

# File Upload

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## Overview

Use **File Upload** to manage uploading files from your PC. Transferring files from your PC to the bank involves multiple steps. The first step is to upload the individual files. The file format is verified, according to application type, and registered for future processing. Next, File Upload Confirmation is used to review the totals, rejected files, and "possible duplicate file" notations. Finally, the Pending Files list is used to approve the files for processing.

When you create the ACH or Checks Issued file using your accounting software, note the control totals in the file, such as total dollars for debit and credit transactions, and total number of debit and credit transactions. Compare the accounting software control totals to the File Upload Confirmation control totals to be sure this is the correct file.

The following reports are available via File Upload reporting.

### **Audit Report**

The File Upload Audit Report tracks all files uploaded from the PC. The report tracks when files were uploaded, approved, or deleted.

### **Detail History Report**

The File Upload Detail History Report tracks file totals and the current status of files that have been uploaded from the PC.

### **Summary History Report**

The File Upload Summary History Report tracks file totals and the current status of files uploaded from the PC.

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## File Upload

### Suggestions for File Management

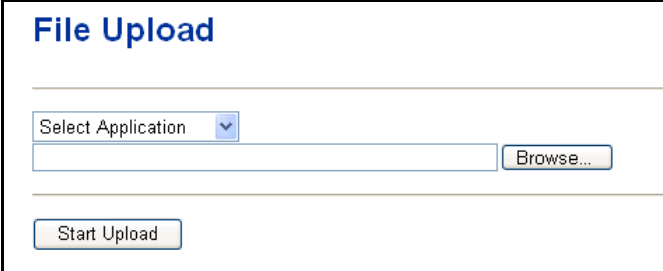
- The software you use to create the files may have established naming conventions. The files should always have the .txt extension (ASCII files).
- When you upload a file, the original file remains on your PC. You should establish a folder where you save files you **have not** uploaded (perhaps, C:\ChecksIssuedNew\), and another folder where you save files you **have** uploaded (perhaps, C:\ChecksIssuedSent\). When you create a file, save it in C:\ChecksIssuedNew\. When you successfully transfer a file, move the file to C:\ChecksIssuedSent\.
- If you work with more than one application type (such as, Checks Issued and ACH Transactions), create separate sets of folders (New and Sent) for each application type.
- The system will advise you if you attempt to send a duplicate file, however you **are** allowed to send duplicate files.

To upload a file from your PC:

1. Select **Upload File** under **File Upload** on the navigation bar.

The *File Upload* page will display.

### File Upload Page



The screenshot shows a web interface titled "File Upload". At the top, there is a horizontal line. Below it, there is a dropdown menu labeled "Select Application" with a downward arrow. To the right of the dropdown is a "Browse..." button. Below these elements is another horizontal line. At the bottom of the form area is a "Start Upload" button.

2. Click the drop-down arrow and select an application type (file type). Files are associated with an application type, such as Checks Issued, or ACH Transactions.
3. Click **Browse**.

The *Choose File* dialog box will display.

4. Locate the file to upload and then click **Open**.

The *File Upload* page will display.

5. Click **Start Upload**.

When the transfer is complete, the *File Upload Confirmation* page will display.

**Note:** You should not leave the *File Upload Confirmation* page until the status is either Pending or Rejected. Use your browser **Refresh** button to update the status view.

## File Upload Confirmation Page

### File Upload Confirmation

To check the status of this upload file, please press the Refresh or Reload browser button.

File Name	Upload Date/Time (ET)	Total Debit\$	Total Credit\$	No. Debits	No. Credits	No. Prenotes	No. Records	Status
CHECKS ISSUED BASELINE.DAT	10/16/2006 11:59:38 AM	\$0.00	\$0.00	0	0	0	100	PENDING

### File Upload Confirmation Field Descriptions

Field	Description
File Name	The name of the uploaded file
Upload Date/Time (ET)	The date and time the file was uploaded from the PC.
Total Debit \$	The total dollar amount of the debit transactions.
Total Credit \$	The total dollar amount of the credit transactions.
No. Debits	The number of debit transactions in the file.
No. Credits	The number of credit transactions in the file.
No. Prenotes	The number of prenote transactions in the file.
No. Records	The number of transaction records in the file.
Status	The status of the file: Verifying, Registered, Pending, Rejected.
Message	A notation of possible errors in the file, such as a possible duplicate file. See <i>System Messages</i> table on the next page for more information.

