DB-SUSP-2ND-DAY-BAL Standard Operating Procedure (SOP)

Target Audience: Vendor
Version Number: 11.4
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Topic List	The following contents are contained in this procedure:

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Scope

Transit Number	Transit Name	GL Number	GL Name	GL Currency
Domestic Banking (all units within control unit 7000)	N/A	900-173-6	USD-SUSP-SP ITEMS RECEIVED	USD
		990-430-1	SUSP-SP ITEMS RECEIVED	CAD
		900-174-4	USD-SUSP-SP REPAIR SESSION	USD
		990-428-5	SUSP-SP REPAIR SESSION	CAD
		900-341-9	USD ON LINE SUSPENSE - DDA	USD
		990-935-9	ON LINE SUSPENSE - DDA	CAD
		900-474-8	USD HLDOVER CREDIT CRD ITEMS	USD
		991-886-3	HOLDOVERS CREDIT CARDS ITEMS	CAD
		900-490-4	USD SUSP RFX PURC/SALES TRANS	USD
		993-101-5	SUSP- RFX PURC/SALE TRANS	CAD
		990-396-4	SUSP-SP ELECTRONIC BILL PYMT	CAD

Transit Number	Transit Name	GL Number	GL Name	GL Currency
02224	OP&OC WHOLESALE LOCKBOX	900-490-4	USD SUSP RFX PURC/SALES TRANS	USD
		993-101-5	SUSP- RFX PURC/SALE TRANS	CAD

Scope Exclusions:	• Transit 00488 • Transit 5420 (this is the responsibility of FSS)
Frequency:	Daily
Deadlines:	NA

Required Applications and Systems

Application or System Name	Used For …
All Transaction File (ATF)	Viewing manual entries (GL vouchers, credit and debit memos, and Cheques) to do investigation
Application Launch Pad	Performing history inquiries in Unit Reference File Inquiry (URFIQ) – Unit Inquiry and Demand Deposit Account (DDA) – Deposit Services to obtain details about transactions processed to personal and business client's bank accounts.
Chart of Account	Retrieving the general information of the GL numbers.
Excel	Processing of $50 and under write-off items through the PeopleSoft bulk upload process. Also used for manual reconciliation of the Electronic Bill Payments GL.

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Image Retrieval Integrated System (IRIS)	Viewing manual entries (GL vouchers, credit and debit memos, and transaction history) to do investigation.
OnDemand	Viewing activity contained on the common reports required for investigation.
Outlook	Getting email addresses and retrieving emails with attachments. Also used for email correspondence between the Service Partner and Vendor or FSS for manual reconciliation of the Electronic Bill Payments GL.
PeopleSoft	Creating GL account entries, searching for and viewing previously posted journal entries.
RightFax FaxUtil	Sending faxes to Symcor centers.
Sales Platform	Viewing client profile and account details for the following: • Current Account • Savings • Royal Credit Line(RCL) • Visa
Service Platform (SP)	Processing debits and/or credits entries to client's account and also posting current dated entries between client account and respective GL other than Global Banking Service Centre (GBSC) and Payment and Trade (P And T).
Siebel	Viewing branch financial and non-financial transactions posted via Service Platform.
Transaction Lifecycle Management (TLM)	Monitoring, reconciling, and investigating GL accounts, and for completing enrichment, balancing, and investigation for all types of transactions and forwarding the communication to the respective business units and Service Partners.
Unit Reference File Enquiry	Viewing the Sub transits and other transit details.

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End User Computing: Excel Templates

The following excel templates are used in this procedure:

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SharePoint Site	Template Folder Name	Procedure Folder Name	Template Name
FSS/IGATE CapgeminiProduction Portal	Reconciliation Working Templates	iGATE - Second Day Balancing Reconciliation Templates	V.1.0 6656 9918863

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High Level Process Overview

The objective of this process is to complete manual matching, reconciliation, and/or investigation for entries outstanding in the in-scope accounts. Investigation in this context may involve activities such as identifying the cause of the outstanding entry and determining the required action to resolve, and contacting the impacted department to ensure the resolution is completed.

Investigation is performed for the Transits that have outstanding balances over $50 in the in-scope GLs, for two consecutive days.

Outstanding balances within +/- $50 range are written off on the first day without investigation using PeopleSoft bulk upload process.

Data enrichment, Manual Matching, investigation, and aging items review should be done in a timely manner, as per the following documented process, failing which there is a significant client impact and financial risk to RBC if entries are not managed within the defined process.

For the Branch transactions: Investigation, reconciliation and corrections are performed by the Second Day team. However, there are dependencies on Symcor and Branches for resolving some of the issues. The Second Day Team communicates with the branches and Symcor centers to resolve the issues through email.

For the Service Centers/Special Transits transactions: Investigation and reconciliation are performed by the Second Day Team but the corrections are processed by the Service Centers or Special Transits respectively.

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Important: Unlocated outages equal to or under $50 are written-off.

The following is the list of dependent or related accounts where offsetting entry or entries may be located.

GL Number	GL Name	Category	Account Sets
991-680-0	PROOF SUSPENSE	DB-SUSP-ADJUSTMENTS-SERIALIZED	• PROOF-SUSP-E • PROOF-SUSP-C • PROOF-SUSP-W
900-387-2	USD PROOF SUSPENSE		
991-867-3	ADJUSTMENT SUSPENSE # 3	DB-SUSP-ADJUSTMENTS-SERIALIZED	• ADJ-SUSP-3-E • ADJ-SUSP-3-C • ADJ-SUSP-3-
900-367-4	USD ADJUSTMENT SUSPENSE # 3		
991-873-1	ADJUSTMENT SUSPENSE #6	DB-SUSP-ADJUSTMENTS-SERIALIZED	• ADJ-SUSP-6-E • ADJ-SUSP-6-C • ADJ-SUSP-6-W
991-895-4	CASH DIFFERENCE SUSPENSE	DB-SUSP-CASH-DIFF	• CASH-DIFFERENCE-E • CASH-DIFFERENCE-C • CASH-DIFFERENCE-W
900-706-3	USD CASH DIFFERENCES-US$		
990-521-7	CASH ACCOUNT	DB-ASSETS-CASH-HOLDINGS	• CASH-ACCOUNT-E • CASH-ACCOUNT-C • CASH-ACCOUNT-W
900-007-6	US CASH ACCOUNT		
991-604-0	ADJUSTMENT SUSPENSE #1	DB-SUSP-ADJUSTMENTS-SERIALIZED	• ADJ-SUSP-1-E • ADJ-SUSP-1-C • ADJ-SUSP-1-W
900-352-6	USD ADJUSTMENT SUSPENSE #1		
991-670-1	LOANS SUSPENSE ACCOUNT	DB-SUSP-LOANS	• LOAN-SUSP-1-C • LOAN-SUSP-1-E • LOAN-SUSP-1-W
900-381-5	USD LOANS SUSPENSE		
991-656-0	TELEGRAPHIC TRANSFER SUSP	DB-SUSP-TT	• TT-SUSP-E • TT-SUSP-C • TT-SUSP-W
900-389-8	USD SETTLEMT TELEGRAPHIC		
991-630-5	PYMTS RECONCILN REFUND/ADJMT	DB-SUSP-ADJUSTMENTS	• PYMTS-REFUNDS-ADJ-E • PYMTS-REFUNDS-ADJ-C • PYMTS-REFUNDS-ADJ-W
900-383-1	USD PYMT REC REFUND&ADJ SUSP		

991-943-2	PROCESSING DIFFERENCE SUSP	DB-SUSP-ERROR-PROCESSING	• PROCESSING-DIFF-E • PROCESSING-DIFF-C • PROCESSING-DIFF-W
900-429-2	USD PROCESSING DIFF SUSP		
923-450-1	ADJUSTMENTS EXPRESS	DB-SUSP-ADJUSTMENTS-SERIALIZED	• ADJ-EXPRESS-E • ADJ-EXPRESS-C • ADJ-EXPRESS-W
910-920-8	USD-ADJUSTMENTS EXPRESS		

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Escalation Procedures – SOX General Ledger (GL) Accounts

The following are the escalation procedures for the SOX GL accounts in scope in this SOP document.

GL Number	GL Name	TLM Account Names (Set Names)	1st Level Notification	2nd Level Escalation	3rd Level Escalation	4th Level Escalation	5th Level Escalation	6th Level Escalation
900-341-9 990-935-9	USD ONLINE SUSPENSE - DDA ONLINE SUSPENSE - DDA	ON-LINE-SUSP-DDA–C ON-LINE-SUSP–DDA-E ON-LINE-SUSP–DDA-W	Day 3 Send email to unit	Day 5 Send email to unit	Day 7 Escalation to FSS onshore	Day 7 FSS emails unit, cc MOS, STL, and FSS Processing Centre	Day 8 FSS STL emails O&CE – Lost Proof, cc FSS Manager of Day-to-Day and FSS Processing Centre	Day 9 FSS Manager of Day-to-Day sends 3rd level escalation to Susan Boyle @O&E lost proof and cc FSS Processing Centre

Note: For IRIS entry the line items needs to be escalated to Symcor on Day 1 through RightFax

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List of Exception types

There will no exception type for the MFRP Repair Session GLs in the DB-SUSPENSE-2nd DAY BALANCING category
If the exception type is Blank, then manually raise the exception type as "2nd Day Balancing" for the transactions

Refer to 'Creating an Exception' in the Transaction Lifecycle Management (TLM) System Guide

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Exception Type	GL's Used	Description of Items	Brief Process Description
2ND DAY ITEMS	• 900-173-6 (USD) • 990-430-1 (CAD) • 900-174-4 (USD) • 990-428-5 (CAD) • 900-341-9 (USD) • 990-935-9 (CAD) • 900-474-8 (USD) • 991-886-3 (CAD • 900-490-4 (USD) • 993-101-5 (CAD) • 990-396-4 (CAD)	This exception type contains items posted by all units to the SP Items received GL accounts.	Exceptions are raised after balance stays for two consecutive days. Every exception should be actioned within the same day of being raised. During investigation, reconcilers identify items causing the outstanding balance and the action required to resolve them. All other items are manually matched. Reconcilers either resolve outstanding items themselves or follow up with the Unit/Service partners to ensure that the items are resolved in a timely manner.

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Work Allocation Procedure

Purpose	The Vendor follows the steps in the table below to extract the outstanding line item from TLM. The output of the report will be in MS Excel format and will be saved in the NAS drive under the Second Day Balancing folder. This report will be considered as an input for the work allocation process.
Step	**Action**
1	Access TLM
2	Double-click DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view.
3	Select the HOLDOVER-CC-ITEMS-C account set for a specific region under the Accounts tab and double-click to open. *Note:* The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
4	• Select the Items tab in the Items dashboard. • Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear.

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	• Right-click over the Select Group box in the left corner of the line items and select Collapse All. This will limit the view to outstanding balances per GL number and transit number. • Right-click the header of Items by Status grid. • Select Show Filters. • Select the filter field of the Exception Type column; a drop down list will appear. • Enter '>0' in the Exception Type filter to view all the exception line items on the Status grid view.
5	• Right-click in the grid view of Item Matches and select Export to Excel; the File Download dialog box for smartExportToExcel.do will appear. • Retain the excel file without saving it. *Note*: This file will be used for reference during the process.
6	**Are there other pending Account Sets?** • If *Yes*, return to step 3 and select the next account set under the Accounts tab. • If *No*, proceed to next step. *Important*: Follow this step until all the account sets have been visited, and report generated.

7	• Copy and paste the account set reports into a single excel file.
	• Access My Computer.
	• Under Network Drives, double-click on the Network Attached Storage (NAS) drive:
	  - Double-click GL folder
	  - Double-click Second Day Processing folder
	  - Double-click on Second Day_CG_Miscellaneous\YYYY\month folder
	• Select Save.
	
	Important: The files are saved daily and are then deleted at the End of Day.

8	Use the table below to determine next step based on the GL type,

If the SET name is …	Then …
Any GL – the total outage is +-$50 and below	Write-off Procedures
SP-ITEM-RECD	Investigation for SP – Items Received
SP-REPAIR-SESSION	Investigation for SP - Repair
ON-LINE-SUSP-DDA	• Data Enrichment • DDA OL - Investigation for branch unit • DDA OL - Investigation for Non branch unit • DDA OL – DDA-COLT Items • DDA OL – Log Sheet Items • Matching
HOLDOVER-CC-ITEMS	Investigation for Visa GL
RFX-PUR-SALE-TXN	Investigation for RFX GL

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	SP-ELECT-BILL-PMT	Investigation for SP – Electronic Bill Payment

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Write-off Procedures

Purpose	The Vendor follows the steps in the table below to write-off any outstanding balance less than or equal to $50 without investigation.
1	Access TLM
2	Right-click DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and select Items Status Summary.
3	Select the HOLDOVER-CC-ITEMS-C account set for a specific region under the Accounts tab and right click and select Ad-Hoc items search. *Note:* The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
4	• Deselect Pending from Item status • Select Item type Stmt Ccy Credit Write off , Stmt Ccy Debit Write off , Ledger Ccy Credit Write off , Ledger Ccy Debit Write off , Select search
5	• Right-click in the grid view of Item Matches and select Export to Excel; the File Download dialog box for smartExportToExcel.do will appear. • Retain the excel file without saving it. *Note*: This file will be used for reference during the process.
6	**Are there other pending Account Sets?** • If *Yes*, return to step 3 and select the next account set under the Accounts tab. • If *No*, proceed to next step. *Important*: Follow this step until all the account sets have been visited, and report generated.
7	• Select My Computer. • Select Network Attached Storage (NAS) drive. • Double-click GL folder. • Double-click Second Day Processing folder. • Double-click Second Day_CG_Work_Allocation folder. • Double-click Branch Transits, Service Center, Special Transits folder. • Double-click Under $50 write-off folder. • Double-click the folder for the year in which you are processing (such as 2013). • **Is the folder for the current month available?** - If *Yes*: ▪ double-click the folder for the month in which you are processing (such as 01 January 2013) ▪ proceed to step 9 - If *No*, proceed to step 8

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8	• Select the File menu at the top left corner of the screen. • Select New from the drop down menu. • Select Folder from the sub-menu. • Rename the new folder for the month in which you are processing (such as 01 January 2013). • Double-click the current month's folder.

9	**Is the folder for the current day available?**
	• If **Yes**:
	  - double-click the folder for the current day (such as 20130130 (YYYYMMDD))
	  - proceed to step 11.
	• If **No**, proceed to step 10

10	• Select the File menu at the top left corner of the screen. • Select New from the drop down menu. • Select Folder from the sub-menu. • Rename the new folder for the day in which you are processing (such as 20130130 (YYYYMMDD)). • Double-click the current day's folder.
11	Return to TLM.
12	Review list of GLs and Transits on the Item Exceptions by Inbox dashboard and determine if there are any write-off items which are not eligible to be written-off. **Refer to** the Appendix H: Transits not Eligible for Write-offs.
13	**Are there write-off line items not eligible to be written-off to review and update?** • If **Yes**, proceed to step 14 • If **No**, proceed to step 16
14	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Item Exceptions by Inbox in TLM. • Right-click and select Edit Item Exception. • Enter "Transit not eligible for write-off. Outstanding balance under $50 is to be reversed by the Unit." • Select Save. • Select X in the top left corner of the Edit Item Exception dialog to close it. • Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Item Exceptions by Inbox in TLM. • Right-click and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes **Refer to** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • Proceed to step 15
15	• Send 1st Request email type **Refer to** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it. • Return to step 13

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16	• Close Adhoc item search grid view
	• Click on the History dashboard in the top right corner of the TLM application window.
	• Double-click 'Transit/GL M:N +/- 50' match category. Item Matches dashboard will open.
	• Right-click over the Select Group box in the left corner of the line items and select Collapse All. This will limit the view to outstanding balances per GL number and transit number.
	• Right-click in the grid view of Item Matches and select Export to Excel; the File Download dialog box for smartExportToExcel will appear.
	• Expand the SP Item received folder.
	• Double-click the New folder. The Items Exceptions by Inbox grid view will appear.
	• Identify the transit & account outstanding for =<$50.
	• Copy the line items and paste in the existing excel spreadsheet.
	• Select Save in the File Download dialog box.
	• Select Save As… from the drop down menu.
	• Select the drop down list in the Save in: field.
	• Select My Computer.
	• Select Network Attached Storage (NAS) drive.
	• Double-click GL folder.
	• Double-click Second Day Processing folder.
	• Double-click Second Day_CG_Work_Allocation folder.
	• Double-click Branch Transits, Service Center, Special Transits folder.
	• Double-click Under $50 write-off folder.
	• Double-click the folder for the year in which you are processing (such as 2013).
	• Double-click the folder for the month in which you are processing (such as 01 January 2013).
	• Double-click the folder for the current day (such as 20130130 (YYYYMMDD)).
	• Rename the Excel worksheet (such as Under $50 write-off 20130130.xls) in the File name: field.
	• Select Microsoft Office Excel Workbook (*.xls) in the Save as type: field.
	• Select Save.
	• Navigate to the saved Excel worksheet and double-click to open the file.
	• Delete all columns from the Excel worksheet excluding Transit, Account, Amount, and CUR columns.
	• Review GLs and Transits in Excel spreadsheet and determine if there are any write-off items which are not eligible to be written-off.
	Refer to the [Appendix H: Transits not Eligible for Write-offs.](#)
	• Review the transits in the excel spreadsheet to determine if there are any DICE transits not eligible to be written off.
	Refer to [Appendix J: DICE Transit Listing](#)
	• Delete all the line items which are not eligible to be written-off.
17	• Copy all line items in the Excel worksheet (excluding the headings) and paste them after the last line item to create a duplicate set of line items.
	• Use the table below to determine next step based on the GL number of the write-off entries.

If the GL number is …	Then …

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	900-173-6, 900-174-4, 900-341-9, or 900-490-4	• replace it with 900-500-0 (USD) in the original set of line items _**Important:** Keep the GL numbers in the duplicate set as it is._ • proceed to step 18
	990-428-5, 990-430-1, 990-935-9, 991-886-3, or 993-101-5	• replace it with 990-953-2 (CAD) in the original set of line items _**Important:** Keep the GL numbers in the duplicate set as it is._ • proceed to step 18
18		• Select the first duplicate amount cell under the column Amount. • Replace the amount with the formula "=N(#*-1)" (such as =N(C2*-1) where C2 is the cell number of the first original amount entry) to write-off the entry or entries. _**Important:** Symbol # must be replaced with the cell number of the first cell under the column Amount._ • Copy and paste the formula in each duplicated amount cell. • Select the Save icon in the toolbar at the top of the Data input Excel worksheet.
19		• Navigate to the AutomatedWrite-Off's_Upload to PeopleSoft folder in NAS drive. • Double-click PeopleSoft GL Spreadsheet Upload – Template. • Select the File menu at the top left corner of the Excel worksheet. • Select Save As… from the drop down menu. • Select the drop down list in the Save in: field. • Select My Computer. • Select Network Attached Storage (NAS) drive. • Double-click GL folder. • Double-click Second Day Processing folder. • Double-click Second Day_CG_Work_Allocation folder. • Double-click Branch Transits, Service Center, Special Transits folder. • Double-click Under $50 write-off folder. • Double-click the folder for the year in which you are processing (such as 2013). • Double-click the folder for the month in which you are processing (such as 01 January 2013). • Double-click the folder for the current day (such as 20130130 (YYYYMMDD)). • Rename the Excel worksheet (such as PeopleSoft GL Spreadsheet Upload_ 20130130.xls) in the File name: field. • Select Save. _**Important:**_ • Always select Save As… to rename the template and before populating the rows. • Original format of the template must be retained. _**Note:** Keep the Excel worksheet open._
20		• Select Journal Header under Journal Entry Template. • Enter description in the Description: field (such as 31/01/2013 – Processed to write-off under $50 – GL Officer's Name) of Edit Journal Header pop-up window. • Select OK.

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	• Select Journal Lines under Journal Entry Template.
	• Select +… to open Insert Multiple Lines pop-up window.
	• Enter the required number of lines (based on the total number of lines - original as well as corresponding write-off entry or entries - in the Data input Excel worksheet) in the Number of Lines field.
	• Select Insert.
	• Copy the transit numbers from the Transit column in the Data input Excel worksheet and paste them under the column Oper Unit in PeopleSoft GL Spreadsheet Upload Excel worksheet.
	• Copy the GL numbers from the Account column in the Data input Excel worksheet and paste them under the column Account in PeopleSoft GL Spreadsheet Upload Excel worksheet.
	• Enter "*LOCGAAP*" against all line items under the column GAAP in the PeopleSoft GL Spreadsheet Upload Excel worksheet.
	• Copy the currencies from the CUR column in the Data input Excel worksheet and paste them under the column Currency in PeopleSoft GL Spreadsheet Upload Excel worksheet.
	• Copy the amount from the Amount column in the Data input Excel worksheet and paste them under the column Amount in PeopleSoft GL Spreadsheet Upload Excel worksheet.
	• Enter description (as previously entered in the Description: field of Edit Journal Header pop-up window) against each entry under the column Disptn/Descr in the PeopleSoft GL Spreadsheet Upload Excel worksheet.
	• Select the icon next to the heading Spreadsheet Journal Import, in the PeopleSoft GL Spreadsheet Upload Excel worksheet, to import the line items in PeopleSoft.
	• Enter the login ID in the User ID: field (such as PINE\GL Officer's ID).
	• Enter the password in the Password: field.
	Note: Password is case sensitive.
	• Select OK to import the line items in PeopleSoft.
	• Click Save in the Excel toolbar to save all the changes.
	• Select X on the top right corner of the PeopleSoft GL Spreadsheet Upload Excel worksheet to close it.
21	• Access PeopleSoft
	• Select General Ledger under Menu.
	• Select Journals under General Ledger.
	• Select Journal Entry under Journals.
	• Select Create/Update Journal Entries.
	• Select Find an Existing Value tab.
	• Use the calendar icon to select the current business date in the Journal Date: field.
	• Enter "*Upload Journals*" in the Source: field.
	• Select Search.
	• Select the applicable PeopleSoft GL Spreadsheet Upload Excel worksheet.
	• Select the Lines tab.
	• Select the drop down list in the *Process: field.
	• Select Edit Journal.
	• Select Process.
	• Select Submit Journal.
	• Select Process.

	• Access Outlook. • Select the New Mail Message icon in the toolbar at the top of the screen. • Enter Capgemini Team Leader's email ID in the To... field. • Enter "*PeopleSoft Entry Approval"* in the Subject: field. • Enter "Approve the PeopleSoft entry/entries." in the body of the email. • Select the Send icon in the toolbar at the top of the New Mail Message screen.
22	Proceed to Aging Items Review for the 2nd Day Balancing Write-offs Exception Type.

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Data Enrichment

Purpose	The vendor follows the steps in the table below to add descriptive data to the exception transaction to be used in the matching and investigation processes.
Step	**Action**
1	Access TLM
2	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
3	Select the ON-LINE-SUSP-DDA account set for a specific region under the Accounts tab and double-click to open. *Note:* The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
4	• Select Exceptions tab in the Items dashboard • Select Exceptions folder to open the Exceptions tree view
5	• Expand the DOMESTIC BANKING folder • Expand the first exception type folder • Double-click the New folder to open the exceptions. The Item Exceptions by Inbox grid view will appear *Important*: Selecting the New folder will display all items requiring enrichment regardless of the exception

6	Filter the transactions by source system
	  • Scroll to the right in the Item Exception by Inbox grid view to locate the Source System column
	  • Right-click on the Source System column name and Select Show Filters.
	  • Select the cell below the Source System name and right-click to display the filter menu
	• **Are there any MANUAL items?**
	  - If **Yes**, select MANUAL and proceed to the next step
	  - If **No,** proceed to step 17

7	• Use the chart below to determine how to proceed.

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If…	Then…
trace number is 8 digits and begins with 956	The item is a Service Platform entry • Proceed to step 11
trace number is 11 digits and begins with 79	The item is a PeopleSoft entry • Proceed to step 13
trace number is 11 digits and begins with 9	Proceed to the next step

8	• Access IRIS and perform a Single Account Image search ***Refer to*** Image Retrieval System (IRIS) Guide • Select the first line item in the grid view of Item Exceptions by Inbox in TLM. • Copy the transit number from the Transit column in the grid view and paste it in the Transit/Account: field under the Mandatory Criteria in IRIS. • Copy the account number from the Account column in the grid view and paste it in the Transit/Account: field under the Mandatory Criteria in IRIS. • Copy the process date from the Process Dt column in the grid view and paste it in the Processed On/From: field under the Mandatory Criteria in IRIS. • Select Search. • Use the table below to determine how to proceed. <table><tr><td>**If…**</td><td>**Then…**</td></tr><tr><td>An image is located</td><td>Proceed to step 9</td></tr><tr><td>An image is ***not*** located</td><td>• Return to TLM • Select the line item from the grid view and double click to open the exception. • Select the button beside the Inbox field • Select FSS DB ESCALATIONS • Select the Select button • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Enter "*No IRIS Image located*" in the Note field. • Select the calendar icon beside the Next Review Date. • Select a date 1 business day in the future. • Select Save. • Proceed to step 16</td></tr></table>

9	• Review the image of the item. • Use the table below to determine how to proceed. <table><tr><td>**If…**</td><td>**Then…**</td></tr></table>

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	A description is present and legible	Proceed to step 10
	A description is **not** present or illegible	• Return to TLM • Select the appropriate Exception Reason and resolution code • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select New Message • Select BUSINESS ENTITY from the Recipient field drop-down list • Select Send • Select the calendar icon beside the Next Review Date field • Select a date 2 business days from the current date • Select Save • Select X on the top right corner of the Exception tab to close. • Proceed to step 16 ***Important:*** If the message cannot be sent, select THIRD PARTY in the Recipient Field and input the email contact details in the Address field for the transit under review. ***Refer to*** the Service Partner Escalation Contact Lists section in the Cross Functional Processes SOP
10		• Right-click on the item under review • Select Edit Item Exception • Record any information from the IRIS image which was hand-written in the Source System Reference field • Proceed to step 16
11		• Access Siebel • Select Service Platform from the top of the screen • Select General Ledger Trace Number under the General Ledger heading under Inquires • Return to the line item in the grid view on TLM and copy the account number from the Account column in the grid view • Return to Siebel and paste it in the GL Account Number field • Select Next Prompt • Return to TLM and copy the trace number from the Trace Number column in the grid view • Return to Siebel and paste it in the GL Trace Number field • Select Next Prompt • Return to TLM and copy the amount from the Amount column in the grid view • Return to Siebel and paste it (without the $ sign and commas) in the Transaction Amount ($) field • Select Next Prompt • Enter the current process date in MM/DD/YYY format or use the calendar icon to select the date in the Session Date field

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	• Select Go
12	• Review the results • Scroll to the right of the screen • **Is there information in the Additional Details field?**

If the additional detail is …	Then …
available	• select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Item Exceptions by Inbox in TLM • right-click and select Edit Item Exception • copy the details from Additional Details column in Siebel and paste it in the Source System Reference field of the Edit Item Exception pop-up window • copy Client Account Number found in Siebel and paste it in the Matching Reference field of the Edit Item Exception pop-up window • select Save • select X on the top right corner of the Edit Item Exception pop-up window to close it • proceed to step 16
not available	• select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Item Exceptions by Inbox in TLM • right-click and select Exception Detail • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • select the Select button • use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date • select Save • send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • select X on the top right corner of the Exception Detail tab to close it • proceed to step 16

13	Access PeopleSoft

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14	• Enter [Blank] in the Filter field of the Disposition column.
	
	• Press Enter on the keyboard.
	
	• **Are there any line items with blank Disposition field?**
	
	  - If **Yes**, proceed to step 16
	  - If **No**, proceed to:

15	• Select the Select Row checkbox appearing in the left corner of the first line item in the grid view of Item Exceptions by Inbox in TLM.
	
	• Scroll to the right to the Inputter/Teller column in TLM.
	
	• Copy the Inputter name of the line item under review.
	
	  Note: This the person who posted the entry
	• Access Outlook.
	• Paste the Inputter's name in To, Cc or Bcc field.
	• Press Ctrl and K on the keyboard.
	• Double-click on name and copy email address
	• Right-click the line item under review in TLM and select Exception Detail.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	  Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Select Save.
	• *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for poster of entry*
	• Proceed to the next step

16	**Are there more line items in the grid view with a source system of MANUAL?** • If **Yes**, return to step 6 • If **No**, proceed to the next step
17	**Are there more account sets that have not been checked?** • If **Yes**, return to step 3 and select the next account set • If **No**, proceed to the next step

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18	Proceed to the **Investigation for ON-LINE-SUSP-DDA**
	<u>Check: What is the Transit Number?</u>

If…		Then…
3009	CAL AB-BUS SRV CTR	
7512	TOR ON BUSINESS SRV CTR	
2866	TOR ON PSC ONT PERS LNS PROCSS	
7402	TOR CASH OPS CTR-MET&ONT DIST	
1963	ST JOHNS NL CASH OPS CTR	
8366	CASH OPS-NIGHT DEPOSIT PROC	
8034	TOR SD COLL 3CAP BCC	
8036	TOR SD COLL 3CAP OCC	
1854	RD-MONCTON-OCC ACCESS	
5219	RD-WPG CALL CTR-OCC ACCESS	
528	RD-MONCTON-BCC ACCES	
1693	RD-BCC ACCESS-ONTARIO	
5634	REG SK PERSONAL LOANS PROC	Non Branch unit
358	MTL PBSC - LIABILITY	
9105	REG WCSLSC-ADMIN	
537	TOR SD PS 3 CAP BCC	
1358	TOR PSC-MTGS SKTCHWN	
2769	TOR PSC-MTGS ALBERTA & NWT	
8100	VAN BC-BC DEALER DIR-INDIR LND	
8943	TOR ON METRO/ON MTG CENTRE #4	
1705	MTL SD PS MORTGAGE PROC	
5410	TOR INVESTIGATIONS CENTRE	
5218	RD-WPG CALL CTR-BCCC ACCESS	
111	RD-MONTREAL SUPPORT ADMIN	
9186	MISS ON RD SALES CENTRE	
Any other Transit		Branch unit

19	**Are the tranits are of Non Branch unit?**
	• If **Yes**, proceed to DDA OL– DDA-COLT Items
	• If **No**, proceed next step

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DDA OL - Investigation for Branch Unit

Purpose	The Vendor follows the steps in the table below to investigate exceptions, assign reason and resolution codes, and send email message to the Unit and Service Partner for the resolution.
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select the ON-LINE-SUSP-DDA account set for a specific region under the Accounts tab and double-click to open. **Note:** The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western
3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the 2ND DAY ITEMS exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.
5	• Select the Items tab in the Items dashboard. • Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear. • Right-click the header of Items by Status grid. • Select Show Filters. • Click in the filter field of the Transit column; a drop down list will appear. • Select the transit number under review. • Click in the filter field of the Account column; a drop down list will appear. • Select a GL number under review.

6	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review:
	  - Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear.
	  - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date.
	  - Select all items from all Process Dates except for the Process Date under review and newer.
	  - Select all back-dated items from the Process Date under review.
	
	Important: Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM.
	
	  - Review the total amount of the selected line items at the bottom of the screen.

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	Does the total amount of the selected items fall within the -$50 / +$50 range?
	  - If **Yes**, investigation is not required for the GL and transit number under review. Return to step 4 and select the next GL and transit combination on the Item Exceptions by Inbox dashboard.
	  - If **No**, proceed to step 7.	

7	- Determine the current outstanding balance for the GL number and transit number under review. *Important:* Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view. - Use the table below to determine the next step based on the transit number under review.	

If the transit number is …	Then …
06806	proceed to step 8.
05420 or 05654	proceed to step 11.
Any other	proceed to step 20.

8	- Access OnDemand. - Select the drop down list in the Server field. - Select OCC-CM-OnDemand for the Central (Toronto) region. *Important:*
	 - For Eastern (Montreal) region, the server is QCC-CM-OnDemand.
	 - For Western (Vancouver) region, the server is BCCC-CM-OnDemand. - Enter the user ID in User ID field. - Enter the password in Password field. *Note:*
	 - GL Officer must enter his or her user ID and password in the designated fields.
	 - ID and password are not case sensitive. - Select OK. - Select Find. - Enter "*DDBBRA09803M-TOR-CK00*" in the String field to retrieve RET.DDA PCA BR. TO BR. – TORCK098 Report. *Important:* Use the following reports for the other 2 regions:
	
	 - for the Eastern region (Montreal (QCC)), retrieve the following reports:
	
	  ▪ use the string "*DDBSHO00102Y-HAL-CK00*" to retrieve RET SHORT JOURNAL – MULTI – HALCK Report
	  ▪ use the string "*DDBSHO00102Y-MTL-CK00*" to retrieve RET SHORT JOURNAL – MULTI – MTLCK Report.
	
	 - for the Western region (Vancouver (BCCC)), retrieve the following reports:
	
	  ▪ use the string "*DDBSHO00102Y-CAL-CK00*" to retrieve RET SHORT JOURNAL – MULTI – CALCK Report	

> ▪ use the string "*DDBSHO00102Y-VAN-CK00*" to retrieve RET SHORT JOURNAL –
>   MULTI – VANCK Report
> ▪ use the string "*DDBSHO00102Y-WIN-CK00*" to retrieve RET SHORT JOURNAL –
>   MULTI – WINCK Report.
>
> - Select Open.
> - Use the table below to determine how to proceed for different regions, starting with
>   Central.

If the region is ...	Then ...
Central (Toronto)	• copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the TRANSIT field in OnDemand • enter current business days' date in the first POSTING DATE (MM/DD/YY) field • enter the current business days' date in the second POSTING DATE (MM/DD/YY) field *Note:* The second POSTING DATE (MM/DD/YY) field will have the current date by default. • select Search • select current business days' date under the POSTING DATE (mm/dd/yy) • select View All Selected • proceed to step 9.
Eastern (Montreal) or Western (Vancouver)	• enter current business days' date in the first POSTING DATE (MM/DD/YY) field • enter the current business days' date in the second POSTING DATE (MM/DD/YY) field *Note:* The second POSTING DATE (MM/DD/YY) field will have the current date by default. • select Search • select View Full Report • select the Find a specified text string icon in the toolbar at the top of the screen • enter the transit number (06806) in the String field in OnDemand • select Find All • proceed to step 10.

9	• Select the Edit menu at the top left corner of the OnDemand report. • Select Copy Document pages to File…. • Select All pages radio button under the Pages in the Copy Document page to File pop up window. • Select ASCII Text radio button under the Format in the Copy Document page to File pop up window. • Select Browse.

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	• Select the drop down list in the Save in: field. • Select Desktop. • Rename the file in the File name: field [such as 08/09/2013(current date)]. • Select Save. *Important:* Delete all documents saved temporarily for mailing and/or uploading purposes. • Select OK on the Copy Document page to File pop up window to close it. • Double-click the file saved on desktop. • Select Microsoft Office Excel in the Open with pop up window. • Select OK. • Select OK in the Microsoft Excel error pop up window. • Select OK again in the Microsoft Excel error pop up window. • Select the Data menu at the top right corner of the Toronto 08/09/2013 Excel worksheet. • Select Text to Columns…. • Select Next in the Convert text to Column Wizard – step 1 of 3 pop up window. • Select the arrow to adjust all the data fall within the columns. • Select Next in the Convert text to Column Wizard – step 2 of 3 pop up window. • Select Finish. • Return to step 8 for Eastern region.
10	• Select the Edit menu at the top left corner of the OnDemand report. • Select Copy Document pages to File…. • Select All pages radio button under the Pages in the Copy Document page to File pop up window. • Select ASCII Text radio button under the Format in the Copy Document page to File pop up window. • Select Browse. • Select the drop down list in the Save in: field. • Select Desktop. • Rename the file in the File name: field [such as 08/09/2013(current date)]. • Select Save. *Important:* Delete all documents saved temporarily for mailing and/or uploading purposes. • Select OK on the Copy Document page to File pop up window to close it. • Double-click the file saved on desktop. • Select Microsoft office Excel in the Open with pop up window. • Select OK. • Select OK in the Microsoft Excel error pop up window. • Select OK again in the Microsoft Excel error pop up window. • Select the Data menu at the top right corner of the Toronto 08/09/2013 Excel worksheet. • Select Text to Columns…. • Select Next in the Convert text to Column Wizard – step 1 of 3 pop up window. • Select the arrow to adjust all the data fall within the columns. • Select Next in the Convert text to Column Wizard – step 2 of 3 pop up window. • Select Finish. • Delete the first three columns in the Toronto 08/09/2013 Excel worksheet. • Right-click columns F, G, H, I, J and select Cut. • Use the down arrow key on the keyboard under column A till you reach a blank cell.

	• Paste the cut data in the blank cell.
	• Right-click columns K, L, M, N, O and select Cut.
	• Use the down arrow key on the keyboard under column A till you reach a blank cell.
	• Paste the cut data in the blank cell.
	• Select the Data menu at the top right corner of the Toronto 08/09/2013 Excel worksheet.
	• Select AutoFilter from the Filter sub menu.
	• Select the transit number 06806 from column E.
	• **Have Western region transactions been extracted to Excel?**
	  - If **Yes**, proceed to step 11.
	  - If **No**, return to step 8 for Western region.

11	• Go to Second Day_DDA Crossmatch Raw Data folder on NAS drive @ \\maple.fg.rbc.com\data\Toronto\APP\WDC0\GL\Second_Day_Processing\Second Day_DDA Crossmatch Raw Data • Select the folder for the current year (such as 2013). • Select the folder for the current month (such as Aug). • Double-click the applicable region DDA Cross Match Excel worksheet (Central, East or West). • Use the table below to determine the next step based on the transit number of the line item under review. <table><tr><td>**If the transit number is …**</td><td>**Then …**</td></tr><tr><td>06806</td><td>• match the corresponding entries of the transit number under review of the applicable region Excel worksheet (such as Toronto) with the DDA Cross Match Excel worksheet with the entries • match the corresponding amount of the transit number under review of the applicable region Excel worksheet (such as Toronto) with the amount of the line items under review in the grid view of Items by Status in TLM • proceed to step 12.</td></tr><tr><td>05420 or 05654</td><td>• match the amount of the entries of the DDA Cross Match Excel worksheet with the net balance of items selected for review in TLM • **Do the amount(s) found in DDA Cross Match Excel worksheet match next balance of select items under review?** - If **Yes**, proceed to step 13. - If **No**, proceed to step 12.</td></tr></table>
12	**Have all line items causing the outstanding balance been identified?** • If **Yes**, proceed to step 47. • If **No**, proceed to step 19.
13	Use the table below to determine how to proceed based on where the unmatched entries are located. <table><tr><td>**If the unmatched entries are found in ...**</td><td>**Then ...**</td></tr><tr><td>applicable region Excel worksheet (Central, East or West)</td><td>• determine the Branch Transit number under the column Branch Transit of the unmatched item • determine the account number under the column Account # of the unmatched item</td></tr></table>

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		• proceed to step 14.
	DDA Cross Match Excel worksheet	• determine the Branch Transit number under the column Branch Transit of the unmatched item • determine the account number under the column Account # of the unmatched item • determine the teller number of the Teller # the column Teller # of the unmatched item • proceed to step 14.

	TLM	Follow these steps for every outstanding line item found in TLM which could not be matched with corresponding items within Excel spreadsheets.
		
		Important: Exclude outstanding line items for the GL and transit number under review where Source System is O-L DDA or SP.
		
		• select the Select Row checkbox appearing in the left corner of the outstanding line item in the grid view of Items by Status in TLM, which was not matched with corresponding items within Excel spreadsheets
		• right-click and select Edit Item Exception
		• enter "Not Posted but GL Processed." in the Source System Reference field
		• select Save
		• select X on the top right corner of the Edit Item Exception pop-up window to close it
		• right-click the line item under review and select Exception Detail
		• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
		
		  Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
		• select the Select button
		• use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date
		• select Save
		• send 1st Request email type
		
		  Refer to Appendix A: Procedure for Sending an email.
		• select X on the top right corner of the Exception Detail tab to close it
		• select X on the top right corner of the Toronto 08/09/2013 Excel worksheet to close it
		• proceed to step 16.

14		• Locate an outstanding line item for the GL, transit number and process date under review, where Source System is O-L DDA. • Select the Select Row checkbox appearing in the left corner of the line item.

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	• Right-click and select Item Create Split. • Select Debit or Credit under the column Db/Cr of the Item Create Split tab based on the transaction type of the unmatched item (enter Credit if unmatched item in spreadsheet is a Debit, and enter Debit if unmatched item iin spreadsheet is a Credit). • Enter the unmatched amount found in Excel spreadsheet in the Amount column of the current row.

15	• Scroll down to review the Difference field at the bottom of the Item Create Split tab.
	• Determine if it lists as a Debit or a Credit.
	• Select the drop down list under the column Dr/Cr in the next row.
	• Select the same transaction type (that is, Debit or Credit) from the drop down list.
	• Enter the amount located in the Difference field under the column Amount.
	• Scroll down again to review the Difference field at the bottom of the Item Create Split.
	• **Is the difference amount in the Difference field equal to 0?**
	  - If **Yes**:
	    ▪ select Save
	    ▪ select OK
	    ▪ proceed to step 16.
	  - If **No**:
	    ▪ correct your line item(s) accordingly and then select Save
	    ▪ select OK
	    ▪ proceed to step 16.

16	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM.
	• Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review.
	• De-select any other line item that contributes to the outstanding balance.
	
	  Note: These are items that were split in previous step (items that equal amount found in spreadsheet)
	• Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0.
	  Important: When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0.
	• Right-click over the selected group of line items and select Match.
	• Select OK.

17	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type.
	• **Are there line items where the exception type is blank?**
	  - If **Yes**, proceed to step 18.
	  - If **No**, proceed to step 38.

18	• Select the Select Row checkbox appearing in the left corner of the first line item with the blank exception type. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field.

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	• Select 2ND DAY ITEMS
	• Select the Select button.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	    Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Select Save.
	• Select the Items by Status tab
	• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window
	• Enter "*process date [mm/dd/yyyy], teller# [enter #], [enter DR or CR (from TLM)], client#[enter transit]-[enter account number], no offsetting [enter CR if exception is a DR or DR if exception is a CR] was processed to [enter transit of exception]-[enter GL number of exception]. Please investigate and correct* " in the Source System Reference and Additional Details fields
	
	    Note: Teller and Client # are in Crossmatch raw data spreadsheet next to the amount
	• Enter the client account number of the unmatched exception in the Matching Reference field
	• Select Save and then close the window
	
	<table><tr><td>**If transit …**</td><td>***Send 1st Request email type to THIRD PARTY recipient using following email address …***</td></tr><tr><td>05420 or 05654</td><td>oscadctrl@rbc.com</td></tr><tr><td>06806</td><td>payrollefo@rbc.com</td></tr></table>
	• Return to step 17.

19	• Access Siebel
	• Select Service Platform on the top of the screen.
	• Select Search by Workstation ID under Client Session Search heading under Inquiries.
	• Copy the workstation ID for the corresponding transit number under review and paste it under Workstation Id field in Siebel.
	
	    Refer to the Appendix E: Special Centre Workstation ID List.
	• Select Next Prompt.
	• Enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the both the Calendar Date field.
	• Select Go.
	• **Is there an amount available for the selected workstation ID which is the same as remaining outstanding balance amount?**
	  – If ***Yes***:
	    ▪ select the session ID under the column Session ID in Siebel of the corresponding outage amount of the line item under review in TLM
	    ▪ proceed to step 36.
	  – If ***No***:

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	▪ search with all the other workstation Ids available, until amount matching the remaining outstanding balance is found ▪ select the session ID under the column Session ID in Siebel of the corresponding outage amount of the line item under review in TLM ▪ proceed to step 36.
20	• Determine the current outstanding balance for the GL number and transit number under review. *Important:* Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view. • Review outstanding line items to identify Service Platform, People Soft, and IRIS entries. • Use the source system identification table below to determine the source system of the outstanding line items for the GL and transit number under review. <table><tr><th>Source System Name</th><th>Source System ID in TLM</th><th>Trace Number Filter</th><th>Find Transaction details in…</th></tr><tr><td>IRIS</td><td>MANUAL</td><td>9*</td><td>IRIS</td></tr><tr><td>Service Platform</td><td>MANUAL</td><td>000956*</td><td>Siebel</td></tr><tr><td>PeopleSoft</td><td>[blank] PS_REV_TRA</td><td></td><td>TLM</td></tr></table>
21	• Review outstanding Service Platform, People Soft, and IRIS line items to determine if they correspond to the outstanding balance. • **Are there Service Platform, People Soft, and/or IRIS entries related to the outstanding balance?** – If *Yes*, proceed to step 22. - If *No*, proceed to step 29.
22	Use the table below to determine how to proceed based on the source system identified for the line item under review. <table><tr><th>If the source system is …</th><th>Then …</th></tr><tr><td>Service Platform</td><td>• access Siebel • select Service Platform on the top of the screen • select General Ledger Trace Number under the General Ledger heading under Inquiries • copy the GL number of the line item under review from the Account column in the TLM and paste it in the GL Account Number field in Siebel • select Next Prompt • copy the trace number excluding zero from the line item under review from Trace Number column in the TLM and paste it in the GL Trace Number field • select Next Prompt</td></tr></table>

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		- copy the amount from the line item under review from Amount column in the TLM (without the $ sign and commas) and paste it in the Transaction Amount ($) field - select Next Prompt - enter the most recent process date from TLM in MM/DD/YYYY format or use the calendar icon to select the date in the Session Date field - select Go - copy the session number under the Session Number column - proceed to step 23.
	IRIS (trace number starts with 9 and is 11 digits)	- access IRIS to review the image of the entry to obtain the description and the source transit - copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS - copy the account number from the Account column in the grid view of Items by Status in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS - enter the corresponding process date of the line item under review from the grid view of Items by Status, in the Processed On/From: field under the Mandatory Criteria of IRIS - copy the trace number excluding the first digit (such as 9)from the line item under review from Trace Number column in the TLM and paste it in the Item Sequence #: field in IRIS - select Search - determine the source transit in the image - proceed to step 24.
	ATF (trace number starts with 991 or 992 and is 11 digits)	- Access ATF - Select Incoming to display Search Incoming screen - Enter process date of exception in Process Date Begin Value field in format YYYY-MM-DD - Enter trace number of exception **without** first digit in Sequence Number Begin Value field - Select Search All to display Item Details View screen - Select Show Image to display Item Details with Image screen - Proceed to step 24
	PeopleSoft	proceed to step 26.
23		- Select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM. - Right-click and select Edit Item Exception. - Enter "Session Number [paste the session number]. Entry was processed in error to the GL# [insert GL number]." in the Source System Reference field. - Select Save. - Select X on the top right corner of the Edit Item Exception pop-up window to close it. - Right-click the line item under review and select Exception Detail. - Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes

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	Refer to [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Send 1st Request email type ***Refer to*** [Appendix A: Procedure for Sending an email](#) • Select X on the top right corner of the Exception Detail tab to close it. • Proceed to [step 27](#).
24	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "*Entry processed in error to the GL# [insert GL number] Trace # [insert trace number] was processed to transit number [insert transit number. But no client transaction was processed to client account number [insert client account number]."* in the Source System Reference field • Select Save and close window
25	• Double-click on exception to display Exception tab • Select applicable reason and resolution codes ***Refer to*** [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • Select calendar icon to right of Next Review Date field and select date that is 4 business days from current days date • Select Save and close tab • Proceed to [step 27](#).
26	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "Entry was processed in error to the GL# [insert GL number].*"* in the Source System Reference field. • Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Right-click the line item under review and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Determine email contact ***Refer to*** [Appendix G: People Soft Entry Contact List](#). • *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact*
27	**Have all line items causing the outstanding balance been identified?** • If **Yes**, proceed to step 28. • If **No**, proceed to step 29.

