

<b>FEDLINE WORK PROGRAM</b>		
<b>IX. FEDLINE WIRE TRANSFER</b>	<b>W/P Reference</b>	<b>Comments</b>
<b>WORKSTEPS</b>		
9.1 Obtain a screen print of the "misc. security settings" screen ( <i>Option #99 on Local Administration (LA) menu</i> ) (9.6)		These five worksteps are self-explanatory. Worksteps 9.6 and beyond will indicate if the system is properly secured and operated.
9.2 Obtain a "User-id Status Report" ( <i>Option #60 on (LA) menu - type "all" to get all users</i> )		
9.3 Obtain a "User/Access Report" ( <i>Option #65 on (LA) menu - press "enter" key for all users</i> ) (9.7)		
9.4 Obtain a screen print of the "verify fields" screens ( <i>Option #93 on Fund Transfer (FT) menu of manager</i> ) ( <i>structured, structured drawdown &amp; non-structured</i> ) (9.8)		
9.5 Obtain a screen print of the "verify threshold" screen ( <i>Option #96 on Fund Transfer (FT) menu of manager</i> ) (9.9)		
<b>RELATED QUESTIONS</b>		
9.6 Are the miscellaneous security settings set correctly: a. user id will be suspended after 3 or less tries? b. user must change password every 30 days or less? c. is verification rule set to "U" or "E"? d. is override & release rule set to "U" or "E"? e. is timeout interval set to 10 minutes or less? f. is cycle rollover set to "F" for full?		<p>These are generally self-explanatory. If the verification rule is set to "U" or "E", a second FedLine user must log on to send an outgoing wire. If the override/release rule is set, a user with supervisory/manager level access must validate and send an outgoing wire.</p> <p><i>FULL</i> - Prints a full recap report of the previous days wire transfers before they are deleted by the "cleanup cycle / date mode change" program.</p> <p><i>SUMMARY</i> - Prints an abbreviated report of the previous days wire transfers before they are deleted by the cleanup cycle date mode change program.</p>

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9.7	<p>Does the "User/Access Report" :</p> <ul style="list-style-type: none"> <li>a. show the staff member(s) assigned as Local Security Administrator has(have) the proper Local Administration (LA) application security setup?</li> <li>b. show that no one has more than one user id?</li> <li>c. show there are no more than two staff members assigned as Local Security Administrators?</li> <li>d. show that no one has the Funds Transfer (FT) "Supervisor" or "Manager" function on a continuing basis?</li> <li>e. Show that no one other than the Local Security Administrator(s) has(have) the Local Administration (LA) application?</li> </ul>		<p>The LA will probably have full access to the system in most small banks. The rest of these are generally self-explanatory. In almost all small banks, some staff have the "Supervisor" and/or "Manager" functions. This is not necessarily a problem if balancing is properly separated. Also, the bank can have a second person initial the FedLine output to validate an outgoing wire was correct as opposed to making a second person log on to send a wire.</p>
9.8	Do the three "verify fields" screens reflect the amount field has an "X" noted?		This will indicate that a second person will need to log on to send a wire.
9.9	<p>Does the "verify threshold" screen reflect:</p> <ul style="list-style-type: none"> <li>a. the verify threshold is set to "0.00"?</li> <li>b. if the verify threshold is greater than 0, this amount has been approved by the Board of Directors and noted Board minutes?</li> </ul>		<p>This indicates a second person will need to log on to send a wire. Any amount over zero indicates that one person can send wires below that amount. The board should approve that risk level annually.</p>
9.10	<p>General Controls</p> <ul style="list-style-type: none"> <li>a. is the "Master" password stored in a sealed envelope in a secure location in case the Local Security Administrator(s) is(are) not available?</li> <li>b. are the Fedline configuration and software diskettes stored in a secure location and available only to the Local Security Administrator?</li> <li>c. does the FEDLINE PC have a power-on password option?</li> </ul> <p>If yes:</p> <ul style="list-style-type: none"> <li>1. is it activated?</li> <li>2. is this password restricted from the Local Security Administrator(s)?</li> </ul>		<p>These are self-explanatory.</p>
9.11	Does the bank have a method for sending/receiving wire transfers in the event of equipment failure or if they must operate at a different site?		