#### Notes:

- See the **File Upload Summary Report** or the **File Upload Detail Report** for error messages on rejected files.
- If the transmission is interrupted (the line is dropped) before you see an acknowledgement message, the file upload did not complete successfully, and you should use **Upload File** again to re-submit the file.
- Use **Pending Files** to approve or delete the file. If you do not approve or delete a file within 2 weeks of the upload date, the file is automatically deleted from the server.

## System Messages

<p><b>Sorry, the System is currently unavailable.</b></p> <p>➤ The connection to the server is temporarily unavailable. Please try the upload process again later.</p>
<p><b>Fatal Processing error occurred during validation.</b></p> <p>➤ The validation routine did not complete successfully. This file was deleted from the server. Upload the file again.</p>
<p><b>Probable Duplicate File Encountered -- Same checksum as prior file.</b></p> <p>➤ This file appears to be the same as a file you have already uploaded. Please verify that this is not a duplicate file. If this is a duplicate file, we recommend you delete the file from the server.</p>
<p><b>Illegal ACH file. Illegal ACH record length encountered.</b></p> <p>➤ This is not a valid ACH file. Record lengths must match the ACH format. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.</p>
<p><b>Possible Duplicate File Encountered -- Same summary stats as prior file.</b></p> <p>➤ This file appears to be the same as a file you have already uploaded. Please verify that this is not a duplicate file. If this is a duplicate file, we recommend you delete the file from the server.</p>
<p><b>Illegal ACH File. Much have at least RT1, RT5, RT6, RT8, and RT9.</b></p> <p>➤ This is not a valid ACH file. There is at least one required field missing. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.</p>
<p><b>Unable to open uploaded file for validation.</b></p> <p>➤ This file may not be a valid file, or this file may be corrupted. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.</p>
<p><b>Illegal ACH File. Invalid record type encountered.</b></p> <p>➤ This is not a valid ACH file. The record type must match the ACH format. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.</p>
<p><b>Invalid File Header encountered or ACH RT1 is not the first record in file.</b></p> <p>➤ This is not a valid ACH file. The RT1 record is missing or does not match the ACH format. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.</p>
<p><b>Invalid File Header. ACH File creation date/time is invalid (positions 24-33).</b></p> <p>➤ This is not a valid ACH file. Positions 24-33 do not contain a valid file creation date/time. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.</p>

**Invalid Batch Header Record -- ACH RT5 is out of order.**

➤ This is not a valid ACH file. In one of the batch headers, the RT5 record is missing or does not match the ACH format. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.

**Invalid Batch Header Record -- Invalid Service Class Code (positions 2-4).**

➤ This is not a valid file. In one of the batch headers, positions 2-4 do not contain a valid Service Class Code. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Header Record -- Invalid Effective Entry Date (positions 70-75).**

➤ This is not a valid file. In one of the batch headers, positions 70-75 do not contain a valid Effective Entry Date. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Header Record -- Invalid Batch Number (positions 88-94).**

➤ This is not a valid file. In one of the batch headers, positions 88-94 do not contain a valid Batch Number. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Detail Record -- ACH RT6 is out of order.**

➤ This is not a valid ACH file. A transaction record or RT6 record is missing or does not match the valid ACH format. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.

**Invalid Detail Record -- Amount field is non-numeric (positions 30-39).**

➤ This is not a valid file. There is a transaction record containing bad data. Positions 30-39 must contain numeric data. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Detail Record -- Illegal check digit in RDFI ABA number (position 12).**

➤ This is not a valid file. There is a transaction record containing bad data. The check digit for the ABA number is invalid. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Detail Record -- Illegal transaction code (positions 2-3).**

➤ This is not a valid file. There is a transaction record containing bad data. Positions 2-3 do not contain a valid transaction code. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Addenda Record. ACH RT7 is out of order.**

➤ This is not a valid ACH file. There is an addenda record containing bad data. The RT7 field is missing or does not match the valid ACH format. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.