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28	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK. • Proceed to step 47.
29	• Access Siebel • Select Service Platform on top of screen • Select Search by Transaction Type under Client Session Search heading under Inquiries • Select or enter current process date in format MM/DD/YYYY in Batch Create Date field • Select Next Prompt • Enter transit number of exception under review in Transit Number field • Select Next Prompt • Enter applicable currency in Currency Code field • Select Next Prompt • Select Account Deposit, Account Withdrawal, Debit Memo and Credit Memo under Transaction Type • Select Go • Select All Pages button at bottom of screen • Download results to Excel • Under Transaction Type filter to Credit Memo & Account Deposit • Sum up total of transactions and verify if it matches to the SP credit in the GLUS • Go back to TLM and select process date under review • Check box for SP credit • Under Source System check debits for all O-L-DDA • Check to see if there is a difference <table><tr><td>**If …**</td><td colspan="2">**Then …**</td></tr><tr><td rowspan="2">Yes</td><td colspan="2">• Go back to Siebel excel file • Under Transaction Time, filter to items 17:00 and older • Review items to determine the difference</td></tr><tr><td><table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>Found</td><td>Check following days to see if the items have come into the GL • If **Yes**, match them off in TLM • If **No**, transfer to FSS for assistance</td></tr><tr><td>Not found</td><td>• Split the SP credit into the difference amounts • Update exceptions with session number and email the unit to correct • Proceed to</td></tr></table></td></tr></table>

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| | No | • Match exceptions |
| | | • TBD |

• Repeat the steps for Account Withdrawal and Debit Memo then proceed to next step

30	• Select My Computer.
	• Select Network Attached Storage (NAS) drive.
	• Double-click GL folder.
	• Double-click Second Day Processing folder.
	• Double-click Second Day_DDA Cross Match Raw Data folder.
	• Select the folder for the current year (such as 2013).
	• Select the folder for the current month (such as Aug).
	• Double-click the applicable region Excel worksheet (Eastern, Toronto or Vancouver).
	• Select the corresponding transit of the GL and transit number under review from the Action Transit dropdown in DDA Cross Match Excel worksheet.
	• Review items on the DDA Cross Match Excel worksheet and look for the item or items equal to the remaining outstanding balance in TLM for the GL and transit number under review.
	• **Are there one or multiple items on the worksheet whose total is equal to the outstanding balance amount under review in TLM?**
	- If **Yes**, proceed to step 31.
	- If **No**, proceed to step 30.
31	• Select the corresponding transit of the line item under review from the Branch Transit dropdown in DDA Cross Match Excel worksheet.
	• Review items on the DDA Cross Match Excel worksheet and look for the item or items equal to the remaining outstanding balance in TLM for the GL and transit number under review.
	• **Are there one or multiple items on the worksheet whose total is equal to the remaining outstanding balance amount under review in TLM?**
	- If **Yes**, proceed to step 31.
	- If **No**, proceed to step 35.
31	• Review items in TLM for the GL and transit number under review to determine if any of them are matching the items found on the DDA Cross Match worksheet.
	• **Are there any items in TLM matching the items found on the DDA Cross Match worksheet?**
	- If **Yes**, proceed to step 35.
	- If **No**, proceed to step 32.
32	• Select the Select Row checkbox appearing in the left corner of an outstanding line item for the GL and transit under review in TLM with the source system as O-L DDA and which is not a part of the outstanding balance.
	• Right-click and select Item Create Split.
	• Select the drop down list under the column Dr/Cr in the current row.
	• Select Credit or Debit based on the sign of the outstanding balance.
	• Enter the amount of the item located on the DDA Cross Match worksheet under the column Amount in the current row.
	Important: For each items located on the DDA Cross Match worksheet, enter a separate line item in the Item Create Split tab in TLM.
	• Scroll down to review the Difference field at the bottom of the Item Create Split tab.
	• Determine if it lists as a Debit or a Credit.

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	• Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** 	

If …	Then …
Yes	Select Save
No	Correct your line item(s) accordingly and then select Save

• Select OK

32	Use the table below to determine how to proceed based on the Teller number listed under the column Teller # in the DDA Cross match Excel worksheet for the matched entries.

If the teller number is …	Then …
1,2,3,6 or 7	• access IRIS • select Transaction History tab • select Account from the Start by selecting a search type from the drop-down list • copy the branch transit number for the corresponding outage amount under the column Branch Transit in DDA Cross match Excel worksheet and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • copy the account number for the corresponding outage amount under the column Account # in the DDA Cross Match Excel worksheet and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • select Search • determine if the outage amount found in DDA Cross match Excel worksheet in showing under Debitts/Cheques column or Credits/Deposits column • proceed to [step 34]().
11 or 12	• select the Select Row checkbox appearing in the left corner of the line item resulted from the split in the grid view of Items by Status in TLM • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select 2ND DAY ITEMS • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** TLM [Transaction Lifecycle Management (TLM) System Guide]() for detailed instructions

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		• select the Select button • use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date • select Create • select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM • right-click and select Edit Item Exception • enter "Process date [insert process date in YYYY/MM/DD format from the Excel worksheet]. Teller # [insert teller number from the Excel worksheet]." in the Source System Reference field of the Edit Item Exception dialog • select Save • select X on the top right corner of the Edit Item Exception pop-up window to close it • proceed to step 38.
	any other	proceed to step 34.

33		• Select the Select Row checkbox appearing in the left corner of the line item created from the split in the grid view of Items by Status in TLM.
		• Right-click and select Edit Item Exception.
		• Is the outage amount available in teller numbers' 1,2,3,6 or 7?
		  - If **Yes**:
		    ▪ enter "On process date [insert process date in YYYY/MM/DD format from the Excel worksheet]. The clients account # [insert client's account number from the Excel worksheet] was credited or debited for amount [insert amount from the Excel worksheet]." in the Source System Reference field
		    ▪ enter client account number from the Excel worksheet under the column Matching Reference on the Edit Item Exception pop-up window.
		
		  - If **No**:
		    ▪ enter "On process date [insert process date in YYYY/MM/DD format from the Excel worksheet] there was a teller number [insert teller number from the Excel worksheet] posting to client's account number [insert client's account number from the Excel worksheet] for amount [insert amount from the Excel worksheet] using Application launch Pad" in the Source System Reference field
		    ▪ enter client account number from the Excel worksheet under the column Matching Reference on the Edit Item Exception pop-up window.
		
		• Select Save.
		• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
		• Select the Select Row checkbox appearing in the left corner of the line item under review.
		• Right-click and select Exception Creation.
		• Select the button next to the Inbox field.
		• Select DOMESTIC BANKING.
		• Select the Select button.
		• Select the button next to the Exception Category field.
		• Select Cash.
		• Select the Select button.
		• Select the button next to the Exception Type field.
		• Select 2ND DAY ITEMS

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	• Select the Select button.
	• Select Create.
	• Select the Select Row checkbox appearing in the left corner of the line item under review.
	• Right-click the line item under review and select Exception Detail.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	    Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Select Save.
	• Select the Items by Status tab
	• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window
	• Enter "*Teller number [enter the Teller number from the DDA Cross Match worksheet]*" in the Source System Reference field
	• Enter the Client Account Number from the DDA Cross Match worksheet in Matching Reference field
	• Select Save and then close the window
	• Select the Exception tab
	• Send 1st Request email type
	
	    Refer to Appendix A: Procedure for Sending an email
	• Select X on the top right corner of the Exception Detail tab to close it.
	• Proceed to step 38.

34	• Access Siebel • Select Service Platform on the top of the screen. • Select Search by Transaction Type under Client Session Search heading under Inquiries. • Enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field. • Select Next Prompt. • Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the Transit Number field in Siebel. • Select Next Prompt. • Enter the applicable currency in the Currency Code field in Siebel. • Select Next Prompt. • Select Account Deposit, Account Withdrawal, Debit Memo, Credit Memo under Transaction Type. • Select Go. • Select the All Pages button at the bottom of the screen in Siebel. • Select the session number under the column Session Number for the corresponding outage amount of the GL and transit number under review.
35	• Access IRIS. • Select Transaction History tab. • Select Account from the Start by selecting a search type from the drop-down list. • Copy the transit number next to the Account Business Deposit TRX type from the Deposit Transit column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS.

	• Copy the account number next to the Account Business Deposit TRX type from the Account No column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS. • Determine if the Session Date: in Siebel is the same under the column Date (yyyy/mm/dd) in IRIS for the corresponding outage amount found in Siebel. • Use the table below to determine how to proceed.

If the session date is …	Then …

different	• select the Select Row checkbox appearing in the left corner of an outstanding line item for the GL and transit under review with the source system as O-L DDA and which is not part of the outstanding balance
	 • right-click and select Item Create Split
	 • select the drop down list under the column Dr/Cr in the current row
	 • select Credit or Debit based on the sign of the outstanding balance
	 • enter the amount of the located outstanding balance under the column Amount in the current row
	 • scroll down to review the Difference field at the bottom of the Item Create Split tab
	 • determine if it lists as a Debit or a Credit
	 • select the drop down list under the column Dr/Cr in the next row
	 • select the same transaction type (that is, Debit or Credit) from the drop down list
	 • enter the amount located in the Difference field under the column Amount
	 • scroll down again to review the Difference field at the bottom of the Item Create Split tab
	 • **Is the difference amount in the Difference field equal to 0?**
	   - If **Yes**:
	     ▪ select Save
	     ▪ select OK
	     ▪ proceed to step 37.
	   - If **No**:
	     ▪ correct your line item(s) accordingly and then select Save
	     ▪ select OK
	     ▪ proceed to step 37.

the same	proceed to [Investigation for Repair Session]().

36	• Select the Select Row checkbox appearing in the left corner of the line item created for the located outstanding balance. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field.

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	• Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date. • Select Save. • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Extended Hour. Process date [enter the date in the format YYYY/MM/DD]. Session number [enter the session number].*" in the Source System Reference field • Select Save and then close the window
37	**Have all line items causing the outstanding balance been identified?** • If **Yes**, proceed to step 39. • If **No**, proceed to step 40.
38	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. ***Important:*** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.

39	**Is there any unlocated outage within +/- $50 range to be reversed?**
	
	• If **Yes**, proceed to step 41.
	• If **No**:
	  - continue the investigation until all line items causing the outage are identified
	  - return to step 39.

40	• Locate the line item that contains unlocated outage of $50 and below in the grid view of Items by Status in TLM. • Select the Select Row checkbox appearing in the left corner of the line item. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the current row. • Select Credit or Debit based on the sign of the unlocated outstanding balance. • Enter the difference amount under the column Amount in the current row. • Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list.

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	• Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>Yes</td><td>Select Save</td></tr><tr><td>No</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK

41	• Determine if the GL and transit number under review is eligible for write-off.
	
	   Refer to *the* Appendix H: Transits not Eligible for Write-offs.
	• **Is the GL and transit number under review eligible to be written-off?**
	  - If **Yes**, proceed to step 43.
	  - If **No**, proceed to step 45.

42	• Access PeopleSoft
	• Select General Ledger under the Menu.
	• Select Journals under the Main Menu.
	• Select Create/Update Journal Entries under Journal Entry.
	• Select Add.
	• Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section.
	• Select the Lines section.
	• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section.
	• Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section.
	• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.
	• Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas).
	
	   Example: When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a debit entry.
	
	   Important: If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry.
	
	• Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft.
	• Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry.
	• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section.
	• Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section.
	• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.

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	Note: Amount and Disptn/Descr field will be auto populated. • Select the drop down list in the *Process: field. • Select Edit Journal. • Select Process. • Select OK to close the pop-up window. • Select the drop down list in the *Process: field. • Select Submit Journal. • Select Process to generate a journal ID. • Select OK to close the pop-up window. • Copy the Journal ID.
43	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Enter "*Journal ID*" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Select Create. • Select OK. • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Unlocated outage*" in the Source System Reference field • Select Save and then close the window • Proceed to step 47
44	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field.

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	• Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes **Refer to** [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • select the Select button • Select Create. • Select OK.

45	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view.
	• Right-click and select Exception Detail.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date.
	• Select Save.
	• Send 1st Request email type
	
	  Refer to [Appendix A: Procedure for Sending an email](#).
	
	  Note:
	  - If source system is O-L DDA and details of the operator ID are required (operations issues), then send email to rbdps@rbc.com
	  - If items related to O-L DDA transactions were not loaded (technical issues), then send email to RBCITDDASYSTEMSMAINTENANCESUPPORT@RBC.COM
	
	• Select X on the top right corner of the Exception Detail tab to close it.

46	Proceed to [Aging Items Review](#) for the GL number and the transit number under review.

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DDA OL– DDA-COLT Items

Purpose	The Vendor follows the steps in the table below to ensure that DDA-COLT transactions are available on the Items by Status Dashboard and if not – convert them from Advisory Items into Outstanding Items. **Important:** This process applies to the Non branch units
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select the ON-LINE-SUSP-DDA account set for a specific region under the Accounts tab and double-click to open.

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	Note: The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the applicable exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.
5	• Select the Items tab in the Items dashboard. • Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear. • Right-click the header of Items by Status grid. • Select Show Filters. • Click in the filter field of the Transit column; a drop down list will appear. • Select the transit number under review. • Click in the filter field of the Account column; a drop down list will appear. • Select a GL number under review.

6	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review:
	  - Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear.
	  - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date.
	  - Select all items from all Process Dates except for the Process Date under review and newer.
	  - Select all back-dated items from the Process Date under review.
	
	Important: Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM.
	
	  - Review the total amount of the selected line items at the bottom of the screen.
	
	• **Does the total amount of the selected items fall within the -$50 / +$50 range?**
	
	  - If ***Yes***, investigation is not required for the GL and transit number under review. Return to step 4 and select the next GL and transit combination on the Item Exceptions by Inbox dashboard.
	  - If ***No***, proceed to step 7.

7	• Click in the filter field of the Process Dt; a drop down list will appear. • Filter out the two most recent process dates.
8	• Review Source System column for the GL and transit number under review.

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	• Use the table below to determine how to proceed based on the Source System of the entries under review.

If the Source System column contains …	Then …
DDA-COLT entries for both most recent process dates	proceed to step 16.
no DDA-COLT entries for at least one of the most recent process dates	proceed to step 9 for each of the process dates for which you don't have DDA-COLT items on the Items by Status dashboard.

9	• Right-click DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and select Ad-Hoc Items Search. • In the Post or Trade Date fields, select the process date for which you don't have DDA-COLT items in the Items by Status dashboard in both 'from' and 'to' fields. • Scroll down to Business Entity in the Search Prompt – RBC Items Ad-Hoc: pop-up window. • Enter the transit number under review in the Business Entity field. • Scroll down to Item Status and select the Advisory checkbox. *Note:* All other checkboxes should be blank. • Select applicable currency code in Amount or Value Currency = field • Select Search. Ad-Hoc Items Search dashboard will appear.
10	• Right-click the header of the Ad-Hoc Items Search grid. • Select Show Filters. • Click in the filter field of the Account; a drop down list will appear. • Select the GL number under review. • Scroll down to the bottom of the Ad-Hoc Items Search. • Determine if the net amount displayed at the bottom of the screen is a debit or a credit. *Note:* Debit amount will be preceded by a minus (-) sign. Credit amount will not have a minus(-) sign.

11	• Return to the Items by Status dashboard.
	• Review line items for the GL number, transit number, and process date under review to determine if an item with the source system as O-L DDA and with the same sign and amount as the net amount of the Advisory items on the Ad-Hoc Items Search dashboard is available.
	• Is such item available?
	
	  - If *Yes*, proceed to step 13.
	  - If *No*, proceed to step 12 to create it using manual split function in TLM:

12	• Locate a line item for the GL and transit number under review and for the process date when DDA-COLT items are missing with the source system as O-L DDA and which has the same sign as the net amount of the Advisory items on the Ad-Hoc Items Search dashboard. • Select the Select Row checkbox appearing in the left corner of the line item under review. • Right-click and select Item Create Split.

	• Select Debit or Credit under the column Db/Cr of the Item Create Split tab based on the sign of the item. • Enter the net amount displayed at the bottom of the screen in the grid view of Ad-Hoc Items Search in the first row of the Amount column. • Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** − If **Yes**: ▪ select Save ▪ select OK ▪ proceed to step 13. − If **No**: ▪ correct your line item(s) accordingly and then select Save ▪ select OK ▪ proceed to step 13.
13	• Return to the Ad-Hoc Items Search tab. • Click the small right-pointing arrow located in the top left corner of the Ad-Hoc Items Search dashboard to set it as a destination dashboard. The arrow will turn yellow when clicked. • Return to the Items by Status Dashboard. • Select the Select Row checkbox appearing in the left corner of the line item created from the split for the net amount of the Advisory items. • Select Fast-cut (scissors symbol) next to the selected line item to move it to the Ad-Hoc Items Search dashboard. Outstanding item will appear on the Ad-Hoc Items Search dashboard.
14	• Return to the Ad-Hoc Items Search tab. • Select all advisory line items together with the outstanding O-L DDA item by clicking Select All checkbox in the top left corner of the dashboard. • Select S on the top right corner of the grid view to split the line item. • Select OK. • This will replace the bulk O-L DDA source system item on the Items by Status dashboard with individual DDA-COLT source system items. DDA-COLT source system items will contain Client Account numbers and other additional transaction details to be used for matching and investigation.
15	**Is there another process date for which DDA-COLT items are not available on the Items by Status dashboard?** • If **Yes**, return to step 10. • If **No**, proceed to step 16.

16	Use table below to determine how to proceed based on the transit .

If…	Then…
3009 CAL AB-BUS SRV CTR 7512 TOR ON BUSINESS SRV CTR 7402 TOR CASH OPS CTR-MET&ONT DIST 1963 ST JOHNS NL CASH OPS CTR 8366 CASH OPS-NIGHT DEPOSIT PROC 8034 TOR SD COLL 3CAP BCC 8036 TOR SD COLL 3CAP OCC 1854 RD-MONCTON-OCC ACCESS 5219 RD-WPG CALL CTR-OCC ACCESS 528 RD-MONCTON-BCC ACCES 1693 RD-BCC ACCESS-ONTARIO 5634 REG SK PERSONAL LOANS PROC 358 MTL PBSC - LIABILITY 9105 REG WCSLSC-ADMIN 537 TOR SD PS 3 CAP BCC 1358 TOR PSC-MTGS SKTCHWN 2769 TOR PSC-MTGS ALBERTA & NWT 8100 VAN BC-BC DEALER DIR-INDIR LND	Proceed to DDA OL – Matching DDA Transactions by Amount
1705 MTL SD PS MORTGAGE PROC 2866 TOR ON PSC ONT PERS LNS PROCSS 8943 TOR ON METRO/ON MTG CENTRE #4	Proceed to DDA OL – Matching DDA Transactions by Client Account
111 RD-MONTREAL SUPPORT ADMIN 5410 TOR INVESTIGATIONS CENTRE	Proceed to DDA OL – Log Sheet Items

5218 RD-WPG CALL CTR-BCCC ACCESS	
9186 MISS ON RD SALES CENTRE	

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DDA OL – Log Sheet Items

Purpose	The Vendor follows the steps in the table below to verify that the B Payments, BB Funds Verification, RSP Manual Postings and Loan Payment and Reversals log sheets are received from the applicable Service Partners in the Osc Ops Risk Services Generic mailbox and to split the applicable line items in the Items by Status grid view in TLM

Step	Action
1	• Access Microsoft Office Outlook • **Do you have access to the Osc Ops Risk Services generic mailboxes in your personal mailbox folder?** − If **Yes**, proceed to the next step − If **No**, proceed to step 4
2	Use the table below to determine how to proceed | • f you will be reviewing the …	Then …
OSC Ops Risk Services BC	• Scroll down in the All Mail Folders section and look for the OSC Ops Risk Services BC generic mailbox profile name if it is not already visible • Select the + sign to the left of Mailbox - OSC Ops Risk Services BC • Proceed to the next step
Osc Ops Risk Services Ontario	• Scroll down in the All Mail Folders section and look for the Osc Ops Risk Services Ontario generic mailbox profile name if it is not already visible • Select the + sign to the left of Mailbox - Osc Ops Risk Services Ontario • Proceed to the next step
OSC Ops Risk Services Quebec	• Scroll down in the All Mail Folders section and look for the OSC Ops Risk Services Quebec generic mailbox profile name if it is not already visible • Select the + sign to the left of Mailbox - OSC Ops Risk Services Quebec • Proceed to the next step	
3	• Select the + sign to the left of the folder named Inbox • Select the folder named Z – SECOND DAY BALANCING • Review the new messages in the folder • Proceed to step 6

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4	• Select the drop down list in the Profile Name: field • Use the table below to determine how to proceed

If you will be reviewing the …	Then …
OSC Ops Risk Services BC	• Select OSC Ops Risk Services BC • Proceed to the next step
Osc Ops Risk Services Ontario	• Select Osc Ops Risk Services Ontario • Proceed to the next step
OSC Ops Risk Services Quebec	• Select OSC Ops Risk Services Quebec • Proceed to the next step

5	• Select OK **Result**: The Inbox - Mailbox – [Osc Ops Risk Services generic mailbox name] - Microsoft Office Outlook screen will be displayed • Select the + sign to the left of the folder named Inbox • Select the folder named Z - SECOND DAY BALANCING • Review the new messages in the folder

6	Use the table below to determine how to proceed

If you will be looking for the …	Then …
B Payments log sheet	**Is there a new email with the subject line Bill Payment?** • If **Yes**, proceed to step 8 • If **No**, proceed to the next step
BB Funds Verification log sheet	**Is there a new email with the subject line BB_Funds?** • If **Yes**, proceed to step 8 • If **No**, proceed to the next step
Loan Payment and Reversals log sheet	**Is there a new email with the subject line Loan_Payment_And_Reversal?** • If **Yes**, proceed to step 8 • If **No**, proceed to the next step
RSP Manual Postings log sheet	**Is there a new email with the subject line RSP Manual Postings log sheet?** • If **Yes**, proceed to step 8 • If **No**, proceed to the next step

7	Use the table below to determine how to proceed

If …	Then …
All of the log sheets have been looked for and/or review in the Osc Ops Risk Services generic mailbox under review	**Have all of the log sheets been looked for and/or reviewed in all of the Osc Ops Risk Services generic mailboxes?**

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		• If **Yes**, proceed to DDA OL – Matching DDA Transactions by Client Account • If **No**, use the table below to determine how to proceed

If you …	Then …
Have access to the Osc Ops Risk Services generic mailboxes in your personal mailbox folder	• Return to Microsoft Office Outlook • Return to step 2
Do not have access to the Osc Ops Risk Services generic mailboxes in your personal mailbox folder	• Log out of the Osc Ops Risk Services generic mailbox that you in • Return to step 1

	Not all of the log sheets have been looked for and/or reviewed in the Osc Ops Risk Services generic mailbox under review	Return to step 6

8	• Double-click on the email
	• Double-click on the log sheet excel spreadsheet file
	• Select File
	• Select Save As
	
	  Result: The Save As window will be displayed
	
	• Double-click on the NAS drive folder
	• Double-click on the GL folder
	• Double-click on the Second Day Processing folder
	• Double-click on the Second Day_ Investigation Reports folder
	• Double-click on the applicable year folder
	• **Is there a folder for the current year?**
	
	 – If **Yes**;
	   ▪ Double-click on the applicable year folder
	   ▪ Proceed to the next step
	 – If **No**;
	   ▪ Select New Folder
	   ▪ Select Delete on the keyboard
	   ▪ Enter the applicable year in the new folder name field using the format yyyy
	   ▪ Select Enter on the keyboard
	   ▪ Select Open
	   ▪ Proceed to the next step

9	**Is there a folder for the current month?** • If **Yes**, proceed to the next • If **No**; – Select New Folder – Select Delete on the keyboard

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	– Enter the applicable month number and month's name in the new folder name field using the format XX Mmmm ***Example***: 01 January – Select Enter on the keyboard – Select Open – Proceed to the next step
10	• Select Save
11	Use the table below to determine how to proceed based on the current Exception Type under review in TLM <table><tr><td>**If the Transit under review is …**</td><td>**Then …**</td></tr><tr><td>5410</td><td>• Return to the B Payments log sheet • Determine the GL, transit number, process Date and journal ID that is indicated • Proceed to the next step</td></tr><tr><td>9186</td><td>• Return to the BB Funds Verification or Loan Payment and Reversals log sheet, as applicable • Determine the GL, transit number, process Date and journal ID that is indicated • Proceed to the next step</td></tr><tr><td>5218 or 111</td><td>• Return to the RSP Manual Postings log sheet • Determine the GL, transit number, process date and journal ID that is indicated • Proceed to the next step</td></tr></table>

12	• Return to the Items by Status grid view in TLM
	• Review the line items to determine if there is one that has the same GL number, transit number, process date and Journal ID that is indicated on the log sheet under review ***and*** that with a blank Source System field
	• **Was a line item located with these criteria?**
	
	  - If ***Yes***, proceed to <u>step 14</u>
	  - If ***No***;
	    ▪ Determine the net total amount under the column Total in the log sheet under review
	    ▪ Proceed to the next step

13	• Locate the line item that has the same GL number, transit number, process date and the same net total amount sign that is indicated on the log sheet under review • Select the Select Row checkbox appearing in the left corner of the line item under review • Right-click on the line item • Select Item Create Split ***Result***: The Item Create Split tab will be displayed • Select the drop down list in the Dr/Cr field of the first row • Use the table below to determine how to proceed <table><tr><td>**If the line item under review is a …**</td><td>**Then …**</td></tr></table>

![RBC Logo]

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Credit	• Select Debit • Proceed to the next bulleted action after this table
Debit	• Select Credit • Proceed to the next bulleted action after this table

Important: The items with the amount equal to the total amount from the log sheet but the sign opposite to the sign of the total amount from the log sheet represents portion of the outstanding balance caused by the missing service center posting

- Enter the net total amount displayed at the bottom of the log sheet under review in the Amount field in the first row of the Item Create Split tab in TLM
- Enter "*Missing Service Center posting for Journal ID [insert Journal ID located on log sheet Excel Worksheet]*" in the Source System Reference field in the first row
- Scroll down to review the Difference field at the bottom of the Item Create Split tab
- Determine if it lists as a Debit or a Credit
- Select the drop down list in the Dr/Cr field in the second row
- Use the table below to determine how to proceed

If the amount in the Difference field is a …	Then …
Credit	• Select Credit • Proceed to the next bulleted action after this table
Debit	• Select Debit • Proceed to the next bulleted action after this table

- Enter the same amount located in the Difference field in the Amount field in the second row
- Scroll down again to review the Difference field at the bottom of the Item Create Split tab
- **Is the difference amount in the Difference field equal to 0?**

  − If *Yes*:
    ▪ Select Save
    ▪ Select OK
    ▪ Proceed to [step 17](#)
  − If *No*:
    ▪ Correct the line item(s) accordingly
    ▪ Select Save *only* after the amount in the Difference field is 0
    ▪ Select OK
    ▪ Proceed to [step 17](#)

14	• Select the Select Row checkbox appearing in the left corner of the line item under review • Right-click on the line item • Select Item Create Split *Result*: The Item Create Split tab will be displayed • Review the first transaction that is listed on the log sheet under review • Select the drop down list in the Dr/Cr field in the first row • Select Credit

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- Enter the amount found under the Amount column on the log sheet under review in the Amount field in the first row of the Item Create Split tab in TLM
- Enter the corresponding transit number and account number found on the log sheet under review in the Matching Reference field in the first row of the Item Create Split tab in TLM
- Use the table below to determine how to proceed

If there are …	Then …
More entries on the log sheet that have not been split	Proceed to the next step
No more entries on the log sheet that have not been split	Proceed to step 16

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- Return to the Item Create Split tab in TLM
- Select the drop down list in the Dr/Cr field in the next blank row
- Select Credit
- Enter the amount found under the Amount column on the log sheet under review in the Amount field in the row that is being complete in the Item Create Split tab in TLM
- Enter the corresponding transit number and account number found on the log sheet under review in the Matching Reference field in the row that is being completed in the Item Create Split tab in TLM
- Use the table below to determine how to proceed

If there are …	Then …
More entries on the log sheet that have not been split	Return to the first bulleted action in this step
No more entries on the log sheet that have not been split	Proceed to the next step

16

- Scroll down to review the Difference field at the bottom of the Item Create Split tab
- Determine if it lists as a Debit or a Credit
- Select the drop down list in the Dr/Cr field in the next blank row
- Use the table below to determine how to proceed

If the amount in the Difference field is a …	Then …
Credit	- Select Credit - Proceed to the next bulleted action after this table
Debit	- Select Debit - Proceed to the next bulleted action after this table

- Enter the same amount located in the Difference field in the Amount field in the row that is being completed
- Enter "*Difference between Log Sheet and actual amount for Journal ID [insert Journal ID located on the Ad-Hoc Items Search dashboard]*" in the Source System Reference field in the row that is being completed
- Scroll down again to review the Difference field at the bottom of the Item Create Split tab
- **Is the difference amount in the Difference field equal to 0?**

  – If *Yes*:
    ▪ Select Save
    ▪ Select OK

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	▪ Proceed to the next step – If **No**: 　▪ Correct the line item(s) accordingly 　▪ Select Save **only** after the difference amount in the Difference field is 0 　▪ Select OK 　▪ Proceed to the next step
17	• Locate the outstanding line item that indicates Missing Service Center posting for Journal ID or Difference between Log Sheet and actual amount for Journal ID in the Source System Reference field • Right-click on the line item under review • Select Exception Creation 　**Result**: the Exception Creation window will be displayed • Select the button to the right of the Inbox field • Select DOMESTIC BANKING • Select Select • Select the button to the right of the Exception Category field • Select Cash • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes 　**Refer to** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the calendar icon to the right of the Next Review Date field • Select the date that is 2 business days from the current day's date • Select Create • Select Refresh • Double-click on the line item under review 　• **Result**: The Exception tab will be displayed • Send 1st request email type 　**Refer to** Appendix A: Procedure for Sending an Email • Select the X in the top right corner of the Exception tab • Return to step 7

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Matching

Purpose	The Vendor follows the steps in the table below to match DDA transactions to determine if any portion of the outstanding balance is caused by manual DDA postings. The matching is based on the Client Account Number. 　Use the below table to determin based on the matching

If	Then
Matching DDA Transactions by Client Account	Step 01

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Matching DDA Transactions by Amount	Step 05

Step	Action
1	• On the Items by Status Dashboard, click in the filter field of the Process Dt; a drop down list will appear. • Select [No filter].

2	• Locate the offsetting line items for the GL and transit under review with the same amounts.
	• Review Client Account Number found in the Matching Reference field and in the Disposition field of the offsetting line items and use the table below to determine how to proceed.
	
	<table><tr><th>If the offsetting line items ...</th><th>Then …</th></tr><tr><td>have the same Client Account Number in the Matching Reference field</td><td>• select the Select Row checkbox appearing in the left corner of the offsetting line items under review
	• right-click and select Match
	• select OK
	• determine the remaining unmatched entries
	• proceed to step 4.</td></tr><tr><td>have the same Client Account Number in the Disposition field and in the Matching Reference field</td><td>• review Disposition of the line items to determine they are offsets for each other
	• **Does disposition confirm that the items offset each other?**
	
	- If **Yes**, proceed to step 3.
	- If **No**:
	
	  ▪ do not match the items
	  ▪ proceed to step 4.</td></tr></table>

3	• Select the Select Row checkbox appearing in the left corner of the offsetting line items under review. • Right-click and select Match. • Select OK. • Determine the remaining unmatched entries.
4	**Are there more offsetting items with the same amount to review?** • If **Yes**, return to step 2. • If **No**, proceed to DDA OL - Investigation for Non Branch unit

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5	Use table below to determine how to proceed based on the transit number under review.
	<table><tr><td>**If the transit under review is …**</td><td>**Then …**</td></tr><tr><td>08943 or 01705</td><td>return to step 2</td></tr><tr><td>any other</td><td>proceed to the next step</td></tr></table>
6	• On the Items by Status Dashboard, click in the filter field of the Process Dt; a drop down list will appear. • Select [No filter].
7	• Locate the offsetting line items for the GL and transit under review with the same amounts. • Select the Select Row checkbox appearing in the left corner of the offsetting line items. • Right-click and select Match. • Select OK.
8	**Are there more offsetting items with the same amount to review?** • If **Yes**, return to step 7. • If **No**, proceed to **DDA OL - Investigation for Non Branch unit**

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DDA OL - Investigation for Non Branch Unit

Purpose	The Vendor follows the steps in the table below to send notifications to the units about all their outstanding items.
Step	**Action**
1	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Have all line items causing the difference been identified ? • If **Yes**, proceed to step 2. • If **No**, proceed to step 13.

2	• **Are there remaining outstanding items that can be matched?**
	
	  - If **Yes**, proceed to step 3
	  - If **No**, proceed to step 4

3	• Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance.

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	• Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. **Important:** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
4	• **Are there line items where the exception type is blank?** - If **Yes**, proceed to step 5. - If **No**, proceed to step 6.
5	• Select the Select Row checkbox appearing in the left corner of the first line item with the blank exception type. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes **Refer to** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Select Create. • Proceed to step 9
6	• Review the Next Review Date of the outstanding line items, for the transit number under review, under the column NRD. • **Are there line items where the Next Review Date is blank?** - If **Yes**, proceed to step 7 - If **No**, proceed to step 29
7	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM that does not have an offset entry. • Right-click and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes **Refer to** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Select Save.
8	• Access Siebel

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	• Select Service Platform on top of screen • Select Search by Transaction Type under Client Session Search heading under Inquiries • Select or enter current process date in format MM/DD/YYYY in Batch Create Date field • Select Next Prompt • Enter transit number of exception under review in Transit Number field • Select Next Prompt • Enter applicable currency in Currency Code field • Select Next Prompt • Select Account Deposit, Account Withdrawal, Debit Memo and Credit Memo under Transaction Type • Select Go • Select All Pages button at bottom of screen • Download results to Excel • Under Transaction Type filter to Credit Memo & Account Deposit • Sum up total of transactions and verify if it matches to the SP credit in the GLUS • Go back to TLM and select process date under review • Check box for SP credit • Under Source System check debits for all O-L-DDA • Check to see if there is a difference

If …	Then …		
Yes	• Go back to Siebel excel file • Under Transaction Time, filter to items 17:00 and older • Review items to determine the difference

	If …	Then …
	Found	Check following days to see if the items have come into the GL • If **Yes**, match them off in TLM • If **No**, transfer to FSS for assistance
	Not found	• Split the SP credit into the difference amounts • Update exceptions with session number and email the unit to correct • Proceed to
No	• Match exceptions • TBD		

• Repeat the steps for Account Withdrawal and Debit Memo then proceed to next step

9	Use table below to determine how to proceed based on the transit under review.

If the Transit under review is ...	Proceed to …
3009 , 7512, 2866, 7402, 1963, 8366, 8034, 8036, 1854, 5219, 528, 1693, 5634, 358, 9105, 537, 1358, 2769, 8100	Next step

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8943, 1705	Step 17
5410	Step 12
9186	Step 18
111, 5218	Step 18

10	• Select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Copy the Post Transit number of the line item under review from the Post Transit column in TLM and paste it in the Matching Reference field before the client Account number in Edit Item Exception • Select Save.
11	• Select the Select Row checkbox appearing in the left corner of the line item under review. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • Select the Select button. • Select X on the top right corner of the Exception Detail tab to close it. • Return to step 4.

12	**Is there a transit listed under the Post Transit column?**
	
	• If ***Yes***:
	   - select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM.
	right-click and select Edit Item Exception.
	   - copy the Post Transit number of the line item under review from the Post Transit column in the TLM and paste it in the Matching Reference field.
	   - select Save.
	   - proceed to the next step.
	• If ***No***, proceed to the next step.

13	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM that does not have an offset entry. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it. • Return to step 4

14	• Access Siebel • Select Service Platform on the top of the screen. • Select Search by Transaction Type under Client Session Search heading under Inquiries. • Enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field. • Select Next Prompt. • Copy the transit number from the Transit column in the line item under review in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit Number field in Siebel. • Select Next Prompt. • Enter the applicable currency in the Currency Code field in Siebel. • Select Next Prompt. • Select Account Deposit, Account Withdrawal, Debit Memo, Credit Memo under Transaction Type. • Select Go. • Select the All Pages button at the bottom of the screen in Siebel. • Select the session number under the column Session Number for the corresponding outage amount of the GL and transit number under review.
15	• Access IRIS. • Select Transaction History tab. • Select Account from the Start by selecting a search type from the drop-down list. • Copy the transit number next to the Account Business Deposit TRX type from the Deposit Transit column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS. • Copy the account number next to the Account Business Deposit TRX type from the Account No column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS. • Determine if the Session Date: in Siebel is the same under the column Date (yyyy/mm/dd) in IRIS for the corresponding outage amount found in Siebel. • Use the table below to determine how to proceed. <table><tr><td>**If the session date is …**</td><td>**Then …**</td></tr><tr><td>different</td><td>• select the Select Row checkbox appearing in the left corner of an outstanding line item for the GL and transit under review with the source system as O-L DDA and which is not part of the outstanding balance • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the current row • select Credit or Debit based on the sign of the outstanding balance • enter the amount of the located outstanding balance under the column Amount in the current row • scroll down to review the Difference field at the bottom of the Item Create Split tab • determine if it lists as a Debit or a Credit • select the drop down list under the column Dr/Cr in the next row • select the same transaction type (that is, Debit or Credit) from the drop down list</td></tr></table>

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		• enter the amount located in the Difference field under the column Amount
		• scroll down again to review the Difference field at the bottom of the Item Create Split tab
		• **Is the difference amount in the Difference field equal to 0?**
		  - If *Yes*:
		    ▪ select Save
		    ▪ select OK
		    ▪ proceed to next step
		  - If *No*:
		    ▪ correct your line item(s) accordingly and then select Save
		    ▪ select OK
		    ▪ proceed to next step

	the same	• select the Select Row checkbox appearing in the left corner of an outstanding line item for the GL and transit under review with the source system as O-L DDA and which is not part of the outstanding balance • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the current row • select Credit or Debit based on the sign of the outstanding balance • enter the amount of the UNLOCATED outstanding balance under the column Amount in the current row • scroll down to review the Difference field at the bottom of the Item Create Split tab • determine if it lists as a Debit or a Credit • select the drop down list under the column Dr/Cr in the next row • select the same transaction type (that is, Debit or Credit) from the drop down list • enter the amount located in the Difference field under the column Amount • scroll down again to review the Difference field at the bottom of the Item Create Split tab • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Unlocated outstanding balance*" in the Source System Reference field • Select Save and then close the window • Proceed to step 20
16		• Select the Select Row checkbox appearing in the left corner of the line item created for the located outstanding balance. • Right-click and select Exception Creation.

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	• Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date. • Select Create. • Select OK. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Extended Hour. Process date [enter the process date in the format YYYY/MM/DD]. Session number [enter the session number].*" in the Source System Reference field • Select Save and then close the window
17	Use the table below to determine how to proceed based on the transit number under review. <table><tr><td>**If the transit number is …**</td><td>**Then …**</td></tr><tr><td>08943, 01705 or 00358</td><td>• review remaining outstanding items and determine if there are any items from the previous process dates • **Are there any outstanding items from the previous process dates?** - If ***Yes***: ▪ select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM that does not have an offset entry. ▪ right-click and select Exception Detail. ▪ use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. ***Note***: The PSC group has access to TLM and will update the items with the required details and pending dates ▪ select Save. ▪ proceed to step 29 - If ***No***, proceed to step 29</td></tr></table>

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	Any other	• review the Next Review Date of the outstanding line items, for the transit number under review, under the column NRD
		• **Are there line items where the Next Review Date is blank?**
		
		  - If **Yes**, proceed to next step
		  - If **No**, proceed to step 29

18		**Is there a transit listed under the Post Transit column?**
		
		• If **Yes**:
		  - select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM.
		  - right-click and select Edit Item Exception.
		  - copy the Post Transit number of the line item under review from the Post Transit column in the TLM and paste it in the Matching Reference field.
		  - select Save.
		  - proceed to the next step.
		• If **No**, proceed to the next step.

19		• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM that does not have an offset entry. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Send 1st Request email type **Refer to** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it. • Return to step 6 for any other transit.
20		**Is there any unlocated outage within +/- $50 range to be reversed?** • If **Yes**, proceed to step 22 • If **No**, proceed to next step
21		• Select the Select Row checkbox appearing in the left corner of the line item created for the Unlocated outstanding balance. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select FSS DB ESCALATIONS • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select. 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes **Refer to** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button.

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	• Enter "Could not locate the reason for the remaining outstanding balance. Please advise how to proceed" in the Note field. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date. • Select Save. • Proceed to step 20

22	• Determine if the GL and transit number under review is eligible for write-off.
	
	    Refer to the Appendix H: Transits not Eligible for Write-offs.
	
	• **Is the GL and transit number under review eligible to be written-off?**
	
	  - If ***Yes***, proceed to step 23
	  - If ***No***, proceed to step 25

23	• Access PeopleSoft
	• Select General Ledger under the Menu.
	• Select Journals under the Main Menu.
	• Select Create/Update Journal Entries under Journal Entry.
	• Select Add.
	• Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section.
	• Select the Lines section.
	• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section.
	• Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section.
	• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.
	• Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas).
	
	    Example: When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a debit entry.
	
	    Important: If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry.
	
	• Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft.
	• Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry.
	• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section.
	• Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section.

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		• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. *Note:* Amount and Disptn/Descr field will be auto populated. • Select the drop down list in the *Process: field. • Select Edit Journal. • Select Process. • Select OK to close the pop-up window. • Select the drop down list in the *Process: field. • Select Submit Journal. • Select Process to generate a journal ID. • Select OK to close the pop-up window. • Copy the Journal ID.
	24	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Enter "*Journal ID*" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Select Create. • Select OK. • Proceed to step 27
	25	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash.

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	• Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • Select the Select button. • Select Create. • Select OK.
26	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • Send 1st Request email type ***Refer to*** [Appendix A: Procedure for Sending an email](#). • Select X on the top right corner of the Exception Detail tab to close it.
27	**Are there remaining outstanding items that can be matched?** • If ***Yes***, proceed to next step • If ***No***, return to step 4
28	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding difference. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. ***Important:*** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
29	Proceed to [Aging Items Review](#) for the GL and transit number under review.

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Investigation for RFX GL

Use table below to determine how to proceed based on the transit under review.

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If the Transit under review is ...	Then …
For transit group CONTACT CTR-SERVICE CTR-XXX or CONTACT-CTR-XXXX	Investigation for RFX – Contact Center transit
7940, 7140, 9211	Investigation for RFX – P And T transit
Other transits	Investigation for RFX – Other transit

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Investigation for RFX – Contact Center Transit

Purpose	The Vendor follows the steps in the table below to investigate exceptions, assign reason and resolution codes, and send email message to the service partner for the resolution.
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select the RFX-PUR-SALE-TXN account set for a specific region under the Accounts tab and double-click to open. *Note:* The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the RFX Contact Centers exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.
5	• Select the Items tab in the Items dashboard. • Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear. • Right-click the header of Items by Status grid. • Select Show Filters. • Click in the filter field of the Transit column; a drop down list will appear. • Enter the transit number under review. • Click in the filter field of the Account column; a drop down list will appear. • Select a GL number under review. • Determine the current outstanding balance for the GL number and transit number under review. *Important:* Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view.
6	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review:

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	- Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear. - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date. - Select all items from all Process Dates except for the Process Date under review and newer. - Select all back-dated items from the Process Date under review. *Important:* Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM. - Review the total amount of the selected line items at the bottom of the screen. • **Does the total amount of the selected items fall within the -$50 / +$50 range?** - If **Yes**, investigation is not required for the GL and transit number under review. Return to step 4 and select the next GL and transit combination on the Item Exceptions by Inbox dashboard. - If **No**, proceed to step 7.
7	• Review line items outstanding from the previous process dates and determine if offsetting entries are available for the most recent process date. • **Can any of the previous process date entries be matched with the new process date entries?** - If **Yes**, proceed to step 8. - If **No**, proceed to step 9.
8	• Select the Select Row checkbox appearing in the left corner of the matching line items. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. • Right-click over the selected group of line items and select Match. • Select OK. • Proceed to step 9.
9	**Are there any remaining entries for the most recent process date?** • If **Yes**, proceed to step 10. • If **No**, proceed to step 31.
10	• Access Outlook. • Review the Generic mailbox. • Select the plus sign to expand Mailbox – Osc Ops Risk Services Ontario. • Select the plus sign to expand Inbox. • Select Z - SECOND DAY BALANCING. • Select the mail with the subject - RFX Service Charge. • Select the RFX Service Charge Excel worksheet.

