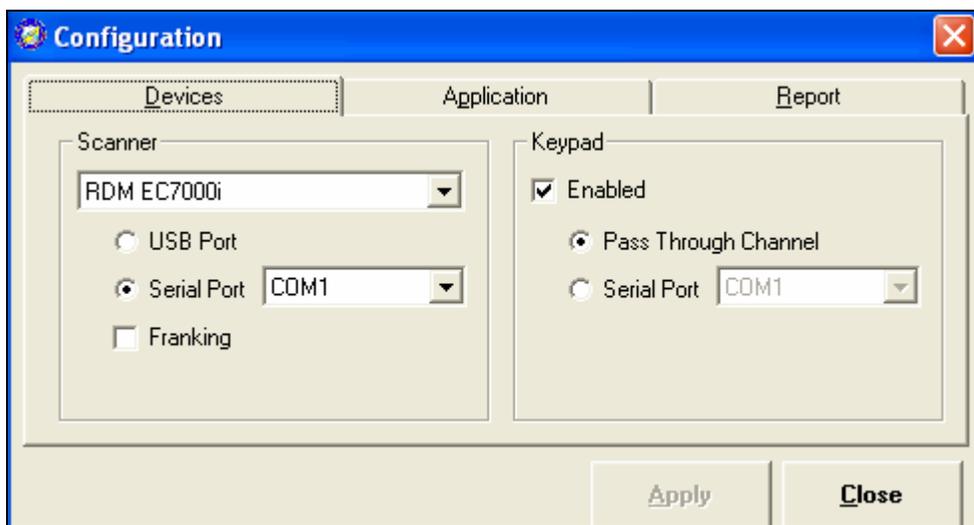


Figure 2.0.7

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 the scanner is using a serial connection, set up the configuration as described 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'**. Select an available COM port by using the down arrow in the **'Serial Port'** field. 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 the scanner is using a USB connection, a serial connection can be used for the keypad if there is a free COM port (serial port). Click the radio button for serial port, then choose a free COM port in the dropdown window.
6. If the computer does not have a free COM port or even a serial port, the keypad can be connected using a **'Serial to USB'** converter cable. Contact your technical staff for information.

- Whenever the POS is started, the keypad hardware is confirmed with the message, 'Initializing Keypad', please wait, on the POS entry screen. When the keypad is ready for the first transaction, the keypad's screen displays, 'Ready'.



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.

1. Connect the scanner cable to the back of the scanner (right port). Plug in the scanner's AC adapter into the power strip. Connect the 9-pin scanner cable end into the PC or notebook's serial port, or the USB scanner cable into the computer's USB port. USB connectivity is only available for the EC7000i scanner.

Figure 2.2

2. Plug keypad cable AC adapter into power strip.

3. Connect the female end of the keypad's AC adapter to the male end of the keypad cable. Then connect the keypad cable into the back of the scanner as shown (left port).

Keypad Cable

Note: If using a Serial connection, the scanner and keypad must be configured to different ports otherwise an error is produced as pictured below (Figure 2.2.1):

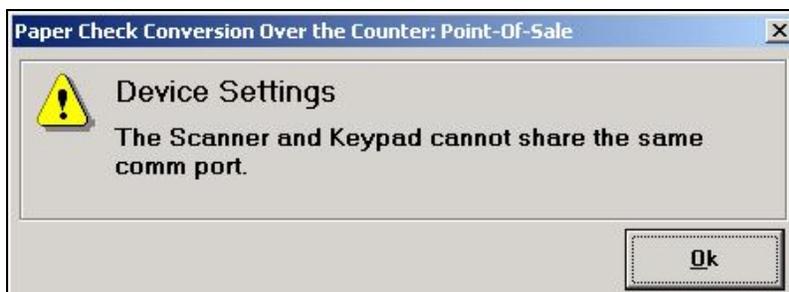


Figure 2.2.1

Note: The Ingenico 3050 does not work with POS releases earlier than 5.1.

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's 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 (Secondary Storage)

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 each location determines which device best serves as a backup device.

The mirror image (secondary storage) is a back-up drive used in the event of a hard drive crash or data corruption on the hard drive. The secondary storage should never be setup to use the computer's hard drive because of the risk of hardware failure or corruption. 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 User Manual for complete instructions.

USB Flash Drive



Figure 2.3

A Flash drive is a small portable storage device (Figure 2.3) 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 assigns 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 ranging from 64 MB to 5 GB or more. The size that is chosen should correspond with the amount of PCC OTC activity that is processed by each location.

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 are created and not closed or sent are 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 User Manual.

Determine How Much Storage Space is Needed

The size of each check image is 20KB. This equals 10MB of space per 500 item batch. Ten batches this size requires 100MB of secondary storage. Based on a location's volume, use these formulas to determine how much space to allot for secondary storage for the PCC OTC computer.

Efficiently Manage Storage Space

In order to efficiently use the space on the 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.

Tray Manager

Tray Manager is the fourth module of the PCC OTC POS software. It runs silently 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 2.3.0). Tray Manager restarts itself in the event of a shutdown.

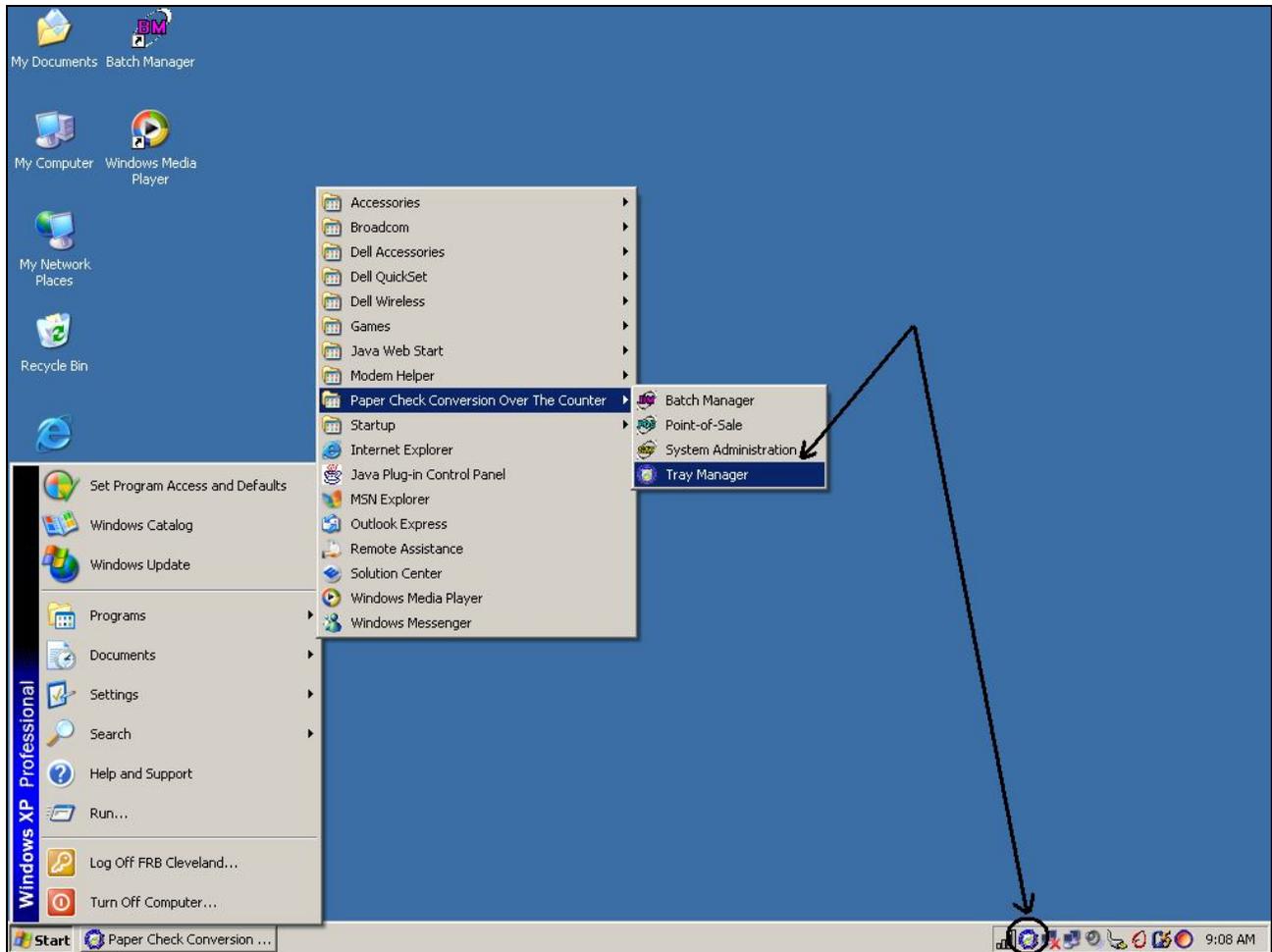


Figure 2.3.0

Pre-Installation

Prior to installing or upgrading to Release 5.4, the pre-steps outlined in this section must be followed to ensure a smooth install. .

Enable Services

Enable the following three Windows Services: ‘Computer Browser’, ‘Server’, and ‘Workstation’. 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 is not updated or maintained. If this service is disabled, services that explicitly depend on it will fail to start.

The ‘Server’ service supports file, print, and named-pipe sharing over the network for this computer. If this service is stopped, these functions become unavailable. If this service is disabled, any services that explicitly depend on it will fail to start.

The ‘Workstation’ service creates and maintains client network connections to remote servers. If this service is stopped, these connections become unavailable. If this service is disabled, any services that explicitly depend on it will fail to start.

If enabling these services causes operational issues, the service can be disabled after the installation of POS 5.4.

From the Windows desktop, click ‘**Start**’, ‘**Control Panel**’. If the Control panel looks like the one in Figure 2.3.1, click the option to the left of the window, “Switch to Classic View”.

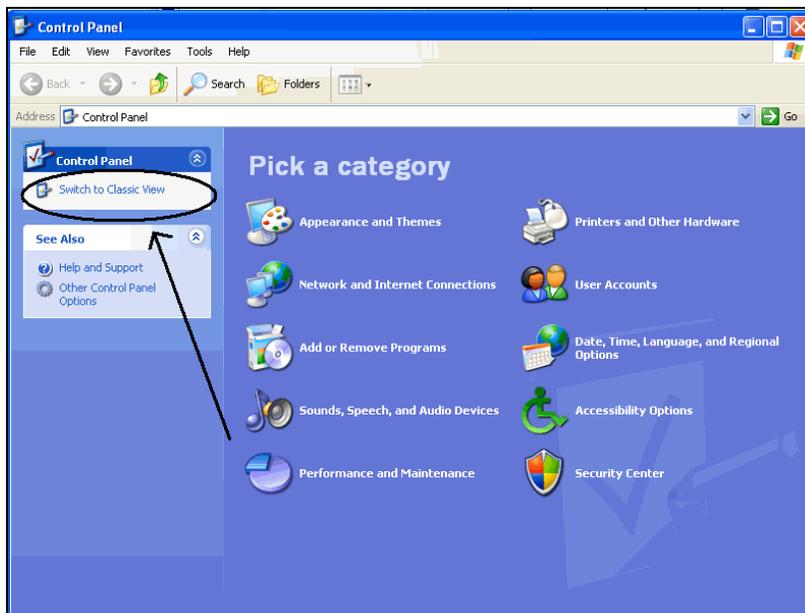


Figure 2.3.1

1. Once in Classic View, click the 'Administrative Tools' icon, then click on the 'Services' icon. Look for a service in the 'Name' column called 'Computer Browser'. Double click the 'Computer Browser' service. The following screen appears (Figure 2.3.2):



Figure 2.3.2

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

As part of the POS installation, a file named PSKill.exe is installed into the RDM directory. If the location encounters an issue with this file during routine security scans, please work with your Information Security staff. They can contact the Treasury OTC Support Center 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. Once the installation is complete, close the ports.

If the POS is installed on a Windows XP SP2 system, the installation automatically opens and closes 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 return to their original state.

To enable File and Printer Sharing as an exception, perform the following steps:

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 repeatedly tries to install. The system indicates that the MSDE installation is complete and asks to restart the computer. Upon restart, the MSDE installation begins again instead of continuing with the POS installation.

Antivirus software may also 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 reconfigured to block scripts from running. Check with your internal security staff as they may require that the computer be disconnected from the Internet or LAN during the installation. If using a McAfee antivirus product, manually disabling the scripts is not required. The installation process automatically stops and starts the script blocker as necessary.

Disconnect USB –connected Scanners

If using a USB-connected scanner, disconnect the scanner from the POS computer until after the install of the POS software is complete, 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 walks the user through installing the scanner driver.

Central Deployment

Download the POS from ELVIS

New versions of the POS can be downloaded from the ELVIS system. Only users with a separate POS Download permission are able to perform the POS download from ELVIS. Contact the Treasury OTC Support Center if assistance is needed to obtain the POS download permission.

Note: *Ensure that all POS applications are closed before performing the POS download.*

To perform a POS Download:

1. Logon to ELVIS with the user name that has POS Download permission. A POS Download Window appears as pictured in Figure 2.4.1.

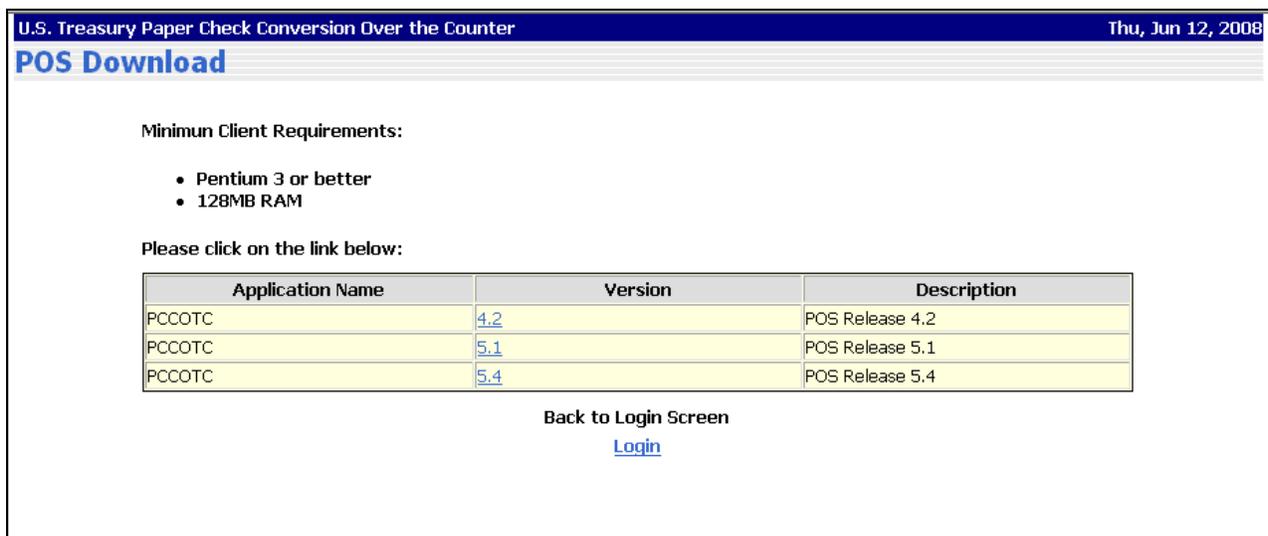
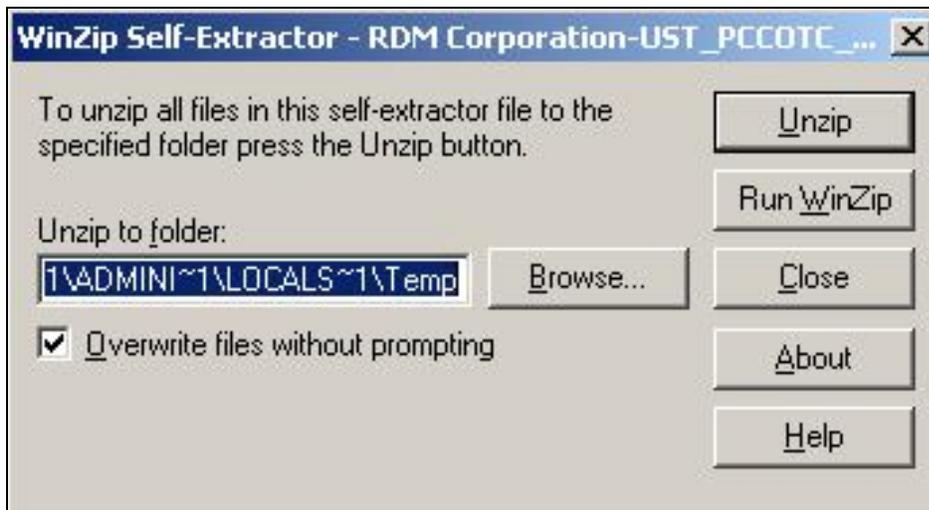


Figure 2.4.1

2. One or more version links may appear. Click the on link that corresponds to the POS Release 5.4.
3. A 'File Download' window appears with the option to 'Run' or 'Save' the file. Save the file to the desired location on the hard drive or LAN drive. This file may be quite large and may take up to 30 minutes or more to download. A self-extracting executable zip file is saved to the specified location. When the download is complete, double click the file to unzip. A Winzip Self Extractor Window appears (Figure 2.4.1.0). Click the '**Browse**' button to navigate to the place on the hard drive or LAN where the file should be saved and click the '**Unzip**' button.



4. Once unzipped, there are 3 new files, including the application executable file, in the specified location as pictured in Figure 2.4.2 below.

Name	Size	Type
Autorun.inf	1 KB	Setup Information
config.txt	1 KB	Text Document
setup.exe	166,978 KB	Application

Figure 2.4.2

If this is a first time installation, follow the instructions in the *'New Installation'* section of this chapter. Be sure to read the *'Pre-Installation'* section earlier in this chapter before installing the POS software. After reading the pre-installation information, begin with step 8 of the *'New Installation'* section of this chapter.

If this is an upgrade, follow the instructions in the *'Upgrade the POS Software from a Previous Version'* section of this chapter. Be sure to read the *'How to Determine the Release'* section, including the *'Steps to follow prior to upgrading to R5.4'*. To proceed with the upgrade, begin with step 8 of the *'Upgrading from Release 5 Through 5.2 (using a CD)'* section of this chapter.

If this is a reinstallation (following an uninstall due to a computer problem), follow the instruction in the *'Reinstalling the POS Software After an Uninstall'* section of this chapter.

Download a POS Release from Within the POS Software

New releases of the POS can be downloaded within the POS software. It is a two step process.

- The first step downloads the necessary files, including the executable file to the computer. This step can be performed by any user who can sign on to the POS.
- The second step must be performed by an authorized user as it requires running the newly downloaded executable file to install the software release.

The POS Application Upgrade can be set to execute on start up or at batch close, or can be manually run. If it is set to run at startup or batch close, the window displayed in Figure 2.4.3 appears automatically, and the first step of the application upgrade begins.

To download a new version manually from the POS:

1. In the POS, select **'Tools', 'Check Host For', 'Application Upgrade', 'PCC OTC Application'** (Or if Release 5.0, **'Tools', 'Check Host For', 'Application Upgrade'**). The PCC OTC Application upgrade information window opens (Figure 2.4.3). The percentage of completeness is displayed. This step delivers the files necessary for the upgrade to the computer. It could take 10-30 minutes to complete, depending on the connection speed of the computer.



Figure 2.4.3

2. When complete, click **'Close'**. The New Version window opens as displayed in Figure 2.4.4.

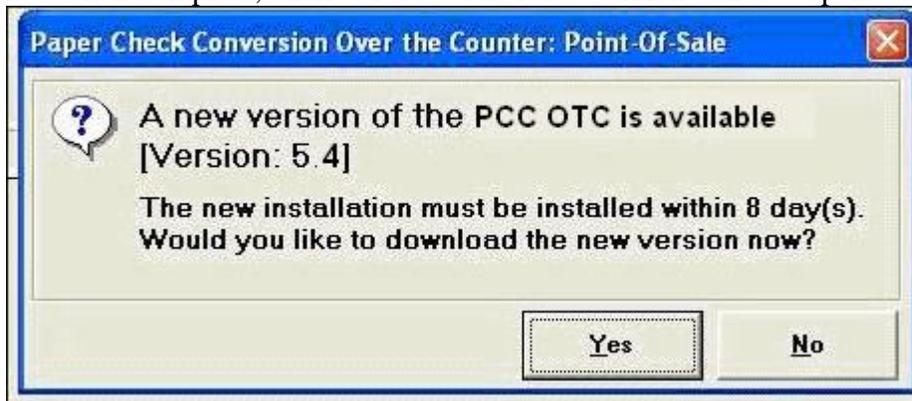


Figure 2.4.4

Note: Before running the install, read ‘Steps to follow prior to upgrading to R5.4’ section of this chapter of the User Manual.

3. Click ‘Yes’ to install the upgrade. The system checks for proper authorization to perform the install. If the operator does not have the authority to run the install, an authorization window appears requesting the login and password of an authorized user. The install only occurs if an authorized user supplies their login and password. If the authorization process is satisfied, the install begins. The window displays the percentage of completeness (Figure 2.4.5).

Note: The upgrade can also be postponed for a predetermined number of days, as setup by the Treasury OTC Support Center, but must be installed before the last day of the grace period. Once the grace period expires, the upgrade is no longer available and the Treasury OTC Support Center must be contacted for instructions on upgrading.

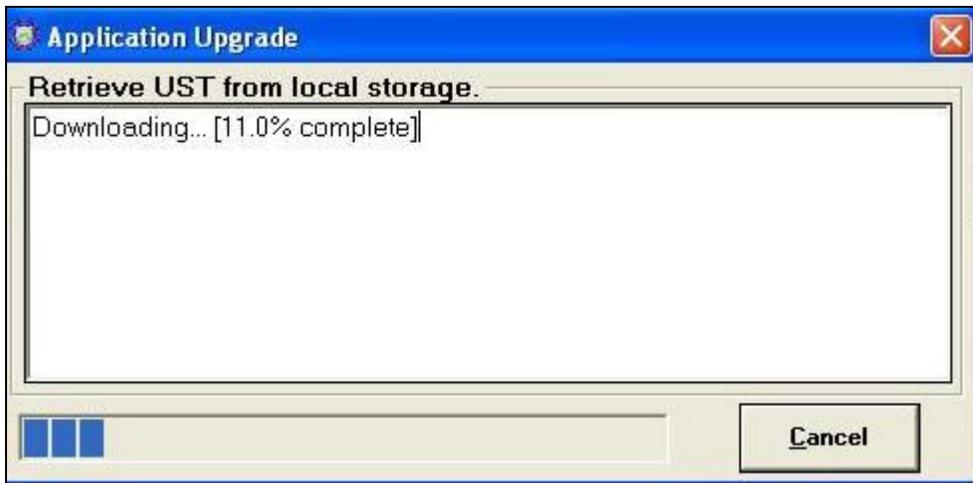


Figure 2.4.5

4. When complete, the following window is displayed (Figure 2.4.6). Click ‘Close’ (Figure 2.4.6). The POS closes.

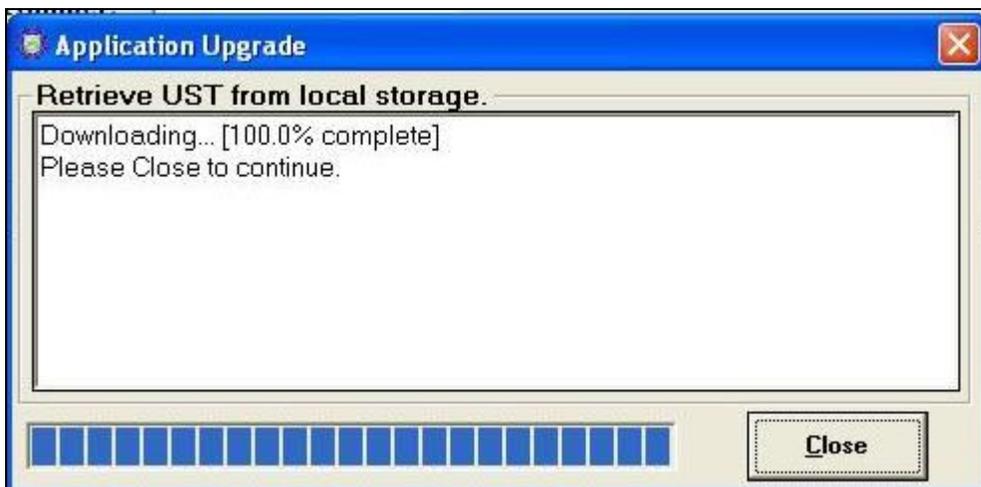


Figure 2.4.6

5. The Winzip self-extractor archive window opens. (Figure 2.4.7) Specify a file location if different from the default and click **'Unzip'**.

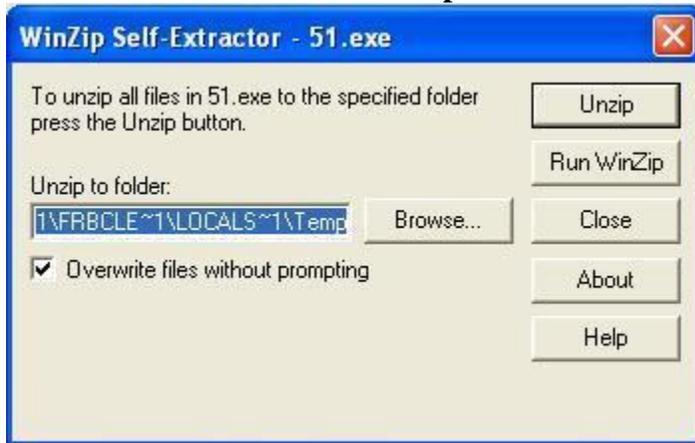


Figure 2.4.7

6. When the files have finished unzipping, click **'Close'**. The following message appears indicating that three files have been unzipped (Figure 2.4.8)



Figure 2.4.8

7. Navigate to the file location specified on the Winzip Self-extraction screen (be sure to read the 'Pre-Installation Instructions' prior to performing the next step).
8. Follow the instructions in the 'Upgrade the POS Software from a Previous Version' section of this chapter. Be sure to read the 'Determine the Release' section, including the 'Steps to follow prior to upgrading to R5.4'. To proceed with the upgrade, begin with step 8 of the 'Upgrading from Release 5 Through 5.2 (using a CD)' section of this chapter.

New Installation – Installing from CD

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

Note: *Please be sure to read the 'Pre-Installation' section of this chapter before proceeding with the install.*

1. Insert the Release 5.4 PCC OTC Install CD into the CD-ROM drive. The computer may attempt to automatically run the program. If the 'Paper Check Conversion Over the Counter' Welcome window appears, click 'Cancel', then click 'Exit Setup'.
2. Right-click on the '**Start**' button, then click '**Explore**'
3. In the left window, navigate to the CD-ROM drive and double click the drive specification, usually D: or E:.
4. In the right pane, right-click the file named '**Setup.exe**' and click '**Copy**'.
5. Copy the file to a folder on the hard drive such as the 'temp' folder, or copy it to the desktop. Using the left pane, navigate to the folder where the file will be copied and double click on that folder.
6. At the top of the screen, click on '**Edit**', then click '**Paste**'. The setup.exe file should now be visible in the right pane on the screen.
7. Remove the Release 5.4 PCC OTC Install CD from the CD-ROM drive and store in a secure location.
8. To run the install program, navigate to the folder where the file was copied (or to the desktop) and double-click on the setup.exe file.
9. The 'Paper Check Conversion Over the Counter Welcome' window appears (Figure 2.5). Click '**Next**'.

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.*

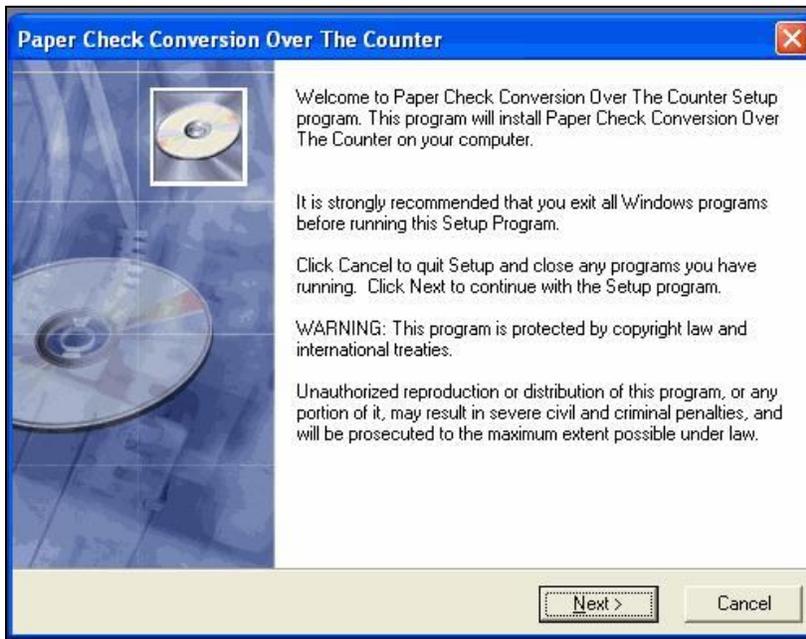


Figure 2.5

10. The system may 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™, which is required to run the POS software. The installation of MSDE can take as long as 5 minutes to complete.

Note: *If the required version of MSDE (Service Pack 4) is already present on the system, step 10 is skipped and the POS installation begins – see step 11.*

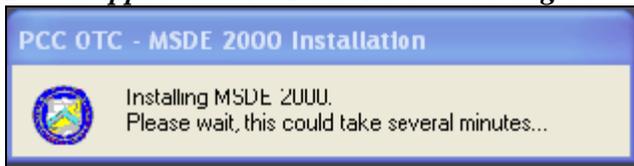


Figure 2.6

11. The following screen appears notifying the user that the system is updated with MSDE (Figure 2.7). Click 'Yes' to restart the computer.



Figure 2.7

12. Once the restart is complete, the PCC OTC System Information screen appears. (Figure 2.9)

Figure 2.9

13. 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 the first 10-digit ALC+2 in the ALC field. Press the tab key and type the Location description. The description is used internally to easily identify each location. Click **'OK'**.

Note: Prior to adding the ALC+2's, an Agency Site Profile (A S P) must be submitted to Treasury OTC Support Center 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 assistance is needed with identifying the ALC's, please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

14. Type the Terminal ID as provided by the Treasury OTC Support Center.

15. To choose the location of the secondary storage, click the **'Browse'** button and navigate to the correct drive for the secondary storage (This drive is usually the flash drive - normally E:\ or D:\). **Note: drive must be connected to the computer.** Daily and archived batches are stored on this drive. When the selection is complete, click **'OK'**. The choice for the secondary storage should now be displayed in the field to the immediate right of the 'Secondary Storage'.

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

17. If the scanner is connected via USB to the POS computer, the system may prompt to unplug the scanner before continuing. Unplug the USB cable from the back of the computer and click the **'OK'** button.
18. A 'Start Installation' window appears. Click the **'Next'** button.
19. The system begins installing the PCC OTC databases and files.
20. The Crystal Reports XI runtime module is then installed.
21. The system prompts with, "Do you want to install the Queue Interface?" Military Agencies that will use the Interface should click **'Yes'**. All other Agencies, click **'No'**. If 'Yes' was selected, the 'Deployable Dispersing System' bridge is installed.
22. When complete, a window appears stating that the software is successfully installed. Click **'Finish'**.
23. A prompt appears stating that the system must be restarted to complete the installation. Click the **'OK'** button to restart. The computer reboots.
24. Upon a successful installation, three shortcut icons to the POS program (POS – Point-of-Sale, SAT – System Administration, and BM - Batch Manager) appear on the PC desktop (Figure 2.10). The version number can be verified by signing on to the SAT, POS, or Batch Manager and clicking **'Help'**, **'About PCC OTC'** from the menu at the top of the screen. The Security Administrator needs 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 User Manual.

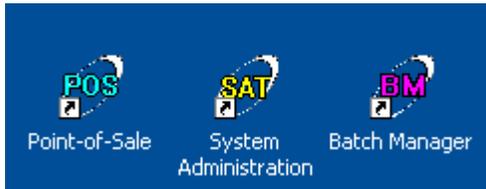


Figure 2.10

25. Military Agencies that elected to install the Queue Interface should refer to the optional *'Queue Interface'* chapter (chapter 13) of the User Manual.
26. Reconnect the USB-connected scanner. A 'Found New Hardware' window may appear. The Windows Operating System walks the user through installing the driver for the USB scanner.
27. Before using the POS software to create transactions, the Agency's unique data entry screens need to be downloaded. This includes updated data entry screens for the 'Back Office' processing method. To download the screens, sign on to the POS, click on **'Tools'**, **'Check host for'**, **'Data Entry Screen Upgrade'**. The new data entry screens automatically download to the POS computer.

Upgrading the POS Software

Determine the Release

It is important to determine the Release or Version number to know how to proceed with the upgrade. Older versions of the POS have not been tested to work with ELVIS 5.4, and may not be compatible. Also, older versions cannot be directly upgraded and additional upgrade paths need to be considered.

To determine the version number, sign on to the POS and choose 'Help', then 'About PCC OTC'. A window appears displaying the version number similar to the one pictured below in Figure 2.10.1:

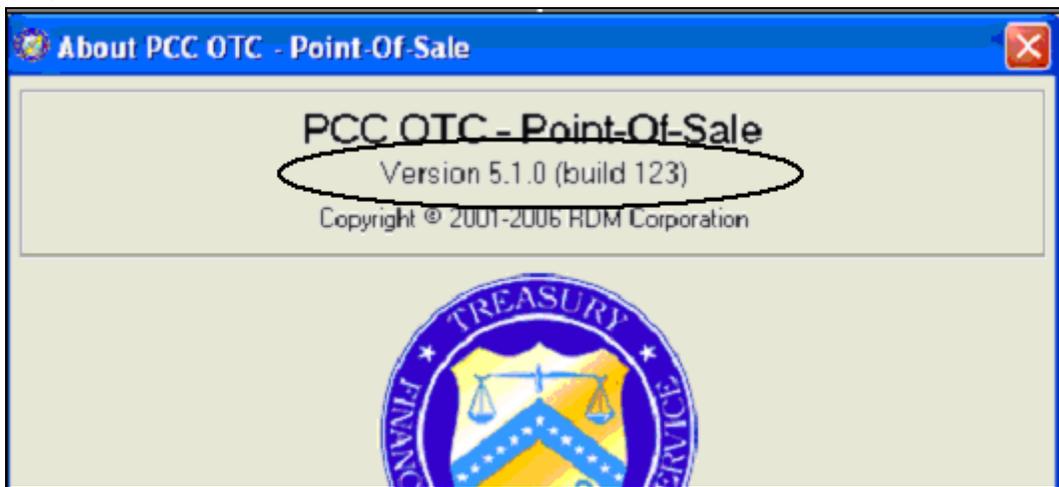


Figure 2.10.1

If the version number displayed is 5.x, it can be directly upgraded to POS Release 5.4. Proceed to the 'Steps to Follow prior to upgrading to R5.4' section of this chapter.

If the version number displayed is 2.x, then it is considered an old version. Read the 'Upgrading from an Old Version' section below to determine how to proceed with the upgrade to Release 5.4.

Upgrading from an Old Version

There are 2 upgrade options available, based on how the POS computer is used. The choices are:

1. The upgrade path - There is no direct upgrade from Release 3.5 or 4.x to Release 5.4. If this option is chosen the computer must be upgraded to Release 5.1, which then allows a direct upgrade to 5.4. The advantages of the upgrade path are that upgrading retains user information, the audit log, and other unique configuration settings, and there is no need to uninstall the earlier version from the POS computer. If you have a high number of users, it is advisable to choose this upgrade path. The upgrade to Release 5.1 can be done from a CD or by downloading the upgrade from ELVIS. To download Release 5.1 from ELVIS, follow the instructions 'Download the POS from ELVIS' section in this chapter. Installation instructions are provided in the Release 5.1 USER MANUAL 'Installation and Configuration' chapter.

The USER MANUAL can be found at <https://www.pccotc.gov/pccotc/Downloads/r51sop.htm>. Once you have successfully upgraded to Release 5.1, follow the upgrade instructions in this chapter to upgrade to Release 5.4

2. The second option is to uninstall the old release, then install Release 5.4. The advantage of the uninstall/install path is that it takes less time to perform, but this path DOES NOT retain users, the audit log, or unique configuration settings. Follow the 'Uninstall' section of this chapter, then the Install section.

-Also-

Releases prior to 5.0 do not include a Batch Manager component. When upgrading an old POS installation that is previous to 5.0, existing POC users donot have permission to view the Batch List. This permission needs to be manually added to the POC user, as required, using the System Administration Tool.

Steps to Follow Prior to Upgrading to R5.4

This procedure can only be followed if the POS Release is 5.0 or higher. 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 the computer.

Close the POS, SAT, and Batch Manager applications before installing the POS upgrade.

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

Disconnect the USB-connected scanner prior to upgrading. Reconnect the scanner once the upgrade is complete.

Launch the SAT and login.

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 Release 5 through 5.2(using a CD)

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

1. Make sure to follow the steps outlined in ‘Steps to follow prior to upgrading to R5.4’ before beginning the upgrade.
2. From the Windows desktop, right-click on the ‘**Start**’ button, then click ‘**Explore**’
3. In the left window, navigate to the CD-ROM drive and double click the drive specification, usually D: or E:
4. Right-click the file named ‘**Setup.exe**’ and click ‘**Copy**’.
5. The file must now be copied to a folder on the hard drive such as the ‘temp’ folder, or it can be copied to the desktop. Navigate to the folder where the file will be copied and double click on that folder.
6. At the top of the screen, click on ‘**Edit**’, then click ‘**Paste**’. The setup.exe file should now be visible in the right panel on the screen.
7. To copy the file to the desktop, right-click on the desktop and click ‘**Paste**’. The file is now visible on the desktop. Remove the PCC OTC Install CD from the CD-ROM drive and store in a secure location.
8. To run the install program, navigate to the folder where the file was copied and double-click on the setup.exe file.
9. The screen should indicate that a previous version of PCC OTC has been detected (Figure 2.11) and ask if you wish to continue. Click ‘**Yes**’.

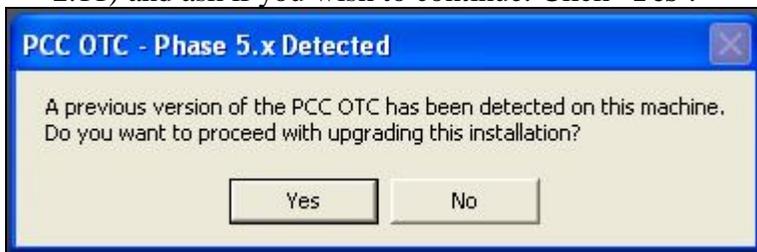


Figure 2.11

10. If open batches are detected in the previous version, the installation ends. Please close and upload the opened batches.
11. The MSDE 2000 SP4 is applied. This can take several minutes. When complete, the system needs to restart. Click ‘**Yes**’ to restart the computer.
12. After the reboot, a window may appear stating that a previous version of the PCC OTC has been detected. Click ‘**Yes**’ to proceed with the upgrade.
13. The Paper Check Conversion Over the Counter Welcome screen appears. (Figure 2.12).

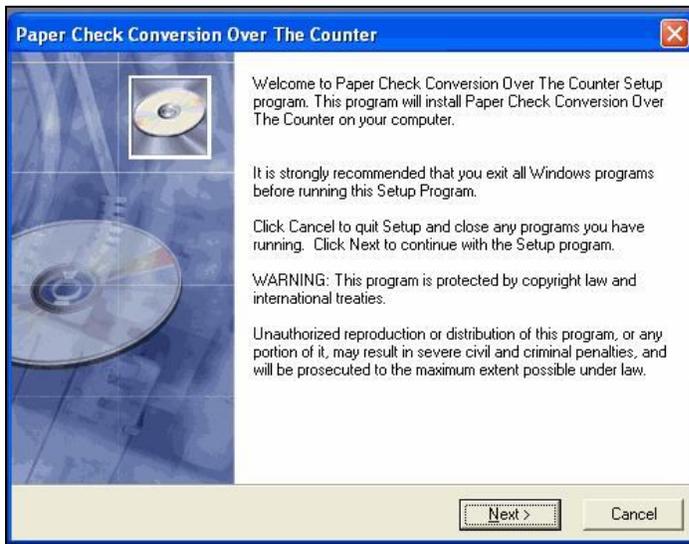


Figure 2.12

14. Click **'Next'**. A System Configuration screen appears as pictured in Figure 2.13.

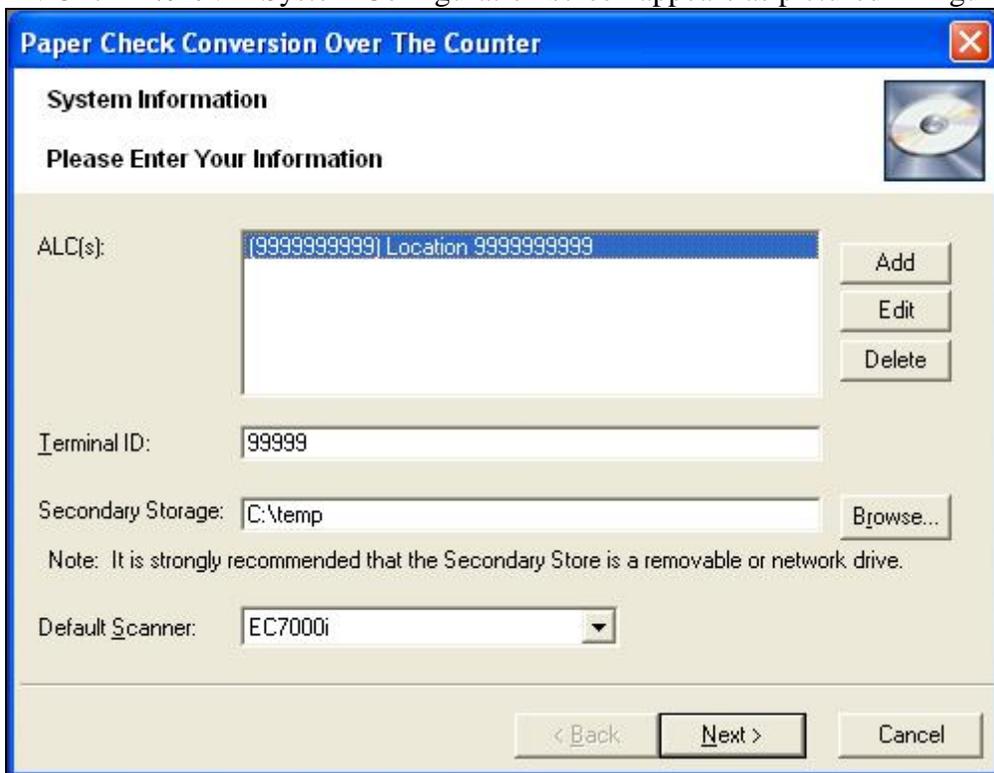


Figure 2.13

15. The ALC's that were used in the previous version of the POS is displayed. If necessary, add 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. Type the first 10-digit ALC+2. Press the tab key and type the Location description. The description is used internally to easily identify each location. Click **'OK'**.

Note: Prior to adding the ALC+2's, an Agency Site Profile (A S P) must be submitted to Treasury OTC Support Center for each ALC +2.

If more ALC+2's need to be added, click the **'Add'** button again and repeat the previous step. Continue in this manner until all ALC's have been added. For assistance with identifying your ALC's, please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

16. The terminal ID should have been retained from the previous version of the POS. If the terminal ID is not correct, double-click within the field and type the correct terminal ID. **Note: It is very important that apostrophe's not be used in the terminal ID field. Doing so causes the upgrade to fail.**
17. 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 the 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). The drive selection can be changed by selecting the **'Browse'** button. Daily and archived batches are stored on this drive. When the selection is complete, click **'OK'**. The choice made for the secondary storage should now be displayed in the field to the immediate right of the **'Secondary Storage'**.
18. Select the correct scanner model. Click the down arrow to the right of the field and select the correct scanner model. Click **'Next'**.
19. **'Start Installation'** window appears. Click **'Next'**.
20. The system begins performing various tasks such as uninstalling the previous version and upgrading the PCC OTC databases.
21. If the scanner is connected via USB to the POS computer, a prompt may appear requesting that the scanner be unplugged before continuing. Unplug the USB cable from the back of the computer and click the **'OK'** button.
22. The install begins copying files and displays a screen which reflects the percentage of completion.
23. The Crystal Reports XI runtime module is configured.
24. The system configuration is updated.
25. The system asks if you wish to install the Queue Interface. Military Agencies that will use the Interface should click **'Yes'**. All other Agencies, click **'No'**. If **'Yes'** was selected, the **'Deployable Dispersing System'** bridge is installed.
26. When complete, a window appears that states that the software is successfully installed. Click **'Finish'**. A prompt appears stating that the system must be restarted to complete the installation. Click the **'OK'** button to restart.
27. Upon a successful installation, three shortcut icons to the POS program (POS –Point-of-Sale, SAT – System Administration, and BM - Batch Manager) appears on the PC desktop (Figure 2.14). 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.

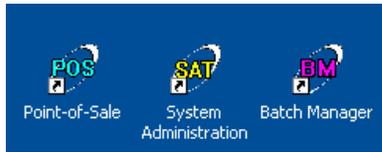


Figure 2.14

28. Military Agencies that elected to install the Queue Interface should refer to the optional '*Queue Interface*' chapter (chapter 13) of the PCC OTC USER MANUAL.
29. Before using the POS software to create transactions, the Agency's unique data entry screens need to be downloaded. This includes updated data entry screens for the 'Back Office' processing method. 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**'.
30. Reconnect the USB-connected scanner. A 'Found New Hardware' window may appear. The Windows Operating System walks the user through installing the driver for the USB scanner.

Uninstall

If the POS 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 the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Note: *Uninstallation of the POS software erases user and password data, batch data, and the activity logs unless the user saves the data, as prompted during the uninstall process. Unique data entry screens, ALC's, and configuration information cannot be saved. See the 'Recover Data Entry Screens' section of this chapter for information on recovering Data Entry Screens.*

Also – *If the secondary storage location exists outside of the RDM directory (which it should), it is not removed during the uninstall procedure.*

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 needs to occur immediately afterward. The following steps should be performed **prior** to uninstalling the POS software to ensure a smooth reinstall. The following steps assume that the current installation of the POS software is accessible. If the software is inaccessible and these steps cannot be performed, contact the Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 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 USER MANUAL. If the computer is not accessible and there are open batches, a batch recovery needs to be performed using the secondary storage drive, after the reinstallation of the software is completed. For instructions on 'Batch Recovery', please refer to the *System Administration Tool – SAT* chapter of this USER MANUAL.
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 the 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 USER MANUAL.

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 OTC SAT application.
5. Launch PCC OTC POS and login. Click **'File'**, and **'Configuration'**. Select the Application tab and make a note of the Terminal ID.

Uninstalling the r5.4 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 2.15)

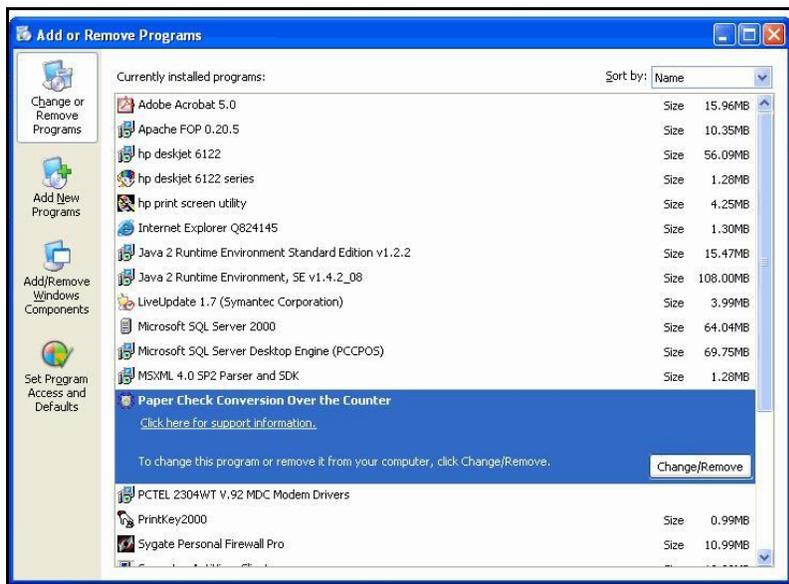


Figure 2.15

2. The prompt, "Please close all other applications before continuing", appears. To continue, make certain that all other applications are closed and click on the **'OK'** button. The prompt, "Are you sure you want to uninstall PCC OTC?", appears. 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, activity logs, and transactions that have not yet been completed within the POS.
 - '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' removes all users, pending transactions, and activity logs from the POS, but the POS administrative password is

restored to a default after the software is 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 notify the user that the file is no longer being used by other programs and may be deleted. Click on **‘Yes to All’**. (Figure 2.16)

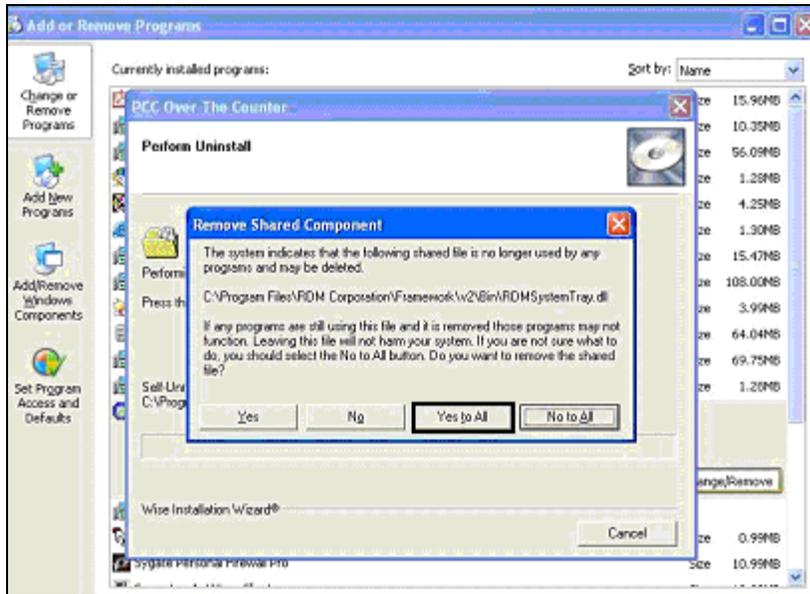


Figure 2.16

5. When the uninstall is complete, a window appears stating that the PCC OTC uninstall is complete successfully and the system must be restarted. Click **‘Yes’** to exit the installation and restart the computer.
6. When the Windows desktop appears, 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 to only delete the RDM Corporation folder. The prompt, **“Are you sure you want to remove the folder ‘RDM Corporation’ and move all of its contents to the Recycle Bin?”** appears. Click the **‘Yes’** button.

Permanently Uninstalling the R5.4 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 R5.4 Software' in the previous section. Older releases of the software may have included POS CD's. The Agency's Management needs to ensure that these CD's are destroyed. All sensitive data should be removed from the secondary storage device as well.

Note: Certain Windows Registry keys may be left behind after uninstalling. For information on how to address these keys, please contact the T

Reinstalling the POS Software After an Uninstall

NOTE: If an error is encountered during any part of the installation, contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

To reinstall the software after an uninstall: use the PCC OTC Release 5.4 CD, or download the install from ELVIS. To install from CD, follow the instructions outlined in the 'New Installation – Installing from CD' section of this chapter. If downloading the install from ELVIS, follow the instructions outlined in 'Downloading the POS from ELVIS' section of this chapter.

Recovering Data Entry Screens

Note: Uninstallation of the POS software erases all 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 to the POS, click on 'Tools', then 'Check for', then click 'Data Entry Screen Upgrade'.

POS Application Setup

POS Configuration

To view or edit current POS configurations, the authorized user needs to click the **'File'** menu then select **'Configuration'** within the POS. An authorized user, i.e. an administrator, supervisor, or POC 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 2.20). The left side of the window is used to select the scanner model the POS system uses. 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. Choices are USB port or Serial port. Click the appropriate radio button. If the Serial Port is chosen, use the drop down arrow to choose an available com port.

The 'Franking' option can be used for the EC6000i or EC7000i scanner. This option allows the scanner to automatically stamp checks with the words 'Electronically Presented' upon completion of each item. This requires 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 USER MANUAL. This option is not available for the EC5000i or Panini scanners.

The Enable Keypad box should be checked if electing to use 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 (Customer) Not Present mode. Refer to the Yes/No Keypad section earlier in this chapter for more information on the Yes/No Keypad.

When all fields are completed, click 'Apply',.

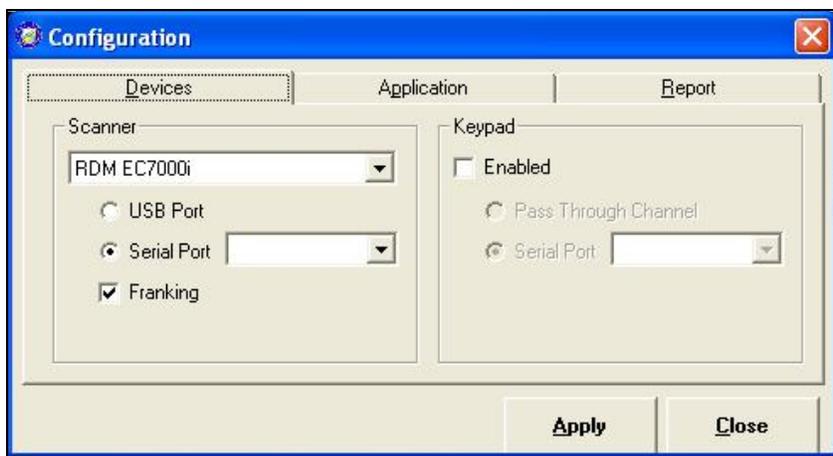


Figure 2.20

Application Tab

From the POS configuration window, click the 'Application' tab. This tab is used to set up preferences within the POS application (Figure 2.21).

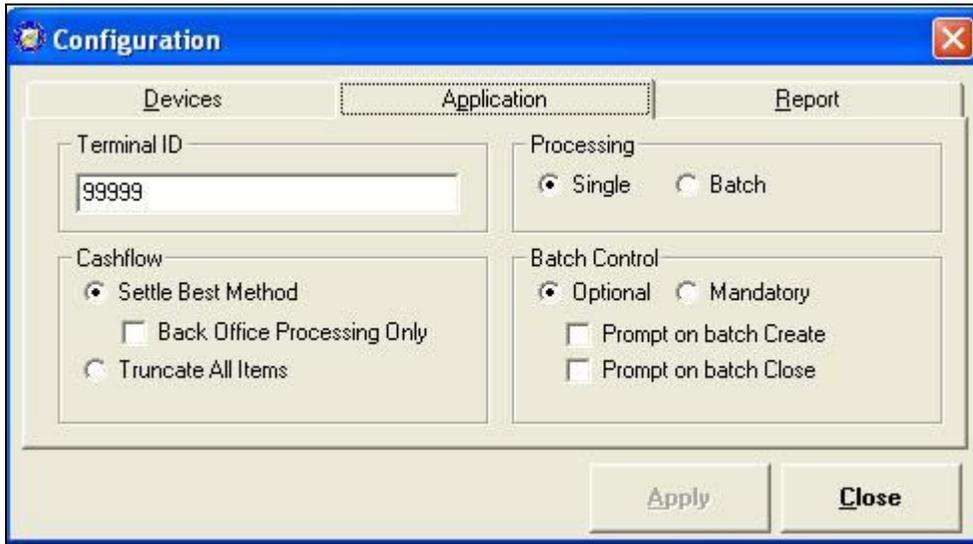


Figure 2.21

Terminal ID

The Terminal ID is provided by the Treasury OTC Support Center 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 2.21 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 the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Cashflow

The Cashflow fields are used to specify what type of items the POS system allows.

The 'Settle Best Method' represents both personal and non personal items. It is the default selection and when selected exclusively on the configuration screen, all processing methods (Customer Present, Customer Not Present, and Back Office) are allowed for either personal or non personal items on the Entry Screen.

If 'Back Office Processing Only' is checked, Back Office is the only allowable processing method on the Entry Screen for both personal and non personal items. The Back Office processing method should be used by Agencies that receive payments in person at the point-of-sale location, then scan the checks

at a later time in a controlled, back office environment. When using the Back Office method, customers are not handed back their check as in a typical face-to-face transaction.

If 'Truncate All Items' is chosen, only non-personal items are allowed (for all processing methods) on the Entry Screen..

Click the appropriate radio button to choose 'Settle Best Method' (click the box for Back Office Processing Only), or 'Truncate All Items', then click 'Apply', then '**C**lose'.

Processing

This field establishes whether the POS uses Single mode or Batch mode processing. The Single processing mode only 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 can only be used with an EC7000i or Panini scanner. For complete information on processing mode, please refer to the *Daily Processing* chapter of this USER MANUAL. Click the appropriate radio button to choose the processing mode and when complete click the '**A**pply' button, then click '**C**lose'.

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 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 does 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 2.22:

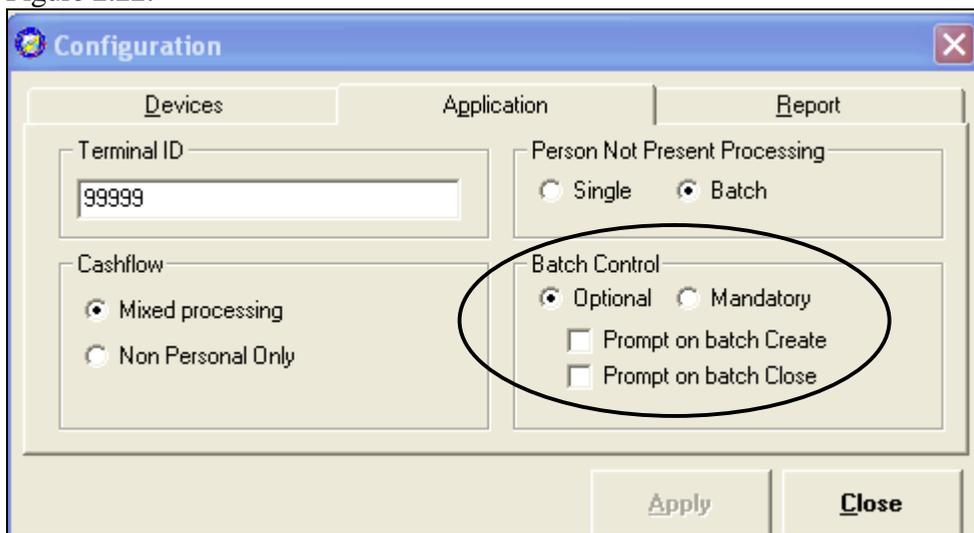


Figure 2.22

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 2.23, 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 bypasses the batch control function.
3. Leave the batch control total amount and count at zeroes.

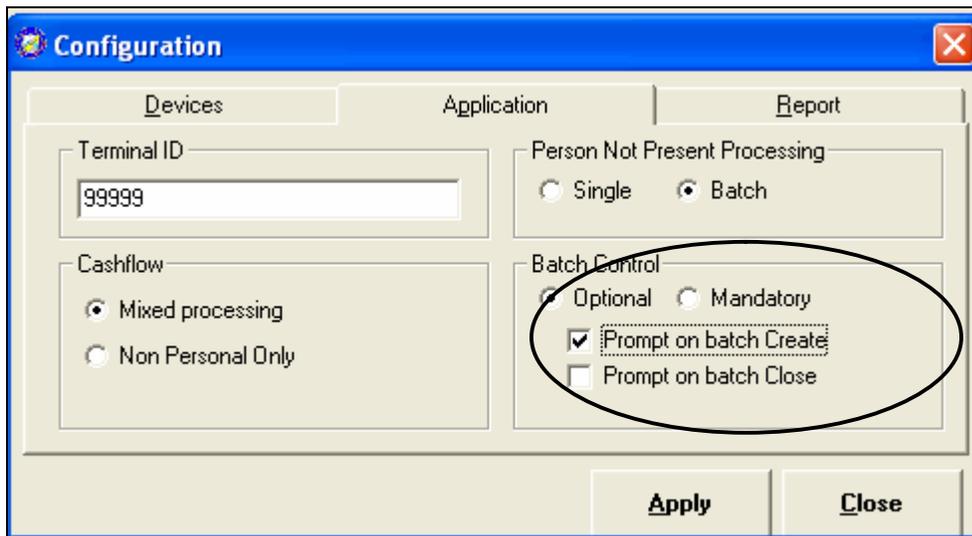


Figure 2.23

The batch control screen does 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 2.24, the operator is not prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen appears. 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.

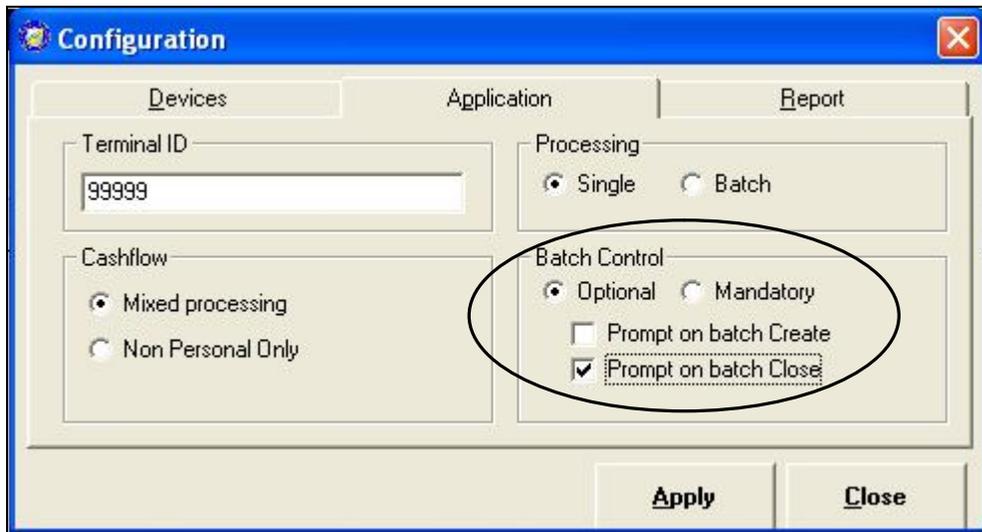


Figure 2.24

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

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 2.25, the operator is 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 appears again. 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.

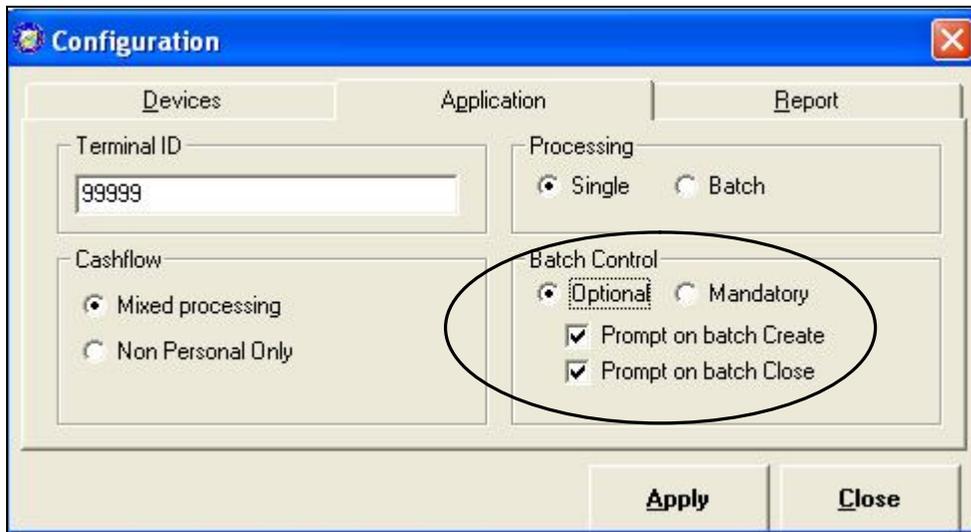


Figure 2.25

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

Mandatory

If the Batch Control feature is set to mandatory, then the POS prompts for batch control totals. 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 2.26, the operator:

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

The batch control screen does not appear upon batch close.

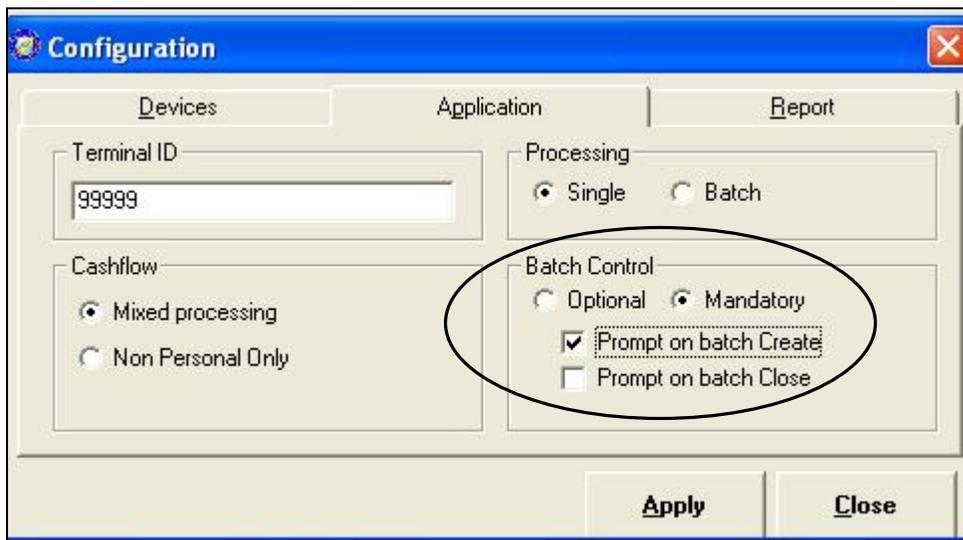


Figure 2.26.

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

Mandatory at Batch Close Only

When the configuration settings are set to mandatory on batch close only, as displayed in Figure 2.27, the operator is not prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen appears. 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.

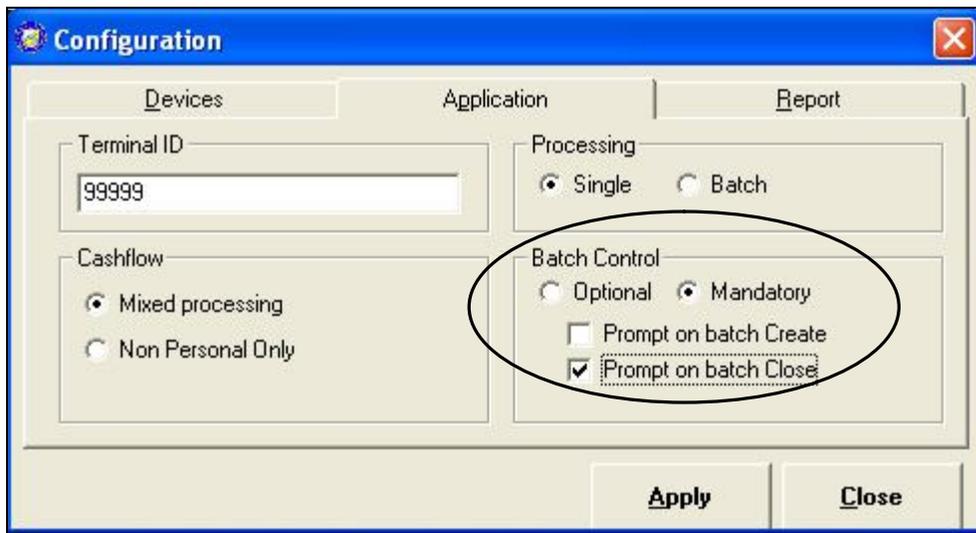


Figure 2.27

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 2.28, the operator is 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 appears. 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.

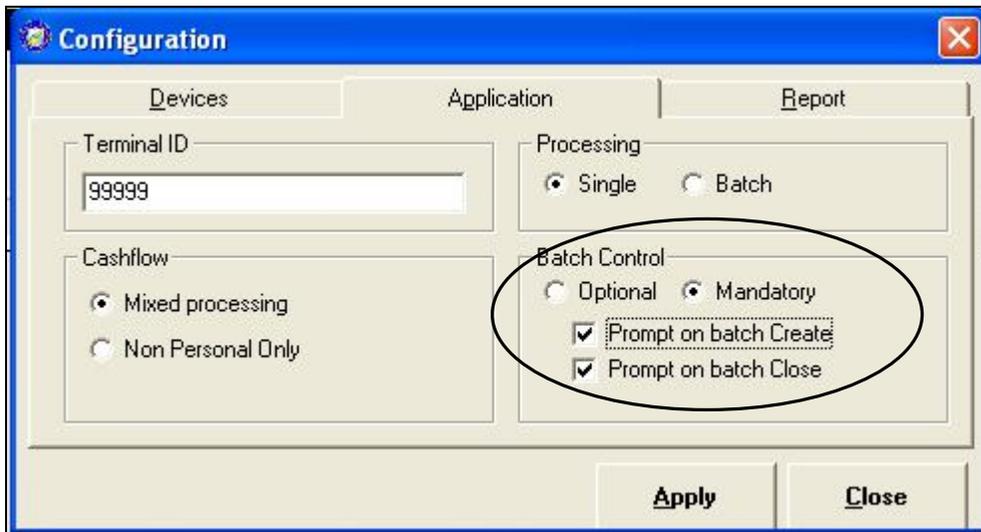


Figure 2.28

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

Note: *Batch control is not required on batches that contain only voided items.*

Reports Tab

Note: *Currently, only the Windows default printer can be used with POS Release 5.4. This functionality will be available in a future release of the POS.*

PCC OTC uses the default printer assigned in the operating system if one is not specified on this screen. If the Windows default printer is not the printer where the PCC OTC report should print, another printer can be specified. Since it is mandatory to print the batch list as part of the batch closing process, this screen allows the user to choose which printer to setup as the POS default printer. (Figure 2.29)

To install a new printer in the 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, 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.

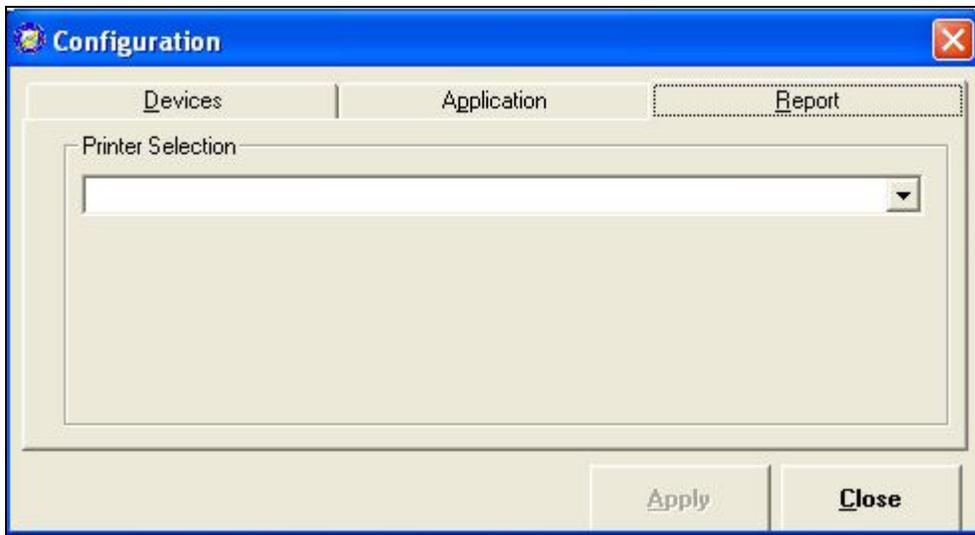


Figure 2.29

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 the 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 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 displays the version number for the POS (circled below in Figure 2.30) as well as scanner driver information at the bottom of the screen. This information may be requested by the Treasury OTC Support Center or Treasury/FMS for troubleshooting purposes.

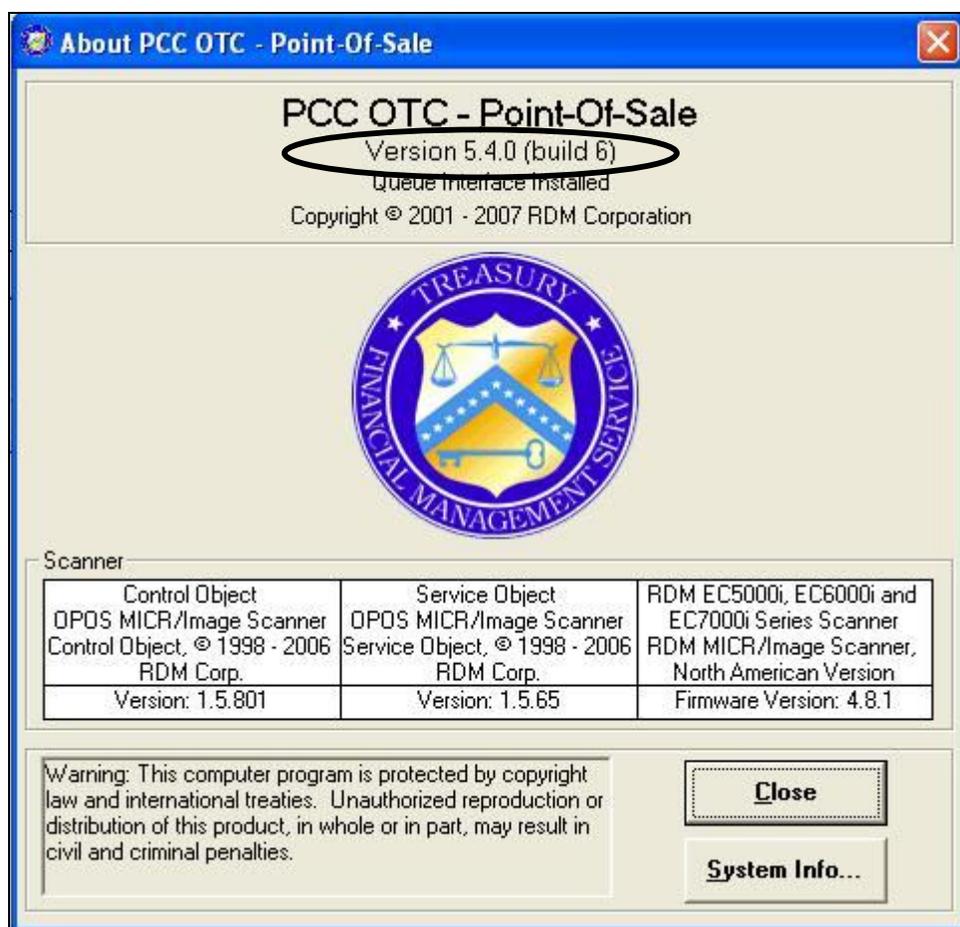


Figure 2.30

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 2.31)

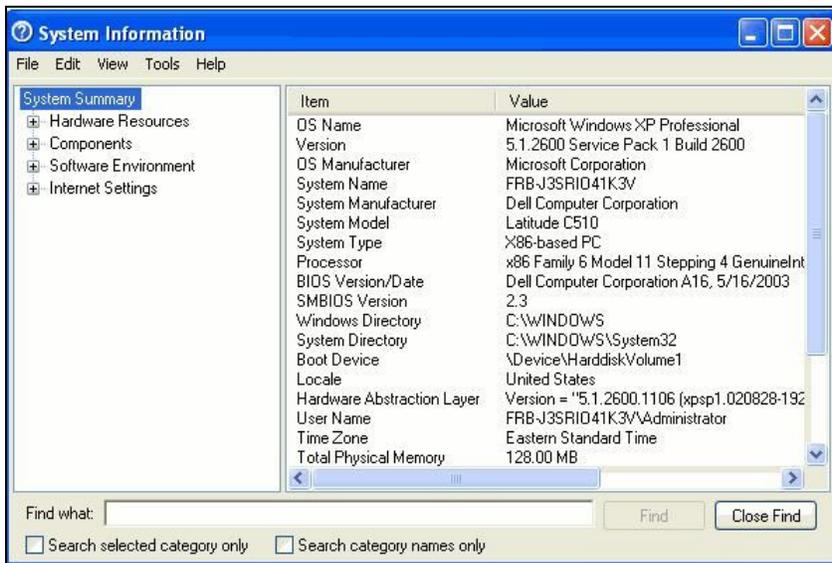


Figure 2.31

Help – other menu options

By clicking on ‘Help’ from the POS menu, users can choose between ‘Contents’, ‘Index’, or ‘Search’.

- Contents – Displays a welcome to the PCC OTC Online Help screen. Contents also displays a menu of POS messages (left side of screen) as displayed below in Figure 2.32. Click on any of the categories to see the description of various message types for that category.

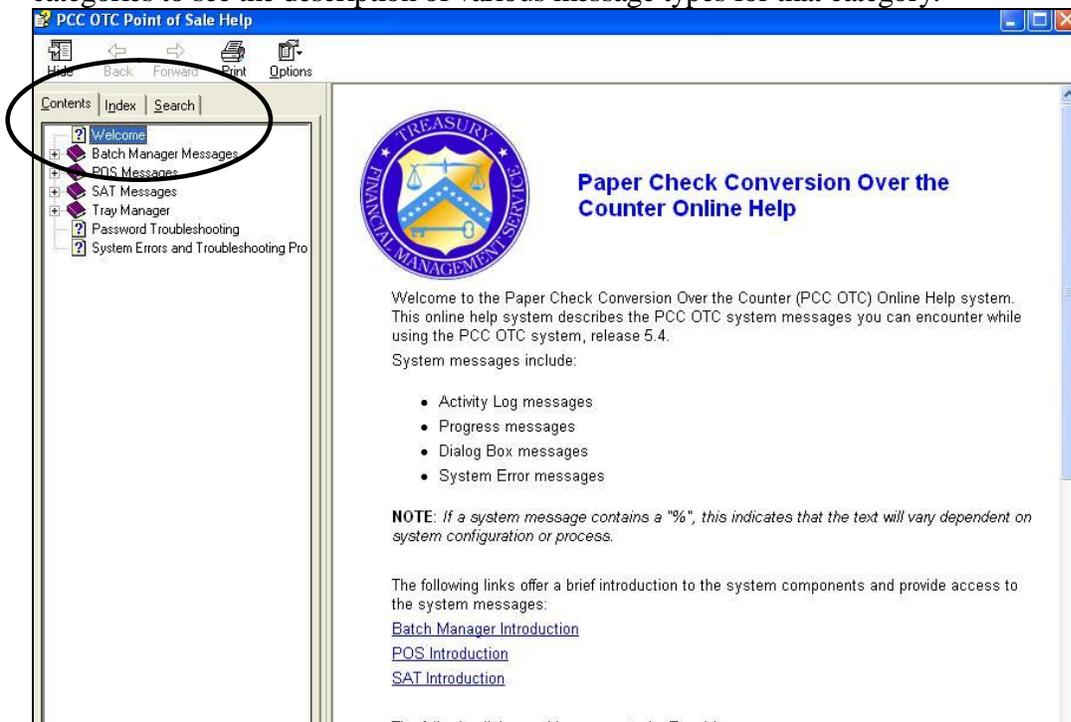


Figure 2.32

- 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 2.34)

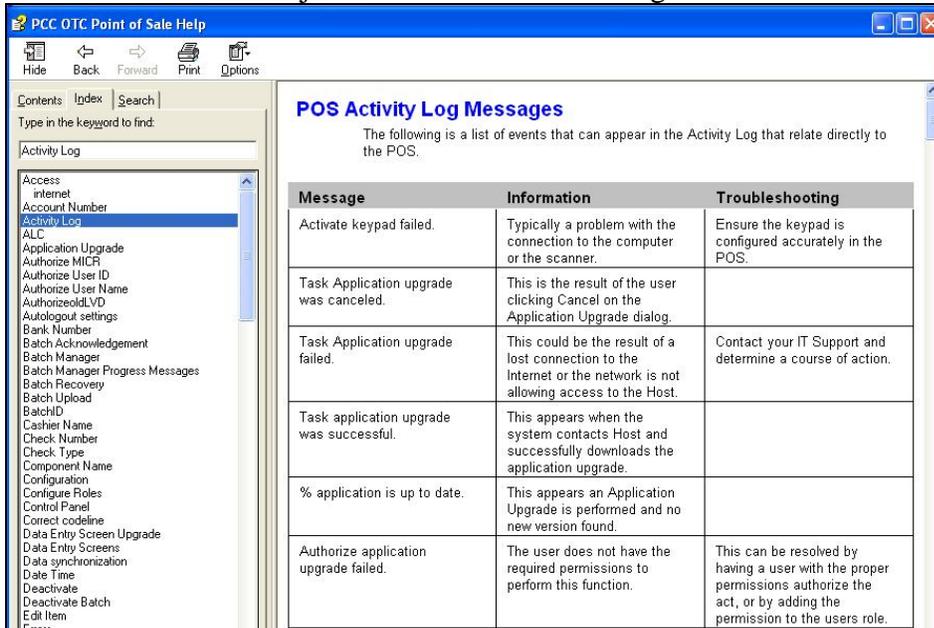


Figure 2.34

- Search – The search function allows the user to type a word or group of words to search for a specific error (left side of the screen) , as displayed in Figure 2.35.

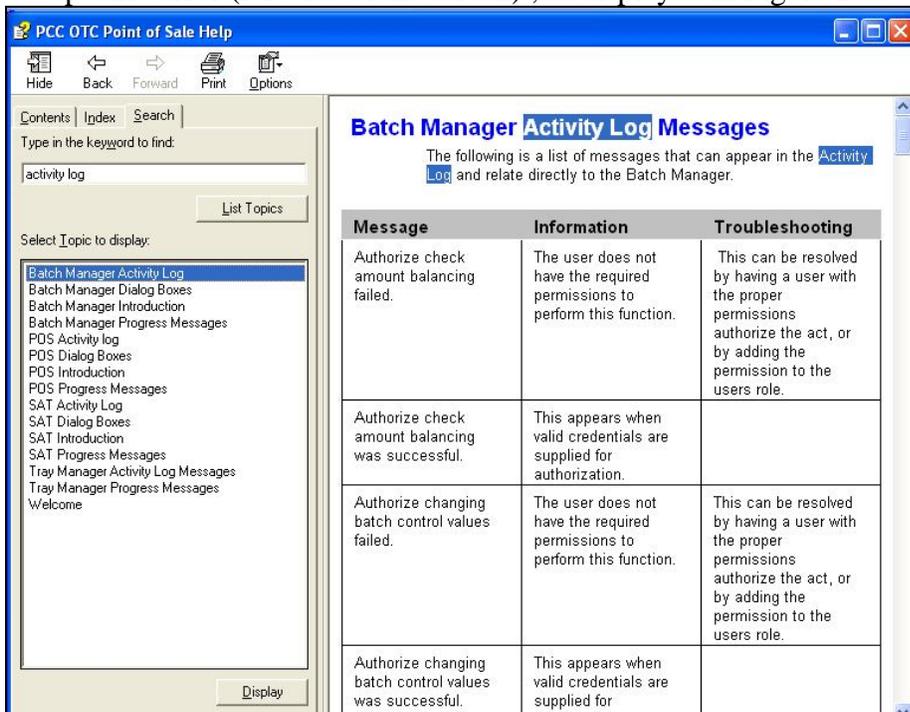


Figure 2.35

U.S. Department of the Treasury
Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Supplement: Automatic Push Installation and Configuration

January, 2009
Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	

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..... 8
 - Connecting the Scanner 9
- Optional Battery Pack..... 10
 - Charging the Battery Pack 10
 - Connecting the Battery Pack..... 11
- Yes/No Keypad (Optional)..... 12

LAN Connectivity..... 14

Printer Requirements..... 14

Mirror Image - Backup Device Installation (Secondary Storage)..... 14

- Determine How Much Storage Space is Needed..... 15
- Efficiently Manage Storage Space 15

Tray Manager..... 16

Pre-Installation..... 17

- Enable Services 17
- Open Ports..... 19
- Disconnect USB –connected Scanners..... 19

Remote Installation 20

- Copy the Files..... 20
- Prepare the Configuration Text File..... 21
- Remote or Silent Install..... 22

Central Deployment 24

- Download the POS from ELVIS..... 24
- Download a POS Release from Within the POS Software..... 26

New Installation – Installing from CD 29

Upgrading the POS Software 33

Upgrading the POS Software..... 33

- Determine the Release 33
- Upgrading from an Old Version 33
- Steps to Follow Prior to Upgrading to R5.4 34
- Upgrading from Release 5 through 5.2(using a CD)..... 35

- Uninstall..... 39**
 - Before Uninstalling..... 39
 - Uninstalling the r5.4 Software..... 40
 - Permanently Uninstalling the R5.4 POS Software..... 42
 - Reinstalling the POS Software After an Uninstall..... 42
 - Recovering Data Entry Screens 42

- POS Application Setup..... 43**
 - POS Configuration..... 43
 - Devices Configuration Tab 43
 - Application Tab..... 44
 - Terminal ID 44
 - Cashflow 44
 - Processing..... 45
 - Batch Control..... 45
 - Reports Tab..... 52
 - Reports Tab..... 52
 - To setup a default POS Printer:..... 52

- About the POS..... 53**
 - Help 53
 - Help – other menu options..... 54

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: Only Windows 2000, Service Pack 4 and Windows XP Professional, Service Pack 2 have been validated to work after POS 5.4 is freshly installed. Other variations of Operating System Service Pack releases were upgraded and tested. Please contact the Treasury OTC Support Center for information about specific SP version validation.

- Internet access via LAN, DSL or dial-up is required to upload transaction data and check images and to allow downloads such as data entry screen updates and batch acknowledgments.
- A browser that supports 128-bit encryption. Microsoft Internet Explorer™ version 6.0 or Internet Explorer 7 with 128-bit encryption.
- Minimum LAN bandwidth should be 128 kb/ps.
- 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. Recommend Intel Celeron™ Processor 2.40 GHz.
- Recommend 14.1 XGA Display with minimum 800 X 600 screen resolution.
- RDM POS check scanner, model EC5000i, EC6000i, or EC7000i scanner (can be battery operated), or Panini MyVision scanner.
- Scanner connection - Available 9-Pin Serial Port, PC Card Slot, or USB 2.0 port.
- Two USB ports recommended – one if using a USB-connected scanner, and another to use a USB Flash drive as the secondary storage drive. (Panini scanner requires USB 2.0)
- 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 is not operational with this option during a LAN outage)
- PCMCIA slot for use with a smartcard (used primarily for laptops/notebooks)
- Parallel port
- Zip drive
- CD-ROM drive
- Local or LAN printer
- Standard RJ45 Ethernet connection
- Surge protector/suppressor
- Optional I3050 Ingenico Keypad

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 2000 Service Pack 4 which is a desktop version of Microsoft's SQL server. MSDE stands for Microsoft Desktop Engine.

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 OTC. 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 the Treasury OTC

Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

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. Optional Battery Pack for EC7000i scanner
3. 9 Pin serial data cable, or USB data cable.
4. AC adapter power brick (220 power brick for overseas locations).
5. Franking Acknowledgment Printer Ink Roller.

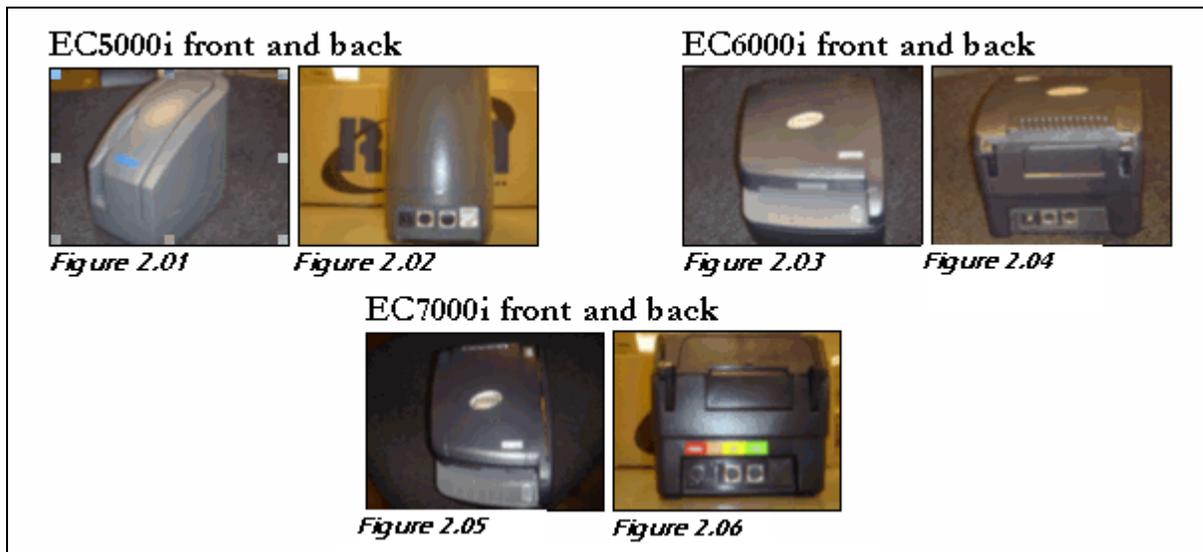


Figure 2.06.1

Connecting the Scanner

How the scanner is connected to the POS computer depends on the type of connection that is 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 is 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 the computer for the first time, a driver is installed to support the hardware. A 'Found New Hardware' screen will appear. Click the option to 'Install the software automatically'. The prompts walk the user through the driver install process.
- On initial startup, the scanner cycles 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 User Manual.

Note: If 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 walks the user 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.

Optional Battery Pack

An optional battery pack can be used for the EC7000i scanner. Agencies who work in temporary housing or in areas where electricity may not always be available can utilize the battery pack to power the scanner for over an hour between charges. The battery package consists of a NiCd charger and a battery pack. (See Figure 2.06.2).



Figure 2.06.2

Charging the Battery Pack

Prior to using the battery pack, the unit must be charged by plugging it into a wall outlet. There is a 3-way switch on the battery pack. The switch has three symbols, =, 0, and -. Press the switch to move it to the '-' symbol for charging. The LED display on the NiCd charger glows orange for several minutes then changes to red. (The 3-way switch and LED are displayed in Figure 2.06.2). When fully charged, the LED display changes to green indicating that the battery pack is now ready for use.

Note: It takes approximately 2 hours to charge the battery pack. The battery pack provides 1.2 hours of continuous scanning, or approximately 497 checks, and has a continuous standby time of 5 hours.

Connecting the Battery Pack

To connect the battery pack to the scanner, disconnect the A/C cable from the port marked 'power' on the back of the scanner. Connect the short cable on the battery pack (Figure 2.06.3) to the same 'power' port of the scanner. Press the 3-way switch on the battery pack to the '=' symbol. The scanner should power up as normal. The third switch on the battery pack is the middle position (the o symbol). This is the off position.



Figure 2.06.3

Contact Treasury/FMS if interested in purchasing a scanner battery pack.

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 Customer Present mode. There are two models of Yes/No keypads used by the POS. They are pictured in Figure 2.1. The newer model, Ingenico 3050 only works with POS 5.0 and higher. The keypads are connected through the back of the scanner, as pictured in Figure 2.2. In order to use the Yes/No keypad, it must be enabled in the POS configuration.

To enable the keypad:

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

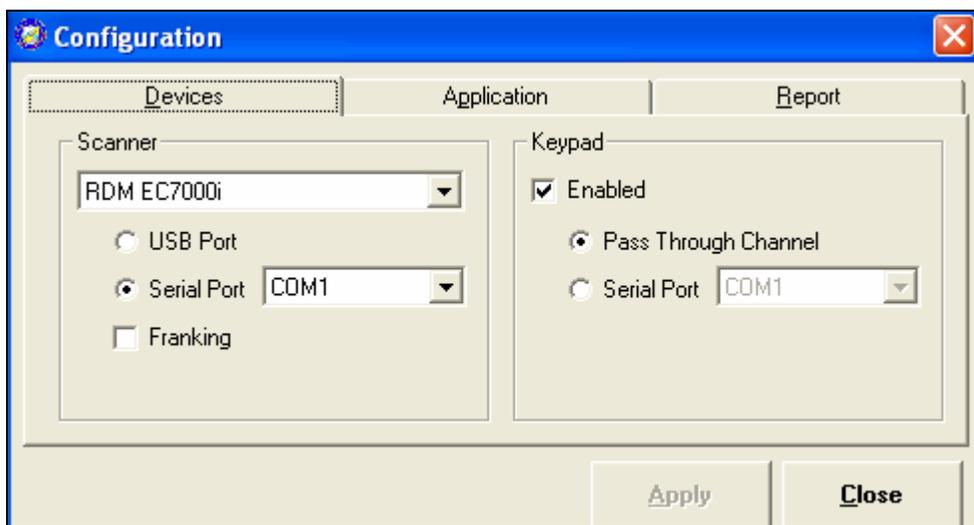


Figure 2.0.7

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 the scanner is using a serial connection, set up the configuration as described 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'**. Select an available COM port by using the down arrow in the **'Serial Port'** field. 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 the scanner is using a USB connection, a serial connection can be used for the keypad if there is a free COM port (serial port). Click the radio button for serial port, then choose a free COM port in the dropdown window.
6. If the computer does not have a free COM port or even a serial port, the keypad can be connected using a **'Serial to USB'** converter cable. Contact your technical staff for information.

- Whenever the POS is started, the keypad hardware is confirmed with the message, 'Initializing Keypad', please wait, on the POS entry screen. When the keypad is ready for the first transaction, the keypad's screen displays, 'Ready'.



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.

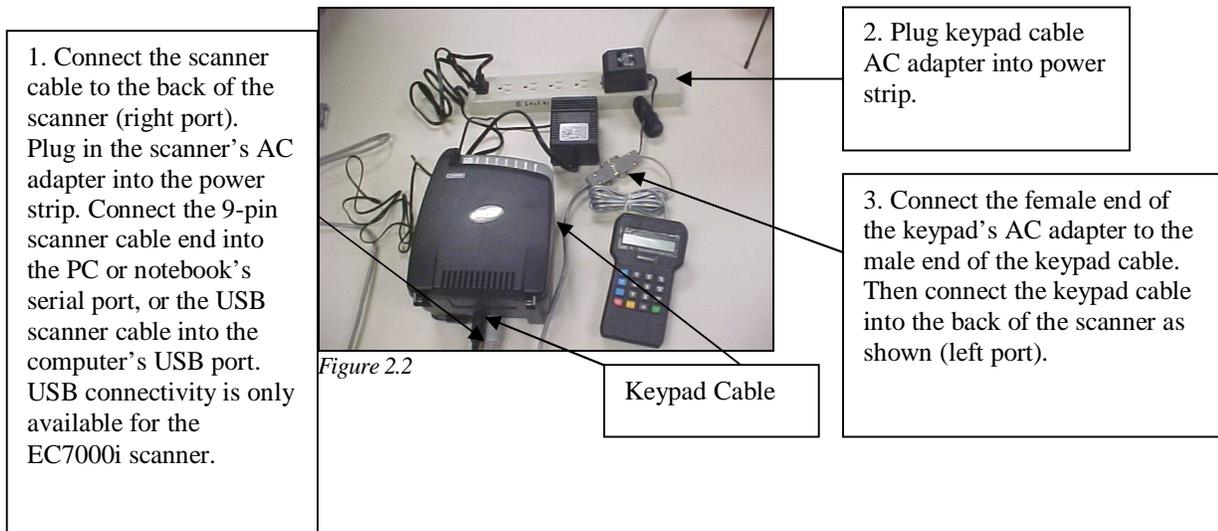


Figure 2.2

Note: *If using a Serial connection, the scanner and keypad must be configured to different ports otherwise an error is produced as pictured below (Figure 2.2.1):*

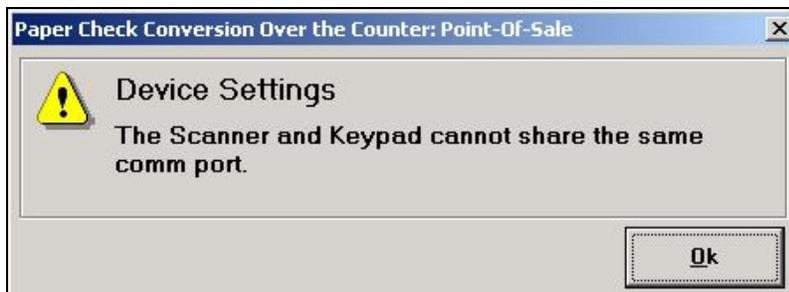


Figure 2.2.1

Note: *The Ingenico 3050 does not work with POS releases earlier than 5.1.*

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's 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 (Secondary Storage)

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 each location determines which device best serves as a backup device.

The mirror image (secondary storage) is a back-up drive used in the event of a hard drive crash or data corruption on the hard drive. The secondary storage should never be setup to use the computer's hard drive because of the risk of hardware failure or corruption. 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 User Manual for complete instructions.

USB Flash Drive



Figure 2.3

A Flash drive is a small portable storage device (Figure 2.3) 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 assigns 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 ranging from 64 MB to 5 GB or more. The size that is chosen should correspond with the amount of PCC OTC activity that is processed by each location.

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 are created and not closed or sent are 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 User Manual.

Determine How Much Storage Space is Needed

The size of each check image is 20KB. This equals 10MB of space per 500 item batch. Ten batches this size requires 100MB of secondary storage. Based on a location's volume, use these formulas to determine how much space to allot for secondary storage for the PCC OTC computer.

Efficiently Manage Storage Space

In order to efficiently use the space on the 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.

Tray Manager

Tray Manager is the fourth module of the PCC OTC POS software. It runs silently 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 2.3.0). Tray Manager restarts itself in the event of a shutdown.

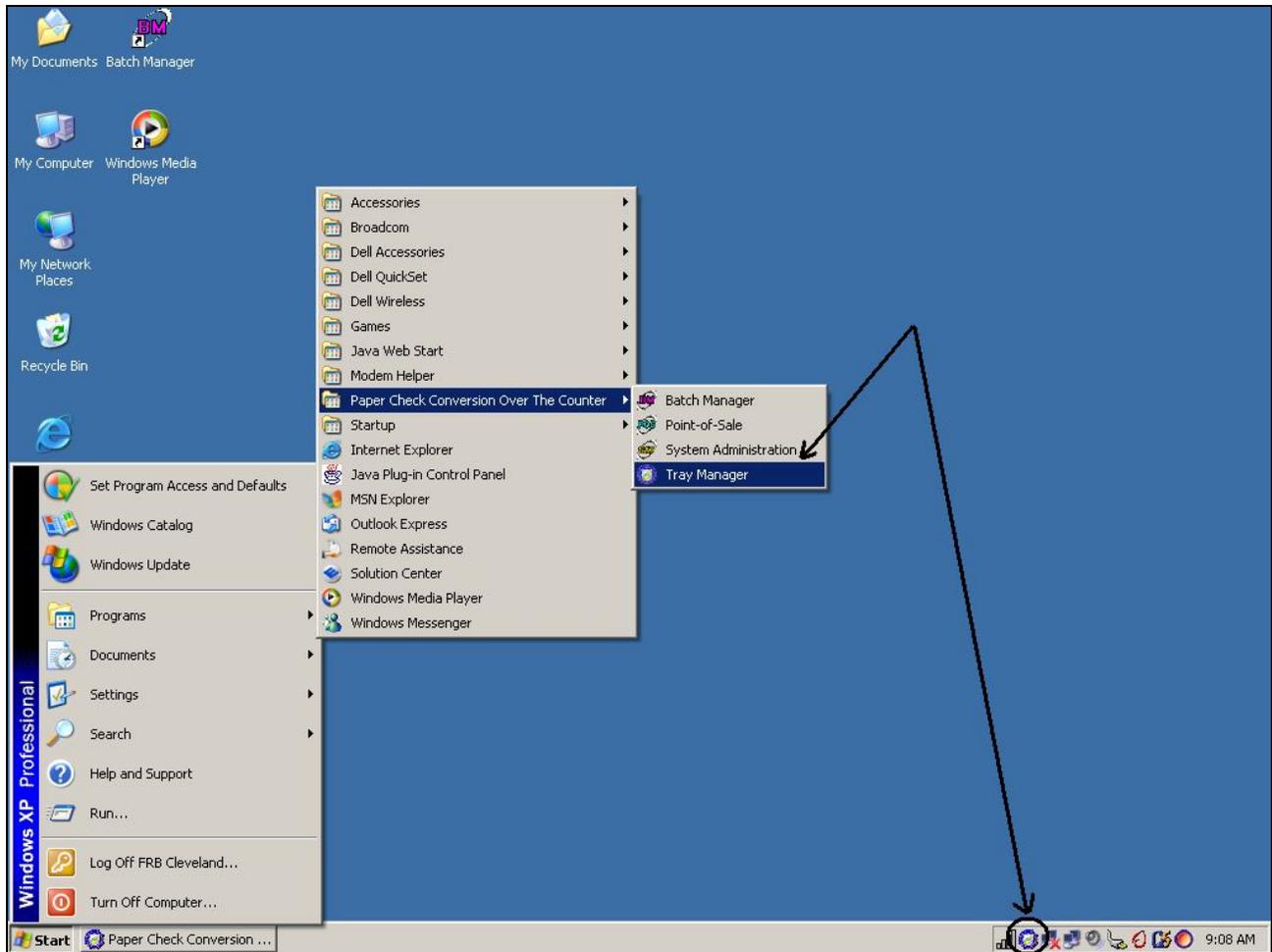


Figure 2.3.0

Pre-Installation

Prior to installing or upgrading to Release 5.4, the pre-steps outlined in this section must be followed to ensure a smooth install. .

Enable Services

Enable the following three Windows Services: ‘Computer Browser’, ‘Server’, and ‘Workstation’. 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 is not updated or maintained. If this service is disabled, services that explicitly depend on it will fail to start.

The ‘Server’ service supports file, print, and named-pipe sharing over the network for this computer. If this service is stopped, these functions become unavailable. If this service is disabled, any services that explicitly depend on it will fail to start.

The ‘Workstation’ service creates and maintains client network connections to remote servers. If this service is stopped, these connections become unavailable. If this service is disabled, any services that explicitly depend on it will fail to start.

If enabling these services causes operational issues, the service can be disabled after the installation of POS 5.4.

From the Windows desktop, click ‘**Start**’, ‘**Control Panel**’. If the Control panel looks like the one in Figure 2.3.1, click the option to the left of the window, “Switch to Classic View”.

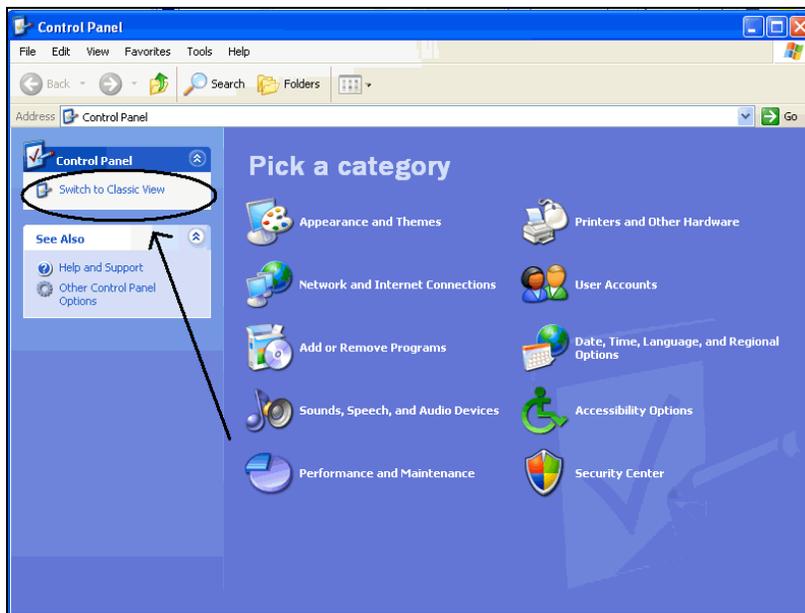


Figure 2.3.1

1. Once in Classic View, click the 'Administrative Tools' icon, then click on the 'Services' icon. Look for a service in the 'Name' column called 'Computer Browser'. Double click the 'Computer Browser' service. The following screen appears (Figure 2.3.2):



Figure 2.3.2

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

As part of the POS installation, a file named PSKill.exe is installed into the RDM directory. If the location encounters an issue with this file during routine security scans, please work with your Information Security staff. They can contact the Treasury OTC Support Center 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. Once the installation is complete, close the ports.

If the POS is installed on a Windows XP SP2 system, the installation automatically opens and closes 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 return to their original state.

To enable File and Printer Sharing as an exception, perform the following steps:

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 repeatedly tries to install. The system indicates that the MSDE installation is complete and asks to restart the computer. Upon restart, the MSDE installation begins again instead of continuing with the POS installation.

Antivirus software may also 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 the computer be disconnected from the Internet or LAN during the installation. If using a McAfee antivirus product, manually disabling the scripts is not required. The installation process automatically stops and starts the script blocker as necessary.

Disconnect USB –connected Scanners

If using a USB-connected scanner, disconnect the scanner from the POS computer until after the install of the POS software is complete, 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 walks the user through installing the scanner driver.

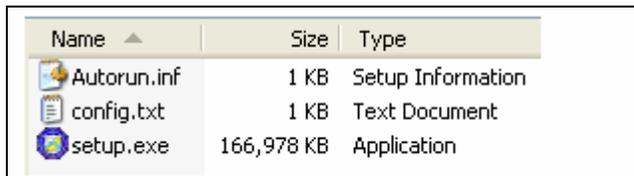
Remote Installation

The remote installation procedure (also called the Silent Install) is used to install the POS software on multiple computers from a central point, such as a LAN drive or server. The following procedure describes how to prepare and run a remote installation. The remote installation runs when you use the /s silent mode installation method. Remote installations hide all consent dialogs because consent is implied.

Copy the Files

Before the install can begin, the necessary files must be copied from the PCC OTC installation disk to a specified place on your computer's hard drive such as the temp folder, or a LAN drive.

1. Insert the PCC OTC POS V5.4 CD into the CD-ROM drive. Right-click the Windows **'Start'** button, then click **'Explore'**.
2. Navigate to the CD-ROM drive, usually D:\ or E:\. Three files are on the disk, as displayed in Figure 2.3.3. Hold down the 'Ctrl' button on the keyboard and click each file to highlight them, then click **'Edit'**, **'Copy'**.



Name	Size	Type
Autorun.inf	1 KB	Setup Information
config.txt	1 KB	Text Document
setup.exe	166,978 KB	Application

Figure 2.3.3

3. Navigate to the folder on the hard drive where the files will be copied (such as C:\temp) and click **'Edit'**, **'Paste'**. The files displayed in Figure 2.3.3 should now reside in the designated folder on your hard drive or LAN.
4. Remove the PCC OTC POS CD-ROM and store it in a secured area.

Prepare the Configuration Text File

New POS installations obtain initial configuration information from a 'config.txt' file. The text file contains three configuration settings; ALC code, Terminal ID, and Secondary Storage location. These configuration settings must be customized prior to running the remote install program.

1. Navigate to the folder where you copied the three files in the previous section. Open the config.txt file by double clicking on the file name. The file should open in a word processor such as Windows Notepad and displays sample values, as displayed in Figure 2.3.4 below:

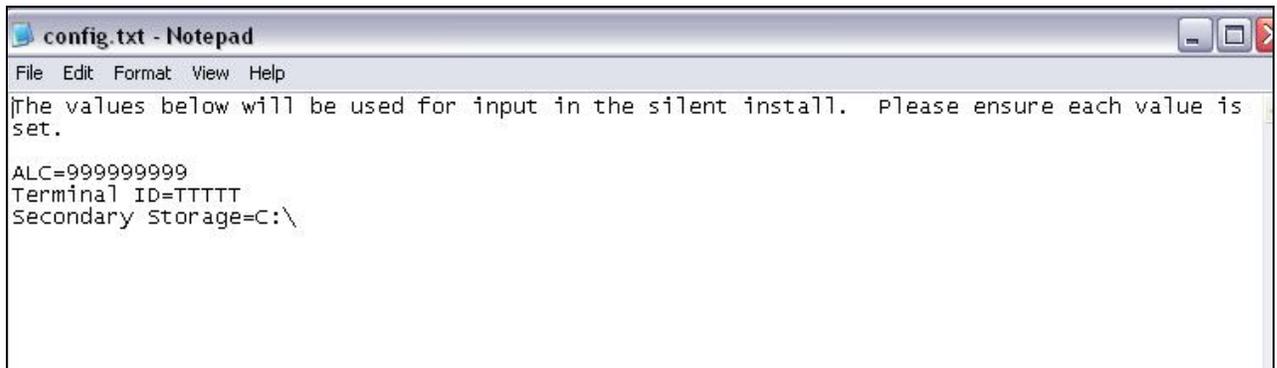


Figure 2.3.4

2. Replace the sample configuration values with the values necessary for your POS installation:
ALC = (type your ALC)
Terminal ID = (type your terminal ID)
Secondary Storage = (type your secondary storage path)

Note: The POS installation creates the secondary storage folder specified in the config.txt file if that folder does not already exist. Ensure that you run the POS silent mode installation while logged into the Windows system with appropriate read and write file permissions.

3. Save the config.txt file (using the same name) to the same folder as the POS installation setup.exe executable file.

Remote or Silent Install

The POS installation procedure assumes that your computer is running with Windows open. This install procedure is written for both the 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.

Note: If you are using a USB-connected scanner, DO NOT connect the scanner to the POS computer until after you have installed the POS software otherwise the scanner driver may not automatically install. After installing the POS software and connecting the USB scanner, the Windows 'Found New Hardware' window will open and the system will walk you through installing the scanner driver.

To run the silent install:

1. Click the Windows **'Start'** button and select **'Run'**. The Run dialog opens.
2. Click the **'Browse'** button and navigate to the folder on the hard drive (or LAN) where the three installation files, including the customized config.txt file, reside.
3. Click the setup.exe file then click **'Open'**. The **'Open'** field will display the command line C:\folderX\setup.exe. Click to place the cursor after the setup.exe and type a space /s as pictured in Figure 2.4 below:

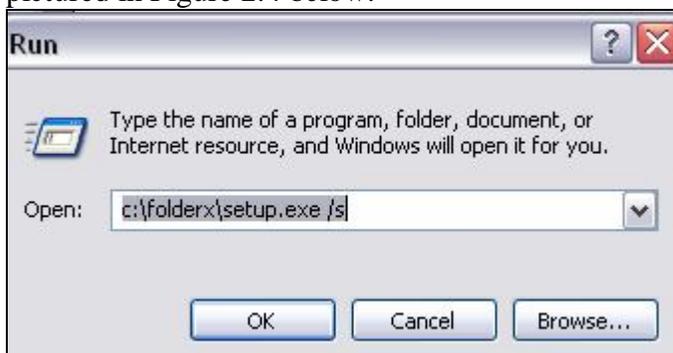


Figure 2.4

Note: The /s flag is required to run the POS installation in silent mode. If the user must control when the system reboots, insert /r after the /s in the 'Run' dialog. The system will then present a message asking if the user would like to reboot.

4. Click **'OK'**. Installation begins. Installation screens are not displayed during a remote installation. If a reboot is required, the remote installation will automatically reboot the system. Third party deployment software (e.g. SMS) is responsible for logging back into the system in order for the POS installation process to continue.

Note: If the remote installation fails, the installation process terminates and logs an error message to C:\Program Files\RDM Corporation\error.log.

Central Deployment

Download the POS from ELVIS

New versions of the POS can be downloaded from the ELVIS system. Only users with a separate POS Download permission are able to perform the POS download from ELVIS. Contact the Treasury OTC Support Center if assistance is needed to obtain the POS download permission.

Note: *Ensure that all POS applications are closed before performing the POS download.*

To perform a POS Download:

1. Logon to ELVIS with the user name that has POS Download permission. A POS Download Window appears as pictured in Figure 2.4.1.

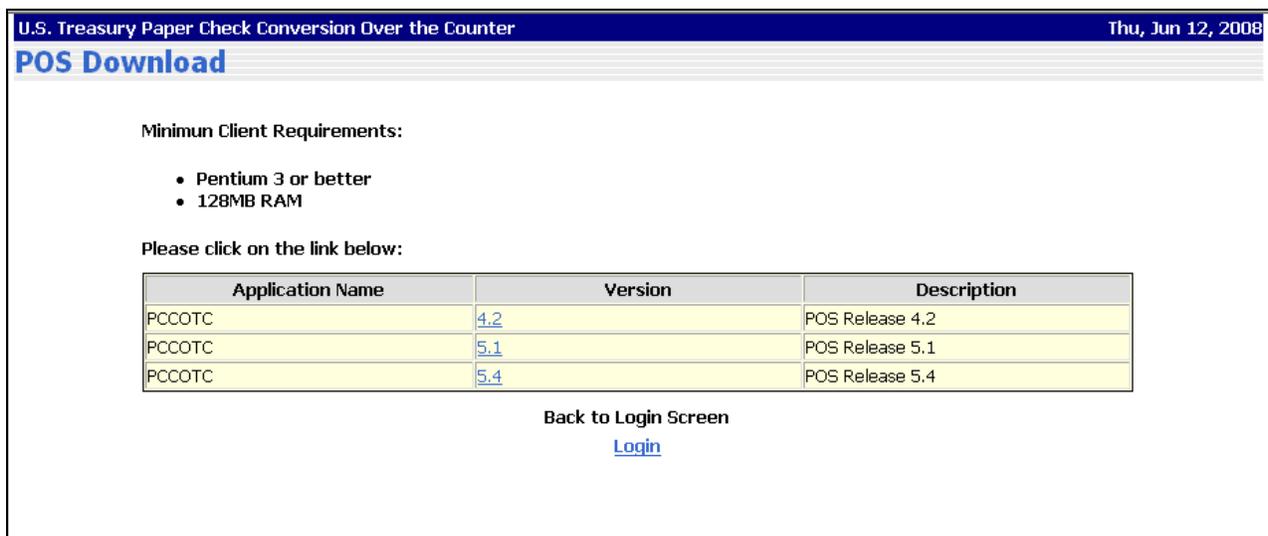
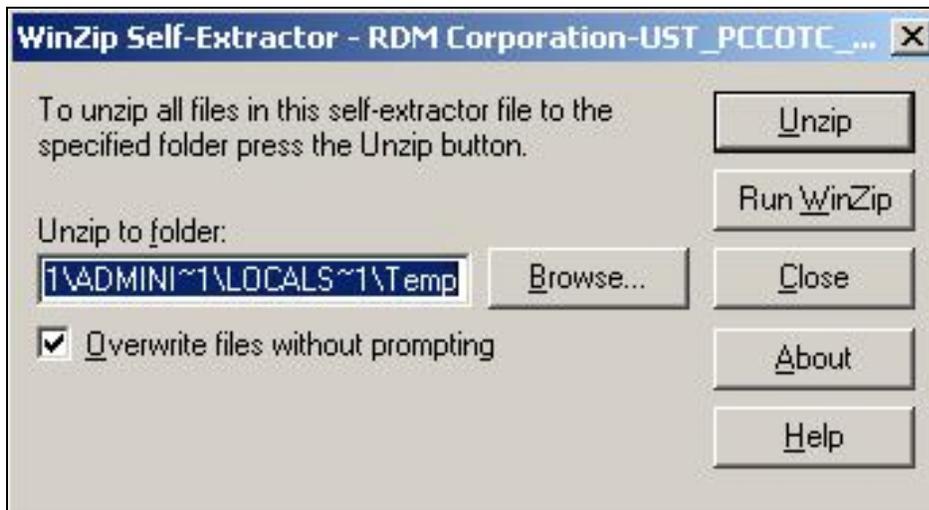


Figure 2.4.1

2. One or more version links may appear. Click the on link that corresponds to the POS Release 5.4.
3. A 'File Download' window appears with the option to 'Run' or 'Save' the file. Save the file to the desired location on the hard drive or LAN drive. This file may be quite large and may take up to 30 minutes or more to download. A self-extracting executable zip file is saved to the specified location. When the download is complete, double click the file to unzip. A Winzip Self Extractor Window appears (Figure 2.4.1.0). Click the '**Browse**' button to navigate to the place on the hard drive or LAN where the file should be saved and click the '**Unzip**' button.



- Once unzipped, there are 3 new files, including the application executable file, in the specified location as pictured in Figure 2.4.2 below.

Name	Size	Type
Autorun.inf	1 KB	Setup Information
config.txt	1 KB	Text Document
setup.exe	166,978 KB	Application

Figure 2.4.2

If this is a first time installation, follow the instructions in the *'New Installation'* section of this chapter. Be sure to read the *'Pre-Installation'* section earlier in this chapter before installing the POS software. After reading the pre-installation information, begin with step 8 of the *'New Installation'* section of this chapter.

If this is an upgrade, follow the instructions in the *'Upgrade the POS Software from a Previous Version'* section of this chapter. Be sure to read the *'How to Determine the Release'* section, including the *'Steps to follow prior to upgrading to R5.4'*. To proceed with the upgrade, begin with step 8 of the *'Upgrading from Release 5 Through 5.2 (using a CD)'* section of this chapter.

If this is a reinstallation (following an uninstall due to a computer problem), follow the instruction in the *'Reinstalling the POS Software After an Uninstall'* section of this chapter.

Download a POS Release from Within the POS Software

New releases of the POS can be downloaded within the POS software. It is a two step process.

- The first step downloads the necessary files, including the executable file to the computer. This step can be performed by any user who can sign on to the POS.
- The second step must be performed by an authorized user as it requires running the newly downloaded executable file to install the software release.

The POS Application Upgrade can be set to execute on start up or at batch close, or can be manually run. If it is set to run at startup or batch close, the window displayed in Figure 2.4.3 appears automatically, and the first step of the application upgrade begins.

To download a new version manually from the POS:

1. In the POS, select **'Tools', 'Check Host For', 'Application Upgrade', 'PCC OTC Application'** (Or if Release 5.0, **'Tools', 'Check Host For', 'Application Upgrade'**). The PCC OTC Application upgrade information window opens (Figure 2.4.3). The percentage of completeness is displayed. This step delivers the files necessary for the upgrade to the computer. It could take 10-30 minutes to complete, depending on the connection speed of the computer.



Figure 2.4.3

2. When complete, click **'Close'**. The New Version window opens as displayed in Figure 2.4.4.

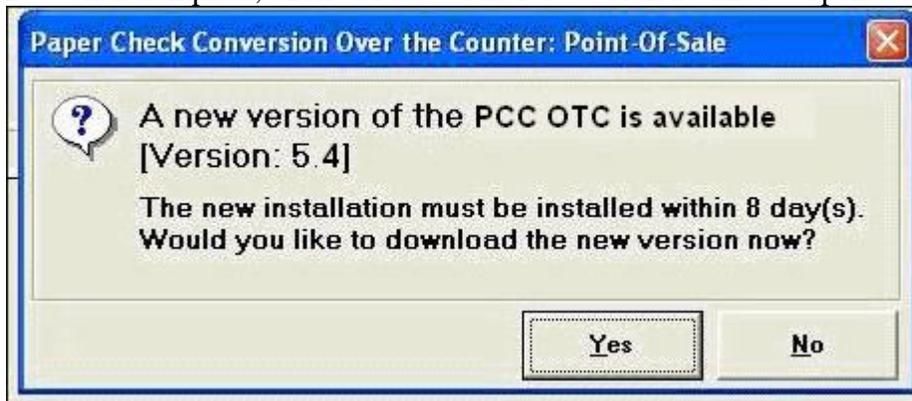


Figure 2.4.4

Note: Before running the install, read ‘Steps to follow prior to upgrading to R5.4’ section of this chapter of the User Manual.

3. Click ‘Yes’ to install the upgrade. The system checks for proper authorization to perform the install. If the operator does not have the authority to run the install, an authorization window appears requesting the login and password of an authorized user. The install only occurs if an authorized user supplies their login and password. If the authorization process is satisfied, the install begins. The window displays the percentage of completeness (Figure 2.4.5).

Note: The upgrade can also be postponed for a predetermined number of days, as setup by the Treasury OTC Support Center, but must be installed before the last day of the grace period. Once the grace period expires, the upgrade is no longer available and the Treasury OTC Support Center must be contacted for instructions on upgrading.

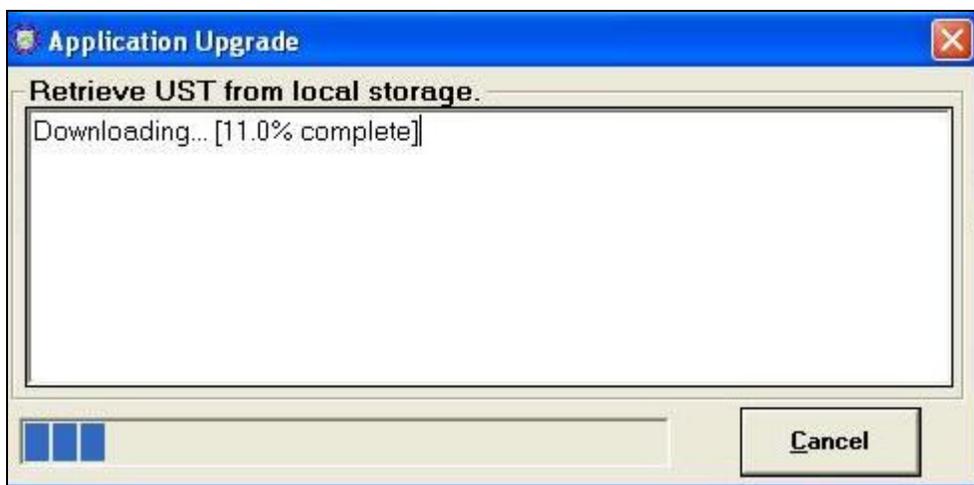


Figure 2.4.5

4. When complete, the following window is displayed (Figure 2.4.6). Click ‘Close’ (Figure 2.4.6). The POS closes.

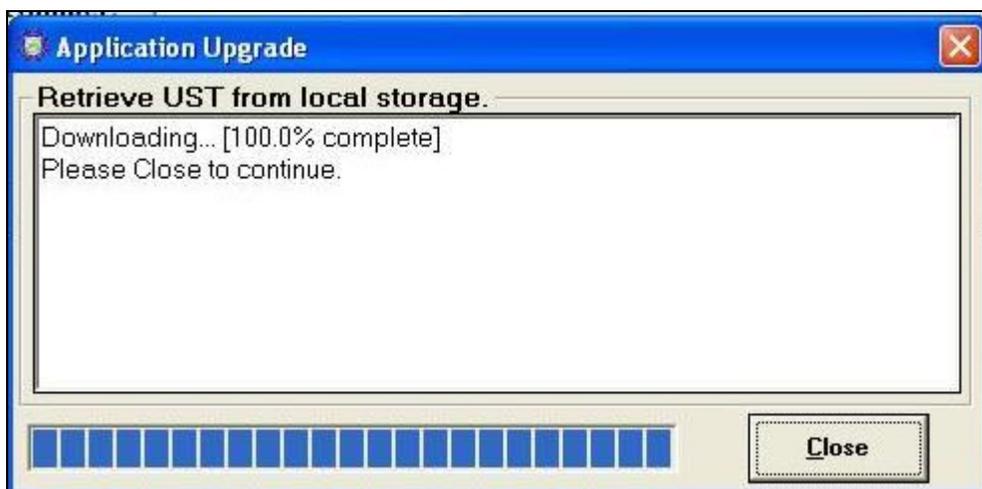


Figure 2.4.6

5. The Winzip self-extractor archive window opens. (Figure 2.4.7) Specify a file location if different from the default and click **'Unzip'**.

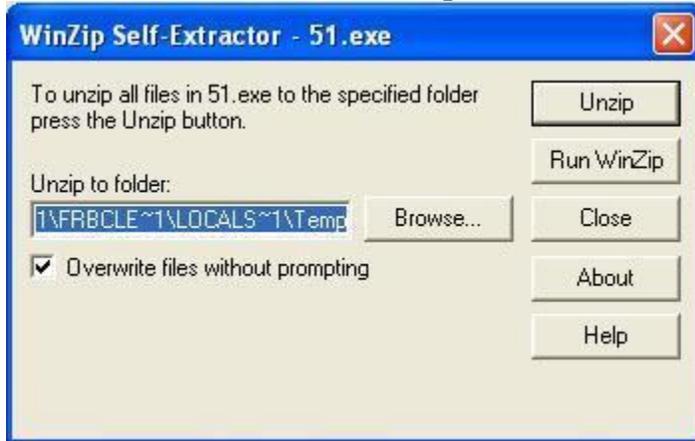


Figure 2.4.7

6. When the files have finished unzipping, click **'Close'**. The following message appears indicating that three files have been unzipped (Figure 2.4.8)



Figure 2.4.8

7. Navigate to the file location specified on the Winzip Self-extraction screen (be sure to read the 'Pre-Installation Instructions' prior to performing the next step).
8. Follow the instructions in the 'Upgrade the POS Software from a Previous Version' section of this chapter. Be sure to read the 'Determine the Release' section, including the 'Steps to follow prior to upgrading to R5.4'. To proceed with the upgrade, begin with step 8 of the 'Upgrading from Release 5 Through 5.2 (using a CD)' section of this chapter.

New Installation – Installing from CD

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

Note: Please be sure to read the 'Pre-Installation' section of this chapter before proceeding with the install.

1. Insert the Release 5.4 PCC OTC Install CD into the CD-ROM drive. The computer may attempt to automatically run the program. If the 'Paper Check Conversion Over the Counter' Welcome window appears, click 'Cancel', then click 'Exit Setup'.
2. Right-click on the 'Start' button, then click 'Explore'
3. In the left window, navigate to the CD-ROM drive and double click the drive specification, usually D: or E:.
4. In the right pane, right-click the file named 'Setup.exe' and click 'Copy'.
5. Copy the file to a folder on the hard drive such as the 'temp' folder, or copy it to the desktop. Using the left pane, navigate to the folder where the file will be copied and double click on that folder.
6. At the top of the screen, click on 'Edit', then click 'Paste'. The setup.exe file should now be visible in the right pane on the screen.
7. Remove the Release 5.4 PCC OTC Install CD from the CD-ROM drive and store in a secure location.
8. To run the install program, navigate to the folder where the file was copied (or to the desktop) and double-click on the setup.exe file.
9. The 'Paper Check Conversion Over the Counter Welcome' window appears (Figure 2.5). Click 'Next'.

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.

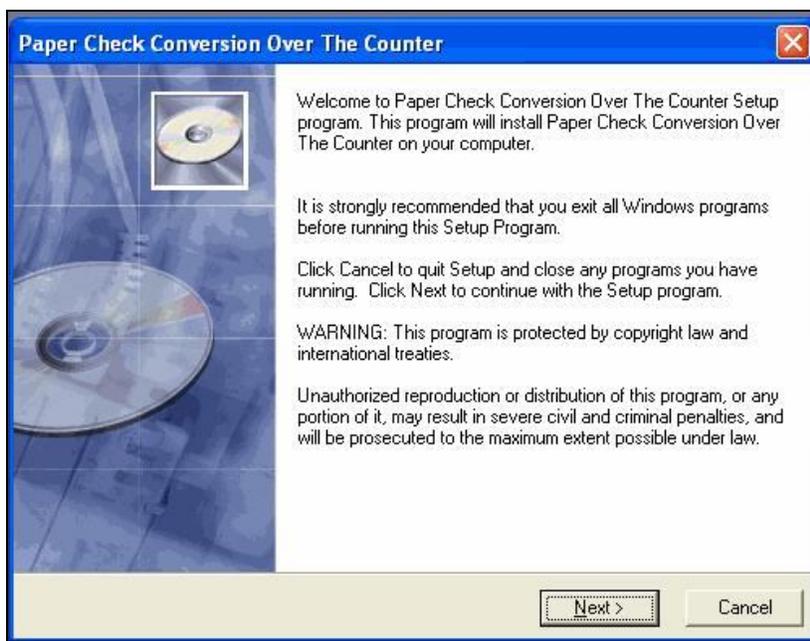


Figure 2.5

10. The system may 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™, which is required to run the POS software. The installation of MSDE can take as long as 5 minutes to complete.

Note: *If the required version of MSDE (Service Pack 4) is already present on the system, step 10 is skipped and the POS installation begins – see step 11.*

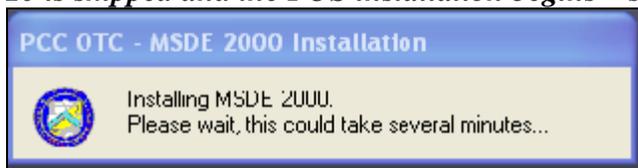


Figure 2.6

11. The following screen appears notifying the user that the system is updated with MSDE (Figure 2.7). Click 'Yes' to restart the computer.

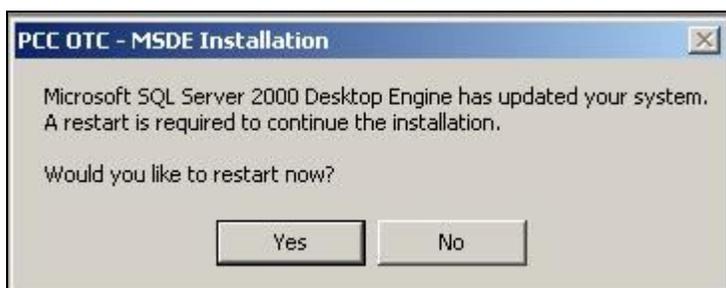


Figure 2.7

12. Once the restart is complete, the PCC OTC System Information screen appears. (Figure 2.9)

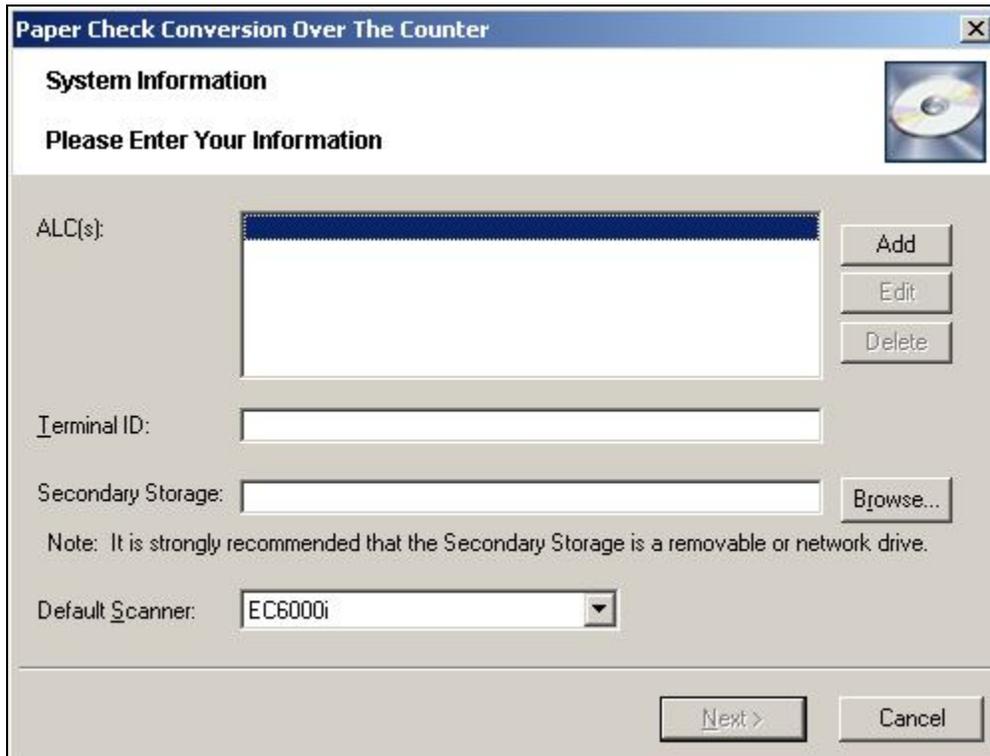


Figure 2.9

13. 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 the first 10-digit ALC+2 in the ALC field. Press the tab key and type the Location description. The description is used internally to easily identify each location. Click **'OK'**.

Note: Prior to adding the ALC+2's, an Agency Site Profile (A S P) must be submitted to Treasury/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 assistance is needed with identifying the ALC's, please contact the Customer Service staff at the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

14. Type the Terminal ID as provided by the Treasury OTC Support Center.

15. To choose the location of the secondary storage, click the **'Browse'** button and navigate to the correct drive for the secondary storage (This drive is usually the flash drive - normally E:\ or D:\).

Note: drive must be connected to the computer. Daily and archived batches are stored on this drive. When the selection is complete, click **'OK'**. The choice for the secondary storage should now be displayed in the field to the immediate right of the 'Secondary Storage'.

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

17. If the scanner is connected via USB to the POS computer, the system may prompt to unplug the scanner before continuing. Unplug the USB cable from the back of the computer and click the **'OK'** button.
18. A 'Start Installation' window appears. Click the **'Next'** button.
19. The system begins installing the PCC OTC databases and files.
20. The Crystal Reports XI runtime module is then installed.
21. The system prompts with, "Do you want to install the Queue Interface?" Military Agencies that will use the Interface should click **'Yes'**. All other Agencies, click **'No'**. If 'Yes' was selected, the 'Deployable Dispersing System' bridge is installed.
22. When complete, a window appears stating that the software is successfully installed. Click **'Finish'**.
23. A prompt appears stating that the system must be restarted to complete the installation. Click the **'OK'** button to restart. The computer reboots.
24. Upon a successful installation, three shortcut icons to the POS program (POS – Point-of-Sale, SAT– System Administration, and BM - Batch Manager) appear on the PC desktop (Figure 2.10). The version number can be verified by signing on to the SAT, POS, or Batch Manager and clicking **'Help'**, **'About PCC OTC'** from the menu at the top of the screen. The Security Administrator needs 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 User Manual.

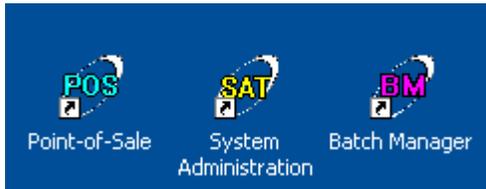


Figure 2.10

25. Military Agencies that elected to install the Queue Interface should refer to the optional *'Queue Interface'* chapter (chapter 13) of the PCC OTC User Manual.
26. Reconnect the USB-connected scanner. A 'Found New Hardware' window may appear. The Windows Operating System walks the user through installing the driver for the USB scanner.
27. Before using the POS software to create transactions, the Agency's unique data entry screens need to be downloaded. This includes updated data entry screens for the 'Back Office' processing method. To download the screens, sign on to the POS, click on **'Tools'**, **'Check host for'**, **'Data Entry Screen Upgrade'**. The new data entry screens automatically download to the POS computer.

Upgrading the POS Software

Determine the Release

It is important to determine the Release or Version number to know how to proceed with the upgrade. Older versions of the POS have not been tested to work with ELVIS 5.4, and may not be compatible. Also, older versions cannot be directly upgraded and additional upgrade paths need to be considered.

