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Financial Management Service (FMS)

OTC Channel

Paper Check Conversion Over the Counter (PCC OTC)

User Manual

Chapter 6
Daily Processing

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Daily Processing Step-By-Step User Guide

Access Login



After successful installation and configuration, a user can double click the POS desktop icon to start the application.

The POS login screen appears. The user is prompted to enter their POS ‘Login’ and ‘Password’ (See Figure 6.1).

After the login and password have been entered, select ‘OK’ or press ‘Enter’.

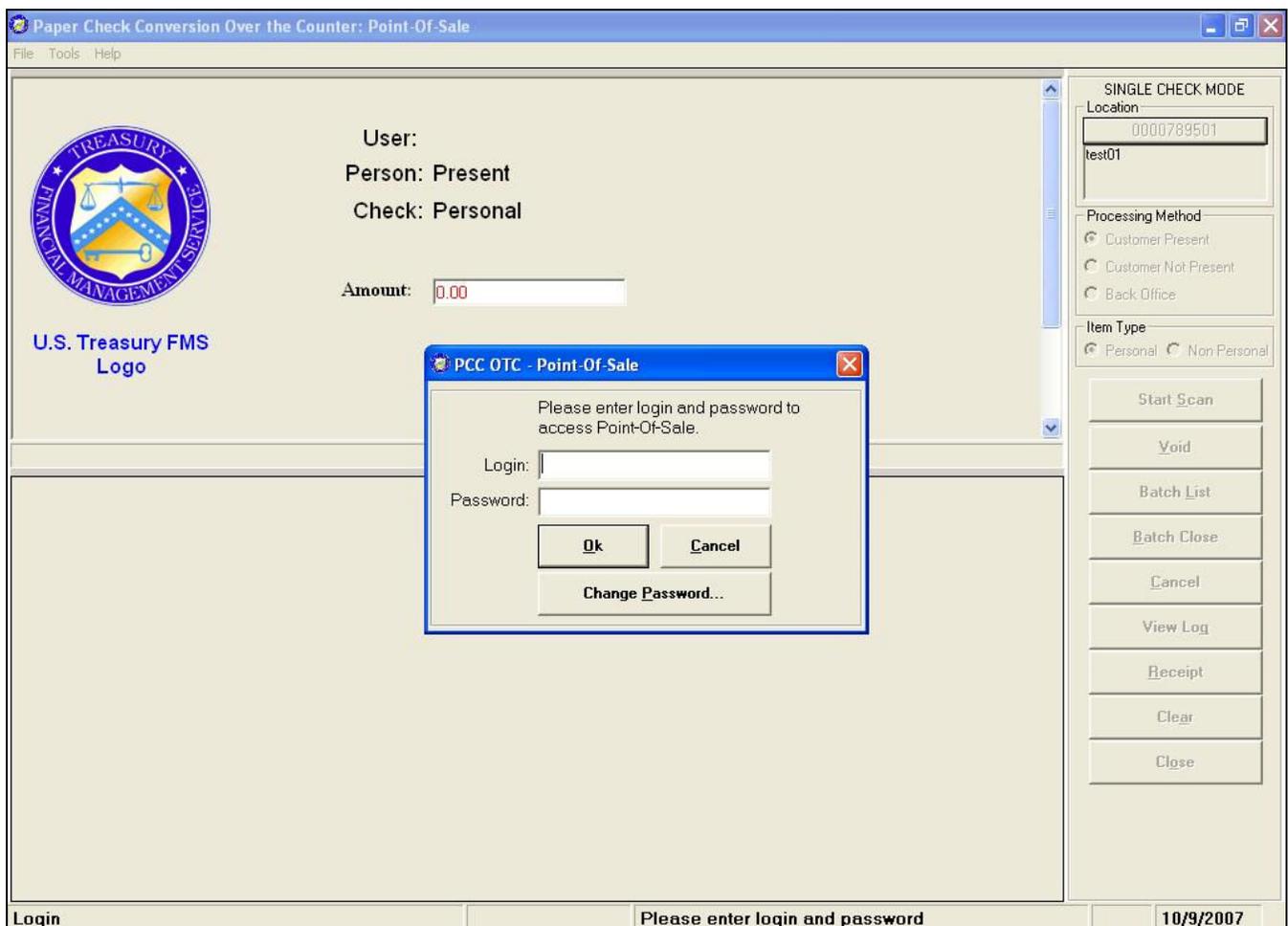


Figure 6.1

The user remains active in this session until:

1. the batch is closed
2. the user logs out
3. the PC automatically shuts down. The POS computer is configured to shutdown automatically after being idle for a certain period of time. The default is set to 15 minutes but this can be altered to fit the Agency's requirements. For information on changing the auto logout default, refer to the SAT chapter, 'System Configuration', 'General Tab', 'Login' section of this User Manual.

First Time Users

If this is the first time the user is signing on to any of the PCC OTC modules, i.e., POS, SAT or Batch Manager, the user is required to change their password. The P O C assigns each user a login name and an initial, temporary password. After typing the login name in the login field, and the temporary password in the password field, the system prompts the user to change their password (see *Changing a Password* section below). For complete specifics regarding password requirements, please see *Appendix R – Password Requirements* in the Appendix chapter of this User Manual, or contact the Treasury OTC Support Center.

Changing a password/Password Expiration

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

Note: When the password is changed in the POS, it is also changed in the SAT and Batch Manager provided that the user has access to those modules.

To change a password:

In the Login window, enter the login name and password and click the '**Change Password**' button.

The Change Password window opens. (Figure 6.2)

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

In the 'New Password' field, type the new password

In the 'Confirm' field, type the new password again. Click '**OK**'.

The Change Password dialog window closes and access is provided to the application.



Figure 6.2

Scanner Configuration Validation

Each time a user signs on to the POS, the system checks to ensure that the scanner is properly configured. The message, 'Connecting to scanner' momentarily appears. If the scanner is properly configured, the message disappears and the sign on process continues.

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

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

Batch Acknowledgement upon Sign on

Upon sign on, the POS may connect with the ELVIS system to check for batches that have not yet been acknowledged. This is based on how the POS computer's 'Tasks' are setup. For information on Tasks defaults, see the *SAT* chapter, 'System Configuration', 'Tasks Tab' of this User Manual.

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

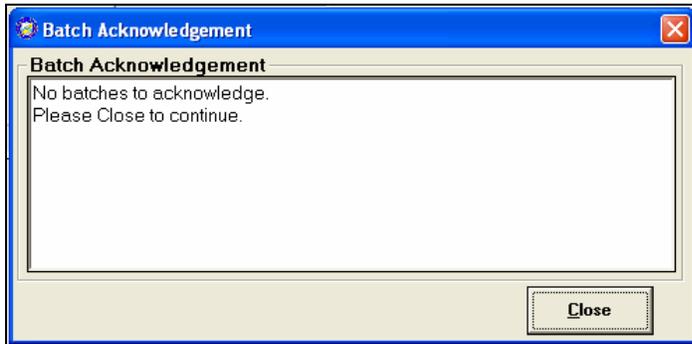


Figure 6.3

Click the 'Close' button to continue.

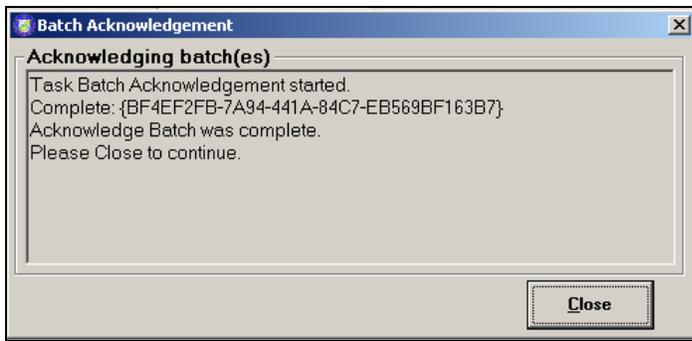


Figure 6.4

Data Entry Screen Upgrade - Check upon Sign on

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

The Data Entry Screen Upgrade refers to the PCC OTC application's usage of XML forms. These forms create a custom data entry screen for each agency. Each agency includes specific information regarding their customized Data Entry Screens on their A S P (Agency Site Profile). This information is used by the Treasury OTC Support Center to create each customized Data Entry Screen.

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

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

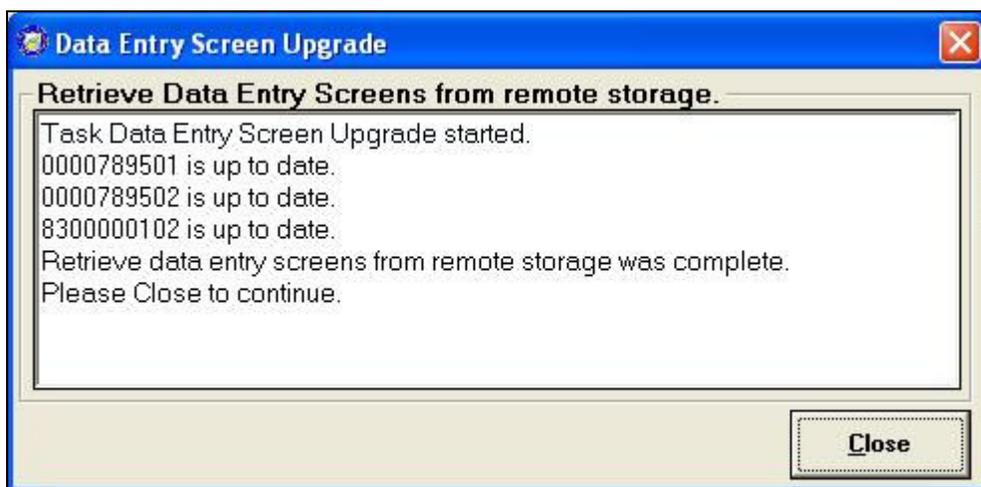


Figure 6.5

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

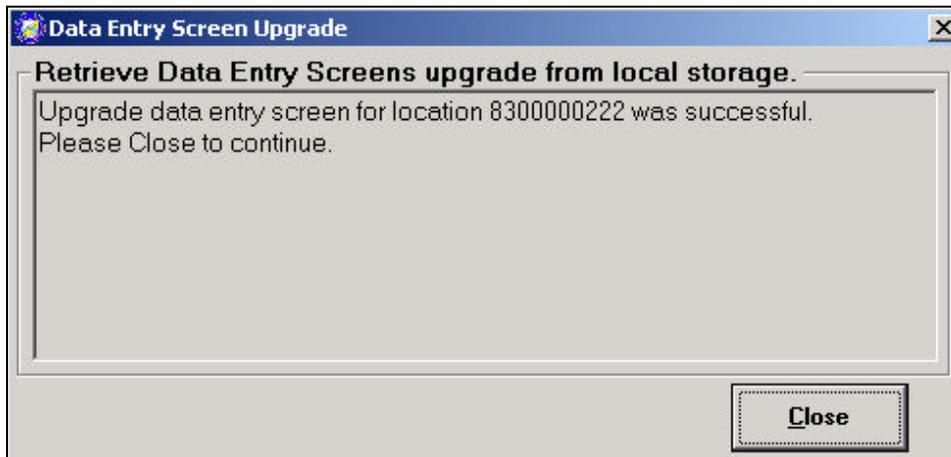


Figure 6.5.1

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

Update the Check Verification Database

For agencies utilizing the optional Check Verification Database, also known as the Local Verification Database (LVD), the user may be prompted to update the Check Verification database upon login (Figure 6.6). If the Check Verification database has not been updated within the agency's requirements (as determined in the SAT configuration task setting), the user is prompted to update the database. The database could become outdated if the user was unable to connect to the Internet for some time, or an Agency was operating from a remote location for an extended period of time.

Note Mobile/remote users should update the Check Verification Database prior to mobilization by selecting 'Check for> Verification Records' from the Tools menu on the main POS screen.

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

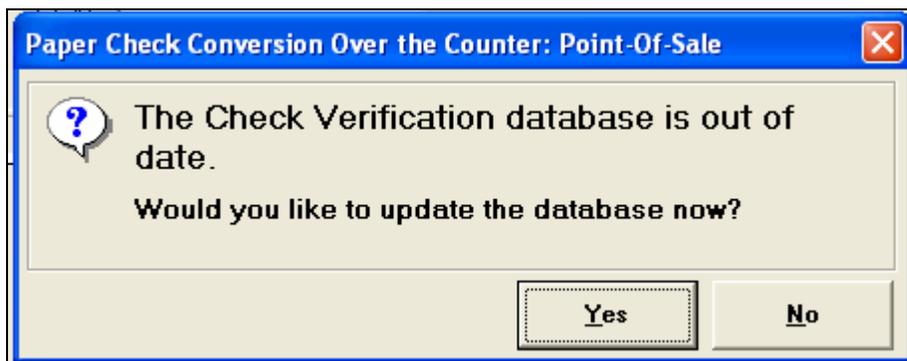


Figure 6.6

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

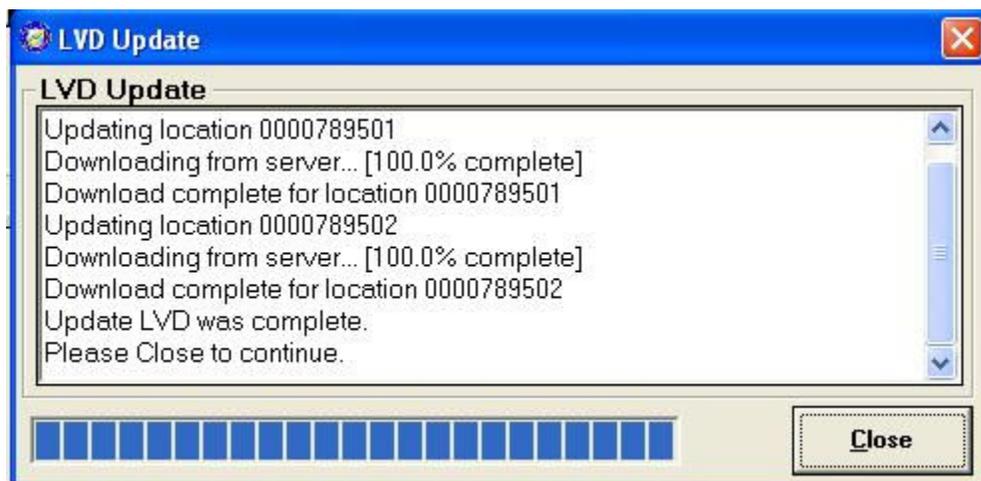


Figure 6.7

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

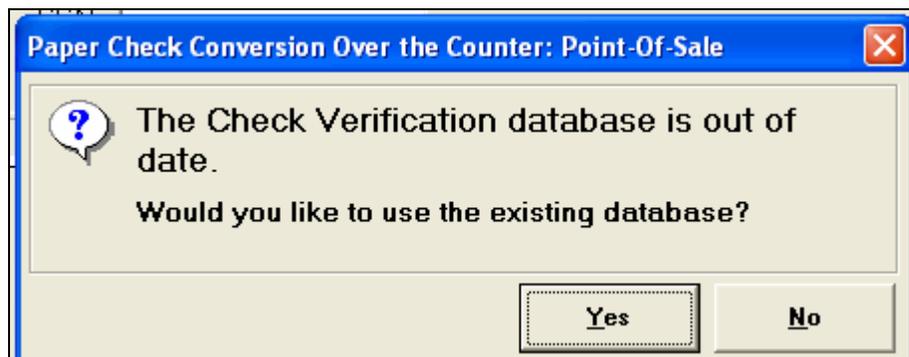


Figure 6.8

If 'Yes' is selected, the existing LVD is used as long as the database has not exceeded the preconfigured timeframe for an upgrade. The default timeframe for an LVD upgrade is 30 days but this can be modified by an authorized user to a number between 1 and 100 days. If the system finds that the database is older than the allowable number of days, one of two actions must occur: an authorized user is required to sign on to allow the operator to continue using the outdated database, or the database must be updated. To determine who has this permission, refer to the 'Configure System Roles' section in the *System Administration Tool* chapter.

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



Figure 6.8.0

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

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

Open Batch Detected

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

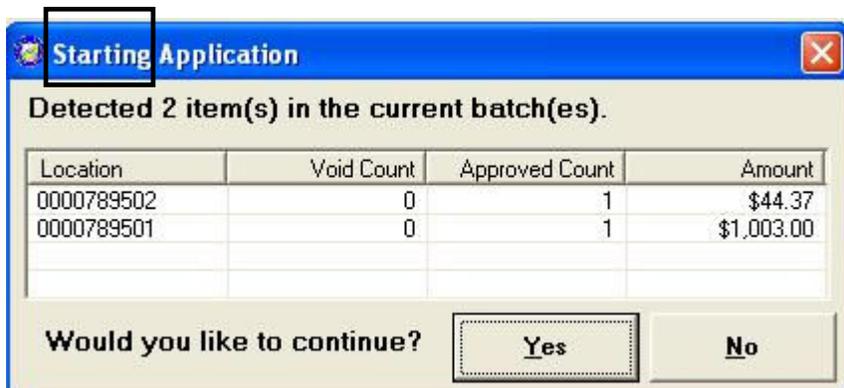


Figure 6.8.1

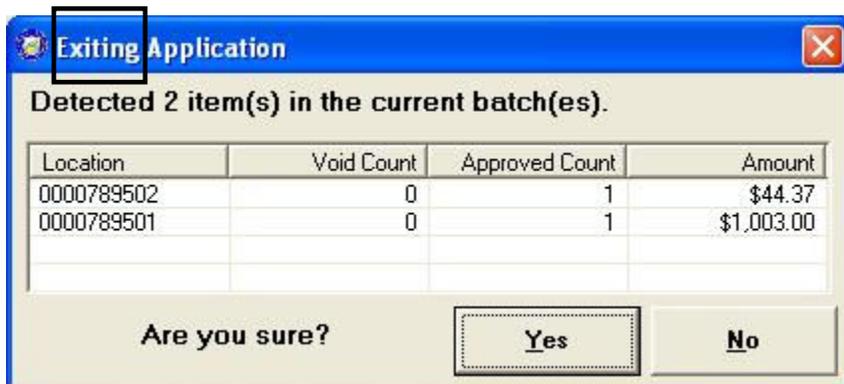


Figure 6.8.2

These messages alert the user that previous items were not completed. More checks can be added to the batch by responding 'Yes'. The next item that is scanned is added to this batch.

If more items should not be added to the batch, the user should respond with 'No'. The system then asks if the user wishes to close the batch (Figure 6.8.3). In order to transmit the batch for processing, the batch must first be closed. To ready the batch for transmission, respond by clicking the 'Ok' button to close the batch. The system opens the 'Close Batches' window. For procedural information on the 'Batch close' process, please refer to the 'Batch Close' section of this chapter.

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

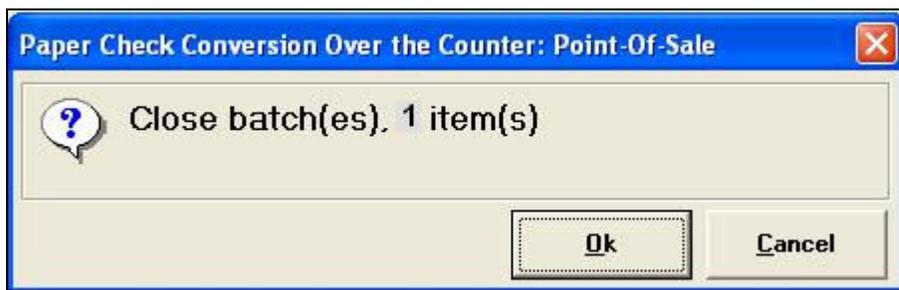


Figure 6.8.3

Very Important Note: Batches are owned by the individual who created the batch. Only the owner of the batch is notified of incomplete batches at sign on/sign off. If incomplete batches exist in the system and another user signs on to the system, they are not notified. Because of this, it is vitally important for authorized users of Batch Manager to frequently check the status of batches in Batch Manager to ensure that all batches are successfully completed.

Task upgrades

Periodically, the user may be presented with questions, restrictions or options pertaining to an application upgrade, or scanner firmware upgrades (upgrades to the software that identifies the scanner to the computer) as they are available from the ELVIS system. These prompts appear to the user in the form of a pop-up question during the course of the business day. These tasks are setup to run at specific times, i.e., start of application, close batch, etc. The way they are set to run is defaulted when the software is installed but changes can be made in the SAT configuration settings. For more information on the configuration settings, please refer to the *System Administration Tool* chapter of this User Manual. Some examples can be seen in Figures 6.9, and 6.10 below.

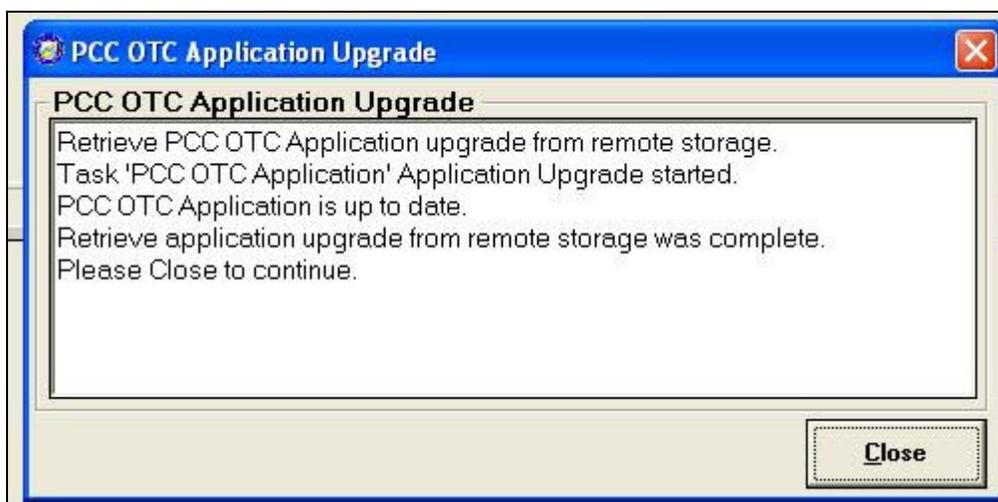


Figure 6.9



Figure 6.10

Note: It is very important that the user **DOES NOT** click the 'Cancel' button to cancel these tasks.

Tools - POS Downloads

Tools

Authorized users can also perform the functions mentioned in the ‘Other Task Upgrades’ above whenever there is a need. To use the POS ‘Tools’:

From the POS Main Window, click ‘**Tools**’, ‘**Check host for**’ as pictured in Figure 6.10.1 below.



Figure 6.10.1

The following options are available:

Application Upgrade – A submenu appears with the choices, ‘**PCC OTC Application**’ and ‘**Scanner Firmware**’ when choosing the application upgrade, as displayed in Figure 6.10.2.

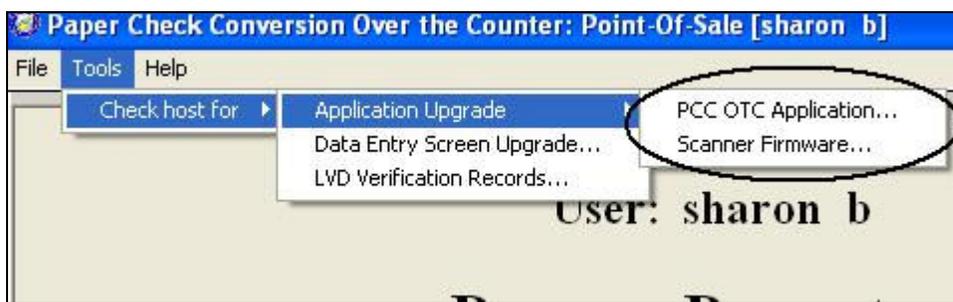


Figure 6.10.2

Note: *Firewalls can block the download of updates or files. The Agency’s firewall settings may need to be altered to allow anything from the Treasury OTC Support Center IP, in order to receive the upgrade. If application downloads are not practical or permissible, a CD with the upgrade can be sent via mail, or the upgrade can be placed on the Agency’s server and the Agency’s POS terminals can access the upgrade from that server.*

Application Upgrade

An authorized user can use the ‘**PCC OTC Application**’ upgrade tool to extract an upgraded application (when an upgrade becomes available) and launch the installation procedure. This task can be configured to perform automatically at either application startup or batch close. The default is for it to run at ‘Close Batch. Only authorized users can perform the application upgrade.

To check the host for an Application upgrade:

Select **'Tools', 'Check Host For', 'Application Upgrade', 'PCC OTC Application'** as displayed above in Figure 6.10.2.

1. The PCC OTC Application Upgrade information window opens (Figure 6.10.3).

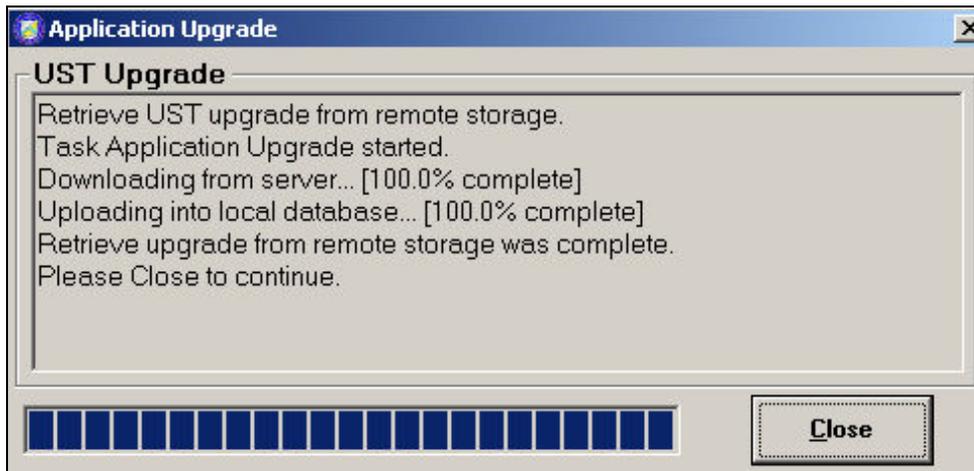


Figure 6.10.3

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

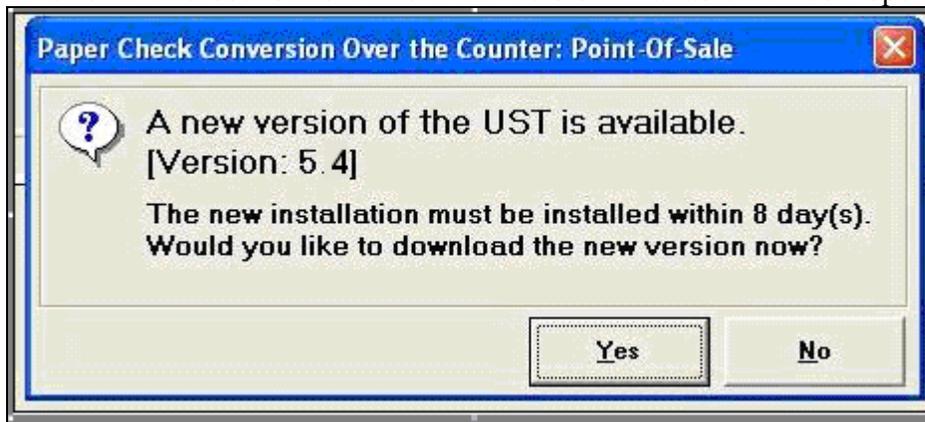


Figure 6.10.4

3. Click **'Yes'** to install the upgrade now, or **'No'** to postpone the install. Installation of the upgrade can be postponed but it is not recommended as the upgrade is assigned a specific grace period and must be installed within that period of time. The 'Application Upgrade' window opens (Figure 6.10.5).

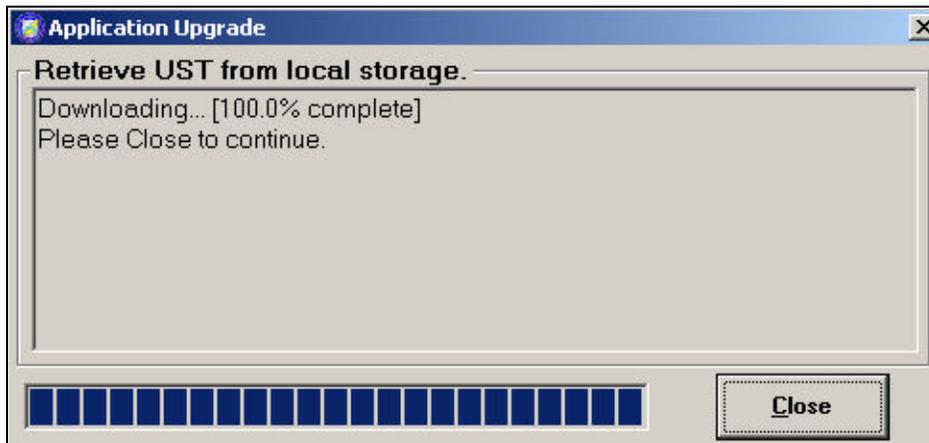


Figure 6.10.5

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

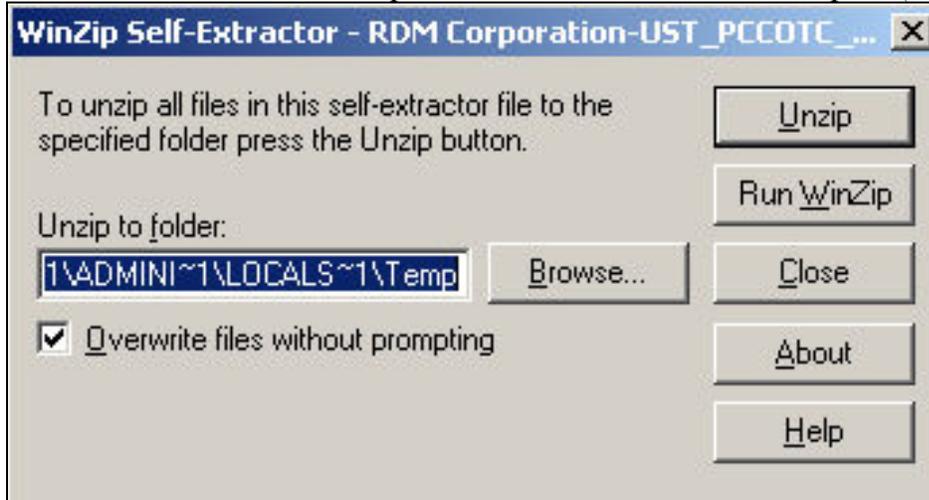


Figure 6.10.6

5. Specify a file location if different from the default and click 'Unzip'.
6. Click 'OK' on the Files Unzipped successfully screen. Close the WinZip Self-Extractor screen.
7. Ensure there are no instances of POS applications currently running, and click 'Yes'.
8. Navigate to the file location specified on the WinZip Self-Extractor screen and double-click the 'Setup.exe' icon. Refer to PCC OTC POS Installation guide for information about installing the POS.

Note: *If using the default file location on the WinZip Self-Extractor screen ensure that Windows is configured to display all folders including hidden folders.*

Scanner Firmware Upgrade

The 'Scanner Firmware' upgrade tool allows downloads of new scanner firmware. The firmware downloads automatically and attempts to install. This task can be configured as part of Application Upgrade to perform automatically at either application startup or batch close. The default is for it to run at 'Close Batch. Only authorized users can perform the scanner firmware upgrade. To manually update the Firmware:

1. Select 'Tools', 'Check Host For', 'Application Upgrade', 'Scanner Firmware'. The Firmware Upgrade window opens and displays the percentage of completion. (Figure 6.10.7)



Figure 6.10.7

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

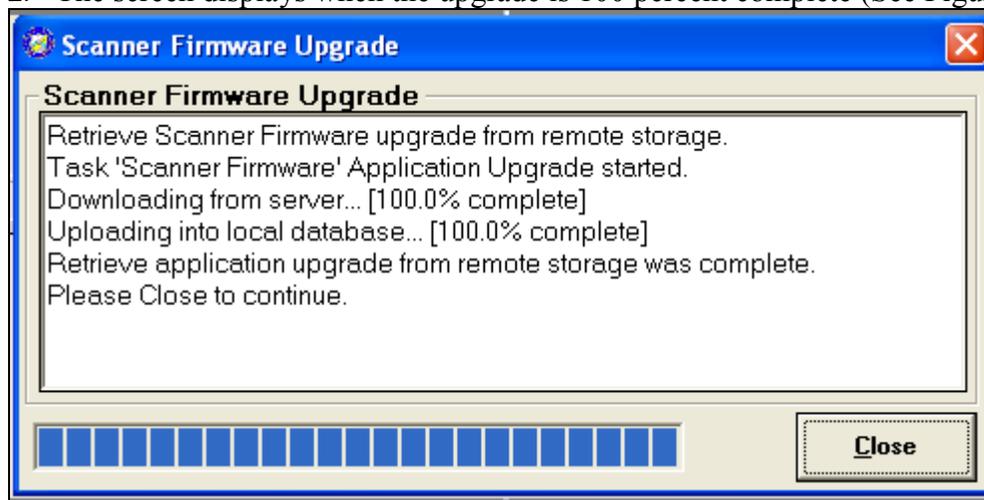


Figure 6.10.7.1

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

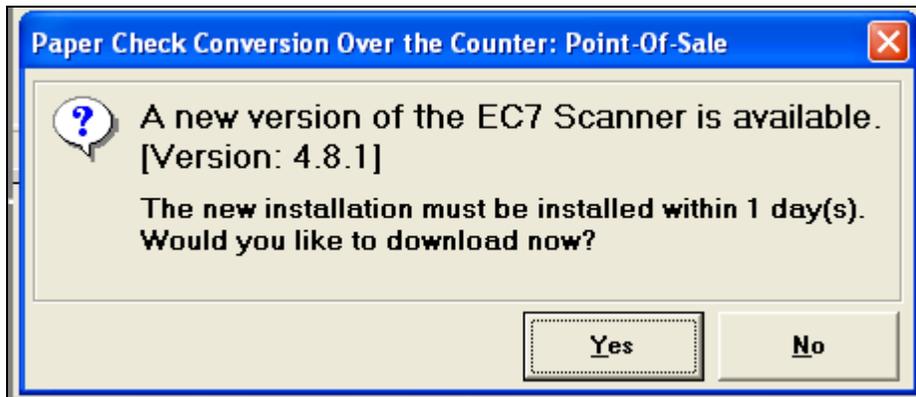


Figure 6.10.8

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

Note: The install procedure closes the POS software.