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11	• Go to Second Day_Investigation Reports folder on NAS drive @ \\maple.fg.rbc.com\data\Toronto\APP\WDC0\GL\Second_Day_Processing\Second Day _Investigation Reports\
	• Double-click the folder for the year in which you are processing (such as 2013).
	• **Is the folder for the current month available?**
	
	‑ If **Yes**:
	
	  ▪ double-click the folder for the month in which you are processing (such as 01 January 2013)
	  ▪ select Save
	  ▪ proceed to step 13.
	
	‑ If **No**, proceed to step 12.

12	• Select the File menu at the top left corner of the screen. • Select New from the drop down menu. • Select Folder from the sub-menu. • Rename the new folder for the month in which you are processing (such as 01 January 2013). • Double-click the current month's folder. • Select Save.
13	• Select the Recap tab in the RFX Service Charge Excel worksheet for the transit under review in TLM. • Determine the Service Charge Reversal Total or after cut-off total amount under the column Amount next to the Service Charge Reversal Total. • **Is the Service Charge Reversal Total or after cut-off total is equal to the outstanding balance amount in TLM?** ‑ If **Yes**, proceed to step 17. ‑ If **No**, proceed to step 14.
14	• Access OnDemand. • Select the drop down list in the Server field. • Select OCC-CM-OnDemand for the Central (Toronto) region. *Important:* ‑ For Eastern (Montreal) region, the server is QCC-CM-OnDemand. ‑ For Western (Vancouver) region, the server is BCCC-CM-OnDemand. • Enter the user ID in User ID field. • Enter the password in Password field. *Note:* ‑ GL Officer must enter his or her user ID and password in the designated fields. ‑ ID and password are not case sensitive. • Select OK. • Select Find.

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	• Enter "*FXGLAC00102Y-TOR-GH00*" in the String field to retrieve FX G/L AC RECONCILIATION – TORGHG03 Report. ***Important:*** - the Eastern region (Montreal (QCC)), use the following report: ▪ use the string "*FXGLAC00102Y-MTL-GH00*" to retrieve FX G/L AC RECONCILIATION – MTLGHG01 Report. - the Western region (Vancouver (BCCC)), use the following report: ▪ use the string "*FXGLAC00102Y-VAN-GH00*" to retrieve FX G/L AC RECONCILIATION – VANGHG01 Report. • Select Open. • Select Search. • Select the latest process date report under POSTING DATE (mm/dd/yy). • Select View Full Report. • Select the Find a specified text string icon in the toolbar at the top of the screen. • Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the String field of OnDemand. • Select Find. ***Note:*** List of GL number and GL names will be displayed under the transit number. • Use the down arrow key on the keyboard to scroll down in the report till (GL Number 993-101-5 for CAD or 900-490-4 for USD) Fgn Exchg Pur/Sales Susp.
15	• Return to the RFX Service Charge Excel worksheet. • Select the OSC tab for the transit number under review in TLM. • Select Sort on the top of the RFX Service Charge Excel worksheet. ***Note:*** Any amount with a minus sign is a debit entry and any amount without a sign is a credit entry in the RFX Service Charge Excel worksheet. • Match each debit entry of the RFX Service Charge Excel worksheet with each credit entry of FX report in OnDemand. • Match each credit entry of the RFX Service Charge Excel worksheet with each debit entry of FX report in OnDemand. • Determine the unmatched debit and or credit entries in the FX Report.
16	• Return to TLM. • Click in the filter field of the Source System column; a drop down list will appear. • Select the [BLANK] source system. This will limit the view to People Soft transactions only. • Match each unmatched debit entry of the FX report with each People Soft credit entry found in TLM. • Match each unmatched credit entry of the FX report with each People Soft debit entry found in TLM. • Determine the remaining unmatched debit and or credit entry amount in FX report.
17	• In TLM, click in the filter field of the Source System column and select [no filter].

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	• Select the Select Row checkbox appearing in the left corner of the line item with the greatest amount for the GL and transit number under review.
	• Right-click and select Item Create Split.
	• Select the drop down list under the column Dr/Cr in the first row.
	• Select Debit or Credit based on the selected line item (e.g. if the item is a Debit, select Debit, otherwise select credit).
	• Enter the Service Charge Reversal Total or after cut-off amount determined in RFX Service Charge Excel worksheet, under the column Amount of Item Create Split tab in TLM.
	• **Are there any unmatched FX report items identified?**
	  – If **Yes**, proceed to step 18.
	  – If **No**, proceed to step 19.

18	Follow these steps to add every unmatched FX item from the recap sheet as per below: • Select the drop down list under the column Dr/Cr in the new row. • Select Debit or Credit based on the unmatched FX report item (e.g. if the item is a Debit, select Debit, otherwise select credit). • Enter the unmatched FX report line item amount determined in FX report, under the column Amount of Item Create Split tab in TLM.
19	**Have all line items causing the outstanding balance been identified?** • If **Yes**, proceed to step 21. • If **No**, proceed to step 20.
20	Follow these steps to Add remaining unlocated outage as a new line on the Item Create Split dialog as per below: • Select the drop down list under the column Dr/Cr in the new row. • Select Debit or Credit based on the sign of the outage (e.g. if the item is a Debit, select Debit, otherwise select credit). • Enter the amount of the unlocated outage under the column Amount of Item Create Split tab in TLM.

21	• Scroll down to review the Difference field at the bottom of the Item Create Split tab.
	• Determine if it lists as a Debit or a Credit.
	• Select the drop down list under the column Dr/Cr in the next row.
	• Select the same transaction type (that is, Debit or Credit) from the drop down list.
	• Enter the amount located in the Difference field under the column Amount.
	• Scroll down again to review the Difference field at the bottom of the Item Create Split tab.
	• **Is the difference amount in the Difference field equal to 0?**
	  - If **Yes**:
	    ▪ select Save
	    ▪ select OK
	    ▪ proceed to step 22.
	  - If **No**:
	    ▪ correct your line item(s) accordingly and then select Save
	    ▪ select OK
	    ▪ proceed to step 22.
	
	<table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table>

	• Select OK
22	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK. • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window <table><tr><td>**If the oustanding reason is …**</td><td>**Then enter the following in the Source System Reference field …**</td></tr><tr><td>Service charge reversal or cut-off</td><td>"*[enter Service Charge Reversal Total or after cut-off]*"</td></tr><tr><td>Unallocated outage</td><td>"*Unallocated outage*"</td></tr><tr><td>Unmatched FX</td><td>"*Process date [enter the process date in the format YYYY/MM/DD]. Reference/Deal # [enter the reference number from the FX Report]*"</td></tr></table> • Select Save and then close the window

23	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type.
	• **Are there line items where the exception type is blank?**
	
	  - If **Yes**, proceed to step 24.
	  - If **No**, proceed to step 31.

24	Use the table below to determine how to proceed based on the outstanding reason for which the exception type is blank. <table><tr><td>**If the outstanding reason is ...**</td><td>**Then ...**</td></tr><tr><td></td><td></td></tr><tr><td>After cut-off</td><td></td></tr></table>

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	Service Charge Reversal	• select the Select Row checkbox appearing in the left corner of the outstanding line item • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button
	SC BILL REV	• select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select 2ND DAY ITEMS • select the Select button • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	Unmatched FX Report entries	***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • select the Select button • Select the calendar icon to the right of the Next Review Date field and then select the date that is 5 business days from the current day's date • select Create • select OK • select the refresh button to reload the line items • return to step 23.
	Unlocated Outage	**Is the unlocated outage item within +/- $50 range to be reversed?** • If ***Yes***, proceed to step 26. • If ***No***, proceed to step 25.
25		• Select the Select Row checkbox appearing in the left corner of the outstanding line item. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date.

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	• Select Create. • Select OK. • Select the refresh button to reload the line items. • Return to step 23.

26	• Determine if the GL and transit number under review is eligible for write-off.
	
	  Refer to the Appendix H: Transits not Eligible for Write-offs.
	
	• **Is the GL and transit number under review eligible to be written-off?**
	
	  - If *Yes*, proceed to step 27.
	  - If *No*, proceed to step 29.

27	• Access PeopleSoft
	• Select General Ledger under the Menu.
	• Select Journals under the Main Menu.
	• Select Create/Update Journal Entries under Journal Entry.
	• Select Add.
	• Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section.
	• Select the Lines section.
	• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section.
	• Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section.
	• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.
	• Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas).
	
	  Important: If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry.
	
	  Example: When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a debit entry.
	
	• Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft.
	• Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry.
	• Copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Oper Unit field of the Lines section.
	• Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section.
	• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.

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	Note: Amount and Disptn/Descr field will be auto populated. • Select the drop down list in the *Process: field. • Select Edit Journal. • Select Process. • Select OK to close the pop-up window. • Select the drop down list in the *Process: field. • Select Submit Journal. • Select Process to generate a journal ID. • Select OK to close the pop-up window. • Copy the Journal ID.
28	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Enter "*Journal ID*" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Select Create. • Select OK. • Proceed to step 31.
29	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field.

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	• Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Select Create. • Select OK.

30	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view.
	• Right-click and select Exception Detail.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date.
	• Select Save.
	• Determine if transit belongs to the Expert Advice Centre
	
	    Refer to Expert Advice Centre (EAC) Processes SOP
	
	<table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>Yes</td><td>Send 1st request to CC National Admin Support ccnaads@rbc.com</td></tr><tr><td>No</td><td>Proceed to next bullet after table</td></tr></table>• Send 1st Request email type
	
	    Refer to Appendix A: Procedure for Sending an email.
	• Select X on the top right corner of the Exception Detail tab to close it.

31	Proceed to Aging Items Review for the GL number and the transit number under review.

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Investigation for RFX – P and T Transit

Purpose	The Vendor follows the steps in the table below to investigate exceptions, assign reason and resolution codes, and send email message to the service partner for the resolution.
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select the RFX-PUR-SALE-TXN account set for a specific region under the Accounts tab and double-click to open. ***Note:*** The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
3	• Select Exceptions tab in the Items dashboard.

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	• Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the 2ND DAY ITEMS exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.
5	• Select the Items tab in the Items dashboard. • Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear. • Right-click the header of Items by Status grid. • Select Show Filters. • Click in the filter field of the Transit column; a drop down list will appear. • Enter the transit number under review. • Click in the filter field of the Account column; a drop down list will appear. • Select a GL number under review.

6	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review:
	  - Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear.
	  - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date.
	  - Select all items from all Process Dates except for the Process Date under review and newer.
	  - Select all back-dated items from the Process Date under review.
	
	  Important: Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM.
	
	  - Review the total amount of the selected line items at the bottom of the screen.
	
	• **Does the total amount of the selected items fall within the -$50 / +$50 range?**
	
	  - If *Yes*, investigation is not required for the GL and transit number under review. Return to step 4 and select the next GL and transit combination on the Item Exceptions by Inbox dashboard.
	  - If *No*, proceed to step 7.

7	• Review line items outstanding from the previous process dates and determine if offsetting entries are available for the most recent process date.
	• **Can any of the previous process date entries be matched with the new process date entries?**
	
	  - If *Yes*, proceed to step 8.
	  - If *No*, proceed to step 9.

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8	• Select the Select Row checkbox appearing in the left corner of the matching line items. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. • Right-click over the selected group of line items and select Match. • Select OK. • Proceed to step 9.
9	**Are there any remaining entries for the most recent process date?** • If **Yes**, proceed to step 10. • If **No**, proceed to step 32.
10	• Determine the current outstanding balance for the GL number and transit number under review. *Important:* Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view. • Review outstanding line items to identify Service Platform, People Soft, and IRIS entries. • Use the source system identification table below to determine the source system of the outstanding line items for the GL and transit number under review.

Source System Name	Source System ID in TLM	Trace Number Filter	Find Transaction details in…
IRIS	MANUAL	9*	IRIS
Service Platform	MANUAL	000956*	Siebel
PeopleSoft	[blank] PS_REV_TRA		TLM

11	• Review outstanding Service Platform, People Soft, and IRIS line items to determine if they correspond to the outstanding balance.
	• **Are there Service Platform, People Soft, and/or IRIS entries related to the outstanding balance?**
	
	  − If **Yes**, proceed to step 12.
	  − If **No**, proceed to step 17.

12	Use the table below to determine how to proceed based on the source system identified for the line item under review.

If the source system is …	Then …
Service Platform	• access Siebel • select Service Platform on the top of the screen

		• select General Ledger Trace Number under the General Ledger heading under Inquiries • copy the GL number of the line item under review from the Account column in the TLM and paste it in the GL Account Number field in Siebel • select Next Prompt • copy the trace number excluding zero from the line item under review from Trace Number column in the TLM and paste it in the GL Trace Number field • select Next Prompt • copy the amount from the line item under review from Amount column in the TLM (without the $ sign and commas) and paste it in the Transaction Amount ($) field • select Next Prompt • enter the most recent process date from TLM in MM/DD/YYYY format or use the calendar icon to select the date in the Session Date field • select Go • copy the session number under the Session Number column • proceed to step 13.
	IRIS (trace number starts with 9 and is 11 digits)	• access IRIS to review the image of the entry to obtain the description and the source transit • copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • copy the account number from the Account column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • enter the corresponding process date of the line item under review from the grid view of Item Exceptions by Inbox, in the Processed On/From: field under the Mandatory Criteria of IRIS • copy the trace number excluding the first digit (such as 9)from the line item under review from Trace Number column in the TLM and paste it in the Item Sequence #: field in IRIS • select Search • select the arrow button at the bottom of the image to retrieve the back page of the image • determine the source transit stamp in the image • proceed to step 14.
	ATF (trace number starts with 991 or 992 and is 11 digits)	• Access [ATF](ATF) • Select Incoming to display Search Incoming screen • Enter process date of exception in Process Date Begin Value field in format YYYY-MM-DD • Enter trace number of exception *without* first digit in Sequence Number Begin Value field • Select Search All to display Item Details View screen • Select Show Image to display Item Details with Image screen • Proceed to step 14

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	PeopleSoft	• proceed to step 16.

13		• Select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM.
		• Right-click and select Edit Item Exception.
		• Enter "Session Number [paste the session number]. Entry was processed in error to the GL# [insert GL number]." in the Source System Reference field.
		• Select Save.
		• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
		• Right-click the line item under review and select Exception Detail.
		• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
		
		   Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
		• Select the Select button.
		• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
		• Select Save.
		• Send 1st Request email type
		
		   Refer to Appendix A: Procedure for Sending an email.
		• Select X on the top right corner of the Exception Detail tab to close it.
		• Proceed to step 17.

14		• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM.
		• Right-click and select Edit Item Exception.
		• Enter "Entry processed in error to the GL# [insert GL number]." in the Source System Reference field.
		• Select Save.
		• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
		• Right-click the line item under review and select Exception Detail.
		• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
		
		   Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
		• Select the Select button.
		• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
		• **Is source transit on the IRIS image different from the transit number of the entry?**
		
		  - If **Yes**, proceed to step 15.
		  - If **No**:
		
		    ▪ send 1st Request email type
		
		     Refer to Appendix A: Procedure for Sending an email.
		    ▪ select X on the top right corner of the Exception Detail tab to close it
		    ▪ proceed to step 17.

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15	• Add the following text to the text in the Source System Reference field: "Source transit listed on the IRIS image is: [insert source transit # from the IRIS image]." • Send 1st Request email type to source transit ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it. • Proceed to step 17.
16	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "Entry was processed in error to the GL# [insert GL number]*."* in the Source System Reference field. • Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Right-click the line item under review and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Determine email contact ***Refer to*** Appendix G: People Soft Entry Contact List. • *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact* • Proceed to step 17.
17	**Have all line items causing the outstanding balance been identified?** • If ***Yes***, proceed to step 32. • If ***No***, proceed to step 18.
18	• Access OnDemand. • Select the drop down list in the Server field. • Select OCC-CM-OnDemand for the Central (Toronto) region. ***Important:*** – For Eastern (Montreal) region, the server is QCC-CM-OnDemand. – For Western (Vancouver) region, the server is BCCC-CM-OnDemand. • Enter the user ID in User ID field. • Enter the password in Password field. ***Note:*** – GL Officer must enter his or her user ID and password in the designated fields. – ID and password are not case sensitive. • Select OK. • Select Find.

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	• Enter "*FXGLAC00102Y-TOR-GH00*" in the String field to retrieve FX G/L AC RECONCILIATION – TORGHG03 Report. *Important:* - the Eastern region (Montreal (QCC)), use the following report: ▪ use the string "*FXGLAC00102Y-MTL-GH00*" to retrieve FX G/L AC RECONCILIATION – MTLGHG01 Report. - the Western region (Vancouver (BCCC)), use the following report: ▪ use the string "*FXGLAC00102Y-VAN-GH00*" to retrieve FX G/L AC RECONCILIATION – VANGHG01 Report. • Select Open. • Select Search. • Select the latest process date report under POSTING DATE (mm/dd/yy). • Select View Full Report. • Select the Find a specified text string icon in the toolbar at the top of the screen. • Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the String field of OnDemand. • Select Find. *Note:* List of GL number and GL names will be displayed under the transit number. • Use down arrow key on the keyboard to scroll down in the report till (GL Number 993-101-5 for CAD or 900-490-4 for USD) Fgn Exchg Pur/Sales Susp. • Compare the credit line items under the column CREDIT with the debit line items under the column DEBIT. • Determine the unmatched line items in FX report.
19	• Return to TLM. • Match each unmatched debit line items of the FX report with each credit line items found in TLM. • Match each unmatched credit line items of the FX report with each debit line items found in TLM. • Determine the remaining unmatched line items. • Determine the reference number of the unmatched line items in FX G/L AC RECONCILIATION – TORGHG03 Report.
20	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the line item with the greater amount. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select the same transaction type (that is, Debit or Credit) as the sign of the unmatched FX report line item from the drop down list. • Enter the unmatched FX report line item amount determined in FX report, under the column Amount of Item Create Split tab in TLM.

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	Important: For each unmatched line items found in FX report, enter a separate line item in the Item Create Split tab in TLM.
21	**Have all line items causing the outstanding balance been identified?** • If ***Yes***, proceed to step 22. • If ***No***, proceed to step 23.
22	• Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK
23	Follow these steps to Add remaining unlocated outage as a new line on the Item Create Split dialog as per below: • Select the drop down list under the column Dr/Cr in the new row. • Select Debit or Credit based on the sign of the outage (e.g. if the item is a Debit, select Debit, otherwise select credit). • Enter the amount of the unlocated outage under the column Amount of Item Create Split tab in TLM. • Return to step 22.
24	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. ***Important:*** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.

25	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type.
	• **Are there line items where the exception type is blank?**
	  - If ***Yes***, proceed to step 26.
	  - If ***No***, proceed to step 27.

26	• Select the Select Row checkbox appearing in the left corner of the first line item with the blank exception type. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING.

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	• Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business days from the current date. • Select Create. • Select OK. • Select the refresh button to reload the line items. • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Process date [enter the process date in the format YYYY/MM/DD]. Reference/Deal # [enter the reference number from the FX Report]*" in the Source System Reference field • Select Save and then close the window • Return to step 25.
27	**Is there any unlocated outage item within +/- $50 range to be reversed?** • If **Yes**, proceed to step 28. • If **No**, proceed to step 32.

28	• Determine if the GL and transit number under review is eligible for write-off.
	
	    Refer to the Appendix H: Transits not Eligible for Write-offs.
	
	• **Is the GL and transit number under review eligible to be written-off?**
	
	    - If **Yes**, proceed to step 29.
	    - If **No**, proceed to step 31.

29	• Access PeopleSoft • Select General Ledger under the Menu. • Select Journals under the Main Menu. • Select Create/Update Journal Entries under Journal Entry. • Select Add. • Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section. • Select the Lines section. • Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section. • Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section.

- Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.
- Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas).

  Important: If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry.

  Example: When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a debit entry.

- Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft.
- Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry.
- Copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Oper Unit field of the Lines section.
- Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section.
- Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.

  Note: Amount and Disptn/Descr field will be auto populated.

- Select the drop down list in the *Process: field.
- Select Edit Journal.
- Select Process.
- Select OK to close the pop-up window.
- Select the drop down list in the *Process: field.
- Select Submit Journal.
- Select Process to generate a journal ID.
- Select OK to close the pop-up window.
- Copy the Journal ID.

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30	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Detail. • Select the button next to the Exception Resolution field. • Select Write-off. • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Enter "*Journal ID*" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Select Create. • Select OK. • Proceed to step 33.
31	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it.
32	Proceed to Aging Items Review for the GL number and the transit number under review.

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Investigation for RFX - Other Transits

Purpose	The Vendor follows the steps in the table below to investigate exceptions, assign reason and resolution codes, and send email message to the service partner for the resolution.
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select the RFX-PUR-SALE-TXN account set for a specific region under the Accounts tab and double-click to open. *Note:* The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.

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4	• Expand the DOMESTIC BANKING folder. • Double-click the 2ND DAY ITEMS exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.
5	• Select the Items tab in the Items dashboard. • Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear. • Right-click the header of Items by Status grid. • Select Show Filters. • Click in the filter field of the Transit column; a drop down list will appear. • Enter the transit number under review. • Click in the filter field of the Account column; a drop down list will appear. • Select a GL number under review.
6	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review: - Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear. - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date. - Select all items from all Process Dates except for the Process Date under review and newer. - Select all back-dated items from the Process Date under review. *Important:* Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM. - Review the total amount of the selected line items at the bottom of the screen. • Does the total amount of the selected items fall within the -$50 / +$50 range? - If **Yes**, investigation is not required for the GL and transit number under review. Return to step 4 and select the next GL and transit combination on the Item Exceptions by Inbox dashboard. - If **No**, proceed to step 7.
7	• Determine the current outstanding balance for the GL number and transit number under review. *Important:* Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view. • **Are any of the items in Symcor transit 2224?** | If …	Then …	

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Yes	Transfer item to FSS • Manual Item: FSS to raise IR with Symcor • RFX item: FSS to contact Mike Passmore
No	Carry on to instructions directly below

- Review outstanding line items to identify Service Platform, People Soft, and IRIS entries.
- Use the source system identification table below to determine the source system of the outstanding line items for the GL and transit number under review.

Source System Name	Source System ID in TLM	Trace Number Filter	Find Transaction details in…
IRIS	MANUAL	9*	IRIS
Service Platform	MANUAL	000956*	Siebel
PeopleSoft	[blank] PS_REV_TRA		TLM

8	- Review outstanding Service Platform, People Soft, and IRIS line items to determine if they correspond to the outstanding balance. - **Are there Service Platform, People Soft, and/or IRIS entries related to the outstanding balance?** − If **Yes**, proceed to step 9. − If **No**, proceed to step 14.
9	Use the table below to determine how to proceed based on the source system identified for the line item under review.

If the source system is …	Then …
Service Platform	- access Siebel - select Service Platform on the top of the screen - select General Ledger Trace Number under the General Ledger heading under Inquiries - copy the GL number of the line item under review from the Account column in the TLM and paste it in the GL Account Number field in Siebel - select Next Prompt - copy the trace number excluding zero from the line item under review from Trace Number column in the TLM and paste it in the GL Trace Number field - select Next Prompt - copy the amount from the line item under review from Amount column in the TLM (without the $ sign and commas) and paste it in the Transaction Amount ($) field - select Next Prompt

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		• enter the most recent process date from TLM in MM/DD/YYYY format or use the calendar icon to select the date in the Session Date field • select Go • copy the session number under the Session Number column • proceed to step 10.
	IRIS (trace number starts with 9 and is 11 digits)	• access IRIS to review the image of the entry to obtain the description and the source transit • copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • copy the account number from the Account column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • enter the corresponding process date of the line item under review from the grid view of Item Exceptions by Inbox, in the Processed On/From: field under the Mandatory Criteria of IRIS • copy the trace number excluding the first digit (such as 9)from the line item under review from Trace Number column in the TLM and paste it in the Item Sequence #: field in IRIS • select Search • select the arrow button at the bottom of the image to retrieve the back page of the image • determine the source transit stamp in the image • proceed to step 11.
	ATF (trace number starts with 991 or 992 and is 11 digits)	• Access ATF • Select Incoming to display Search Incoming screen • Enter process date of exception in Process Date Begin Value field in format YYYY-MM-DD • Enter trace number of exception *without* first digit in Sequence Number Begin Value field • Select Search All to display Item Details View screen • Select Show Image to display Item Details with Image screen • Proceed to step 11
	PeopleSoft	proceed to step 13.

10	• Select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "Session Number [paste the session number]. Entry was processed in error to the GL# [insert GL number]." in the Source System Reference field. • Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Double-click on the exception to display the Exception tab • Select the applicable reason and resolution codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions

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	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	 • Select Save.
	 • **Is the transit of the exception 06468?**
	
	 <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>Yes</td><td>• Determine the source transit of the entry
	 • Send the 1st Request email type to source transit
	
	     Refer to Appendix A: Procedure for Sending an email.
	 • Close the tab
	 • Proceed to step 14</td></tr><tr><td>No</td><td>• Send 1st Request email type
	
	     Refer to Appendix A: Procedure for Sending an email.
	 • Select X on the top right corner of the Exception Detail tab to close it.
	 • Proceed to step 14.</td></tr></table>

11	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM.
	 • Right-click and select Edit Item Exception.
	 • Enter "Entry processed in error to the GL# [insert GL number]." in the Source System Reference field.
	 • Select Save.
	 • Select X on the top right corner of the Edit Item Exception pop-up window to close it.
	 • Right-click the line item under review and select Exception Detail.
	 • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	     Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	 • Select the Select button.
	 • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	 • **Is source transit on the IRIS image different from the transit number of the entry?**
	
	 - If **Yes**, proceed to step 12.
	 - If **No**:
	
	   ▪ send 1st Request email type
	
	     Refer to Appendix A: Procedure for Sending an email.
	   ▪ select X on the top right corner of the Exception Detail tab to close it
	   ▪ proceed to step 14.

12	• Add the following text to the text in the Source System Reference field: "Source transit listed on the IRIS image is: [insert source transit # from the IRIS image]." • Send 1st Request email type to source transit

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	Refer to Appendix A: Procedure for Sending an email. Select X on the top right corner of the Exception Detail tab to close it. • Proceed to step 14.
13	• **Is the transit of the exception 06468?**

If …	Then …
Yes	Determine the last 2 alphabet letters of the subset name *Refer to* step 1 of Appendix G: People Soft Entry Contact List
No	Proceed to the actions after this table

If the last 2 alphabet letters are …	Then …
RD	• Double-click on the exception to display the Exception tab • Select the calendar icon to the right of the Next Review Date field and then select the date that is 5 business days from the current day's date • Proceed to the next step
Anything else	Proceed to the actions after this table

• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM.
• Right-click and select Edit Item Exception.
• Enter "Entry was processed in error to the GL# [insert GL number].*"* in the Source System Reference field.
• Select Save.
• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
• Right-click the line item under review and select Exception Detail.
• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes

  Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
• Select the Select button.
• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
• Select Save.
• Determine email contact

  Refer to Appendix G: People Soft Entry Contact List.
• *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact*
• Proceed to step 14.

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14	**Have all line items causing the outstanding balance been identified?** • If **Yes**, proceed to step 42. • If **No**: – determine the remaining outstanding balance to be investigated – proceed to step 15.
15	• Copy the transit number of the line item under review from the Transit column in TLM. • Return to the RBC REC Lifecycles Summary tree view to search for corresponding items in GL numbers 991-656-0 or 900-389-8. • Select DB-SUSP-TT category. • Right-click and select Ad-hoc Items Search. • Scroll down to the Business Entity field and paste transit number under review into it. • Click Search. • Ad-hoc Items Search dashboard will open showing outstanding TT Suspense items. • **Are there any line items with Trace Number between 9846 and 9855 for the currency under review?** - If **Yes**, proceed to step 16. - If **No**, proceed to step 19.
16	**Is the amount or amounts found in TT Suspense equal to the remaining outstanding balance of GL and transit number under review in TLM?** • If **Yes**, proceed to step 17. • If **No**, proceed to step 24.
17	• Search outstanding RFX line items in the Items by Status grid view in TLM for the GL and transit number under review for which you found offsets in TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs. • **Are there outstanding RFX items corresponding to the offsetting TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs?** – If **Yes**, proceed to step 18. - If **No**, proceed to step 19.
18	• Select the Select Row checkbox appearing in the left corner of each RFX line item under review. • Right-click and select Edit Item Exception. • Enter "Offset is found in [insert GL number in which offset is found]." in the Source System Reference field. • Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Proceed to step 23.
19	• Select the Select Row checkbox appearing in the left corner of the RFX item in TLM which is not part of the outstanding balance. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit).

![RBC Logo]

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	• Enter the offset amount determined in TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs, under the column Amount of Item Create Split tab in TLM. *Important:* For each offset found in TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs in TLM, enter a separate line item in the Item Create Split tab in TLM. • Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK
20	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
21	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. • **Are there line items where the exception type is blank?** − If *Yes*, proceed to step 22. − If *No*, proceed to step 23.
22	• Select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to offset amount determined in TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select Create.

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		• Select OK. • Select the refresh button to reload the line items. • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Offset is found in [enter the GL number in which offset was found]*" in the Source System Reference field • Select Save and then close the window • Return to step 21.
23		Follow below steps to send an email to the owner of each TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs offset. • Copy the owner ID of the owner of the outstanding TT Suspense, Adjustment 1, Adjustment 3, or Proof Suspense entry from the Owner Column in TLM. • Right-click the outstanding TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs entry under review and select Exception Detail. • Select the button next to the Exception Owner field. • Paste the owner ID in the Filter field. • Select the Filter button. • Read the name of the line item owner. • Access Outlook to find the email address of the owner of the outstanding entry of TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs. • Enter the owner's name in the Find a Contact field. • Press Enter on the keyboard. • Select the Contacts button on the Properties dialog-box. • Copy the email ID from the Email field in the Contact dialog-box. • Select X on the top right corner of the Contact dialog-box to close it. • Select No when the Save Changes pop up box appears. • Select X on the top right corner of the Properties dialog-box to close it. • Select X on the top right corner of the Exception Detail tab of the outstanding TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs entry to close it. • Return to the line item under review in the grid view of Item Exceptions by Inbox. • Locate the outstanding RFX line item for which TT Suspense or Adjustment 1 or Adjustment 3 or Proof Suspense GLs offset was found. • Select the Select Row checkbox appearing in the left corner of the line item under review. • Right-click and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Select Save. • *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for owner of exception*

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24	**Have all line items causing the outstanding balance been identified?** • If **Yes**, proceed to step 43. • If **No**, proceed to step 25.
25	**Have all related GLs been reviewed for possible offsets?** • If **Yes**, proceed to step 27. • If **No**, proceed to step 26.

26	Follow the steps below to search for corresponding offset in Adjustment 1, Adjustment 3, and Proof Suspense GLs:
	
	• Copy the transit number of the line item under review from the Transit column in TLM.
	• Return to the RBC REC Lifecycles Summary tree view to search for the offset items in Adjustment1, Adjustment 3 and Proof Suspense accounts sets.
	• Select DB–SUSP–ADJUSTMENTS-SERIALIZED category.
	• Right-click and select Ad-hoc Items Search.
	• Scroll down to the Business Entity field and paste transit number under review into it.
	• Click Search.
	• Ad-hoc Items Search dashboard will open showing outstanding Adjustments Serialized items.
	• **Is the amount or amounts found in Adjustment 1, Adjustment 3, or Proof Suspense GLs equal to the remaining outstanding balance of GL and transit number under review?**
	
	   - If **Yes**, return to step 17.
	   - If **No**, proceed to step 27.

27	• Access OnDemand.
	• Select the drop down list in the Server field.
	• Select OCC-CM-OnDemand for the Central (Toronto) region.
	
	   Important:
	   – For Eastern (Montreal) region, the server is QCC-CM-OnDemand.
	   – For Western (Vancouver) region, the server is BCCC-CM-OnDemand.
	
	• Enter the user ID in User ID field.
	• Enter the password in Password field.
	
	   Note:
	   – GL Officer must enter his or her user ID and password in the designated fields.
	   – ID and password are not case sensitive.
	
	• Select OK.
	• Select Find.
	• Enter "*FXGLAC00102Y-TOR-GH00*" in the String field to retrieve FX G/L AC RECONCILIATION – TORGHG03 Report.

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	Important: - the Eastern region (Montreal (QCC)), use the following report: ▪ use the string "*FXGLAC00102Y-MTL-GH00*" to retrieve FX G/L AC RECONCILIATION – MTLGHG01 Report. - the Western region (Vancouver (BCCC)), use the following report: ▪ use the string "*FXGLAC00102Y-VAN-GH00*" to retrieve FX G/L AC RECONCILIATION – VANGHG01 Report. • Select Open. • Select Search. • Select the latest process date report under POSTING DATE (mm/dd/yy). • Select View Full Report. • Select the Find a specified text string icon in the toolbar at the top of the screen. • Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the String field of OnDemand. • Select Find. ***Note:*** List of GL number and GL names will be displayed under the transit number. • Use down arrow key on the keyboard to scroll down in the report till (GL Number 993-101-5 for CAD or 900-490-4 for USD) Fgn Exchg Pur/Sales Susp. • Review the report for the GL and transit under review to locate items where Delivery Channel is blank. • **Are there items on the report where Delivery Channel is blank?** – If **Yes**, proceed to step 28. – If **No**, proceed to <u>Investigation for Repair Session</u>.
28	• Select Find in OnDemand. • Enter "*RFESTJ01606Y-TOR-GH00*" in the String field to retrieve TRANS JRNL-SPEC/PRICED – TORGH016 Report. ***Important:*** - for the Eastern region (Montreal (QCC)), use the following report: ▪ use the string "*FXTJSP01606Y-MTL-GH00*" to retrieve TRANS JRNL- SPEC/PRICED – MTLGH016 Report. - for the Western region (Vancouver (BCCC)), use the following report: ▪ use the string "*FXTJSP01606Y-VAN-GH00*" to retrieve TRANS JRNL- SPEC/PRICED – VANGH016 Report. • Select Open. • Select Search.

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	• Select the latest process date report under POSTING DATE (mm/dd/yy). • Select View Full Report.
29	• Copy Reference number of the item located on the FXGLAC report. • On the RFESTJ or FXTJ report, search for the line item with the same Reference # as the Reference # copied from the FXGLAC report to obtain additional details of the entry.
30	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the line item with the greater amount which is not part of the outstanding balance. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first blank row. • Select Debit or Credit based on the sign of the item with Blank Delivery Channel (e.g. if the item is a Debit, select Debit, otherwise select credit). • Enter the amount of the item found on the FXGLAC report, under the column Amount of Item Create Split tab in TLM.

31	• Return to the OnDemand report FXGLAC.
	• **Are there more items on the report where Delivery Channel is blank?**
	  – If **Yes**, return to step 29.
	  – If **No**, proceed to step 32.

32	• Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>If …</td><td>Then …</td></tr><tr><td>Yes</td><td>Select Save</td></tr><tr><td>No</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK
33	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.

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34	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type.
	• **Are there line items where the exception type is blank?**
	
	  − If **Yes**, proceed to step 35.
	  − If **No**, proceed to step 36.

35	Locate items resulted from the split where Source System Reference field indicates 'Missing Delivery Channel" and follow the steps below for each of the items:
	
	• Select the Select Row checkbox appearing in the left corner of the line item.
	• Right-click and select Exception Creation.
	• Select the button next to the Inbox field.
	• Select DOMESTIC BANKING.
	• Select the Select button.
	• Select the button next to the Exception Category field.
	• Select Cash.
	• Select the Select button.
	• Select the button next to the Exception Type field.
	• Select 2ND DAY ITEMS
	• Select the Select button.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	  Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Select Create.
	• Select OK.
	• Locate and select the Select Row checkbox of the line item for which the exception was created in TLM.
	• Right-click and select Exception Detail.
	• Send 1st Request email type
	
	  Refer to Appendix A: Procedure for Sending an email.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Select Save.
	• Select X on the top of the Exception Detail tab to close it.
	• Select the refresh button to reload the line items.
	• Select the Items by Status tab
	• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window
	• Enter "*RFX Error. Missing Deliver Channel. Reference # [enter the reference number from FX G/L AC RECONCILIATION – TORGHG03 report]. Process date [enter the process date in the format YYYY/MM/DD]. Currency type [enter the currency type obtained from the RFEST or FXTJ report]. Client Account Number [enter the the Client Account number obtained from the RFEST or FXTJ report].*" in the Source System Reference field
	• Select Save and then close the window
	• Return to step 34.

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36	**Is there any unlocated outage within +/- $50 range to be reversed?** • If **Yes**, proceed to step 37. • If **No**, proceed to step 43.
37	• Locate the line item that contains unidentified outstanding balance below $50 in the grid view of Items by Status in TLM. • Select the Select Row checkbox appearing in the left corner of the line item. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Credit or Debit based on the sign of the unlocated outage. • Enter the unlocated outage amount under the column Amount in the first row. • Scroll down to review the Balance field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK

38	• Determine if the GL and transit number under review is eligible for write-off.
	
	    Refer to the Appendix H: Transits not Eligible for Write-offs.
	
	• **Is the GL and transit number under review eligible to be written-off?**
	
	  - If **Yes**, proceed to step 39.
	  - If **No**, proceed to step 41.

39	• Access PeopleSoft • Select General Ledger under the Menu. • Select Journals under the Main Menu. • Select Create/Update Journal Entries under Journal Entry. • Select Add. • Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section. • Select the Lines section. • Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section. • Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section. • Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. • Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas).

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		Important: If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry. *Example:* When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a debit entry. • Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft. • Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry. • Copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Oper Unit field of the Lines section. • Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section. • Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. *Note:* Amount and Disptn/Descr field will be auto populated. • Select the drop down list in the *Process: field. • Select Edit Journal. • Select Process. • Select OK to close the pop-up window. • Select the drop down list in the *Process: field. • Select Submit Journal. • Select Process to generate a journal ID. • Select OK to close the pop-up window. • Copy the Journal ID.
40		• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the 'unlocated outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button.

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	• Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Enter "*Journal ID*" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Select Create. • Select OK.
41	• Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Unlocated outage*" in the Source System Reference field • Select Save and then close the window • Return to step 33
42	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • **Is source system of entry RFX?**

<table>
<tr><th>If …</th><th>Then …</th></tr>
<tr><td rowspan="2">Yes</td><td>• Access OnDemand using applicable server based on region code in account set name</td></tr>
<tr><td>

If region code …	Select server named …
C (Central)	OCC-CM-OnDemand
E (East)	QCC-CM-OnDemand
W (West)	BCCC-CM-OnDemand

• Select Filter…
• Deselect Show All Names

If region code…	Enter following in Filter for Folder Names field …
C	RFEST
E	FXTJS
W	FXTJS

• Select OK

If region code…	Select following report …
C	RFESTJ00206Y-TOR-GH00
E	FXTJSP01606Y-MTL-GH00
W	FXTJSP01606Y-VAN-GH00

• Select Open
• Enter transit of exception in TRANSIT #/TRANSIT field
• Select report with respective POSTING DATE (mm/dd/yy)
• Select View All Selected

</td></tr>
</table>

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		• Locate entry on report and copy number under USER ID column • Access SECAF Search Tool @ <u>SECAF Search Tool (rbc.com)</u> • Paste number in SECAF ID or SRF#" field then select Search • Copy number or name in Employee: field and open a new email in Outlook • Paste number or name in To… field then select Ctrl + K • Double-click on employee name • **Does the employee title include Advice Centre?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>Yes</td><td>Send 1st request to CC National Admin Support <u>ccnaads@rbc.com</u></td></tr><tr><td>No</td><td>Proceed to next bullet after table</td></tr></table> ***Example:*** 📄 Steps to identify advice center employe
	No	Proceed to next bullet after table
		• Send 1st Request email type ***Refer to*** <u>Appendix A: Procedure for Sending an email</u>. • Select X on the top right corner of the Exception Detail tab to close it. • Return to <u>step 33</u>.
43		Proceed to <u>Aging Items Review</u> for the GL number and the transit number under review.

<u>Back to top</u>

Investigation for SP – Items Received

Purpose	The Vendor follows the steps in the table below to investigate exceptions, assign reason and resolution codes, and send email message to the Unit and Service Partner for the resolution.
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select SP-ITEMS-RECD category from the RBC REC Lifecycles Summary tree view and double-click to open. *Note:* The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.

3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the 2ND DAY ITEMS exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.
5	• Select the Items tab in the Items dashboard. • Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear. • Right-click the header of Items by Status grid. • Select Show Filters. • Click in the filter field of the Transit column; a drop down list will appear. • Select the transit number under review. • Click in the filter field of the Account column; a drop down list will appear. • Select a GL number under review.
6	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review: - Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear. - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date. - Select all items from all Process Dates except for the Process Date under review and newer. - Select all back-dated items from the Process Date under review. - *Important:* Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM. - Review the total amount of the selected line items at the bottom of the screen. • **Does the total amount of the selected items fall within the -$50 / +$50 range?** - If **Yes**, investigation is not required for the GL and transit number under review. Return to step 4 and select the next GL and transit combination on the Item Exceptions by Inbox dashboard. - If **No**, proceed to step 7.
7	• Determine the current outstanding balance for the GL number and transit number under review. *Important:* Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view.

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	• Review outstanding line items to identify Service Platform, People Soft, and IRIS entries. • Use the source system identification table below to determine the source system of the outstanding line items for the GL and transit number under review.

Source System Name	Source System ID in TLM	Trace Number Filter	Find Transaction details in…
IRIS	MANUAL	9*	IRIS
Service Platform	MANUAL	000956*	Siebel
PeopleSoft	[blank] PS_REV_TRA		TLM

|

8	• Review outstanding Service Platform, People Soft, and IRIS line items to determine if they correspond to the outstanding balance. • **Are there Service Platform, People Soft, and/or IRIS entries related to the outstanding balance?** − If Yes, proceed to step 9. − If No, proceed to step 15.
9	Use the table below to determine how to proceed based on the source system identified for the line item under review.

If the source system is …	Then …
Service Platform	• access Siebel • select Service Platform on the top of the screen • select General Ledger Trace Number under the General Ledger heading under Inquiries • copy the GL number of the line item under review from the Account column in the TLM and paste it in the GL Account Number field in Siebel • select Next Prompt • copy the trace number excluding zero from the line item under review from Trace Number column in the TLM and paste it in the GL Trace Number field • select Next Prompt • copy the amount from the line item under review from Amount column in the TLM (without the $ sign and commas) and paste it in the Transaction Amount ($) field • select Next Prompt

|

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		• enter the most recent process date from TLM in MM/DD/YYYY format or use the calendar icon to select the date in the Session Date field • select Go • copy the session number under the Session Number column • proceed to step 10.
	IRIS (trace number starts with 9 and is 11 digits)	• access IRIS to review the image of the entry to obtain the description and the source transit • copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • copy the account number from the Account column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • enter the corresponding process date of the line item under review from the grid view of Item Exceptions by Inbox, in the Processed On/From: field under the Mandatory Criteria of IRIS • copy the trace number excluding the first digit (such as 9)from the line item under review from Trace Number column in the TLM and paste it in the Item Sequence #: field in IRIS • select Search • select the arrow button at the bottom of the image to retrieve the back page of the image • determine the source transit stamp in the image • proceed to step 11.
	ATF (trace number starts with 991 or 992 and is 11 digits)	• Access ATF • Select Incoming to display Search Incoming screen • Enter process date of exception in Process Date Begin Value field in format YYYY-MM-DD • Enter trace number of exception *without* first digit in Sequence Number Begin Value field • Select Search All to display Item Details View screen • Select Show Image to display Item Details with Image screen • Proceed to step 11
	PeopleSoft	• proceed to step 13.
10		• Select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "Session Number [paste the session number]. Entry was processed in error to the GL# [insert GL number]." in the Source System Reference field.

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		• Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Right-click the line item under review and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an Email • Proceed to step 14
11		• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "Entry processed in error to the GL# [insert GL number]." in the Source System Reference field. • Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Right-click the line item under review and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • **Is source transit on the IRIS image different from the transit number of the entry?** - If **Yes**, proceed to step 12. - If **No**, send 1st Request email type then proceed to step 14 ***Refer to*** Appendix A: Procedure for Sending an Email
12		• Add the following text to the text in the Source System Reference field: "Source transit listed on the IRIS image is: [insert source transit # from the IRIS image]." • Send 1st Request email type to source transit ***Refer to*** Appendix A: Procedure for Sending an Email
13		• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "Entry was processed in error to the GL# [insert GL number]." in the Source System Reference field. • Select Save.

	• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
	• Right-click the line item under review and select Exception Detail.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	    Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Select Save.
	• Determine email contact
	
	    Refer to Appendix G: People Soft Entry Contact List.
	• *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact*
	• Proceed to step 14.

14	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. ***Important:*** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK

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15	**Have all line items causing the outstanding balance been identified?**

If ...	Then ...
Yes	proceed to step 105.
No	• Determine the Specialized Service Centre Contact List **Refer to** the Appendix B: Specialized Service Centre Contact List, the Cash Services Centre Transits list in the Service Partner Escalation Contact Lists section of the Cross Functional Processes SOP and the Expert Advice Center (EAC) Processes SOP • **Is the outage transit belongs to the Specialized Service Centre Contact List?**

If ...	Then ...
Yes	Proceed to step 17
No	Proceed to the next step

16	**Refer to** Cross Functional SOP in the DICE enabled unit listing. **Is the Transit under review on the DICE enabled unit listing?** • If **Yes,** proceed to Appendix J: Reconciliation Procedure for OFC and Unscannable GLs and **then** proceed to step 105. • If **No**, proceed to step 25.

