LOCKBOX EXCEPTION MODULE

User Guide

FIRST HORIZON

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INTRODUCTION

The Lockbox Exception Module (aka Interactive Lockbox) offers a web-based interface to view and update the transaction information that needs customer intervention. These transactions require corrections before their processing can be completed by the TMS remittance system. The intended audience for this document is the end-user who works with Lockbox Exception to update transactions.

ASSUMPTIONS
It is assumed that the reader is familiar with general transaction processing terms and TMS terminology.

PREREQUISITES
- Internet connection to connect to the Lockbox Exception system
- Microsoft Internet Explorer version 6.0 or later
- Screen resolution should be 1024 x 760 for the best view

CONVENTIONS
Some conventions are used throughout this manual while describing the Lockbox Exception functions. Keys on the PC keyboard are referred to by their labels in **blue bold** letters. The label mentioned in the manual is the one most frequently used on keyboards; however, there are variations from model to model. A plus between key labels indicates that you hold down the first key and then press the second key. Selections from menus are printed in *dark red italics*. Screen text is indicated in **bold** letters. Examples of processing screens and menus are intended for illustration only. The appearance of some screens may vary slightly for your particular installation.

LOCKBOX EXCEPTION OVERVIEW

Lockbox Exception is a web-based system used to repair transactions online. Lockbox Exception provides a simple, interactive interface designed to streamline workflow and automatically present the exception transactions to the appropriate handling group, while maintaining transaction integrity and item retention. Lockbox Exception enables the end user to handle the batches to correct and post the transaction.

KEY FEATURES OF LOCKBOX EXCEPTION
- Ability to view batches and corresponding transactions
- Ability to sort based on display columns
- Ability to accept or reject a transaction
- Ability to view images of check, stub and correspondence documents of the transaction
- Ability to flip and zoom images
- Ability to update transactions by inserting, modifying or rejecting the stub information

LOGIN AND STARTUP

1. Launch an an internet browser and type the URL www.firsthorizon.com in the address bar.
2. Once the page has loaded, enter your **username** and **password**.
3. Click **Log In**.


4. Answer the random security question.
5. Click **Continue**.

6. Once logged in, click the **Other Applications** tab.
7. Click **Lockbox Imaging Archive.**
   NOTE: Lockbox Exception Module is within this application.

8. The user is signed in through single sign-on.

LOCKBOX EXCEPTION SCREEN

After the validation of user name and password, the user is logged on to the application. Initially the application displays the Dashboard screen as the default home page for Lockbox Exception.
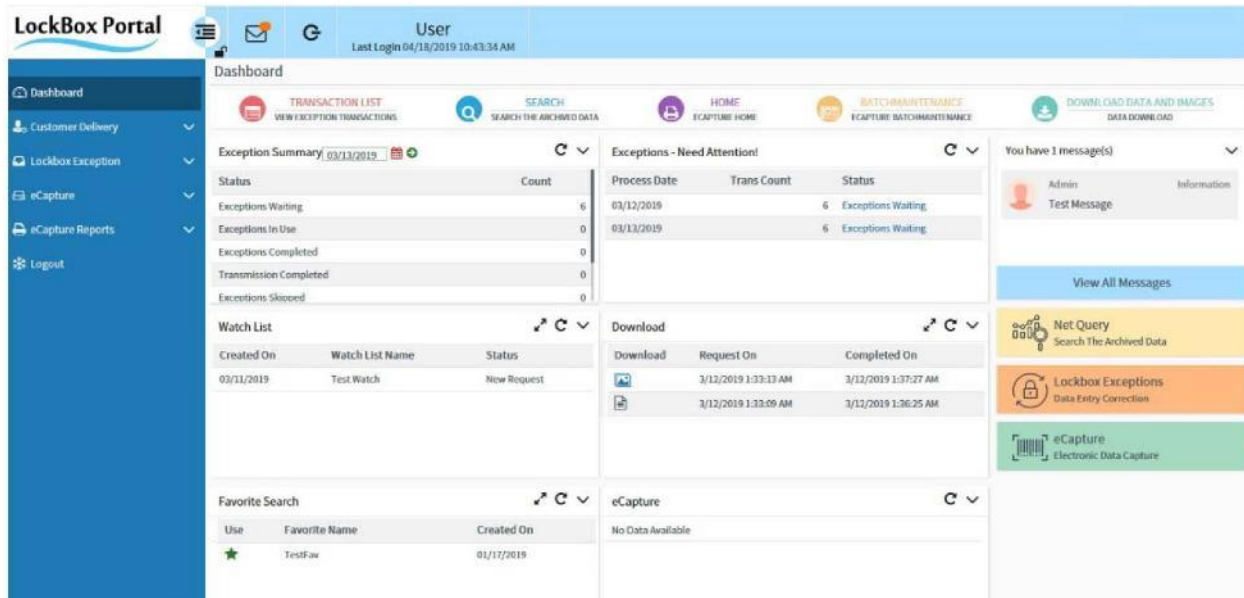
The top left of the screen, beside the logo, displays the user id, the last login date/time, and a Power Button icon to log the user out of the system. The user may also choose Logout from the Main Menu. Display returns to the login screen.

