

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

<b>APPENDIX A – SAMPLE REPORTS .....</b>	<b>5</b>
<b>POS Reports.....</b>	<b>5</b>
Batch List.....	5
Activity Log and User Information.....	7
Activity Log .....	7
User Information .....	9
<b>ELVIS Reports.....</b>	<b>10</b>
SF215 Deposit Ticket Report.....	10
SF5515 Debit Voucher Report.....	12
<b>APPENDIX B - RETURN REASON CODES .....</b>	<b>14</b>
ACH Return Reason Codes .....	14
Check 21 Return Codes.....	17
Paper Check Return Codes.....	18
<b>APPENDIX C – SYSTEM ADMINISTRATOR RESPONSIBILITY .....</b>	<b>19</b>
System Administrator Support Prior to Deployment.....	19
Basic System Administrator Support at the Time of Deployment .....	19
Continuing System Administrator Support .....	20
<b>APPENDIX D – EQUIPMENT RETURNS.....</b>	<b>21</b>
<b>APPENDIX E – PCC OTC USER ACCESS REQUEST FORM FOR ELVIS .....</b>	<b>22</b>
<b>APPENDIX F – R5.4 ROLES FOR ELVIS .....</b>	<b>23</b>
<b>APPENDIX G – PCC OTC SECURITY CONTACT AUTHORIZATION FORM FOR ELVIS.....</b>	<b>25</b>

**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 Roller .....33

**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  
     Layout .....44  
     Available Fields .....44  
     File Layout.....45  
     Sample File Layout .....47  
     CSV File Sample .....48

**APPENDIX S – TRANSACTION STATUS MONITORING AND CODES..... 50**

**Status Code Monitoring .....50**  
     PCC OTC Processing.....50  
         Forward files .....50  
         Returns .....51