**Invalid Batch Control Record -- ACH RT8 is out of order.**

➤ This is not a valid ACH file. There is a batch control record containing bad data. The RT8 field is missing or does not match the valid ACH format. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.

**Invalid Batch Control Record -- Invalid Service Class Code (positions 2-4).**

➤ This is not a valid file. There is a batch control record containing bad data. Positions 2-4 do not contain a valid Service Class Code. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Control Record -- Invalid Entry/Addenda Count (positions 5-10).**

➤ This is not a valid file. There is a batch control record containing bad data. Positions 5-10 do not contain a valid Entry/Addenda Count. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Control Record -- Invalid Entry Hash (positions 11-20).**

➤ This is not a valid file. There is a batch control record containing bad data. Positions 11-20 do not contain a valid Entry Hash. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Control Record -- Invalid Debit Dollar Amount (positions 21-32).**

➤ This is not a valid file. There is a batch control record containing bad data. The dollar total in positions 21-32 does not match the calculated dollar amount for debit transactions. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Control Record -- Invalid Credit Dollar Amount (positions 33-44).**

➤ This is not a valid file. There is a batch control record containing bad data. The dollar total in positions 33-44 does not match the calculated dollar amount for credit transactions. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Control Record -- Invalid Batch Number (positions 88-94).**

➤ This is not a valid file. There is a batch control record containing bad data. Positions 88-94 do not contain a valid Batch Number. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Control Record -- Sum of debits not equal to batch debit amount.**

➤ This is not a valid file. There is a batch control record containing bad data. The calculated number of debit transactions does not match the control total. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Control Record -- Sum of credits not equal to batch credit amount.**

➤ This is not a valid file. There is a batch control record containing bad data. The calculated number of credit transactions does not match the control total. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid Batch Control Record -- Sum of Entry/Addenda not equal batch count.**

➤ This is not a valid file. There is a batch control record containing bad data. The calculated number of entry/addenda transactions does not match the control total. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid File Control Record -- ACH RT9 is out of order.**

➤ This is not a valid ACH file. The file control record contains bad data. The RT9 field is missing or out of order. This file was deleted from the server. Verify the settings on the software you use to create the ACH file. Regenerate the ACH file and upload the ACH file again.

**Invalid File Control Record -- Invalid batch count (positions 2-7).**

➤ This is not a valid file. The file control record contains bad data. Positions 2-7 do not contain a valid batch count. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid File Control Record -- Invalid block count (positions 8-13).**

➤ This is not a valid file. The file control record contains bad data. Positions 8-13 do not contain a valid block count. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid File Control Record -- Invalid entry/addenda count (positions 14-21).**

➤ This is not a valid file. The file control record contains bad data. Positions 14-21 do not contain a valid entry/addenda count. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid File Control Record -- Invalid entry hash (positions 22-31).**

➤ This is not a valid file. The file control record contains bad data. Positions 22-31 do not contain a valid entry hash. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid File Control Record -- Invalid Debit Dollar Amount (positions 32-43).**

➤ This is not a valid file. The file control record contains bad data. The dollar total in positions 32-43 does not match the calculated dollar amount for debit transactions. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid File Control Record -- Invalid Credit Dollar Amount (positions 44-55).**

➤ This is not a valid file. The file control record contains bad data. The dollar total in positions 44-55 does not match the calculated dollar amount for credit transactions. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid File Control Record -- Sum of debits not equal to file debit amount.**

➤ This is not a valid file. The file control record contains bad data. The calculated number of debit transactions does not match the control total. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid File Control Record -- Sum of credits not equal to file credit amount.**

➤ This is not a valid file. The file control record contains bad data. The calculated number of credit transactions does not match the control total. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

**Invalid File Control Record -- Sum of Entry/Addenda not equal file count.**

➤ This is not a valid file. The file control record contains bad data. The calculated number of entry/addenda records does not match the control total. This file was deleted from the server. Verify the settings on the software you use to create the file. Regenerate the file and upload the file again.

