OTCnet℠

Deposits Made Simple

Chapter 1: Introduction to OTCnet and Overview of Participant User Guide Content

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Topics 1
Topic 1. Introduction to OTCnet 2
Overview 2
OTCnet Elements 3
OTCnet Process Flow: Check Capture, Check Processing and Reporting 3
OTCnet Process Flow: Deposit Processing and Reporting 6
OTCnet End Users 7
Topic 2. Overview of OTCnet Participant User Guide Content 20
Introduction 20
Administration Participant User Guide 20
Deposit Processing and Reporting Participant User Guide 22
Check Capture, Check Processing and Reporting Participant User Guide 23
Summary 25
Glossary 26
Index 40

LIST OF TABLES

Table 1. FedACH and Check 21 5
Table 2. OTCnet Agency and Financial Institution User Roles Guide 9
Table 3. OTCnet Agency Deposit Processing User Roles 12
Table 4. OTCnet Agency Check Capture User Roles 14
Table 5. OTCnet Financial Institution User Roles 15
Table 6. Deposit Processing and Reporting Roles 15
Table 7. Check Capture Roles 17
Table 8. Check Processing and Reporting 18
Table 9. Administration Chapters 20
Table 10. Deposit Processing Chapters 22
Table 11. Check Capture and Check Processing Chapters 23

LIST OF FIGURES

Figure 1. OTCnet Elements 3
Figure 2. Check Capture, Check Processing and Reporting Process Flow 6
Figure 3. Deposit Processing and Reporting Process Flow 7
Figure 4. User Roles 8

Audience, Overview and Topics

Audience

The intended audience for the *Introduction to OTCnet and Overview of OTCnet Participant User Guide Content* includes:

- Administration Users
- Deposit Processing and Reporting Users
- Check Capture, Check Processing and Reporting Users
- Viewers

Overview

Welcome to *Introduction to OTCnet Overview and OTCnet Course Content.* In this chapter, you will learn:

- The introduction to OTCnet
- The overview of OTCnet participant user guide content

Topics

This chapter is organized by the following topics:

1. Introduction to OTCnet
2. Overview of OTCnet Participant User Guide Content

Topic 1. Introduction to OTCnet

Overview

The Financial Management Service (FMS) Over the Counter Revenue Collection Division (OTCD) provides Over the Counter Channel Application (OTCnet℠) financial services to facilitate the prompt electronic processing and reporting of deposits and transaction activity. OTCnet financial services include retail transactions made at agency offices, face-to-face collection points, and point of sale (POS) locations throughout the US and abroad.

The OTCD oversees the systems, networks, and program infrastructure which enables us to provide world class OTCnet financial services to include the collection of checks, cash and coins transacted at agency POS locations around the globe. The OTCD is responsible for implementing a coordinated government wide strategy for the collection of over the counter transaction and deposit activity (cash, card, check, foreign checks/currency, seized currency), and the transition from paper checks to electronic mechanisms.

OTCnet financial services is a secure web-based system combining the functionality and features of two former applications, Paper Check Conversion Over the Counter (PCC OTC), which electronically processed US checks presented for cashing or payment; and Treasury General Account Deposit Network (TGAnet), which processed US currency, foreign currency cash and foreign check item deposits. OTCnet financial services offers agencies superior customer service and high quality e-commerce solutions for collections and reporting needs.

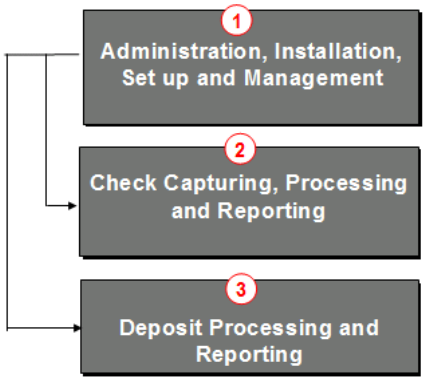
OTCnet financial services will:

- Electronically process US checks presented for cashing, payment or deposit
- Process US currency, foreign currency cash and foreign check item deposits
- Automate the collection and settlement process
- Provide online reporting and research capability for reconciliation and inquiries
- Improve deposit history record keeping

OTCnet Elements

OTCnet is comprised of three elements; (1) Administration, (2) Check Capture, Check Processing and Reporting and (3) Deposit Processing and Reporting. The Administration element is a component of the Check Capture, Check Processing and Reporting as well as Deposit Processing and Reporting, as demonstrated in Figure 1 below.

Figure 1. OTCnet Elements



The three elements of OTCnet are defined as follows:

1. **Administration** allows for those with administrative permissions to install, setup users, and manage OTCnet
2. **Deposit Processing:** permits Federal agencies the ability to create and submit deposits for confirmation. This platform also allows for Financial Institutions to confirm those deposits and create adjustments electronically. Deposits can be created for US currency, foreign cash and foreign check items
3. **Check Capturing, Check Processing:** converts personal and business checks into electronic fund transfers. Transactions can be consumer, consumer accounts receivable, and business transactions.

OTCnet Process Flow: Check Capture, Check Processing and Reporting

Check Capture and Check Processing involves converting paper checks received over the counter or through the mail into electronic debits to the check writer's account. The process is highly automated and greatly improves the collection, reconciliation, research and reporting processes associated with Federal Agency check collections.

In OTCnet, your Agency uses a scanner to capture the front and back of each check. In OTCnet Online, the image is available immediately; in OTCnet Offline, the image is stored locally. You can also access Transaction Reporting System (TRS) to retrieve deposit information.

The captured image of the check is stored for seven years in OTCnet. You can search the check images as well as the check capture and transaction data throughout the CIRA (Check Image and Research Archive) Query feature within OTCnet.

OTCnet sends deposit voucher information to TRS. TRS sends accounting entries with Treasury Account Symbol/Business Event Type Code (TAS/BETC) or Classification Keys (C-Keys) to Central Accounting Reporting System/Government Wide Accounting (CARS/GWA). CARS/GWA invokes Shared Account Module (SAM) to validate, translate or default the TAS/BETC based on the accounting information received on the transaction.

OTCnet sends captured check data to Debit Gateway at the Federal Reserve Bank Cleveland(FRB-CL), who then sends the data to the appropriate Financial Institutions (FIs) either through FedACH (personal check) or Check 21 (non-personal check) where the check was written. Table 1 below identifies acceptable forms of FedACH and Check 21 payment types.

Note: OTCnet only captures TAS strings and C-Keys in Release 1.3.

What is ACH?

The ACH Network is a nationwide batch-oriented electronic funds transfer system governed by the NACHA (National Automated Clearing House Association) operating rules which provide for the interbank clearing of electronic payments for participating depository financial institutions. The Federal Reserve and Electronic Payments Network act as ACH Operators, central clearing facilities through which financial institutions transmit or receive ACH entries. ACH payments include:

- Direct Deposit of payroll, Social Security and other government benefits, and tax refunds;
- Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums;
- Business-to-business payments;
- E checks;
- E commerce payments;
- Federal, state and local tax payments.

What is Check 21?

Check 21, also known as ‘Check Clearing for the 21st Century’ Act, was signed into law on October 28, 2003. Provisions of the law took effect on October 28, 2004. It is important to understand the effects of Check 21 on OTCnet. Check 21 provides the legal framework for the creation of substitute checks, which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. To meet legal requirements, a substitute check must:

- Contain an image of the front and back of the original check.
- Bear a legend that states, “This is a legal copy of your check. You can use it the same way you would use the original check.”
- Display a MICR line containing all information appearing on the MICR line of the original check.

- Conform in paper stock, dimension, and otherwise, with generally applicable industry standards for substitute checks.
- Be suitable for automated processing in the same manner as the original check.

Note: All non-personal items are processed via Check 21.

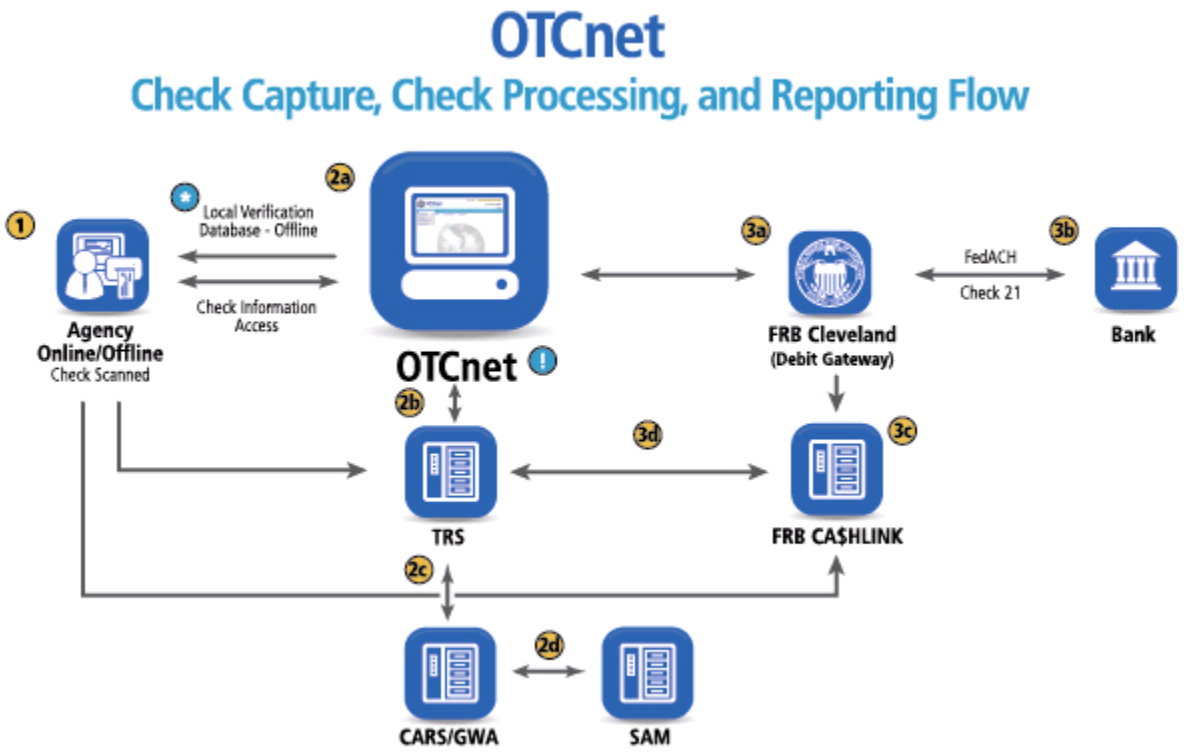
Overall, this legislation has modernized the nation's check payments system. Check 21 is designed to foster innovation in the payments system and to enhance its efficiency by reducing some of the legal impediments to check truncation. ALL payment instruments are eligible for processing under OTCnet, including Business Checks, Money orders, Treasury checks, Credit card checks, Traveler's checks, Cashier's checks, Official checks, Third-party checks, Payroll checks and checks drawn on state or local government. Check 21 requires financial institutions to accept a substitute check from a presenting institute and grant it equivalent status as the original check, if the substitute check meets prescribed requirements. It also requires a reconverting bank to meet the warranties and indemnities enacted through the legislation and subsequent regulations. Check 21 requires financial institutions to provide education to individual consumers on substitute checks and consumer recredit rights. For more information on Check 21, visit: http://www.frbservices.org/Retail/Check21.html

Table 1: FedACH and Check 21

FedACH	Check 21
• Direct Deposit of payroll, Social Security and other government benefits, and tax refunds • Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums • Business-to-business payments • E checks • E commerce payments • Federal, state and local tax payments	• Business Checks • Money Orders • Treasury Checks • Credit Card Checks • Traveler's Checks • Cashier's Checks • Official Checks • Third-party Checks • Payroll Checks • Checks drawn on state or local government • Personal Check (No Notice) • Personal Check (Opt Out)

FRB Cleveland sends the accounting information to FRB CA$HLINK II and makes your reporting information available (eg. SF215 and SF5515) the next business day in OTCnet. FRB CA$HLINK sends the deposit information to TRS (see complete Check Capture and Check Processing and Reporting Process flow in Figure 2 below).

Figure 2. Check Capture, Check Processing and Reporting Process Flow



If your Agency uses the Master Verification Database (MVD) (which provides downloads of prior negative check information and blocked items) and is working offline, the information is passed to the agency's Local Verification Database (LVD) when each batch is closed. The LVD is then used to determine the check writer's status and implement your Agency's bad check policy if applicable.

OTCnet Process Flow: Deposit Processing and Reporting

Deposit Processing electronically collects and automates US and Foreign funds which facilitates the classification of Treasury collections on a daily basis.

FI Commercial Process Flow

As shown In Figure 3 below, the Deposit Preparer electronically fills out the SF215 (deposit ticket) using OTCnet and prints out the deposit ticket. The bank deposit ticket, SF215 (deposit ticket), cash, and checks (US and foreign) are taken to your Financial Institution (FI). At the FI, the Deposit Confirmer confirms the deposit, rejects the deposit or creates an adjustment to the deposit using OTCnet.

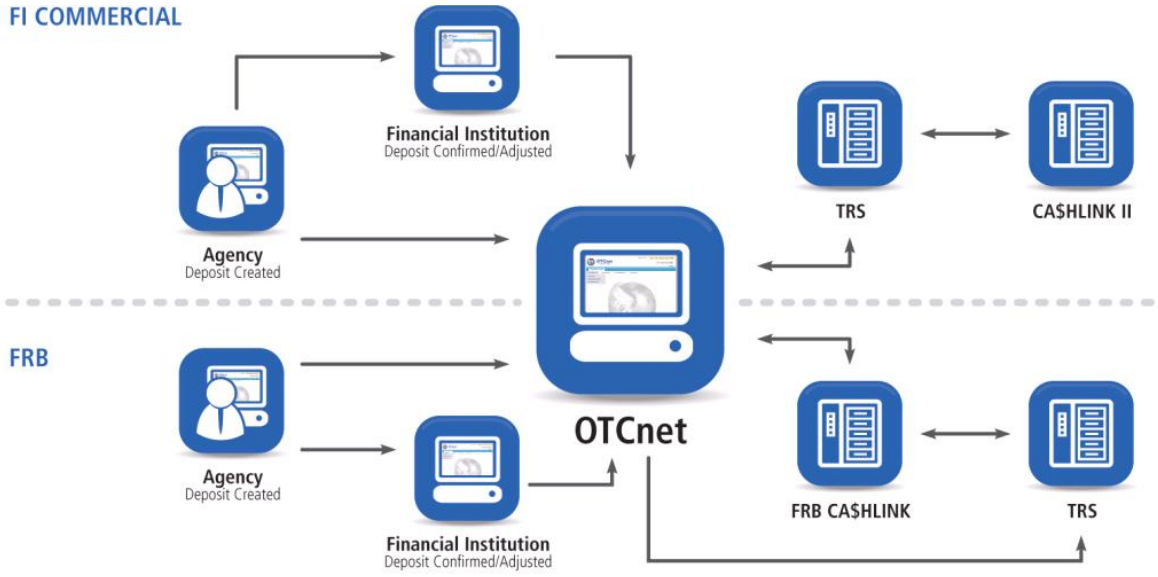
OTCnet sends deposit voucher information to Transaction Reporting System (TRS) for reconciliation and makes it available to CA$HLINK II. CA$HLINK II obtains the reconciled deposit data from TRS and makes it accessible in OTCnet for agency retrieval.

FRB Process Flow

As shown in Figure 3 below, the Deposit Preparer electronically fills out the SF215 (deposit ticket) using OTCnet and prints out the deposit ticket. The bank deposit ticket, SF215 (deposit ticket), cash, and checks (US and foreign) are taken to your Financial Institution (FI). At the FI, the Deposit Confirmer confirms the deposit, rejects the deposit or creates an adjustment to the deposit using OTCnet.

FRB CA$HLINK II receives deposit information from OTCnet, facilitates settlement with the US Treasury and sends the information to TRS for reconciliation and makes it available to agencies through OTCnet, which also sends deposit voucher information to TRS.

Figure 3. Deposit Processing and Reporting Process Flow



The Deposit Preparer and Deposit Viewer can access OTCnet to view their deposit ticket information, as well as access reports, receive rejections, and view adjustments.

OTCnet End Users

In OTCnet, there are three functional areas which allow users to focus on relevant tasks. The role you will hold is based on the types of tasks you will perform. You may perform tasks that fall under the following functionality of OTCnet; (1) Administration, (2) Check Capture, Processing and Reporting and (3) Deposit Processing and Reporting.

Under Administration, six users with varying degrees of permission can perform administrative duties which include tasks such as user management and system installation activities. They include a Check Capture Administrator, Check Capture Supervisor, Primary Local Security Administrator, Local Security Administrator, Accounting Specialist and Local Accounting Specialist.

For Check Capture, Processing and Reporting access, seven roles have permission to capture checks, process checks, access reports or edit /view the MVD.

Those who carry Deposit Processing and Reporting roles, can create deposits, approve, confirm (reject or adjust), and/or view information. There are a total of five users who can perform these functions. See Figure 4 for details.

Figure 4. User Roles

Administration	Check Capture/ Check Processing and Reporting	Deposit Processing and Reporting
Agency ▪ Check Capture Supervisor ▪ Check Capture Administrator ▪ Accounting Specialist/ Local Accounting Specialist	**Agency** ▪ Check Capture Operator ▪ Check Capture Lead Operator ▪ Check Capture Supervisor ▪ *Batch Approver ▪ *Batch Uploader ▪ Master Verification Database (MVD) Editor ▪ Master Verification Database (MVD) Viewer	**Agency** ▪ Deposit Preparer ▪ Deposit Approver ▪ Viewer
Financial Institution/ Federal Reserve ▪ Primary/ Local Security Administrator		**Financial Institution/ Federal Reserve** ▪ Deposit Confirmer ▪ Viewer

** Considered sub-roles. Assigned to users with existing roles.*

OTCnet User Roles Guide for Agencies and Financial Institutions

OTCnet was developed to allow individual users access to be granted specific roles that will enable them to perform the duties they need to carry out their job responsibilities. The following tables illustrate which Check Capture, Check Processing, and Deposit Reporting roles can be combined and assigned to individual Agency and Financial Institution (FI) users.

Table 2: OTCnet Agency and Financial Institution User Roles Guide

OTCnet Agency and Financial Institution User Roles Guide				
Role Name	Role Description	Assignable By	Applicable For	
			Check Capture	Deposit Reporting
Accounting Specialist	The agency user in this role is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet.	Agency PLSA, LSA		•
Agency Local Security Administrator (LSA)	The agency user in this role will maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. LSAs can also view security reports.	Agency PLSA	•	•
Agency Primary Local Security Administrator (PLSA)	The agency user in this role has the same capabilities as an LSA, with the additional capability of creating and modifying LSAs for their organization. There can only be one PLSA per agency.	FMS OTCnet Customer Support Team	•	•
Agency Manager	The agency user in this role can view/download CIRA CSV reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports.	Agency PLSA, LSA	•	
Batch Approver	The user assigned this role will have the ability to approve a batch either prior to batch upload (from Offline) or when a batch is uploaded/submitted to OTCnet but not yet approved. This permission is granted especially when, in offline mode, a user has configured the terminal to upload a batch upon Batch Close. An example of this permission applies to a Check Capture Operator: though a terminal may be configured to upload upon close, an Operator is able to close a batch but does not inherently have Upload permissions, therefore the user's permissions will override the terminal configuration, and the batch will not be automatically uploaded. Providing this permission along with Batch Uploader allows for the Check Capture Operator to auto-upload the batch upon close. This role should be granted in limited cases at sites where there is a need for the Operator to perform this function without a Supervisor present. *Note: This role only applies to the Offline version of OTCnet.*	Agency PLSA, LSA	•	

OTCnet Agency and Financial Institution User Roles Guide				
Role Name	Role Description	Assignable By	Applicable For	
			Check Capture	Deposit Reporting
Batch Uploader	The user assigned this role will have the ability to upload a batch from Offline OTCnet to the online database; this user has no other permissions, and therefore should typically be granted to a Check Capture Operator and Lead Operator. This permission is granted especially when, in offline mode, a user has configured the terminal to upload a batch upon Batch Close. An example of this permission applies to a Check Capture Operator: though a terminal may be configured to upload upon close, an Operator is able to close a batch but does not inherently have Upload permissions, therefore the user's permissions will override the terminal configuration, and the batch will not be automatically uploaded. Providing this permission along with Batch Approver allows for the Check Capture Operator to auto-upload the batch upon close. This role should be granted in limited cases at sites where there is a need for the Operator to perform this function without a Supervisor present. *Note: This role only applies to the Offline version of OTCnet.*	Agency PLSA,LSA	•	
Check Capture Administrator	The agency user in this role has the capability to define and modify the check capture sites as well as manage accounting codes and modify endpoint mappings. For example, this user be able to setup the location policy and location group. Additionally, this user is able to view, modify, and import accounting codes and modify endpoint mappings. This user can also configure the Check Capture functions and perform upgrades of the application as well as has the permission to download user profiles for the site. Lastly, this user has the permission to download software or firmware to the terminal using the Download Check Capture application permission.	Agency PLSA,LSA	•	
Check Capture Lead Operator	The agency user that has the authorization to in scan checks into a batch, close a batch, balance check amounts and enter batch control values during batch closing. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. However, the user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.	Agency PLSA,LSA	•	

Check Capture Operator	The agency user that has the authorization to in scan checks into a batch, close a batch, balance check amounts and enter batch control values during batch closing. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. However, the user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality	Agency PLSA,LSA	•	
Check Capture Supervisor	The agency user in this role is the most powerful user on the Check Capture site. The user can perform almost all the functions in Check Capture including accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, accept checks with poor quality, as well as view, modify, import, and modify endpoint mappings. However, this user does not have any permissions associated with scanning checks. To ensure "checks and balances," scanning checks is reserved for a Check Capture Operator or Lead Operator only.	Agency PLSA,LSA	•	
CIRA Viewer	The agency user in this role can only view organization endpoints and CIRA records. This is the check processing role with the lowest level of access.	Agency PLSA,LSA	•	
Deposit Approver	The agency user in this role will approve the deposit report and submit the information to the TGA financial institution.	Agency PLSA,LSA		•
Deposit Preparer	The agency user in this role prepares the deposit ticket and supporting information for transmission to the TGA financial institution.	Agency PLSA,LSA		•
FPA Viewer	The agency user in this role will only be able to search / view deposit and adjustments, and produce reports from it.	Agency PLSA,LSA		•
Local Accounting Specialist	The agency user in this role is an expert on the organizational structure, reporting needs and accounting rules for its depositing and lower level endpoints. This role will establish and maintain the organizational structure, accounting code mappings to individual endpoints and the processing options that one or more lower level endpoints will use in OTCnet.	Agency PLSA,LSA		•
MVD Editor	The agency user in this role can create, update and read verification records. This role can also download CSV formatted reports.	Agency PLSA,LSA	•	
MVD Viewer	The agency user in this role can read CIRA records in addition to read verification records and read block records containing only ABA permissions. This role also has the permission to download CSV formatted reports.	Agency PLSA,LSA	•	
View Report	The agency user in this role will have access to agency reports with the exception of the CIRA CSV report.	Agency PLSA,LSA	•	•
Deposit Confirmer	The financial institution user in this role will verify the submitted deposit ticket, reject the deposit ticket if necessary, forward the information to the Treasury, and create adjustments, as necessary.	Financial Institution PLSA,LSA		•

FI Viewer	The financial institution user in this role will only be able to search / view deposit and adjustments, view Financial Institution information and produce reports from it.	Financial Institution PLSA,LSA		•
Financial Institution Local Security Administrator (LSA)	The financial institution/federal reserve bank user in this role will maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access.	Financial Institution PLSA		•
Financial Institution Primary Local Security Administrator (PLSA)	The financial institution/federal reserve bank user in this role has the same capabilities as an LSA, with the additional capability of creating and modifying LSAs for their organization. There can only be one PLSA per financial institution.	FMS OTCnet Customer Support Team		•
FRB Confirmer	The FRB user in this role will verify the submitted deposit ticket, reject the deposit ticket if necessary, forward the information to the Treasury, and create adjustments as necessary.	Financial Institution PLSA, LSA		•
FRB Viewer	The FRB user in this role will only be able to search / view deposit and adjustments, view FRB information and produce reports from it.	Financial Institution PLSA,LSA		•

OTCnet Agency Deposit Reporting User Roles Combinations

OTCnet was developed to allow individual users to be granted specific roles that will enable them to perform the duties they need to carry out their job responsibilities. The following tables illustrate which Deposit Reporting and Check Capture roles can be combined and assigned to an individual Agency user. Start by viewing the user roles columns at the top. All cells that contain a "•" in the column denote that the corresponding user role in the row on the left can be assigned to this user role.

Table 3: OTCnet Agency Deposit Processing User Roles

OTCnet Agency Deposit Reporting User Roles							
Deposit Reporting and Check Capture User Roles	Agency PLSA	Agency LSA	Accounting Specialist	Local Accounting Specialist	Deposit Preparer	Deposit Approver	FPA Viewer
Agency PLSA	•						•
Agency LSA		•					•
Accounting Specialist			•	•	•	•	•
Local Accounting Specialist			•	•	•	•	•
Deposit Preparer			•	•	•	•	•
Deposit Approver			•	•	•	•	•
FPA Viewer	•	•	•	•	•	•	•
Agency Manager							
CIRA Viewer			•	•	•	•	
View Report			•	•	•	•	
MVD Editor			•	•	•	•	
MVD Viewer	•	•	•	•	•	•	

OTCnet Agency Deposit Reporting User Roles							
Deposit Reporting and Check Capture User Roles	**Agency PLSA**	**Agency LSA**	**Accounting Specialist**	**Local Accounting Specialist**	**Deposit Preparer**	**Deposit Approver**	**FPA Viewer**
Check Capture Operator			•	•	•	•	
Check Capture Lead Operator			•	•	•	•	
Check Capture Administrator		•	•	•	•	•	
Check Capture Supervisor			•	•	•	•	

OTCnet Agency Check Capture User Roles

OTCnet was developed to allow individual users to be granted specific roles that will enable them to perform the duties they need to carry out their job responsibilities. The following tables illustrate which Deposit Reporting and Check Capture roles can be combined and assigned to an individual Agency user. Start by viewing the user roles columns at the top. All cells that contain a "•" in the column denote that the corresponding user role in the row on the left can be assigned to this user role.

Table 4: OTCnet Agency Check Capture User Roles

OTCnet Agency Check Capture User Roles											
Deposit Reporting and Check Capture User Roles	Agency Manager	CIRA Viewer	View Report	MVD Editor	MVD Viewer	Check Capture Operator	Check Capture Lead Operator	Check Capture Administrator	Check Capture Supervisor	Batch Approver	Batch Uploader
Agency PLSA					•						
Agency LSA					•			•			
Accounting Specialist		•	•	•	•	•	•	•	•		
Local Accounting Specialist		•	•	•	•	•	•	•	•		
Deposit Preparer		•	•	•	•	•	•	•	•		
Deposit Approver		•	•	•	•	•	•	•	•		
Agency Manager	•			•				•	•		
CIRA Viewer		•	•	•	•	•	•	•	•		
View Report		•	•	•	•	•	•	•	•		
MVD Editor	•	•	•	•	•	•	•	•	•		
MVD Viewer		•	•	•	•	•	•	•	•		
Check Capture Operator		•	•	•	•	•				•	•
Check Capture Lead Operator		•	•	•	•		•	•	•	•	•
Check Capture Administrator	•	•	•	•	•		•	•	•		
Check Capture Supervisor	•	•	•	•	•		•	•	•		
Batch Approver						•	•				
Batch Uploader						•	•				

OTCnet Financial Institution User Roles

OTCnet was developed to allow individual users to be granted specific roles that will enable them to perform the duties they need to carry out their job responsibilities. The table below illustrates which Financial Institution roles can be combined and assigned to an individual Financial Institution user. Start by viewing the user roles columns at the top. All cells that contain a "•" in the column denote that the corresponding user role in the row on the left can be assigned to this user role.

Table 5: OTCnet Financial Institution User Roles

OTCnet Financial Institution User Roles				
Financial Institution Roles	**FI PLSA**	**FI LSA**	**FI Confirmer**	**FI Viewer**
FI PLSA	•			•
FI LSA		•		•
FI Confirmer			•	•
FI Viewer	•	•	•	•

Table 6 provides a breakdown of permissions at the Federal Program Agency level as well as the Financial Institution / Federal Reserve Bank Financial Institution level. They include Primary Local Security Administrator, Local Security Administrator, Accounting Specialist, Local Accounting Specialist, Deposit Preparer, Deposit Approver, Viewer and Deposit Confirmer.

Table 6: Deposit Processing and Reporting Roles

	Federal Program Agency							Financial Institution/ FRB FI			
	PLSA	LSA	Acc Spec	Acc Spec Local	Preparer	Approver	Viewer	PLSA	LSA	Confirmer	Viewer
Add/Update/Delete a User	•	•						•	•		
Reset Password	•	•						•	•		
Manage Own Account	•	•	•	•	•	•	•	•	•	•	•
OTCnet Logon and Homepage	•	•	•	•	•	•	•	•	•	•	•
Create/Modify Deposit					•						
Submit Deposit						•					
Confirm/Reject Deposit										•	
View Deposit/Adjustment Detail					•	•	•			•	•
Search Deposit/ Adjustment					•	•	•			•	•

Create Deposit/ Adjustment										•	
Create Return Item Adjustment										•	
Modify Organization Hierarchy			•	•							
Delete Organization Hierarchy			•	•							
View Organization Hierarchy			•	•							
Search Organization Hierarchy			•	•							
Modify Accounting Codes			•								
Import Accounting Codes			•								
View Accounting Codes			•	•							
Modify Endpoint Mappings			•	•							
Modify Custom Labels			•								
View Custom Labels			•	•							
Modify Processing Options			•	•							
View Processing Options			•	•							
Modify User Defined Fields			•								
View user Defined Fields			•	•							
View Financial Institutions										•	•
View Business Reports			•	•	•	•	•			•	•
View Security Reports	•	•						•	•		
View Administrative Reports					•	•	•			•	•
Read/View Audit Log	•	•									

Table 7 specifies OTCnet Check Capture roles and permissions at the Agency level. They include the Check Capture Operator, Check Capture Lead Operator, Check Capture Administrator and Check Capture Supervisor roles.

Table 7: Check Capture Roles

	Federal Program Agency						
	Check Capture Operator	Check Capture Lead Operator	Check Capture Administrator	Check Capture Supervisor	* Batch Approver	* Batch Uploader	Online/Offline
Authorize Duplicates				•			Online/Offline
Authorize MICR Correction				•			Online/Offline
Authorize Poor Image Quality							Online/Offline
Balance Check Amounts		•		•			Online/Offline
Change Batch Control Values	•	•		•			Online/Offline
Change Batch Status				•			Online/Offline
Close Batch	•	•		•			Online/Offline
Edit Batch		•		•			Online/Offline
Change Mode	•	•					Online/Offline
Configure Check Capture System (settings)			•	•			Online/Offline
View Check Capture System Configuration	•	•	•	•			Online/Offline
Configure Batch Manager	•	•	•	•			Online/Offline
Override Verification				•			Online/Offline
Process Transactions (Scan Checks)	•	•					Online/Offline
Approve/Submit Batch				•	•		Online/Offline
View Batch List	•	•	•	•			Online/Offline
Void Item During Balancing				•	•		Online/Offline
Void Transaction				•	•		Online/Offline
Check Capture System Maintenance (Upgrade Scanner Firmware)			•	•			Online/Offline
Check Capture System Maintenance (Upgrade Application from Online)			•	•			Offline
Check Capture System Maintenance (Upgrade Form from Online)			•	•			Offline
Upload Batch				•		•	Offline
Acknowledge Batch				•		•	Offline

Recover From Secondary Storage				•			Offline
Reset LVD			•	•			Offline
Update LVD		•		•			Offline
Authorize Old Verification				•			Offline
Download Check Capture Application			•				Offline
View Activity Log			•	•			Offline
Read/View Audit Check Capture Module (Partial – Access User's Own Activities Only)	•	•					Offline
Manage Users			•				Offline
Download User Profiles			•				Offline
Update User Profiles			•				Offline
Download OTC Endpoints			•				Offline
Update OTC Endpoints (Offline)			•	•			Offline
* Considered sub-roles. Assigned to users with existing roles.							

The final table below shows the OTCnet Check Processing and Reporting user roles and their associated permissions. Table 8 provides a breakdown of permissions at the Agency level. They include the Check Capture Operator, Check Capture Lead Operator, Check Capture Administrator, Check Capture Supervisor, MVD Editor and MVD Viewer roles.

Table 8: Check Processing and Reporting

	Federal Program Agency									
	Agency Manager	Check capture Operator	Check Capture Lead Operator	Check Capture Administrator	Check Capture Supervisor	* CIRA Viewer	* View Reports	MVD Editor	MVD Viewer	* Batch Approver
Manage Own Account	•	•	•	•	•	•		•	•	
OTCnet Logon and Homepage	•	•	•	•	•	•		•	•	
Modify Organization Hierarchy				•						
Delete Organization Hierarchy				•						
View organization Hierarchy	•	•	•	•	•	•		•	•	
Search Organization	•	•	•	•	•	•		•	•	
Modify Accounting Codes				•	•					

Import Accounting Codes				•	•					
View Accounting Codes				•	•					
Modify Endpoint Mappings				•	•					
Create/Modify Verification Records								•		
View Verification Records								•	•	
Read Block Record Containing Only an ABA								•	•	
Create/Modify Check Capture Site				•						
Download Firmware /OTCnet Application				•						
View CIRA	•					•		•	•	
Read/View Audit Admin (Partial)				•						
Read/View Audit Check Capture				•						
Read/View Audit Check Capture Module (Partial)					•					
Read/View Audit Check Capture Module (Partial – User's Own Activity)		•	•							
Read CIRA CSV Report	•			•				•	•	
Read Deposit Ticket Report	•			•			•	•	•	
Read Debit Voucher Report	•			•			•	•	•	
Read General Agency Reports (Agency CIRA Report, LVD Contents Report, Organization Hierarchy Report, FMS Statistical Report	•			•			•	•	•	
* Considered sub-roles. Assigned to users with existing roles										

Topic 2. Overview of OTCnet Participant User Guide Content

Introduction

This OTCnet Participant User Guide is intended to provide you with the skills you need to use OTCnet, a system by which users can capture and process checks, and/or process deposits. Users with appropriate permissions can install, setup, and manage OTCnet.

The Participant User Guide can be used independent of, or in conjunction with, the OTCnet Web-based Training (WBT) or Instructor-led Training (ILT). In addition to the User Guides, you may choose to use the Job Aids which provide you with a “quick tips” reference for creating agency hierarchy, establishing depositing endpoints, processing options etc, for Deposit Processing as well as a reference for configuring Check Processing settings. Both the Participant User Guides and Job Aids are accessible through the OTCnet web site, OTCnet Application Help link site, or through the Library button located within the WBT.

The Participant User Guides offer a series of 31 function related Chapters with individual topics for Administration, Deposit Processing and Check Capture and Processing. Each OTCnet Participant User Guide topic includes a textual description of the task addressed, with screenshots as necessary, and a section providing step-by-step instructions for completing the task.

Each chapter contains additional space designated for note-taking. Although separated by segment, the User Guides may be printed individually, or as one complete manual. You are not required to complete all 31 Chapters, but it is highly encouraged that you access the Chapters that pertain to your user role.

Administration Participant User Guide

Eight Chapters make up the Administration Participant User Guide. These include Check Capture, Check Processing and Deposit Processing Administrative functionality. Table 9 describes the related concepts covered in each Chapter:

Table 9. Administration Chapters

Chapter	Description
1. Introduction to OTCnet and Overview of OTCnet Participant User Guide Content	In this chapter, you will learn about the background of OTCnet, the element and process flows that make up OTCnet as well as overview of the Participant User Guides.
2. Accessing and Navigating OTCnet	In this chapter, you will learn how to log on, establish security settings and how to use the OTCnet Main Page.

Chapter Cont'd	Description Cont'd
3. Managing User Accounts	In this chapter, you will learn how to create a user account, update a user account, and assign user privileges
4. Managing Your Agency's Hierarchy and Configuring Accounting Codes and Endpoint Mappings	In this chapter, you will learn how to create a hierarchy, designate an OTC Endpoint, establish a Financial Institution relationship, designate a check capture location, create, import and view accounting codes, and map accounting codes to OTC Endpoints.
5. Configuring Deposit Processing Settings	In this chapter, you will learn how to; establish processing options and custom field labels; and modifying a user defined field.
6. Viewing Financial Institutions	In this chapter, you will learn how to view Financial Institution details.
7. Configuring Check Processing Settings	In this chapter, you will learn how to set up, modify and view a terminal configuration, view an audit log and download firmware.
8. Installing Scanner and Offline Functions	In this chapter, you will learn how to a properly install offline check capturing software; manage offline check capturing; set up scanners; and configure check capture settings in offline mode.

In addition to the Participant User Guides, the OTCnet Job Aids walk an Administrator through the steps to setting up an organizational hierarchy and Check Capture and Processing Administrative settings. These may be used in conjunction with the eight Administration Chapters reviewed above.

Deposit Processing and Reporting Participant User Guide

10 Chapters make up the Deposit Processing and Reporting Participant User Guide. Table 10 describes the related concepts covered in each Chapter:

Table 10. Deposit Processing Chapters

Chapter	Description
1. Introduction to OTCnet and Overview of OTCnet Participant User Guide Content	In this chapter, you will learn about the background of OTCnet, the element and process flows that make up OTCnet as well as overview of the Participant User Guides.
2. Accessing and Navigating OTCnet	In this chapter, you will learn how to log on, establish security settings and how to use the OTCnet Main Page.
3. Creating and Modifying Deposits	In this chapter, you will learn how to create and modify deposits.
4. Searching for Deposits	In this chapter, you will learn how to search for and download deposits.
5. Approving Deposits or Returning Deposits to Draft	In this chapter, you will learn how to approve deposits or return deposits to draft.
6. Confirming, Rejecting or Adjusting Deposits	In this chapter, you will learn how to confirm deposits, adjust deposits, or apply a credit/ debit adjustment for US Currency and Foreign Check Items.
7. Managing Adjustments	In this chapter, you will learn how to create a returned item adjustment for US Currency and Foreign Check Items.
8. Searching Adjustments	In this chapter, you will learn how to search and download adjustments.
9. Viewing Reports	In this chapter, you will learn how to view and pull administrative and business reports.
10. Viewing Deposits	In this chapter, you will learn how to view deposit drafts, deposits awaiting approval, confirmed deposits, deposit adjustments, rejected deposit details, submitted deposits and how to download vouchers.

Check Capture, Check Processing and Reporting Participant User Guide

13 Chapters make up the Check Capture, Check Processing and Reporting Participant User Guide. Table 11 describes the related concepts covered in each Chapter:

Table 11. Check Capture and Check Processing Chapters

Chapter	Description
1. Introduction to OTCnet and Overview of OTCnet Participant User Guide Content	In this chapter, you will learn about the background of OTCnet, the element and process flows that make up OTCnet as well as overview of the Participant User Guides.
2. Installation Requirements	In this chapter, you will learn how to prepare your system to use OTCnet and how to use OTCnet's check capture components.
3. Accessing and Navigating OTCnet	In this chapter, you will learn how to log on, establish security settings and how to use the OTCnet Main Page.
4. Capturing and Managing Checks Online	In this chapter, you will learn how to capture/ recapture a check online; choose an appropriate check processing method and type; correct a MICR line; resolve a duplicate check; void a check; view a check batch list; perform batch control/batch balancing; close a batch; transmit a batch; activate/deactivate a batch; manually close/upload/acknowledge a batch; edit a captured check; and print a receipt.
5. Correcting Scanned Checks	In this chapter, you will learn how to edit a check item and how to correct a Magnetic Ink Character Recognition (MICR) codeline.
6. Managing Verification Records (MVD/LVD)	In this chapter, you will learn how to create, edit and search for a Master Verification Database (MVD) record.
7. Capturing and Managing Checks Offline	In this chapter, you will learn how to log on to offline; software components; capture/ recapture a check offline; choose an appropriate check processing method and type; correct a MICR line, resolve a duplicate check; void a check; manage batch list; perform batch control/ batch balancing; close a batch; transmit a batch; activate/ deactivate a batch; manually close/upload/acknowledge a batch; edit a captured check; and print a receipt.

8. Reporting on Scanned Checks	In this chapter, you will access and run reports, query checks, and view a search result.
9. Troubleshooting	In this chapter, you will learn how to acquire and regain user access and passwords, as well as resolve problems transmitting and closing a batch. Additionally, you will understand who to contact for access and scanner issues. This Chapter will help you to decipher OTCnet error messages and how to refill the 'Electronically Processed' hand stamp if applicable.
10. Appendix	In this chapter, you will understand administrative detail for cost, paperwork, policy, training and customer service, as well as password requirements and security guidance. This chapter also describes how to resolve check issues, return equipment procedure and offers information about using CIRA and the MVD.
11. RDM Scanner Appendix	In this chapter, you will learn how to properly scan a check using the RDM scanner, maintain your scanner and contact the scanner support help desk.
12. Panini Scanner Appendix	In this chapter, you will learn how to properly scan a check using the Panini scanner, maintain your scanner and contact the scanner support help desk.
13. Queue Interface	In this chapter, you will learn how the queue interfacing functionality is used (if applicable to your Agency).

Summary

In this chapter, you learned about:

- The Introduction to OTCnet
- The Overview of OTCnet Participant User Guide Content

In the next module, you will learn how to access and navigate OTCnet.

Notes

Index

Administration 1, 3, 7, 8, 20, 21
Check Capture, Check Processing and Reporting.....1, 3, 6, 23
Deposit Processing and Reporting ...1, 3, 6, 7, 8, 22
Financial Management Service.....2
Magnetic Ink Character Recognition.....23
MICR.....23
OTCnet 1, 2, 3, 6, 7, 17, 18, 20, 21, 22, 23, 25
Over the Counter Channel Application 2
Paper Check Conversion Over the Counter 2
Treasury General Account Deposit Network 2

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Chapter 2: Installation Requirements

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Topics 2
Topic 1. OTCnet System Requirements 3
Operating System 3
System Requirements 3
Other Requirements 3
Topic 2. OTCnet Check Capture System Requirements 4
OTCnet Check Capture Application System Requirements 4
OTCnet Check Capture Offline Application System Requirements 5
OTCnet Bandwidth Requirements 5
Topic 3. OTCnet Check Capture Hardware Requirements 6
Printer Hardware 6
Scanner Hardware 6
Optional Battery Pack 7
Charging the Battery Pack 7
Connecting the Battery Pack 7
Optional Yes/ No Keypad 8
Topic 4. OTCnet Technical Reference Guide 9
OTCnet General Requirements 9
Check Scanning and Check Processing 9
Summary 11
Glossary 12
Index 26

LIST OF TABLES

Table 1. OTCnet Check Capture Printer Functionality 6

LIST OF FIGURES

Figure 1. Optional Battery Pack 7
Figure 2. Optional Keypad 8

Audience, Overview and Topics

Audience

The intended audience for *Installation Requirements Participant User Guide* includes:

- System Administrator
- Check Capture Administrator
- Check Capture Supervisor
- Lead Check Capture Operator
- Check Capture Operator

Overview

Welcome to *Installation Requirements*. In this chapter, you will learn:

- How to prepare your system to use OTCnet
- How to prepare your system to use OTCnet's check capture component

Topics

This chapter is organized by the following topics:

- Topic 1. OTCnet System Requirements
- Topic 2. OTCnet Check Capture System Requirements
- Topic 3. OTCnet Check Capture Hardware Requirements
- Topic 4. OTCnet Check Capture Printer Requirements

Topic 1. OTCnet System Requirements

This section provides system and configuration requirements for the online use of OTCnet. And details the system and configuration requirements necessary to utilize OTCnet Check Capture. Additional requirements are necessary for OTCnet check processing/ check scanning. Please refer to the "OTCnet Check Processing Requirements" section on the next page for more information.

Operating System

The following operating systems are supported by OTCnet:

- Windows XP[1,2]
- Windows Vista[2]
- Windows 7[2]

[1] SP3 is recommended for Windows XP
[2] Operating system is restricted to 32-bit for initial versions of OTCnet.

System Requirements

The following are requirements necessary to operate OTCnet:

- **Web Browser:** Internet Explorer 7.0[1] or 8.0.
- **Entrust Root Certificate:** The Entrust (2048) Root Certificate must be installed in the "Trusted Root Certification Authorities" certificate store on the "local machine" (all user profiles) for the workstation. This certificate is normally installed by default with Internet Explorer. If it has been removed, you will need to have your agency re-install the certificate.
- **Internet Options Security Settings:** "Use SSL 3.0" or "Use TLS 1.0" must be enabled in the advanced tab of Internet Options for all user profiles on the workstation. OTCnet is a secure website and requires at least one of these settings to be enabled.
  - If accessing ITIM in the QA environment, "Use TLS 1.0" must be enabled.
  - "Use TLS 1.0" does not have to be enabled to access ITIM or OTCnet in the production environment, but if it is disabled, "Use SSL .0" must be enabled.
- **Ports:** Router/Firewall Administrators must ensure and verify that outbound ACL (Access Control List) has complete https access, on port 443.
- **Workstation Memory:** 1 GB physical memory is required; 2 GB is recommended.
- **Free Disk Space:** 20 MB of free disk space is required.
- **Window Resolution:** Windows Resolution should be 1024x768 or 800x600.

Other Requirements

Users must have access to a unique email address to change their initial OTCnet passwords and access the online system.

Topic 2. OTCnet Check Capture System Requirements

The following system requirements are necessary for utilizing OTCnet check processing/check scanning. Note that these requirements must be performed by a workstation administrator (a user who is logged onto the workstation as a workstation administrator):

OTCnet Check Capture Application System Requirements

The following system requirements are necessary to use OTCnet:

- **Treasury Root Certificate:** The Treasury Root Certificate must be installed in the "Trusted Root Certification Authorities" certificate store on the "local machine" (all user profiles) for the workstation. Instructions for obtaining and installing the Treasury Root Certificate will be provided in a separate document.
- **OTCnet URLs Added to Trusted Sites Zone:** OTCnet URLs must be assigned to the Trusted Sites zone for Windows Vista and Windows 7 for all user profiles on the workstation. Note that this requirement is not necessary for Windows XP workstations. Instructions for adding OTCnet URLs to the trusted sites zone will be provided below.
- **ActiveX Must Be Enabled in Browser:** This must be enabled for all user profiles on the workstation that use OTCnet. ActiveX is typically enabled in the Trusted Sites Zone. If it is not enabled in the Trusted Sites Zone or if the OTCnet URLs cannot be added the Trusted Sites Zone, ActiveX will need to be explicitly enabled. Instructions for enabling ActiveX are provided below.
- **Scanner Drivers (.MSI installation file):** Scanner driver and firmware (provided in an .MSI installation file) must be installed on the workstation. Instructions for obtaining and installing the .MSI file will be provided in a separate document.
- **Java Runtime Environment (JRE) 1.6.0_20 or 1.6.0_24:** The Java Runtime Environment 1.6.0_20 (Java SE 6 Update 20) or 1.6.0_24 (Java SE 6 Update 24) must be installed and enabled on the workstation. If a JRE version higher than 1.6.0_24 is being used, please contact OTCnet Customer Service for compatibility questions or concerns.
- **Adobe:** All versions of Adobe are compatible with OTCnet, although Adobe X may require web browser configuration changes.
- **Adobe Reader[1]:** Adobe Reader must be installed on the workstation to support receipt printing.

[1] Adobe Reader Version 7.x or higher required.

OTCnet Check Capture Offline Application System Requirements

This section details the additional system and configuration requirements necessary to use the offline version of OTCnet, which is available for users performing check processing / check scanning in areas with low bandwidth and/or unreliable internet connectivity.

The following system requirements are necessary to use the offline version of OTCnet.

- **Free Disk Space:** 600 MB additional disk space. 350 MB is required to install the application; 250 MB is recommended to accommodate transaction and audit log data.
- **Secondary Storage:** Secondary storage is required. It is recommended that an external hard drive or network drive is used instead of a local folder for storage on the individual offline terminal. An external hard drive or network drive with 150 MB free disk space or USB flash drive is advised.
- **Java Access Bridge:** For 508 users, the Java Access Bridge must be installed on the workstation for Check Processing Offline to support the reading of a few browser pop-up windows. To install the Java Access Bridge, go to https://cds.sun.com/is-bin/INTERSHOP.enfinity/WFS/CDS-CDS_Developer-Site/en_US/-/USD/ViewProductDetail-Start?ProductRef=accessbridge-2.0.1-oth-JPR@CDS-CDS_Developer.
- **Windows User Permissions**: All users must have Read and Write access to the path the Offline application is installed. The default path to install the Offline application is C:\OTCnet_prod
- **McAfee Exclusion**: McAfee Antivirus users that experience slow application startup times are advised to implement an exclusion policy for "*\OTCnet_prod*". In order for successful implementation of the exclusion, users are required to not change the install folder name from the default "OTCnet_prod", although users can change the default install folder path.

OTCnet Bandwidth Requirements

This section provides the minimum internet connectivity recommendations for setting up and utilizing OTCnet. Your agency's OTCnet Point of Contact (POC) has the Deployment Specialist's contact information, should you require assistance.

The following are bandwidth requirements necessary to operate OTCnet:

- A 1.2 MB connection is recommended to download the OTCnet Scanner Firmware and/or the OTCnet Offline client
- A 512 KBPS DSL connection is recommended to utilize the OTCnet Online application.

Topic 3. OTCnet Check Capture Hardware Requirements

This section will layout some details around the hardware used in OTCnet Check Capture. For more details, please refer to the scanner User Guides.

Printer Hardware

Access to a printer from the workstation where the **Check Capture Operator** or **Check Capture Lead Operator** will be using OTCnet for Check Capture is necessary. OTCnet requires a local/LAN printer configured on each system. The ability to print is required to properly process daily work

Scanner Hardware

A compatible check scanner connected to the workstation with an available 9-Pin Serial Port, PC Card Slot, or USB 2.0 port is needed to capture checks.

Table 1, shown below lists the check scanners and keypads compatible with OTCnet. It also indicates which scanners are compatible with which operating systems. The following table lists the check scanners compatible with OTCnet. The table also indicates which version of the scanner driver and firmware is required for each combination of scanner and operating system. Blacked out cells indicate INCOMPATIBLE scanner and operating system combinations.

Table 1. OTCnet Check Capture Scanner Compatibility

			XP	Vista[3]	Windows 7
Scanners	RDM	EC5000i [1]	1.2.0		
		EC6000i (non-Gen2) [2]	1.2.0		
		EC7000i[2]	1.2.0 or 1.5.0	1.5.0	1.5.0
	Panini	MyVision	1.2.0 or 1.5.0	1.5.0	1.5.0
		VisionX	1.5.0	1.5.0	1.5.0

[1] Supported connection via COM (male) to Serial (female)
[2] Supported connection via USB (male) to USB (male) or COM (male) to Serial (Female)
[3] Includes AGM Windows Vista Image

Note: USB-to-Serial adapters are not supported for any scanner device.

If you are required to be using both PCC OTC and OTCnet alternating from the same workstation, it will only work with firmware version 1.2.1. PCC OTC POS and OTCnet Check Capture applications will not operate correctly if you attempt to run them simultaneously.

If your agency chooses not to upgrade its firmware at this time, your current firmware will still be compatible and your OTCnet functionality will not be disrupted. However, your agency will need to upgrade its firmware by September 2012.

Optional Battery Pack

An optional battery pack can be used for the EC7000i scanner. Agencies who work in temporary housing or in areas where electricity may not always be available can utilize the battery pack to power the scanner for over an hour between charges. The battery package consists of a NiCd charger and a battery pack as seen below in Figure 1.

Figure 1. Optional Battery Pack

Charging the Battery Pack

Prior to using the battery pack, the unit must be charged by plugging it into a wall outlet. There is a 3-way switch on the battery pack. The switch has three symbols, **=** ,**O**, and **–**. Press the switch to move it to the '**–**' symbol for charging. The LED display on the NiCd charger glows orange for several minutes then changes to red. When fully charged, the LED display changes to green indicating that the battery pack is now ready for use.

Note: It takes approximately 2 hours to charge the battery pack. The battery pack provides 1.2 hours of continuous scanning, or approximately 497 checks, and has a continuous standby time of 5 hours.

Connecting the Battery Pack

To connect the battery pack to the scanner, disconnect the A/C cable from the port marked 'power' on the back of the scanner. Connect the short cable on the battery pack to the same

'power' port of the scanner. Press the 3-way switch on the battery pack to the '=' symbol. The scanner should power up as normal. The third switch on the battery pack is the middle position (the o symbol). This is the off position.

Optional Yes/ No Keypad

The Yes/No Keypad allows the customer to confirm the amount of the transaction during a transaction when the OTCnet terminal is configured to enable this feature, while in Customer Present mode. There are two models of Yes/No keypads used by OTCnet:

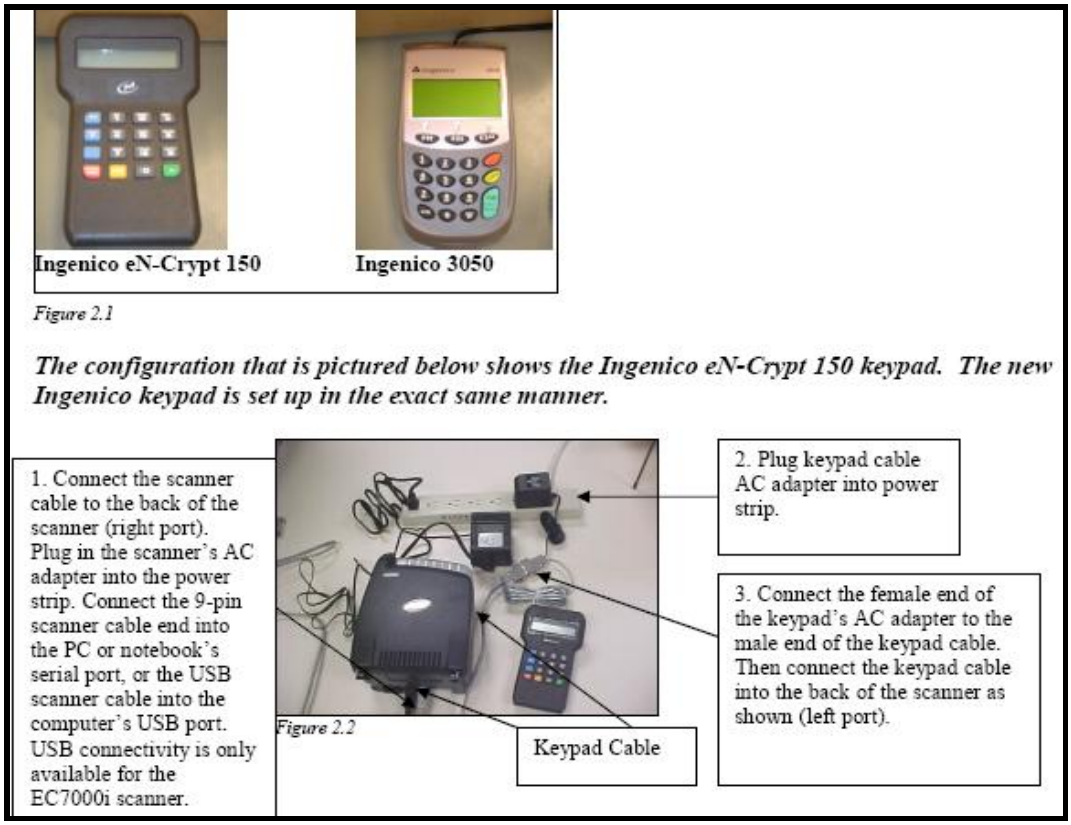
- Ingenico i3050
- Ingenico eN–Crypt

Note: Both keypads are compatible with Windows XP, Windows Vista, and Windows 7.

Note: USB-to-Serial adapters are not supported for any keypad device.

The keypads are connected through the back of the scanner as shown in Figure 2 below.

Figure 2. Optional Keypad



For More Information

To learn more about OTCnet, please access our website at: www.fms.treas.gov/otcnet, email us at fms.otcinformation@citi.com or call 1-866-945-7920.

Topic 4. OTCnet Technical Reference Guide

This section provides further information to your agency system administrator on the system and configuration requirements needed for the online use of OTCnet. Please note that the Check Scanning and Check Processing requirements are only necessary if OTCnet is utilized for check processing/check scanning. Your agency's OTCnet Point of Contact (POC) has the Deployment Specialist's contact information, should you require assistance.

OTCnet General Requirements

- **Entrust Root Certificate:** Validate that the "Entrust 2048" Root Certificate is installed in the "Trusted Root Certification Authorities" store for all user profiles on the workstation. The full name on the certificate is "Entrust.net Certification Authority (2048)". The "Entrust 2048" Root Certificate is normally installed by default with Internet Explorer. If it has been removed, you will need to have your agency re-install the certificate, which can be obtained at: http://www.entrust.net/developer
- **Internet Options Security Settings:** "Use TLS 1.0" must be enabled in the advanced tab of Internet Options for all user profiles on the workstation. TLS (Transport Layer Security) must be enabled in Internet Options for all user profiles on the workstation. TLS is normally enabled by default.

Check Scanning and Check Processing

- **Treasury Root Certificate:** The Treasury Root Certificate must be installed on each workstation, so that it appears in the "Trusted Root Certification Authorities" store for all user profiles on the workstation. Please refer to the "RootCertificateInstall-XP.docx" or "RootCertificateInstall-Vista.docx" documents for detailed instructions on how to install the Treasury Root Certificate.
- **OTCnet URL Added to Trusted Sites Zone:** You can use the Group Policy Object Editor or Group Policy Object Editor snap-in to add the OTCnet URL to the Trusted Sites Zone. This step is necessary to ensure ActiveX is enabled for OTCnet check scanning (ActiveX is typically enabled in the Trusted Sites Zone). Add the following OTCnet URL to the Trusted Sites Zone for all user profiles on the workstation: https://www.otcnet.fms.treas.gov
- **ActiveX must be enabled in browser:** If you cannot add the OTCnet URL to the Trusted Sites Zone, or if your organization does not enable ActiveX in the Trusted Sites Zone for your workstations, you will need to enable ActiveX in all Zones for all user profiles on each OTCnet workstation in order to support check processing.
- **Scanner Drivers (.MSI installation file):** Scanner driver and firmware (provided in an .MSI installation file) must be installed on the workstation. Instructions for obtaining and installing the .MSI file can be found in the OTCnet Web Based Training, Module 5.4: Download Firmware.
- **Java Runtime Environment (JRE) 1.6.0_20 or 1.6.0_24:** The Java Runtime Environment 1.6.0_20 (Java SE 6 Update 20) or 1.6.0_24 (Java SE 6 Update 24) must be installed and enabled on the workstation. If a JRE version higher than 1.6.0_24 is being used, please contact OTCnet Customer Service for compatibility questions or concerns.

- **Adobe:** All versions of Adobe are compatible with OTCnet, although Adobe X may require web browser configuration changes.
- **Adobe Reader[1]:** Adobe Reader must be installed on the workstation to support receipt printing.

[1] Adobe Reader Version 7.x or higher required.

Summary

In this chapter, you learned:

- How to prepare your system to use OTCnet
- What you need to use OTCnet at your workstation

In the next module, you will learn how to use access and navigate OTCnet.

Last updated May 11, 2012. Please visit: http://www.fms.treas.gov/otcnet/training.html for the most current information.

Notes

Index

ActiveX must be enabled in browser.....9
ActiveX Must Be Enabled in Browser 4
Adobe 4, 10
Adobe Reader[1] 4, 10
Charging the Battery Pack 7
Check Scanning and Check Processing.....9
Connecting the Battery Pack 7
Entrust Root Certificate 9
Free Disk Space.....5
Internet Options Security Settings 9
Java Access Bridge.....5
Java Runtime Environment (JRE) 1.6.0_20 or 1.6.0_24 .....4, 9
McAfee Exclusion.....5
Operating System 3
Optional Battery Pack 7
Optional Yes/ No Keypad.....8
OTCnet Bandwidth Requirements 5
OTCnet Check Capture Application System Requirements.....4
OTCnet Check Capture Hardware Requirements 6
OTCnet Check Capture Offline Application System Requirements 5
OTCnet General Requirements 9
OTCnet System Requirements.....3
OTCnet Technical Reference Guide.....9
OTCnet URL Added to Trusted Sites Zone 9
OTCnet URLs Added to Trusted Sites Zone 4
Printer Hardware.....6
Scanner Drivers (.MSI installation file):.....4, 9
Scanner Hardware 6
Secondary Storage 5
System Requirements 3
Treasury Root Certificate 4, 9
Windows User Permissions 5

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Chapter 2: Accessing and Navigating OTCnet

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Topics 1
Topic 1. Logging In to OTCnet Online/Offline 2
How to Log In for the First Time in OTCnet Online 3
Log In to OTCnet Online 10
How to Log In to OTCnet Offline for the First Time 13
How to Log In to OTCnet Offline 18
Topic 2. Accessing a User ID and Resetting Passwords 20
Access a User ID 21
Resetting Passwords 23
Topic 3. Navigating the OTCnet Online/Offline Home Page 26
OTCnet Online Main Menu 26
OTCnet Online Deposit Processing Tab Functionality 27
OTCnet Online Check Processing Tab Functionality 28
OTCnet Online Administration Tab Functionality 29
OTCnet Online Reports Tab Functionality 30
OTCnet Offline Administration Tab Functionality 31
OTCnet Offline Check Processing Functionality 32
Summary 34
Glossary 35
Index 49

LIST OF TABLES

Table 1. Main Menu Link Descriptions 26
Table 2. Deposit Processing Tab Descriptions 27
Table 3. Check Processing Tab Descriptions 28
Table 4. Administration Tab Descriptions 29
Table 5. Reports Tab Descriptions 30
Table 6. OTCnet Offline Administration Descriptions 31
Table 7: OTCnet Offline Administration Descriptions 32

LIST OF FIGURES

Figure 1. FMS Single Sign On Page 3
Figure 2. Password Change Page 4
Figure 3. GSS Rules of Behavior Page 5
Figure 4. Need to Change Your Password Challenge Response Page 5
Figure 5. Select and Provide Responses to Questions Page 6
Figure 6. Challenge Shared Secret Page 6
Figure 7. Logout and Close Browser 7
Figure 8. FMS Single Sign On Page 10
Figure 9. OTCnet Home Page 10
Figure 10. OTCnet Home Page 11
Figure 11: OTCnet Offline Icon 13
Figure 12: OTCnet Offline User Login Page 13
Figure 13: Set Permanent Password 14
Figure 14: Password Reset Confirmation 15
Figure 15: OTCnet Offline Icon 18

Figure 16: OTCnet Offline User Login Page 19
Figure 17. Single Sign On Page (Forgot Your User ID? Link) 21
Figure 18. Treasury Self Service Page (Enter Image of Text) 22
Figure 19. Forgot User ID (Enter Email Address) 22
Figure 20. Single Sign On Page (Forgot Your Password? Link) 23
Figure 21. Forgot Your Password Page 23
Figure 22. Self-Service Account/ Password Page 24
Figure 23. OTCnet Main Menu Page 27
Figure 24. Deposit Processing Tab 28
Figure 25. Check Processing Tab 29
Figure 26. Administration Tab 30
Figure 27. Reports Tab 31
Figure 28: OTCnet Offline Administration 32
Figure 29: OTCnet Offline Check Processing Descriptions 33

Audience, Overview and Topics

Audience

The intended audience for the *Accessing and Navigating OTCnet Participant User Guide* includes:

- All OTCnet Users

Overview

Welcome to *Accessing and Navigating OTCnet*. In this chapter, you will learn:

- How to log in to OTCnet Online/Offline
- How to access your User ID and reset your Password
- How to navigate the OTCnet Online/Offline home page

Topics

This chapter is organized by the following topics:

1. Logging in to OTCnet Online/Offline
2. Accessing a User ID and Resetting Passwords
3. Navigating the OTCnet Online/Offline Home Page

Topic 1. Logging In to OTCnet Online/Offline

To access OTCnet Online you must have your FMS Single Sign On User ID and Password. To obtain your user ID, contact your **Primary Local Security Administrator (PLSA)** or your **Local Security Administrator (LSA)**. After your User ID is created, you will receive an email with a temporary password.

The first time you log in to OTCnet Online Single Sign On, you will be required to change your password, accept the Rules of Behavior, provide challenge and response questions used for secondary authentication, and enter a shared secret that is used when calling the FMS Help Desk. Before accessing OTCnet Online, you must first accept the Rules of Behavior, answer the challenge questions and shared secret.

To log in to OTCnet Offline, you must have your User ID and temporary password. Your User ID is the same User ID you use to log in to OTCnet Online; however, your initial temporary password is different from your permanent password used to access OTCnet Online. To obtain your temporary password, contact your **Check Capture Administrator (CCA)**.

The first time you log in to OTCnet Offline, you will be required to change your password. To log in to OTCnet Offline, double-click the **OTCnet Offline (Production** or **QA)** icon on your terminal's desktop or click **Start** >**Programs**>**OTCnet Offline (Production** or **QA)>Start OTCnet Offline (Production** or **QA)**. If the icon does not reside in either location, contact your **CCA** to configure the terminal. If a terminal has more than one version of the OTCnet Offline application (Production or QA), do not run both at the same time as running more than one version at a time will cause errors.

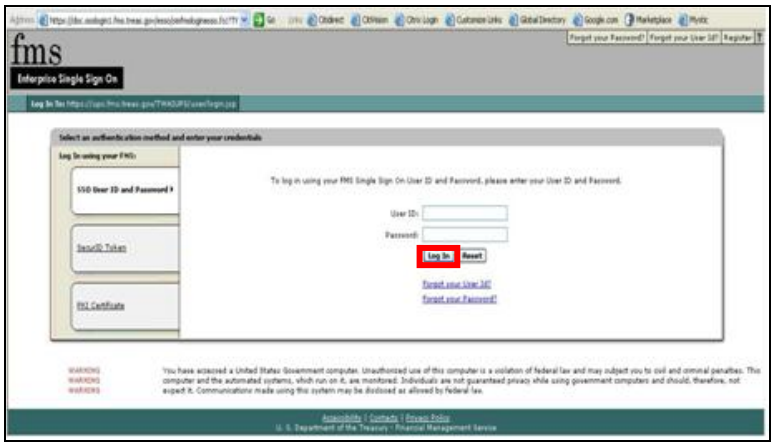
How to Log In for the First Time in OTCnet Online

Once you have received your User ID and generic password, you will want to access the OTCnet application to create a permanent password.

To log in for the first time in OTCnet Online, complete the following steps:

1. Access https://otcnet.fms.treas.gov. and enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In** as shown in Figure 1.

Figure 1. FMS Single Sign On Page

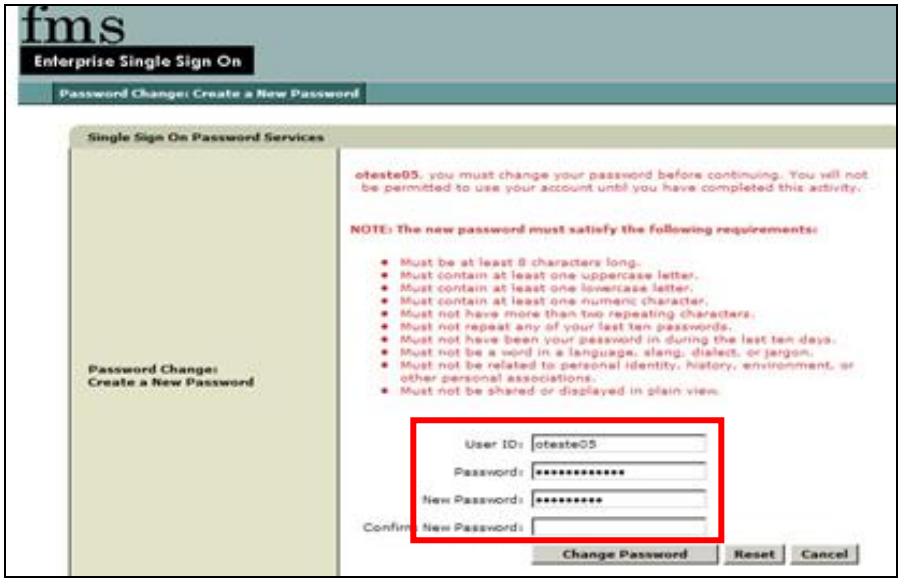


2. The *Password Change: Create New Password* page appears. Enter your temporary **Password**, **New Password**, and **Confirm New Password**. See Figure 2 below.

   Password Criteria
   a. Must be at least 8 characters long
   b. Must contain at least one upper case letter
   c. Must contain at least one lower case letter
   d. Must contain at least one numeric character
   e. Must not repeat any of your last ten passwords.
   f. Must not have been your password during the last ten days
   g. Must not be a word in a language, slang, dialect, or jargon
   h. Must not be related to personal identity, history, environment, or other personal associations
   i. Must not be shared or displayed in plain view.

   Click **Change Password**. A confirmation page appears stating your new password has been set. Click **Continue**.

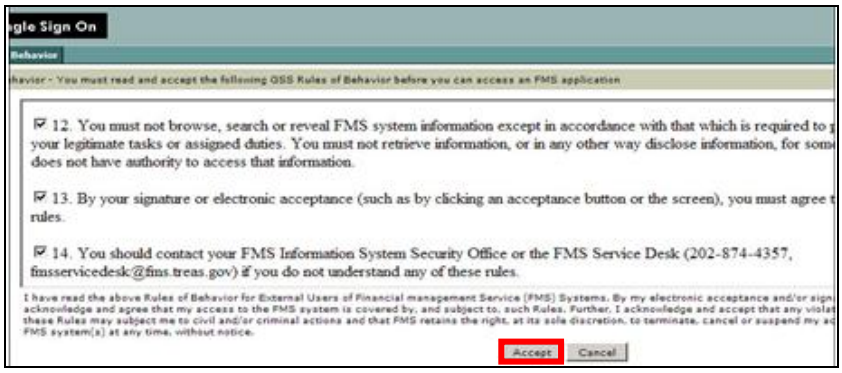
Figure 2. Password Change Page



3. The *GSS Rules of Behavior* page appears. Read and accept the GSS Rules of Behavior by clicking all 14 of the check boxes. Click **Accept** or **Cancel** as shown in Figure 3.

   If **Cancel** is clicked, you will be logged out of OTCnet. If you attempt to login to OTCnet again, the *GSS Rules of Behavior* page appears.

Figure 3. GSS Rules of Behavior Page



4. The *Need to Change your Password Challenge Response* page appears. Click **Continue**. See Figure 4 below.

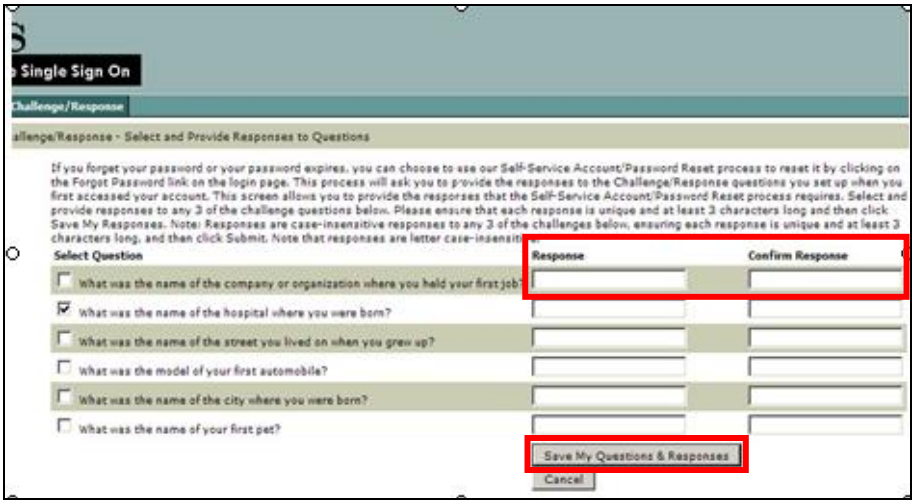
   You will not be able to proceed to OTCnet until the Rules of Behavior are accepted; the Challenge questions and Share Secret are set.

Figure 4. Need to Change Your Password Challenge Response Page

5. The *Change Challenge/Response – Select and Provide Reponses to Questions* page appears. Select any three challenge questions you want to response to by clicking the check boxes next to the questions.

   Provide you responses in the **Response** and **Confirm Response** fields. Each response must be at least three characters long and are case sensitive. Click **Save My Questions and Responses**. See Figure 5 below.

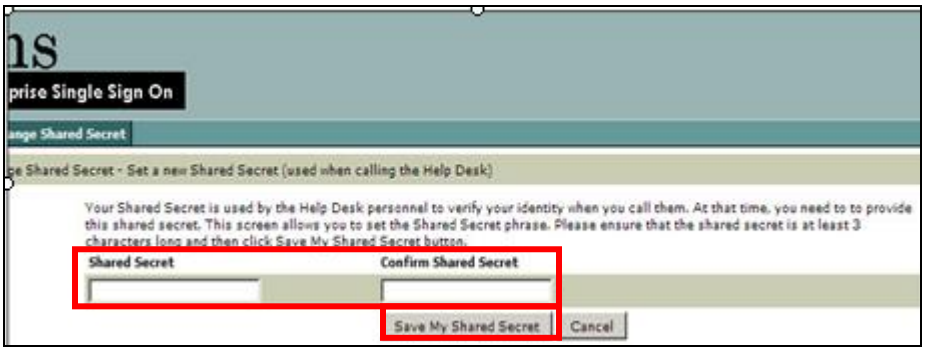
Figure 5. Select and Provide Responses to Questions Page



6. A *Change Shared Secret* page appears. Enter a **Shared Secret** phrase and **Confirm Shared Secret** phrase (see Figure 6). The shared secret phrase must be at least three characters.

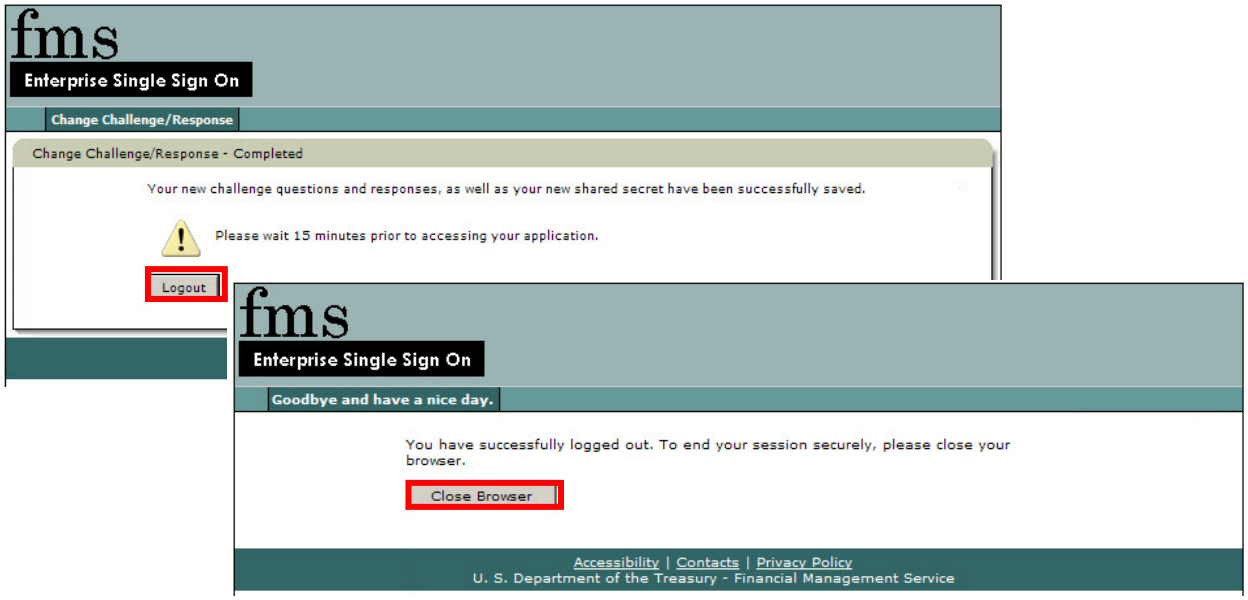
   You will not be able to proceed to OTCnet until the Challenge questions and Share Secret are set. Click **Save My Shared Secret** as shown in Figure 6.

Figure 6. Challenge Shared Secret Page



7. A confirmation page appears showing the challenge questions and responses and your new shared secret were successfully saved. Click **Logout**, then **Close Browser** as shown in Figure 7.

Figure 7. Logout and Close Browser



After your challenge questions and responses as well as your shared secret are successfully saved, wait 15 minutes prior to accessing OTCnet.

Log In to OTCnet Online the First Time

To log in to FMS Single Sign On (OTCnet Online) for the first time, complete the following steps:

1. Access https://otcnet.fms.treas.gov.

2. Enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In**. The *Password Change: Create New Password* page appears.

3. Enter your temporary **Password**, **New Password**, and **Confirm New Password**.

   Password Criteria
   a. Must be at least 8 characters long
   b. Must contain at least one upper case letter
   c. Must contain at least one lower case letter
   d. Must contain at least one numeric character
   e. Must not repeat any of your last ten passwords
   f. Must not have been your password during the last ten days
   g. Must not be a word in a language, slang, dialect, or jargon
   h. Must not be related to personal identity, history, environment, or other personal associations
   i. Must not be shared or displayed in plain view

4. Click **Change Password**. A confirmation page appears stating your new password has been set.

5. Click **Continue**. The *GSS Rules of Behavior* page appears.

6. Read and accept the GSS Rules of Behavior by clicking all the check boxes.

7. Click **Accept** or **Cancel**. The *Need to Change your Password Challenge Response* page appears.

   Application Tip

   If **Cancel** is clicked, you will be logged out of OTCnet. If you attempt to login to OTCnet again, the *GSS Rules of Behavior* page will appear. You will not be able to proceed to OTCnet until the Rules of Behavior are accepted, and the Challenge questions and Share Secret are set.

8. Click **Continue**. The *Change Challenge/Response – Select and Provide Reponses to Questions* page appears.

9. Select any three challenge questions you want to respond to by clicking the check boxes next to the questions, and provide your responses in the **Response** and **Confirm Response** fields.

> **Application Tip**
>
> Each response must be at least three characters long and are case sensitive.

10. Click **Save My Questions and Responses**. A *Change Shared Secret* page appears.

11. Enter a **Shared Secret** phrase and **Confirm Shared Secret** phrase.

> **Application Tip**
>
> The shared secret phrase must be at least three characters. You will not be able to proceed to OTCnet until the Challenge questions and Share Secret are set.

12. Click **Save My Shared Secret**. A confirmation page appears showing the challenge questions and responses and your new shared secret were successfully saved.

13. Click **Logout**.

> **Application Tip**
>
> After your challenge questions and responses as well as your shared secret are successfully saved, wait 15 minutes prior to accessing OTCnet.

14. Click **Close Browser**.

Log In to OTCnet Online

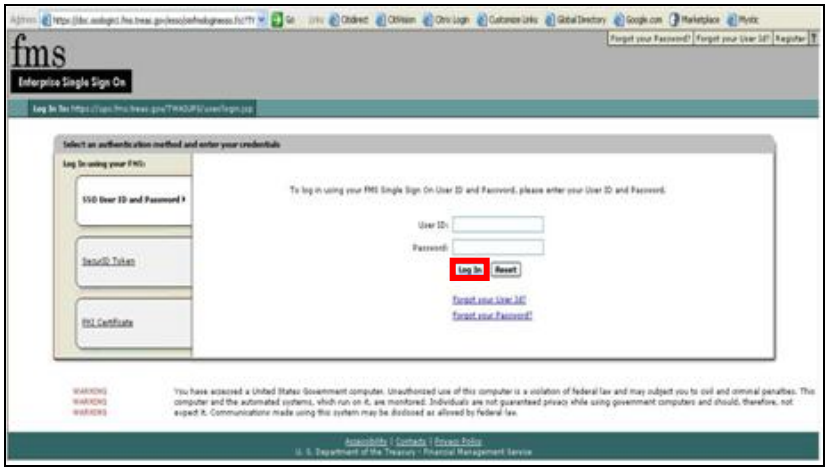
Once you have changed your password, responded to the challenge questions, and established a shared secret, you can log in to OTCnet to access functionality for one or more of the following:

- Administration
- Deposit Processing and Reporting
- Check Capture
- Check Processing
- Access User Identity (ID) and Reset Password

To log in to OTCnet Online, complete the following steps:

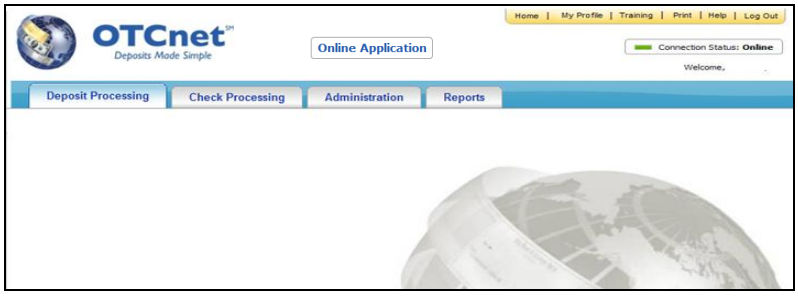
1. Access https://otcnet.fms.treas.gov and enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In** as shown in Figure 8.

Figure 8. FMS Single Sign On Page



2. The *OTCnet Home Page* appears. See Figure 9 below.

Figure 9. OTCnet Home Page



Once you have logged in to OTCnet, you can review the Privacy Statement link at the bottom of the page, as well as the Accessibility Statement link (see Figure 10 below for location).

Figure 10. OTCnet Home Page

Log In to OTCnet Online

To log in to FMS Single Sign On (OTCnet Online), complete the following steps:

1. Access https://otcnet.fms.treas.gov.
2. Enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In**. The *OTCnet Home Page* appears.

How to Log In to OTCnet Offline for the First Time

Once you have received your User ID and temporary password from your **CCA**, you will want to access the OTCnet Offline application to create a permanent password.

To log in to OTCnet Offline for the first time, complete the following steps.

1. Double-click the **OTCnet Offline (Production** or **QA)** icon located on your terminal's desktop or click **Start** >**Programs**>**OTCnet Offline (Production** or **QA)>Start OTCnet Offline (Production** or **QA)** (see Figure 11 below).

   If the icon does not reside in either location, contact your **CCA** to configure the terminal.

   If a terminal has more than one version of the OTCnet Offline application (Production or QA), do not run both at the same time as running more than one version at a time will cause errors.

Figure 11: OTCnet Offline Icon

2. Enter your **User ID** and temporary **Password** in the appropriate text boxes, and click **Log In** (see Figure 12 below).

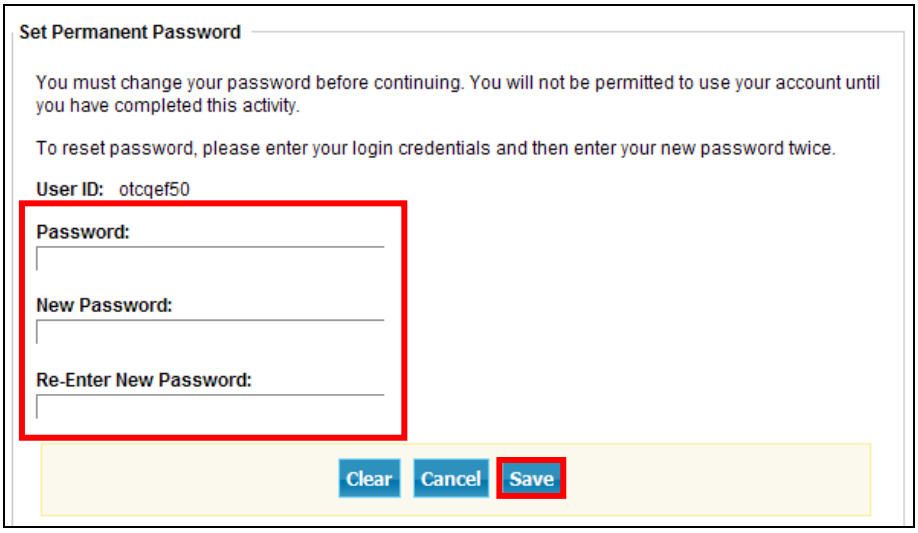
   If you are a **CCA** and this is the first time logging into OTCnet Offline or need to download user profiles, click the **Retrieve Admin Profile** link.

Figure 12: OTCnet Offline User Login Page

3. The *Set Permanent Password* page appears. Enter your temporary **Password**, **New Password**, and **Re-Enter New Password** and click **Save** (see Figure 13 below).

   Password Criteria
   a. Must be at least 8 characters long
   b. Must contain at least one upper case letter
   c. Must contain at least one lower case letter
   d. Must contain at least one numeric character
   e. Must not repeat any of your last ten passwords.
   f. Must not have been your password during the last ten days
   g. Must not be a word in a language, slang, dialect, or jargon
   h. Must not be related to personal identity, history, environment, or other personal associations
   i. Must not be shared or displayed in plain view.

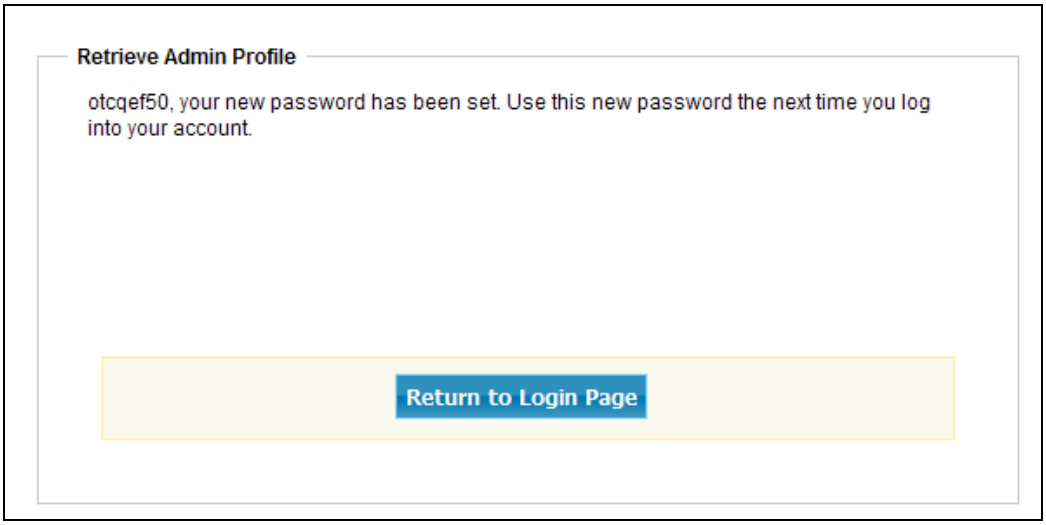
Figure 13: Set Permanent Password



4. A *Confirmatio*n page appears stating your new password has been set.

   After the profile is successfully downloaded and password was reset, you will be prompted to log in to the system with your new password. Click **Return to Login Page** to login to the OTCnet Offline.

Figure 14: Password Reset Confirmation



To stop the OTCnet Offline application, click **Start** Menu>**Programs**> **OTCnet Offline** (**Production** or **QA**)>**Stop OTCnet Offline** (**Production** or **QA**). Stopping the OTCnet Offline application ensures the application is completely closed and that your OTCnet session is terminated securely. It is recommended that after stopping OTCnet Offline, wait at least one to two minutes before restarting.

If more than one version of the **OTCnet Offline** application resides on a terminal, be sure to stop the correct version of the OTCnet Offline application (**Stop OTCnet Offline Production** or **QA**).

Log In to OTCnet Offline for the First Time

To log in OTCnet Offline for the first time, complete the following steps:

1. Double-click the **OTCnet Offline** (**Production** or **QA**) icon located on your terminal's desktop.

   Or

   Click **Start**>**Programs**>**OTCnet Offline** (**Production** or **QA**)>**Start OTCnet Offline** (**Production** or **QA**).

> **Application Tip**
>
> If the icon does not reside in either location, contact your **Check Capture Administrator** (**CCA)** to configure the terminal.

> **Application Tip**
>
> If a terminal has more than one version of the OTCnet Offline application (Production or QA), do not run both at the same time as running more than one version at a time will cause errors.

2. Enter your **User ID** and temporary **Password** in the appropriate text boxes, and click **Log In**. The *Set Permanent Password* page appears.

> **Application Tip**
>
> If you are a **Check Capture Administrator** and this is the first time logging into OTCnet Offline or need to download user profiles, click the **Retrieve Admin Profile** link.

3. Enter your temporary **Password**, **New Password**, and **Re-Enter New Password**.

Application Tip

Password Criteria

- Must be at least 8 characters long
- Must contain at least one upper case letter
- Must contain at least one lower case letter
- Must contain at least one numeric character
- Must not have more than two repeating characters.
- Must not repeat any of your last ten passwords.
- Must not have been your password during the last ten days
- Must not be a word in a language, slang, dialect, or jargon
- Must not be related to personal identity, history, environment, or other personal associations
- Must not be shared or displayed in plain view.

4. Click **Save**. A confirmation page appears stating your new password has been set.

Application Tip

After the profile is successfully downloaded and password was reset, you will be prompted to log in to the system with your new password.

Application Tip

To stop the OTCnet Offline application, click **Start** Menu>**Programs**> **OTCnet Offline** (**Production** or **QA**)>**Stop OTCnet Offline** (**Production** or **QA**). Stopping the OTCnet Offline application ensures the application is completely closed and that your OTCnet session is terminated securely. It is recommended that after stopping OTCnet Offline, wait at least one to two minutes before restarting.

Application Tip

If more than one version of the **OTCnet Offline** application resides on a terminal, be sure to stop the correct version of the OTCnet Offline application (**Stop OTCnet Offline Production** or **QA**).

How to Log In to OTCnet Offline

After you have reset your temporary password, you can log in to OTCnet Offline. You can click the **Return to Login Page** to be returned to the Login Page. If you choose not to immediately access OTCnet Offline after resetting you temporary password, you can double-click the OTCnet Offline icon or access your Start Menu under Programs.

To log in to OTCnet Offline, complete the following steps:

1. Double-click the **OTCnet Offline (Production** or **QA)** icon located on your terminal's desktop or click **Start** >**Programs**>**OTCnet Offline (Production** or **QA)>Start OTCnet Offline (Production** or **QA)** (see Figure 15 below).

   If the icon does not reside in either location, contact your **CCA** to configure the terminal.

   If a terminal has more than one version of the OTCnet Offline application (Production or QA), do not run both at the same time as running more than one version at a time will cause errors.

Figure 15: OTCnet Offline Icon

2. Enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In** (see Figure 16 below).The *OTCnet Home Page* appears.

Figure 16: OTCnet Offline User Login Page

To stop the OTCnet Offline application, access the **Start Menu**, **select Programs>OTCnet Offline** and click **Stop OTCnet Offline**. Stopping the OTCnet Offline application ensures the application is completely closed and that your OTCnet session is terminated securely.

Log In to OTCnet Offline

To log in to OTCnet Offline, complete the following steps:

1. Double-click the **OTCnet Offline** (**Production** or **QA**) icon located on your terminal's desktop.

   Or

   Click **Start**>**Programs**>**OTCnet Offline** (**Production** or **QA**)>**Start OTCnet Offline** (**Production** or **QA**).

Application Tip

If the icon does not reside in either location, contact your **Check Capture Administrator (CCA)** to configure the terminal.

Application Tip

If a terminal has more than one version of the OTCnet Offline application (Production or QA), do not run both at the same time as running more than one version at a time will cause errors.

2. Enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In**. The *OTCnet Home Page* appears.

Application Tip

To stop the OTCnet Offline application, click **Start**>**Programs**>**OTCnet Offline** (**Production** or **QA**)>**Stop OTCnet Offline** (**Production** or **QA**). Stopping the OTCnet Offline application ensures the application is completely closed and that your OTCnet session is terminated securely. It is recommended that after stopping OTCnet Offline, wait at least one to two minutes before restarting.

Application Tip

If more than one version of the **OTCnet Offline** application resides on a terminal, be sure to stop the correct version of the OTCnet Offline application (**Stop OTCnet Offline Production** or **QA**).

Topic 2. Accessing a User ID and Resetting Passwords

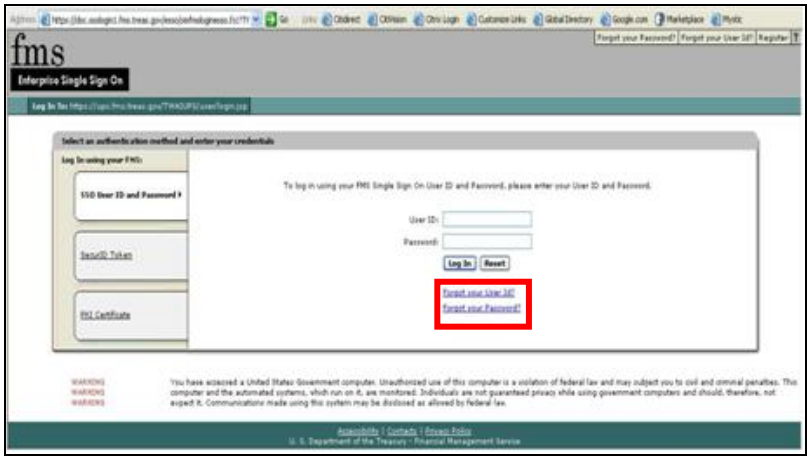
If you forget your Single Sign On User ID for OTCnet Online, you can have your User ID emailed to you. If you forget your online password, you can have a temporary password emailed to you. Once you sign in with your temporary password, you will need to reset it.

Access a User ID

To access a user ID, complete the following steps:

1. From the Single Sign On page, click on the **Forgot your User ID?** link shown in Figure 11 below.

Figure 17. Single Sign On Page (Forgot Your User ID? Link)



2. The *Treasury Self Service* page appears. Enter the words you seen in the image in the text box and click **Next** (see Figure 12).

If you want to receive a new image of the text, click on **New Image**. To hear the set of words and enter them in the text box, click **Audio Test**. You can click on **Help** to receive detailed instructions.

Figure 18. Treasury Self Service Page (Enter Image of Text)

3. Enter your email address and click **Next** (shown in Figure 13 below). A confirmation page appears showing your request for your User ID has been completed.

Figure 19. Forgot User ID (Enter Email Address)

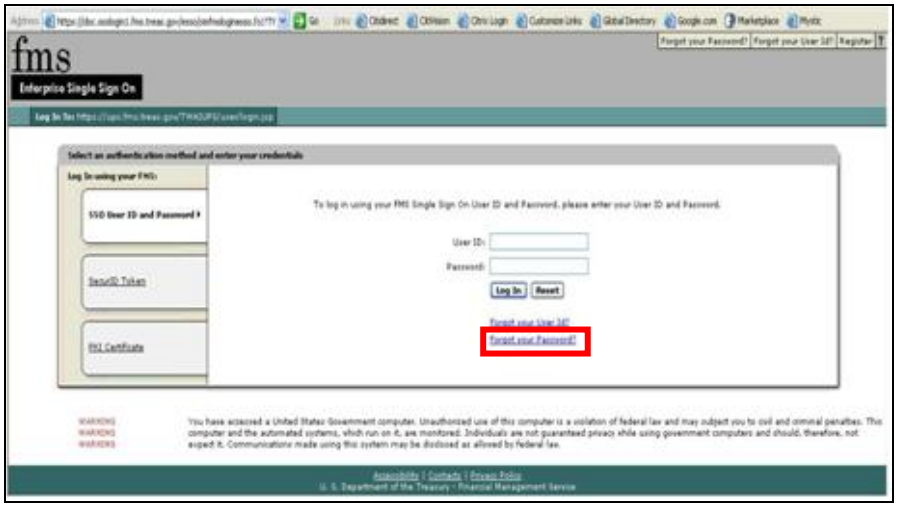
Click **Cancel** to return to the Single Sign On page. No data will be saved

Resetting Passwords

To reset a password, complete the following steps:

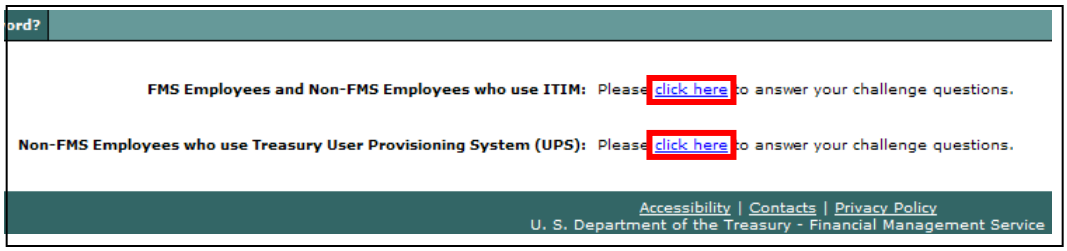
1. From the Single Sign On page, click on the **Forgot your Password?** link as shown in Figure 14 below.

Figure 20. Single Sign On Page (Forgot Your Password? Link)



2. The *Forgot your Password* page appears. Click the **Click Here** link for FMS Employees and Non-FMS Employees who use ITIM (see Figure 15 below).

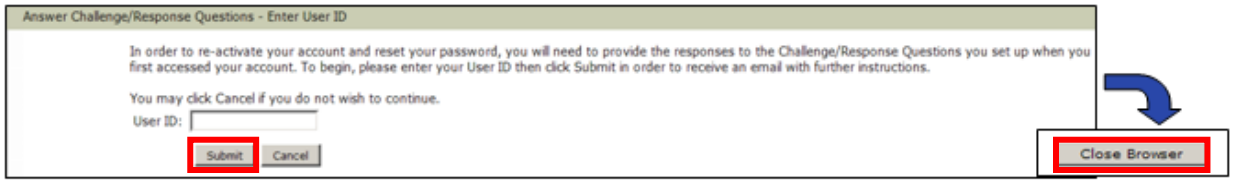
Figure 21. Forgot Your Password Page



3. The *Self-Service Account/Password Reset* page appears. Enter your **User ID** and click **Submit** (see Figure 16 below).

   You will receive an email to your official email address with further instructions to complete the Self-Service Account/Password Reset process. Click **Close Browser** as shown in Figure 16.

Figure 22. Self-Service Account/ Password Page



Reset Password

To reset your password, complete the following steps:

1. From the FMS Single Sign On page, click the **Forgot your Password?** link. The *Forgot your Password* page appears.

2. Click the **Check Here** link for FMS Employees and Non-FMS Employees who use ITIM. The *Self-Service Account/Password Reset* page appears.

3. Enter your **User ID** and click **Submit**. You will receive an email to your official email address with further instructions to complete the Self-Service Account/Password Reset process.

4. Click **Close Browser**.

Application Tip

Check your **Junk E-mail** folder if you do not receive an email with your password. It is recommended that you add itim@fms.treas.gov to **your Safe Senders** or **Safe Recipients** list.

Topic 3. Navigating the OTCnet Online/Offline Home Page

The OTCnet Online home page allows a user to process deposits, capture checks, process checks, view reports, and perform administrative and security functions. Additionally, a user can access information for training, help and update their profiles. The OTCnet Online home page is accessible by users who can either view or perform any of the functionality above.

The OTCnet Offline home page allows a user to capture checks along with transaction data, perform administrative functions and access information for help. The OTCnet Offline home page is accessible by users who can either view or perform any of the functionality above.

OTCnet Online Main Menu

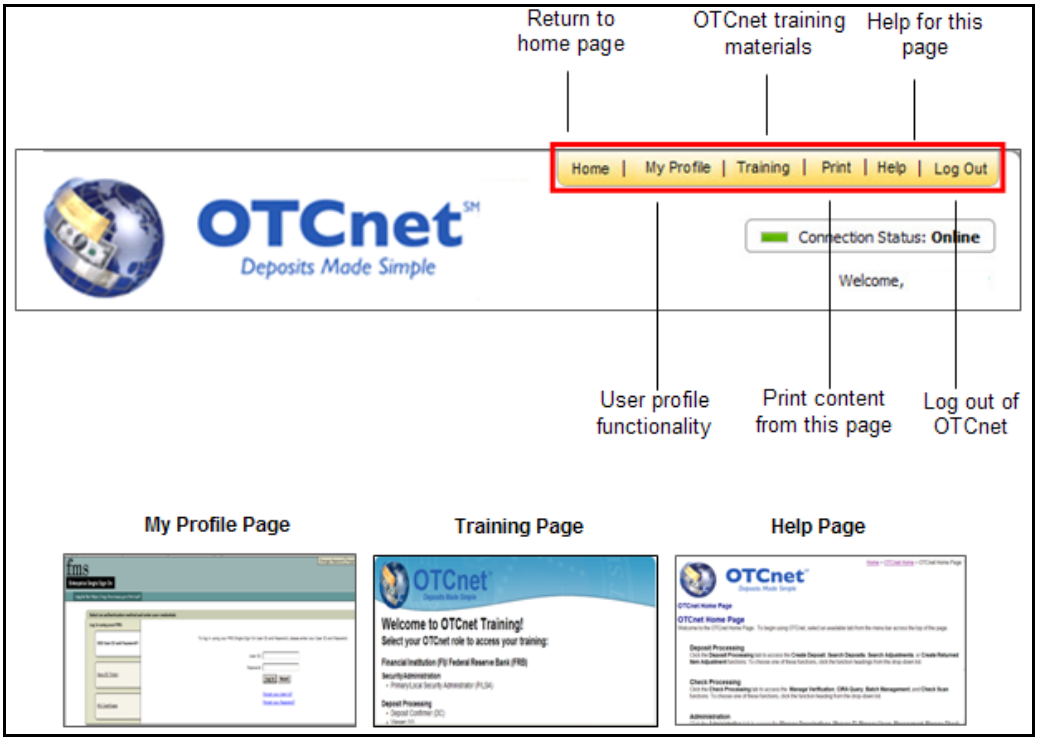
To access the OTCnet Main Menu, log in with your User ID and Password by accessing https://otcnet.fms.treas.gov. Table 1 below provides a list of the Main Menu options are available to you and accessible on the upper right corner of the OTCnet application (highlighted in yellow).

Table 1. Main Menu Link Descriptions

Link	Description
Home	Allows a user to return to the OTCnet home page.
My Profile	Allows a user to retrieve his or her User ID or reset a Password.
Training	Allows a user to access the WBT training and other corresponding training materials.
Print	Allows a user to print the page.
Help	Allows a user to access help for the page they are on.
Log Out	Allows a user to log out of OTCnet.

For an image of the Main Menu, see Figure 17 below. The links are accessible on the upper right side of the OTCnet home page.

Figure 23. OTCnet Main Menu Page



OTCnet Online Deposit Processing Tab Functionality

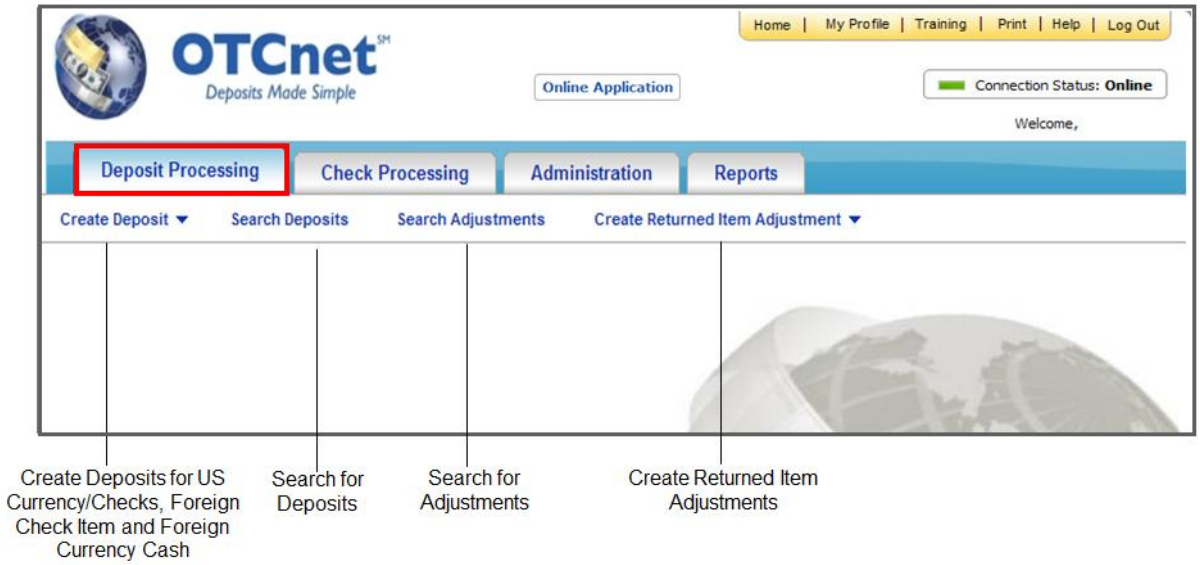
To access the OTCnet Deposit Processing functionality, log in with your user id and password. Table 2 below provides a list of the Deposit Processing functions that are available to you.

Table 2. Deposit Processing Tab Descriptions

Function	Description
Create Deposit	Allows a user to create deposits for US Currency, Foreign Check Items, and/or Foreign Currency Cash.
Search Deposits	Allows a user to search for deposits.
Search Adjustments	Allows a user to search for adjustments.
Create Returned Item Adjustment	Allows a user to create a returned item adjustment.

For an image of the Deposit Processing tab, see Figure 24 below. Depending on you user role, you may not see all functionality shown in the image.

Figure 24. Deposit Processing Tab



OTCnet Online Check Processing Tab Functionality

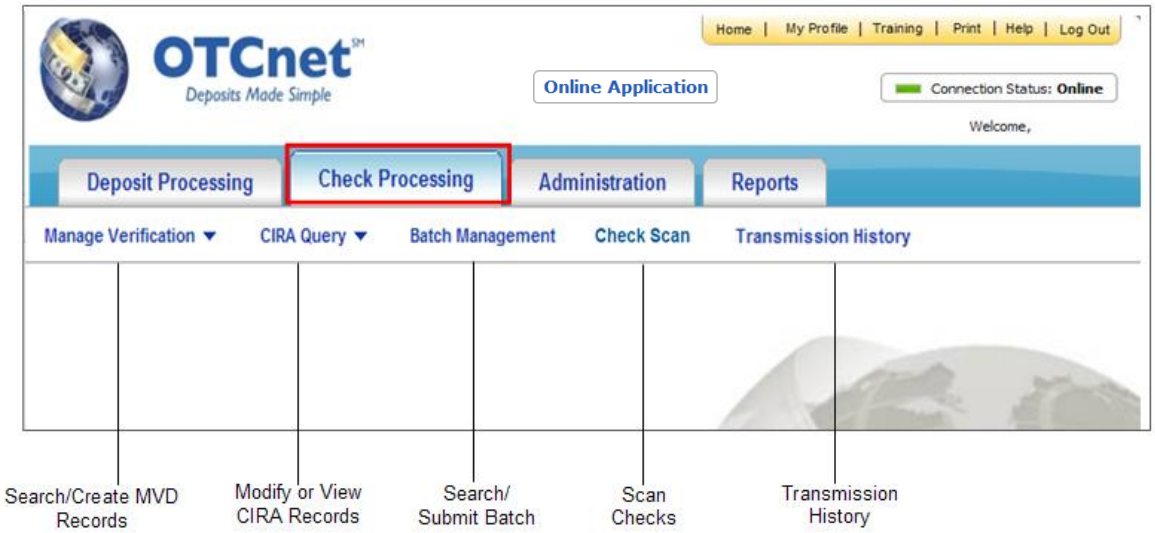
To access the OTCnet Check Processing functionality, log in with your user id and password. Table 3 below provides a list of the Check Processing functions that are available to you.

Table 3. Check Processing Tab Descriptions

Function	Description
Manage Verification	Allows a user to search and/or create an MVD record.
CIRA Query	Allows a user to view and/or modify a CIRA record.
Batch Management	Allows a user to search, view, close, approve and submit a batch. A user may edit and void an item within a batch with the proper permission.
Check Scan	Allows a user to scan checks.
Transmission History	Allows a user to view transmission history for batches that are uploaded from the offline check capture application.

For an image of the Check Processing tab, see Figure 25 below. Depending on you user role, you may not see all functionality shown in the image.

Figure 25. Check Processing Tab



OTCnet Online Administration Tab Functionality

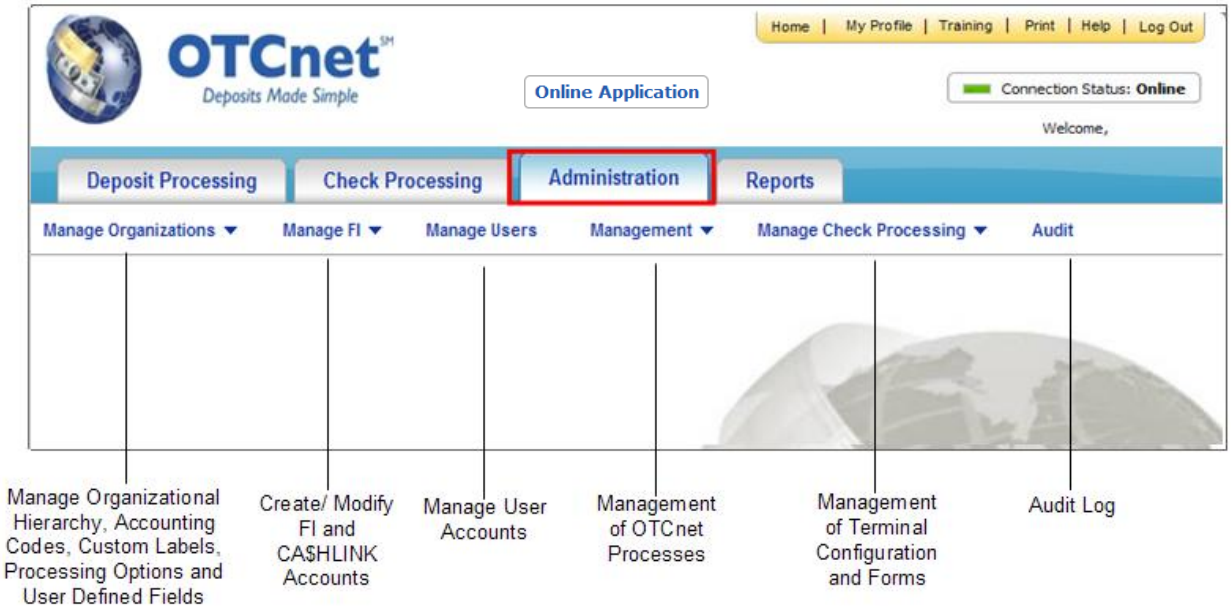
To access the OTCnet Administration functionality, log in with your user id and password. Table 4 below provides a list of the Administration functions that are available to you.

Table 4. Administration Tab Descriptions

Function	Description
Manage Organizations	Allows a user to manage Organization Hierarchy, Accounting Codes, Custom Labels, Processing Options, and User Defined Fields.
Manage FI	Allows a user to create and/or modify a Financial Institution, transfer FI RTN Numbers, transfer CA$HLINK accounts, and maintain FRB CA$HLINK accounts.
Manage Users	Allows a user to manage OTCnet user accounts.
Management	Allows a user to manage OTCnet processes.
Manage Check Processing	Allows a user to manage terminal configuration and forms.
Audit	Allows a user to review the audit log history.

For an image of the Administration tab, see Figure 26 below. Depending on your user role, you may not see all functionality shown in the image.

Figure 26. Administration Tab



OTCnet Online Reports Tab Functionality

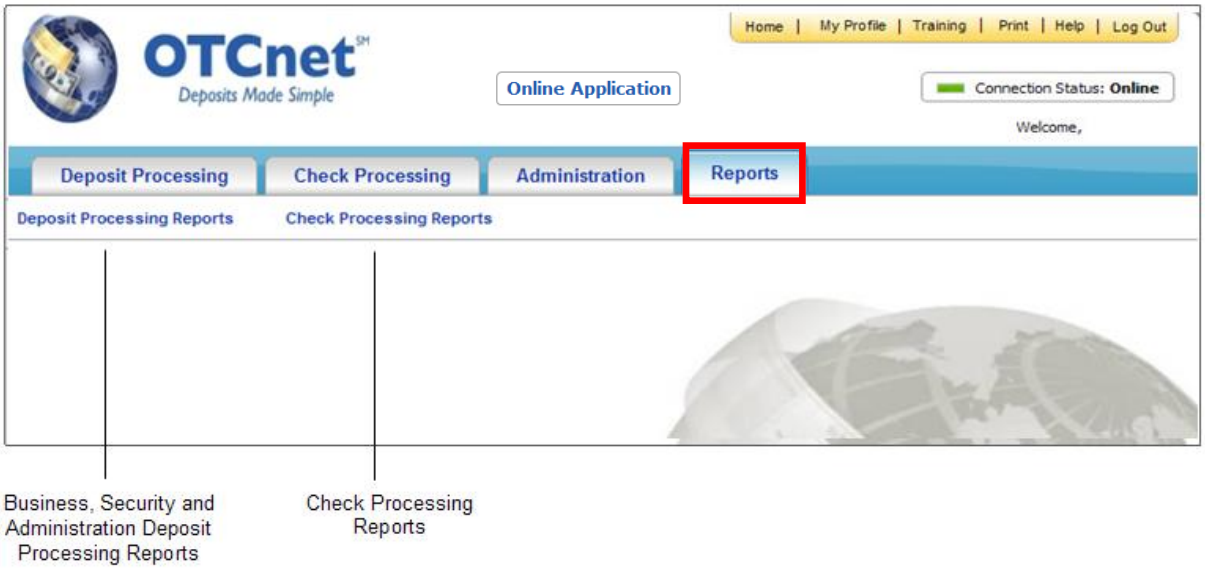
To access the OTCnet Reports functionality, log in with your user id and password. Table 5 below provides a list of the Reports functions that are available to you. Depending on your user role, you will only see reports that you have access to view and download.

Table 5. Reports Tab Descriptions

Function	Description
Deposit Processing Reports	Allows a user to view and download Business, Security and Administration reports.
Check Processing Reports	Allows a user to access Check Processing reports.

For an image of the Reports tab, see Figure 27 below. Depending on your user role, you may not see all functionality shown in the image.

Figure 27. Reports Tab



OTCnet Offline Administration Tab Functionality

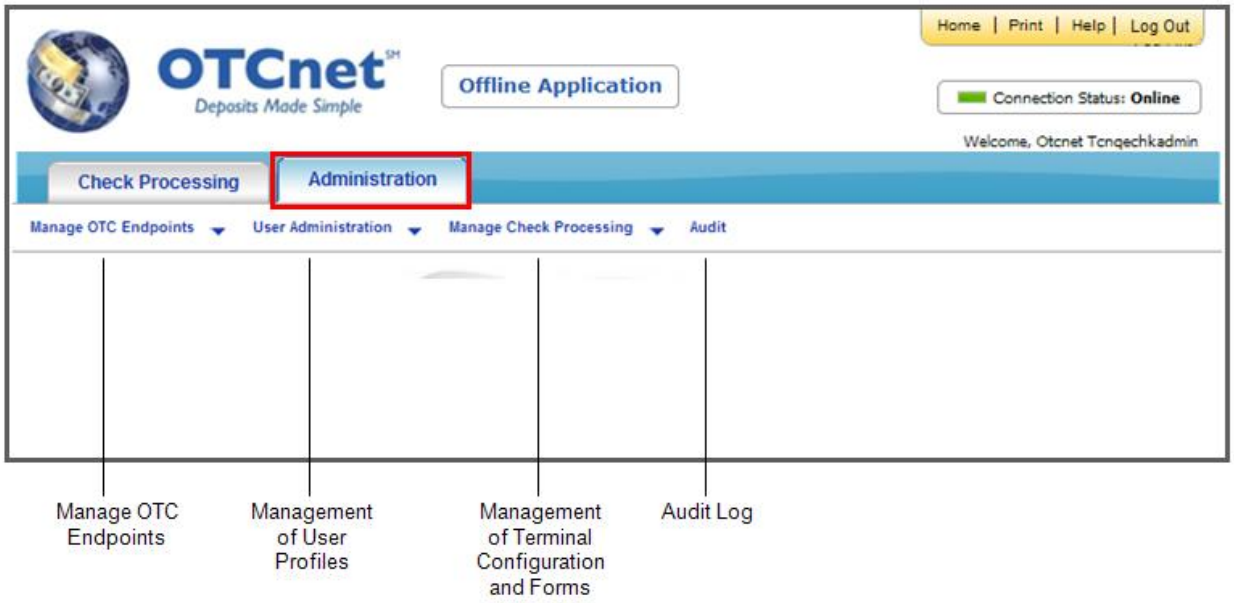
To access the OTCnet Offline Administration functionality, log in with your user id and password. Table 6 below provides a list of the Administration functions that are available to you.

Table 6. OTCnet Offline Administration Descriptions

Function	Description
Manage OTC Endpoints	Allows a user to select and download OTC Endpoints.
User Administration	Allows a user to download, update, and manage user profiles.
Manage Check Processing	Allows a user to manage terminal configuration and forms.
Audit	Allows a user to review the audit log history.

For an image of the Administration tab, see Figure 28 below. Depending on your user role, you may not see all functionality shown in the image.

Figure 28: OTCnet Offline Administration



OTCnet Offline Check Processing Functionality

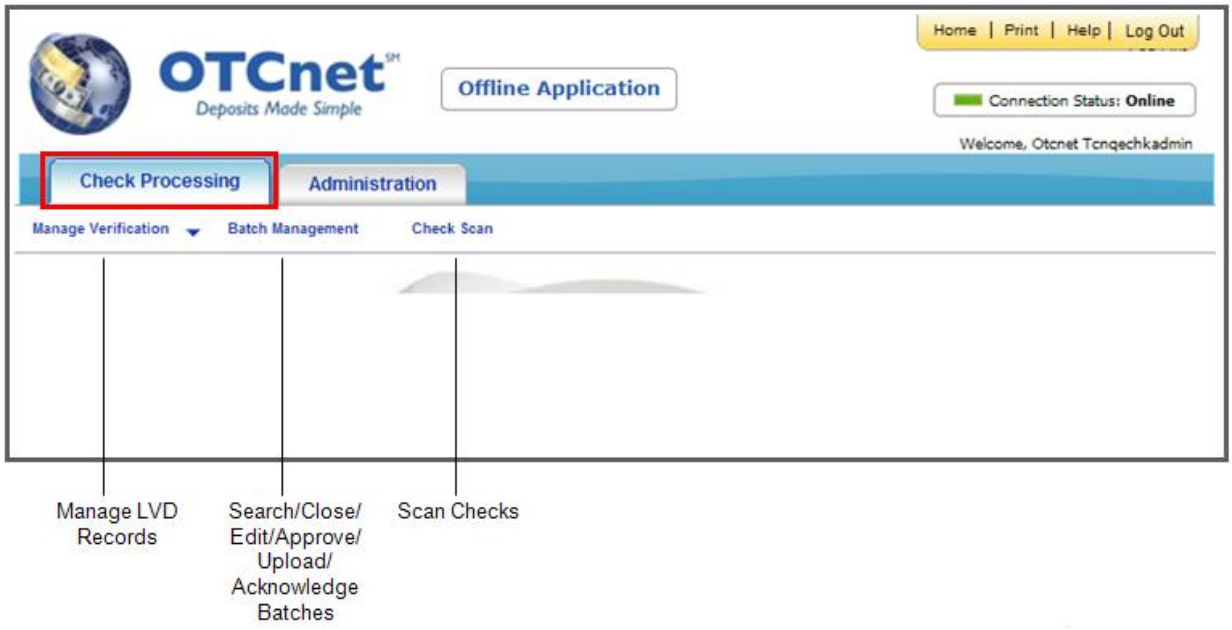
To access the OTCnet Offline Check Processing functionality, log in with your user id and password. Table 7 below provides a list of the Check Processing functions that are available to you.

Table 7: OTCnet Offline Administration Descriptions

Function	Description
Manage Verification	Allows a user to select and download OTC Endpoints.
Batch Management	Allows a user to search, view, close, approve, upload and acknowledge a batch. A user may edit and void an item within a batch with the proper permission.
Check Scan	Allows a user to scan checks.

For an image of the Administration tab, see Figure 29 below. Depending on your user role, you may not see all functionality shown in the image.

Figure 29: OTCnet Offline Check Processing Descriptions



Summary

In this chapter, you learned:

- How to log in to OTCnet Online/Offline
- How to access your User Id and reset your Password
- How to navigate the OTCnet Online/Offline home page

In the next chapter, you will learn how to capture and manage checks if applicable; otherwise proceed to chapters 5-13.

Notes

Index

Accessing a User ID.....1, 21
Administration Tab Functionality.....29
Check Processing Tab Functionality.....28
Deposit Processing Tab Functionality.....27
Logging on to OTCnet.....1
Navigating.....1, 26
Navigating OTCnet 1
Reports Tab Functionality.....30
Resetting Passwords.....1, 23

OTCnet℠

Deposits Made Simple

Chapter 4: Capturing and Managing Checks Online

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Topics 1
Topic 1. Purpose of Capturing and Managing Checks Online 3
Topic 2. Capture a Check Online 4
Introduction to Capturing a Check 4
Types of Acceptable and Unacceptable Checks 5
Processing Modes 6
Processing Methods 7
Item Types 7
Check Scanner Types and Check Placement 8
Check Capture Acceptance 10
Steps for Scanning a Check Online 11
Topic 3. Manage Poor Check Image Quality 19
Managing a Check with Poor Image Quality 27
Topic 4. Resolve a Duplicate Check 31
Resolving a Duplicate Check 32
Topic 5. Void a Check 36
Voiding a Check 37
Topic 6. Override a Master Verification Database (MVD) Record 47
Overriding a MVD Record 48
Topic 7. Perform Batch Control and Batch Balancing 52
Batch Control Options 53
Batch Balancing 59
Topic 8. View and Print a Batch List/ Item Detail Report 61
Batch List Report 61
Item Detail Report 66
Topic 9. Activate/Deactivate a Batch 74
Activating/ Deactivating 74
Topic 10. Close a Batch 80
Closing a Single Batch 80
Closing Multiple Batches 87
Topic 11. Approve a Batch 94
Approving a Single Batch 94
Approving Multiple Batches 100
Topic 12. Print a Receipt 111
Receipt Printing from Check Scan (Singe/Batch Mode) 111
Receipt Printing from Batch Management (Singe/Batch Mode) 112
Summary 120
Glossary 121
Index 12135

LIST OF TABLES

Table 1. Check Capture/Processing and Batch Permission Matrix 3
Table 2. Scanner Types 8
Table 3. Scan Controls Menu 15
Table 4. Batch Status Types 80

LIST OF FIGURES

Figure 1. EC5000i 9
Figure 2. EC6000i and EC7000i 9
Figure 3. Panini Scanner 10
Figure 4. Check Processing> Check Scan 11
Figure 5. Click Scan- Select Batch Page 11
Figure 6: Agency Form Data Entry Fields 12
Figure 7. FedACH and Check 21 Item Types 13
Figure 8. Start Scan 14
Figure 9. Waiting for Check Image 14
Figure 10. Scanner Check Image (Sample Images) 15
Figure 11. Save Check 17
Figure 12. Scanner Config Menu Option 18
Figure 13. Transaction Saved Successfully 18
Figure 14. Poor Image Quality 26
Figure 15. Good Image Quality 27
Figure 16. Image Quality Failed Message 27
Figure 17. Login Dialog Box 28
Figure 18. Check Scan- Perform Check Scan Page 28
Figure 19. Duplicate Check Detected 32
Figure 20.Cancel a Check Dialog Box 33
Figure 21. Accept Duplicate Prompt 33
Figure 22. Check Scanning Proceeds (print receipt as necessary) 34
Figure 23. Check Processing> Batch Management (Voiding) 37
Figure 24. Search Batch Page 38
Figure 25. View Batches Page (Voiding) 39
Figure 26. View Checks Page (Voiding) 40
Figure 27. Check Image/ Details 41
Figure 28. Void Confirmation Dialog Box 42
Figure 29. Enter Comment Dialog Box 43
Figure 30. Check Void Dialog Box 44
Figure 31. Override Check Denial Box 48
Figure 32. Override Login Dialog Box 49
Figure 33. Enter Comments Box 49
Figure 34. Batch Control Page (Batch Create) 53
Figure 35. Perform Check Scan Page (after Batch Control) 54
Figure 36. Batch Control Page (Batch Close) 55
Figure 37. Close Batch Page (Batch Close) 56
Figure 38. Print Batch List Report (Batch Close) 56
Figure 39. Batch Balancing Screen (Failed to Balance) 59
Figure 40. Check Processing>Batch Management (View Batch) 61
Figure 41. Search Batch Page (View Batch) 62
Figure 42. View Batches Page (View Batch) 64

Figure 43. View Checks Page (View Batch) 64
Figure 44. Batch List Report Page 65
Figure 45. Summary of Batches 67
Figure 46. View Checks Page/ Item ID Select 68
Figure 47. Item Detail report 69
Figure 48. Check Processing>Batch Management (Activate/Deactivate) 74
Figure 49. Search Batch Page (Activate/Deactivate) 75
Figure 50. View Batches Page (Activate/Deactivate) 76
Figure 51. Activate/ Deactivate Batch Page 76
Figure 52. Batch Activate/ Activate Confirmation 77
Figure 53. Check Processing > Batch Management (Closing Single Batch) 80
Figure 54. Search Batch Page (Closing Single Batch) 82
Figure 55. View Batches Page (Closing Single Batch) 83
Figure 56. View Checks Page (Closing Single Batch) 83
Figure 59. Select to Close Batch 84
Figure 60. Confirm Close Batch 84
Figure 61. Batch Control 85
Figure 62. Print PDF Report/Confirm Report Print 86
Figure 63. Close Batch Confirmation 86
Figure 68. View Batches Page (Closing Multiple Batches) 88
Figure 69. Close Batch Confirmation (Closing Multiple Batches) 88
Figure 70. Batch Control Setup (Closing Multiple Batches) 89
Figure 71. Failed to Balance Batch 89
Figure 72. Confirm Report Print (Closing Multiple) 90
Figure 73. Close Batch Confirmation (Closing Multiple) 90
Figure 74. Check Processing>Batch Management (Approving Single) 94
Figure 75. Search Batch Page (Approve Single) 96
Figure 76. View Batches Page (Approve Single) 96
Figure 77. View Checks Page (Approve Single) 97
Figure 78. View Batches (Approve Single) 98
Figure 79. Confirm Batches to Approve (Approve Single) 98
Figure 80. Confirm Report Print To Approve (Approve Single) 99
Figure 81. Approve Batch Page (Approve Single) 100
Figure 82. View Batches Page (Approve Multiple) 101
Figure 83. View Batches (Approve Multiple) 102
Figure 84. Confirm Batches (Approve Multiple) 103
Figure 85. Confirm Report to Approve (Approve Multiple) 104
Figure 86. Approve Batch Confirmation (Approve Multiple) 105
Figure 87. Receipt Print Image (Scan Check) 111
Figure 88. Print Receipt 112
Figure 89. Check Processing>Batch Management (Receipt) 112
Figure 90. Search Batch (Receipt) 114
Figure 91. View Batches (Receipt) 115
Figure 92. View Checks Page (Receipt) 115
Figure 93. Print Receipt 116

Audience, Overview and Topics

Audience

The intended audience for the *Capturing and Managing Checks Online Participant User Guide* includes:

- Check Capture Operator
- Check Capture Lead Operator
- Check Capture Supervisor

Overview

Welcome to *Capturing and Managing Checks Online*. In this chapter, you will learn:

- The purpose of capturing and managing checks online
- How to capture a check online
- How to manage failed image quality
- How to resolve a duplicate check
- How to void a check
- How to override a Master Verification Record (MVD) Record
- How to perform batch control and batch balancing
- How to view and print a batch list / item
- How to activate/deactivate a batch
- How to close a batch
- How to approve a batch
- How to print a receipt

Topics

This chapter is organized by the following topics:

1. Purpose of Capturing and Managing Checks Online
2. Capture a Check Online
3. Manage Failed Image Quality
4. Resolve a Duplicate Check
5. Void a Check
6. Override a Master Verification Record (MVD) record
7. Perform Batch Control and Batch Balancing
8. View and Print a Batch List / Item
9. Activate/ Deactivate a Batch
10. Close and Batch
11. Approve a Batch
12. Print a receipt

Topic 1. Purpose of Capturing and Managing Checks Online

The Check Processing functionality is primarily used to capture images of a check along with transaction data. There are two components under this tab within OTCnet. They include the **Scan Check** and **Batch Management** functionality. Once the images and data are collected under **Scan Check**, a user may access **Batch Management** to perform certain tasks prior to forwarding the batch for settlement.

During check scanning, you may opt to use the **Batch Control** functionality which allows you to balance your batch. If this option is configured to be optional or mandatory for your agency, the *Batch Control* page appears during the processing of the check.

If you are assigned the role of **Check Capture Operator (CCO)** or **Check Capture Lead Operator (CCLO)**, you are the only authorized users who can capture a check.

As a **CCO**, you can scan checks into a Batch, change Processing Method (Customer Present/ Customer Not Present), change an Accounting Code, change Item Type (Personal / Non-Personal checks), close a batch, and view a batch list.

As a **CCLO**, you can do the above, as well as balance batch and enter batch control values (total check count and total amount). However, a CCLO cannot accept duplicates, make MICR codeline corrections or accept checks with poor quality without approval without Check Capture Supervisor (CCS) approval (see Table 1 below for details).

Table 1. Check Capture/Processing and Batch Permission Matrix

Task	Check Capture Operator (CCO)	Check Capture Lead Operator (CCLO)	Check Capture Supervisor (CCS)
Scan checks into a batch	•	•	
Change Processing Method (Customer Present / Customer Not Present/ Back Office/)	•	•	
Change Accounting Codes	•	•	•
Change Item Type (Personal/ Non-Personal checks)	•	•	
Make MICR codeline corrections			•
Accept checks with poor image quality			•
View a batch list	•	•	•
Balance batch amount (total check count and total amount)		•	•
Enter batch control values during batch closing		•	•
Close a batch	•	•	•
Approve a batch	•[1]	•[1]	•
Upload a batch	•[2]	•[2]	•
Acknowledge a batch	•[2]	•[2]	•
Edit a batch		•	•
Activate/ Deactivate a batch			•
Void a check			•

Topic 2. Capture a Check Online

Introduction to Capturing a Check

As a **Check Capture Operator** or **Check Capture Lead Operator**, you can capture a check in two modes, single or batch. Once a **Check Capture Administrator** sets up your **Terminal Configuration** settings, you will be able to scan a check in **Single** or **Batch** check mode. There are many other settings that your **Check Capture Administer** may have also instituted for your location. Many of which will be visible as you begin the check scanning process, as we will review in this Topic for *Capture a Check Online*.

Logical Processing Order for Scanning a Check

When creating a batch it is important that the proper steps be taken to ensure that the batch reaches our system. Below is an outline of the logistic steps involved in creating a batch:

Batch Control – This function may or may not appear, based on the computer's configuration settings. If used, key in total dollar amount of checks and the total number of checks to be scanned. This function can be setup in the configuration as disabled, optional, or mandatory by the **Check Capture Administrator**. If this option is disabled, the Batch control screen does not appear. If optional, the Batch control screen can be skipped.

If mandatory at Batch Create or Batch Close only, the user must enter the Batch Control values. However, if a user selects to set Batch Control value at both Batch Create and Batch Close, then it can only be deferred at the beginning of the batch. Batch control is required prior to closing a batch in this case.

Scan the check (or checks if processing in batch mode).

Key in amount, configurable field data, and select accounting code information for each check, if accounting codes are set up.

Cancel transactions while performing data entry, used only if necessary, i.e., image of the check is not legible.

Print the receipt – Just after the item information is keyed into the data entry screen, press 'Enter', then click the **Receipt** button to print a receipt of the item or items.

Void items – Used to delete invalid items only if necessary, prior to closing a batch if a **Check Capture Supervisor** is available to authorize the void. Once data entry has been performed and the **Enter** key is pressed on a user's keyboard, the item can no longer be cancelled and must be voided.

Print the Batch list – A printout of the batch listing must be done prior to closing a batch.

Pre-balance – Use the batch list that was just printed to reconcile all activity for this batch of work. If reconciling with cash drawers, count and reconcile to ensure activity is accurate.

Batch Balancing – This screen only appears if the totals that are keyed into the Batch Control screen do not match with what was actually keyed into the data entry screen, or if the number of checks scanned does not match the number keyed into the Batch Control screen.

Close – Closes the batch from further checks and prepared the batch for processing.

Approve - Indicates that the batch is ready for the settlement process. Once the batch is approved, it is then sent to **Debit Gateway** to initiate the settlement process. The batch status then becomes **Forwarded**.

An Agency may have multiple **OTC Endpoints** to process checks for. Each **OTC Endpoint** is unique and batches can include items for multiple **OTC Endpoints**, however during the configuration set up, one **OTC Endpoint** is chosen to be the default. The default **OTC Endpoint** appears each time the **Check Capture Operator** or **Check Capture Lead Operator** begins the scanning process. However, they may select an alternate **OTC Endpoint** before scanning begins.

Types of Acceptable and Unacceptable Checks

Checks that CAN be processed through OTCnet's Check Processing Functionality

All of the items listed below can be processed through OTCnet's Check Processing Functionality.

These following check items should be processed as **Non-personal**:

- US Treasury Checks
- Traveler's Checks
- Money Orders (including Postal Money Orders)
- Third-party Checks (even if drawn on a personal account)
- State and Local Government Checks
- Credit card Checks
- 'Do not ACH' Checks
- Official Checks
- Business Checks
- Cashier's Checks
- Other US Government Checks
- Payroll Checks

Note: If a customer chooses to 'opt out' and does not want their checks to be processed via ACH, that customer's personal check should be processed as a non-personal item. This will allow the check to clear their financial institution as a Check 21 item.

The following item(s) should be processed as **Personal** check Items:

- Personal/Consumer Checks

List of Items that CANNOT be Processed through OTCnet's Check Processing Functionality

The following ineligible item(s) cannot be processed using OTCnet's Check Processing functionality and may need to be processed through the **Deposit Processing** tab within OTCnet instead:

- Foreign items drawn on non-US Financial Institutions
- Check payable in non-US currency

Note: Apply any necessary stamps in a location that does not interfere with the dollar amount, financial institution information, or the signature. Since these items are not deposited at your bank, there is no need to stamp "For Deposit Only" on the back of the check. FRB-Cleveland becomes the bank of first deposit for all OTCnet's Check Processing items scanned and forwarded for settlement.

Processing Modes

Single vs. Batch Processing Mode

Agencies can choose to process their checks in one of two processing modes. The **Single** check mode allows checks to be processed one at a time, and **Batch** processing mode allows for batches of checks to be scanned prior to data entry. The **Batch** mode processing only works with the EC7000i scanners and the Panini scanners.

When scanning in **Batch Processing Mode**, ensure that the entire check image is visible on the screen and the dollar amount must be legible (a check may successfully scan even though the item was folded going into the device). If the image is not legible, click **Cancel** under **Scanner Controls** and re-scan the check.

A best practice approach while scanning in Batch mode is to scan a smaller quantity of items. For example, instead of scanning 150 items, scan 75. Then perform the data input. Scan the second group of 75 and perform the data input. Using the keyboard after the 75 items are scanned may eliminate the system inactivity logout during batch processing. Because the keyboard and mouse are typically not touched during the scanning process, the system interprets this as inactivity and an auto logout takes place. To avoid this situation, move the mouse every so often to simulate system activity during the scanning process. The default setting is 15 minutes so the operator should move the mouse every 10 minutes or so to keep the system active.

Note: The maximum number of items that should be included in one batch is 6,000 items, and the maximum dollar amount per batch is $9,999,999,999.99. The max number of items is also limited by the TIFF file.

All processing method types can exist within a batch, although usually Back Office processing types would be processed independently of other types. Not all agencies utilize all modes.

Furthermore, a site may choose not to use all modes every day, due to fluctuation in check volume.

Processing Methods

Operators are able to choose the **Processing Method** to which they would like to scan checks. This option indicates the mode of operation. They include **Customer Present**, **Customer Not Present**, or **Back Office**.

The **Customer Present** method is used when the person is present, i.e., standing in front the operator with their check. The **Customer Not Present** method is used when the writer of the check is not present, i.e. when checks are received through the mail or unmanned dropbox.

The **Back Office** processing method allows Agencies to convert payments received at the point-of-sale locations to ACH entries in a controlled, back-office environment.

The default is to allow all Processing Methods and Item Types but restrictions can be setup to allow only the **Back Office** processing method or **Non-personal** items only. Operators need to make certain that they are selecting the proper choices for each item to avoid returned payments from the check writer's financial institution.

Before scanning, checks should be pre-sorted by **Customer present**, **Customer Not Present**, and **Back Office** prior to scanning. All processing method types can exist within a batch, although usually back offices processing types would be processed independently of other types. Not all agencies utilize all methods. Furthermore, your site may choose not to use all methods every day, due to fluctuation in check volume scanning a check.

Item Types

Before or after the check is scanned in Single mode, the user must choose the Item Type. For Batch mode scanning, a user cannot manually select **Personal** or **Non Personal**, the system will use the default (previously established in the configurations). During the scanning process, if the system detects an Item Type other than the established default, it will prompt the user for confirmation.

The choices are **Personal** or **Non Personal**. This indicates the type of item to be processed. When the operator clicks **Personal**, the Agency Form data entry screen displays, *Check: Personal*.

If the operator clicks **Non Personal**, the Agency Form data entry screen displays, *Check: Non Personal*. OTCnet can process both personal and non personal checks within a batch. The operator needs to make certain that they are selecting the proper choices for each item. Presort all items into two groups (Personal and Non Personal) prior to scanning to avoid the pop-up message indicating that it detected a different item type for the check. While most business checks are typically larger in size, business checks can look the same as personal checks.

Using OTCnet's **Terminal Configuration** functionality, authorized users can limit the Item Type to Non Personal only. When **Non Personal Only** is chosen under **Terminal Configuration**, the Item Type **Personal** is no longer available for the operator to choose from the drop-down

options. This can be set up for Agencies who never process personal checks. For more information, please reach to your **Check Capture Administrator** or the Configuring Check Capture Participant User Guide.

Accounting Codes

By default, the Agency Accounting Code drop-down field displays a blank value.

The same accounting code is displayed after it is selected for the first time. The selected accounting code is “sticky” (remains the same) between transactions, between batches within the same check scanning session, and between next user login.

Accounting Codes are available for selection in the drop-down field if they are mapped or inherited from the higher level OTC Endpoint. Additionally, accounting codes that have been designated as Treasury Account Symbols (TAS) by the Agency are displayed in the drop-down field if they have been validated by Shared Accounting Module (SAM).

The Agency Accounting Codes drop-down list displays the full Agency Accounting Code value (up to 50 alphanumeric characters) and some portion of the Description (up to 15 alphanumeric characters).

If an OTC Endpoint is associated with an ALC that is designated as a Government-Wide Accounting (GWA) Reporter, all check transactions must be classified with an accounting code. If no accounting codes are available for selection, and the Agency is a GWA Reporter, an operator cannot scan a check.

If an ALC is not a GWA Reporter, classifying it with an accounting code is optional. If no accounting codes are available for selection, an operator can still scan a check without the accounting code until it becomes mandatory reporting requirement for Government Wide Accounting in 2014.

Check Scanner Types and Check Placement

You Agency may scan checks using one of four scanner types (see Table 2 below). Some scanners are designed to scan only in Batch mode, whereas others may only scan in Single mode. The EC7000i and Panini, however, can scan checks in both modes.

Table 2. Scanner Types

EC7000i	This scanner will automatically scan both sides of a check and can scan in single or batch method (two or more checks in a batch)
EC6000i	This scanner will prompt you to scan the back side of a check and scans only in single method
EC5000i	This scanner will prompt you to scan both sides of a check and can scan only in single method
Panini MyVision X	This scanner will automatically scan both sides of a check and can scan in single or batch method (two or more checks in a batch)

EC5000i Scanner

Place the check in the left slot, with the MICR line of the check aligned on the bottom. The front of the check should face right (as shown in Figure 1 below).

Figure 1. EC5000i

EC6000i and EC7000i Scanner

Place the check in the scanner with the MICR line of the check aligned with the right side of the scanner (shown in Figure 2 below). Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed. The scanner automatically pulls the check through to begin the scan.

Figure 2. EC6000i and EC7000i

Note: With the EC7000i scanner, both the front and the back of the check are scanned automatically. For additional scanning information or troubleshooting using an EC6000i / EC7000i scanners, reference Troubleshooting or RDM Participant User Guides. For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the RDM scanner chapter(s)

Panini Scanner

A user needs to ensure that the check or checks are already in the hopper of the scanner, front of the checks facing (as shown in Figure 3 below). The first green light on the scanner begins to flash (if applicable).

Once the hopper is empty, the *Hopper Empty* message appears; the user can add more checks to the hopper then click **Yes** to continue adding items to the batch. Or click **No** if there are no more checks to scan. When **No** is clicked, the system switches to the data entry phase and the first check that was scanned appears on the screen.

Figure 3. Panini Scanner

Note: Use caution when clicking the **Stop** button during batch mode processing. Pressing too quickly (before the scanner has a chance to catch up to the system) may cause the loss of the last transaction.

For additional information regarding scanners, keypads or franking, you can access any of the Participant User Guide Chapters below:

- *Chapter 9. Troubleshooting (for scanner/ imaging issues)*
- *Chapter 11. RDM Scanner Appendix*
- *Chapter 12. Panini Scanner Appendix*

Check Capture Acceptance

Once a user has successfully logged in to OTCnet, selected the appropriate **OTC Endpoint** to scan a batch to, chosen the correct processing method and Item Type, the next step is to scan the check.

Click the **Start Scan** under **Scan Controls** options (scanner light may turn green depending on the type of scanner you have indicating that the scanner is ready to accept a check). Scan the check and click **Save** under **Scan Controls** options (see Figures 4- 11 below). The bottom of the *Agency Form* entry screen displays *Scan front of Check*.

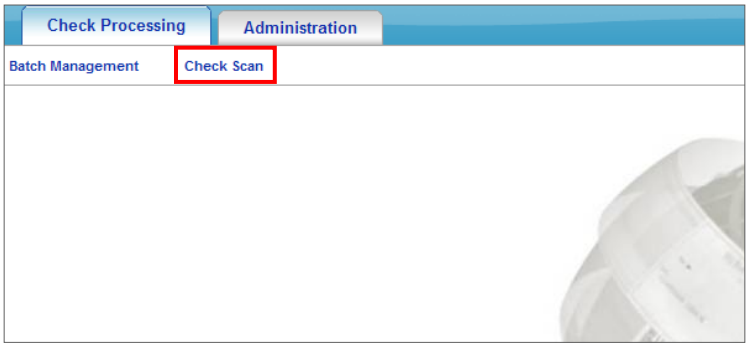
Note: A Batch Control screen may appear, based on the Agency's configuration settings.

Steps for Scanning a Check Online

1. Click the **Check Processing** tab.

2. Click **Check Scan.**

Figure 4. Check Processing> Check Scan



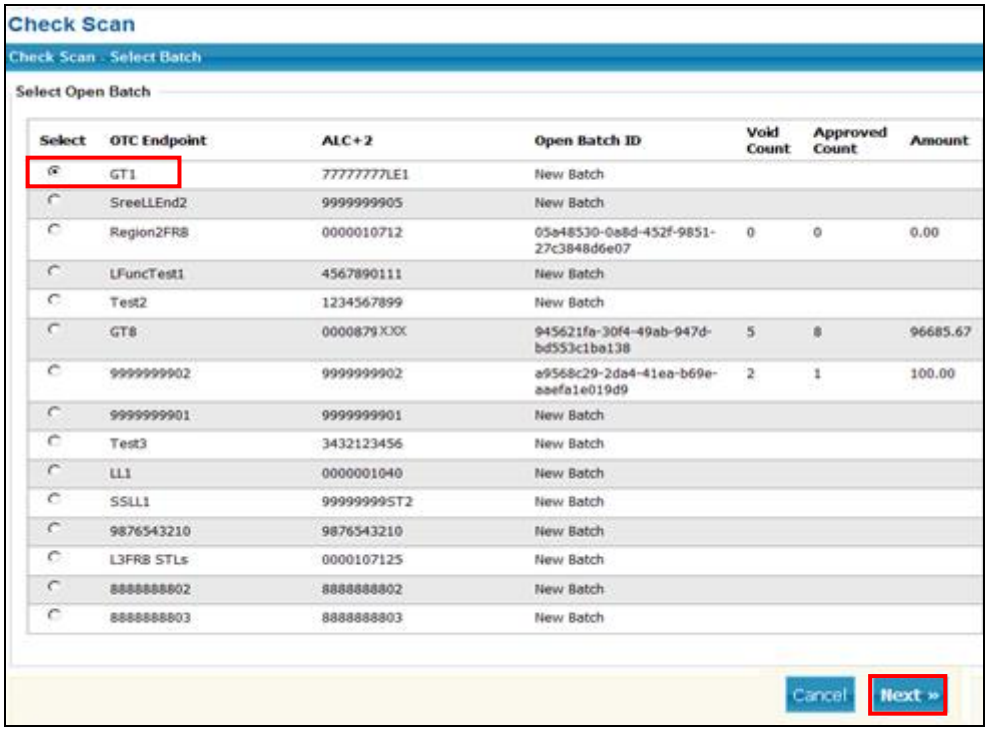
The *Check Scan-Select Open Batch* page appears.

Under **Select Open Batch,**

- Click **Select** for the *OTC Endpoint* for which you want to scan a check(s)

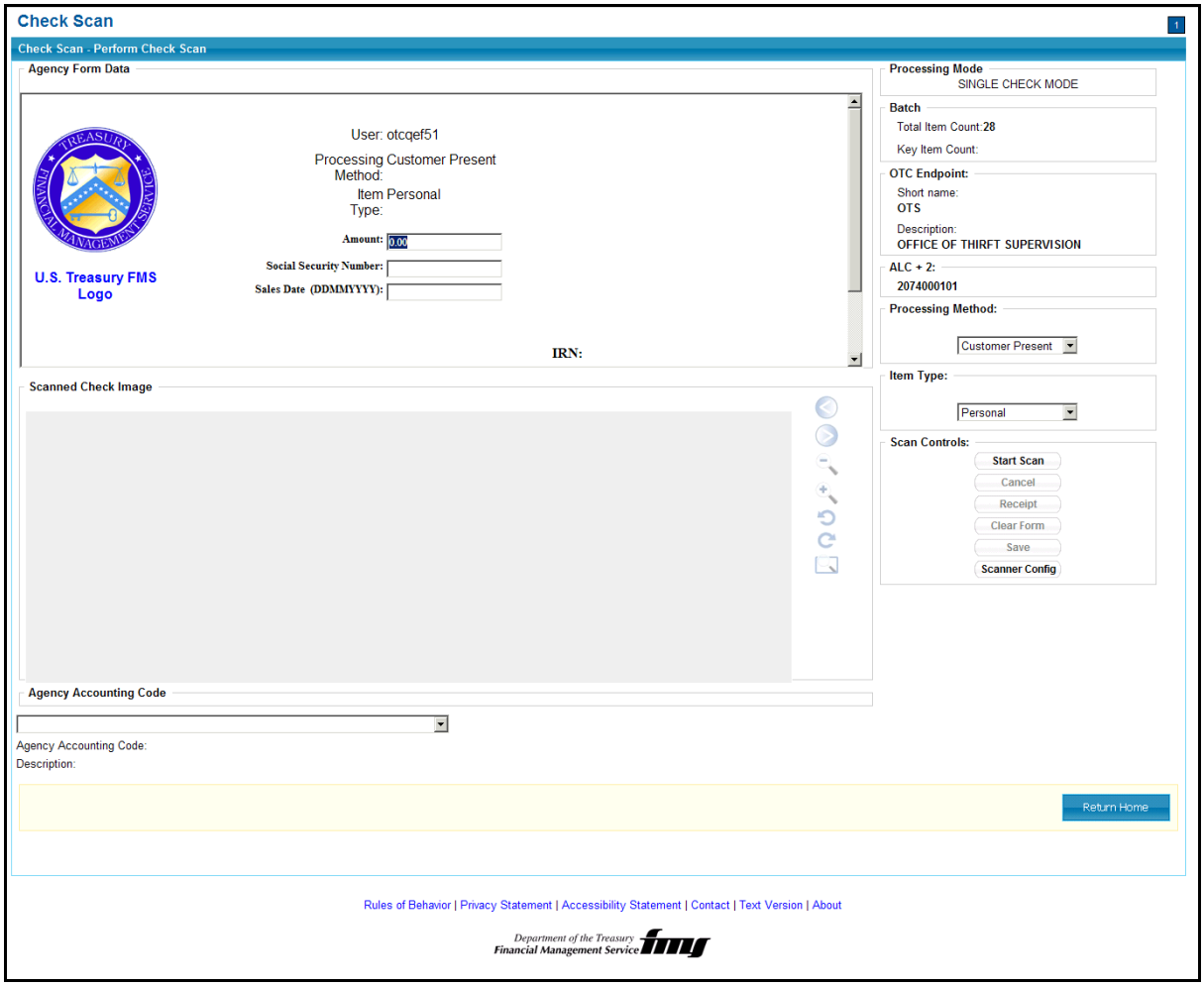
3. Click **Next**.

Figure 5. Click Scan- Select Batch Page



The *Check Scan* page appears.

Figure 6: Agency Form Data Entry Fields



Under **ALC+2** (Agency Location Code +2),

- Verify the **OTC Endpoint**. If you need to change the OTC Endpoint, click **Previous** and return to Step 2

Under **Processing Method**,

- Select the **Customer Present**, **Customer Not Present**, or **Back Office**

Processing Method indicates how the check data is entered. There are three Processing Methods:

- *Customer Present*-Customer has presented a check in person i.e. standing in front the operator with their check.
- *Customer Not Present*-Customer has dropped off the check and is not available i.e. has submitted the check via mail or unmanned dropbox.
- *Back Office*-Customer presented a check in person and the check is being scanned in a controlled back-office environment

Under **Item Type**,

- Select **Personal** or **Non-personal**

Item Type indicates whether the check presented is a personal or non-personal check. This determines whether the check is handled through Check 21 (non-personal) or FedACH (personal).

Item Types are defined as follows:

- *Personal* -Name on the check is an individual's name, not acting as an organization
- *Non- Personal* - Name on the check is an organization, or the check is a money order, traveler's check, or third-party check

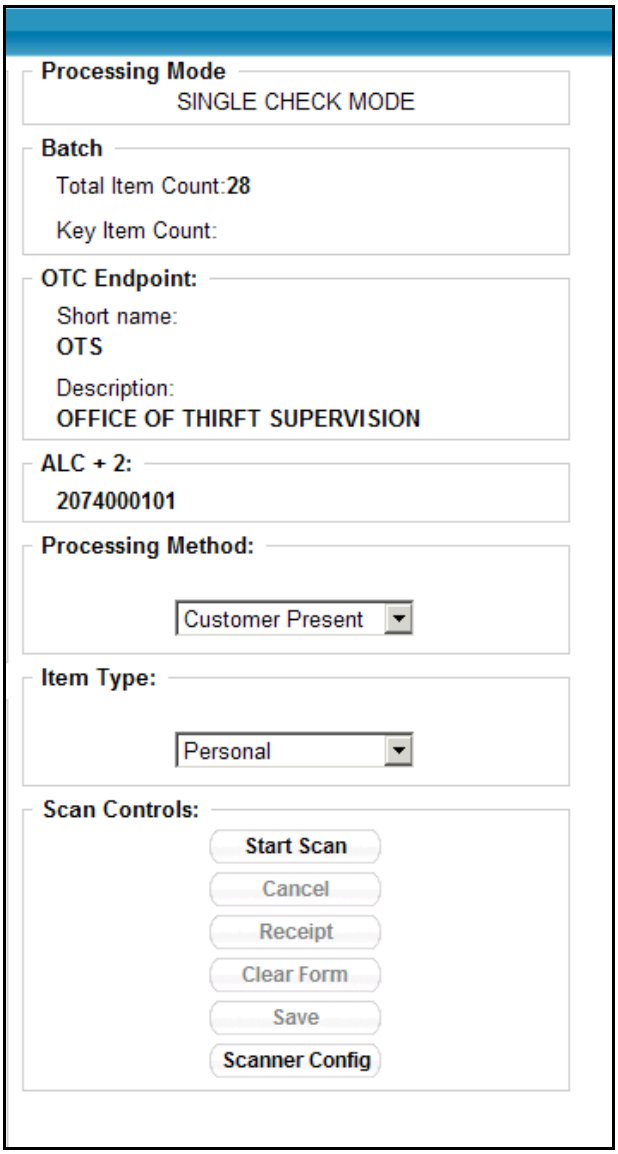
Figure 7. FedACH and Check 21 Item Types

FedACH	Check 21
• Direct Deposit of payroll, Social Security and other government benefits, and tax refunds • Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums • Business-to-business payments • E checks • E commerce payments • Federal, state and local tax payments	• Business Checks • Money Orders • Treasury Checks • Credit Card Checks • Traveler's Checks • Cashier's Checks • Official Checks • Third-party Checks • Payroll Checks • Checks drawn on state or local government • Personal Check (No Notice) • Personal Check (Opt Out

Under **Scan Controls**

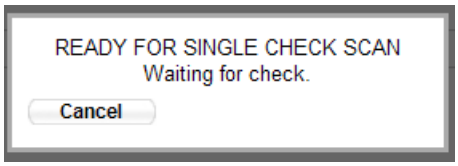
- Click **Start Scan**, when ready to scan a check

Figure 8. Start Scan



If you use an **EC7000i** to scan checks in Batch method, a *READY FOR BATCH SCAN Waiting for check* dialog box appears. Insert the check, the dialog box shows the item count after each scan (see Figure 8 below). The back of the check is displayed momentarily then the image of the next check that was scanned appears.

Figure 9. Waiting for Check Image



If you use a **Panini MyVision X** to scan checks in Batch method, a *READY FOR BATCH SCAN Waiting for check* dialog box appears, after clicking **Start Scan**. Insert the checks in the hopper. The dialog box shows the item count after each scan. When the hopper is empty or when you finish scanning, click **Stop**.

Table 3. Scan Controls Menu

Cancel	Cancels the transaction. No data will be saved
Receipt	Access a receipt for review or printing. This only available once the initial check is scanned
Clear Form	Clears the data entered
Save	Saves the transaction
Scanner Config	Provides scanner, print and processing method configuration information

Under **Scanned Check Image**, *optional*

- Click **<** to view the front of the check
- Click **>** to view the back of the check
- Click **-** to reduce the image of the check
- Click **+** to increase the image of the check
- Click **Left Rotate** to turn the image to the left
- Click **Right Rotate** to turn the image to the right

You can manipulate the image of the checks you capture, but using the options under **Scanned Check Image**.

Figure 10. Scanner Check Image (Sample Images)

	View the front of the check
	View the back of the check
	Reduce the image of the check
	Increase the image of the check
	Left rotate to turn the image to the left
	Right rotate to turn the image to the right

Under **Agency Form Data,** enter the check data in the field(s) provided and click **Save**. After saving the data, a message appears stating the transaction was successfully saved along with the Individual Record Number (IRN) and check amount.