Quick Links icons are displayed in a panel at the top of the screen leading to (depending on user access) the Lockbox Exception Transaction List, the Customer Delivery Search function, and Download Data and Images. The footer area of most screens displays Quick Links as text.

If there are broadcast messages, they are displayed as links in a panel on the right side of the screen. Below the broadcast messages, product links are displayed based on the user's product access. The Lockbox Exceptions link redirects to the Lockbox Exception Transaction List page.

> **Note**: The preceding screen image displays all possible components. Depending on your system's configuration and your access privileges, different combinations of these components may appear on your screen.
>
> For information on Customer Delivery user functions, see the Lockbox Image Archive User Manual. For information on eCapture functions, see the eCapture User Manual.

The modules that are displayed in the menu panel on the left of the screen and the work area on the right are based on the user's rights. If the user has access to other modules (e.g., Customer Delivery, eCapture) menu options and dashboard panels in the work area for those modules also appear on the screen.

The **Collapse** icon between the panels enables the user to hide the menu options panel to expand the work area.

The **Expand** icon enables the user to show the menu option panel when the menu optionpanel is hidden.

Clicking this icon **Unlocked Padlock** "locks in" the menu display to whichever status is currently displayed (expanded or collapsed). The icon changes to a yellow **Locked Padlock** icon. Clicking this icon again releases the "locked" status and allows the menu to be expanded and collapsed.

TRANSACTION LIST

The Transaction List menu option allows users to view the batches that contain exception transactions so they may correct those transactions in the Data Entry function. Select **Transaction List** from the menu panel. The filter panel provdes the options for selecting a batch or group of batches that contain exception transactions. You may only work on transactions for work sources for which you have authorization.

FILTERING THE LIST

The filter parameters allow you to limit the batch list.

Parameter	Description
Site	Select a site from the drop-down list. The list contains all the sites to which your accessible work sources belong.
Work Source	Select a work source from the drop-down list. The list includes only those for which you have authorization (Choosing A Work Source).
Suspend Reason	Select one or more suspend reasons from the drop-down list. The suspend reasons on the list are the ones that have been configured for the chosen work source (Choosing A Suspend Reason).
From and To Date	The process dates default to today. You may key in a range of dates or use the calendar icon (Choosing A Process Date).
Property	If the chosen work source has properties defined, this field will display (Viewing Transactions).

CHOOSING A WORK SOURCE

The **Work Source** input area is prefilled with the first available work source. Some functions may optionally be run for all work sources. Click in the input area to display an entry field and work source drop-down list. If you know the name of the work source, start typing in the field. The list is reduced to just those work source names containing the characters you have typed. Select the radio button by the desired work source.

CHOOSING A PROCESS DATE

If you opt to key in a date, enter it in *MM/DD/YY* or *MM/DD/YYYY* format in the textbox next to the icon. Clicking the calendar icon presents a calendar for date selection. It is shown with today's month and day.

The calendar enables the user to select the desired dates. Options are available to browse through months and years to select the desired dates. Click Calendar icon to invoke the calendar.

To change the year, click the left arrow **<** to go to the previous year, click the right arrow **>** to go to the next year, or click the down arrow **v** to display the list of years, and choose one.

To change the month, click the left arrow **<** to go to the previous month, click the right arrow **>** to go to the next month, or click the down arrow **v** to display the list of months, and choose one.

When you have chosen the year and/or month, that year and month's calendar is displayed. Click on the desired day to fill in the date field. Click **Clear** to blank out the date field. Click the large **X** to close the calendar display without changing what is currently in the date field.

CHOOSING A SUSPEND REASON

Select one or more suspend reasons from the drop-down list. The suspend reasons on the list are the ones that have been configured for the chosen work source. You may choose more than one, or *All Suspend Reasons*. If you know the suspend reason, start typing in the field. The list is reduced to just those suspend reasons containing the characters you have typed. When you choose more than one, the field displays "*x* of *y* selected". If you choose *All Suspend Reasons*, there is no need to make individual selections as all suspend reasons on the list are included.