To determine the version number, sign on to the POS and choose 'Help', then 'About PCC OTC'. A window appears displaying the version number similar to the one pictured below in Figure 2.10.1:

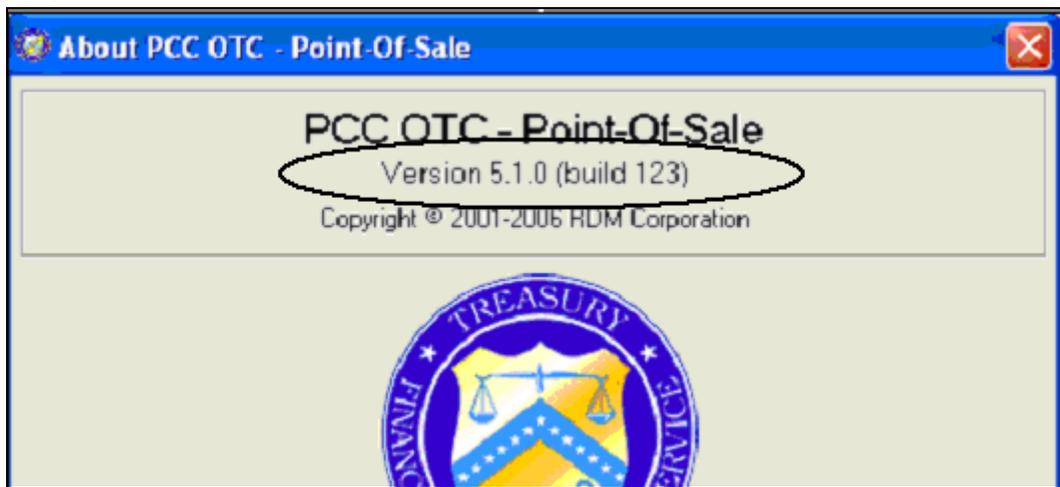


Figure 2.10.1

If the version number displayed is 5.x, it can be directly upgraded to POS Release 5.4. Proceed to the 'Steps to Follow prior to upgrading to R5.4' section of this chapter.

If the version number displayed is 2.x, then it is considered an old version. Read the 'Upgrading from an Old Version' section below to determine how to proceed with the upgrade to Release 5.4.

Upgrading from an Old Version

There are 2 upgrade options available, based on how the POS computer is used. The choices are:

1. The upgrade path - There is no direct upgrade from Release 3.5 or 4.x to Release 5.4. If this option is chosen the computer must be upgraded to Release 5.1, which then allows a direct upgrade to 5.4. The advantages of the upgrade path are that upgrading retains user information, the audit log, and other unique configuration settings, and there is no need to uninstall the earlier version from the POS computer. If you have a high number of users, it is advisable to choose this upgrade path. The upgrade to Release 5.1 can be done from a CD or by downloading the upgrade from ELVIS. To download Release 5.1 from ELVIS, follow the instructions 'Download the POS from ELVIS' section in this chapter. Installation instructions are provided in the Release 5.1 User Manual 'Installation and Configuration' chapter. The

User Manual can be found at <https://www.pccotc.gov/pccotc/Downloads/r51sop.htm>. Once you have successfully upgraded to Release 5.1, follow the upgrade instructions in this chapter to upgrade to Release 5.4

2. The second option is to uninstall the old release, then install Release 5.4. The advantage of the uninstall/install path is that it takes less time to perform, but this path DOES NOT retain users, the audit log, or unique configuration settings. Follow the 'Uninstall' section of this chapter, then the Install section.

-Also-

Releases prior to 5.0 do not include a Batch Manager component. When upgrading an old POS installation that is previous to 5.0, existing POC users donot have permission to view the Batch List. This permission needs to be manually added to the POC user, as required, using the System Administration Tool.

Steps to Follow Prior to Upgrading to R5.4

This procedure can only be followed if the POS Release is 5.0 or higher. 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 the computer.

Close the POS, SAT, and Batch Manager applications before installing the POS upgrade.

Print the SATactivity log for the past 90 days and user information from the SATbefore upgrading the existing application.

Disconnect the USB-connected scanner prior to upgrading. Reconnect the scanner once the upgrade is complete.

Launch the SAT and login.

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 SATapplication.
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 Release 5 through 5.2(using a CD)

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

1. Make sure to follow the steps outlined in ‘Steps to follow prior to upgrading to R5.4’ before beginning the upgrade.
2. From the Windows desktop, right-click on the ‘**Start**’ button, then click ‘**Explore**’
3. In the left window, navigate to the CD-ROM drive and double click the drive specification, usually D: or E:
4. Right-click the file named ‘**Setup.exe**’ and click ‘**Copy**’.
5. The file must now be copied to a folder on the hard drive such as the ‘temp’ folder, or it can be copied to the desktop. Navigate to the folder where the file will be copied and double click on that folder.
6. At the top of the screen, click on ‘**Edit**’, then click ‘**Paste**’. The setup.exe file should now be visible in the right panel on the screen.
7. To copy the file to the desktop, right-click on the desktop and click ‘**Paste**’. The file is now visible on the desktop. Remove the PCC OTC Install CD from the CD-ROM drive and store in a secure location.
8. To run the install program, navigate to the folder where the file was copied and double-click on the setup.exe file.
9. The screen should indicate that a previous version of PCC OTC has been detected (Figure 2.11) and ask if you wish to continue. Click ‘**Yes**’.

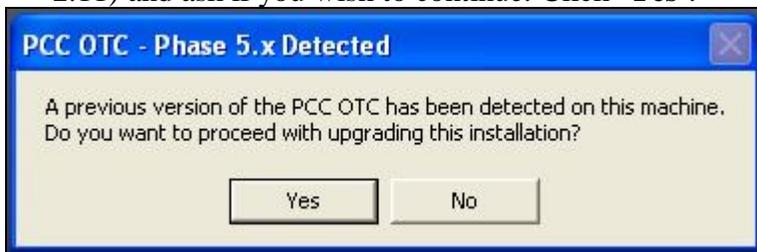


Figure 2.11

10. If open batches are detected in the previous version, the installation ends. Please close and upload the opened batches.
11. The MSDE 2000 SP4 is applied. This can take several minutes. When complete, the system needs to restart. Click ‘**Yes**’ to restart the computer.
12. After the reboot, a window may appear stating that a previous version of the PCC OTC has been detected. Click ‘**Yes**’ to proceed with the upgrade.
13. The Paper Check Conversion Over the Counter Welcome screen appears. (Figure 2.12).

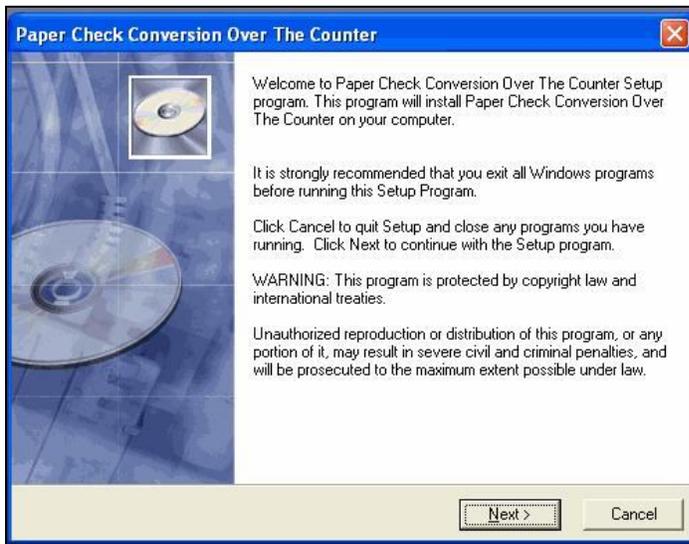


Figure 2.12

14. Click **'Next'**. A System Configuration screen appears as pictured in Figure 2.13.

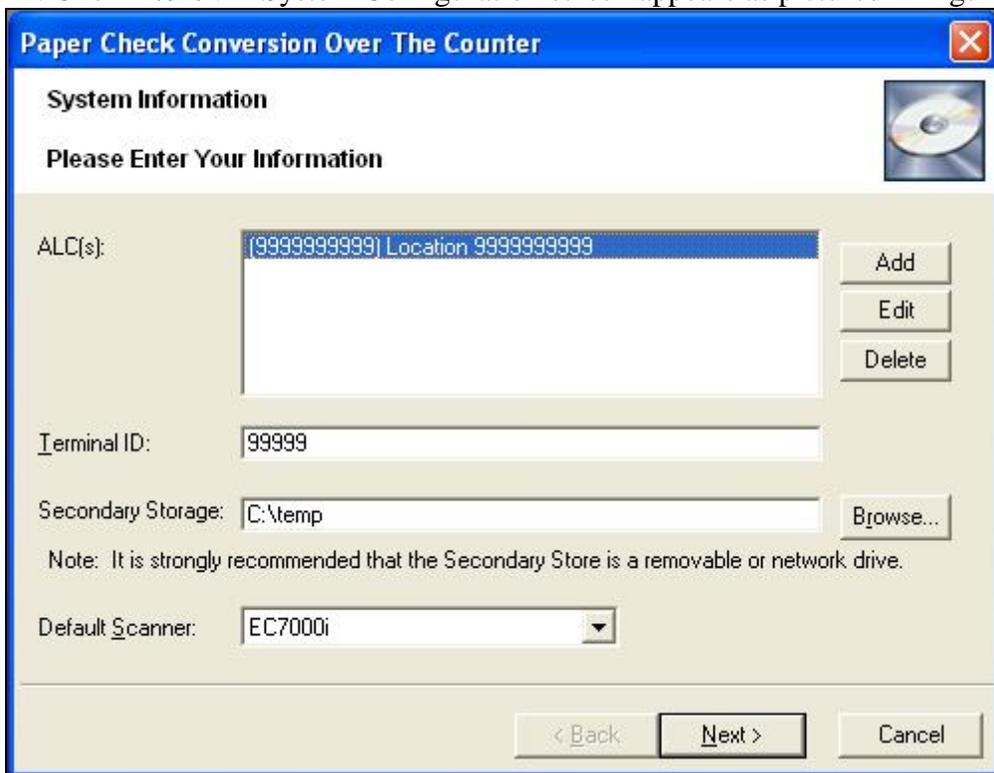


Figure 2.13

15. The ALC's that were used in the previous version of the POS is displayed. If necessary, add 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. Type the first 10-digit ALC+2. Press the tab key and type the Location description. The description is used internally to easily identify each location. Click **'OK'**.

Note: Prior to adding the ALC+2's, an Agency Site Profile (A S P) must be submitted to Treasury/FMS for each ALC +2.

If more ALC+2's need to be added, click the **'Add'** button again and repeat the previous step. Continue in this manner until all ALC's have been added. For assistance with identifying your ALC's, please contact the Customer Service staff at the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

16. The terminal ID should have been retained from the previous version of the POS. If the terminal ID is not correct, double-click within the field and type the correct terminal ID. **Note: It is very important that apostrophe's not be used in the terminal ID field. Doing so causes the upgrade to fail.**
17. 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 the 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). The drive selection can be changed by selecting the **'Browse'** button. Daily and archived batches are stored on this drive. When the selection is complete, click **'OK'**. The choice made for the secondary storage should now be displayed in the field to the immediate right of the **'Secondary Storage'**.
18. Select the correct scanner model. Click the down arrow to the right of the field and select the correct scanner model. Click **'Next'**.
19. **'Start Installation'** window appears. Click **'Next'**.
20. The system begins performing various tasks such as uninstalling the previous version and upgrading the PCC OTC databases.
21. If the scanner is connected via USB to the POS computer, a prompt may appear requesting that the scanner be unplugged before continuing. Unplug the USB cable from the back of the computer and click the **'OK'** button.
22. The install begins copying files and displays a screen which reflects the percentage of completion.
23. The Crystal Reports XI runtime module is configured.
24. The system configuration is updated.
25. The system asks if you wish to install the Queue Interface. Military Agencies that will use the Interface should click **'Yes'**. All other Agencies, click **'No'**. If **'Yes'** was selected, the **'Deployable Dispersing System'** bridge is installed.
26. When complete, a window appears that states that the software is successfully installed. Click **'Finish'**. A prompt appears stating that the system must be restarted to complete the installation. Click the **'OK'** button to restart.
27. Upon a successful installation, three shortcut icons to the POS program (POS –Point-of-Sale, SAT– System Administration, and BM - Batch Manager) appears on the PC desktop (Figure 2.14). 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.

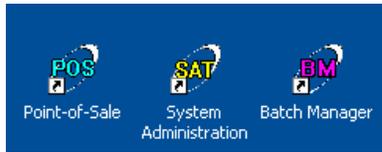


Figure 2.14

28. Military Agencies that elected to install the Queue Interface should refer to the optional '*Queue Interface*' chapter (chapter 13) of the PCC OTC User Manual.
29. Before using the POS software to create transactions, the Agency's unique data entry screens need to be downloaded. This includes updated data entry screens for the 'Back Office' processing method. 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**'.
30. Reconnect the USB-connected scanner. A 'Found New Hardware' window may appear. The Windows Operating System walks the user through installing the driver for the USB scanner.

Uninstall

If the POS 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 guidance from the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Note: *Uninstallation of the POS software erases user and password data, batch data, and the activity logs unless the user saves the data, as prompted during the uninstall process. Unique data entry screens, ALC's, and configuration information cannot be saved. See the 'Recover Data Entry Screens' section of this chapter for information on recovering Data Entry Screens.*

Also – *If the secondary storage location exists outside of the RDM directory (which it should), it is not removed during the uninstall procedure.*

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 needs to occur immediately afterward. The following steps should be performed **prior** to uninstalling the POS software to ensure a smooth reinstall. The following steps assume that the current installation of the POS software is accessible. If the software is inaccessible and these steps cannot be performed, contact the Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com

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 User Manual. If the computer is not accessible and there are open batches, a batch recovery needs to be performed using the secondary storage drive, after the reinstallation of the software is completed. For instructions on 'Batch Recovery', please refer to the *System Administration Tool – SAT* chapter of this User Manual.
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 the 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 User Manual.

4. Launch the SATand 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 OTC SAT application.
5. Launch PCC OTC POS and login. Click **'File'**, and **'Configuration'**. Select the Application tab and make a note of the Terminal ID.

Uninstalling the r5.4 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 2.15)

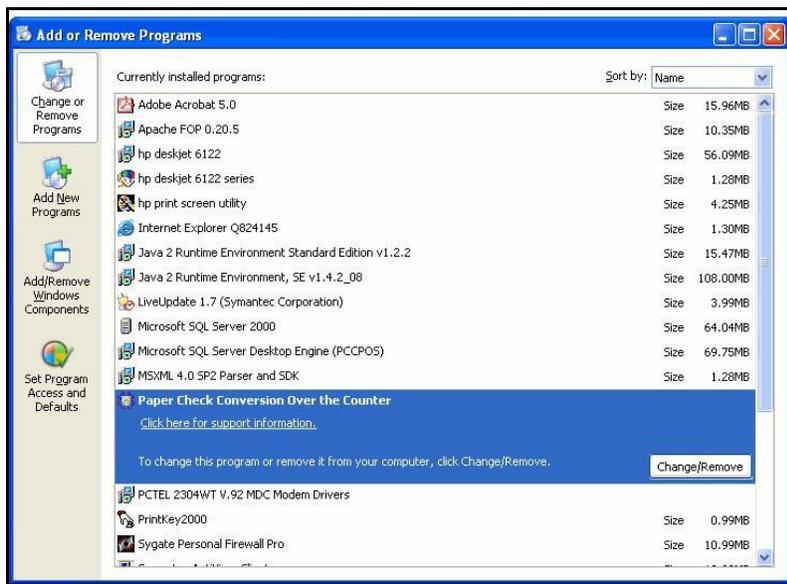


Figure 2.15

2. The prompt, "Please close all other applications before continuing", appears. To continue, make certain that all other applications are closed and click on the **'OK'** button. The prompt, "Are you sure you want to uninstall PCC OTC?", appears. 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, activity logs, and transactions that have not yet been completed within the POS.

'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' removes all users, pending transactions, and activity logs from the POS, but the POS administrative password is

restored to a default after the software is 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 notify the user that the file is no longer being used by other programs and may be deleted. Click on **'Yes to All'**. (Figure 2.16)

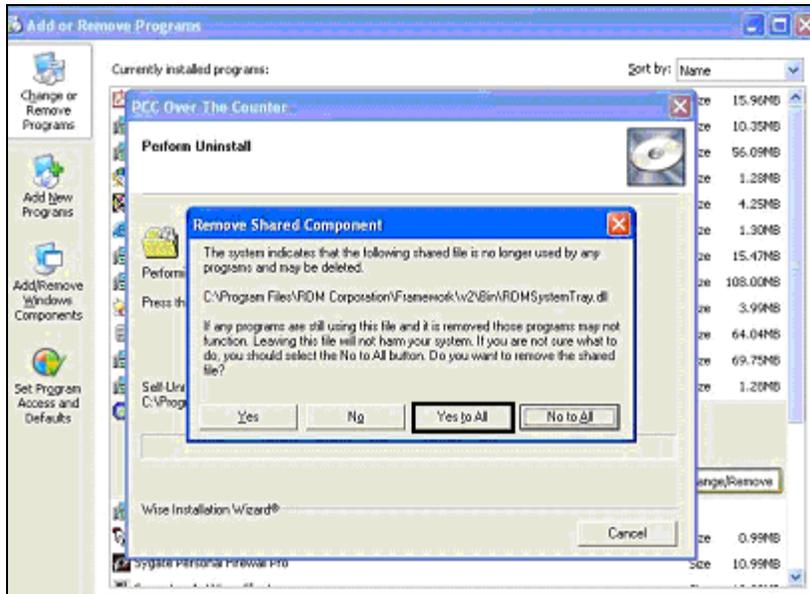


Figure 2.16

5. When the uninstall is complete, a window appears stating that the PCC OTC uninstall is complete successfully and the system must be restarted. Click **'Yes'** to exit the installation and restart the computer.
6. When the Windows desktop appears, 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 to only delete the RDM Corporation folder. The prompt, "Are you sure you want to remove the folder **'RDM Corporation'** and move all of its contents to the Recycle Bin?" appears. Click the **'Yes'** button.

Permanently Uninstalling the R5.4 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 R5.4 Software’ in the previous section. Older releases of the software may have included POS CD’s. The Agency’s Management needs to ensure that these CD’s are destroyed. All sensitive data should be removed from the secondary storage device as well.

Note: Certain Windows Registry keys may be left behind after uninstalling. For information on how to address these keys, please contact the Treasury OTC Support Center.

Reinstalling the POS Software After an Uninstall

NOTE: If an error is encountered during any part of the installation, contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

To reinstall the software after an uninstall: use the PCC OTC Release 5.4 CD, or download the install from ELVIS. To install from CD, follow the instructions outlined in the ‘New Installation – Installing from CD’ section of this chapter. If downloading the install from ELVIS, follow the instructions outlined in ‘Downloading the POS from ELVIS’ section of this chapter.

Recovering Data Entry Screens

Note: Uninstallation of the POS software erases all 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 to the POS, click on ‘Tools’, then ‘Check for’, then click ‘Data Entry Screen Upgrade’.

POS Application Setup

POS Configuration

To view or edit current POS configurations, the authorized user needs to click the **'File'** menu then select **'Configuration'** within the POS. An authorized user, i.e. an administrator, supervisor, or POC 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 2.20). The left side of the window is used to select the scanner model the POS system uses. 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. Choices are USB port or Serial port. Click the appropriate radio button. If the Serial Port is chosen, use the drop down arrow to choose an available com port.

The 'Franking' option can be used for the EC6000i or EC7000i scanner. This option allows the scanner to automatically stamp checks with the words 'Electronically Presented' upon completion of each item. This requires 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 User Manual. This option is not available for the EC5000i or Panini scanners.

The Enable Keypad box should be checked if electing to use 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 (Customer) Not Present mode. Refer to the Yes/No Keypad section earlier in this chapter for more information on the Yes/No Keypad.

When all fields are completed, click 'Apply',.

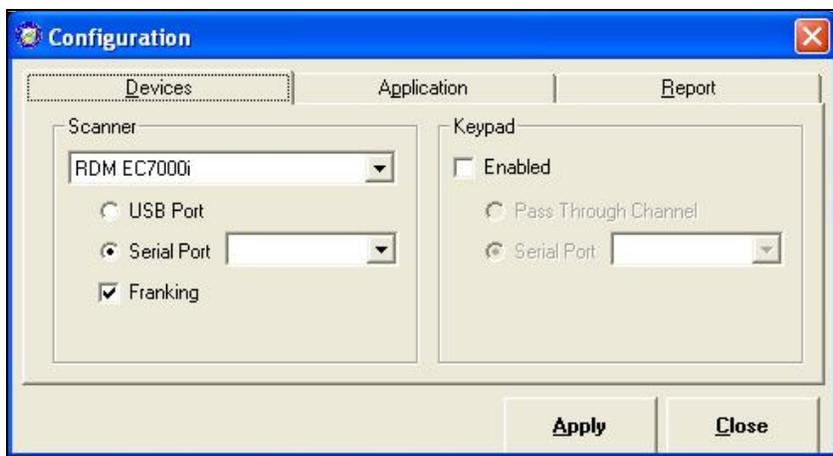


Figure 2.20

Application Tab

From the POS configuration window, click the 'Application' tab. This tab is used to set up preferences within the POS application (Figure 2.21).

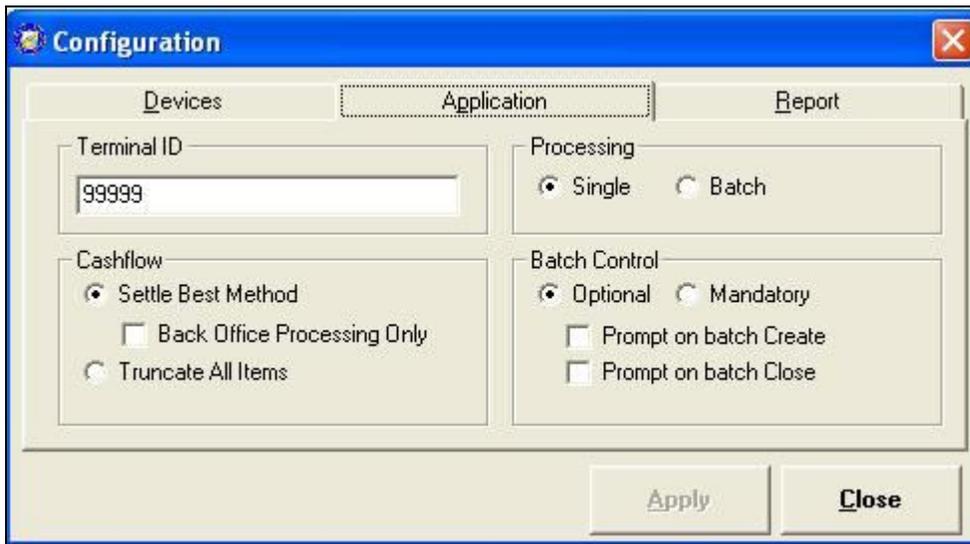


Figure 2.21

Terminal ID

The Terminal ID is provided by the Treasury OTC Support Center 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 2.21 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 the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com if value is unknown.

Cashflow

The Cashflow fields are used to specify what type of items the POS system allows.

The 'Settle Best Method' represents both personal and non personal items. It is the default selection and when selected exclusively on the configuration screen, all processing methods (Customer Present, Customer Not Present, and Back Office) are allowed for either personal or non personal items on the Entry Screen.

If 'Back Office Processing Only' is checked, Back Office is the only allowable processing method on the Entry Screen for both personal and non personal items. The Back Office processing method should be used by Agencies that receive payments in person at the point-of-sale location, then scan the checks at a later time in a controlled, back office environment. When using the Back Office method, customers are not handed back their check as in a typical face-to-face transaction.

If 'Truncate All Items' is chosen, only non-personal items are allowed (for all processing methods) on the Entry Screen..

Click the appropriate radio button to choose 'Settle Best Method' (click the box for Back Office Processing Only), or 'Truncate All Items', then click 'Apply', then 'Close'.

Processing

This field establishes whether the POS uses Single mode or Batch mode processing. The Single processing mode only 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 can only be used with an EC7000i or Panini scanner. For complete information on processing mode, please refer to the *Daily Processing* chapter of this User Manual. Click the appropriate radio button to choose the processing mode and when complete click the 'Apply' button, then click 'Close'.

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 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 does 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 2.22:

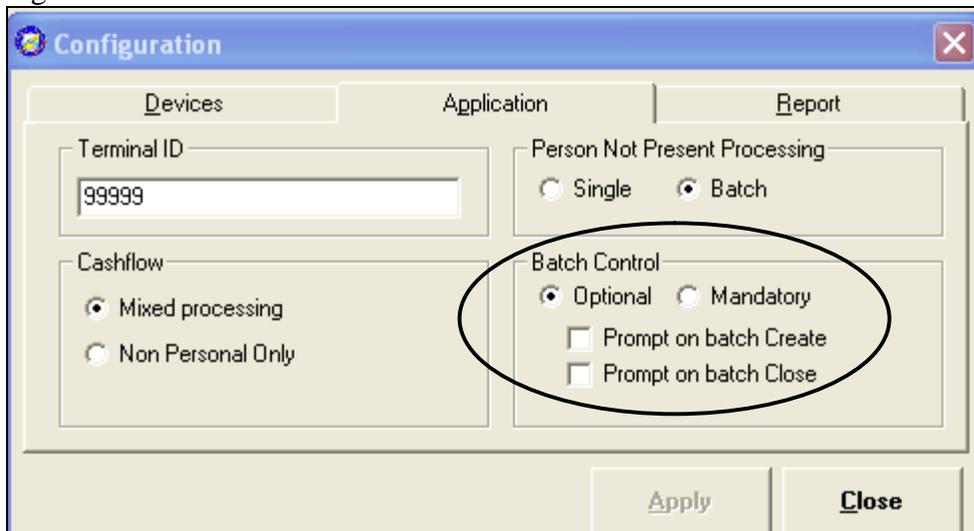


Figure 2.22

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 2.23, 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 bypasses the batch control function.
3. Leave the batch control total amount and count at zeroes.

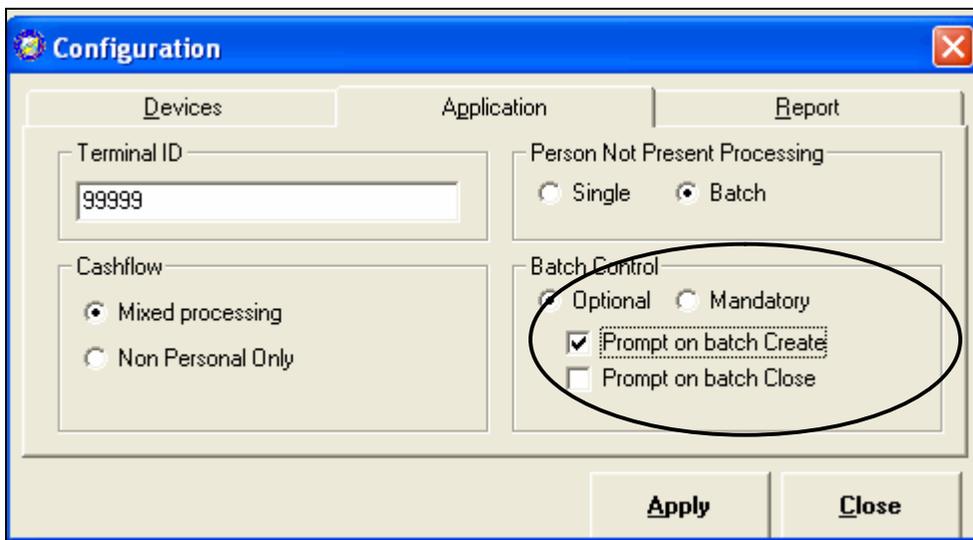


Figure 2.23

The batch control screen does 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 2.24, the operator is not prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen appears. 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.

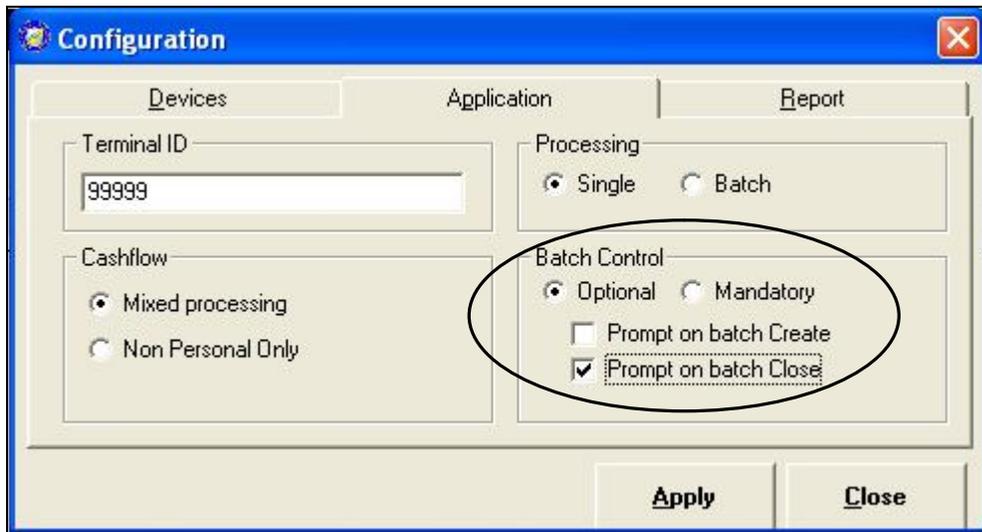


Figure 2.24

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

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 2.25, the operator is 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 appears again. 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.

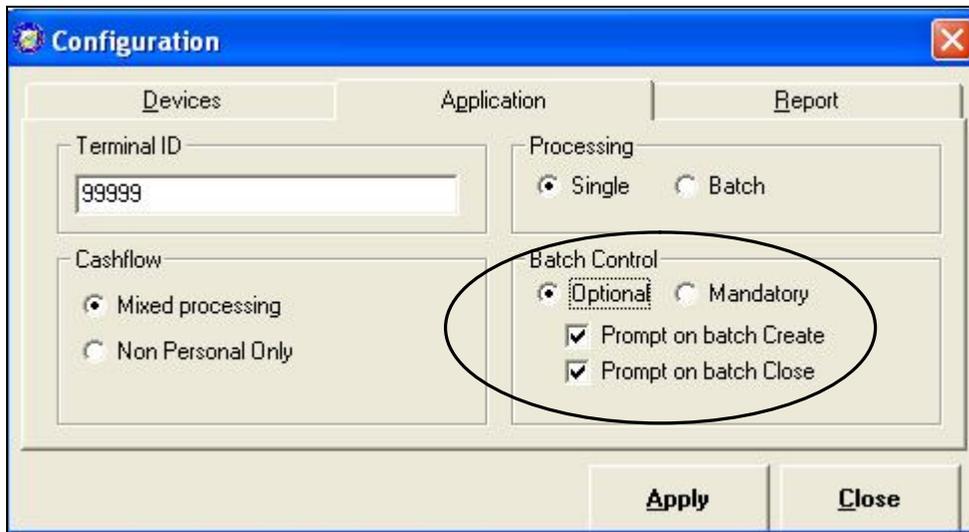


Figure 2.25

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

Mandatory

If the Batch Control feature is set to mandatory, then the POS prompts for batch control totals. 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 2.26, the operator:

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

The batch control screen does not appear upon batch close.

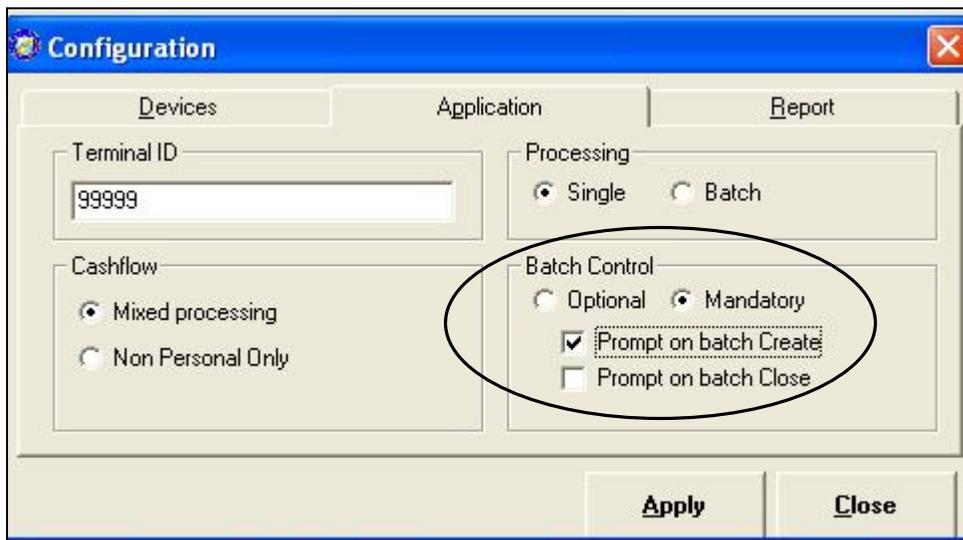


Figure 2.26.

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

Mandatory at Batch Close Only

When the configuration settings are set to mandatory on batch close only, as displayed in Figure 2.27, the operator is not prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen appears. 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.

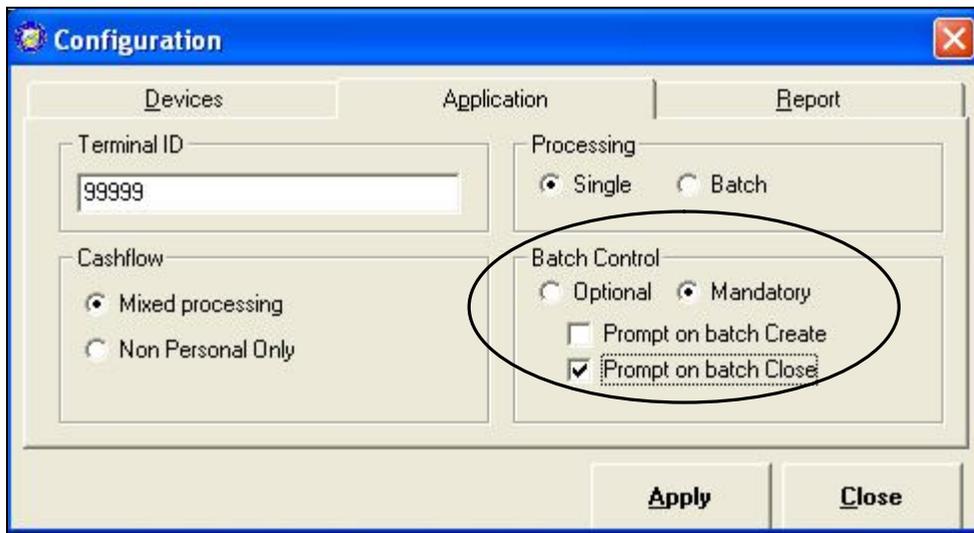


Figure 2.27

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 2.28, the operator is 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 appears. 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.

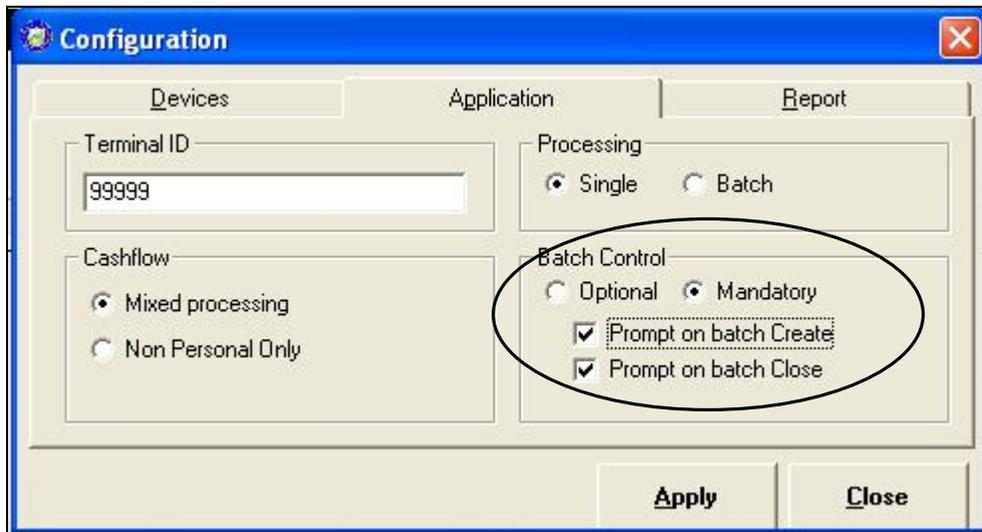


Figure 2.28

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

Note: *Batch control is not required on batches that contain only voided items.*

Reports Tab

Note: *Currently, only the Windows default printer can be used with POS Release 5.4. This functionality will be available in a future release of the POS.*

PCC OTC uses the default printer assigned in the operating system if one is not specified on this screen. If the Windows default printer is not the printer where the PCC OTC report should print, another printer can be specified. Since it is mandatory to print the batch list as part of the batch closing process, this screen allows the user to choose which printer to setup as the POS default printer. (Figure 2.29)

To install a new printer in the 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, 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 SATprinter.

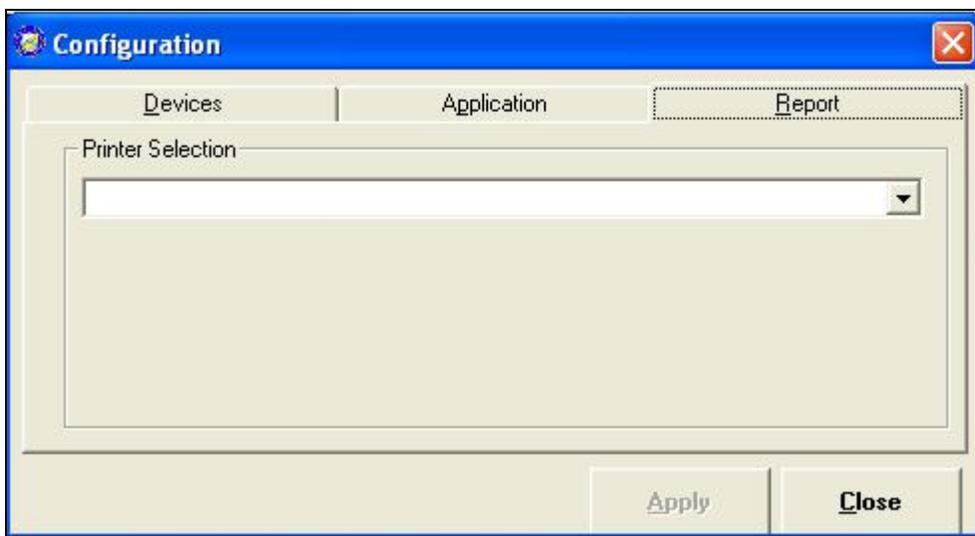


Figure 2.29

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 the 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 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 displays the version number for the POS (circled below in Figure 2.30) as well as scanner driver information at the bottom of the screen. This information may be requested by the Treasury OTC Support Center or Treasury/FMS for troubleshooting purposes.

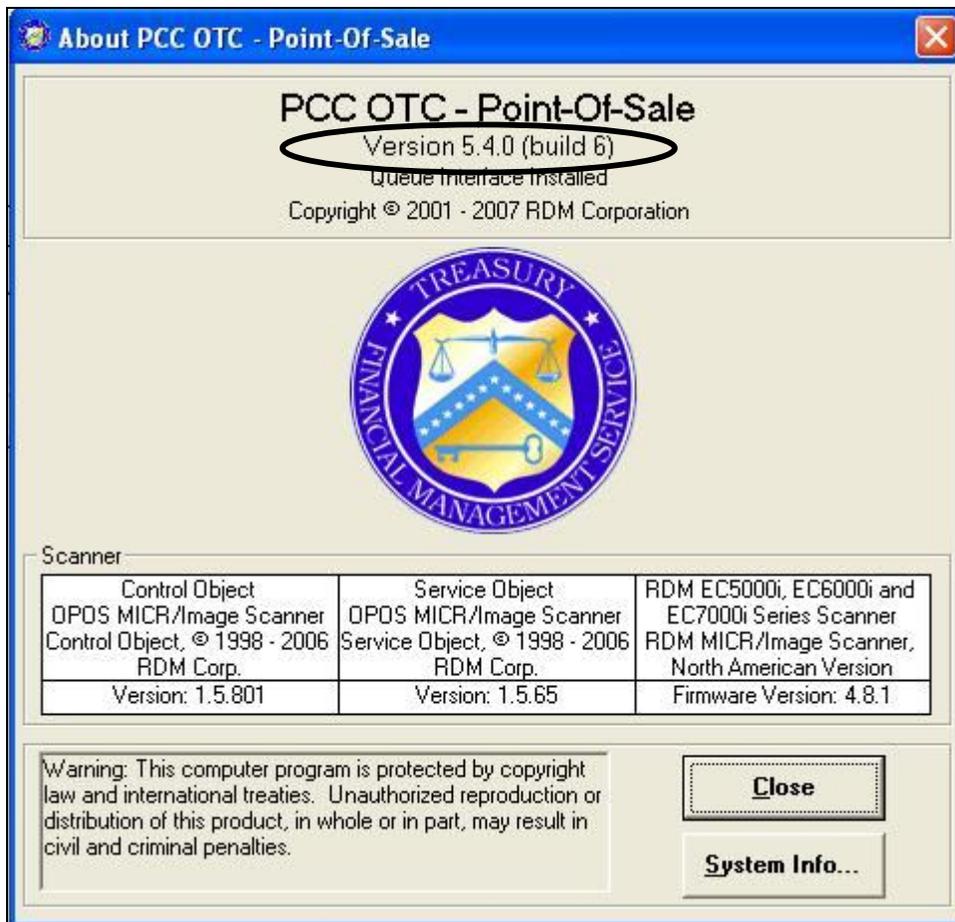


Figure 2.30

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 2.31)

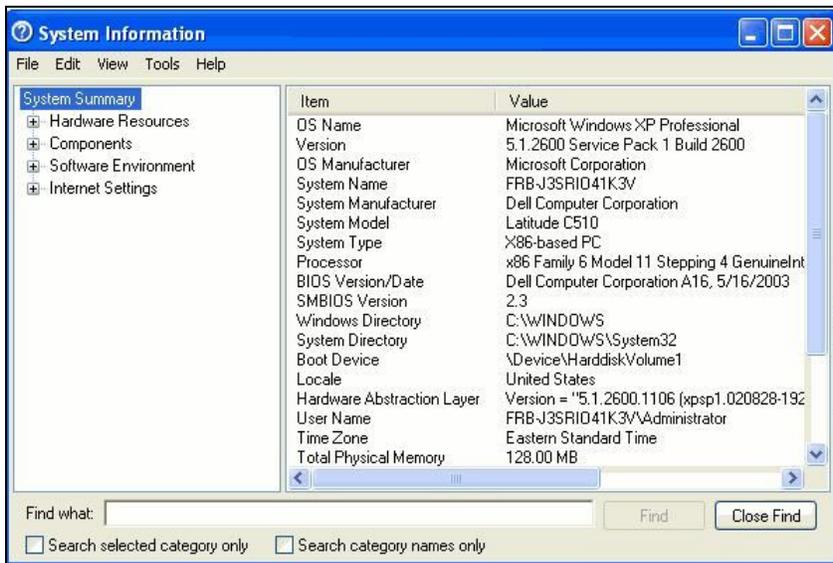


Figure 2.31

Help – other menu options

By clicking on ‘Help’ from the POS menu, users can choose between ‘Contents’, ‘Index’, or ‘Search’.

- Contents – Displays a welcome to the PCC OTC Online Help screen. Contents also displays a menu of POS messages (left side of screen) as displayed below in Figure 2.32. Click on any of the categories to see the description of various message types for that category.

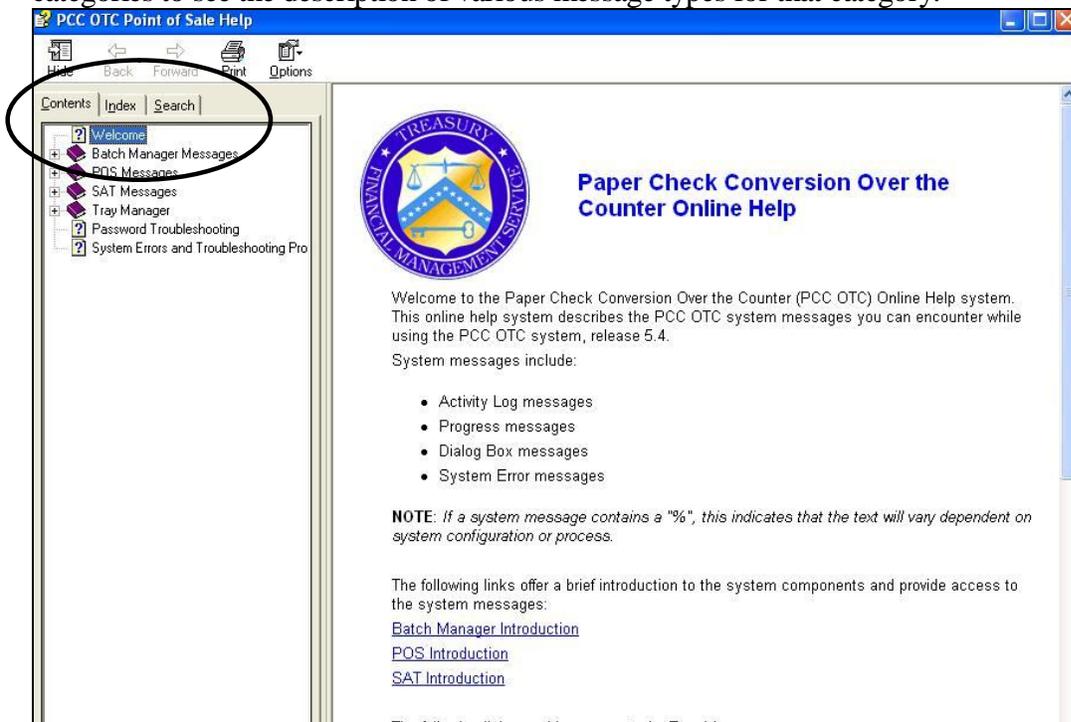


Figure 2.32

- 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 2.34)

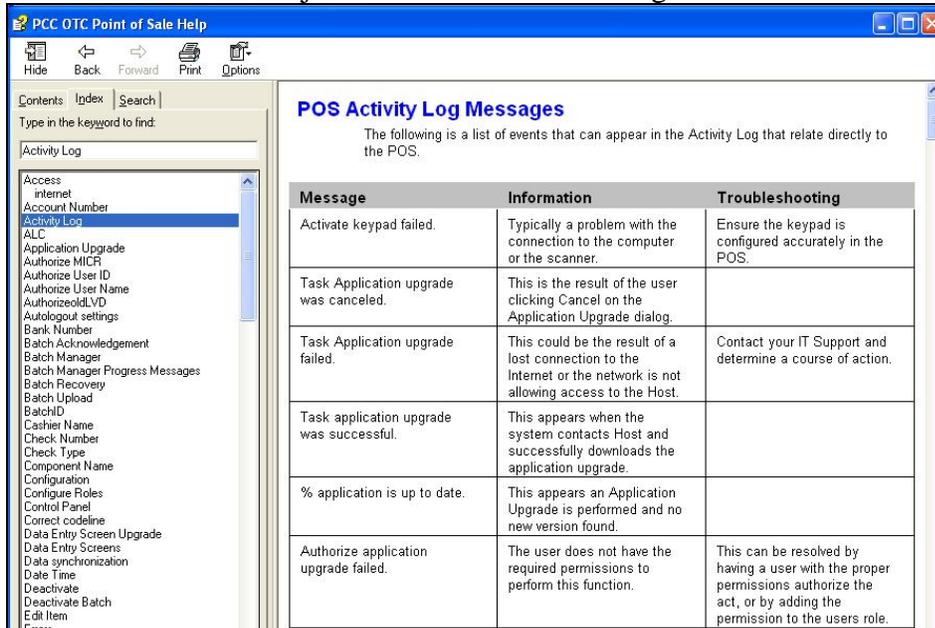


Figure 2.34

- Search – The search function allows the user to type a word or group of words to search for a specific error (left side of the screen) , as displayed in Figure 2.35.

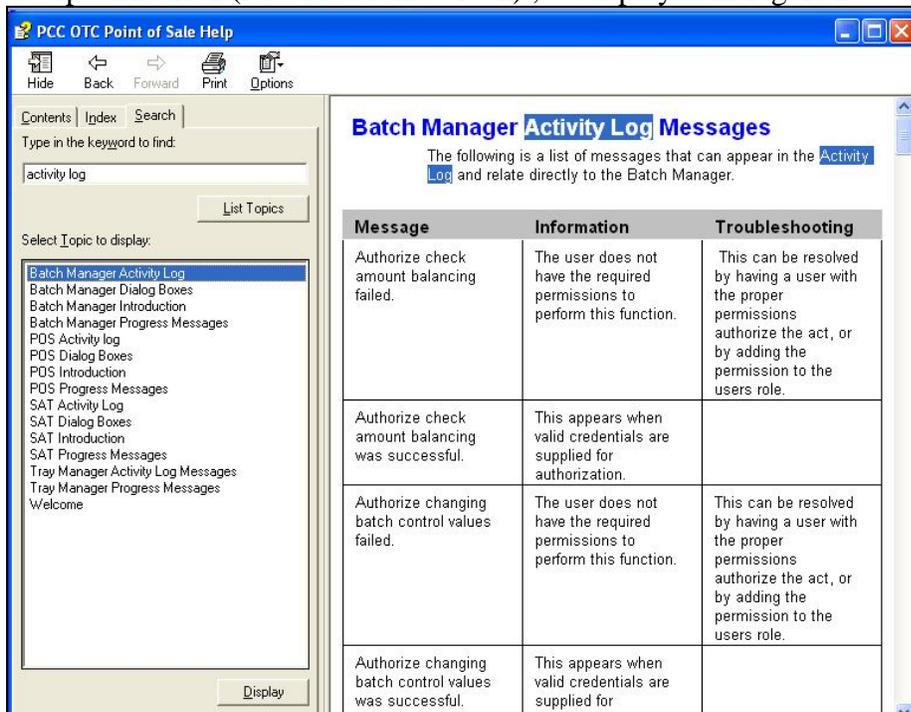


Figure 2.35

U.S. Department of the Treasury
Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 3
System Administration Tool- SAT

January, 2009
Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	

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/Password Expiration.....	8
Logging out of the SAT Application	8
Exiting the SAT Application	8
System Configuration.....	9
General Tab	10
LVD Usage - set the options for using the LVD, or turn off the LVD function.....	10
Printer Selection – select SAT default printer	10
Secondary Storage – Select the drive to be used for backup.....	10
Login – various login settings –	10
Batch – set the default days for batch retention	11
Activity Log – set the length of time the log is retained.	11
Data Entry Screens Tab	11
New – Add new ALC+2’s.....	12
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.....	14
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.....	15
Override	16
User Administration	17
Adding a New User.....	18
Account Status	19
Edit User	20
Unlock.....	21
Reset Password	23
Activate or Deactivate User Account.....	24
To Deactivate a user’s account.....	24
To Activate a user’s account	26
Delete Users.....	28

Configure System Roles	29
Permissions	30
Predefined System Roles	31
Adding System Roles.....	32
Modify Roles	33
Deleting System Roles.....	33
Print User Information	34
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
To print the activity log:	42
To export the Activity Log:	43
Local Verification Database (LVD) Reset.....	48
Help – About PCC OTC - SAT	49
Help – other menu options	50
POS System Errors	53

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.

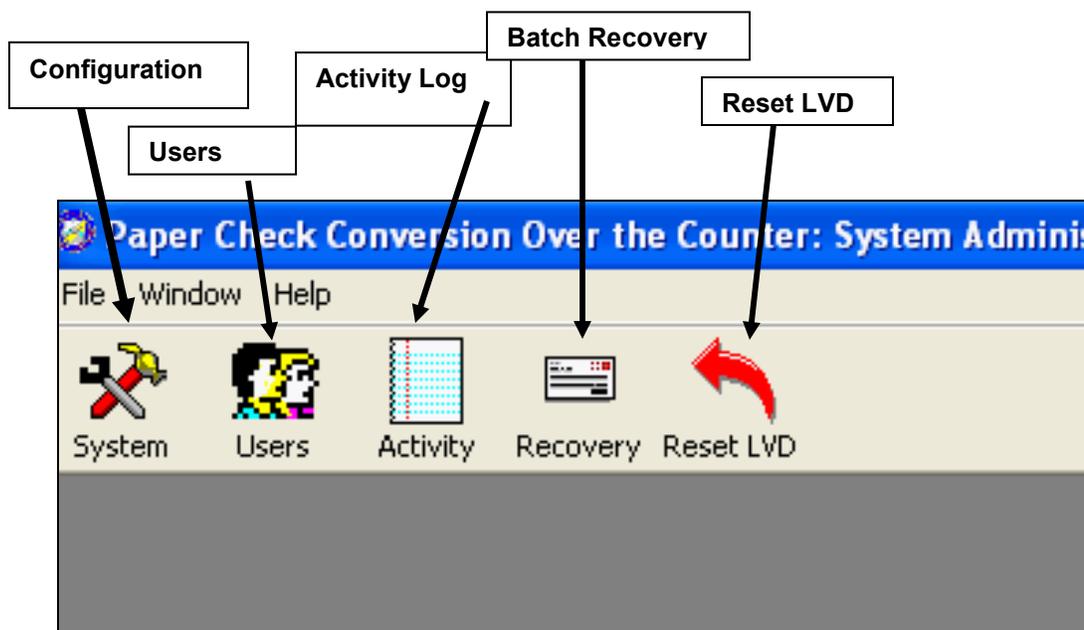


Figure 3.1

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 need to remember passwords for each computer.

SAT Access

Only an authorized System Administrator, IT Support, designated Point(s) of Contact (POC), or someone with the 'administrator' role should be accessing the POS SAT application. For the initial installation, the Treasury OTC - Deployment Specialist (i.e. Treasury/FMS, or designated agency personnel) launches the POS SAT icon to complete security and application configuration setup, or assists with this step. If the Deployment Specialist is not present at the location site, call Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com. Authorized users are 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 is given to people who are authorized to access the SAT by the Treasury OTC Support Center. The password for the administrative login needs 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. 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 M* of this User Manual.

Note: Once the administrative password has been changed, it should be written down and locked up for future use. The administrative password will expire every 90 calendar days and a new password will need to be chosen. 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:

1. Double click the SAT icon on the desktop. 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, POS, SAT or BM, the user is required to change their password. The Agency's POC assigns 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 prompts the user to change their password (see *Changing a Password* section below). For complete specifics regarding password requirements, please see *Appendix R – Password Requirements* in the Appendix chapter of this User Manual, or contact the Treasury OTC Support Center.

Changing a Password/Password Expiration

Users are required to change their password upon initial login. Passwords expire thereafter every 90 days. Passwords should also be changed if the user feels that their password has been compromised.

Note: *When the password is changed in one of the modules (SAT, Batch Manager, or POS), it is also automatically changed across all 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 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 the 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 each 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 appears: (Figure 3.5)

Warning: The PCC OTC security settings displayed in Figure 3.5 (right side - Login, Batch, and Activity Log) are defaulted to the most restrictive mode and should not be changed.

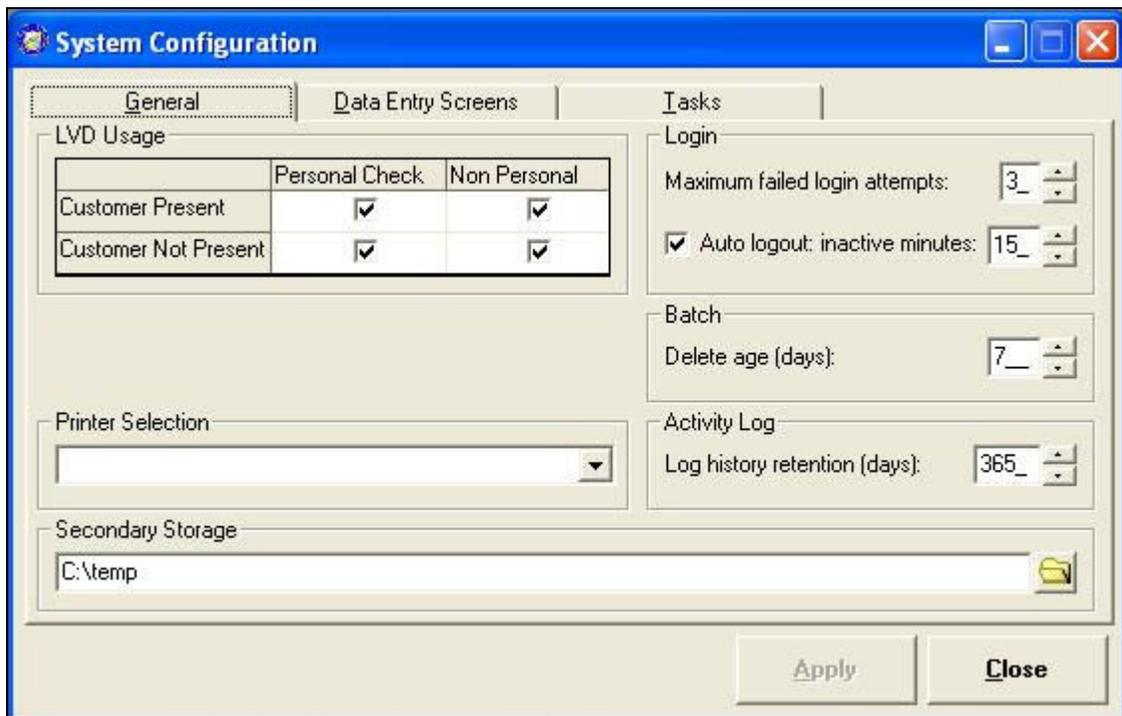


Figure 3.5

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. The LVD (Local Verification Database) is an optional feature. If none of the options are checked, the LVD becomes disabled provided it is also unchecked in the 'Task Selection' field of the 'Tasks' tab (see the 'Task' tab section for additional information).

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 uses the Windows default printer. A font can also be specified by clicking on the 'Print' button and choosing an alternate font. The font name and font sample is displayed to the right of the font button.

Note: This printer defaults to the Windows default printer and cannot be customized at this time.

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 backup data remains on the secondary storage drive until it is deleted from the primary location which is set in the 'Batch Delete Age' SAT configuration setting. The 'Secondary storage' field was configured during installation. If a LAN drive is used for secondary storage, and multiple computers use the POS software to scan items, it is recommended that a separate folder is created on the LAN drive for each PC. This keeps the activity separate. 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 User Manual, if needed. If the Secondary Image Storage fails while in the POS application, refer to the *Troubleshooting* chapter of this User Manual. 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. For more information on the types of secondary storage options available, see the *Mirror Image – Backup Device Installation* section of the 'Installation and Configuration' chapter of this User Manual.

Note: If the secondary storage path is changed in the middle of processing batches, the system is not 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 is not removed during an uninstall.

Login – various login settings – This section contains configurable settings that apply to logins for users. The settings in this section are set to the most restrictive mode and should not be changed.

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 and should not be changed (see warning box above Figure 3.5).

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 logs off the user. The default is 15 minutes and should not be changed. (see warning box above Figure 3.5).

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. This setting removes batches from the primary and secondary locations. The default setting is 7 calendar days and should not be changed. (see warning box above Figure 3.5). Only 7 days of batches should be retained to reduce the amount of personal information stored on the hard drive of the POS computer and its secondary storage device. Higher amounts of stored P I I data equates to higher risk of accidental disclosure in the event of unauthorized access to the system, or malicious code.)

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. The default is set to 365 days and should not be changed (see warning box above Figure 3.5, and the System Activity Log section of this chapter).

If changes have been made to any fields on the General tab, click the 'Apply' button. The system states that the POS application has to restart to use these changes.

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

Data Entry Screens Tab

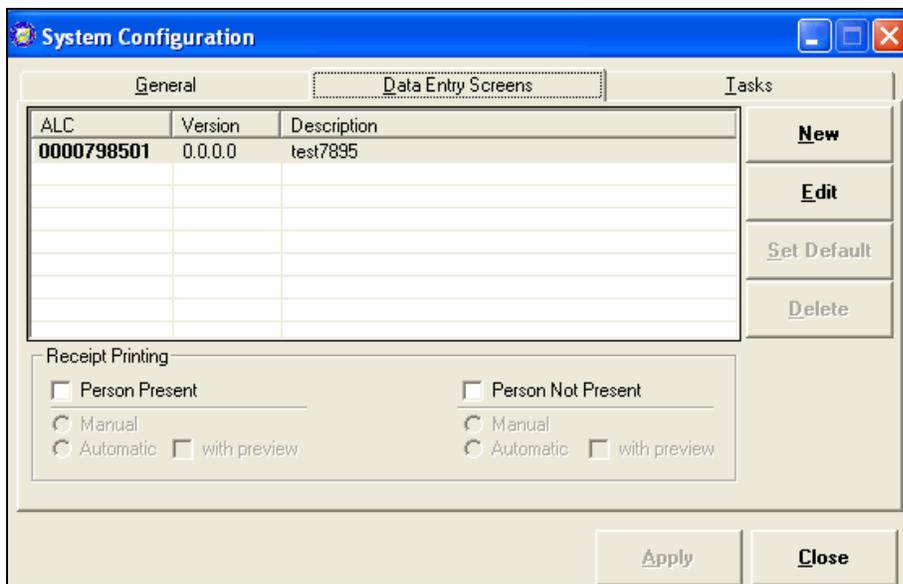


Figure 3.6

The purpose of the Data Entry Screens tab is to configure and manage the POS with the number of ALC+2's that are used by the POS computer. This screen is also used to 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 do 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 lists 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: The first ALC+2 that was added becomes the default and is indicated as such with an asterisk and bolded type face on the 'Data Entry Screens' tab. The default ALC+2 determines which ALC+2 is the owner of the POS terminal and can be changed (see Set Default ALC+2 below).***

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 Treasury OTC Support Center. Please advise the Treasury OTC Support Center if multiple locations are consolidated into a single location.

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 is defaulted to the data entry screen. Once another ALC+2 is chosen for a transaction, that ALC+2 remains 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. When viewing the listing of ALC's on the 'Data Entry Screens' tab, the default ALC+2 is indicated with an asterisk and bolded type face.

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 (Customer) Not Present’ fields unchecked results 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’ requires 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 allows 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 are 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 must 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 Treasury OTC Support Center. The exception to this is the Task selection choices at the bottom of the window which can be customized.

Upon deployment or re-installation, these settings are confirmed. A change to any of these settings prevents a successful transmission of batches.

The screenshot shows the 'System Configuration' window with the 'Tasks' tab selected. The fields are as follows:

- WSDL URL: `https://www.pccotc.gov/webcontext/jndiSoapSB?WSDL`
- Service Name: SoapSB
- Port Name: SoapSBPort
- User Name: USTUPLDAD
- Password: [Redacted]
- Retry Count: 3
- Retry Interval (ms): 10000
- Use Proxy Server:
- Task Selection: Application Upgrade
- Execute On:
- Start Up:
- Close Batch:

Buttons: Apply, Close, Advanced...

Figure 3.7

Note: The ‘Password’ field on this screen should not be changed unless under the direction and guidance of the Treasury OTC Support Center. If the Deployment Specialist is not present, call Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

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 the Treasury OTC Support Center.

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)

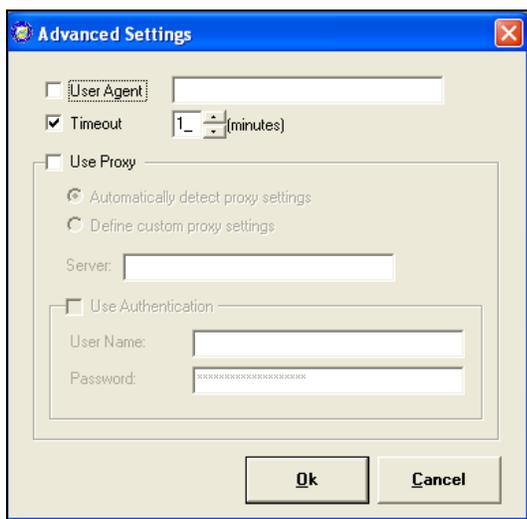


Figure 3.7.1

User Agent – Click the checkbox to activate the field. Type the name of the User Agent if a user agent is required.

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 I T staff if more information is needed regarding 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 to have the system automatically detect proxy settings.
- Define custom proxy settings. Click the check box to define the proxy setting manually and 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 to access the internet.

Note: *The POS software is proxy aware. If your agency is proxy aware, you 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 depends 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 needs 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 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 the closed batch is 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. The data entry screens need to be updated immediately after an install or upgrade, and thereafter only when changes to the 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 the Local Verification Database, if the 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 the Agency 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) The default is 30 days. After the LVD has reached its override age, it is considered to be stale and a new LVD needs to be downloaded. The operator is prompted to download an updated LVD. If the operator chooses to use the existing LVD without an update, the system requires 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.

Note: *The LVD is an optional feature that can be disabled. To disable the LVD download feature, please make sure that the ‘Execute on’ box is unchecked. This along with the ‘General’ tab settings for LVD download makes the LVD optional (see ‘General’ Tab settings).*

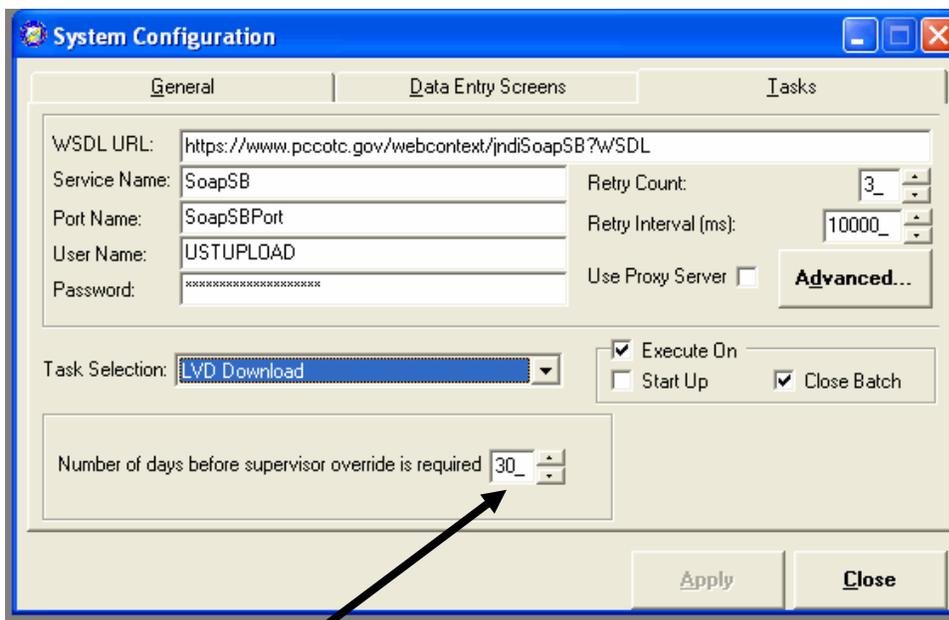


Figure 3.8

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 must be restarted to use these changes.

Note: *It is strongly recommend that these settings be left at the default settings.*

Override

The section above mentions a setting for a supervisor override. An override occurs when an operator encounters a situation that requires higher approval, such as overriding the existing Local Verification Database, or overriding a blocked or suspended item. The action calls for a one-time approval from a person with supervisory or higher access. A window appears requesting a login and password for authorization. Once the approver types their login and password, the system checks the login to ensure proper permissions. If the login is accepted, the process can continue. The operator remains logged on during the entire process and can continue with their work.

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 User Manual.

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 the Agency. Action from the Treasury OTC Support Center is not needed to grant access to the POS component for user administration. The Agency controls access on who uses the POS software and their level of access on the 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.

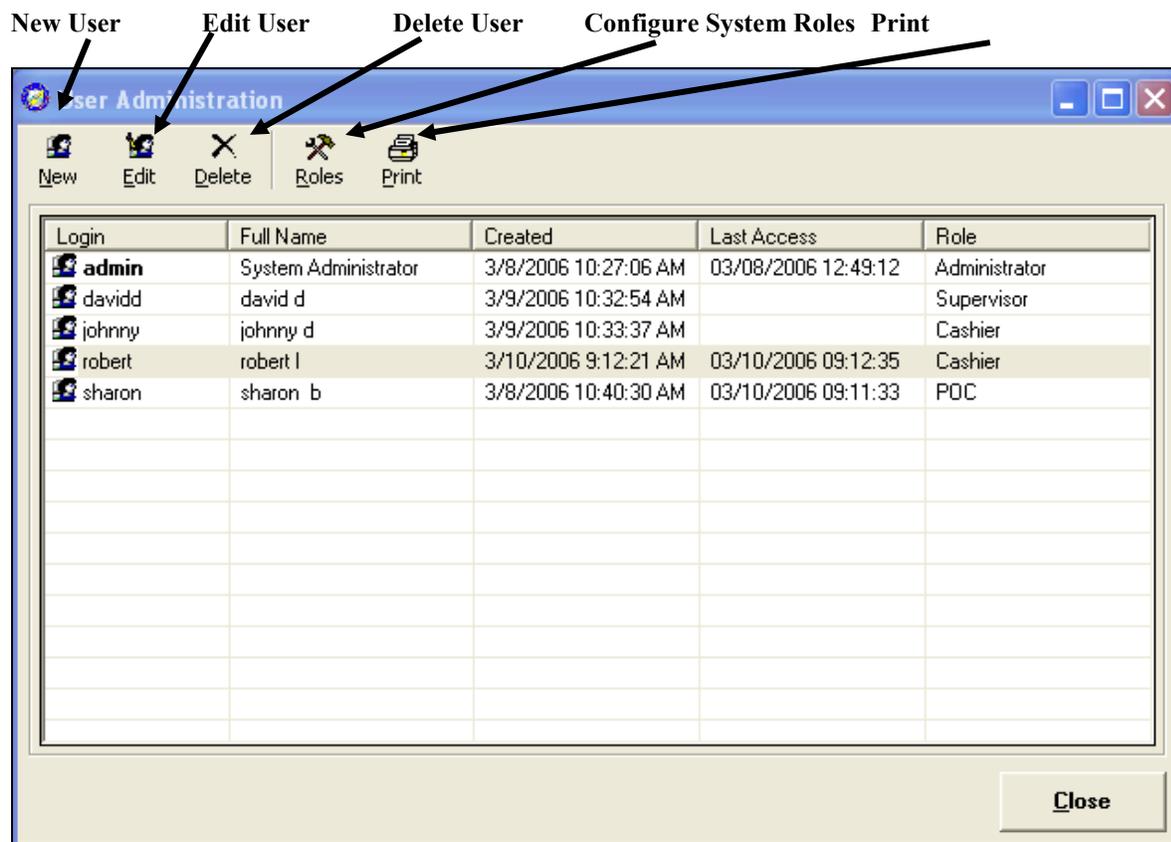


Figure 3.9

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 appears: (Figure 3.10)

At the first login after the software installation, the admin user must add the Point Of Contact (POC). The POC needs to be setup as a user and assigned the POC role. The POC has the highest level of authority within the POS.

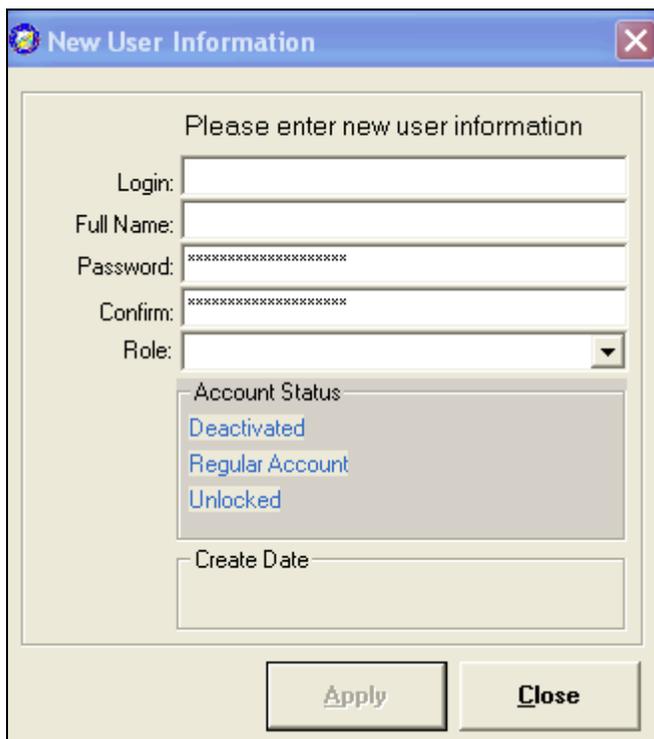


Figure 3.10

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 or periods.. Users are assigned a default user password and are required to establish a new password upon their initial login. For complete specifics regarding password requirements, please see *Appendix R – Password Requirements* in the Appendix chapter of this User Manual, or contact the Treasury OTC Support Center.

Note: *Users should be aware that 3 unsuccessful login attempts (or the configurable number of attempts that are set in the System Configuration) results in a locked account. Once an account is locked, the 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 displays information pertaining to each user (See Figure 3.11)

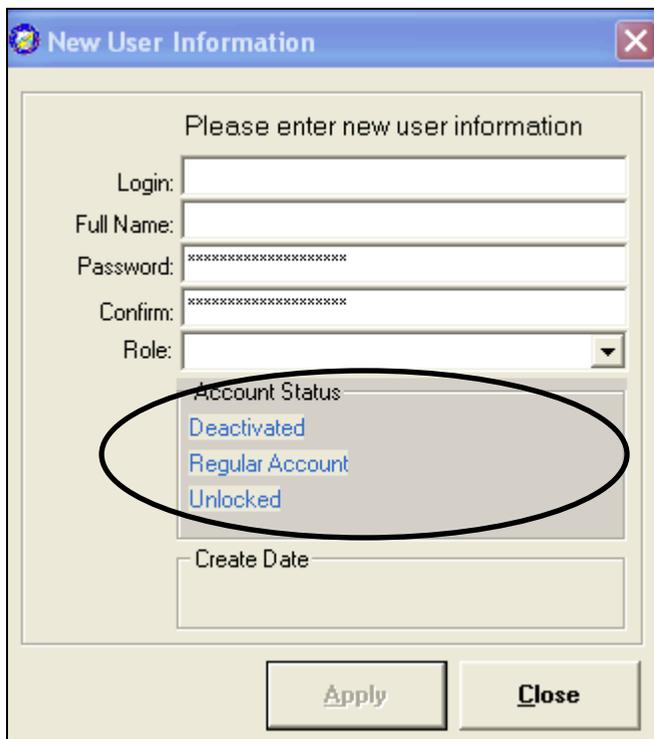


Figure 3.11

Active/Deactivated - Until the apply button is clicked, the new user is 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 now reflects ‘Active’. Also, a user’s status displays ‘Deactivated’ if that person has been intentionally deactivated by an authorized user.

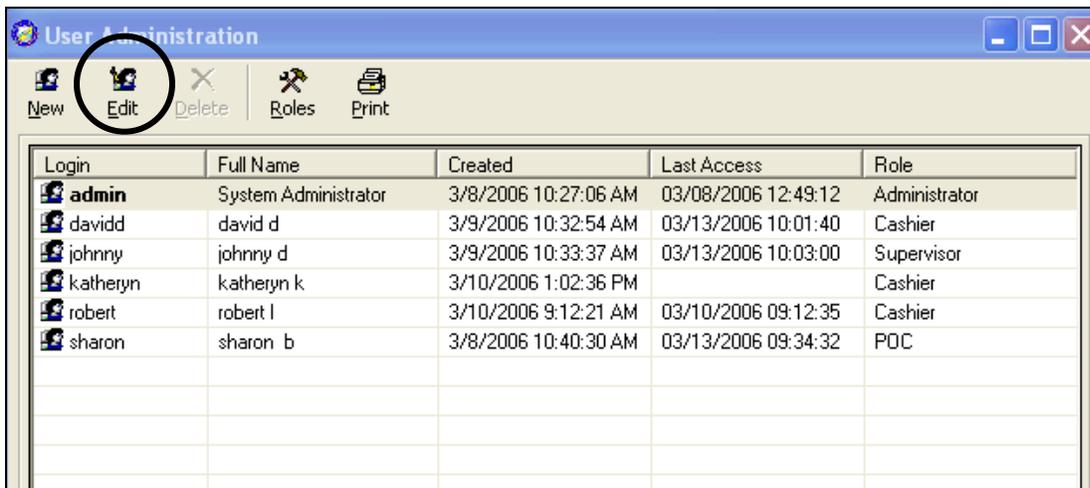
Regular/System Account - All users account status display ‘Regular Account’ unless the user has the Administrator role. Administrator accounts display ‘System Account’.

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 becomes ‘Locked’. That user is not 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 displays 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’.



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 3.12

3. A ‘Modify User Information’ screen appears: (Figure 3.13).

Figure 3.13

4. 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 returns to the User Administration Window. Click **'Close'** when finished.

Unlock

A user's account becomes 'locked' if their unsuccessful login attempts exceed the 'maximum failed login attempts' as set in the System Configuration. The 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:

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

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

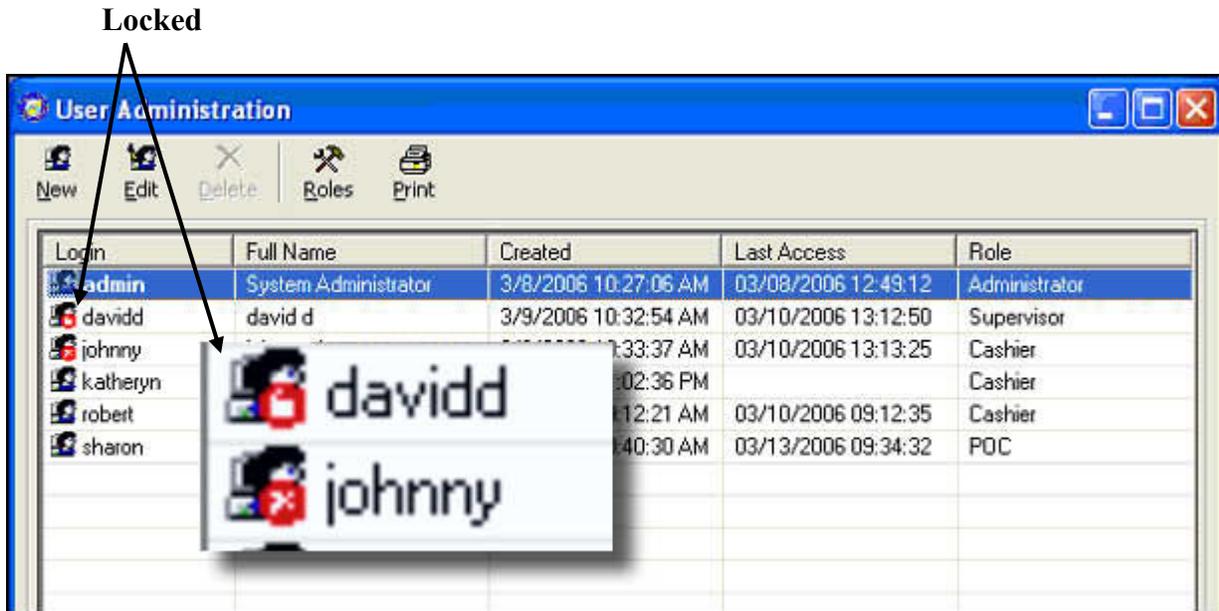


Figure 3.14

- To unlock, a user's account, right-click on the user's login. A drop down menu appears 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'.

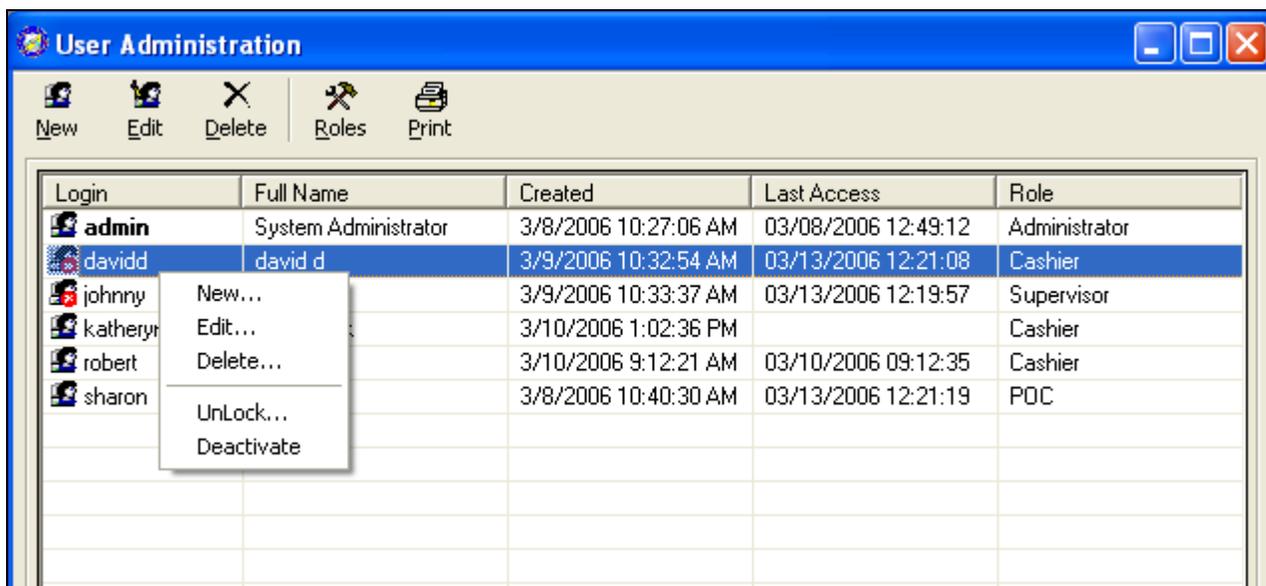


Figure 3.15

- Click the 'UnLock' action and the user's account is immediately updated.

5. If the user forgets their password, it is 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 is 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 appears 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.

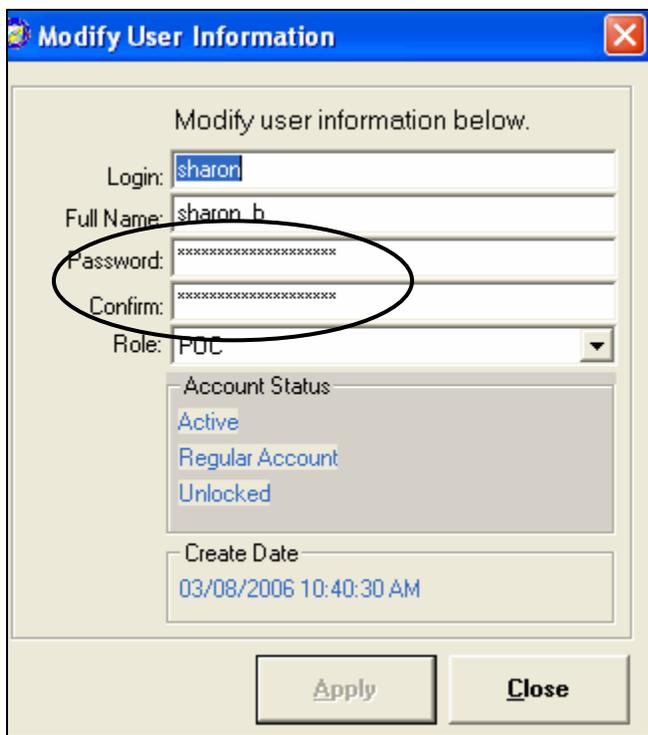


Figure 3.16

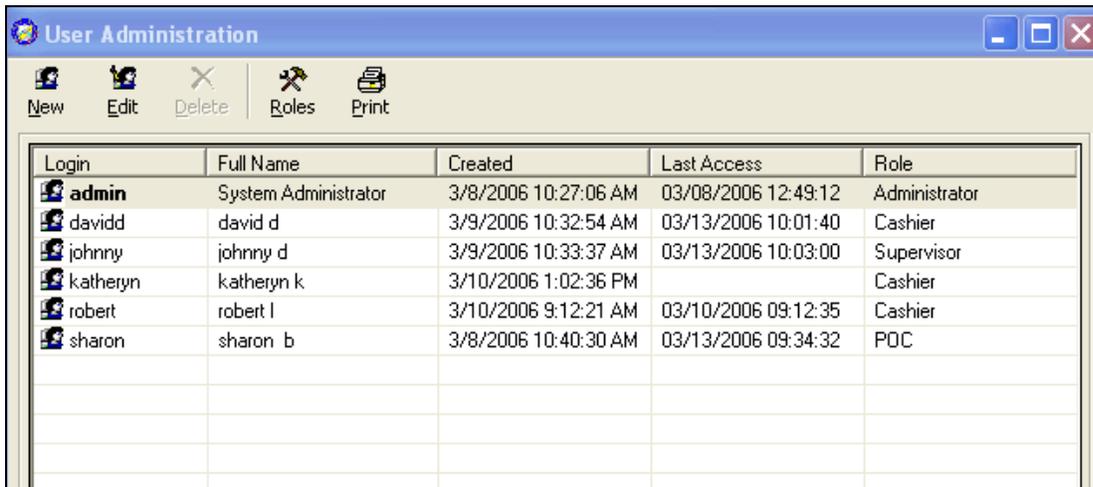
Note: *Resetting a user's password automatically unlocks the account.*

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 displays 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 to deactivate. A drop down menu appears with choices, as displayed in Figure 3.19.

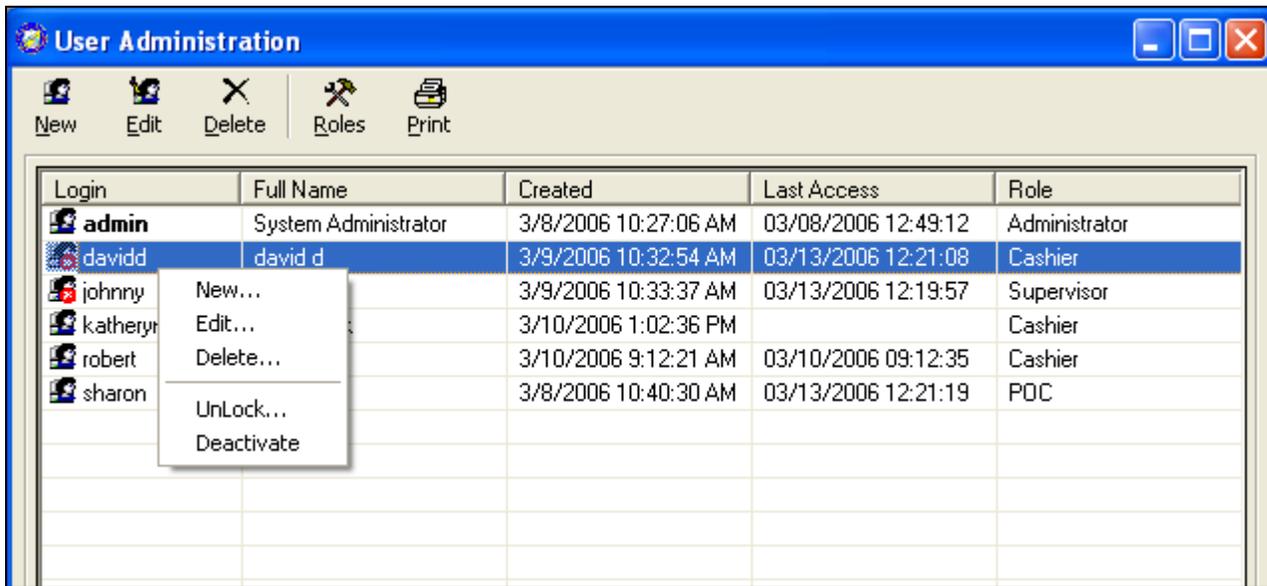


Figure 3.19

- Click the 'Deactivate' action. The user's login now appears with a red 'X', as displayed in Figure 3.20.
Deactivated

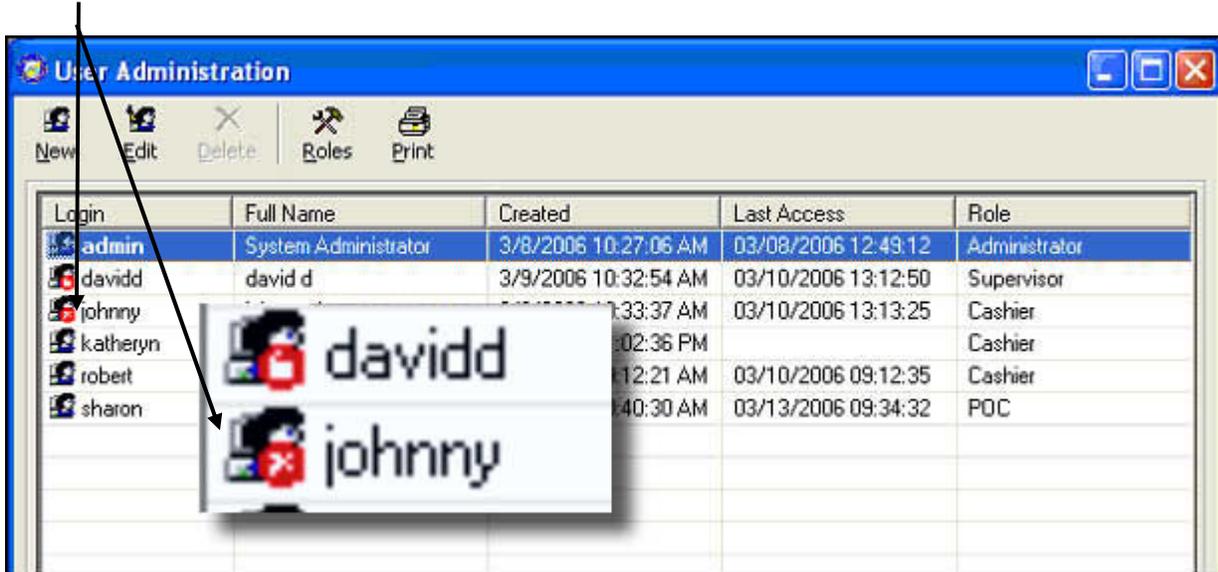
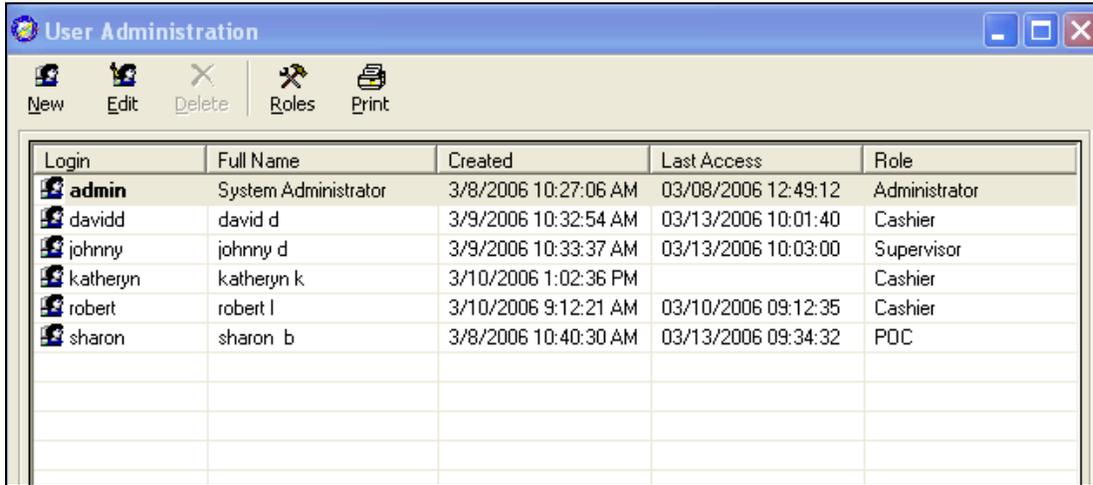


Figure 3.20

To Activate a user's account

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



The screenshot shows a window titled "User Administration" with a toolbar containing icons for New, Edit, Delete, Roles, and Print. 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 to activate. A drop down menu appears with choices, as displayed in Figure 3.22.

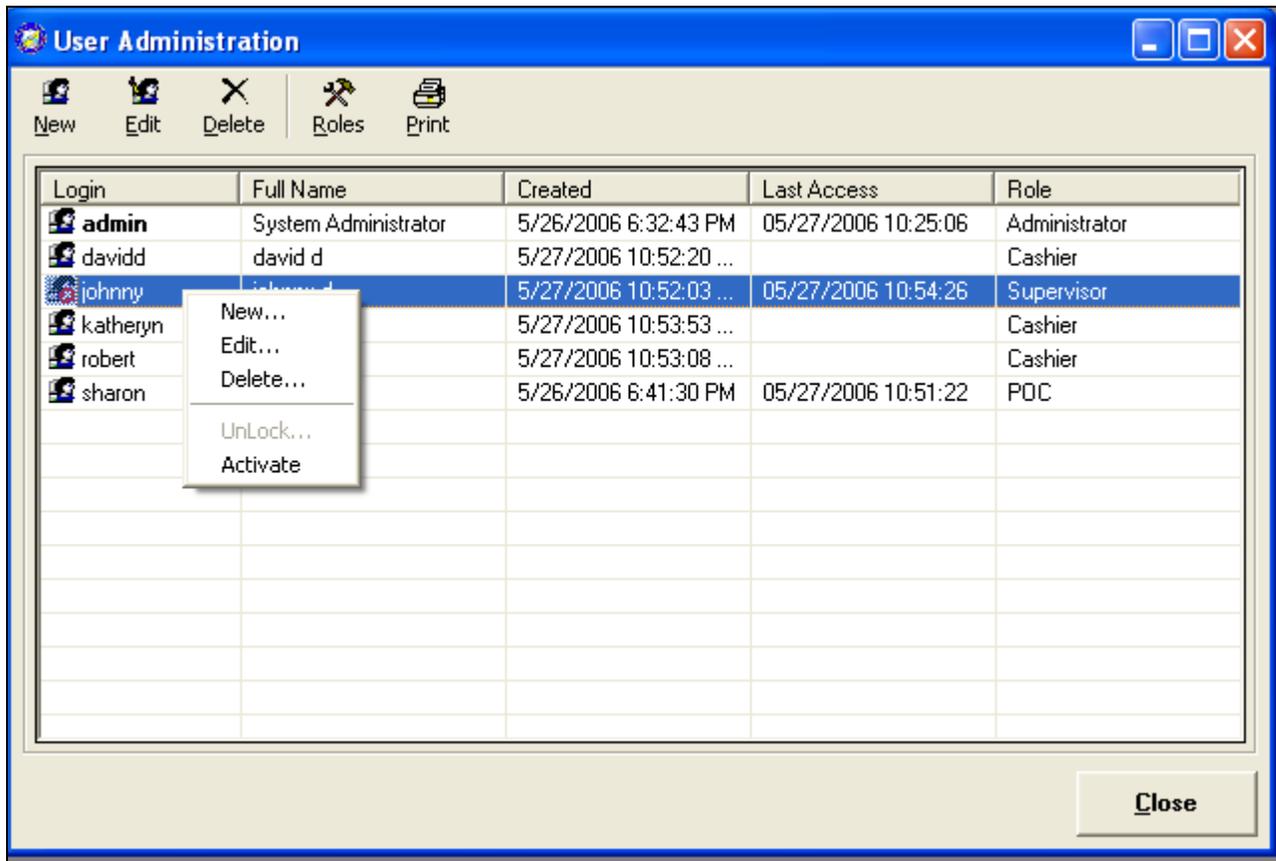


Figure 3.22

4. Click the 'Activate' action. The red 'X' that appeared on the user's login is now removed.
5. If the user forgets their password, the user's password must be reset (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 appears on the screen asking, "Delete user 'nnnn', Are you sure?" Click '**Yes**'. The user account is removed from the system and no longer appears 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 the 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 the user is logged in as a Supervisor, and the Supervisor role has the System Permission to configure users, the Supervisor user is 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 appears: (Figure 3.25)

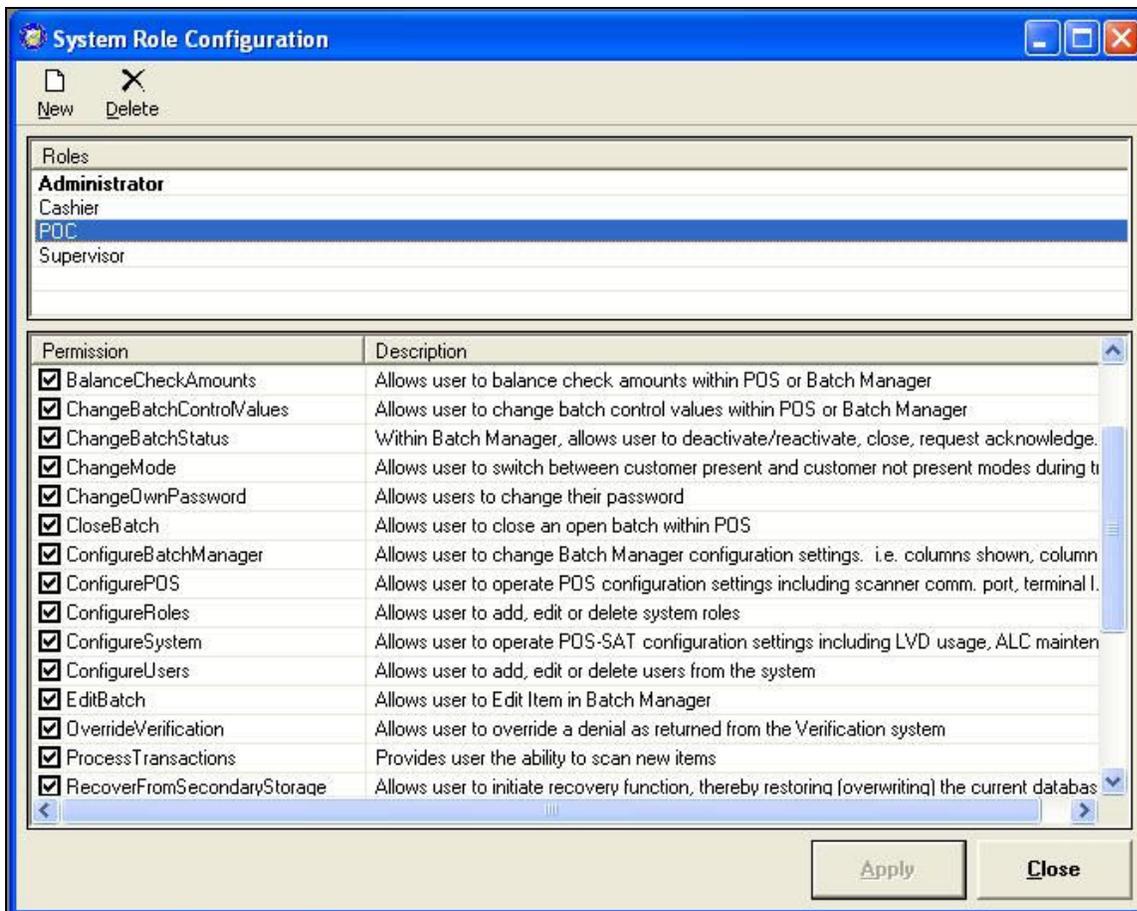


Figure 3.25

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 POS.
AuthorizeMICRCorrection	Allows a user to make MICR corrections within POS.
AuthorizeOldVerification	Allows user to authorize the use of an out-of-date LVD.
AuthorizePoorImageQuality	Allows a user to accept items whose images are of poor quality within POS.
BalanceCheckAmounts	Allows a user to balance check amounts within POS or Batch Manager.
ChangeBatchControlValues	Allows a user to change batch control values within POS or Batch Manager.
ChangeBatchStatus	Within Batch Manger, allows uers to deactivate/reactivate, close, request acknowledgement, or upload a batch.
ChangeMode	Allows a user to switch between customer present and customer not present modes during transaction entry.
ChangeOwnPassword	Allows users to change their password.
CloseBatch	Allows a user to close an open batch within the POS.
ConfigureBatchManager	Allows a user to change Batch Manager configuration settings i.e. columns shown, column order and column move.
ConfigurePOS	Allows user to operate POS configuration settings including scanner comm. port, terminal ID, and enable/disable Yes/No Keypad.
ConfigureQueueInterface	Allows user to configure the Queue Interface in the SAT.
ConfigureRoles	Allows a user to add, edit or delete system roles
ConfigureSystem	Allows user to operate POS- SAT configuration 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 system
ProcessTransactions	Allows a user the ability to scan new items..
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. Printers will only print to the Windows default printer. Will be corrected in the next Release)
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. (Prior to transmission)

Predefined System Roles

The following roles are the defaulted roles when the POS is first installed. When upgrading from a previous version, any changes that were made to these predefined roles in the previous version are carried over to the upgrade.

Note: *The predefined system roles can be deleted and unique roles can be created in their place. Only the ‘Admin’ role cannot be deleted.*

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 Queue Interface	-	-	-	-
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	✓	✓	✓	✓
View batch list	✓	✓	✓	✓
Void items during balancing	✓	✓	-	-
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) The POS system comes with four predefined system roles. As an alternative to using the predefined roles, a customized system role can be added and assigned the appropriate permissions to suit the Agency’s specific needs.

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

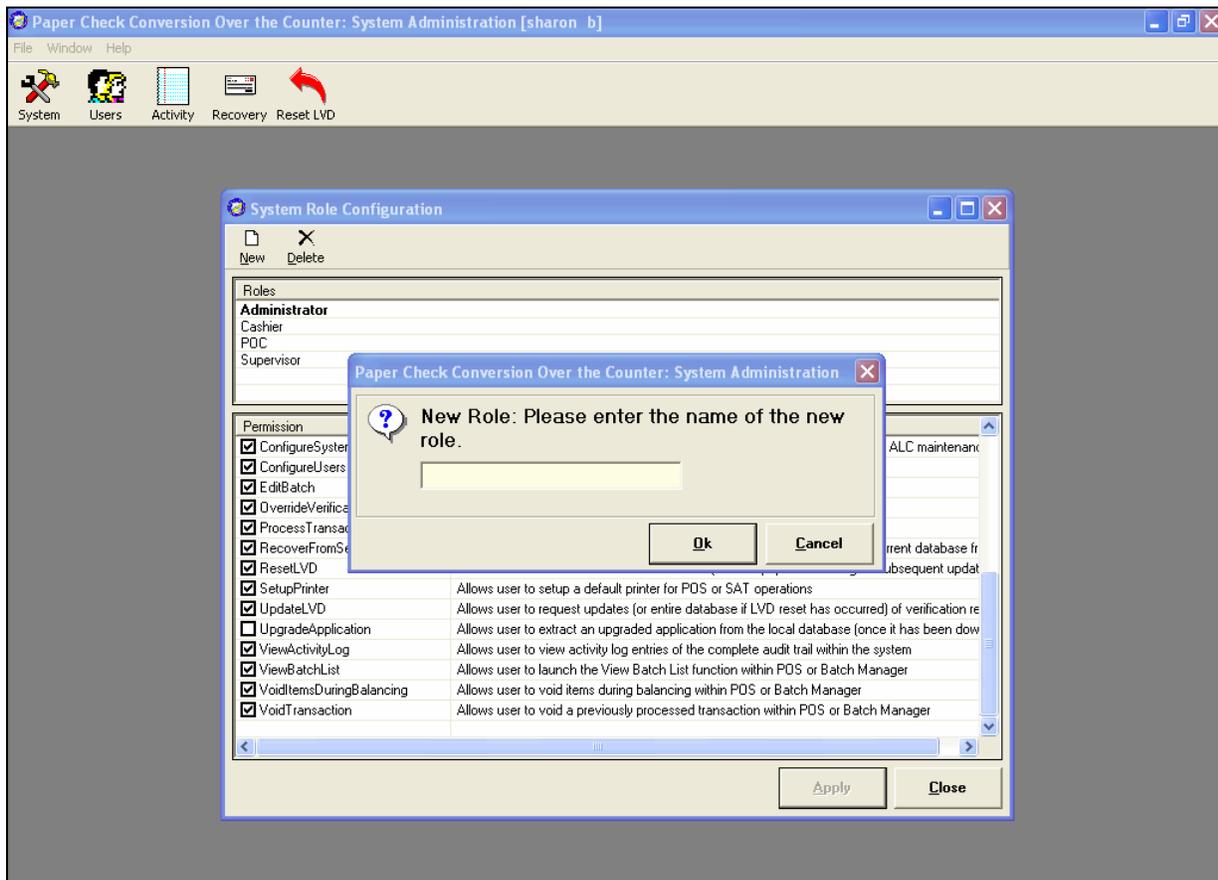


Figure 3.26

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 can be used to add or remove permissions from one or more of the predefined system roles rather than create a new role, or to modify an Agency created role.

Click the 'Users' icon  from the main SAT screen. A window appears that displays all user accounts.

1. Double-click the user whose role needs to be modified.
2. 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.
3. When complete, click '**Apply**'. Click '**Close**' to exit User Administration.

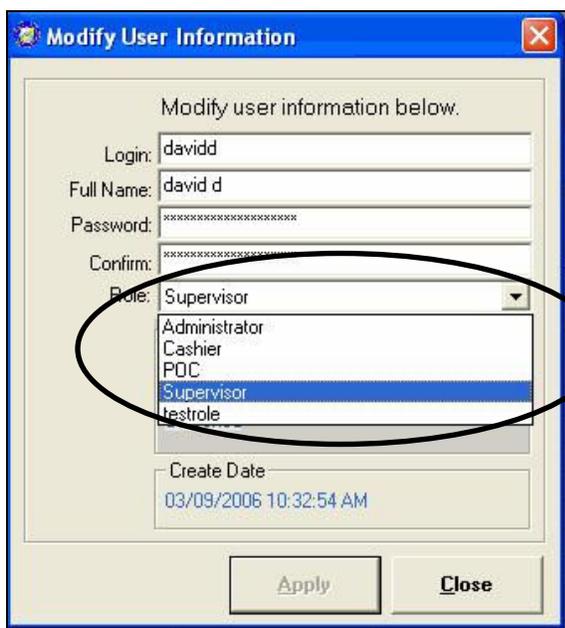


Figure 3.27

Deleting System Roles

Authorized users are able to delete system roles.

1. Click the 'Users' icon  from the main SAT screen. A window appears that displays all user accounts.
2. Click the 'Configure System Roles' icon , from the User Administration screen.
3. Click to highlight the role 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 is 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 top of the User Administration screen. A preview of the System User Report is 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.

System Users
 Date: 03/13/2006 12:36:02PM
 Printed By: sharon b

Login	Full Name	Create Date	Last Access Time	Role Name
katheryn	katheryn k	03/10/2006	03/13/2006 12:33:27 PM	Cashier
admin	System Administrator	03/08/2006	03/08/2006 12:49:12 PM	Administrator
johnny	johnny d	03/09/2006	03/13/2006 12:19:57 PM	Supervisor
david d	david d	03/09/2006	03/13/2006 12:21:08 PM	Cashier
robert	robert l	03/10/2006	03/10/2006 9:12:35 AM	Cashier
sharon	sharon b	03/08/2006	03/13/2006 12:21:19 PM	POC

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).

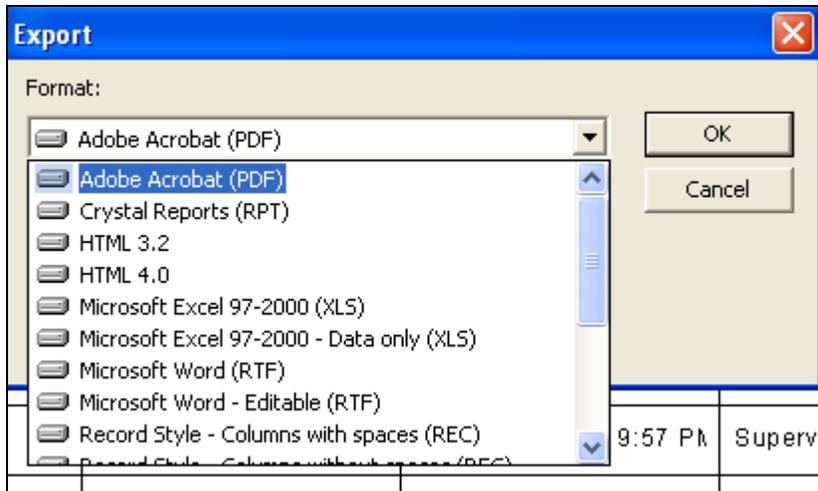


Figure 3.28

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.

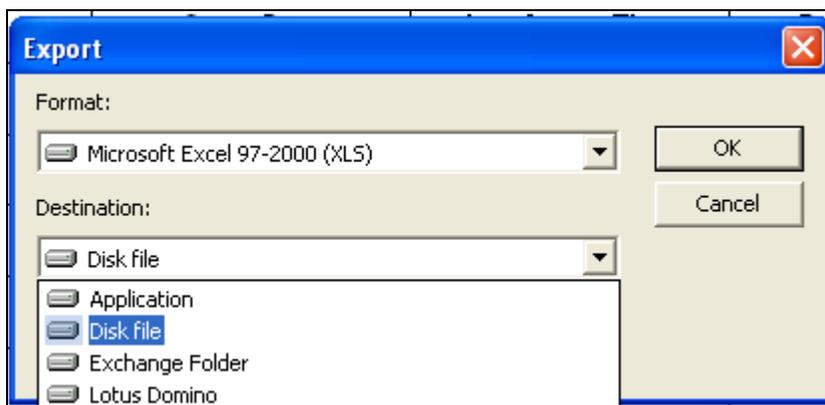


Figure 3.29

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 appears (Figure 3.30).

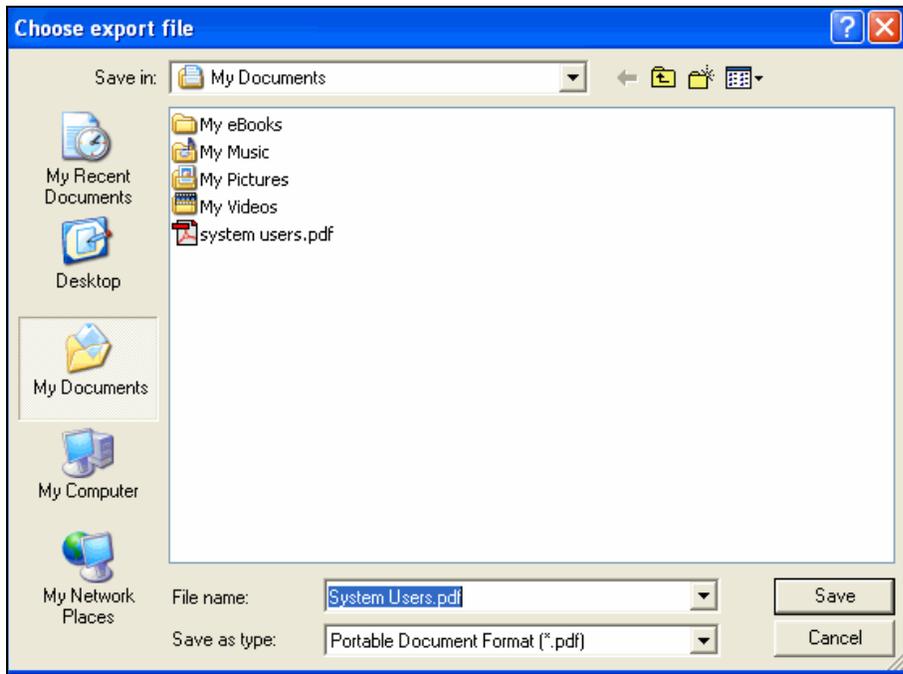


Figure 3.30

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 replies with the message, "Search could not find any more instances of the specified text after this page". Click OK.

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).

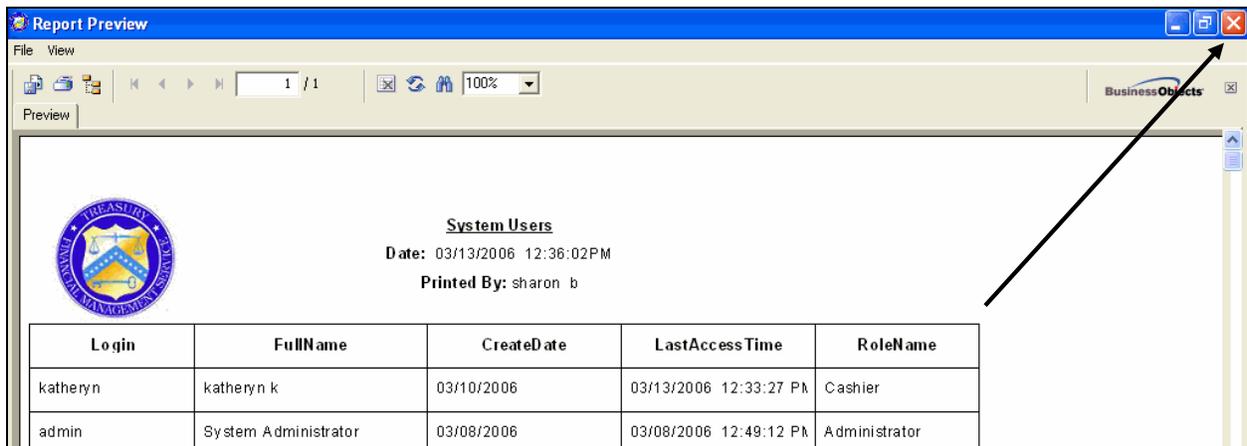


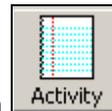
Figure 3.31

System Activity Log

The system activity log records all interaction between the user and the PCC OTC system. Selecting various

Warning: It is recommended that agencies monitor the activity log at least once a month. The POS is configured to save the activity log for 365 days, which is the minimum recommended setting. Entries older than the configured setting will be overwritten. (The activity log can be setup to be automatically retained for as many as 1,095 days but this will use more hard disk space on your computer.) Agencies that wish to keep more than 365 days should print or export the activity log. It can be exported in a .csv format and opened in a spreadsheet program. In the event of a hard drive failure, the activity log will be lost so agencies may wish to export the activity log on a regularly scheduled basis.

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).

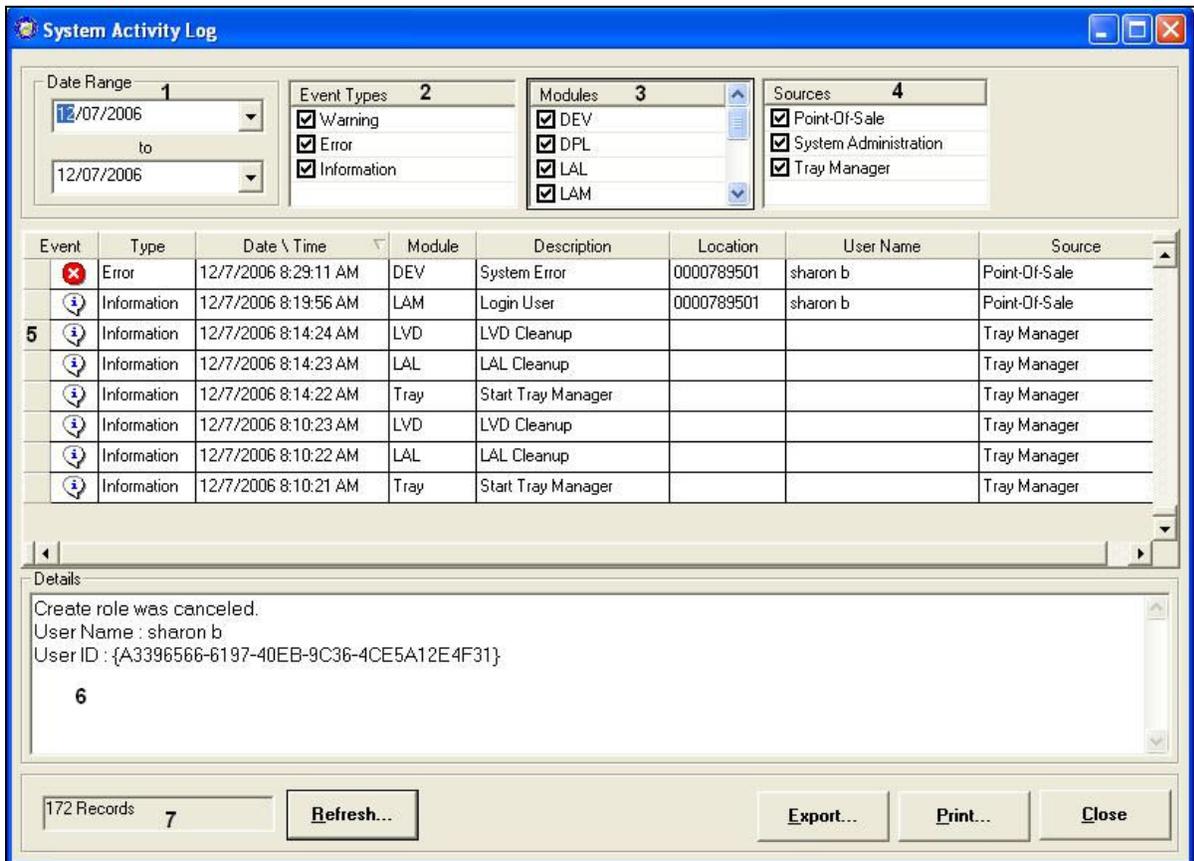


Figure 3.32

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 appears 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 should be eliminated from view.
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 should be eliminated from view..
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 allows the log to be opened in other programs such as spreadsheet software. There may be times when the Treasury OTC Support Center 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 the location processes high volumes of checks, a more frequent schedule may be appropriate, because activity file data is 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'**. A report preview screen is displayed. Click the printer icon at the top of the screen to print the log.

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. Name and save the file on the 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 Treasury OT C Support Center.

Note: When the audit log is exported, the date/time column may not display correctly, as pictured below in Figure 3.32.1. To correct the problem, adjust the column width in order to view all of the data (see Figure 3.32.2). Columns may also need to be formatted as general text fields for data to appear correctly. Consult your spreadsheet documentation for complete instruction.

C1		fx DateAndTime					
A	B	C	D	E	F	G	H
EventType	SourceName	DateAndTime	UserName	Brief	Details		
Information	System A	#####	sharon b	Login User	Logon		
Information	Point-Of-S	#####	sharon b	Logout Us	User		
Information	Point-Of-S	#####	sharon b	Export Act	Export		
Information	Point-Of-S	#####	sharon b	Authorize	Authorize		
Information	Point-Of-S	#####	sharon b	Login User	Logon		
Information	Tray Mana	#####		LVD Clean	Deleted		
Information	Tray Mana	#####		LAL Clean	Trim		
Information	Tray Mana	#####		Start Tray	Start		
Information	Tray Mana	#####		LVD Clean	Deleted		
Information	Tray Mana	#####		LAL Clean	Trim		
Information	Tray Mana	#####		Start Tray	Start		
Information	Tray Mana	#####		LVD Clean	Deleted		
Information	Tray Mana	#####		LAL Clean	Trim		
Information	Tray Mana	#####		Start Tray	Start		
Information	Tray Mana	#####		LVD Clean	Deleted		
Information	Tray Mana	#####		LAL Clean	Trim		

Figure 3.32.1

	A	B	C ↔	D	E	F
1	EventType	SourceName	DateAndTime	UserName	Brief	Details
2	Information	System A	4/15/2008 7:36	sharon b	Login User	Logon
3	Information	Point-Of-S	4/15/2008 7:35	sharon b	Logout Us	User
4	Information	Point-Of-S	4/15/2008 7:35	sharon b	Export Act	Export
5	Information	Point-Of-S	4/15/2008 7:34	sharon b	Authorize	Authorize
6	Information	Point-Of-S	4/15/2008 7:34	sharon b	Login User	Logon
7	Information	Tray Mana	4/15/2008 7:10		LVD Clean	Deleted
8	Information	Tray Mana	4/15/2008 7:10		LAL Clean	Trim
9	Information	Tray Mana	4/15/2008 7:09		Start Tray	Start
10	Information	Tray Mana	4/14/2008 7:42		LVD Clean	Deleted
11	Information	Tray Mana	4/14/2008 7:42		LAL Clean	Trim
12	Information	Tray Mana	4/14/2008 7:42		Start Tray	Start
13	Information	Tray Mana	4/11/2008 8:01		LVD Clean	Deleted

Figure 3.32.2

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 the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com for assistance or refer to the *Troubleshooting* chapter of this User Manual.

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 5.4. 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 the 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 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 appears and the new Data Entry Screens are applied.

Note: Verify the configuration information is the same as the failed POS computer's information, if unsure call the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com 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 the Login and Password.

11. Select **'File'**, then **'Configuration'** from the menu.

Click the **'Application'** tab to change the Terminal ID field, so it matches the non-functioning POS terminal. If unsure of this information contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

12. Select the correct cashflow as **'Mixed'** or **'Non Personal Only'**.

13. Select **'Apply'** to apply the change), and **'Close'** to close the Configuration window screen.

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

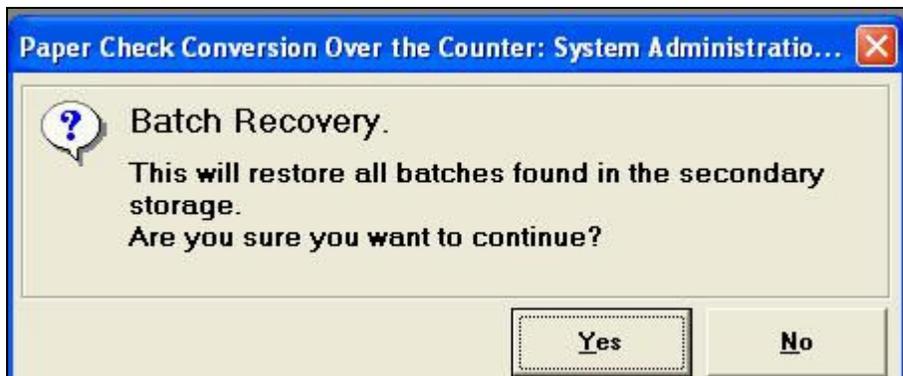


Figure 3.33

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

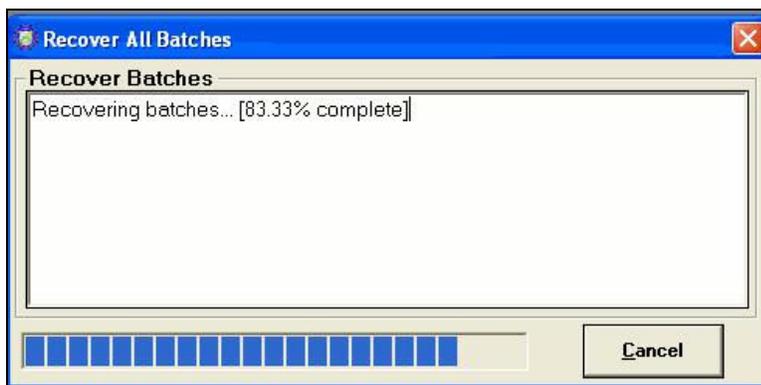


Figure 3.34

16. The following message appears when the batch recovery is complete. (Figure 3.35)

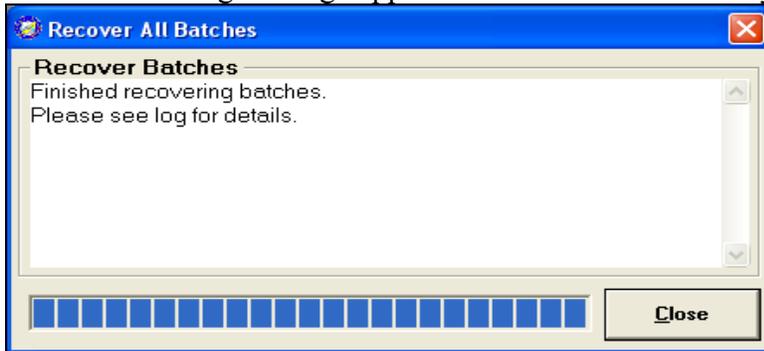


Figure 3.35

17. Check the SAT activity log to verify the batch recovery was successful. If it was unsuccessful, reset (remove then replace) the backup device (if PCMCIA, zip or flash drive) and reselect Batch Recovery or call the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.
18. Once complete, the cashier has 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 User Manual. Balance with item count and dollar amount before transmitting the batch.
19. 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 was 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 are 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,**

verification of checks presented does not occur. 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 appears: (Figure 3.36)

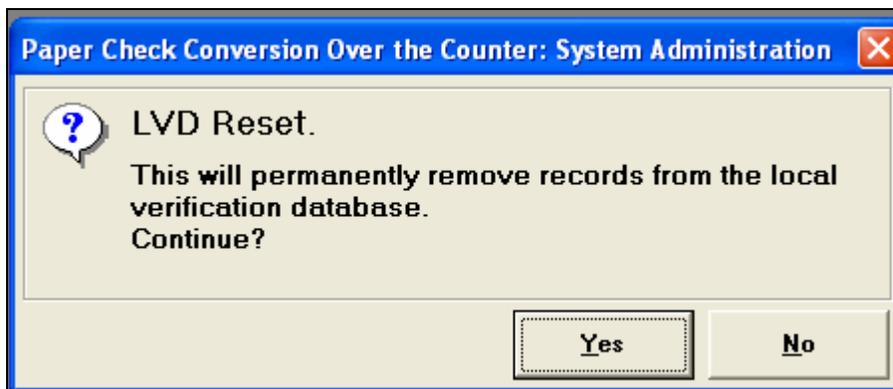


Figure 3.36

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 User Manual.

Help – About PCC OTC - SAT

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

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

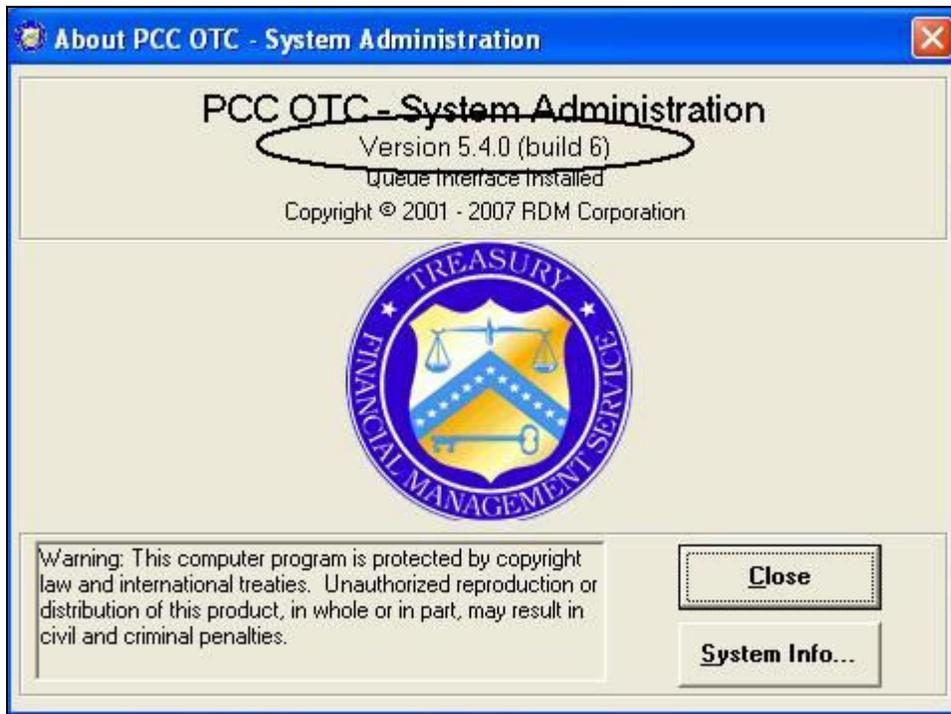


Figure 3.37

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

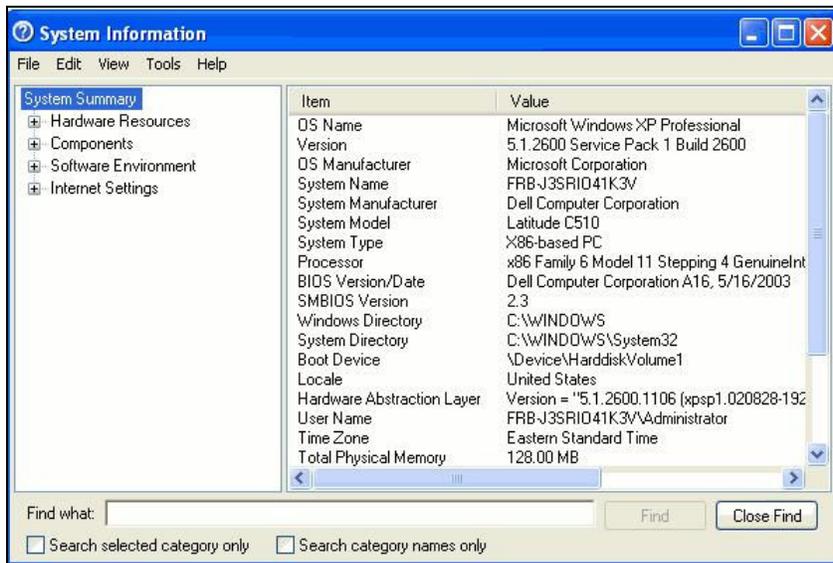


Figure 3.38

Help – other menu options

By clicking on 'Help' from the SAT menu, the system displays three choices; '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 in using the software. An example of POS Activity Log Messages is displayed in Figure 3.40.

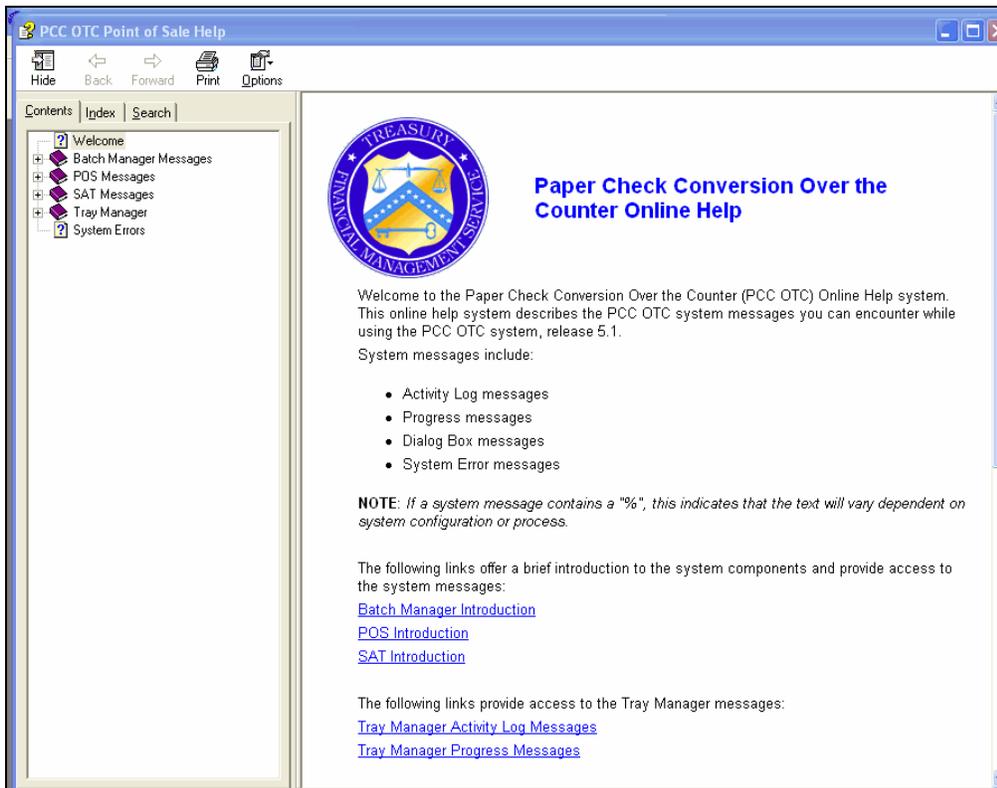


Figure 3.39

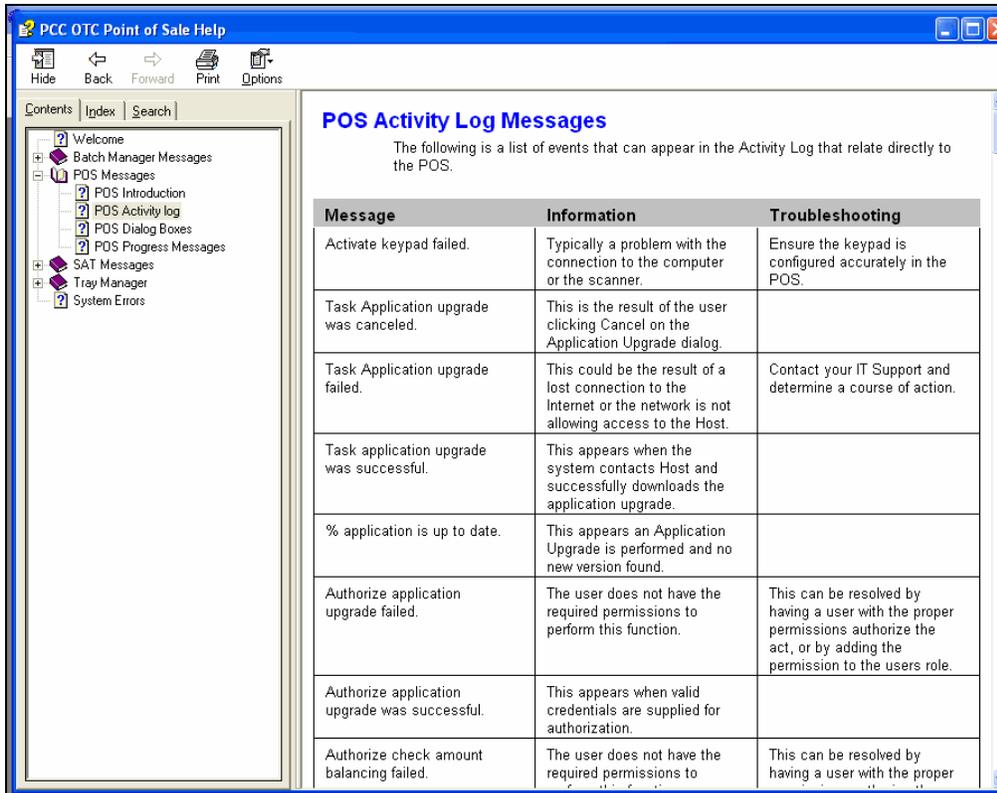


Figure 3.40

- 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)

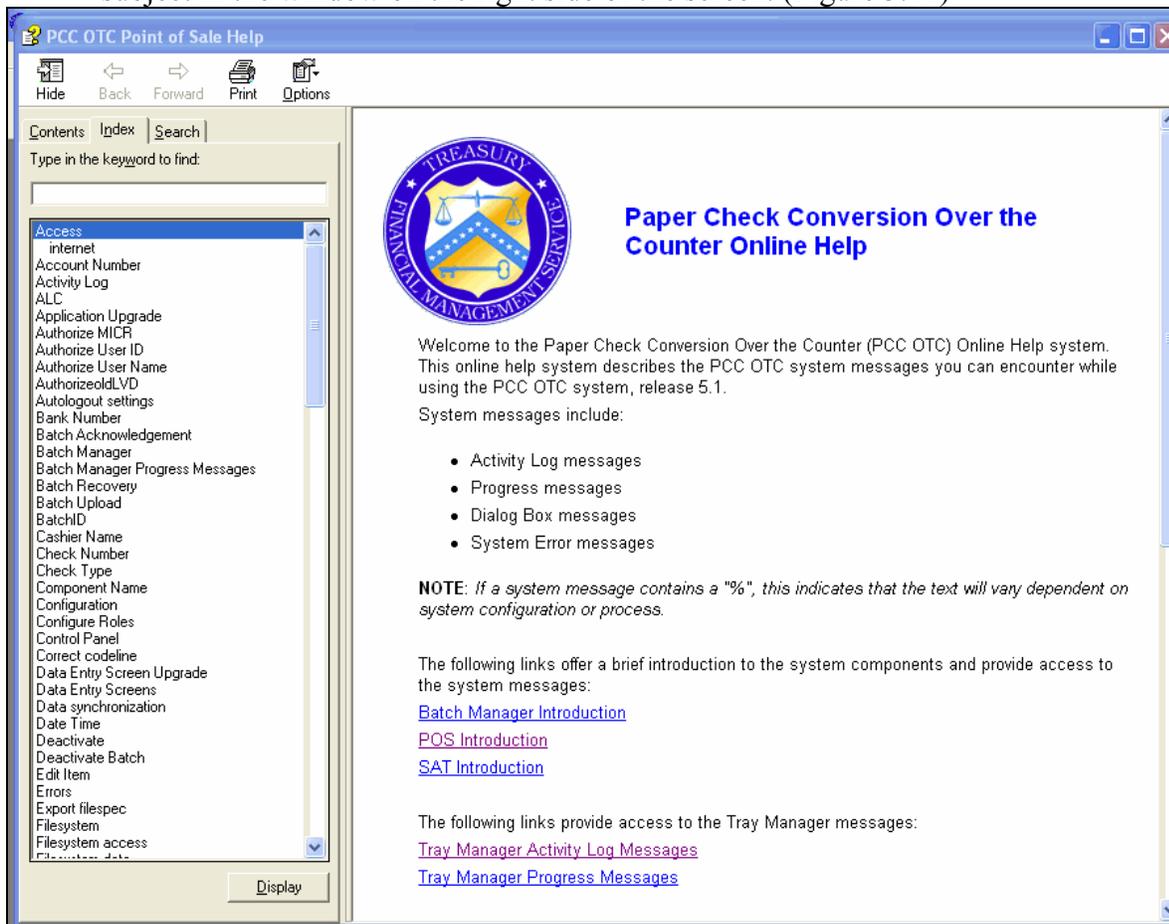


Figure 3.41

- 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.

