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OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 4
Batch Manager

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Batch Manager

The Batch Manager module allows for processing, editing and management of batches. In the POS, operators are only permitted to close and transmit their own batches. If an operator should be called away before closing and transmitting their batches, an authorized user can access Batch Manager and close the batches. Batch Manager is installed when the POS software is installed on 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.

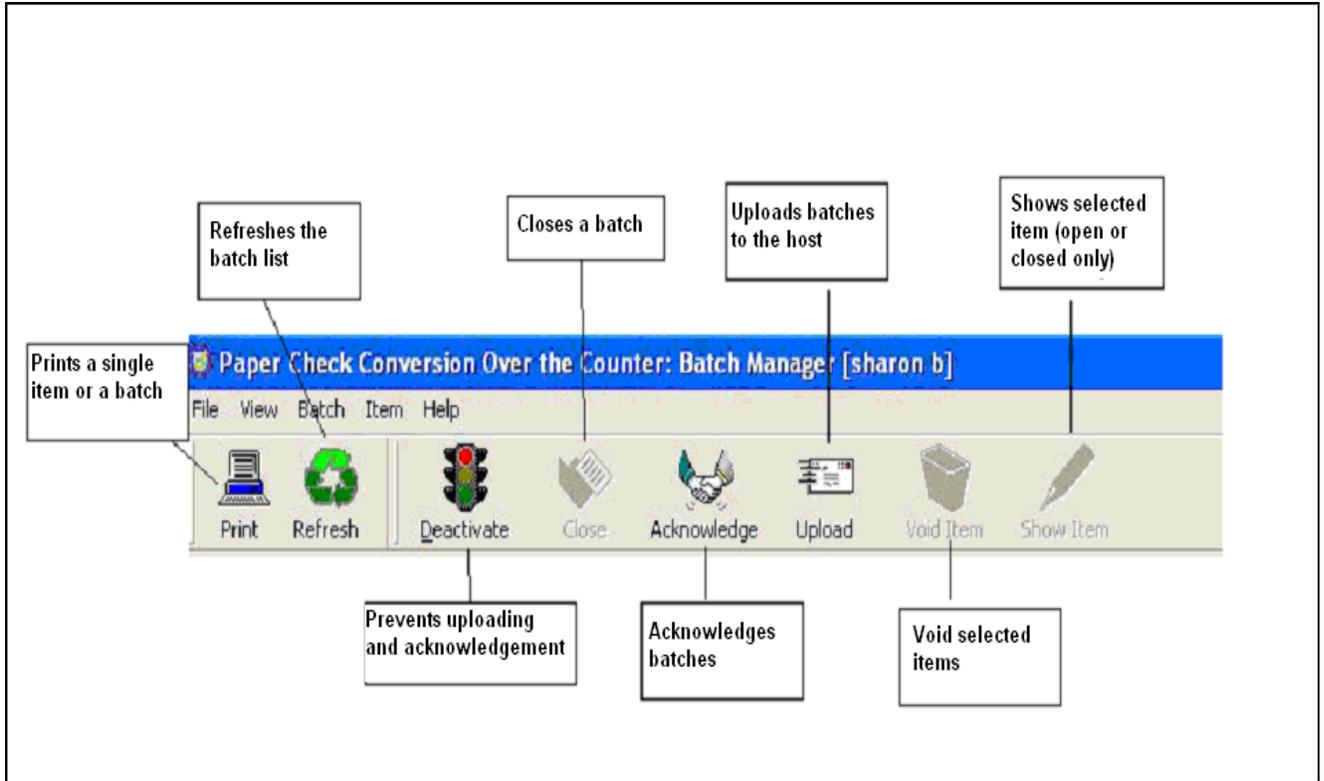


Figure 4.1

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-B8C2C0}	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.