VIEWING TRANSACTIONS

When you change the Site or Work Source, the screen refreshes automatically. When you have set or changed the rest of your filter parameters, click the View Transaction button to display the list of batches that satisfy your filters. For example:

Batches are usually displayed in descending Expiration Date Time order. The columns displayed, and their order, are set by the administrator. You may arrange the list in order by any column by clicking on the column heading. Clicking the column heading a second time reverses the order. The Expiration Date Time column displays in a color that shows the status of the transaction:

- Red – Two hours or less remaining until the expiration date/time for this transaction.
- Yellow – Transaction expires today.
- Green - Expiration date/time is not today, but rather a future date.

By default the Show UnSkipped Transaction box is selected, but if you desire you may un-check it and click the View Transaction button to display only the skipped transactions. If the Show Skipped Transaction check box is selected, previously skipped transactions are included in the list. If there is an back button icon in the Tran Status column it indicates that this batch contains a transaction that was skipped previously.

An locked padlock icon in the Tran Status column indicates the batch contains a locked transaction. If the lock is closed, it means another user has locked that batch and it is unavailable. An open lock means the batch is avaiable for correction.

Notes on locked transactions:
- While the user is working on a transaction, it is locked.
- If the user is working on a transaction and navigates to another screen in the Customer Delivery or Lockbox Exception menus without closing the transaction, the transaction is closed automatically and is available to other users. If the user navigates to another screen in User Management, reports, or eCapture the transaction remains locked.
- If the user is working on a transaction and logs out without closing the transaction, the transaction is closed automatically and is available to other users.
- If the user is working on a transaction and the program terminates abnormally, the transaction is locked until the user logs in again or an administrator unlocks the transaction. When a user logs in, any locked transactions from that user are unlocked automatically.
- If the user times out while a transaction is open, the transaction is locked until the user logs in again or an administrator unlocks the transaction.
- If an administrator unlocks a transaction while a user is still actively working on it, the user receives a message saying that the system can't process the transaction because it has been released by an administrator. The user must close the data entry program and reopen the transaction.

Once the list of batches is displayed, you may further filter the list by choosing a Batch Mode from the drop-down list.

When there are multiple pages in the list, arrows are provided to navigate to the first page, previous page, next page, and last page. You may also click on a page number to go directly to that page. Another way to go to a specific page is to type in the page number in the **Page** text box and click **Go** or press **Enter**.

The number of batches displayed per page is set by the administrator. You may change the number of batches per page, for the current session only, by typing the number of batches in the **Page size** field and clicking the **Change** button or pressing **Enter**.

If no batches satisfy your filter entries, a message is displayed in place of the list that reads:
Suspend reasons not available for the selected process date

You may click the **Go** button to go directly to the first transaction in the first batch. Alternately select a specific batch by clicking anywhere in the batch's row. The Data Entry screen is then presented, and opens the first transaction in the selected batch that needs correcting.

When all items in a batch have been posted, the batch is removed from the Transaction List.

DATA ENTRY DETAIL SCREEN

The Data Entry screen provides access to the items, stubs (or invoices) and checks, that make up the transaction selected from the **Transaction List** screen. If the transaction contains more than one item, the items are displayed in the order in which they appeared in the original batch.

At the top right of the screen the expiration date and time of the transaction are displayed, along with the time remaining until the transaction expires. They are displayed in a color that shows the status of the transaction:
- Red – Two hours or less remaining until the expiration date/time for this transaction.
- Yellow – Transaction expires today.
- Green - Expiration date/time is not today, but rather a future date.

On the right are two lists, one for stubs or invoices and one for checks. The image of the selected list at the top of the page contains aseries of buttons, **Post**, **Reject Tran** and and two drop-down lists with other options, **Stubs** and **Checks**. For full-page batches the **Invoice** drop-down list has options appropriate for full-page/invoice documents.

Notes:
- For checks-only mode, only the check image is displayed and the stub area displays the message "Image Not Available".
- The drop-down list illustrations show the most common items that may appear on the lists. The lists are dynamic - some items do not appear on a list if they are not applicable to the current batch (for example, *View Other Docs* does not appear on the **Checks** drop-down list if the batch does not contain these documents).

In the Configuration Utility, administrators can configure the base or work source level to enable or disable the suspend configuration. For more information see the TMS Web Admin user manual.

POSTING TRANSACTIONS

Click **Post** to update the database once you finish the corrections. The results are validated against existing edits and business rules. If the transaction fails any of the business rules the **Rules Details** screen is displayed, with an additional **Rule Status** column.