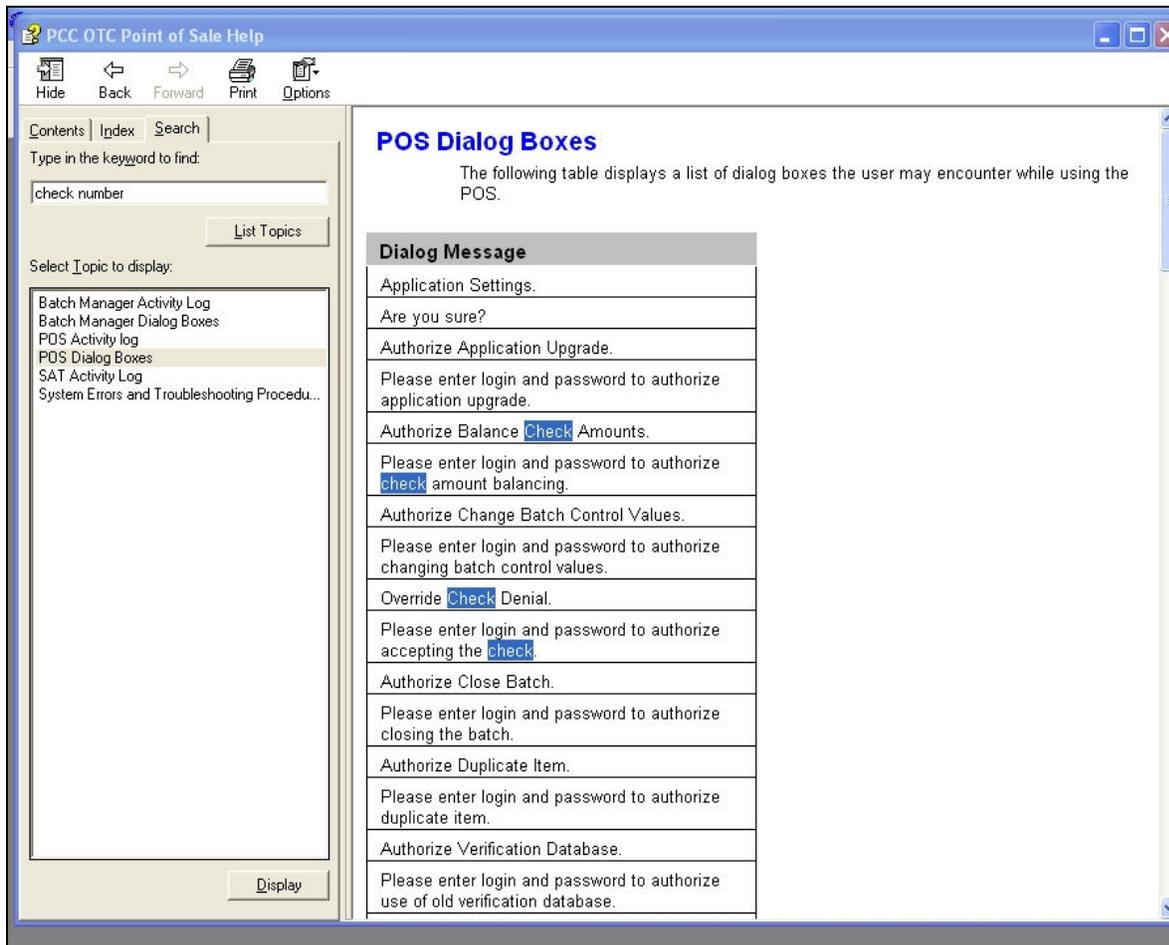


Figure 3.42

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 appears (Figure 3.43)

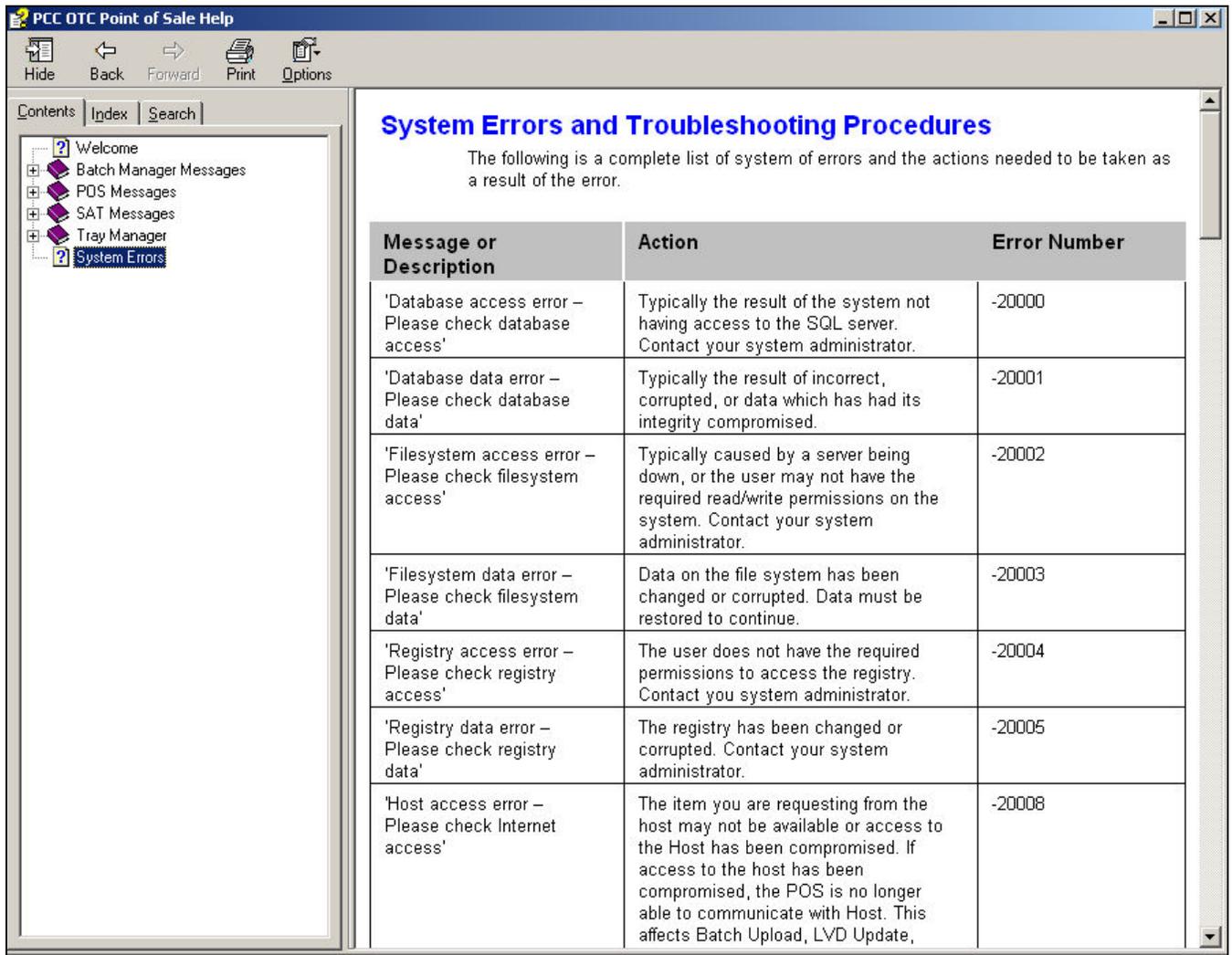


Figure 3.43

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

Supplement

System Administration Tool- SAT Security Best Practices

January, 2009
Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	

Table of Contents

Glossary of Acronyms	4
Purpose	5
What is P I I?.....	5
Secondary Storage	5
Access Control	6
Risk Assessment.....	8
Personnel Security and Procedures.....	9
Physical and Environmental Protection	11
Contingency Planning.....	13
Configuration Management.....	15
System Maintenance	16
System and Information Integrity	17
Media Protection	19
Incident Response.....	21
Awareness and Training.....	22

Glossary of Acronyms

CFR – Code of Federal Regulations

ELVIS - **EL**ectronic **V**erification **I**maging **S**ystem. ELVIS is the host application where all check images are stored.

FIPS – Federal Information Processing Standards

FISMA – Federal Information Security Management Act

FRB-C – Federal Reserve Bank of Cleveland

NIST – National Institute of Standards and Technology

OMB – Office of Management and Budget

PCC OTC – Paper Check Conversion Over the Counter

PII – Personally Identifiable Information

POC – Point of Contact. The person who has access to the SAT (System Administration Tool) and can add/delete/update users in the POS, or make configuration changes in the SAT.

POS – Point Of Sale. A component is the PCC OTC system. The POS is the PC-based software to capture images of the check along with transaction data.

SAT – System Administration Tool. A module used in the POS system for setting up and managing system security and configuration.

USB – Universal Serial Bus is a connection port on a computer that is universally compatible with many types of devices, such as, printers, speakers, mouse, flash drives, etc. Can support speeds of up to 12Mbps.

PCC OTC Security Best Practices

Purpose

The document was written to provide security best practices for the PCC OTC system that will guide agencies toward FISMA (Federal Information Security Management Act) compliance. This document outlines points from the *NIST Special Publication 800-53*. Each Agency's internal guidelines should take Treasury security best practices into consideration. Please refer to *NIST Special Publication 800-53* for complete text of the 'Recommended Security Controls for Federal Information Systems'.

What is P I I?

Personally Identifiable Information (P I I) is information about an individual maintained by an agency, including, but not limited to, education, financial transactions, medical history, and criminal or employment history. It includes information which can be used to distinguish or trace an individual's identity such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc (*OMB M-06-19 (July 12, 2006)*).

PCC OTC Batch information contains PII information. It is therefore critical that this data be secured to prevent unauthorized access to this highly sensitive information.

Secondary Storage

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. The number of days that the data is stored on the storage device is configured within the SAT of the POS computer. The PCC OTC secondary storage device could be in the form of a folder on a LAN drive, a smartcard, a zip disk or a USB flash drive. Without the secondary storage, daily processing information would not be retained and would not be available for transmission or batch recovery in the event of a computer failure.

Special precautions are necessary in order to safeguard the sensitive information that is stored on the secondary storage drive, especially if that storage drive is in the form of a USB flash drive, smartcard, zip disk or other compact storage device. These small, external media types are very compact and easy to lose or steal. The POS provides a minimum level of encryption to the data stored on the secondary storage drive which may prevent unauthorized users to read the data. Agencies may also consider using additional levels of encryption to protect the data on the secondary storage drive. This can be accomplished by purchasing software that is specifically designed to encrypt data on removable media. (If encryption of stored information is employed as an access enforcement mechanism, the cryptography used must be FIPS 140-2 compliant. For additional information, see section SC-13 of the *NIST Special Publication 800-53*.) If additional levels of encryption are used, agencies must ensure that the data can be de-encrypted for use in the event that the data needs to be restored using the POS 'Batch Recover' function. De-encryption will typically involve the use of a password. If the additional level of encryption cannot be removed, the POS will be unable to read the batch data and the batch recovery function will fail. Contact your Information Technology staff to obtain more information.

Access Control

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented access control policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal documented procedures to facilitate the implementation of the access control policy and associated risk assessment controls¹.

Effects on PCC OTC

- ❖ Agencies must identify authorized users of PCC OTC and specify access rights/privileges. Access is granted to PCC OTC based on a valid need-to-know/need-to-share that is determined by assigned official duties and satisfying all personnel security criteria and intended system usage. Agencies must monitor and remove unnecessary access when users are terminated or transferred and associated accounts need to be removed, or when a user's access changes.
- ❖ Agencies enforce separation of duties through assigned access authorizations by establishing appropriate divisions of responsibility and separates duties as needed, to eliminate conflicts of interest in the responsibilities and duties of individuals who have access to the PCC OTC system.
- ❖ Agencies employ the concept of least privilege for specific duties.
- ❖ Agencies enforce a limit of consecutive invalid access attempts by a user. This limit should be no more than three attempts.
- ❖ Agencies must review audit records, i.e., activity logs, of the PCC OTC system for inappropriate activities in accordance with organizational procedures. Agencies must investigate any unusual information system-related activities and periodically review change to access authorizations. N I S T Special Publication 800-92 provides guidance on computer security log management.

In Summary

- Access to the PCC OTC should be given to users at the lowest level available that still allow the user to perform their job duties. For information on POS and ELVIS roles and permissions, please refer to the *SAT* chapter of the *PCC OTC User Manual*, 'User Administration' section, and the *ELVIS* chapter of the *PCC OTC User Manual*, 'What is PCC OTC?' section.
- Review separation of duties for users performing tasks on the POS computer. For example, users that key in batch information should not have access to the SAT to add or edit users, or make changes to configurations settings. Separation of duty can be taken a step further by assigning permission to perform voids, batch close/transmission, and batch input to different individuals.
- Ensure that the maximum number of failed login attempts to the POS computer has not been altered to a number higher than 3. For complete instructions, please refer to the *SAT* chapter of the *PCC OTC User Manual*, 'System Configuration' section.

¹ This process should be documented within the agency's User Manual.

- Review and certify POS users yearly. FMS performs annual certification of users for the ELVIS system. Local procedures should be established for performing recertification of POS users on each POS computer. PCC OTC Point of Contact should print out a listing of users and their associated roles/permissions in the SAT and re-evaluate their POS job responsibilities. Complete instructions for printing this list can be found in the *SAT* chapter of the *PCC OTC User Manual*, 'User Administration' section.

Risk Assessment

N I S T Special Publication 800-53 Guidance

Agency develops, disseminates, and periodically reviews/updates:

1. A formal documented risk assessment policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal documented procedures to facilitate the implementation of the risk assessment policy and associated risk assessment controls.

Effects on PCC OTC

Risk assessment identifies risk through a formal process and makes a conscious decision to accept, mitigate, or avoid that risk. Agencies can request a Business Risk Assessment template that will assist them in their risk assessment of the PCC OTC system in their environment. To request the template, contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Also, refer to *FIPS Pub 199, Standards for Security Categorization of Federal Information and Information Systems*, which can be used to categorize and measure risk of information and information systems.

Personnel Security and Procedures

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented personnel security policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal documented procedures to facilitate the implementation of the personnel security policy and associated personnel security policy and procedure controls.

Effects on PCC OTC

- ❖ Assign a risk designation to all positions and establish screening criteria for individuals filling those positions. (*N I S T Special Publication 800-12 and 5 CFR 731.106(a) and Office of Personnel Management policy and guidance*).
- ❖ Screen individuals requiring access to the PCC OTC system and PCC OTC information before authorizing access. (*5 CFR 731.106(a) and Office of Personnel Management policy, regulations, and guidance; organizational policy, regulations and guidance; FIPS 201 and Special Publication 800-73 and 800-76; and the criteria established for the risk designation of the assigned position*)
- ❖ Ensures completion of the appropriate access agreements, i.e., Rules of Behavior, Privacy Statement, Accessibility Statement, and all information security access forms for individuals requiring access to PCC OTC before authorizing access.
- ❖ Establish personnel security requirements for third-party providers, i.e., service bureaus, contractors, and other organizations providing PCC OTC information technology services or network management, and monitor the provider to ensure adequate security. (*N I S T Special Publication 800-35*).
- ❖ Establish a formal disciplinary process for individuals that blatantly disregard security procedures.. The process can be included as part of the general personnel policies and procedures.
- ❖ When employment is terminated, or individuals are reassigned or transferred to other positions within the agency, terminate access to the PCC OTC system and to PCC OTC information (both the POS and ELVIS), ensure the return of all PCC OTC related property, i.e., printouts, flash drives used as secondary storage, etc., and ensure that the appropriate personnel have access to official records created by the terminated employee that are stored on the PCC OTC system or paper files.

In Summary

- Assign a risk category or designation to all positions associated to the PCC OTC system and screen individuals before granting access to the system.
- Make certain users read and understand the PCC OTC ‘Rules of Behavior’, ‘Privacy Statement’ and ‘Accessibility Statement’ available through links on the ELVIS sign-on screen, prior to using the system.
- Ensure that the necessary information security forms have been completed (‘PCC OTC Security Contact form’ which is used to designate the PCC OTC Security Contact(s), and the ‘PCC OTC User Access Request spreadsheet’ which is used to request user access to the ELVIS application). Only

authorized users can gain access to the ELVIS application. PCC OTC Security Contacts must submit a PCC OTC User Access Request spreadsheet for all access requests. Both forms can be found on the PCC OTC information website at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>.

- Exiting users should no longer be in possession of POS equipment, i.e., access to or possession of the PCC OTC computer, USB flash drive, software or printed materials. Make certain that all POS equipment and printed material is available for the new person filling the position by ensuring that the equipment and material has been relinquished by the former employee.
- When an employee quits or changes their position, delete their access to both the POS and ELVIS. For information on how to delete users from the POS system, please refer to the *SAT* chapter of the *PCC OTC User Manual*, 'User Administration' section. For information on how to delete users from the ELVIS system, please refer to the *ELVIS* chapter of the *PCC OTC User Manual*, 'Accessing the *ELVIS URL*' section.
- Ensure that third-party service providers have adequate security in place with regard to the PCC OTC system.
- Establish procedures to follow when an employee fails to follow the security policies and procedures.

Physical and Environmental Protection

NIST Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented physical and environmental protection policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the physical and environmental protection policy and associated physical and environmental protection policy controls.

Agencies should control physical access points (including designated entry/exit points) to facilities containing information systems (except for those areas within the facility that are officially designated as publicly accessible) and verify individual access authorizations before granting access to the facility. The agency also controls access to areas officially designate as publicly accessible, as appropriate, in accordance with the agency's assessment of risk.

Effects on PCC OTC

- ❖ Agencies control physical access to all PCC OTC equipment including the screen display to prevent unauthorized individuals from observing/viewing the screen's display output.
- ❖ Agencies develop and keep current lists of personnel with authorized access to the area containing the PCC OTC system. Designated authorized individuals within the agency should review and approve access list at least annually. The agency promptly removes personnel no longer requiring access to the area containing the PCC OTC system.
- ❖ Agencies control physical access to the PCC OTC computer by authenticating visitors before authorizing access to the area that houses the PCC OTC system in areas that are not designated as publicly accessible.
- ❖ Agencies monitor physical access to the PCC OTC system to detect and respond to incidents.
- ❖ Agencies protect power equipment and power cabling for the PCC OTC system from damage and destruction.
- ❖ Agencies provide a short-term, uninterruptible power supply to facilitate an orderly shutdown of the PCC OTC system in the event of a primary power source loss. The hardware should be obtained through your internal procurement channels. A long term power supply option should also be considered in the event of an extended loss of the primary power source.
- ❖ Agencies control PCC OTC system-related items, i.e., hardware, firmware, software, when such items are entering and/or exiting the facility; and maintain appropriate records of those items.
- ❖ Individuals within the agency should employ appropriate PCC OTC security controls at alternate work sites. (*NIST Special Publication 800-46*).
- ❖ Agencies are responsible for securing PCC OTC scanners, peripheral equipment, checks, and other sensitive information in locked rooms, locked cabinets, or security containers supported by appropriate key control and other physical security controls.
- ❖ To the extent that the operational environment allows, PCC OTC scanners and check processing should be done in controlled environments such as steel cages, cashier cages, behind glass windows, and within offices where access to the PCC OTC system and peripheral equipment can be physically controlled.

In Summary

- Know who has physical access to the area that houses the PCC OTC computer.
- Ensure that unauthorized individuals cannot view the computer screen of the PCC OTC computer.
- Ensure that the PCC OTC hardware and software is secured, controlled, and monitored when entering or exiting the building.
- If, as in the case of military agencies, a ‘down-range’ environment is necessary, ensure that all security controls are in place to secure the equipment at the alternate work site.
- For military agencies and other agencies operating in remote or field locations, deploy appropriate physical security and access controls to limit unauthorized access to and unauthorized disclosure of PCC OTC processing areas and information.

Contingency Planning

NIST Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented contingency planning policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the contingency planning policy and associated contingency planning policy controls.

The agency develops and implements a contingency plan for the PCC OTC system addressing contingency roles, responsibilities, assigned individuals with contact information, and activities associated with restoring the system after a disruption or failure. Designated officials within the agency review and approve the contingency plan and distribute copies of the plan to key contingency personnel (*NIST Special Publication 800-34* provides guidance on contingency planning).

Effects on PCC OTC

- ❖ Agencies train personnel in their contingency roles and responsibilities with respect to the PCC OTC system and provide refresher training.
- ❖ Agencies test the contingency plan for the PCC OTC system at least on an annual basis to determine the plan's effectiveness and the agency's readiness to execute the plan. The test plan results are reviewed by the appropriate officials at the agency who initiate corrective action.
- ❖ Agencies review the contingency plan at least annually and revises the plan to address system/organization changes or problems encountered during plan implementation, execution, or testing.
- ❖ Agencies identify an alternate storage site and initiates necessary agreements to permit the secured storage of PCC OTC backup information which can include storage of backup hardware, i.e., extra scanners, and backup copies of software, etc.
- ❖ Agencies identify an alternate processing site and initiates necessary agreements to permit the resumption of the PCC OTC system operations for critical mission/business functions within a pre-determined time period, when primary processing capabilities are unavailable. The alternate site should be geographically separated from the primary processing site so as to not be susceptible to the same hazards.
- ❖ Agencies identify primary and alternate telecommunications services to support the PCC OTC system and initiates necessary agreements to permit the resumption of system operations for critical mission/business functions with a pre-determined timeframe when the primary telecommunications capabilities are unavailable.
- ❖ Agencies conduct backups of user-level and system-level PCC OTC information and stores backup information at an appropriately secured location. Each agency shall determine the appropriate frequency of these backups. Backup and restoration of this data should also be a part of the contingency plan testing.
- ❖ Agencies store backup copies of the operating system and other critical PCC OTC software in a separate facility or in a fire-rated container that is not collocated with the operational software.

- ❖ Agencies perform backups of the PCC OTC hard drive on a regular basis and store the backup in a secured location.
- ❖ Agencies employ mechanisms with supporting procedures to allow the PCC OTC system to be recovered and reconstituted to the system's original state after a disruption or failure.

In Summary

- Create a contingency plan and keep it current.
- Ensure people are trained to handle a contingency situation.
- Test the contingency plans yearly to ensure that hardware, communication medium, and software is in working order and current.
- Store a back copy of the POS software and printouts of user information in a secured area.
- Consider having a backup PCC OTC computer and PCC OTC related hardware, i.e., scanner, secondary storage, etc.
- Consider having PCC OTC related hardware and/or software backups also located off premises in a secured location. A backup of the PCC OTC hard drive should be performed on a regular basis.
- Extra scanners can be ordered and stored at an alternate site as backups in case of a failure or disruption. For addition information on ordering extra scanners, please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option.
- In the event of a failure or disruption, scanners can be delivered overnight to locations within the 48 contiguous states. Delivery will take longer for areas outside of this zone.
- Consider alternate processing sites.

Configuration Management

NIST Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented configuration management policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the configuration management policy and associated contingency planning policy controls.

The agency develops, documents, and maintains a current, baseline configuration of the PCC OTC system and an inventory of the system's constituent components.

Effects on PCC OTC

- ❖ Agencies should keep an inventory of the PCC OTC hardware and software. This inventory should include manufacturer, type, serial number, version number, and location (physical and logical within the architecture). This inventory should be kept current and changes should be documented.
- ❖ Ensure that PCC OTC security settings are defaulted to the most restrictive mode and should not be changed.
- ❖ Agencies should restrict access to the configuration information set within the POS to a select few authorized individuals.

In Summary

- Keep a current, documented listing of all of the PCC OTC hardware and software.
- Periodically check to make certain that the PCC OTC SAT (System Administration Tool) configuration settings are set to the recommended defaults as follows:

To view the SAT 'System Configuration' settings, an authorized user should sign on to the SAT and click the 'System' icon. Defaults for the General tab should be:

- Maximum failed Login attempt - 3
- Auto logout – should be checked and inactive minutes set to 15
- Batch Delete Age – 7 days (only 7 days of batches should be retained to reduce the amount of personal information stored on the hard drive of the POS computer and its secondary storage device. Higher amounts of stored P I I data equates to higher risk of accidental disclosure in the event of unauthorized access to the system, or malicious code.)
- Activity Log retention – 365 day

(See *SAT chapter of the PCC OTC User Manual* for complete instructions)

- Only the designated POC's (Point of Contact) or security contacts should be allowed access to the PCC OTC SAT.
- The POS activity log should be regularly reviewed for suspicious activity. Evidence or indicators of increased risks to the PCC OTC system and associated information must be responded to with more aggressive audit monitoring, more frequent review of audit logs, and the use of additional monitoring tools as appropriate. The activity log can be accessed by authorized personnel via the SAT and clicking on the 'Activity' icon. A complete explanation on how to read the activity log can be found in the *SAT chapter of the PCC OTC User Manual*, 'User Administration' section.

System Maintenance

NIST Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented system maintenance policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the system maintenance policy and associated system maintenance policy controls.

Effects on PCC OTC

- ❖ The system maintenance policy ensures that the agency schedules, performs, and documents routine preventative and regular maintenance on the PCC OTC components in accordance with the manufacturer or vendor specifications and/or agency requirements.
- ❖ All maintenance activities are controlled whether the equipment is serviced on site or removed to another location.
- ❖ Remove sensitive information from the PCC OTC system components (if feasible) when the components must be removed from the facility when repairs are necessary. This can be accomplished by backing up the PCC OTC hard drive to another medium such as CDs or an external hard drive then deleting the PCC OTC from the computer. When repairs have been complete, the data can then be restored. Secondary storage devices that contain sensitive data, i.e., flash drives, zip disks, CD-ROMs, and smart cards should be removed from the computer prior to servicing and stored in a secure location.
- ❖ Agencies approve, control, and monitor the use of maintenance tools used on the PCC OTC system, and maintains the tools on an ongoing basis.
- ❖ Agencies maintain a list of personnel authorized to perform maintenance on the PCC OTC system. Only those authorized personnel should be allowed access to perform maintenance on the system.

In Summary

- Regularly scheduled preventative maintenance should be performed on the POS computer, i.e., disk optimization tools, virus checking tools, etc., by authorized personnel only. Contact your local I T department for information on the tools authorized for use by your agency.
- If a component needs to be removed for repairs, all sensitive information should be removed. P I I may be contained in the form of names, account numbers, social security numbers, etc., within a POS batch on either the computer's hard drive or secondary storage. This also applies to repairs on LAN drives that may be used as a primary or secondary storage area for POS batch data.
- For agencies located in a dusty/sandy environment, PCC OTC computer equipment (computers and scanners) should be regularly cleaned with canned air.

System and Information Integrity

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented system and information integrity policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the system and information integrity policy and associated system and information integrity policy controls.

Effects on PCC OTC

- ❖ Agencies identify information systems containing proprietary or open source software affected by recently announced software flaws and potential vulnerabilities resulting from those flaws. The agency should promptly install new released security relevant patches, service packs, and hot fixes, and test patches, service packs, and hot fixes for effectiveness and potential side effects on the PCC OTC before installation. (*N I S T Special Publication 800-40* provides guidance on security patch installation)
- ❖ Agencies implement malicious code protection on the PCC OTC system that includes a capability for automatic updates. Agency employs virus protection mechanisms at critical information system entry and exit points, i.e., firewalls, electronic mail servers, remote-access servers at workstations, servers, or mobile computing devices on the network and uses the virus protection mechanisms to detect and eradicate malicious code, i.e., viruses, worms, Trojan horses that can be transported by email, email attachments, internet access, removable media such as diskettes, CDs or flash drives, or by exploiting vulnerabilities.
- ❖ Virus protection mechanisms should be updated whenever new updates are available.
- ❖ Agencies employ tools and techniques to monitor events on the PCC OTC system, detect attacks, and provide identification of unauthorized use of the system. This applies to both the POS computer and any computer used to access the ELVIS system.
- ❖ Agencies implement tools to prevent spam and spyware.
- ❖ Agencies restrict information input to the PCC OTC system to authorized personnel only.
- ❖ Agencies check the PCC OTC information input for accuracy, completeness, and validity. PCC OTC information includes the scanned check data, and all input fields such as the dollar amount and user defined fields.
- ❖ The agencies identify and handle error conditions in an expeditious manner.
- ❖ The agencies handle and retain output, e.g., reports, check images, etc., from the PCC OTC in accordance with policy and operational requirements.

In Summary

- Protection against viruses, spyware and all other forms of malicious code on both the PCC OTC computer and all removable media used on the PCC OTC system (diskettes, CDs, flash drives) should be in place.
- Although the N I S T 800-53 document recommends keeping your computer up to date with the latest security patches, hot fixes and service packs, it is up to each agency to determine the feasibility of installing every patch or fix and installation may need to be considered on a case-by-case basis.

Consult your network support staff for more information. Only Windows 2000, Service Pack 4 and Windows XP Professional, Service Pack 2 have been validated to work after POS 5.4 is freshly installed. Other variations of Operating System Service Pack releases were upgraded and tested.

Please contact the

PCC OTC Customer Service staff for information about specific SP version validation.

- Regular updates to the virus protection software should be applied.
- Only authorized personnel should have access to the PCC OTC system. If using backup personnel to perform PCC OTC duties for both the POS and ELVIS, backups should be issued their own unique login ID and password. Logins and passwords should never be shared under any circumstances.
- Verification practices should be used to ensure accuracy of input. Batch control options can be setup by authorized personnel by logging into the POS and choosing, 'File', 'Configuration' and setting the batch control options on the 'Application Tab'. Batch Control is an optional feature that can be used as a batch balancing tool to ensure that the number of batched keyed and their respective dollar amounts have been accurately input. A complete explanation of how to use these settings for maximum control can be found in the *Daily Processing* chapter of the *PCC OTC User Manual* in the 'Batch Control' section.
- Verification practices can also include the use of the POS Batch List feature, to verify batch transmission totals. For a full explanation of how to use the Batch List feature, please refer to the *Daily Processing* chapter of the *PCC OTC User Manual* in the 'How to View and Print a Batch List' section. Using this practice can assist in the identification of errors and their effective handling, and lessen the possibility of fraudulent activity.
- To prevent duplicate processing of checks, checks may be hand stamped with 'Electronically Processed' after the transaction is complete and the check has been scanned. The EC6000i and EC7000i scanners 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 the *PCC OTC User Manual*, 'Setting the EC6000i and EC7000i scanner to Frank Acknowledgments' section.

Media Protection

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented media protection policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the media protection policy and associated system and information integrity policy controls.

Due to the nature of the transaction information which includes check images, the PCC OTC media that stores this information is considered PII and must be secured. The PCC OTC media to be protected includes both digital media, i.e., diskettes, external/removable hard drives, LAN drives used for PCC OTC data retention/storage, flash/thumb drives, compact disks, digital video disks, and non-digital media, i.e., paper, microfilm and checks not returned to the check writer. This control also applies to portable and mobile computing and communications devices with information storage capability, i.e., notebook computers, personal digital media assistants, and cellular telephones.

Effects on PCC OTC

- ❖ Agencies ensure that only authorized users have access to PCC OTC information in printed form or on digital media removed from the information system.
- ❖ Agencies affix external labels to removable PCC OTC storage media and PCC OTC system output indicating the distribution limitations and handling caveats of the information. Certain media may be exempted from this labeling as long as they remain within a secure environment.
- ❖ Agencies physically control and securely store the PCC OTC system media, both paper and digital, based on the highest FIPS 199 security category of the information recorded on the media.
- ❖ Agencies sanitize PCC OTC system digital media using approved equipment techniques and procedures. Sanitization is the process used to remove information from digital media such that information recovery is not possible. (N I S T Special Publication 800-36 provides guidance on appropriate sanitization equipments, techniques, and procedures.)
- ❖ Agencies sanitize or destroy PCC OTC digital media before its disposal or release for reuse, to prevent unauthorized individuals from gaining access to and using information contained on the media. (N I S T Special Publication 800-36 provides guidance on appropriate sanitization equipments, techniques, and procedures.)
- ❖ Agencies physically control and securely store PCC OTC system media within a controlled area.

In Summary

- Only authorized users should have access to printed and digital media used for PCC OTC. This means all printouts, hard disks, LAN drives, external hard disks, diskettes, CDs, zip disks, smart cards, and USB flash drives.
- Store and label all removable media (both digital and paper) in a secured location. Labeling could include the restrictions on distributing the media and warnings on handling of the media.
- Properly remove all PCC OTC related data prior to destruction or reuse. Information stored on the PCC OTC's hard drive, secondary storage drive, and printed media may contain personally identifiable information (PII) in the form of names, account numbers, social security numbers, etc. within a POS batch.
- PCC OTC paper output such as batch lists, report printouts, and scanned checks not returned to customers contain P I I information and must be destroyed by shredding. This type of output should never be thrown away with other office trash without shredding.
- Consider additional encryption protection of the information that is contained on the secondary storage drive. The POS provides a minimum level of encryption to the data on the secondary storage drive but additional encryption protection may be used. If additional levels of encryption are used, agencies must ensure that the data can be decrypted in the event that the data needs to be restored using the POS 'Batch Recover' function. Decryption will typically involve the use of a password. If the additional level of encryption cannot be removed, the POS will be unable to read the batch data and the batch recovery function will fail.

Incident Response

NIST Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented incident response policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the incident response policy and associated system and incident response policy controls.

Effects on PCC OTC

- ❖ Agencies train personnel in their security incident response roles and responsibilities with respect to the PCC OTC system and provides refresher training.
- ❖ Agencies track and document PCC OTC system security incidents on an ongoing basis.

Agencies expeditiously report all PCC OTC system security incidents of theft, loss, or data/PII compromise (known or suspected) to the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4, and their own internal authorized security personnel.

In Summary

PCC OTC Point-of-Contacts and users should monitor the PCC OTC system for possible security incidents and report any suspected incidents to the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Awareness and Training

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented security awareness and training policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the security awareness and training policy and associated security awareness and training policy controls.

Security awareness and training ensures that all users (including managers and senior executives) are exposed to basic information system security awareness materials before authorizing access to PCC OTC system and thereafter, at least yearly. Appropriate content of security awareness must be determined and based on the specific requirements of the PCC OTC system. The agency's security awareness program should be consistent with the requirements contained in 5 CFR Part 930.301 and with the guidance in N I S T Special Publication 800-50.

Effects on PCC OTC

- ❖ Users should be familiar with the POS and ELVIS password requirements as outlined in the *PCC OTC User Manual, Appendix R*.
- ❖ Users should be familiar with the ELVIS Security Guidelines which applies to both the POS and ELVIS as outlined in the *PCC OTC User Manual, ELVIS Chapter*.

In Summary

Information that is covered in the PCC OTC Security Awareness Training should include:

- Prevent others from watching while passwords are entered. Prevent others from guessing your password - do not use names of persons, places, or things that can be easily identified with you.
- Login IDs and passwords should never be shared.
- If your password has been compromised, it must be changed immediately.
- Unauthorized use of the system must be reported to Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.
- Log off of the system (both POS and ELVIS) 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 to prevent unauthorized access to the system.
- Security contacts or Point-of-Contacts should be kept current. As soon as an agency is aware of a change in personnel, a new person should be assigned the duties of the security contact to take the place of the exiting person. The exiting person's access should be deleted from both the POS and ELVIS.
- The POS comes with an 'admin' password. The PCC OTC security personnel, or POC's, should be trained on the proper handling of this user and it's associated password. Proper handling includes writing down the password and locking it up. Since the password will need to be changed every 90 calendar days it is important that the written password is updated whenever the password is changed. It should only be available to the POC. For complete information, please refer to *Appendix* chapter of the *PCC OTC User Manual*, section '*Appendix M, Personnel Change Over*'.

- Users should be familiar with the Rules of Behavior, Privacy Statement, and Accessibility Statement prior to using the system. The Rules of Behavior, Privacy Statement, and Accessibility Statement can be found as links at the bottom of the ELVIS sign-on screen.

U.S. Department of the Treasury
Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 4
Batch Manager

January, 2009
Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	

TABLE OF CONTENTS

Batch Manager.....4

Access to Batch Manager6

Opening the application6

 Logging into Batch Manager6

 Changing a password7

 Logging out of the application8

 Closing the application8

The Batch Manager Main Window.....9

Batch Status10

Batch Management Functions12

 Refreshing a batch12

 Changing the Look of the Batch Manager Window12

 Deactivating a Batch14

 Activating a Batch15

 Acknowledging a batch15

 Closing a batch16

 Printing an item or batch17

 Uploading a batch19

 Show item – Print Receipt19

 Edit an item21

 Voiding an item22

About Batch Manager23

 Help23

 Help – other menu options24

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 the computer. Authorized users can also edit, deactivate/activate batches, 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 are described separately in this chapter.

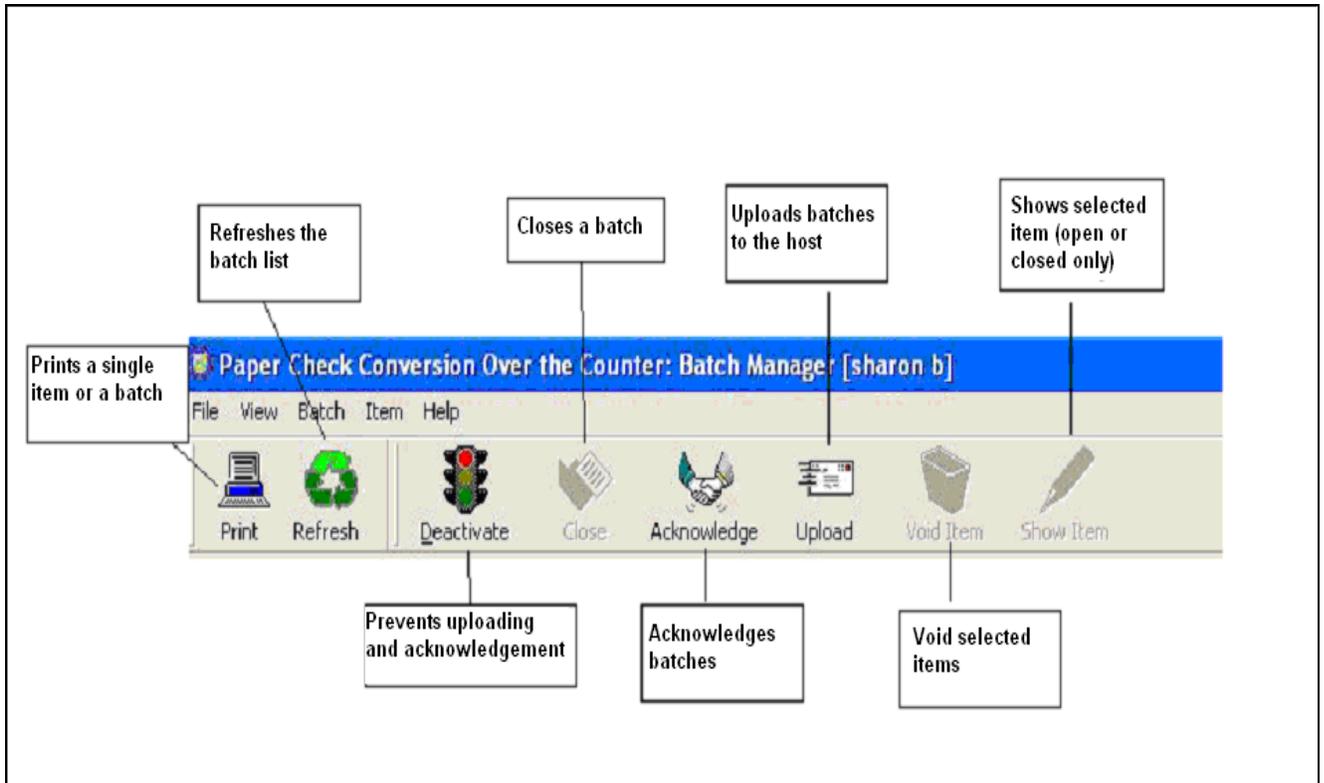


Figure 4.1

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 a user's access within Batch Manager is determined by the POC (Point of Contact).

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 the 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 the password. If a password has already been established 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 is required to change their password. The POC assigns 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 prompts the user to change their password (see *Changing a Password* section below). For complete specifics regarding password requirements, please see *Appendix R – Password Requirements* in the Appendix chapter of this User Manual, or contact the Treasury OTC Support Center.

Changing a password/Password Expiration

Users are required to change their password upon initial login. Passwords expire thereafter every 90 days and need to be changed. Passwords should also be changed if the user feels that their password is 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 the 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 the current password.
4. In the ‘New Password field’, type the 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 resembles 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 A L C+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 the cursor over the line between column headings until a double-sided arrow appears. Click and drag to adjust the size of the column.

	Batch ID	Creator	Location	Created On	Item Count	Total Amount	Status	Status Data	Active	Uploads
+	{5F5BA721-3D48-4804-B5BD-E7E804}	sharon b	0000789502	5/2/2006 1:03:21 PM	2	\$200.00	Open		<input checked="" type="checkbox"/>	0
+▶	{887A3FFC-EC19-453C-98DA-B6C2C0}	madeline x	0000789502	5/5/2006 9:31:41 AM	1	\$100.00	Open		<input checked="" type="checkbox"/>	0

Figure 4.5

Batch ID	Creator	Location	Created On	Item Count	Total Amount	Status	Status Data	Active	Uploads		
{5F5BA721-3D48-4804-B5BD-E7E804}	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	150917770235800000404	sharon b	5/2/2006 1:27:05 PM	0404219949	043312373	0707	\$100.00	Approved	Personal
1	0000789502	Present	150917770235800000402	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-B6C2C0}	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	150917770235800000419	madeline x	5/5/2006 10:45:16 AM	0466863	043403224	3439	\$100.00	Approved	Personal
4	0000789502	Present	150917770235800000406	madeline x	5/5/2006 9:34:18 AM	030420860	043312373	2148	\$32.39	Void	Personal
3	0000789502	Present	150917770235800000405	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 the keyboard. This ONLY temporarily deletes the item from the screen that is currently being viewed. It does not delete the item or the batch. Clicking the 'Refresh' button brings the line back to the viewing screen. Also, once the application is closed then reopened, the item is once again available for viewing.

Batch Status

During batch processing and transmission, batch statuses change depending on the batch state. Batch state determines the functions a user 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.

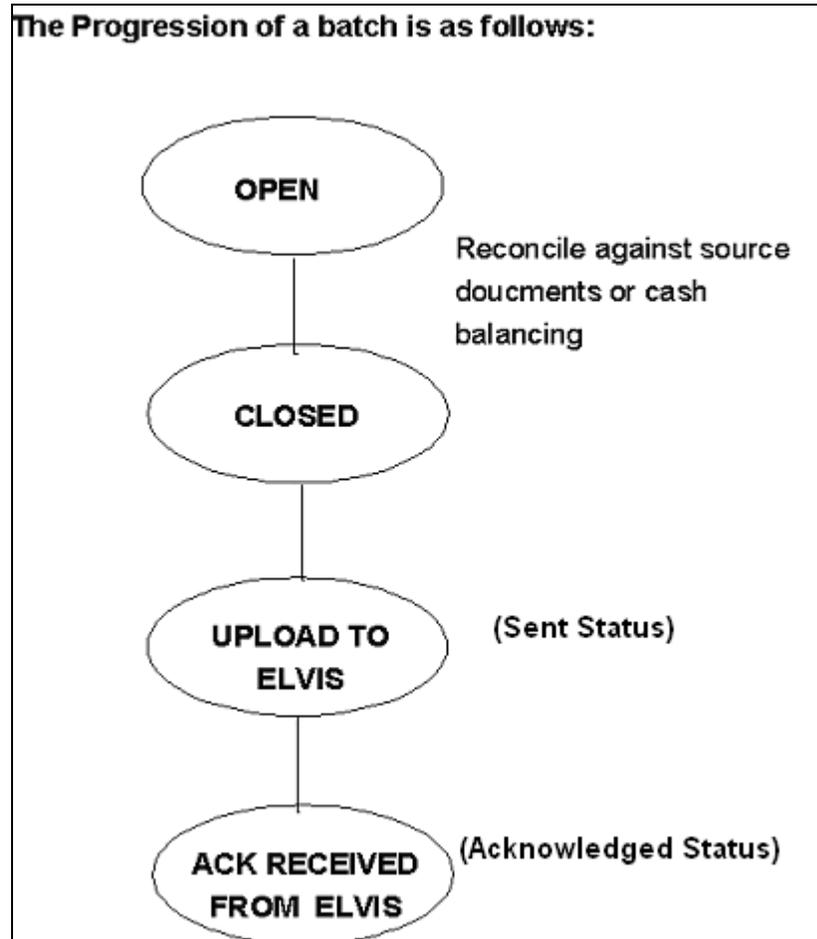
Sent – Batches that have been sent to ELVIS but have not yet been acknowledged. If a user tries to resend a batch that is already in a 'sent' status, ELVIS would indicate to POS that the batch has already been sent and a message as such is presented to the user.

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. A "Send Error" status can also be caused by a bad or corrupted "form".

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 the internet connection or the connection is down. Contact your technical staff to check the

connection. Once the problem has been corrected, the batch should be acknowledged the next time the POS application is started or when a batch is closed for transmission. If an acknowledgement for the batch has not been received, check the status of the batch in ELVIS. An "Ack Error" status can also be caused by a bad or corrupted "form".



Batch Management Functions

Refreshing a batch

While Batch Manager is open, new items or batches can be processed in the POS module. The Batch Manager view can be updated 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 displays any new batches that have been keyed into the POS since the user signed on to Batch Manager. Be aware that the 'Refresh' function closes 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

The Batch Manager window view can be customized by changing the layout of all batch and item tables. Choices include viewing at a batch or item level, changing the color of the table headings, adding or deleting columns, and selecting the order of the columns.

To change the layout:

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

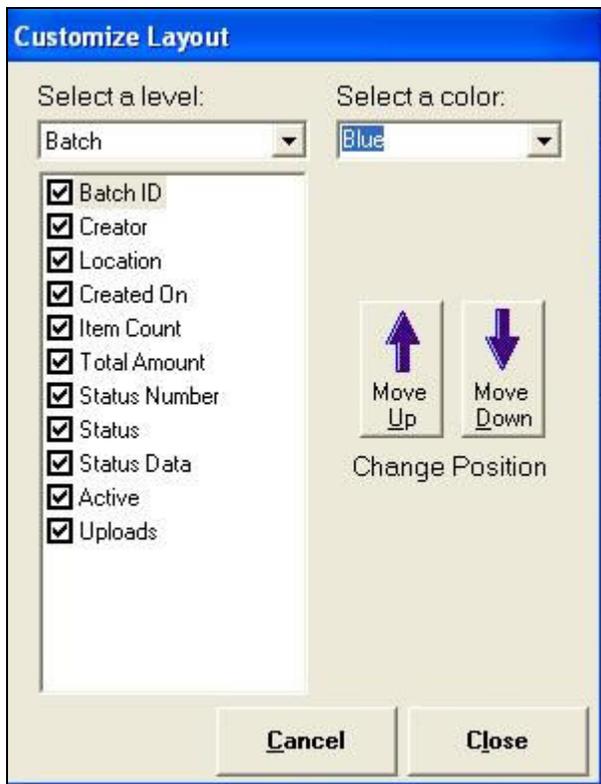


Figure 4.8

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 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. Changes update the Batch Manager window immediately. When finished, click the **'Close'** button.

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 is retained for as long as the configuration settings allow. The default setting is seven days but the POC can alter the default setting to suit the Agency's needs. Only batches that are in an open, closed or error state can be deactivated. A batch cannot be deactivated if it is currently in use and open in the POS. 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 to deactivate.(Figure 4.10)



Figure 4.10

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

Note: Batches that are deactivated are 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 can 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.

Note: *Caution should be used when activating a deactivated batch. The operator needs to first investigate why the batch was deactivated in order to avoid sending a batch in error, or duplicating a previously sent batch.*

To activate a batch:

1. Click to select the batch 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 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 are 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 is unaware of the open batches and does 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 to be closed. The 'Close' icon at the top of the screen becomes active. (Figure 4.12)

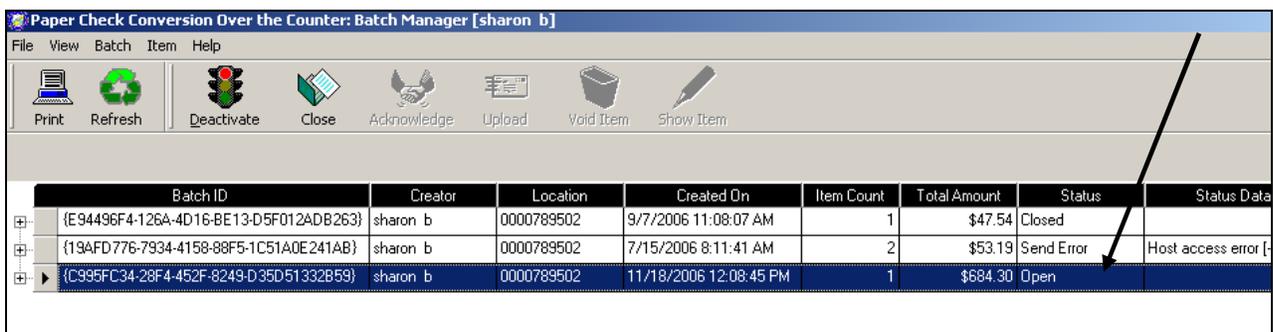


Figure 4.12

2. A Report Preview screen appears. Click the printer icon at the top of the screen. The system responds with a prompt asking 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).

Batch ID	Creator	Location	Created On	Item Count	Total Amount	Status	Status Data
{E94496F4-126A-4D16-BE13-D5F012ADB263}	sharon b	0000789502	9/7/2006 11:08:07 AM	1	\$47.54	Closed	
{19AFD776-7934-4158-88F5-1C51A0E241AB}	sharon b	0000789502	7/15/2006 8:11:41 AM	2	\$53.19	Send Error	Host access error [:
{C995FC34-28F4-452F-8249-D35D51332B59}	sharon b	0000789502	11/18/2006 12:08:45 PM	1	\$684.30	Closed	

Figure 4.13

Printing an item or batch

Printing a list of items in a batch can be done 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 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 is displayed allowing the user 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.

Report Preview

File View

1 / 2 50%

BusinessObjects

Batch List

Batch : (887A3FFC-EC19-453C-980A-B6C2C0D005BC)

Date: 5/10/2008 12:59:33PM

Printed By: sharon b

ALC: 0000789502

Person: Present

KEY : [S]tatus: [A]pproved, [M]eld: [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	04	24 0457	3439	\$100.00	SSN : 22 5
V	P	150917770235800000406	5/5/2006 9:34:18AM	04	73 030	2148	\$32.39	SSN : 11 0
V	P	150917770235800000405	5/5/2006 9:32:19AM	04	73 030	2148	\$32.39	SSN : 12 2

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 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:

Transaction data can be displayed 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 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 appears: (Figure 4.17)

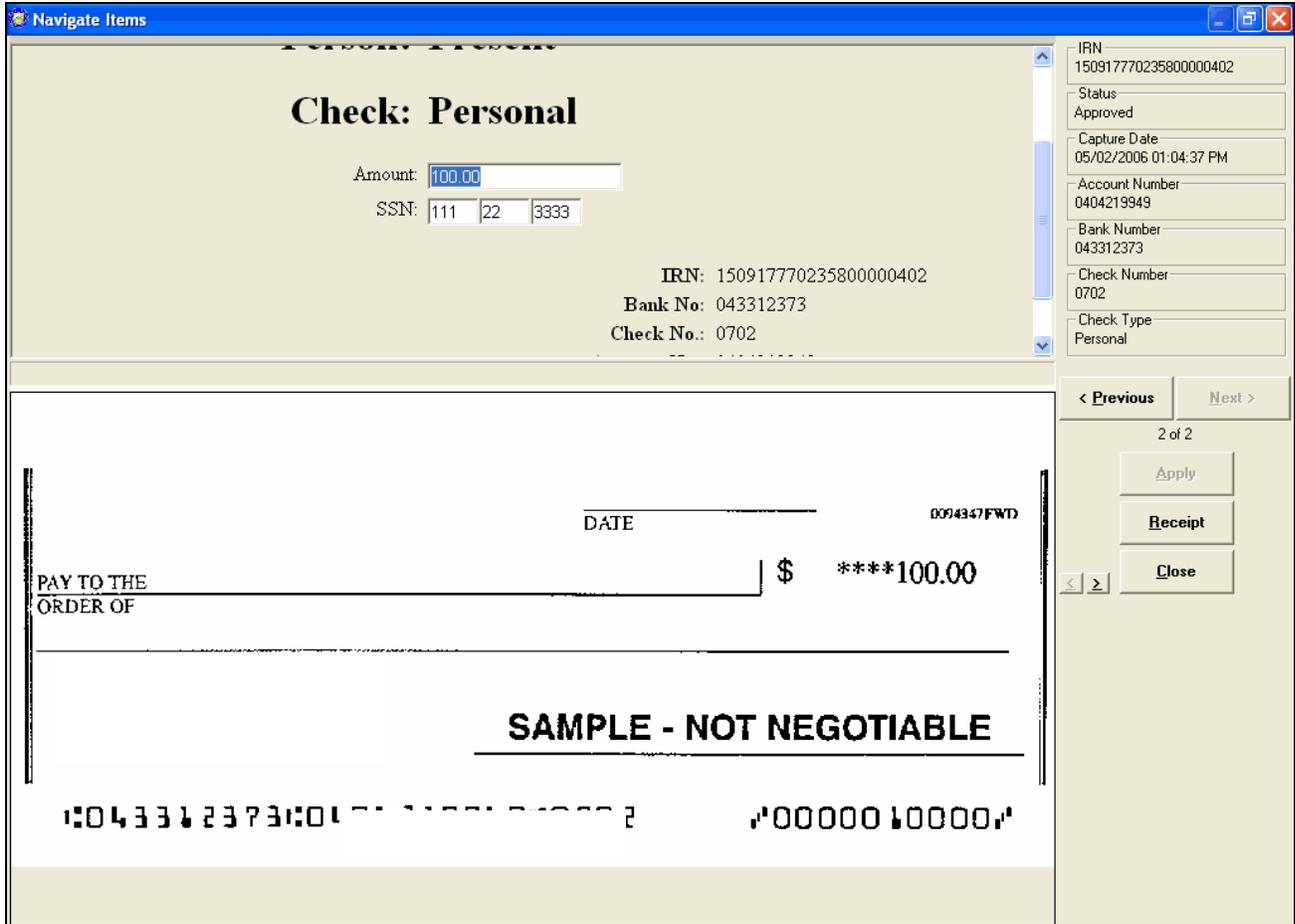


Figure 4.17

3. Navigate through all items in the current batch by clicking on the **'Next'**/**'Previous'** buttons at the Right of the screen. 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 is printed. A customized receipt can be setup by contacting the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Edit an item

Only transaction data for an item whose state is open or closed can be edited. 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. 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'**, Users can also print a receipt prior to clicking the **'Close'** button by clicking on the **'Print Receipt'** button. When finished, click **'Close'**.

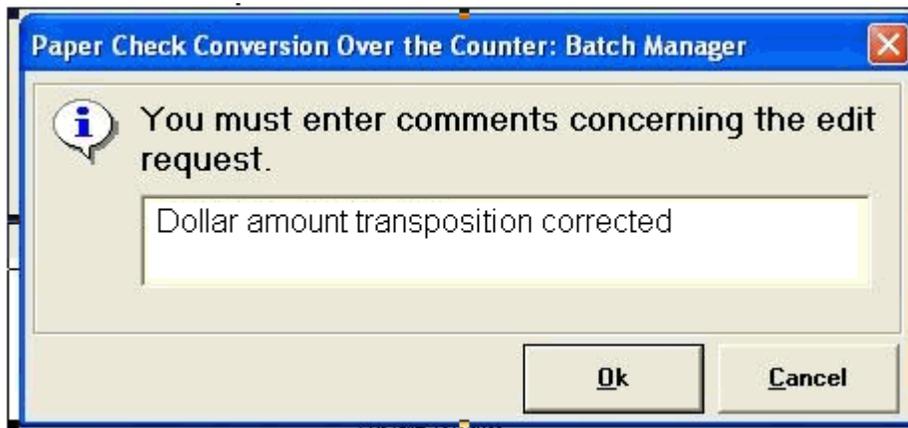


Figure 4.19

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 must 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, only items with a closed batch status can be voided. 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 is allowed access to that item in the POS. An authorized user must access Batch Manager to void the item. Since the item is open in the POS, the status within Batch Manager is also 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 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 returns to the Batch Manager Main Window and the item that was voided is displayed with 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 and has a link to the POS computer's system information.

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

The screen displays the version number for the software (circled below in Figure 4.21). This information may be requested by the Treasury OTC Support Center for troubleshooting purposes.

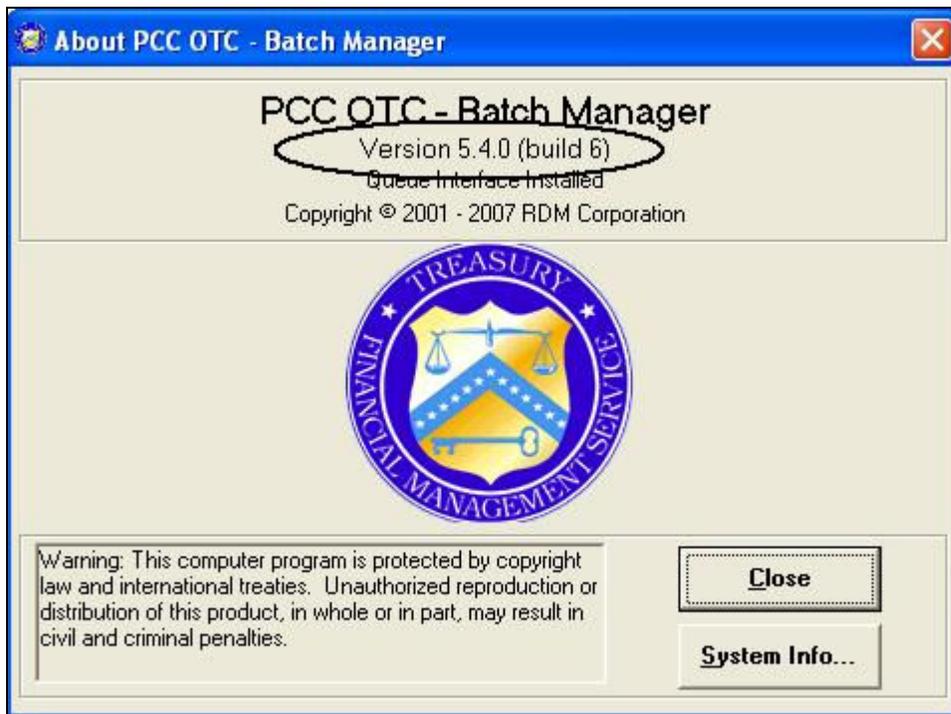


Figure 4.21

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

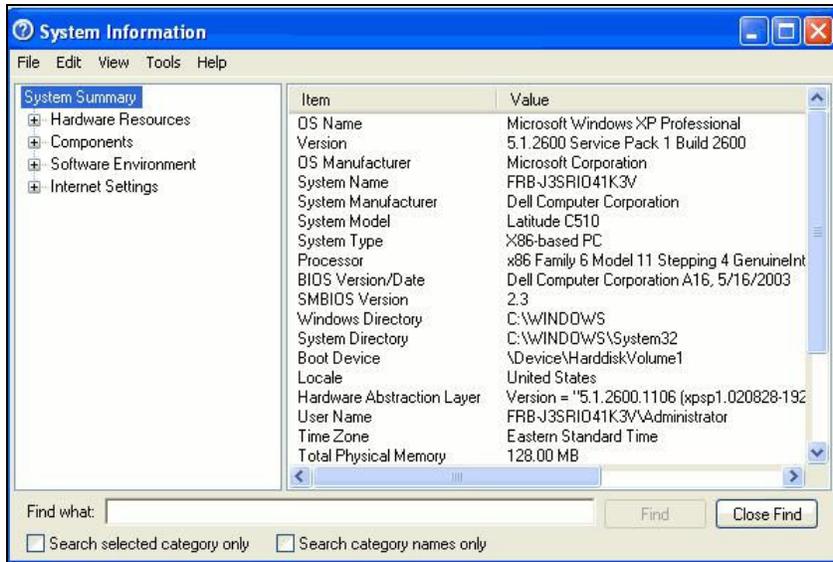


Figure 4.22

Help – other menu options

Clicking on ‘Help’ from the menu, offers a choice of ‘Contents’, ‘Index’, or ‘Search’.

- Contents – Displays an online help window as displayed below in Figure 4.23. Click on any of the links in the window on the right, or choose a different category from the window on the left.

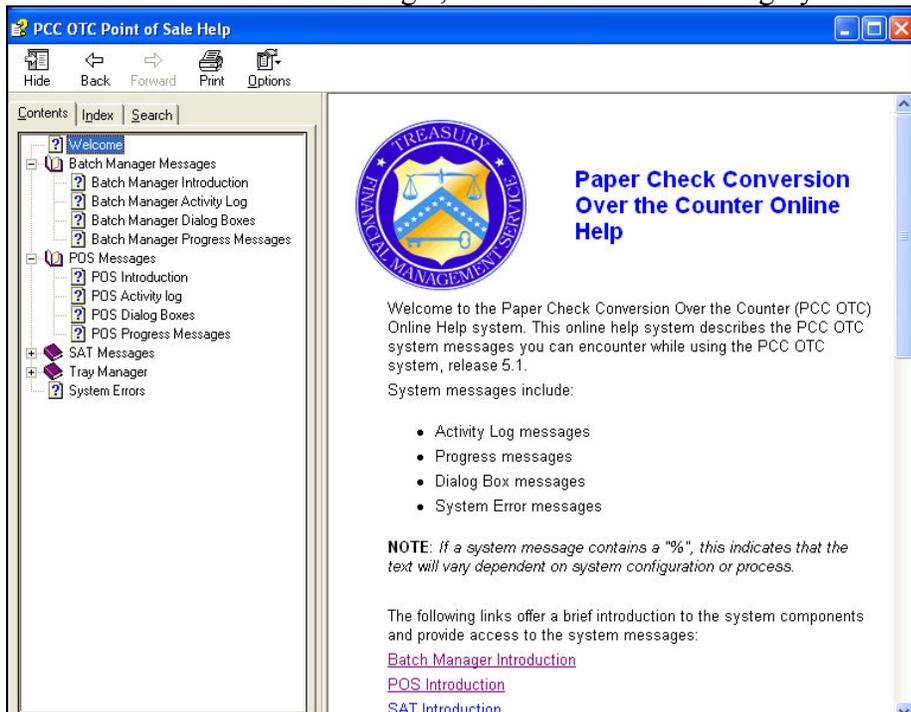


Figure 4.23

- 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)

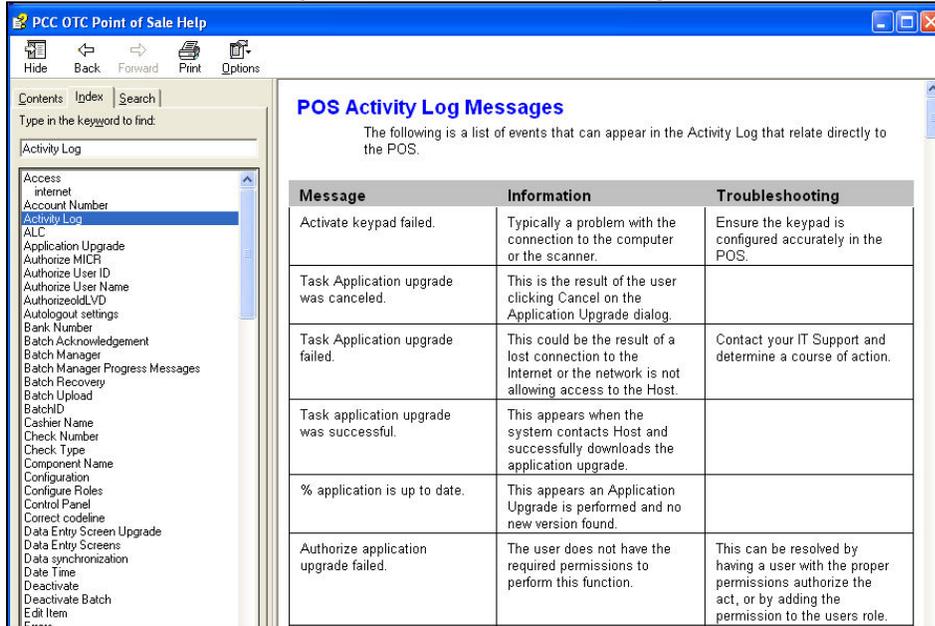


Figure 4.25

- 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.

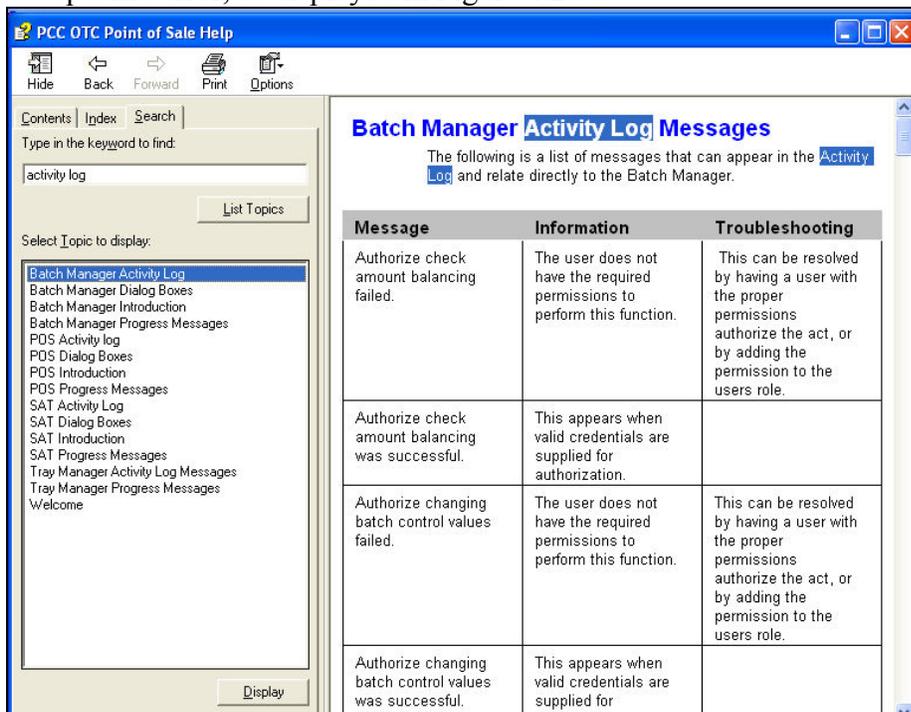


Figure 4.26

U.S. Department of the Treasury
Financial Management Service (FMS)

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 5
Elvis

February 2010
Document Version 1.1

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	
02/2010		Updated document to reflect changes as a result of the migration to the Web Focus Enterprise Reporting Solution.	12, 13, 22, 23, 25, 79 – 95, 101

Table of Contents

ELVIS	5
What is PCC OTC?	5
What is ELVIS?	5
What is the POS?	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 5.5?	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	22
Declining the Rules of Behavior	25
Privacy Statement	26
Accessibility Statement	28
Navigating ELVIS	29
ELVIS Main Menu	29
Hide ELVIS Main Menu	29
Common ELVIS Functionality	31
Sorting Records	31
Field Formats	32
Icon Assisted Fields	32
Multiple Choice Fields	33
Reset Button	34

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.....	59
Count	60
To perform a CIRA Query:	60
To Show History	67
To Show Image:	68
To Print the Image:.....	69
To Print the Details.....	70
Other Uses for the CIRA Query	70
Request a CIRA Count:.....	71
The ELVIS Viewer.....	73
Show Image.....	73
Unzipping Files	75
Unzip Instructions for Windows XP Users:	75
Reports.....	78
To Request Reports	79
View Report – Common Functionality	79
Download Reports.....	81
Agency CIRA Report.....	82
Location Hierarchy Report.....	84
215 Deposit Ticket Report	86
LVD Contents Report	88
Location Check Cashing Policy Report	90
5515 Debit Voucher Report	92
CIRA CSV Report	97
Saving as a TXT File.....	99
About PCC OTC	101

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 POS is the software used on the Agency's computer to process check transactions. The entire family of products consisting of ELVIS and POS is known as PCC OTC.

What is ELVIS?

The first component is ELVIS — **EL**ectronic **V**erification **I**maging **S**ystem. 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 POS?

The second component is the POS — **P**oint **O**f **S**ale. The POS is the PC-based software that contains its own components in the form of three separate modules. 1) The SAT 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 SAT. 2) Batch Manager is a component that is used to update or delete batches. 3) The POS 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:

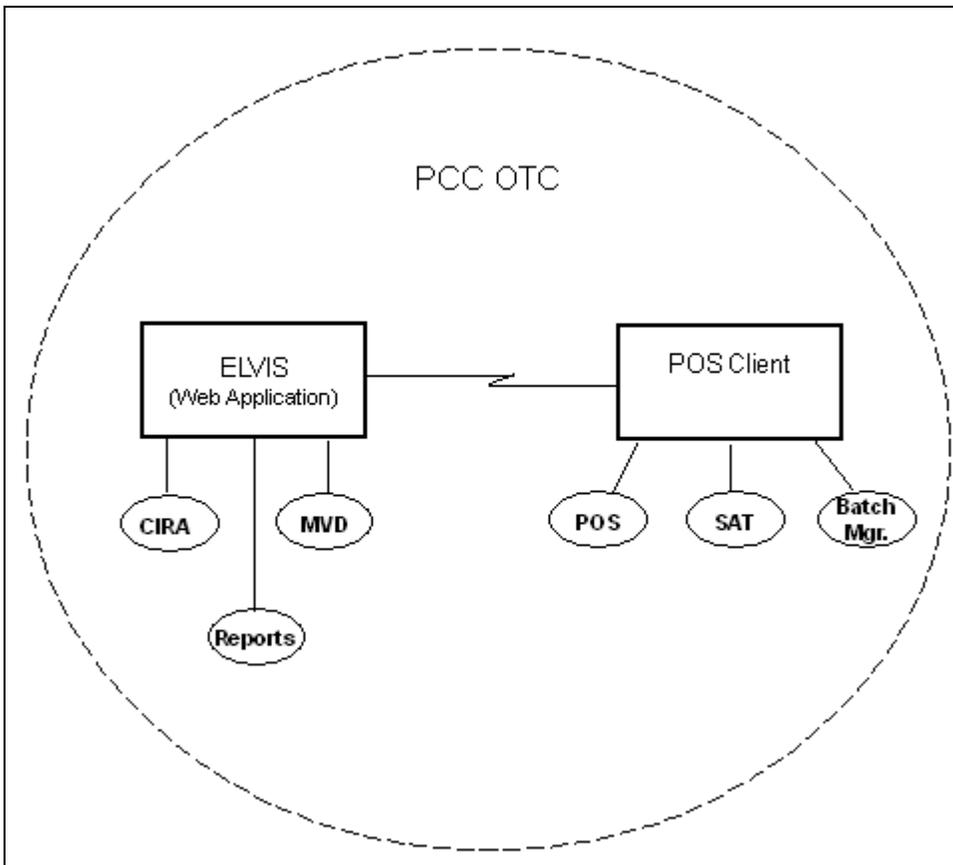


Figure 5.0

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 POS 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 affects the amount of time it takes 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 POS 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 POS.

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 POS 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 Treasury OTC Support Center. The transactional and blocked information is distributed to a POS 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 receives 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 POS application queries this information, known as the Local Verification Database or ("LVD"), for known negative payment history.

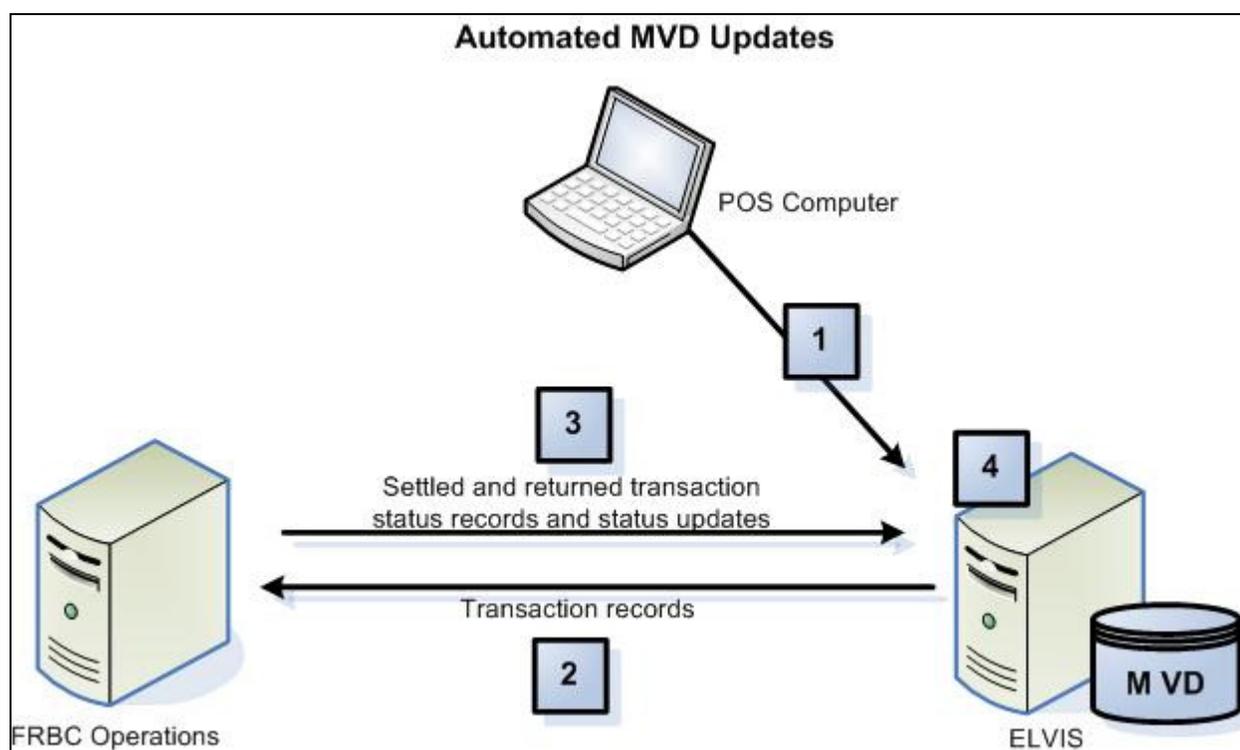


Figure 5.1

1. Check transactions are processed at the POS and sent to ELVIS.
2. Check transaction data is sent from ELVIS to the Treasury/FMS.
3. The negative returns on check transactions are sent from the Treasury/FMS operations to the MVD.
4. Verification record is completed with information from original payment transaction.

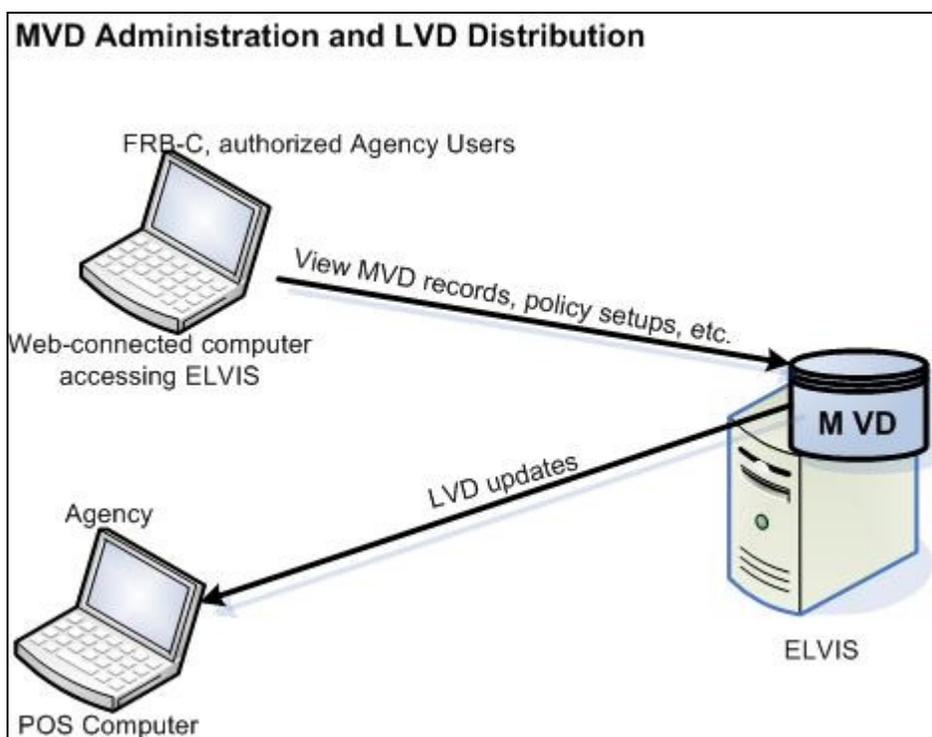


Figure 5.1.1

- Treasury/FMS or the Agency submits blocked, suspended or denied records to the MVD.
- Periodically, the POS system requests an update from the Verification Server to keep the POS system's Local Verification Database (LVD) up-to-date.
- When checks are processed at the POS, 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 Treasury OTC Support Center, 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. Treasury OTC Support Center administers the set-up of all locations based on the agency's and the location's Agency Site Profile (A S P). Treasury OTC Support Center administers 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 POS device or collection of POS devices at a single physical location. The next level of the hierarchical tree is a logical grouping of POS'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 POS 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 Treasury OTC Support Center 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	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	
POS Download					Y

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	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

Note: The POS 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 POS software whenever it is available. This permission requires a separate user name. This separate user name can only perform the POS 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 POS version. POS versions below 5.0 have not been tested and are not guaranteed to work with ELVIS 5.5 and your POS 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 *SAT* chapter of this User Manual.
- 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 the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

What's new for ELVIS 5.5?

Effective February 6, 2010, all PCC OTC reports accessed through ELVIS will use an Enterprise Reporting Solution, Web Focus. The new reports will provide users with the same ability to track and manage PCC OTC activity. However, due to the inherent differences between the current and new reporting software, the report interfaces and features may appear and behave slightly different.

This change does not impact the content of reports or data in the system, but there are some changes to how users navigate the system.

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, Internet Explorer 7.0, or Internet Explorer 8.0

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 opens 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 only accepts 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 displays blank spaces as you type your password, and only the moving cursor is visible. Upon a successful login, the ELVIS Home page is 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 Information Security emails 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 are prompted once a year to read and agree to the terms of the Rules of Behavior. Users 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 expires every 90 calendar days and each user has 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 User Manual, or contact the Treasury OTC Support Center . 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 is not 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 appears: (Figure 5.3)

Change Password Page

Choose a password that is at least 8 characters long. It must contain at least one number (0-9) and upper and lower case letters (A-Z, a-z), but no spaces. Make sure it is difficult for others to guess your password.

User Name: 2

Old Password: 3

New Password: 4

Re-enter New Password: 5

Cancel OK

Figure 5.3

2. Enter your User Name as provided by the Treasury OTC Support Center.
3. Enter your current password. All password fields display blank spaces as you type your password, and only the moving cursor is 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 is successfully changed, the screen displayed is similar to Figure 5.4 below:

Operation Successful.

Your process was successful.
Please choose your next operation.

[Login](#)

Figure 5.4

7. Click the '**Login**' link to continue with the login process. Login using the new 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 User Manual, or contact the Treasury OTC Support Center.

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 the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.
- 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 is initiated by the Treasury OTC Support Center.

Password Reset/Account Lock

If a user account is locked and a password needs to be reset for ELVIS, call the Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com. The Treasury OTC Support Center Information Security staff member contacts the user to provide the new password.

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

Password Expiration

Passwords that are associated with your ELVIS User Name expire every 90 days, based on the Treasury/FMS's policy. A warning message occurs 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 displays 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 receive a User Name and temporary password from the Treasury OTC Support Center. The temporary password must be changed to a unique password and remain active for 90 days. See the *Changing your Password* section for instructions on how to change your password.

First time Users 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	"Warning: Please check your user	Retype the User Name.

upon login.	name and password”.	
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 displays 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 Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.
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	Use a password that has not been previously used.

	change password screen.	
--	-------------------------	--

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 takes the user 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 User Manual.

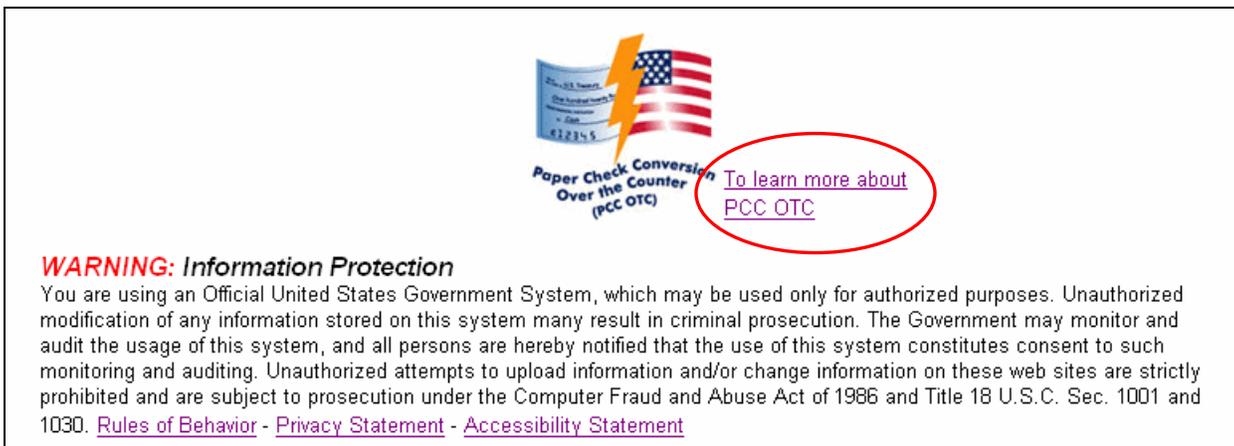


Figure 5.5

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 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 User Manual.*

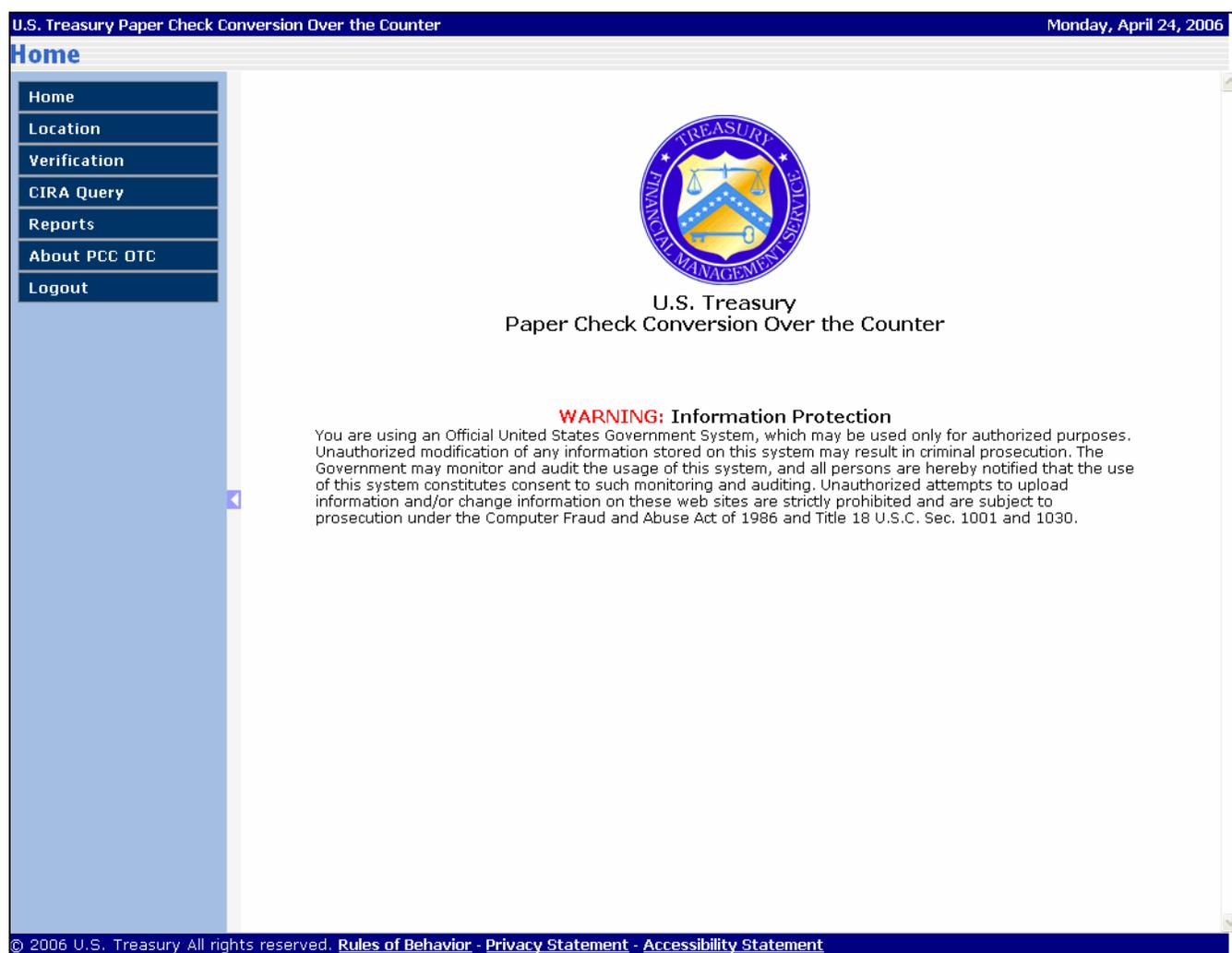


Figure 5.6

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 returns the screen to the ELVIS login window. Clicking the 'X' in the browser window closes the browser.

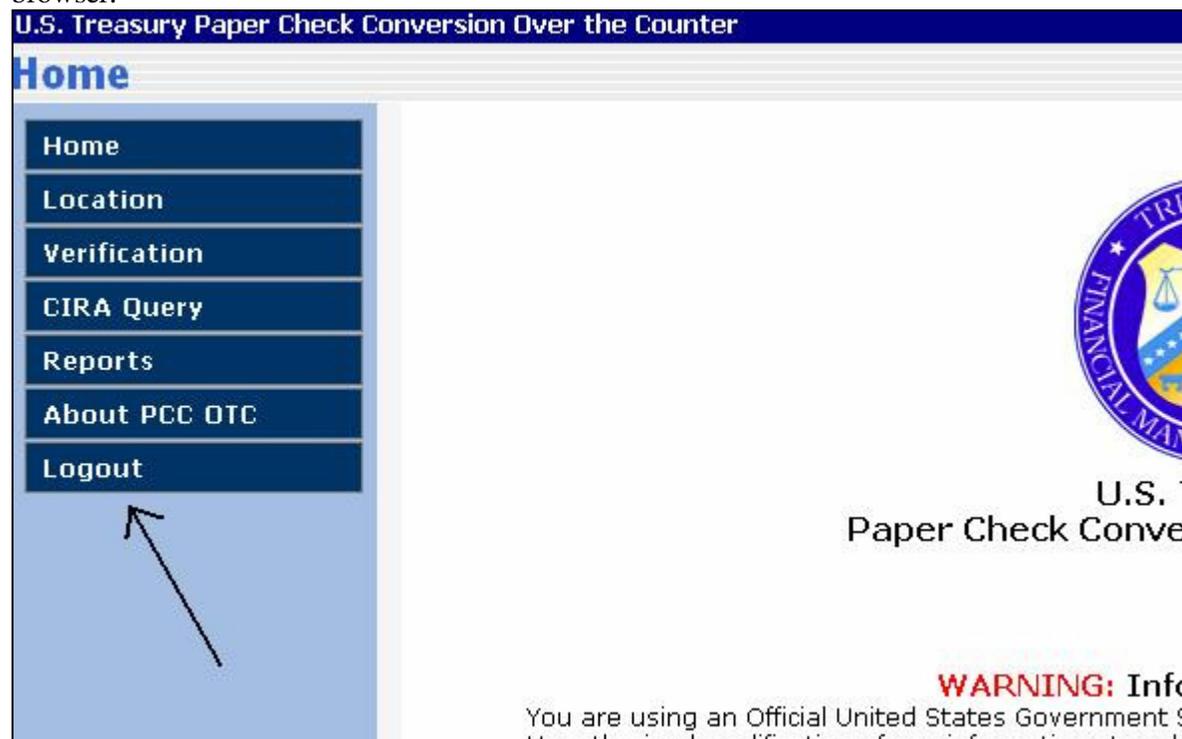


Figure 5.7

Rules of Behavior

When logging into ELVIS for the first time, the Rules of Behavior is 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. Citibank is the new service provider for PCC OTC. Currently, the system is in transition between Citibank and the Federal Reserve Bank of Cleveland. During this time, the current Rules of Behavior available on the PCC OTC website entitled "Federal Reserve Bank of Cleveland User Responsibility Statement" are still valid and will be updated in the near future to reflect the new service provider, Citibank.

**FINANCIAL MANAGEMENT SERVICE
USER RESPONSIBILITY STATEMENT**

LOGIN ID AND PASSWORD:

The Treasury OTC Support Center will e-mail the individual login 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 login ID may be known by others and the login ID is displayed on the screen when entered, but your password is not displayed and not known by anyone other than you. After initial login, 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 Login ID is deactivated and intervention will be required by Treasury OTC Support Center 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 Login ID or password should become suspended please contact the Treasury OTC Support Center.

USER RESPONSIBILITIES:

Once assigned a login ID and Temporary password by the Treasury OTC Support Center, 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 Treasury OTC Support Center.

**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 follow approved FMS procedures to request or to revoke access to the PCC OTC system. Users must complete and submit the appropriate access change request forms. Forms are available on the FMS PCC OTC Web page (www.pccotc.gov).

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 Treasury OTC Support Center.

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 login/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 Treasury OTC Support Center immediately after discovery of the occurrence.

ACCEPTANCE

Please acknowledge acceptance of the User responsibilities and the IT Security Rules of Behavior by signing below.

I have read the Financial Management Service (FMS) User Responsibility Statement, agree to its terms, and understand my responsibilities for the use and protection of my login 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 login 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.

Print

Figure 5.7.1

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

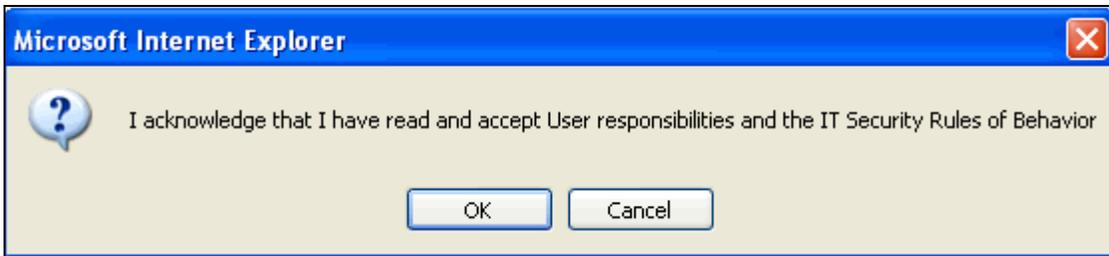


Figure 5.7.2

This procedure is repeated on a yearly basis. All users need to read and accept the Rules of Behavior, when prompted,. 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):

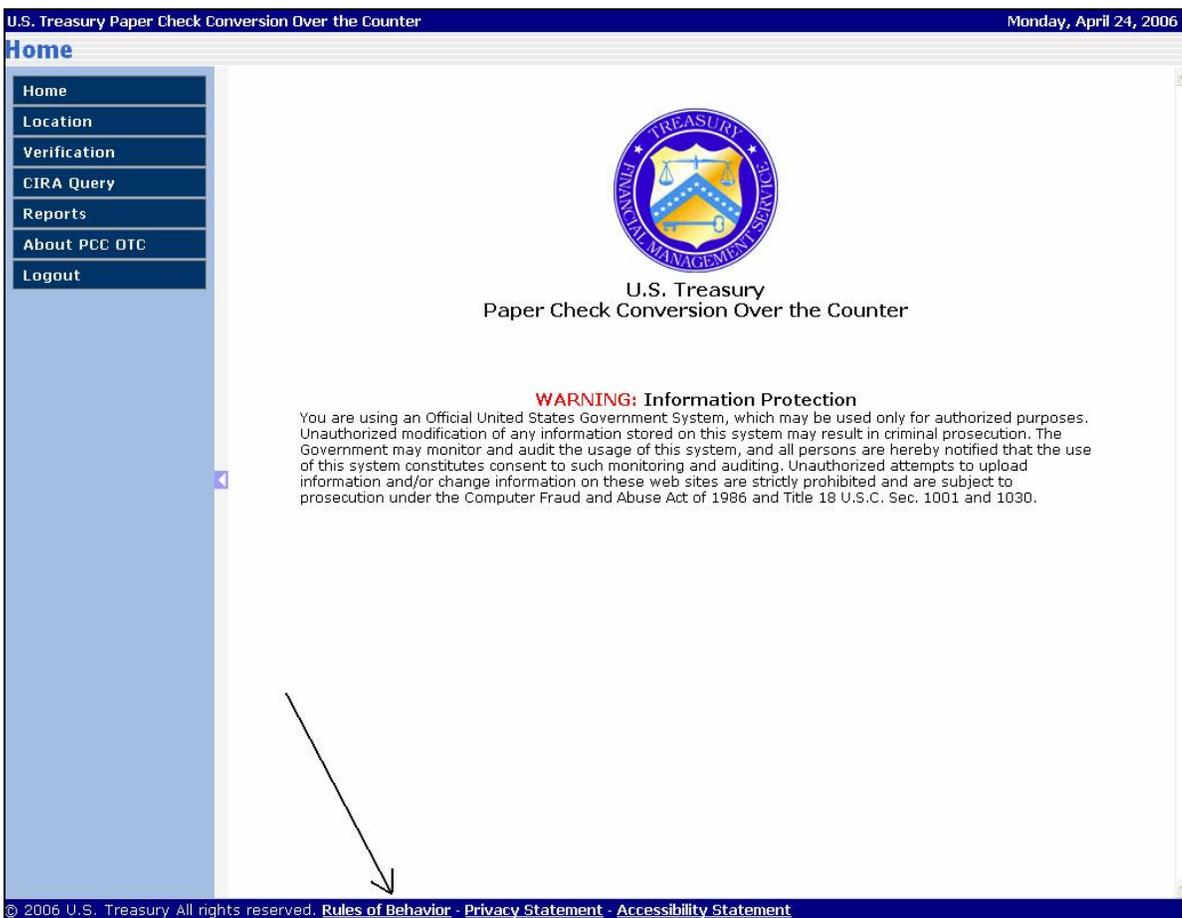


Figure 5.8

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

Citibank is the service provider, effective January 1, 2009 for PCC OTC.

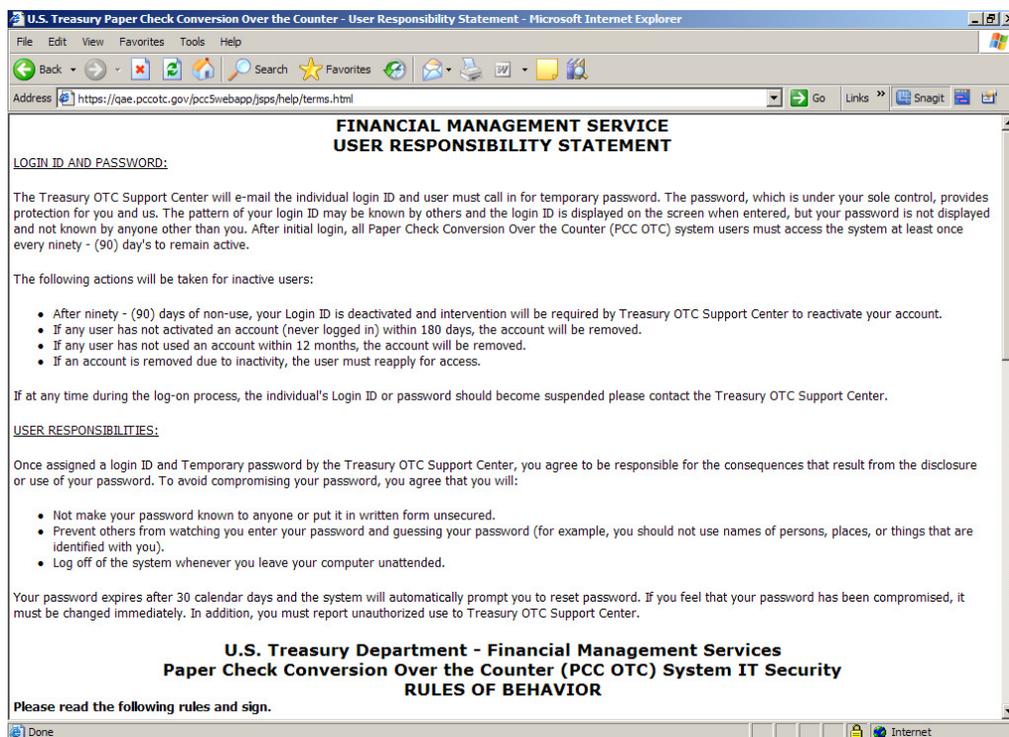


Figure 5.9

When finished, click on the **'Print'** button to printout 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 returns 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):



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 opens 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.

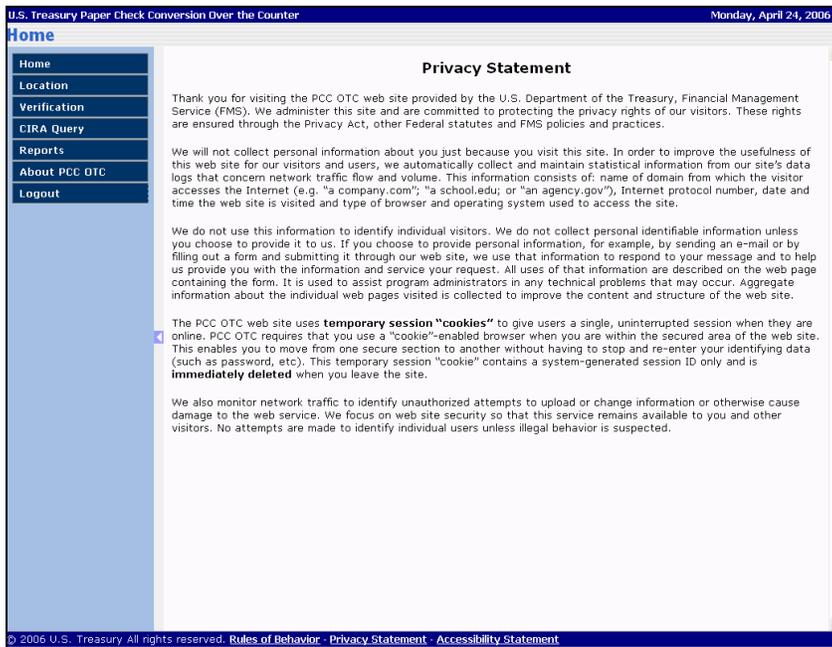


Figure 5.11

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 displays 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.

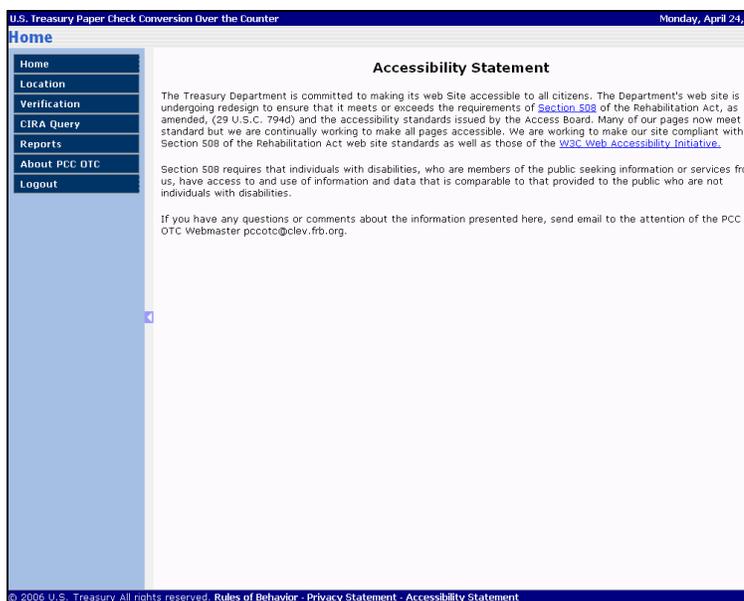


Figure 5.13

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.

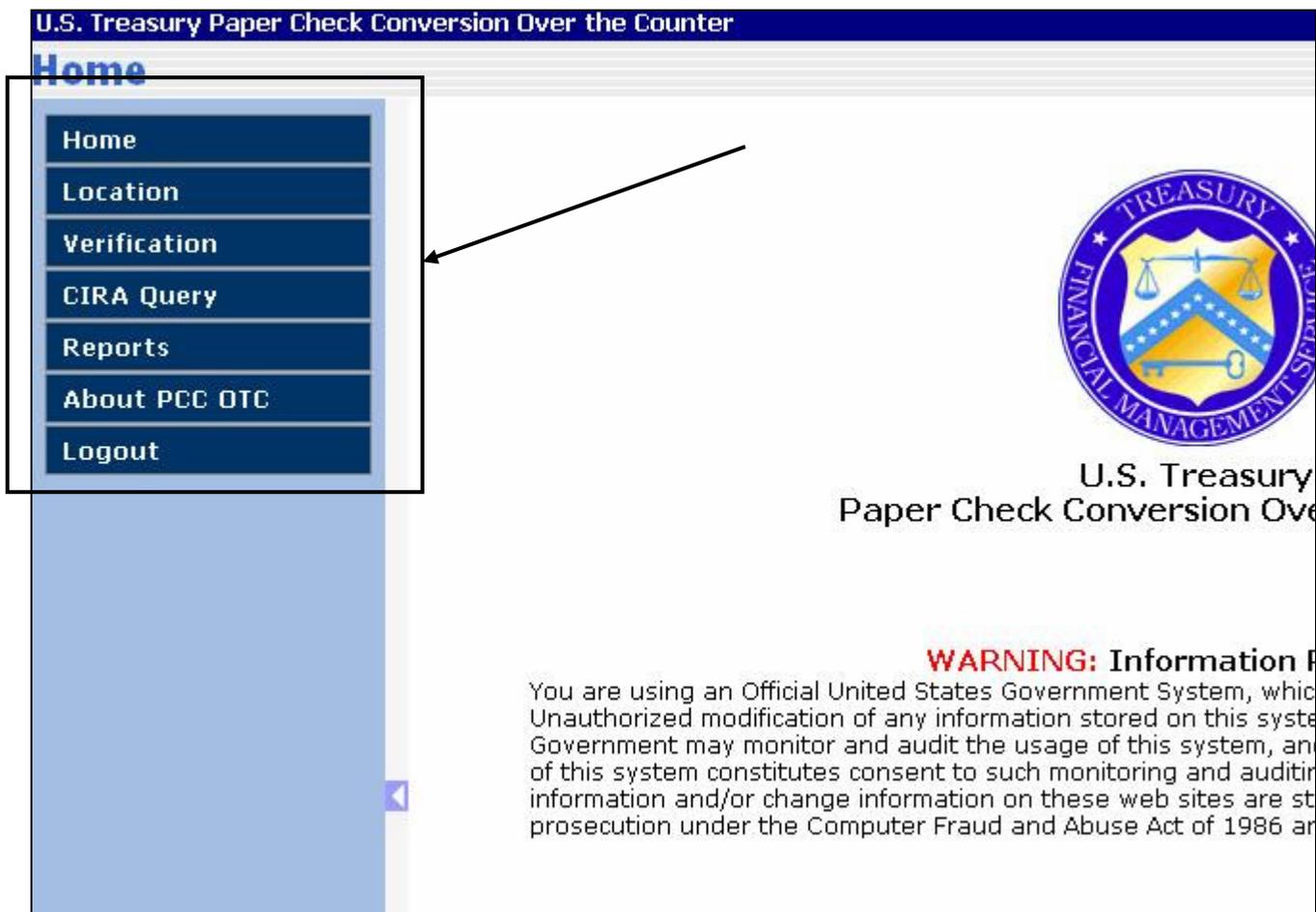


Figure 5.14

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.

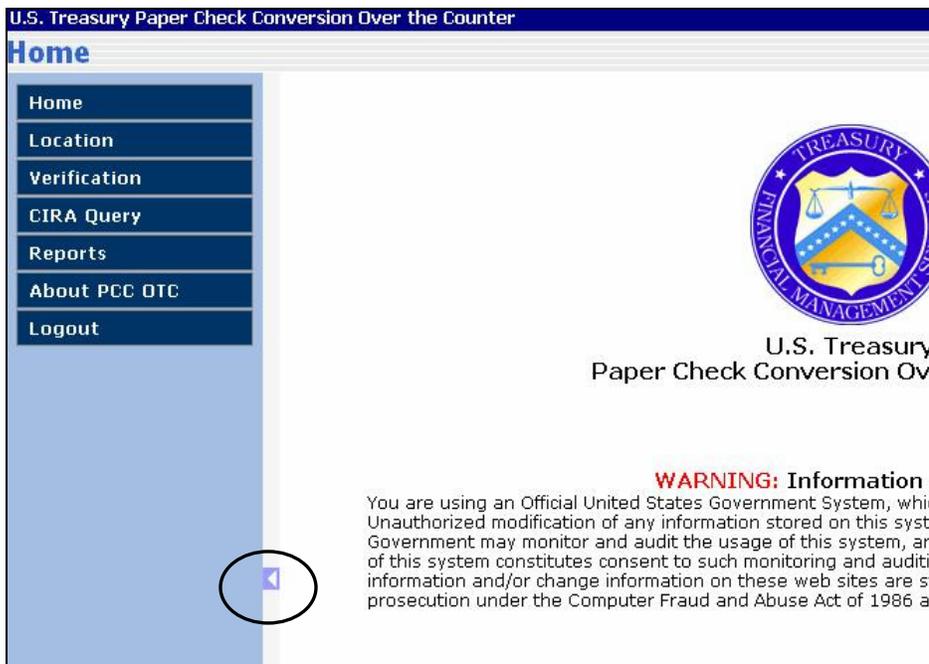


Figure 5.15



Figure 5.16

Clicking on the arrow again brings 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.

.S. Treasury Paper Check Conversion Over the Counter Friday, September 29, 2006

CIRA Query - Result

<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	09/20/2006 14:24:56	041201936	1	\$4,022.00
1509177	75	09/20/2006 14:24:43	041201936	1	\$4,021.00
1509177	74	09/20/2006 14:24:25	041201936	1	\$4,019.00
1509177	72	09/20/2006 14:23:03	041206436	1	\$3,199.00
1509177	71	09/20/2006 14:22:48	041206436	1	\$3,198.00
1509177	70	09/20/2006 14:22:35	041206436	1	\$3,197.00
1509177	69	09/20/2006 14:22:22	041206436	1	\$3,196.00
1509177	68	09/20/2006 14:22:08	041206436	1	\$3,195.00
1509177	67	09/20/2006 14:21:53	041206436	1	\$3,194.00
1509177	66	09/20/2006 14:21:38	041206436	1	\$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 displays either an ‘up’ or a ‘down’ arrow indicating the order as ascending or descending (Figure 5.17.1).

<i>Capture Date</i> ↑	<i>R</i>
03/02/2006 09:13	09
03/02/2006 09:40	15

Figure 5.17.1

Field Formats

Icon Assisted Fields

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

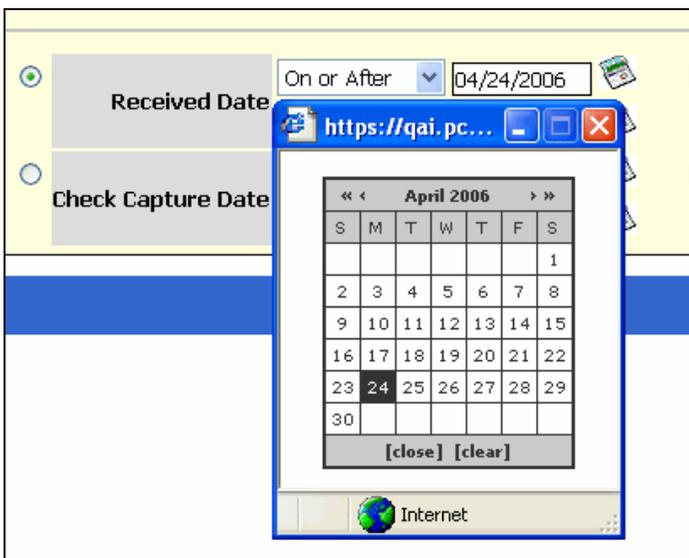


Figure 5.17.2

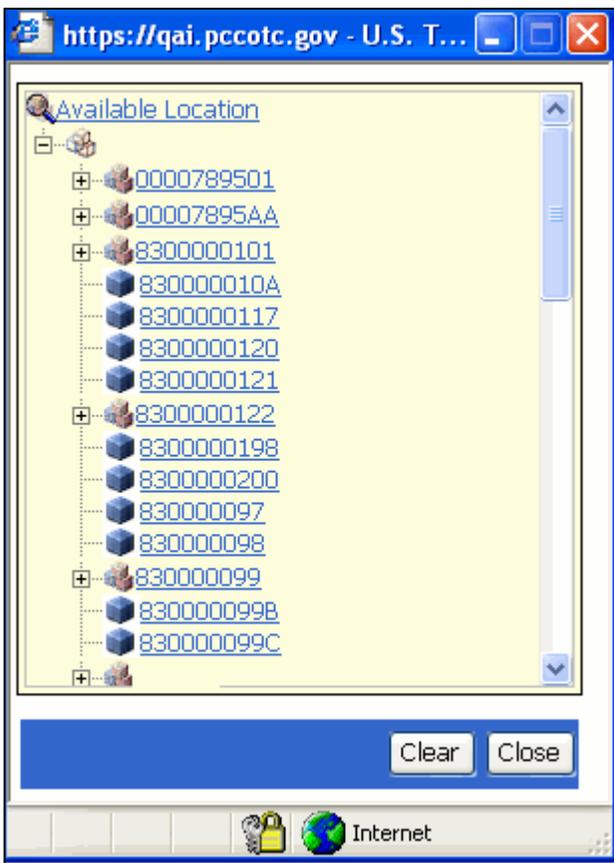


Figure 5.17.3

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.

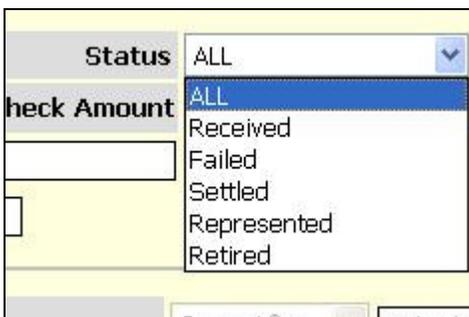


Figure 5.17.4

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 clears 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 <input type="text" value="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"/>	Status ALL
IRN <input type="text"/>	Cashier ID <input type="text"/>	Check Amount Equal To <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"/>	
<input type="radio"/> Received Date	From <input type="text" value="09/27/2007"/> To <input type="text" value="09/27/2007"/>	<input type="checkbox"/> Settlement Date
<input type="radio"/> Check Capture Date	From <input type="text" value="09/27/2007"/> To <input type="text" value="09/27/2007"/>	<input type="checkbox"/> Return Settlement Date
		From <input type="text" value="09/27/2007"/> To <input type="text" value="09/27/2007"/>
		From <input type="text" value="09/27/2007"/> To <input type="text" value="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-based search criteria form. At the top, it says 'J.S. Treasury Paper Check Conversion Over the Counter' and 'Thursday, September 27, 2007'. The main title is 'CIRA Query - Criteria'. The form is divided into several sections:

- Location:** A text box containing 'FederalReserve' with a search icon.
- Form Name:** A dropdown menu with '-- Select Form --'.
- Include Subordinate Locations:** Radio buttons for 'Yes' (selected) and 'No'.
- Deploy Date:** A dropdown menu with '-- Select Version --'.
- Generic Fields:** Four text boxes labeled 'GENERIC_FIELD1' through 'GENERIC_FIELD4'.
- Account:** A text box.
- Bank Routing Number:** A text box.
- Status:** A dropdown menu with 'ALL'.
- IRN:** A text box.
- Cashier ID:** A text box.
- Check Amount:** A dropdown menu with 'Equal To' and an adjacent text box.
- Check Number:** A text box.
- Batch ID:** A text box.
- 5515/Debit Voucher Number:** A text box.
- 215/Deposit Ticket Number:** A text box.
- Received Date:** A section with radio buttons and date pickers for 'From' and 'To' (both set to 09/27/2007).
- Settlement Date:** A section with radio buttons and date pickers for 'From' and 'To' (both set to 09/27/2007).
- Check Capture Date:** A section with radio buttons and date pickers for 'From' and 'To' (both set to 09/27/2007).
- Return Settlement Date:** A section with radio buttons and date pickers for 'From' and 'To' (both set to 09/27/2007).

 At the bottom right, there are four buttons: 'View Items', 'Count', 'Reset', and 'Cancel'. The 'Cancel' button is highlighted with a red rectangular box.

Figure 5.17.6

System Timeout

If a user is logged into the system but there is no system activity for over 15 minutes, the system displays the following message (Figure 5.17.7):

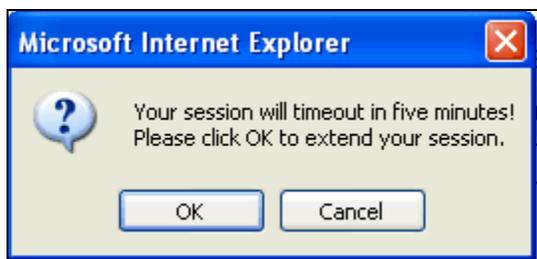


Figure 5.17.7

If the user responds by clicking the 'OK' button within five minutes, the session continues. However, if the user attempts to respond with 'OK' and this message has been on the screen for longer than five minutes, the session expires and the user needs to log back into the system.

Clicking 'Cancel', closes the window and the user is not 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 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 Treasury OTC Support Center; Security Department at: FMS.OTCSecurity@citi.com. 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 the Treasury OTC Support Center. Please contact Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com. Authorized users can view and monitor the information as described later in this section.

The ELVIS Menu Options

Once the user is successfully logged in, 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 their access level. 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.

Citibank is the new provider effective January 1, 2009, for PCC OTC. Currently, the system is transitions between Citibank and the Federal Reserve Bank of Cleveland. Please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com for support.

Logout – used to logout of the system.

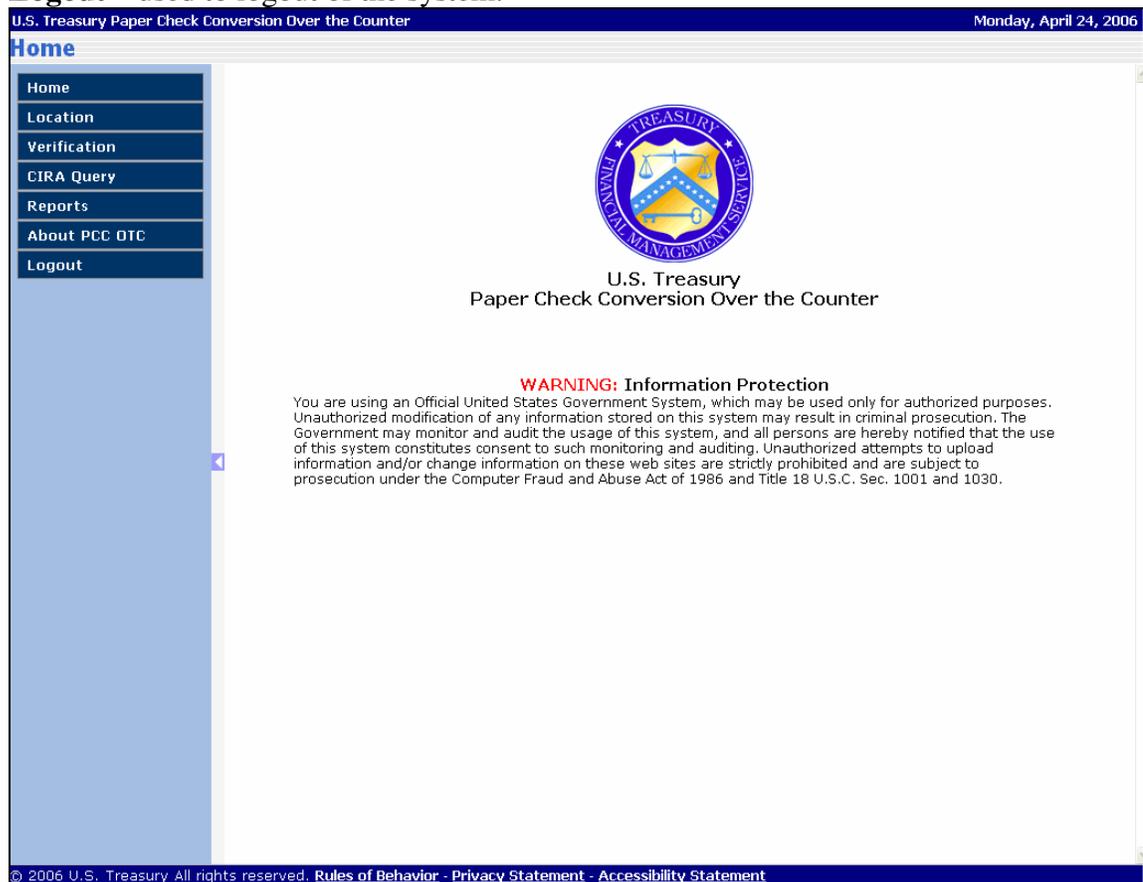


Figure 5.18

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 POS computer.

Each Agency establishes 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 is entered into ELVIS by the Treasury OTC Support Center in the location management section of ELVIS.

To view the location information,

1. Click **'Location'** from the Main Menu. The following Screen appears (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 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: Policy Holder: 8300000101

01
02
09
201
202
203
204
301
A
B
C
D

Suspension: 1 5
2 10

Include expired counts

Generate verification record on:

Include Represented and Retired Checks

Include Retired Checks Only

Configure Block

ObjectName:	Attribute:	Block:
verification	Account	<input type="checkbox"/>
	LocTag	<input type="checkbox"/>
	UserField1	<input type="checkbox"/>
	RT	<input type="checkbox"/>
	Note	<input 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 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 ACH 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 the Treasury OTC Support Center 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 User Manual for a listing of ACH 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 is 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 is 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 is 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 Treasury OTC Support Center 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 is 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 controls 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 controls how location D sees records originating from those locations.

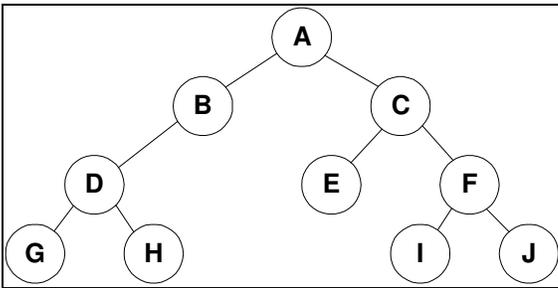


Figure 5.20.2

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 maintains the manually assigned status with the assigned date, and no longer reflects 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 POS 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 POS application.

Blocked, suspended, or denied data is entered manually by an authorized person from a site, a region, an agency, or even the Treasury OTC Support Center. The transactional and blocked information is distributed to a POS based upon the site's position in the agency's hierarchy and upon an agency's policy. By default a location receives 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 only receives their own records and any transactional records originating at or below all locations, as well as any locations included in the requesting location's Location Group. Upon processing a check, the POS 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 maintains the manually assigned status and no longer reflects 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 POS system prevents an individual from cashing a check through the POS computer. The individual's database record has a Trade Status of Suspend and the expiration date is set until a specific date.
- **Denied:** Denied means an individual's record is set to a permanent deny date of 9/09/2099. The POS system permanently denies this person from cashing a check through the POS 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 results 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 appears: (Figure 5.21)

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 increases or decreases the calendar one month at a time. Clicking on the double arrows to the right or left of the month name increases or decreases 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	<input type="text"/>	
UserField1	<input type="text"/>	
Bank Routing Number	<input type="text"/>	
Account	<input type="text"/>	
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 are displayed (Figure 5.23):

Verification List [1 - 7 / 7]										
IRN	UserField1	Loc Tag	Bank Routing Number	Account	Amount	MVD Date	Trade Statu			
<input type="radio"/> MANUAL-13866	98	77	0000789502	04100	987	6 \$0.00	10/17/2007	SUSPENDED		
<input type="radio"/> MANUAL-13865	12	77	FederalReserve	04100	123	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 opens 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 prints the page that is displayed. To print all the records, the user must navigate through all of the pages and print each page individually.
- Click on any individual record line to have the detailed verification information displayed on the screen as shown in Figure 5.24.

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

<input type="button" value="CIRA Detail"/>	<input type="button" value="Confirm"/>	<input type="button" value="Print"/>	<input type="button" value="Close Window"/>
--	--	--------------------------------------	---

Figure 5.24

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

7. Click the **'CIRA detail'** window and a screen is displayed similar to Figure 5.25. Switch between the CIRA detail and the Verification detail by clicking the appropriate button.

The screenshot shows a window titled "CIRA Detail" with a form containing the following fields and values:

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 two rows of buttons:

- Row 1: Verification Detail, Show Image, Show History
- Row 2: Print Details, Close Window

Figure 5.25

8. There are more functions that can be performed at the bottom of the window. The **'Verification Detail'** button takes the user 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 manually denied or blocked record which denies the check writer from cashing a check indefinitely. Once these records are added in ELVIS and downloaded to the POS, transactions that match the information on the manual records 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.

The screenshot shows two overlapping windows from the PCC OTC software. The background window is titled 'U.S. Treasury Paper Check Conversion Over the Counter' and 'Verification'. It features a left-hand navigation menu with options: Home, Location, Verification, CIRA Query, Reports, About PCC OTC, and Logout. The main area is titled 'Search All Verification Records' and contains several input fields: Location (FederalReserve), a checked 'Include Subordinates' box, IRN, UserField1, Bank Routing Number, Account, Trade Status (set to ALL), and MVD Date (From and To both set to 09/29/2006). At the bottom are 'Query', 'Add MVD Record', and 'Reset' buttons. The foreground window is titled 'Add MVD Record' and contains the following fields: UserField 1, Bank Routing Number, Account, Trade Status (SUSPENDED), Deny Date (with a calendar icon), Override (checked), Location Name (FederalReserve), and a Note field. At the bottom are 'Confirm' and 'Cancel' buttons.

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 allows the field to be overridden when it is received at the POS end. If left unchecked, the POS operator receiving the item is 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 appears (Figure 5.27) confirming that the operation was successful.

The screenshot shows a web application interface for 'U.S. Treasury Paper Check Conversion Over the Counter'. The page title is 'Verification' and the date is 'Wednesday, May 17, 2006'. On the left is a navigation menu with links: Home, Location, Verification, CIRA Query, Reports, About PCC OTC, and Logout. The main content area is titled 'Search All Verification Records' and contains a search form with the following fields and values:

- Location: 0000789501
- Include Subordinates:
- IRN: (empty)
- Userfield1: (empty)
- Bank Routing Number: (empty)
- Account: (empty)
- Trade Status: ALL
- MVD Date: From 05/01/2006 To 05/17/2006

At the bottom of the search form are three buttons: 'Query', 'Add MVD Record', and 'Reset'. The search results area on the right displays the message 'Operation 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 appears: (Figure 5.27.1)

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 increases or decreases the calendar one month at a time. Clicking on the double arrows to the right or left of the month name increases or decreases the calendar one year at a time.

U.S. Treasury Paper Check Conversion Over the Counter

Verification

Search All Verification Records

Location:

Include Subordinates

IRN:

UserField1:

RT:

Account:

Trade Status: ALL

MVD Date: From

https://qai.pc...

May 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	31			

[close] [clear]

Internet

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.

- Click 'Query' at the bottom of the window. The following is an example of the results screen that is 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	432	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	109262007 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:

7. Use the down arrow key to change the Trade Status to the revised status. When clearing an MVD record, this only clears the record for this one occurrence. When attempting to reinstate an individual's check cashing privileges, more than one MVD record may need to be cleared.
8. 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.
9. Use the drop down arrow to change the RR (Return Reason) code, if necessary.
10. Type the pertinent notes in the 'notes' field for audit purposes.
11. 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 POS 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 is not cleared at the POS until an LVD download is performed. For information on how to perform an LVD Download, please see the *Daily Processing* Chapter of this User Manual.

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 POS mode), and a different set of configurable fields for ‘Person not Present’ mode (formerly known as Lockbox mode).

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 are 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.

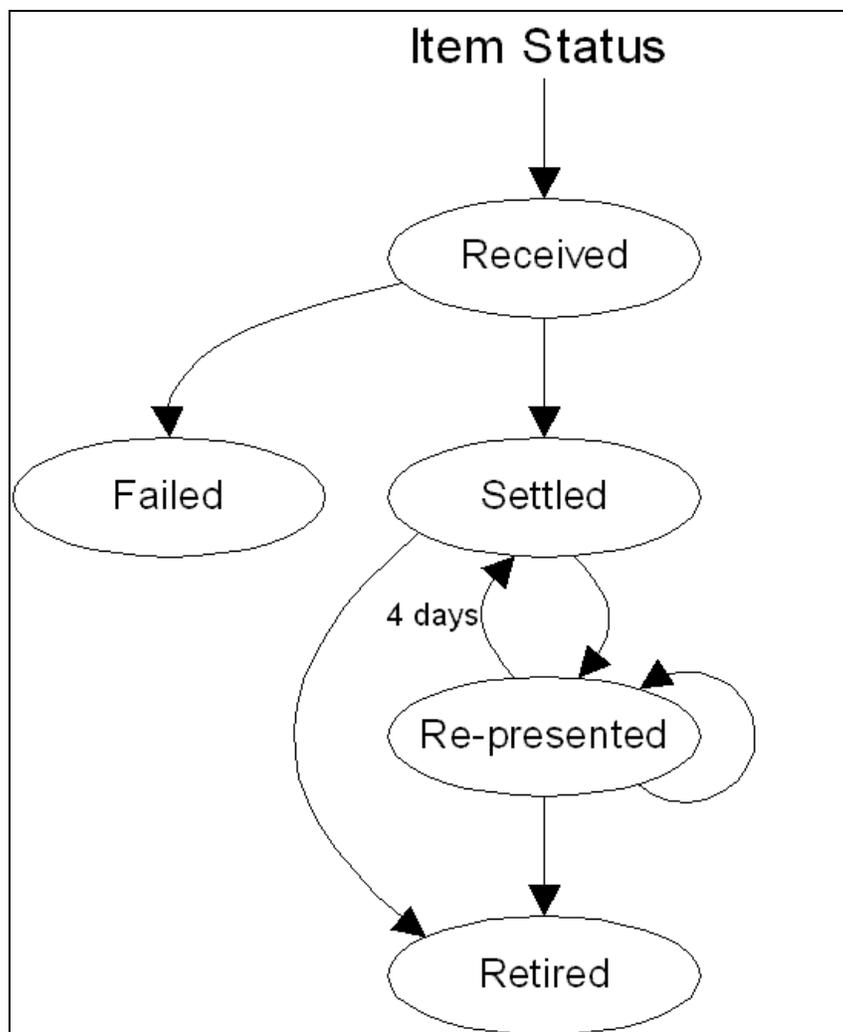
- **Status** – Use the down arrow to select from the menu the status of the items to search. Valid statuses are, ‘All’, ‘Failed’, ‘Received’, ‘Represented’, ‘Retired’, and ‘Settled’, . (See Item Status Diagram, Figure 5.27.6 and the explanation of statuses that follows)
- **I R N** – The Item Reference 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 POS 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 Treasury OTC Support Center 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 POS 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 Treasury/FMS. These are items that could not be collected such as foreign items or possible duplicate items. These items are not 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 are 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 receives a 5515 Report (Debit Voucher) with a debit processed to CASHLINK and the effective date and debit voucher number is 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.

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 appears: (Figure 5.28)

The screenshot shows the 'CIRA Query - Criteria' window. At the top, it says 'U.S. Treasury Paper Check Conversion Over the Counter' and 'Friday, September 29, 2006'. The main area contains several sections of search criteria:

- Location:** Federal Reserve
- 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, Input field
- Check Number:** Input field
- Batch ID:** Input field
- 5515/Debit Voucher Number:** Input field
- 215/Deposit Ticket Number:** Input field
- Received Date:** From/To: 09/29/2006
- Check Capture Date:** From/To: 09/29/2006
- Settlement Date:** From/To: 09/29/2006
- Return Settlement Date:** From/To: 09/29/2006

At the bottom right, there are buttons for 'View Items', 'Count', 'Reset', and 'Cancel'.

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 appears with the list of authorized locations: (Figure 5.29)

The screenshot shows the 'CIRA Query - Criteria' window. The 'Location' field contains '0000789501'. A search tool is visible to the right of the location field. Below the location field is a section for 'Include Subordinate Locations' with a 'Yes' radio button selected. The 'Generic Fields' section includes 'GENERIC_FIELD1', 'GENERIC_FIELD2', 'GENERIC_FIELD3', and 'GENERIC_FIELD4'. The 'Account' field is empty. The 'IRN' field is empty. The 'Check Number' field is empty. The '5515/Debit Voucher Number' field is empty. The 'Received Date' and 'Check Capture Date' sections have radio buttons. The 'Status' dropdown is set to 'ALL'. The 'Check Amount' dropdown is set to 'Equal To'. The 'Settlement Date' and 'Returned Settlement Date' sections have dropdown menus set to 'On or After' and 'On or Before' with the date '05/17/2006'. A pop-up window shows a list of authorized locations with their ALC+2 codes: 00007895AA, 8300000101, 830000010A, 8300000117, 8300000120, 8300000121, 8300000122, 8300000198, 8300000200, 830000097, 830000098, 830000099, 830000099B, and 830000099C. Buttons for 'Clear' and 'Close' are at the bottom of the pop-up window. At the bottom of the main window are buttons for 'View Items', 'Count', 'Reset', and 'Cancel'.

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 POS 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 are 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 is similar to the image below: (Figure 5.30)

U.S. Treasury Paper Check Conversion Over the Counter Friday, September 20

CIRA Query - Result

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	041	\$509.33	SAT 122 Test	Personal	Prt
140218700226100002125	0000789502	06/06/2006 10:59:16	0472	045	\$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	0485	\$7.89	SAT 122 Test	Personal	Prt
140218700226100002153	0000789502	06/06/2006 11:12:53	0459	0401	\$868.69	SAT 122 Test	Personal	Prt
140218700226100002354	0000789502	08/25/2006 12:42:19	0431	041	\$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.