17	• Access OnDemand. • Select the drop down list in the Server field. • Select OCC-CM-OnDemand for the Central (Toronto) region. **Important:** – For Eastern (Montreal) region, the server is QCC-CM-OnDemand. – For Western (Vancouver) region, the server is BCCC-CM-OnDemand. • Enter the user ID in User ID field. • Enter the password in Password field. **Note:** – GL Officer must enter his or her user ID and password in the designated fields. – ID and password are not case sensitive. • Select OK. • Select Find. • Enter "PGE-GE00" in the String field to retrieve PGEHSRPT REPORTS – MULTI - TORGE Report.

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	• Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the CASH OPS NB field in OnDemand. • Select Open. • Select the drop-down next to the Report ID & Title field. • Select TORGE709 – CAD BUSINESS DEPOSIT PROOF LISTING (for CAD) or TORGE710 – USD BUSINESS DEPOSIT PROOF LISTING (for USD). *Important:* Use the following for other 2 regions: - for the Eastern region (Montreal (QCC)), use: ▪ String -"*PGE-GE00*" to retrieve PGEHSRPT REPORTS – MULTI - MTLGE Report. ▪ Report ID & Title: ▫ MTLGE709 - CAD BUSINESS DEPOSIT PROOF LISTING (for CAD) or ▫ MTLGE710 – USD BUSINESS DEPOSIT PROOF LISTING (for USD) - for the Western region (Vancouver (BCCC)), use: ▪ String -"*PGE-GE00*" to retrieve PGEHSRPT REPORTS – MULTI - MTLGE Report. ▪ Report ID & Title: ▫ VANGE709 - CAD BUSINESS DEPOSIT PROOF LISTING (for CAD) or ▫ VANGE710 – USD BUSINESS DEPOSIT PROOF LISTING (for USD) • Select Search. • Select the latest process date report under POSTING DATE (mm/dd/yy). • Select View Full Report.
18	• Return to TLM. • Click in the filter field of the Source System column *Result*: A drop down list will appear. • Select the [MANUAL] source system. *Result*: This will limit the view to Manual (M9) transactions only. • Match each line item under the column Total Value on PGEE report with each Manual credit entry found in TLM. • Determine unmatched entries on the PGEE report. • **Are all the credit entries matching?** - If *Yes*: ▪ select X on the top right corner of the OnDemand report to close it

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		▪ proceed to step 18.
		
		- If **No**:
		
		  ▪ determine the proof list # of the unmatched entries under the Column Proof List # in PGEE report
		  ▪ determine the SECAF Operator ID of the unmatched entries under the column SECAF Operator ID in PGEE report
		  ▪ proceed to [step 20].

19		• Select the drop-down next to the Report ID & Title field in OnDemand.
		• Select TORGE711 – CAD SUNDRY CREDIT PROOF LISTING (for CAD) or TORGE712 – USD SUNDRY CREDIT PROOF LISTING (for USD).
		
		Important: Use the following for other 2 regions:
		
		- for the Eastern region (Montreal (QCC)), Report ID & Title will be:
		
		  ▪ MTLGE711 – CAD SUNDRY CREDIT PROOF LISTING (for CAD) or
		  ▪ MTLGE712 – USD SUNDRY CREDIT PROOF LISTING (for USD)
		
		- for the Western region (Vancouver (BCCC)),Report ID & Title will be:
		
		  ▪ VANGE709 - CAD SUNDRY CREDIT PROOF LISTING (for CAD) or
		  ▪ VANGE710 – USD SUNDRY CREDIT PROOF LISTING (for USD)
		
		• Select Search.
		• Select the latest process date report under POSTING DATE (mm/dd/yy).
		• Select View All Selected.
		• Match each unmatched line item under the column Total Value on the OnDemand report with each Manual debit entry found in TLM.
		• Determine unmatched entries on the OnDemand report.
		• Determine the proof list # of the unmatched entries under the Column Proof List # in PGEE report.
		• Determine the SECAF Operator ID of the unmatched entries under the column SECAF Operator ID in PGEE report.

20		• Select the Select Row checkbox appearing in the left corner of the line item with the greater amount for the GL and transit number under review in TLM. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Debit or Credit based on the sign of the unmatched item from the report (e.g. if the item is a Debit, select Debit, otherwise select credit). • Enter the unmatched line item amount determined in the report, under the column Amount of Item Create Split tab in TLM. *Important:* Enter information for each unmatched item from the report in a new line of the Item Create Split tab in TLM. Once all items are listed, proceed with the remaining steps. • Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit.

	- Select the drop down list under the column Dr/Cr in the next row. - Select the same transaction type (that is, Debit or Credit) from the drop down list. - Enter the amount located in the Difference field under the column Amount. - Scroll down again to review the Difference field at the bottom of the Item Create Split tab. **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> - Select OK	
21		- Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. **Are there line items where the exception type is blank?** − If **Yes**, proceed to step 22. − If **No**, proceed to step 23.
22		- Select the Select Row checkbox appearing in the left corner of the unmatched line item with blank Exception Type in the Items by Status grid view. - Right-click and select Exception Creation. - Select the button next to the Inbox field. - Select DOMESTIC BANKING. - Select the Select button. - Select the button next to the Exception Category field. - Select Cash. - Select the Select button. - Select the button next to the Exception Type field. - Select SP Items Received. - Select the Select button. - Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions - Select the Select button. - Select Create. - Select OK. - Locate and select the Select Row checkbox of the line item for which the exception was created in TLM. - Right-click and select Exception Detail. - Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. - Select Save. - Select the Items by Status tab - Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window

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	• Enter "*Reverse the entries. Proof List# [enter the proof list number], SECAF Operator ID# [enter the SECAF Operator ID] not posted to GL*" in the Source System Reference field • Select Save and then close the window • Select the Exception tab • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it. • Return to step 21.
23	**Have all line items causing the outstanding balance been identified?** • If **Yes**, proceed to step 24. • If **No**, proceed to step 25.
24	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. ***Important:*** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK. • Proceed to step 98.
25	• Access Siebel • Select Service Platform on the top of the screen. • Select Proof List Summary under Proof Reports heading under Inquiries. • Copy the transit number from the Transit column in the line item under review in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit Number field in Siebel. • Select Next Prompt. • Enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field. • Select Next Prompt. • Select the applicable batch type (Business Account CAD for GL number 990-430-1 or Business Account USD for GL number 900-173-6) from the Batch type drop down list. • Select Go. • Determine the Grand Total amount under the column GL Amount($). • **Is the same amount outstanding line item available in TLM?** - If **Yes**, proceed to step 26. - If **No**, proceed to step 28.

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26	- Select the applicable batch type (CAD Proof for GL number 990-430-1 or USD Proof for GL number 900-173-6) from the Batch type drop down list. - Select Go. - Determine the Grand Total amount under the column GL Amount($). **Is the same amount outstanding line item available in TLM?** - If **Yes**, proceed to step 27. - If **No**, proceed to step 28.
27	- Select the applicable batch type (Sundry Credit CAD for GL number 990-430-1 or Sundry Credit USD GL number 900-173-6) from the Batch type drop down list. - Select Go. - Determine the Grand Total amount under the column GL Amount($). **Is the same amount outstanding line item available in TLM?** - If **Yes**, proceed to [step 77](#) for Unbatched proof item. - If **No**, proceed to step 28.
28	- Search for the transit number under review in Appendix C: Sub-Transit List. ***Refer to*** the [Appendix C: Sub-Transit List](#). **Is the transit number available in the Sub-Transit List?** - If **Yes**, proceed to step 29. - If **No**, proceed to [step 32](#).
29	- Select Service Platform on the top of the screen in Siebel. - Select Proof List Summary under the proof Reports. - Copy the sub-transit number from the Appendix C: Sub-Transit List and paste it in the Transit Number field in Siebel. - Enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field. - Select Next Prompt. - Select the applicable batch type (Business Account CAD for GL number 990-430-1 or Business Account USD for GL number 900-173-6) from the Batch type drop down list. - Select Go. - Determine the Grand Total amount under the column GL Amount($). **Is the same line item available in TLM for the GL number under review?** - If **Yes**, proceed to step 31. - If **No**, proceed to step 30.
30	**Are there more sub-transits listed in the Sub-Transit list for the transit number under review?**

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		• If **Yes**, return to step 29 to check next sub-transit. • If **No**, proceed to step 33.
31		• Select the applicable batch type (CAD Proof for GL number 990-430-1 or USD Proof for GL number 900-173-6) from the Batch type drop down list. • Select Go. • Determine the Grand Total amount under the column GL Amount($). • **Is the same line item available in TLM for the GL number under review?** - If **Yes**, proceed to step 32. - If **No**, proceed to step 33.
32		• Select the applicable batch type (Sundry Credit CAD for GL number 990-430-1 or Sundry Credit USD GL number 900-173-6) from the Batch type drop down list. • Select Go. • Determine the Grand Total amount under the column GL Amount($). • **Is the same amount available TLM for the GL number under review?** - If **Yes**, proceed to step 77 for Unbatched proof item. - If **No**, proceed to step 33.

33		• Access IRIS.
		• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS.
		• Copy the account number from the Account column in the grid view of Items by Status in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS.
		• Enter the corresponding process date of the line item under review from the grid view of Items by Status, in the Processed On/From: field under the Mandatory Criteria of IRIS.
		• Select Search.
		• Select the checkbox next to the Routing Transit/Account for the total which did not match with the GLUPS Report.
		• Select View.
		• Determine the sum of the batch numbers given below DISPOSITION AND PARTICULARS / AFFECTATION ET DÉTAILS on the IRIS image.
		• **Verify if the sum of the batch numbers in Siebel matches with the sum of the batch numbers given at the bottom right corner of the IRIS image?**
		
		- If **Yes**, proceed to step 34.
		- If **No**:
		
		  ▪ determine the remaining outstanding balance amount
		  ▪ proceed to step 35.

34	**Is there any Proof List batch number(s) for which an IRIS image is not available?** • If **Yes**, proceed to step 35. • If **No**, proceed to <u>step 77</u> for unbatched proof item.
35	• Return to the RBC REC Lifecycles Summary tree view to search for the offset items in Adjustment1, Adjustment 3 and Proof Suspense accounts sets. • Select DB–SUSP–ADJUSTMENTS-SERIALIZED category. • Right-click and select Ad-hoc Items Search. • Scroll down to the Business Entity field and paste the transit number of the line item under review into it. • Select Search. Ad-Hoc Items Search dashboard will appear listing all outstanding DB–SUSP–ADJUSTMENTS-SERIALIZED items for the Transit under review. • Review outstanding DB–SUSP–ADJUSTMENTS-SERIALIZED items and search for possible offsets for your Second Day Balancing Transit under review. • **Is the amount or amounts found in Adjustment 1, Adjustment 3, or Proof Suspense GLs equal to the remaining outstanding balance of GL and transit number under review?** – If **Yes**, proceed to step 36. – If **No**, proceed to <u>step 44</u>.
36	• Select the Select Row checkbox appearing in the left corner of the outstanding SP line item in TLM which is not part of the outstanding balance. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Debit or Credit based on the sign of the remaining outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit). • Enter the offset amount determined in Adjustment 3 or Proof Suspense GLs, under the column Amount of Item Create Split tab in TLM. **_Important:_** Enter information for each offset found in Adjustment 3 or Proof Suspense GLs in TLM in a new line of the Item Create Split tab in TLM. Once all items are listed, proceed with the remaining steps. • Proceed to step 37.
37	• Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?**

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If …	Then …
Yes	Select Save
No	Correct your line item(s) accordingly and then select Save

• Select OK

38	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
39	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. • **Are there line items where the exception type is blank?** − If **Yes**, proceed to step 40. − If **No**, proceed to step 41.
40	• Select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to offset amount determined in Adjustment 1 or Adjustment 3 or Proof Suspense GLs. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select Create. • Select OK. • Select the refresh button to reload the line items. • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Offset is found in [enter the GL number in which offset was found]*" in the Source System Reference field • Select Save and then close the window • Return to step 39.

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41		• Review Source System Reference field of the new items resulted from the split to determine in which GL number the offset was found. • Use the table below to determine how to proceed based on the GL number in which the offset is identified.

If the offset was found in …	Then …
Adjustment 3 or Proof Suspense GLs	- locate the outstanding Adjustment 3 or Proof Suspense entry where offset is located - copy the owner ID of the owner of the outstanding Adjustment 3 or Proof Suspense entry from the Owner Column in TLM - right-click the outstanding Adjustment 3 or Proof Suspense entry under review and select Exception Detail - select the button next to the Exception Owner field - paste the owner ID in the Filter field - select the Filter button - read the name of the line item owner - access Outlook to find the email address of the owner of the outstanding entry of Adjustment 3 or Proof Suspense - enter the owner's name in the Find a Contact field - press Enter on the keyboard - select the Contacts button on the Properties dialog-box - copy the email ID from the Email field in the Contact dialog-box - select X on the top right corner of the Contact dialog-box to close it - select No when Save Changes pop up box appears - select X on the top right corner of the Properties dialog-box to close it - select X on the top right corner of the Exception Detail tab of the outstanding Adjustment 3 or Proof Suspense entry to close it - locate the outstanding SP line item for which Adjustment 3 or Proof Suspense GLs offset was found - select the Select Row checkbox appearing in the left corner of the line item under review - right-click and select Exception Detail - Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions - select the Select button

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			• use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date • select Save • *send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for owner of exception* • proceed to [step 43](#).
	Adjustment 1		• access [PeopleSoft](#) • select General Ledger under the Menu • select Journals under the Main Menu • select Create/Update Journal Entries under Journal Entry • select Add • enter "SecDayBal – process date [insert process date in YYYY/MM/DD format] batch type [insert batch type] Batch # [insert batch number], Reason for error). Outage amount found in GL # 991-604-0 or 900-352-6." In the Long Description: field under the Header section • select Lines section • copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section • enter the applicable GL number (such as 990-430-1 for CAD or 900-173-6 for USD) in the Account field of the Lines section • enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency • copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas) ***Example:*** When the amount in the line item under review is a credit (such as $1500) and the located outage amount is a debit (such as $1500), then enter $1500 with a minus sign (such as -1500) in the Amount field. ***Important:*** Credit amount must be entered as it is; however, debit amount must be entered with a minus sign as shown above. • enter "SecDayBal – process date [insert process date in YYYY/MM/DD format] batch type [insert batch type] Batch # [insert batch number], Reason for error). Outage amount found in GL # 990-430-1 or 900-173-6." In the Disptn/Descr field of the Lines section in PeopleSoft • select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry

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		• copy the transit number of the outage amount located under DB-SUSP-ADJUSTMENTS-SERIALIZED from the Transit column in the grid view of Ad-Hoc Items Search in TLM and paste it in the Oper Unit field of the Lines section • enter the GL number (such as 9916040 for CAD or 9003526 for USD) in which the outage was located, in the Account field of the Lines section **Note**: Currency, Amount and Disptn/Descr fields will be auto populated. • enter the serial number of the Adjustment Suspense #1 entry under the Local Serial Num field of the Lines section in PeopleSoft • select the drop down list in the *Process: field • select Edit Journal • select Process • select OK to close the pop-up window • select the drop down list in the *Process: field • select Submit Journal • select Process to generate a journal ID • select OK to close the pop-up window • copy the journal ID • proceed to step 42.
42		• Locate the outstanding SP line item for which Adjustment 1 offset was found. • Right-click and select Edit Item Exception. • Enter "*Please be advised that the Adjustment #1 entry for Amount [Insert the amoun]), Serial Number [Insert serial number] will be reversed to the Susp – SP Item Received GL 9904301/9001736. No action is required on your end.*" in the Source System Reference field. • Select Save • Select the X on the top right corner of the Edit Item Exception pop-up window to close it • Select the Select Row checkbox appearing in the left corner of the line item under review. • Right-click and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes **Refer to** [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • Select the Select button. • Enter "*process date [insert process date in YYYY/MM/DD format]. Session# [insert session number]. Outage amount found in GL # [insert GL number]. Journal ID [insert Journal ID]*" in the Note field. **Note:** Use single space to separate the new information from the existing one in the Note field.

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	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Select New Message. • Select Ongoing communication from the Type drop down list • Select Business Entity • Delete the text under Action Required: • Enter "*No action required*" under Action Required: • Delete the text under Mesures à prendre: • Enter "*Aucune intervention requise*" under Mesures à prendre: • Select Send • Select X on the top right corner of the Exception Detail tab to close it.
43	**Have all line items causing the outstanding balance been identified?** • If **Yes**, proceed to [step 98](#). • If **No**, proceed to step 44.
44	Use the table below to determine how to proceed based on the batch type of the items under review in Siebel. <table><tr><td>**If the batch type is ...**</td><td>**Then ...**</td></tr><tr><td>Business Account CAD or Business Account USD</td><td>• select Service Platform on the top of the screen in Siebel • select Proof List Summary under the proof Reports • copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the Transit Number field in Siebel • enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field • select Next Prompt • select the applicable batch type (such as Business Account CAD or Business Account USD) from the Batch type drop down list • select Go • select the Batch Id(s) of the outage amount (such as Batch Id 7) • select the Session Number • determine the transaction amount of the session number under the column Transaction Amount($) • proceed to step 45.</td></tr><tr><td>CAD Proof or USD Proof or</td><td>• select Service Platform on the top of the screen in Siebel • select Proof List Summary under the proof Reports</td></tr></table>

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	Sundry Credit CAD or Sundry Credit USD	• copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the Transit Number field in Siebel • enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field • select Next Prompt • select the applicable batch type (such as CAD Proof or USD Proof or Sundry Credit CAD or Sundry Credit USD) from the Batch type drop down list • select Go • select the Batch Id(s) of the outage amount (such as Batch Id 7) • proceed to step 46.
45		• Access IRIS. • Copy the transit number next to the Account Business Deposit TRX type from the Deposit Transit column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS. • Copy the account number next to the Account Business Deposit TRX type from the Account No column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS. • Enter the corresponding process date of the line item under review from the grid view of Items by Status, in the Processed On/From: field under the Mandatory Criteria of IRIS. • Select Search. • Look for the corresponding transaction amount found in Siebel in the image in IRIS. • Look for the ISN# at the extreme right bottom corner of the image in IRIS.
46		• Access OnDemand. • Select the drop down list in the Server field. • Select OCC-CM-OnDemand for the Central (Toronto) region. *Important:* - For Eastern (Montreal) region, the server is QCC-CM-OnDemand. - For Western (Vancouver) region, the server is BCCC-CM-OnDemand. • Enter the user ID in User ID field. • Enter the password in Password field. *Note:* - GL Officer must enter his or her user ID and password in the designated fields. - ID and password are not case sensitive. • Select OK. • Select Find. • Enter "*MDCS0200307Y-TOR-8800*" in the String field to retrieve MDCS CDN.MSTR TRAN.RPT2 – TOR88G08 Report for CAD GL or

![RBC Logo]

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	"*MDCS0101107Y-TOR-8800*" in the String field to retrieve MDCS US.MSTR TRAN.RPT – TOR88A34 Report for USD GL.
	
	Important: Use the following reports for other 2 regions:
	
	- for the Eastern region (Montreal (QCC)), retrieve the following reports for CAD:
	
	  ▪ use the string "*MDCS0200307Y-HAL-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – HAL88G09 Report
	  ▪ use the string "*MDCS0200307Y-MTL-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – MTL88G09 Report.
	
	- for the Eastern region (Montreal (QCC)), retrieve the following reports for USD:
	
	  ▪ use the string "*MDCS0101107Y-HAL-8800*" to retrieve MDCS US.MSTR TRAN.RPT – HAL88A18 Report
	  ▪ use the string "*MDCS0101107Y-MTL-8800*" to retrieve MDCS US.MSTR TRAN.RPT – MTL88A26 Report.
	
	- for the Western region (Vancouver (BCCC)), retrieve the following reports for CAD:
	
	  ▪ use the string "*MDCS0200307Y-CAL-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – CAL88G09 Report
	  ▪ use the string "*MDCS0200307Y-VAN-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – VAN88G09 Report
	  ▪ use the string "*MDCS0200307Y-WIN-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – WIN88G09 Report.
	
	- for the Western region (Vancouver (BCCC)), retrieve the following reports for USD:
	
	  ▪ use the string "*MDCS0101107Y-CAL-8800*" to retrieve MDCS US.MSTR TRAN.RPT – CAL88A39 Report
	  ▪ use the string "*MDCS0101107Y-VAN-8800*" to retrieve MDCS US.MSTR TRAN.RPT – VAN88A25 Report
	  ▪ use the string "*MDCS0101107Y-WIN-8800*" to retrieve MDCS US.MSTR TRAN.RPT – WIN88A26 Report.
	
	     • Select Open.
	     • Select Search.
	     • Select the latest process date report under POSTING DATE (mm/dd/yy).
	• Select View Full Report.
	• Determine the Batch type.
	• Use the table below to determine how to proceed based on the batch type.

If the batch type is ...	Then ...
Business Account CAD or Business	• select the Find a specified text string icon in the toolbar at the top of the screen • enter the ISN# from the image in IRIS in the String field of OnDemand

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	Account USD	• select Find • proceed to step 47.
	CAD Proof or USD Proof	• select the Find a specified text string icon in the toolbar at the top of the screen • copy the outage amount with decimals from the GL Amount($) column in Siebel and paste it in the String field in OnDemand (without the $ sign and commas) *Note:* Remove the full stop and give a single space in the amount you paste (such as 3000 00). • select Find • proceed to step 47.
	Sundry Credit CAD or Sundry Credit USD	• select the Find a specified text string icon in the toolbar at the top of the screen • copy the outage amount with decimals from the GL Amount($) column in Siebel and paste it in the String field in OnDemand (without the $ sign and commas), put hyphen such as (-) next to the amount *Note:* Remove the full stop and give a single space in the amount you paste (such as 3000 00-). • select Find • proceed to step 47.
47	**Is the line item available in OnDemand?** • If *Yes*: - scroll to the top of the report till you find Batch column - check the transit number under the ACCOUNT column in OnDemand - proceed to step 48. • If *No*: - the batch(s) are not processed - proceed to step 49.	
48	**Is the transit number matching with the transit number under review in TLM?** • If *Yes*, proceed to step 56. • If *No*: - the batch(s) are processed to wrong transit - proceed to step 49.	

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49	Use the table below to determine how to proceed based on the reason why item is outstanding.

If the outstanding reason is ...	Then ...
Missing Item(s) (that is, the outstanding balance amount(s) within a batch is not processed)	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the selected line item (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the outstanding balance amount determined for proof delay, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
Missing Batch (that is, full batch(s) are not processed)	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the selected line item (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the outstanding balance amount determined for proof delay, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
Batch(s) are processed to wrong transit	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the selected line item (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the outstanding balance amount determined for proof delay, under the column Amount of Item Create Split tab in TLM • proceed to the next step.

50	• Scroll down to review the Difference field at the bottom of the Item Create Split tab.

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	• Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>• Select Save</td></tr><tr><td>**No**</td><td>• Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window <table><tr><td>**If the outstanding reason is …**</td><td>**Then enter the following in the Source System Reference field …**</td></tr><tr><td>Missing Item(s) (that is, the outstanding balance amount(s) within a batch is not processed)</td><td>"*Missing Item(s), process date [enter the process date in format YYYY/MM/DD] batch type [enter the batch type] batch # [enter the batch number] Session Number [enter the session number]*"</td></tr><tr><td>Missing Batch (that is, full batch(s) are not processed)</td><td>"*Missing Batch, process date [enter the process date in format YYYY/MM/DD] batch type [enter the batch type] batch # [enter the batch number]. When advising whether the missing proof or batch is located or not, email ocelprf@rbc.com*"</td></tr><tr><td>Batch(s) are processed to wrong transit</td><td>"*Transit Switch, process date [etner the process date in the format YYYY/MM/DD] batch type [enter the batch type] batch # [enter the batch number]. Processed in wrong transit [enter the wrong transit number]*"</td></tr></table> • Select Save and then close the window
51	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.

52	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. • **Are there line items where the exception type is blank?** − If **Yes**, proceed to the next step . − If **No**, proceed to step 56.
53	Use the table below to determine how to proceed based on the reason why item with the blank exception type is outstanding. <table><tr><td>**If the outstanding reason is ...**</td><td>**Then ...**</td></tr><tr><td>Missing Item(s) (that is, the outstanding balance amount(s) within a batch is not processed)</td><td>• select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to Missing Item(s) • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • Select 2ND DAY ITEMSUse the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • select the Select button • select Create • select OK • proceed to the next step</td></tr><tr><td>Missing Batch (that is, full batch(s) are not processed)</td><td>• select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to Missing Batch • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select 2ND DAY ITEMS • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes</td></tr></table>

		Refer to <u>Transaction Lifecycle Management (TLM) System Guide</u> for detailed instructions • select the Select button • select Create • select OK • proceed to the <u>next step</u>
	Batch(s) are processed to wrong transit	• access <u>PeopleSoft</u> • select General Ledger under the Menu • select Journals under the Main Menu • select Create/Update Journal Entries under Journal Entry • select Add • enter "SecDayBal – Transit Switch, between Transit Number [insert outage transit number] and Transit Number [insert wrong transit number found in MDCS report] process date [insert process date in YYYY/MM/DD format] Batch type [insert batch type] Batch # [insert batch number]." in the Long Description: field under the Header section • select Lines section • copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section • enter the applicable GL number (such as 990-430-1 for CAD or 900-173-6 for USD) in the Account field of the Lines section • enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency • copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas) ***Example:*** When the amount in the line item under review is a credit (such as $1500) and the located outage amount is a debit (such as $1500), then enter 1500 with a minus sign (such as -1500) in the Amount field. ***Important:*** Credit amount must be entered as it is; however, debit amount must be entered with a minus sign as shown above. • enter "SecDayBal – Transit Switch, between Transit Number [insert outage transit number] and Transit Number [insert wrong transit number found in MDCS report] process date [insert process date in YYYY/MM/DD format] Batch type [insert batch type] Batch # [insert batch number]." in the Disptn/Descr field of the Lines section in PeopleSoft

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		- select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry - copy the wrong transit number under the ACCOUNT column from the MDCS Report in OnDemand and paste it in the Oper Unit field of the Lines section - enter the GL number (such as 990-430-1 for CAD or 900-173-6 for USD) in the Account field of the Lines section ***Note***: Currency, Amount and Disptn/Descr fields will be auto populated. - select the drop down list in the *Process: field - select Edit Journal - select Process - select OK to close the pop-up window - select the drop down list in the *Process: field - select Submit Journal - select Process to generate a journal ID - select OK to close the pop-up window - copy the journal ID - proceed to step 55.
54		- Locate and select the Select Row checkbox of the line item for which the exception was created in TLM - Right-click and select Exception Detail - Review the process date of the item - Select the Select Row checkbox appearing in the left corner of the line item where the exception is raised - Right-click and select Exception Creation - Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day, from the current date - Select Save - Return to step 43
55		- Select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to Batch(s) are processed to wrong transit. - Right-click and select Exception Creation. - Select the button next to the Inbox field. - Select DOMESTIC BANKING. - Select the Select button. - Select the button next to the Exception Category field. - Select Cash. - Select the Select button. - Select the button next to the Exception Type field. - Select 2ND DAY ITEMS - Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions

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	• Select the Select button. • Enter "Transit Switch, between Transit Number [insert outage transit number] and Transit Number [insert wrong transit number found in MDCS report] process date [insert process date in YYYY/MM/DD format] Batch type [insert batch type] Batch # [insert batch number]. Journal ID" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Create. • Select OK. • Select the refresh button to reload the line items. • Return to step 52.
56	**Have all items causing the outstanding balance been identified?** • If **Yes**, proceed to step 98. • If **No**, proceed to step 57.

57	• Access MDCS Report in OnDemand
	• Scroll down till you find BATCH NUM under the SEQ column in the MDCS Report.
	• **Are the Transit Number, GL number, and the amount under review is available in the last line of MDCS Report?**
	
	‐ If **Yes**, proceed to the next step.
	‐ If **No**:
	
	  ▪ it is a not posted to transit and GL or Symcor holding scenario
	  ▪ proceed to step 61.

58	Use the table below to determine how to proceed based on the Batch type. <table><tr><td>**If the batch type is ...**</td><td>**Then ...**</td></tr><tr><td>Business CAD or Business USD</td><td>proceed to the next step.</td></tr><tr><td>CAD Proof or USD proof</td><td>proceed to the next step.</td></tr><tr><td>Sundry Credit CAD or Sundry Credit USD</td><td>proceed to step 60.</td></tr></table>
59	Use the table below to determine how to proceed based on the Transaction code available above the last line of MDCS Report. <table><tr><td>**If the transaction code is ...**</td><td>**Then ...**</td></tr><tr><td>51, 56 or 48 (that is, line item processed correctly)</td><td>proceed to step64.</td></tr></table>

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	75 (that is, Credit processed as Debit)	• credit is processed as debit • proceed to step 61.

60	Use the table below to determine how to proceed based on the Transaction code available above the last line of MDCS Report.

If the transaction code is ...	Then ...
51 or 61 (that is, Debit processed as Credit)	• debit is processed as Credit • proceed to the next step.
75 (that is, line item processed correctly)	proceed to step 64.

61	Follow the steps below to search for corresponding offset in Adjustment 1, Adjustment 3, and Proof Suspense GLs: • Copy the transit number of the line item under review from the Transit column in TLM. • Return to the RBC REC Lifecycles Summary tree view to search for the offset items in Adjustment1, Adjustment 3 and Proof Suspense accounts sets. • Select DB–SUSP–ADJUSTMENTS-SERIALIZED category. • Right-click and select Ad-hoc Items Search. • Scroll down to the Business Entity field and paste the transit number of the line item under review into it. • Select Search. Ad-Hoc Items Search dashboard will appear listing all outstanding DB–SUSP–ADJUSTMENTS-SERIALIZED items for the Transit under review. • Review outstanding DB–SUSP–ADJUSTMENTS-SERIALIZED items and search for possible offsets for your Second Day Balancing Transit under review. • **Is the amount or amounts found in Adjustment 1, Adjustment 3, or Proof Suspense GLs equal to the outstanding balance of GL and transit number under review?** – If **Yes**, proceed to the next step. – If **No**, proceed to step 68 to split for debit processed as Credit or vice versa and not posted to transit and GL or Symcor holding.

62		• Follow the steps 35 through 42 to update outstanding items in TLM for the GL and transit number under review and to process correcting entries as required. • Proceed to the next step.

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63	**Have all items causing the outstanding balance been identified?**
	• If **Yes**, proceed to step98. • If **No**, proceed to the next step.

64	• Access Siebel
	• Select Service Platform on the top of the screen in Siebel.
	• Select Proof List Details under Proof Reports heading under Inquiries.
	• Select Skip Prompt.
	• Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the Transit Number field in Siebel.
	• Select Next Prompt.
	• Enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field.
	• Select Next Prompt.
	• Select the applicable batch type (Business Account CAD for GL number 990-430-1 or Business Account USD for GL number 900-173-6) from the Batch type drop down list.
	• Select Go.
	• Compare the amounts under the column GL Account($) in Siebel with the amounts under the AMOUNT column in MDCS Report.
	• **Is there any amount(s) available in MDCS report but not in Siebel?**
	
	  - If **Yes**:
	
	    ▪ it is a free item or free deposit
	    ▪ determine the cheque number and client account number in MDCS report
	    ▪ proceed to step 68 to split for free item or free deposit.
	
	  - If **No**, proceed to the next step.

65	• Access IRIS. • Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS. • Copy the account number from the Account column in the grid view of Items by Status in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS. • Enter the corresponding process date of the line item under review from the grid view of Items by Status, in the Processed On/From: field under the Mandatory Criteria of IRIS. • Select Search. • Select the checkbox next to the Routing Transit/Account for the total amount against the GL number (9904301 for CAD or 9001736 for USD) identified in MDCS report. • Select Batch/Deposit. • Select Return All radio button. • Select Submit. • Select Routing Transit/Account checkbox.

![RBC logo]

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		• Select View. • Determine the amount in the body of the image. • Determine the amount encoded in the bottom right corner of the image. • **Is the amount in the body of the image and the amount encoded in the bottom right corner of the image matching?** - If **Yes**, proceed to the next step - If **No**, proceed to step 68 to split for encoding error transaction.
66		**Determine if the amount in IRIS is matching with the Siebel amount?** • If **Yes**, proceed to the next step. • If **No**: - select the corresponding session number for the amount that is not matching with IRIS image under the column Session Number in Siebel - proceed to step 75.
67		**Is the sum total of all the line items in MDCS report is matching with the sum total amount of Proof Batch details (such as the sum total of Business Account CAD or CAD Proof or Sundry Credit CAD)?** • If **Yes**, proceed to step 85. • If **No**, proceed to the next step to split for proof batch diff Totaling Error.
68		Use the table below to determine how to proceed based on the reason for the item to be outstanding.

If the outstanding reason is ...	Then ...
debit processed as Credit or vice versa	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the debit processed as Credit or vice versa amount determined in MDCS report, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
free item or free deposit	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split

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		• select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the free item or free deposit amount determined in MDCS report, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
	not posted to transit and GL or Symcor holding	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the not gone to transit or GL or amount determined in MDCS report, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
	encoding error	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the encoding error amount determined in IRIS, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
	proof batch diff Totaling Error	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the proof batch diff Totaling Error amount determined in MDCS report, under the column Amount of Item Create Split tab in TLM

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		• proceed to the next step .
69		• Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?**

If …	Then …
Yes	Select Save
No	Correct your line item(s) accordingly and then select Save

• Select OK
• Select the Items by Status tab
• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window

If the outstanding reason is …	Then enter the following in the Source System Reference field …
Debit processed as Credit or vice versa	"*[enter Cr processed as Dr or Dr processed as Cr. Process date [enter the process date in the format YYYY/MM/DD] Batch type [enter the batch type] Batch # [enter the batch number]. Waiting for offsetting entry from Symcor*"
Free item or free deposit	"*[enter free item or free deposit]. Process date [enter the process date in format YYYY/MM/DD] cheque # [enter the cheque number] client account # [enter the client account number].*"
Not posted to transit and GL or Symcor holding	"*[enter Not posted to transit and GL or Symcor holding]. Process date [enter the process date in the format YYYY/MM/DD] Batch type [enter the batch type] Batch # [enter the batch number]. Waiting for offsetting entry from Symcor.*"
Encoding error	"*Encoding Error, process date [enter the process date in the format YYYY/MM/DD] Batch type [enter the batch type] Batch # [enter the batch number] ISN# [enter the ISN#].*"
Proof batch diff Totaling Error	"*Proof Batch Totaling Error, process date [enter the process date in format YYYY/MM/DD]. Batch type [enter the batch type] Batch # [enter the batch*

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		number] Processed for amount [enter the amount] and Total amount was [enter the total amount] ISN# [enter the ISN#]."
	• Select Save and then close the window	
70	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.	
71	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. • **Are there line items where the exception type is blank?** – If **Yes**, proceed to step73. – If **No**, proceed to the next step .	
72	**Have all items causing the outstanding balance been identified?** • If **Yes**, proceed to step 98. • If **No**, proceed to the next step .	
73	Use the table below to determine how to proceed based on the reason why item with the blank exception type is outstanding.	

If the outstanding reason is ...	Then ...
debit processed as Credit or vice versa	• select the Select Row checkbox appearing in the left corner of the line item resulted from the split that is outstanding due to debit processed as Credit or vice versa • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field

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		• select 2ND DAY ITEMS
		• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
		
		Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
		    • select the Select button
		    • use the calendar icon to select the date in the Next Review Date field to pend the line item for 3 business days from the current date
		    • select Create
		    • select OK
		    • select the refresh button to reload the line items
		    • return to step 71.

	free item or free deposit	• select the Select Row checkbox appearing in the left corner of the line item resulted from the split that is outstanding due to posting error • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select 2ND DAY ITEMS • select Create • select OK • select the refresh button to reload the line items • proceed to Posting to Client Accounts section to adjust client account.
	not posted to transit and GL or Symcor holding	• select the Select Row checkbox appearing in the left corner of the line item resulted from the split that is outstanding due to not gone to transit or GL • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select 2ND DAY ITEMS • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions

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		• select the Select button • use the calendar icon to select the date in the Next Review Date field to pend the line item for 3 business days from the current date • select Create • select OK • select the refresh button to reload the line items • return to step 71.
	encoding error	• access PeopleSoft • select General Ledger under the Menu • select Journals under the Main Menu • select Create/Update Journal Entries under Journal Entry • select Add • enter "SecDayBal – Encoding Error, process date [insert process date in YYYY/MM/DD format] Batch type [insert batch type] Batch # [insert batch number] ISN# [insert ISN#]." in the Long Description: field under the Header section • select Lines section • copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section • enter the applicable GL number (such as 990-430-1 for CAD or 900-173-6 for USD) in the Account field of the Lines section • enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency • copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas) ***Example:*** When the amount in the line item under review is a credit (such as $1500) and the located outage amount is a debit (such as $1500), then enter 1500 with a minus sign (such as -1500) in the Amount field. ***Important:*** Credit amount must be entered as it is; however, debit amount must be entered with a minus sign as shown above. • enter "SecDayBal – Encoding Error, process date [insert process date in YYYY/MM/DD format] Batch type [insert batch type] Batch # [insert batch number] ISN# [insert ISN#]." in the Disptn/Descr field of the Lines section in PeopleSoft • select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry

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		• copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section • enter the GL number (such as 991-867-3 for CAD or 900-367-4 for USD) in the Account field of the Lines section *Note*: Currency, Amount and Disptn/Descr fields will be auto populated • enter the serial number (such as 4301mmddxx [where xx= sequential number starting with 01] for CAD) or (such as 1736mmddxx [where xx= sequential number starting with 01] for USD) under the Local Serial Num field of the Lines section in PeopleSoft • select the drop down list in the *Process: field • select Edit Journal • select Process • select OK to close the pop-up window • select the drop down list in the *Process: field • select Submit Journal • select Process to generate a journal ID • select OK to close the pop-up window • copy the journal ID • proceed to the next step .
	proof batch diff Totaling Error	• access PeopleSoft • select General Ledger under the Menu • select Journals under the Main Menu • select Create/Update Journal Entries under Journal Entry • select Add • enter "SecDayBal – Proof Batch Totalling Error, process date [insert process date in YYYY/MM/DD format] Batch type [insert batch type] Batch # [insert batch number] Processed for amount [insert amount] and Total amount was [insert total amount] ISN# [insert ISN#]." in the Long Description: field under the Header section • select Lines section • copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section • enter the applicable GL number (such as 990-430-1 for CAD or 900-173-6 for USD) in the Account field of the Lines section • enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency

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		• copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas)
		
		Example: When the amount in the line item under review is a credit (such as $1500) and the located outage amount is a debit (such as $1500), then enter 1500 with a minus sign (such as -1500) in the Amount field.
		
		Important: Credit amount must be entered as it is; however, debit amount must be entered with a minus sign as shown above.
		
		    • enter "SecDayBal – Proof Batch Totalling Error, process date [insert process date in YYYY/MM/DD format] Batch type [insert batch type] Batch # [insert batch number] Processed for amount [insert amount] and Total amount was [insert total amount] ISN# [insert ISN#]." in the Disptn/Descr field of the Lines section in PeopleSoft
		    • select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry
		    • copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section
		    • enter the GL number (such as 991-867-3 for CAD or 900-367-4 for USD) in the Account field of the Lines section
		
		Note: Currency, Amount and Disptn/Descr fields will be auto populated
		
		    • enter the serial number (such as 4301mmddxx [where xx= sequential number starting with 01] for CAD) or (such as 1736mmddxx [where xx= sequential number starting with 01] for USD) under the Local Serial Num field of the Lines section in PeopleSoft
		    • select the drop down list in the *Process: field
		    • select Edit Journal
		    • select Process
		    • select OK to close the pop-up window
		    • select the drop down list in the *Process: field
		    • select Submit Journal
		    • select Process to generate a journal ID
		    • select OK to close the pop-up window
		    • copy the journal ID
		    • proceed to the next step.

74		• Select the Select Row checkbox appearing in the left corner of the line item where the exception type is blank.

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	• Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Enter "Journal ID" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Create. • Select OK. • Select the refresh button to reload the line items. • Return to step 71.
75	• Determine if the IRIS image is a Cheque or a Bill payment. *Note:* A Bill payment has a Transaction code of 96 in the right bottom corner of the image in IRIS. • Use the table below to determine how to proceed based on the type of image in IRIS. <table><tr><td>**If the image in IRIS is ...**</td><td>**Then ...**</td></tr><tr><td>a cheque</td><td>• it is a posting error scenario • proceed to step 80 to split for posting error.</td></tr><tr><td>a bill payment</td><td>proceed to the next step .</td></tr></table>
76	• Determine the payment method used by the client in Siebel. *Important:* - If TRX Type shows Account Withdrawal, it is Bank Account. - If TRX Type shows Cheque Received or Cash Received, it is Cheque Received or Cash Received. Use the table below to determine how to proceed based on the payment method.

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If the payment method is ...	Then ...
Bank Account	• it is a posting error scenario • proceed to step 80 to split for posting error.
Cheque Received or Cash Received	• it is a bill payment posting error scenario • proceed to step 80 to split for bill payment posting error.

77		• Return to Siebel. • Select ed Proof Items under Proof Reports heading under Inquiries. • Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the Transit Number field in Siebel. • Select Next Prompt. • Enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field. • Select Go. • Select the session number under the column Session Number. • Determine the Session Type. • **Is the Session Type is Repair session?** - If **Yes,** proceed to Investigation for Repair Session. - If **No**, proceed to the next step .
78		**Have all items causing the outstanding balance been identified?** • If **Yes**, proceed to step 98. • If **No**, proceed to the next step .
79		• Return to IRIS. • Select Transaction History tab. • Select Account from the Start by selecting a search type from the drop-down list. • Copy the transit number next to the Account Business Deposit TRX type from the Deposit Transit column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS. • Copy the account number next to the Account Business Deposit TRX type from the Account No column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS. • Enter the corresponding process date of the line item under review from the grid view of Items by Status, in the Processed On/From: field under the Mandatory Criteria of IRIS. • Select Search.

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	• Determine the amount under the column Transaction Amount($) in Siebel is posted twice in transaction history of IRIS (that is the same amount is reflecting twice in transaction history under column Credits/Deposits in IRIS).
	  • **Is the amount posted twice?**
	
	– If **Yes**:
	
	  ▪ it is a deposit slip processed with amount or credited twice in error
	  ▪ proceed to the next step .
	
	– If **No**, proceed to the next step to split for unbatched proof item.

80	Use the table below to determine how to proceed based on the reason the item is outstanding. <table><tr><th>If the outstanding reason is …</th><th>Then …</th></tr><tr><td>posting error</td><td>• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the posting error amount determined in IRIS, under the column Amount of Item Create Split tab in TLM • proceed to the next step .</td></tr><tr><td>bill payment posting error</td><td>• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the bill payment posting error amount determined in Siebel, under the column Amount of Item Create Split tab in TLM • proceed to the next step.</td></tr><tr><td>deposit slip processed with amount or credited twice in error</td><td>• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review</td></tr></table>

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		• right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the deposit slip processed with amount or credited twice in error amount determined in IRIS, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
	Unbatched proof item	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the Unbatched proof item amount determined in siebel, under the column Amount of Item Create Split tab in TLM • proceed to the next step .
81		• Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?**

If …	Then …
Yes	Select Save
No	Correct your line item(s) accordingly and then select Save

• Select OK
• Select the Items by Status tab
• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window

If the oustanding reason is …	Then enter the following in the Source System Reference field …

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	Posting error	"*Posting error. Process date [enter the process date in format YYYY/MM/DD] session# [enter the session#] Client # [enter the client number].*"
	Bill payment posting error	"*Bill Payment in session [enter the session number] was remitted for the amount of [enter the bill total]. The difference of [enter the amount that is the bill payment minus the amount collected from the client] is outstanding. Contact the client to arrange for payment and provide us with an expected clearance date.*"
	Deposit slip processed with amount or credited twice in error	"*Deposit slip processed with amount or credited twice in error. Session [enter the session number]. Process date [enter the process date in YYYY/MM/DD format].*"
	Unbatched proof item	"*Unbatched session [enter the session number]. Process date [enter the process date in format YYYY/MM/DD format] batches are not processed.*"

• Select Save and then close the window

82	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
83	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. • **Are there line items where the exception type is blank?** − If **Yes**, proceed to the next step . − If **No**, proceed to step 98.
84	Use the table below to determine how to proceed based on the reason the item with the blank exception type is outstanding. <table><tr><th>If the outstanding reason is ...</th><th>Then ...</th></tr><tr><td>posting error, deposit slip processed with amount or credited twice in error</td><td>• select the Select Row checkbox appearing in the left corner of the line item resulted from the split that is outstanding due to posting error • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING</td></tr></table>

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		- select the Select button - select the button next to the Exception Category field - select Cash - select the Select button - select the button next to the Exception Type field - select 2ND DAY ITEMS - select Create - select OK - select the refresh button to reload the line items - proceed to Posting to Client Accounts section to adjust client account.
	bill payment posting error	- select the Select Row checkbox appearing in the left corner of the line item resulted from the split that is outstanding due to bill payment posting error - right-click and select Exception Creation - select the button next to the Inbox field - select DOMESTIC BANKING - select the Select button - select the button next to the Exception Category field - select Cash - select the Select button - select the button next to the Exception Type field - select 2ND DAY ITEMS - Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions - select the Select button - select Create - select OK - locate and select the Select Row checkbox of the line item for which the exception was created in TLM - right-click and select Exception Detail - Select calendar icon to right of Next Review Date field and select date that is 2 business days from current day's date - Select Save - Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an Email - Return to step 83
	Unbatched proof item	- select the Select Row checkbox appearing in the left corner of the line item resulted from the split that is outstanding due to Unbatched proof item - right-click and select Exception Creation - select the button next to the Inbox field - select DOMESTIC BANKING - select the Select button

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		• select the button next to the Exception Category field
		• select Cash
		• select the Select button
		• select the button next to the Exception Type field
		• select 2ND DAY ITEMS
		• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
		
		Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
		    • select the Select button
		    • select Create
		    • select OK
		    • locate and select the Select Row checkbox of the line item for which the exception was created in TLM
		    • right-click and select Exception Detail
		    • Review the process date of the item
		    • Select the Select Row checkbox appearing in the left corner of the line item where the exception is raised
		    • Right-click and select Exception Creation
		    • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day, from the current date.
		    • Select Save
		    • Return to step 43

85		• Access OnDemand.
		• Select the drop down list in the Server field.
		• Select OCC-CM-OnDemand for the Central (Toronto) region.
		