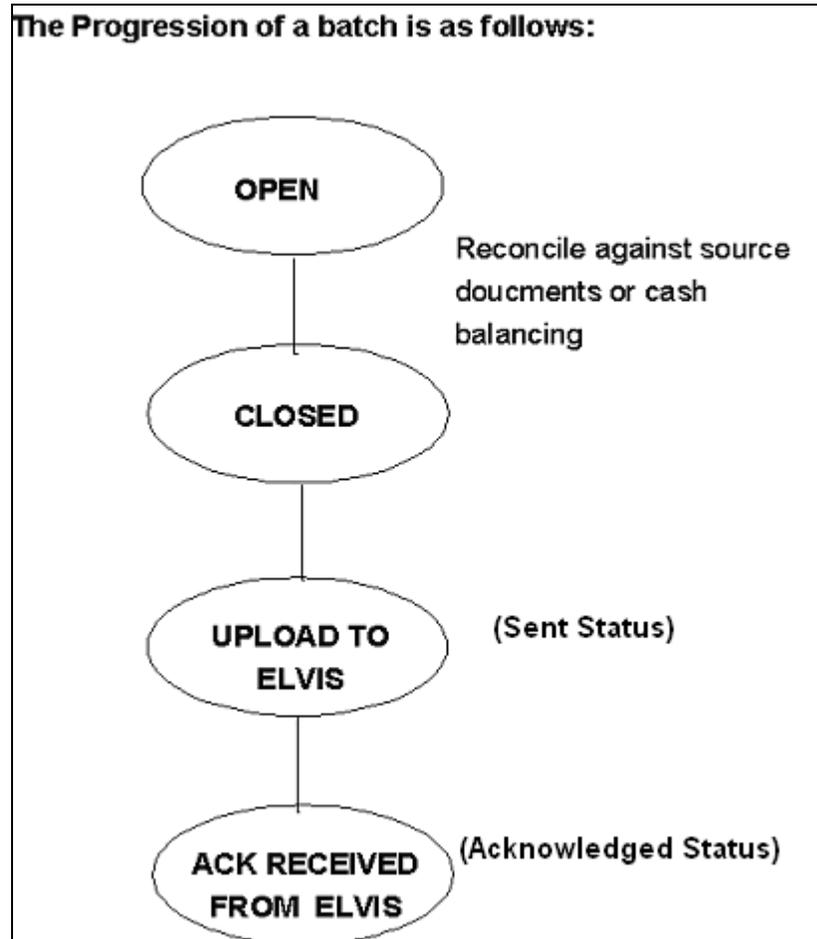
Sent – Batches that have been sent to ELVIS but have not yet been acknowledged. If a user tries to resend a batch that is already in a ‘sent’ status, ELVIS would indicate to POS that the batch has already been sent and a message as such is presented to the user.

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).

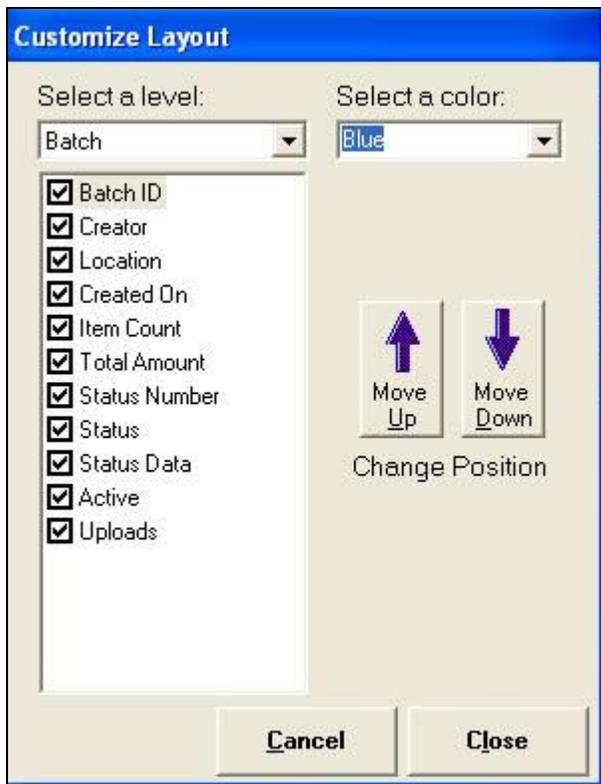


Figure 4.8

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)