Figure 5.30

11. The screen only displays the first 100 items found based on the search criteria. The bottom of the screen displays 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 is still displayed and clicking it displays 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 reduces 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 POS, this is 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
J01205	8300000102 09/27/2007 13:36:53 04	3	1	\$989.88	Nancy Test POS 54	Personal	Back Office	DE28
J01207	8300000102 09/27/2007 13:38:53 04	5	1	\$454,353.45	Nancy Test POS 54	Personal	Back Office	DE28
J01209	8300000102 09/27/2007 13:39:04 04	3	1	\$25,252.45	Nancy Test POS 54	Personal	Back Office	DE28
J01212	8300000102 09/27/2007 13:40:28 04	3	1	\$1,358.00	Nancy Test POS 54	Personal	Present	DE28
J01213	8300000102 09/27/2007 13:41:08 04	3	1	\$1,358.00	Nancy Test POS 54	Personal	Present	DE28
J01215	8300000102 09/27/2007 13:52:38 04	5	1	\$1,021.00	Nancy Test POS 54	Non-Personal	Back Office	DE28
J01217	8300000102 09/27/2007 14:01:35 04	5	1	\$1,022.20	Nancy Test POS 54	Non-Personal	Present	DE28
J01219	8300000102 09/27/2007 14:02:31 04	3	1	\$1,360.60	Nancy Test POS 54	Personal	Not Present	DE28
J01221	8300000102 09/27/2007 14:02:54 04	5	1	\$99.08	Nancy Test POS 54	Non-Personal	Not Present	DE28
J01227	8300000102 09/27/2007 15:02:30 04	3	1	\$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 appears: (Figure 5.31)

Address: https://qa1.pccotc.gov U.S. Treasury Paper Check Conversion Over the Cou...

U.S. Treasury Paper Check Conversion Over the Country

CIRA Detail

IRN	100701500117200006243
ALC or D55N Code	0000789502
Capture Date	05/06/2006
Bank Routing Number	04
Bank Account Number	01
Cashier ID	SAT 122 Test
Check Type	Personal
Check Number	011740
Check Amount	\$183.55
Processing Mode	Present
Received Date	05/06/2006 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

Show Config Fields

Show Image Show History

Print Details Close Window

Check Amount	Cashier
\$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
\$25.99	syed pcc

Query Criteria

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 displays 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.

14. 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 does 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) appears:

The screenshot displays the 'CIRA Detail' window. It contains a list of fields with their corresponding values:

IRN	100701500117200006243
ALC or D55N Code	0000789502
Capture Date	06/06/2006
Bank Routing Number	04.....4
Bank Account Number	0.....31
Cashier ID	SAT 122 Test
Check Type	Personal
Check Number	011740
Check Amount	\$183.55
Processing Mode	Present
Received Date	06/06/2006 13:41:03
Status	Received
215/Deposit Ticket Number	
5515/Debit Voucher Number	
Settlement Date	
Return Settlement Date	
Batch ID	CE4C811E-8300-4840-867B-E739574CEA82

Below the main table, there is a 'Hide Config Fields' button. Below that, a field named 'GENERIC_FIELD1' with the value '588969009' is displayed. At the bottom of the screen, there are four buttons: 'Show Image', 'Show History', 'Print Details', and 'Close Window'.

Figure 5.31.0

15. The bottom of the screen displays 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 hides the fields from view.

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	01-*****	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	

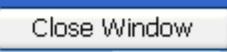
			
---	---	---	--

Figure 5.31.02

To Show History

The 'Show History' button within the CIRA Detail window gives the user historic information (including settlement information) regarding that item. If the item was returned and represented, or returned, represented and retired, additional lines will be displayed with a history of settlement for each action. Figures 5.31.03, 5.31.04 and 5.31.05 are examples of the 'Show History' results screen as you scroll from left to right. The following fields are displayed:

Item ID: This number is assigned by the system for internal purposes

IRN: Individual Reference Number: The unique number used to identify transactions within ELVIS.

Capture Date: The date and time that the item was received by ELVIS.

Insert Time: The date and time that the transaction obtained a status code by ELVIS. A status code is stamped on the transaction and indicates if an item was settled, represented, or retired.

Location: The A L C+2 or Agency location code.

Check Amount: The dollar amount of the check.

Bank Routing Number: The 9-digit Bank Routing number.

Account: The account number of the check writer.

Bank: This number is assigned by the system for internal purposes.

Check Number: The number on the check of the check writer.

215/Deposit Ticket Number: This field will be populated with the Deposit Ticket Number on settled items.

5515/Debit Voucher Number: This field will be populated with the Debit Voucher Number for retired items.

Rep Effective Date: Represent Effective date – this field may contain a date during the processing cycle of an item. Reflects the date the item was represented. Field will change to blank when item is retired.

Settlement Date: Date that the item was settled.

Status: Represents the transaction status of an item during the processing cycle. Settled ACH items would be represented with a status code of 413, and settled paper items would be represented with a status code of 412. There are many other codes that can be listed in this field for returned, represented, and retired items. For a complete list of status codes and an explanation of how they work, see *Appendix S* of the Appendix chapter of this SOP.

Settlement Method: This field will be indicated with either a '0' for ACH, or a '1' for Paper.

Item History							
Item ID	IRN	Capture Date	Insert Time	Location	Check Amount	Bank Routing Number	Account
7435187	160518710205100001299	10/01/2007 11:22:46	10/03/2007 10:50:15	0000789502	3,001.00	101002004	
7435187	160518710205100001299	10/01/2007 11:22:46	10/03/2007 10:50:09	0000789502	3,001.00	101002004	
7435187	160518710205100001299	10/01/2007 11:22:46	10/02/2007 06:31:06	0000789502	3,001.00	101002004	

Close Window

Figure 5.31.03

Bank	Check Number	215/Deposit Ticket Number	5515/Debit Voucher Number	Rep Effective Date	Settlement Date
00200	33329001	002150	002152		10/02/2007
00200	33329001	002150			10/02/2007
00200	33329001	002150			10/02/2007

Figure 5.31.04

e Return Settlement Date	Status	Settlement Method
10/03/2007	404	1
10/03/2007	004	1
	412	1

Figure 5.31.05

When you are done viewing, click the ‘Close Window’ button.

To Show Image:

From the ‘CIRA Detail’ window, click the ‘Show Image’ button. The ELVIS viewer window opens and the image of the check is displayed as shown in Figure 5.31.06. 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.

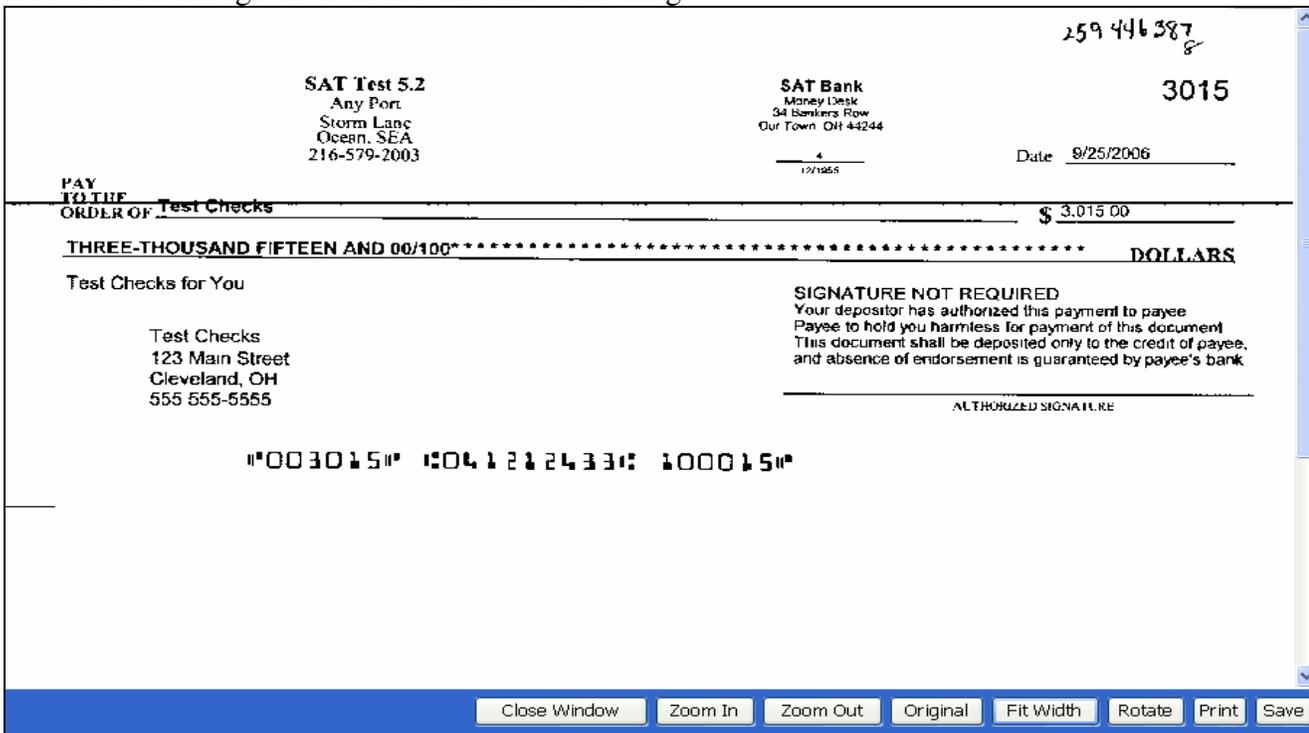


Figure 5.31.06

To Print the Image:

From the 'CIRA Detail' window, click the 'Show Image' button. Once the image is displayed as seen in Figure5.31.07, 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.

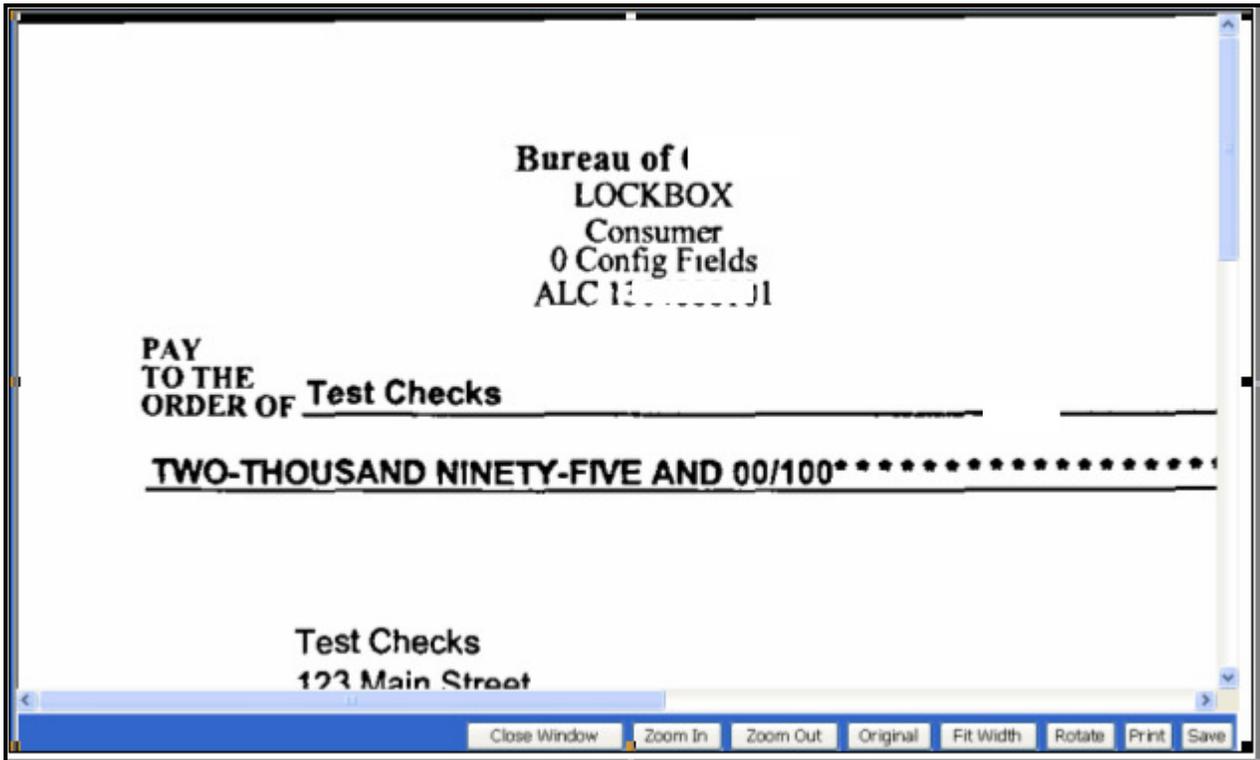


Figure 5.31.07

To Print the Details:

From the 'CIRA Detail' window, click the 'Print Details' button. A 'Check Details' screen appears as in Figure 5.31.08. 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 is sent and click the 'Print' button.

Check Details			
Date : 09/29/2006 15:13:54			
IRN : 150917770246100001254			
Status	Represented	ALC or DSSN Code	0000789502
Capture Date	09/20/2006	Received Date	09/21/2006 13:31:43
Account	LC.....	Bank Routing Number	041212433
Check Number	003015	Check Amount	\$4,015.00
Batch ID	35671E46-02A9-438B-BCD6-63898EED060A	Cashier ID	Nancy Test
Check Type	Non-Personal	Processing Mode	1
Z15/Deposit Ticket Number	000267	5515/Debit Voucher Number	
Settlement Date	09/22/2006 00:00:00	Return Settlement Date	
GENERIC_FIELD1	259446388		

Figure 5.31.08

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 is 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 <input type="text" value="0000789501"/>		Form Name <input type="text" value="-- Select Form --"/>
Include Subordinate Locations Yes <input checked="" type="radio"/> No <input type="radio"/>		Deploy Date <input type="text" value="-- 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"/>	Status <input type="text" value="ALL"/>
IRN <input type="text"/>	Cashier ID <input type="text"/>	Check Amount <input type="text" value="Equal To"/>
Check Number <input type="text"/>	Batch ID <input type="text"/>	
5515/Debit Voucher Number <input type="text"/>	215/Deposit Ticket Number <input type="text"/>	

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

Total Records <input type="text" value="77"/>	Total Check Amount <input type="text" value="\$220,382.46"/>
---	--

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 reduces the amount of time the query takes.

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 titled "https://qair.pccote.gov - U.S. Treasury Paper Check Conversion Over the Cou...". The main content area is titled "A Detail" and contains a list of fields with their corresponding values:

IRN	150917770246100001117
ALC or DSSN Code	0000789502
Capture Date	08/17/2006
Bank Routing Number	04210001
Bank Account Number	11 75
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

Below the fields is a "Show Config Fields" button. At the bottom of the screen, there are four buttons: "Show Image" (circled in red), "Show History", "Print Details", and "Close Window". A black arrow points from the "Show Image" button to the "Batch ID" field.

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 appears: (Figure 5.32.3)

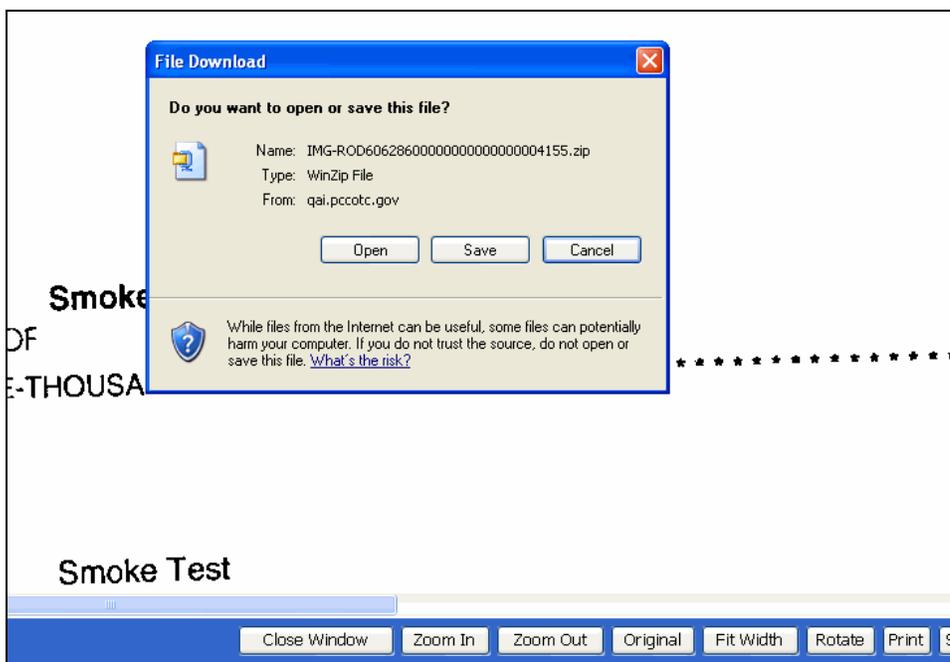


Figure 5.32.3

1. Click the 'Save' button in the File Download window. The system displays a 'Save As' window as in Figure 5.32.4.

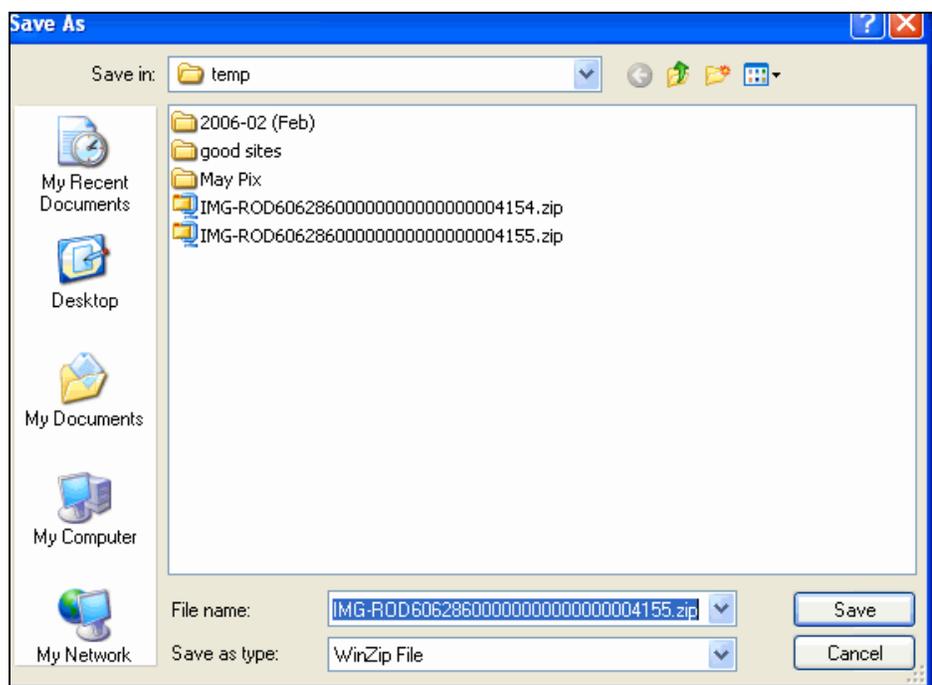


Figure 5.32.4

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 appears as displayed in Figure 5.32.5.

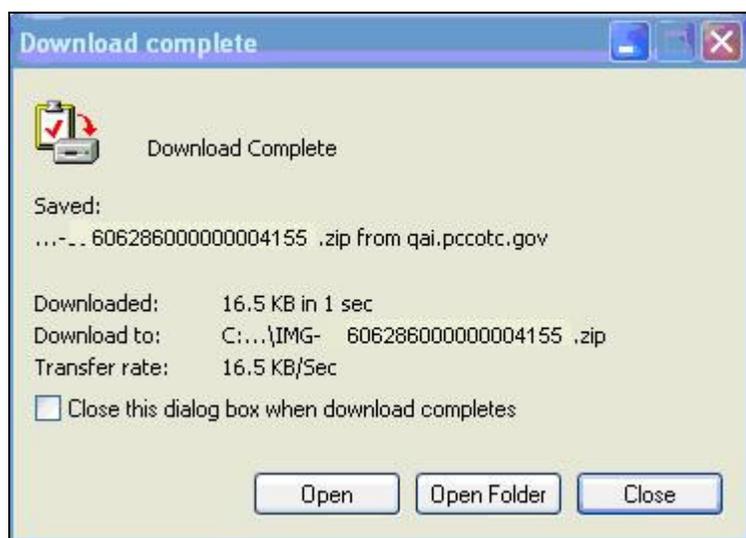


Figure 5.32.5

3. Click the 'Open' button at the bottom of the window. A WinZip window opens (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.

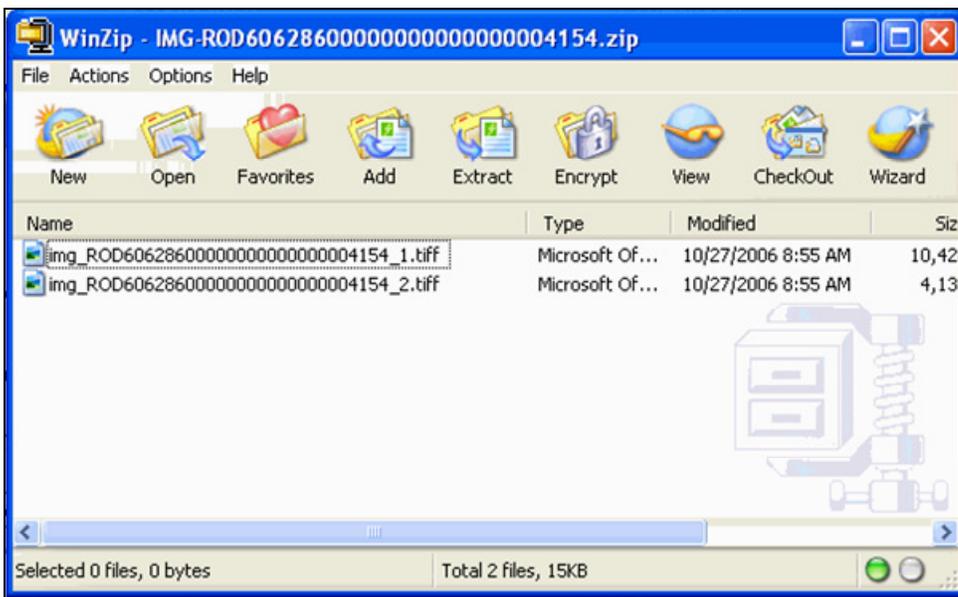


Figure 5.32.6

- 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 opens (Figure 5.32.7).

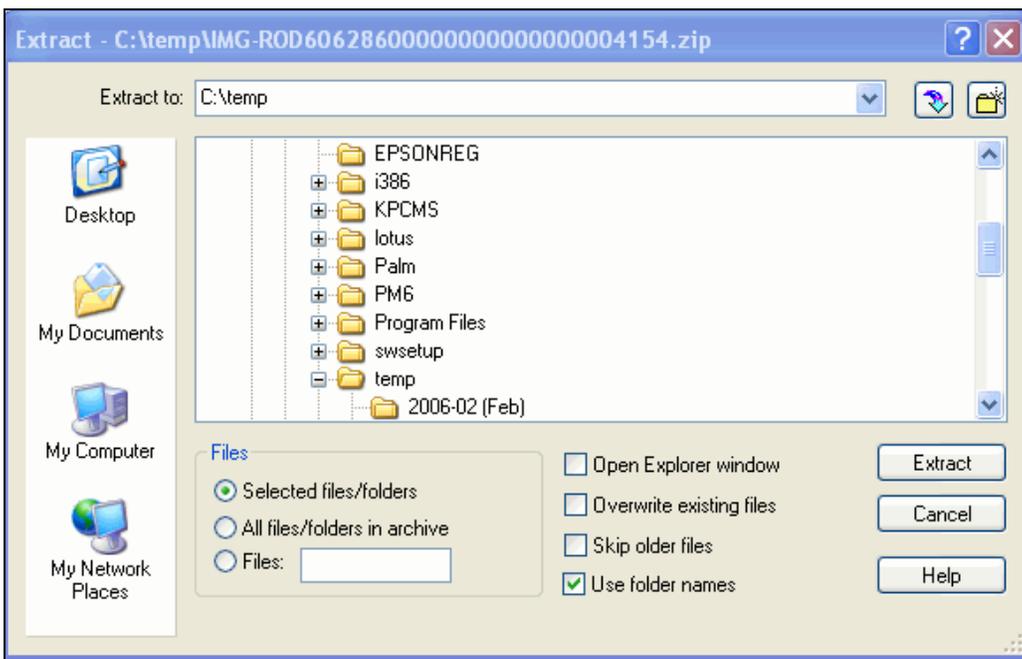


Figure 5.32.7

- 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 are 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 appears: (Figure 5.33)

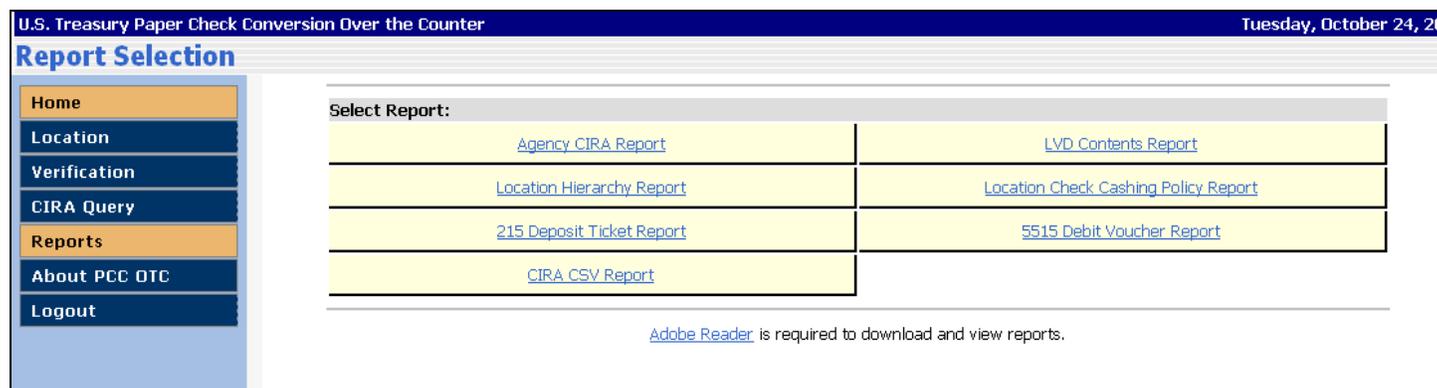


Figure 5.33

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 on the bottom of the screen: (from left to right)

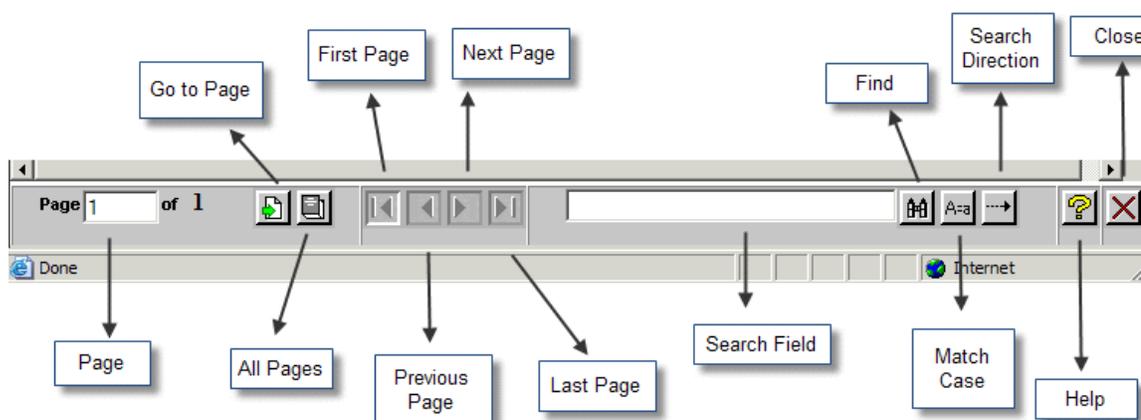


Figure 5.33.1

Button	Functionality
Page	Type the page number of the page to view in the Page field and press ENTER or click the Go to Page button
Go to Page	Click the Go to Page button to view the page number entered in the Page field
All Pages	Click to display all pages of the report. Click BACKSPACE to return to the on demand page viewer
First Page	Click to display all pages of the report. Click BACKSPACE to return to the on demand page viewer
Previous Page	Click to view the previous page of the report

Button	Functionality
Next Page	Click to view the next page of the report
Last Page	Click to view the last page of the report
Search Field	Type search criteria and press ENTER or click the Find button
Find	Click the find button to view the results of the search criteria entered into the Search Field. Search results will be underlined
Match Case	Click to make search criteria entered into Search Field case sensitive
Search Direction	Click to make Search Direction forward or backward. This will organize data in chronological or reverse chronological order
Help	Click to activate Help feature in Web browser
Close	Click to close report and return to the Select Report page

To print a report *it is advised that you select PDF as the report output format from the Report Format dropdown box, if no selection is made the report defaults to HTML.*

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. Select any Report from the Reports screen.
2. A screen should appear which allows you to define the parameters of the Report . The Agency CIRA report is used as an example below: (Figure 5.33.2)

U.S. Treasury Paper Check Conversion Over the Counter Thursday, December 17, 2009

Agency CIRA Report

Agency CIRA Report
This report displays the transaction activity for the specified location.

Search Criteria:

Location Name:	FederalReserve
Include Subordinate Locations:	<input checked="" type="checkbox"/>
Date From:	12/17/2009
Date To:	12/17/2009
Received Date:	<input type="radio"/>
Captured Date:	<input type="radio"/>
Batch ID:	ALL
Cashier ID:	ALL
Report Format:	HTML

Submit Request Cancel

Figure 5.33.2

3. Select the report output format (i.e. HTML, PDF, Excel, or PPT) from the dropdown box, if no selection is made the report defaults to HTML.
4. Once the format is selected and all other specification have been made, click the the Submit Request button.
5. If downloading in Excel format, a file download window appears asking if you'd like to open or save this file. Click the 'Save' button.* A 'Save As' window appears. Choose 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 appears. Click the 'Close' button.
6. If downloading the report in PDF format, the report will appear after the Submit Request button is clicked. The report can be printed or saved from this screen with the Print and Save buttons in the upper left-hand corner of the report.

**If your information bar appears and reads "To protect your security, Internet Explorer blocked this site from downloading files to your computer. Click here for options," click the bar and select Download File, then submit the request again*

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)

U.S. Treasury Paper Check Conversion Over the Counter Thursday, December 17, 2009

Agency CIRA Report

This report displays the transaction activity for the specified location.

Search Criteria:

Location Name:	FederalReserve
Include Subordinate Locations:	<input checked="" type="checkbox"/>
Date From:	12/17/2009
Date To:	12/17/2009
Received Date:	<input type="radio"/>
Captured Date:	<input type="radio"/>
Batch ID:	ALL
Cashier ID:	ALL
Report Format:	HTML

Submit Request Cancel

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. Select the report output format (i.e. HTML, PDF, Excel, or PPT) from the dropdown box, if no selection is made the report defaults to HTML.
10. Click 'Submit Request'. The following is an example of how the results screen appears: (Figure 5.35)

Note: *If you are executing reports for multiple locations, the output is not sorted.*

U.S. Treasury Paper Check Conversion Over the Counter Monday, December 21, 2009

Agency CIRA Report

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

Agency CIRA Report
From Date: 09/01/2009 To Date: 12/21/2009

Location: FederalReserve Location Only: N

Daily Summary for all Locations	Received Date	Item Count	Dollar Amount
99999999T5	10/08/2009	3	\$4,020.00
Grand		3	\$4,020.00

Page 1 of 1

© 2007 U.S. Treasury All rights reserved. [Rules of Behavior](#) - [Privacy Statement](#) - [Accessibility Statement](#)

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 shows 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)

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. Select the report output format (i.e. HTML, PDF, Excel, or PPT) from the dropdown box, if no selection is made the report defaults to HTML.
5. Click the **'Submit Request'** button. The following screen appears: (Figure 5.37)

U.S. Treasury Paper Check Conversion Over the Counter Thursday, December 17, 2009

Location Hierarchy Report

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

Location Hierarchy Report

12/17/2009

Home Location: FederalReserve

Ancestor of location: FederalReserve

Level

1 ___FederalReserve

The Federal Reserve root of the location hierarchy

Descendent of location: FederalReserve

Level

1 ___FederalReserve

The Federal Reserve root of the location hierarchy

2 ___DeptofDefense

Department of Defense

2 ___DeptofTreasury

Department of Treasury

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 the Treasury OTC Support Center. 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 the '215 Deposit Ticket Report' request form. The page title is 'U.S. Treasury Paper Check Conversion Over the Counter' and the date is 'Thursday, December 17, 2009'. The form has a left-hand navigation menu with options: Home, Location, Verification, CIRA Query, Reports, Centralized Deployment, Form Management, Administration, Scheduler, and About PCC OTC. The main content area is titled '215 Deposit Ticket Report' and includes a yellow banner stating 'Run once daily and covers all items settled that business day.' Below this is the 'Report Filters' section with the following fields: 'Location Name' (text box with 'FederalReserve' and a search icon), 'Start Date' (calendar icon with '12/17/2009'), 'End Date' (calendar icon with '12/17/2009'), and 'Report Format' (dropdown menu with 'HTML' selected). There is a checked checkbox for 'Include Subordinates'. At the bottom right of the form are 'Submit Request' and 'Cancel' buttons.

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.
5. Select the report output format (i.e. HTML, PDF, Excel, or PPT) from the dropdown box, if no selection is made the report defaults to HTML.

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

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

U.S. Treasury Paper Check Conversion Over the Counter Tuesday, January 5, 2010

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: 12/05/2009 To Date: 01/05/2010

215 - Deposit Ticket
 ALC: 99999999T0 Deposit Ticket No: 000063 Fiscal Agent: FRB Cleveland Settlement Date: 12/15/2009

215 - Detail
 ALC: 99999999T0 Location Name: Test Team 0

Cashier ID	Transaction Date	Summary Count	Summary Amount
pospoc	12/10/2009	1	\$10,000.99
Total ALC: 99999999T0		1	\$10,000.99

215 - Summary

Summary number of count:	1
Summary of total amount:	\$10,000.99

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 remain on the current numbering sequence. For additional information please contact the Treasury OTC Support Center.

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)

U.S. Treasury Paper Check Conversion Over the Counter Thursday, December 17, 2009

LVD Contents Report

This report displays the contents of a Local Verification Database (LVD) for a given ALC+2.

Report Filters:

Location Name:	<input type="text" value="FederalReserve"/>	
Transaction Type:	<input type="text" value="ALL"/>	
Trade Status:	<input type="text" value="ALL"/>	
For Account:	<input type="text" value="ALL"/>	
Configurable Field 1:	<input type="text" value="ALL"/>	
Bank Routing Number:	<input type="text" value="ALL"/>	
Report Format:	<input type="text" value="HTML"/>	

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. Select the report output format (i.e. HTML, PDF, Excel, or PPT) from the dropdown box, if no selection is made the report defaults to HTML.
10. Click the 'Submit Request' button.

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

LVD Contents Report

Requested By: COMMQA1
Target Location: 830000010A

Date: 01/06/2010
Num of records: 4

Configurable Field	Routing Number	Account Number	Closed Account	Denied Until	Trade Status	Override	MVD Date	Location Description
performance_tes	1111111111	****5	01	09/09/2099	BLOCKED	Y	05/15/2009	The Federal Reserve root of the location hierarchy
performance_tes	1111111111	****9	01	09/09/2099	BLOCKED	Y	05/15/2009	The Federal Reserve root of the location hierarchy
performance_tes	1111111111	****1	01	01/07/2010	CLEARED	Y	05/18/2009	The Federal Reserve root of the location hierarchy
performance_tes	1111111111	****3	01	01/07/2010	CLEARED	Y	05/18/2009	The Federal Reserve root of the location hierarchy

Page 1 of 1
For Official Use Only

End Of Report

Page 1 of 1

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)

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. Select the report output format (i.e. HTML, PDF, Excel, or PPT) from the dropdown box, if no selection is made the report defaults to HTML.
6. Click the ‘Submit Request’ button.
7. The following is an example of how the results screen appears: (Figure. 5.43)

U.S. Treasury Paper Check Conversion Over the Counter Thursday, December 17, 2009

Location Check Cashing Policy Report

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

Location Check Cashing Policy Report

Home Location: FederalReserve
 Location Only: N

Location: FederalReserve Level: 0

Policy Holder: FederalReserve

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

Suspension Periods

Occurrence	Days
1	30
2	60
3	90

Acceptable Return Reason Codes

Reason Code	
Code	Description
01	Insufficient Funds
02	Account Closed
08	Payment Stopped

Page 1 of 1

© 2007 U.S. Treasury All rights reserved. [Rules of Behavior](#) - [Privacy Statement](#) - [Accessibility Statement](#)

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) contains the debit voucher number for each item that is retired by Citibank. 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 the Treasury OTC Support Center. The Treasury OTC Support Center 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 states, '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)

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.
5. Select the report output format (i.e. HTML, PDF, Excel, or PPT) from the dropdown box, if no selection is made the report defaults to HTML

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

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

U.S. Treasury Paper Check Conversion Over the Counter Friday, January 29, 2010

5515 Debit Voucher Report

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: 01/01/2010 To Date: 01/20/2010

Location: FederalReserve Fiscal Agent: FRB Cleveland

Location Name: 9999999901 Description: IRS TEST ALC1 Settlement Date: 01/08/2010

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CASH LINK	\$ Amount	Cashier ID	Return Reason Code
000003	12628867610015746724	01/07/2010	100090	\$12.00	pospoc	205 -- Payment Stopped
000004	12628868760025746724	01/07/2010	100090	\$12.01	pospoc	204 -- Refer to Maker
000005	12628869540035746724	01/07/2010	100090	\$12.02	pospoc	203 -- Account Closed
000006	12628872030045746724	01/07/2010	100090	\$12.30	pospoc	207 -- Unable to Locate
000007	12628872590055746724	01/07/2010	100090	\$12.04	pospoc	303 -- Encoding Error
Summary number of transactions:		5				
Summary of total dollars:		\$60.37				

Page 1 of 1

© 2007 U.S. Treasury All rights reserved. [Rules of Behavior](#) - [Privacy Statement](#) - [Accessibility Statement](#)

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 remain on the current numbering sequence. For additional information please contact the Treasury OTC Support Center.

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 lists 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).

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: 01/01/2010 To Date: 01/20/2010

Location: FederalReserve Fiscal Agent: FRB Cleveland
Location Name: 9999999901 Description: IRS TEST ALC1 Settlement Date:
01/08/2010

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CASH LINK	\$ Amount	Cashier ID	Return Reason Code
000003	12628867610015746724	01/07/2010	100090	\$12.00	pospoc	205 - - Payment Stopped
000004	12628868760025746724	01/07/2010	100090	\$12.01	pospoc	204 - - Refer to Maker
000005	12628869540035746724	01/07/2010	100090	\$12.02	pospoc	203 - - Account Closed
000006	12628872030045746724	01/07/2010	100090	\$12.30	pospoc	207 - - Unable to Locate
000007	12628872590055746724	01/07/2010	100090	\$12.04	pospoc	303 - - Encoding Error
Summary number of transactions:		5				
Summary of total dollars:		\$60.37				

Page 1 of 1

ts reserved. Rules of Behavior - Privacy Statement - Accessibility Statement

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).

U.S. Treasury Paper Check Conversion Over the Counter
5515 Debit Voucher Report

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: 01/01/2010 To Date: 01/20/2010

Location: FederalReserve Fiscal Agent: FRB Cleveland
 Location Name: 9999999901 Description: IRS TEST ALC1 Settlement Date: 01/08/2010

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CASH LINK	\$ Amount	Cashier ID	Return Reason Code
000003	12628867610015746724	01/07/2010	100090	\$12.00	pospoc	205 - - Payment Stopped
000004	1262886876002574672	01/07/2010	100090	\$12.01	pospoc	204 - - Refer to Maker
000005	1262886954003574672	01/07/2010	100090	\$12.02	pospoc	203 - - Account Closed
000006	12628872020045746724	01/07/2010	100090	\$12.30	pospoc	207 - - Unable to Locate
000007	12628872590055746724	01/07/2010	100090	\$12.04	pospoc	303 - - Encoding Error
Summary number of transactions:			5			
Summary of total dollars:			\$60.37			

Page 1 of 1

© 2007 U.S. Treasury All rights reserved. Rules of Behavior - Privacy Statement - Accessibility Statement

Copies the selection to the Clipboard.

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 'IR N' field to open up a menu window. Click 'Paste'. (Figure 5.45.3). The IR N is pasted into the field.

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

CIRA Query - Criteria

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

Location: 0000999911 Form Name: -- Select
 Include Subordinate Locations: Yes No Deploy Date: -- Select

Generic Fields
 GENERIC_FIELD1: GENERIC_FIELD2:
 GENERIC_FIELD3: GENERIC_FIELD4:

Account: Bank Routing Number: Status: ALL
 IRN: Cashier ID: Check Amount: Equ
 Check Number: Batch ID:
 5515/Debit Voucher N: 215/Deposit Ticket Number:

Received Date: From 12/04/2006 To 12/07/2006
 Check Capture Date: From 12/04/2006 To 12/04/2006
 Settlement Date: From To
 Return Settlement Date: From To

Figure 5.45.3

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

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 appears on the report. For file layout specifications of the CIRA CSV report, please see ‘Appendix R’ of the Appendix chapter of this User Manual.

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)

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.

- A window appears with a choice to either ‘Open’ or ‘Save’ the report. If the user chooses to open the report, the computer’s spreadsheet software opens the file. If the computer does not have spreadsheet software, the file needs to be ‘Saved’ and opened on a computer that has spreadsheet software. When the report is opened it looks 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 NI	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	30/11/2006 9:20	1451	55
8	150914770207600001731	£ 1	11/28/2006 10:02	12/1/2006 8:06	£ 3/11/2006 10:02	1064 74	
9	150914770207600001732	£ 1	11/28/2006 10:21	12/1/2006 8:06	1/11/2006 10:21	122	36
10	150914770207600001733	£ 1	11/28/2006 10:36	12/1/2006 8:06	1/11/2006 10:36	102	54
11	150914770207600001734	£ 1	11/28/2006 10:41	12/1/2006 8:06	3/11/2006 10:41	1023 267	
12	150914770207600001736	£ 1	11/28/2006 13:11	12/1/2006 8:06	7/11/2006 13:11	141299 80	
13	150914770207600001737	£ 1	11/28/2006 13:13	12/1/2006 8:06	1/11/2006 13:13	412	37
14	150914770207600001738	£ 1	11/28/2006 13:29	12/1/2006 8:06	2/11/2006 13:29	5420	30
15	150914770207600001739	£ 1	11/28/2006 13:31	12/1/2006 8:06	£ 3/11/2006 13:31	9012	35
16	150914770207600001740	£ 1	11/28/2006 13:59	12/1/2006 8:06	3/11/2006 13:59	1014 110	18
17	150914770207600001741	£ 1	11/28/2006 14:16	12/1/2006 8:06	3/11/2006 14:16	1034 337	
18	150914770207600001742	£ 1	11/28/2006 14:21	12/1/2006 8:06	2/11/2006 14:21	1 01E	70
19	150914770207600001743	£ 1	11/28/2006 14:24	12/1/2006 8:06	7/11/2006 14:24	1162	32
20	150914770207600001773	£ 1	4/26/2004 1:03	12/2/2006 8:39	12/4/2004 1:03	11 007	
21	150914770207600001774	£ 1	4/26/2004 1:04	12/2/2006 8:39	3/4/2004 1:04	3018 110	37
22	150914770207600001775	£ 1	4/26/2004 1:05	12/2/2006 8:39	3/4/2004 1:05	1042 072	
23	150914770207600001776	£ 1	4/26/2004 1:06	12/2/2006 8:39	3/4/2004 1:06	5397 017	
24	150914770207600001777	£ 1	4/26/2004 1:06	12/2/2006 8:39	1/4/2004 1:06	2070	55
25	150914770207600001778	£ 1	4/26/2004 1:07	12/2/2006 8:39	2/4/2004 1:07	1094	49
26	150914770207600001779	£ 1	4/26/2004 1:08	12/2/2006 8:39	3/4/2004 1:08	1543 177	

Figure 5.47

Note: The word ‘Null’ is 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 POS, this is reflected in the CSV Report results as displayed below in Figure 5.47.1:

CSV Agency Detailed Item Report											
Fri Oct 05 12:54:07 EDT 2007											
TOTAL AMOUNT :		522360									
TOTAL NUMBER OF ITEMS :		23									
IRN	LOCATI	CAPTURE	RECEIVE DA	TRANSIT	CHE	ACCOUNT	AMOUNT	CASHIER	CHECK TY	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	#####	#####	4.1E+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	8C
160518710205100000000.00	8E+09	#####	#####	4.1E+07	###	153158	\$88.00	Nancy Tes	Personal	Back Office	8C
160518710205100000000.00	8E+09	#####	#####	4.1E+07	###	153153	\$9,089.04	Nancy Tes	Personal	Back Office	82E

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 appears 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 appears as in Figure 5.47.1.

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 Treasury OTC Support Center.

1. From the ELVIS Main menu click on 'About PCCOTC'.
2. The following screen appears: (Figure 5.48)

The screenshot shows the 'About PCC OTC' page of the U.S. Treasury Paper Check Conversion Over the Counter website. The page header includes the title 'U.S. Treasury Paper Check Conversion Over the Counter' and the date 'Friday, January 29, 2010'. The left navigation menu lists options: Home, Location, Verification, CIRA Query, Reports, Centralized Deployment, Form Management, Administration, Scheduler, About PCC OTC (highlighted), and Logout. The main content area displays the following information:

- U.S. Treasury Paper Check Conversion Over the Counter**
- Release: internal-20100121-0953
- Build Date: 01/21/2010 09:53 AM
- Database Patch: otc54_0001_mvd_06202009
- The Treasury OTC Support Center is available 24 hours a day, seven days a week.
- Treasury OTC Support Center**
- Telephone: 302-324-6442 (or) 866-945-7920
- E-mail: FMS.OTCChannel@citi.com
- For overseas Military personnel call 510-428-6824, press 4, press 5, press 4
- Mailing address:**
Treasury OTC Support Center - Deployment
8283 Greensboro Drive
McLean, VA 22102

The Treasury Financial Management Service seal is located on the right side of the page. The footer contains the copyright notice: © 2007 U.S. Treasury All rights reserved. Rules of Behavior - Privacy Statement - Accessibility Statement.

Figure 5.48

Citibank is the provider effective January 1, 2009, for PCC OTC. Please contact the Treasury OTC Support Center at (866) 945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com for support.

U.S. Department of the Treasury
Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 6
Daily Processing

January, 2009
Document Version 1.0

Change/Revision History

Date	Chapter/Section	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	

Table of Contents

Daily Processing Step-By-Step User Guide	5
Access Login	5
First Time Users.....	6
Changing a password/Password Expiration	6
Batch Acknowledgement upon Sign on.....	7
Data Entry Screen Upgrade - Check upon Sign on.....	9
Update the Check Verification Database	11
Open Batch Detected	13
Task upgrades.....	14
Tools	16
Application Upgrade	16
Scanner Firmware Upgrade.....	19
LVD Verification Records Upgrade	23
POS Data Entry Screen.....	25
Prior to Data Entry Screen Upgrade	25
To upgrade the Data Entry Screen:	26
After Data Entry Screen Upgrade	27
Batch Control.....	28
The Batch Control Screen.....	28
The Optional Batch Control Screen	28
The Mandatory Batch Control Screen.....	30
The Batch Balancing Screen.....	32
Logical Processing Order.....	36
Process a Check	37
Checks that CAN be processed through POS	37
List of Items that CANNOT be Processed through POS	37
Processing Mode	38
Single vs. Batch Processing Mode.....	38
Select/Change the Processing Mode:	38
Single Check Mode Processing.....	40
Selecting the Location	40
Select the Processing Method (Single Check Mode).....	41
Scanning a Check(EC5000i and EC6000i) (Single Check Mode).....	42
Scan Check (EC7000i) (Single Check Mode).....	45
Select the Item Type (Single Check Mode)	48
Type the Unique Check Data	50
Batch Mode Processing	52
Important Batch Mode Information	53
Selecting the Location (Batch Mode)	54
Select the Processing Method (Batch Mode).....	55
Scan Check (EC7000i) in Batch Mode.....	57
Select the Item Type (Batch Mode)	59

Type the Unique Check Data	62
Scanning a Check with the Panini Scanner	64
Select the Item Type (Batch Mode)	67
Type the Unique Check Data	69
Correcting the Codeline (MICR line)	71
MICR Code Description	73
Personal Check MICR Description	74
Non-Personal Check MICR Description	75
Duplicate Check Detected	76
Image Quality.....	78
How to Cancel a Check	79
Print Receipt	80
Void an Item.....	86
How to View & Print a Batch List and Batch Items.....	90
Export the Batch List	95
Batch Close.....	97
Using the Yes/No Keypad.....	105
Check Verification Process	107
Blocked Item.....	108
Suspend Item	111
Deny Item	113
POS System Activity Log	115
To print the Activity Log:	116
To export the Activity Log:	117
Logging out of the POS Application	118
Exiting the POS Application.....	118

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 appears. The user is 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’.

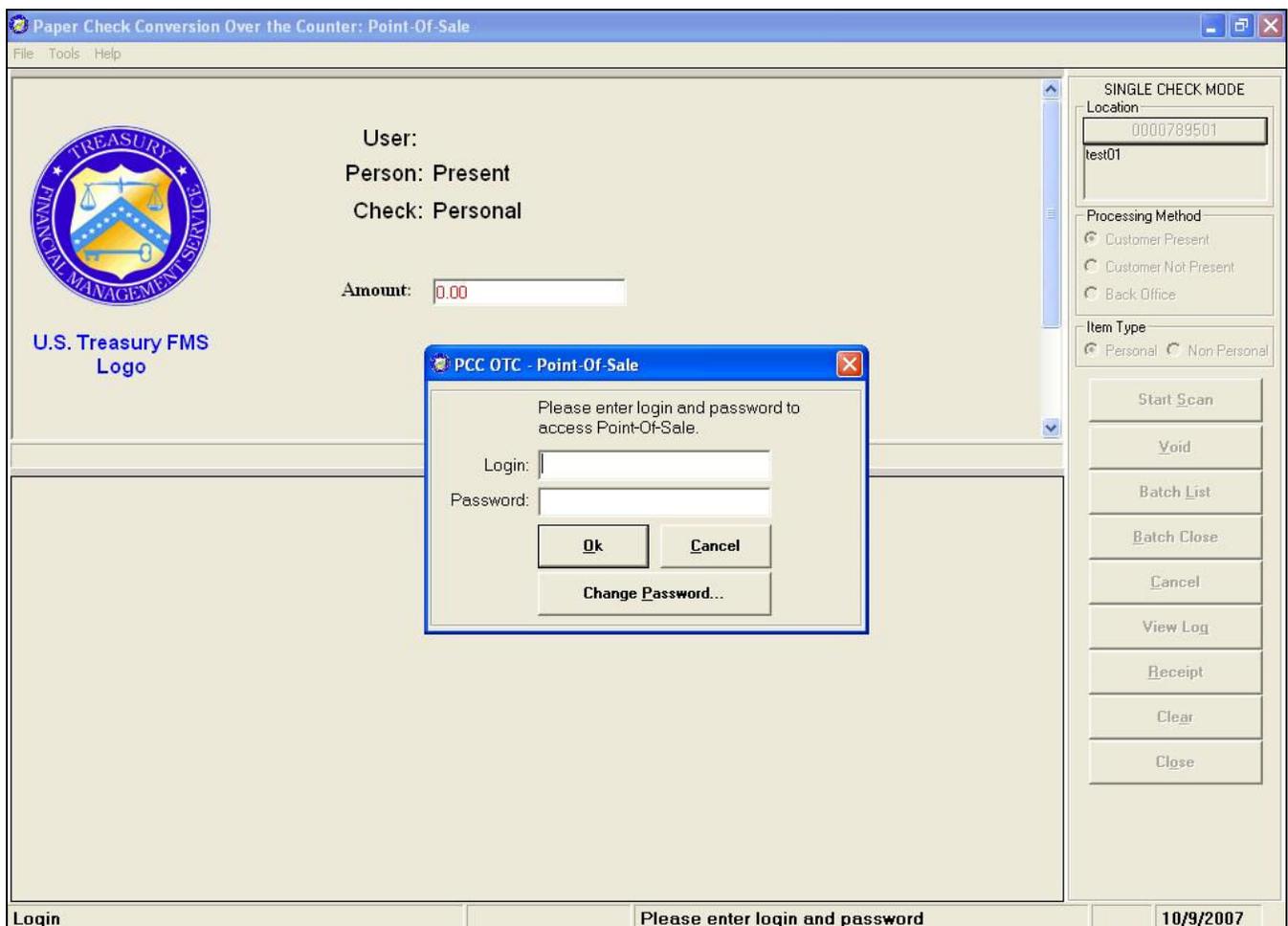


Figure 6.1

The user remains 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 being 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 User Manual.

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 Batch Manager, the user is required to change their password. The P O C assigns 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 prompts the user to change their password (see *Changing a Password* section below). For complete specifics regarding password requirements, please see *Appendix R – Password Requirements* in the Appendix chapter of this User Manual, or contact the Treasury OTC Support Center.

Changing a password/Password Expiration

Users are required to change their password upon initial login. Passwords expire and need to be changed thereafter every 90 days. 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 the login name and password and click the '**Change Password**' button.

The Change Password window opens. (Figure 6.2)

In the 'Old Password' field, type the current password.

In the 'New Password' field, type the 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' momentarily appears. If the scanner is properly configured, the message disappears and the sign on process continues.

If there is a problem with the scanner configuration, the system notifies the user, and if possible, attempts to rectify the problem. For more information, please refer to the Troubleshooting section of this User Manual.

Note: after installing or reinstalling the POS software, there may be a scanner error upon the initial login. (This should be corrected in a future release.) To verify the scanner settings, click on 'File', 'Configuration', then click the 'Devices' tab. Ensure that the correct scanner and port are selected. For more information on scanner settings, please see the 'Devices Configuration Tab' section of the Installation and Configuration chapter of this User Manual.

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 User Manual.

If there are no batches to acknowledge, the screen reflects the image in Figure 6.3. If the system is acknowledging a batch or batches, the screen reflects the image in Figure 6.4.

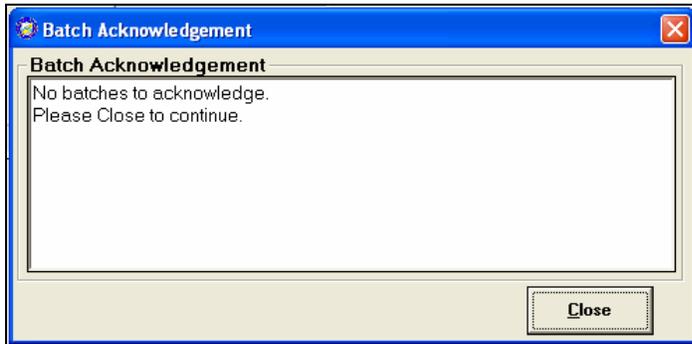


Figure 6.3

Click the 'Close' button to continue.

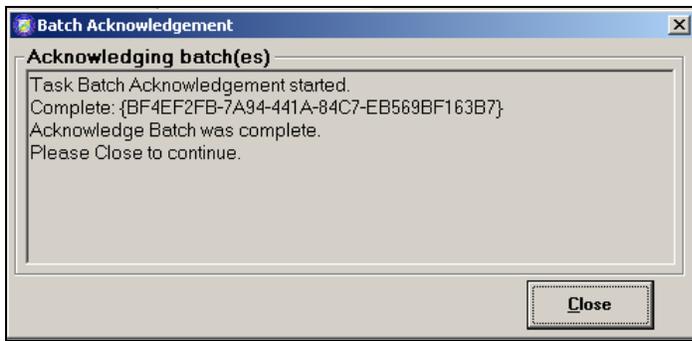


Figure 6.4

Data Entry Screen Upgrade - Check upon Sign on

Upon startup, the POS may also connect to the ELVIS system to check for Data Entry Screen Upgrades. This is based on how the POS computer's 'Tasks' are setup. The default for Data Entry Screen Upgrades is to check upon batch close. For more information on 'Tasks' see *SAT* chapter, System Configuration, Tasks tab of this User Manual.

The Data Entry Screen 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 Data Entry Screens on their A S P (Agency Site Profile). This information is used by the Treasury OTC Support Center to create each customized Data Entry Screen.

This Data Entry Screen displays the Agency's custom configurable fields, up to 24, that appear on the POS data entry screen. After the initial software install, the customized Data Entry Screen needs to be downloaded. For more information on the downloading of data entry screens, see the 'Tools' section of this chapter. On occasion, new Data Entry Screens may be sent to the computer if there have been requests for changes to the form. Multiple Data Entry Screen Upgrades are possible, one for each ALC+2.

When the system checks for the upgrade, the following window appears (Figure 6.5):

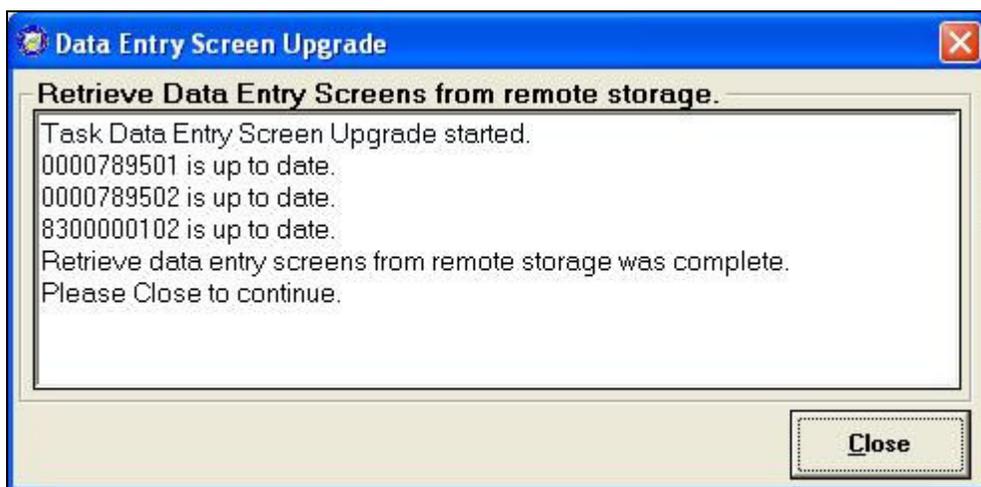


Figure 6.5

Information regarding the result of the Data Entry Screen Upgrade appears within the window. Click the '**Close**' button. The 'Retrieve Data Entry Screen from Local Storage' window opens. (Figure 6.5.1)

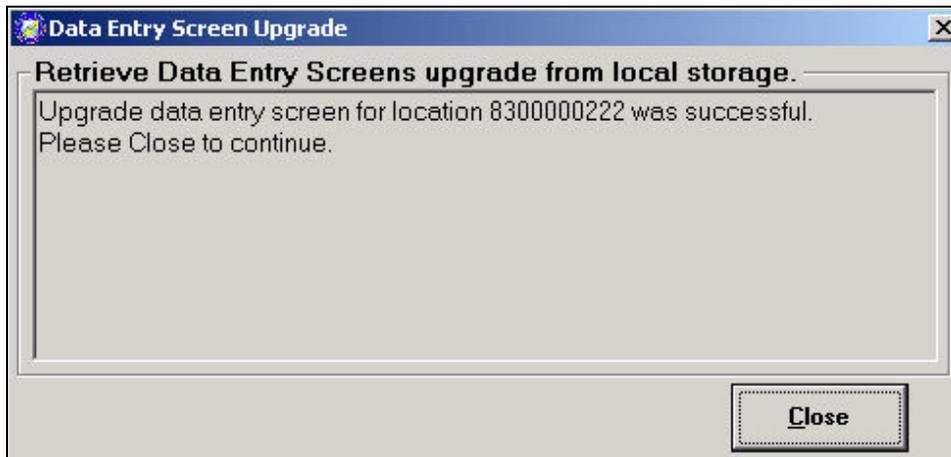


Figure 6.5.1

When it has finished, click the **‘Close’** button.

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 default setting for Check Verification Database updates is set to occur automatically at batch close, so selecting 'Yes' at this prompt is optional, however, the most current LVD should always be used. This modifies the LVD records before processing activity for this batch.

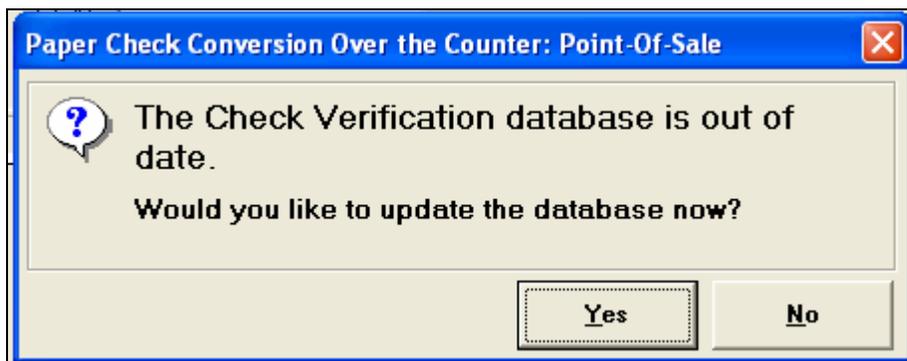


Figure 6.6

If 'Yes' is selected, the database is updated with any new information since the last update (Figure 6.7), provided the operator has access permission to update the LVD.

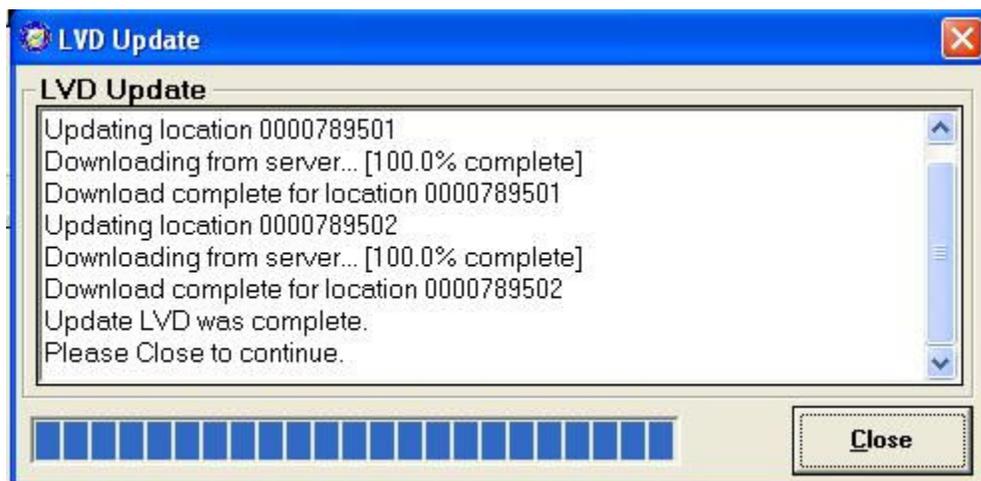


Figure 6.7

If **'No'** is selected, the following message is displayed (Figure 6.8):

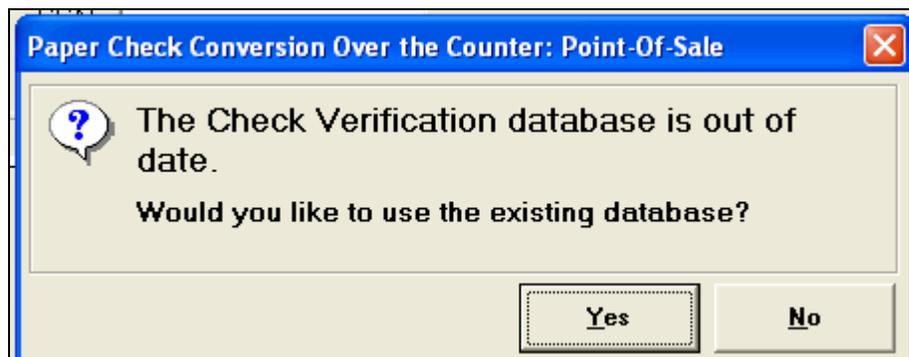


Figure 6.8

If **'Yes'** is selected, the existing LVD is used as long as the database has not exceeded the preconfigured 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 is required to sign on to allow the operator to continue using the outdated database, or the database must be updated. To determine who has this permission, refer to the 'Configure System Roles' section in the *System Administration Tool* chapter.

The operator must also have access permission to authorize the use of an outdated LVD. If the operator does not have this permission, an 'Authorize Verification Database' window appears (Figure 6.8.0) requesting the login and password of an authorized user.



Figure 6.8.0

The authorized user is only authorizing the one-time use of the out of date LVD – the operator that originally signed on to the POS system remains signed on.

If **'No'** is selected to use the existing database (Figure 6.9), an error occurs stating that 'Verification was not successfully activated'. The only option is to click the **'OK'** button. The operator is signed on but transactions are not permitted. In order for transactions to continue, the operator must logout, then log back in and have an authorized person either update the LVD or OK the use of the existing database.

Open Batch Detected

An open batch generates a message upon entering or exiting the POS system. Figure 6.8.1 is an example of the message generated upon startup, if there is an open batch. The listing displays the number and dollar amount of items for each ALC+2 in the batch. Figure 6.8.2 is an example of the message generated upon exiting the POS if there is an open batch. Only the user who created the batch is prompted to complete the batch within the POS. Authorized users can close the batch using Batch Manager if necessary. Authorized users should check the Batch Manager module throughout the day to ensure that all items are processed.

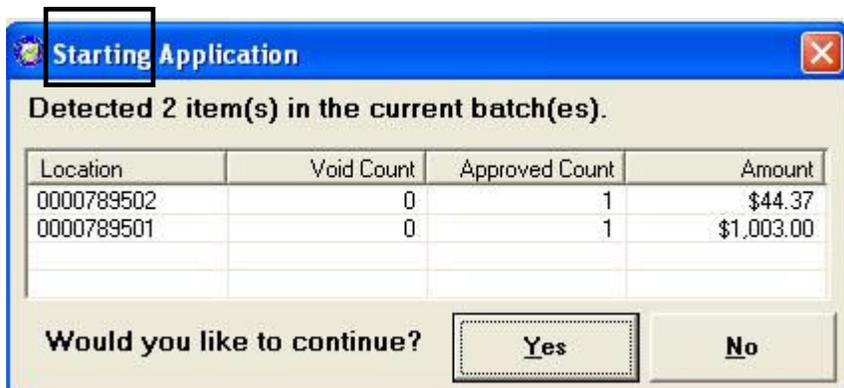


Figure 6.8.1

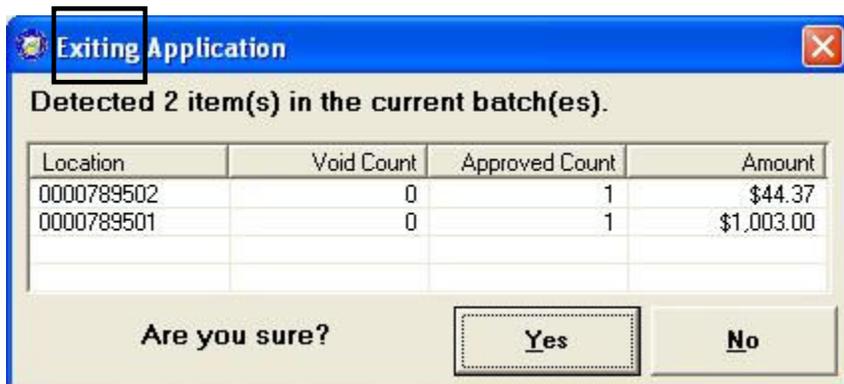


Figure 6.8.2

These messages alert the user that previous items were not completed. More checks can be added to the batch by responding '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 6.8.3). 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 opens the 'Close Batches' window. For procedural information on the 'Batch close' process, please refer to the 'Batch Close' section of this chapter.

Note: Clicking the 'X' at the upper right of the Main POS screen to exit the system does not always generate the message displayed in Figure 6.8.2. Instead, use 'File', 'Exit', or click the 'Close' button on the lower right of the screen. This will be corrected in a future release.

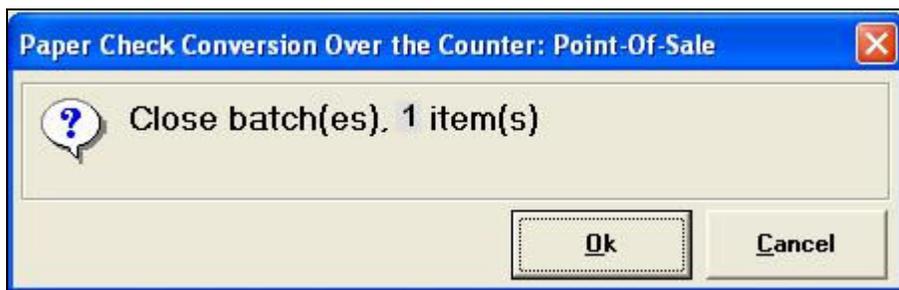


Figure 6.8.3

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/sign off. If incomplete batches exist in the system and another user signs on to the system, they are not 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 prompts 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. The way they are set to run is defaulted when the software is installed but changes can be made in the SAT configuration settings. For more information on the configuration settings, please refer to the *System Administration Tool* chapter of this User Manual. Some examples can be seen in Figures 6.9, and 6.10 below.

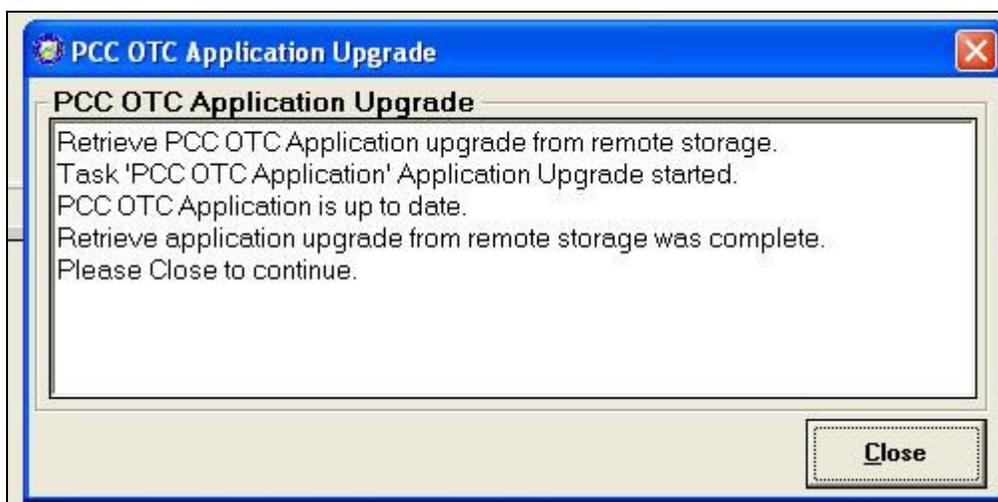


Figure 6.9



Figure 6.10

Note: It is very important that the user **DOES 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 appears with the choices, ‘**PCC OTC Application**’ and ‘**Scanner Firmware**’ when choosing the application upgrade, as displayed in Figure 6.10.2.

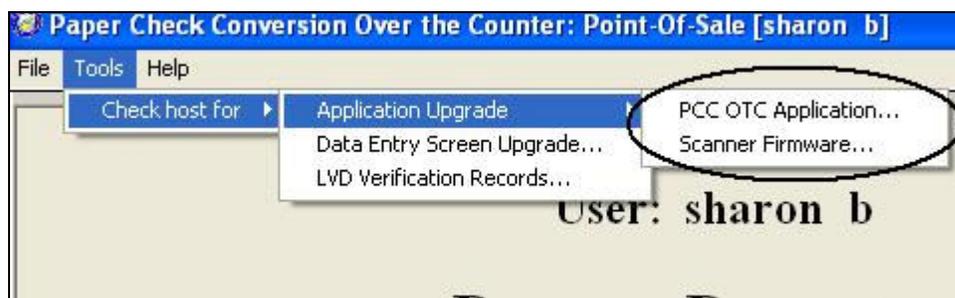


Figure 6.10.2

Note: *Firewalls can block the download of updates or files. The Agency’s firewall settings may need to be altered to allow anything from the Treasury OTC Support Center IP, in order to receive the upgrade. If application downloads are not practical or permissible, a CD with the upgrade can be sent via mail, or the upgrade can be placed on the Agency’s server and the Agency’s 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 (when an upgrade becomes available) and launch the installation procedure. This task can be configured 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 application upgrade.

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).

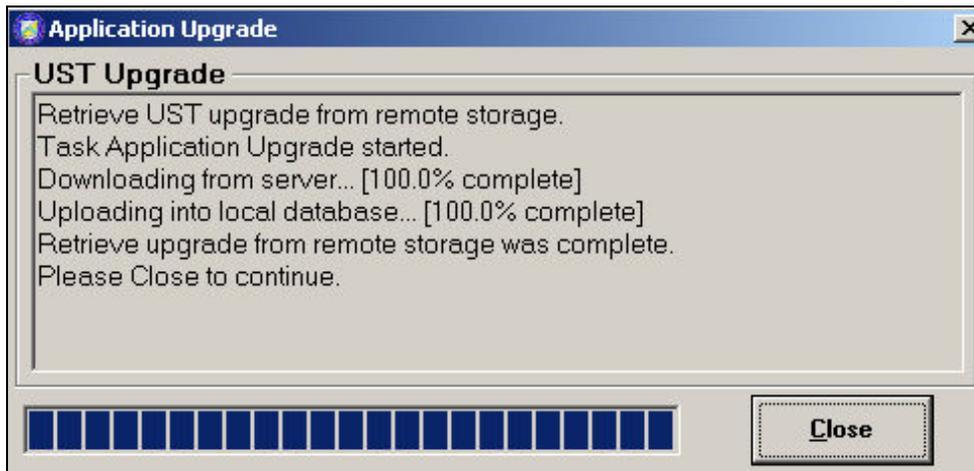


Figure 6.10.3

2. Click the 'Close' button. The 'New Version Available' window opens (Figure 6.10.4)

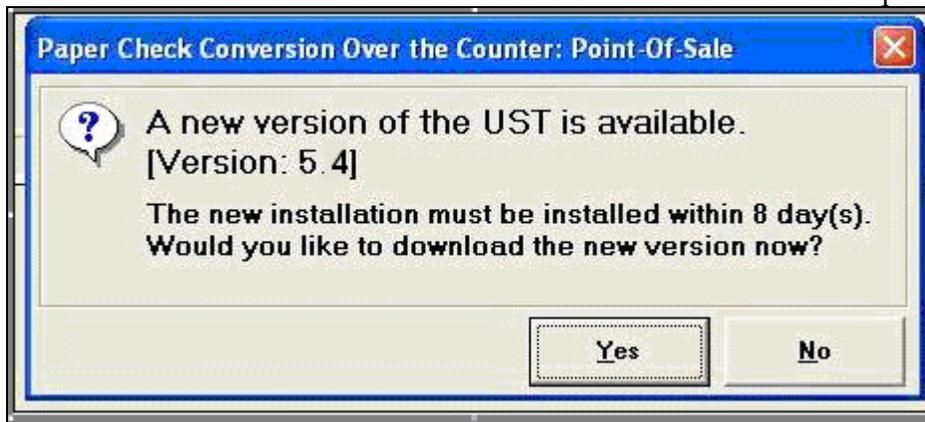


Figure 6.10.4

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 'Application Upgrade' window opens (Figure 6.10.5).

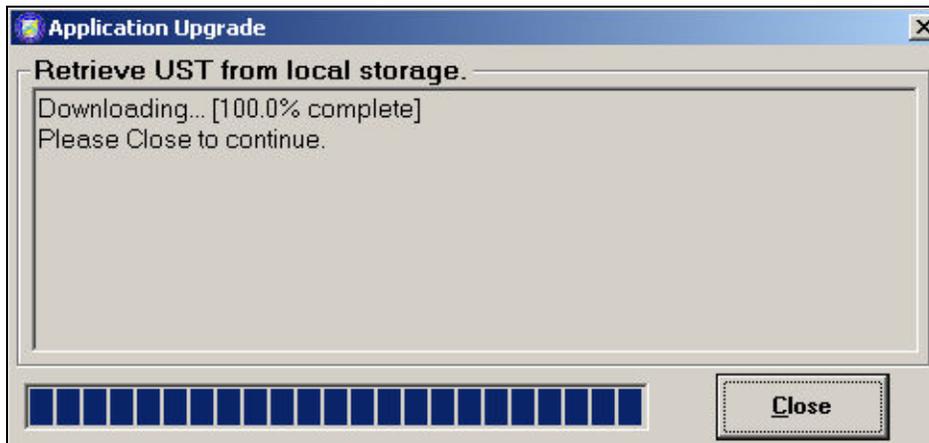


Figure 6.10.5

4. Click 'Close'. The WinZip Self-Extractor archive window opens (Figure 6.10.6)

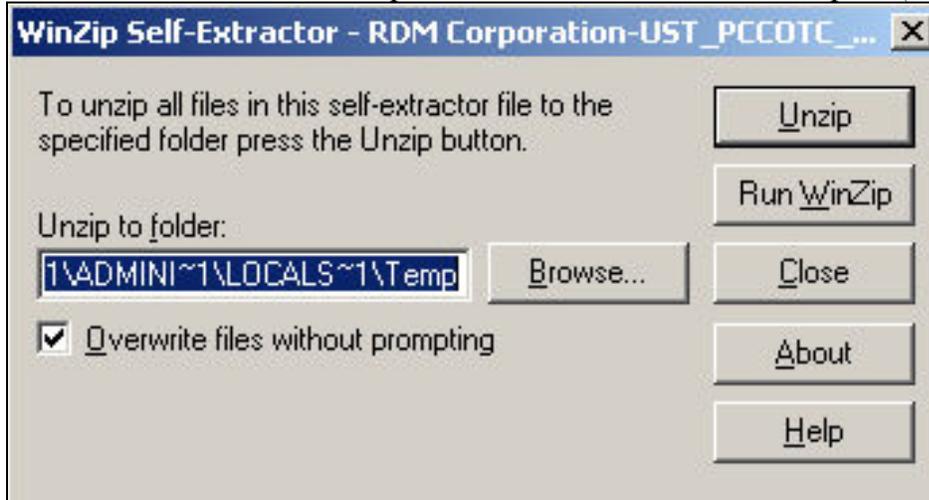


Figure 6.10.6

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 allows 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 and displays the percentage of completion. (Figure 6.10.7)



Figure 6.10.7

2. The screen displays when the upgrade is 100 percent complete (See Figure 6.10.7.1). Click 'Close'.

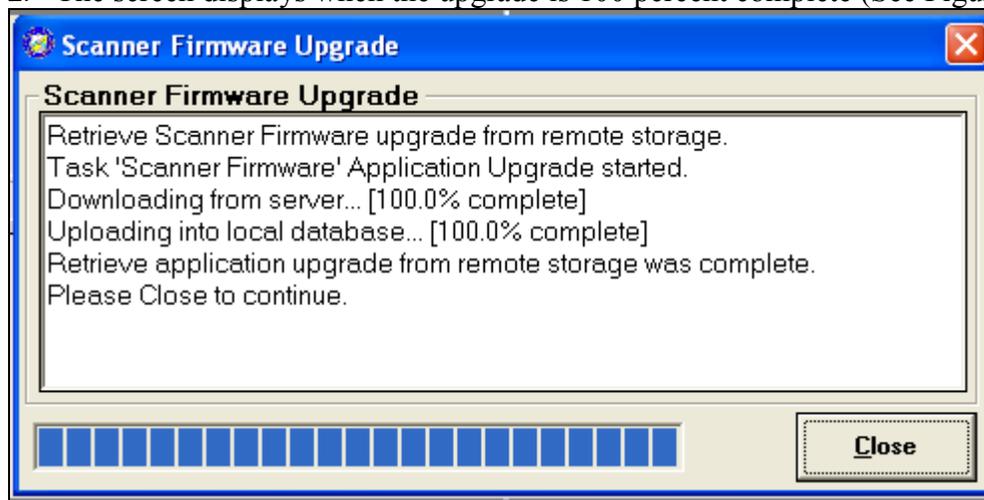


Figure 6.10.7.1

3. The New Version window opens (Figure 6.10.8).

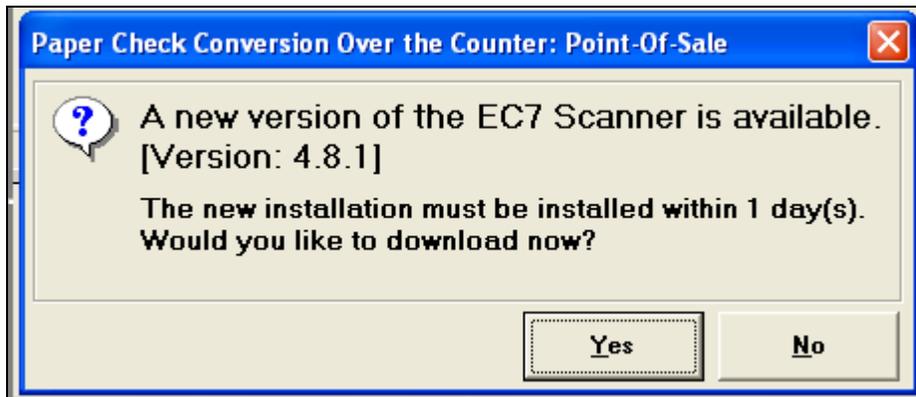


Figure 6.10.8

4. Click 'Yes' to install the new version. The Firmware Install screen window opens (Figure 6.10.9).

Note: The install procedure closes the POS software.

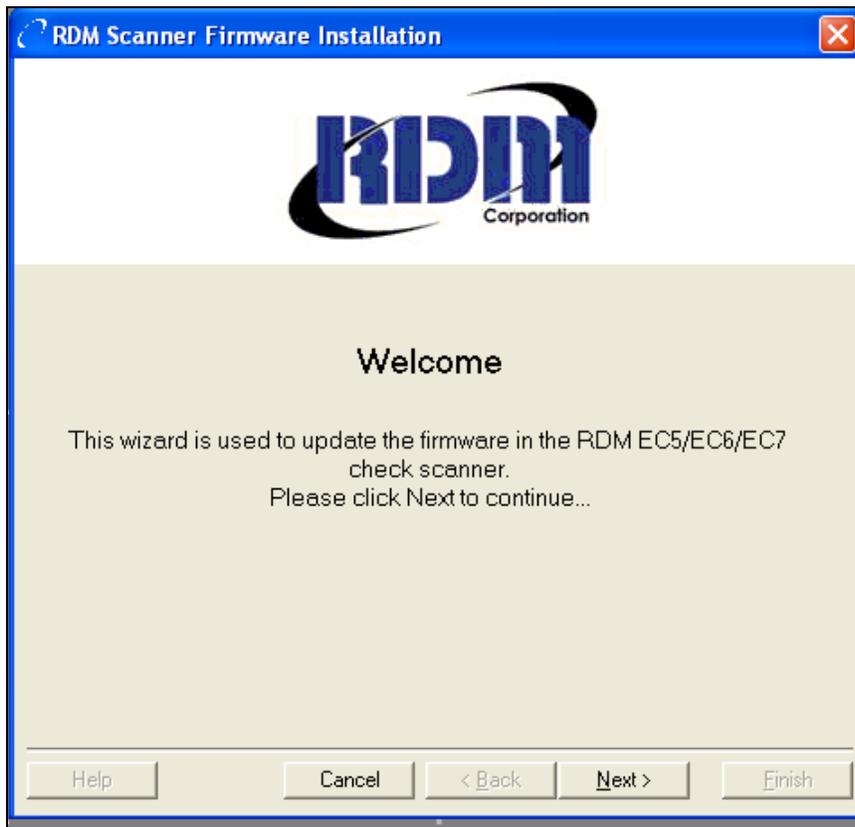


Figure 6.10.9

5. Click 'Next'. The Firmware file is parsed (Figure 6.10.10).

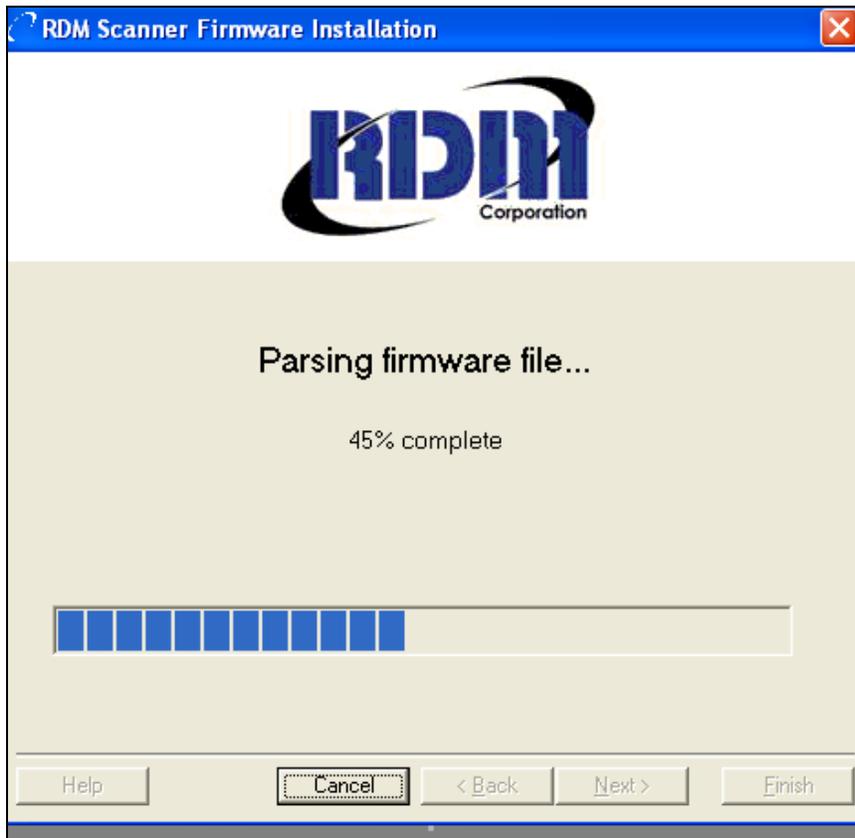


Figure 6.10.10

6. A message appears requesting that the user power off the scanner. Unplug the scanner from the wall or power strip, or unplug the black power cable at the back of the scanner. Be careful not to unplug the USB or Serial cable. Click **'Next'**.
7. When prompted, power the scanner on by reconnecting it to the power source. When the Firmware download is complete, the following screen appears. (Figure 6.10.10.0) Click the **'Finish'** button.

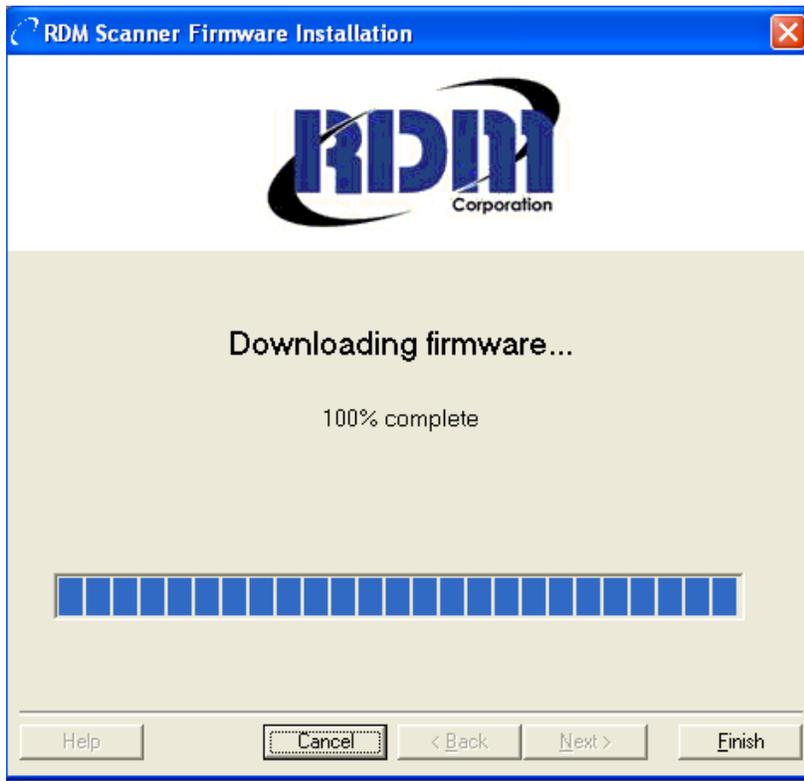


Figure 6.10.10.0

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 only needs to be used if changes to the Data Entry screens have been made. This task can be performed by all users and can be configured to perform automatically at either application startup or batch close.

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).

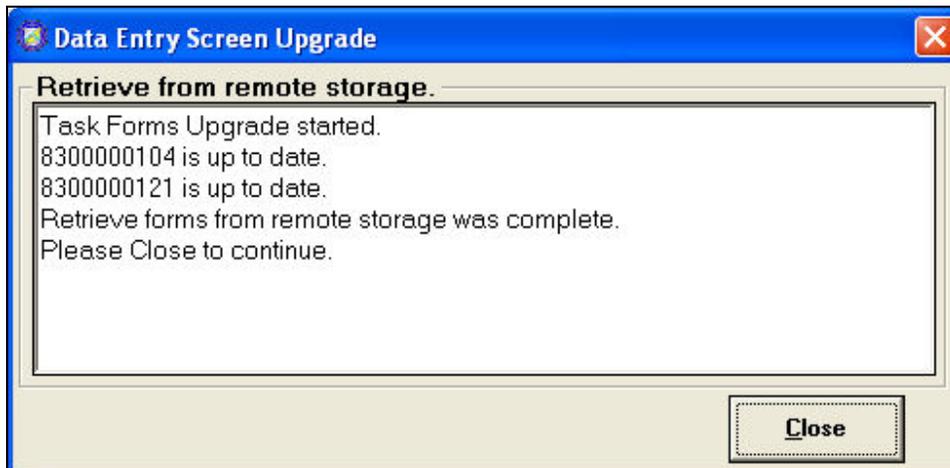


Figure 6.10.11

2. Click 'Close'. The 'Retrieve Data Entry Screen From Local Storage' window opens (Figure 6.10.12)

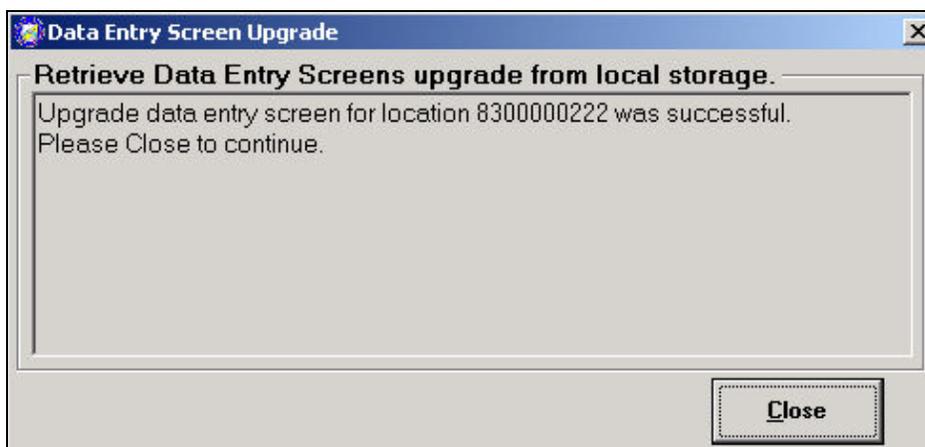


Figure 6.10.12

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 the 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).

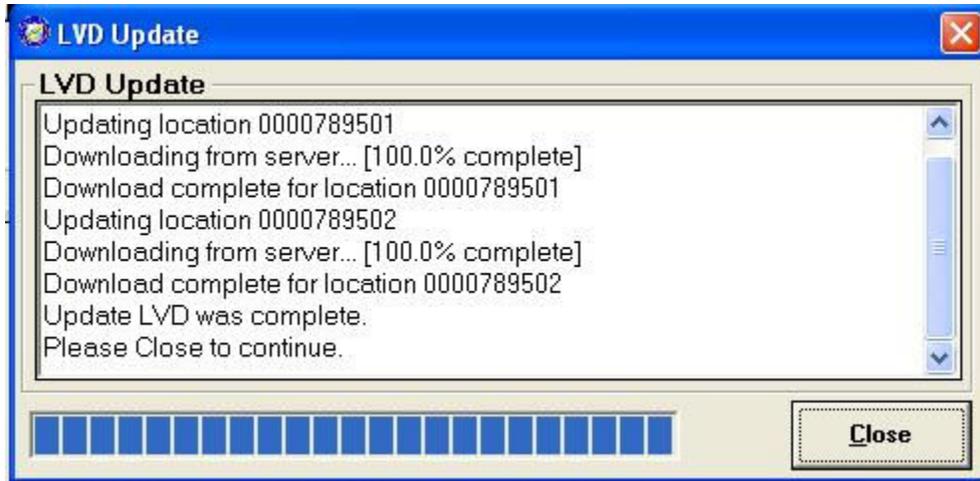


Figure 6.10.13

2. When complete, the user is 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 first needs to be performed to download the Agency's 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 24 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 see a screen similar to the picture in Figure 6.11 when accessing the POS for the first time. Transactions are not permitted (as displayed at the bottom of the screen) until a Data Entry Screen upgrade has been performed.

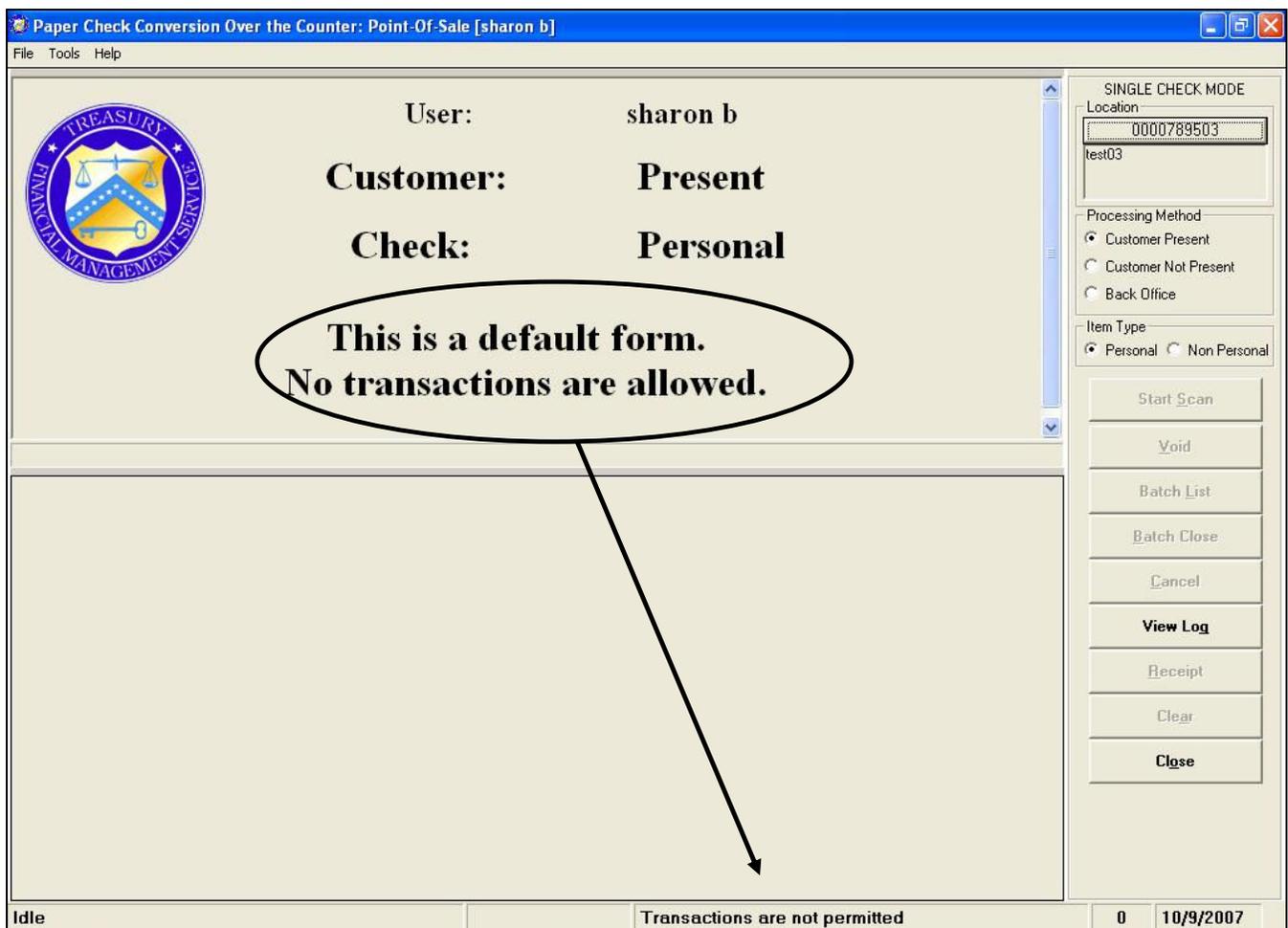


Figure 6.11

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 is displayed listing all of the Agency's ALC+2's.

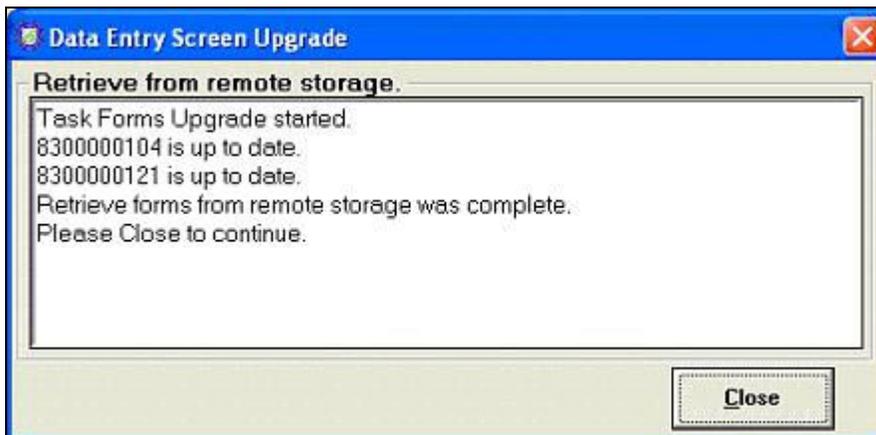


Figure 6.12

When complete, the Agency can begin using the POS data entry screen(s) 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 24 fields. The different areas of the screen are labeled in Figure 6.13.

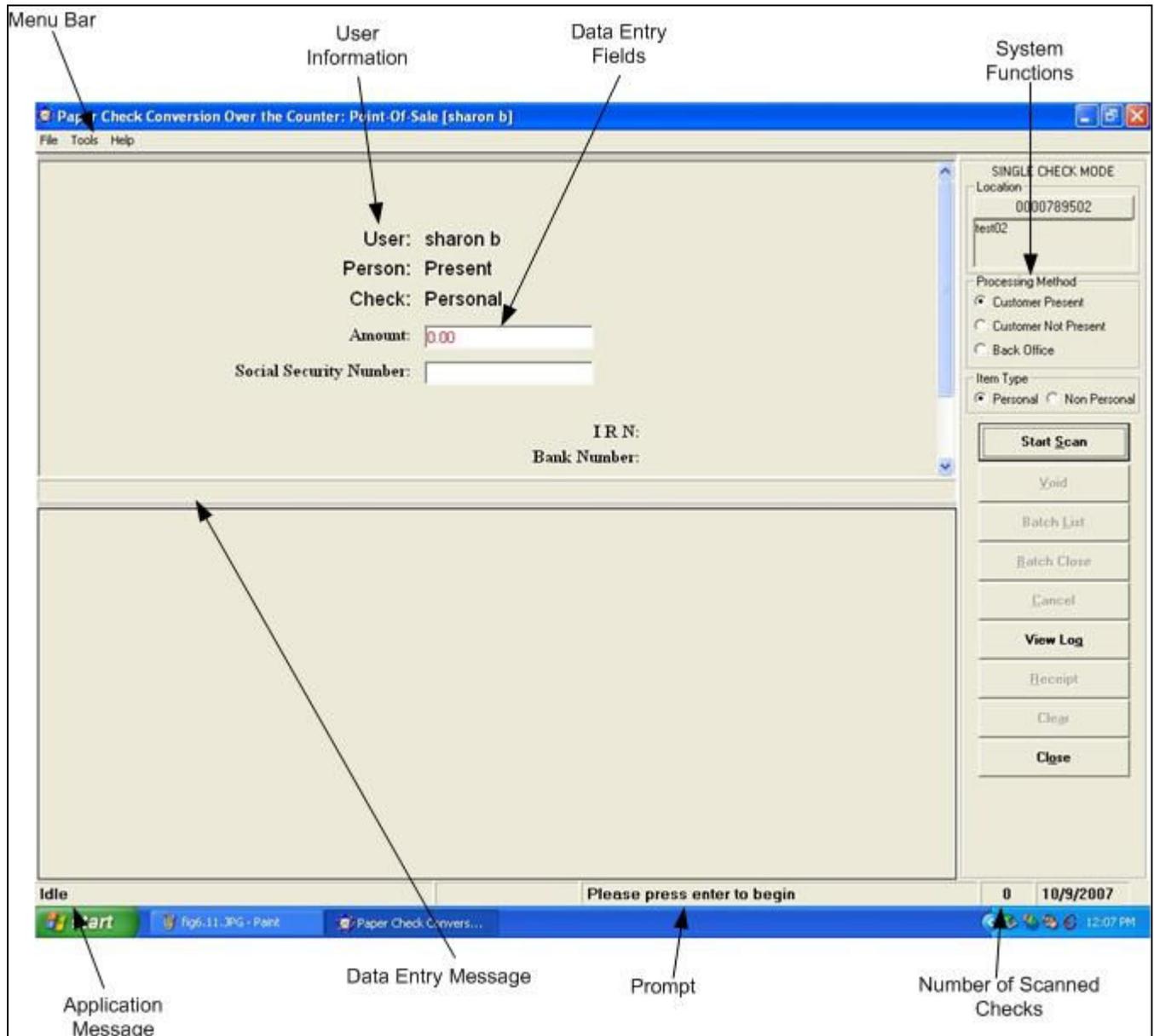


Figure 6.13

Note: The screen pictured above is only an example. Each Agency's screen is customized for their needs and may 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 (see Processing Mode section of this chapter for detailed information on modes). 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 User Manual.

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 the POS computer's 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 appears for each ALC+2 that is included in the batch. Configuration settings for batch control are set in the POS configuration. The P O C or Administrator can choose to configure batch control in four different manners.

Disabled

If set to be optional, the batch control screen never appears.

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.

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 bypasses the batch control function.
- Leave the batch control total amount and count at zeroes.
- The batch control screen does 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 is not prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen appears. 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 is 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 once again appears. 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 appears at the batch create, just prior to scanning the check, or just prior to batch close, depending on the POS computer's 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 appears for each ALC+2 that is included in the batch. Configuration settings for batch control are set in the POS configuration. The P O C or 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 is not available.
- Cannot leave the batch control total amount and count at zeroes.
- The batch control screen does 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 is not prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen appears. 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 is 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 once again appears. 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.

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 appears (Figure 6.13.4). This screen only appears if there is a discrepancy between the totals.

To reconcile the discrepancy, the operator must discover where the problem exists. The Batch Balancing screen displays 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 is displayed. In the example below, there are two checks for \$221.00 and \$18.46 (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.

The screenshot shows a software window titled "Balancing". At the top, there are input fields for "Location" containing "0000789501" and "test01". Below this is a preview of a check document with fields for "DATE", "AMOUNT", and "REMARKS". The check amount is \$221.00 and it is marked "SAMPLE - NOT NEGOTIABLE". To the right of the check preview is a table with a column labeled "Amount" containing two entries: "\$221.00" and "\$18.46". A "Void" button is located to the right of this table. At the bottom of the window, there is a summary section with the following data:

Batch List Count	2	Batch List Total	\$239.46
Batch Control Count	1	Batch Control Total	\$221.00
Difference	1	Difference	\$18.46

Buttons for "Ok" and "Close" are located at the bottom right of the window.

Figure 6.13.4

In the example above, the batch contains 2 items; one for \$221.00 and another for \$18.46. The operator keyed in 1 item at \$221.00 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 \$221.00 to \$ 239.46, then click the 'Ok' button. The following message appears (Figure 6.13.5):

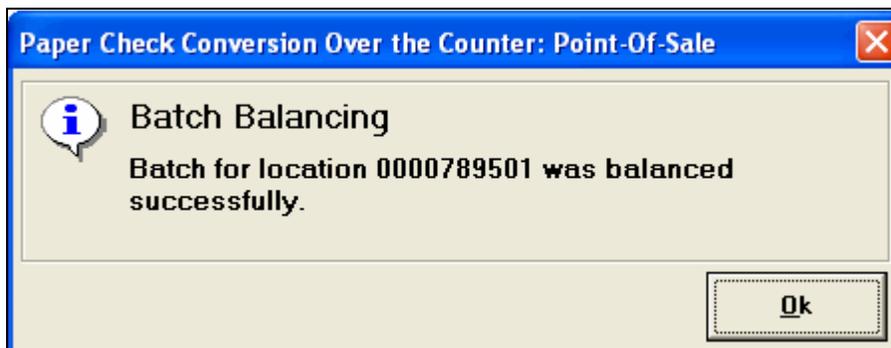


Figure 6.13.5

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 prompts with the following (Figure 6.13.6):

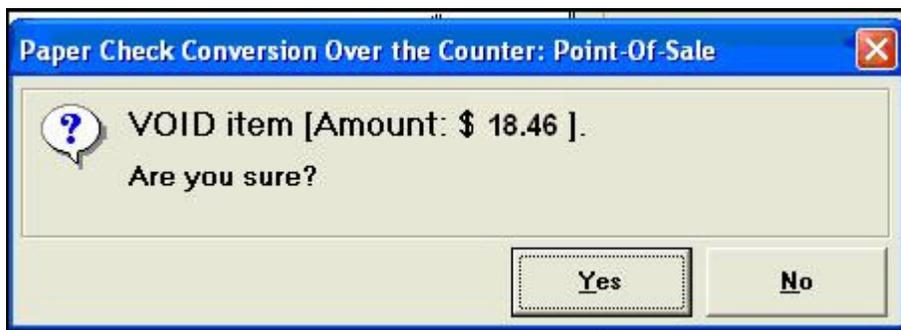


Figure 6.13.6

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 system also prompts for a comment concerning the void request (Figure 6.13.6.1). Type the reason for the void and click the **'Ok'** button.



Figure 6.13.6.1

The following prompt appears stating that the void has been successful (Figure 6.13.7):

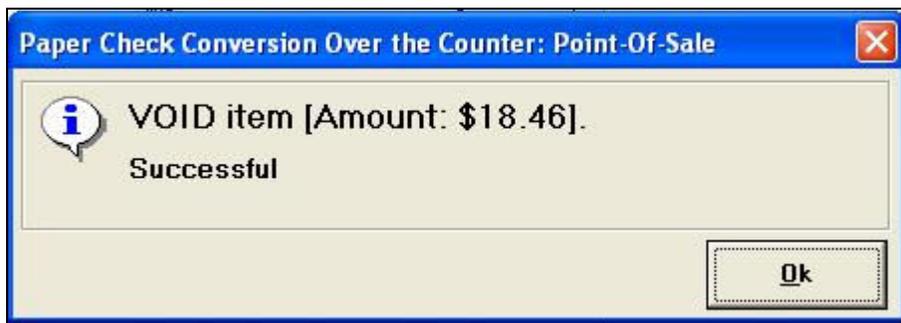


Figure 6.13.7

Click the 'Ok' button to complete. The screen then returns 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.

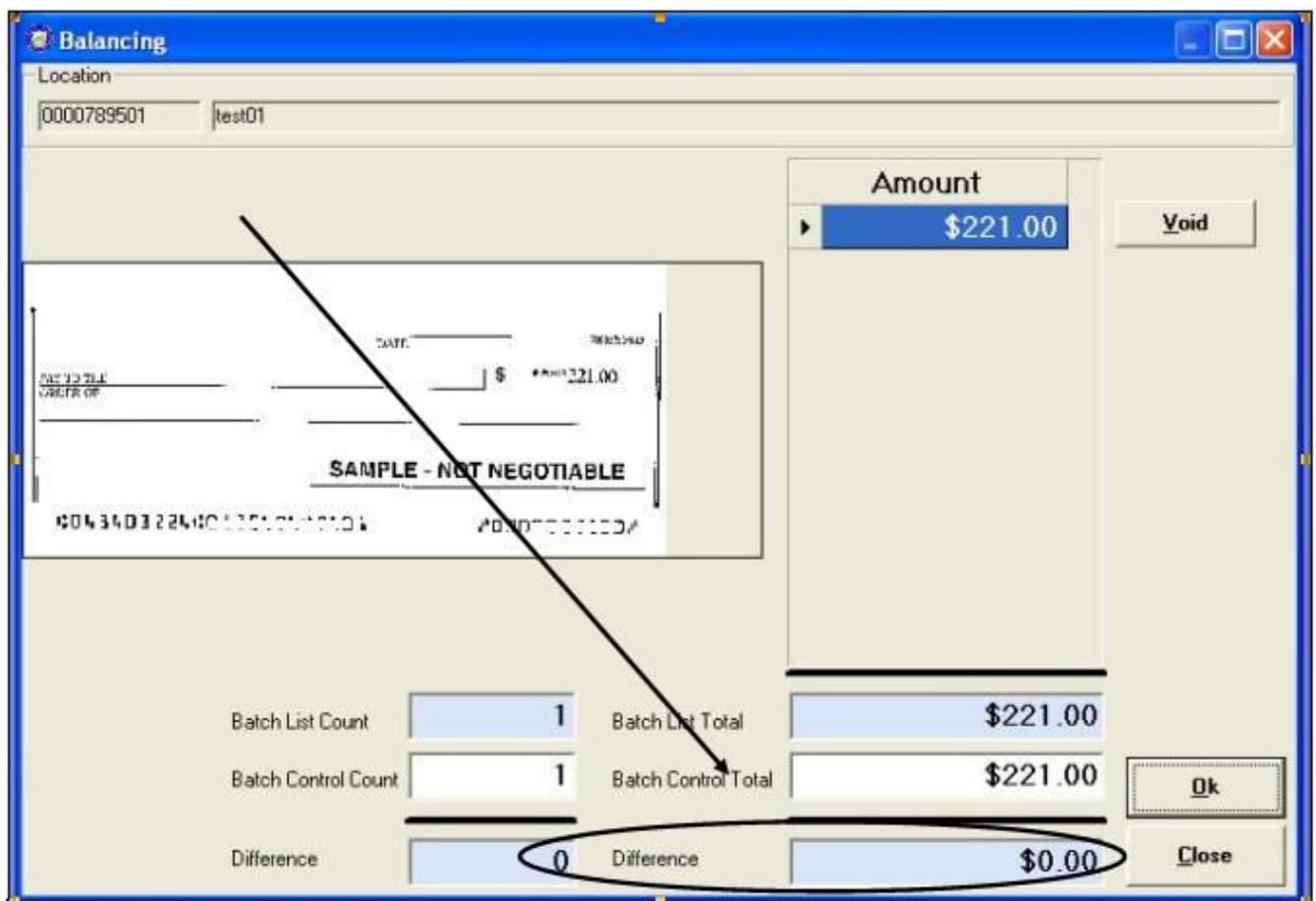


Figure 6.13.8

Note: items can also be edited in Batch Manger if the amount was erroneously typed.

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 the POS computer’s 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 the P O C or Security Administrator. If this option is disabled, the Batch control screen does 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. Batch control is 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 does 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 only appears if the totals that are keyed into the Batch Control screen do not match with 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 Treasury/FMS for processing.

Process a Check*Checks that CAN be processed through POS*

All of the items listed below can be processed on the 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
Other US Government Checks
Payroll Checks

Note: If a customer chooses to 'opt out' and does not want their checks to be processed via ACH, that customer's personal check should be processed as a non-personal item. This will allow the check to clear their financial institution as a Check 21 item.

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 the POS computer and may need to be processed through the 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 PCC OTC items are not deposited 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.

Processing Mode

Single vs. Batch Processing Mode

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, and ‘Batch Mode’ allows for batches of checks to be scanned prior to data entry. The Batch Mode processing only works with the EC7000i scanners and the Panini scanners.

Select/Change the Processing Mode:

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 appears 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 software is installed.*

Note: *If ‘Batch’ mode is chosen, the POS still allows for a single check to be processed.*

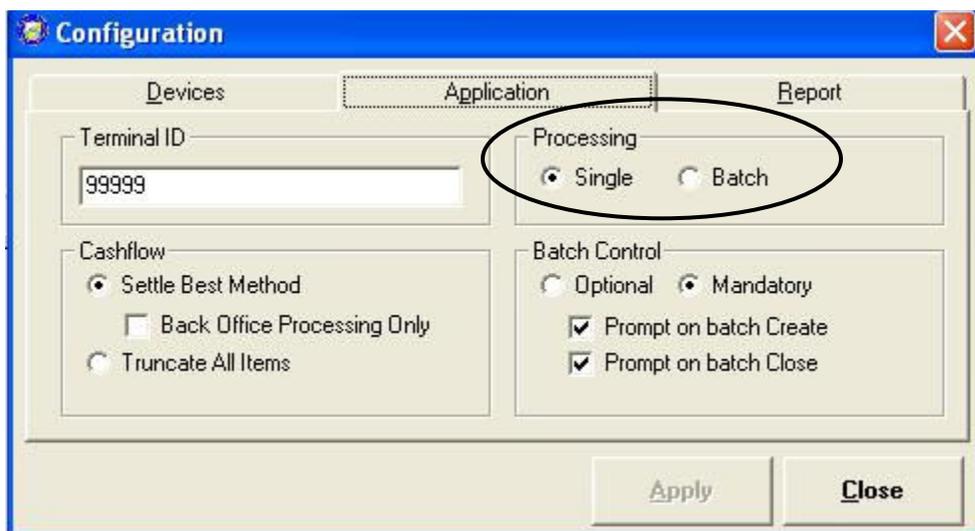


Figure 6.13.9

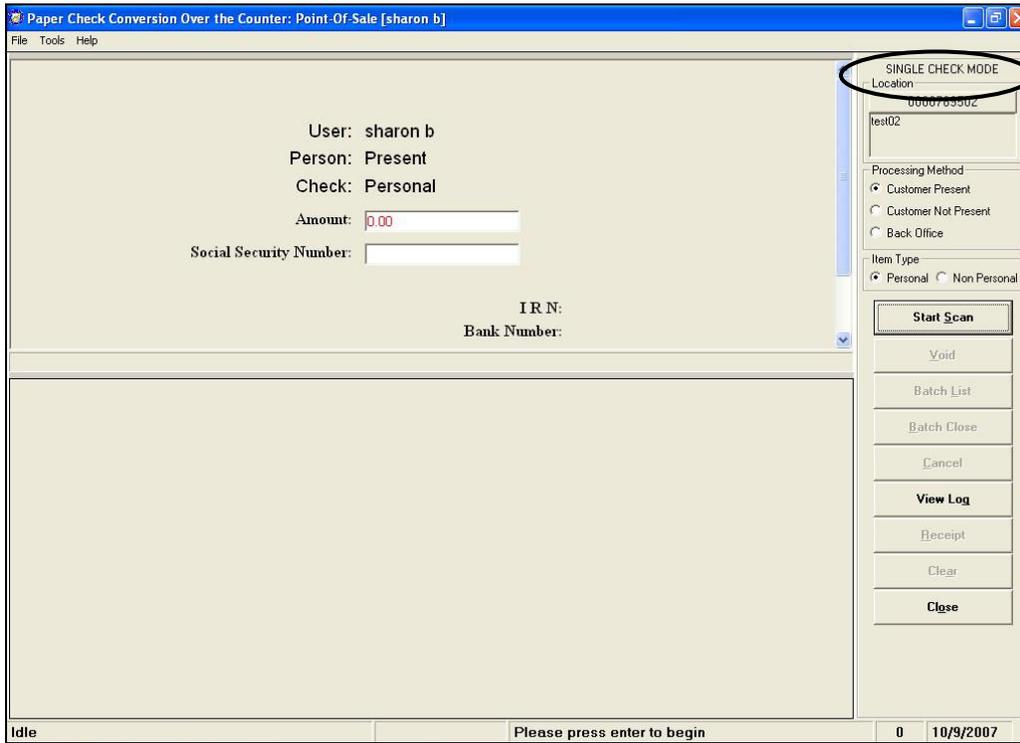


Figure 6.13.10

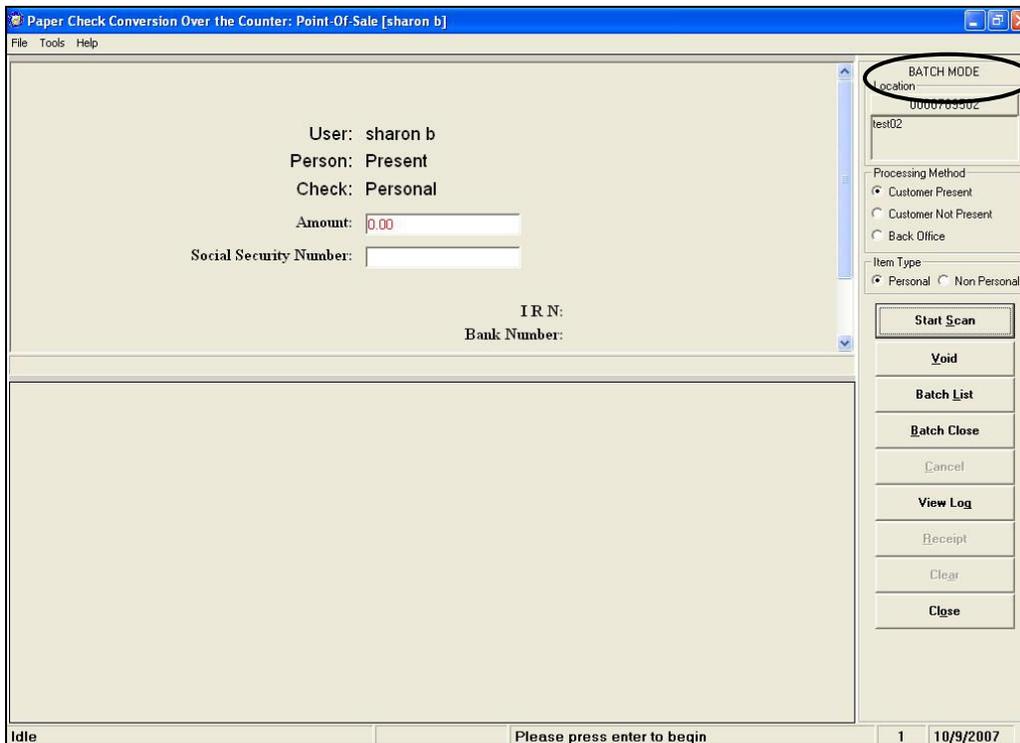


Figure 6.13.11

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 Treasury/FMS). One of the ALC's is chosen to be the 'default' ALC. The default ALC appears 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, just below 'Location' (Figure 6.14) and choose an ALC+2 from the dropdown list. This ALC+2 remains 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 area contains the following fields and labels:

- User: sharon b
- Person: Present
- Check: Personal
- Amount: 0.00
- Social Security Number: []
- I R N: []
- Bank Number: []

A dropdown menu is open in the top right corner, titled 'SINGLE CHECK MODE'. It shows a list of locations:

- 0000789502
- [0000789501] - test01
- [0000789502] - test02 (highlighted)
- [0000789503] - test03

Below the dropdown menu are several buttons:

- Start Scan
- Void
- Batch List
- Batch Close
- Cancel
- View Log
- Receipt
- Clear
- Close

The status bar at the bottom of the window displays 'Idle', 'Please press enter to begin', '1', and '10/9/2007'.

Figure 6.14

Select the Processing Method (Single Check Mode)

Just beneath the 'Location' choice at the right side of the screen is the 'Processing Method'. The choices are 'Customer Present', 'Customer Not Present', or 'Back Office' (Figure 6.15). This option indicates the mode of operation.

The 'Customer Present' method is used when the person is present, i.e., standing in front the operator with their check.

The 'Customer Not Present' method is used when the writer of the check is not present, i.e. when checks are received through the mail as payments.

The 'Back Office' processing method allows agencies to convert payments received at the point-of-sale locations to ACH entries in a controlled, back-office environment. Back Office is new to Release 5.4. Prior to using the 'Back Office' processing method, Agencies first need to download the compatible data entry screen. If the

POS system is not configured to automatically install data entry screens upon startup, it can be accomplished by clicking 'Tools', 'Check host for', 'Data Entry Screen Upgrade...'.

Attempting to use the Back Office processing method prior to downloading a new Data Entry screen results in the error displayed in Figure 6.14.1, and processing of the Back Office item does not continue. Either choose a different processing method to scan other types of checks, or download a new Data Entry Screen as described in the paragraph above.

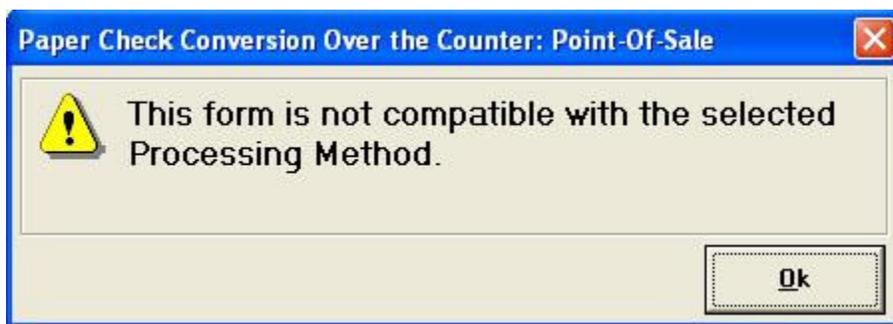


Figure 6.14.1

Note: *The choices that are allowable on the data entry screen are based on the POS configuration settings. The default is to allow all processing methods and item types but restrictions can be setup to allow only the 'Back Office' processing method or 'Non-personal' items only. For more information on the POS configuration settings, please refer to the 'Installation and Configuration' chapter of this User Manual.*

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 customer present, customer not present, and back office prior to scanning. All processing method types can exist within a batch, although usually back offices processing types would be processed independently of other types. Not all agencies utilize all modes. Furthermore, your site may choose not to use all modes everyday, due to fluctuation in check volume.

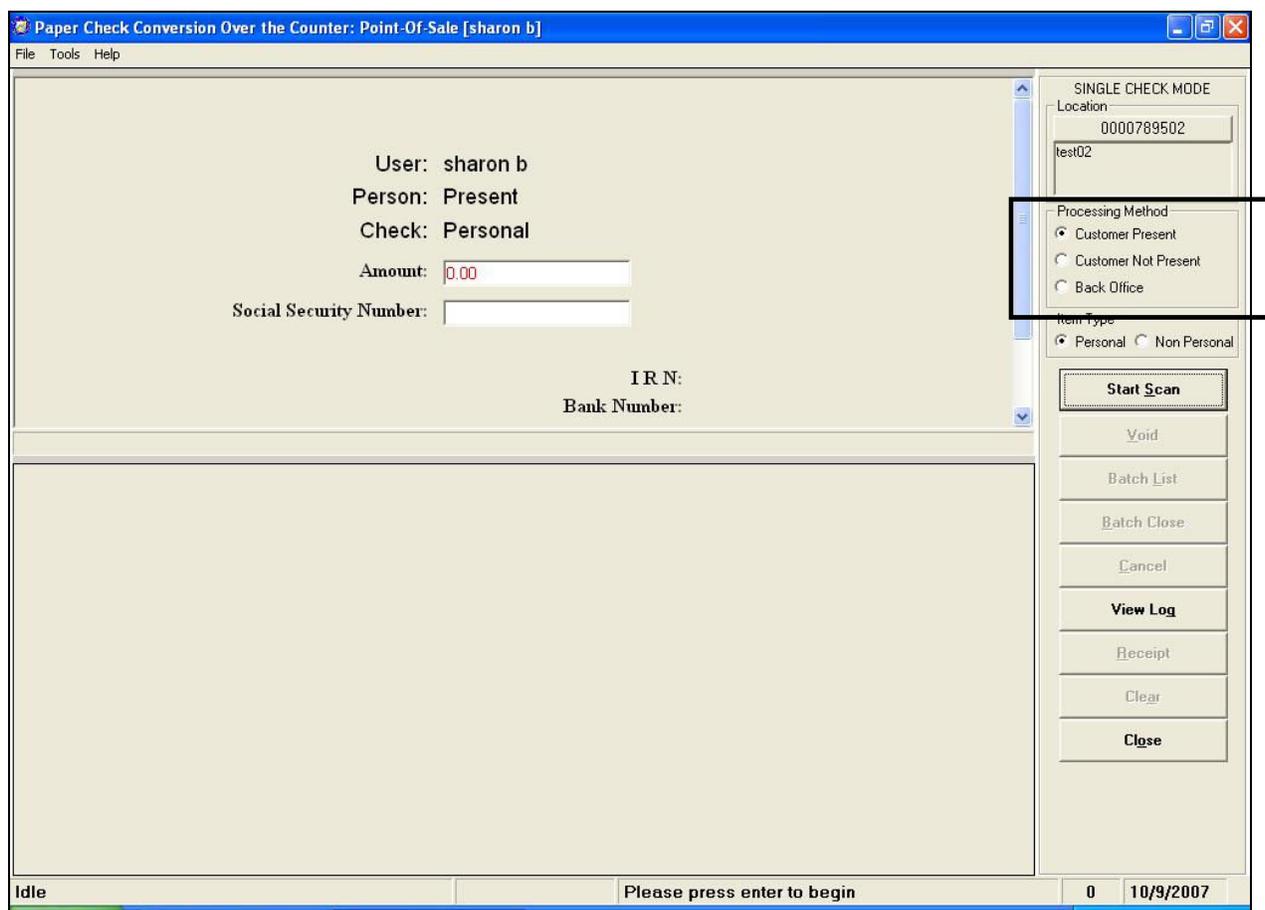


Figure 6.15

Scanning a Check(EC5000i and EC6000i) (Single Check Mode)

Once a user has successfully signed on to the POS and chosen the correct location and processing method, the next step is to scan the check. The bottom of the POS screen displays, **‘Please press enter to begin’**. Press the **‘ENTER’** key or click the **‘Start Scan’** button. Once the ‘Enter’ key is pressed, the scanner light turns green, indicating that the scanner is ready to accept a check. The bottom of the PCC POS screen then displays **‘Scan front of Check’**.

Note: A Batch Control screen may appear, based on the 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 automatically pulls the check through to begin the scan.

Note: With the EC7000i scanner, both the front and the back of the check are scanned automatically. For complete scanning information using an EC7000i scanner, please see the 'Scan Check EC7000i' section later in this chapter.



Figure 6.16



Figure 6.17

A single short beep sounds and the L E D light flashes green, indicating a check has been scanned successfully. **NOTE:** A triple short beep with a red flashing L E D, or one long beep and a red flashing L E D, indicates that an error occurred during the processing or storing of the captured item. Cancel and scan the 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 User Manual.

The application shows 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 appears on the screen as displayed in Figure 6.19). ‘Enter Data’ appears mid screen (circled in Figure 6.19)

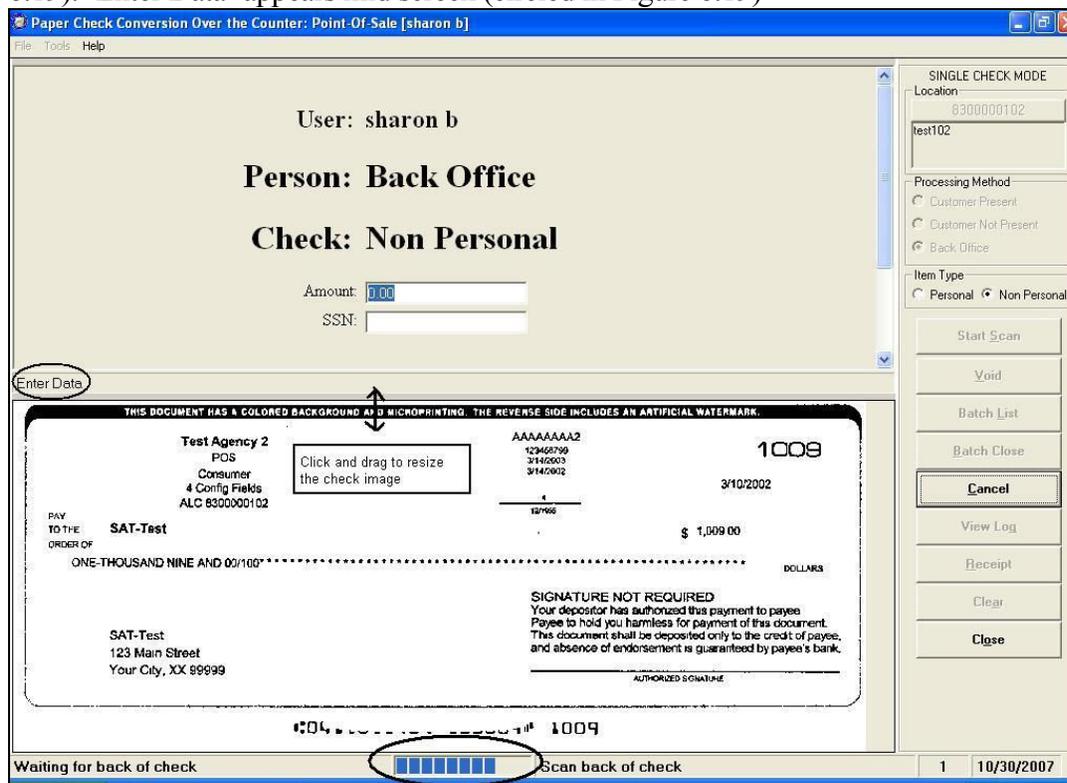


Figure 6.19

To continue, please turn to the ‘Select Item Type’ section of this chapter.

Scan Check (EC7000i) (Single Check Mode)

Once a user has successfully signed on to the POS and chosen the correct location and processing method, the next step is to scan the check. The bottom of the POS screen displays, **‘Please press enter to begin’**. Press the **‘Enter’** key or click the **‘Scan Item’** button. Once the ‘Enter’ key is pressed, the scanner light turns green, indicating that the scanner is ready to accept a check. The bottom of the POS screen then displays **‘Scan Check (front side up)’**.

Note: A Batch Control screen may appear, based on the 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 automatically pulls the check through to begin the scan. Both the front and the back of the check are automatically scanned.

Note: It is very important that the operator waits until the scanner has completed scanning the front and the back of the check. Do not pull the check out of the scanner before the scanner has a chance to scan the back of the check. Doing so can result in processing errors.

A single short beep sounds and the L E D light flashes green, indicating a check has been scanned successfully. *Note: A triple short beep with a red flashing L E D, or one long beep and a red flashing L E D, indicates that an error occurred during the processing or storing of the captured item. Cancel and scan the check again.* 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 one long beep followed by five short beeps is heard while scanning items on the 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 any other unusual issues or sounds are experienced, it may indicate a scan error. Please cancel that transaction and rescan the item. If necessary, void the transaction and start over.*

The application shows a status bar on the bottom of the POS screen indicating the capture of the image. Once the capture is complete, the image appears on the screen as in Figure 6.20.3. Only the front of the check is displayed at this time, even though the EC7000i scanner captures 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.

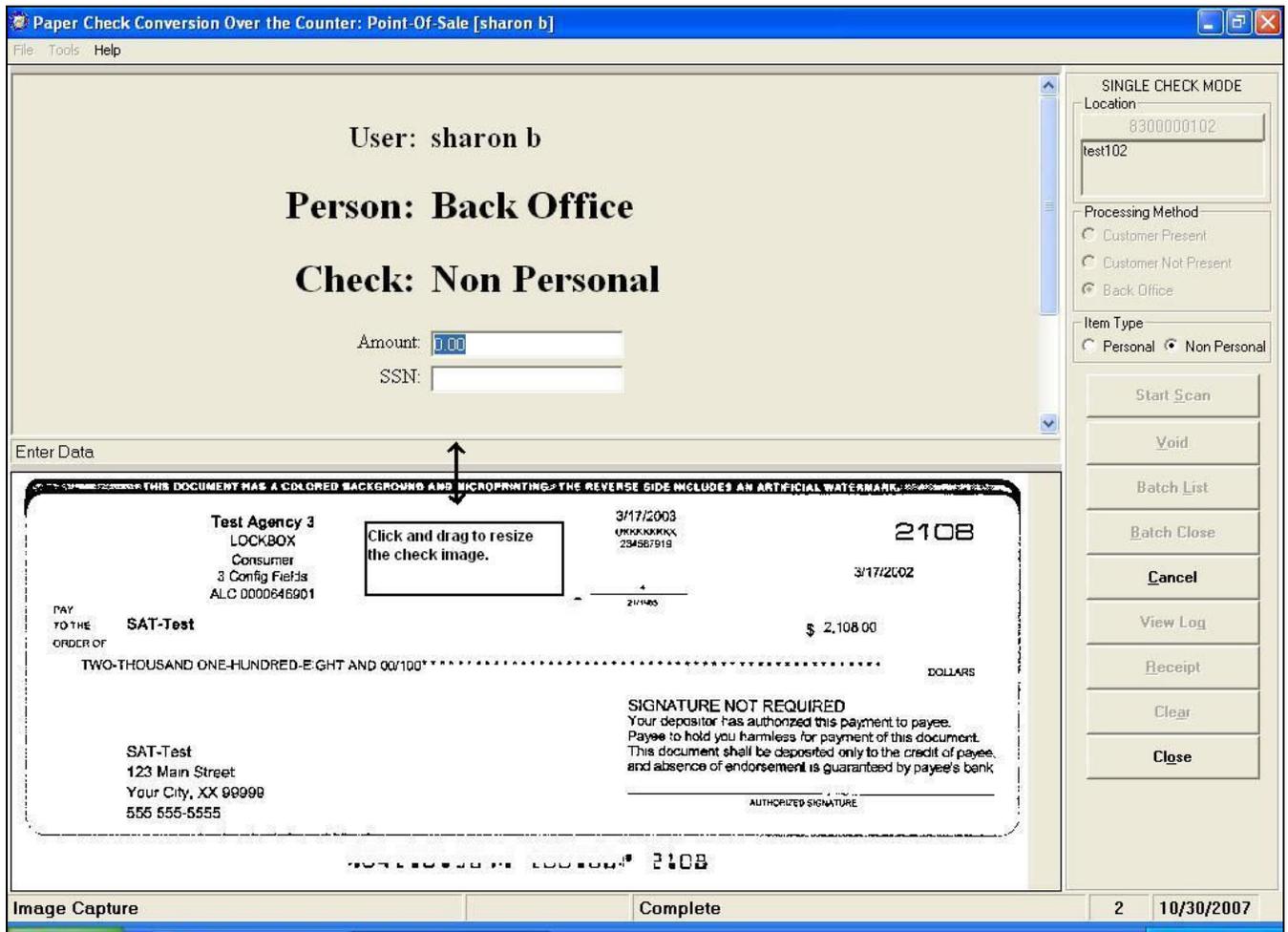


Figure 6.20.3

Select the Item Type (Single Check Mode)

After the check has been scanned, the operator must choose the item type. Just beneath the 'Processing method' at the right side of the screen is the option to choose **'Item Type'**. The choices are **'Personal'** or **'Non Personal'**. (Figure 6.20.4) 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. Presort all items into two groups (Personal and Non Personal) prior to scanning to avoid the pop-up message like the one displayed in Figure 6.20.5. 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 User Manual.