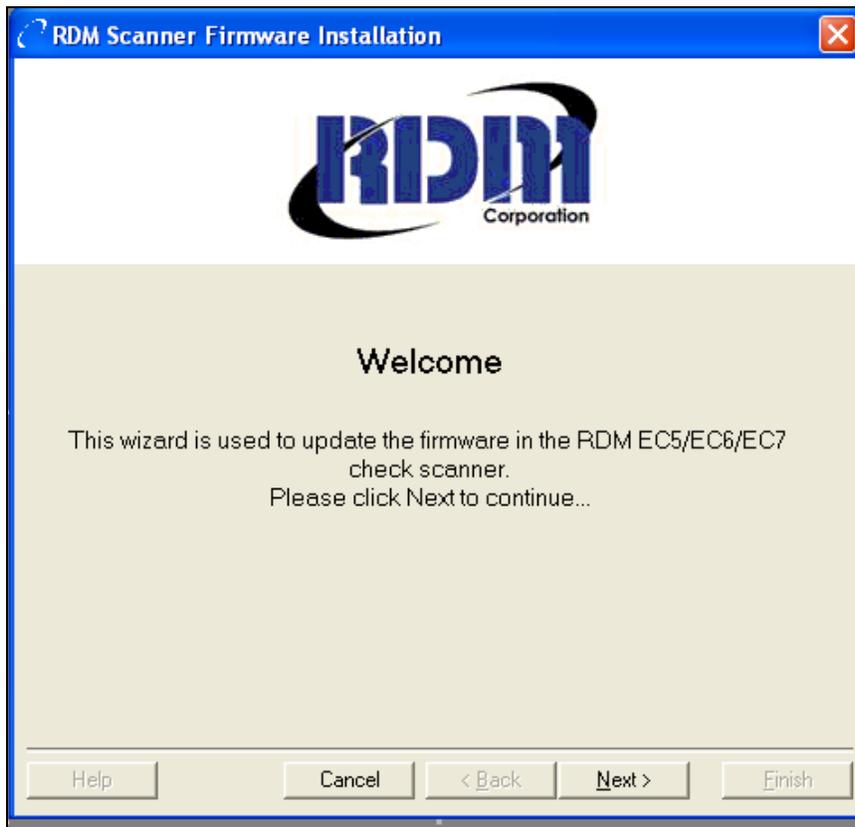


Figure 6.10.9

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

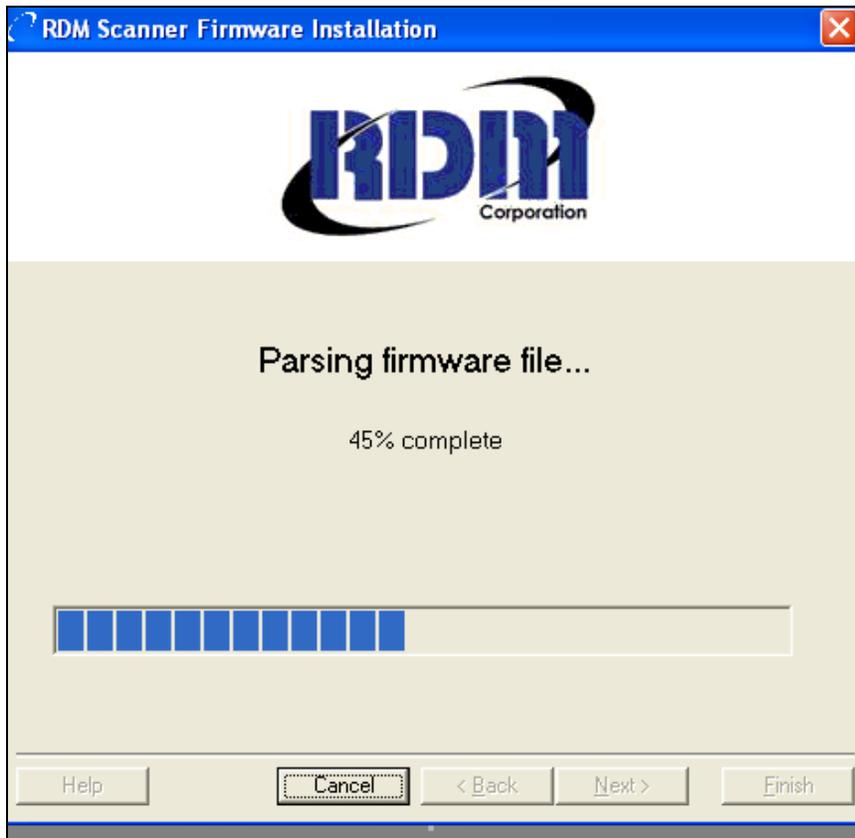


Figure 6.10.10

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

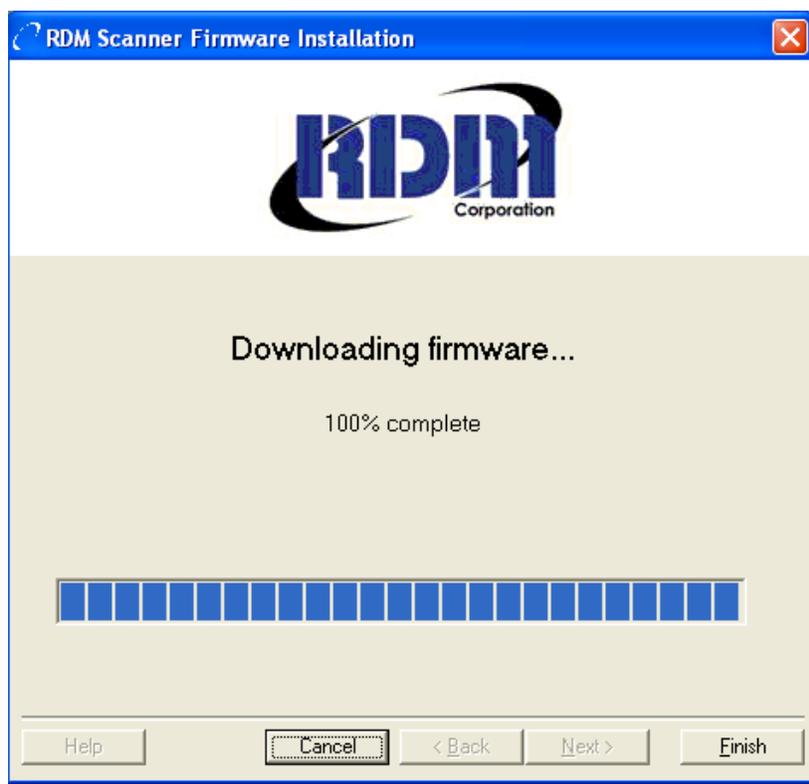


Figure 6.10.10.0

Data Entry Screen Upgrade

The POS allows for up to 24 configurable fields to be used on an Agency's Data Entry screen(s). The data entry screen upgrade allows a user to check for upgrades to their data entry screens. This tool needs to be used upon the initial login to the POS. After the data entry screen upgrades have been downloaded, this tool only needs to be used if changes to the Data Entry screens have been made. This task can be performed by all users and can be configured to perform automatically at either application startup or batch close.

To manually update the Data Entry Screens:

1. Select '**Tools**', '**Check Host For**', '**Data Entry Screen Upgrade**'. The Data Entry Upgrade window opens (Figure 6.10.11).

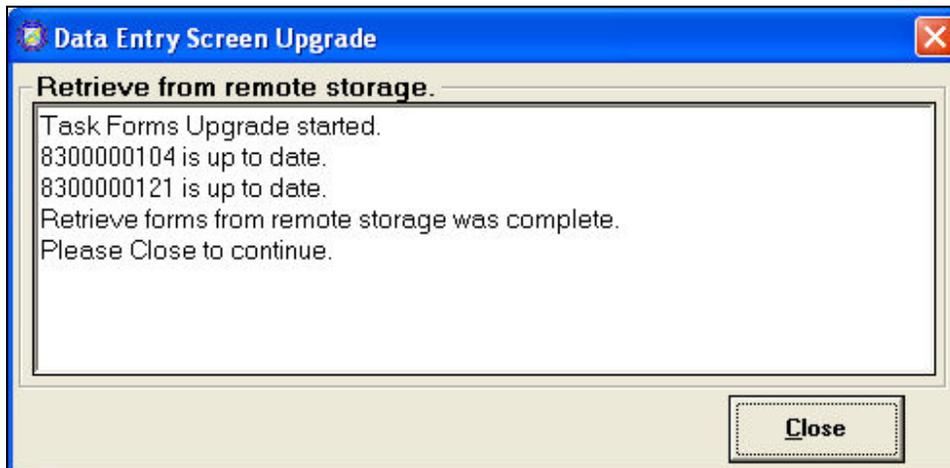


Figure 6.10.11

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

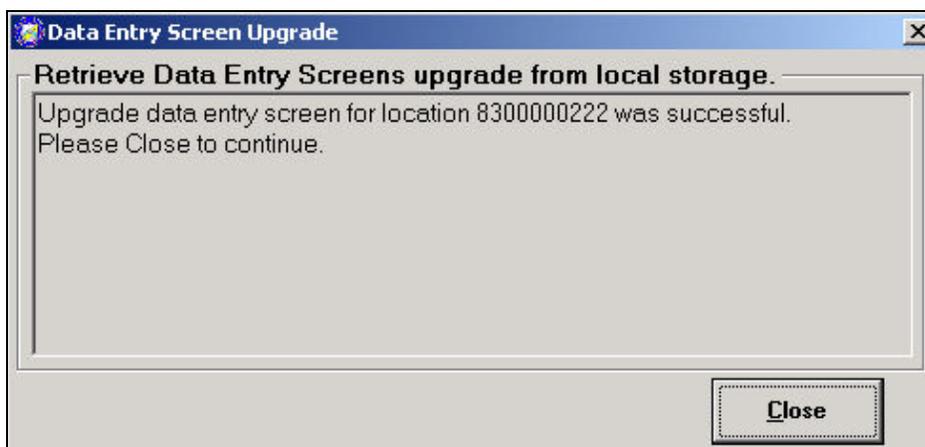


Figure 6.10.12

3. Click 'Close'. The updated Data Entry Screen is displayed in the POS main window.

LVD Verification Records Upgrade

This tool can be used to update the Local Verification Records. The LVD download is performed with each batch transmission but can be requested in between batches whenever necessary. A good example of when this tool would be useful is in a contingency situation. If another computer needs to be used to send batches, an LVD download would be necessary to receive the most current information from the database.

The LVD Verification Record updates can be performed by all users with the permission. These upgrades occur normally upon batch close, or however configured to occur in the SAT configuration settings for tasks. Users can request these upgrades anytime by using the 'Tools' menu functions.

To manually update the check verification database:

1. Select **'Tools', 'Check Host For', 'LVD Verification Records'**. The **'Process LVD Update Information'** window opens (Figure 6.10.13).

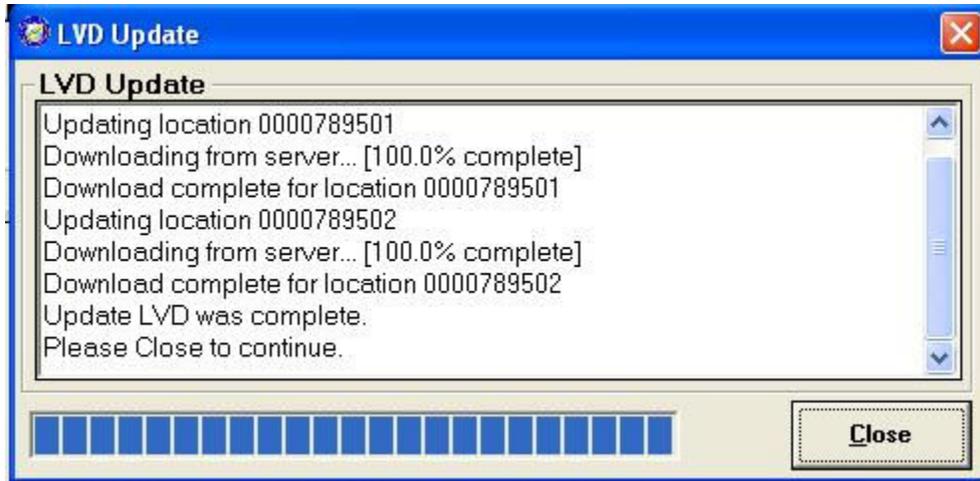


Figure 6.10.13

2. When complete, the user is prompted to click **'Close'**. The check verification database is updated and ready for new transactions.

POS Data Entry Screen

Prior to Data Entry Screen Upgrade

In order to begin using the POS for data entry, the Data Entry Screen upgrade first needs to be performed to download the Agency's unique configurable fields. This applies to Agencies that are new to PCC OTC, and those Agencies who are upgrading from POS Release 4.2 or lower. Agencies have the option to use up to 24 configurable fields. Along with the amount fields, these configurable fields are also part of the screen design. Agencies that have not yet downloaded the Data Entry Screens upgrade see a screen similar to the picture in Figure 6.11 when accessing the POS for the first time. Transactions are not permitted (as displayed at the bottom of the screen) until a Data Entry Screen upgrade has been performed.

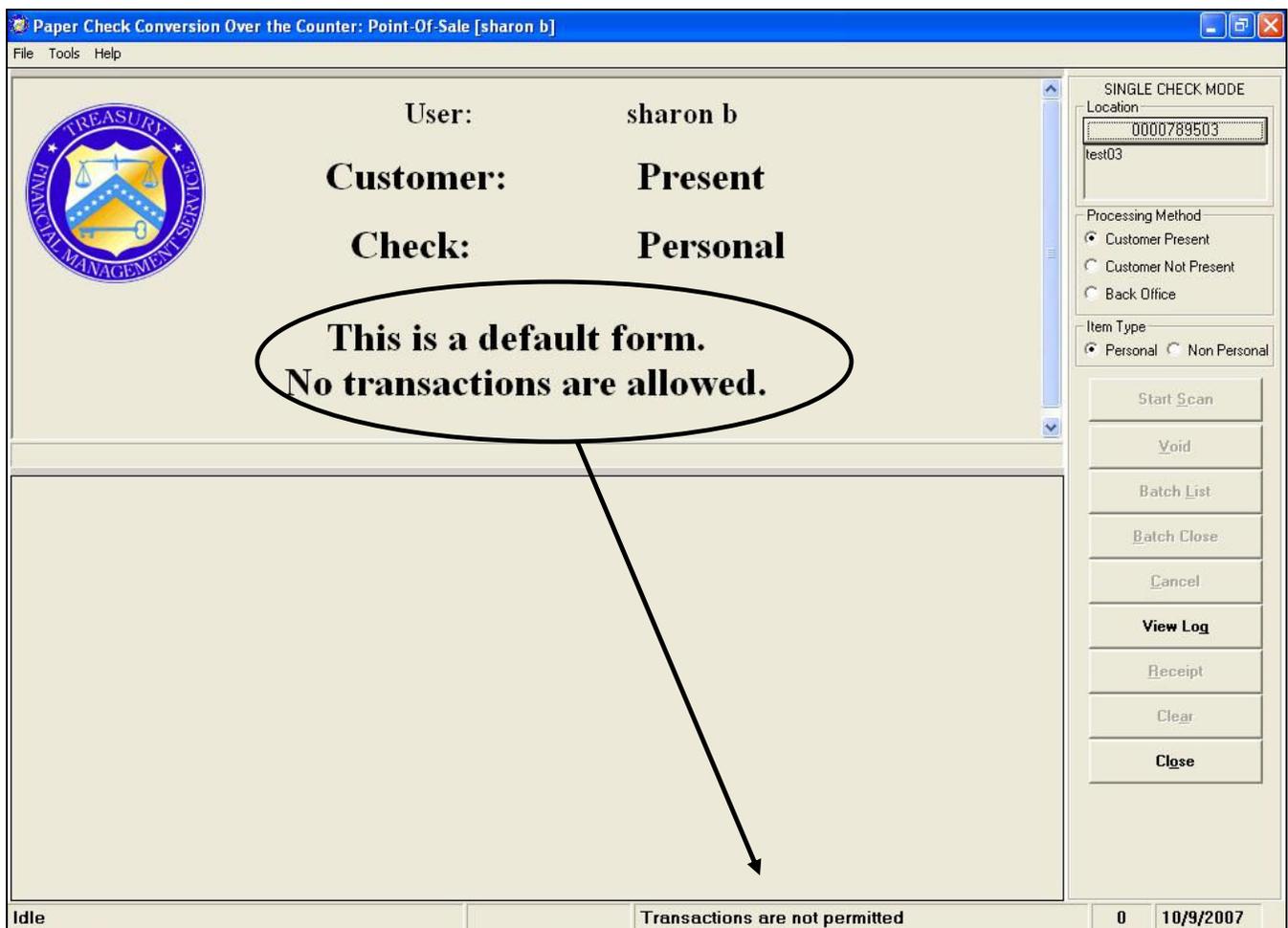


Figure 6.11

To upgrade the Data Entry Screen:

Sign on to the POS.

Click on '**Tools**', '**Check host for**', then click '**Data Entry Screen Upgrade...**'. A message similar to the one in Figure 6.12 is displayed listing all of the Agency's ALC+2's.



Figure 6.12

When complete, the Agency can begin using the POS data entry screen(s) to process items.

After Data Entry Screen Upgrade

The POS Data Entry Screen, (Figure 6.13) also called the Main POS screen is configured depending on the respective agency’s requirements. In addition to the user and amount field, an agency may configure the POS window with up to 24 fields. The different areas of the screen are labeled in Figure 6.13.

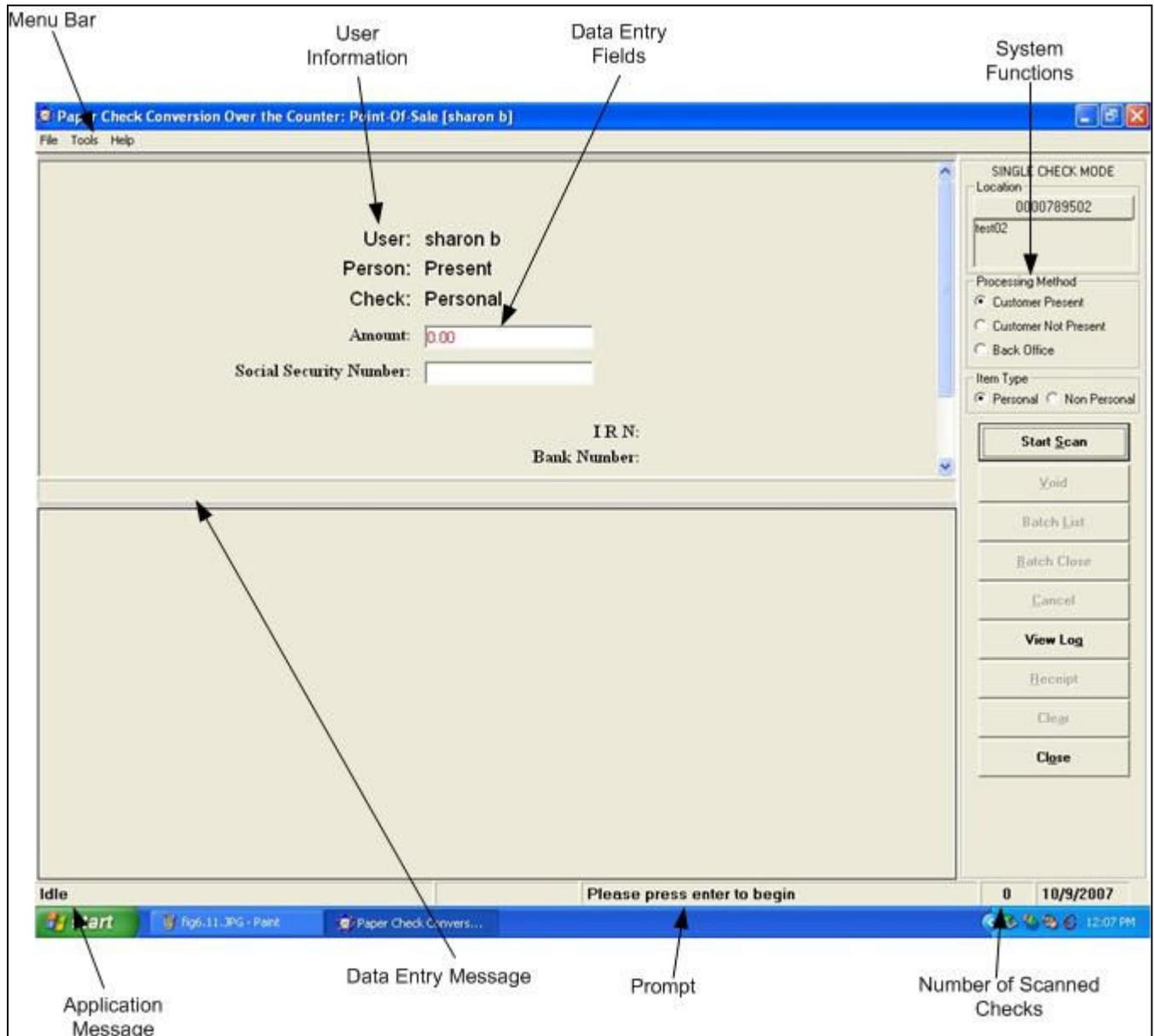


Figure 6.13

Note: The screen pictured above is only an example. Each Agency’s screen is customized for their needs and may appear differently than this example.

Batch Control

Batch Control is an optional feature that Agencies can use as a batch balancing tool. It can be used to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts have been accurately keyed. The functionality is available for both single item mode and batch mode (see Processing Mode section of this chapter for detailed information on modes). Authorized users can set this feature to be disabled, optional, or mandatory. For a complete explanation on how to setup these options, please refer to the *Installation and Configuration* chapter of this User Manual.

The Batch Control Screen

The Optional Batch Control Screen

The Batch Control screen can appear at the beginning of a batch, prior to scanning the check, or just prior to Batch Close, depending on the POS computer's configuration settings. Figure 6.13.1 is an example of an optional Batch Control screen. The optional Batch Control screen may include the 'Defer' button, based on the configuration settings.



Figure 6.13.1

The Batch Control screen displays the ALC+2 and description for the location. A batch control screen appears for each ALC+2 that is included in the batch. Configuration settings for batch control are set in the POS configuration. The P O C or Administrator can choose to configure batch control in four different manners.

Disabled

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

This task can be configured as part of Application Upgrade to perform automatically at either application startup or batch close. The default is for it to run at 'Close Batch'. Only authorized users can perform the scanner firmware upgrade.

Optional at Batch Create Only

When the configuration settings are set to be optional on batch create only, the operator can choose to:

- Type the actual batch control total amount and count.
- Defer the batch control by clicking the ‘Defer’ button. This bypasses the batch control function.
- Leave the batch control total amount and count at zeroes.
- The batch control screen does not appear upon batch close.

Optional at Batch Close Only

When the configuration settings are set to be optional on batch close only, the operator is not prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen appears. The operator can choose to:

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

Optional at Batch Create and Batch Close

When the configuration settings are set to optional on both batch create and batch close, the operator is prompted with a batch control screen at batch create and batch close. The operator can choose to:

- Type the actual batch control total amount and count at batch create.
- Leave the batch control total amount and count at zeroes at batch create.
- Defer the batch control by clicking the ‘**Defer**’ button at batch create.

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

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

The Mandatory Batch Control Screen

The mandatory Batch Control screen appears at the batch create, just prior to scanning the check, or just prior to batch close, depending on the POS computer's configuration settings. Figure 6.13.2 is an example of a mandatory Batch Control screen, which does not include the 'Defer' button.



Figure 6.13.2

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

Mandatory at Batch Create Only

When the configuration settings are set to be mandatory on batch create only, the operator:

- Must type the actual batch control total amount and count.
- Cannot defer the batch control. The 'Defer' button is not available.
- Cannot leave the batch control total amount and count at zeroes.
- The batch control screen does not appear upon batch close.

Mandatory at Batch Close Only

When the configuration settings are set to be mandatory on batch close only, the operator is not prompted with a batch control screen upon batch create. When the operator begins the batch close process, a batch control screen appears. The operator:

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

Mandatory at Batch Create and Batch Close

When the configuration settings are set to mandatory on both batch create and batch close, the operator is prompted with a batch control screen at batch create and at batch close. The operator can choose to:

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

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

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

Clicking the **'Cancel'** button, stops the transaction at the last level of processing, i.e., if the 'Cancel' button is clicked at the start of the batch, processing does not begin.

The Batch Balancing Screen

If the Batch Control totals that are keyed into the Batch Control screen do not match what was keyed into the data entry screen, a Batch Balancing screen appears (Figure 6.13.4). This screen only appears if there is a discrepancy between the totals.

To reconcile the discrepancy, the operator must discover where the problem exists. The Batch Balancing screen displays the Location's ALC+2 and the Location's description at the top of the screen. To the right, the dollar amounts of each check that was scanned is displayed. In the example below, there are two checks for \$221.00 and \$18.46 (circled). The operator can click on any of the amounts listed to display an image of the check to the left of the amount. For optimal viewing, the screen should be maximized by clicking the 'Maximize' button  in the upper right corner of the screen.

Below the check image are the following fields and their meanings. The left column displays the item counts and the right column displays the dollar amounts:

Batch List Count: The number of checks that have been scanned into the POS.

Batch Control Count: The number of checks keyed into the Batch Control screen by the operator.

Difference (count): Displays the difference between the actual count of scanned checks and the count that the operator keyed into the Batch Control screen.

Batch List Total: The total dollar amount of the items as keyed into the data entry screen of the POS.

Batch Control Total: The total dollar amount of the checks keyed into the Batch Control screen by the operator.

Difference (amount): Displays the difference between amount keyed into the data entry screen, all scanned checks, and the total dollar amount keyed into the Batch Control screen.

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

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

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

Figure 6.13.4

In the example above, the batch contains 2 items; one for \$221.00 and another for \$18.46. The operator keyed in 1 item at \$221.00 on the Batch Control screen. The number displayed in the 'Difference' row displays the discrepancy difference in both item count and dollar amount. It must be determined if there is an erroneously scanned item, or if the batch should contain both of the items. The operator would need to go back to the source documents for an answer. If it is determined that the batch should contain both items, the operator would change the number in the 'Batch Control Count' field from 1 to 2 and the dollar amount in the 'Batch Control Total' from \$221.00 to \$ 239.46, then click the 'Ok' button. The following message appears (Figure 6.13.5):

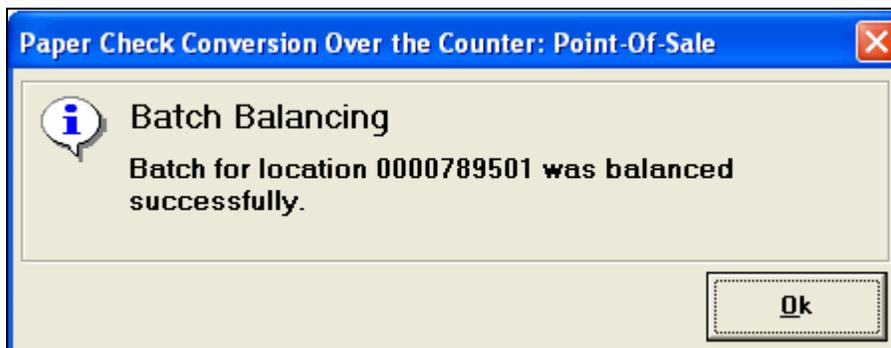


Figure 6.13.5

If it has been determined that the batch **does include an erroneously scanned item**, the operator must click on the erroneous amount at the top right of the screen (see Figure 6.13.4) to select the item, then click the **'Void'** button that is just to the right of the amount. The system prompts with the following (Figure 6.13.6):

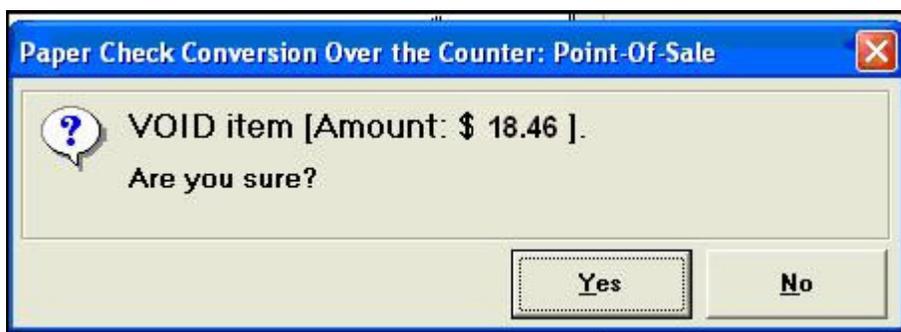


Figure 6.13.6

To void the item click the **'Yes'** button. The operator must type comments with regard to the void, then click the **'Ok'** button. A user with **'Void'** authority may need to confirm the void by typing their login and password. The system also prompts for a comment concerning the void request (Figure 6.13.6.1). Type the reason for the void and click the **'Ok'** button.



Figure 6.13.6.1

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

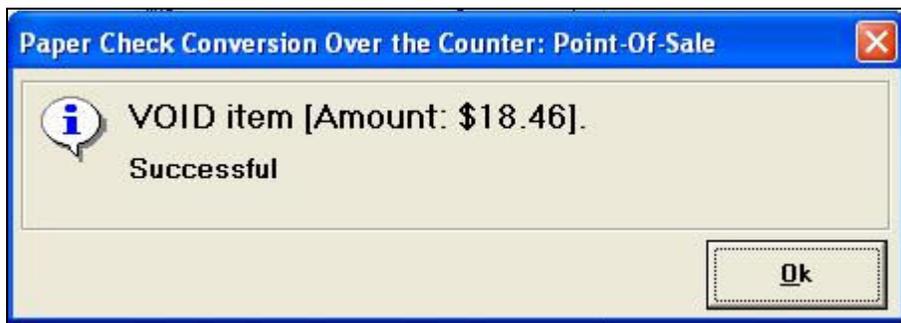


Figure 6.13.7

Click the 'Ok' button to complete. The screen then returns to the Batch Balancing screen with the new Batch Control Count and Batch Control total as displayed in Figure 6.13.8. To continue with the batch close process, click the 'Ok' button.

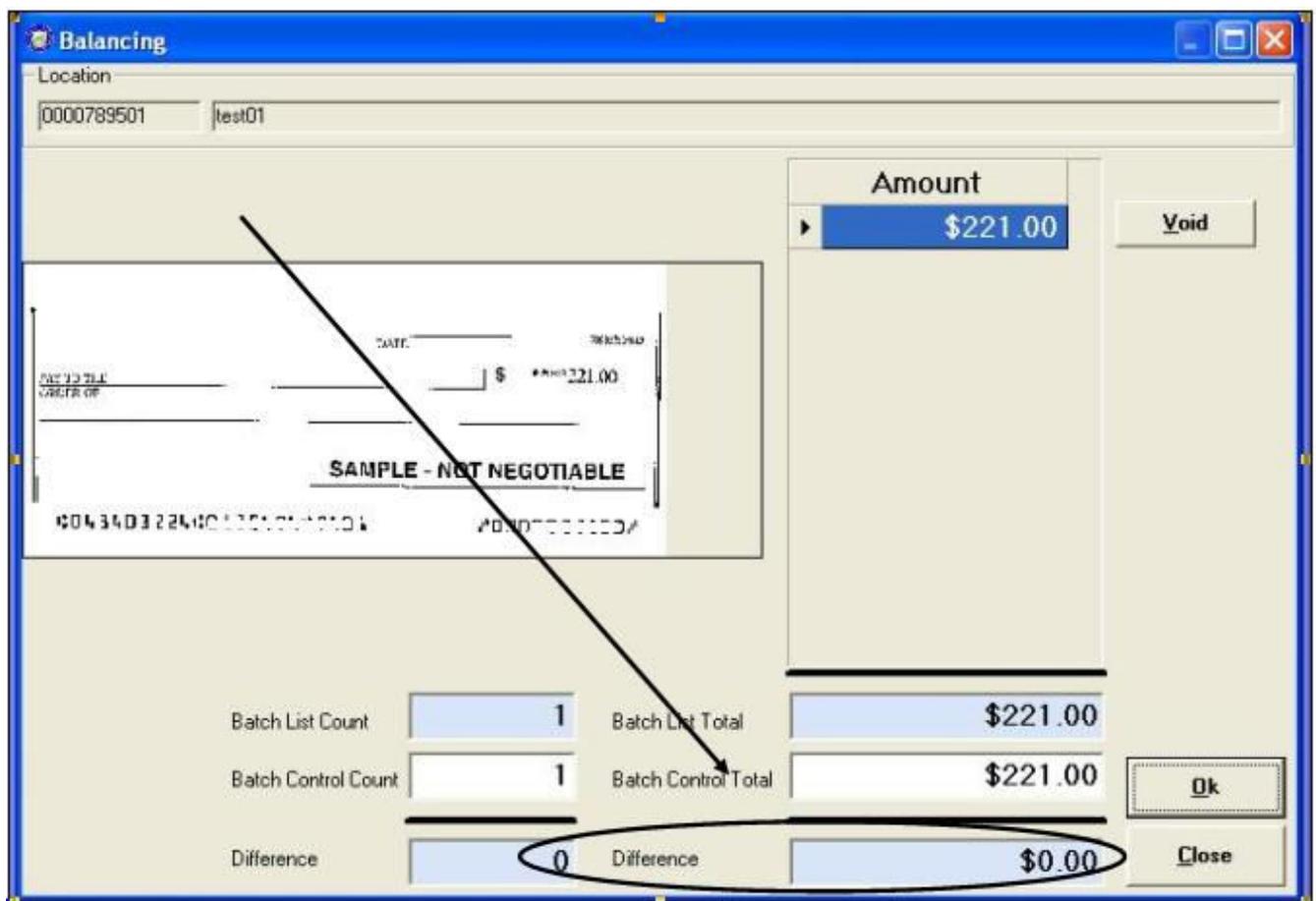


Figure 6.13.8

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

Logical Processing Order

When creating a batch it is important that the proper steps be taken to ensure that the batch reaches our system. Below is an outline of the logistic steps involved in creating a batch:

Batch Control – This function may or may not appear, based on the POS computer’s configuration settings. If used, key in total dollar amount of checks and the total number of checks to be scanned. This function can be setup in the configuration as disabled, optional, or mandatory by the P O C or Security Administrator. If this option is disabled, the Batch control screen does not appear. If optional, the Batch control screen can be deferred (skipped), and if mandatory, it can only be deferred at the beginning of the batch. Batch control is required at either the start of the batch or prior to Batch Close.

Scan the check (or checks if processing in batch mode)

Key in amount and configurable field data for each check

Cancel transactions while performing data entry, used only if necessary, i.e., image of the check is not legible, check scanned in as wrong item type.

Print the receipt – Just after the item information is keyed into the data entry screen, press ‘Enter’, then click the ‘Receipt’ button to print a receipt of the item or items.

Void items – Used to delete invalid items only if necessary, prior to Batch Close. Once data entry has been performed and the ‘Enter’ key is pressed, the item can no longer be cancelled and must be voided.

Batch Control – If mandatory and skipped at the start of the batch, or if optional and skipped at the start of the batch, batch control totals may need to be keyed. If batch control totals were keyed at the start of the batch, whether optional or mandatory, the control screen does not appear at Batch Close.

Print the Batch list – A printout of the batch listing must be done prior to Batch Close.

Pre-balance – Use the batch list that was just printed to reconcile all PCC OTC activity for this batch of work. If reconciling with cash drawers, count and reconcile to ensure activity is accurate.

Batch Balancing – This screen only appears if the totals that are keyed into the Batch Control screen do not match with what was actually keyed into the data entry screen, or if the number of checks scanned does not match the number keyed into the Batch Control screen.

Batch Close – Closes and transmits the batch to the Treasury/FMS for processing.

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

All of the items listed below can be processed on the POS computer. These items should be processed as:

Non-personal:

- US Treasury Checks
- Traveler's Checks
- Money Orders (including Postal Money Orders)
- Third-party Checks (even if drawn on a personal account)
- State and Local Government Checks
- Credit card Checks
- 'Do not ACH' Checks
- Official Checks
- Business Checks
- Cashier's Checks
- Other US Government Checks
- Payroll Checks

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

The following item(s) should be processed as:

Personal checks:

Personal/Consumer Checks

List of Items that CANNOT be Processed through POS

The following ineligible item(s) cannot be processed using the POS computer and may need to be processed through the authorized Treasury's General Account (TGA) depository.

- Foreign items drawn on non-US Financial Institutions
- Check payable in non-US currency
- Savings Bond Redemptions

Note: Apply any necessary stamps in a location that does not interfere with the dollar amount, financial institution information, or the signature. Since PCC OTC items are not deposited at your bank, there is no need to stamp "For Deposit Only" on the back of the check. FRB-C becomes the bank of first deposit for all PCC OTC items.