		Important:
		– For Eastern (Montreal) region, the server is QCC-CM-OnDemand.
		– For Western (Vancouver) region, the server is BCCC-CM-OnDemand.
		
		    • Enter the user ID in User ID field.
		    • Enter the password in Password field.
		
		    Note:
		– GL Officer must enter his or her user ID and password in the designated fields.
		– ID and password are not case sensitive.
		
		    • Select OK.
		    • Select Find.
		    • Enter "*MDCS0101107Y-TOR-8800*" in the String field to retrieve MDCS US.MSTR TRAN.RPT – TOR88A34 Report for USD GL.
		
		Important: Use the following reports for other 2 regions:
		
		- for the Eastern region (Montreal (QCC)), retrieve the following reports for CAD:

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	▪ use the string "*MDCS0200307Y-HAL-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – HAL88G09 Report ▪ use the string "*MDCS0200307Y-MTL-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – MTL88G09 Report. - for the Eastern region (Montreal (QCC)), retrieve the following reports for USD: ▪ use the string "*MDCS0101107Y-HAL-8800*" to retrieve MDCS US.MSTR TRAN.RPT – HAL88A18 Report ▪ use the string "*MDCS0101107Y-MTL-8800*" to retrieve MDCS US.MSTR TRAN.RPT – MTL88A26 Report. - for the Western region (Vancouver (BCCC)), retrieve the following reports for CAD: ▪ use the string "*MDCS0200307Y-CAL-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – CAL88G09 Report ▪ use the string "*MDCS0200307Y-VAN-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – VAN88G09 Report ▪ use the string "*MDCS0200307Y-WIN-8800*" to retrieve MDCS CDN.MSTR TRAN.RPT2 – WIN88G09 Report. - for the Western region (Vancouver (BCCC)), retrieve the following reports for USD: ▪ use the string "*MDCS0101107Y-CAL-8800*" to retrieve MDCS US.MSTR TRAN.RPT – CAL88A39 Report ▪ use the string "*MDCS0101107Y-VAN-8800*" to retrieve MDCS US.MSTR TRAN.RPT – VAN88A25 Report ▪ use the string "*MDCS0101107Y-WIN-8800*" to retrieve MDCS US.MSTR TRAN.RPT – WIN88A26 Report. • Select Open. • Select Search. • Select the latest process date report under POSTING DATE (mm/dd/yy). • Select View Full Report. • Determine the outage amount.
86	Use the table below to determine how to proceed based on the combination of currencies between MDCS Report, Siebel and GL number. | **If the outage amount is ...**	**Then ...**
available in MDCS CAD, GL number is 900-173-6, and Batch type is CAD	proceed to the next step .
available in MDCS USD, GL number is 990-430-1, and Batch type is USD	proceed to the next step .
available in MDCS CAD, GL number is 990-430-1, and Batch type is USD	proceed to step 88.	

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		available in MDCS USD, GL number is 900-173-6, and Batch type is CAD	proceed to step88.
		available in MDCS USD, GL number is 990-430-1, and Batch type is CAD	proceed to step88.
		available in MDCS CAD, GL number is 900-173-6, and Batch type is USD	proceed to step88.
87		- Copy the transit number of the line item under review from the Transit column in TLM. - Return to the RBC REC Lifecycles Summary tree view to search for offsetting line item related to outage amount under review. - Select DB-SUSP-ERROR-PROCESSING category. - Right-click and select Item Status Summary. - Select Items tab in the Items dashboard. - Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear. - Right-click the header in the grid view of Items by Status. - Select Show Filters. - Paste the transit number in the Filter field under the Transit column. - Press Enter on the keyboard. - Determine the offsetting line item related to outage amount under review. - Proceed to step 91 to split for the offset entry found in DB-SUSP-ERROR-PROCESSING category.	
88		- Retrieve the outage amount in the image in IRIS. **Determine if the cheque is being drawn on a Financial institution with an American address?** - If **Yes**: - the cheque is for USD currency - proceed to step90. - If **No**, proceed to step89.	
89		Use the table below to determine how to proceed based on whether the word 'US Fund' is available in the cheque or not.	

If the word US fund is ...	Then ...
available	- the cheque is for USD currency - proceed to the next step.
not available	- the cheque is for CAD currency - proceed to the next step.

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90	Use the table below to determine how to proceed based on whether the currency of the outage amount in image in IRIS is matching with the currency under the column Currency Code in Proof List Detail in Siebel or not.

If the currency is ...	Then ...
matching (that is, the proof has been submitted in wrong currency)	• it is a USD in CAD or CAD in USD scenario • proceed to step 92 to split for USD in CAD or CAD in USD.
not matching	• access IRIS • select Transaction History tab • select Account from the Start by selecting a search type from the drop-down list • copy the transit number next to the Account Business Deposit TRX type from the Deposit Transit column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • copy the account number next to the Account Business Deposit TRX type from the Account No column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • **Determine if credit or debit adjustment is mentioned after the date of the outage amount under review under the description column in IRIS?** - If **Yes**, proceed to step 96 to post USD in CAD or CAD in USD GL switch entry in service platform. - If **No**: ▪ it is a USD in CAD or CAD in USD scenario ▪ proceed to step 92 to split for USD in CAD or CAD in USD.

91	• Access Service Platform to process a conversion entry between GL number 990-430-1 and 900-173-6. • Select Administrative from the Sessions menu on the top left corner of Service Platform. • Select GL Entry from the Add Transactions drop-down. • Select the applicable GL type from the GL Type: drop-down field. • Enter the transit number under review in the GL Account NO: field.

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- Enter the applicable GL number (such as 900-173-6 for USD or 990-430-1 for CAD) after the transit number in the GL Account NO: field.

Note: Use single space to separate the transit number and GL number in the GL Account No: field.

- Select Yes to close the Service Platform pop-up message.
- Enter the applicable outage amount in the Amount: field.
- Select the reason Other from the Reason drop-down menu.
- Enter comments as applicable in the Additional Detail field.
- Select GL Credit from the Disposition drop-down field.
- Enter the transit number under review in the Disposition Details: field.
- Enter the applicable GL number (such as 900-173-6 for USD or 990-430-1 for CAD) after the transit number in the GL Account NO: field.

Note: Use single space to separate the transit number and GL number in the Disposition Details: Field.

- Select OK.
- Select Add Transactions.
- Select applicable conversion (CAD to USD or USD to Cad) from Convert Transaction Summary Balance…
- Select OK.
- Select GL Entry from the Add Transactions.
- Select the applicable GL type from the GL Type: field.
- Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the GL Account NO: field.
- Enter the applicable GL number (such as 900-173-6 for USD or 990-430-1 for CAD) after the transit number in the GL Account NO: field.

Note: Use single space to separate the transit number and GL number in the GL Account No: field.

- Select Yes to close the Service Platform pop-up message.
- Enter the applicable outage amount in the Amount: field.
- Select the reason Other from the Reason drop-down menu.
- Enter comments as applicable in the Additional Detail field in SP.
- Select OK.
- Determine the Session Balance: next to the Client Owes.
- Select GL Entry from the Add Transactions.
- Select the applicable GL type from the GL Type: field.
- Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the GL Account NO: field.
- Enter the USD Profit GL number (such as 990-996-1) after the transit number in the GL Account NO: field.

Note: Use single space to separate the transit number and GL number in the GL Account No: field.

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	• Select Yes to close the Service Platform pop-up message. • Enter the applicable difference amount in the Amount: field. • Select the reason Other from the Reason drop-down menu. • Enter comments as applicable in the Additional Detail field in SP. • Select OK. • Select Post<F9>.	
92	Use the table below to determine how to proceed based on the reason the item is outstanding.	

If the outstanding reason is …	Then …
offset found in DB-SUSP-ERROR-PROCESSING category	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the offset amount determined in DB-SUSP-ERROR-PROCESSING category, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
USD in CAD or CAD in USD	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the USD in CAD or CAD in USD amount determined in IRIS, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
USD in CAD or CAD in USD GL switch	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM which is not part of the outstanding balance for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row

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		• select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit) • enter the USD in CAD or CAD in USD GL switch amount determined in IRIS, under the column Amount of Item Create Split tab in TLM • proceed to the next step.
93		• Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?**

If …	Then …
Yes	Select Save
No	Correct your line item(s) accordingly and then select Save

• Select OK
• Select the Items by Status tab
• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window

If the oustanding reason is …	Then enter the following in the Source System Reference field …
Offset found in DB-SUSP-ERROR-PROCESSING category	"*[enter USD/CAD or CAD/USD]. Process date [enter the process date in the format YYYY/MM/DD] Batch type [enter the batch type] Batch # [enter the batch number] Offset is found in [enter the GL number in which offset is found].*"
USD in CAD or CAD in USD	"*[enter USD in CAD or CAD in USD], Session Number = [enter the session number] process date [enter the process date in format YYYY/MM/DD] ISN# [enter the ISN number].*"
USD in CAD or CAD in USD GL switch	"*Session Number = [enter the session number] process date [enter the process date in the format YYYY/MM/DD] ISN# [enter the ISN number].*"

• Select Save and then close the window

94		• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance.

<table>
<tr><td></td><td>
• Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0.

Important: When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0.

• Right-click over the selected group of line items and select Match.
• Select OK.
</td></tr>
<tr><td>95</td><td>
• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type.
• **Are there line items where the exception type is blank?**

− If **Yes**, proceed to the next step .
− If **No**, proceed to step 98.
</td></tr>
<tr><td>96</td><td>
Use the table below to determine how to proceed based on the reason the item with the blank exception type is outstanding.

If the outstanding reason is …	Then …
offset entry found in DB-SUSP-ERROR-PROCESSING category	• select the Select Row checkbox appearing in the left corner of the line item with blank exception type that is outstanding due to offset entry found in DB-SUSP-ERROR-PROCESSING category • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select 2ND DAY ITEMS • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • select the Select button • select Create • select OK • return to the offsetting DB-SUSP-ERROR-PROCESSING entry • copy the owner ID of the owner of the outstanding DB-SUSP-ERROR-PROCESSING entry from the Owner Column in TLM
</td></tr>
</table>

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		- right-click the outstanding DB-SUSP-ERROR-PROCESSING entry under review and select Exception Detail - select the button next to the Exception Owner field - paste the owner ID in the Filter field - select the Filter button - read the name of the line item owner - access Outlook to find the email address of the owner of the outstanding entry of DB-SUSP-ERROR-PROCESSING - enter the owner's name in the Find a Contact field - press Enter on the keyboard - select the Contacts button on the Properties dialog-box - copy the email ID from the Email field in the Contact dialog-box - select X on the top right corner of the Contact dialog-box to close it - select X on the top right corner of the Properties dialog-box to close it - select X on the top right corner of the Exception Detail tab of the outstanding DB-SUSP-ERROR-PROCESSING entry to close it - return to the line item under review in the grid view of Items status by Inbox - locate and select the Select Row checkbox of the line item for which the exception was created in TLM - right-click and select Exception Detail *send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for owner of exception* - use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date - select Save - select X on the top right corner of the Exception Detail tab to close it - select the refresh button to reload the line items - return to step 95.
	USD in CAD or CAD in USD	- access PeopleSoft - select General Ledger under the Menu - select Journals under the Main Menu - select Create/Update Journal Entries under Journal Entry - select Add - enter "SecDayBal – USD in CAD or CAD in USD, Session Number = [insert session number] process date [insert process date in YYYY/MM/DD format]

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ISN# [insert ISN number]." in the Long Description: field under the Header section
- select Lines section
- copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section
- enter the applicable GL number (such as 990-430-1 for CAD or 900-173-6 for USD) in the Account field of the Lines section
- enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency
- copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas)

Example: When the amount in the line item under review is a credit (such as $1500) and the located outage amount is a debit (such as $1500), then enter 1500 with a minus sign (such as -1500) in the Amount field.

Important: Credit amount must be entered as it is; however, debit amount must be entered with a minus sign as shown above.

- enter "SecDayBal – USD in CAD or CAD in USD, Session Number = [insert session number] process date [insert process date in YYYY/MM/DD format] ISN# [insert ISN number]." in the Disptn/Descr field of the Lines section in PeopleSoft
- select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry
- copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section
- enter the GL number (such as 991-867-3 for CAD or 900-367-4 for USD) in the Account field of the Lines section

Note: Currency, Amount and Disptn/Descr fields will be auto populated

- enter the serial number (such as 4301mmddxxx [where xxx= sequential number starting with 001] for CAD) or (such as 1736mmddxxx [where xxx= sequential number starting with 001] for USD) under the Local Serial Num field of the Lines section in PeopleSoft
- select the drop down list in the *Process: field
- select Edit Journal
- select Process
- select OK to close the pop-up window

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		• select the drop down list in the *Process: field • select Submit Journal • select Process to generate a journal ID • select OK to close the pop-up window • copy the journal ID • proceed to the next step.
	USD in CAD or CAD in USD GL switch	• select the Select Row checkbox appearing in the left corner of the line item with blank exception type that is outstanding due to USD in CAD or CAD in USD GL switch • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select 2ND DAY ITEMS • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • select the Select button • use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date • select Create • select OK • select the refresh button to reload the line items • return to step 95.
97		• Select the Select Row checkbox appearing in the left corner of the line item with blank exception type that is outstanding due to USD in CAD or CAD in USD. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes

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	Refer to [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions - Select the Select button. - Enter "Journal ID" in the Note field. - Paste the journal ID next to the text 'Journal ID' in the Note field. - Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. - Select Create. - Select OK. - Select the refresh button to reload the line items. - Return to [step 95](#).
98	**Is there any unlocated outage within +/- $50 range to be processed?** • If ***Yes***, proceed to the next step. • If ***No***, proceed to [step 105](#).
99	- Locate the line item that contains unidentified outstanding outage below $50 in the grid view of Items by Status in TLM for the GL and transit number under review. - Select the Select Row checkbox appearing in the left corner of the line item. - Right-click and select Item Create Split. - Select the drop down list under the column Dr/Cr in the first row. - Select Credit or Debit based on the sign of the unlocated outstanding balance. - Enter the unlocated outstanding balance amount under the column Amount in the first row. - Scroll down to review the Difference field at the bottom of the Item Create Split tab. - Determine if it lists as a Debit or a Credit. - Select the drop down list under the column Dr/Cr in the next row. - Select the same transaction type (that is, Debit or Credit) from the drop down list. - Enter the amount located in the Difference field under the column Amount. - Scroll down again to review the Difference field at the bottom of the Item Create Split tab. **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table>• Select OK
100	- Determine if the GL and transit number under review is eligible for write-off. ***Refer to*** the [Appendix H: Transits not Eligible for Write-offs](#). **Is the GL and transit number under review eligible to be written-off?** - If ***Yes***, proceed to the next step.

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	– If **No**, proceed to [step103](#).
101	• Access [PeopleSoft](#) • Select General Ledger under the Menu. • Select Journals under the Main Menu. • Select Create/Update Journal Entries under Journal Entry. • Select Add. • Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section. • Select the Lines section. • Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section. • Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section. • Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. • Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas). **Example:** When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a debit entry. **Important:** If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry. • Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft. • Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry. • Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section. • Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section. • Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. **Note:** Amount and Disptn/Descr field will be auto populated. • Select the drop down list in the *Process: field. • Select Edit Journal. • Select Process. • Select OK to close the pop-up window. • Select the drop down list in the *Process: field. • Select Submit Journal.

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		• Select Process to generate a journal ID. • Select OK to close the pop-up window. • Copy the Journal ID.
102		• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Enter "Journal ID" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Select Create. • Select OK. • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Offset is found in [enter the GL number in which offset was found]*" in the Source System Reference field • Select Save and then close the window • Proceed to step 105.
103		• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes

		Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Select Create. • Select OK.
104		• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an Email
105		Proceed to Aging Items Review for the GL number and the transit number under review.

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Investigation for SP - Repair GL

Purpose	The Vendor follows the steps in the table below to investigate exceptions, assign reason and resolution codes, and send email message to the service partner for the resolution.
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select SP-REPAIR-SESSION category from the RBC REC Lifecycles Summary tree view and double-click to open. ***Note:*** The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the 2ND DAY ITEMS exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.
5	• Select the Items tab in the Items dashboard. • Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear. • Right-click the header of Items by Status grid. • Select Show Filters.

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	• Click in the filter field of the Transit column; a drop down list will appear. • Enter the transit number under review. • Click in the filter field of the Account column; a drop down list will appear. • Select a GL number under review.

6	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review:
	  - Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear.
	  - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date.
	  - Select all items from all Process Dates except for the Process Date under review and newer.
	  - Select all back-dated items from the Process Date under review.
	
	Important: Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM.
	
	  - Review the total amount of the selected line items at the bottom of the screen.
	
	• Does the total amount of the selected items fall within the -$50 / +$50 range?
	
	  - If Yes, investigation is not required for the GL and transit number under review. Return to step 4 and select the next GL and transit combination on the Item Exceptions by Inbox dashboard.
	  - If No, proceed to step 7.

7	• Determine the current outstanding balance for the GL number and transit number under review. *Important:* Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view. • Review outstanding line items to identify Service Platform, People Soft, and IRIS entries. • Use the source system identification table below to determine the source system of the outstanding line items for the GL and transit number under review.

Source System Name	Source System ID in TLM	Trace Number Filter	Find Transaction details in…
IRIS	MANUAL	9*	IRIS
Service Platform	MANUAL	000956*	Siebel
PeopleSoft	[blank] PS_REV_TRA		TLM

8	• Review outstanding Service Platform, People Soft, and IRIS line items to determine if they correspond to the outstanding balance. • **Are there Service Platform, People Soft, and/or IRIS entries related to the outstanding balance?** − If **Yes**, proceed to step 9. − If **No**, proceed to step 15.
9	Use the table below to determine how to proceed based on the source system identified for the line item under review.

If the source system is …	Then …
Service Platform	• access Siebel • select Service Platform on the top of the screen • select General Ledger Trace Number under the General Ledger heading under Inquiries • copy the GL number of the line item under review from the Account column in the TLM and paste it in the GL Account Number field in Siebel • select Next Prompt • copy the trace number excluding zero from the line item under review from Trace Number column in the TLM and paste it in the GL Trace Number field • select Next Prompt • copy the amount from the line item under review from Amount column in the TLM (without the $ sign and commas) and paste it in the Transaction Amount ($) field • select Next Prompt • enter the most recent process date from TLM in MM/DD/YYYY format or use the calendar icon to select the date in the Session Date field • select Go • copy the session number under the Session Number column • proceed to step 10.
IRIS (trace number starts	• access IRIS to review the image of the entry to obtain the description and the source transit

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	with 9 and is 11 digits)	• copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • copy the account number from the Account column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • enter the corresponding process date of the line item under review from the grid view of Item Exceptions by Inbox, in the Processed On/From: field under the Mandatory Criteria of IRIS • copy the trace number excluding the first digit (such as 9)from the line item under review from Trace Number column in the TLM and paste it in the Item Sequence #: field in IRIS • select Search • select the arrow button at the bottom of the image to retrieve the back page of the image • determine the source transit stamp in the image • proceed to step 11.
	ATF (trace number starts with 991 or 992 and is 11 digits)	• Access ATF • Select Incoming to display Search Incoming screen • Enter process date of exception in Process Date Begin Value field in format YYYY-MM-DD • Enter trace number of exception ***without*** first digit in Sequence Number Begin Value field • Select Search All to display Item Details View screen • Select Show Image to display Item Details with Image screen • Proceed to step 11
	PeopleSoft	proceed to step 13.

10	• Select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM.
	• Right-click and select Edit Item Exception.
	• Enter "Session Number [paste the session number]. Entry was processed in error to the GL# [insert GL number].*"* in the Source System Reference field.
	• Select Save.
	• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
	• Right-click the line item under review and select Exception Detail.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	   Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Select Save.
	• Send 1st Request email type
	
	   Refer to Appendix A: Procedure for Sending an email.
	• Select X on the top right corner of the Exception Detail tab to close it.
	• Proceed to step 14.

11	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM.
	• Right-click and select Edit Item Exception.
	• Enter "Entry processed in error to the GL# [insert GL number]*."* in the Source System Reference field.
	• **Is source transit on the ATF/IRIS image different from the transit number of the entry?**
	
	  - If **Yes**, proceed to step 12.
	  - If **No**:
	
	    ▪ send 1st Request email type
	
	    Refer to [Appendix A: Procedure for Sending an email](#).
	    ▪ select X on the top right corner of the Exception Detail tab to close it
	    ▪ proceed to [step 14](#).

12	• Add the following text to the text in the Source System Reference field: "Source transit listed on the [enter ATF or IRIS] image is: [insert source transit # from the ATF/IRIS image]." • Send 1st request email type to source transit ***Refer to*** [Appendix A: Procedure for Sending an email](#). • Select X on the top right corner of the Exception Detail tab to close it. • Proceed to step 14.

13	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM.
	• Right-click and select Edit Item Exception.
	• Enter "Entry was processed in error to the GL# [insert GL number]*."* in the Source System Reference field.
	• Select Save.
	• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
	• Right-click the line item under review and select Exception Detail.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	  Refer to [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Select Save.
	• Determine email contact
	
	  Refer to [Appendix G: People Soft Entry Contact List](#).
	• *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact*
	• Proceed to step 14.

14	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM.

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	• Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
15	**Have all line items causing the outstanding balance been identified?** • If *Yes*, proceed to Aging Items Review for the GL number and the transit number under review. • If *No*, proceed to Investigation for Repair Session.

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Investigation for Repair Session

Purpose	The Vendor follows the steps in the table below to review repair sessions in Siebel to determine if outstanding balance is caused by any of the items listed in the Service Platform Repair session for GL and transit number under review.
Step	**Action**
1	• Access Siebel • Select Service Platform on the top of the screen. • Select Repair Session under the Proof Reports heading under Inquiries. • Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the Transit Number field in Siebel. • Select Next Prompt. • Enter previous business days' date in MM/DD/YYYY format or use the calendar icon to select the date in the first Calendar Date field. • Enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the second Calendar Date field. • Select Go. • Select the session ID under the column Session ID in Siebel of the corresponding outage amount of the GL and transit number under review in TLM.
2	• Select the drop down list in the Transaction ID field. • **Is there any number available in the drop-down list?** - If *Yes*, proceed to step 3. - If *No*: ▪ select the drop down list in the Sequence Number field

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	▪ proceed to step 3.	
3	● Review repair session transactions. ● **Are there one or more transactions with the total amount matching remaining outstanding balance?** ‐ If **Yes**, proceed to step 4 for the transactions matching the remaining outstanding balance. ‐ If **No**, proceed to step 4 for all repair session transactions.	

4	Use the table below to determine how to proceed based on the transaction type listed under the column TRX Type in Siebel.	

If the transaction type is ...	Then ...

Bill Payment	● access OnDemand
	● select the drop down list in the Server field
	● select the applicable server, that is, OCC-CM-OnDemand, BCCC-CM-OnDemand, or QCC-CM-OnDemand
	● enter the user ID in User ID field
	● enter the password in Password field
	
	   Note:
	   ‐ GL Officer must enter his or her user ID and password in the designated fields.
	   ‐ ID and password are not case sensitive.
	
	● select OK
	● select Find
	● enter "*SP-PBP-ACTIVITY-B700*" in the String field to retrieve SERVICE PALTFORM PAPERLESS BIL – TORB7704 Report
	
	Important: Use the following reports for other 2 regions:
	
	‐ for the Eastern region (Montreal (QCC)), retrieve the following reports:
	
	   ▪ use the string "*SP-PBP-ACTIVITY-B700*" to retrieve GL SERVICE PALTFORM PAPERLESS BIL – MTLB7704 Report.
	
	‐ for the Western region (Vancouver (BCCC)), retrieve the following reports:
	
	   ▪ use the string "*SP-PBP-ACTIVITY-B700*" to retrieve GL SERVICE PALTFORM PAPERLESS BIL – VANB7704 Report.
	
	● select Open

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			• copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the TRANSIT field in OnDemand • select Search • select the latest process date report under POSTING DATE (mm/dd/yy) • select View All Selected • select the Find a specified text String icon in the toolbar at the top of the screen • copy the amount under the column Transaction Amount ($) in Siebel and paste it in the String field • select Find All • procced to step 5.

		Draft	• access OnDemand
			• select the drop down list in the Server field
			• select the applicable server, that is, OCC-CM-OnDemand, BCCC-CM-OnDemand, or QCC-CM-OnDemand
			• enter the user ID in User ID field
			• enter the password in Password field
			
			Note:
			– GL Officer must enter his or her user ID and password in the designated fields.
			– ID and password are not case sensitive.
			
			• select OK
			• select Find
			• enter "*PRSBAR00602Y-TOR-2B00*" in the String field to retrieve PYMT RECONCILIATION BR REPORT – TOR2BG01 Report
			
			Important: Use the following reports for other 2 regions:
			
			- for the Eastern region (Montreal (QCC)), retrieve the following reports:
			
			   ▪ use the string "*PRSBAR00602Y-HAL-2B00*" to retrieve GL PYMT RECONCILIATION BR REPORT – HAL2BG01 Report
			   ▪ use the string "*PRSBAR00602Y-MTLL-2B00*" to retrieve GL PYMT RECONCILIATION BR REPORT – MTL2BG01 Report.
			
			- for the Western region (Vancouver (BCCC)), retrieve the following reports:
			
			   ▪ use the string "*PRSBAR00602Y-CAL-2B00*" to retrieve GL PYMT RECONCILIATION BR REPORT – CAL2BG01 Report
			   ▪ use the string "*PRSBAR00602Y-VANL-2B00*" to retrieve GL PYMT RECONCILIATION BR REPORT – VAN2BG01 Report
			   ▪ use the string "*PRSBAR00602Y-WINL-2B00*" to retrieve GL PYMT RECONCILIATION BR REPORT – WIN2BG01 Report.

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			• select Open • select Search • copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the TRANSIT field in OnDemand • select Search • select the latest process date report under POSTING DATE (mm/dd/yy) • select View Full Report • select the Find a specified text String icon in the toolbar at the top of the screen • copy the amount under the column Transaction Amount ($) in Siebel and paste it in the String field • select Find All • procced to step 5.

		Cash Payout or Cash Received	• access OnDemand
			• select the drop down list in the Server field
			• select the applicable server, that is, OCC-CM-OnDemand, BCCC-CM-OnDemand, or QCC-CM-OnDemand
			• enter the user ID in User ID field
			• enter the password in Password field
			
			Note:
			– GL Officer must enter his or her user ID and password in the designated fields.
			– ID and password are not case sensitive.
			
			• select OK
			• select Find
			• enter "*SP-EXTRACT-REPORT-TOR-S900*" in the String field to retrieve EXTRACT REPORTTOR-TORS9702 Report
			
			Important: Use the following reports for other 2 regions:
			
			- for the Eastern region (Montreal (QCC)), retrieve the following reports:
			
			  ▪ use the string "*SP-EXTRACT-REPORT-MTL-S900*" in the String field to retrieve EXTRACT REPORTMTL-MTLS9702 Report.
			
			- for the Western region (Vancouver (BCCC)), retrieve the following reports:
			
			  ▪ use the string "*SP-EXTRACT-REPORT-VAN-S900*" in the String field to retrieve EXTRACT REPORTVAN-VANS9702 Report.
			
			• select Open
			• select Search

			• select the corresponding session date of the line item under review under the POSTING DATE (mm/dd/yy) • select View Full Report • select the Find a specified text String icon in the toolbar at the top of the screen • copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the TRANSIT field in OnDemand • select Find All • proceed to step 5.

	Cheque Received or Sundry Credit.		proceed to
			
			Access OnDemand
			Select the drop down list in the Server field
			Select the applicable server, that is, OCC-CM-OnDemand, BCCC-CM-OnDemand, or QCC-CM-OnDemand
			      • Enter your user ID in User ID field and password in Password field then select OK
			      • Select Find to open the Find window

If region is …	Then …
Central (Toronto (OCC))	Enter "*MDCS0200307Y-TOR-8800*" in the String field to retrieve MDCS CDN.MSTR TRAN.RPT2 – TOR88G08 report for CAD GL or "*MDCS0101107Y-TOR-8800*" in the String field to retrieve MDCS US.MSTR TRAN.RPT – TOR88A34 Report for USD GL

	If …	Then …
Eastern (Montreal (QCC))	CAD GL	Select the applicable option below: • Enter "*MDCS0200307Y-HAL-8800*" in the String field to retrieve MDCS CDN.MSTR TRAN.RPT2 – HAL88G09 report Or • Enter "*MDCS0200307Y-MTL-8800*" in the String field to retrieve MDCS CDN.MSTR TRAN.RPT2 – MTL88G09 report
	USD GL	Select the applicable option below: • Enter "*MDCS0101107Y-HAL-8800*" in the String field to retrieve MDCS

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				US.MSTR TRAN.RPT – HAL88A18 report Or • Enter "*MDCS0101107Y-MTL-8800*" in the String field to retrieve MDCS US.MSTR TRAN.RPT – MTL88A26 report

		Western (Vancouver (BCCC))	**If …**	**Then …**
			CAD GL	Select the applicable option below: • Enter "*MDCS0200307Y-CAL-8800*" in the String field to retrieve MDCS CDN.MSTR TRAN.RPT2 – CAL88G09 report Or • Enter "*MDCS0200307Y-VAN-8800*" in the String field to retrieve MDCS CDN.MSTR TRAN.RPT2 – VAN88G09 report Or • • Enter "*MDCS0200307Y-WIN-8800*" in the String field to retrieve MDCS CDN.MSTR TRAN.RPT2 – WIN88G09 report
			USD GL	Select the applicable option below: • Enter "*MDCS0101107Y-CAL-8800*" in the String field to retrieve MDCS US.MSTR TRAN.RPT – CAL88A39 report Or • Enter "*MDCS0101107Y-VAN-8800*" in the String field to retrieve MDCS US.MSTR TRAN.RPT – VAN88A25 report

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Or

- Enter "*MDCS0101107Y-WIN-8800*" in the String field to retrieve MDCS US.MSTR TRAN.RPT – WIN88A26 report

- Select Find
- Select Open in the Open a Folder window
- Select Search in the Search Criteria and Document List window
- Select the most recent report in the Document List section and then select View Full Report
- Select the Find a specified text string icon in the toolbar at the top of the screen to open the Find window
- Entry the cheque amount in the String field and select Find

Determine if the cheque is related to the session:

- Access IRIS
- Select the drop down list under Start by selecting a search type from the drop-down list and select Other FI Search
- Enter the institution number of the cheque in the Financial Institution: field
- Enter the transit number of the cheque in the left side of the Transit/Account: field
- Enter the account number of the cheque in the right side of the Transit/Account: field
- Enter a date range of 30 days back from the previous business day's date in the Processed On/From: field
- Enter the amount of the cheque in the Amount Is/From: field
- Enter the serial number of the cheque in the Serial #: field
- Select Search
- Review the session number on the back of the image and determine if it matches with the session number of the outstanding item under review *then* proceed as follows:

If …	Then …
Yes	**Was the cheque cleared twice?** • If *Yes*, proceed to the next step • If *No*, proceed to step 11
No	**Are there more amounts in IRIS to review?** • If *Yes*, view the next image and then return to the previous bulleted action to review the session number on the back of the cheque • If *No*, proceed to step 11

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	Credit Card Payment or Credit Card cash Advance	- access IRIS - select Transaction History tab - select Credit Card from the Start by selecting a search type from the drop-down list - copy the credit card number next TRX type from the column Account No in Siebel and paste it in the Credit Card Account: field under the Mandatory Criteria of IRIS - select Search - proceed to step 5.
	Royal Credit Line (RCL) – Augment or Withdrawals	- access IRIS - select Transaction History tab - select RCL from the Start by selecting a search type from the drop-down list - copy the transit number next to the Royal Credit Line (RCL)-Augment TRX type from the Deposit Transit column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS - copy the account number next to the Royal Credit Line (RCL)-Augment TRX type from the Account No column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS - enter "*1*"in the Segment: field under the Mandatory Criteria of IRIS - select Search - proceed to step 5.
	Account Deposit, Account Withdrawals, Debit memo, or Credit memo	- access IRIS - select Transaction History tab - select Account from the Start by selecting a search type from the drop-down list - copy the transit number next to the Account Business Deposit TRX type from the Deposit Transit column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS - copy the account number next to the Account Business Deposit TRX type from the Account No column in Siebel and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS - select Search - determine the how many times the transaction is posted - proceed to step 14.
5		- Review details on the SP-PBP-ACTIVITY report in OnDemand to determine how many times transaction was posted. - Use the table below to determine how to proceed.

If the transaction was ...	Then ...
posted once	this transaction is not causing outstanding balance for the GL and transit number under review

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		• return to <u>step 4</u> for the next repair session transaction to be reviewed.

	not posted or posted twice	• select the Select Row checkbox appearing in the left corner of the line item in TLM for the GL and transit number under review
		• right-click and select Item Create Split
		• select the drop down list under the column Dr/Cr in the first row
		• select Debit or Credit based on the sign of the outstanding balance (e.g. if the balance is a Debit, select Debit, otherwise select credit)
		• enter the transaction not posted amount determined in applicable report, under the column Amount of Item Create Split tab in TLM
		• For Cheque posted twice scenarios, add the following details in the Source System Reference with the details that were added in the previous bulleted action
		  - Date of Transaction for first date and second duplication date
		  - Trace number/s for first and second duplication
		  - Amount(s)
		  - Serial number
		  - Transit
		  - Financial Institution number
		  - Account number
		  - Deposit account credited (if any)
		
		• scroll down to review the Difference field at the bottom of the Item Create Split tab
		• determine if it lists as a Debit or a Credit
		• select the drop down list under the column Dr/Cr in the next row
		• select the same transaction type (that is, Debit or Credit) from the drop down list
		• enter the amount located in the Difference field under the column Amount
		• scroll down again to review the Difference field at the bottom of the Item Create Split tab
		• **Is the difference amount in the Difference field equal to 0?**

If …	Then …
Yes	Select Save
No	Correct your line item(s) accordingly and then select Save

• Select OK
• Select the Items by Status tab
• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window
• Enter "*Repair Session # [enter the repair session number from Siebel]. Transaction Type: [enter the Transaction Type from Siebel] [enter whether it's not posted or posted twice]. Process Date: [enter the repair session process date from Siebel].*" in the Source System Reference field
• Select Save and then close the window

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6	**Have all items causing the outstanding balance been identified?** • If **Yes**, proceed to step 7. • If **No**, return to step 4.
7	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. *Important:* When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
8	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. • **Are there line items where the exception type is blank?** − If **Yes**, proceed to step 9. − If **No**, proceed to step 19.
9	Use the table below to determine how to proceed based on the transaction type and how many times it was posted.

If the transaction is …	and the transaction type is …	Then …
not posted	any	• select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to transaction not posted • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select current Exception Type under review • select the Select button • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes

|

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			Refer to [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • select the Select button • select Create • select OK • locate and select the Select Row checkbox of the line item for which the exception was created in TLM • right-click and select Exception Detail • send 1st Request email type ***Refer to*** [Appendix A: Procedure for Sending an email](#). • use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date • select Save • select X on the top of the Exception Detail tab to close it • return to step 8.
	posted twice	Bill Payment	• access [PeopleSoft](#) • select General Ledger under the Menu • select Journals under the Main Menu • select Create/Update Journal Entries under Journal Entry • select Add • enter "SecDayBal – Process date [insert process date in YYYY/MM/DD format] Session Number [insert session number]." in the Long Description: field under the Header section • select Lines section • copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section • enter the applicable GL number (such as 990-428-5 for CAD or 900-174-4 for USD) in the Account field of the Lines section • enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency • copy the amount under the column Transaction Amount ($) in Siebel and paste it in the Amount field of the Lines section (without the $ sign and commas) ***Important:*** Credit amount must be entered as it is; however, debit amount must be entered with a

| | | | | minus sign as shown above.

• enter "SecDayBal – Process date [insert process date in YYYY/MM/DD format] Session Number [insert session number]." in the Disptn/Descr field of the Lines section in PeopleSoft
• select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry
• copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section
• enter the GL number (such as 9916040 for CAD or 9003526 for USD) in the Account field of the Lines section

Note: Currency, Amount and Disptn/Descr fields will be auto populated.

• enter the serial number (such as 5420mmddxxx [where xxx= sequential number starting with 001] for CAD) or (such as 5420mmddxxx [where xxx= sequential number starting with 001] for USD) under the Local Serial Num field of the Lines section in PeopleSoft
• select the drop down list in the *Process: field
• select Edit Journal
• select Process
• select OK to close the pop-up window
• select the drop down list in the *Process: field
• select Submit Journal
• select Process to generate a journal ID
• select OK to close the pop-up window
• copy the journal ID
• proceed to step 10. |

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		Draft or Cash Payout or Cash Received Or Credit Card Payment or Credit Card Cash Advance or Royal Credit Line (RCL) – Augment or Withdrawals	- select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to transaction posted twice - right-click and select Exception Creation - select the button next to the Inbox field - select DOMESTIC BANKING - select the Select button - select the button next to the Exception Category field - select Cash - select the Select button - select the button next to the Exception Type field - select current Exception Type under review - select the Select button - Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions - select the Select button - select Create - select OK - locate and select the Select Row checkbox of the line item for which the exception was created in TLM - right-click and select Exception Detail - send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. - use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date - select Save - select X on the top of the Exception Detail tab to close it - return to step 8.

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| | | | Cheque Duplicated | Access PeopleSoft Enter your user ID in the format domain\employee number in the User ID field Enter your password in the Password field Select Sign In Select the drop down list to the right of Main Menu, then select General Ledger, then select Journals, then select Journal Entry and then select Create/Update Journal Entries to display the Create/Update Journal Entries screen Select Add to display a new screen with the Header tab selected Enter "*Duplicate posting*" In the Long Description field then select the Lines tab Copy the transit number from the Transit column in the Items by Status grid view in TLM for the line item under review and enter it in the Oper Unit field in PeopleSoft Enter the applicable GL number (9904285 or 9001744) of the line item under review in TLM without any dashes (-) in the Account field Enter "*CAD*" in the Currency field if the line item under review in TLM is 9904285, or enter "*USD*" in the Currency field if the line item under review in TLM is 9001744 Enter the amount of the line item under review in TLM in the Amount field as follows
- If the line item is a credit then enter the amount with a minus sign and ***without*** a $ sign
- If the line item is a debit then enter the amount ***without*** a minus sign or $ sign
Enter "*Duplicated Item - Process date [enter the date in the format YYYY/MM/DD]*" in the Disptn/Descr field along with the following details:
- Session number
- Date of both transactions
- Trace numbers
- Account number
- Financial Institution number
- Deposited account number Select the + sign which is located to the right of Line to add ***Result***: A new line will be added under the line that was previously completed Copy the transit number from the Oper Unit field in Line 1 and paste it in the Oper Unit field of Line 2 Enter the applicable GL number in the Account field as follows: |

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			- If you entered account number 9904285 for Line 1 then enter "*9904301* - If you entered account number 9001744 for Line 1 then enter "*9001736*" ***Note***: The Currency, Amount and Disptn/Descr fields will be auto populated • Select the drop down list in the *Process field, then select Edit Journal and then select Process • Select OK in the Message window • Select the drop down list in the *Process field, then select Submit Journal and then select Process • Select OK in the Message window • Copy the journal ID • Proceed to step 13
10	• Select the Select Row checkbox appearing in the left corner of the line item for the bill payment posted twice. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select current Exception Type under review. • Select the Select button.		

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	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • Select the Select button. • Select Create. • Select OK. • Locate and select the Select Row checkbox of the line item for which the exception was created in TLM. • Right-click and select Edit Item Exception. • Enter "Bill for amount [insert the amount], paid twice on Process date [insert process date in YYYY/MM/DD format] in session # [insert the session number]. Branch to request refund entry reversed to adjustment#1 GL. Journal ID." in the Source System Reference field. • Paste the journal ID next to the text 'Journal ID' in the Source System Reference field. • Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Right-click the line item under review and select Exception Detail. • Send 1st Request email type ***Refer to*** [Appendix A: Procedure for Sending an email](#). • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date. • Select Save. • Select X on the top of the Exception Detail tab to close it. • Return to [step 8](#).
11	• Copy the transit number of the line item under review from the Transit column in TLM. • Return to the RBC REC Lifecycles Summary tree view to search for corresponding items in Adjustment1, Adjustment 3 and Proof Suspense accounts sets. • Select DB–SUSP–ADJUSTMENTS-SERIALIZED category. • Right-click and select Ad-hoc Items Search. • Scroll down to the Business Entity field and paste transit number under review into it. • Click Search. • Ad-hoc Items Search dashboard will open showing outstanding Adjustments Serialized items. • **Check if the amount under the column Transaction Amount ($) in Siebel is available in GL numbers 900-367-4, 991-867-3, 991-680-0, 900-387-2, 991-604-0 or 900-352-6?** ‑ If **Yes**, proceed to step 12. ‑ If **No**, return to [step 6](#).
12	Use the table below to determine how to proceed based on whether the amount is available or not in GL numbers 900-367-4, 991-867-3, 991-680-0, 900-387-2, 991-604-0 or 900-352-6. <table><tr><th>If the amount is ...</th><th>Then ...</th></tr><tr><td>available</td><td>• access [PeopleSoft](#)</td></tr></table>

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| | | • select General Ledger under the Menu
• select Journals under the Main Menu
• select Create/Update Journal Entries under Journal Entry
• select Add
• enter "SecDayBal – process date [insert process date in YYYY/MM/DD format]. Session# [insert session number]. Outage amount found in GL # [insert GL number]." in the Long Description: field under the Header section
• select Lines section
• copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section
• enter the applicable GL number (such as 990-428-5 for CAD or 900-174-4 for USD) in the Account field of the Lines section
• enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency
• copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas)

Important: Credit amount must be entered as it is; however, debit amount must be entered with a minus sign as shown above.

Example: When the amount in the line item under review is a credit (such as $1500) and the located outage amount is a debit (such as $1500), then enter $1500 with a minus sign (such as -1500) in the Amount field.

• enter "SecDayBal – process date [insert process date in YYYY/MM/DD format]. Session# [insert session number]. Outage amount found in GL # [insert GL number]." in the Disptn/Descr field of the Lines section in PeopleSoft
• select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry
• copy the transit numbers of the outage amount located under DB-SUSP-ADJUSTMENTS-SERIALIZED from the Transit column in the grid view of Ad-Hoc Items Search in TLM and paste it in the Oper Unit field of the Lines section
• enter the GL number (such as 900-367-4 or 991-867-3 or 991-680-0 or 900-387-29916040 or 9003526) in which the outage was located, in the Account field of the Lines section

Note: Currency, Amount and Disptn/Descr fields will be auto populated.

• enter the serial number (such as 5420mmddxxx [where xxx= sequential number starting with 001]) under the Local Serial Num field of the Lines section in PeopleSoft
• select the drop down list in the *Process: field
• select Edit Journal |

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		• select Process • select OK to close the pop-up window • select the drop down list in the *Process: field • select Submit Journal • select Process to generate a journal ID • select OK to close the pop-up window • copy the journal ID • proceed to step 13.
	not available	• select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Item Exceptions by Inbox in TLM • right-click and select Exception Detail • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • select the Select button • use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date • send 1st Request email type *Refer to* Appendix A: Procedure for Sending an email. • select Save • select X on the top of the Exception Detail tab to close it • return to step 8.
13		• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM. • Right-click and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Enter "Process date [insert process date in YYYY/MM/DD format]. Session# [insert session number]. Outage amount found in GL # [insert GL number]. Journal ID in the Note field. • Copy and paste the journal ID next to the text 'Journal ID' in the Note field. *Note:* Use single space to separate the new information from the existing one in the Note field. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date. • Select Save. • Select X on the top right corner of Exception Detail to close it. • Return to step 8.
14		• Review details in IRIS to determine how many times transaction was posted.

<table>
<tr><td colspan="3">• Use the table below to determine how to proceed.</td></tr>
</table>

	If the transaction is ...	Then ...
	posted once	• this transaction is not causing outstanding balance for the GL and transit number under review • return to step 4 for the next repair session transaction to be reviewed.
	not posted or posted twice	• select the Select Row checkbox appearing in the left corner of the SP line item in TLM for the GL and transit number under review • right-click and select Item Create Split • select the drop down list under the column Dr/Cr in the first row • select Debit or Credit based on the sign of the outstanding balance (e.g. if the balance is a Debit, select Debit, otherwise select credit) • enter the transaction not posted amount determined in applicable report, under the column Amount of Item Create Split tab in TLM • scroll down to review the Difference field at the bottom of the Item Create Split tab • determine if it lists as a Debit or a Credit • select the drop down list under the column Dr/Cr in the next row • select the same transaction type (that is, Debit or Credit) from the drop down list • enter the amount located in the Difference field under the column Amount • scroll down again to review the Difference field at the bottom of the Item Create Split tab • proceed to step 15.