If the rule is not mandatory, you may click on the **Override** link to override the rule. The text changes to Overridden. The next time you post the transaction the overridden rules are not validated.

Depending on system configuration, in some batch modes, the transaction must be balanced for it to be posted. In other words the stub total must equal the check total.

If there is a mismatch between the amounts, the following message is displayed:


Correct the stub or check amount in the list on the right and click **Post** again.

Some systems are configured to perform data lookup automatically when a transaction is posted. If the lookup fails, you are prompted with an alert message.

CLOSE

To return to the Transaction List screen before completing all transactions, click the ⊗ icon. Any changes that have been saved are retained. If you have not posted your changes, you are prompted to confirm your request:
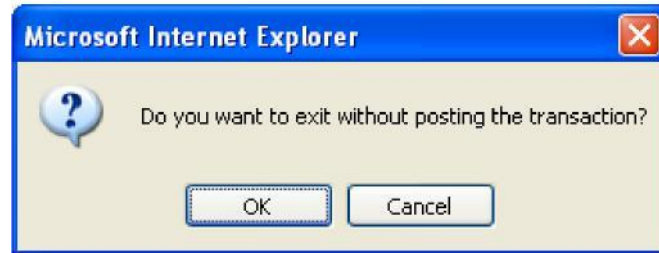
Note:	Ensure that you post a transaction before moving on to a different screen.

IMAGE CONTROLS

The image Control options become available when you hover the mouse over an image. They enable you to flip, rotate or zoom in/out the images for better clarity. The image control buttons are explained below:

Tool	Description
	Zoom in the image.
	Zoom out the image.
	Change the image size to fit the window.
	Rotate the image by 90°.
	Flip the image. The system can be configured to disable this option if a document's rear image is blank.
	Open the image in a new window.

You may also zoom in or out using the mouse wheel, or zoom in by double-clicking the image. When the image is zoomed in, you may click and drag it to see different parts of the image.

DATA ENTRY

After selecting a transaction you may change stub or check amounts or use a function from the **Stubs**, **Invoice** or **Checks** drop-down lists. Note the **Suspend Reason** shown above the stub image. This will give you another clue as to what correction is needed.

To change an amount, click the **Amount** cell for the item, in the appropriate table on the right. Key in a new amount. The decimals will be automatically added as the amount is keyed The last 2 digits will be used as the decimals. You may copy and paste from one field to another. Make any other needed corrections by using the **Stubs**, **Invoice** or **Checks** drop-down .

After entering the data, click **Post** to move on to the next transaction. You are returned to the **Transaction List** screen when the last transaction is posted.

Click the **Skip** icon, if available, to skip a transaction without entering or posting an amount. The transaction is marked with an icon in the **Status** column on the **Transaction List** screen.

Note: If a batch contains only one transaction, the skip function is disabled.

REJECT TRANSACTION

Depending on work source configuration, you may reject a transaction by clicking **Reject Tran**. A list of reject reasons is displayed. Select a reason by clicking the radio button next to the reason. The reason options include "Reject Send Back" and "Reject Re-process".

Click **OK**. All items in the transaction are marked as rejected, including any inserted stubs. A message is displayed for your confirmation:

The selected reason is assigned to the transaction. You must **Post** the transaction for the reject to take effect. Click **Cancel** to retain the transaction.

NOTES

To add notes to a selected item, select *Notes* from the **Stubs**, **Invoice**, or **Checks** drop-down list or click the **Notes** button from a data entry input screen. Enter or edit comments in the **Add Notes** box and click **Add**.

The top panel lists any notes previously entered. Select the check box to edit or delete an existing note. Then click **Delete** or **Edit**.

Click **Reset** to clear the notes area. Click **Print** to send the note to your printer.

STUB OPTIONS

The Stubs drop-down list provides functions for modifying the stub information for the selected transaction. You choices are:

- Reject Record
- Stub Input
- Insert Record from Stub
- Insert Record from Check
- Remittance Input
- Notes
- Change Item Type

Note:	Not all menu options appear for all transactions. The menu shows only the options that are relevant to the current transaction.

REJECT RECORD

Depending on work source configuration, a stub may be dropped from a transaction by using the *Reject Record* option, or (depending on batch mode) clicking the **Reject Record** button in the Stub Input or Remittance Input screens. A list of reject reasons is displayed. Select a reason by clicking the radio button next to the reason. Click **OK**. The selected reason is assigned to the item. A confirmation prompt is displayed. Click **OK** to reject the item or click **Cancel** to retain the item.