Processing Mode

Single vs. Batch Processing Mode

Agencies can choose to process their checks in one of two processing modes. The ‘Single Check Mode’ allows checks to be processed one at a time, and ‘Batch Mode’ allows for batches of checks to be scanned prior to data entry. The Batch Mode processing only works with the EC7000i scanners and the Panini scanners.

Select/Change the Processing Mode:

Select ‘**File**’, ‘**Configuration**’ within the POS. Choose the ‘**Application**’ tab, and then select the processing mode of ‘Single’ or ‘Batch’ by clicking the appropriate radio button (see Figure 6.13.9). Click the ‘**Apply**’ button. Whatever mode has been selected within the POS configuration appears on the POS data entry screen and cannot be changed by the operator (see Figures 6.13.10 – Single mode, and 6.13.11 – Batch mode).

Note: *Single mode is the default when the POS software is installed.*

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

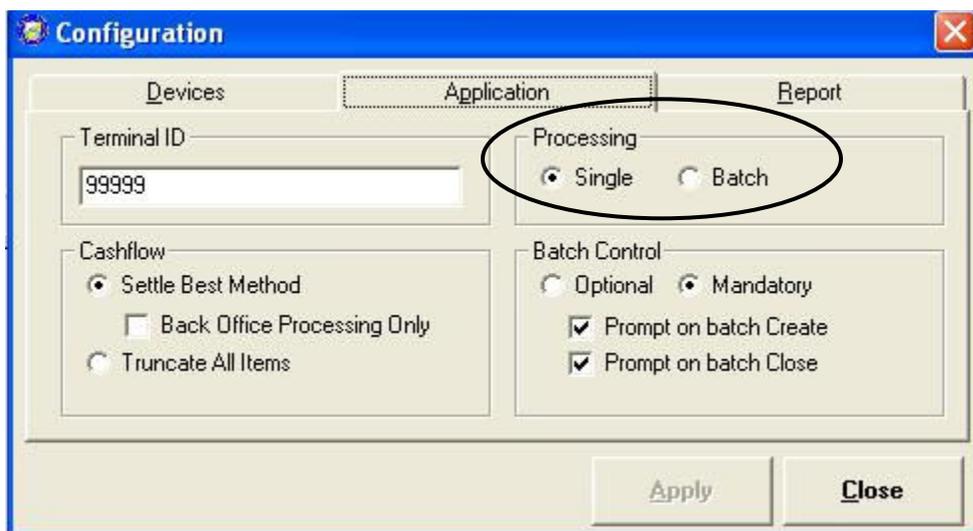


Figure 6.13.9

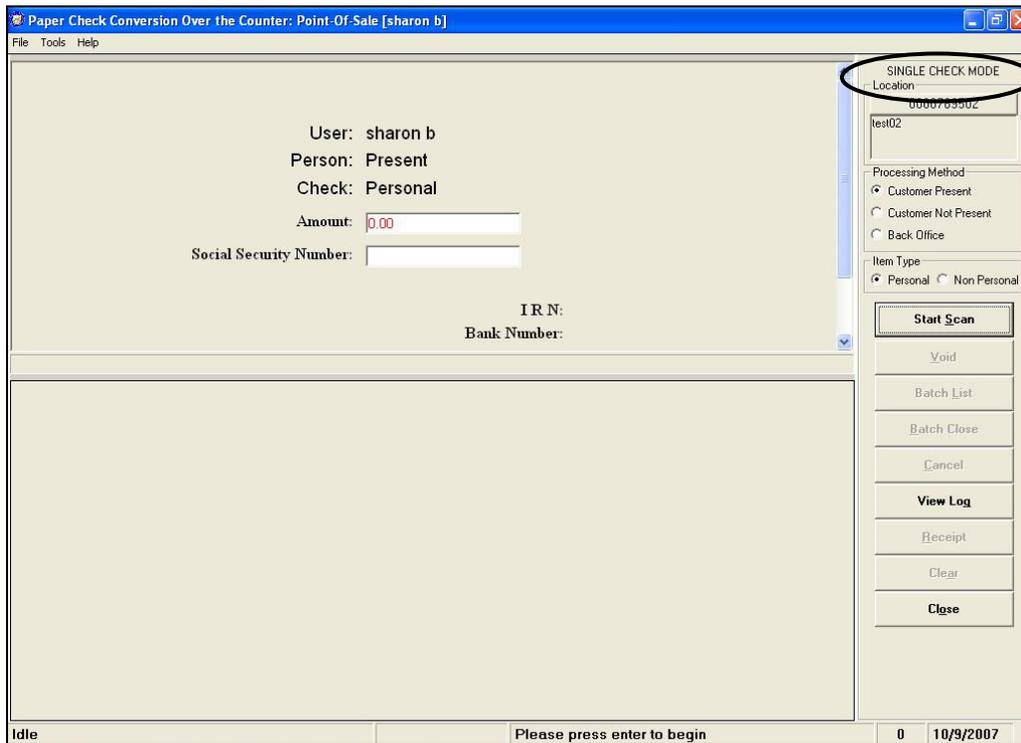


Figure 6.13.10

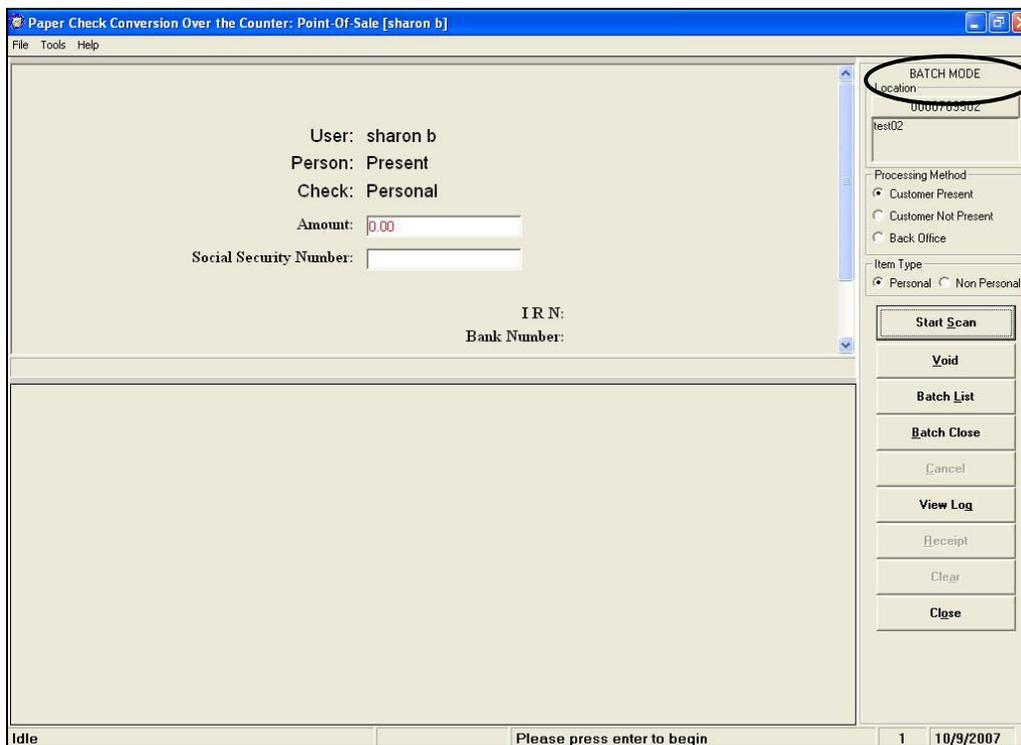


Figure 6.13.11

Single Check Mode Processing

Selecting the Location

Agencies can have multiple locations. Each location has their own unique ALC +2 (Agency Location Code). Batches can include items for multiple ALC+2's. Additional ALC's are added using the 'System Configuration' 'Data Entry Screens' within the SAT by authorized users (provided that the proper documentation is on file with Treasury/FMS). One of the ALC's is chosen to be the 'default' ALC. The default ALC appears each time the POS is started. The location must be chosen prior to scanning the check. To choose an ALC+2, click on the ALC window at the upper right of the screen, just below 'Location' (Figure 6.14) and choose an ALC+2 from the dropdown list. This ALC+2 remains for all items until changed by choosing a different ALC+2 from the dropdown list.

The screenshot shows the 'Paper Check Conversion Over the Counter: Point-Of-Sale [sharon b]' application. The main window contains the following fields and controls:

- User:** sharon b
- Person:** Present
- Check:** Personal
- Amount:** 0.00
- Social Security Number:** [Empty field]
- IR N:** [Empty field]
- Bank Number:** [Empty field]

A dropdown menu for 'Location' is open, showing the following options:

- 0000789502
- [0000789501] - test01
- [0000789502] - test02 (Selected)
- [0000789503] - test03

Below the dropdown menu are the following buttons:

- Start Scan
- Void
- Batch List
- Batch Close
- Cancel
- View Log
- Receipt
- Clear
- Close

The status bar at the bottom of the window displays: Idle, Please press enter to begin, 1, 10/9/2007.

Figure 6.14

Select the Processing Method (Single Check Mode)

Just beneath the 'Location' choice at the right side of the screen is the 'Processing Method'. The choices are 'Customer Present', 'Customer Not Present', or 'Back Office' (Figure 6.15). This option indicates the mode of operation.

The 'Customer Present' method is used when the person is present, i.e., standing in front the operator with their check.

The 'Customer Not Present' method is used when the writer of the check is not present, i.e. when checks are received through the mail as payments.

The 'Back Office' processing method allows agencies to convert payments received at the point-of-sale locations to ACH entries in a controlled, back-office environment. Back Office is new to Release 5.4. Prior to using the 'Back Office' processing method, Agencies first need to download the compatible data entry screen. If the

POS system is not configured to automatically install data entry screens upon startup, it can be accomplished by clicking 'Tools', 'Check host for', 'Data Entry Screen Upgrade...'.

Attempting to use the Back Office processing method prior to downloading a new Data Entry screen results in the error displayed in Figure 6.14.1, and processing of the Back Office item does not continue. Either choose a different processing method to scan other types of checks, or download a new Data Entry Screen as described in the paragraph above.

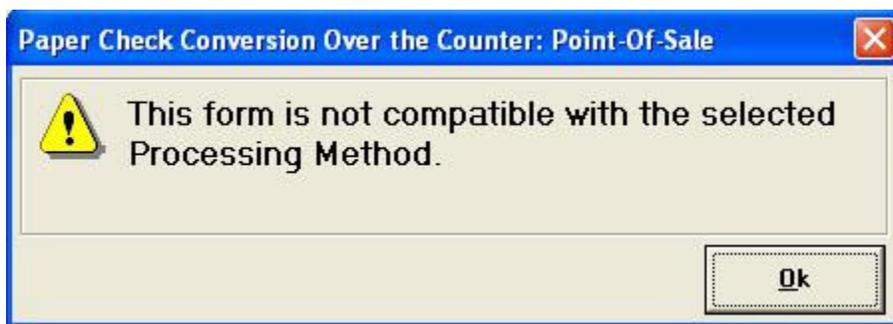


Figure 6.14.1

Note: *The choices that are allowable on the data entry screen are based on the POS configuration settings. The default is to allow all processing methods and item types but restrictions can be setup to allow only the 'Back Office' processing method or 'Non-personal' items only. For more information on the POS configuration settings, please refer to the 'Installation and Configuration' chapter of this User Manual.*

Operators need to make certain that they are selecting the proper choices for each item to avoid returned payments from the check writer's financial institution. The operating mode is chosen prior to the scan. Checks should be pre-sorted by customer present, customer not present, and back office prior to scanning. All processing method types can exist within a batch, although usually back offices processing types would be processed independently of other types. Not all agencies utilize all modes. Furthermore, your site may choose not to use all modes everyday, due to fluctuation in check volume.

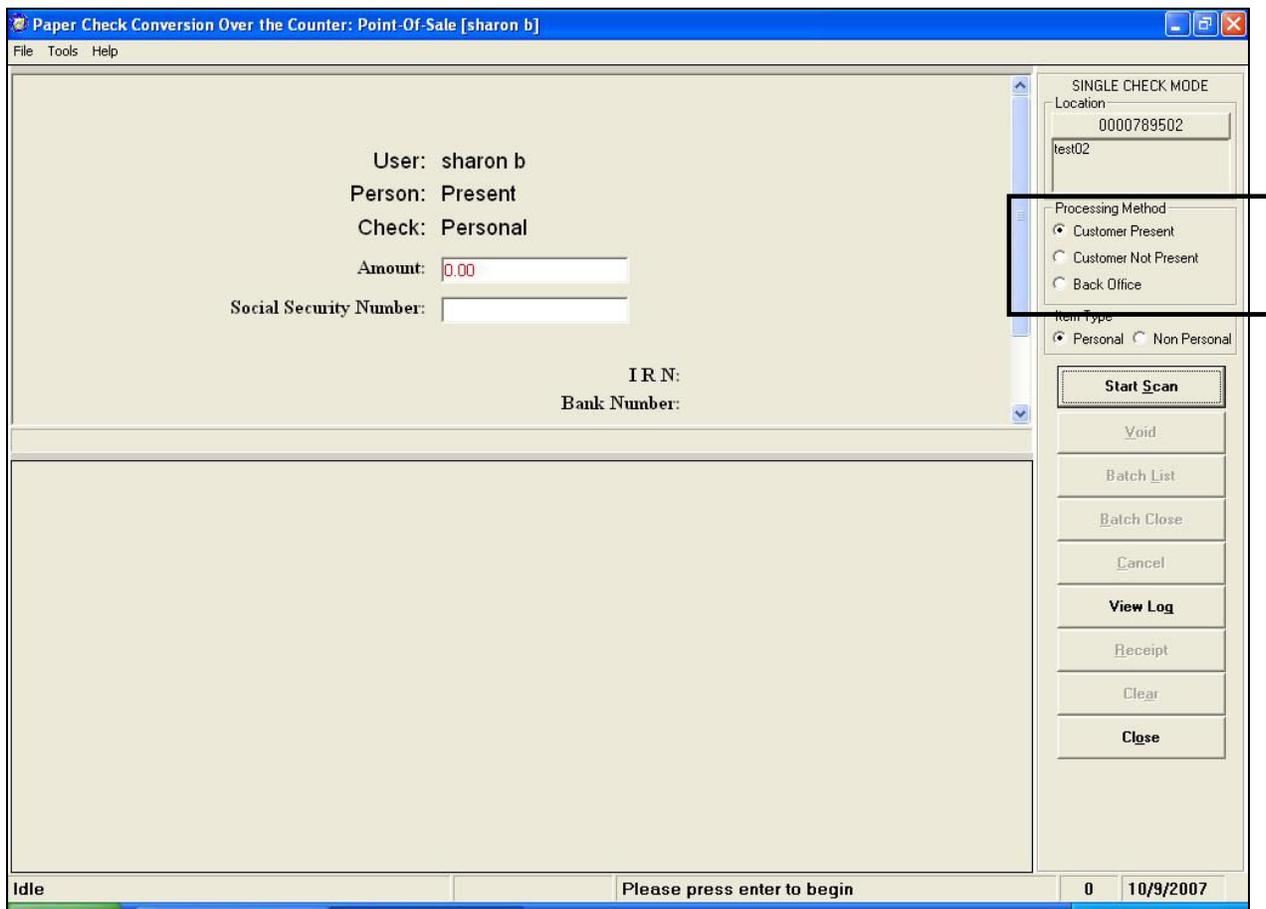


Figure 6.15

Scanning a Check(EC5000i and EC6000i) (Single Check Mode)

Once a user has successfully signed on to the POS and chosen the correct location and processing method, the next step is to scan the check. The bottom of the POS screen displays, **‘Please press enter to begin’**. Press the **‘ENTER’** key or click the **‘Start Scan’** button. Once the ‘Enter’ key is pressed, the scanner light turns green, indicating that the scanner is ready to accept a check. The bottom of the PCC POS screen then displays **‘Scan front of Check’**.

Note: A Batch Control screen may appear, based on the Agency’s configuration settings.

For the **EC5000i** scanner, place the check in the left slot, with the MICR line of the check aligned on the bottom. The front of the check should face right, as shown in Figure 6.16.

For the **EC6000i** and the **EC7000i** scanner, place the check in the scanner with the MICR line of the check aligned with the right side of the scanner. Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed, as shown below (Figure 6.17). The scanner automatically pulls the check through to begin the scan.

Note: With the EC7000i scanner, both the front and the back of the check are scanned automatically. For complete scanning information using an EC7000i scanner, please see the 'Scan Check EC7000i' section later in this chapter.



Figure 6.16



Figure 6.17

A single short beep sounds and the L E D light flashes green, indicating a check has been scanned successfully. **NOTE:** A triple short beep with a red flashing L E D, or one long beep and a red flashing L E D, indicates that an error occurred during the processing or storing of the captured item. Cancel and scan the check again. To determine if there is a problem with the scanner, see the chart in Figure 6.18.

Scanner Light Color	Indicates
GREEN	Scanner is ready to accept a check and capture its image
AMBER	Scanner is in standby mode, not ready to accept a check
BLINKING RED	Unable to read check image. Cancel and try again, possibly with another check. Make sure that the check is inserted correctly.
CONSTANT RED	There is a problem with the scanner. Cancel the transaction and retry. See section in Troubleshooting.

Figure 6.18

Note: For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the RDM scanner chapter(s) at the end of this User Manual.

The application shows a status bar on the bottom of the POS screen (circled in Figure 6.19) indicating the capture of the image. Once the capture is complete, the image appears on the screen as displayed in Figure 6.19). 'Enter Data' appears mid screen (circled in Figure 6.19)

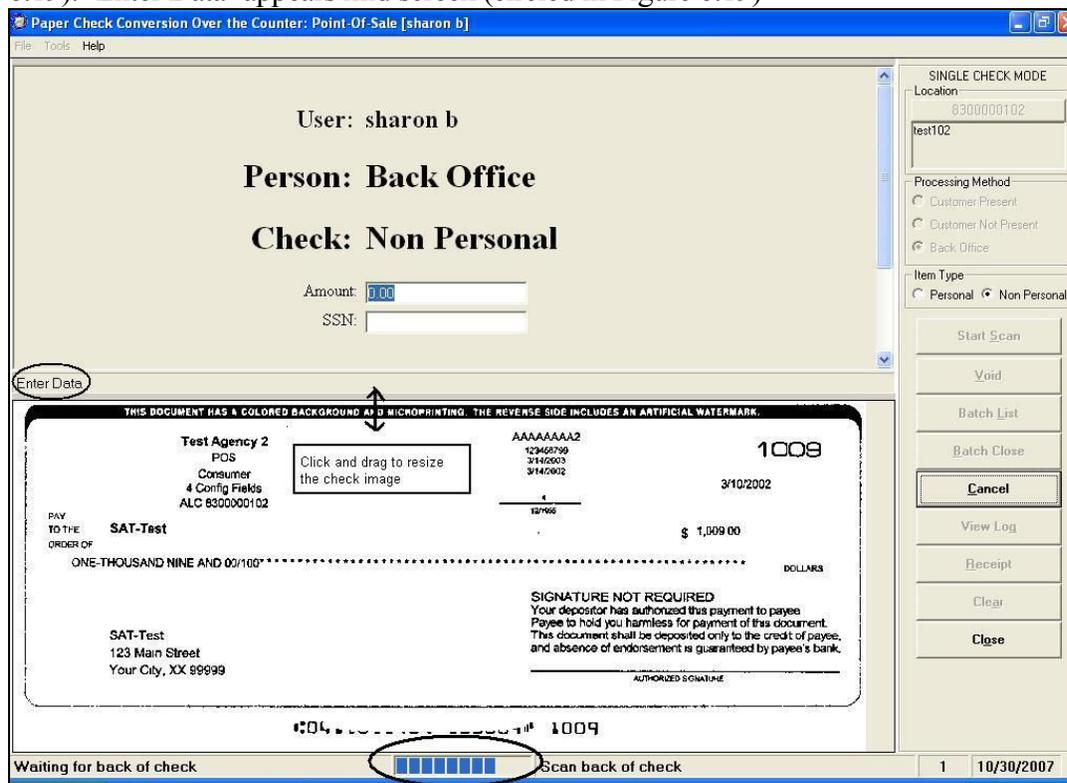


Figure 6.19

To continue, please turn to the 'Select Item Type' section of this chapter.

Scan Check (EC7000i) (Single Check Mode)

Once a user has successfully signed on to the POS and chosen the correct location and processing method, the next step is to scan the check. The bottom of the POS screen displays, **‘Please press enter to begin’**. Press the **‘Enter’** key or click the **‘Scan Item’** button. Once the ‘Enter’ key is pressed, the scanner light turns green, indicating that the scanner is ready to accept a check. The bottom of the POS screen then displays **‘Scan Check (front side up)’**.

Note: A Batch Control screen may appear, based on the Agency’s configuration settings.

Place the check in the scanner with the MICR line of the check aligned with the right side of the scanner. Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed, as shown in Figure 6.20.1. The scanner automatically pulls the check through to begin the scan. Both the front and the back of the check are automatically scanned.

Note: It is very important that the operator waits until the scanner has completed scanning the front and the back of the check. Do not pull the check out of the scanner before the scanner has a chance to scan the back of the check. Doing so can result in processing errors.

A single short beep sounds and the L E D light flashes green, indicating a check has been scanned successfully. *Note: A triple short beep with a red flashing L E D, or one long beep and a red flashing L E D, indicates that an error occurred during the processing or storing of the captured item. Cancel and scan the check again.* To determine if there is a problem with the scanner, see the chart in Figure 6.20.2.



Figure 6.20.1

Scanner Light Color	Indicates
GREEN	Scanner is ready to accept a check and capture its image
AMBER	Scanner is in standby mode, not ready to accept a check
BLINKING RED	Unable to read check image. Cancel and try again, possibly with another check. Make sure that the check is inserted correctly.
CONSTANT RED	There is a problem with the scanner. Cancel the transaction and retry. See section in Troubleshooting.

Figure 6.20.2

Note: If one long beep followed by five short beeps is heard while scanning items on the EC7000i scanner, please hit cancel to terminate that transaction and rescan that item. This sequence of beeps usually means that the back of the check has not been scanned. If any other unusual issues or sounds are experienced, it may indicate a scan error. Please cancel that transaction and rescan the item. If necessary, void the transaction and start over.

The application shows a status bar on the bottom of the POS screen indicating the capture of the image. Once the capture is complete, the image appears on the screen as in Figure 6.20.3. Only the front of the check is displayed at this time, even though the EC7000i scanner captures the front and the back of the check in one pass. The back of the check is displayed at the end of the transaction. The front and back of the check can be viewed by using the 'Batch List' button once the transaction is complete.

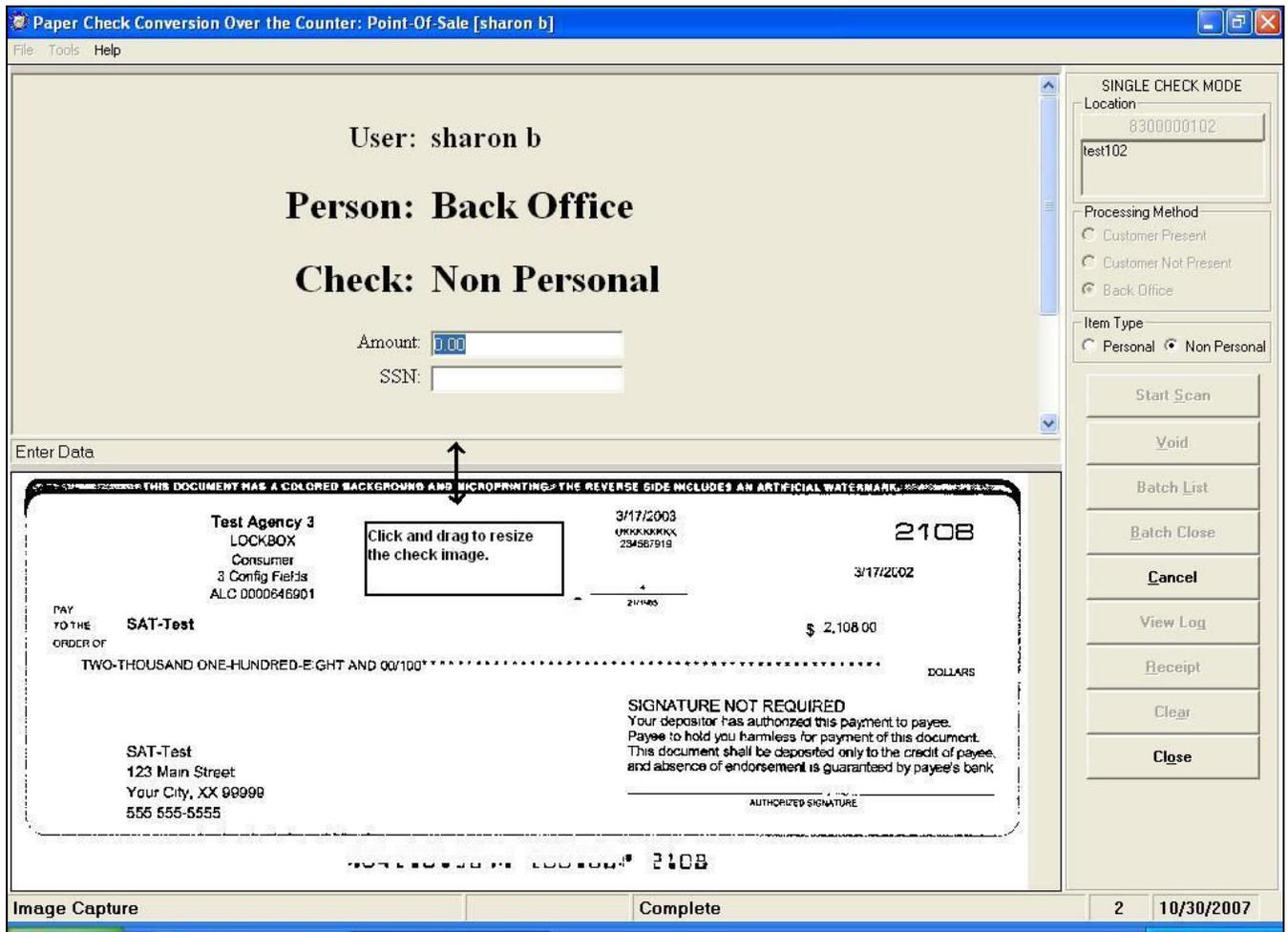


Figure 6.20.3

Select the Item Type (Single Check Mode)

After the check has been scanned, the operator must choose the item type. Just beneath the 'Processing method' at the right side of the screen is the option to choose **'Item Type'**. The choices are **'Personal'** or **'Non Personal'**. (Figure 6.20.4) This indicates the type of item to be processed. When the operator clicks on 'Personal', the POS data entry screen displays, "Check: Personal". If the operator clicks 'Non Personal', the POS data entry screen displays, "Check: Non Personal". The POS application can process both personal and non personal checks within a batch. The operator needs to make certain that they are selecting the proper choices for each item. Presort all items into two groups (Personal and Non Personal) prior to scanning to avoid the pop-up message like the one displayed in Figure 6.20.5. When the POS software is first installed, both item types are available by default. Using the POS Configuration, authorized users can limit the item type to 'Non Personal only'. When 'Non Personal Only' is chosen in the POS configuration, the item type 'Personal' is no longer available for the operator to choose on the POS data entry screen. This can be set up for Agencies who never process personal checks. For more information, please refer to the POS Configuration section in the *'Installation and Configuration'* Chapter of this User Manual.

The screenshot shows the 'Paper Check Conversion Over the Counter: Point-Of-Sale [sharon b]' application. The main window contains the following fields and options:

- User:** sharon b
- Person:** Present
- Check:** Personal
- Amount:** 0.00
- Social Security Number:** [empty text box]
- IR N:** [empty text box]
- Bank Number:** [empty text box]

On the right side, the 'SINGLE CHECK MODE' panel includes:

- Location:** 0000789502
- Processing Method:**
 - Customer Present
 - Customer Not Present
 - Back Office
- Item Type:**
 - Personal
 - Non Personal

Below the 'Item Type' section, there is a 'Start Scan' button, followed by 'Void', 'Batch List', 'Batch Close', 'Cancel', 'View Log', 'Receipt', 'Clear', and 'Close' buttons.

The status bar at the bottom shows: Idle | Please press enter to begin | 0 | 10/9/2007

Figure 6.20.4

The operator should determine if the check is either a personal or a non-personal check. While most business checks are typically larger in size, business checks can look the same as personal checks. The title of the

account owner should be the determining factor to decide if the check should be classified as personal or business.

Once scanned, if a personal check was detected due to the format of the MICR line, but the non personal check box was selected on the POS screen prior to the scan, the following message appears (Figure 6.20.5):

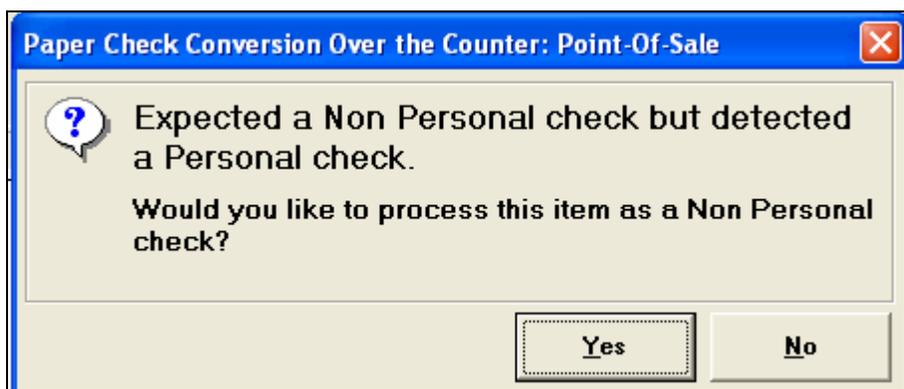


Figure 6.20.5

Select **'No'** if the check should be processed as a personal check. The screen returns to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'Personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a non personal check. The screen returns to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as non personal.

Also, if a non personal check was detected due to the format of the MICR line, but the personal check box was selected on the POS screen prior to the scan, the message, "Expected a Personal check but detected a Non Personal check. Would you like to process the item as a Personal check:" appears.

Select **'No'** if the check should be processed as a non personal check. The screen returns to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'non personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a personal check. The screen returns to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as personal.

Note: The message displayed in Figure 6.20.5 appears for certain Money Orders due to MICR number formatting of the check if Personal Check is selected on the data entry screen. 'Yes' must be chosen for those items each time.

Ensure that the entire check image is visible on the screen and the dollar amount must be legible. (A check may successfully scan even though the item was folded going into the device.) If the image is not legible, click ‘Cancel’ and re-scan the check.

Note: It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that is submitted to the payor bank for collection. It is also be stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on the Agency’s behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency’s responsibility.

Note: The image of the check can be resized by hovering the cursor near the top line of the check (as displayed in Figure 6.20.3) until the double arrow cursor \updownarrow is displayed. Click and drag up or down to resize the image.

Type the Unique Check Data

After the check has been scanned, the cursor is active on the ‘Check Amount’ field.

1. Type the amount of the check and press ‘Enter’.

Note: Only numbers need input. For example, entering in 1290 would equal \$12.90, and 56321 would be equal to \$563.21. The maximum dollar amount that can be keyed into the POS data entry screen is 99,999,999.99. The minimum amount is .01.

Note: Be sure to verify the check dollar amount input into the POS to the actual check. If an incorrect amount is entered, an authorized user can sign on to Batch Manager and alter the check amount.

2. The cursor is then active in the first agency specific (configurable) field in which the operator may key data. The operator should complete all fields using information submitted with the check, i.e. bill, form number, period being paid, etc. to facilitate the agency’s internal processing. Transactions may include up to 24 Agency-defined configurable fields.

Note: Since configuration field requirements are established by each Agency, minimum/maximum requirements may exist for certain fields. If the operator does not satisfy those minimum/maximum field requirements, an error message is displayed in the middle of the screen as displayed in Figure 6.20.6, and corrections must be made to the field before the POS accepts the transaction. In the example below, the pattern for SSN is XXX-XX-XXXX.

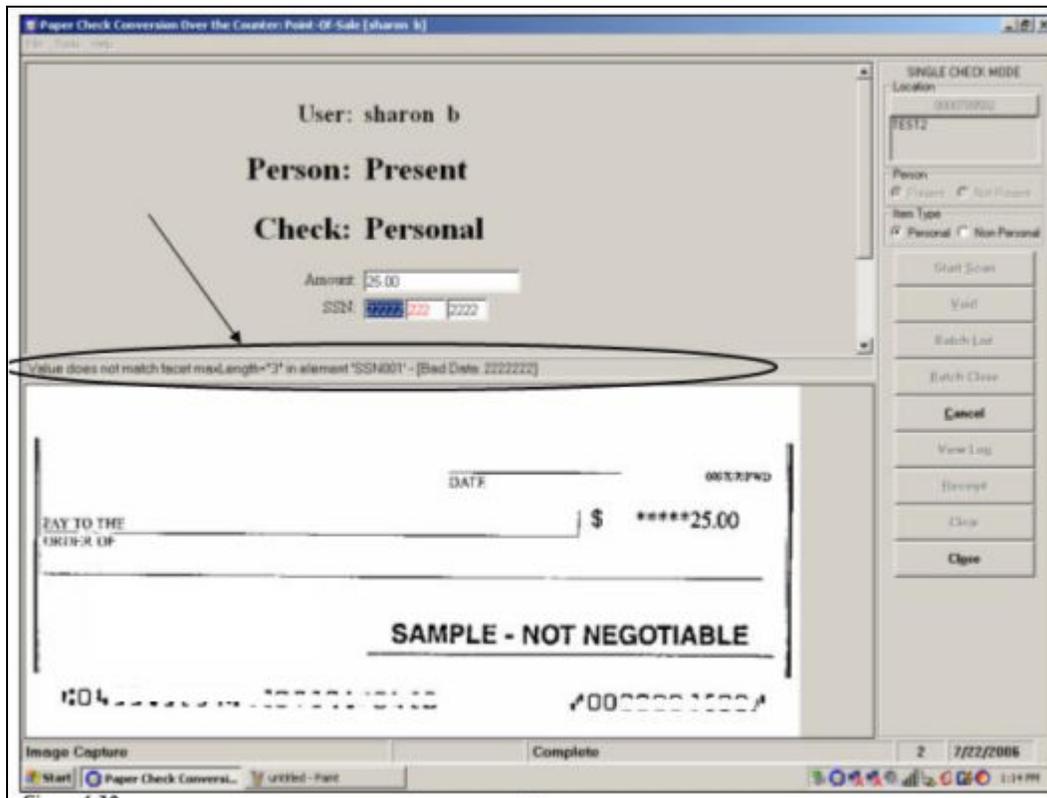


Figure 6.20.6

3. Once all of the required/necessary configuration fields have been keyed, press **'Enter'**. The middle of the screen displays 'Data Entry Complete' and the image of the back of the check is displayed. The words 'Image Capture' and 'Complete' appear momentarily at the bottom of the screen, then is quickly changed to 'Done' and 'Use Esc or Enter to clear the screen'.
4. After approximately 15 seconds the bottom of the screen displays, 'Idle' and 'Please press enter to begin', at which point another check can be scanned once Enter is pressed. To avoid the 15 second wait, press 'Enter' when the message, 'Use Esc or Enter to clear the screen' appears.