15	**Is the difference amount in the Difference field equal to 0?**

If …	Then …
Yes	Select Save
No	Correct your line item(s) accordingly and then select Save

• Select OK
• Select the Items by Status tab
• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window
• Enter "*Repair Session # [enter the repair session number from Siebel]. Transaction Type: [enter the Transaction Type from Siebel] [enter whether it's not posted or posted twice]. Process Date: [enter the repair session process date from Siebel].*" in the Source System Reference field
• Select Save and then close the window

16	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance.

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	• Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. ***Important:*** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
17	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. • **Are there line items where the exception type is blank?** − If ***Yes***, proceed to step 18. − If ***No***, proceed to step 19.
18	• Select the Select Row checkbox appearing in the left corner of the line item where the exception type is blank. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select current Exception Type under review • Select the Select button. • Select Create. • Select OK. • Select the refresh button to reload the line items. • Proceed to [Posting to Client Accounts](#) section to adjust client account.
19	**Is there any unlocated outage within +/- $50 range to be reversed?** • If ***Yes***, proceed to step 20. • If ***No***, return to the investigation section of the exception type under review and continue investigation of the GL and transit under review.
20	• Locate the line item that contains unidentified outstanding outage below $50 in the grid view of Items by Status in TLM for the GL and transit number under review. • Select the Select Row checkbox appearing in the left corner of the line item. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Credit or Debit based on the sign of the unlocated outage. • Enter the unlocated outage amount under the column Amount in the first row. • Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row.

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	• Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK

21	• Determine if the GL and transit number under review is eligible for write-off.
	
	    Refer to the <u>Appendix H: Transits not Eligible for Write-offs</u>.
	
	• **Is the GL and transit number under review eligible to be written-off?**
	
	  - If ***Yes***, proceed to step 22.
	  - If ***No***, proceed to <u>step 24</u>.

22	• Access <u>PeopleSoft</u>
	• Select General Ledger under the Menu.
	• Select Journals under the Main Menu.
	• Select Create/Update Journal Entries under Journal Entry.
	• Select Add.
	• Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section.
	• Select the Lines section.
	• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section.
	• Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section.
	• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.
	• Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas).
	
	    Example: When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a debit entry.
	
	    Important: If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry.
	
	• Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft.
	• Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry.
	• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section.

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		• Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section. • Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. ***Note:*** Amount and Disptn/Descr field will be auto populated. • Select the drop down list in the *Process: field. • Select Edit Journal. • Select Process. • Select OK to close the pop-up window. • Select the drop down list in the *Process: field. • Select Submit Journal. • Select Process to generate a journal ID. • Select OK to close the pop-up window. • Copy the Journal ID.
23		• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select current Exception Type under review. • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Enter "Journal ID" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Select Create. • Select OK. • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Unlocated outage*" in the Source System Reference field • Select Save and then close the window • Return to the investigation section of the exception type under review and continue investigation of the GL and transit under review. • Proceed to step 26.

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24	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select current Exception Type under review. • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Select Create. • Select OK.
25	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it.
26	Proceed to Aging Items Review for the GL number and the transit number under review.

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Posting to Client Accounts

Purpose	The Vendor follows the steps in the table below to adjust client accounts through the Service Platform postings.
Step	**Action**
1	• Access Sales Platform • Select Clients tab. • Select By Account Number under Find / Add Client. • Select the dropdown in the Account Type: field. • Select Deposit Account.

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	• Copy the account number next to the Account Business Deposit TRX type from the Account No column in Siebel and paste it in the Account Number: field. • Copy the transit number next to the Account Business Deposit TRX type from the Deposit Transit column in Siebel and paste it in the Transit: field. • Select the radio button next to Centre to select the applicable region. • Select Search. • Select the Client name under the Search Results. • Determine the transit number next to Responsibility Transit: field. • Search the Responsibility Transit Number under review. ***Refer to*** the Cross functional SOP for GBSC Transit List and Payment and Trade Centre Transit List • **Is the Responsibility Transit Number listed in GBSC Transit List or Payment and Trade Centre (P&T) Transit List?** - If ***Yes***, proceed to step 2. - If ***No***: ▪ determine the Business segmentation code in the Business Segmentation Code: field in the Sales Platform ▪ proceed to step 4.
2	Use the table below to determine how to proceed for GBSC and P&T responsibility transits. <table><tr><td>**If the Responsibility Transit is …**</td><td>**Then …**</td></tr><tr><td>available in GBSC List</td><td>• access PeopleSoft • select General Ledger under the Menu • select Journals under the Main Menu • select Create/Update Journal Entries under Journal Entry • select Add • enter "SecDayBal – Posting Error. Session Number = [insert session number] Process date [insert process date in YYYY/MM/DD format] ISN# [insert ISN number from the image in IRIS] Client Transit and account number." in the Long Description: field under the Header section • select Lines section • copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section • enter the applicable GL number (such as 990-428-5 for CAD or 900-174-4 for USD) in the Account field of the Lines section • enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency</td></tr></table>

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		• copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas) ***Important:*** Credit amount must be entered as it is; however, debit amount must be entered with a minus sign as shown above. ***Example:*** When the amount in the line item under review is a credit (such as $1500) and the located outage amount is a debit (such as $1500); then enter 1500 with a minus sign (such as -1500) in the Amount field. • enter "SecDayBal – Posting Error. Session Number = [insert session number] Process date [insert process date in YYYY/MM/DD format] ISN# [insert ISN number from the image in IRIS] Client Transit and account number." in the Disptn/Descr field of the Lines section in PeopleSoft • select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry • enter transit number (06554) it in the Oper Unit field of the Lines section • enter the GL number (such as 9918673 for CAD or 9003674 for USD) in the Account field of the Lines section ***Note***: Currency, Amount and Disptn/Descr fields will be auto populated. • enter the serial number (such as 4285mmdd for CAD) or (such as 1744mmdd for USD) under the Local Serial Num field of the Lines section in PeopleSoft • select the drop down list in the *Process: field • select Edit Journal • select Process • select OK to close the pop-up window • select the drop down list in the *Process: field • select Submit Journal • select Process to generate a journal ID • select OK to close the pop-up window • copy the journal ID • proceed to step 3.
	available in Payment & Trade List	• access PeopleSoft • select General Ledger under the Menu • select Journals under the Main Menu • select Create/Update Journal Entries under Journal Entry • select Add enter "SecDayBal – Posting Error. Session Number = [insert session number] Process date [insert process date in YYYY/MM/DD format] wrongly Posted as [insert the posted amount] instead of [inset the correct amount] ISN# [insert ISN number from the image in IRIS]

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Client Transit and account number." in the Long Description: field under the Header section

- select Lines section
- copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section
- enter the applicable GL number (such as 990-430-1 for CAD or 900-173-6 for USD) in the Account field of the Lines section
- enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency
- copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas)

Important: Credit amount must be entered as it is; however, debit amount must be entered with a minus sign as shown above.

Example: When the amount in the line item under review is a credit (such as $1500) and the located outage amount is a debit (such as $1500); then enter 1500 with a minus sign (such as -1500) in the Amount field.

- enter "SecDayBal – Posting Error. Session Number = [insert session number] Process date [insert process date in YYYY/MM/DD format] ISN# [insert ISN number from the image in IRIS] Client Transit and account number." in the Disptn/Descr field of the Lines section in PeopleSoft
- select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry
- enter the transit number in the Oper Unit field of the Lines section
- enter the GL number (such as 9918673 for CAD or 9003674 for USD) in the Account field of the Lines section

Note: Currency, Amount and Disptn/Descr fields will be auto populated.

- enter the serial number (such as 4285mmdd for CAD) or (such as 1744mmdd for USD) under the Local Serial Num field of the Lines section in PeopleSoft
- select the drop down list in the *Process: field
- select Edit Journal
- select Process
- select OK to close the pop-up window
- copy the journal ID
- proceed to [step 10](#).

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3	Use the table below to determine how to proceed based on the outage amount.

If the outage amount is …	Then …

less than $100,000.	• select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM
	• right-click and select Exception Detail
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	   Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• select the Select button
	• enter "Applicable Error Reason. Session Number = [insert session number] Process date [insert process date in YYYY/MM/DD format] ISN# [insert ISN number from the image in IRIS] Client Transit and account number. Journal ID" in the Note field
	• paste the journal ID next to the text 'Journal ID' in the Note field
	
	   Note: Use single space to separate the new information from the existing one in the Note field.
	
	• use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date
	• select Save
	• select X on the top right corner of Exception Detail to close it
	• proceed to step 11.

equal to or more than $100,000.	• select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM • right-click and select Edit Item Exception • enter "Applicable Error Reason. Session Number = [insert session number] Process date [insert process date in YYYY/MM/DD format] ISN# [insert ISN number from the image in IRIS] Client Transit and account number.*"* in the Source System Reference field • select Save • select X on the top right corner of the Edit Item Exception pop-up window to close it • right-click the line item under review and select Exception Detail • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • select the Select button • use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date

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		• select Save • *send 1st Request email type to THIRD PARTY recipient using email address fssgbsc@rbc.com* • proceed to step 11.
4	Use the table below to determine how to proceed based on the Business segmentation code in the Business Segmentation Code: field in the Sales Platform.	

If the segment code is …	Then …
200, 202, 300, 330, 502, or 555 (that is Public Sector or Commercial Clients)	proceed to step 5.
any other (personal or Business Clients)	proceed to step 8.

5	• Select Launch Internet Explorer Browser from the desktop. • Select Popular Links. • Select Policy & Procedure Library from the third column. • Use the table below to determine how to proceed based on the first alphabet of the Client's Name found in Sales Platform.

If the client name falls in alphabet …	Then …
A and B	• enter M1 under the Search for: field in Policy & Procedure Library • select All business Unit radio button • proceed to step 6.
C	• enter M2 under the Search for: field in Policy & Procedure Library • select All business Unit radio button • proceed to step 6.
D to F	• enter M3 under the Search for: field in Policy & Procedure Library

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		• select All business Unit radio button • proceed to [step 6](#).
	G to K	• enter M4 under the Search for: field in Policy & Procedure Library • select All business Unit radio button • proceed to step 6.
	L to O	• enter M5 under the Search for: field in Policy & Procedure Library • select All business Unit radio button • proceed to step 6.
	P to R	• enter M6 under the Search for: field in Policy & Procedure Library • select All business Unit radio button • proceed to step 6.
	S to T	• enter M7 under the Search for: field in Policy & Procedure Library • select All business Unit radio button • proceed to step 6.
	U to Z	• enter M8 under the Search for: field in Policy & Procedure Library • select All business Unit radio button • proceed to step 6.

6	**Is the corresponding Client Name found in Sales Platform available in M folio?** • If **Yes**, proceed to step 7. • If **No**, proceed to step 9.
7	• Select the Client's Name from the table of content. • Follow the instruction provided in M folio against the client's name.
8	Use the table below to determine identification of accounts. **If the account number range starts with…** / **Then client type is…** See table below.
9	• Access Service Platform. • Post an entry to the client's account. • Include the following details in the disposition of the entry: Session #, ISN #, Error Type, Date of the Error.

Step 8 table:

If the account number range starts with…	Then client type is…
1, 2 or 3	Business CAD
400, 401 or 402	Business USD
5, 6, 7 or 800 – 849	Personal CAD
450 or 850	Personal USD

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		Refer to the Appendix F: Commercial Client Posting Details List. ***Important:*** For Public Sector or Commercial Clients, follow instructions provided in the M folio.
10		• Select the Select Row checkbox appearing in the left corner of the line item under review in the Items by Status in TLM. • Right-click and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Enter comments as applicable. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Select X on the top right corner of Exception Detail to close it.
11		Proceed to Aging Items Review for the GL number and the transit number under review.

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Investigation for Visa GL

Use table below to determine how to proceed based on the transit under review.

If the Transit under review is …	Then proceed to …
Tr 06656	Investigation for Visa – Cash Operations
Other transits and GL number 9004748	Proceed to Investigation for Visa – Other USD (GL 9004748)
Other transits and GL number 9918863	Proceed to Investigation for Visa – Other CAD (GL 9918863)

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Investigation for Visa – Cash Operations

Purpose	The Vendor follows the steps in the table below to investigate exceptions, assign reason and resolution codes, and send email message to the service partner for the resolution.
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select HOLDOVER-CC-ITEMS category from the RBC REC Lifecycles Summary tree view and double-click to open.

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	Note: The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the 2ND DAY ITEMS exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.

5	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review:
	  - Select the Items tab in the Items dashboard
	  - Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear
	  - Right-click the header of Items by Status grid
	  - Select Show Filters
	  - Click in the filter field of the Transit column; a drop down list will appear
	  - Enter the transit number under review
	  - Click in the filter field of the Account column; a drop down list will appear
	  - Select a GL number under review
	  - Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear.
	  - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date.
	  - Select all items from all Process Dates except for the Process Date under review and newer.
	  - Select all back-dated items from the Process Date under review.
	
	Important: Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM.
	
	  - Review the total amount of the selected line items at the bottom of the screen.
	
	• **Does the total amount of the selected items fall within the -$50 / +$50 range?**
	  - If ***Yes***, investigation is not required for the GL and transit number under review. Return to [step 4](#) and select the next GL and transit combination on the Item Exceptions by Inbox dashboard.
	  - If ***No***, proceed to the next step

6	• Access OnDemand.
	• Select the drop down list in the Server field.
	• Select OCC-CM-OnDemand for the Central (Toronto) region.
	
	Important:
	  – For Eastern (Montreal) region, the server is QCC-CM-OnDemand.
	  – For Western (Vancouver) region, the server is BCCC-CM-OnDemand.

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- Enter the user ID in User ID field.
- Enter the password in Password field.

  Note:
  – GL Officer must enter his or her user ID and password in the designated fields.
  – ID and password are not case sensitive.

- Select OK.
- Select Find.
- Enter "*GLUPSTFULL-TOR-SA00*" in the String field to retrieve GL UPDATE & STAUS FULL TORSA814 Report.

  Important: Use the following reports for other 2 regions:

  - for the Eastern region (Montreal (QCC)), retrieve the following reports:

    ▪ use the string "*GLUPSTFULL-HAL-SA00*" to retrieve GL UPDATE & STATUS FULL - HALSA814 Report
    ▪ use the string "*GLUPSTFULL-MTL-SA00*" to retrieve GL UPDATE & STATUS FULL - MTLSA814 Report.

  - for the Western region (Vancouver (BCCC)), retrieve the following reports:

    ▪ use the string "*GLUPTSFULL-CAL-SA00*" to retrieve GL UPDATE & STATUS FULL - CALSA814 Report
    ▪ use the string "*GLUPTSFULL-VAN-SA00*" to retrieve GL UPDATE & STATUS FULL - VANSA814 Report
    ▪ use the string "*GLUPTSFULL-WIN-SA00*" to retrieve GL UPDATE & STATUS FULL - WINSA814 Report.

- Select Open.
- Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the TRANSIT field in OnDemand.
- Select Search.
- Select the latest process date report under POSTING DATE (mm/dd/yy).
- Select View All Selected.
- Select the Find a specified text string icon in the toolbar at the top of the screen.
- Enter the GL number (991-886-3) in the String field of OnDemand.

  Note: The dashes (-) in the GL number must be included as shown in the example provided above

- Select Find.

  Important: The row will be highlighted in yellow.

- Determine the entries processed under the highlighted yellow line.

  Important: The entries for:

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	- M9 entries end with numerical numbers not with alphabets such as (M93129469111) belongs to Toronto region. - M9 entries ending with VAN, ALB, or MAN belongs to Vancouver region such as (M9960286998VAN, M950157653ALB, and M940122951MAN). - M9 entries ending with ATL or QPC belongs to Montreal region such as (M9960286998ATL, M950157653QPC).
7	• Select My Computer. • Select Network Attached Storage (NAS) drive. • Double-click GL folder. • Double-click Second Day Processing folder. • Double-click Second Day_CG_Reconciliation Sheets folder. • Double-click the Special Transits folder. • Double-click the folder for the year in which you are processing (such as 2013). • Double-click the 6656 folder. • Double-click the folder for the month in which you are processing (such as Aug 2013). • Double-click the Excel worksheet with current day minus three business date (such as 2013-08-12 TR 06656 Visa). ***Example:*** If today is 08/15/2013, GL officer would select the file with 08/12/2013 date • Rename the reconciliation Excel worksheet (such as 2013-08-13 TR 06656 Visa.xls) in the File name: field. • Select Save. ***Important:*** Always select Save As… to rename the file. ***Note:*** Keep the Excel worksheet open.
8	• Copy the amount under the column BALANCES in the GLUSP Report and paste it in the Current Day field in TR 06656 Visa Excel worksheet. • Match the debit entries of the TR 06656 Visa Excel worksheet with the debit entries in the GLUPS report. • Match the credit entries of the TR 06656 Visa Excel worksheet with the credit entries in the GLUPS report. • Delete the entries which matched in the TR 06656 Visa Excel worksheet. • Select the entire row for the entry or entries which matched. • Right-click and select Delete to delete the entry or entries from the TR 06656 Visa Excel worksheet. • Determine the unmatched entry or entries in the GLUPS Report.
9	• Access OnDemand using your Q ID • Select the drop down list in the Server field. • Select OCC-CM-OnDemand for the Central (Toronto) region. ***Important:*** – For Eastern (Montreal) region, the server is QCC-CM-OnDemand. – For Western (Vancouver) region, the server is BCCC-CM-OnDemand. • Enter the user ID in User ID field.

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	• Enter the password in Password field. ***Note:*** – GL Officer must enter his or her user ID and password in the designated fields. – ID and password are not case sensitive. • Select OK. • Select Find. • Enter "*PSEYPSRP-TOR-SEY0*" in the String field to retrieve EPS REPORTS – MULTI - TORGE Report. ***Important:*** Access the report of the: - for the Eastern region (Montreal (QCC)), use: ▪ String -"*PSEYPSRP-MTL-SEY0*" to retrieve EPS REPORTS – MULTI - MTLGE Report. ▪ Report ID & Title: MTLGE716 – VISA DISCREPANCY REPORT - for the Western region (Vancouver (BCCC)), use: ▪ String -"*PSEYPSRP-VAN-SEY0*" to retrieve EPS REPORTS – MULTI - VANGE Report. ▪ Report ID & Title: VANGE716 – VISA DISCREPANCY REPORT • Select Open. • Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the TRANSIT field in OnDemand. • Select TORSEY0 – VISA DISCREPANCY REPORT from the Report ID & Title drop-down field. • Select Search. • Select the latest process date report under POSTING DATE (mm/dd/yy). • Select View Full Report. • Match the unmatched entries determined in GLUPS report with the entries in PSEY Report under the column DISCREPANCY AMOUNT. • Determine the remaining unmatched entries in the PSEY Report.
10	• Select the TR 06656 Visa Excel worksheet. • Copy the date from the top left corner of the PSEY Report and paste it in the Date of Report: field in TR 06656 Visa Excel worksheet. • Enter the name of the GL Officer in the balanced by: field. • Copy the date from the top left corner of the PSEY Report and paste it under the column Process date in the TR 06656 Visa Excel worksheet. • Enter "Credit and or debit posted in PSEY not in GLUPS (Toronto)" in the Description column in TR 06656 Visa Excel worksheet. • Enter the unmatched amount under the column TOTAL in the TR 06656 Visa Excel worksheet.
11	• Select the PSEY Report in OnDemand.

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	• Use the down arrow key on the keyboard to scroll down in the report till you reach the bottom of the report (that is till you reach TOTAL COC).
12	• Select the TR 06656 Visa Excel worksheet. • Copy the date from the top left corner of the PSEY Report and paste it under the column Process date in the TR 06656 Visa Excel worksheet. • Enter "COC total for (Toronto)" in the Description column in TR 06656 Visa Excel worksheet. • Enter the total amount in the column TOTAL in the TR 06656 Visa Excel worksheet.

13	• Return to TLM.
	• Select the Select Row checkbox appearing in the left corner of the first line item of the GL and transit number under review in the grid view of Items by Status in TLM.
	• Right-click the line item under review and select Item Create Split.
	• Determine the amount is a debit or a credit in the TR 06656 Visa Excel worksheet.
	
	Important: Credit amount will be without bracket (such as $105) and debit amount will be in bracket [such as ($105)].
	
	• Select Credit under the column Db/Cr of the Item Create Split tab for the corresponding debit amount in the TR 06656 Visa Excel worksheet or select debit under the column Db/Cr of the Item Create Split tab for the corresponding credit amount in the TR 06656 Visa Excel worksheet.
	• Enter the corresponding amount from the TR 06656 Visa Excel worksheet in the first row of the Amount column.
	• Enter the comments as applicable in the Source System Reference field.
	• Enter all the entries from the TR 06656 Visa Excel worksheet in separate rows in the Item Create Split tab.
	• Scroll down to review the Difference field at the bottom of the Item Create Split tab.
	• Determine if it lists as a Debit or a Credit.
	• Select the drop down list under the column Dr/Cr in the next row.
	• Select the same transaction type (that is, Debit or Credit) from the drop down list.
	• Enter the amount located in the Difference field under the column Amount.
	• Scroll down again to review the Difference field at the bottom of the Item Create Split tab.
	• **Is the difference amount in the Difference field equal to 0?**
	  - If *Yes*:
	    ▪ select Save
	    ▪ select OK
	    ▪ proceed to the next step
	  - If *No*:
	    ▪ correct your line item(s) accordingly and then select Save
	    ▪ select OK
	    ▪ proceed to the next step

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14	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. **Important:** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
15	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. • **Are there line items where the exception type is blank?** - If **Yes**, proceed to the next step - If **No**, proceed to step 17
16	• Select the Select Row checkbox appearing in the left corner of the first line item with the blank exception type. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select Visa CashOps. • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes **Refer to** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date. • Select Create. • Select OK. • Select the refresh button to reload the line items. • Return to step 15
17	**Is there any unlocated outage within +/- $50 range to be reversed?** • If **Yes**, proceed to the next step • If **No**: - continue the investigation until all line items causing the outage are identified - return to step 14
18	• Locate the line item that contains unlocated outage of $50 and below in the grid view of Items by Status in TLM.

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	• Select the Select Row checkbox appearing in the left corner of the line item. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Credit or Debit based on the sign of the unlocated outage. • Enter the Unlocated outage amount under the column Amount in the first row. • Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK

19	• Determine if the GL and transit number under review is eligible for write-off.
	
	    Refer to the Appendix H: Transits not Eligible for Write-offs.
	• **Is the GL and transit number under review eligible to be written-off?**
	  - If **Yes**, proceed to the next step
	  - If **No**, proceed to step 22

20	• Access PeopleSoft • Select General Ledger under the Menu. • Select Journals under the Main Menu. • Select Create/Update Journal Entries under Journal Entry. • Select Add. • Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section. • Select the Lines section. • Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section. • Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section. • Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. • Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas). *Important:* If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry. *Example:* When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a debit

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	entry. • Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft. • Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry. • Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section. • Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section. • Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. *Note:* Amount and Disptn/Descr field will be auto populated. • Select the drop down list in the *Process: field. • Select Edit Journal. • Select Process. • Select OK to close the pop-up window. • Select the drop down list in the *Process: field. • Select Submit Journal. • Select Process to generate a journal ID. • Select OK to close the pop-up window. • Copy the Journal ID.
21	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the 'unlocated outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select Visa CashOps. • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Enter "*Journal ID*" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Select Create. • Select OK. • Select the Items by Status tab

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	• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Unlocated outage*" in the Source System Reference field • Select Save and then close the window • Proceed to step 24
22	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select Visa CashOps. • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Select Create. • Select OK.
23	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • *Send 1st Request email type to THIRD PARTY recipient using email address adtsdcds@rbc.com*
24	Proceed to Aging Items Review for the GL number and the transit number under review.

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Investigation for Visa – Other CAD (GL 9918863)

Purpose	The Vendor follows the steps in the table below to investigate exceptions, assign reason and resolution codes, and send email message to the Service Partner for the resolution.
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select HOLDOVER-CC-ITEMS category from the RBC REC Lifecycles Summary tree view and double-click to open.

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	Note: The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the 2ND DAY ITEMS exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.

5	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review:
	  - Select the Items tab in the Items dashboard
	  - Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear
	  - Right-click the header of Items by Status grid
	  - Select Show Filters
	  - Click in the filter field of the Transit column; a drop down list will appear
	  - Enter the transit number under review
	  - Click in the filter field of the Account column; a drop down list will appear
	  - Select a GL number under review
	  - Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear.
	  - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date.
	  - Select all items from all Process Dates except for the Process Date under review and newer.
	  - Select all back-dated items from the Process Date under review.
	
	Important: Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM.
	
	  - Review the total amount of the selected line items at the bottom of the screen.
	
	• Does the total amount of the selected items fall within the -$50 / +$50 range?
	
	  - If ***Yes***, investigation is not required for the GL and transit number under review. Return to step 4 and select the next GL and transit combination on the Item Exceptions by Inbox dashboard.
	  - If ***No***, proceed to the next step

6	• Determine the current outstanding balance for the GL number and transit number under review.

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		Important: Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view. • Review outstanding line items to identify Service Platform, People Soft, and IRIS entries. • Use the source system identification table below to determine the source system of the outstanding line items for the GL and transit number under review. **Table:** {{TABLE1}}

7		• Review outstanding Service Platform, People Soft, and IRIS line items to determine if they correspond to the outstanding balance.
		• **Are there Service Platform, People Soft, and/or IRIS entries related to the outstanding balance?**
		  − If **Yes**, proceed to the next step
		  − If **No**, proceed to step 13

8		Use the table below to determine how to proceed based on the source system identified for the line item under review. {{TABLE2}}

TABLE1:

Source System Name	Source System ID in TLM	Trace Number Filter	Find Transaction details in…
IRIS	MANUAL	9*	IRIS
Service Platform	MANUAL	000956*	Siebel
PeopleSoft	[blank] PS_REV_TRA		TLM

TABLE2:

If the source system is …	Then …
Service Platform	• access [Siebel](link) • select Service Platform on the top of the screen • select General Ledger Trace Number under the General Ledger heading under Inquiries • copy the GL number of the line item under review from the Account column in the TLM and paste it in the GL Account Number field in Siebel • select Next Prompt • copy the trace number excluding zero from the line item under review from Trace Number column in the TLM and paste it in the GL Trace Number field • select Next Prompt • copy the amount from the line item under review from Amount column in the TLM (without the $ sign and commas) and paste it in the Transaction Amount ($) field • select Next Prompt

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		• enter the most recent process date from TLM in MM/DD/YYYY format or use the calendar icon to select the date in the Session Date field • select Go • copy the session number under the Session Number column • proceed to the next step
	IRIS (trace number starts with 9 and is 11 digits)	• access IRIS to review the image of the entry to obtain the description and the source transit • copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • copy the account number from the Account column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • enter the corresponding process date of the line item under review from the grid view of Item Exceptions by Inbox, in the Processed On/From: field under the Mandatory Criteria of IRIS • copy the trace number excluding the first digit (such as 9)from the line item under review from Trace Number column in the TLM and paste it in the Item Sequence #: field in IRIS • select Search • select the arrow button at the bottom of the image to retrieve the back page of the image • determine the source transit stamp in the image • proceed to step 10
	ATF (trace number starts with 991 or 992 and is 11 digits)	• Access ATF • Select Incoming to display Search Incoming screen • Enter process date of exception in Process Date Begin Value field in format YYYY-MM-DD • Enter trace number of exception *without* first digit in Sequence Number Begin Value field • Select Search All to display Item Details View screen • Select Show Image to display Item Details with Image screen • Proceed to step 10
	PeopleSoft	proceed to step 12

9	• Select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "Session Number [paste the session number]. Entry was processed in error to the GL# [insert GL number]*."* in the Source System Reference field. • Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Right-click the line item under review and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button.

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	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it. • Proceed to step 13

10	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM.
	• Right-click and select Edit Item Exception.
	• Enter "Entry processed in error to the GL# [insert GL number].*"* in the Source System Reference field.
	• Select Save.
	• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
	• Right-click the line item under review and select Exception Detail.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• **Is source transit on the IRIS image different from the transit number of the entry?**
	  - If ***Yes***, proceed to the next step
	  - If ***No***:
	    send 1st Request email type to source transit
	
	    Refer to Appendix A: Procedure for Sending an email.
	  ▪ select X on the top right corner of the Exception Detail tab to close it
	  ▪ proceed to step 13

11	• Add the following text to the text in the Source System Reference field: "Source transit listed on the IRIS image is: [insert source transit # from the IRIS image]." • Send 1st request email type to source transit ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it. • Proceed to step 13
12	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "Entry was processed in error to the GL# [insert GL number].*"* in the Source System Reference field. • Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Right-click the line item under review and select Exception Detail. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions

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	• Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Determine email contact ***Refer to*** [Appendix G: People Soft Entry Contact List](#). • *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact* • Proceed to the next step
13	**Have all line items causing the outstanding balance been identified?** • If *Yes*, proceed to step 34 • If *No*, proceed to the next step

14	• Access OnDemand.
	 • Select the drop down list in the Server field.
	 • Select OCC-CM-OnDemand for the Central (Toronto) region.
	
	 Important:
	 – For Eastern (Montreal) region, the server is QCC-CM-OnDemand.
	 – For Western (Vancouver) region, the server is BCCC-CM-OnDemand.
	
	 • Enter the user ID in User ID field.
	 • Enter the password in Password field.
	
	 Note:
	 – GL Officer must enter his or her user ID and password in the designated fields.
	 – ID and password are not case sensitive.
	
	 • Select OK.
	 • Select Find.
	 • Enter "VISTRA03602Y-TOR-4600" in the String field to retrieve RPT # 3021 – TOR46036 Report.
	
	 Important: Use the following reports for other 2 regions:
	
	   - for the Eastern region (Montreal (QCC)), retrieve the following report:
	
	     ▪ use the string "*VISTRA03602Y-MTL-4600*" to retrieve RPT # 3021 – MTL46036 Report.
	
	   - for the Western region (Vancouver (BCCC)), retrieve the following report:
	
	     ▪ use the string "*VISTRA03602Y-VAN-4600*" to retrieve RPT # 3021 – VAN46036 Report.
	
	 • Select Open.
	 • Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the TRANSIT field in OnDemand.
	 • Select Search.
	 • Select the latest process date report under POSTING DATE (mm/dd/yy).

	• Select View All Selected. • Select the Find a specified text string icon in the toolbar at the top of the screen. • Enter the (AFTER CUT-OFF (UNPOSTED) in the String field of OnDemand. • Select Find. • Determine the AFTER CUT-OFF amount under column N E T AMOUNT in the bottom right corner of the RPT # 3021 – TOR46036 Report.	
15	Use table below to determine how to proceed based on the transit under review.	

If the Transit under review is ...	Then proceed to…
537, 1358, 2763, 2769, 2866, 5409, 5634, 8715, 8739, 8883, 8943, 9400	The next step
Other transit	Step 17

16	Use table below to determine how to identify after cut-off transactions in scope based on the region under review.

If the region is …	Then …
Central	• obtain the total amount of the after cut-off transactions listed on the VISTRA report, which were processed between 18:00 and 21:15 EST • proceed to the next step
Eastern Or Western	• obtain the total amount of ALL after cut-off transactions listed on the VISTRA report • proceed to the next step

17	**If the after cut-off amount of VISTRA report is equal to the remaining outstanding balance amount in TLM?** • If **Yes**, proceed to step 19 • If **No**, proceed to the next step
18	• Access Siebel • Select Service Platform on the top of the screen. • Select Search by Transaction Type under Client Session Search heading under Inquiries. • Enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field. • Select Next Prompt. • Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the Transit Number field in Siebel. • Select Next Prompt. • Enter CAD in the Currency Code field in Siebel.

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	• Select Next Prompt.
	• Select Credit Card Advance under the Transaction Type field.
	• Select Credit Card Advance Reversal under the Transaction Type field.
	• Select Credit Card Payment under the Transaction Type field.
	• Select Credit Card Payment Reversal under the Transaction Type field.
	• Select Go.
	• Select All Pages arrow to display all the line items in Siebel.
	• Compare all the line items available in Siebel with the VISTRA report.
	
	Note: The additional line items in Vistra report are termed as Application launch pad line items.
	• **Is there any Application launch pad (ALP) line item in Vistra report?**
	− If **Yes**:
	  ▪ check the card holder number and amount of the Application Launch pad entry
	  ▪ proceed to next step
	− If **No**, proceed to step 23

19	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the line item with the greater amount. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit). • Enter the total AFTER CUT-OFF amount determined in Vistra report, under the column Amount of Item Create Split tab in TLM. • **Were there any Application Lunch Pad entries identified?** − If **Yes**, proceed to the next step − If **No**, proceed to step 21
20	Follow these steps to add an entry for each ALP posting identified in step 14: • Select the drop down list under the column Dr/Cr in the new row. • Select Debit or Credit based on the sign of the ALP item from the VISTRA report (e.g. if the item is a Debit, select Debit, otherwise select credit). • Enter the Application launch pad line item amount determined in Vistra report, under the column Amount of Item Create Split tab in TLM.
21	• Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK

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22	**Have all line items causing the outstanding balance been identified?** • If **Yes**, proceed to the next step - If **No**: determine the Repair session under the column Session type - return to <u>Investigation for Repair Session</u>.
23	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. **Important:** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK.
24	• Review the exception type of the outstanding line items, for the transit number under review, under the column Exception Type. • **Are there line items where the exception type is blank?** – If **Yes**, proceed to the next step – If **No**, proceed to step 26
25	Use the table below to determine how to proceed based on the description in the Source System Reference field of the items with blank exception type. <table><tr><td>**If the Source System Reference field indicates ...**</td><td>**Then ...**</td></tr><tr><td>After cut-off outage</td><td>• select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to After cut-off amount • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select 2ND DAY ITEMS • select the Select button • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes **Refer to** <u>Transaction Lifecycle Management (TLM) System Guide</u> for detailed instructions • select the Select button</td></tr></table>

			• use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date • select Create • select OK • select the refresh button to reload the line items • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*After cut-off*" in the Source System Reference field • Select Save and then close the window • return to the previous step

		Application Launch pad outage	• select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to Application Launch Pad amount
			• right-click and select Exception Creation
			• select the button next to the Inbox field
			• select DOMESTIC BANKING
			• select the Select button
			• select the button next to the Exception Category field
			• select Cash
			• select the Select button
			• select the button next to the Exception Type field
			• select 2ND DAY ITEMS
			• select the Select button
			• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
			
			    Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
			• select the Select button
			• select Create
			• select OK
			• Select the Items by Status tab
			• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window
			• Enter "*Item posted through ALP. Card Holder Number [insert card holder number (such as 451015******6265)], Process Date [insert process date in YYYY/MM/DD format], In order to view the full visa number go to OnDemand under "VISTRA"-[insert the appropriate report name according to regions]*" under the column Source System Reference in the current row.
			• Select Save and then close the window
			• Select the Exception tab
			• send 1st Request email type
			
			    Refer to Appendix A: Procedure for Sending an email.
			• use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date
			• select Save
			• select X on the top of the Exception Detail tab to close it
			• return to the previou step

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26	**Is there any unlocated outage within +/- $50 range to be reversed?** • If **Yes**, proceed to the next step • If **No**: − continue the investigation until all line items causing the outage are identified − return to step 23
27	• Locate the line item that contains unidentified outstanding outage below $50 in the grid view of Items by Status in TLM. • Select the Select Row checkbox appearing in the left corner of the line item. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Credit or Debit based on the sign of the unlocated outage. • Enter the Unlocated outage amount under the column Amount in the first row. • Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Determine if it lists as a Debit or a Credit. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>• Select Save</td></tr><tr><td>**No**</td><td>• Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK
28	• Determine if the GL and transit number under review is eligible for write-off. **Refer to** the [Appendix H: Transits not Eligible for Write-offs](#). • **Is the GL and transit number under review eligible to be written-off?** - If **Yes**, proceed to the next step - If **No**, proceed to step 31
29	• Access [PeopleSoft](#) • Select General Ledger under the Menu. • Select Journals under the Main Menu. • Select Create/Update Journal Entries under Journal Entry. • Select Add. • Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section. • Select the Lines section. • Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section. • Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section. • Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. • Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas).

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	Important: If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry. ***Example:*** When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a debit entry. • Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft. • Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry. • Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section. • Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section. • Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency. ***Note:*** Amount and Disptn/Descr field will be auto populated. • Select the drop down list in the *Process: field. • Select Edit Journal. • Select Process. • Select OK to close the pop-up window. • Select the drop down list in the *Process: field. • Select Submit Journal. • Select Process to generate a journal ID. • Select OK to close the pop-up window. • Copy the Journal ID.
30	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMSSelect the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • Select the Select button. • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date.

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	• Enter "Journal ID" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. • Select Create. • Select OK. • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*Unlocated outage*" in the Source System Reference field • Select Save and then close the window • Proceed to step 33
31	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Select Create. • Select OK.
32	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it.
33	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0.

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		Important: When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK. • Return to step 24
34		Proceed to Aging Items Review for the GL number and the transit number under review.

Investigation for Visa – Other USD (GL 9004748)

Purpose	The Vendor follows the steps in the table below to investigate exceptions, assign reason and resolution codes, and send email message to the Service Partner for the resolution.

Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select HOLDOVER-CC-ITEMS category from the RBC REC Lifecycles Summary tree view and double-click to open. ***Note***: The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the 2ND DAY ITEMS exception type. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.

5	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review:
	  - Select the Items tab in the Items dashboard
	  - Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear
	  - Right-click the header of Items by Status grid
	  - Select Show Filters
	  - Click in the filter field of the Transit column; a drop down list will appear
	  - Enter the transit number under review
	  - Click in the filter field of the Account column; a drop down list will appear
	  - Select a GL number under review
	  - Click on the Process Dt column header of the Items by Status grid view. The sorting options box will appear.
	  - Select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date.

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	- Select all items from all Process Dates except for the Process Date under review and newer. - Review the total amount of the selected line items at the bottom of the screen. • **Does the total amount of the selected items fall within the -$50 / +$50 range?** - If *Yes*, investigation is not required for the GL and transit number under review. Return to step 4 and select the next GL and transit combination on the Item Exceptions by Inbox dashboard. - If *No*, proceed to step 6.
6	Determine the current outstanding balance for the GL number and transit number under review. *Important:* Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view.

7	• Access OnDemand.
	• Select the drop down list in the Server field.
	• Select OCC-CM-OnDemand for the Central (Toronto) region.
	
	   Important:
	   – For Eastern (Montreal) region, the server is QCC-CM-OnDemand.
	   – For Western (Vancouver) region, the server is BCCC-CM-OnDemand.
	• Enter the user ID in User ID field.
	• Enter the password in Password field.
	
	   Note:
	   – GL Officer must enter his or her user ID and password in the designated fields.
	   – ID and password are not case sensitive.
	
	• Select OK.
	• Select Find.
	• Enter "VISTRA03602Y-TOR-4600" in the String field to retrieve RPT # 3021 – TOR46036 Report.
	
	   Important: Use the following reports for other 2 regions:
	    - for the Eastern region (Montreal (QCC)), retrieve the following report:
	
	      ▪ use the string "*VISTRA03602Y-MTL-4600*" to retrieve RPT # 3021 – MTL46036 Report.
	
	    - for the Western region (Vancouver (BCCC)), retrieve the following report:
	
	      ▪ use the string "*VISTRA03602Y-VAN-4600*" to retrieve RPT # 3021 – VAN46036 Report.
	
	• Select Open.
	• Copy the transit number from the Transit column in the line item under review in the grid view of Items by Status in TLM and paste it in the TRANSIT field in OnDemand.
	• Select Search.

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	• Select the latest process date report under POSTING DATE (mm/dd/yy). *Note*: There will be 2 reports for the latest posting date. The required report is the USD report ("BRANCH CREDIT CARD TRANSACTION REPORT (USD)" will appear at the top of the report) • Select View All Selected. • Select the Find a specified text string icon in the toolbar at the top of the screen. • Enter the AFTER CUT-OFF" in the String field of OnDemand. • Select Find.
8	Obtain the total amount of the after cut-off transactions listed on the VISTRA report, which were processed between 18:00 and 21:20 (but not including 21:20) *Note*: The time is local to the region of the report
9	**If the after cut-off amount of VISTRA report is equal to the remaining outstanding balance amount in TLM?** • If *Yes*, proceed to step 10. • If *No*, proceed to step 12.
10	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the line item that has source system "RFX" and Day "1" • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Debit or Credit based on the sign of the outstanding balance (e.g. if the item is a Debit, select Debit, otherwise select credit). • Enter the total AFTER CUT-OFF amount determined in Vistra report, under the column Amount of Item Create Split tab in TLM.
11	• Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Select the drop down list under the column Dr/Cr in the next row. • Select the same transaction type (that is, Debit or Credit) from the drop down list. • Enter the amount located in the Difference field under the column Amount. • Scroll down again to review the Difference field at the bottom of the Item Create Split tab. • **Is the difference amount in the Difference field equal to 0?** <table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table> • Select OK
12	**Have all line items causing the outstanding balance been identified?** • If *Yes*, proceed to step 13. • If *No*, proceed to step 14
13	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0.

![RBC Logo]

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		Important: When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK. • Proceed to step 23.

	14	Use the table below to determine how to proceed based on the description in the Source System Reference field of the items with blank exception type.

If the Source System Reference field indicates ...	Then ...
After cut-off outage	• select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to After cut-off amount • right-click and select Exception Creation • select the button next to the Inbox field • select DOMESTIC BANKING • select the Select button • select the button next to the Exception Category field • select Cash • select the Select button • select the button next to the Exception Type field • select 2ND DAY ITEMS • select the Select button • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** [Transaction Lifecycle Management (TLM) System Guide](#) for detailed instructions • select the Select button • use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date • select Create • select OK • select the refresh button to reload the line items • Select the Items by Status tab • Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window • Enter "*After cut-off*" in the Source System Reference field • Select Save and then close the window • Proceed to step 15.

	15	**Is there any unlocated outage within +/- $50 range to be reversed?**
		• If ***Yes***, proceed to step 16.
		• If ***No***:
		  – continue the investigation until all line items causing the outage are identified
		  – return to step 12.

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16	• Locate the line item that contains unidentified outstanding outage below $50 in the grid view of Items by Status in TLM.
	• Select the Select Row checkbox appearing in the left corner of the line item.
	• Right-click and select Item Create Split.
	• Select the drop down list under the column Dr/Cr in the first row.
	• Select Credit or Debit based on the sign of the unlocated outage.
	• Enter the Unlocated outage amount under the column Amount in the first row.
	• Scroll down to review the Difference field at the bottom of the Item Create Split tab.
	• Determine if it lists as a Debit or a Credit.
	• Select the drop down list under the column Dr/Cr in the next row.
	• Select the same transaction type (that is, Debit or Credit) from the drop down list.
	• Enter the amount located in the Difference field under the column Amount.
	• Scroll down again to review the Difference field at the bottom of the Item Create Split tab.
	• **Is the difference amount in the Difference field equal to 0?**
	<table><tr><td>**If …**</td><td>**Then …**</td></tr><tr><td>**Yes**</td><td>Select Save</td></tr><tr><td>**No**</td><td>Correct your line item(s) accordingly and then select Save</td></tr></table>
	• Select OK
17	• Determine if the GL and transit number under review is eligible for write-off.
	Refer to the Appendix H: Transits not Eligible for Write-offs.
	• **Is the GL and transit number under review eligible to be written-off?**
	- If **Yes**, proceed to step 18.
	- If **No**, proceed to step 20.
18	• Access PeopleSoft
	• Select General Ledger under the Menu.
	• Select Journals under the Main Menu.
	• Select Create/Update Journal Entries under Journal Entry.
	• Select Add.
	• Enter the required description (such as Write-off entry is under $50 - GL Officer's Name) in the Long Description: field under the Header section.
	• Select the Lines section.
	• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section.
	• Copy the GL number from the Account column in the grid view of Items by Status in TLM and paste it in the Account field of the Lines section.
	• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.
	• Copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas).
	Important: If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry.
	Example: When the amount is credit in the line item under review (such as $50) then enter 50 with a minus sign (such -50) in the Amount field in PeopleSoft to process a

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		debit entry.
		• Enter "[insert current date, reason for the entry, GL Officer's name, and to/from GL number/transit number]." in the Disptn/Descr field of the Lines section in PeopleSoft.
		• Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry.
		• Copy the transit number from the Transit column in the grid view of Items by Status in TLM and paste it in the Oper Unit field of the Lines section.
		• Enter the GL number (such as 9909532 for CAD or 9005000 for USD) in the Account field of the Lines section.
		• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.
		Note: Amount and Disptn/Descr field will be auto populated.
		• Select the drop down list in the *Process: field.
		• Select Edit Journal.
		• Select Process.
		• Select OK to close the pop-up window.
		• Select the drop down list in the *Process: field.
		• Select Submit Journal.
		• Select Process to generate a journal ID.
		• Select OK to close the pop-up window.
		• Copy the Journal ID.
	19	• Return to TLM.
		• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view.
		• Right-click and select Exception Creation.
		• Select the button next to the Inbox field.
		• Select DOMESTIC BANKING.
		• Select the Select button.
		• Select the button next to the Exception Category field.
		• Select Cash.
		• Select the Select button.
		• Select the button next to the Exception Type field.
		• Select 2ND DAY ITEMSSelect the Select button.
		• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
		Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
		• Select the Select button.
		• Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date.
		• Enter "Journal ID" in the Note field.
		• Paste the journal ID next to the text 'Journal ID' in the Note field.
		• Select Create.
		• Select OK.
		• Select the Items by Status tab
		• Right-click on the exception under review and then select Edit Item Exception to display the Edit Item Exception window

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	• Enter "*Unlocated outage*" in the Source System Reference field • Select Save and then close the window • Proceed to step 34.
20	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select 2ND DAY ITEMS • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Select Create. • Select OK.
21	• Select the Select Row checkbox appearing in the left corner of the 'Unlocated Outage' line item in the Items by Status grid view. • Right-click and select Exception Detail. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it.
22	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. ***Important:*** When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK. • Proceed to step 23.
23	Proceed to Aging Items Review for the GL number and the transit number under review.