**PCC OTC Status Monitoring Diagram .....53**

**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

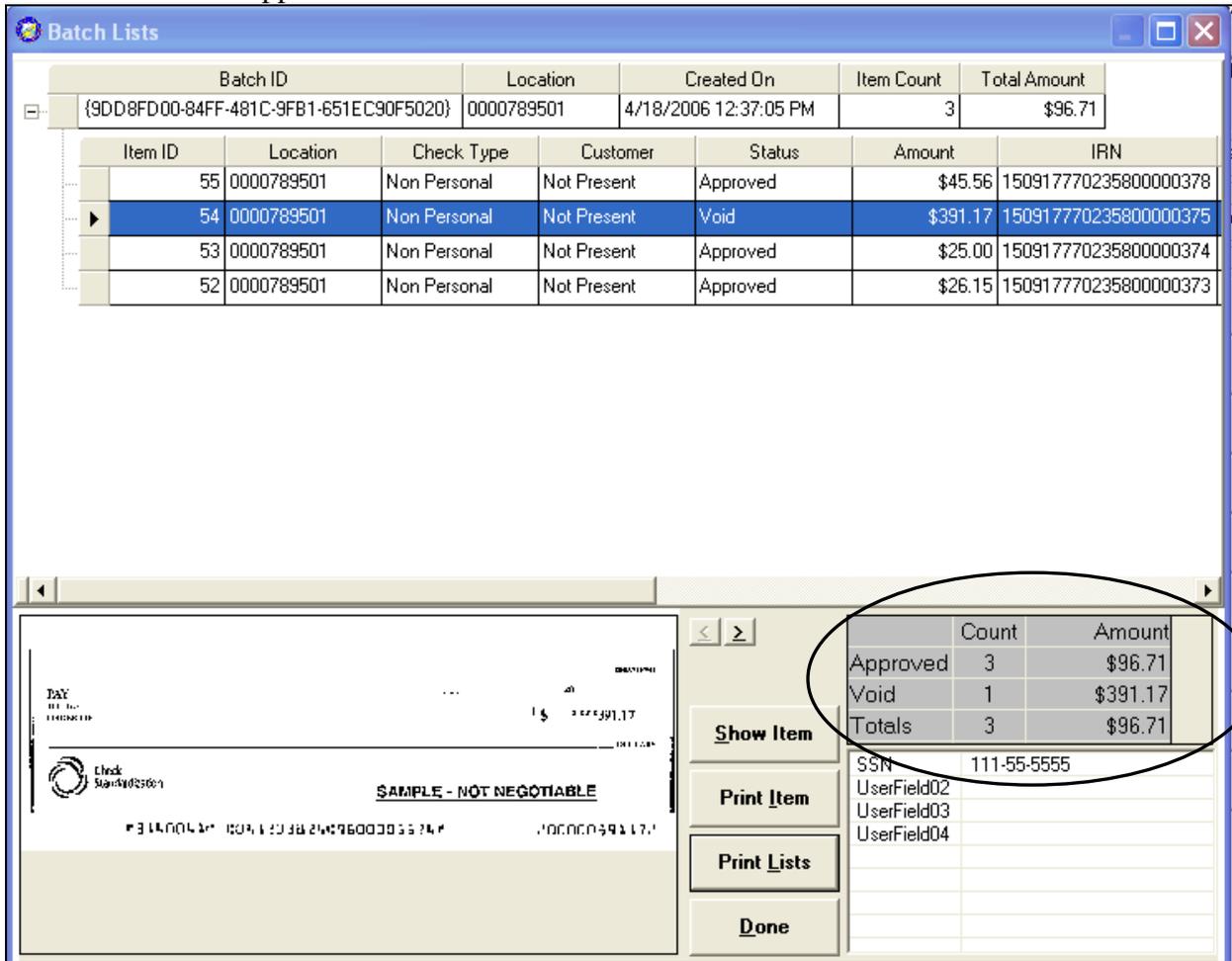


Figure 9.1

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	SocialSecurityNum11122777
A	P	15091777023580000470	7/7/2006 11:54:58AM	043403224	7.....28	2534	\$39.19	SocialSecurityNum11180333

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

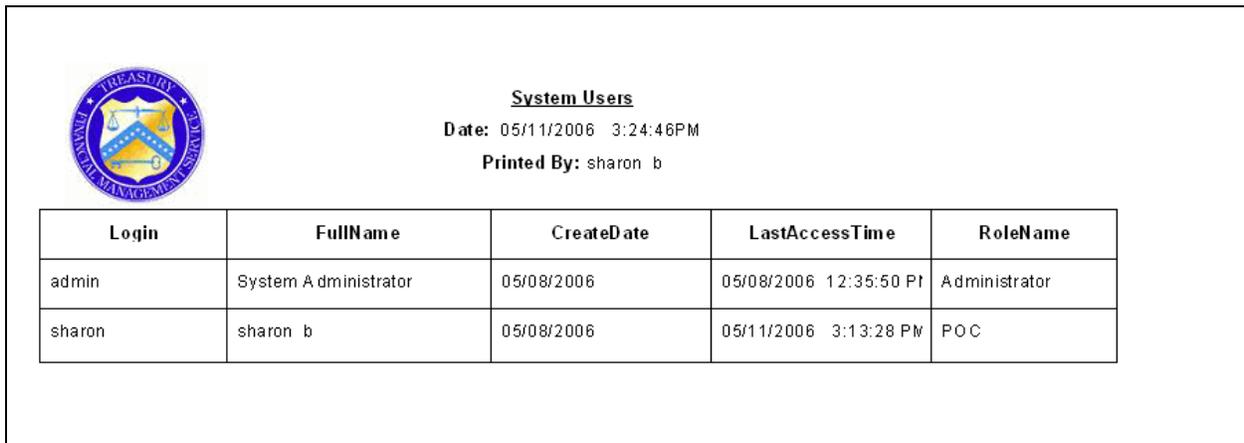
Figure 9.3

*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

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

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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).

<b>Return Reason Code (RRC)</b>	<b>Description</b>
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)

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## 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).

<b>Return Code</b>	<b>Description</b>
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](mailto: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](mailto: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.