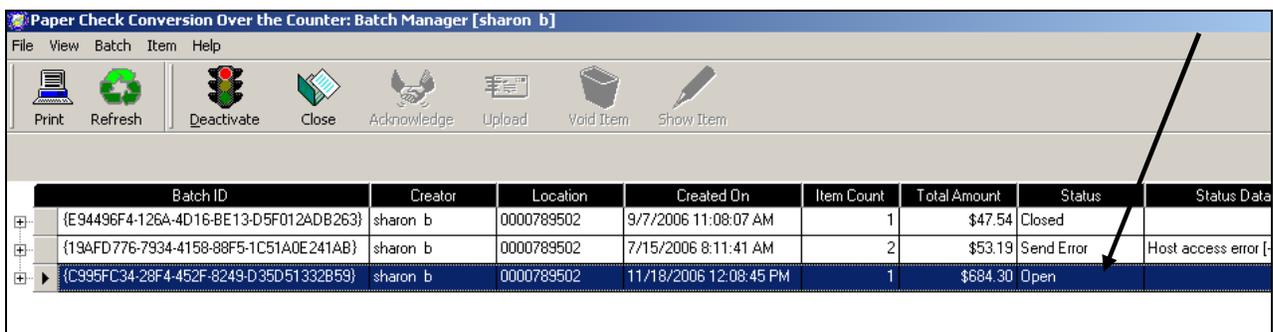


Figure 4.12

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]on Personal

S	T	IRN	Date Time	Bank No.	Account No.	Check No.	Amount	Configurable Fields
A	P	150917770235800000419	5/5/2006 10:45:16AM	24	0457	3439	\$100.00	SSN : 22 5
V	P	150917770235800000406	5/5/2006 9:34:18AM	73	030	2148	\$32.39	SSN : 11 0
V	P	150917770235800000405	5/5/2006 9:32:19AM	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.

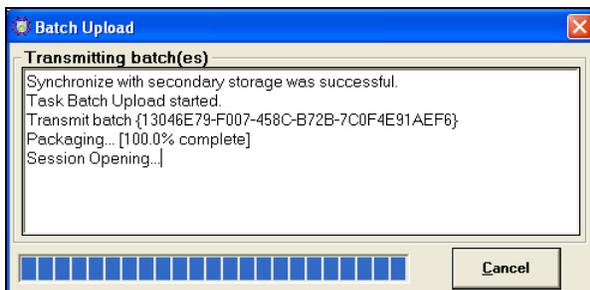


Figure 4.15

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)