Each check that is processed may be hand stamped with 'Electronically Processed' after the transaction is complete and the check has been scanned. Checks must be given back to the person if processed in person. If processed in the 'Customer-not-present mode', checks must be destroyed within 14 days, according to the Agency Participation Agreement. The EC6000i scanner can also be setup to automatically stamp the front of the check with the words, 'Electronically Presented', once the transaction is complete. For instructions on setting up the scanner to stamp the checks, please refer to the *Appendix* Chapter of this User Manual, 'Setting the EC6000i and EC7000i scanner to Frank Acknowledgments'.

Batch Mode Processing

'Batch Mode' allows for batches of two or more checks to be scanned prior to data entry. The Batch Mode processing only works with the EC7000i or the Panini scanners.

To select the Batch Processing mode, authorized users can select '**File**', '**Configuration**' within the POS. Choose the '**Application**' tab, and then select the processing mode of 'Batch' by clicking the appropriate radio button (see Figure 6.21). Click the '**Apply**' button.

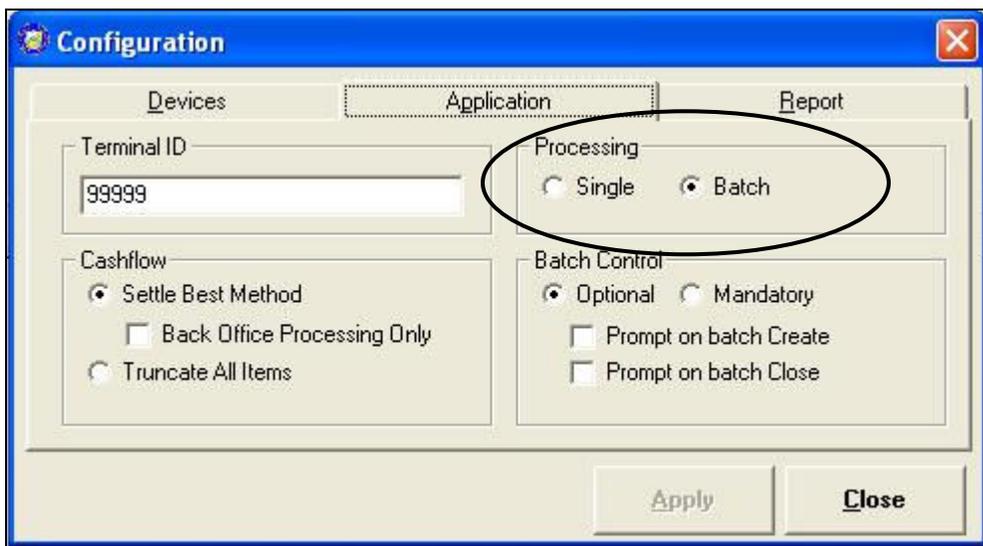


Figure 6.21

The words 'Batch Mode' appears in the upper right corner of the POS data entry screen and cannot be changed by the operator (see Figure 6.22).

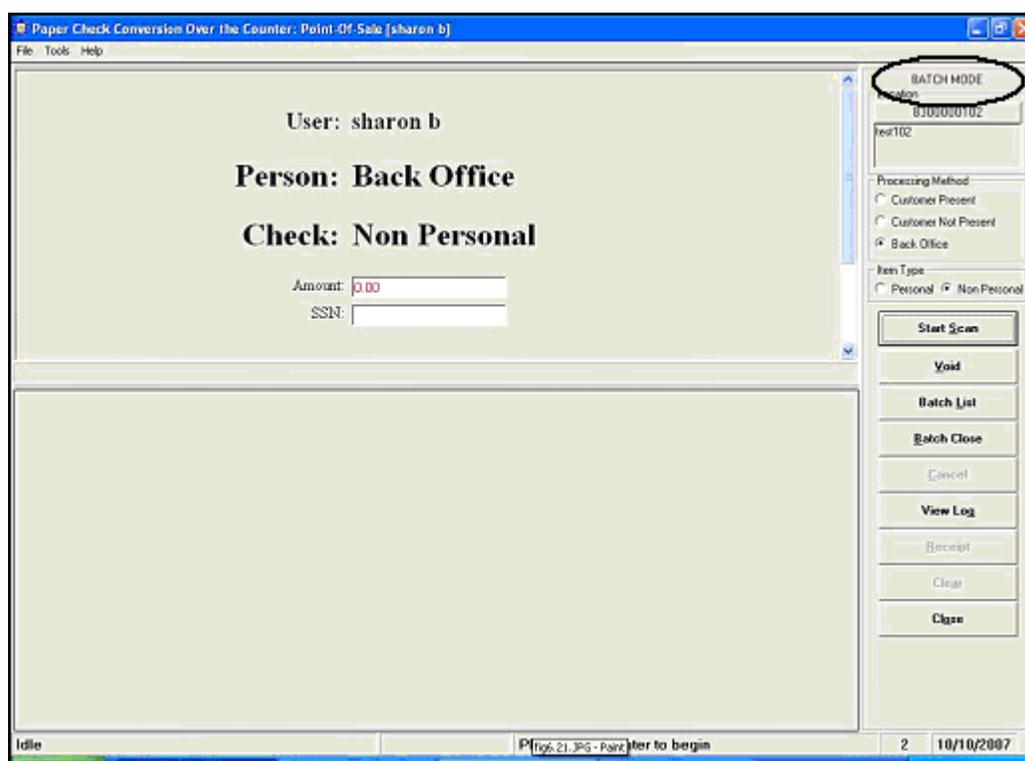


Figure 6.22

Note: Single mode is the default when the POS software is installed.

Note: If 'Batch' mode is chosen, the POS still allows for a single check to be processed

Important Batch Mode Information

Agencies may encounter a problem while using the batch mode. The amount of time that it takes to scan the checks may exceed the number of minutes before the system performs an auto logout. Because the keyboard and mouse are typically not touched during the scanning process, the system interprets this as inactivity and an auto logout takes place. When this scenario happens, all of the checks that were scanned (but not yet typed) no longer exist and the user needs to rescan the items upon login. To avoid this situation, follow one of three solutions.

1. Move the mouse every so often to simulate system activity during the scanning process. The default setting is 15 minutes so the operator should move the mouse every 10 minutes or so to keep the system active.
2. Scan a smaller quantity of items. For example, instead of scanning 150 items, scan 75. Then perform the data input. Scan the second group of 75 and perform the data input. Using the keyboard after the 75 items are scanned may eliminate the system inactivity logout during batch processing.

Selecting the Location (Batch Mode)

Batches can include items for multiple ALC+2's. Additional ALC's are added using the 'System Configuration' 'Data Entry Screens' within the SAT by authorized users (provided that the proper documentation is on file with Treasury/FMS). One of the ALC's is chosen to be the 'default' ALC. The default ALC appears each time the POS is started. The location must be chosen prior to scanning the check. To choose an ALC+2, click on the ALC window at the upper right of the screen (Figure 6.23) and choose an ALC+2 from the dropdown list. This ALC+2 remains for all items until changed by choosing a different ALC+2 from the dropdown list. For batch mode, separate the items by ALC+2.

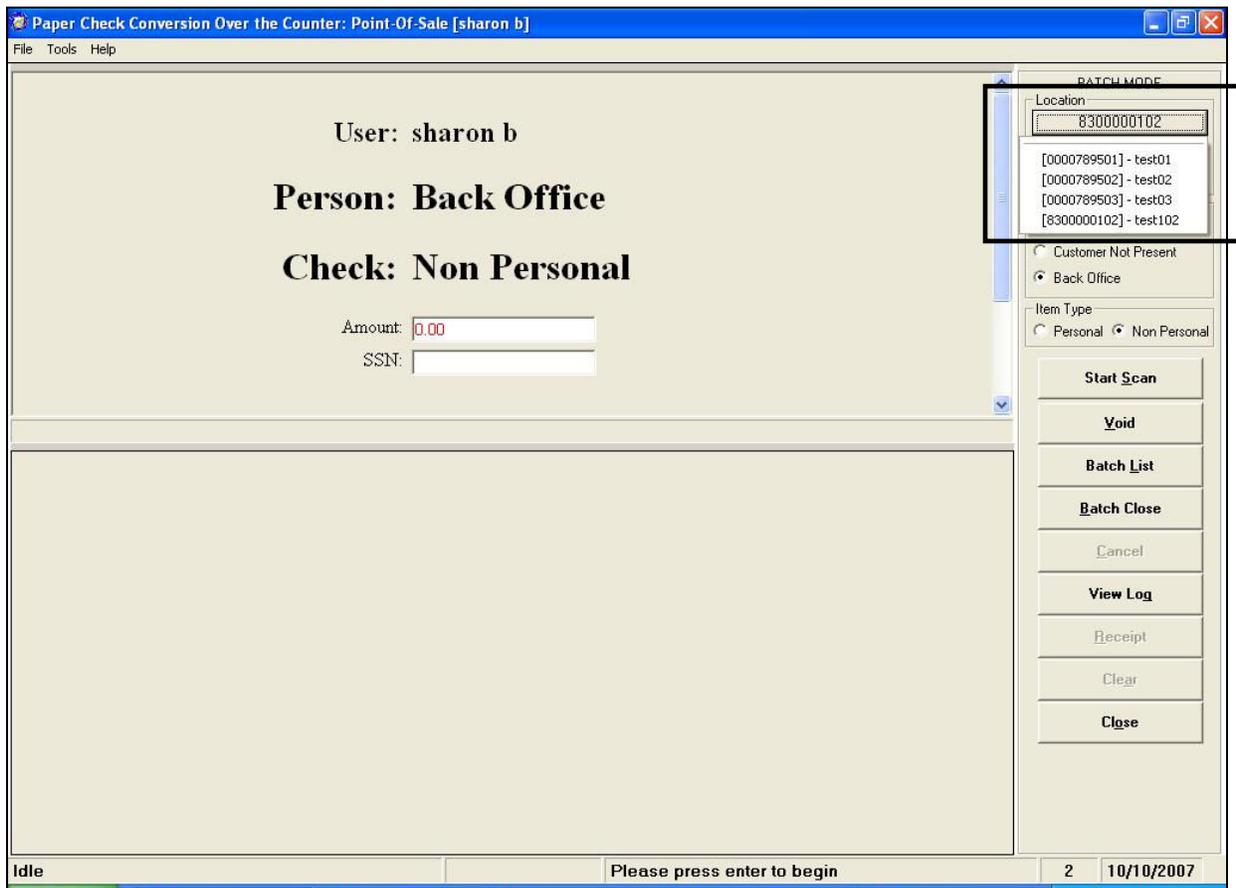


Figure 6.23

Select the Processing Method (Batch Mode)

Just beneath the 'Location' choice at the right side of the screen is the 'Processing Method'. The choices are 'Customer Present', 'Customer Not Present', or 'Back Office' (Figure 6.15). This option indicates the mode of operation.

The 'Customer Present' method is used when the person is present, i.e., standing in front the operator with their check.

The 'Customer Not Present' method is used when the writer of the check is not present, i.e. when checks are received through the mail as payments.

The 'Back Office' processing method allows agencies to convert payments received at the point-of-sale locations to ACH entries in a controlled, back-office environment. Prior to using the 'Back Office' processing method, Agencies first need to download the compatible data entry screen. If the POS system is not configured to automatically install data entry screens upon startup, it can be accomplished by clicking 'Tools', 'Check host for', 'Data Entry Screen Upgrade...'.

Attempting to use the Back Office processing method prior to downloading a new Data Entry screen results in the error displayed in Figure 6.23.1, and processing of the Back Office item cannot continue. Either choose a different processing method to scan other types of checks, or download a new Data Entry Screen as described in the paragraph above.

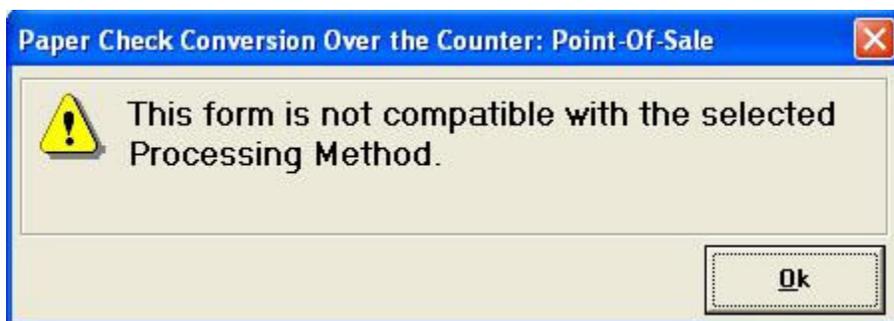


Figure 6.23.1

Note: The choices that are allowable on the data entry screen are based on the POS configuration settings. The default is to allow all processing methods and item types but restrictions can be setup to allow only the 'Back Office' processing method or 'Non-personal' items only. For more information on the POS configuration settings, please refer to the 'Installation and Configuration' chapter of this User Manual.

Operators need to make certain that they are selecting the proper choices for each item to avoid returned payments from the check writer's financial institution. The operating mode is chosen prior to the scan. Checks should be pre-sorted by customer present, customer not present, and back office prior to scanning, after sorting by ALC+2.

All processing method types can exist within a batch, although usually Back Office processing types would be processed independently of other types. Not all agencies utilize all modes. Furthermore, a site may choose not to use all modes everyday, due to fluctuation in check volume.

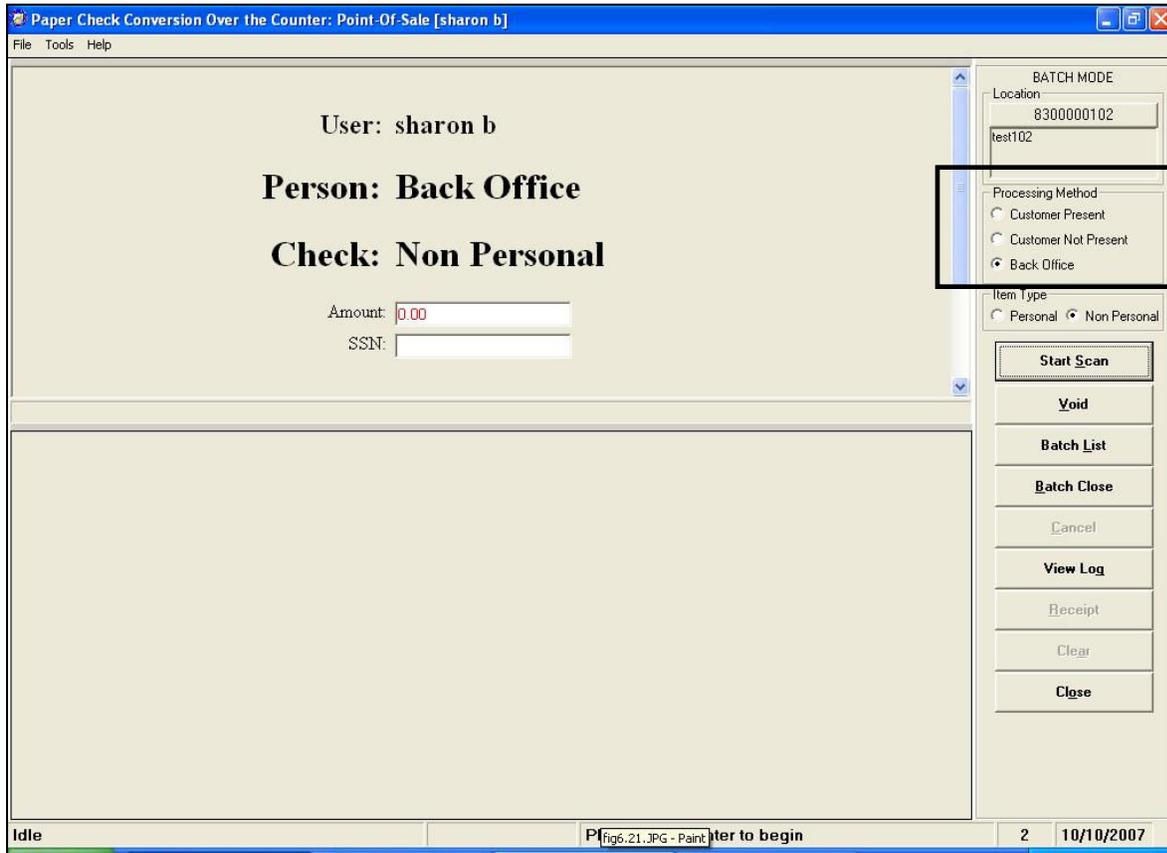


Figure 6.24

Scan Check (EC7000i) in Batch Mode

Once a user has successfully signed on to the POS and chosen the correct location and processing method, the next step is to scan the check. The bottom of the POS screen displays, **‘Please press enter to begin’**. Press the **‘Enter’** key or click the **‘Scan Item’** button. The scanner light turns green, indicating that the scanner is ready to accept a check. A **‘Batch Processing Window’** appears that says **‘Please wait’** and the bottom of the POS screen displays **‘Scan front of Check’**.

Note: A Batch Control screen may appear, based on the Agency’s configuration settings.

Place the first check in the scanner with the MICR line of the check aligned with the right side of the scanner. Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed, as shown below (Figure 6.30). The scanner automatically pulls the check through and scans both the front and the back of the check.



Figure 6.30

A single short beep sounds and the L E D light flashes green, indicating a check has been scanned successfully.

Note: A triple short beep with a red flashing L E D, or one long beep and a red flashing L E D, indicates that an error occurred during the processing or storing of the captured item. Cancel and scan the check again. To determine if there is a problem with the scanner, see the chart in Figure 6.31.

Note: If one long beep followed by five short beeps is heard while scanning items on the EC7000i scanner, please hit cancel to terminate that transaction and rescan that item. This sequence of beeps usually means that the back of the check has not been scanned. If any other unusual issues or sounds are experienced it may indicate a scan error, please cancel that transaction and rescan the item. If necessary, void the transaction and start over.

Scanner Light Color	Indicates
GREEN	Scanner is ready to accept a check and capture its image
AMBER	Scanner is in standby mode, not ready to accept a check
BLINKING RED	Unable to read check image. Cancel and try again, possibly with another check. Make sure that the check is inserted correctly.
CONSTANT RED	There is a problem with the scanner. Cancel the transaction and retry. See section in Troubleshooting.

Figure 6.31

Note: For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the RDM scanner chapter(s) at the end of this User Manual.

The 'Batch Processing Window' displays 'Captured Items Count:1' (as displayed in Figure 6.32) and the bottom of the POS screen displays 'Scan check (front side up)'. Remove the first check from the scanner.

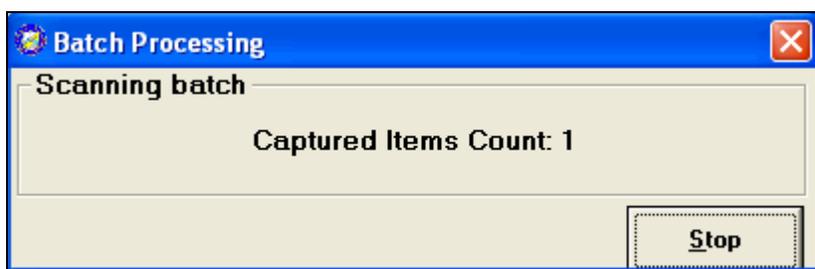


Figure 6.32

Place the second check in the scanner as described in step 1.

Again, the bottom of the POS screen displays 'Scan check (front side up)'. Remove the second check and continue scanning all of the checks that should be included in this batch as described in the steps above.

When all of the checks have been scanned, click the '**Stop**' button in the 'Batch Processing Window'.

Note: Use caution when clicking the '**Stop**' button during batch mode processing. Pressing too quickly (before the scanner has a chance to catch up to the system) may cause the loss of the last transaction.

The POS data entry screen appears displaying the image of the first check that was scanned (Figure 6.32.1). Ensure that the entire front of the check image is visible on the screen and that the dollar amount is legible. (A check may successfully scan even though the item was folded going into the device.)

The middle left of the screen indicates, 'Keying Item 1 of 1'

Note: The image of the check can be resized by hovering the cursor near the top line of the check (as displayed in Figure 6.32.1) until the double arrow cursor \updownarrow is displayed. Click and drag up or down to resize the image.

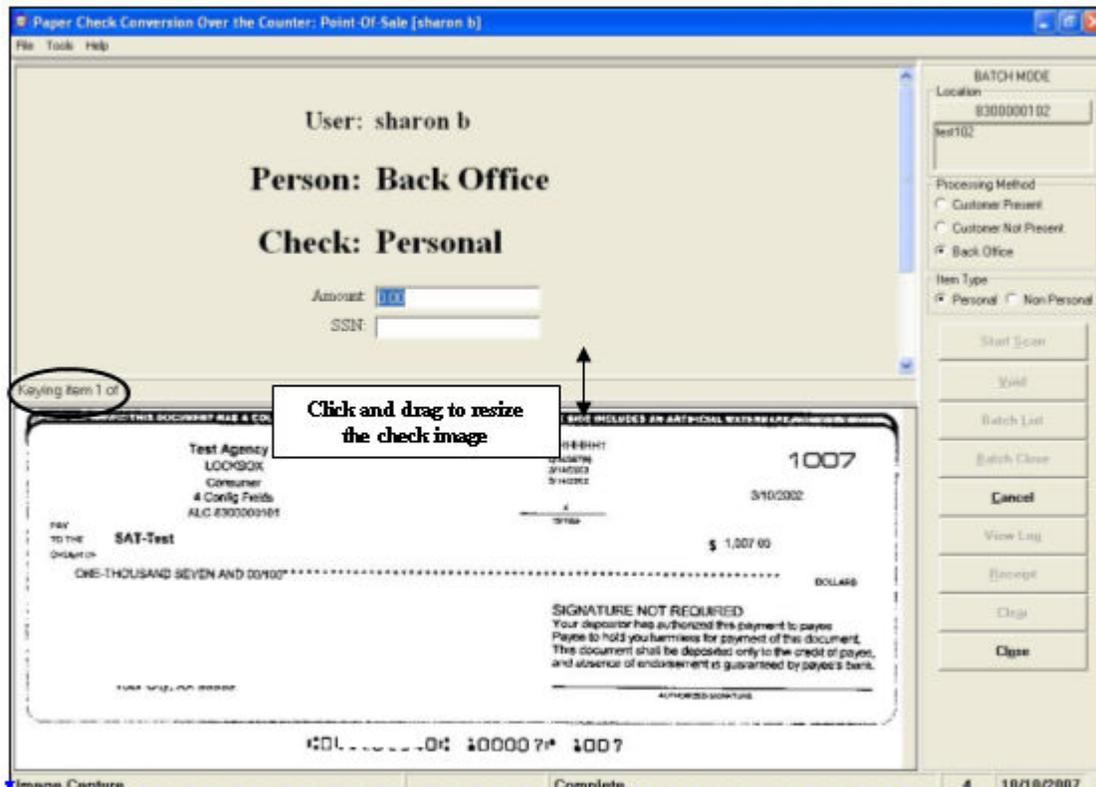


Figure 6.32.1

Select the Item Type (Batch Mode)

After all of the checks in the batch have been scanned, the operator must choose the item type for each check. Just beneath the 'Processing Method' choice at the right side of the screen is the option to choose '**Item Type**'. The choices are '**Personal**' or '**Non Personal**'. (Figure 6.32.2) This indicates the type of item to be processed. When the operator clicks on 'Personal', the POS data entry screen displays, "Check: Personal". If the operator clicks 'Non Personal', the POS data entry screen displays, "Check: Non Personal". The POS application can process both personal and non personal checks in a single batch. The operator needs to make certain that they are selecting the proper choices for each item. Presort the items into two groups (Personal and Non Personal) prior to scanning to avoid the pop-up message like the one displayed in Figure 6.32.3 When the POS software is first installed, both item types are available by default. Using the POS Configuration, authorized users can limit the item type to 'Non Personal only'. When 'Non Personal Only' is chosen in the POS configuration, the item type 'Personal' is no longer available for the operator to choose on the POS data entry screen. This can be set up for Agencies who never process personal checks. For more information, please refer to the POS Configuration section in the '*Installation and Configuration*' Chapter of this User Manual.

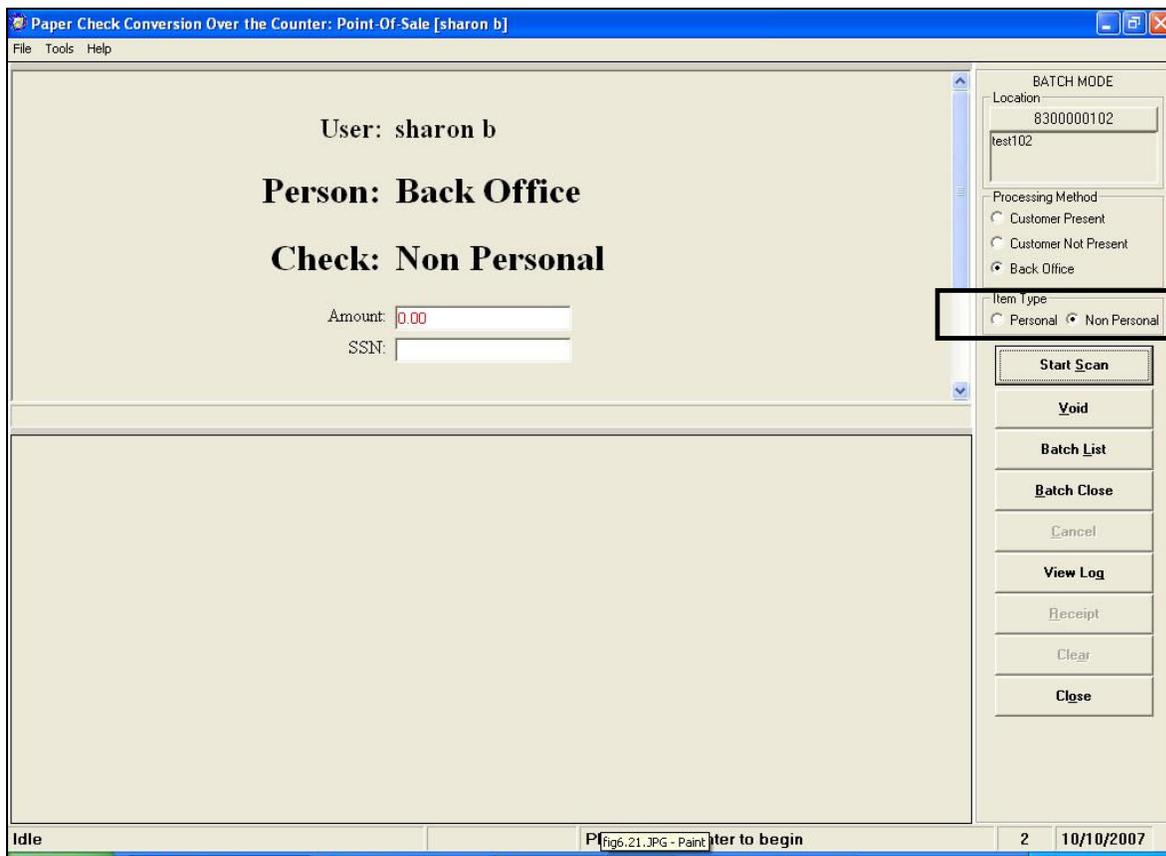


Figure 6.32.2

The operator should determine if the check is either a personal or a non-personal check. While most business checks are typically larger in size, business checks can look the same as personal checks. The title of the account owner should be the determining factor to decide if the check should be classified as personal or business.

Upon selecting the item type, if a personal check was detected due to the format of the MICR line, but the non personal check box was selected on the POS screen, the following message appears (Figure 6.32.3):

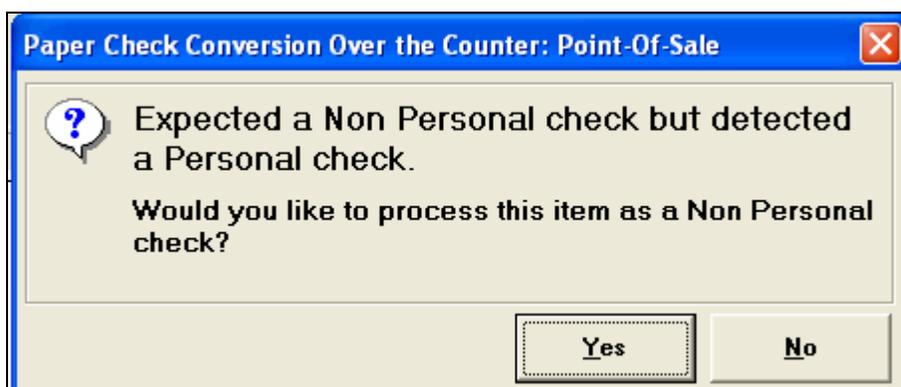


Figure 6.32.3

Select **'No'** if the check should be processed as a personal check. The screen returns to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'Personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a non personal check. The screen returns to the data entry screen with the image of the check at the bottom and allows the operator to continue processing the check as non personal.

Also, if a non personal check was detected due to the format of the MICR line, but the personal check box was selected on the POS screen prior to the scan, the message, "Expected a Personal check but detected a Non Personal check. Would you like to process the item as a Personal check?" s appear.

Select **'No'** if the check should be processed as a non personal check. The screen returns to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'non personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a personal check. The screen returns to the data entry screen with the image of the check at the bottom and allows the operator to continue processing the check as personal.

Note: *The message displayed in Figure 6.32.3 appears for certain Money Orders. This is due to the MICR number formatting of the check if Personal Check is selected on the data entry screen. 'Yes' must be chosen for those items each time.*

The image of the first check that was scanned appears on the lower portion of the screen. Data entry can now begin. If the image is not legible, click **'Cancel'**. The check can be re-scanned and added to the current batch after all of the data input has been completed.

Note: *When canceling a check in the batch mode, a 'Cancel Batch Mode' window appears as displayed below in Figure 6.32.4. To cancel the current item only, click 'No. To cancel the current item and all remaining items, click 'Yes'.*

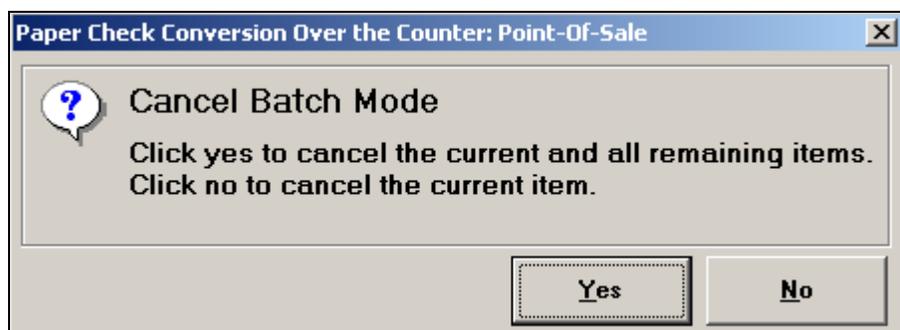


Figure 6.32.4

Note: It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that is submitted to the payor bank for collection. The image is also stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on the Agency's behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency's responsibility.

Type the Unique Check Data

1. The cursor is active on the 'Amount' field. Enter the amount as found on the image displayed in the lower portion of the screen (and verify it to the paper check) and press 'Enter'.

Note: Only numbers need input. For example, entering in 1290 would equal \$12.90, and 56321 would be equal to \$563.21. The maximum dollar amount that can be keyed into the POS data entry screen is 99,999,999.99. The minimum amount is .01.

Note: Be sure to verify the check dollar amount input into the POS to the actual check. If an incorrect amount is entered, an authorized user can sign on to Batch Manager and alter the check amount.

2. The cursor is then active in the first agency specific (configurable) field in which the operator may key data. The operator should complete all fields using information submitted with the check, i.e. bill, form number, period being paid, etc. to facilitate the agency's internal processing. Transactions may include up to 24 Agency-defined configurable fields. Key in all necessary information and press 'Enter'.

Note: Since configuration field requirements are established by each Agency, minimum/maximum requirements may exist for certain fields. If the operator does not satisfy those minimum/maximum field requirements, an error message is displayed in the middle of the screen as displayed in Figure 6.33, and corrections must be made to the field before the POS accepts the transaction.

The screenshot displays a POS data entry interface. At the top, it reads 'Person: Not Present' and 'Check: Non Personal'. Below this, there are input fields for 'Amount: 36214.54' and 'SSN: 111225555'. A red error message is displayed below the SSN field: 'Value does not match facet pattern='[d(3)-d(2)-d(4)](0.1)' in element 'SSN' - [Bad Data: 111225555]'. Below the error message, a check image is shown with the text 'PAY TO THE ORDER OF', '\$ 36214.54', and 'DOLLARS'. The check is labeled 'SAMPLE - NOT NEGOTIABLE'.

Figure 6.33

The back of the check is displayed momentarily then the image of the next check that was scanned appears.

3. Repeat the data entry steps described in the previous steps until all of the checks within the batch have been input.

Each check that is processed may be hand stamped with 'Electronically processed' after the check has been scanned and the transaction is complete. Checks processed in the Person-not-present mode must be destroyed within 14 days, according to the Agency Participation Agreement. Automatic stamping (franking) **cannot** be setup to automatically stamp the front of the check in batch mode (at this time).

When the data entry for all scanned checks has been completed, the bottom of the POS screen displays, 'Please press enter to begin'. The batch can then be closed, or new items can be added to the existing batch.

Scanning a Check with the Panini Scanner

Note: A Batch Control screen may appear, based on the Agency's configuration settings.

Once a user has successfully signed on to the POS and chosen the correct location and processing method, the next step is to scan the check(s). The bottom of the POS screen displays, **'Please press enter to begin'**.

1. Make certain that the check or checks are already in the hopper of the scanner, front of the checks facing the right, as displayed in Figure 6.33.01. The first green light on the scanner begins to flash.



Figure 6.33.01

2. Press the **'ENTER'** key or click the **'Start Scan'** button. A window on the screen states, 'Scanning batch, please wait' and a 'Captured item count' is displayed in the window.

Note: Use caution when clicking the 'Stop' button during batch mode processing. Pressing too quickly (before the scanner has a chance to catch up to the system) may cause the loss of the last transaction.

3. Once the hopper is empty, the following message appears on the screen (Figure 6.33.02):

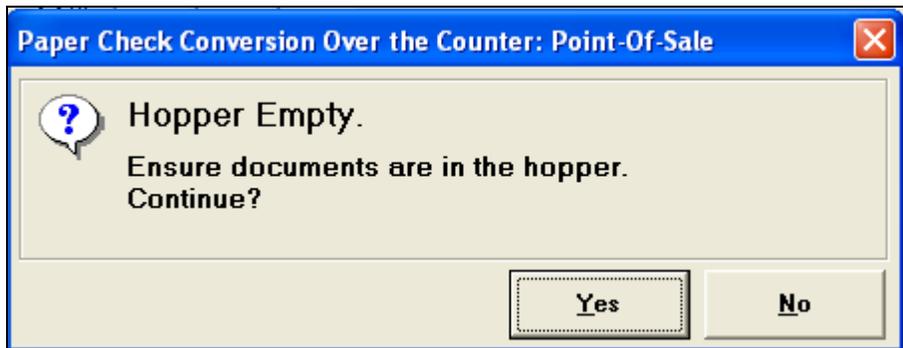


Figure 6.33.02

When the 'Hopper Empty' message appears, the user can add more checks to the hopper then click '**Yes**' to continue adding items to the batch. Or click '**No**' if there are no more checks to scan. When '**No**' is clicked, the system switches to the data entry phase and the first check that was scanned appears on the screen as displayed in Figure 6.33.03. The middle of the screen displays the words 'Keying item 1 of X' which tells the operator that data for first check that was scanned can now be keyed. The 'X' signifies the total number of checks that were placed in the hopper. For example, if 8 checks were placed in the hopper, the message would state 'Keying 1 of 8'.