<b>ELVIS Permissions</b>	<b>Agency Manager1</b>	<b>CIRA</b>	<b>CIRA / Reports</b>	<b>CIRA / Reports/CSV</b>	<b>POS Download</b>
Read Locations	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	
Read CIRA records	<b>Y</b>	<b>Y</b>	<b>Y</b>	<b>Y</b>	
Read Agency Statistical Reports	<b>Y</b>		<b>Y</b>	<b>Y</b>	
Read CIRA CSV Report	<b>Y</b>			<b>Y</b>	
Read Deposit Ticket Report	<b>Y</b>		<b>Y</b>	<b>Y</b>	
Read Debit Voucher Report	<b>Y</b>		<b>Y</b>	<b>Y</b>	
Read General Agency Reports	<b>Y</b>		<b>Y</b>	<b>Y</b>	
POS Download					<b>Y</b>

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

<b>ELVIS Permissions</b>	<b>Agency Manager2</b>	<b>MVD Edit</b>	<b>MVD Edit/CIRA</b>	<b>MVD Edit/CIRA/Reports</b>	<b>MVD Edit/CIRA/Reports/CSV</b>	<b>MVD View</b>	<b>MVD View/CIRA</b>	<b>MVD View/CIRA/Reports</b>	<b>MVD View/CIRA/Reports/CSV</b>	<b>POS Download</b>
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:** \_\_\_\_\_ Date \_\_\_\_\_  
 Signature

\_\_\_\_\_  
Name & Title (printed or typed)

\_\_\_\_\_  
E-mail Phone (Commercial and DSN Country Code)

**PCC OTC Security Contact:** \_\_\_\_\_ Date \_\_\_\_\_  
 Signature

\_\_\_\_\_  
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](mailto: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.