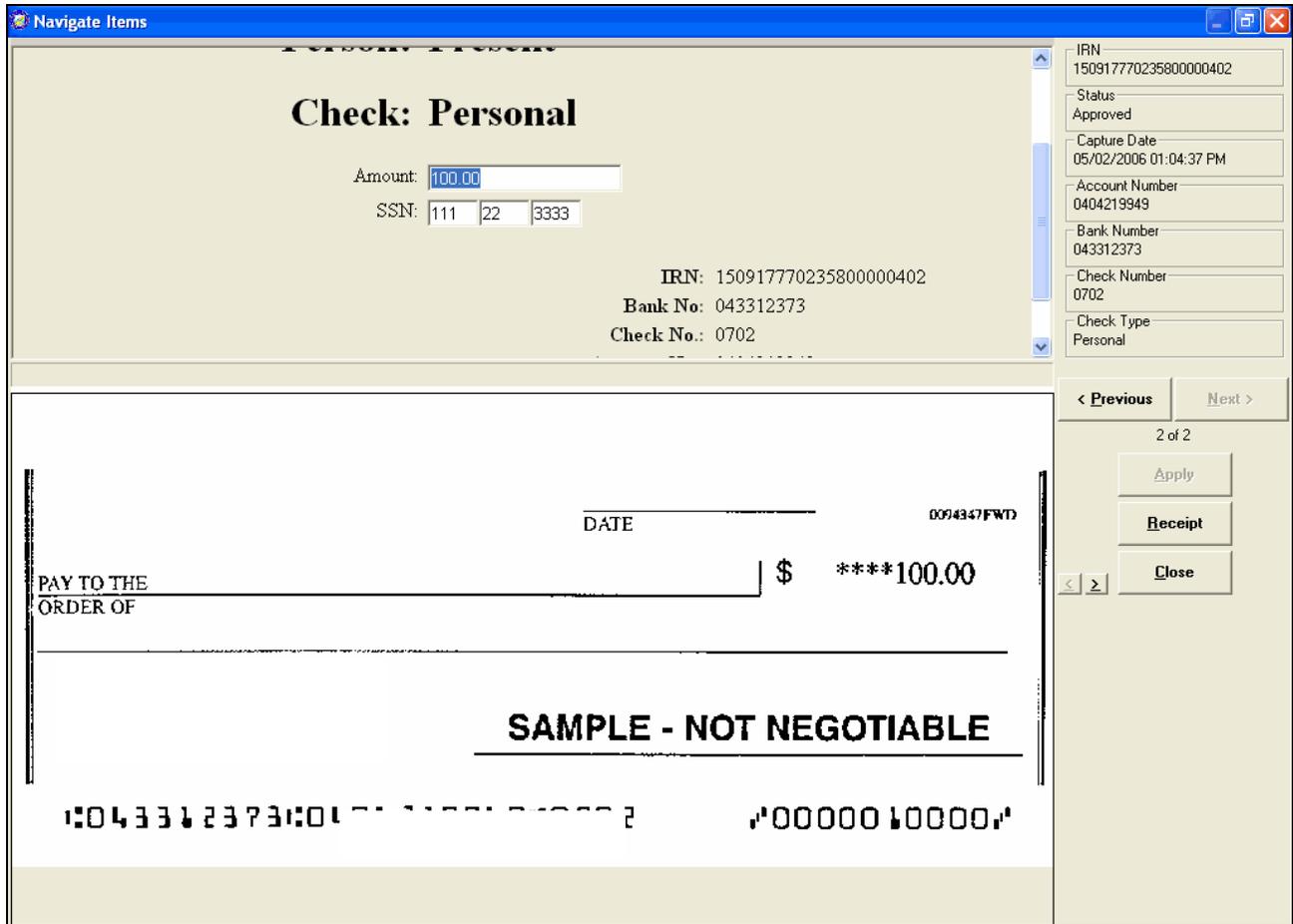


Figure 4.17

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.

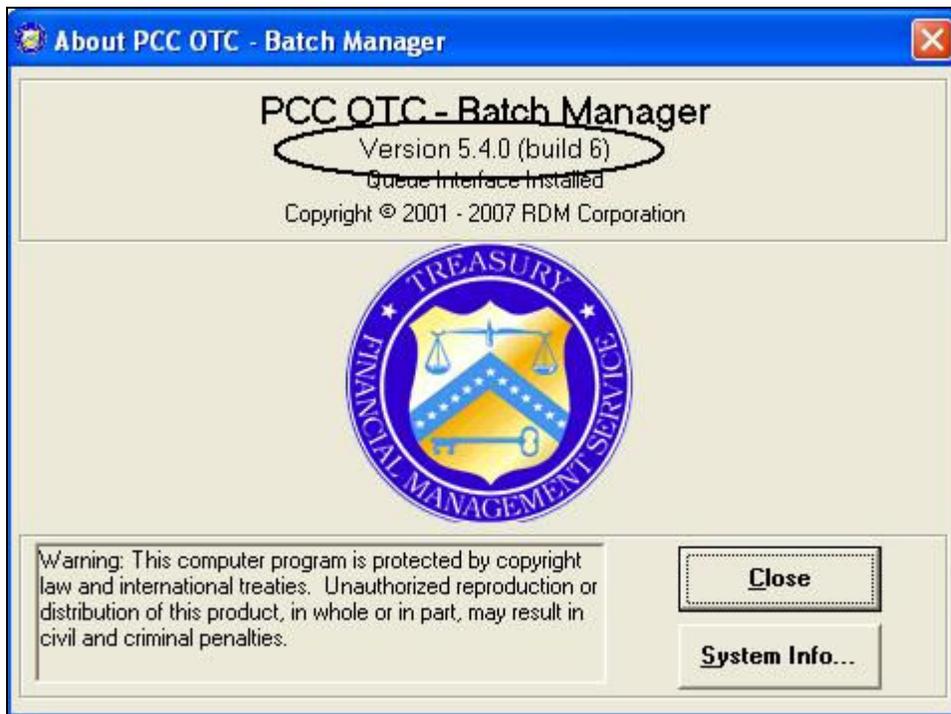


Figure 4.21

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)