- Enter the **Amount**, *required*

Note: Only numbers need input. For example, entering in 1290 would equal $12.90, and 56321 would be equal to $563.21. The maximum dollar amount that can be keyed into the data entry screen is 99,999,999.99. The minimum amount is .01.

The **Agency Form Data** form is customizable and can include fields beyond the **Amoun**t field (e.g. Social Security Number). If your agency has additional fields, they display under the **Amoun**t field. Your Agency may deem the field(s) either mandatory or optional for you to complete an entry. If your Agency requires additional fields, contact your Deployment Specialist at 703-377-5586 or fms.otcdeployment@citi.com.

Note: Since the configuration field requirements are established by each Agency, minimum/maximum requirements may exist for certain fields. If the operator does not satisfy those minimum/maximum field requirements, an error message is displayed in the middle of the screen and corrections must be made to the field before the transaction is accepted.

Recapture an image of a check if it inserted upside down; appears skewed; or the image is illegible. Click **Cancel** and reinsert the check in the scanner. Then click **Start Scan** and re-enter the necessary data.

Upon scanning the check and using enter on your keyboard to finalize, you will notice that the **IRN, Bank Number, Check Number**, **Account Number**, **Date & Time field**s automatically populates located in the frame of the **Agency Form Data).** For details regarding your scanner configurations, click on **Scanner Config**, under Scan Controls.

Under **Agency Accounting Code**,

- Select an **Accounting Code**

By default, the Agency Accounting Code drop-down field displays a blank value. The same accounting code is displayed after it is selected for the first time. The selected accounting code is “sticky” (remains the same) between transactions, between batches within the same check scanning session and between next user login.

Accounting Codes are available for selection in the drop-down field if they are mapped or inherited from the higher level OTC Endpoint. Additionally, accounting codes that have been designated as Treasury Account Symbols (TAS) by the Agency are displayed in the drop-down field if they have been validated by Shared Accounting Module (SAM).

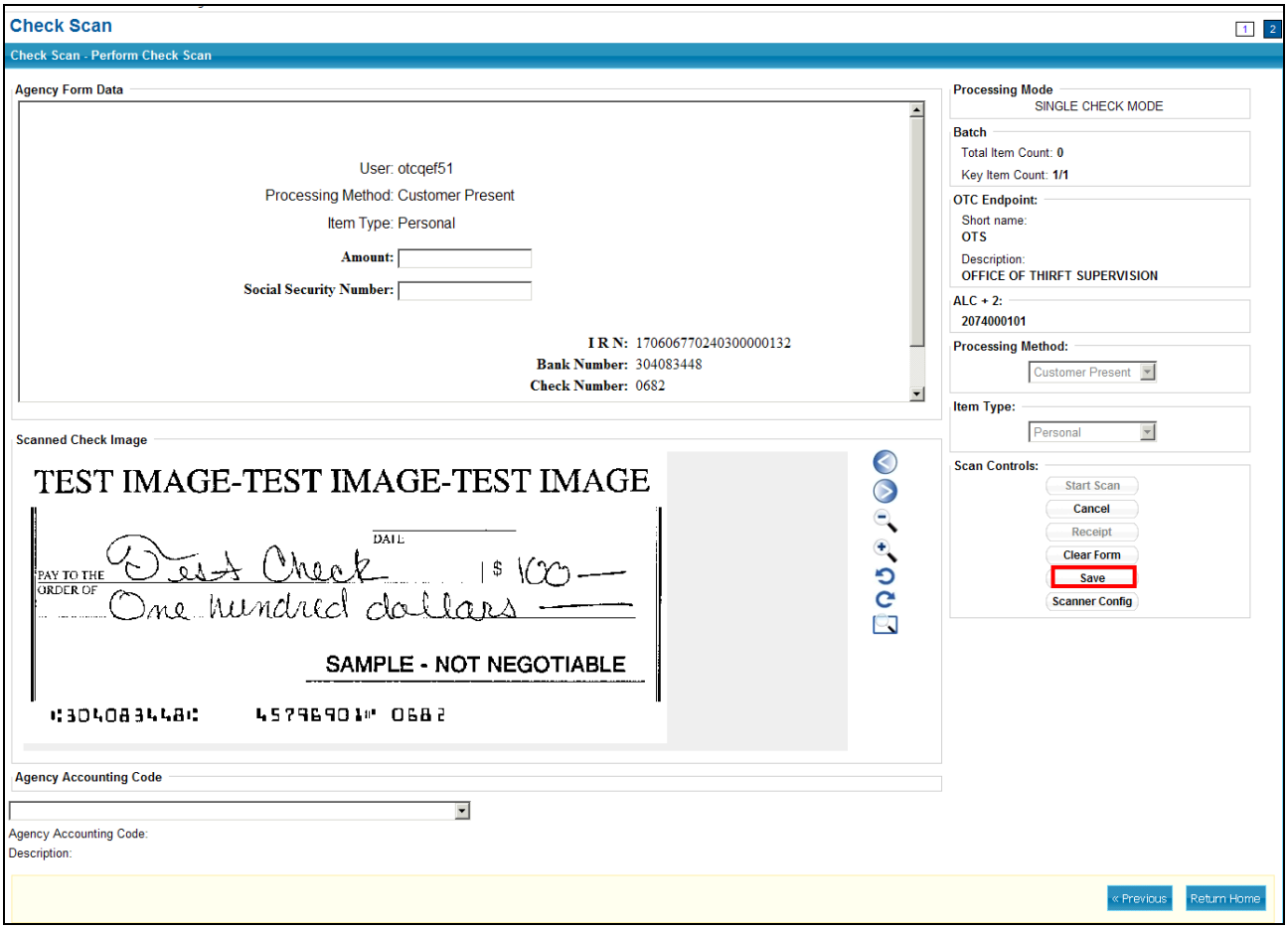
The Agency Accounting Codes drop-down list displays the full Agency Accounting Code value (up to 50 alphanumeric characters) and some portion of the Description (up to 15 alphanumeric characters).

If an OTC Endpoint is associated with an ALC that is designated as a Government-Wide Accounting (GWA) Reporter, all check transactions must be classified with an accounting code. If no accounting codes are available for selection, and the Agency is a GWA Reporter, an operator cannot scan a check.

If an OTC Endpoint is associated with an ALC that is designated as a Government-Wide Accounting (GWA) Reporter, all check transactions must be classified with an accounting code. If an ALC is not a GWA Reporter, classifying it with an accounting code is optional.

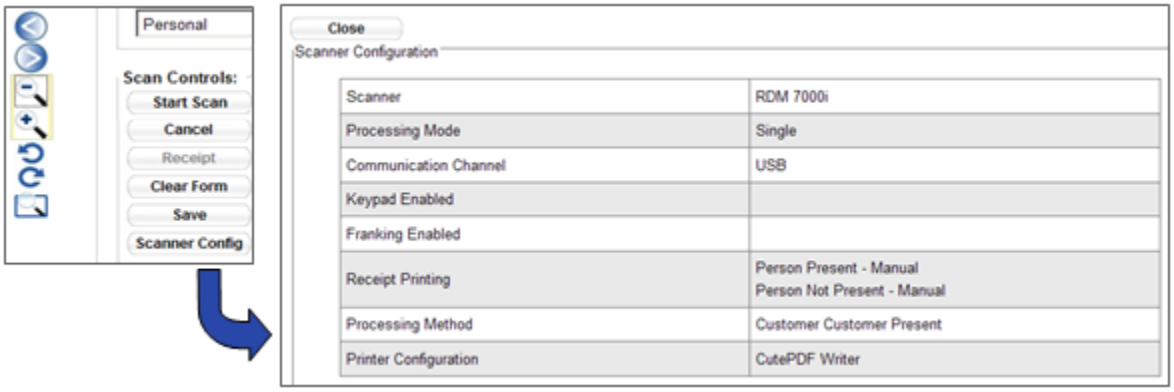
4. Click **Save** to save the image of the check and the data you entered

Figure 11. Save Check



Upon scanning the check and using enter on your keyboard to finalize, you will notice that the **IRN, Bank Number, Check Number**, **Account Number**, **Date & Time field**s automatically populates located in the frame of the **Agency Form Data**.

Figure 12. Scanner Config Menu Option



5. A message appears stating the transaction was successfully saved along with the Individual Record Number (IRN) and check amount

Figure 13. Transaction Saved Successfully

Capture a Check

To capture a check in online mode, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Check Scan**. The *Check Scan-Select Open Batch* page appears.

   Under **Select Open Batch,**
   - Click **Select** for the *OTC Endpoint* for which you want to scan a check(s)

> **Application Tip**
>
> If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

> **Application Tip**
>
> During the scanning process, if an operator only has access to scan against a single OTC Endpoint, then the system will not prompt the user to select an OTC Endpoint.

> **Application Tip**
>
> I If an operator has an OTC Endpoint with an **Open** batch then the batch details (Void Count, Approved Count, and Amount) are displayed.

> **Application Tip**
>
> If an Agency is associated with an OTC Endpoint that is designated as a Government-Wide Accounting (GWA) Reporter and no accounting codes are available for selection, an error message appears and the operator *cannot* scan a check. If an Agency is associated with an OTC Endpoint is not a GWA Reporter, the operator can scan checks and selecting an accounting code is optional.

3. Click **Next**. The *Check Scan* page appears.

   Under **ALC+2** (Agency Location Code +2),
   - Verify the **OTC Endpoint**. If you need to change the OTC Endpoint, click **Previous** and return to Step 2

   Under **Processing Method**,

- Select the **Customer Present**, **Customer Not Present**, or **Back Office**

Under **Item Type**,

- Select the **Personal** or **Non-personal**

Application Tip

Processing Method indicates how the check data is entered. You can process checks one of three ways:

- ***Customer Not Present*** *method*: indicates that a Customer has submitted the check via mail (unmanned dropbox) and is not available.
- ***Customer Present*** *method:* indicates that a Customer has presented a check in person.
- ***Back Office*** *method*: indicates that a Customer presented a check in person and the check is being scanned in a controlled back-office environment.

Application Tip

The **Item Type** indicates whether the check presented is a personal or non-personal check. This determines whether the check is handled through Check 21 (non-personal) or FedACH (personal).

- ***Personal*** *method*: indicates that the name on check is an individual's name, not acting as an organization
- ***Non-personal*** *method:* indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check
- Examples of FedACH and Check 21 Item Types are listed below.

FedACH	Check 21
• Direct Deposit of payroll, Social Security and other government benefits, and tax refunds • Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums • Business-to-business payments • E checks • E commerce payments • Federal, state and local tax payments	• Business Checks • Money Orders • Treasury Checks • Credit Card Checks • Traveler's Checks • Cashier's Checks • Official Checks • Third-party Checks • Payroll Checks • Checks drawn on state or local government

Under **Scan Controls**,

- Click **Start Scan**, when ready to scan a check
- Insert the check in the scanner

Application Tip

Scanner types include:

- **EC7000i:** This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks at a time).
- **EC6000i:** This scanner will prompt you to scan the back side of a check and scans only in single mode.
- **EC5000i:** This scanner will prompt you to scan both sides of a check and can scan only in single mode.
- **Panini MyVision X**: This scanner will automatically scan both sides of a check and can scans only in batch mode (one or more checks at a time).

Application Tip

Additional buttons under **Scan Controls** that help you perform other tasks:

- Click **Cancel** to cancel the transaction. No data will be saved.
- Click **Receipt** to access a receipt for review or printing. This is only available once the initial check is scanned.
- Click **Clear Form** to clear the data entered.
- Click **Save** to save the transaction.

Application Tip

Recapture an image of a check if it inserted upside down; appears skewed; or the image is illegible. Click **Cancel** and reinsert the check in the scanner. Then click **Start Scan** and re-enter the necessary data.

Under **Scanned Check Image**, *optional*

- Click **<** to view the front of the check
- Click **>** to view the back of the check
- Click **-** to reduce the image of the check
- Click **+** to increase the image of the check
- Click **Left Rotate** to turn the image to the left
- Click **Right Rotate** to turn the image to the right

Under **Agency Form Data,** enter the check data in the field(s) provided

- Enter the **Amount**, *required*

Application Tip

OTCnet accepts two different **Amount** entry formats. If the deposit amount is for thirty-five dollars and fifteen cents, enter 35.15. If no decimal point is entered, OTCnet will add a decimal and two zeroes at the end and save it as 3515.00 (three thousand five hundred and fifteen dollars).

Application Tip

The **Agency Form Data** form is customizable and can include fields beyond the **Amoun**t field (e.g. Driver's License Number). If your Agency has additional fields, they are displayed under the **Amoun**t field. Your Agency may deem the field(s) either mandatory or optional for you to complete an entry.

If you Agency requires additional fields, contact your Deployment Specialist at 703-377-5586 or fms.otcdeployment@citi.com.

Application Tip

If you use an **EC7000i** to scan checks in Batch mode, a *READY FOR BATCH SCAN Waiting for check* dialog box appears. Insert the checks one at a time. The dialog box shows the item count after each scan. When you finish scanning, click **Stop**.

Application Tip

If you use a **Panini MyVision X** to scan checks in Batch mode, a *READY FOR BATCH SCAN Waiting for check* dialog box appears. Insert the checks in the hopper. The dialog box shows the item count after each scan. When the hopper is empty or when you finish scanning, click **Stop**.

Under **Agency Accounting Code**,

- Select an **Accounting Code**

Application Tip

By default, the **Agency Accounting Code** drop-down field displays a blank value.

Application Tip

The same accounting code is displayed after it is selected for the first time. The selected accounting code is "sticky" (remains the same) between transactions, between batches within the same check scanning session, and between next user login.

Application Tip

Accounting Codes are displayed in the drop-down field if they are mapped or inherited from the higher level OTC Endpoint. Additionally, accounting codes that are designated as **Treasury Account Symbols (TASs)** by the Agency are displayed if they are and have been validated by **Shared Account Module (SAM)**.

Application Tip

If no accounting codes are available for selection and the Agency is a GWA Reporter, an operator cannot scan a check. If no accounting codes are available for selection, and the Agency is not a GWA Reporter, an operator can still scan a check.

Application Tip

The **Agency Accounting Codes** drop-down list displays the full **Agency Accounting Code** value (up to 50 alphanumeric characters) and some portion of the **Description** (up to 15 alphanumeric characters).

Application Tip

If an OTC Endpoint is associated with an ALC that is designated as a GWA Reporter, all check transactions must be classified with an accounting code. If an ALC is not a GWA Reporter, classifying it with an accounting code is optional.

4. Click **Save** to save the image of the check and the data you entered.

Application Tip

Upon scanning the check and using enter on your keyboard to finalize, you will notice that the **IRN, Bank Number, Check Number**, **Account Number**, **Date & Time field**s automatically populates located in the frame of the **Agency Form Data**.

5. A message appears stating the transaction was successfully saved along with the Individual Record Number (IRN) and check amount.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to return to the OTCnet Home Page.

Topic 3. Manage Poor Check Image Quality

There are instances when the image of a scanned check is not captured successfully. OTCnet Image quality tests are performed on each check, as soon as the check is captured and the image is available. If a check passes the image quality tests, the item processing continues. If the check fails the image quality tests, an *Image Quality Failed* message is displayed.

It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that is submitted to the payor bank for collection. It is also stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on the Agency's behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency's responsibility.

If an *Image Quality Failed* message is displayed during the check scanning process and the check image is skewed, illegible, or upside down, an operator may consider the following options:

- **Rescan** the check (recommended to perform as many times as necessary)
- **Cancel** the check and opt to use the Deposit Processing functionality within OTCnet to deposit the check
- **Accept** the check (requires a **Check Capture Supervisor** to Log in to OTCnet to authorize)

A **Check Capture Supervisor** can choose to override a poor image in hopes that it will process anyway. The following examples are of a poor image scan (see Figure 12 below), and an image of good quality (see Figure 13 below). Agencies should be aware that overriding a poor image may result in a returned item, depending upon the paying financial institution.

Figure 14. Poor Image Quality

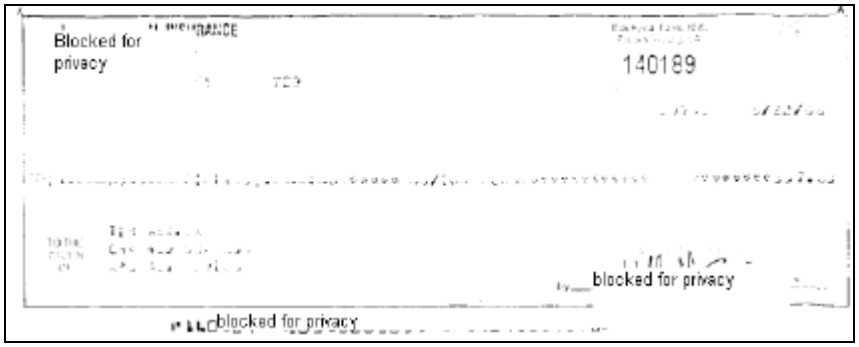
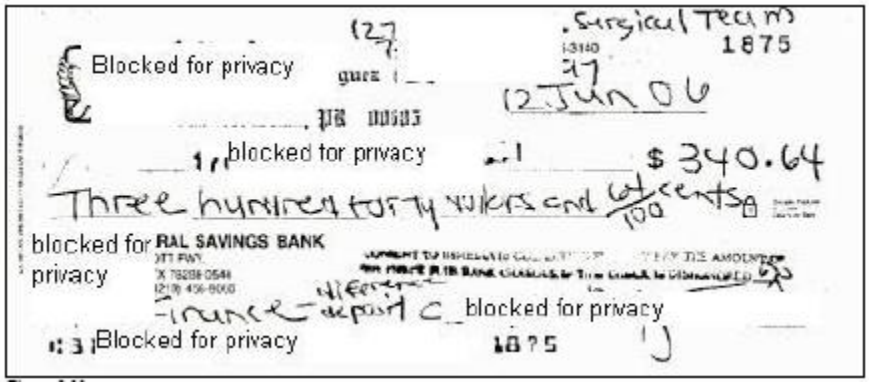


Figure 15. Good Image Quality



Managing a Check with Poor Image Quality

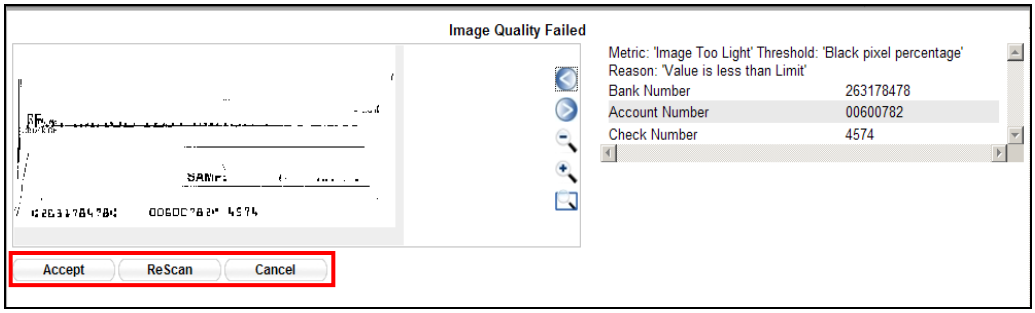
1. From the *Check Scan – Perform Check Scan* page, the *Image Quality Failed* message appears. The following message appears to the right of the screen:

   Metric '*Image Too Light' Threshold: "Black pixel percentage'* and
   Reason: *'Value is less than Limit'*

   A user has the option to click on one of the following:

   - **Rescan** to rescan the check
     Or
   - **Cancel** to completely cancel the transaction
     Or
   - **Accept** to accept the image of the check (requires **Check Capture Supervisor** to log in)

Figure 16. Image Quality Failed Message



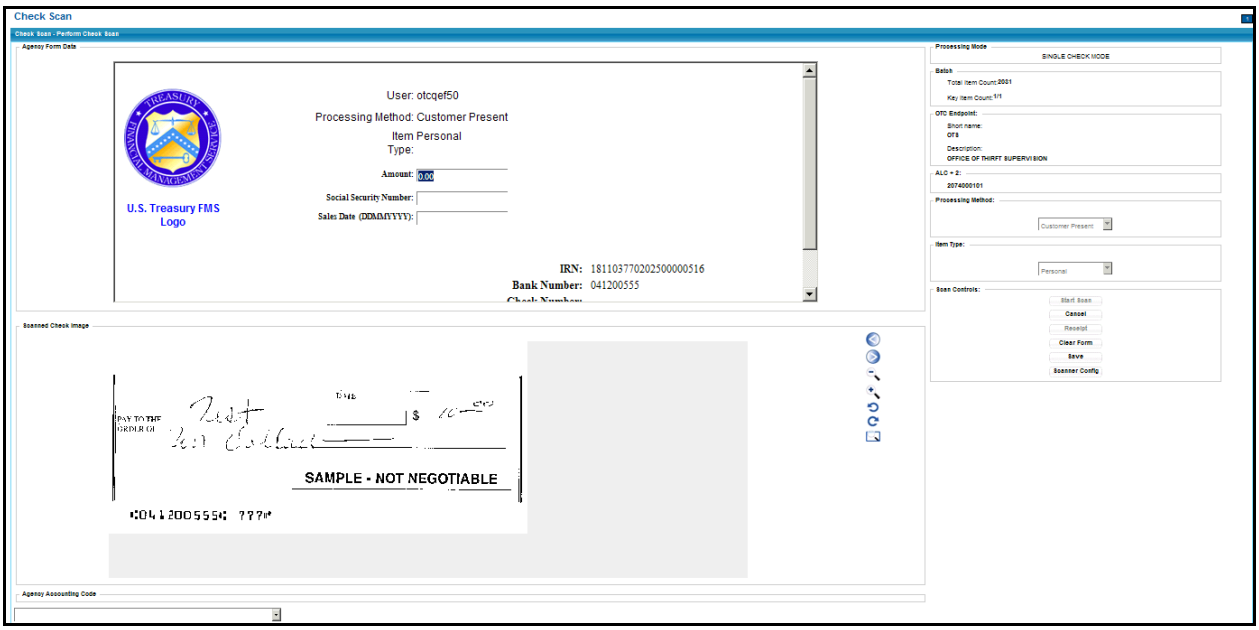
2. If you choose to click **Accept** to accept the image of the scanned check, the *Login ID and Password* dialog box appears. Enter the **Login ID** and **Password** and click **Login**.

   If a **Check Capture Lead Operator** or **Check Capture Operator** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor** can accept a check with poor image quality.

Figure 17. Login Dialog Box

3. Check scanning tasks can resume after a **Check Capture Supervisor** logs-in to authorize the acceptance of the poor image quality check. A **Check Capture Operator** or **Check Capture Lead Operator** may enter the check item details into the form fields at this point.

Figure 18. Check Scan- Perform Check Scan Page



Manage a Check with Poor Image Quality

To manage a check with poor image quality, complete the following steps:

1. From the *Check Scan – Perform Check Scan* page, the *Image Quality Failed* message appears. Click:

   - **Rescan** to rescan the check

Application Tip

Click **Rescan** if the check image is skewed, illegible, or upside down.

Or

   - **Cancel** to completely cancel the transaction

Or

   - **Accept** to accept the image of the check (requires **Check Capture Supervisor** to log in). The *Login ID and Password* dialog box appears. Enter the **Login ID** and **Password** and click **Login**.

Application Tip

If a **Check Capture Lead Operator** or **Check Capture Operator** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor** can approve a check with poor image quality. The **Check Capture Supervisor** must key in his/her Login ID and Password before approving the check.

2. Resume check scanning tasks and enter the check item details into the form fields.

3. Click **Save** to save the image of the check and the data you entered.

Application Tip

Upon scanning the check and using enter on your keyboard to finalize, you will notice that the **IRN, Bank Number, Check Number**, **Account Number**, **Date & Time field**s automatically populates located in the frame of the **Agency Form Data)**

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to Return to the OTCnet Home Page.

Topic 4. Resolve a Duplicate Check

If a duplicate check is detected, a *Duplicate Check Detected* prompt appears requesting that the user resolve the issue. OTCnet determines and detects duplicate checks based on a match of the MICR and the check amount.

If a check is scanned twice and the information entered is for the *same amount*, OTCnet displays an error message containing both scanned images and requests confirmation. If the check is scanned twice and information entered for a *different amount*, OTCnet does not catch the error and will allow the duplicate entry. However, the financial institution will later reject one of the duplicate checks.

To help prevent duplicate processing of checks, checks may be hand stamped with *Electronically Presented* after the transaction is complete and the check has been scanned. The EC6000i and EC7000i scanners can also be setup to automatically stamp the front of the check with the words, *Electronically Presented*, once the transaction is complete. This will require the purchase of a *Franker.*

If the MICR line was misread by the scanner leading the system to believe that the check is a duplicate, it can be edited. To determine if the MICR line was misread, compare the two images in the window. The top image depicts the current check, and the bottom image depicts the most recently scanned check that is being deemed a duplicate by the system. Also, compare the MICR line on the bottom check with the source document. If it has been determined to be a misread of the MICR line that needs to be corrected, a **Check Capture Supervisor** can click the **Edit MICR** button at the bottom of the window (for details, refer to the Edit MICR topic of the Correcting Scanned Checks Participant User Guide).

If a *Duplicate Check Detected* prompt is displayed during the check scanning process, an operator may consider the following options:

- **Rescan** the check (recommended to perform as many times as necessary)
- **Edit MICR** to correct the MICR line
- **Accept** the check (requires a **Check Capture Supervisor** to log in to OTCnet to authorize)
- **Cancel** the check

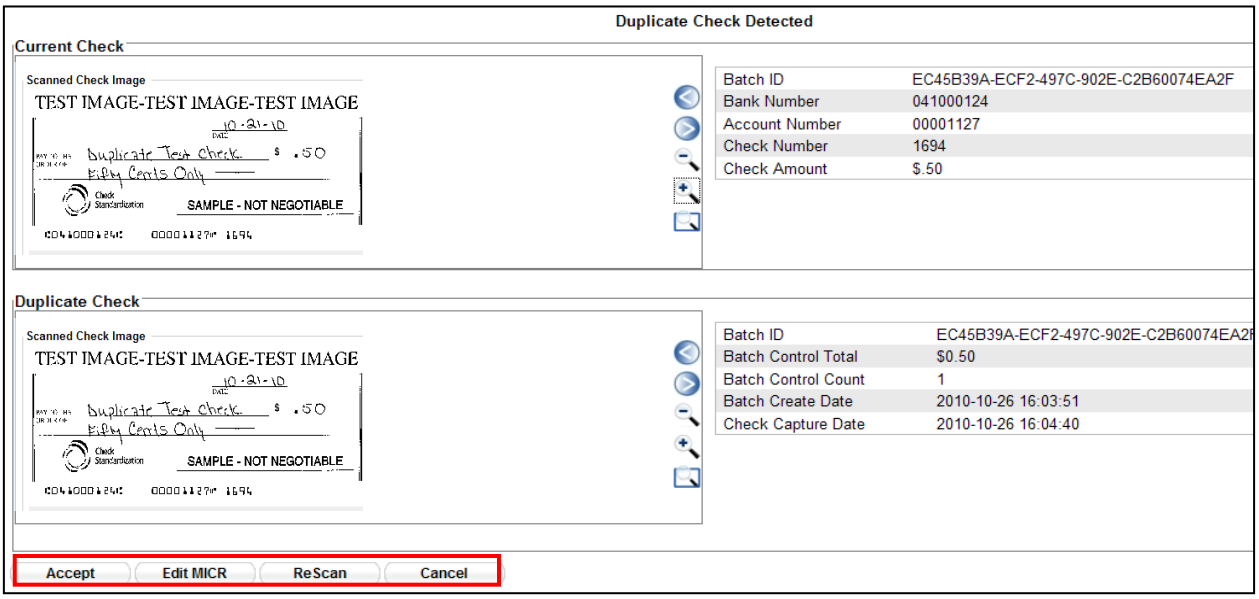
A **Check Capture Supervisor** is the only authorized user who can accept a duplicate check. Therefore, before a **Check Capture Lead Operator** or **Check Capture Operator** can accept a duplicate check, a **Check Capture Supervisor** must log in to authorize it.

Resolving a Duplicate Check

1. From the Check Scan – Perform Check Scan page, the Duplicate Check Detected message appears. A user has the option to click on one of the following.

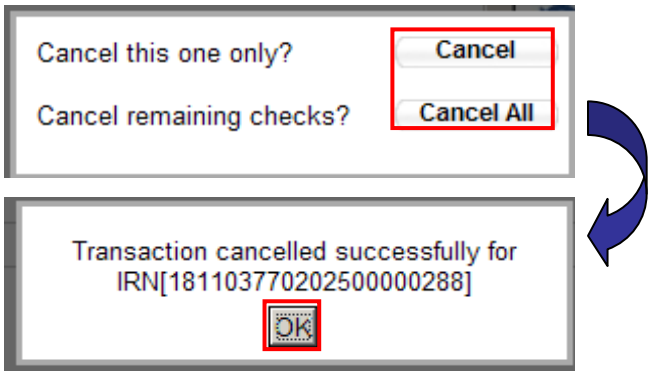
    - **Accept** to accept the image of the check
      Or
    - **Edit MICR** to correct the MICR line
      Or
    - **Rescan** to rescan the check
      Or
    - **Cancel** to completely cancel the transaction

Figure 19. Duplicate Check Detected



4. Click **Cancel** to cancel the duplicate (advised). Click **Cancel** or **Cancel All** at the dialog box. A *Transaction cancelled successfully* dialog box appears. Click **Ok**.

Figure 20.Cancel a Check Dialog Box

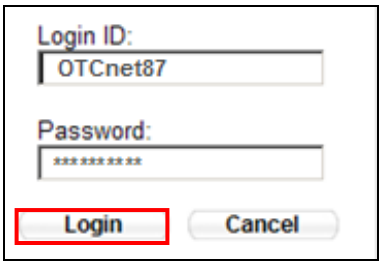


Note: If you want to edit the **MICR** codeline, click **Edit MICR**, a **Check Capture Supervisor** must authorize a MICR line code correction (for details, refer to *Edit a MICR* line topic in Correcting Scanned Checks of the Participant User Guide).

Continue to Step **5** below if you want to **Accept** the duplicate check, requiring a **Check Capture Supervisor** to log in (at the Login prompt).

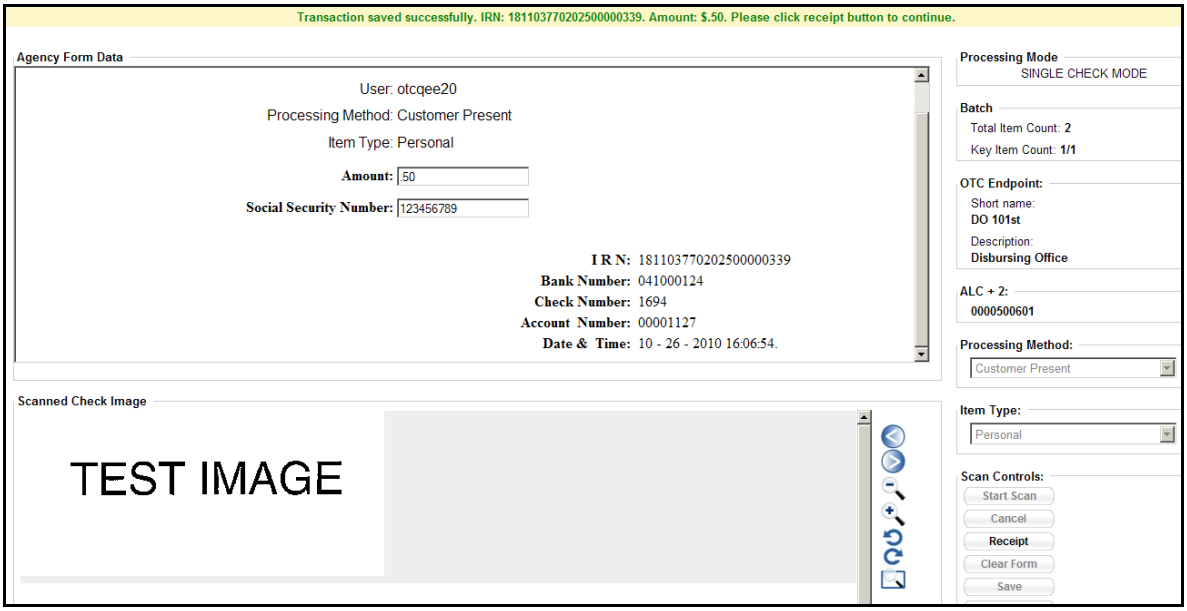
5. Enter **Check Capture Supervisor** Login ID and Password and click **Login**.

Figure 21. Accept Duplicate Prompt



After the duplicate check is accepted, the **Check Capture Operator** or **Check Capture Lead Operator** can print a receipt if they choose and continue scanning.

Figure 22. Check Scanning Proceeds (print receipt as necessary)



Resolve a Duplicate Check

To resolve a duplicate check, complete the following steps:

1. Click **Cancel** to cancel the duplicate check. A dialog box appears.

> **Application Tip**
>
> Click **Accept** to continue processing the check. A **Check Capture Supervisor** or **Check Capture Lead Operator** must log in to authorize the duplicate check.
> 1. Log in to accept the duplicate at *Login ID* prompt.
> 2. Click **Login**.

2. Click **Cancel** or **Cancel All**. A *Transaction cancelled successfully* dialog box appears.

> **Application Tip**
>
> Click **Edit MICR** to correct the MICR line. A **Check Capture Supervisor** must authorize a MICR line code correction (for details, refer to the Edit a MICR topic of the Correcting Scanned Checks Participant User Guide).
>
> Click **ReScan** to clear the image from the screen and rescan the check.

> **Application Tip**
>
> Click **Cancel** to cancel the one duplicate check. Click **Cancel All** to cancel all pending checks in the batch.

3. Click **OK**. The *Check Scan – Perform Check Scan* page appears.

> **Application Tip**
>
> Additional buttons on the page that help you perform other tasks:
> - Click **Previous** to return to the previous page.
> - Click **Return to Home** to return to the OTCnet Home page.

Topic 5. Void a Check

As a Check **Capture Supervisor**, you are the only authorized user who can void an erroneously scanned check. Before you can void a check, you must first search for the batch in which the check resides. You can search for batches by **OTC Endpoint**, **Created On Date**, **Batch ID**, **Cashier ID**, and/or **Batch Status**. You can only void checks in batches for OTC Endpoints that you have permission to access and only for items with an open or closed batch status.

Payments should only be entered for the amount of the item being processed. If a data-entry error is made in one of the user-defined fields, or amount entered for the check differs from the written amount of the check, two options are available:

1. Void the check and rescan with the corrected information during the check capture process (requires **Check Capture Supervisor** to sign in to approve).

2. If a **Check Capture Supervisor** is not available to approve the void while the operator has scanning in progress, the check will need to be voided via the **Batch Management** menu option. A **Check Capture Supervisor** will need to sign on to **Batch Management** and change the incorrectly typed amount with the correct amount or update the user-defined field.

NOTE:

- The minimum limit for reporting items that need to be adjusted by Treasury/FMS is $25.00. If the adjustment is $25.00 or more, the check is only corrected to the written dollar amount on the face of the check

- Voided items are not archived in the **Central Image Retrieval Archive (CIRA)** for long-term storage.

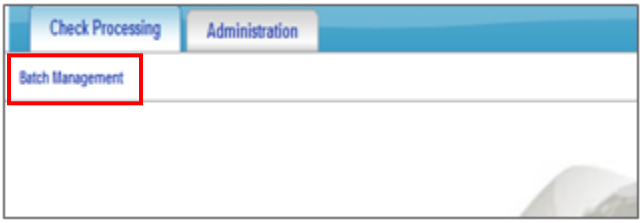
- Do not scan the item a second time to process a second item for the amount difference. Doing so would create processing errors at Treasury/FMS as well as at the check writer's financial institution.

- If a file containing the wrong amount has already been transmitted or if you ever encounter a processing issue and need assistance, please contact the Treasury OTC Support Center.

Voiding a Check

1. Click the **Check Processing** tab. Click **Batch Management**.

Figure 23. Check Processing> Batch Management (Voiding)



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view.

Note: If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

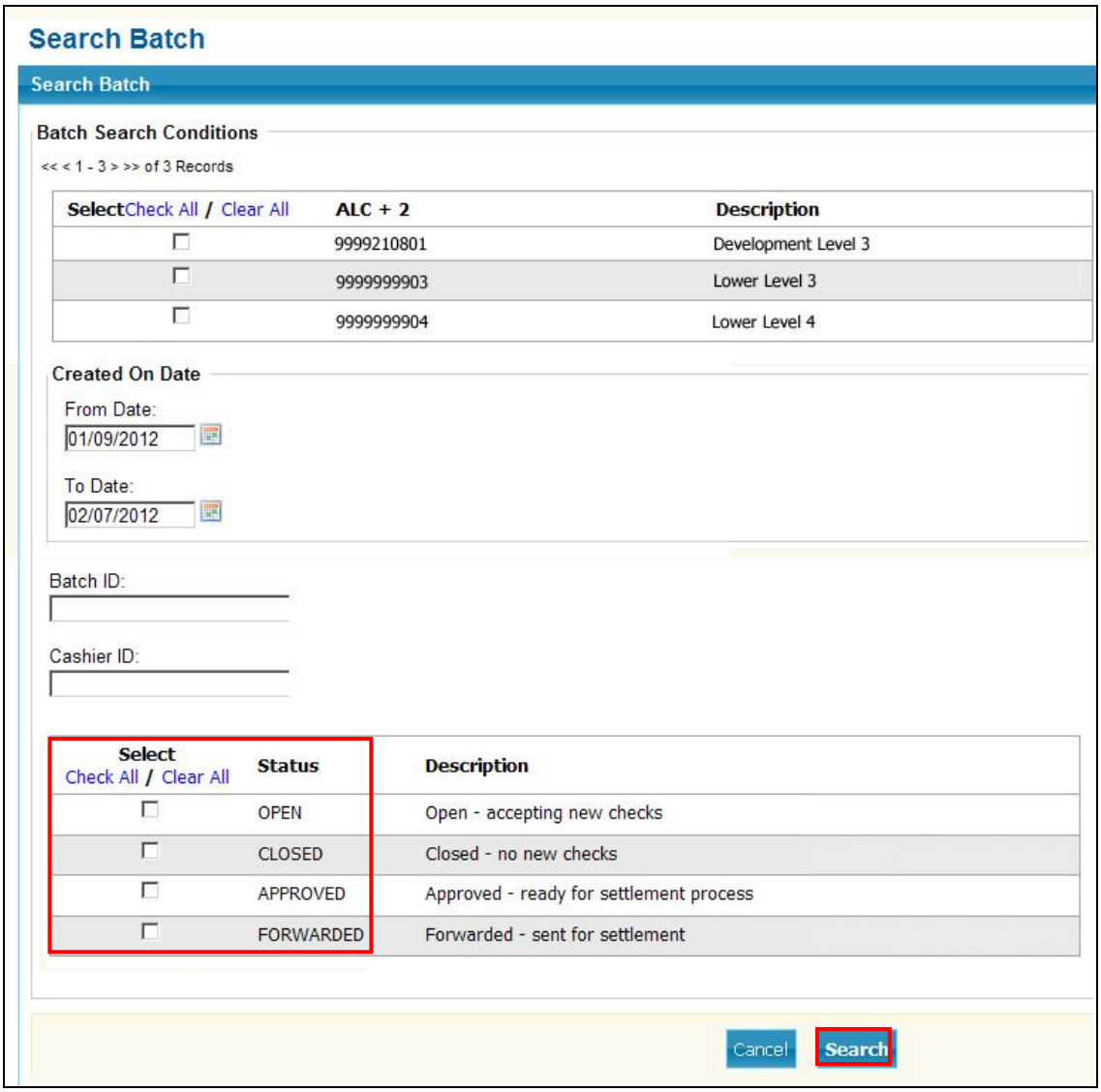
Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

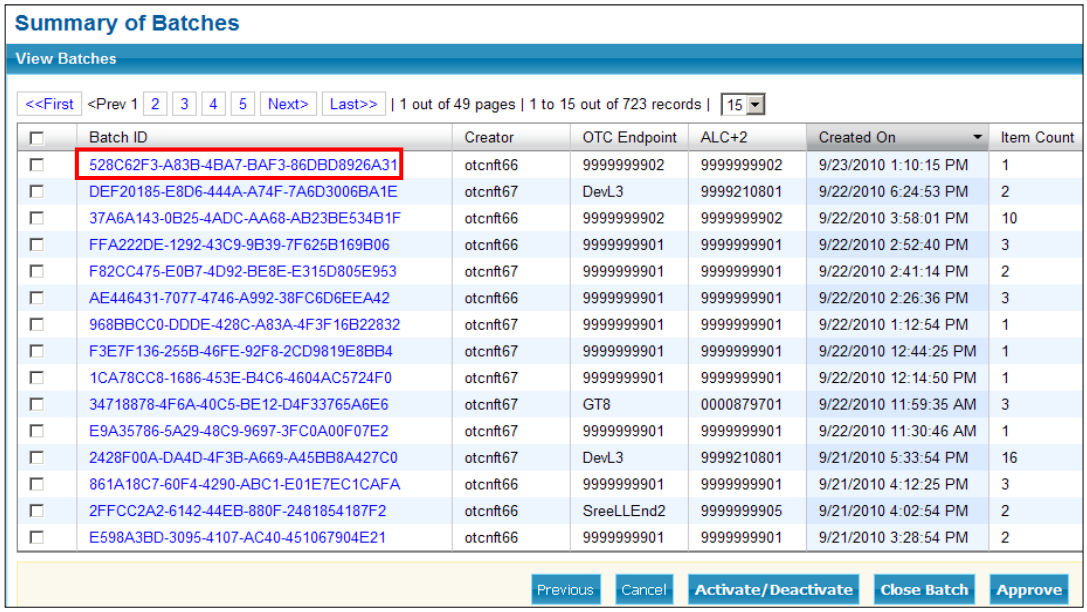
- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**.

Figure 24. Search Batch Page



3. The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 25. View Batches Page (Voiding)



Summary of Batches

View Batches

<<First <Prev 1 2 3 4 5 Next> Last>> | 1 out of 49 pages | 1 to 15 out of 723 records | 15

Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count
528C62F3-A83B-4BA7-BAF3-86DBD8926A31	otcnft66	9999999902	9999999902	9/23/2010 1:10:15 PM	1
DEF20185-E8D6-444A-A74F-7A6D3006BA1E	otcnft67	DevL3	9999210801	9/22/2010 6:24:53 PM	2
37A6A143-0B25-4ADC-AA68-AB23BE534B1F	otcnft66	9999999902	9999999902	9/22/2010 3:58:01 PM	10
FFA222DE-1292-43C9-9B39-7F625B169B06	otcnft66	9999999901	9999999901	9/22/2010 2:52:40 PM	3
F82CC475-E0B7-4D92-BE8E-E315D805E953	otcnft67	9999999901	9999999901	9/22/2010 2:41:14 PM	2
AE446431-7077-4746-A992-38FC6D6EEA42	otcnft66	9999999901	9999999901	9/22/2010 2:26:36 PM	3
968BBCC0-DDDE-428C-A83A-4F3F16B22832	otcnft67	9999999901	9999999901	9/22/2010 1:12:54 PM	1
F3E7F136-255B-46FE-92F8-2CD9819E8BB4	otcnft67	9999999901	9999999901	9/22/2010 12:44:25 PM	1
1CA78CC8-1686-453E-B4C6-4604AC5724F0	otcnft67	9999999901	9999999901	9/22/2010 12:14:50 PM	1
34718878-4F6A-40C5-BE12-D4F33765A6E6	otcnft67	GT8	0000879701	9/22/2010 11:59:35 AM	3
E9A35786-5A29-48C9-9697-3FC0A00F07E2	otcnft67	9999999901	9999999901	9/22/2010 11:30:46 AM	1
2428F00A-DA4D-4F3B-A669-A45BB8A427C0	otcnft67	DevL3	9999210801	9/21/2010 5:33:54 PM	16
861A18C7-60F4-4290-ABC1-E01E7EC1CAFA	otcnft66	9999999901	9999999901	9/21/2010 4:12:25 PM	3
2FFCC2A2-6142-44EB-880F-2481854187F2	otcnft66	SreeLLEnd2	9999999905	9/21/2010 4:02:54 PM	2
E598A3BD-3095-4107-AC40-451067904E21	otcnft66	9999999901	9999999901	9/21/2010 3:28:54 PM	2

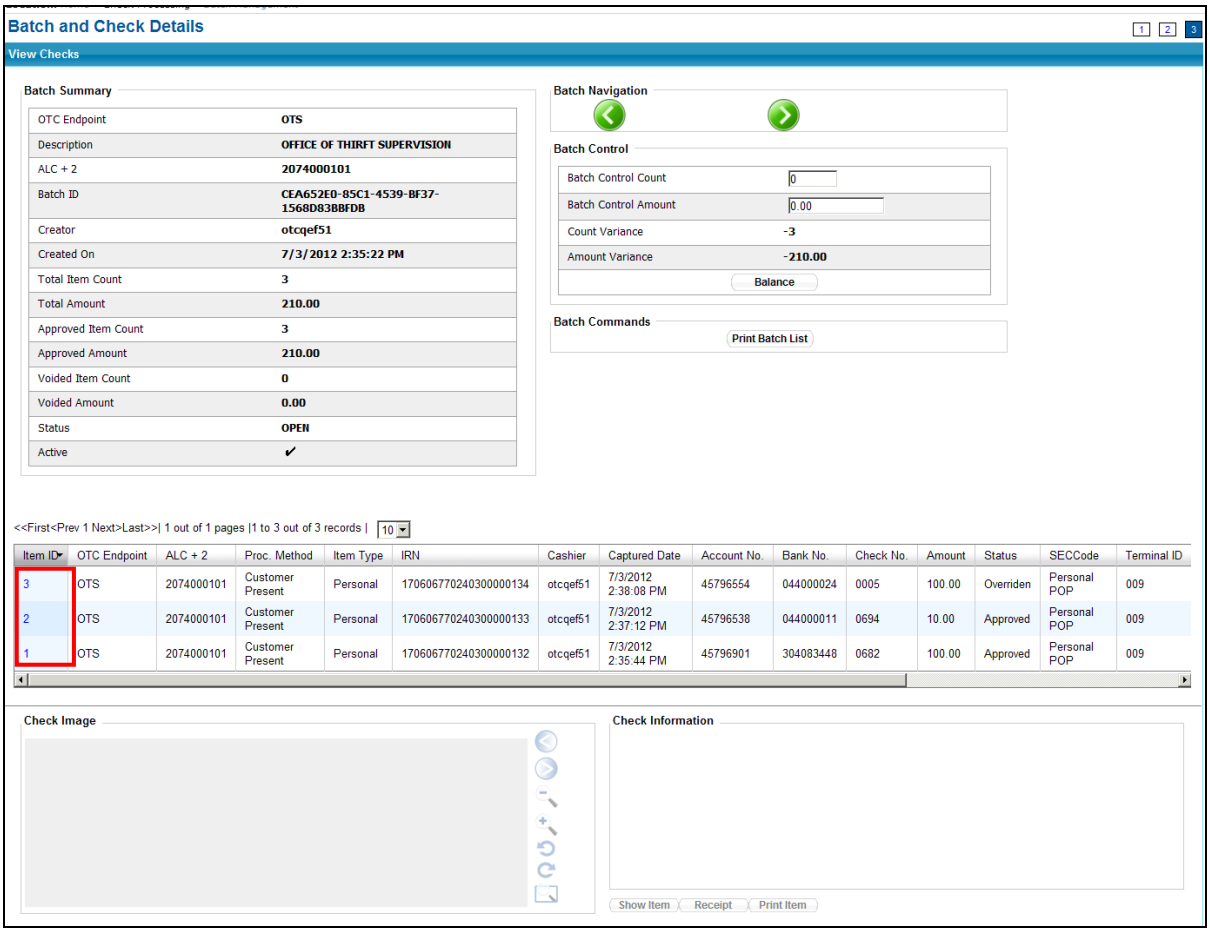
Previous Cancel Activate/Deactivate Close Batch Approve

4. The *View Checks* page appears. Click the **Item ID** of the scanned check you would like to void.

   If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

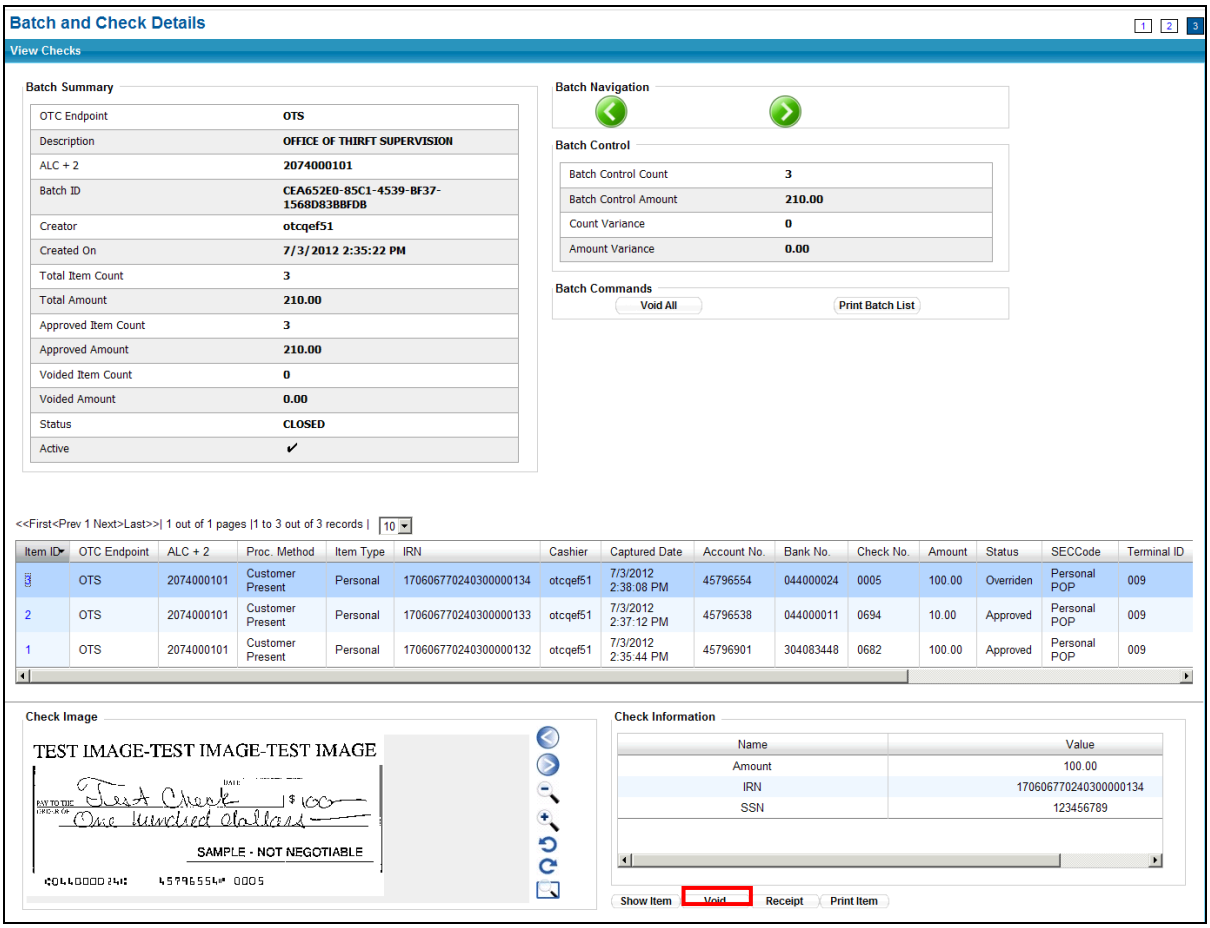
   Note: If you intend to void the entire batch, you can click on **Void All**, located under **Batch Commands** on the right of the *View Checks* Page.

Figure 26. View Checks Page (Voiding)



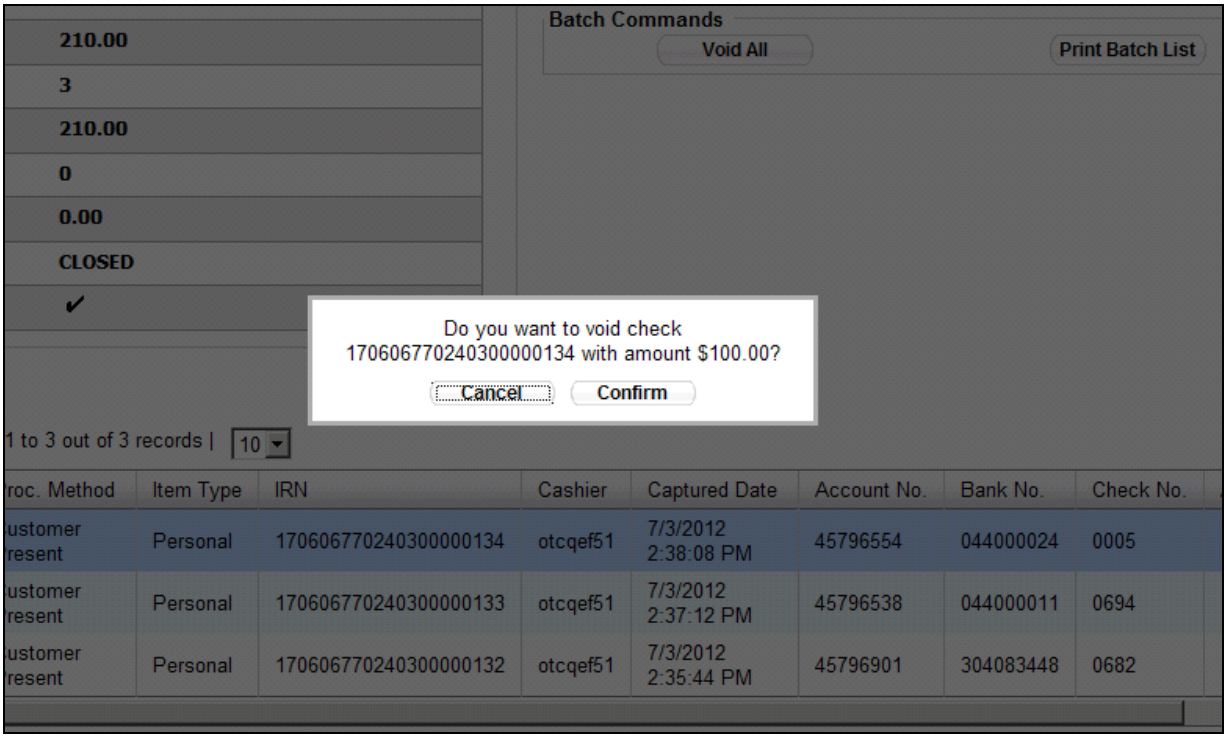
5. An image and details of the check appear in a window below. Click **Void** to the right of the check image to void the check.

Figure 27. Check Image/ Details



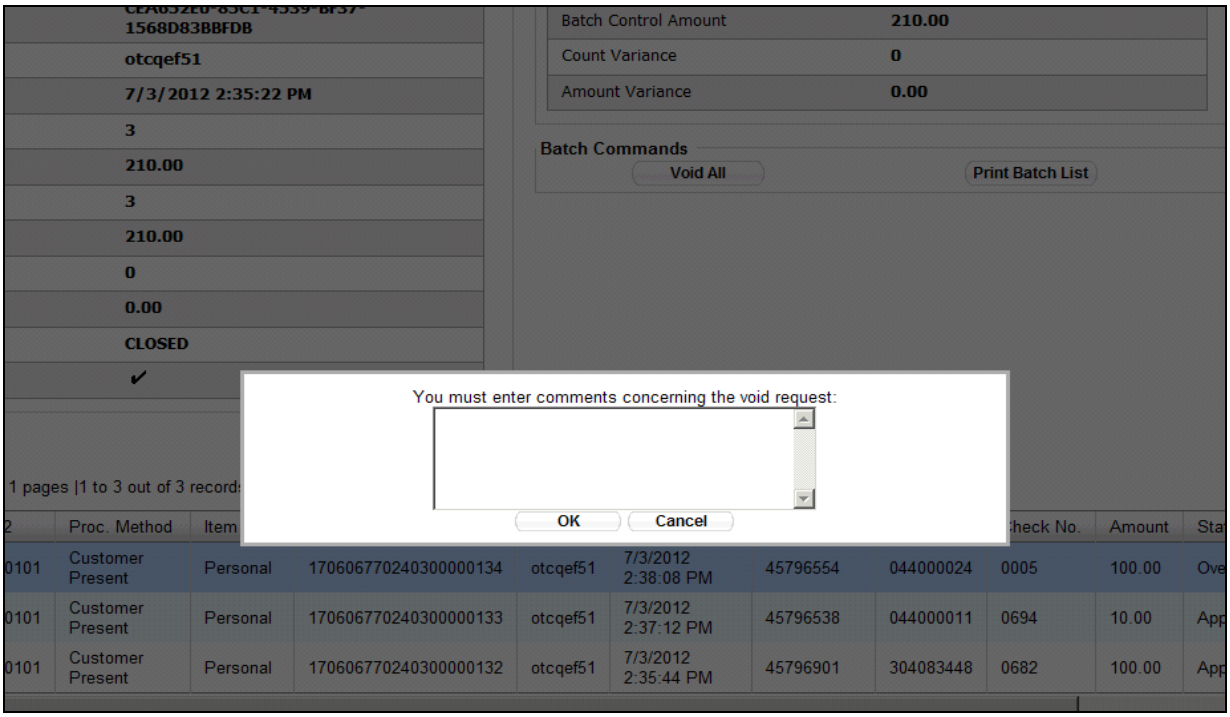
6. Click **Confirm** at the prompt asking if you want to void the check.

Figure 28. Void Confirmation Dialog Box



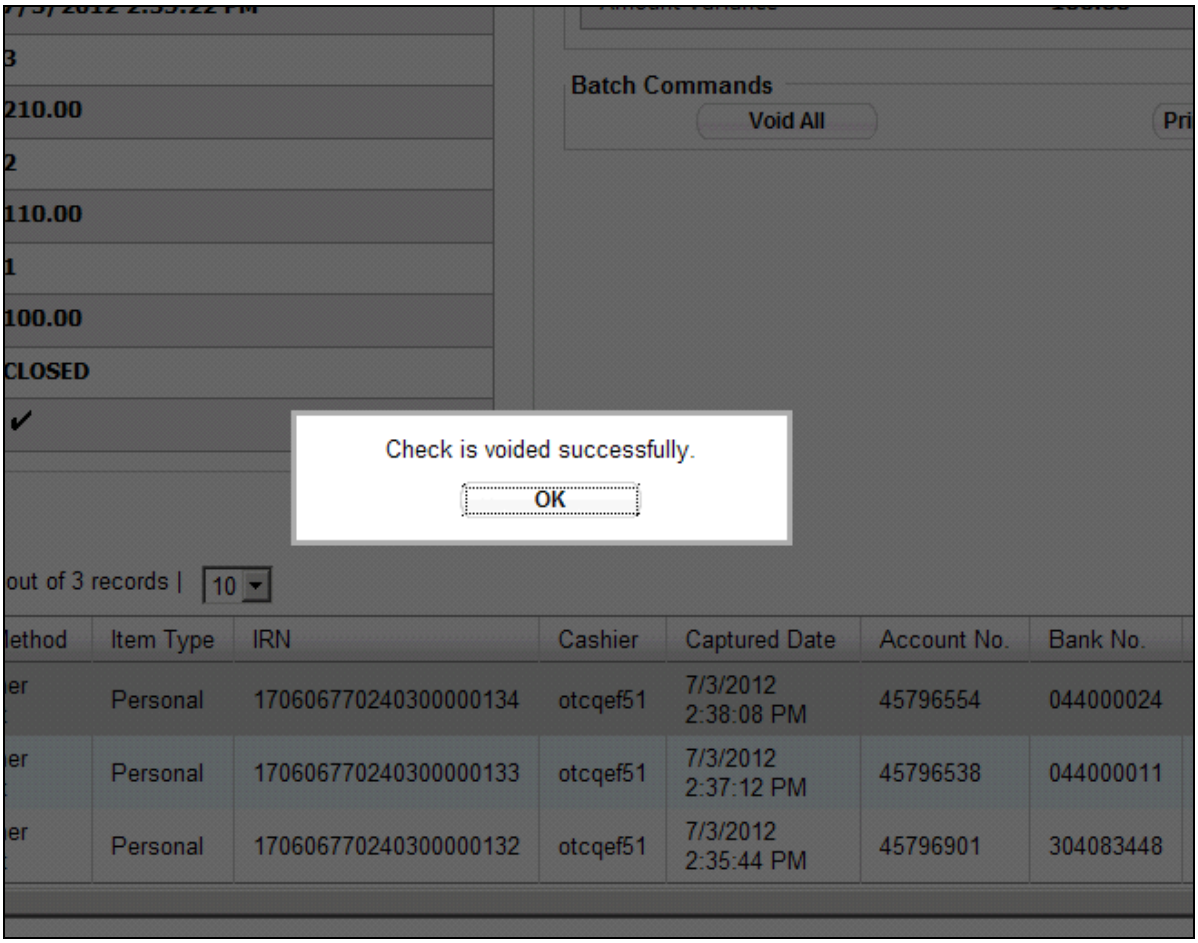
7. Enter comments concerning the void request at the prompt and click **OK**.

Figure 29. Enter Comment Dialog Box



8. Click **OK** at the final prompt stating that the check is voided successfully.

Figure 30. Check Void Dialog Box



Void a Check

To void a scanned check, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like view.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batch* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click the **Item ID** of the scanned check you would like to void. An image and details of the check appear in a window below.
7. Click **Void** to the right of the check image to void the check.
8. Click **Confirm** at the prompt asking if you want to void the check.
9. Enter comments concerning the void request at the prompt and click **OK**.
10. Click **OK** at the final prompt stating that the check is voided successfully.

Application Tip

Additional buttons on the pages that help perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Void All** to void all items in the batch.
- Click **Print Batch List** to print the batch list.
- Click **<** to go to the first batch.
- Click **>** to go to the next batch.
- Click **<<Image** to return to the previous check.
- Click **>>Image** to view the next check.
- Click **Zoom-** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left** to turn the image to the left.
- Click **Rotate Right** to turn the image to the right.
- Click **Show Item** to view the check item details.
- Click **Void** to void a single check item.
- Click **Receipt** to print a receipt.
- Click **Print Item** to print a batch list report.

Topic 6. Override a Master Verification Database (MVD) Record

If an Agency selects to use the **Master Verification Database (MVD)** feature, the Agency can receive three types of check verification notifications if a check is identified as blocked, suspended, or denied. The check verification notifications are **Blocked**, **Suspended**, or **D-Denied**.

The **Check Capture Supervisor** is the only authorized user who can override (if the transaction can be overridden) a blocked, suspended, or denied notification. When an override of a blocked check is performed, the override is a temporary, one-time event. The check remains blocked in the MVD database unless an authorized person (Master Verification Database Editor [MVDE] or CCS) clears the item out of the MVD database.

For the MVD override notification to appear the check item must meet established criteria for blocked, suspended, or denied.

Blocked Check Notification

A blocked, suspended, or denied message appears after the **Check Capture Lead Operator** or **Check Capture Operator** scans the check, enters the details, and saves the transaction.

A blocked message displays if the item matches all data as it was input on the blocked record:

- Routing Transit/ Account Number Data: If the blocked record is input with only the routing transit number and account number, then that record is only flagged if the data matches
- Configurable Field Data: If the blocked record was input with only configurable field 1 data (e.g. Social Security Number or Driver's License Number), then only configurable field 1 must match for the record
- Combination Data: If the blocked record input was for both pieces of information, then it must match all combinations, i.e., routing transit and account along with configurable field 1

Suspended or D-Denied Check Notification

The suspend or deny message displays if the item scanned matches the MVD information. This is either the match of the combination of both the routing number and account number, or a match against the configurable field 1.

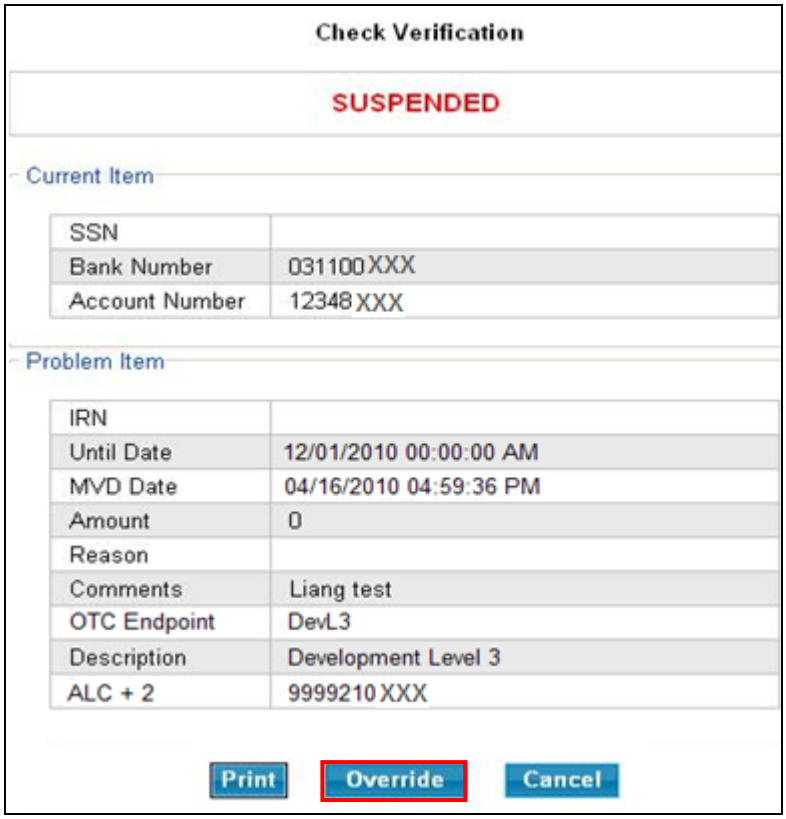
Each **OTC Endpoint** that uses the MVD sets their policies to use certain return codes with a defined number of days within the suspension period. During that pre-determined period, if the check writer attempts to cash a check, a suspended notification appears on the OTCnet screen. A typical check cashing policy may mandate that the check writer is suspended for 30 days upon their first offense, 60 days upon their second offense and 90 days upon their third offense. During the suspension period, they cannot cash a check at that **OTC Endpoint**. A denied item occurs when the check writer has exceeded all suspension periods. A typical suspension policy may specify that the check writer is suspended as referenced in the paragraph above.

Overriding a MVD Record

1. Click **Override** to override the blocked, suspended, or denied check.

   When an override of a blocked check is performed in check capture, the override is a temporary, one-time event. The check remains blocked in the MVD database unless an authorized person clears the item out of the MVD database.

Figure 31. Override Check Denial Box

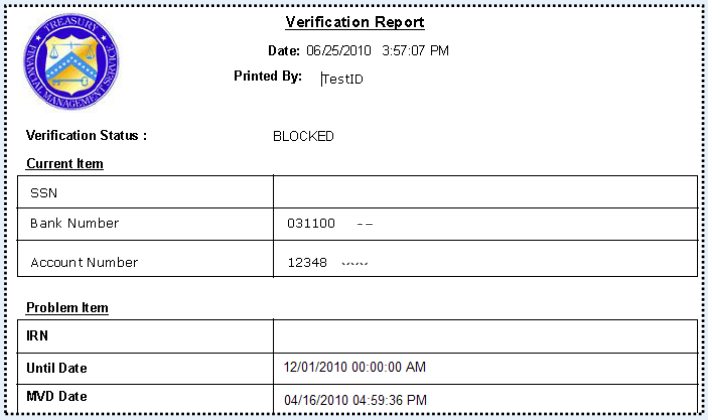


Application Tip

Click **Cancel** to close the Check Verification window. If **Cancel** is clicked, return the check to the customer.

Application Tip

Click **Print** to print the Verification report.



Verification Report

Date: 06/25/2010 3:57:07 PM

Printed By: TestID

Verification Status : BLOCKED

Current Item

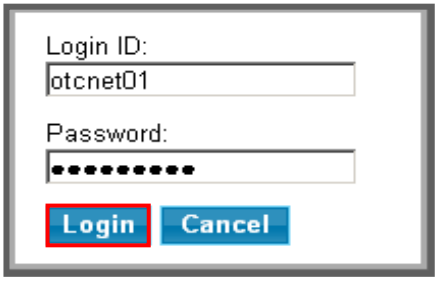
SSN	
Bank Number	031100 --
Account Number	12348 ~~~~

Problem Item

IRN	
Until Date	12/01/2010 00:00:00 AM
MVD Date	04/16/2010 04:59:36 PM

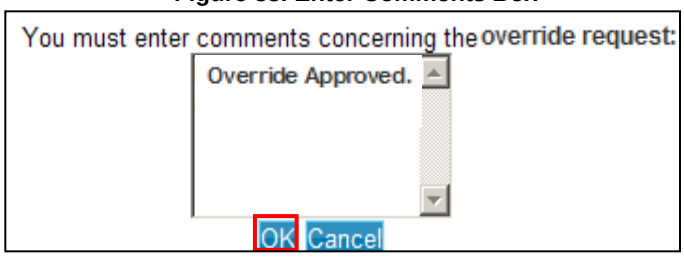
2. An Override Check Denial dialog box appears. Enter the **Login ID** and **Password** and click **Login**. A **Comment** dialog box appears.

Figure 32. Override Login Dialog Box



3. Enter a reason why the check was approved for processing and click **OK**. A notification appears stating the override was successful.

Figure 33. Enter Comments Box



Override a MVD Record

To override a MVD Record, complete the following steps:

1. Click **Override** to override the blocked, suspended, or denied check. An Override Check Denial dialog box appears.

Application Tip

When an override of a blocked check is performed in check capture, the override is a temporary, one-time event. The check remains blocked in the MVD database unless an authorized person clears the item out of the MVD database.

Application Tip

Click **Print** to print the Verification report.

Verification Report

Date: 06/25/2010 3:57:07 PM

Printed By: TestID

Verification Status : BLOCKED

Current Item

SSN	
Bank Number	031100209
Account Number	12348302

Problem Item

IRN	
Until Date	12/01/2010 00:00:00 AM
MVD Date	04/16/2010 04:59:36 PM

Application Tip

Click **Cancel** to close the Check Verification window. If **Cancel** is clicked, return the check to the customer.

2. Enter the **Login ID** and **Password** and click **Login**. A **Comment** dialog box appears.

Application Tip

A **Check Capture Supervisor** must authorize the overriding of the blocked, suspended, or denied check.

3. Enter a reason why the check was approved for processing and click **OK**. A notification appears stating the override was successful.

Topic 7. Perform Batch Control and Batch Balancing

A Check Capture Administrator can configure the terminal for **Batch Control** as *optional* or *mandatory* on batch create, batch close, or both are an optional feature that your Agency can use as a batch balancing tool.

Batch Control can be used to perform balancing on the number of checks that have been scanned, and ensure their respective dollar amounts have been accurately keyed. The **Batch Control** options can be set up for each **OTC Endpoint** which an Agency processes. If it is used, the feature applies to both processing modes, i.e., Single and Batch.

The batch control screen displays the **OTC Endpoint** Information such as the **OTC Endpoint** short name, Description, and ALC+2 for the **OTC Endpoint**. Configuration settings for batch control are established in the **Terminal Configuration**.

If **Batch Control** is set at the Batch Create either optional or mandatory, then the **Batch control** screen will appear before scanning a batch of check and when a new batch is created. Depending on the terminal configuration settings, the batch control fields can appear at the beginning of a batch (prior to scanning the check), just prior to closing a batch, or both.

If **Batch Control** is set to *optional*, the **Defer** button appears on the page. If set to *mandatory for either Batch Create or Batch Close,* the **Defer** button does *not* appear on the page and the user cannot start scanning a batch or close the unbalanced batch. If set to mandatory for both Batch Create and Batch Close, then the Defer button will appear during Batch Create, but a user must enter the batch control value during the Batch Close action.

Set to Appear on Batch Create

If the batch control is set to appear on batch create, OTCnet prompts the **Check Capture Lead Operator** or **Check Capture Operator** to enter the batch control total amount and count *before* scanning a check. If the batch control is set to *optional* on batch create, the operators can choose to click the **Next** button to bypass this step.

Set to Appear on Batch Close

If the batch control is set to appear on batch close, OTCnet prompts the **Check Capture Operator, Check Capture Lead Operator** or **Check Capture Supervisor** to enter the batch control total amount and count. Batch control balancing only occurs when closing an open batch. If the batch control is set to *optional* on batch close, the operators, and **Check Capture Supervisor** can choose to click to **Defer** to skip this step.

Batch Control Options

On Batch Create (Optional/ Mandatory)

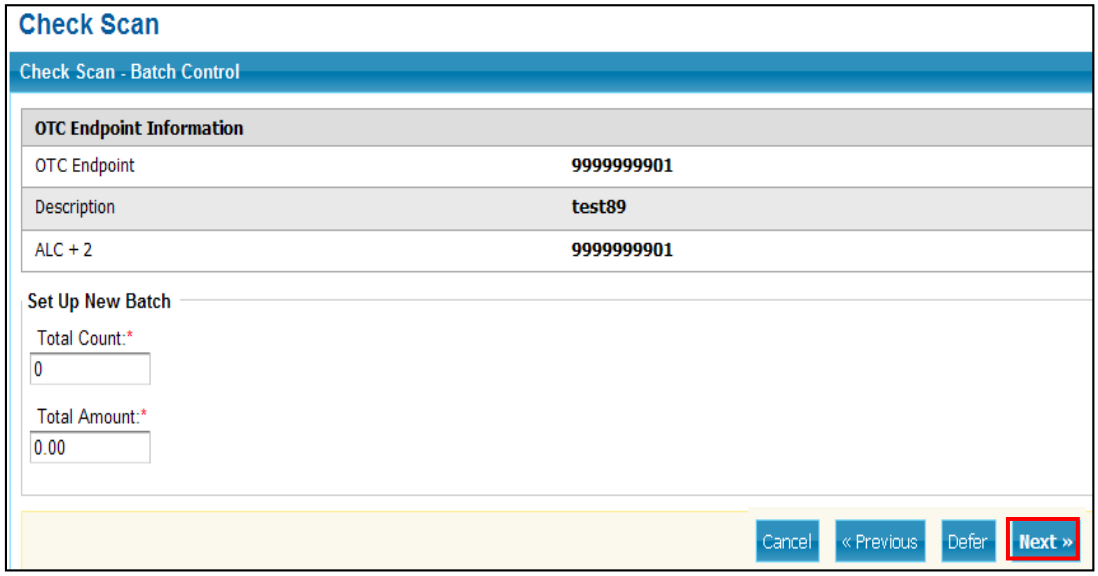
1. From the *Check Scan* page,

   Under **Set Up New Batch**,

   - Enter the **Batch Control Count**
   - Enter the **Batch Control Amount**

2. Click **Next**.

Figure 34. Batch Control Page (Batch Create)

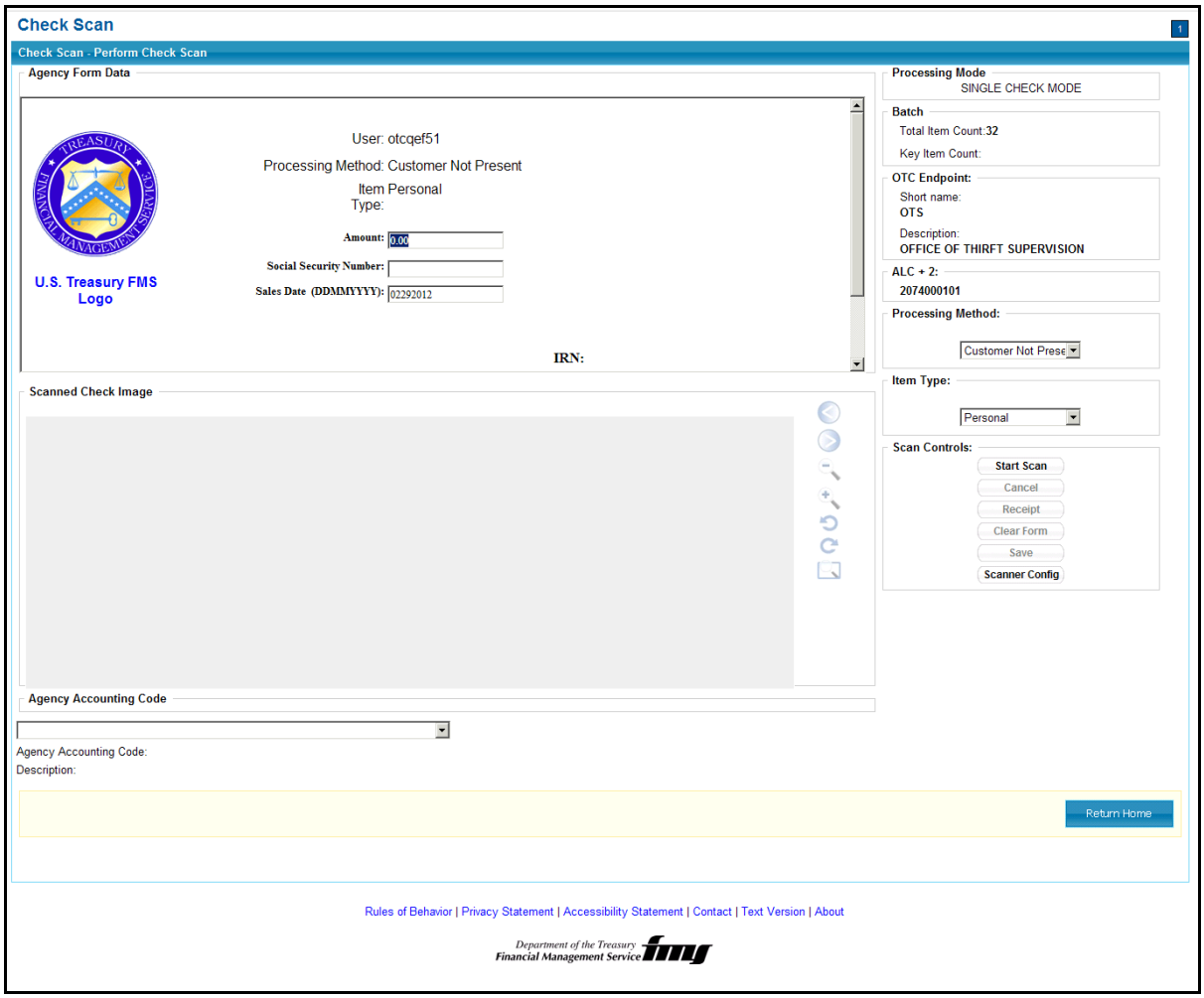


If **Batch Control** is set to mandatory, the **Check Capture Lead Operator** or **Check Capture Operator** must enter the **Batch Control** count and amount. The Batch Control count and amount cannot be zero.

If **Batch Control** is set to optional, the **Check Capture Lead Operator** or **Check Capture Operator** can click the **Defer** button.

3. The *Check Scan-Perform Check Scan* page appears. Perform check scanning as needed.

Figure 35. Perform Check Scan Page (after Batch Control)



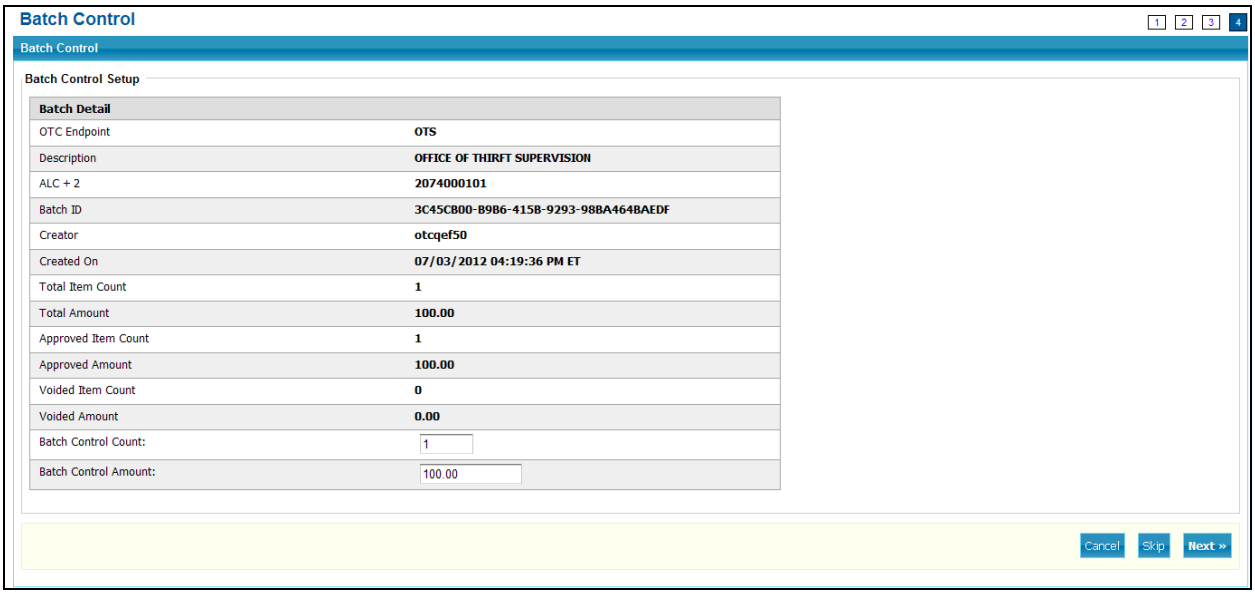
On Batch Close (Optional/ Mandatory)

1. From the *Batch Control* page,
   Under **Batch Detail**,

   - Enter the **Batch Control Count**
   - Enter the **Batch Control Amount**

2. Click **Next**.

Figure 36. Batch Control Page (Batch Close)



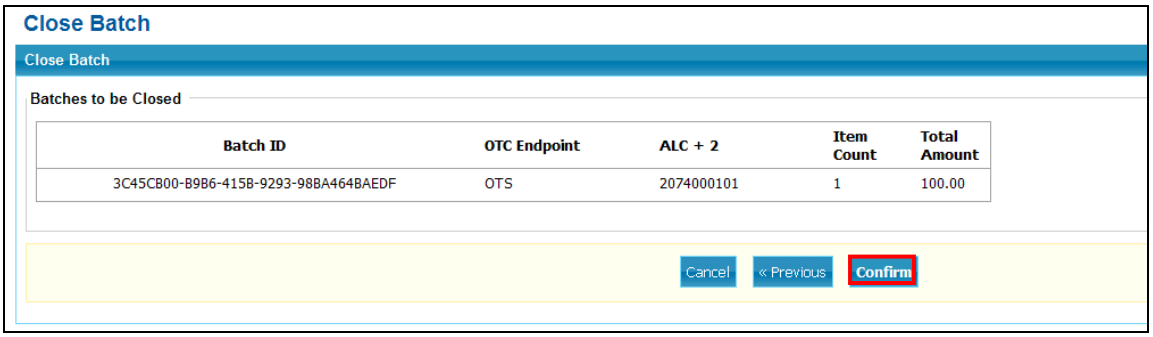
If **Batch Control** is set to optional, the **Check Capture Lead Operator**, **Check Capture Operator**, or **Check Capture Supervisor** can choose to click to **Next** button without entering the **Batch Control** count and amount.

If the amount of a check item was incorrectly entered, click **Cancel** to return to the OTCnet Home Page. No data is saved. Refer to refer to *Chapter 5. Correcting Scanned Checks* of the OTCnet Participant User Guides.

If you are a **Check Capture Lead Operator** or **Check Capture Operator** and discover that the amount of the check item was incorrectly entered, contact your **Check Capture Supervisor,** and edit the check using the *Show Item* window.

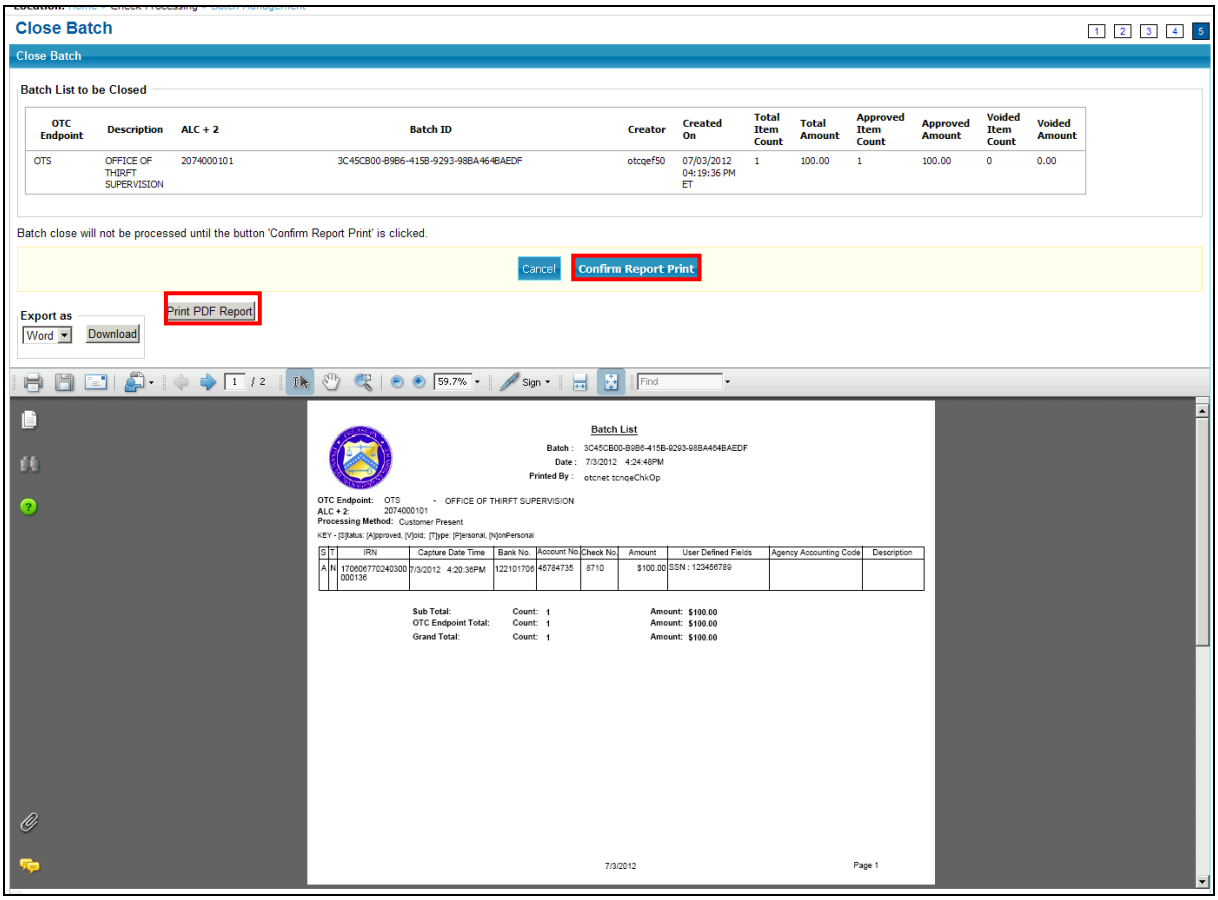
3. The *Close Batch* page appears. Verify the batch(es) to close and click **Confirm**. In OTCnet, a user can close one or multiple batches at a time.

Figure 37. Close Batch Page (Batch Close)



4. Click **Print PDF Report** to print the batch list report. Click **Confirm Report Print** when you have printed the report.

Figure 38. Print Batch List Report (Batch Close)



Perform Batch Control (Optional or Mandatory)

To perform batch control on batch create, complete the following steps:

1. From the *Check Scan* page,

   Under **Set Up New Batch**,
   - Enter the **Batch Control Count**
   - Enter the **Batch Control Amount**

Application Tip

If Batch Control is set to mandatory, the **Check Capture Lead Operator** or **Check Capture Operator** must enter the batch control count and amount. The batch control count and amount cannot be zero.

Application Tip

If Batch Control is set to optional, the **Check Capture Lead Operator** or **Check Capture Operator** can click the **Defer** button.

2. Click **Next**. Perform **Check Scan**. The *Check Scan-Perform Check Scan* page appears.
3. Scan check(s) as needed.

To perform batch control on batch close, complete the following steps:

1. From the *Batch Control* page,
   - Under **Batch Detail**,
     - Enter the **Batch Control Count**
     - Enter the **Batch Control Amount**
2. Click **Next**. The *Close Batch* page appears.

Application Tip

If Batch Control is set to optional, the **Check Capture Lead Operator**, **Check Capture Operator**, or **Check Capture Supervisor** can choose to click to **Next** button without entering the batch control count and batch control amount.

Application Tip

If the amount of a check item was incorrectly entered, click **Cancel** to return to the OTCnet Home Page. No data is saved. Refer to *Chapter 5. Correcting Scanned Checks* of the *OTCnet Participant User Guide*. If you are a **Check Capture Lead Operator** or **Check Capture Operator** and discover that the amount of the check item was incorrectly entered, contact your **Check Capture Supervisor,** and edit the check using the Show Item window.

3. Continue batch close process and print batch list report.

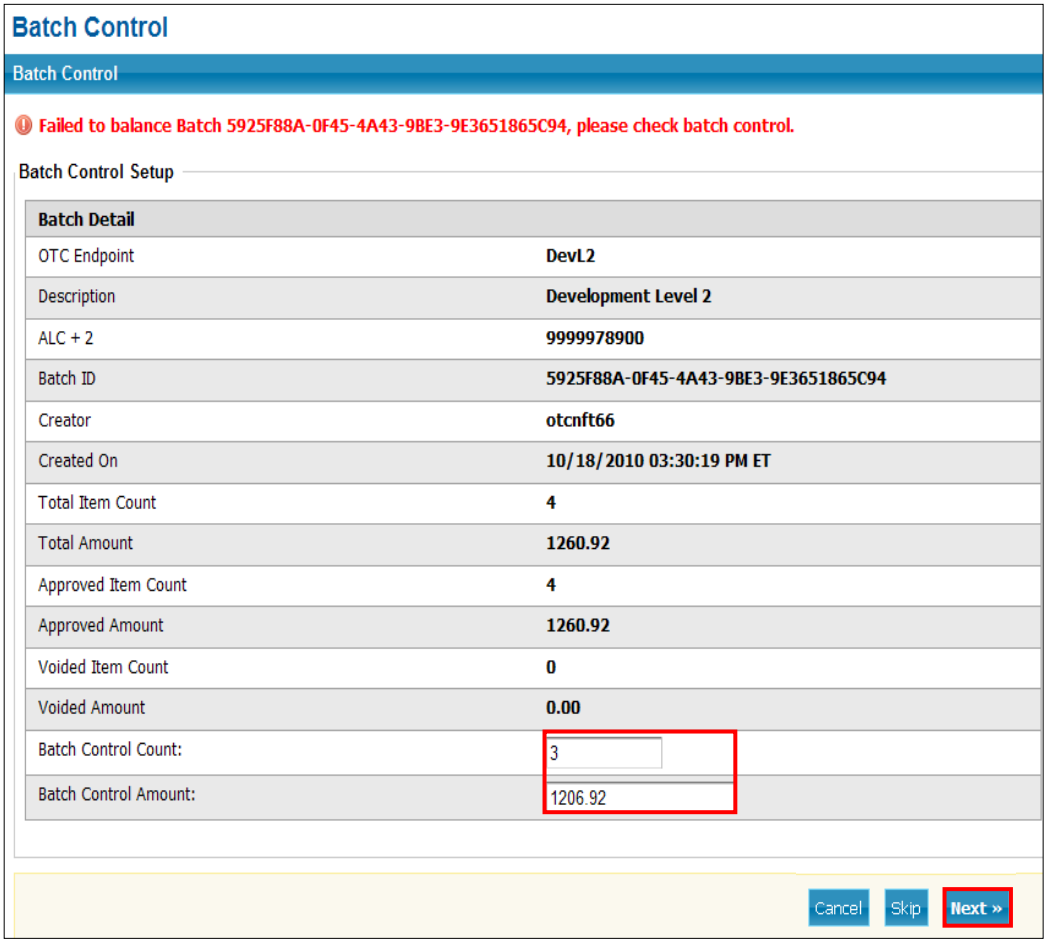
Batch Balancing

If the totals that are keyed into the **Batch Control** screen do not match what was keyed into the data entry screen, a **Batch Balancing** screen appears on batch close (see Figure 37 below). This screen only appears if there is a discrepancy between the totals. To reconcile the discrepancy, the operator must discover where the problem exists.

The **Batch Control** (balancing) screen displays the **Batch Detail**. Open fields include the Batch Control Count and Batch Control Amount. If these fields do not match those which you see to the right of the Approved Item Count and Approved Amount, then an error will display; *Failed to balance Batch (batch number), please check batch control* (see Figure 37 below).

If batch control is set to *Mandatory* and the batch is not balanced at this point (Batch Control Count and Batch Control Amount), a user may not proceed with closing a batch. However, if **Batch Control** is set to *Optiona*l, a user may click **Next** below, to continue closing the batch.

Figure 39. Batch Balancing Screen (Failed to Balance)



Below, are some important **Batch Detail** descriptions that you should know:

- **Total Item Count:** The number of checks that have been scanned in OTCnet.
- **Batch Control Count:** The number of checks keyed into the **Batch Control** screen by the operator.
- **Total Amount:** The total dollar amount of the items as keyed into the Agency form data fields when scanning checks.
- **Batch Control Total:** The total dollar amount of the checks keyed into the Batch Control screen by the operator.

It must be determined if there is an erroneously scanned item, or if the batch should contain both of the items. The operator needs to go back to the source documents for an answer. If it is determined that the batch should contain both items, the operator would change the number in the **Batch Control Count** field and/or the dollar amount in the **Batch Control Total**.

If it has been determined that the batch does include an erroneously scanned item, follow these steps:

1. Click on the erroneous amount.
2. Click **Void** button.
3. Enter comments concerning the void request and click **Ok.**
4. Click **OK** to confirm the void request. The *Confirmation* message appears.

Note: A **Check Capture Supervisor** will need to log in at the prompt, if the **Void** option is clicked.

Topic 8. View and Print a Batch List/ Item Detail Report

As a **Check Capture Supervisor**, **Check Capture Lead Operator,** and **Check Capture Operator**, you can view and print a **Batch List** report and an **Item Detail** report. An operator can print a **Batch List** for any deposits with any deposit status (i.e. Open, Closes, Approved, Forward). A **Batch List** consists of all transactions that have been processed. A user can view batch lists based on the search criteria applied.

The printing of a **Batch List** is part of the batch close procedure. During batch close, the system prompts to make certain that the user acknowledges the printout of the **Batch List**. The **Print PDF Report** button defaults to print in PDF format; however, a user may also opt to download and save the report in an alternate format such as Word, HTML, Excel, etc.

From the *Close Batch* page, a user can perform several actions on the same screen (such as Activate/Deactivate, Close and Approve Batches), based on their permissions.

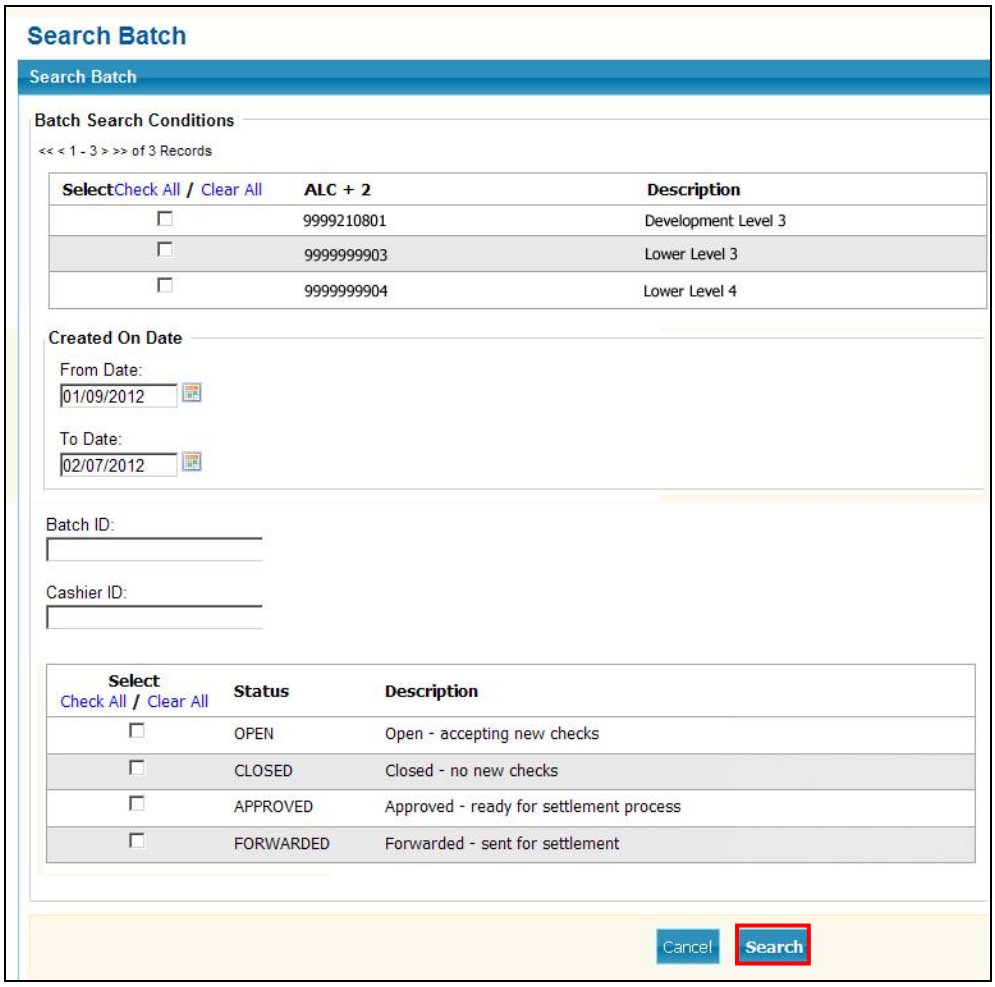
Batch List Report

1. Click the **Check Processing** tab and click **Batch Management**.

Figure 40. Check Processing>Batch Management (View Batch)

2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view, and then click **Search**.

Figure 41. Search Batch Page (View Batch)



Note:

1) If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

2) If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

3) If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

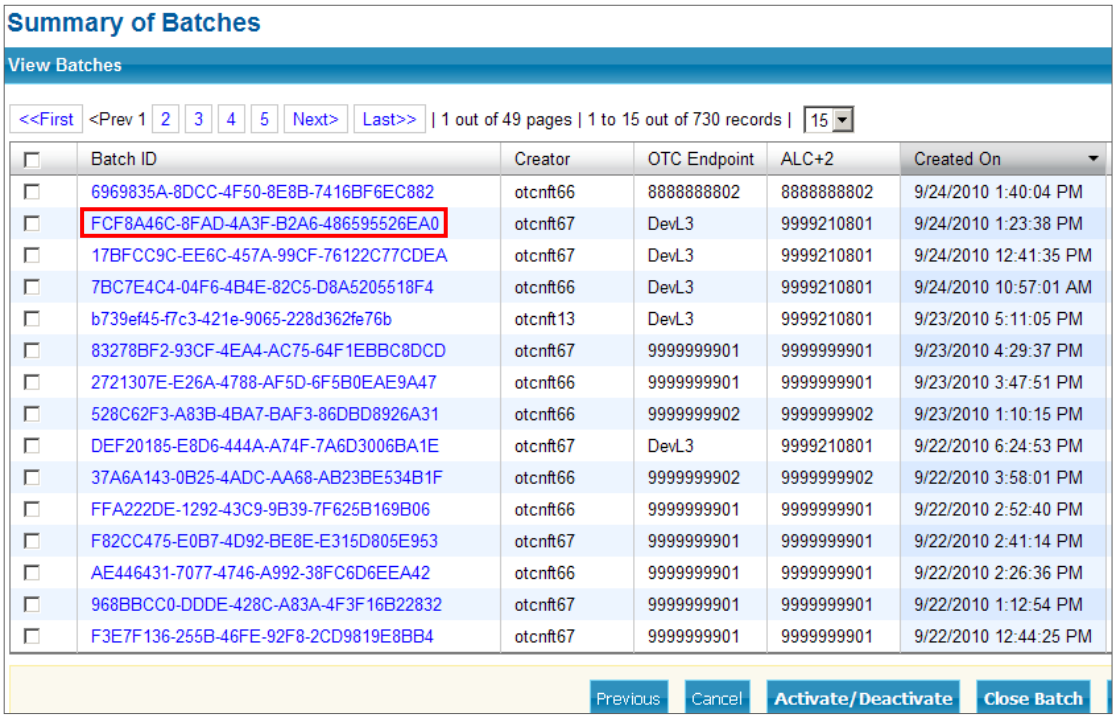
- Enter the **Cashier ID**

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

4. The *View Batches* page appears. Click the **Batch ID** hyperlink.
   If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

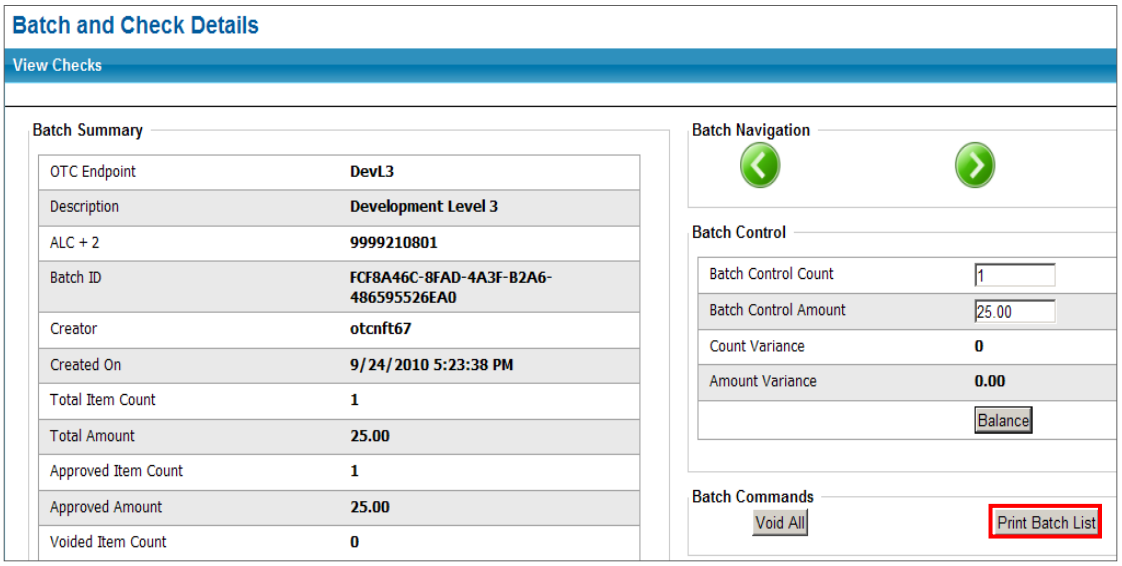
Figure 42. View Batches Page (View Batch)



Batch ID	Creator	OTC Endpoint	ALC+2	Created On
6969835A-8DCC-4F50-8E8B-7416BF6EC882	otcnft66	8888888802	8888888802	9/24/2010 1:40:04 PM
FCF8A46C-8FAD-4A3F-B2A6-486595526EA0	otcnft67	DevL3	9999210801	9/24/2010 1:23:38 PM
17BFCC9C-EE6C-457A-99CF-76122C77CDEA	otcnft67	DevL3	9999210801	9/24/2010 12:41:35 PM
7BC7E4C4-04F6-4B4E-82C5-D8A5205518F4	otcnft66	DevL3	9999210801	9/24/2010 10:57:01 AM
b739ef45-f7c3-421e-9065-228d362fe76b	otcnft13	DevL3	9999210801	9/23/2010 5:11:05 PM
83278BF2-93CF-4EA4-AC75-64F1EBBC8DCD	otcnft67	9999999901	9999999901	9/23/2010 4:29:37 PM
2721307E-E26A-4788-AF5D-6F5B0EAE9A47	otcnft66	9999999901	9999999901	9/23/2010 3:47:51 PM
528C62F3-A83B-4BA7-BAF3-86DBD8926A31	otcnft66	9999999902	9999999902	9/23/2010 1:10:15 PM
DEF20185-E8D6-444A-A74F-7A6D3006BA1E	otcnft67	DevL3	9999210801	9/22/2010 6:24:53 PM
37A6A143-0B25-4ADC-AA68-AB23BE534B1F	otcnft66	9999999902	9999999902	9/22/2010 3:58:01 PM
FFA222DE-1292-43C9-9B39-7F625B169B06	otcnft66	9999999901	9999999901	9/22/2010 2:52:40 PM
F82CC475-E0B7-4D92-BE8E-E315D805E953	otcnft67	9999999901	9999999901	9/22/2010 2:41:14 PM
AE446431-7077-4746-A992-38FC6D6EEA42	otcnft66	9999999901	9999999901	9/22/2010 2:26:36 PM
968BBCC0-DDDE-428C-A83A-4F3F16B22832	otcnft67	9999999901	9999999901	9/22/2010 1:12:54 PM
F3E7F136-255B-46FE-92F8-2CD9819E8BB4	otcnft67	9999999901	9999999901	9/22/2010 12:44:25 PM

5. The *Batch and Check Details* page appears. Click **Print Batch List**.

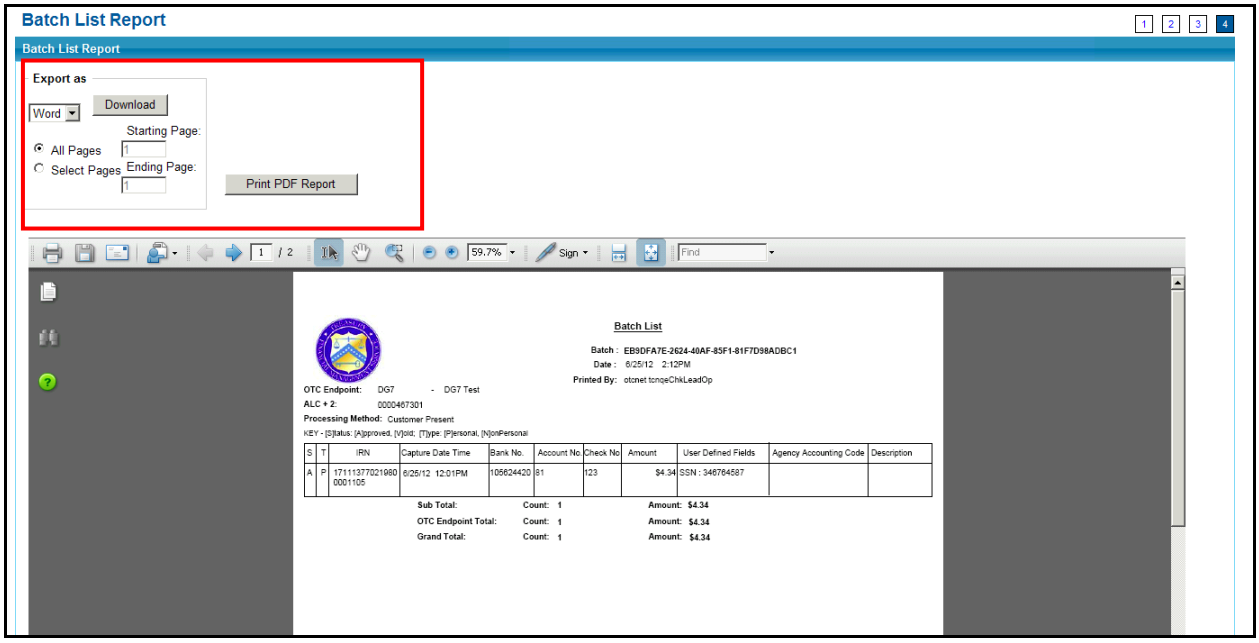
Figure 43. View Checks Page (View Batch)



6. The *Batch List Report* page appears.
   Under **Export as**,

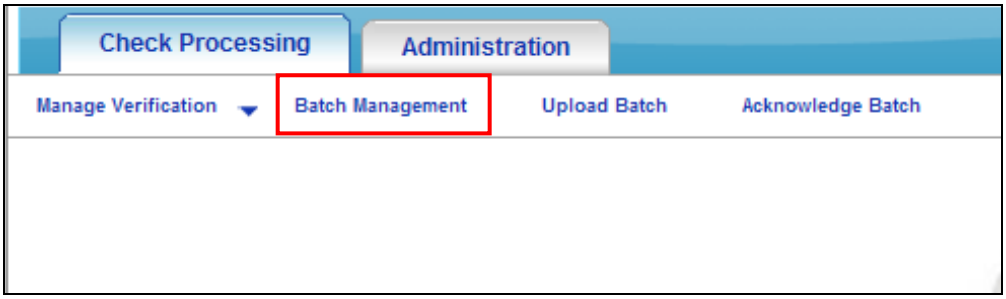
   - Select **Word**, **Excel**, **RTF**, or **PDF**
   - Select **All Pages** or **Select Pages Ending Page** radio button.
   - Enter a **Starting Page** and **Ending Page**
   - Click **Download**
     Or
   - Click **Print PDF Report**.

Figure 44. Batch List Report Page

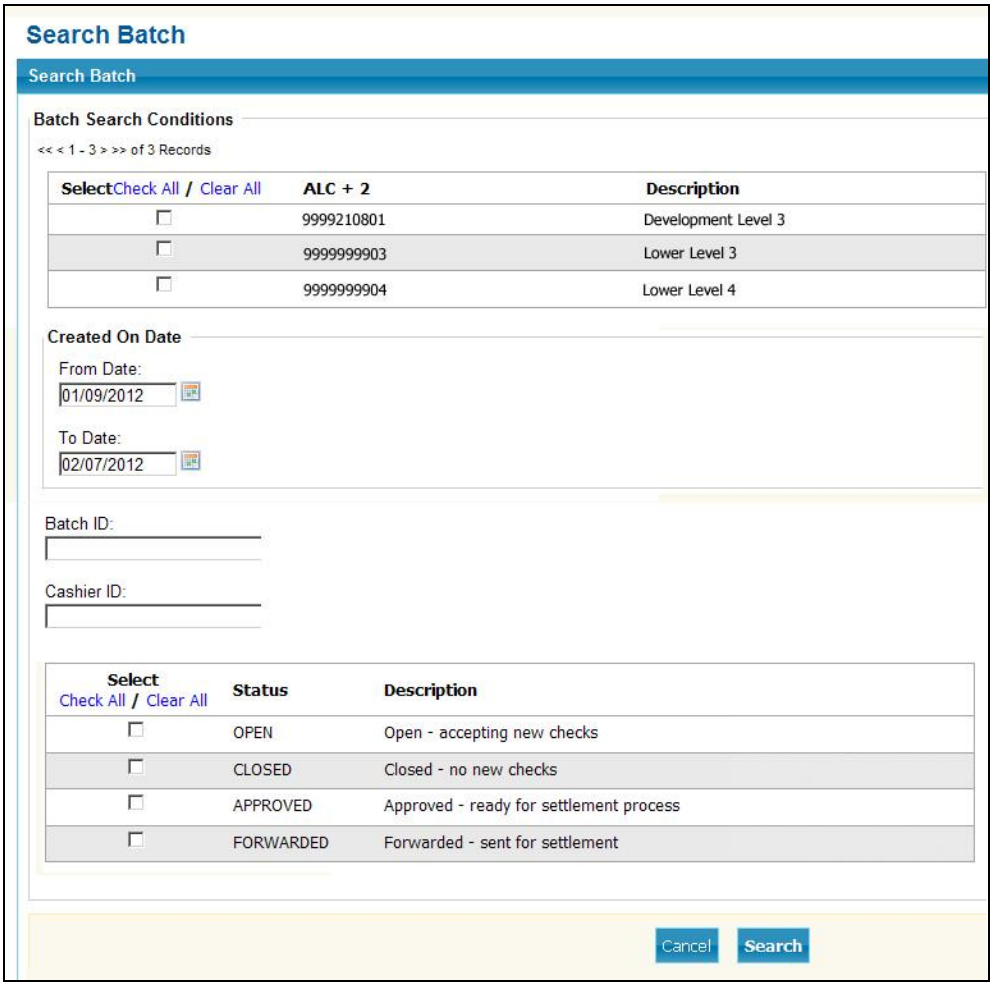


Item Detail Report

1. Click the **Check Processing** tab and click **Batch Management.**



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view, then click **Search**.



Note:

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

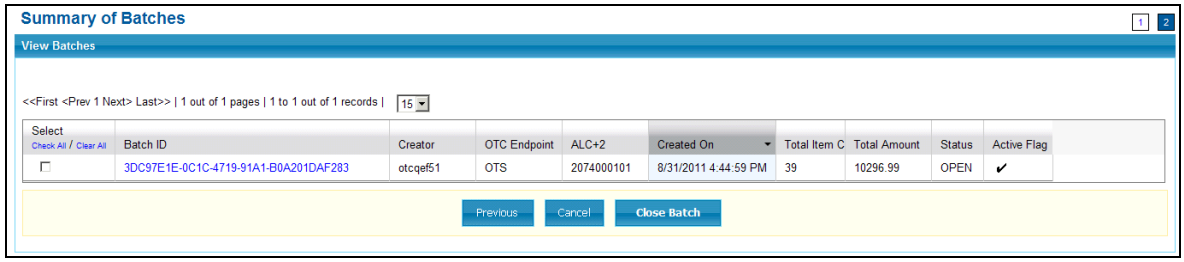
- Enter the **Cashier ID**

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

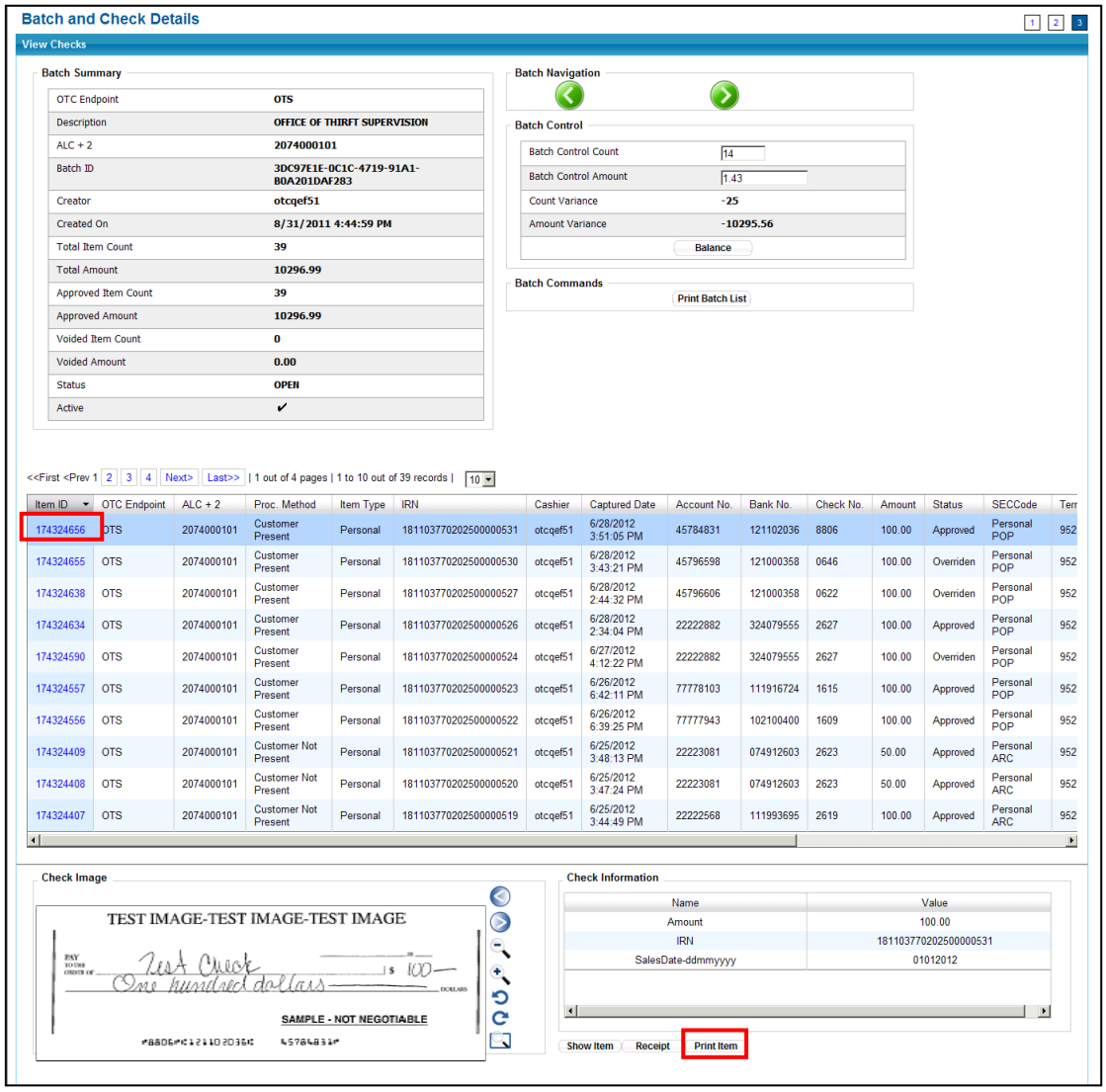
3. The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 45. Summary of Batches



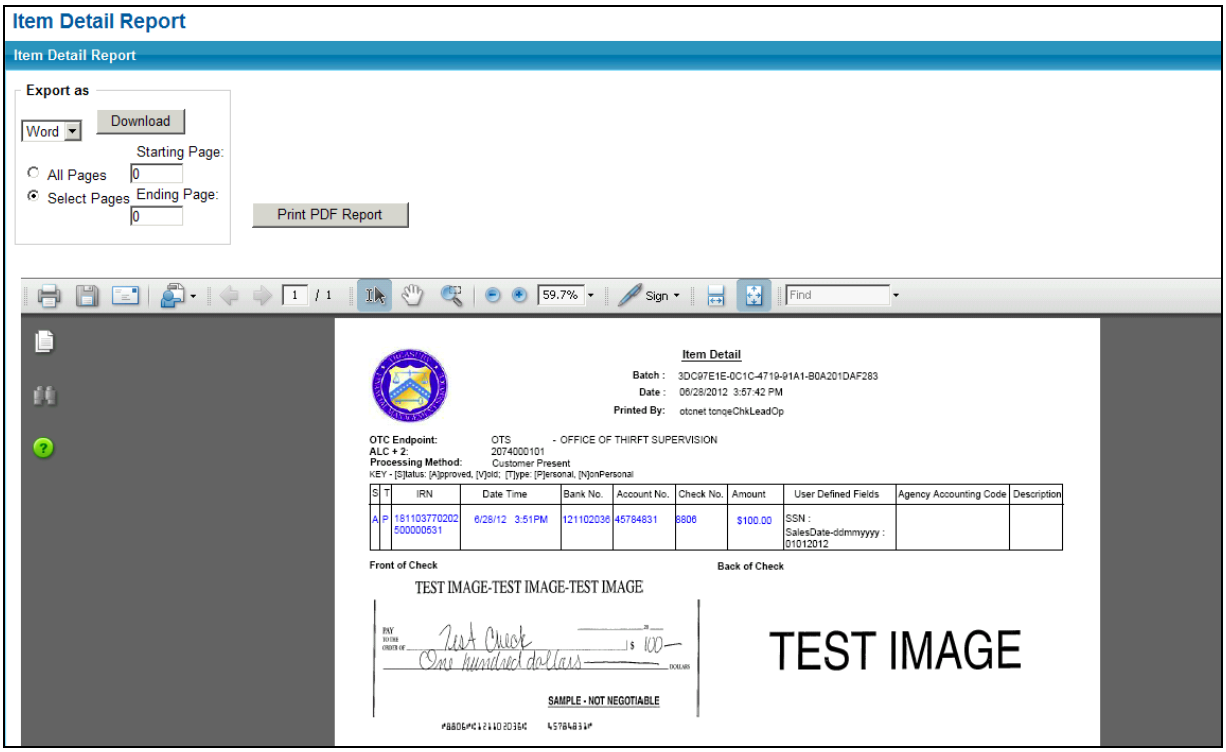
4. The *Batch and Item Details* page appears. Click the **Item ID** of each scanned check, then click **Print Item** for the specific check item you want to print. If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 46. View Checks Page/ Item ID Select



5. The *Item Detail Report* appears.

Figure 47. Item Detail report



Under **Export as**,

- Select **Word**, **Excel**, **RTF**, or **PDF**
- Select **All Pages** or **Select Pages Ending Page** radio button
- Enter a **Starting Page** and **Ending Page**
- Click **Download**

  Or
- Click **Print PDF Report**

View and Print a Batch List Report

To view and print a Batch List report, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like view.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.

5. Click the **Batch ID** hyperlink. The *Batch and Check Details* page appears.

Application Tip

If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

6. Click **Print Batch List**. The *Batch List Report* page appears.

7. Under **Export as**,
   - Select **Word**, **Excel**, **RTF**, or **PDF**.
   - Select **All Pages** or **Select Pages Ending Page** radio button.
   - Enter a **Starting Page** and **Ending Page**
   - Click **Download**

     Or
   - Click **Print PDF Report**.

View and Print an Item Detail Report

To view and print an Item Detail report, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

> **Application Tip**
>
> If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *Batch and Item Details* page appears.
6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.
7. Click **Print Item**. The *Item Detail Report* appears.
8. Under **Export as**,
   - Select **Word**, **Excel**, **RTF**, or **PDF**
   - Select **All Pages** or **Select Pages Ending Page** radio button.
     - Enter a **Starting Page** and **Ending Page**.
   - Click **Download**

     Or
   - Click **Print PDF Report**.

> **Application Tip**
>
> Additional buttons on the pages that help you perform other tasks:
> - Click **Previous** to return to the previous page.
> - Click **Cancel** to cancel the transaction. No data will be saved.

Topic 9. Activate/Deactivate a Batch

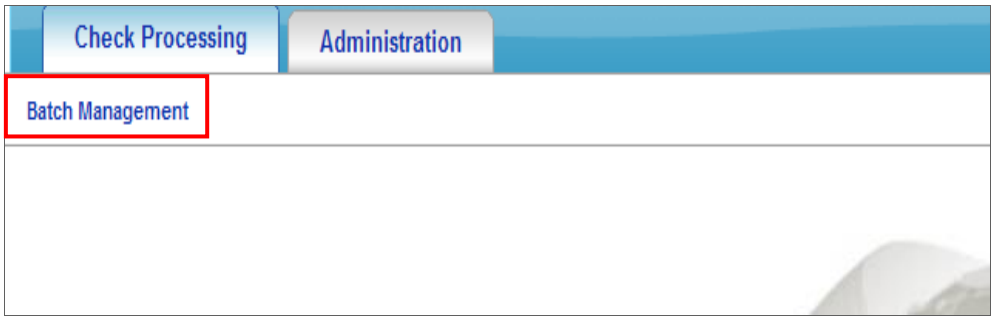
A **Check Capture Supervisor** can deactivate a batch if there is a problem with an item within the batch and further research is needed. Deactivating a batch prevents it from being closed or approved for settlement. A deactivated batch must be activated before it can be closed or approved for settlement.

The deactivated batch is retained for as long as the configuration settings allow. Only batches that are in an open or closed state can be deactivated or activated. A batch currently in use cannot be deactivated.

Activating/ Deactivating

1. Click the **Check Processing** tab and click **Batch Management**.

Figure 48. Check Processing>Batch Management (Activate/Deactivate)



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search.** Only batches with an **Open** or **Closed** status can be activated/deactivated.

Note:

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. If more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

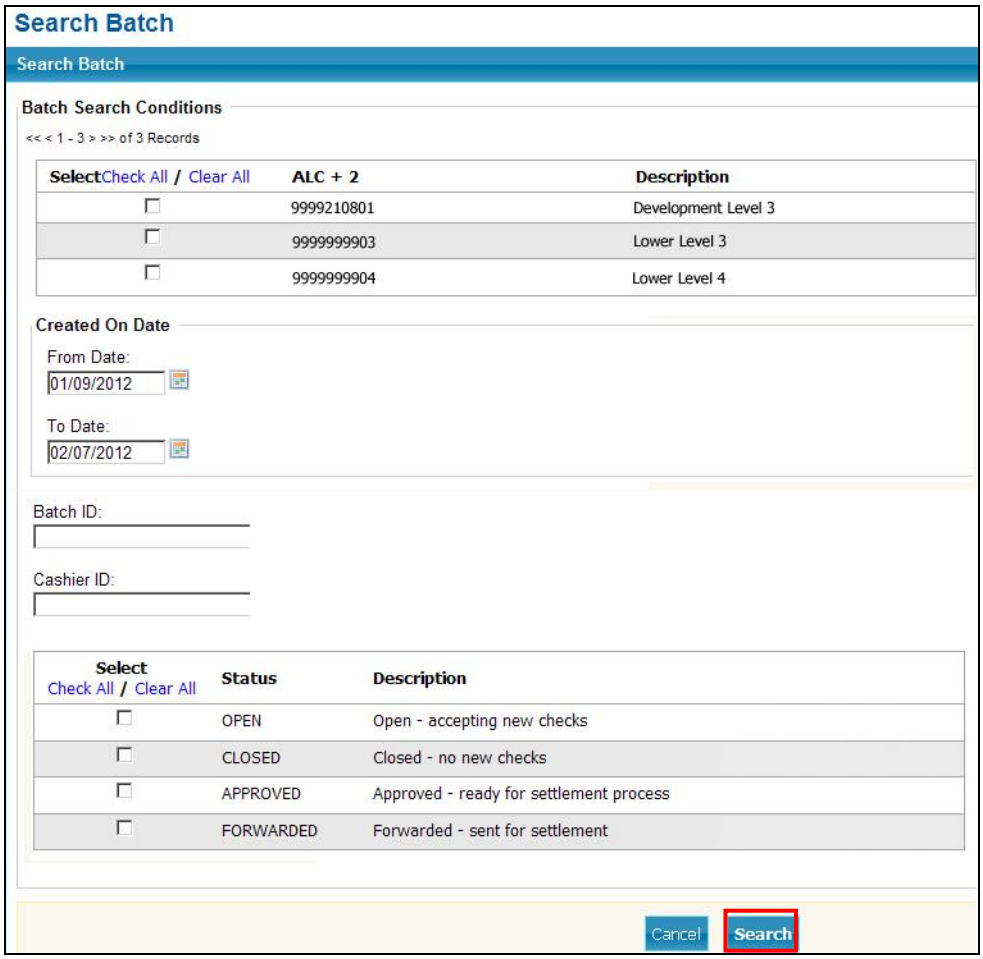
Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless other search criteria specified.

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

Figure 49. Search Batch Page (Activate/Deactivate)



3. The *View Batches* page appears. Check the checkbox (es) of the **Batch ID(s)** you want to activate or deactivate and click **Activate/Deactivate**.
   If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

   If a batch is activated or deactivated, a check appears under the **Active Flag** column. If a batch is deactivated, the **Active Flag** column is blank.

Figure 50. View Batches Page (Activate/Deactivate)

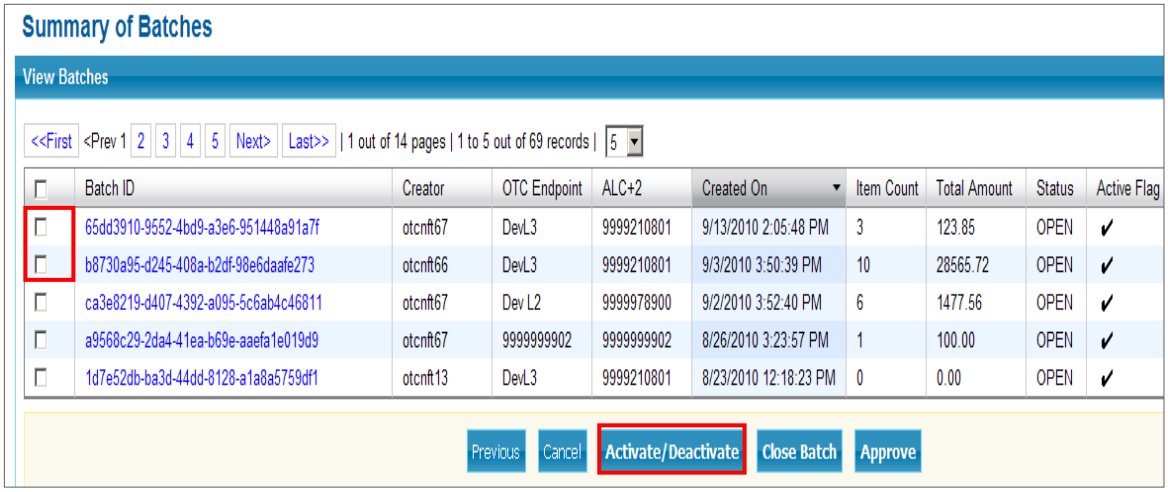
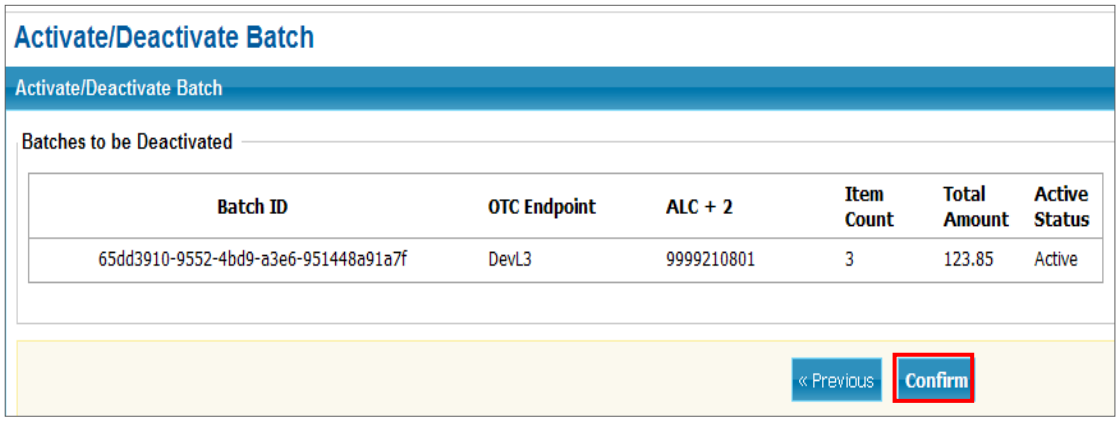
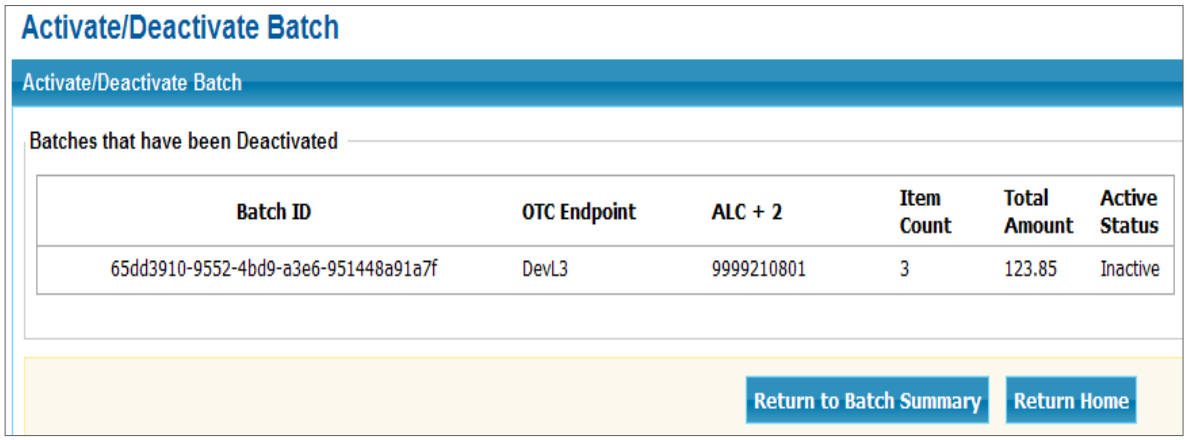


Figure 51. Activate/ Deactivate Batch Page



4. A message appears stating the batch(es) have been deactivated/activated and the value under **Active Status** updates to Active/Inactive.

Figure 52. Batch Activate/ Activate Confirmation



Activate/Deactivate a Batch

To activate/deactivate, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *Summary of Batches* page appears.

5. Check the checkbox of the **Batch ID** you want to activate or deactivate and click **Activate/Deactivate**. The *Activate/Deactivate Batch* page appears.

Application Tip

If a batch is activated or deactivated a check appears under the **Active Flag** column. If a batch is deactivated, the **Active Flag** column is blank.

6. Click **Confirm**. A message appears stating the batch(es) have been activated/deactivated and the value under **Active Status** updates to Active/Inactive.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Return to Batch Summary** to return to the batch summary page.
- Click **Return Home** to return to the OTCnet homepage.

Topic 10. Close a Batch

If you are assigned the role of **Check Capture Supervisor** or **Check Capture Lead Operator**, you are the only authorized users who can close a batch or multiple batches. You can only close batches for **OTC Endpoints** you have permission to access.

Before you can close a batch or multiple batches, you must first search for the batch. You can search for batches by **OTC Endpoint**, **Created On Date, Batch ID**, **Cashier ID**, and/or **Batch Status**.

There are four batch status types, see Table 4 for details below.

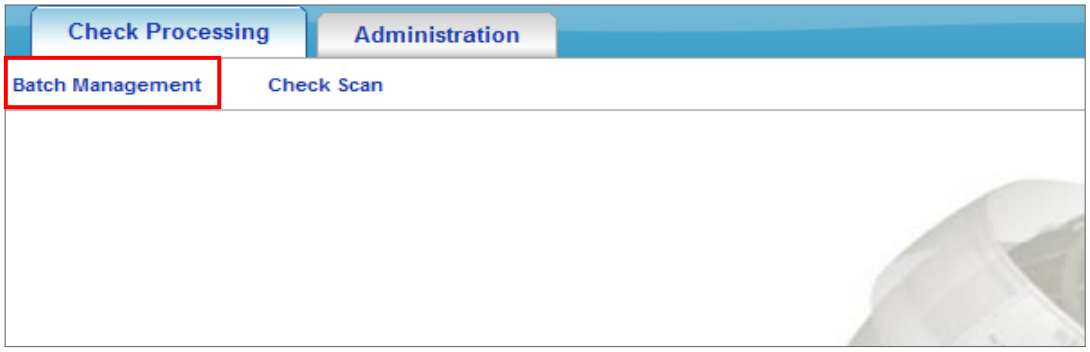
Table 4. Batch Status Types

Open	Indicates the batch is open and accepting new checks
Closed	Indicates the batch is closed and no new checks are accepted
Approved	Indicates the batch is ready for settlement
Forwarded	Indicates the batch has been sent to Debit Gateway to initiate the settlement process

Closing a Single Batch

1. Click the **Check Processing** tab and click **Batch Management**.

Figure 53. Check Processing > Batch Management (Closing Single Batch)



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search**.

Note:

1) If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

2) If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

3) If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

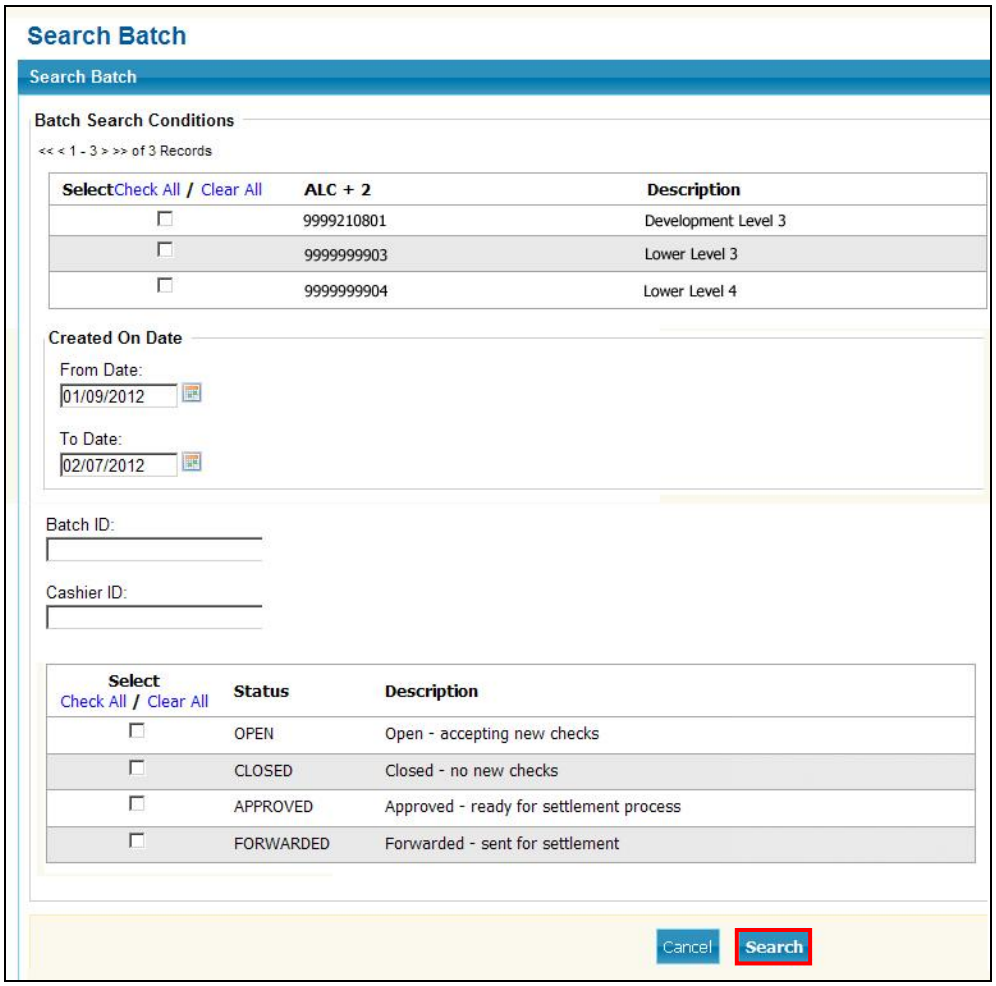
Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless other search criteria specified.

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

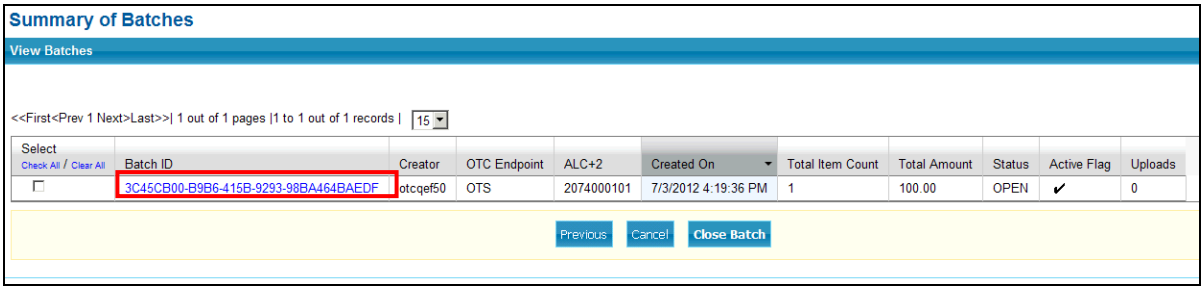
- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

Figure 54. Search Batch Page (Closing Single Batch)



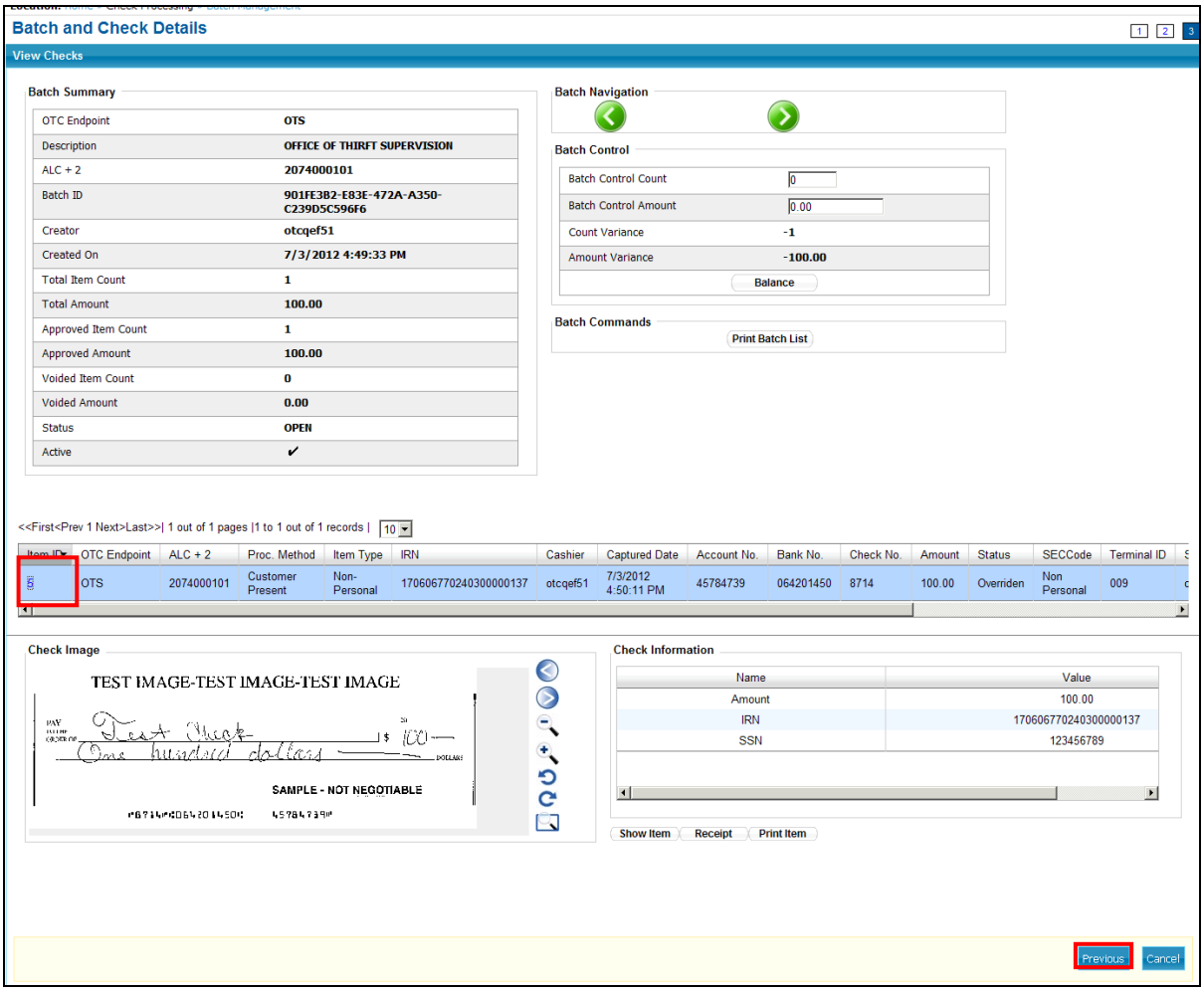
7. The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 55. View Batches Page (Closing Single Batch)



The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

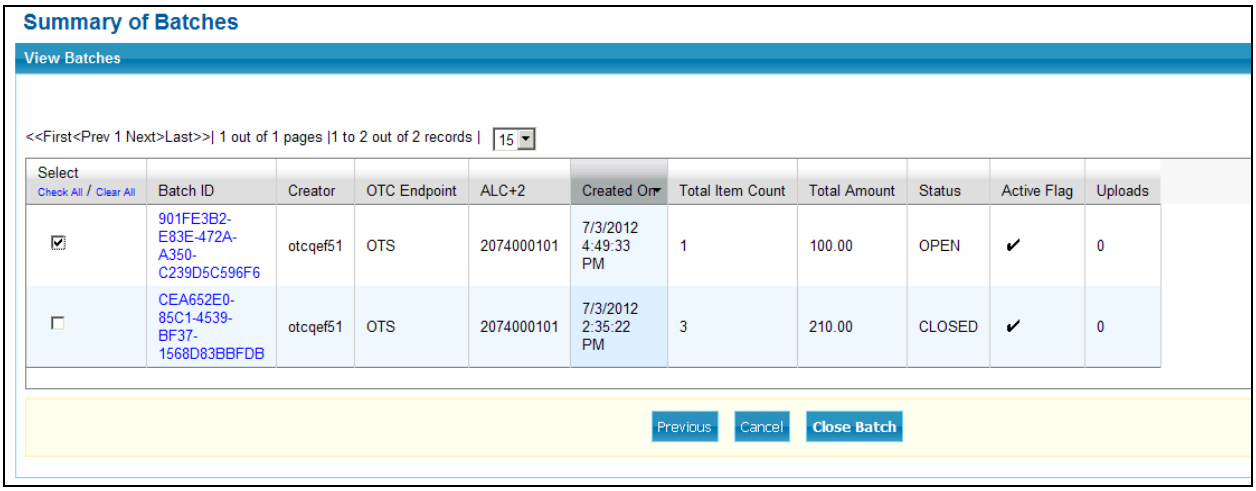
Figure 56. View Checks Page (Closing Single Batch)



8. Select the batch you want to close by checking the box to the left of the **Batch ID**.

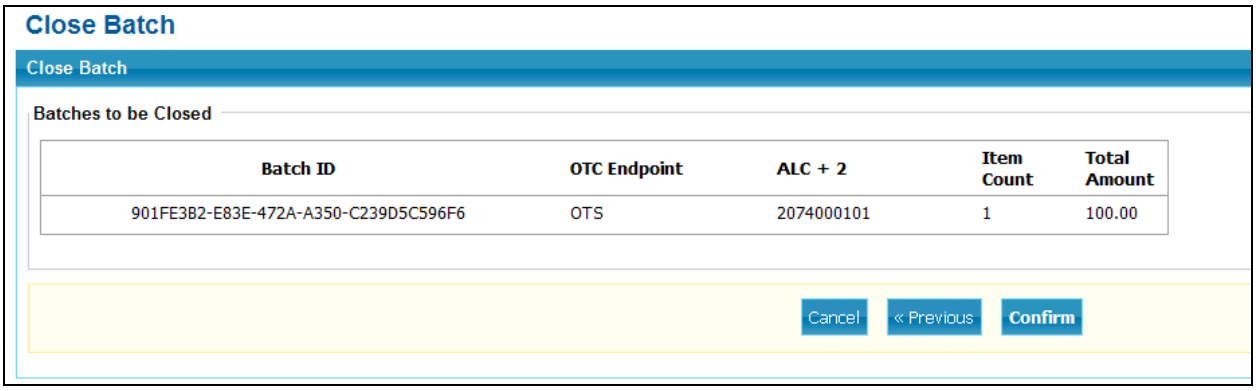
9. Click **Close Batch**. The *Close Batch* page appears.

Figure 57. Select to Close Batch



10. Verify that you want to close the batch and click **Confirm**. The *Batch Control* page appears with the batch details.

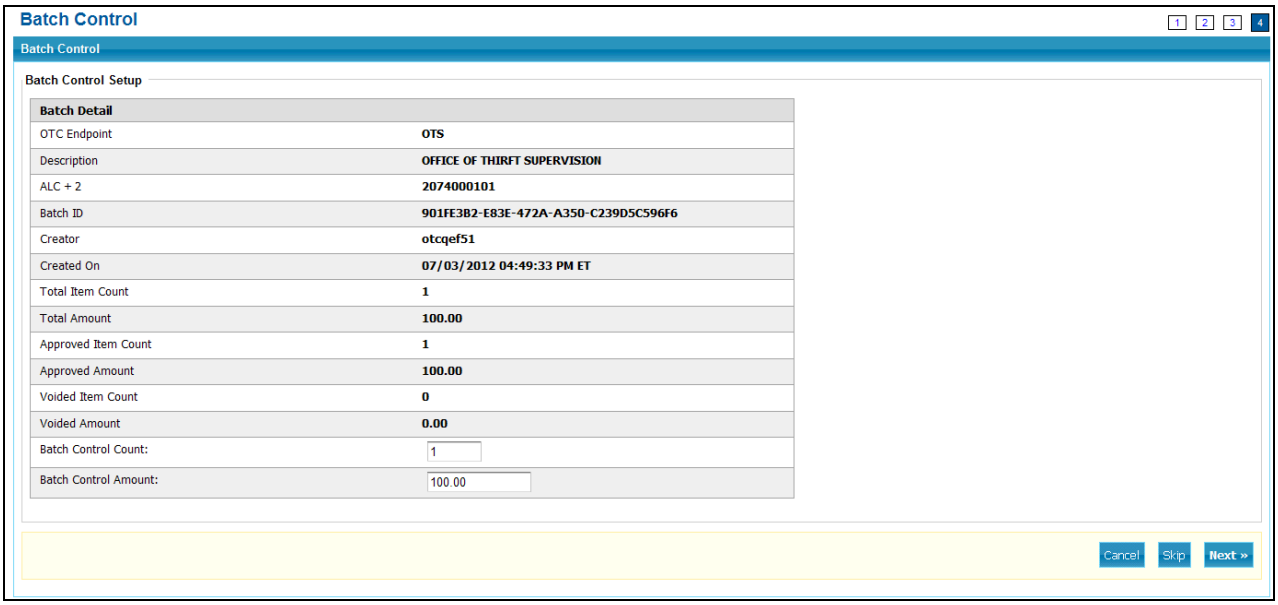
Figure 58. Confirm Close Batch



11. Enter the **Batch Control Count** and **Batch Control Amount**, if your terminal is configured for this action on batch close.

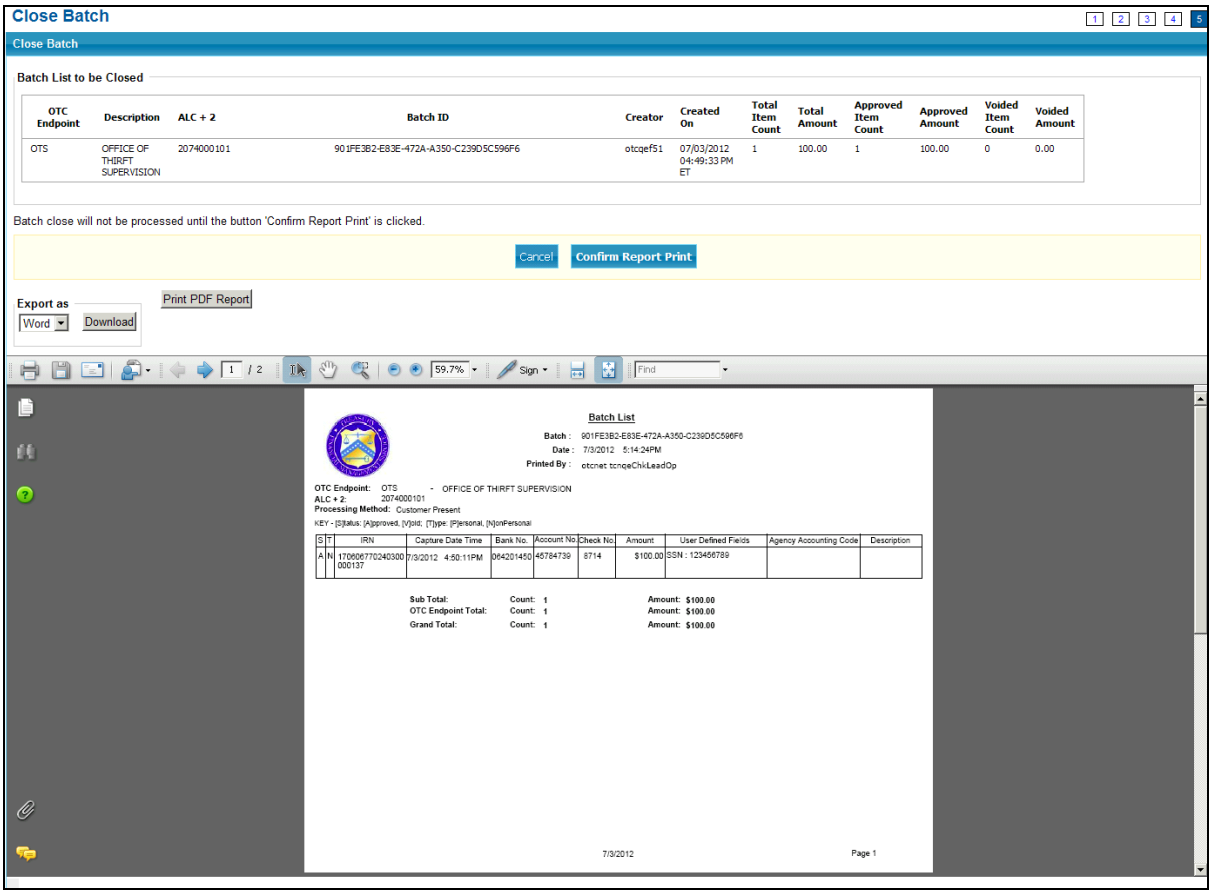
12. Click **Next**. The *Close Batch* page appears.

Figure 59. Batch Control



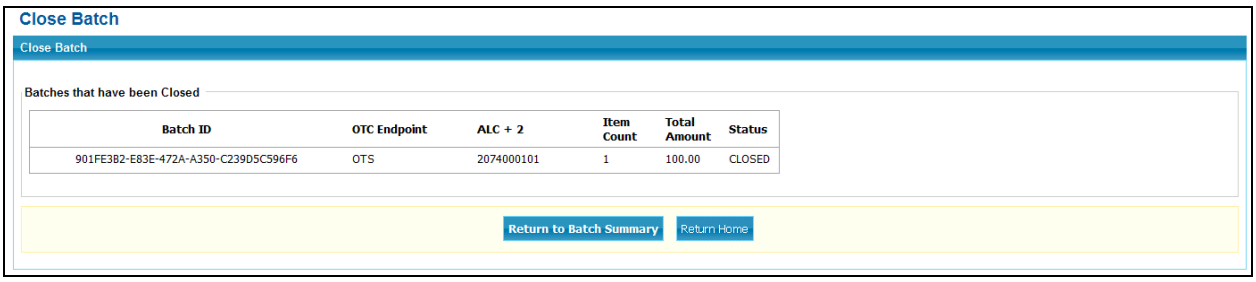
13. Click the **Print PDF Report** and click **Confirm Report Print** to close the batch.

Figure 60. Print PDF Report/Confirm Report Print



14. A *Close Batch* page appears verifying the batch has been closed.
15. Click **Return to Batch Summary**. The *View Batches* page appears

Figure 61. Close Batch Confirmation



Closing Multiple Batches

1. Click the **Check Processing** tab and click **Batch Management.**

2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search**.

   Note:

   If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

   If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

   If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

   Under **Batch Search Conditions**, *optional*

   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*

   - Enter the **Created On Date** by entering the **From** and **To** date range

   Note: The **Created On Date** range cannot exceed 30 days. If more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

   - Enter the **Batch ID,** *optional*

   Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless other search criteria specified.

   - Enter the **Cashier ID**

   Under **Batch Status**, *optional*

   - Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

3. The *View Batches* page appears. Click the **Batch ID** hyperlink for each batch you would like to review.

4. The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

Note *(if applicable only):* If you are using the balancing feature for your **OTC Endpoint** and it has been established as mandatory, you can balance your batch here. Perform adjustments as needed and click **Balance**.