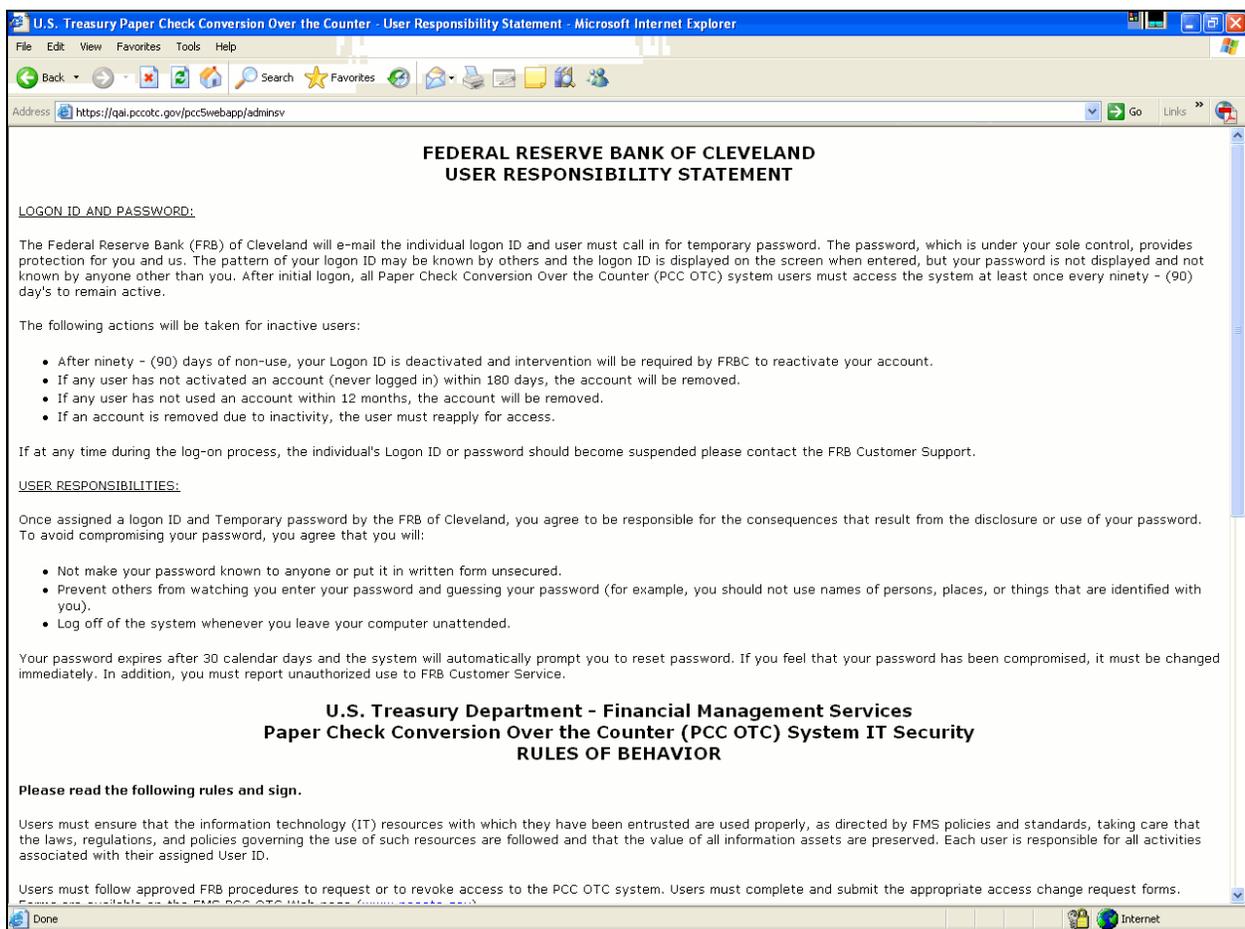


Figure 9.7

## 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.

<b>Permission Name</b>	<b>Used to...</b>
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.
BalanceCheckAmoun ts	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.