## Pending Files

Use **Pending Files** to approve uploaded files for processing or to delete files.

Rejected files do not appear on the Pending Files list; see the **File Upload Summary Report** or the **File Upload Detail Report** for error messages on rejected files. If more than one person uploads files, wait until all file verifications are complete before approving any files. This will help avoid sending duplicate files for processing.

**Note:** If you do not approve or delete a file within 2 weeks of the upload date, the file is automatically deleted from the server.

To approve or delete an uploaded file:

1. Select **Pending Files** under **File Upload** on the navigation bar.

The *Pending Files Select* page will display.

### **Pending Files Select Page**

### Pending Files

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2. Click the drop-down arrow and select the **Application** (file type). Files are associated with an application type, such as Checks Issued, or ACH Transactions.
3. Click **Submit**.

The *Pending Files* page will display.

### **Pending Files List**

### Pending Files - Approval

Application Name: CHECKS ISSUED

Select	Confirm #	Upload Date/Time (ET)	User ID	Total Debit\$	Total Credit\$	No. Debits	No. Credits	No. Prenotes	No. Records
⊕	884885	10/16/2006 11:59:38 AM	SYSTEM	\$0.00	\$0.00	0	0	0	100
<b>Description:</b> PROBABLE DUPLICATE FILE ENCOUNTERED - SAME CHECKSUM AS PRIOR FILE									

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### **Pending Files Field Descriptions**

Field	Description
Confirm #	The system generated confirmation number for the file.
Upload Date/Time (ET)	The date and time the file was uploaded from the PC.
User ID	The logon user ID of the person who transferred the file.

Total Debit \$	The total dollar amount of the debit transaction in the file.
Total Credit \$	The total dollar amount of the credit transaction in the file.
No. Debits	The number of debit transactions in the file.
No. Credits	The number of credit transactions in the file.
No. Prenotes	The number of prenote transactions in the file.
No. Records	The number of transaction records in the file.
Message	A notation of possible errors in the file, such as a possible duplicate file. See <i>System Messages</i> table on page 4 for more information.

To **approve** a file(s):

1. Select the file(s) you want to approve.
2. Click **Approve**.

A confirmation message will display.

To **delete** a file(s):

1. Select the file(s) you want to delete.
2. Click **Delete**.

A confirmation message will display.

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## Audit Report

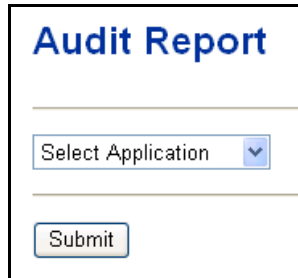
Use the **File Upload Audit Report** to track all files uploaded from the PC. The report displays the Confirmation Number, Upload Date, Application, and File Name. The report tracks when the files were uploaded, approved, or deleted.

To access the *Audit Report Selection* page:

1. Select **Audit Report** under **File Upload** on the navigation bar.

The *Audit Report Select* page will display.

### **Audit Report Select Page**

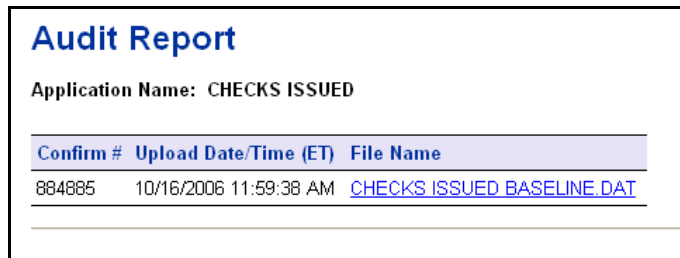


A screenshot of the 'Audit Report Select Page'. At the top, the text 'Audit Report' is displayed in blue. Below this is a horizontal line. Underneath the line is a dropdown menu with the text 'Select Application' and a small downward-pointing arrow. Below the dropdown menu is another horizontal line. At the bottom of the page is a button labeled 'Submit'.

2. Click the drop-down arrow and select the **Application** (file type).
3. Click **Submit**.

The *Audit Report* will display.