Figure 6.20.4

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 the 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 6.20.5):

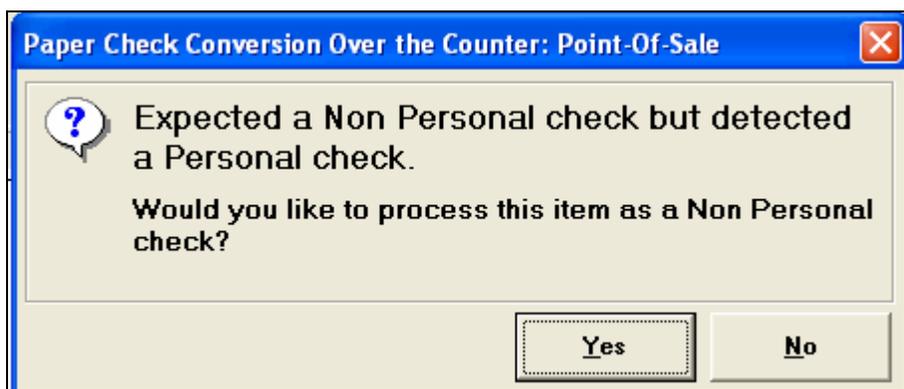


Figure 6.20.5

Select **'No'** if the check should be processed as a personal check. The screen returns 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 returns 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:" appears.

Select **'No'** if the check should be processed as a non personal check. The screen returns 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 returns 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 6.20.5 appears 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.

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 is submitted to the payor bank for collection. It is 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 the Agency’s behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency’s 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 6.20.3) until the double arrow cursor \updownarrow is displayed. Click and drag up or down to resize the image.

Type the Unique Check Data

After the check has been scanned, the cursor is active on the ‘Check Amount’ field.

1. 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. The maximum dollar amount that can be keyed into the POS data entry screen is 99,999,999.99. The minimum amount is .01.

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.

2. The cursor is then 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 is displayed in the middle of the screen as displayed in Figure 6.20.6, and corrections must be made to the field before the POS accepts the transaction. In the example below, the pattern for SSN is XXX-XX-XXXX.

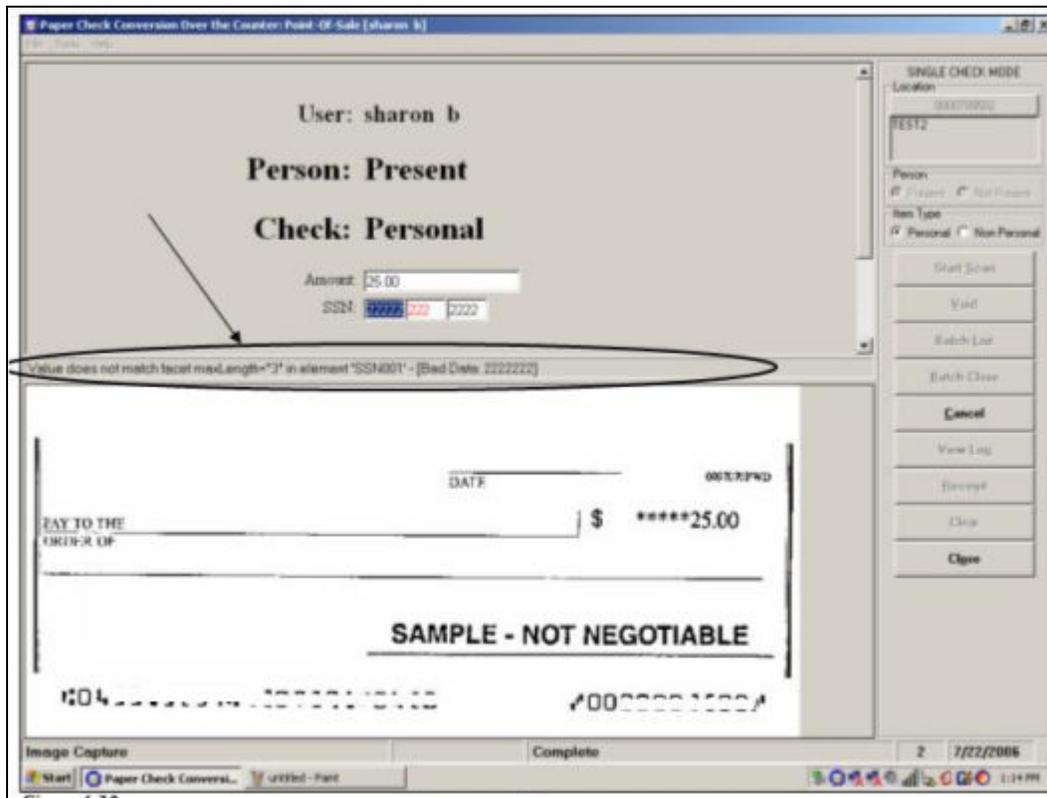


Figure 6.20.6

3. Once all of the required/necessary configuration fields have been keyed, press **'Enter'**. The middle of the screen displays 'Data Entry Complete' and the image of the back of the check is 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'.
4. After approximately 15 seconds the bottom of the screen displays, '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 'Customer-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 User Manual, 'Setting the EC6000i and EC7000i scanner to Frank Acknowledgments'.

Batch Mode Processing

'Batch Mode' allows for batches of two or more checks to be scanned prior to data entry. The Batch Mode processing only works with the EC7000i or the Panini 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.

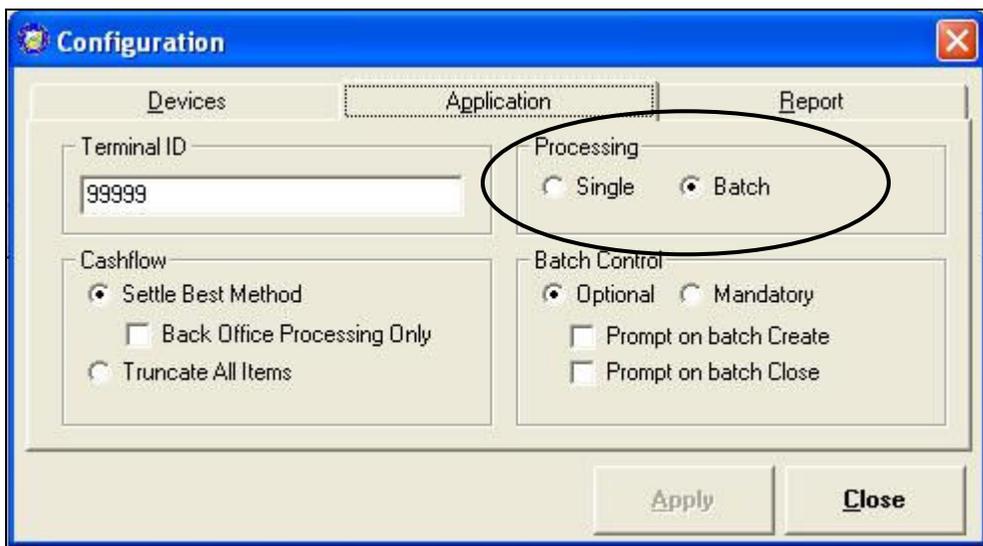


Figure 6.21

The words 'Batch Mode' appears in the upper right corner of the POS data entry screen and cannot be changed by the operator (see Figure 6.22).

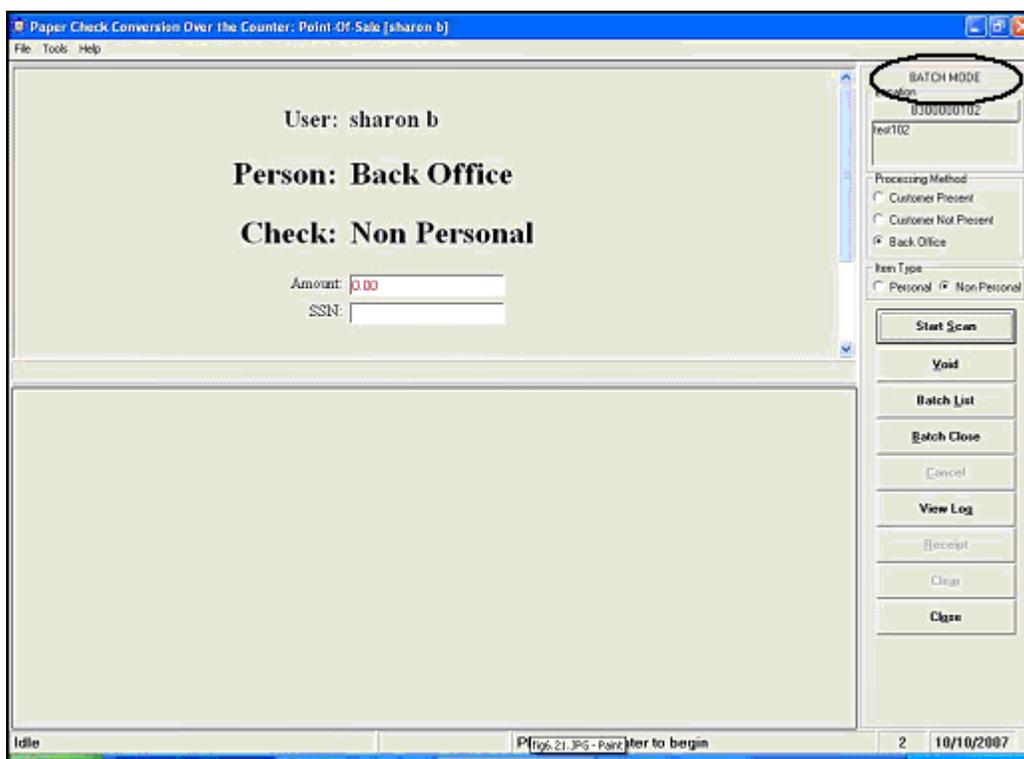


Figure 6.22

Note: Single mode is the default when the POS software is installed.

Note: If 'Batch' mode is chosen, the POS still allows for a single check to be processed

Important Batch Mode Information

Agencies may encounter a problem while using the batch mode. The amount of time that it takes to scan the checks may exceed the number of minutes before the system performs an auto logout. Because the keyboard and mouse are typically not touched during the scanning process, the system interprets this as inactivity and an auto logout takes place. When this scenario happens, all of the checks that were scanned (but not yet typed) no longer exist and the user needs to rescan the items upon login. To avoid this situation, follow one of three solutions.

1. Move the mouse every so often to simulate system activity during the scanning process. The default setting is 15 minutes so the operator should move the mouse every 10 minutes or so to keep the system active.
2. Scan a smaller quantity of items. For example, instead of scanning 150 items, scan 75. Then perform the data input. Scan the second group of 75 and perform the data input. Using the keyboard after the 75 items are scanned may eliminate the system inactivity logout during batch processing.

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 Treasury/FMS). One of the ALC's is chosen to be the 'default' ALC. The default ALC appears 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 remains for all items until changed by choosing a different ALC+2 from the dropdown list. For batch mode, separate the items by ALC+2.

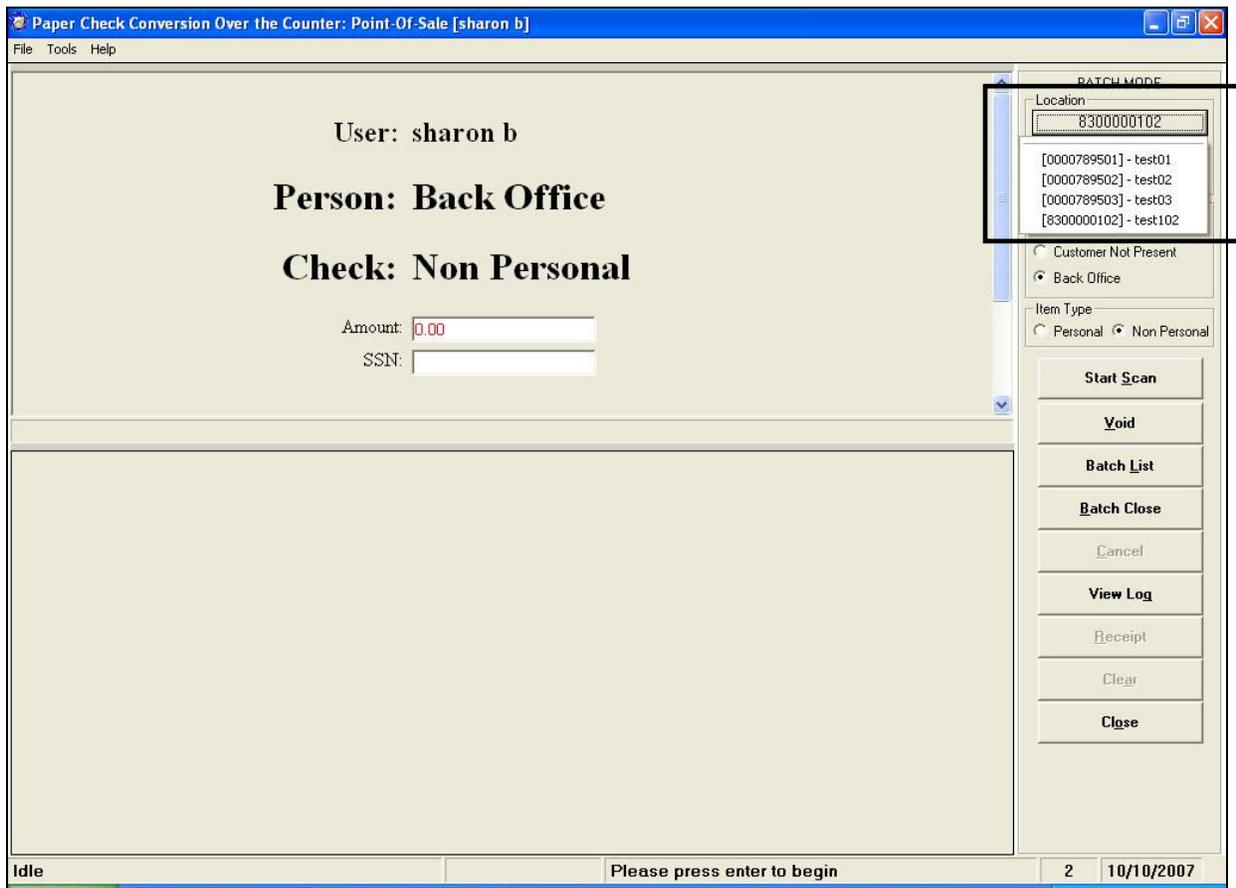


Figure 6.23

Select the Processing Method (Batch Mode)

Just beneath the 'Location' choice at the right side of the screen is the 'Processing Method'. The choices are 'Customer Present', 'Customer Not Present', or 'Back Office' (Figure 6.15). This option indicates the mode of operation.

The 'Customer Present' method is used when the person is present, i.e., standing in front the operator with their check.

The 'Customer Not Present' method is used when the writer of the check is not present, i.e. when checks are received through the mail as payments.

The 'Back Office' processing method allows agencies to convert payments received at the point-of-sale locations to ACH entries in a controlled, back-office environment. Prior to using the 'Back Office' processing method, Agencies first need to download the compatible data entry screen. If the POS system is not configured to automatically install data entry screens upon startup, it can be accomplished by clicking 'Tools', 'Check host for', 'Data Entry Screen Upgrade...'.

Attempting to use the Back Office processing method prior to downloading a new Data Entry screen results in the error displayed in Figure 6.23.1, and processing of the Back Office item cannot continue. Either choose a different processing method to scan other types of checks, or download a new Data Entry Screen as described in the paragraph above.

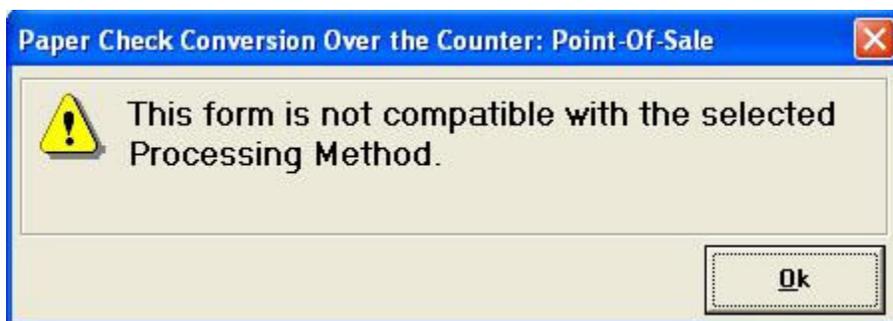


Figure 6.23.1

Note: The choices that are allowable on the data entry screen are based on the POS configuration settings. The default is to allow all processing methods and item types but restrictions can be setup to allow only the 'Back Office' processing method or 'Non-personal' items only. For more information on the POS configuration settings, please refer to the 'Installation and Configuration' chapter of this User Manual.

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 customer present, customer not present, and back office prior to scanning, after sorting by ALC+2.

All processing method types can exist within a batch, although usually Back Office processing types would be processed independently of other types. Not all agencies utilize all modes. Furthermore, a site may choose not to use all modes everyday, due to fluctuation in check volume.

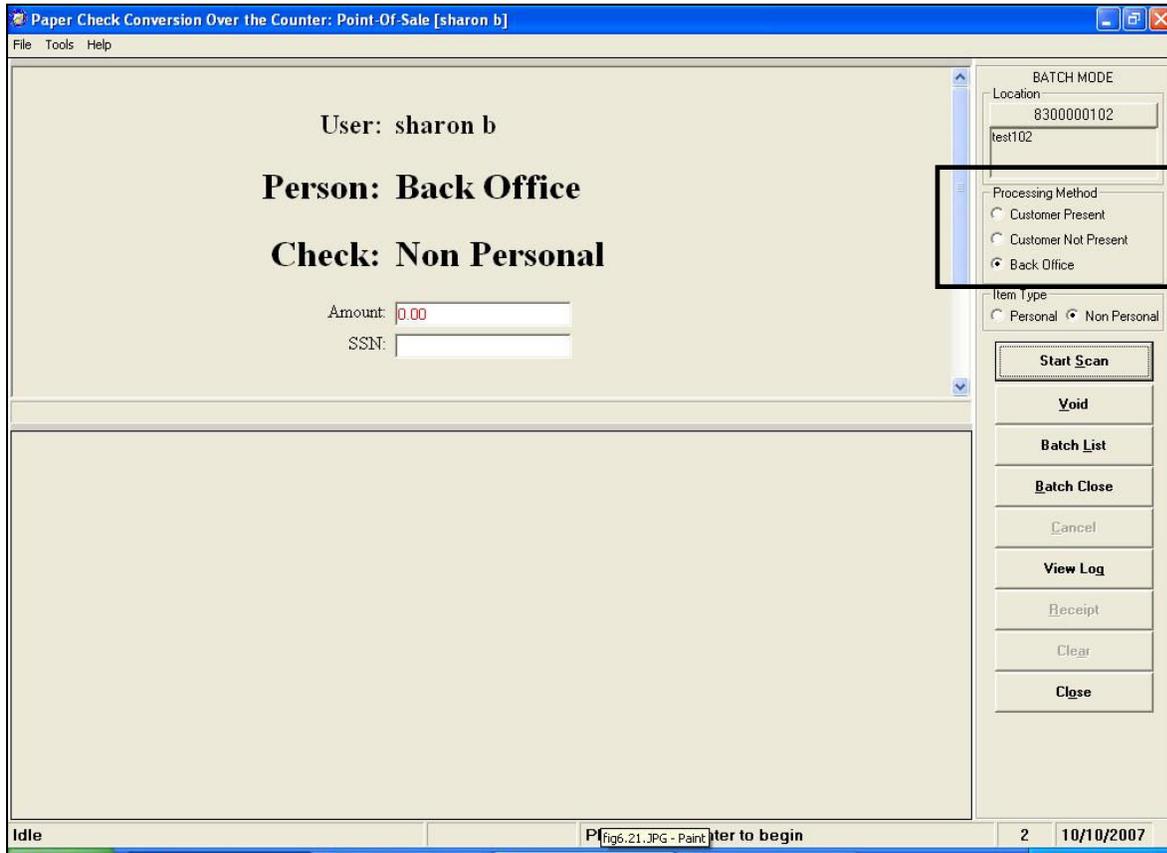


Figure 6.24

Scan Check (EC7000i) in Batch Mode

Once a user has successfully signed on to the POS and chosen the correct location and processing method, the next step is to scan the check. The bottom of the POS screen displays, **‘Please press enter to begin’**. Press the **‘Enter’** key or click the **‘Scan Item’** button. The scanner light turns green, indicating that the scanner is ready to accept a check. A **‘Batch Processing Window’** appears that says **‘Please wait’** and the bottom of the POS screen displays **‘Scan front of Check’**.

Note: A Batch Control screen may appear, based on the 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 automatically pulls the check through and scans both the front and the back of the check.



Figure 6.30

A single short beep sounds and the L E D light flashes green, indicating a check has been scanned successfully.

Note: A triple short beep with a red flashing L E D, or one long beep and a red flashing L E D, indicates that an error occurred during the processing or storing of the captured item. Cancel and scan the check again. To determine if there is a problem with the scanner, see the chart in Figure 6.31.

Note: If one long beep followed by five short beeps is heard while scanning items on the 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 any other unusual issues or sounds are experienced it may indicate a scan error, please cancel that transaction and rescan the item. If necessary, void the transaction and start over.

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 User Manual.

The 'Batch Processing Window' displays 'Captured Items Count:1' (as displayed in Figure 6.32) and the bottom of the POS screen displays 'Scan check (front side up)'. Remove the first check from the scanner.

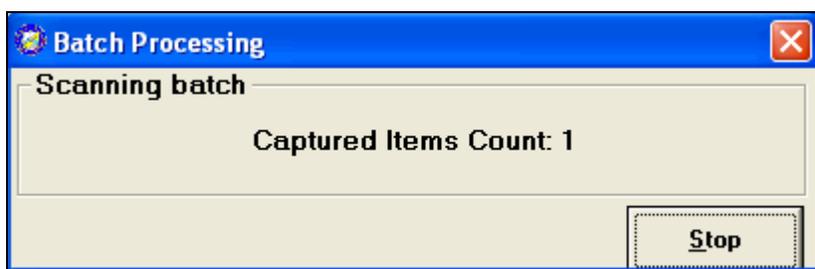


Figure 6.32

Place the second check in the scanner as described in step 1.

Again, the bottom of the POS screen displays '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 all of the checks have been scanned, click the '**Stop**' button in the 'Batch Processing Window'.

Note: Use caution when clicking the '**Stop**' button during batch mode processing. Pressing too quickly (before the scanner has a chance to catch up to the system) may cause the loss of the last transaction.

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 the double arrow cursor \updownarrow is displayed. Click and drag up or down to resize the image.

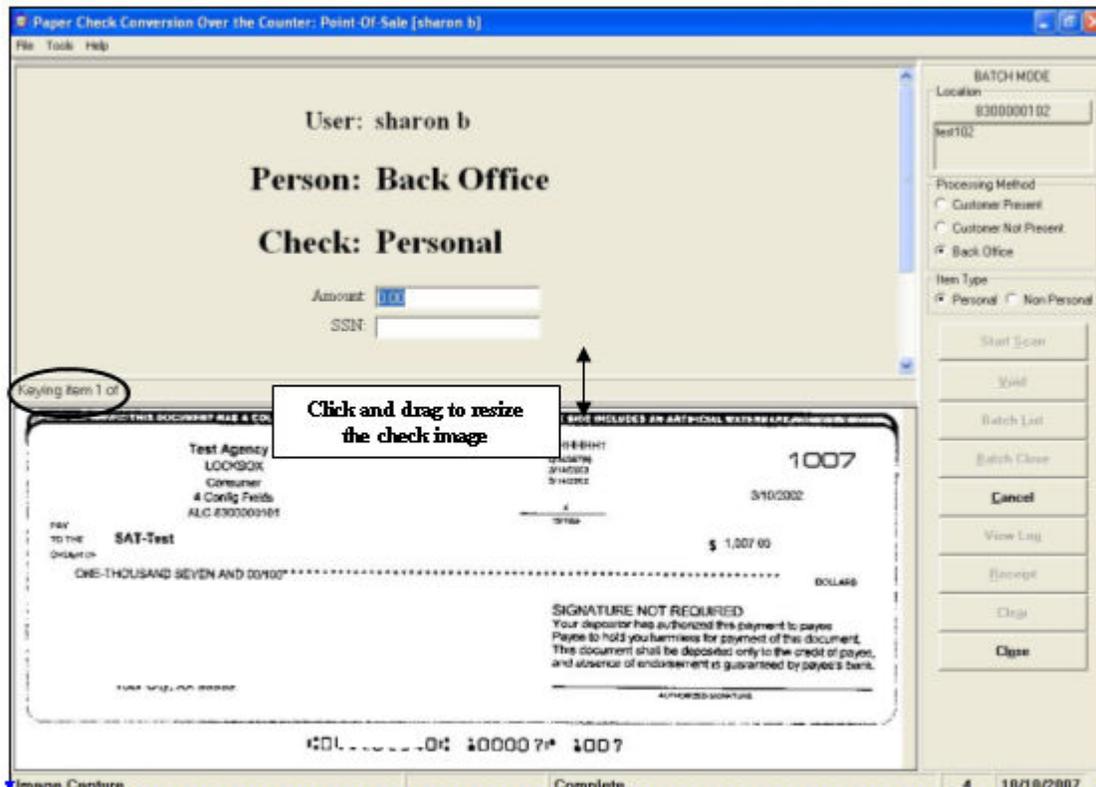


Figure 6.32.1

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 'Processing Method' 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. Presort the 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 User Manual.

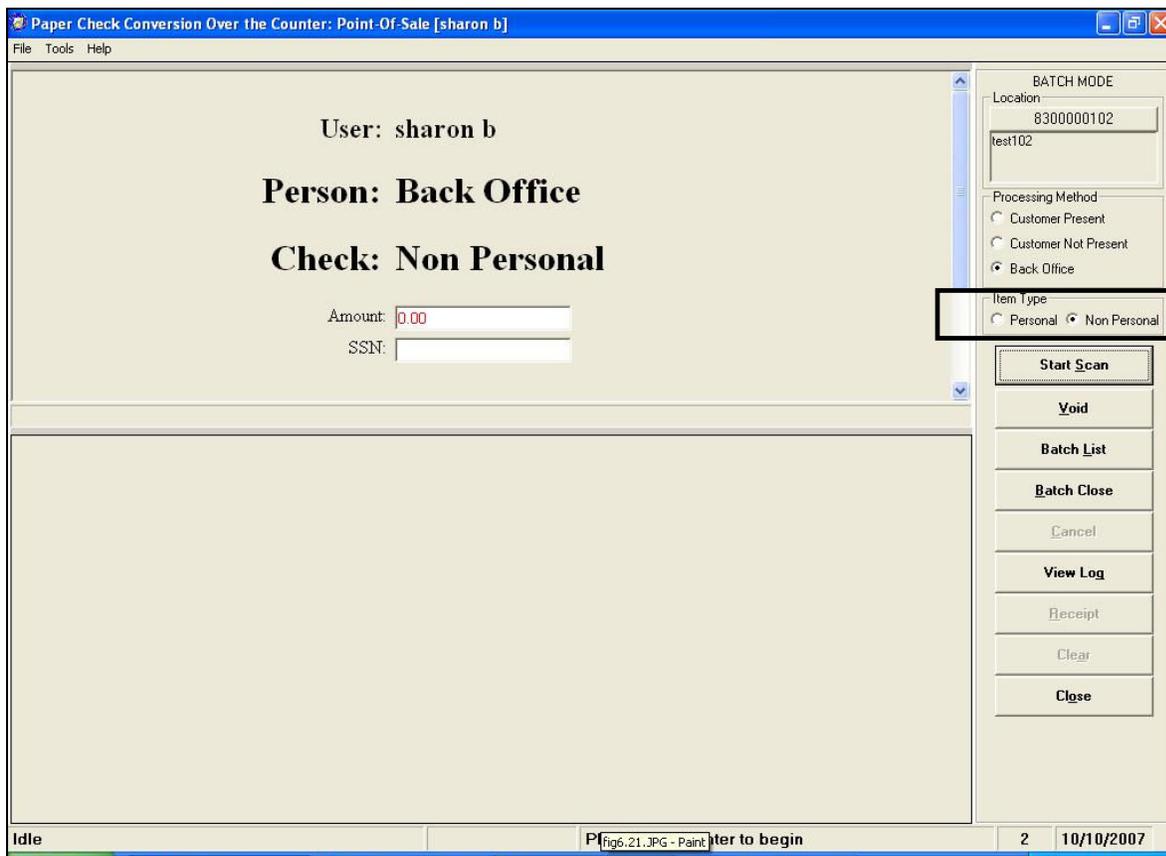


Figure 6.32.2

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 the 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):

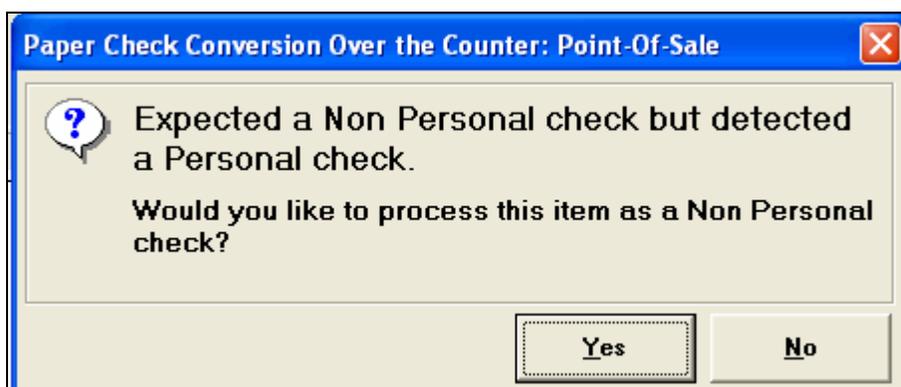


Figure 6.32.3

Select **'No'** if the check should be processed as a personal check. The screen returns 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 returns to the data entry screen with the image of the check at the bottom and allows 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?" s appear.

Select **'No'** if the check should be processed as a non personal check. The screen returns 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 returns to the data entry screen with the image of the check at the bottom and allows the operator to continue processing the check as personal.

Note: *The message displayed in Figure 6.32.3 appears for certain Money Orders. This is due to the 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 appears 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'.*

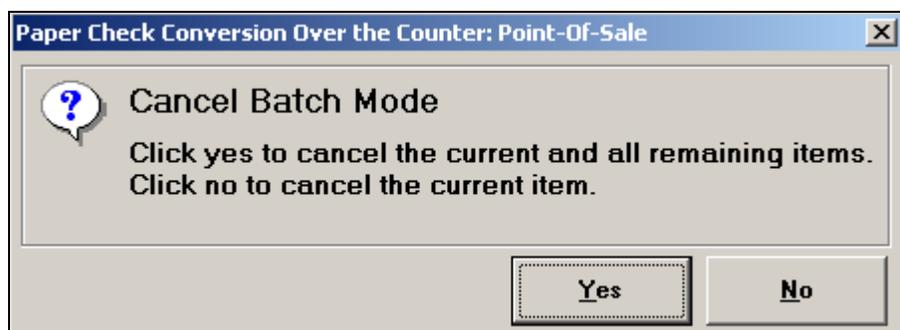


Figure 6.32.4

Note: It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that is submitted to the payor bank for collection. The image is also 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 the Agency's behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency's responsibility.

Type the Unique Check Data

1. The cursor is active on the 'Amount' field. Enter 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. The maximum dollar amount that can be keyed into the POS data entry screen is 99,999,999.99. The minimum amount is .01.

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.

2. The cursor is then 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 is displayed in the middle of the screen as displayed in Figure 6.33, and corrections must be made to the field before the POS accepts the transaction.

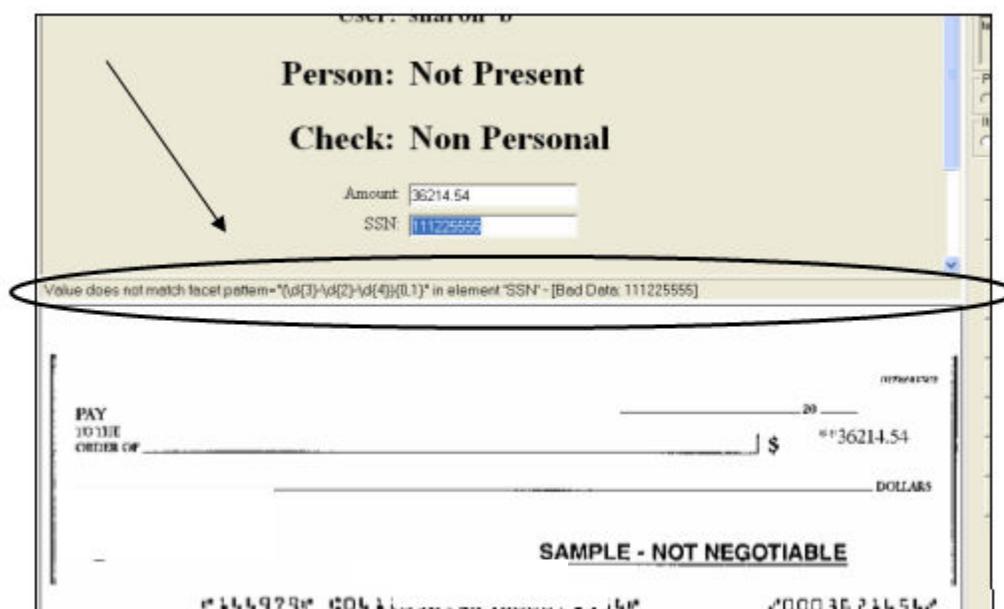


Figure 6.33

The back of the check is displayed momentarily then the image of the next check that was scanned appears.

3. 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 displays, 'Please press enter to begin'. The batch can then be closed, or new items can be added to the existing batch.

Scanning a Check with the Panini Scanner

Note: A Batch Control screen may appear, based on the Agency's configuration settings.

Once a user has successfully signed on to the POS and chosen the correct location and processing method, the next step is to scan the check(s). The bottom of the POS screen displays, **'Please press enter to begin'**.

1. Make certain that the check or checks are already in the hopper of the scanner, front of the checks facing the right, as displayed in Figure 6.33.01. The first green light on the scanner begins to flash.



Figure 6.33.01

2. Press the **'ENTER'** key or click the **'Start Scan'** button. A window on the screen states, 'Scanning batch, please wait' and a 'Captured item count' is displayed in the window.

Note: Use caution when clicking the 'Stop' button during batch mode processing. Pressing too quickly (before the scanner has a chance to catch up to the system) may cause the loss of the last transaction.

3. Once the hopper is empty, the following message appears on the screen (Figure 6.33.02):

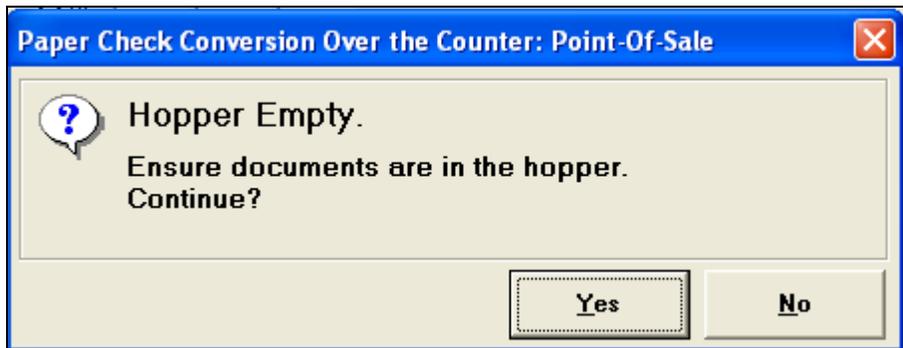


Figure 6.33.02

When the 'Hopper Empty' message appears, the user can add more checks to the hopper then click '**Yes**' to continue adding items to the batch. Or click '**No**' if there are no more checks to scan. When '**No**' is clicked, the system switches to the data entry phase and the first check that was scanned appears on the screen as displayed in Figure 6.33.03. The middle of the screen displays the words 'Keying item 1 of X' which tells the operator that data for first check that was scanned can now be keyed. The 'X' signifies the total number of checks that were placed in the hopper. For example, if 8 checks were placed in the hopper, the message would state 'Keying 1 of 8'.

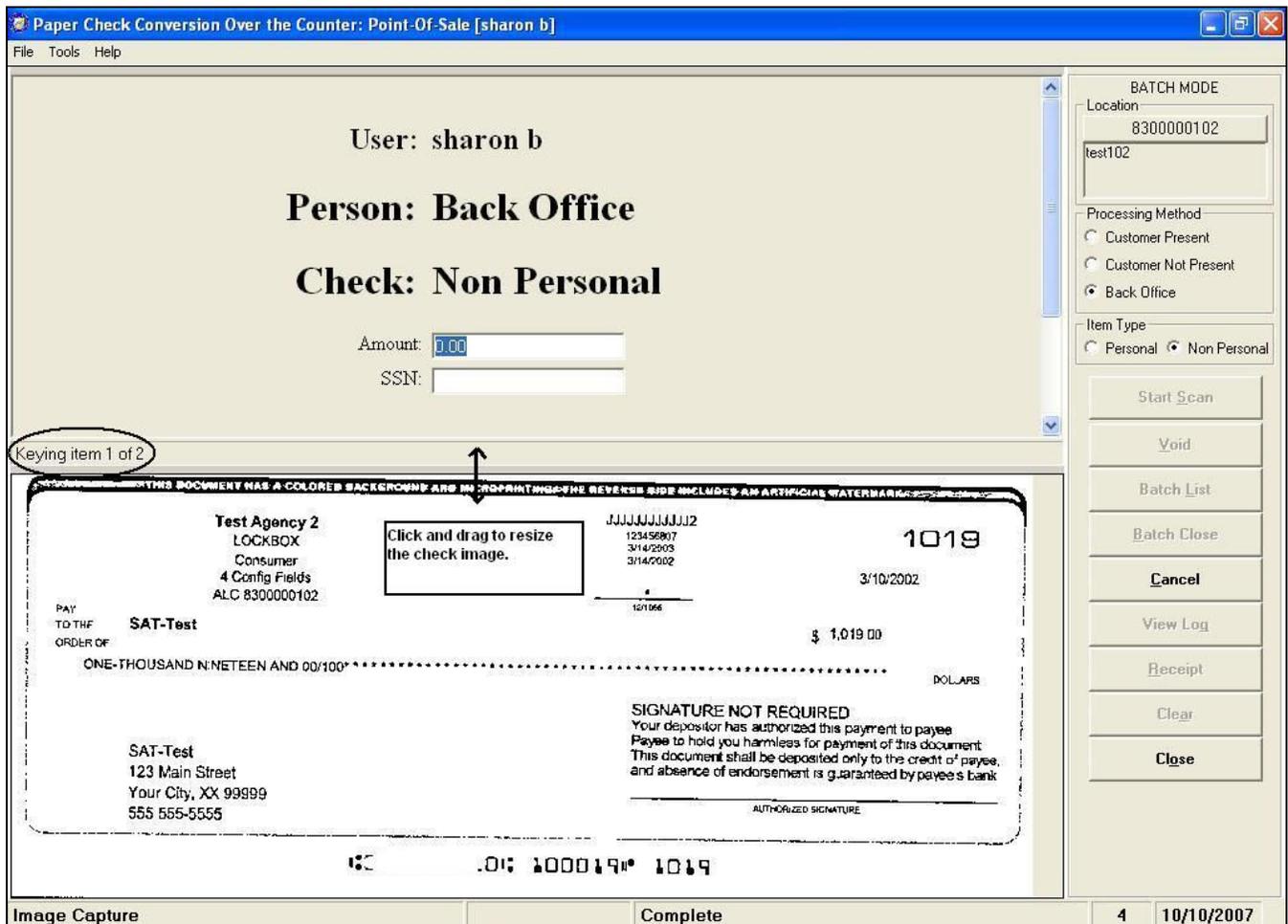


Figure 6.33.03

4. Ensure that the entire check image is visible on the screen and the dollar amount is 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: the image of the check can be resized by hovering the cursor near the top line of the check (as displayed in Figure 6.33.03) until the double arrow cursor \updownarrow appears. Click and drag up or down to resize the image.

Note: When the computer activates the power save mode, the user is logged out of the POS and needs to log back in. Any scanned checks that have not been keyed, are lost.

Note: For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the Panini scanner chapter(s) at the end of this User Manual.

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 6.33.04) 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. Presort the items by Personal and Non Personal, after sorting by ALC+2 and processing method prior to scanning to avoid the pop-up message like the one displayed in Figure 6.1.49. 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 User Manual.

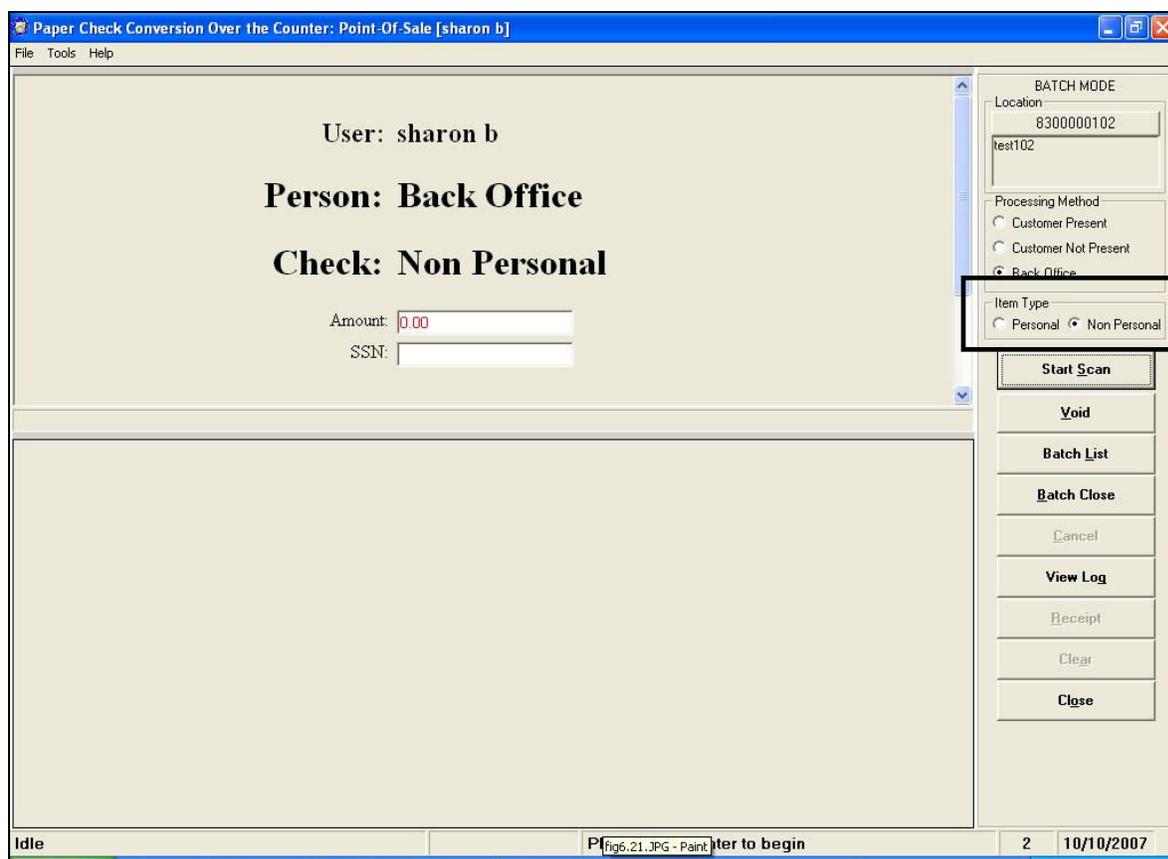


Figure 6.33.04

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 the determining factor to decide if the check should be classified as personal or non personal.

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 6.33.05):

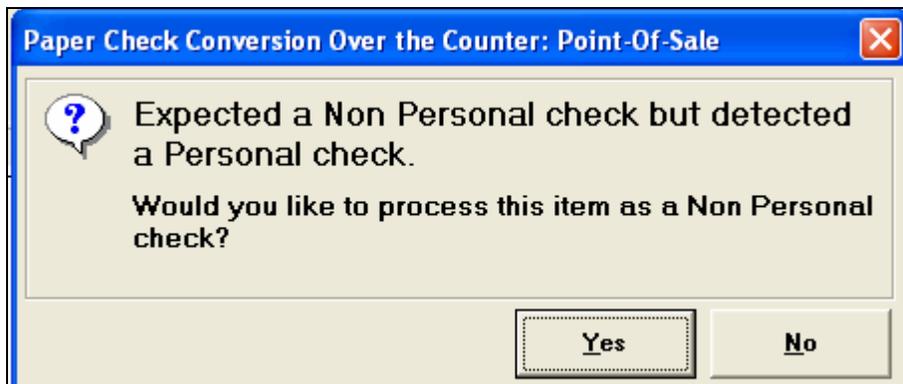


Figure 6.33.05

Select **'No'** if the check should be processed as a personal check. The screen returns 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 returns 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:" appears.

Select **'No'** if the check should be processed as a non personal check. The screen returns 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 returns 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 6.33.05 appears 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 appears 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 6.33.06. To cancel the current item only, click 'No. To cancel the current item and all remaining items, click 'Yes'.*

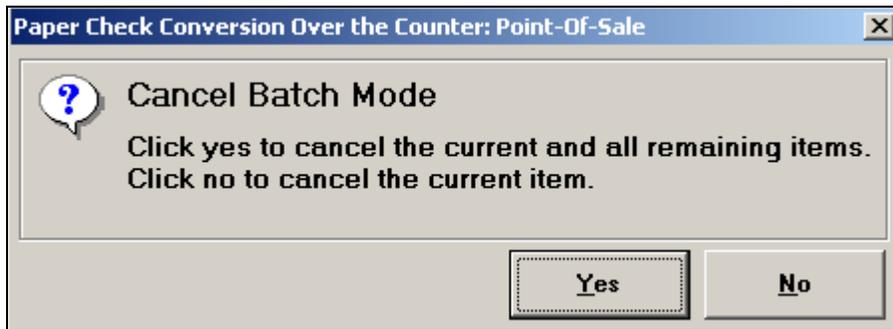


Figure 6.33.06

Note: It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that is submitted to the payor bank for collection. The image is also 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 the Agency's behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency's responsibility.

Type the Unique Check Data

1. The cursor is 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. The maximum dollar amount that can be keyed into the POS data entry screen is 99,999,999.99. The minimum amount is .01.

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.

2. The cursor is then 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 is displayed in the middle of the screen as displayed in Figure 6.33.07, and corrections must be made to the field before the POS accepts the transaction. In the example below, the pattern for SSN is XXX-XX-XXXX.

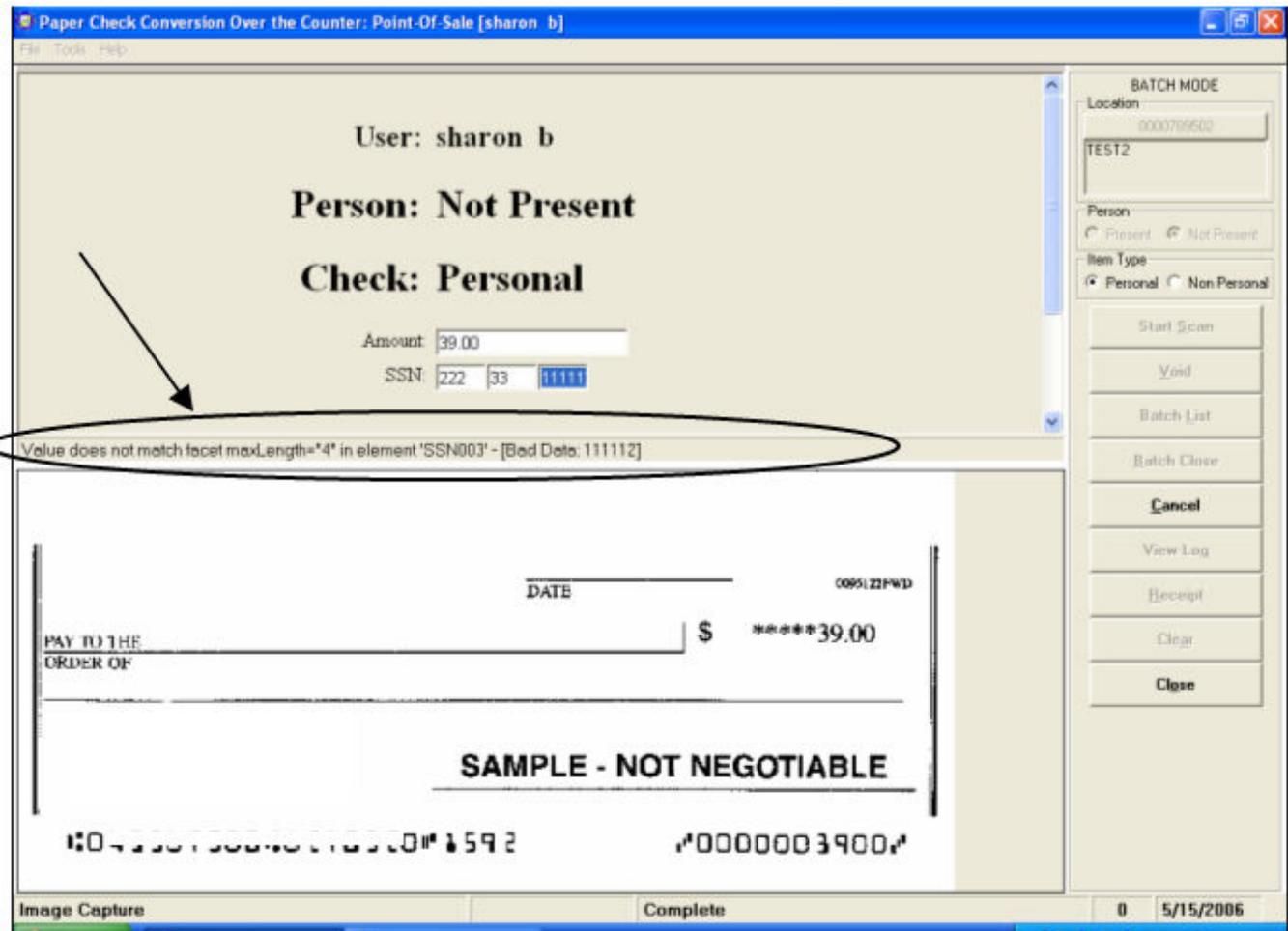


Figure 6.33.07

3. Once the operator has corrected the error condition displayed above, press **'Enter'**.
4. The bottom of the screen displays 'Complete' and the second check that was scanned appears on the screen. The middle of the screen displays 'Keying item 2 of N', with 'N' signifying the total number of checks that were placed in the scanner's hopper.
5. Repeat steps 6 through 9 until all of the scanned checks have been keyed. The bottom of the screen displays the message, 'Please press enter to begin. If more checks need to be scanned, the operator can insert the checks into the Panini hopper and continue.
6. 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.

Correcting the Codeline (MICR line)

If the scanner detects a problem with the MICR data, i.e., certain or all characters could not be read by the scanner, the operator is prompted to correct the codeline. The following is an example of the message that appears when the codeline needs to be corrected: (Figure 6.34).

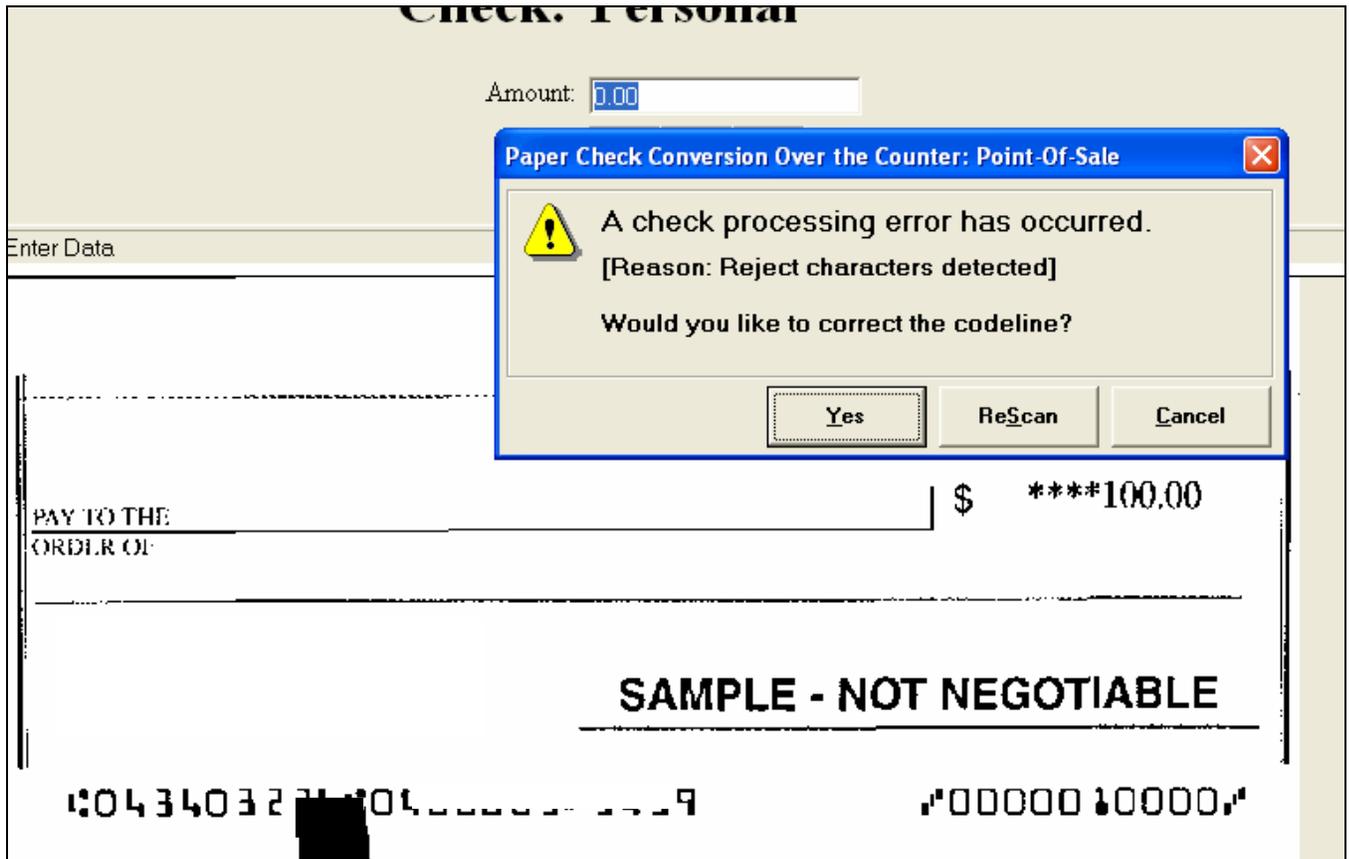


Figure 6.34

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'** . Only authorized users can perform a codeline correction. The system may prompt for authorization. A user with codeline correction access needs to key in their login and password before the system allows the procedure to continue. Once authorization has been verified by the system, a message similar to the one pictured in Figure 6.35 appears.

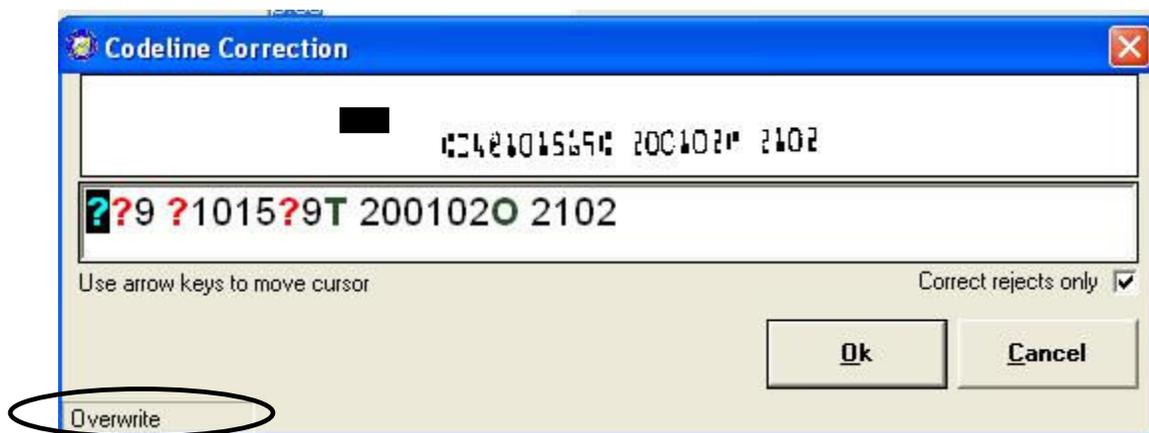


Figure 6.35

In the example above, the system has rejected several characters that the scanner could not read. The line of characters at the bottom of the screen needs to be compared with the source document. The unreadable characters are represented with question marks on the bottom line. 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, click to uncheck the 'Correct rejects only' box at the lower right of the window. This allows additional characters to be inserted or overwritten, or extra characters to be deleted.

To overwrite characters – press the 'insert' key on the keyboard until the lower left of the window says 'Overwrite' (circled in Figure 6.35). Click to highlight the character to be overwritten and type the new character.

To delete characters – press the 'insert' key on the keyboard until the lower left of the window says 'Overwrite' (circled in Figure 6.35). Click to highlight the character to be deleted and press the delete key on the keyboard.

To insert a character - press the 'insert' key on the keyboard until the lower left of the window says 'Insert' (where circled in Figure 6.35). click to place the cursor in the correct position within the MICR line and type the character to be inserted. If another character needs to be inserted elsewhere in the MIRC line, click to place the cursor where the character should be inserted, or use the arrow keys on the keyboard to position the cursor then type the character to be inserted.

When all changes have been completed, 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.*

MICR Code Description

On occasion, some items are printed with a security feature that prevents the POS from reading the entire MICR line. When this occurs, the entire MICR line is represented by question marks and needs to be typed. The information in the next several sections should assist the operator with understanding how to read the MICR line for various types of checks and how to key in an entire MICR line.

Figure 6.36 illustrates an example of the bottom of a check, known as the MICR line, and what the numbers represent. This is just a representation – the order of the placement of the routing number, account number and check number in a MICR line can vary.

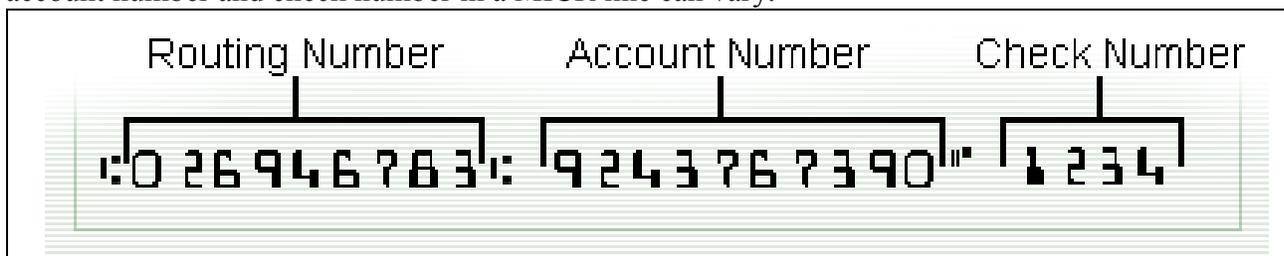


Figure 6.36

Figure 6.37 illustrates what the symbols used within the MICR line represent.

Code and Symbol	Description
T	Beginning or ending of a transit number, also known as a Routing number or ABA 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. PCC OTC checks do not need to be encoded with the amount.
D	Dash separates the values of the other fields.

Figure 6.37

Personal Check MICR Description

Figure 6.38 represents a standard personal check and the MIRC line description. If this entire MICR line needed to be keyed into the POS because it could not be read, it would be typed as:

T091900533T O239 D0650D 2O 108

The diagram shows a personal check with the following details:

- Payor: Joe Smith, 123 North Ave., Cleveland, OH 44101
- Date: October 12, 2006
- Payee: John Smith
- Amount: \$ 300.80
- Amount in words: Three hundred dollars and 80/100
- Bank: National Bank
- Check Type: NEGOTIABLE
- MICR Line: @091900533@ 0239 0650 2 108

Annotations on the MICR line:

- ABA (Transit) Number: @091900533@
- Account Number: 0239
- Check Number: 0650
- Transit symbols-T: @
- Dash symbols-D: -
- on-us symbol-O: 0

Legend:

- *Represented as a code 'T' in the MICR line correction
- **Represented as a code 'D' in the MICR line correction
- ***Represented as a code 'O' in the MICR line correction

Figure 6.38

Non-Personal Check MICR Description

Figure 6.39 represents a standard non-personal check and the MICR line description. If this entire MICR line needed to be keyed into the POS because it could not be read, it would be typed as:

O039633O T026002574T 050 D03889D 3O

ABCMICR Company
P.O. Box 123
Cleveland, OH 44101

October 12 20 06

PAY TO THE ORDER OF XYZ Corporation \$ 1,000.00

One Thousand Dollars and 00/100 DOLLARS

National Bank ABA (Transit) Number Account Number

Check Number

SAMPLE - NOT NEGOTIABLE

⑈039633⑈ ⑆026002574⑆ 050⑈03889⑈3⑈

***on-us symbols-O *Transit symbols-T ***on-us symbol-O

**Dash symbols-D

*Represented as a code 'T' in the MICR line correction
**Represented as a code 'D' in the MICR line correction
***Represented as a code 'O' in the MICR line correction

Figure 6.39

Duplicate Check Detected

While scanning checks, if a check is accidentally or intentionally scanned twice, the system recognizes the duplicate and the following warning message appears: (Figure 6.40)

The POS detected 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 the 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, only on the PC at which the check is being scanned.

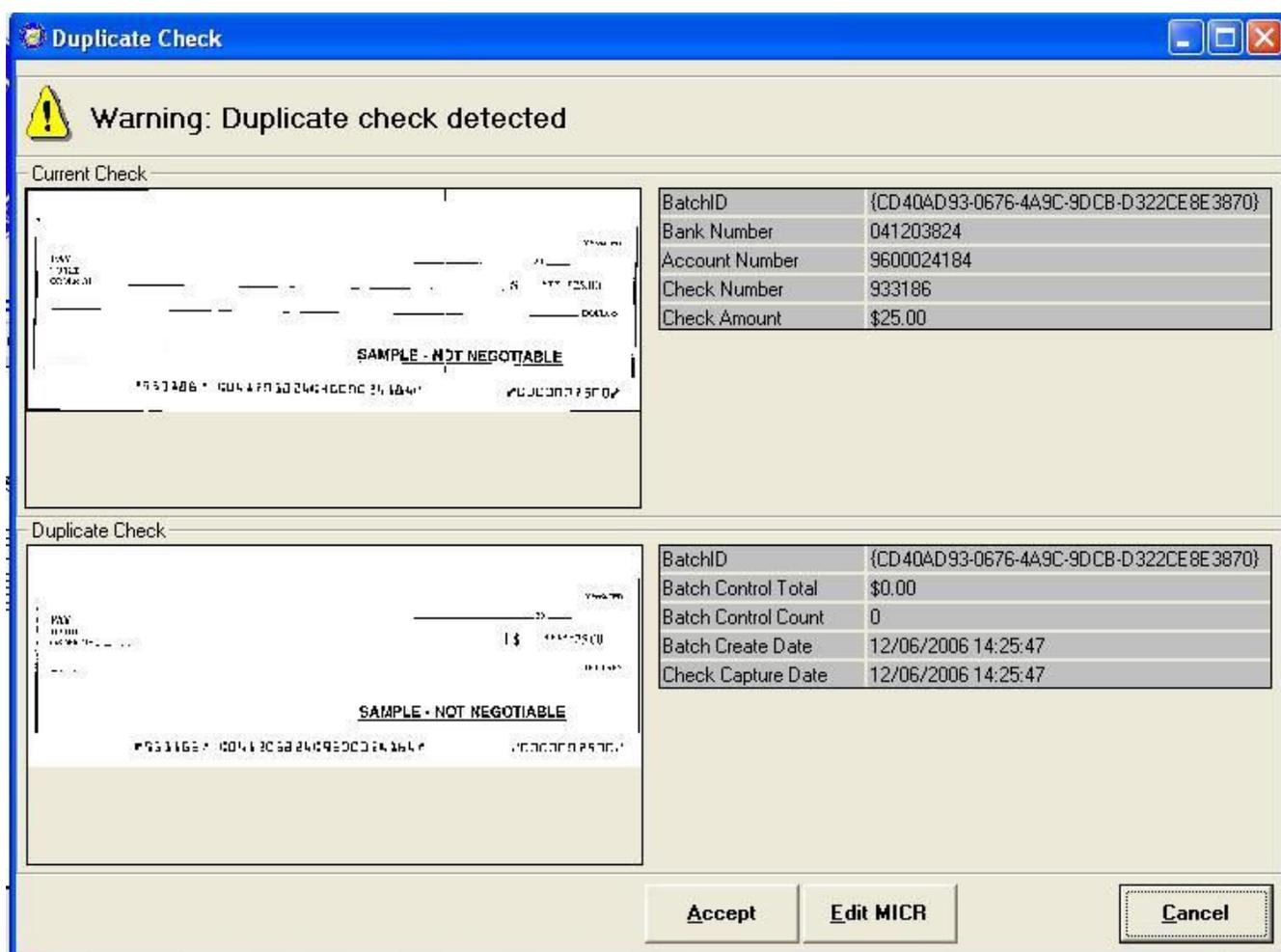


Figure 6.40

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 returns to the Main POS screen. Click on the **'Cancel'** button on the right side of the screen. The message, "Cancel

transaction. 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 appears (Figure 6.41)

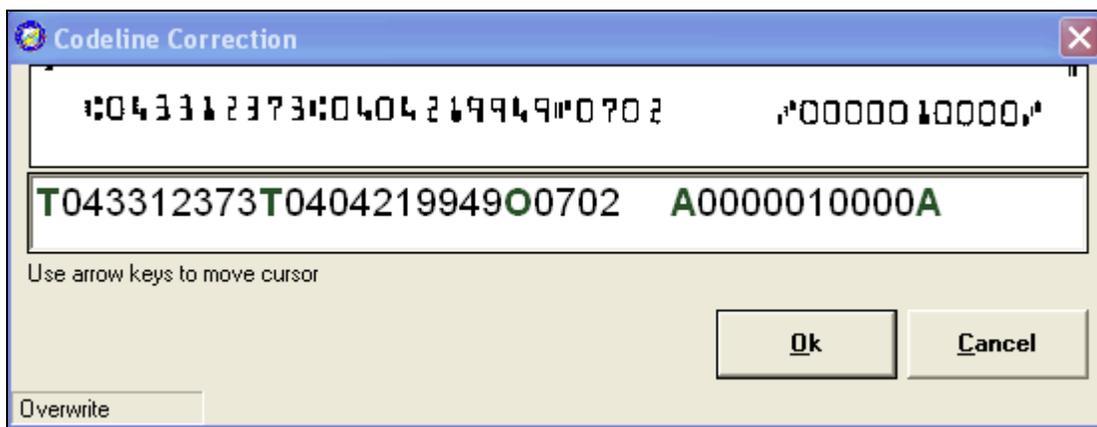


Figure 6.41

The cursor is at the end of the line on the bottom. That is the editable line. (See the **'Correcting the Codeline (MICR line)'** section of this chapter for complete details on how to edit a codeline.) 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 the correct numbers are being typed and that extra numbers are not left behind. 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 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 6.42)

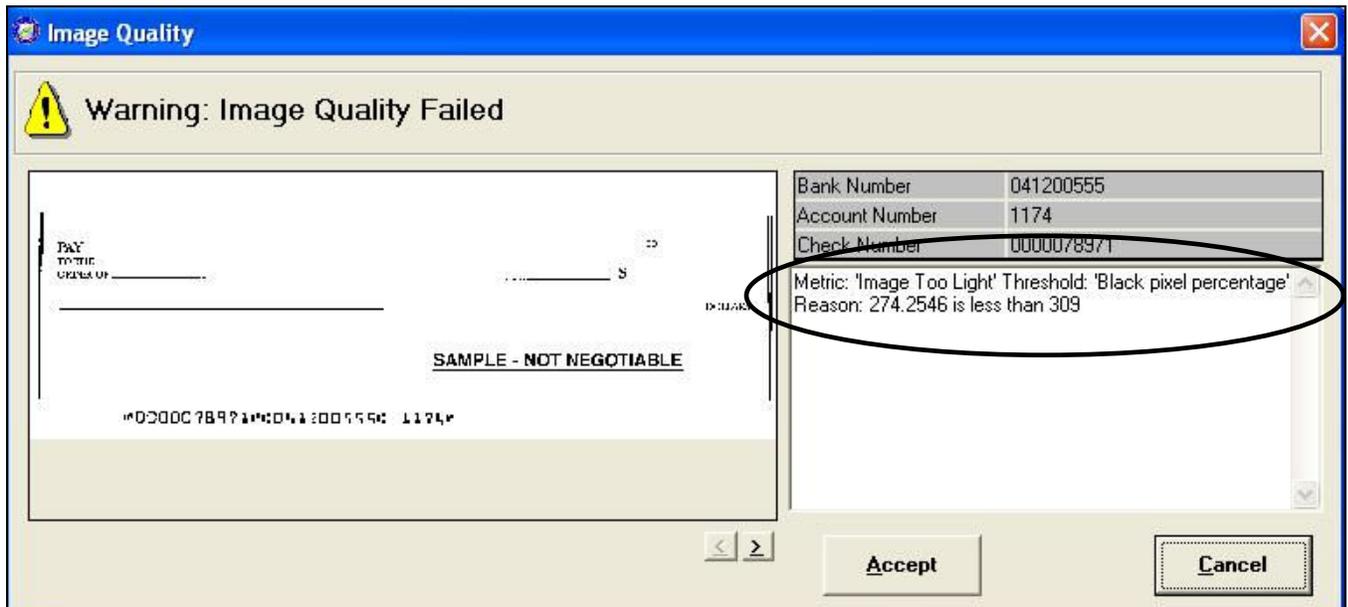


Figure 6.42

The window on the bottom right (circled) offers the reason for the image failure. When prompted with an 'Image Quality Failed' message, the user can:

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 is submitted to the payor bank for collection. It is also 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 the Agency's behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency's 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 6.43. The system prompts with the message, “Cancel transaction. Are you sure?” Click the ‘Yes’ button to cancel the item.

The screenshot shows the 'Paper Check Conversion Over the Counter: Point-Of-Sale' application window. The main display area shows the user 'sharon b', the person 'Back Office', and the check type 'Non Personal'. The amount is entered as 1.00. Below this is a simulated check image for 'Test Agency 3' with a date of 3/17/2002 and an amount of \$2,107.00. The check text includes 'PAY TO THE ORDER OF Test Checks' and 'TWO-THOUSAND ONE-HUNDRED-SEVEN AND 00/100 DOLLARS'. A signature line is present with the text 'SIGNATURE NOT REQUIRED'. On the right side, a control panel contains buttons for 'Start Scan', 'Void', 'Batch List', 'Batch Close', 'Cancel' (circled in red), 'View Log', 'Receipt', 'Clear', and 'Close'. At the bottom, there are fields for 'Image Capture', 'Complete', and a date of 10/12/2007.

Figure 6.43

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 the ‘Void an Item’ section in this chapter of the User Manual.

Print Receipt

In order to use this function, receipts need to be set up for the Agency similar to the data entry screens. If an Agency is interested in using the receipt functionality, please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com. An example of the receipt layout needs 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 User Manual.

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:

1. Scan the check and input the pertinent details.
2. Scan the back of the check (if using an EC5000i or EC6000i scanner)
3. The bottom of the screen says, “Please press enter to begin”. Do not press Enter.
4. Click the **‘Receipt’** button (Figure 6.44)

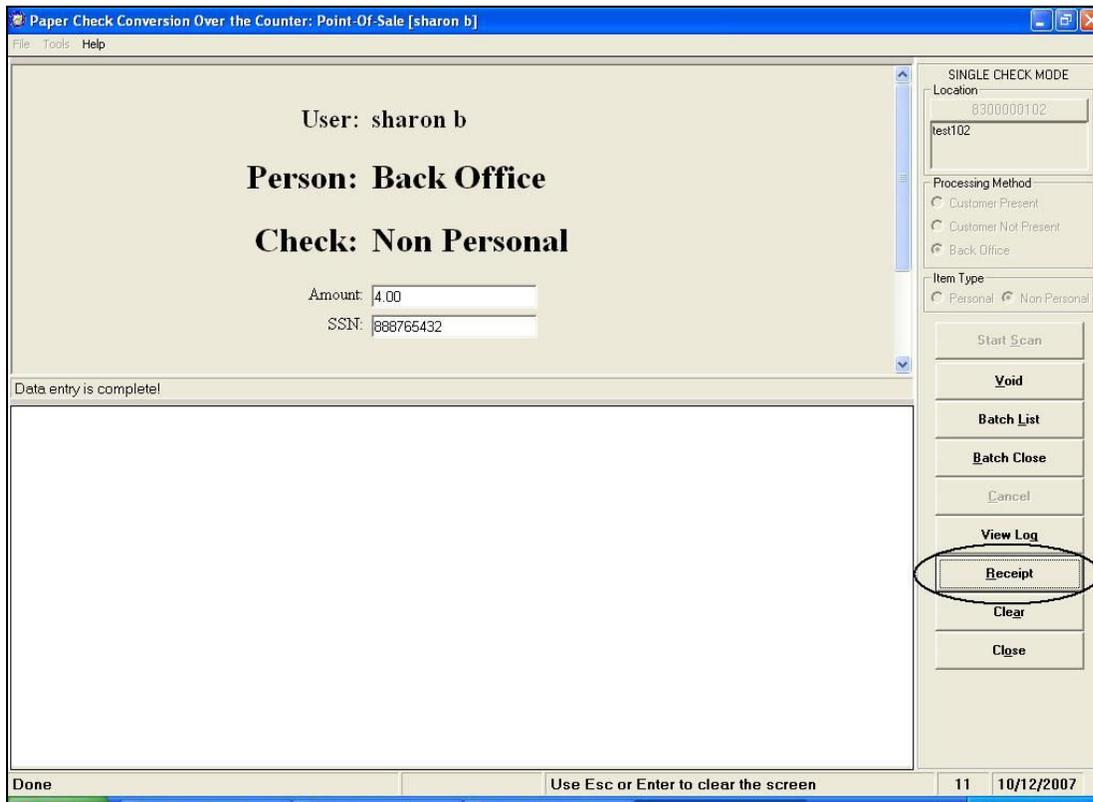


Figure 6.44

The system responds with, 'Please wait' and the receipt is printed to the default POS printer.

To print a receipt in batch mode:

1. Scan all the checks in the batch and input the pertinent details.
2. The bottom of the screen says, "Please press enter to begin". Do not press Enter.
3. Click the **'Receipt'** button (See Figure 6.44.1)
4. The system responds with, 'Please wait' and the receipt is printed to the default POS printer.

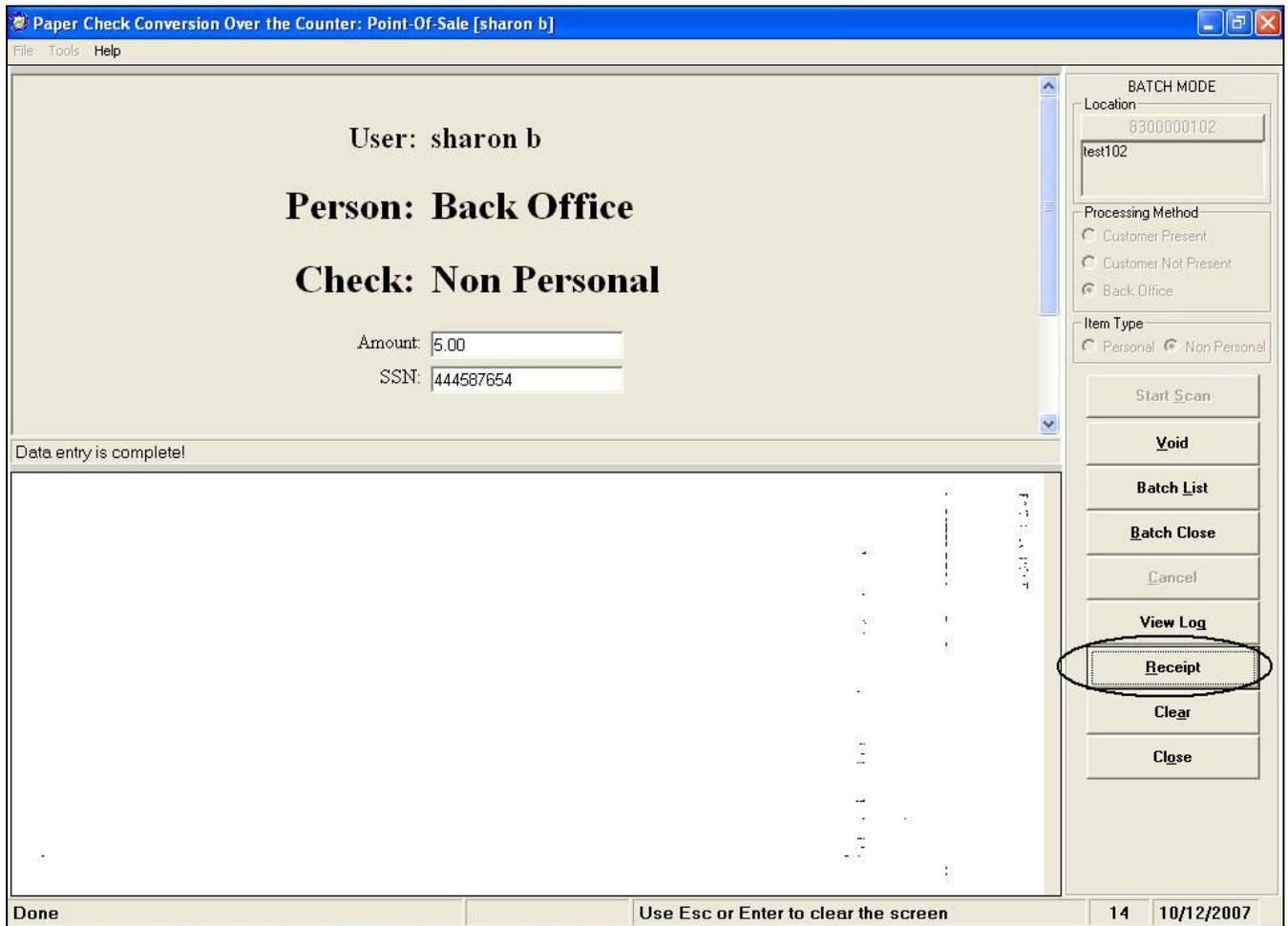


Figure 6.44.1

Print Receipt using Show Item

The ‘Show Item’ option allows the operator to view an item that has already been scanned into the system. It 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:

1. From the main POS window click the ‘**Batch List**’ button.
2. The batch list window displays a single line that represents the batch. Click the  button to expand the view of the batch to include all items.
3. Click to highlight the item for which the receipt is to be printed, then click the ‘**Show Item**’ button (Figure 6.45)

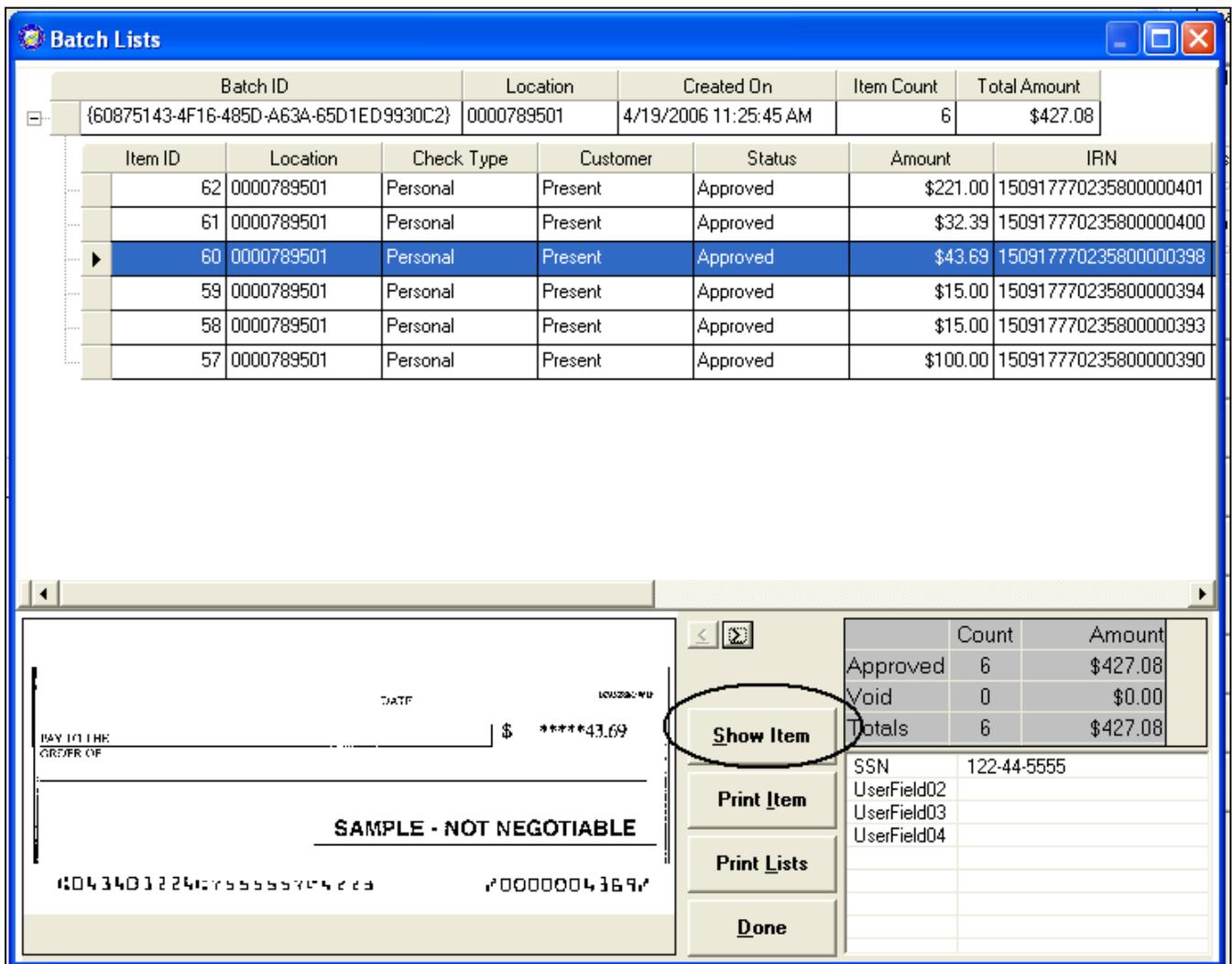


Figure 6.45

The following window appears: (Figure 6.46)

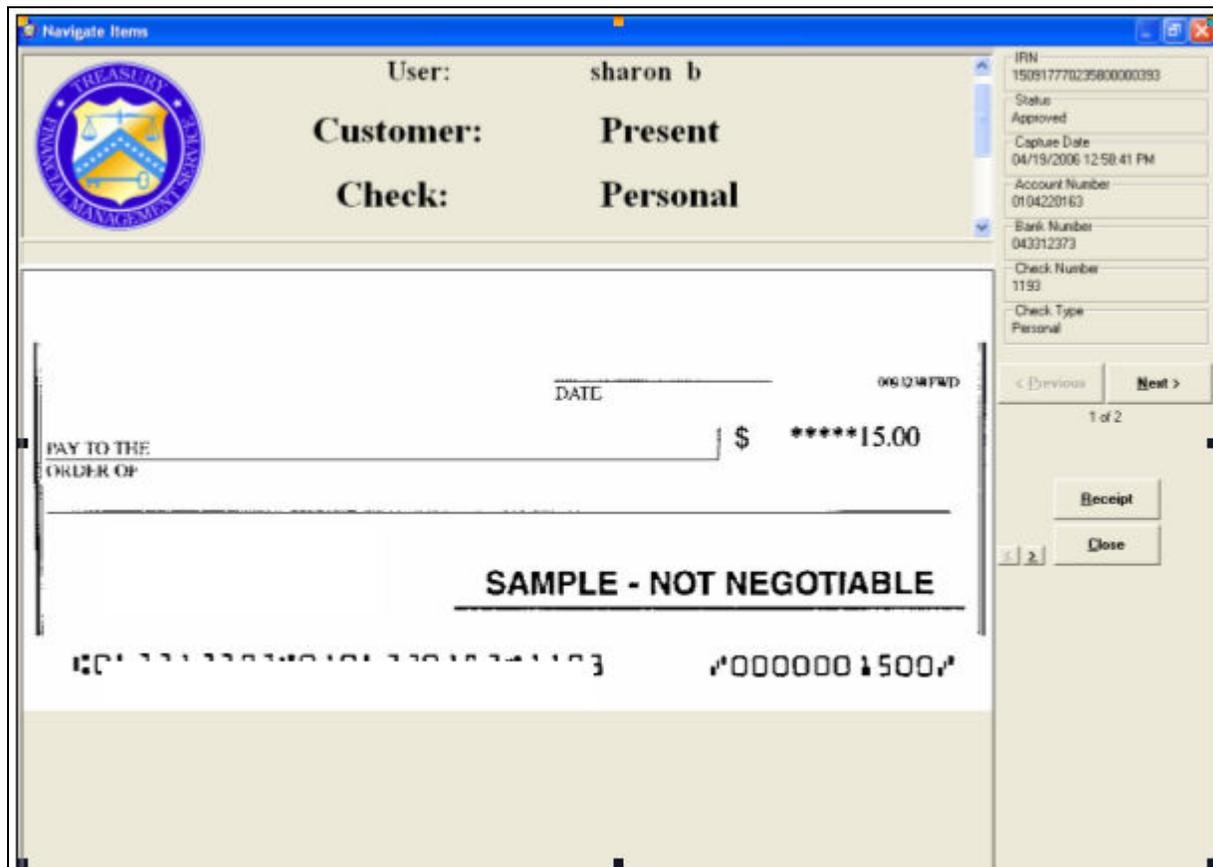


Figure 6.46

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 6.46). 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 closes the window and returns 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 the double arrow cursor \updownarrow appears. Click and drag up or down to resize the image.

4. 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 6.47). 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.

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 User Manual. 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.

Note: *In order to void the completed transaction, the check writer must provide the operator with the physical check that was scanned.*

To void a check:

1. Click the **‘Void’** button from the main POS screen. A ‘Void Item’ window appears (Figure 6.48).
2. Click the ‘+’ on the left side (circled) to expand the view and see all details of the items within the batch (Figure 6.49)

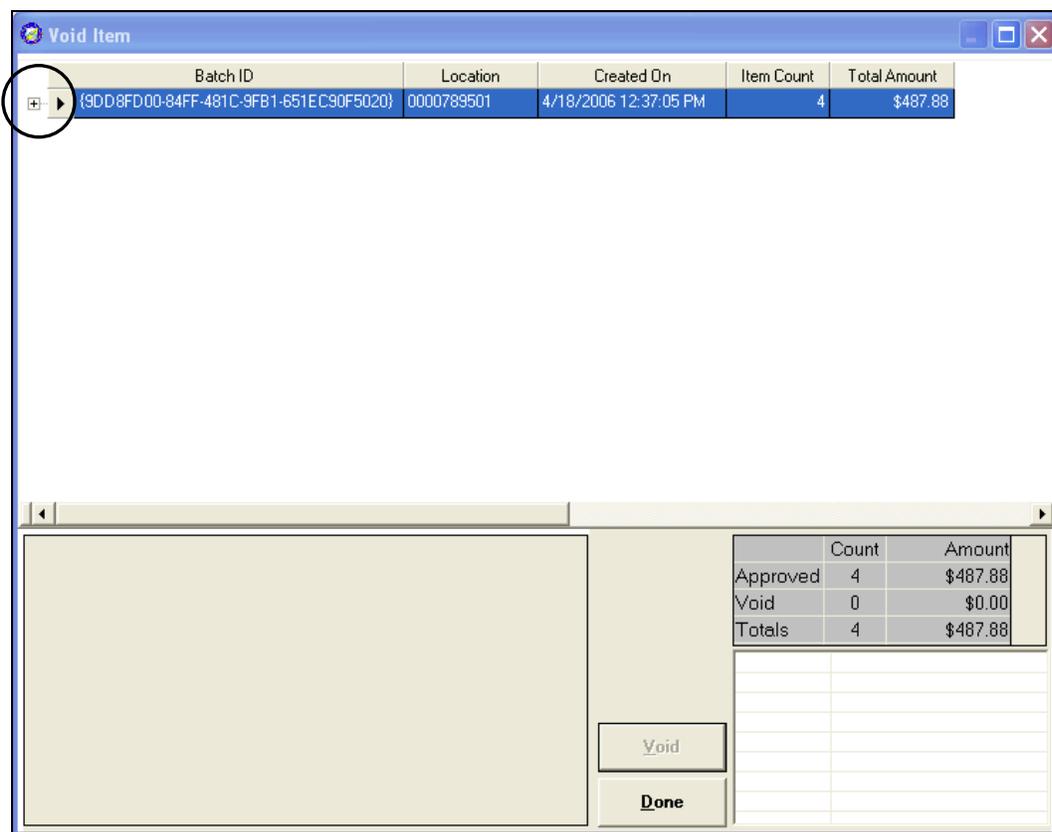


Figure 6.48

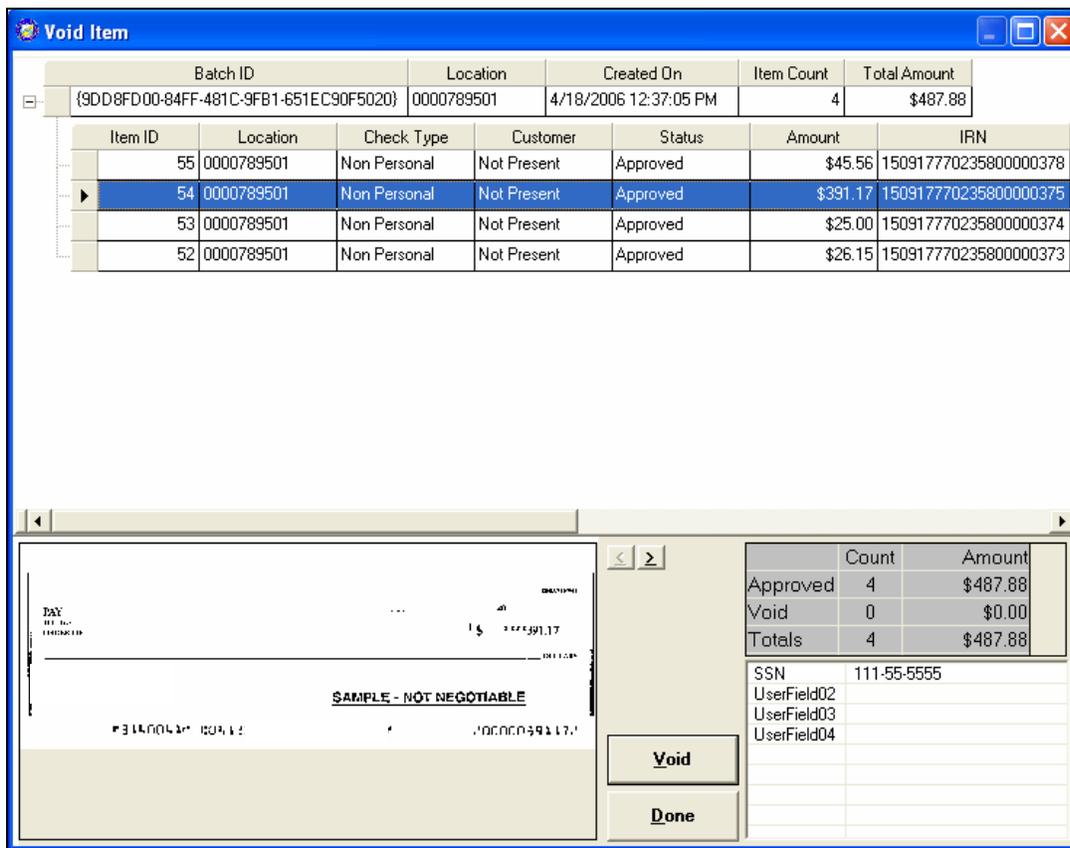


Figure 6.49

- Click to highlight the item that needs to be voided then click the **‘Void’** button at the bottom of the window. A confirmation window appears asking, ‘Are you sure?’ (Figure 6.50)

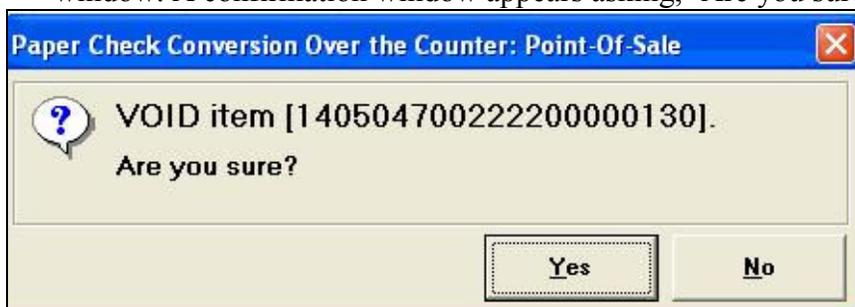


Figure 6.50

- If **‘Yes’** is selected, an authorized user’s login and password may be required to approve the void. The authorized user is prompted to enter comments regarding the void request. Key in the void comments and click the **‘Ok’** button. (Figure 6.51) The comment that is typed into the window also appears in the audit log.

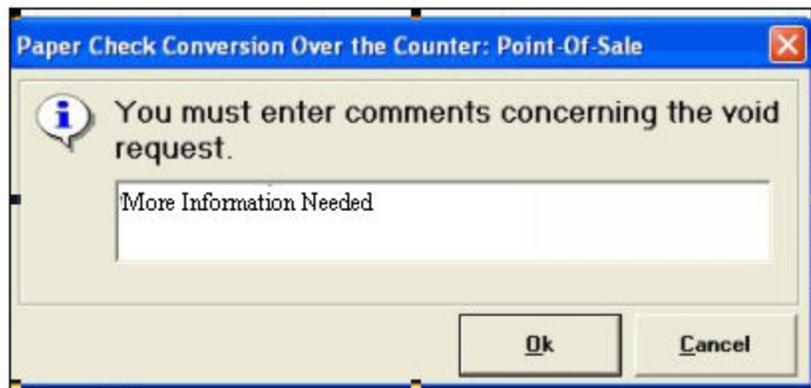


Figure 6.51

5. A confirmation window appears stating the 'Void' process was successful. (Figure 6.52)

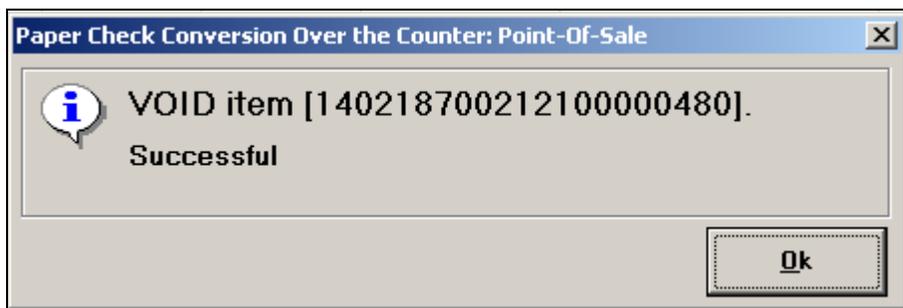


Figure 6.52

Once the item is voided it continues to be displayed in both the Batch list and Batch close screens marked with a status 'Void' (Figure 6.53) 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.

6. Click '**OK**'. The screen returns to the Void Item window. When finished voiding all items, click '**Done**' to return to the Main POS screen.

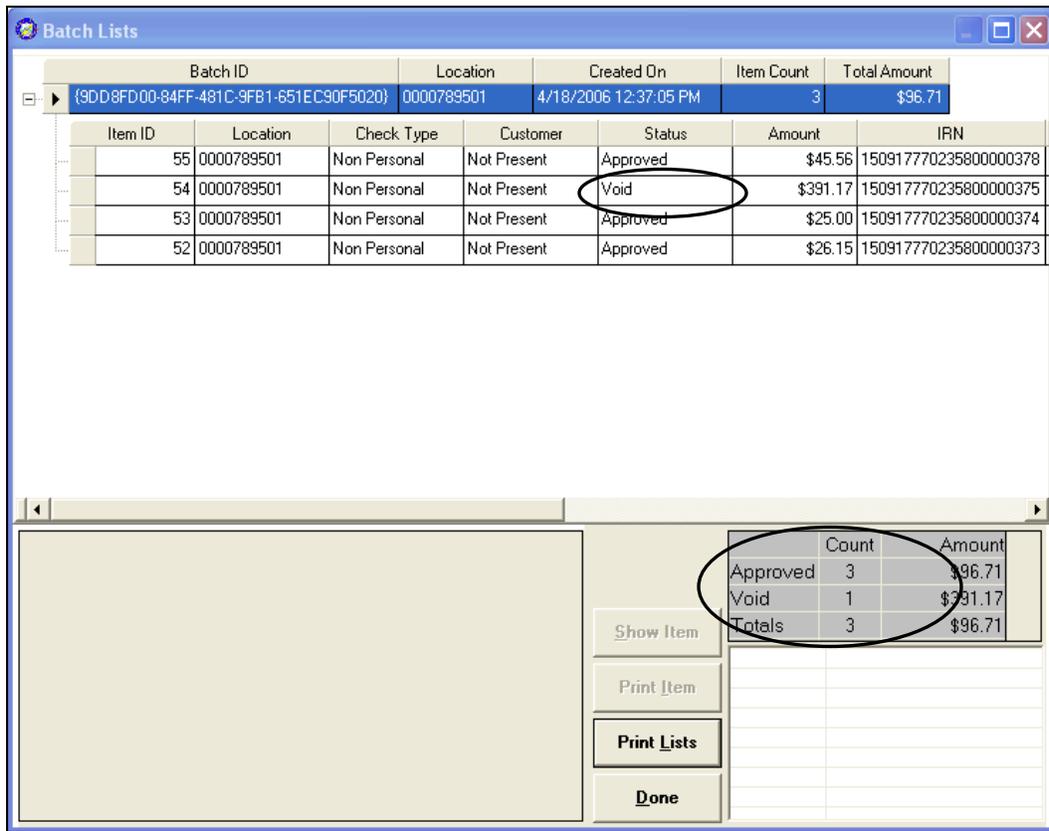


Figure 6.53

Alternate Flow:

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.

When finished, click ‘Done’ to 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 prompts to make certain that the user acknowledges the printout of the batch list, but it cannot force the user to print the batch. Be aware that a batch list printout is no longer 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 6.54) on the left side of the screen to expand the view as displayed in Figure 6.55).

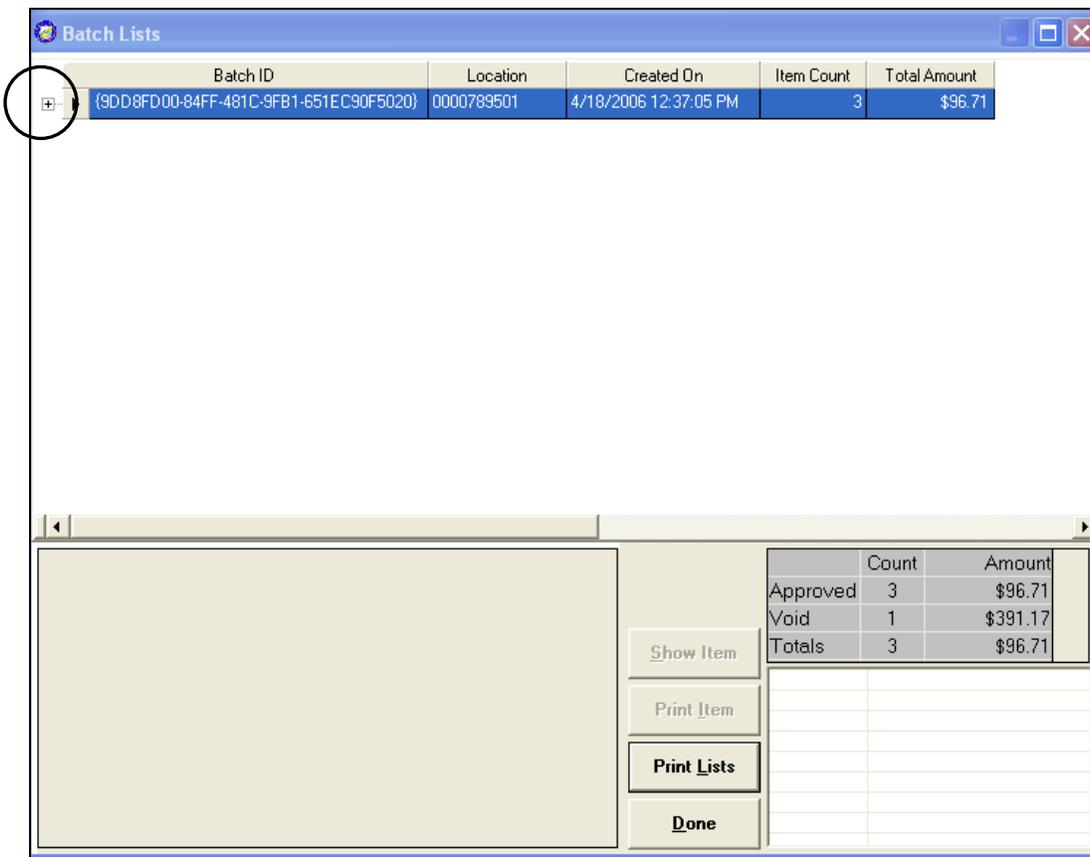


Figure 6.54

The Batch list allows a user to scroll through and view each item by clicking to highlight the item. (Figure 6.55) 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 User Manual.*

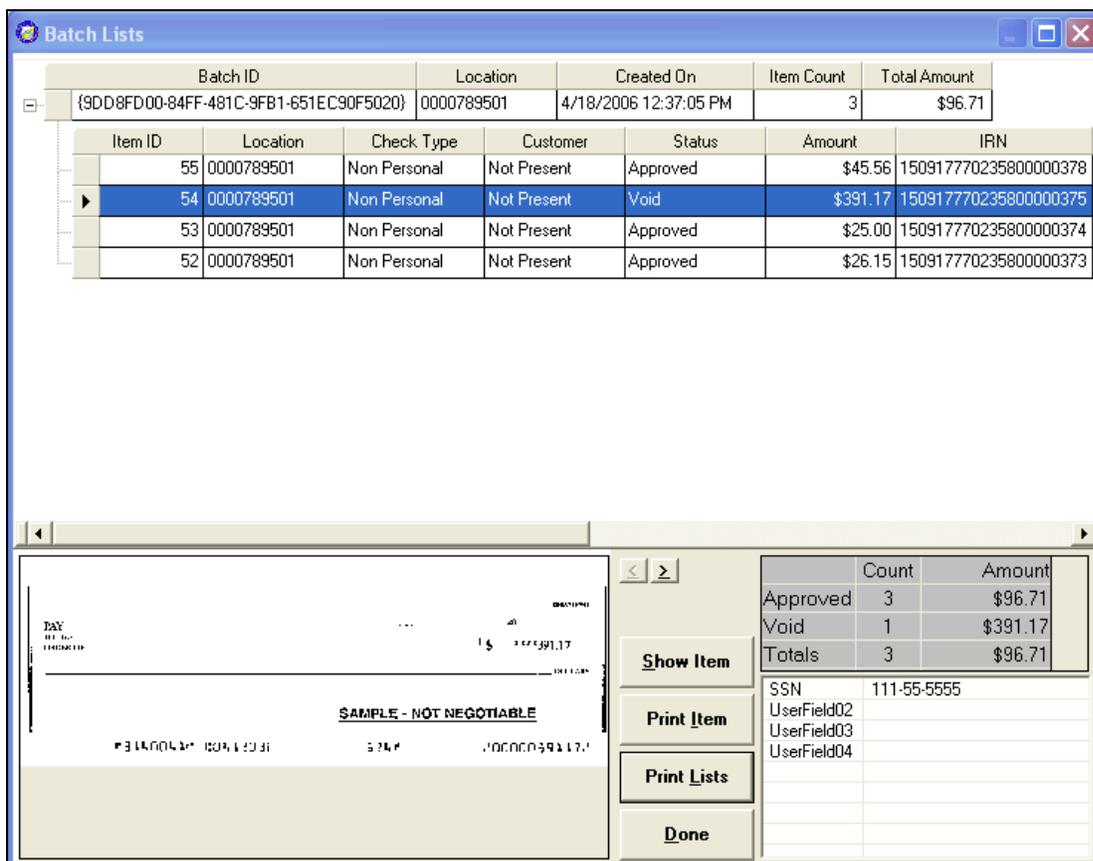


Figure 6.55

Note: *When the Back Office processing method is used on the data entry screen, the item displays 'Back Office' in the 'Customer' column on the Batch List (Figure 6.55.1)*

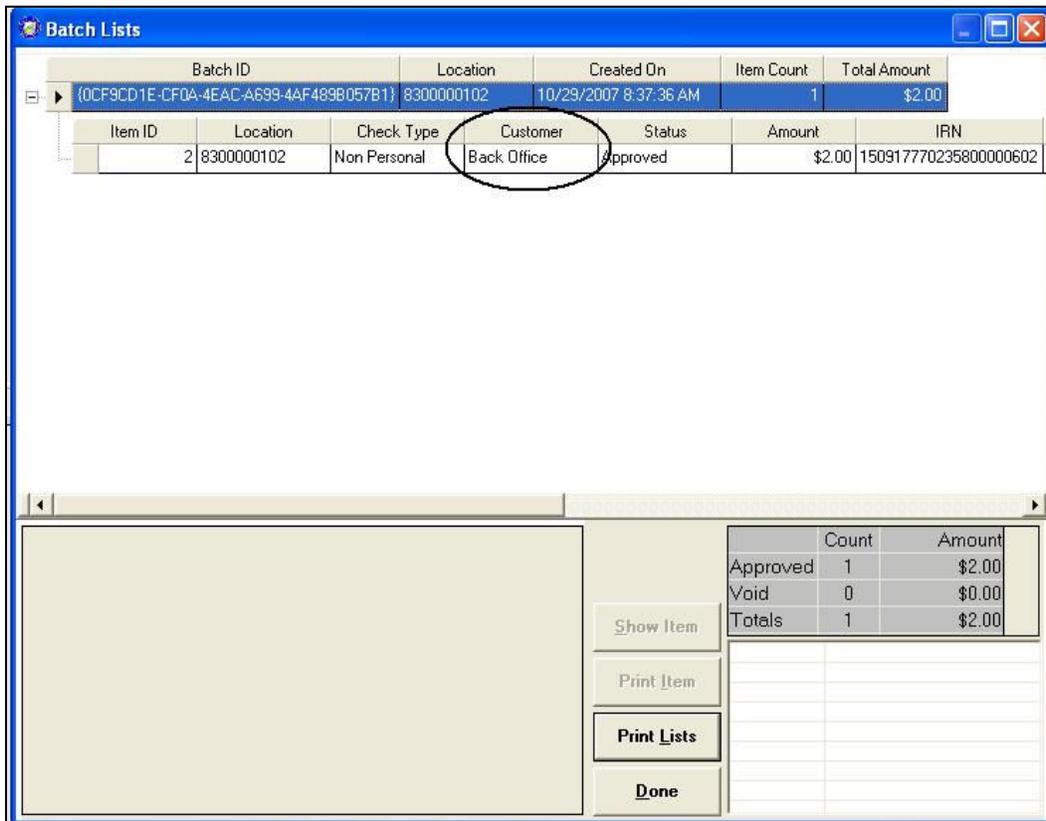


Figure 6.55.1

Columns within the batch list can be sorted by clicking the preferred column heading. Sorting by the IRN places the items in the order they were input. When the column heading is clicked, an up arrow appears in the column (Figure 6.56) indicating the sort is ascending. Clicking again changes the arrow to the down position which indicates that the sort order is descending (Figure 6.57).

Amount	15
\$25.00	15
\$26.15	15
\$45.56	15
\$391.17	15

Figure 6.56

Amount	15
\$391.17	15
\$45.56	15
\$26.15	15
\$25.00	15

Figure 6.57

At the bottom of the Batch List screen is a summary box just to the right of the check image. This box contains the following information:

- 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.
- Totals – 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 appears which allows the user to view, zoom, page scroll, search text, and print the item using the buttons at the top of the page (Figure 6.58).

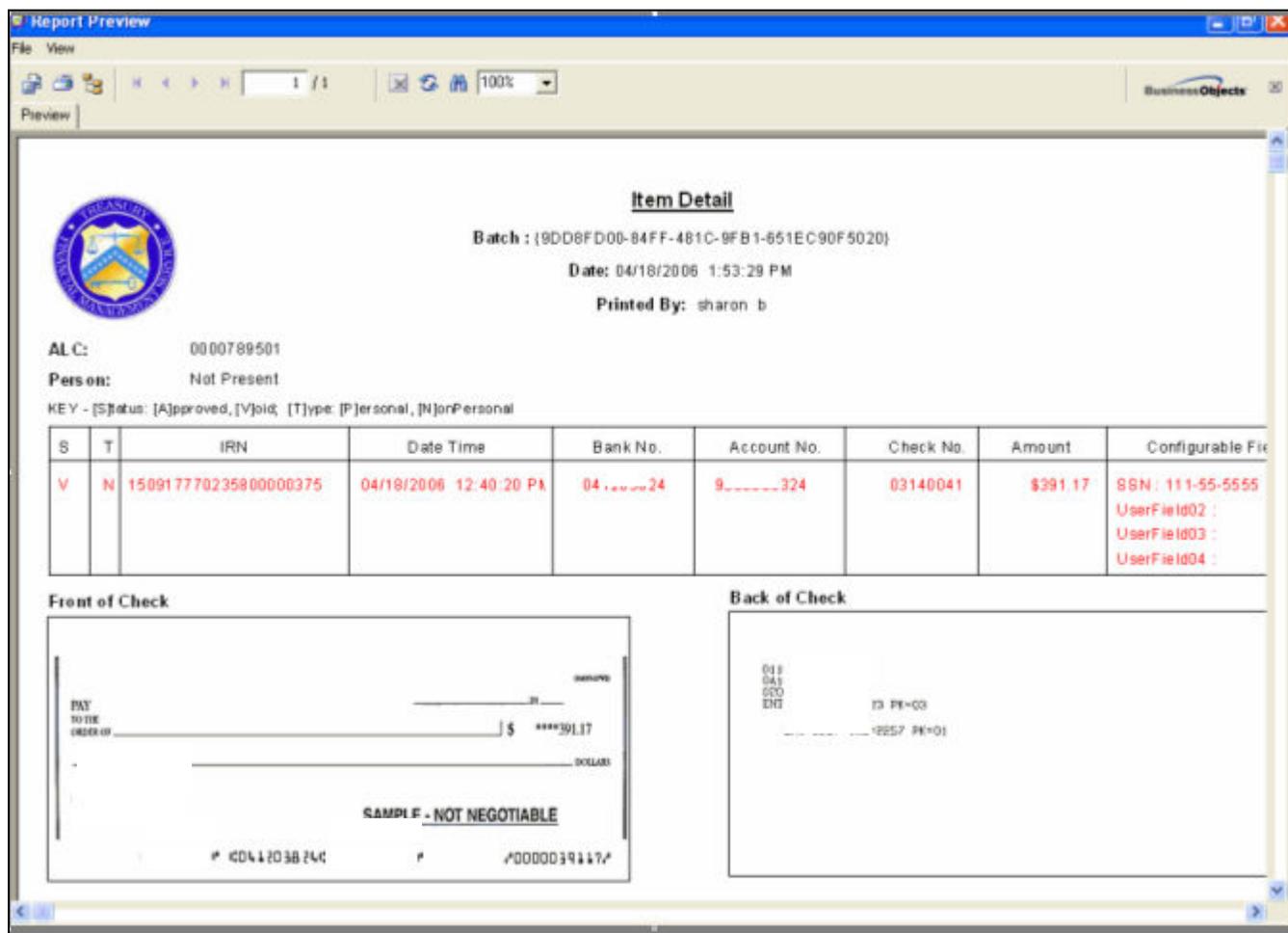


Figure 6.58

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 appears which allows the user to view, zoom, page scroll, search text, or print the Batch List using the buttons at the top of the page. (Figure 6.59)

Batch List

Batch : (CD40AD93-0676-4A9C-9DCB-D322CE8E3870)
 Date: 12/6/2006 3:16:33PM
 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	150917770235800000506	12/6/2006 2:29:15PM	04-----4	75___9	7596	\$25.00	
Sub Total:			Count:	0	Amount:	\$0.00		

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	N	150917770235800000504	12/6/2006 2:25:47PM	041-----1	91___34	933186	\$25.00	
A	N	150917770235800000503	12/6/2006 2:25:40PM	041-----4	96___5	016948639	\$400.00	
Sub Total:			Count:	2	Amount:	\$425.00		
ALC Total:			Count:	2	Amount:	\$425.00		
Grand Total:			Count:	2	Amount:	\$425.00		

Figure 6.59

Batches consist of only **one POS operator**, but may contain more than one ALC+2 and processing mode. ALC+2's are separated on the batch list. A total count and dollar amount appears on the bottom of the last page of the batch list. Voided items are also listed separately.

Note: Amounts over 1 million are displayed as hash totals (#####) See Figure 6.59.1. The correct totals are displayed if the batch list is exported. For details on how to export the batch list, please see the 'Export the Batch List' section of this chapter.

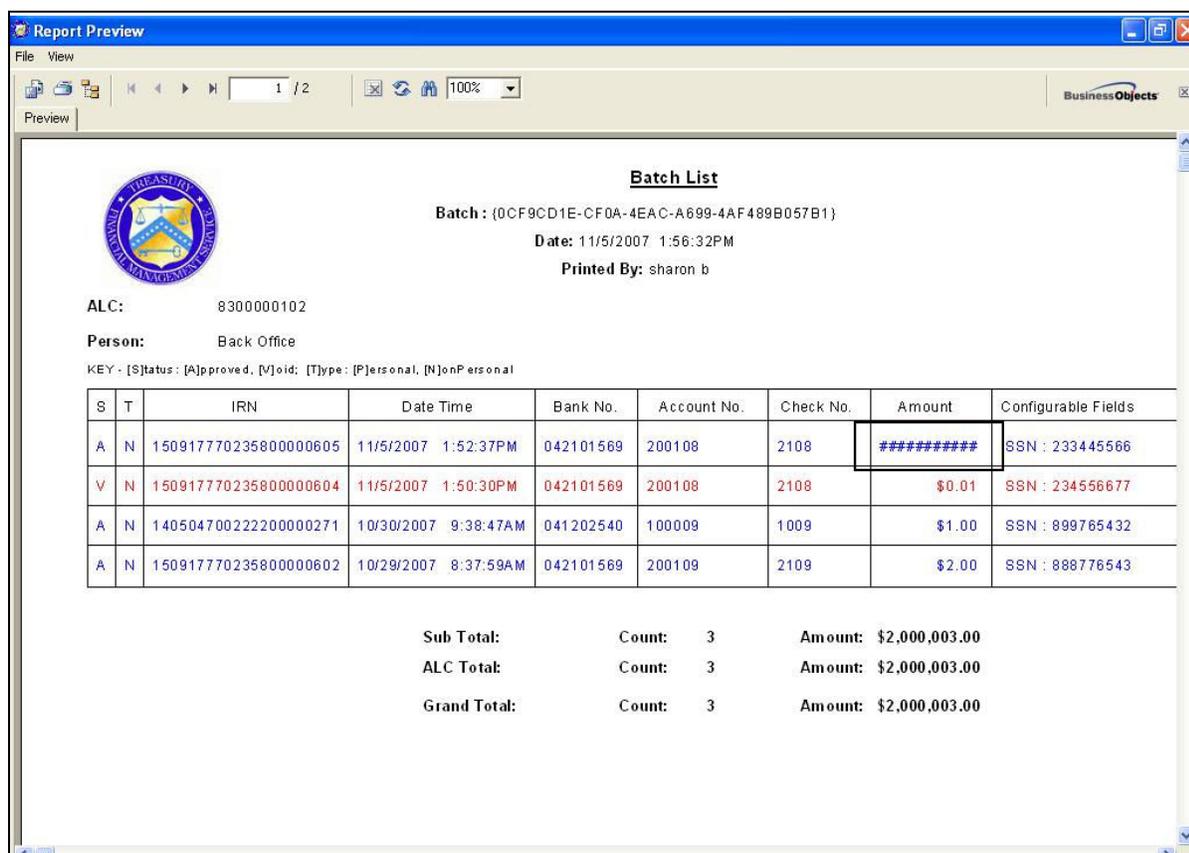


Figure 6.59.1

To print the 'Batch List', select the printer icon  at the top left corner. Once complete, the application returns to the 'Batch List' window.

Click **'Done'** when finished.

Refer to *Appendix A – Sample Reports*, for more information on Batch List.

Export the Batch List

1. The batch list can be exported to a folder on the hard drive, the LAN or to an external device such as a jump drive. To export the batch list, click on the 'export' icon  from the upper left of the Batch List Report Preview Screen. The following window appears (Figure 6.59.2).



Figure 6.59.2

2. Click the down arrow in the 'format' field and choose a format. Examples include .pdf, xls, rtf. Leave the 'Destination' field as 'Disk file' and click 'OK'.
3. Choose a page range of one or more pages, or click 'All' for all pages, then click 'OK'.
4. Click the down arrow in the 'Save in' field and navigate to either the folder or the drive specification where you wish to save the file.
5. Type a file name in the 'File Name' field and click 'Save'. The file can now be opened in the appropriate application. Below is an example of a batch list report saved as a .pdf (Figure 6.59.3).

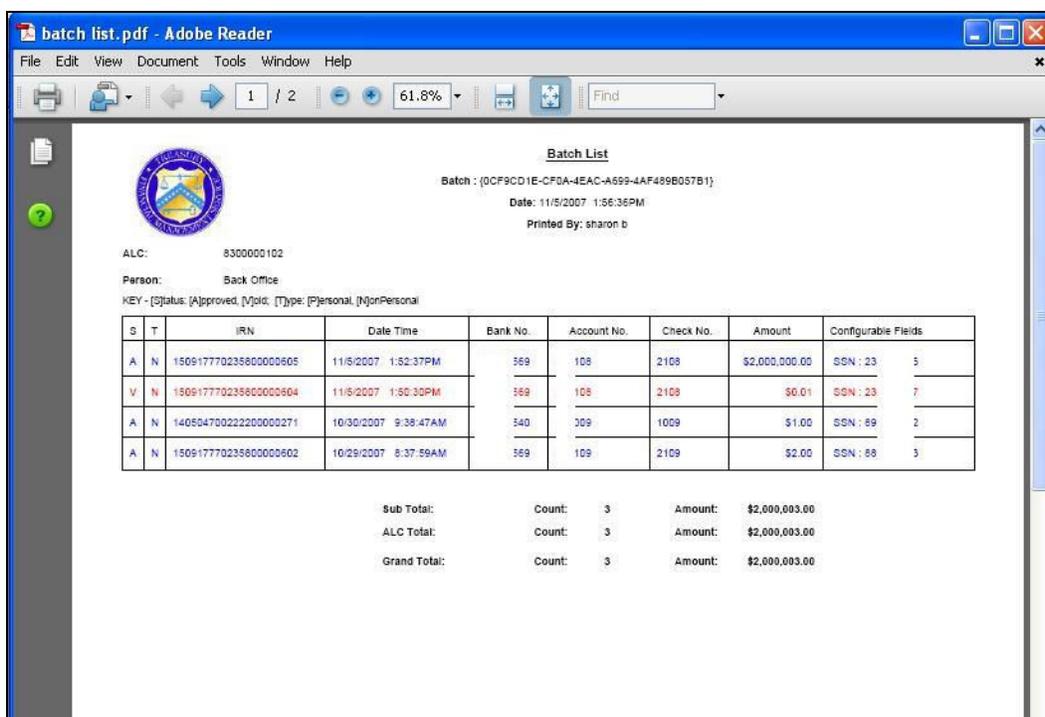


Figure 6.59.3

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, balance the cash before the batch is closed.

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 transmits 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 is 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 User Manual.

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 are prompted with the following message upon logout (Figure 6.60).

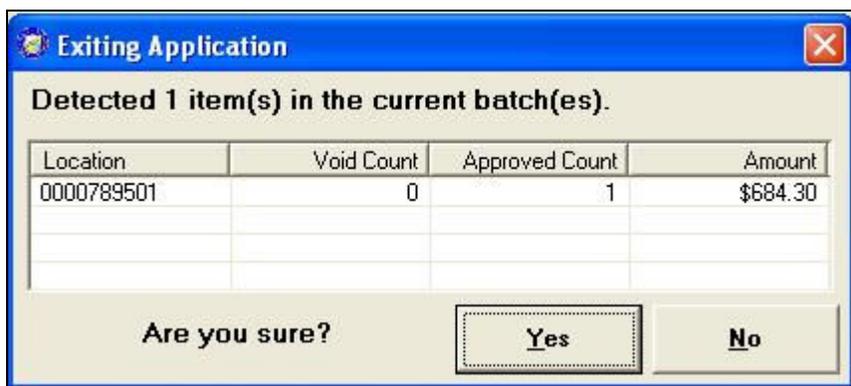


Figure 6.60

On the operator's next sign in they are prompted with the following message (Figure 6.61) whenever there are open items.

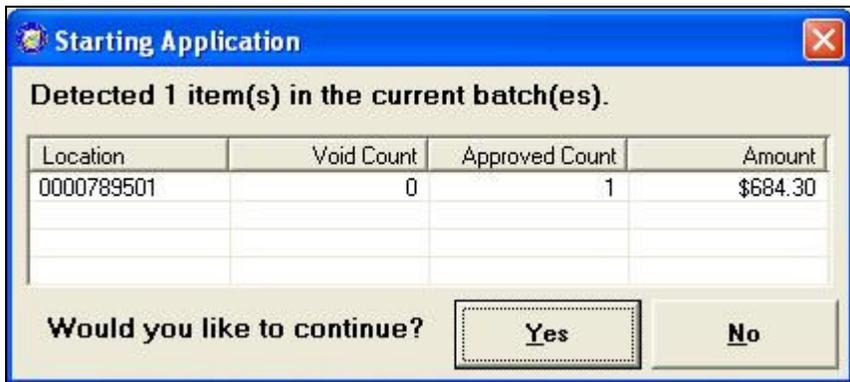


Figure6.61

The user can click ‘Yes’ to continue with the batch and scan more items. Clicking ‘No’ allows the user to close the batch. A prompt asks the user if they wish to close the batch. Click ‘OK’ to begin the batch close process.

2. A ‘Batch List’ window appears (Figure 6.62). Click the ‘+’ button to show all of the items that have been scanned into the POS computer for that batch (Figure 6.63). Clicking on each item in the upper window displays 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.

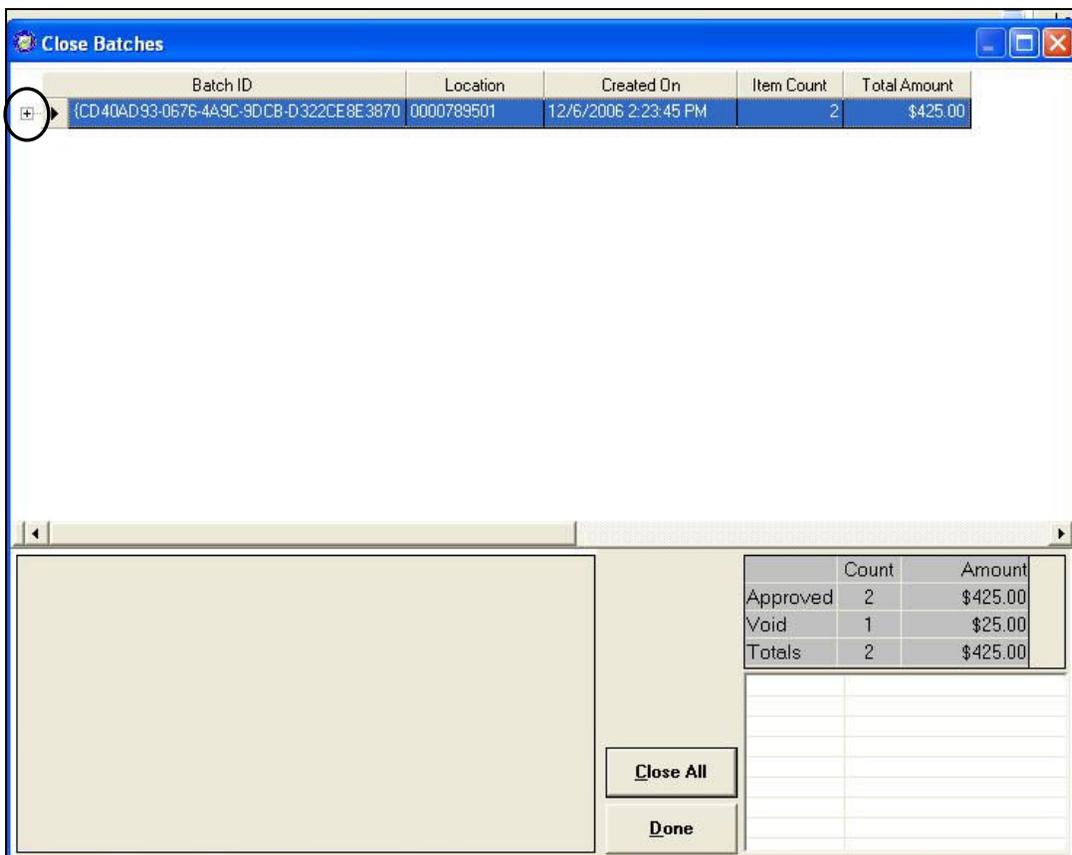


Figure6.62

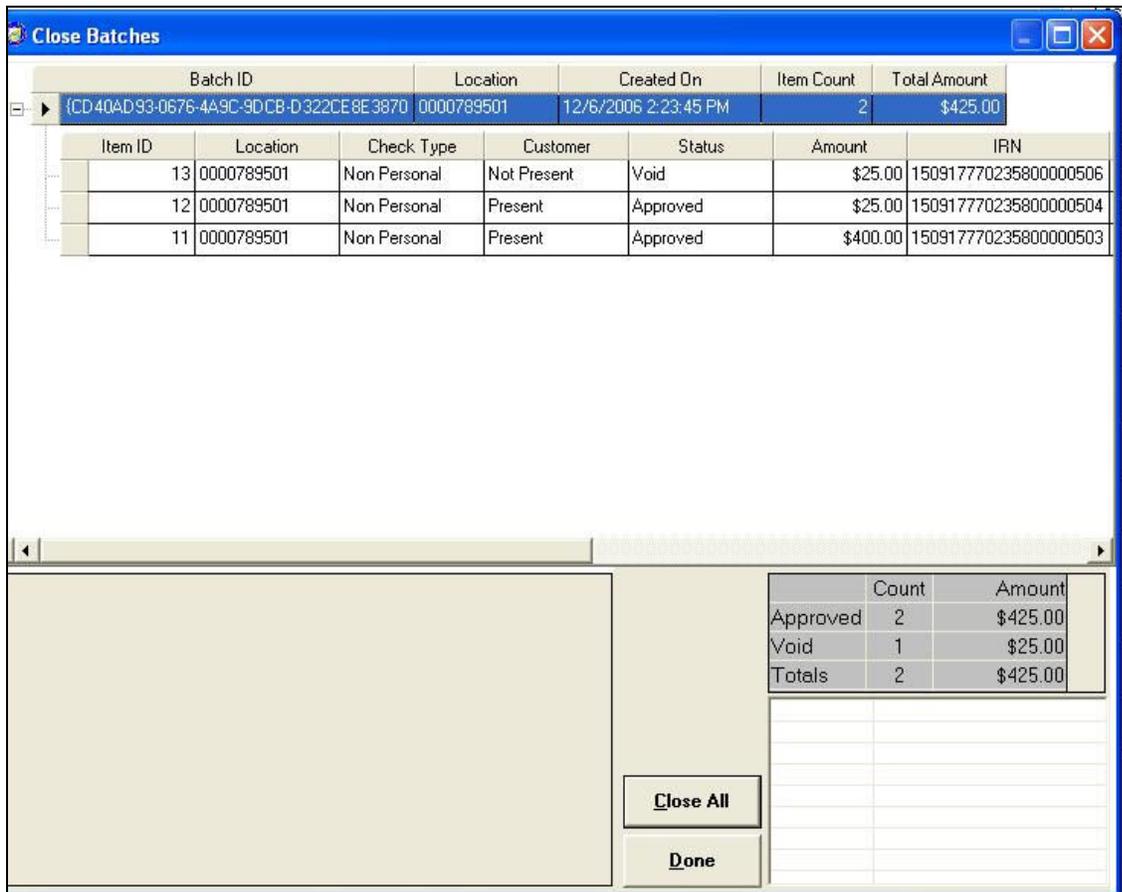


Figure 6.63

3. Click the **'Close All'** button at the bottom of the window to close the batch. The following prompt appears: (Figure 6.64). The count in the window does not include the voided item.

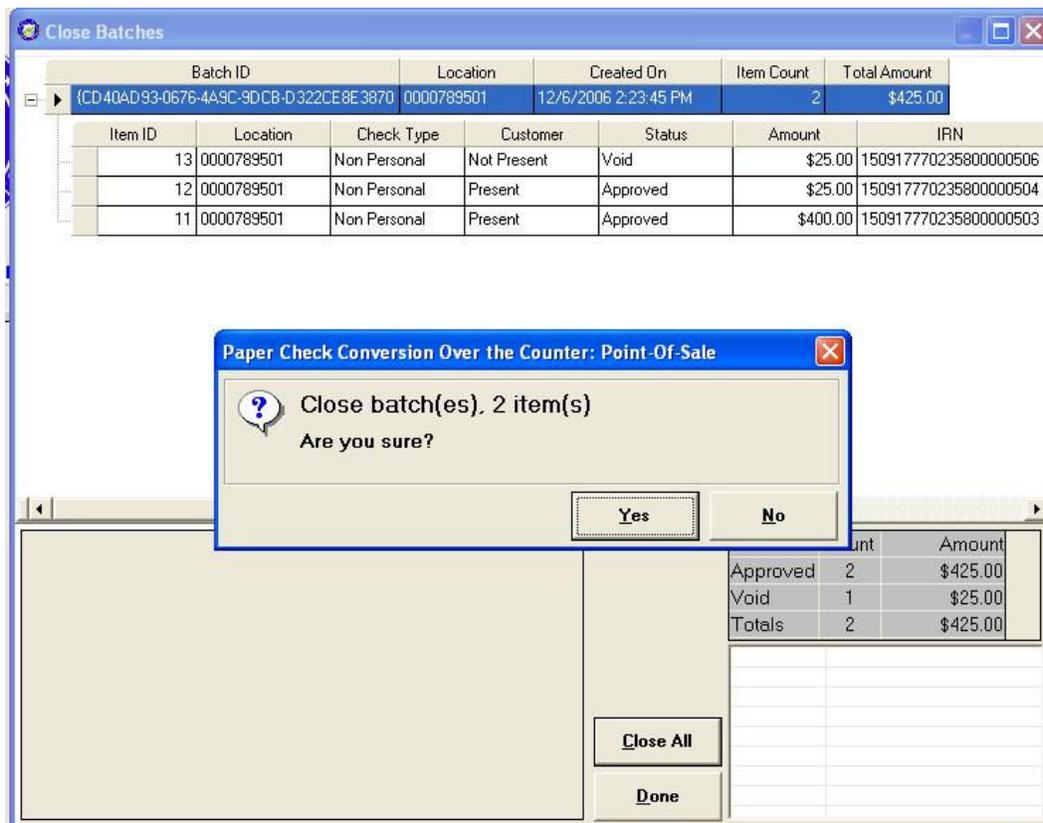


Figure 6.64

4. Clicking 'No' returns the screen to the batch list window.
5. Clicking 'Yes' may return a Batch Control window if the configuration settings are set to balance the batch at batch close. (Figure 6.65) If so, key in the Batch Control Total and Batch Control Count and click the 'OK' button. If a discrepancy is encountered, please refer to the 'Batch Balancing Screen' section earlier in this chapter.

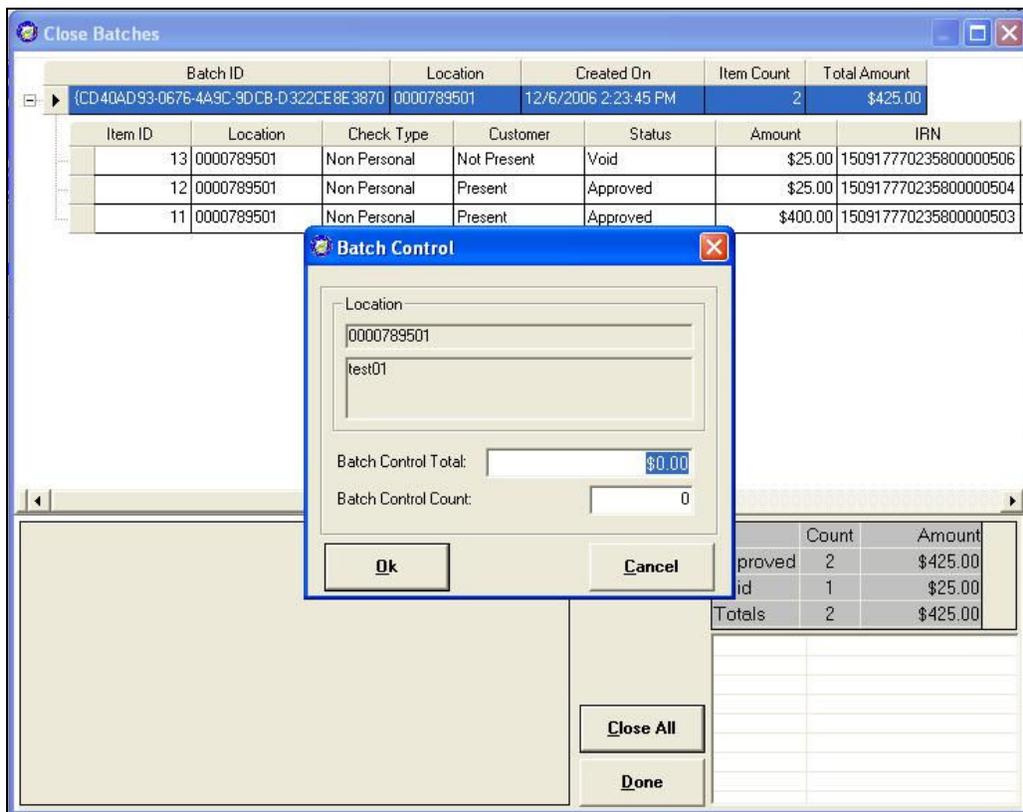


Figure 6.65

6. A preview window appears in which the user can view, zoom, page scroll, and print the Batch List by using the buttons at the top of the screen. (Figure 6.66). 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.