Once you have balanced the batch, the Batch Control Information dialog box appears. You are offered two options after balancing the batch:

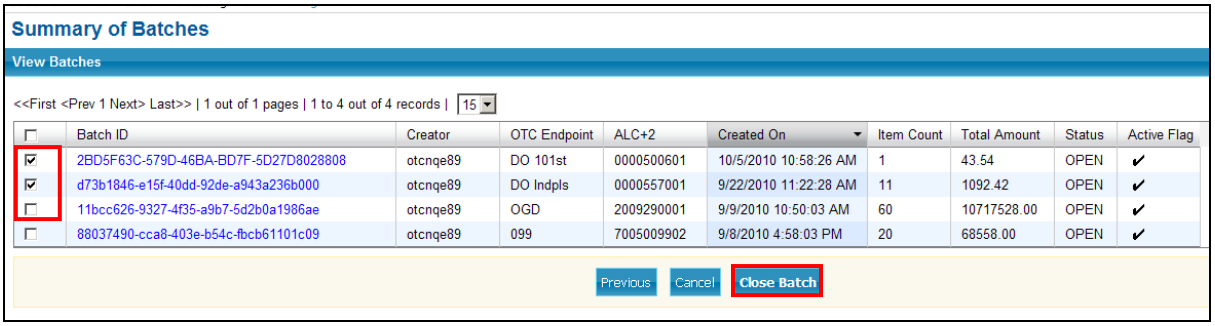
Option A. If you click **Close Batch** you are taken directly to the *Close Batch* Page).

Option B. If you click **OK** (you return to the *View Checks* page. From the *View Checks* page, click **Previous** to return to the **View Batches** page.

Note: You can also click **Print Batch List**, under **Batch Controls** from the *View Checks* page.

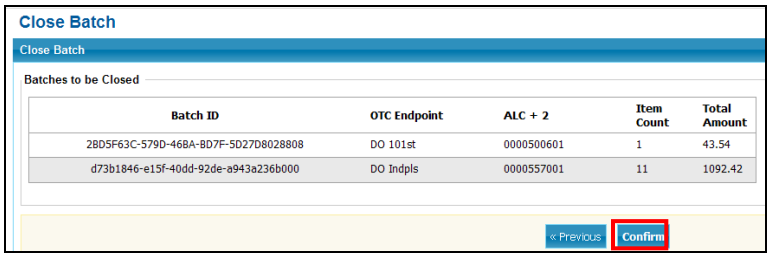
5. Click **Confirm** the *View Batches* page appears. Select the batches you want to close by checking the box to the left of the **Batch ID** for each batch and click **Close Batch.**

Figure 62. View Batches Page (Closing Multiple Batches)



6. The *Close Batch* page appears. Verify that you want to close the batch and click **Confirm**.

Figure 63. Close Batch Confirmation (Closing Multiple Batches)

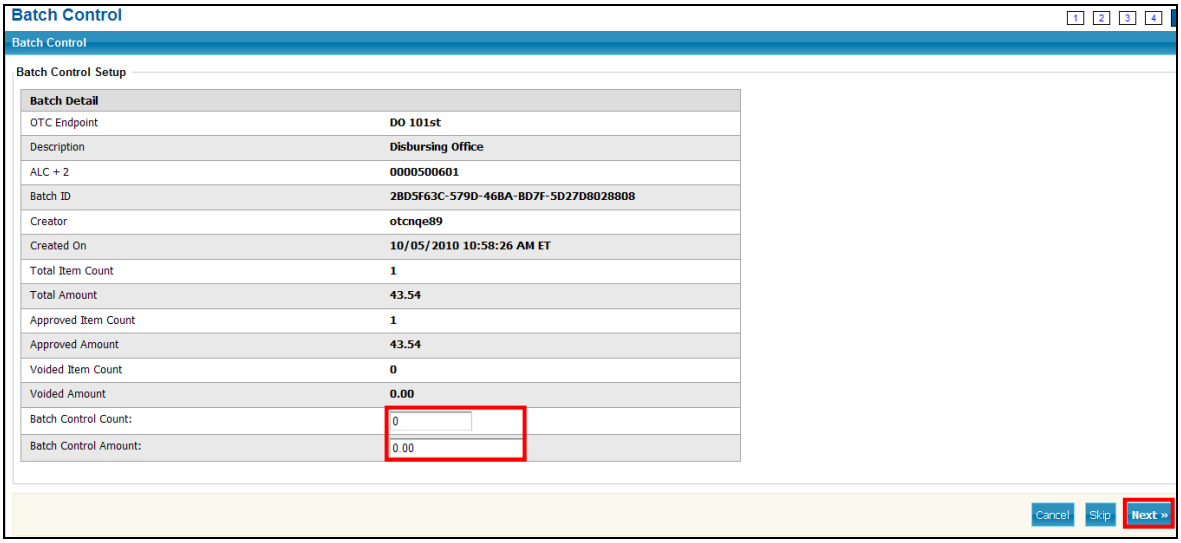


Note: If the Batch Control settings were established as mandatory or optional, the *Batch Control* page will appear for each batch, before closing a batch.

7. Click **Next** after balancing to proceed to closing the batches.

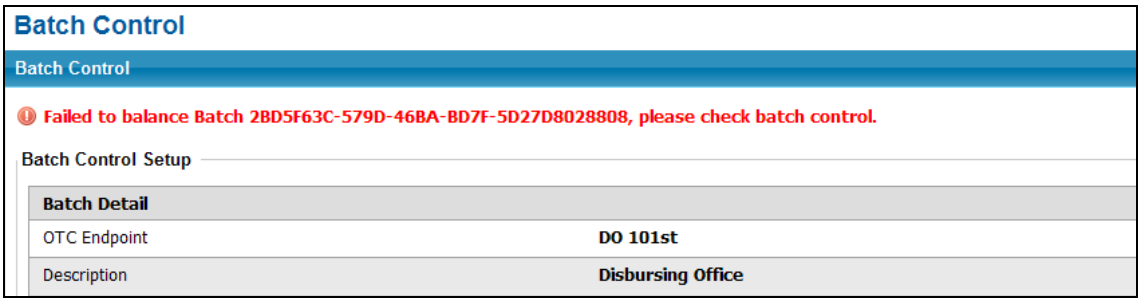
   Click **Skip t**o return to the *Close Batch* page, before returning to the *View Batches* page. If **Skip** is clicked the **Status** remains **Open** and the batch is not closed.

Figure 64. Batch Control Setup (Closing Multiple Batches)



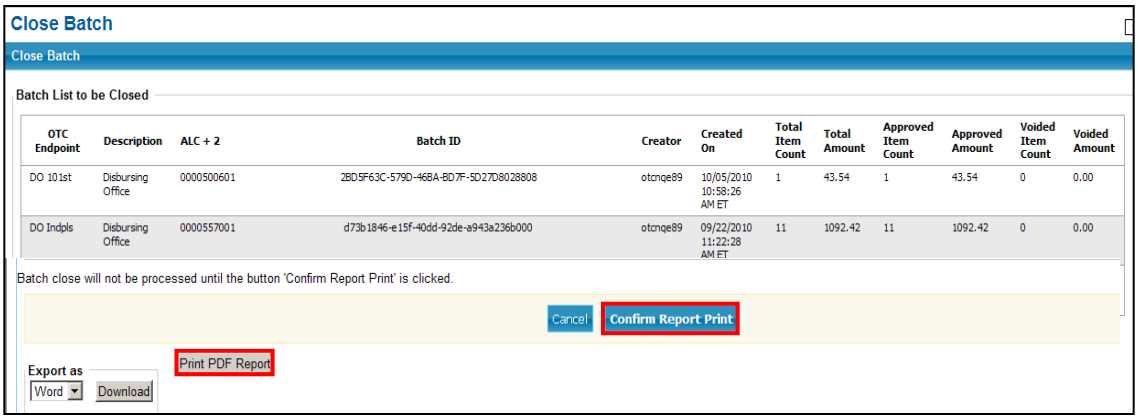
Note: If **Batch Control** is set to mandatory on batch close and you click **Next** from the *Batch Control* page before balancing, the message below appears. The same is true for closing single batches.

Figure 65. Failed to Balance Batch



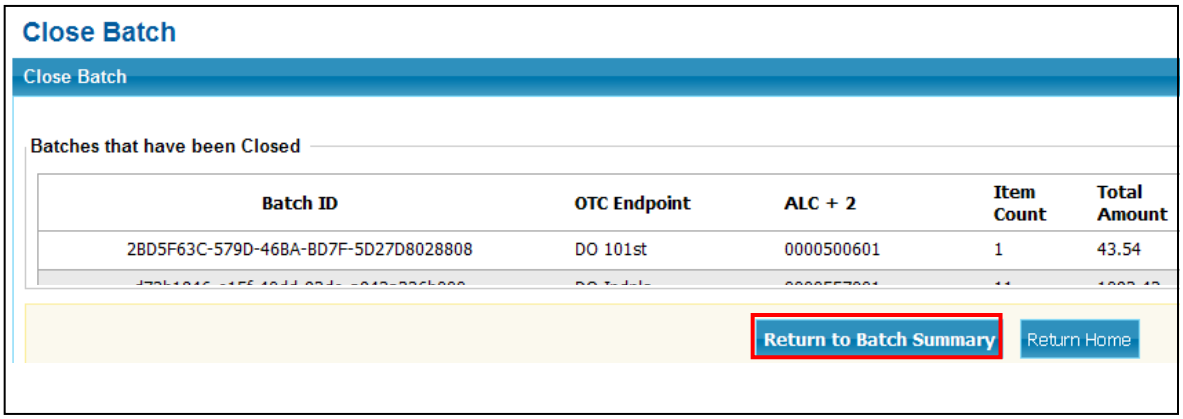
8. The *Close Batch* page appears with the batch details. Click **Print PDF Report** and click **Confirm Report Print** to close the batch. A batch close is not processed until the **Confirm Report Print** is clicked.

Figure 66. Confirm Report Print (Closing Multiple)



9. A *Close Batch* page appears verifying the batch has been closed. Click **Return to the Batch Summary** page.

Figure 67. Close Batch Confirmation (Closing Multiple)



Close Multiple Batches

To close multiple batches, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.
7. Click **Previous** to return to the *View Batches* page.

Application Tip

Repeat steps 5–7 as needed.

8. Select the batches you want to close by checking the boxes to the left of the **Batch IDs**.
9. Click **Close Batch**. The *Close Batch* appears.
10. Verify that you want to close the batches and click **Confirm**. The *Batch Control* page appears.
11. Enter the **Batch Control Count** and **Batch Control Amount**, if applicable.
12. Click **Next**. The *Close Batch* page appears.
13. Click the **Print** icon and click **Confirm Report Print**.

Application Tip

A batch close is not processed until the **Confirm Report Print** is clicked.

Application Tip

One report generates for all the batches that selected and closed.

14. A *Close Batch* page appears verifying the batch(es) has been closed.
15. Click **Return to Batch Summary**. The *View Batches* page appears.
16. Click **Cancel** to return to the OTCnet Homepage.

Application Tip

After a batch is closed the Status changes from **OPEN** to **CLOSED**. If **Skip** is clicked the **Status** remains **Open** and the batch is not closed.

Topic 11. Approve a Batch

As a **Check Capture Supervisor**, you are the only authorized user who can approve a batch or multiple batches. You can only approve batches for **OTC Endpoints** that you have permission to access. Approving a batch (es) indicates that the batch and check details are correct and that the batch (es) is/are ready for settlement.

Before you can approve a batch or multiple batches, you must first search for the batch. You can search for batches by **OTC Endpoint**, **Created On Date**, **Batch ID**, **Cashier ID**, and/or **Batch Status**.

Additionally, a batch is only eligible for approval when the batch is has a **Closed** status. After a batch is **Approved** and sent to **Debit Gateway** to initiate the settlement process, the status becomes **Forwarded**. For a description of each of the four batch status types, refer to Table 4 in the previous section of this Chapter.

Transactions processed before 9:30 p.m. EST are reflected on the next day's deposit SF215. Batches should be approved and forwarded for settlement on the same business day on which the activity occurred in order to reflect on the SF215.

We recommend reviewing **Batch Management** to check the status of created batches. If batch statuses within **Batch Management** show them to be successfully forwarded, then the funds are included on the next day's SF215 report.

Approving a Single Batch

1. Click the **Check Processing** tab and click **Batch Management**.

Figure 68. Check Processing>Batch Management (Approving Single)

2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search**.

Note:

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

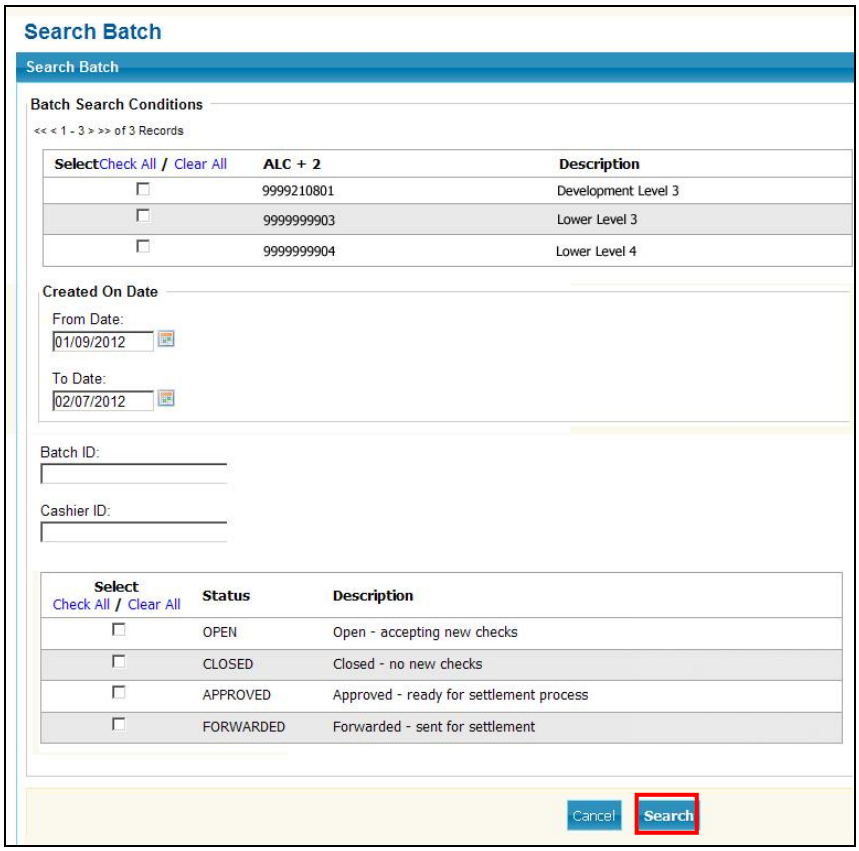
Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless other search criteria specified.

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

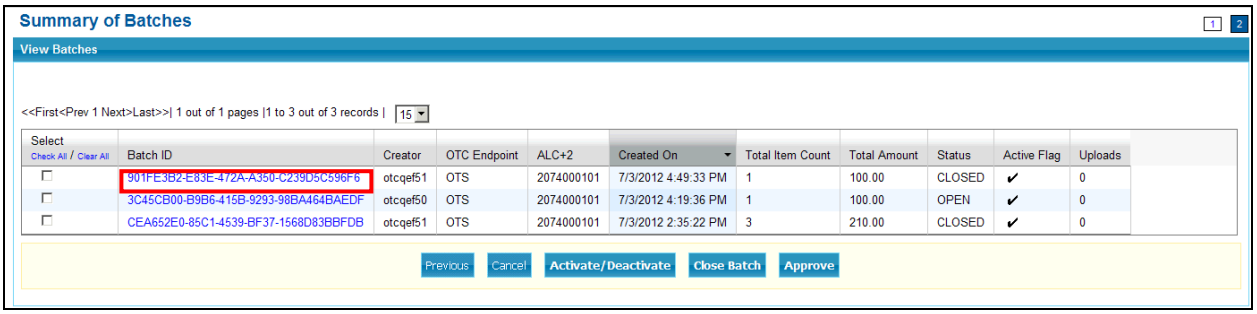
- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

Figure 69. Search Batch Page (Approve Single)



3. The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 70. View Batches Page (Approve Single)

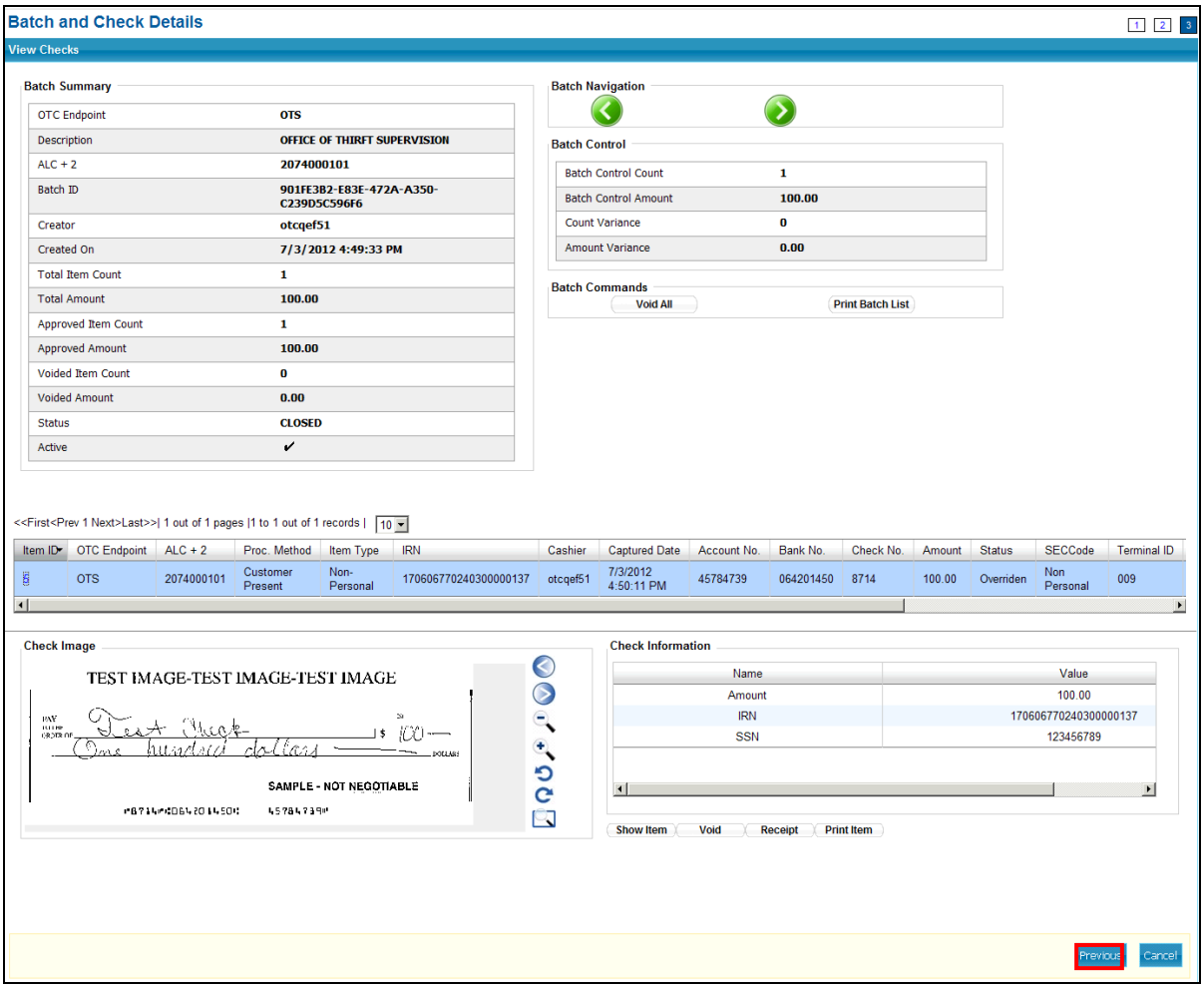


Note: If a Check Capture Supervisor (CCS) closes a batch, it is automatically moved into Approved status. If a batch is closed by a Check Capture Operator (CCO) or a Check Capture Lead Operator (CCLO) without approver permission; however, an approve button is available.

4. The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

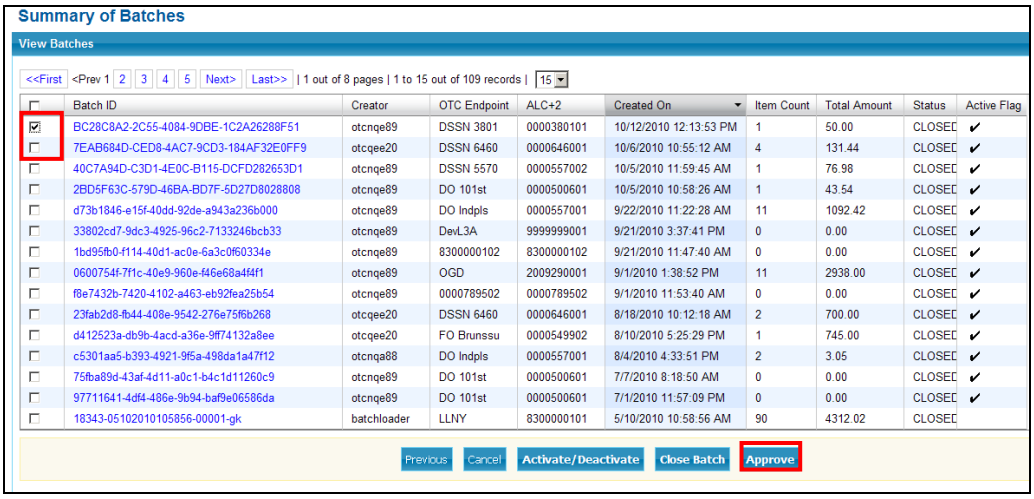
   If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 71. View Checks Page (Approve Single)



5. Select the batch you want to approve by checking the box to the left of the **Batch ID** and click **Approve**.

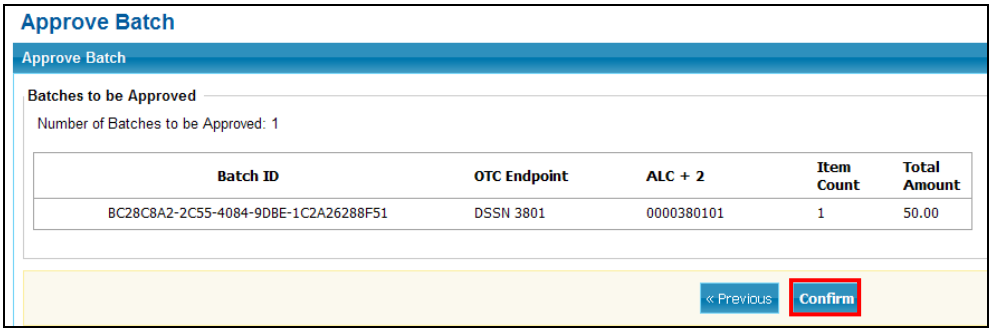
Figure 72. View Batches (Approve Single)



Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count	Total Amount	Status	Active Flag
BC28C8A2-2C55-4084-9DBE-1C2A26288F51	otcnqe89	DSSN 3801	0000380101	10/12/2010 12:13:53 PM	1	50.00	CLOSED	✔
7EAB684D-CED8-4AC7-9CD3-184AF32E0FF9	otcqee20	DSSN 6460	0000646001	10/6/2010 10:55:12 AM	4	131.44	CLOSED	✔
40C7A94D-C3D1-4E0C-B115-DCFD282653D1	otcnqe89	DSSN 5570	0000557002	10/5/2010 11:59:45 AM	1	76.98	CLOSED	✔
2BD5F63C-579D-46BA-BD7F-5D27D8028808	otcnqe89	DO 101st	0000500601	10/5/2010 10:58:26 AM	1	43.54	CLOSED	✔
d73b1846-e15f-40dd-92de-a943a236b000	otcnqe89	DO Indpls	0000557001	9/22/2010 11:22:28 AM	11	1092.42	CLOSED	✔
33802cd7-9dc3-4925-96c2-7133246bcb33	otcnqe89	DevL3A	9999999001	9/21/2010 3:37:41 PM	0	0.00	CLOSED	✔
1bd95fb0-f114-40d1-ac0e-6a3c0f60334e	otcnqe89	8300000102	8300000102	9/21/2010 11:47:40 AM	0	0.00	CLOSED	✔
0600754f-7f1c-40e9-960e-f46e68a4f4f1	otcnqe89	OGD	2009290001	9/1/2010 1:38:52 PM	11	2938.00	CLOSED	✔
f8e7432b-7420-4102-a463-eb92fea25b54	otcnqe89	0000789502	0000789502	9/1/2010 11:53:40 AM	0	0.00	CLOSED	✔
23fab2d8-fb44-408e-9542-276e75f6b268	otcqee20	DSSN 6460	0000646001	8/18/2010 10:12:18 AM	2	700.00	CLOSED	✔
d412523a-db9b-4acd-a36e-9ff74132a8ee	otcqee20	FO Brunssu	0000549902	8/10/2010 5:25:29 PM	1	745.00	CLOSED	✔
c5301aa5-b393-4921-9f5a-498da1a47f12	otcnqa88	DO Indpls	0000557001	8/4/2010 4:33:51 PM	2	3.05	CLOSED	✔
75fba89d-43af-4d11-a0c1-b4c1d11260c9	otcnqe89	DO 101st	0000500601	7/7/2010 8:18:50 AM	0	0.00	CLOSED	✔
97711641-4df4-486e-9b94-baf9e06586da	otcnqe89	DO 101st	0000500601	7/1/2010 11:57:09 PM	0	0.00	CLOSED	✔
18343-05102010105856-00001-gk	batchloader	LLNY	8300000101	5/10/2010 10:58:56 AM	90	4312.02	CLOSED	

6. The *Approve Batch* page appears. Verify that you want to approve the batch and click **Confirm.**

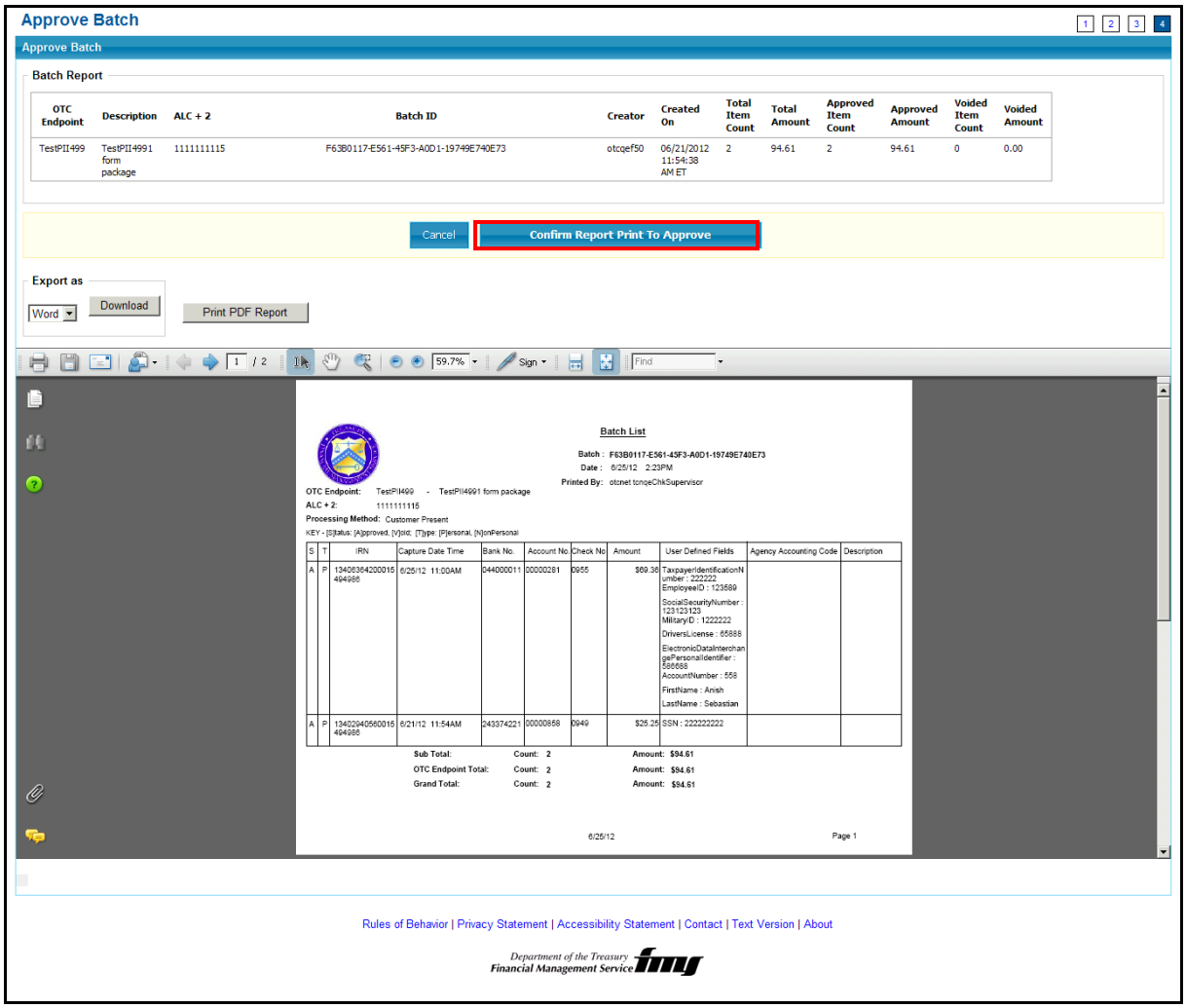
Figure 73. Confirm Batches to Approve (Approve Single)



Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
BC28C8A2-2C55-4084-9DBE-1C2A26288F51	DSSN 3801	0000380101	1	50.00

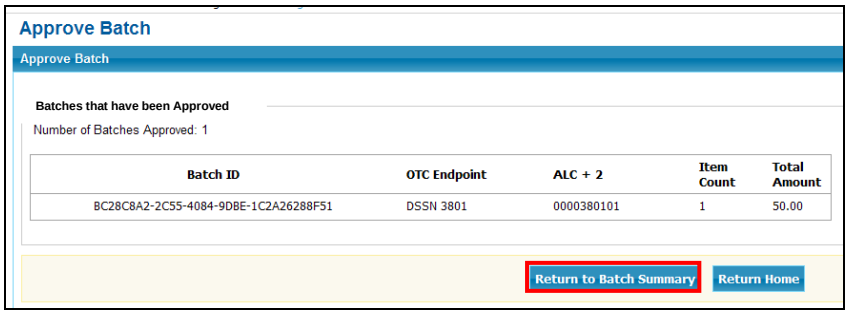
7. The *Approve Batch* page appears with the batch details. Click the **Print PDF Report** and click **Confirm Report Print to Approve**. A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

Figure 74. Confirm Report Print To Approve (Approve Single)



8. An *Approve Batch* page appears verifying the batch has been approved. Click **Return to Batch Summary** to return to *View Batches* page. After a batch is approved the Status changes from **Closed** to **Approved**.

Figure 75. Approve Batch Page (Approve Single)



Approving Multiple Batches

1. Click the **Check Processing** tab and click **Batch Management**.

2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search.**

Note:

1) If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

2) If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

3) If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless other search criteria specified.

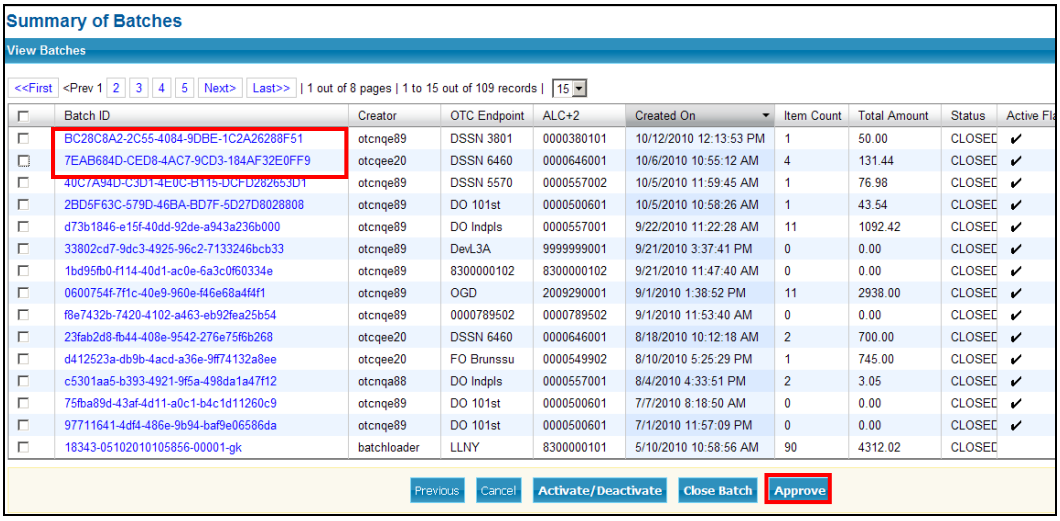
- Enter the **Cashier ID**

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

3. The *View Batches* page appears. Click the **Batch ID** hyperlinks for each batch you want to Approve. If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 76. View Batches Page (Approve Multiple)



Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count	Total Amount	Status	Active Fl
BC28C8A2-2C55-4084-9DBE-1C2A26288F51	otcnqe89	DSSN 3801	0000380101	10/12/2010 12:13:53 PM	1	50.00	CLOSED	✔
7EAB684D-CED8-4AC7-9CD3-184AF32E0FF9	otcqee20	DSSN 6460	0000646001	10/6/2010 10:55:12 AM	4	131.44	CLOSED	✔
40C7A94D-C3D1-4E0C-B115-DCFD282653D1	otcnqe89	DSSN 5570	0000557002	10/5/2010 11:59:45 AM	1	76.98	CLOSED	✔
2BD5F63C-579D-46BA-BD7F-5D27D8028808	otcnqe89	DO 101st	0000500601	10/5/2010 10:58:26 AM	1	43.54	CLOSED	✔
d73b1846-e15f-40dd-92de-a943a236b000	otcnqe89	DO Indpls	0000557001	9/22/2010 11:22:28 AM	11	1092.42	CLOSED	✔
33802cd7-9dc3-4925-96c2-7133246bcb33	otcnqe89	DevL3A	9999999001	9/21/2010 3:37:41 PM	0	0.00	CLOSED	✔
1bd95fb0-f114-40d1-ac0e-6a3c0f60334e	otcnqe89	8300000102	8300000102	9/21/2010 11:47:40 AM	0	0.00	CLOSED	✔
0600754f-7f1c-40e9-960e-f46e68a4f4f1	otcnqe89	OGD	2009290001	9/1/2010 1:38:52 PM	11	2938.00	CLOSED	✔
f8e7432b-7420-4102-a463-eb92fea25b54	otcnqe89	0000789502	0000789502	9/1/2010 11:53:40 AM	0	0.00	CLOSED	✔
23fab2d8-fb44-408e-9542-276e75f6b268	otcqee20	DSSN 6460	0000646001	8/18/2010 10:12:18 AM	2	700.00	CLOSED	✔
d412523a-db9b-4acd-a36e-9ff74132a8ee	otcqee20	FO Brunssu	0000549902	8/10/2010 5:25:29 PM	1	745.00	CLOSED	✔
c5301aa5-b393-4921-9f5a-498da1a47f12	otcnqa88	DO Indpls	0000557001	8/4/2010 4:33:51 PM	2	3.05	CLOSED	✔
75fba89d-43af-4d11-a0c1-b4c1d11260c9	otcnqe89	DO 101st	0000500601	7/7/2010 8:18:50 AM	0	0.00	CLOSED	✔
97711641-4df4-486e-9b94-baf9e06586da	otcnqe89	DO 101st	0000500601	7/1/2010 11:57:09 PM	0	0.00	CLOSED	✔
18343-05102010105856-00001-gk	batchloader	LLNY	8300000101	5/10/2010 10:58:56 AM	90	4312.02	CLOSED	

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Activate/Deactivate** to activate or deactivate a batch.
- Click **Close Batches** to close a batch.
- Click **<<First** to go to the first page. (Only appears if there are several pages retrieved for the search results.)
- Click **Next>** to go to the next page. (Only appears if there are several pages retrieved for the search results.)
- Click **Last>>** to return to the last page. (Only appears if there are several pages retrieved for the search results.)
- Click **<<Image** to return to the previous check.

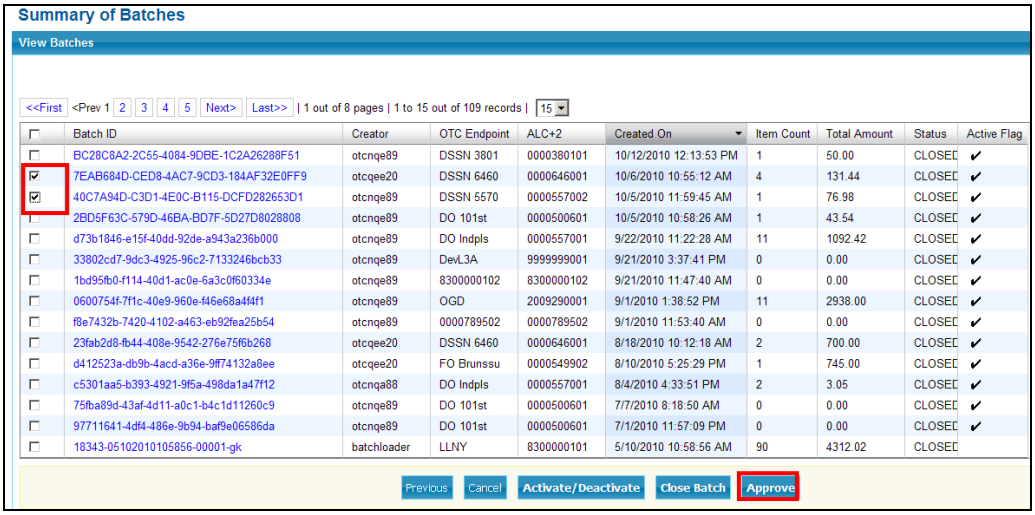
- Click **>>Image** to view the next check.
- Click **Zoom-** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left** to turn the image to the left.
- Click **Rotate Right** to turn the image to the right.
- Click **Show Item** to view and update the check item details.
- Click **Receipt** to print a receipt.
- Click **Print Item** to print an Item Detail report.

4. The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

   Repeat this step for each batch you intend to approve.

5. Select the batches you want to approve by checking the box to the left of the **Batch ID** and click **Approve.**

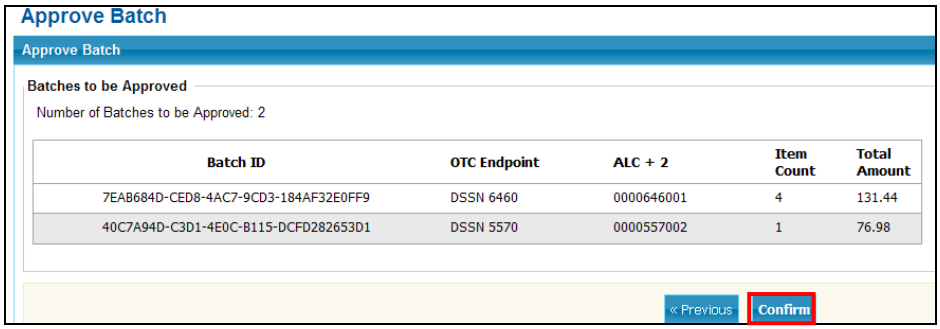
Figure 77. View Batches (Approve Multiple)



Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count	Total Amount	Status	Active Flag
BC28C8A2-2C55-4084-9DBE-1C2A26288F51	otcnqe89	DSSN 3801	0000380101	10/12/2010 12:13:53 PM	1	50.00	CLOSED	✔
7EAB684D-CED8-4AC7-9CD3-184AF32E0FF9	otcqee20	DSSN 6460	0000646001	10/6/2010 10:55:12 AM	4	131.44	CLOSED	✔
40C7A94D-C3D1-4E0C-B115-DCFD282653D1	otcnqe89	DSSN 5570	0000557002	10/5/2010 11:59:45 AM	1	76.98	CLOSED	✔
2BD5F63C-579D-46BA-BD7F-5D27D8028808	otcnqe89	DO 101st	0000500601	10/5/2010 10:58:26 AM	1	43.54	CLOSED	✔
d73b1846-e15f-40dd-92de-a943a236b000	otcnqe89	DO Indpls	0000557001	9/22/2010 11:22:28 AM	11	1092.42	CLOSED	✔
33802cd7-9dc3-4925-96c2-7133246bcb33	otcnqe89	DevL3A	9999999001	9/21/2010 3:37:41 PM	0	0.00	CLOSED	✔
1bd95fb0-f114-40d1-ac0e-6a3c0f60334e	otcnqe89	8300000102	8300000102	9/21/2010 11:47:40 AM	0	0.00	CLOSED	✔
0600754f-7f1c-40e9-960e-f46e68a4f4f1	otcnqe89	OGD	2009290001	9/1/2010 1:38:52 PM	11	2938.00	CLOSED	✔
f8e7432b-7420-4102-a463-eb92fea25b54	otcnqe89	0000789502	0000789502	9/1/2010 11:53:40 AM	0	0.00	CLOSED	✔
23fab2d8-fb44-408e-9542-276e75f6b268	otcqee20	DSSN 6460	0000646001	8/18/2010 10:12:18 AM	2	700.00	CLOSED	✔
d412523a-db9b-4acd-a36e-9ff74132a8ee	otcqee20	FO Brunssu	0000549902	8/10/2010 5:25:29 PM	1	745.00	CLOSED	✔
c5301aa5-b393-4921-9f5a-498da1a47f12	otcnqa88	DO Indpls	0000557001	8/4/2010 4:33:51 PM	2	3.05	CLOSED	✔
75fba89d-43af-4d11-a0c1-b4c1d11260c9	otcnqe89	DO 101st	0000500601	7/7/2010 8:18:50 AM	0	0.00	CLOSED	✔
97711641-4df4-486e-9b94-baf9e06586da	otcnqe89	DO 101st	0000500601	7/1/2010 11:57:09 PM	0	0.00	CLOSED	✔
18343-05102010105856-00001-gk	batchloader	LLNY	8300000101	5/10/2010 10:58:56 AM	90	4312.02	CLOSED	

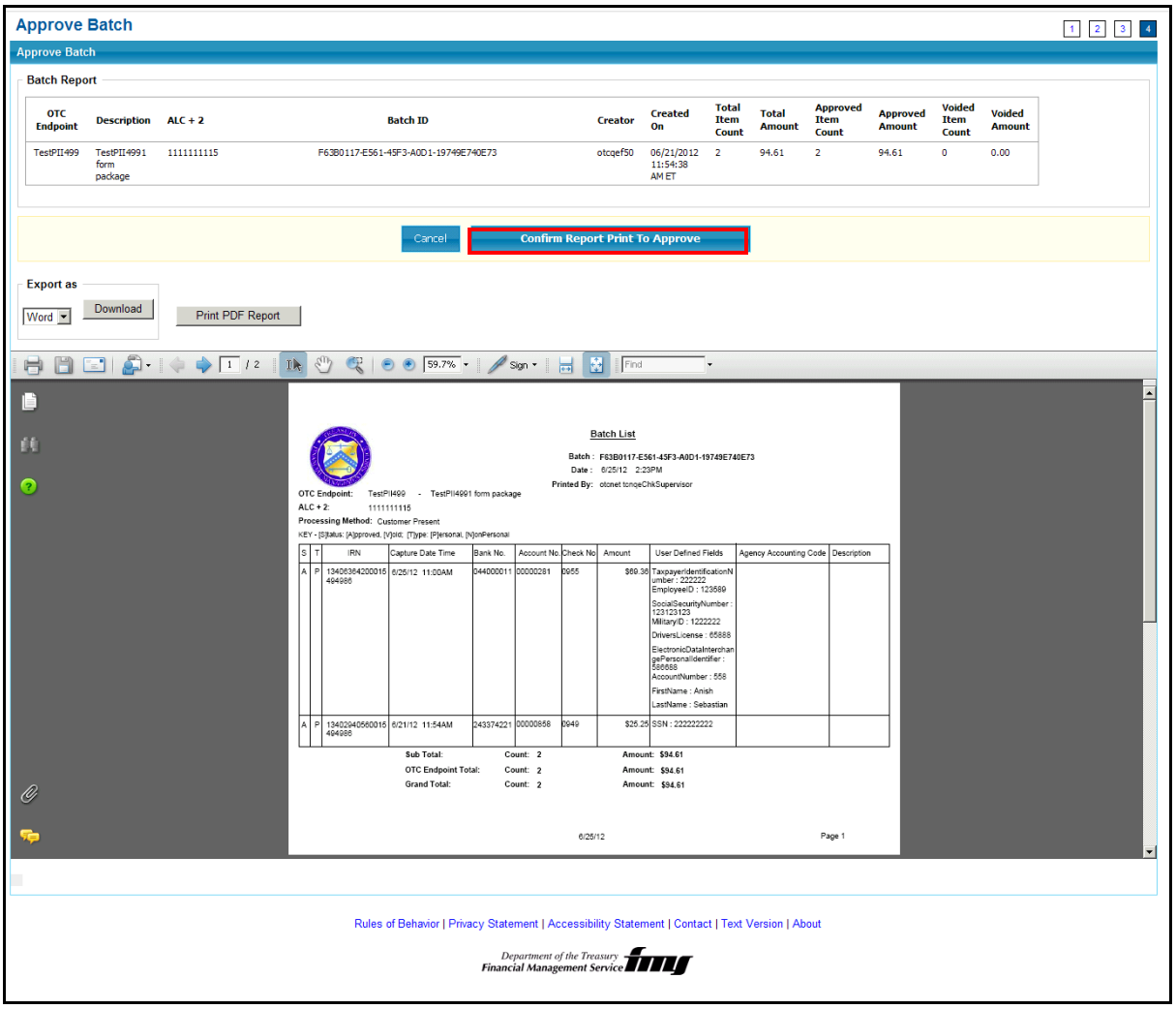
6. The *Approve Batch* page appears. Verify that you want to approve the batches and click **Confirm**.

Figure 78. Confirm Batches (Approve Multiple)



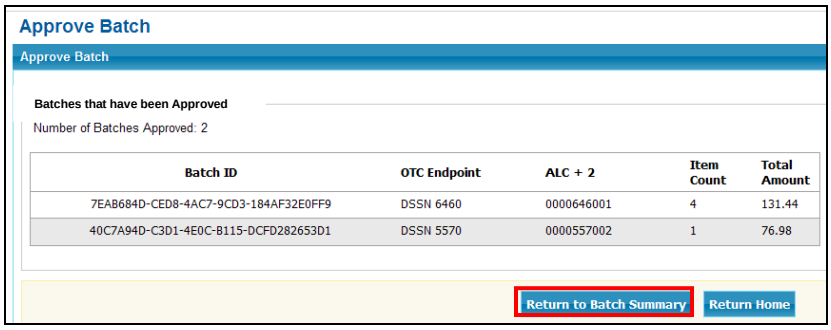
7. The *Approve Batch* page appears with the batches details. Click the **Print PDF Report** and click **Confirm Report Print to Approve**. A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

Figure 79. Confirm Report to Approve (Approve Multiple)



8. An *Approve Batch* page appears verifying the batches has been approved. Click **Return to Batch Summary**. After a batch is approved, the Status changes from **Closed** to **Approved**.

Figure 80. Approve Batch Confirmation (Approve Multiple)



Approve Single or Multiple Batch(es)

To approve a single batch, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.

5. Click the **Batch ID** hyperlink. The *View Checks* page appears.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Activate/Deactivate** to activate or deactivate a batch.
- Click **Close Batches** to close a batch.
- Click **<<First** to go to the first page. (Only appears if there are several pages retrieved for the search results.)
- Click **Next>** to go to the next page. (Only appears if there are several pages retrieved for the search results.)
- Click **Last>>** to return to the last page. (Only appears if there are several pages retrieved for the search results.)
- Click **<<Image** to return to the previous check.
- Click **>>Image** to view the next check.
- Click **Zoom-** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left** to turn the image to the left.
- Click **Rotate Right** to turn the image to the right.
- Click **Show Item** to view and update the check item details.
- Click **Void** to void a single check item.
- Click **Receipt** to print a receipt.
- Click **Print Item** to print a batch list report.

6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

7. Verify the details are correct and click **Previous** to return to the *View Batches* page.

8. Select the batch you want to approve by checking the box to the left of the **Batch ID**.

9. Click **Approve**. The *Approve Batch* page appears.

10. Verify that you want to approve the batch and click **Confirm**. The *Approve Batch* page appears with the batch details.

11. Click the **Print** icon and click **Confirm Report Print to Approve**.

> **Application Tip**
>
> A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

12. An *Approve Batch* page appears verifying the batch has been approved.

13. Click **Return to Batch Summary**.

> **Application Tip**
>
> After a batch is approved the Status changes from **Closed** to **Approved**.

To approve multiple batches, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

> **Application Tip**
>
> The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Void All** to void all items in the batch.
- Click **Print Batch List** to print the batch list.
- Click **<** to go to the first batch.
- Click **>** to go to the next batch.
- Click **<<First** to go to the first page.
- Click **Next>** to go to the next page.
- Click **Last>>** to return to the last page.
- Click **<<Image** to return to the previous check.
- Click **>>Image** to view the next check.
- Click **Zoom-** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left** to turn the image to the left.
- Click **Rotate Right** to turn the image to the right.
- Click **Show Item** to view the check item details.
- Click **Void** to void a single check item.
- Click **Receipt** to print a receipt.
- Click **Print Item** to print a batch list report.

7. Click **Previous** to return to the *View Batches* page.

8. Select the batches you want to approve by checking the box to the left of the **Batch ID**.

9. Click **Approve**. The *Approve Batch* page appears.

10. Verify that you want to approve the batches and click **Confirm**. The *Approve Batch* page appears with the batches details.

11. Click the **Print** icon and click **Confirm Report Print to Approve**.

Application Tip

A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

12. An *Approve Batch* page appears verifying the batches have been approved.

13. Click **Return to Batch Summary**.

Application Tip

After a batch is approved the Status changes from **Closed** to **Approved**.

Topic 12. Print a Receipt

Receipts are available for printing if the **Check Capture Administrator** configures the terminal beforehand in OTCnet. If your Agency requires a specific receipt layout, contact your Deployment Specialist at fms.otcdeployment@citi.com or 703-377-5586. All receipts are printed in PDF format, as well as saved or attached to a new email message.

After the terminal is configured, **Check Capture Operators**, **Check Capture Lead Operators,** and **Check Capture Supervisors** can print a receipt in single mode or batch mode through the **Check Scan** and **Batch Management** functionality, as well as via the **Show Item** to print a receipt. Receipts are available for printing in OTCnet after the operators enter and save the pertinent details and can be either handed to or mailed to the customer.

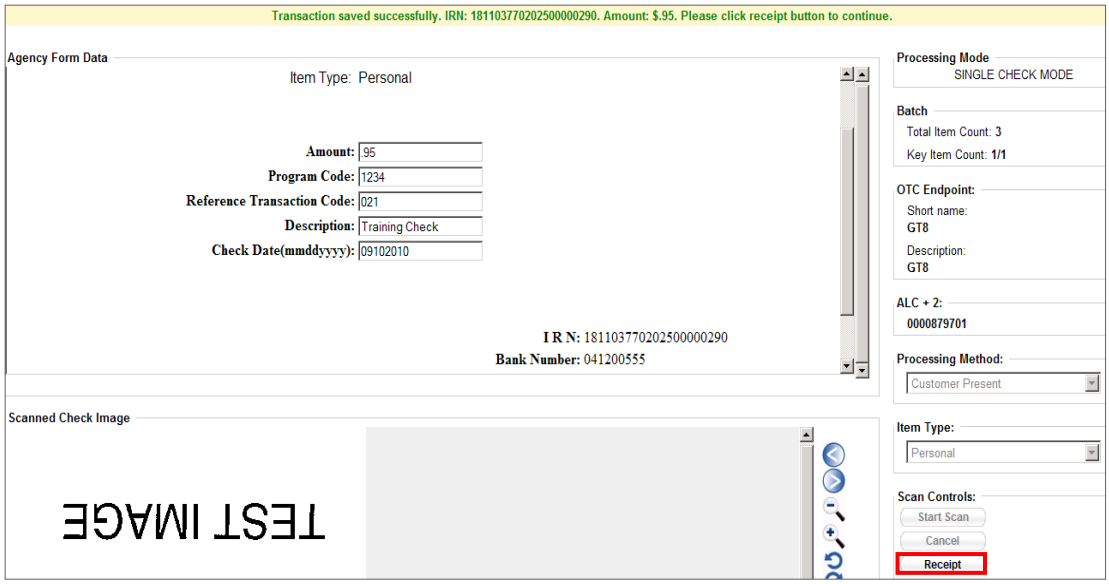
Receipt Printing from Check Scan (Singe/Batch Mode)

1. Scan the check, input, and save the pertinent details.

2. Under **Scan Controls**, click **Receipt**. A *Printing…Please wait* message appears and the receipt prints to the default printer.

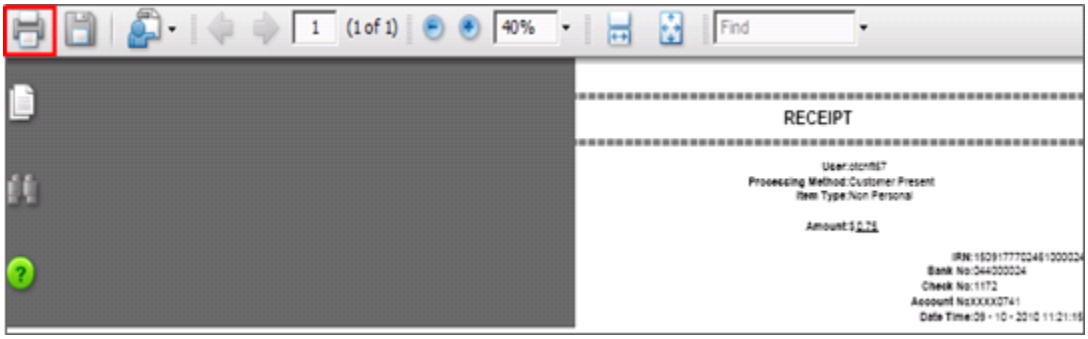
   Note: You have *eight* seconds to click the **Receipt** button. If the **Receipt** button is not clicked within the allotted time, the button grays out. If a receipt is still needed, access the **Batch Management** function.

Figure 81. Receipt Print Image (Scan Check)



3. The receipt appears. Click **Print** to print the receipt and close the receipt.

Figure 82. Print Receipt



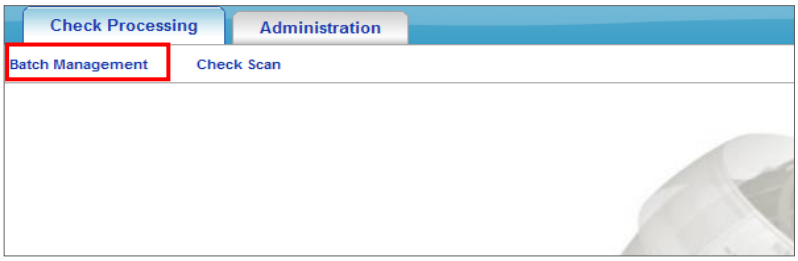
Note: If you are printing a receipt in batch mode repeat steps 1-5 until finished.

If there are more than five characters in the account number, the system will mask all but the last four. If there are five characters or less, the system will mask all but the last character.

Receipt Printing from Batch Management (Singe/Batch Mode)

1. Click the **Check Processing** tab and click **Batch Management**.

Figure 83. Check Processing>Batch Management (Receipt)



2. Select or enter the batch search conditions you would like view and click **Search.**

   Note:

   1) If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

   2) If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

3) If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

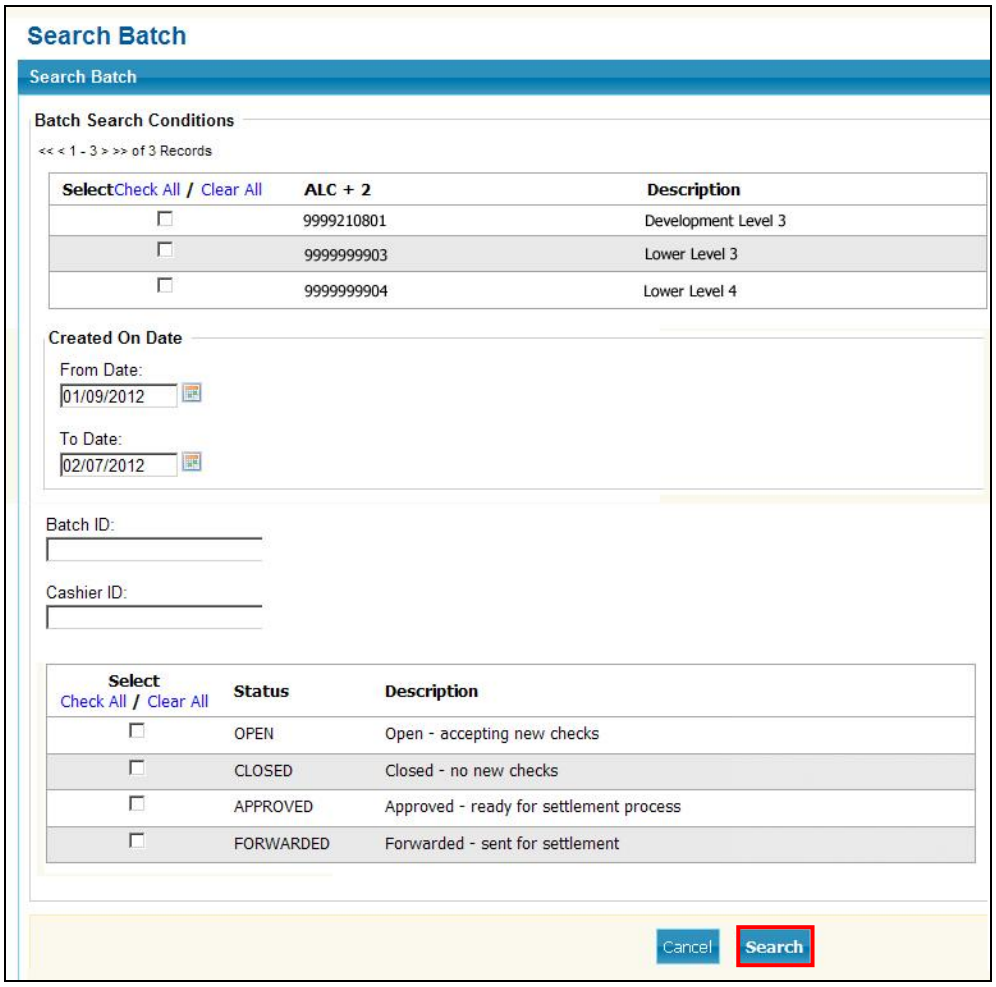
Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless other search criteria specified.

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

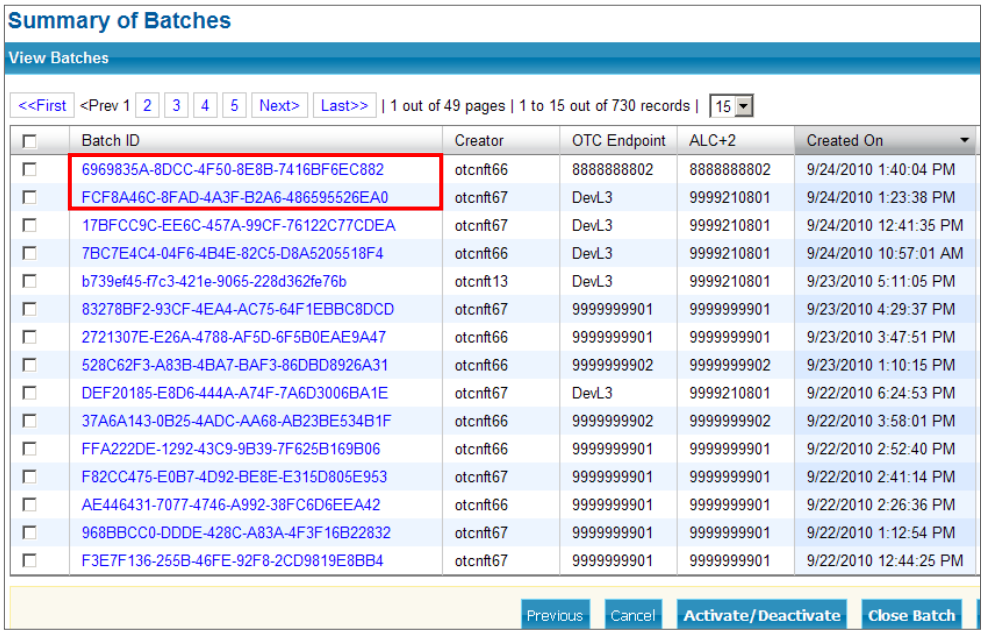
- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

Figure 84. Search Batch (Receipt)



3. The *View Batch* page appears. Click the **Batch ID** hyperlink. If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 85. View Batches (Receipt)



Summary of Batches

View Batches

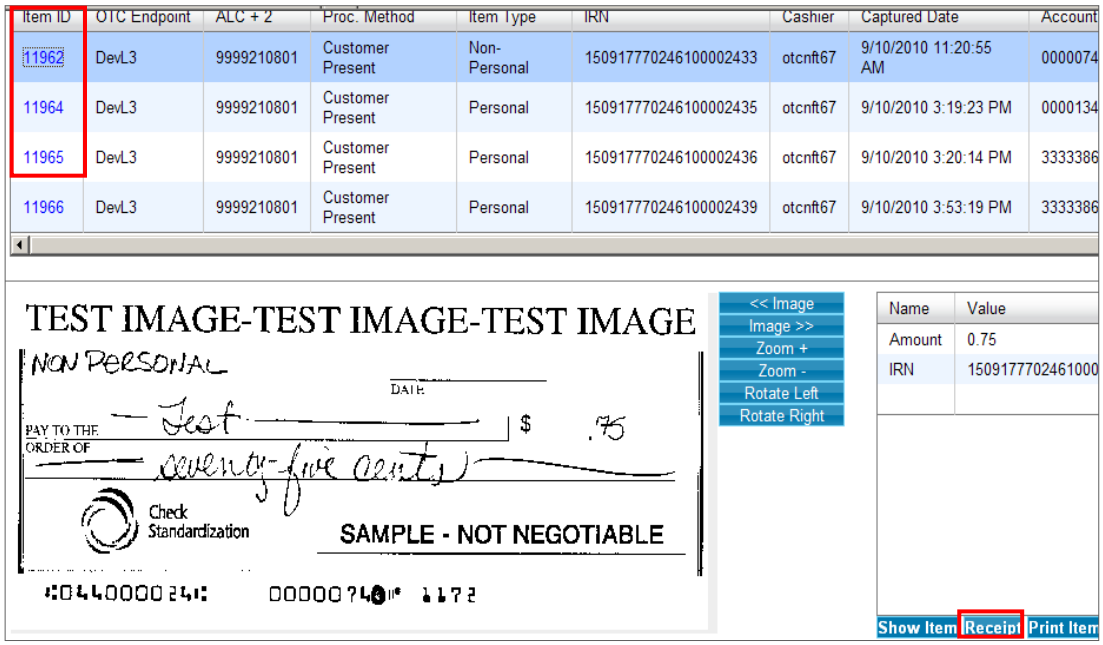
<<First <Prev 1 2 3 4 5 Next> Last>> | 1 out of 49 pages | 1 to 15 out of 730 records | 15

Batch ID	Creator	OTC Endpoint	ALC+2	Created On
6969835A-8DCC-4F50-8E8B-7416BF6EC882	otcnft66	8888888802	8888888802	9/24/2010 1:40:04 PM
FCF8A46C-8FAD-4A3F-B2A6-486595526EA0	otcnft67	DevL3	9999210801	9/24/2010 1:23:38 PM
17BFCC9C-EE6C-457A-99CF-76122C77CDEA	otcnft67	DevL3	9999210801	9/24/2010 12:41:35 PM
7BC7E4C4-04F6-4B4E-82C5-D8A5205518F4	otcnft66	DevL3	9999210801	9/24/2010 10:57:01 AM
b739ef45-f7c3-421e-9065-228d362fe76b	otcnft13	DevL3	9999210801	9/23/2010 5:11:05 PM
83278BF2-93CF-4EA4-AC75-64F1EBBC8DCD	otcnft67	9999999901	9999999901	9/23/2010 4:29:37 PM
2721307E-E26A-4788-AF5D-6F5B0EAE9A47	otcnft66	9999999901	9999999901	9/23/2010 3:47:51 PM
528C62F3-A83B-4BA7-BAF3-86DBD8926A31	otcnft66	9999999902	9999999902	9/23/2010 1:10:15 PM
DEF20185-E8D6-444A-A74F-7A6D3006BA1E	otcnft67	DevL3	9999210801	9/22/2010 6:24:53 PM
37A6A143-0B25-4ADC-AA68-AB23BE534B1F	otcnft66	9999999902	9999999902	9/22/2010 3:58:01 PM
FFA222DE-1292-43C9-9B39-7F625B169B06	otcnft66	9999999901	9999999901	9/22/2010 2:52:40 PM
F82CC475-E0B7-4D92-BE8E-E315D805E953	otcnft67	9999999901	9999999901	9/22/2010 2:41:14 PM
AE446431-7077-4746-A992-38FC6D6EEA42	otcnft66	9999999901	9999999901	9/22/2010 2:26:36 PM
968BBCC0-DDDE-428C-A83A-4F3F16B22832	otcnft67	9999999901	9999999901	9/22/2010 1:12:54 PM
F3E7F136-255B-46FE-92F8-2CD9819E8BB4	otcnft67	9999999901	9999999901	9/22/2010 12:44:25 PM

Previous Cancel Activate/Deactivate Close Batch

4. The *View Checks* page appears. Click the **Item ID** of each scanned check and click Receipt. An image of the check and details of the check appear in the window below.

Figure 86. View Checks Page (Receipt)



Item ID	OTC Endpoint	ALC + 2	Proc. Method	Item Type	IRN	Cashier	Captured Date	Account
11962	DevL3	9999210801	Customer Present	Non-Personal	15091777024610000243 3	otcnft67	9/10/2010 11:20:55 AM	0000074
11964	DevL3	9999210801	Customer Present	Personal	15091777024610000243 5	otcnft67	9/10/2010 3:19:23 PM	0000134
11965	DevL3	9999210801	Customer Present	Personal	15091777024610000243 6	otcnft67	9/10/2010 3:20:14 PM	3333386
11966	DevL3	9999210801	Customer Present	Personal	15091777024610000243 9	otcnft67	9/10/2010 3:53:19 PM	3333386

TEST IMAGE-TEST IMAGE-TEST IMAGE

NON PERSONAL

DATE

PAY TO THE ORDER OF Test $ .75

seventy-five cents

Check Standardization

SAMPLE - NOT NEGOTIABLE

<< Image
Image >>
Zoom +
Zoom -
Rotate Left
Rotate Right

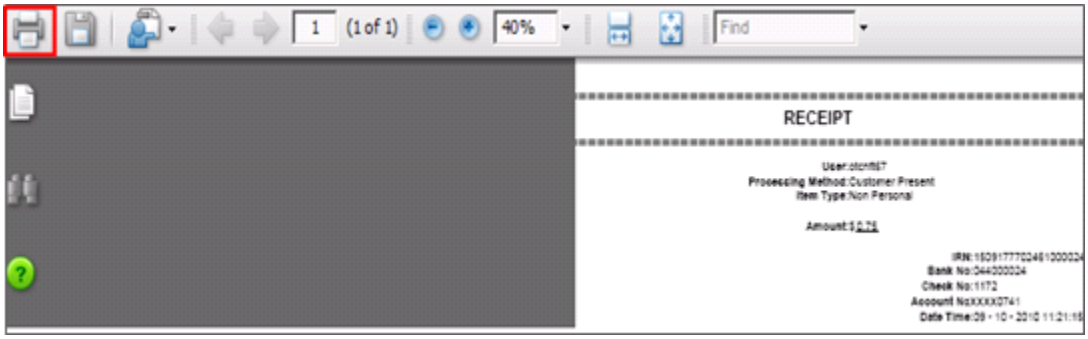
Name	Value
Amount	0.75
IRN	1509177702461000

Show Item Receipt Print Item

Note: Click **Show Item** to view more details about the check.

5. The receipt appears. Click **Print** to print the receipt and close the receipt window.

Figure 87. Print Receipt



If there are more than five characters in the account number, the system will mask all but the last four. If there are five characters or less, the system will mask all but the last character.

Print a Receipt

To print a receipt from *Check Scan* functionality, complete the following steps:

Single Mode

1. Scan the check, input, and save the pertinent details.
2. Under **Scan Controls**, click **Receipt**. A *Printing…Please wait* message appears and the receipt prints to the default printer.

> **Application Tip**
>
> You have eight seconds to click the **Receipt** button. If the **Receipt** button is not clicked within the allotted time, the button grays out. If a receipt is still needed, access the Batch Management function.

3. Click **Receipt**. The receipt appears.
4. Click **Print** to print the receipt.
5. Click **Close** to close the receipt.

> **Application Tip**
>
> If you are printing a receipt in batch mode repeat steps 1-5 until finished.

Print a Receipt in Batch Management

To print a receipt using Batch Management, complete the following steps:

1. Click the **Check Processing** tab and click **Batch Management**.
2. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

3. Click **Search**. The *View Batch* page appears.

4. Click the **Batch ID** hyperlink. The *View Checks* page appears.

Application Tip

If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

5. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

6. Click **Receipt**. The receipt appears.

7. Click **Print** to print the receipt.

Application Tip

Account numbers and User Defined Fields (UDFs) that are marked as Personally Identifiable Information (PII) are masked. If there are more than five characters, OTCnet masks all but the last four characters. If there are five characters or less, the system will mask all but the last character.

8. Click **Close** to close the receipt.

Application Tip

Click **Show Item** to view more details about the check. Under **Server Controls**, click **Receipt** to print the receipt.

Summary

In this chapter, you learned:

- The purpose of capturing and managing checks online
- How to capture a check online
- How to manage failed image quality
- How to resolve a duplicate check
- How to void a check
- How to override a Master Verification Record (MVD) Record
- How to perform batch control and batch balancing
- How to view and print a batch list / item
- How to activate/deactivate a batch
- How to close a batch
- How to approve a batch
- How to print a receipt

In the next chapter, you will learn how to correct scanned checks.

Notes

Index

Accept 26, 27, 28, 29, 31, 32, 33, 35
Agency Form Data 12, 16, 29
Approve 2, 5, 61, 94, 96, 97, 98, 99, 100, 101, 102, 103, 104, 105, 106
Back Office 6, 7, 12
Batch Control ... 2, 3, 4, 5, 10, 52, 53, 54, 55, 57, 58, 59, 60, 88, 89
Batch Management 3, 36, 37, 61, 66, 70, 74, 80, 87, 94, 100, 111, 112, 117
Batch Summary.....90, 100, 105
Blocked.....47
Cancel 4, 6, 16, 26, 27, 29, 30, 31, 32, 33, 35, 48, 50, 55, 58, 101
Check Capture Lead Operator ..1, 3, 4, 5, 28, 29, 31, 47, 52, 53, 55, 57, 58, 61, 80
Check Capture Operator 1, 3, 4, 5, 28, 29, 31, 47, 52, 53, 55, 57, 58, 61
Check Capture Supervisor 1, 4, 26, 27, 28, 29, 31, 33, 35, 36, 47, 51, 52, 55, 58, 60, 61, 74, 80, 94
Check Processing 3, 5, 6, 11, 37, 61, 66, 70, 74, 80, 87, 94, 100, 112
Close .. 2, 4, 5, 52, 55, 56, 57, 61, 80, 88, 89, 90, 101, 117
Customer Not Present 7, 12
Customer Present 7, 12
D-Denied 47
Duplicate Check 2, 31, 32, 33, 35
EC5000i Scanner 9
EC6000i and EC7000i Scanner 9
Edit MICR 31
Logical Processing Order 4
Master Verification Database 47
MICR 9, 31, 32, 35
MVD 1, 2, 47, 48, 50, 120
OTC Endpoints 5, 36, 80, 94
Panini Scanner 10
Personal 5, 6, 7, 13
Print ...2, 4, 49, 50, 56, 61, 64, 65, 68, 69, 70, 71, 72, 88, 89, 90, 98, 99, 101, 104, 111, 112, 116, 117
Rescan 26, 27, 29, 31, 32
Scan Check 3, 111
Scan Controls 10, 14, 15, 16, 111, 117
Single vs. Batch Processing Mode 6
Suspended 47
Terminal Configuration 4, 7, 52
Void 2, 4, 36, 40, 41, 42, 60

OTCnet℠

Deposits Made Simple

Chapter 5: Correcting Scanned Checks

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Topics 1
Topic 1. Purpose of Correcting Scanned Checks 2
Topic 2. Edit a Magnetic Ink Character Recognition (MICR) Codeline 3
Correct a MICR Codeline 4
Topic 3. Edit a Check Item 8
Edit a Check Item 9
Summary 18
Glossary 23
Index 37

LIST OF TABLES

Table 1. Code Symbol Descriptions 3

LIST OF FIGURES

Figure 1. Check Processing Error Message Types 4
Figure 2. Login Dialog Box 4
Figure 3. Codeline Correction Box 5
Figure 4: Batch Status Types for OTCnet Online 8
Figure 5: Batch Status Types for OTCnet Offline 8
Figure 6. Check Processing> Batch Management 9
Figure 7. Search Batch Page 10
Figure 8. View Batches Page 11
Figure 9. View Checks Page 12
Figure 10. Update Form Fields 13
Figure 11. Confirm Check Update Dialog Box 15
Figure 12. Enter Comments Dialog Box 16
Figure 13. OK for Check Update Dialog Box 17

Audience, Overview and Topics

Audience

The intended audience for the *Correcting Scanned Checks Participant User Guide* includes:

- Check Capture Supervisor
- Check Capture Lead Operator (Edit a Check Item topic only)

Overview

Welcome to *Correcting Scanned Checks*. In this chapter, you will learn:

- The purpose of correcting scanned checks
- How to edit a Magnetic Ink Character Recognition (MICR) codeline
- How to edit a check item

Topics

This chapter is organized by the following topics:

1. Purpose of Correcting Scanned Checks
2. Edit a Magnetic Ink Character Recognition (MICR) codeline
3. Edit a Check Item

Topic 1. Purpose of Correcting Scanned Checks

As a **Check Capture Supervisor (CCS)** and **Check Capture Lead Operator (CCLO)** you are the only authorized users who can correct a scanned check. Correcting a check that you may have permission for can involve one or more of the following resolves:

- Adjusting the Magnetic Ink Character Recognition (MICR) codeline (**CCS** only)
- Editing a check after it is entered and saved into OTCnet (**CCLO** and **CCS**)

Agency users who have permission to make corrections to checks should know the risks of submitting a check with incorrect information. They include debiting another individual's/ company's or Agency's account and an increased likelihood of a returned check.

To avoid these risks, **Check Capture Supervisors** are able to adjust a MICR line and edit a check after it has been scanned by either a **Check Capture Lead Operator** or **Check Capture Operator**.

Topic 2. Edit a Magnetic Ink Character Recognition (MICR) Codeline

As a **Check Capture Supervisor**, you can make MICR line corrections. You will be prompted to key in your Login ID and Password before correcting the MICR line.

If a **Check Capture Lead Operator** or **Check Capture Operator** scans the check and if the scanner detects a problem with the Magnetic Ink Character Recognition (MICR) codeline data (such as certain characters or all characters could not read by the scanner), the operator is prompted to have the codeline corrected.

When a *Check Processing Error* or *Unsupported Bank Number* message appears, the operator has the option to correct the codeline, rescan the check, or cancel the scan. It is recommended that before attempting to correct the codeline, the operator rescan the check. Rescanning the check usually corrects the error.

If the error message continues to appear after the check is rescanned, contact your **Check Capture Supervisor** to discuss options for capturing a check (e.g. rescanning the check again, correcting the MICR codeline or using the deposit processing functionality). If problem persists, and the decision is made to correct the MICR codeline, table 1 below provides the symbol replacement codes to make the necessary corrections. If the scanner continues to have difficulty reading the characters in the codeline, you can create a deposit using the **Deposit Processing** tab within OTCnet. The **Deposit Processing** tab only appears if your Agency and appropriate users have permission to create deposits using this functionality.

For detailed support, reach the OTCnet Customer Support Center at fms.otcchannel@citi.com or call toll free at 866-945-7920.

Table 1. Code Symbol Descriptions

Code	Symbol	Description
T		Beginning or ending of a transit number. Also known as Routing number or ABA number.
O		The On-Us field contains the account number and may also contain a serial number and transaction code.
A		Displays the amount of an amount-encoded check.
D		Dash separates the values of the other fields.

Correct a MICR Codeline

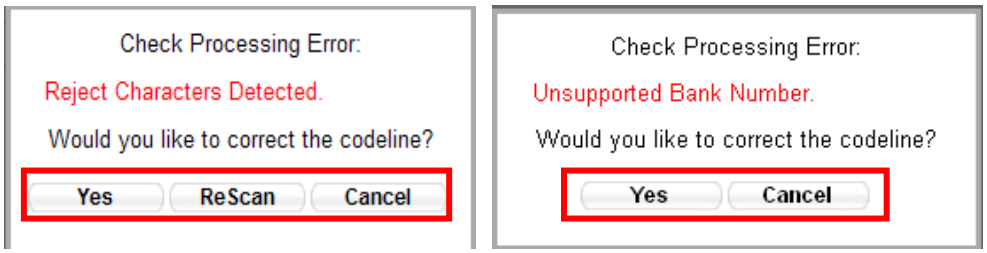
1. From the *Check Scan – Perform Check Scan* page, the *Check Processing Error: Reject Characters Detected* (*or Unsupported Bank Number*) message appears (see Figure 1 below).

   Click:

   - **Yes** to correct the codeline
     Or
   - **Rescan** to rescan the check
     Or
   - **Cancel** to completely cancel the transaction

For *Unsupported Bank Number* error message, you will only be able to click **Yes** or **Cancel**.

Figure 1. Check Processing Error Message Types



2. The *Login ID and Password* dialog box appears. Enter the **Login ID** and **Password** and click **Login** (see Figure 2 below).

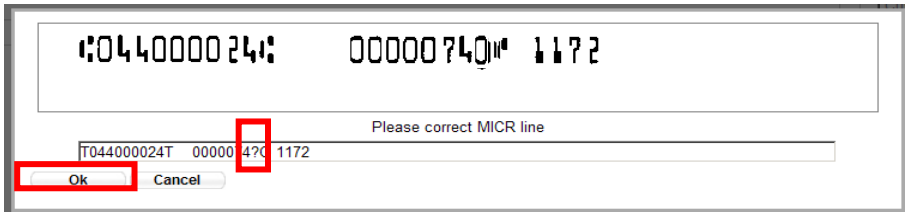
   If a **Check Capture Lead Operator** or **Check Capture Operator** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor** can perform MICR line corrections. The **Check Capture Supervisor** must key in his/her Login ID and Password before correcting the MICR line.

Figure 2. Login Dialog Box

3. The *Codeline Correction box* appears. Enter the correct numbers and click **OK** (see Figure 3 below). Resume check scanning.

   OTCnet will indicate the character(s) that are illegible by replacing it with a question mark(s). Look at the MICR line image closely to ensure all the characters are correctly captured. If they are not captured, click **Cancel** and rescan the check.

Figure 3. Codeline Correction Box



The cursor is at the end of the line on the bottom (in this example, after the numbers …1172). That is the editable line. A compare of what was read by the scanner is displayed in the top line. Click on the number(s) that need to be edited and type the corrected number. Accuracy is of the utmost importance. Double check to make sure that the correct numbers are being typed and that extra numbers are not left behind.

Correct a MICR Line

To correct a MICR line, complete the following steps:

1. From the Check Scan – Perform Check Scan page, the *Check Processing Error: Reject Characters Detected/ Unsupported Bank Number* message appears. Click **Yes** to correct the codeline.

   Or

   Click **Rescan** to rescan the check (applies only to *Reject Characters Detected* message).

   Application Tip

   Click **Rescan** if the check image is skewed, illegible, or upside down.

   Or

   Click **Cancel** to completely cancel the transaction.

2. The *Login ID and Password* dialog box appears. Enter the **Login ID** and **Password** and click **Login**.

   Application Tip

   If a **Check Capture Lead Operator** or **Check Capture Operator** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor** can perform MICR line corrections. The **Check Capture Supervisor** must key in his/her Login ID and Password before correcting the MICR line.

3. The *Codeline Correction box* appears. Enter the correct numbers and click **OK**. The *Codeline Correction box* closes and the scanned check image appears.

Application Tip

OTCnet will indicate the character(s) that are illegible by replacing it with a question mark(s) for the *Check Processing Error: Reject Characters Detected*. The *Check Processing Error: Unsupported Bank Number* message will not have a question mark in the MICR line for corrections. Look at the MICR line image closely to ensure all the characters are correctly captured. If they are not captured or marked with a question mark, click **Cancel** and rescan the check.

If the scanner continues to have difficulty reading the characters in the codeline, the operator can create a deposit using the Deposit Processing tab within OTCnet. Note the Deposit Processing tab only appears if your agency and appropriate users have permission to create deposits for over-the-counter collections

Application Tip

The following illustrates what symbols are within the MICR line.

Code	Symbol	Description
T		Beginning or ending of a transit number, also known as a Routing number or ABA number.
O		The On-Us field contains the account number and may also contain a serial number and transaction code.
A		Displays the amount of an amount-encoded check.
D		Dash separates the values of the other fields.

Topic 3. Edit a Check Item

As a **Check Capture Supervisor** or **Check Capture Lead Operator**, you are the only authorized users who can edit a check within a batch. You can only edit checks in batches for OTC Endpoints that you have permission to access. You may choose to edit a check if the data entered in the amount or user defined fields were found to be incorrect.

Before you can edit a check, you must first search for the batch in which the check resides. You can search for batches by **OTC Endpoint**, **Created On Date, Batch ID**, **Cashier ID**, and/or **Batch Status**. You can only edit checks that carry an open or closed batch status (see Figures 4 and 5 below).

Figure 4: Batch Status Types for OTCnet Online

Open	Indicates the batch is open and accepting new checks
Closed	Indicated the batch is closed and no new checks are accepted
Approved	Indicates the batch is ready for settlement
Forwarded	Indicates the batch has been sent to debit Gateway to initiate the settlement process

Figure 5: Batch Status Types for OTCnet Offline

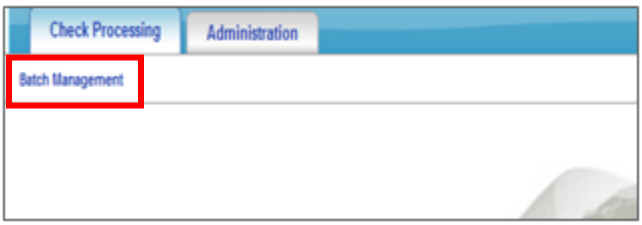
Open	Indicates the batch is open and you can continue scanning
Closed	Indicates the batch is closed and no new checks are accepted
Approved	Indicates the batch is ready for upload and settlement.
Sent	Indicates the batch was uploaded online without error.
Acknowledged	Indicates the batch was transmitted and fully processed by the OTCnet server without error.
Send Error	Indicates the batch upload experienced system errors and the batch was not successfully uploaded, or a user selected to cancel the batch upload and the system halted the upload.
Acknowledge Error	Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which results in a batch being updated to Acknowledgment Error.

Edit a Check Item

1. Click the **Check Processing** tab.

2. Click **Batch Management** (see Figure 6 below).

Figure 6. Check Processing> Batch Management



3. The *Search Batch* page appears. Select or enter the batch search conditions you would like view (see Figure 7 below).

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range
   - Enter the **Batch ID**, *optional*
   - Enter the **Cashier ID**, *optional*

   Under **Batch Status**, *optional*
   - Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

   Note: The **From** and **To Created On Date** must be entered in MM/DD/YYYY format. The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

   If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

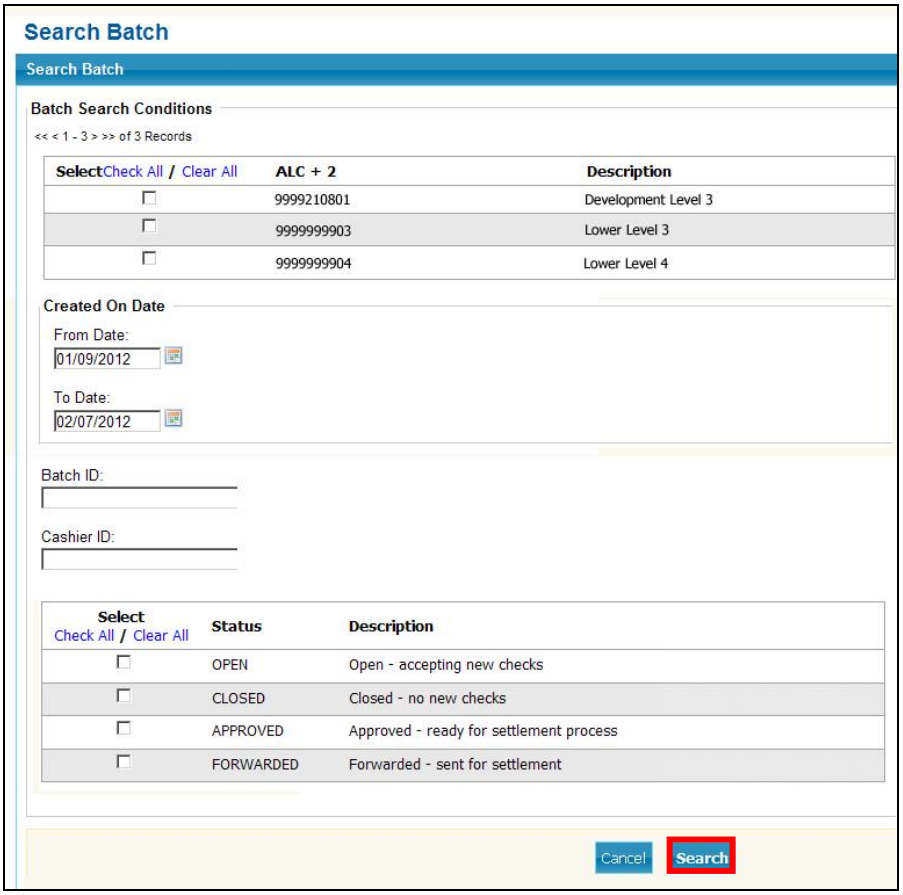
   If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Only batches in **Open** or **Closed** status can be edited.

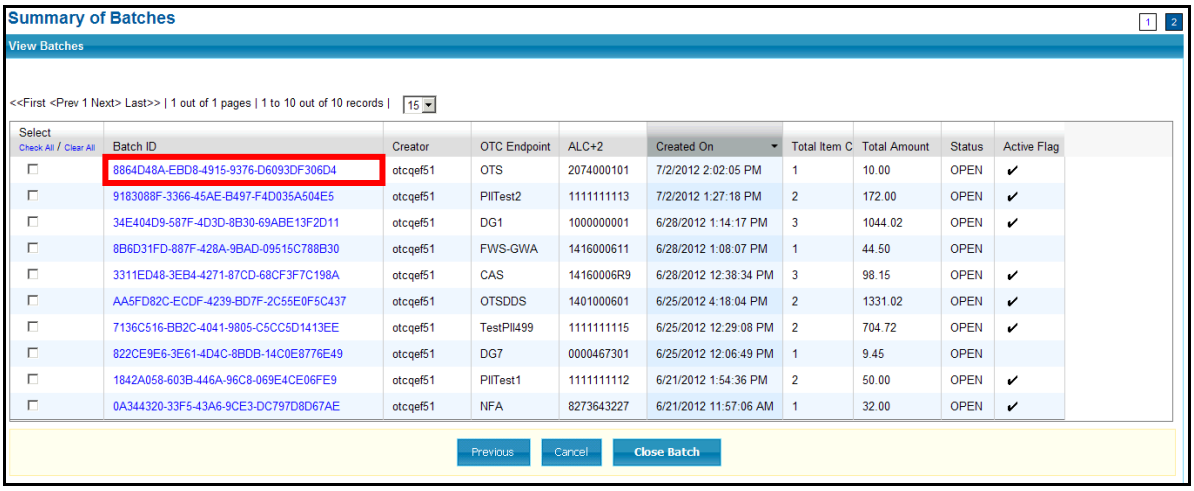
4. Click **Search** (see Figure 7 below).

Figure 7. Search Batch Page



5. The *View Batches* page appears. Click the **Batch ID** hyperlink (see Figure 8 below).

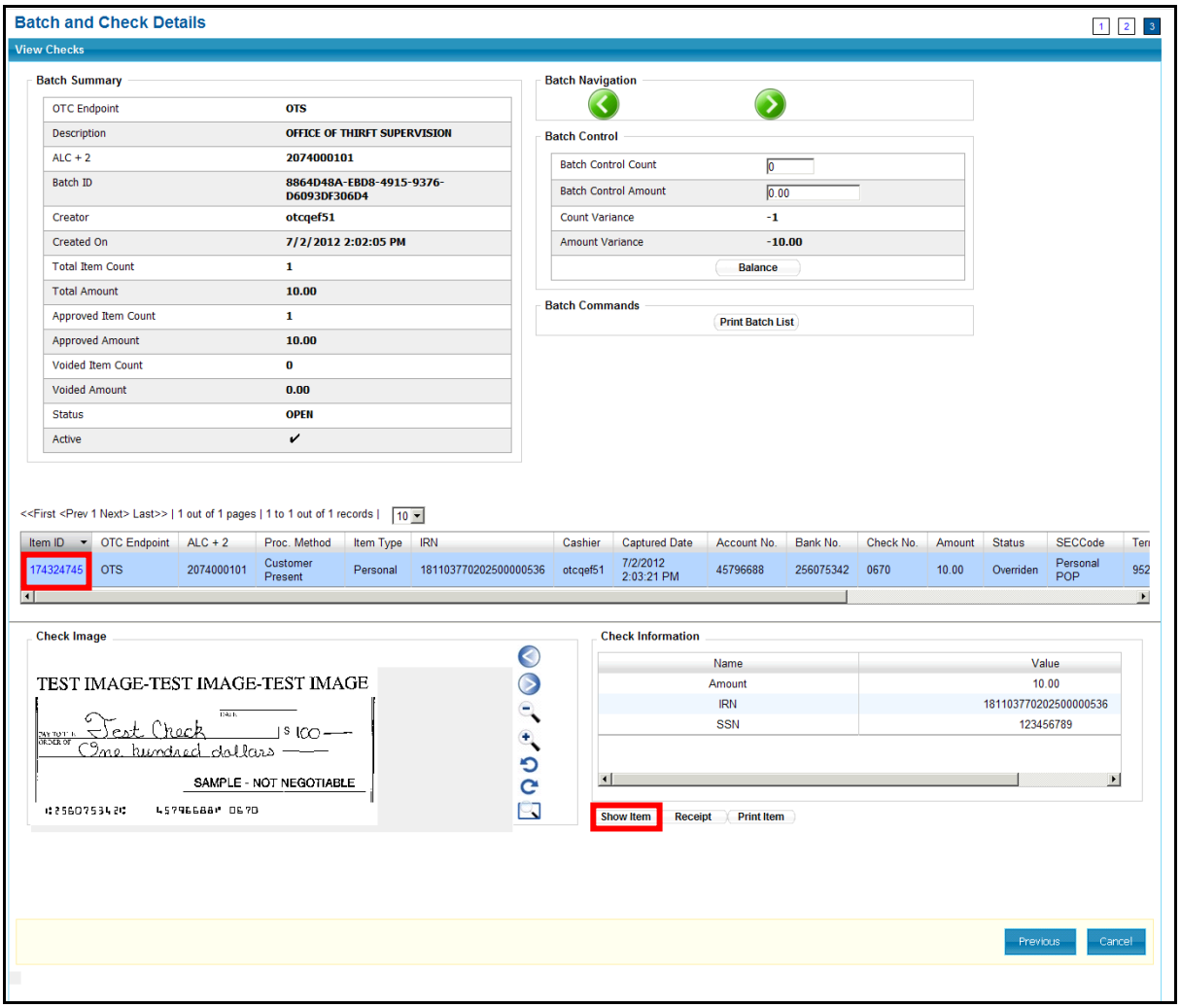
Figure 8. View Batches Page



6. The *View Checks* page appears. Click the **Item ID** of the scanned check you would like to edit. An image and details of the check appear in a window below.

7. Click **Show Item** to the right of the check image to edit.

Figure 9. View Checks Page



8. The *Show Item* page appears. Update the necessary form data.

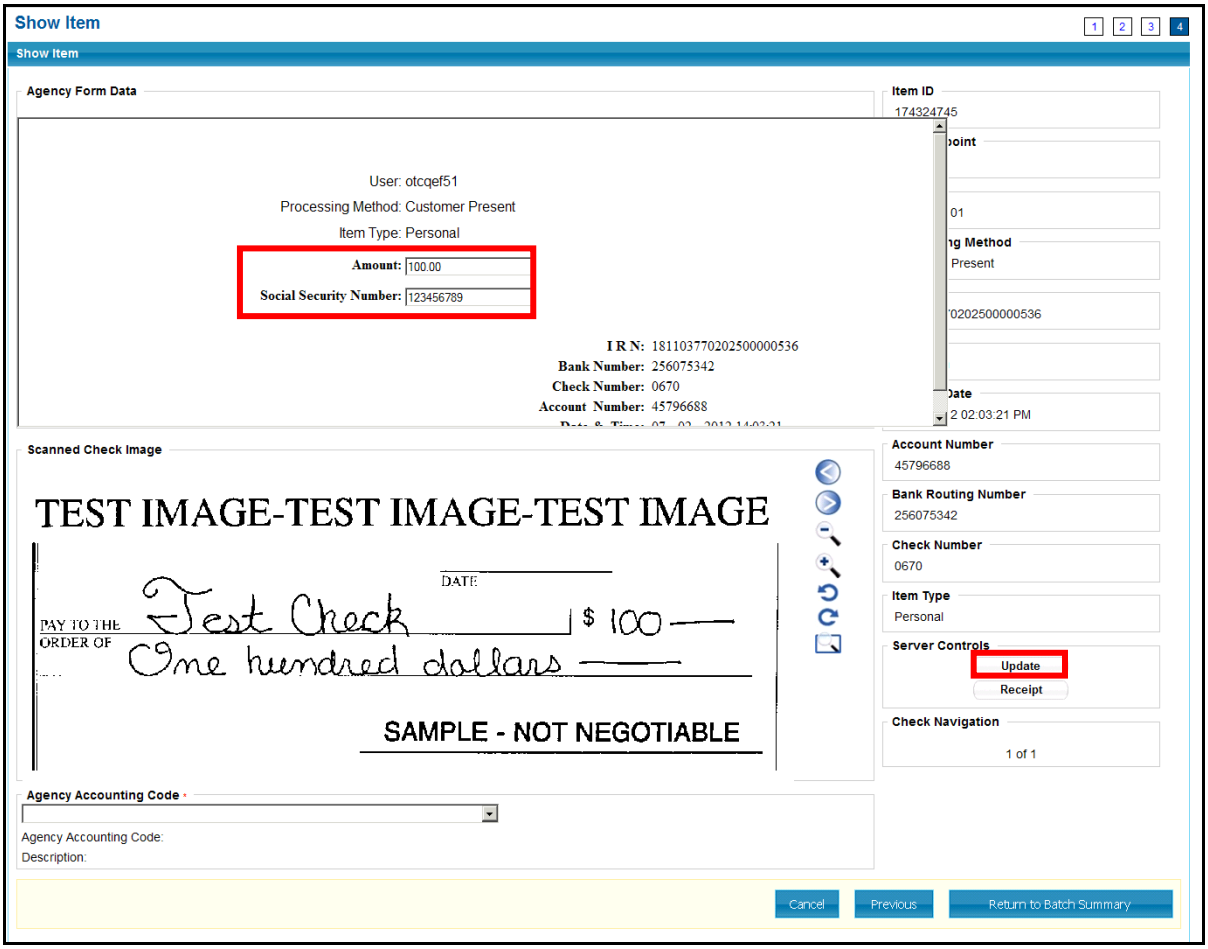
   To edit the form data, do the following:

   Under **Agency Form Data**, update the check data in the field(s) provided, *if applicable*
   - Enter the **Amount**
   - Enter the **UDF details**

   Under **Agency Accounting Code**, *if applicable*
   - Select an **Accounting Code**

   Under **Server Controls**, *required*
   - Click **Update**

Figure 10. Update Form Fields



Note: The **Agency Form Data** form is customizable and can include fields beyond the **Amoun**t field (e.g. Driver's License Number). If your Agency has additional fields, they are displayed under the **Amoun**t field. Your Agency may deem the field(s) either mandatory or optional for you to complete an entry.

If an OTC Endpoint is associated with an ALC that is designated as a Government-Wide Accounting (GWA) Reporter, all check transactions must be classified with an accounting code. If an ALC is not a GWA Reporter, classifying it with an accounting code is optional.

The **Agency Accounting Codes** drop-down list displays the full **Agency Accounting Code** value (up to 50 alphanumeric characters) and some portion of the **Description** (up to 15 alphanumeric characters).

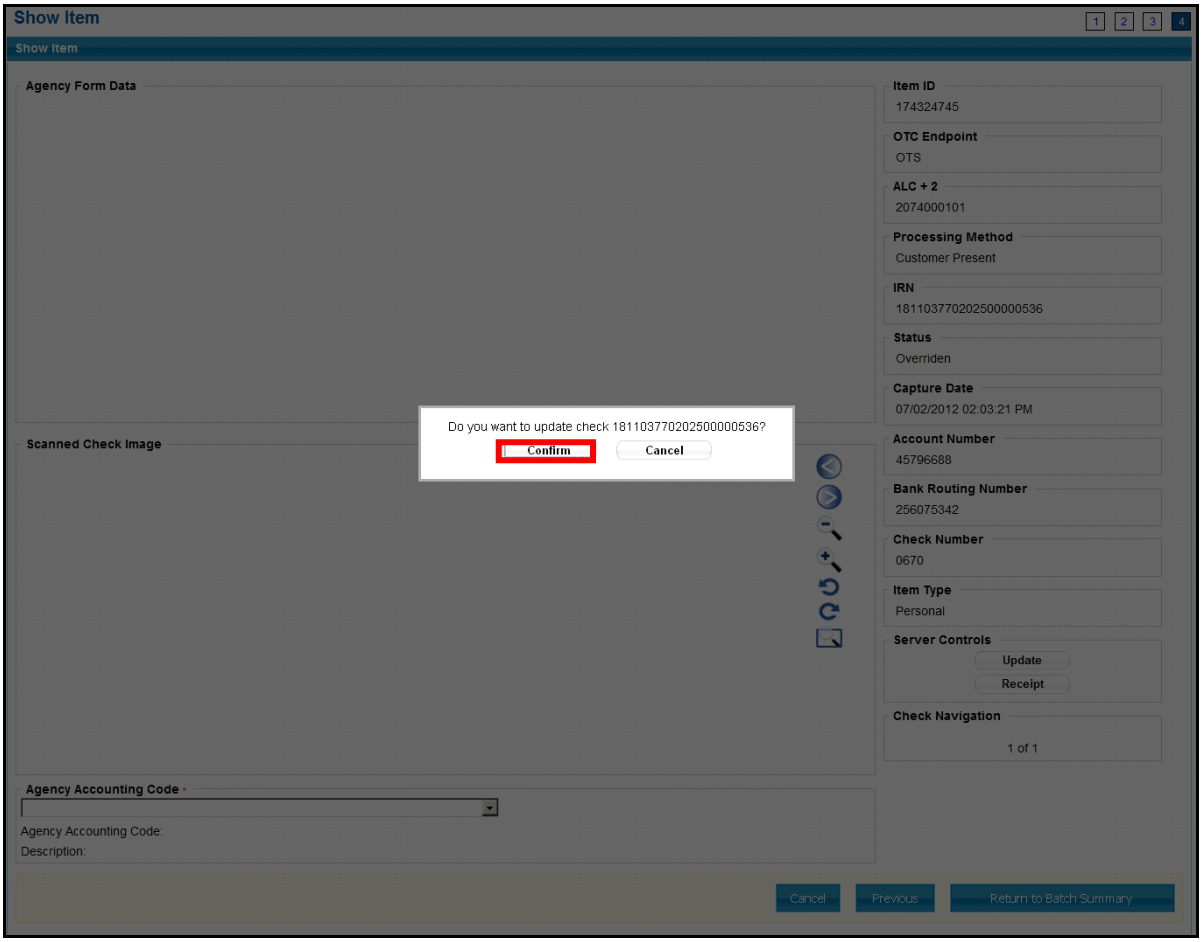
In the event an Agency becomes a GWA Reporter in between a check being captured and an operator selecting to save updates, if an accounting code is not specified and is available for selection, an overlay message appears asking, "*Would you like to classify the check transaction with Accounting information?*"

If **Yes** is clicked, you are returned to the Show Item page and allowed to select an accounting code.

If **No** is clicked, a **Comment** dialog box appears. Enter a reason why an accounting code is not classified for the transaction.

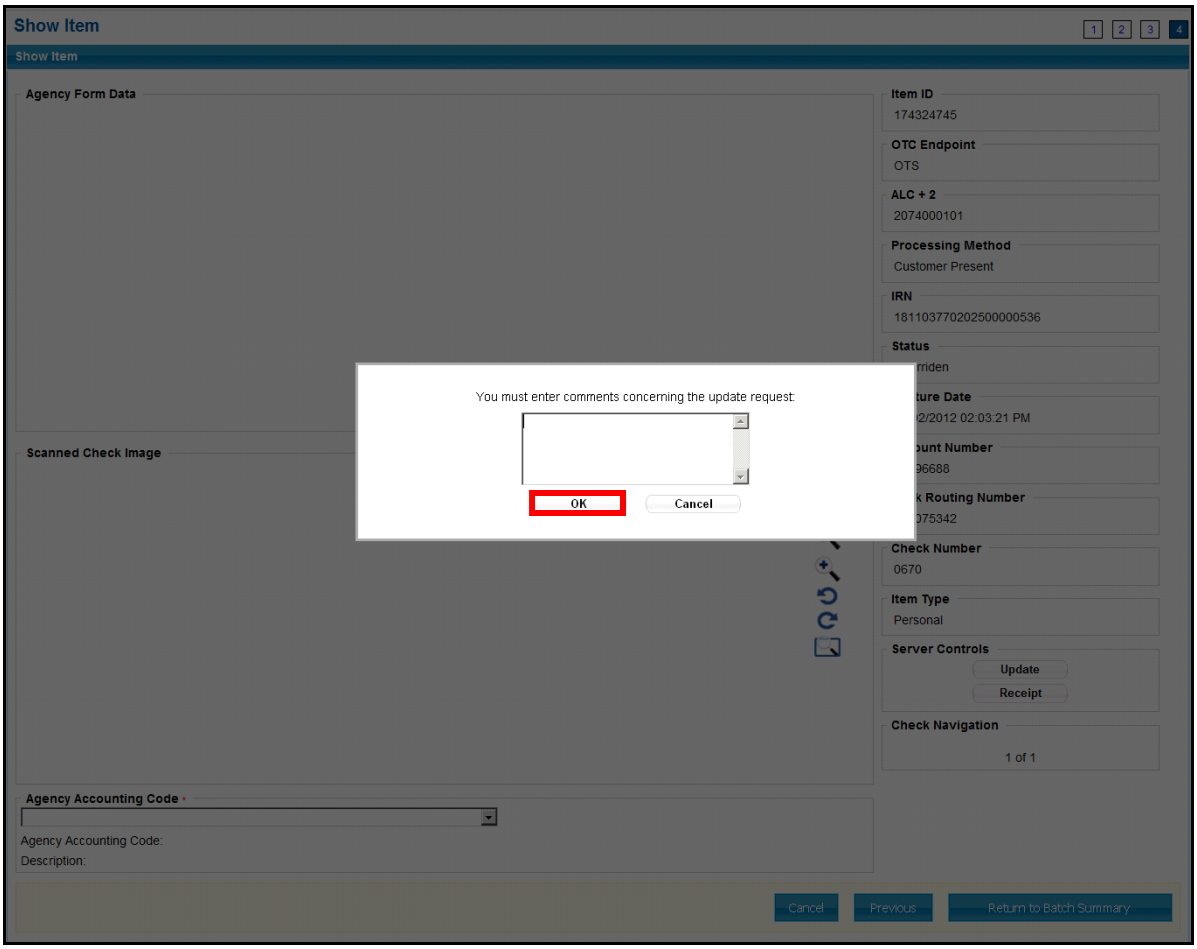
9. Click **Confirm** to validate that you want to update the check's data

Figure 11. Confirm Check Update Dialog Box



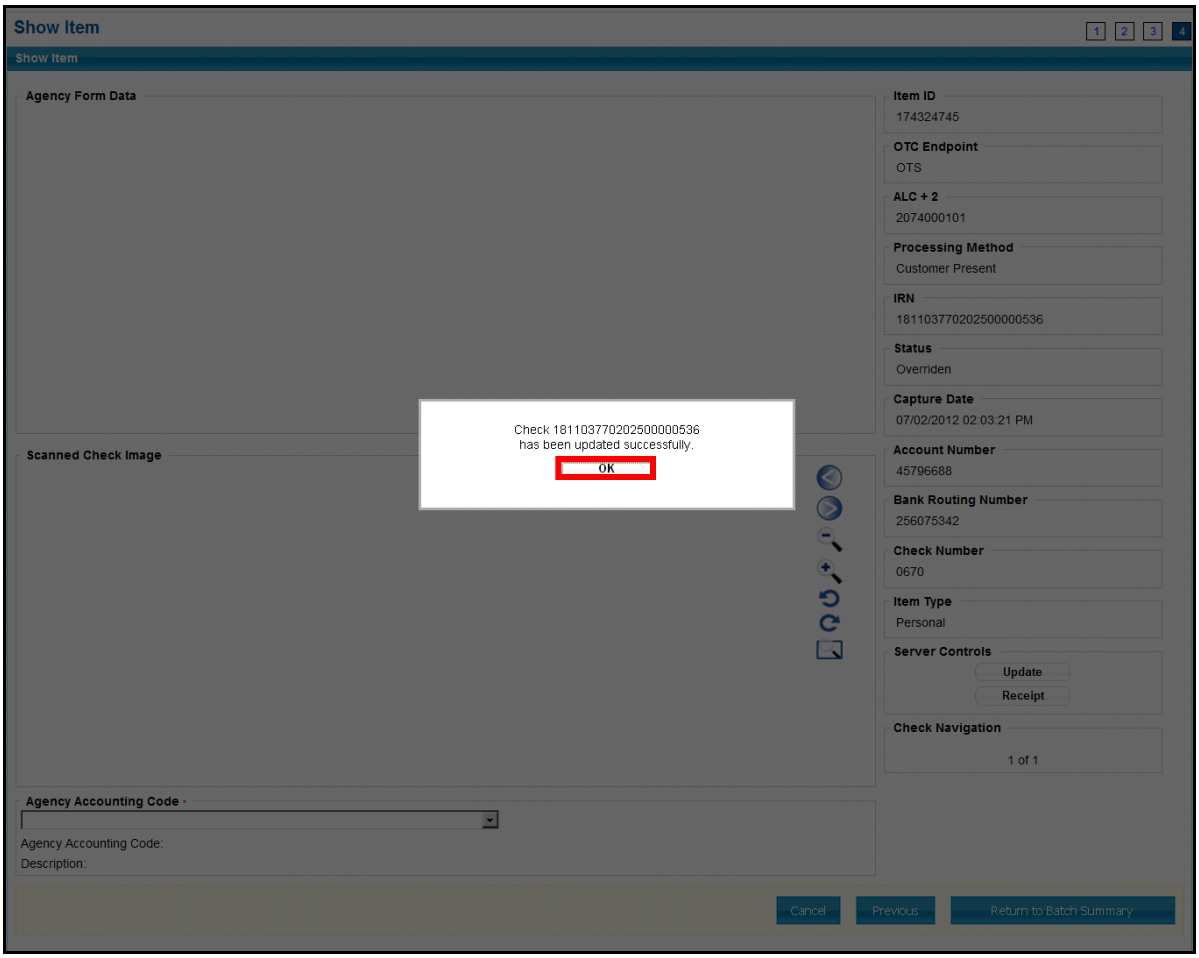
10. Enter comments concerning the updated request at the prompt and click **OK**

Figure 12. Enter Comments Dialog Box



11. Click **OK** at the confirmation prompt stating that the check has been updated successfully.

Figure 13. OK for Check Update Dialog Box



Edit a Check Item

To edit a check item, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like to view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

Application Tip

Only batches in **Open** or **Closed** status can be edited.

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click the **Item ID** of the scanned check you would like to edit. An image and details of the check appear in a window below.
7. Click **Show Item** to the right of the check image to edit. The *Show Item* page appears.
8. Update the necessary form data.

   To edit the form data, do the following:

   Under **Agency Form Data**, update the check data in the field(s) provided, *if applicable*
   - Enter the **Amount**
   - Enter the **UDF** details

Application Tip

The **Agency Form Data** form is customizable and can include fields beyond the **Amoun**t field (e.g. Driver's License Number). If your Agency has additional fields, they are displayed under the **Amoun**t field. Your Agency may deem the field(s) either mandatory or optional for you to complete an entry.

Under **Agency Accounting Code**, *if applicable*

- Select an **Accounting Code**

Application Tip

If an OTC Endpoint is associated with an ALC that is designated as a Government-Wide Accounting (GWA) Reporter, all check transactions must be classified with an accounting code. If an ALC is not a GWA Reporter, classifying it with an accounting code is optional.

Application Tip

The **Agency Accounting Codes** drop-down list displays the full **Agency Accounting Code** value (up to 50 alphanumeric characters) and some portion of the **Description** (up to 15 alphanumeric characters).

Application Tip

If an Agency is not a GWA Reporter and becomes a GWA Reporter and an OTCnet Endpoint has not submitted a batch and the batch does not have an specified accounting code, an overlay message appears asking, "*Would you like to classify the check transaction with Accounting information?*"

If **Yes** is clicked, you are returned to the *Show Item* page and allowed to select an accounting code.

If **No** is clicked, a **Comment** dialog box appears. Enter a reason why an accounting code is not classified for the transaction.

Under **Server Controls**, *required*

- Click **Update**

9. Click **Confirm** to confirm that you want to update the check's data.

10. Enter comments concerning the updated request at the prompt and click **OK**.

11. Click **OK** at the confirmation prompt stating that the check has been updated successfully.

Application Tip

Additional buttons on the pages that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Void All** to void all items in the batch.
- Click **Print Batch List** to print the batch list.
- Click **<** to go to the first batch.
- Click **>** to go to the next batch.
- Click **<<Image** to return to the previous check.
- Click **>>Image** to view the next check.
- Click **Zoom-** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left** to turn the image to the left.
- Click **Rotate Right** to turn the image to the right.
- Click **Show Item** to view the check item and perform update.
- Click **Void** to void a single check item.
- Click **Receipt** to print a receipt.
- Click **Print Item** to print an Item List report.

Additional buttons on the *Show Item* page that help you perform other tasks:

- Click **-Front** to return to the previous check.
- Click **Back+** to view the next check.
- Click -**Zoom** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left+** to turn the image to the left.
- Click **Rotate Right+** to turn the image to the right.

Summary

In this chapter, you learned:

- The purpose of correcting scanned checks
- How to edit a Magnetic Ink Character Recognition (MICR) codeline
- How to edit a check item

In the next chapter, you will learn how to pull reports for scanned checks.

Notes

Index

Batch Status 8
Check Capture Lead Operator 1, 2, 3, 4, 6, 8
Check Capture Supervisor 1, 2, 3, 4, 6, 8
Deposit Processing 3
Magnetic Ink Character Recognition (MICR) 1, 2, 3, 4, 5, 6, 22

Chapter 6: Managing Verification Records (MVD/LVD)

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Topics 1
Audience 1
Overview 1
Topics 1
Topic 1. Purpose of Managing Verification Records (MVD/LVD) 2
Topic 2. Create a MVD Record 7
Topic 3. Search a MVD Record 11
Topic 4. Edit a MVD Record 15
Topic 5. Download LVD 20
Topic 6. Reset LVD 24
Summary 27
Glossary 28
Index 42

LIST OF TABLES

Table 1. MVD Record Trade Status 2
Table 2. Special Character Handling 6

LIST OF FIGURES

Figure 1. MVD Lifecycle 3
Figure 2. LVD Lifecycle 4
Figure 3. (Create MVD Record) 7
Figure 4. Define MVD Record 8
Figure 5: Review MVD Record 9
Figure 6. Search Results 11
Figure 7. Search MVD Record 11
Figure 8. Search MVD Records 12
Figure 9. MVD Records 13
Figure 10. View MVD Record Page 13
Figure 11. View MVD Record Page 16
Figure 12. Edit Verification Record 17
Figure 13. Review Edited Record 17
Figure 14. Download LVD 20
Figure 15. Online Password 21
Figure 16. Download LVD 21
Figure 17. Download LVD Confirmation 22
Figure 18. Reset LVD 24
Figure 19. Review LVD Reset 25
Figure 20. LVD Reset Confirmation 25

Audience, Overview and Topics

Audience

The intended audience for the *Managing Verification Records Participant User Guide* includes:

- MVD Editor
- MVD Viewer
- Check Capture Administrator (CCA)
- Check Capture Supervisor (CCS)

Overview

Welcome to *Managing Verification Records (MVD/LVD)*. In this chapter, you will learn:

- The purpose of managing verification records
- How to create a master verification database (MVD) record
- How to search for a master verification database record
- How to edit a master verification database record
- How to download an LVD record
- How to reset an LVD record

Topics

This chapter is organized by the following topics:

1. Purpose of Managing Verification Records (MVD/LVD)
2. Create a MVD Record
3. Search for a MVD Record
4. Edit a MVD Record
5. Download an LVD
6. Reset an LVD

Topic 1. Purpose of Managing Verification Records (MVD/LVD)

The **Master Verification Database (MVD)** aids the agency in determining the history of a particular check writer. The verification database is an optional Online database that maintains the agency hierarchy check cashing policy, dishonored check information, and manually entered blocked items based on an agency's policy.

The **MVD** provides the OTCnet application information to ensure a presented check is acceptable. The **MVD** is a "negative" Online database specific to an agency that contains "return" information on:

- Checks and accounts that have failed to clear in a previous OTCnet transaction attempt
- Blocked accounts/routing numbers or individuals that have been identified where future transactions are not desired

The LVD is a verification database that resides locally on each terminal. The information in the LVD prevents checks from being cashed on accounts, or other agencies specified criteria, that are in violation of the agency's policy. Verification information is available for download.

Verification records are derived from returns of previously processed payments originated through the OTCnet application, as well as manually entered records (i.e. blocked, suspended, or denied record). The bad check information is accumulated in the **MVD** as agencies start to process checks through Check Capture.

If an item is identified as a red flag item, you have the ability to set an *MVD/LVD Record's Trade Status* (see Table 1 below):

Table 1. MVD/LVD Record Trade Status

Suspend	Indicates that an individual's record is set to a predetermined suspension period. During this time, the OTCnet system prevents an individual from cashing a check through OTCnet. The individual's database record has a Trade Status of **Suspend** and the expiration date is set until a specific date
Denied	Indicates that an individual's record is set to a permanent deny date of 9/09/2099. The OTCnet system permanently denies this person from cashing a check through OTCnet
Blocked	Indicates a manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status

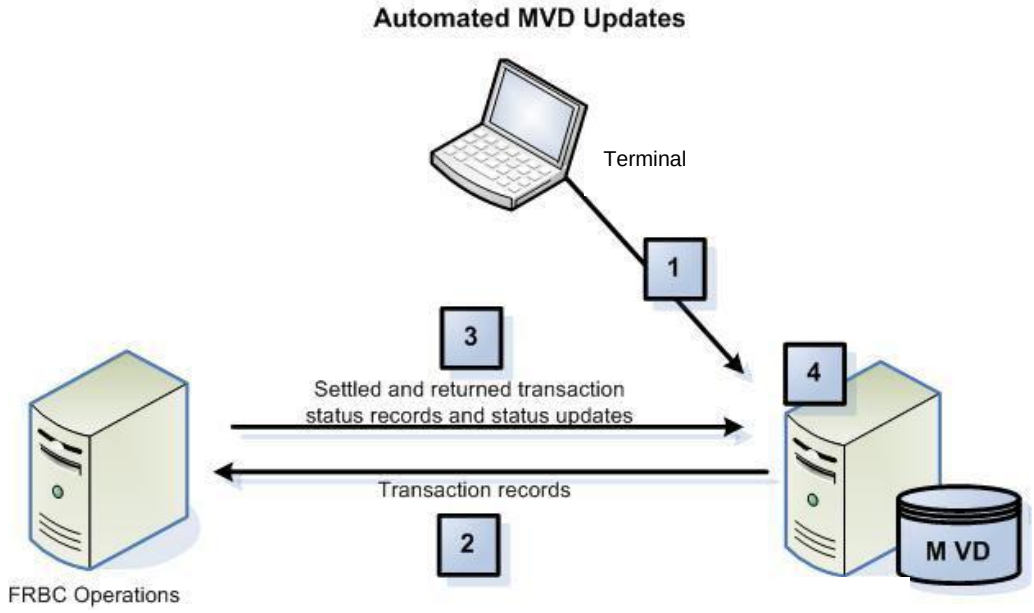
If you are assigned the role of **MVD Editor**, you can create, search, and edit **MVD** records. As a **MVD Viewer**, you can search and view **MVD** records only.

How Does the MVD Work?

Verification records are derived from returns of previous processed payments originated through OTCnet, as well as manually entered records (i.e. blocked, suspended, or denied record). Blocked, suspended, or denied data is entered manually by an authorized person from an agency's location, region or even the Treasury OTC Support Center.

By default a OTC Endpoint receives all blocked, suspended, and denied records created at the location; all blocked, suspended, and denied records of the OTC Endpoint's subordinate sites; all blocked records created at all Parent Level OTC Endpoints: and any blocked, suspended, or denied records from any **OTC Endpoint** and their subordinates in the requesting organization's OTC Verification Group. An OTC Verification Group typically includes OTC Endpoints from the hierarchy of respective OTC Endpoint's agency. See Figure 1 below for **MVD** lifecycle.

Figure 1. MVD Lifecycle



1. Check transactions are processed in OTCnet.
2. Check transaction data is sent from OTCnet to the Treasury/FMS.
3. The negative returns on check transactions are sent from the Treasury/FMS operations to the MVD.
4. Verification record is completed with information from original payment transaction.

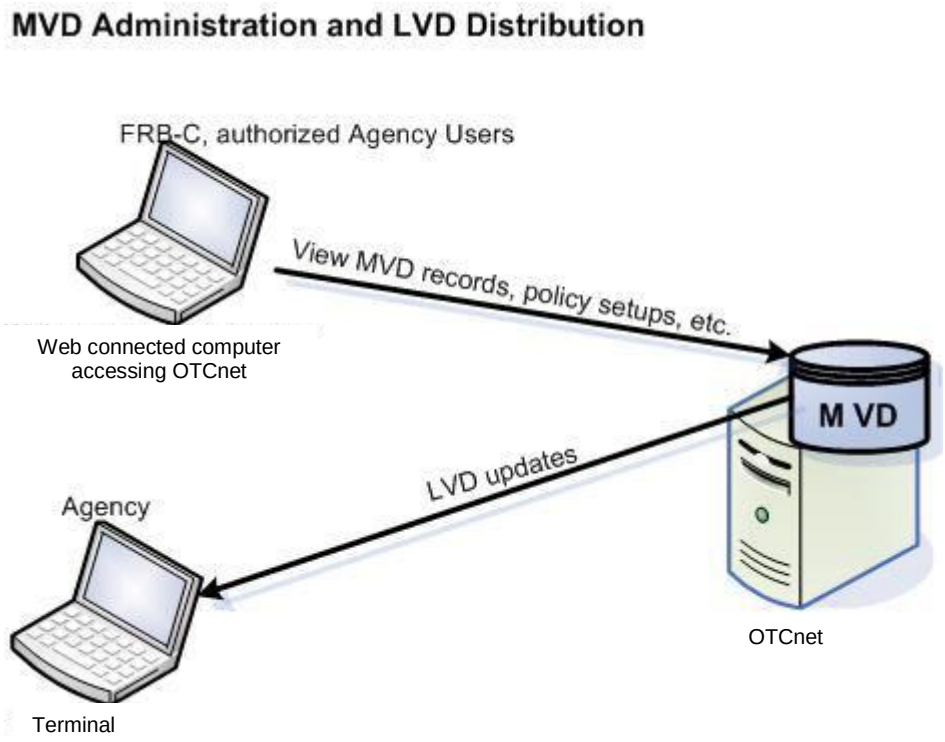
How does the LVD Work?

Blocked, suspended, or denied data is entered manually Online by an authorized person from a site, a region, an agency, or even the Treasury OTC Support Center. By default a location receives all blocked, suspended and denied records created at the location; all blocked, suspended, and denied records of the location's subordinate sites; all blocked records created at all direct ancestors above the location; and any blocked, suspended, or denied records from any location and their subordinates in the requesting location's location group.

The LVD Download task allows a user to download updates to the Local Verification Database, if the agency uses this optional feature. This task can be setup to execute at either the point of application 'Start up' or 'Close Batch'. The default is set to execute on 'Close Batch'. When the LVD Download task selection is active, an additional field appears. This field allows the Agency to choose the number of days the old LVD is allowed to become before an override is required from a supervisor. The default is 30 days with a maximum allowed period of 100 days. After the LVD has reached its override age, it is considered to be stale and a new LVD must be downloaded. The operator is prompted to download an updated LVD. If the operator chooses to use the existing LVD without an update, the system requires a supervisor to approve (override) by supplying their login and password each time the application is launched.

If an agency is utilizing the check verification process through the LVD download, there will be occasions where a new LVD is required. LVD downloads will contain only new items received by the MVD. If there is a change in the location's policy, an entire new LVD should be obtained and needs to be requested manually. In order to accurately recognize red flags, the LVD must be up to date.

Figure 2. LVD Lifecycle



OTC Verification Group Management

An OTC Verification Group represents a listing of any OTC Endpoints outside the requesting OTC Endpoint's hierarchy that share records. The **MVD** restricts the display of data based on the OTC Endpoint of the user. A user only sees records which are associated with OTC Endpoints at or below the user's **OTC Endpoint** in the hierarchy or at OTC Endpoints specified in the OTC Verification Group. Depending on the type of data being requested, different rules apply, as appropriate.

What is Included in an OTC Endpoint's Policy?

An OTC Endpoint's policy helps automate an agency's check cashing/collection policy. The OTC Endpoint's policy is based upon the agency's overall program or policy to ensure a consistent application of an agency-wide check verification, including returned reason codes, suspension periods, and the inclusion of expired items. As part of the agency's participation in the OTCnet program, the agency provides the Treasury OTC Support Center, via the Agency Site Profile (ASP), their check collection policy regarding:

- Number of returns permissible by the agency
- Length of time for each suspension period

Generate Verification records based on:

- The inclusion of Represented and Retired checks
- The inclusion of Retired checks only
- The number and timing of representments

An agency chooses when **MVD** records are created – either:

- With any return item - or -
- When items are retired to the agency

The final piece of information required in an OTC Endpoint's policy is what other OTC Endpoints are included in the "OTC Verification Group". The OTC Verification Group typically includes OTC Endpoints from the hierarchy of the respective higher level organization.

The OTC Endpoint's policy is established during the set-up of an OTC Endpoint in the **MVD** system. Treasury OTC Support Center administers the set-up of all endpoints based on the agency's and the OTC Endpoint's ASP. Treasury OTC Support Center administers all edits or modifications to an OTC Endpoint, including the OTC Endpoint's policy.

Special Character Handling (when creating, searching or editing an MVD record)

Table 2. Special Character Handling

Special Character(s)	Handling
‘ _ - @ #	Valid if surrounded by alpha characters. *Exception*: The hyphen (dash) is only permitted for the fields associated with the MICR, Raw MICR, account number, routing number, and check number. The hyphen shall be permitted in the Batch ID field if surrounded by alphanumeric characters. The hyphen and/or underscore special characters shall be permitted in the I R N field in the Verification Query. The hyphen shall be permitted in the first configurable field of verification and CIRA records. Two consecutive hyphens are not allowed.
| $	Valid if surrounded by alpha or numeric characters.
. / : _	Allowed wherever a URL must be entered. The forward slash is also permitted for use in a date entry field. The period is also permitted for use in free text fields if the period is preceded by an alpha or numeric character. The amount field only accepts numeric characters and one period.
All Other Special Characters	If a character was not specifically mentioned, it is not permitted at all. Passwords are exempt from these special character handling rules.

Topic 2. Create a MVD Record

Agencies can add suspended, denied, or blocked records. This function is used to add *manual* records beyond the records automatically created from returned transactions. For example, your agency may know of individuals for which you do not want to accept checks. An agency has the option of adding a manual suspend record to prevent that check writer from cashing a check, from the current day through a defined 'suspend until' date. Agencies also have the option of adding a manually denied or blocked record, which denies the check writer from cashing a check indefinitely.

Once these records are added, transactions that match the information on the manual records display a pop-up message to the operator advising them of the suspend/blocked/denied record.

Manually added records are not handled the same as dynamically calculated records. The manual records are not used for calculations of the number of offenses against the check writer, nor do they count as another offense against the agency's policy.

If an item is identified as a red flag item, you have the ability to set an **MVD** Record's **Trade Status**. The Trade Status types include:

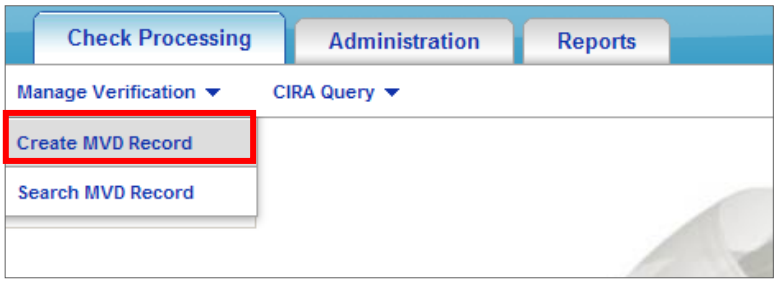
- **Suspend**: Indicates that an individual's record is set to a predetermined suspension period. During this time, the OTCnet system prevents an individual from cashing a check through OTCnet. The individual's database record has a Trade Status of **Suspend** and the expiration date is set until a specific date.
- **Denied:** Indicates that an individual's record is set to a permanent deny date of 9/09/2099. The OTCnet system permanently denies this person from cashing a check through OTCnet.
- **Blocked:** Indicates a manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

Adding a MVD Record

To add a MVD Record, complete the following steps:

1. Click the **Check Processing** tab. Select **Manage Verification** and click **Create MVD Record** (see Figure 3 below).

Figure 3. (Create MVD Record)

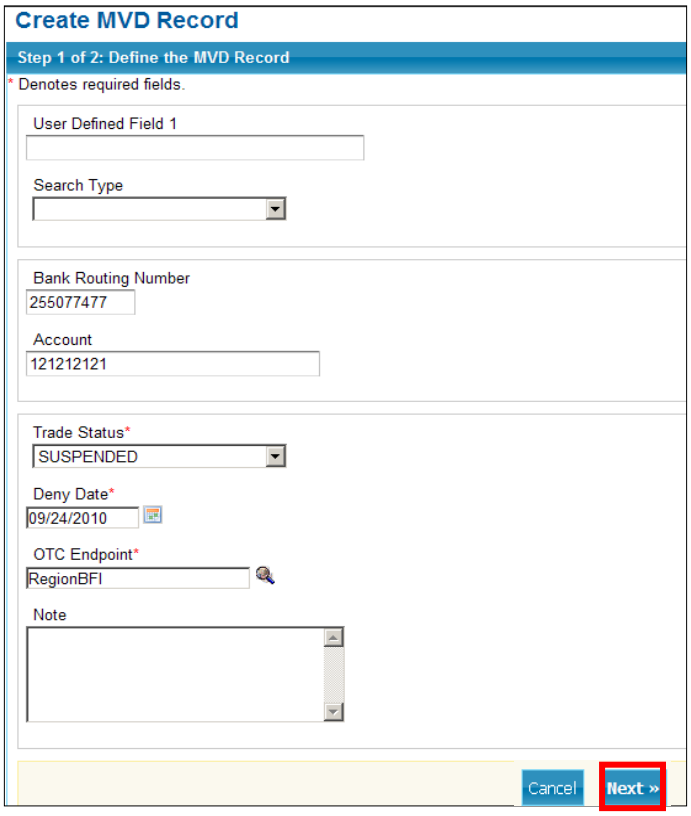


2. The *Step 1 of 2: Define the MVD Record* page appears. Enter the MVD details and click **Next** (see Figure 4 below).

   - Enter the **User Defined Field** details
   - Select the **Search Type**
   - Enter the **Bank Routing Number**, *required*
   - Enter the **Account** number
   - Select the **Trade Status**, *required*
   - Enter the **Deny Date**, *required*
   - Select the **OTC Endpoint**, *required*
   - Enter comments in the **Note**

   A trade status of **Blocked** or **Denied** automatically defaults to the **Deny Date** of 9/09/2099: the date cannot be modified. The **Deny Date** indicates the date when the suspension period ends. The **Deny Date** must be greater or equal to today's date.

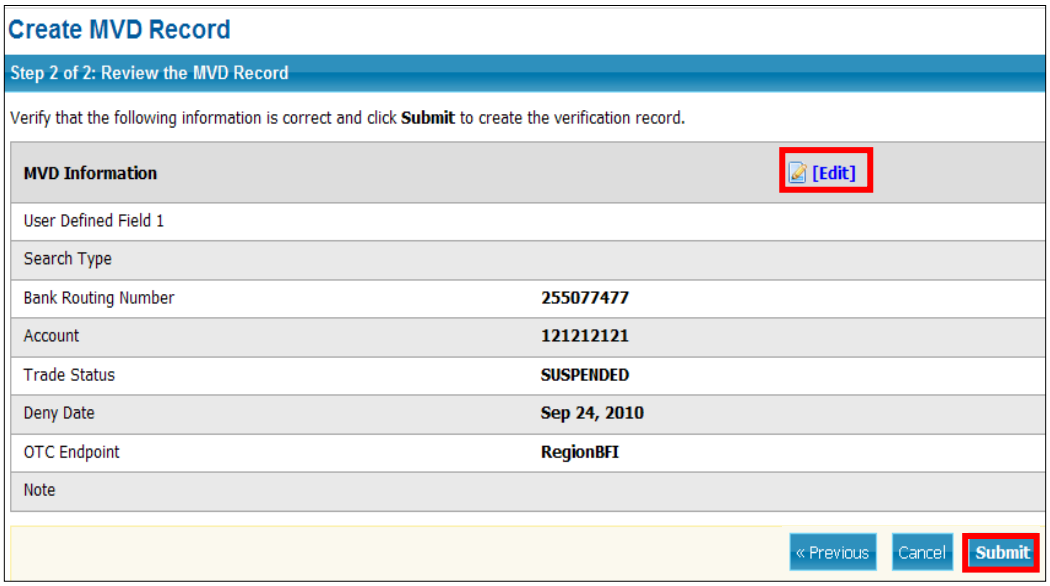
Figure 4. Define MVD Record



3. The *Step 2 of 2: Create MVD Record* page appears. Verify the information is correct and click **Submit** (see Figure 4 below). A confirmation appears, confirming that the **MVD** record is created.

   Note: Click **Edit**, if you need to modify the information entered and return to Step 3. (see Figure 5 below).

Figure 5: Review MVD Record



Create a MVD Record

To create a MVD Record, complete the following steps:

1. Click the **Check Processing** tab.

2. Select **Manage Verification** and click **Create MVD Record**. The *Step 1 of 2: Define the MVD Record* page appears.

3. Enter the MVD details and click **Next**.

   - Enter the **User Defined Field** details
   - Select the **Search Type**
   - Enter the **Bank Routing Number**, *required*
   - Enter the **Account** number
   - Select the **Trade Status**, *required*
   - Enter the **Deny Date**, *required*
   - Select the **OTC Endpoint**, *required*
   - Enter comments in the **Note**

Application Tip

A trade status of **Blocked** or **Denied** automatically defaults to the **Deny Date** of 9/09/2099 and the date cannot be modified.

Application Tip

The **Deny Date** indicates the date when the suspension period ends. The **Deny Date** must be greater or equals to today's date.

4. The *Step 2 of 2: Create MVD Record* page appears. Verify the information is correct and click **Submit**. Click **Edit**, if you need to modify the information entered and return to Step 3.

5. A *Confirmation* page appears stating that the MVD Record has been created.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Previous** to return to the previous page.
- Click **Return Home** to the OTCnet Home Page.

Topic 3. Search a MVD Record

If you are assigned the role of **MVD Editor** or **MVD Viewer**, you can search for **MVD** records. The **MVD** aids the agency in determining the history of a particular check writer. The verification database is an optional online database that maintains the agency hierarchy check cashing policy, dishonored check information, and manually entered blocked items based on an agency's policy.

Since the **MVD** can potentially contain thousands of records, the ability to clearly define a search results in better system results. You can search for data by OTC Endpoint, Individual Reference Number (IRN), and other search criteria. If you run a search without specifying any criteria other than **OTC Endpoint**, the search results include all records in the system that you have access to view. To limit a search, enter the search criteria (see Figure 6 below).

Figure 6. Search Results

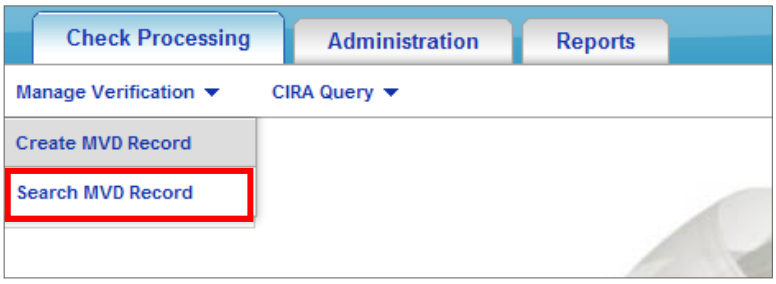
OTC Endpoint
Individual Reference Number (IRN)
User Defined Field
Search Type
Bank Routing Number
Account Number
Trade Status (Blocked, Denied, Suspended, Cleared, D-Suspended)
From and To MVD Date

Search a MVD Record

To search a MVD record, complete the following steps:

1. Click the **Check Processing** tab. Select **Manage Verification** and click **Search MVD Record** (see Figure 7 below).

Figure 7. Search MVD Record

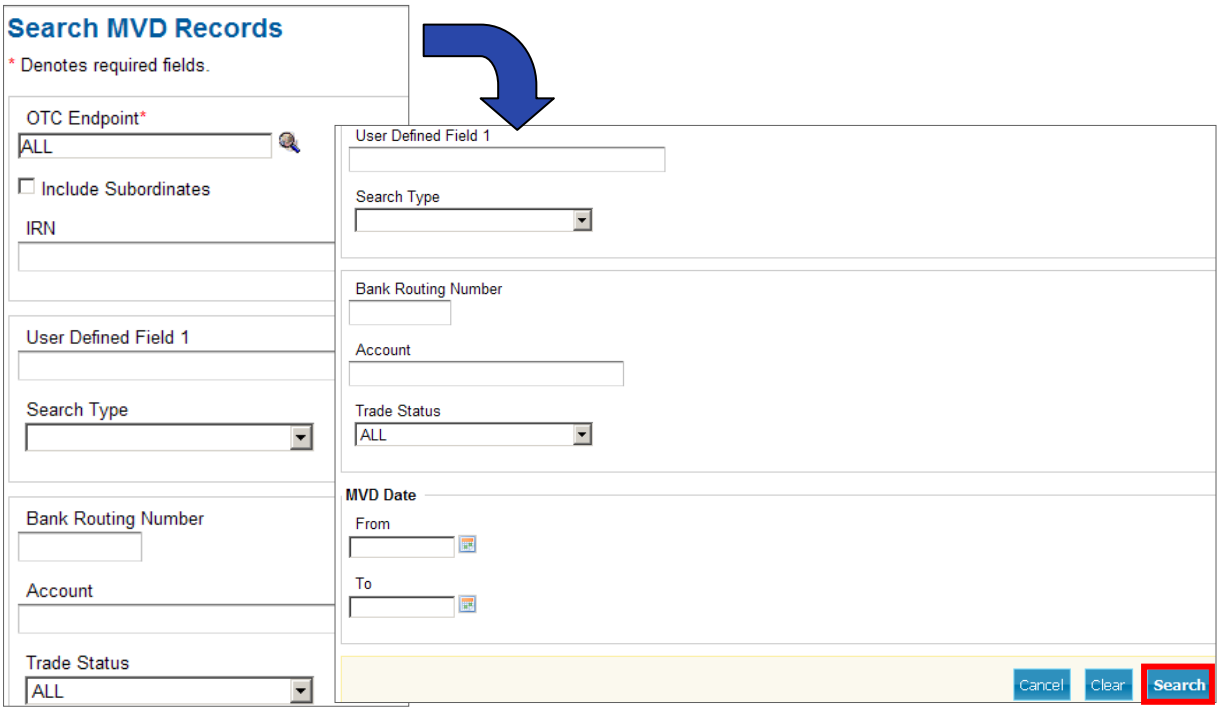


2. The *Step 1 of 4: Search MVD Record* page appears. Enter the MVD search criteria and click **Search** (see Figure 8 below).

   - Enter the **OTC Endpoint**, *required*
   - Check **Include Subordinates**
   - Enter the **IRN** (Individual Record Number)
   - Enter the **User Defined Field** information
   - Select the **Search Type**
   - Enter the **Bank Routing Number**
   - Enter the individual's **Account** number
   - Select the **Trade Status**
   - Enter the **From** and **To** MVD Date

   Note: The **From** and **To** MVD Date is the date that the returned record was created in the MVD.

Figure 8. Search MVD Records



3. The records appear in the table below. Click the **IRN** link of the check whose details you would like to view (see Figure 9 below).

Figure 9. MVD Records

-14 > >> of 14 Records Click the IRN number if you would like to view additional details.

IRN	User Defined Field 1	Search Type	OTC Endpoint	Bank Routing Number	Account	Amount	MVD Date	Trade Status	Deny Date
BLOCK-2			ALL	011000138		0	09/09/2099	BLOCKED	09/09/2099
BLOCK-301			ALL	044000011	1572	0		CLEARED	
BLOCK-343	123456789	SSN	ALL	026014193	123456879	0		CLEARED	
BLOCK-342	test	SSN	ALL			0		CLEARED	
BLOCK-387			ALL	041215508	100067	0	09/09/2099	BLOCKED	09/09/2099

4. The *Step 2 of 4: Review the MVD Record* page appears. Review the verification record details (see Figure 10 below).

   Note: Click **Edit**, if you need to edit the MVD record.

Figure 10. View MVD Record Page

View Verification Record

View MVD Record

Review the verification record details below and click **Edit** to modify the verification record.

MVD Detail Information	
IRN	BLOCK-387
User Defined Field 1	
Search Type	
Bank Routing Number	0412
Account	100067
Transaction Type	B
Modified Time	May 14, 2010
Amount	0
Capture Date	
OTC Endpoint	ALL
OTC Endpoint Description	All OTC Endpoints
MVD Date	Sep 9, 2099
Trade Status	BLOCKED
Deny Date	Sep 9, 2099
Occurrence	0
Return Reason Code	02
Return Reason Description	Account Closed
Note	test

« Previous Cancel Edit

Search a MVD Record

To search a MVD Record, complete the following steps:

1. Click the **Check Processing** tab.

2. Select **Manage Verification** and click **Search MVD Record**. The *Step 1 of 4: Search MVD Record* page appears.

3. Enter the MVD search criteria and click **Search**.

   - Enter the **OTC Endpoint**, *required*
   - Check **Include Subordinates**
   - Enter the **IRN** (Individual Record Number)
   - Enter the **User Defined Field** information
   - Select the **Search Type**
   - Enter the **Bank Routing Number**
   - Enter the individual's **Account** number
   - Select the **Trade Status**
   - Enter the **From** and **To** MVD Date

Application Tip

The **From** and **To** MVD Date is the date that the returned record was created in the MVD.

4. Click **Search** to initiate the search. The records appear in the table below.

5. Click the **IRN** link of the check whose details you would like to view. The *Step 2 of 4: Review the MVD Record* page appears.

6. Review the verification record details. Click **Edit**, if you need to edit the MVD record.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **CIRA Detail** to display CIRA details (Visible only if is a CIRA record exists.)
- Click **Edit** to update the MVD record.
- Click **Previous** to return to the previous page.
- Click **Return Home** to the OTCnet Home Page.

Topic 4. Edit a MVD Record

As a **MVD Editor**, you can edit **MVD** records. Before you can edit a **MVD** record, you must first search for the record. Once the record is located, you can edit or update the following for a verification record:

- Trade Status (Cleared, Suspended, Denied, Blocked)
- Deny Date
- Return Reason Code
- Note (reason for suspending, denying, or blocking)

You can also clear a record's **Trade Status**. A **Clear Trade Status** indicates that prior restrictions on the individual check payments are removed.

Edit a MVD Record

To edit a MVD Record, complete the following steps:

1. Click the **Check Processing** tab. Select **Manage Verification** and click **Search MVD Record** (refer to Figure 6 in the previous section).

2. The *Step 1 of 4: Search MVD Record* page appears. Enter the MVD search criteria and click **Search** (refer to Figure 7 in the previous section).

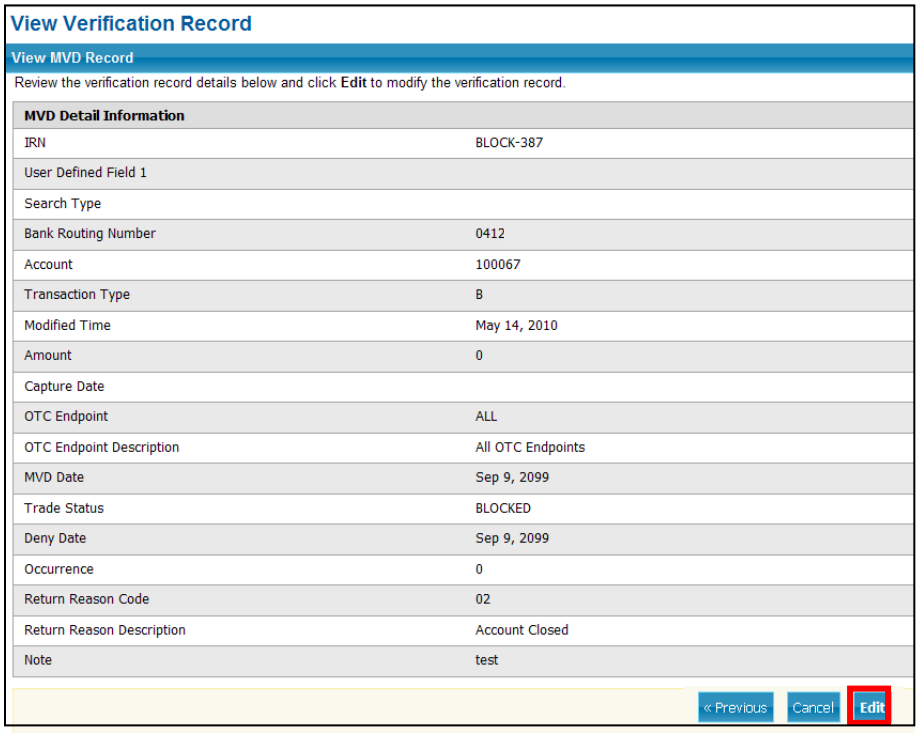
   - Enter the **OTC Endpoint***, required*
   - Check **Include Subordinates**
   - Enter the **IRN** (Individual Record Number)
   - Enter the **User Defined Field** information
   - Select the **Search Type**
   - Enter the **Bank Routing Number**
   - Enter the individual's **Account** number
   - Select the **Trade Status**
   - Enter the **From** and **To** MVD Date

   Note: The **From** and **To** MVD Date is the date that the returned record was created in the MVD.

3. The records appear in the table below. Click the **IRN** link of the check whose details you would like to view (refer to Figure 8 in the previous section).

4. The *Step 2 of 4: Review the MVD Record* page appears. Click Edit to edit the MVD record (see Figure 11 below).

Figure 11. View MVD Record Page



View Verification Record

View MVD Record

Review the verification record details below and click **Edit** to modify the verification record.

MVD Detail Information	
IRN	BLOCK-387
User Defined Field 1	
Search Type	
Bank Routing Number	0412
Account	100067
Transaction Type	B
Modified Time	May 14, 2010
Amount	0
Capture Date	
OTC Endpoint	ALL
OTC Endpoint Description	All OTC Endpoints
MVD Date	Sep 9, 2099
Trade Status	BLOCKED
Deny Date	Sep 9, 2099
Occurrence	0
Return Reason Code	02
Return Reason Description	Account Closed
Note	test

« Previous Cancel Edit

5. The Step 3 of 4: Edit the MVD Record page appears. Edit the appropriate details and click **Next** (see Figure 12 below).

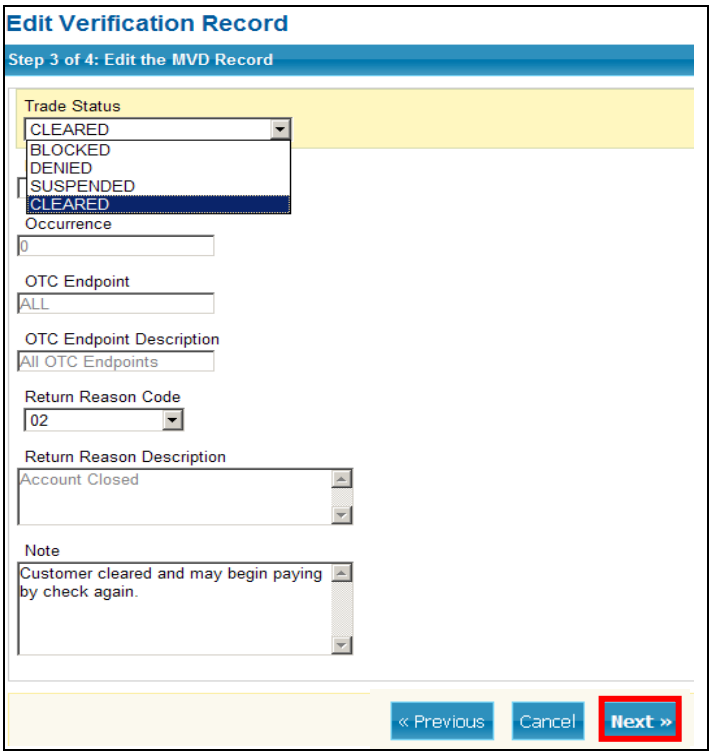
   - Select the **Trade Status**
   - Enter the **Deny Date**
   - Select a **Return Reason Code**
   - Enter a **Note** referencing the reason for suspending, denying, or blocking the record.

   Note: A **Cleared Trade Status** removes the **Deny Date** from the verification record and accepts the record into the system

   The **Deny Date** indicates the date when the suspension period ends. The **Deny Date** must be greater than or equal to today's date and is mandatory for a **Suspend Trade Status**. The **Deny Date** for a **Denied** and **Blocked** trade status defaults to 9/09/2099.

   The **Return Reason Description** is not editable and appears after a **Return Reason Code** is selected.

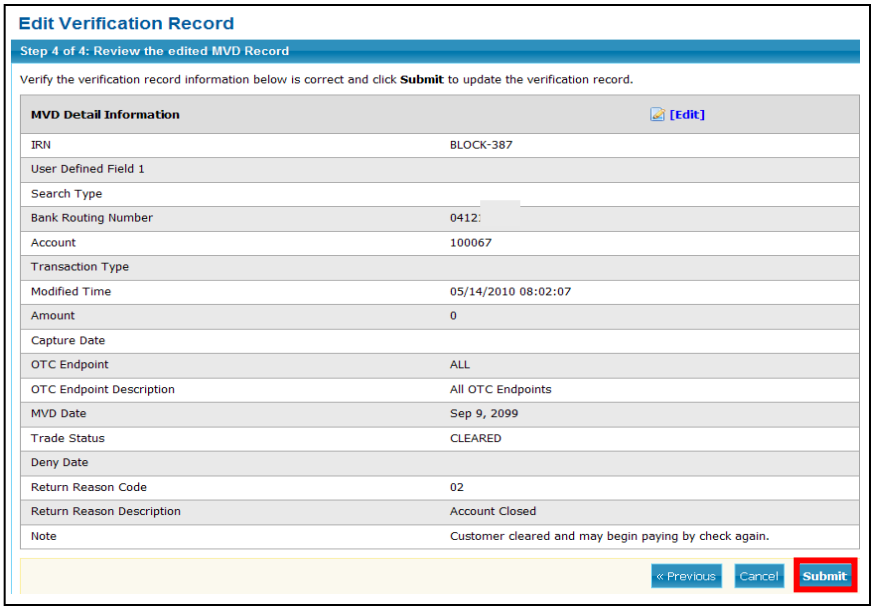
Figure 12. Edit Verification Record



6. The Step 4 of 4: Review the edited MVD Record. Verify the verification record information is correct and click **Submit** (see Figure 13 below) for the confirmation page to appear.

   Note: Click **Edit**, if you need to modify the information entered and return to Step 3.

Figure 13. Review Edited Record



Edit a MVD Record

To edit a MVD record, complete the following steps:

1. Click the **Check Processing** tab.

2. Select **Manage Verification** and click **Search MVD Record**. The *Step 1 of 4: Search MVD Record* page appears.

3. Enter the MVD search criteria and click **Search**.

   - Enter the **OTC Endpoint**, *required*
   - Check **Include Subordinates**, *optional*
   - Enter the **IRN** (Individual Record Number)
   - Enter the **User Defined Field** , *optional*
   - Select the **Search Type**, *optional*
   - Enter the **Bank Routing Number**, *optional*
   - Enter the individual's **Account** number, *optional*
   - Select the **Trade Status**, *optional*
   - Enter the **From** and **To** MVD Date, *optional*

> **Application Tip**
>
> The **From** and **To** MVD Date is the date that the returned record was created in the MVD.

4. Click **Search** to initiate the search. The records appear in the table below.

5. Click the **IRN** hyperlink of the check whose details you would like to view. The *Step 2 of 4: Review the MVD Record* page appears.

6. Click **Edit** to edit the MVD record. The *Step 3 of 4: Edit the MVD Record* page appears.

7. Edit the appropriate details and click **Next**.

   - Select the **Trade Status**

> **Application Tip**
>
> A **Cleared Trade Status** removes the **Deny Date** from the verification record and accepts the record into the system.

- Enter the **Deny Date**

Application Tip

The **Deny Date** indicates the date when the suspension period ends. The **Deny Date** must be greater or equals today's date and is mandatory for a **Suspend Trade Status**. The **Deny Date** for a **Denied** and **Blocked** trade status defaults to 9/09/2099.

- Select a **Return Reason Code**

Application Tip

The **Return Reason Description** is not editable and appears after a **Return Reason Code** is selected.

- Enter a **Note** referencing the reason for suspending, denying, or blocking the record.

8. The Step 4 of 4: Review the edited MVD Record. Verify the verification record information is correct and click **Submit**. Click **Edit**, if you need to modify the information entered and return to Step 3.

9. A *Confirmation* page appears stating that the MVD record has been updated.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **CIRA Detail** to display CIRA details. (Visible only if is a CIRA record exists.)
- Click **Edit** to update the MVD record.
- Click **Previous** to return to the previous page.
- Click **Return Home** to the OTCnet Home Page.

Topic 5. Download LVD

As a **Check Capture Administrator (CCA)** or **Check Capture Supervisor (CCS)** you are the only users that can download a Local Verification Database (LVD). Before you can download an LVD, you must log in using the OTCnet Offline icon on your terminal's desktop, or access your Start Menu under Programs, and enter your credentials. Internet connection is required to download LVD records from the **Master Verification Database (MVD)**

When the Download LVD function is used, all changes and new records are downloaded making the LVD current. If no previous LVD exists in the local database, a full LVD is downloaded to the Offline terminal. LVD Download can be configured to occur automatically at application startup or at batch close. Additionally, at the point of creating a batch in Check Scan, if the system detects an out of date LVD, the system will provide the option to the user to download/update the LVD at that time. Based on the override setting (the number of days the old LVD is allowed before an override is required from a **CCS**), the **Check Capture Lead Operator (CCLO)** or **Check Capture Operator (CCO),** is prompted to download an updated LVD. If the operator chooses to use the existing LVD without an update, the system requires a **CCS** to approve (override) by supplying their login and password each time the Check Capture application is launched. The default for LVD Download is set to execute on Close Batch.

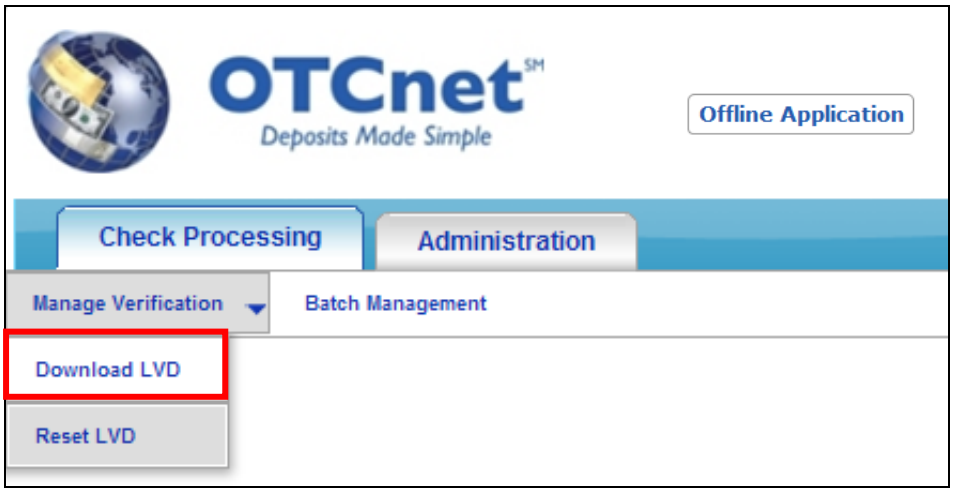
For more information refer to *Administration User Guide: Chapter 8: Setting Up and Configuring Check Capture Offline*, *Topic 7: Manage a Check Capture Terminal Offline*, or *Check Capture User Guide Chapter 7. Capturing and Managing Checks Offline*, *Topic 6: Local Verification Database (LVD) Record*.