### **Audit Report**



A screenshot of the 'Audit Report' page. At the top, the text 'Audit Report' is displayed in blue. Below this is the text 'Application Name: CHECKS ISSUED'. Underneath is a table with three columns: 'Confirm #', 'Upload Date/Time (ET)', and 'File Name'. The first row of data contains the values '884885', '10/16/2006 11:59:38 AM', and 'CHECKS\_ISSUED\_BASELINE.DAT'. The table has a light blue header row and a light blue footer row.

### **Audit Report Field Descriptions**

Field	Description
Confirm #	The system generated confirmation number for the file, issued when the file was registered.
Upload Date/Time (ET)	The date and time the file was uploaded from the PC.
File Name	The uploaded file name.

## Detail History Report

Use the **File Upload Detail History Report** to review file totals and the current status of files that have been uploaded from the PC.

To access the *Detail History Selection* page:

1. Select Detail **History Report** under File **Upload** on the navigation bar.

The *Detail History Report Select* page will display.

### Detail History Report Select Page

### Detail History Report

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Select Application ▼

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2. Click the drop-down arrow and select the **Application** (file type).

3. Click **Submit**.

The *Detail History Report* will display.

### Detail History Report

### Detail History Report

Application Name: CHECKS ISSUED

Confirm #	Upload Date/Time (ET)	User ID	Total Debit\$	Total Credit\$	No. Debits	No. Credits	No. Prenotes	No. Records	Status
884885	10/16/2006 11:59:38 AM	SYSTEM	\$0.00	\$0.00	0	0	0	100	PENDING

**Description:** PROBABLE DUPLICATE FILE ENCOUNTERED - SAME CHECKSUM AS PRIOR FILE

### Detail History Report Field Descriptions

Field	Description
Confirm #	The system generated confirmation number for the file, issued when the file was registered.
Upload Date/Time (ET)	The date and time the file was uploaded from the PC.
User ID	The logon user ID that submitted or confirmed the uploaded file.
Total Debit \$	The total dollar amount of the debit transactions in the file.
Total Credit \$	The total dollar amount of the credit transactions in the file.
No. Debits	The number of debit transactions in the file.
No. Credits	The number of credit transactions in the file.
No. Prenotes	The number of prenote transactions in the file.

No. Records	The number of transaction records in the file.
Status	The status of the file: Pending, Confirmed, Rejected, Deleted.
Message	A notation of possible errors in the file, such as a possible duplicate file. See <i>System Messages</i> table on page 4 for more information.

# Summary History Report

Use the **File Upload Summary History Report** to review file totals and the current status of files uploaded from the PC.

To access the *Summary History Report Selection* page:

1. Select **Summary History Report** under **File Upload** on the navigation bar.

The *Summary History Report Select* page will display.

## Summary History Report Select Page

### Summary History Report

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Select Application ▼

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2. Click the drop-down arrow and select the **Application** (file type).

3. Click **Submit**.

The *Summary History Report* will display.

## Summary History Report

Upload Date/Time (ET)		File Name		Total Debit\$	Total No. Credit\$	No. Debits	No. Credits	No. Prenotes	No. Records	Status
10/16/2006 11:59:38 AM		CHECKS ISSUED BASELINE.DAT		\$0.00	\$0.00	0	0	0	100	PENDING
<b>Description:</b> PROBABLE DUPLICATE FILE ENCOUNTERED - SAME CHECKSUM AS PRIOR FILE										

## Summary History Report Field Descriptions

Field	Description
Upload Date/Time (ET)	The date and time the file was uploaded from the PC.
File Name	The uploaded file name.
Total Debit \$	The total dollar amount of the debit transactions in the file.
Total Credit S	The total dollar amount of the credit transactions in the file.
No. Debits	The number of debit transactions in the file.
No. Credits	The number of credit transactions in the file.
No. Prenotes	The number of prenote transactions in the file.
No. Records	The number of transaction records in the file.

Status	The status of the file: Pending, Confirmed, Rejected, Deleted.
Message	A notation of possible errors in the file, such as a possible duplicate file. See <i>System Messages</i> table on page 4 for more information.

**Notes:**