Batch List
 Batch : (CD40AD93-0876-4A9C-9DCB-D322CE8E3870)
 Date: 12/6/2006 3:16:33PM
 Printed By: sharon b

ALC: 0000789501
 Person: Not Present
 KEY: [S]tatus: [A]pproved, [N]oid: [T]ype: [P]ersonal, [N]onPersonal

S	T	IRN	Date Time	Bank No.	Account No.	Check No.	Amount	Configurable Fields
V	N	150917770235800000506	12/6/2006 2:29:15PM	04: 4	7010029	7586	\$25.00	
Sub Total:			Count:	0	Amount:	\$0.00		

Person: Present
 KEY: [S]tatus: [A]pproved, [N]oid: [T]ype: [P]ersonal, [N]onPersonal

S	T	IRN	Date Time	Bank No.	Account No.	Check No.	Amount	Configurable Fields
A	N	150917770235800000504	12/6/2006 2:25:47PM	04: 4	9	833186	\$25.00	
A	N	150917770235800000503	12/6/2006 2:25:40PM	04: 4	9E: 5	016948639	\$400.00	
Sub Total:			Count:	2	Amount:	\$425.00		
ALC Total:			Count:	2	Amount:	\$425.00		
Grand Total:			Count:	2	Amount:	\$425.00		

Figure 6.66

- Confirm that the Batch List was printed by clicking 'Yes' or 'No' to the prompt (Figure 6.67). If the user clicks 'No', the screen returns to the Batch Close screen. Click 'No' if the printout was not successful. Click 'Yes' to confirm. Be certain before clicking the 'Yes' button that the printout was successful and legible especially when using a network printer. Network printers may not be located in the immediate area of the POS computer and it is vitally important that the operator walks over to the network printer to review the printout for accuracy and legibility prior to confirming with 'Yes' as there is not another opportunity to obtain a printout of the Batch.

NOTE: The batch does not close unless the user acknowledges that the batch is printed. If the user responds with 'Yes' even if the batch did not print, the batch closes and there is not a printed record of the batch. If this happens, the batch list needs to be printed using Batch Manager. If the user experiences difficulty in closing the batch, please refer to the Troubleshooting section.

Paper Check Conversion Over the Counter: Point-Of-Sale

Please confirm Batch List was Printed.
 Continue?

Yes No

Figure 6.67

The batch is transmitted to ELVIS. (Figure 6.68 & 6.69)



Figure 6.68

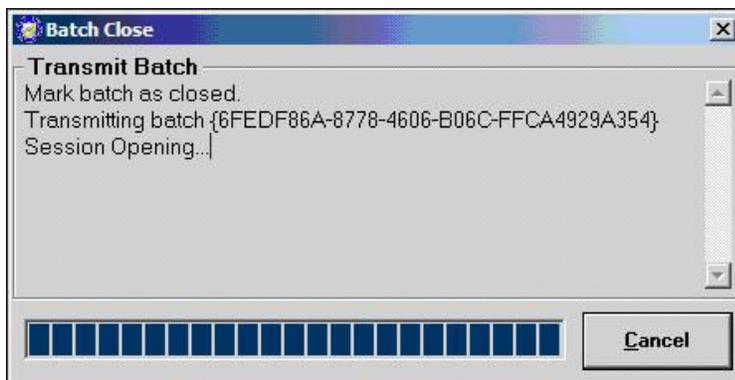


Figure 6.69

Users should be certain that they receive their 'batch acknowledgement'. The receipt of the 'Batch Acknowledgment' ensures that the batch has been successfully processed and appears on the SF215 Deposit Ticket Report. Batch Acknowledgments are displayed on the screen once the batch has been successfully transmitted. (See Figure 6.70) Batch acknowledgments are usually received during the same batch transmission but large batches may take longer to process. If the batch acknowledgment is not received, look for it to come in with the next login to the POS.

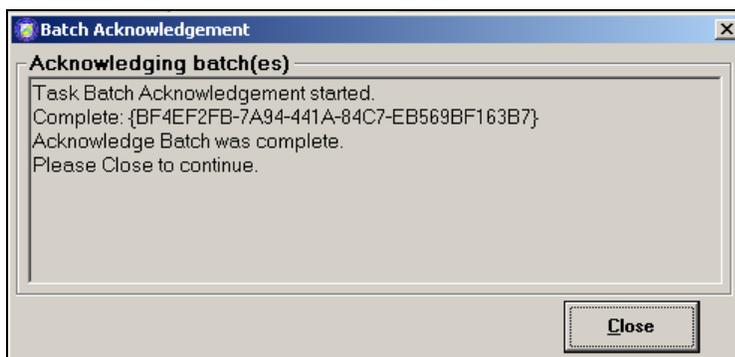


Figure 6.70

On successful completion the batch list is 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 deletes expired LVD records and new LVD records are received. The user is 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 User Manual. The error message also displays on the activity log. Click ‘Done’.

Note: Currently, transactions received before 9:30 p.m. EST are 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 the SF215. We recommend reviewing Batch Manager on each POS computer to check the status of created batches. If batch statuses within Batch Manager show them to be successfully transmitted, then the funds are included on the next day’s SF215 report.

Note: Checks processed after an unsuccessful ‘Batch Close’ are 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 (Customer) Present’ transactions may wish to utilize the keypad. The Y/N keypad enables the customer to see and confirm the amount that has been keyed into the system on the keypad. The customer can confirm the amount by pressing the ‘OK’ key on the keypad, or cancel the transaction by pressing the ‘Cancel’ button on the keypad based on the validity of the dollar amount. (See the ‘Installation and Configuration’ chapter of this User Manual for instructions on activating/deactivating the Yes/No Keypad)

For Agencies using the optional Yes/No Keypad, the customer is requested to verify the dollar amount using the Yes/No keypad. This is used only during a ‘Person (Customer) 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 indicates that customer validation is needed as circled in Figure 6.71. The dollar amount of the transaction appears on the keypad’s screen for the customer to verify.

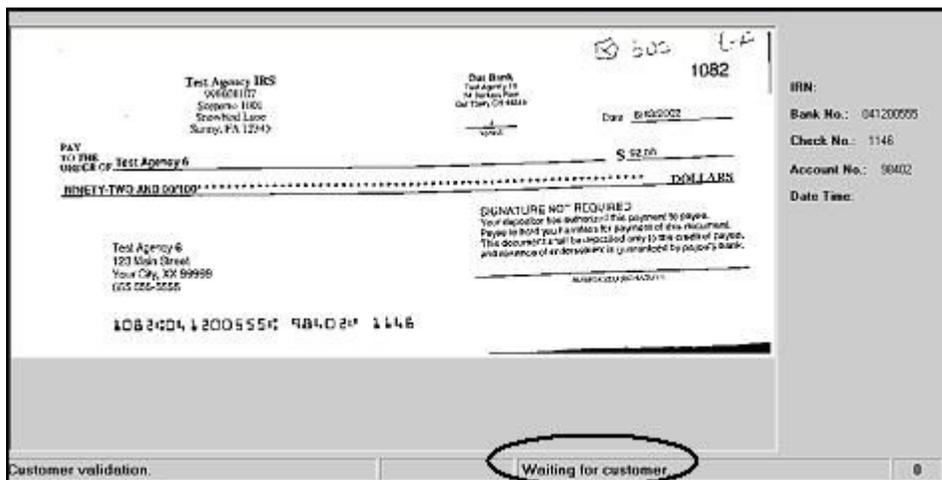


Figure 6.71

If the dollar amount is correct, the customer should be advised to press the green button marked ‘OK’ on the keypad. The following message appears: (Figure 6.72)



Figure 6.72

Click the ‘OK’ button in the POS window displayed above.

If using an EC5000 or EC6000 scanner, the bottom of the screen displays, “Scan back of check”. Reinsert the check into the scanner with the back of the check up. Once the back has been scanned the POS screen displays the message, ‘Complete’, then ‘Please press enter to begin’. The system is ready for the next transaction.

If using an EC7000 scanner, the bottom of the POS screen displays the message, ‘Complete’, then ‘Please press enter to begin’. The system is ready for the next transaction.

If the dollar amount is incorrect, the customer should press the red ‘**Cancel**’ button on the keypad. The following message appears on the POS screen (Figure 6.73)



Figure 6.73

Click the ‘**OK**’ button in the POS window displayed above. The bottom of the POS screen displays the message, ‘Complete’, then ‘Please press enter to begin’. The system is ready for the next transaction.

If the customer takes too long to respond the following message appears: (Figure 6.74)

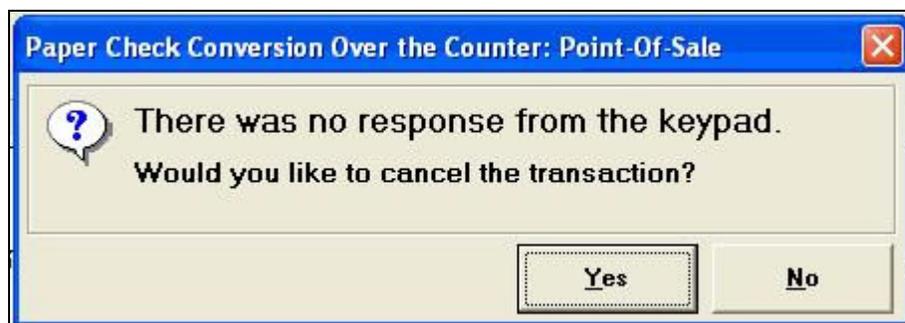


Figure 6.74

Click ‘**No**’ to proceed, and give the customer more time to take action, or ‘**Yes**’ to cancel the transaction. The screen returns 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 blocked message is displayed if the item matches all data as it was input on the blocked record. If the block record is only input with the routing transit number and account number, then that record is only flagged if the data matches. If the block record was input with only 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.

The suspend or deny message is displayed if the item scanned matches the LVD information. This is either the match of the combination of both the routing number and account number, or a match against the configurable field 1 data.

Each location that uses the LVD sets their policies to use certain return codes with a defined number of days within the suspension period. During that pre-determined period if the check writer attempts to cash a check, a suspended message appears 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.

A denied item occurs when the check writer has exceeded all suspension periods. A typical suspension policy may specify that the check writer is suspended as referenced in the paragraph above.

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 the Agency's check cashing policy has been setup, see the 'Location Check Cashing Policy Report' section of the ELVIS chapter of this User Manual.

Also

For a more detailed description of the LVD, the MVD, and the Location Check Cashing Policy, please refer to the 'What is PCC OTC' section of the ELVIS chapter of this User Manual.

Blocked Item

If an agency utilizes the optional check verification database (LVD/MVD), the operator receives 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 receives the following message: (Figure 6.75)

Current Item	
SSN	xxxxx3333
Bank Number	041200555
Account Number	98809

Problem Item	
IRN	BLOCK-13053
Until Date	9/9/2099 11:59:59 PM
Capture Date	6/21/2005
Amount	\$0.00
Reason	[None]
Comments	[None]
Location	0000789501
Description	Agency 8 for SAT Test

Figure 6.75

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 remains 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 the user is not authorized to perform an override, the following message appears. (Figure 6.76)



Figure 6.76

As part of the override process, the approving party needs to add a comment as to why the check was approved for processing (Figure 6.77). The comment that is keyed into the comment field appears in the audit log.



Figure 6.77

The authorized person then receives a message that the blocked check was successfully overridden as shown below (Figure 6.78).



Figure 6.78

Suspend Item

If the agency and or location utilize the check verification database, the operator receives 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 impacts the suspension period. If the presented check is drawn on an account or verification field that has negative return items, the operator receives the following message on the POS screen: (Figure 6.79)

Current Item	
SSN	xxxxx1154
Bank Number	041204713
Account Number	505154

Problem Item	
IRN	111201500246300000903
Until Date	7/17/2002
Capture Date	7/11/2002
Amount	\$7,154.00
Reason	Insufficient Funds
Comments	[None]

Figure 6.79

To determine where the return originated, the operator requires 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 the user is not authorized to perform an override, the following message appears. (Figure 6.80)

Please enter login and password to authorize accepting the check.

Login:

Password:

Ok **Cancel**

Change Password...

Figure 6.80

As part of the override process, the approving party needs to add a comment as to why the check was approved for processing (Figure 6.81). The comment that is typed into the comment field appears in the audit log.



Figure 6.81

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 receives 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 impacts 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 maintains the manually assigned status with assigned date, and no longer reflects 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 receives the following message: (Figure 6.82)

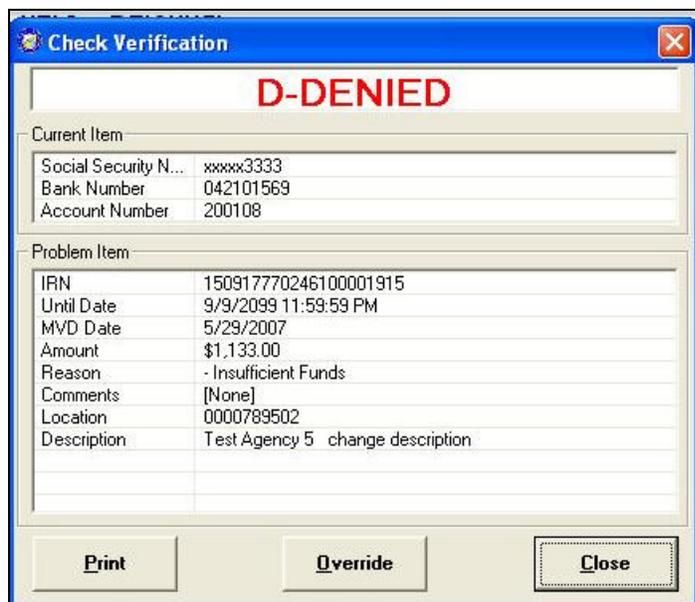


Figure 6.824

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 the user is not authorized to perform an override, the following message appears (Figure 6.83)



Figure 6.83

As part of the override process the approving party needs to add a comment as to why the check was approved for processing. (Figure 6.84) The comment typed into the comment field appears in the audit log.

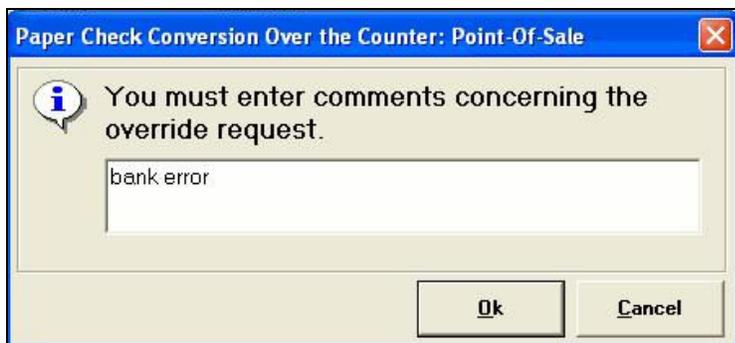


Figure 6.84

The authorized person then receives a message that the blocked check was successfully overridden as in Figure 6.85 below.



Figure 6.85

POS System Activity Log

The activity log is a listing of all actions, including transactions performed on the POS application (Figure 6.86). The log reflects all user logons, log offs, checks processed with their unique ID, and annotates voided and cancelled checks. The activity log also shows 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. If an Agency is experiencing problems, the Treasury OTC Support Center may request a printout or export of the 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.

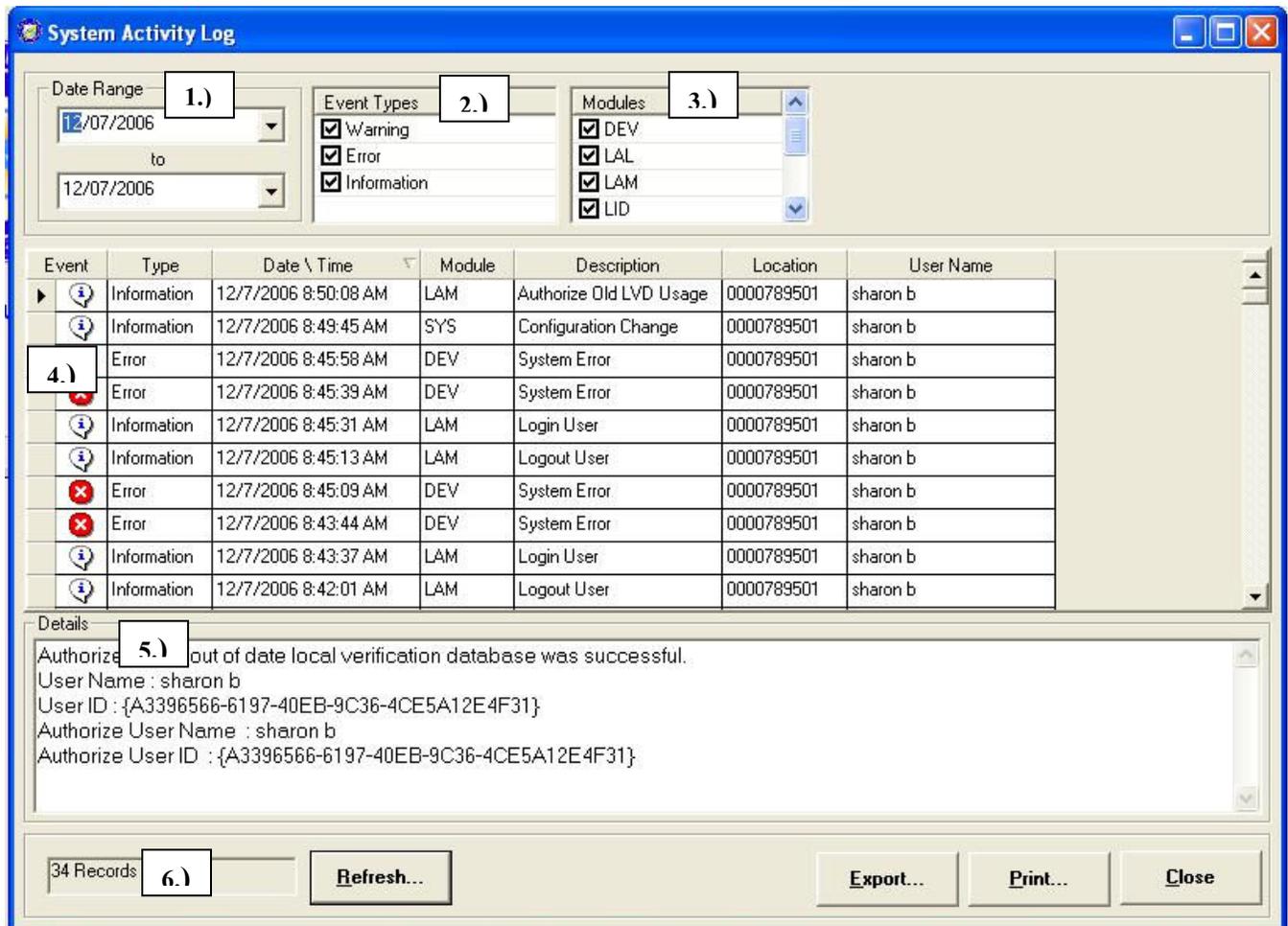


Figure 6.86

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 each month or however often the Agency requires. Information contained in the activity log may be useful in recovery after a hardware/software failure.

To print the Activity Log:

1. Select the event types and modules desired.
2. Enter the date range.
3. Click the **'Print'** button. A report preview is generated and displayed on the screen.
4. Click the printer icon button to print.

To export the Activity Log:

1. Select the event types and modules desired.
2. Enter the date range.
3. Click the ‘Export’ button.
4. Name and save the file on the hard drive. The file is saved in a .csv format which can be opened in most spreadsheet software. This file can be sent to the Treasury OTC Support Center via email at FMS.OTCChannel@citi.com.

Note: When the audit log is exported, the date/time column may not display correctly, as pictured below in Figure 6.86.1. To correct the problem, adjust the column width in order to view all of the data (see Figure 6.86.2). Columns may also need to be formatted as general text fields for data to appear correctly. Consult your spreadsheet documentation for complete instruction.

A	B	C	D	E	F	G	H
EventType	SourceName	DateAndTime	UserName	Brief	Details		
Information	System A	#####	sharon b	Login User	Logon		
Information	Point-Of-S	#####	sharon b	Logout Us	User		
Information	Point-Of-S	#####	sharon b	Export Act	Export		
Information	Point-Of-S	#####	sharon b	Authorize	Authorize		
Information	Point-Of-S	#####	sharon b	Login User	Logon		
Information	Tray Mana	#####		LVD Clean	Deleted		
Information	Tray Mana	#####		LAL Clean	Trim		
Information	Tray Mana	#####		Start Tray	Start		
Information	Tray Mana	#####		LVD Clean	Deleted		
Information	Tray Mana	#####		LAL Clean	Trim		
Information	Tray Mana	#####		Start Tray	Start		
Information	Tray Mana	#####		LVD Clean	Deleted		
Information	Tray Mana	#####		LAL Clean	Trim		
Information	Tray Mana	#####		Start Tray	Start		
Information	Tray Mana	#####		LVD Clean	Deleted		
Information	Tray Mana	#####		LAL Clean	Trim		

Figure 6.86.1

	A	B	C	D	E	F	
1	EventType	SourceName	DateAndTime	UserName	Brief	Details	
2	Information	System A	4/15/2008 7:36	sharon b	Login User	Logon	
3	Information	Point-Of-S	4/15/2008 7:35	sharon b	Logout Us	User	
4	Information	Point-Of-S	4/15/2008 7:35	sharon b	Export Act	Export	
5	Information	Point-Of-S	4/15/2008 7:34	sharon b	Authorize	Authorize	
6	Information	Point-Of-S	4/15/2008 7:34	sharon b	Login User	Logon	
7	Information	Tray Mana	4/15/2008 7:10		LVD Clean	Deleted	
8	Information	Tray Mana	4/15/2008 7:10		LAL Clean	Trim	
9	Information	Tray Mana	4/15/2008 7:09		Start Tray	Start	
10	Information	Tray Mana	4/14/2008 7:42		LVD Clean	Deleted	
11	Information	Tray Mana	4/14/2008 7:42		LAL Clean	Trim	
12	Information	Tray Mana	4/14/2008 7:42		Start Tray	Start	
13	Information	Tray Mana	4/11/2008 8:01		LVD Clean	Deleted	

Figure 6.86.2

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 is reminded that the batch is still open prior to exiting the system (Figure 6.87).

Note: Since batches are user specific, a new user is unaware 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.

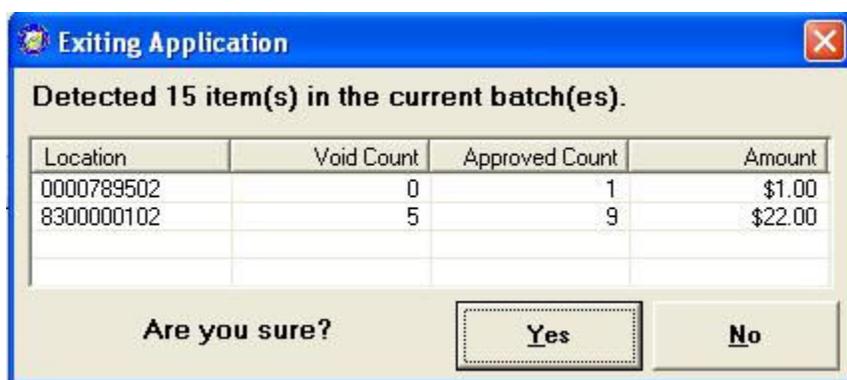


Figure 6.87

Exiting the POS Application

To exit the application:

Select **'File'** from the menu at the top of the screen.

Select **'Exit'**. The user exits the application and return to the computer's desktop.

If an operator exits the application without closing a batch, the operator is reminded that the batch is still open (Figure 6.87). Clicking **'Yes'** allows the operator to exit anyway and the batch is not transmitted (see Note: section above). Clicking **'No'** allows 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. The user exits the application and returns to the computer's desktop.

U.S. Department of the Treasury
Financial Management Service (FMS)

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 7
Reporting and Balancing

February 2010
Document Version 1.1

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	
02/2010		Updated document to reflect changes as a result of the migration to the Web Focus Enterprise Reporting Solution.	8, 11

Table of Contents

REPORTING AND BALANCING.....	4
Overview.....	4
DTN/DVN Settlement and Numbering Options.....	6
Individual or Combined Debit Voucher Numbers.....	7
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 are forwarded on to Fed A C H² or electronic check collection (Check 21³) for payment collections. All transactions sent to ELVIS since the last business day are forwarded to Treasury/FMS for further processing. Transactions are processed at the Federal Reserve's Automated Clearing House system, known as Fed A C H and check collection. Fed A C H sends a debit A C H transaction to the check writer's financial institution. The following business day, an SF215 deposit ticket is created for your agency's ALC. Treasury/FMS reports final deposit activity to CA\$HLINK II at end of business day. These debit and credit vouchers are available to view in CA\$HLINK II the next business day. CA\$HLINK II makes available to agency personnel a preliminary voucher. A query enables the agency to view all vouchers processed by the Treasury/FMS 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 is reflected in CA\$HLINK II as activity from ABA No. 042000437, which is the Federal Reserve Bank of Cleveland's Cincinnati branch, on the second day.

Items submitted through the PCC OTC application clear funds from the check writer's account through either A C H or check collection. These transactions are typically processed in an automated manner. All of our automated processing follows 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.

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 Fed A C H or A C H (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 A C H 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.

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 do 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 CASHLINK II together, whether generated automatically or manually.

In order for Agencies to reconcile all PCC OTC transactions, both sets of Deposit Tickets / Debit Vouchers need to be combined. 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 balances 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 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.

DTN/DVN Settlement and 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 the Treasury OTC Support Center to change the way settlement is created. 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 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

Individual or Combined Debit Voucher Numbers

Debit Vouchers can be created individually or combined:

Individual debit voucher means that for each check return, one Debit Voucher Number is created.

Combined debit vouchers means that for each processing day's worth of check returns, one Debit Voucher Number is created.

Debit Vouchers are created at the ALC+2 level. Please contact Treasury OTC Support Center to change the way Debit Vouchers are created.

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 User Manual. These reports include:

- The SF215 Deposit Ticket Report lists all items being deposited into CA\$HLINK II on that day. The SF215 report contains 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 contains the debit voucher number for each item that is retired by the Treasury/FMS. The report provides detailed information on the Unique Transaction ID (or IRN number) for easy research on ELVIS.
- If you view reports for multiple locations, these reports are sorted by the Deposit Ticket number/Debit Voucher number. A future enhancement to our system sorts these reports by ALC+2.

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

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.

U.S. Treasury Paper Check Conversion Over the Counter Friday, January 29, 2010

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: 01/01/2010 To Date: 01/10/2010

215 - Deposit Ticket		Deposit Ticket No: 100090		Fiscal Agent: FRB Cleveland	Settlement Date:
ALC 9999999901		01/08/2010			
215 - Detail		Location Name: IRS TEST ALC1			
ALC 9999999901					
Cashier ID	Transaction Date	Summary Count	Summary Amount		
pospoc	01/07/2010	8	\$96.56		
Total ALC: 9999999901		8	\$96.56		

Page 1 of 1

215 - Summary		Summary number of count: 8	
		Summary of total amount: \$96.56	

Page 1 of 1

© 2007 U.S. Treasury All rights reserved. Rules of Behavior - Privacy Statement - Accessibility Statement

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 User Manual.)

Figure 7.2

- The system displays 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	Bank Routing Number	Account Number	Check Amount	Cashier ID	Check Type	Proc
<input type="radio"/> 120922500113200010139	0000	01 10/25/2005 18:31:34	114000653	74	\$100.00 SF	R	Personal	Not F
<input checked="" type="radio"/> 120922500113200010141	0000	01 10/25/2005 18:31:47	061101786	72	\$1,300.00 SF	R	Personal	Not F
<input type="radio"/> 120922500113200010143	0000	01 10/25/2005 18:31:59	062003605	02	\$300.00 SF	R	Personal	Not F
<input type="radio"/> 120922500113200010145	0000	01 10/25/2005 18:32:11	221375802	3E	\$200.00 SF	R	Personal	Not F
<input type="radio"/> 120922500113200010147	0000	01 10/25/2005 18:32:23	021502011	02	\$200.00 SF	R	Personal	Not F
<input type="radio"/> 120922500113200010149	0000	01 10/25/2005 18:32:34	122000661	0E	\$300.00 SF	R	Personal	Not F
<input type="radio"/> 120922500113200010151	0000	01 10/25/2005 18:32:43	061207839	07	\$150.00 SF	R	Personal	Not F
<input type="radio"/> 120922500113200010153	0000	01 10/25/2005 18:32:53	053101626	1C	\$100.00 SF	R	Personal	Not F
<input type="radio"/> 120922500113200010155	0000	01 10/25/2005 18:33:04	061092015	0C	\$200.00 SF	R	Personal	Not F
<input type="radio"/> 120922500113200010157	0000	01 10/25/2005 18:33:14	314074269	22	\$100.00 SF	R	Personal	Not F

The first 100 items are displayed out of 1,443. Total Amount: \$1,194,850.49. Please refine your Query Criteria or click <Display first 1000> to view first 1000 items.

Figure 7.3

The screenshot displays the 'U.S. Treasury Paper Check Conversion' application. The main window is titled 'CIRA Query - Result' and shows a list of transactions. The selected transaction is shown in the 'CIRA Detail' pane. The '215/Deposit Ticket Number' field is circled in red, and an arrow points from it to the corresponding row in the query result table.

IRN	ALC
120922500113200010139	0000
120922500113200010141	0000
120922500113200010143	0000
120922500113200010146	0000
120922500113200010147	0000
120922500113200010149	0000
120922500113200010151	0000
120922500113200010153	0000
120922500113200010155	0000
120922500113200010157	0000

CIRA Detail	
IRN	120922500113200010147
ALC or DSSN Code	0000000000
Capture Date	10/25/2005
Bank Routing Number	021502011
Bank Account Number	660201000
Cashier ID	S R
Check Type	Personal
Check Number	0202
Check Amount	\$200.00
Processing Mode	Not Present
Received Date	10/25/2005 12:08:14
Status	Settled
215/Deposit Ticket Number	000293
5515/Debit Voucher Number	
Settlement Date	10/26/2005
Return Settlement Date	
Batch ID	586F8E5C-2408-4D54-9917-9934AF5F895B

Figure 7.4

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.

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: 01/01/2010 To Date: 01/20/2010

Location: FederalReserve Fiscal Agent: FRB Cleveland
Location Name: 9999999901 Description: IRS TEST ALC1 Settlement Date: 01/08/2010

Debit Voucher Number	Unique Transaction ID	Date of original Transaction	Original CASH LINK	\$ Amount	Cashier ID	Return Reason Code
000003	12628867810015746724	01/07/2010	100090	\$12.00	pospoc	205 -- Payment Stopped
000004	12628868760025746724	01/07/2010	100090	\$12.01	pospoc	204 -- Refer to Maker
000005	12628869540035746724	01/07/2010	100090	\$12.02	pospoc	203 -- Account Closed
000006	12628872030045746724	01/07/2010	100090	\$12.30	pospoc	207 -- Unable to Locate
000007	12628872590055746724	01/07/2010	100090	\$12.04	pospoc	303 -- Encoding Error
Summary number of transactions:		5				
Summary of total dollars:		\$60.37				

Page 1 of 1

ts reserved. Rules of Behavior - Privacy Statement - Accessibility Statement

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 User Manual.)

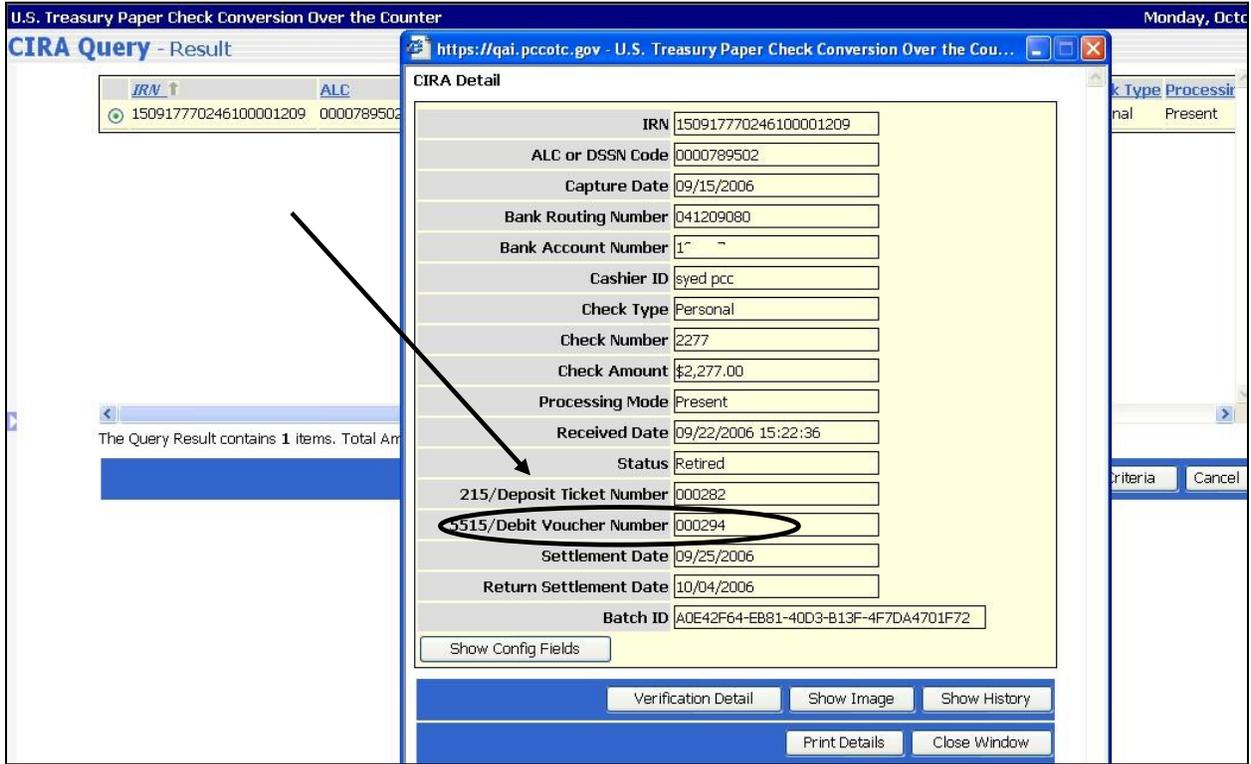


Figure 7.8

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. E S T, the batch of transactions is contained on the SF215 report on the next day.
- If all transactions were sent prior to 9:30 p.m. E S T but are not on the SF215 report, please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.
- 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 Treasury OTC Support Center. 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 also provides 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 (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 8
Troubleshooting

January, 2009
Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	

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	6
Who to Contact for Access Problems	6
Scanner Imaging or Check Reading Problems	7
Properly Scan the Check.....	7
Scanner Problems – all Scanner Types	8
EC7000i Problems	9
Panini Problems	9
Default Sound Signals:.....	10
Check Processing Error	11
Keypad/Scanner Problem.....	11
Secondary Storage Problem.....	11
Printer Problems.....	12
Error Messages	13
Troubleshooting Errors Within the PCC OTC POS Application.....	13
Problems Closing/Transmitting a Batch	22
LAN Connectivity Unavailable.....	22
Problem Accessing ELVIS.....	23
Adjusting an Incorrect Entry	24
Refilling the ‘Electronically Processed’ Hand Stamp.....	25
Local Verification Database (LVD) Reset – if applicable	26

Troubleshooting

This section of the User Manual assists 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 User Manual to determine if their problem is addressed. After that, contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Contingency

A contingency plan is a must. Stateside agencies can contact the Treasury OTC Support Center 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 User Manual (Standard Operating Procedures) on your LAN or a duplicate CD of the User Manual, and a listing of the Treasury OTC Support Center 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

The PCC OTC Point of Contact (POC) sets up users in the SAT and assigns roles and permissions to each user. The POC assigns a temporary password to first time users. Users are required to change the temporary passwords upon first login to the POS, SAT or Batch Manager module. Once the password is changed in one module, the same password is valid for the other two modules. Following the initial password change, the password expires and needs to be changed every 90 days.

Password history retention is the number of most recent previous passwords stored by the POS for each user. Password history retention is set at 10 passwords. This means when changing a password, the user cannot reuse any of the previous 10 passwords.

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 User Manual.

Locked POS User Accounts

A user has 3 unsuccessful sign on attempts (default) before their account is locked within the POS software. 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 are not 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 User Manual.

ELVIS Passwords

Only authorized users can gain access to the ELVIS application. The 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 Treasury OTC Support Center emails the username to the user's email address with the phone number to call to obtain their temporary password.

The user is required to change the temporary password to a unique password. The password expires every 90 days and each user has to change their password to a new, unique password. For complete specifics, see the 'Password Requirements' section of the *ELVIS* chapter of this User Manual. 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 is not 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 Treasury OTC Support Center to have the account unlocked.

Inactive Account

After ninety days of inactivity, user accounts become inactive. The user must contact the Treasury OTC Support Center 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'.

Who to Contact for Access Problems

PC Password – If the password that is used to access the computer's operating system has become suspended, or the user cannot remember the password, contact your System Administrator or Information Technology staff at your location.

POS – If the password that is used to access the POS software (POS, SAT, Batch Manager) has become suspended, or the user cannot remember the password, contact the PCC OTC POC. The POC needs to logon to the SAT and reset the password.

ELVIS - If the password that is used to access the ELVIS website has become suspended or the user cannot remember the password, contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

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 User Manual.

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 (EC6000 and 7000 scanners). 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 automatically pulls 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 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 the backup scanner cable.
- Check that the cable is in the correct port on the scanner and laptop.

- Check that the correct COM port (only applies to serial connected scanners) is selected in the POS software under configuration, 'Devices' tab.
- Make sure that the scanner is more than four inches away from all electromagnetic devices. 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 there are still problems, please contact the System Administrator. If the System Administrator cannot resolve problem, move to the backup scanner and call the Treasury OTC Support Center to report the problem. The Treasury OTC Support Center determines if a replacement scanner needs to be ordered.

Scanner Problems – all Scanner Types

This problem occurs when the operator is in single check mode, begins the scan process, then cancels the process to switch to batch mode. This is not typically a problem unless the scanner cable is disconnected after the switching to batch mode. If this should occur, the operator receives a scanner error [-20013]. The only option is to click 'OK' to cancel the scan. Once clicked, a runtime error occurs and the application shuts down. Ensure that the scanner cable remains connected and if it should become disconnected, reconnect the cable.

Operator receives a [-20013] scanner error upon entering the POS software after installing on a computer that has never had the POS software installed before, or after upgrading the POS software from an older version. The problem has most likely occurred because the USB-connected scanner was connecting during the installation or upgrade of the POS software and the scanner driver was not successfully installed. (USB-connected scanners should always be unplugged during a POS installation so the scanner driver can be installed prior to connecting the scanner to the computer.)

To correct the problem:

1. Make sure that the USB scanner is connected to the POS computer.
2. From the Windows desktop, click the 'Start' button, then click 'Control Panel'.
3. If Control Panel is in 'Category View', click on 'Switch to Classic View' at the upper left of the Window.
4. Double-click on 'Add Hardware'. The 'Add Hardware Wizard' window appears. Click the 'Next' button.
5. The wizard searches the computer for hardware that has been recently added but not yet installed. It then asks if this hardware is already connected to the computer. Make sure the scanner is connected via an available USB port and click 'Yes, I have already connected the hardware'.
6. A list of already installed hardware appears. There should be a 'USB device' at the top of the list overlaid with a yellow question mark. Click this line to select then click the 'Next' button.
7. The wizard may ask if it can connect to the internet and search Windows Update for a driver. Click 'Yes'. It is not necessary to connect to the internet but the wizard searches the computer for the driver and since the POS software is already installed, it installs the driver for the scanner.
8. When complete, click the 'Finish' button. Close 'Control Panel'.

EC7000i Problems

One long beep followed by five short beeps while scanning items on your EC7000i scanner indicates a problem. 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. Any other unusual issues or tones may indicate scan errors. please cancel that transaction and rescan the item. If necessary, the item may need to be voided.

Panini Problems

While configuring the Panini in the POS configuration settings (Devices tab), no error is given if the Panini scanner is disconnected. When the operator attempts to scan a check in batch mode, a warning message reads “Scanner error [20013]. Canceling batch scan and starting keying phase.” Clicking the ‘OK’ button brings up the message again. In the single mode, no error message is returned and the POS seems to be waiting for the check to be scanned although the status message says, “Problem detected, check scanner.” Check to make certain that the scanner cable is connected at both the back of the scanner and into the back of the computer.

When the computer goes into Power Save or ‘Hibernation’ mode, the user is logged out of the system. This is a fix to a previous problem that would cause the Panini to lose connection with the POS and require that it be disconnected then reconnected to the computer.

The Panini scanner does not reconnect after a scanner jam. An error message appears on the screen stating that there is a scanner error and the application enters the keying mode. The only option is to click the ‘Cancel’ button on the error window. The POS is then ready for a new scan but the scanner’s red light is flashing and the scanner is not able to accept checks. To correct the scanner condition, click on ‘File’, ‘Configuration’, then close the configuration window, or close and reopen the POS to reconnect to the scanner.

Default Sound Signals:

Several conditions are signaled by a pattern of tones in addition to the LED display on the following types of POS scanners:

Tone	Meaning	Scanners
One short beep LED is flashing green	The unit was successful in reading the MICR line.	EC5000i, EC6000i and EC7000i
Three short beeps LED is flashing red	The unit was not successful in reading the MICR line.	EC5000i, EC6000i and EC7000i
One long beep LED is flashing red	An error occurred during processing or storing of the captured image.	EC5000i, EC6000i and EC7000i
One long and five short beeps LED is flashing red	The scanner has failed to scan the back of the check.	EC7000i

Check Processing Error

A check processing error can occur when attempting to scan an unsupported check format, such as a foreign check, checks payable in non-US currency, or Savings Bond Redemptions. Figure 8.2 is an example of such an error:

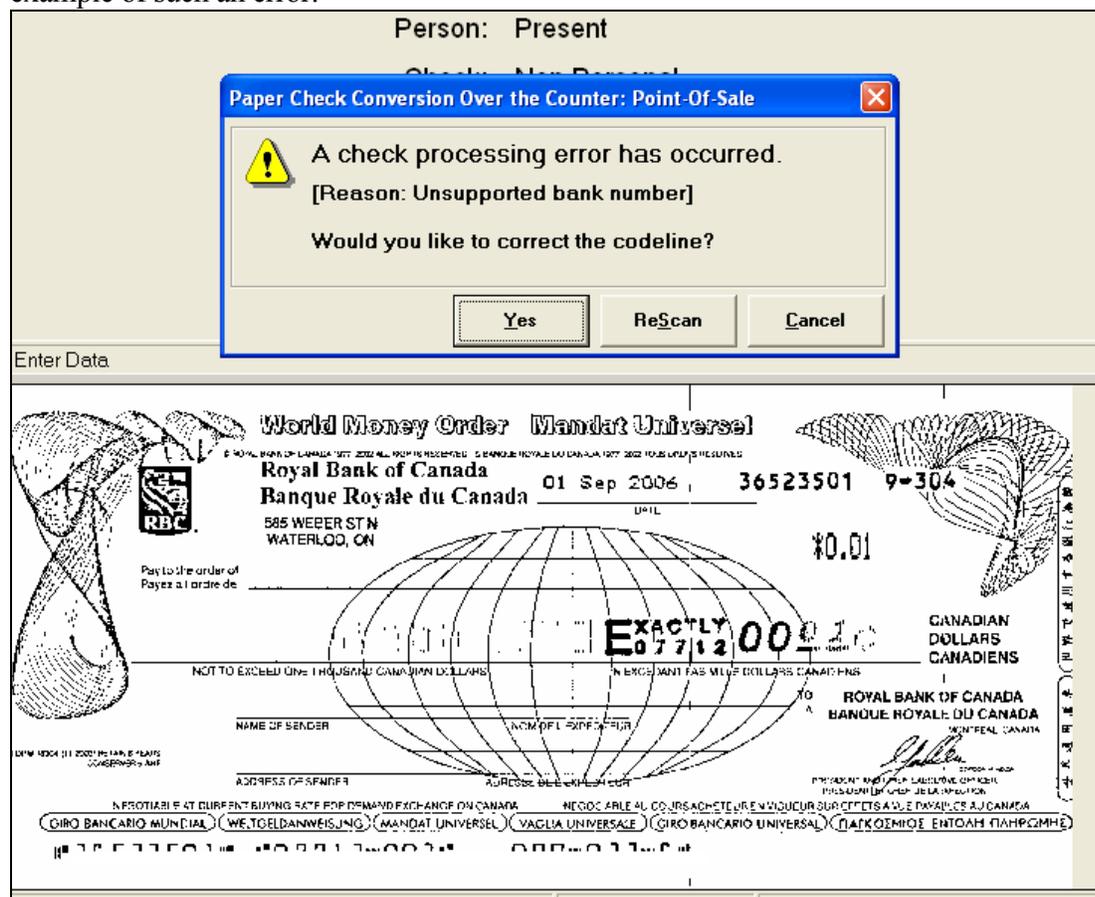


Figure 8.2

These types of checks cannot be processed using the POS computer and may need to be processed through your authorized Treasury's General Account (TGA) depository.

Keypad/Scanner Problem

When using the EC5000 or EC7000 scanners combined with either model of keypad, the POS can occasionally stall between data entry and keypad confirmation states. Keyboard input is not accepted, the scanner light flashes green and the operator's only option is to click 'Cancel'. The occurrence is rare and does not seem to occur with the EC6000 scanner.

Secondary Storage Problem

No error message is generated upon batch close when the secondary storage does not exist. The batch appeared to close as normal, and the batch list successfully printed but when completed, the batch close screen still displays the batch as available to close. In order to close the batch, the

operator must reconnect the correct secondary storage drive which contains the actual batch(es) being uploaded (i.e., flash drive, LAN drive, etc., then close the batch.

If secondary storage is removed prior to or during a transaction, no error message is issued at the point of removal. The operator can continue to process the item and when complete, a [-19999] Unexpected error message is received and the transaction does not continue. The only option is to cancel the transaction. Operator needs to connect the secondary storage drive (i.e., flash drive, LAN drive, etc.) before continuing. Should the operator log off then back on to the POS, (prior to reinstalling the secondary storage drive) a message appears at that time stating that the secondary storage is inaccessible and POS terminates.

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.

Note: Only the Windows default printer can be used with this release of the POS. This functionality is not working as designed. This will be corrected in a future release.

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 Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Citibank is the new service provider, effective January 1, 2009, for PCC OTC. Currently, the system is in transition between Citibank and the Federal Bank of Cleveland. Please contact the Treasury OTC Support Center for support.

If an option is grayed out it indicates that the user does not have access to perform the action. Contact the POC to proceed.

Troubleshooting Errors Within the PCC OTC POS Application

While these error messages may reference FRB-C, please contact the Treasury OTC Support Center for support.

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 FRBCL support personnel'	This error can be generated in many different ways, including: a) An invalid form prevents data from being saved. Download a new data entry screen. b) The selected action had not finished loading prior to the user closing the window. Attempt the action again, and let it finish, before closing the window. c) The information could not be saved to the database or secondary storage. If due to a system error, attempt the procedure again. If due to the database or secondary storage being unavailable due to: problems with power/connection, the	-19999

Message or Description	Action	Error Number
	<p>specified network drive is no longer available, or the storage device has been removed from the system, then ensure that the scanner is properly connected, and has access to secondary storage.</p> <p>Restricted Windows users, or permissions on the folder itself, can prevent the system from writing to the database or secondary storage.</p> <ol style="list-style-type: none"> 1. Contact your immediate IT Support/supervisor. 2. Contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com. 	
‘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 check filesystem data’	Data on the file system has been changed or corrupted. Data must be restored to continue.	-20003
‘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.	-20008

Message or Description	Action	Error Number
	Contact your system administrator.	
'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
'Forms access error – Please check forms access'	The form you are referencing is no longer in the database. Download the form from the host.	-20010
'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 the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.	-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. 4. Check if the printer indicated in the Printer Selection is accessible. 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. 6. Contact your immediate IT Support/supervisor. 7. Contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.	-20012
'Scanner error – Please check scanner power/connection'	There may be a problem with the scanner, or the connecting cable, the scanner's port B, the selected COM	-20013

Message or Description	Action	Error Number
	<p>port, or the components used to communicate with the scanner. 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> <ol style="list-style-type: none"> 1. Reboot the scanner device by disconnecting and connecting its power source. 2. Check the connection between the system and the scanner, and reconnect, if necessary. 3. Ensure that the keypad is properly configured for the application. 4. Contact your immediate IT Support/supervisor. 5. Contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com. 	
<p>‘Scanner error – Canceling batch scan and starting keying phase’</p>	<p>There has been problem scanning, possibly a double feed or a check jammed.</p> <ol style="list-style-type: none"> 1. Key the data for the checks already scanned. 2. Select File>Configuration. 3. Click Close. The scanner re-activates, and processing can continue. 	-20013
<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 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 reconnect, if necessary. 	-20014

Message or Description	Action	Error Number
	<p>3. Ensure that the application is properly configured for the keypad.</p> <p>4. Contact your immediate IT Support/supervisor.</p> <p>5. Contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.</p>	
'Keypad error – Please check keypad power/connection'	There is a problem with the communication between the POS and the keypad. Ensure the keypad is connected to the system and that is plugged in to an electrical outlet.	-20015
'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'	By default, the system retains the past ten (10) passwords. This figure is configurable in the SAT Configuration tool. Enter a password that has not been recently used.	-21006
'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.	-21011
'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 system administrator.	-21013

Message or Description	Action	Error Number
'User account is locked – Please contact your system administrator'	Contact your system administrator.	-21014
'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'	If you have not configured a printer on the PC: 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 – Terminal ID cannot be blank'	The Terminal ID field cannot be blank. Enter a Terminal ID in the field. The terminal ID is provided by the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com .	-22001
'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 the Treasury OTC Support Center.	-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	The secondary storage path entered is not valid. Enter a valid secondary	-22004

Message or Description	Action	Error Number
directory and try again'	storage path. If this does not work: 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.	
'The secondary storage is in use – Please shut down any other PCC OTC applications and try again'	If other PCC OTC applications are running, the secondary storage location cannot be changed. Shut down all PCC OTC POS applications and try again.	-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 accessible and try again'	Typically the result of a lost connection between the main system and the secondary storage. Contact your system administrator.	-22009

<p>‘Verification was not successfully activated – Verification must be successfully activated before processing can be continued’</p>	<p>Typically the result of the user not having the appropriate POS permissions. Ensure the user has the appropriate LVD permissions attached to their role (authorizeoldLVD and updateLVD). 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>	<p>-22010</p>
<p>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>	<p>To avoid this behavior: 1. After switching keypads between transactions, select File>Configuration. 2. Click OK. The Configuration dialog closes and the keypad and scanner are re-initialized.</p>	<p>N/A</p>
<p>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>	<p>To avoid this behavior, allow the system approximately 2 minutes to connect with the database prior to launching an application. If the behavior does occur: 1. Access Windows Task Manager. 2. Select the Processes tab. 3. End the RDMLAL.exe process.</p>	<p>N/A</p>
<p>An error occurs on the system and the user or the local IT support are unable to find the source of the problem.</p>	<p>When contacting technical support, have the trace logs available. There are 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.</p>	<p>N/A</p>
<p>If the system goes into hibernate or standby mode, it logs the user out.</p>	<p>When the system has gone into hibernate or standby mode and logged the user out, the user must:</p> <ol style="list-style-type: none"> 1. Unplug the scanner from the system 2. Plug the scanner into the system 3. log into the application(s) as 	

	needed.	
Cannot locate the Queue Interface component	Queue Interface was not included as part of your system installation. Contact your technical support.	
“Initializing Queue Interface failed”	The system has lost connectivity with the database. Contact your technical support.	

Problems Closing/Transmitting a Batch

If the user is 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 the Treasury OTC Support Center.

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 the Treasury OTC Support Center.
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 by clicking the Windows ‘Start’ button, then clicking ‘Shut Down’, then use the down arrow to choose ‘Restart’. Click the ‘OK’ button to restart the computer.. 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 the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.
- Keep in mind that 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 A.M. - 6 A.M. E.T. 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 the Treasury OTC Support Center 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.

Adjusting an Incorrect Entry

NOTE: The minimum limit for reporting items that need to be adjusted by Treasury/FMS is \$25.00. If the adjustment is \$25.00 or more, the check is only 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 Treasury/FMS 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 The Treasury OTC Support Center.

Refilling the 'Electronically Processed' Hand Stamp

Agencies that use the EC5000i and Panini scanners may use the hand stamp to stamp their checks after processing. The hand stamp is used to stamp the words 'Electronically Processed' on each check once processed. The EC6000i and EC7000i scanners can be setup to automatically stamp the checks using the scanner's franking functionality. For information on setting up the EC6000i or EC7000i scanner to frank checks, See *Appendix L* of this User Manual.

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 slides all the way out of the stamp.



3. Add ink drops onto the ink pad.



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 are 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 is not performed.**

For instructions on how to perform an LVD reset, refer to the *SAT* chapter of this User Manual.

U.S. Department of the Treasury
Financial Management Service

Paper Check Conversion Over the Counter
(PCC OTC)



Standard Operating Procedures
Appendix

Release 5.4
January, 2008

Document Version 1.1

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/24/2008 Version 1.1	Appendix M – Personnel Change Over/P O S Access	Third paragraph on page 35 and Note section at the top of page 36 - add verbiage that the 'admin' password will expire every 90 calendar days.	35, 36
	Appendix S – Transaction Status Monitoring and Codes	New Appendix	Page 51
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:	
	Appendix J	Add 'ConfigureQueueIntrface' permission to table.	31
	Appendix N	Person Present/Person Not Present changed to Customer Present/Customer Not Present.	38
	Appendix Q	New CIRA CSV File Layout.	44
	Appendix R	New Password Requirements – this Appendix is not included for security purposes. To obtain a copy, contact the PCC OTC Customer Service team.	50

Table of Contents

APPENDIX A – SAMPLE REPORTS	5
P O S Reports.....	5
Batch List.....	5
Activity Log and User Information.....	7
Activity Log	7
User Information	9
SF215 Deposit Ticket Report.....	10
SF5515 Debit Voucher Report.....	12
APPENDIX B - RETURN REASON CODES	14
A C H 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 F – R5.4 ROLES FOR ELVIS	23
APPENDIX G – PCC OTC SECURITY CONTACT AUTHORIZATION FORM FOR ELVIS.....	25

APPENDIX H – INSTRUCTIONS FOR COMPLETING THE PCC OTC SECURITY CONTACT AUTHORIZATION FORM.....	27
APPENDIX I – PCC OTC RULES OF BEHAVIOR	29
APPENDIX J – SYSTEM PERMISSION DESCRIPTIONS FOR THE P O S.....	30
APPENDIX K – SETTING THE EC6000I AND EC 7000I SCANNER TO FRANK ACKNOWLEDGMENTS	32
APPENDIX L – RDM SCANNER INFORMATION.....	34
APPENDIX L – RDM SCANNER INFORMATION.....	35
APPENDIX M – PERSONNEL CHANGE OVER	35
P O S Access.....	35
ELVIS Access.....	36
APPENDIX N – GLOSSARY	37
APPENDIX O – ACRONYMS	41
APPENDIX P – IMAGE QUALITY	43
APPENDIX Q – CIRA CSV FILE LAYOUT.....	44
Introduction.....	44
Layout.....	44
Available Fields	44
File Layout.....	45
Sample File Layout.....	48
CSV File Sample	49
APPENDIX R – PASSWORD REQUIREMENTS	51
APPENDIX S – TRANSACTION STATUS MONITORING AND CODES.....	52
Status Code Monitoring	52
PCC OTC Processing.....	52
Forward files	52
Returns	53
PCC OTC Status Monitoring Diagram	55
PCC OTC Transaction Status Codes.....	56

Appendix A – Sample Reports

POS Reports

Batch List

When requesting a Batch List, the system first displays 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

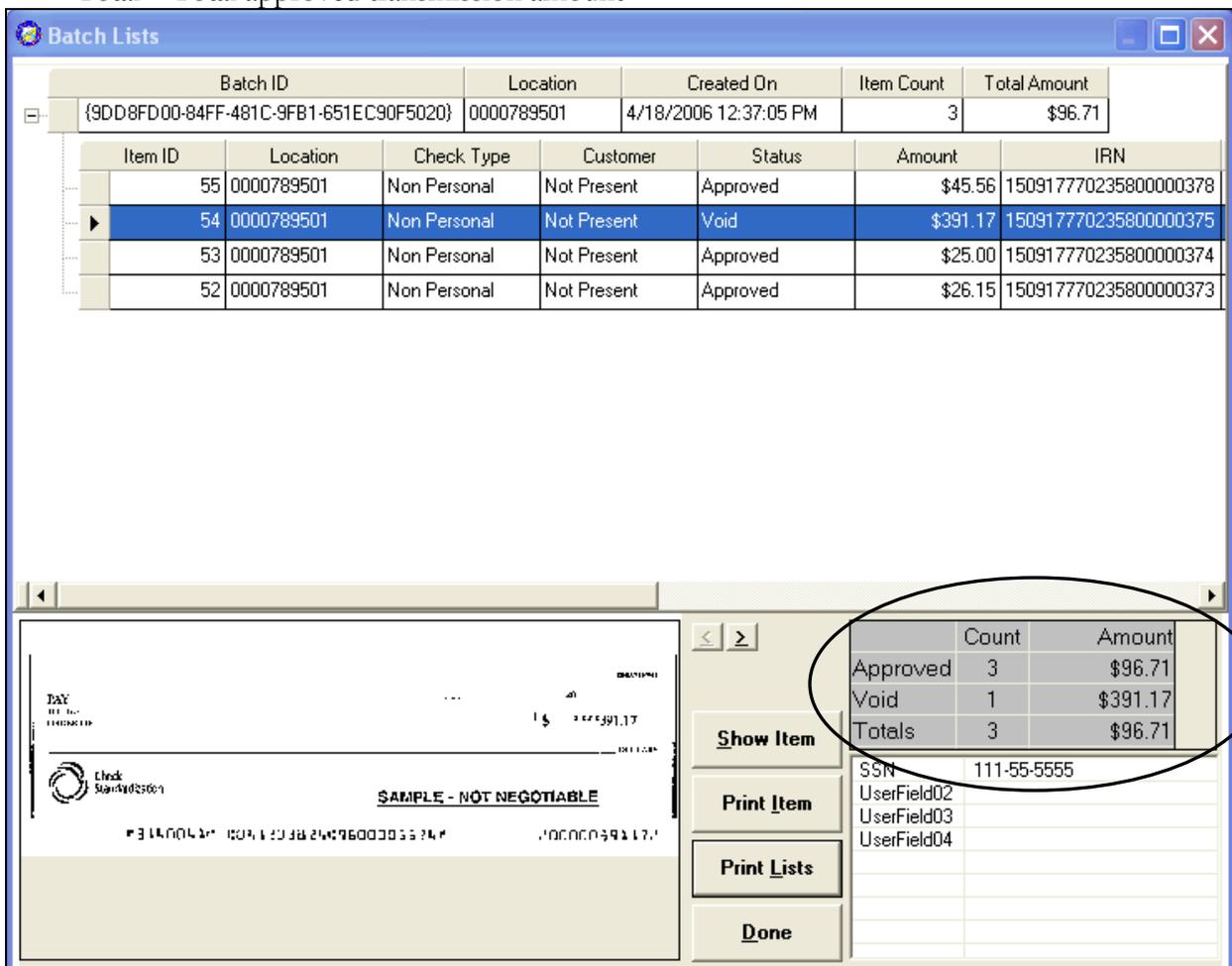


Figure 9.1

The Batch List is a report generated in the P O S application by each operator 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:

Point-Of-Sale Standard Operating Procedures

Note: Use the horizontal scroll bar to view all of the columns.

- 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 the 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 P O S application.
- Configurable fields – Subsequent columns 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 Fields
A	P	15091777023580000472	7/7/2006 11:55:31AM	043403224	7.....J5	6727	\$49.23	SocialSecurityNum111227777
A	P	15091777023580000470	7/7/2006 11:54:58AM	043403224	7.....28	2534	\$39.19	SocialSecurityNum111883333

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 P O S 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 P O S, S A T 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 P O S activity log, click the **'View Log'** button from the main P O S screen. To view the S A T activity log which includes entries reflecting Batch Manager activity, select **'File'**,



'Activity Log' from the menu or click the **'Activity'** icon from the S A T main screen.

Note: *The Batch Manager log is accessed from the S A T Activity Logs.*

To print the activity log from either the S A T or the P O S:

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 (S A T activity log only) desired.
3. Click **'Print'** at the lower right of the screen. The Activity Log Report is generated (see description below)

P O S 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 S A T activity log), or Batch Manager (in the S A T 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 : ldkjff
05/11/2006 2:57:07 PM	Point-OfSale	LID Void item was successful. User Name : sharon b

05/11/2006 Page 1

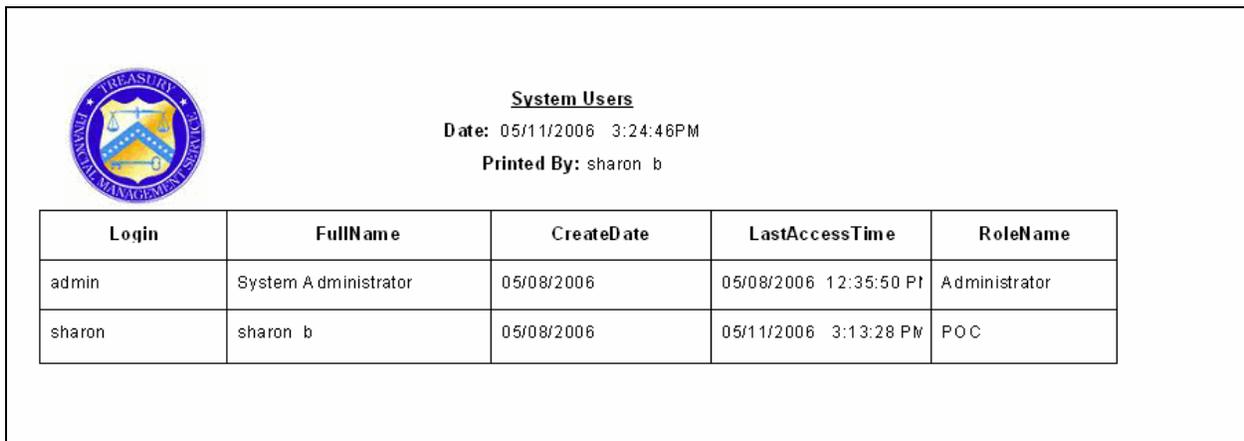
Figure 9.3

User Information

The User Administration screen in the S A T 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 S A T 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. The report is similar to the example in 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 is available each business day, after 9:30am, for the prior day's transactions. It should be used to balance work from the previous business day. The information on the report is as follows: (Figure 9.5)

A L C/DSSN – The 10-character (example: 0000555501 up to 0000555599, or 00005555A1 up to 00005555ZZ) identifier used for accounting purposes to group transactions to a specific agency. The ninth digit in the A L C is a check digit used only by FRB-C. Multiple computers using the P O S application may use the same A L C. The 10-character A L C + 2 specifies an agency or type of location within the A L C and has a name associated with it.

Deposit Ticket Number – The deposit ticket number as entered into the CA\$HLINK II system.

Fiscal Agent – This is 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 A L C and Location Name

Cashier ID – The cashier ID or operator that processed a group of checks at the P O S.

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 A L C – 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

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
chaydi	04/24/2006	2	\$945.32
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 9.5

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- character (example: 0000555501 up to 0000555599, or 00005555A1 up to 00005555ZZ) identifier used for accounting purposes to group transactions to a specific A L C+2.

Fiscal Agent – The Federal Reserve Bank of Cleveland

Location name – the descriptive name of the Location to which the 10-character A L C belongs.

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.

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\$H LINK – 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.

Summary of the number of transactions.

Summary of the total dollar amount.

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

5515 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: 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 CASH 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 9.6

Appendix B - Return Reason Codes

A C H Return Reason Codes

These return codes are used when an item that has been converted to an A C H entry is returned. They are used by the paying institution from where the item is drawn, when they return an A C H transaction that was processed by the P O S. 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 (A C H 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 (A C H operator initiated)
R19	Amount field error (A C H 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	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
R50	State Law Prohibits Truncated Checks
R51	Notice not provided/Signature not authentic/ Item altered/Ineligible

Point-Of-Sale Standard Operating Procedures

	for conversion
R52	Stop Pay on Item
R53	Item and A C H Entry Presented for Payment
R61	Misrouted Return
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 P O S. 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 are 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 P O S. 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 - Endorsement Missing - Check 21
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 - Endorsement Missing-PIL
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 requires the System Administrator to provide a small, but important, amount of system support at initial deployment. Basic System Administrator support is primarily 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 is 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 requires 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 or internet connection 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 the 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 P O S operators 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 P O S software from a deployment specialist and install the software from the CD, or request an ELVIS User Name for P O S downloads. The ELVIS User Name for P O S downloads and its associated password are only used for downloading the P O S software from the ELVIS system.
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 U S B 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 P O S 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 the Agency's PCC OTC Point-of-Contact (P O C) 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, Option 4, or send an email to PCCOTC@clev.frb.org.

Appendix D – Equipment Returns

If there are problems with the PCC OTC equipment that was purchased from FMS/FRB-C, contact the PCC OTC Customer Service staff. A Customer Service staff member verifies the warranty information (if any) and dollar valuation on the following pieces of equipment: Laptops, Scanners and Yes/No keypads. Otherwise, if the PCC OTC equipment was purchased 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 the equipment's full dollar 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 PCC OTC equipment, please call the 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 there are 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 F – R5.4 Roles for ELVIS

The Security Contact for an Agency assigns a specific role to each person who needs access to PCC OTC information in ELVIS. Any role may be utilized (listed across the top) from one of the following two grids.

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	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.

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

Appendix G – 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 takes place by the FRB-C's Information Security Department. Security Contacts are 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 A L C 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 A L C
 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 H – 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 A L C 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 A L C 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 a second PCC OTC Security Contact person is designated. 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 at the Agency 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 I – PCC OTC Rules of Behavior

PCC OTC System IT Security Rules of Behavior

The PCC OTC Rules of Behavior are 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 appear on the user's screen. Users are asked to read the rules, then click the 'I Agree' button at the bottom of the screen. User's who click the 'Decline' button are not 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.

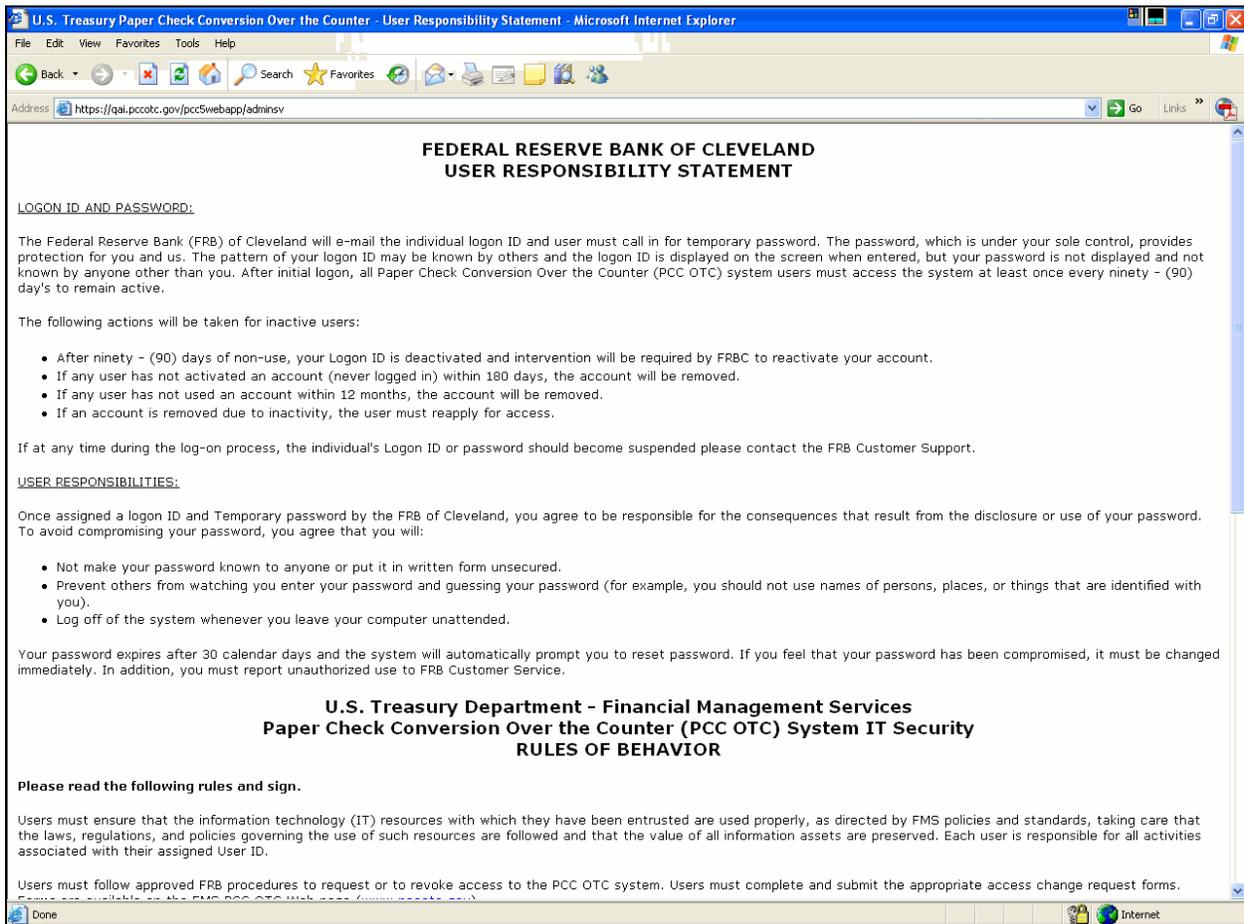


Figure 9.7

Appendix J – System Permission Descriptions for the P O S

The permissions listed on the next page are available using the S A T System Role Configuration. A check to the left of the permission indicates that that role/user has been given that permission.

Point-Of-Sale Standard Operating Procedures

Permission Name	Used to...
AuthorizeDuplicat	Allows a user to accept a duplicate within the P O S.
AuthorizeMICRCorr ection	Allows a user to make MICR corrections within the P O S.
AuthorizeOldVerific ation	Allows user to authorize the use of an out-of-date LVD.
AuthorizePoorImage Quality	Allows a user to accept items whose images are of poor quality within the P O S.
BalanceCheckAmou nts	Allows a user to balance check amounts within the P O S or Batch Manager.
ChangeBatchContro lValues	Allows a user to change batch control values within the P O S or Batch Manager.
ChangeBatchStatus	Within Batch Manager, allows user to deactivate/reactivate, close, request acknowledgement, or upload a batch.
ChangeMode	Allows users to switch between customer present and customer not present modes during transaction entry.
ChangeOwnPasswor d	Allows users to change their password.
CloseBatch	Allows a user to close an open batch within the P O S.
ConfigureBatchMan ager	Allows a user to change Batch Manager configuration settings i.e., columns shown, column order or column move.
ConfigureP O S	Allows user to operate P O S configuration settings including scanner comm. Port, terminal ID, and enable/disable Yes/No Keypad
ConfigureQueueInte rface	Allows user to configure the Queue Interface in the S A T
ConfigureRoles	Allows user to add, edit or delete system roles
ConfigureSystem	Allows user to operate P O S-S A T configuration settings including LVD usage, A L C 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 system.
ProcessTransactions	Allows a user the ability to scan new items.
RecoverFromSecon daryStorage	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 P O S or S A T operations.
UpdateLVD	Allows a user to request updates (for 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 P O S or Batch Manager.
VoidItems DuringBalancing	Allows a user to void items during balancing within the P O S or Batch Manager
Void transaction	Allows a user to void a previously processed transaction within the P O S or Batch Manager.

Appendix K – Setting the EC6000i and EC 7000i 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 P O S software is installed but it can be activated by an authorized user. To activate, click on **'File', 'Configuration'** within P O S. Click on the 'Devices' tab, then check the 'Franking' box as pictured below in Figure 9.8.

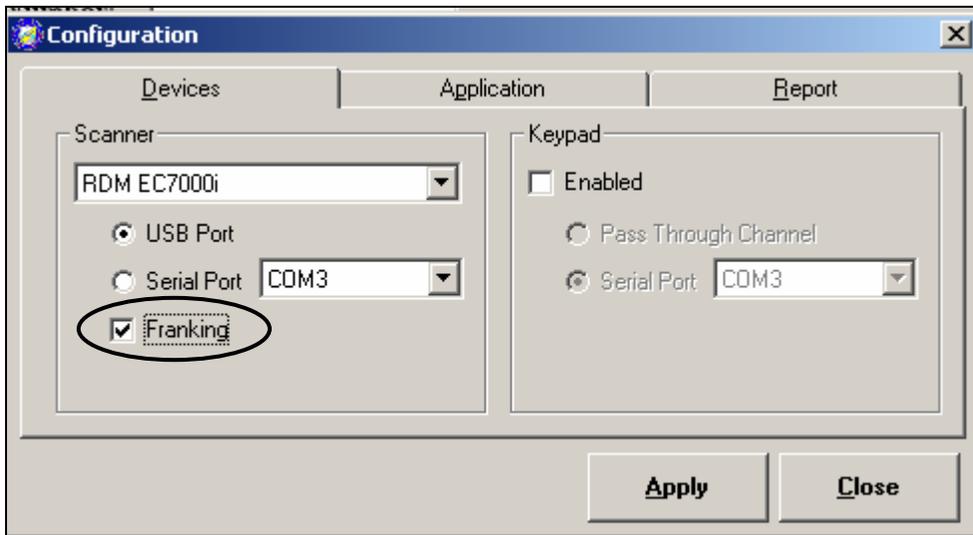
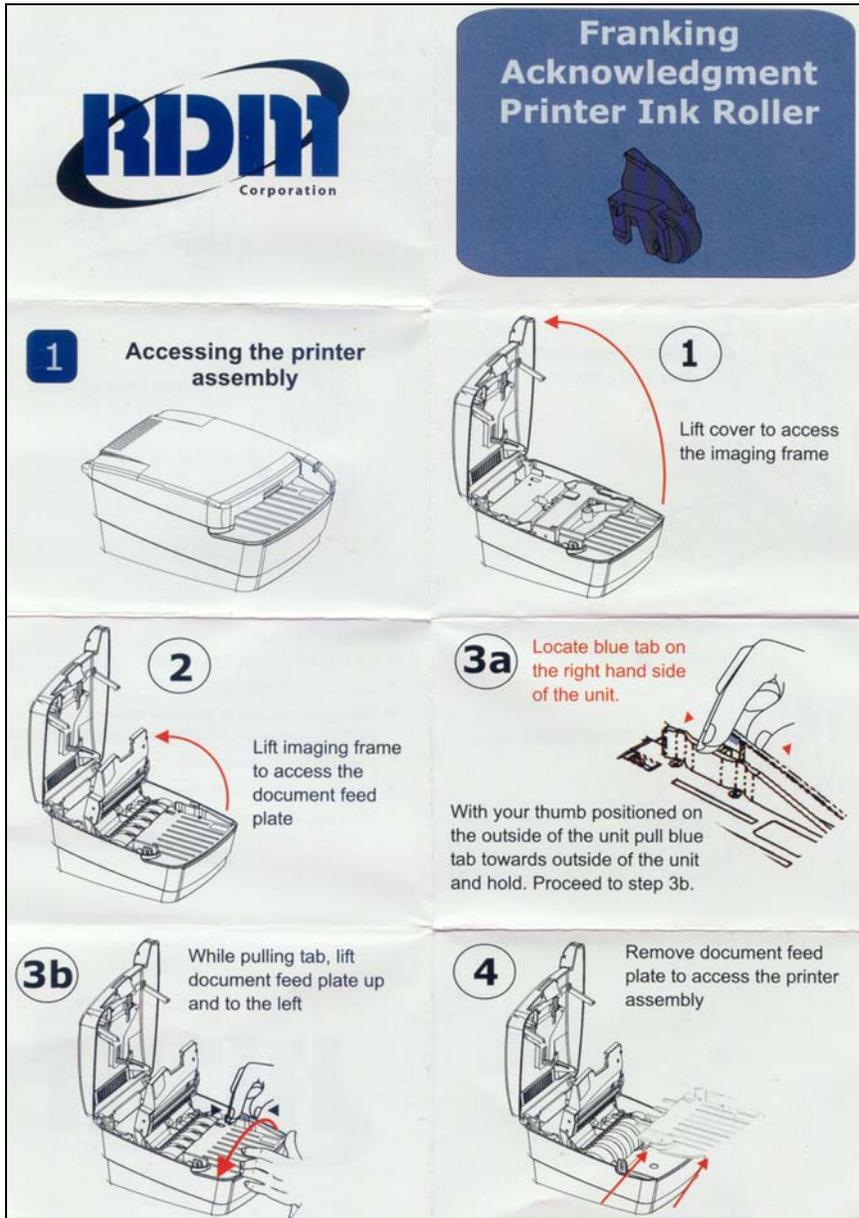
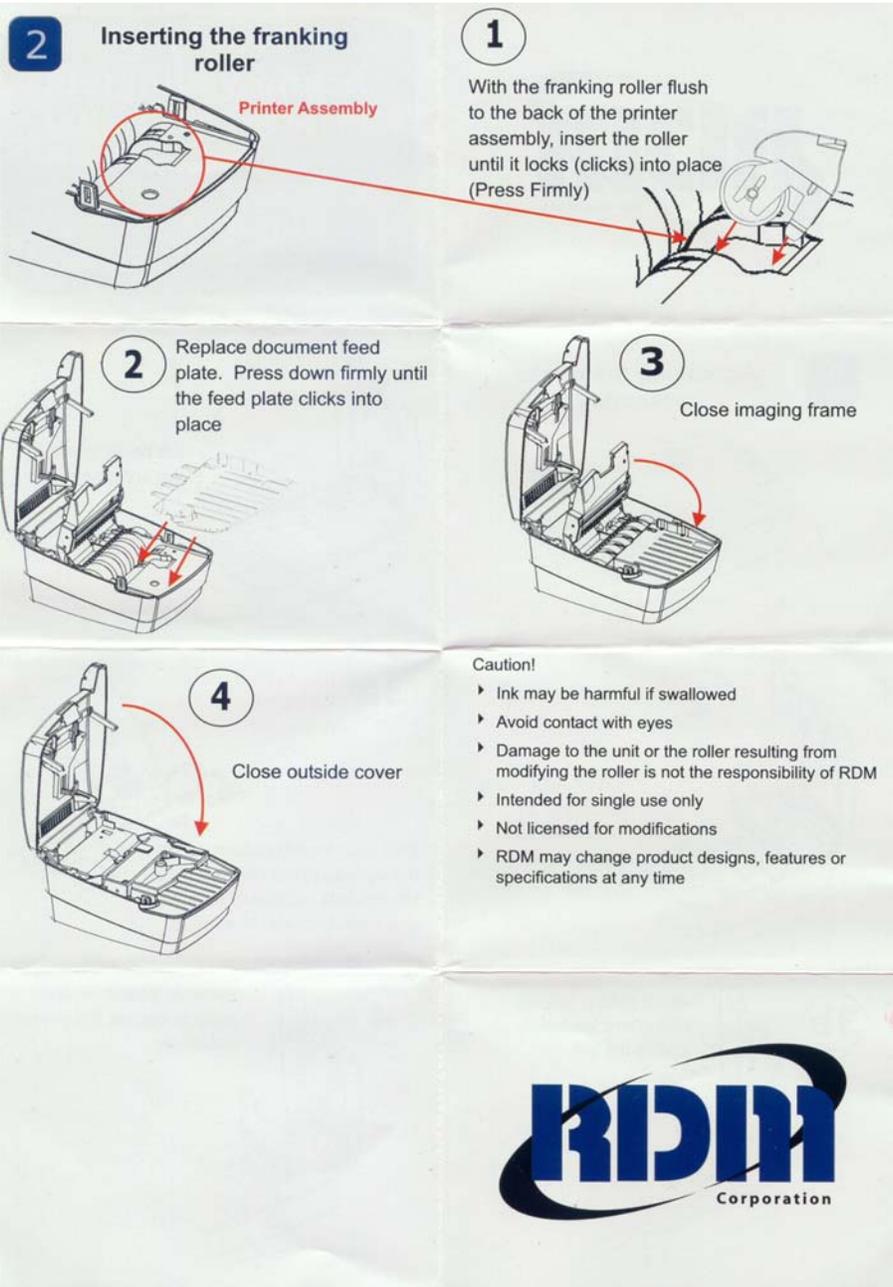


Figure 9.8

Installing the Ink Roller

To install the ink roller in the EC6000i and EC7000i, follow these steps:





Appendix L – RDM Scanner Information

Refer to the RDM EC5000i or RDM EC6000i/EC7000i User Manual at the end of this S O P for more detailed information on the PCC OTC scanner.

Appendix M – Personnel Change Over

NOTE: Access should be changed on all equipment and backup equipment.

Follow the following procedures are for access changes to the P O S and ELVIS.

P O S Access

P O C stands for Point of Contact. The PCC OTC Point of Contact is the person or persons responsible for the P O S system. The P O C determines who should have access to the P O S system and what levels of access each user should possess. When a **P O C** is replaced, access to the P O S system needs to be given to the new P O C.

When the P O S 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 P O C cannot remember their password or becomes locked out of the system. Its purpose is to grant access to the P O C so the P O C can create, edit, and delete users. The admin users is also used by a P O C to reset their own password should they forget it or become locked out of the system.

When there is a change to the person or persons assigned the P O C position, the existing P O C must logon as the ‘admin’ user, type the admin password then select ‘Change Password’. The **new** P O C 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 password for the ‘admin’ user will expire every 90 calendar days.

The new P O C must start by adding themselves as a user to the system with their own name and temporary password, with the role of P O C – which is the highest level of access within the P O S system. The P O C then needs to sign off as ‘admin’ and sign on as themselves. The system prompts them to change their temporary password. Once they have successfully signed on, the P O C can then create, edit or delete users on that P O S terminal and should, most likely, begin by deleting the old P O C from the system. The resetting of the ‘admin’ password needs to be completed on each P O S terminal. P O S 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 the P O S’s configuration settings. Should the ‘admin’ user become locked out, the only way to restore this default user is to reinstall the P O S software.

Note: Once the 'admin' password has been changed, it should be written down and locked up for future use. The password will expire every 90 calendar days. If, at any time, the S A T system cannot be accessed via the 'admin' logon because the password is not known, the only way to restore the 'admin' logon is to uninstall and reinstall the P O S software. Keeping track (and tight security) of the 'admin' password is crucial. It is very important to remember that the 'admin' user ID is only to be used in an emergency situation and should not be used as a daily logon ID.

ELVIS Access

Users who need to research check images, investigate and update verification records, and request reports need access to the ELVIS system. If applicable, access to ELVIS needs to be given to the new system administrator. Personnel no longer requiring access to the site's business activity (in ELVIS) need to be removed. Adding, changing and deleting users is done by completing the PCC OTC User Access Request Form. This is an electronic form that can be downloaded from the PCC OTC informational site at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>. Instructions on completing the form are included with the download.

All users of the ELVIS system must read and agree to the electronic Rules of Behavior form. The Rules of Behavior appears 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 S O P, or for the most current form, download the form at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>

Once a year, an email is sent to the PCC OTC Security Contacts at each Agency to verify that the personnel who have access to the ELVIS system are still valid users.

Appendix N – Glossary

A B A - American Bankers Association 9-digit routing and transit number.

A C H: Automated Clearing House – Electronic method of collection

A C K: Abbreviation for Acknowledgement.

A C L: 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.

A P A: Agency Participation Agreement. A document provided by FMS and must be completed prior to participating in the PCC OTC program.

A S P: Agency Site Profile – A document that is used to provide specific payment information to FMS prior to processing transactions.

A L C: Agency Location Code - An eight digit number identifying a governmental agency for accounting purposes – used in the CA\$HLINK II system to distribute funds.

A L C+2: Agency Location Code plus 2 - The agency identifying code plus a unique two digit number that is used in P O S to identify a cashflow. This number is assigned by the FRB-C.

ARC: Accounts Receivable Entry– the A C H standard entry class code for a consumer payment processed in a Customer Not Present environment and converted to A C H.

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 A L C+2 is assigned to identify an individual cashflow.

CCD: Cash Concentration or Disbursement. The A C H standard entry class code that is used for a non-personal payment processed in a Customer Not Present environment and converted to A C H.

Centralized deployment: The component that allows for the electronic download of upgrades to the P O S 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 S O P.

Check Capture Date: The date the check was processed by the P O S computer.

CIRA: Central Image and Research Archive: The image archive component of ELVIS from which authorized users are 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 P O S.

Customer Present Processing Method: The processing method used in the P O S when the check writer is presenting the check in person.

Customer Not Present Processing Method: The processing method used in the P O S when the check writer is not present and has delivered the check in another manner, i.e., mail.

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 needs 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.

Fed A C H: Fed A C H is the Federal Reserve System's Automated Clearing House (A C H) system. The A C H 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.

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 are 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 receives a 5515 Report (Debit Voucher) with a debit processed to CA\$HLINK II which includes the effective date and debit voucher number. 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.

Login: The name assigned to a user and used to sign into the P O S, S A T, 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 P O S 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 P O S 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 A C H payments mechanism.

PCC OTC: Paper Check Conversion Over the Counter.

Point of Contact (P O C): The person within an Agency that is the designated PCC OTC Point of Contact.

Received Date: The date the check was received into ELVIS.

Point-Of-Sale Standard Operating Procedures

Secondary Storage: The P O S 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 P O S software. It runs in the background and controls all functionality within the P O S/S A T/ Batch Manager.

Appendix O – Acronyms

A B A - American Bankers Association

A C H – Automated Clearing House

A C L - Access Control List

A P A - Agency Participation Agreement

A S P – 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

F I P S - Federal Information Processing Standard

FRB-C – Federal Reserve Bank of Cleveland

F R I T - Federal Reserve Information Technology

GB - Gigabyte

GHz – Gigahertz

I P – Internet Protocol

I T – Information Technology

J R E – 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

P O C – Point of Contact. The person within an Agency that is the designated PCC OTC Point of Contact.

P O S – Point of Sale

R5.4 – Release 5.4 (of the P O S and ELVIS).

R A M – Random Access Memory

S A T – System Administration Tool

S O P – Standard Operating Procedure.

S O A P – Simple Object Access Protocol

SSL – Secure Socket Layer encryption

TWAI - Treasury Web Applications Infrastructure

U R L – Uniform Resource Locator

U S B – Universal Serial Bus

U S T – United States Treasury

WSDL – Web Services Description Language

XML – Extensible Mark-up Language (Industry Standard)

Appendix P – Image Quality

The P O S has a 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:

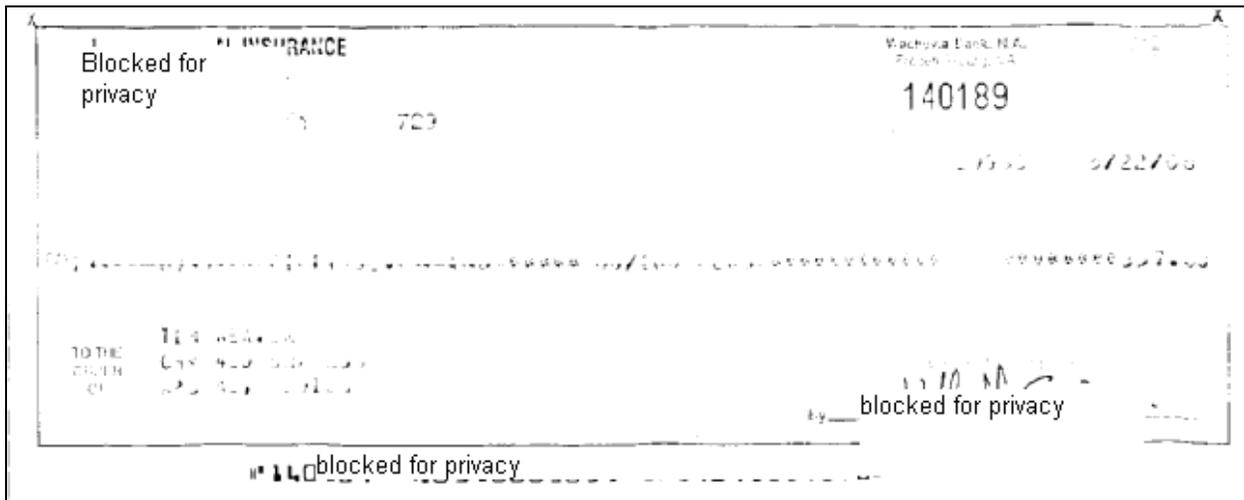


Figure 9.9

Good Image Quality:

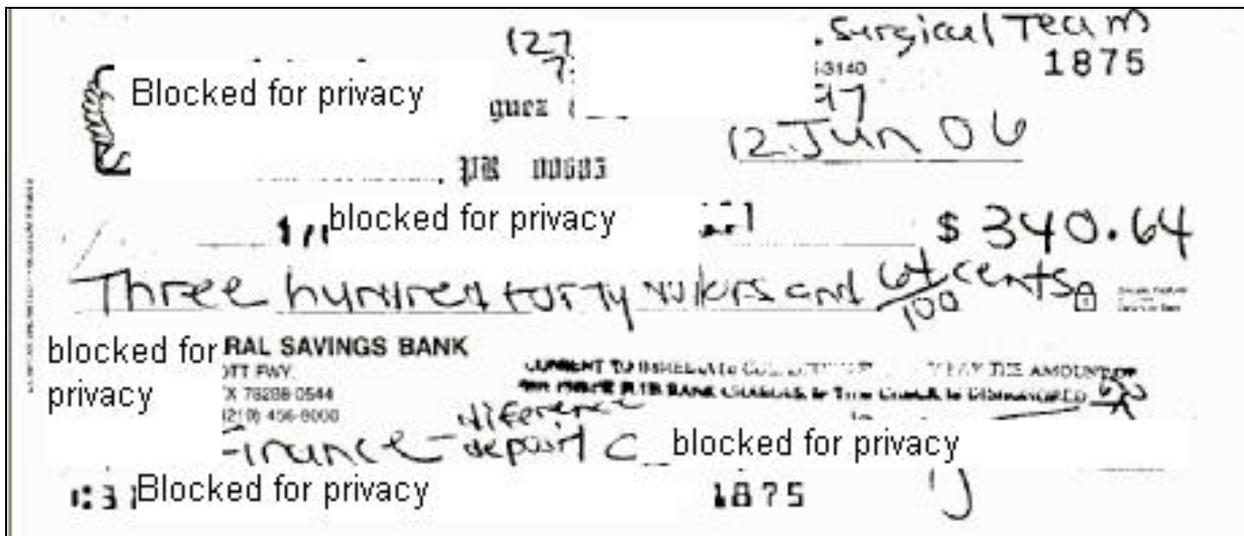


Figure 9.10

Appendix Q – CIRA CSV File Layout

Introduction

This document contains all of the fields available through the file layout for the CIRA CSV report in PCC OTC 5.4. The CSV report provides input into downstream systems, and provides PCC OTC 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

Point-Of-Sale Standard Operating Procedures

- USER FIELD 11
- USER FIELD 12
- USER FIELD 13
- USER FIELD 14
- 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

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		Report Title	String	CSV Agency Detailed Item Report	Report Title Constant
2		Date/Time	String	Thu May 05 12:27:53 EDT 2005	Date that the report was executed
3		Total Amount	String	TOTAL AMOUNT :	Constant String
		Total Amount Value	Float	39594.43	Total dollar amount of the items queried
4		Total number of items	String	TOTAL NUMBER OF ITEMS :	Constant String
		Total number of items value	Number	81	Number of items queried
5		IRN	String	IRN	Constant String column header, value of the IRN
		LOCATION NAME	String	LOCATION NAME	Constant String column header, A L C+2
		CAPTURE DATE	String	CAPTURE DATE	Constant String column header, Time the image and data was originally captured
		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
		TRANSIT NUMBER	String	TRANSIT NUMBER	Constant String column header, Routing number parsed from RAW MICR
		CHECK NUMBER	String	CHECK NUMBER	Constant String column header, Check number parsed from RAW MICR
		ACCOUNT	String	ACCOUNT	Constant String column header, Account number parsed from RAW MICR
		AMOUNT	String	AMOUNT	Constant String column header, Amount of the payment
		CASHIER ID	String	CASHIER ID	Constant String column header, Value provided by A L C+2 for the operator id
		CHECK TYPE	String	CHECK TYPE	Constant String column header, Check Type – either “Personal” or “Non-Personal”
		PROCESSING MODE	String	PROCESSING MODE	Constant String column header, Processing Mode – 3 options “Not Present”, “Present” or “Back Office”
		BATCH ID	String	Batch ID	Constant String column header. Batch containing the IRN
		SETTLEMENT DATE	String	Settlement Date	Constant String column header. Settlement Date
		DEBIT VOUCHER NUMBER	String	DEBIT VOUCHER NUMBER	Constant String column header. Debit Voucher Number
		DEPOSIT TICKET NUMBER	String	DEPOSIT TICKET NUMBER	Constant String column header. Deposit Ticker Number
		User field 1	String	USER FIELD 1	Constant String column header
		User field 2	String	USER FIELD 2	Constant String column header
		User field 3	String	USER FIELD 3	Constant String column header
		User field 4	String	USER FIELD 4	Constant String column header
		User field 5	String	USER FIELD 5	Constant String column header
		User field 6	String	USER FIELD 6	Constant String column header
		User field 7	String	USER FIELD 7	Constant String column header
		User field 8	String	USER FIELD 8	Constant String column header
		User field 9	String	USER FIELD 9	Constant String column header
		User field 10	String	USER FIELD 10	Constant String column header
		User field 11	String	USER FIELD 11	Constant String column header
		User field 12	String	USER FIELD 12	Constant String column header
		User field 13	String	USER FIELD 13	Constant String column header
		User field 14	String	USER FIELD 14	Constant String column header
		User field 15	String	USER FIELD 15	Constant String column header
		User field 16	String	USER FIELD 16	Constant String column header
		User field 17	String	USER FIELD 17	Constant String column header
		User field 18	String	USER FIELD 18	Constant String column header
		User field 19	String	USER FIELD 19	Constant String column header
		User field 20	String	USER FIELD 20	Constant String column header
		User field 21	String	USER FIELD 21	Constant String column header
		User field 22	String	USER FIELD 22	Constant String column header

Document Version 1.1

Dated 01/24/2008

Point-Of-Sale Standard Operating Procedures

Line Number	Field Number	Name	Type	Format/Sample	Description
		User field 23	String	USER FIELD 23	Constant String column header
		User field 24	String	USER FIELD 24	Constant String column header

Point-Of-Sale Standard Operating Procedures

Sample File Layout

Following is a sample file layout starting on line 6:

Field Number	Name	Type	Sample value
	IRN	String	111201500244600000608
	LOCATION NAME	String	0000633502
	Capture Date	Date/Time	2002-07-19 14:11:14
	Receive Date	Date/Time	2002-07-22 07:31:19
	TRANSIT NUMBER	String	251480576
	CHECK NUMBER	String	4114784
	ACCOUNT	String	787910415647
	AMOUNT	String	38.81
	CASHIER ID	String	Patrick
	CHECK TYPE	String	Personal Non-Personal
	PROCESSING MODE	String	Not Present Present Back Office
	BATCH ID	String	FF1E9FE2-FB22-4353-A27A-06C86FC3D2AA
	SETTLEMENT DATE		2002-08-22 07:43:10
	DEBIT VOUCHER NUMBER	String	24
	DEPOSIT TICKET NUMBER	String	8
	User field 1	String	USER FIELD 1
	User field 2	String	USER FIELD 2
	User field 3	String	USER FIELD 3
	User field 4	String	USER FIELD 4
	User field 5	String	USER FIELD 5
	User field 6	String	USER FIELD 6
	User field 7	String	USER FIELD 7
	User field 8	String	USER FIELD 8
	User field 9	String	USER FIELD 9
	User field 10	String	USER FIELD 10
	User field 11	String	USER FIELD 11
	User field 12	String	USER FIELD 12
	User field 13	String	USER FIELD 13
	User field 14	String	USER FIELD 14
	User field 15	String	USER FIELD 15
	User field 16	String	USER FIELD 16
	User field 17	String	USER FIELD 17
	User field 18	String	USER FIELD 18
	User field 19	String	USER FIELD 19
	User field 20	String	USER FIELD 20
	User field 21	String	USER FIELD 21
	User field 22	String	USER FIELD 22
	User field 23	String	USER FIELD 23
	User field 24	String	USER FIELD 24

Document Version 1.1

Dated 01/24/2008

Appendix R – Password Requirements

For a copy of Appendix R – Password Requirements, please contact the PCC OTC Customer Service Staff.

Appendix S – Transaction Status Monitoring and Codes

Status Code Monitoring

This section of the Appendix describes how transaction status codes are applied in ELVIS during forward file and return processing, and lists the codes that are used and their corresponding descriptions.

PCC OTC Processing

Forward files

- ◆ Batches are uploaded to ELVIS from the POS computer.
- ◆ ELVIS forwards the batches for processing to the back end processor to be settled.
- ◆ The back-end system decides how to settle the items based on the check type of either:
 - Corporate check
 - Consumer POP (person present)
 - Consumer ARC (person not present)
- ◆ Items can be settled as either:
 - ACH – these items are settled electronically and do not require an image
 - Check 21 – these items are settled electronically using a substitute check. They require an image before settlement can occur.
 - Paper – these items use the physical check for settlement.
- ◆ An origination RPF file is sent. Codes 199, 012 and 013 are sent in this RPF.

Point-Of-Sale Standard Operating Procedures

- ◆ Codes 012 and 013 items do not have their status updated but for 012's, an image request is created. 013=ACH origination; 012=Paper Draft.
- ◆ 199's are updated with the status code of 'failed'.
- ◆ A settlement RPF (Return Processing File) is sent the morning after the files were uploaded, usually around 8:30am. Codes 412, 413, and 199 are sent to ELVIS. Items receiving a 412 and 413 code are updated with the status of 'settled'. These items receive a settlement date and a deposit ticket number.
- ◆ Items receiving a 199 code are failed items and do not receive a settlement date or deposit ticket number.
- ◆ Settled items are included in the Deposit Ticket Report for that settlement day.
- ◆ Settlement status is a prediction only – the back-end system will assume that all money can be collected for the items sent in a forward file. This is the end of forward file processing.

Returns

Once settlement occurs, an item can be returned for various reasons, i.e., insufficient funds, account closed, etc.

- ◆ A return RPF is sent. This file contains the return reason code. All status codes in the return RPF begin with a zero which indicates 'accepted'. It is NOT in it's final state.
- ◆ Items with codes 001, 002, 017, 018, & 019 are updated with the status of 'represented' and the date is stored in ELVIS and can be viewed using the CIRA Query 'Show History' button in the 'Rep Effective Date' field.
- ◆ If the represented item is not collected within 4 days from the Rep Effective Date, the item status in ELVIS will be updated to a transaction status code of 401, 417, 418, 419, or 402.
- ◆ An ACH item can usually only be represented twice unless specific arrangements are made. Upon the 3rd representment, the item will be retired in ELVIS. Paper items can only be represented once and will retire in ELVIS upon the 2nd representment. Locations can also choose to not have items represent in which case an item would just retire.
- ◆ Codes 017 and 019 update the status code to represented and generate an image request.
- ◆ Items with 003, 004, 005, and 009 are updated with the status of 'retired' and the return settlement date is updated.

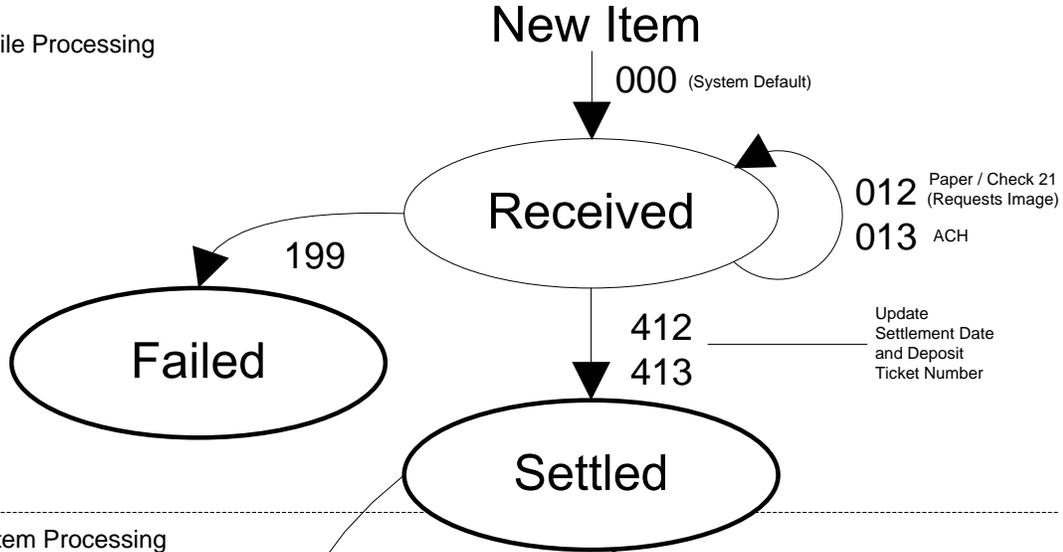
Point-Of-Sale Standard Operating Procedures

- ◆ Verification records are created for returned items and can be viewed in the verification Query (based on the locations visibility filters).
- ◆ A 2nd RPF, the 'return settlement' file is then sent. This file does not contain return reason codes. Transaction status codes in this RPF start with the number 4 which indicates that the item has been completed and is in its final state.
- ◆ Codes 403, 404, 405, and 409 are already in a retired state so the status remains 'retired'. The return settlement date field in the CIRA Query 'Show History' screen are updated and a debit voucher number is created.

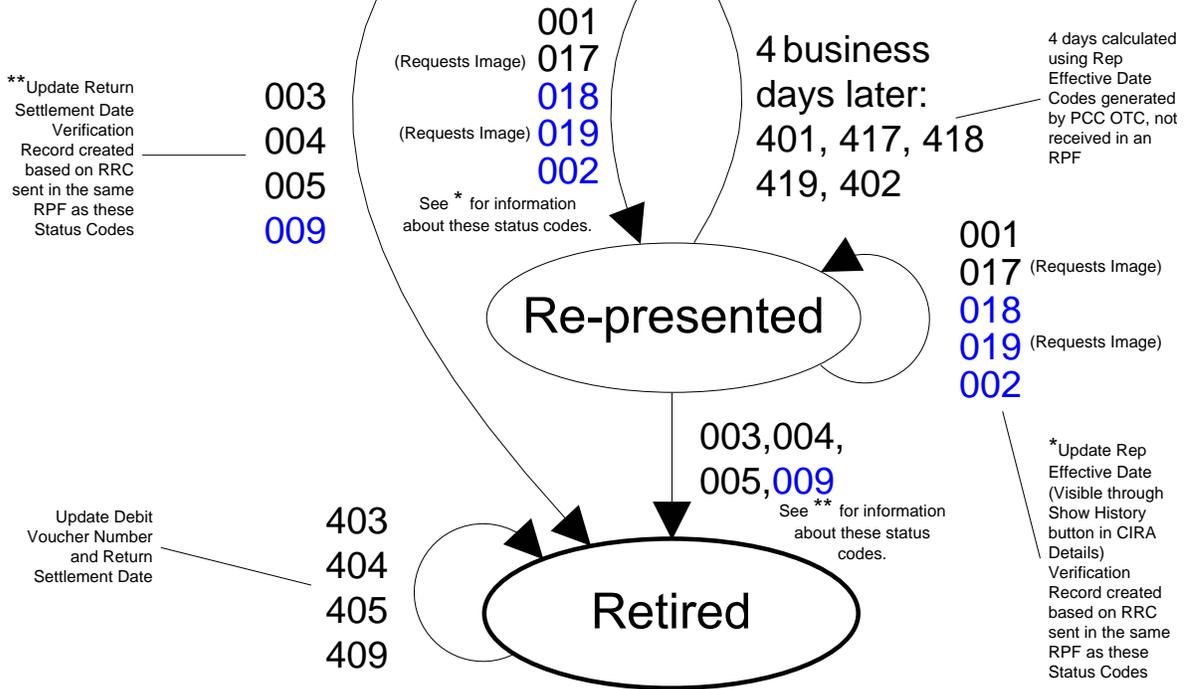
PCC OTC Status Monitoring Diagram

Explains Transaction Status Codes

Forward File Processing



Returns Item Processing



The Status Code 011 may appear in an RPF, but is ignored. Another RPF is sent from US Dataworks where the 011 Status Code is reworked as a 005, 018 or 019, and the 005, 018 or 019 is processed.

PCC OTC Transaction Status Codes

Transaction Status Code	Description	System Action
000	Received	In-Process status assigned by OTC.
199	Failed	Change status to Failed.
012	Paper Draft	Create an image request.
013	ACH Origination	Does nothing, ignored by system.
412	Paper Draft	Change status to Settled.
413	ACH Origination	Record the Settlement Date and the Deposit Ticket Number.
001	ACH Redeposit	Change status to Represented.
002	Paper Redeposit	Store the Rep Effective Date. OTC will remove the Debit Voucher Number from CIRA if it exists.
018	Manual ACH Redeposit	
017	Paper Redeposit Draft	Change to status to Represented.
019	Manual Paper Redeposit Draft	Create an image request. Store the Rep Effective Date. OTC will remove the Debit Voucher Number from CIRA if it exists.
003	ACH Retire	Change status to Retired.
004	Paper Retire	Return settlement date is updated
005	Retire Manual – Redeposit	
009	System Retire	Error – Duplicate Dishonor item
401	ACH Redeposit	Change status to Settled.
402	Paper Redeposit	After 4 days, items with the following codes 001,002,017,018, and 019 will be changed to 401, 402, 417, 418, and 419. These codes are not received from US Dataworks but
417	Paper Redeposit Draft	

Point-Of-Sale Standard Operating Procedures

Transaction Status Code	Description	System Action
418 419	Manual ACH Redeposit Manual Paper Redeposit Draft	changed by OTC.
403 404 405	ACH Retire Paper Retire Retire Manual – Redeposit	Change status to Retired. Record the Debit Voucher number. Update Return Settlement Date.



EC5000i User Manual

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
11/2007		No changes to this document which is a manufacturer's document	

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.

Copyright @ RDM Corporation

All rights reserved. No part of this document may be reproduced in any form without the written consent of RDM Corporation

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 sun 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 of 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 510-428-6824, option 4, option 5, option 4.



Requirements & Recommendations

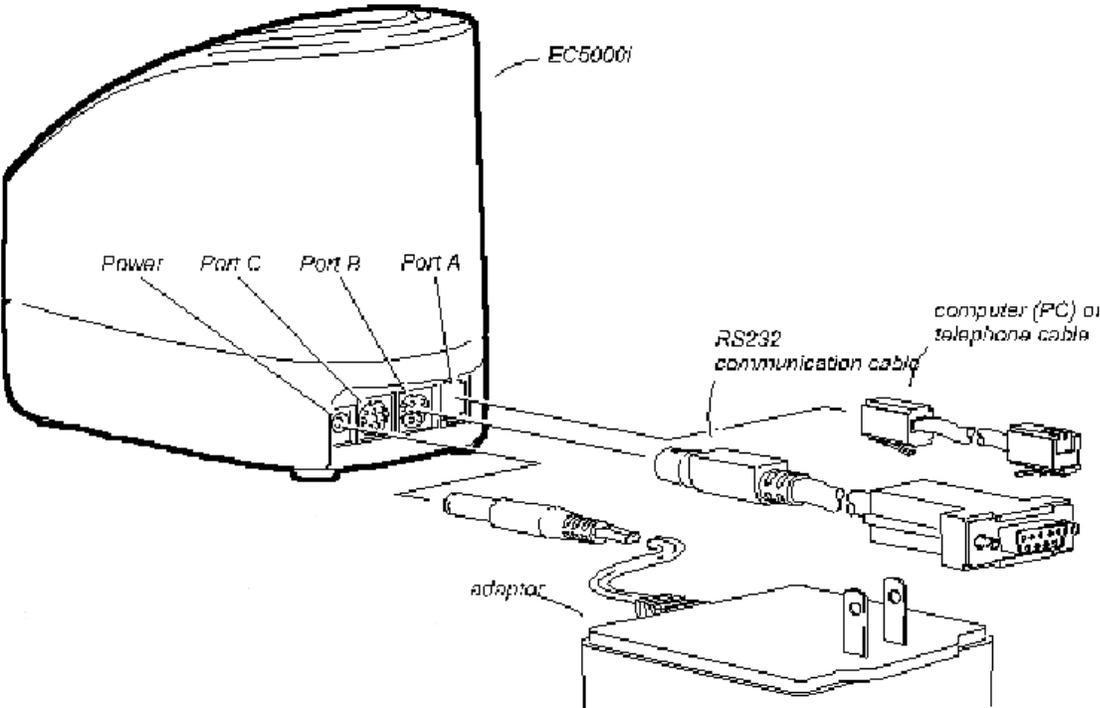
Requirements

- 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

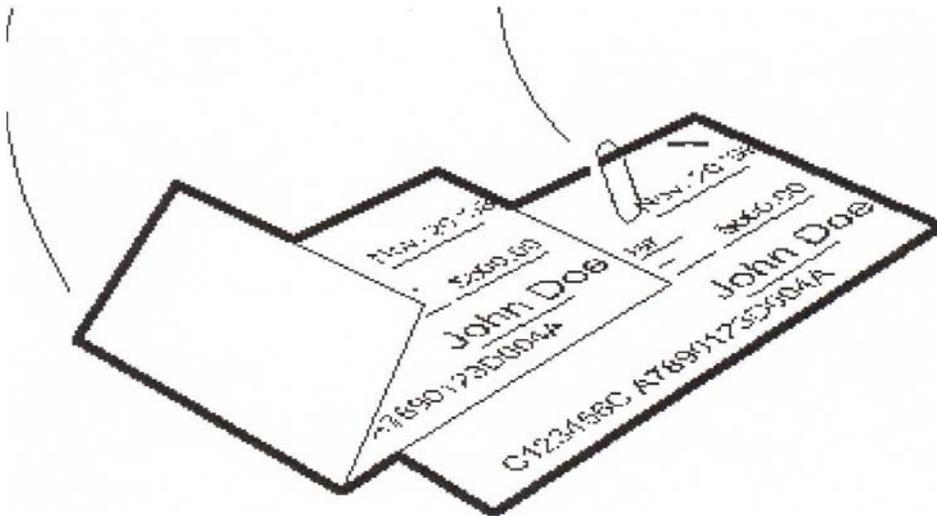
Preparing Checks

To reduce the possibility of errors and damage to the unit, you should:

- Remove all folds and creases
- Remove any paper clips and staples from the check

Remove all Folds and Creases

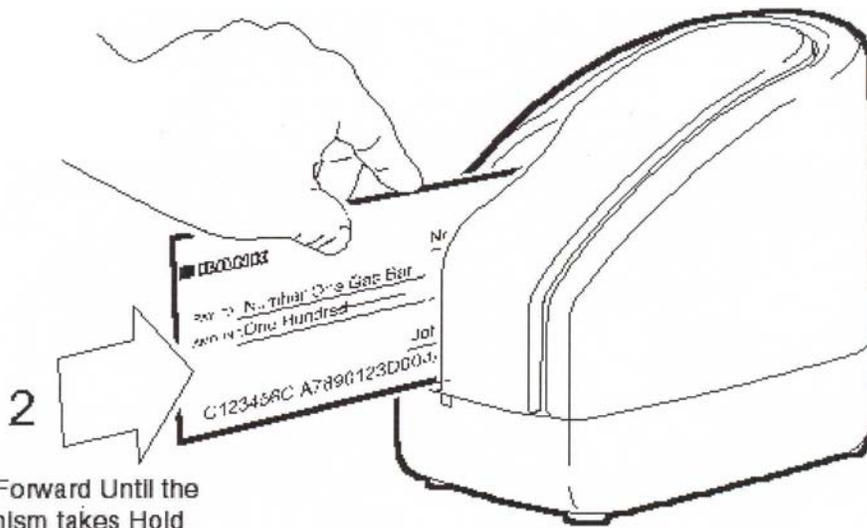
Remove Paper Clips and Staples



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.

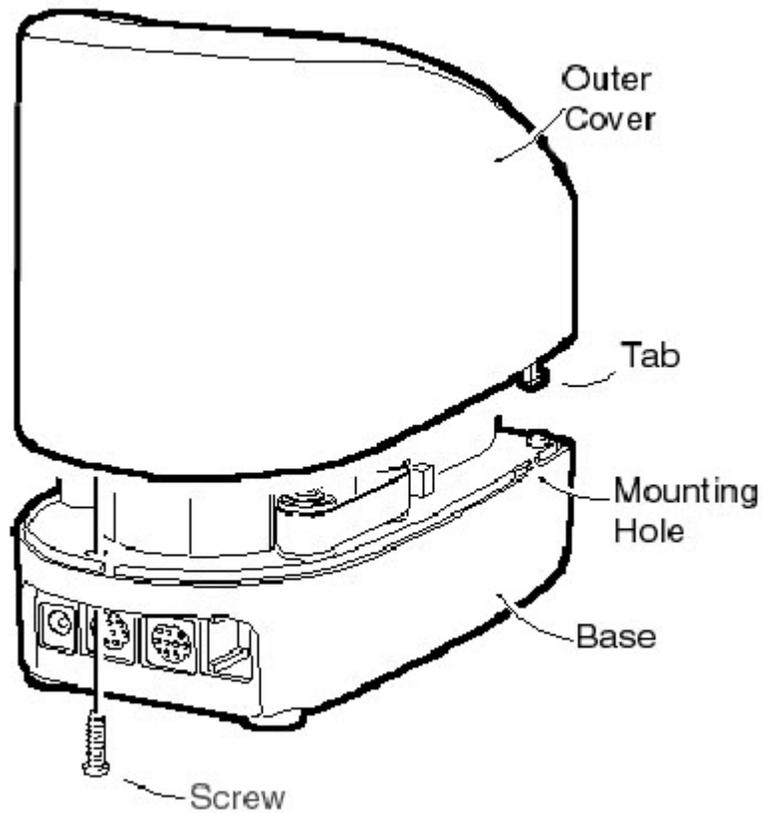
NOTE: Before removing the cover, DISCONNECT all cables.

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

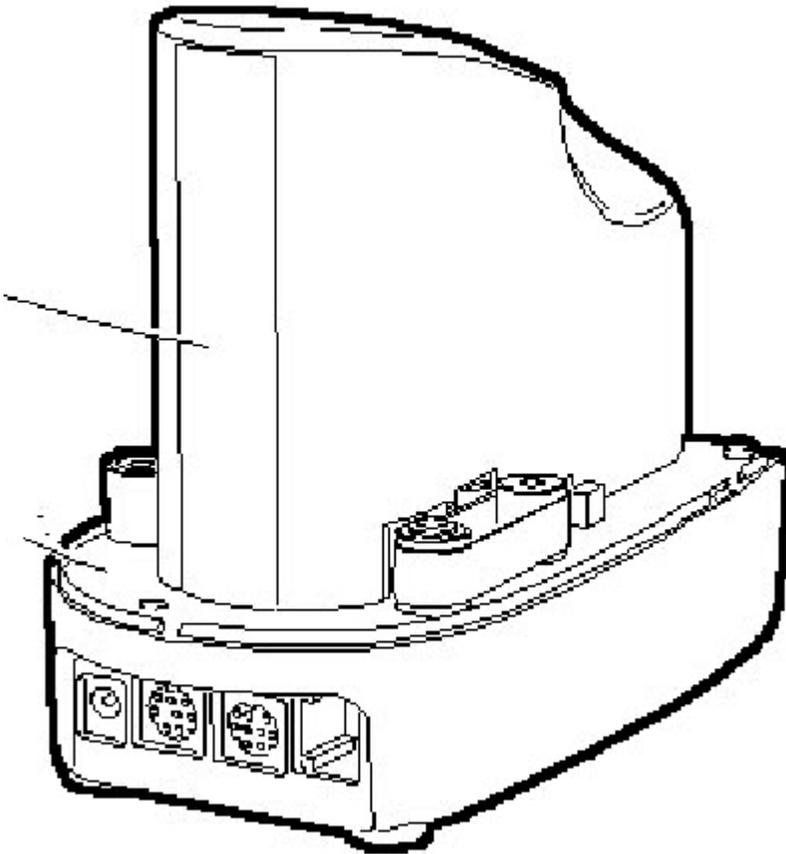
The EC5000i performs best when all working surfaces are clean and the track area is free of foreign material.

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.

Copyright© RDM Corporation, 2005

All rights reserved. No part of this document may be reproduced in any form without the written consent of RDM Corporation.

Part Number: 302655 Revision Number: A

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
11/2007		No changes to this document which is a manufacturer's document	

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.

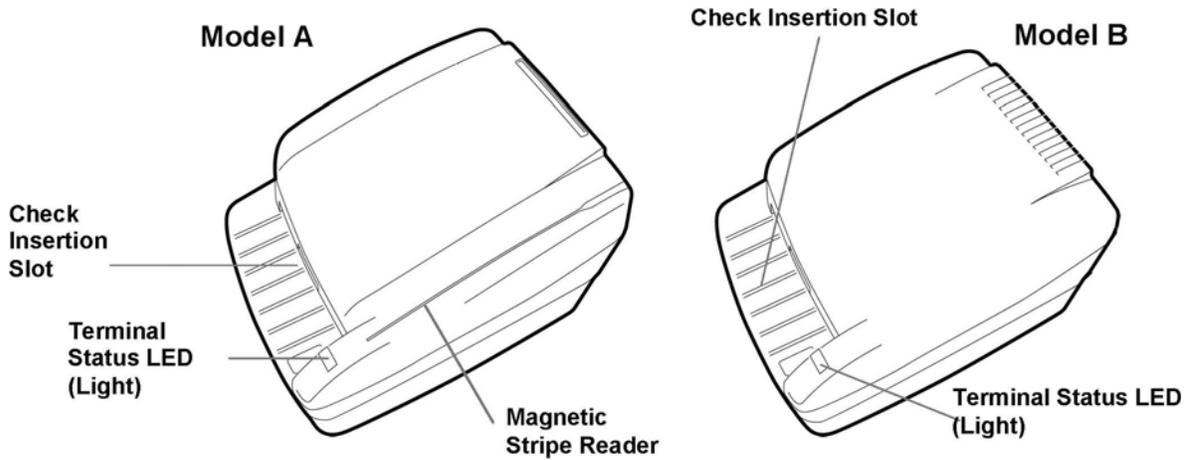
NOTE: Before unpacking the box, examine it for damage received during shipping. If the scanner, or any component, appears damaged, do not use it. File a claim with the shipping company and contact your distributor.

Your EC6000i Gen2 or EC7000i product package includes the following:

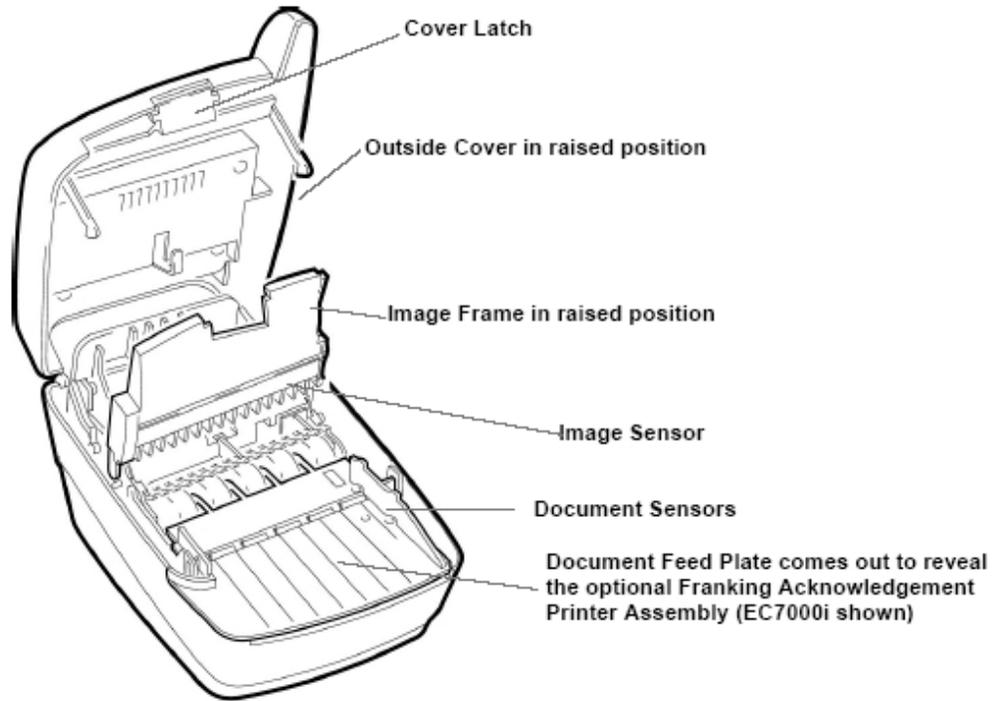
- The EC6000i Gen2 or EC7000i scanner
- Power adapter
- Telephone line (optional with modem)
- Franking Acknowledgement Printer Cartridge (optional)

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).

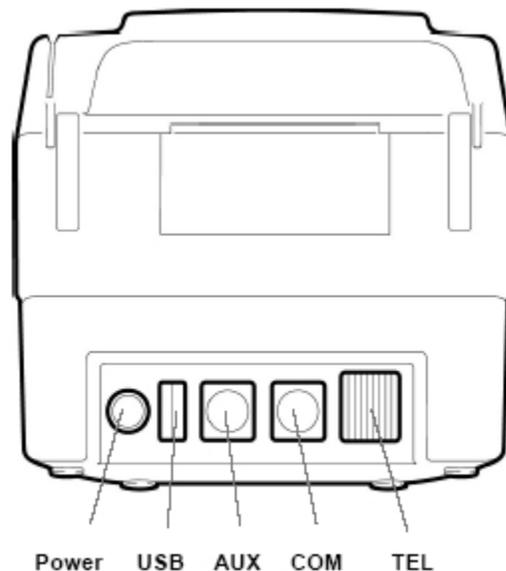
Power: Red: Connect the power adaptor to this port.

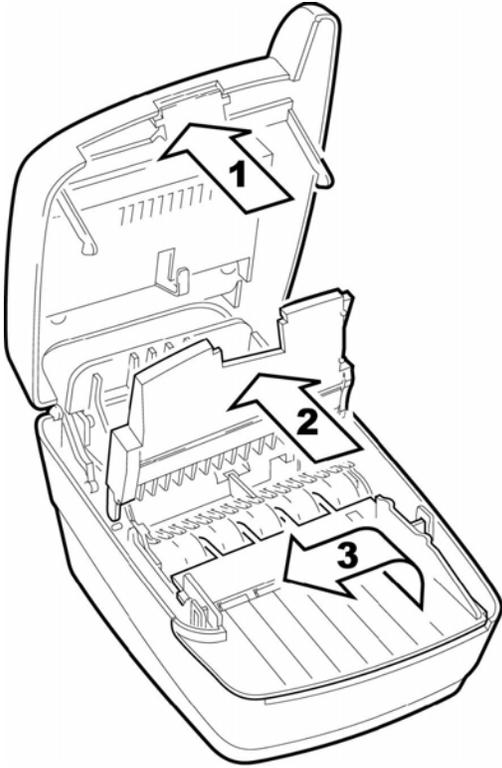
USB: Orange. Use this port to connect to a PC.

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.



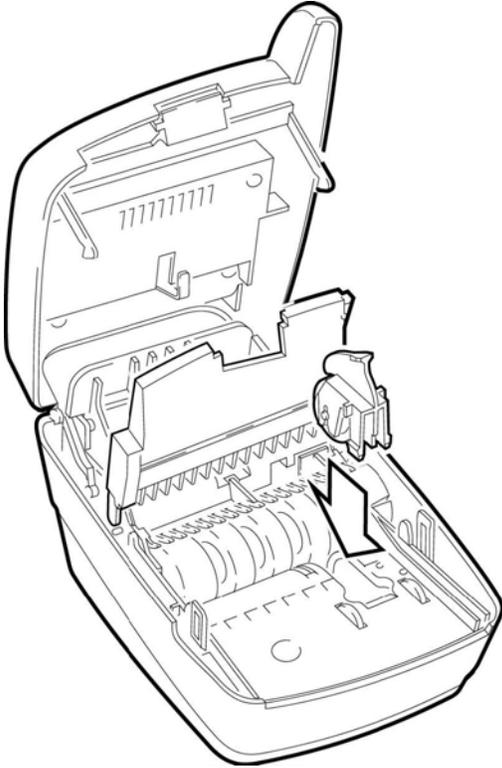


D. Insert the Franking Acknowledgement Printer Cartridge (Optional)

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:

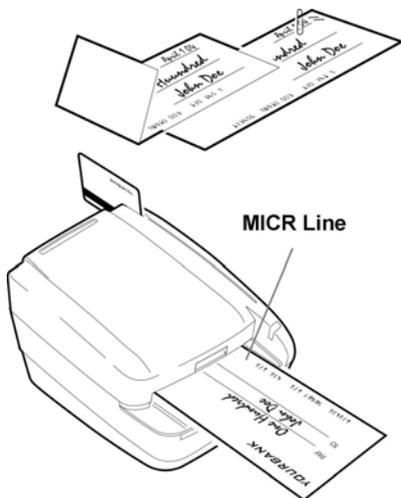
- Remove all folds and creases in the check.
- Remove any paper clips and staples from the check.

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.

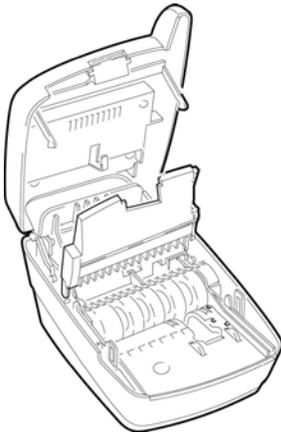
Maintaining the EC6000i Gen2 or EC7000i

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.



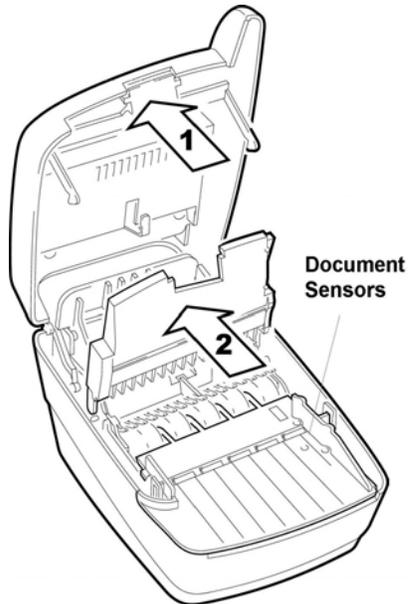
To clean the outside cabinetry: Use a damp cloth and mild soap.

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.

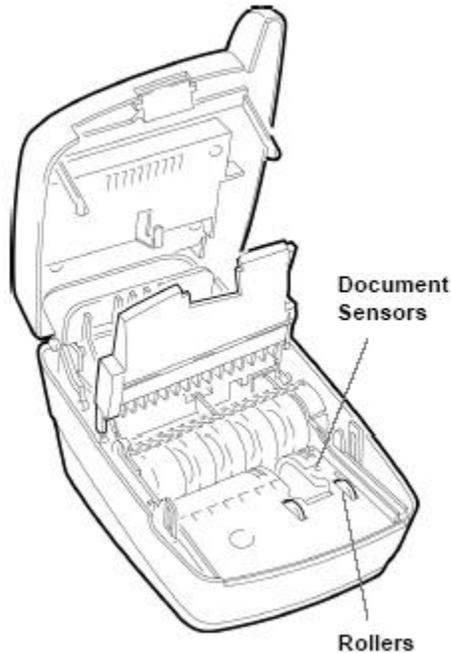
Modem Does Not Function

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.

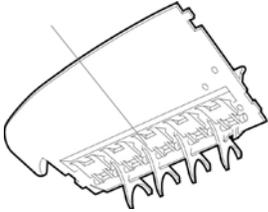
Check Feeder Does Not Function Properly



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).

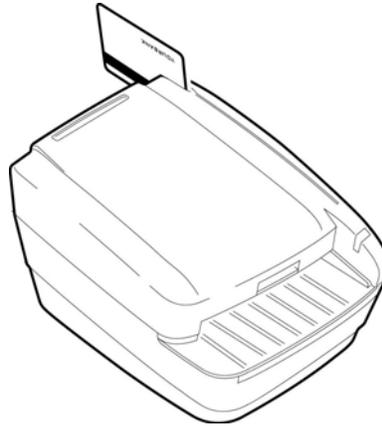


5. Use a lens cleaning tissue or a damp lint-free cloth to remove any ink or dust from the document sensors.
6. Ensure that the rollers under the baffle are clean (EC7000i only).
7. Re-close the imaging frame and cover.

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.

In the event repairs are ever needed on the scanner, 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 510-428-6824, option 4, option 5, option 4.



Copyright© RDM Corporation, 2005

All rights reserved. No part of this document may be reproduced in any form without the written consent of RDM Corporation.

Part Number: 302655 Revision Number: A

Waterloo, Ontario Canada

Panini My Vision X Operator Manual



Advanced Solutions
for Document Processing

My Vision X

CONTENTS

- 1 *Preface*
- 2 *General*
 - 1.1 Audience
 - 1.2 Safety Precautions
 - 1.3 If the Machine is Damaged
- 2. *Learning about the Panini My Vision X*
 - 2.1 Packaging List
 - 2.2 External Parts Description
 - 2.3 Internal Parts Description
- 3. *Operating your Panini My Vision X*
 - 3.1 Document Support Installation
 - 3.2 Extension Plate Installation
 - 3.3 Power Cables Connection
 - 3.4 USB 2 Cable Connection
 - 3.5 HP C6602A Ink-Jet Cartridge Installation
 - 3.6 HP 51604A rev.B Ink-Jet Cartridge Installation
 - 3.7 Pocket Length Adjustment



Advanced Solutions
for Document Processing

My Vision X

4. Getting started

- 4.1 Status Lights
- 4.2 How to Prepare and Load Checks
- 4.3 Clearing Jams

5. Maintenance

- 5.1 Cleaning the Transport
- 5.2 Cleaning the Contact Image Sensors
- 5.3 Cleaning the HP C6602A Ink-Jet cartridge
- 5.4 Cleaning the HP 51604A rev.B Ink-Jet Cartridge
- 5.5 Cleaning Photocells Detector
- 5.6 Replacing the Feeder and Separator Rollers
- 5.7 Cleaning the Reading Transport Belt
- 5.8 Install the External Covers

6. Specifications

- 6.1 Technical specifications of the Panini My Vision X
- 6.2 Technical specifications of the PC

- 1 *My Vision X SD Addendum*
- 2 *My Vision X AGP Addendum*

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
11/2007		No changes to this document which is a manufacturer's document	



My Vision X

Fifth Edition: July 2006 Panini Part No. HA-00093-04

© 2006 PANINI SpA Via Po, 39 10124 Torino Italy Internet: www.panini.com

PANINI NORTH AMERICA (Subsidiary) 577 Congress Park Drive Dayton, OH 45459 (USA)

This manual and the software described in it are protected under the Panini S.p.A Copyright. All rights reserved. Reproduction of this material in any form without the express written consent of Panini SpA or its subsidiaries is prohibited. PANINI SpA PROVIDES THIS MANUAL "AS IS" WITHOUT WARRANTY OF ANY KIND, EXPRESS OR IMPLIED, INCLUDING, BUT NOT LIMITED TO THE IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE. PANINI SpA MAY MAKE IMPROVEMENTS AND OR CHANGES IN THE PRODUCT(S) AND OR THE PROGRAM(S) DESCRIBED IN THIS MANUAL AT ANY TIME AND WITHOUT NOTICE. This manual could contain technical inaccuracies or typographical errors. Changes are periodically made to the information herein; these changes will be incorporated in new editions of this publication.



Advanced Solutions
for Document Processing

My Vision X

Trademark Acknowledgement

PANINI logo, My Vision X, Vision API, ICR Vision and MICR Plus are trademarks or registered trademarks of Panini SpA.

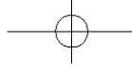
The mark **CE** affixed to the product certifies that the product satisfies the basic quality requirements.



The Panini My Vision X is also UL 950 compliant:

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 own expense.

© 2006 PANINI S.p.A., ALL RIGHTS RESERVED



My Vision X

Proper Disposal of WEEE

FOR COUNTRIES IN THE EUROPEAN UNION (EU)

The European Commission of the European Union has determined that electrical and electronic equipment on the market today contain parts and components that may be properly reused or recycled to reduce quantities of materials ultimately disposed in landfills and other disposal arenas. To address this determination, waste electrical and electronic equipment (WEEE) should not be collected or disposed with unsorted waste from private households or businesses. Rather, it must be collected separately. Offenders will be subjected to the penalties and measures laid down by the law. To that end, Panini products are appropriately marked with the European Union WEEE Directive's crossed-out dustbin symbol to indicate:

- the requirement for separate collection of electrical and electronic equipment put on the market after August 13, 2005.
- Panini guarantees the activation of the treatment, collection, recycling and disposal procedures in accordance with the directive 2003/108/CE (and subsequent amendments).

To dispose of our devices correctly:

- Contact the Local Authorities, who will give you the practical information you need and the instructions for handling the waste correctly, for example: location and times of the waste collection centres, etc.
- When you purchase a new device of ours, give a used device similar to the one purchased to our distributor for disposal.

FOR OTHER COUNTRIES (NOT IN THE EU)

The treatment, collection, recycling and disposal of electric and electronic devices will be carried out in accordance with the laws in force in the country in question.