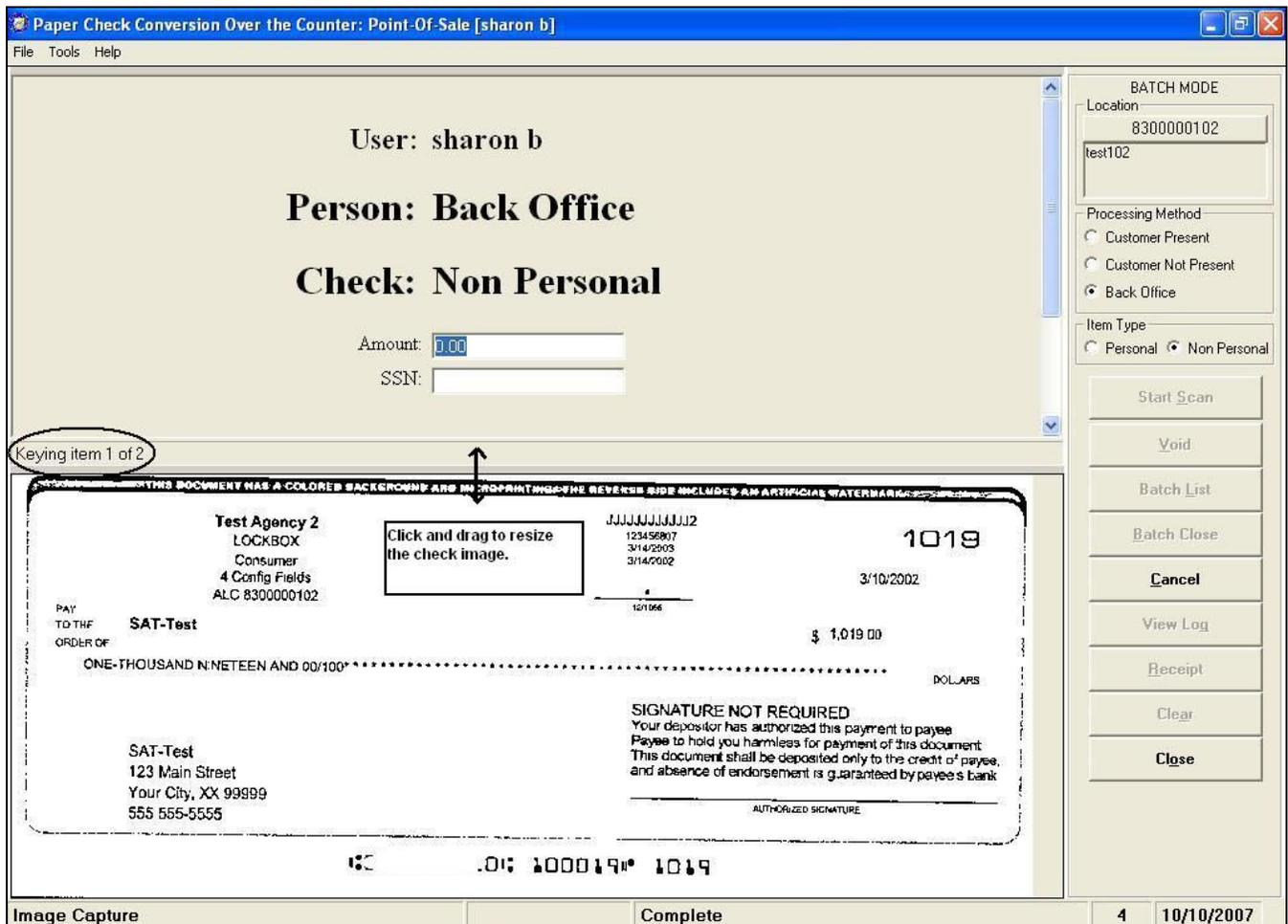


Figure 6.33.03

4. Ensure that the entire check image is visible on the screen and the dollar amount is legible. (A check may successfully scan even though the item was folded going into the device.) If the image is not legible, click 'Cancel' and re-scan the check.

Note: the image of the check can be resized by hovering the cursor near the top line of the check (as displayed in Figure 6.33.03) until the double arrow cursor \updownarrow appears. Click and drag up or down to resize the image.

Note: When the computer activates the power save mode, the user is logged out of the POS and needs to log back in. Any scanned checks that have not been keyed, are lost.

Note: For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the Panini scanner chapter(s) at the end of this User Manual.

Select the Item Type (Batch Mode)

After all of the checks in the batch have been scanned, the operator must choose the item type for each check. Just beneath the 'Person:' choice at the right side of the screen is the option to choose '**Item Type**'. The choices are '**Personal**' or '**Non Personal**'. (Figure 6.33.04) This indicates the type of item to be processed. When the operator clicks on 'Personal', the POS data entry screen displays "Check:Personal". If the operator clicks 'Non Personal', the POS data entry screen displays, "Check: Non Personal". The POS application can process both personal and non personal checks in a single batch. The operator needs to make certain that they are selecting the proper choices for each item. Presort the items by Personal and Non Personal, after sorting by ALC+2 and processing method prior to scanning to avoid the pop-up message like the one displayed in Figure 6.1.49. When the POS software is first installed, both item types are available by default. Using the POS Configuration, authorized users can limit the item type to 'Non Personal only'. When 'Non Personal Only' is chosen in the POS configuration, the item type 'Personal' is no longer available for the operator to choose on the POS data entry screen. This can be set up for Agencies who never process personal checks. For more information, please refer to the POS Configuration section in the '*Installation and Configuration*' chapter of this User Manual.

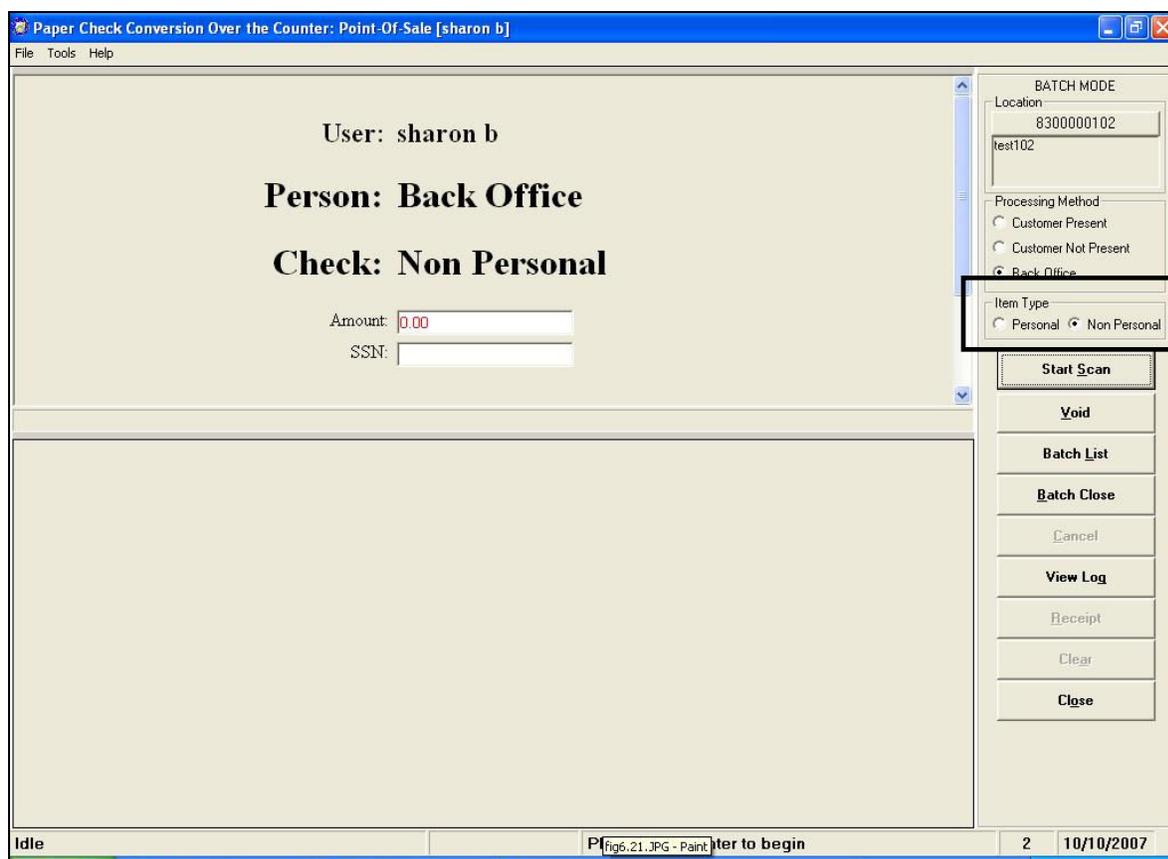


Figure 6.33.04

The operator should determine if the check is either a personal or a non-personal check. While most business checks are typically larger in size, business checks can look the same as personal checks. The title of the account owner should be the determining factor to decide if the check should be classified as personal or non personal.

Upon selecting the item type, if a personal check was detected due to the format of the MICR line, but the non personal check box was selected on the POS screen, the following message appears (Figure 6.33.05):

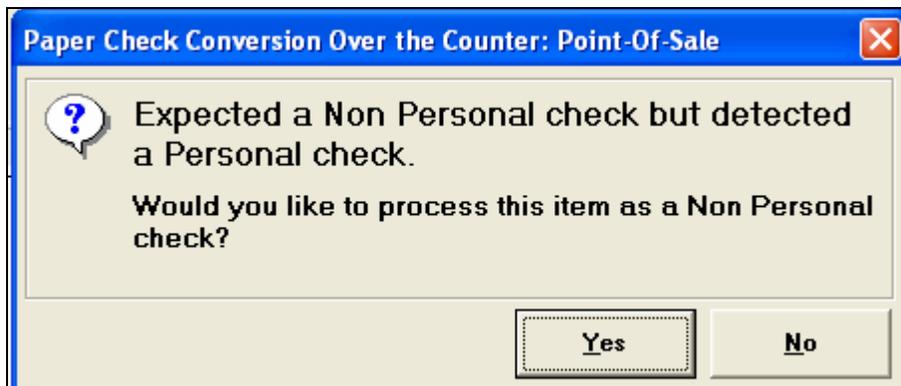


Figure 6.33.05

Select **'No'** if the check should be processed as a personal check. The screen returns to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'Personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a non personal check. The screen returns to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as non personal.

Also, if a non personal check was detected due to the format of the MICR line, but the personal check box was selected on the POS screen prior to the scan, the message, "Expected a Personal check but detected a Non Personal check. Would you like to process the item as a Personal check:" appears.

Select **'No'** if the check should be processed as a non personal check. The screen returns to the data entry screen with the image of the check at the bottom. The operator should change the item type to 'non personal'. Processing can then continue with data input.

Select **'Yes'** if the check should be processed as a personal check. The screen returns to the data entry screen with the image of the check at the bottom and allow the operator to continue processing the check as personal.

Note: *The message displayed in Figure 6.33.05 appears for certain Money Orders due to MICR number formatting of the check if 'personal check' is selected on the data entry screen. 'Yes' must be chosen for those items each time.*

The image of the first check that was scanned appears on the lower portion of the screen. Data entry can now begin. If the image is not legible, click **'Cancel'**. The check can be re-scanned and added to the current batch after all of the data input has been completed.

Note: *When canceling a check in the batch mode, a 'Cancel Batch Mode' window appears as displayed below in Figure 6.33.06. To cancel the current item only, click 'No. To cancel the current item and all remaining items, click 'Yes'.*

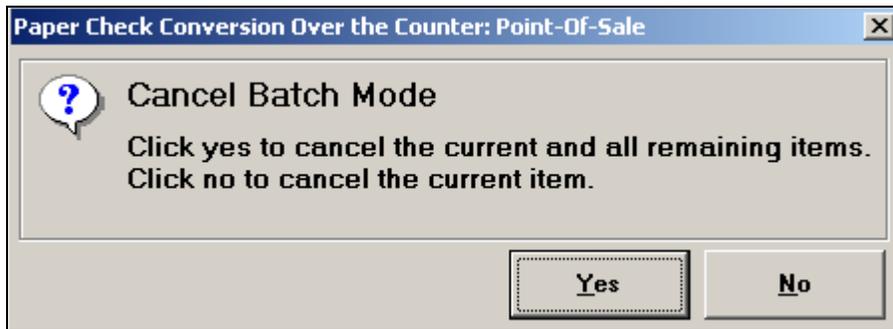


Figure 6.33.06

Note: It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that is submitted to the payor bank for collection. The image is also stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on the Agency's behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency's responsibility.

Type the Unique Check Data

1. The cursor is active on the 'Check Amount' field. Type the amount of the check and press 'Enter'.

Note: Only numbers need input. For example, entering in 1290 would equal \$12.90, and 56321 would be equal to \$563.21. The maximum dollar amount that can be keyed into the POS data entry screen is 99,999,999.99. The minimum amount is .01.

Note: Be sure to verify the check dollar amount input into the POS to the actual check. If an incorrect amount is entered, an authorized user can sign on to Batch Manager and alter the check amount.

2. The cursor is then active in the first agency specific (configurable) field in which the operator may key data. The operator should complete all fields using information submitted with the check, i.e. bill, form number, period being paid, etc. to facilitate the agency's internal processing. Transactions may include up to 24 Agency-defined configurable fields.

Note: Since configuration field requirements are established by each Agency, minimum/maximum requirements may exist for certain fields. If the operator does not satisfy those minimum/maximum field requirements, an error message is displayed in the middle of the screen as displayed in Figure 6.33.07, and corrections must be made to the field before the POS accepts the transaction. In the example below, the pattern for SSN is XXX-XX-XXXX.

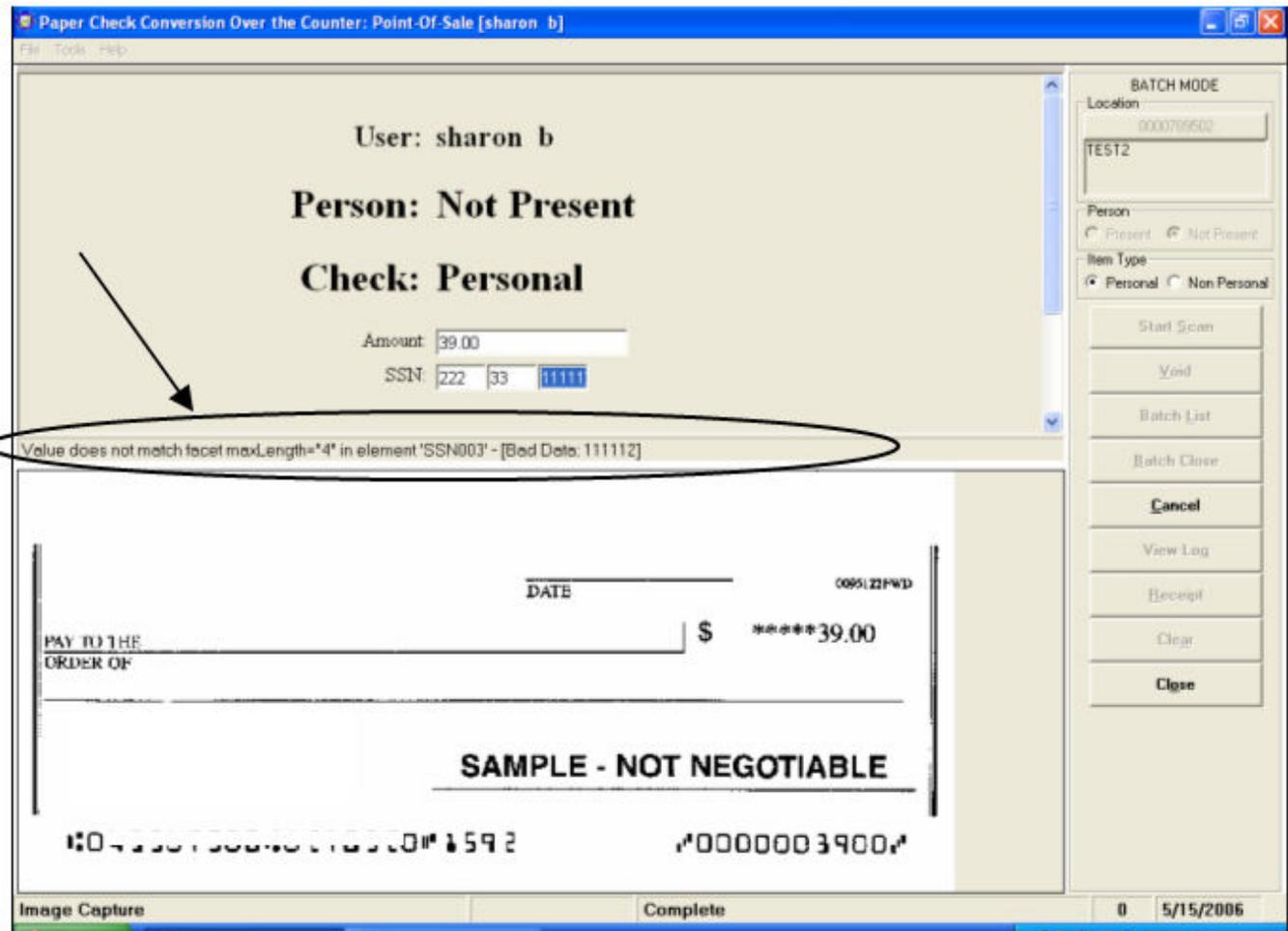


Figure 6.33.07

3. Once the operator has corrected the error condition displayed above, press **'Enter'**.
4. The bottom of the screen displays 'Complete' and the second check that was scanned appears on the screen. The middle of the screen displays 'Keying item 2 of N', with 'N' signifying the total number of checks that were placed in the scanner's hopper.
5. Repeat steps 6 through 9 until all of the scanned checks have been keyed. The bottom of the screen displays the message, 'Please press enter to begin. If more checks need to be scanned, the operator can insert the checks into the Panini hopper and continue.
6. Each check that is processed may be hand stamped with 'Electronically processed' after the check has been scanned and the transaction is complete. Checks processed in the Person-not-present mode must be destroyed within 14 days, according to the Agency Participation Agreement.

Correcting the Codeline (MICR line)

If the scanner detects a problem with the MICR data, i.e., certain or all characters could not be read by the scanner, the operator is prompted to correct the codeline. The following is an example of the message that appears when the codeline needs to be corrected: (Figure 6.34).

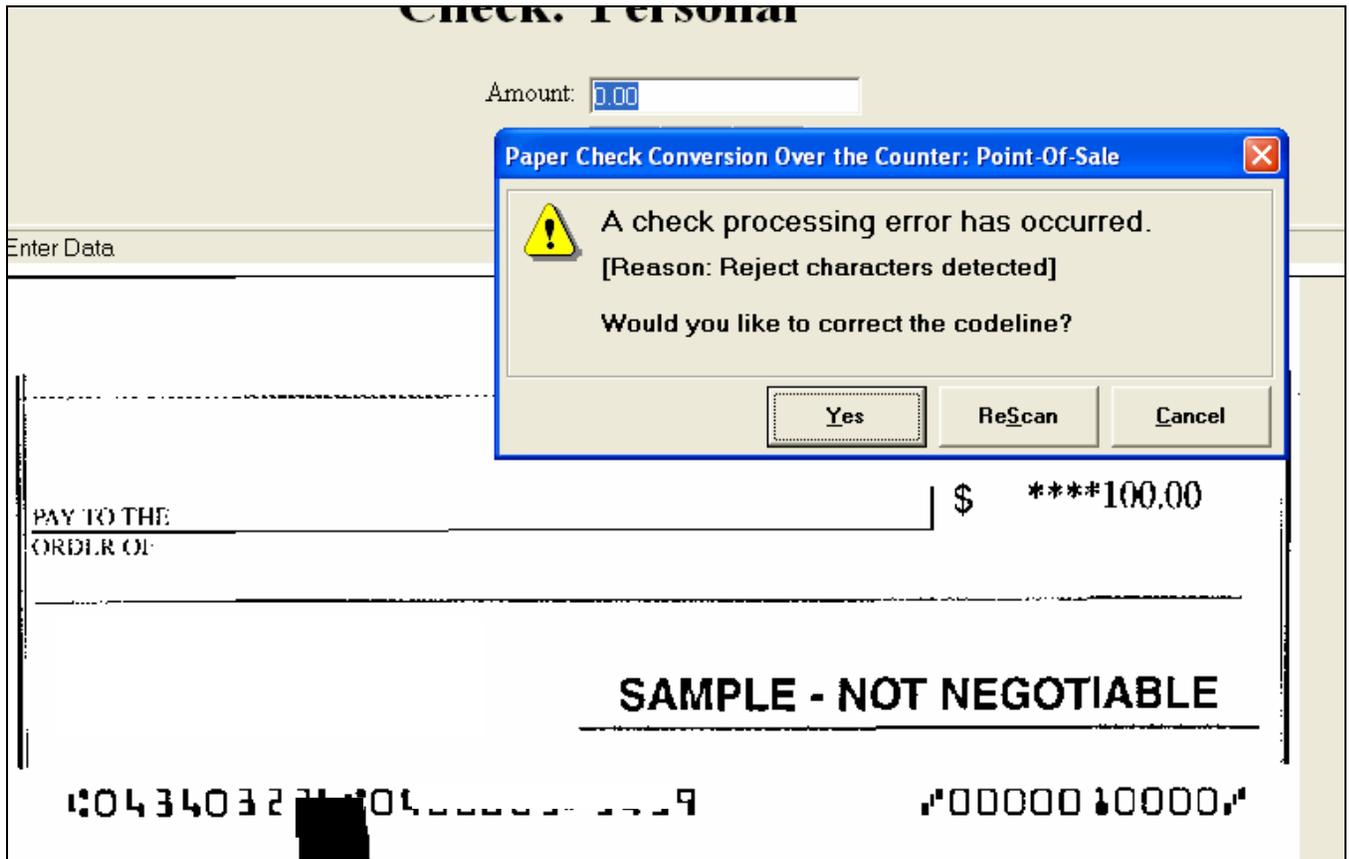


Figure 6.34

When faced with a Codeline error message the user can elect to:

Click **'Yes'** to correct the codeline,

Click **'ReScan'** to rescan the check. This option would be used if the check was skewed or inserted upside down.

Click **'Cancel'** to completely cancel the transaction. The system returns to the main POS screen .

To correct the codeline:

Click **'Yes'** . Only authorized users can perform a codeline correction. The system may prompt for authorization. A user with codeline correction access needs to key in their login and password before the system allows the procedure to continue. Once authorization has been verified by the system, a message similar to the one pictured in Figure 6.35 appears.

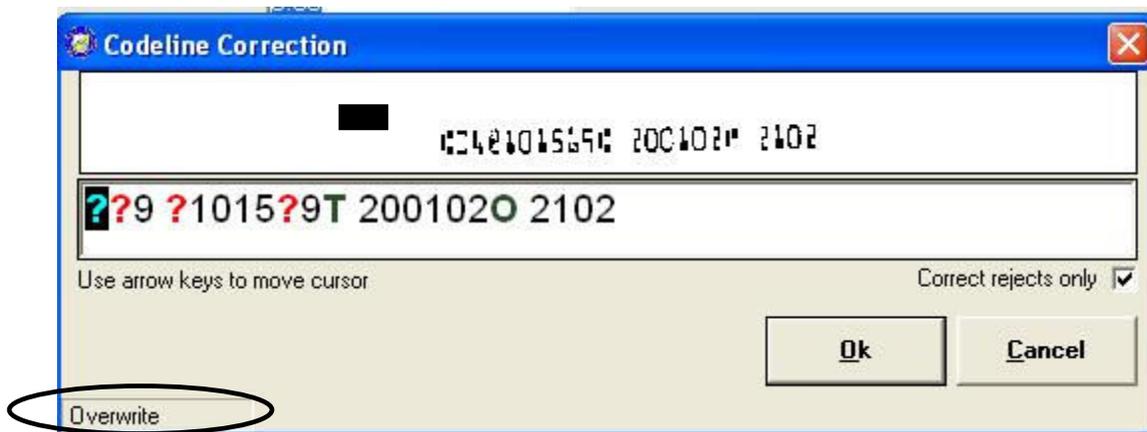


Figure 6.35

In the example above, the system has rejected several characters that the scanner could not read. The line of characters at the bottom of the screen needs to be compared with the source document. The unreadable characters are represented with question marks on the bottom line. By default, only the rejected characters can be corrected. If, when compared to the source document, the user agrees that only two characters need to be typed, the user can simply type the numbers as they should appear. The field is protected to allow only those characters represented by a question mark to be overwritten. If, however, the user needs to correct more in the codeline than the system has detected, click to uncheck the 'Correct rejects only' box at the lower right of the window. This allows additional characters to be inserted or overwritten, or extra characters to be deleted.

To overwrite characters – press the 'insert' key on the keyboard until the lower left of the window says 'Overwrite' (circled in Figure 6.35). Click to highlight the character to be overwritten and type the new character.

To delete characters – press the 'insert' key on the keyboard until the lower left of the window says 'Overwrite' (circled in Figure 6.35). Click to highlight the character to be deleted and press the delete key on the keyboard.

To insert a character - press the 'insert' key on the keyboard until the lower left of the window says 'Insert' (where circled in Figure 6.35). click to place the cursor in the correct position within the MICR line and type the character to be inserted. If another character needs to be inserted elsewhere in the MIRC line, click to place the cursor where the character should be inserted, or use the arrow keys on the keyboard to position the cursor then type the character to be inserted.

When all changes have been completed, click the 'OK' button. The system returns to the main POS screen with the word 'Complete' at the bottom of the screen.

Note: *Caution should be used whenever a codeline correction is needed. The alpha characters within the line should not be overwritten as they represent delineation within the codeline. Mistyping of characters could result in debiting the wrong financial institution and/or customer's account, or the wrong dollar amount.*

MICR Code Description

On occasion, some items are printed with a security feature that prevents the POS from reading the entire MICR line. When this occurs, the entire MICR line is represented by question marks and needs to be typed. The information in the next several sections should assist the operator with understanding how to read the MICR line for various types of checks and how to key in an entire MICR line.

Figure 6.36 illustrates an example of the bottom of a check, known as the MICR line, and what the numbers represent. This is just a representation – the order of the placement of the routing number, account number and check number in a MICR line can vary.

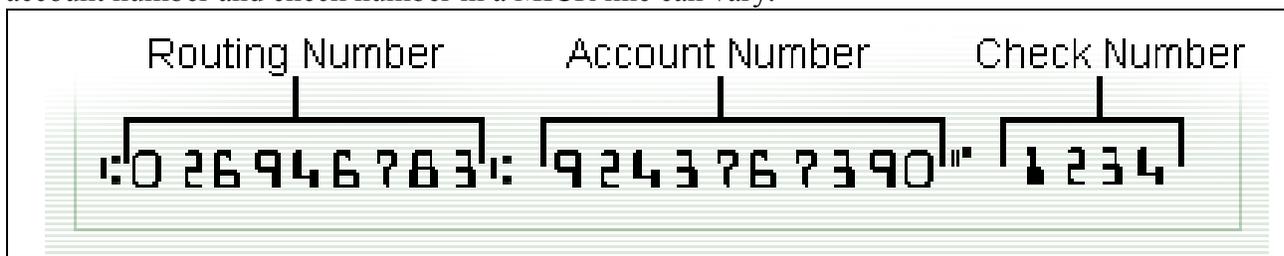


Figure 6.36

Figure 6.37 illustrates what the symbols used within the MICR line represent.

Code and Symbol	Description
T	Beginning or ending of a transit number, also known as a Routing number or ABA number.
O	The On-Us field contains the account number and may also contain a serial number and transaction code.
A	Displays the amount of an amount-encoded check. PCC OTC checks do not need to be encoded with the amount.
D	Dash separates the values of the other fields.

Figure 6.37

Personal Check MICR Description

Figure 6.38 represents a standard personal check and the MIRC line description. If this entire MICR line needed to be keyed into the POS because it could not be read, it would be typed as:

T091900533T O239 D0650D 2O 108

The diagram shows a personal check with the following details:

- Payor: Joe Smith, 123 North Ave., Cleveland, OH 44101
- Date: October 12, 2006
- Payee: John Smith
- Amount: \$ 300.80
- Amount in words: Three hundred dollars and 80/100
- Bank: National Bank
- Check Type: NEGOTIABLE
- MICR Line: @091900533@ 0239 0650 2 108

Annotations on the MICR line:

- ABA (Transit) Number: @091900533@
- Account Number: 0239
- Check Number: 0650
- Transit symbols-T: @
- Dash symbols-D: -
- on-us symbol-O: 0

Legend:

- *Represented as a code 'T' in the MICR line correction
- **Represented as a code 'D' in the MICR line correction
- ***Represented as a code 'O' in the MICR line correction

Figure 6.38

Non-Personal Check MICR Description

Figure 6.39 represents a standard non-personal check and the MICR line description. If this entire MICR line needed to be keyed into the POS because it could not be read, it would be typed as:

O039633O T026002574T 050 D03889D 3O

ABCMICR Company
P.O. Box 123
Cleveland, OH 44101

October 12 20 06

PAY TO THE ORDER OF XYZ Corporation \$ 1,000.00

One Thousand Dollars and 00/100 DOLLARS

National Bank ABA (Transit) Number Account Number

Check Number

SAMPLE - NOT NEGOTIABLE

⑈039633⑈ ⑆026002574⑆ 050⑈03889⑈3⑈

***on-us symbols-O *Transit symbols-T ***on-us symbol-O

**Dash symbols-D

*Represented as a code 'T' in the MICR line correction
**Represented as a code 'D' in the MICR line correction
***Represented as a code 'O' in the MICR line correction

Figure 6.39

Duplicate Check Detected

While scanning checks, if a check is accidentally or intentionally scanned twice, the system recognizes the duplicate and the following warning message appears: (Figure 6.40)

The POS detected duplicate checks within a current batch, or in any batch held in the Batch Manager on that POS computer. A prompt appears requesting that the operator resolve the issue. Duplicate checks are determined and detected if the MICR and the check amount match those of another check. The amount of time that a batch is stored on the PC and available for duplicate detection is configurable. Please note that duplicate check detection is PC specific. It cannot perform duplicate validation searches across other POS PC's, only on the PC at which the check is being scanned.

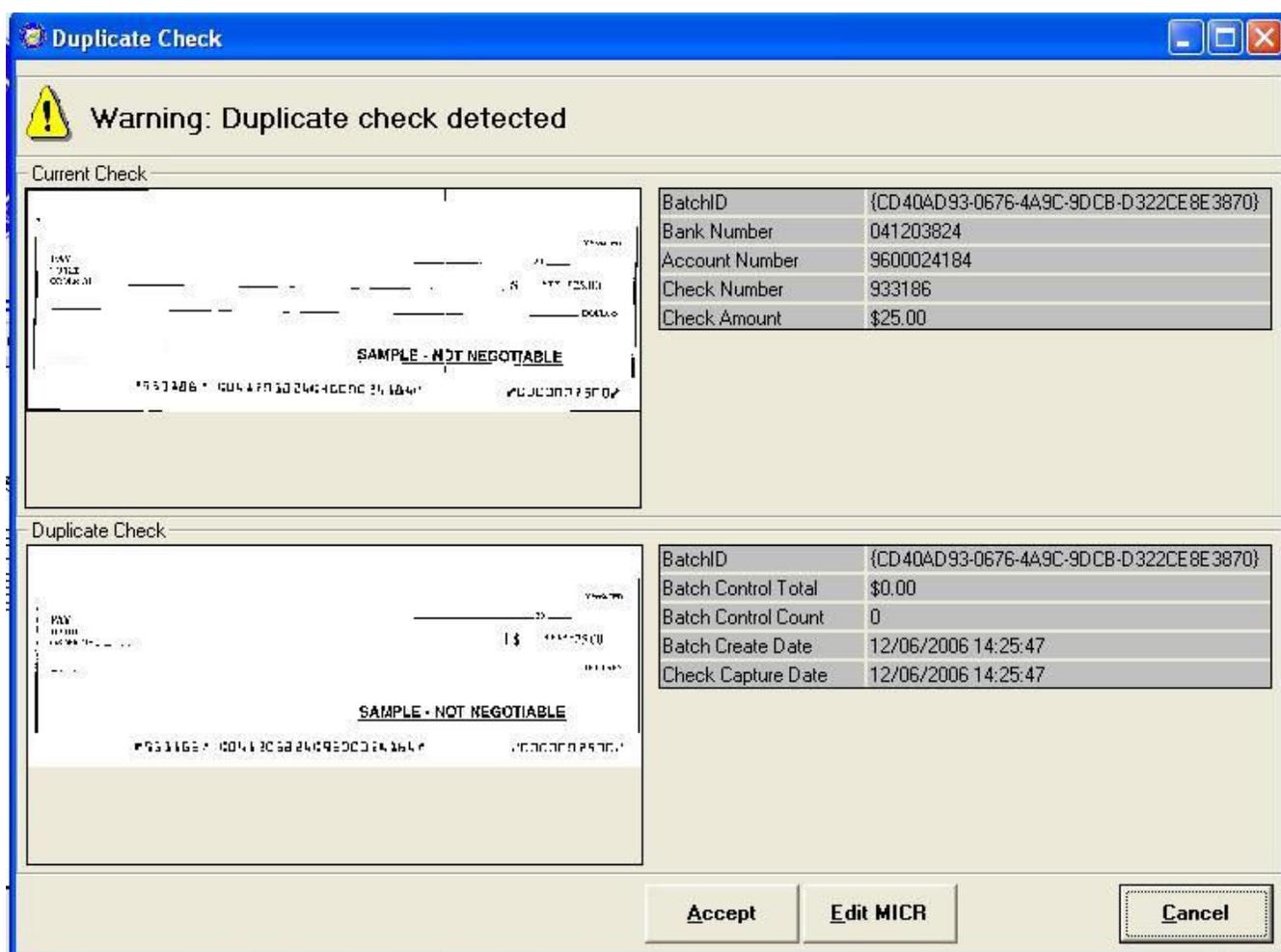


Figure 6.40

The user has a number of options that can be followed.

If the check was accidentally duplicated in error, simply click the **'Cancel'** button. The screen returns to the Main POS screen. Click on the **'Cancel'** button on the right side of the screen. The message, "Cancel

transaction. Are you sure?" Click the **'Yes'** button. The screen returns to the point where the user can press Enter to scan another check.