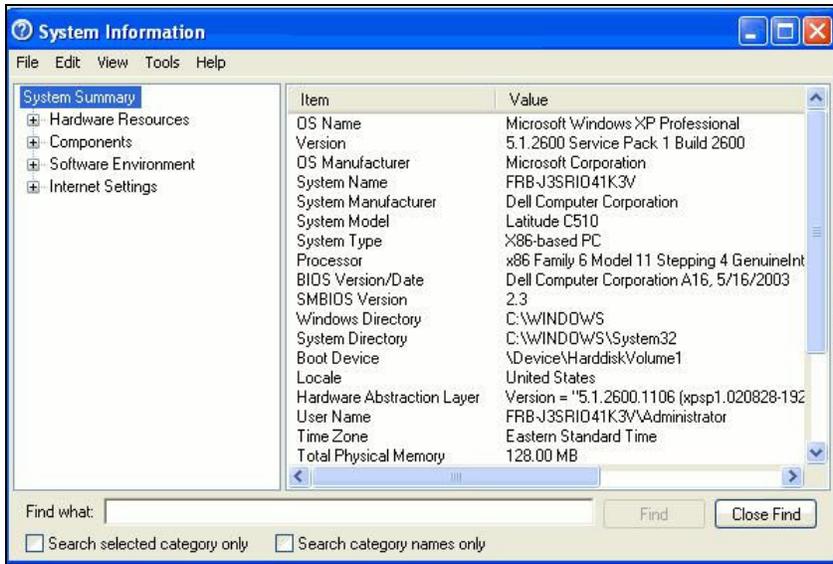


Figure 4.22

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.

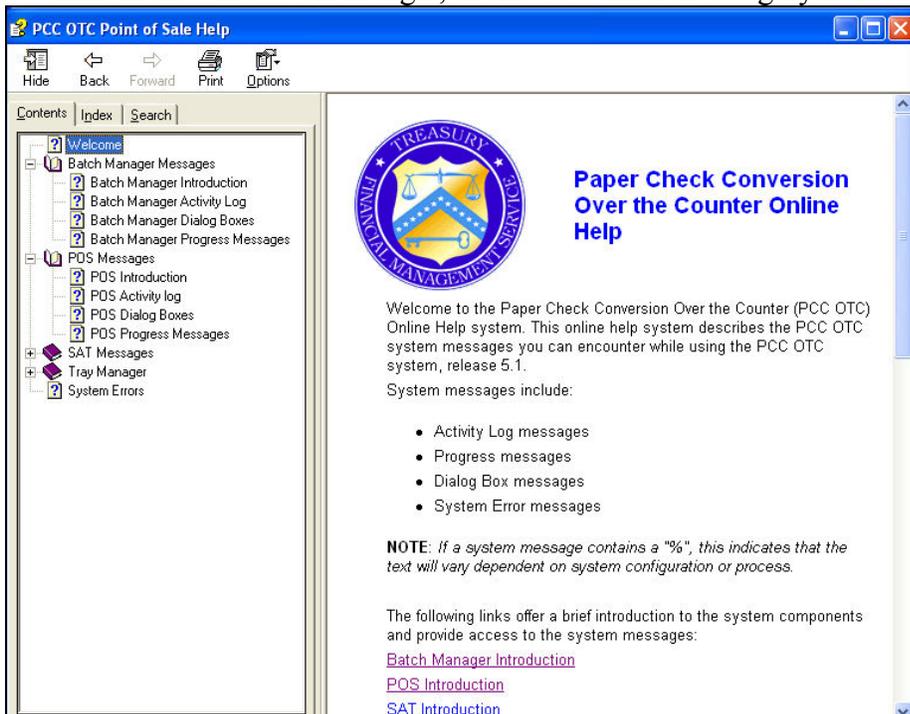


Figure 4.23

- 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)