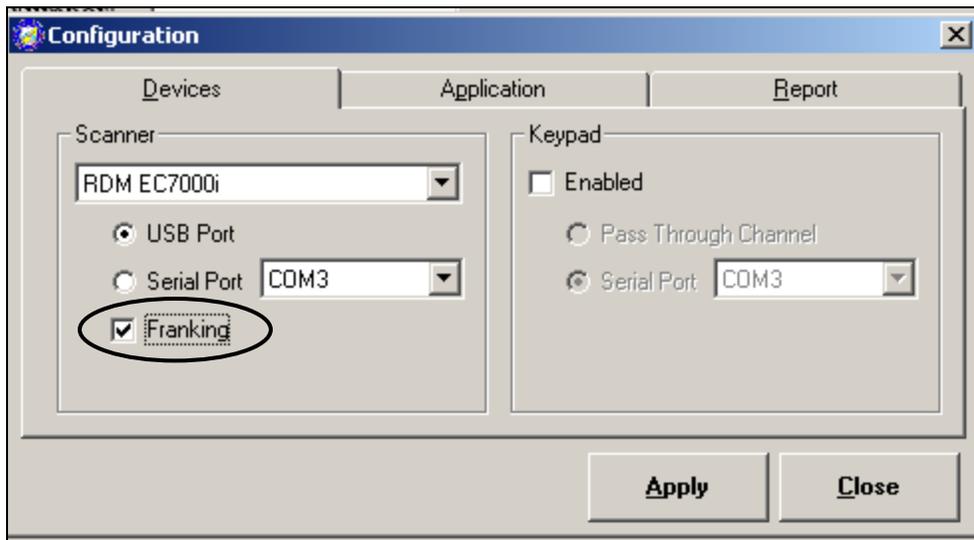
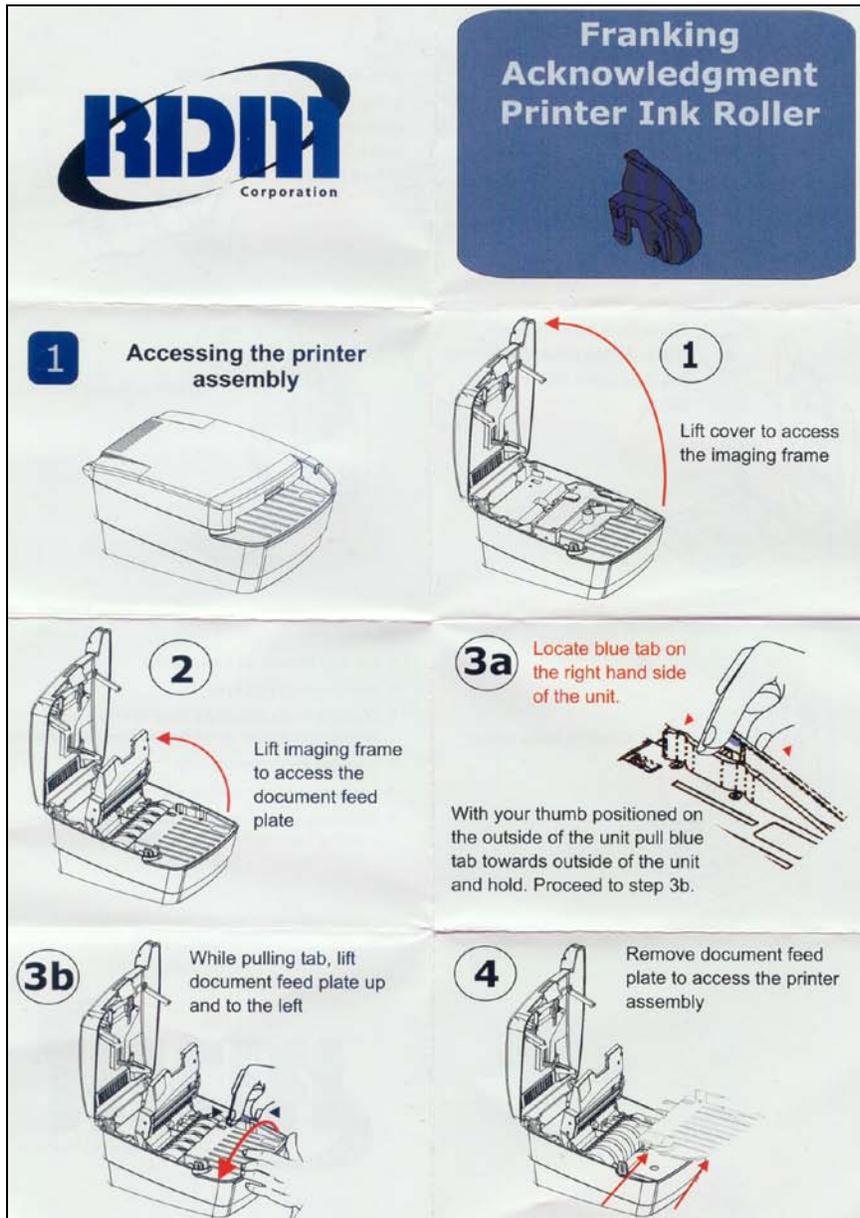


Figure 9.8

**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 follows, listing safety and usage instructions. The RDM Corporation logo is at the bottom.

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## 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.

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***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.

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**Check 21:** ‘Check Clearing for the 21<sup>st</sup> 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:

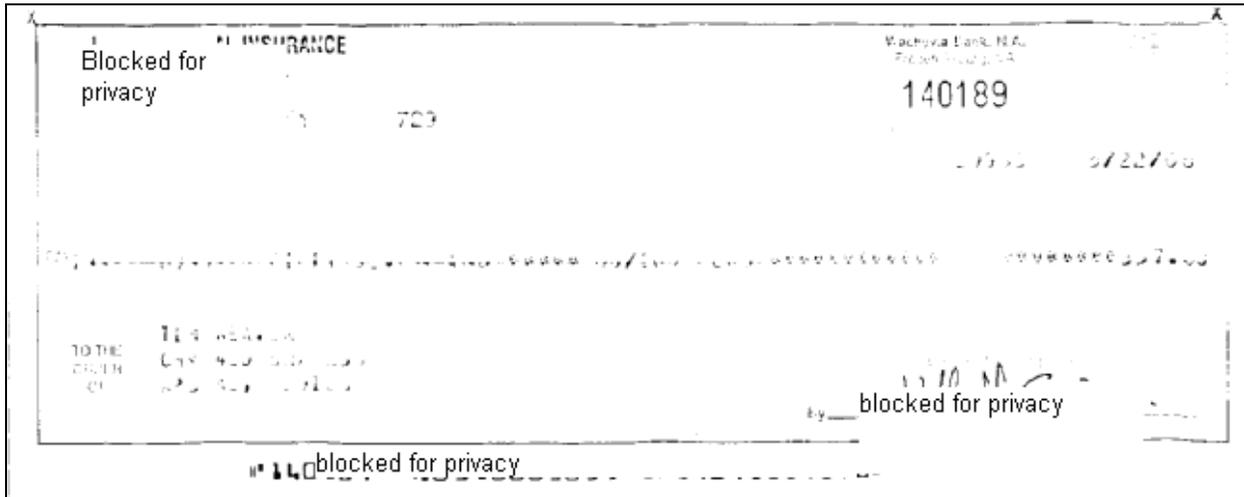


Figure 9.9

### Good Image Quality:

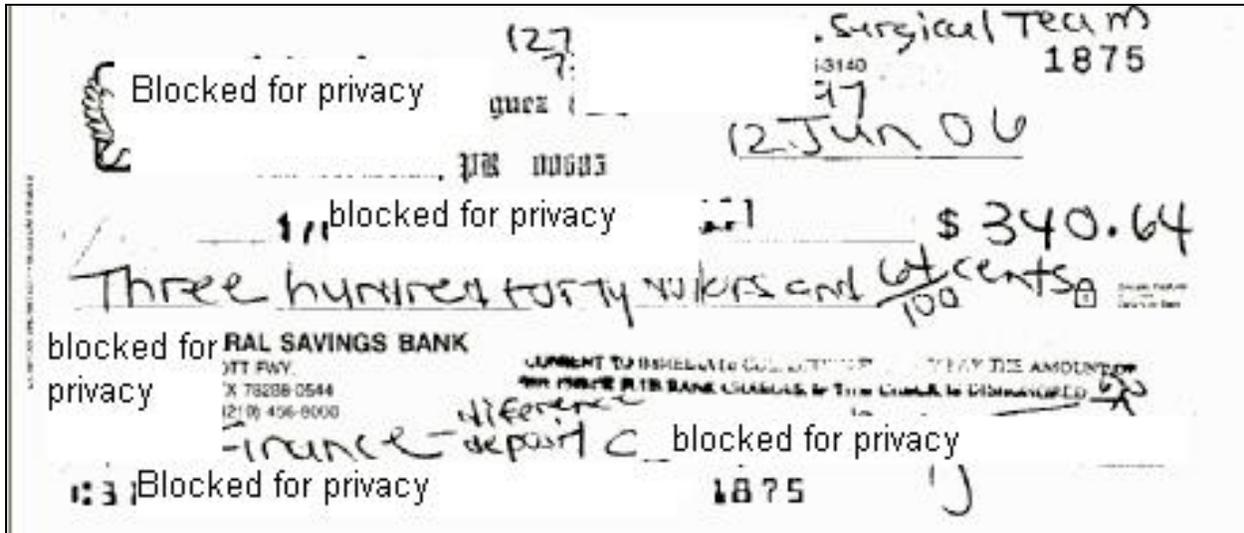


Figure 9.10

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## 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

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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*