Download LVD

To download the LVD, complete the following steps:

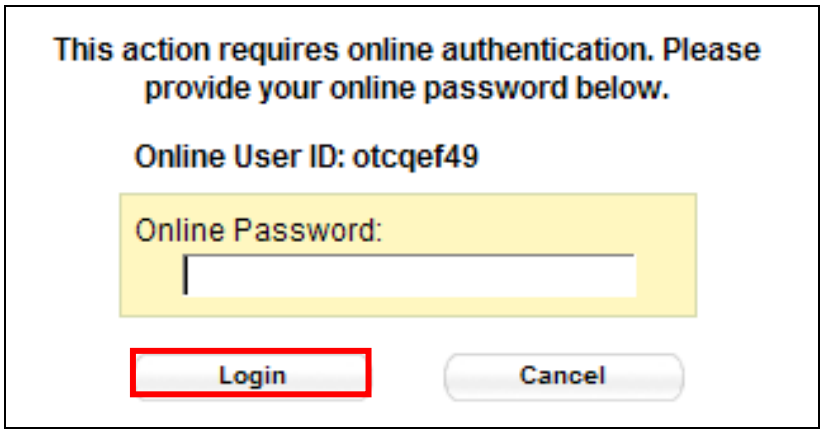
1. Click the **Check Processing** tab, select **Manage Verification** and then click **Download LVD**. The *Online Authentication* page appears (see Figure 14 below).

Figure 14. Download LVD



2. When an *Online Authentication* dialog box appears, insert the online password and click **Login** (see Figure 15 below).

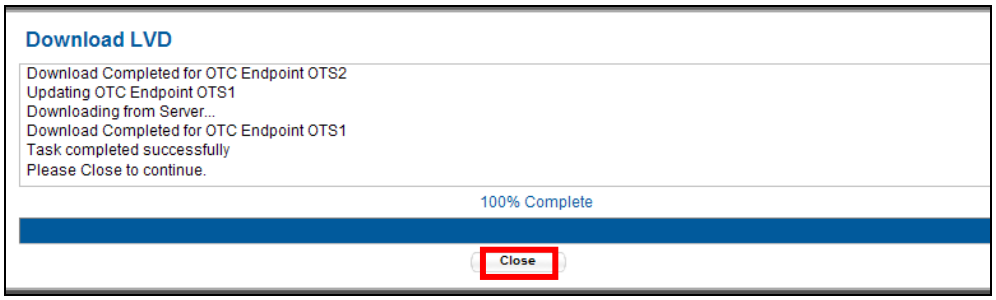
Figure 15. Online Password



Note: Before you can download an LVD you must log in using the **OTCnet Offline** icon on your terminal's desktop or access your Start Menu under Programs and enter your credentials. Internet connection is required to download LVD records from the Master Verification Database (MVD).

3. The Download LVD dialog box appears. Once the task has been successfully completed, click **Close**. (see Figure 16 below).

Figure 16. Download LVD



4. A Download LVD Confirmation page appears, verifying that the LVD download was successful (see Figures 17 below).

Figure 17. Download LVD Confirmation

Download LVD

Confirmation

Successfully updated Check Verification records for the following OTC Endpoints:

OTC Endpoint	ALC+2	Description	Last Update
OTS	2074000101	OFFICE OF THIRFT SUPERVISION	05/13/2011 12:50:18
OTSJF	0000810401	OTS JF	05/13/2011 12:50:19
OTSTrain	1314000111	Training Team	05/13/2011 12:50:22
OTSDDS	1401000601	DDS Testing	05/13/2011 12:50:23
OTCDDS2	1401000701	DDS Testing 2	05/13/2011 12:50:25
OTS2	1401999908	OTS2	05/13/2011 12:50:27
OTS1	1402000201	OTS1	05/13/2011 12:50:28

Failed update of Check Verification records for the following OTC Endpoints:

OTC Endpoint	ALC+2	Description	Last Update

Download an LVD

To download an LVD, complete the following steps:

1. Click the **Check Processing** tab.
2. Select **Manage Verification** and click **Download LVD**. The *Download LVD* page appears.

Application Tip

Before you can download an LVD you must log in using the **OTCnet Offline** icon on your terminal's desktop or access your Start Menu under Programs and enter your credentials. Internet connection is required to download LVD records from the Master Verification Database (MVD).

3. Click **Submit**. The *Download LVD* dialog box appears.

Application Tip

Wait until the display percent completion reaches 100% before clicking **Close**.

4. Click **Close**. A *Confirmation* page appears stating that the verification records have been updated.

Application Tip

Additional button on the page that help you perform other tasks:

- Click **Return Home** to the OTCnet Home Page.

Topic 6. Reset LVD

As a **Check Capture Administrator (CCA)** or **Check Capture Supervisor (CCS)**, you are the only users that can reset an LVD. Before you can reset an LVD, you must log in using the OTCnet Offline icon on your terminal's desktop, or access the Start Menu under Programs, and enter your credentials. Internet connection is not required to reset an LVD.

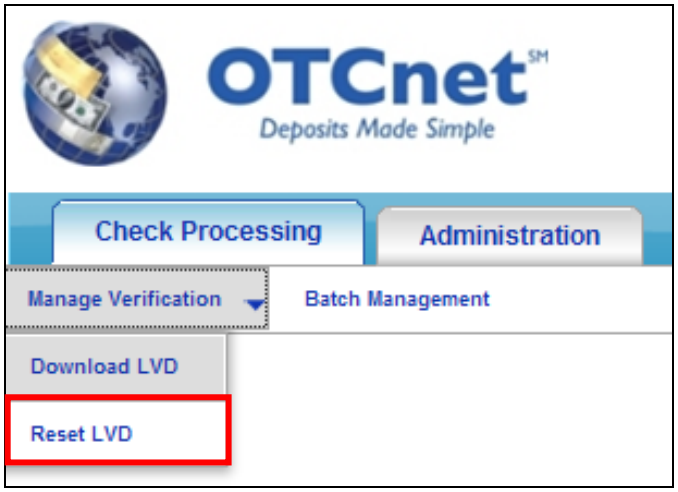
It is recommended that the Reset LVD function be used when there have been changes to an OTC Endpoint's check cashing policy. The Reset LVD function removes everything on the LVD in anticipation of a full replacement with new LVD Records (see Download LVD). If an LVD is reset without downloading the new LVD, the verification of the checks presented does not occur.

Reset LVD

To reset a LVD, complete the following steps:

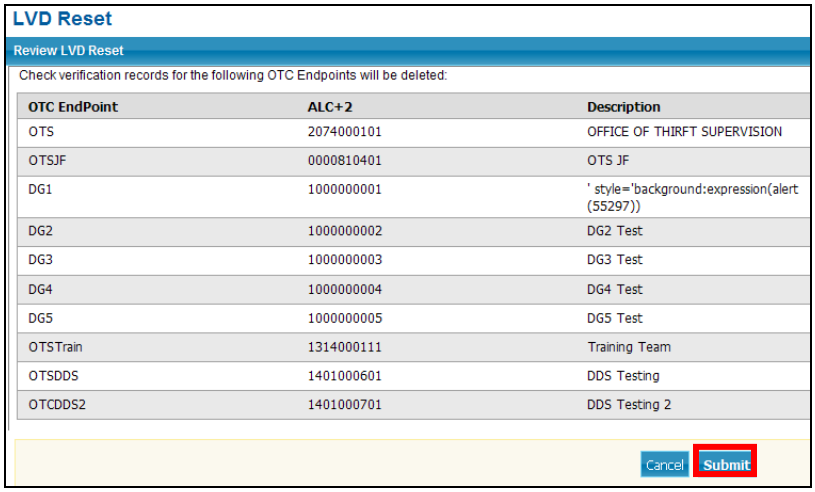
1. Click the **Check Processing** tab, select **Manage Verification,** and click **Reset LVD**. The *Review LVD Reset* page appears (see Figure 18 below).

Figure 18. Reset LVD



2. Click **Submit**. The *LVD Reset* dialog box appears (see Figure 19 below).

Figure 19. Review LVD Reset



LVD Reset

Review LVD Reset

Check verification records for the following OTC Endpoints will be deleted:

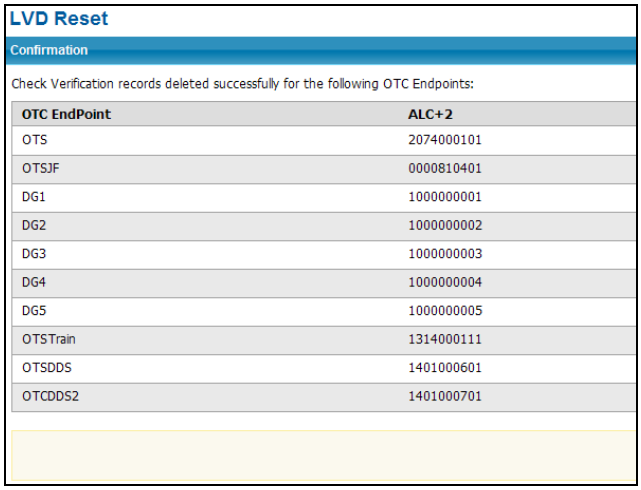
OTC EndPoint	ALC+2	Description
OTS	2074000101	OFFICE OF THIRFT SUPERVISION
OTSJF	0000810401	OTS JF
DG1	1000000001	' style='background:expression(alert (55297))
DG2	1000000002	DG2 Test
DG3	1000000003	DG3 Test
DG4	1000000004	DG4 Test
DG5	1000000005	DG5 Test
OTSTrain	1314000111	Training Team
OTSDDS	1401000601	DDS Testing
OTCDDS2	1401000701	DDS Testing 2

Cancel Submit

Note: Before you can reset an LVD you must log in using the **OTCnet Offline** icon on your terminal's desktop or access your Start Menu under Programs and enter your credentials. Internet connection is not required to reset an LVD.

3. Click **Submit**. A *Confirmation* page appears stating that the verification records have been deleted (see Figure 20 below).

Figure 20. LVD Reset Confirmation



LVD Reset

Confirmation

Check Verification records deleted successfully for the following OTC Endpoints:

OTC EndPoint	ALC+2
OTS	2074000101
OTSJF	0000810401
DG1	1000000001
DG2	1000000002
DG3	1000000003
DG4	1000000004
DG5	1000000005
OTSTrain	1314000111
OTSDDS	1401000601
OTCDDS2	1401000701

Reset an LVD

To reset an LVD, complete the following steps:

1. Click the **Check Processing** tab.
2. Select **Manage Verification** and click **Reset LVD**. The *Review LVD Reset* page appears.

Application Tip

The **Reset LVD** function removes everything on the LVD in anticipation of a full replacement with new LVD records. If an LVD is reset without downloading the new LVD, the verification of the checks presented does not occur.

Application Tip

Before you can reset an LVD you must log in using the **OTCnet Offline** icon on your terminal's desktop or access your Start Menu under Programs and enter your credentials. Internet connection is not required to reset an LVD.

3. Click **Submit**. The *LVD Reset* dialog box appears.
4. Click **Submit**. A *Confirmation* page appears stating that the verification records have been deleted.

Application Tip

Additional button on the page that help you perform other tasks:

- Click **Return Home** to the OTCnet Home Page.

Summary

In this chapter, you learned:

- The purpose of managing verification records
- How to create a master verification database (MVD) record
- How to search for a master verification database record
- How to edit a master verification database record
- How to download an LVD record
- How to reset an LVD record

In the next chapter, you will learn how to report on scanned checks or, use OTCnet offline if applicable.

Notes

Index

Blocked..... 2, 3, 7, 8, 10, 15, 16, 19
Denied 7, 8, 10, 15, 16, 19
Deny Date 8, 10, 15, 16, 18, 19
Master Verification Database 2
MVD . 1, 2, 3, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 27
MVD Editor.....1, 2, 11, 15
MVD Viewer 1, 2, 11
OTC Verification Group 3, 5
Return Reason Code 15, 16, 19
Suspend.....7, 16, 19
Trade Status 2, 7, 8, 10, 12, 14, 15, 16, 18, 19

OTCnet℠

Deposits Made Simple

Chapter 7: Capturing and Managing Checks Offline

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Topics 1
Topic 1. Purpose of Capturing and Managing Checks Offline 3
Topic 2. Capture a Check Offline 5
Introduction to Capturing a Check 5
Types of Acceptable and Unacceptable Checks 6
Processing Modes 7
Processing Methods 8
Item Types 8
Check Scanner Types and Check Placement 9
Check Capture Acceptance 11
Scan a Check Offline 12
Topic 3. Manage Poor Check Image Quality 27
Manage a Check with Poor Image Quality 28
Topic 4. Resolve a Duplicate Check 31
Resolve a Duplicate Check 32
Topic 5. Void a Check 36
Void a Check 37
Topic 6. Local Verification Database (LVD) Record 48
Blocked Check Notification 48
Suspended or D-Denied Check Notification 48
Override a LVD Record 49
Topic 7. Perform Batch Control and Batch Balancing 53
Batch Control Options 54
Batch Balancing 60
Topic 8. View and Print a Batch List/ Item Detail Report 62
Batch List Report 62
Item Detail Report 67
Topic 9. Activate/Deactivate a Batch 75
Activating/ Deactivating 75
Topic 10. Close a Batch 82
Closing a Single Batch 83
Close Multiple Batches 89
Topic 11. Approve a Batch 99
Approve a Single Batch 99
Approve Multiple Batches 109
Topic 12. Upload a Batch 117
Topic 13. Acknowledge a Batch 121
Topic 14. Print a Receipt 125
Receipt Printing from Check Scan (Singe/Batch Mode) 125
Receipt Printing from Batch Management (Singe/Batch Mode) 126
Summary 134
Glossary 135
Index 149

LIST OF TABLES

Table 1. Check Capture/Processing and Batch Permission Matrix 4
Table 2. Scanner Types 9
Table 3. Scan Controls Menu 17
Table 4. Batch Status Types 82

LIST OF FIGURES

Figure 1. EC5000i 10
Figure 2. EC6000i and EC7000i 10
Figure 3. Panini Scanner 11
Figure 4. Check Processing> Check Scan 12
Figure 5. Click Scan- Select Batch Page 13
Figure 6: Agency Form Data Entry Fields 14
Figure 7. FedACH and Check 21 Item Types 15
Figure 8. Start Scan 16
Figure 9. Waiting for Check Image 16
Figure 10. Scanner Check Image (Sample Images) 17
Figure 11. Agency Form Data 19
Figure 12. Scanner Config Menu Option 20
Figure 13. Transaction Saved Successfully 20
Figure 14. Poor Image Quality 27
Figure 15. Good Image Quality 28
Figure 16. Image Quality Failed Message 28
Figure 17. Login Dialog Box 29
Figure 18. Check Scan- Perform Check Scan Page 29
Figure 19. Duplicate Check Detected 32
Figure 20.Cancel a Check Dialog Box 33
Figure 21. Accept Duplicate Prompt 33
Figure 22. Check Scanning Proceeds (print receipt as necessary) 34
Figure 23. Batch Management (Voiding) 37
Figure 24. Search Batch Page 38
Figure 25. View Batches Page (Voiding) 39
Figure 26. View Checks Page (Voiding) 40
Figure 27. Check Image/ Details 41
Figure 28. Void Confirmation Dialog Box 42
Figure 29. Enter Comment Dialog Box 43
Figure 30. Check Void Dialog Box 44
Figure 31. Override Check Denial Box 49
Figure 32. Override Login Dialog Box 50
Figure 33. Enter Comments Box 50
Figure 34. Batch Control Page (Batch Create) 54
Figure 35. Perform Check Scan Page (after Batch Control) 55
Figure 36. Batch Control Page (Batch Close) 56
Figure 37. Close Batch Page (Batch Close) 57
Figure 38. Print Batch List Report (Batch Close) 57
Figure 39. Batch Balancing Screen (Failed to Balance) 60
Figure 40. Check Batch Management (View Batch) 62

Figure 41. Search Batch Page (View Batch) 63
Figure 42. View Batches Page (View Batch) 65
Figure 43. View Checks Page (View Batch) 65
Figure 44. Batch List Report Page 66
Figure 45. Summary of Batches 68
Figure 46. View Checks Page/ Item ID Select 69
Figure 47. Item Detail Report 70
Figure 48. Batch Management (Activate/Deactivate) 75
Figure 49. Search Batch Page (Activate/Deactivate) 76
Figure 50. View Batches Page (Activate/Deactivate) 77
Figure 51. Activate/ Deactivate Batch Page 77
Figure 52. Batch Activate/ Activate Confirmation 78
Figure 53. Check Processing > Batch Management (Closing Single Batch) 83
Figure 54. Search Batch Page (Closing Single Batch) 84
Figure 55. View Batches Page (Closing Single Batch) 85
Figure 56. View Checks Page (Closing Single Batch) 85
Figure 57. Select to Close Batch 86
Figure 58. Confirm Close Batch 86
Figure 59. Batch Control 87
Figure 60. Print PDF Report/Confirm Report Print 88
Figure 61. Close Batch Confirmation 88
Figure 62. View Batches Page (Closing Multiple Batches) 90
Figure 63. Close Batch Confirmation (Closing Multiple Batches) 90
Figure 64. Batch Control Setup (Closing Multiple Batches) 91
Figure 65. Confirm Report Print (Closing Multiple) 92
Figure 66. Close Batch Confirmation (Closing Multiple) 92
Figure 67. Check Processing>Batch Management (Approving Single) 99
Figure 68. Search Batch Page (Approve Single) 101
Figure 69. View Batches Page (Approve Single) 101
Figure 70. View Checks Page (Approve Single) 102
Figure 71. View Batches (Approve Single) 103
Figure 72. Confirm Batches to Approve (Approve Single) 103
Figure 73. Confirm Report Print To Approve (Approve Single) 104
Figure 74. Approve Batch Page (Approve Single) 104
Figure 75. Batch Management (Approve Multiple Batches) 109
Figure 76. Search Batches (Approve Multiple Batches) 110
Figure 77. View Batches Page (Approve Multiple) 111
Figure 78. View Batches (Approve Multiple) 111
Figure 79. Confirm Batches (Approve Multiple) 112
Figure 80. Confirm Report to Approve (Approve Multiple) 112
Figure 81. Approve Batch Confirmation (Approve Multiple) 113
Figure 82. Upload Batch 118
Figure 83. Upload Batch – Summary of Batches 118
Figure 84. Upload Batch – Review Batches to Upload 119
Figure 85. Batch Upload Task Completed Successfully 119
Figure 86. Upload Batch Confirmation 119
Figure 87. Acknowledge Batch 121
Figure 88. Select Batches to Acknowledge 122
Figure 89. Review the Batch (es) to be Acknowledged 122

Figure 90. Activate/Deactivate Batch 122
Figure 91. Acknowledge Batch Confirmation.....123
Figure 92. Receipt Print Image (Scan Check) 125
Figure 93. Print Receipt 126
Figure 94. Batch Management (Receipt).....126
Figure 95. Search Batch (Receipt) 127
Figure 96. View Batches (Receipt).....129
Figure 97. View Checks Page (Receipt).....130
Figure 98. Print Receipt 130

Audience, Overview and Topics

Audience

The intended audience for the *Capturing and Managing Checks Offline Participant User Guide* includes:

- Check Capture Operator (Batch Approver/ Batch Uploader)
- Check Capture Lead Operator (Batch Approver/ Batch Uploader)
- Check Capture Supervisor

Overview

Welcome to *Capturing and Managing Checks Offline*. In this chapter, you will learn:

- The purpose of capturing and managing checks offline
- How to capture a check offline
- How to manage failed image quality
- How to resolve a duplicate check
- How to void a check
- How to verify a Local Verification Record (LVD)
- How to perform batch control and batch balancing
- How to view and print a batch list / item
- How to activate/deactivate a batch
- How to close a batch
- How to approve a batch
- How to upload a batch
- How to acknowledge a batch
- How to print a receipt

Topics

This chapter is organized by the following topics:

1. Purpose of Capturing and Managing Checks Offline
2. Capture a Check Offline
3. Manage Failed Image Quality
4. Resolve a Duplicate Check
5. Void a Check
6. Local Verification Record (LVD)
7. Perform Batch Control and Batch Balancing
8. View and Print a Batch List / Item
9. Activate/ Deactivate a Batch
10. Close and Batch
11. Approve a Batch
12. Upload a Batch
13. Acknowledge a Batch
14. Print a receipt

Topic 1. Purpose of Capturing and Managing Checks Offline

The Check Processing functionality is primarily used to capture images of a check along with transaction data. There are two components under this tab within OTCnet. They include the **Scan Check** and **Batch Management** functionality. Once the images and data are collected under **Scan Check**, a user may access **Batch Management** to perform certain tasks prior to forwarding the batch for settlement.

During check scanning, you may opt to use the **Batch Control** functionality which allows you to balance your batch. If this option is configured to be optional or mandatory for your Agency, the *Batch Control* page appears during the processing of the check.

If you are assigned the role of **Check Capture Operator (CCO)** or **Check Capture Lead Operator (CCLO)**, you are the only authorized users who can capture a check.

As a **CCO**, you can scan checks into a Batch, change Processing Method (Customer Present/ Customer Not Present), change an Accounting Code, change Item Type (Personal / Non-Personal checks), close a batch, and view a batch list.

As a **CCLO**, you can do the above, as well as balance batch and enter batch control values (total check count and total amount). However, a CCLO cannot accept duplicates, make MICR codeline corrections or accept checks with poor quality without approval without Check Capture Supervisor (CCS) approval (see Table 1 below for details).

As a **Batch Approver**, you have the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a **Check Capture Lead Operator (CCLO)** or **Check Capture Operator (CCO)** roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

As a **Batch Uploader**, you have the authorization to upload a batch from OTCnet Offline to the online database. The **Batch Uploader** permission must be applied to either a **Check Capture Lead Operator (CCLO)** or **Check Capture Operator (CCO)** role and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

Table 1. Check Capture/Processing and Batch Permission Matrix

Task	Check Capture Operator (CCO)	Check Capture Lead Operator (CCLO)	Check Capture Supervisor (CCS)
Scan checks into a batch	•	•	
Change Processing Method (Customer Present / Customer Not Present/ Back Office/)	•	•	
Change Accounting Codes	•	•	•
Change Item Type (Personal/ Non-Personal checks)	•	•	
Make MICR codeline corrections			•
Accept checks with poor image quality			•
View a batch list	•	•	•
Balance batch amount (total check count and total amount)		•	•
Enter batch control values during batch closing		•	•
Close a batch	•	•	•
Approve a batch	•[1]	•[1]	•
Upload a batch	•[2]	•[2]	•
Acknowledge a batch	•[2]	•[2]	•
Edit a batch		•	•
Activate/ Deactivate a batch			•
Void a check			•

[1]= requires additional Batch Approver permission [2]= requires additional Batch Uploader permission

Topic 2. Capture a Check Offline

Introduction to Capturing a Check

As a **Check Capture Operator (CCO)** or **Check Capture Lead Operator (CCLO)**, you can capture a check in two modes, single or batch check mode. Once a **Check Capture Administrator (CCA)** sets up your **Terminal Configuration** settings you are able to scan a check in **Single** or **Batch** check mode. There are many other settings that your **Check Capture Administer (CCA)** may have also instituted for your location. Many of which will be visible as you begin the check scanning process, as we will review in this Topic for *Capture a Check Offline*.

Logical Processing Order for Scanning a Check

When creating a batch it is important that the proper steps be taken to ensure that the batch reaches our system. Below is an outline of the logistic steps involved in creating a batch:

Batch Control – This function may or may not appear, based on the computer's configuration settings. If used, key in total dollar amount of checks and the total number of checks to be scanned. This function can be setup in the configuration as disabled, optional, or mandatory by the **Check Capture Administrator (CCA)**. If this option is disabled, the Batch control screen does not appear. If optional, the Batch control screen can be skipped.

If mandatory at Batch Create or Batch Close only, the user must enter the Batch Control values. However, if a user selects to set Batch Control value at both Batch Create and Batch Close, then it can only be deferred at the beginning of the batch. Batch control is required prior to closing a batch in this case.

Scan the check (or checks if processing in batch mode).

Key in amount, configurable field data, and select accounting code information for each check, if accounting codes are set up.

Cancel transactions while performing data entry, used only if necessary, i.e., image of the check is not legible.

Print the receipt – Just after the item information is keyed into the data entry screen, press 'Enter', then click the **Receipt** button to print a receipt of the item or items.

Void items – Used to delete invalid items only if necessary, prior to closing a batch if a **Check Capture Supervisor** is available to authorize the void. Once data entry has been performed and the **Enter** key is pressed on a user's keyboard, the item can no longer be cancelled and must be voided.

Print the Batch list – A printout of the batch listing must be done prior to closing a batch.

Pre-balance – Use the batch list that was just printed to reconcile all activity for this batch of work. If reconciling with cash drawers, count and reconcile to ensure activity is accurate.

Batch Balancing – This screen only appears if the totals that are keyed into the Batch Control screen do not match with what was actually keyed into the data entry screen, or if the number of checks scanned does not match the number keyed into the Batch Control screen.

Close – Closes the batch from further checks and prepared the batch for processing.

Approve - Indicates that the batch is ready for the settlement process. Once the batch is approved the batch status then becomes **Sent**.

Upload – Indicated that the batch(es) selected in the Batch Upload menu in OTCnet Offline have been successfully to the OTCnet Online server.

Acknowledge – Indicates the batch was transmitted and fully processed by the OTCnet Online server, without error.

An Agency may have multiple **OTC Endpoints** to process checks for. Each **OTC Endpoint** is unique and batches can include items for multiple **OTC Endpoints**, however during the configuration set up, one **OTC Endpoint** is chosen to be the default. The default **OTC Endpoint** appears each time the **Check Capture Operator** or **Check Capture Lead Operator** begins the scanning process. However, they may select an alternate **OTC Endpoint** before scanning begins.

Types of Acceptable and Unacceptable Checks

Checks that CAN be processed through OTCnet's Check Processing Functionality

All of the items listed below can be processed through OTCnet's Check Processing Functionality.

These following check items should be processed as **Non-personal**:

- US Treasury Checks
- Traveler's Checks
- Money Orders (including Postal Money Orders)
- Third-party Checks (even if drawn on a personal account)
- State and Local Government Checks
- Credit card Checks
- 'Do not ACH' Checks
- Official Checks
- Business Checks
- Cashier's Checks
- Other US Government Checks
- Payroll Checks

Note: If a customer chooses to 'opt out' and does not want their checks to be processed via ACH, that customer's personal check should be processed as a non-personal item. This will allow the check to clear their financial institution as a Check 21 item.

The following item(s) should be processed as **Personal** check Items:

- Personal/Consumer Checks

List of Items that CANNOT be Processed through OTCnet's Check Processing Functionality

The following ineligible item(s) cannot be processed using OTCnet's Check Processing functionality and may need to be processed through the **Deposit Processing** tab within OTCnet instead:

- Foreign items drawn on non-US Financial Institutions
- Check payable in non-US currency

Note: Apply any necessary stamps in a location that does not interfere with the dollar amount, financial institution information, or the signature. Since these items are not deposited at your bank, there is no need to stamp "For Deposit Only" on the back of the check. FRB-Cleveland becomes the bank of first deposit for all OTCnet's Check Processing items scanned and forwarded for settlement.

Processing Modes

Single vs. Batch Processing Mode

Agencies can choose to process their checks in one of two processing modes. The **Single** check mode allows checks to be processed one at a time, and **Batch** processing mode allows for batches of checks to be scanned prior to data entry. The **Batch** mode processing only works with the EC7000i scanners and the Panini scanners.

When scanning in **Batch Processing Mode**, ensure that the entire check image is visible on the screen and the dollar amount must be legible (a check may successfully scan even though the item was folded going into the device). If the image is not legible, click **Cancel** under **Scanner Controls** and re-scan the check.

A best practice approach while scanning in Batch mode is to scan a smaller quantity of items. For example, instead of scanning 150 items, scan 75. Then perform the data input. Scan the second group of 75 and perform the data input. Using the keyboard after the 75 items are scanned may eliminate the system inactivity logout during batch processing. Because the keyboard and mouse are typically not touched during the scanning process, the system interprets this as inactivity and an auto logout takes place. To avoid this situation, move the mouse every so often to simulate system activity during the scanning process. The default setting is 15 minutes so the operator should move the mouse every 10 minutes or so to keep the system active.

Note: The maximum number of items that should be included in one batch is 6,000 items, and the maximum dollar amount per batch is $9,999,999,999.99. The max number of items is also limited by the TIFF file.

All processing method types can exist within a batch, although usually Back Office processing types would be processed independently of other types. Not all agencies utilize all modes. Furthermore, a site may choose not to use all modes every day, due to fluctuation in check volume.

Processing Methods

Operators are able to choose the **Processing Method** to which they would like to scan checks. This option indicates the mode of operation. They include **Customer Present**, **Customer Not Present**, or **Back Office**.

The **Customer Present** method is used when the person is present, i.e., standing in front the operator with their check. The **Customer Not Present** method is used when the writer of the check is not present, i.e. when checks are received through the mail as payments.

The **Back Office** processing method allows Agencies to convert payments received at the point-of-sale locations to ACH entries in a controlled, back-office environment.

The default is to allow all Processing Methods and Item Types but restrictions can be setup to allow only the **Back Office** processing method or **Non-personal** items only. Operators need to make certain that they are selecting the proper choices for each item to avoid returned payments from the check writer's financial institution.

Before scanning, checks should be pre-sorted by **Customer present**, **Customer Not Present**, and **Back Office** prior to scanning. All processing method types can exist within a batch, although usually back offices processing types would be processed independently of other types. Not all agencies utilize all methods. Furthermore, your site may choose not to use all methods every day, due to fluctuation in check volume scanning a check.

Item Types

Before or after the check is scanned in Single mode, the user must choose the Item Type. For Batch mode scanning, a user cannot manually select **Personal** or **Non Personal**, the system will use the default (previously established in the configurations). During the scanning process, if the system detects an Item Type other than the established default, it will prompt the user for confirmation.

The choices are **Personal** or **Non Personal**. This indicates the type of item to be processed. When the operator clicks **Personal**, the Agency Form data entry screen displays, *Check: Personal*.

If the operator clicks **Non Personal**, the Agency Form data entry screen displays, *Check: Non Personal*. OTCnet can process both personal and non personal checks within a batch. The operator needs to make certain that they are selecting the proper choices for each item. Presort all items into two groups (Personal and Non Personal) prior to scanning to avoid the pop-up

message indicating that it detected a different item type for the check. While most business checks are typically larger in size, business checks can look the same as personal checks.

Using OTCnet's **Terminal Configuration** functionality, authorized users can limit the Item Type to Non Personal only. When **Non Personal Only** is chosen under **Terminal Configuration**, the Item Type **Personal** is no longer available for the operator to choose from the drop-down options. This can be set up for Agencies who never process personal checks. For more information, please reach to your **Check Capture Administrator** or the Configuring Check Capture Participant User Guide.

Accounting Codes

By default, the Agency Accounting Code drop-down field displays a blank value.

The same accounting code is displayed after it is selected for the first time. The selected accounting code is "sticky" (remains the same) between transactions, between batches within the same check scanning session, and between next user login.

Accounting Codes are available for selection in the drop-down field if they are mapped or inherited from the higher level OTC Endpoint. Additionally, accounting codes that have been designated as Treasury Account Symbols (TAS) by the Agency are displayed in the drop-down field if they have been validated by Shared Accounting Module (SAM).

The Agency Accounting Codes drop-down list displays the full Agency Accounting Code value (up to 50 alphanumeric characters) and some portion of the Description (up to 15 alphanumeric characters).

If an OTC Endpoint is associated with an ALC that is designated as a Government-Wide Accounting (GWA) Reporter, all check transactions must be classified with an accounting code. If no accounting codes are available for selection, and the Agency is a GWA Reporter, an operator cannot scan a check.

If an ALC is not a GWA Reporter, classifying it with an accounting code is optional. If no accounting codes are available for selection, an operator can still scan a check without the accounting code until it becomes mandatory reporting requirement for Government Wide Accounting in 2014.

Check Scanner Types and Check Placement

You Agency may scan checks using one of four scanner types (see Table 2 below). Some scanners are designed to scan only in Batch mode, whereas others may only scan in Single mode. However, there are two scanner types that can scan checks in both modes.

Table 2. Scanner Types

EC7000i	This scanner will automatically scan both sides of a check and can scan in single or batch method (two or more checks in a batch)
EC6000i	This scanner will prompt you to scan the back side of a check and scans only in single method
EC5000i	This scanner will prompt you to scan both sides of a check and can scan only in single method
Panini MyVision X	This scanner will automatically scan both sides of a check and can scan in single or batch method (two or more checks in a batch)

EC5000i Scanner

Place the check in the left slot, with the MICR line of the check aligned on the bottom. The front of the check should face right (as shown in Figure 1 below).

Figure 1. EC5000i

EC6000i and EC7000i Scanner

Place the check in the scanner with the MICR line of the check aligned with the right side of the scanner (shown in Figure 2 below). Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed. The scanner automatically pulls the check through to begin the scan.

Figure 2. EC6000i and EC7000i

Note: With the EC7000i scanner, both the front and the back of the check are scanned automatically. For additional scanning information or troubleshooting using an EC6000i / EC7000i scanners, reference Troubleshooting or RDM Participant User Guides. For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the RDM scanner chapter(s)

Panini Scanner

A user needs to ensure that the check or checks are already in the hopper of the scanner, front of the checks facing (as shown in Figure 3 below). The first green light on the scanner begins to flash (if applicable).

Once the hopper is empty, the *Hopper Empty* message appears; the user can add more checks to the hopper then click **Yes** to continue adding items to the batch. Or click **No** if there are no more checks to scan. When **No** is clicked, the system switches to the data entry phase and the first check that was scanned appears on the screen.

Figure 3. Panini Scanner

Note: Use caution when clicking the **Stop** button during batch mode processing. Pressing too quickly (before the scanner has a chance to catch up to the system) may cause the loss of the last transaction.

For additional information regarding scanners, keypads or franking, you can access any of the Participant User Guide Chapters below:

- *Chapter 9. Troubleshooting (for scanner/ imaging issues)*
- *Chapter 11. RDM Scanner Appendix*
- *Chapter 12. Panini Scanner Appendix*

Check Capture Acceptance

Once a user has successfully logged in to OTCnet Offline, selected the appropriate **OTC Endpoint** to scan a batch to, chosen the correct processing method and Item Type, the next step is to scan the check.

Click the **Start Scan** under **Scan Controls** options (scanner light may turn green depending on the type of scanner you have indicating that the scanner is ready to accept a check). Scan the check and click **Save** under **Scan Controls** options (see Figures 4- 11 below). The bottom of the *Agency Form* entry screen displays *Scan front of Check*.

Note: A Batch Control screen may appear, based on the Agency's configuration settings.

Scan a Check Offline

To scan a check, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Check Scan**

Figure 4. Check Processing> Check Scan

The *Check Scan-Select Open Batch* page appears.

Under **Select Open Batch,**

- Click **Select** for the *OTCnet Endpoint* for which you want to scan a check(s)

Note: If there is internet connectivity and the terminal's **Local Verification Database (LVD)** is out of date, a message appears asking, "The Check Verification Database is out of date, would you like to update the database now?"

If **Yes** is clicked, the **Download LVD** task initiates and the latest copy of the LVD downloads to the terminal. After the download is complete, click **Close**.

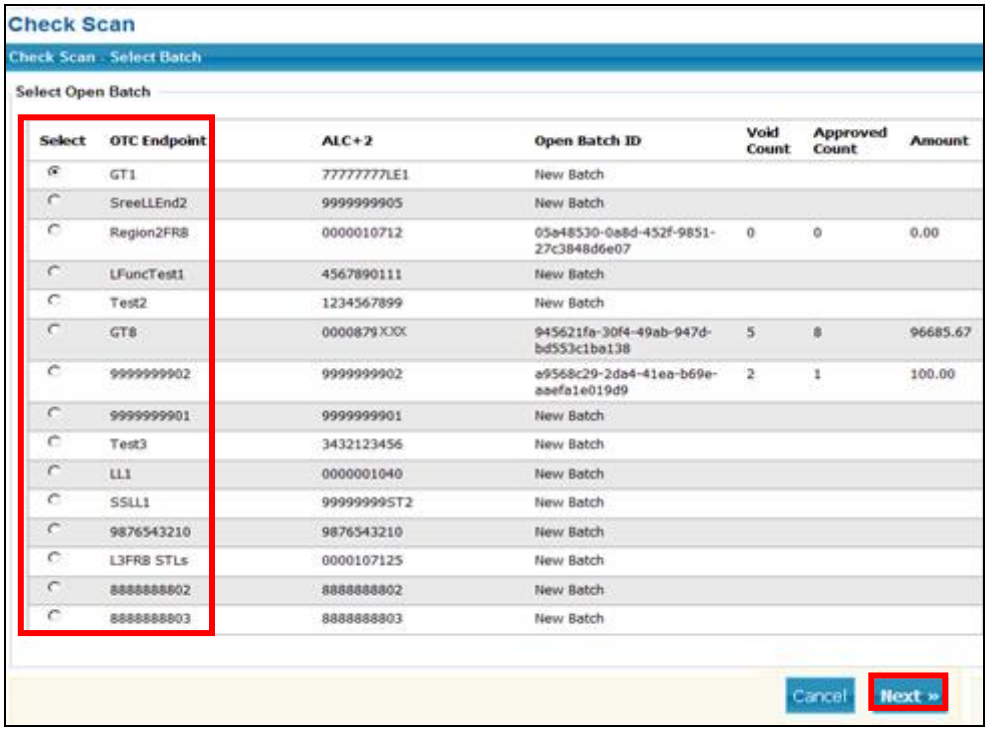
If **No** is clicked, a message appears asking whether to use the existing database. If **Yes** is clicked, the out of date LVD is used. If **No** is clicked, a **Check Capture Supervisor** must enter his online credentials and authorize the use of the out of date LVD.

During the scanning process, if an operator only has access to scan against a single **OTC Endpoint**, then the system will *not* prompt the user to select an **OTC Endpoint**.

If an operator has OTC Endpoint has with an Open batch then the batch details (Void Count, Approved Count, and Amount) are displayed.

3. Click **Next** after you make your selections below

Figure 5. Click Scan- Select Batch Page



Check Scan

Check Scan - Select Batch

Select Open Batch

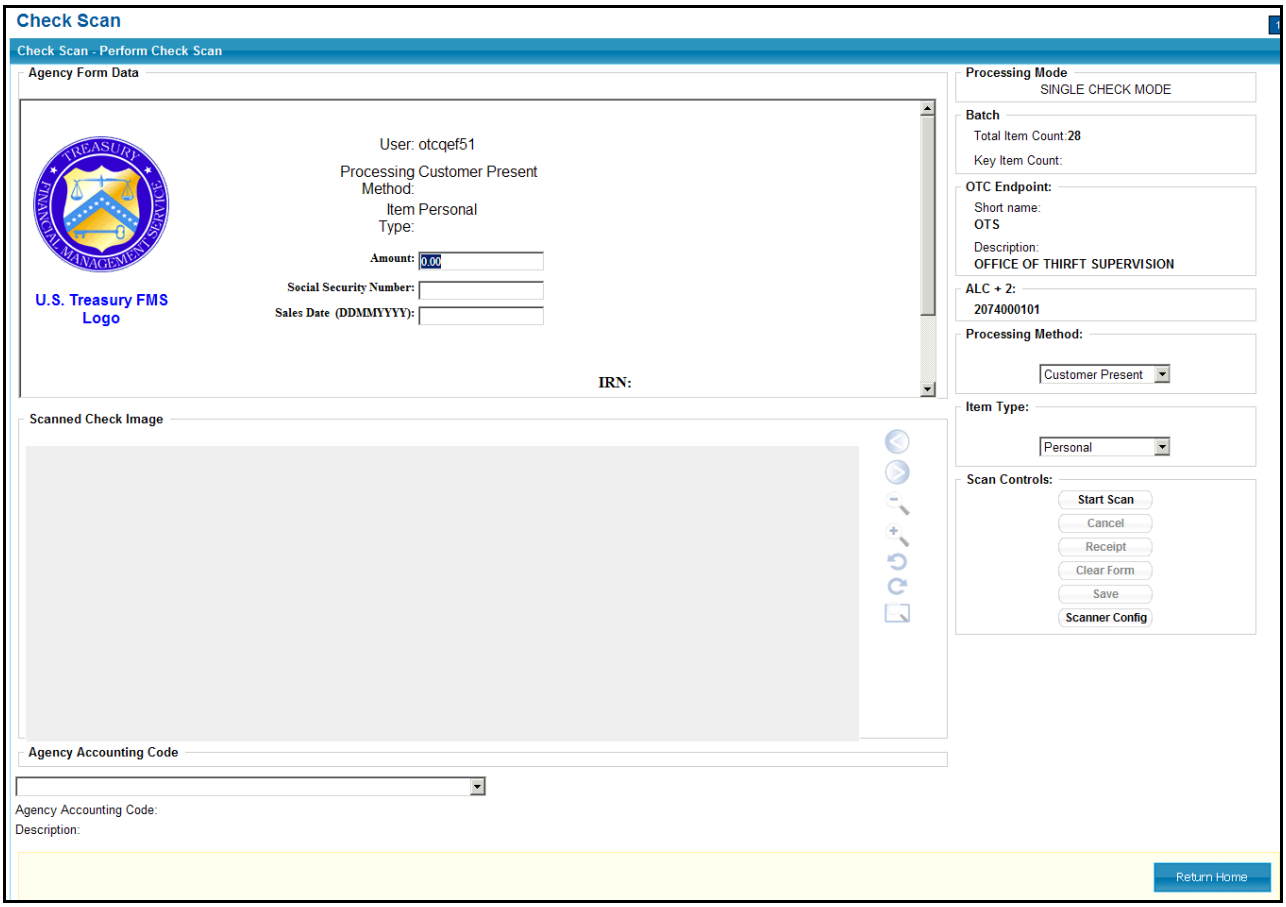
Select	OTC Endpoint	ALC+2	Open Batch ID	Void Count	Approved Count	Amount
◉	GT1	77777777LE1	New Batch			
○	SreeLLEnd2	9999999905	New Batch			
○	Region2FR8	0000010712	05a48530-0a8d-452f-9851-27c3848d6e07	0	0	0.00
○	LFuncTest1	4567890111	New Batch			
○	Test2	1234567899	New Batch			
○	GT8	0000879XXX	945621fa-30f4-49ab-947d-bd553c1ba138	5	8	96685.67
○	9999999902	9999999902	a9568c29-2da4-41ea-b69e-aaefa1e019d9	2	1	100.00
○	9999999901	9999999901	New Batch			
○	Test3	3432123456	New Batch			
○	LL1	0000001040	New Batch			
○	SSLL1	99999999ST2	New Batch			
○	9876543210	9876543210	New Batch			
○	L3FR8 STLs	0000107125	New Batch			
○	8888888802	8888888802	New Batch			
○	8888888803	8888888803	New Batch			

Cancel Next »

If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

The *Check Scan* page appears.

Figure 6: Agency Form Data Entry Fields



Under **ALC+2** (Agency Location Code +2),

- Verify the **OTC Endpoint**. If you need to change the OTC Endpoint, click **Previous** and return to Step 2

Under **Processing Method**,

- Select the **Customer Present**, **Customer Not Present**, or **Back Office**

Processing Method indicates how the check data is entered. There are three Processing Methods:

- *Customer Present*-Customer has presented a check in person and is standing at counter
- *Customer Not Present*-Customer has dropped off the check and is not available
- *Back Office*-Customer presented a check in person and the check is being scanned in a controlled back-office environment

Under **Item Type**,

- Select the **Personal** or **Non-personal**

Item Type indicates whether the check presented is a personal or business check. This determines whether the check is handled through Check 21 (non-personal) or FedACH (personal).

Item Types are defined as follows:

- *Personal* -Name on the check is an individual's name, not acting as an organization
- *Non- Personal* - Name on the check is an organization, or the check is a money order, traveler's check, or third-party check

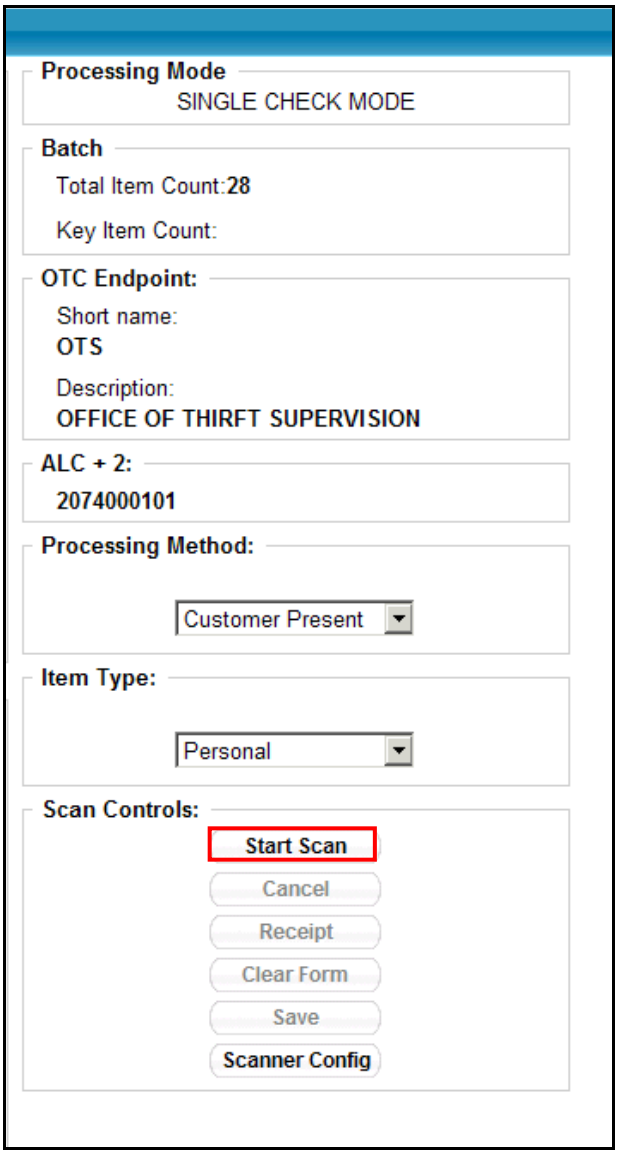
Figure 7. FedACH and Check 21 Item Types

FedACH	Check 21
• Direct Deposit of payroll, Social Security and other government benefits, and tax refunds • Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums • Business-to-business payments • E checks • E commerce payments • Federal, state and local tax payments	• Business Checks • Money Orders • Treasury Checks • Credit Card Checks • Traveler's Checks • Cashier's Checks • Official Checks • Third-party Checks • Payroll Checks • Checks drawn on state or local government

Under **Scan Controls**,

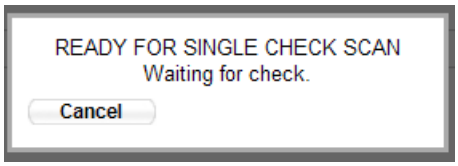
- Click **Start Scan**, when ready to scan a check

Figure 8. Start Scan



If you use an **EC7000i** to scan checks in Batch method, a *READY FOR BATCH SCAN Waiting for check* dialog box appears. Insert the check, the dialog box shows the item count after each scan. The back of the check is displayed momentarily then the image of the next check that was scanned appears.

Figure 9. Waiting for Check Image



If you use a **Panini MyVision X** to scan checks in Batch method, a *READY FOR BATCH SCAN Waiting for check* dialog box appears, after clicking **Start Scan**. Insert the checks in the hopper. The dialog box shows the item count after each scan. When the hopper is empty or when you finish scanning, click **Stop**.

Table 3. Scan Controls Menu

Cancel	Cancels the transaction. No data will be saved
Receipt	Access a receipt for review or printing. This only available once the initial check is scanned
Clear Form	Clears the data entered
Save	Saves the transaction
Scanner Config	Provides scanner, print and processing method configuration information

Under **Scanned Check Image**, *optional*

- Click **<** to view the front of the check
- Click **>** to view the back of the check
- Click **-** to reduce the image of the check
- Click **+** to increase the image of the check
- Click **Left Rotate** to turn the image to the left
- Click **Right Rotate** to turn the image to the right

You can manipulate the image of the checks you capture, but using the options under **Scanned Check Image**

Figure 10. Scanner Check Image (Sample Images)

	View the front of the check
	View the back of the check
	Reduce the image of the check
	Increase the image of the check
	Left rotate to turn the image to the left
	Right rotate to turn the image to the right

Under **Agency Form Data,** enter the check data in the field(s) provided and click **Save**. After saving the data, a message appears stating the transaction was successfully saved along with the Individual Record Number (IRN) and check amount.

- Enter the **Amount**, *required*

Note: OTCnet accepts two different **Amount** entry formats. If the deposit amount is for thirty-five dollars and fifteen cents, enter 35.15. If no decimal point is entered, OTCnet will add a decimal and two zeroes at the end and save it as 3515.00 (three thousand five hundred and fifteen dollars).

Only numbers need input. For example, entering in 1290 would equal $12.90, and 56321 would be equal to $563.21. The maximum dollar amount that can be keyed into the data entry screen is 99,999,999.99. The minimum amount is .01.

The **Agency Form Data** form is customizable and can include fields beyond the **Amoun**t field (e.g. Social Security Number). If your Agency has additional fields, they display under the **Amoun**t field. Your Agency may deem the field(s) either mandatory or optional for you to complete an entry (see Figure 10 below). If you Agency requires additional fields, contact your Deployment Specialist at 703-377-5586 or fms.otcdeployment@citi.com.

Since the configuration field requirements are established by each Agency, minimum/maximum requirements may exist for certain fields. If the operator does not satisfy those minimum/maximum field requirements, an error message is displayed in the middle of the screen and corrections must be made to the field before the transaction is accepted.

Under **Agency Accounting Code**,

- Select an **Accounting Code**

By default, the Agency Accounting Code drop-down field displays a blank value. The same accounting code is displayed after it is selected for the first time. The selected accounting code is “sticky” (remains the same) between transactions, between batches within the same check scanning session and between next user login.

Accounting Codes are available for selection in the drop-down field if they are mapped or inherited from the higher level OTC Endpoint. Additionally, accounting codes that have been designated as Treasury Account Symbols (TAS) by the Agency are displayed in the drop-down field if they have been validated by Shared Accounting Module (SAM).

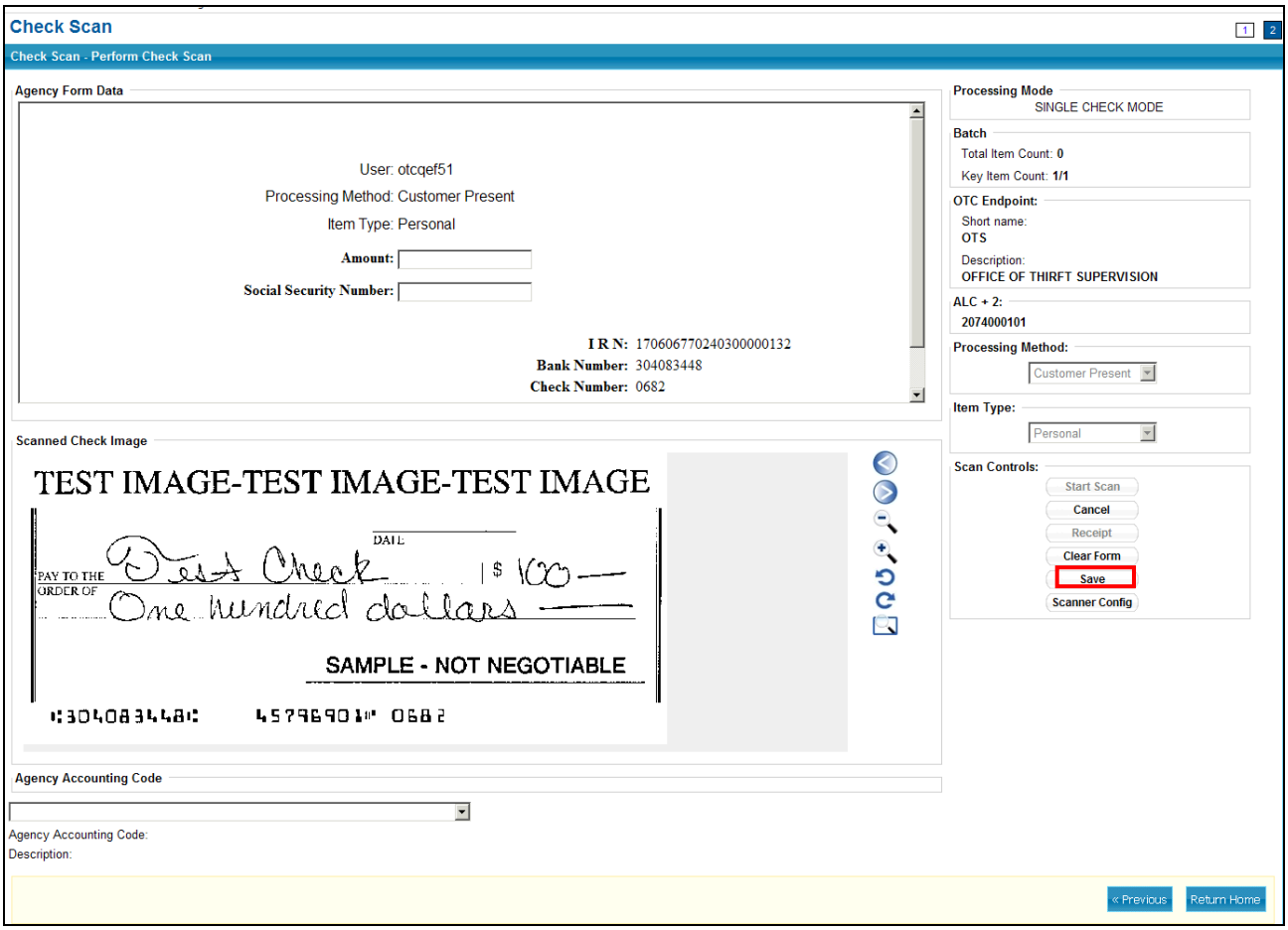
The Agency Accounting Codes drop-down list displays the full Agency Accounting Code value (up to 50 alphanumeric characters) and some portion of the Description (up to 15 alphanumeric characters).

If an OTC Endpoint is associated with an ALC that is designated as a Government-Wide Accounting (GWA) Reporter, all check transactions must be classified with an accounting code. If no accounting codes are available for selection, and the Agency is a GWA Reporter, an operator cannot scan a check.

If an OTC Endpoint is associated with an ALC that is designated as a Government-Wide Accounting (GWA) Reporter, all check transactions must be classified with an accounting code. If an ALC is not a GWA Reporter, classifying it with an accounting code is optional.

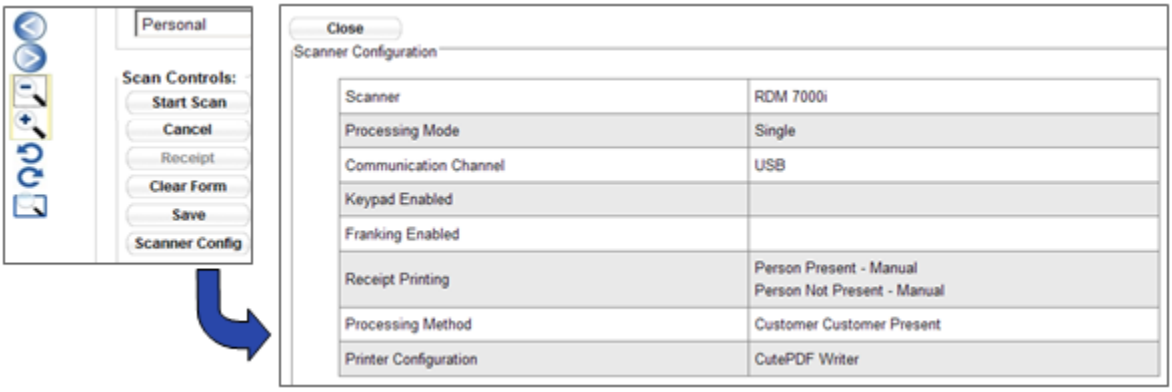
4. Click **Save** to save the image of the check and the data you entered.

Figure 11. Agency Form Data



Upon scanning the check and using enter on your keyboard to finalize, you will notice that the **IRN, Bank Number, Check Number**, **Account Number**, **Date & Time field**s automatically populates located in the frame of the **Agency Form Data).** For details regarding your scanner configurations, click on **Scanner Config**, under Scan Controls.

Figure 12. Scanner Config Menu Option



5. A message appears stating the transaction was successfully saved along with the Individual Record Number (IRN) and check amount.

Figure 13. Transaction Saved Successfully

Capture a Check Offline

To capture a check in offline mode, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Check Scan**. The *Check Scan-Select Open Batch* page appears.

> **Application Tip**
>
> If there is internet connectivity and the terminal's **Local Verification Database (LVD)** is out of date, a message appears asking, "The Check Verification Database is out of date, would you like to update the database now?"
> If **Yes** is clicked, the **Download LVD** task initiates and the latest copy of the LVD downloads to the terminal. After the download is complete, click **Close**.
> If **No** is clicked, a message appears asking whether to use the existing database. If **Yes** is clicked, the out of date LVD is used. If **No** is clicked, a **Check Capture Supervisor** must enter his online credentials and authorize the use of the out of date LVD. .

Under **Select Open Batch**,

- Click **Select** for the OTC Endpoint for which you want to scan a check(s)

> **Application Tip**
>
> During the scanning process, if an operator only has access to scan against a single OTC Endpoint, then the system will not prompt the user to select an OTC Endpoint.

> **Application Tip**
>
> If an operator has OTC Endpoint has an **Open** batch then the batch details (Void Count, Approved Count, and Amount) are displayed.

3. Click **Next**. The *Check Scan* page appears.

Under **ALC+2** (Agency Location Code +2),

- Verify the **OTC Endpoint**. If you need to change the OTC Endpoint, click **Previous** and return to Step 2

Under **Processing Method**,

- Select the **Customer Present**, **Customer Not Present**, or **Back Office**

Application Tip

Processing Method indicates how the check data is entered. You can process checks one of three ways:

- ***Customer Not Present** method*: indicates that a Customer has submitted the check via mail (unmanned dropbox) and is not available.
- ***Customer Present** method:* indicates that a Customer has presented a check in person.
- ***Back Office** method*: indicates that a Customer presented a check in person and the check is being scanned in a controlled back-office environment.

Under **Item Type**,

- Select the **Personal** or **Non-personal**

Application Tip

The **Item Type** indicates whether the check presented is a personal or non-personal check. This determines whether the check is handled through Check 21 (non-personal) or FedACH (personal).

- ***Personal** method*: indicates that the name on check is an individual's name, not acting as an organization
- ***Non-personal** method:* indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check
- Examples of FedACH and Check 21 Item Types are listed below.

FedACH	Check 21
• Direct Deposit of payroll, Social Security and other government benefits, and tax refunds • Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums • Business-to-business payments • E checks • E commerce payments • Federal, state and local tax payments	• Business Checks • Money Orders • Treasury Checks • Credit Card Checks • Traveler's Checks • Cashier's Checks • Official Checks • Third-party Checks • Payroll Checks • Checks drawn on state or local government

Under **Scan Controls**,

- Click **Start Scan**, when ready to scan a check
- Insert the check in the scanner

Application Tip

Scanner types include:

- **EC7000i:** This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks at a time).
- **EC6000i:** This scanner will prompt you to scan the back side of a check and scans only in single mode.
- **EC5000i:** This scanner will prompt you to scan both sides of a check and can scan only in single mode.
- **Panini MyVision X**: This scanner will automatically scan both sides of a check and can scans only in batch mode (one or more checks at a time).

Application Tip

Additional buttons under **Scan Controls** that help you perform other tasks:

- Click **Cancel** to cancel the transaction. No data will be saved.
- Click **Receipt** to access a receipt for review or printing. This is only available once the initial check is scanned.
- Click **Clear Form** to clear the data entered.
- Click **Save** to save the transaction.

Application Tip

Recapture an image of a check if it inserted upside down; appears skewed; or the image is illegible. Click **Cancel** and reinsert the check in the scanner. Then click **Start Scan** and re-enter the necessary data.

Under **Scanned Check Image**, *optional*

- Click **<** to view the front of the check
- Click **>** to view the back of the check
- Click **-** to reduce the image of the check
- Click **+** to increase the image of the check
- Click **Left Rotate** to turn the image to the left
- Click **Right Rotate** to turn the image to the right

Under **Agency Form Data,** enter the check data in the field(s) provided

- Enter the **Amount**, *required*

Application Tip

OTCnet accepts two different **Amount** entry formats. If the deposit amount is for thirty-five dollars and fifteen cents, enter 35.15. If no decimal point is entered, OTCnet will add a decimal and two zeroes at the end and save it as 3515.00 (three thousand five hundred and fifteen dollars).

Application Tip

The **Agency Form Data** form is customizable and can include fields beyond the **Amoun**t field (e.g. Driver's License Number). If your Agency has additional fields, they are displayed under the **Amoun**t field. Your Agency may deem the field(s) either mandatory or optional for you to complete an entry.

If you Agency requires additional fields, contact your Deployment Specialist at 703-377-5586 or fms.otcdeployment@citi.com.

Application Tip

If you use an **EC7000i** to scan checks in Batch mode, a *READY FOR BATCH SCAN Waiting for check* dialog box appears. Insert the checks one at a time. The dialog box shows the item count after each scan. When you finish scanning, click **Stop**.

Application Tip

If you use a **Panini MyVision X** to scan checks in Batch mode, a *READY FOR BATCH SCAN Waiting for check* dialog box appears. Insert the checks in the hopper. The dialog box shows the item count after each scan. When the hopper is empty or when you finish scanning, click **Stop**.

Under **Agency Accounting Code**,

- Select an **Accounting Code**

Application Tip

By default, the **Agency Accounting Code** drop-down field displays a blank value.

Application Tip

The same accounting code is displayed after it is selected for the first time. The selected accounting code is "sticky" (remains the same) between transactions and between batches within the same check scanning session.

Application Tip

Accounting Codes are displayed in the drop-down field if they are mapped or inherited from the higher level OTC Endpoint. Additionally, accounting codes are displayed in the drop-down field if they are **Treasury Account Symbols (TASs)** and have been validated by **Shared Account Module (SAM)**.

Application Tip

If no accounting codes are available for selection and the Agency is a GWA Reporter, an operator cannot scan a check. If no accounting codes are available for selection, and the Agency is not a GWA Reporter, an operator can still scan a check.

Application Tip

The **Agency Accounting Codes** drop-down list displays the full **Agency Accounting Code** value (up to 50 alphanumeric characters) and some portion of the **Description** (up to 15 alphanumeric characters).

Application Tip

If an OTC Endpoint is associated with an ALC that is designated as a GWA Reporter, all check transactions must be classified with an accounting code. If an ALC is not a GWA Reporter, classifying it with an accounting code is optional.

4. Click **Save** to save the image of the check and the data you entered.

Application Tip

Upon scanning the check and using enter on your keyboard to finalize, you will notice that the **IRN, Bank Number, Check Number**, **Account Number**, **Date & Time field**s automatically populates (located in the frame of the **Agency Form Data**)

5. A message appears stating the transaction was successfully saved along with the Individual Record Number (IRN) and check amount.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to return to the OTCnet Home Page.

Topic 3. Manage Poor Check Image Quality

There are instances when the image of a scanned check is not captured successfully. OTCnet Image quality tests are performed on each check, as soon as the check is captured and the image is available. If a check passes the image quality tests, the item processing continues. If the check fails the image quality tests, an *Image Quality Failed* message is displayed.

It is vitally important that the check be fully visible and legible. The image that is on the screen is the image that is submitted to the payor bank for collection. It is also stored in the archives for future retrieval purposes once the check is returned to the customer or destroyed. If we are unable to collect on the Agency's behalf with the image that has been submitted, the debit reverts back to the Agency and collection becomes the Agency's responsibility.

If an *Image Quality Failed* message is displayed during the check scanning process and the check image is skewed, illegible, or upside down, an operator may consider the following options:

- **Rescan** the check (recommended to perform as many times as necessary)
- **Cancel** the check and opt to use the Deposit Processing functionality within OTCnet to deposit the check
- **Accept** the check (requires a **Check Capture Supervisor** to Log in to OTCnet to authorize)

A **Check Capture Supervisor** can choose to override a poor image in hopes that it will process anyway. The following examples are of a poor image scan and an image of good quality. Agencies should be aware that overriding a poor image may result in a returned item, depending upon the paying financial institution.

Figure 14. Poor Image Quality

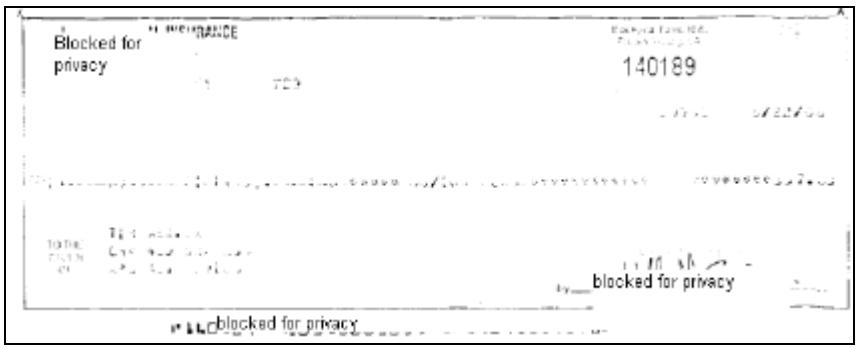
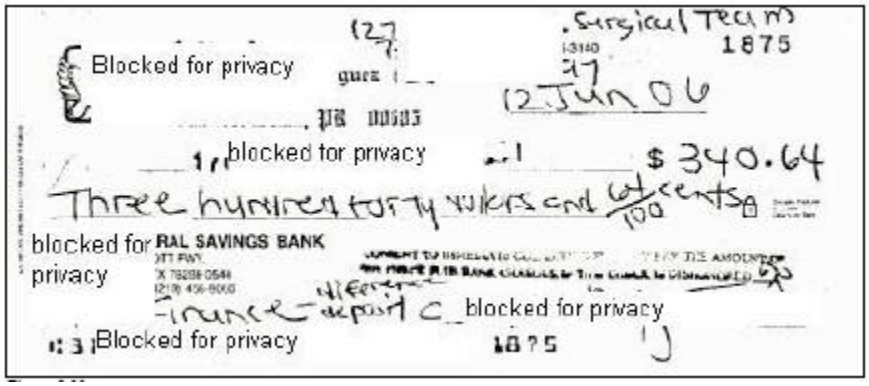


Figure 15. Good Image Quality



Manage a Check with Poor Image Quality

To manage a check with poor image quality, complete the following steps:

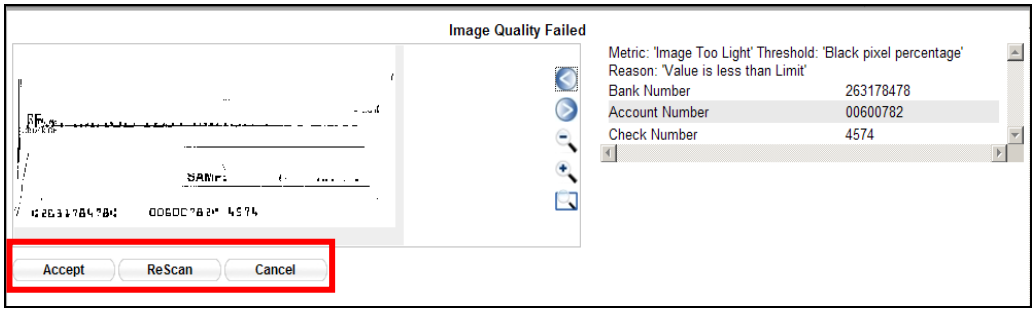
1. From the *Check Scan – Perform Check Scan* page, the *Image Quality Failed* message appears. The following message appears to the right of the screen:

   Metric '*Image Too Light' Threshold: "Black pixel percentage'* and
   Reason: *'Value is less than Limit'*

   A user has the option to click on one of the following

   - **Rescan** to rescan the check
     Or
   - **Cancel** to completely cancel the transaction
     Or
   - **Accept** to accept the image of the check (requires **Check Capture Supervisor** to log in)

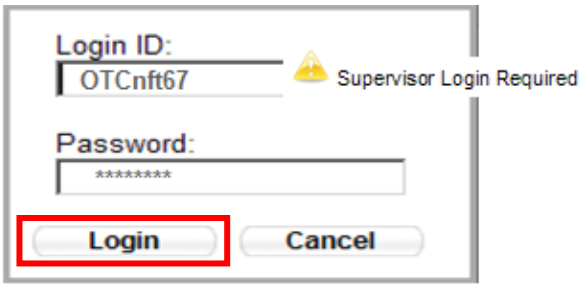
Figure 16. Image Quality Failed Message



2. If you choose to click **Accept** to accept the image of the scanned check, the *Login ID and Password* dialog box appears. Enter the **Login ID** and **Password** and click **Login**

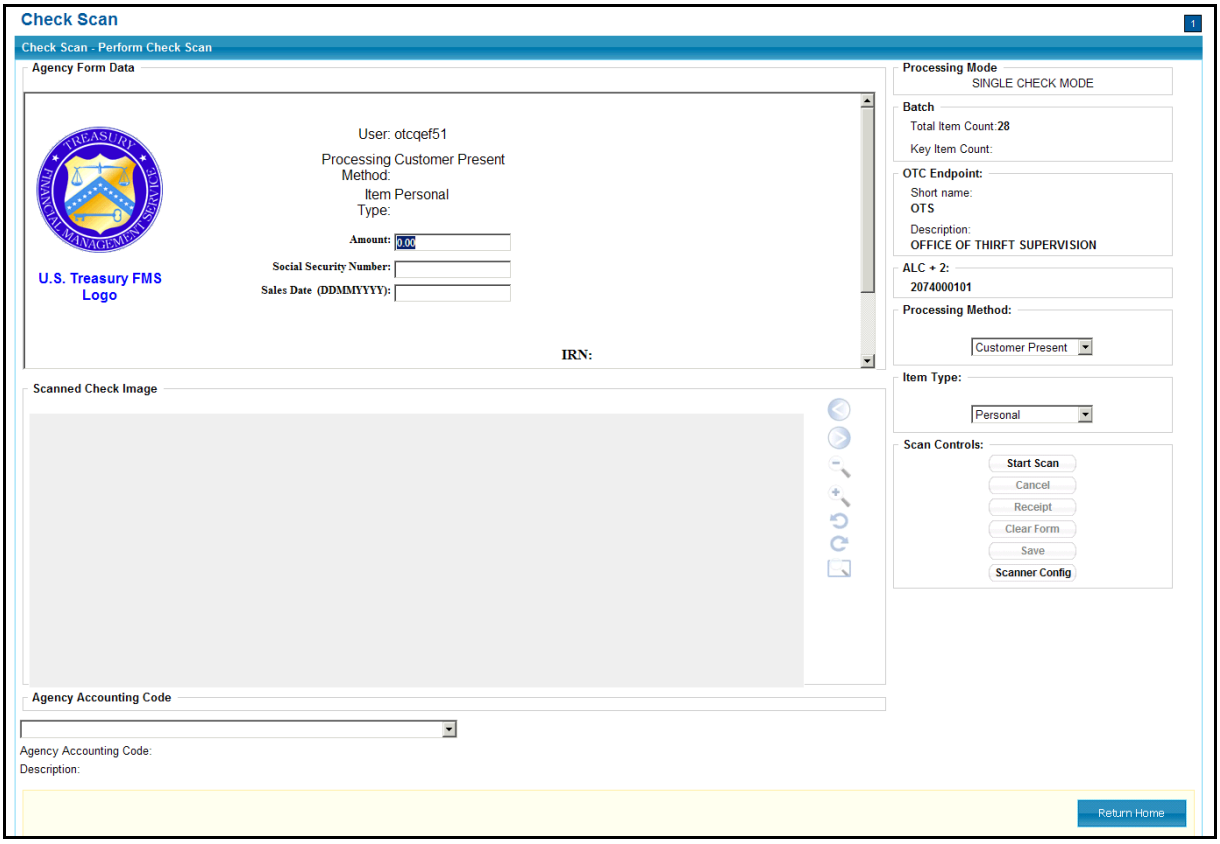
   If a **Check Capture Lead Operator** or **Check Capture Operator** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor** can accept a check with poor image quality.

Figure 17. Login Dialog Box



3. Check scanning tasks can resume after a **Check Capture Supervisor** logs in to authorize the acceptance of the poor image quality check. A **Check Capture Operator** or **Check Capture Lead Operator** may enter the check item details into the form fields at this point

Figure 18. Check Scan- Perform Check Scan Page



Manage a Check with Poor Image Quality

To manage a check with poor image quality, complete the following steps:

1. From the *Check Scan – Perform Check Scan* page, the *Image Quality Failed* message appears. Click:

   - **Rescan** to rescan the check

Application Tip

Click **Rescan** if the check image is skewed, illegible, or upside down.

   - Or, **Cancel** to completely cancel the transaction
   - Or, **Accept** to accept the image of the check (requires **Check Capture Supervisor** to log in). The *Login ID and Password* dialog box appears. Enter the **Login ID** and **Password** and click **Login**.

Application Tip

If a **Check Capture Lead Operator** or **Check Capture Operator** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor** can approve a check with poor image quality. The **Check Capture Supervisor** must key in his/her Login ID and Password before approving the check.

2. Resume check scanning tasks and enter the check item details into the form fields.

3. Click **Save** to save the image of the check and the data you entered.

Application Tip

Upon scanning the check and using enter on your keyboard to finalize, you will notice that the **IRN, Bank Number, Check Number**, **Account Number**, **Date & Time field**s automatically populates located in the frame of the **Agency Form Data)**

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to Return to the OTCnet Home Page.

Topic 4. Resolve a Duplicate Check

If a duplicate check is detected, a *Duplicate Check Detected* prompt appears requesting that the user resolve the issue. OTCnet determines and detects duplicate checks based on a match of the MICR and the check amount.

If a check is scanned twice and the information entered is for the *same amount*, OTCnet displays an error message containing both scanned images and requests confirmation. If the check is scanned twice and information entered for a *different amount*, OTCnet does not catch the error and will allow the duplicate entry. However, the financial institution will later reject one of the duplicate checks.

To help prevent duplicate processing of checks, checks may be hand stamped with *Electronically Presented* after the transaction is complete and the check has been scanned. The EC6000i and EC7000i scanners can also be setup to automatically stamp the front of the check with the words, *Electronically Presented*, once the transaction is complete. This will require the purchase of a *Franker.*

If the MICR line was misread by the scanner leading the system to believe that the check is a duplicate, it can be edited. To determine if the MICR line was misread, compare the two images in the window. The top image depicts the current check, and the bottom image depicts the most recently scanned check that is being deemed a duplicate by the system. Also, compare the MICR line on the bottom check with the source document. If it has been determined to be a misread of the MICR line that needs to be corrected, a **Check Capture Supervisor** can click the **Edit MICR** button at the bottom of the window (for details, refer to the Edit MICR topic of the Correcting Scanned Checks Participant User Guide).

If a *Duplicate Check Detected* prompt is displayed during the check scanning process, an operator may consider the following options:

- **Rescan** the check (recommended to perform as many times as necessary)
- **Edit MICR** to correct the MICR line
- **Accept** the check (requires a **Check Capture Supervisor** to log in to OTCnet to authorize)
- **Cancel** the check

A **Check Capture Supervisor** is the only authorized user who can accept a duplicate check. Therefore, before a **Check Capture Lead Operator** or **Check Capture Operator** can accept a duplicate check, a **Check Capture Supervisor** must log in to authorize it.

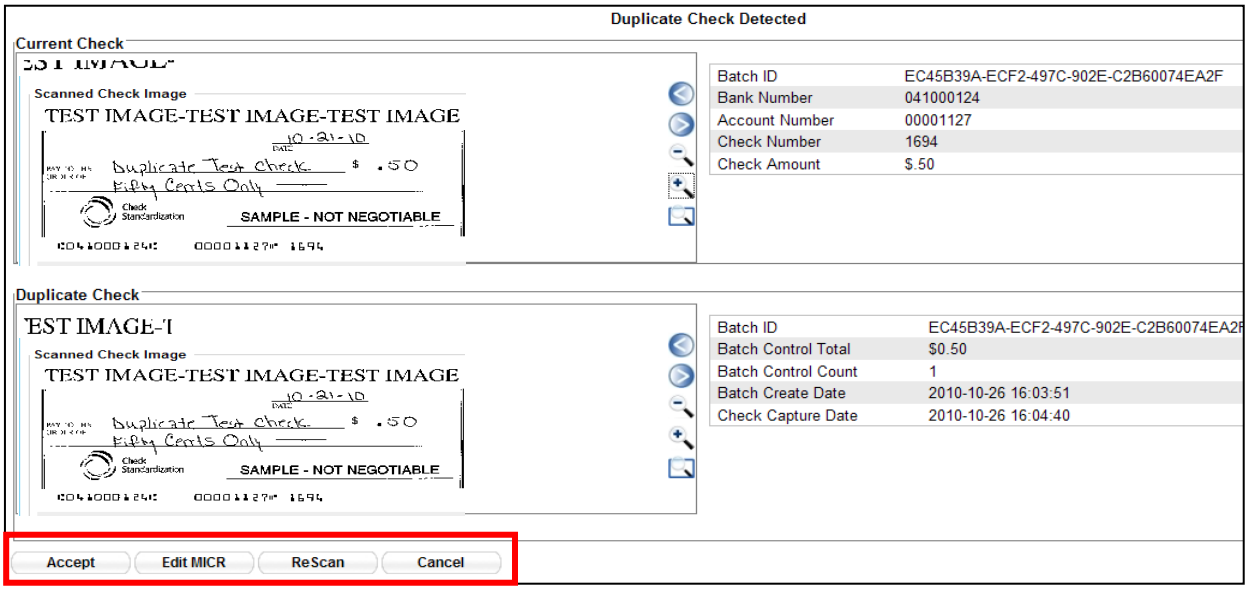
Resolve a Duplicate Check

To resolve a duplicate check, complete the following steps:

1. From the Check Scan – Perform Check Scan page, the Duplicate Check Detected message appears. A user has the option to click on one of the following

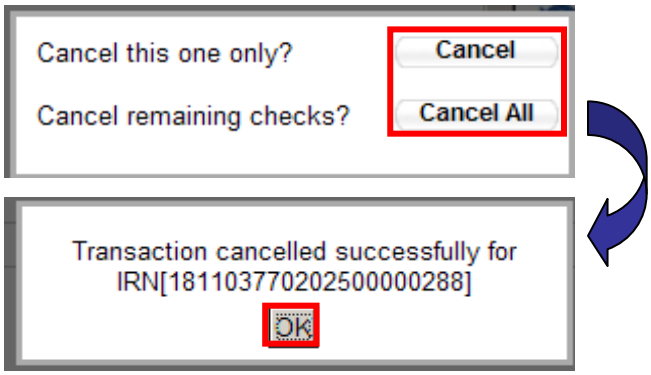
   - **Accept** to accept the image of the check
     Or
   - **Edit MICR** to correct the MICR line
     Or
   - **Rescan** to rescan the check
     Or
   - **Cancel** to completely cancel the transaction

Figure 19. Duplicate Check Detected



4. Click **Cancel** to cancel the duplicate (advised). Click **Cancel** or **Cancel All** at the dialog box. A *Transaction cancelled successfully* dialog box appears. Click **Ok**.

Figure 20.Cancel a Check Dialog Box

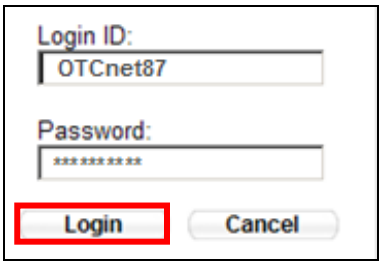


Note: If you want to edit the **MICR** codeline, click **Edit MICR**, a **Check Capture Supervisor** must authorize a MICR line code correction (for details, refer to *Edit a MICR* line topic in Correcting Scanned Checks of the Participant User Guide).

Continue to Step **4** below if you want to **Accept** the duplicate check, requiring a **Check Capture Supervisor** to log in (at the Login prompt).

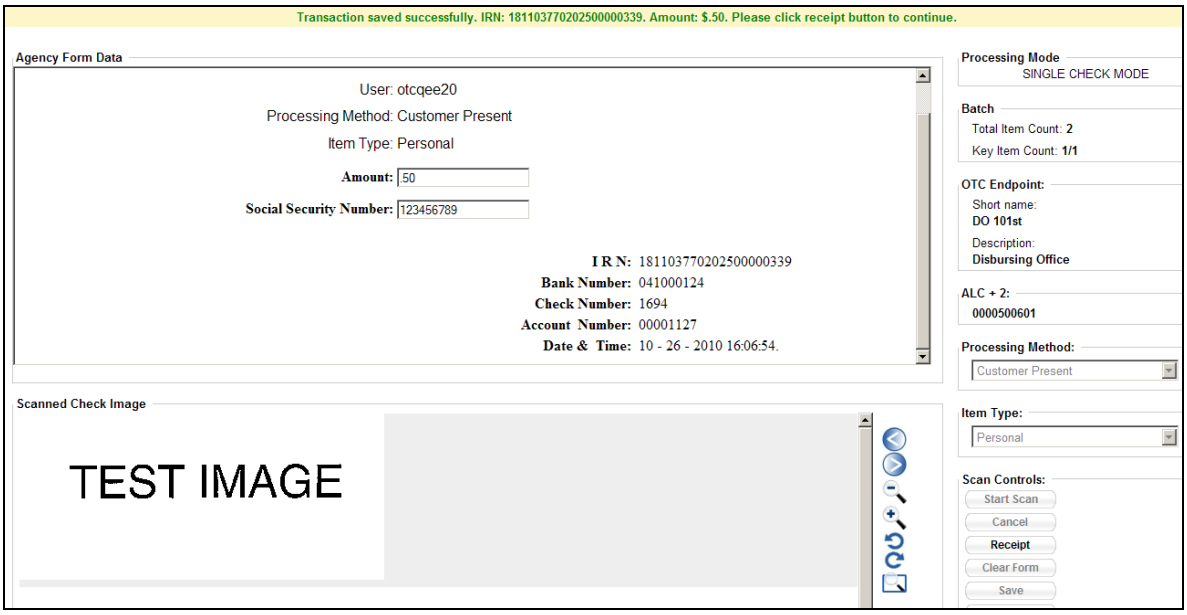
5. Enter **Check Capture Supervisor** Login ID and Password and click **Login**

Figure 21. Accept Duplicate Prompt



After the duplicate check is accepted, the **Check Capture Operator** or **Check Capture Lead Operator** can print a receipt if they choose and continue scanning checks.

Figure 22. Check Scanning Proceeds (print receipt as necessary)



Resolve a Duplicate Check

To resolve a duplicate check, complete the following steps:

1. Click **Cancel** to cancel the duplicate check. A dialog box appears.

> **Application Tip**
>
> Click **Accept** to continue processing the check. A **Check Capture Supervisor** or **Check Capture Lead Operator** must log in to authorize the duplicate check.
> 1. Log in to accept the duplicate at *Login ID* prompt.
> 2. Click **Login**.

2. Click **Cancel** or **Cancel All**. A *Transaction cancelled successfully* dialog box appears.

> **Application Tip**
>
> Click **Edit MICR** to correct the MICR line. A **Check Capture Supervisor** must authorize a MICR line code correction (for details, refer to the Edit a MICR topic of the Correcting Scanned Checks Participant User Guide).
>
> Click **ReScan** to clear the image from the screen and rescan the check.

> **Application Tip**
>
> Click **Cancel** to cancel the one duplicate check. Click **Cancel All** to cancel all pending checks in the batch.

3. Click **OK**. The *Check Scan – Perform Check Scan* page appears.

> **Application Tip**
>
> Additional buttons on the page that help you perform other tasks:
> - Click **Previous** to return to the previous page.
> - Click **Return to Home** to return to the OTCnet Home page.

Topic 5. Void a Check

As a **Check Capture Supervisor**, or a **Check Capture Lead Operator (CCLO)** with **Batch Approver** permission, you are the only authorized user who can void an erroneously scanned check. Before you can void a check, you must first search for the batch in which the check resides. You can search for batches by **OTC Endpoint**, **Created On Date**, **Batch ID**, **Cashier ID**, and/or **Batch Status**. You can only void checks in batches for OTC Endpoints that you have permission to access and only for items with an open or closed batch status.

Payments should only be entered for the amount of the item being processed. If a data-entry error is made in one of the user-defined fields, or amount entered for the check differs from the written amount of the check, two options are available:

1. Void the check and rescan with the corrected information during the check capture process (requires **Check Capture Supervisor** to sign in to approve).

2. If a **Check Capture Supervisor** is not available to approve the void while the operator has scanning in progress, the check will need to be voided via the **Batch Management** menu option. A **Check Capture Supervisor** will need to sign on to **Batch Management** and change the incorrectly typed amount with the correct amount or update the user-defined field.

NOTE:

- The minimum limit for reporting items that need to be adjusted by Treasury/FMS is $25.00. If the adjustment is $25.00 or more, the check is only corrected to the written dollar amount on the face of the check

- Voided items are not archived in the **Central Image Retrieval Archive (CIRA)** for long-term storage.

- Do not scan the item a second time to process a second item for the amount difference. Doing so would create processing errors at Treasury/FMS as well as at the check writer's financial institution.

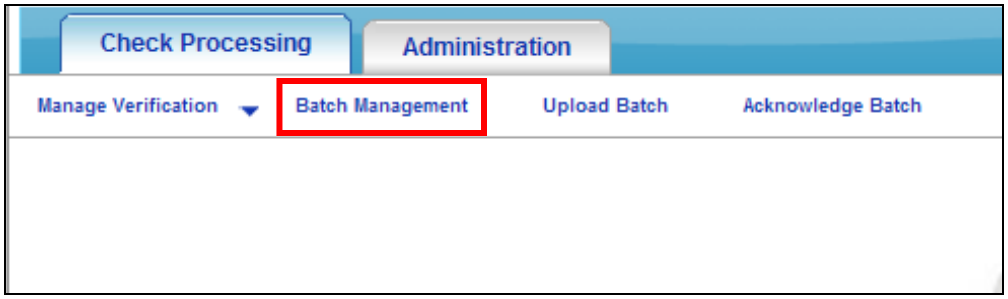
- If a file containing the wrong amount has already been transmitted or if you ever encounter a processing issue and need assistance, please contact the Treasury OTC Support Center.

Void a Check

To void a check, complete the following steps:

1. Click the **Check Processing** tab. Click **Batch Management**.

Figure 23. Batch Management (Voiding)



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view.

   Note:

   If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

   If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

   If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **Created On Date** by entering the **From** and **To** date range

   Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

   - Enter the **Batch ID,** *optional*

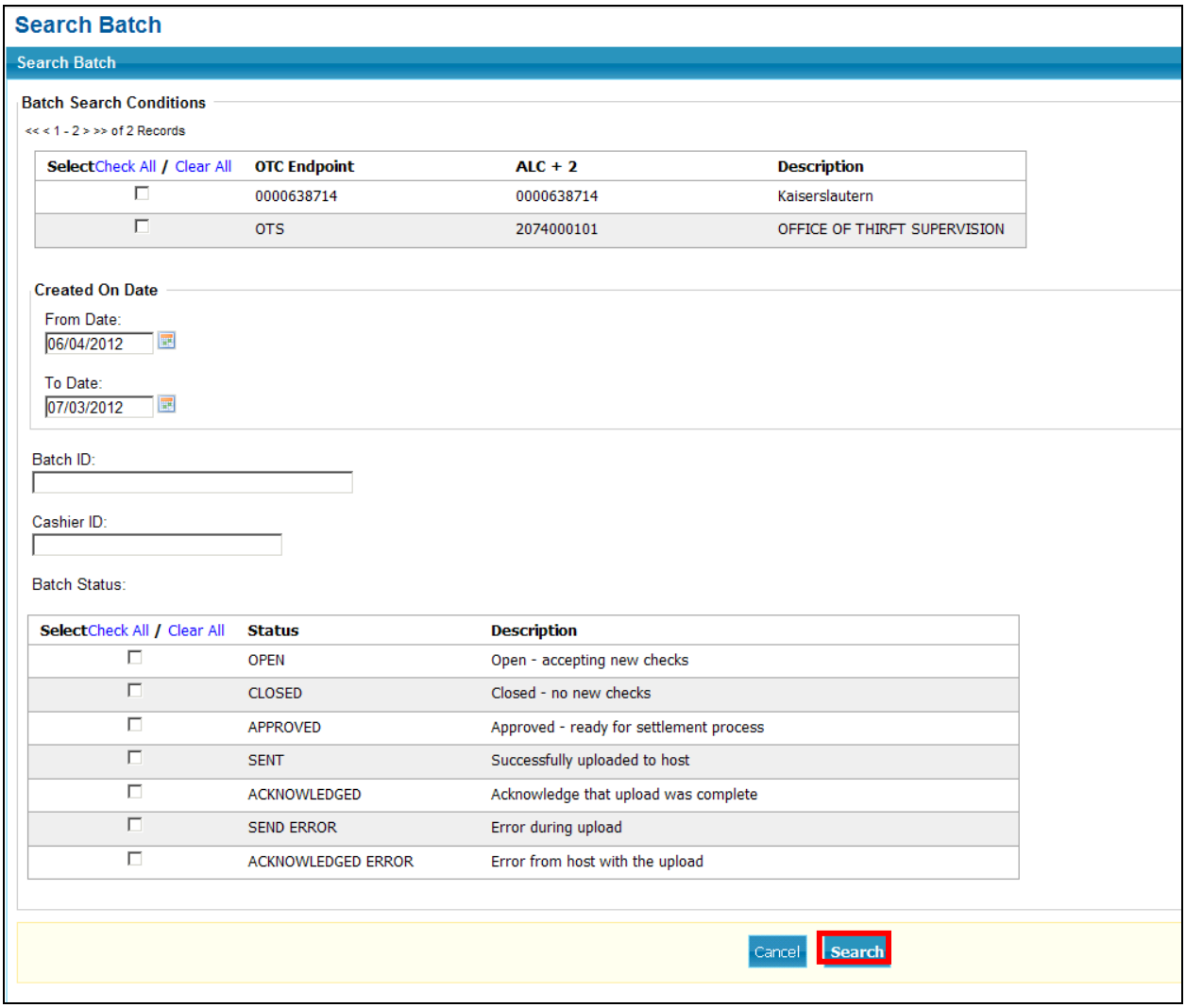
   Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

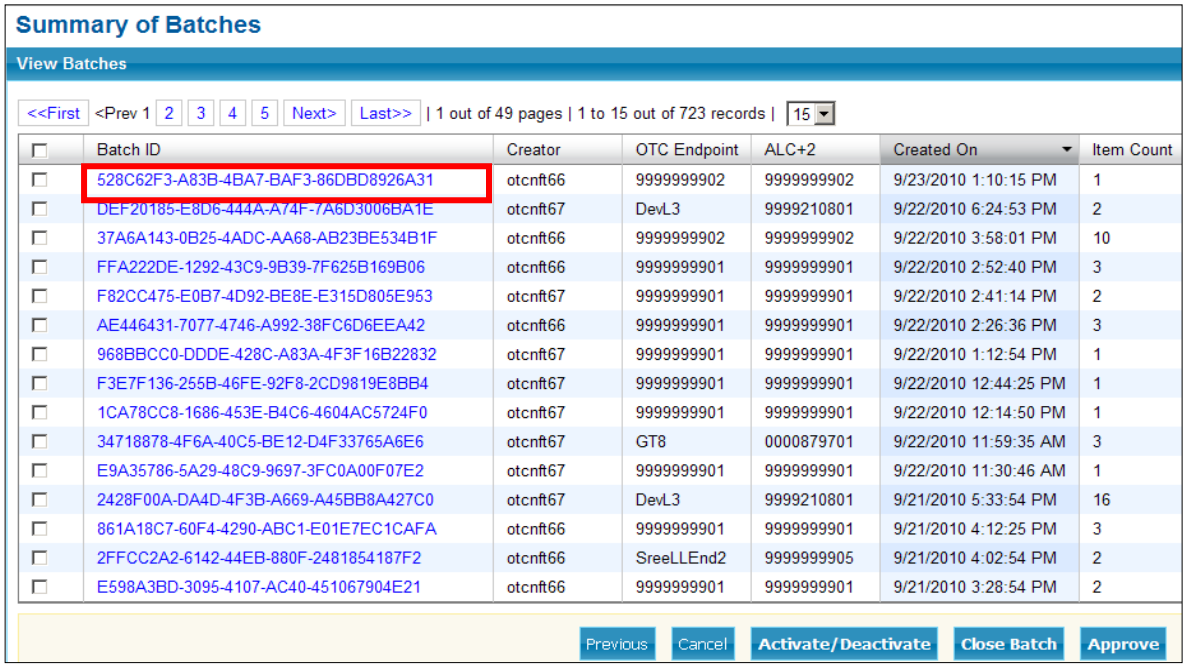
- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

Figure 24. Search Batch Page



3. The *View Batches* page appears. Click the **Batch ID** hyperlink

Figure 25. View Batches Page (Voiding)



Summary of Batches

View Batches

<<First <Prev 1 2 3 4 5 Next> Last>> | 1 out of 49 pages | 1 to 15 out of 723 records | 15

	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count
	528C62F3-A83B-4BA7-BAF3-86DBD8926A31	otcnft66	9999999902	9999999902	9/23/2010 1:10:15 PM	1
	DEF20185-E8D6-444A-A74F-7A6D3006BA1E	otcnft67	DevL3	9999210801	9/22/2010 6:24:53 PM	2
	37A6A143-0B25-4ADC-AA68-AB23BE534B1F	otcnft66	9999999902	9999999902	9/22/2010 3:58:01 PM	10
	FFA222DE-1292-43C9-9B39-7F625B169B06	otcnft66	9999999901	9999999901	9/22/2010 2:52:40 PM	3
	F82CC475-E0B7-4D92-BE8E-E315D805E953	otcnft67	9999999901	9999999901	9/22/2010 2:41:14 PM	2
	AE446431-7077-4746-A992-38FC6D6EEA42	otcnft66	9999999901	9999999901	9/22/2010 2:26:36 PM	3
	968BBCC0-DDDE-428C-A83A-4F3F16B22832	otcnft67	9999999901	9999999901	9/22/2010 1:12:54 PM	1
	F3E7F136-255B-46FE-92F8-2CD9819E8BB4	otcnft67	9999999901	9999999901	9/22/2010 12:44:25 PM	1
	1CA78CC8-1686-453E-B4C6-4604AC5724F0	otcnft67	9999999901	9999999901	9/22/2010 12:14:50 PM	1
	34718878-4F6A-40C5-BE12-D4F33765A6E6	otcnft67	GT8	0000879701	9/22/2010 11:59:35 AM	3
	E9A35786-5A29-48C9-9697-3FC0A00F07E2	otcnft67	9999999901	9999999901	9/22/2010 11:30:46 AM	1
	2428F00A-DA4D-4F3B-A669-A45BB8A427C0	otcnft67	DevL3	9999210801	9/21/2010 5:33:54 PM	16
	861A18C7-60F4-4290-ABC1-E01E7EC1CAFA	otcnft66	9999999901	9999999901	9/21/2010 4:12:25 PM	3
	2FFCC2A2-6142-44EB-880F-2481854187F2	otcnft66	SreeLLEnd2	9999999905	9/21/2010 4:02:54 PM	2
	E598A3BD-3095-4107-AC40-451067904E21	otcnft66	9999999901	9999999901	9/21/2010 3:28:54 PM	2

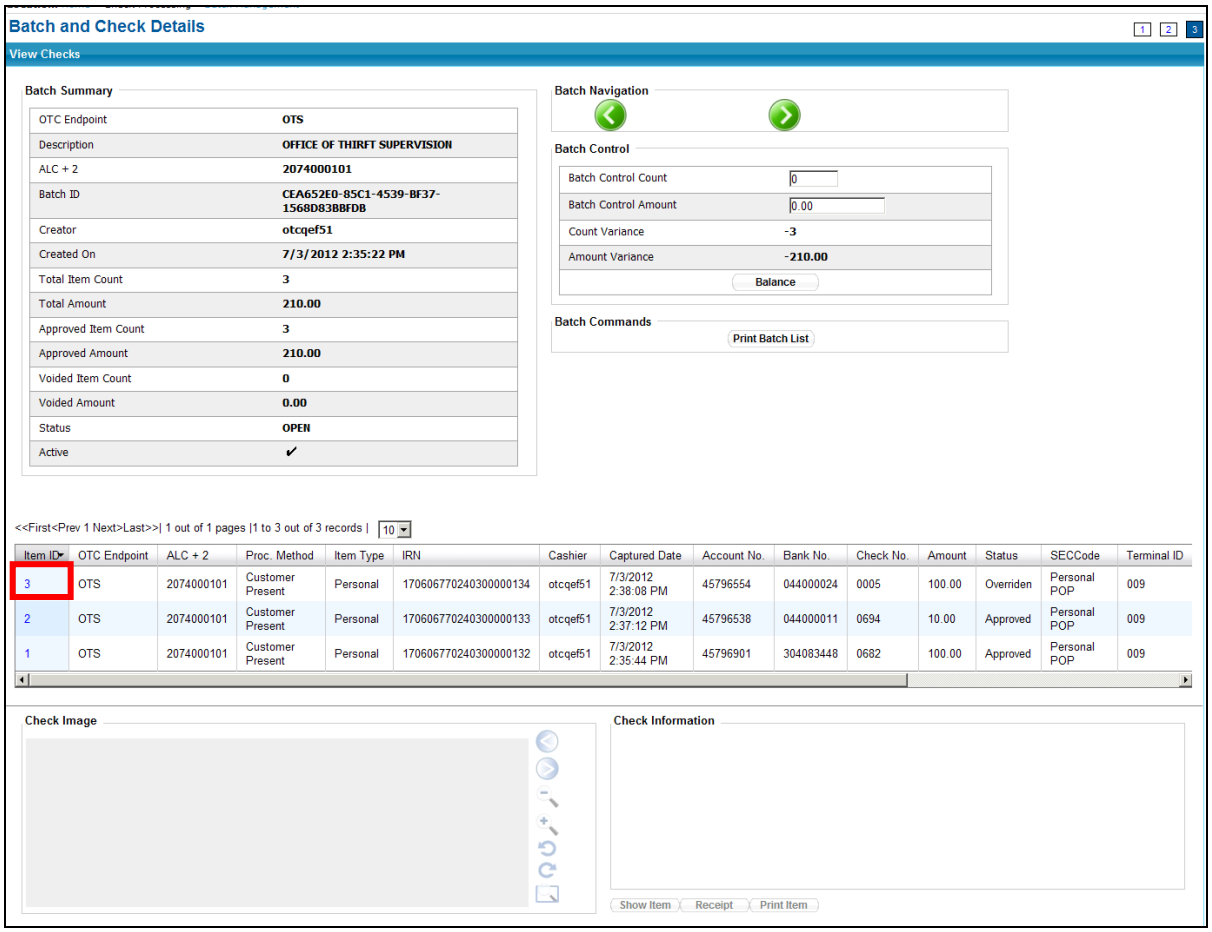
Previous Cancel **Activate/Deactivate** **Close Batch** **Approve**

4. The *View Checks* page appears. Click the **Item ID** of the scanned check you would like to void.

   If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

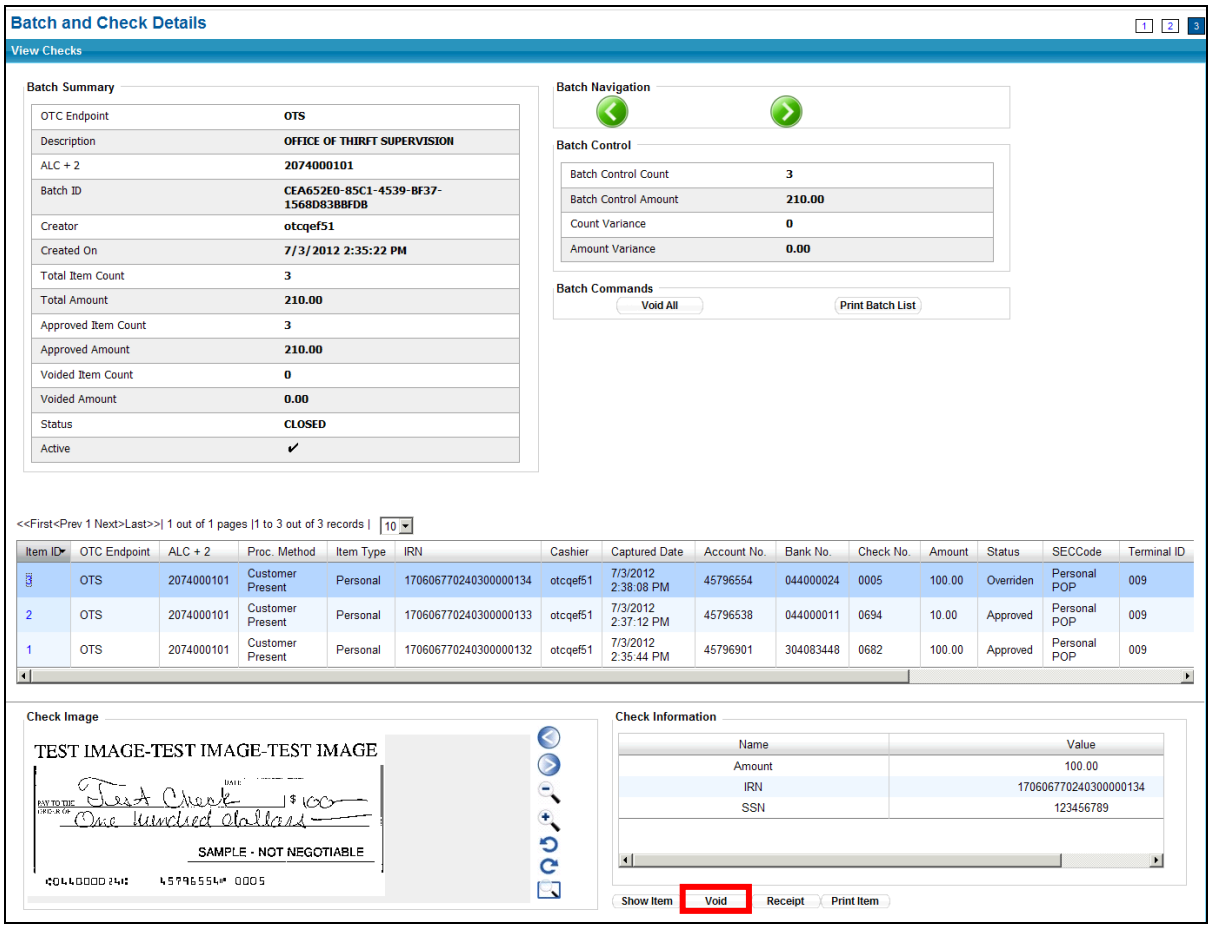
   Note: If you intend to void the entire batch, you can click on **Void All**, located under **Batch Commands** on the right of the *View Checks* Page.

Figure 26. View Checks Page (Voiding)



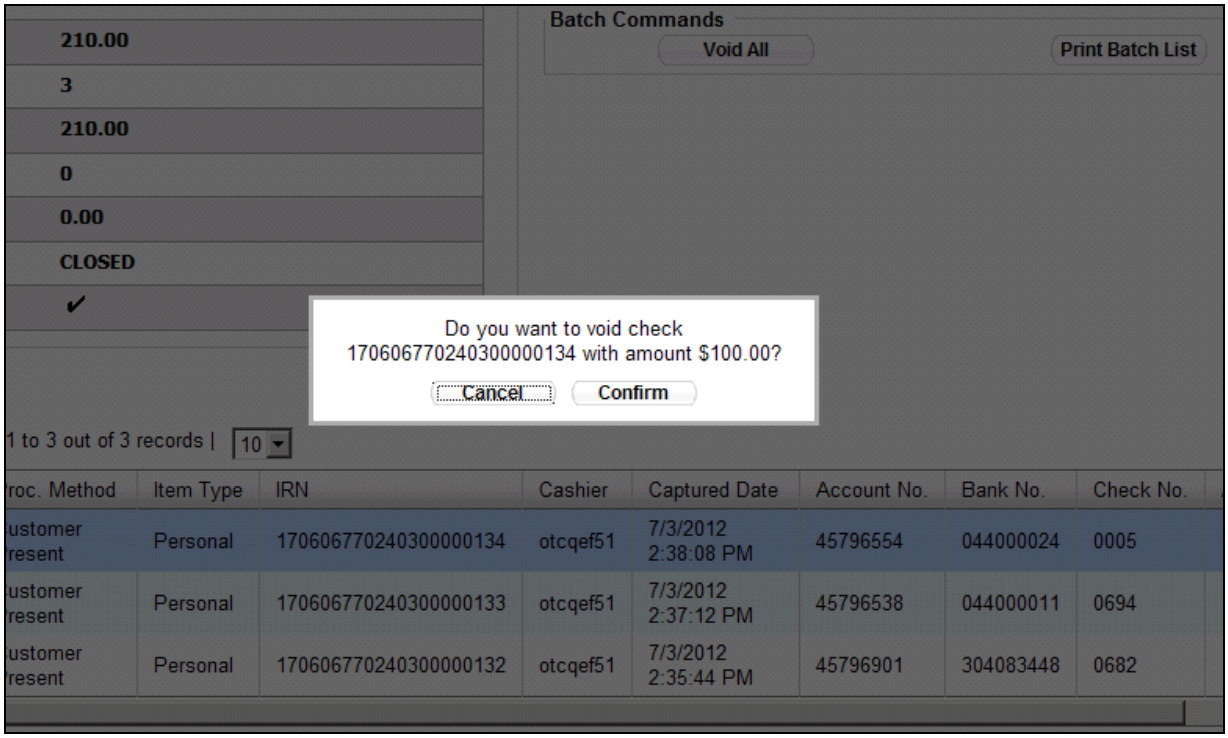
5. An image and details of the check appear in a window below. Click **Void** to the right of the check image to void the check.

Figure 27. Check Image/ Details



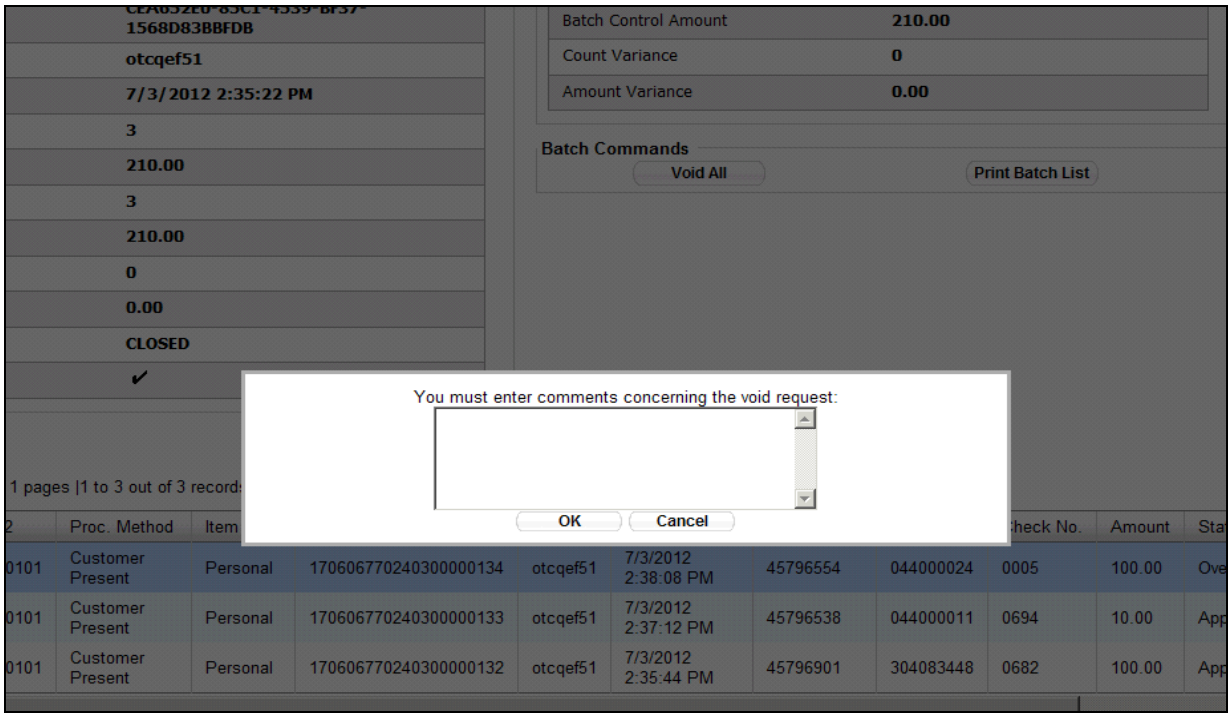
6. Click **Confirm** at the prompt asking if you want to void the check.

Figure 28. Void Confirmation Dialog Box



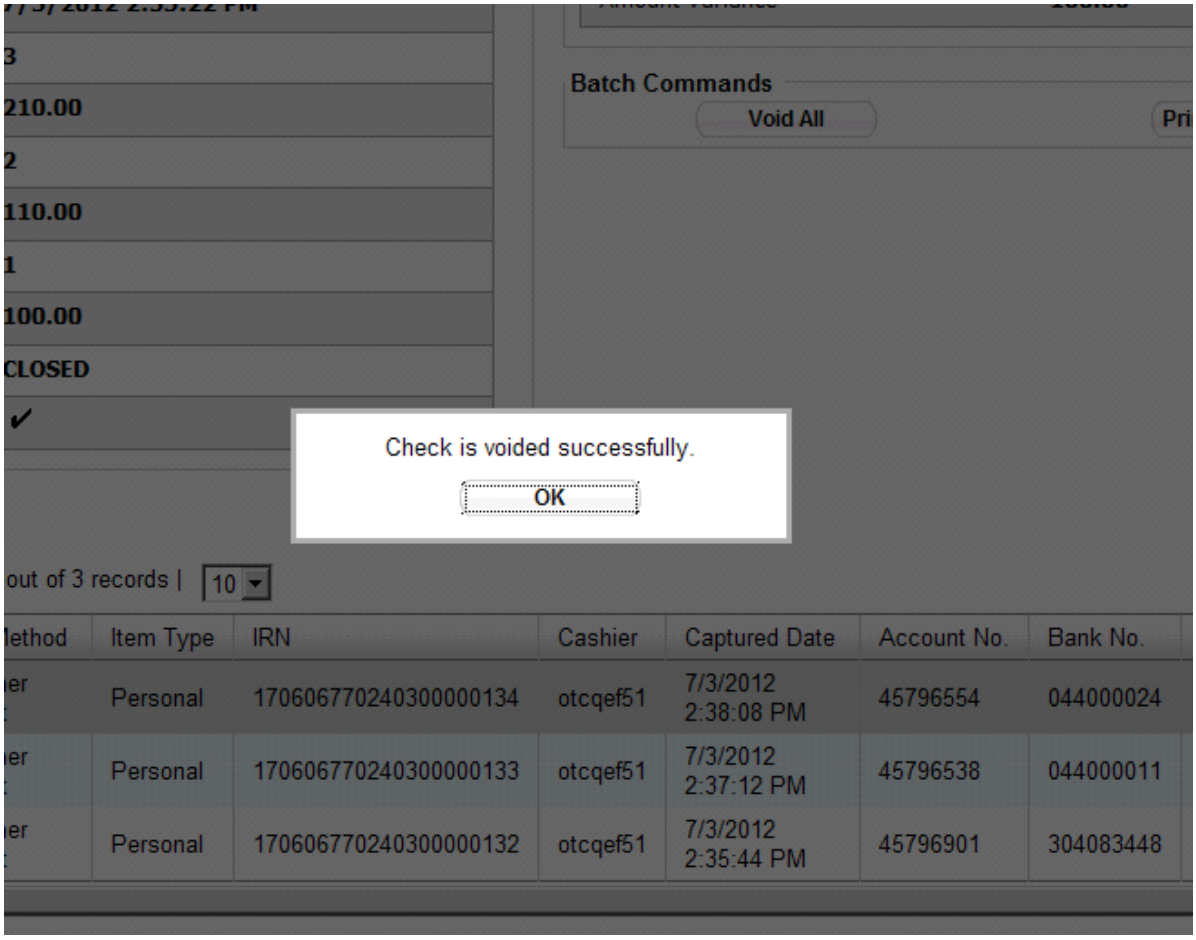
7. Enter comments concerning the void request at the prompt and click **OK**.

Figure 29. Enter Comment Dialog Box



8. Click **OK** at the final prompt stating that the check is voided successfully.

Figure 30. Check Void Dialog Box



Void a Check

To void a scanned check, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like view.

Application Tip

If you run a search ***with*** or ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batch* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click the **Item ID** of the scanned check you would like to void. An image and details of the check appear in a window below.
7. Click **Void** to the right of the check image to void the check.
8. Click **Confirm** at the prompt asking if you want to void the check.
9. Enter comments concerning the void request at the prompt and click **OK**.
10. Click **OK** at the final prompt stating that the check is voided successfully.

Application Tip

Additional buttons on the pages that help perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Void All** to void all items in the batch.
- Click **Print Batch List** to print the batch list.
- Click **<** to go to the first batch.
- Click **>** to go to the next batch.
- Click **<<Image** to return to the previous check.
- Click **>>Image** to view the next check.
- Click **Zoom-** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left** to turn the image to the left.
- Click **Rotate Right** to turn the image to the right.
- Click **Show Item** to view the check item details.
- Click **Void** to void a single check item.
- Click **Receipt** to print a receipt.
- Click **Print Item** to print a batch list report.

Topic 6. Local Verification Database (LVD) Record

If an Agency elects to use the LVD feature, the Agency can receive three types of check verification notifications if a check is identified as blocked, suspended, or denied. The check verification notifications are **Blocked**, **Suspended**, or **Denied**.

The **Check Capture Supervisor (CCS)** is the only authorized user who can override (if the transaction can be overridden) a blocked, suspended, or denied notification. When an override of a blocked check is performed, the override is a temporary, one-time event. The check remains blocked in the LVD database unless an authorized person **(Master Verification Database Editor [MVDE] or CCS)** clears the item out of the LVD database.

For the LVD Verification override notification to appear the check item must meet established criteria for blocked, suspended, or denied.

Blocked Check Notification

A blocked notification displays if the check item matches all data as it was input on the blocked record. If the block record is only input with the routing transit number and account number, then that record is only flagged if the data matches. If the blocked record was input with only user defined field 1 data (e.g. Social Security Number or Driver's License Number), then only the user defined field 1 must match for the record. If the blocked record input has both pieces of information, then it must match all combinations (e.g., routing transit and account along with user defined field 1).

Suspended or D-Denied Check Notification

The suspended or denied notification displays if the check item scanned matches the LVD information. A match occurs when a combination of both the routing number and account number matches, or there is match against the user defined field 1.

Each OTC Endpoint that uses the LVD sets their policies to use certain return codes with a defined number of days within the suspension period. During that pre-determined period, if the check writer attempts to cash a check, a suspended notification appears on the OTCnet screen. A typical check cashing policy may mandate that the check writer is suspended for 30 days upon their first offense, 60 days upon their second offense, and 90 days upon their third offense. During the suspension period, they cannot cash a check at that OTC Endpoint. A denied item occurs when the check writer has exceeded all suspension periods. A typical suspension policy may specify that the check writer is suspended as referenced in the paragraph above.

Note: The check cashing policies described above are only examples. Check cashing policies are set up according to each Agency's requirements. To request a report of how the Agency's check cashing policy has been setup, see *User Guide Ch 8: Reporting on Scanned Checks*; *Topic 3. OTC Endpoint Check Cashing Policy*.

Also For a more detailed description of the MVD/LVD please refer to the *Check Capture User Guide Ch. 6. Managing Verification Records (MVD/LVD)*.

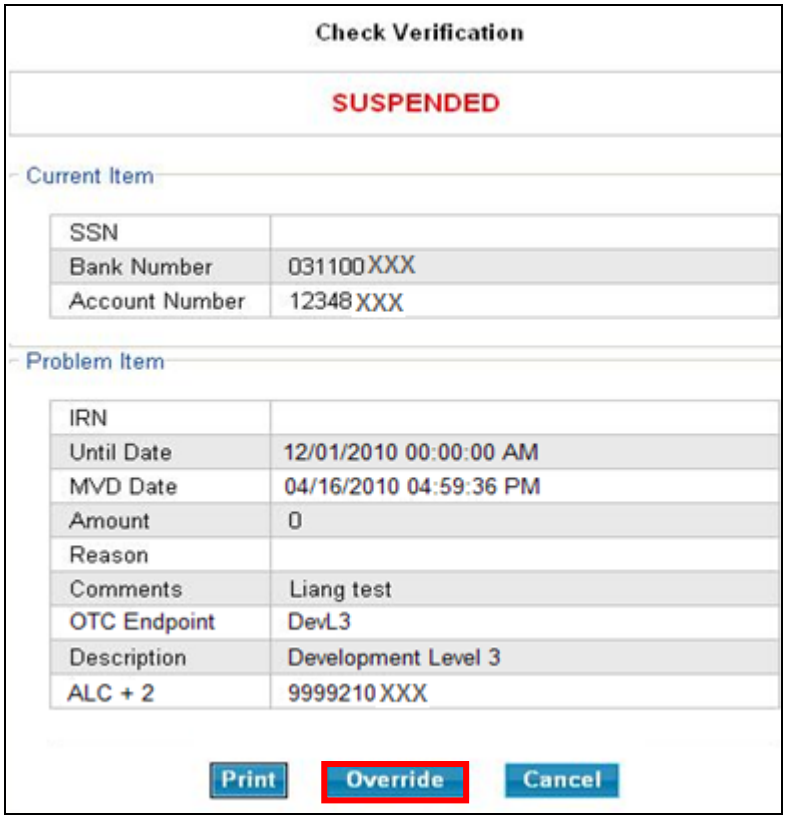
Override a LVD Record

To override an LVD record, complete the following steps:

1. Click **Override** to override the blocked, suspended, or denied check.

   When an override of a blocked check is performed in check capture, the override is a temporary, one-time event. The check remains blocked in the MVD database unless an authorized person clears the item out of the MVD database.

Figure 31. Override Check Denial Box

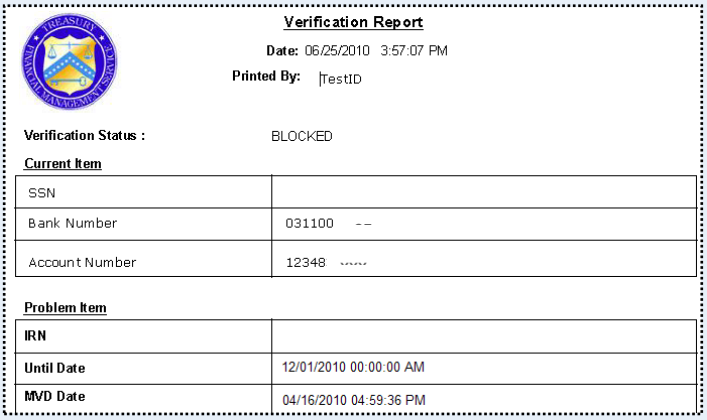


Application Tip

Click **Cancel** to close the Check Verification window. If **Cancel** is clicked, return the check to the customer.

Application Tip

Click **Print** to print the Verification report.



Verification Report

Date: 06/25/2010 3:57:07 PM

Printed By: TestID

Verification Status : BLOCKED

Current Item

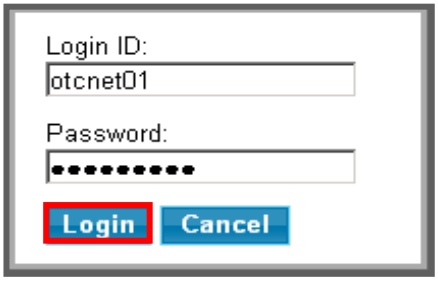
SSN	
Bank Number	031100 --
Account Number	12348 -----

Problem Item

IRN	
Until Date	12/01/2010 00:00:00 AM
MVD Date	04/16/2010 04:59:36 PM

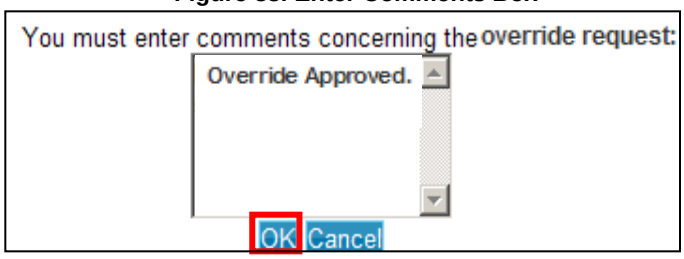
2. An Override Check Denial dialog box appears. Enter the **Login ID** and **Password** and click **Login**. A **Comment** dialog box appears.

Figure 32. Override Login Dialog Box



3. Enter a reason why the check was approved for processing and click **OK**. A notification appears stating the override was successful.

Figure 33. Enter Comments Box



Override a LVD Record

To override a LVD Record, complete the following steps:

1. Click **Override** to override the blocked, suspended, or denied check. An Override Check Denial dialog box appears.

Application Tip

When an override of a blocked check is performed in check capture, the override is a temporary, one-time event. The check remains blocked in the MVD database unless an authorized person clears the item out of the MVD database.

Application Tip

Click **Print** to print the Verification report.

Verification Report

Date: 06/25/2010 3:57:07 PM

Printed By: TestID

Verification Status : BLOCKED

Current Item

SSN	
Bank Number	031100209
Account Number	12348302

Problem Item

IRN	
Until Date	12/01/2010 00:00:00 AM
MVD Date	04/16/2010 04:59:36 PM

Application Tip

Click **Cancel** to close the Check Verification window. If **Cancel** is clicked, return the check to the customer.

2. Enter the **Login ID** and **Password** and click **Login**. A **Comment** dialog box appears.

Application Tip

A **Check Capture Supervisor** must authorize the overriding of the blocked, suspended, or denied check.

3. Enter a reason why the check was approved for processing and click **OK**. A notification appears stating the override was successful.

Topic 7. Perform Batch Control and Batch Balancing

A Check Capture Administrator can configure the terminal for **Batch Control** as *optional* or *mandatory* on batch create, batch close, or both are an optional feature that your Agency can use as a batch balancing tool.

Batch Control can be used to perform balancing on the number of checks that have been scanned, and ensure their respective dollar amounts have been accurately keyed. The **Batch Control** options can be set up for each **OTC Endpoint** which an Agency processes. If it is used, the feature applies to both processing modes, i.e., Single and Batch.

The batch control screen displays the **OTC Endpoint** Information such as the **OTC Endpoint** short name, Description, and ALC+2 for the **OTC Endpoint**. Configuration settings for batch control are established in the **Terminal Configuration**.

If **Batch Control** is set at the Batch Create either optional or mandatory, then the **Batch control** screen will appear before scanning a batch of check and when a new batch is created. Depending on the terminal configuration settings, the batch control fields can appear at the beginning of a batch (prior to scanning the check), just prior to closing a batch, or both.

If **Batch Control** is set to *optional*, the **Defer** button appears on the page. If set to *mandatory for either Batch Create or Batch Close,* the **Defer** button does *not* appear on the page and the user cannot start scanning a batch or close the unbalanced batch. If set to mandatory for both Batch Create and Batch Close, then the Defer button will appear during Batch Create, but a user must enter the batch control value during the Batch Close action.

Set to Appear on Batch Create

If the batch control is set to appear on batch create, OTCnet prompts the **Check Capture Lead Operator** or **Check Capture Operator** to enter the batch control total amount and count *before* scanning a check. If the batch control is set to *optional* on batch create, the operators can choose to click the **Next** button to bypass this step.

Set to Appear on Batch Close

If the batch control is set to appear on batch close, OTCnet prompts the **Check Capture Operator, Check Capture Lead Operator** or **Check Capture Supervisor** to enter the batch control total amount and count. Batch control balancing only occurs when closing an open batch. If the batch control is set to *optional* on batch close, the operators, and **Check Capture Supervisor** can choose to click to **Defer** to skip this step.

Batch Control Options

To use the batch control options on batch create, complete the following steps:

On Batch Create (Optional/ Mandatory)

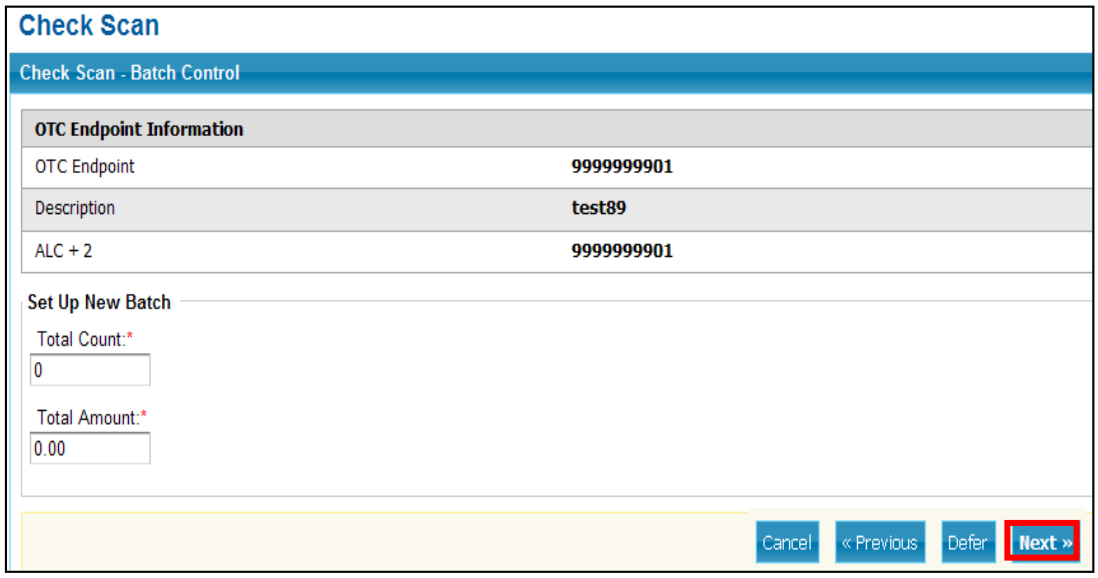
1. From the *Check Scan* page

   Under **Set Up New Batch**,

   - Enter the **Batch Control Count**
   - Enter the **Batch Control Amount**

2. Click **Next**.

Figure 34. Batch Control Page (Batch Create)

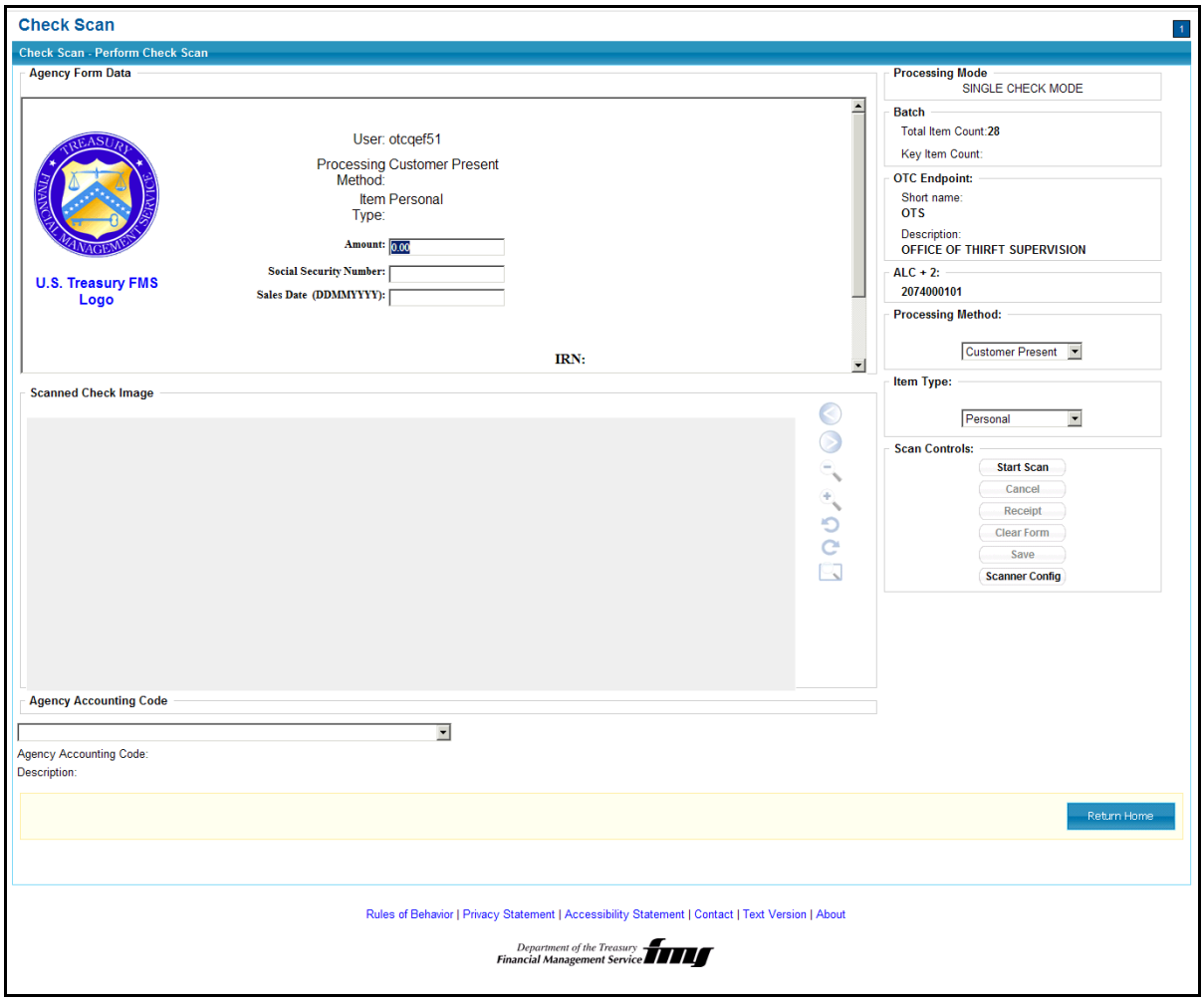


If **Batch Control** is set to mandatory, the **Check Capture Lead Operator** or **Check Capture Operator** must enter the **Batch Control** count and amount. The Batch Control count and amount cannot be zero.

If **Batch Control** is set to optional, the **Check Capture Lead Operator** or **Check Capture Operator** can click the **Defer** button.

3. The *Check Scan-Perform Check Scan* page appears. Perform check scanning as needed.

Figure 35. Perform Check Scan Page (after Batch Control)



On Batch Close (Optional/ Mandatory)

To use the batch control options on batch close, complete the following steps:

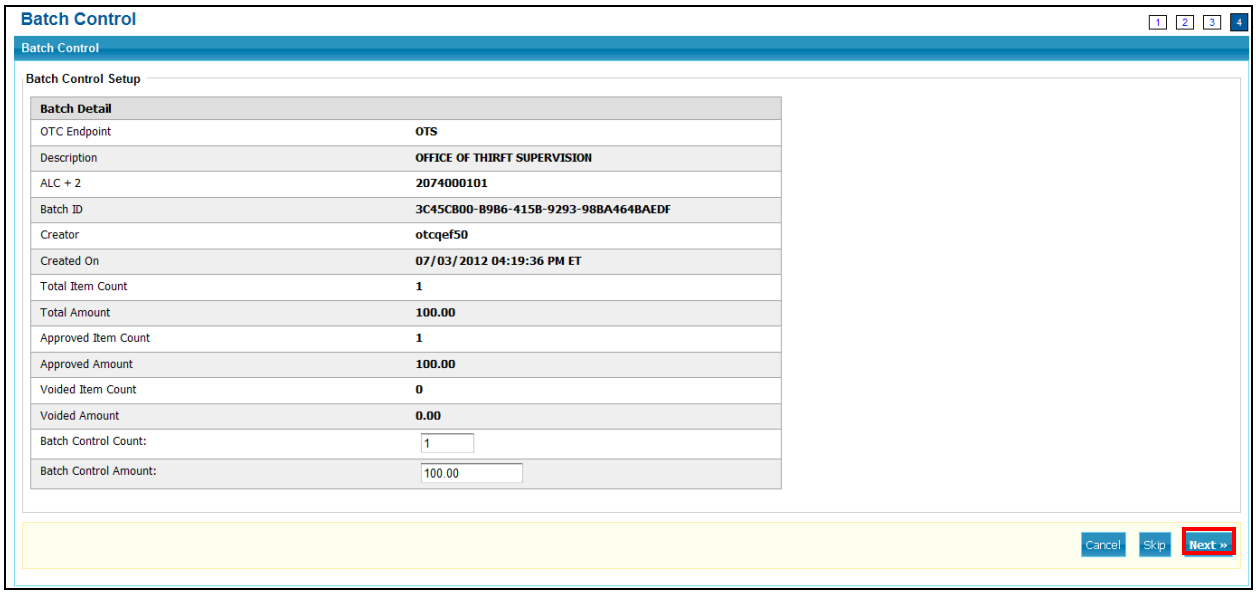
1. From the *Batch Control* page

   Under **Batch Detail**,

   - Enter the **Batch Control Count**
   - Enter the **Batch Control Amount**

2. Click **Next**.

Figure 36. Batch Control Page (Batch Close)



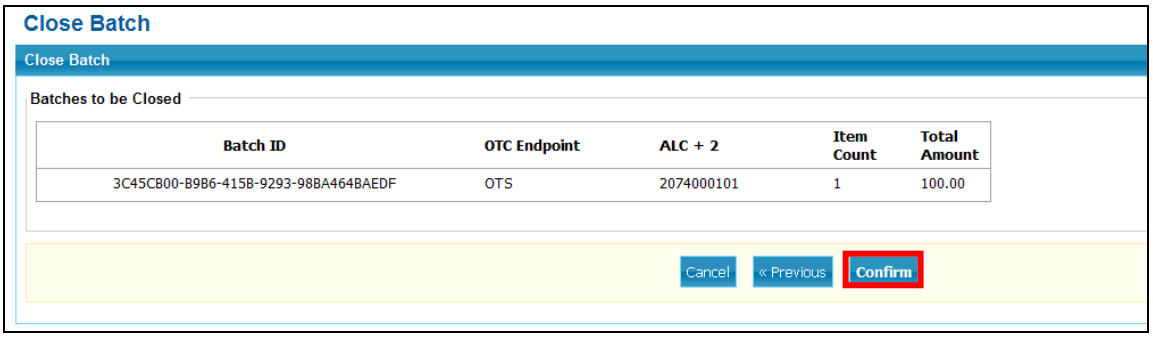
If **Batch Control** is set to optional, the **Check Capture Lead Operator**, **Check Capture Operator**, or **Check Capture Supervisor** can choose to click to **Next** button without entering the **Batch Control** count and amount.

If the amount of a check item was incorrectly entered, click **Cancel** to return to the OTCnet Home Page. No data is saved. Refer to refer to *Chapter 5. Correcting Scanned Checks* of the OTCnet Participant User Guides.

If you are a **Check Capture Lead Operator** or **Check Capture Operator** and discover that the amount of the check item was incorrectly entered, contact your **Check Capture Supervisor,** and edit the check using the *Show Item* window.

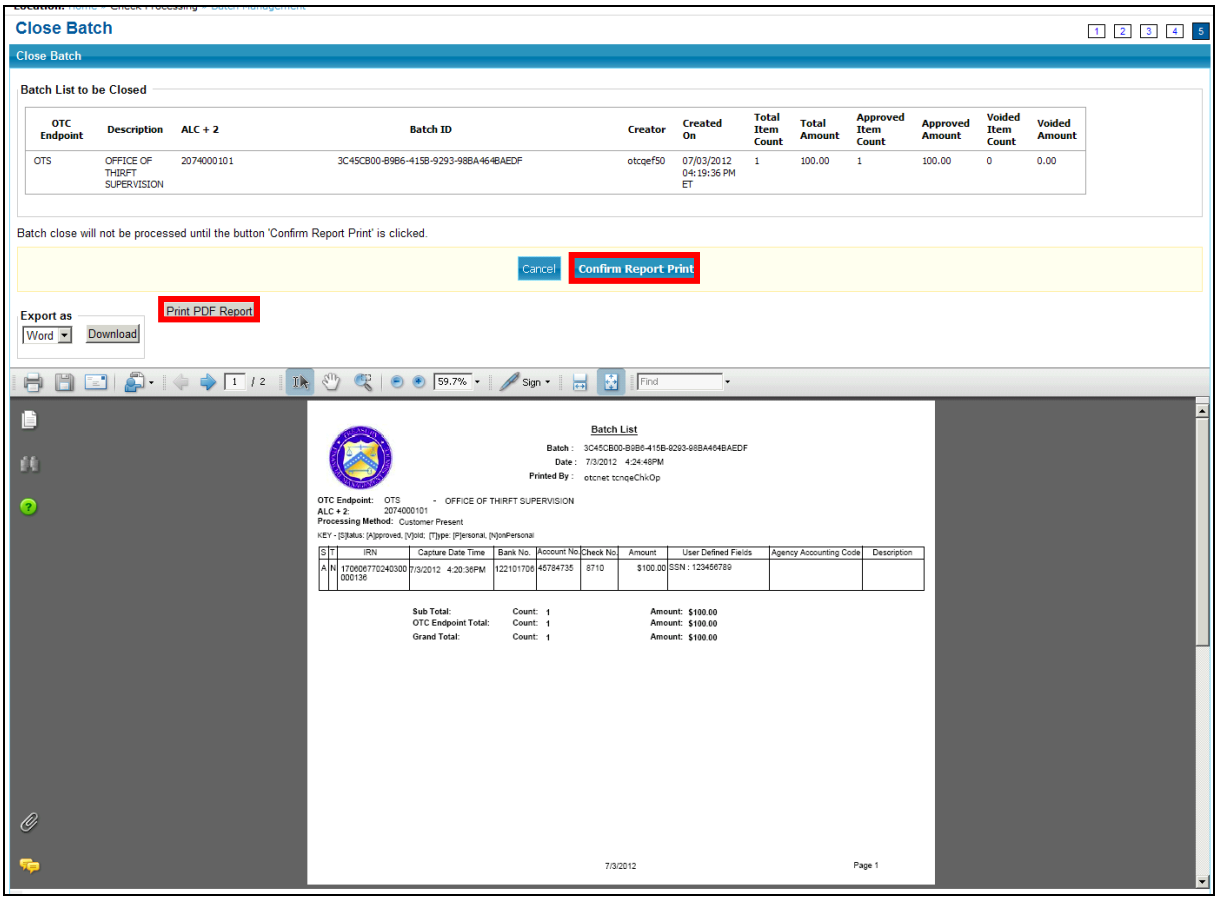
3. The *Close Batch* page appears. Verify the batch (es) to close and click **Confirm.** In OTCnet, a user can close one or multiple batches at a time.

Figure 37. Close Batch Page (Batch Close)



4. Click **Print PDF Report** to print the batch list report. Click **Confirm Report Print** when you have printed the report

Figure 38. Print Batch List Report (Batch Close)



Perform Batch Control (Optional or Mandatory)

To perform batch control on batch create, complete the following steps:

1. From the *Check Scan* page,

   Under **Set Up New Batch**,

   - Enter the **Batch Control Count**
   - Enter the **Batch Control Amount**

Application Tip

If Batch Control is set to mandatory, the **Check Capture Lead Operator** or **Check Capture Operator** must enter the batch control count and amount. The batch control count and amount cannot be zero.

Application Tip

If Batch Control is set to optional, the **Check Capture Lead Operator** or **Check Capture Operator** can click the **Defer** button.

2. Click **Next**. Perform **Check Scan**. The *Check Scan-Perform Check Scan* page appears.
3. Scan check(s) as needed.

To perform batch control on batch close, complete the following steps:

1. From the *Batch Control* page,

   - Under **Batch Detail**,
     - Enter the **Batch Control Count**
     - Enter the **Batch Control Amount**

2. Click **Next**. The *Close Batch* page appears.

Application Tip

If Batch Control is set to optional, the **Check Capture Lead Operator**, **Check Capture Operator**, or **Check Capture Supervisor** can choose to click to **Next** button without entering the batch control count and batch control amount.

Application Tip

If the amount of a check item was incorrectly entered, click **Cancel** to return to the OTCnet Home Page. No data is saved. Refer to *Chapter 5. Correcting Scanned Checks* of the *OTCnet Participant User Guide*. If you are a **Check Capture Lead Operator** or **Check Capture Operator** and discover that the amount of the check item was incorrectly entered, contact your **Check Capture Supervisor,** and edit the check using the Show Item window.

3. Continue batch close process and print batch list report.

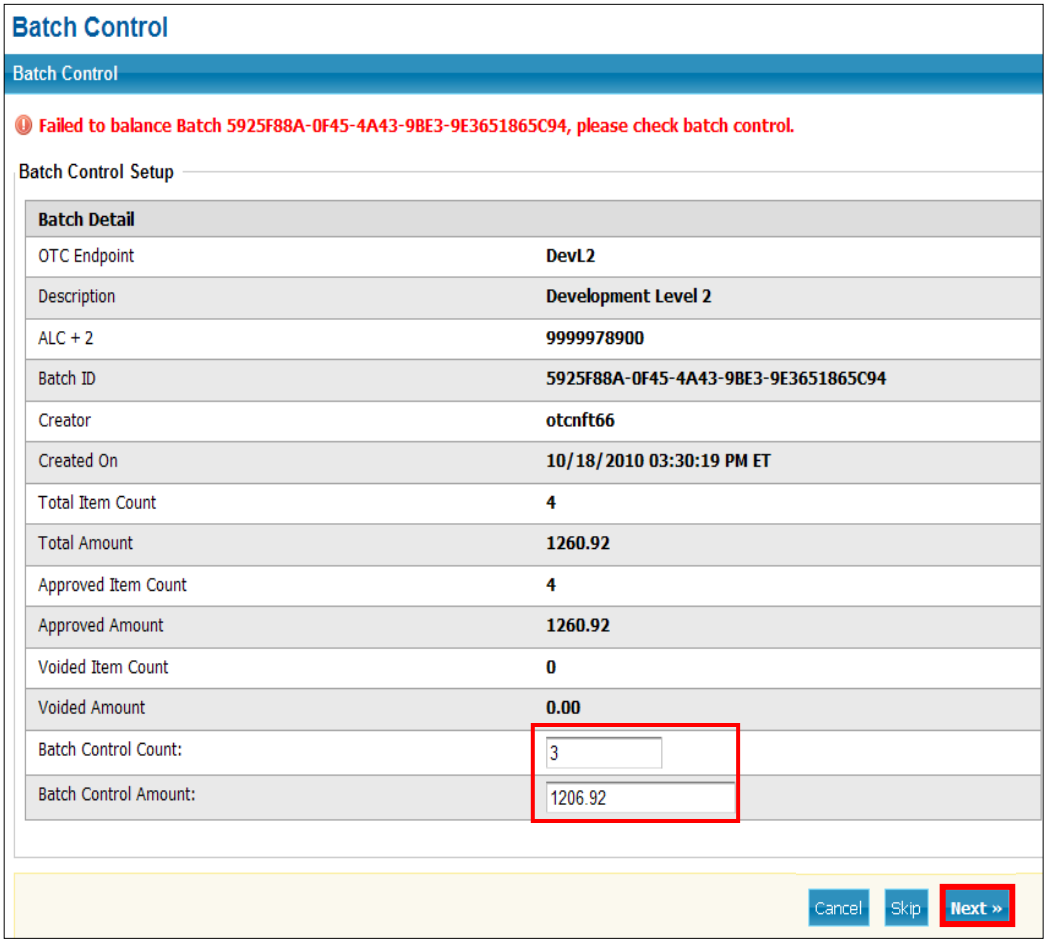
Batch Balancing

If the totals that are keyed into the **Batch Control** screen do not match what was keyed into the data entry screen, a **Batch Balancing** screen appears on batch close. This screen only appears if there is a discrepancy between the totals. To reconcile the discrepancy, the operator must discover where the problem exists.

The **Batch Control** (balancing) screen displays the **Batch Detail**. Open fields include the Batch Control Count and Batch Control Amount. If these fields do not match those which you see to the right of the Approved Item Count and Approved Amount, then an error will display; *Failed to balance Batch (batch number), please check batch control*.

If batch control is set to *Mandatory* and the batch is not balanced at this point (Batch Control Count and Batch Control Amount), a user may not proceed with closing a batch. However, if **Batch Control** is set to *Optiona*l, a user may click **Next** below, to continue closing the batch.

Figure 39. Batch Balancing Screen (Failed to Balance)



Below, are some important **Batch Detail** descriptions that you should know:

- **Total Item Count:** The number of checks that have been scanned in OTCnet.
- **Batch Control Count:** The number of checks keyed into the **Batch Control** screen by the operator.
- **Total Amount:** The total dollar amount of the items as keyed into the Agency form data fields when scanning checks.
- **Batch Control Total:** The total dollar amount of the checks keyed into the Batch Control screen by the operator.

It must be determined if there is an erroneously scanned item, or if the batch should contain both of the items. The operator needs to go back to the source documents for an answer. If it is determined that the batch should contain both items, the operator would change the number in the **Batch Control Count** field and/or the dollar amount in the **Batch Control Total**.

If it has been determined that the batch does include an erroneously scanned item, follow these steps:

1. Click on the erroneous amount.
2. Click **Void** button.
3. Enter comments concerning the void request and click **Ok.**
4. Click **OK** to confirm the void request. The *Confirmation* message appears.

Note: A **Check Capture Supervisor** will need to log in at the prompt, if the **Void** option is clicked.

Topic 8. View and Print a Batch List/ Item Detail Report

As a **Check Capture Supervisor**, **Check Capture Lead Operator,** and **Check Capture Operator**, you can view and print a **Batch List** report and an **Item Detail** report. An operator can print a **Batch List** for any deposits with any deposit status (i.e. Open, Closes, Approved, Forward). A **Batch List** consists of all transactions that have been processed by OTCnet. A user can view batch lists based on the search criteria applied.

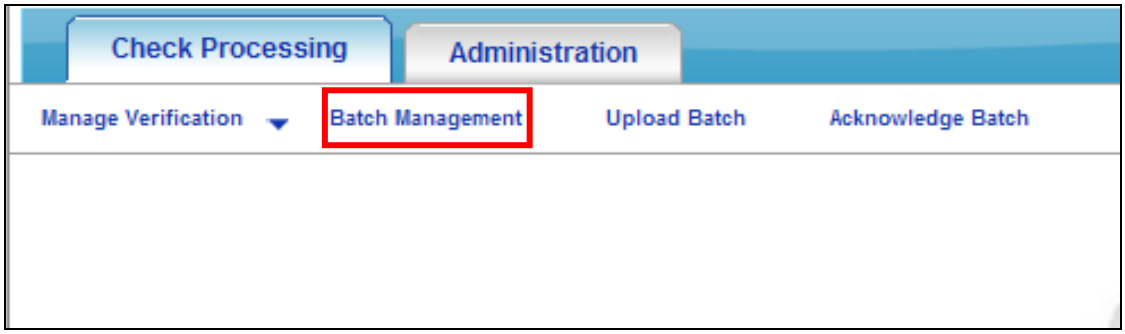
The printing of a **Batch List** is part of the batch close procedure. During batch close, the system prompts to make certain that the user acknowledges the printout of the **Batch List**. The **Print PDF Report** button defaults to print in PDF format; however a user may also opt to download and save the report in an alternate format such as Word, HTML, Excel, etc.

From the *Close Batch* page, a user can perform several actions on the same screen (such as Activate/Deactivate, Close and Approve Batches), based on their permissions.

Batch List Report

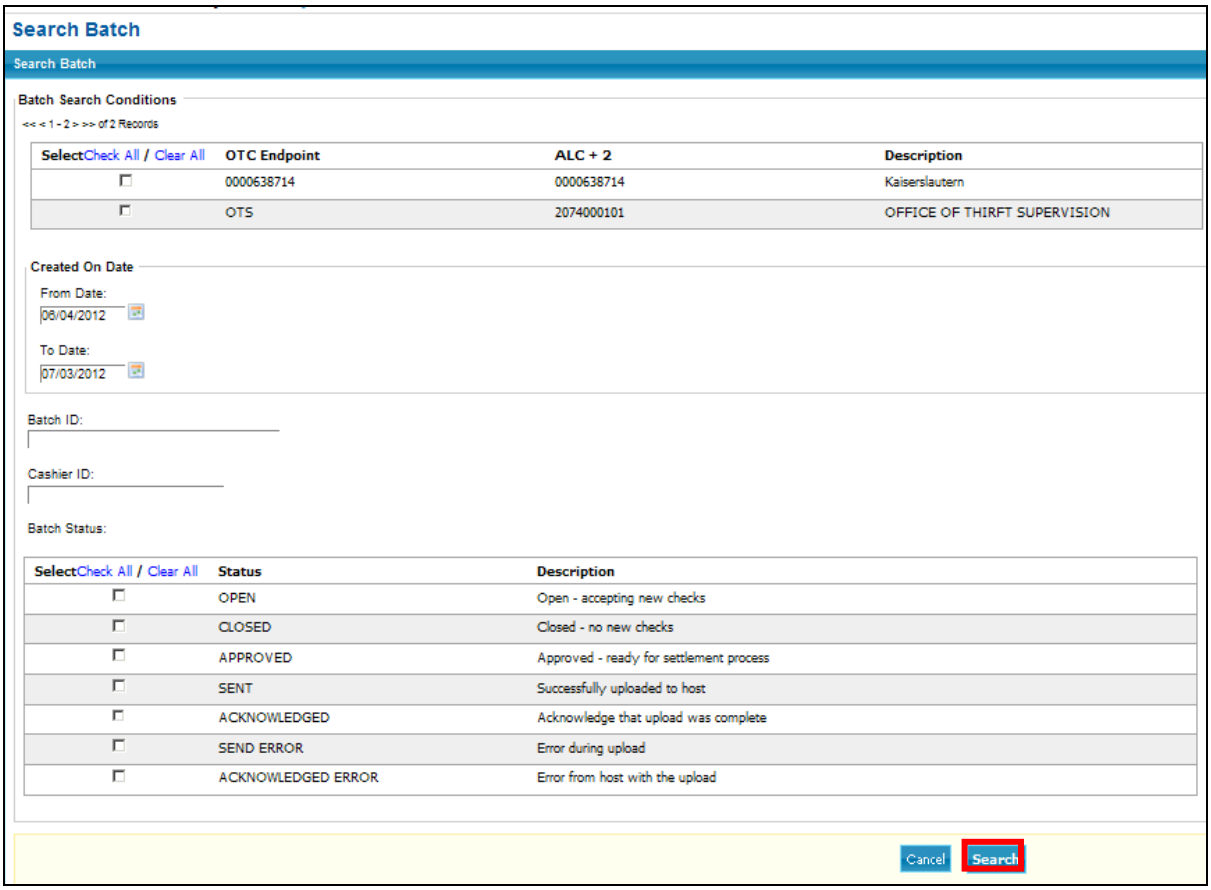
1. Click the **Check Processing** tab and click **Batch Management**.

Figure 40. Check Batch Management (View Batch)



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view, and then click **Search**.