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Investigation for SP – Electronic Bill Payment GL

Purpose	The Vendor follows the steps in the table below to investigate individual entries causing out of balance in the GL account number 990-396-4.
Step	**Action**
1	Select DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and double-click to open.
2	Select the SP-EL-BILL-PMT account set for a specific region under the Accounts tab and double-click to open. Note: The set containing all data for a specific region is denoted by the letter: E (Eastern), C (Central), or W (Western) located at the end of the set name. The eGL data is downloaded region by region in the following order: Eastern, Central followed by Western.
3	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
4	• Expand the DOMESTIC BANKING folder. • Double-click the exception type 2ND DAY ITEMS. The Item Exceptions by Inbox grid view will appear. • Determine the outstanding GL number and the transit number combination.
5	• Select the Items tab in the Items dashboard. • Double-click the Outstanding bar in the bar chart; the Items by Status grid view will appear. • Right-click the header of Items by Status grid. • Select Show Filters. • Select the filter field of the Transit column; a drop down list will appear. • Enter the transit number under review. • Select the filter field of the Account column; a drop down list will appear. • Select the GL number under review.

6	• Follow below steps to determine the previous day adjusted balance for the GL number and transit number under review:
	
	  - select the Process Dt column header of the Items by Status grid view. The sorting options box will appear.
	  - select sorting order 1 within the bottom portion of the sorting options box. Outstanding item will be sorted by Process Date.
	  - select all items from all Process Dates except for the Process Date under review and newer.
	  - select all back-dated items from the Process Date under review.
	
	Important: Back-dated transactions can be identified by the transaction code which appears under the TC column in TLM. Back-dated transactions codes are: 23, 40, 41, 47, 42, 54, 55, 46, 48, 59, 57, 63, 64, 65, 68, 70, 71, 77. Full transaction code descriptions can be viewed under the Tran Code Description column in TLM.

	- review the total amount of the selected line items at the bottom of the screen.
7	• Determine the current outstanding balance for the GL number and transit number under review. Important: Outstanding balance, found in the blue line after all line items for the GL number and transit number under review, is listed under the column Amount in the grid view. • Review outstanding line items to identify Service Platform, People Soft, and IRIS entries. • Use the source system identification table below to determine the source system of the outstanding line items for the GL and transit number under review. <table><tr><th>Source System Name</th><th>Source System ID in TLM</th><th>Trace Number Filter</th><th>Find Transaction details in…</th></tr><tr><td>IRIS</td><td>MANUAL</td><td>9*</td><td>IRIS</td></tr><tr><td>Service Platform</td><td>MANUAL</td><td>000956*</td><td>Siebel</td></tr><tr><td>PeopleSoft</td><td>PEOPLESOFT</td><td></td><td>TLM</td></tr></table>
8	• Review outstanding Service Platform, People Soft, and IRIS line items to determine if they correspond to the outstanding balance. • Are there Service Platform, People Soft, and/or IRIS entries related to the outstanding balance? – If Yes, proceed to step 9. – If No, proceed to step 14.
9	Use the table below to determine how to proceed based on the source system identified for the line item under review. <table><tr><th>If the source system is …</th><th>Then …</th></tr><tr><td>Service Platform</td><td>• access Siebel • select Service Platform on the top of the screen • select General Ledger Trace Number under the General Ledger heading under Inquiries • copy the GL number of the line item under review from the Account column in the TLM and paste it in the GL Account Number field in Siebel • select Next Prompt • copy the trace number excluding zero from the line item under review from Trace Number column in the TLM and paste it in the GL Trace Number field • select Next Prompt</td></tr></table>

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		• copy the amount from the line item under review from Amount column in the TLM (without the $ sign and commas) and paste it in the Transaction Amount ($) field • select Next Prompt • enter the most recent process date from TLM in MM/DD/YYYY format or use the calendar icon to select the date in the Session Date field • select Go • copy the session number under the Session Number column • proceed to step 10.
	IRIS (trace number starts with 9 and is 11 digits)	• access IRIS to review the image of the entry to obtain the description and the source transit • copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • copy the account number from the Account column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit/Account: field under the Mandatory Criteria of IRIS • enter the corresponding process date of the line item under review from the grid view of Item Exceptions by Inbox, in the Processed On/From: field under the Mandatory Criteria of IRIS • copy the trace number excluding the first digit (such as 9)from the line item under review from Trace Number column in the TLM and paste it in the Item Sequence #: field in IRIS • select Search • select the arrow button at the bottom of the image to retrieve the back page of the image • determine the source transit stamp in the image • proceed to step 11
	ATF (trace number starts with 991 or 992 and is 11 digits)	• Access ATF • Select Incoming to display Search Incoming screen • Enter process date of exception in Process Date Begin Value field in format YYYY-MM-DD • Enter trace number of exception *without* first digit in Sequence Number Begin Value field • Select Search All to display Item Details View screen • Select Show Image to display Item Details with Image screen • Proceed to step 11
	PeopleSoft	proceed to step 13
10		• Select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception. • Enter "Session Number [paste the session number]. Entry was processed in error to the GL# [insert GL number]." in the Source System Reference field. • Select Save. • Select X on the top right corner of the Edit Item Exception pop-up window to close it. • Right-click the line item under review and select Exception Detail.

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	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	  Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Select Save.
	• Send 1st Request email type
	
	  Refer to Appendix A: Procedure for Sending an Email.
	• Select X on the top right corner of the Exception Detail tab to close it.
	• Proceed to Aging Items Review.

11	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM.
	• Right-click and select Edit Item Exception.
	• Enter "Entry processed in error to the GL# [insert GL number]." in the Source System Reference field.
	• Select Save.
	• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
	• Right-click the line item under review and select Exception Detail.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	  Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Is source transit on the IRIS image different from the transit number of the entry?
	
	  - If Yes, proceed to step 12.
	  - If No:
	    ▪ send 1st Request email type to source transit
	
	     Refer to Appendix A: Procedure for Sending an Email.
	    ▪ select X on the top right corner of the Exception Detail tab to close it
	    ▪ proceed to step 14.

12	• Add the following text to the text in the Source System Reference field: "Source transit listed on the IRIS image is: [insert source transit # from the IRIS image]." • Send 1st request email type to source transit ***Refer to*** Appendix A: Procedure for Sending an Email. • Select X on the top right corner of the Exception Detail tab to close it. • Proceed to Aging Items Review.
13	• Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Items by Status in TLM. • Right-click and select Edit Item Exception.

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	• Enter "Entry was processed in error to the GL# [insert GL number]." in the Source System Reference field.
	• Select Save.
	• Select X on the top right corner of the Edit Item Exception pop-up window to close it.
	• Right-click the line item under review and select Exception Detail.
	• Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes
	
	    Refer to Transaction Lifecycle Management (TLM) System Guide for detailed instructions
	• Select the Select button.
	• Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date.
	• Select Save.
	• Determine email contact
	
	    Refer to Appendix G: People Soft Entry Contact List.
	• *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact*

14	• Locate the Statement (S) line item (indicating S DR or S CR under the column DR/CR in TLM) for the most recent process date. • Identify the difference field (blue row) of line Item. • Select the Select Row checkbox appearing in the left corner of the Ledger (L CR/DR) line item in the grid view of Items by Status in TLM. • Right-click and select Item Create Split. • Select the drop down list under the column Dr/Cr in the first row. • Select Debit or Credit based on the Statement (S) DR or CR line item. • Enter the statement amount under the column Amount in the current row. • Scroll down to review the Difference field at the bottom of the Item Create Split tab. • Select Debit or Credit based on the difference amount in the bottom of the Item Create Split tab. • Enter the difference amount under the column Amount in the second row. • Select Save. • Select OK.
15	• Review the outstanding line items for the transit number and GL number under review in the grid view of Items by Status in TLM. • Right-click over Select Row checkbox in the left corner of the line items and select the Select All option to select all items under review. • De-select any other line item that contributes to the outstanding balance. • Review the total amount of the selected line items at the bottom of the screen to ensure they net to $0. Important: When all items (excluding the item or items that make up the 'current outstanding balance') are selected, they should net to $0. • Right-click over the selected group of line items and select Match. • Select OK
16	Have all line items causing the outstanding balance been identified?

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	• If Yes, proceed to **Aging Items Review**. • If No, proceed to step 17.

17	• Access OnDemand.
	 • Select the drop down list in the Server field.
	 • Select OCC-CM-OnDemand for the Central (Toronto) region.
	
	 Important:
	   – For Eastern (Montreal) region, the server is QCC-CM-OnDemand.
	   – For Western (Vancouver) region, the server is BCCC-CM-OnDemand.
	
	 • Enter the user ID in User ID field.
	 • Enter the password in Password field.
	
	   Note:
	   – GL Officer must enter his or her user ID and password in the designated fields.
	   – ID and password are not case sensitive.
	
	 • Select OK.
	 • Select Find.
	 • Enter "SP-PBP-ACTIVITY-B700" in the String field to retrieve SERVICE PALTFORM PAPERLESS BIL – TORB7704 Report.
	
	 Important: Use the following reports for other 2 regions:
	
	   - for the Eastern region (Montreal (QCC)), retrieve the following report:
	
	     ▪ enter "SP-PBP-ACTIVITY-B700" in the String field to retrieve SERVICE PALTFORM PAPERLESS BILL PAYMENT ACTIVITY – MTLB7704 Report.
	
	   - for the Western region (Vancouver (BCCC)), retrieve the following report:
	
	     ▪ enter "SP-PBP-ACTIVITY-B700" in the String field to retrieve SERVICE PLATFORM PAPERLESS BIL – VANB7704 Report.
	
	 • Select Open.
	 • Copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in TRANSIT field on OnDemand.
	 • Select Search.
	 • Select the POSTING DATE (mm/dd/yy) by adding one day to the process date.
	
	   Note: If the Process Date is 07/23/2014, the Posting date will be 07/24/2014.
	
	 • Select View All Selected.
	 • Identify the line items which have the Tran-Type as DEL.
	 • Copy the Session numbers from the Session ID field.

18	• Access **Siebel** • Select Service Platform on the top of the screen.

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		• Select Search by Session Number under the heading Client Session Search under Inquiries.
		• Copy the session number under SESSION NUMBER column from the SP-PBP-ACTIVITY-B700 report and paste it in the Session Number field in Siebel.
		• Select Go.
		• Copy the client number from the Client field.
		• Go back to Service Platform screen.
		• Select Search by Client Number and paste the client number in the Client Number field.
		• Select Next Prompt.
		• Select the start date and end date as the statement date of OnDemand.
		• Select Go.
		• Create a new Siebel session.
		• Ensure the Transaction Amount ($) from Siebel to OnDemand are equal.
		• Check the last five digits of the Session Number, which is the actual offsetting transit number.
19		• Access PeopleSoft
		• Select General Ledger under the Menu.
		• Select Journals under the Main Menu.
		• Select Create/Update Journal Entries under Journal Entry.
		• Select Add.
		• Enter "SecDayBal – Transit Switch. Process date [insert process date in YYYY/MM/DD format] Session Number [insert session numbers]." in the Long Description: field under the Header section.
		• Select Lines section.
		• Copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Oper Unit field of the Lines section.
		• Enter the applicable GL number in the Account field of the Lines section.
		Example: 990-396-4 for CAD.
		• Enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency.
		• Copy the amount under the column Transaction Amount ($) in Siebel and paste it in the Amount field of the Lines section (without the $ sign and commas).
		Important: Credit amount must be entered as it is; however, debit amount must be entered with a minus sign.
		• Enter "SecDayBal – Transit Switch. Region [insert the region]. Process date [insert process date in YYYY/MM/DD format] Session Number [insert session numbers]" in the Disptn/Descr field of the Lines section in PeopleSoft.
		Note: In case of GL Switch, source system reference field should contain "GL Switch. Region [insert the region]. Process date [insert process date in YYYY/MM/DD format] Reason [insert the reason]."
		• Select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry.
		• Enter the transit under review in the Oper Unit field of the Lines section.

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	• Enter the GL number in the Account field of the Lines section. Example: 990-396-4 for CAD. Note: Currency, Amount and Disptn/Descr fields will be auto populated. • Select the drop down list in the *Process: field. • Select Edit Journal. • Select Process. • Select OK to close the pop-up window. • Select the drop down list in the *Process: field. • Select Submit Journal. • Select Process to generate a journal ID. • Select OK to close the pop-up window. • Copy the Journal ID.
20	• Return to TLM. • Select the Select Row checkbox appearing in the left corner of the line item that is outstanding due to transit switch. • Right-click and select Exception Creation. • Select the button next to the Inbox field. • Select DOMESTIC BANKING. • Select the Select button. • Select the button next to the Exception Category field. • Select Cash. • Select the Select button. • Select the button next to the Exception Type field. • Select current Exception Type under review. • Select the Select button. • Use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions • Select the Select button. • Select Create. • Select OK.
21	• Locate and select the Select Row checkbox of the line item for which the exception was created in TLM. • Right-click on the Items by Status screen. • Select Show Filters. • Enter the transit number in the Transit Field. • Select the Select Row checkbox of the line item under review in the grid view of Item Exceptions by Inbox in TLM. • Right-click and select Edit Item Exception. • Enter "Transit Switch. Region [insert the region]. Process date [insert process date in YYYY/MM/DD format] Session Number [insert session numbers]." in the Source System Reference field. • Paste the journal ID next to the text Journal ID in the Source System Reference field.

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		Note: In case of GL Switch, source system reference field should contain "GL Switch. Region [insert the region]. Process date [insert process date in YYYY/MM/DD format] Reason [insert the reason] Trace#[insert the trace number]." • Select Save. • Select X on the top right corner of the Edit Item to close the Exception pop-up window. • Select the Select Row checkbox appearing in the left corner of the line item under review in the grid view of Item Exceptions by Inbox in TLM. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days' from the current date. • Select Save. • Select X on the top of the Exception Detail tab to close it.
	22	Have all line items causing the outstanding balance been identified? • If Yes, proceed to Aging Items Review. • If No, proceed to step 23.

	23	• Access OnDemand.
		• Select the drop down list in the Server field.
		• Select OCC-CM-OnDemand for the Central (Toronto) region.
		
		Important:
		  – For Eastern (Montreal) region, the server is QCC-CM-OnDemand.
		  – For Western (Vancouver) region, the server is BCCC-CM-OnDemand.
		
		• Enter the user ID in User ID field.
		• Enter the password in Password field.
		
		  Note:
		  – GL Officer must enter his or her user ID and password in the designated fields.
		  – ID and password are not case sensitive.
		
		• Select OK.
		• Select Find.
		• Enter "SP-UNMATCHED-B700" in the String field to retrieve SP UNMATCHED PAPERLESS - TORB7700 Report.
		
		Important: Use the following reports for other 2 regions:
		
		  - for the Eastern region (Montreal (QCC)), retrieve the following report:
		
		    ▪ enter "SP-UNMATCHED-B700" in the String field to retrieve SP UMNATCHED PAPERLESS Report.
		
		  - for the Western region (Vancouver (BCCC)), retrieve the following report:
		
		    ▪ enter "SP-UNMATCHED-B700" in the String field to retrieve SP UNMATCHED PAPERLESS – VANB7700 Report.

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	• Select Open. • Copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in TRANSIT field on OnDemand. • Select Search. • Select the POSTING DATE (mm/dd/yy) by adding one day to the process date. Note: If the Process Date is 07/23/2014, the Posting date will be 07/24/2014. • Select View All Selected. • Determine the session number under the column Session Number.
24	• Access Siebel • Select Service Platform on the top of the screen. • Select Search by Session Number under the heading Client Session Search under Inquiries. • Copy the session number under SESSION NUMBER column from the SP UNMATCHED PAPERLESS - TORB7700 report and paste it in the Session Number field in Siebel. • Select Go. • Check the Session Type. • Return to Investigation for Repair Session.

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Aging Items Review

Purpose	The Vendor follows the steps in the table below to review the items that had been placed on hold for follow up or for additional information required after the investigation and resolution activities.
Step	**Action**
1	Right-click DB-SUSP-2ND-DAY-BAL category from the RBC REC Lifecycles Summary tree view and select Items Status Summary.
2	• Select Exceptions tab in the Items dashboard. • Select Exceptions folder to open the Exceptions' tree view.
3	• Expand the DOMESTIC BANKING folder. • Double-click the exception type under review.
4	• Review the age groups within the New and Active folders. • Use the table below to determine the next step based on the age group. <table><tr><td>**If the age group is …**</td><td>**Then …**</td></tr><tr><td>overdue or today</td><td>• double-click the age group • proceed to step 5.</td></tr></table>

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	any other	• no action required, for there are no aging items • proceed to step 25.

5	• Select the Select Row checkbox appearing in the left corner of the line item for the GL and transit number under review in the grid view of Item Exceptions by Inbox in TLM.
	• Right-click and select Exception Detail.
	• Select the Audit tab of the line item under review.
	• Read the inputs provided under the column Action.
	• **Has the Inbox changed?**
	
	  - If **Yes**:
	    ▪ select the Notes tab of the line item under review, for the item has been returned by FSS
	    ▪ proceed to step 14.
	
	  - If **No**, proceed to step 6.

6	**Were correcting entries posted to PeopleSoft?** • If **Yes**, proceed to step 15. • If **No**, proceed to step 7.

7	**Was a message sent to the Unit?** • If **Yes**, proceed to step 11 to check for the expected response. • If **No**, proceed to step 8.

8	Use the table below to determine the reason for which line item was pended.

If the GL is …	and the line item was pended for …	Then …
9909359 / 9003419	Teller number 11 or 12 and IRIS entry	proceed to step 17.
9931015 / 9004904 – Contact Centre or P and T	RFX unmatched entries	• select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Item Exceptions by Inbox in TLM that does not have an offset entry • right-click and select Exception Detail • select the applicable reason and resolution codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions

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			• select the Select button • use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date • select Save • Determine contact for transit ***Refer to*** Appendix D: Service Centre Contact List, the Cash Services Centre Transits list in the Service Partner Escalation Contact Lists section of the Cross Functional Processes SOP and the Expert Advice Center (EAC) Processes SOP • *send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact* • proceed to step 24.

	9931015 /
	9004904
		RFX Error, and
		Delivery Channel is non-blank, and
		No related offset is found in Adj. 1, Adj. 3, or Proof Suspense GL
			• select RBC REC Lifecycles Summary tab
			• select DB-SUSP-ADJUSTMENTS-SERIALIZED to search for the offsetting line item related to outage amount under review
			• right-click and select Ad-hoc Items Search
			• scroll down to the Business Entity field and paste the transit number of the line item under review into it
			• select Search. Ad-Hoc Items Search dashboard will appear listing all outstanding DB–SUSP–ADJUSTMENTS-SERIALIZED items for the Transit under review
			• review outstanding DB–SUSP–ADJUSTMENTS-SERIALIZED items and search for possible offsets for your Second Day Balancing Transit under review
			• **Determine if the outage amount is available in GL numbers 900-367-4, 991-867-3, 991-680-0, 900-387-2, 991-604-0 or 900-352-6?**
			
			  - If ***Yes***, proceed to step 9.
			  - If ***No***, proceed to step 13

	9918863 Transit – 6656, 537, 1358, 2763, 2769, 2866, 5409, 5634, 8715, 8739,	Any reason	• select the Select Row checkbox appearing in the left corner of the first line item under review in the grid view of Item Exceptions by Inbox in TLM • right-click and select Exception Detail • select the applicable reason and resolution codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date • select Save • Determine contact for transit

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	8883, 8943, 9400 OR 9004748		***Refer to*** Appendix D: Service Centre Contact List, the Cash Services Centre Transits list in the Service Partner Escalation Contact Lists section of the Cross Functional Processes SOP and the Expert Advice Center (EAC) Processes SOP • *send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact* • proceed to step 24.

	Visa Other 9918863	After cut-off hours	• access Siebel
			 • select Service Platform on the top of the screen
			 • select Search by Transaction Type under Client Session Search heading under Inquiries
			 • enter the current process date in MM/DD/YYYY format or use the calendar icon to select the date in the Batch Create Date field
			 • select Next Prompt
			 • copy the transit number from the Transit column in the line item under review in the grid view of Item Exceptions by Inbox in TLM and paste it in the Transit Number field in Siebel
			 • select Next Prompt
			 • enter CAD in the Currency Code field in Siebel
			 • select Next Prompt
			 • select Credit Card Advance under the Transaction Type field
			 • select Credit Card Advance Reversal under the Transaction Type field
			 • select Credit Card Payment under the Transaction Type field
			 • select Credit Card Payment Reversal under the Transaction Type field
			 • select Go
			 • select All Pages arrow to display all the line items in Siebel
			 • compare the line items available in Siebel with the after cut-off items under review in TLM
			
			 Note: The additional line items in Vistra report are termed as Application launch pad line items.
			
			 • **Are there any Application launch pad line items found on the Vistra report which correspond to the after cut-off items under review in TLM?**
			
			   – If ***Yes***:
			
			     ▪ check the card holder number and amount of the Application Launch pad entry
			     ▪ proceed to step 10.
			
			   – If ***No***, proceed to step 24.

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9	• Copy the owner ID of the owner of the outstanding Adjustment 3 Adjustment 1 or Proof Suspense entry from the Owner Column in TLM. • Right-click the outstanding Adjustment 3 Adjustment 1 or Proof Suspense entry under review and select Exception Detail. • Select the button next to the Exception Owner field. • Paste the owner ID in the Filter field. • Select the Filter button. • Read the name of the line item owner. • Access Outlook to find the email address of the owner of the outstanding entry of Adjustment 3 Adjustment 1 or Proof Suspense. • Enter the owner's name in the Find a Contact field. • Press Enter on the keyboard. • Select the Contacts button on the Properties dialog-box. • Copy the email ID from the Email field in the Contact dialog-box. • Select X on the top right corner of the Contact dialog-box to close it. • Select No when Save Changes pop up box appears. • Select X on the top right corner of the Properties dialog-box to close it. • Select X on the top right corner of the Exception Detail tab of the outstanding Adjustment 3 Adjustment 1 or Proof Suspense entry to close it. • Return to the line item under review in the grid view of Items by Status. • Locate and select the Select Row checkbox of the line item for which the exception was created in TLM. • Right-click and select Exception Detail. • *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for owner of exception* • Use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date. • Select Save. • Select X on the top right corner of the Exception Detail tab to close it. • Proceed to step 24.			
10	• Return to the Item Exceptions by Inbox dashboard. • Select the Select Row checkbox for the line item under review. • Right-click and select Edit Item Exception. • Enter "Item posted through ALP. Card Holder Number [insert card holder number such as (451015******6265), Process Date [insert process date in YYYY/MM/DD format]" following the existing text in the Source System Reference field. • Select Save. • Select X to closed Edit Item Exception dialog box. • Return to Exception Detail tab for the line item under review. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Send 1st Request email type ***Refer to*** Appendix A: Procedure for Sending an email. • Select X on the top right corner of the Exception Detail tab to close it.			

	• Proceed to step 24.
11	• Select the Message tab of the line item under review. • Use the table below to determine how to proceed based on the message name.

If the message name is …	Then …

Inbound Email Message	• select the item and double-click to open it; the message is displayed
	• read the information provided in the Message field under the Message Detail tab
	• **Is the response resolving the exception?**
	
	– If **Yes**:
	
	  ▪ follow the instructions provided by the Unit to resolve the line item
	  ▪ update the Exception Detail as per the action taken
	  ▪ Proceed to step 24.
	
	  - If **No**, proceed to step 13 to raise a request for FSS support.

1st Request	proceed to step 12.
2nd Request or On-going Communication	proceed to step 13 to raise a request for FSS support.

12	Use the table below to determine how to proceed.

If email was sent to an …	Then …
internal team	• *send 2nd Request email type to THIRD PARTY recipient using @rbc.com email address for the Team Lead of the internal team* • use the calendar icon to select the date in the Next Review Date field to hold the line item for 2 business days from the current date • select Save • select X on the top right corner of the Exception Detail tab to close it • proceed to step 24.
Branch with a BR[transit #]E@rbc.com generic email address	• **Was email sent to THIRD PARTY recipient?** **Note:** These would be emails sent to a source transit which is a branch

If …	Send 2nd Request email type to …

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Yes	*THIRD PARTY recipient using same @rbc.com email address as 1st Request email*
No	*BUSINESS ENTITY recipient*

- Use the table below to determine how to proceed

If the GL under review is …	Then …
990-430-1 *or* 900-173-6	- *send another 2nd Request email type to THIRD PARTY recipient using email address* ocelprf@rbc.com **Note:** A second email is sent to O&CE - Lost Proof generic mailbox to ensure they receive a copy of the second level escalation. - use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date - select Save and select X on the top right corner of the Exception Detail tab to close it - proceed to [step 24].
Any other GL	- use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date - select Save and select X on the top right corner of the Exception Detail tab to close it - proceed to [step 24].

any other	- send 2nd Request email type
	
	  Refer to [Appendix A: Procedure for Sending an email].
	- **Is the exception type is SP Repair?**
	
	  - If **Yes**:
	
	    - use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business days from the current date
	    - select Save and select X on the top right corner of the Exception Detail tab to close it
	    - proceed to [step 24].
	
	  - If **No**:

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		▪ use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date ▪ select Save and select X on the top right corner of the Exception Detail tab to close it ▪ proceed to step 24.
13		• Return to the Exception Detail tab of the line item under review. • Select the button next to the Inbox field. • Select FSS DB ESCALATIONS. • Select the Select button. • **Is escalation required due to no response from Unit?** - If **Yes**, enter "Escalate, for no response has been received." in the Note field. - If **No**, enter "Provide assistance for this exception. Advise what action to be taken to resolve the exception." in the Note field. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 1 business day from the current date. • Select Save. • Select X on the top right corner of the Exception Detail tab to close it. • Proceed to step 24.
14		• Review the comments provided by FSS in the Notes tab of the line item under review. • Use the table below to determine how to proceed.

If the FSS has …	Then …
advised the item to be pended	• use the calendar icon to select the date in the Next Review Date field *Important:* The date should be set to the resolution date provided in the response plus 1 business day. • enter details for resolving the exception in the Note field • select Save • select X on the top right corner of the tab to close the Exception Detail tab • proceed to step 24.
provided a unit contact and/or email address	**Has the first request been sent?** • If **Yes**: - *sent 2nd Request email type to THIRD PARTY recipient using @rbc.com email address for contact provided by FSS* - proceed to step 24. • If **No**:

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		- *send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for contact provided by FSS* - proceed to <u>step 24</u>.
	provided the details of the entry	• update the line item details as per the instructions provided by the FSS • update the Exception Detail as per the action taken • proceed with the investigation of the line item under review • proceed to <u>step 24</u>.
	does not help to resolve the exception	return to <u>step 13</u>.

15	• Select the Notes tab of the line item under review.
	• Copy the journal ID from the Notes tab.
	• Return to the RBC REC Lifecycles Summary tree view.
	• Select DB-SUSP-2ND-DAY-BAL category.
	• Right-click and select Item Status Summary.
	• Select Items dashboard.
	• Double-click the Outstanding bar in the bar chart; the Items by Status grid will appear.
	• Right-click the header of Items by Status grid.
	• Select Show Filters.
	• Scroll to the right in the grid view to find the Journal ID column.
	• Paste the journal ID in the Filter field under the Journal ID column.
	
	Important: Add * before and after the journal ID in the Filter field.
	
	• Press Enter on the keyboard.
	• **Is an entry for the journal ID available?**
	
	- If **Yes**, proceed to step 16.
	- If **No**:
	
	  ▪ contact your team lead to check if the PeopleSoft entry has been approved
	  ▪ proceed to <u>step 24</u>.

16	• Review the entry to determine why it was not matched with the exception under review. • Update the Exception Detail as per the action taken. • Proceed with the investigation of the line item under review. • Proceed to <u>step 24</u>.
17	• Determine the region of the transit under review. • Use the table below to determine how to proceed. | If the transit under review is for …	Then …
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	Central (Toronto) region	- access PeopleSoft - select General Ledger under the Menu - select Journals under the Main Menu - select Create/Update Journal Entries under Journal Entry - select Add - enter "Process date [insert process date in YYYY/MM/DD format]. Teller # [insert teller number]. Credit or Debit posted for amount [insert amount]. Client Account # [insert client account number]. No offsetting debit or credit entry was not processed to transit." in the Long Description: field under the Header section - select Lines section - copy the transit number from the Transit column in the grid view of Item Exceptions by Inbox in TLM and paste it in the Oper Unit field of the Lines section - enter the applicable GL number (such as 990-935-9 for CAD or 900-341-9 for USD) in the Account field of the Lines section - enter the applicable currency of the line item under review in the Currency field of the Lines section or use the currency icon to select the applicable currency - copy the amount from the Amount field of the line item under review and paste it in the Amount field of the Lines section (without the $ sign and commas) *Example:* When the amount in the line item under review is a credit (such as $1000) then enter $1000 with a minus sign (such as -1000) in the Amount field in PeopleSoft to process a debit entry. *Important:* If the line item is debit outstanding, enter the amount as is in PeopleSoft to reverse the entry; however, if the line item is credit outstanding, enter the amount with a minus sign in PeopleSoft to reverse the entry. - enter "SecDayBal – Process date [insert process date in YYYY/MM/DD format]. Teller # [insert teller number]. Credit or Debit posted for amount [insert amount]. Client Account # [insert client account number]. No offsetting debit or credit entry was not processed to transit." in the Disptn/Descr field of the Lines section in PeopleSoft - select the plus sign, next to the Lines to add: field, to insert a new line for processing the offset entry - enter transit number (04166) in the Oper Unit field of the Lines section - enter the GL number (such as 991-867-3 for CAD or 900-367-4 for USD) in which the outage was located, in the Account field of the Lines section *Note***:** Currency, Amount and Disptn/Descr fields will be auto populated. - enter the serial number (such as 5420mmddxxx [where xxx= sequential number starting with 001]) under the Local Serial Num field of the Lines section in PeopleSoft - select the drop down list in the *Process: field

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		• select Edit Journal • select Process • select OK to close the pop-up window • select the drop down list in the *Process: field • select Submit Journal • select Process to generate a journal ID • select OK to close the pop-up window • copy the journal ID • proceed to step 19.

	Eastern (Montreal) region or Western (Vancouver) region	• review the Notes tab of the Exception Detail box to determine if a fax has already been send to Symcor
		• **Has fax been sent to Symcor?**
		
		  - If **Yes**, return to <u>step 13</u> to escalate to FSS.
		  - If **No**, proceed to step 18.

18	• Access RightFax FaxUtil. ***Refer*** to the Systems Application Guide SOP for instructions on how to use this application. • Select Fax menu at the top left corner of the RightFax FaxUtil. • Select new from the fax drop-down menu. • Select the Main tab in the Fax Information pop up window. • Enter "Symcor" in the Name: field. • Proceed to step 20.	
19	• Return to TLM, line item under review. • Right-click and select Exception Detail. • Enter "Process date [insert process date in YYYY/MM/DD format]. Teller # [insert teller number]. Credit or Debit posted for amount [insert amount]. Client Account # [insert client account number]. Journal ID" in the Note field. • Paste the journal ID next to the text 'Journal ID' in the Note field. ***Note:*** Use single space to separate the new information from the existing one in the Note field. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Select X on the top right corner of Exception Detail to close it. • Proceed to <u>step 24</u>.	
20	• Review Processing Center found in the Processing Center column of the Item Exceptions by Inbox for the line item under review. • Use the table below to determine how to proceed based on the processing centre of the line item under review.	

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If the centre is …	Then …
00100 (Halifax)	• Enter "*1-888-455-8429*" in the Fax Number: field
00200 (Quebec/ Montreal)	• Proceed to the next step
00400 (Winnipeg)	• Enter "*1-877-216-4917*" in the Fax Number: field
00500 (Calgary	• Proceed to the next step
00600 (Vancouver)	

21	• Select the Cover Sheet Notes tab in the Fax Information pop up window. • Use the table below to determine the comments to be included on the Fax based on the scenario. <table><tr><td>**If the scenario is …**</td><td>**Then …**</td></tr><tr><td>Posting but no GL processed</td><td>• enter "On process date [insert process date] a teller number [insert teller number]. Credit or Debit posted for amount [insert amount]. Client Account # [insert client account number]. No offsetting debit or credit entry was processed to transit [insert transit number]. Investigate and correct." in the Notes to be Placed on the Cover Sheet or in SMS Message(160 bytes) field • proceed to step 22.</td></tr><tr><td>GL processed but no posting</td><td>• enter "On process date [insert process date] a teller number[insert teller number]. Credit or Debit GL for amount [insert amount], Trace # [insert trace number] was processed to transit number [insert transit number. But no client transaction was processed to client account number [insert client account number].Investigate and correct." in the Notes to be Placed on the Cover Sheet or in SMS Message(160 bytes) field • proceed to step 22.</td></tr></table>
22	• Select the More Options tab in the Fax Information pop up window. • Enter "OSC OPS Risk Services" in the Name: field. • Select Send. • Select X on the top right corner of the RightFax FaxUtil window to close it.
23	• Return to TLM, line item under review. • Right-click and select Exception Detail. • Enter "Process date [insert process date in YYYY/MM/DD format]. Teller # [insert teller number]. Credit or Debit posted for amount [insert amount]. Client Account # [insert client account number].RightFax sent." in the Note field. • Use the calendar icon to select the date in the Next Review Date field to pend the line item for 2 business days from the current date. • Select Save. • Select X on the top right corner of Exception Detail to close it.

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24	**Are there more line items in the GL and transit number under review within Overdue or Today age groups?** • If *Yes*, return to step 5. • If *No*, proceed to step 25.
25	**Are there more GL and transit numbers to investigate for the exception type under review?** • If *Yes*, proceed to the investigation section for the exception type under review to start investigation for the next GL and transit number. • If *No*, determine the next available exception type and proceed to step 26.
26	**Are there more exception types to investigate?** • If *Yes*, proceed to investigation for the next available exception type. • If *No*, proceed to Aging Items Review for the 2ND DAY ITEMS exception type. *Important:* Repeat the steps outlined above for all other regions (Eastern and Western) under the accounts tab.

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Appendix A: Procedure for Sending an Email

Step	Action
1	**Have you selected applicable reason and resolution codes and saved exception?** • If *Yes*, proceed to next step • If *No*, select applicable reason and resolution codes *Refer to* Transaction Lifecycle Management (TLM) System Guide for detailed instructions
2	<table><tr><td>If GL for exception(s) under review is …</td><td>Then …</td></tr><tr><td>9003419 9909359</td><td>Is there only 1 exception for transit number under review? • If Yes, proceed to next step • If No, proceed to step 6</td></tr><tr><td>Anything else</td><td>Proceed to next step</td></tr></table>
3	• Select Exception tab (if applicable) • Select New Message to display REC Exception Comms tab <table><tr><td>If you need to send email request type …</td><td>Then select drop down list in Type field and select …</td></tr><tr><td>1st Request</td><td>1st Request</td></tr><tr><td>2nd Request</td><td>2nd Request</td></tr><tr><td>On-going Communication</td><td>On-going Communication</td></tr></table>

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Step	Action
4	**Is transit number or source transit (as applicable) of exception 00498, 14075 or 14852?**

If …	Then …
Yes	• Select drop down list in Recipient field and select THIRD PARTY

If transit …	Then enter the following in Address field …
00498	UFC BSC & CSF MTL
08741	MFRP Audit
14075	Internal Control 3
14852	Moncton RD Payments Inq

Yes	• Select Send • Procedure ends here

No	**Was a specific email address indicated in the previous section you were in, or did the previous section you were in instruct you to determine an email address or did FSS Global Reconciliation Services provide you with a specific email address?**
	• If **Yes**,
	  - Select drop down list in Recipient field and select THIRD PARY
	  - Enter the @rbc.com email address for the contact in Address field
	  - Select Send
	  - Procedure ends here
	• If **No**, proceed to next step

Step	Action

5	Determine if transit number or source transit (as applicable) of exception is ….
	• A branch with a BRXXXXXE@rbc.com email address
	
	   Refer to Appendix I: Procedure to Determine if a Transit is a Branch
	• Listed in Appendix D: Service Centre Contact List
	• Listed in scope in Expert Advice Center (EAC) Processes SOP
	• Listed in any of the following lists in Service Partner Escalation Contact Lists section in Cross Functional Processes SOP
	  - Cash Services Centre Transits
	  - Commercial Financial Services

If transit or source transit (as applicable) is …	Then …
A branch with a BRXXXXXE@rbc.com email address	• **Do you need to send email to source transit?**

If …	Select drop down list in Recipient field then select …
Yes	THIRD PARTY
No	BUSINESS ENTITY

• Select Send
• Procedure ends here

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Ste p	Action	
	For Commercial Financial Services	• Select drop down list in Recipient field and select BUSINESS ENTITY • Select Send • Procedure ends here
	For Cash Services Centre	• Select drop down list in Recipient field and select THIRD PARTY • Enter @rbc.com or @symcor.com email address for applicable Level 1/1st contact in Address field • Select Send • Procedure ends here
	Listed in Appendix D: Service Centre Contact List	
	Listed in scope in Expert Advice Center (EAC) Processes SOP	
	Not a not a branch with a BRXXXXXE@rbc.com email address	• Close REC Exception Comms tab • **Is source system MANUAL and trace number starts with 000956?**
	Not found in any of above mentioned contact lists	

If …	Then …
Yes	• Return to grid view • Determine number under Inputter/Teller column • Open a new email and enter number in To, Cc or Bcc field • Select Ctrl and K on keyboard • Double-click on name and copy email address *Note:* This the person who posted the entry • *Send 1st Request email type to THIRD PARTY recipient using @rbc.com email address for poster of entry* • Process ends here
No	• Select Exception tab • Select button in Inbox field and select FSS DB ESCALATIONS • Select Select • Enter "*Provide email address for the unit*" in Note field • Select Save and close tab • Procedure ends here

6		
	If you are sending …	**Then filter view by …**
	Daily email to transit	Next review date (NRD) that is current days date and transit and GL number of exception under review

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Step	Action

	Aging items (5 business days or more) email to transit	Transit and GL number of exception under review

Step	Action
7	• Select box to left of scissors icon on left side of screen • Right-click and select Export to Excel
8	• Delete all columns *except* for following: - Process Dt - Transit - Account - CR/DR - Amount - CUR - TC - Source System - Matching Reference *Example*:

Process Dt	Transit	Account	CR/DR	Amount	CUR	TC	Source System	Matching Reference
11/7/2017	09186	9909359	L CR	500	CAD	51	PEOPLESOFT	08039-5033873
11/6/2017	09186	9909359	L CR	350	CAD	51	PEOPLESOFT	00335-5390166
11/6/2017	09186	9909359	L CR	192.1	CAD	51	PEOPLESOFT	00742-1191055
11/6/2017	09186	9909359	L DR	192	CAD		DDA-COLT	00742-1191055
				850.1	CAD			

• **Are you sending daily email to transit?**
- If **Yes**, proceed to next step
- If **No**, save file

Step	Action
9	• Send a new email • Complete fields in Message window as follows then send email:

Field	Instruction
From	Enter applicable generic mailbox (OSC Ops Risk Services BC, Osc Ops Risk Services Ontario or OSC Ops Risk Services Quebec)
To…	• Determine transits generic mailbox or contact name ***Refer to*** Appendix D: Service Centre Contact List and Expert Advice Center (EAC) Processes SOP • Enter generic mailbox or contact name and "*fsspc@rbc.com*"

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Step	Action		
	Subject:	**If you are sending …**	**Then …**
		Daily email to transit	Enter "*Exception ID: [enter the exception ID of any exception in the Exceptions by Inbox grid view in TLM] GL Account [enter the GL number under review] Transit: [enter the transit number under review] Difference Amount: [enter the amount followed by Debit or Credit]*"
		Aging items (5 business days or more) email to transit	Enter "*Action Required: [enter the applicable region] TR # [enter the transit number under review]/GL # [enter the GL number under review]*"
	Body of message	**If you are sending …**	**Then …**
		Daily email to transit	Enter the following: "*The following item(s) are outstanding for your transit.* *Please review item(s) details including Additional Details and reverse accordingly.* *[copy and paste the exceptions from the excel file]* *Additional Details: DDA Crossmatch difference* *Thank you.*"
		Aging items (5 business days or more) email to transit	Enter the following: "*Please be advised that there are outstanding entries in TR #[enter the transit number under review]/GL #[enter the GL number under review]. Please refer to the attached file for additional details.* *[insert the exceptions excel file]* *A response is requested within 24 hours to minimize client impact.* *Thank you.*"
10	**Did you send daily email to transit?** • If **Yes**, proceed to the next step If **No**, procedure ends here		
11	• Return to Item Exceptions by Inbox grid view in TLM • Complete following for exception that was referenced in email subject line:		

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Step	Action
	- Right-click on exception then select Edit Item Exception to display Edit Item Exception window - Enter "*Email sent to unit on [enter today's date]*" in tNote field - Select calendar icon to right of Next Review Date field then select date that is 2 business days from current day's date - Select Save - Double-click on exception to open Exception tab then select Attach Document - Select Browse… then select email file - Select Attach • Complete following for all other exceptions: - Right-click on exception then select Edit Item Exception to display Edit Item Exception window - Enter exception ID that was indicated in email subject line in Note field - Select calendar icon to right of Next Review Date field then select date that is 2 business days from current day's date - Select Save • Procedure ends here

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Appendix B: Specialized Service Centre Contact List

Appendix B Spec
Serv Centre Contact Li

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Appendix C: Sub-Transit List

Sub-Transit List.xls

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Appendix D: Service Centre Contact List

Appendix D Service
Centre Contact List (R

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Appendix E: Special Centre Workstation ID List

Special Centre
Workstation ID List.xl

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Appendix F Commercial Client Posting Details List

Commercial Client
Posting Details List.xl

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Appendix G: People Soft Entry Contact List

Follow these steps to determine email recipient for the outstanding People Soft Entries.

Purpose	The Vendor follows the steps in the table below to determine email recipient for the outstanding People Soft Entries.
Step	**Action**
1	• Retrieve the PeopleSoft Online Entry Detail Report – By Operating Unit (GLONLED) report in OnDemand *Refer to* OnDemand System Guide • Copy the trace number of the line item under review from Trace Number column in the TLM and paste it in the String field. • Determine the last three alphabets of the subset number of the corresponding trace number under the column Subset No. • Determine the processor name under the column Inputter Name for the sub set number.
2	Use table below to determine contact email address based on the entry subset number. <table><tr><td>**If the last three alphabets of subset number is …**</td><td colspan="2">**Then …**</td></tr><tr><td>PSC, HLP, MTG or IQC</td><td colspan="2">Use the table below to determine how to proceed <table><tr><td>**If item under review is under the…**</td><td>**Then …**</td></tr></table></td></tr></table>

		Central or Western region	enter "*Inconufc@rbc.com*" in the Address field in TLM
		Eastern region	enter "*intcntrl@rbc.com*" in the Address field in TLM
	BSC	enter "*torbsclp@rbc.com*" in the Address field in TLM.	
	Other	• copy the processor name under the column Inputter Name for the sub set number from GLONLED Report and paste it in the Filter field • access Outlook • paste the Inputter's name in the Find a Contact field • press Enter on the keyboard • select the Contacts button on the Properties dialog-box • copy the email ID from the Email field in the Contact dialog-box • select X on the top right corner of the Contact dialog-box to close it • select No when the Save Changes pop up box appears • select X on the top right corner of the Properties dialog-box to close it • paste the Inputter's email ID, copied from the Outlook, in the Address field in TLM.	

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Appendix H: Transits not Eligible for Write-offs

Appendix H - Transits
Not Eligible for Write

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Appendix I: Procedure to Determine if a Transit is a Branch

Purpose	Investigators follow the steps in the table below to access the Unit Directory to determine if the transit number or source transit number of the line item under review is a branch or not.
Step	**Action**
1	• Access Unit Directory *Note*: The URL to the Unit Directory is: https://webud.bm.fg.rbc.com/

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	• Enter the transit number or the source transit number of the line item under review in TLM in the search field of Unit Directory which is located at the top left corner of the screen ***Note***: The default transit number will be 1 (MAIN BR - MONTREAL) • Select Enter on the keyboard
2	• Review the content in the e-mail field • Return to the next step in the applicable section of the SOP that you were previously in

Appendix J: DICE Transit Listing

DICE transit listing
.xlsx

Reviewer and Approver Block

Vendor Operations:

I confirm that appropriate subject matter experts from the Capgemini Operations team were part of the review and testing of this document.
Process Subject Matter Expert: Madhukumar Jagadeesh
Document Writer: Sagar Rajwani

I also validate that this SOP has been introduced to all relevant users for a testing period where any process gaps that were identified, were addressed, and closed. To the best of my understanding, this document is an accurate representation of the work as it is completed at this time. This document has also passed an independent Finance Shared Services (FSS) review to verify that the processes meet FSS standards.
Arunagiri Manivannan Operations Manager - Capgemini

I certify that I will audit Resolution Officers responsible for this process will test the validity of this document on a **monthly basis** to ensure this document remains current. In the event of Vendor Operations need to amend this process for whatever reason, I will support the creation of a Change Request and identify the appropriate subject matter expert(s) to assist the FSS Process Integrity team to make suitable changes.
Suresh Warrier Process Team Leader – Capgemini

Operations:

I confirm that appropriate subject matter experts from the FSS Onshore Operations team were part of the review of this document to the extent of validating transfer and escalation points to Onshore Operations.
Document reviewer: Liz Power
Process Subject Matter Expert/Team Leader: Liz Power / Stephanie Buchanan

I certify that in the event of increasing escalations in support of this document, I will raise concern with the Manager, Process Integrity and Change Management to initiate an SOP review. I will also provide an appropriate resource to vet future changes to this document on a standard ongoing basis.