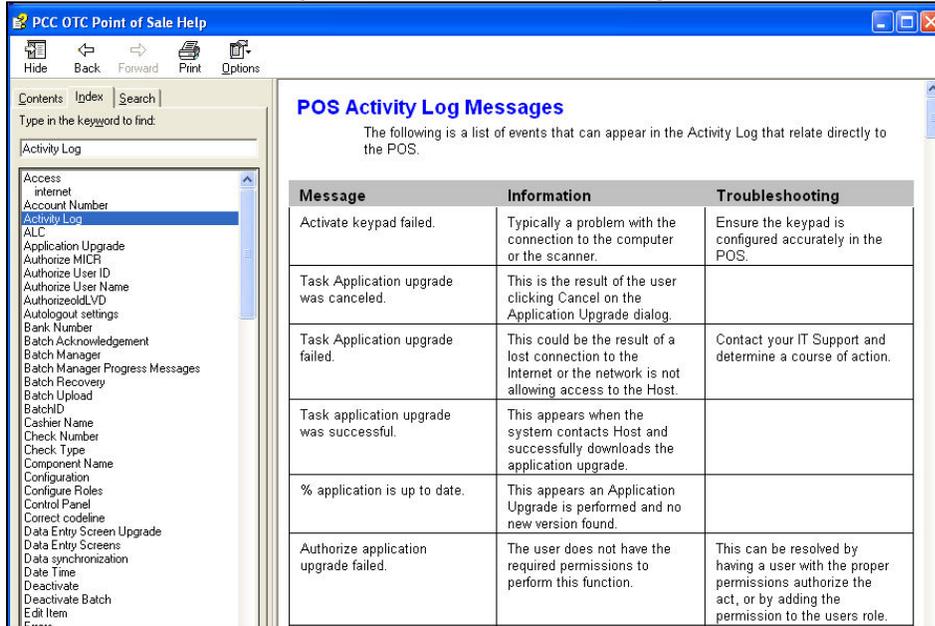


Figure 4.25

- 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.

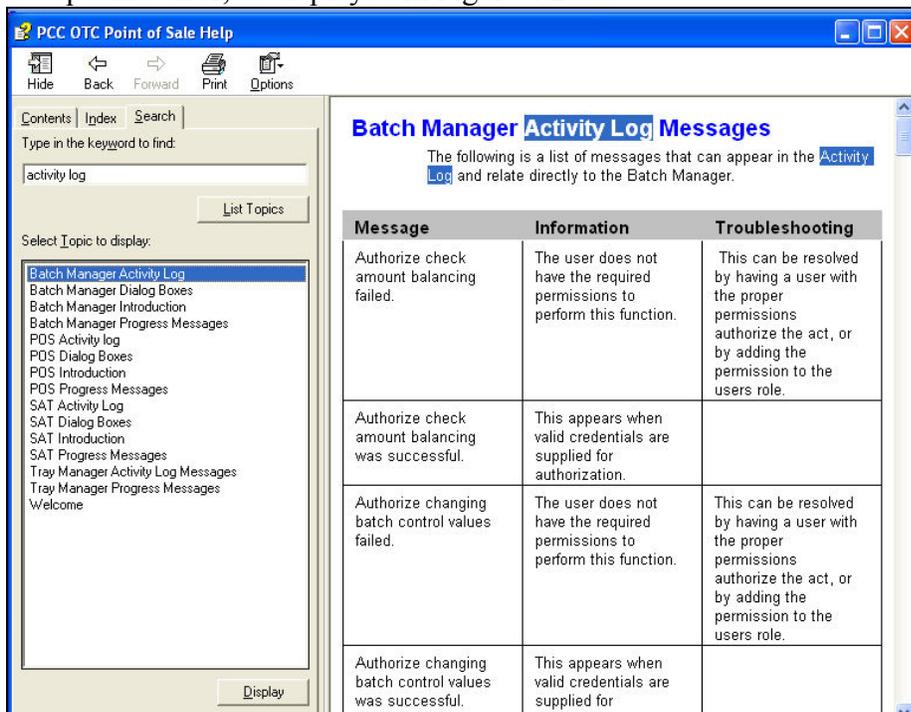


Figure 4.26