Figure 41. Search Batch Page (View Batch)



Note:

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Enter the **Batch ID,** *optional*

Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

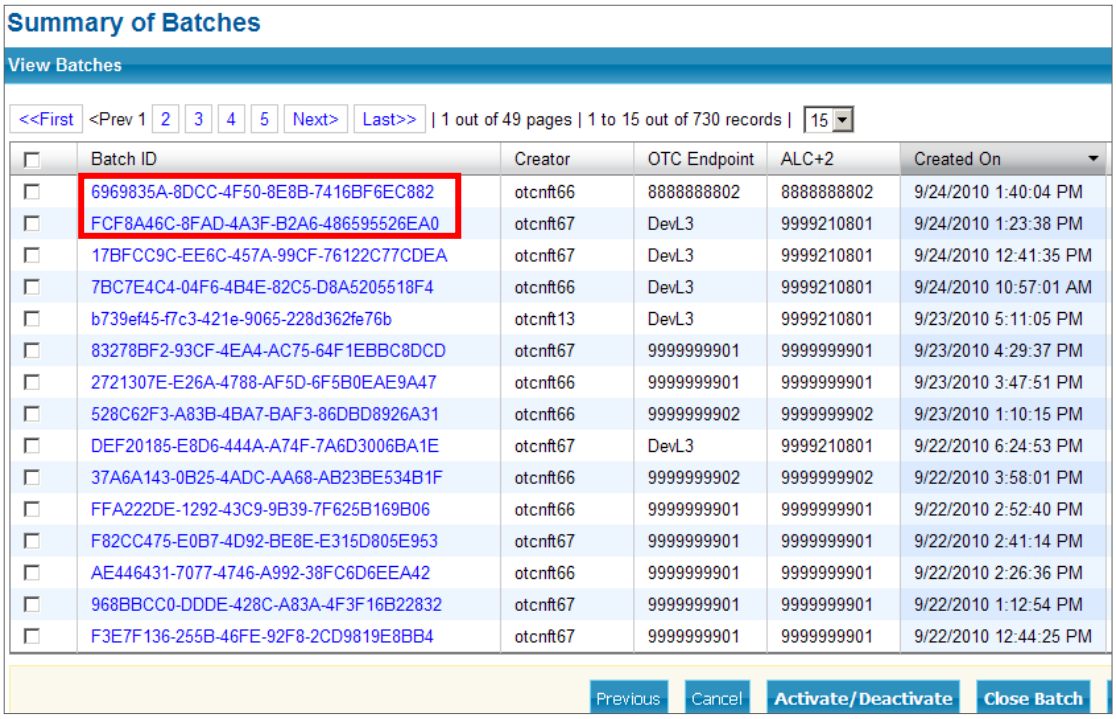
Enter the **Cashier ID**

Under **Batch Status**, *optional*

Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

4. The *View Batches* page appears. Click the **Batch ID** hyperlink.
   If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

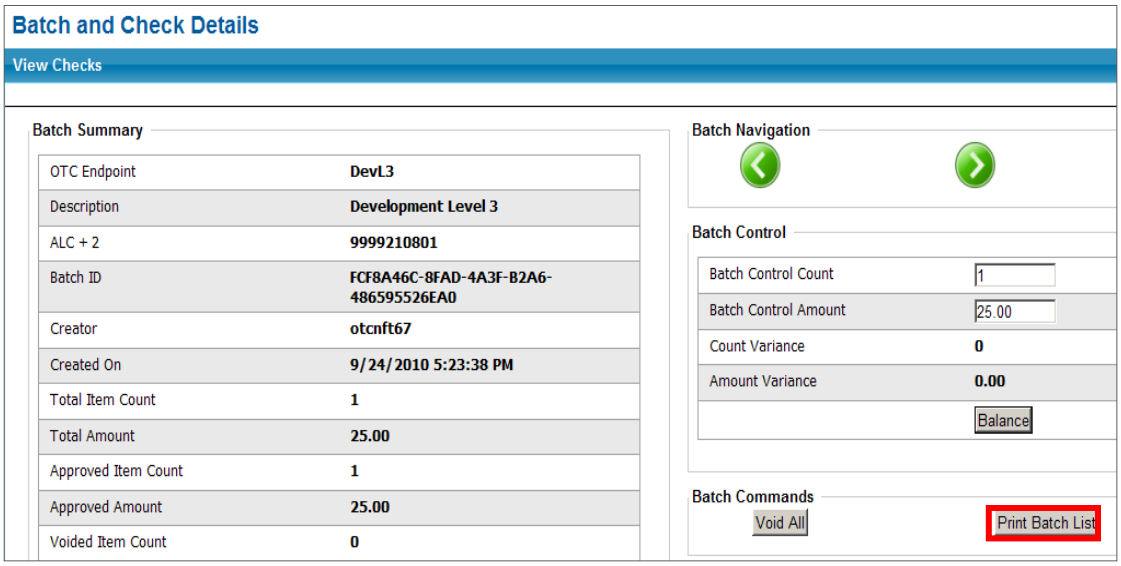
Figure 42. View Batches Page (View Batch)



Batch ID	Creator	OTC Endpoint	ALC+2	Created On
6969835A-8DCC-4F50-8E8B-7416BF6EC882	otcnft66	8888888802	8888888802	9/24/2010 1:40:04 PM
FCF8A46C-8FAD-4A3F-B2A6-486595526EA0	otcnft67	DevL3	9999210801	9/24/2010 1:23:38 PM
17BFCC9C-EE6C-457A-99CF-76122C77CDEA	otcnft67	DevL3	9999210801	9/24/2010 12:41:35 PM
7BC7E4C4-04F6-4B4E-82C5-D8A5205518F4	otcnft66	DevL3	9999210801	9/24/2010 10:57:01 AM
b739ef45-f7c3-421e-9065-228d362fe76b	otcnft13	DevL3	9999210801	9/23/2010 5:11:05 PM
83278BF2-93CF-4EA4-AC75-64F1EBBC8DCD	otcnft67	9999999901	9999999901	9/23/2010 4:29:37 PM
2721307E-E26A-4788-AF5D-6F5B0EAE9A47	otcnft66	9999999901	9999999901	9/23/2010 3:47:51 PM
528C62F3-A83B-4BA7-BAF3-86DBD8926A31	otcnft66	9999999902	9999999902	9/23/2010 1:10:15 PM
DEF20185-E8D6-444A-A74F-7A6D3006BA1E	otcnft67	DevL3	9999210801	9/22/2010 6:24:53 PM
37A6A143-0B25-4ADC-AA68-AB23BE534B1F	otcnft66	9999999902	9999999902	9/22/2010 3:58:01 PM
FFA222DE-1292-43C9-9B39-7F625B169B06	otcnft66	9999999901	9999999901	9/22/2010 2:52:40 PM
F82CC475-E0B7-4D92-BE8E-E315D805E953	otcnft67	9999999901	9999999901	9/22/2010 2:41:14 PM
AE446431-7077-4746-A992-38FC6D6EEA42	otcnft66	9999999901	9999999901	9/22/2010 2:26:36 PM
968BBCC0-DDDE-428C-A83A-4F3F16B22832	otcnft67	9999999901	9999999901	9/22/2010 1:12:54 PM
F3E7F136-255B-46FE-92F8-2CD9819E8BB4	otcnft67	9999999901	9999999901	9/22/2010 12:44:25 PM

5. The *Batch and Check Details* page appears. Click **Print Batch List**.

Figure 43. View Checks Page (View Batch)

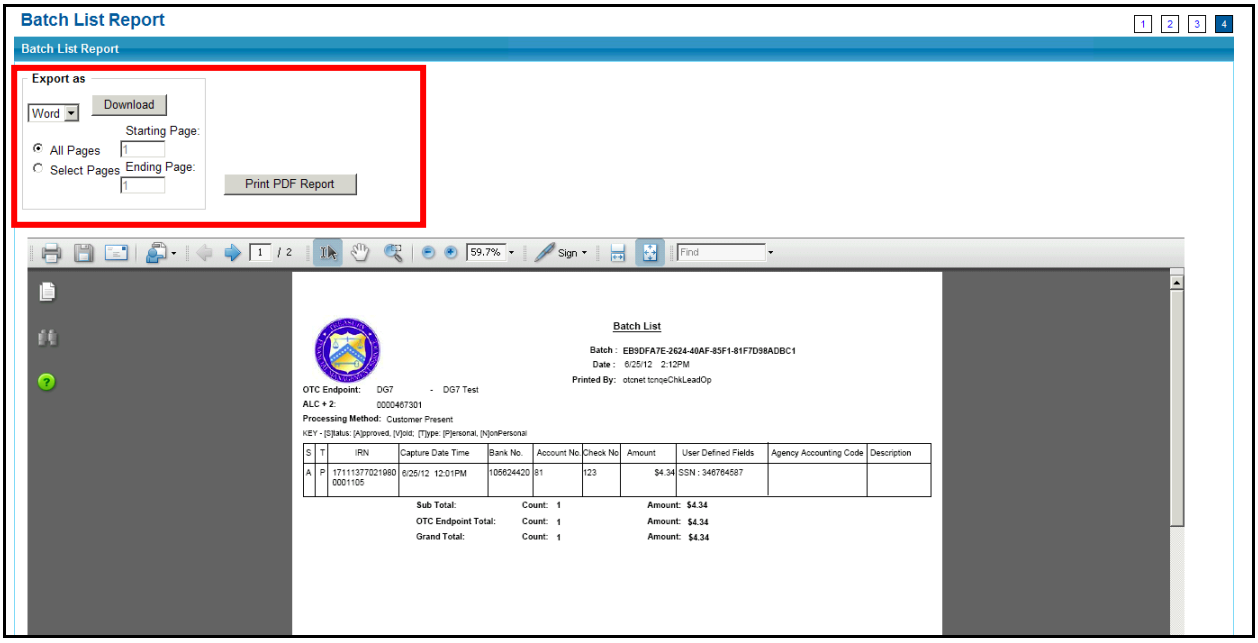


OTC Endpoint	DevL3
Description	Development Level 3
ALC + 2	9999210801
Batch ID	FCF8A46C-8FAD-4A3F-B2A6-486595526EA0
Creator	otcnft67
Created On	9/24/2010 5:23:38 PM
Total Item Count	1
Total Amount	25.00
Approved Item Count	1
Approved Amount	25.00
Voided Item Count	0

6. The *Batch List Report* page appears.
   Under **Export as**,

   - Select **Word**, **Excel**, **RTF**, or **PDF**
   - Select **All Pages** or **Select Pages Ending Page** radio button.
   - Enter a **Starting Page** and **Ending Page**
   - Click **Download**
     Or
   - Click **Print PDF Report**.

Figure 44. Batch List Report Page

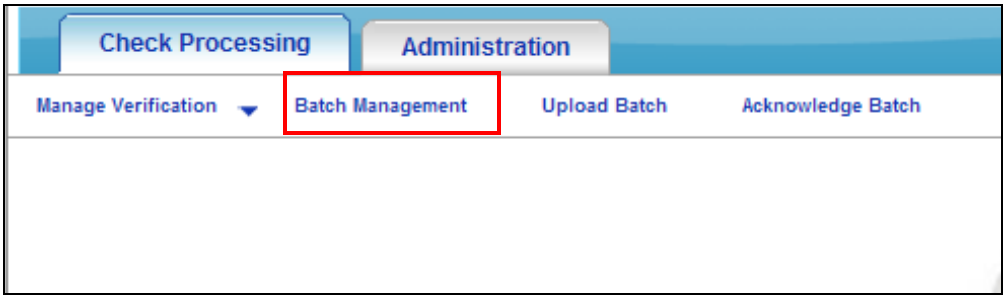


Item Detail Report

To run an item detail report, complete the following steps:

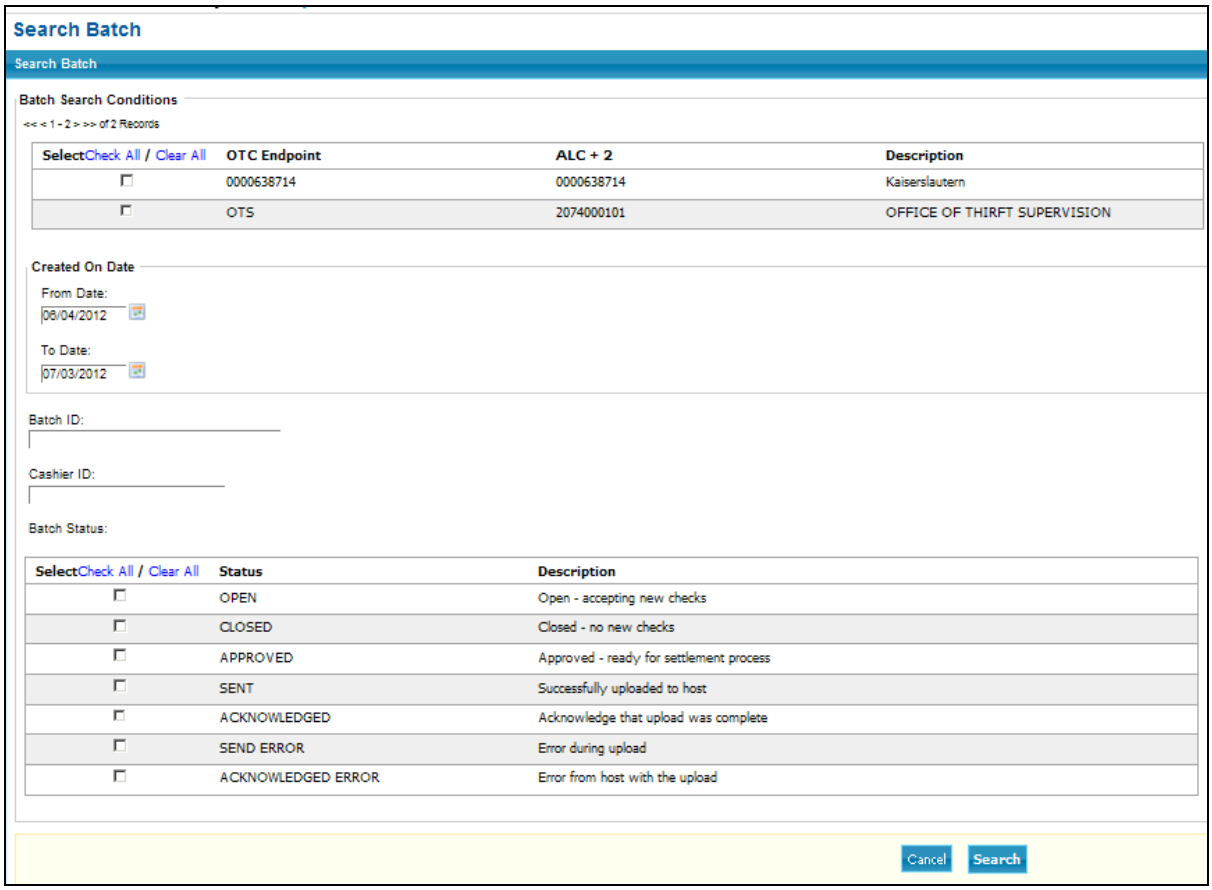
1. Click the **Check Processing** tab and click **Batch Management**

Figure 45. Batch Management



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view then click **Search**.

Figure 46. Search Batch



Note:

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. Additionally, if more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

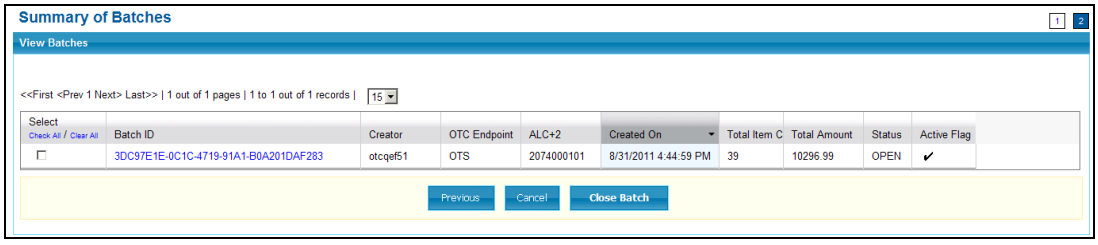
- Enter the **Cashier ID**

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

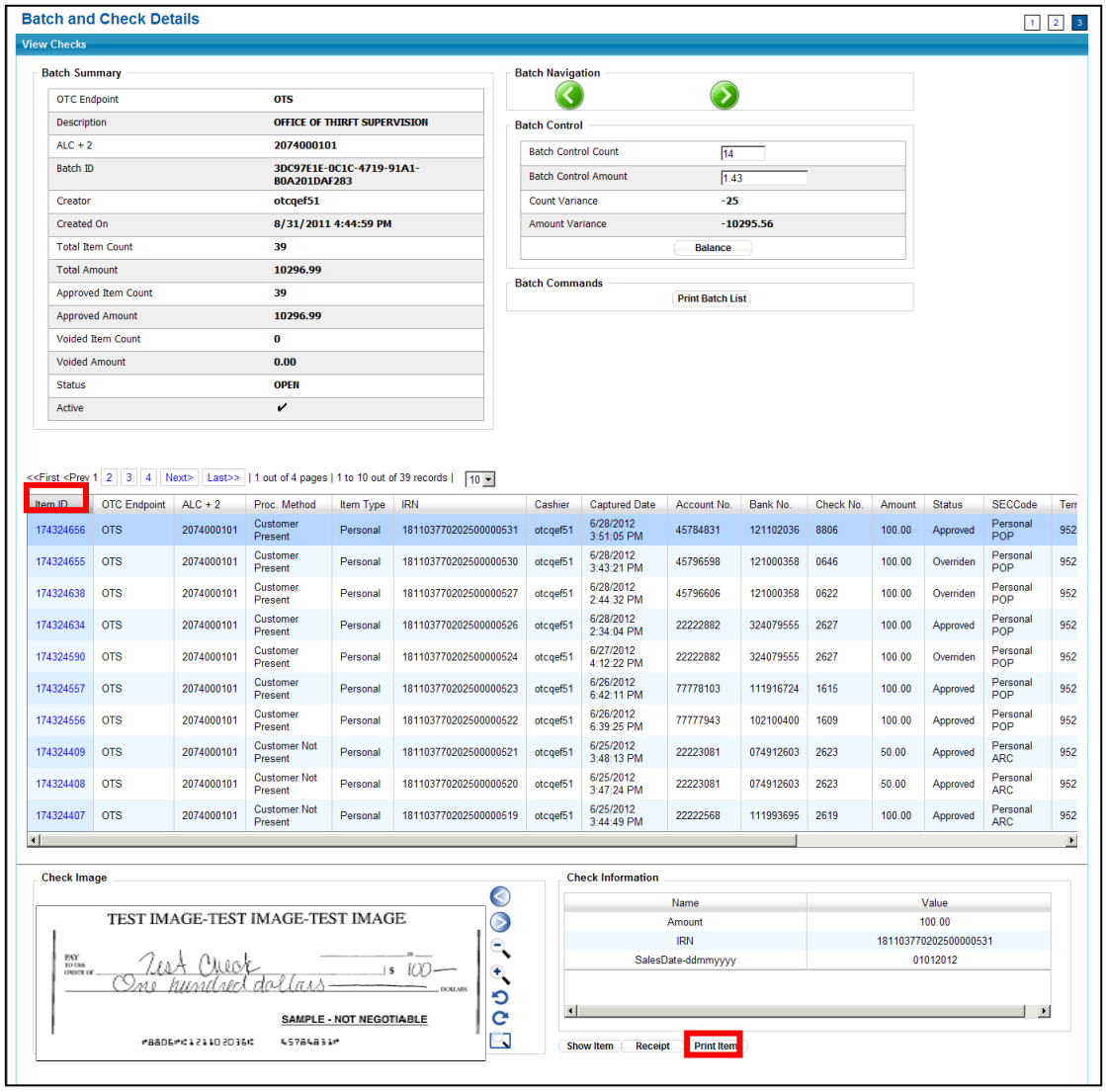
3. The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 47. Summary of Batches



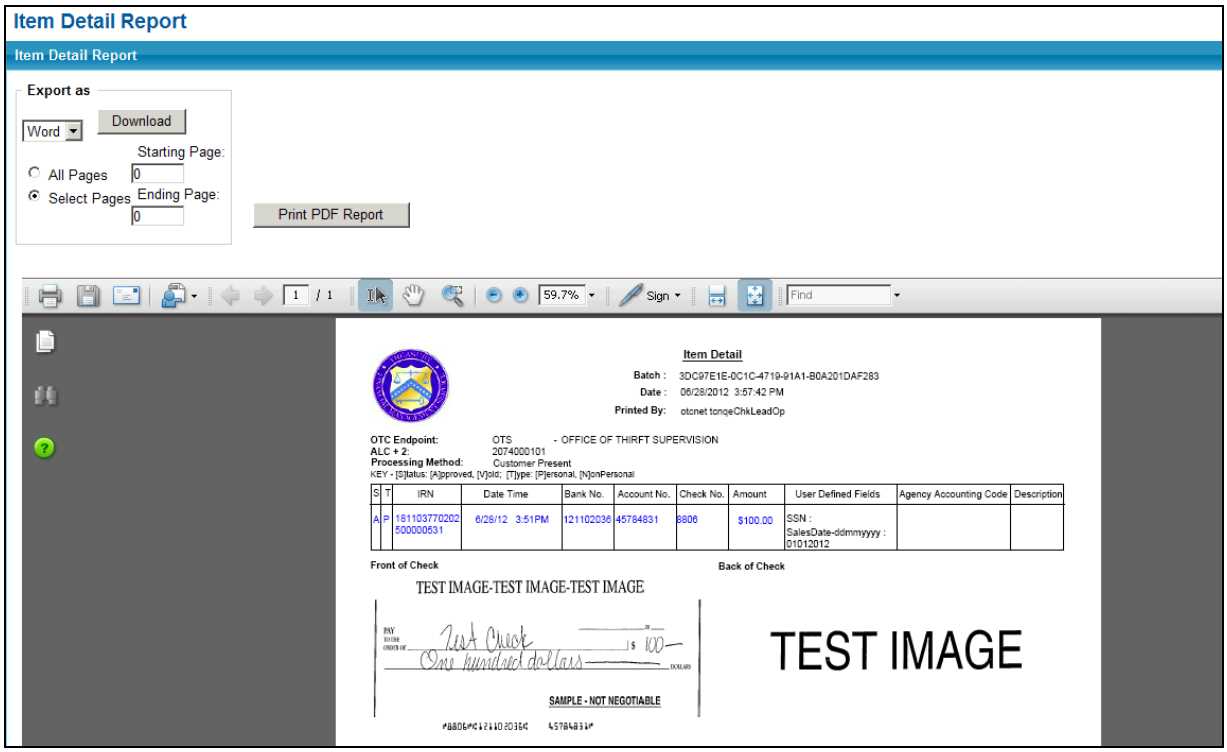
4. The *Batch and Item Details* page appears. Click the **Item ID** of each scanned check, then click **Print Item** for the specific check item you want to print. If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 48. View Checks Page/ Item ID Select



5. The *Item Detail Report* appears

Figure 49. Item Detail Report



Under **Export as**,

- Select **Word**, **Excel**, **RTF**, or **PDF**
- Select **All Pages** or **Select Pages Ending Page** radio button
- Enter a **Starting Page** and **Ending Page**
- Click **Download**

  Or
- Click **Print PDF Report**

View and Print a Batch List Report

To view and print a Batch List report, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like view.

> **Application Tip**
>
> If you run a search ***with*** or ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **From** and **To** date range

> **Application Tip**
>
> The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

> **Application Tip**
>
> The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

> **Application Tip**
>
> If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *Batch and Check Details* page appears.
6. Click **Print Batch List**. The *Batch List Report* page appears.

Under **Export as**,

- Select **Word**, **Excel**, **RTF**, or **PDF**
- Select **All Pages** or **Select Pages Ending Page** radio button
  - Enter a **Starting Page** and **Ending Page**
- Click **Download**

  Or
- Click **Print PDF Report**.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Previous** to return to the previous page.
- Click **Cancel** to cancel the transaction. No data will be saved.

View and Print an Item Detail Report

To view and print an Item Detail report, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.
3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

> **Application Tip**
>
> If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *Batch and Item Details* page appears.
6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.
7. Click **Print Item**. The *Item Detail Report* appears.
8. Under **Export as**,
   - Select **Word**, **Excel**, **RTF**, or **PDF**
   - Select **All Pages** or **Select Pages Ending Page** radio button.
     - Enter a **Starting Page** and **Ending Page**.
   - Click **Download**

     Or
   - Click **Print PDF Report**.

> **Application Tip**
>
> Additional buttons on the pages that help you perform other tasks:
> - Click **Previous** to return to the previous page.
> - Click **Cancel** to cancel the transaction. No data will be saved.

Topic 9. Activate/Deactivate a Batch

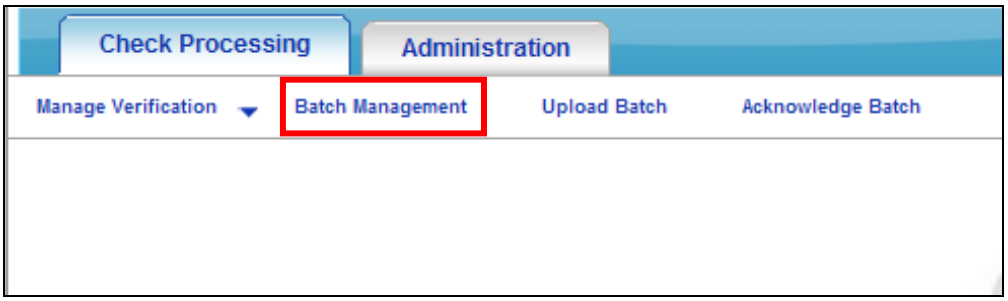
A **Check Capture Supervisor** can deactivate a batch if there is a problem with an item within the batch and further research is needed. Deactivating a batch prevents it from being closed or approved for settlement. A deactivated batch must be activated before it can be closed or approved for settlement.

The deactivated batch is retained for as long as the configuration settings allow. Only batches that are in an open or closed state can be deactivated or activated. A batch currently in use cannot be deactivated.

Activating/ Deactivating

1. Click the **Check Processing** tab and click **Batch Management**

Figure 50. Batch Management (Activate/Deactivate)



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search.** Only batches with an **Open** or **Closed** status can be activated/deactivated.

Note:

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

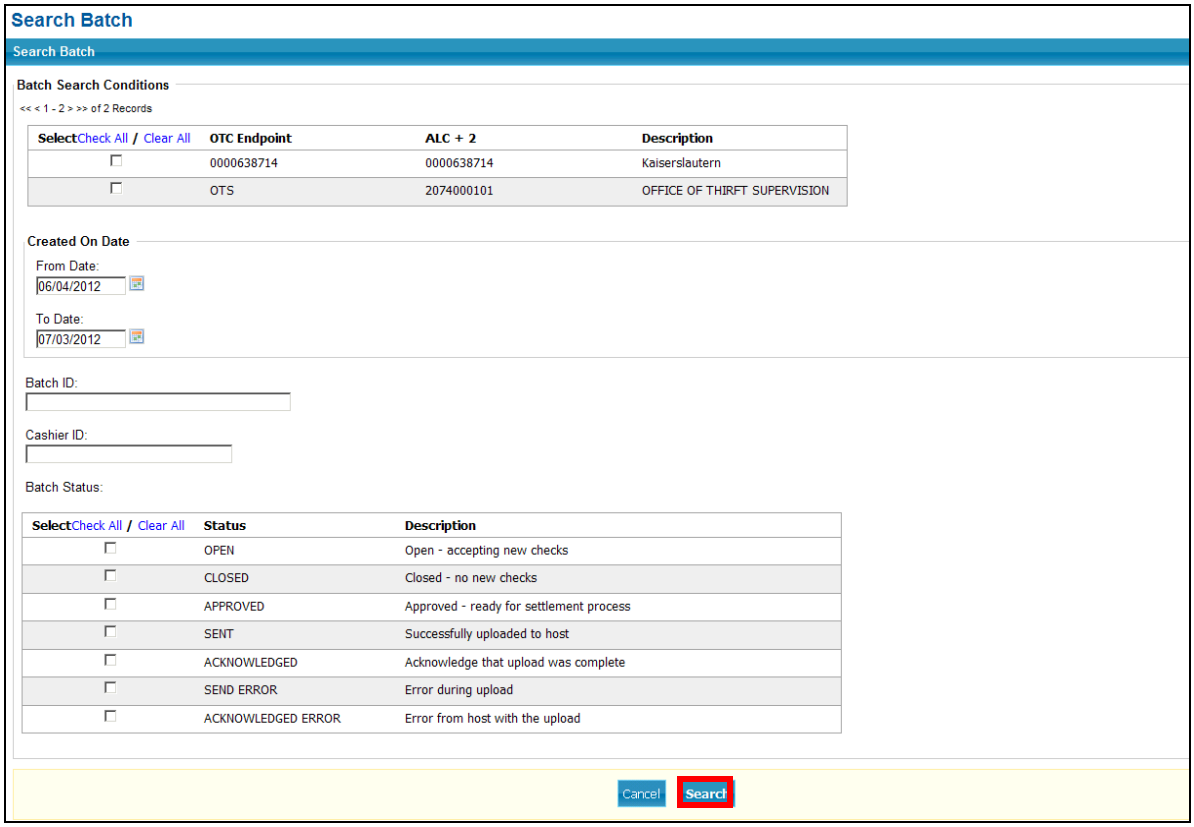
Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

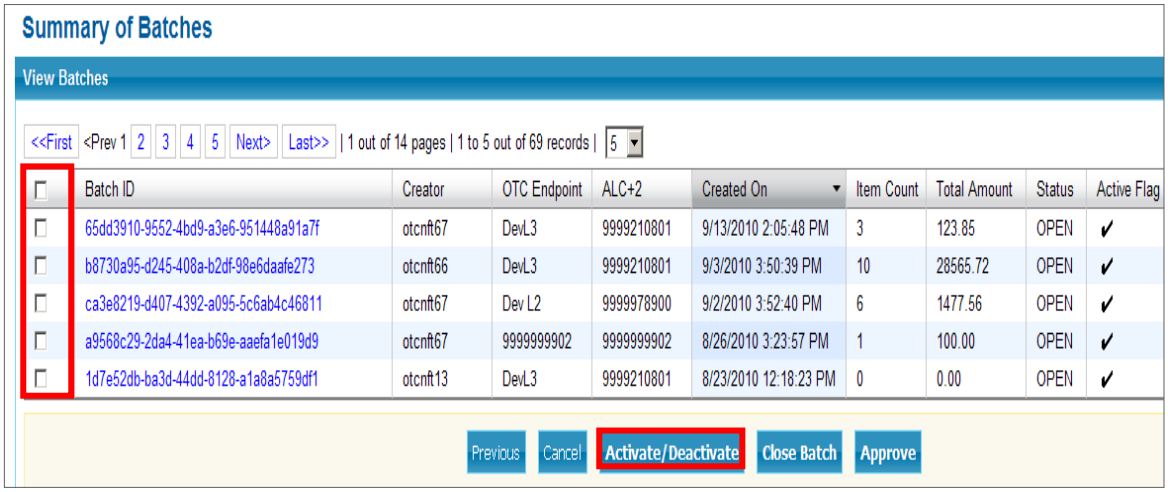
Figure 51. Search Batch Page (Activate/Deactivate)



3. The *View Batches* page appears. Check the checkbox (es) of the **Batch ID(es)** you want to activate or deactivate and click **Activate/Deactivate**.
   If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

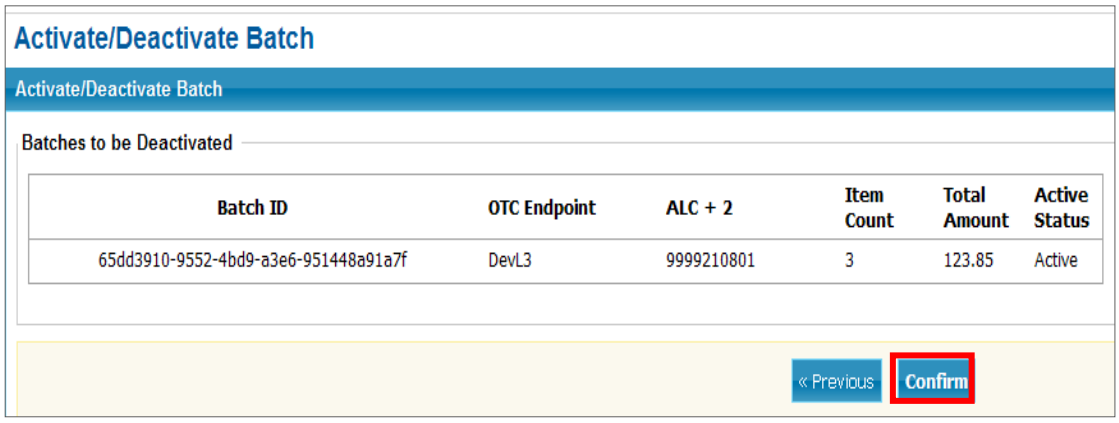
   If a batch is activated or deactivated, a check appears under the **Active Flag** column. If a batch is deactivated, the **Active Flag** column is blank.

Figure 52. View Batches Page (Activate/Deactivate)



Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count	Total Amount	Status	Active Flag
65dd3910-9552-4bd9-a3e6-951448a91a7f	otcnft67	DevL3	9999210801	9/13/2010 2:05:48 PM	3	123.85	OPEN	✓
b8730a95-d245-408a-b2df-98e6daafe273	otcnft66	DevL3	9999210801	9/3/2010 3:50:39 PM	10	28565.72	OPEN	✓
ca3e8219-d407-4392-a095-5c6ab4c46811	otcnft67	Dev L2	9999978900	9/2/2010 3:52:40 PM	6	1477.56	OPEN	✓
a9568c29-2da4-41ea-b69e-aaefa1e019d9	otcnft67	9999999902	9999999902	8/26/2010 3:23:57 PM	1	100.00	OPEN	✓
1d7e52db-ba3d-44dd-8128-a1a8a5759df1	otcnft13	DevL3	9999210801	8/23/2010 12:18:23 PM	0	0.00	OPEN	✓

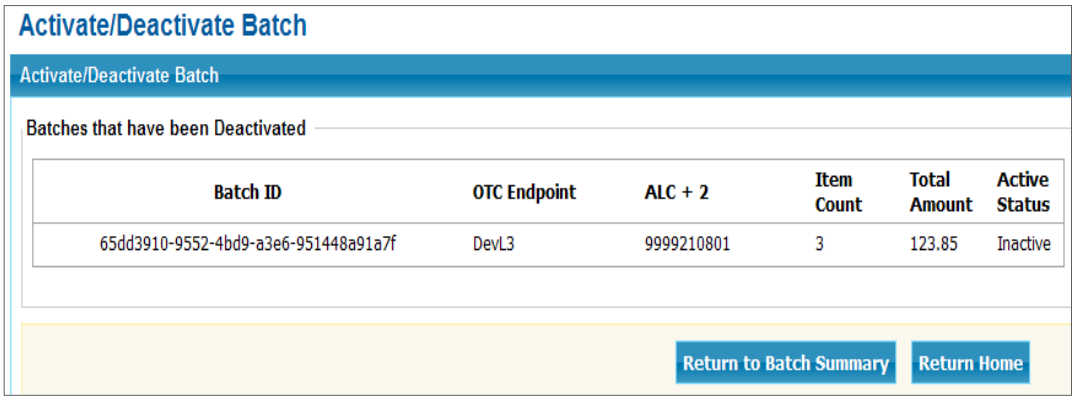
Figure 53. Activate/ Deactivate Batch Page



Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount	Active Status
65dd3910-9552-4bd9-a3e6-951448a91a7f	DevL3	9999210801	3	123.85	Active

4. A message appears stating the batch (es) have been deactivated/activated and the value under **Active Status** updates to Active/Inactive.

Figure 54. Batch Activate/ Activate Confirmation



Activate/Deactivate a Batch

To activate/deactivate, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.

Application Tip

Before you can activate/deactivate batches offline, you must first access the **OTCnet Offline** icon on your terminal's desktop and enter your User ID and password. After you have successfully logged on you can search for the batch.

Application Tip

To determine if your terminal is connected to the online OTCnet server, refer to the Connection Status indicator located on the top-right of the page. If the Connection Status is green, the terminal is connected to the online OTCnet server. If the Connection Status indicator is red, the terminal is not connected to the online OTCnet server.

3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*

   - Select the **OTC Endpoint** you want to activate/deactivate a batch for by checking the box under the **Select** column

   Under **Created On Date**, *optional*

   - Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of date.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to activate/deactivate by checking the **Open** and/or **Closed** boxes under the **Select** column

Application Tip

Only batches with an **Open** or **Closed** status can be activated/deactivated.

4. Click **Search**. The *Summary of Batches* page appears.

5. Check the checkbox of the **Batch ID** you want to activate or deactivate and click **Activate/Deactivate**. The *Activate/Deactivate Batch* page appears.

Application Tip

If a batch is activated or deactivated a check appears under the **Active Flag** column. If a batch is deactivated, the **Active Flag** column is blank.

6. Click **Confirm**. A message appears stating the batch(es) have been activated/deactivated and the value under **Active Status** updates to Active/Inactive.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Return to Batch Summary** to return to the batch summary page.
- Click **Return Home** to return to the OTCnet homepage.

Topic 10. Close a Batch

If you are assigned the role of **Check Capture Supervisor (CCS), Check Capture Operator (CCO)** or **Check Capture Lead Operator (CCLO)**, you are the only authorized users who can close a batch or multiple batches. You can only close batches for **OTC Endpoints** you have permission to access.

Before you can close a batch or multiple batches, you must first search for the batch. You can search for batches by **OTC Endpoint**, **Created On Date**, **Batch ID**, **Cashier ID**, and/or **Batch Status**. If you run a search without specifying any criteria, the search results can include all batches in the system that you have access to view. There are seven batch status types, see Table 4 for details below.

Table 4. Batch Status Types

Batch Status Types	
Open	Indicates the batch is open and you can continue scanning checks to it.
Closed	Indicates the batch is closed and no new checks are accepted
Approved	Indicates the batch is ready for upload and settlement.
Sent	Indicates the batch was uploaded online without error.
Acknowledged	Indicates the batch was transmitted and fully processed by OTCnet server without error.
Send Error	Indicates the batch upload experienced system errors and the batch was not successfully uploaded, or a user selected to cancel the batch upload and the system halted the upload.
Acknowledged Error	Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which results in a batch being updated to Acknowledgment Error. Batches that are in Acknowledged Error state have the ability to be re-uploaded.

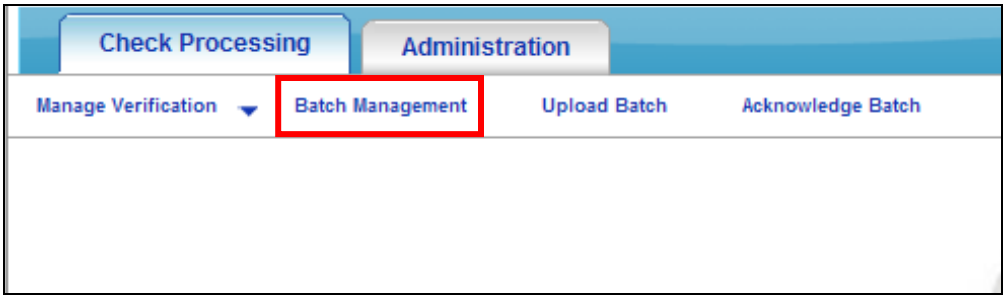
Note: If a batch, already successfully sent and processed (but not yet acknowledged), is selected to be acknowledged, and connectivity is lost, the batch will be given an “ACK ERROR” status. The batch will be eligible for re-upload. However, the batch is already successfully processed in online. If re-uploaded, the batch will appear as a Duplicate in Transmission history, and the scenario must be handled by Customer Service

Closing a Single Batch

To close a single batch, complete the following steps:

1. Click the **Check Processing** tab and select **Batch Management**.

Figure 55. Check Processing > Batch Management (Closing Single Batch)



2. When the *Search Batch* page appears, enter the batch search conditions you would like view and click **Search**.

Note:

1) If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

2) If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

3) If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

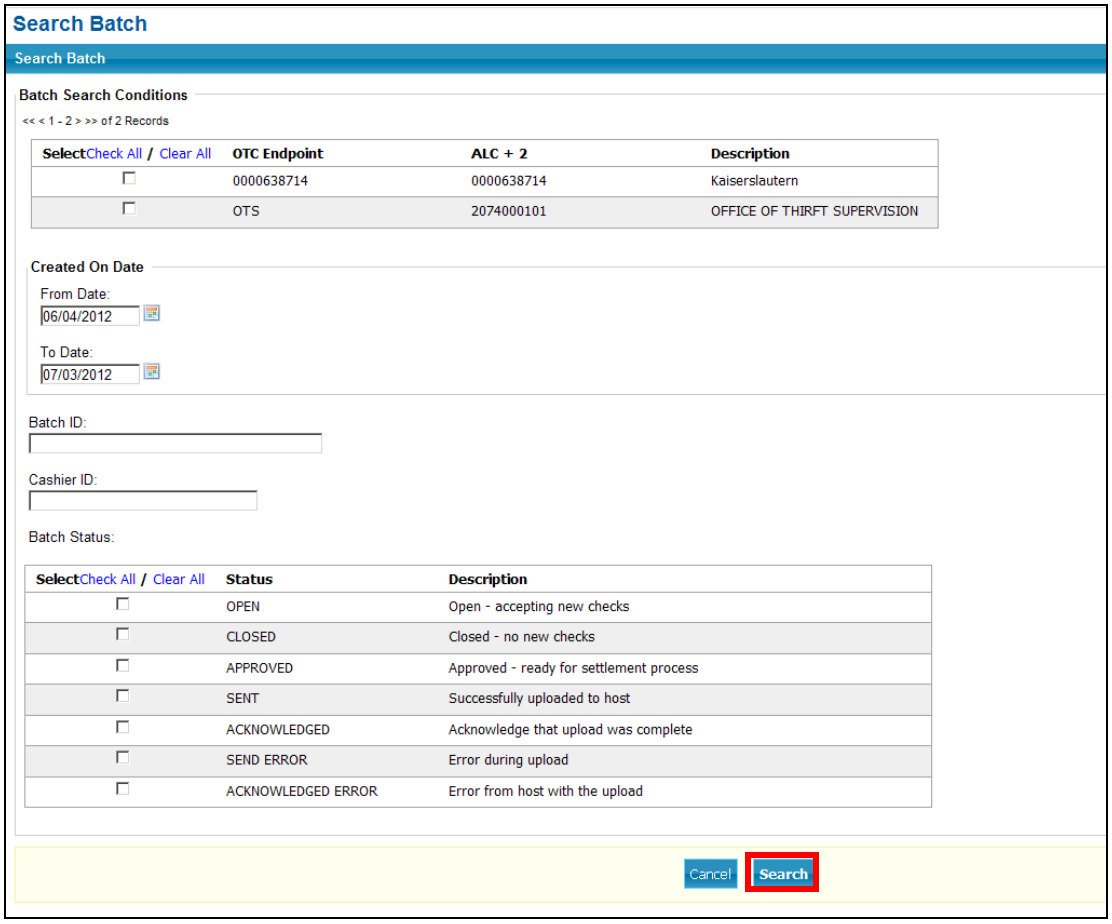
Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

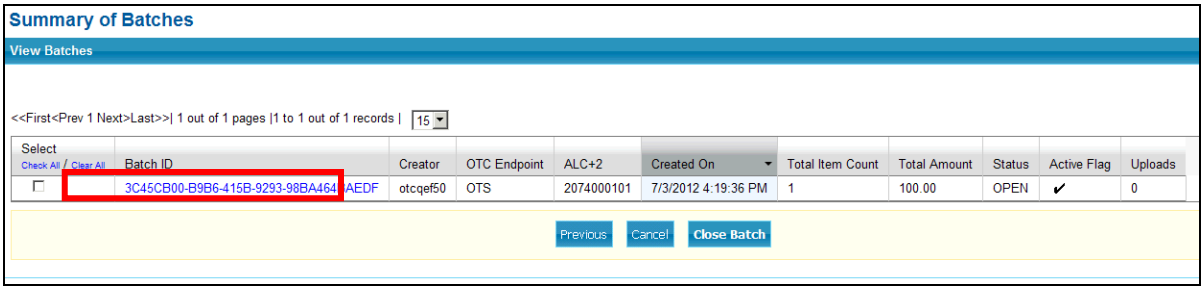
- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

Figure 56. Search Batch Page (Closing Single Batch)



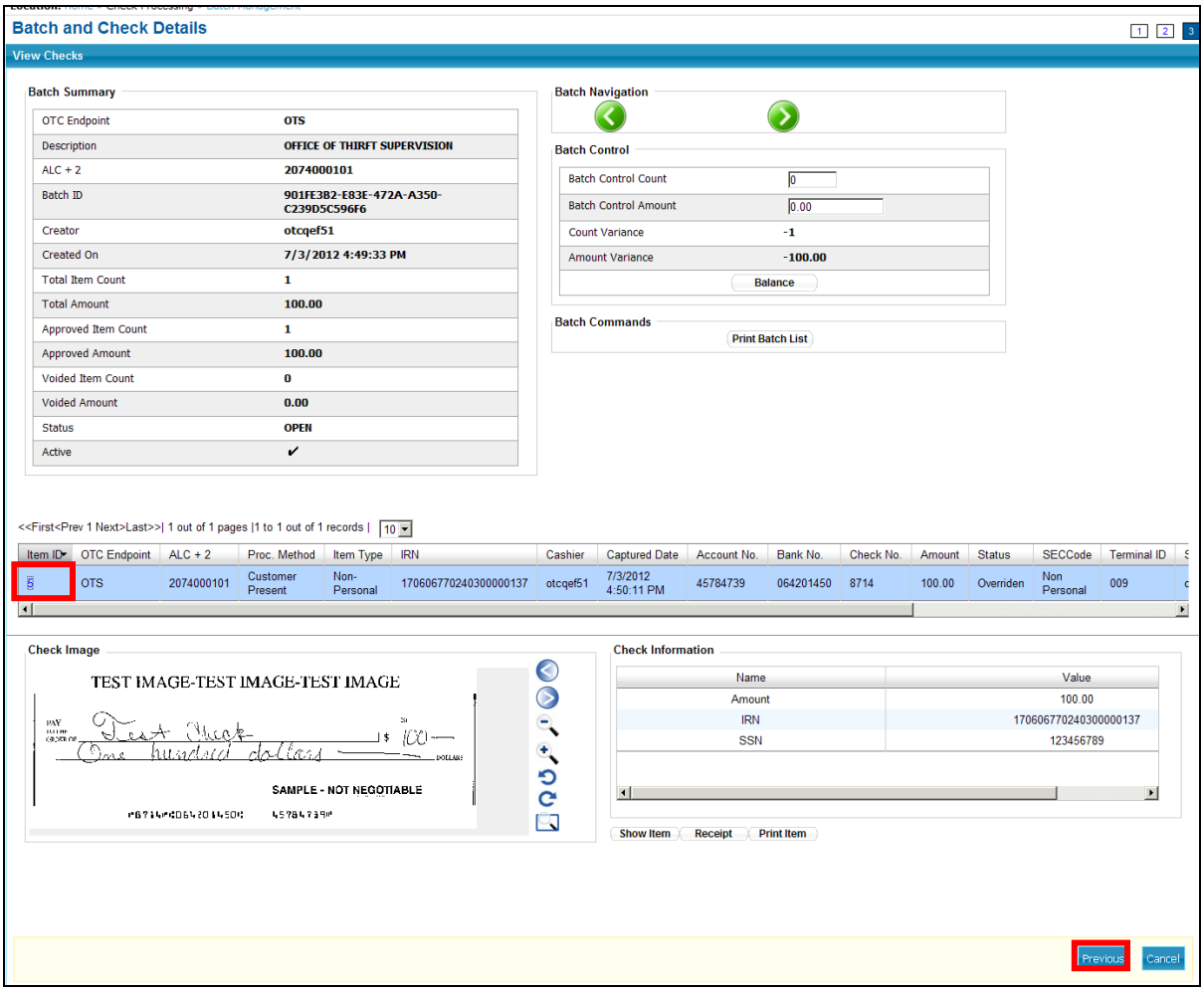
7. The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 57. View Batches Page (Closing Single Batch)



The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

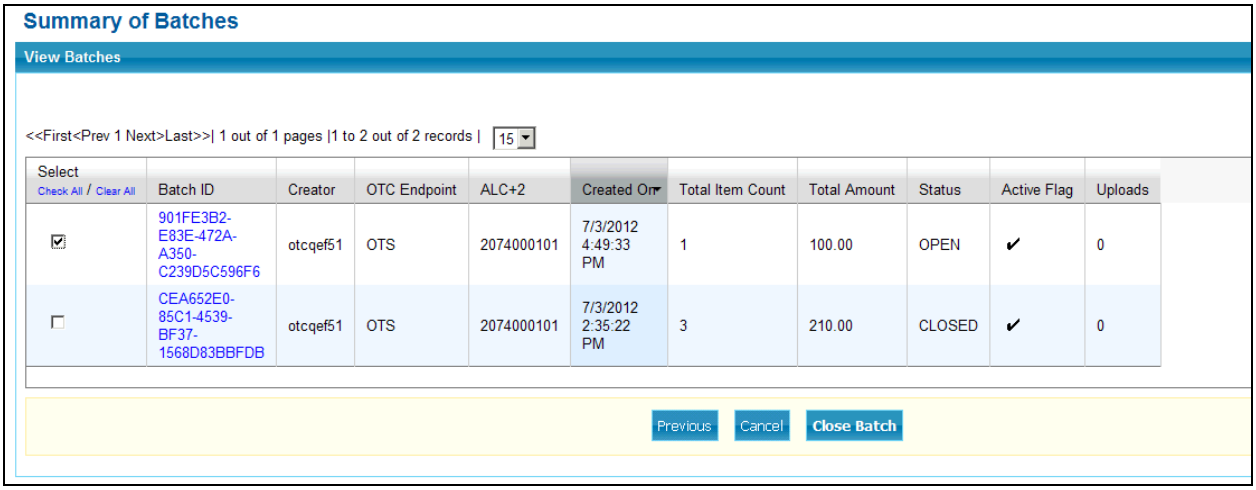
Figure 58. View Checks Page (Closing Single Batch)



8. Select the batch you want to close by checking the box to the left of the **Batch ID**.

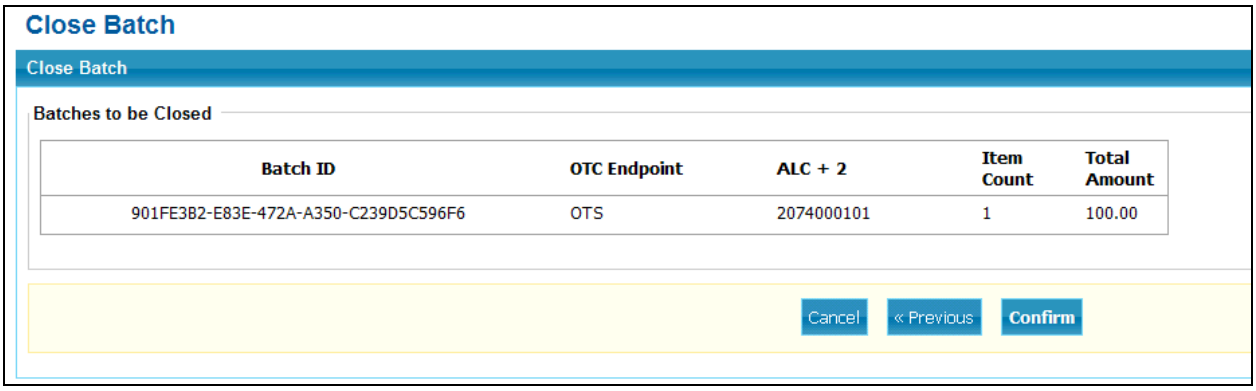
9. Click **Close Batch**. The *Close Batch* page appears.

Figure 59. Select to Close Batch



10. Verify that you want to close the batch and click **Confirm**. The *Batch Control* page appears with the batch details.

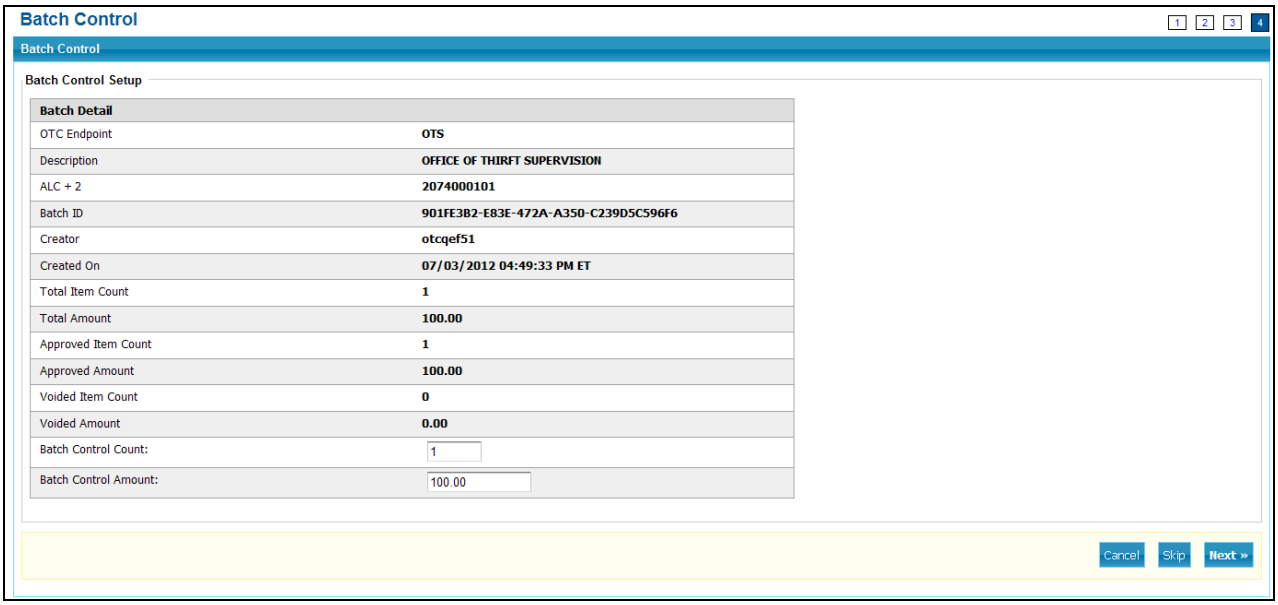
Figure 60. Confirm Close Batch



11. Enter the **Batch Control Count** and **Batch Control Amount**, if your terminal is configured for this action on batch close.

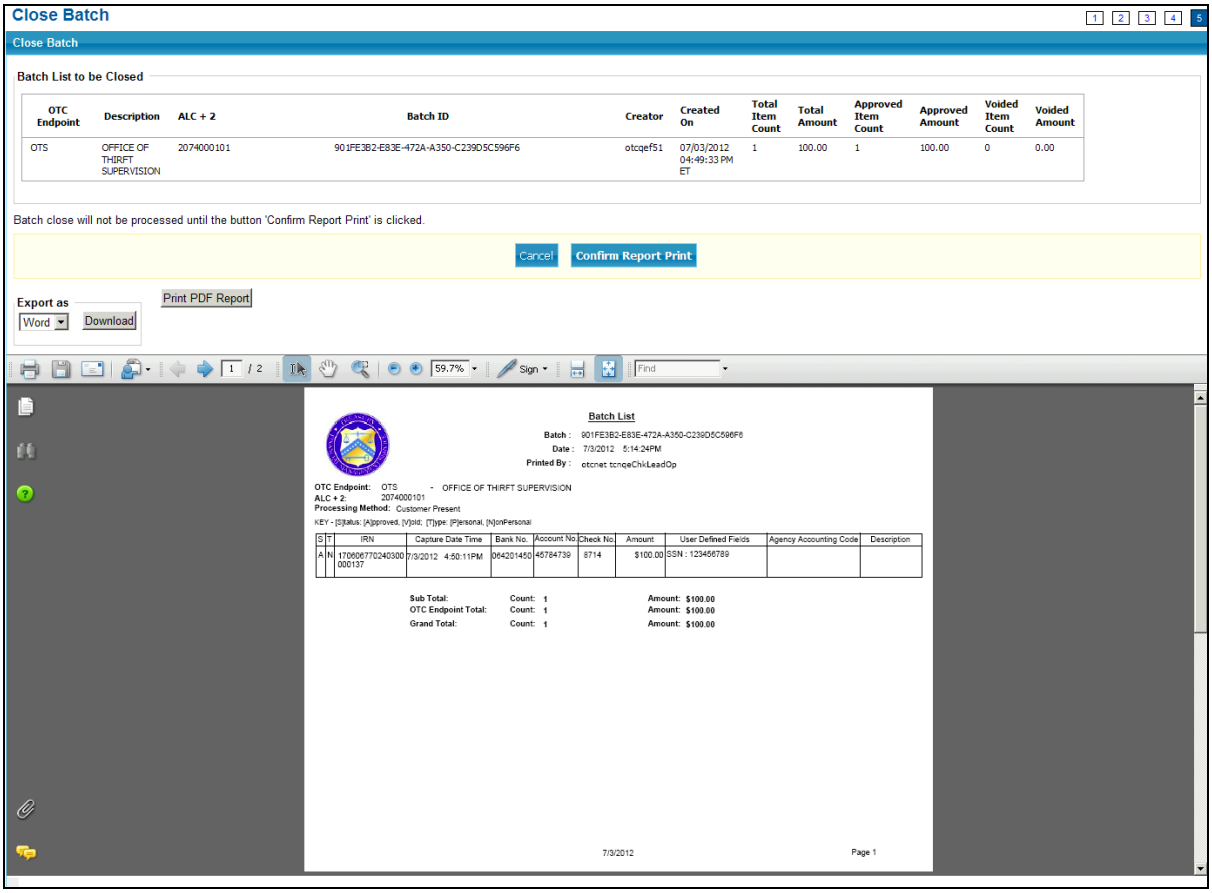
12. Click **Next**. The *Close Batch* page appears.

Figure 61. Batch Control



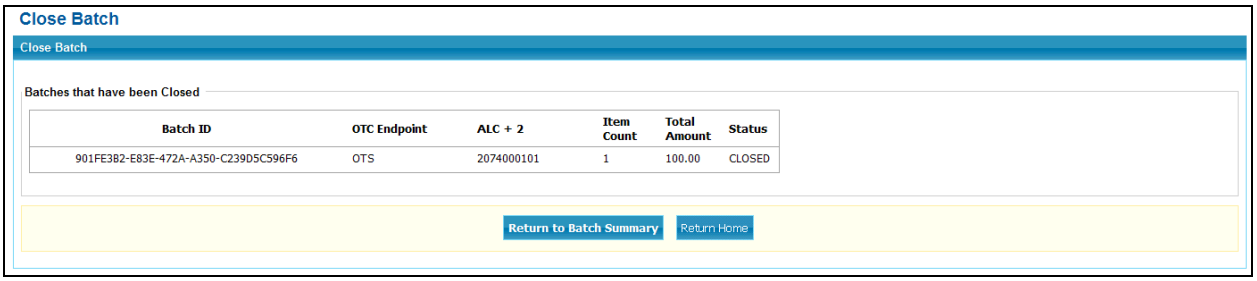
13. Click the **Print PDF Report** and click **Confirm Report Print** to close the batch.

Figure 62. Print PDF Report/Confirm Report Print



14. A *Close Batch* page appears verifying the batch has been closed.
15. Click **Return to Batch Summary**. The *View Batches* page appears

Figure 63. Close Batch Confirmation



Close Multiple Batches

To close multiple batches, complete the following steps:

1. Click the **Check Processing** tab and click **Batch Management**

2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search**.

   Note:

   If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

   If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

   If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

   Under **Batch Search Conditions**, *optional*

   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*

   - Enter the **Created On Date** by entering the **From** and **To** date range

   Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

   - Enter the **Batch ID,** *optional*

   Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

   - Enter the **Cashier ID**

   Under **Batch Status**, *optional*

   - Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

3. The *View Batches* page appears. Click the **Batch ID** hyperlink for each batch you would like to review.

4. The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

   Note *(if applicable):* If you are using the balancing feature for your **OTC Endpoint** and it has been established as mandatory, you can balance your batch here. Perform adjustments as needed and click **Balance**.

   Once you have balanced the batch, the *Batch Control Information* dialog box appears. You are offered two options after balancing the batch:

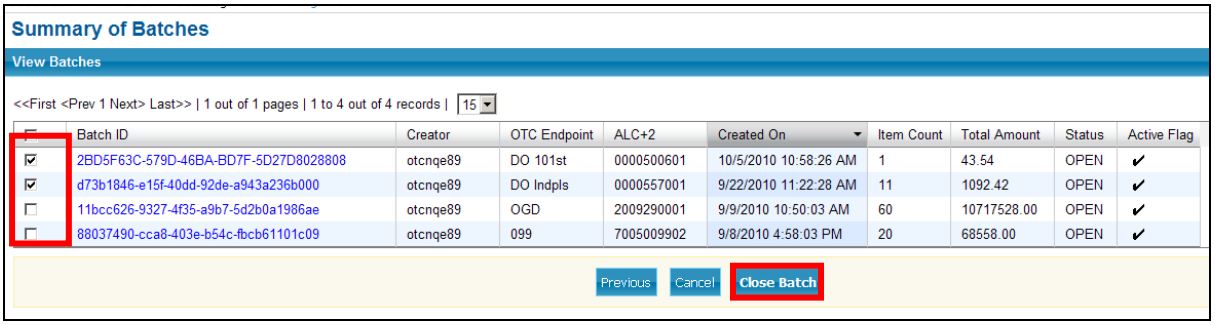
   Option A. If you click **Close Batch**, you are taken directly to the *Close Batch* Page

   Option B. If you click **OK** you return to the *View Checks* page. From the *View Checks* page, click **Previous** to return to the **View Batches** page.

   Note: You can also click **Print Batch List**, under **Batch Controls** from the *View Checks* page

5. Click **Confirm** the *View Batches* page appears. Select the batches you want to close by checking the box to the left of the **Batch ID** for each batch and click **Close Batch**

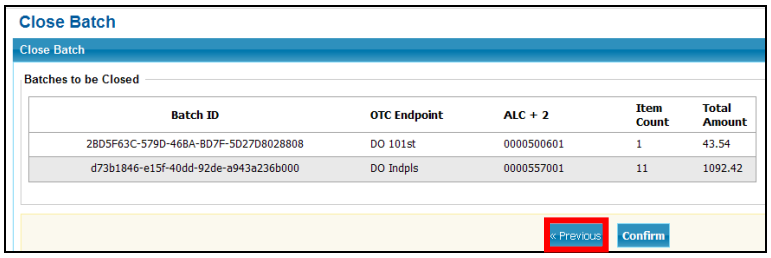
Figure 64. View Batches Page (Closing Multiple Batches)



Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count	Total Amount	Status	Active Flag
2BD5F63C-579D-46BA-BD7F-5D27D8028808	otcnqe89	DO 101st	0000500601	10/5/2010 10:58:26 AM	1	43.54	OPEN	✔
d73b1846-e15f-40dd-92de-a943a236b000	otcnqe89	DO Indpls	0000557001	9/22/2010 11:22:28 AM	11	1092.42	OPEN	✔
11bcc626-9327-4f35-a9b7-5d2b0a1986ae	otcnqe89	OGD	2009290001	9/9/2010 10:50:03 AM	60	10717528.00	OPEN	✔
88037490-cca8-403e-b54c-fbcb61101c09	otcnqe89	099	7005009902	9/8/2010 4:58:03 PM	20	68558.00	OPEN	✔

6. The *Close Batch* page appears. Verify that you want to close the batch and click **Confirm**

Figure 65. Close Batch Confirmation (Closing Multiple Batches)



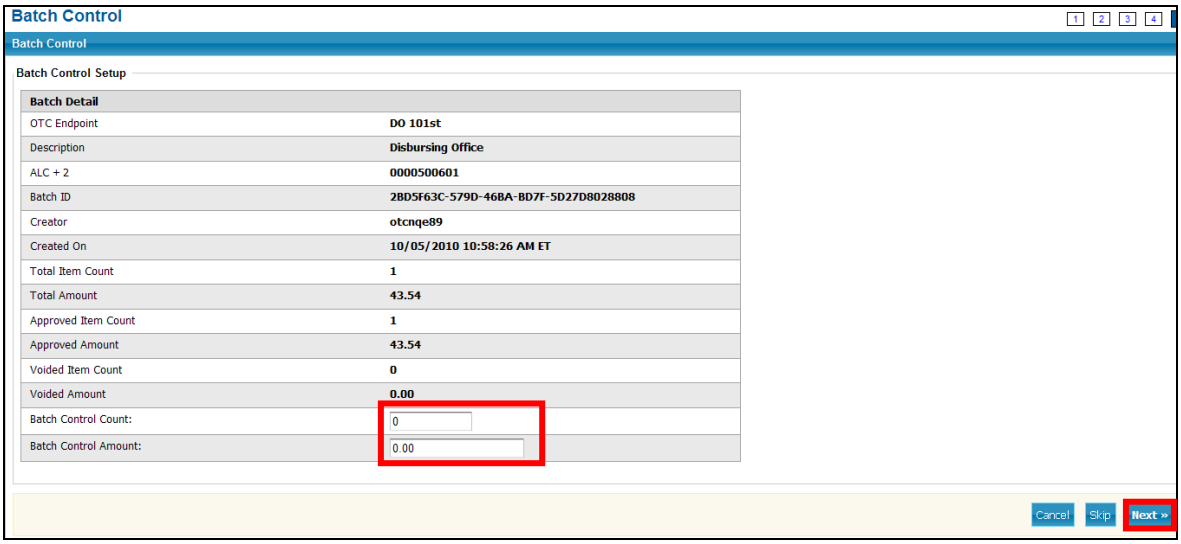
Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
2BD5F63C-579D-46BA-BD7F-5D27D8028808	DO 101st	0000500601	1	43.54
d73b1846-e15f-40dd-92de-a943a236b000	DO Indpls	0000557001	11	1092.42

Note: If the Batch Control settings were established as mandatory or optional, the *Batch Control* page will appear for each batch, before closing a batch.

7. Click **Next,** after balancing, to proceed to closing the batches

   Click **Skip** to return to the *Close Batch* page before returning to the *View Batches* page If **Skip** is selected, the **Status** remains **Open** and the batch will not be closed.

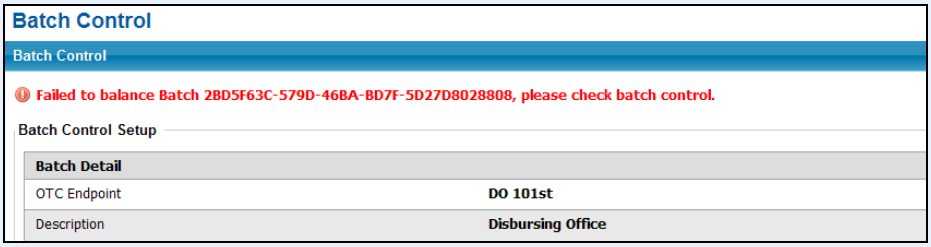
Figure 66. Batch Control Setup (Closing Multiple Batches)



Application Tip

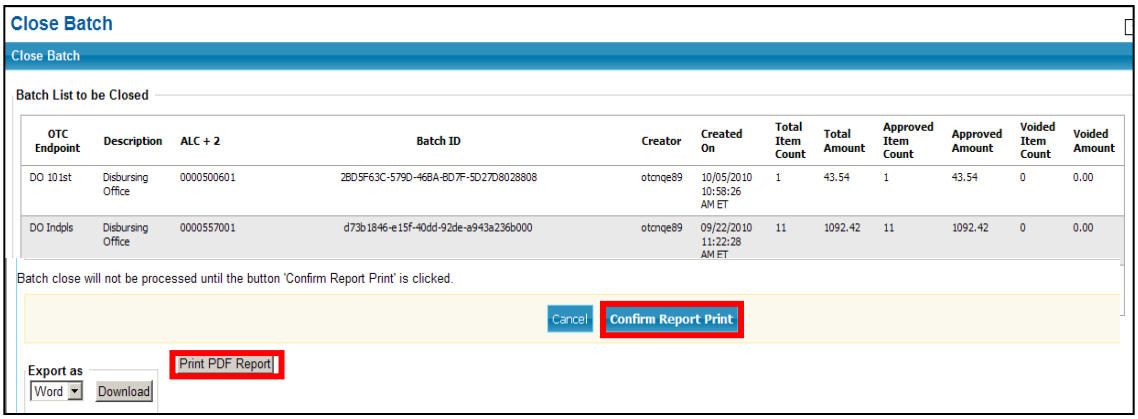
Failed to Balance Batch Error Message.

If **Batch Control** is set to mandatory on batch close and you click **Next** from the *Batch Control* page before balancing, the message below appears. The same is true for closing single batches.



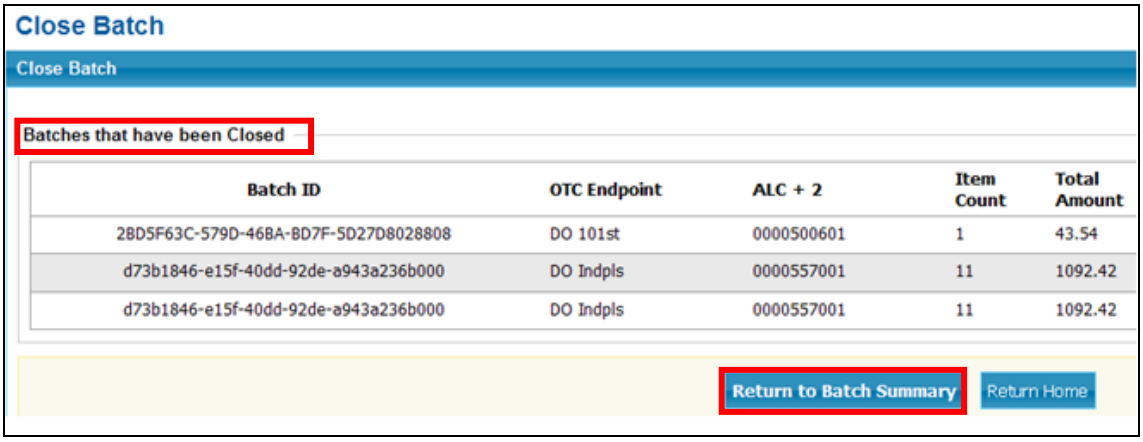
8. The *Close Batch* page appears with the batch details. Click **Print PDF Report** and click **Confirm Report Print** to close the batch. The close batch action is not processed until the **Confirm Report Print** is clicked

Figure 67. Confirm Report Print (Closing Multiple)



9. A *Close Batch* page appears verifying the batch has been closed. Click **Return to the Batch Summary** page.

Figure 68. Close Batch Confirmation (Closing Multiple)



Close a Single or Multiple Batch (es)

To close a single batch, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.

Application Tip

Before you can close a batch or multiple batches offline, you must first access the **OTCnet Offline** icon on your terminal's desktop and enter your User ID and password. After you have successfully logged on you can search for the batch.

Application Tip

To determine if your terminal is connected to the online OTCnet server, refer to the Connection Status indicator located on the top-right of the page. If the Connection Status is green the terminal is connected to the online OTCnet server. If the Connection Status indicator is red the terminal is not connected to the online OTCnet server.

3. Select or enter the batch search conditions you would like view.

Under **Created On Date**, *optional*

- Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.
7. Verify the details are correct and click **Previous** to return to the *View Batches* page.
8. Select the batch you want to close by checking the box to the left of the **Batch ID**.
9. Click **Close Batch**. The *Close Batch* page appears.
10. Verify that you want to close the batch and click **Confirm**. The *Batch Control* page appears with the batch details.

11. Enter the **Batch Control Count** and **Batch Control Amount**, if your terminal is configured for this action on batch close.

12. Click **Next**. The *Close Batch* page appears.

13. Click the **Print PDF Report** and click **Confirm Report Print** to close the batch.

> **Application Tip**
>
> A batch close is not processed until the **Confirm Report Print** is clicked.

14. A *Close Batch* page appears verifying the batch has been closed.

15. Click **Return to Batch Summary**. The *View Batches* page appears.

16. Click **Cancel** to return to the OTCnet Homepage.

> **Application Tip**
>
> If a **CCLO** or **CCO** closes a batch, the batch status changes from **Open** to **Closed**. If a **CCS** closes a batch, the batch status changes from **Open** to **Approved**. If **Skip** is clicked the **Status** remains **Open** and the batch is not closed.

To close multiple batches, complete the following steps:

1. Click the **Check Processing** tab.

2. Click **Batch Management**. The *Search Batch* page appears.

> **Application Tip**
>
> Before you can close a batch or multiple batches offline, you must first access the **OTCnet Offline** icon on your terminal's desktop and enter your User ID and password. After you have successfully logged on you can search for the batch.

Application Tip

To determine if your terminal is connected to the online OTCnet server, refer to the Connection Status indicator located on the top-right of the page. If the Connection Status is green the terminal is connected to the online OTCnet server. If the Connection Status indicator is red the terminal is not connected to the online OTCnet server.

3. Select or enter the batch search conditions you would like view.
   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

   - Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.
7. Click **Previous** to return to the *View Batches* page.

Application Tip

Repeat steps 5–7 as needed.

8. Select the batches you want to close by checking the boxes to the left of the **Batch IDs**.
9. Click **Close Batch**. The *Close Batch* page appears.
10. Verify that you want to close the batches and click **Confirm**. The *Batch Control* page appears.
11. Enter the **Batch Control Count** and **Batch Control Amount**, if your terminal is configured for this action on Batch Close.
12. Click **Next**. The *Close Batch* page appears.

Application Tip

Repeat steps 11 and 12 as needed.

13. Click the **Print PDF Report** and click **Confirm Report Print** to close the batch.

Application Tip

A batch close is not processed until the **Confirm Report Print** is clicked.

Application Tip

One report generates for all the batches that selected and closed.

14. A *Close Batch* page appears verifying the batch(es) has been closed.
15. Click **Return to Batch Summary**. The *View Batches* page appears.
16. Click **Cancel** to return to the OTCnet Homepage.

Application Tip

If a **CCLO** or **CCO** closes a batch, the batch status changes from **Open** to **Closed**. If a **CCS** closes a batch, the batch status changes from **Open** to **Approved**. If **Skip** is clicked, the **Status** remains **Open** and the batch is not closed.

Topic 11. Approve a Batch

As a **Check Capture Supervisor (CCS)**, you are the only authorized user who, by default, can approve a batch or multiple batches. A Check Capture Operator (CCO) or Lead Operator (CCLO) may also approve a batch if granted the Batch Approver permission. You can only approve batches for **OTC Endpoints** that you have permission to access. Approving a batch(es) indicates that the batch and check details are correct and that the batch(es) is/are ready for upload.

Before you can approve a batch or multiple batches, you must first search for the batch. You can search for batches by **OTC Endpoint**, **Created On Date**, **Batch ID**, **Cashier ID**, and/or **Batch Status**. If you run a search without specifying any criteria, the search results include all batches in the system that you have access to view.

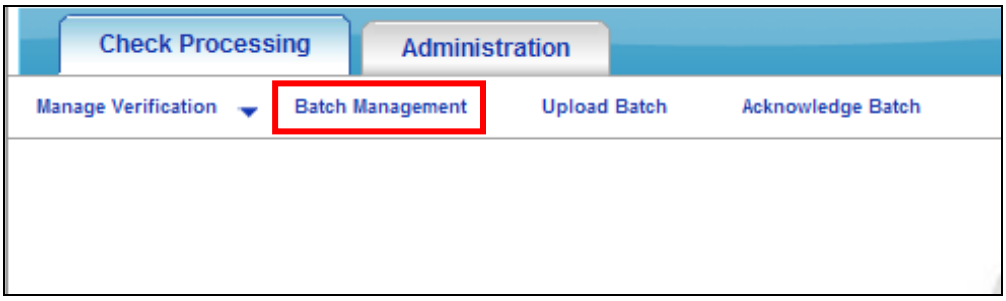
Additionally, a batch is only eligible for approval when the batch has a **Closed** status. After a batch is **Approved** it then is considered in **Sent** status. For a description of each of the seven batch status types, refer to Table 4 in the previous section of this Chapter.

Approve a Single Batch

To approve a single batch, complete the following steps:

1. Click the **Check Processing** tab and click **Batch Management**

Figure 69. Check Processing>Batch Management (Approving Single)



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search**

Note:

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

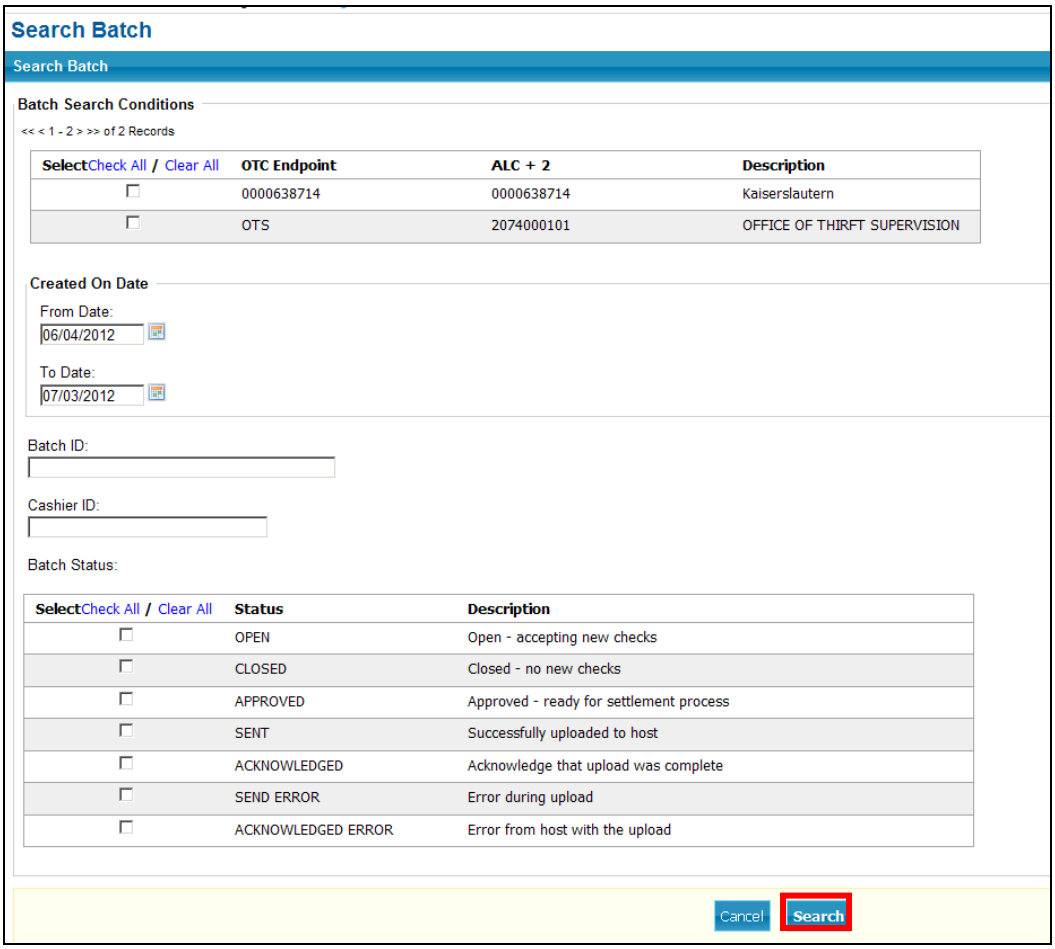
Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

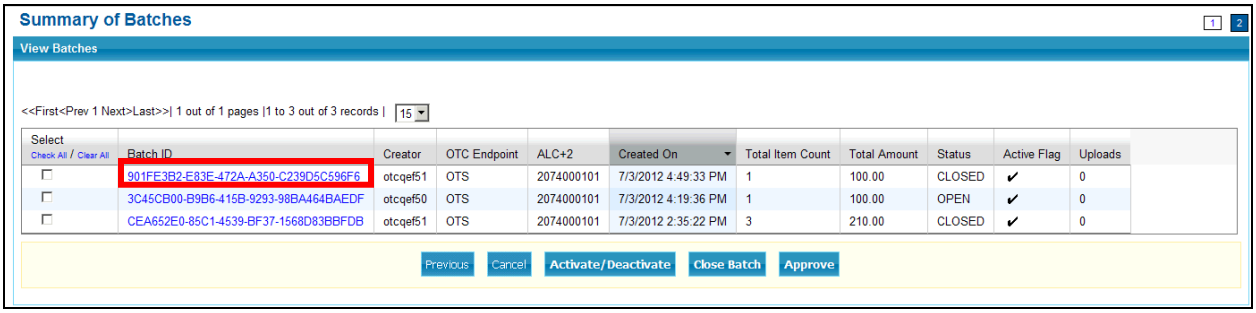
- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

Figure 70. Search Batch Page (Approve Single)



3. The *View Batches* page appears. Click the **Batch ID** hyperlink.

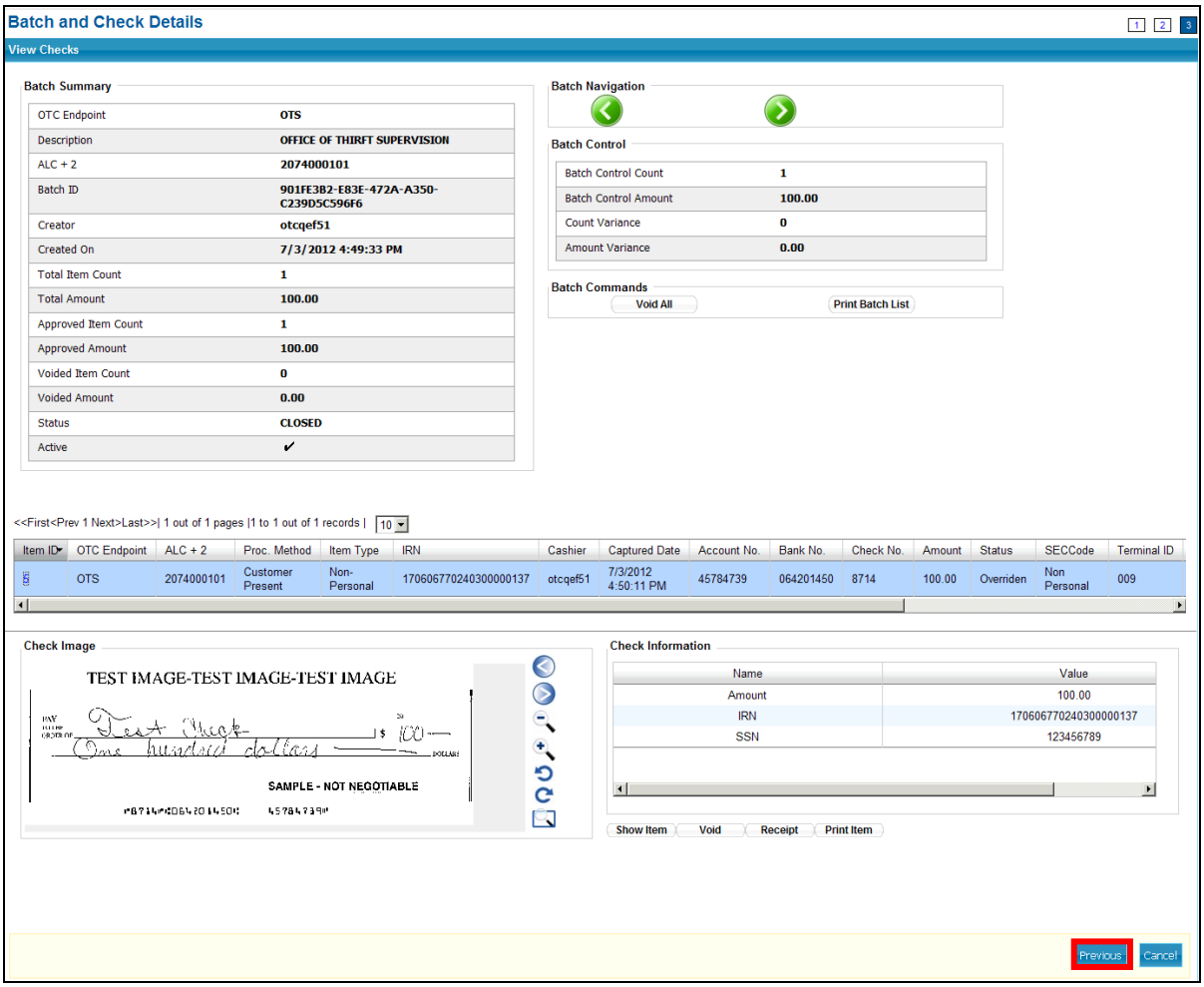
Figure 71. View Batches Page (Approve Single)



Note: If a Check Capture Supervisor (CCS) closes a batch, it is automatically moved into Approved status. If a batch is closed by a Check Capture Operator (CCO) or a Check Capture Lead Operator (CCLO) without approver permission; however, an approve button is available.

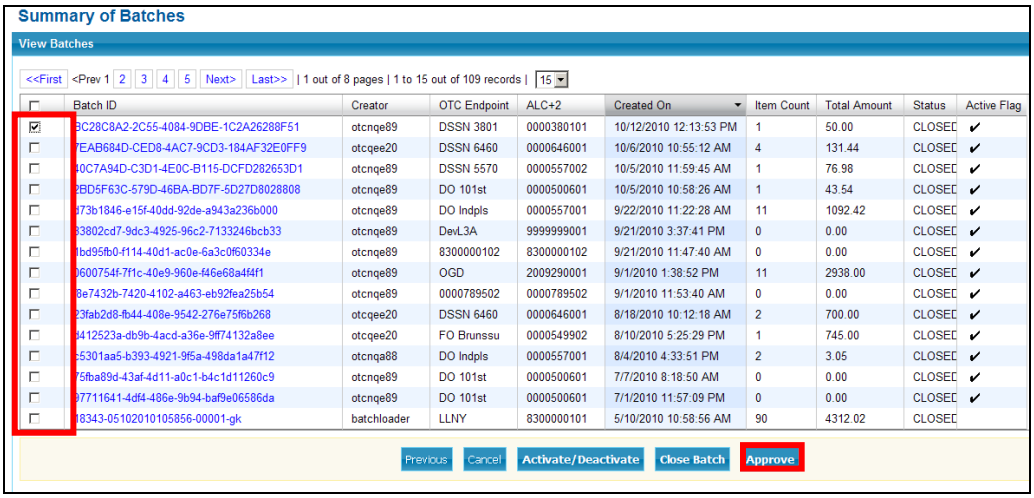
4. The *View Checks* page appears. Click the **Item ID** of each scanned check (see Figure 72 below). An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

Figure 72. View Checks Page (Approve Single)



5. Select the batch you want to approve by checking the box to the left of the **Batch ID** and click **Approve**

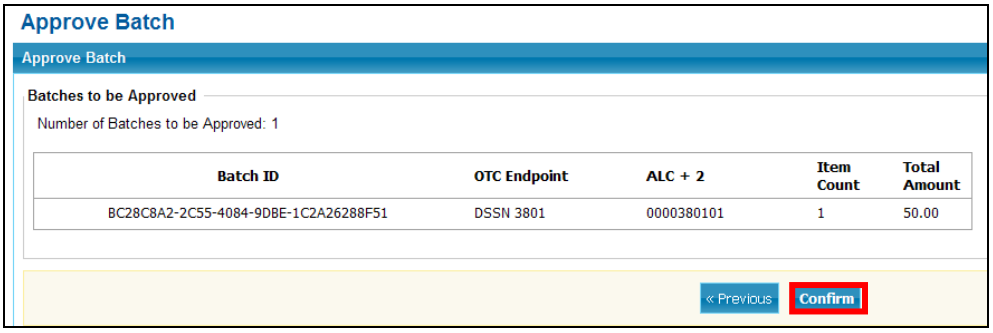
Figure 73. View Batches (Approve Single)



Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count	Total Amount	Status	Active Flag
BC28C8A2-2C55-4084-9DBE-1C2A26288F51	otcnqe89	DSSN 3801	0000380101	10/12/2010 12:13:53 PM	1	50.00	CLOSED	✔
7EAB684D-CED8-4AC7-9CD3-184AF32E0FF9	otcqee20	DSSN 6460	0000646001	10/6/2010 10:55:12 AM	4	131.44	CLOSED	✔
40C7A94D-C3D1-4E0C-B115-DCFD282653D1	otcnqe89	DSSN 5570	0000557002	10/5/2010 11:59:45 AM	1	76.98	CLOSED	✔
9BD5F63C-579D-46BA-BD7F-5D27D8028808	otcnqe89	DO 101st	0000500601	10/5/2010 10:58:26 AM	1	43.54	CLOSED	✔
473b1846-e15f-40dd-92de-a943a236b000	otcnqe89	DO Indpls	0000557001	9/22/2010 11:22:28 AM	11	1092.42	CLOSED	✔
83802cd7-9dc3-4925-96c2-7133246bcb33	otcnqe89	DevL3A	9999999001	9/21/2010 3:37:41 PM	0	0.00	CLOSED	✔
1bd95fb0-f114-40d1-ac0e-6a3c0f60334e	otcnqe89	8300000102	8300000102	9/21/2010 11:47:40 AM	0	0.00	CLOSED	✔
0600754f-7f1c-40e9-960e-f46e68a4f4f1	otcnqe89	OGD	2009290001	9/1/2010 1:38:52 PM	11	2938.00	CLOSED	✔
8e7432b-7420-4102-a463-eb92fea25b54	otcnqe89	0000789502	0000789502	9/1/2010 11:53:40 AM	0	0.00	CLOSED	✔
23fab2d8-fb44-408e-9542-276e75f6b268	otcqee20	DSSN 6460	0000646001	8/18/2010 10:12:18 AM	2	700.00	CLOSED	✔
4412523a-db9b-4acd-a36e-9ff74132a8ee	otcqee20	FO Brunssu	0000549902	8/10/2010 5:25:29 PM	1	745.00	CLOSED	✔
5301aa5-b393-4921-9f5a-498da1a47f12	otcnqa88	DO Indpls	0000557001	8/4/2010 4:33:51 PM	2	3.05	CLOSED	✔
75fba89d-43af-4d11-a0c1-b4c1d11260c9	otcnqe89	DO 101st	0000500601	7/7/2010 8:18:50 AM	0	0.00	CLOSED	✔
97711641-4df4-486e-9b94-baf9e06586da	otcnqe89	DO 101st	0000500601	7/1/2010 11:57:09 PM	0	0.00	CLOSED	✔
8343-05102010105856-00001-gk	batchloader	LLNY	8300000101	5/10/2010 10:58:56 AM	90	4312.02	CLOSED	

6. The *Approve Batch* page appears. Verify that you want to approve the batch and click **Confirm**

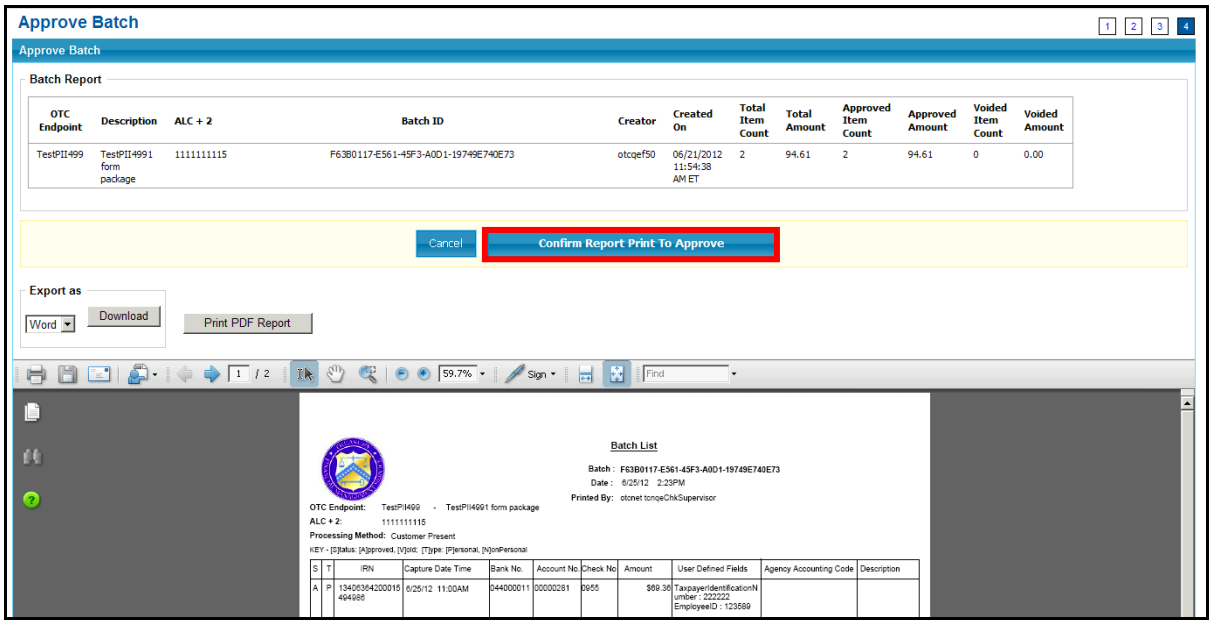
Figure 74. Confirm Batches to Approve (Approve Single)



Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
BC28C8A2-2C55-4084-9DBE-1C2A26288F51	DSSN 3801	0000380101	1	50.00

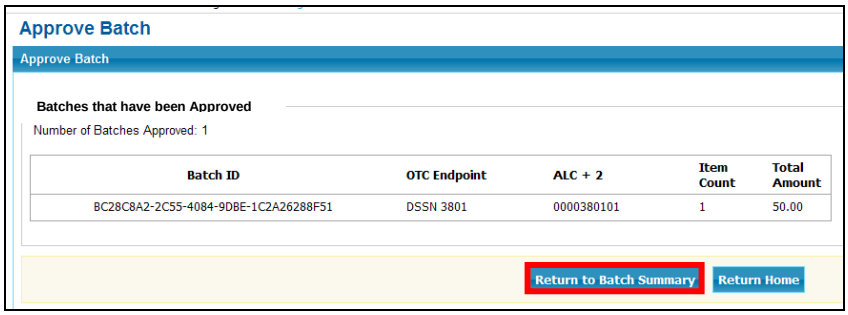
7. The *Approve Batch* page appears with the batch details. Click the **Print PDF Report** and click **Confirm Report Print to Approve.** A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

Figure 75. Confirm Report Print To Approve (Approve Single)



8. An *Approve Batch* page appears verifying the batch has been approved. Click **Return to Batch Summary** to return to *View Batches* page. After a batch is approved the Status changes from **Closed** to **Approved**.

Figure 76. Approve Batch Page (Approve Single)



Approve a Batch in OTCnet Offline

To approve a batch, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.

Application Tip

Before you can approve a batch or multiple batches in offline mode, you must first access the **OTCnet Offline** icon on your terminal's desktop and enter your User ID and password. After you have successfully logged on you can search for the batch.

Application Tip

To determine if your terminal is connected to the online OTCnet server, refer to the Connection Status indicator located on the top-right of the page. If the Connection Status is green, the terminal is connected to the online OTCnet server. If the Connection Status indicator is red, the terminal is not connected to the online OTCnet server.

3. Select or enter the batch search conditions you would like view.

Under **Created On Date**, *optional*

- Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batch* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Activate/Deactivate** to activate or deactivate a batch.
- Click **Close Batches** to close a batch.
- Click **<<First** to go to the first page. (Only appears if there are several pages retrieved for the search results.)
- Click **Next>** to go to the next page. (Only appears if there are several pages retrieved for the search results.)
- Click **Last>>** to return to the last page. (Only appears if there are several pages retrieved for the search results.)
- Click **<<Image** to return to the previous check.
- Click **>>Image** to view the next check.
- Click **Zoom-** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left** to turn the image to the left.
- Click **Rotate Right** to turn the image to the right.
- Click **Show Item** to view and update the check item details.
- Click **Void** to void a single check item.
- Click **Receipt** to print a receipt.
- Click **Print Item** to print a batch list report.

6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

7. Verify the details are correct and click **Previous** to return to the *View Batch* page.

8. Select the batch you want to approve by checking the box to the left of the **Batch ID**.

9. Click **Approve**. The *Approve Batch* page appears.

10. Verify that you want to approve the batch and click **Confirm**. The *Approve Batch* page appears with the batch details.

11. Click the **Print PDF Report** and click **Confirm Report Print to Approve**.

Application Tip

A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

12. An *Approve Batch* page appears verifying the batch has been approved.

13. Click **Return to Batch Summary**.

Application Tip

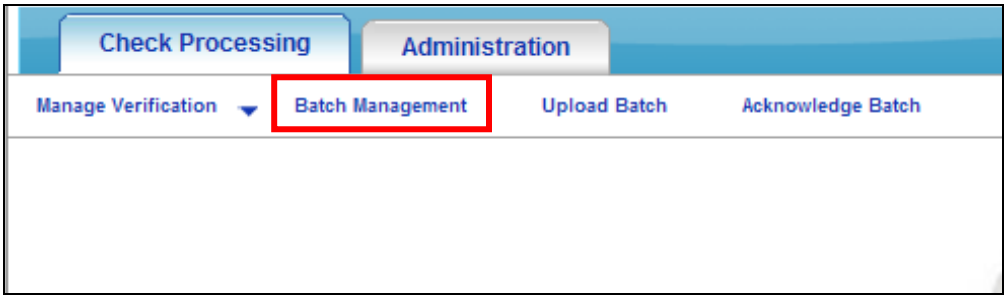
After a batch is approved, its status changes from **Closed** to **Approved**.

Approve Multiple Batches

To approve multiple batches, complete the following steps:

1. Click the **Check Processing** tab and click **Batch Management**.

Figure 77. Batch Management (Approve Multiple Batches)



2. The *Search Batch* page appears. Select or enter the batch search conditions you would like view and click **Search**.

Note:

1) If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

2) If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

3) If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

- Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID,** *optional*

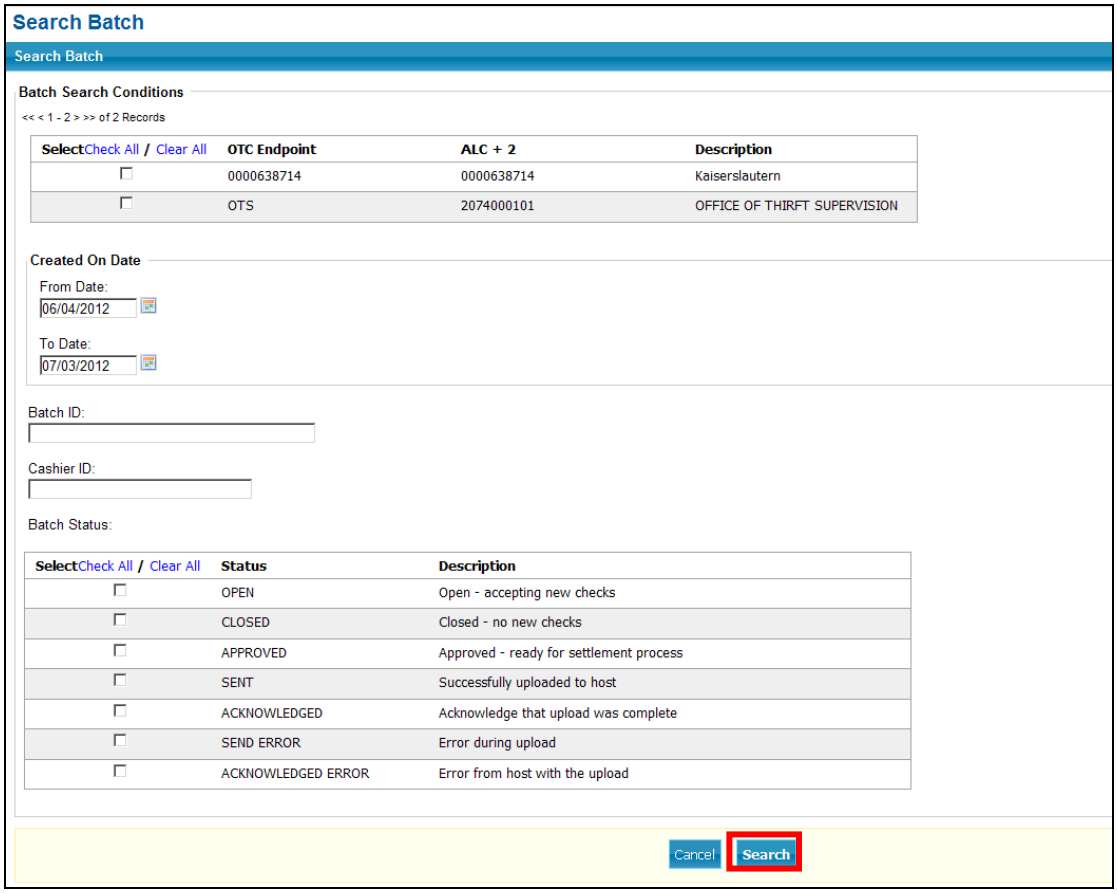
Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**

Under **Batch Status**, *optional*

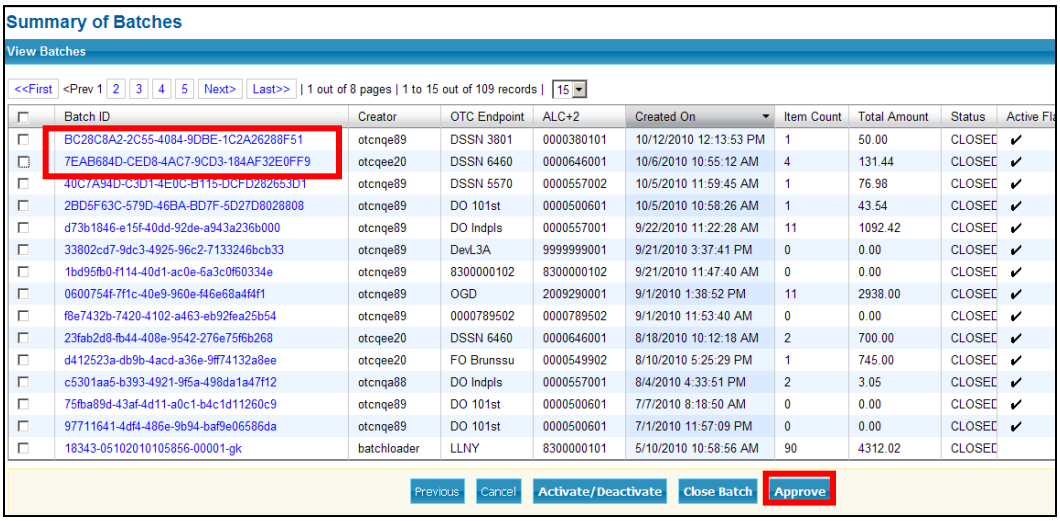
- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

Figure 78. Search Batches (Approve Multiple Batches)



3. The *View Batches* page appears. Click the **Batch ID** hyperlinks for each batch you want to Approve. If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and cannot be accessed.

Figure 79. View Batches Page (Approve Multiple)



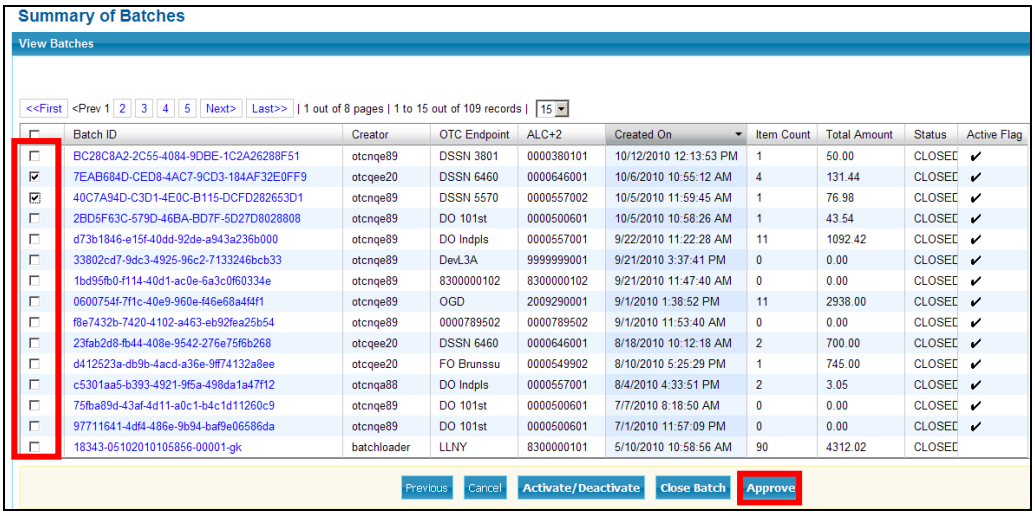
Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count	Total Amount	Status	Active Fl
BC28C8A2-2C55-4084-9DBE-1C2A26288F51	otcnqe89	DSSN 3801	0000380101	10/12/2010 12:13:53 PM	1	50.00	CLOSED	✔
7EAB684D-CED8-4AC7-9CD3-184AF32E0FF9	otcqee20	DSSN 6460	0000646001	10/6/2010 10:55:12 AM	4	131.44	CLOSED	✔
40C7A94D-C3D1-4E0C-B115-DCFD282653D1	otcnqe89	DSSN 5570	0000557002	10/5/2010 11:59:45 AM	1	76.98	CLOSED	✔
2BD5F63C-579D-46BA-BD7F-5D27D8028808	otcnqe89	DO 101st	0000500601	10/5/2010 10:58:26 AM	1	43.54	CLOSED	✔
d73b1846-e15f-40dd-92de-a943a236b000	otcnqe89	DO Indpls	0000557001	9/22/2010 11:22:28 AM	11	1092.42	CLOSED	✔
33802cd7-9dc3-4925-96c2-7133246bcb33	otcnqe89	DevL3A	9999999001	9/21/2010 3:37:41 PM	0	0.00	CLOSED	✔
1bd95fb0-f114-40d1-ac0e-6a3c0f60334e	otcnqe89	8300000102	8300000102	9/21/2010 11:47:40 AM	0	0.00	CLOSED	✔
0600754f-7f1c-40e9-960e-f46e68a4f4f1	otcnqe89	OGD	2009290001	9/1/2010 1:38:52 PM	11	2938.00	CLOSED	✔
f8e7432b-7420-4102-a463-eb92fea25b54	otcnqe89	0000789502	0000789502	9/1/2010 11:53:40 AM	0	0.00	CLOSED	✔
23fab2d8-fb44-408e-9542-276e75f6b268	otcqee20	DSSN 6460	0000646001	8/18/2010 10:12:18 AM	2	700.00	CLOSED	✔
d412523a-db9b-4acd-a36e-9ff74132a8ee	otcqee20	FO Brunssu	0000549902	8/10/2010 5:25:29 PM	1	745.00	CLOSED	✔
c5301aa5-b393-4921-9f5a-498da1a47f12	otcnqa88	DO Indpls	0000557001	8/4/2010 4:33:51 PM	2	3.05	CLOSED	✔
75fba89d-43af-4d11-a0c1-b4c1d11260c9	otcnqe89	DO 101st	0000500601	7/7/2010 8:18:50 AM	0	0.00	CLOSED	✔
97711641-4df4-486e-9b94-baf9e06586da	otcnqe89	DO 101st	0000500601	7/1/2010 11:57:09 PM	0	0.00	CLOSED	✔
18343-05102010105856-00001-gk	batchloader	LLNY	8300000101	5/10/2010 10:58:56 AM	90	4312.02	CLOSED	

4. The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the *View Batches* page.

   Note: Repeat this step for each batch you intend to approve.

5. Select the batches you want to approve by checking the box to the left of the **Batch ID** and click **Approve**

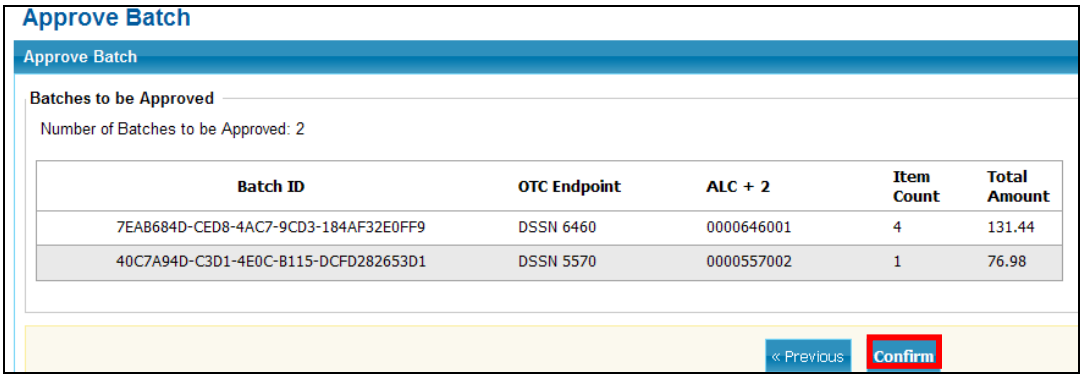
Figure 80. View Batches (Approve Multiple)



Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Item Count	Total Amount	Status	Active Flag
BC28C8A2-2C55-4084-9DBE-1C2A26288F51	otcnqe89	DSSN 3801	0000380101	10/12/2010 12:13:53 PM	1	50.00	CLOSED	✔
7EAB684D-CED8-4AC7-9CD3-184AF32E0FF9	otcqee20	DSSN 6460	0000646001	10/6/2010 10:55:12 AM	4	131.44	CLOSED	✔
40C7A94D-C3D1-4E0C-B115-DCFD282653D1	otcnqe89	DSSN 5570	0000557002	10/5/2010 11:59:45 AM	1	76.98	CLOSED	✔
2BD5F63C-579D-46BA-BD7F-5D27D8028808	otcnqe89	DO 101st	0000500601	10/5/2010 10:58:26 AM	1	43.54	CLOSED	✔
d73b1846-e15f-40dd-92de-a943a236b000	otcnqe89	DO Indpls	0000557001	9/22/2010 11:22:28 AM	11	1092.42	CLOSED	✔
33802cd7-9dc3-4925-96c2-7133246bcb33	otcnqe89	DevL3A	9999999001	9/21/2010 3:37:41 PM	0	0.00	CLOSED	✔
1bd95fb0-f114-40d1-ac0e-6a3c0f60334e	otcnqe89	8300000102	8300000102	9/21/2010 11:47:40 AM	0	0.00	CLOSED	✔
0600754f-7f1c-40e9-960e-f46e68a4f4f1	otcnqe89	OGD	2009290001	9/1/2010 1:38:52 PM	11	2938.00	CLOSED	✔
f8e7432b-7420-4102-a463-eb92fea25b54	otcnqe89	0000789502	0000789502	9/1/2010 11:53:40 AM	0	0.00	CLOSED	✔
23fab2d8-fb44-408e-9542-276e75f6b268	otcqee20	DSSN 6460	0000646001	8/18/2010 10:12:18 AM	2	700.00	CLOSED	✔
d412523a-db9b-4acd-a36e-9ff74132a8ee	otcqee20	FO Brunssu	0000549902	8/10/2010 5:25:29 PM	1	745.00	CLOSED	✔
c5301aa5-b393-4921-9f5a-498da1a47f12	otcnqa88	DO Indpls	0000557001	8/4/2010 4:33:51 PM	2	3.05	CLOSED	✔
75fba89d-43af-4d11-a0c1-b4c1d11260c9	otcnqe89	DO 101st	0000500601	7/7/2010 8:18:50 AM	0	0.00	CLOSED	✔
97711641-4df4-486e-9b94-baf9e06586da	otcnqe89	DO 101st	0000500601	7/1/2010 11:57:09 PM	0	0.00	CLOSED	✔
18343-05102010105856-00001-gk	batchloader	LLNY	8300000101	5/10/2010 10:58:56 AM	90	4312.02	CLOSED	

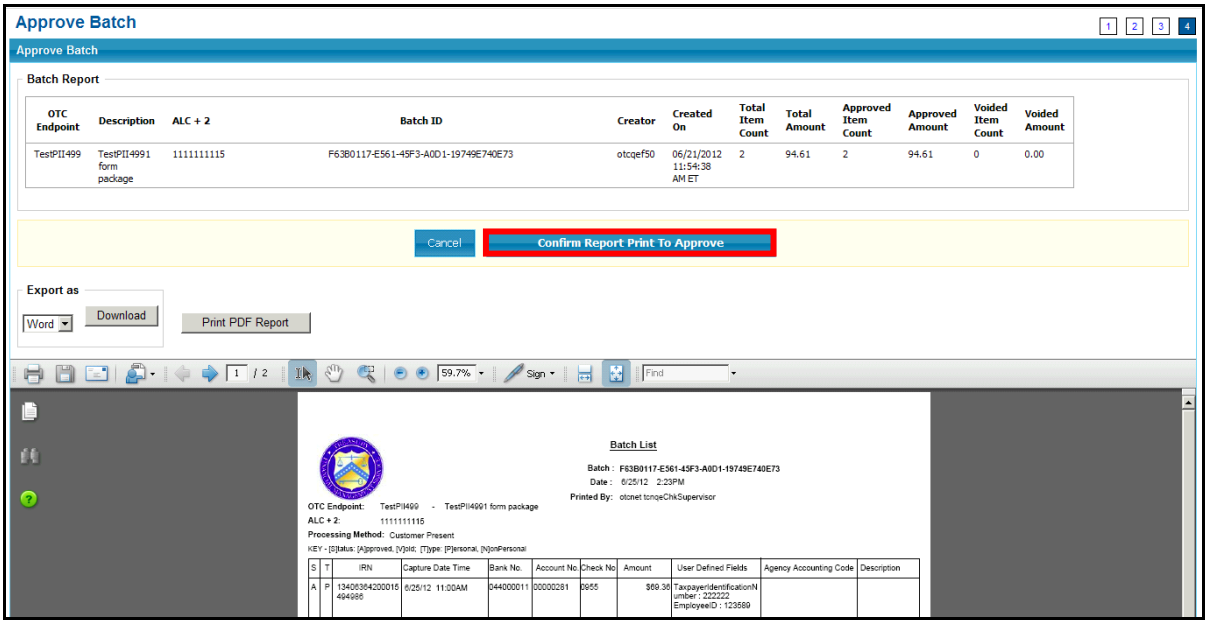
6. The *Approve Batch* page appears. Verify that you want to approve the batches and click **Confirm**.

Figure 81. Confirm Batches (Approve Multiple)



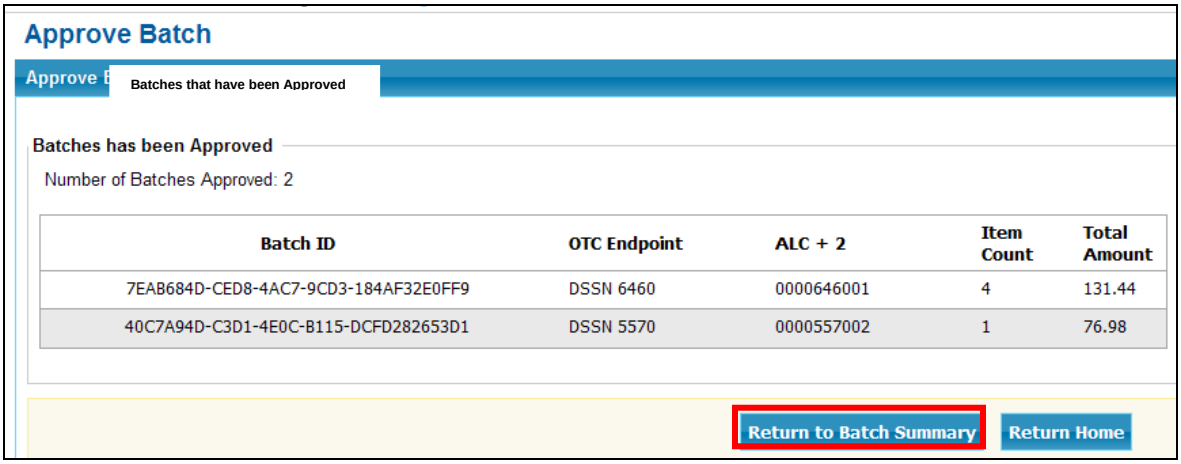
7. The *Approve Batch* page appears with the batches details. Click the **Print PDF Report** and click **Confirm Report Print to Approve**. A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

Figure 82. Confirm Report to Approve (Approve Multiple)



8. An *Approve Batch* page appears verifying the batches have been approved. Click **Return to Batch Summary**. After a batch is approved, the Status changes from **Closed** to **Approved**.

Figure 83. Approve Batch Confirmation (Approve Multiple)



Approve Multiple Batches in OTCnet Offline

To approve multiple batches, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Batch Management**. The *Search Batch* page appears.

> **Application Tip**
>
> Before you can approve a batch or multiple batches in offline mode, you must first access the **OTCnet Offline** icon on your terminal's desktop and enter your User ID and password. After you have successfully logged on you can search for the batch.

> **Application Tip**
>
> To determine if your terminal is connected to the online OTCnet server, refer to the Connection Status indicator located on the top-right of the page. If the Connection Status is green the terminal is connected to the online OTCnet server. If the Connection Status indicator is red the terminal is not connected to the online OTCnet server.

3. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

> **Application Tip**
>
> The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

> **Application Tip**
>
> The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

4. Click **Search**. The *View Batch* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Void All** to void all items in the batch.
- Click **Print Batch List** to print the batch list.
- Click **<** to go to the first batch.
- Click **>** to go to the next batch.
- Click **<<First** to go to the first page.
- Click **Next>** to go to the next page.
- Click **Last>>** to return to the last page.
- Click **<<Image** to return to the previous check.
- Click **>>Image** to view the next check.
- Click **Zoom-** to reduce the image size.
- Click **Zoom+** to enlarge the image size.
- Click **Rotate Left** to turn the image to the left.
- Click **Rotate Right** to turn the image to the right.
- Click **Show Item** to view the check item details.
- Click **Void** to void a single check item.
- Click **Receipt** to print a receipt.
- Click **Print Item** to print a batch list report.

7. Click **Previous** to return to the *View Batch* page.

8. Select the batches you want to approve by checking the box to the left of the **Batch ID**.

9. Click **Approve**. The *Approve Batch* page appears.

10. Verify that you want to approve the batches and click **Confirm**. The *Approve Batch* page appears with the batches details.

11. Click the **Print PDF Report** and click **Confirm Report Print to Approve**.

Application Tip

A batch approve is not processed until the **Confirm Report Print to Approve** is clicked.

12. An *Approve Batch* page appears verifying the batch has been approved.

13. Click **Return to Batch Summary**.

Application Tip

After a batch is approved, its status changes from **Closed** to **Approved**.

Topic 12. Upload a Batch

If you are assigned the role of **Check Capture Supervisor (CCS), Check Capture Lead Operator/Lead Operator (CCO/CCLO)** with **Batch Uploader** privileges you are the only authorized users who can upload a batch or multiple batches in OTCnet Offline. Uploading a batch ensures the batch is closed and processed into the OTCnet Online database. If the batch was already approved in the OTCnet Offline application, it will be forwarded for processing and settlement upon successful upload and acknowledgment. If the batch was closed, but not approved, before it was uploaded to OTCnet Offline, it will be made available for approval in Batch Management of OTCnet Online.

Before you can upload a batch or multiple batches from OTCnet Offline to OTCnet online, you must first access the OTCnet Offline icon on your terminal's desktop (or via your Start Menu under Programs) and enter your User ID and password. Additionally, the secondary storage (configured during Terminal Configuration) must be accessible, and connectivity to the OTCnet Online server is required to upload a batch in Offline mode. Upon selecting Upload Batch and verification of the secondary storage, you will be prompted to enter your online credentials (if you haven't already done so) to establish connectivity to OTCnet Online.

In OTCnet Offline, a **CCS**, or a **CCLO/CCO** with **Batch Uploader** permissions can close and upload batches. When a **CCS** closes a batch(es) in Offline mode, the batch automatically changes to Approved status, and is therefore eligible to upload to OTCnet Online, where it is forwarded for processing. However, when a **CCLO/CCO** with **Batch Uploader** permission closes and uploads a batch, the batch will remain is a Closed status. In this scenario, a **CCS** will need to approve a batch in Batch Management of OTCnet Online. This approach is used when an Agency prefers to use the online approval process, and the terminal is configured to allow for uploading batches that have not yet been approved by a **CCS**. Unless granted a **Batch Approver/Batch Uploader** permission as a **CCO** or **CCLO**, approving and uploading batches in offline mode can only be performed by a **CCS**.

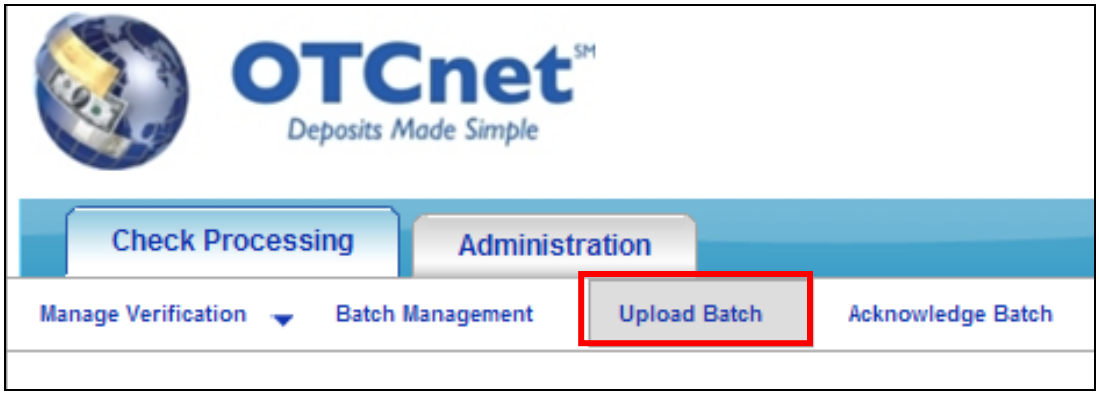
Based on the permissions granted, a user will only be able to view the batches that they have been granted access to. If a terminal is configured to allow for uploading batches, and **Supervisor** approval is not required, active batches that are in Closed, Approved, Sent, and Send Error will display. If a terminal is configured to require **Supervisor** approval for the terminal, then only batches with Approved or Send Error status will be displayed and are eligible for upload.

Upload a Batch

To upload a batch, complete the following steps:

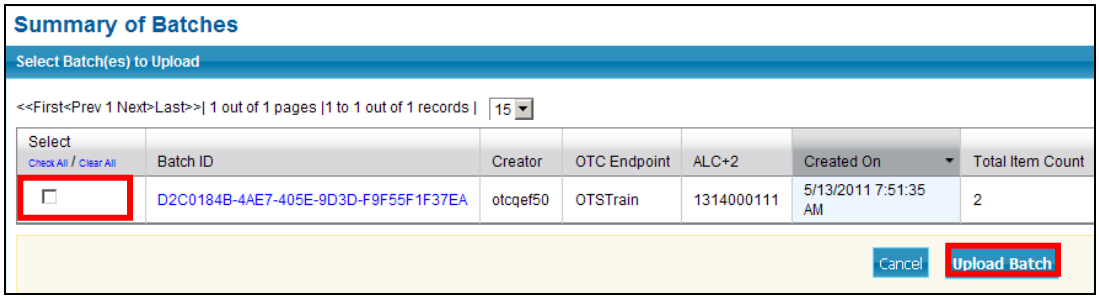
1. Click the **Check Processing** tab and then click **Upload Batch**

Figure 84. Upload Batch



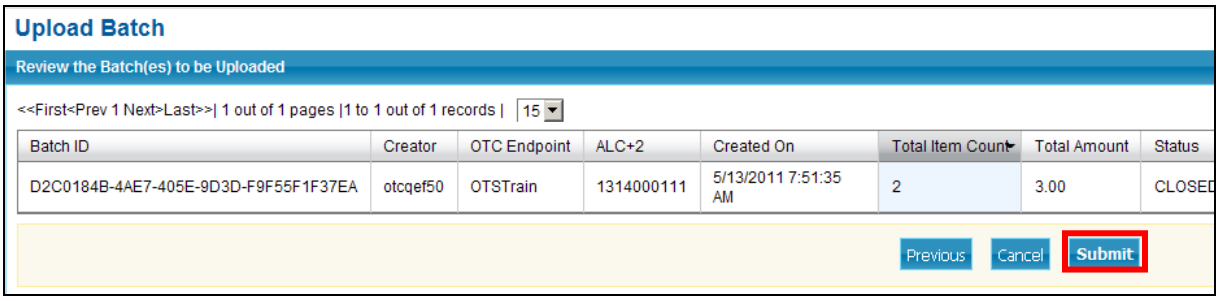
2. When the *Summary of Batches* page appears, select the batches to upload by clicking the check box and then selecting **Upload Batch**

Figure 85. Upload Batch – Summary of Batches



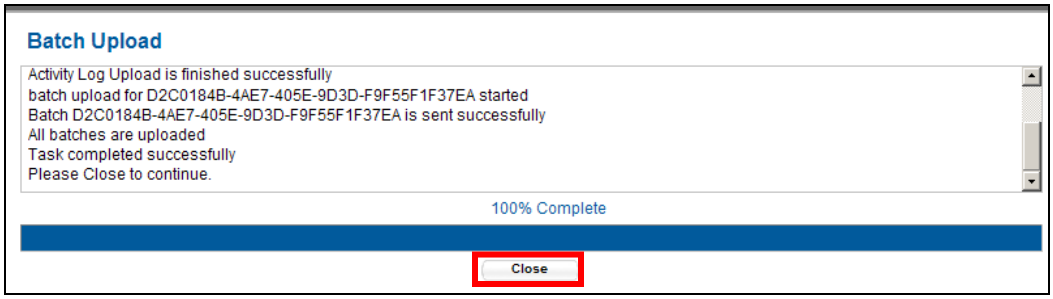
3. When the *Review Batch (es) to be Uploaded* page appears, verify that the correct batches are in queue to be uploaded and click **Submit**

Figure 86. Upload Batch – Review Batches to Upload



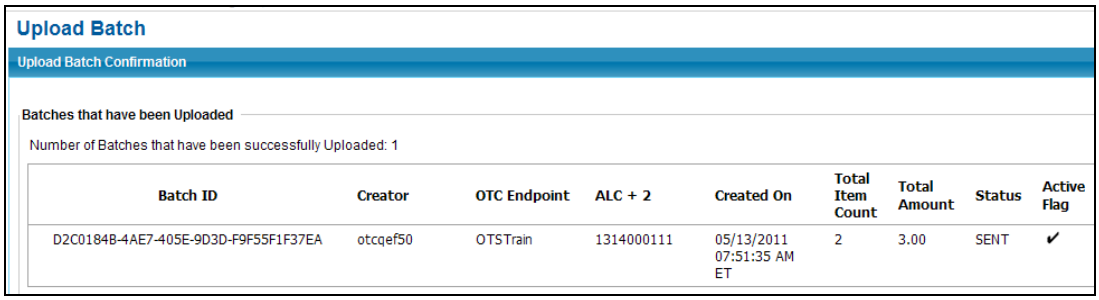
4. Once the batch upload task has been completed successfully, click **Close**.

Figure 87. Batch Upload Task Completed Successfully



5. The *Upload Batch Confirmation* page appears, verifying that the batch (es) have been successfully uploaded

Figure 88. Upload Batch Confirmation



Upload a Batch in OTCnet Offline

To upload a batch (es), complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Upload Batch**. An *Online Authentication* dialog box appears.

> **Application Tip**
> The *Online Credentials* dialog box appears if connectivity with OTCnet Online has not been established. If connectivity is not established or the correct online credentials are not entered batches cannot be uploaded.

3. Enter **Online Password** (TWAI) and click **Login**, *if applicable*. The *Select Batch (es) to Upload* page appears.

> **Application Tip**
> If **Cancel** is clicked batches cannot be uploaded.

4. Select the batch (es) you want to upload by checking the box (es) under the **Select** column.
5. Click **Upload Batch**. The *Review the Batch(es) to be Uploaded* page appears.
6. Verify that you want to upload the batch (es) and click **Submit**. The *Batch Upload* dialog box appears.
7. Click **Close**. The *Upload Batch Confirmation* page appears with the batch details of which batches successfully/failed to upload.

> **Application Tip**
> It is highly recommended that the **Cancel** button is not clicked instead wait for the **Close** button to ensure the batch is successfully uploaded.

> **Application Tip**
> Additional button on the page that help you perform other tasks:
> - Click **Return Home** to the OTCnet Home Page.

Topic 13. Acknowledge a Batch

If you are assigned the role of **Check Capture Supervisor (CCS), Check Capture Operator/Lead Operator (CCO/CCLO),** or **Check Capture Operator (CCO)** with **Batch Uploader** privileges you are the only authorized users who have access to the Acknowledge Batch task in OTCnet Offline. Active batches that are in Sent, Acknowledge Error (ACK ERROR (Closed)) and Acknowledge Error (ACK ERROR (APPROVE)) state display on the *Summary of Batches* page.

Acknowledging a batch allows you to request confirmation from the OTCnet Online application that the batch transmission was successfully received and processed into the online database, where it will be available in Batch Management for Approval (if batch is Closed) or forwarded for processing (if the batch is Approved already).

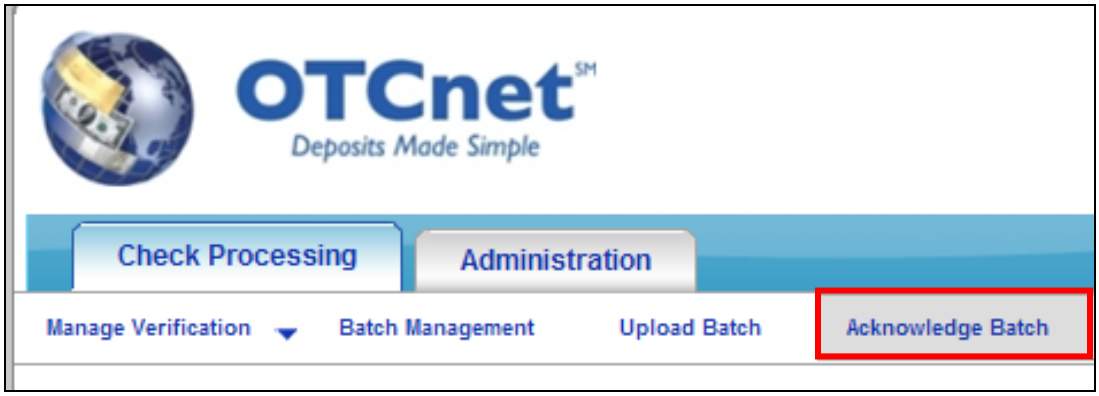
Before you can acknowledge a batch or multiple batches in OTCnet Offline, you must first access the Start OTCnet Offline icon on your terminal's desktop or access your Start Menu under Programs and enter your User ID and password. Your secondary storage (configured during Terminal Configuration) must be accessible. Additionally, connectivity to OTCnet Online is required to acknowledge a batch in OTCnet Offline. Upon selecting Upload Batch, you will be prompted to enter in your Online Credentials (if you haven't already done so) to establish connectivity to OTCnet Online.

Acknowledge a Batch Offline

To acknowledge a batch Offline, complete the following steps:

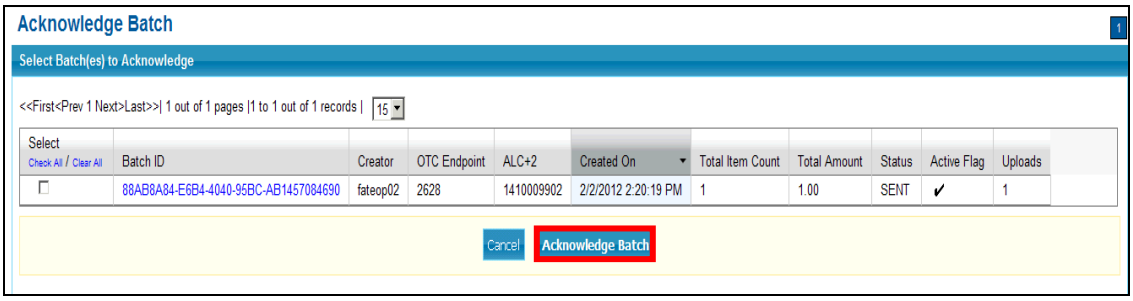
1. Click the **Check Processing** tab and then click **Acknowledge Batch**.

Figure 89. Acknowledge Batch



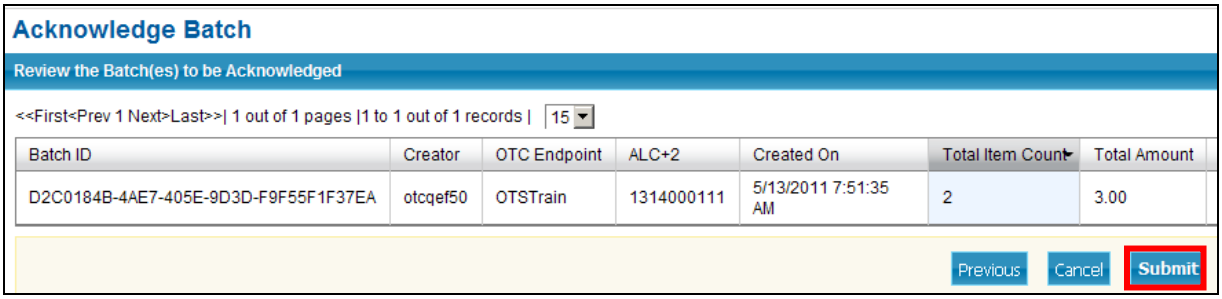
2. Once the *Select Batches to Acknowledge* page appears, select the batches to acknowledge by clicking the corresponding check box and then click **Acknowledge Batch**

Figure 90. Select Batches to Acknowledge



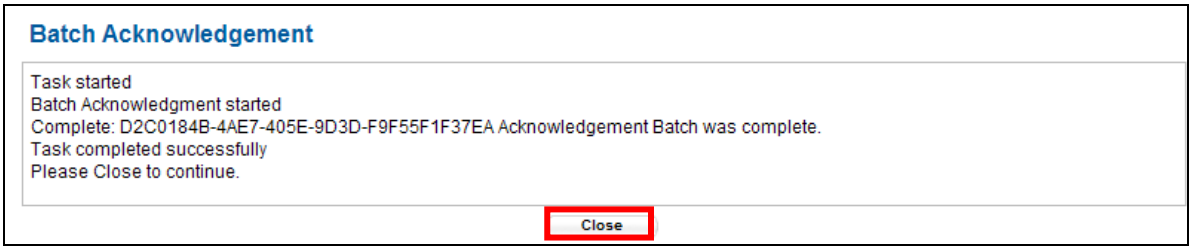
3. When the *Review the Batch(es) to be Acknowledged* page appears, verify the correct batches are in queue to be acknowledged and then click **Submit**

Figure 91. Review the Batch (es) to be Acknowledged



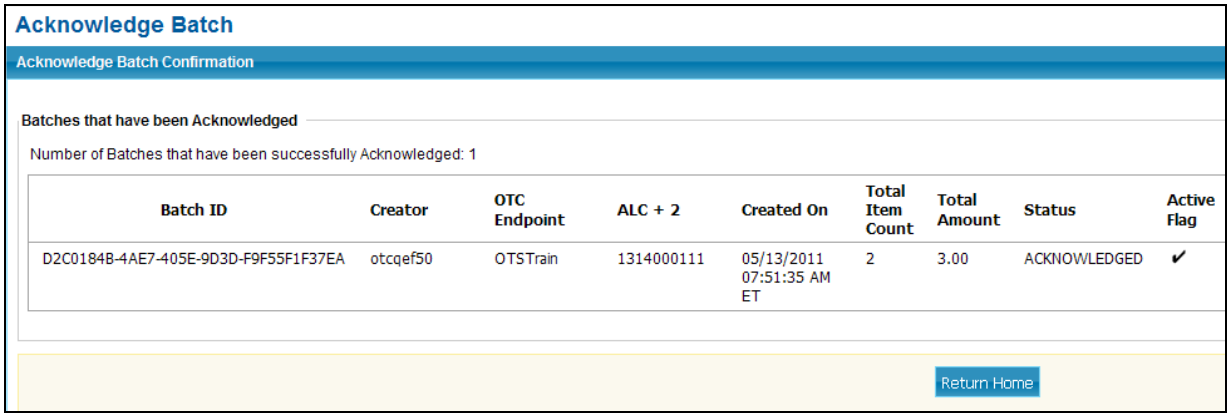
4. After the batch acknowledgement task has been successfully completed, click **Close**

Figure 92. Activate/Deactivate Batch



5. A Confirmation page appears, verifying that the batch(es) has been successfully acknowledged

Figure 93. Acknowledge Batch Confirmation



Acknowledge Batch

Acknowledge Batch Confirmation

Batches that have been Acknowledged

Number of Batches that have been successfully Acknowledged: 1

Batch ID	Creator	OTC Endpoint	ALC + 2	Created On	Total Item Count	Total Amount	Status	Active Flag
D2C0184B-4AE7-405E-9D3D-F9F55F1F37EA	otcqef50	OTSTrain	1314000111	05/13/2011 07:51:35 AM ET	2	3.00	ACKNOWLEDGED	✔

Return Home

Acknowledge a Batch in OTCnet Offline

To acknowledge batch (es), complete the following steps:

1. Click the **Check Processing** tab.
2. Click **Acknowledge Batch**. The *Summary of Batch (es) to Acknowledge* page appears.

> **Application Tip**
>
> Before you can acknowledge batch(es) in OTCnet Offline, you must first access the **Start OTCnet Offline** icon on your terminal's desktop and enter your User ID and password. After you have successfully logged on you can search for the batch.

> **Application Tip**
>
> To determine if your terminal is connected to the online OTCnet server, refer to the Connection Status indicator located on the top-right of the page. If the Connection Status is green, the terminal is connected to the online OTCnet server. If the Connection Status indicator is red, the terminal is not connected to the online OTCnet server.

3. Select the batch(es) you want to acknowledge by checking the box(es) under the **Select** column.
4. Click **Acknowledge Batch**. The *Review the Batch(es) to be Acknowledged* page appears.
5. Verify that you want to receive acknowledgement for the selected batch(es) and click **Submit**. The *Batch Acknowledgement* dialog box appears.
6. Click **Close**. The *Acknowledge Batch Confirmation* page appears with the batch details of which batches successfully/failed to receive acknowledgement.

Topic 14. Print a Receipt

Receipts are available for printing if the **Check Capture Administrator** configures the terminal beforehand in OTCnet. If your Agency requires a specific receipt layout, contact your Deployment Specialist at fms.otcdeployment@citi.com or 703-377-5586. All receipts are printed in PDF format, as well as saved or attached to a new email message.

After the terminal is configured, **Check Capture Operators**, **Check Capture Lead Operators,** and **Check Capture Supervisors** can print a receipt in single mode or batch mode through the **Check Scan** and **Batch Management** functionality, as well as via the **Show Item** to print a receipt. Receipts are available for printing in OTCnet after the operators enter and save the pertinent details and can be either handed to or mailed to the customer.

Receipt Printing from Check Scan (Singe/Batch Mode)

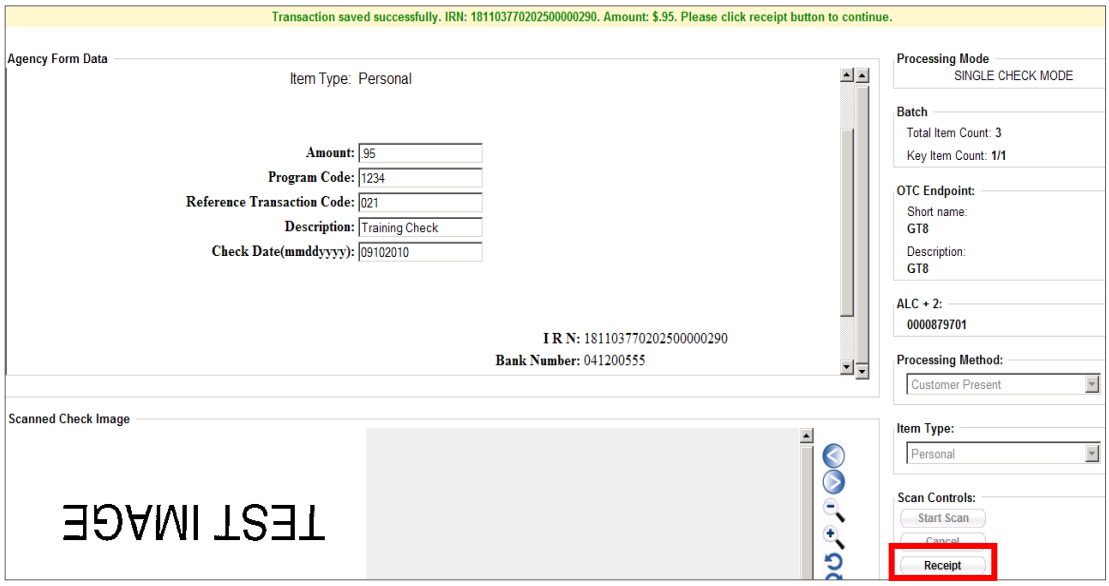
To print a receipt from batch management, complete the following steps:

1. Scan the check, input, and save the pertinent details.

2. Under **Scan Controls**, click **Receipt**. A *Printing…Please wait* message appears and the receipt prints to the default printer.

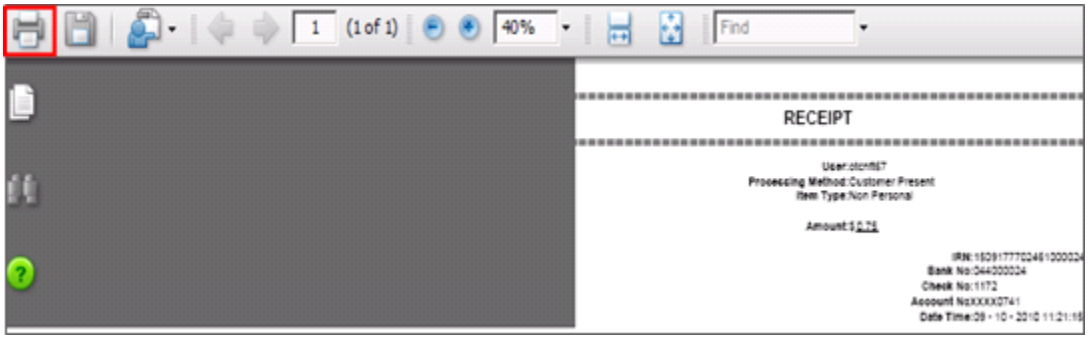
   Note: You have *eight* seconds to click the **Receipt** button. If the **Receipt** button is not clicked within the allotted time, the button grays out. If a receipt is still needed, access the **Batch Management** function

Figure 94. Receipt Print Image (Scan Check)



3. The receipt appears. Click **Print** to print the receipt and close the receipt

Figure 95. Print Receipt



Note: If you are printing a receipt in batch mode repeat steps 1-5 until finished.

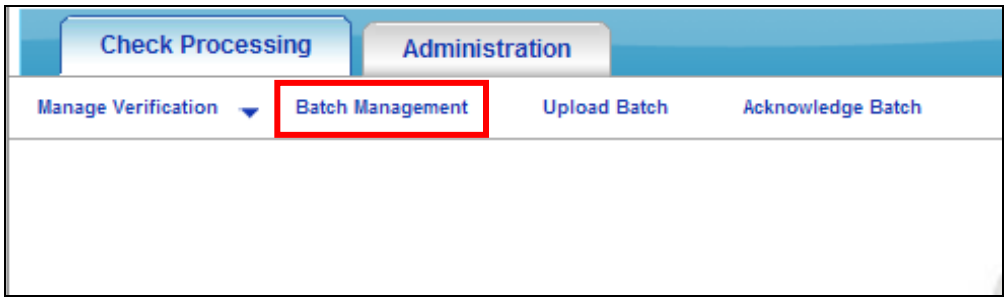
If there are more than 5 characters in the accounting number, the system will mask all but the last 4. If there are 5 characters or less, the system will mask all but the last character.

Receipt Printing from Batch Management (Singe/Batch Mode)

To print a receipt from batch management, complete the following steps:

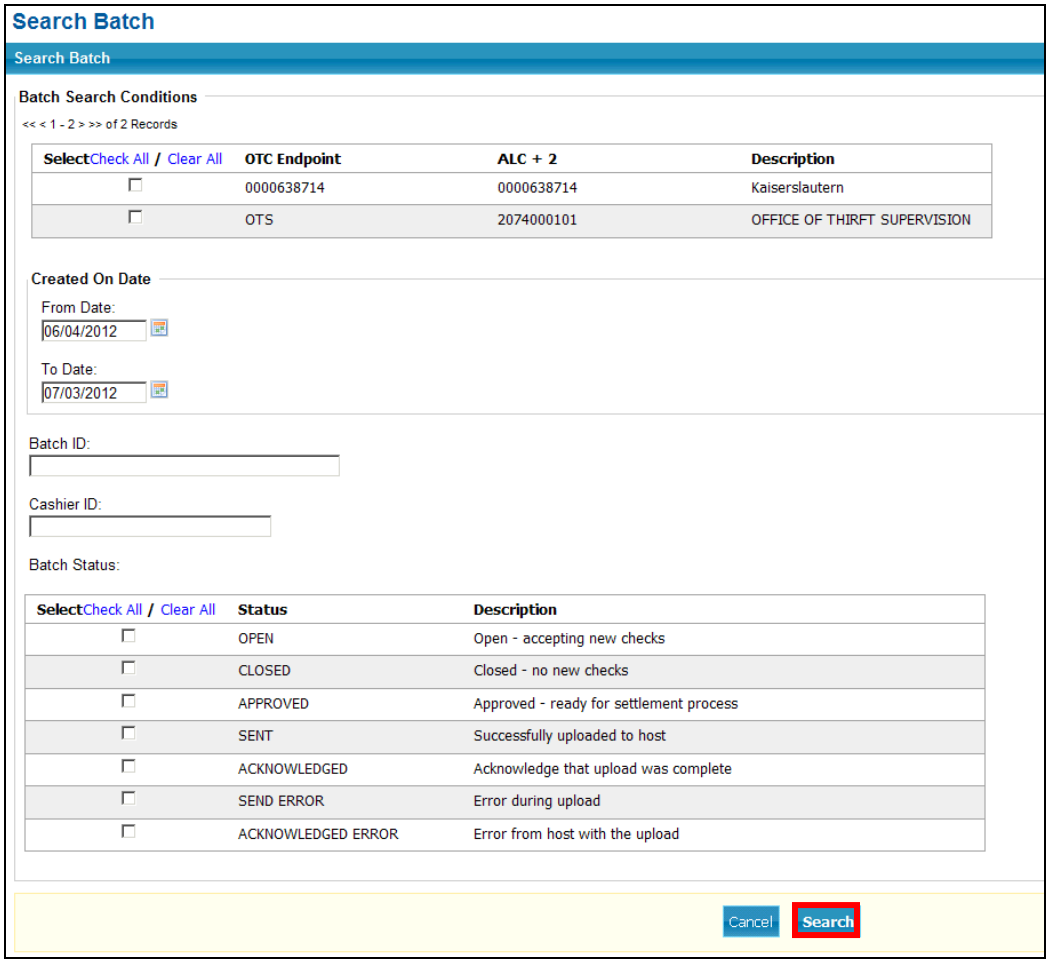
1. Click the **Check Processing** tab and click **Batch Management**.

Figure 96. Batch Management (Receipt)



2. Select or enter the batch search conditions you would like view and click **Search**

Figure 97. Search Batch (Receipt)



Note:

If you run a search **with** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

Under **Batch Search Conditions**, *optional*

Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

Under **Created On Date**, *optional*

Enter the **Created On Date** by entering the **From** and **To** date range

Note: The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Enter the **Batch ID,** *optional*

Note: If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

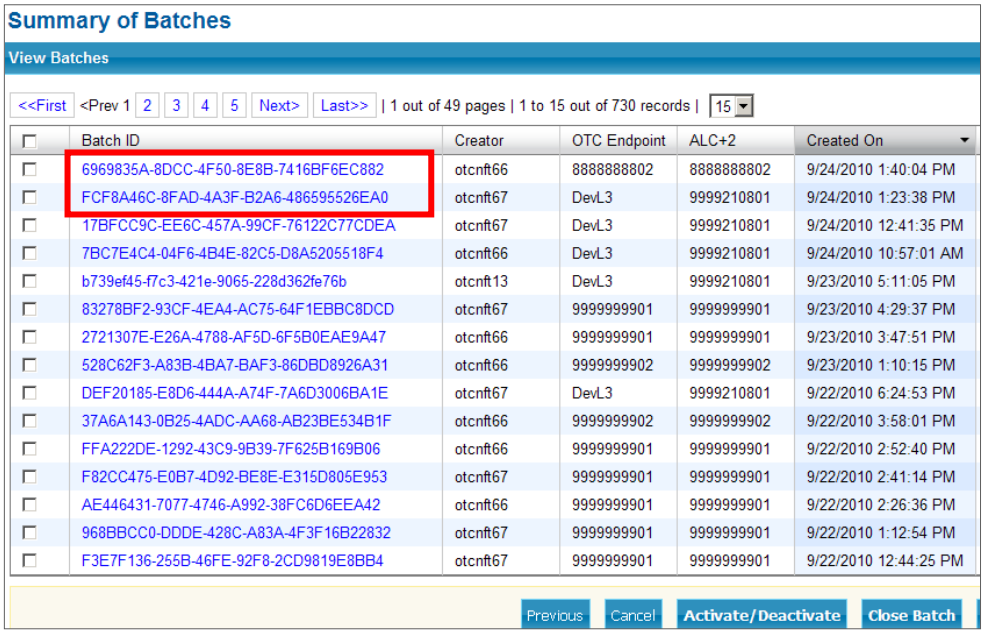
Enter the **Cashier ID**

Under **Batch Status**, *optional*

Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column, then click **Search**

3. The *View Batch* page appears. Click the **Batch ID** hyperlink. If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 98. View Batches (Receipt)



Summary of Batches

View Batches

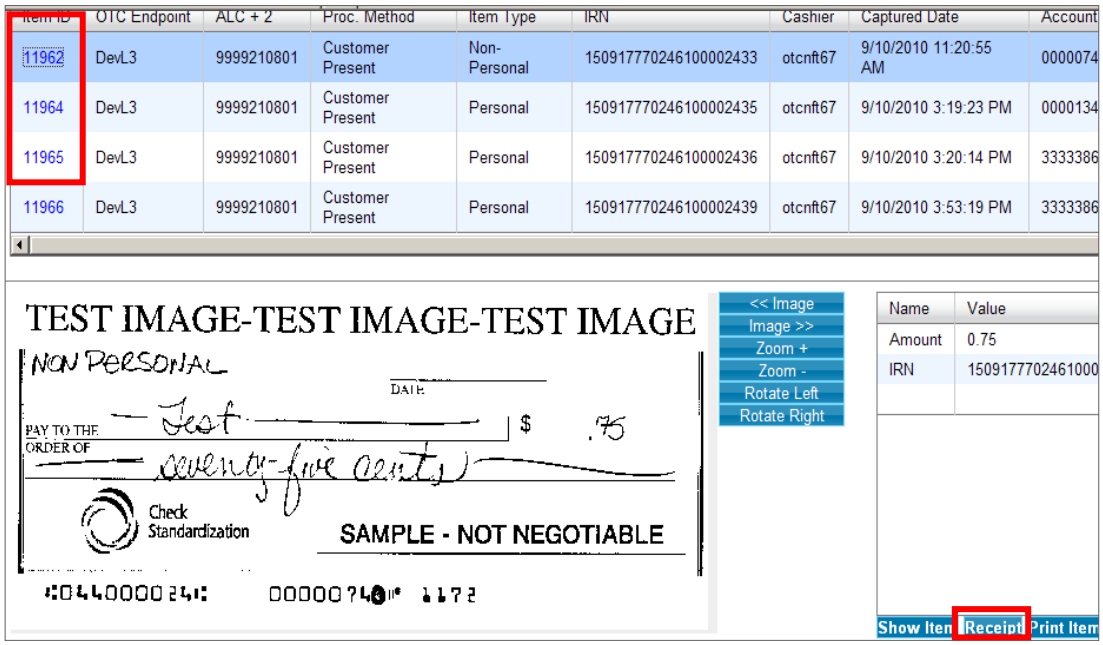
<<First <Prev 1 2 3 4 5 Next> Last>> | 1 out of 49 pages | 1 to 15 out of 730 records | 15

Batch ID	Creator	OTC Endpoint	ALC+2	Created On
6969835A-8DCC-4F50-8E8B-7416BF6EC882	otcnft66	8888888802	8888888802	9/24/2010 1:40:04 PM
FCF8A46C-8FAD-4A3F-B2A6-486595526EA0	otcnft67	DevL3	9999210801	9/24/2010 1:23:38 PM
17BFCC9C-EE6C-457A-99CF-76122C77CDEA	otcnft67	DevL3	9999210801	9/24/2010 12:41:35 PM
7BC7E4C4-04F6-4B4E-82C5-D8A5205518F4	otcnft66	DevL3	9999210801	9/24/2010 10:57:01 AM
b739ef45-f7c3-421e-9065-228d362fe76b	otcnft13	DevL3	9999210801	9/23/2010 5:11:05 PM
83278BF2-93CF-4EA4-AC75-64F1EBBC8DCD	otcnft67	9999999901	9999999901	9/23/2010 4:29:37 PM
2721307E-E26A-4788-AF5D-6F5B0EAE9A47	otcnft66	9999999901	9999999901	9/23/2010 3:47:51 PM
528C62F3-A83B-4BA7-BAF3-86DBD8926A31	otcnft66	9999999902	9999999902	9/23/2010 1:10:15 PM
DEF20185-E8D6-444A-A74F-7A6D3006BA1E	otcnft67	DevL3	9999210801	9/22/2010 6:24:53 PM
37A6A143-0B25-4ADC-AA68-AB23BE534B1F	otcnft66	9999999902	9999999902	9/22/2010 3:58:01 PM
FFA222DE-1292-43C9-9B39-7F625B169B06	otcnft66	9999999901	9999999901	9/22/2010 2:52:40 PM
F82CC475-E0B7-4D92-BE8E-E315D805E953	otcnft67	9999999901	9999999901	9/22/2010 2:41:14 PM
AE446431-7077-4746-A992-38FC6D6EEA42	otcnft66	9999999901	9999999901	9/22/2010 2:26:36 PM
968BBCC0-DDDE-428C-A83A-4F3F16B22832	otcnft67	9999999901	9999999901	9/22/2010 1:12:54 PM
F3E7F136-255B-46FE-92F8-2CD9819E8BB4	otcnft67	9999999901	9999999901	9/22/2010 12:44:25 PM

Previous Cancel Activate/Deactivate Close Batch

4. The *View Checks* page appears. Click the **Item ID** of each scanned check and click Receipt. An image of the check and details of the check appear in the window.

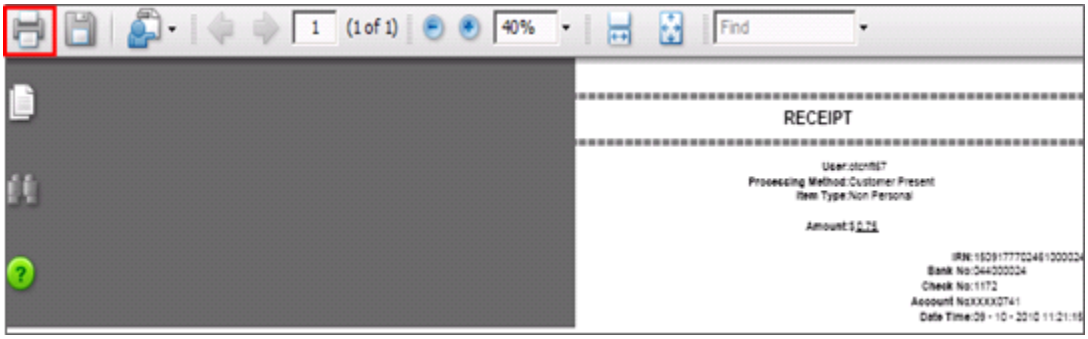
Figure 99. View Checks Page (Receipt)



Note: Click **Show Item** to view more details about the check.

5. The receipt appears. Click **Print** to print the receipt and close the receipt window.

Figure 100. Print Receipt



If there are more than 5 characters in the account number, the system will mask all but the last 4. If there are 5 characters or less, the system will mask all but the last character.

Print a Receipt

To print a receipt from *Check Scan* functionality, complete the following steps:

Single Mode

1. Scan the check, input, and save the pertinent details.
2. Under **Scan Controls**, click **Receipt**. A *Printing…Please wait* message appears and the receipt prints to the default printer.

> **Application Tip**
>
> You have eight seconds to click the **Receipt** button. If the **Receipt** button is not clicked within the allotted time, the button grays out. If a receipt is still needed, access the Batch Management function.

3. Click **Receipt**. The receipt appears.
4. Click **Print** to print the receipt.
5. Click **Close** to close the receipt.

> **Application Tip**
>
> If you are printing a receipt in batch mode repeat steps 1-5 until finished.

To print a receipt from *Batch Management* functionality, complete the following steps:

Batch Mode

1. Click the **Check Processing** tab and click **Batch Management**.
2. Select or enter the batch search conditions you would like view.

   Under **Batch Search Conditions**, *optional*
   - Select the **OTC Endpoint** you want to **Edit** a batch for by checking the under the **Select** column

   Under **Created On Date**, *optional*
   - Enter the **From** and **To** date range

Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.

Application Tip

The **Created On Date** range cannot exceed 30 days. Additionally, if more than a 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***with*** the default **From** and **To Created On Date** range values, the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within the 30 days then only the most recent 1,000 batches appear.

Application Tip

If you run a search ***without*** specifying any criteria (with the exception of the **Batch ID** field), the search results include the most recent 30 days of batches that you have access to view. If more than 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.

- Enter the **Batch ID**, *optional*

Application Tip

If the only search criteria entered is a valid **Batch ID** then only a single result appears regardless of other search criteria specified.

- Enter the **Cashier ID**, *optional*

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** or **Closed** box under the **Select** column

3. Click **Search**. The *View Batch* page appears.
4. Click the **Batch ID** hyperlink. The *View Checks* page appears.

Application Tip

If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

5. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

6. Click **Receipt**. The receipt appears.

7. Click **Print** to print the receipt.

Application Tip

Account numbers and User Defined Fields (UDFs) that are marked as Personally Identifiable Information (PII) are masked. If there are more than five characters, OTCnet masks all but the last four numbers. If there are five characters or less, the system will mask all but the last character.

8. Click **Close** to close the receipt.

Application Tip

Click **Show Item** to view more details about the check. Under **Server Controls**, click **Receipt** to print the receipt.

Summary

In this chapter, you learned:

- The purpose of capturing and managing checks offline
- How to capture a check offline
- How to manage failed image quality
- How to resolve a duplicate check
- How to void a check
- How to override a Master Verification Record (MVD) Record
- How to perform batch control and batch balancing
- How to view and print a batch list / item
- How to activate/deactivate a batch
- How to close a batch
- How to approve a batch
- How to upload a batch
- How to acknowledge a batch
- How to print a receipt

In the next chapter, you will learn how to correct scanned checks.