If the MICR line was misread by the scanner leading the system to believe that the check is a duplicate, it can be edited. To determine if the MICR line was misread, compare the two images in the window. The top image depicts the current check, and the bottom image depicts the most recently scanned check that is being deemed a duplicate by the system. Also compare the MICR line on the bottom check with the source document. If it has been determined to be a misread of the MICR line that needs to be corrected, click the **'Edit MICR'** button at the bottom of the window. The following window appears (Figure 6.41)

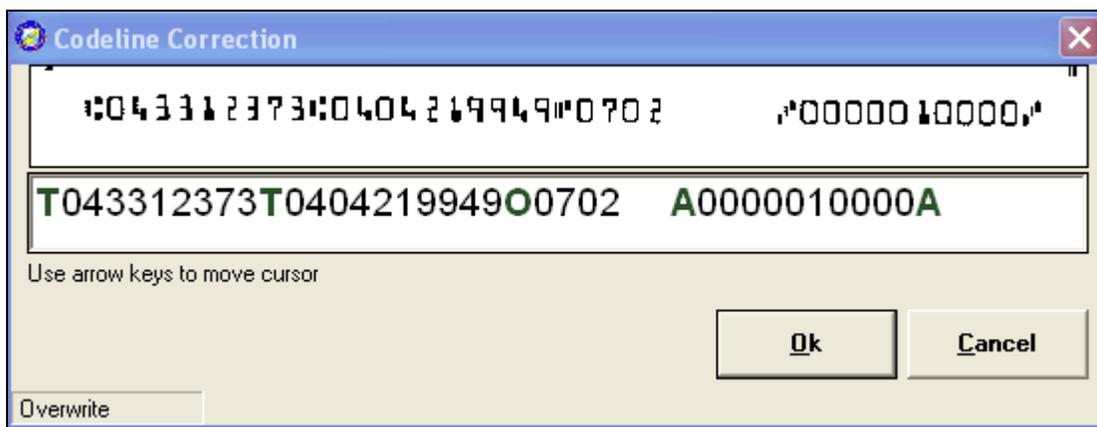


Figure 6.41

The cursor is at the end of the line on the bottom. That is the editable line. (See the **'Correcting the Codeline (MICR line)'** section of this chapter for complete details on how to edit a codeline.) A compare of what was read by the scanner is displayed in the top line. Click on the number(s) that need to be edited and type the corrected number. Accuracy is of the utmost importance. Double check to make sure that the correct numbers are being typed and that extra numbers are not left behind. When finished, click the **'OK'** button. The POS Data entry screen appears for the user to type the dollar amount and configuration fields to complete the transaction.

The last option is to accept the check as it is and continue processing. This is done by clicking on the **'Accept'** button.

Image Quality

Image quality tests are performed on each check, as soon as the check is captured and the image is available. If a check passes the image quality tests, item processing continues. If the check fails the image quality tests, the following message is displayed: (Figure 6.42)

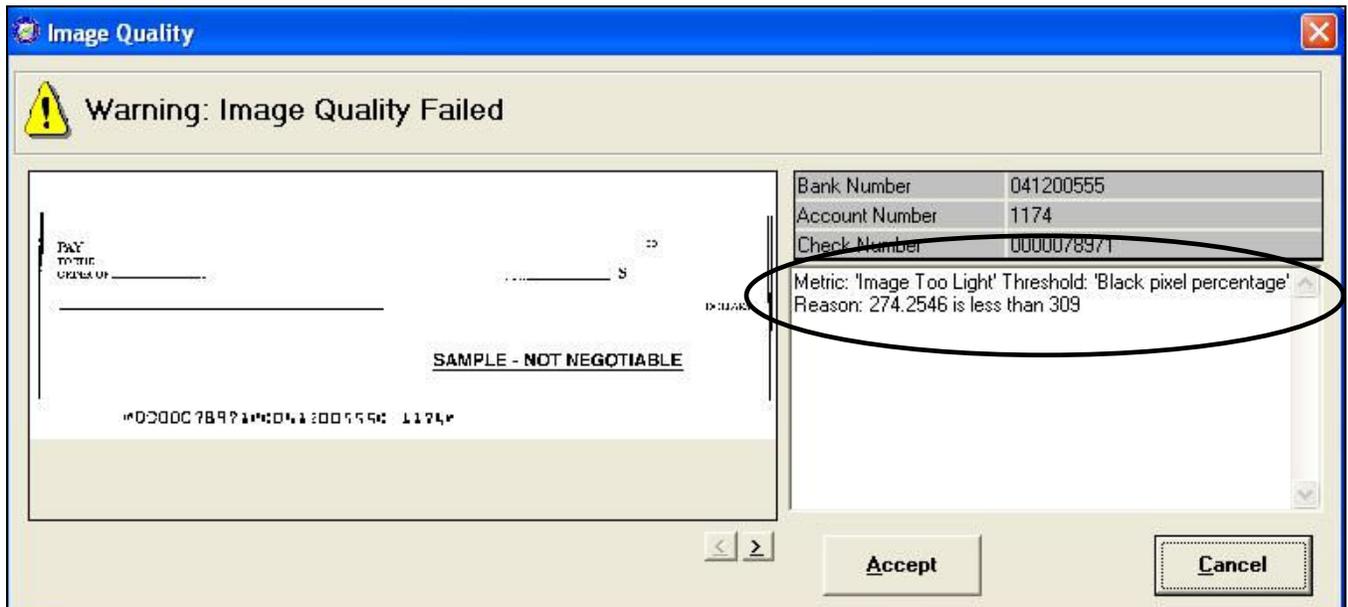


Figure 6.42

The window on the bottom right (circled) offers the reason for the image failure. When prompted with an 'Image Quality Failed' message, the user can:

Click the **'Accept'** button to accept the check as-is and continue processing. Caution should be used whenever choosing this option – see the box below.

Note: It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that is submitted to the payor bank for collection. It is also stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on the Agency's behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency's responsibility.

Click the **'Cancel'** button to cancel the transaction.

How to Cancel a Check

At any point during the processing of an item, the transaction can be cancelled prior to pressing the ENTER key to process the transaction. Checks are cancelled after a check or checks have been scanned and data entry is about to take place for that item. Just prior to pressing Enter, click the ‘Cancel’ button, as displayed in Figure 6.43. The system prompts with the message, “Cancel transaction. Are you sure?” Click the ‘Yes’ button to cancel the item.

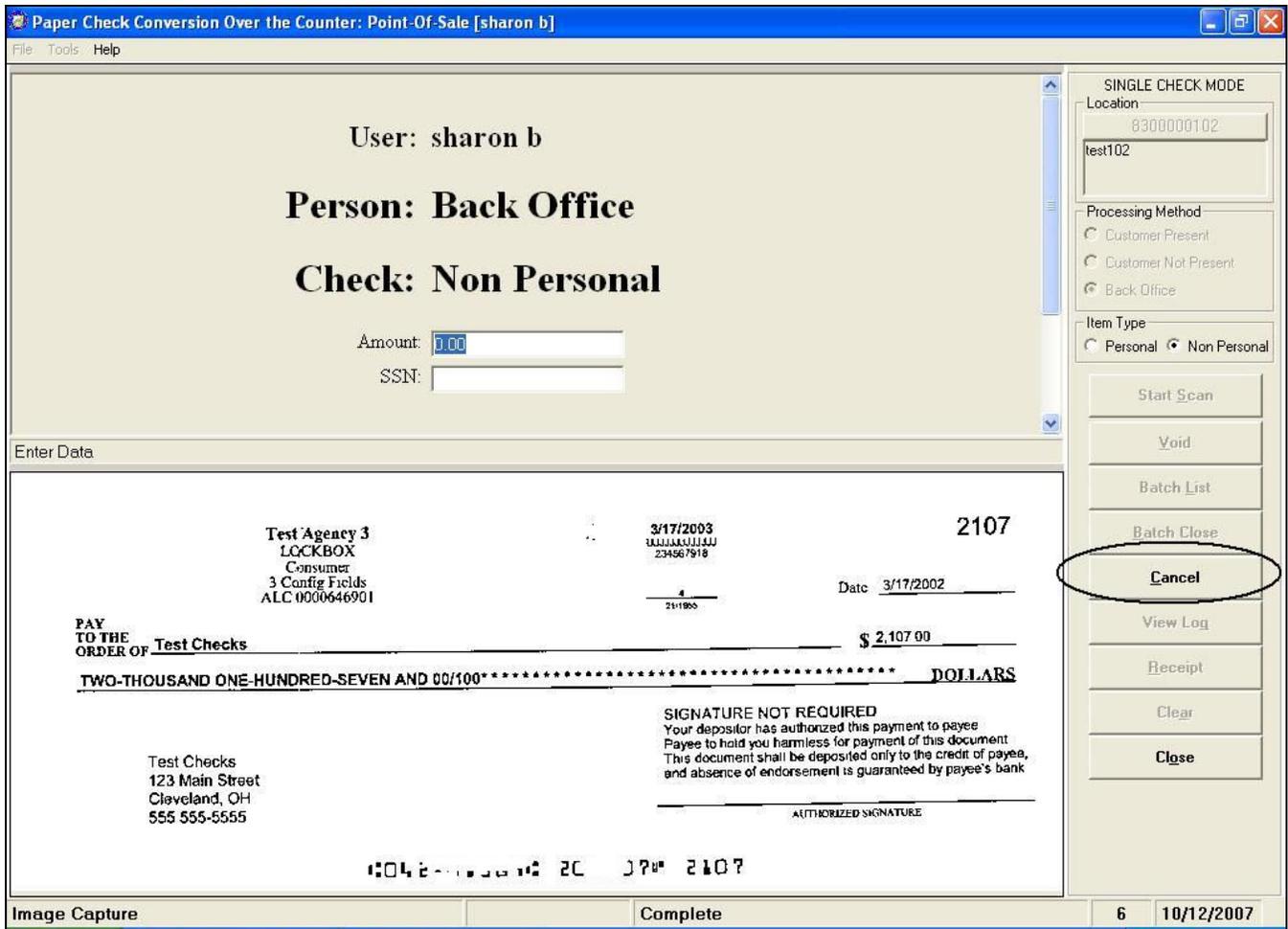


Figure 6.43

If the check has already been assigned a transaction number (found at the bottom of the screen) it has been entered into a batch, and can no longer be cancelled by using the ‘Cancel’ button. Instead, a void would need to be performed. Please refer to the ‘Void an Item’ section in this chapter of the User Manual.

Print Receipt

In order to use this function, receipts need to be set up for the Agency similar to the data entry screens. If an Agency is interested in using the receipt functionality, please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 4, option 5, option 4 or via email at FMS.OTCChannel@citi.com. An example of the receipt layout needs to be provided for configuration purposes. The receipt functionality must also be activated within the SAT configuration settings. For complete information, see the SAT chapter, *Configuration Settings* section of this User Manual.

A receipt can be printed on the POS then handed to or mailed to the customer. It must be printed prior to closing the batch.

During the transaction, the operator can print the receipt by clicking the **‘Receipt’** button prior to pressing the ‘Enter’ key to begin the next transaction. A receipt can only be printed at the end of the transaction, prior to scanning the next item. If the operator inadvertently begins the next transaction without printing the receipt, it can still be printed from the ‘Batch List’, Show Items’ option. For details on how to use this function, refer to the *Print Receipt using the Show Items* option section of this chapter.

To print a receipt in single mode:

1. Scan the check and input the pertinent details.
2. Scan the back of the check (if using an EC5000i or EC6000i scanner)
3. The bottom of the screen says, “Please press enter to begin”. Do not press Enter.
4. Click the **‘Receipt’** button (Figure 6.44)

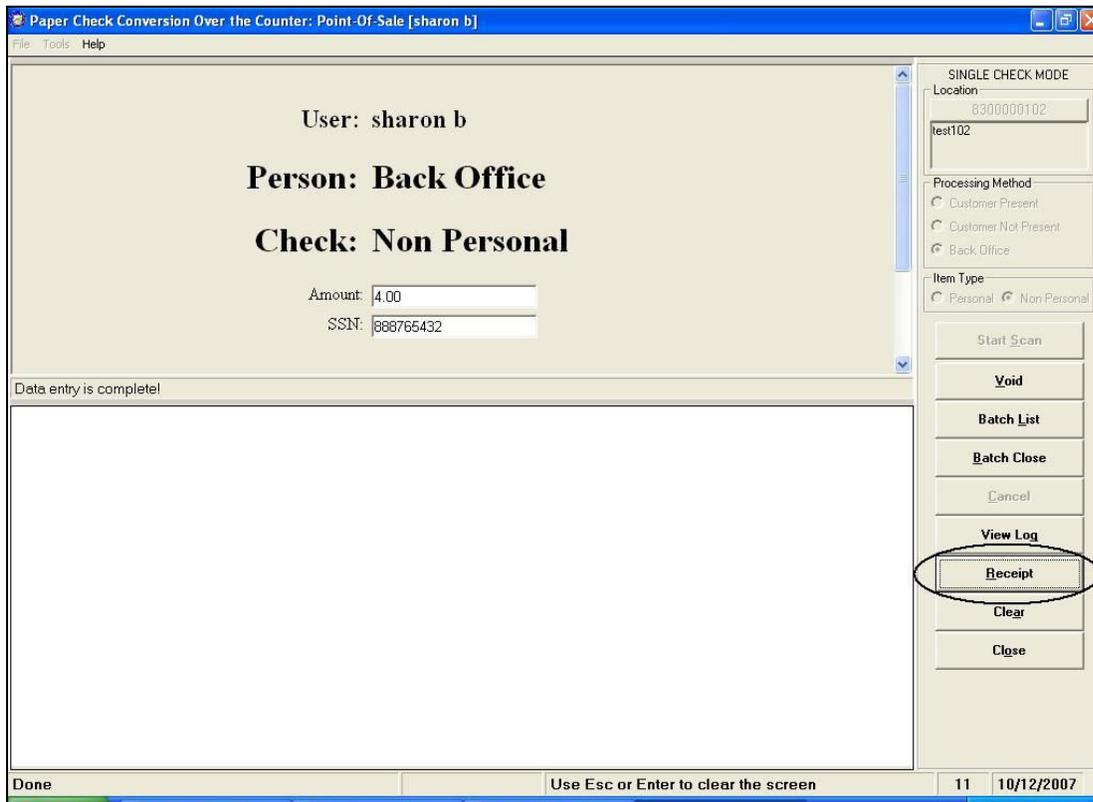


Figure 6.44

The system responds with, 'Please wait' and the receipt is printed to the default POS printer.

To print a receipt in batch mode:

1. Scan all the checks in the batch and input the pertinent details.
2. The bottom of the screen says, "Please press enter to begin". Do not press Enter.
3. Click the **'Receipt'** button (See Figure 6.44.1)
4. The system responds with, 'Please wait' and the receipt is printed to the default POS printer.

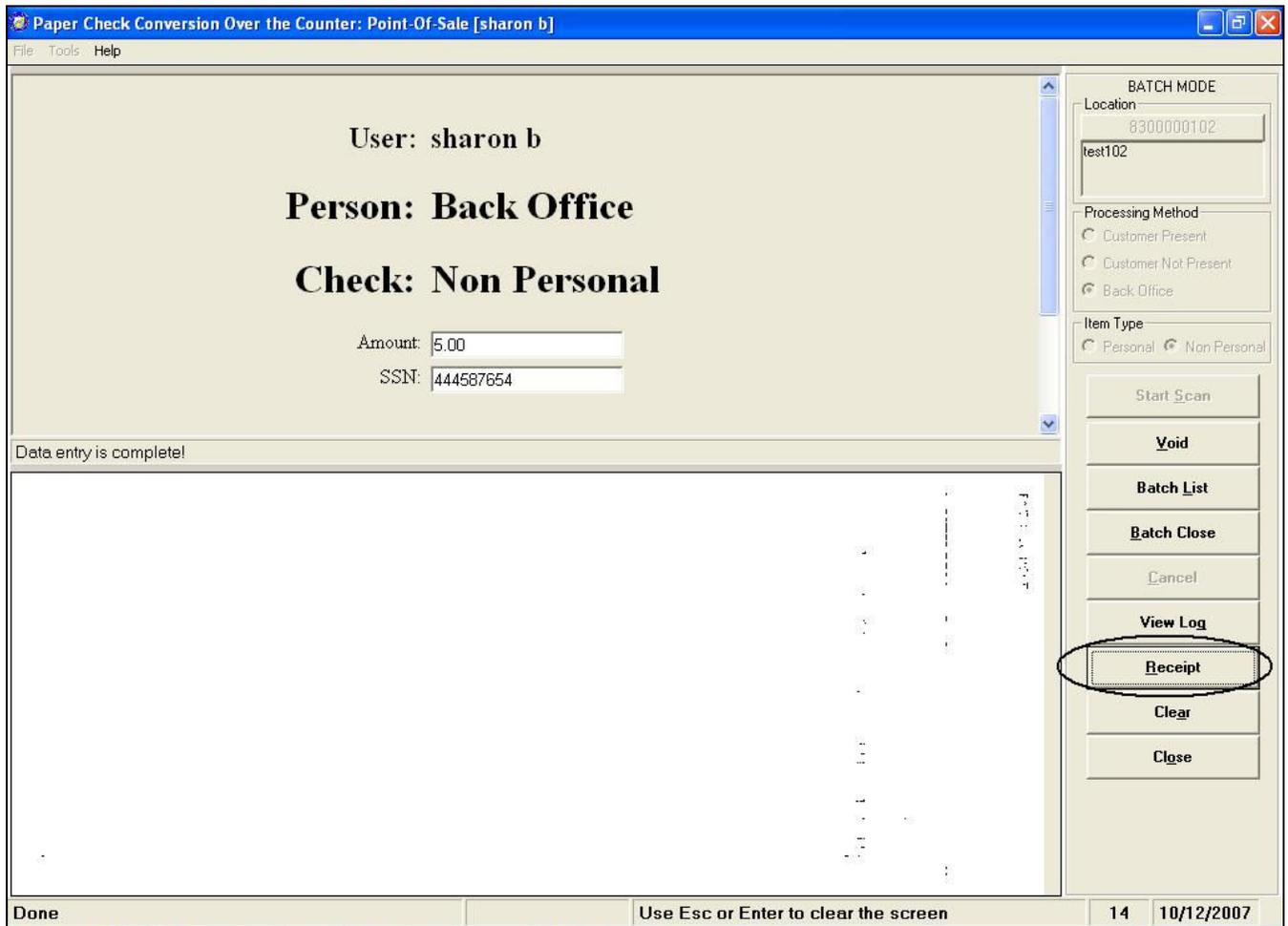


Figure 6.44.1

Print Receipt using Show Item

The ‘Show Item’ option allows the operator to view an item that has already been scanned into the system. It also allows the operator to print a receipt for the customer. This option can be used in the event that there was a problem with the receipt that was printed at the time the item was scanned.

To print the receipt using the ‘Show Item’ option:

1. From the main POS window click the ‘**Batch List**’ button.
2. The batch list window displays a single line that represents the batch. Click the  button to expand the view of the batch to include all items.
3. Click to highlight the item for which the receipt is to be printed, then click the ‘**Show Item**’ button (Figure 6.45)

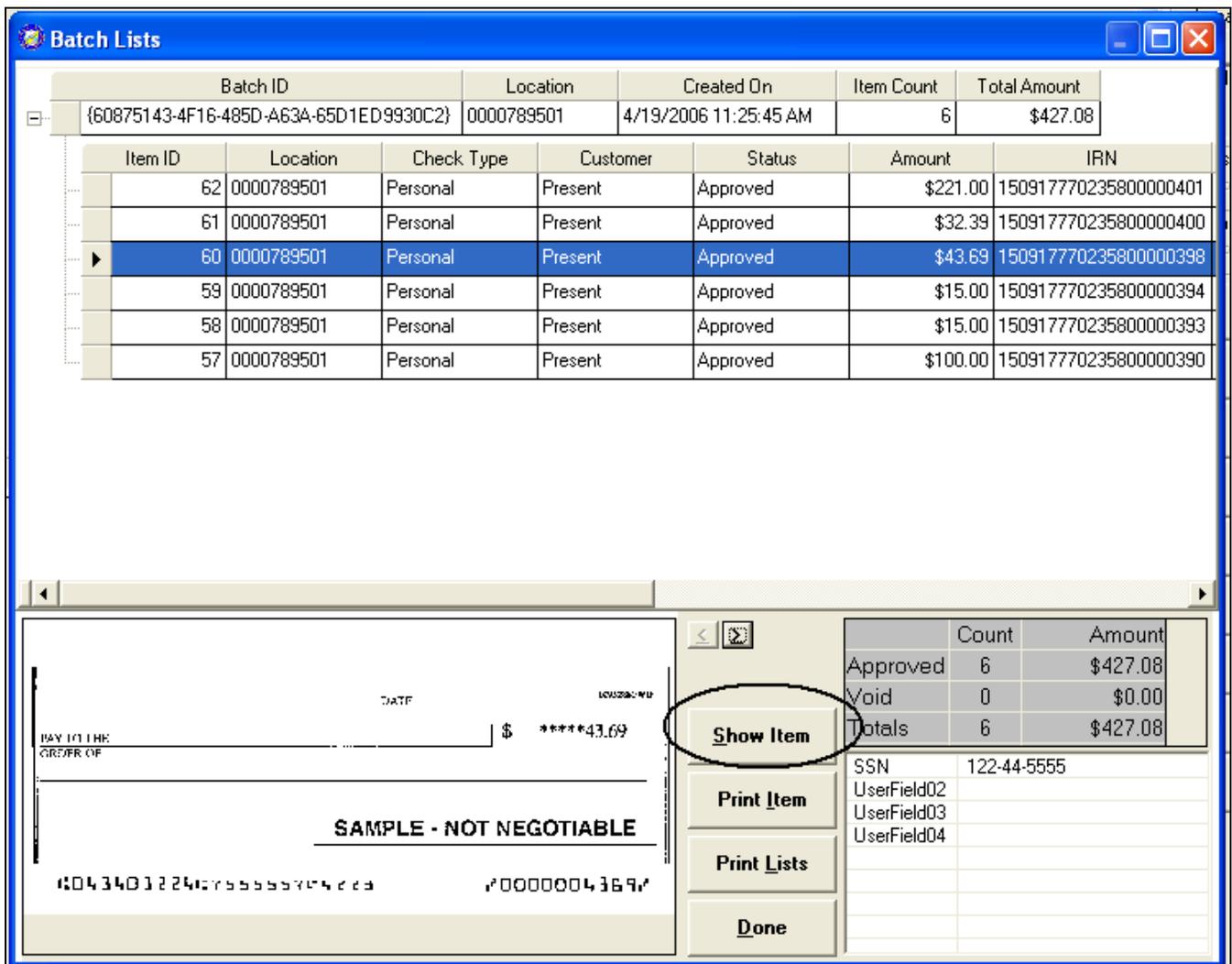


Figure 6.45

The following window appears: (Figure 6.46)

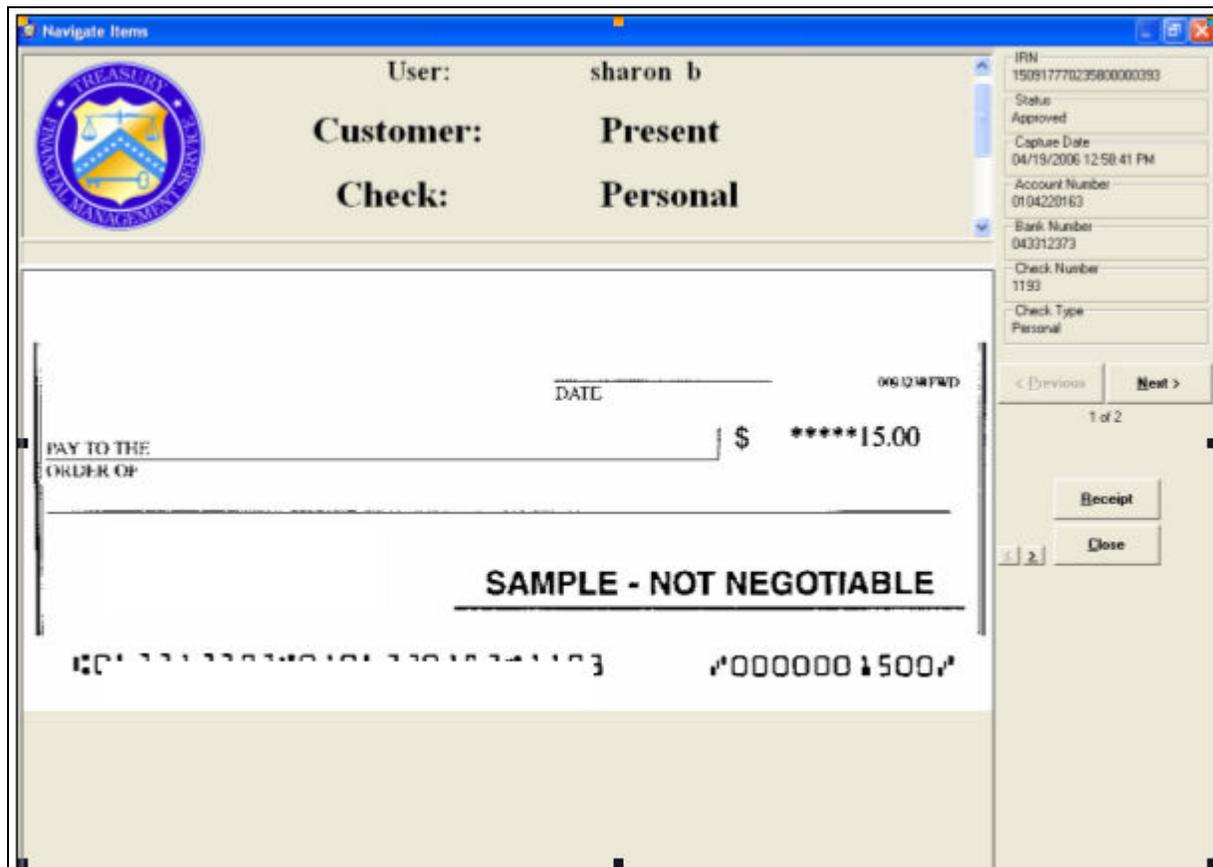


Figure 6.46

The upper right section of the screen shows details that are pertinent to this item, the lower left displays the image of the check, and the lower right of the screen allows the operator to scroll through all items one at a time using the 'Previous' and 'Next' buttons (Figure 6.46). The left/right arrows button to the left of the 'Close' button are used to switch the view from the front to the back of the check, and the 'Close' button closes the window and returns to the batch list window.

Note: The image of the check can be resized by hovering the cursor over the area shown in Figure 6.32.1 until the double arrow cursor \updownarrow appears. Click and drag up or down to resize the image.

4. To print the receipt, click the '**Receipt**' button.

A preview of the receipt appears on the screen allowing the operator to view, zoom, page, and print (Figure 6.47). Maximize the size of the screen by clicking on the  maximize button. To print the receipt, click the printer icon button  at the upper left of the window, or click '**File**', '**Print**' from the menu at the top of the screen. Using the print dialog box, the operator can choose specific settings for the pages, or choose an alternate printer.

Void an Item

Transactions may need to be voided for various reasons. As long as the batch has not been closed, items within a batch can be voided. This can be done either in the POS or Batch Manager. For information on using Batch Manager to void an item, please refer to the *Batch Manager* chapter of this User Manual. The void feature can be initiated by the operator; however, supervisory users may need to approve or complete the transaction with a description on why the item was voided.

Note: *In order to void the completed transaction, the check writer must provide the operator with the physical check that was scanned.*

To void a check:

1. Click the **‘Void’** button from the main POS screen. A ‘Void Item’ window appears (Figure 6.48).
2. Click the ‘+’ on the left side (circled) to expand the view and see all details of the items within the batch (Figure 6.49)

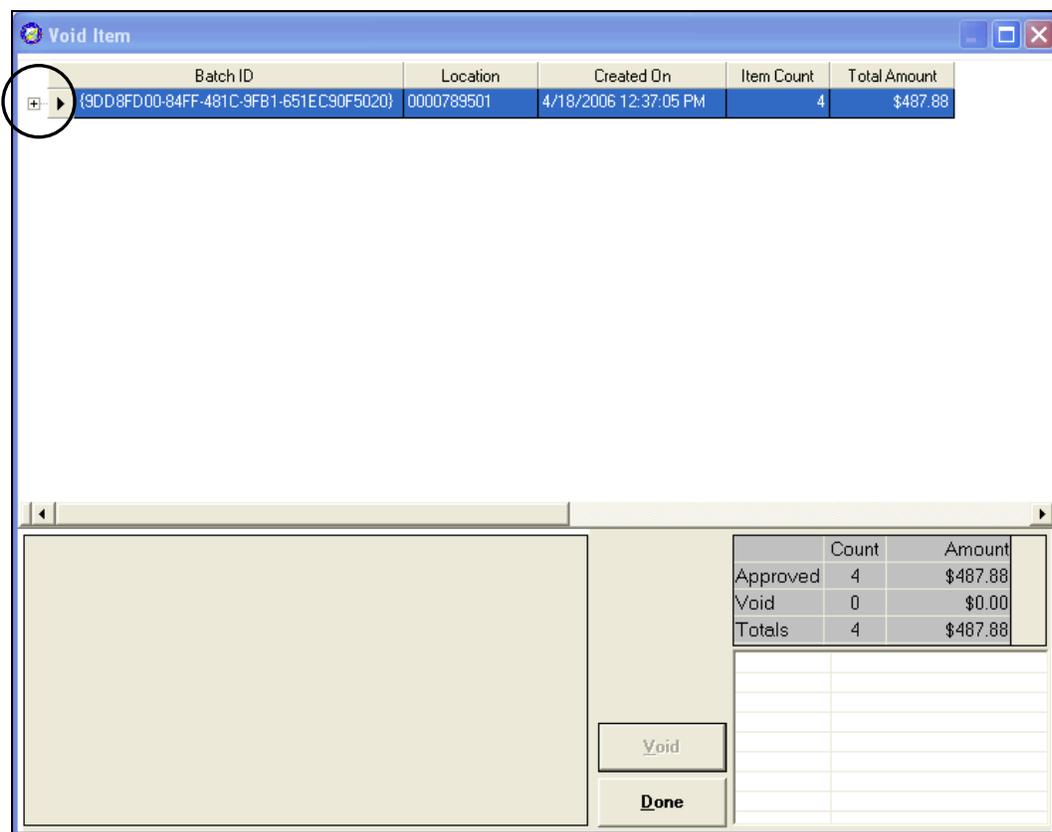


Figure 6.48

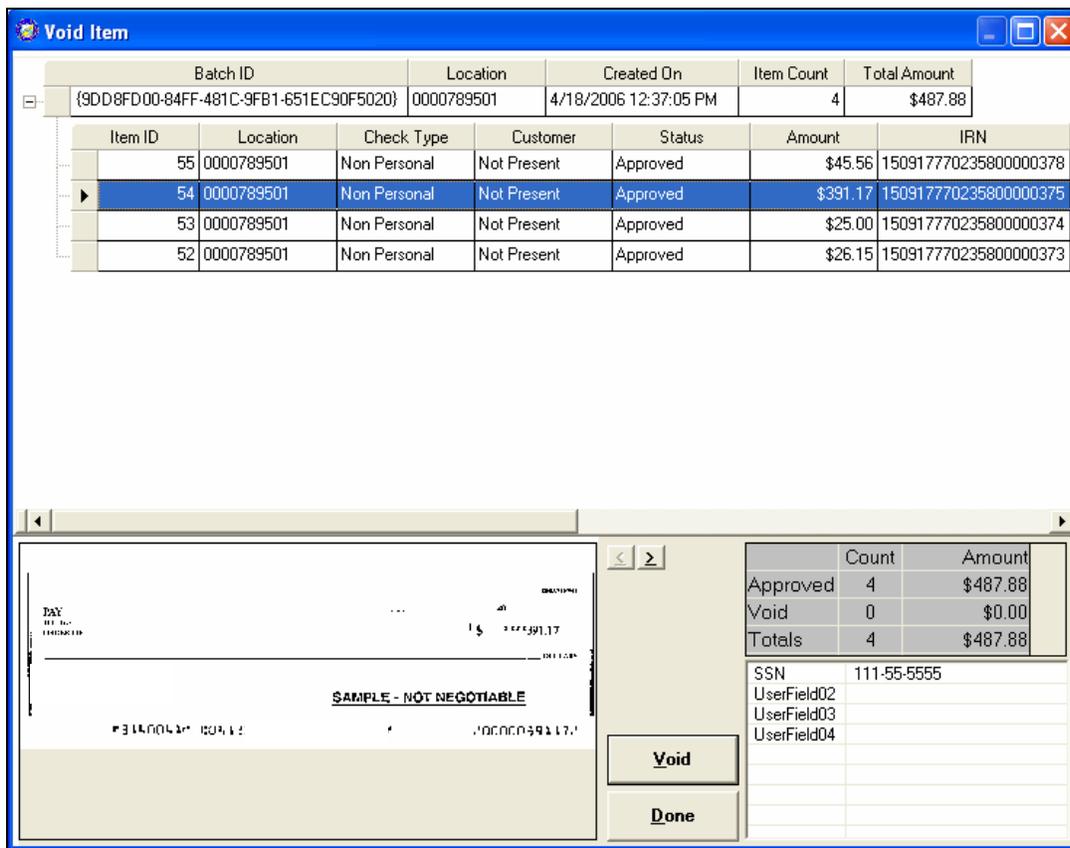


Figure 6.49

- Click to highlight the item that needs to be voided then click the **‘Void’** button at the bottom of the window. A confirmation window appears asking, ‘Are you sure?’ (Figure 6.50)

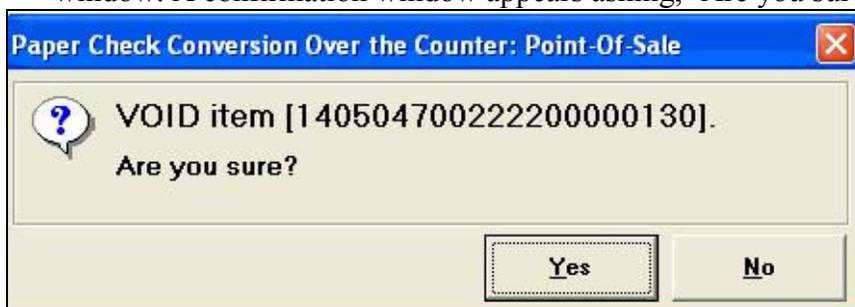


Figure 6.50

- If **‘Yes’** is selected, an authorized user’s login and password may be required to approve the void. The authorized user is prompted to enter comments regarding the void request. Key in the void comments and click the **‘Ok’** button. (Figure 6.51) The comment that is typed into the window also appears in the audit log.



Figure 6.51

5. A confirmation window appears stating the 'Void' process was successful. (Figure 6.52)

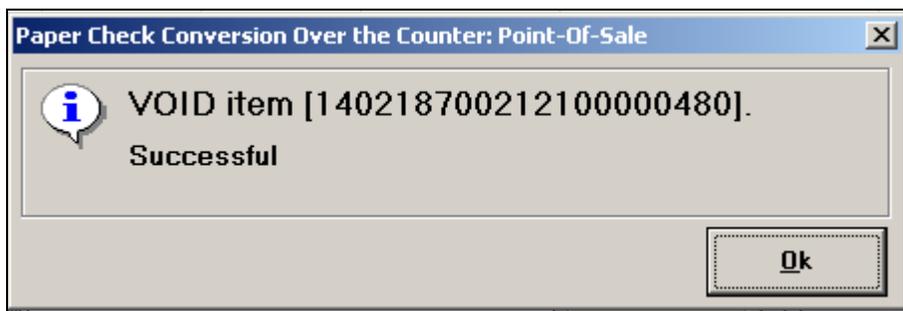


Figure 6.52

Once the item is voided it continues to be displayed in both the Batch list and Batch close screens marked with a status 'Void' (Figure 6.53) until that batch has been closed and transmitted. If funds have already been given to a customer, the funds must be returned to the operator when a check is voided. The operator must stamp or write on the physical check with 'VOID: Non-negotiated item'. The operator can return the check to the person.

6. Click '**OK**'. The screen returns to the Void Item window. When finished voiding all items, click '**Done**' to return to the Main POS screen.