CHECK OPTIONS

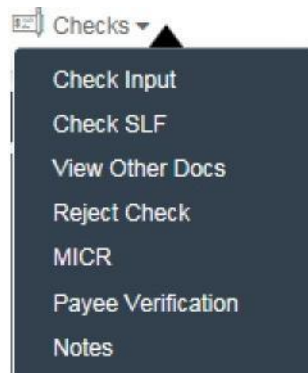This option is used to correct the check account number and amount information that was captured at the time of processing.

Note:	Not all menu options appear for all transactions. The menu shows only the options that are relevant to the current transaction.

For the *Notes* option .

CHECK INPUT

Select *Check Input* from the **Checks** drop-down list to display the **Check Item Entry** form for editing the check details. Make your changes to the presented data and click **Save**.

For example:

CHECK SCANLINE FIX

To correct scanline information, select *Check SLF* from the **Checks** drop-down list. The displayed window provides the scanline fields. Question marks indicate the characters that have been read incorrectly. Make your corrections and click **Save**.

VIEW OTHER DOCUMENTS

To view the image of non-dollar/correspondence documents or coupons/full pages without check transactions, select *View Other Docs* from the **Checks** drop-down list or click the **View Other Docs** button from the Stub Input, Remittance Input, Check Input, or Check SLF screens. This option is available only when there are other documents in the transaction. If there is more than one other document in the same transaction, click on the **Seq No** link to browse through the list.

If the item is not a correspondence document you can change it by clicking **Change Item Type.**

REJECT CHECK

Depending on work source configuration, a check may be dropped from a transaction by using the *Reject Check* option. A list of reject reasons is displayed. Select a reason by clicking the radio button next to the reason. Click **OK**. The selected reason is assigned to the item.

MICR

Select *MICR* from the **Checks** drop-down list to view the MICR information. The MICR information replaces the stub information between the check and stub images. There will be a STOP icon, that appears as a red X, that you can click to remove the MICR information and re-display the stub information.

INVOICE OPTIONS

The **Invoice** drop-down list provides functions for modifying the invoice (full page) information for the selected transaction. Your choices are: Notes and Invoice Input.

INVOICE INPUT

Select *Invoice Input* from the **Invoice** drop-down list to display the **Invoice Input** from for entering the invoice details. The procecure is similar to Remittance Input.

Some systems may be configured to permit entry of line items from a check-and-list remittance. A screen similar to the picture below is displayed for editing the invoice details. You may enter multiple lines of input from the same image, which is typically a full-page document.

Enter a line of data in the provided fields for each item that needs to be entered/corrected and press the **Tab** or **Enter** key to enter that item. A new blank line is displayed for entering the next item. Make your changes to the presented data and click **Save**. Click **Cancel** to return to the Data Entry screen without saving your changes.

In addition to the **Save** and **Cancel** buttons, there may be several other buttons at the top right of the screen that provide access to other functions.

Reject Record allows you to reject a line item. Click in the line to be rejected and click **Reject Record**. You are prompted to confirm.

FREQUENTLY ASKED QUESTIONS

Q: Can Lockbox Exception be deployed in multiple web servers for better load balancing?
A: Yes. Lockbox Exception supports load balancing which can be deployed in multiple web servers. Lockbox Exception is most suitable for horizontally scaled web farms.

Q: How is session time-out handled in Lockbox Exception? Is it configurable?
A: If the Lockbox Exception system is idle for 20 minutes (default) then the system disables the current page and the current session expires. The session time-out can be configured through the web.config file.

Q: Does Lockbox Exception enable caching of web pages?
A: Due to security reasons caching of web pages is disabled.

Q: How is the session managed in Lockbox Exception? How is the session state maintained, when the requests are redirected to a different server for processing?
A: Lockbox Exception makes use of Microsoft's SQL Server Session Management techniques to manage the session. The session variables are stored as out-of proc in an SQL Server repository common to all the servers that share the request load. Hence when load balancing occurs, the sessions variables are available to the servers dedicated for processing the request.

Q: What happens if I close my browser without logging out?
A: If the Lockbox Exception system is closed without logging out, whatever transactions you have worked on without posting will be locked, and some changes may be lost. Hence it is safer to logout than close the browser.

Q: What happens if I navigate to another URL without logging out?
A: The transactions you are working on will be locked, and some changes may be lost. Hence it is safer to logout before navigating to a different URL.

Q: Can I logon to the Lockbox Exception system in multiple browser windows?
A: The Lockbox Exception system supports your logging on in more than one browser window.