Notes

Index

Accept 27, 28, 29, 30, 31, 32, 33, 35
Agency Form Data 14, 18, 20, 30
Approve 2, 6, 62, 99, 101, 102, 103, 104, 111, 112, 113
Back Office 8, 14
Batch Control ... 2, 3, 5, 6, 11, 53, 54, 55, 56, 58, 59, 60, 61, 90, 91
Batch Management 3, 36, 37, 62, 67, 75, 83, 89, 99, 109, 125, 126, 131
Batch Summary.....92, 104, 113
Cancel 5, 7, 27, 28, 30, 31, 32, 33, 35, 49, 51, 56, 59
Check Capture Lead Operator ..1, 3, 5, 6, 29, 30, 31, 53, 54, 56, 58, 59, 62, 82
Check Capture Operator 1, 3, 5, 6, 29, 30, 31, 53, 54, 56, 58, 59, 62
Check Capture Supervisor 1, 5, 27, 28, 29, 30, 31, 33, 35, 36, 52, 53, 56, 59, 61, 62, 75, 82, 99
Check Processing 3, 6, 7, 12, 37, 62, 67, 75, 83, 89, 99, 109, 126
Close ...2, 5, 6, 53, 56, 57, 59, 62, 82, 90, 91, 92, 93, 131
Customer Not Present 8, 14
Customer Present 8, 14
Duplicate Check 2, 31, 32, 33, 35
EC5000i, EC6000i, and EC7000i Scanners 10
Edit MICR 31
Logical Processing Order 5
Master Verification Database.....48
MICR 10, 31, 32, 35
MVD 1, 2, 48, 49, 51, 134
OTC Endpoints 6, 36, 82, 99
Panini Scanner.....11
Personal 7, 8, 9, 15
Print ...2, 5, 50, 51, 57, 62, 65, 66, 69, 70, 71, 73, 90, 91, 92, 104, 112, 125, 126, 130, 131
Rescan 27, 28, 30, 31, 32
Scan Check.....3, 125
Scan Controls 11, 16, 17, 20, 125, 131
Single vs. Batch Processing Mode 7
Terminal Configuration 5, 9, 53
Void 2, 5, 36, 40, 41, 42, 45, 61

OTCnet℠

Deposits Made Simple

Chapter 8: Reporting on Scanned Checks

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Topics 3
Topic 1. Purpose of Accessing Check Processing Reports 5
Topic 2. View a CIRA Query 7
Item Status 8
View a CIRA Record 9
Topic 3. Business Reports 16
CIRA CSV Report 22
Check Image Report 35
Agency CIRA Report 39
OTC Endpoint Check Cashing Policy Report 44
OTC Verification Groups Report 47
LVD Contents Report 50
Organization Hierarchy Report 55
215 Deposit Ticket Report 58
5515 Debit Voucher Report 63
Topic 4. Administration Reports 67
CIRA Transmission Summary Report 67
CIRA Transmission (Detailed) Summary Report 73
FMS Statistical Report 77
Summary 82
Glossary 83
Index 97

LIST OF TABLES

Table 1. Report Types and Descriptions 5
Table 2. Business Reports and Access Type 21
Table 3. Administration Reports and Access Type 67

LIST OF FIGURES

Figure 1. Item Status Process Flow 8
Figure 2. Select Check Processing>CIRA Query>View 9
Figure 3. CIRA Query: Search Criteria 13
Figure 4. Count and IRN Table 14
Figure 5. CIRA Details Page 15
Figure 6. Reports> Check Processing Reports 22
Figure 7. Select CIRA CSV Report 22
Figure 8. CIRA CSV Report Page (OTC Endpoint, Form Name, Deploy Date, UDFs) 24
Figure 9. CIRA CSV Search Criteria (Acct, Bank, IRN, Check, Amt and Status) 26
Figure 10. CIRA CSV Search Criteria (Rec'd, Check Capture, Settlement 28
Figure 11. Open/ Save or Download 28
Figure 12. Select Check Image Report 35
Figure 13. Check Image Report Page 36
Figure 14. Check IRNs to Submit 36
Figure 15. Click Submit to View Check Image 37

Figure 16. Select Agency CIRA Report 39
Figure 17. Agency CIRA Report Page....40
Figure 18. Click OTC Endpoint to View Agency CIRA Report 41
Figure 19. Select OTC Endpoint Check Cashing Policy Report....44
Figure 20. Click OTC Endpoint to View Check Cashing Policy Report 45
Figure 21. Select OTC Endpoint Check Cashing Policy Report....47
Figure 22. Click OTC Endpoint to View Verification Groups Report....48
Figure 23. Select LVD Contents Report 50
Figure 24. LVD Contents Report Page....51
Figure 25. Click OTC Endpoint to View LVD Contents Report....52
Figure 26. Select LVD Contents Report 55
Figure 27. Click OTC Endpoint to View Organization Hierarchy Report....56
Figure 28. Select LVD Contents Report 58
Figure 29. 215 Deposit Ticket Report Page....59
Figure 30. Click OTC Endpoint to View 215 Deposit Ticket Report 60
Figure 31. Select LVD Contents Report 63
Figure 32. 5515 Debit Voucher Report Page....64
Figure 33. Click OTC Endpoint to View 5515 Debit Voucher Report 64
Figure 34. Select CIRA Transmission Summary Report....68
Figure 35. CIRA Transmission Summary Report Page 69
Figure 36. Click OTC Endpoint to View CIRA Transmission Summary Report....70
Figure 37. Select CIRA Transmission (Detailed) 73
Figure 38. CIRA Transmission (Detailed) Summary Report Page 74
Figure 39. Click OTC Endpoint to View CIRA Transmission (Detailed) Report....75
Figure 40. Select FMS Statistical Report....77
Figure 41. FMS Statistical Report Page 78
Figure 42. Click OTC Endpoint to View FMS Statistical Report....79

Audience, Overview and Topics

Audience

The intended audience for the *Reporting on Scanned Checks Participant User Guide* includes:

- Agency Manager
- CIRA Viewer
- MVD Editor
- MVD Viewer
- FMS Viewer
- FMS Security
- View Reports

Overview

Welcome to *Reporting on Scanned Checks*. In this chapter, you will learn:

- The purpose of accessing check processing reports
- How to view a CIRA Query
- How to view and download a CIRA CSV Report
- How to view and print a Check Image Report
- How to view and print an Agency CIRA Report
- How to view and print a OTC Endpoint Check Cashing Policy Report
- How to view and print a OTC Verification Groups report
- How to view and print a LVD Contents Report
- How to view and print a Organizational Hierarchy Report
- How to view and print a 215 Deposit Ticket Report
- How to view and print a 5515 Debit Voucher Report
- How to view and print a CIRA Transmission Summary Report
- How to view and print a CIRA Transmission (Detailed) Summary Report

- How to view and print an FMS Statistical Report

Topics

This chapter is organized by the following topics:

1. The purpose of accessing check processing reports
2. CIRA Query
3. Business Reports
    - CIRA CSV Report
    - Check Image Report
    - Agency CIRA Report
    - OTC Verification Groups Report
    - OTC Endpoint Check Cashing Policy
    - LVD Contents Report
    - Organizational Hierarchy Report
    - 215 Deposit Ticket Report
    - 5515 Debit Voucher Report
4. Administration Reports
    - CIRA Transmission Summary Report
    - CIRA Transmission (Detailed) Summary Report
    - FMS Statistical Report

Topic 1. Purpose of Accessing Check Processing Reports

In this Chapter, you will learn how to access, run search criteria and print Check Processing reports. Additionally, you will learn how to query using the **View CIRA** functionality. Based on your user role, you will be able to access one or more of the Check Processing reports available in OTCnet. The following roles are able to access reports:

- Agency Manager
- Check Capture Administrator
- MVD Editor/ MVD Viewer
- FMS Viewer/ FMS Security
- Report Viewer

There are 12 reports a user may have access to view and download/ print (see Table 1 below).

Table 1. Report Types and Descriptions

Business Report	Allows you to…
CIRA CSV	Export data based on a query to a comma separated value (CSV) report. The exported data can be used to import into other applications within an agency.
Agency CIRA	View the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.
LVD Contents	View the contents of a Local Verification Database (LVD) for a given OTC Endpoint.
Organization Hierarchy	View the structure of a Federal Program Agency as defined in OTCnet.
215 Deposit Ticket	View transaction information presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is auto-generated for Check Capture. The report is available in OTCnet for 45 calendar days.
5515 Debit Voucher	View transaction information used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report auto-generated for Check Capture. The report is available in OTCnet for 45 calendar days.
Check Image	View the front and back images of the checks for IRNs requested.
OTC Endpoint Check Cashing Policy	View the OTC Endpoint Check Cashing policies used in the processing and delivery. It displays the number of permissible returns, how many days the check writer is suspended for each occurrence and the return reason codes.

OTC Verification Groups	View the list of OTC Endpoints that belong to the selected OTCnet Verification Group.
Administration Report	**Allows you to…**
CIRA Transmission Summary	View the list of transactions sent to Debit Gateway.
CIRA Transmission (Detailed) Summary	View the detailed information about transactions sent to Debit Gateway.
FMS Statistical	View statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is available for 15 rolling days.

Topic 2. View a CIRA Query

The **Central Image and Research Archive (CIRA)** is the image archive component of the OTCnet system from which authorized users are able to view transactions and images of all items processed. Users can perform searches and view groups of specific checks that have been archived. Access to the CIRA should be limited to authorized users due to the confidential nature of the items.

The CIRA contains an archive of all check images processed by participating agencies and locations. Once a batch has been approved, transactions are available for viewing shortly thereafter (volume and system activity affects the amount of time it takes to view the batch in CIRA).

As a **CIRA Viewer**, **MVD Editor, MVD Viewer** or **FMS Viewer** you can locate and view seven years of historical check data including check images and agency-entered information using the CIRA Query function. The CIRA provides batch level transaction activity for a specified OTC Endpoint.

You can filter by Received Date, Capture Date, Batch ID, or Check Capture Operator. You can search for checks by OTC Endpoint, Individual Reference Number (IRN), first four User Defined Fields, Suspension Status and other search criteria. If you run a search without specifying any criteria other than OTC Endpoint, the search results return all the checks that your access will permit you to view.

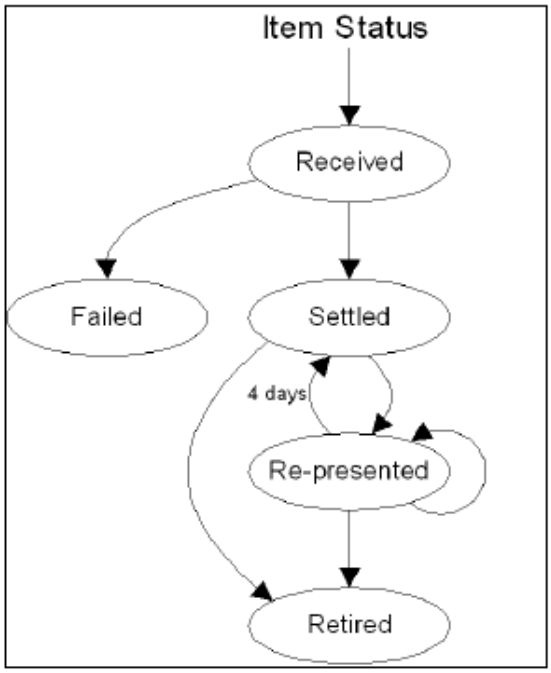
Search Criteria Includes:

- OTC Endpoint
- Include Subordinates
- Form Name
- Deploy Date
- User Defined Fields
- Account
- Bank Routing Number
- Item Reference Number (IRN)
- Check Number
- Check Amount
- Settlement Status
- 5515/ Debit Voucher Number
- 215/ Deposit Ticket Number
- Cashier ID
- Batch ID
- Received Date (filter)
- Capture Date (filter)
- Settlement Date (filter)
- Return Settlement Date (filter)

Item Status

In OTCnet, there is a status to indicate the current state of a transaction throughout the collection process (see Figure 3). Inquiries related to the status can aid with the research and troubleshooting of a particular transaction.

Figure 1. Item Status Process Flow



Received - The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

Failed - The item was unable to be processed and/or settled by Treasury/FMS. These are items that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

Settled- This transaction is completed and the funds have been credited to the agency's CA$HLINK account. The effective date of the deposit and the 215 Deposit Ticket Report deposit ticket number are provided.

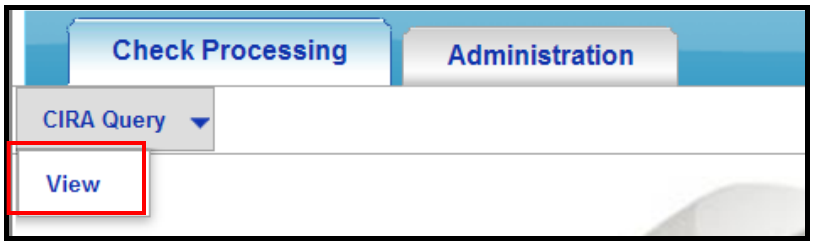
Represented- This transaction was returned with a reason code that allows for another collection attempt to be made *(see Chapter 10. Appendix of the Participant User Guides for Reason Codes)*. Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

Retired- This transaction was unable to be collected. The Agency receives a SF5515 Report Debit Voucher report with a debit processed to Debit Gateway, the effective date and debit voucher number is provided. The offset to the agency's debit was an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

View a CIRA Record

1. Click the **Check Processing** tab. Select **CIRA Query** and click **View** (see Figure 2 below).

Figure 2. Select Check Processing>CIRA Query>View



2. The *CIRA Query* page appears. Enter the search criteria for the report you would like to view, then click **Search** to initiate search, as shown in Figure 3.

   Under **Search Criteria,**
   - Select the **OTC Endpoint**, *required*

> **Application Tip**
> If you do not know the full name of OTC Endpoint, you can enter a partial name search (as few as one letter) in the **Starts with** text box and click the **Select From List** icon (magnifying glass). The configured OTC Endpoints appear according to the user's access. Click the appropriate OTC Endpoint radio button.

   - Check/uncheck **Include Subordinates**

> **Application Tip**
> By default, the **Include Subordinates** check box is checked. Add a check mark to generate a report that contains data for the subordinate OTC Endpoints. Remove the check mark to generate a report that contains data only for the selected OTC Endpoint.

- Select the **Form Name**
- Select the **Deploy Date**

Application Tip

By default, the most recent **Deploy Date** and **Form Version** will populate the **Deploy Date** field, once the **Form Name** is selected.

- Under **User Defined Fields**,
  - Enter **User Defined Field 1**
  - Enter **User Defined Field 2**
  - Enter **User Defined Field 3**
  - Enter **User Defined Field 4**

Application Tip

The **User Defined Fields** are visible based on the selected OTC Endpoint **Form Name** and **Deploy Date**.

- Enter the **Account** number
- Enter the **Bank Routing Number**
- Enter the **IRN** (Individual Record Number)
- Enter the **Check Number**

Application Tip

If an **IRN** or **Batch ID** and a date range (**Received Date**, **Capture Date**, **Settlement Date**, and **Return Settlement Date**) are entered, OTCnet ignores the date range.

- Under **Check Amount**,
  - Select the appropriate drop-down field
  - Enter the check amount

- Select a **Settlement Status**
- Enter the **5515/Debit Voucher Number**

Application Tip

The **5515/Debit Voucher Number** represents items returned to an agency due to unsuccessful collection efforts.

- Enter the **215/Deposit Ticket Number**

Application Tip

The **2515/Deposit Ticket Number** represents items credited into CA$HLINK II for a given agency on a given day.

- Enter the **Cashier ID**
- Enter the **Batch ID**

- Click the **Received Date:** radio button
  - Select **From** and **To** Received Date range

    Or
  - Select the **On** Received Date

Application Tip

Received Date (From) and **(To)** represents the date range the check was received into OTCnet. **Received Date (On)** represents the single specific date the check was received into OTCnet.

Application Tip

If the **Received Date** radio button is selected, OTCnet does not validate any other date range values (**Capture Date**, **Settlement Date** or **Return Settlement Date**).

Or

- Click the **Check Capture Date:** radio button
  - Select **From** and **To** Check Capture Date range

    Or
  - Select the **On** Check Capture Date

Application Tip

Check Capture Date (From) and **(To)** represents the date range the check was processed by the **Check Capture Lead Operator** or **Check Capture Operator**. **Check Capture Date (On)** represents the single specific end date the check was processed by the **Check Capture Lead Operator** or **Check Capture Operator**.

Application Tip

If the **Check Capture Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Settlement Date**, or **Return Settlement Date**).

Or

- Click the **Settlement Date:** radio button
  - Select **From** and **To** Settlement Date range

    Or
  - Select the **On** Settlement Date

Application Tip

Settlement Date (From) and **(To)** represents the date range when the payment amount was debited from the check writer's account. **Settlement Date (On)** represents the single specific date when the payment amount was debited from the check writer's account.

Application Tip

If the **Settlement Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Capture Date** or **Return Settlement Date**).

Or

- Click the **Return Settlement Date:** radio button
  - Select the **From/On** Date range
  - Select the **To** Date range

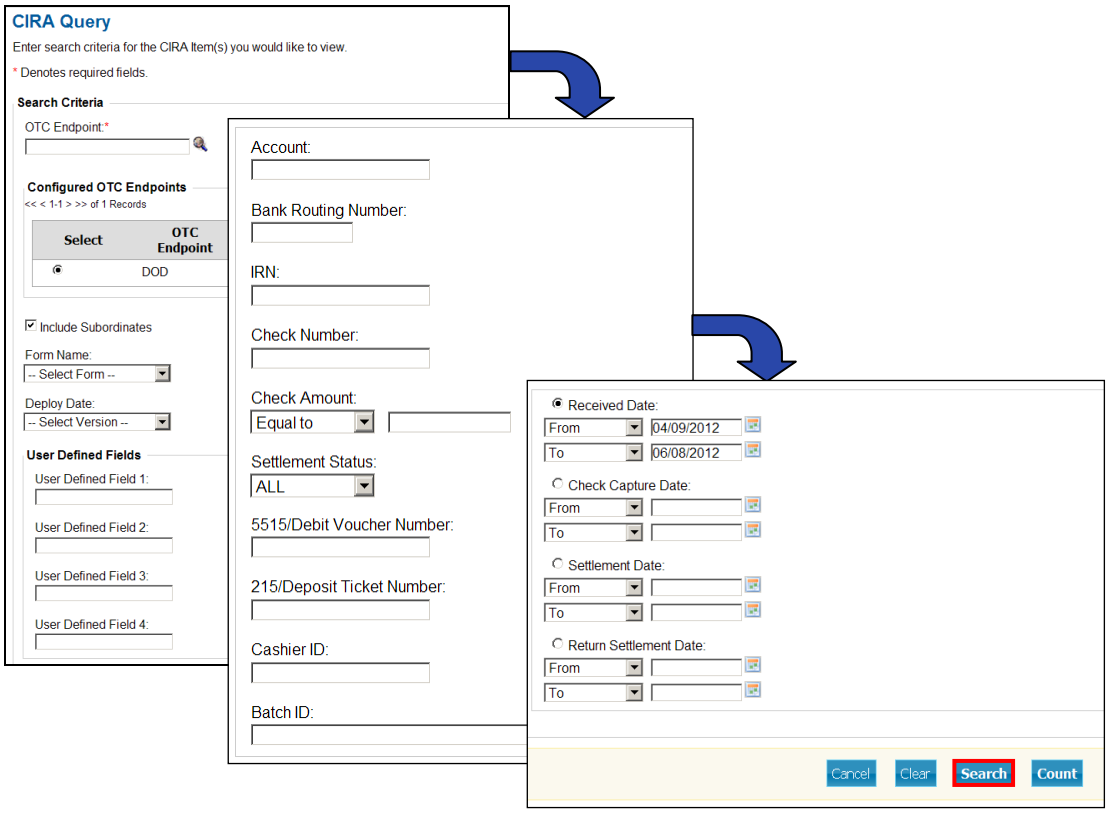
Application Tip

Return Settlement Date (From) and **(To)** represents the date range when the check item was returned. **Return Settlement Date (On)** represents the single specific date the check item was returned.

Application Tip

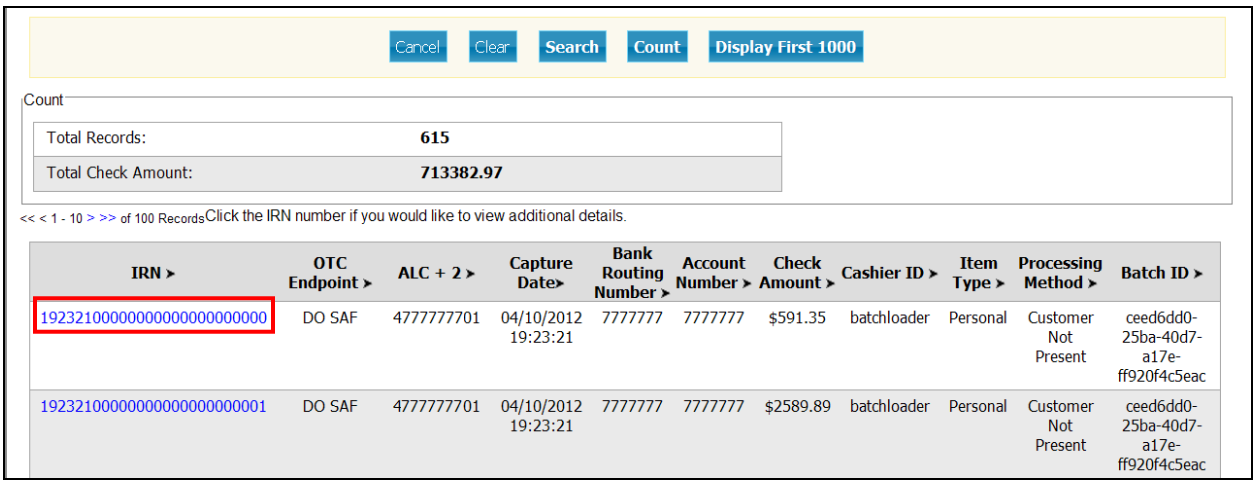
If the **Return Settlement Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Capture Date** or **Settlement Date**).

Figure 3. CIRA Query: Search Criteria



3. The *Count* table and *Search Results* table appears. Click the **IRN** of the check whose details you would like to view (see Figure 4 below).

Figure 4. Count and IRN Table



Cancel Clear Search Count Display First 1000

Count

Total Records:	615
Total Check Amount:	713382.97

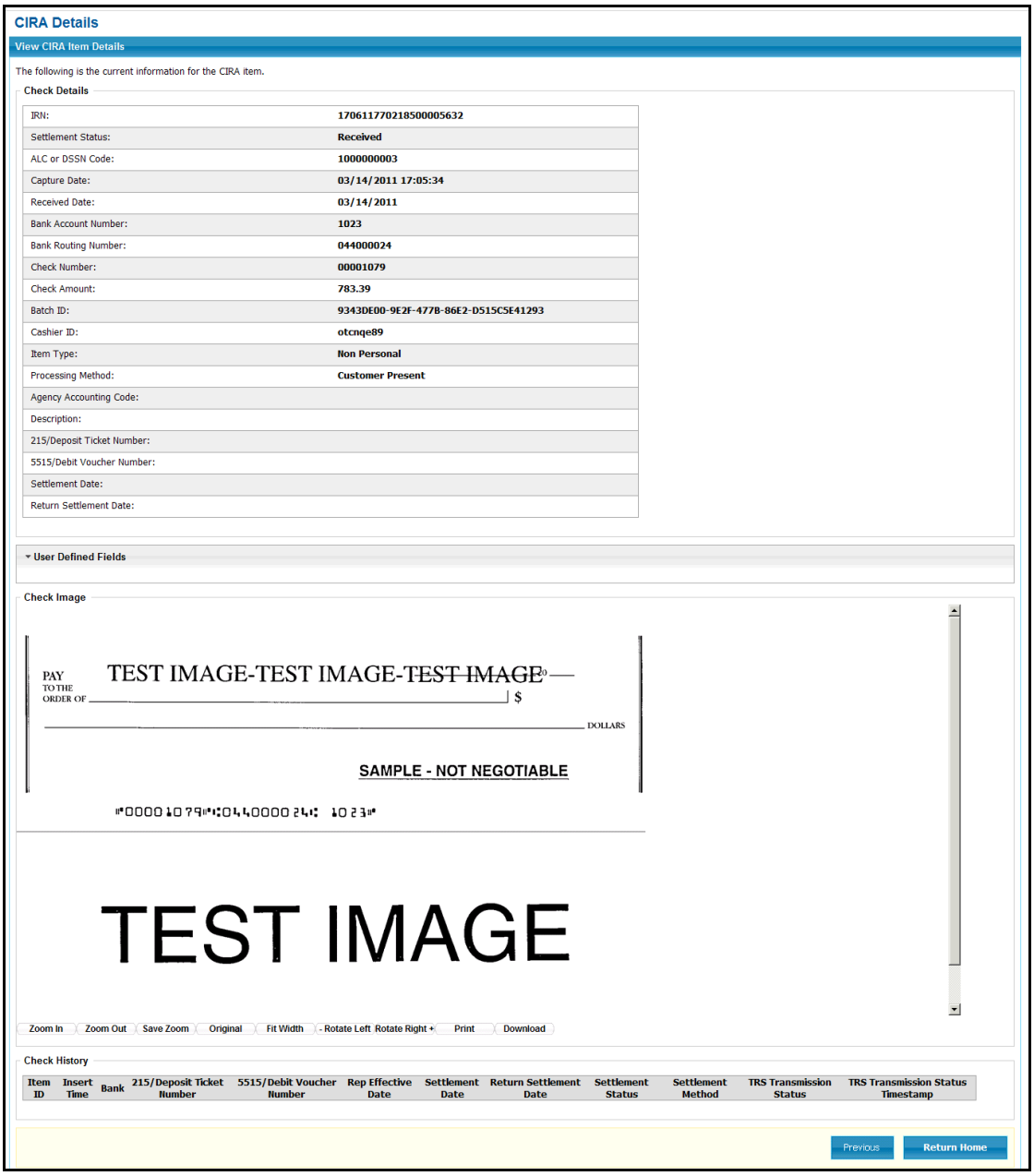
<< < 1 - 10 > >> of 100 RecordsClick the IRN number if you would like to view additional details.

IRN	OTC Endpoint	ALC + 2	Capture Date	Bank Routing Number	Account Number	Check Amount	Cashier ID	Item Type	Processing Method	Batch ID
19232100000000000000000000	DO SAF	4777777701	04/10/2012 19:23:21	7777777	7777777	$591.35	batchloader	Personal	Customer Not Present	ceed6dd0-25ba-40d7-a17e-ff920f4c5eac
19232100000000000000000001	DO SAF	4777777701	04/10/2012 19:23:21	7777777	7777777	$2589.89	batchloader	Personal	Customer Not Present	ceed6dd0-25ba-40d7-a17e-ff920f4c5eac

4. The *CIRA Details* page appears showing the **Check Details**, **User Defined Fields, Check Image** and **Check History** details (see Figure 5 below).

Note: The CIRA Query details page is configured to display a maximum of 90 days of search results. This range parameter applies when a user searches using Received Date, Check Capture Date, Settlement Date or Return Settlement Date. The system will display an error message to you if you attempt to search for results beyond the configured range.

Figure 5. CIRA Details Page



View a CIRA Record

To view a CIRA record, complete the following steps:

1. Click the **Check Processing** tab.
2. Select **CIRA Query** and click **View**. The *CIRA Query* page appears.
3. Enter the search criteria you would like to view.
   - Select an **OTC Endpoint**, *required*

Application Tip

If you do not know the full name of OTC Endpoint, you can enter a partial name search (as few as one letter) in the **Starts with** text box and click the **Select From List** icon (magnifying glass). The configured OTC Endpoints appear according to the user's access. Click the appropriate OTC Endpoint radio button.

   - Check/uncheck the **Include Subordinates** check box

Application Tip

By default, the **Include Subordinates** check box is checked. Add a check mark to generate a report that contains data for the subordinate OTC Endpoints. Remove the check mark to generate a report that contains data only for the selected OTC Endpoint.

   - Select a **Form Name**
   - Select a **Deploy Date**

Application Tip

By default, the most recent **Deploy Date** and **Form Version** will populate the **Deploy Date** field, once the **Form Name** is selected.

- Under **User Defined Fields**,
  - Enter **User Defined Field 1**
  - Enter **User Defined Field 2**
  - Enter **User Defined Field 3**
  - Enter **User Defined Field 4**

Application Tip

The **User Defined Fields** are visible based on the selected OTC Endpoint **Form Name** and **Deploy Date**.

- Enter the **Account** number
- Enter the **Bank Routing Number**
- Enter the **IRN** (Individual Record Number)
- Enter the **Check Number**

Application Tip

If an **IRN** or **Batch ID** and a date range (**Received Date**, **Capture Date**, **Settlement Date**, and **Return Settlement Date**) are entered, OTCnet ignores the date range.

- Under **Check Amount**,
  - Select the appropriate drop-down field
  - Enter the check amount

- Select a **Settlement Status**
- Enter the **5515/Debit Voucher Number**

Application Tip

The **5515/Debit Voucher Number** represents items returned to an agency due to unsuccessful collection efforts.

- Enter the **215/Deposit Ticket Number**

Application Tip

The **2515/Deposit Ticket Number** represents items credited into CA$HLINK II for a given agency on a given day.

- Enter the **Cashier ID**
- Enter the **Batch ID**
- Click the **Received Date:** radio button
  - Select **From** and **To** Received Date range

    Or
  - Select the **On** Received Date

Application Tip

Received Date (From) and **(To)** represents the date range the check was received into OTCnet. **Received Date (On)** represents the single specific date the check was received into OTCnet.

Application Tip

If the **Received Date** radio button is selected, OTCnet does not validate any other date range values (**Capture Date**, **Settlement Date** or **Return Settlement Date**).

Or

- Click the **Check Capture Date:** radio button
  - Select **From** and **To** Check Capture Date range

    Or
  - Select the **On** Check Capture Date

Application Tip

Check Capture Date (From) and **(To)** represents the date range the check was processed by the **Check Capture Lead Operator** or **Check Capture Operator**. **Check Capture Date (On)** represents the single specific end date the check was processed by the **Check Capture Lead Operator** or **Check Capture Operator**.

Application Tip

If the **Check Capture Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Settlement Date** or **Return Settlement Date**).

Or

- Click the **Settlement Date:** radio button
  - Select **From** and **To** Settlement Date range

    Or
  - Select the **On** Settlement Date

Application Tip

Settlement Date (From) and **(To)** represents the date range when the payment amount was debited from the check writer's account. **Settlement Date (On)** represents the single specific date when the payment amount was debited from the check writer's account.

Application Tip

If the **Settlement Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Capture Date** or **Return Settlement Date**).

Or

- Click the **Return Settlement Date:** radio button
  - Select the **From/On** Date range
  - Select the **To** Date range

Application Tip

Return Settlement Date (From) and **(To)** represents the date range when the check item was returned. **Return Settlement Date (On)** represents the single specific date the check item was returned.

Application Tip

If the **Return Settlement Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Capture Date** or **Settlement Date**).

4. Click **Search** to initiate the search.

5. The *Count* table and *Search Results* table appears. Click the **IRN** of the check whose details you would like to view.

6. The *CIRA Details* page appears showing the **Check Details**, **User Defined Fields, Check Image** and **Check History** details.

Application Tip

The CIRA Query details page is configured to display a maximum of 90 days of search results. This range parameter applies when a user searches using Received Date, Check Capture Date, Settlement Date or Return Settlement Date. The system will display an error message to you if you attempt to search for results beyond the configured range.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Count** to display the total number of check transactions and the total check amount for the specified search criteria.
- Click **Display First 1000** to retrieve the first 1000 records
- Click **Verification Detail** to view the corresponding MVD record for the check item. (Visible only if is a corresponding MVD record exists.)

Additional buttons exclusive to the *View CIRA Item Details* page:

- Click **Zoom In** to zoom in on the check image.
- Click **Zoom Out** to zoom out on the check image.
- Click **Save Zoom** to save the zoom percentage for the current session.
- Click **Original** to return the check image to the original display settings.
- Click **Fit Width** to fit the check image to the width of the open window.
- Click **Rotate Left** to rotate the check image counterclockwise 90 degrees.
- Click **Rotate Right** to rotate the check image clockwise 90 degrees.
- Click **Print** to the check image.
- Click **Download** to the check image.
- Click **Previous** to return to the previous page.
- Click **Return Home** to the OTCnet Home Page.

Topic 3. Business Reports

There are nine Business Reports that you may access depending on your role. There are two reports are that are exclusively accessible by the **FMS Viewer** role (as shown in Table 2 below). They include the **Check Image and OTC Endpoint Check Cashing Policy** reports. To print a report output, right click using your mouse and select *Print.*

Table 2. Business Reports and Access Type

Business Report	User Access Type					
	Agency Manager	**Check Capture Administrator**	**MVD Viewer**	**MVD Editor**	**FMS Viewer**	**View Reports**
CIRA CSV	X	X	X	X	X	
Agency CIRA	X	X	X	X	X	X
LVD Contents	X	X	X	X	X	X
Organization Hierarchy	X	X	X	X	X	X
215 Deposit Ticket	X	X	X	X	X	X
5515 Debit Voucher	X	X	X	X	X	X
Check Image					X	
OTC Endpoint Check Cashing Policy					X	
OTC Verification Groups	X	X	X	X	X	X

Legend: = NA / **X** = Access

CIRA CSV Report

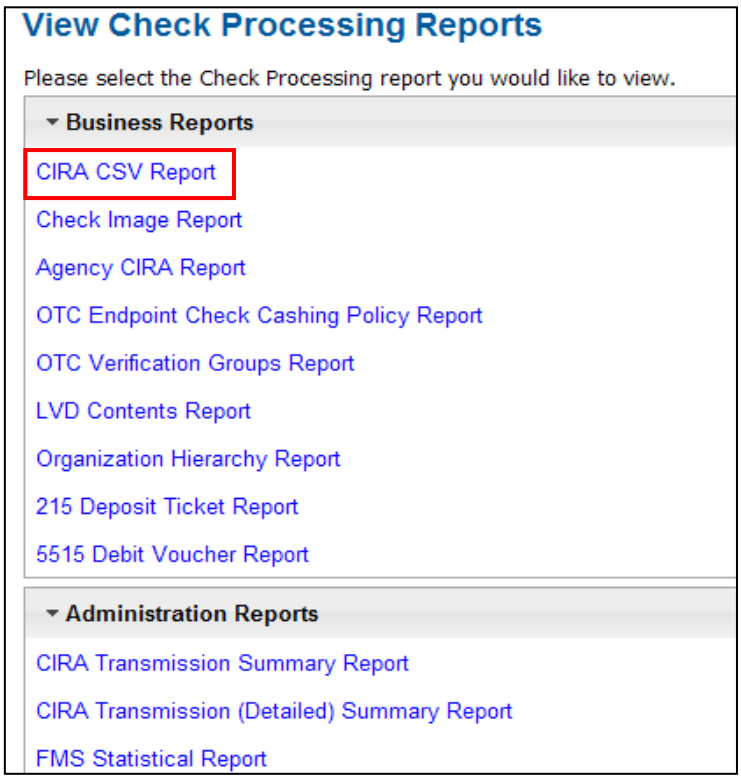
The **CIRA CSV** report is a business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency. Follow the steps below to view and/or download a **CIRA CSV Report.**

1. Click the **Reports** tab and click **Check Processing Reports** (see Figure 6 below).

Figure 6. Reports> Check Processing Reports

2. The *View Check Processing Reports* page appears. Under **Business Reports**, click **CIRA CSV Report**. The *CIRA CSV Report* page appears (see Figure 7 below).

Figure 7. Select CIRA CSV Report



3. Enter the search criteria for the report you would like to view (see Figures 8, 9 and 10 below).

- Select an **OTC Endpoint**, *required*

> **Application Tip**
>
> If you do not know the full name of OTC Endpoint, you can enter a partial name search (as few as one letter) in the **Starts with** text box and click the **Select From List** icon (magnifying glass). Based on your user role, the configured OTC Endpoints appear. Click the appropriate OTCnet Endpoint radio button.

- Check/uncheck the **Include Subordinates** check box

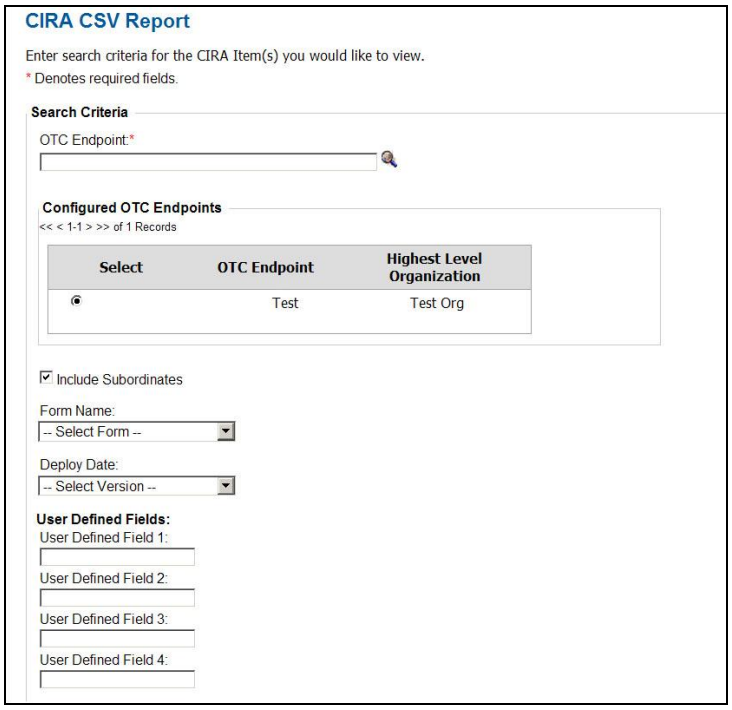
> **Application Tip**
>
> By default, the **Include Subordinates** check box is checked. Add a check mark to generate a report that contains data for the subordinate OTC Endpoints. Remove the check mark to generate a report that contains data only for the selected OTCnet.

- Select a **Form Name**
- Select a **Deploy Date**

> **Application Tip**
>
> By default, the most recent **Deploy Date** and **Form Version** will populate the **Deploy Date** field, once the **Form Name** is selected.

- Under **User Defined Fields**
    - Enter **User Defined Field 1**
    - Enter **User Defined Field 2**
    - Enter **User Defined Field 3**
    - Enter **User Defined Field 4**

Figure 8. CIRA CSV Report Page (OTC Endpoint, Form Name, Deploy Date, UDFs)



Application Tip

The **User Defined Fields** are visible based on the selected OTC Endpoint **Form Name** and **Deploy Date**.

- Enter the **Account** number
- Enter the **Bank Routing Number**
- Enter the **IRN** (Individual Record Number)
- Enter the **Check Number**

Application Tip

If an **IRN** or **Batch ID** and a date range (**Received Date**, **Capture Date**, **Settlement Date**, and **Return Settlement Date**) are entered, OTCnet ignores the date range.

- Under **Check Amount**,
  - Select the appropriate drop-down field
  - Enter the check amount

- Select a **Settlement Status**

- Enter the **5515/Debit Voucher Number**

Application Tip

The **5515/Debit Voucher Number** represents items returned to an agency due to unsuccessful collection efforts.

- Enter the **215/Deposit Ticket Number**

Application Tip

The **2515/Deposit Ticket Number** represents items credited into CA$HLINK II for a given agency on a given day.

- Enter the **Cashier ID**
- Enter the **Batch ID**

- Click the **Received Date:** radio button
  - Select **From** and **To** Received Date range

    Or
  - Select the **On** Received Date

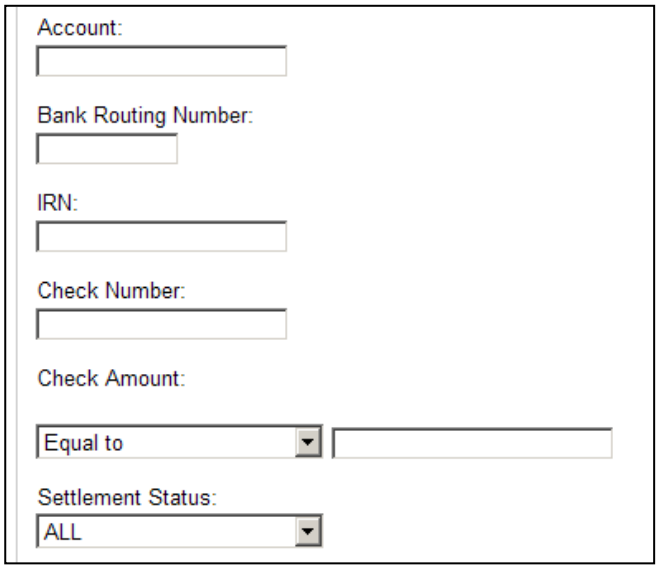
Application Tip

Received Date (From) and **(To)** represents the date range the check was received into OTCnet. **Received Date (On)** represents the single specific date the check was received into OTCnet.

Application Tip

If the **Received Date** radio button is selected, OTCnet does not validate any other date range values (**Capture Date**, **Settlement Date** or **Return Settlement Date**).

Figure 9. CIRA CSV Search Criteria (Acct, Bank, IRN, Check, Amt and Status)



Or

- Click the **Check Capture Date:** radio button
  - Select **From** and **To** Check Capture Date range

    Or
  - Select the **On** Check Capture Date

Application Tip

Check Capture Date (From) and **(To)** represents the date range the check was processed by the **Check Capture Lead Operator (CCLO)** or **Check Capture Operator (CCO)**. **Check Capture Date (On)** represents the single specific end date the check was processed by the **CCLO** or **CCO**.

Application Tip

If the **Check Capture Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Settlement Date**, or **Return Settlement Date**).

Or

- Click the **Settlement Date:** radio button
  - Select **From** and **To** Settlement Date range

    Or
  - Select the **On** Settlement Date range

Application Tip

Settlement Date (From) and **(To)** represents the date range when the payment amount was debited from the check writer's account. **Settlement Date (On)** represents the single specific date when the payment amount was debited from the check writer's account.

Application Tip

If the **Settlement Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Capture Date** or **Return Settlement Date**).

- Click the **Return Settlement Date:** radio button
  - Select the **From/On** Date range
  - Select the **To** Date range

Application Tip

Return Settlement Date (From) and **(To)** represents the date range when the check item was returned. **Return Settlement Date (On)** represents the single specific date the check item was returned.

Application Tip

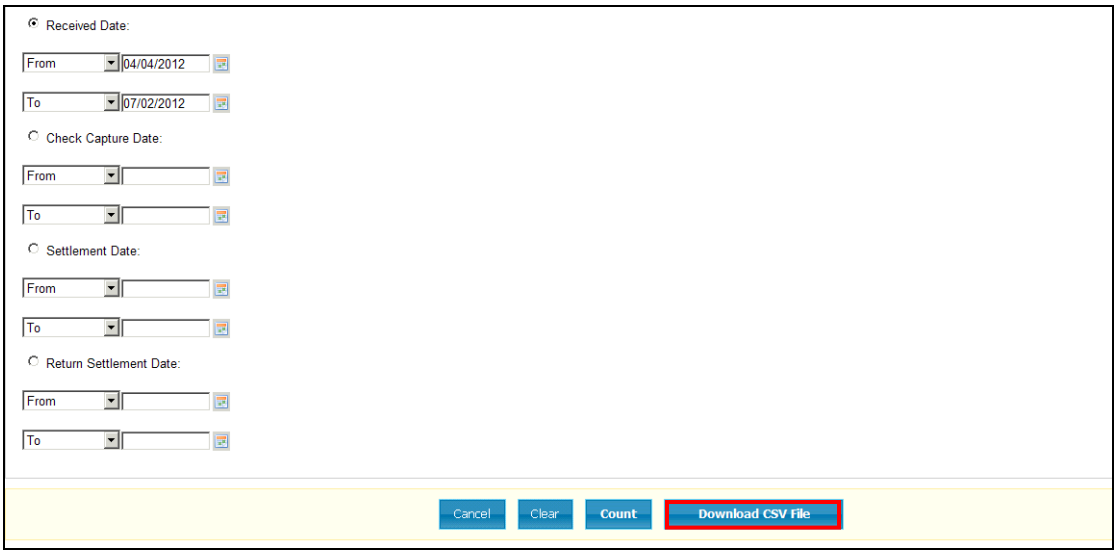
If the **Return Settlement Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Capture Date** or **Settlement Date**).

4. After you make your selection, click **Download CSV File.**

Application Tip

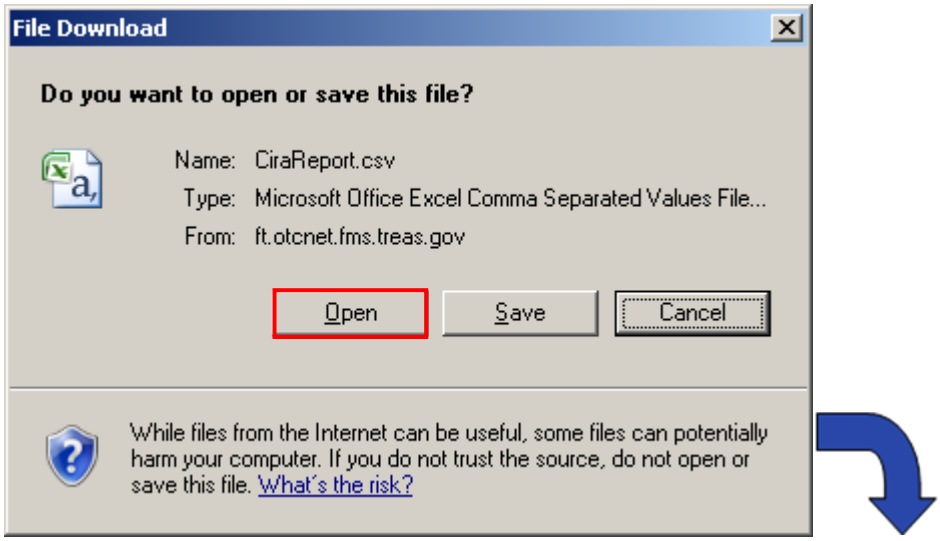
The CIRA CSV Report page is configured to download a maximum of 90 days of search results. This range parameter applies when a user searches using **Received Date**, **Check Capture Date**, **Settlement Date** or **Return Settlement Date**. The system will display an error message to you if you attempt to search for results beyond the configured range.

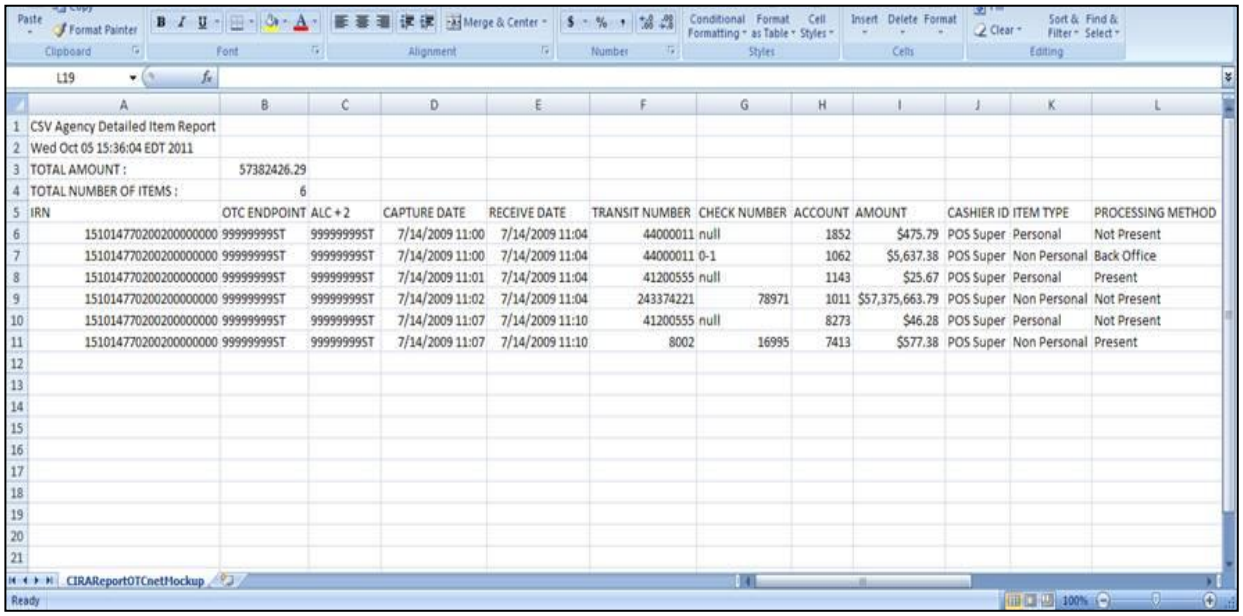
Figure 10. CIRA CSV Search Criteria (Rec'd, Check Capture, Settlement and Return Settlement Dates)



5. The *File Download* dialog box appears. Click **Open** or **Save** (see Figure 11 below).

Figure 11. Open/ Save or Download





	A	B	C	D	E	F	G	H	I	J	K	L
1	CSV Agency Detailed Item Report											
2	Wed Oct 05 15:36:04 EDT 2011											
3	TOTAL AMOUNT :	57382426.29										
4	TOTAL NUMBER OF ITEMS :	6										
5	IRN	OTC ENDPOINT	ALC + 2	CAPTURE DATE	RECEIVE DATE	TRANSIT NUMBER	CHECK NUMBER	ACCOUNT	AMOUNT	CASHIER ID	ITEM TYPE	PROCESSING METHOD
6	15101477020020000000 0	99999999T	999999995T	7/14/2009 11:00	7/14/2009 11:04	44000011	null	1852	$475.79	POS Super	Personal	Not Present
7	15101477020020000000 0	99999999T	999999995T	7/14/2009 11:00	7/14/2009 11:04	44000011	0-1	1062	$5,637.38	POS Super	Non Personal	Back Office
8	15101477020020000000 0	99999999T	999999995T	7/14/2009 11:01	7/14/2009 11:04	41200555	null	1143	$25.67	POS Super	Personal	Present
9	15101477020020000000 0	99999999T	999999995T	7/14/2009 11:02	7/14/2009 11:04	243374221	78971	1011	$57,375,663.79	POS Super	Non Personal	Not Present
10	15101477020020000000 0	99999999T	999999995T	7/14/2009 11:07	7/14/2009 11:10	41200555	null	8273	$46.28	POS Super	Personal	Not Present
11	15101477020020000000 0	99999999T	999999995T	7/14/2009 11:07	7/14/2009 11:10	8002	16995	7413	$577.38	POS Super	Non Personal	Present

View Business Reports: CIRA CSV

To view a CIRA CSV report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Check Processing Reports**. The *View Check Processing Reports* page appears.
3. Under **Business Reports**, click **CIRA CSV Report**. The *CIRA CSV Report* page appears.
4. Enter the search criteria for the report you would like to view.
    - Select an **OTC Endpoint**, *required*

> **Application Tip**
> If you do not know the full name of OTC Endpoint, you can enter a partial name search (as few as one letter) in the **Starts with** text box and click the **Select From List** icon (magnifying glass). The configured OTC Endpoints appear according to the user's access. Click the appropriate OTC Endpoint radio button.

- Check/uncheck the **Include Subordinates** check box

> **Application Tip**
> By default, the **Include Subordinates** check box is checked. Add a check mark to generate a report that contains data for the subordinate OTC Endpoints. Remove the check mark to generate a report that contains data only for the selected OTC Endpoint.

- Select a **Form Name**
- Select a **Deploy Date**

> **Application Tip**
> By default, the most recent **Deploy Date** and **Form Version** will populate the **Deploy Date** field, once the **Form Name** is selected.

- Under **User Defined Fields**,
  - Enter **User Defined Field 1**
  - Enter **User Defined Field 2**
  - Enter **User Defined Field 3**
  - Enter **User Defined Field 4**

Application Tip

The **User Defined Fields** are visible based on the selected OTC Endpoint **Form Name** and **Deploy Date**.

- Enter the **Account** number
- Enter the **Bank Routing Number**
- Enter the **IRN** (Individual Record Number)
- Enter the **Check Number**

Application Tip

If an **IRN** or **Batch ID** and a date range (**Received Date**, **Capture Date**, **Settlement Date**, and **Return Settlement Date**) are entered, OTCnet ignores the date range.

- Under **Check Amount**,
  - Select the appropriate drop-down field
  - Enter the check amount

- Select a **Settlement Status**
- Enter the **5515/Debit Voucher Number**

Application Tip

The **5515/Debit Voucher Number** represents items returned to agency due to unsuccessful collection efforts.

- Enter the **215/Deposit Ticket Number**

Application Tip

The **2515/Deposit Ticket Number** represents items credited into CA$HLINK II for a given agency on a given day.

- Enter the **Cashier ID**
- Enter the **Batch ID**
- Click the **Received Date:** radio button
  - Select **From** and **To** Received Date range

    Or

  - Select the **On** Received Date

Application Tip

Received Date (From) and **(To)** represents the date range the check was received into OTCnet. **Received Date (On)** represents the single specific date the check was received into OTCnet.

Application Tip

If the **Received Date** radio button is selected, OTCnet does not validate any other date range values (**Capture Date**, **Settlement Date** or **Return Settlement Date**).

Or

- Click the **Check Capture Date:** radio button
  - Select **From** and **To** Check Capture Date range

    Or

  - Select the **On** Check Capture Date

Application Tip

Check Capture Date (From) and **(To)** represents the date range the check was processed by the **Check Capture Lead Operator** or **Check Capture Operator**. **Check Capture Date (On)** represents the single specific end date the check was processed by the **Check Capture Lead Operator** or **Check Capture Operator**.

Application Tip

If the **Check Capture Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Settlement Date**, or **Return Settlement Date**).

Or

- Click the **Settlement Date:** radio button
  - Select **From** and **To** Settlement Date range

    Or
  - Select the **On** Settlement Date

Application Tip

Settlement Date (From) and **(To)** represents the date range when the payment amount was debited from the check writer's account. **Settlement Date (On)** represents the single specific date when the payment amount was debited from the check writer's account.

Application Tip

If the **Settlement Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Capture Date** or **Return Settlement Date**).

Or

- Click the **Return Settlement Date:** radio button
  - Select the **From/On** Date range
  - Select the **To** Date range

Application Tip

Return Settlement Date (From) and **(To)** represents the date range when the check item was returned. **Return Settlement Date (On)** represents the single specific date the check item was returned.

Application Tip

Return Settlement Date (From) and **(To)** represents the date range when the check item was returned. **Return Settlement Date (On)** represents the single specific date the check item was returned.

5. Click **Download CSV File**. The *File Download* dialog box appears.

Application Tip

The CIRA CSV Report page is configured to download a maximum of 90 days of search results. This range parameter applies when a user searches using **Received Date**, **Check Capture Date**, **Settlement Date** or **Return Settlement Date**. The system will display an error message to you if you attempt to search for results beyond the configured range.

6. Click **Open** or **Save**.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Count** to display the total number of check transactions and the total check amount for the specified search criteria.

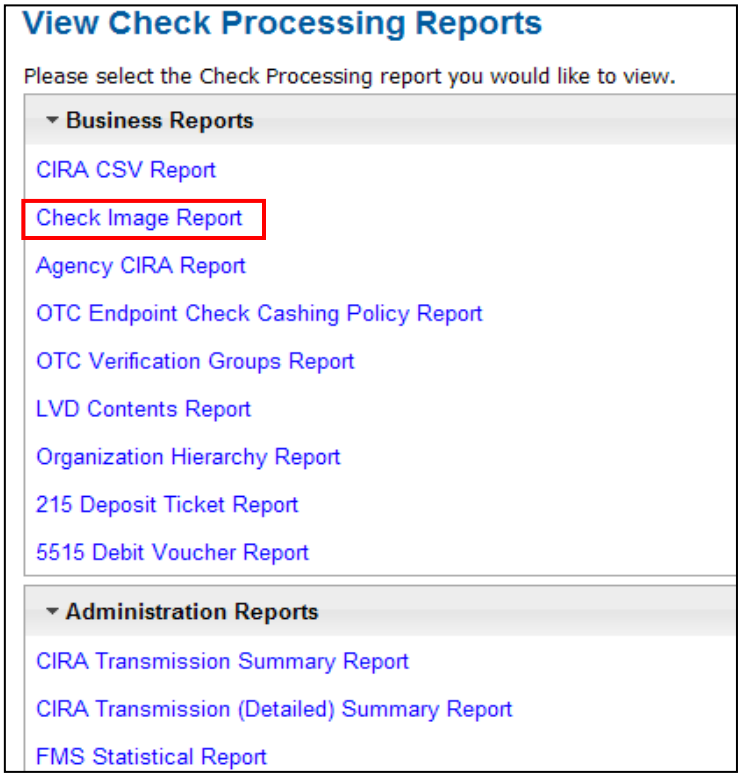
Check Image Report

The **Check Image Report** allows you to view the front and back images of a check for an Individual Record Number that you request.

Follow the steps below to view and/or print a **Check Image Report**.

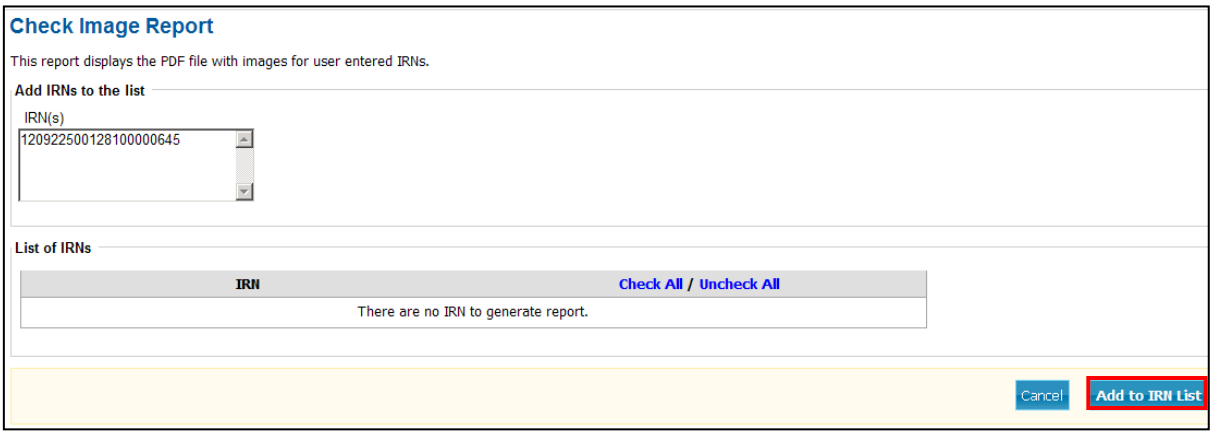
1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Business Reports**, click **Check Image Report** (see Figure 12).

Figure 12. Select Check Image Report



3. The *Check Image Report* page appears. Enter the search criteria for the report you would like to view.
   - Under **Add IRNs to the list**, enter the IRN(s) (Individual Record Number) for the checks you would like to view. Click **Add to IRN List** (see Figure 13 below).

Figure 13. Check Image Report Page



Application Tip

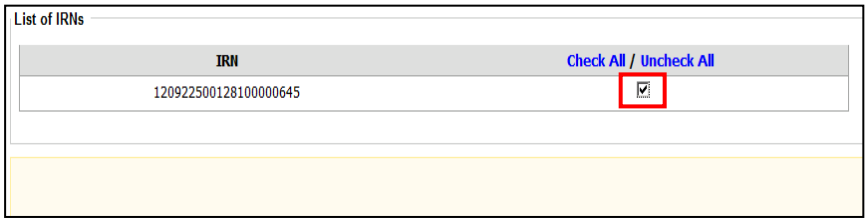
To enter multiple IRNs, separate by a space and/or comma. IRNs are between 20 and 32 alphanumeric.

Application Tip

IRNs can be between 20 and 32 alphanumeric characters in length. They can start with numbers or R02_, BLOCK-, MANUAL-. Remaining characters in IRNs can only be digits.

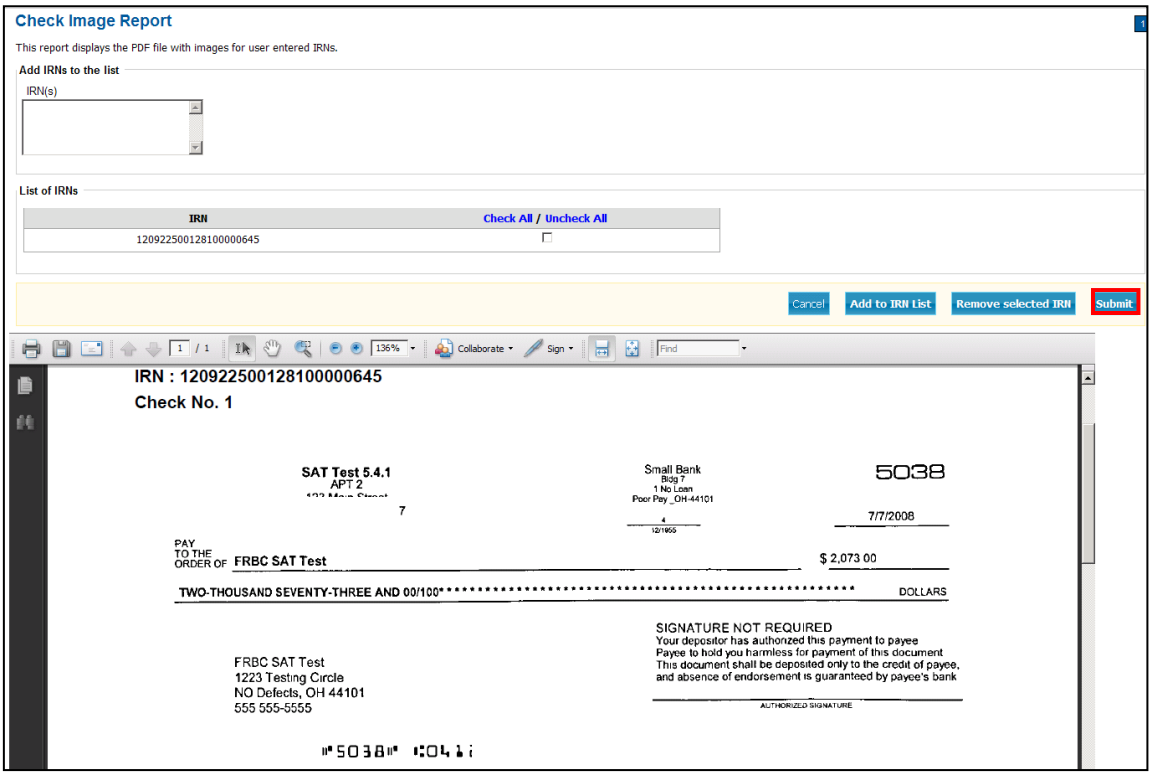
6. Check which IRN(s) you would like to submit (see Figure 14 below).

Figure 14. Check IRNs to Submit



7. Click **Submit**. Check image appears on the same page (see Figure 15).

Figure 15. Click Submit to View Check Image



View Business Reports: Check Image Report

To view a Check Image report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Check Processing Reports**. The *View Check Processing Reports* page appears.
3. Under **Business Reports**, click **Check Image Report**. The *Check Image Report* page appears.
4. Enter the search criteria for the report you would like to view.
   - Under **Add IRNs to the list**, enter the IRN(s) for the checks you would like to view.

Application Tip

To enter multiple IRNs, separate by a space and/or comma. IRNs are between 20 and 32 alphanumeric.

Application Tip

IRNs can be between 20 and 32 alphanumeric characters in length. They can start with numbers or R02_, BLOCK-, MANUAL-. Remaining characters in IRNs can only be digits.

5. Click **Add to IRN List**.
6. Verify the IRN(s) you would like to submit.
7. Click **Submit**. Check images appear on the same page.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.

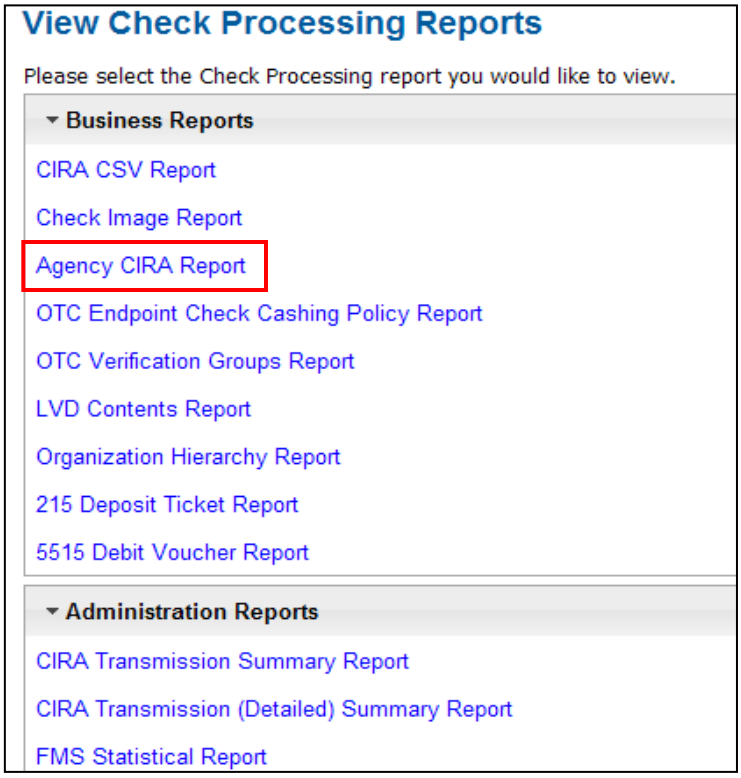
Agency CIRA Report

The **Agency CIRA Report** allows you to view the batch activity for specified OTC Endpoint and supplies, the sending OTC Endpoint receive date, item count and dollar amounts.

Follow the steps below to view and/or print a **Agency CIRA Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Business Reports**, click **Agency CIRA Report** (see Figure 16).

Figure 16. Select Agency CIRA Report

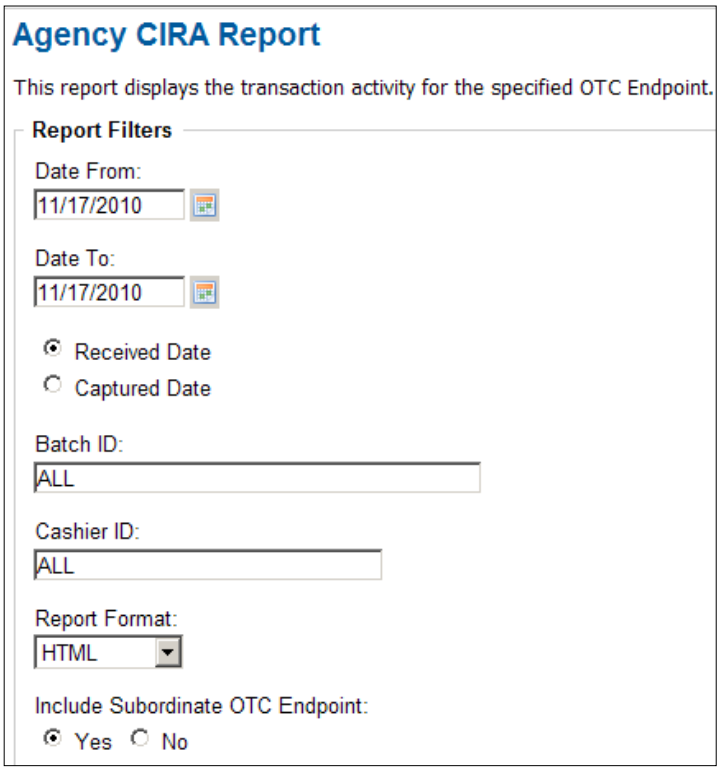


3. The *Agency CIRA Report* page appears. Enter the search criteria for the report you would like to view (see Figure 17 below).

   Under **Report Filters**,

   - Select the **Date From** date
   - Select the **Date To** date
   - Click **Received Date** or **Captured Date**
   - Enter the **Batch ID**
   - Enter the **Cashier ID**
   - Select a **Report Format**
   - Click **Yes** or **No** to Include Subordinate OTC Endpoints

Figure 17. Agency CIRA Report Page

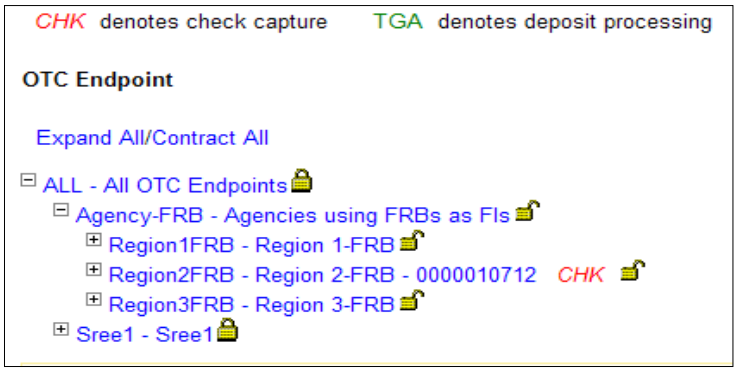


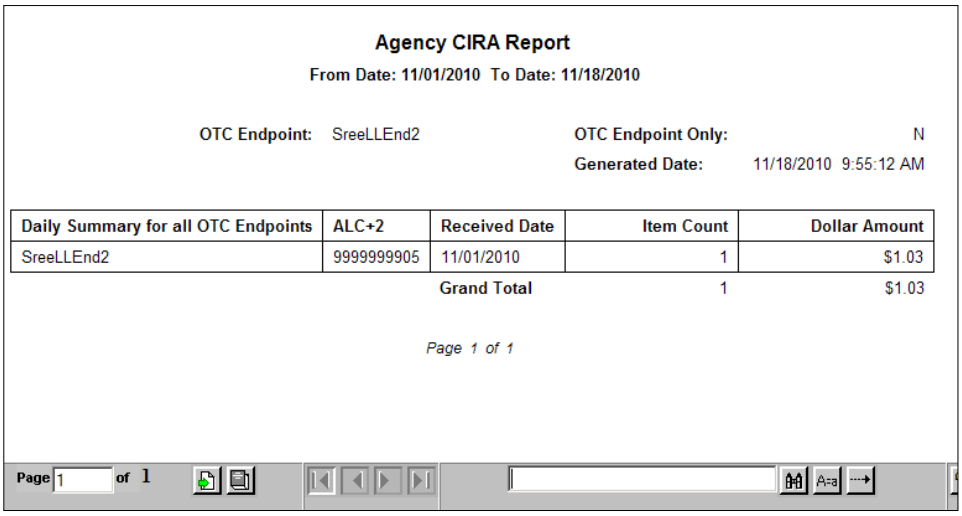
Application Tip

Click the **Yes** option to generate a report that contains data for the selected OTC Endpoint as well as all of the lower level OTC Endpoints. Click the **No** option to generate a report that contains data only for the selected OTC Endpoint.

4. Click an OTC Endpoint to initiate the report. The report appears in a new window (see Figure 18).

Figure 18. Click OTC Endpoint to View Agency CIRA Report





Agency CIRA Report

From Date: 11/01/2010 To Date: 11/18/2010

OTC Endpoint: SreeLLEnd2 **OTC Endpoint Only:** N

Generated Date: 11/18/2010 9:55:12 AM

Daily Summary for all OTC Endpoints	ALC+2	Received Date	Item Count	Dollar Amount
SreeLLEnd2	9999999905	11/01/2010	1	$1.03
		Grand Total	1	$1.03

Page 1 of 1

Page 1 of 1

View Business Reports: Agency CIRA Report

To view Agency CIRA report, complete the following steps:

2. Click the **Reports** tab.
3. Click **Check Processing Reports**. The *View Check Processing Reports* page appears.
4. Under **Business Reports**, click **Agency CIRA Report**. The *Agency CIRA Report* page appears.
5. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

   - Select the **Date From** date
   - Select the **Date To** date
   - Click **Received Date** or **Captured Date**
   - Enter the **Batch ID**
   - Enter the **Cashier ID**

Application Tip

You can view reports in HTML, PDF, Excel or PowerPoint format

- Select a **Report Format**
- Click **Yes** or **No** to Include Subordinate OTC Endpoints

Application Tip

Click the **Yes** option to generate a report that contains data for the selected OTC Endpoint as well as all of the lower level OTC Endpoints. Cick the **No** option to generate a report that contains data only for the selected OTC Endpoint.

Application Tip

CHK denotes a check capture OTC Endpoint; **TGA** denotes a deposit processing OTC Endpoint; **M** denotes a mapped accounting code; an open lock denotes access permission; and a closed lock denotes no access permission.

6. Click an OTC Endpoint to initiate the report. The report appears in a new window.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.

OTC Endpoint Check Cashing Policy Report

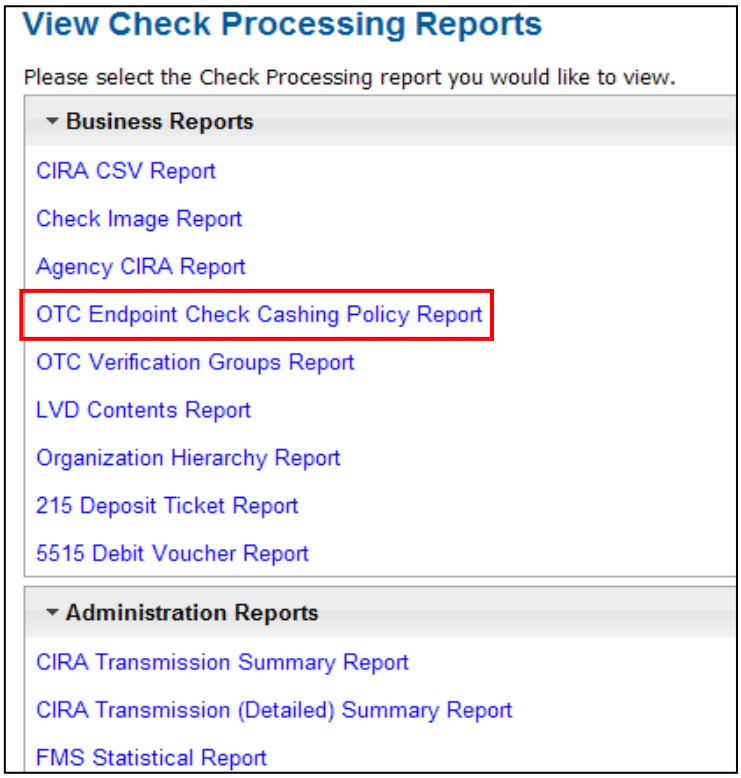
The **OTC Endpoint Check Cashing Policy Report** displays the OTC Endpoint check cashing policies used in the processing and delivery. It displays the number of permissible returns, how many days the check writer is suspended for each occurrence and the return reason codes.

The Check Cashing Policy was created for agencies that use the Master Verification Database (MVD). The MVD is a "negative" database containing "return" information on checks and accounts that have failed to clear in a previous transaction attempt, and "blocked" accounts/routing numbers or individuals that have been identified where future transactions are not desired.

Follow the steps below to view and/or print an **OTC Endpoint Check Cashing Policy Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Business Reports**, click **OTC Endpoint Check Cashing Policy Report** (see Figure 19 below).

Figure 19. Select OTC Endpoint Check Cashing Policy Report

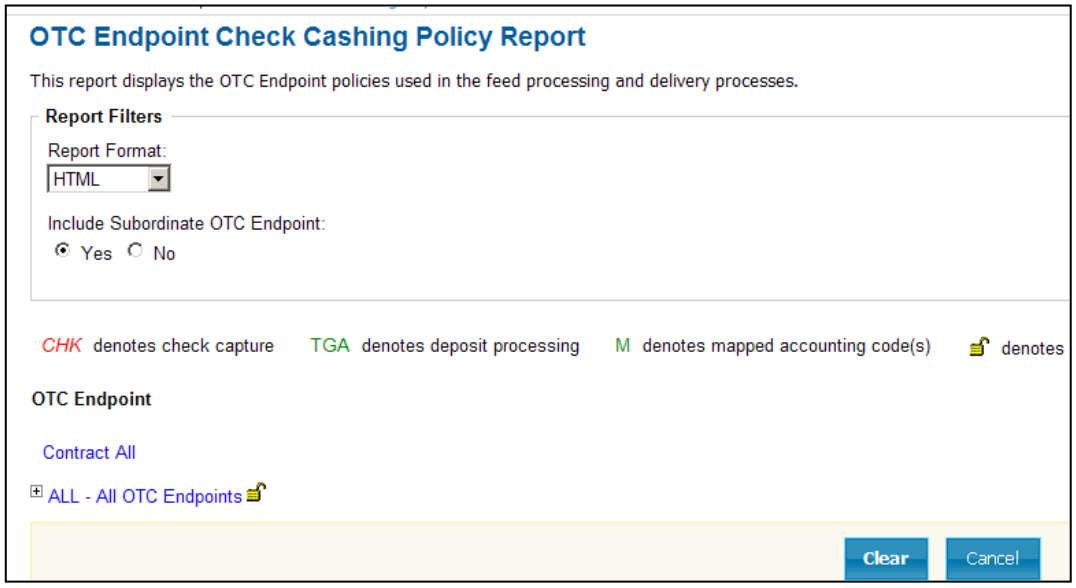


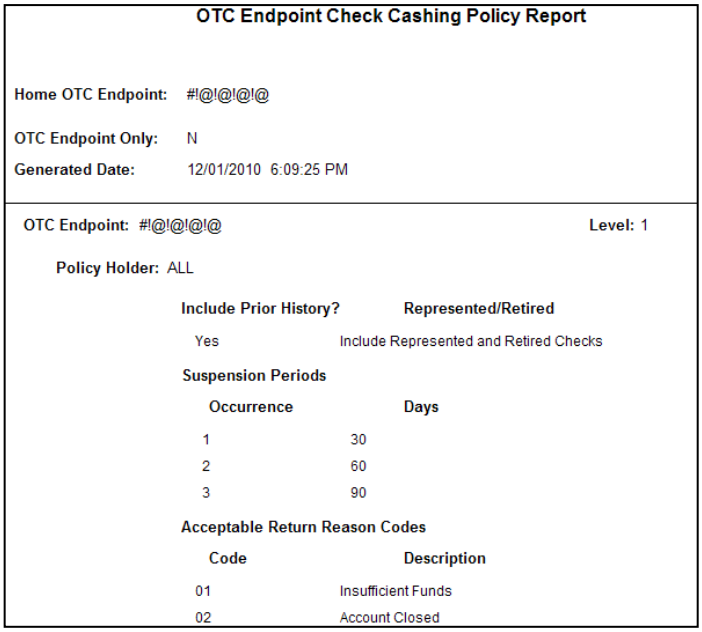
3. The *OTC Endpoint Check Cashing Policy Report* page appears. Enter the search criteria for the report you would like to view and click an OTC Endpoint to initiate the report (shown in Figure 20 below).

   Under **Report Filters**,

   - Select a **Report Format**
   - Click **Yes** or **No** to Include Subordinate OTC Endpoints

Figure 20. Click OTC Endpoint to View Check Cashing Policy Report





View OTC Endpoint Check Cashing Policy Report

To view an OTC Endpoint Check Cashing Policy report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Check Processing Reports**. The *View Check Processing Reports* page appears.
3. Under **Business Reports**, click the **OTC Endpoint Check Cashing Policy Report.** *The OTC Endpoint Check Cashing Policy Report page appears.*
4. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

   - Select a **Report Format**

Application Tip

You can view reports in HTML, PDF, Excel or PowerPoint format.

   - Click **Yes** or **No** to Include Subordinate OTC Endpoints

Application Tip

Click the **Yes** option to generate a report that contains data for the selected OTC Endpoint as well as all of the lower level OTC Endpoints. Click the **No** option to generate a report that contains data only for the selected OTC Endpoint.

Application Tip

CHK denotes a check capture OTC Endpoint; **TGA** denotes a deposit processing OTC Endpoint; **M** denotes a mapped accounting code; an open lock denotes access permission; and a closed lock denotes no access permission.

5. Click an OTC Endpoint to initiate the report. The report appears in a new window.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.

OTC Verification Groups Report

The **OTC Verification Groups Report** displays the list of OTC Endpoints that belong to a selected OTCnet Verification Group.

Follow the steps below to view and/or print an **OTC Verification Groups Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Business Reports**, click **OTC Verification Groups Report** (see Figure 21 below).

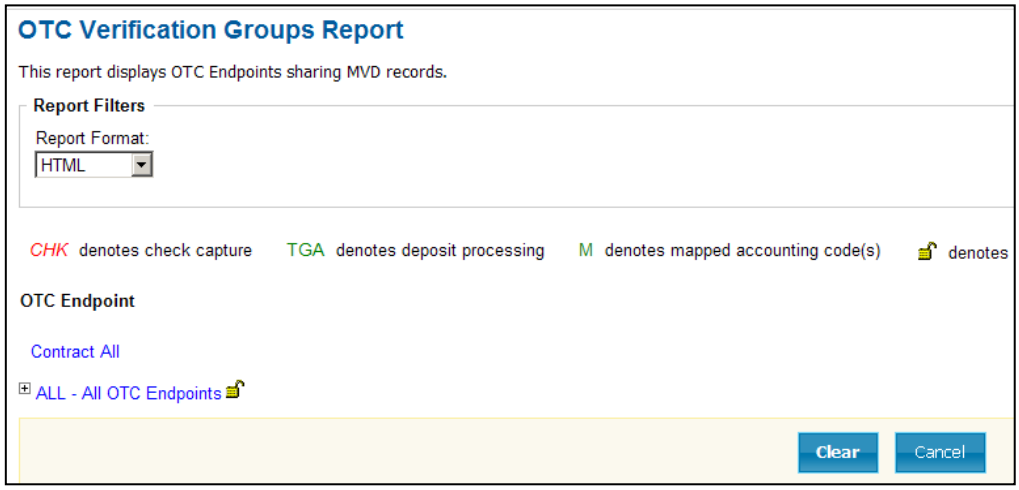
Figure 21. Select OTC Endpoint Check Cashing Policy Report

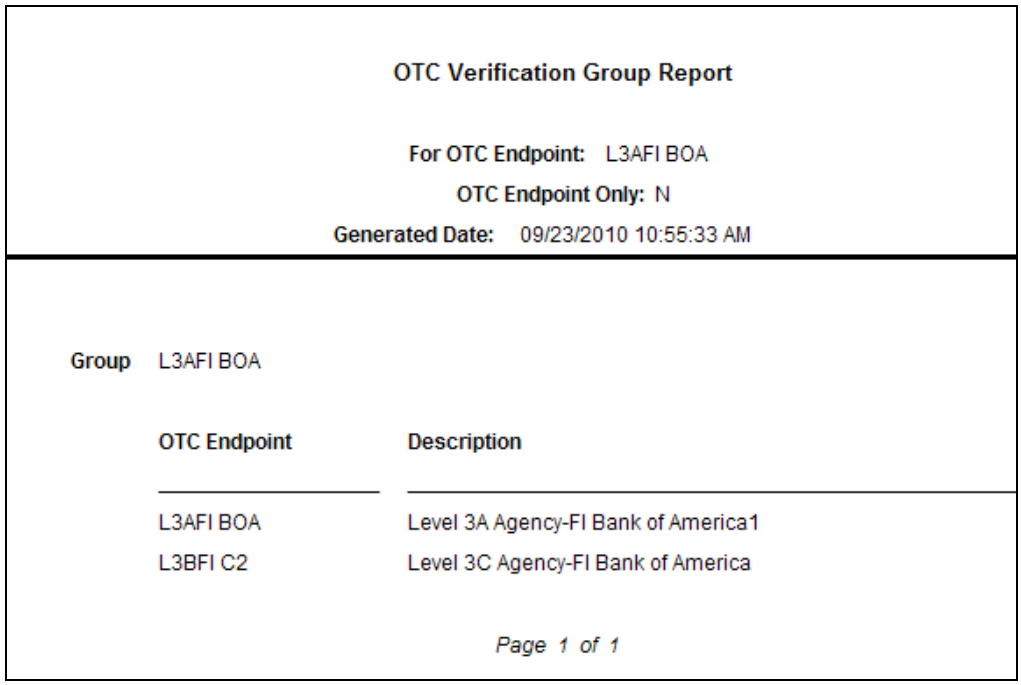
3. The OTC Verification Groups Report page appears. Enter the search criteria for the report you would like to view and click an OTC Endpoint to initiate the report (shown in Figure 22 below).

   Under **Report Filters**,

   - Select a **Report Format**

Figure 22. Click OTC Endpoint to View Verification Groups Report





OTC Verification Groups Report

To view an OTC Verification Groups report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Check Processing Reports**. The *View Check Processing Reports* page appears.
3. Under **Business Reports**, Click **OTC Verification Groups Report**. The *OTC Verification Groups Report* page appears.
4. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

   - Select a **Report Format**

Application Tip

You can view reports in HTML, PDF, Excel or PowerPoint format.

Application Tip

CHK denotes a check capture OTC Endpoint; **TGA** denotes a deposit processing OTC Endpoint; **M** denotes a mapped accounting code; an open lock denotes access permission; and a closed lock denotes no access permission.

5. Click an OTC Endpoint to initiate the report. The report appears in a new window.

Application Tip

Additional buttons on the page that help you perform other tasks:
- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.

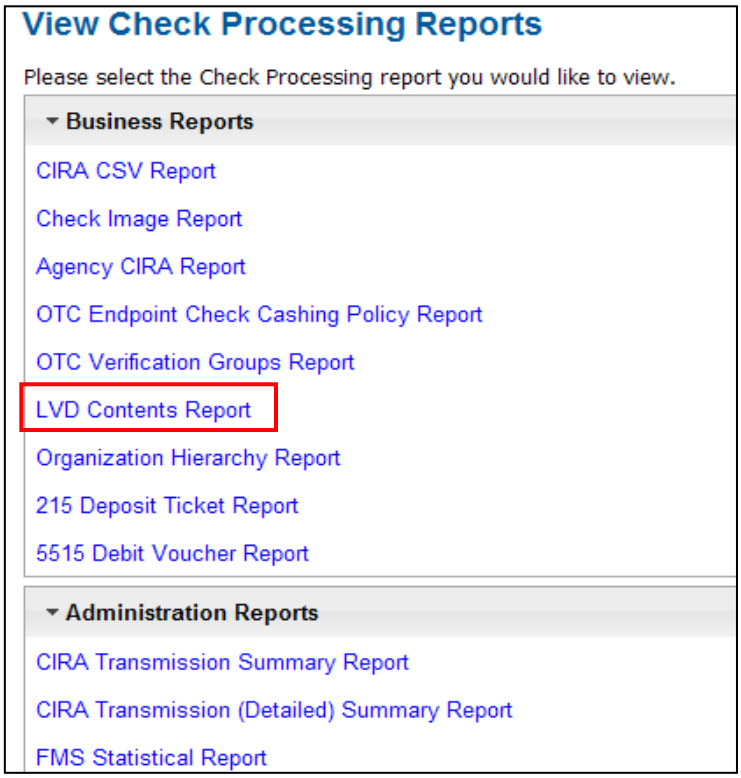
LVD Contents Report

The **LVD Contents Report** allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

Follow the steps below to view and/or print a **LVD Contents Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Business Reports**, click **LVD Contents Report** (see Figure 23 below).

Figure 23. Select LVD Contents Report



3. The *LVD Contents Report page* appears. Enter the search criteria for the report you would like to view and click an OTC Endpoint to initiate the report. (shown in Figure 24 below).

   Under **Report Filters**,

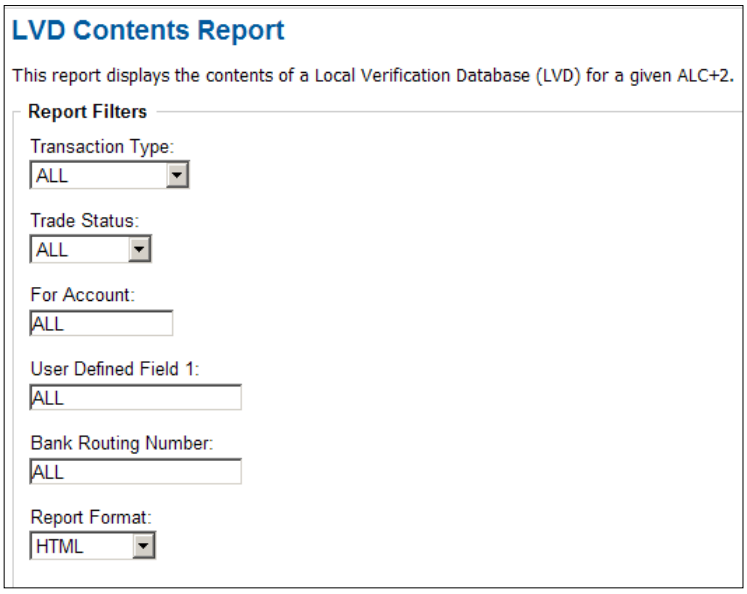
   - Select a **Transaction Type**
   - Select a **Trade Status**
   - Click **Received Date** or **Captured Date**

   Application Tip

   Trade Status represents the status of the verification records (All, Cleared, Dynamic, Suspend, Denied, Blocked).

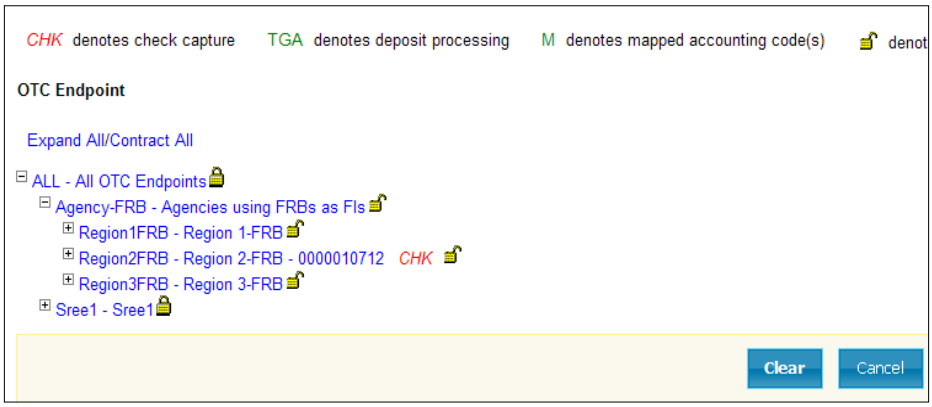
   - Enter **For Account**
   - Enter the **User Defined Field 1**
   - Enter the **Bank Routing Number**
   - Select a **Report Format**

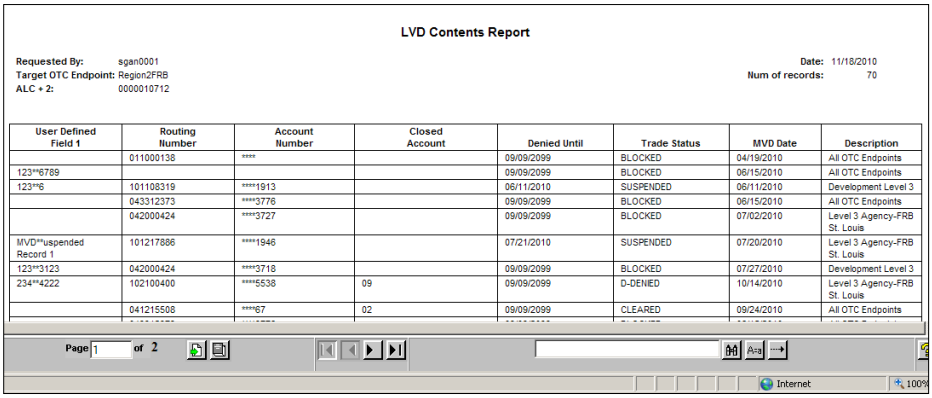
Figure 24. LVD Contents Report Page



4. Click an OTC Endpoint to initiate the report. The report appears in a new window (see Figure 25).

Figure 25. Click OTC Endpoint to View LVD Contents Report





LVD Contents Report

Requested By: sgan0001
Target OTC Endpoint: Region2FRB
ALC + 2: 0000010712

Date: 11/18/2010
Num of records: 70

User Defined Field 1	Routing Number	Account Number	Closed Account	Denied Until	Trade Status	MVD Date	Description
	011000138	****		09/09/2099	BLOCKED	04/19/2010	All OTC Endpoints
123**6789				09/09/2099	BLOCKED	06/15/2010	All OTC Endpoints
123**6	101108319	****1913		06/11/2010	SUSPENDED	06/11/2010	Development Level 3
	043312373	****3776		09/09/2099	BLOCKED	06/15/2010	All OTC Endpoints
	042000424	****3727		09/09/2099	BLOCKED	07/02/2010	Level 3 Agency-FRB St. Louis
MVD**uspended Record 1	101217886	****1946		07/21/2010	SUSPENDED	07/20/2010	Level 3 Agency-FRB St. Louis
123**3123	042000424	****3718		09/09/2099	BLOCKED	07/27/2010	Development Level 3
234**4222	102100400	****5538	09	09/09/2099	D-DENIED	10/14/2010	Level 3 Agency-FRB St. Louis
	041215508	****67	02	09/09/2099	CLEARED	09/24/2010	All OTC Endpoints

View Business Reports: LVD Contents Report

To view an LVD Contents report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Deposit Processing Reports**. The *View Reports* page appears.
3. Under **Business Reports**, click **LVD Contents Report**. The *LVD Contents Reports* page appears.
4. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

   - Select a **Transaction Type**
   - Select a **Trade Status**
   - Click **Received Date** or **Captured Date**

   Application Tip

   Trade Status represents the status of the verification records (All, Cleared, Dynamic, Suspend, Denied, Blocked).

   - Enter **For Account**
   - Enter the **User Defined Field 1**
   - Enter the **Bank Routing Number**
   - Select a **Report Format**

   Application Tip

   You can view reports in HTML, PDF, Excel or PowerPoint format.

   Application Tip

   CHK denotes a check capture OTC Endpoint; **TGA** denotes a deposit processing OTC Endpoint; **M** denotes a mapped accounting code; an open lock denotes access permission; and a closed lock denotes no access permission.

5. Click an OTC Endpoint to initiate the report. The report appears in a new window.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Clear** to clear all data fields and reset to the default selections.

Organization Hierarchy Report

The **Organization Hierarchy Report** allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

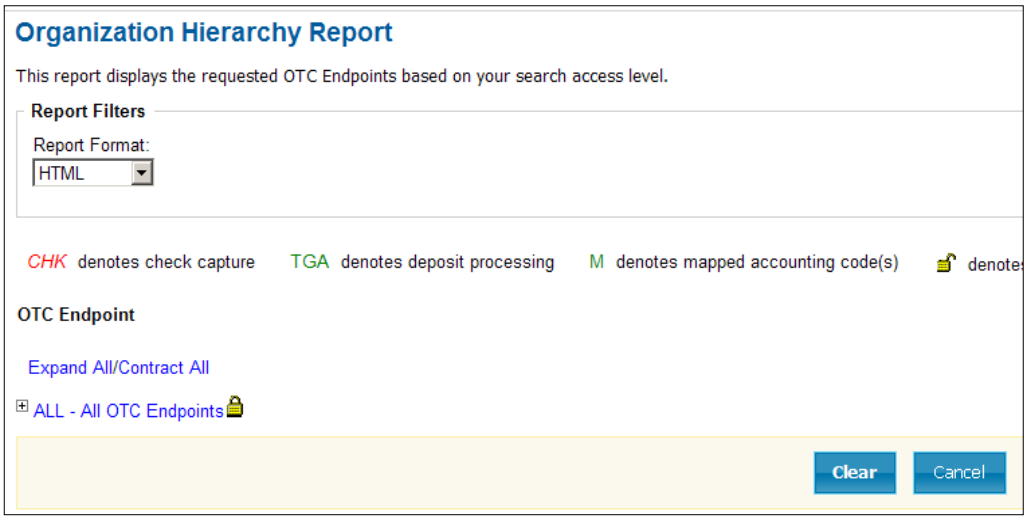
Follow the steps below to view and/or print an **Organization Hierarchy Report**.

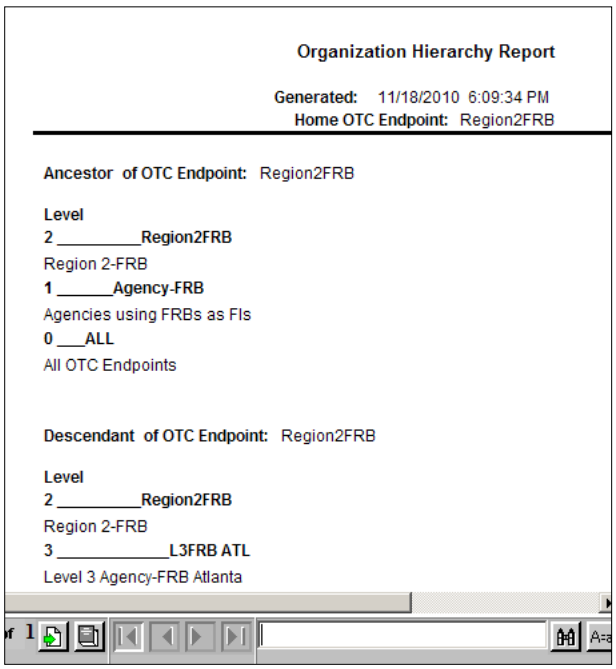
1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Business Reports**, click **Organization Hierarchy Report** (see Figure 26 below).

Figure 26. Select LVD Contents Report

3. The *Organization Hierarchy Report* page appears. Select a **Report Format** and click an OTC Endpoint to initiate the report. The report appears in a new window (see Figure 27 below).

Figure 27. Click OTC Endpoint to View Organization Hierarchy Report





View Business Reports: Organization Hierarchy Report

To view an Organization Hierarchy report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Check Processing Reports**. The *View Reports* page appears.
3. Under **Business Reports**, click **Organization Hierarchy Report**. The *Organization Hierarchy Report* page appears.
4. Select a **Report Format**

> **Application Tip**
>
> You can view reports in HTML, PDF, Excel or PowerPoint format.

5. Click an OTC Endpoint to initiate the report. The report appears in a new window.

> **Application Tip**
>
> Additional buttons on the page that help you perform other tasks:
>
> - Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
> - Click **Clear** to clear all data fields and reset to the default selections.

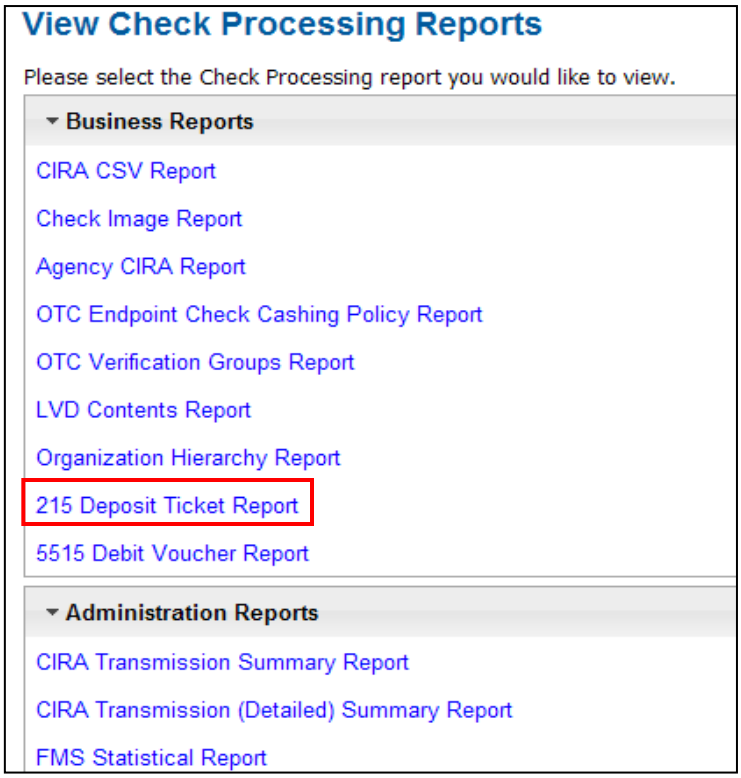
215 Deposit Ticket Report

The **215 Deposit Ticket Report**, also known as the SF215 is report run daily that includes all items deposited and processed into CA$HLINK II within the preceding 24 hours. The report is available for 45 calendar days.

Follow the steps below to view and/or print a **215 Deposit Ticket Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Business Reports**, click **215 Deposit Ticket Report** (see Figure 28 below).

Figure 28. Select LVD Contents Report



3. The *215 Deposit Ticket* page appears. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

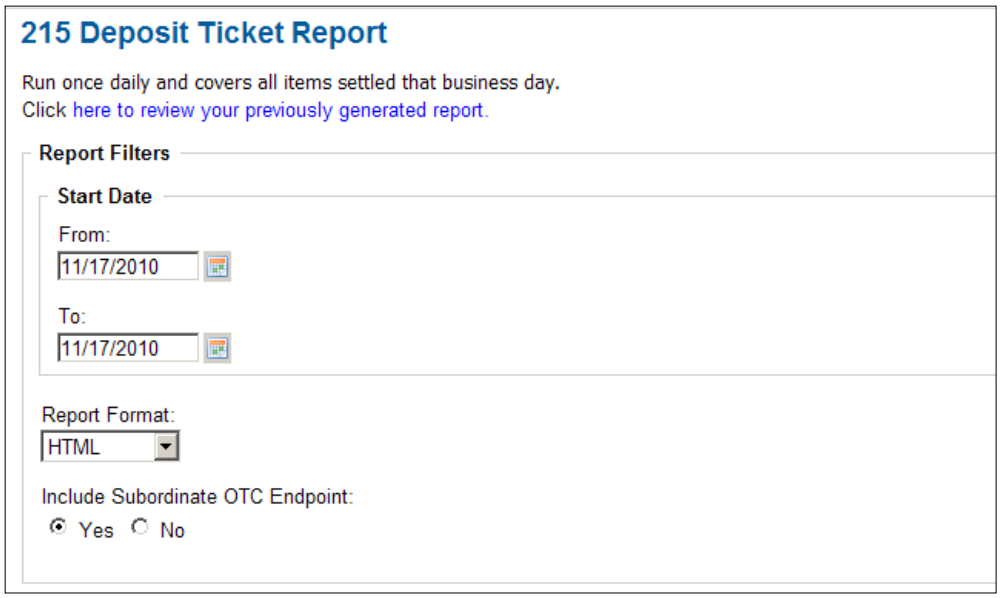
   - Select a **From** and **To** Start Date range

Application Tip

The **From** and **To** Start Date range cannot exceed 45 calendar days.

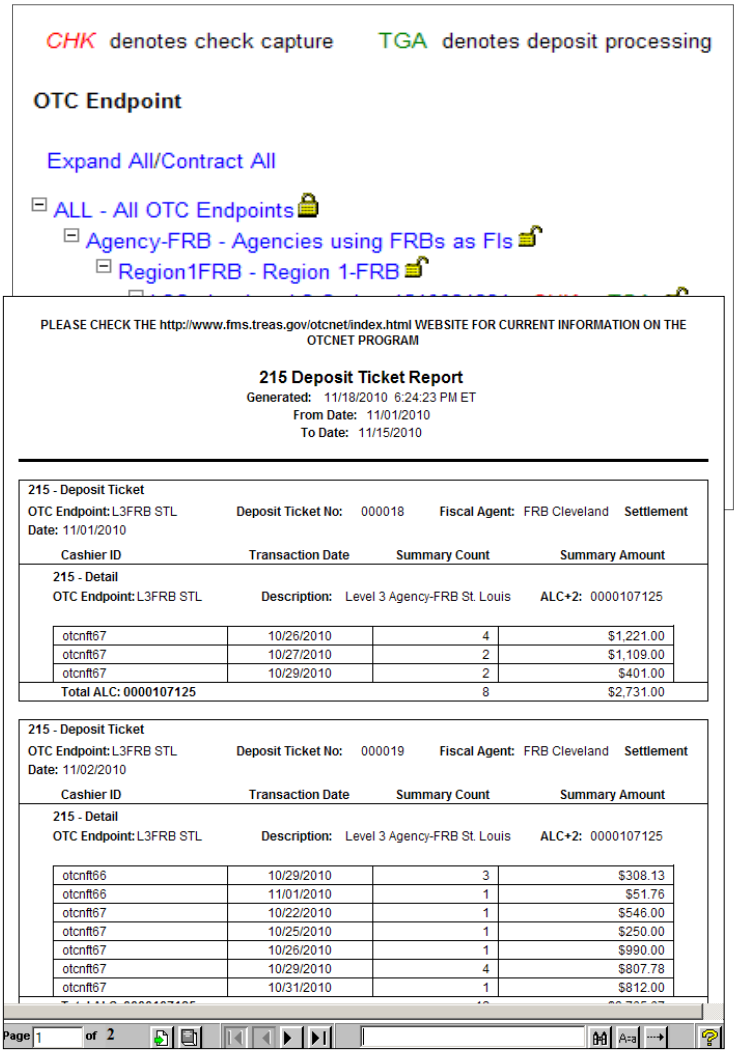
- Select a **Report Format**.
- Click **Yes** or **No** to Include Subordinate OTC Endpoints.

Figure 29. 215 Deposit Ticket Report Page



4. Click an OTC Endpoint to initiate the report. The report appears in a new window (see Figure 30). A 215 Deposit Ticket report will not generate for any day that is deemed a holiday during Monday-Friday hours.

Figure 30. Click OTC Endpoint to View 215 Deposit Ticket Report



View Business Reports: 215 Deposit Ticket Report

To view a 215 Deposit Ticket report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Deposit Processing Reports**. The *View Reports* page appears.
3. Under **Business Reports**, click **215 Deposit Ticket Report**. The *215 Deposit Ticket* page appears.
4. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

   - Select a **From** and **To** Start Date range

   > **Application Tip**
   > The **From** and **To** Start Date range cannot exceed 45 calendar days.

   - Select a **Report Format**.

   > **Application Tip**
   > You can view reports in HTML, PDF, Excel or PowerPoint format

   - Click **Yes** or **No** to Include Subordinate OTC Endpoints.

   > **Application Tip**
   > Click the **Yes** option to generate a report that contains data for the selected OTC Endpoint as well as all of the lower level OTC Endpoints. Click the **No** option to generate a report that contains data only for the selected OTC Endpoint.

5. Click an OTC Endpoint to initiate the report. The report appears in a new window.

Application Tip

A 215 Deposit Ticket report will not generate for any day that is deemed a holiday during Monday-Friday hours.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Clear** to clear all data fields and reset to the default selections.

5515 Debit Voucher Report

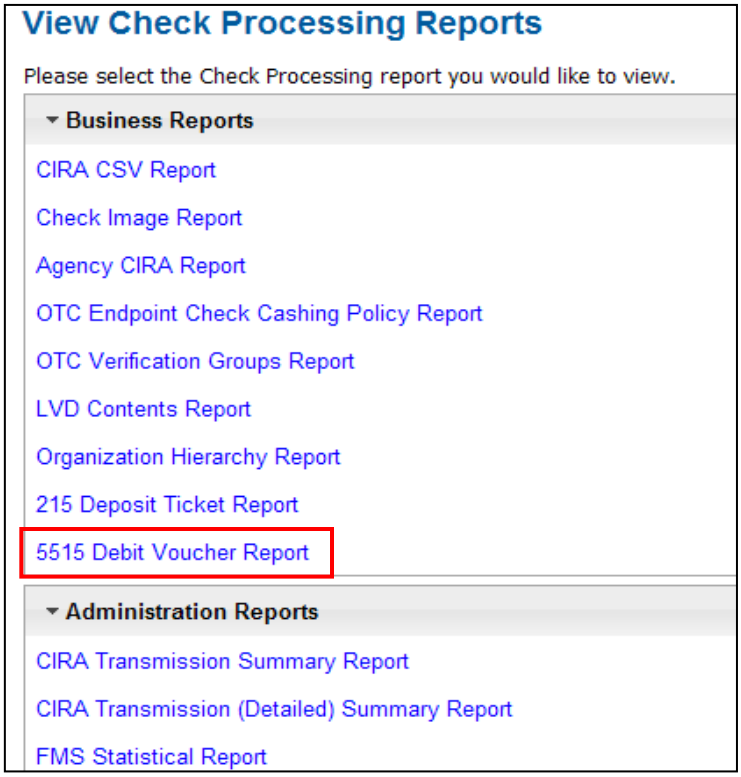
The **5515 Debit Voucher Report,** also known as the SF5515 is a report run daily that includes all retired items processed within the preceding 24 hours. The report is available for 45 calendar days and will not generate for any day that is deemed a holiday during Monday-Friday hours.

The 5515 report contains the debit voucher number for each item that is retired by the Federal Reserve Bank. The report provides detailed information on the Unique Transaction ID (or IRN number) for easy research in OTCnet.

Follow the steps below to view and/or print a **5515 Debit Voucher Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Business Reports**, click **5515 Debit Voucher Report** (see Figure 31 below).

Figure 31. Select LVD Contents Report



3. The *5515 Debit Voucher* page appears. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

   - Select a **From** and **To** Start Date range

Application Tip

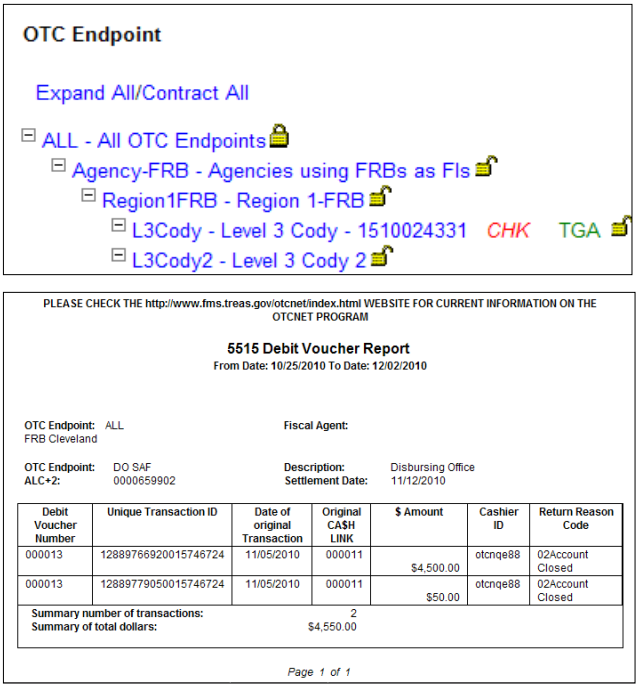
The **From** and **To** Start Date range cannot exceed 45 calendar days.

- Select a **Report Format**.
- Click **Yes** or **No** to Include Subordinate OTC Endpoints.

Figure 32. 5515 Debit Voucher Report Page

4. Click an OTC Endpoint to initiate the report. The report appears in a new window (see Figure 30).

Figure 33. Click OTC Endpoint to View 5515 Debit Voucher Report



View Business Reports: 5515 Debit Voucher Report

To view a 5515 Debit Voucher report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Deposit Processing Reports**. The *View Reports* page appears.
3. Under **Business Reports**, click **5515 Debit Voucher Report**. The *5515 Debit Voucher* page appears.
4. Enter the search for the report you would like to view.

   Under Report Filters,

   - Select a **From** and **To** Start Date range

   > **Application Tip**
   >
   > The **From** and **To** Start Date range cannot exceed 45 calendar days.

   - Select a **Report Format**.

   > **Application Tip**
   >
   > You can view reports in HTML, PDF, Excel or PowerPoint format.

   - Click **Yes** or **No** to Include Subordinate OTC Endpoints.

   > **Application Tip**
   >
   > Click the **Yes** option to generate a report that contains data for the selected OTC Endpoint as well as all of the lower level OTC Endpoints. Click the **No** option to generate a report that contains data only for the selected OTC Endpoint.

5. Click an OTC Endpoint to initiate the report. The report appears in a new window.

Application Tip

A 5515 Debit Voucher report will not generate for any day that is deemed a holiday during Monday-Friday hours.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Clear** to clear all data fields and reset to the default selections.

Topic 4. Administration Reports

There are three Administration reports that you may access depending on your role. As a FMS **Viewer,** you will be able to access the **CIRA Transmission Summary**, **CIRA Transmission (Detailed) Summary** and the **FMS Statistical** Administration reports (see Table 4 for details). To print a report output, right click using your mouse and select *Print.*

Table 3. Administration Reports and Access Type

Administration Report	User Access Type					
	Agency Manager	**Check Capture Administrator**	**MVD Viewer**	**MVD Editor**	**FMS Viewer**	**View Reports**
CIRA Transmission Summary Report					X	
CIRA Transmission (Detailed) Summary Report					X	
FMS Statistical					X	

Legend: = NA / **X** = Access

CIRA Transmission Summary Report

The **CIRA Transmission Summary Report** allows you to view a list of transactions sent to Debit Gateway.

Follow the steps below to view and/or print a **CIRA Transmission Summary Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Administration Reports**, click **CIRA Transmission Summary Report** (see Figure 34).

Figure 34. Select CIRA Transmission Summary Report

3. The *CIRA Transmission Summary Report* page appears. Enter the search criteria for the report you would like to view (see Figure 35).

   Under **Report Filters**,

   - Select a **Date**
   - Click **Submit Request**. The *Transmission Files* table for the selected date appears

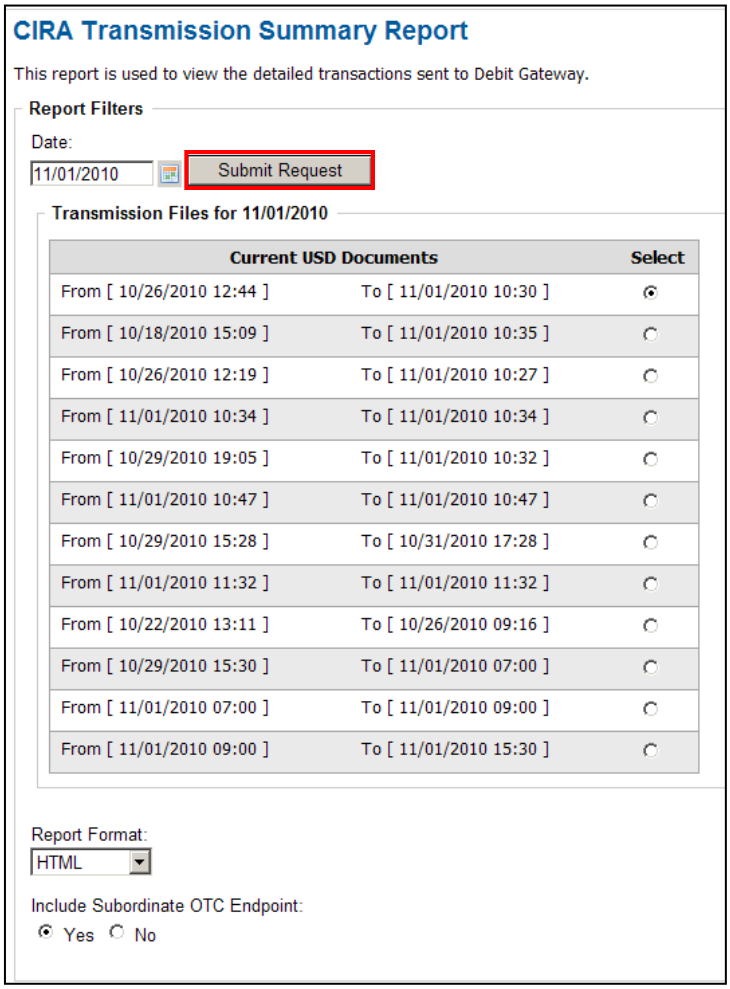
Application Tip

The *Transmission Files* table lists all the transmissions for the selected date.

   - Select a **Report Format**

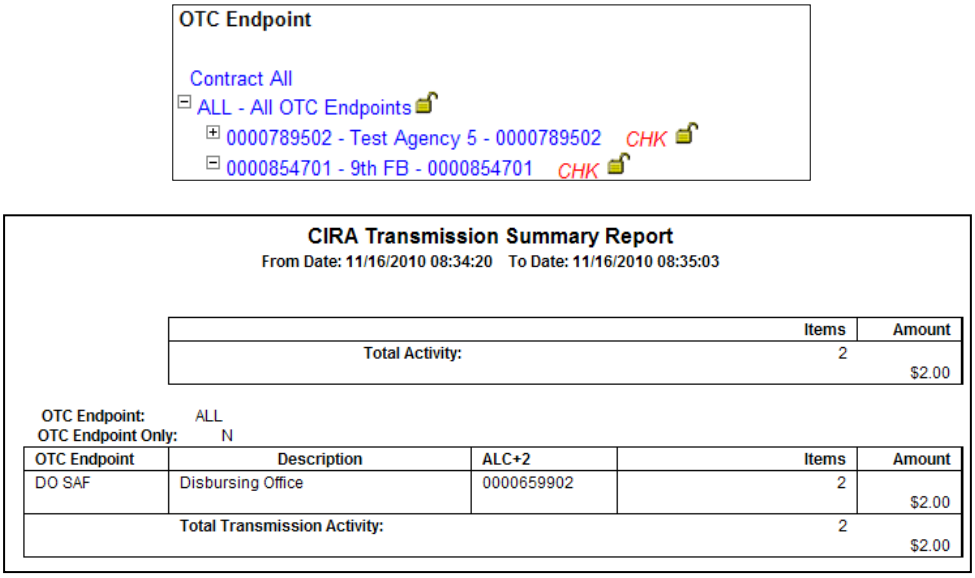
- Click **Yes** or **No** to Include Subordinate OTC Endpoints

Figure 35. CIRA Transmission Summary Report Page



4. Click an OTC Endpoint to initiate the report. The report appears in a new window (see Figure 36 below).

Figure 36. Click OTC Endpoint to View CIRA Transmission Summary Report



View Administration Reports: View CIRA Transmission Summary Report

To view a CIRA Transmission Summary report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Check Processing Reports**. The *View Check Processing Reports* page appears.
3. Under **Administration Reports**, click **CIRA Transmission Summary Report**. The *CIRA Transmission Summary Report* page appears.
4. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

   - Select a **Date**
   - Click **Submit Request**. The *Transmission Files* table for the selected date appears.

Application Tip

The *Transmission Files* table lists all the transmissions for the selected date.

   - Select a **Report Format**

Application Tip

You can view reports in HTML, PDF, Excel or PowerPoint format.

   - Click **Yes** or **No** to Include Subordinate OTC Endpoints

Application Tip

Click the **Yes** option to generate a report that contains data for the selected OTC Endpoint as well as all of the lower level OTC Endpoints. Click the **No** option to generate a report that contains data only for the selected OTC Endpoint.

Application Tip

CHK denotes a check capture OTC Endpoint; **TGA** denotes a deposit processing OTC Endpoint; **M** denotes a mapped accounting code; an open lock denotes access permission; and a closed lock denotes no access permission.

5. Click an OTC Endpoint to initiate the report. The report appears in a new window.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.

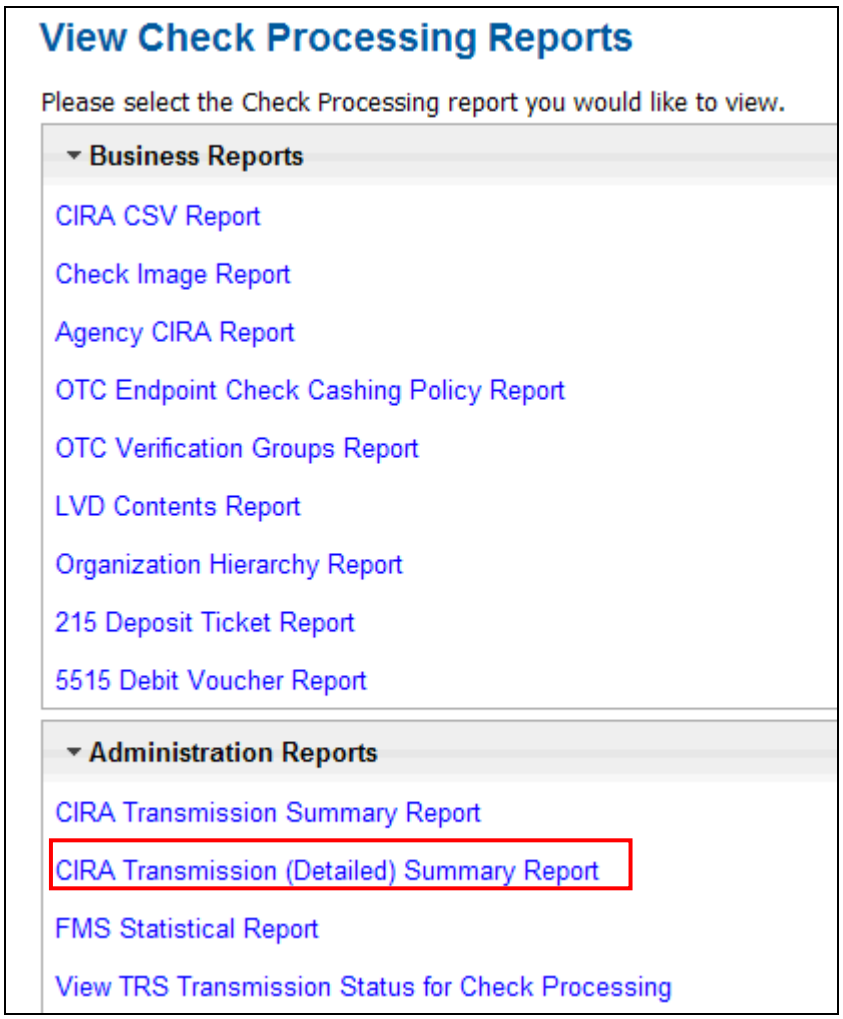
CIRA Transmission (Detailed) Summary Report

The **CIRA Transmission (Detailed) Summary Report** allows you to view the detailed information about transactions sent to Debit Gateway

Follow the steps below to view and/or print a **CIRA Transmission (Detailed) Summary Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Administration Reports**, click **CIRA Transmission (Detailed) Summary Report** (see Figure 37).

Figure 37. Select CIRA Transmission (Detailed)



3. The *CIRA Transmission Summary (Detailed) Report* page appears. Enter the search criteria for the report you would like to view (see Figure 38).

   Under **Report Filters**,

   - Select a **Date**
   - Click **Submit Request**. The *Transmission Files* table for the selected date appears

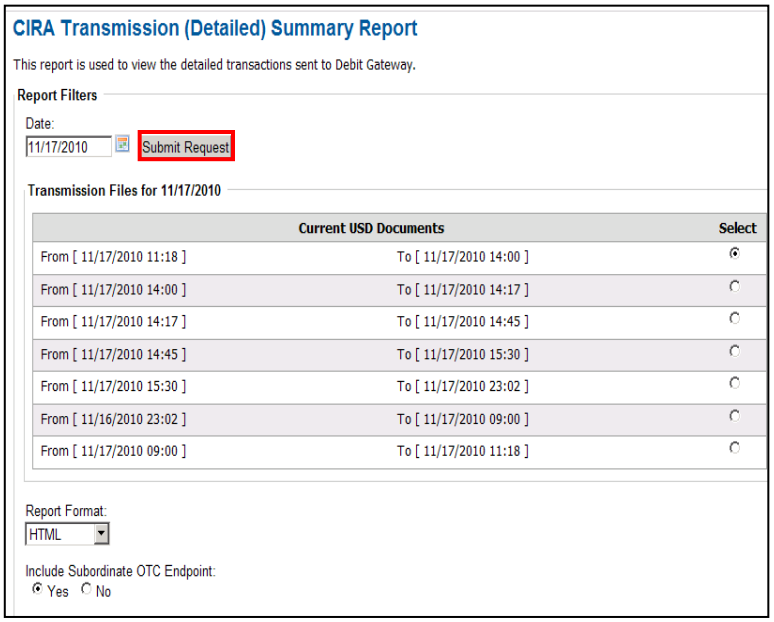
Application Tip

The *Transmission Files* table lists all the transmissions for the selected date.

   - Select a **Report Format**

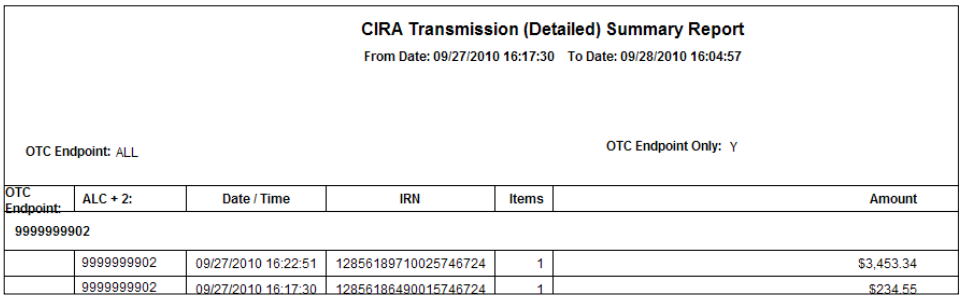
   - Click **Yes** or **No** to Include Subordinate OTC Endpoints

Figure 38. CIRA Transmission (Detailed) Summary Report Page



4. Click an OTC Endpoint to initiate the report. The report appears in a new window (see Figure 39 below).

Figure 39. Click OTC Endpoint to View CIRA Transmission (Detailed) Report



CIRA Transmission (Detailed) Summary Report

From Date: 09/27/2010 16:17:30 To Date: 09/28/2010 16:04:57

OTC Endpoint: ALL

OTC Endpoint Only: Y

OTC Endpoint:	ALC + 2:	Date / Time	IRN	Items	Amount
9999999902					
	9999999902	09/27/2010 16:22:51	12856189710025746724	1	$3,453.34
	9999999902	09/27/2010 16:17:30	12856186490015746724	1	$234.55

View Administration Reports: CIRA Transmission (Detailed) Summary Report

To view a CIRA Transmission (Detailed) Summary report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Check Processing Reports**. The *View Check Processing Reports* page appears.
3. Under **Administration Reports**, click **CIRA Transmission (Detailed) Summary Report**. The *CIRA Transmission (Detailed) Summary Report* page appears.
4. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

   - Select a **Date**
   - Click **Submit Request**. The *Transmission Files* table for the selected date appears

Application Tip

The *Transmission Files* table lists all the transmissions for the selected date.

- Select a **Report Format**
-

Application Tip

You can view reports in HTML, PDF, Excel or PowerPoint format.

- Click **Yes** or **No** to Include Subordinate OTC Endpoints

Application Tip

Click the **Yes** option to generate a report that contains data for the selected OTC Endpoint as well as all of the lower level OTC Endpoints. Click the **No** option to generate a report that contains data only for the selected OTC Endpoint.

Application Tip

CHK denotes a check capture OTC Endpoint; **TGA** denotes a deposit processing OTC Endpoint; **M** denotes a mapped accounting code; an open lock denotes access permission; and a closed lock denotes no access permission.

5. Click an OTC Endpoint to initiate the report. The report appears in a new window.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.

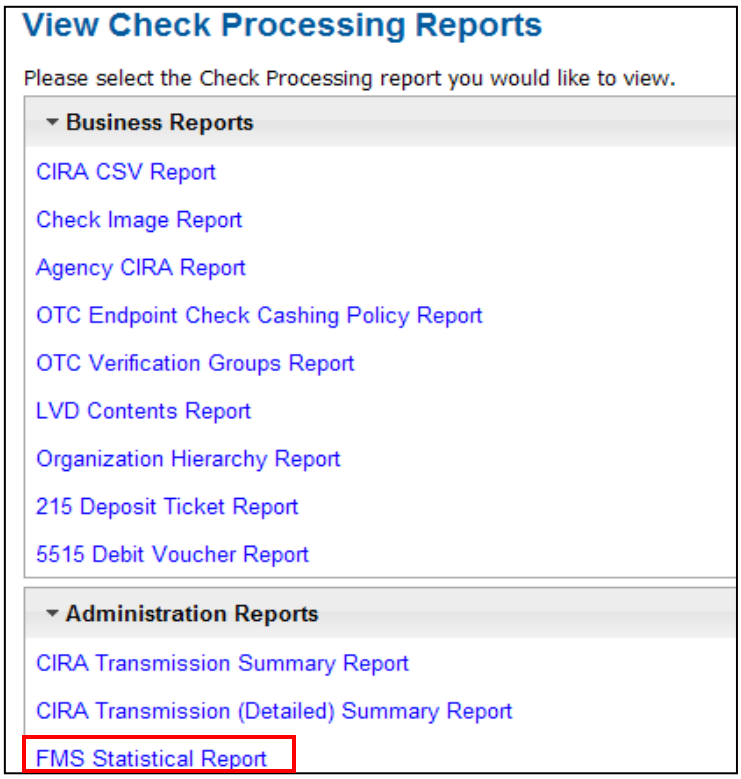
FMS Statistical Report

The **FMS Statistical Report** allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to an agency, and total returns received. The report is available for 15 rolling days.

Follow the steps below to view and/or print a **FMS Statistical Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 6).
2. Under **Administration Reports**, click **FMS Statistical Report** (see Figure 40 below).

Figure 40. Select FMS Statistical Report



3. The *FMS Statistical Report* page appears. Enter the search criteria for the report you would like to view (see Figure 41).

   Under **Report Filters**,

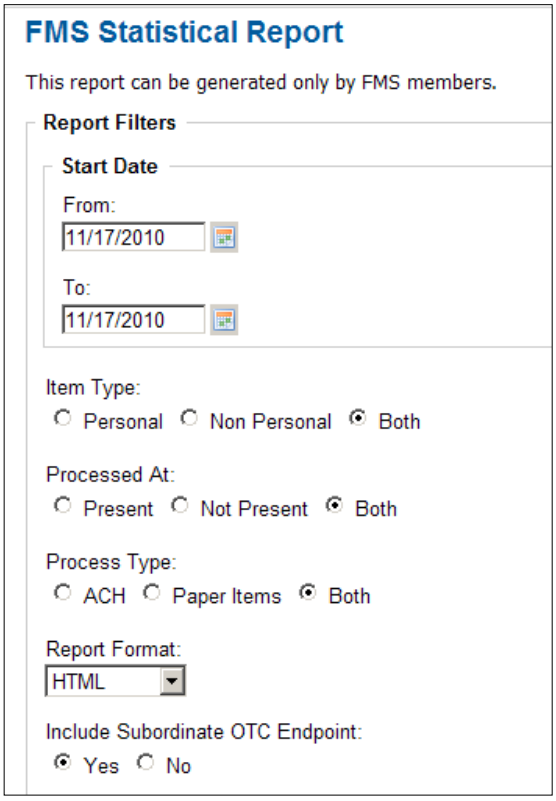
   - Select a **From** and **To** Start Date range

Application Tip

The **From** and **To** Start Date range cannot exceed 15 rolling days.

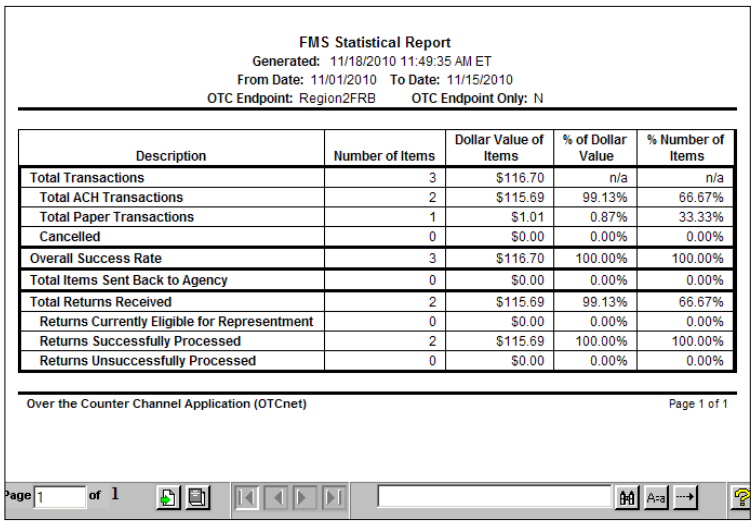
- Click the **Personal, Non Personal** or **Both** radio button for Item Type
- Click the **Present, Not Present** or **Both** radio button for Processed At
- Click the **ACH, Paper Items** or **Both** radio button for Process Type
- Select a **Report Format**
- Click **Yes** or **No** to Include Subordinate OTC Endpoints

Figure 41. FMS Statistical Report Page



4. Click an OTC Endpoint to initiate the report. The report appears in a new window (see Figure 42 below).

Figure 42. Click OTC Endpoint to View FMS Statistical Report



FMS Statistical Report
Generated: 11/18/2010 11:49:35 AM ET
From Date: 11/01/2010 **To Date:** 11/15/2010
OTC Endpoint: Region2FRB **OTC Endpoint Only:** N

Description	Number of Items	Dollar Value of Items	% of Dollar Value	% Number of Items
Total Transactions	3	$116.70	n/a	n/a
Total ACH Transactions	2	$115.69	99.13%	66.67%
Total Paper Transactions	1	$1.01	0.87%	33.33%
Cancelled	0	$0.00	0.00%	0.00%
Overall Success Rate	3	$116.70	100.00%	100.00%
Total Items Sent Back to Agency	0	$0.00	0.00%	0.00%
Total Returns Received	2	$115.69	99.13%	66.67%
Returns Currently Eligible for Representment	0	$0.00	0.00%	0.00%
Returns Successfully Processed	2	$115.69	100.00%	100.00%
Returns Unsuccessfully Processed	0	$0.00	0.00%	0.00%

Over the Counter Channel Application (OTCnet) Page 1 of 1

View Administration Reports: FMS Statistical Report

To view an FMS Statistical report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Deposit Processing Reports**. The *View Reports* page appears.
3. Under **Administration Reports**, click **FMS Statistical Report**. The *FMS Statistical Report* page appears.
4. Enter the search criteria for the report you would like to view.

   Under **Report Filters**,

   - Select a **From** and **To** Start Date range

   Application Tip

   The **From** and **To** Start Date range cannot exceed 15 rolling days.

   - Click the **Personal, Non Personal** or **Both** radio button for Item Type
   - Click the **Present, Not Present** or **Both** radio button for Processed At
   - Click the **ACH, Paper Items** or **Both** radio button for Process Type
   - Select a **Report Format**

   Application Tip

   You can view reports in HTML, PDF, Excel or PowerPoint format.

   - Click **Yes** or **No** to Include Subordinate OTC Endpoints

   Application Tip

   Click the **Yes** option to generate a report that contains data for the selected OTC Endpoint as well as all of the lower level OTC Endpoints. Click the **No** option to generate a report that contains data only for the selected OTC Endpoint.

Application Tip

CHK denotes a check capture OTC Endpoint; **TGA** denotes a deposit processing OTC Endpoint; **M** denotes a mapped accounting code; an open lock denotes access permission; and a closed lock denotes no access permission.

5. Click an OTC Endpoint to initiate the report. The report will appear in a new window.

Application Tip

Additional buttons on the page that help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Clear** to clear all data fields and reset to the default selections.

Summary

In this chapter, you learned:

- The purpose of accessing check processing reports
- How to view a CIRA Query
- How to view and download a CIRA CSV Report
- How to view and print a Check Image Report
- How to view and print an Agency CIRA Report
- How to view and print an OTC Endpoint Check Cashing Policy Report
- How to view and print an OTC Verification Groups report
- How to view and print an LVD Contents Report
- How to view and print an Organizational Hierarchy Report
- How to view and print a 215 Deposit Ticket Report
- How to view and print a 5515 Debit Voucher Report
- How to view and print a CIRA Transmission Summary Report
- How to view and print a CIRA Transmission (Detailed) Summary Report
- How to view and print an FMS Statistical Report

This completes the series of seven primary Chapters for *Check Capture and Check Processing Participant User Guide*. You can continue to use these guides as reference or extract the *How To Steps* at the end of each *Topic* for quick application. Additionally, you can access the following Chapter, *Chapter 9.Troubleshooting Participant User Guide* if you would like.

Notes

Index

Agency Manager 5, 21, 67
Central Image and Research Archive 7
Check Capture Administrator 3
CIRA..... 3, 4, 7, 9, 15, 16, 21, 67, 82
CIRA Viewer.....3
Failed.....8
FMS Security.....3, 5
FMS Viewer.....3, 5, 7, 21, 67
MVD Editor 3, 7
MVD Viewer 3, 7
Received 7, 8, 25, 40, 42, 51, 53
Report Types 5
Represented 8
Retired 8
Search Criteria 7, 9
Search Results.....14
Settled 8
View CIRA.....5
View Reports.....3, 21, 53, 57, 61, 65, 67, 80

OTCnet℠

Deposits Made Simple

Chapter 9: Troubleshooting

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Topics 1
Topic 1. Troubleshooting Overview 3
Topic 2. Problems Closing/Approving a Batch 4
Topic 3. Troubleshooting Passwords and User Access 5
OTCnet Password Configuration for All Users 5
Troubleshooting Account Issues 6
Topic 4. Troubleshooting Scanner and Printer Issues 8
Scanner Imaging or Check Reading Problems 8
Scanner Problems -all Scanner Types 9
EC7000i Scanning Problems 10
Panini Scanning Problems 10
Default Sound Signals 11
Check Processing Error 11
Keypad/ Scanner Problem 11
Printer Problems 11
Topic 5. Troubleshooting Error Messages 13
Error Messages 13
Troubleshooting Errors within OTCnet Check Capture and Check Processing 13
Topic 6. Problem Accessing OTCnet 16
Topic 7. Adjusting an Incorrect Entry 17
Topic 8. Problems Balancing to CA$HLINK II 18
Topic 9. Refilling the 'Electronically Processed' Hand Stamp 19
Summary 21
Glossary 22
Index 36

LIST OF TABLES

Table 1: Default Sound Signals 11
Table 2. Check Scanning Error Messages 13
Table 3. Check Capture Configuration Error Messages 14
Table 4. Batch Management Error Message 14

LIST OF FIGURES

Figure 1. Single Sign OnPage (Forgot Your Password? Link) 5
Figure 2. Forgot Your Password Page 6
Figure 3. Self-Service Account/ Password Page 6
Figure 4. Properly Scanning a Check 8
Figure 5. Step 1: Refill Hand Stamp 19
Figure 6.. Step 2: Refill Hand Stamp 19
Figure 7. Step 3: Refill Hand Stamp 20

Audience, Overview and Topics

Audience

The intended audience for the *Troubleshooting Participant User Guide* includes:

- System Administrator
- Check Capture Administrator
- Check Capture Lead Operator
- Check Capture Operator
- Check Capture Supervisor
- MVD Viewer
- CIRA Viewer

Overview

Welcome to *Troubleshooting*. In this chapter, you will learn:

- How to gain/ regain user access and passwords
- How to resolve problems transmitting and closing a batch
- Who to contact for access problems
- How to handle scanner issues
- How to decipher OTCnet error messages
- How to refill the 'Electronically Processed' hand stamp

Topics

This chapter is organized by the following topics:

- Topic 1. Troubleshooting Overview
- Topic 2. Problems Closing and Transmitting a Batch
- Topic 3. Troubleshooting User names and Passwords
- Topic 4. Troubleshooting Scanner and Printer Issues
- Topic 5. Troubleshooting Error Messages

- Topic 6. Problem Accessing OTCnet
- Topic 7. Adjusting an Incorrect Entry
- Topic 8. Balancing in CA$HLINK II
- Topic 9. Refilling the ‘Electronically Processed’ Hand Stamp

Topic 1. Troubleshooting Overview

This section of the *Troubleshooting User Participant Guide* assists with problems that may occur while using the Check Capture and Check Processing functionality of OTCnet. It is to be used only as a guide as each situation can present its own set of background circumstances making the problem unique.

Certain situations may require assistance from your internal management, i.e., System Administrator or IT personnel. Once these avenues have been exhausted, Agencies should then refer to this section of the User Guide to determine if their problem is addressed. After that, contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.

Topic 2. Problems Closing/Approving a Batch

If you are unable to close a batch, please check the following:

- User roles have not been changed. Contact the **PLSA** to determine if the user's role has been updated/changed. Have a different user with Batch Management responsibilities log into and try to upload the batch. If the batch approval is successful, the user's role may have been modified and the user no longer has Close Batch responsibility. If needed, request that the user's role be updated to enable batch transmission. User roles and access are centrally managed by ITIM.
- Ensure that the user rights have not changed on the computer or that the computer name has not changed.

If you are still having difficulty, please contact the Customer Support desk at Support Center at 866-945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4.

Topic 3. Troubleshooting Passwords and User Access

OTCnet Password Configuration for All Users

Only authorized users can gain access to OTCnet. The OTCnet **Primary Local Security Administrator (PLSA)** or **Local Security Administrator (LSA)** creates your account in **IBM Tivoli Identity Manager (ITIM)**, and assigns roles and permissions to each user. As a new user, you must also be approved by an approving **PLSA** or **LSA**. As a new user, your **PLSA** will assign you a temporary password. You are required to change the temporary passwords upon initial login to OTCnet.

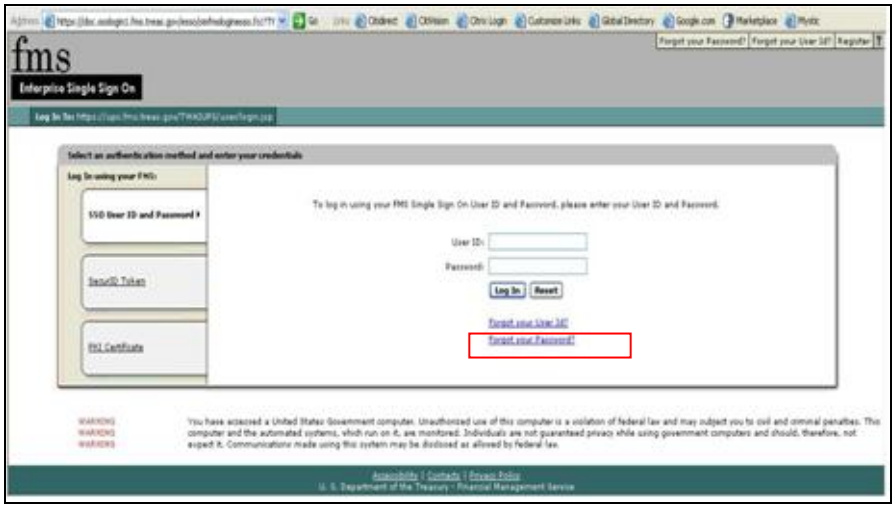
Following your initial password change, your password expires every 90 days and you have to change your password to a new, unique password. For complete specifics, see the 'Password Requirements' part of the *Appendix*. You may also change your password if they feel as though it has been compromised. The system maintains a record of the last 10 passwords used. You are not allowed to re-use these passwords.

Password history retention is the number of most recent previous passwords stored by the OTCnet for each user.

If you forget your password, you can reset your password yourself by following the steps below:

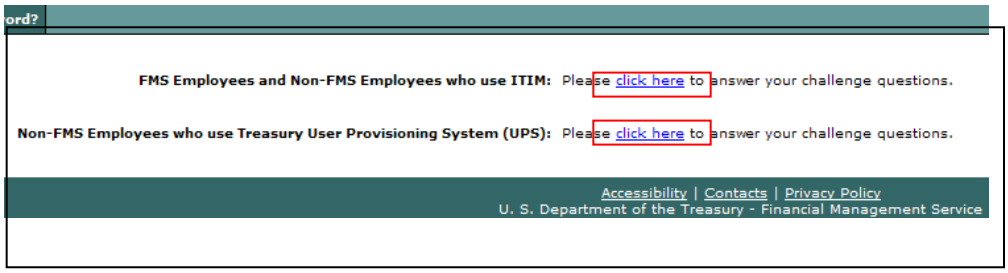
1. From the *Single Sign On* page, click on the **Forgot your Password?** link as shown in Figure 1 below.

Figure 1. Single Sign OnPage (Forgot Your Password? Link)



2. The *Forgot your Password* page appears. Click the **Click Here** link for FMS Employees and Non-FMS Employees who use ITIM (see Figure 2 below).

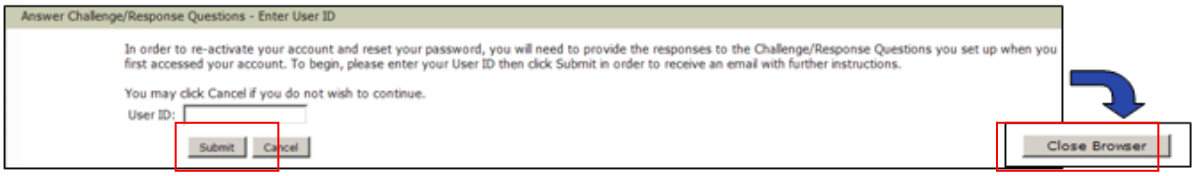
Figure 2. Forgot Your Password Page



3. The *Self-Service Account/Password Reset* page appears. Enter your **User ID** and click **Submit** (see Figure 3 below).

   You will receive an email to your official email address with further instructions to complete the Self-Service Account/Password Reset process. Click **Close Browser** as shown in Figure 3 below.

Figure 3. Self-Service Account/ Password Page



Troubleshooting Account Issues

Inactive Accounts

After 90 days of inactivity, your account becomes inactive. You must contact your **PLSA, LSA** or Treasury OTC Support Center to have the account reactivated.

Who to Contact for Password and User Access Issues

In the situation that your access to one of the below functionality becomes restricted, contact the following resources to resolve your access issue:

PC Password – If the password that is used to access your computer's operating system becomes suspended, or you cannot remember the password, contact your System Administrator Information Technology staff at your location.

Check Capture and Check Processing – If the password that is used to access OTCnet becomes suspended, or the user cannot remember the password, contact the **PLSA**.

Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.

For instructions on how to reset or unlock a user's account in OTCnet for Check Capture and Check Processing, refer to the *Appendix User G*uide.

Topic 4. Troubleshooting Scanner and Printer Issues

Scanner Imaging or Check Reading Problems

Properly Scan a Check

If the scanner beeps three times when scanning an image, check the following:

1. Place the check in the scanner with the MICR line of the check aligned with the right side of the scanner (EC6000 and 7000 scanners). Gently push the check forward to allow the scanner to grasp the check. Guide the left side of the check with your finger to prevent the document from being skewed, as shown in Figure 4 below. The scanner automatically pulls the check through to begin the scan.

Figure **4**. Properly Scanning a Check

2. If the problem still exists, make sure that the check does not contain creases, tears or marks, or the MICR line is unreadable. If so, please ask your customer for another check (if the customer is present). If your customer is not present, try to flatten the check or fold it in the opposite direction so it lays flat and attempt scanning again.

3. If the above scenarios are not an issue, try the following:

   - Unplug the scanner from the outlet, wait 5 seconds, then plug the cord back into the outlet.
   - Attempt to scan the check at least 2 more times.
   - Scan another check to determine if the problem is isolated to that check or a possible scanner problem.

4. If you are unable to connect to the scanner or the scanner light is red, try the following possible solutions:
    - Check that the cable is connected firmly in the back of the scanner and in the serial or USB port of the computer.
    - Replace the scanner cable with the backup scanner cable.
    - Check that the cable is in the correct port on the scanner and laptop.
    - Check that the correct COM port (only applies to serial connected scanners) is selected in the Check Capture System Administration under configuration, 'Devices' tab.
    - Make sure that the scanner is more than four inches away from all electromagnetic devices. These devices include the computer, credit card reader devices, laser beams from bar code scanner devices, etc.
    - Make sure the scanner is plugged in and the power strip is turned on (The amber light indicates power up was successful).
5. If there are still problems, please contact your System Administrator. If the System Administrator cannot resolve problem, call Customer Service to determine if a replacement scanner needs to be ordered.

Scanner Problems -all Scanner Types

When you are in single check mode and start the scan process,and then cancel the process to switch to batch mode an issue may arise. This is not typically a problem unless the scanner cable is disconnected after the switching to batch mode. If this should occur, the operator receives a scanner error.The only option is to click 'OK' to cancel the scan. Once clicked, a runtime error occurs and the application shuts down. Ensure that the scanner cable remains connected and if it should become disconnected, reconnect the cable.

You will receive a [-20013] scanner error upon entering Check Capture on a computer that has never accessed OTCnet before. The problem has most likely occurred because the USB-connected scanner was connecting during the uploading or refresh of the OTCnet and the scanner driver was not successfully installed. To correct the problem:

1. Make sure that the USB scanner is connected to the OTCnet computer.
2. From the Windows desktop, click the 'Start' button, then click 'Control Panel'.
3. If Control Panel is in **'Category View',** click on **'Switch to Classic View'** at the upper left of the Window.
4. Double-click on **'Add Hardware'**. The 'Add Hardware Wizard' window appears. Click the **'Next'** button.
5. The wizard searches the computer for hardware that has been recently added but not yet installed. It then asks if this hardware is already connected to the computer.

Make sure the scanner is connected via an available USB port and click **'Yes, I have already connected the hardware'.**

6. A list of already installed hardware appears. There should be a 'USB device' at the top of the list overlaid with a yellow question mark. Click this line to select then click the **'Next'** button.

7. The wizard may ask if it can connect to the internet and search Windows Update for a driver. Click **'Yes'**. It is not necessary to connect to the internet but the wizard searches the computer for the driver, it installs the driver for the scanner.

8. When complete, click the **'Finish'** button. Close 'Control Panel'.

EC7000i Scanning Problems

One long beep followed by five short beeps while scanning items on your EC7000i scanner indicates a problem. Please click cancel to terminate that transaction and rescan that item. This sequence of beeps usually means that the back of the check has not been scanned. Any other unusual issues or tones may indicate scan errors. Please cancel that transaction and rescan the item. If necessary, the item may need to be voided.

Panini Scanning Problems

While configuring the Panini in OTCnet, under Devices Configuration , no error is given if the Panini scanner is disconnected. When the operator attempts to scan a check in batch mode, a warning message reads "Scanner error. Canceling batch scan and starting keying phase." Clicking the **'OK'** button brings up the message again. In the single mode, no error message is returned and the scanner seems to be waiting for the check to be scanned although the status message says, "Problem detected, check scanner." Check to make certain that the scanner cable is connected at both the back of the scanner and into the back of the computer.

When the computer goes into 'Power Save' or 'Hibernation' mode, the user is logged out of the system. This is a fix to a previous problem that would cause the Panini to lose connection with OTCnet and require that it be disconnected then reconnected to the computer.

The Panini scanner does not reconnect after a scanner jam. An error message appears on the screen stating that there is a scanner error and the application enters the keying mode. The only option is to click the '**Cancel**' button on the error window. Check Capture is ready for a new scan but the scanner's red light is flashing and the scanner is not able to accept checks. To correct the scanner condition, log off and log back on to reconnect to the scanner.

Default Sound Signals

Several conditions are signaled by a pattern of tones in addition to the LED display on the following types of Check Capture scanners:

Table 1: Default Sound Signals

Tone	Meaning	Scanners
One short beep LED is flashing green	The unit was successful in reading the MICR line.	EC5000i, EC6000i and EC7000i
Three short beeps LED is flashing red	The unit was not successful in reading the MICR line.	EC5000i, EC6000i and EC7000i
One long beep LED is flashing red	An error occurred during processing or storing of the captured image.	EC5000i, EC6000i and EC7000i
One long and five short beeps LED is flashing red	The scanner has failed to scan the back of the check.	EC7000i

Check Processing Error

A check processing error can occur when you attempt to scan an unsupported check format, such as a foreign check, checks payable in non-US currency, or Savings Bond Redemptions.

These types of checks cannot be processed using Check Capture and need to be processed through the Deposit Processing functionality.

Keypad/ Scanner Problem

When using the EC5000 or EC7000 scanners combined with either model of keypad, OTCnet Check Capture and Check Processing may occasionally stall between data entry and keypad confirmation states. The keyboard input is not accepted, the scanner light flashes green and the operator's only option is to click '**Cancel**'. The occurrence is rare and does not seem to occur with the EC6000 scanner.

Printer Problems

If experiencing problems with printing, check the following:

- Printer is connected to the LAN or to the local printer port on the back of the laptop/desktop.
- LAN is operational (if connected to a LAN).

- Insure the correct printer is selected from the OTCnet Devices Tab. See your IT personnel to have the printer added to your Windows operating system.
- Printer has paper.
- Printer is plugged in.
- Printer is online.
- Correct printer driver was installed.
- There is not paper jammed in the paper feed tray or the paper output tray.

If the problem still exists after checking the list above, turn the printer off, wait 5 seconds, and then turn it back on.

Contact your System Administrator if unable to resolve problem. Connect a local printer if the LAN connection cannot be resolved.

Topic 5. Troubleshooting Error Messages

Error Messages

If an error message displays that is not indicated in this Troubleshooting section, or if you are experiencing additional problems, please contact the Customer Service at 866-945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.

Troubleshooting Errors within OTCnet Check Capture and Check Processing

The following table addresses troubleshooting dialog messages and scenarios that may occur while using OTCnet.

Table 2. Check Scanning Error Messages

Message Number	Message Text
SCNCHK001	Expected a Personal check but detected a Non Personal check. Would you like to process this item as a Personal check?
SCNCHK002	Expected a Non Personal check but detected a Personal check. Would you like to process this item as a Non Personal check?
SCNCHK003	The check amount should be greater than $0.01 and less than 99,999,999.99. [new message]
SCNCHK004	“User Defined Field ” is required. [new message]
SCNCHK005	The “User Defined Field ” must be in yyyy/mm/dd format. [new message]
SCNCHK006	The “User Defined Field ” must be in mm/dd/yyyy format. [new message]
SCNCHK007	The value for “User Defined Field ” field is not within allowed minimum/maximum value. [new message]
SCNCHK008	The “User Defined Field ” value is more than 256 characters. [new message]
SCNCHK009	Data entry is complete.
SCNCHK010	Cancel Transaction. Are you sure?
SCNCHK011	[In Batch Mode] Canceling batch scan and starting keying phase.
SCNCHK012	[In Batch Mode] Click "Yes" to cancel the current and all remaining items. Click "No" to cancel the current item.
SCNCHK013	Please enter the batch control amount in $0.00 format.
SCNCHK014	Please enter a positive number greater than 0.
SCNCHK015	Batch Control Amount and Batch Control Count are required.
SCNCHK016	Would you like to correct the codeline? [with buttons: Yes, Rescan and Cancel]
SCNCHK017	You must enter comments concerning the override request.
SCNCHK018	Override check was successful.
SCNCHK019	[While Using Keypad] Customer has canceled the transaction.

Message Number	Message Text
SCNCHK020	[While Using Keypad] There was no response from the keypad. Would you like to cancel the transaction?

Table 3. Check Capture Configuration Error Messages

Message Number	Message Text
CONCHCAP001	Scanner Error. [-20013] Please check scanner power/connection. Proposed new message: **"Scanner Error # 20013. The scanner is not connected properly. Please check the scanner connection."**
CONCHCAP002	"Keypad Error [-20015] Please check keypad power/connection" Proposed new message: **"Keypad Error # 20015. The keypad is not connected properly. Please check the keypad connection."**
CONCHCAP003	Device Settings The Scanner and Keypad cannot share the same comm port. Proposed new message: **"The scanner and keypad cannot share the same Serial Port number. Please update the Serial Port number for the scanner or keypad."**
CONCHCAP004	Application Settings A prompt selection must be checked when Batch Control Total is Mandatory. Proposed improved message: "**Please select Batch Create or Batch Close option if Batch Control is Mandatory.**"
CONCHCAP005	Please enter the Terminal ID within the range of 1 to 16 characters.