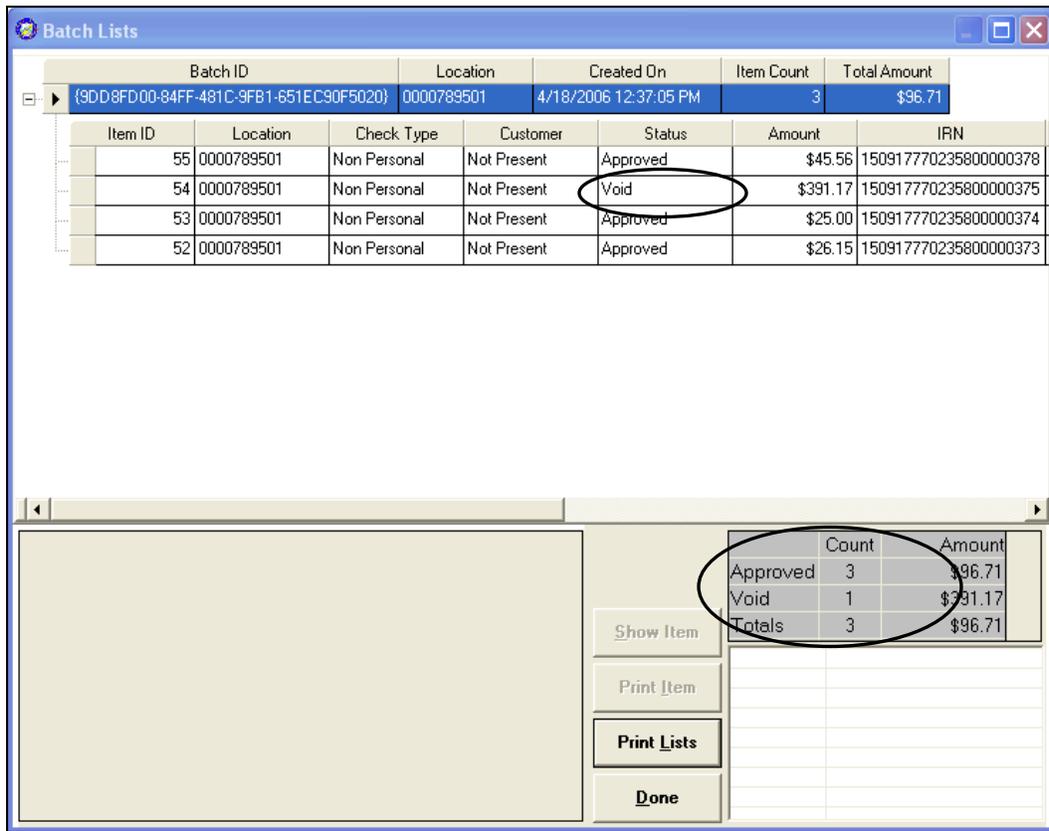


Figure 6.53

Alternate Flow:

Going back to step 5 in the void item process, if 'No' is selected at the 'Are you sure?' prompt to void the item, the window closes and returns to the 'Void Item' window.

When finished, click '**Done**' to close the Void window and return to the Main POS screen.

Voiding a check results in an event noted in the activity log, indicating that a particular check has been voided. Voided items are not transmitted to the Central Image Retrieval Archive (CIRA) for long-term storage. Only approved items are transmitted.

How to View & Print a Batch List and Batch Items

A Batch List consists of all transactions that have been processed by the POS, but not yet sent to ELVIS for processing. The printing of a batch list is part of the batch close procedure. During Batch close, the system prompts to make certain that the user acknowledges the printout of the batch list, but it cannot force the user to print the batch. Be aware that a batch list printout is no longer an available option once the batch has been closed. The batch close process collects the information for all transactions and transmits them to ELVIS for processing. The batch list must be printed prior to or during the Batch Close process.

To view a current 'Batch List' click the '**Batch List**' button from the Main POS Window. To view all items within the batch, click the '+' button (circled) on the left side of the screen to expand the view as displayed in Figure 6.55).

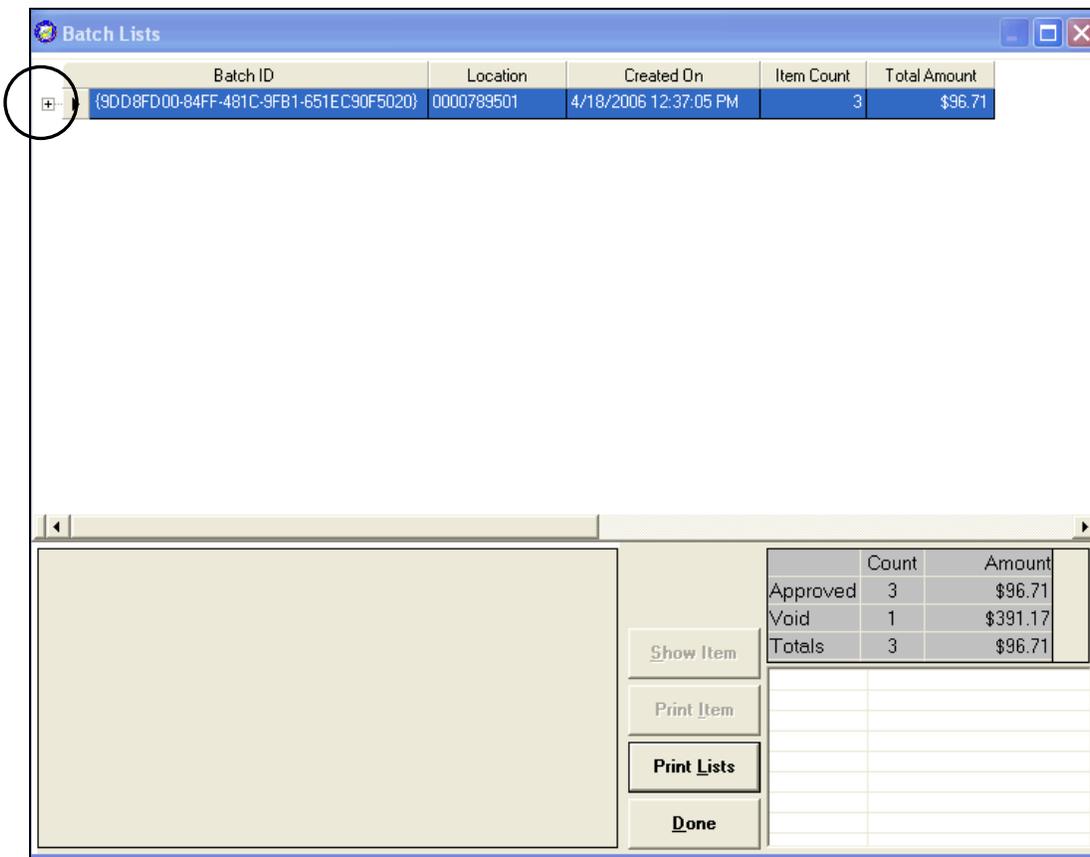


Figure 6.54

The Batch list allows a user to scroll through and view each item by clicking to highlight the item. (Figure 6.55) An authorized user may view the batch list at any time prior to Batch close.

Note: *If changes need to be made to the dollar amount or any of the configurable fields, this can be done using Batch Manager prior to transmitting the batch. For more information, please see the Batch Manager chapter of this User Manual.*

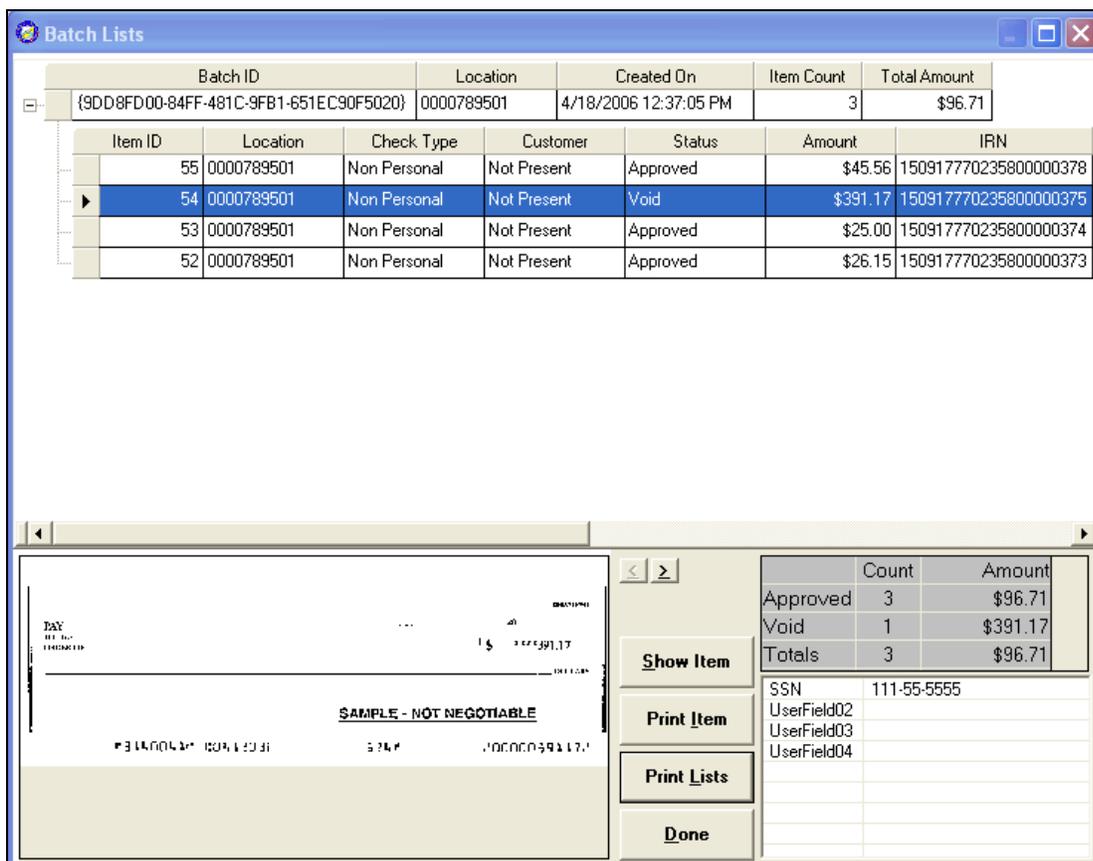


Figure 6.55

Note: *When the Back Office processing method is used on the data entry screen, the item displays 'Back Office' in the 'Customer' column on the Batch List (Figure 6.55.1)*

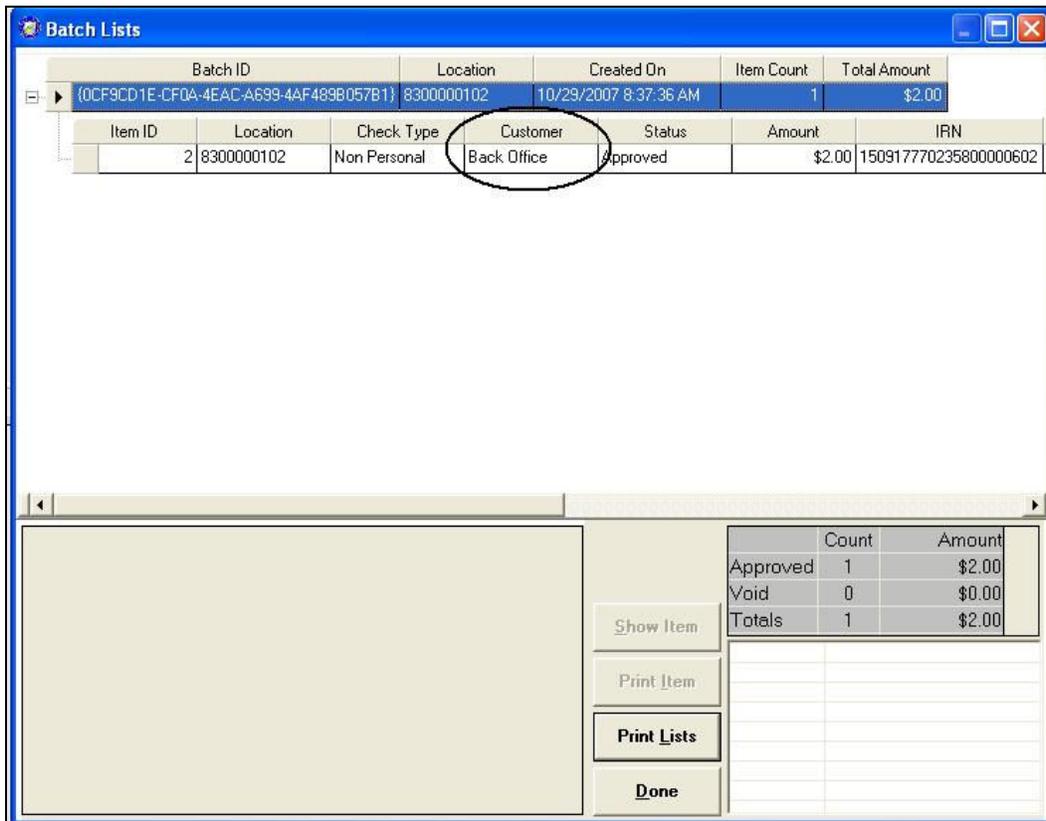


Figure 6.55.1

Columns within the batch list can be sorted by clicking the preferred column heading. Sorting by the IRN places the items in the order they were input. When the column heading is clicked, an up arrow appears in the column (Figure 6.56) indicating the sort is ascending. Clicking again changes the arrow to the down position which indicates that the sort order is descending (Figure 6.57).

Amount	15
\$25.00	15
\$26.15	15
\$45.56	15
\$391.17	15

Figure 6.56

Amount	15
\$391.17	15
\$45.56	15
\$26.15	15
\$25.00	15

Figure 6.57

At the bottom of the Batch List screen is a summary box just to the right of the check image. This box contains the following information:

- Approved – The number and dollar amount of successful check transactions within the batch.
- Void – The number and dollar amount of voided items within the batch.
- Totals – Total ‘approved’ count and dollar amount.

Users can print a selected item by clicking on the ‘Print Item’ button or the entire list of items in the batch by clicking on the ‘Print Lists’ button.

To print an item, click to highlight the item, then click the **'Print Item'** button. A preview window appears which allows the user to view, zoom, page scroll, search text, and print the item using the buttons at the top of the page (Figure 6.58).

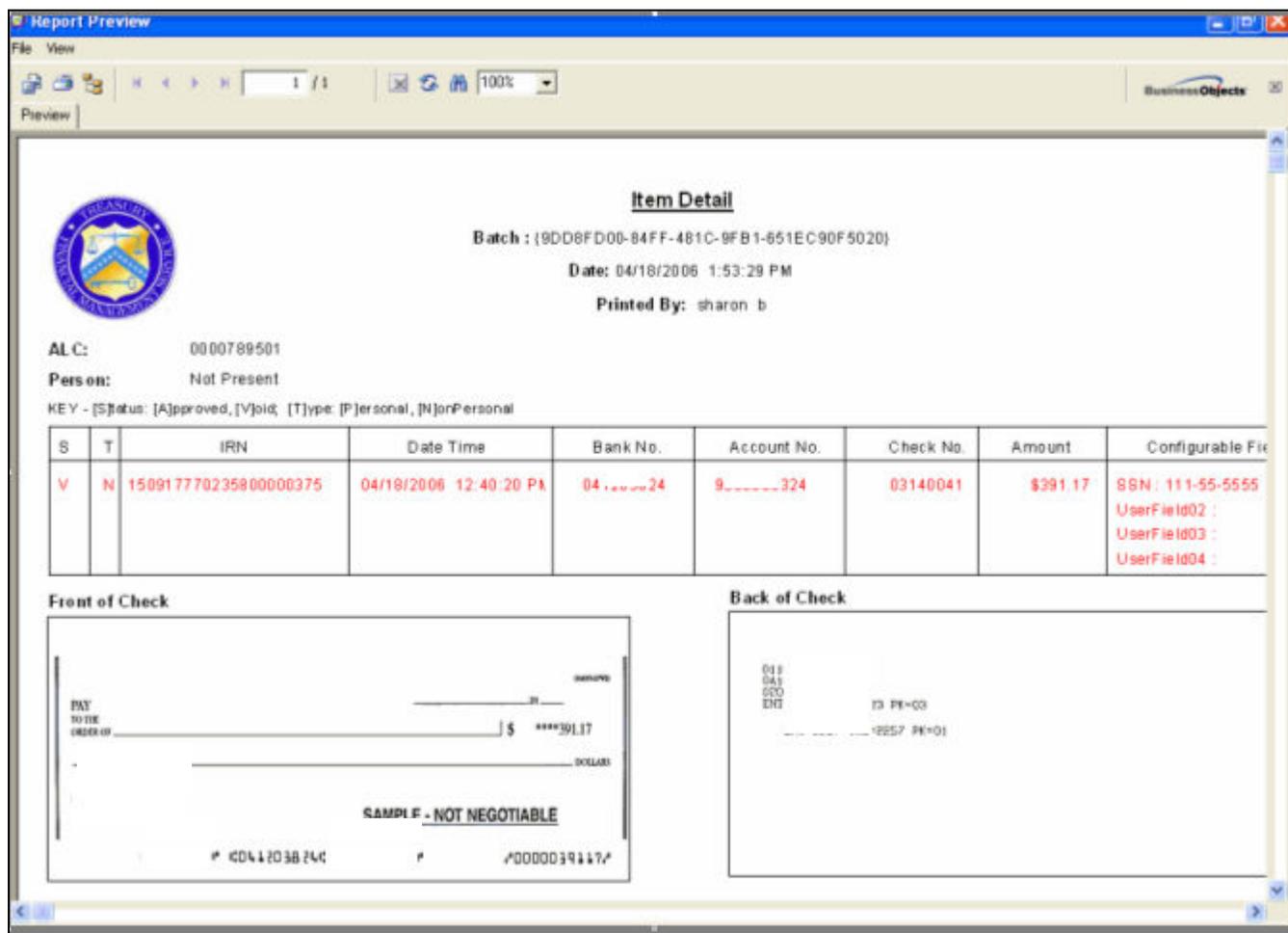


Figure 6.58

To print the item, select the printer icon  at the top left corner. Once complete, the application returns to the 'Batch List' window.

To print the Batch List click **'Print Lists'** button from the Batch List window. A preview window appears which allows the user to view, zoom, page scroll, search text, or print the Batch List using the buttons at the top of the page. (Figure 6.59)

Batch List

Batch : {CD40AD93-0676-4A9C-9DCB-D322CE8E3870}

Date: 12/6/2006 3:16:33PM

Printed By: sharon b

ALC: 0000789501

Person: Not Present

KEY - [S]tatus: [A]pproved, [V]oid; [T]ype: [P]ersonal, [N]onPersonal

S	T	IRN	Date Time	Bank No.	Account No.	Check No.	Amount	Configurable Fields
V	N	150917770235800000506	12/6/2006 2:29:15PM	04-----4	75___9	7596	\$25.00	
Sub Total:			Count:	0	Amount:	\$0.00		

Person: Present

KEY - [S]tatus: [A]pproved, [V]oid; [T]ype: [P]ersonal, [N]onPersonal

S	T	IRN	Date Time	Bank No.	Account No.	Check No.	Amount	Configurable Fields
A	N	150917770235800000504	12/6/2006 2:25:47PM	041-----1	91___34	933186	\$25.00	
A	N	150917770235800000503	12/6/2006 2:25:40PM	041-----4	96___5	016948639	\$400.00	
Sub Total:			Count:	2	Amount:	\$425.00		
ALC Total:			Count:	2	Amount:	\$425.00		
Grand Total:			Count:	2	Amount:	\$425.00		

Figure 6.59

Batches consist of only **one POS operator**, but may contain more than one ALC+2 and processing mode. ALC+2's are separated on the batch list. A total count and dollar amount appears on the bottom of the last page of the batch list. Voided items are also listed separately.

Note: Amounts over 1 million are displayed as hash totals (#####) See Figure 6.59.1. The correct totals are displayed if the batch list is exported. For details on how to export the batch list, please see the 'Export the Batch List' section of this chapter.

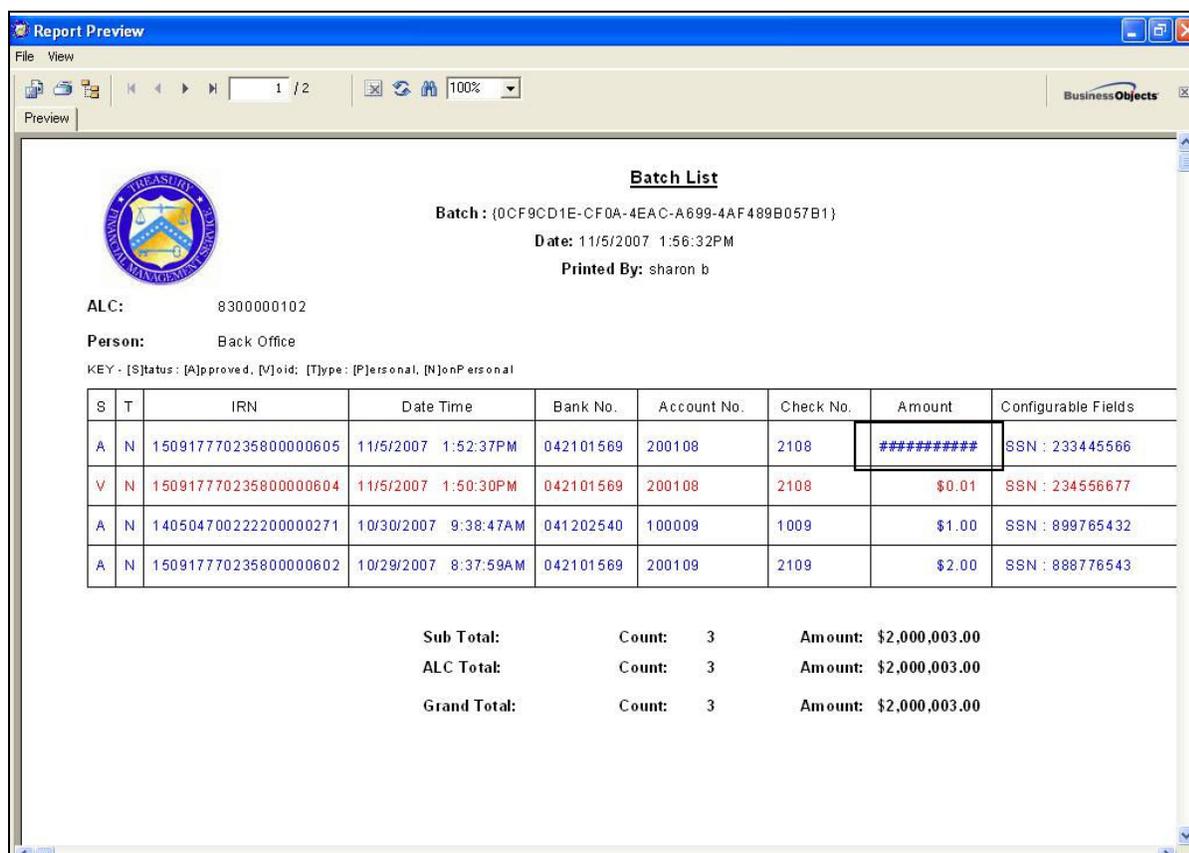


Figure 6.59.1

To print the 'Batch List', select the printer icon  at the top left corner. Once complete, the application returns to the 'Batch List' window.

Click **'Done'** when finished.

Refer to *Appendix A – Sample Reports*, for more information on Batch List.

Export the Batch List

- The batch list can be exported to a folder on the hard drive, the LAN or to an external device such as a jump drive. To export the batch list, click on the 'export' icon  from the upper left of the Batch List Report Preview Screen. The following window appears (Figure 6.59.2).



Figure 6.59.2

2. Click the down arrow in the 'format' field and choose a format. Examples include .pdf, xls, rtf. Leave the 'Destination' field as 'Disk file' and click 'OK'.
3. Choose a page range of one or more pages, or click 'All' for all pages, then click 'OK'.
4. Click the down arrow in the 'Save in' field and navigate to either the folder or the drive specification where you wish to save the file.
5. Type a file name in the 'File Name' field and click 'Save'. The file can now be opened in the appropriate application. Below is an example of a batch list report saved as a .pdf (Figure 6.59.3).

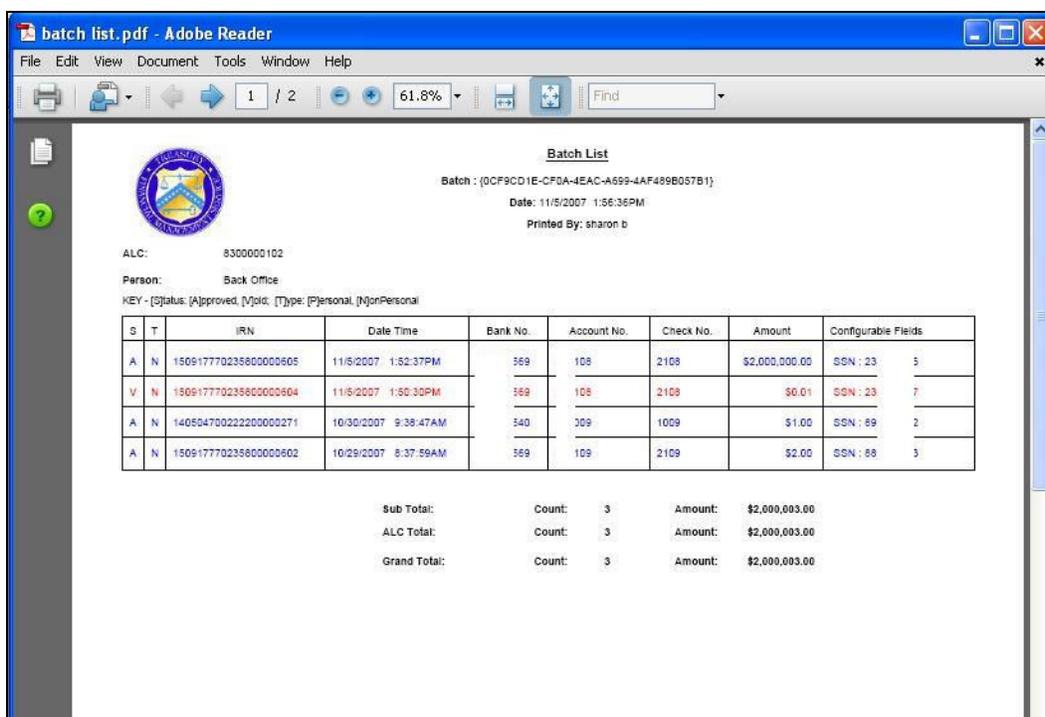


Figure 6.59.3

Batch Close

Very Important Note: THE OPERATOR MUST BALANCE BEFORE CLOSING A BATCH. Balance to the list of transactions accepted for the day or since the last batch was closed. Each Agency has a variety of transactions. We strongly recommend reconciling against the source documents if transactions are payments. If the transactions are check cashing, balance the cash before the batch is closed.

The Batch Close process should be performed at either the end of a day, shift, or whenever a location desires. Operators must balance their activity using the batch list before closing and transmitting their batch.

Closing a batch transmits checks to ELVIS for archiving and begin the electronic processing. Only items that properly reflect processed transactions should be transmitted.

Note: When an operator closes and transmits a batch, only the batch owned by that operator is closed and transmitted. Each operator is responsible to close and transmit their own batch(es). If an operator should be called away prior to closing their batch, an authorized person can close that batch using the Batch Manager module. For more information, refer to the Batch Manager chapter of this User Manual.

To Perform a Batch Close:

1. Click the 'Batch Close' button from the Main POS Window.

Note: If an operator logs out of the POS prior to closing their batch, they are prompted with the following message upon logout (Figure 6.60).

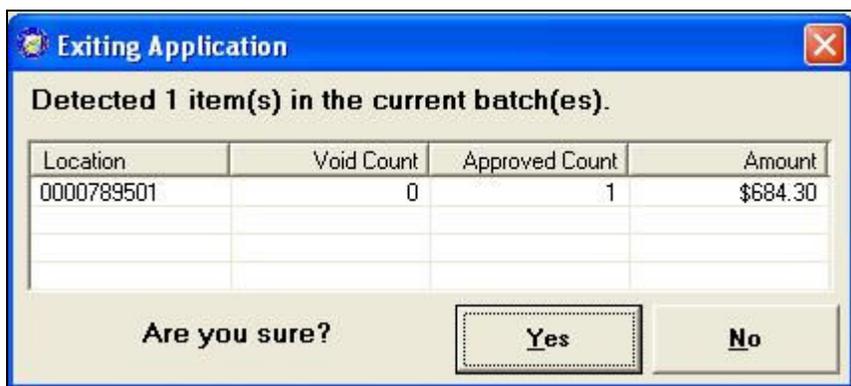


Figure 6.60

On the operator's next sign in they are prompted with the following message (Figure 6.61) whenever there are open items.

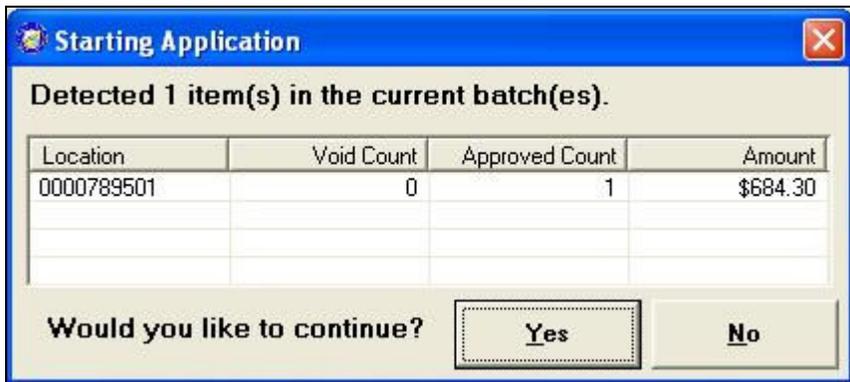


Figure6.61

The user can click 'Yes' to continue with the batch and scan more items. Clicking 'No' allows the user to close the batch. A prompt asks the user if they wish to close the batch. Click 'OK' to begin the batch close process.

2. A 'Batch List' window appears (Figure 6.62). Click the '+' button to show all of the items that have been scanned into the POS computer for that batch (Figure 6.63). Clicking on each item in the upper window displays that item's image in the lower left portion of the window. The lower right side of the window displays the item count and dollar amount of the approved and voided items as well as total count and dollar amounts.

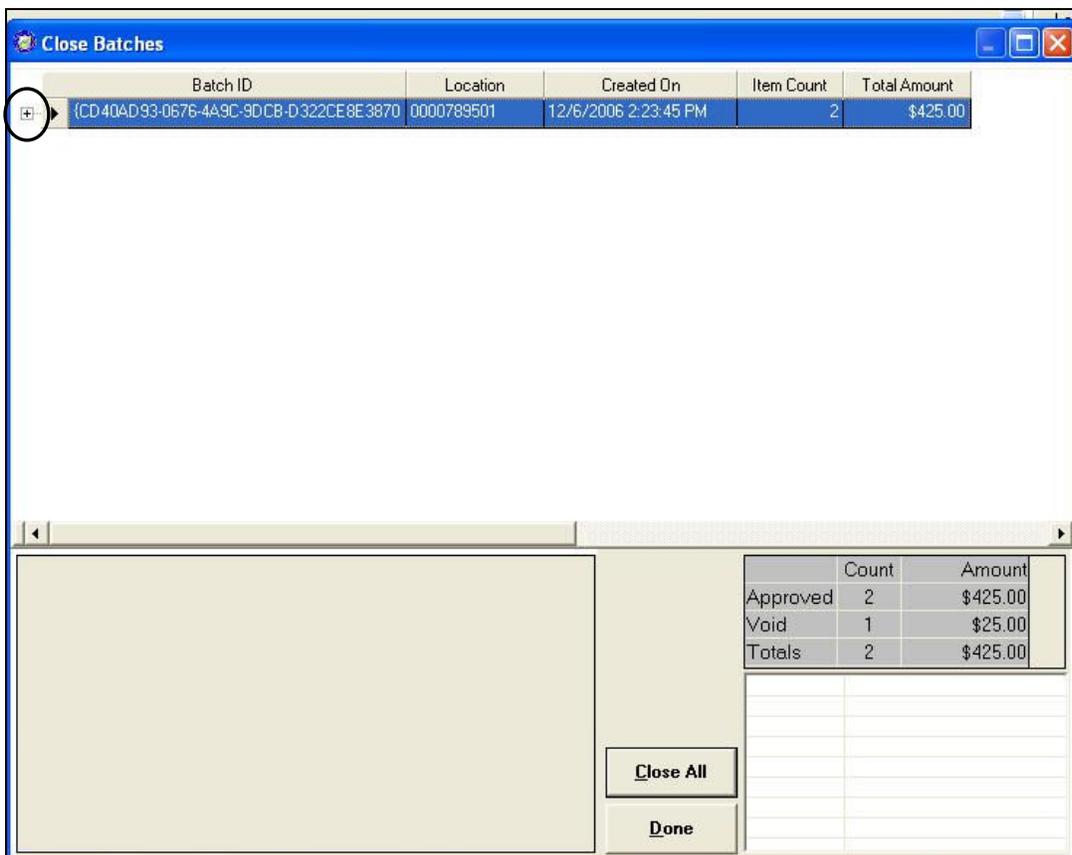


Figure6.62

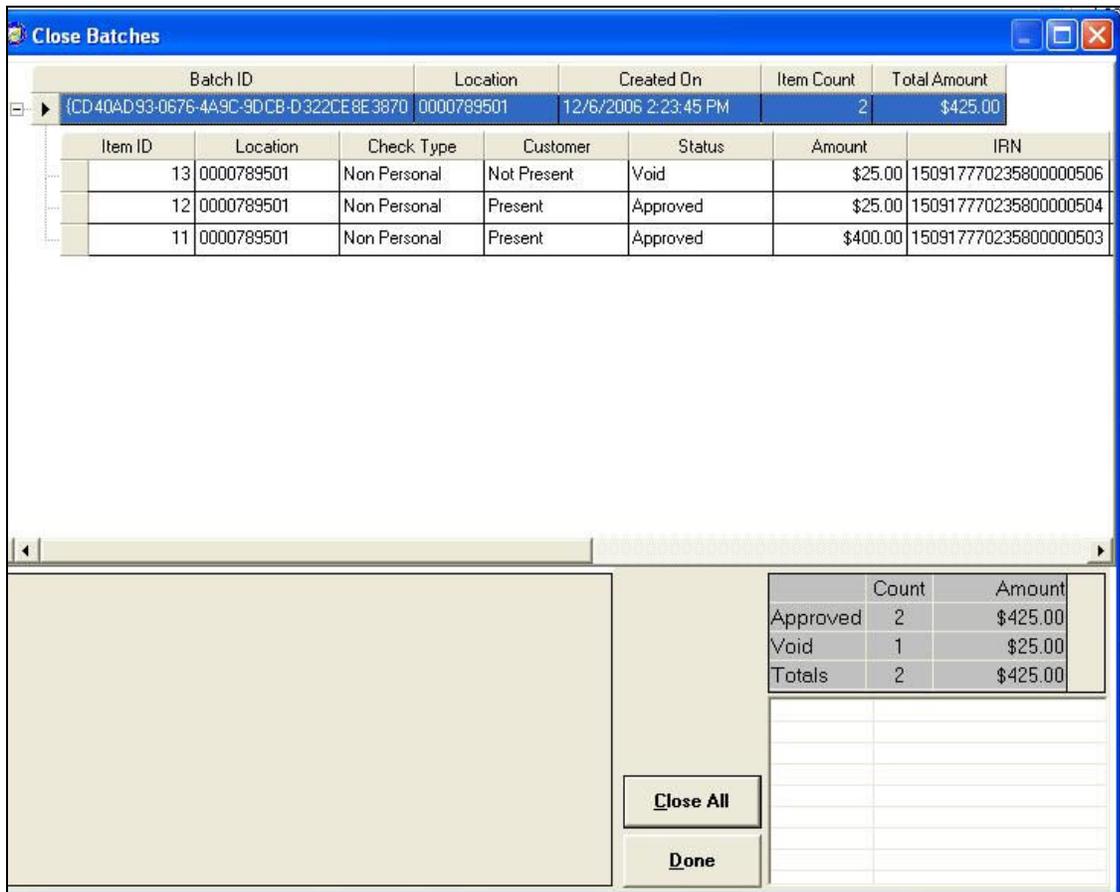


Figure 6.63

3. Click the **'Close All'** button at the bottom of the window to close the batch. The following prompt appears: (Figure 6.64). The count in the window does not include the voided item.