Ingrid Sandiford – Manager, Operations Processing

Controls:

I confirm that the FSS Controls team is aware of this documented process and is testing the accuracy of this process on a monthly basis though quality reporting.

Should an issue be identified through the quality reporting process, I will escalate the concern to the Manager, Operations Processing and Manager, Process Integrity & Change Management. If additional action is required, I am responsible for assigning a Controls team representative to support the mitigation of the process risk(s) as required.

Wendy Tadman – Senior Manager

Process Integrity & Change Management:

I confirm that this SOP has consulted all necessary parties to ensure an accurate depiction of the process today. All reasonable efforts have been made to eliminate any procedural gaps.

I certify that in the event that a process gap is identified, I will identify the document owner that will be accountable to close the process gap. In the event of material process changes impacting work-flow, I am responsible to raise the issue in the form of a Change Request and seek agreement from both FSS Operations and FSS Controls.
FSS Independent Reviewer: Crystal Plant

Mark Sorsak – Manager, Process Integrity & Change Management

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Revision History

Version Number	Change Summary	Prepared or Updated By	Effective Date	Change Request Number
1.0	Initial Draft	• Sagar Rajwani (Capgemini) • Siva Kumar Bandaru (Capgemini) • Madhukumar Jagadeesh (Capgemini) • Deepak Ramachandrai	October 24, 2013,	N/A

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		ah (Capgemini)		
1.1	Updated reconciliation process for all exception types, excluding DDA Online Suspense exceptions types and SP Items Received.	Sagar Rajwani (Capgemini)	November 01, 2013	N/A
1.1	EFO Review	Crystal Plant	November 6, 2013	N/A
1.2	Added SP – Items Received and DDA OL sections. Updated Aging Items Review for additional steps related to SP – Items Received and DDA OL items.	Sagar Rajwani (Capgemini)	November 14, 2013	N/A
1.2	EFO Review	Crystal Plant	November 20, 2013	N/A
1.2.1	Updated as per EFO feedback.	Olga Khasimkhanov	November 21, 2013	N/A
1.3	Added Appendix I: Transit not Eligible for Write-offs. Updated Investigation for 2nd Day Balancing Write-offs and Aging Items Review to cover process for the write-off exemptions.	Olga Khasimkhanov	December 3, 2013	N/A
1.4	Updated all investigation sections to add a step to check previous day adjusted balance. Updated Write-off section to extract write-offs from the History tab.	Olga Khasimkhanov	December 12, 2013	N/A
1.5	Added Reviewer and Approver Block information.	Nancy Hagan	January 6, 2014	N/A
1.6	Document name has been changed from "Domestic Banking (DB) – Suspense – Second Day Balancing – Vendor Standard Operating Procedure (SOP)" to "DB-SUSP-2ND-DAY-BAL – Vendor Standard Operating Procedure (SOP) so that the Lifecycle name matches exactly as it appears in TLM.	Alan Kunkel	February 26, 2014	N/A
1.7	Revisions were made to the following section: • Investigation for SP – Items received (In step 48 added a question "**Is unit a Branch**" and additional steps and an If/Then table)	Alan Kunkel	April 1, 2014	GL 339
1.8	Revisions were made to the following section: • Investigation for RFX - Other (In step 30 the bulleted action "Enter "RFX Error. Missing Deliver Channel. Reference # [insert	Alan Kunkel	April 25, 2014	N/A

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	reference number from FX G/L AC RECONCILIATION – TORGHG03 Report]. Process date [insert process date in YYYY/MM/DD format]. Client Type [insert Client Type obtained from the RFEST or FXTJ report]. Client ID [insert Client ID obtained from the RFEST or FXTJ report]." under the column Source System Reference in the first row" was changed to "Enter "RFX Error. Missing Deliver Channel. Reference # [insert reference number from FX G/L AC RECONCILIATION – TORGHG03 Report]. Process date [insert process date in YYYY/MM/DD format]. Currency type [insert Currency type obtained from the RFEST or FXTJ report]. Client ID obtained from the RFEST or FXTJ report]." under the column Source System Reference in the first row")			
1.9	Revisions were made to the following sections: • Investigation for SP – Items Received (In the table in step 41 for the scenario " If Adjustment 1" the bulleted action "enter "SecDayBal – process date [insert process date in YYYY/MM/DD format] batch type [insert batch type] Batch # [insert batch number], Reason for error). Outage amount found in GL # 990-430-1 or 900-173-6." In the Long Description: field under the Header section" need to be changed to "enter "SecDayBal – process date [insert process date in YYYY/MM/DD format] batch type [insert batch type] Batch # [insert batch number], Reason for error). Outage amount found in GL # 991-604-0 or 900-352-6." In the Long Description: field under the Header section" Re EFO Vendor SOP Inventory TO - GL039 • Appendix D: Service Centre Contact List (Contact for transit 7140 was changed from "Maria Mezzagno" to "International Business Centre Eastern Canada")	Alan Kunkel	April 29, 2014	N/A

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	Re EFO Vendor SOP Inventory TO - GL039 Email request			
2.0	Revisions were made to the following section: • Investigation for Visa – Cash Operations (step 18 if yes proceed to step 18 replaced with step 19. Step 24 send 1st request to Business Entity replaced with Third Party and enter AuditatSDCard@rbc.com in address field).	Crystal Plant	May 6, 2014	N/A
2.1	Revisions were made to the following section: • Appendix D: Service Centre Contact List (The unit Generic mailbox ID/contact name for transit 9211 was changed from "Saunders, Rohan - MANAGER IBC WIRES (CENTRAL CANADA)" to "P&T UFC Audit") RE EFO Vendor SOP Inventory TO - GL039	Alan Kunkel	May 9, 2014	N/A
2.2	Revisions were made to the following section: • DDA OL - Investigation for DDA OL - Service Center Low Volume (In step 4 deleted the bulleted actions "Select the Select Row checkbox appearing in the left corner of the line item under review" and "Right- click and select Exception Detail, in step 5 the bulleted action "If *No*, proceed to step 8" was changed to "If *No*, proceed to step 9", in step 6 added a new bulleted action "Select Save", new step 7 was added with 4 bulleted actions and a result all preceding step numbers were changed, in the renumbered step 8 new bulleted actions "Select the Select Row checkbox appearing in the left corner of the line item under review" and "Right-click and select Exception Detail" were added) RE EFO Vendor SOP Inventory TO - GL039	Alan Kunkel	May 14, 2014	N/A
2.3	Revisions were made to the following section: • Investigation for Visa – PSC and Visa – Other (In step 21 the bulleted action "Enter "Item posted through ALP. Card Holder Number [insert card holder number such as (451015******6265), Process Date [insert process date in YYYY/MM/DD format]" under	Alan Kunkel	May 28, 2014	N/A

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	the column Source System Reference in the current row" was changed to "Enter "*Item posted through ALP. Card Holder Number [insert card holder number (such as 451015******6265)], Process Date [insert process date in YYYY/MM/DD format], In order to view the full visa number go to OnDemand under "VISTRA"-[insert the appropriate report name according to regions]*" under the column Source System Reference in the current row") COMPLETED RE EFO Vendor SOP Inventor			
2.4	Revisions were made to the following section: • Aging Items Review (In step 20 fax number "1-602-404-4650" was changed to "1-888-455-8429", fax number "1-514-787-4126" was changed to "1-888-455-8429", fax number "1-204-924-5869" was changed to "1-403-806-5219", fax number "1-403-806-5117" was changed to "1-403-806-5020" and fax number "1-604-675-5632" was changed to "1-403-806-5162") Re FSS Vendor SOP Inventory TO - GL03!	Alan Kunkel	June 2, 2014	N/A
2.5	Revisions were made to the following section: • Investigation for SP – Items Received (In the table in step 48 for the scenario "If the Source System Reference field indicates Missing Proof notification" deleted the bulleted action "send 1st request email to BUSINESS ENTITY", in the table in step 59 for the scenario "If the outstanding reason is Missing Batch (that is, full batch(s) are not processed)" deleted the following: the bulleted action "send 1st request email to BUSINESS ENTITY", the note *Refer to* the Appendix A: Procedure for Sending an email, the bulleted action "send 1st request email to THIRD PARTY, the note *Refer to* the Appendix A: Procedure for Sending an email and the bulleted action "enter "*ocelprf@rbc.com*" in the address field and in the table in step 59 for the scenario "If the outstanding reason is	Alan Kunkel	June 5,2014	N/A

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	Missing Batch (that is, full batch(s) are not processed)" added steps to determine if the unit is a branch followed by an If/Then table)			
2.6	Revisions were made to the following section: • DDA OL - Investigation for DDA OL - Service Center-B Payment sheet – Addition of step 7 and update to all subsequent steps. • DDA OL - Investigation for DDA OL – Service Centers High Volume – Addition of step 8 and update to all subsequent steps. RBC Connect omments May 27.d c	Vincent Yuen	June 10, 2014	N/A
2.7	Revisions were made to the following section: • Posting to Clients Accounts – Revision to step 2 If P&T transit to post Adjustment 3 as per Liz Power. RE FSS Vendor SOP Inventory T&O ·	Vincent Yuen	June 17, 2014	N/A
2.8	Revisions were made to the following section: • DDA OL - Investigation DDA OL - Service Centers-BB Funds sheet (In step 5 "If **No**, proceed to step 7" was changed to "If **No**, proceed to step 8", added a new step 6 with 4 bulleted actions", existing step 6 was changed to step 7 and existing step 7 was changed to step 8) Y:\Re FSS Vendor SOP Inventory TO - (• DDA OL - Investigation DDA OL - Service Centers-RSP sheet (In step 5 "If **No**, proceed to step 7" was changed to "If **No**, proceed to step 8", added a new step 6 with 4 bulleted actions", existing step 6 was changed to step 7 and existing step 7 was changed to step 8) Y:\Re FSS Vendor SOP Inventory TO - (	Alan Kunkel	June 18, 2014	N/A
2.9	Revisions were made to the following section:	Alan Kunkel	July 7, 2014	N/A

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	• Appendix D: Service Centre Contact List (Revised contact name for transit number 05219 to include a contact specific to GL account number 9931015) Y:\RE Urgent Immediate Action Re			
3.0	Revisions were made to the following section: Investigation for SP – Items Received (Revised step 42 to include a bullet to enter details under Edit Item Exception to reduce the duplication of work)	Vincent Yuen	August 6, 2014	N/A
3.1	1. Revisions were made to the following section: • Posting to Client Account (added new step 8 – client identification table) Re: [FSS / Vendor SOP Inventor... 2. Revisions were made to the entire document to replace reference of Enterprise Finance Operations (EFO) to Finance Shared Services (FSS) with the exclusion of generic mailboxes and TLM functions.	Crystal Plant	August 15, 2014	1. N/A 2. GL386
3.2	Revisions were made to the following section: Investigation for SP – Items Received (Revised step 42 to include steps to send a message to the branch) RE FSS Vendor SOP Inventory T&O	Vincent Yuen	August 21, 2014	N/A

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3.3	Revisions were made throughout the SOP to update RBSDCCGBSCIncomingClearingDept@rbc.com to fssgbsc@rbc.com	Vincent Yuen	August 29, 2014	N/A
3.4	The following section has been created and inserted: Second Shift Review	Vincent Yuen	September 22, 2014	GL405
3.5	Revisions were made to the following sections: • Investigation for RFX – Other – (revised step 23) • Investigation for SP – Items Received (revised step 41 & step 53) • Aging Items Review (revised step 9) Re FSS Vendor SOP Inventory TO - GL03! FW FSS Vendor SOP Inventory TO - GL039 Re FSS Vendor SOP Inventory TO - GL03! Re FSS Vendor SOP Inventory TO - GL039	Nazel Palmer	September 24, 2014	N/A
3.6	Revisions were made to the following sections: • Investigation for SP – Items Received (updated steps 55, 59 and 60 to ensure accurate content is sent to service partners and proper reason and resolution code is documented) • Work Allocation Procedure (new section created) Refer to attached approved Addendum below for details	Crystal Plant	October 9, 2014	N/A
3.7	Revisions were made to the following section: • Appendix A: Procedure for Sending an Email (In step 4 added an If/Then table under the Then column for the scenario "If the recipient type is the Unit of the entry" as there is a specific email address required for transit numbers 00498, 01705, 14705 and 14852)	Alan Kunkel	November 7, 2014	N/A

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3.8	Revisions were made to the following section: • Investigation for SP – Items Received (updated steps 48, 60 and 90) • Second Shift Review (updated step 4) • Aging Items Review (updated step 8) Approval - FW CR Workshop Review.msg	Nazel Palmer	November 10, 2014	N/A
3.9	Revisions were made to the following section: • Investigation for SP – Items Received (in step 41 the bulleted action "enter the serial number (such as 5420mmddxxx [where xxx= sequential number starting with 001]) under the Local Serial Num field of the Lines section in PeopleSoft" was changed to "	Alan Kunkel	December 15, 2014	N/A (simple change)
4.0	Revisions were made to the following sections: • Investigation for SP – Items Received (updated the content in steps 60 & 90 (unbatched proof item)) • Second Shift Review (updated step 3 to include Unbatch session or proof)	Nazel Palmer	December 17, 2014	GL 438
4.1	Revisions were made to the following section: • Investigation for SP – Items Received (deleted steps 44 and 49, renumbered all "return to" and "proceed to" steps with the revised step numbers)	Alan Kunkel	January 14, 2015	GL 447

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4.2	Revisions were made to the following sections:	Alan Kunkel	January 15, 2015	N/A (simple changes)
	• Second Shift Review (deleted step 3 and renumbered all "proceed to" steps numbers in section, removed the content in step 4 and replaced it with reworded content to have consistency with the same steps in other sections of the SOP)			
	• Aging Items Review (in the table in step 8 deleted the scenario "If exception type is SP Items Received and the line item was pended for Proof Delay Notification or Proof processing delay) *Note*: This step is being deleted as these exceptions are no longer pended as per CR #GL 447			
	• Investigation for SP – Items Received (in steps 10 and 11 and 12 and 104 deleted the bulleted action "Send 1st request email to BUSINESS ENTITY" along with the steps after and replaced with steps to determine if the transit number of the line item under review is a branch with a BRXXXXE@rbc.com email address along with a new table, in the table in step 84 for the scenario "If the outstanding reason is bill payment posting error" deleted the bulleted action "Send 1st request email to BUSINESS ENTITY" and the Refer to note only and replaced with steps to determine if the transit number of the line item under review is a branch with a BRXXXXE@rbc.com email address along with a new table) *Note*: The business (Susan Boyle) requested that all exceptions in SP Items Received GL's for branch transits (retail units) be sent to her Generic mailbox O&CE - Lost Proof and not to the BRXXXXE@rbc.com email address The following new section was added: • Appendix J: Procedure to Determine if a Transit is a Branch *Note*: The steps were already indicated throughout the SOP and it was put in an appendix to avoid duplicating steps) (FSS) Change Requested - SP Item			

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4.3	Revisions were made to the following sections: • Investigation for Repair Session – update made to replace "inconufc@rbc.com" with BUSINESS UNIT • Appendix G: People Soft Entry Contact List – update made to replace MTL with MTG and to include enter "intcntrl@rbc.com" in the Address field in TLM for Eastern region transits	Vincent Yuen	February 2, 2015	N/A (simple changes)
4.4	Revisions were made to the following sections: • Appendix D Service Centre Contact List – update made to the contacts for Tr 7243 from "Carol Ashley" to "Nicole Ruivo" and the inclusion of Transit 7940	Vincent Yuen	February 3, 2015	N/A (simple changes)
4.5	Revisions were made to the following sections: • Appendix D Service Centre Contact List – update made to the contacts for Tr 02331 to Collections Operations Support Re FSS Vendor SOP Inventory TO - GL039	Vincent Yuen	April 15, 2015	N/A (simple change)
4.6	Revisions were made to the following section: • Appendix D: Service Centre Contact List (Unit Generic mailbox ID for transit number 1392 was changed from "Audit at SD Cards" to "Collections Operations Support") Re FSS Vendor SOP Inventory TO - GL039 FW Exception 7638165 GL Account	Alan Kunkel	April 21, 2015	N/A (simple change)
4.7	Revisions were made to the following section: • Appendix D: Service Centre Contact List (Unit Generic mailbox ID for transit number 2408 was changed from "CSG Montreal Quality" to "RD MTL -AUDIT" and added contact for transit number 8044)	Vincent Yuen	May 29, 2015	N/A (simple changes)

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4.8	Revisions were made to the following sections: • Appendix B: Specialized Service Centre Contact List (changed all references to "Collections Operations Support" to "Collection Admin Support (colladso@rbc.com) • Appendix D: Service Centre Contact List (same as above) RE Re EFO Agreement with Colle	Alan Kunkel	June 1, 2015	N/A (simple change)
4.9	Revisions were made to the following section: • Investigation for SP- Items Received - Step 35: Added a check for OFC and Unscannable GLs The following appendices were added: • Appendix K: Transits on OFC and Unscannable Suspense process • Appendix L: Reconciliation Procedure for OFC and Unscannable GLs	Shirin Sekhavati	June 3, 2015	GL 478
4.9	The following section was added to the SOP: • End User Computing: Excel Templates	Shirin Sekhavati	June 3, 2015	N/A (simple change)
5.0	Revisions were made to the following sections: • DDA OL - Investigation for DDA OL – Service Centers High Volume The following section was removed: • Appendix H: DDA Reconciliation Spreadsheet for transit 08943	Vincent Yuen	June 12, 2015	GL 480
5.1	Revisions were made to the following sections: • Appendix D: Service Centre Contact List (For Transit #14530 update the email contact from Jermilyn Diaz with Internal Control UFC.)	Vincent Yuen	June 22, 2015	N/A (simple change)
5.2	Revisions were made throughout the SOP to include the new steps related to the reconciliation for GL #990-396-4 (SUSP-SP ELECTRONIC BILL PYMT) as the process has moved to TLM.	Vincent Yuen	July 6, 2015	GL 483

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5.3	Revisions were made to the following section: • Appendix D: Service Centre Contact List – removed transit number 06416 as requested by Jagadeesh Madhukumar since the transit is not a Service Centre and has it's own ZZBR Generic mailbox ID	Alan Kunkel	July 13, 2015	N/A (simple change)
5.4	Revisions were made to the following sections: • Investigation for Visa - PSC and Visa - Other (Step 19 update proceed to step from 19 to 20) • Investigation for RFX – Other (Step 30 remove reference to Client ID and replace with Client Account Number) • Investigation for SP - Items Received (Step 49 remove reference to email the branch) RE: Change Request - Seven...	Vincent Yuen	July 20, 2015	N/A (simple change)
5.5	Revisions were made to the following sections: • Appendix D: Service Centre Contact List – removed the Cash Services Centre transit numbers 216, 508, 895, 1963, 1973, 2167, 2388, 2409, 2459, 3881, 4995, 5055, 5864, 6020, 6540, 6580, 6656, 6714, 6814, 7310, 7402, 8110, 8366, 9059, 9120, 9298, 9308, 9537, 9538, 9557, 9627, 9819 and 10037 • Appendix B: Specialized Service Centre Contact List – removed the Cash Services Centre transit numbers 1963, 1973, 2388, 895, 3881, 216, 2459, 6580, 8110, 9059, 9557, 9538, 8366 and 7402 Where there was a reference to the above the following was added "and the Cash Services Centre Transits list in the Service Partner Escalation Contact Lists section of the Cross Functional Processes SOP"	Alan Kunkel	August 10, 2015	N/A (simple change)

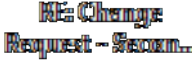| Version Number	Change Summary	Prepared or Updated By	Effective Date	Change Request Number
5.6	Revisions were made to the following sections: • DDA OL – B Payments and BB Funds Log Sheet Items – changed the name of this section to "DDA OL – Log Sheet Items, deleted the existing content in this section and replaced it with new content • DDA OL – DDA-COLT Items – in step 16 deleted the scenario "If the Exception Type is DDA OL - Service Centers-RSP sheet, in step 16 revised the Then column for the scenario "If the Exception Type under review is "DDA OL - Service Center-B Payment sheet OR DDA OL - Service Centers-BB Funds sheet OR DDA OL - Service Centers-RSP sheet The following section was deleted: • DDA OL – RSP Manual Postings and Loan Payment and Reversals Log Sheet Items	Alan Kunkel	September 1, 2015	GL 501
5.7	Revisions were made to the following sections: • Appendix D: Service Centre Contact List (Updated contact for Transit 07243 from Nicole Ruivo to nfdgapp@rbc.com) Change Request - Second Day Re...	Vincent Yuen	September 2, 2015	N/A (simple change)
5.8	Revisions were made to the following sections: • Aging Items (step 20 updated fax number for 00400 (Winnipeg) from 1-403-806-5219 to 1-877-216-4917 Change Request - Second Day Re...	Vincent Yuen	September 9, 2015	N/A (simple change)

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5.9	Revisions were made to the following sections: • Investigations for SP – Items Received – in steps 10, 11, 12, 84 and 104 the bulleted actions "Send 1st Request email to the O&CE - Lost Proof Generic mailbox" was changed to "Send the 1st Request email to the BRXXXXXE@rbc.com email address" as requested by Jason Lam and all instances of BRXXXXXE@rbc.com in these steps were changed to BRXXXXXE@rbc.com • Second Shift Review – in step 3 the bullet action "Send 1st Request email to the O&CE - Lost Proof Generic mailbox" was changed to "Send the 1st Request email to the BRXXXXXE@rbc.com email address" as requested by Jason Lam and all instances of BRXXXXXE@rbc.com in this step were changed to BRXXXXXE@rbc.com RE Supporting document to changes	Alan Kunkel	September 18, 2015	N/A (simple change)
6.0	Revisions were made to the following section: • Appendix J: Transits on OFC Suspense and Unscannable Suspense Process – deleted the existing excel file and replaced with a new file that contains transits 00608, 01560, 01635, 01860 and 05500 Change Request – Second Day Balancing	Alan Kunkel	September 22, 2015	N/A (simple change)
6.1	Revisions were made to the following section: • Appendix J: Transits on OFC Suspense and Unscannable Suspense Process – deleted the existing excel file and replaced with a new file that contains transits 08715, 05654, 00238, 01810, 02042, 02450 and 06820 Change Request – Second Day Balancing	Alan Kunkel	September 24, 2015	N/A (simple change)

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6.2	Revisions were made to the following section: • Appendix J: Transits on OFC Suspense and Unscannable Suspense Process – deleted the existing excel file and replaced with a new file that contains transits 00285, 00922, 01291, 04089, 04518, 05029, 05562, 05582, 05892 and 06829 Change Request - Second Day Balancing	Alan Kunkel	September 30, 2015	N/A (simple change)
6.3	Revisions were made to the following section: • Second Shift Review (included GL #910-918-2, 910-919-0, 923-448-5, 923-449-3 in step 2 and included steps for OFC for Unscannable GLs (923-448-5/910-918-2 or 923-449-3/910-919-0) to the table in step 4) Re: DF25 / Vendor SOP Inventor...	Vincent Yuen	October 2, 2015	N/A (simple change)
6.4	Revisions were made to the following section: • Appendix J: Transits on OFC Suspense and Unscannable Suspense Process – added the following transits 00124, 00332, 00459, 00519, 00744, 00844, 00846, 00894, 01090, 01622, 03920, 05200 and 01252 Change Request - Second Day Ba...	Vincent Yuen	October 6, 2015	N/A (simple change)

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6.5	Revisions were made to the following section: • Appendix J: Transits on OFC Suspense and Unscannable Suspense Process – deleted the existing excel file and replaced with a new file that contains transits 00027, 00229, 00262, 00533, 00819, 00838, 00897, 01402, 01437, 01522, 01594, 02087, 02160, 02189, 02240, 02602, 04160, 05030, 05207, 08049 and 08189 Change Request – Second Day Balancing	Alan Kunkel	October 15, 2015	N/A (simple change)
6.6	Revisions were made to the following sections: • Posting to Client Accounts (updated step 8 if the account number range start with 450 or 850 updated the client type from Business USD to Personal USD Change Request – Second Day Ra...	Vincent Yuen	October 22, 2015	N/A (simple change)
6.7	Revisions were made to the following section: • Appendix J: Transits on OFC Suspense and Unscannable Suspense Process – added the following transits: 122, 162, 202, 222, 267, 272, 319, 394, 402, 434, 440, 527, 549, 558, 560, 563, 573, 581, 629, 640, 662, 982, 1050, 1109, 1124, 1457, 1768, 2242, 1882, 4080, 7682, 7842 & 9107	Vincent Yuen	October 23, 2015	N/A (simple change)
6.8	Revisions were made to the following section: • Appendix J: Transits on OFC Suspense and Unscannable Suspense Process – deleted the existing excel file and replaced with a new file that contains transits 77, 113, 266, 322, 333, 477, 597, 657, 702, 792, 812, 847, 880, 993, 1120, 1144, 1248, 1297, 1307, 1325, 1492, 1554, 1614, 1662, 1730, 1922, 2091, 2105, 2164, 2370, 2552, 2562, 2640, 2941, 3631, 3692, 4219, 4330, 4541, 4817, 4942, 5727, 6112, 6231, 6527, 6662, 6752, 7722, 7760 and 8755	Alan Kunkel	October 28, 2015	N/A (simple change)

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6.9	Revisions were made to the following sections: • Investigation for SP – Items Received • Appendix K: Reconciliation Procedure for OFC and Unscannable GLs	Vincent Yuen	October 30, 2015	CR #GL512
7.0	Revisions were made to the following section: • Appendix J: Transits on OFC Suspense and Unscannable Suspense Process – deleted the existing excel file and replaced with a new file that contains the following transits: 00324, 00382, 00462, 00864, 04701, 05452 and 05502, 07332, 05654, 05409 and 8883 ✉ RE: Change Request – Secon...	Vincent Yuen	November 4, 2015	N/A (simple change)
7.1	Revisions were made to the following sections: • Aging Items Review – updates made to accommodate change to 2nd level escalation to O&CE Lost Proof Generic mailbox	Vincent Yuen	November 6, 2015	GL 510
7.2	Revisions were made to the following sections to reflect the removal of Appendix J: Transits on OFC Suspense and Unscannable Suspense Process • Investigation – SP Items Received • Appendix K: Reconciliation Procedure for OFC and Unscannable GLs The following section has been removed • Appendix J: Transits on OFC Suspense and Unscannable Suspense Process (Listing has been moved to the Cross Functional SOP)	Vincent Yuen	December 12, 2015	GL 514
7.3	Revisions were made to the following section: • Appendix G: People Soft Entry Contact List – in step 1 the detailed bulleted action to retrieve the GLONLED report in OnDemand were replaced with a single bulleted action and Refer to note	Alan Kunkel	December 24, 2015	GL 509

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7.4	Revisions were made to the following section: - DDA OL – Investigation for DDA OL – Service Centers High Volume – in step 6 addition of TR 01705 & 00358 in the decision table on how to proceed based on their transit number - Appendix A: Procedure for Sending an Email – in step 4 removal of transit number 01705 from the decision table - Appendix D: Service Centre Contact List – TR 01705 & 00358 contact change from Internal Control 3 to Internal Control UFC RE Change Request - DB-SUSP-2nd-Day-	Elaine Ko	April 14 2016	GL 530
7.5	Revisions were made to the following sections: • Topic List – new line added for escalation procedures for SOX GL accounts. • Escalation Procedures – SOX General Ledger (GL) Accounts – new section added	Tiffiny Fredericks	August 15, 2016	GL 576
7.6	Revisions were made to the following section: • Second Shift Review – the section was updated to include all GLs (SP Items Received, SP Repair, DDA OL, Visa, RFX GL, and EBP) when reviewing cleared differences and differences that need to be raised to the Service Partner.	Tiffiny Fredericks	August 18, 2016	GL 579
7.7	Revisions were made to the following sections: • Investigation for 2nd Day Balancing Write-offs – step 14 udpated with steps for determining whether a transit's <$50 items is eligible for write-off, based on DICE or non-DICE categorization. • Topic List – updated with new SOP section. The following section was added to this SOP: • Appendix K: DICE Transit Listing	Tiffiny Fredericks	November 17, 2016	GL 625

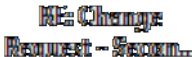# DB-SUSP-2ND-DAY-BAL Standard Operating Procedure (SOP)

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7.8	Revisions were made to the following sections: • DDA OL – Investigation for DDA – OL Branch: step 13 – remove the "important" step and add "Refer to the Appendix D: Service Centre Contact List"	Elaine Ko	November 21, 2016	N/a
7.9	Revisions were made to the following sections: • Appendix D: Service Centre Contact List – the email contact for transit 02231 was changed from Collections Admin Support (colladso@rbc.com) to Collections – Montreal (collmtl@rbc.com) PW: 2nd Day Balancing....ATT...	Tiffiny Fredericks	May 24, 2017	N/A (simple change)
8.0	Revisions were made to the following section: • Investigation for Repair Session – in step 4 for the scenario "If the transaction type is Cheque Received or Sundry Credit" the existing action was removed and detailed steps added, in step 5 for the scenario "If the transaction was not posted or posted twice" added step to include additional details in the Source System Reference, and in step 9 added a new scenario for "Cheque Duplicated"	Alan Kunkel	May 24, 2017	GL 715

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8.1 (1)	Multiple changes were made throughout the document as a result of the upgrade from TLM version 2.2 to TLM version 2.5 The changes were made by Capgemini and reviewed/approved by FSS Global Reconciliation Services, and then approved change request was sent to the FSS Onboarding and Change Management team on December 14/17 to: • Confirm if any changes were made to the document while Capgemini was making the TLM 2.5 changes; if there were then those changes were to be added into the document received by Capgemini • Accept Capgemini's tracked changes in the document • Assign a change request number • Publish the updated document to SharePoint *Refer to the CR for the SOP with tracked changes and approvals from FSS Global Reconciliation Services and Capgemini	Alan Kunkel	December 14, 2017	GL 773
8.1 (2)	Revisions were made to the following sections: • Appendix B: Specialized Service Centre Contact List – list updated with Advice Centre/EAC transits • Appendix D: Service Centre Contact List – list updated with Advice Centre/EAC transits • Appendix H: Transits Not Eligible for Write-Offs – list updated with Advice Centre/EAC transts FW: Advice Centre/ EAC Co...	Tiffiny Fredericks	December 14, 2017	N/A (simple change)
8.2	Revisions were made to the following section: • Appendix D: Service Centre Contact List – email contact update and minor formatting change	Tiffiny Fredericks	December 22, 2017	N/A (simple change)
8.3	Revisions were made to the following section: • Appendix A: Procedure for Sending an Email – in step 1 added an If/Then table, added new step 10 to 16	Alan Kunkel	December 27, 2017	GL 782

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8.4	Revisions were made to the following sections: Appendix D – Service Centre Contact List – removed note about Adj#2 for Advice Centre/EAC transits	Tiffiny Fredericks	January 23, 2018	N/A (simple change)
8.5	The following changes were made: • Deleted High Level Process Map section • Added Document Review Schedule section • Moved Reviewer and Approver Block and Revision History sections to the end • Added Header • Required Applications and Systems – added All Transaction File (ATF) • High Level Process Overview – in the table added GL's 923-450-1 and 910-920-8 • Matching – in step 5 the return to and proceed to step changed • Appendix I: Procedure to Determine if a Transit is a Branch – in step 1 changed the URL	Alan Kunkel	April 25, 2018	N/A (simple changes)
8.6	The following changes were made: • All steps that included references to "Determine if the transit number of the line item under review is a branch with a BRXXXXXE@rbc.com email address" were amended to include an action to check to see if the transit belongs to Commercial Financial Services • Appendix D: Service Centre Contact List – deleted transits 367, 2311, 2859, 3541, 3561, 4610, 5023, 5908, 5913, 7505, 8506, 8596, 13365, 14913 as these transits belong to Commercial Financial Services and the contact names are listed in the Cross Functional Processes SOPs FW Change Request - Cross Fun	Alan Kunkel	May 22, 2018	N/A (simple changes)
8.7	The following change was made: • Scope – added GLs 900-175-1 and 990-426-9 to Scope Exclusions (these are out of scope for the vendor and are the responsibility of FSS Global Reconciliation Services)	Alan Kunkel	May 24, 2018	GL 821

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8.8	The following changes were made: • Investigation for Visa – Cash Operations – in step 10 added "using your Q ID" after "Access OnDemand, also in step 10 "PGEEPSRP-TOR-GE00" was changed to "PSEYPSRP-TOR-SEY0" and "PGEEPSRP-MTL-GE00" was changed to "PSEYPSRP-MTL-SEY0" and "PGEEPSRP-VAN-GE00" was changed to "PSEYPSRP-VAN-SEY0" and "TORGE716" was changed to "TORSEY0" and "PGE/PGEE" was changed to "PSEY", in steps 11 12 and 13 "PGEE" was changed to "PSEY" FW Change request for Investigation for	Alan Kunkel	July 5, 2018	N/A (simple changes)
8.9	The following changes were made: • DDA OL– DDA-COLT Items – in step 16 the transits for Proceed to DDA OL – Matching DDA Transactions by Amount were moved to DDA OL – Matching DDA Transactions by Client Account and vice-versa RE Domestic Banking (DB) SOP R	Alan Kunkel	August 20, 2018	N/A (simple change)
9.0	The following changes were made: • Investigation for Visa – Other section was renamed to Investigation for Visa – Other CAD (GL 9918863) • Added new section Investigation for Visa – Other USD (GL 9004748) • Aging Items Review – in the table in step 8 for the scenario "If the GL is 9918863 Tranist – ……" added OR 9004748	Alan Kunkel	November 1, 2018	GL 848

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9.1	The following changes were made: • Document Review Schedule – added October 23/18 review and "This document will be reviewed semi-annually between:" was changed to "This document will be reviewed semi-annually by the Vendor between:" • High Level Process Overview – in the table for GL Numbers 991-670-1 and 900-383-1 added the category and account sets • DDA OL- DDA-COLT Items – in the table in step 16 moved transit 02866 from "Proceed to DDA OL – Matching DDA Transactions by Amount" to "Proceed to DDA OL – Matching DDA Transactions by Client Account" • Investigation for RFX – P and T Transit – in step 4 changed "RFX P And T" to "2ND DAY ITEMS" • Investigation for RFX – Other Transits – in step 4 changed "RFX Other" to "2ND DAY ITEMS" • Investigation for SP – Items Received – in step 4 changed "SP Items Received" to "2ND DAY ITEMS" • Investigation for SP – Repair GL – in step 4 changed "SP Repair" to "2ND DAY ITEMS" • Investigation for Visa – Cash Operations – in step 4 changed "Visa CashOps" to "2ND DAY ITEMS" • Investigation for Visa – Other CAD (GL 9918863) – in step 4 changed "Visa PSC or Visa Other" to "2ND DAY ITEMS" • Investigation for Visa – Other USD (GL 9004748) – in step 4 changed "Visa PSC or Visa Other" to "2ND DAY ITEMS" • Investigation for SP – Electronic Bill Payment GL – in step 4 changed "Electronic Bill Payments" to "2ND DAY ITEMS" • Aging Items Review – in step 26 changed "2nd Day Balancing Write-offs" to "2ND DAY ITEMS" • Appendix A: Procedure for Sending an Email – in the table in step 2 changed "iGate" to "Vendor" *_Refer to_ the Document Review Schedule section (October 23/18 review) for the email correspondence	Alan Kunkel	November 8, 2018	N/A (simple changes)

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9.2	The following • Appendix D: Service Centre Contact List – contact for transit 14852 was changed from "Moncton RD Internal Control" to "Moncton RD EBP Escalations" Change request for email Address of Tr	Alan Kunkel	January 24, 2019	N/A (simple change)
9.3	The following changes were made: • Investigation for Visa GL – revised the table to include GL numbers 9004748 and 9918863 • Investigation for Visa – Cash Operations – deleted step 6 • Investigation for Visa – Other CAD (GL 9918863) – deleted step 6	Alan Kunkel	February 25, 2019	GL 880
9.4	The following change was made: • Appendix D: Service Centre Contact List – changed contacts for transit 9211 Change request for email Address of Tr	Alan Kunkel	March 20, 2019	N/A (simple change)
9.5	The following changes were made: • Investigation for RFX - Other Transits 0- in step 10 deleted the action to select the reason and resolution codes and replaced with revised actions and added the question "Is the transit of the exception 06468?" followed by a new table and in step 13 added the question "Is the transit of the exception 06468?" followed by a new table • Investigation for RFX – Contact Center Transit – in the table in step 24 added the outstanding reason SC BILL REV and deleted the action to pend the entry for 1 business day and replaced with action to pend for 5 business days • Appendix D: Service Centre Contact List – revised contacts for transits 00378, 01854, 02408, 05218, 06468 and 09168	Alan Kunkel	March 26, 2019	GL 893

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9.6	The following changes were made: • Document Review Schedule – added April 10/19 review • Multiple sections – the actions to create splits were updated to no longer indicate to update the Source System Reference and Matching Reference fields in the Item Create Split tab and now indicate to enter the details in those fields within the Edit Item Exception window	Alan Kunkel	April 29, 2019	GL 903
9.7	The following changes were made: • Aging Items Review – in the table in step 20 merged 00100 (Halifax) and 00200 (Quebec/Montreal), merged 00400 (Winnipeg) and 00500 (Calgary) and 00600 (Vancouver) and changed fax number to 1-877-216-4917"	Alan Kunkel	May 30, 2019	GL 911
9.8	The following changes were made: • Scope – Added transit 02224 for GLs 900-490-4 and 993-101-5 • Investigation for RFX - Other Transits – in step 7 added the question "Are any of the items in Symcor transit 2224?" followed by a table	Alan Kunkel	June 10, 2019	GL 917

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9.9	The following changes were made: • Appendix A: Procedure for Sending an Email – entire section revised to incorporate the revised Cash Services Centre (CSC) escalation process for 1st and 2nd level Requests and the section will now include all inquiries done to determine who to send the email to (such as a branch or Commercial Financial Services) instead of having that include through the SOP (therefore all references to determining if a transit belongs to Commercial Financial Services or if the transits is a branch has been deleted • All references to "Send 1st request email to BUSINESS ENTITY" were changed to "Send 1st Request email type" • Several references to "Send 1st request email to THIRD PARTY" were changed to "Send 1st request email type" and proceeding action and refer to note were deleted and other references were amended to include "recipient and enter the applicable @rbc.com email address in the Address field" or "the inputter's @rbc.com email address" (and the proceeding action was deleted) • Some references to "send 2nd request email to BUSINESS ENTITY" were changed to "send 2nd Request email type" • Appendix B: Specialized Service Centre Contact List and Appendix D: Service Center Contact List – removed all CSC transits that are in the Cash Services Centre Escalation Contact list in the Cross Functional Processes SOP Refer to the change request for complete details of the changes	Alan Kunkel	September 9, 2019	GL 947
10.0	The following changes were made: • Document Review Schedule – added September 20/19 review, "This document will be reviewed semi-annually by the Vendor between: March and April, September and October" was changed to "This document will be reviewed annually in September by the Vendor", the Note for the April 24/18 review was changed to indicate date changes were made and added Note after section	Alan Kunkel	September 20, 2019	N/A (simple changes)

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10.1	The following changes were made: • Escalation Procedures – SOX General Ledger (GL) Accounts – added Note after table • DDA OL - Investigation for Branch Unit – in table in step 22 for IRIS row deleted action to select arrow button and also removed "stamp" after "determine source transit", in step 24 deleted all actions after "Select Save" (related to Exception tab and question about source transit on IRIS image) and added "*Trace # [insert trace number] was processed to transit number [insert transit number. But no client transaction was processed to client account number [insert client account number].*" and in step 25 deleted actions to send email and replaced with actions to select R&R and pend • Aging Items Review – in table in step 8 for GL 9909359 / 9003419 added "and IRIS entry) and in table in step 17 for Eastern or Western region row deleted "2 times" in question	Alan Kunkel	October 23, 2019	GL 965
10.2	• Appendix H: Transits not Eligible for Write-offs - removed Transit 9211 is to be from tab GLs 9931015, 9004904	Alan Kunkel	February 27, 2020	GL 1006
10.3	• List of Exception types – added details for MFRP Repair Session GLs before table • Appendix A: Procedure for Sending an Email – in step 4 added 08741 Env MFRP Repair Sessi n.msg	Alan Kunkel	June 9, 2020	N/A

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10.4	Multiple changes were made throughout the document (Refer to Change Request for complete details)	Alan Kunkel	July 15, 2020	GL 1031

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10.5	• All references to "***Refer to*** TLM Reason and Resolution Code Inventory in the Systems Application Guide for detailed instructions" were changed to "***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions" • All references to "select the Exception Reason and Exception Resolution Code use the TLM Reason and Resolution Code Inventory spreadsheet to identify the required codes ***Refer to*** the TLM Reason and Resolution Code Inventory in the Systems Application Guide for detailed instructions" were changed to "Select the applicable reason and resolution codes ***Refer to*** Transaction Lifecycle Management (TLM) System Guide for detailed instructions • All references to "***Refer to*** the Systems Application Guide SOP for instructions on how to use this application." After "Access TLM" were deleted • Deleted "***Refer to*** the Systems Application Guide SOP for instructions on how to use this application." after "Access OnDemand", "Access Service Platform", "Access Siebel", "Access Sales Platform" & "Access PeopleSoft (and added hyperlink for Siebel, Sales Platform & PeopleSoft) • "Access IRIS ***Refer to*** the Systems Application Guide for instructions on how to access this system Perform a Single Account Image search ***Refer to*** the IRIS Single Account Image Search section in the Systems Application Guide" was changed to "Access IRIS and perform a Single Account Image search ***Refer to*** Image Retrieval System (IRIS) Guide • "***Refer to*** the Procedures to Retrieve the PeopleSoft Online Entry Detail Report – By Operating Unit (GLONLED) Report section in the Systems Application Guide" was changed to "***Refer to*** OnDemand System Guide"	Alan Kunkel	August 14, 2020	N/A

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10.6	Add steps to send email to poster of Service Platform entries that belong to a non-branch transit that we have no email contact for. In addition to that, some of the email steps throughout the SOP were standardized and revised to make them clearer and consistent throughout.	Alan Kunkel	November 23, 2020	GL 1061
10.7	Changed FSS SUPPORT/ESCALATIONS inbox to FSS DB ESCALATIONS RT_TEMInbox Name Change.eaTmsg	Donnesha Seymour	April 9, 2021	N/A

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10.8	• Appendix B: Specialized Service Centre Contact List – deleted all transits under ROYAL DIRECT (all transits with Yanly Lai are included in Appendix D: Service Centre Contact List and the other transits are included in the Expert Advice Centre (EAC) Processes SOP) • Appendix D: Service Centre Contact List – deleted transits 1232, 6410, 7428 & 14852 as they are not part of Royal Direct (Advice Centre/EAC) and also deleted all transits with 1st contact Customer Service Group, MTL & Moncton RD Internal Control as they are included in the Expert Advice Centre (EAC) Processes SOP • All steps that include Refer to Appendix B: Specialized Service Centre Contact List & Refer to Appendix D: Service Centre Contact List were revised to also include referring to the Expert Advice Centre (EAC) Processes SOP [document icon] *PDF Upgrading E-Mail Accounts with PSS.msg*	Alan Kunkel	August 31, 2021	N/A
10.9	Appendix D: Service Centre Contact List – deleted all transits with 1st contact Yanly Lai [document icon] *PDF Upgrading E-Mail Accounts with PSS.msg*	Alan Kunkel	September 1, 2021	N/A

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11.0	Appendix D: Service Centre Contact List – transit 5409 contact changed from Estates Toronto PSC to ECE (ECE@rbc.com) SOP change request for email sender .docx	Alan Kunkel	May 9, 2023	N/A
11.1	Scope – added transit 5420 to scope exclusions for GLs 900-173-6, 990-430-1, 900-174-4, 990-428-5, 900-341-9, 990-935-9, 900-474-8, 991-886-3 & 990-396-4 Second Day Balancing GLs for... Second Day Balancing GLs for...	Alan Kunkel	May 25, 2023	N/A
11.2	Scope – for scope exclusions removed the GLs 900-173-6, 990-430-1, 900-174-4, 990-428-5, 900-341-9, 990-935-9, 900-474-8, 991-886-3 & 990-396-4 and just left the transit as all GLs for it are now out of scope for IBM DT Second Day Balancing SOP - Trans	Alan Kunkel	June 1, 2023	N/A
11.3	DDA OL - Investigation for Branch Unit – in step 45 added contacts for O-L DDA entries RE_ Change request for 2nd day balancing... Change request for 2nd day balancing .ms	Alan Kunkel	November 27, 2023	N/A
11.4	• Investigation for RFX GL – deleted transits 378, 1854, 2408, 5218 & 9186 and replaced with transit group CONTACT CTR-SERVICE CTR-XXX or CONTACT-CTR-XXXX • Investigation for RFX – Contact Center Transit – in step 30 added action "Determine if transit belongs to Expert Advice Centre • Investigation for RFX - Other Transits – in step 42 added action Is source system of entry RFX?	Alan Kunkel	February 26, 2024	GRS2024-006

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Document Review Schedule

This document will be reviewed annually by the Vendor

Date Review Completed	Email Confirmation
September 20, 2019	RE Offline SOP Review Required by
April 10, 2019	SOP Review - DB-SUSP-2ND-DAY-E *Note*: The changes were made on April 29/19
October 23, 2018	RE COMPLETED RE Domestic Banking (I *Note*: The changes were made November 8/18
April 24, 2018	RE Domestic Banking (DB) SOP R *Note*: The changes were made on April 25/18

Note: Effective September 20/19 the frequency was changed from semi-annually to annually in September as all SOP reviews will only be done annually

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