My Vision X

O. Preface

Here is an overview of the manual layout:

Chapter 1: “General” introduces you to all the general information regarding the manual or the Panini My Vision X.

Chapter 2: “Learning about Panini My Vision X” introduces you to all the major components of your machine.

Chapter 3: “Operating your Panini My Vision X” describes simple installation procedures.

Chapter 4: “Getting started” explains how to operate the My Vision X.

Chapter 5: “Maintenance” describes how to solve problems that you may encounter using this machine.

Chapter 6: “Specifications” lists the main functions of the My Vision X and the features of the PC.



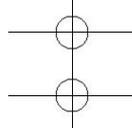
My Vision X

1. General

Congratulations on your selection of the Panini My Vision X! The Panini My Vision X is a new generation of check scanners. With a small footprint, sleek design and quiet operation, the Panini My Vision X fits perfectly in a small area such as a teller window, or on the back counter of bank branches.

The Panini My Vision X incorporates the latest, state-of-the-art technology and the latest standards for check processing in the market place.

A unique, patent-pending 3-mode feeder can be found in the Panini My Vision X, allowing for single item feeding, up to 30 items batch feeding with single hand insertion (in this case it is always possible to insert documents with one hand only) or up to 100 items batch insertion by manually moving the pressure plate. Options with limited feeder capacity are also available to cover specific customer needs. MICR reading technology available with the Panini My Vision X is comparable to the larger and faster reader sorter, thanks to the Panini MICR Plus™ technology. Taking advantage of the most up to date technology, the Panini My Vision X connects to computers via USB 2.0 interface, allowing for fast data transfer at no additional cost. A rear Ink-Jet endorser can also be found on the Panini My Vision X. The Panini Vision API is standard on the My Vision X, guaranteeing easy and reliable software integration. Finally, the Panini My Vision X has been designed specifically to allow for entire track accessibility, including scanner area, for easy intervention and for maintenance purposes.



My Vision X



1.1 Audience

This manual is written primarily for personnel who process checks or other documents.

1.2 Safety Precautions

Before you begin operating or servicing your My Vision X as instructed in this manual, please make sure

you read and understand these important safety instructions.

Dress safely. Do not wear loose clothing, long hair or jewelry that can become entangled in moving parts.

Do not allow anything to rest on the power cord. Do not locate the My Vision X where people may walk on the cord.

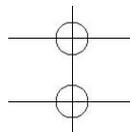
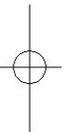
Always unplug the My Vision X before cleaning.

Do not attempt to service or repair the My Vision X, except as instructed elsewhere in this manual.

Attempting to service or repair the external power supply of the My Vision X may expose you to dangerous voltage points or other risks.

Refer all servicing to qualified service personnel.

OPERATOR MANUAL Page 9 General



Advanced Solutions
for Document Processing

My Vision X

1.3 If the Machine is Damaged

Unplug the My Vision X from the wall outlet and refer servicing to qualified personnel under the following conditions:

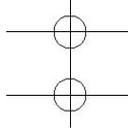
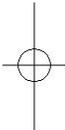
- If the power cord is damaged or frayed.
- If liquid has been spilled into the product.

- If the equipment has been exposed to rain or water.
- If the equipment does not operate normally when the operating instructions are followed.
- If the equipment has been dropped or damaged.
- If the equipment exhibits a distinct change in performance, indicating a need for service.

Adjust only those controls and replace only those items that are covered by the instructions in this manual.

If you attempt to make adjustments not covered in this manual, you may damage the equipment and void the warranty.

Unauthorized adjustments or repairs may result in the need for extensive work by a qualified technician to return the equipment to its proper working condition.

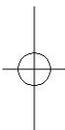


My Vision X

2. Learning About the Panini My Vision X

The Panini My Vision X is a compact, easy-to-use and quiet scanner. The Panini My Vision X automatically scans the front and/or rear of checks while simultaneously capturing the Magnetic Ink Character Recognition (MICR) code line. An optional Ink-Jet endorser prints alphanumeric characters on the rear of items. Any of the Windows standard fonts can be used for printing endorsements. The Panini My Vision X is connected to a PC via a USB2.0 interface.

2.1 Packaging List



The Panini My Vision X package includes: ^{1 2 3 4}

- Operator Manual (1)
- Accessories box (2)*
- Panini My Vision X scanner unit (3)
- Power cable (4)

(*) The accessories box contains:

- Feeder Extension
- Extension plate
- Ink-Jet Cartridge HP C6602A
(Panini P/N: CA-00138-00)
- Ink-Jet Plastic Lever (adapter for HP 51604A cartridge)
- USB 2 Cable
- Power Supply
- #1 Feeder Ring, #1 Front Separator Ring, #1 Rear Separator Ring

Fig.1

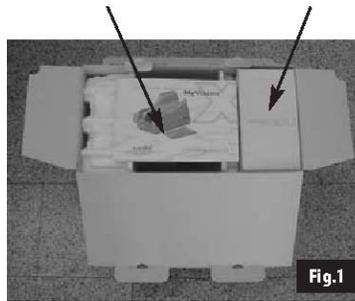
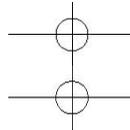
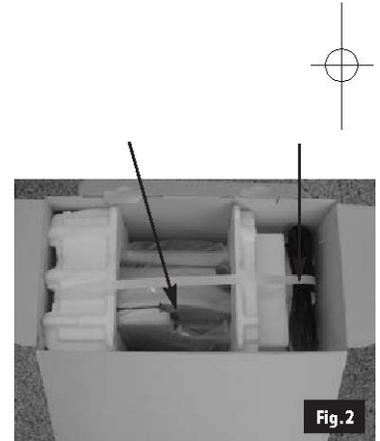


Fig.2



Advanced Solutions
for Document Processing

My Vision X

Removing the Panini My Vision X from the Packaging

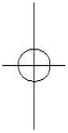
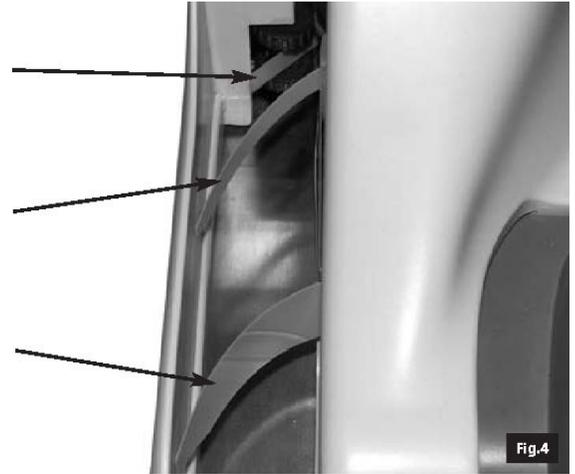
- 1 Remove the Accessories box, the operator manual and the power cable out of the packaging.
- 2 Holding the packaging down with one hand, lift the My Vision X together with the packing materials

Plastic handle making use of the plastic handle (Fig.3).

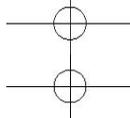


B

A



- Attention:
- Don't use the plastic handle to carry the My Vision X from one place to another. Use it only to extract the device from its packaging.
 - During unpackaging, do not remove or pull the Mylar blades A, B and C (see Fig.4).



Advanced Solutions
for Document Processing

My Vision X

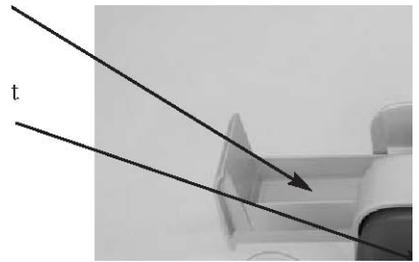
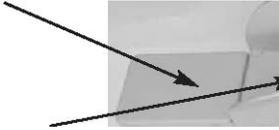
2.2 External Parts Description

This section describes the major components of the Panini My Vision X. The component names introduced here and shown in the figures are used throughout this manual.

Pocket Extension

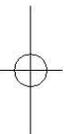
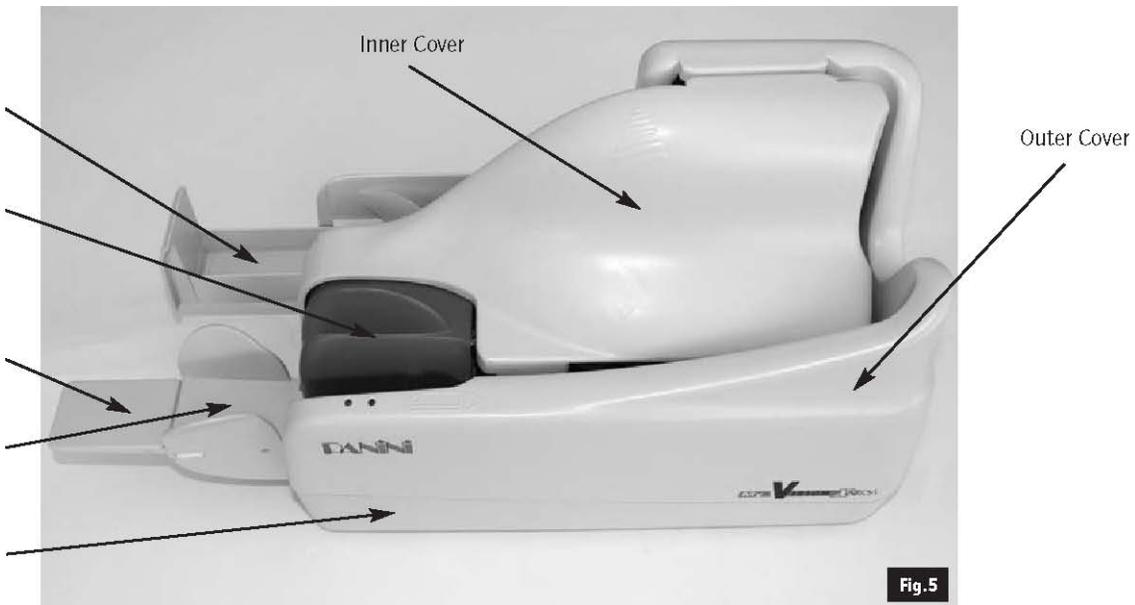
Document Pressure Plate

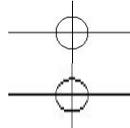
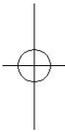
Extension Plate



Feeder Extension

Bottom Cover

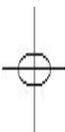


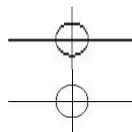
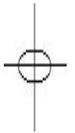
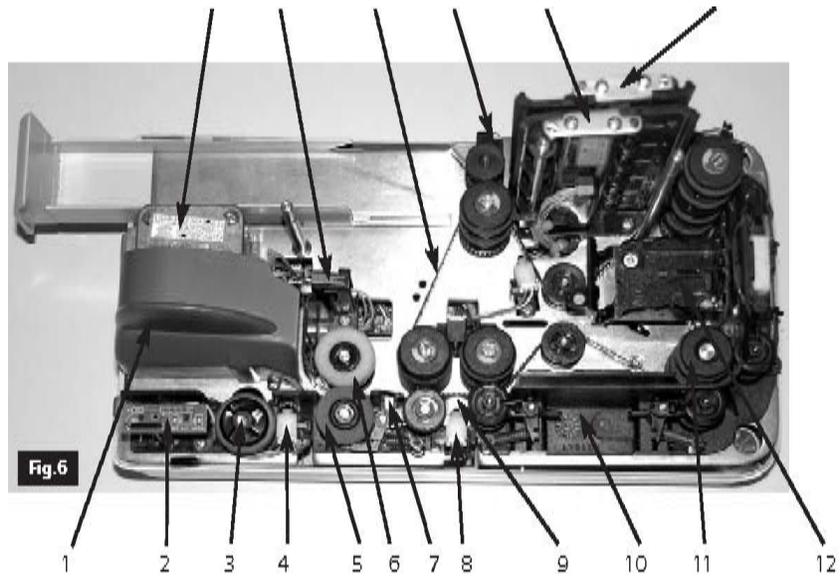


My Vision X

2.3 Internal Parts Description

1	Document Pressure Plate	18	17	16	15	14	13
2	LED and interlock board						
3	Feeder Roller						
4	Feeder Sensor						
5	Separator Roller						
6	Rear Separator Roller						
7	Pre-magnetization Head						
8	Synchronization Sensor						
9	MICR Reading Head						
10	"U" Track Wall						
11	Transport Rollers						
12	Ink-Jet Cartridge Cradle						
13	Front Image Camera						
14	Rear Image Camera						
15	Pocket sensor						
16	Transport Belt						
17	Interlock Board						
18	Feeder Motor						





3. Operating your Panini My Vision X

3.1 Document Support Installation

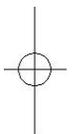
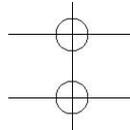
Insert the Feeder Extension in the slot uncovered by pushing back the Document Pressure Plate. Installation is correct if the Feeder Extension is at the same level of the entrance of the scanner platform.



Feeder Extension

Document Pressure Plate

Slot

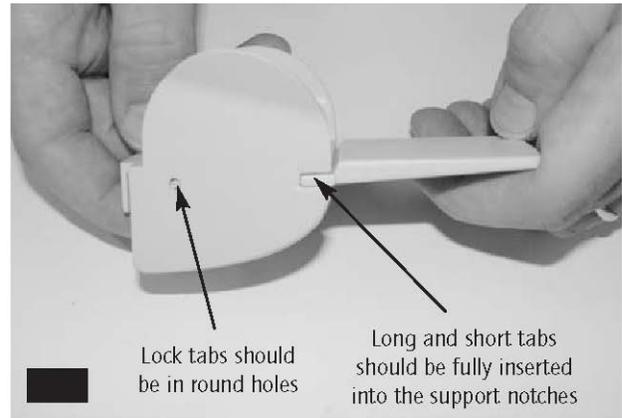
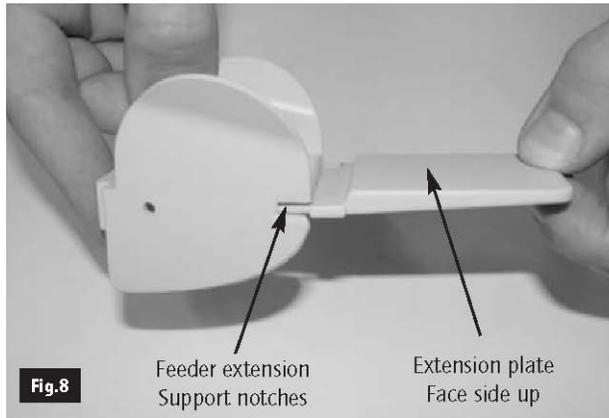


Advanced Solutions
for Document Processing

My Vision X

3.2 Extension Plate Installation

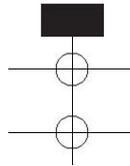
The feeder extension is designed to support all documents anticipated to be processed by the My Vision X. Markets or applications that process a large number of long documents (longer than 8 inches) may find it necessary to apply the optional extension plate for better document support, reducing the risk of image skewing, MICR rejects, etc. Assembly is made by sliding the extension plate, face side up, along the bottom side of the feeder extension into the support notches until the plate snaps into place (Fig.8). The lock tabs should securely fit into the round holes and the short and long tabs should be fully inserted into the support notches (Fig.9).



To remove, firmly grip the feeder extension and the extension plate and pull apart.



Fig.8

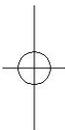


My Vision X

3.3 Power Cable Connection

Before connecting the scanner to your PC, make sure to locate the unit on a flat surface near the PC, away from direct light and from electromagnetic equipment.

- 1 Plug the power cord connector in the Power Supply socket (Fig.10).
- 2 Plug the Power Supply cable in the My Vision X power connector (Fig.11).



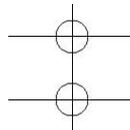
- Warning:
- The electromagnetic emission from a CRT monitor can produce interference and affect the MICR reading; therefore place the My Vision X as far as possible from the CRT.
 - Only use the power supply provided in the Panini My Vision X packaging. Using other power supplies could damage the unit.



3. The My Vision X should be plugged into a dedicated electrical power outlet. The power supply will be 100-240 VAC (no power selection required), and the frequency 50/60 Hz. If you are not sure of the type of power available, consult your Service Representative or local power company.

Note: There is no LED power indication upon connecting the My Vision X. LED status indicators only illuminate when the application connects to the My Vision X unit. See section 4.1.

OPERATOR MANUAL Page 17 Operating your Panini My Vision X



**Advanced Solutions
for Document Processing**

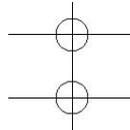
My Vision X

3.4 USB 2 Cable Connection

Connect the USB 2 cable to the USB 2.0 port located on the rear side of the scanner, then connect the other end of the cable to an available USB 2.0 port on the PC.



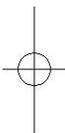
USB 2 cable



My Vision X

3.5 HP C6602A Ink-Jet Cartridge Installation

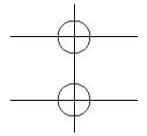
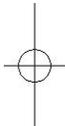
Remove the inner cover (*see section 5.1 for details*). Take a new Ink-Jet cartridge out from its package. Do not touch the ink with your fingers or clothing: it will stain. Angle the front side of the cartridge downwards and face the two pins with the two holes in the cradle. Gently push down the rear side of the cartridge until it snaps in the plastic retainer.



Plastic retainer



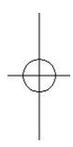
Cartridge cradle



My Vision X

3.6 HP 51604A rev.B Ink-Jet Cartridge Installation

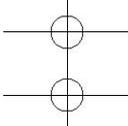
Remove the inner cover (see section 5.1 for details). Take the additional plastic lever from the packaging, install it on the left side of the cartridge cradle and pull it down. Take a new Ink-Jet cartridge out from its package. Do not touch the ink with your fingers or clothing: it will stain. Gently insert the Ink-Jet cartridge against the holder and pull up the plastic lever to lock the cartridge in place.



Ink-Jet cartridge HP 51604A rev B PANINI
P/N: BA-00037-01

Additional Plastic Lever

Cartridge cradle

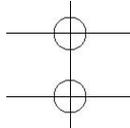
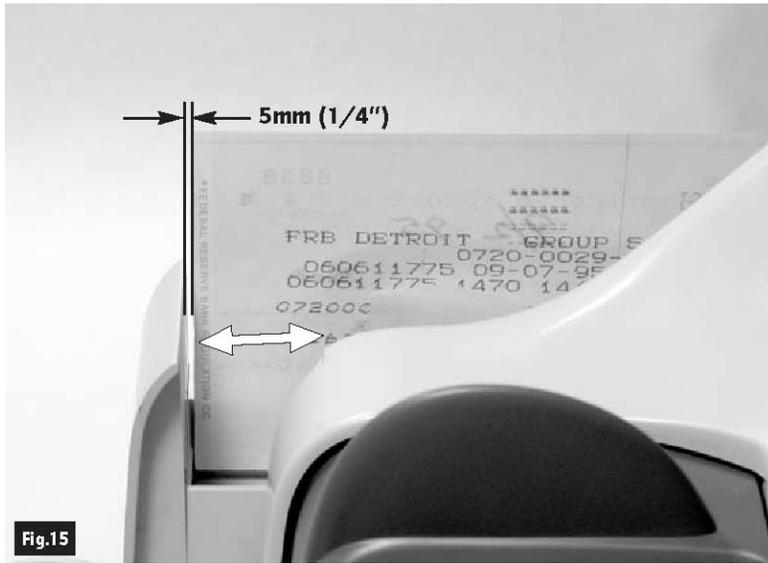


My Vision X

3.7 Pocket Length Adjustment

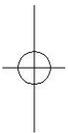
Adjust the pocket length by inserting the longest document that will be processed in the pocket. Move the pocket extension left or right until a space of 5 mm (1/4") is available between the leading edge of the document and the end of the pocket extension.





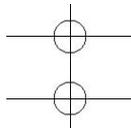
Advanced Solutions
for Document Processing

My Vision X



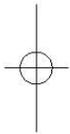
- 1 Turn on the PC.
- 2 Start the My Vision X application (see note).
- 3 Follow the My Vision X application instructions.
- 4 Load your checks.

Note: An application must be started before you begin to process documents. When the application starts, the My Vision X turns on which is indicated by the green led in the outer cover. If it is your job to start the application, refer to the documentation supplied with the application by the vendor. Normally, the My Vision X will automatically go on-line when the control application starts, and goes offline when the control application shuts down. If you want to force the reader to go offline even when the application is on, press the rear button switch for at least one second; at this point, the motor will briefly buzz and the green LED will turn off. To put the reader back on-line (only if the application is still running), press the button switch again for at least one second; the motors will briefly buzz and the green LED will turn on. Normally, this operation is allowed only when the My Vision X is idle and will be ignored if the reader is working. Pressing the button switch when the green LED is off will have no effect.



4.1 Status Lights

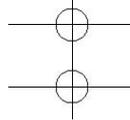
Two status lights located near the feeder indicate the status of the unit. The following table describes the meaning of each status light.



Red LED	Green LED	Description
Off	Off	The My Vision X is offline
Off	On	The My Vision X is online and the feeder is empty
Off	Blinking	The My Vision X is online and the feeder contains documents ready to feed
On	Off	Interlock switches are activated and an external plastic cover is removed
Blinking	Off	Jam on the transport track



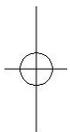
Note: There is no LED power indication upon connecting the My Vision X. LED status indicators only illuminate when the application connects to the My Vision X unit.

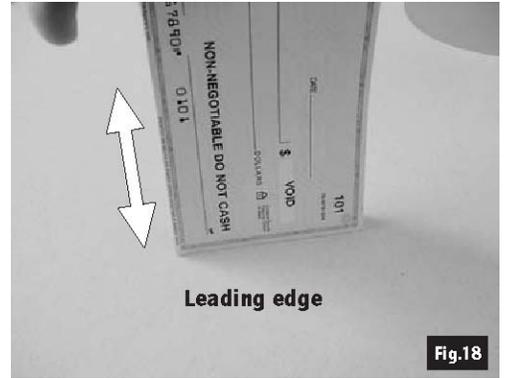
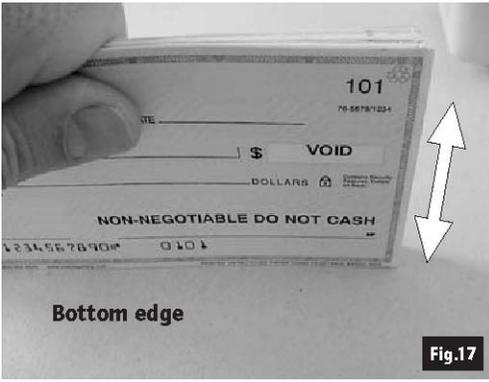


4.2 How to Prepare and Load Checks

Preparing Documents for Processing

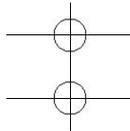
- 1 Remove all rubber bands, staples, paper clips, dog ears, etc. from the documents.
- 2 Jogging the documents is strongly recommended. In any case, align the bottom edges by repeatedly tapping the bottom edge of the documents on a hard, flat surface, see Fig.17.
- 3 Repeatedly tap the leading edge of the documents on a hard, flat surface, see Fig.18.
- 4 Check bottom and leading edges once more to ensure documents are aligned.





Tip: Use a mechanical jogger device for faster and more accurate alignment of bottom and leading edges.

OPERATORMANUAL Page 24 Getting Started



Advanced Solutions
for Document Processing

My Vision X

You may feed documents one at a time or in batches of up to 30 by inserting the documents all the way into the feeder. (Fig.19).The documents must be inserted into the feeder so that the leading edge fits between the two black lines shown in Fig.20.

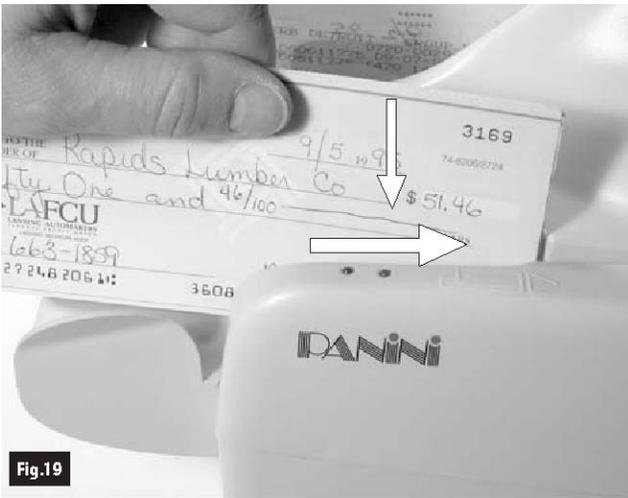
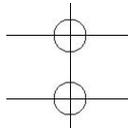


Fig.19



Do not insert the checks past the rollers.



**Advanced Solutions
for Document Processing**

Batches greater than 30 to 100 checks require the pressure plate be pushed back before inserting checks into the feeder. To prevent misfeeding, do not insert more than 100 documents into the feeder. Leave at least 2 mm (1/8") between the last document and the pressure plate in the maximum backwards position. The leading edges of the documents should be aligned as described in the previous page.

Document Feeder Options

My Vision X

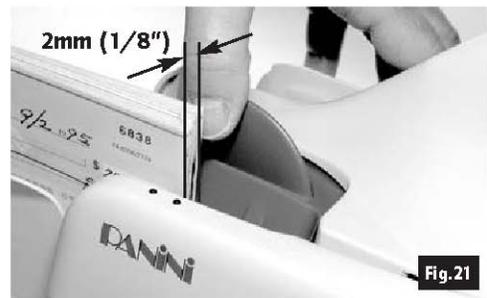


Fig.21



Document Feeder Options

Depending on the configuration ordered, two feeder types are available:

1. *Standard Feeder Option:*

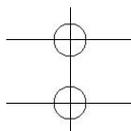
Designed for single document automatic insertion.

Holds up to 30 documents for automatic batch one hand insertion (without moving the pressure plate).

Holding up to 100 documents by pushing back the pressure plate before inserting checks into the feeder.

2. *Limited Feeder Option:* Causes the automatic document feeding operation to stop, followed by a system warning message, after 30 consecutive documents have been processed, according to the ordered configuration. The feeder sensor must then be cleared by removing the documents from the feeder and then repositioning and restarting the application. All other features are the same as the standard feeder.

Note: This option is reset if the feeder is emptied before the 30 document limit is met for the 30 documents limited feeder.

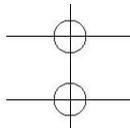
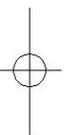




Advanced Solutions
for Document Processing

My Vision X

The feeder is designed so that checks can be loaded continuously, while the scanner is processing. This can be done by inserting checks behind those already present in the feeder.



Removing Documents from Pocket

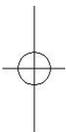
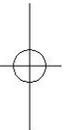
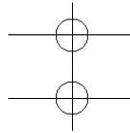
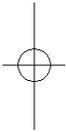
Processed documents are sent to the exit pocket. For

best result, follow these recommendations:

Remove the documents when the pocket is nearly full. Jams occur when the pocket is too full. No “pocket-full” sensor is available.

Occasionally verify that the endorsements are clearly printed.

Occasionally verify that the images are being properly captured and that the image quality is good.

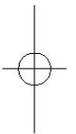
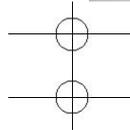
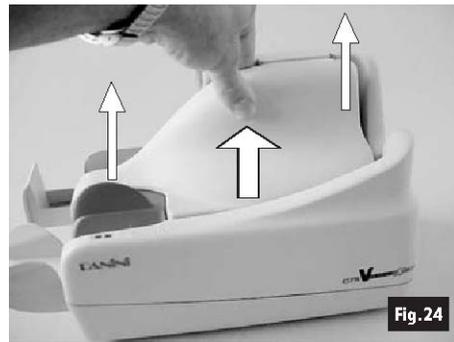
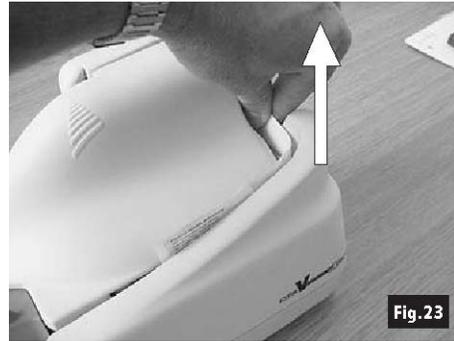


4.3 Clearing Jams

When a jam occurs, the paper path must be cleared. To do this, first remove all the documents from the exit pocket and then free the track by pressing Eject in your application. In case of unsuccessful

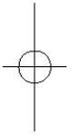
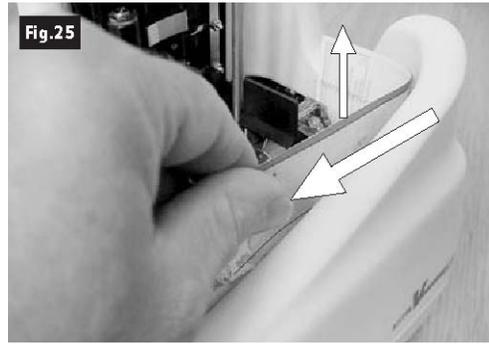
operation, apply the following suggestions:

- 1 Extract the jammed document simply by pulling it out with your fingers (see Fig.23).
- 2 If the document does not pull out , lift the inner cover at the point indicated by the ribbed surface as shown in Fig.24.
- 3 Grab the document with your fingers to remove it from the transport. (See Fig.25).
- 4 After the jam is removed, install the inner cover by following the instructions below:

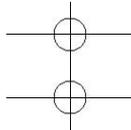


Advanced Solutions
for Document Processing

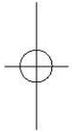
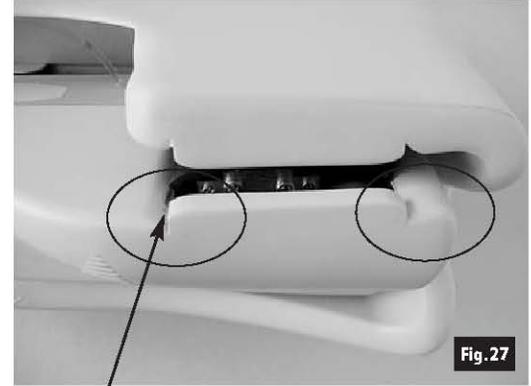
My Vision X



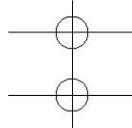
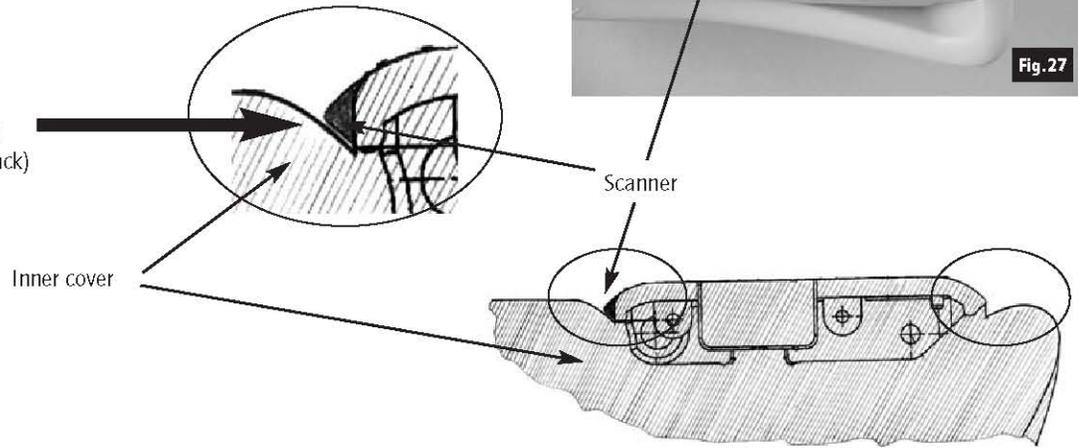
- a. Open the pocket extension.
- b. Insert the two reference shafts in the corresponding housings found in the inner cover (See Fig.26).
- d. Check the exit pocket to ensure that the two plastic springs are aligned properly as shown in Fig.28.

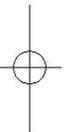
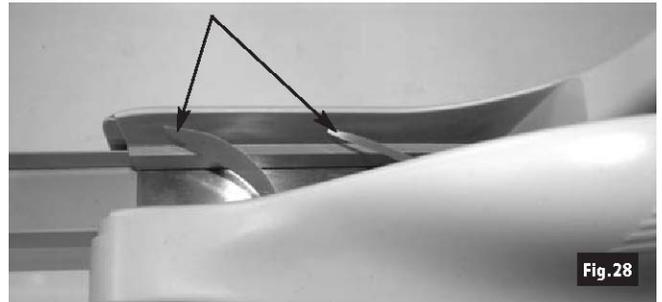


- c. Push down the inner cover until it is back to its original position. Take care to ensure that the inner cover stays behind the scanner, which is indicated by a black area (see Fig.27).

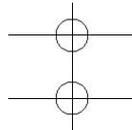


The inner cover (grid) must be inserted behind the scanner (black)



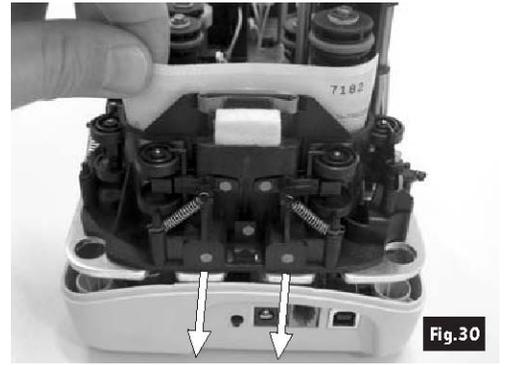


- 1 In the event that the outer cover has to be removed, first disconnect the USB and power cables and then lift the outer cover as shown in Fig.29.
- 2 To remove the “U” track wall see Fig.30. Please follow the instructions listed in chapter 5.1.2.
- 3 If the jam occurs in the image camera area, it is advisable to open the front image camera (see Fig.31) so that the document can easily be removed.

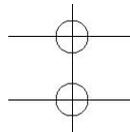
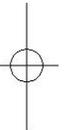
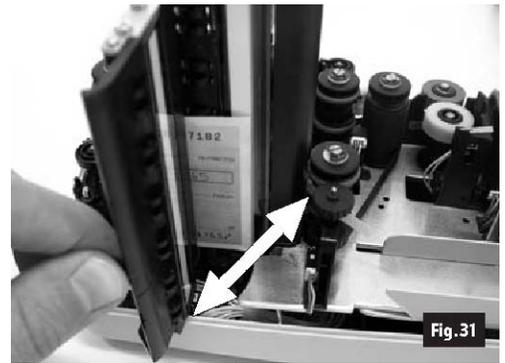


Advanced Solutions
for Document Processing

My Vision X



Close the image camera carefully. Don't allow the spring to snap it closed.



**Advanced Solutions
for Document Processing**

My Vision X

- 1 Insert the outer cover by aligning the two shafts with the holes in the bottom cover of the unit (Fig.32). Insert the two teeth located on each side of the outer cover in the bottom cover and lock it (Fig.33 and 34).
- 2 Reconnect the USB and power cables.

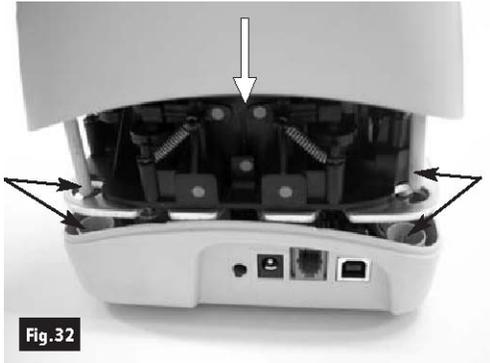


Fig. 32

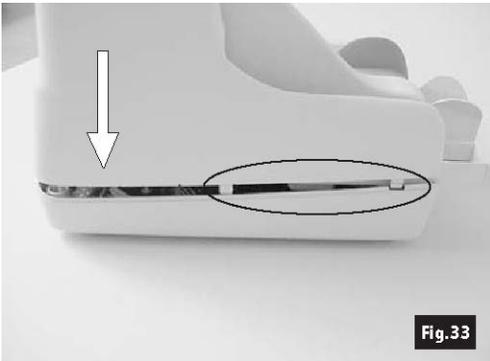
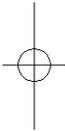


Fig. 33

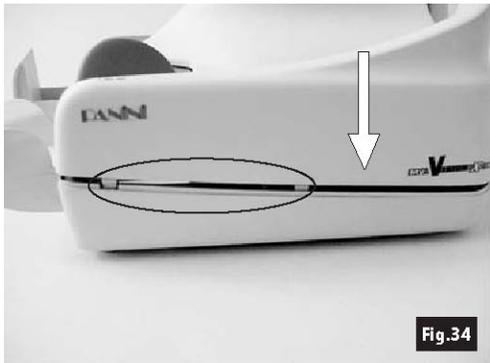
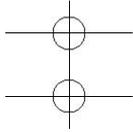


Fig. 34



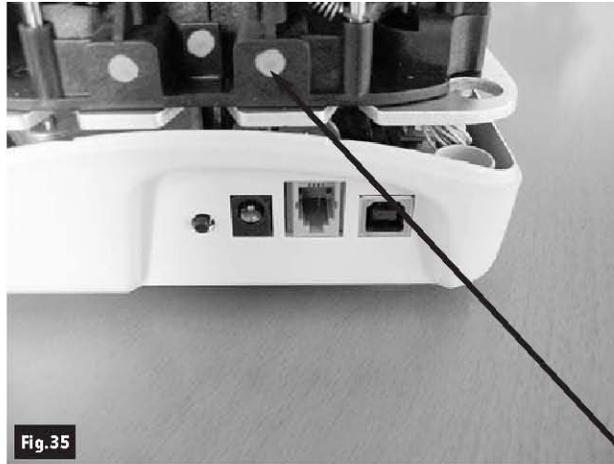
Advanced Solutions
for Document Processing

My Vision X

5. Maintenance

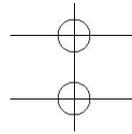
Warning: Before doing maintenance, remember to disconnect the USB 2 and power cables from the device.

Note: The parts accessible to the operator for cleaning or jam removal are identifiable by green stickers.



Green stickers

OPERATOR MANUAL Page 35 Maintenance



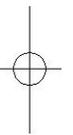
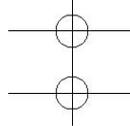
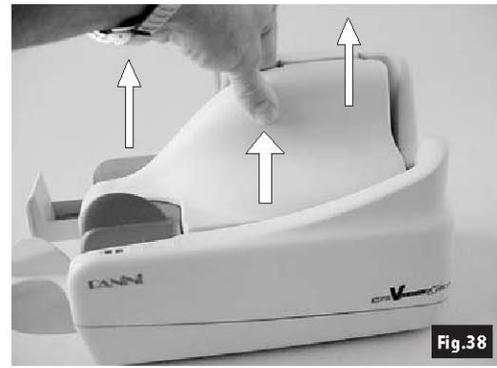
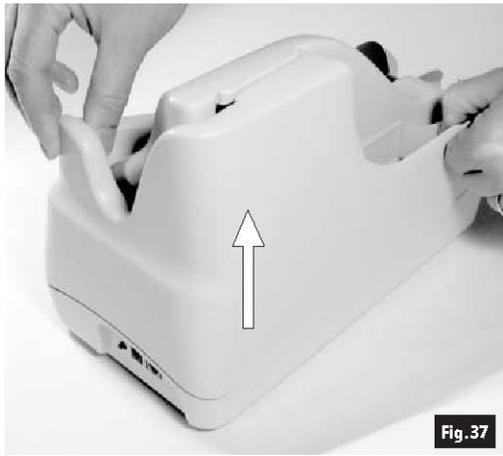
My Vision X

5.1 Cleaning the Transport

Dust, lint and small particles can get into the track area. Clean this area as follows:

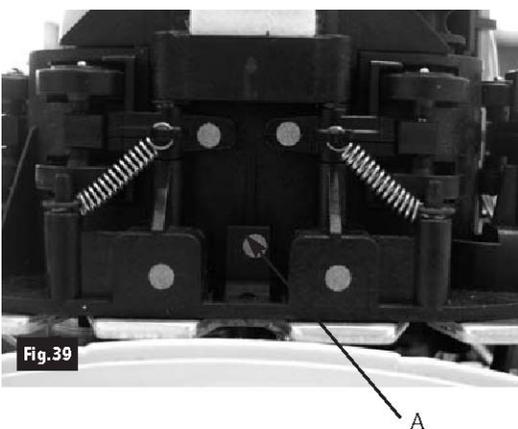
- 1 Remove the inner and outer covers by pulling up on the covers as illustrated below.
- 2 To remove the U-track, pull back on lever (A) away from unit (Fig.39). The Fig.40 shows how to pull the lever and remove the U-track.
- 3 Inspect and clean the entire track area from beginning to end.
- 4 Remove staples, paper clips, rubber bands, and pieces of paper that may have accumulated during use.
- 5 Using a container of canned air and nozzle, spray the track area and check entrance.
- 6 To reinstall the U-track insert the two teeth "C" in the rail "D" (Fig.44), and align the U-track (Fig.41). Push back the U-track (Fig.45) until the lever "E" (Fig.41) locks the unit in place. Make sure that the pin "B" (Fig.43) is inserted in the receptacle "A" (Fig.42).

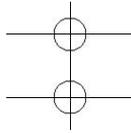
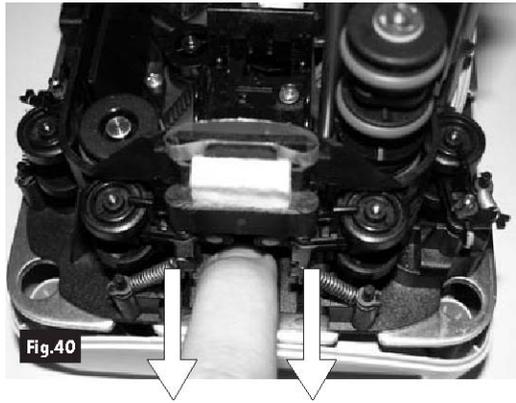




DANNI[®] Advanced Solutions
for Document Processing

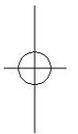
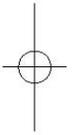
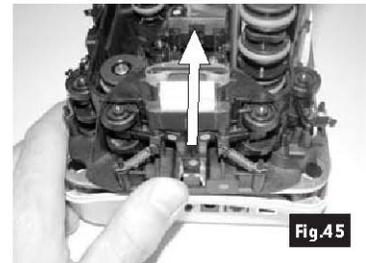
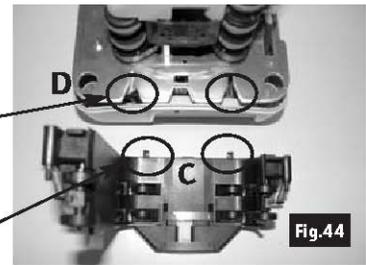
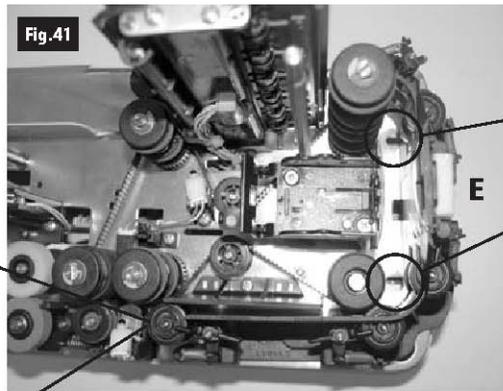
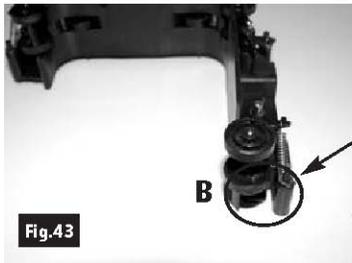
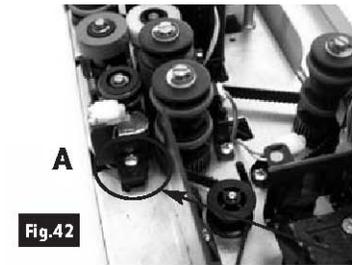
My Vision X

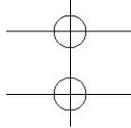




Advanced Solutions
for Document Processing

My Vision X



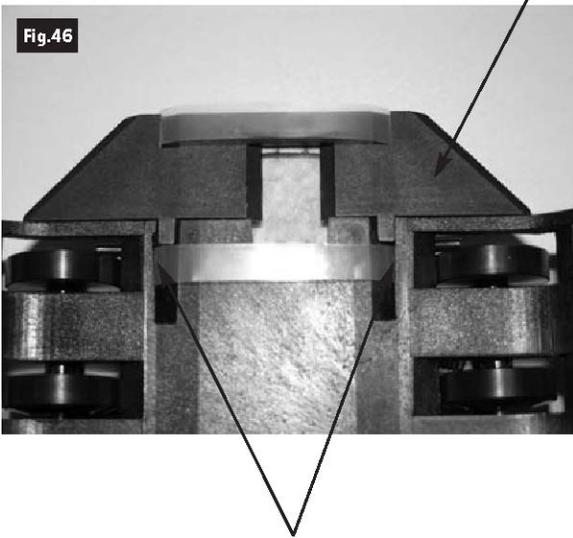


Advanced Solutions
for Document Processing

My Vision X

Note: If the blotting pad housing assembly. (A) comes away from the U-track, insert the low mylar spring in the lateral slots (B) and the pad housing in the reference pins (C). Gently press down until the pad housing stops on the top of the U-Track wall.

A



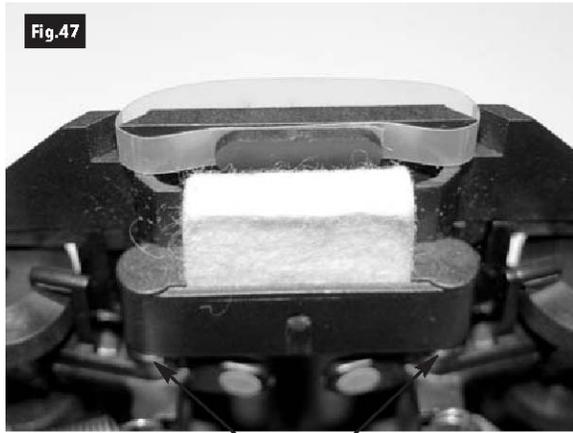
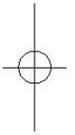
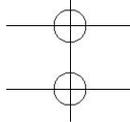


Fig.47

B

C



Advanced Solutions
for Document Processing

My Vision X

5.2 Cleaning the Contact Image Sensors

- 1 Gently open the front image camera (Fig.48) and remove any debris and dust.
- 2 Clean the Contact Image Sensors with a soft, lint-free cloth dampened with Isopropyl Alcohol or with eye glass cleaner (Fig.49).

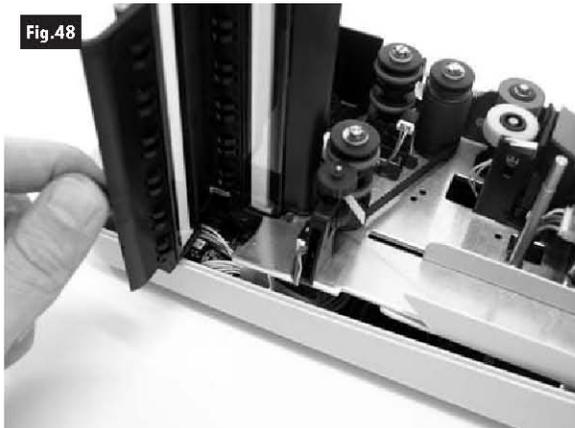


Fig.48

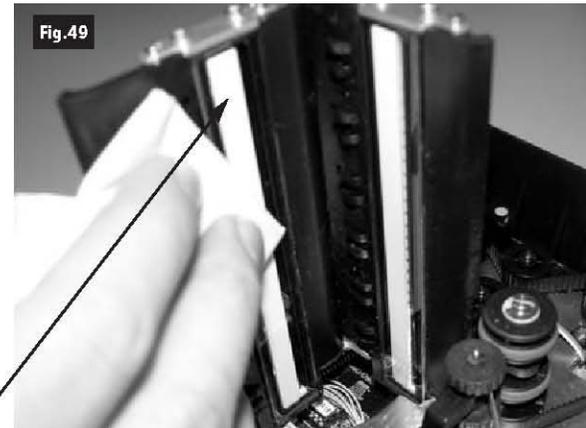
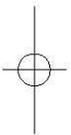
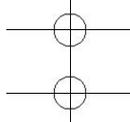


Fig.49

Contact Image Sensor (CIS)



Advanced Solutions
for Document Processing

My Vision X



5.3 Cleaning the HP C6602A Ink-Jet Cartridge

Fibers, such as cotton or paper, dried ink plugs or crust, or excess ink puddles on the nozzle plate can obstruct ink droplets or cause ink droplets to deflect from the desired trajectory, resulting in a degraded print quality.

When this occurs:

- 1 Open the inner cover.
- 2 Remove the print cartridge by pushing down the plastic retainer (Fig.50).
- 3 Dampen a clean, lint-free cloth with deionized (or distilled) water.
- 4 Hold the dampened cloth in contact with the nozzles for a few seconds.
- 5 Then gently wipe the nozzle plate in the direction of the paper movement. Do not wipe the electrical contact area.
- 6 If ink remains on the nozzle plate wipe again with a clean dry lint-free cloth.
- 7 Reinsert the cartridge.
- 8 Replace the inner cover.

Fig.50



Remove the Ink-Jet cartridge when transporting the unit and when the unit is not used for long periods. In case the scanner is not used regularly, periodically clean the Ink-Jet nozzles with a lint-free cloth.

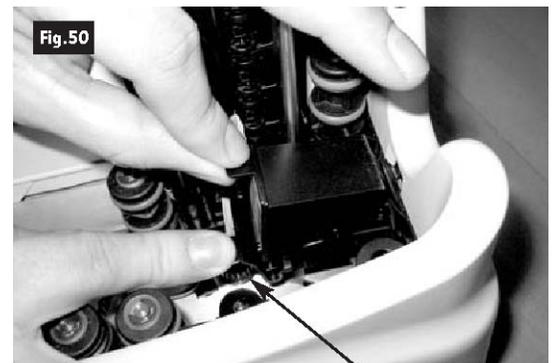
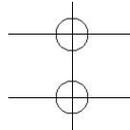


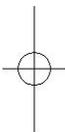
Fig.50

Plastic retainer



Advanced Solutions
for Document Processing

My Vision X



5.4 Cleaning the HP 51604A rev.B Ink-Jet cartridge

Fibers, such as cotton or paper, dried ink plugs or crust, or excess ink puddles on the nozzle plate can obstruct ink droplets or cause ink droplets to deflect from the desired trajectory, resulting in a degraded print quality.

When this occurs: 1 Open the inner cover. 2 Remove the print cartridge by pulling down the small plastic lever. 3 Dampen a clean, lint-free cloth with deionized (or distilled) water. 4 Hold the dampened cloth in contact with the nozzles for a few seconds (Fig.51). 5 Then gently wipe the nozzle plate in the direction of the paper movement. Do not wipe the electrical contact area. 6 If ink remains on the nozzle plate wipe again with a clean dry lint free cloth. 7

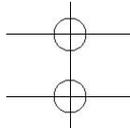
Reinsert the cartridge by pushing it into holder and then pull the small plastic lever all the way up using the tab provided. 8
Replace the inner cover

Fig.51



Remove the Ink-Jet cartridge when transporting the unit and when the unit is not used for long periods. In case the scanner is not used regularly, periodically clean the Ink-Jet nozzles with a fiberless cloth.

OPERATORMANUAL Page 42 Maintenance

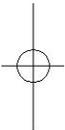


Advanced Solutions
for Document Processing

My Vision X

5.5 Cleaning the Photocell Detectors

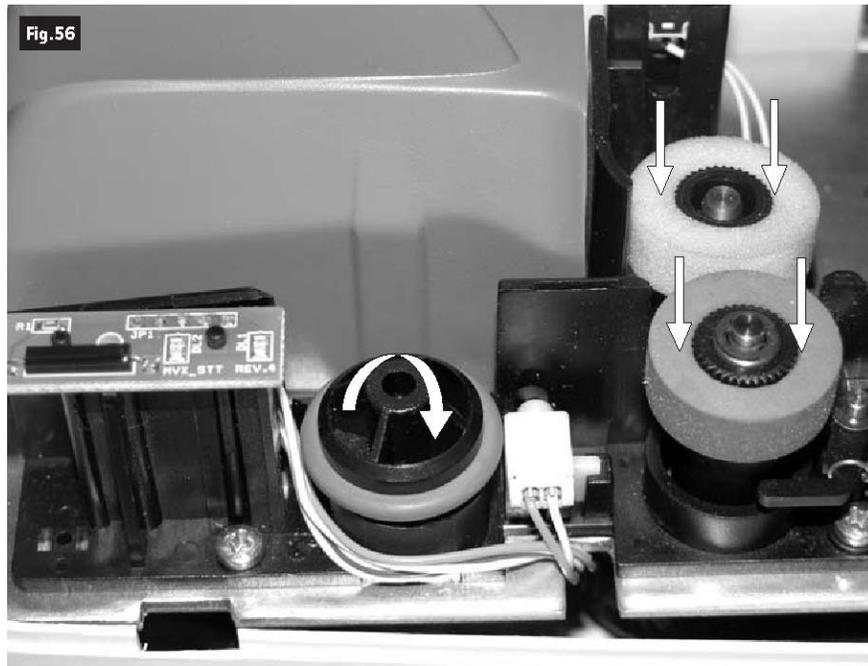
The six photocells (emitter and receiver) are identified with black circles in Fig.52 below. Using a container of canned air and nozzle, spray the sensors to remove any dust. Also a dry soft cloth can be used.





Advanced Solutions
for Document Processing

My Vision X

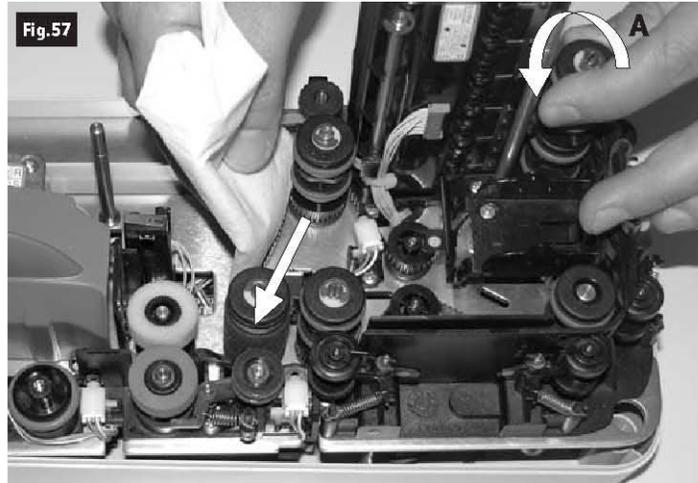


Advanced Solutions
for Document Processing

My Vision X

5.7 Cleaning the Reading Transport Belt

If an increase in the number of MICR (Magnetic Ink Characters Recognition) rejects is noticed, it may be necessary to clean the surface of the reading transport belt to remove extraneous magnetic ink or iron dust. Clean the external surface of the belt with a soft, lint-free cloth, dampened with Isopropyl Alcohol. Turn pulley "A" counterclockwise to move the belt in the direction of the arrow and clean the entire belt surface.



Advanced Solutions
for Document Processing

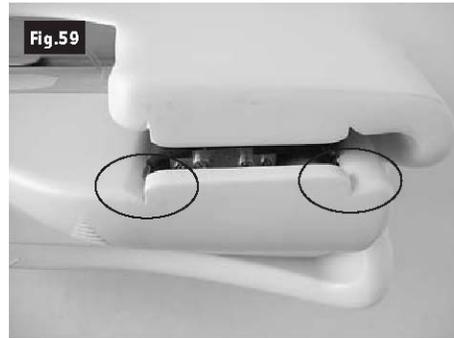
My Vision X

5.8 Install the External Covers

Install the inner cover following the instructions below:

- 1 Open the pocket extension.
- 2 Insert the two reference shafts in the corresponding housings found in the inner cover (Fig.58).

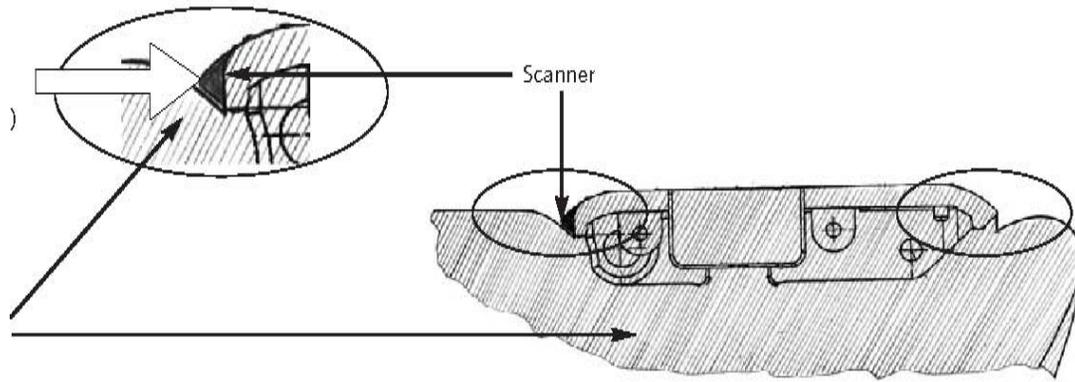
3 Push down on the inner cover until it stops, ensuring that the inner cover stays behind the scanner (black area) (Fig.59).



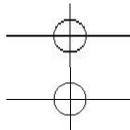
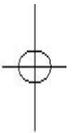
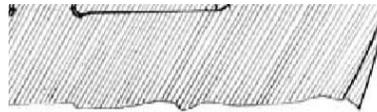
My Vision X

The inner cover (grid) must be
Scannerinserted behind the scanner (black)

Inner cover

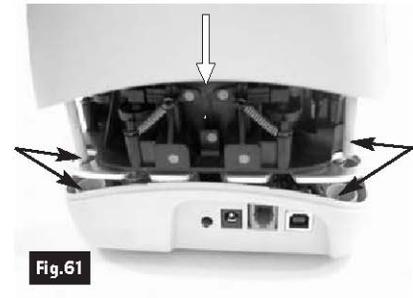


- 1 Check the exit pocket to ensure that the two plastic springs are properly aligned as shown in Fig.60.
- 2 Insert the outer cover by aligning the two shafts with the two holes in the bottom cover of the unit (Fig.61). Push the cover down.
- 3 Insert the two teeth located on each side of the outer cover in the bottom cover and lock it see Fig.62 and 63.

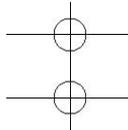
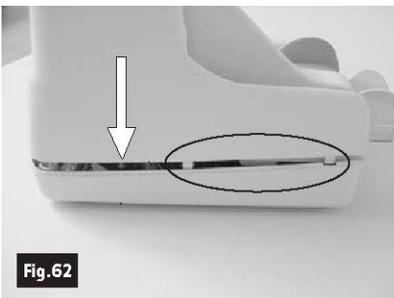
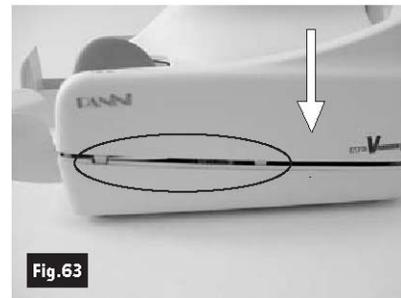
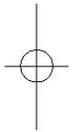
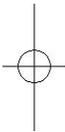


My Vision X

Insert the outer cover by aligning the two shafts with the two holes in the bottom cover of the unit (Fig.61). Push the cover down.



Insert the two teeth located on each side of the



My Vision X

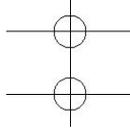


6. Specifications

6.1 Technical Specifications of the Panini My Vision X

PERFORMANCE	Various models processing up to 30 dpm, 60 dpm, or 90 dpm with a USB 2.0 interface
AUTOMATIC DOCUMENT FEEDER	<p>3 mode feeder:</p> <ul style="list-style-type: none">- Single document automatic insertion- Capacity of up to 30 documents for automatic batch one hand insertion- Capacity of up to 100 documents, with pressure plate <p>Limited feeder options available</p> <p>Double feed detection</p> <p>Auto-tuning separator rollers designed to process varied thickness of documents and to compensate wear</p>
POCKET DOCUMENT SPECIFICATIONS	<p>A single exit pocket capable of holding 100 documents</p> <p>Height: Min: 54 mm (2.12") - Max: 106 mm (4.17")</p> <p>Length: Min: 80 mm (3.14") - Max: 235 mm (9.25")</p> <p>Weight: Min: 60 gr/m² (16 #) - Max: 120 gr/m² (32 #)</p>
INTERFACE	<p>USB2.0 port/Backward compatible with USB1.1</p> <p>RS232 Port for external device connection. SW/FW developments on request</p>
MAGNETIC READER	<p>E13B /CMC7/Autorecognition</p> <p>Panini MICR Plus™ exclusive technology</p>
IMAGE CAPTURE	<p>Scanning: Contact Image sensors (CIS) technology (front and back)</p> <p>Image format: Bitmap in B/W, 256 shades of gray, TIFF, TIFF Multipage, Image compression: JPEG and Group IV</p> <p>Image resolution: 100 or 200 dpi</p> <p>Advanced dynamic thresholding</p> <p>Dual Image: 4 images in one document pass</p>
FAST COLOR (optional)	<p>Color images at 200 dpi and full DPM speed, images available in JPEG format for archiving purposes or BMP for color OCR recognition</p> <p>Red, green or blue drop-out acquisition</p>
OPERATOR MANUAL	Page 50 <i>Specifications</i>





**Advanced Solutions
for Document Processing**

My Vision X



SOFTWARE TOOLS Panini Vision API running on: Windows 2000 SP3 and Windows XP SP1 or higher with USB2.0 or with USB1.1 at reduced performance
Windows NT 4.0 SP6 with USB1.1

ICR Vision function for image snippet definition & download; Easy integration of ICR/Barcode/OCR recognition technology

INK-JET PRINTER Rear Ink-Jet printer Printing capability: Single line, Alphanumeric characters, all MS Windows fonts Printed information captured by the image

OCR Recognition (optional) OCR-A, OCR-B, E13B recognition engine

Barcode Recognition CODE 39, CODE 128, INTERLEAVED 2/5, EAN8, EAN13, UPCA, UPCE

DIAGNOSTIC FEATURES On board Diagnostics: Tests the functionality of the scanner Power-on Self Testing: Automatic self testing and photocells calibration when powering the unit

MAINTENANCE Maximum accessibility to every component to minimize MTTR

Total access to scanner and track area
Firmware upgradable via PC

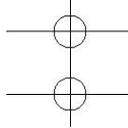
POWER SUPPLY INPUT
VOLTAGE Autosensing from 100 to 240 VAC,
50 to 60 Hz

DEVICE INPUT VOLTAGE 30 VDC +_ 20%

OPERATING CONDITIONS Temperature: 15 ÷ 35°C
Humidity: 20 ÷ 80% R.H. Non-Condensing

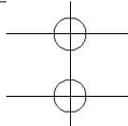
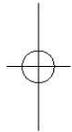
DIMENSIONS	Height	Width	Length	Weight
	175 mm (6.88")	138 mm (5.43")	264 mm (10.39")	2.5 Kg (5.51#)





- 1 *Technical Specification of the PC*
- 2 *My Vision X SD Addendum*

Panini Vision API running on: Windows 2000 SP3 or Windows XP SP1 or higher with USB2.0 or USB1.1 port Windows NT 4.0 SP6 with USB1.1	
30 dpm and 60 dpm Models	
<i>Recommended</i>	<i>Minimum (to obtain max performance)</i>
1 GHz Pentium IV processor	500 MHz Pentium III processor
256 MB RAM	128 MB RAM
200 MB free disk space	200 MB free disk space
USB2.0 port	USB2.0 port
90 dpm Models	
	1.2 GHz Pentium III processor
	256 MB RAM
	200 MB free disk space
	USB2.0 port



This addendum provides specific product details related to the Panini My Vision X SD. This highlights product characteristics that vary from the information in the Operator Manual.

My Vision X SD Packaging List ** Replaces section 2.1

The package includes:

- 1 Operator Manual
- 2 Accessories box (*)
- 3 My Vision X SD scanner unit
- 4 Power Cable

(*) The accessories box contains:

- Feeder Extension
- Extension plate
- Ink-Jet Cartridge HP C6602A
- USB 2 Cable
- Power Supply
- #1 Feeder Ring
- Ink-Jet Plastic Lever (adapter for HP 51604 cartridge)

** Adjustment to section 3.1



The installation procedure for inserting the document feeder extension on a SD machine varies slightly as the Document Pressure Plate has a fixed position and can not be pushed backwards. The Feeder Extension is simply inserted into the available slot. Installation is correct if the Feeder Extension is at the same level of the entrance of the scanner platform.

How to Prepare and Load Checks ** Adjustment to section 4.2

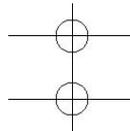


The SD scanner unit is designed for single document processing exclusively. All references to preparing and processing batches of multiple items in this section is not relevant to the SD version of the My Vision X. Inserting multiple items into the feeder of a SD scanner unit will cause multiple documents to be fed or document jams to occur.

Replacing the Feeder and Separator Rollers ** Adjustment to section 5.6

Please note that the SD scanner unit is not furnished with front and rear separator rollers. The addition of which is not needed when processing one item at a time. As such, the instructions for replacing these rings are irrelevant with reference to the SD scanner unit.

OPERATOR MANUAL Page 53 My Vision X SD Addendum



**Advanced Solutions
for Document Processing**

My Vision X

8. My Vision X AGP Addendum

This addendum provides specific product details related to the My Vision X AGP model. This information highlights product characteristics that vary from the information in the Operator Manual.

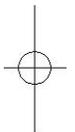
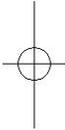
AGP Packaging List ** Replaces section 2.1

The Panini My Vision X AGP package includes: (*) The accessories box contains:

- Feeder Extension & Extension plate

- 1 Operator Manual • USB 2 Cable
- 2 Accessories box (*)
 - Power Supply
 - #1 Feeder Ring, #1 Front Separator Ring,
- 2 Panini My Vision X AGP scanner unit #1 Rear Separator Ring
- 3 Power Cable • Panini cleaning cloth (Panini P/N: GS-00020-00)
- 4 Ink-Jet Cartridge HP Q2344A (Black 1918 Dye) (Panini P/N: CA-00140-00)

Ink-Jet Cartridge Installation ** Replaces section 3.5 and 3.6



The following steps indicate how to install the My Vision X AGP Ink-Jet cartridge. Use only HP Q2344A cartridges (Black 1918 Dye) (Panini P/N: CA-00140-00)

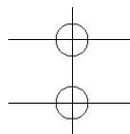
Remove the new print cartridge from its package, and gently remove the transparent tape covering the ink nozzles, being careful not to touch the ink nozzles and electrical contacts.

Remove My Vision X inner cover (see section 4.3)

Push the new cartridge down firmly into its cradle slot, and close the rear cradle lever.

Insert the inner cover

OPERATORMANUAL Page 54 My Vision X AGP Addendum



Advanced Solutions
for Document Processing

My Vision X

Cleaning the Contact Image Sensors ** Addition to section 5.2

In addition to following the basic cleaning instructions provided in section 5.2 of the Operator Manual, Panini recommends that you occasionally inspect the images for the presence of any streaking due to residual ink on the Contact Image Sensors (CIS) glasses. If so, use the Panini cleaning cloth (Panini P/N: GS-00020-00) to clean the CIS surface

Cleaning the Ink-Jet Cartridge ** Replaces sections 3.5 and 3.6



During printing ink- spray, paper fibers and dust can build up on the print cartridge. These can eventually degrade the print quality. When this occurs:

- Open the inner cover

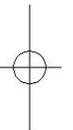
- Open the rear cradle lever and remove the print cartridge

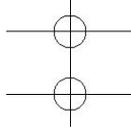
- Use the Panini cleaning cloth (Panini P/N: GS-00020-00) or a wet lint free cloth (de-ionized water is best) wipe slowly across the long-axis with the print cartridge facing down (as shown). The damp cloth should draw ink from the cartridge flushing out the nozzles. Do not apply excessive force, as this could scratch the nozzle area

- Insert the print cartridge

- Insert the inner cover

Purging the Nozzles: If the print cartridge sits inactive for a period of time, ink may dry in the nozzles. Dried ink clogging a nozzle is called an ink plug. As a result of the ink plug, white streaks will be visible in the printed text or graphic on the document. Printing alone may not remove ink plugs from the nozzles. To obtain better print quality, purge the ink plug. This is accomplished by performing the cleaning process described earlier, the Ink being pulled from the cartridge will flush the nozzles out. Then print a few lines of text or graphics.

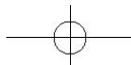
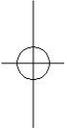




Advanced Solutions
for Document Processing

My Vision X

Notes:



U.S. Department of the Treasury

Financial Management Service

Paper Check Conversion Over the Counter
(PCC OTC)



Standard Operating Procedures
Queue Interface

Release 5.4

November, 2007
Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
11/07		Original document	

Table of Contents

Queue Interface Purpose.....	4
Queue Interface Purpose.....	4
Installing the Queue Interface	5
Queue Interface Configuration Permission.....	5
The Queue Interface Configuration.....	5
Exceptions	7
Configuration Problems	7
Audit Log Entries for Unsuccessful synchronization of the Queue.....	8
Enable the Queue Mid-batch	8
Effects of the P O S uninstall on the Queue Interface.....	8
Determining if Queue Interface has been Installed	8

Queue Interface Purpose

The purpose of the Queue Interface is to enable interaction between the PCC OTC application and Military Agency's internal systems. The Queue Interface will be used by Military Agencies that utilize the DDS (Deployable Disbursing System) database bridge. It provides a single transaction input point, and the ability to store information from both applications on a single computer so they can share common data. Additional Information includes:

- The P O S feeds data one way to the Queue Interface.
- Data is sent to the queue when the following actions occur:
 - Items captured at individual level regardless of mode.
 - Item modification either through P O S or Batch Manager.
 - Changing of batch status when batch status is changed to closed or sent.
 - Modification of batch totals after a batch has been closed.
 - Void items.
 - Open batch.
- The P O S does not log any action that has been successfully sent to the Queue Interface.
- After a batch is closed and data is changed, the changed batch data and the changed item data will be sent to the queue.
- Once an Agency's Queue Interface is enabled, all transactions processed after enablement are assumed to be sent to the queue for Agency access.
- If a batch is retransmitted, no items will be sent to the queue.
- Only successfully processed P O S transactions will be sent to the queue.
- Changes to peripherals are out of scope.
- No interaction is expected between the P O S and SVC (Stored Value Card).

Installing the Queue Interface

The Queue Interface is installed during the installation of the P O S software. During the install process, a question appears asking if you want to install the Queue Interface as displayed in Figure 13.1.



Figure 13.1

Military Agencies using the DDS database should respond with **'Yes'** to install.

Queue Interface Configuration Permission

Once installation is complete, a new permission in the S A T will be available to allow access to the Queue Interface configuration screen. This permission is required to configure the Queue Interface. By design, it is not assigned to a particular role. The P O C must decide who will be responsible for the Queue Interface configuration. This can be accomplished by assigning the permission to either an existing role, or creating a new role that includes this functionality (along with Configure System), and assigning the new role to one or more users. For more information on how to add permissions to roles, see the S A T chapter of this S O P. Additional Information regarding the Queue Interface permission includes:

- The Queue Interface configuration screen does not appear to users who do not have the Queue Interface permission.
- Users with the Queue Interface permission have access to the configuration screen, regardless of whether the Queue Interface has been installed.
- If a user has Queue Interface permission, but cannot connect to the Queue Interface database, a pop-up message appears letting them know that the configuration could not be saved (when attempting to make changes to the configuration screen).
- If a user has Queue Interface permission, but cannot connect to the Queue Interface, a pop-up message appears letting them know that the Queue Interface cannot be located.

The Queue Interface Configuration

Users who have access to the Queue Interface Configuration screen will see an additional tab on the S A T System Configuration screen labeled 'Queue Interface', as displayed in Figure 13.2.

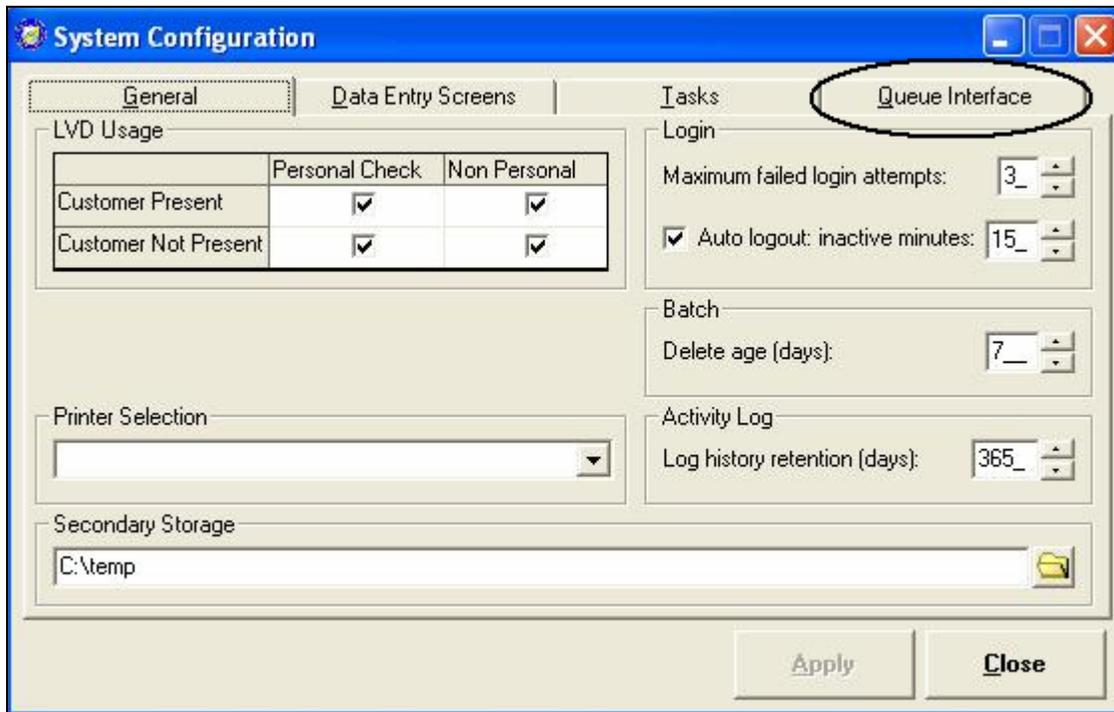


Figure 13.2

When the tab is clicked, the Queue Interface configuration screen appears as displayed in Figure 13.3.

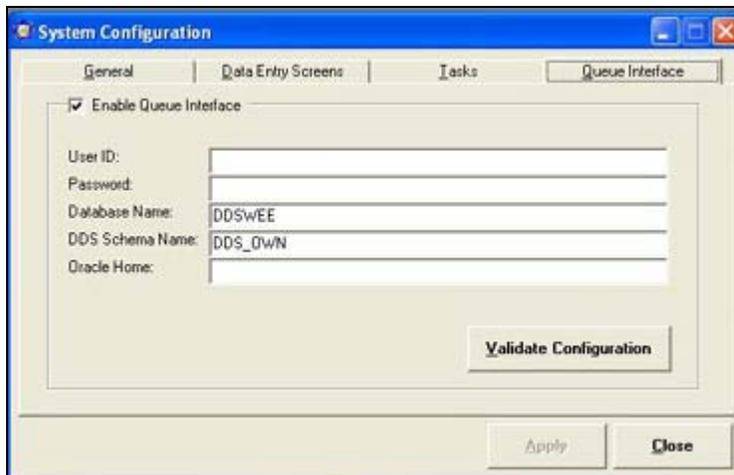
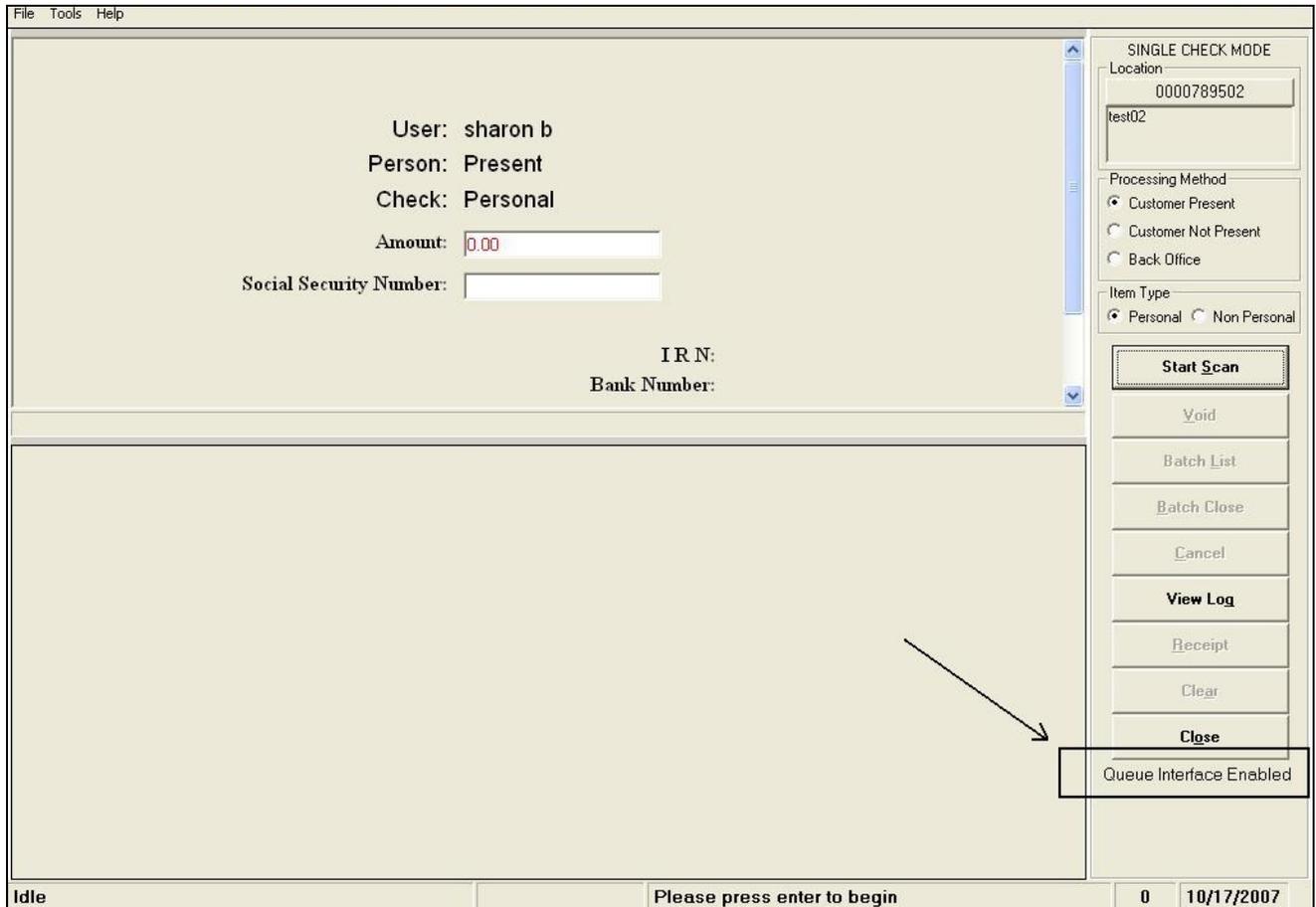


Figure 13.3

The 'Database Name' and 'DDS Schema Name' fields are pre-populated and should not be changed. The other fields on the screen need to be completed with the Agency unique information. Click **'Validate Configuration'**, then click **'Apply'** To enable the Queue Interface.

Note: A record reporting that the Queue Interface is enabled or disabled is documented in the audit log. Any configuration changes are logged with before and after values.

Once the Queue Interface is successfully enabled, the bottom right of the P O S data entry screen will display the words 'Queue Interface Enabled', just below the 'Close' button as displayed in Figure 13.4.



The screenshot shows a POS data entry screen with a menu bar (File, Tools, Help) at the top. The main area contains the following information:

- User: sharon b
- Person: Present
- Check: Personal
- Amount: 0.00
- Social Security Number: [empty field]
- IRN: [empty field]
- Bank Number: [empty field]

On the right side, there is a 'SINGLE CHECK MODE' panel with the following options:

- Location: 0000789502
- test02
- Processing Method:
 - Customer Present
 - Customer Not Present
 - Back Office
- Item Type:
 - Personal
 - Non Personal

Below these options are several buttons: Start Scan, Void, Batch List, Batch Close, Cancel, View Log, Receipt, Clear, and Close. A box labeled 'Queue Interface Enabled' is positioned below the Close button, with an arrow pointing to it from the main area.

At the bottom of the screen, there is a status bar with the following information:

- Idle
- Please press enter to begin
- 0
- 10/17/2007

Figure 13.4

Exceptions

Configuration Problems

A check will be performed upon P O S or Batch Manager startup to confirm the Queue Interface can be initialized. If it cannot, an error message will be written to the Audit log and the system displays a pop-up warning message, "Initialization to queue was unsuccessful. Please contact your technical support" (Figure 13.5). When the 'Ok' button is selected, no further action will be required by the P O S application for the interaction. Contact your internal technical staff for assistance.

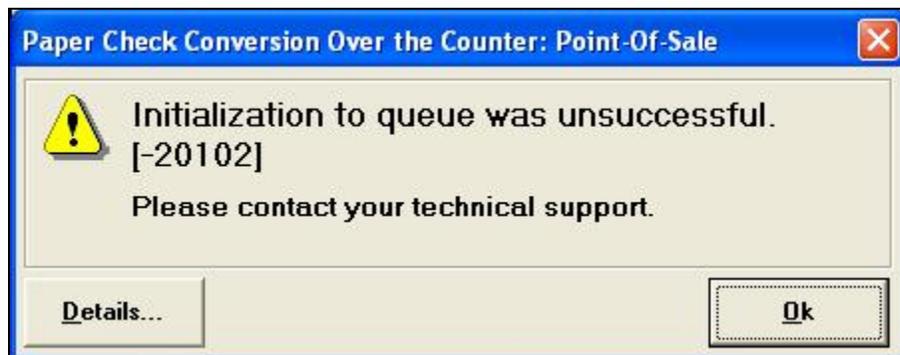


Figure 13.5

Audit Log Entries for Unsuccessful synchronization of the Queue

Audit log entries for unsuccessful synchronization of the queue contain the date and timestamp, IRN, and a Queue Interface error message.

Enable the Queue Mid-batch

If the Queue Interface is enabled in the middle of a batch, only items created after it was enabled will be sent to the queue.

Effects of the P O S uninstall on the Queue Interface

Upon P O S uninstall, the P O S will call the QUI function. The QUI function will follow the Queue Interface uninstall workflow. It will only be called if the Queue Interface was installed during the P O S install.

Determining if Queue Interface has been Installed

To determine if the Queue Interface has been installed on a given P O S computer, click on 'Help', 'About', from the P O S, Batch Manager or the S A T. The following window will appear and the top portion of the screen will read, 'Queue Interface Installed' if it has been installed on the computer (see Figure 13.6).

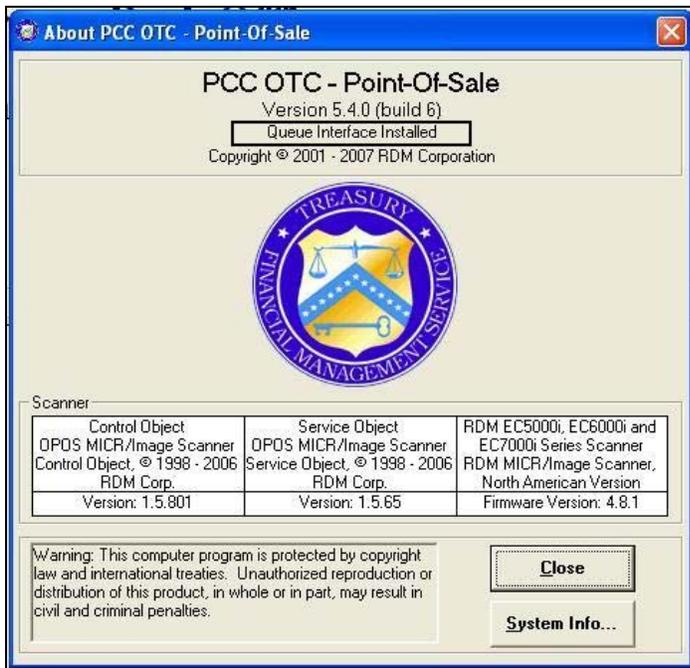


Figure 13.6

U.S. Department of the Treasury

Financial Management Service

Paper Check Conversion
Over the Counter (PCC OTC)



Standard Operating Procedures

System Administration Tool

Appendix 1

Security Best Practices

Release 5.4

April, 2008

Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
4/29/2008 Version 1.0		Original Document	

Table of Contents

Glossary of Acronyms.....	4
Purpose	5
What is P I I?	5
Secondary Storage	5
Access Control	6
Risk Assessment	8
Personnel Security and Procedures	9
Physical and Environmental Protection	11
Contingency Planning	13
Configuration Management	15
System Maintenance	16
System and Information Integrity.....	17
Media Protection.....	19
Incident Response	21
Awareness and Training	22

Glossary of Acronyms

CFR – Code of Federal Regulations

ELVIS - **E**lectronic **V**erification and **I**mage **S**ervices. ELVIS is the host application where all check images are stored.

FIPS – Federal Information Processing Standards

FISMA – Federal Information Security Management Act

FRB-C – Federal Reserve Bank of Cleveland

N I S T – National Institute of Standards and Technology

OMB – Office of Management and Budget

PCC OTC – Paper Check Conversion Over the Counter

P I I – Personally Identifiable Information

P O C – Point-of-Contact. The person who has access to the SAT (System Administration Tool) and can add/delete/update users in the P O S, or make configuration changes in the SAT.

P O S – Point Of Sale. A component is the PCC OTC system. The P O S is the PC-based software to capture images of the check along with transaction data.

SAT – System Administration Tool. A module used in the P O S system for setting up and managing system security and configuration.

S O P – Standard Operating Procedure

USB – Universal Serial Bus is a connection port on a computer that is universally compatible with many types of devices, such as, printers, speakers, mouse, flash drives, etc. Can support speeds of up to 12Mbps.

PCC OTC Security Best Practices

Purpose

The document was written to provide security best practices for the PCC OTC system that will guide agencies toward FISMA (Federal Information Security Management Act) compliance. This document outlines points from the *NIST Special Publication 800-53*. Each Agency's internal guidelines should take Treasury security best practices into consideration. Please refer to *NIST Special Publication 800-53* for complete text of the 'Recommended Security Controls for Federal Information Systems'.

What is P I I?

Personally Identifiable Information (P I I) is information about an individual maintained by an agency, including, but not limited to, education, financial transactions, medical history, and criminal or employment history. It includes information which can be used to distinguish or trace an individual's identity such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc (*OMB M-06-19 (July 12, 2006)*).

PCC OTC Batch information contains PII information. It is therefore critical that this data be secured to prevent unauthorized access to this highly sensitive information.

Secondary Storage

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. The number of days that the data is stored on the storage device is configured within the SAT of the P O S computer . The PCC OTC secondary storage device could be in the form of a folder on a LAN drive, a smartcard, a zip disk or a USB flash drive. Without the secondary storage, daily processing information would not be retained and would not be available for transmission or batch recovery in the event of a computer failure.

Special precautions are necessary in order to safeguard the sensitive information that is stored on the secondary storage drive, especially if that storage drive is in the form of a USB flash drive, smartcard, zip disk or other compact storage device. These small, external media types are very compact and easy to lose or steal. The P O S provides a minimum level of encryption to the data stored on the secondary storage drive which may prevent unauthorized users to read the data. Agencies may also consider using additional levels of encryption to protect the data on the secondary storage drive. This can be accomplished by purchasing software that is specifically designed to encrypt data on removable media. (If encryption of stored information is employed as an access enforcement mechanism, the cryptography used must be FIPS 140-2 compliant. For additional information, see section SC-13 of the *NIST Special Publication 800-53*.) If additional levels of encryption are used, agencies must ensure that the data can be de-encrypted for use in the event that the data needs to be restored using the P O S 'Batch Recover' function. De-encryption will typically involve the use of a password. If the additional level of encryption cannot be removed, the P O S will be unable to read the batch data and the batch recovery function will fail. Contact your Information Technology staff to obtain more information.

Access Control

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented access control policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal documented procedures to facilitate the implementation of the access control policy and associated risk assessment controls¹.

Effects on PCC OTC

- ❖ Agencies must identify authorized users of PCC OTC and specify access rights/privileges. Access is granted to PCC OTC based on a valid need-to-know/need-to-share that is determined by assigned official duties and satisfying all personnel security criteria and intended system usage. Agencies must monitor and remove unnecessary access when users are terminated or transferred and associated accounts need to be removed, or when a user's access changes.
- ❖ Agencies enforce separation of duties through assigned access authorizations by establishing appropriate divisions of responsibility and separates duties as needed, to eliminate conflicts of interest in the responsibilities and duties of individuals who have access to the PCC OTC system.
- ❖ Agencies employ the concept of least privilege for specific duties.
- ❖ Agencies enforce a limit of consecutive invalid access attempts by a user. This limit should be no more than three attempts.
- ❖ Agencies must review audit records, i.e., activity logs, of the PCC OTC system for inappropriate activities in accordance with organizational procedures. Agencies must investigate any unusual information system-related activities and periodically review change to access authorizations. N I S T Special Publication 800-92 provides guidance on computer security log management.

In Summary

- Access to the PCC OTC should be given to users at the lowest level available that still allow the user to perform their job duties. For information on P O S and ELVIS roles and permissions, please refer to the *SAT* chapter of the *PCC OTC S O P*, 'User Administration' section, and the *ELVIS* chapter of the *PCC OTC S O P*, 'What is PCC OTC?' section.
- Review separation of duties for users performing tasks on the P O S computer. For example, users that key in batch information should not have access to the SAT to add or edit users, or make changes to configurations settings. Separation of duty can be taken a step further by assigning permission to perform voids, batch close/transmission, and batch input to different individuals.
- Ensure that the maximum number of failed login attempts to the P O S computer has not been altered to a number higher than 3. For complete instructions, please refer to the *SAT* chapter of the *PCC OTC S O P*, 'System Configuration' section.

¹ This process should be documented within the agency's S O P.

- Review and certify P O S users yearly. FMS performs annual certification of users for the ELVIS system. Local procedures should be established for performing recertification of P O S users on each P O S computer. PCC OTC Point-of-Contacts should print out a listing of users and their associated roles/permissions in the SAT and re-evaluate their P O S job responsibilities. Complete instructions for printing this list can be found in the *SAT* chapter of the *PCC OTC SOP*, 'User Administration' section.

Risk Assessment

NIST Special Publication 800-53 Guidance

Agency develops, disseminates, and periodically reviews/updates:

1. A formal documented risk assessment policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal documented procedures to facilitate the implementation of the risk assessment policy and associated risk assessment controls.

Effects on PCC OTC

Risk assessment identifies risk through a formal process and makes a conscious decision to accept, mitigate, or avoid that risk. Agencies can request a Business Risk Assessment template that will assist them in their risk assessment of the PCC OTC system in their environment. To request the template, contact the FRB-C Customer Service staff at 800-624-1373, or DSN 510-428-6824, option 4, option 5, option 4. Also, refer to *FIPS Pub 199, Standards for Security Categorization of Federal Information and Information Systems*, which can be used to categorize and measure risk of information and information systems.

Personnel Security and Procedures

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented personnel security policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal documented procedures to facilitate the implementation of the personnel security policy and associated personnel security policy and procedure controls.

Effects on PCC OTC

- ❖ Assign a risk designation to all positions and establish screening criteria for individuals filling those positions. (*N I S T Special Publication 800-12 and 5 CFR 731.106(a) and Office of Personnel Management policy and guidance*).
- ❖ Screen individuals requiring access to the PCC OTC system and PCC OTC information before authorizing access. (*5 CFR 731.106(a) and Office of Personnel Management policy, regulations, and guidance; organizational policy, regulations and guidance; FIPS 201 and Special Publication 800-73 and 800-76; and the criteria established for the risk designation of the assigned position*)
- ❖ Ensures completion of the appropriate access agreements, i.e., Rules of Behavior, Privacy Statement, Accessibility Statement, and all information security access forms for individuals requiring access to PCC OTC before authorizing access.
- ❖ Establish personnel security requirements for third-party providers, i.e., service bureaus, contractors, and other organizations providing PCC OTC information technology services or network management, and monitor the provider to ensure adequate security. (*N I S T Special Publication 800-35*).
- ❖ Establish a formal disciplinary process for individuals that blatantly disregard security procedures.. The process can be included as part of the general personnel policies and procedures.
- ❖ When employment is terminated, or individuals are reassigned or transferred to other positions within the agency, terminate access to the PCC OTC system and to PCC OTC information (both the P O S and ELVIS), ensure the return of all PCC OTC related property, i.e., printouts, flash drives used as secondary storage, etc., and ensure that the appropriate personnel have access to official records created by the terminated employee that are stored on the PCC OTC system or paper files.

In Summary

- Assign a risk category or designation to all positions associated to the PCC OTC system and screen individuals before granting access to the system.
- Make certain users read and understand the PCC OTC ‘Rules of Behavior’, ‘Privacy Statement’ and ‘Accessibility Statement’ available through links on the ELVIS sign-on screen, prior to using the system.
- Ensure that the necessary information security forms have been completed (‘PCC OTC Security Contact form’ which is used to designate the PCC OTC Security Contact(s), and the ‘PCC OTC User Access Request spreadsheet’ which is used to request user access to the ELVIS application). Only authorized users can gain access to the ELVIS application. PCC OTC Security Contacts must submit a PCC OTC User Access Request spreadsheet for all access requests. Both forms can be found on the PCC OTC information website at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>.

Point-Of-Sale Standard Operating Procedures

- Exiting users should no longer be in possession of P O S equipment, i.e., access to or possession of the PCC OTC computer, USB flash drive, software or printed materials. Make certain that all P O S equipment and printed material is available for the new person filling the position by ensuring that the equipment and material has been relinquished by the former employee.
- When an employee quits or changes their position, delete their access to both the P O S and ELVIS. For information on how to delete users from the P O S system, please refer to the *SAT* chapter of the *PCC OTC S O P*, 'User Administration' section. For information on how to delete users from the ELVIS system, please refer to the *ELVIS* chapter of the *PCC OTC S O P*, 'Accessing the ELVIS URL' section.
- Ensure that third-party service providers have adequate security in place with regard to the PCC OTC system.
- Establish procedures to follow when an employee fails to follow the security policies and procedures.

Physical and Environmental Protection

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented physical and environmental protection policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the physical and environmental protection policy and associated physical and environmental protection policy controls.

Agencies should control physical access points (including designated entry/exit points) to facilities containing information systems (except for those areas within the facility that are officially designated as publicly accessible) and verify individual access authorizations before granting access to the facility. The agency also controls access to areas officially designate as publicly accessible, as appropriate, in accordance with the agency's assessment of risk.

Effects on PCC OTC

- ❖ Agencies control physical access to all PCC OTC equipment including the screen display to prevent unauthorized individuals from observing/viewing the screen's display output.
- ❖ Agencies develop and keep current lists of personnel with authorized access to the area containing the PCC OTC system. Designated authorized individuals within the agency should review and approve access list at least annually. The agency promptly removes personnel no longer requiring access to the area containing the PCC OTC system.
- ❖ Agencies control physical access to the PCC OTC computer by authenticating visitors before authorizing access to the area that houses the PCC OTC system in areas that are not designated as publicly accessible.
- ❖ Agencies monitor physical access to the PCC OTC system to detect and respond to incidents.
- ❖ Agencies protect power equipment and power cabling for the PCC OTC system from damage and destruction.
- ❖ Agencies provide a short-term, uninterruptible power supply to facilitate an orderly shutdown of the PCC OTC system in the event of a primary power source loss. The hardware should be obtained through your internal procurement channels. A long term power supply option should also be considered in the event of an extended loss of the primary power source.
- ❖ Agencies control PCC OTC system-related items, i.e., hardware, firmware, software, when such items are entering and/or exiting the facility; and maintain appropriate records of those items.
- ❖ Individuals within the agency should employ appropriate PCC OTC security controls at alternate work sites. (*N I S T Special Publication 800-46*).
- ❖ Agencies are responsible for securing PCC OTC scanners, peripheral equipment, checks, and other sensitive information in locked rooms, locked cabinets, or security containers supported by appropriate key control and other physical security controls.
- ❖ To the extent that the operational environment allows, PCC OTC scanners and check processing should be done in controlled environments such as steel cages, cashier cages, behind glass windows, and within offices where access to the PCC OTC system and peripheral equipment can be physically controlled.

In Summary

- Know who has physical access to the area that houses the PCC OTC computer.
- Ensure that unauthorized individuals cannot view the computer screen of the PCC OTC computer.
- Ensure that the PCC OTC hardware and software is secured, controlled, and monitored when entering or exiting the building.
- If, as in the case of military agencies, a 'down-range' environment is necessary, ensure that all security controls are in place to secure the equipment at the alternate work site.
- For military agencies and other agencies operating in remote or field locations, deploy appropriate physical security and access controls to limit unauthorized access to and unauthorized disclosure of PCC OTC processing areas and information.

Contingency Planning

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented contingency planning policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the contingency planning policy and associated contingency planning policy controls.

The agency develops and implements a contingency plan for the PCC OTC system addressing contingency roles, responsibilities, assigned individuals with contact information, and activities associated with restoring the system after a disruption or failure. Designated officials within the agency review and approve the contingency plan and distribute copies of the plan to key contingency personnel (*N I S T Special Publication 800-34* provides guidance on contingency planning).

Effects on PCC OTC

- ❖ Agencies train personnel in their contingency roles and responsibilities with respect to the PCC OTC system and provide refresher training.
- ❖ Agencies test the contingency plan for the PCC OTC system at least on an annual basis to determine the plan's effectiveness and the agency's readiness to execute the plan. The test plan results are reviewed by the appropriate officials at the agency who initiate corrective action.
- ❖ Agencies review the contingency plan at least annually and revises the plan to address system/organization changes or problems encountered during plan implementation, execution, or testing.
- ❖ Agencies identify an alternate storage site and initiates necessary agreements to permit the secured storage of PCC OTC backup information which can include storage of backup hardware, i.e., extra scanners, and backup copies of software, etc.
- ❖ Agencies identify an alternate processing site and initiates necessary agreements to permit the resumption of the PCC OTC system operations for critical mission/business functions within a pre-determined time period, when primary processing capabilities are unavailable. The alternate site should be geographically separated from the primary processing site so as to not be susceptible to the same hazards.
- ❖ Agencies identify primary and alternate telecommunications services to support the PCC OTC system and initiates necessary agreements to permit the resumption of system operations for critical mission/business functions with a pre-determined timeframe when the primary telecommunications capabilities are unavailable.
- ❖ Agencies conduct backups of user-level and system-level PCC OTC information and stores backup information at an appropriately secured location. Each agency shall determine the appropriate frequency of these backups. Backup and restoration of this data should also be a part of the contingency plan testing.
- ❖ Agencies store backup copies of the operating system and other critical PCC OTC software in a separate facility or in a fire-rated container that is not collocated with the operational software.

Point-Of-Sale Standard Operating Procedures

- ❖ Agencies perform backups of the PCC OTC hard drive on a regular basis and store the backup in a secured location.
- ❖ Agencies employ mechanisms with supporting procedures to allow the PCC OTC system to be recovered and reconstituted to the system's original state after a disruption or failure.

In Summary

- Create a contingency plan and keep it current.
- Ensure people are trained to handle a contingency situation.
- Test the contingency plans yearly to ensure that hardware, communication medium, and software is in working order and current.
- Store a back copy of the P O S software and printouts of user information in a secured area.
- Consider having a backup PCC OTC computer and PCC OTC related hardware, i.e., scanner, secondary storage, etc.
- Consider having PCC OTC related hardware and/or software backups also located off premises in a secured location. A backup of the PCC OTC hard drive should be performed on a regular basis.
- Extra scanners can be ordered and stored at an alternate site as backups in case of a failure or disruption. For addition information on ordering extra scanners, please contact the PCC OTC Customer Service staff at 800-624-1373, or DSN 510-428-6824, option 4, option 5, option 4.
- In the event of a failure or disruption, scanners can be delivered overnight to locations within the 48 contiguous states. Delivery will take longer for areas outside of this zone.
- Consider alternate processing sites.

Configuration Management

NIST Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented configuration management policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the configuration management policy and associated contingency planning policy controls.

The agency develops, documents, and maintains a current, baseline configuration of the PCC OTC system and an inventory of the system's constituent components.

Effects on PCC OTC

- ❖ Agencies should keep an inventory of the PCC OTC hardware and software. This inventory should include manufacturer, type, serial number, version number, and location (physical and logical within the architecture). This inventory should be kept current and changes should be documented.
- ❖ Ensure that PCC OTC security settings are defaulted to the most restrictive mode and should not be changed.
- ❖ Agencies should restrict access to the configuration information set within the P O S to a select few authorized individuals.

In Summary

- Keep a current, documented listing of all of the PCC OTC hardware and software.
- Periodically check to make certain that the PCC OTC SAT (System Administration Tool) configuration settings are set to the recommended defaults as follows:

To view the SAT 'System Configuration' settings, an authorized user should sign on to the SAT and click the 'System' icon. Defaults for the General tab should be:

- Maximum failed Login attempt - 3
 - Auto logout – should be checked and inactive minutes set to 15
 - Batch Delete Age – 7 days (only 7 days of batches should be retained to reduce the amount of personal information stored on the hard drive of the P O S computer and its secondary storage device. Higher amounts of stored P I I data equates to higher risk of accidental disclosure in the event of unauthorized access to the system, or malicious code.)
 - Activity Log retention – 365 day
- (See *SAT chapter of the PCC OTC S O P* for complete instructions)

- Only the designated P O C's (Point-of-Contact) or security contacts should be allowed access to the PCC OTC SAT.
- The P O S activity log should be regularly reviewed for suspicious activity. Evidence or indicators of increased risks to the PCC OTC system and associated information must be responded to with more aggressive audit monitoring, more frequent review of audit logs, and the use of additional monitoring tools as appropriate. The activity log can be accessed by authorized personnel via the SAT and clicking on the 'Activity' icon. A complete explanation on how to read the activity log can be found in the *SAT* chapter of the *PCC OTC S O P*, 'User Administration' section.

System Maintenance

NIST Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented system maintenance policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the system maintenance policy and associated system maintenance policy controls.

Effects on PCC OTC

- ❖ The system maintenance policy ensures that the agency schedules, performs, and documents routine preventative and regular maintenance on the PCC OTC components in accordance with the manufacturer or vendor specifications and/or agency requirements.
- ❖ All maintenance activities are controlled whether the equipment is serviced on site or removed to another location.
- ❖ Remove sensitive information from the PCC OTC system components (if feasible) when the components must be removed from the facility when repairs are necessary. This can be accomplished by backing up the PCC OTC hard drive to another medium such as CDs or an external hard drive then deleting the PCC OTC from the computer. When repairs have been complete, the data can then be restored. Secondary storage devices that contain sensitive data, i.e., flash drives, zip disks, CD-ROMs, and smart cards should be removed from the computer prior to servicing and stored in a secure location.
- ❖ Agencies approve, control, and monitor the use of maintenance tools used on the PCC OTC system, and maintains the tools on an ongoing basis.
- ❖ Agencies maintain a list of personnel authorized to perform maintenance on the PCC OTC system. Only those authorized personnel should be allowed access to perform maintenance on the system.

In Summary

- Regularly scheduled preventative maintenance should be performed on the P O S computer, i.e., disk optimization tools, virus checking tools, etc., by authorized personnel only. Contact your local I T department for information on the tools authorized for use by your agency.
- If a component needs to be removed for repairs, all sensitive information should be removed. P I I may be contained in the form of names, account numbers, social security numbers, etc., within a P O S batch on either the computer's hard drive or secondary storage. This also applies to repairs on LAN drives that may be used as a primary or secondary storage area for P O S batch data.
- For agencies located in a dusty/sandy environment, PCC OTC computer equipment (computers and scanners) should be regularly cleaned with canned air.

System and Information Integrity

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented system and information integrity policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the system and information integrity policy and associated system and information integrity policy controls.

Effects on PCC OTC

- ❖ Agencies identify information systems containing proprietary or open source software affected by recently announced software flaws and potential vulnerabilities resulting from those flaws. The agency should promptly install new released security relevant patches, service packs, and hot fixes, and test patches, service packs, and hot fixes for effectiveness and potential side effects on the PCC OTC before installation. (*N I S T Special Publication 800-40* provides guidance on security patch installation)
- ❖ Agencies implement malicious code protection on the PCC OTC system that includes a capability for automatic updates. Agency employs virus protection mechanisms at critical information system entry and exit points, i.e., firewalls, electronic mail servers, remote-access servers at workstations, servers, or mobile computing devices on the network and uses the virus protection mechanisms to detect and eradicate malicious code, i.e., viruses, worms, Trojan horses that can be transported by email, email attachments, internet access, removable media such as diskettes, CDs or flash drives, or by exploiting vulnerabilities.
- ❖ Virus protection mechanisms should be updated whenever new updates are available.
- ❖ Agencies employ tools and techniques to monitor events on the PCC OTC system, detect attacks, and provide identification of unauthorized use of the system. This applies to both the P O S computer and any computer used to access the ELVIS system.
- ❖ Agencies implement tools to prevent spam and spyware.
- ❖ Agencies restrict information input to the PCC OTC system to authorized personnel only.
- ❖ Agencies check the PCC OTC information input for accuracy, completeness, and validity. PCC OTC information includes the scanned check data, and all input fields such as the dollar amount and user defined fields.
- ❖ The agencies identify and handle error conditions in an expeditious manner.
- ❖ The agencies handle and retain output, e.g., reports, check images, etc., from the PCC OTC in accordance with policy and operational requirements.

In Summary

- Protection against viruses, spyware and all other forms of malicious code on both the PCC OTC computer and all removable media used on the PCC OTC system (diskettes, CDs, flash drives) should be in place.
- Although the N I S T 800-53 document recommends keeping your computer up to date with the latest security patches, hot fixes and service packs, it is up to each agency to determine the feasibility of installing every patch or fix and installation may need to be considered on a case-by-case basis. Consult

your network support staff for more information. Only Windows 2000, Service Pack 4 and Windows XP Professional, Service Pack 2 have been validated to work after P O S 5.4 is freshly installed. Other variations of Operating System Service Pack releases were upgraded and tested. Please contact the PCC OTC Customer Service staff for information about specific SP version validation.

- Regular updates to the virus protection software should be applied.
- Only authorized personnel should have access to the PCC OTC system. If using backup personnel to perform PCC OTC duties for both the P O S and ELVIS, backups should be issued their own unique login ID and password. Logins and passwords should never be shared under any circumstances.
- Verification practices should be used to ensure accuracy of input. Batch control options can be setup by authorized personnel by logging into the P O S and choosing, 'File', 'Configuration' and setting the batch control options on the 'Application Tab'. Batch Control is an optional feature that can be used as a batch balancing tool to ensure that the number of batched keyed and their respective dollar amounts have been accurately input. A complete explanation of how to use these settings for maximum control can be found in the *Daily Processing* chapter of the *PCC OTC S O P* in the 'Batch Control' section.
- Verification practices can also include the use of the POS Batch List feature, to verify batch transmission totals. For a full explanation of how to use the Batch List feature, please refer to the *Daily Processing* chapter of the *PCC OTC S O P* in the 'How to View and Print a Batch List' section. Using this practice can assist in the identification of errors and their effective handling, and lessen the possibility of fraudulent activity.
- To prevent duplicate processing of checks, checks may be hand stamped with 'Electronically Processed' after the transaction is complete and the check has been scanned. The EC6000i and EC7000i scanners 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 the *PCC OTC S O P*, 'Setting the EC6000i and EC7000i scanner to Frank Acknowledgments' section.

Media Protection

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented media protection policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the media protection policy and associated system and information integrity policy controls.

Due to the nature of the transaction information which includes check images, the PCC OTC media that stores this information is considered PII and must be secured. The PCC OTC media to be protected includes both digital media, i.e., diskettes, external/removable hard drives, LAN drives used for PCC OTC data retention/storage, flash/thumb drives, compact disks, digital video disks, and non-digital media, i.e., paper, microfilm and checks not returned to the check writer. This control also applies to portable and mobile computing and communications devices with information storage capability, i.e., notebook computers, personal digital media assistants, and cellular telephones.

Effects on PCC OTC

- ❖ Agencies ensure that only authorized users have access to PCC OTC information in printed form or on digital media removed from the information system.
- ❖ Agencies affix external labels to removable PCC OTC storage media and PCC OTC system output indicating the distribution limitations and handling caveats of the information. Certain media may be exempted from this labeling as long as they remain within a secure environment.
- ❖ Agencies physically control and securely store the PCC OTC system media, both paper and digital, based on the highest FIPS 199 security category of the information recorded on the media.
- ❖ Agencies sanitize PCC OTC system digital media using approved equipment techniques and procedures. Sanitization is the process used to remove information from digital media such that information recovery is not possible. (N I S T Special Publication 800-36 provides guidance on appropriate sanitization equipments, techniques, and procedures.)
- ❖ Agencies sanitize or destroy PCC OTC digital media before its disposal or release for reuse, to prevent unauthorized individuals from gaining access to and using information contained on the media. (N I S T Special Publication 800-36 provides guidance on appropriate sanitization equipments, techniques, and procedures.)
- ❖ Agencies physically control and securely store PCC OTC system media within a controlled area.

In Summary

- Only authorized users should have access to printed and digital media used for PCC OTC. This means all printouts, hard disks, LAN drives, external hard disks, diskettes, CDs, zip disks, smart cards, and USB flash drives.
- Store and label all removable media (both digital and paper) in a secured location. Labeling could include the restrictions on distributing the media and warnings on handling of the media.
- Properly remove all PCC OTC related data prior to destruction or reuse. Information stored on the PCC OTC's hard drive, secondary storage drive, and printed media may contain personally identifiable information (PII) in the form of names, account numbers, social security numbers, etc. within a P O S batch.
- PCC OTC paper output such as batch lists, report printouts, and scanned checks not returned to customers contain P I I information and must be destroyed by shredding. This type of output should never be thrown away with other office trash without shredding.
- Consider additional encryption protection of the information that is contained on the secondary storage drive. The P O S provides a minimum level of encryption to the data on the secondary storage drive but additional encryption protection may be used. If additional levels of encryption are used, agencies must ensure that the data can be decrypted in the event that the data needs to be restored using the P O S 'Batch Recover' function. Decryption will typically involve the use of a password. If the additional level of encryption cannot be removed, the P O S will be unable to read the batch data and the batch recovery function will fail.

Incident Response

NIST Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented incident response policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the incident response policy and associated system and incident response policy controls.

Effects on PCC OTC

- ❖ Agencies train personnel in their security incident response roles and responsibilities with respect to the PCC OTC system and provides refresher training.
- ❖ Agencies track and document PCC OTC system security incidents on an ongoing basis.
- ❖ Agencies expeditiously report all PCC OTC system security incidents of theft, loss, or data/PII compromise (known or suspected) to the FRB-C by contacting the PCC OTC Customer Service staff, to FMS, and their own internal authorized security personnel.

In Summary

PCC OTC Point-of-Contacts and users should monitor the PCC OTC system for possible security incidents and report any suspected incidents to the FRB-C Customer Service staff at 800-624-1373, or DSN 510-428-6824, option 4, option 5, option 4.

Awareness and Training

N I S T Special Publication 800-53 Guidance

Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented security awareness and training policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the security awareness and training policy and associated security awareness and training policy controls.

Security awareness and training ensures that all users (including managers and senior executives) are exposed to basic information system security awareness materials before authorizing access to PCC OTC system and thereafter, at least yearly. Appropriate content of security awareness must be determined and based on the specific requirements of the PCC OTC system. The agency's security awareness program should be consistent with the requirements contained in 5 CFR Part 930.301 and with the guidance in N I S T Special Publication 800-50.

Effects on PCC OTC

- ❖ Users should be familiar with the P O S and ELVIS password requirements as outlined in the *PCC OTC Standard Operating Procedures, Appendix R*.
- ❖ Users should be familiar with the ELVIS Security Guidelines which applies to both the P O S and ELVIS as outlined in the *PCC OTC Standard Operating Procedures, ELVIS Chapter*.

In Summary

Information that is covered in the PCC OTC Security Awareness Training should include:

- Prevent others from watching while passwords are entered. Prevent others from guessing your password - do not use names of persons, places, or things that can be easily identified with you.
- Login IDs and passwords should never be shared.
- If your password has been compromised, it must be changed immediately.
- Unauthorized use of the system must be reported to FRB-C Customer Service at 1-800-624-1373 or DSN 510-428-6824, option 4, option 5, option 4.
- Log off of the system (both P O S and ELVIS) 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 to prevent unauthorized access to the system.
- Security contacts or Point-of-Contacts should be kept current. As soon as an agency is aware of a change in personnel, a new person should be assigned the duties of the security contact to take the place of the exiting person. The exiting person's access should be deleted from both the P O S and ELVIS.
- The P O S comes with an 'admin' password. The PCC OTC security personnel, or P O C's, should be trained on the proper handling of this user and its associated password. Proper handling includes writing down the password and locking it up. Since the password will need to be changed every 90 calendar days it is important that the written password is updated whenever the password is changed. It should only be available to the P O C. For complete information, please refer to *Appendix* chapter of the *PCC OTC S O P*, section '*Appendix M, Personnel Change Over*'.

- Users should be familiar with the Rules of Behavior, Privacy Statement, and Accessibility Statement prior to using the system. The Rules of Behavior, Privacy Statement, and Accessibility Statement can be found as links at the bottom of the ELVIS sign-on screen.

U.S. Department of the Treasury
Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Appendix

January, 2009
Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		Original Citibank Release	

Table of Contents

APPENDIX A – SAMPLE REPORTS	5
POS Reports.....	5
Batch List.....	5
Activity Log and User Information.....	7
Activity Log	7
User Information	9
ELVIS Reports.....	10
SF215 Deposit Ticket Report.....	10
SF5515 Debit Voucher Report.....	12
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 F – R5.4 ROLES FOR ELVIS	23
APPENDIX G – PCC OTC SECURITY CONTACT AUTHORIZATION FORM FOR ELVIS.....	25

APPENDIX H – INSTRUCTIONS FOR COMPLETING THE PCC OTC SECURITY CONTACT AUTHORIZATION FORM..... 27

APPENDIX I – PCC OTC RULES OF BEHAVIOR 29

APPENDIX J – SYSTEM PERMISSION DESCRIPTIONS FOR THE POS..... 30

APPENDIX K – SETTING THE EC6000I AND EC 7000I SCANNER TO FRANK ACKNOWLEDGMENTS 32
 Installing the Ink Roller33

APPENDIX L – RDM SCANNER INFORMATION..... 34

APPENDIX L – RDM SCANNER INFORMATION..... 35

APPENDIX M – PERSONNEL CHANGE OVER 35
 POS Access.....35
 ELVIS Access.....36

APPENDIX N – GLOSSARY 37

APPENDIX O – ACRONYMS 41

APPENDIX P – IMAGE QUALITY 43

APPENDIX Q – CIRA CSV FILE LAYOUT..... 44
 Introduction.....44
 Layout44
 Available Fields44
 File Layout.....45
 Sample File Layout47
 CSV File Sample48

APPENDIX S – TRANSACTION STATUS MONITORING AND CODES..... 50

Status Code Monitoring50
 PCC OTC Processing.....50
 Forward files50
 Returns51

PCC OTC Status Monitoring Diagram53

PCC OTC Transaction Status Codes.....54

Appendix A – Sample Reports

POS Reports

Batch List

When requesting a Batch List, the system first displays 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

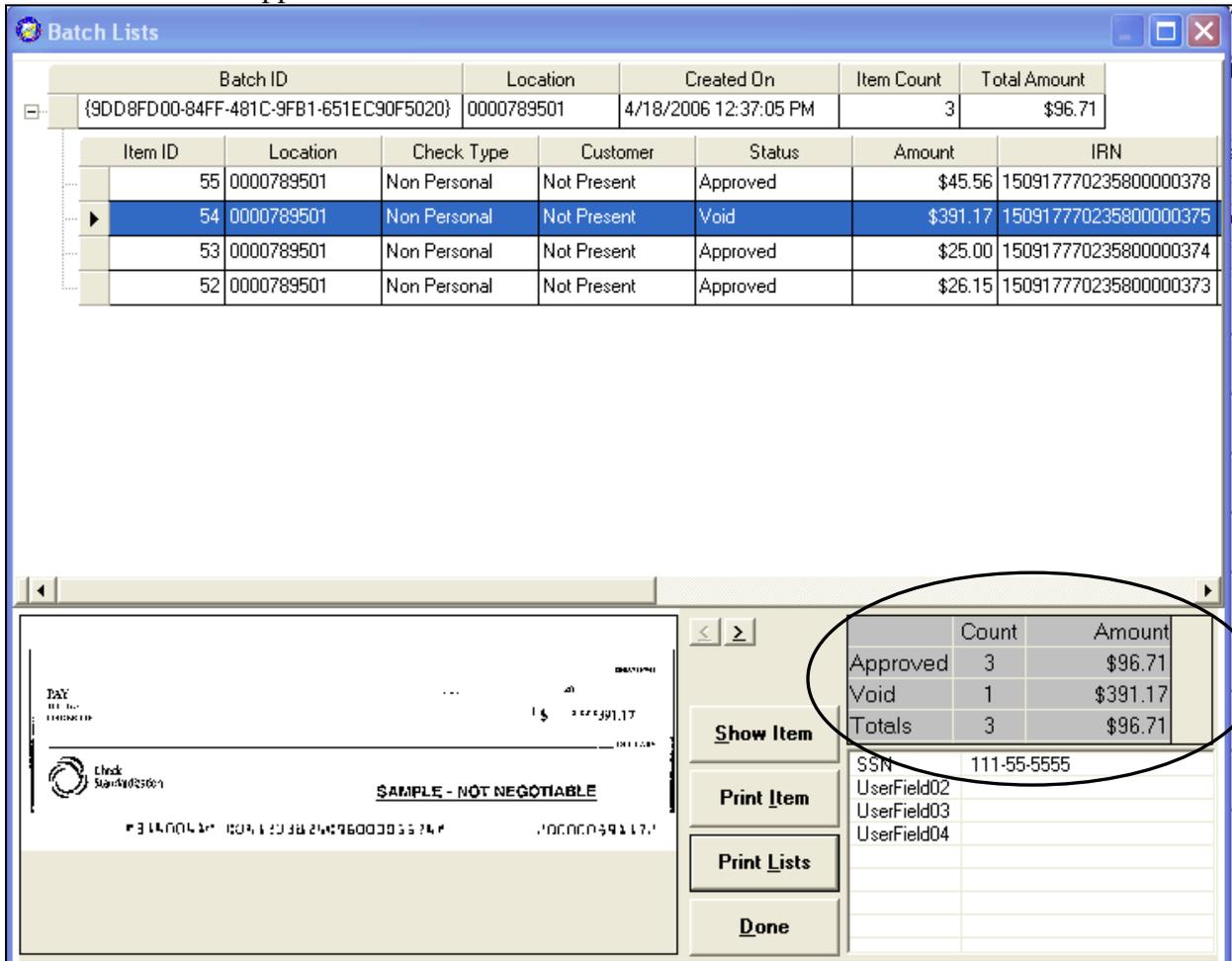


Figure 9.1

The Batch List is a report generated in the POS application by each operator 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.

- 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 the 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 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	15091777023580000472	7/7/2006 11:55:31AM	043403224	7.....J5	6727	\$49.23	SocialSecurityNum111227777
A	P	15091777023580000470	7/7/2006 11:54:58AM	043403224	7.....28	2534	\$39.19	SocialSecurityNum111803333

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 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 (SAT activity log only) desired.
3. Click **'Print'** at the lower right of the screen. The Activity Log Report is generated (see description below)

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.)



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 : {B 10D92F6-E48B-4914-889B-A4D4FD76BEF7}
05/11/2006 3:10:04 PM	System Administration	LAM Logon was successful. User Name : sharon b User ID : {B 10D92F6-E48B-4914-889B-A4D4FD76BEF7}
05/11/2006 3:03:05 PM	Point-Of-Sale	LID Store item was successful. User Name : sharon b User ID : {B 10D92F6-E48B-4914-889B-A4D4FD76BEF7} IRN : 150917770235800000432 Mode : Present Check Type : Personal
05/11/2006 2:57:07 PM	Point-Of-Sale	LAM Authorize void item was successful. User Name : sharon b User ID : {B 10D92F6-E48B-4914-889B-A4D4FD76BEF7} Authorize User Name : sharon b Authorize User ID : {B 10D92F6-E48B-4914-889B-A4D4FD76BEF7} } Comment : ldkjif
05/11/2006 2:57:07 PM	Point-Of-Sale	LID Void item was successful. User Name : sharon b

05/11/2006

Page 1

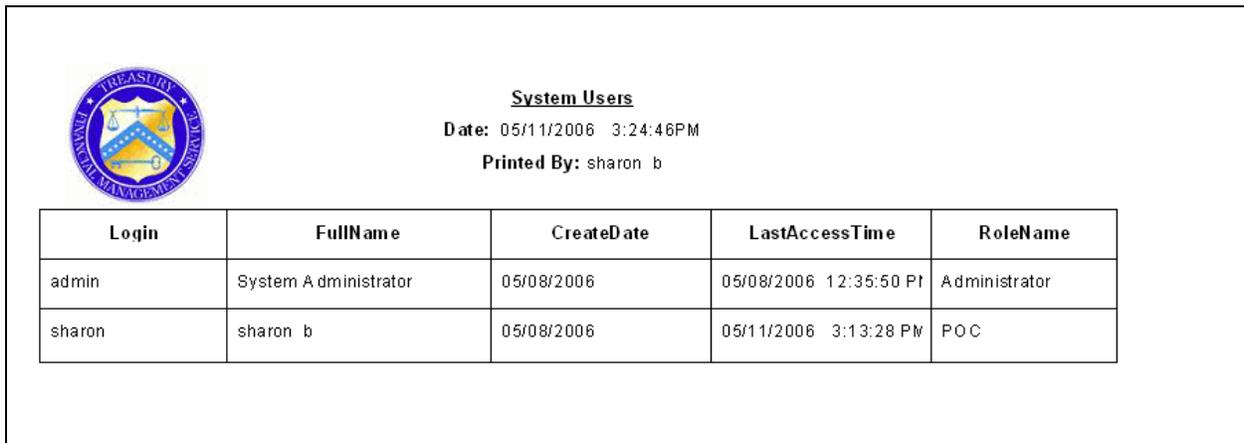
Figure 9.3

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. The report is similar to the example in 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 is available each business day, after 9:30am, for the prior day's transactions. It should be used to balance work from the previous business day. The information on the report is as follows: (Figure 9.5)

ALC/DSSN – The 10-character (example: 0000555501 up to 0000555599, or 00005555A1 up to 00005555ZZ) 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 the Treasury/FMS. Multiple computers using the POS application may use the same ALC. The 10-character ALC + 2 specifies an agency or type of location within the ALC and has a name associated with it.

Deposit Ticket Number – The deposit ticket number as entered into the CA\$HLINK II system.

Financial Agent – This is Citibank.

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 or operator 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.

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
chaydl	04/24/2006	2	\$945.32
edit new user	04/24/2006	12	\$77,170.40
edit new user	04/25/2006	15	\$10,439.15
pcc 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

Figure 9.5

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- character (example: 0000555501 up to 0000555599, or 00005555A1 up to 00005555ZZ) identifier used for accounting purposes to group transactions to a specific ALC+2.

Financial Agent - Citibank

Location name – the descriptive name of the Location to which the 10-character ALC belongs.

Settlement Date – The date that the return posted to CASHLINK 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.

Debit Voucher Number - The debit voucher number as entered into the CASHLINK II system

Unique Transaction ID – The IRN number assigned by the scanner that follows each transaction through to the CIRA and Treasury/FMS processing.

Date of Original Transaction – The date that the check was initially scanned by the cashier.

Original CASH LINK – 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.

Summary of the number of transactions.

Summary of the total dollar amount.

5515 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: 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	05 - Returned per ODFI Request
Summary number of transactions:		1				
Summary of total dollars:		\$3,192.00				

Figure 9.6

Appendix B - Return Reason Codes

ACH Return Reason Codes

These return codes are 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)

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	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
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
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 are processed via Check 21 include all non-personal items. Personal items may also be processed via Check 21.

Paper Check Return Codes

On September 17, 2010, PCC OTC migrated to a new back end system called Debit Gateway. As part of this migration, PCC OTC stopped using Paper Check Return Reason Codes. Instead, all Check21 items that are returned will use Check 21 Return Reason Codes. The Check 21 Return Reason Codes have a letter assigned to them rather than a 3 digit numeric value. This update will be encountered in the Return Reason Code field of the 5515 Debit Voucher Report.

Appendix C – System Administrator Responsibility

The Paper Check Conversion Over The Counter (PCC OTC) program requires the System Administrator to provide a small, but important, amount of system support at initial deployment. Basic System Administrator support is primarily 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 is 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 requires 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 or internet connection 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 the 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 POS operators 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 a deployment specialist and install the software from the CD, or request an ELVIS User Name for POS downloads. The ELVIS User Name for POS downloads and its associated password are only used for downloading the POS software from the ELVIS system.
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 the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Appendix D – Equipment Returns

If there are problems with the PCC OTC equipment that was purchased from the Treasury OTC Support Center, contact the Treasury OTC Support Center. A staff member verifies the warranty information (if any) and dollar valuation on the following pieces of equipment: Laptops, Scanners and Yes/No keypads. Otherwise, if the PCC OTC equipment was purchased directly from a vendor, please contact the vendor for warranty and/or repair information.

Please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com. If the warranty is active, the representative will provide the mailing address for the hardware shipping.

Equipment should be returned either by certified mail with return receipt, or FedEx. When using either method, please purchase insurance for the equipment's full dollar 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 PCC OTC equipment, please call the 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 Treasury OTC Support Center . 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 there are questions regarding this form, please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.

Appendix F – R5.4 Roles for ELVIS

The Security Contact for an Agency assigns a specific role to each person who needs access to PCC OTC information in ELVIS. Any role may be utilized (listed across the top) from one of the following two grids.

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	
POS Download					Y

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 G – 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 takes place by Treasury/FMS. Security Contacts are 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: FMS OTC Security Team
8283 Greensboro Drive
McLean, Va 22102
Email: FMS.OTCSecurity@citi.com

Appendix H – 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 the Treasury OTC Support Center, 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).

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 a second PCC OTC Security Contact person is designated. 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 at the Agency 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 the Treasury OTC Support Center, scanned and sent via email, or sent to the address information at the bottom of this form.

Appendix I – PCC OTC Rules of Behavior

PCC OTC System IT Security Rules of Behavior

The PCC OTC Rules of Behavior are 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 appear on the user's screen. Users are asked to read the rules, then click the 'I Agree' button at the bottom of the screen. User's who click the 'Decline' button are not permitted access to the system.

If you have any questions concerning the Rules of Behavior, please call the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com. Citibank is the new provider, effective January 1, 2009, for PCC OTC. Currently, the system is in transition between Citibank and the Federal Reserve Bank of Cleveland. Please contact the Treasury OTC Support Center for Support.

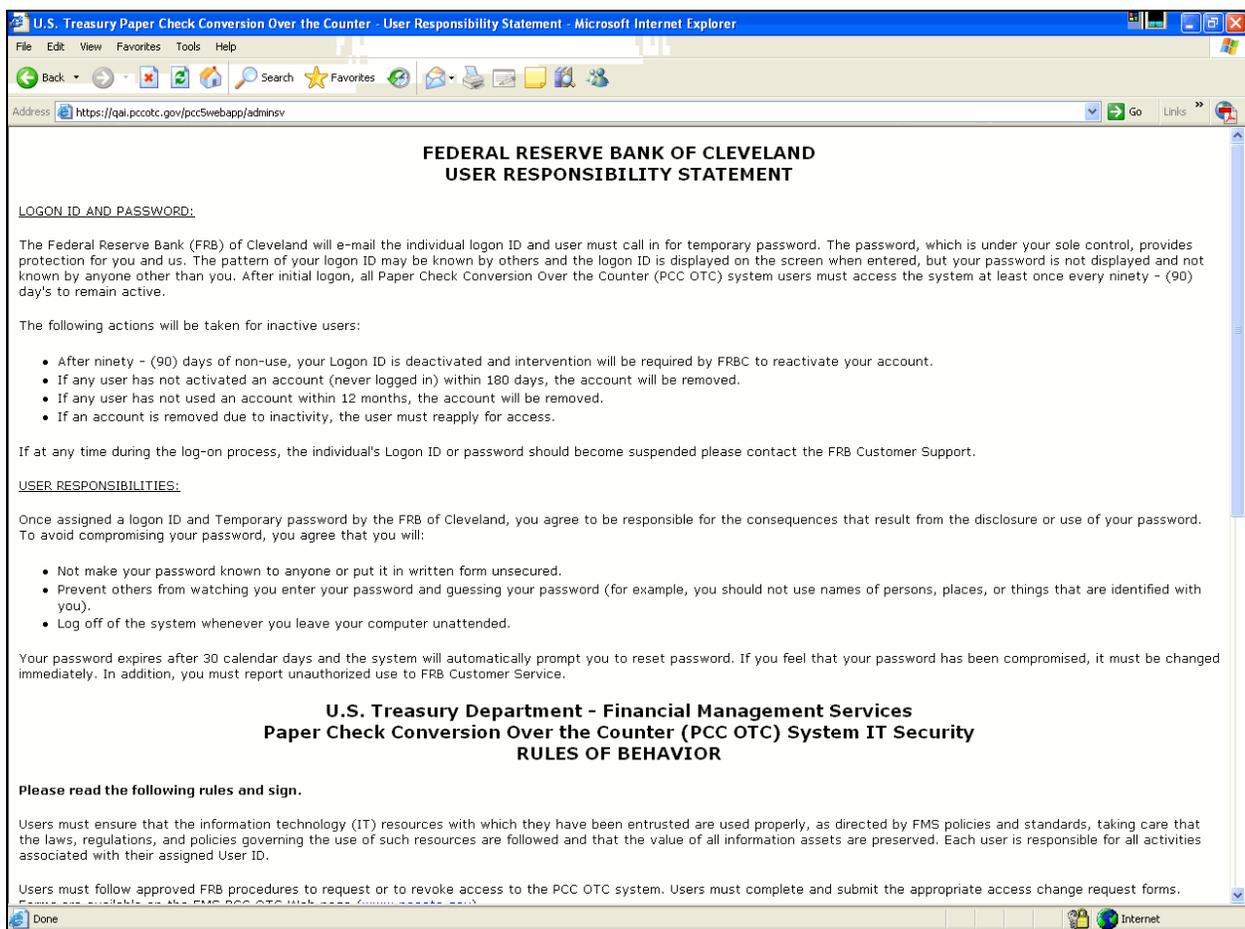


Figure 9.7

Appendix J – System Permission Descriptions for the POS

The permissions listed on the next page 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...
AuthorizeDuplicat	Allows a user to accept a duplicate within the POS.
AuthorizeMICRCorr ection	Allows a user to make MICR corrections within the POS.
AuthorizeOldVerific ation	Allows user to authorize the use of an out-of-date LVD.
AuthorizePoorImage Quality	Allows a user to accept items whose images are of poor quality within the POS.
BalanceCheckAmou nts	Allows a user to balance check amounts within the POS or Batch Manager.
ChangeBatchContro lValues	Allows a user to change batch control values within the POS or Batch Manager.
ChangeBatchStatus	Within Batch Manager, allows user to deactivate/reactivate, close, request acknowledgement, or upload a batch.
ChangeMode	Allows users to switch between customer present and customer not present modes during transaction entry.
ChangeOwnPasswor d	Allows users to change their password.
CloseBatch	Allows a user to close an open batch within the POS.
ConfigureBatchMan ager	Allows a user to change Batch Manager configuration settings i.e., columns shown, column order or column move.
ConfigurePOS	Allows user to operate POS configuration settings including scanner comm. Port, terminal ID, and enable/disable Yes/No Keypad
ConfigureQueueInte rface	Allows user to configure the Queue Interface in the SAT
ConfigureRoles	Allows user to add, edit or delete system roles
ConfigureSystem	Allows user to operate POS-SAT configuration 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 system.
ProcessTransactions	Allows a user the ability to scan new items.
RecoverFromSecon daryStorage	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 (for 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 K – Setting the EC6000i and EC 7000i 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.