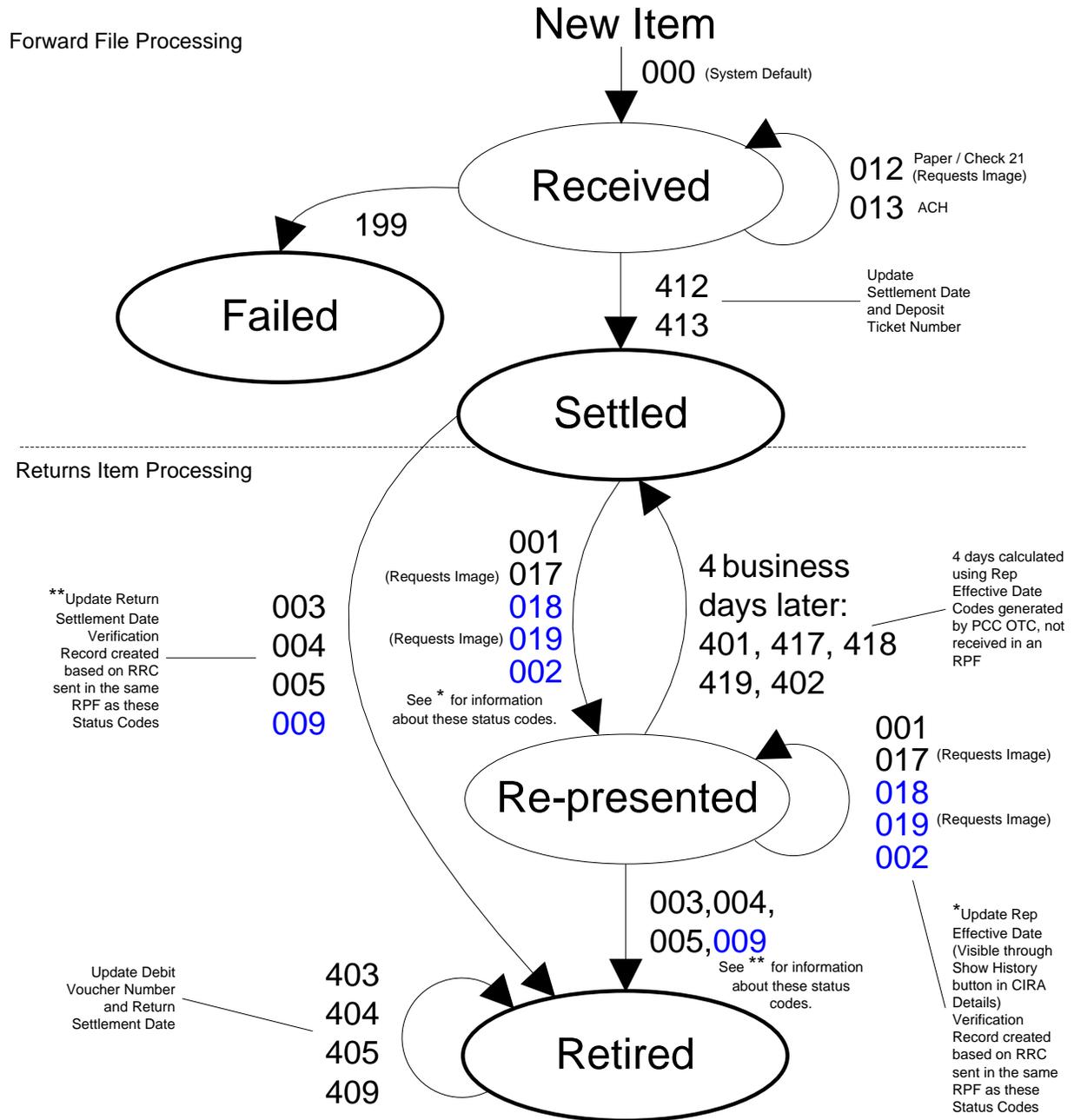
Once settlement occurs, an item can be returned for various reasons, i.e., insufficient funds, account closed, etc.

- ◆ 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 3<sup>rd</sup> representment, the item will be retired in ELVIS. Paper items can only be represented once and will retire in ELVIS upon the 2<sup>nd</sup> 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 2<sup>nd</sup> 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

<b>Transaction Status Code</b>	<b>Description</b>	<b>System Action</b>
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	

<b>Transaction Status Code</b>	<b>Description</b>	<b>System Action</b>
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	