Table 4. Batch Management Error Message

Message Number	Message Text
MNGBCH001	Cannot deactivate the batch because it is currently in use. [new message]
MNGBCH002	Please confirm Batch List was Printed. Continue?
MNGBCH003	Close batch(es), ## item(s) Are you sure?
MNGBCH004	Batch did not print successfully. Batch close process will be canceled.
MNGBCH005	Submit batch(es), ## item(s) Are you sure?
MNGBCH006	Submit Batch Failed. Please Close to continue.
MNGBCH006	Only one item can be voided. [new message]
MNGBCH007	You must enter comments concerning the void request.

Message Number	Message Text
MNGBCH008	Void Item [IRN #] Are you sure?
MNGBCH009	Void Item [IRN #] Successful
MNGITM001	Current message: pop-up message with Yes, No and Cancel buttons: "Changes were detected" "Save changes?" Proposed Message: "Changes were detected. If you select to save, please enter comments concerning the edit request".

Topic 6. Problem Accessing OTCnet

If you are experiencing difficulties in accessing the OTCnet website or obtaining images once on the OTCnet website:

Try to access another website to ensure that internet access is available.

- Shut the computer down and restart it by clicking the Windows 'Start' button, then clicking 'Shut Down', then use the down arrow to choose 'Restart'. Click the 'OK' button to restart the computer. If you are still unable to access the site after the computer restarts, but able to access other sites, contact your System Administrator.

Make sure that you are accessing the correct URL of the OTCnet website

- Be certain that you are typing the correct password as it is case sensitive. If the account is locked, call the Treasury OTC Support Center at 866-945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.
- If the application has a planned period of downtime, such as hardware or software upgrades, advance notice will be provided to OTCnet customers via e-mail with the timeframe of the planned downtime. Contact the Treasury OTC Support Center if you need to add names to the distribution list for these notifications. Should the OTCnet application experience any unplanned outages (on rare occasions), e-mails will be sent to the same distribution list to advise them of the outage and the expected time of resolution.

Topic 7. Adjusting an Incorrect Entry

The minimum limit for reporting items that need to be adjusted by Treasury/FMS is $25.00. If the adjustment is $25.00 or more, the check is only corrected to the written dollar amount on the face of the check.

OTCnet payments should only be entered for the amount of the item being processed. If a data-entry error is made and the amount entered for the check differs from the written amount of the check, two options are available prior to transmission:

- Void the item and rescan, this time typing the correct dollar amount of the check.
- Ask an authorized user to access Batch Management and change the incorrectly typed amount with the correct amount. The batch can then be closed and transmitted by the lead check capture supervisor or closed and uploaded by the authorized person using the Batch Management component.
- Do not scan the item a second time to process a second item for the amount difference. Doing so would create processing errors at Treasury/FMS as well as at the check writer's financial institution.
- If a file containing the wrong amount has already been transmitted or if you ever encounter a processing issue and need assistance, please contact The Treasury OTC Support Center.

Topic 8. Problems Balancing to CA$HLINK II

If the information contained within your daily SF215 does not match what was processes:

- Determine the time that the information was sent. If batches were processed prior to 9:30 p.m. E S T, the processed batches are contained on the SF215 report, the next day.
- If all transactions processes prior to 9:30 p.m. E S T but are not on the SF215 report, please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.
- Agencies should be able to see their transactions in CA$HLINK II on day 2 after 10:00am E.T. (provided there were no operational problems that would prevent deadlines from being met).

Note: If unable to match to information provided on the SF215, please contact the Treasury OTC Support Center. Please be prepared to have the transmission date, ALC numbers of the locations having problems balancing, batch number, batch list, and total dollar amount and item count.

Also:

If your site has large dollar transactions, please ensure that you see the items in OTCnet on the same day of the batch transmission. Items are typically available for viewing in OTCnet twenty minutes after transmission. This ensures that the batch transmitted successfully. It also provides you with a level of confidence that you will obtain your CA$HLINK II deposit the next business day.

Topic 9. Refilling the 'Electronically Processed' Hand Stamp

If your agency uses EC5000i and Panini scanners, you may use the hand stamp to stamp their checks after processing. The hand stamp is used to stamp the words 'Electronically Processed' on each check once processed. The EC6000i and EC7000i scanners can be setup to automatically stamp the checks using the scanner's franking functionality. For information on setting up the EC6000i or EC7000i scanner to frank checks, see *Appendix* User Guide.

When the hand stamp needs to be refilled, follow these steps (see Figures 5, 6 and 7 below):

1. Press the white section down just a bit, then push the two buttons located on either side of the stamp until they lock-in, which sets the swivel stamp in a locked position as shown below.

Figure 5. Step 1: Refill Hand Stamp

2. The ink pad has black ridges that are seen running lengthwise. Using a pencil or ruler, gently push on the black ridge section to slide the ink pad out of the stamping device. The ink pad slides all the way out of the stamp.

Figure 6.. Step 2: Refill Hand Stamp

3. Add ink drops onto the ink pad.

Figure 7. Step 3: Refill Hand Stamp

4. Slide the ink pad back in all the way with the ink side facing the bottom of the stamp, and the flat bottom of the ink tray resting on the white bridge inside of the bay where it is stored. Activate the ink pad by pressing it down onto a piece of paper.

Summary

In this chapter, you learned:

- How to gain/regain user access and passwords
- Who to contact for access problems
- How to handle scanner issues
- How to decipher OTCnet error messages
- How to refill the 'Electronically Processed' hand stamp

In the next module, you will learn about the appendices.

Notes

Index

Agency Contact 22
Agency Manager 22
American Bankers Association 22
Approved Batch Status 22
Automated Clearing House 22, 24
Back Office Processing Method 22
Bank Routing Number 22
Batch ID 22
Batch Item 23
Batch List 22
Batch Status 23, 25, 26
Capture Date 23
Cashier ID 23
Central Image and Research Archive 23
Check 21 26
Check Amount 23
Configurable Fields 23
Customer Not Present Processing Method 23
Customer Present Processing Method 23
Debit Gateway 24
Failed 24
Franker 25
Franking 25
Individual Reference Number 25
Item Type 25, 26
Master Verification Database 25
MVD Edit 25
MVD Viewer 25
Received 26
Represented 26
Retired 26
Returned Item 26
Returned Settlement Date 26
Single Sign On 5
Terminal ID 26
Troubleshooting 1, 3, 5, 6, 8, 13
Universal Serial Bus (USB) 26

OTCnet℠

Deposits Made Simple

Chapter 10. Appendix

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience, Overview and Appendixes iii
Audience iii
Overview iii
Appendixes iv
Appendix A. Administrative Notes 1
Appendix B. Password Requirements 3
Password Assistance 3
Appendix C. Image Quality 4
Appendix D. Central Image Research (CIRA) Query 5
Appendix E. CIRA CSV File Overview 6
Appendix F. Master Verification Database (MVD) 12
Appendix G. Representment 13
Appendix H. Equipment Returns 14
Appendix I. OTCnet Check Capture Codes 15
ACH Return Reason Codes 15
Check 21 Return Codes 18
Transaction Status Code Monitoring 19
OTCnet Processing Forward Files 20
OTCnet Returns 20
Appendix J. OTCnet Security 22
Purpose 22
What is PII? 22
Access Control 22
Risk Assessment 23
Personnel Security and Procedures 24
Physical and Environmental Protection 25
Contingency Planning 27
Configuration Management 29
System Maintenance 30
System and Information Integrity 31
Media Protection 32
Incident Response 34
Awareness and Training 35
Summary 37
Glossary 38
Index 55

LIST OF TABLES

Table 1: File layout of CSV Report 8
Table 2: Sample file layout 10
Table 3. ACH Return Reason Codes 15
Table 4. Check 21 Return Codes 18
Table 5. Transaction Status Codes 19

LIST OF FIGURES

Figure 1. Poor Image Quality 4
Figure 2. Good Image Quality 4
Figure 3. Image Quality Failed Message 4

Figure 4. CIRA Query Image 5
Figure 5. Manage Verification Tab 12
Figure 6. Transaction Status Codes 13

Audience, Overview and Appendixes

Audience

The intended audience for the *Appendix Participant User Guide* includes the following:

- Primary Local Security Administrator
- Check Capture Administrator
- Check Capture Operator
- Check Capture Lead Operator
- Check Capture Supervisor
- MVD Editor
- MVD Viewer
- CIRA Viewer

Overview

Welcome to the *Appendix*. In this chapter, you will learn:

- About administrative detail for cost, paperwork, policy, training and customer service
- About password requirements
- How to resolve check Image quality
- How to query within the Central Image Research Archive (CIRA)
- About the CIRA CSV File
- About the Master Verification Database (MVD)
- How to establish check representments
- Procedure for returning equipment
- About check capture return codes
- Guidance for OTCnet Security

Appendixes

This chapter is organized by the following appendixes:

- Appendix A. Administrative Notes
- Appendix B. Password Requirements
- Appendix C. Image Quality
- Appendix D. Central Image Research Archive (CIRA) Query
- Appendix E. CIRA CSV File Overview
- Appendix F. Master Verification Database (MVD)
- Appendix G. Representments
- Appendix H. Equipment Returns
- Appendix I. OTCnet Check Capture Return Codes
- Appendix J. OTCnet Security

Appendix A. Administrative Notes

Cost

The Agency's cost for participating in the program is limited to the purchase of hardware. Scanners, scanner cables and USB Flash drives can either be purchased through a vendor of the Agency's choice. The RDM check scanner model supported is the EC7000i or the Panini My Vision Batch scanner models X-30, X-60, or X-90. Older scanner models (RDM EC5000i, EC6000i) are supported but may not be available for purchase. All other computer hardware is purchased through another vendor or by contacting an OTCnet Deployment Specialist. The Treasury/FMS pays all other fees associated with the program so there are no hidden software purchase costs or transaction fees.

Minimal Paperwork

Agencies need to submit a signed Agency Agreement AA, Agency Participation Agreement (APA), an Agency Site Profile (ASP) for each endpoint, and an interagency agreement if purchasing hardware using IPAC. Once agreements are signed and received, the Agency can be up and running within 2-4 weeks.

Endpoint Policy

An endpoints's policy helps automate an Agency's check cashing/collection policy. The endpoint's policy is based upon the agency's overall program or policy to ensure a consistent application of an Agency-wide check verification including returned reason codes, suspension periods, and the inclusion of expired items. As part of the Agency's participation in OTCnet, the agency provides the Treasury OTC Support Center their check collection policy via the ASP.

The endpoint's policy is established during the set-up of a endpoint in the MVD system. Treasury OTC Support Center administers the set-up of all endpoints based on the Agency's and the endpoint's ASP. Treasury OTC Support Center administers all edits or modifications to an endpoint, including the endpoint's policy.

OTCnet Endpoint Group Management

The MVD restricts the display of data based on the endpoint of the user. A user only sees records which are associated with OTC Endpoints at or below the user's OTC Endpoint in the hierarchy or at endpoints specified in the OTCnet Endpoint Group. Depending on the type of data being requested, different rules apply, as appropriate.

User Training

The program offers comprehensive Web-based Training (WBT), Participant User Guides, and optional Instructor-led Training. It is recommended that before using OTCnet, you access the WBT and Participant User Guides to the fullest extent before contacting your Treasury OTC Support Center Deployment Specialist who will work with individuals to determine training type and schedule. To get the most out of the training session, it should be scheduled within two weeks of the Agency's conversion date.

Customer Support Hours

Customer support is available 24 hours a day, 7 days a week. All OTCnet related inquiries should be directed to the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4, or via email at FMS.OTCChannel@citi.com.

Look up Phone Numbers for Financial Institutions

To find more information including phone numbers and email addresses please go to www.fededirectory.frb.org.

Contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com

Appendix B. Password Requirements

Password Assistance

Password requirements are implemented as a security measure. To access OTCnet for the first time, you will need to establish a password. Additionally, every 90 days, you will be required to change your password.

- Passwords must be at least 8 characters in length, and have a maximum of 20 characters
- Passwords must contain at least one upper case letter (A-Z) and one lower case letter (a-z)
- Passwords must contain at least one number (0-9), or one special character such as #, $ or @
- Password cannot be the word 'password' and cannot be the same as the user's login
- Passwords are case-sensitive
- Passwords must be changed upon the first use when a temporary password is assigned by a user with access to the ITIM Provisioning system (e.g. PLSA and LSA)
- Passwords must be unique outside the previous ten passwords for a user
- Passwords must not have been used in the last 10 days
- Passwords will expire every 90 calendar days
- Passwords must not be shared with other users or put in a written, unsecured form
- Must not be a word in a language, slang, dialect, or jargon
- Must not be related to personal identity, history, environment, or other personal associations
- Passwords must be entered twice for verification on the user's initial login and when a user changes their password
- Single Sign On (OTCnet login window) will suspend a user's access to the system after 3 unsuccessful login attempts. See the Password Reset/Account Lock section below
- The OTCnet system settings default is set to 3 unsuccessful login attempts before suspension and cannot be customized

Appendix C. Image Quality

The scanner functionality has a feature that checks for the image quality of every check scanned. Agencies can, however, choose to override a poor image in hopes that it will process anyway. The following examples are of a poor image scan and an image of good quality). Agencies should be aware that overriding a poor image may result in a returned item, depending upon the paying financial institution. Figure 1 below illustrates a poor quality image while Figure 2 below is a demonstration of a good quality image. Figure 3 shows a Image Quality Failed message.

Figure 1. Poor Image Quality

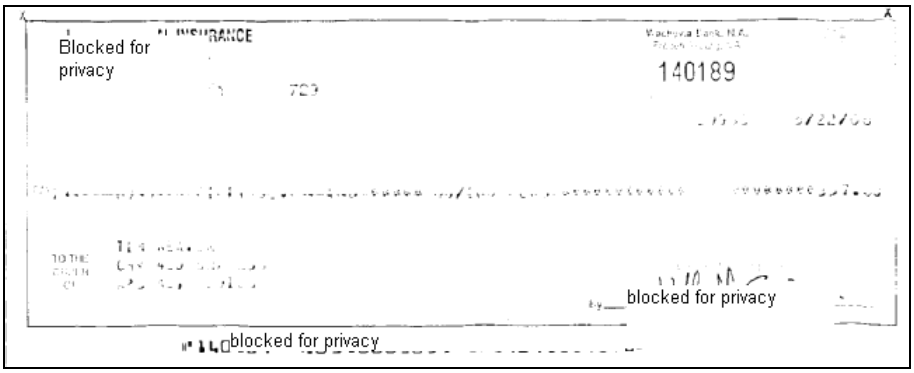


Figure 2. Good Image Quality

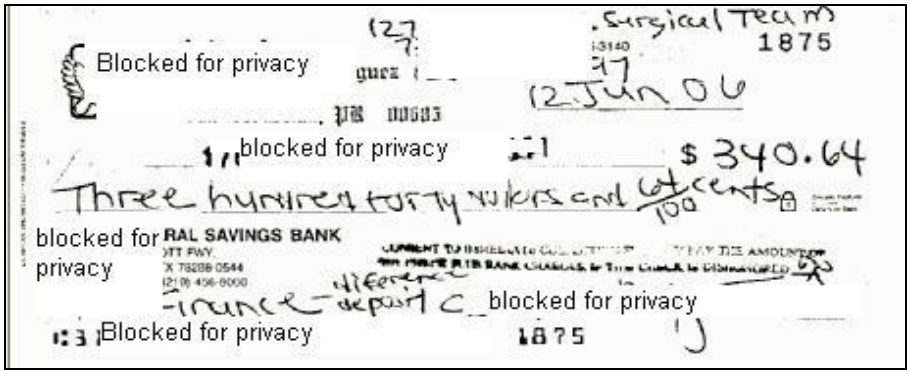
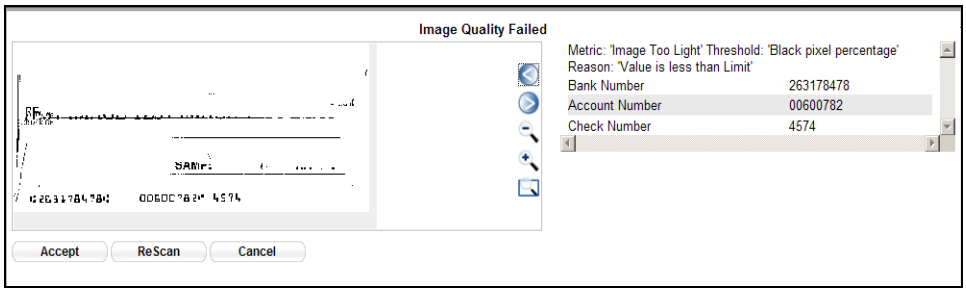


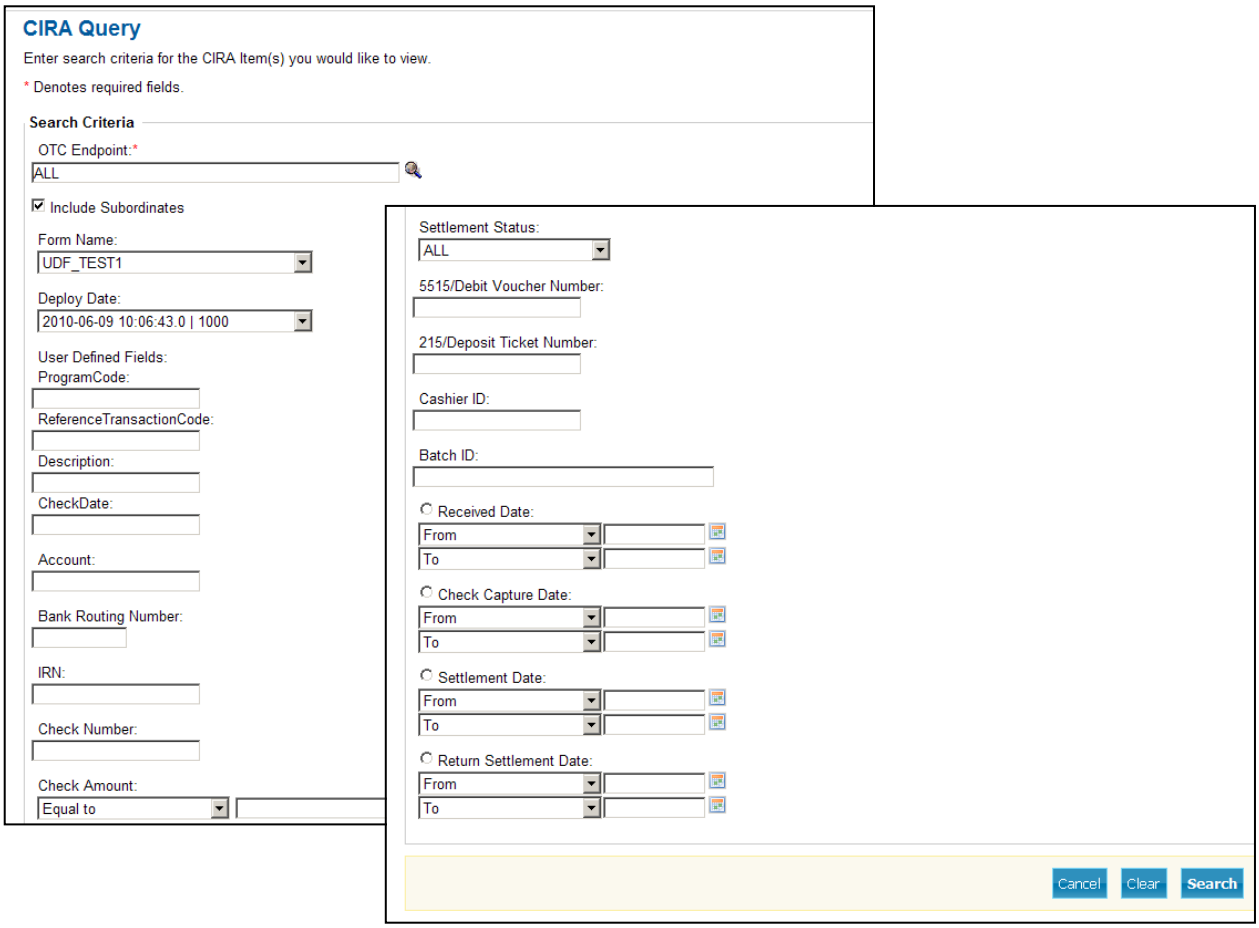
Figure 3. Image Quality Failed Message



Appendix D. Central Image Research (CIRA) Query

The Central Image Research Archive (CIRA) (see Figure 4 below) is the central database where all check images are stored for seven years after the initial scan and processing in OTCnet.

Figure 4. CIRA Query Image



As a CIRA Viewer, MVD Viewer and MVD Editor, you can utilize the CIRA query function of OTCnet to search for and locate checks. Each CIRA CSV consists of multiple lines and is defined as follows:

- Each line is terminated by a carriage return followed by a new line (0D0A)
- The first five lines always exist. The CSV data begins on line 6
- The file is terminated by an empty line followed by 0D0A

Appendix E. CIRA CSV File Overview

Introduction

As an OTCnet user, you may need to download the CIRA CSV file. This user guide contains all of the fields available in the CIRA CSV report in OTCnet. The CSV report provides input data for downstream systems, and provides OTCnet users with the ability to download item information in a standard format.

OTCnet Updates

Please note: For OTCnet, two updates have been made to the file format:

1. The column which was titled "Location" in PCC OTC will now be called "OTC Endpoint." This column will now be populated with the OTC Endpoint short name.

2. The column which was titled "Check Type" in PCC OTC will now be called "Item Type."

3. Two additional columns will be added to the CSV report generated in OTCnet.
    a. A column entitled 'ALC+2.' The 'ALC+2' column will be automatically populated with the ALC+2 that was selected for the submitted item*
    b. A column entitled 'Return Settlement Date.' The 'Return Settlement Date' column will be automatically populated with the effective date of settlement of the returned check item

* Endpoints that were migrated over from PCC OTC may contain the same value for 'OTC Endpoint' and 'ALC+2'. This is not an error and will not interfere with the data generated by this report.

Layout

The CIRA CSV report consists of multiple lines and is defined as follows:

- Each line is terminated by a carriage return followed by a new line (0D0A)
- The first 5 lines always exist. The agency's item data begins on line 6
- The file is terminated by an empty line followed by 0D0A

Available Fields

All possible fields found in the report are as follows*:

- IRN
- OTC ENDPOINT
- ALC +2
- CAPTURE DATE
- RECEIVE DATE
- BANK ROUTING NUMBER

- CHECK NUMBER
- ACCOUNT
- AMOUNT
- CASHIER ID
- ITEM TYPE
- PROCESSING METHOD
- BATCHID
- SETTLEMENT DATE
- RETURN SETTLEMENT DATE
- DEBIT VOUCHER NUMBER
- DEPOSIT TICKET NUMBER
- User Field 1
- User Field 2
- User Field 3
- User Field 4
- User Field 5
- User Field 6
- User Field 7
- User Field 8
- User Field 9
- User Field 10
- User Field 11
- User Field 12
- User Field 13
- User Field 14
- User Field 15
- User Field 16
- User Field 17
- User Field 18
- User Field 19
- User Field 20
- User Field 21
- User Field 22
- User Field 23
- User Field 24

* Please note: Some of the labels in the CSV report appear slightly differently than they do in other part of OTCnet. This will not impact the download.

Location = OTC Endpoint
User Field = User Defined Field
Processing Mode = Processing Method (future)
Check Type = Item Type (future)

File Layout

This section defines the size of all fields and the order in which the fields are laid out within the file:

Table 1: File layout of CSV Report

Line Number	Field Number	Name	Type	Format/Sample	Description
1		Report Title	String	*CSV Agency Detailed Item Report*	Report Title Constant
2		Date/Time	String	Thu May 05 12:27:53 EDT 2005	Date that the report was executed
3		Total Amount	String	*TOTAL AMOUNT :*	Constant String
		Total Amount Value	Float	39594.43	Total dollar amount of the items queried
4		Total number of items	String	TOTAL NUMBER OF ITEMS :	Constant String
		Total number of items value	Number	81	Number of items queried
5		*IRN*	String	IRN	Constant String column header, value of the IRN
		OTC Endpoint	String	LOCATION NAME	Constant String column header, ALC+2
		ALC +2	Number	ALC +2	Number of ALC +2
		CAPTURE DATE	String	CAPTURE DATE	Constant String column header, Time the image and data was originally captured
		RECEIVE DATE	String	RECEIVE DATE	Constant String column header, Time the data was processed by PCC OTC
		ROUTING TRANSIT NUMBER	String	ROUTING TRANSIT NUMBER	Constant String column header, Routing number parsed from RAW MICR
		CHECK NUMBER	String	CHECK NUMBER	Constant String column header, Account number parsed from RAW MICR
		ACCOUNT	String	ACCOUNT	Constant String column header, Check number parsed from RAW MICR
		AMOUNT	String	CHECK AMOUNT	Constant String column header, Amount of the payment
		CASHIER ID	String	*CASHIER ID*	Constant String column header, Value provided by ALC+2 for the operator id
		CHECK TYPE	String	CHECK TYPE	Constant String column header, Check Type – either “Personal” or “Non-Personal”

Line Number	Field Number	Name	Type	Format/Sample	Description
		PROCESSING METHOD	String	PROCESSING MODE	Constant String column header, Processing Mode – 3 options "Not Present", "Present" or "Back Office"
		BATCH ID	String	Batch ID	Constant String column header. Batch containing the IRN
		SETTLEMENT DATE	String	Settlement Date	Constant String column header. Settlement Date
		RETURN SETTLEMENT DATE	String	Return Settlement Date	Constant String column header. Return Settlement Date
		DEBIT VOUCHER NUMBER	String	DEBIT VOUCHER NUMBER	Constant String column header. Debit Voucher Number
		DEPOSIT TICKET NUMBER	String	DEPOSIT TICKET NUMBER	Constant String column header. Deposit Ticker Number
		User Field 1	String	User Defined Field 1	Constant String column header
		User Field 2	String	User Defined Field 2	Constant String column header
		User Field 3	String	User Defined Field 3	Constant String column header
		User Field 4	String	User Defined Field 4	Constant String column header
		User Field 5	String	User Defined Field 5	Constant String column header
		User Field 6	String	User Defined Field 6	Constant String column header
		User Field 7	String	User Defined Field 7	Constant String column header
		User Field 8	String	User Defined Field 8	Constant String column header
		User Field 9	String	User Defined Field 9	Constant String column header
		User Field 10	String	User Defined Field 10	Constant String column header
		User Field 11	String	User Defined Field 11	Constant String column header
		User Field 12	String	User Defined Field 12	Constant String column header
		User Field 13	String	User Defined Field 13	Constant String column header
		User Field 14	String	User Defined Field 14	Constant String column header
		User Field 15	String	User Defined Field 15	Constant String column header
		User Field 16	String	User Defined Field 16	Constant String column header
		User Field 17	String	User Defined Field 17	Constant String column header

Line Number	Field Number	Name	Type	Format/Sample	Description
		User Field 18	String	User Defined Field 18	Constant String column header
		User Field 19	String	User Defined Field 19	Constant String column header
		User Field 20	String	User Defined Field 20	Constant String column header
		User Field 21	String	User Defined Field 21	Constant String column header
		User Field 22	String	User Defined Field 22	Constant String column header
		User Field 23	String	User Defined Field 23	Constant String column header
		User Field 24	String	User Defined Field 24	Constant String column header

Sample File Layout

Following is a sample file layout starting on line 6 is displayed below.

Table 2: Sample file layout

Field Number	Name	Type	Sample value
	IRN	String	111201500244600000608
	OTC Endpoint	String	0000633502
	ALC +2	Number	0000347601
	Capture Date	Date/Time	2002-07-19 14:11:14
	Receive Date	Date/Time	2002-07-22 07:31:19
	BANK ROUTING NUMBER	String	251480576
	CHECK NUMBER	String	787910415647
	ACCOUNT	String	4114784
	AMOUNT	String	38.81
	CASHIER ID	String	Patrick
	ITEM TYPE	String	Personal Non-Personal
	PROCESSING METHOD	String	Customer Not Present Customer Present Back Office
	BATCH ID	String	FF1E9FE2-FB22-4353-A27A-06C86FC3D2AA
	SETTLEMENT DATE		2002-08-22 07:43:10
	RETURN SETTLEMENT DATE		7/30/2010
	DEBIT VOUCHER NUMBER	String	24
	DEPOSIT TICKET NUMBER	String	8

Field Number	Name	Type	Sample value
	User Field 1	String	User Defined Field 1
	User Field 2	String	User Defined Field 2
	User Field 3	String	User Defined Field 3
	User Field 4	String	User Defined Field 4
	User Field 5	String	User Defined Field 5
	User Field 6	String	User Defined Field 6
	User Field 7	String	User Defined Field 7
	User Field 8	String	User Defined Field 8
	User Field 9	String	User Defined Field 9
	User Field 10	String	User Defined Field 10
	User Field 11	String	User Defined Field 11
	User Field 12	String	User Defined Field 12
	User Field 13	String	User Defined Field 13
	User Field 14	String	User Defined Field 14
	User Field 15	String	User Defined Field 15
	User Field 16	String	User Defined Field 16
	User Field 17	String	User Defined Field 17
	User Field 18	String	User Defined Field 18
	User Field 19	String	User Defined Field 19
	User Field 20	String	User Defined Field 20
	User Field 21	String	User Defined Field 21
	User Field 22	String	User Defined Field 22
	User Field 23	String	User Defined Field 23
	User Field 24	String	User Defined Field 24

CSV File Sample

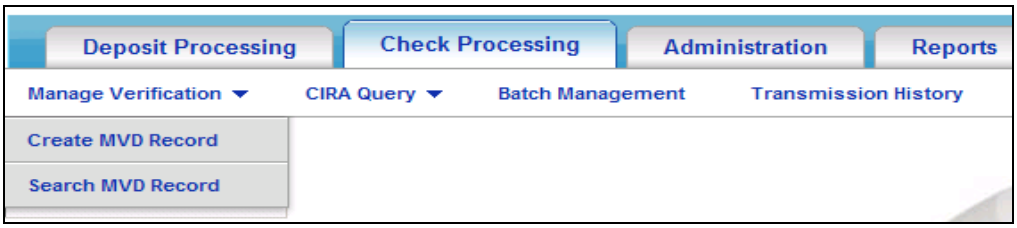
The text below shows a sample of the CSV file report:

"CSV Agency Detailed Item Report"
"Thu Oct 06 11:17:23 EDT 2011"
"TOTAL AMOUNT : ","38509.00"
"TOTAL NUMBER OF ITEMS : ","2"
"IRN","OTC ENDPOINT","ALC + 2","CAPTURE DATE","RECEIVE DATE","TRANSIT NUMBER","CHECK NUMBER","ACCOUNT","AMOUNT","CASHIER ID","ITEM TYPE","PROCESSING METHOD","BATCH ID","SETTLEMENT DATE","RETURN SETTLEMENT DATE","DEBIT VOUCHER NUMBER","DEPOSIT TICKET NUMBER","User Field 1","User Field 2","User Field 3","User Field 4","User Field 5","User Field 6","User Field 7","User Field 8","User Field 9","User Field 10","User Field 11","User Field 12","User Field 13","User Field 14","User Field 15","User Field 16","User Field 17","User Field 18","User Field 19","User Field 20","User Field 21","User Field 22","User Field 23","User Field 24"
"13154124770015865281","DG1","1000000001","2011-09-07 12:21:17","2011-09-07 12:20:59","044000024","111","111111","11.11","otcqef50","Non Personal","Customer Present","1C111D1E-C111-1111-BC11-1CD11111ADBA","2011-09-12 00:00:00","null","null","000973","345345333","null"
"13154267000015865281","DG1","1000000001","2011-09-07 16:18:20","2011-09-07 16:18:07","073903503","00000013","1111","11.11","otcqef50","Personal","Customer Present","1C111D1E-C111-1111-BC11-1CD11111ADBA","2011-09-14 00:00:00","null","null","000973","234234223","null"

Appendix F. Master Verification Database (MVD)

The Master Verification Database (MVD) (see Figure 5 below) provides the information to ensure a presented check is acceptable. It aids the Agency in determining the history of a particular check writer, managed by a MVD Editor.

Figure 5. Manage Verification Tab



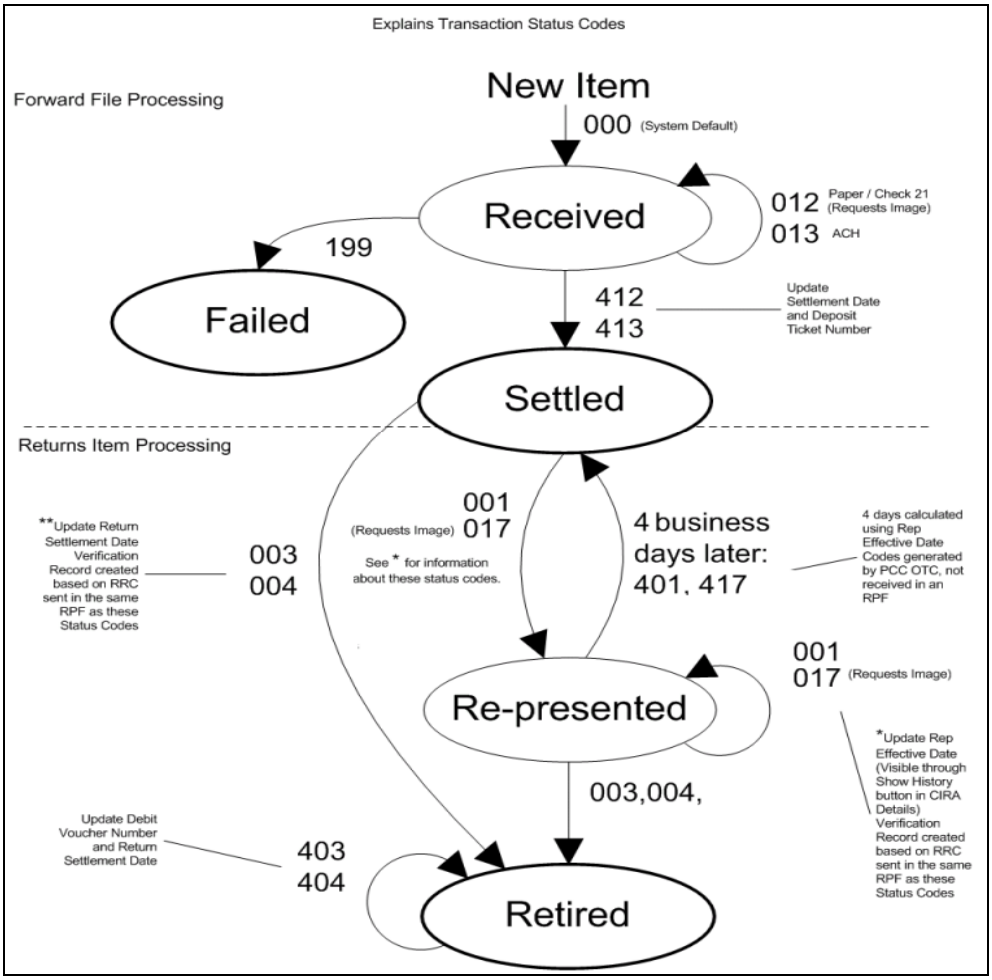
The verification database is an optional online database that maintains the agency hierarchy check cashing policy, dishonored check information, and manually entered blocked items based on an Agency's policy.

The MVD restricts the display of data based on the endpoint of the user. A user only sees records which are associated with endpoints at or below the user's endpoint in the hierarchy or at endpoints specified in the OTCnet Endpoint Group. Depending on the type of data being requested, different rules apply, as appropriate. For more information, refer to the Master Verification Database (MVD) section of the MVD User Guide.

Appendix G. Representment

Figure 6 below illustrates the Representment flow for checks that are not accepted the first time.

Figure 6. Transaction Status Codes



Appendix H. Equipment Returns

If there are problems with the OTCnet equipment that was purchased from the Treasury OTC Support Center, contact the Treasury OTC Support Center. A staff member verifies the warranty and if needed, the dollar valuation on the following pieces of equipment: Scanners and Yes/No keypads. Otherwise, if the OTCnet equipment was purchased directly from a vendor, please contact the vendor for warranty and/or repair information.

Please contact the OTCnet Customer Service at 866- 945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMSotcdeployment@citi.com.

If the warranty is active, the representative will provide the mailing address for the hardware shipping.

Equipment should be returned either by certified mail with return receipt, or via FedEx. When using either method, please purchase insurance for the equipment's full dollar value. Please include a note explaining the reason for return, i.e., describing the damaged or defective equipment.

Note: In the event that the warranty has expired on the Check Capture equipment, please call the Vendor Point-of-Contact for further instructions or discuss the possible purchase of new equipment with your Deployment Specialist.

Appendix I. OTCnet Check Capture Codes

ACH Return Reason Codes

These return codes are used when an item that has been converted to an ACH entry is returned. They are used by the paying institution from where the item is drawn, when they return an ACH transaction that was processed by Check Capture. The return reason code for a particular item is listed on the Debit Voucher Report (SF5515) as seen in Table 1 below.

Table 3. ACH Return Reason Codes

Return Reason Code (RRC)	Description
R01	Insufficient funds
R02	Account closed
R03	No account/unable to locate account
R04	Invalid account number
R05	Unauthorized debit to consumer account using corporate SEC Code
R06	Returned per Originating Depository Financial Institution's request
R07	Authorization revoked by customer
R08	Payment stopped
R09	Uncollected funds
R10	Customer advises not authorized
R11	Check truncation entry return
R12	Branch sold to another Depository Financial Institution
R13	RDFI not qualified to participate a (ACH operator initiated)
R14	Representative Payee (account holder) deceased or unable to continue in that capacity
R15	Beneficiary or account holder (other than a representative payee) deceased
R16	Account frozen
R17	File record edit criteria
R18	Improper effective entry date (ACH operator initiated)

R19	Amount field error (ACH operator initiated)
R20	Non-transaction account
R21	Invalid company identification
R22	Invalid individual ID number
R23	Credit entry refused by receiver
R24	Duplicate entry
R25	Addenda Error
R26	Mandatory Field Error
R27	Trace Number Error
R28	Routing Number Check Digit Error
R29	Corporate customer advises not authorized (CCD)
R30	RDFI Not Participant in Check Truncation Program
R31	Permissible return entry (CCD)
R32	RDFI Non-Settlement
R33	Return of XCK Entry
R34	Limited Participation DFI
R35	Return of Improper Debit Entry
R36	Return of Improper Credit Entry
R37	Source document presented for payment (adjustment entries) (ARC)
R38	Stop payment on source document (adjustment entries)
R39	Improper Source Document
R40	Non Participant in ENR Program
R41	Invalid Transaction Code (ENR only)
R42	Routing Number/Check Digit Error
R43	Invalid DFI Account Number
R44	Invalid Individual ID Number
R45	Invalid Individual Name

R46	Invalid Representative Payee Indicator
R47	Duplicate Enrollment
R50	State Law Prohibits Truncated Checks
R51	Notice not provided/Signature not authentic/ Item altered/Ineligible for conversion
R52	Stop Pay on Item
R53	Item and ACH Entry Presented for Payment
R61	Misrouted Return
R67	Duplicate Return
R68	Untimely Return
R69	Field Errors
R70	Permissible Return Entry Not Accepted
R71	Misrouted Dishonor Return
R72	Untimely Dishonored Return
R73	Timely Original Return
R74	Corrected Return
R75	Original Return not a Duplicate
R76	No Errors Found
R80	Cross-Border Payment Coding Error
R81	Non-Participant in Cross-Border Program
R82	Invalid Foreign Receiving DFI Identification
R83	Foreign Receiving DFI Unable to Settle
R84	Entry Not Processed by OGO (Originating Gateway Operator)

Check 21 Return Codes

These return reason codes are used by the paying Financial Institution from where the item was drawn, when a Check 21 transaction is returned. The returned item was originally processed by OTCnet the return reason code for a particular item is listed on the Debit Voucher Report (SF5515). See Table 2 below for list of Check 21 Return Codes.

Table 4. Check 21 Return Codes

Return Code	Description
A	Not Sufficient Funds
B	Uncollected Funds Hold
C	Stop Payment
D	Closed Account
E	Unable to Locate Account
F	Frozen/Blocked Account
G	Stale Dated
H	Post Dated
I	Endorsement Missing
J	Endorsement Irregular
K	Signature(s) Missing
L	Signature(s) Irregular
M	Non Cash Item
N	Altered/Fictitious Item
O	Unable to Process
P	Item Exceeded Dollar Limit
Q	Not Authorized
R	Branch/Account Sold
S	Refer to Maker
T	Stop Payment Suspect
U	Unusable Image

V	Image Fails Security Check
W	Cannot Determine Account
Y	Duplicate Presentment
Z	Forgery - An affidavit shall be available upon request to the OTCnet database

Items that are processed via Check 21 include all non personal items. Personal items may also be processed via Check 21.

Transaction Status Code Monitoring

This section of Appendix H describes how transaction status codes are applied in OTCnet during forward file and return processing. This section also lists codes that are used and their corresponding descriptions. See the Transaction Status Codes listed in Table 3 below.

Table 5. Transaction Status Codes

Transaction Status Code	Description	System Action
000	Received	In-Process status assigned by Treasury/FMS.
199	Failed	Change status to Failed.
012	Paper Draft	Create an image request.
013	ACH Origination	Does nothing, ignored by system.
412 413	Paper Draft ACH Origination	Change status to Settled. Record the Settlement Date and the Deposit Ticket Number.
001	ACH Redeposit	Change status to Represented.
017	Paper Redeposit Draft	Change to status to Represented.
003 004	ACH Retire Paper Retire	Change status to Retired. Return settlement date is updated
401 417	ACH Redeposit Paper Redeposit Draft	Change status to Settled.

403	ACH Retire	Change status to Retired.
404	Paper Retire	Record the Debit Voucher number. Update Return Settlement Date.

OTCnet Processing Forward Files

- OTCnet forwards the batches for processing to the back end processor to be settled
- The back-end system decides how to settle the items based on the check type of either:
  - Corporate check
  - Consumer POP (customer present)
  - Consumer ARC (customer not present)
  - Back Office – BOC
- Items can be settled as either:
  - ACH – these items are settled electronically and do not require an image
  - Check 21 – these items are settled electronically using a substitute check. They require an image before settlement can occur
  - Paper – these items use the physical check for settlement.

- RPF file is sent. Codes 199, 012 and 013 are sent in this RPF
- Codes 012 and 013 items do not have their status updated but for 012's, an image request is created. 013=ACH origination; 012=Paper Draft.
- 199's are updated with the status code of 'failed'
- A settlement RPF (Return Processing File) is sent the morning after the files were uploaded, usually around 8:30am. Codes 412, 413, and 199 are sent to OTCnet. Items receiving a 412 and 413 code are updated with the status of 'settled'. These items receive a settlement date and a deposit ticket number
- Items receiving a 199 code are failed items and do not receive a settlement date or deposit ticket number
- Settled items are included in the Deposit Ticket Report for that settlement day
- Settlement status is a prediction only – the back-end system will assume that all money can be collected for the items sent in a forward file. This is the end of forward file processing.

OTCnet Returns

- Once settlement occurs, an item can be returned for various reasons, i.e., insufficient funds, account closed, etc.
- A return RPF is sent. This file contains the return reason code. All status codes in the return RPF begin with a zero which indicates 'accepted'. It is NOT in it's final state

- Items with codes 001, 002, 017, 018, & 019 are updated with the status of 'represented' and the date is stored in OTCnet and can be viewed using the CIRA Query 'Show History' button in the 'Rep Effective Date' field.
- If the represented item is not collected within 4 days from the Rep Effective Date, the item status in OTCnet will be updated to a transaction status code of 401or 417
- An ACH item can usually only be represented twice unless specific arrangements are made. Upon the 3rd representment, the item will be retired in OTCnet. Paper items can only be represented once and will retire in OTCnet upon the 2nd representment. Endpoints can also choose to not have items represent in which case an item would just retire
- Codes 017, update the status code to represented and generate an image request
- Items with 003 and 004 are updated with the status of 'retired' and the return settlement date is updated
- Verification records are created for returned items and can be viewed in the verification Query (based on the endpoints visibility filters)
- A 2nd RPF, the 'return settlement' file is then sent. This file does not contain return reason codes. Transaction status codes in this RPF start with the number 4 which indicates that the item has been completed and is in its final state
- Codes 403, 404 and 409 (refer to Table 1) are already in a retired state so the status remains 'retired'. The return settlement date field in the CIRA Query 'Show History' screen are updated and a debit voucher number is created.

Appendix J. OTCnet Security

Purpose

This section will provide best practices for the OTCnet system that will guide Agencies toward Federal Information Security Management Act (FISMA) compliance. This document outlines points from the *NIST Special Publication 800-53*. Each Agency's internal guidelines should take Treasury security best practices into consideration. Please refer to *NIST Special Publication 800-53* for complete text of the 'Recommended Security Controls for Federal Information Systems'.

What is PII?

Personally Identifiable Information (PII) is information about an individual maintained by an agency, including, but not limited to, education, financial transactions, medical history, and criminal or employment history. It includes information which can be used to distinguish or trace an individual's identity such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc *(OMB M-06-19 (July 12, 2006)).*

OTCnet batch information contains PII information. It is therefore critical that this data be secured to prevent unauthorized access to this highly sensitive information.

Access Control

Effects on OTCnet

NIST ***Special Publication 800-53 Guidance***
Organization develops, disseminates, and periodically reviews/updates:
1. A formal documented access control policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal documented procedures to facilitate the implementation of the access control policy and associated risk assessment controls.

- Agencies must identify authorized users of OTCnet and specify access rights/privileges. Access is granted to OTCnet based on a valid need-to-know/need-to-share that is determined by assigned official duties and satisfying all personnel security criteria and intended system usage. Agencies must monitor and remove unnecessary access when users are terminated or transferred and associated accounts need to be removed, or when a user's access changes.
- Agencies enforce separation of duties through assigned access authorizations by establishing appropriate divisions of responsibility and separates duties as needed, to eliminate conflicts of interest in the responsibilities and duties of individuals who have access to the OTCnet system.

- Agencies employ the concept of least privilege for specific duties.
- Agencies enforce a limit of consecutive invalid access attempts by a user. This limit should be no more than three attempts.
- Agencies must review audit records, i.e., activity logs, of the OTCnet system for inappropriate activities in accordance with organizational procedures. Agencies must investigate any unusual information system-related activities and periodically review change to access authorizations. NIST Special Publication 800-92 provides guidance on computer security log management.

In Summary

- Access to the OTCnet should be given to users at the lowest level available that still allow the user to perform their job duties.
- Review separation of duties for users multiple tasks. Separation of duty can be taken a step further by assigning permission to perform voids, batch close/transmission, and batch input to different individuals.
- Ensure that the maximum number of failed login attempts to the OTCnet computer has not been altered to a number higher than 3.
- Review and certify OTCnet users yearly. FMS performs annual certification of users. Local procedures should be established for performing recertification of OTCnet users on each computer. OTCnet Point of Contacts should print out a listing of users and their associated roles/permissions.

Risk Assessment

NIST Special Publication 800-53 Guidance
Agency develops, disseminates, and periodically reviews/updates:
1. A formal documented risk assessment policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal documented procedures to facilitate the implementation of the risk assessment policy and associated risk assessment controls.

Effects on OTCnet

Risk assessment identifies risk through a formal process and makes a conscious decision to accept, mitigate, or avoid that risk. Agencies can request a Business Risk Assessment template that will assist them in their risk assessment of the OTCnet system in their environment. To request the template, contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.

Also, refer to *FIPS Pub 199*, *Standards for Security Categorization of Federal Information and Information Systems*, which can be used to categorize and measure risk of information and information systems.

Personnel Security and Procedures

NIST Special Publication 800-53 Guidance
Organization develops, disseminates, and periodically reviews/updates:
1. A formal documented personnel security policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal documented procedures to facilitate the implementation of the personnel security policy and associated personnel security policy and procedure controls.

Effects on OTCnet

- Assign a risk designation to all positions and establish screening criteria for individuals filling those positions. (NIST Special Publication 800-12 and 5 CFR 731.106(a) and Office of Personnel Management policy and guidance).
- Screen individuals requiring access to the OTCnet system and OTCnet information before authorizing access. (5 CFR 731.106(a) and Office of Personnel Management policy, regulations, and guidance; organizational policy, regulations and guidance; FIPS 201 and Special Publication 800-73 and 800-76; and the criteria established for the risk designation of the assigned position)
- Ensures completion of the appropriate access agreements, i.e., Rules of Behavior, Privacy Statement, Accessibility Statement, and all information security access forms for individuals requiring access to OTCnet before authorizing access.
- Establish personnel security requirements for third-party providers, i.e., service bureaus, contractors, and other organizations providing OTCnet information technology services or network management, and monitor the provider to ensure adequate security. (NIST Special Publication 800-35).
- Establish a formal disciplinary process for individuals that blatantly disregard security procedures. The process can be included as part of the general personnel policies and procedures.
- When employment is terminated, or individuals are reassigned or transferred to other positions within the agency, terminate access to the OTCnet system and to OTCnet information ensure the return of all OTCnet related property, i.e., printouts, flash drives used as secondary storage, etc., and ensure that the appropriate personnel have access to official records created by the terminated employee that are stored on the OTCnet system or paper files.

In Summary

- Assign a risk category or designation to all positions associated to the OTCnet system and screen individuals before granting access to the system.
- Make certain users read and understand the OTCnet 'Rules of Behavior', 'Privacy Statement' and 'Accessibility Statement'.
- Ensure that the necessary information security forms have been completed **(**'OTCnet Security Contact form' which is used to designate the OTCnet Security Contact(s), and the 'OTCnet User Access Request spreadsheet' which is used to request user access to the ELVIS application). Only authorized users can gain access to OTCnet.
- Exiting users should no longer be in possession OTCnet equipment, i.e., access to or possession of the OTCnet computer, USB flash drive, software or printed materials. Make certain that all OTCnet equipment and printed material is available for the new person filling the position by ensuring that the equipment and material has been relinquished by the former employee.
- When an employee quits or changes their position, delete their access to OTCnet.
- Ensure that third-party service providers have adequate security in place with regard to the OTCnet system.
- Establish procedures to follow when an employee fails to follow the security policies and procedures.

Physical and Environmental Protection

NIST Special Publication 800-53 Guidance
Organization develops, disseminates, and periodically reviews/updates:
1. A formal documented physical and environmental protection policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the physical and environmental protection policy and associated physical and environmental protection policy controls.

Agencies should control physical access points (including designated entry/exit points) to facilities containing information systems (except for those areas within the facility that are officially designated as publicly accessible) and verify individual access authorizations before granting access to the facility. The agency also controls access to areas officially designate as publicly accessible, as appropriate, in accordance with the agency's assessment of risk.

Effects on OTCnet

- Agencies control physical access to all OTCnet equipment including the screen display to prevent unauthorized individuals from observing/viewing the screen's display output.
- Agencies develop and keep current lists of personnel with authorized access to the area containing the OTCnet system. Designated authorized individuals within the agency should review and approve access list at least annually. The agency promptly removes personnel no longer requiring access to the area containing the OTCnet system.
- Agencies control physical access to the OTCnet computer by authenticating visitors before authorizing access to the area that houses the OTCnet system in areas that are not designated as publicly accessible.
- Agencies monitor physical access to the OTCnet system to detect and respond to incidents.
- Agencies protect power equipment and power cabling for the OTCnet system from damage and destruction.
- Agencies provide a short-term, uninterruptible power supply to facilitate an orderly shutdown of the OTCnet system in the event of a primary power source loss. The hardware should be obtained through your internal procurement channels. A long term power supply option should also be considered in the event of an extended loss of the primary power source.
- Agencies control OTCnet system-related items, i.e., hardware, firmware, software, when such items are entering and/or exiting the facility; and maintain appropriate records of those items.
- Individuals within the agency should employ appropriate OTCnet security controls at alternate work sites. *(NIST Special Publication 800-46).*
- Agencies are responsible for securing OTCnet scanners, peripheral equipment, checks, and other sensitive information in locked rooms, locked cabinets, or security containers supported by appropriate key control and other physical security controls.
- To the extent that the operational environment allows, OTCnet scanners and check processing should be done in controlled environments such as steel cages, cashier cages, behind glass windows, and within offices where access to the OTCnet system and peripheral equipment can be physically controlled.

In Summary

- Know who has physical access to the area that houses the OTCnet computer.
- Ensure that unauthorized individuals cannot view the computer screen of the OTCnet computer.
- Ensure that the OTCnet hardware and software is secured, controlled, and monitored when entering or exiting the building.

- If, as in the case of military agencies, a ‘down-range’ environment is necessary, ensure that all security controls are in place to secure the equipment at the alternate work site.
- For military agencies and other agencies operating in remote or field endpoints, deploy appropriate physical security and access controls to limit unauthorized access to and unauthorized disclosure of OTCnet processing areas and information.

Contingency Planning

NIST Special Publication 800-53 Guidance
Organization develops, disseminates, and periodically reviews/updates:
1. A formal documented contingency planning policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the contingency planning policy and associated contingency planning policy controls.

The agency develops and implements a contingency plan for the OTCnet system addressing contingency roles, responsibilities, assigned individuals with contact information, and activities associated with restoring the system after a disruption or failure. Designated officials within the agency review and approve the contingency plan and distribute copies of the plan to key contingency personnel (*NIST Special Publication 800-34* provides guidance on contingency planning).

Effects on OTCnet

- Agencies train personnel in their contingency roles and responsibilities with respect to the OTCnet system and provide refresher training.
- Agencies test the contingency plan for the OTCnet system at least on an annual basis to determine the plan’s effectiveness and the agency’s readiness to execute the plan. The test plan results are reviewed by the appropriate officials at the agency who initiate corrective action.
- Agencies review the contingency plan at least annually and revise the plan to address system/organization changes or problems encountered during plan implementation, execution, or testing.
- Agencies identify an alternate storage site and initiates necessary agreements to permit the secured storage of OTCnet backup information which can include storage of backup hardware, i.e., extra scanners, and backup copies of software, etc.
- Agencies identify an alternate processing site and initiates necessary agreements to permit the resumption of the OTCnet system operations for critical mission/business functions within a pre-determined time period, when primary processing capabilities are unavailable. The alternate site should be geographically separated from the primary processing site so as to not be susceptible to the same hazards.

- Agencies identify primary and alternate telecommunications services to support the OTCnet system and initiates necessary agreements to permit the resumption of system operations for critical mission/business functions with a pre-determined timeframe when the primary telecommunications capabilities are unavailable.
- Agencies conduct backups of user-level and system-level OTCnet information and stores backup information at an appropriately secured endpoint. Each agency shall determine the appropriate frequency of these backups. Backup and restoration of this data should also be a part of the contingency plan testing.
- Agencies store backup copies of the operating system and other critical OTCnet software in a separate facility or in a fire-rated container that is not collocated with the operational software.
- Agencies perform backups of the OTCnet hard drive on a regular basis and store the backup in a secured endpoint.
- Agencies employ mechanisms with supporting procedures to allow the OTCnet system to be recovered and reconstituted to the system's original state after a disruption or failure.

In Summary

- Create a contingency plan and keep it current.
- Ensure people are trained to handle a contingency situation.
- Test the contingency plans yearly to ensure that hardware, communication medium, and software is in working order and current.
- Consider having a backup OTCnet computer and OTCnet related hardware, i.e., scanner, secondary storage, etc.
- Consider having OTCnet related hardware and/or software backups also located off premises in a secured endpoint. A backup of the OTCnet hard drive should be performed on a regular basis.
- Extra scanners can be ordered and stored at an alternate site as backups in case of a failure or disruption. For addition information on ordering extra scanners, please contact the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4.
- In the event of a failure or disruption, scanners can be delivered overnight to endpoints within the 48 contiguous states. Delivery will take longer for areas outside of this zone.
- Consider alternate processing sites.

Configuration Management

NIST Special Publication 800-53 Guidance
Organization develops, disseminates, and periodically reviews/updates:
1. A formal documented configuration management policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the configuration management policy and associated contingency planning policy controls.

The agency develops, documents, and maintains a current, baseline configuration of the OTCnet system and an inventory of the system's constituent components.

Effects on OTCnet

- Agencies should keep an inventory of the OTCnet hardware and software. This inventory should include manufacturer, type, serial number, version number, and endpoint (physical and logical within the architecture). This inventory should be kept current and changes should be documented.
- Ensure that OTCnet security settings are defaulted to the most restrictive mode and should not be changed.
- Agencies should restrict access to the configuration information to a select few authorized individuals.

In Summary

- Keep a current, documented listing of all of the settings are set to the recommended defaults as follows
- Only the designated POC's (Point of Contact) or security contacts should be allowed access to the OTCnet SAT.
- The activity log should be regularly reviewed for suspicious activity. Evidence or indicators of increased risks to the OTCnet system and associated information must be responded to with more aggressive audit monitoring, more frequent review of audit logs, and the use of additional monitoring tools as appropriate.

System Maintenance

NIST Special Publication 800-53 Guidance
Organization develops, disseminates, and periodically reviews/updates:
1. A formal documented system maintenance policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the system maintenance policy and associated system maintenance policy controls.

Effects on OTCnet

- The system maintenance policy ensures that the agency schedules, performs, and documents routine preventative and regular maintenance on the OTCnet components in accordance with the manufacturer or vendor specifications and/or agency requirements.
- All maintenance activities are controlled whether the equipment is serviced on site or removed to another endpoint.
- Remove sensitive information from the OTCnet system components (if feasible) when the components must be removed from the facility when repairs are necessary. This can be accomplished by backing up the OTCnet hard drive to another medium such as CDs or an external hard drive then deleting the OTCnet from the computer. When repairs have been complete, the data can then be restored. Secondary storage devices that contain sensitive data, i.e., flash drives, zip disks, CD-ROMs, and smart cards should be removed from the computer prior to servicing and stored in a secure endpoint.
- Agencies approve, control, and monitor the use of maintenance tools used on the OTCnet system, and maintain the tools on an ongoing basis.
- Agencies maintain a list of personnel authorized to perform maintenance on the OTCnet system. Only those authorized personnel should be allowed access to perform maintenance on the system.

In Summary

- Regularly scheduled preventative maintenance should be performed each terminal, i.e., disk optimization tools, virus checking tools, etc., by authorized personnel only. Contact your local IT department for information on the tools authorized for use by your agency.
- If a component needs to be removed for repairs, all sensitive information should be removed. PII may be contained in the form of names, account numbers, social security numbers, etc., within a batch.
- For agencies located in a dusty/sandy environment, OTCnet computer equipment (computers and scanners) should be regularly cleaned with canned air.

System and Information Integrity

NIST Special Publication 800-53 Guidance
Organization develops, disseminates, and periodically reviews/updates:
1. A formal documented system and information integrity policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the system and information integrity policy and associated system and information integrity policy controls.

Effects on OTCnet

- Agencies identify information systems containing proprietary or open source software affected by recently announced software flaws and potential vulnerabilities resulting from those flaws. The agency should promptly install new released security relevant patches, service packs, and hot fixes, and test patches, service packs, and hot fixes for effectiveness and potential side effects on the OTCnet before use. (*NIST Special Publication 800-40* provides guidance on security patch installation)
- Agencies implement malicious code protection on the OTCnet system that includes a capability for automatic updates. Agency employs virus protection mechanisms at critical information system entry and exit points, i.e., firewalls, electronic mail servers, remote-access servers at workstations, servers, or mobile computing devices on the network and uses the virus protection mechanisms to detect and eradicate malicious code, i.e., viruses, worms, Trojan horses that can be transported by email, email attachments, internet access, removable media such as diskettes, CDs or flash drives, or by exploiting vulnerabilities.
- Virus protection mechanisms should be updated whenever new updates are available.
- Agencies employ tools and techniques to monitor events on the OTCnet system, detect attacks, and provide identification of unauthorized use of the system.
- Agencies implement tools to prevent spam and spyware.
- Agencies restrict information input to the OTCnet system to authorized personnel only.
- Agencies check the OTCnet information input for accuracy, completeness, and validity. OTCnet information includes the scanned check data, and all input fields such as the dollar amount and user defined fields.
- The agencies identify and handle error conditions in an expeditious manner.
- The agencies handle and retain output, e.g., reports, check images, etc., from the OTCnet in accordance with policy and operational requirements.

In Summary

- Protection against viruses, spyware and all other forms of malicious code on both the OTCnet computer and all removable media used on the OTCnet system (diskettes, CDs, flash drives) should be in place.
- Although the NIST 800-53 document recommends keeping your computer up to date with the latest security patches, hot fixes and service packs, it is up to each agency to determine the feasibility of installing every patch or fix and installation may need to be considered on a case-by-case basis. Consult your network support staff for more information.
- Regular updates to the virus protection software should be applied.
- Only authorized personnel should have access to the OTCnet system. If using backup personnel to perform OTCnet duties, backups should be issued their own unique login ID and password. Logins and passwords should never be shared under any circumstances.
- Verification practices should be used to ensure accuracy of input.
- To prevent duplicate processing of checks, checks may be hand stamped with 'Electronically Processed' after the transaction is complete and the check has been scanned. The EC6000i and EC7000i scanners can also be setup to automatically stamp the front of the check with the words, 'Electronically Presented', once the transaction is complete.

Media Protection

NIST Special Publication 800-53 Guidance
Organization develops, disseminates, and periodically reviews/updates:
1. A formal documented media protection policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the media protection policy and associated system and information integrity policy controls.

Due to the nature of the transaction information which includes check images, the OTCnet media that stores this information is considered PII and must be secured. The OTCnet media to be protected includes both digital media, i.e., diskettes, external/removable hard drives, LAN drives used for OTCnet data retention/storage, flash/thumb drives, compact disks, digital video disks, and non-digital media, i.e., paper, microfilm and checks not returned to the check writer. This control also applies to portable and mobile computing and communications devices with information storage capability, i.e., notebook computers, personal digital media assistants, and cellular telephones.

Effects on OTCnet

- Agencies ensure that only authorized users have access to OTCnet information in printed form or on digital media removed from the information system.
- Agencies affix external labels to removable OTCnet storage media and OTCnet system output indicating the distribution limitations and handling caveats of the information. Certain media may be exempted from this labeling as long as they remain within a secure environment.
- Agencies physically control and securely store the OTCnet system media, both paper and digital, based on the highest FIPS 199 security category of the information recorded on the media.
- Agencies sanitize OTCnet system digital media using approved equipment techniques and procedures. Sanitization is the process used to remove information from digital media such that information recovery is not possible. (NIST Special Publication 800-36 provides guidance on appropriate sanitization equipments, techniques, and procedures.)
- Agencies sanitize or destroy OTCnet digital media before its disposal or release for reuse, to prevent unauthorized individuals from gaining access to and using information contained on the media. (NIST Special Publication 800-36 provides guidance on appropriate sanitization equipments, techniques, and procedures.)
- Agencies physically control and securely store OTCnet system media within a controlled area.

In Summary

- Only authorized users should have access to printed and digital media used for OTCnet. This means all printouts, hard disks, LAN drives, external hard disks, diskettes, CDs, zip disks, smart cards, and USB flash drives.
- Store and label all removable media (both digital and paper) in a secured endpoint. Labeling could include the restrictions on distributing the media and warnings on handling of the media.
- Properly remove all OTCnet related data prior to destruction or reuse. Information stored on OTCnet's hard drive, secondary storage drive, and printed media may contain personally identifiable information (PII) in the form of names, account numbers, social security numbers, etc. within an OTCnet batch.
- OTCnet paper output such as batch lists, report printouts, and scanned checks not returned to customers contain PII information and must be destroyed by shredding. This type of output should never be thrown away with other office trash without shredding.
- Consider additional encryption protection of the information that is contained on the secondary storage drive. OTCnet provides a minimum level of encryption to the data on the secondary storage drive but additional encryption protection may be used. If additional levels of encryption are used, agencies must ensure that the data can be decrypted in the event that the data needs to be restored using the OTCnet 'Batch

Recover' function. Decryption will typically involve the use of a password. If the additional level of encryption cannot be removed, OTCnet will be unable to read the batch data and the batch recovery function will fail.

Incident Response

NIST ***Special Publication 800-53 Guidance***
Organization develops, disseminates, and periodically reviews/updates:

1. A formal documented incident response policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the incident response policy and associated system and incident response policy controls.

Effects on OTCnet

- Agencies train personnel in their security incident response roles and responsibilities with respect to the OTCnet system and provide refresher training.
- Agencies track and document OTCnet system security incidents on an ongoing basis.

Agencies expeditiously report all OTCnet system security incidents of theft, loss, or data/PII compromise (known or suspected) to the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4, and their own internal authorized security personnel.

In Summary

OTCnet Point-of-Contacts and users should monitor the OTCnet system for possible security incidents and report any suspected incidents to the Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.

Awareness and Training

NIST Special Publication 800-53 Guidance
Organization develops, disseminates, and periodically reviews/updates:
1. A formal documented security awareness and training policy that addresses purpose, scope, roles, responsibilities, and compliance.
2. Formal, documented procedures to facilitate the implementation of the security awareness and training policy and associated security awareness and training policy controls.

Security awareness and training ensures that all users (including managers and senior executives) are exposed to basic information system security awareness materials before authorizing access to OTCnet system and thereafter, at least yearly. Appropriate content of security awareness must be determined and based on the specific requirements of the OTCnet system. The Agency's security awareness program should be consistent with the requirements contained in 5 CFR Part 930.301 and with the guidance in NIST Special Publication 800-50.

Effects on OTCnet

- Users should be familiar with the password requirements.
- Users should be familiar with the OTCnet Security Guidelines.

In Summary

Information that is covered in the OTCnet Security Awareness Training should include:

- Prevent others from watching while passwords are entered. Prevent others from guessing your password - do not use names of persons, places, or things that can be easily identified with you.
- Login IDs and passwords should never be shared.
- If your password has been compromised, it must be changed immediately.
- Unauthorized use of the system must be reported to Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.
- Log off of the system whenever you leave your computer unattended by clicking on the 'Logout' button on the menu or clicking the 'X' at the upper right corner of the screen to prevent unauthorized access to the system.
- Security contacts or Point-of-Contacts (POC) should be kept current. As soon as an agency is aware of a change in personnel, a new person should be assigned the duties of the security contact to take the place of the exiting person. The exiting person's access should be deleted.

- The OTCnet security personnel, or POC's, should be trained on the proper handling of a user and it's associated password. Proper handling includes writing down the password and locking it up. Since the password will need to be changed every 90 calendar days it is important that the written password is updated whenever the password is changed. It should only be available to the POC.
- Users should be familiar with the Rules of Behavior, Privacy Statement, and Accessibility Statement prior to using the system. The Rules of Behavior, Privacy Statement, and Accessibility Statement can be found as links on OTCnet.

Summary

In this chapter, you learned:

- About administrative detail for cost, paperwork, policy, training and customer service
- About password requirements
- How to resolve check Image quality
- How to query within the Central Image Research Archive (CIRA)
- About the Master Verification Database (MVD)
- How to establish check representments
- Procedure for returning equipment
- About check capture return codes
- Guidance for OTCnet Security

In the next chapter you will learn more about RDM Scanners.

Notes

Index

Batch ID....9
Capture Date....10
Check 21....i, 18, 19, 20
Check Capture Administrator....iii
Check Capture Lead Operator....iii
Check Capture Operator....iii
Check Capture Supervisor....iii
Equipment....i, iv, 14
Failed....i, 4, 19
Item Type....7
Master Verification Database....i, iii, iv, 12, 37
MVD Viewer....iii, 5
Password....i, iv, 3
Received....19
Represented....19
Retired....19, 20
Search Criteria Fields....8, 10

EC5000i User Manual

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
01/2009		No changes to this document which is a manufacturer's document	

This manual, the EC5000i series User Manual, is intended for all units (EC50XXi) belonging to the EC5000i family. EC5000i is a trademark of RDM Corporation. All brand names and trademarks appearing in this guide are the property of their respective holders.

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FCC Compliance NOTE: This equipment has been tested and found to comply with the limits for a Class A digital device, pursuant to part 15 of the FCC Rules. These limits are designed to provide reasonable protection against harmful interference when the equipment is operated in a commercial environment. This equipment generates uses and can radiate radio frequency energy and, if not installed and used in accordance with the instruction manual, may cause harmful interference to radio communications. Operation of this equipment in a residential area is likely to cause harmful interference in which case the fuser will be required to correct the interference at his own expense.

If an internal modem is present: The EC5000i is designed to be used on standard device telephone lines. It connects to the telephone line by mean of a standard jack (USOCRJ-11 C). An FCC compliant telephone cord and modular plug are provided with the equipment, which is designed to connect to the telephone network or premises wiring using a Part 68 compliant compatible jack. Connection to telephone company provided coin service is prohibited. Connection to party line service is subject to state tariffs. **Telephone Company Procedures:** The goal of the telephone company is to provide you with the best service it can. In order to do this, it may occasionally be necessary for them to make changes in their equipment, operations or procedures. If these changes might affect your services or the operation of your equipment, the telephone company will give you notice, in writing, to allow you to make any changes necessary to maintain uninterrupted service. In certain circumstances, it may be necessary for the telephone company to request information from you concerning the equipment which you have connected to your telephone line (FCC registration number and ringer equivalence number - REN. See underside of EC5000i unit). In order to assure proper service from the telephone company, the sun of all REN's on each telephone lines should be five or less. In some cases, a sum of five REN's may not useable on a give line. **If Problems Arise:** If any of your telephone equipment is not operating properly, you should immediately remove it from your telephone line, as it may cause harm in the telephone network. If the telephone company notes a problem, they may temporarily discontinue service. When practical, they will notify you in advance of this disconnection. If advance notice is not feasible, your will be notified as soon as possible. When you are notified, you will be given the opportunity to correct the problem and informed of your right to file a complaint with the FCC. Contact your telephone company if you have any questions about your phone line. In the event repairs are ever needed on the EC5000i, they should be performed by RDM Corporation of an authorized representative of RDM Corporation. For information, contact Treasury OTC Support Center at (866)945-7920, or 302-324-6442, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.

Requirements & Recommendations

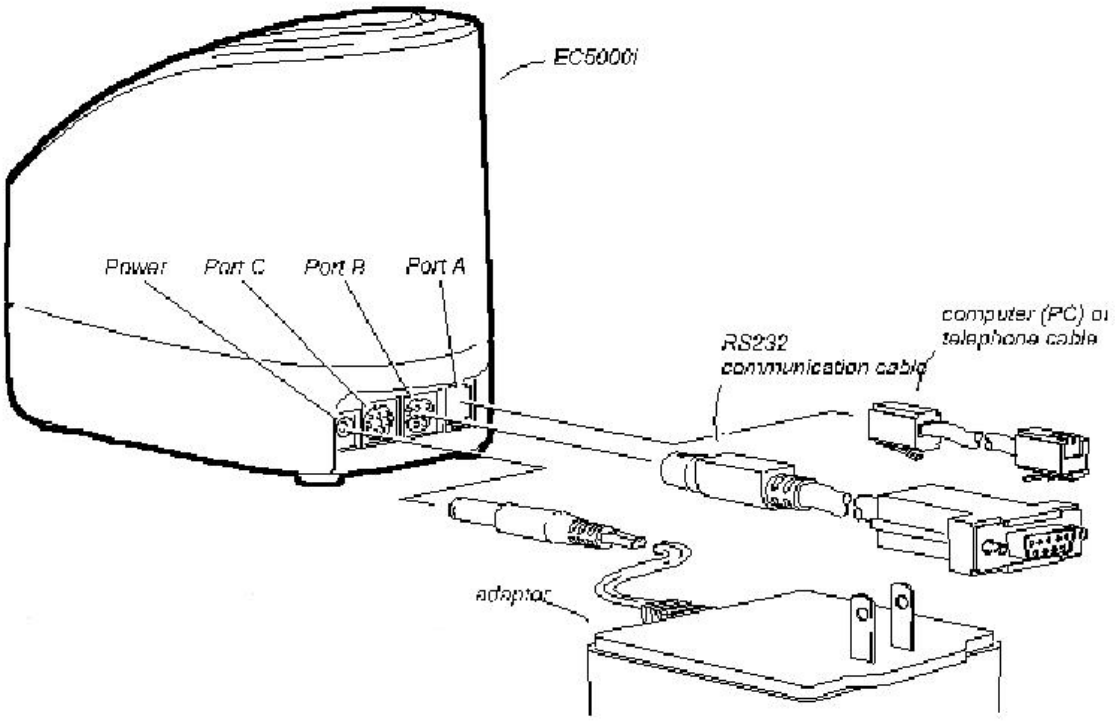
Requirements

- The EC5000i is for indoor use only. Keep the EC5000i dry and avoid placing it in areas of high humidity
- The EC5000i must be used with the power adaptor supplied in the original shipping container, power adaptor model number MD482405. Connect the power adaptor to a 120V AC60 Hz electrical outlet.
- The EC5000i contains hazardous high voltage. Do not remove any cabinetry other than the outer cover referred to in the cleaning section of this guide.

Recommendations

- This unit may be installed and programmed by a distributor (installer) other than the original manufacturer. **Record all distributor contact information** (name, address, phone no ...) for future reference.
- **Save the original box** and packing material. Re-use them if the unit has to be shipped to a new location or returned to the distributor.
- **Position the unit** so that the operator has easy access to the check path and a clear view of the LED. Do not put the unit close to a heat source, in direct sunlight or close to any device that can emit electromagnetic interference such as a computer monitor

EC5000i PORTS



Port Configuration if a Modem is *Not* Present

Port Configuration	EC5000i Connector	Destination Connector
Port A for a Remote Communication Server OR for a Data Capture PC	RJ45 Plug RJ45 Plug	DB- OR RJ45 Plug DB-9
Port B for a Credit Card Authorization terminal OR for an ECR/PC Serial	Mini-DIN 9 Mini-DIN 9	DIN 8 DB-9
Port C for a Printer	Mini-DIN 8	Mini-DIN 8

Port Configuration if a Modem is Present

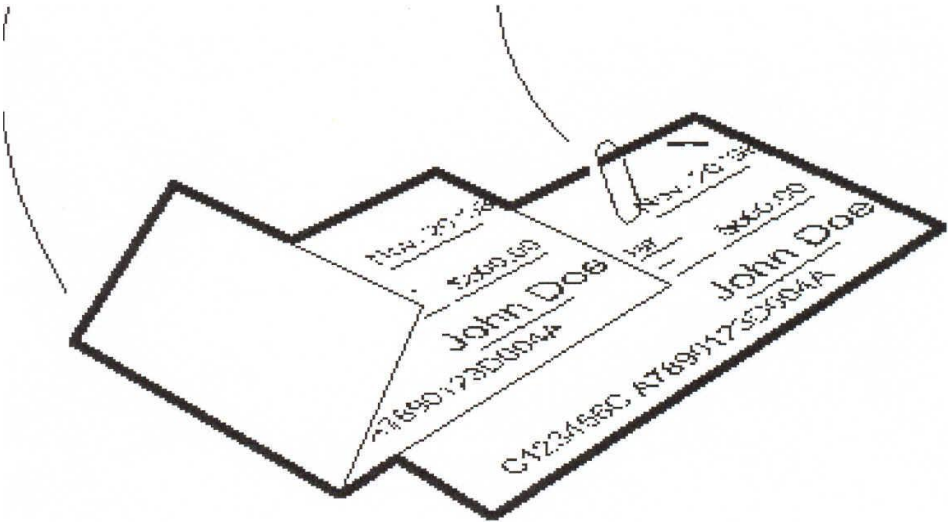
Port Configuration	EC5000i Connector	Destination Connector
Port **A** for a Telephone Line	RJ11 Plug	RJ11 Plug
Port B for a Credit Card Authorization terminal OR for an ECR/PC Serial	Mini-DIN 9 Mini-DIN 9	DIN 8 DB-9
Port **C** for a Printer	Mini-DIN 8	Mini-DIN 8

Preparing Checks

To reduce the possibility of errors and damage to the unit, you should:

- Remove all folds and creases
- Remove any paper clips and staples from the check

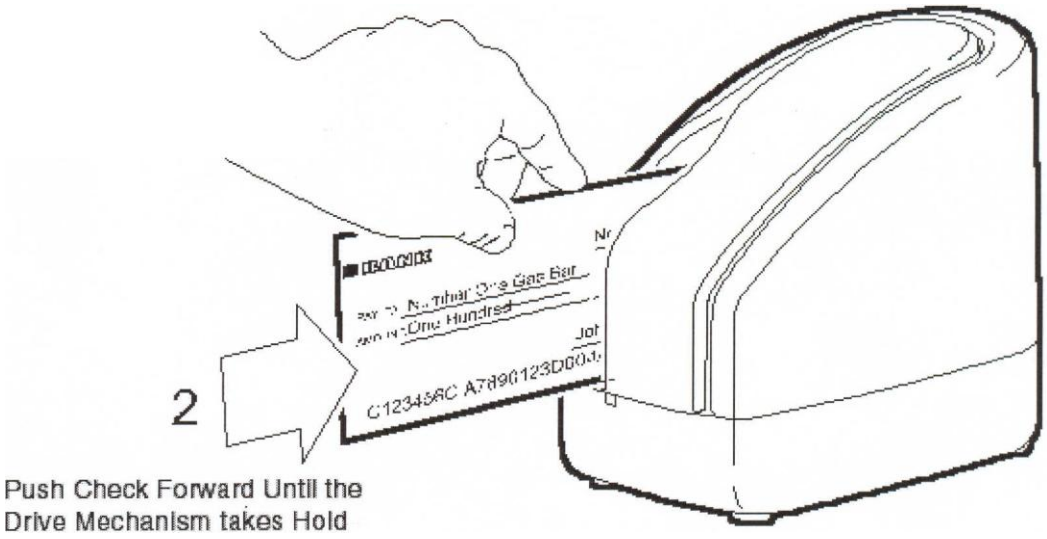
Remove all Folds and Creases Remove Paper Clips and Staples



Feeding Checks

Checks should be fed with the information side facing in and the MICR line down

1
Hold Check Flush on the Track Bottom



Unit Status

The unit's status is shown through a single, multi-state LED (light emitting diode).

- The LED has three colors: green, amber, and red.
- Each color can appear solid or flashing.

LED	Meaning ... what to do
Green Solid	The unit is Ready to accept a check. Insert a check.
Green Flashing	The unit is Busy processing the last check. Wait for the job to finish.
Amber Solid	The unit is Idle. Start the next job with a command from the terminal.
Amber Flashing	The unit is Sending or Receiving information from the terminal. Wait for the job to finish.
Red Solid	The unit Failed during self-test. Check the terminal display for instructions / refer to your local procedures / call the Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.
Red Flashing	An Error occurred during processing. See Tone and Meaning for details. Check the terminal display for instructions / refer to your local procedures/ call the Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com.
Green/Amber/Red Off (repeated)	The unit is Starting up or Performing Diagnostics. Wait for the activity to finish, then check the LED again.

Check Processing/LED Cycle

- The unit is on and idle - the LED is SOLID AMBER
- A command is entered from the terminal to start a transaction - the LED turns to SOLID GREEN
- A check is run through the unit - the LED turns OFF (3-4 sec.) then FLASHES GREEN
- The terminal displays an "Approved" message - the LED returns to SOLID AMBER

Several conditions are also signaled by a pattern of tones in addition to the LED Display

Tone	Meaning
1 Short beep &LED is Flashing Green	The unit was Successful in reading the MICR line.
3 Short beeps & LED is Flashing Red	The unit was NOT Successful in reading the MICR line.
1 Long beep & LED is Flashing Red	An Error occurred during processing or storing of the captured image.

Cleaning

Under normal operating conditions, the EC5000i does not require cleaning, however, in working environments that involve excess dust or smoke, the EC5000i may be cleaned by removing the outer cover.

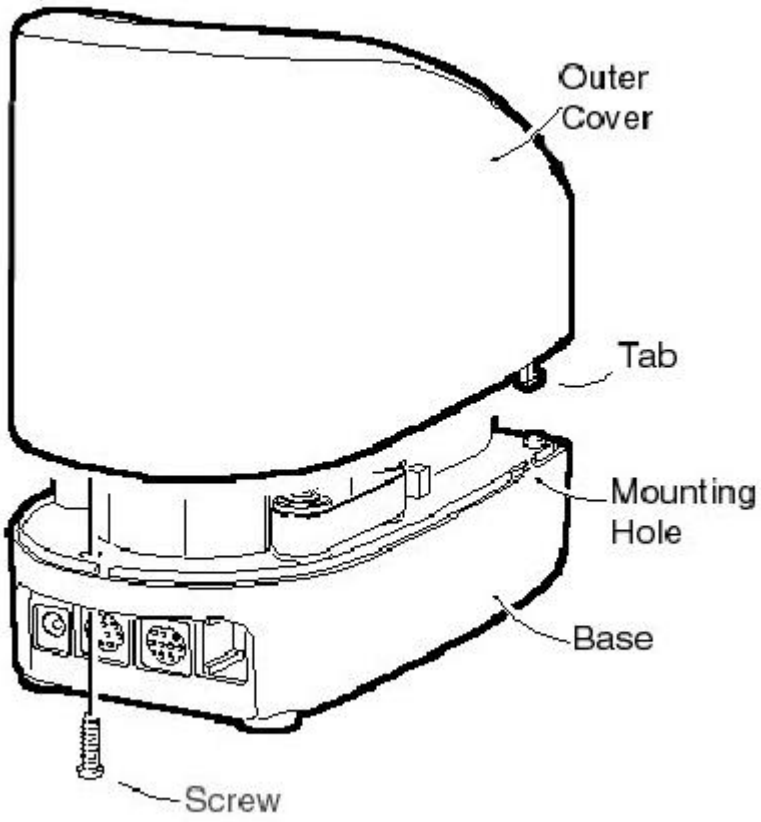
NOTE: Before removing the cover, DISCONNECT all cables.

To remove the outer cover:

- Remove the screw from the back of the unit.
- Push the outer cover towards the back of the unit, about 1/8" (3mm).
- Lift the cover off.

To attach the outer cover:

- Align the tabs on the cover with the mounting holes in the base and push the cover forward into place.
- Insert the screw.



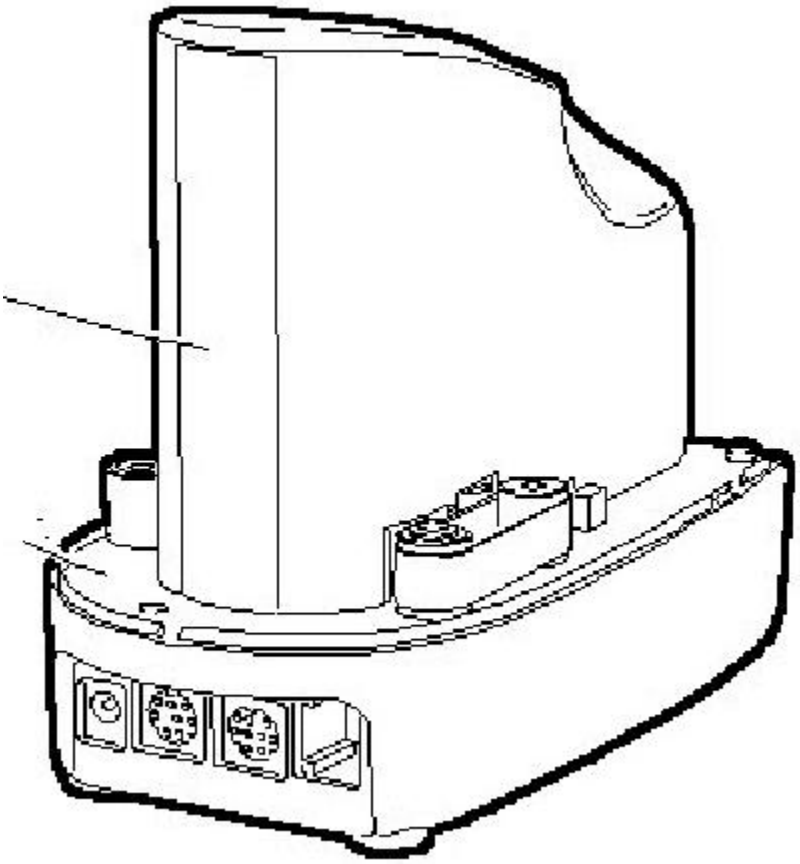
Cleaning

The EC5000i performs best when all working surfaces are clean and the track area is free of foreign material.

Clean the window area with lens cleaning tissue or a soft lint free cloth

Blowout dust from the track area with compressed canned air or with the blow feature on a vacuum cleaner

To clean the **outside cabinetry** of the EC50001, use a damp cloth (and a mild soap if necessary).
CAUTION: Do NOT use solvents or harsh cleaners on the cabinetry. The plastic cabinetry may discolor.



EC5000i Unit Specifications

Unit Size	28 sq, footprint (i,e, 7" long x 4" wide) and 6" high 180 sq, cm footprint (i.e, 17,8 cm long x 10,2 wide) 15,2 cm high
Unit Weight	36 Ounces (1,02 kg)
Unit Orientation	for proper operation, the unit is to be placed on a level, horizontal surface,
Connectors	3 Connectors, A, B, and C A - RJ45 w/o modem, serial interface OR RJ11 w/modem,_modem interface, B - mini DIN 9 pin defaults to terminal connection, C - mini DIN 8 pin defaults to printer interface,
Document Feed	Sensor detects presence of document and starts processing,
Operating Temperature	50 to 104 degrees F (10 to 40 degrees C).
Operating Humidity	20 to 80% relative humidity (non-condensing).

Document/Check Specification

Document Size	Minimum: 4.25" x 2.75" (10.8 cm x 7.0 cm) Nominal: 6" x 2.75" (15.2 cm x 7.0 cm) Maximum: 8.5" x 3.67" (21.6 cm x 9.3 cm)
Document Weight	Weight Range: 20 lb. to 281b.
Font	E13B MICR Character Set

Electrical Power Requirements For Power Adapter

Idle State

0.100 amps at 120Volts AC 60 Hz Input 0.130 amps at 120Volts AC 60 Hz Input

Processing State

Modem Specifications

Supports	V.34bis, V.34 V.F.C, V.32bis, V.32, V.22bis, V.22A/B, V.23, V.21, Bell 212A and 103
Error Correcting	V.42 LAMP, MNP. 2-4 and MNP 10.
Data Compression	V.42bis and MNP 5

Customer Service

If the unit is found to be damaged when delivered or if you have question regarding the opera maintenance of the unit, please contact the Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com

LIMITED WARRANTY: The EC5000i is warranted against defects in materials and workmanship under normal use and service for a period of one year after the date of receipt by you. The entire liability of RDM Corporation (the Corporation), distributors of the EC5000i and manufacturers of auxiliary equipment used with the EC5000i and your exclusive remedy shall be, at the Corporation's option either (a) return of the price paid, or (b) repair or replacement of the EC5000i that does not meet this limited warranty and which is returned to the Corporation with a copy of the proof of purchase.

The limited warranty is void if failure of the EC5000i has resulted from accident, abuse or misapplication. Any replacement EC5000i will be warranted for the remainder of the original warranty period.

The equipment is sold with the understanding that neither the Corporation, such distributors nor such manufacturers will be liable for any damages whatsoever (include, without limitation, direct or indirect damages for personal injury, loss of business profits, business interruption, loss of business information, or any other pecuniary loss) arising out of the use of or inability to use the EC5000i, even if the Corporation, such distributors and/or such manufacturers have been advised of the possibility of such damages. In any case, the entire liability of the Corporation, such distributors and such manufacturers with respect to the EC5000i shall be limited to the amount actually paid by you for the EC5000i.

The Corporation, such distributors and such manufacturers disclaim all other warranties, express or implied, including, without limitation, implied warranties of merchantability and fitness for a particular purpose with regard to the EC5000i and the accompanying written materials.

Although every effort has been made to ensure the accuracy of the information contained in this guide, nor warranty or representation to that effect is made.

EC6000i Gen2 and EC7000i Series Installation Guide (Updated 2-16-06)

This manual, the EC6000i Gen2 and EC7000i Series Installation Guide, is intended for all units belonging to the EC6000i Gen2 and EC7000i family of products.

EC6000i Gen2 is a registered trademark of RDM Corporation. EC7000i, ITMS, RDM, and the RDM logo are all trademarks of RDM Corporation. All other brand names and trademarks appearing in this guide are the property of their respective holders.

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Part Number: 302655 Revision Number: A

Change/Revision History

Date	Section/Chapter	Revision/Change Description	Page/Section Affected
11/2007		No changes to this document which is a manufacturer's document	

Contents

Compliance Statements **4**

Introduction **4**

Requirements **5**

Recommendations **5**

Setting Up the EC6000i Gen2 or EC7000i **6**
A. Choose a Location 6
B. Unpack the Shipping Box 6
C. Inspect the Unit's Features 7
Connection Ports: 9
D. Insert the Franking Acknowledgement Printer Cartridge (Optional) 10
E. Connect to a Telephone Line 12
F. Connect the Power Cord 13

Operating the EC6000i Gen2 or the EC7000i **14**
Preparing Checks 14
Feeding Checks 14
Swiping Magnetic Stripe Cards (Optional) 14
Understanding Status Signals 15

Maintaining the EC6000i Gen2 or EC7000i **16**
Cleaning the Scanner 16
Cleaning the Imager 17

Troubleshooting **18**
Modem Does Not Function 18
Peripheral Device Does Not Respond 18
Check Feeder Does Not Function Properly 19
Card Transactions Do Not Function Properly 20

Specifications **20**

Warranty Information **21**

Compliance Statements

FCC Compliance Statement NOTE: This equipment has been tested and found to comply with the limits for a Class A digital device, pursuant to part 15 of the FCC Rules. These limits are designed to provide reasonable protection against harmful interference when the equipment is operated in a commercial environment. This equipment generates, uses and can radiate radio frequency energy and, if not installed and used in accordance with the instruction manual, may cause harmful interference to radio communications. Operation of this equipment in a residential area is likely to cause harmful interference in which case the user will be required to correct the interference at his or her own expense.

If an internal modem is present: RDM's EC6000i Gen2 and EC7000i are designed to be used on standard device telephone lines. It connects to the telephone line by means of a standard jack (USOC RJ-11C). An FCC compliant telephone cord with modular plug is provided to connect the equipment to the telephone network or premises wiring using a Part 68 compliant compatible jack. Connection to telephone company provided coin service is prohibited. Connection to party line service is subject to state tariffs.

Telephone company procedures: The goal of the telephone company is to provide you with the best service it can. In order to do this, it may occasionally be necessary for them to make changes in their equipment, operations or procedures. If these changes might affect your services or the operation of your equipment, the telephone company will give you notice, in writing, to allow you to make any changes necessary to maintain uninterrupted service. In certain circumstances, it may be necessary for the telephone company to request information from you concerning the equipment that you have connected to your telephone line (FCC registration number and ringer equivalence number – REN. See underside of the EC6000i Gen2 or EC7000i unit). In order to assure proper service from the telephone company, the sum of all REN's on each telephone line should be five or less. In some cases, a sum of five REN's may not be useable on a given line.

If problems arise: If any of your telephone equipment is not operating properly, you should immediately remove it from your telephone line, as it may cause harm in the telephone network. If the telephone company notes a problem, they may temporarily discontinue service. When practical, they will notify you in advance of this disconnection. If advance notice is not feasible, you will be notified as soon as possible. When you are notified, you will be given the opportunity to correct the problem and informed of your right to file a complaint with the FCC. Contact your telephone company if you have any questions about your phone line. In the event repairs are ever needed to the EC6000i Gen2 or EC7000i, they should be performed by RDM Corporation or an authorized representative of RDM Corporation.

For information contact: RDM Corporation, 608 Weber Street North, Waterloo, Ontario, Canada N2V 1K4

Introduction

The EC6000i Gen2 and the EC7000i are cost effective, feature rich, imaging solutions. Utilizing RDM's industry leading progressive MICR method and imaging technology, the EC6000i Gen2

and the EC7000i are ideal for Check Electronification, Check Cashing, and Walk-in Bill Payment applications.

Requirements

- The EC6000i Gen2 and the EC7000i units are for indoor use only. Keep the EC6000i Gen2 and the EC7000i **dry** and avoid areas of high humidity.
- The EC7000i requires a higher current power supply (RDM P/N# 302671). The EC6000i Gen2 can use its supplied power supply or the higher current power supply. See **Specifications** on page 21 for power supply details.
- **Do not remove any cabinetry** other than the areas specified in this guide; removing cabinetry other than the areas specified in this guide will void the warranty.

Recommendations

- This unit may be installed and programmed by a distributor (reseller) other than the original manufacturer. Record all distributor contact information for future reference.
- Save the original box and packing material. Re-use them if the unit must be shipped to a new location.
- Position the unit so that the operator has easy access to the check path and a clear view of the LED. Do not put the unit close to a heat source, in direct sunlight, or close to any device that can emit electromagnetic interference such as a computer monitor or power adapter. Do not use the unit near water, including a sink, swimming pool, or damp basement.

Setting Up the EC6000i Gen2 or EC7000i

To set up the EC6000i Gen2 or EC7000i, follow steps A – F.

A. Choose a Location

Locate your scanner in a place that:

- has a flat surface, such as a countertop or table
- is convenient for the scanner operator
- offers adequate ventilation and protection from elements such as heat, dust, oil or moisture
- is close to a telephone line or network connection (depending on your unit) and power connections.

B. Unpack the Shipping Box

1. Open the top of the box.
2. Remove and unwrap the items.
3. Save the box and wrapping for future use.

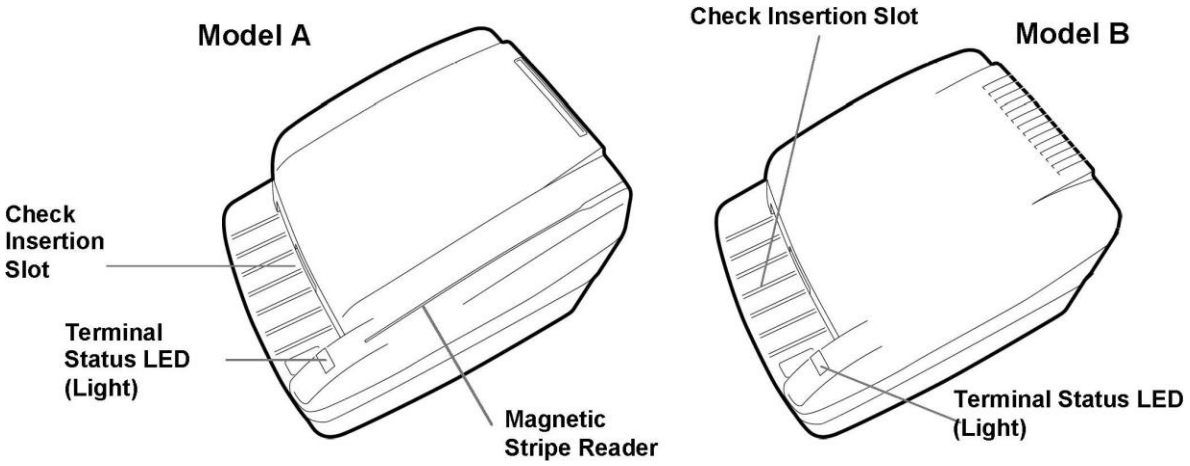
NOTE: Before unpacking the box, examine it for damage received during shipping. If the scanner, or any component, appears damaged, do not use it. File a claim with the shipping company and contact your distributor.

Your EC6000i Gen2 or EC7000i product package includes the following:

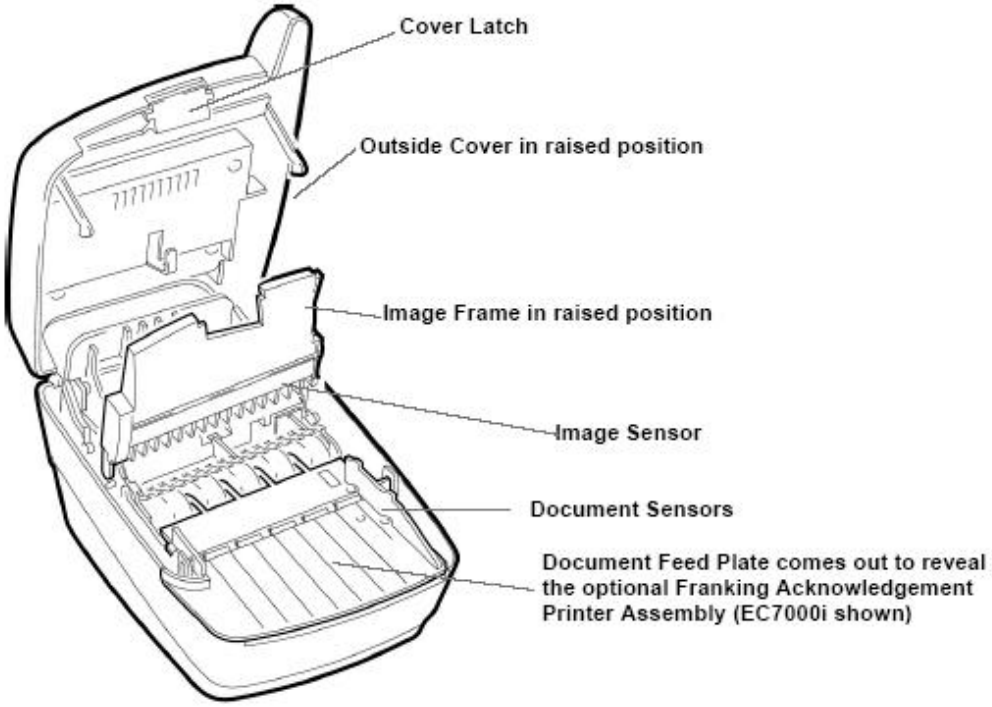
- The EC6000i Gen2 or EC7000i scanner
- Power adapter
- Telephone line (optional with modem)
- Franking Acknowledgement Printer Cartridge (optional)

C. Inspect the Unit's Features

The EC6000i Gen2 and the EC7000i are provided in two models. Model A below has an integrated Magnetic Stripe Reader (MSR). Model B below does not include an MSR. Scanner Model A will be graphically represented throughout this manual for consistency. All other features of the EC6000i Gen2 and EC7000i are available as standard or optional on either model.



Inside Components:



Connection Ports:

RDM's EC6000i Gen2 and EC7000i can be installed in different configurations. These configurations are set and programmed by the distributor (reseller) to suit your unique needs. Follow instructions provided by your distributor (reseller).

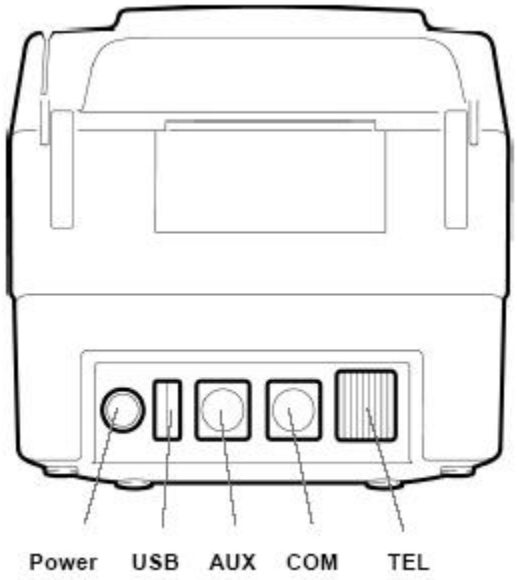
Power: Red: Connect the power adaptor to this port.

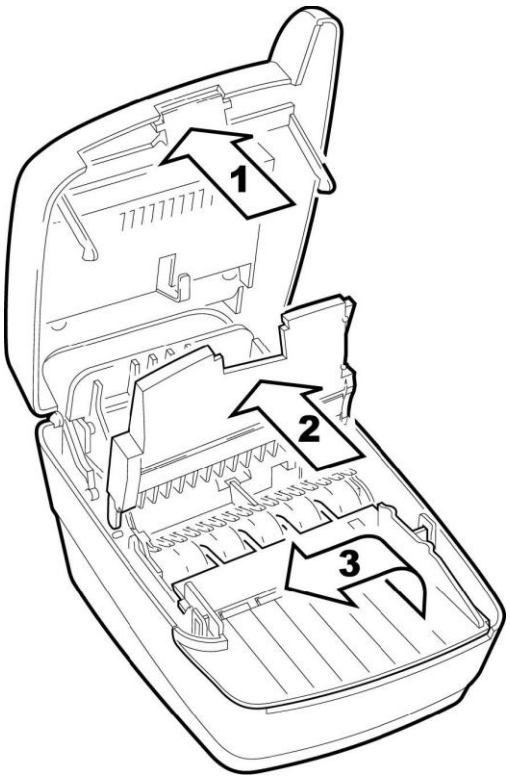
USB: Orange. Use this port to connect to a PC.

AUX: Yellow. Use this port to connect optional peripheral devices such as a pass through printer

COM: Green. Use this port to connect to a PC or terminal

TEL: Purple. This port offers an optional modem, to be connected to a telephone line. Some scanners may not contain a TEL Port.



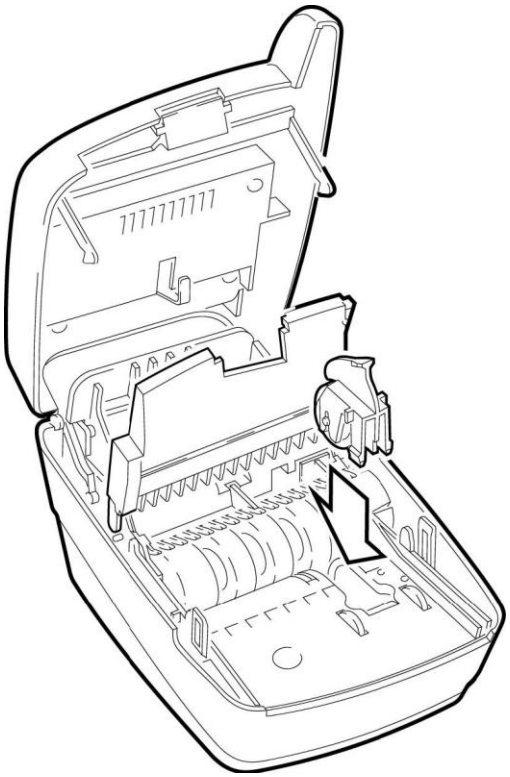


D. Insert the Franking Acknowledgement Printer Cartridge (Optional)

The Franking Acknowledgement Printer Cartridge is an optional ink stamp, which marks the front of each check to read "Electronically Presented" or a customized message. If you have purchased this option, follow these directions to insert the printer cartridge into the unit.

I. Access the Printer Assembly:

1. Press the latch and lift the cover to access the imaging frame.
2. Lift the imaging frame to access the feed plate.
3. Locate the blue tab on the side of the unit.
    a. With your thumb on the outside of the unit, apply enough pressure to pull the blue tab towards the outside of the unit and hold it there.
    b. While holding the blue tab, lift the document feed plate up and to the left or up and to the right to free it from the opposite side.
    c. Remove the plate completely. (continued…)



II. Insert the Franking Acknowledgement Printer Cartridge into the Printer Assembly:

1. Insert the Franking Acknowledgment Printer Cartridge straight into the printer assembly.
2. Apply pressure to the widest part of the flat top until the cartridge clicks into place.
3. Replace the document feed plate by pressing down firmly until it clicks into place.
4. Close the imaging frame.
5. Close the outside cover.

CAUTION:

Avoid contact with the main drive roller to prevent ink transfer to documents. See **Cleaning the Imager** for details.

Ink may be harmful if swallowed.

Avoid contact with eyes.

Damage to the unit or the cartridge resulting from modifying the cartridge is not the responsibility of RDM.

The ink cartridge is intended for single use only.

Not licensed for modifications.

RDM may change product designs, features, or specifications at any time.

E. Connect to a Telephone Line

FOR TEL: If you have purchased the EC6000i Gen2 or the EC7000i with the optional modem…follow these directions to connect the telephone line:

1. Insert the end of the telephone line into the "TEL" port on the back of the scanner.
2. Insert the other end of the telephone line into the telephone company wall jack.

CAUTION: Plug the telephone line into an "outside line" analog phone jack only; the modem will not work if plugged into a PBX digital line.

Test the Telephone Line and Third-Party Line:

1. Call the third-party line to ensure that it is working properly.
2. If the third-party line is not working, contact your local telephone company for repair.
3. If the telephone line works, contact your distributor to have the EC6000i Gen2 or the EC7000i serviced.

F. Connect the Power Cord

1. Insert the round end of the power cord into the "power" port on the back of the scanner.
2. Align the flat side of the power connector facing up.
3. Plug the metal-pronged end of the power cord into an electrical power outlet.
4. When you connect to power, the LED will light up. Your unit is now turned on.

CAUTION: Disconnecting the power source while the terminal is processing a transaction may cause data files stored in the unit's memory to be lost.

NOTE: The EC6000i Gen2 and EC7000i power adaptor contains a locking mechanism that securely connects the power cord to the scanner. To prevent cord damage, do not pull on the cord. Firmly slide back the locking mechanism before disconnecting the power cord from the unit.

Operating the EC6000i Gen2 or the EC7000i

Preparing Checks

To reduce the possibility of errors and damage to the unit, you should:

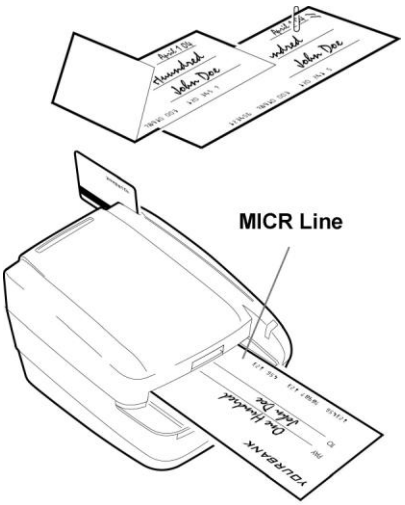
- Remove all folds and creases in the check.
- Remove any paper clips and staples from the check.

Feeding Checks

The EC6000i Gen2 or the EC7000i unit is ready to accept checks when the LED is green. As shown below, insert the check…

- Flush to the left side of the EC6000i Gen2 or the EC7000i.
- Information side facing up.
- MICR line to the inside right.

- Slide the check all the way to the right.
- Gently push the check forward into the scanner until the scanner grasps the check.



Swiping Magnetic Stripe Cards (Optional)

Swipe the credit card with the black, magnetic stripe facing downward, and to the left.

CAUTION: Do not open the cover or otherwise try to access the inside of the unit while it is in the process of scanning a document.

Understanding Status Signals

The EC6000i Gen2 or EC7000i comes equipped with default light and sound signals described below.

Default Light Signals:

The unit's status is shown through a single, multi-state LED (light emitting diode)—the light on the top, front, right-hand side of the unit. The table below details typical status signals and their meanings:

LED	Meaning…What To Do
Green Solid	The unit is **ready** to accept a check…insert a check.
Green Flashing	The unit is **busy**, processing the last check...wait for the job to finish.
Amber Solid	The unit is **idle**...start the next job with a command from the terminal
Amber Flashing	The unit is **sending** or **receiving** information from the terminal...wait.
Red / Green / Amber Flashing	The unit is **starting up** or **performing diagnostics** ...wait.
Red Solid	The unit **failed** during a self-test… check the terminal display for instructions / refer to your local procedures / call you distributor (reseller).
Red Flashing	An **error** occurred during processing. See "Sound Signals" on the next page for details.... check the terminal display for instructions / refer to your local procedures / call your distributor (reseller).
Green with short Red Flashes	The unit has detected excessive electromagnetic interference that may impact MICR reading performance. Move the unit or source of interference until the LED glows solid green

Default Sound Signals:

Several conditions are also signaled by a pattern of tones in addition to the LED display:

Tone	Meaning
One short beep LED is flashing green	The unit was **successful** in reading the MICR line.
Three short beeps LED is flashing red	The unit was **not successful** in reading the MICR line.
One long beep LED is flashing red	An **error** occurred during processing or storing of the captured image.

A Typical Check Processing / LED Cycle:

1. The unit is on and idle…the LED is **Solid Amber**.

2. The LED turns to **Solid Green** when the scanner is ready to accept a check.

3. A check is run through the unit…the LED turns OFF (3-4 seconds) then **Flashes Green**. The unit emits a short "beep" sound.

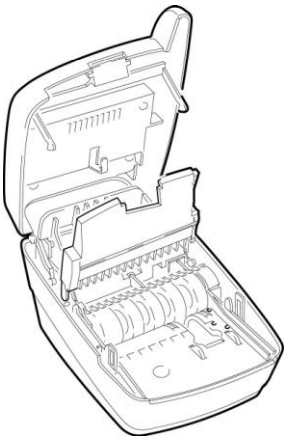
4. The LED returns to **Solid Amber** when the transaction is complete.

Maintaining the EC6000i Gen2 or EC7000i

The EC6000i Gen2 or EC7000i performs best when all working surfaces are clean and free of foreign material.

Cleaning the Scanner

CAUTION:
- Prior to cleaning, always disconnect the power.
- Solvents or harsh cleaners may damage or discolor the cabinetry.



To clean the outside cabinetry: Use a damp cloth and mild soap.

To clean the inside of the unit: To remove dust and debris inside the unit, open it by following the steps below. Use a dusting brush designed for use on electronic equipment, or use a compressed air duster. To clean the inside:

1. Press the latch and lift the cover to access the imaging frame.

2. Lift the imaging frame to access the document feed plate.

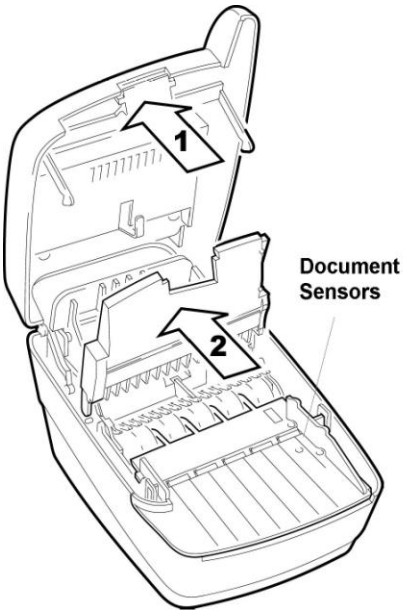
3. Locate the blue tab on the side of the unit. With your thumb positioned on the outside of the unit, apply enough pressure to pull the blue tab towards the outside of the unit and hold it there.

4. While holding the blue tab, lift the document feed plate up and to the left or up and from the right to free it from the opposite side.

5. Remove the plate.

6. Ensure that the black fingers on the baffle move freely (EC7000i only).

Cleaning the Imager



Occasionally, it may be necessary to clean the image sensors and remove dust or debris from the interior of the EC6000i Gen2 or the EC7000i.

To locate and access the document sensors, follow the instructions below.

1. Press the latch and lift the cover to access the imaging frame.

2. Lift imaging frame to access the document sensors.

3. Use a lens cleaning tissue or a damp lint-free cloth:

– to remove any ink or dust from the document sensors.

– to remove any ink or dust from the main drive roller.

Troubleshooting

In the course of everyday operations, you may encounter minor malfunctions in the EC6000i Gen2 or the EC7000i unit. Before calling for service, review the troubleshooting steps below.

Modem Does Not Function

1. Examine the telephone line cord and all telephone connections to ensure that they are still connected properly.

2. Ensure the telephone line is working by removing the connection from the EC6000i Gen2 or the EC7000i and connecting it to a telephone base unit.

3. If the telephone line is not working, contact your local telephone company for repair.

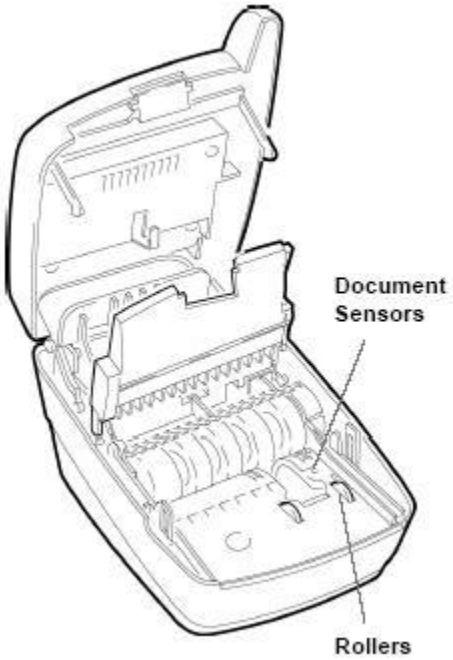
Peripheral Device Does Not Respond

1. Ensure that the scanner's cable is still properly connected to the correct port on the back of the unit (according to instructions provided by your distributor).

2. If the problem persists, contact your distributor.

3. Ensure that the correct power adaptor is connected to the unit and change adaptors if necessary.

Check Feeder Does Not Function Properly



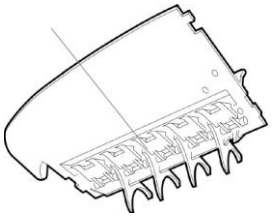
1. Press the latch and lift the cover to access the imaging frame.

Black Rollers

2. Lift the imaging frame to access the document feed plate.

Fingers

3. Clear any paper or debris from the imaging frame and document feed plate.



4. Ensure that the black fingers on the baffle move freely (EC7000i only).

5. Use a lens cleaning tissue or a damp lint-free cloth to remove any ink or dust from the document sensors.

6. Ensure that the rollers under the baffle are clean (EC7000i only).

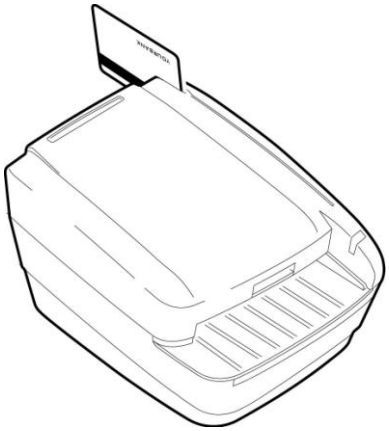
7. Re-close the imaging frame and cover.

Card Transactions Do Not Function Properly

Test the Card Swipe Mechanism:

1. Ensure that you are swiping the card properly: The black, magnetic stripe on the back of the card must face downward and to the left.

2. Try using another card to ensure the first card was not defective.



Specifications

EC6000i Gen2 and EC7000i Specifications	
Unit Size	**Without MSR** 10.2” long x 6.2”wide x 4.8” high 22.5 cm long x 15.5 cm wide x 12 cm high **With MSR** 10.2” long x 6.2”wide x 5.3” high 22.5 cm long x 15.5 cm wide x 13.5 cm high
Unit Weight	EC6000i Gen2: 3.1lbs. / 1.4 Kg EC7000i: 3.4 lbs. / 1.5 Kg
Unit Orientation	For proper operation, place unit on a level, horizontal surface.
EC6000i Gen2 and EC7000i Connectors	**Power**: Red. Mini-DIN 3-pin. **USB**: Orange. USB-A. (1.1) **AUX**: Yellow. Mini-DIN 8-pin. **COM**: Green. Mini-DIN 9-pin. **TEL**: Purple. RJ11 plug. Modem (optional).

Environmental	
Operating Temperature	32 to 104 degrees F (0 to 40 degrees C).

Operating Humidity	10 to 85% relative humidity (non-condensing).
Document Specifications	
Document Size and Weight	Nominal: 2.16” W x 4.4” L (5.5 cm x 11.2 cm) Maximum: 4” W x 9” L (10.16 cm x 22.86 cm) Weight Range: 8 lb to 100 lb (thermal paper to business card stock)
Font	E13B MICR Character Set Alphanumeric OCR A and B font recognition (optional)
Electrical Power Requirements for Power Adapter	
	Use an RDM-supplied power adaptor.
EC6000i Gen2 Power Supply (RDM P/N # 302493)	Input: 120V 60Hz 0.4A Output: 24VDC 0.5A
EC7000i Power Supply (RDM P/N #302671)	Input: 100-240VAC, 50-60Hz 1.2A Output: 24VDC 1.5A

22

Optional Modem Specifications	
Supports	V.34bis, V.34 V.F.C, V.32bis, V.32, V.22bis, V.22A/B, V.23, V.21, Bell 212A and 103
Error Correction	V.42 LAPM and MNP 2-4
Data Compression	V.42bis and MNP 5
(Optional) Magnetic Stripe Reader (MSR) Specifications	
MSR Specifications	3 track, bi-directional

Warranty Information

LIMITED WARRANTY:

The EC6000i Gen2 and EC7000i are warranted against defects in materials and workmanship under normal use and service for a period of one year after the date of receipt by you. This warranty is extended only to the original purchaser.

The entire liability of RDM Corporation (the Corporation), distributors of the EC6000i Gen2 and EC7000i and manufacturers of auxiliary equipment used with the EC7000i and your exclusive remedy shall be, at the Corporation’s option either (a) return of the price paid, or (b) repair or replacement of the EC7000i that does not meet this limited warranty and which is returned to the Corporation with a purchase receipt or other proof of date of original purchase which will be required in order to exercise your rights under this warranty.

The limited warranty is void if failure of the EC6000i Gen2 or EC7000i has resulted from accident, abuse or misapplication. Any replacement of the EC6000i Gen2 or the EC7000i will be warranted for the remainder of the original warranty period.

The equipment is sold with the understanding that neither the Corporation, such distributors nor such manufacturers will be liable for any damages whatsoever (including, without limitation, direct or indirect damages for personal injury, loss of business profits, business interruption, loss of business information, or any other pecuniary loss) arising out of the use of or inability to use the EC6000i Gen2 or the EC7000i, even if the Corporation, such distributors and/or such manufacturers have been advised of the possibility of such damages.

In any case, the entire liability of the Corporation, such distributors and such manufacturers with respect to the EC6000i Gen2 or the EC7000i shall be limited to the amount actually paid by you for the EC6000i Gen2 or the EC7000i.

The Corporation, such distributors and such manufacturers disclaim all other warranties, express or implied, including, without limitation, implied warranties of merchantability and fitness for a particular purpose with regard to the EC6000i Gen2 or the EC7000i and the accompanying written materials.

Although every effort has been made to ensure the accuracy of the information contained in this guide, no warranty or representation to that effect is made.
Due to product improvements, specifications are subject to change without notice.

WARRANTY SPECIFICS:

This warranty only covers failures due to defects in materials or workmanship, which occur during normal use. It does not cover the following:

-Damage, which occurs in shipment,
-Failures which are caused by products not supplied by RDM or failures which result from accident, misuse, abuse, neglect, excessive dirt or dust caused by lack of preventive maintenance measures, mishandling, misapplication, alteration or modification; service by anyone other than RDM, or damage that is attributable to acts of nature including but not limited to:
.- Flood, lightening, power surges or static electricity, water damage, falls, theft, or vandalism,

.- Spillage of liquid or objects that have fallen into the equipment,
.- Equipment that has been exposed to excessive heat or unstable environmental conditions,
.- Consumables such as Franking Acknowledgement Printer Cartridge or Franker Assembly, or other EC6000i Gen2 or EC7000i consumables or accessories such as cables.

RDM's EC6000i Gen2 or EC7000i units with problems found to be caused by incorrectly set configuration parameters (IRN #, Owner Code, Merchant ID, etc.) are not considered defective and will not be serviced under warranty.

Warranty is void if any of the external case of the unit has been opened or removed or the unit has, in RDM's opinion, been damaged through misuse or improper care.

Units returned to RDM for warranty repair will be re-configured with factory defaults and returned to customers. All stored images in the scanner will be cleared. Customers will have the option of having the images uploaded to RDM's Image & Transaction Management System (ITMS) for archiving or e-mailed to them prior to being cleared from the scanner.

In the event repairs are ever needed on the scanner, they should be performed by RDM Corporation or an authorized representative of RDM Corporation (by going through the Treasury OTC Support Center at 302-324-6442, or (866)945-7920, or military DSN at 510-428-6824, option 1, option 2, option 4 or via email at FMS.OTCChannel@citi.com

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Part Number: 302655 Revision Number: A

Waterloo, Ontario Canada

OTCnet℠

Deposits Made Simple

Chapter 12: Panini Scanner Appendix

OTCnet Participant User Guide

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Advanced Solutions
for Document Processing

Panini Vision X
Operator Manual

CONTENTS

0. Preface

1. General

1.1 Audience
1.2 Safety Precautions
1.3 If the Machine is Damaged

2. Learning about the Panini Vision X

2.1 Packaging List
2.2 External Parts Description
2.3 Internal Parts Description

3. Operating your Panini Vision X

3.1 Document Support Installation
3.2 Extension Plate Installation
3.3 Power Cables Connection
3.4 USB 2 Cable Connection
3.5 HP C6602A Ink-Jet Cartridge Installation
3.6 Pocket Length Adjustment

4. Getting started

4.1 Status Lights
4.2 How to Prepare and Load Checks
4.3 Clearing Jams

5. Maintenance

5.1 Cleaning the Transport
5.2 Cleaning the Contact Image Sensors
5.3 Cleaning the HP C6602A Ink-Jet cartridge
5.4 Cleaning Photocells Detector
5.5 Replacing the Feeder and Separator Rollers
5.6 Cleaning the Reading Transport Belt
5.7 Install the External Covers

6. Specifications

6.1 Technical specifications of the Panini Vision X
6.2 Technical specifications of the PC

7. Vision X SD Addendum

8. Vision X AGP Addendum

9. Vision X P Addendum

10. Multilingual WEEE Disposal Procedure and Safety Precautions

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PANINI, Vision X, Vision API, ICR Vision and MICR Plus are trademarks or registered trademarks of Panini SpA.

The mark CE affixed to the product certifies that the product satisfies the basic quality requirements.

The Panini Vision X is also UL 950 compliant

NOTE: This equipment has been tested and found to comply with the limits for a Class A digital device, pursuant to Part 15 of the FCC Rules. These limits are designed to provide reasonable protection against harmful interference when the equipment is operated in a commercial environment. This equipment generates, uses, and can radiate radio frequency energy and, if not installed and used in accordance with the instruction manual, may cause harmful interference to radio communications. Operation of this equipment in a residential area is likely to cause harmful interference in which case the user will be required to correct the interference at his own expense.

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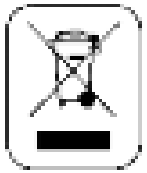
Proper Disposal of WEEE

FOR COUNTRIES IN THE EUROPEAN UNION (EU)

The European Commission of the European Union has determined that electrical and electronic equipment on the market today contain parts and components that may be properly reused or recycled to reduce quantities of materials ultimately disposed in landfills and other disposal arenas. To address this determination, waste electrical and electronic equipment (WEEE) should not be collected or disposed with unsorted waste from private households or businesses. Rather, it must be collected separately. Dumping of these devices at unequipped and unauthorized places may have hazardous effects on health and environment.Offenders will be subjected to the penalties and measures laid down by the law.

To that end, Panini products are appropriately marked with the European Union WEEE Directive's crossed-out dustbin symbol to indicate the requirement for separate collection of electrical and electronic equipment put on the market after August 13, 2005, according to the WEEE directive 2002/96/EC (and subsequent amendments) and your national laws.



To dispose of our devices correctly:

- Contact the Local Authorities or local distributor, who will give you the practical information you need and the instructions for handling the waste correctly, for example: location and times of the waste collection centres,etc.
- When you purchase a new device of ours, give a used device similar to the one purchased to our distributor for disposal.

FOR OTHER COUNTRIES (NOT IN THE EU)

The treatment, collection, recycling and disposal of electric and electronic devices will be carried out in accordance with the laws in force in the country in question.

0. Preface

Here is an overview of the manual layout:

Chapter 1: "General" introduces you to all the general information regarding the manual or the Panini Vision X.

Chapter 2: "Learning about Panini Vision X" introduces you to all the major components of your machine.

Chapter 3: "Operating your Panini Vision X" describes simple installation procedures.

Chapter 4: "Getting started" explains how to operate the Vision X.

Chapter 5: "Maintenance" describes how to solve problems that you may encounter using this machine.

Chapter 6: "Specifications" lists the main functions of the Vision X and the features of the PC.

0. Preface

Chapter 7: "Vision X SD Addendum"

Chapter 8: "Vision X AGP Addendum"

Chapter 9: "Vision X P Addendum"

Chapter 10: "Multilingual WEEE Disposal Procedure and Safety Precautions" explains how to dispose the Vision X in 12 languages

1. General

Congratulations on your selection of the Panini Vision X!

The Panini Vision X is the next generation check scanning platform designed specifically for distributed check capture.

With a small footprint, sleek design and quiet operation, the Panini Vision X series is the ideal choice for a wide array of applications such as: Teller Window, Back Counter, Commercial Deposits, Microfilm Replacement, Cash Vault, Brokerage Houses, Accounts Receivable Conversion (ARC), just to name a few.

The Panini Vision X incorporates the latest, state-of-the-art technology and the latest standards for check processing in the marketplace. It is characterized by its ease of use and scalability.

A unique, patent-protected 3-mode feeder can be found in the Panini Vision X, allowing for single item feeding, up to 50 items batch feeding or up to 100 items batch insertion.

Panini Vision X image capture capabilities have been optimized in order to guarantee image integrity and perfect data readability despite variations in documents processed, operational skills, environmental and usage conditions.

MICR reading technology available with the Panini Vision X is comparable to the larger and faster reader sorter, thanks to the Panini MICR Plus™ technology.

Taking advantage of the most up to date technology, the Panini Vision X connects to computers via USB2.0 interface, allowing for fast data transfer at no additional cost.

A rear Ink-Jet endorser can also be found on the Panini Vision X.

The Panini Vision API is standard on the Vision X, guaranteeing easy and reliable software integration.

Finally, the Panini Vision X has been designed specifically to allow for entire track accessibility, including scanner area, for easy intervention and for maintenance purposes.

1.1 Audience

This manual is written primarily for personnel who process checks or other documents.

1.2 Safety Precautions

Before you begin operating or servicing your Vision X as instructed in this manual, please make sure you read and understand these important safety instructions.

- Dress safely. Do not wear loose clothing, long hair or jewelry that can become entangled in moving parts.
- Do not allow anything to rest on the power cord. Do not locate the Vision X where people may walk on the cord.
- Always unplug the Vision X before cleaning.
- Do not attempt to service or repair the Vision X, except as instructed elsewhere in this manual.
- Attempting to service or repair the external power supply of the Vision X may expose you to dangerous voltage points or other risks.
- Refer all servicing to qualified service personnel.

1.3 If the Machine is Damaged

Unplug the Vision X from the wall outlet and refer servicing to qualified personnel under the following conditions:

- If the power cord is damaged or frayed.
- If liquid has been spilled into the product.
- If the equipment has been exposed to rain or water.
- If the equipment does not operate normally when the operating instructions are followed.
- If the equipment has been dropped or damaged.
- If the equipment exhibits a distinct change in performance, indicating a need for service.

Adjust only those controls and replace only those items that are covered by the instructions in this manual. If you attempt to make adjustments not covered in this manual, you may damage the equipment and void the warranty.
Unauthorized adjustments or repairs may result in the need for extensive work by a qualified technician to return the equipment to its proper working condition.

2. Learning About the Panini Vision X

The Panini Vision X is a compact, easy-to-use and quiet scanner.
The Panini Vision X automatically scans the front and/or rear of checks while simultaneously capturing the Magnetic Ink Character Recognition (MICR) code line. An optional Ink-Jet endorser prints alphanumeric characters on the rear of items. Any of the Windows standard fonts can be used for printing endorsements.
The Panini Vision X is connected to a PC via a USB2.0 interface.

2.1 Packaging List

The Panini Vision X package includes:
- Operator Manual (1)
- Accessories box (2)*
- Panini Vision X scanner unit (3)
- Power cable (4)

(*) The accessories box contains:

- Feeder Extension
- Extension plate
- Ink-Jet Cartridge HP C6602A
  (Panini P/N: CA-00138-00)
  Cartridge not included with No Ink Jet (NJ) versions
- Ink-Jet Plastic Lever (adapter for HP 51604A cartridge)
- USB 2 Cable
- Power Supply

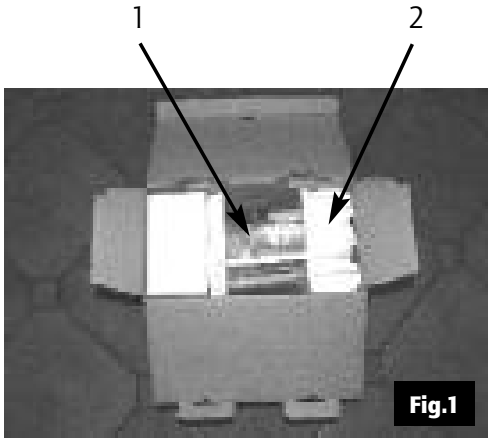


Fig.1

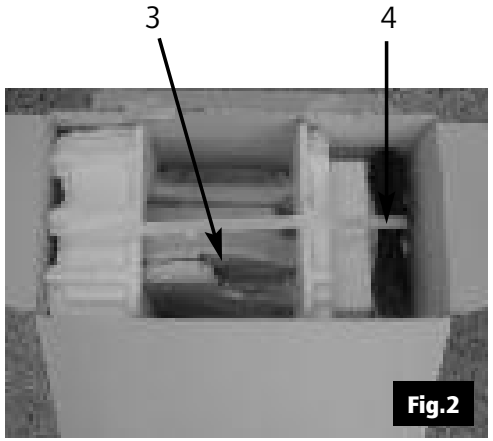


Fig.2

Removing the Panini Vision X from the Packaging

1. Remove the Accessories box, the operator manual and the power cable out of the packaging.
2. Holding the packaging down with one hand, lift the Vision X together with the packing materials making use of the plastic handle (Fig.3).

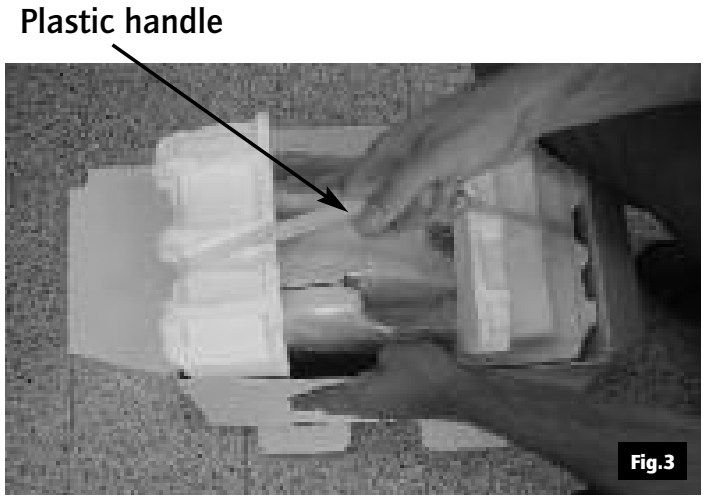


Fig.3

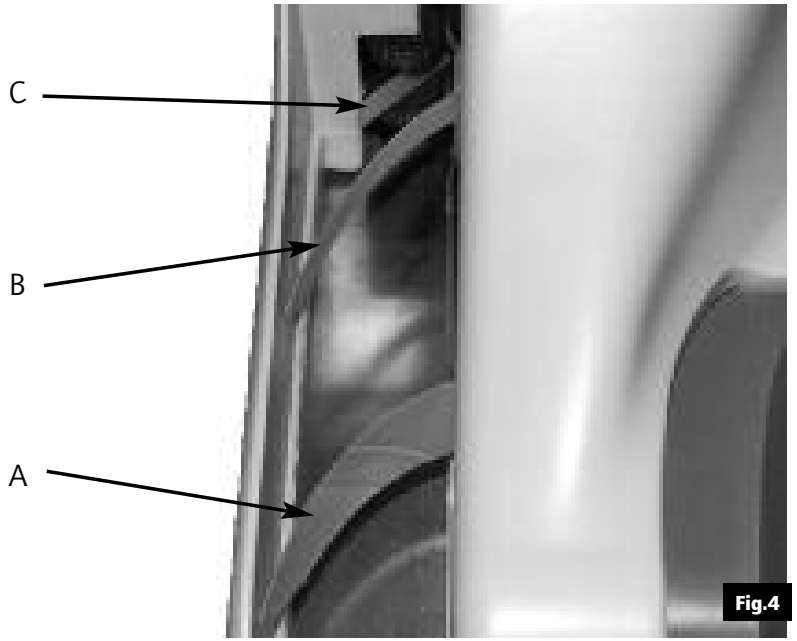


Fig.4

Attention:
- **Don't use the plastic handle to carry the Vision X from one place to another. Use it only to extract the device from its packaging.**
- **During unpackaging, do not remove or pull the Mylar blades A, B and C (see Fig.4).**

2.2 External Parts Description

This section describes the major components of the Panini Vision X.
The component names introduced here and shown in the figures are used throughout this manual.

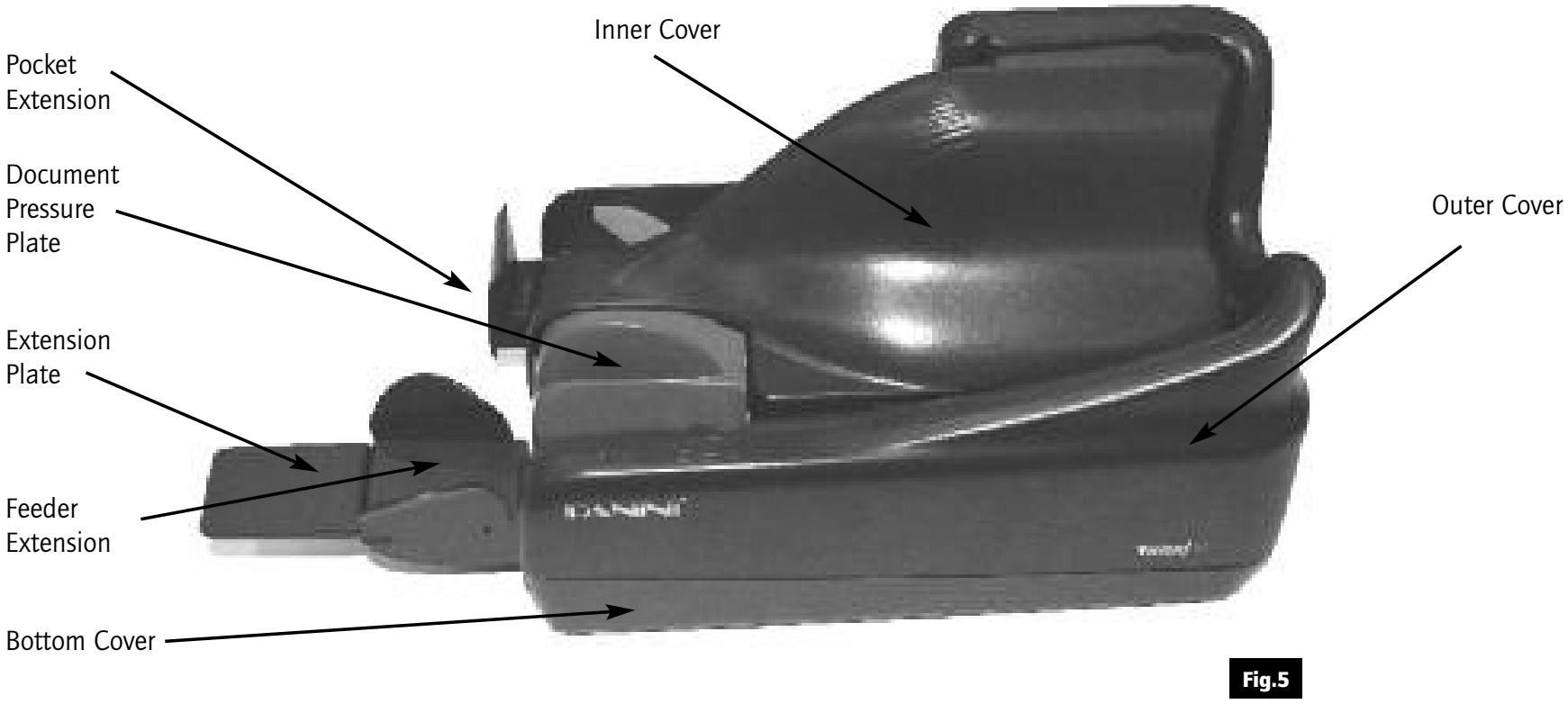


Fig.5

2.3 Internal Parts Description

1 Document Pressure Plate
2 LED board
3 Feeder Roller
4 Feeder Sensor
5 Separator Roller
6 Rear Separator Roller
7 Pre-magnetization Head
8 Synchronization Sensor
9 MICR Reading Head
10 "U" Track Wall
11 Transport Rollers
12 Ink-Jet Cartridge Cradle
13 Front Image Camera
14 Rear Image Camera
15 Pocket sensor
16 Transport Belt
17 Interlock Board
18 Feeder Motor

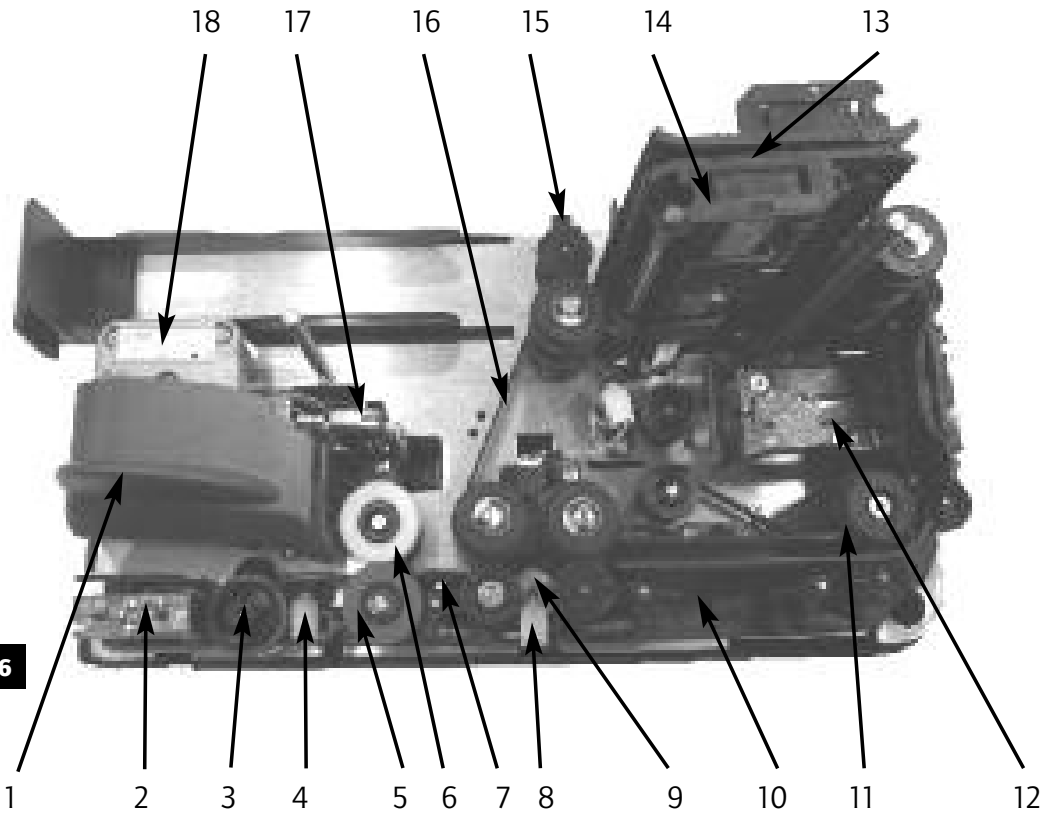


Fig.6

3. Operating your Panini Vision X

3.1 Document Support Installation

Insert the Feeder Extension in the slot uncovered by pushing back the Document Pressure Plate.
Installation is correct if the Feeder Extension is at the same level of the entrance of the scanner platform.

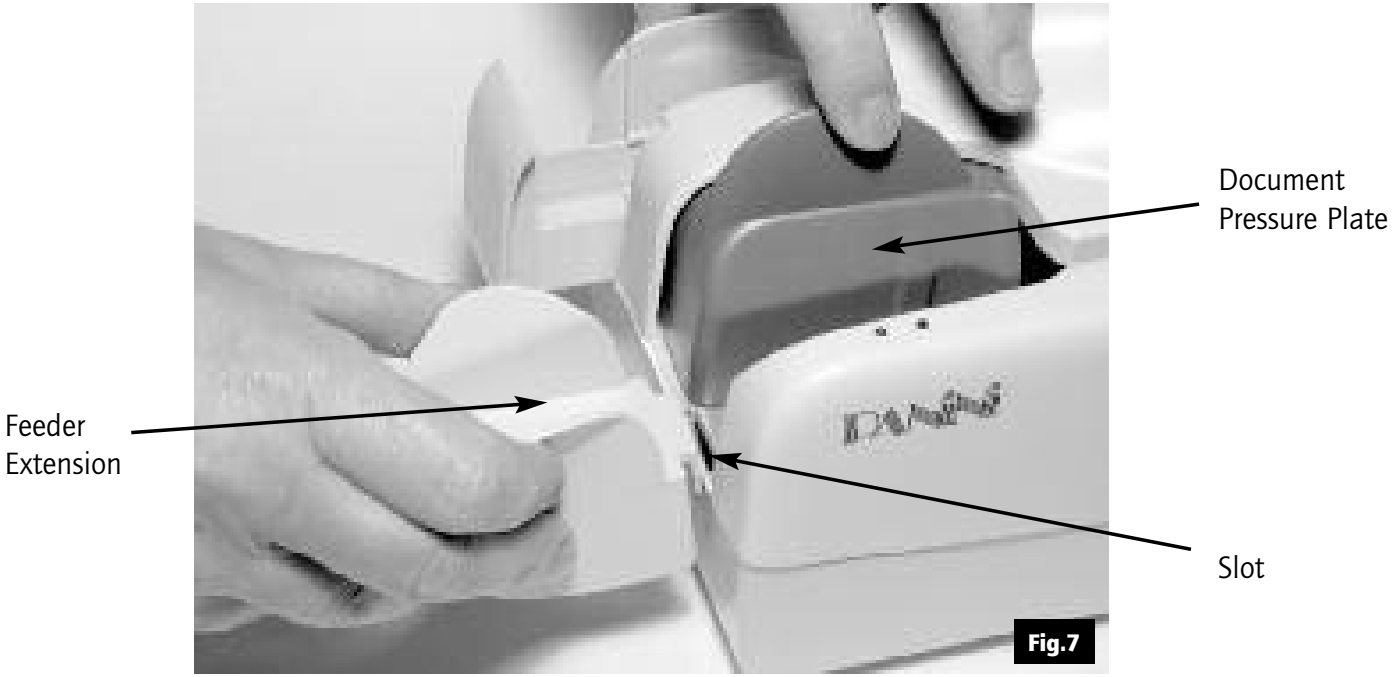


Fig.7

3.2 Extension Plate Installation

The feeder extension is designed to support all documents anticipated to be processed by the Vision X. Markets or applications that process a large number of long documents (longer than 8 inches) may find it necessary to apply the optional extension plate for better document support, reducing the risk of image skewing, MICR rejects, etc. Assembly is made by sliding the extension plate, face side up, along the bottom side of the feeder extension into the support notches until the plate snaps into place (Fig.8). The lock tabs should securely fit into the round holes and the short and long tabs should be fully inserted into the support notches (Fig.9).

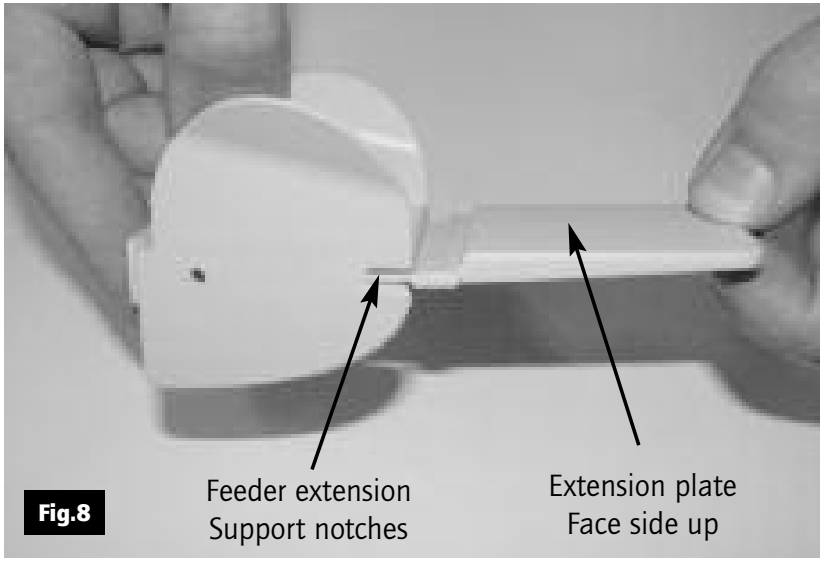


Fig.8

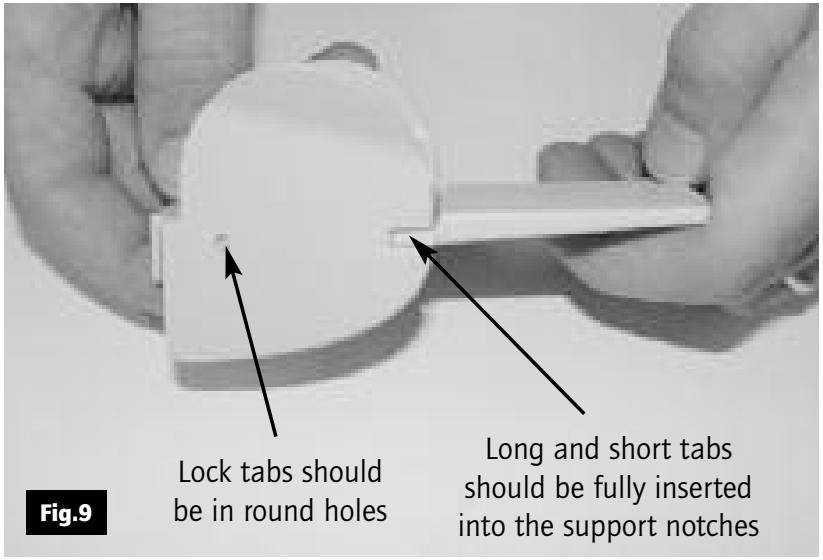


Fig.9

To remove, firmly grip the feeder extension and the extension plate and pull apart.

3.3 Power Cable Connection

Before connecting the scanner to your PC, make sure to locate the unit on a flat surface near the PC, away from direct light and from electromagnetic equipment.

1. Plug the power cord connector in the Power Supply socket (Fig.10).
2. Plug the Power Supply cable in the Vision X power connector (Fig.11).

Warning:
- The electromagnetic emission from a CRT monitor can produce interference and affect the MICR reading; therefore place the Vision X as far as possible from the CRT.
- The Vision X will be in compliance to the standard IEC/EN 60950-1 and UL 60950-1 only using the Power Supply model DSA-0421S-28 1 42 provided with the machine.

Fig.10

Fig.11

3. The Vision X should be plugged into a dedicated electrical power outlet. The socket outlet shall be installed near the equipment and shall be easily accessible. The power supply will be 100-240 VAC (no power selection required), and the frequency 50/60 Hz. If you are not sure of the type of power available, consult your Service Representative or local power company.

Note: There is no LED power indication upon connecting the Vision X. LED status indicators only illuminate when the application connects to the Vision X unit. See section 4.1.

3.4 USB 2 Cable Connection

Connect the USB 2 cable to the USB 2.0 port located on the rear side of the scanner, then connect the other end of the cable to an available USB 2.0 port on the PC.

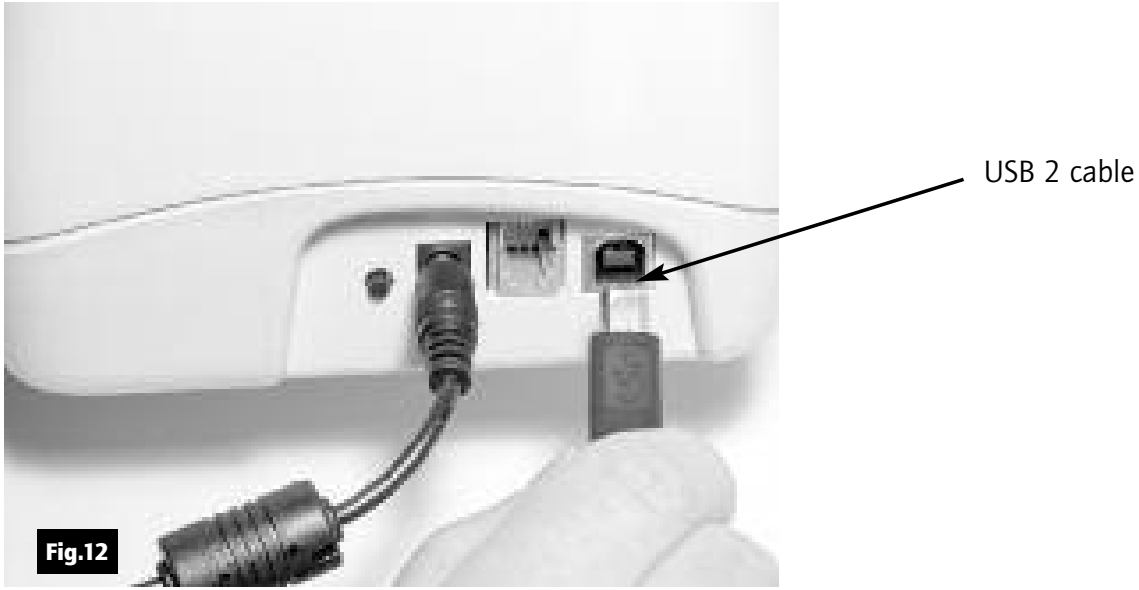


Fig.12

3.5 HP C6602A Ink-Jet Cartridge Installation (*Optional)

Remove the inner cover (*see section 5.1 for details*).
Take a new Ink-Jet cartridge out from its package.
Do not touch the ink with your fingers or clothing: it will stain.
Angle the front side of the cartridge downwards and face the two pins with the two holes in the cradle.
Gently push down the rear side of the cartridge until it snaps in the plastic retainer.

* If the unit was purchased without the endorser option then the unit is shipped without an ink cartridge and that one is not needed to run the device.

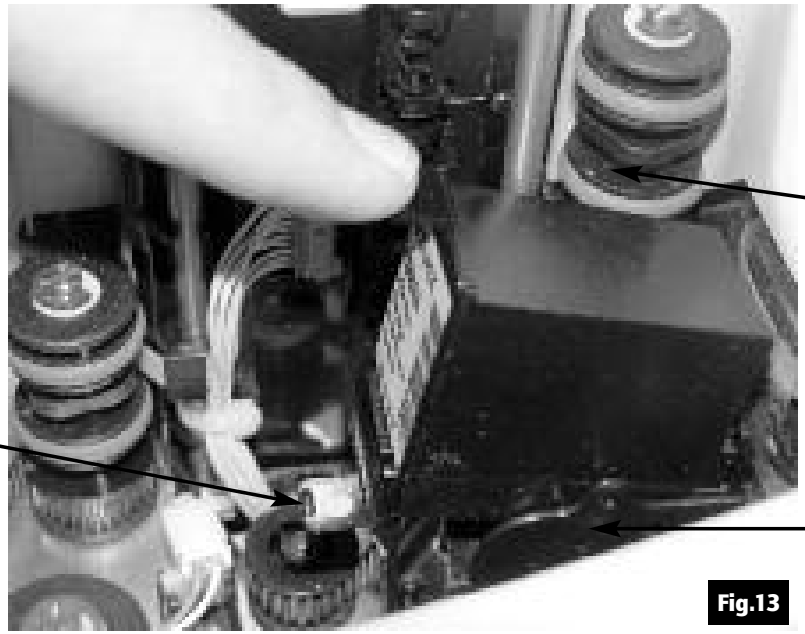


Fig.13

3.6 Pocket Length Adjustment

Adjust the pocket length by inserting the longest document that will be processed in the pocket.
Move the pocket extension left or right until a space of 5 mm (1/4") is available between the leading edge of the document and the end of the pocket extension.

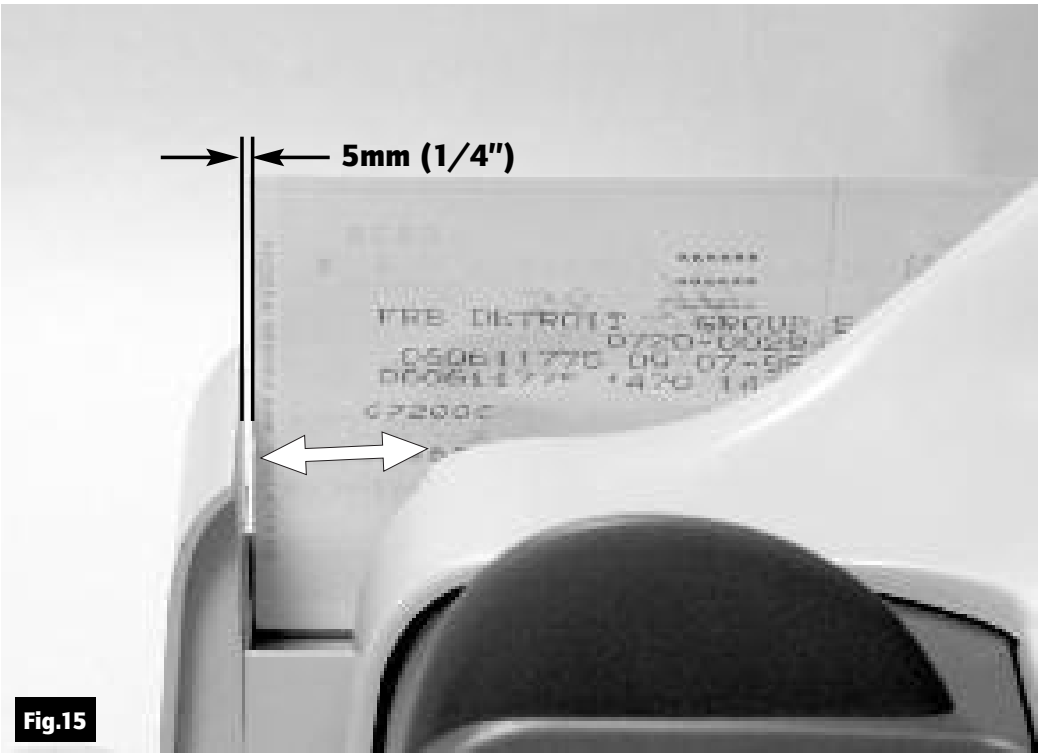


Fig.15

4. Getting Started

1. Turn on the PC.
2. Start the Vision X application (see note).
3. Follow the Vision X application instructions.
4. Load your checks.

Note: An application must be started before you begin to process documents. When the application starts, the Vision X turns on which is indicated by the green led in the outer cover.
If it is your job to start the application, refer to the documentation supplied with the application by the vendor.
Normally, the Vision X will automatically go on-line when the control application starts, and goes offline when the control application shuts down. If you want to force the reader to go offline even when the application is on, press the rear button switch for at least one second; at this point, the motor will briefly buzz and the green LED will turn off. To put the reader back on-line (only if the application is still running), press the button switch again for at least one second; the motors will briefly buzz and the green LED will turn on. Normally, this operation is allowed only when the Vision X is idle and will be ignored if the reader is working.
Pressing the button switch when the green LED is off will have no effect.

4.1 Status Lights

Two status lights located near the feeder indicate the status of the unit.

The following table describes the meaning of each status light.