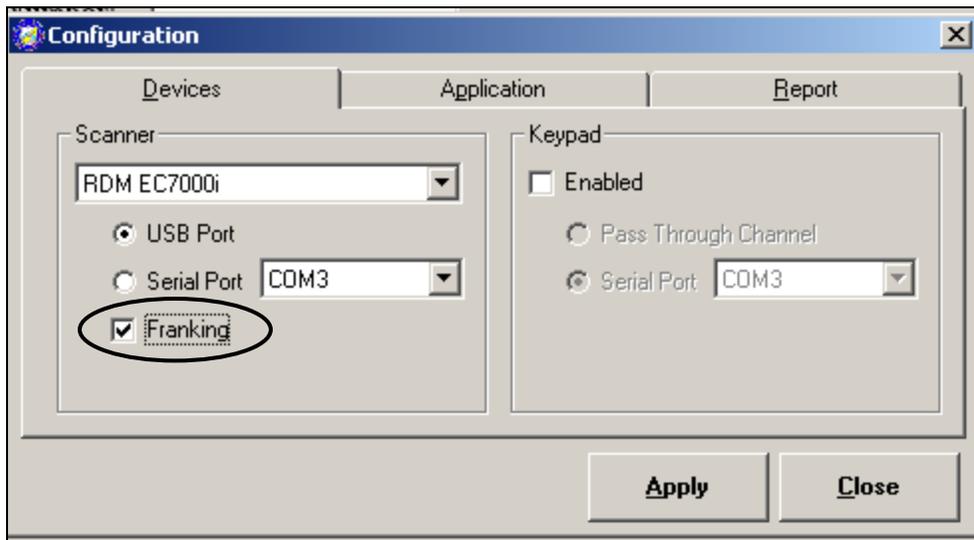
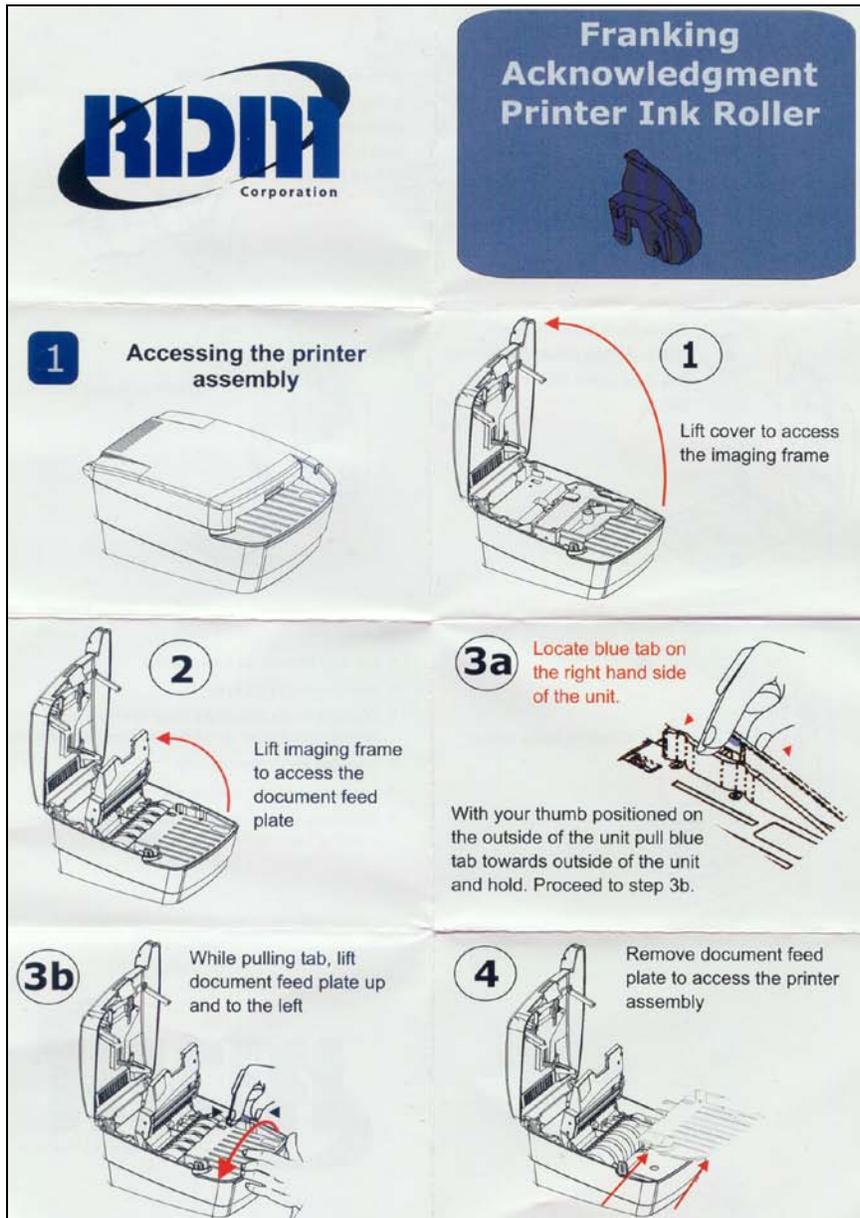


Figure 9.8

Installing the Ink Roller

To install the ink roller in the EC6000i and EC7000i, follow these steps:



2 Inserting the franking roller

Printer Assembly

1

With the franking roller flush to the back of the printer assembly, insert the roller until it locks (clicks) into place (Press Firmly)

2 Replace document feed plate. Press down firmly until the feed plate clicks into place

3 Close imaging frame

4 Close outside cover

Caution!

- ▶ Ink may be harmful if swallowed
- ▶ Avoid contact with eyes
- ▶ Damage to the unit or the roller resulting from modifying the roller is not the responsibility of RDM
- ▶ Intended for single use only
- ▶ Not licensed for modifications
- ▶ RDM may change product designs, features or specifications at any time



The image shows a four-step assembly process for a franking roller. Step 1: Inserting the roller into the printer assembly. Step 2: Replacing the document feed plate. Step 3: Closing the imaging frame. Step 4: Closing the outside cover. A caution section provides safety and usage instructions. The RDM Corporation logo is at the bottom.

Appendix L – RDM Scanner Information

Refer to the RDM EC5000i or RDM EC6000i/EC7000i User Manual at the end of this User Manual for more detailed information on the PCC OTC scanner.

Appendix M – 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. The admin users is also used by a POC to reset their own password should they forget it or become locked out of the system.

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 password for the ‘admin’ user will expire every 90 calendar days.

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 then needs to sign off as ‘admin’ and sign on as themselves. The system prompts 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 needs 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 the 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. The password will expire every 90 calendar days. If, at any time, the SAT system cannot be accessed via the 'admin' logon because the password is not known, the only way to restore the 'admin' logon 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 is only to be used in an emergency situation and should not be used as a daily logon ID.

ELVIS Access

Users who need to research check images, investigate and update verification records, and request reports need access to the ELVIS system. If applicable, access to ELVIS needs to be given to the new system administrator. Personnel no longer requiring access to the site's business activity (in ELVIS) need to be removed. Adding, changing and deleting users is done by completing the PCC OTC User Access Request Form. This is an electronic form that can be downloaded from the PCC OTC informational site at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>. Instructions on completing the form are included with the download.

All users of the ELVIS system must read and agree to the electronic Rules of Behavior form. The Rules of Behavior appears 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 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 User Manual, or for the most current form, download the form at <https://www.pccotc.gov/pccotc/Downloads/securityforms.htm>

Once a year, an email is sent to the PCC OTC Security Contacts at each Agency to verify that the personnel who have access to the ELVIS system are still valid users.

Appendix N – Glossary

A B A - American Bankers Association 9-digit routing and transit number.

ACH: Automated Clearing House – Electronic method of collection

A C K: Abbreviation for Acknowledgement.

A C L: 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.

A P A: Agency Participation Agreement. A document provided by Treasury/FMS and must be completed prior to participating in the PCC OTC program.

A S P: Agency Site Profile – A document that is 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 Treasury OTC Support Center.

ARC: Accounts Receivable Entry– the ACH standard entry class code for a consumer payment processed in a Customer 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.

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 Customer Not Present environment and converted to ACH.

Centralized deployment: The component that allows for the electronic download of upgrades to the POS system.

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 User Manual.

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 from which authorized users are 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.

Customer Present Processing Method: The processing method used in the POS when the check writer is presenting the check in person.

Customer Not Present Processing Method: The processing method used in the POS when the check writer is not present and has delivered the check in another manner, i.e., mail.

Deposit Ticket Report (215 Report): The report provided by Treasury/FMS to an Agency that Funds have been deposited into their CA\$HLINK II account.

Debit Voucher Report (5515 Report): The report provided by the Treasury/FMS 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 needs 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.

Fed ACH: Fed ACH 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 Treasury/FMS.

Settled- This transaction is complete and the funds have been credited to the Agency's CASHLINK II account. The effective date of the deposit and the 215 Deposit Ticket Report deposit ticket number are 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 receives a 5515 Report (Debit Voucher) with a debit processed to CASHLINK II which includes the effective date and debit voucher number. 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.

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.

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 O – Acronyms

A B A - American Bankers Association

ACH – Automated Clearing House

A C L - Access Control List

A P A - Agency Participation Agreement

A S P – 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

F I P S - Federal Information Processing Standard

FRB-C – Federal Reserve Bank of Cleveland

F R I T - Federal Reserve Information Technology

GB - Gigabyte

GHz – Gigahertz

I P – Internet Protocol

I T – Information Technology

J R E – 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

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

R5.4 – Release 5.4 (of the POS and ELVIS).

R A M – Random Access Memory

SAT – System Administration Tool

S O A P – Simple Object Access Protocol

SSL – Secure Socket Layer encryption

TWAI - Treasury Web Applications Infrastructure

U R L – Uniform Resource Locator

USB – Universal Serial Bus

U S T – United States Treasury

WSDL – Web Services Description Language

XML – Extensible Mark-up Language (Industry Standard)

Appendix P – Image Quality

The POS has a 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:

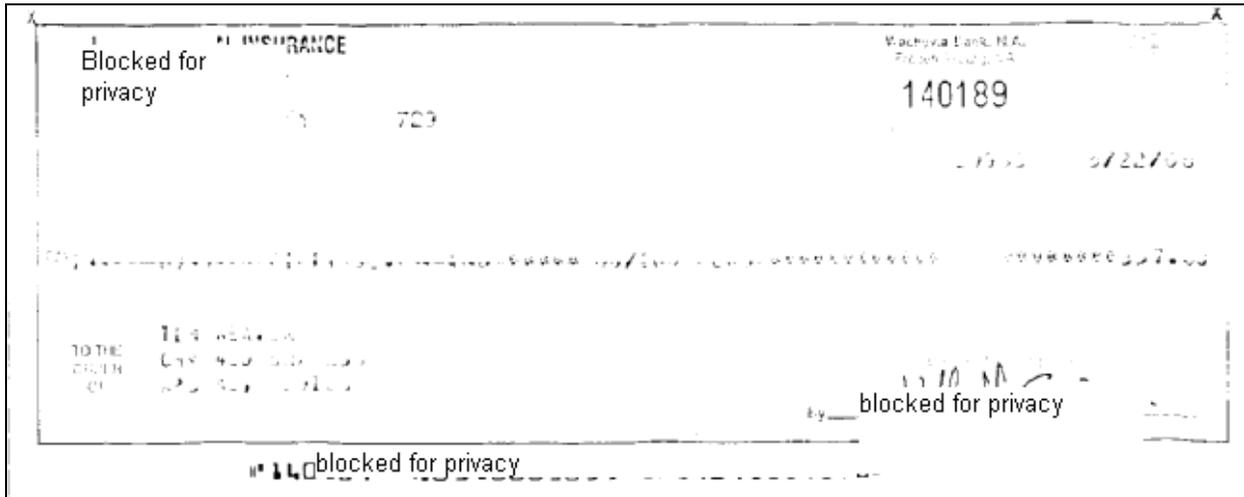


Figure 9.9

Good Image Quality:

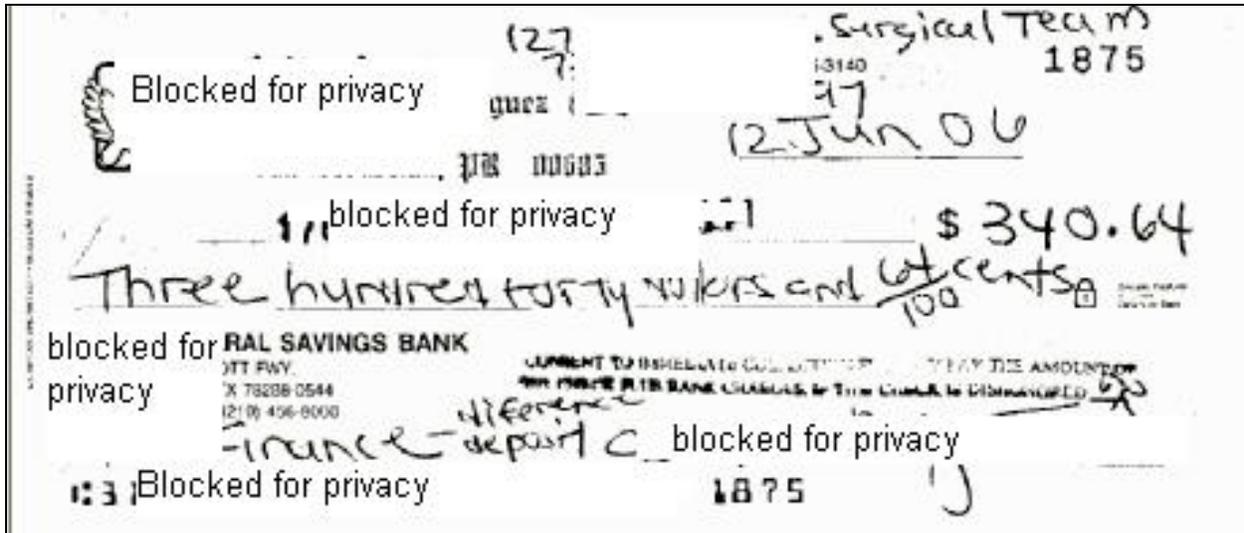


Figure 9.10

Appendix Q – CIRA CSV File Layout

Introduction

This document contains all of the fields available through the file layout for the CIRA CSV report in PCC OTC 5.4. The CSV report provides input into downstream systems, and provides PCC OTC 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
- 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

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		Report Title	String	CSV Agency Detailed Item Report	Report Title Constant
2		Date/Time	String	Thu May 05 12:27:53 EDT 2005	Date that the report was executed
3		Total Amount	String	TOTAL AMOUNT :	Constant String
		Total Amount Value	Float	39594.43	Total dollar amount of the items queried
4		Total number of items	String	TOTAL NUMBER OF ITEMS :	Constant String
		Total number of items value	Number	81	Number of items queried
5		IRN	String	IRN	Constant String column header, value of the IRN
		LOCATION NAME	String	LOCATION NAME	Constant String column header, ALC+2
		CAPTURE DATE	String	CAPTURE DATE	Constant String column header, Time the image and data was originally captured
		RECEIVE DATE	String	RECEIVE DATE	Constant String column header, Time the data was processed by PCC OTC
		TRANSIT NUMBER	String	TRANSIT NUMBER	Constant String column header, Routing number parsed from RAW MICR
		CHECK NUMBER	String	CHECK NUMBER	Constant String column header, Check number parsed from RAW MICR

Line Number	Field Number	Name	Type	Format/Sample	Description
		ACCOUNT	String	ACCOUNT	Constant String column header, Account number parsed from RAW MICR
		AMOUNT	String	AMOUNT	Constant String column header, Amount of the payment
		CASHIER ID	String	CASHIER ID	Constant String column header, Value provided by ALC+2 for the operator id
		CHECK TYPE	String	CHECK TYPE	Constant String column header, Check Type – either “Personal” or “Non-Personal”
		PROCESSING MODE	String	PROCESSING MODE	Constant String column header, Processing Mode – 3 options “Not Present”, “Present” or “Back Office”
		BATCH ID	String	Batch ID	Constant String column header. Batch containing the IRN
		SETTLEMENT DATE	String	Settlement Date	Constant String column header. Settlement Date
		DEBIT VOUCHER NUMBER	String	DEBIT VOUCHER NUMBER	Constant String column header. Debit Voucher Number
		DEPOSIT TICKET NUMBER	String	DEPOSIT TICKET NUMBER	Constant String column header. Deposit Ticker Number
		User field 1	String	USER FIELD 1	Constant String column header
		User field 2	String	USER FIELD 2	Constant String column header
		User field 3	String	USER FIELD 3	Constant String column header
		User field 4	String	USER FIELD 4	Constant String column header
		User field 5	String	USER FIELD 5	Constant String column header
		User field 6	String	USER FIELD 6	Constant String column header
		User field 7	String	USER FIELD 7	Constant String column header
		User field 8	String	USER FIELD 8	Constant String column header
		User field 9	String	USER FIELD 9	Constant String column header
		User field 10	String	USER FIELD 10	Constant String column header
		User field 11	String	USER FIELD 11	Constant String column header
		User field 12	String	USER FIELD 12	Constant String column header
		User field 13	String	USER FIELD 13	Constant String column header
		User field 14	String	USER FIELD 14	Constant String column header
		User field 15	String	USER FIELD 15	Constant String column header
		User field 16	String	USER FIELD 16	Constant String column header
		User field 17	String	USER FIELD 17	Constant String column header
		User field 18	String	USER FIELD 18	Constant String column header
		User field 19	String	USER FIELD 19	Constant String column header
		User field 20	String	USER FIELD 20	Constant String column header
		User field 21	String	USER FIELD 21	Constant String column header
		User field 22	String	USER FIELD 22	Constant String column header
		User field 23	String	USER FIELD 23	Constant String column header
		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
	IRN	String	11120150024460000608
	LOCATION NAME	String	0000633502
	Capture Date	Date/Time	2002-07-19 14:11:14
	Receive Date	Date/Time	2002-07-22 07:31:19
	TRANSIT NUMBER	String	251480576
	CHECK NUMBER	String	4114784
	ACCOUNT	String	787910415647
	AMOUNT	String	38.81
	CASHIER ID	String	Patrick
	CHECK TYPE	String	Personal Non-Personal
	PROCESSING MODE	String	Not Present Present Back Office
	BATCH ID	String	FF1E9FE2-FB22-4353-A27A-06C86FC3D2AA
	SETTLEMENT DATE		2002-08-22 07:43:10
	DEBIT VOUCHER NUMBER	String	24
	DEPOSIT TICKET NUMBER	String	8
	User field 1	String	USER FIELD 1
	User field 2	String	USER FIELD 2
	User field 3	String	USER FIELD 3
	User field 4	String	USER FIELD 4
	User field 5	String	USER FIELD 5
	User field 6	String	USER FIELD 6
	User field 7	String	USER FIELD 7
	User field 8	String	USER FIELD 8
	User field 9	String	USER FIELD 9
	User field 10	String	USER FIELD 10
	User field 11	String	USER FIELD 11
	User field 12	String	USER FIELD 12
	User field 13	String	USER FIELD 13
	User field 14	String	USER FIELD 14
	User field 15	String	USER FIELD 15
	User field 16	String	USER FIELD 16
	User field 17	String	USER FIELD 17
	User field 18	String	USER FIELD 18
	User field 19	String	USER FIELD 19
	User field 20	String	USER FIELD 20
	User field 21	String	USER FIELD 21
	User field 22	String	USER FIELD 22
	User field 23	String	USER FIELD 23
	User field 24	String	USER FIELD 24

Appendix S – Transaction Status Monitoring and Codes

Status Code Monitoring

This section of the Appendix describes how transaction status codes are applied in ELVIS during forward file and return processing, and lists the codes that are used and their corresponding descriptions.

PCC OTC Processing

Forward files

- ◆ Batches are uploaded to ELVIS from the POS computer.
- ◆ ELVIS forwards the batches for processing to the back end processor to be settled.
- ◆ The back-end system decides how to settle the items based on the check type of either:
 - Corporate check
 - Consumer POP (person present)
 - Consumer ARC (person not present)
- ◆ Items can be settled as either:
 - ACH – these items are settled electronically and do not require an image
 - Check 21 – these items are settled electronically using a substitute check. They require an image before settlement can occur.
 - Paper – these items use the physical check for settlement.
- ◆ An origination RPF file is sent. Codes 199, 012 and 013 are sent in this RPF.
- ◆ Codes 012 and 013 items do not have their status updated but for 012's, an image request is created. 013=ACH origination; 012=Paper Draft.
- ◆ 199's are updated with the status code of 'failed'.
- ◆ A settlement RPF (Return Processing File) is sent the morning after the files were uploaded, usually around 8:30am. Codes 412, 413, and 199 are sent to ELVIS. Items

receiving a 412 and 413 code are updated with the status of 'settled'. These items receive a settlement date and a deposit ticket number.

- ◆ Items receiving a 199 code are failed items and do not receive a settlement date or deposit ticket number.
- ◆ Settled items are included in the Deposit Ticket Report for that settlement day.
- ◆ Settlement status is a prediction only – the back-end system will assume that all money can be collected for the items sent in a forward file. This is the end of forward file processing.

Returns

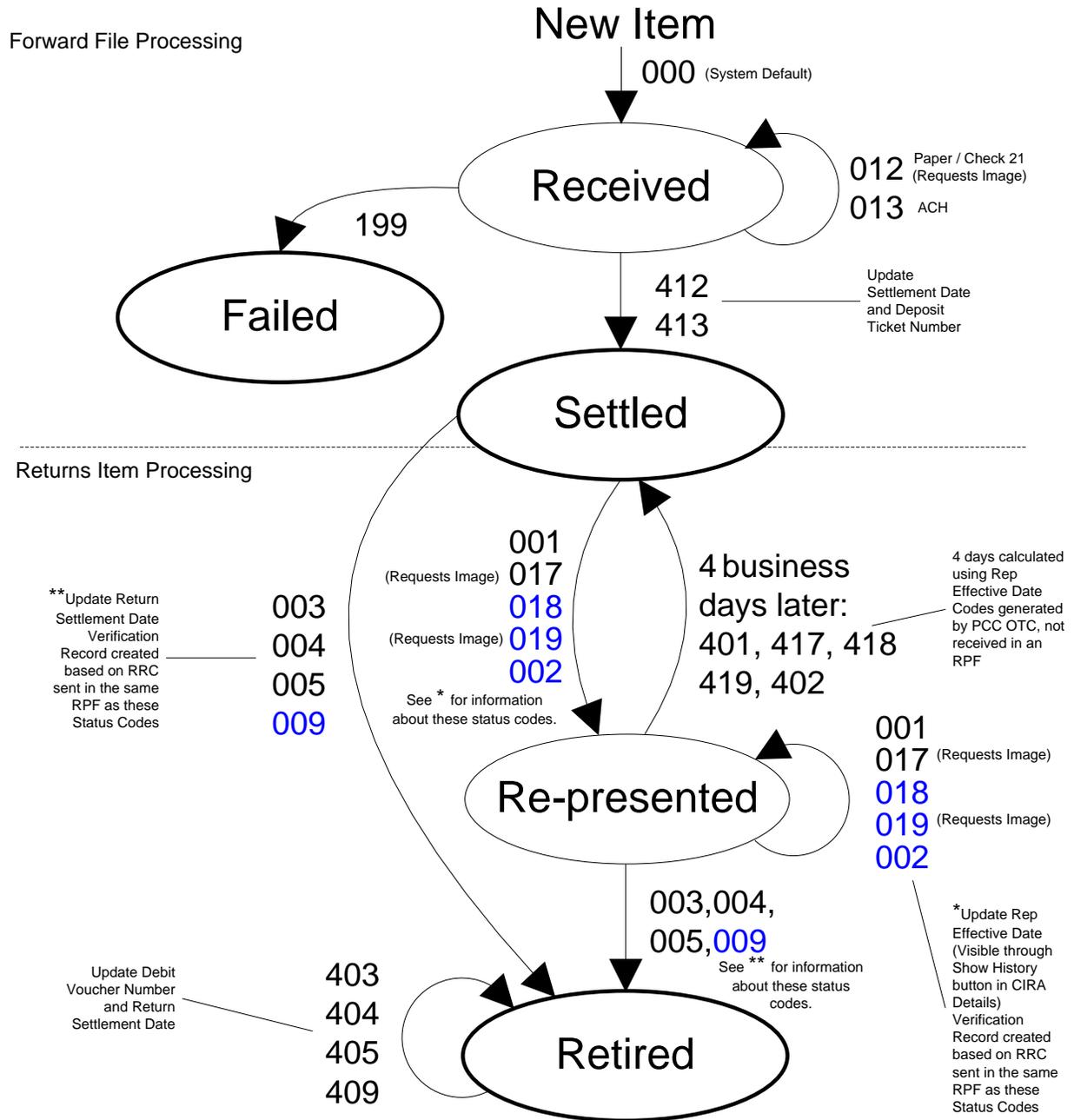
Once settlement occurs, an item can be returned for various reasons, i.e., insufficient funds, account closed, etc.

- ◆ A return RPF is sent. This file contains the return reason code. All status codes in the return RPF begin with a zero which indicates 'accepted'. It is NOT in it's final state.
- ◆ Items with codes 001, 002, 017, 018, & 019 are updated with the status of 'represented' and the date is stored in ELVIS and can be viewed using the CIRA Query 'Show History' button in the 'Rep Effective Date' field.
- ◆ If the represented item is not collected within 4 days from the Rep Effective Date, the item status in ELVIS will be updated to a transaction status code of 401, 417, 418, 419, or 402.
- ◆ An ACH item can usually only be represented twice unless specific arrangements are made. Upon the 3rd representment, the item will be retired in ELVIS. Paper items can only be represented once and will retire in ELVIS upon the 2nd representment. Locations can also choose to not have items represent in which case an item would just retire.
- ◆ Codes 017 and 019 update the status code to represented and generate an image request.
- ◆ Items with 003, 004, 005, and 009 are updated with the status of 'retired' and the return settlement date is updated.
- ◆ Verification records are created for returned items and can be viewed in the verification Query (based on the locations visibility filters).
- ◆ A 2nd RPF, the 'return settlement' file is then sent. This file does not contain return reason codes. Transaction status codes in this RPF start with the number 4 which indicates that the item has been completed and is in its final state.

- ◆ Codes 403, 404, 405, and 409 are already in a retired state so the status remains 'retired'. The return settlement date field in the CIRA Query 'Show History' screen are updated and a debit voucher number is created.

PCC OTC Status Monitoring Diagram

Explains Transaction Status Codes



The Status Code 011 may appear in an RPF, but is ignored. Another RPF is sent from US Dataworks where the 011 Status Code is reworked as a 005, 018 or 019, and the 005, 018 or 019 is processed.

PCC OTC Transaction Status Codes

Transaction Status Code	Description	System Action
000	Received	In-Process status assigned by Treasury/FMS.
199	Failed	Change status to Failed.
012	Paper Draft	Create an image request.
013	ACH Origination	Does nothing, ignored by system.
412	Paper Draft	Change status to Settled.
413	ACH Origination	Record the Settlement Date and the Deposit Ticket Number.
001	ACH Redeposit	Change status to Represented.
002	Paper Redeposit	Store the Rep Effective Date.
018	Manual ACH Redeposit	Treasury/FMS will remove the Debit Voucher Number from CIRA if it exists.
017	Paper Redeposit Draft	Change to status to Represented.
019	Manual Paper Redeposit Draft	Create an image request. Store the Rep Effective Date. Treasury/FMS will remove the Debit Voucher Number from CIRA if it exists.
003	ACH Retire	Change status to Retired.
004	Paper Retire	Return settlement date is updated
005	Retire Manual – Redeposit	
009	System Retire	Error – Duplicate Dishonor item
401	ACH Redeposit	Change status to Settled.
402	Paper Redeposit	After 4 days, items with the following codes 001,002,017,018, and 019 will be changed to 401, 402, 417, 418, and 419. These codes are not received from US Dataworks but Changed by Treasury/FMS.
417	Paper Redeposit Draft	
418	Manual ACH Redeposit	
	Manual Paper Redeposit	

Transaction Status Code	Description	System Action
419	Draft	
403	ACH Retire	Change status to Retired.
404	Paper Retire	Record the Debit Voucher number. Update Return Settlement Date.
405	Retire Manual – Redeposit	



EC5000i User Manual

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		No changes to this document which is a manufacturer's document	

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.

Copyright @ RDM Corporation

All rights reserved. No part of this document may be reproduced in any form without the written consent of RDM Corporation

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 sun 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 of an authorized representative of RDM Corporation. For information, contact Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.



Requirements & Recommendations

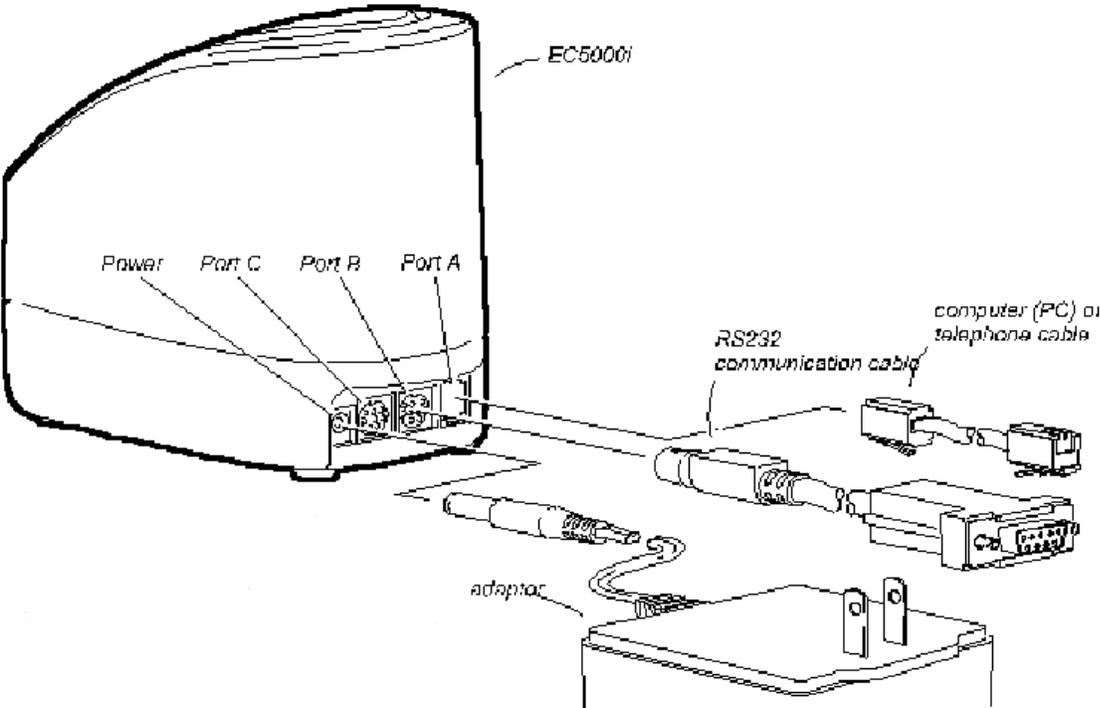
Requirements

- 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

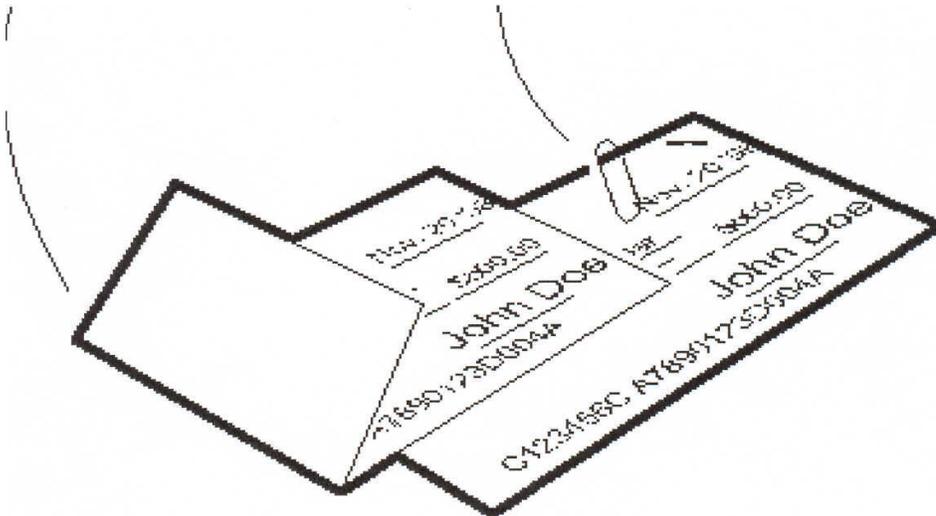
Preparing Checks

To reduce the possibility of errors and damage to the unit, you should:

- Remove all folds and creases
- Remove any paper clips and staples from the check

Remove all Folds and Creases

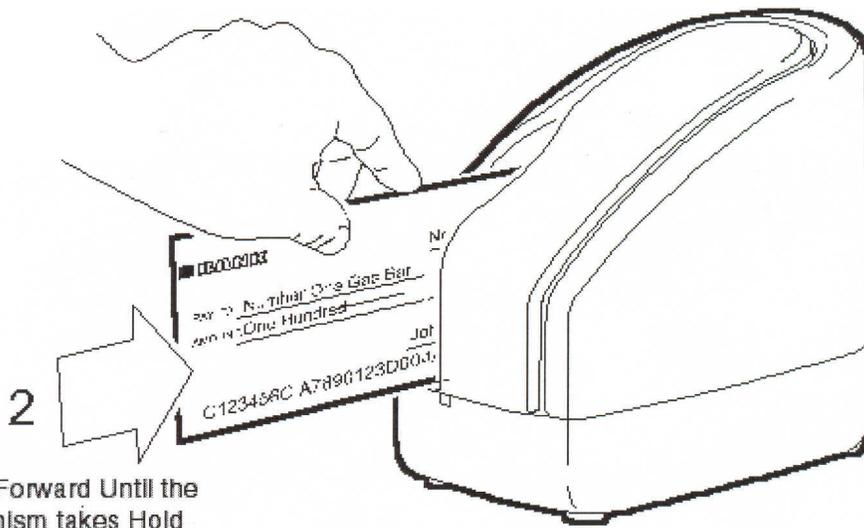
Remove Paper Clips and Staples



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



Push Check Forward Until the Drive Mechanism takes Hold

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 Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.
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 Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com.
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.

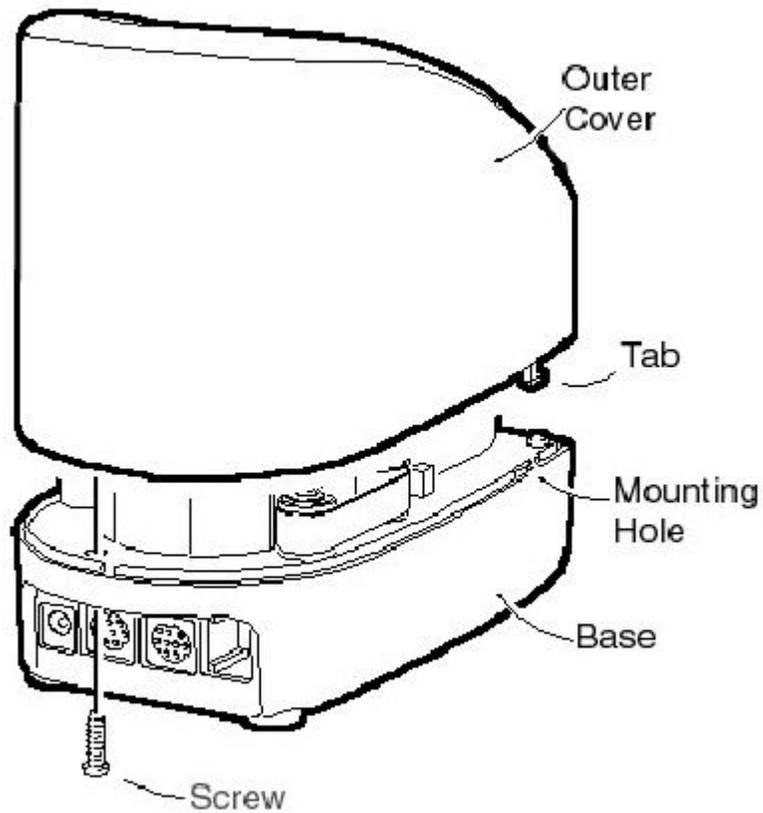
NOTE: Before removing the cover, DISCONNECT all cables.

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

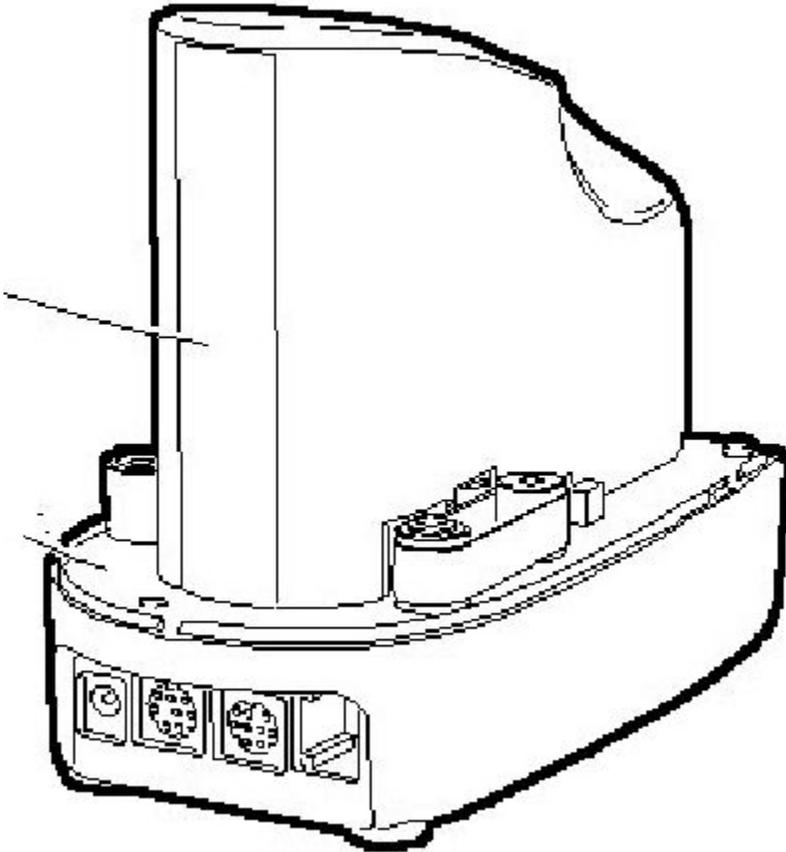
The EC5000i performs best when all working surfaces are clean and the track area is free of foreign material.

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 Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com

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, nor 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.

Copyright© RDM Corporation, 2005

All rights reserved. No part of this document may be reproduced in any form without the written consent of RDM Corporation.

Part Number: 302655 Revision Number: A

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
11/2007		No changes to this document which is a manufacturer's document	

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.

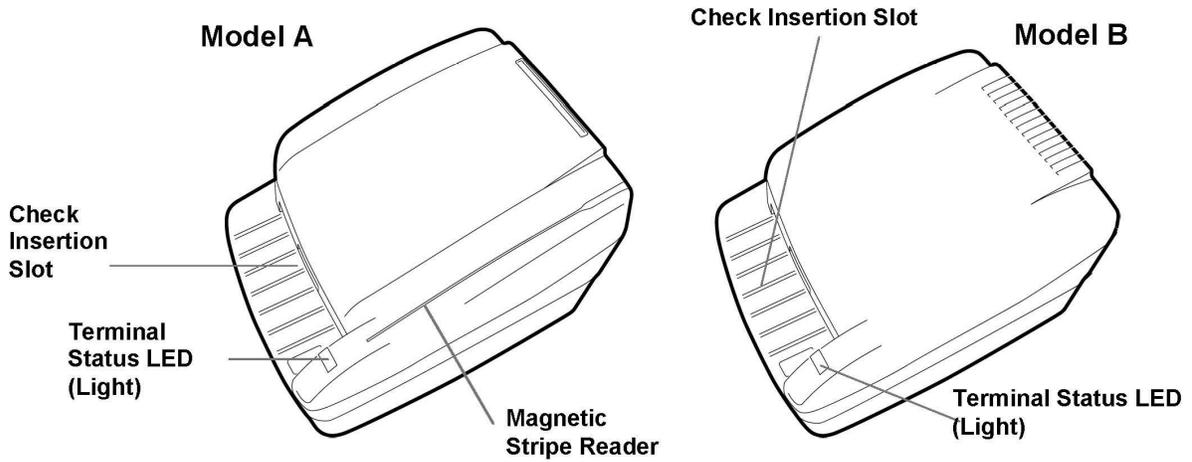
NOTE: Before unpacking the box, examine it for damage received during shipping. If the scanner, or any component, appears damaged, do not use it. File a claim with the shipping company and contact your distributor.

Your EC6000i Gen2 or EC7000i product package includes the following:

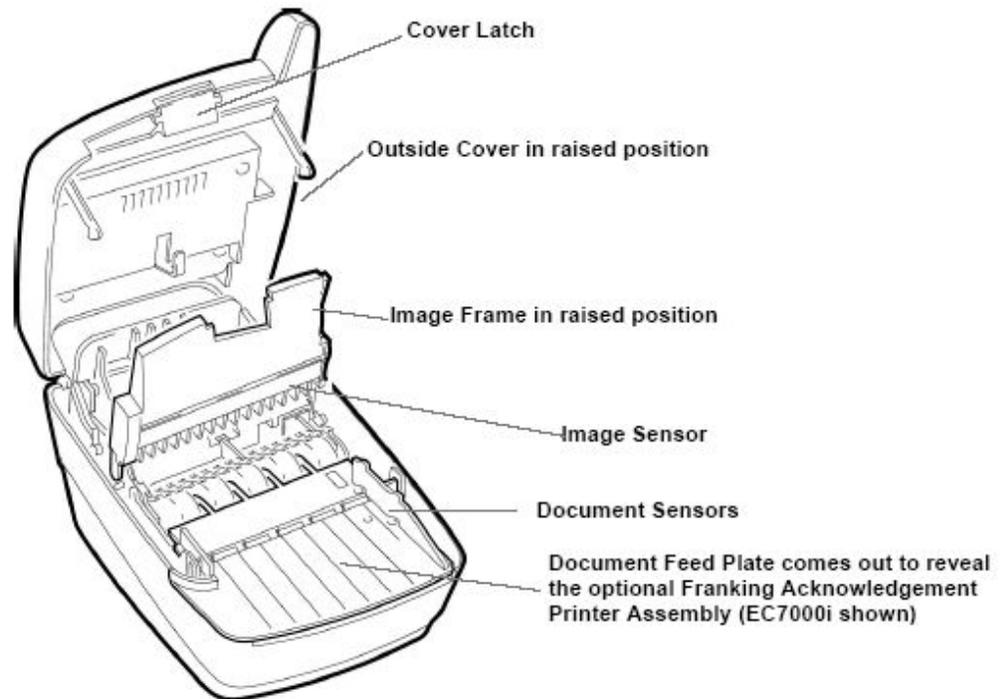
- The EC6000i Gen2 or EC7000i scanner
- Power adapter
- Telephone line (optional with modem)
- Franking Acknowledgement Printer Cartridge (optional)

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).

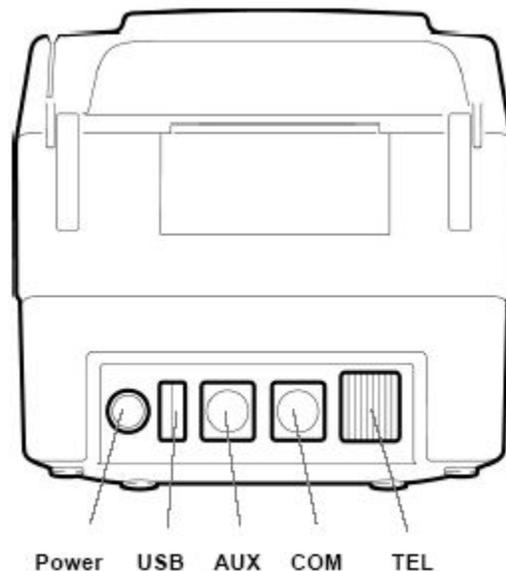
Power: Red: Connect the power adaptor to this port.

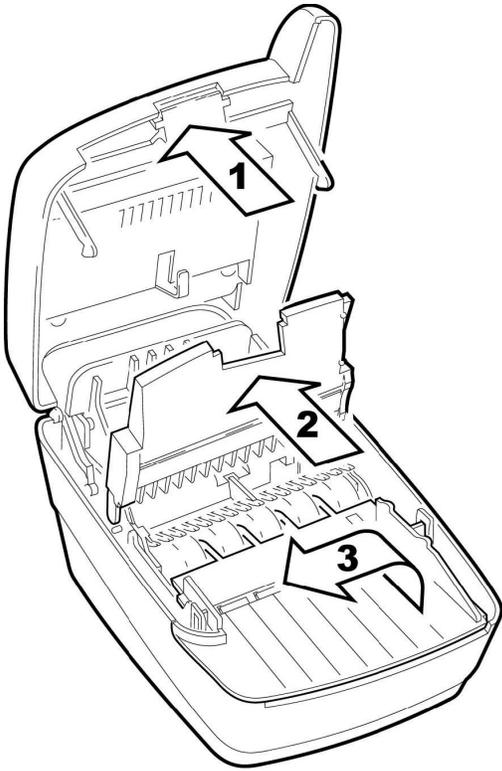
USB: Orange. Use this port to connect to a PC.

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.



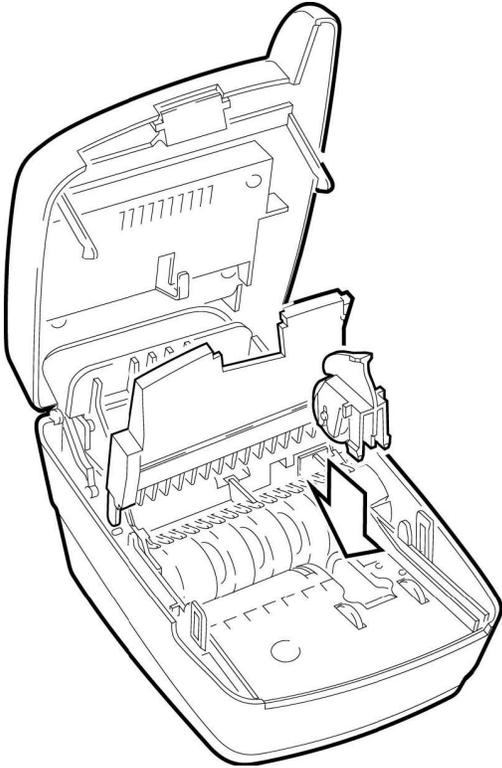


D. Insert the Franking Acknowledgement Printer Cartridge (Optional)

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:

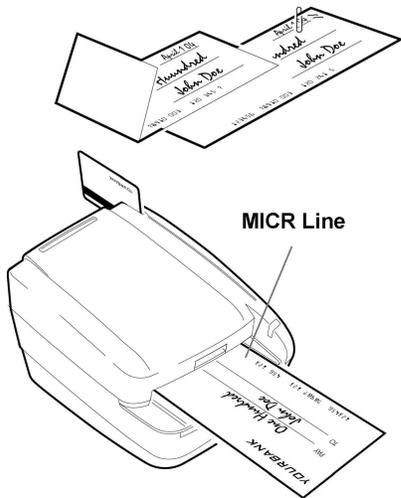
- Remove all folds and creases in the check.
- Remove any paper clips and staples from the check.

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.

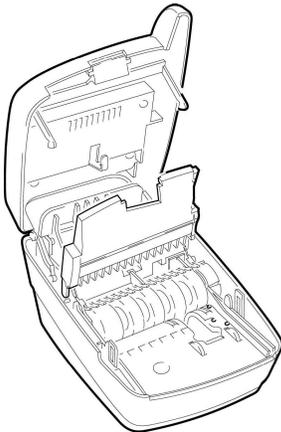
Maintaining the EC6000i Gen2 or EC7000i

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.



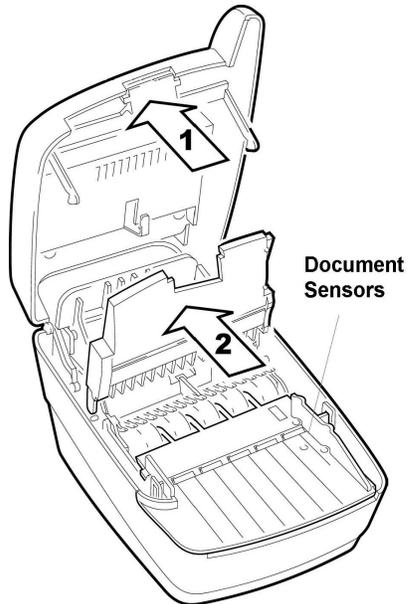
To clean the outside cabinetry: Use a damp cloth and mild soap.

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.

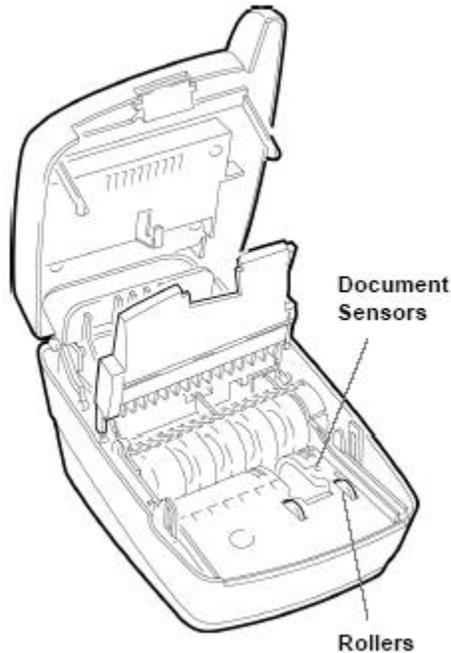
Modem Does Not Function

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.

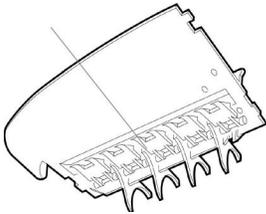
Check Feeder Does Not Function Properly



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).

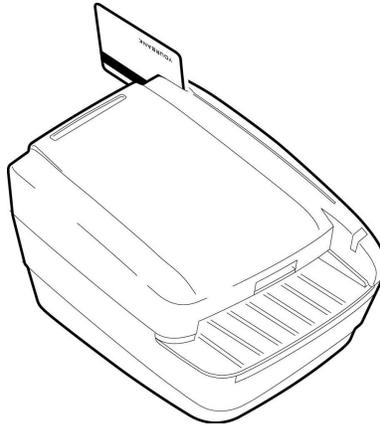


5. Use a lens cleaning tissue or a damp lint-free cloth to remove any ink or dust from the document sensors.
6. Ensure that the rollers under the baffle are clean (EC7000i only).
7. Re-close the imaging frame and cover.

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.

In the event repairs are ever needed on the scanner, they should be performed by RDM Corporation or an authorized representative of RDM Corporation (by going through the Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com)



Copyright© RDM Corporation, 2005

All rights reserved. No part of this document may be reproduced in any form without the written consent of RDM Corporation.

Part Number: 302655 Revision Number: A

Waterloo, Ontario Canada

Panini My Vision X Operator Manual



Advanced Solutions
for Document Processing

My Vision X

CONTENTS

- 1 *Preface*
- 2 *General*
 - 1.1 Audience
 - 1.2 Safety Precautions
 - 1.3 If the Machine is Damaged
- 2. *Learning about the Panini My Vision X*
 - 2.1 Packaging List
 - 2.2 External Parts Description
 - 2.3 Internal Parts Description
- 3. *Operating your Panini My Vision X*
 - 3.1 Document Support Installation
 - 3.2 Extension Plate Installation
 - 3.3 Power Cables Connection
 - 3.4 USB 2 Cable Connection
 - 3.5 HP C6602A Ink-Jet Cartridge Installation
 - 3.6 HP 51604A rev.B Ink-Jet Cartridge Installation
 - 3.7 Pocket Length Adjustment



Advanced Solutions
for Document Processing

My Vision X

4. Getting started

- 4.1 Status Lights
- 4.2 How to Prepare and Load Checks
- 4.3 Clearing Jams

5. Maintenance

- 5.1 Cleaning the Transport
- 5.2 Cleaning the Contact Image Sensors
- 5.3 Cleaning the HP C6602A Ink-Jet cartridge
- 5.4 Cleaning the HP 51604A rev.B Ink-Jet Cartridge
- 5.5 Cleaning Photocells Detector
- 5.6 Replacing the Feeder and Separator Rollers
- 5.7 Cleaning the Reading Transport Belt
- 5.8 Install the External Covers

6. Specifications

- 6.1 Technical specifications of the Panini My Vision X
- 6.2 Technical specifications of the PC

- 1 *My Vision X SD Addendum*
- 2 *My Vision X AGP Addendum*

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
11/2007		No changes to this document which is a manufacturer's document	



My Vision X

Fifth Edition: July 2006 Panini Part No. HA-00093-04

© 2006 PANINI SpA Via Po, 39 10124 Torino Italy Internet: www.panini.com

PANINI NORTH AMERICA (Subsidiary) 577 Congress Park Drive Dayton, OH 45459 (USA)

This manual and the software described in it are protected under the Panini S.p.A Copyright. All rights reserved. Reproduction of this material in any form without the express written consent of Panini SpA or its subsidiaries is prohibited. PANINI SpA PROVIDES THIS MANUAL "AS IS" WITHOUT WARRANTY OF ANY KIND, EXPRESS OR IMPLIED, INCLUDING, BUT NOT LIMITED TO THE IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE. PANINI SpA MAY MAKE IMPROVEMENTS AND OR CHANGES IN THE PRODUCT(S) AND OR THE PROGRAM(S) DESCRIBED IN THIS MANUAL AT ANY TIME AND WITHOUT NOTICE. This manual could contain technical inaccuracies or typographical errors. Changes are periodically made to the information herein; these changes will be incorporated in new editions of this publication.



Advanced Solutions
for Document Processing

My Vision X

Trademark Acknowledgement

PANINI logo, My Vision X, Vision API, ICR Vision and MICR Plus are trademarks or registered trademarks of Panini SpA.

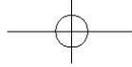
The mark **CE** affixed to the product certifies that the product satisfies the basic quality requirements.



The Panini My Vision X is also UL 950 compliant:

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 own expense.

© 2006 PANINI S.p.A., ALL RIGHTS RESERVED



My Vision X

Proper Disposal of WEEE

FOR COUNTRIES IN THE EUROPEAN UNION (EU)

The European Commission of the European Union has determined that electrical and electronic equipment on the market today contain parts and components that may be properly reused or recycled to reduce quantities of materials ultimately disposed in landfills and other disposal arenas. To address this determination, waste electrical and electronic equipment (WEEE) should not be collected or disposed with unsorted waste from private households or businesses. Rather, it must be collected separately. Offenders will be subjected to the penalties and measures laid down by the law. To that end, Panini products are appropriately marked with the European Union WEEE Directive's crossed-out dustbin symbol to indicate:

- the requirement for separate collection of electrical and electronic equipment put on the market after August 13, 2005.
- Panini guarantees the activation of the treatment, collection, recycling and disposal procedures in accordance with the directive 2003/108/CE (and subsequent amendments).

To dispose of our devices correctly:

- Contact the Local Authorities, who will give you the practical information you need and the instructions for handling the waste correctly, for example: location and times of the waste collection centres, etc.
- When you purchase a new device of ours, give a used device similar to the one purchased to our distributor for disposal.

FOR OTHER COUNTRIES (NOT IN THE EU)

The treatment, collection, recycling and disposal of electric and electronic devices will be carried out in accordance with the laws in force in the country in question.



My Vision X

O. Preface

Here is an overview of the manual layout:

Chapter 1: “General” introduces you to all the general information regarding the manual or the Panini My Vision X.

Chapter 2: “Learning about Panini My Vision X” introduces you to all the major components of your machine.

Chapter 3: “Operating your Panini My Vision X” describes simple installation procedures.

Chapter 4: “Getting started” explains how to operate the My Vision X.

Chapter 5: “Maintenance” describes how to solve problems that you may encounter using this machine.

Chapter 6: “Specifications” lists the main functions of the My Vision X and the features of the PC.



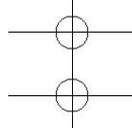
My Vision X

1. General

Congratulations on your selection of the Panini My Vision X! The Panini My Vision X is a new generation of check scanners. With a small footprint, sleek design and quiet operation, the Panini My Vision X fits perfectly in a small area such as a teller window, or on the back counter of bank branches.

The Panini My Vision X incorporates the latest, state-of-the-art technology and the latest standards for check processing in the market place.

A unique, patent-pending 3-mode feeder can be found in the Panini My Vision X, allowing for single item feeding, up to 30 items batch feeding with single hand insertion (in this case it is always possible to insert documents with one hand only) or up to 100 items batch insertion by manually moving the pressure plate. Options with limited feeder capacity are also available to cover specific customer needs. MICR reading technology available with the Panini My Vision X is comparable to the larger and faster reader sorter, thanks to the Panini MICR Plus™ technology. Taking advantage of the most up to date technology, the Panini My Vision X connects to computers via USB 2.0 interface, allowing for fast data transfer at no additional cost. A rear Ink-Jet endorser can also be found on the Panini My Vision X. The Panini Vision API is standard on the My Vision X, guaranteeing easy and reliable software integration. Finally, the Panini My Vision X has been designed specifically to allow for entire track accessibility, including scanner area, for easy intervention and for maintenance purposes.



My Vision X



1.1 Audience

This manual is written primarily for personnel who process checks or other documents.

1.2 Safety Precautions

Before you begin operating or servicing your My Vision X as instructed in this manual, please make sure

you read and understand these important safety instructions.

Dress safely. Do not wear loose clothing, long hair or jewelry that can become entangled in moving parts.

Do not allow anything to rest on the power cord. Do not locate the My Vision X where people may walk on the cord.

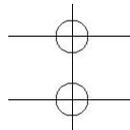
Always unplug the My Vision X before cleaning.

Do not attempt to service or repair the My Vision X, except as instructed elsewhere in this manual.

Attempting to service or repair the external power supply of the My Vision X may expose you to dangerous voltage points or other risks.

Refer all servicing to qualified service personnel.

OPERATOR MANUAL Page 9 General



Advanced Solutions
for Document Processing

My Vision X

1.3 If the Machine is Damaged

Unplug the My Vision X from the wall outlet and refer servicing to qualified personnel under the following conditions:

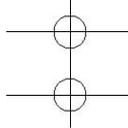
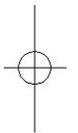
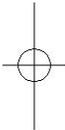
- If the power cord is damaged or frayed.
- If liquid has been spilled into the product.

- If the equipment has been exposed to rain or water.
- If the equipment does not operate normally when the operating instructions are followed.
- If the equipment has been dropped or damaged.
- If the equipment exhibits a distinct change in performance, indicating a need for service.

Adjust only those controls and replace only those items that are covered by the instructions in this manual.

If you attempt to make adjustments not covered in this manual, you may damage the equipment and void the warranty.

Unauthorized adjustments or repairs may result in the need for extensive work by a qualified technician to return the equipment to its proper working condition.

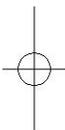


My Vision X

2. Learning About the Panini My Vision X

The Panini My Vision X is a compact, easy-to-use and quiet scanner. The Panini My Vision X automatically scans the front and/or rear of checks while simultaneously capturing the Magnetic Ink Character Recognition (MICR) code line. An optional Ink-Jet endorser prints alphanumeric characters on the rear of items. Any of the Windows standard fonts can be used for printing endorsements. The Panini My Vision X is connected to a PC via a USB2.0 interface.

2.1 Packaging List



The Panini My Vision X package includes: ^{1 2 3 4}

- Operator Manual (1)
- Accessories box (2)*
- Panini My Vision X scanner unit (3)
- Power cable (4)

(*) The accessories box contains:

- Feeder Extension
- Extension plate
- Ink-Jet Cartridge HP C6602A
(Panini P/N: CA-00138-00)
- Ink-Jet Plastic Lever (adapter for HP 51604A cartridge)
- USB 2 Cable
- Power Supply
- #1 Feeder Ring, #1 Front Separator Ring, #1 Rear Separator Ring

Fig.1

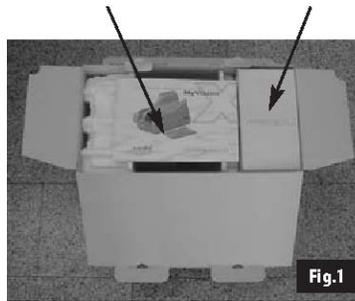
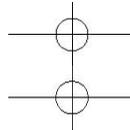
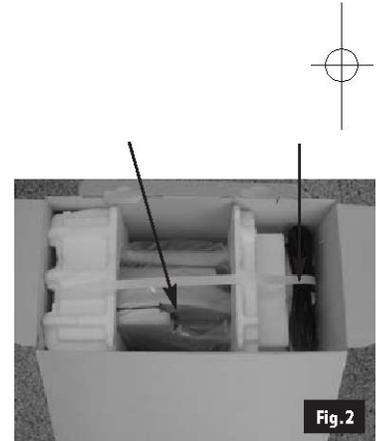


Fig.2



Advanced Solutions
for Document Processing

My Vision X

Removing the Panini My Vision X from the Packaging

- 1 Remove the Accessories box, the operator manual and the power cable out of the packaging.
- 2 Holding the packaging down with one hand, lift the My Vision X together with the packing materials

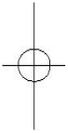
Plastic handle making use of the plastic handle (Fig.3).

C

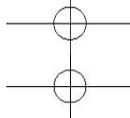


B

A



- Attention:
- Don't use the plastic handle to carry the My Vision X from one place to another. Use it only to extract the device from its packaging.
 - During unpackaging, do not remove or pull the Mylar blades A, B and C (see Fig.4).



Advanced Solutions
for Document Processing

My Vision X

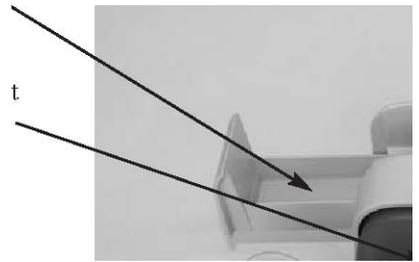
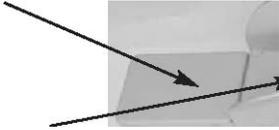
2.2 External Parts Description

This section describes the major components of the Panini My Vision X. The component names introduced here and shown in the figures are used throughout this manual.

Pocket Extension

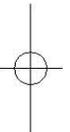
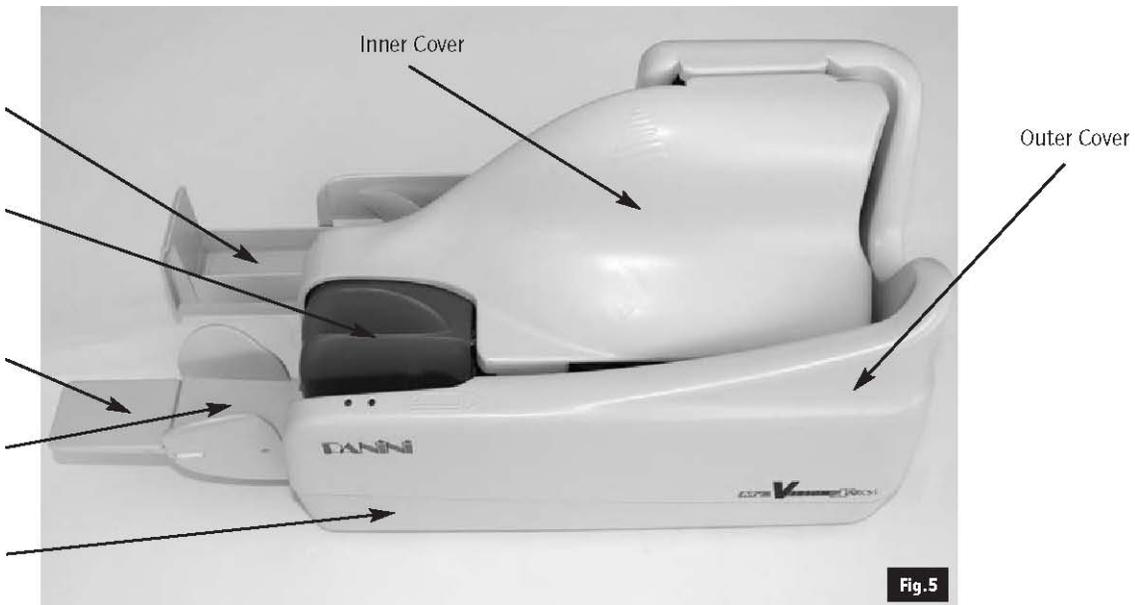
Document Pressure Plate

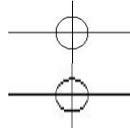
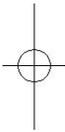
Extension Plate



Feeder Extension

Bottom Cover

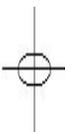


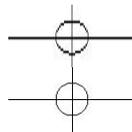
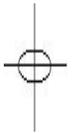
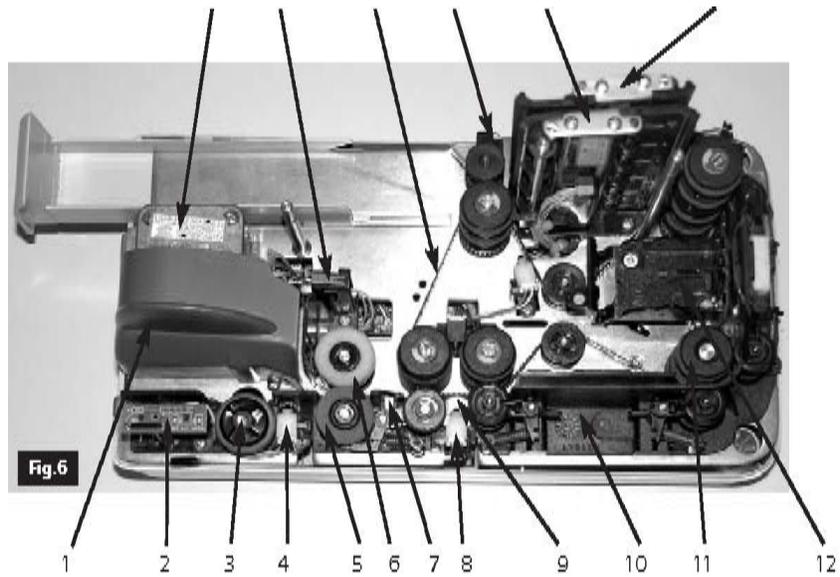


My Vision X

2.3 Internal Parts Description

1	Document Pressure Plate	18	17	16	15	14	13
2	LED and interlock board						
3	Feeder Roller						
4	Feeder Sensor						
5	Separator Roller						
6	Rear Separator Roller						
7	Pre-magnetization Head						
8	Synchronization Sensor						
9	MICR Reading Head						
10	"U" Track Wall						
11	Transport Rollers						
12	Ink-Jet Cartridge Cradle						
13	Front Image Camera						
14	Rear Image Camera						
15	Pocket sensor						
16	Transport Belt						
17	Interlock Board						
18	Feeder Motor						





3. Operating your Panini My Vision X

3.1 Document Support Installation

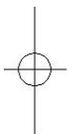
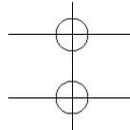
Insert the Feeder Extension in the slot uncovered by pushing back the Document Pressure Plate. Installation is correct if the Feeder Extension is at the same level of the entrance of the scanner platform.



Feeder Extension

Document Pressure Plate

Slot

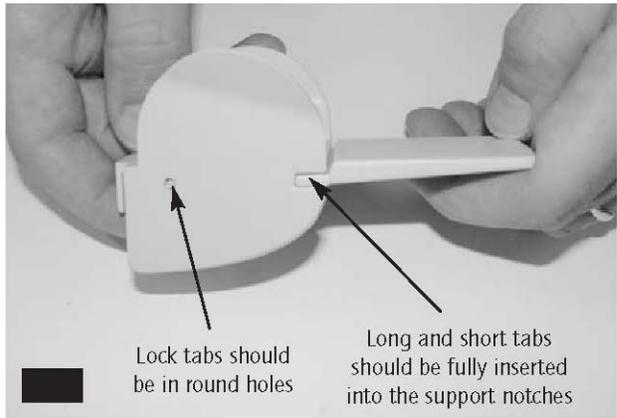
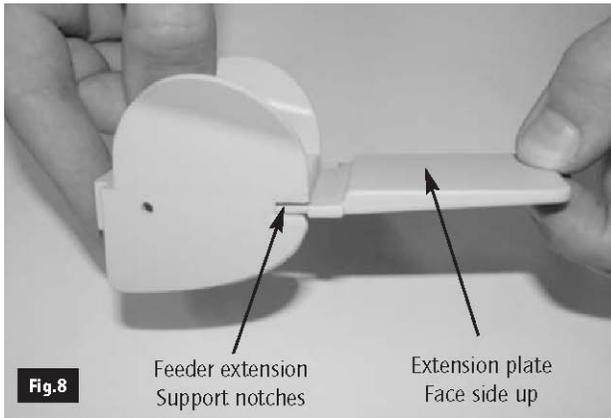
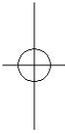


Advanced Solutions
for Document Processing

My Vision X

3.2 Extension Plate Installation

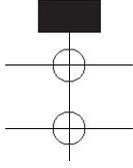
The feeder extension is designed to support all documents anticipated to be processed by the My Vision X. Markets or applications that process a large number of long documents (longer than 8 inches) may find it necessary to apply the optional extension plate for better document support, reducing the risk of image skewing, MICR rejects, etc. Assembly is made by sliding the extension plate, face side up, along the bottom side of the feeder extension into the support notches until the plate snaps into place (Fig.8). The lock tabs should securely fit into the round holes and the short and long tabs should be fully inserted into the support notches (Fig.9).



To remove, firmly grip the feeder extension and the extension plate and pull apart.



Fig.8

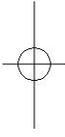


My Vision X

3.3 Power Cable Connection

Before connecting the scanner to your PC, make sure to locate the unit on a flat surface near the PC, away from direct light and from electromagnetic equipment.

- 1 Plug the power cord connector in the Power Supply socket (Fig.10).
- 2 Plug the Power Supply cable in the My Vision X power connector (Fig.11).



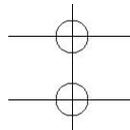
- Warning:
- The electromagnetic emission from a CRT monitor can produce interference and affect the MICR reading; therefore place the My Vision X as far as possible from the CRT.
 - Only use the power supply provided in the Panini My Vision X packaging. Using other power supplies could damage the unit.



3. The My Vision X should be plugged into a dedicated electrical power outlet. The power supply will be 100-240 VAC (no power selection required), and the frequency 50/60 Hz. If you are not sure of the type of power available, consult your Service Representative or local power company.

Note: There is no LED power indication upon connecting the My Vision X. LED status indicators only illuminate when the application connects to the My Vision X unit. See section 4.1.

OPERATOR MANUAL Page 17 Operating your Panini My Vision X



Advanced Solutions
for Document Processing

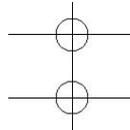
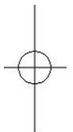
My Vision X

3.4 USB 2 Cable Connection

Connect the USB 2 cable to the USB 2.0 port located on the rear side of the scanner, then connect the other end of the cable to an available USB 2.0 port on the PC.



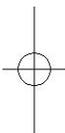
USB 2 cable



My Vision X

3.5 HP C6602A Ink-Jet Cartridge Installation

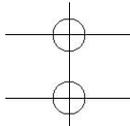
Remove the inner cover (*see section 5.1 for details*). Take a new Ink-Jet cartridge out from its package. Do not touch the ink with your fingers or clothing: it will stain. Angle the front side of the cartridge downwards and face the two pins with the two holes in the cradle. Gently push down the rear side of the cartridge until it snaps in the plastic retainer.



Plastic retainer



Cartridge cradle



My Vision X

3.6 HP 51604A rev.B Ink-Jet Cartridge Installation

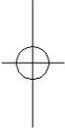
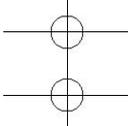
Remove the inner cover (*see section 5.1 for details*). Take the additional plastic lever from the packaging, install it on the left side of the cartridge cradle and pull it down. Take a new Ink-Jet cartridge out from its package. Do not touch the ink with your fingers or clothing: it will stain. Gently insert the Ink-Jet cartridge against the holder and pull up the plastic lever to lock the cartridge in place.



Ink-Jet cartridge HP 51604A rev B PANINI
P/N: BA-00037-01

Additional Plastic Lever

Cartridge cradle

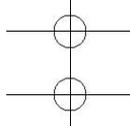


My Vision X

3.7 Pocket Length Adjustment

Adjust the pocket length by inserting the longest document that will be processed in the pocket. Move the pocket extension left or right until a space of 5 mm (1/4") is available between the leading edge of the document and the end of the pocket extension.





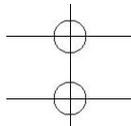
Advanced Solutions
for Document Processing

My Vision X



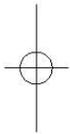
- 1 Turn on the PC.
- 2 Start the My Vision X application (see note).
- 3 Follow the My Vision X application instructions.
- 4 Load your checks.

Note: An application must be started before you begin to process documents. When the application starts, the My Vision X turns on which is indicated by the green led in the outer cover. If it is your job to start the application, refer to the documentation supplied with the application by the vendor. Normally, the My Vision X will automatically go on-line when the control application starts, and goes offline when the control application shuts down. If you want to force the reader to go offline even when the application is on, press the rear button switch for at least one second; at this point, the motor will briefly buzz and the green LED will turn off. To put the reader back on-line (only if the application is still running), press the button switch again for at least one second; the motors will briefly buzz and the green LED will turn on. Normally, this operation is allowed only when the My Vision X is idle and will be ignored if the reader is working. Pressing the button switch when the green LED is off will have no effect.



4.1 Status Lights

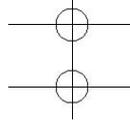
Two status lights located near the feeder indicate the status of the unit. The following table describes the meaning of each status light.



Red LED	Green LED	Description
Off	Off	The My Vision X is offline
Off	On	The My Vision X is online and the feeder is empty
Off	Blinking	The My Vision X is online and the feeder contains documents ready to feed
On	Off	Interlock switches are activated and an external plastic cover is removed
Blinking	Off	Jam on the transport track



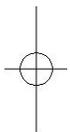
Note: There is no LED power indication upon connecting the My Vision X. LED status indicators only illuminate when the application connects to the My Vision X unit.



4.2 How to Prepare and Load Checks

Preparing Documents for Processing

- 1 Remove all rubber bands, staples, paper clips, dog ears, etc. from the documents.
- 2 Jogging the documents is strongly recommended. In any case, align the bottom edges by repeatedly tapping the bottom edge of the documents on a hard, flat surface, see Fig.17.
- 3 Repeatedly tap the leading edge of the documents on a hard, flat surface, see Fig.18.
- 4 Check bottom and leading edges once more to ensure documents are aligned.



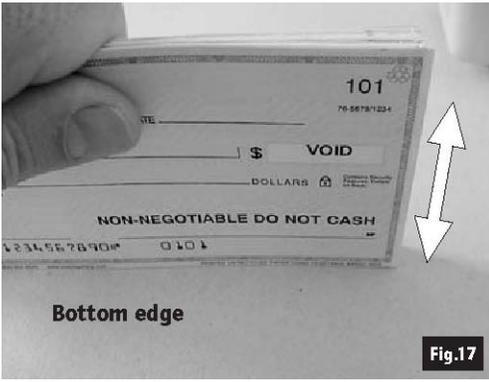


Fig.17

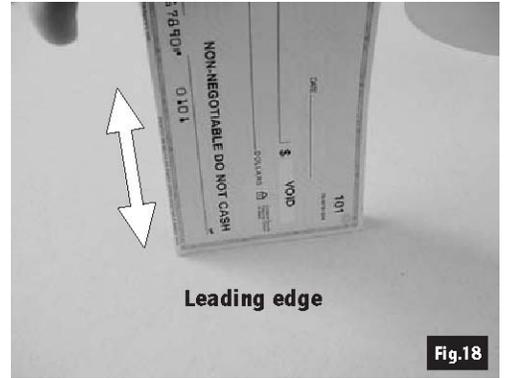
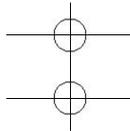


Fig.18



Tip: Use a mechanical jogger device for faster and more accurate alignment of bottom and leading edges.

OPERATORMANUAL Page 24 Getting Started



Advanced Solutions
for Document Processing

My Vision X

You may feed documents one at a time or in batches of up to 30 by inserting the documents all the way into the feeder. (Fig.19).The documents must be inserted into the feeder so that the leading edge fits between the two black lines shown in Fig.20.

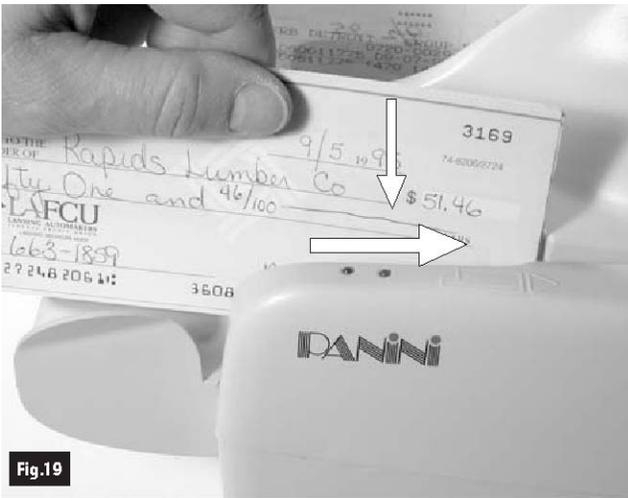
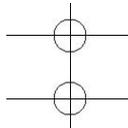


Fig.19



Do not insert the checks past the rollers.



**Advanced Solutions
for Document Processing**

Batches greater than 30 to 100 checks require the pressure plate be pushed back before inserting checks into the feeder. To prevent misfeeding, do not insert more than 100 documents into the feeder. Leave at least 2 mm (1/8") between the last document and the pressure plate in the maximum backwards position. The leading edges of the documents should be aligned as described in the previous page.

Document Feeder Options

My Vision X

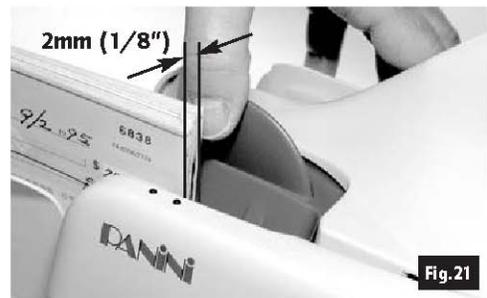
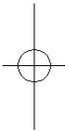


Fig.21



Document Feeder Options

Depending on the configuration ordered, two feeder types are available:

1. *Standard Feeder Option:*

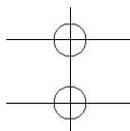
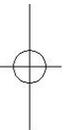
Designed for single document automatic insertion.

Holds up to 30 documents for automatic batch one hand insertion (without moving the pressure plate).

Holding up to 100 documents by pushing back the pressure plate before inserting checks into the feeder.

2. *Limited Feeder Option:* Causes the automatic document feeding operation to stop, followed by a system warning message, after 30 consecutive documents have been processed, according to the ordered configuration. The feeder sensor must then be cleared by removing the documents from the feeder and then repositioning and restarting the application. All other features are the same as the standard feeder.

Note: This option is reset if the feeder is emptied before the 30 document limit is met for the 30 documents limited feeder.

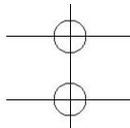
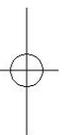




Advanced Solutions
for Document Processing

My Vision X

The feeder is designed so that checks can be loaded continuously, while the scanner is processing. This can be done by inserting checks behind those already present in the feeder.



Removing Documents from Pocket

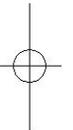
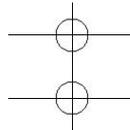
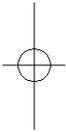
Processed documents are sent to the exit pocket. For

best result, follow these recommendations:

Remove the documents when the pocket is nearly full. Jams occur when the pocket is too full. No “pocket-full” sensor is available.

Occasionally verify that the endorsements are clearly printed.

Occasionally verify that the images are being properly captured and that the image quality is good.

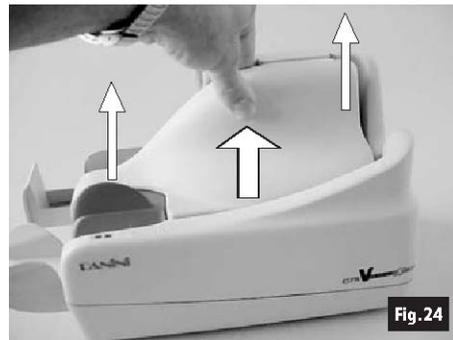
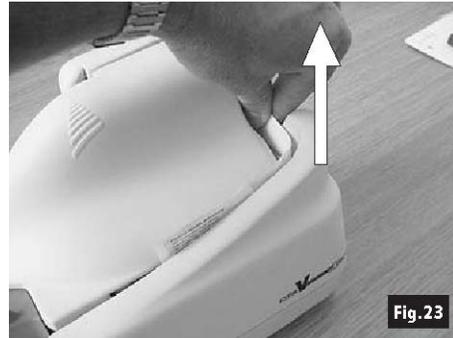


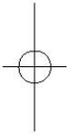
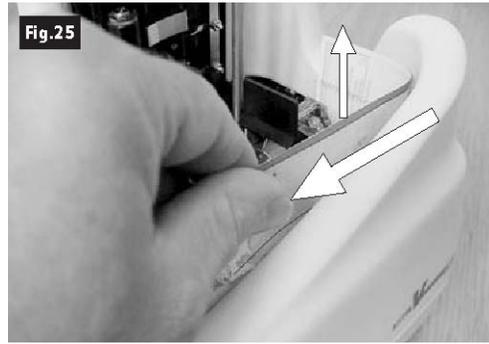
4.3 Clearing Jams

When a jam occurs, the paper path must be cleared. To do this, first remove all the documents from the exit pocket and then free the track by pressing Eject in your application. In case of unsuccessful

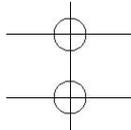
operation, apply the following suggestions:

- 1 Extract the jammed document simply by pulling it out with your fingers (see Fig.23).
- 2 If the document does not pull out , lift the inner cover at the point indicated by the ribbed surface as shown in Fig.24.
- 3 Grab the document with your fingers to remove it from the transport. (See Fig.25).
- 4 After the jam is removed, install the inner cover by following the instructions below:

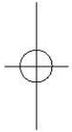
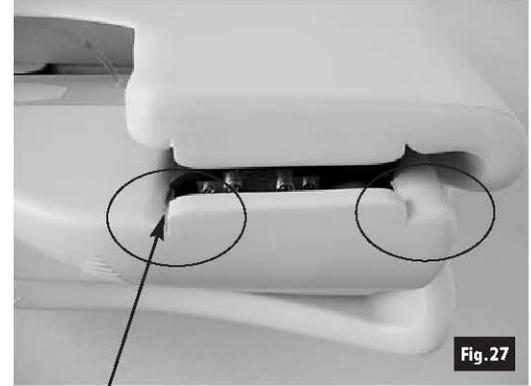




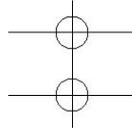
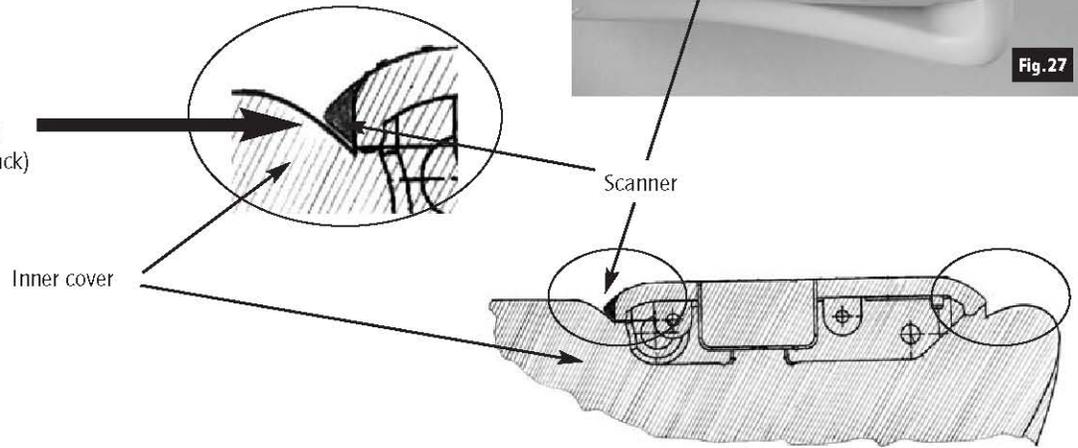
- a. Open the pocket extension.
- b. Insert the two reference shafts in the corresponding housings found in the inner cover (See Fig.26).
- d. Check the exit pocket to ensure that the two plastic springs are aligned properly as shown in Fig.28.

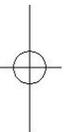
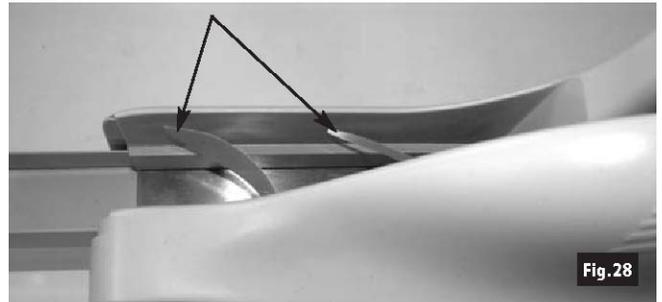


- c. Push down the inner cover until it is back to its original position. Take care to ensure that the inner cover stays behind the scanner, which is indicated by a black area (see Fig.27).

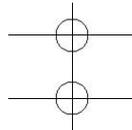


The inner cover (grid) must be inserted behind the scanner (black)



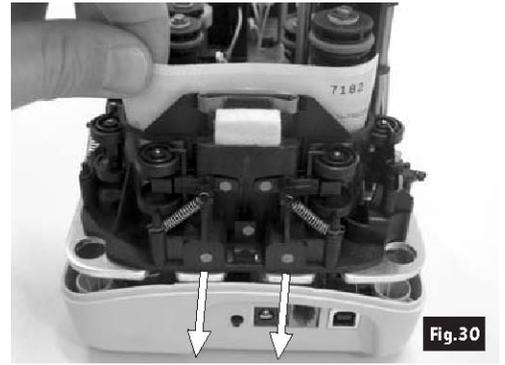


- 1 In the event that the outer cover has to be removed, first disconnect the USB and power cables and then lift the outer cover as shown in Fig.29.
- 2 To remove the “U” track wall see Fig.30. Please follow the instructions listed in chapter 5.1.2.
- 3 If the jam occurs in the image camera area, it is advisable to open the front image camera (see Fig.31) so that the document can easily be removed.

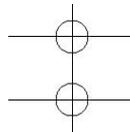
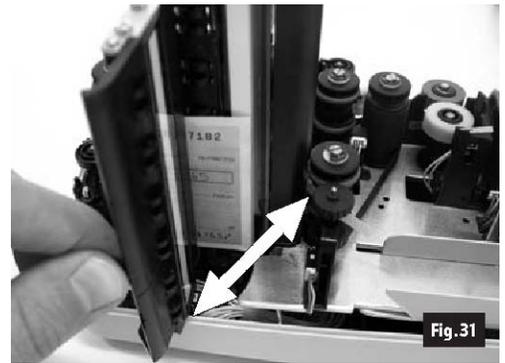


Advanced Solutions
for Document Processing

My Vision X



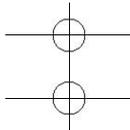
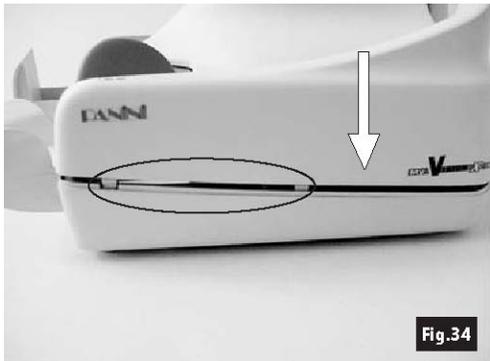
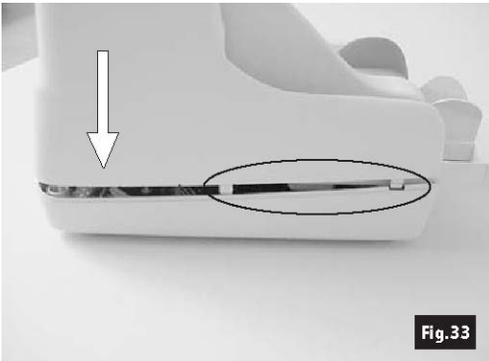
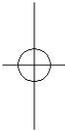
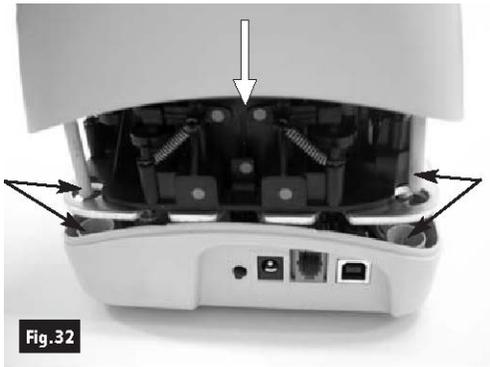
Close the image camera carefully. Don't allow the spring to snap it closed.



**Advanced Solutions
for Document Processing**

My Vision X

- 1 Insert the outer cover by aligning the two shafts with the holes in the bottom cover of the unit (Fig.32). Insert the two teeth located on each side of the outer cover in the bottom cover and lock it (Fig.33 and 34).
- 2 Reconnect the USB and power cables.



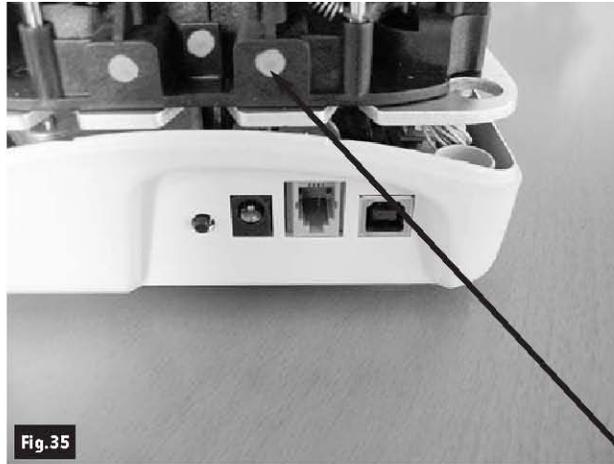
Advanced Solutions
for Document Processing

My Vision X

5. Maintenance

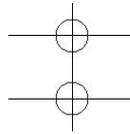
Warning: Before doing maintenance, remember to disconnect the USB 2 and power cables from the device.

Note: The parts accessible to the operator for cleaning or jam removal are identifiable by green stickers.



Green stickers

OPERATOR MANUAL Page 35 Maintenance



Advanced Solutions
for Document Processing

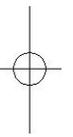
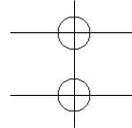
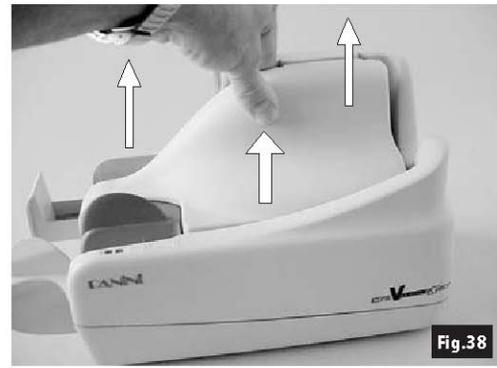
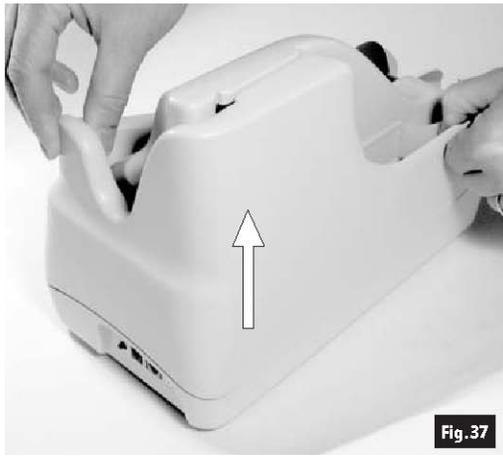
My Vision X

5.1 Cleaning the Transport

Dust, lint and small particles can get into the track area. Clean this area as follows:

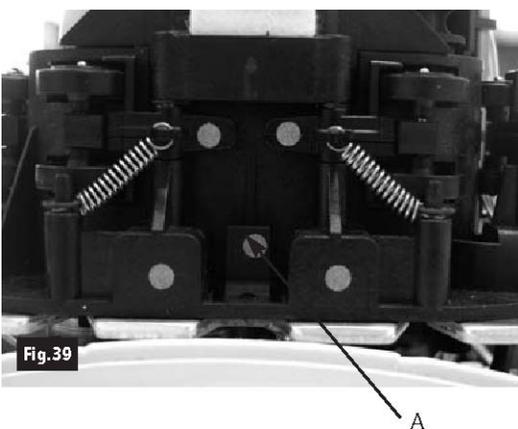
- 1 Remove the inner and outer covers by pulling up on the covers as illustrated below.
- 2 To remove the U-track, pull back on lever (A) away from unit (Fig.39). The Fig.40 shows how to pull the lever and remove the U-track.
- 3 Inspect and clean the entire track area from beginning to end.
- 4 Remove staples, paper clips, rubber bands, and pieces of paper that may have accumulated during use.
- 5 Using a container of canned air and nozzle, spray the track area and check entrance.
- 6 To reinstall the U-track insert the two teeth "C" in the rail "D" (Fig.44), and align the U-track (Fig.41). Push back the U-track (Fig.45) until the lever "E" (Fig.41) locks the unit in place. Make sure that the pin "B" (Fig.43) is inserted in the receptacle "A" (Fig.42).

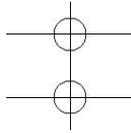
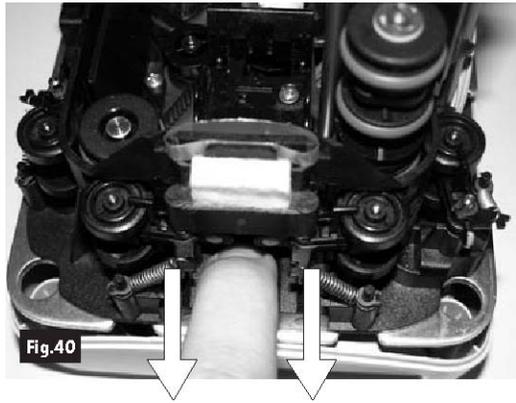




DANNI[®]
Advanced Solutions
for Document Processing

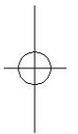
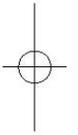
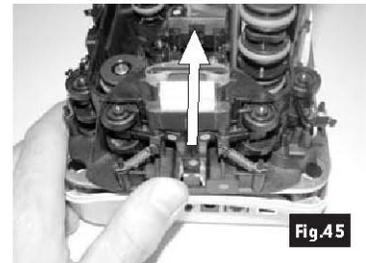
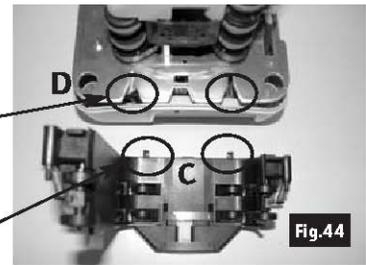
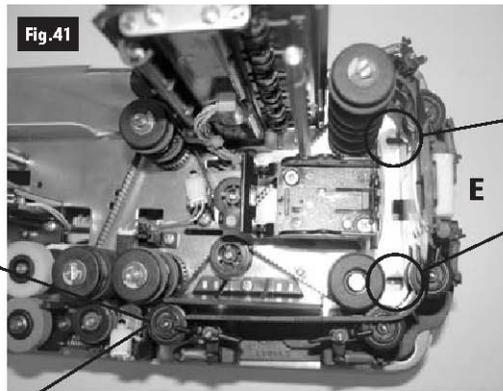
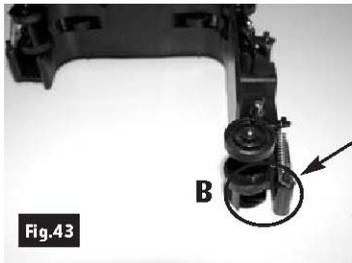
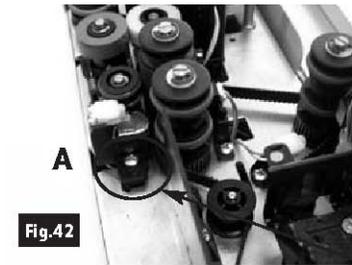
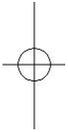
My Vision X

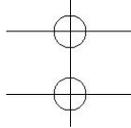




Advanced Solutions
for Document Processing

My Vision X

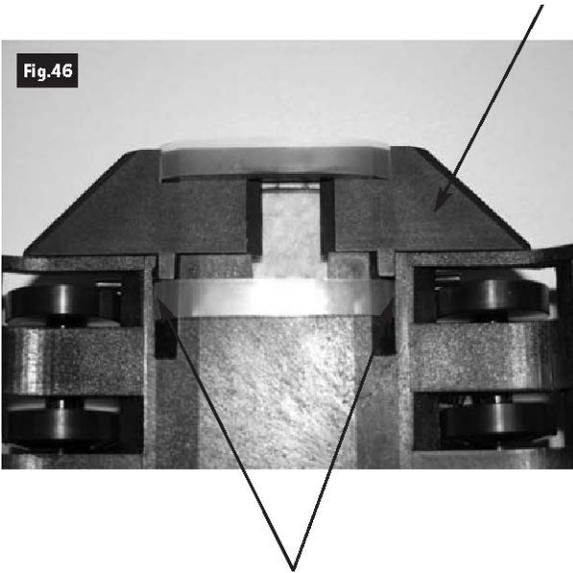
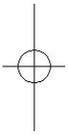


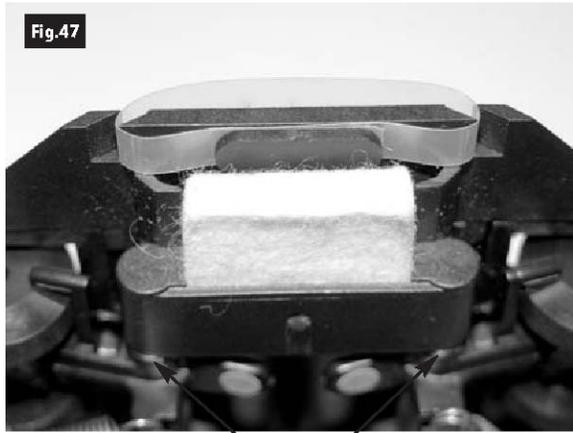


My Vision X

Note: If the blotting pad housing assembly. (A) comes away from the U-track, insert the low mylar spring in the lateral slots (B) and the pad housing in the reference pins (C). Gently press down until the pad housing stops on the top of the U-Track wall.

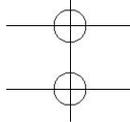
A





B

C

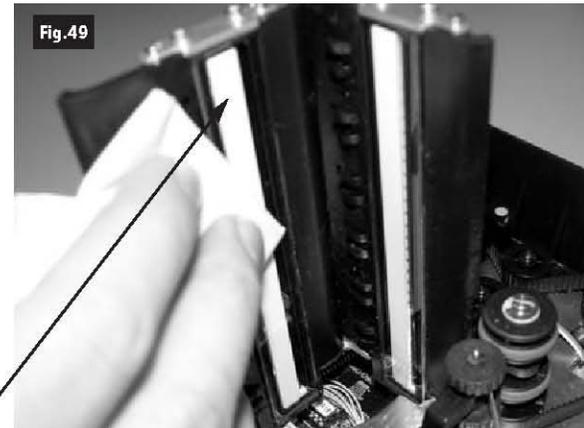
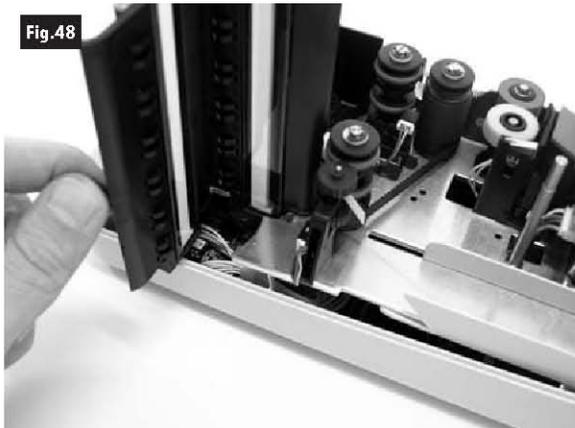


Advanced Solutions
for Document Processing

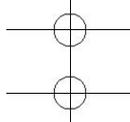
My Vision X

5.2 Cleaning the Contact Image Sensors

- 1 Gently open the front image camera (Fig.48) and remove any debris and dust.
- 2 Clean the Contact Image Sensors with a soft, lint-free cloth dampened with Isopropyl Alcohol or with eye glass cleaner (Fig.49).



Contact Image Sensor (CIS)



Advanced Solutions
for Document Processing

My Vision X



5.3 Cleaning the HP C6602A Ink-Jet Cartridge

Fibers, such as cotton or paper, dried ink plugs or crust, or excess ink puddles on the nozzle plate can obstruct ink droplets or cause ink droplets to deflect from the desired trajectory, resulting in a degraded print quality.

When this occurs:

- 1 Open the inner cover.
- 2 Remove the print cartridge by pushing down the plastic retainer (Fig.50).
- 3 Dampen a clean, lint-free cloth with deionized (or distilled) water.
- 4 Hold the dampened cloth in contact with the nozzles for a few seconds.
- 5 Then gently wipe the nozzle plate in the direction of the paper movement. Do not wipe the electrical contact area.
- 6 If ink remains on the nozzle plate wipe again with a clean dry lint-free cloth.
- 7 Reinsert the cartridge.
- 8 Replace the inner cover.

Fig.50



Remove the Ink-Jet cartridge when transporting the unit and when the unit is not used for long periods. In case the scanner is not used regularly, periodically clean the Ink-Jet nozzles with a lint-free cloth.

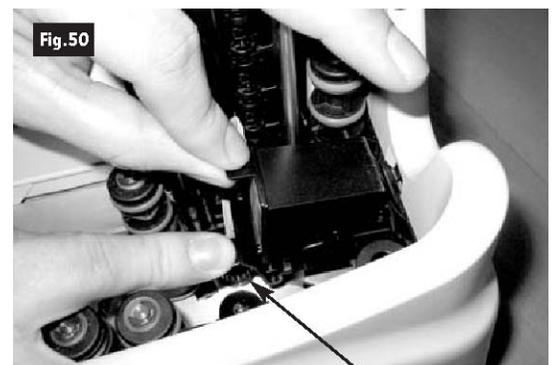
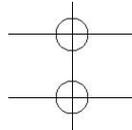
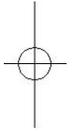


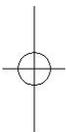
Fig.50

Plastic retainer



Advanced Solutions
for Document Processing

My Vision X



5.4 Cleaning the HP 51604A rev.B Ink-Jet cartridge

Fibers, such as cotton or paper, dried ink plugs or crust, or excess ink puddles on the nozzle plate can obstruct ink droplets or cause ink droplets to deflect from the desired trajectory, resulting in a degraded print quality.

When this occurs: 1 Open the inner cover. 2 Remove the print cartridge by pulling down the small plastic lever. 3 Dampen a clean, lint-free cloth with deionized (or distilled) water. 4 Hold the dampened cloth in contact with the nozzles for a few seconds (Fig.51). 5 Then gently wipe the nozzle plate in the direction of the paper movement. Do not wipe the electrical contact area. 6 If ink remains on the nozzle plate wipe again with a clean dry lint free cloth. 7

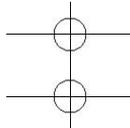
Reinsert the cartridge by pushing it into holder and then pull the small plastic lever all the way up using the tab provided. 8
Replace the inner cover

Fig.51



Remove the Ink-Jet cartridge when transporting the unit and when the unit is not used for long periods. In case the scanner is not used regularly, periodically clean the Ink-Jet nozzles with a fiberless cloth.

OPERATORMANUAL Page 42 Maintenance

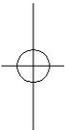


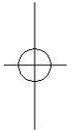
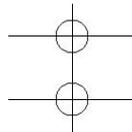
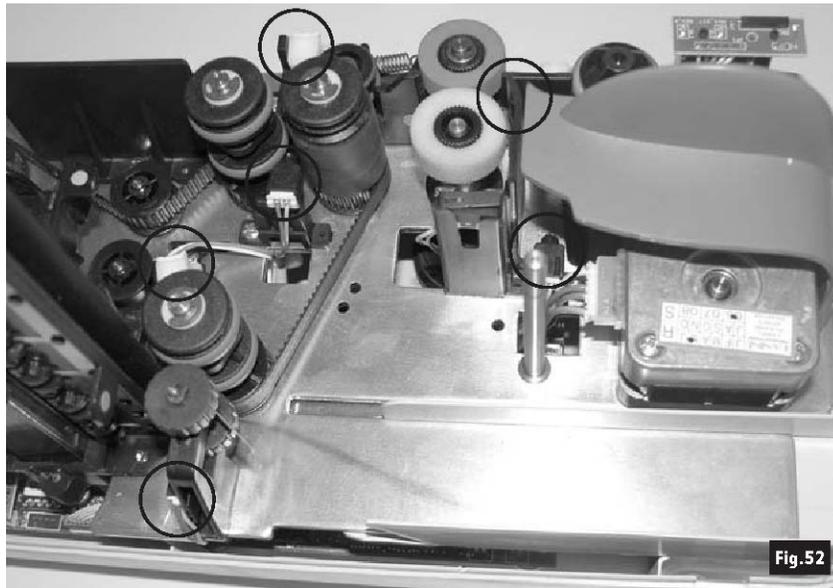
Advanced Solutions
for Document Processing

My Vision X

5.5 Cleaning the Photocell Detectors

The six photocells (emitter and receiver) are identified with black circles in Fig.52 below. Using a container of canned air and nozzle, spray the sensors to remove any dust. Also a dry soft cloth can be used.



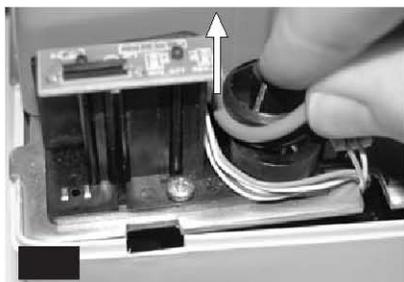
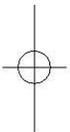


My Vision X

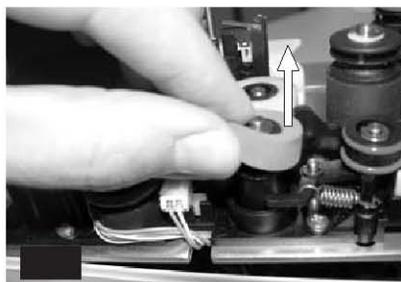
5.6 Replacing the Feeder and Separator Rollers

After extended use it will be necessary to replace the Feeder and Separator Roller rings due to normal wear.

- 1 Open the inner and outer covers.
- 2 Carefully lift the rings off the rollers (See the arrows in Fig.53, 54 and 55).
- 3 Install the new separator rings on the hubs by pressing down on the surface of the rings, making sure the rings are installed flat on their seats. The feeder ring must be rolled onto the black pulley.



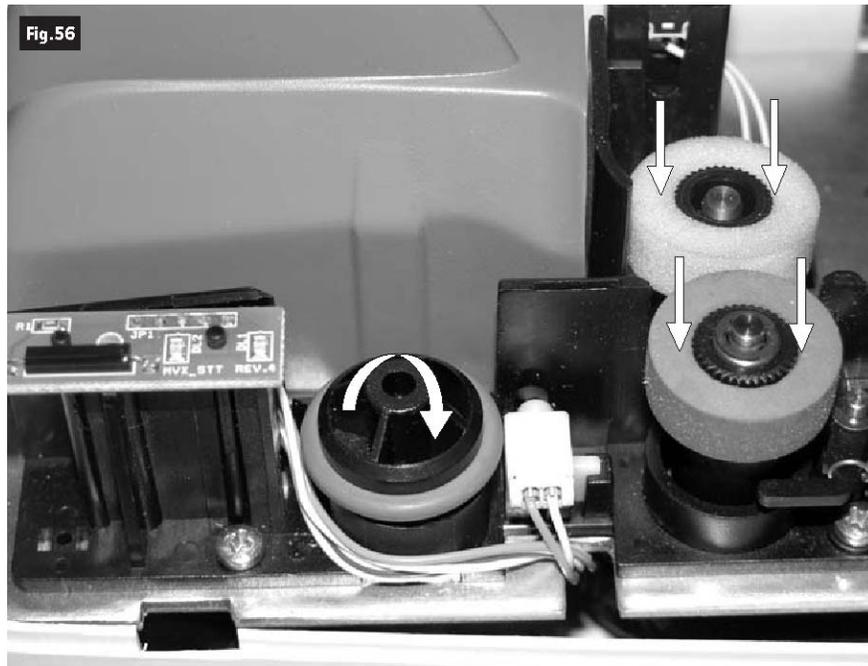
Feeder ring



Front separator ring

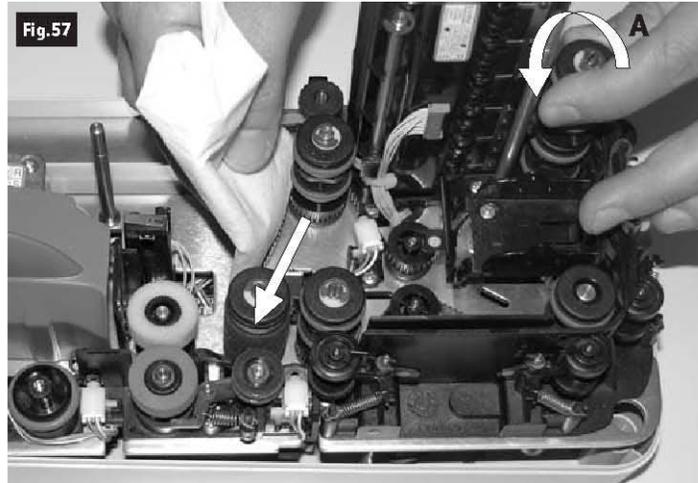


Rear separator ring



5.7 Cleaning the Reading Transport Belt

If an increase in the number of MICR (Magnetic Ink Characters Recognition) rejects is noticed, it may be necessary to clean the surface of the reading transport belt to remove extraneous magnetic ink or iron dust. Clean the external surface of the belt with a soft, lint-free cloth, dampened with Isopropyl Alcohol. Turn pulley "A" counterclockwise to move the belt in the direction of the arrow and clean the entire belt surface.

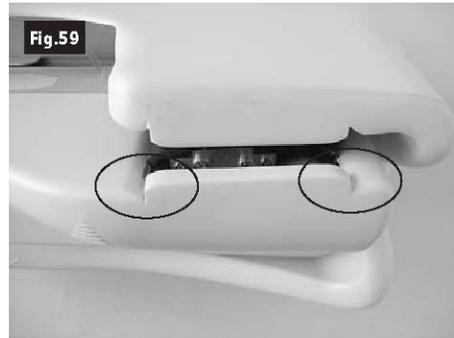


5.8 Install the External Covers

Install the inner cover following the instructions below:

- 1 Open the pocket extension.
- 2 Insert the two reference shafts in the corresponding housings found in the inner cover (Fig.58).

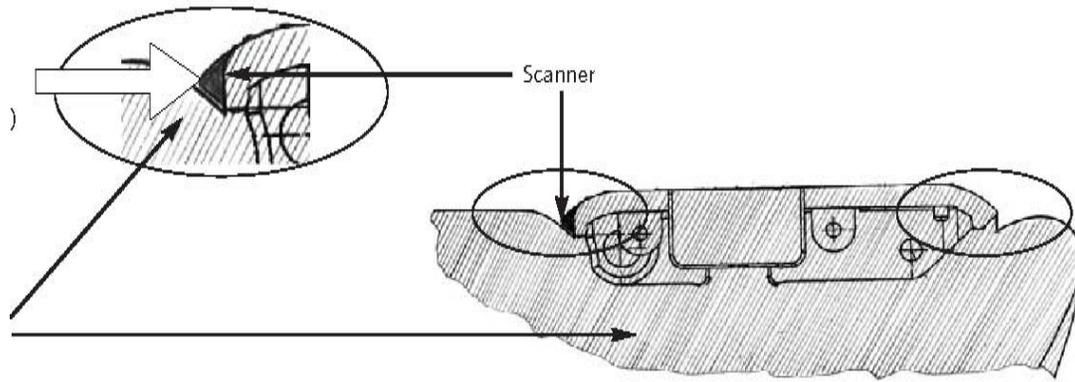
3 Push down on the inner cover until it stops, ensuring that the inner cover stays behind the scanner (black area) (Fig.59).



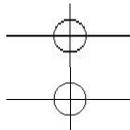
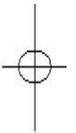
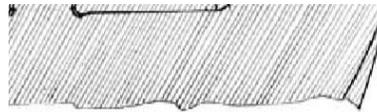
My Vision X

The inner cover (grid) must be
Scannerinserted behind the scanner (black)

Inner cover



- 1 Check the exit pocket to ensure that the two plastic springs are properly aligned as shown in Fig.60.
- 2 Insert the outer cover by aligning the two shafts with the two holes in the bottom cover of the unit (Fig.61). Push the cover down.
- 3 Insert the two teeth located on each side of the outer cover in the bottom cover and lock it see Fig.62 and 63.

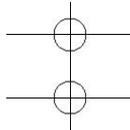
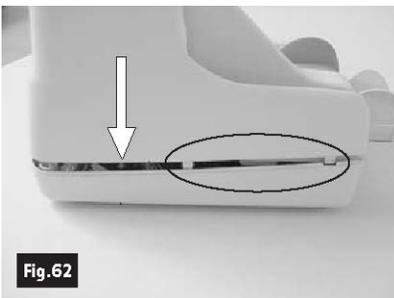
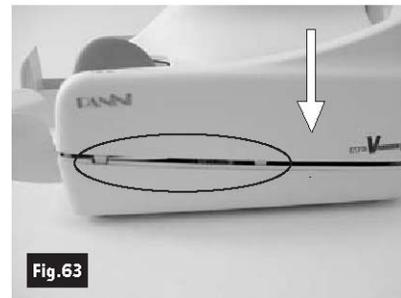
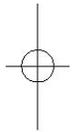
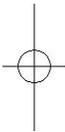


My Vision X

Insert the outer cover by aligning the two shafts with the two holes in the bottom cover of the unit (Fig.61). Push the cover down.



Insert the two teeth located on each side of the



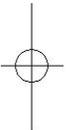
My Vision X

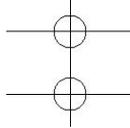


6. Specifications

6.1 Technical Specifications of the Panini My Vision X

PERFORMANCE	Various models processing up to 30 dpm, 60 dpm, or 90 dpm with a USB 2.0 interface
AUTOMATIC DOCUMENT FEEDER	<p>3 mode feeder:</p> <ul style="list-style-type: none">- Single document automatic insertion- Capacity of up to 30 documents for automatic batch one hand insertion- Capacity of up to 100 documents, with pressure plate <p>Limited feeder options available</p> <p>Double feed detection</p> <p>Auto-tuning separator rollers designed to process varied thickness of documents and to compensate wear</p>
POCKET DOCUMENT SPECIFICATIONS	<p>A single exit pocket capable of holding 100 documents</p> <p>Height: Min: 54 mm (2.12") - Max: 106 mm (4.17")</p> <p>Length: Min: 80 mm (3.14") - Max: 235 mm (9.25")</p> <p>Weight: Min: 60 gr/m² (16 #) - Max: 120 gr/m² (32 #)</p>
INTERFACE	<p>USB2.0 port/Backward compatible with USB1.1</p> <p>RS232 Port for external device connection. SW/FW developments on request</p>
MAGNETIC READER	<p>E13B /CMC7/Autorecognition</p> <p>Panini MICR Plus™ exclusive technology</p>
IMAGE CAPTURE	<p>Scanning: Contact Image sensors (CIS) technology (front and back)</p> <p>Image format: Bitmap in B/W, 256 shades of gray, TIFF, TIFF Multipage, Image compression: JPEG and Group IV</p> <p>Image resolution: 100 or 200 dpi</p> <p>Advanced dynamic thresholding</p> <p>Dual Image: 4 images in one document pass</p>
FAST COLOR (optional)	<p>Color images at 200 dpi and full DPM speed, images available in JPEG format for archiving purposes or BMP for color OCR recognition</p> <p>Red, green or blue drop-out acquisition</p>
OPERATOR MANUAL	Page 50 <i>Specifications</i>





**Advanced Solutions
for Document Processing**

My Vision X



SOFTWARE TOOLS Panini Vision API running on: Windows 2000 SP3 and Windows XP SP1 or higher with USB2.0 or with USB1.1 at reduced performance
Windows NT 4.0 SP6 with USB1.1

ICR Vision function for image snippet definition & download; Easy integration of ICR/Barcode/OCR recognition technology

INK-JET PRINTER Rear Ink-Jet printer Printing capability: Single line, Alphanumeric characters, all MS Windows fonts Printed information captured by the image

OCR Recognition (optional) OCR-A, OCR-B, E13B recognition engine

Barcode Recognition CODE 39, CODE 128, INTERLEAVED 2/5, EAN8, EAN13, UPCA, UPCE

DIAGNOSTIC FEATURES On board Diagnostics: Tests the functionality of the scanner Power-on Self Testing: Automatic self testing and photocells calibration when powering the unit

MAINTENANCE Maximum accessibility to every component to minimize MTTR

Total access to scanner and track area
Firmware upgradable via PC

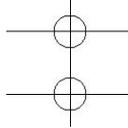
POWER SUPPLY INPUT
VOLTAGE Autosensing from 100 to 240 VAC,
50 to 60 Hz

DEVICE INPUT VOLTAGE 30 VDC +_ 20%

OPERATING CONDITIONS Temperature: 15 ÷ 35°C
Humidity: 20 ÷ 80% R.H. Non-Condensing

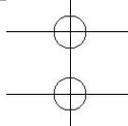
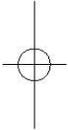
DIMENSIONS	Height	Width	Length	Weight
	175 mm (6.88")	138 mm (5.43")	264 mm (10.39")	2.5 Kg (5.51#)





- 1 *Technical Specification of the PC*
- 2 *My Vision X SD Addendum*

Panini Vision API running on: Windows 2000 SP3 or Windows XP SP1 or higher with USB2.0 or USB1.1 port Windows NT 4.0 SP6 with USB1.1	
30 dpm and 60 dpm Models	
<i>Recommended</i>	<i>Minimum (to obtain max performance)</i>
1 GHz Pentium IV processor	500 MHz Pentium III processor
256 MB RAM	128 MB RAM
200 MB free disk space	200 MB free disk space
USB2.0 port	USB2.0 port
90 dpm Models	
	1.2 GHz Pentium III processor
	256 MB RAM
	200 MB free disk space
	USB2.0 port



This addendum provides specific product details related to the Panini My Vision X SD. This highlights product characteristics that vary from the information in the Operator Manual.

My Vision X SD Packaging List ** Replaces section 2.1

The package includes:

- 1 Operator Manual
- 2 Accessories box (*)
- 3 My Vision X SD scanner unit
- 4 Power Cable

(*) The accessories box contains:

- Feeder Extension
- Extension plate
- Ink-Jet Cartridge HP C6602A
- USB 2 Cable
- Power Supply
- #1 Feeder Ring
- Ink-Jet Plastic Lever (adapter for HP 51604 cartridge)

** Adjustment to section 3.1



The installation procedure for inserting the document feeder extension on a SD machine varies slightly as the Document Pressure Plate has a fixed position and can not be pushed backwards. The Feeder Extension is simply inserted into the available slot. Installation is correct if the Feeder Extension is at the same level of the entrance of the scanner platform.

How to Prepare and Load Checks ** Adjustment to section 4.2

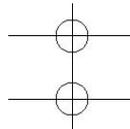


The SD scanner unit is designed for single document processing exclusively. All references to preparing and processing batches of multiple items in this section is not relevant to the SD version of the My Vision X. Inserting multiple items into the feeder of a SD scanner unit will cause multiple documents to be fed or document jams to occur.

Replacing the Feeder and Separator Rollers ** Adjustment to section 5.6

Please note that the SD scanner unit is not furnished with front and rear separator rollers. The addition of which is not needed when processing one item at a time. As such, the instructions for replacing these rings are irrelevant with reference to the SD scanner unit.

OPERATOR MANUAL Page 53 My Vision X SD Addendum



**Advanced Solutions
for Document Processing**

My Vision X

8. My Vision X AGP Addendum

This addendum provides specific product details related to the My Vision X AGP model. This information highlights product characteristics that vary from the information in the Operator Manual.

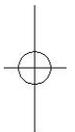
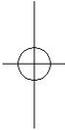
AGP Packaging List ** Replaces section 2.1

The Panini My Vision X AGP package includes: (*) The accessories box contains:

- Feeder Extension & Extension plate

- 1 Operator Manual • USB 2 Cable
- 2 Accessories box (*)
 - Power Supply
 - #1 Feeder Ring, #1 Front Separator Ring,
- 2 Panini My Vision X AGP scanner unit #1 Rear Separator Ring
- 3 Power Cable • Panini cleaning cloth (Panini P/N: GS-00020-00)
- 4 Ink-Jet Cartridge HP Q2344A (Black 1918 Dye) (Panini P/N: CA-00140-00)

Ink-Jet Cartridge Installation ** Replaces section 3.5 and 3.6



The following steps indicate how to install the My Vision X AGP Ink-Jet cartridge. Use only HP Q2344A cartridges (Black 1918 Dye) (Panini P/N: CA-00140-00)

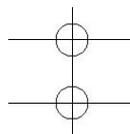
Remove the new print cartridge from its package, and gently remove the transparent tape covering the ink nozzles, being careful not to touch the ink nozzles and electrical contacts.

Remove My Vision X inner cover (see section 4.3)

Push the new cartridge down firmly into its cradle slot, and close the rear cradle lever.

Insert the inner cover

OPERATORMANUAL Page 54 My Vision X AGP Addendum



Advanced Solutions
for Document Processing

My Vision X

Cleaning the Contact Image Sensors ** Addition to section 5.2

In addition to following the basic cleaning instructions provided in section 5.2 of the Operator Manual, Panini recommends that you occasionally inspect the images for the presence of any streaking due to residual ink on the Contact Image Sensors (CIS) glasses. If so, use the Panini cleaning cloth (Panini P/N: GS-00020-00) to clean the CIS surface

Cleaning the Ink-Jet Cartridge ** Replaces sections 3.5 and 3.6



During printing ink- spray, paper fibers and dust can build up on the print cartridge. These can eventually degrade the print quality. When this occurs:

- Open the inner cover

- Open the rear cradle lever and remove the print cartridge

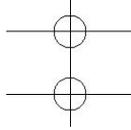
- Use the Panini cleaning cloth (Panini P/N: GS-00020-00) or a wet lint free cloth (de-ionized water is best) wipe slowly across the long-axis with the print cartridge facing down (as shown). The damp cloth should draw ink from the cartridge flushing out the nozzles. Do not apply excessive force, as this could scratch the nozzle area

- Insert the print cartridge

- Insert the inner cover

Purging the Nozzles: If the print cartridge sits inactive for a period of time, ink may dry in the nozzles. Dried ink clogging a nozzle is called an ink plug. As a result of the ink plug, white streaks will be visible in the printed text or graphic on the document. Printing alone may not remove ink plugs from the nozzles. To obtain better print quality, purge the ink plug. This is accomplished by performing the cleaning process described earlier, the Ink being pulled from the cartridge will flush the nozzles out. Then print a few lines of text or graphics.

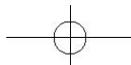




Advanced Solutions
for Document Processing

My Vision X

Notes:



U.S. Department of the Treasury
Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Queue Interface

January, 2009
Document Version 1.0

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
11/07		Original document	

Table of Contents

- Queue Interface Purpose..... 4**
- Queue Interface Purpose..... 4**
- Installing the Queue Interface 5**
- Queue Interface Configuration Permission..... 5**
- The Queue Interface Configuration 5**
- Exceptions 7**
 - Configuration Problems 7
 - Audit Log Entries for Unsuccessful synchronization of the Queue 8
 - Enable the Queue Mid-batch 8
 - Effects of the P O S uninstall on the Queue Interface..... 8
- Determining if Queue Interface has been Installed 8**

Queue Interface Purpose

The purpose of the Queue Interface is to enable interaction between the PCC OTC application and Military Agency's internal systems. The Queue Interface will be used by Military Agencies that utilize the DDS (Deployable Disbursing System) database bridge. It provides a single transaction input point, and the ability to store information from both applications on a single computer so they can share common data. Additional Information includes:

- The P O S feeds data one way to the Queue Interface.
- Data is sent to the queue when the following actions occur:
 - Items captured at individual level regardless of mode.
 - Item modification either through P O S or Batch Manager.
 - Changing of batch status when batch status is changed to closed or sent.
 - Modification of batch totals after a batch has been closed.
 - Void items.
 - Open batch.
- The P O S does not log any action that has been successfully sent to the Queue Interface.
- After a batch is closed and data is changed, the changed batch data and the changed item data will be sent to the queue.
- Once an Agency's Queue Interface is enabled, all transactions processed after enablement are assumed to be sent to the queue for Agency access.
- If a batch is retransmitted, no items will be sent to the queue.
- Only successfully processed P O S transactions will be sent to the queue.
- Changes to peripherals are out of scope.
- No interaction is expected between the P O S and SVC (Stored Value Card).

Installing the Queue Interface

The Queue Interface is installed during the installation of the P O S software. During the install process, a question appears asking if you want to install the Queue Interface as displayed in Figure 13.1.



Figure 13.1

Military Agencies using the DDS database should respond with ‘Yes’ to install.

Queue Interface Configuration Permission

Once installation is complete, a new permission in the S A T will be available to allow access to the Queue Interface configuration screen. This permission is required to configure the Queue Interface. By design, it is not assigned to a particular role. The P O C must decide who will be responsible for the Queue Interface configuration. This can be accomplished by assigning the permission to either an existing role, or creating a new role that includes this functionality (along with Configure System), and assigning the new role to one or more users. For more information on how to add permissions to roles, see the *S A T* chapter of this S O P. Additional Information regarding the Queue Interface permission includes:

- The Queue Interface configuration screen does not appear to users who do not have the Queue Interface permission.
- Users with the Queue Interface permission have access to the configuration screen, regardless of whether the Queue Interface has been installed.
- If a user has Queue Interface permission, but cannot connect to the Queue Interface database, a pop-up message appears letting them know that the configuration could not be saved (when attempting to make changes to the configuration screen).
- If a user has Queue Interface permission, but cannot connect to the Queue Interface, a pop-up message appears letting them know that the Queue Interface cannot be located.

The Queue Interface Configuration

Users who have access to the Queue Interface Configuration screen will see an additional tab on the S A T System Configuration screen labeled ‘Queue Interface’, as displayed in Figure 13.2.

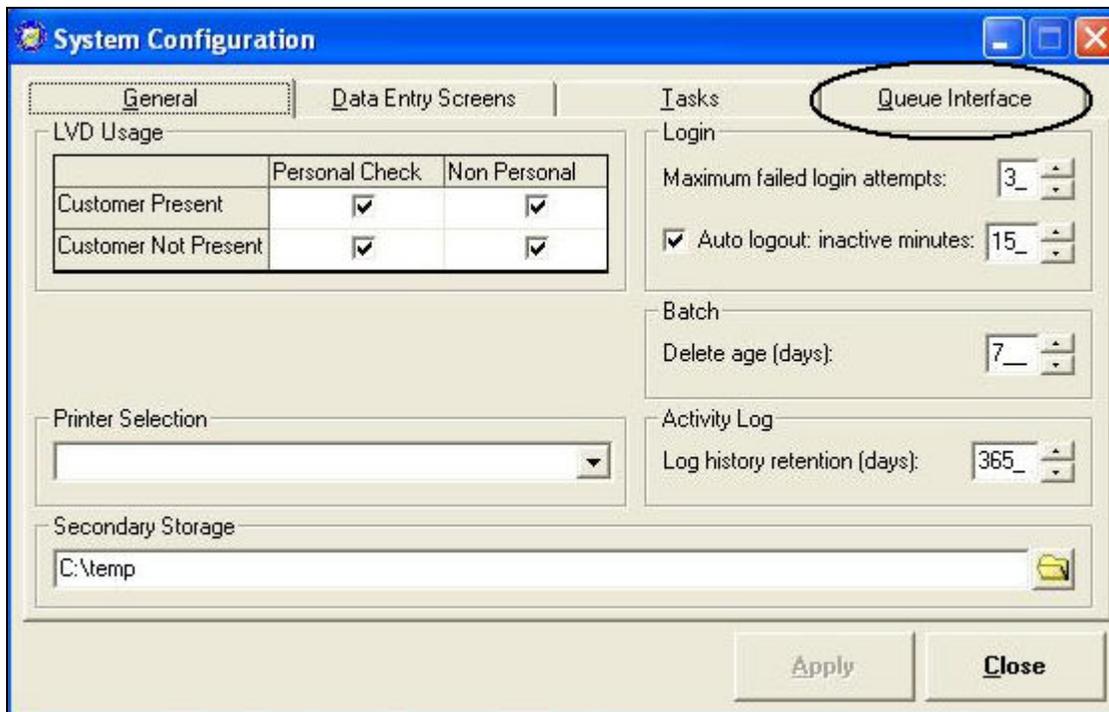


Figure 13.2

When the tab is clicked, the Queue Interface configuration screen appears as displayed in Figure 13.3.

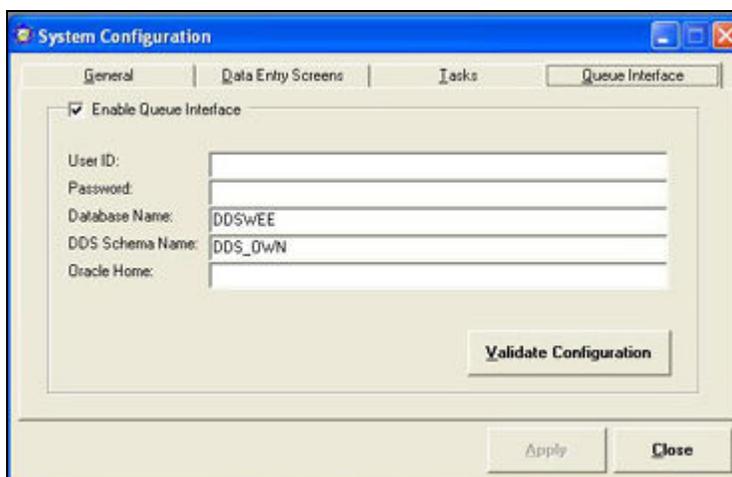


Figure 13.3

The 'Database Name' and 'DDS Schema Name' fields are pre-populated and should not be changed. The other fields on the screen need to be completed with the Agency unique information. Click '**Validate Configuration**', then click '**Apply**' To enable the Queue Interface.

Note: A record reporting that the Queue Interface is enabled or disabled is documented in the audit log. Any configuration changes are logged with before and after values.

Once the Queue Interface is successfully enabled, the bottom right of the P O S data entry screen will

display the words 'Queue Interface Enabled', just below the 'Close' button as displayed in Figure 13.4.

The screenshot shows a software interface for check processing. The main area contains the following text and input fields:

- User: sharon b
- Person: Present
- Check: Personal
- Amount: 0.00
- Social Security Number: [input field]
- IRN: [input field]
- Bank Number: [input field]

The right-hand panel, titled 'SINGLE CHECK MODE', contains the following elements:

- Location: 0000789502
- test02
- Processing Method:
 - Customer Present
 - Customer Not Present
 - Back Office
- Item Type:
 - Personal
 - Non Personal
- Buttons: Start Scan, Void, Batch List, Batch Close, Cancel, View Log, Receipt, Clear, Close
- Message box: Queue Interface Enabled

The status bar at the bottom shows 'Idle', 'Please press enter to begin', '0', and '10/17/2007'.

Figure 13.4

Exceptions

Configuration Problems

A check will be performed upon P O S or Batch Manager startup to confirm the Queue Interface can be initialized. If it cannot, an error message will be written to the Audit log and the system displays a pop-up warning message, "Initialization to queue was unsuccessful. Please contact your technical support" (Figure 13.5). When the 'Ok' button is selected, no further action will be required by the P O S application for the interaction. Contact your internal technical staff for assistance.

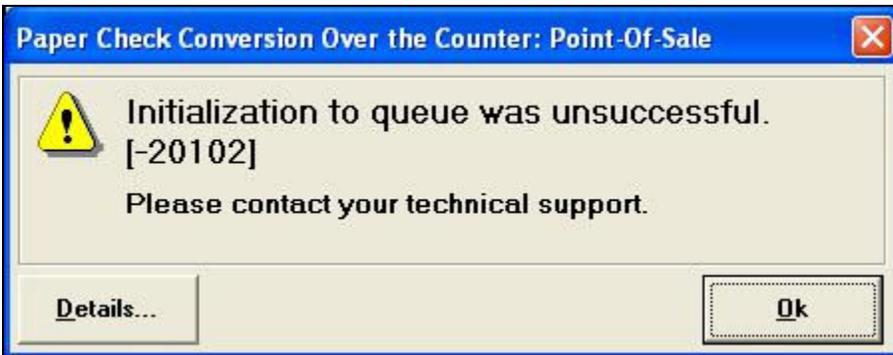


Figure 13.5

Audit Log Entries for Unsuccessful synchronization of the Queue

Audit log entries for unsuccessful synchronization of the queue contain the date and timestamp, IRN, and a Queue Interface error message.

Enable the Queue Mid-batch

If the Queue Interface is enabled in the middle of a batch, only items created after it was enabled will be sent to the queue.

Effects of the P O S uninstall on the Queue Interface

Upon P O S uninstall, the P O S will call the QUI function. The QUI function will follow the Queue Interface uninstall workflow. It will only be called if the Queue Interface was installed during the P O S install.

Determining if Queue Interface has been Installed

To determine if the Queue Interface has been installed on a given P O S computer, click on 'Help', 'About', from the P O S, Batch Manager or the S A T. The following window will appear and the top portion of the screen will read, 'Queue Interface Installed' if it has been installed on the computer (see Figure 13.6).

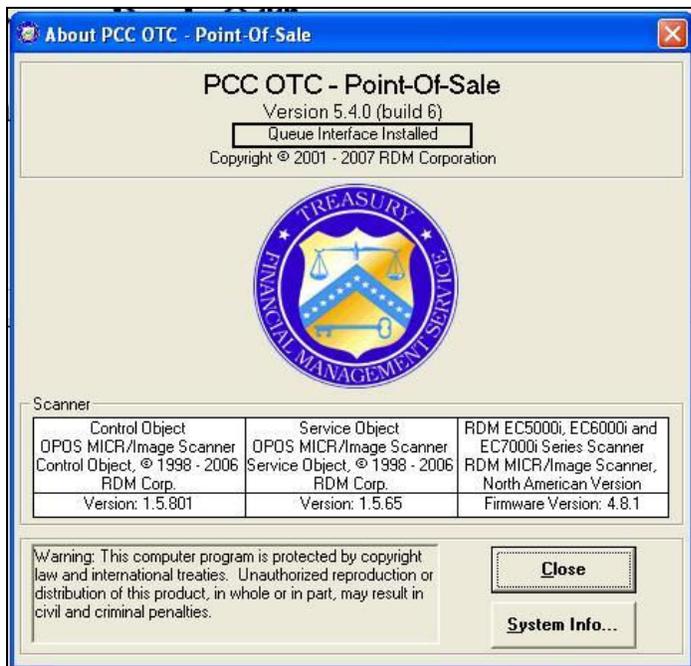


Figure 13.6