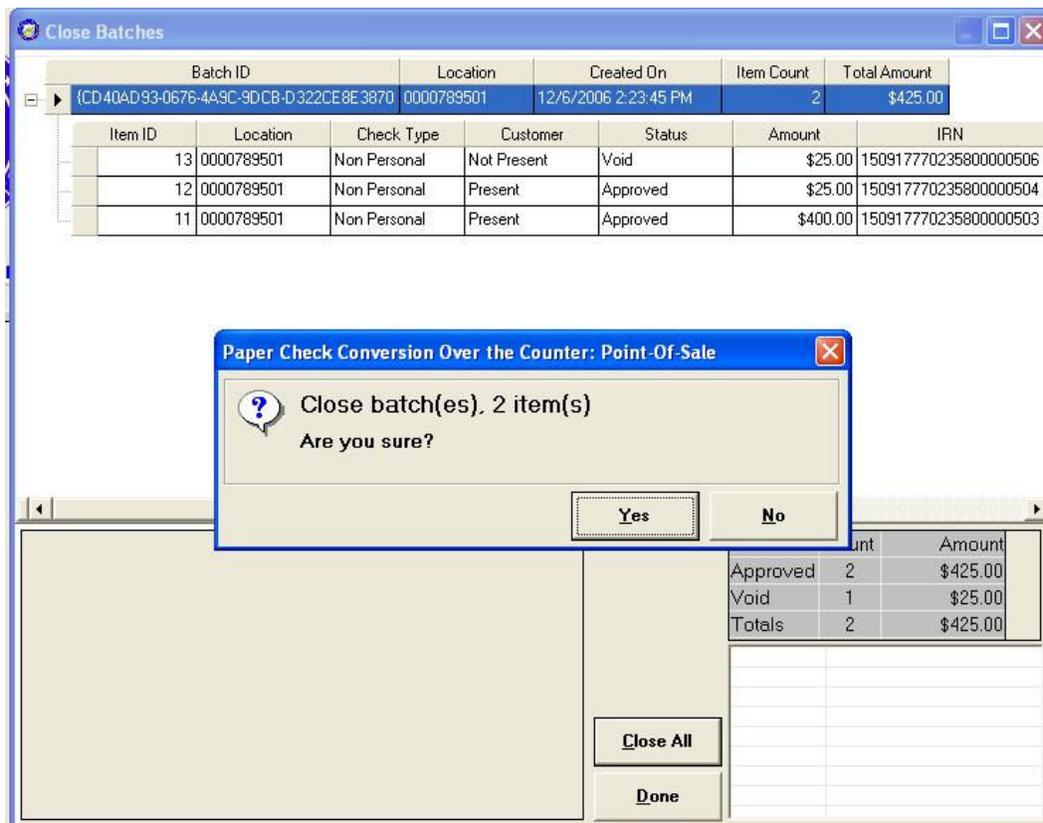


Figure 6.64

4. Clicking 'No' returns the screen to the batch list window.
5. Clicking 'Yes' may return a Batch Control window if the configuration settings are set to balance the batch at batch close. (Figure 6.65) If so, key in the Batch Control Total and Batch Control Count and click the 'OK' button. If a discrepancy is encountered, please refer to the 'Batch Balancing Screen' section earlier in this chapter.

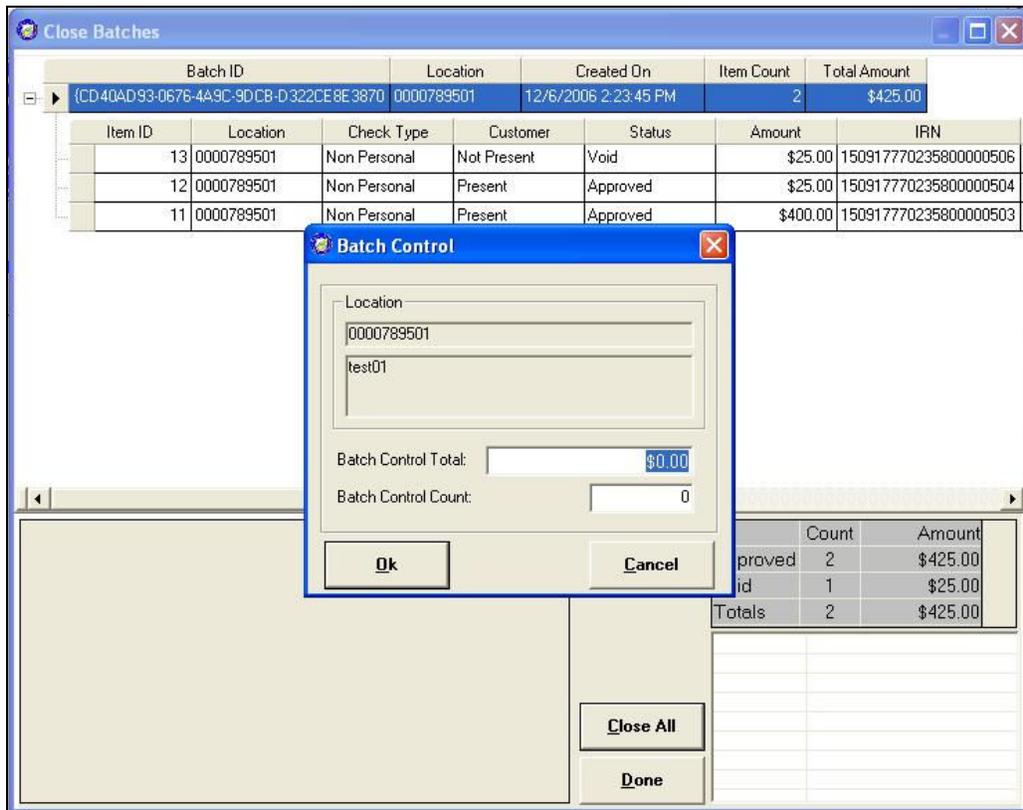


Figure 6.65

6. A preview window appears in which the user can view, zoom, page scroll, and print the Batch List by using the buttons at the top of the screen. (Figure 6.66). The batch list **must** be printed at this time. To print, click on the printer icon button  at the upper left of the screen, or click **'File', 'Print'** from the menu at the top of the screen. The operator can also click **'File', 'Print Setup'** to choose specific settings for the pages, or to choose an alternate printer. A 'Print' dialog window appears displaying the default printer and various other settings. Click the 'Print' button.

Batch List
 Batch : (CD40AD93-0876-4A9C-9DCB-D322CE8E3870)
 Date: 12/6/2006 3:16:33PM
 Printed By: sharon b

ALC: 0000789501
 Person: Not Present
 KEY: [S]tatus: [A]pproved, [N]oid; [T]ype: [P]ersonal, [N]onPersonal

S	T	IRN	Date Time	Bank No.	Account No.	Check No.	Amount	Configurable Fields
V	N	150917770235800000506	12/6/2006 2:29:15PM	04: 4	7010029	7586	\$25.00	

Sub Total: Count: 0 Amount: \$0.00

Person: Present
 KEY: [S]tatus: [A]pproved, [N]oid; [T]ype: [P]ersonal, [N]onPersonal

S	T	IRN	Date Time	Bank No.	Account No.	Check No.	Amount	Configurable Fields
A	N	150917770235800000504	12/6/2006 2:25:47PM	04: 4	9	4 933186	\$25.00	
A	N	150917770235800000503	12/6/2006 2:25:40PM	04: 4	9E: 5	016948639	\$400.00	

Sub Total: Count: 2 Amount: \$425.00
 ALC Total: Count: 2 Amount: \$425.00
 Grand Total: Count: 2 Amount: \$425.00

Figure 6.66

- Confirm that the Batch List was printed by clicking 'Yes' or 'No' to the prompt (Figure 6.67). If the user clicks 'No', the screen returns to the Batch Close screen. Click 'No' if the printout was not successful. Click 'Yes' to confirm. Be certain before clicking the 'Yes' button that the printout was successful and legible especially when using a network printer. Network printers may not be located in the immediate area of the POS computer and it is vitally important that the operator walks over to the network printer to review the printout for accuracy and legibility prior to confirming with 'Yes' as there is not another opportunity to obtain a printout of the Batch.

NOTE: The batch does not close unless the user acknowledges that the batch is printed. If the user responds with 'Yes' even if the batch did not print, the batch closes and there is not a printed record of the batch. If this happens, the batch list needs to be printed using Batch Manager. If the user experiences difficulty in closing the batch, please refer to the Troubleshooting section.

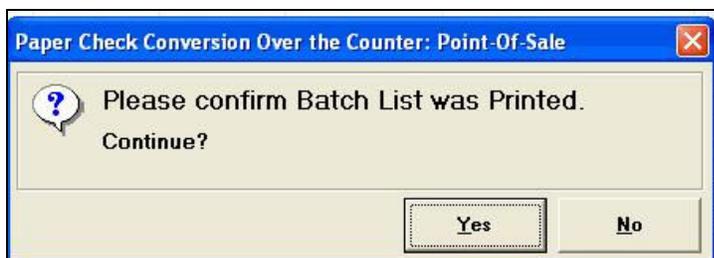


Figure 6.67

The batch is transmitted to ELVIS. (Figure 6.68 & 6.69)



Figure 6.68

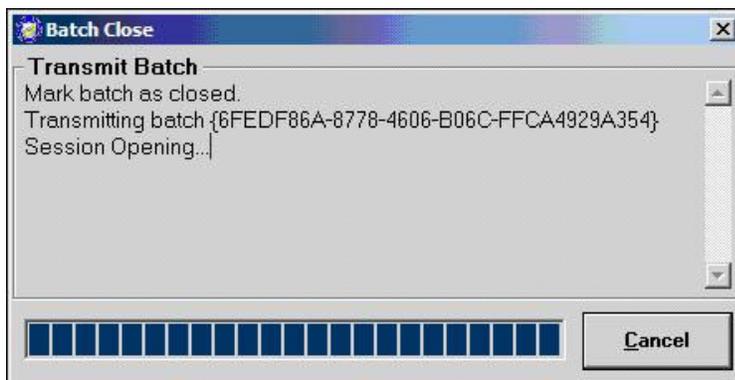


Figure 6.69

Users should be certain that they receive their 'batch acknowledgement'. The receipt of the 'Batch Acknowledgment' ensures that the batch has been successfully processed and appears on the SF215 Deposit Ticket Report. Batch Acknowledgments are displayed on the screen once the batch has been successfully transmitted. (See Figure 6.70) Batch acknowledgments are usually received during the same batch transmission but large batches may take longer to process. If the batch acknowledgment is not received, look for it to come in with the next login to the POS.

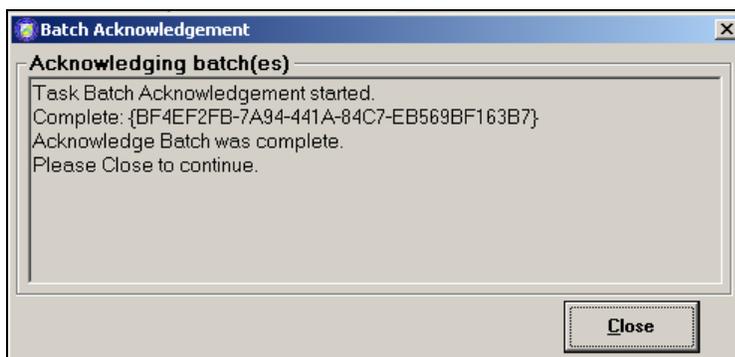


Figure 6.70

On successful completion the batch list is deleted. Click the **‘Close’** button.

If the agency utilizes the Check Verification Database, the LVD is defaulted to automatically update during the batch close process. Once a batch has been closed successfully, the current session ends and the application deletes expired LVD records and new LVD records are received. The user is prompted to login to the POS to begin a new session, or cancel to exit the POS. The Login window appears automatically.

The inability to close a batch may be due to a variety of reasons, including connectivity problems. If an error message is received, print or note the error message and refer to the *Troubleshooting* chapter of this User Manual. The error message also displays on the activity log. Click **‘Done’**.

Note: Currently, transactions received before 9:30 p.m. EST are reflected on the next day’s deposit SF215. Batches should be closed and transmitted on the same business day on which the activity occurred in order to reflect on the SF215. We recommend reviewing Batch Manager on each POS computer to check the status of created batches. If batch statuses within Batch Manager show them to be successfully transmitted, then the funds are included on the next day’s SF215 report.

Note: Checks processed after an unsuccessful ‘Batch Close’ are added to the current batch until the Batch Close process is successfully completed (provided all batches have been entered by the same operator).

Using the Yes/No Keypad

Use of the Yes/No keypad is optional. Agencies that have a large number of ‘Person (Customer) Present’ transactions may wish to utilize the keypad. The Y/N keypad enables the customer to see and confirm the amount that has been keyed into the system on the keypad. The customer can confirm the amount by pressing the ‘OK’ key on the keypad, or cancel the transaction by pressing the ‘Cancel’ button on the keypad based on the validity of the dollar amount. (See the ‘Installation and Configuration’ chapter of this User Manual for instructions on activating/deactivating the Yes/No Keypad)

For Agencies using the optional Yes/No Keypad, the customer is requested to verify the dollar amount using the Yes/No keypad. This is used only during a ‘Person (Customer) Present’ transaction in Single check mode. After the check is scanned and check information is entered, the application bar on the bottom of the POS screen indicates that customer validation is needed as circled in Figure 6.71. The dollar amount of the transaction appears on the keypad’s screen for the customer to verify.

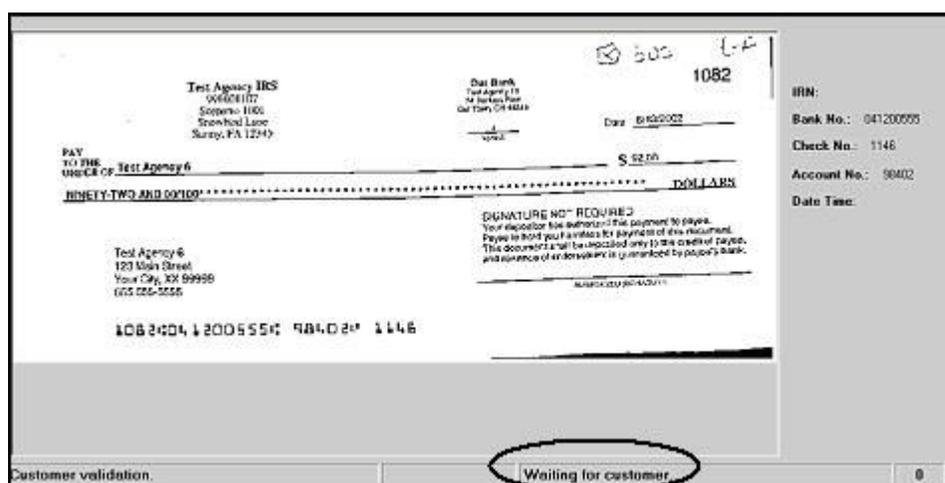


Figure 6.71

If the dollar amount is correct, the customer should be advised to press the green button marked ‘OK’ on the keypad. The following message appears: (Figure 6.72)



Figure 6.72

Click the ‘OK’ button in the POS window displayed above.

If using an EC5000 or EC6000 scanner, the bottom of the screen displays, “Scan back of check”. Reinsert the check into the scanner with the back of the check up. Once the back has been scanned the POS screen displays the message, ‘Complete’, then ‘Please press enter to begin’. The system is ready for the next transaction.

If using an EC7000 scanner, the bottom of the POS screen displays the message, ‘Complete’, then ‘Please press enter to begin’. The system is ready for the next transaction.

If the dollar amount is incorrect, the customer should press the red ‘**Cancel**’ button on the keypad. The following message appears on the POS screen (Figure 6.73)



Figure 6.73

Click the ‘**OK**’ button in the POS window displayed above. The bottom of the POS screen displays the message, ‘Complete’, then ‘Please press enter to begin’. The system is ready for the next transaction.

If the customer takes too long to respond the following message appears: (Figure 6.74)

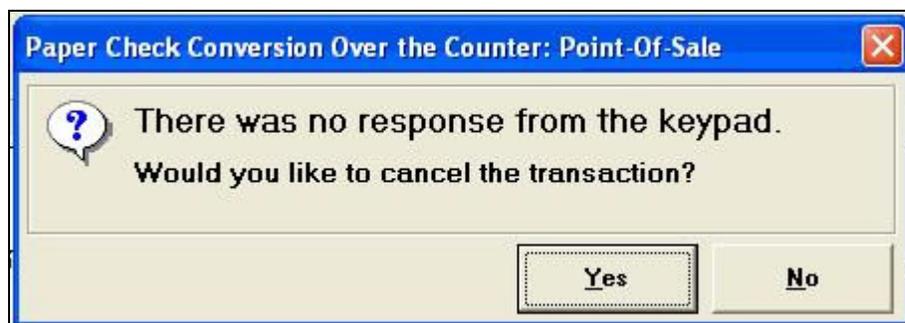


Figure 6.74

Click ‘**No**’ to proceed, and give the customer more time to take action, or ‘**Yes**’ to cancel the transaction. The screen returns with the message, “Please press enter to begin” and another check can be scanned

Note: The ‘**OK**’ and ‘**Cancel**’ buttons are the only two buttons on the Yes/No keypad that are enabled by the POS application.

Check Verification Process

If an Agency uses the LVD, there are three types of messages that can be received at the POS if an item has been identified as a red flag item, i.e., item has been blocked, suspended, or denied.

A blocked record is typically created by placing a manual block on the record (An 'Account Closed' is a blocked record. See Appendix B for a complete list of return codes). An authorized person at the Agency can block a record for various reasons. One example would be to block an account number that is known to be bad. The blocked message is displayed if the item matches all data as it was input on the blocked record. If the block record is only input with the routing transit number and account number, then that record is only flagged if the data matches. If the block record was input with only configurable field 1 data, then only configurable field 1 must match for the record. If the block record input both pieces of information, then it must match all combinations, i.e., routing transit and account along with configurable field 1.

The suspend or deny message is displayed if the item scanned matches the LVD information. This is either the match of the combination of both the routing number and account number, or a match against the configurable field 1 data.

Each location that uses the LVD sets their policies to use certain return codes with a defined number of days within the suspension period. During that pre-determined period if the check writer attempts to cash a check, a suspended message appears on the POS screen. A typical check cashing policy may mandate that the check writer is suspended for 30 days upon their first offense and 60 days upon their second offense. During the suspension period, they cannot cash a check at that location.

A denied item occurs when the check writer has exceeded all suspension periods. A typical suspension policy may specify that the check writer is suspended as referenced in the paragraph above.

Note: The check cashing policies described above are only examples. Check cashing policies are set up according to each Agency's requirements. To request a report of how the Agency's check cashing policy has been setup, see the 'Location Check Cashing Policy Report' section of the ELVIS chapter of this User Manual.

Also

For a more detailed description of the LVD, the MVD, and the Location Check Cashing Policy, please refer to the 'What is PCC OTC' section of the ELVIS chapter of this User Manual.

Blocked Item

If an agency utilizes the optional check verification database (LVD/MVD), the operator receives notification if there is a problem on the account or with the agency's specified verification field upon scanning the check. If the presented check is drawn on an account or verification field that has been identified as a red flag, the operator receives the following message: (Figure 6.75)

Current Item	
SSN	xxxxx3333
Bank Number	041200555
Account Number	98809

Problem Item	
IRN	BLOCK-13053
Until Date	9/9/2099 11:59:59 PM
Capture Date	6/21/2005
Amount	\$0.00
Reason	[None]
Comments	[None]
Location	0000789501
Description	Agency 8 for SAT Test

Buttons: **Print** **Override** **Close**

Figure 6.75

An authorized person at the location can override a blocked message by clicking the **'Override'** button, if the transaction is able to be overridden. *(Note: When an override of a blocked item is performed in the POS, the override is a temporary, one-time event. The item remains blocked in the MVD/LVD unless an authorized person clears the item out of the MVD and the site performs a new LVD download).* The authorized person can access ELVIS as discussed in the MVD section of the ELVIS Interface chapter to research the history of the related account. If the user is not authorized to perform an override, the following message appears. (Figure 6.76)



Figure 6.76

As part of the override process, the approving party needs to add a comment as to why the check was approved for processing (Figure 6.77). The comment that is keyed into the comment field appears in the audit log.



Figure 6.77

The authorized person then receives a message that the blocked check was successfully overridden as shown below (Figure 6.78).



Figure 6.78

Suspend Item

If the agency and or location utilize the check verification database, the operator receives notification if there has been negative return(s) received previously on either the account or the agency’s specified verification field. Based upon the location’s policy, the number of returns impacts the suspension period. If the presented check is drawn on an account or verification field that has negative return items, the operator receives the following message on the POS screen: (Figure 6.79)

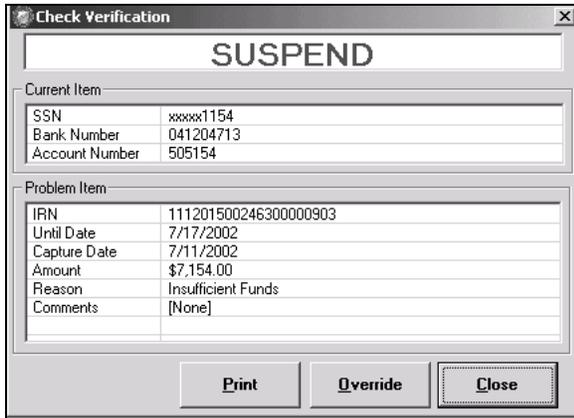


Figure 6.79

To determine where the return originated, the operator requires assistance from an authorized user who has researching access to the MVD in ELVIS (i.e. research the site where the return originated known as the Master Verification Database).

An authorized person at the location can override a suspend message by clicking the ‘**Override**’ button on the POS screen. The authorized person can access the MVD as discussed in *MVD* section of the *ELVIS Interface* chapter to research the history of the related account. If the user is not authorized to perform an override, the following message appears. (Figure 6.80)



Figure 6.80

As part of the override process, the approving party needs to add a comment as to why the check was approved for processing (Figure 6.81). The comment that is typed into the comment field appears in the audit log.



Figure 6.81

The authorized person then receives a message that the blocked check was successfully overridden.

Deny Item

If the agency or location utilizes the check verification database, the operator receives notification if the number of allowable negative returns has been exceeded or if a negative return on a closed account has been received. Based upon the location's policy, the number of allowable negative returns impacts how rapidly an account moves to a deny status and becomes a dynamic record. A dynamic record is defined as items whose trade status and deny date are calculated by the system. This is done by applying the location's policy to appropriate return items. If the trade status of a dynamic record is changed manually (from D-Denied, D-Suspend to Denied, Suspend, or Clear), the record is no longer dynamic. The changed record maintains the manually assigned status with assigned date, and no longer reflects any other location's policy.

If the presented check is drawn on an account or verification field that has exceeded the allowable negative return policy, the operator receives the following message: (Figure 6.82)

Current Item	
Social Security N...	xxxxx3333
Bank Number	042101569
Account Number	200108

Problem Item	
IRN	150917770246100001915
Until Date	9/9/2099 11:59:59 PM
MVD Date	5/29/2007
Amount	\$1,133.00
Reason	- Insufficient Funds
Comments	[None]
Location	0000789502
Description	Test Agency 5 change description

Figure 6.824

An authorized person at the location can override the deny message, except for instances where the account has been closed, by clicking the **'Override'** button. The authorized person can access ELVIS as discussed in *MVD* section of the *ELVIS Interface* chapter to research the history of the related account. An account is tracked by the agency's first required configurable field.

If the user is not authorized to perform an override, the following message appears (Figure 6.83)



Figure 6.83

As part of the override process the approving party needs to add a comment as to why the check was approved for processing. (Figure 6.84) The comment typed into the comment field appears in the audit log.

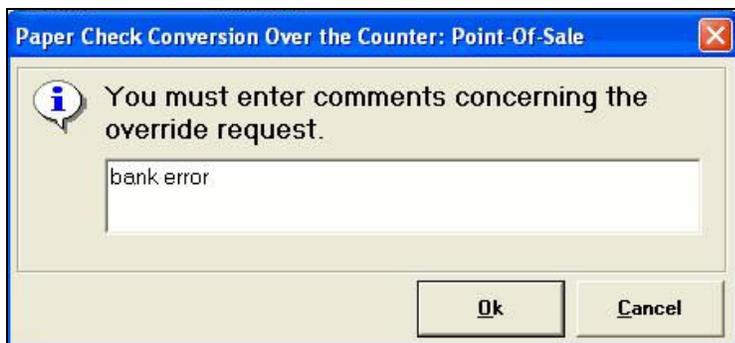


Figure 6.84

The authorized person then receives a message that the blocked check was successfully overridden as in Figure 6.85 below.

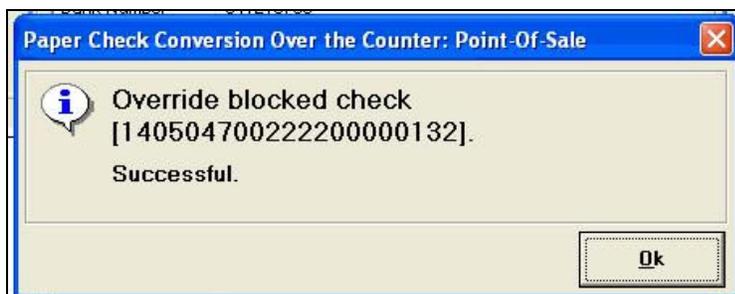


Figure 6.85

POS System Activity Log

The activity log is a listing of all actions, including transactions performed on the POS application (Figure 6.86). The log reflects all user logons, log offs, checks processed with their unique ID, and annotates voided and cancelled checks. The activity log also shows when a batch has been successfully closed. A sample activity log is found in *Appendix A*. An authorized user may view the log at any time.

Click **‘View Log’** from the main POS screen. When viewing the activity log, select the appropriate event types and modules, or all settings should be checked to view all system activity. Enter the desired date range to view the log.

Similar to the SAT log, the POS System Activity Logging consists of several sections. The numbers below correspond with the numbers in Figure 6.68

- 1.) Date Range – click the down arrow to choose a ‘from’ and ‘to’ date from the calendar.
- 2.) Event types – click to check or uncheck the boxes to indicate the types of events to be viewed such as ‘Information’, ‘Warning’, or ‘Errors’.
- 3.) Modules – click to check or uncheck the boxes to indicate the types of modules to be viewed. Some examples include WRK which contains information on updates to the POS and batch uploads; LID – includes information related to batch activity; LVD – includes information related to the Local Verification Database. The module field uses a scroll bar to the far right of the field to quickly move through the choices.
- 4.) Listing – an event listing of selected modules by date which includes the description of the event. Column headings within the listing section can be sorted in ascending or descending order by clicking on the heading. Click once and an ascending arrow appears in the right corner of the heading. All entries beneath the heading are sorted in ascending order. Click again and the arrow changes to descending. All entries beneath the heading are sorted in descending order. The scroll bar to the far right of the listing can also be used to quickly move through the listing.
- 5.) Details – a window that provides further details about a particular listing. The scroll bar to the far right of the detail section can be used to quickly move through the details.
- 6.) Number of Records – a window that displays the number of records that have been retrieved based on the user’s choices at the top of the screen.

Refresh Button – reorders the log so the selected item is at the top of the viewing window.

Export Button – allows for export of the log in a .csv (comma separated value) format which can be opened in most spreadsheet programs, or text editors such as Windows Wordpad. If an Agency is experiencing problems, the Treasury OTC Support Center may request a printout or export of the log for diagnostic purposes.

Print Button – allows the ability to print the activity log.

Close Button – Closes the Activity Log window and returns the user to the Main POS screen.

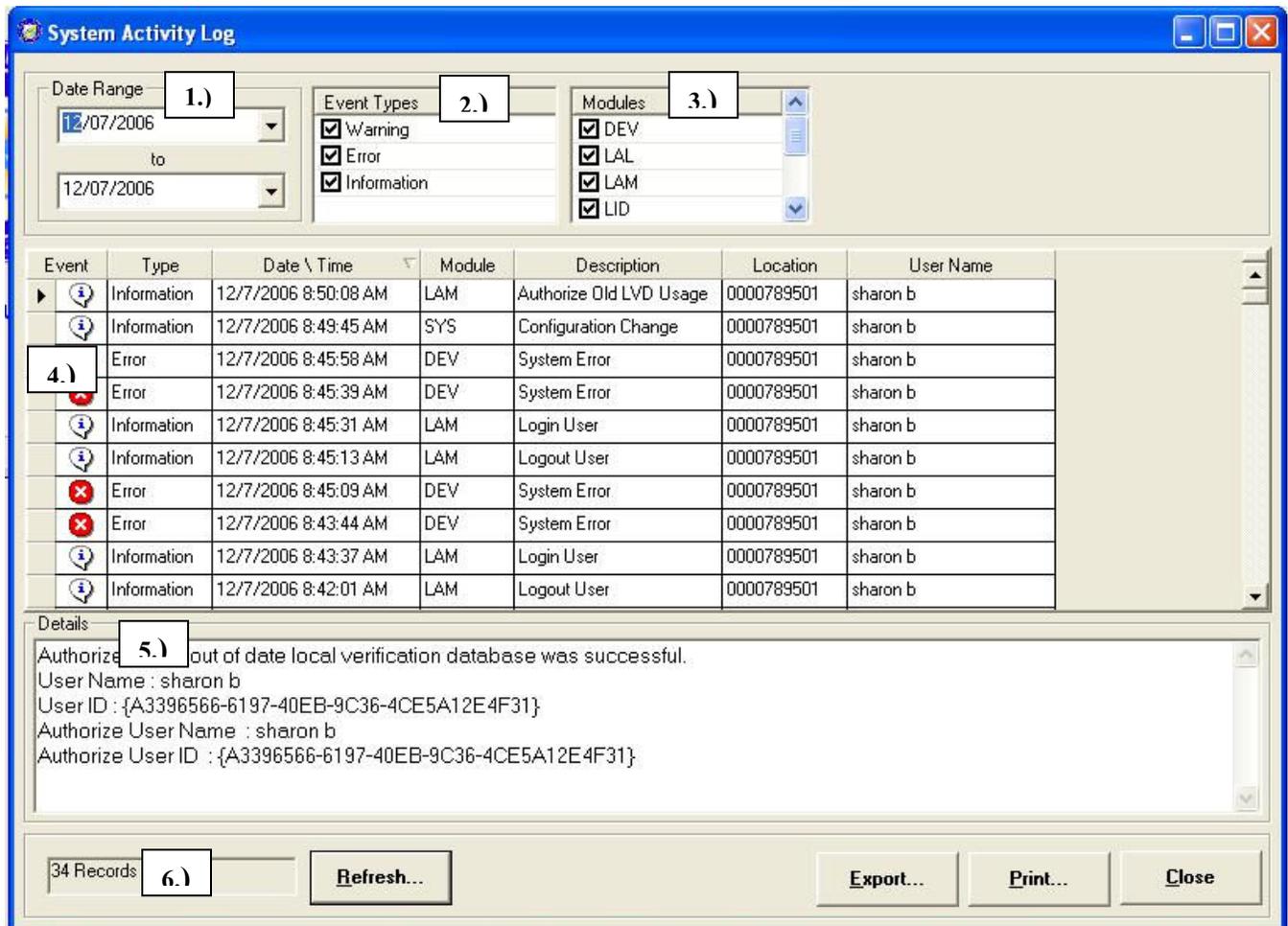


Figure 6.86

A user may print this log for various reasons. The activity log should be printed prior to new installation and on a monthly basis or as required by the agency.

To view information about an event, highlight the desired event. A detailed description of the selected event displays in the detail section (scroll down). The log should be printed prior to a new installation. It is also recommended that the log be printed each month or however often the Agency requires. Information contained in the activity log may be useful in recovery after a hardware/software failure.

To print the Activity Log:

1. Select the event types and modules desired.
2. Enter the date range.
3. Click the **'Print'** button. A report preview is generated and displayed on the screen.
4. Click the printer icon button to print.

To export the Activity Log:

1. Select the event types and modules desired.
2. Enter the date range.
3. Click the ‘Export’ button.
4. Name and save the file on the hard drive. The file is saved in a .csv format which can be opened in most spreadsheet software. This file can be sent to the Treasury OTC Support Center via email at FMS.OTCChannel@citi.com.

Note: When the audit log is exported, the date/time column may not display correctly, as pictured below in Figure 6.86.1. To correct the problem, adjust the column width in order to view all of the data (see Figure 6.86.2). Columns may also need to be formatted as general text fields for data to appear correctly. Consult your spreadsheet documentation for complete instruction.

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

Figure 6.86.1

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

Figure 6.86.2

Logging out of the POS Application

To log out of the application, select **'File'** from the menu at the top of the main POS screen.

Select **'Logout'**. The login box appears. This enables another user to logon without exiting the application completely. If a operator logs out of the application without closing a batch, the operator is reminded that the batch is still open prior to exiting the system (Figure 6.87).

Note: Since batches are user specific, a new user is unaware that the previous user's batches have not been closed and transmitted. Because of this, the Batch Manager module should be accessed frequently during the course of the business day. Batch Manager should definitely be accessed at the end of the day by an authorized user to check the status of all batches, and to make certain that they have been transmitted.

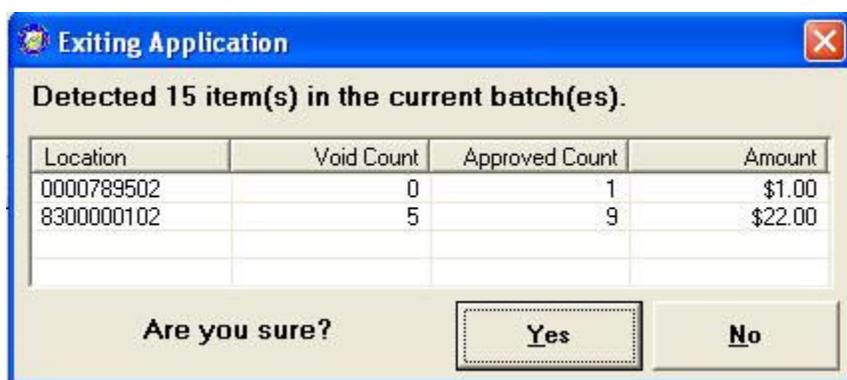


Figure 6.87

Exiting the POS Application

To exit the application:

Select **'File'** from the menu at the top of the screen.

Select **'Exit'**. The user exits the application and return to the computer's desktop.

If an operator exits the application without closing a batch, the operator is reminded that the batch is still open (Figure 6.87). Clicking **'Yes'** allows the operator to exit anyway and the batch is not transmitted (see Note: section above). Clicking **'No'** allows the operator to stay within the application in order to close and transmit the batch.

The application can also be exited by clicking the 'Close' button at the bottom right of the POS main window. The user exits the application and returns to the computer's desktop.