Red LED	Green LED	Description
Off	Off	The Vision X is offline
Off	On	The Vision X is online and the feeder is empty
Off	Blinking	The Vision X is online and the feeder contains documents ready to feed
On	Off	Interlock switch is activated and the central plastic cover is removed
Blinking	Off	Jam on the transport track

Fig.16

Note: There is no LED power indication upon connecting the Vision X. LED status indicators only illuminate when the application connects to the Vision X unit.

4.2 How to Prepare and Load Checks

Preparing Documents for Processing

1. Remove all rubber bands, staples, paper clips, dog ears, etc. from the documents.
2. Jogging the documents is strongly recommended. In any case, align the bottom edges by repeatedly tapping the bottom edge of the documents on a hard, flat surface, see Fig.17.
3. Repeatedly tap the leading edge of the documents on a hard, flat surface, see Fig.18.
4. Check bottom and leading edges once more to ensure documents are aligned.

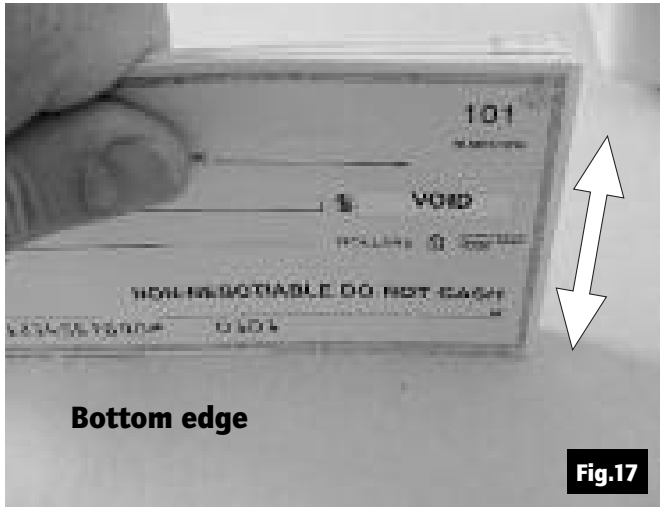


Fig.17

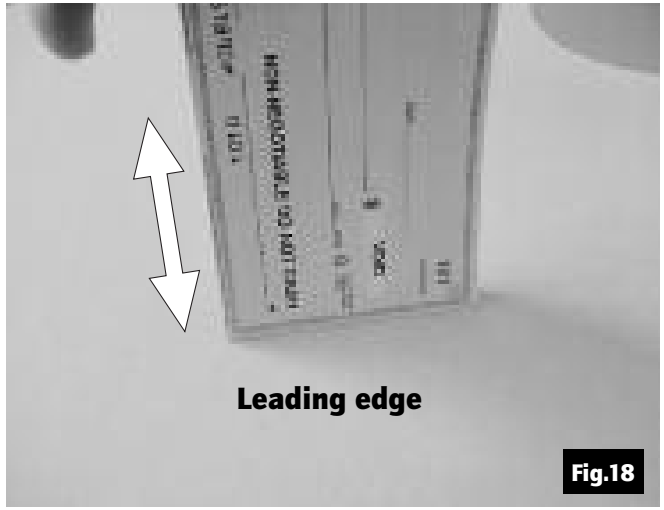


Fig.18

Tip: Use a mechanical jogger device for faster and more accurate alignment of bottom and leading edges.

Feeding Documents

You may feed documents one at a time or in small batches by inserting the documents all the way into the feeder. (Fig.19).
The documents must be inserted into the feeder so that the leading edge fits between the two black lines shown in Fig.20.

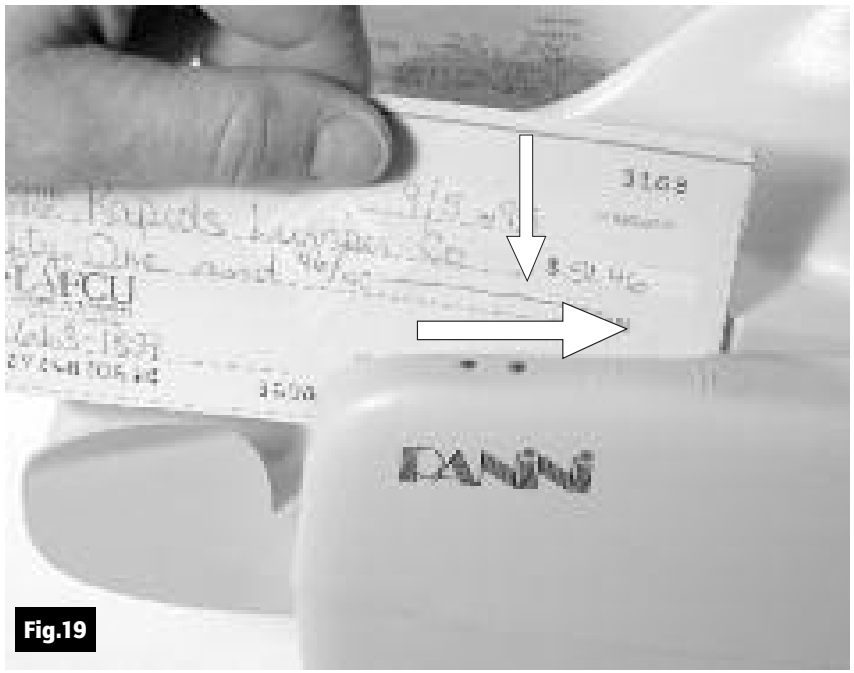


Fig.19

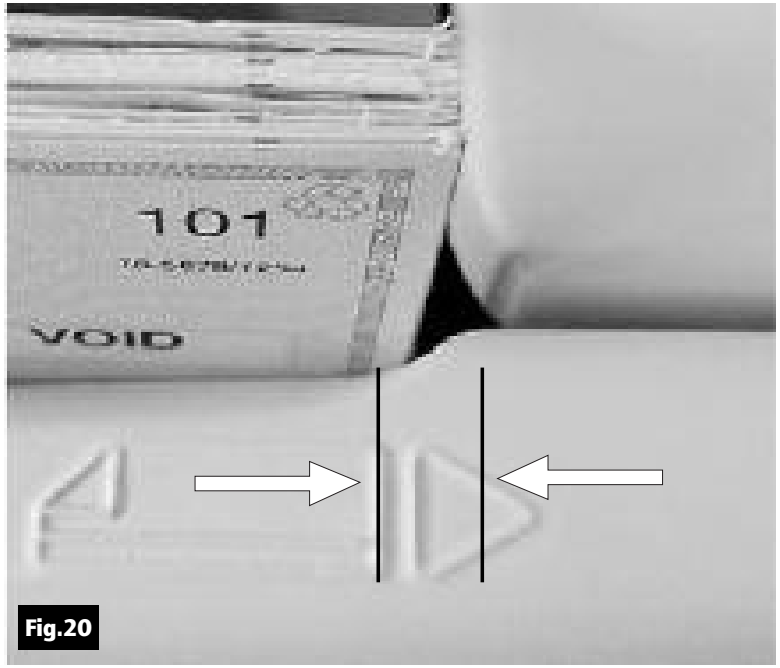


Fig.20

Do not insert the checks past the rollers.

Larger batches up to 100 checks require the pressure plate be pushed back before inserting checks into the feeder.
To prevent misfeeding, do not insert more than 100 documents into the feeder. Leave at least 2 mm (1/8") between the last document and the pressure plate in the maximum backwards position. The leading edges of the documents should be aligned as described in the previous page.

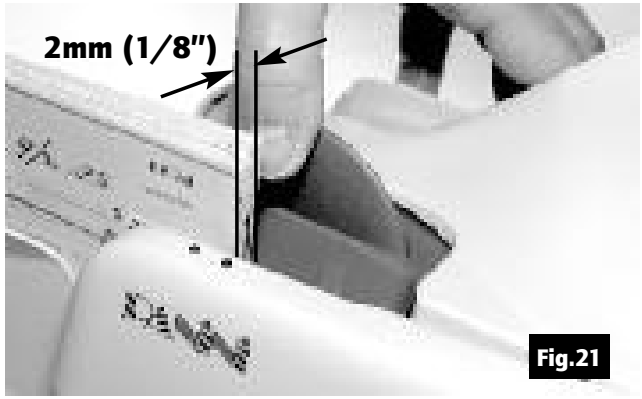


Fig.21

Document Feeder Options

Depending on the configuration ordered, three feeder types are available:

1. *Full Feeder (FF) Option:*
Designed for both single document automatic insertion and up to 100 document batch processing.

2. *Small Feeder (SF) Option:*
Designed for both single document automatic insertion and up to 50 document batch processing.
Note: The small feeder option causes the automatic document feeding operation to stop, followed by a system warning message, after 50 consecutive documents have been processed, according to the ordered configuration. The feeder sensor must then be cleared by removing the documents from the feeder and then repositioning and restarting the application. All other features are the same as the Full Feeder.

Note: This option is reset if the feeder is emptied before the 50 document limit is met for the 50 documents limited feeder.

3. *Single Document Feeder (1F) Option:*
Designed to process documents one at a time with single document automatic insertion.

The feeder is designed so that checks can be loaded continuously, while the scanner is processing. This can be done by inserting checks behind those already present in the feeder.

Fig.22

Removing Documents from Pocket

Processed documents are sent to the exit pocket.

For best result, follow these recommendations:

- Remove the documents when the pocket is nearly full. Jams occur when the pocket is too full. No “pocket-full” sensor is available.
- Occasionally verify that the endorsements are clearly printed.
- Occasionally verify that the images are being properly captured and that the image quality is good.

4.3 Clearing Jams

When a jam occurs, the paper path must be cleared. To do this, first remove all the documents from the exit pocket and then free the track by pressing Eject in your application. In case of unsuccessful operation, apply the following suggestions:

1. Extract the jammed document simply by pulling it out with your fingers (see Fig.23).

2. If the document does not pull out , lift the inner cover at the point indicated by the ribbed surface as shown in Fig.24.

Fig.23

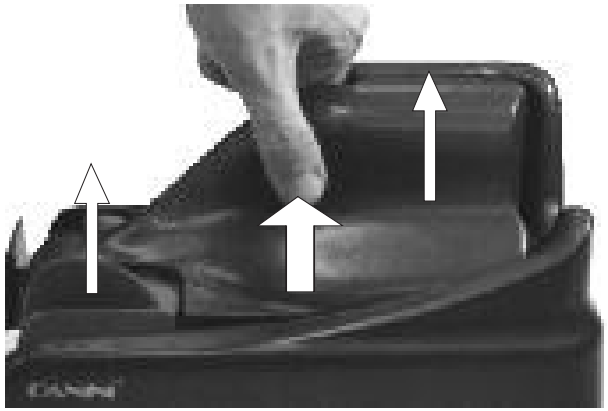


Fig.24

3. Grab the document with your fingers
to remove it from the transport. (See Fig.25).

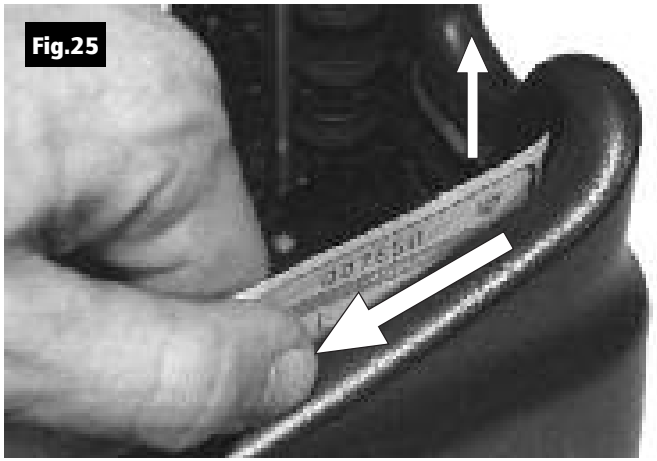


Fig.25

4. After the jam is removed, install the inner
cover by following the instructions below:

a. Open the pocket extension.
b. Insert the two reference shafts
   in the corresponding housings found
   in the inner cover (See Fig.26).

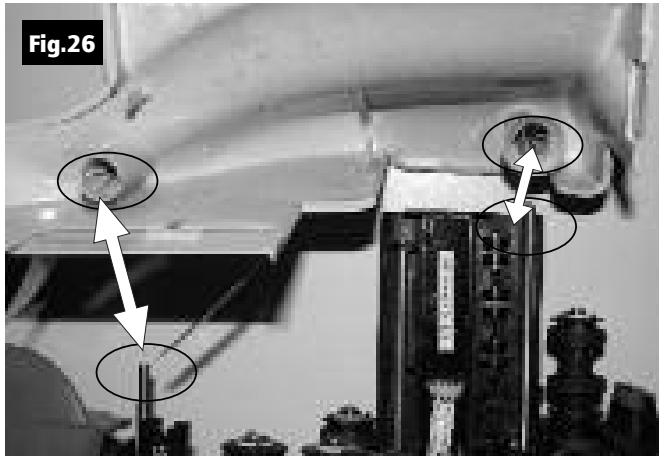


Fig.26

c. Push down the inner cover until it is back to its original position. Take care to ensure that the inner cover stays behind the scanner, which is indicated by a black area (see Fig.27).

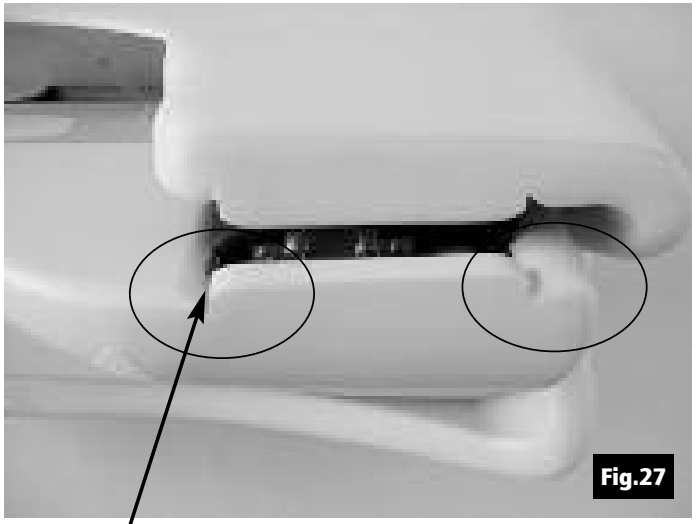
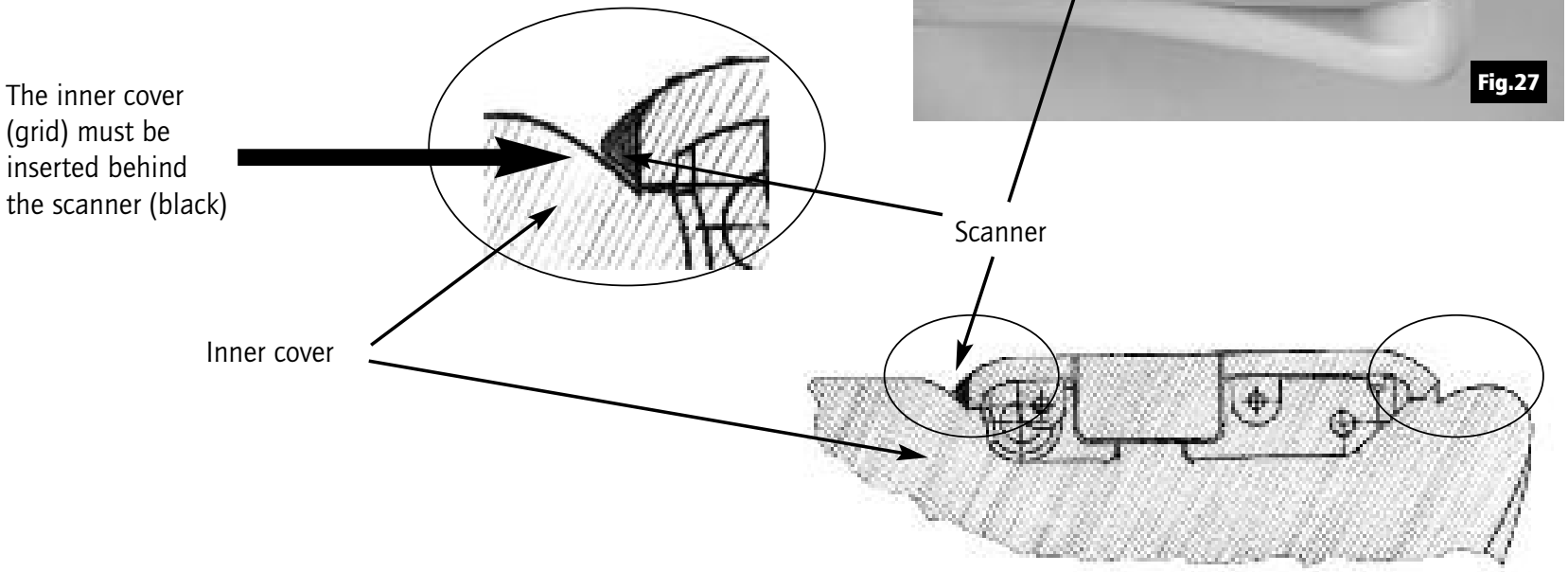


Fig.27



d. Check the exit pocket to ensure that the two plastic springs are aligned properly as shown in Fig.28.

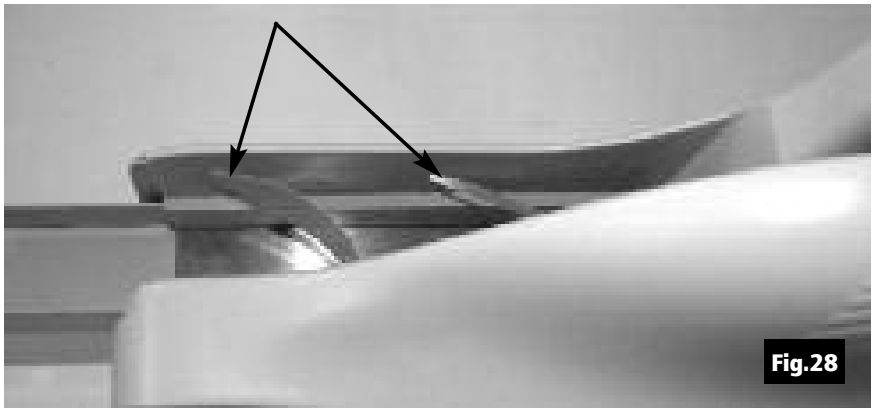


Fig.28

5. In the event that the outer cover has to be removed, first disconnect the USB and power cables and then lift the outer cover as shown in Fig.29.

Fig.29

6. To remove the “U” track wall see Fig.30.
   Please follow the instructions listed in chapter 5.1.2.

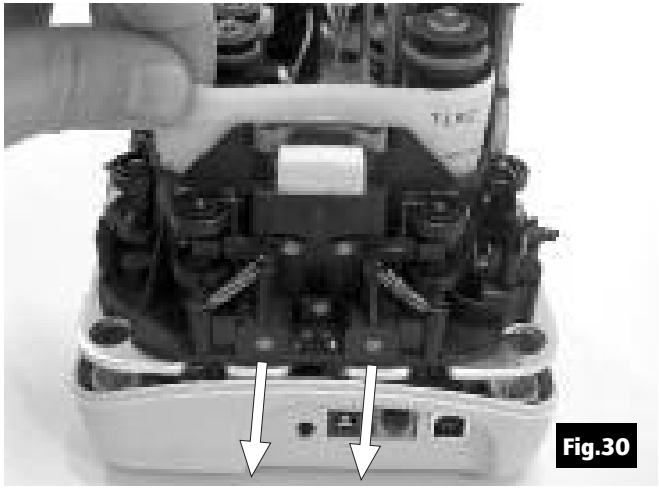


Fig.30

7. If the jam occurs in the image camera area,
   it is advisable to open the front image camera
   (see Fig.31) so that the document can easily be
   removed.

Close the image camera carefully.
Don’t allow the spring to snap it closed.

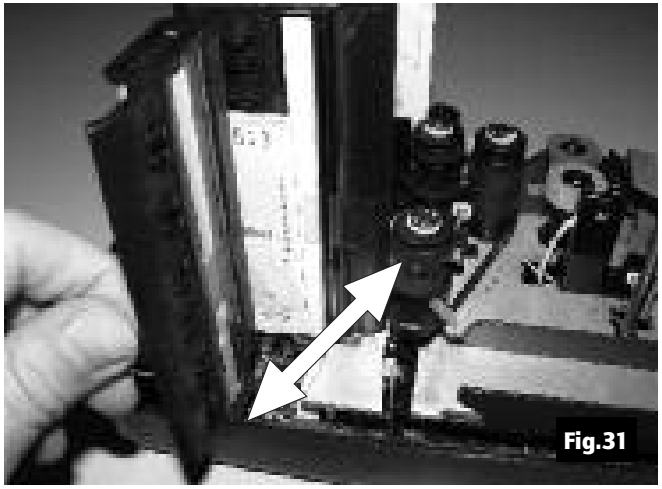


Fig.31

8. Insert the outer cover by aligning the two shafts with the holes in the bottom cover of the unit (Fig.32). Insert the two teeth located on each side of the outer cover in the bottom cover and lock it (Fig.33 and 34).

9. Reconnect the USB and power cables.

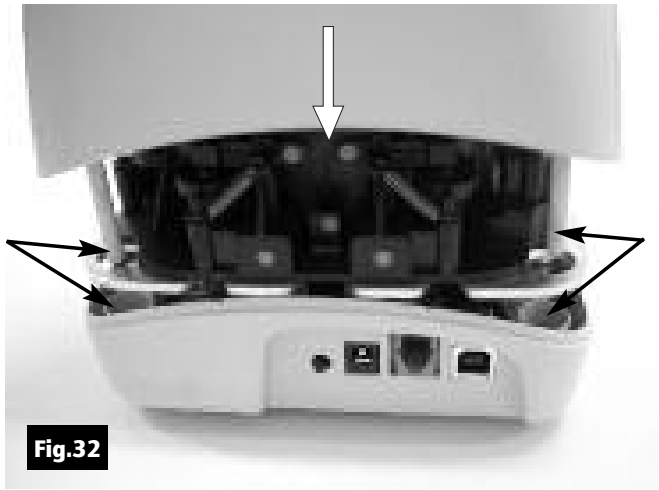


Fig.32

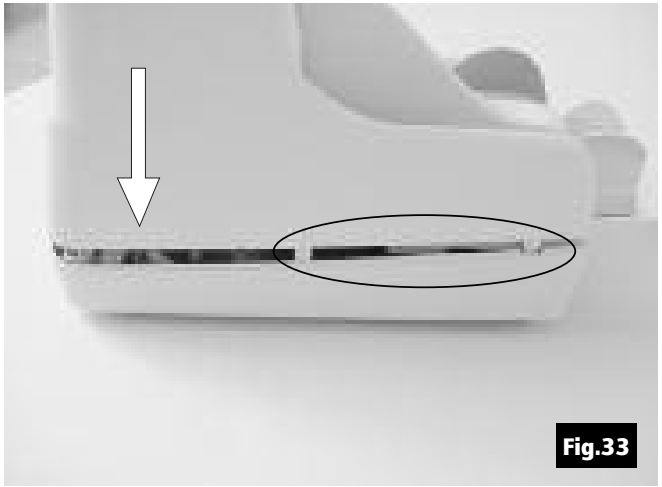


Fig.33

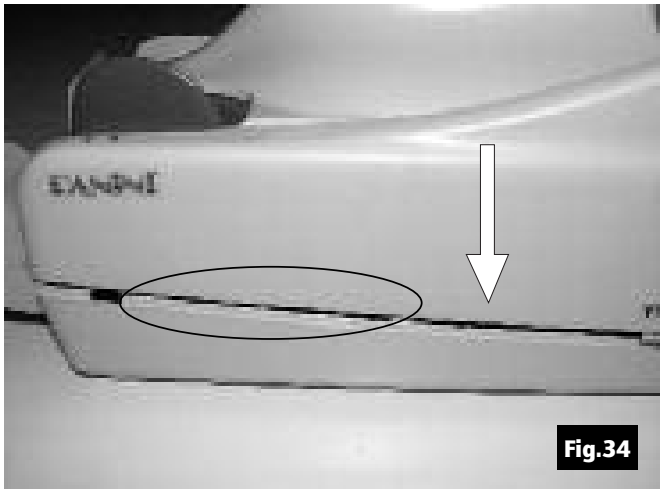


Fig.34

5. Maintenance

Warning: Before doing maintenance, remember to disconnect the USB 2 and power cables from the device.

Note: Panini recommends cleaning the Vision X weekly, or on a needed based with respect to the quantity and condition of the documents being processed.

Note: The parts accessible to the operator for cleaning or jam removal are identifiable by green stickers.

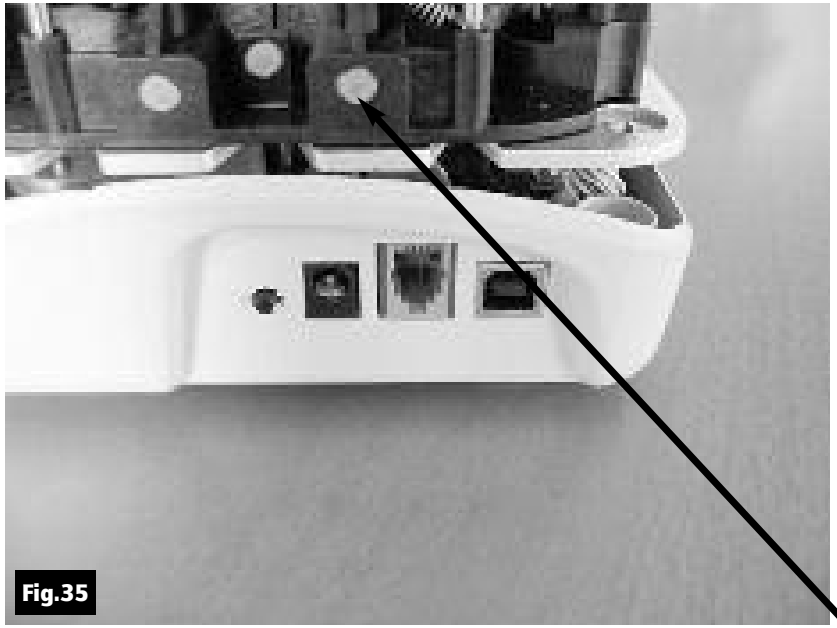


Fig.35

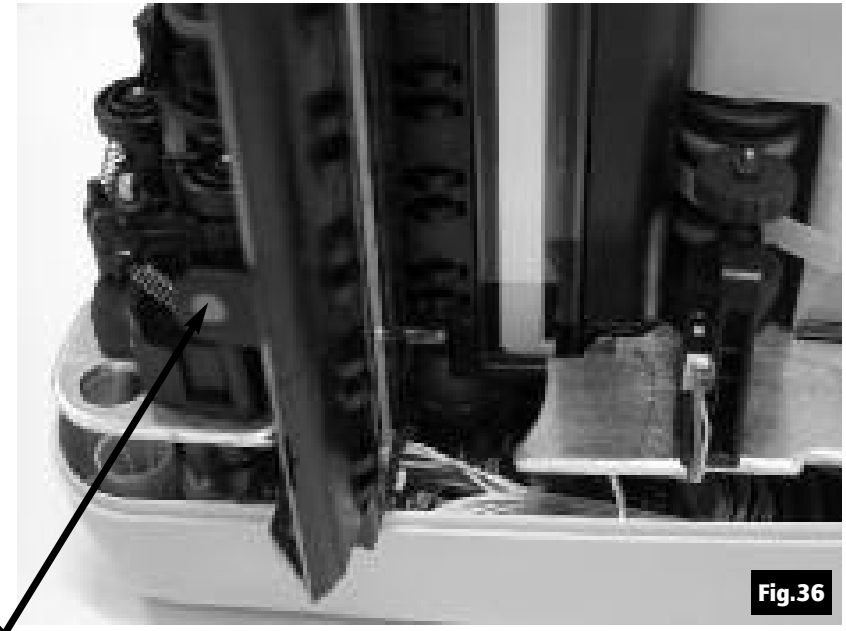


Fig.36

Green stickers

5.1 Cleaning the Transport

Dust, lint and small particles can get into the track area. Clean this area as follows:

1. Remove the inner and outer covers by pulling up on the covers as illustrated below.

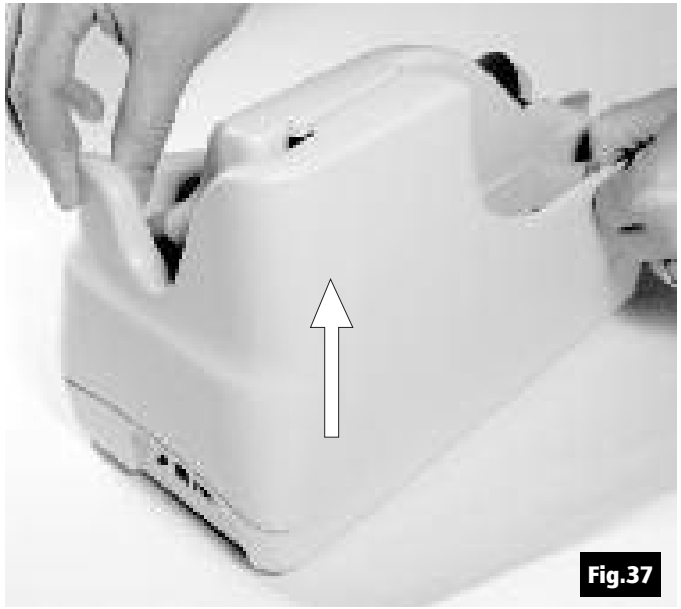


Fig.37

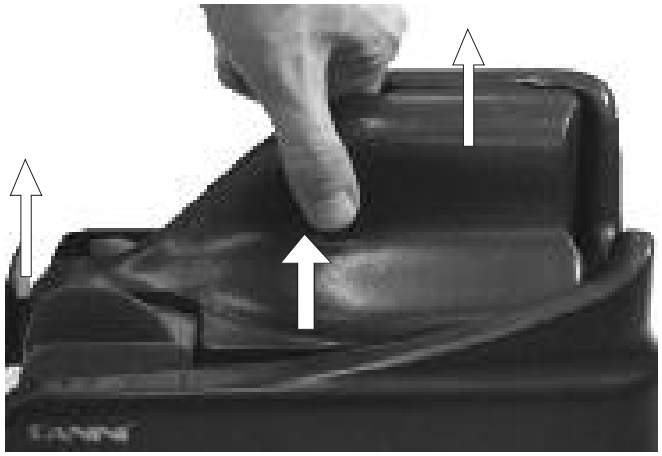


Fig.38

2. To remove the U-track, pull back on lever (A) away from unit (Fig.39).

The Fig.40 shows how to pull the lever and remove the U-track.

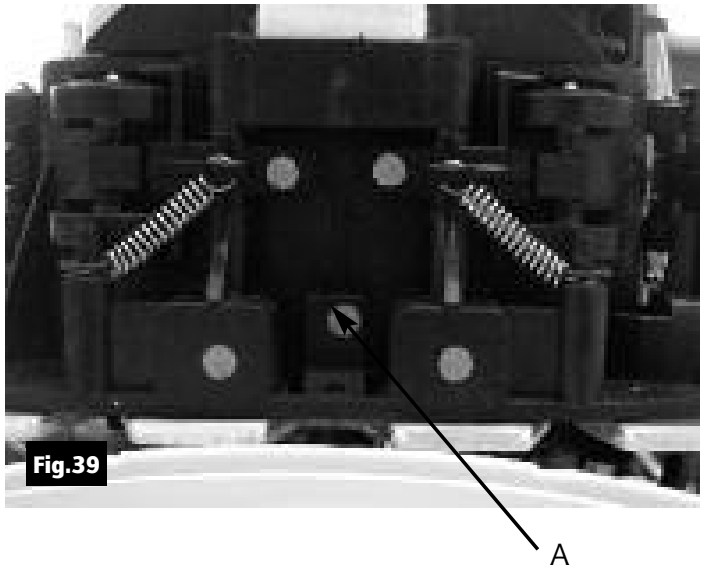


Fig.39

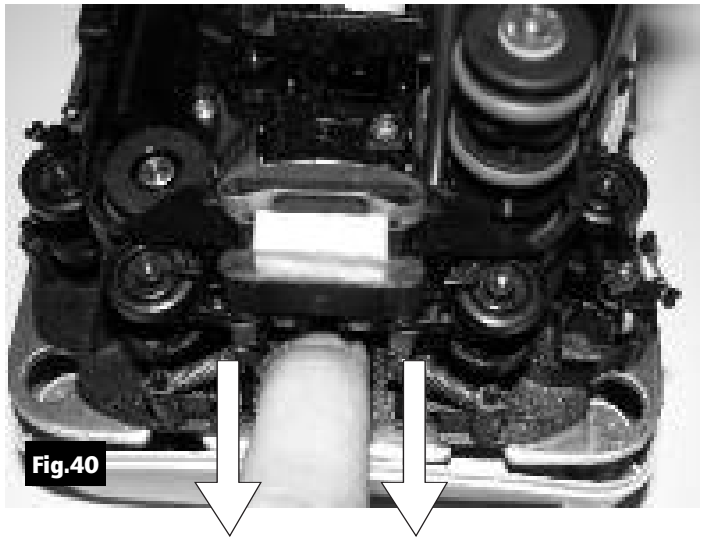
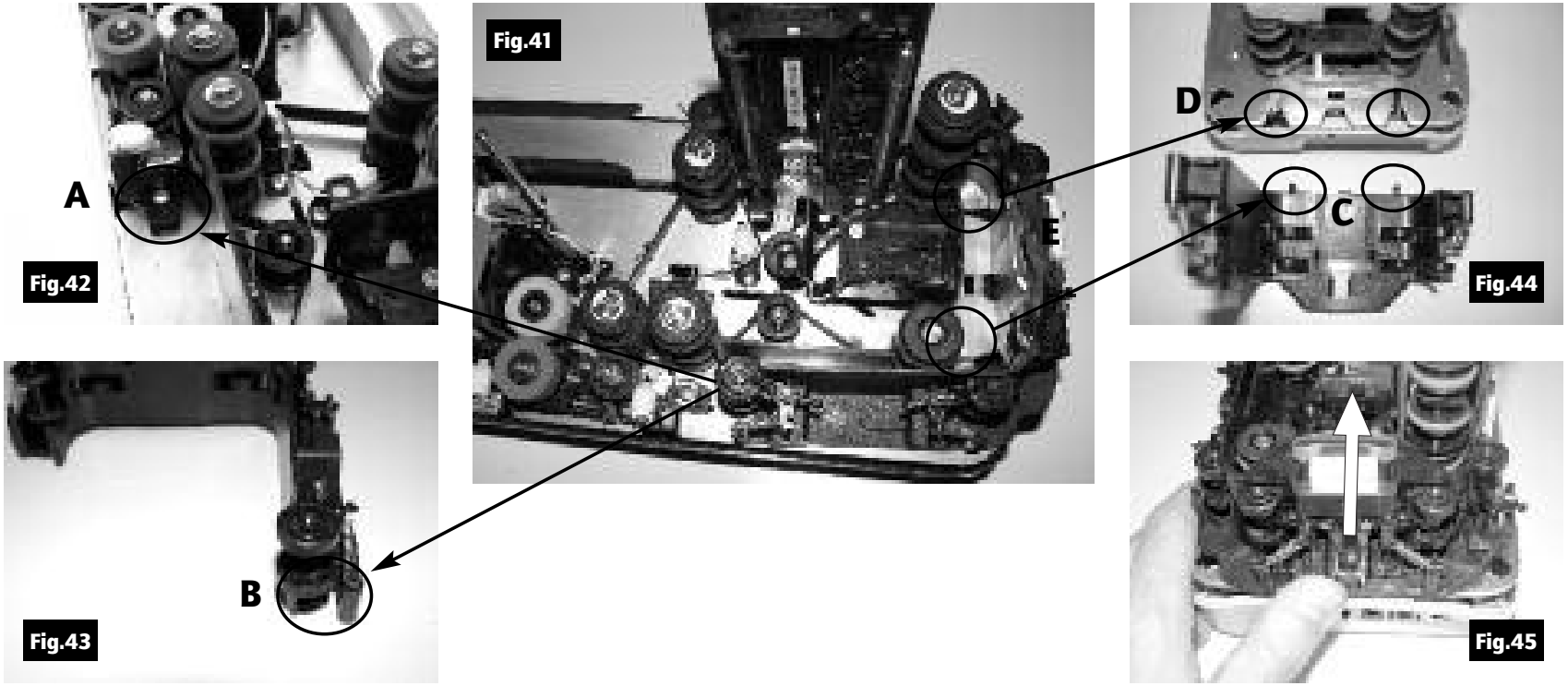


Fig.40

3. Inspect and clean the entire track area from beginning to end.
4. Remove staples, paper clips, rubber bands, and pieces of paper that may have accumulated during use.
5. Using a container of canned air and nozzle, spray the track area and check entrance.

6. To reinstall the U-track insert the two teeth “C” in the rail “D” (Fig.44), and align the U-track (Fig.41).
   Push back the U-track (Fig.45) until the lever “E” (Fig.41) locks the unit in place.
   Make sure that the pin “B” (Fig.43) is inserted in the receptacle “A” (Fig.42).



Note: If the blotting pad housing assembly. (A) comes away from the U-track, insert the low mylar spring in the lateral slots (B) and the pad housing in the reference pins (C). Gently press down until the pad housing stops on the top of the U-Track wall.

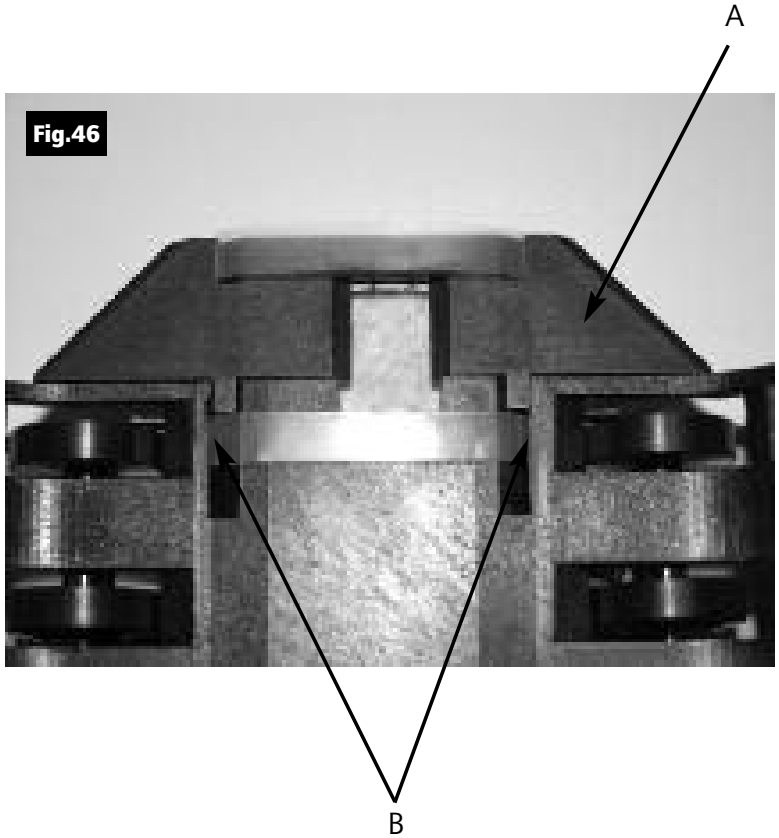


Fig.46

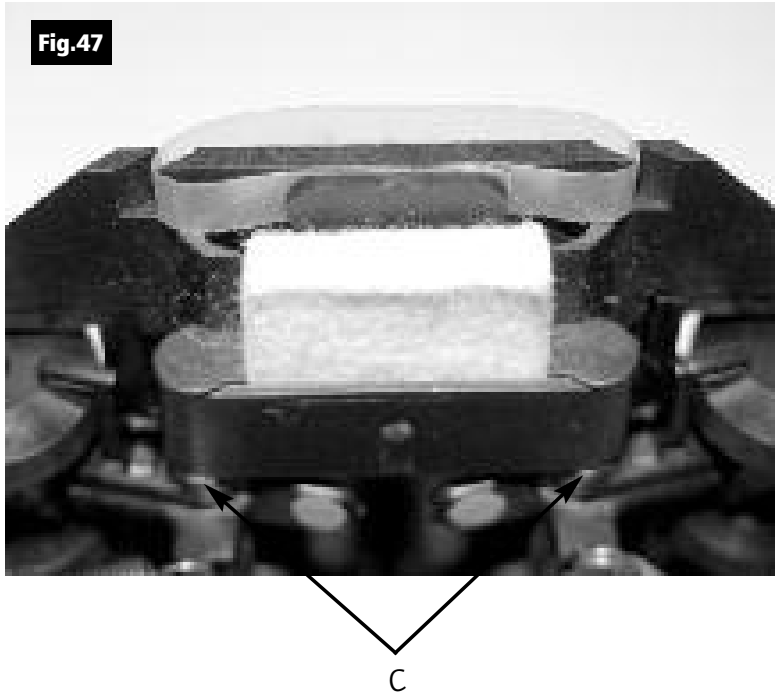


Fig.47

5.2 Cleaning the Contact Image Sensors

1. Gently open the front image camera (Fig.48) and remove any debris and dust.
2. Clean the Contact Image Sensors with a soft, lint-free cloth dampened with Isopropyl Alcohol or with eye glass cleaner (Fig.49).

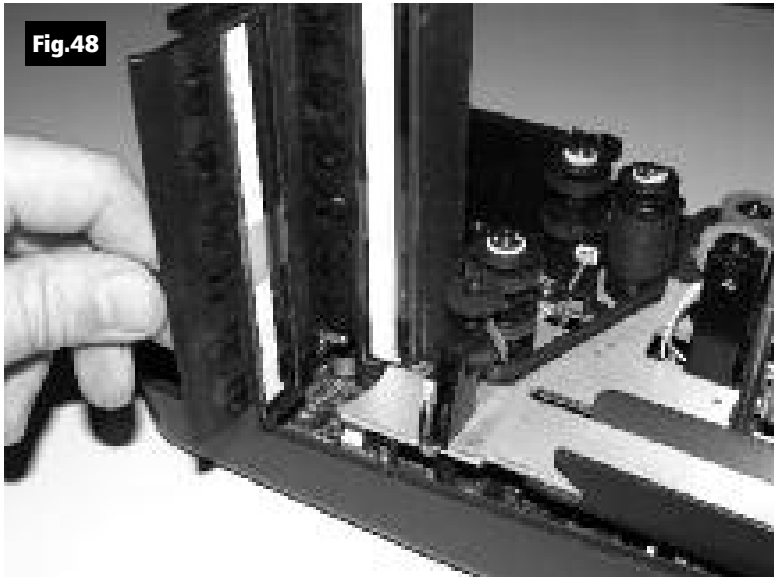


Fig.48

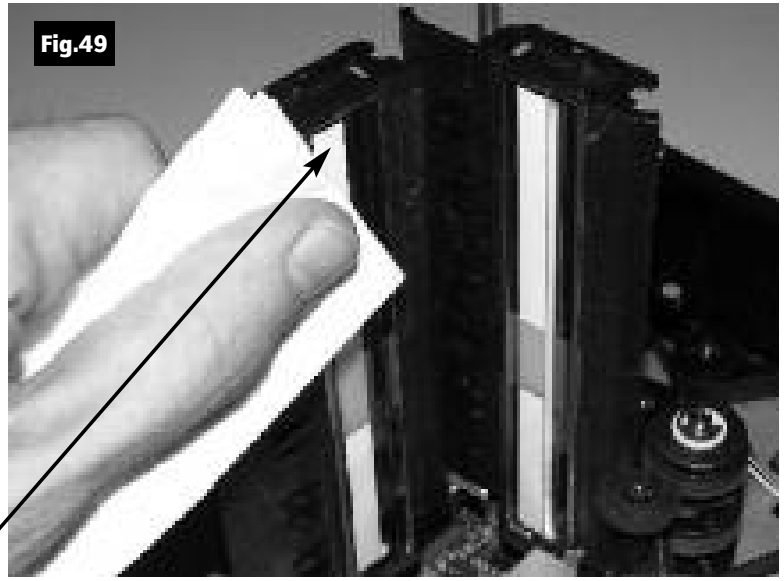


Fig.49

Contact Image Sensor (CIS)

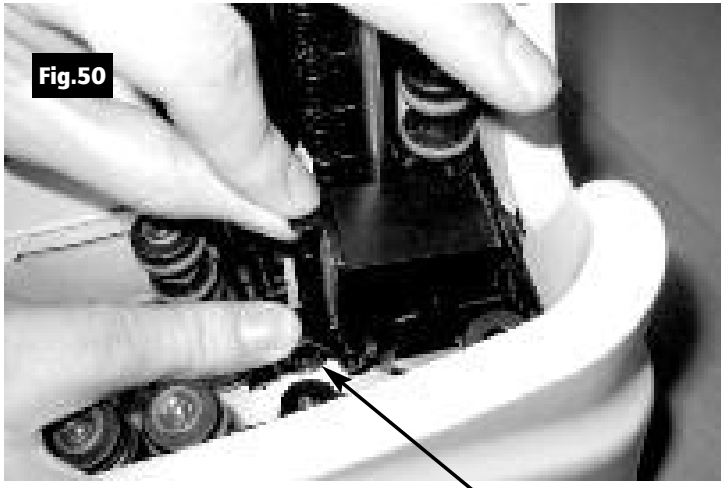
5.3 Cleaning the HP C6602A Ink-Jet Cartridge (*Optional)

Fibers, such as cotton or paper, dried ink plugs or crust, or excess ink puddles on the nozzle plate can obstruct ink droplets or cause ink droplets to deflect from the desired trajectory, resulting in a degraded print quality.

When this occurs:

1. Open the inner cover.
2. Remove the print cartridge by pushing down the plastic retainer (Fig.50).
3. Dampen a clean, lint-free cloth with deionized (or distilled) water.
4. Hold the dampened cloth in contact with the nozzles for a few seconds.
5. Then gently wipe the nozzle plate in the direction of the paper movement. Do not wipe the electrical contact area.
6. If ink remains on the nozzle plate wipe again with a clean dry lint-free cloth.
7. Reinsert the cartridge.
8. Replace the inner cover.

Remove the Ink-Jet cartridge when transporting the unit and when the unit is not used for long periods.
In case the scanner is not used regularly, periodically clean the Ink-Jet nozzles with a lint-free cloth.



* If the unit was purchased without the endorser option then the unit is shipped without an ink cartridge and that one is not needed to run the device.

5.4 Cleaning the Photocell Detectors

The six photocells (emitter and receiver) are identified with black circles in Fig.52 below.
Using a container of canned air and nozzle, spray the sensors to remove any dust.
Also a dry soft cloth can be used.

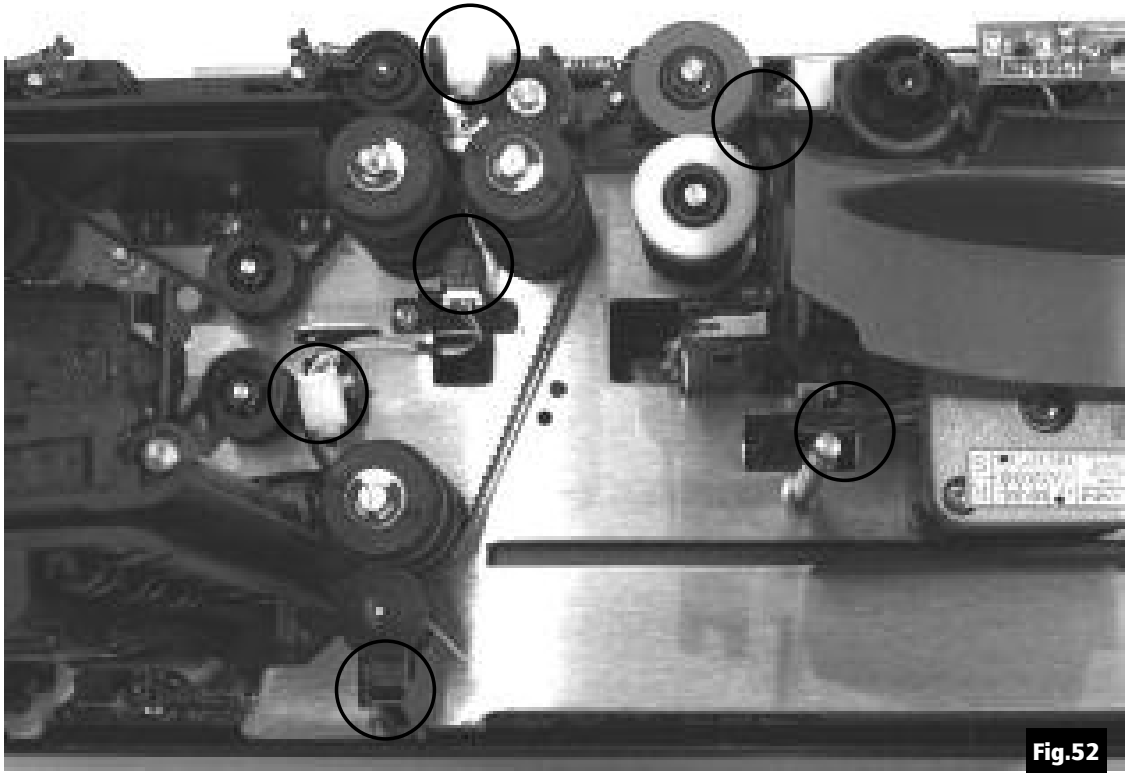


Fig.52

5.5 Replacing the Feeder and Separator Rollers

After extended use it will be necessary to replace the Feeder and Separator Roller rings due to normal wear.

1. Open the inner and outer covers.
2. Carefully lift the rings off the rollers (See the arrows in Fig.53, 54 and 55).

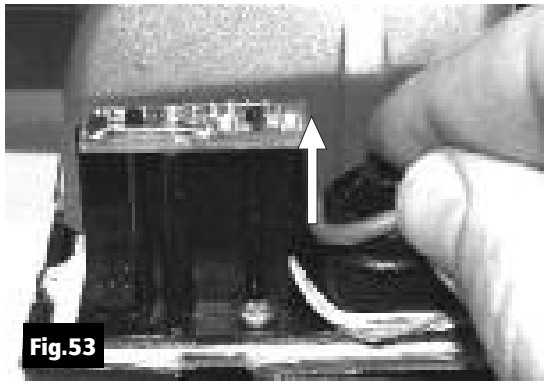


Fig.53

Feeder ring

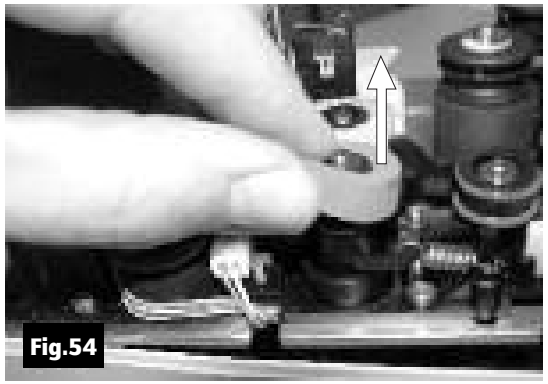


Fig.54

Front separator ring

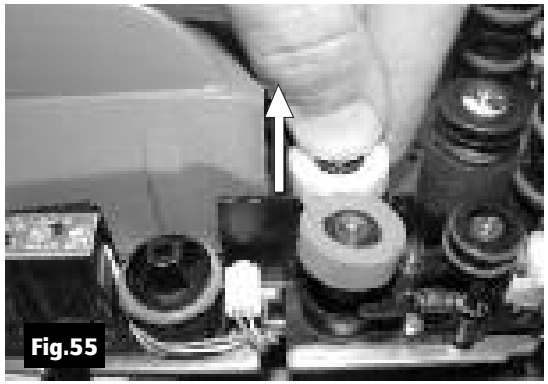


Fig.55

Rear separator ring

3. Install the new separator rings on the hubs by pressing down on the surface of the rings, making sure the rings are installed flat on their seats. The feeder ring must be rolled onto the black pulley.

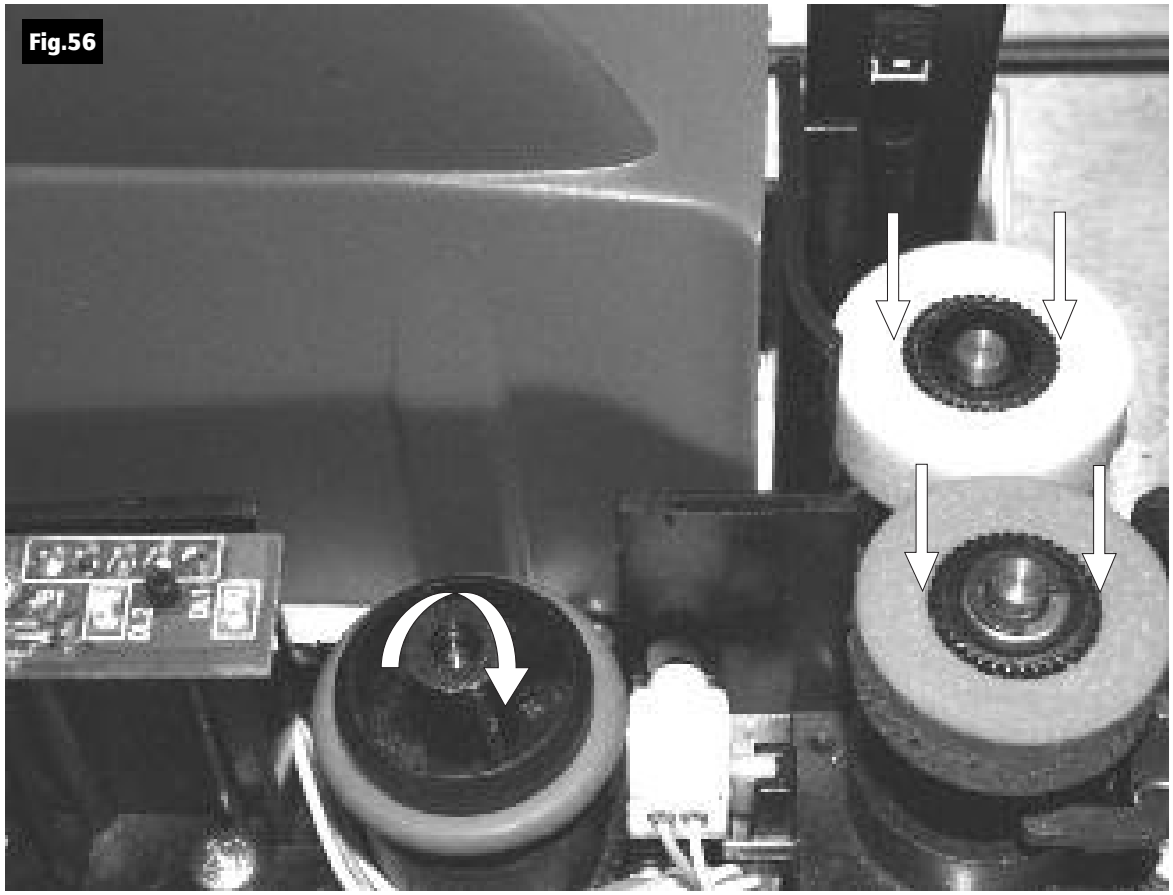


Fig.56

5.6 Cleaning the Reading Transport Belt

If an increase in the number of MICR (Magnetic Ink Characters Recognition) rejects is noticed, it may be necessary to clean the surface of the reading transport belt to remove extraneous magnetic ink or iron dust. Clean the external surface of the belt with a soft, lint-free cloth, dampened with Isopropyl Alcohol.
Turn pulley "A" counterclockwise to move the belt in the direction of the arrow and clean the entire belt surface.

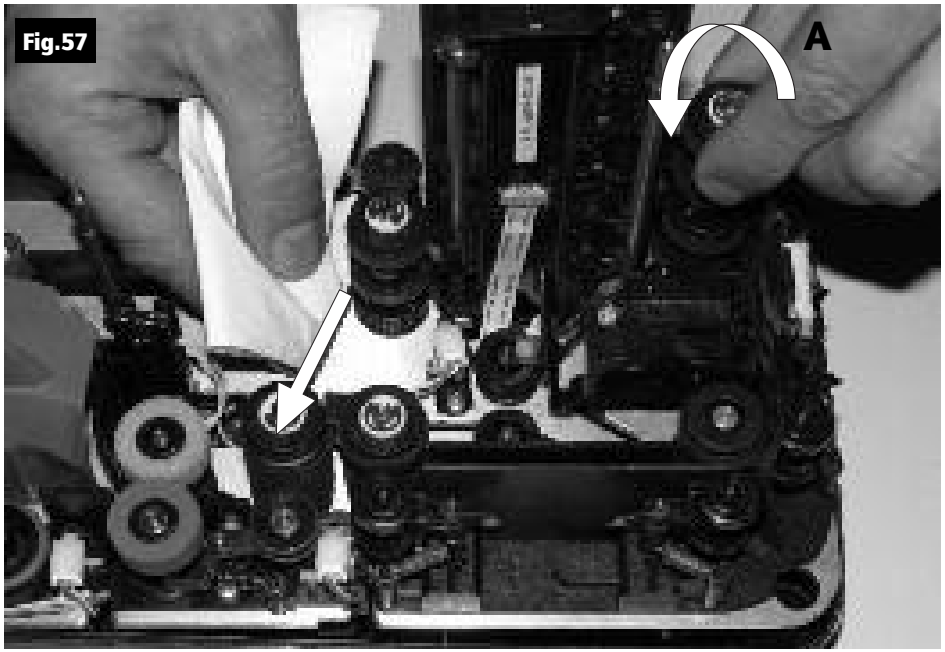


Fig.57

5.7 Install the External Covers

Install the inner cover following the instructions below:

1. Open the pocket extension.
2. Insert the two reference shafts in the corresponding housings found in the inner cover (Fig.58).

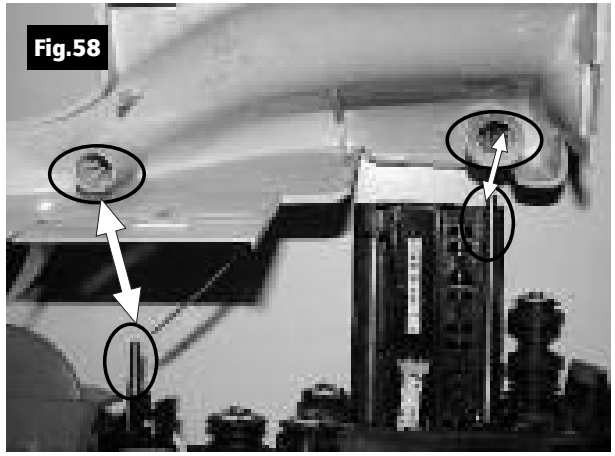


Fig.58

3. Push down on the inner cover until it stops, ensuring that the inner cover stays behind the scanner (black area) (Fig.59).

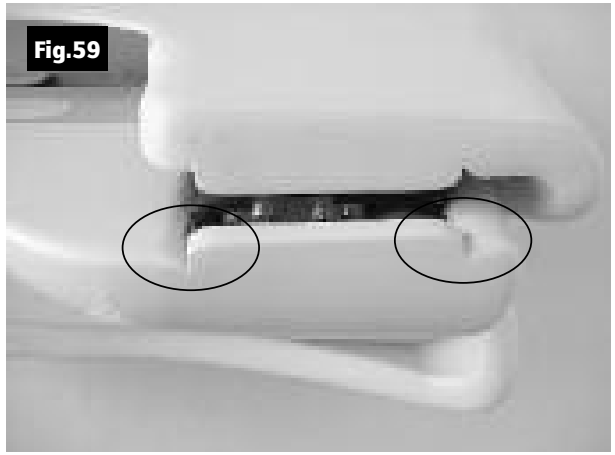
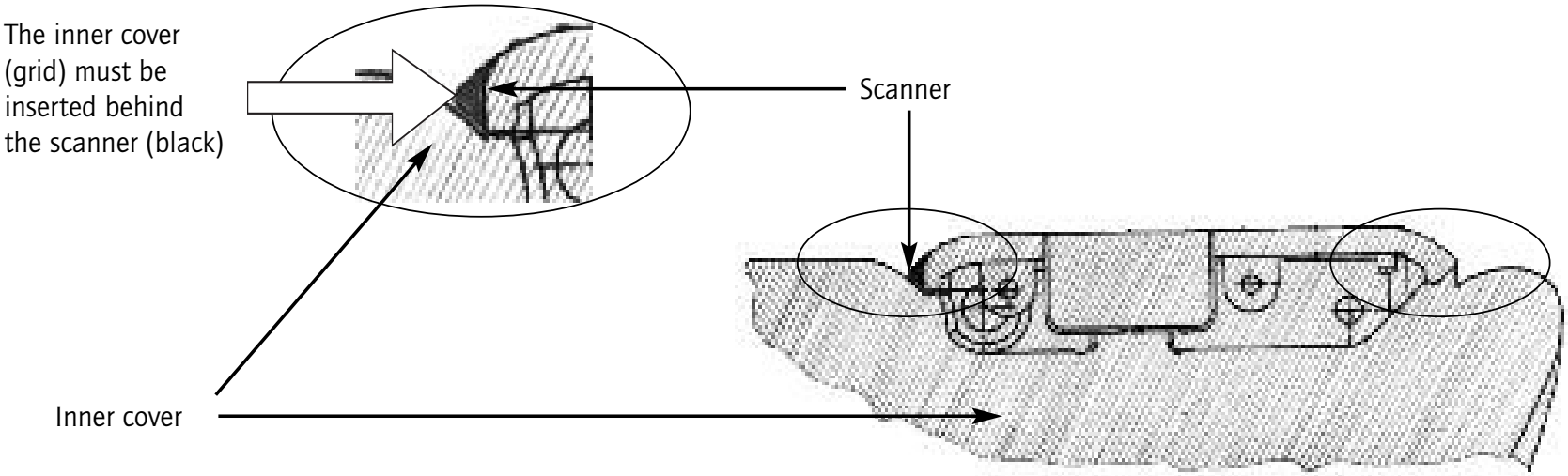
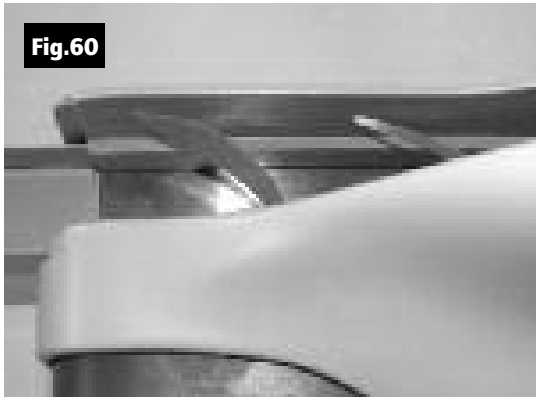


Fig.59



4. Check the exit pocket to ensure that the two plastic springs are properly aligned as shown in Fig.60.



5. Insert the outer cover by aligning the two shafts with the two holes in the bottom cover of the unit (Fig.61). Push the cover down.

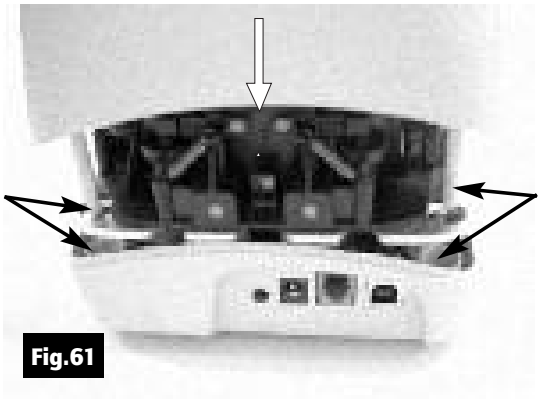


Fig.61

6. Insert the two teeth located on each side of the outer cover in the bottom cover and lock it see Fig.62 and 63.

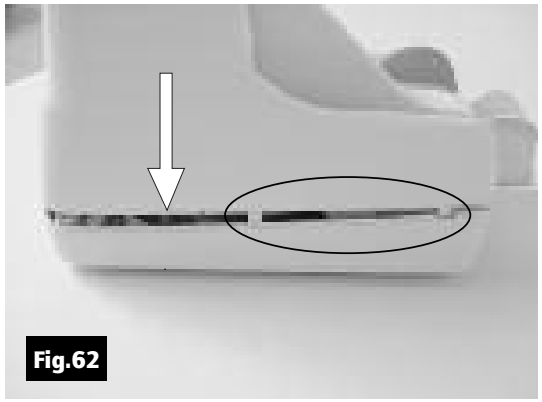


Fig.62

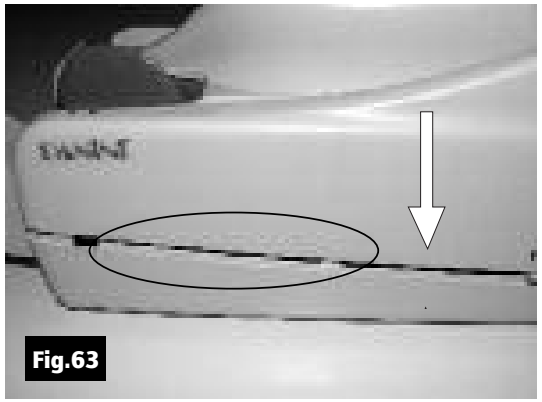


Fig.63

6. Specifications

6.1 Technical Specifications of the Panini Vision X

PERFORMANCE	3 versions (sw upgradable) VX 50: Up to 50 DPM VX 75: Up to 75 DPM VX 100: Up to 100 DPM Performance declared for 6'' checks . Final performance depends on applications and PC performance USB2.0 interface
IMPROVED AUTOMATIC DOCUMENT FEEDER	3 versions (sw upgradable) - single document automatic drop - 1F version - holding up to 50 documents - SF version - holding up to 100 documents - FF version Double feed detection with infrared (std) and ultra sonic technologies(future HW option) Auto-tuning separator rollers designed to process varied thickness of documents and to compensate wear
INKJET PRINTER	2 versions (sw upgradable) Rear Ink-jet Printer (IJ version) and No ink jet (NJ version, sw upgradable) Printing capability: Single line, Alphanumeric characters, all MS Windows fonts Reg CC Compliant Printed information captured by the image Intelligent printing, image and MICR driven Automatic cartridge presence detection and empty cartridge alert
TOTAL COMPATIBILITY AND SCALABILITY	Total backward compatibility for software API > release 2.24 Full version scalability (for sw options) throughout the range, via software upgrade
POCKETS	A single exit pocket capable of holding up to 100 documents
WORKSPACE	Extremely compact footprint - Ideal for teller, back office and corporate installations
DOCUMENTS SPECIFICATIONS	Height: Min: 54 mm (2.12'') - Max: 106 mm (4.17'') Length: Min: 80 mm (3.14'') - Max 235 mm (9.25'') Weight: Min: 60 gr/m2 (16#) - Max: 120 gr/m2 (32#)
INTERFACE	USB2.0 port/Backward compatible with USB 1.1 RS232 Port for external device connection. (SW/FW developments on request.)

MAGNETIC READER	E13B/CMC7/Automatic New Panini MICR Plus® exclusive technology with OCR assist feature Superior MICR recognition and management
IMAGE CAPTURE	Scanning: Next Generation Contact Image Sensor (CIS) technology (front and rear) Image format: Bitmap in B/W, 256 shades of gray, Infrared, Color (Fast and True) and drop out mode. TIFF, JPEG and Group IV compression Image Quality Assurance sw (IQA) available as sw option Image resolution: 100, 200 or enhanced 300 dpi Advanced Dynamic Thresholding Superior auto calibrated image quality Dual Image: 4 images in one document pass
SOFTWARE TOOLS	Panini Vision API control running on: Windows 2000 S.P. 3, XP S.P. 1, Windows Vista with USB 2.0 or USB 1.1 ICR Vision function for image snippet definition and download Easy integration of ICR/Barcode/OCR recognition technology
ADDITIONAL OPTIONS	HW : 3 Tracks Magnetic BADGE READER (future option) HW: External dongle for temporary and device independent upgrades SW: OCR Recognition: OCR-A, OCR-B recognition engine SW: Barcode Recognition: Code 39, Interleaved 2/5, EAN8, EAN13, UPCA, UPCE, Code 128 SW: Bi-dimensional barcode (pdf)
APPLICATION PC MINIMUM REQUIREMENTS	V X 50, V X 75: Intel Pentium IV, 1.2 GHz, 512 Megabytes Ram V X 100: Intel Pentium IV, 2 GHz, 512 Megabytes Ram
DIAGNOSTIC FEATURES	On board Diagnostics: tests the functionality of the scanner Power-on Self Testing: Automatic self testing and photocells calibration when powering the unit
MAINTENANCE	Maximum accessibility to every component to minimize MTTR Total access to scanner and track area Firmware upgradeable via PC
POWER SUPPLY INPUT VOLTAGE	Autosensing from 100 to 240 Vac, 50 to 60 Hz
DEVICE INPUT VOLTAGE	30 VDC
OPERATING CONDITIONS	Temperature: 15 ÷ 35°C Humidity: 20 ÷ 80% R.H. Non-Condensing

DIMENSIONS and WEIGHT	**Height**	**Width**	**Length**	**Weight**
	175 mm (6.88”)	138 mm (5.43”)	264 mm (10.39”)	2.5 Kg (5.73#)

Specifications subject to change without previous notice.

6.2 Technical Specification of the PC

Panini Vision API running on: **Windows 2000 SP3 or Windows XP SP1 or higher with USB2.0 or USB1.1 port** **Windows NT 4.0 SP6 with USB1.1**
50 dpm and 75 dpm Models
Application PC minimum requirements Intel Pentium IV, 1.2 GHz, 512 Megabytes Ram
100 dpm Models
Application PC minimum requirements Intel Pentium IV, 2 GHz, 512 Megabytes Ram

7. Vision X SD Addendum

This addendum provides specific product details related to the Vision X SD model. This information highlights product characteristics that vary from the information in the Operator Manual.

Vision X SD Packaging List

** Replaces section 2.1

The package includes:

1. Operator Manual
2. Accessories box (*)
3. Vision X scanner unit
4. Power Cable

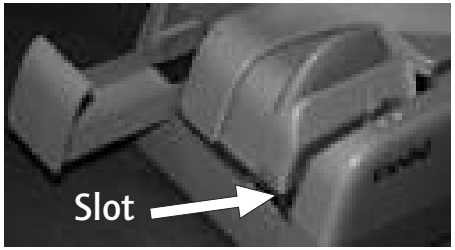
(*) The accessories box contains:

- Feeder Extension
- Extension plate
- Ink-Jet Cartridge HP C6602A
- USB 2 Cable
- Power Supply
- Ink-Jet Plastic Lever (adapter for HP 51604 cartridge)
  Cartridge not included with No Ink Jet (NJ) versions

Document Support Installation

** Replaces section 3.1

The installation procedure for inserting the document feeder extension on a SD machine varies slightly as the Document Pressure Plate has a fixed position and can not be pushed backwards. The Feeder Extension is simply inserted into the available slot. Installation is correct if the Feeder Extension is at the same level of the entrance of the scanner platform.



How to Prepare and Load Checks

** Adjustment to section 4.2

The SD scanner unit is designed for single document processing exclusively. All references to preparing and processing batches of multiple items in this section is not relevant to the SD version of the Vision X. Inserting multiple items into the feeder of a SD scanner will cause multiple documents to be fed or document jams to occur.

Replacing the Feeder and Separator Rollers

** Adjustment to section 5.5

Please note that the Vision X SD machine is not furnished with front and rear separator rollers. The addition of which is not needed when processing one item at a time. As such, the instructions for replacing these rings are irrelevant with reference to the SD scanner unit.

8. Vision X AGP Addendum

This addendum provides specific product details related to the Vision X AGP model. This information highlights product characteristics that vary from the information in the Operator Manual.

AGP Packaging List

** Replaces section 2.1

The Panini Vision X AGP package includes:

1. Operator Manual
2. Accessories box (*)
3. Panini Vision X AGP scanner unit
4. Power Cable
5. Ink-Jet Cartridge

(*) The accessories box contains:

- Feeder Extension & Extension plate
- USB 2 Cable
- Power Supply
- Panini cleaning cloth (Panini P/N: GS-00020-00)
  Cartridge not included with No Ink Jet (NJ) versions

AGP Ink-Jet Cartridge Use

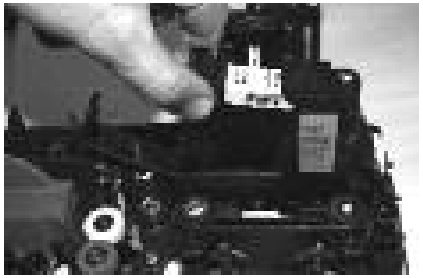
Use only one of the following Panini recommended cartridges.

Cartridge	Panini Part Number	Usage
HP Q2344A (Black 1918 Dye) *	CA-00140-00	Best for high usage
Universal Black 7482	CA-00165-00	Best for high and low usage

* Note: Frequent cleaning of the nozzle head may be required on HP Q2344A cartridges when processing with long intervals between batches of endorsed documents.

Ink-Jet Cartridge Installation

** Replaces section 3.5 and 3.6



The following steps indicate how to install the Vision X AGP ink-jet cartridge.

- Remove the new print cartridge from its package, and gently remove the transparent tape covering the ink nozzles, being careful not to touch the ink nozzles and electrical contacts.
- Remove Vision X inner cover (see section 4.3)
- Push the new cartridge down firmly into its cradle slot, and close the rear cradle lever.
- Insert the inner cover

Cleaning the Contact Image Sensors

** Addition to section 5.2

In addition to following the basic cleaning instructions provided in section 5.2 of the Operator Manual, Panini recommends that you occasionally inspect the images for the presence of any streaking due to residual ink on the Contact Image Sensors (CIS) glass. If so, use the Panini cleaning cloth (Panini P/N: GS-00020-00) to clean the CIS surface.

Cleaning the Ink-Jet Cartridge

** Replaces section 5.3

Fibers, such as cotton or paper, dried ink plugs or crust, or excess ink puddles on the nozzle plate can obstruct ink droplets or cause ink droplets to deflect from the desired trajectory, resulting in a degraded print quality.

- Open the inner cover
- Open the rear cradle lever and remove the print cartridge
- Using a slightly dampened (de-ionized water is best) lent free cloth gently wipe the nozzle head in an upward vertical direction. Do not apply excessive force, as this could scratch the nozzle surface
- Reinsert the print cartridge and inner cover

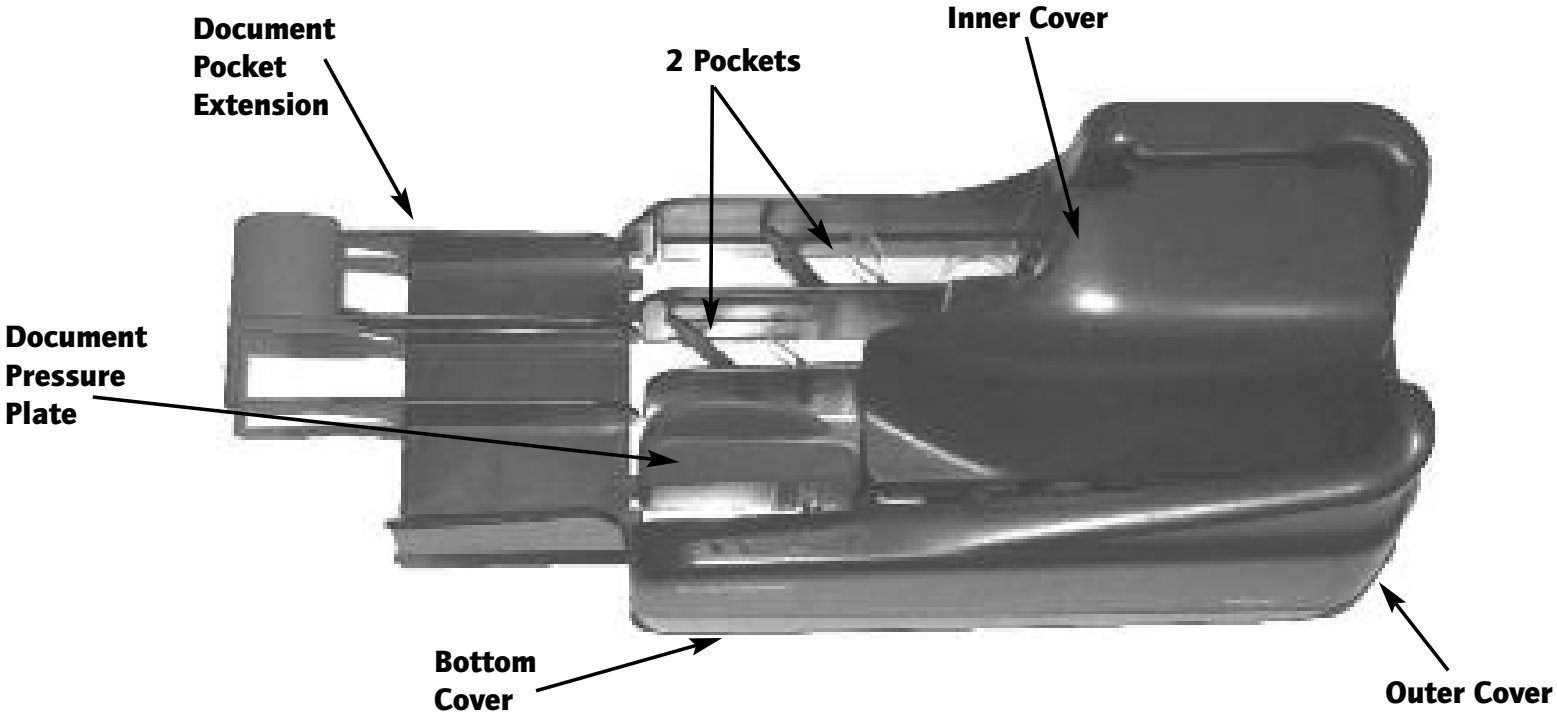
Note: If the print cartridge sits inactive for a period of time, ink may dry clogging the nozzles. As a result white streaks will be visible in the printed text or graphic on the document. Printing alone may not remove ink clogs. Follow the steps above to properly clean the nozzle. If print quality does not improve, gently shake the cartridge with the nozzle head towards the cleaning cloth, causing a slight expulsion of ink on the cloth. Gently wipe the nozzle head in an upward vertical direction. The Ink being pulled from the cartridge will flush the nozzles out, then print a few lines of text or graphics.

9. Vision X P Addendum

This addendum provides specific product details related to the Vision X P model. This information highlights product characteristics that vary from the information in the Operator Manual.

External Parts Description

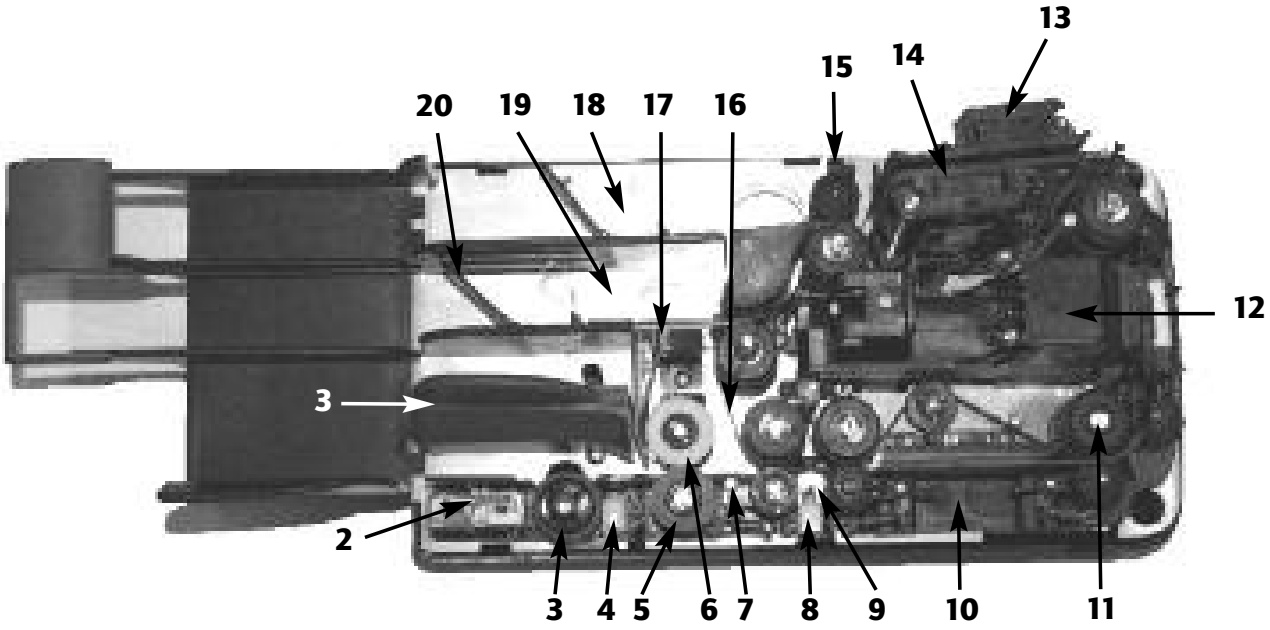
** Replaces section 2.2



Internal Parts Description

** Replaces section 2.3

1. Document Pressure Plate
2. LED board
3. Feeder Roller
4. Feeder Sensor
5. Separator Roller
6. Rear Separator Roller
7. Pre-magnetization Head
8. Synchronization Sensor
9. MICR Reading Head
10. "U" Track Wall
11. Transport Rollers
12. Ink-Jet Cartridge Cradle
13. Front Image Camera
14. Rear Image Camera
15. Pocket sensor
16. Transport Belt
17. Interlock Board
18. Feeder Motor
19. Document Alignment Mylar
20. Full Pocket Sensor



Document Support Installation / Pocket Length Adjustment

** Replaces section 3.1

Insert the Document Pocket Extension in the slot uncovered by pushing back the Document Pressure Plate and the corresponding slots in the first document pocket. Installation is correct if the Document Pocket Extension is at the same level of the scanner base plate.

Adjust the pocket length by inserting the longest document that will be processed in the pocket. Move the pocket extension plate left or right until a space of 5 mm (1/4") is available between the leading edge of the document and the end of the pocket extension. The pocket extension plate will provide support for both machines pockets.

Cleaning the Contact Image Sensors

** Addition to section 5.2

In addition to following the basic cleaning instructions provided in section 5.2 of the Operator Manual, Panini recommends that you occasionally inspect the images for the presence of any streaking due to residual ink on the Contact Image Sensors (CIS) glass. If so, use the Panini cleaning cloth (Panini P/N: GS-00020-00) to clean the CIS surface.

Technical Specifications of the Panini Vision X P

Vision X P Technical Specifications	
PERFORMANCE 3 versions (sw upgradable) VX P 50: Up to 50 DPM VX P 75: Up to 75 DPM VX P 100: Up to 100 DPM Performance declared for 6" checks. Final performance depends on applications and PC performance USB2.0 interface	**ADDITIONAL OPTIONS** HW: 3 Tracks Magnetic BADGE READER (future option) HW: External dongle for temporary and device independent upgrades SW: OCR Recognition: OCR-A, OCR-B SW: Barcode Recognition: Code 39, Interleaved 2/5, EAN8, EAN13, UPCA, UPCE, Code 128 SW: Bi-dimensional barcode (pdf)
IMPROVED AUTOMATIC DOCUMENT FEEDER 2 versions (sw upgradable): • Holding up to 50 documents – SF version • Holding up to 120 documents – FF version Double feed detection with infrared (std) and ultrasonic technologies (future HW option). Auto-tuning separator rollers designed to process varied thickness of documents and to compensate wear	**POCKETS** 2 versions (based on the same hardware platform) : • 1P: one exit pocket capable of holding 100 documents • 2P: two exit pockets capable of holding 100 documents each. Flexible Sorting Options, based on MICR and/or image Full pocket sensor for both versions
MAINTENANCE Maximum accessibility to every component to minimize MTTR Total access to scanner and track area Firmware upgradeable via PC	**MAGNETIC READER** E13B/CMC7/Automatic New Panini MICR Plus® exclusive technology with OCR assist feature Superior MICR recognition and management MICR based sorting
DOCUMENTS SPECIFICATIONS Height: Min: 54 mm (2.12") – Max: 106 mm (4.17") Length: Min: 80 mm (3.14") – Max 235 mm (9.25") Weight: Min: 60 gr/m2 (16#) – Max: 120 gr/m2 (32#)	**SOFTWARE TOOLS** Panini Vision API control running on: Windows 2000 S.P. 3, XP, Windows Vista with USB 2.0 or USB 1.1 ICR Vision function for image snippet definition and download Easy integration of ICR/Barcode/OCR recognition technology

INKJET PRINTER Rear Ink-jet AGP (advanced Graphic Printer) Printing capability, two versions: • AGP 1: one line text/graph in any vertical position • AGP 2: two lines text/graph in any vertical position • AGP 4: four lines text/graph for full 1/2" height Alphanumeric characters: all MS Windows fonts Reg CC Compliant Printed information captured by image Intelligent printing based on MICR or image on a defined printing area Automatic cartridge presence detection and empty cartridge alert	**IMAGE CAPTURE** Scanning: Contact Image Sensor (CIS) technology (front and rear) Image format: Bitmap in B/W, 256 shades of gray, Infrared, Color (Fast and True) and drop out mode. TIFF, JPEG and Group IV compression Image Quality Assurance sw (IQA) available as sw option Image resolution: 100, 200 or enhanced 300 dpi Advanced dynamic thresholding Superior auto calibrated image quality Dual Image: 4 images in one document pass Front/rear image based sorting
INTERFACE USB2.0 port/Backward compatible with USB 1.1 RS232 Port for external device connection.	**TOTAL COMPATIBILITY AND SCALABILITY** Total backward compatibility for software API > release 2.24 Full version scalability (for sw options) throughout the range, via software upgrade
APPLICATION PC MINIMUM REQUIREMENTS V X P 50, V X P 75: Intel Pentium IV, 1.2 GHz, 512 Megabytes Ram V X P 100: Intel Pentium IV, 2 GHz, 512 Megabytes Ram	**WORKSPAC** Extremely compact footprint – Ideal for teller, back office and corporate installations
DIAGNOSTIC FEATURES On board Diagnostics: tests the functionality of the scanner Power-on Self Testing: Automatic self testing and photocells calibration when powering the unit	**DIMENSIONS AND WEIGHT** Height: 175 mm (6.88" Width: 138 mm (5.43") Length: 264 mm (10.39") Weight: 2.6 Kg (5.73#)
OPERATING CONDITIONS Temperature: 15 ÷ 35°C Humidity: 20 ÷ 80% R.H. Non-Condensing	**POWER SUPPLY INPUT VOLTAGE** Autosensing from 100 to 240 Vac, 50 to 60 Hz
DEVICE INPUT VOLTAGE 30 VDC	

10. Vorschriftsmäßige Entsorgung von Elektro- und Elektronikaltgeräten (WEEE)

FÜR LÄNDER DER EUROPÄISCHEN UNION (EU)

Die EU-Kommission hat bestimmt, dass elektrische und elektronische Geräte, die heute auf dem Markt angeboten werden, Bauteile und Komponenten enthalten, die wiederverwertet werden und somit dazu beitragen können, die in Müllgruben und Deponien entsorgten Materialmenge zu reduzieren. In Übereinstimmung mit dieser Bestimmung dürfen elektrische und elektronische Geräte (WEEE) nicht mit dem unsortierten Müll von Privathaushalten oder Büros entsorgt werden. Sie müssen vielmehr einer gesonderten Abfallentsorgung zugeführt werden. Die Entsorgung dieser Geräte an Stellen, die dafür weder ausgerüstet noch zugelassen sind, hat verheerende Folgen auf Umwelt und Gesundheit. Zuwiderhandlungen werden mit den gesetzlichen Strafen und Bußgeldern belegt.

Die Panini-Produkte sind daher in Entsprechung der europäischen WEEE-Richtlinie über Elektro- und Elektronikaltgeräte (WEEE) mit dem Symbol einer durchgestrichenen Mülltonne gekennzeichnet, das darauf hinweist, dass alle nach dem 13. August 2005 auf dem Markt eingeführten Produkte dieser Art gemäß WEEE-Richtlinie 2002/96/EC (und folgender Zusätze) nicht mit dem normalen Hausmüll entsorgt werden dürfen.

So entsorgen Sie die Altgeräte umweltgerecht:

- Wenden Sie sich an die lokalen Behörden oder an Ihren Fachhändler, die Ihnen die notwendigen Informationen zur korrekten Entsorgung liefern werden, wie zum Beispiel: Ort und Öffnungszeiten der Abfallsammelstellen usw.
- Wenn Sie ein neues Gerät von uns kaufen, können Sie ein ähnliches Altgerät unserem Fachhändler zur Entsorgung übergeben.

FÜR ANDERE (NICHT DER EU ANGEHÖRIGE) LÄNDER

Die Behandlung, Sammlung, Wiederverwertung und Entsorgung von Elektro- und Elektronikaltgeräten erfolgt in Entsprechung der in dem betreffenden Land gültigen Bestimmungen.

10.1 Audience

Das vorliegende Handbuch ist vornehmlich für das Personal bestimmt, das Schecks und andere Dokumente bearbeitet.

10.2 Sicherheitsmaßnahmen

Vergewissern Sie sich, bevor Sie mit dem Gerät Vision X arbeiten oder das Gerät warten, dass Sie die Sicherheitsanweisungen gelesen und verstanden haben.

- Tragen Sie sichere Kleidung. Vermeiden Sie das Tragen lockerer Kleider, langer Haare und von Schmuck, die sich in den sich bewegenden Teilen verfangen können.
- Achten Sie darauf, dass niemand auf dem Stromkabel steht. Stellen Sie Vision X nicht in Bereichen auf, in denen Leute auf das Kabel treten können.
- Ziehen Sie vor dem Reinigen des Gerätes Vision X immer den Netzstecker.
- Versuchen Sie nicht, Vision X selbst zu warten oder zu reparieren, soweit dies im Handbuch nicht ausdrücklich erwähnt wird.
- Der Versuch, den externen Netzanschluss selbst zu warten oder zu reparieren, setzt Sie gefährlichen Spannungen oder anderen Gefahren aus.
- Wenden Sie sich immer an erfahrene Wartungsfachkräfte.

Hinweis:

- Vision X entspricht den Normen IEC/EN 60950-1 und UL 60950-1 nur, wenn es mit dem Netzteil DSA-0421S-28 1 42 verwendet wird, das mit der Maschine geliefert wird.
- Die Wandsteckdose muss in der Nähe des Gerätes installiert werden und immer leicht zugänglich sein.
- BETRIEBSBEDINGUNGEN: Temperatur: 15 ÷ 35°C. Relative Luftfeuchtigkeit: 20 ÷ 80% ohne Kondensation.

10.3 Bei Maschinenstörungen

Ziehen Sie den Netzstecker des Gerätes Vision X und rufen Sie eine Fachkraft, wenn sich folgende Bedingungen einstellen:

- Wenn das Netzkabel beschädigt oder abgenutzt ist.
- Wenn Flüssigkeit in das Produkt eingedrungen ist.
- Wenn das Gerät Regen oder Wasser ausgesetzt worden ist.
- Wenn das Gerät bei Befolgung der Bedienungsanweisungen nicht korrekt funktioniert.
- Wenn das Gerät beschädigt oder hingefallen ist.
- Wenn die Geräteleistungen deutlich nachlassen und damit anzeigen, dass das Gerät gewartet werden muss.

Nehmen Sie nur solche Einstellungen vor und ersetzen Sie nur Bauteile, die in diesem Handbuch erwähnt werden.

Wenn Sie versuchen, Einstellungen vorzunehmen, die nicht in dem Handbuch erwähnt werden, laufen Sie Gefahr, das Gerät zu beschädigen; außerdem verfällt die Garantie.

Ungenehmigte Einstellungen oder Reparaturen können später außergewöhnliche Arbeiten durch eine Fachkraft erfordern, um das Gerät wieder in die normalen Betriebsbedingungen zu versetzen.

10. Mise au rebut des équipements électriques et électroniques (WEEE)

POUR LES PAYS DE L'UNION EUROPÉENNE (UE)

L'Union européenne a établi que les équipements électriques et électroniques actuellement sur le marché contiennent des composants et des matériaux pouvant être réutilisés ou recyclés afin de réduire la masse de déchets jetés dans des centres d'enfouissement et autres décharges. Dans cette optique, l'UE appelle à ne pas collecter ou jeter les déchets d'équipements électriques et électroniques (WEEE) avec des déchets tout venant issus des ménages ou des entreprises. Ils doivent faire l'objet d'une collecte sélective. La mise au rebut de (WEEE) dans des décharges non équipées et non homologuées peut avoir des conséquences nocives pour la santé et l'environnement. Les contrevenants s'exposent aux sanctions et autres mesures établies par la loi.
Dans cette optique, les produits Panini portent le pictogramme de la « poubelle barrée » prévu par la Directive (WEEE) de l'Union européenne. Ce pictogramme indique l'obligation de procéder à la collecte sélective des équipements électriques et électroniques mis sur le marché après le 13 août 2005, conformément à la directive européenne (WEEE) 2002/96/CE (et à ses amendements suivants), ainsi qu'aux lois en vigueur dans chaque pays.

Pour la mise au rebut de vos (WEEE):

- demandez aux autorités locales compétentes ou à un distributeur local de vous donnez les informations pratiques et les indications dont vous avez besoin pour une gestion appropriée de vos déchets comme, par exemple, l'adresse et les horaires des centres de collecte des déchets, etc.
- quand vous achetez un nouvel appareil électrique ou électronique, remettez votre ancien appareil au revendeur pour qu'il se charge de son élimination.

POUR LES AUTRES PAYS (HORS UE)

Le traitement, la collecte, le recyclage et l'élimination des équipements électriques et électroniques doivent être effectués conformément à la législation en vigueur dans le pays concerné.

10.1 Destinataires

Ce manuel s'adresse principalement au personnel chargé du traitement de chèques ou d'autres documents.

10.2 Consignes de sécurité

Avant l'utilisation ou la maintenance de votre Vision X conformément aux indications de ce manuel, il est important d'avoir entièrement lu et bien compris ces consignes de sécurité.

- Portez des vêtements appropriés. Ne portez pas de vêtements amples ou de bijoux et attachez les cheveux longs pour éviter qu'ils ne soient happés par les pièces en mouvement.
- Ne posez aucun objet sur le cordon d'alimentation. Installez le Vision X en veillant à ce que personne ne risque de marcher sur le cordon d'alimentation.
- Débranchez toujours le Vision X avant de le nettoyer.
- Ne tentez pas d'intervenir sur le Vision X pour sa maintenance ou sa réparation, sauf pour les interventions explicitement décrites dans ce manuel.
- Toute tentative d'intervenir sur l'alimentation externe du Vision X expose l'opérateur à des hautes tensions ou d'autres dangers.
- Pour toutes les opérations d'entretien et les réparations, faites appel à du personnel de maintenance qualifié.

Remarque:

- Le Vision X n'est conforme aux normes CEI/EN 60950-1 et UL 60950-1 qu'en cas d'utilisation de l'alimentation modèle DSA-0421S-28 1 42 fournie avec la machine.
- La prise de courant doit être installée près de l'équipement et doit être facilement accessible.
- CONDITIONS DE FONCTIONNEMENT: Température: 15 ÷ 35°C. Humidité: 20 ÷ 80 % H.R. sans condensation.

10.3 Si l'appareil est endommagé

Débranchez le Vision X de la prise murale et faites appel à du personnel qualifié :

- si le cordon d'alimentation est endommagé ou fissuré ;
- si du liquide a pénétré dans l'appareil ;
- si l'appareil a été exposé à la pluie ou à de l'eau ;
- si l'appareil ne fonctionne pas normalement bien que les instructions d'utilisation aient été respectées ;
- si l'appareil est tombé ou a subi des dommages ;
- si l'appareil a besoin d'une vérification suite à une altération quelconque de son fonctionnement.

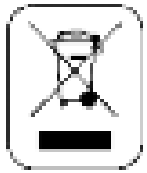
Procédez uniquement aux réglages et aux remplacements décrits dans ce manuel.
Si vous tentez d'effectuer un réglage non indiqué dans ce manuel, vous risquez de causer des dommages à l'appareil. Ces dommages ne sont pas couverts par la garantie.
Les réglages ou réparations effectués sans autorisation peuvent exiger l'intervention d'un technicien qualifié pour rétablir les conditions de fonctionnement de l'appareil.

10. Smaltimento corretto delle apparecchiature elettriche ed elettroniche (WEEE)

PER I PAESI MEMBRI DELL'UNIONE EUROPEA (EU)

La Commissione dell'Unione Europea ha stabilito che le apparecchiature elettriche ed elettroniche attualmente presenti sul mercato contengono parti e componenti che possono essere adeguatamente riutilizzati o riciclati per ridurre le quantità di materiali destinati in ultimo alle discariche e ad altri siti di smaltimento. Per rispettare questa decisione, le apparecchiature elettriche ed elettroniche (WEEE) non devono essere raccolte o smaltite nei normali cassonetti di raccolta sia dai privati cittadini che dalle aziende. Devono invece essere oggetto di raccolta differenziata. La discarica di questi dispositivi presso luoghi non adeguatamente attrezzati e non autorizzati può avere effetti nocivi sulla salute e sull'ambiente. I trasgressori saranno passibili delle sanzioni e dei provvedimenti previsti dalla legge.

A tal fine, i prodotti Panini sono debitamente contrassegnati dal marchio stabilito dalla direttiva WEEE dell'Unione Europea, costituito dal simbolo da un bidone della spazzatura barrato da una croce per indicare che le apparecchiature elettriche ed elettroniche immesse sul mercato dopo il 13 agosto 2005 devono essere smaltite in modo differenziato, ai sensi della Direttiva WEEE 2002/96/CE (e successivi emendamenti) e della legislazione nazionale.



Per smaltire i nostri dispositivi correttamente:

- Contattare le autorità o il distributore locali, che forniranno le informazioni pratiche e le istruzioni necessarie per smaltire correttamente il prodotto, per esempio: luogo e orari dei centri di raccolta rifiuti, ecc.
- Al momento dell'acquisto di un nostro nuovo dispositivo, è possibile consegnare un dispositivo simile a quello acquistato al nostro distributore, che si occuperà dello smaltimento.

PER ALTRI PAESI (EXTRA UE)

Il trattamento, la raccolta, il riciclaggio e lo smaltimento delle apparecchiature elettriche ed elettroniche dovrà avvenire in conformità alle leggi in vigore nel paese di residenza.

10.1 A chi è rivolto il presente manuale

Il presente manuale è rivolto principalmente al personale che elabora gli assegni o altri documenti.

10.2 Precauzioni di sicurezza

Prima di mettere in funzione o effettuare interventi di manutenzione su Vision X nel rispetto delle istruzioni del presente manuale, assicurarsi di aver letto e compreso le presenti importanti istruzioni di sicurezza.

- Indossare indumenti sicuri. Non indossare indumenti larghi, non portare capelli sciolti o gioielli che potrebbero rimanere impigliati nelle parti in movimento dell'apparecchio.
- Non appoggiare oggetti sul cavo di alimentazione. Non posizionare Vision X in punti in cui sia possibile calpestare il cavo di alimentazione.
- Staccare sempre Vision X dalla presa di alimentazione prima di pulirlo.
- Non tentare di effettuare interventi di manutenzione o riparazione su Vision X, eccetto secondo le istruzioni impartite in altri punti del presente manuale.
- Eventuali tentativi di manutenzione o riparazione dell'alimentatore esterno di Vision X possono esporre a pericolosi picchi di tensione o ad altri rischi.
- Per tutti gli aspetti della manutenzione, fare riferimento a personale qualificato.

Nota:

- Vision X sarà conforme alle norme CEI/EN 60950-1 e UL 60950-1 solo utilizzando l'alimentatore modello DSA-0421S-28 1 42 fornito in dotazione con l'apparecchio.
- La presa deve essere installata nelle vicinanze dell'apparecchio e in una posizione facilmente accessibile.
- CONDIZIONI DI ESERCIZIO: Temperatura: 15 ÷ 35°C. Umidità: 20 ÷ 80% Umidità relativa non condensante.

10.3 Se l'apparecchio è danneggiato

Scollegare la spina di Vision X dalla presa a muro e, nei seguenti casi, rivolgersi a personale qualificato per un intervento di manutenzione:

- Se il cavo di alimentazione è danneggiato o usurato.
- Se è penetrato del liquido nell'apparecchio.
- Se l'apparecchio è stato esposto a pioggia o acqua.
- Se l'apparecchio non funziona normalmente pur rispettando le istruzioni di sicurezza.
- Se l'apparecchio è caduto o ha subito danni.
- Se l'apparecchio mostra chiari segni di calo di prestazioni, indicando così la necessità di un intervento di manutenzione.

Regolare unicamente i comandi e sostituire solo le parti coperte da istruzioni nel presente manuale.
Tentando di effettuare regolazioni non coperte dal presente manuale, l'apparecchio si potrebbe danneggiare, invalidando pertanto la garanzia.
Regolazioni o riparazioni non autorizzate possono determinare la necessità di un lungo intervento da parte di un tecnico qualificato per riportare l'apparecchio alle corrette condizioni di funzionamento.

10. Cómo deshacerse correctamente de los equipos eléctricos y electrónicos (WEEE)

PARA LOS PAÍSES DE LA UNIÓN EUROPEA (UE)

La Comisión Europea ha determinado que los equipos eléctricos y electrónicos comercializados actualmente contienen piezas y componentes que se pueden volver a utilizar o reciclar para reducir las cantidades de materiales que invaden los vertederos y otras zonas destinadas a los desechos. Con el fin de respetar esta decisión, los residuos de aparatos eléctricos y electrónicos (WEEE) no deberían ser recogidos ni eliminados junto con los residuos sin clasificar de los hogares o empresas. Se deben recoger por separado. Arrojar estos dispositivos en lugares no-equipados o no-autorizados puede tener consecuencias peligrosas para la salud y el medioambiente. Los infractores sufrirán las penas y las medidas establecidas por ley.

Por todo ello, los productos Panini están debidamente marcados con el símbolo de la papelera tachada, según obliga la normativa (WEEE) de la Unión Europa, para indicar que es necesario realizar una recogida selectiva de los aparatos eléctricos y electrónicos comercializados después del 13 de agosto de 2005, con arreglo a la normativa (WEEE) 2002/96/EC (y sus posteriores enmiendas) y según las leyes nacionales de cada país miembro.

Para deshacerse de los aparatos correctamente:

- Póngase en contacto con las Autoridades Locales o con su distribuidor local, quien le proporcionará la información práctica que necesite y las instrucciones para desechar correctamente el aparato, por ejemplo: Ubicación y horarios de los centros de recogida, etc.
- Cuando compre un aparato nuevo de Panini, entregue a nuestro distribuidor un aparato similar usado para que lo deseche.

PARA OTROS PAÍSES (FUERA DE LA UE)

El tratamiento, la recogida, el reciclaje y la eliminación de aparatos eléctricos y electrónicos se realizarán con arreglo a las leyes en vigor en el país en cuestión.

10.1 Público objetivo

Este manual ha sido redactado principalmente para el personal que realiza las comprobaciones o procesa otros documentos.

10.2 Instrucciones de Seguridad

Antes de empezar a utilizar el Vision X tal y como se indica en este manual, asegúrese de leer y comprender estas importantes instrucciones de seguridad.

- Debe vestirse con prendas seguras. No lleve ropa floja, pelo largo o joyas que puedan engancharse en las piezas en movimiento.
- No permita que nada repose sobre el cable eléctrico. No coloque el Vision X donde alguien pueda pisar el cable.
- Desconecte siempre el Vision X antes de limpiarlo.
- No intente realizar el mantenimiento o las reparaciones del Vision X, de otra forma que no se la indicada en este manual.
- Si intenta realizar el mantenimiento o las reparaciones del suministro de potencia externo del Vision X puede exponerse a picos de tensión peligrosos u otros riesgos.
- Encargue siempre el mantenimiento al personal de servicio cualificado.

Nota:

- Vision X respetará las normas IEC/EN 60950-1 y UL 60950-1 utilizando sólo el modelo de Suministro de Energía DSA-0421S-28 1 42 suministrado con el aparato.
- La salida del enchufe deberá estar instalada cerca del equipo y deberá ser fácil acceder a ella.
- CONDICIONES DE FUNCIONAMIENTO: Temperatura: 15 ÷ 35°C. Humedad: 20 ÷ 80% H.R. Sin condensación.

10.3 Si el Aparato Está Estropeado

Desenchufe el Vision X de la toma de corriente de la pared y encargue el mantenimiento al personal cualificado si se dan las siguientes condiciones:

- Si el cable eléctrico está dañado o desgastado.
- Si se ha derramado líquido en el producto.
- Si el aparato ha quedado expuesto a la lluvia o el agua.
- Si el aparato no funciona con normalidad cuando se siguen las instrucciones de funcionamiento.
- Si el aparato ha quedado expuesto a la lluvia o el agua.
- Si el aparato muestra un claro cambio en el funcionamiento que indique que hay que repararlo.

Ajuste sólo los controles y repare sólo los elementos cubiertos por las instrucciones de este manual.
Si intenta realizar ajustes que no estén cubiertos en este manual, puede dañar el aparato e invalidar la garantía.
Los ajustes o reparaciones no-autorizados pueden requerir posteriormente un trabajo más importante a cargo de un técnico cualificado, con vistas a restituir al aparato sus condiciones de funcionamiento adecuadas.

10. Eliminação adequada de equipamento eléctrico e electrónico (WEEE)

PARA PAÍSES PERTENCENTES À UNIÃO EUROPEIA (UE)

A Comissão Europeia da União Europeia determinou que o equipamento eléctrico e electrónico no mercado actual contém partes e componentes que podem ser devidamente recuperados e reciclados para reduzir as quantidades de materiais eliminados em lixeiras e aterros. Para cumprir esta determinação, os resíduos de equipamento eléctrico e electrónico (WEEE) não devem ser recolhidos ou eliminados juntamente com lixo indiferenciado proveniente de casas particulares ou empresas. Em vez disso, devem ser recolhidos separadamente. A descarga destes dispositivos em locais não equipados e não autorizados pode ter efeitos prejudiciais para a saúde e o meio ambiente. Os transgressores serão sujeitos a multas e medidas estabelecidas pela legislação. Neste sentido, os produtos Panini estão devidamente marcados com o símbolo do caixote do lixo barrado com uma cruz (Directiva (WEEE) da União Europeia), para indicar a necessidade de uma recolha separada de equipamento eléctrico e electrónico comercializado após 13 de Agosto de 2005, de acordo com a directiva (WEEE) 2002/96/CEE (e posteriores alterações) e a legislação nacional.

Para eliminar os aparelhos correctamente:

- Contacte as autoridades competentes ou o distribuidor local, que lhe fornecerá as informações práticas de que necessita e as instruções para o tratamento adequado do lixo, por exemplo: localização e horário dos centros de recolha de resíduos, etc.
- Quando adquirir um novo aparelho, entregue ao seu distribuidor um aparelho usado semelhante ao que acabou de adquirir, para garantir uma eliminação adequada.

PARA OUTROS PAÍSES (NÃO PERTENCENTES À UE)

O tratamento, recolha, reciclagem e eliminação de aparelhos eléctricos e electrónicos será efectuado de acordo com a legislação em vigor no país em questão.

10.1 Público alvo

Este manual destina-se principalmente ao pessoal responsável pelas verificações ou outros documentos.

10.2 Precauções de segurança

Antes de começar a utilizar ou a efectuar a manutenção do seu Vision X de acordo com as instruções neste manual, certifique-se de que leu e compreendeu estas importantes precauções de segurança.

- Use vestuário de protecção. Não use roupa folgada, cabelo comprido ou jóias que possam ficar presas nas partes em movimento.
- Não apoie nada no cabo de alimentação. Não coloque o Vision X em locais onde as pessoas possam pisar o cabo.
- Desligue sempre o Vision X antes das operações de limpeza.
- Não tente efectuar operações de manutenção ou reparação no Vision X, salvo indicações em contrário neste manual.
- A tentativa de efectuar operações de manutenção ou reparação na alimentação externa do Vision X pode expô-lo a picos de tensão perigosos ou outros riscos.
- Confie estas operações a pessoal de assistência qualificado.

Nota:

- O Vision X estará em conformidade com as normas IEC/EN 60950-1 e UL 60950-1 utilizando apenas o modelo de alimentação de energia DSA-0421S-28 1 42 fornecido com a máquina.
- A tomada será instalada próximo do equipamento e deverá estar facilmente acessível.
- CONDIÇÕES DE FUNCIONAMENTO: Temperatura: 15 ÷ 35°C. Humidade: 20 ÷ 80% H.R. não condensada.

10.3 Se a máquina estiver danificada

Desligue o Vision X da tomada e confie as operações de manutenção a pessoal qualificado nas seguintes condições:

- Se o cabo de alimentação estiver gasto ou danificado.
- Se se derramar líquido no produto.
- Se o equipamento tiver sido exposto à chuva ou água.
- Se o equipamento não funcionar normalmente quando se seguem as instruções de funcionamento.
- Se o equipamento tiver caído ou estiver danificado.
- Se o equipamento apresentar uma alteração visível em termos de desempenho, indicando uma necessidade de manutenção.

Ajuste apenas estes comandos e substitua apenas as peças abrangidas neste manual de instruções.
Se tentar realizar ajustes não abrangidos neste manual, poderá danificar o equipamento e anular a garantia.
Ajustes ou reparações não autorizados podem resultar na necessidade de operações alargadas por parte de um técnico qualificado para fazer regressar o equipamento à sua condição de funcionamento adequada.

10. Correct afdanken volgens de elektrische en elektronische apparaten WEEE-richtlijn

VOOR LANDEN IN DE EUROPESE UNIE (EU)

De Europese Commissie van de Europese Unie heeft bepaald dat elektrische en elektronische apparaten die tegenwoordig op de markt zijn onderdelen en componenten bevatten die op correcte wijze hergebruikt of gerecycled kunnen worden teneinde de hoeveelheid materiaal die uiteindelijk op stortterreinen en andere afvalplaatsen terecht komt te verminderen. Om aan deze bepaling te voldoen, mag afgedankte elektrische en elektronische apparatuur (WEEE) niet ingezameld of weggegooid worden samen met ongesorteerd afval van particuliere huishoudens of bedrijven. Het dient daarentegen gescheiden te worden ingezameld. Het weggoien van deze apparaten op plaatsen die daarvoor niet ingericht en bevoegd zijn kan gevaarlijke gevolgen hebben voor de gezondheid en het milieu. Overtreders zullen onderworpen worden aan de in de wet vastgestelde boetes en maatregelen.

Daarom zijn de producten van Panini overeenkomstig voorzien van het door de Europese WEEE-richtlijn voorgeschreven symbool van de doorgekruiste verrijdbare afvalbak om de vereiste aan te geven van gescheiden inzameling van elektrische en elektronische apparatuur die na 13 augustus 2005 op de markt is gebracht, in overeenstemming met de WEEE-richtlijn 2002/96/EG (en hierna volgende amendementen) en uw nationale wetten.

Om uw apparatuur op de juiste wijze af te danken:

- kunt u contact opnemen met de plaatelijke autoriteiten of plaatselijke distributeur, die u de noodzakelijke practische informatie en de aanwijzingen voor het op de juiste hanteren van het afval zal geven, bijvoorbeeld: plaats en openingstijden van de afvalinzamelcentra, enz.
- Indien u een nieuw apparaat van ons aanschaft, lever dan een vergelijkbaar apparaat in bij onze distributeur voor verwerking tot afval.

VOOR ANDERE LANDEN (NIET BINNEN DE EU)

De behandeling, inzameling, recycling en afvalverwerking van elektrische en elektronische apparatuur dient te geschieden in overeenstemming met de geldende wetten in het betreffende land.

10.1 Doelgroep

Deze handleiding is in de eerste plaats geschreven voor personeel die controles uitvoert of andere documenten samenstelt.

10.2 Veiligheidsmaatregelen

Verzeker u er alstublieft van dat u, voordat u uw Vision X in gebruik neemt of enig onderhoud verricht zoals beschreven in deze handleiding, deze belangrijke veiligheidsinstructies gelezen en begrepen hebt.

- Draag veilige kleding. Draag geen loshangende kleding, lang haar of juwelen die verstrikt kunnen raken in bewegende delen.
- Laat niets op het voedingssnoer staan. Zet de Vision X niet op plaatsen waar mensen over het snoer kunnen lopen.
- Trek de stekker van de Vision X altijd uit het stopcontact voordat u hem schoonmaakt.
- Probeer geen onderhoud of reparaties te verrichten aan de Vision X, behalve als deze handelingen elders in deze handleiding beschreven zijn.
- Als u probeert onderhoud of reparaties te verrichten aan de externe elektrische voeding van de Vision X loopt u het risico van blootstelling aan een hoog voltage of andere risico's.
- Laat alle onderhoudswerkzaamheden over aan gekwalificeerd onderhoudspersoneel.

Opmerking:

- De Vision X voldoet alleen aan de norm IEC/EN 60950-1 en UL 60950-1 wanneer de Voeding, model DSA-0421S-28 1 42, die bij de machine geleverd is, gebruikt wordt.
- De uitgang van het stopcontact dient vlakbij de apparatuur geïnstalleerd te worden en moet makkelijk toegankelijk zijn.
- BEDIENINGSVOORWAARDEN: Temperatuur: 15 ÷ 35°C. Vochtigheidsgraad: 20 ÷ 80% R.H. Niet-Condenerend.

10.3 Als de machine beschadigd is

Trek de stekker van de Vision X uit het stopcontact en wend u voor onderhoud tot gekwalificeerd personeel, in de volgende omstandigheden:

- Als de voedingskabel beschadigd of gerafeld is.
- Als er vloeistof in het product gemorst is.
- Als de apparatuur blootgesteld geweest is aan regen of water.
- Als de apparatuur niet normaal werkt terwijl de bedieningsinstructies zijn opgevolgd.
- Als de apparatuur gevallen of beschadigd is.
- Als de apparatuur een duidelijke verandering in de prestatie vertoont, hetgeen aangeeft dat onderhoud nodig is.

Stel alleen die bedieningselementen af en vervang uitsluitend die onderdelen die beschreven zijn in de instructies in deze handleiding.

Als u tracht aanpassingen te maken die niet zijn beschreven in deze handleiding, kunt u de apparatuur beschadigen en de garantie ongeldig maken.

Onbevoegde aanpassingen of reparaties kunnen leiden tot de noodzaak van uitgebreide werkzaamheden door een gekwalificeerd technicus, om de apparatuur weer terug te brengen in de toestand van goede werking.

10. Korrekt kassering av elektrisk og elektronisk utstyr (WEEE)

FOR LAND I DEN EUROPEISKE UNION (EU)

Europakommisjonen i EU har slått fast at elektrisk og elektronisk utstyr på dagens marked inneholder deler og komponenter som på korrekt vis kan brukes på nytt eller bli resirkulert, slik at mengdene av materialer som tilslutt blir kastet på fyllplasser og andre søppelområder, reduseres. For å forholde seg til denne beslutningen må man ikke samle opp eller kaste elektrisk og elektronisk utstyr sammen med usortert søppel fra privathusholdninger eller fra forretningsvirksomheter. Det må derimot samles inn særskilt. Det kan ha skadelig innvirkning på helse og miljø hvis slike innretninger kastes på steder som ikke har autorisasjon eller utstyr. Gjerningspersoner vil kunne bli gjenstand for de straffereaksjoner og -tiltak som er fastsatt i lovverket. I denne sammenheng er Panini-produktene korrekt merket med symbolet bestående av en søppelbøtte med et kryss over, som angitt i EUs WEEE-direktiv. Dette angir kravet om særskilt innsamling av elektrisk og elektronisk utstyr som kom på markedet etter 13. august 2005 i henhold til WEEE-direktiv 2002/96/EC (og senere endringer) og din nasjonale lovgivning.

Slik kasserer du innretningene på korrekt vis:

- Kontakt lokale myndigheter eller lokal distributør, som vil gi deg den praktiske informasjonen du behøver og veiledninger for å håndtere søppel korrekt, for eksempel: Lokasjon og åpningstider til søppeloppsamlingssentrene osv.
- Når du kjøper en ny innretning fra oss, kan du gi til distributøren vår en innretning som er lik den du kjøper, for kassering.

FOR ANDRE LAND (IKKE I EU)

Behandlingen, innsamlingen, resirkuleringen og kasseringen av elektriske og elektroniske innretninger vil bli utført i samsvar med lovverket som gjelder i det aktuelle landet.

10.1 Målgruppe

Denne håndboken er hovedsakelig skrevet for personer som behandler kontroller og andre dokumenter.

10.2 Sikkerhetsforanstaltninger

Før du begynner å bruk eller foreta service på Vision X som angitt i denne håndboken, må du lese og forstå disse viktige sikkerhetsveiledningene.

- Kle deg sikkert. Ikke bruk løstsittende klær, ikke ha langt hår eller smykker som kan henge seg opp i bevegelige deler.
- Ikke la noe ligge oppå strømledningen. Ikke plasser Vision X der du risikerer at noen tråkker på ledningen.
- Koble alltid Vision X fra før rengjøring.
- Ikke prøv å utføre service eller reparasjoner på Vision X bortsett fra det som det er gitt veiledning om andre steder i denne håndboken.
- Du kan bli utsatt for farlig spenning eller andre farer hvis du prøver å utføre service eller reparasjoner på den eksterne strømforsyningen til Vision X.
- Henvis all service til kvalifisert servicepersonell.

Merk:

- Vision X er i samsvar med standarden IEC/EN 60950-1 og 60950-1 kun bruk av strømforsyningsmodell DSA-0421S-28 1 42 som leveres med maskinen.
- Kontaktuttaket må installeres nær utstyret og være lett tilgjengelig.
- BRUKSFORHOLD: Temperatur: 15 ÷ 35° C. Fuktighet: 20 ÷ 80 % R.H. ikke-kondenserende.

10.3 Hvis maskinen er skadet

Trekk ut ledningen til Vision X fra uttaket i veggen, og henvis servicen til kvalifisert personell under følgende forhold:

- Hvis strømledningen er skadet eller slitt.
- Hvis det er sølt væske inn i produktet.
- Hvis utstyret har vært utsatt for regn eller vann.
- Hvis utstyret ikke virker normalt når bruksveiledningene følges.
- Hvis utstyret har falt i bakken eller er blitt skadet.
- Hvis utstyret viser en tydelig endring i ytelsen, som angir behov for service.

Juster kun de kontrollene, og bytt kun ut de elementene som omfattes av veiledningene i denne håndboken.

Hvis du prøver å foreta justeringer som ikke omfattes av denne håndboken, kan du skade utstyret og ugyldiggjøre garantien.

Uautoriserte justeringer eller reparasjoner kan føre til at det blir nødvendig med omfattende arbeider utført av kvalifisert tekniker for at utstyret skal bli satt tilbake i skikkelig stand.

10. Korrekt kassering av elektroniska komponenter enligt (WEEE)

FÖR LÄNDER INOM DEN EUROPEISKA UNIONEN (EU)

Europakommissionen i den Europeiska Unionen har fastställt att elektronisk utrustning som finns på marknaden idag innehåller delar och komponenter som kan återanvändas eller återvinnas för att minska den mängd material som slutligen hamnar på tippen och andra sopförvaringsplatser. För att tillgodose denna bestämmelse skall avfall från elektriska och elektroniska produkter (WEEE) inte samlas upp tillsammans med osorterat avfall från privata hushåll eller företag. Det skall istället samlas in separat. Att dumpa dessa apparater på icke härför utrustade eller icke-auktoriserade platser kan ha en farlig inverkan på vår hälsa och miljö. Lagöverträdare blir föremål för de åtal och straff som lagen föreskriver.
Därför är Panini-produkter märkta med det härför avsedda EU-märket (WEEE): en symbol med en överkryssad soptunna som visar att den skall gå till separat uppsamling enligt den lag som säger att elektriska och elektroniska produkter som når marknaden efter den 13 augusti 2005 skall återvinnas enligt WEEE-direktivet 2002/96/EG (och senare tillägg) och enligt lokal lagstiftning.

För att skrota våra produkter på ett korrekt vis:

- Kontakta dina lokala myndigheter eller din lokala återförsäljare: de kan ge dig de praktiska upplysningar som du behöver och alla instruktioner om hur du korrekt skall behandla dessa sopor, till exempel: plats och öppettider för sopstationer, osv
- Då du handlar en ny apparat av oss, kan du lämna den gamla apparaten hos vår återförsäljare som ser till att skrota den på korrekt vis.

FÖR ANDRA LÄNDER (UTANFÖR DEN EUROPEISKA UNIONEN (EU)

Behandling, insamling, återvinning och skrotning av elektrisk och elektronisk utrustning skall utföras i enlighet med de lokala lagarna i landet i fråga.

10.1 Målgrupp

Denna manual är först och främst skriven för den personal som utför kontroll och annan dokumentation.

10.2 Säkerhetsföreskrifter

Innan du börjar använda eller serva din VisionX enligt instruktionerna i denna manual, skall du läsa och förstå dessa viktiga säkerhetsinstruktioner.

- Klä dig säkert. Använd inte lössittande kläder eller smycken, och ha inte långt hår - dessa kan alla fastna i rörliga delar.
- Se till att ingenting står på strömkabeln. Placera inte VisionX på en plats där folk måste kliva på eller över strömkabeln.
- Koppla alltid loss VisionX från strömförande nät innan du rengör den.
- Utför inget underhåll eller reparation på VisionX, förutom enligt de instruktioner du finner i denna manual.
- Att försöka serva eller reparera det yttre strömförsörjningspaketet på VisionX kan utsätta dig för farligt höga volttal och andra risker.
- Se till att allt underhållsarbete utförs av kvalificerad underhållspersonal.

OBS:

- Vision X är endast i överensstämmelse med standard IEC/EN 60950-1 och UL 60950-1 om Strömförsörjningsenhet av modell DSA-0421S-28 1 42 används, den medföljer maskinen.
- Vägguttaget skall vara placerat i närheten av utrustningen och skall vara lättåtkomligt.
- DRIFTSFÖRHÅLLANDEN: Temperatur: 15 ÷ 35 °C. Luftfuktighet: 20 ÷ 80 % relativ luftfuktighet, icke-kondenserande.

10.3 Om maskinen är skadad

Koppla bort Vision X från strömförande nät och se till att underhållet utförs av kvalificerad personal vid dessa tillfällen:

- Om den strömförande kabeln är skadad eller sliten.
- Om vätska spillts i maskinen.
- Om utrustningen har utsatts för regn eller vatten.
- Om utrustningen inte fungerar normalt trots att driftsinstruktionerna följs.
- Om utrustningen har tappats eller skadats.
- Om utrustningen uppvisar nedsatt prestanda, något som tyder på behov för undehåll.

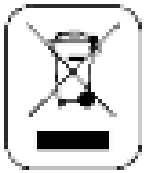
Justera endast de reglage och byt endast ut de delar som finns omnämnda i denna manual.
Om du försöker att justera sådant som inte behandlas i denna manual, kan du eventuellt skada utrustningen och då ogiltigförklaras garantin.
Icke-auktoriserade ingrepp eller reparationer kan resultera i betydande arbetsinsats av en kvalificerad tekniker för att återställa utrustningen till dess korrekta driftskondition.

10. Sähkö- ja elektroniikkalaitteiden oikea hävittäminen (WEEE)

EUROOPAN UNIONIN MAAT (EU)

Euroopan Unionin komissio on päättänyt, että nykyään markkinoilla olevat sähköiset ja elektroniset laitteet sisältävät osia ja komponentteja, joita voidaan uudelleenkäyttää tai kierrättää sellaisten jätteiden vähentämiseksi, jotka käytetään täyttömaana tai viedään kaatopaikalle. Tämän päätöksen mukaisesti sähkö- ja elektroniikkalaiteromua (WEEE) ei saa kerätä tai hävittää yhdessä lajittelemattomien kotitalous- tai yhdyskuntajätteiden kanssa. Se on kerättävä erikseen. Näiden laitteiden jättäminen varustelemattomiin tai valtuuttamattomiin paikkoihin saattaa aiheuttaa vaaraa terveydelle ja ympäristölle. Rikkomuksentekijöitä rangaistaan lain mukaisesti.

Tätä varten Panini-tuotteet on asianmukaisesti merkitty Euroopan Unionin WEEE-direktiivin mukaisella merkillä, jossa on risti jäteastian päällä, joka osoittaa, että 13. elokuuta 2005 jälkeen markkinoille tulleet sähkö- ja elektroniikkalaitteet täytyy WEEE-direktiivin 2002/96/EY (ja myöhempien muutosten) mukaisesti kerätä erikseen.



Laitteiden asianmukainen hävittäminen:

- Ota yhteys paikallisiin viranomaisiin tai jälleenmyyjään, joilta saat tarvitsemasi käytännön tiedot ja ohjeet romun käsittelemistä varten, esimerkiksi: keräyskeskusten sijainti ja aukioloajat jne.
- Kun hankit uuden laitteen, palauta samanlainen käytetty laite jälleenmyyjälle hävittämistä varten.

MUUT MAAT (EI EU)

Sähkö- ja elektroniikkaromun käsittely, kerääminen, kierrätys ja hävittäminen on tehtävä maassa voimassa olevien lakien mukaisesti.

10.1 Kenelle opas on tarkoitettu

Tämä opas on laadittu ennen kaikkea henkilökunnalle, joka käsittelee shekkejä tai muita asiakirjoja.

10.2 Turvallisuusvarotoimet

Varmista, että olet lukenut ja ymmärtänyt nämä tärkeät turvaohjeet ennen kuin alat käyttää tai huoltaa Vision X -laitetta.

- Pukeudu turvallisesti. Älä käytä löysiä vaatteita, älä pidä pitkää tukkaa auki, älä käytä koruja, jotka saattavat tarttua liikkuviin osiin.
- Virtajohdon päällä ei saa olla mitään. Älä sijoita Vision X -laitetta paikkaan, jossa joku voi kävellä johdon päällä.
- Irrota pistoke aina pistorasiasta ennen Vision X -laitteen puhdistamista.
- Älä yritä huoltaa tai korjata Vision X -laitetta muuten kuin tässä oppaassa kuvatulla tavalla.
- Vision X:n virtajohdon huolto- tai korjausyritykset saattavat aiheuttaa sähköisku- tai muun vaaran.
- Anna kaikki huoltotoimet pätevän henkilökunnan tehtäväksi.

Huomaa:

- Vision X vastaa standardeja IEC/EN 60950-1 ja UL 60950-1 vain kun käytetään koneen mukana toimitettua virtajohtoa, malli DSA-0421S-28 1 42.
- Pistorasian täytyy olla laitteen lähellä ja sen on oltava helposti saavutettavissa.
- KÄYTTÖOLOSUHTEET: Lämpötila: 15 ÷ 35 °C. Kosteus: 20 ÷ 80 % S.K. tiivistymätön.

10.3 Jos kone on vahingoittunut

Kytke Vision X irti sähköverkosta ja anna huolto pätevän henkilökunnan tehtäväksi seuraavissa olosuhteissa:

- Jos virtajohto on vahingoittunut tai kulunut.
- Jos tuotteeseen on valunut nestettä.
- Jos laitteisto on ollut sateessa tai vedessä.
- Jos laitteisto ei toimi normaalisti kun käyttöohjeita noudatetaan.
- Jos laite on pudonnut tai vaurioitunut.
- Jos laitteen tehossa havaitaan selvä muutos, joka osoittaa, että huoltoa tarvitaan.

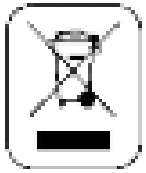
Säädä ainoastaan sellaisia asetuksia ja vaihda ainoastaan sellaisia osia, jotka kuvataan tässä oppaassa.
Jos yrität tehdä muita kuin tässä oppaassa kuvattuja säätöjä, laite voi vahingoittua ja takuu raukeaa.
Valtuuttamattomat säädöt tai korjaukset voivat johtaa tilanteeseen, jossa vaaditaan pätevän teknikon työskentelyä laitteen palauttamiseksi oikeisiin toimintaolosuhteisiin.

10. Σωστή απόρριψη των (WEEE)

ΓΙΑ ΧΩΡΕΣ ΣΤΗΝ ΕΥΡΩΠΑΪΚΗ ΕΝΩΣΗ (ΕΕ)

Η Ευρωπαϊκή Επιτροπή της Ευρωπαϊκής Ένωσης έχει καθορίσει ότι οι ηλεκτρικές και ηλεκτρονικές συσκευές στην αγορά σήμερα περιέχουν μέρη και εξαρτήματα τα οποία μπορούν να επαναχρησιμοποιηθούν ή να ανακυκλωθούν κατάλληλα για να μειωθούν οι ποσότητες των υλικών που τελικά απορρίπτονται σε χωματερές και άλλους χώρους απόρριψης.Για να εξυπηρετηθεί αυτή η απόφαση, τα απόβλητα ηλεκτρικού και ηλεκτρονικού εξοπλισμού (WEEE) δεν πρέπει να συλλέγονται ή να απορρίπτονται μαζί με τα απορρίμματα που δεν έχουν υποστεί διαλογή από ιδιωτικές κατοικίες ή επιχειρήσεις. Αντίθετα, πρέπει να συλλέγονται ξεχωριστά.Η απόρριψη αυτών των συσκευών σε χώρους χωρίς κατάλληλο εξοπλισμό ή εξουσιοδότηση μπορεί να έχει επικίνδυνες επιπτώσεις στην υγεία και το περιβάλλον.Οι παραβάτες θα υπόκεινται σε ποινές και μέτρα που καθορίζει η νομοθεσία.

Προς το σκοπό αυτό, τα προϊόντα της Panini φέρουν την κατάλληλη σήμανση με το σύμβολο του διαγραμμένου κάδου απορριμμάτων της Οδηγίας (WEEE) της Ευρωπαϊκής Ένωσης, για να υποδεικνύουν την ανάγκη για ξεχωριστή συλλογή του ηλεκτρικού και ηλεκτρονικού εξοπλισμού που κυκλοφόρησε στην αγορά μετά τις 13 Αυγούστου 2005, σύμφωνα με την οδηγία (WEEE) 2002/96/ΕΚ (και τις επακόλουθες τροπολογίες της) και την εθνική σας νομοθεσία.



Για να απορριφθούν σωστά οι συσκευές μας:

- Επικοινωνήστε με τις τοπικές αρχές ή τον τοπικό αντιπρόσωπο, οι οποίοι θα σας δώσουν τις πρακτικές συμβουλές που χρειάζεστε και τις οδηγίες για το σωστό χειρισμό των αποβλήτων, για παράδειγμα: τοποθεσίες και ώρες λειτουργίας των κέντρων συλλογής απορριμμάτων, κλπ.
- Όταν αγοράζεται μια καινούρια συσκευή μας, παραδώστε μια μεταχειρισμένη συσκευή παρόμοια με εκείνη που αγοράσατε στον αντιπρόσωπό μας για απόρριψη..

ΓΙΑ ΑΛΛΕΣ ΧΩΡΕΣ (ΟΧΙ ΣΤΗΝ ΕΕ)

Η επεξεργασία, συλλογή, ανακύκλωση και απόρριψη των ηλεκτρικών και ηλεκτρονικών συσκευών θα πραγματοποιείται σύμφωνα με την ισχύουσα νομοθεσία στη συγκεκριμένη χώρα.

10.1 Αποδέκτες

Το εγχειρίδιο αυτό γράφτηκε κυρίως για το προσωπικό που χειρίζεται τους ελέγχους ή άλλα έγγραφα.

10.2 Προφυλάξεις ασφαλείας

Πριν ξεκινήσετε τη λειτουργία ή το σέρβις του Vision X σύμφωνα με τις οδηγίες του παρόντος εγχειριδίου, παρακαλούμε βεβαιωθείτε ότι διαβάσατε και κατανοήσατε αυτές τις σημαντικές οδηγίες ασφαλείας.

- Ασφάλεια ένδυσης. Μη φοράτε χαλαρά ρούχα, μακριά μαλλιά ή κοσμήματα τα οποία μπορεί να μπλεχτούν σε κινούμενα μέρη.
- Μην αφήνετε τίποτε να ακουμπά πάνω στο καλώδιο τροφοδοσίας.Μην τοποθετείτε το Vision X σε σημείο όπου κάποιος μπορεί να πατήσει πάνω στο καλώδιο τροφοδοσίας.
- Πάντοτε αποσυνδέετε το Vision X από την πρίζα πριν τον καθαρισμό.
- Μην προσπαθήσετε να επισκευάσετε ή να συντηρήσετε το Vision X, με εξαίρεση τις οδηγίες που παρέχονται σε άλλο σημείο του παρόντος εγχειριδίου.
- Η προσπάθεια συντήρησης ή επισκευής της εξωτερικής παροχής τροφοδοσίας του Vision X μπορεί να σας εκθέσει σε σημεία με επικίνδυνες τάσεις ή άλλους κινδύνους.
- Αναθέστε κάθε συντήρηση σε εξειδικευμένο προσωπικό σέρβις.

Σημείωση:

- Το Vision X θα είναι σύμφωνο με το πρότυπο IEC/EN 60950-1 και UL 60950-1 χρησιμοποιώντας μόνο το μοντέλο Παροχής Τροφοδοσίας DSA-0421S-28 1 42 που διατίθεται με το μηχάνημα.
- Ο ρευματολήπτης θα πρέπει να είναι εγκατεστημένος κοντά στον εξοπλισμό και να είναι εύκολα προσβάσιμος.
- ΣΥΝΘΗΚΕΣ ΛΕΙΤΟΥΡΓΙΑΣ: Θερμοκρασία: 15 ÷ 35°C. Υγρασία: 20 ÷ 80%. Σ.Υ. Χωρίς συμπύκνωση.

10.3 Εάν το μηχάνημα πάθει ζημιά

Αποσυνδέστε το Vision X από την πρίζα στον τοίχο και αναθέστε τη συντήρηση σε εξειδικευμένο προσωπικό σέρβις υπό τους παρακάτω όρους:

- Εάν το καλώδιο τροφοδοσίας έχει υποστεί ζημιά ή έχει ξεφτίσει.
- Εάν έχει χυθεί υγρό πάνω στο προϊόν.
- Εάν η συσκευή εκτέθηκε σε βροχή ή νερό.
- Εάν η συσκευή δε λειτουργεί κανονικά όταν ακολουθούνται οι οδηγίες λειτουργίας.
- Εάν η συσκευή έπεσε ή έπαθε ζημιά.
- Εάν η συσκευή παρουσιάσει σαφή αλλαγή στην απόδοση, υποδεικνύοντας την ανάγκη για σέρβις.

Ρυθμίστε μόνο εκείνα τα χειριστήρια και αντικαταστήστε μόνο εκείνα τα εξαρτήματα τα οποία καλύπτονται από τις οδηγίες του παρόντος εγχειριδίου.
Εάν προσπαθήσετε να κάνετε ρυθμίσεις οι οποίες δεν καλύπτονται στο παρόν εγχειρίδιο, μπορεί να προκαλέσετε βλάβη στη συσκευή και να ακυρώσετε την εγγύηση.
Οι μη εξουσιοδοτημένες ρυθμίσεις μπορεί να προκαλέσουν την ανάγκη για εκτενή εργασία από εξειδικευμένο τεχνικό για την αποκατάσταση της συσκευής στην κανονική κατάσταση λειτουργίας της.

10. WEEE指令による電気・電子器具廃棄物の適正処理

10.1 本書の対象となる主体

Notes

OTCnet℠

Deposits Made Simple

Chapter 13: Queue Interface

OTCnet Participant User Guide

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TABLE OF CONTENTS

Audience 2
Audience 2
Overview and Topics 3
Overview 3
Topics 3
Topic 1. Queue Interface Overview 4
Queue Interface Purpose 4
Queue Interface Configuration 5
Summary 7
Notes 7
Glossary 8
Index 22

LIST OF FIGURES

Figure 1: Manage Organization screen 5
Figure 2: Enable Check Capture screen 6

Audience

Audience

The intended audience for the *Queue Interface–OTCnet*

- Agencies using Queue Interface
- Check Capture Administrator

Overview and Topics

Overview

Welcome to the *Queue Interface–OTCnet.* In this guide, you will learn how to:

- Configure the Queue Interface

Topics

This guide is organized by the following topics:

- Topic 1. Queue Interface Overview

Topic 1. Queue Interface Overview

Queue Interface Purpose

The purpose of the Queue Interface is to enable interaction between the OTCnet and military agency's internal systems. The Queue Interface will be used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors and discrepancy between both systems. Additional information includes:

- OTCnet feeds data one way to the Queue Interface
- Data is sent to the Queue when the following actions occur:
    - Scanned check is saved
    - Check is updated
    - Check is voided
    - Batch is created
    - Batch is closed
    - Batch is approved
    - Batch is Uploaded (for offline check capture application)
    - Update Batch totals
- OTCnet also logs any action that has been successfully sent to the Queue Interface
- After a batch is closed or data is changed within a batch the changed batch data and the changed item data will be transmitted to the Queue
- Once an agency's Queue Interface is enabled for a OTC Endpoint, all transactions processed after enablement are assumed to be sent to the Queue for Agency access
- If a batch is retransmitted, no items will be sent to the Queue
- Only successfully processed check and batch transactions will be sent to the Queue
- When a successful check transaction is completed to the Queue interface, the following message displays on the page, *DDS Transmission Completed*!
- Unsuccessful transactions with the Queue Interface do not prohibit check and batch processing in OTCnet**;** however, the following warning message is displayed to the user, "*DDS Transaction failed. Invalid DDS data*."
- OTCnet audit log contains Queue transaction status information

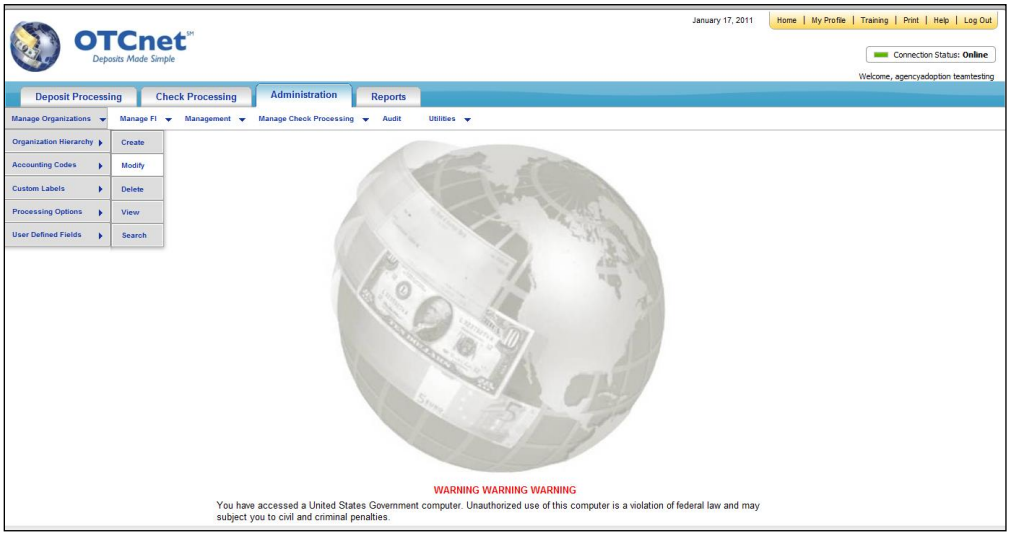
Queue Interface Configuration

In order to configure the Queue Interface you need to perform the steps in OTCnet listed below. You will also need to complete the OTCnet and DDS Interface configuration by performing some additional actions, which can be found in the DDS Interface Setup SOP.

Please note: Only the users with the **Check Capture Administrator** or **Check Capture Supervisor** role are able to setup the bridge with the Queue Interface. In OTCnet, establishing a bridge with the Queue Interface is done in the **Modify Organization Hierarchy** section using the following four steps:

1. From the **Administration** tab select **Manage Organization** menu, then select **Organization Hierarchy** and click **Modify** (See Figure 1 below). The *Step 1 of 3: Select Organization Endpoint* page appears.

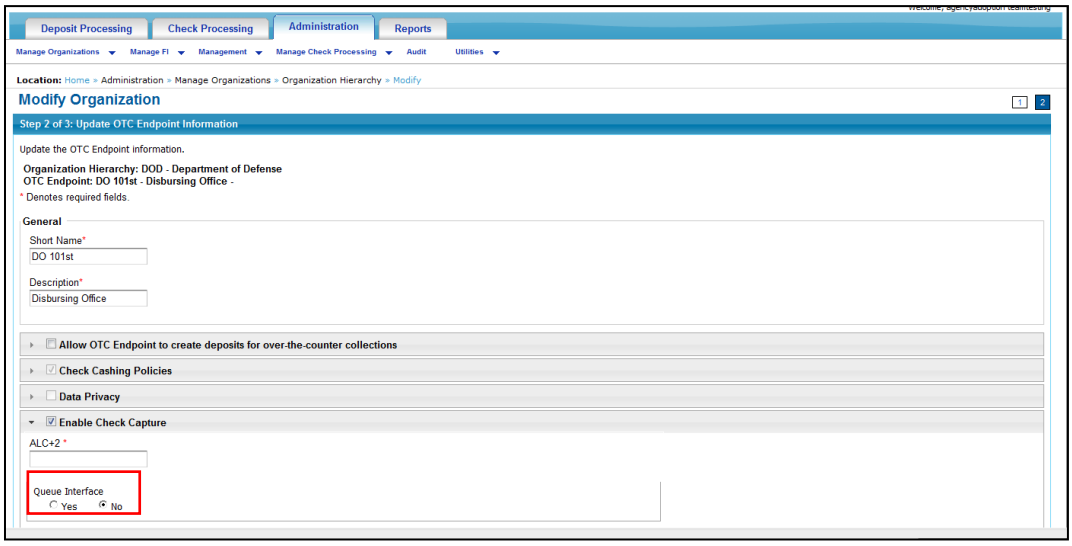
Figure 1: Manage Organization screen



2. Expand the hierarchy to select the OTC Endpoint that will be establishing a link with the Queue Interface. You will need to expand your organization hierarchy in order to use an active OTC Endpoint, for which you have access. The *Step 2 of 3: Define Processing Options* page appears.

3. Check **Enable Check Capture**, and then click **Yes** for **Queue Interface** (See Figure 2 below).

Figure 2: Enable Check Capture screen



4. Click **Next**, and then click **Submit** to save changes.

After the changes are submitted, the OTC Endpoint is now configured with the Queue Interface. Please note you can only configure the Queue Interface for OTC Endpoints that you are authorized to access.

Summary

In this guide, you learned how to:

- Configure the Queue Interface

.

Notes

Glossary

A

Access Groups by Users Report - This report displays the roles and the corresponding access groups of the role for a particular OTCnet user. The role assigns the permissions (functions/features) that a user has access to in OTCnet. The access group governs the OTC Endpoint(s) and the data that a user has permission to access.

Accounting Code - A unique agency classification code assigned to a transaction, which identifies the FRB Account Key that is used within the Federal Reserve. In check capture, it is a method of grouping individual check transactions into certain classifications. In deposit reporting, the classification is being done at a voucher level, where a voucher is being classified with one or many agency defined accounting codes or TAS.

Accounting Code Description - A brief explanation that provides further detail about an accounting code.

Accounting Code Name - The title of the accounting code.

Accounting Key - The account number assigned to a deposit when it is submitted to FRB CA$HLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CA$HLINK II CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

Accounting Specialist - A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet.

Acknowledged Batch Status – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

Acknowledged Error Batch Status – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which results in a batch being updated to Acknowledgment Error.

Activity Type - The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

Adjustment Activity (FI) Report - A business report that allows you to view adjustments made by your financial institution (FI).

Adjustment Activity (FRB) Report - A business report that allows you view adjustments made by your Federal Reserve Bank (FRB).

Adjustments by OTC Endpoints Report - A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

Agency CIRA Report - A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

Agency Contact - A person designated by an agency as the primary contact regarding deposit-related matters.

Agency Information - The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

Agency Location Code (ALC) - A numeric symbol identifying the agency accounting and/or reporting office.

Agency Location Code plus 2 (ALC+2) - A numeric symbol identifying the agency accounting and/or reporting office.

Agency Manager - A user that has authorization to view and download CIRA records and view reports.

Alternate Agency Contact – A person designated by an agency as the secondary contact regarding deposit-related matters.

American Bankers Association (ABA) - (also known as **Bank Routing Number**) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

Approved Batch Status - Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

Audit Log - A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a *comma separated value report (CSV)* and opened in a spreadsheet program or available to print in a formatted audit log report.

Automated Clearing House - A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

Awaiting Approval (AWAP) - A deposit that is waiting for deposit confirmation by a Deposit Approver.

B

Back Office Processing Method - Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

Batch - A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

Batch Approver - An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

Batch Control/Batch Balancing - An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

Batch ID - The unique number assigned to a batch by OTCnet.

Batch List Report - A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

Batch Status - Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

Batch Uploader - An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator role~~s~~ and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

Blocked - A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

Business Event Type Code (BETC) - A code used in the CARS/GWA system to indicate the type of activity being reported, such as payments, collections, borrowings, etc. This code must accompany the Treasury Account Symbol (TAS).

C

CA$HLINK II - An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

CA$HLINK II Account Number (CAN) - The account number assigned to a deposit when it is submitted to CA$HLINK II.

Capture Date - The calendar date and time the payment is processed by the agency.

Cashier ID - The ID of the user that created the transaction.

Central Accounting Reporting System (CARS) – (formerly GWA)The system that addresses the central accounting and reporting functions and processes associated with budget execution, accountability, and cash/other asset management. This includes the collection and dissemination of financial management and accounting information from and to federal program agencies.

Central Image and Research Archive (CIRA) - The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

Characteristics - The properties of a user, organization, deposit, or financial institution.

Check 21 - Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

Check Amount - The dollar amount of the check.

Check Capture – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

Check Capture Administrator - An agency user that has the authorization to define and modify the check capture sites; to manage accounting codes; to modify endpoint mappings; to configure Check Capture functions and perform upgrades of the application; to download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission.

Check Capture Lead Operator - An agency user that has the authorization to in scan checks into a batch, close a batch, balance check amounts and enter batch control values during batch closing. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. However, the user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

Check Capture Offline – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

Check Capture Online – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

Check Capture Operator - An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch and close a batch. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established.

Check Capture Supervisor - An agency user that has the authorization to perform all the functions on the Check Capture. The user has authorization to accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings.

Check Number - The printed number of the check writer's check.

CIRA CSV Report - A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

CIRA Viewer - A user that has authorization to view CIRA records and download CSV files.

Clear - Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

Closed Batch Status - Indicates the batch is closed and no new checks may be scanned into that batch.

Comma Separated Values (CSV) - A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

Confirmed - A deposit that has been reviewed and then confirmed by a financial institution or FRB.

Cost Center Work Unit (CCWU) – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

Custom Label - Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

Customer Not Present Processing Method - The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

Customer Present Processing Method - The processing method used in the OTCnet when the check writer is presenting the check in person.

D

Daily Voucher Report - A business report that allows you to view the daily voucher extract.

Data Type - The type of data that should be entered for a user defined field.

Date of Deposit - The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

Debit Gateway - The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

Demand Deposit Account (DDA) - The account at a financial institution where an organization deposits collections.

Denied - Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

Deny Date - Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

Deposit - A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

Deposit Activity (FI) Report - A business report that allows the financial institution to view deposits submitted to its location.

Deposit Activity (FRB) Report - A business report that allows you to view deposits submitted to your FRB.

Deposit Approver - A user who has authorization to review and submit deposits to a financial institution.

Deposit Confirmer - A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

Deposit History by Status Report - A business report that allows you to view deposits by status.

Deposit Information - The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

Deposit Preparer - A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

Deposit Total - The total amount of over-the-counter receipts included in the deposit.

Deposits by Accounting Code Report - A business report that allows you to view deposits by accounting code.

Deposits by OTC Endpoint Report - A business report that allows you to view deposits by OTC Endpoint.

Display Order Number - The order in which user defined fields (UDFs) should be displayed.
Draft - A deposit that is saved for modification at a later date by a Deposit Preparer.

F

Failed - The item was unable to be processed and/or settled by Treasury/FMS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

Federal Program Agency - A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

Federal Reserve Bank (FRB) - A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

Federal Reserve Bank-Cleveland (FRB-C) - FRB-C serves as the conduit for settlement of transactions originating from the OTCnet application. FRB-C is responsible for receiving the transaction data from OTCnet via forward file, and performing check clearing/transaction settlement as the ‘debit gateway’.

Federal Reserve System's Automated Clearing House (ACH) System - Enables debits and credits to be sent electronically between depository financial institutions.

Financial Institution (FI) - A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

Financial Institution Information - The name, address, routing transit number, and the demand deposit account number of a financial institution.

Financial Management Service (FMS) - The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

Firmware - A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

Fiscal Year - A 12-month period for which an organization plans the use of its funds.

FMS Statistical Report - A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is available for 15 rolling days.

Forwarded Batch Status - Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

Forwarded File - A term that is assigned to a file that contains the check transactions that is send from channel applications, such as OTCnet or ECP, to Debit Gateway for settlement purposes.

Franker - An internal stamp unit that stamps a check with "Electronically Processed" after the check is processed and scanned. Franker availability is based on the model of your scanner.

Franking - The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

H

Highest Level Organization - The primary level of the organization hierarchy.

I

IBM Tivoli Identity Manager (ITIM) - Refers to FMS's Enterprise provisioning tool for user account and identity management.

Individual Reference Number (IRN) - The auto-generated unique number used in OTCnet to identify Check Capture transactions.

Input Length Maximum - The maximum number of characters that may be entered in a user defined field.

Input Length Minimum - The minimum number of characters that may be entered in a user defined field.

Internal Control Number - A customizable field for agency use to further describe a deposit.

Item Detail Report - A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

Item Type - Indicates whether the check presented is a personal or business check. This determines whether the check is handled through Check 21 (non-personal) or FedACH (personal).

L

Local Accounting Specialist - A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish and maintain the organizational structure, accounting code mappings to individual endpoints and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

Local Security Administrator (LSA) - An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

Local Verification Database (LVD) - A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

Lower Level Organization - Any organization created below the highest level organization.

LVD Contents Report - A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

M

Magnetic Ink Character Recognition (MICR) - Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

Master Verification Database (MVD) - It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD

provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

MVD Editor - A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions.

MVD Viewer - A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions.

N

Non-Personal Item Type - Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

Non-Reporting OTC Endpoints Report - A business report that allows you to view OTC Endpoints that have not reported a deposit.

O

Open Batch Status - Indicates the batch is open and accepting new checks.

Organization - The location or level within a Federal Program agency.

Organization Hierarchy - The structure of a Federal Program agency as defined in OTCnet.

Organization Hierarchy Report - A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

OTC Collections - Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

OTC Endpoint - The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

OTC Endpoint (CHK) - The endpoint (location) setup in OTCnet to use check capture.

OTC Endpoint (TGA) - The endpoint (location) setup in OTCnet to use Deposit Reporting.

OTC Endpoint Mapping - The assignment of accounting codes to an agency's OTC Endpoint, for which a deposit amount can be allocated.

OTCnet Offline - Refers to the over the counter application that provides Check Capture functionality to end users with limited internet activity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

OTCnet Online - Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet activity).

Over the Counter Channel Application (OTCnet) - Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

P

Personal Item Type - Indicates that the name on check is an individual's name, not acting as a business.

Primary Local Security Administrator (PLSA) - An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

Processing Options - User-defined parameters for the deposit and adjustment processes.

Processing Options by OTC Endpoints Report - A business report that allows you to view processing options defined for endpoints within the organization.

Q

Queue Interface – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

R

Received - The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

Received Date - The date the check was received by web-based OTCnet.

Rejected - A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

Represented - This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

Retired - This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

Return Reason Codes - Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

Return Settlement Date - The effective date of settlement of the returned check item.

Returned Item - A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

Routing Transit Number (RTN) - (also known as **American Bankers Association (ABA) Number or Bank Routing Number**) - The nine-digit number used to identify a financial institution.

S

Save as Draft - An option that allows a Deposit Preparer to save a deposit for modification at a later date.

Save for Approval - An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

Send Error Batch Status – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

Sent Batch Status – Indicates the batch was uploaded online without error.

Separation of Duties - A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

Settle Best Method - The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

Settled - This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

Settlement Date - The date the deposit is credited to the Treasury General Account.

SF215 Deposit Ticket Report - The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is available in OTCnet for 45 calendar days.

SF5515 Debit Voucher Report - The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is available in OTCnet for 45 calendar days.

Share Accounting Module (SAM) - The application that facilitates the process of validating or deriving Treasury Account Symbol (TAS) and Business Event Type Code (BETC) combinations to assist CARS/GWA in classifying financial transactions as they occur.

Short Name/Code - The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

Submit - An option that allows a Deposit Approver to submit a deposit to a financial institution.

Submitted - A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

Suspend - Indicates that an individual's record is set to a predetermined suspension period. During this time, OTCnet prevents an individual from processing a check through OTCnet. The individual's database record has a Trade Status of Suspend and the expiration date is set until a specific date.

T

Terminal ID - The unique number assigned to the workstation where a user performs functions in OTCnet.

Trade Status - Represents the status of the verification records. There are four 4 possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

Transaction History - Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

Transaction Reporting System (TRS) - A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

Treasury Account Symbol (TAS) - The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

U

Universal Serial Bus (USB) - A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

US Dollar Equivalent (USE) - The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

US Treasury - The executive department and the Treasury of the United States federal government.

User Defined Field (UDF) - A user-defined text that describes deposit activity or deposit accounting activity.

User Information Report - A security report allows that you to view a user's contact information.

Users by Access Group (FI) Report - A security report that allows you to view users by financial institution.

Users by Access Group (FPA) Report - A security report that allows you to view users by OTC Endpoint.

Users by Role (FI) Report - A security report that allows you to view users by role for your financial institution.

Users by Role (FPA) Report - A security report that allows you to view users by role for your OTC Endpoint.

V

View CA$HLINK II File Status Report - An administration report that allows you to view the status of deposit report files that have been processed by CA$HLINK II or are ready for CA$HLINK II to process.

View FRB CA$HLINK File Status Report - An administration report allows you to view the status of deposit files that have been sent to FRB CA$HLINK.

View TRS File Status Report - An administration report allows you to view the status of TRS files that have been processed by Transaction Reporting System (TRS) or are ready for TRS to process.

View Vouchers Completed Report - An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

View Vouchers in Progress Report - An administration report allows you to view the status of deposit and adjustment vouchers in progress.

Viewer - A user who has authorization to view OTCnet information and produce reports from it.

Voucher Date - The financial institution business date a deposit will be presented or the calendar date the deposit will be mailed to the financial institution.

Voucher Number - The number assigned to a deposit by OTCnet.

Index

Batch, 4, 8, 9, 10, 11, 12, 14, 16
Check Capture, i, 5, 6, 8, 9, 10, 11, 14, 15, 16
Check Capture Administrator, 5, 10
Check Capture Supervisor, 5, 11
CSV file, 3
Organization, i, 5, 14, 15, 16
Organization Hierarchy, 5, 16
OTC Endpoint, 4, 8, 12, 13, 14, 15, 16, 19
OTCnet, 1, 2, 3, 4, 5, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19