

**ENROLLMENT INSTRUCTIONS
ELECTRONIC FUNDS TRANSFER (EFT) SERVICES
CONTRACT NUMBER 14-05001**

PURPOSE

The Office of the State Controller entered into a new Master Services Agreement (MSA) with Wachovia Bank on October 1, 2005, for ACH services. The purpose of this document is to:

- Provide new participants with instruction on how to enroll under the new contract
- Provide current participants with instructions on how to add additional ACH applications

SECP WEBSITE INFORMATION

Eligible entities desiring to become participants under the new MSA should review all the information contained on OSC's Website. The steps to become a participant will depend largely on the method(s) the entity will be using to transmit ACH transactions to Wachovia Bank, the Originating Depository Financial (ODFI). Additionally, consideration must be taken regarding the direction of the payments: 1) Outbound (ACH Credits); 2) Inbound (ACH Debits). The power point presentation entitled <http://www.ncosc.net/SECP/EFT-Enrollment.ppt> should be viewed.

There are two Project Implementation Plans to assist an entity in enrolling in the program.

- Entity that will be using the services of the Common Payment Service (CPS) gateway
 - Transaction by transaction – Using Application Program Interface (API)
 - Batch Method – Agency creates its own ACH formatted file
- Entity that will be not be using CPS as gateway. Solutions involve:
 - Transmission directly to Wachovia – Via FTP or VAN
 - Transmission directly to Wachovia – WebAchieve Solution
 - Transmission to Wachovia – Using a third-party data collection center (DCC)

The plans can be viewed at the following sites:

<http://www.ncosc.net/SECP/CPSImplementationProjectPlan.xls>

<http://www.ncosc.net/SECP/ElectronicPaymentsImplementationProjectPlan.xls>

CONTRACT COMPONENTS

It is important that participants read and understand the contract before executing the Agency Participation Agreement (APA). The APA should be executed by the chief fiscal officer.

The contract, as represented by Wachovia Bank's Best and Final Offer (BAFO), is the result of the State's negotiations with Wachovia, and the vendor's response to the State's Request for BAFO document. The contract is published on OSC's Website: <http://www.ncosc.net/SECP/EFT-MSA2005.pdf>

Wachovia's fee schedule can be viewed at: http://www.ncosc.net/SECP/Fee_Schedule.pdf

NACHA OPERATING RULES

As a condition of participating under the contract, entities are required to comply with the Operating Rules published by the National Automated Clearing House Association (NACHA). The Operating Rules can be obtained from NACHA. Refer to the NACHA Website - under Publications: <http://www.nacha.org/> .

The Standard ACH Format, with Wachovia's customized info, is available from OSC's SECP Website:

http://www.ncosc.net/SECP/WB_ACH_FORMAT.DOC

E-COMMERCE POLICIES

As a condition of participating under the contract, entities are required to adhere to all Electronic Commerce Policies promulgated by the Office of the State Controller (OSC). The policies can be viewed at: http://www.ncosc.net/SECP/SECP_Policies.html .

The entity should incorporate the applicable policies into its "Internal Policies and Procedures" document.

See template: <http://www.ncosc.net/SECP/InternalPoliciesProcedures-ACH.doc>

FORMS

Following is a list of forms that an entity must complete in order to enroll in the MSA:
http://www.ncosc.net/SECP/SECP_EFT_Enrollment.html

- **Agency Participation Agreement (APA)** - Submit four signed originals. Note: An entity only needs to execute one APA. After execution by all parties, a copy will be returned to the entity. If adding additional applications, a new APA does not have to be executed.
- **EFT Participant Setup Form** - Note: If multiple ACH applications, a separate Participant Setup is required for each application.
- **EFT WebAchieve Setup Form** - Complete only if WebAchieve is the method to be used to transmit ACH files to Wachovia.
- **Wachovia Connection UserID Change Form** – Form not to be used for initial enrollment, as Wachovia Connection user information is included on the EFT Participant Setup Form. Use this form only if making changes.
- **Internal Policies and Procedures Template** – Prior to final deployment of project, the entity should prepare an Internal Policies and Procedures document. The document is useful in addressing policies from both the security and the business areas. A new document does not necessarily have to be completed if a new ACH application is being added, unless the new application requires changes in the participant's existing policies and procedures document.

COMMON PAYMENT SERVICE (CPS) FORMS

Should CPS be utilized, additional forms are required to be completed. These forms can be found at:
http://www.ncosc.net/SECP/SECP_CPS_Enrollment.html

MORE INFORMATION

More information can be found at the following link: http://www.ncosc.net/SECP/EPP_Index.html
Questions should be addressed to OSC's Support Services Center, telephone (919) 875-HELP (4357).

External resources sites can be viewed at: http://www.ncosc.net/SECP/SECP_Resources.html