



Chapter 1: Introduction to OTCnet

OTCnet Participant User Guide

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Audience, Overview, and Topics

Audience

The intended audience for the Introduction to OTCnet 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

Topics

The topics of this chapter are:

- OTCnet Background and Organization
- OTCnet User Roles

Topic 1. Introduction to OTCnet

Overview

The Bureau of the Fiscal Service (BFS) Over the Counter Revenue Collection Division (OTCD) provides the Over the Counter Channel (OTCnet) application to facilitate the prompt electronic processing and reporting of deposits and transaction activities. 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.

OTCD oversees the systems, networks and program infrastructure which enable world-class OTCnet financial services including 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 activities (cash, card, check, foreign checks/currency, seized currency), and the transition from paper checks to electronic mechanisms.

OTCnet is a secure web-based system combining the functionality and features of two legacy 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 offers agencies superior customer service and high quality e-commerce solutions for collections and reporting needs.

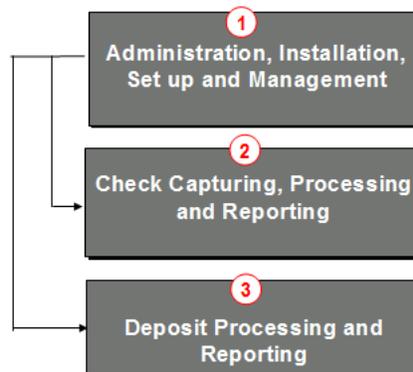
OTCnet financial services:

- 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. Administration functions support Check Capture, Check Processing and Reporting as well as Deposit Processing and Reporting (see figure below).

Figure 1. OTCnet Elements



The functions of the three elements of are:

- **Administration:** allows for those with administrative permissions to install, setup users, and manage OTCnet
- **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
- **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 Collections Information Repository (CIR) to retrieve deposit information.

Note: CIR is formerly the Transaction Reporting System (TRS).

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 CIR. CIR 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.

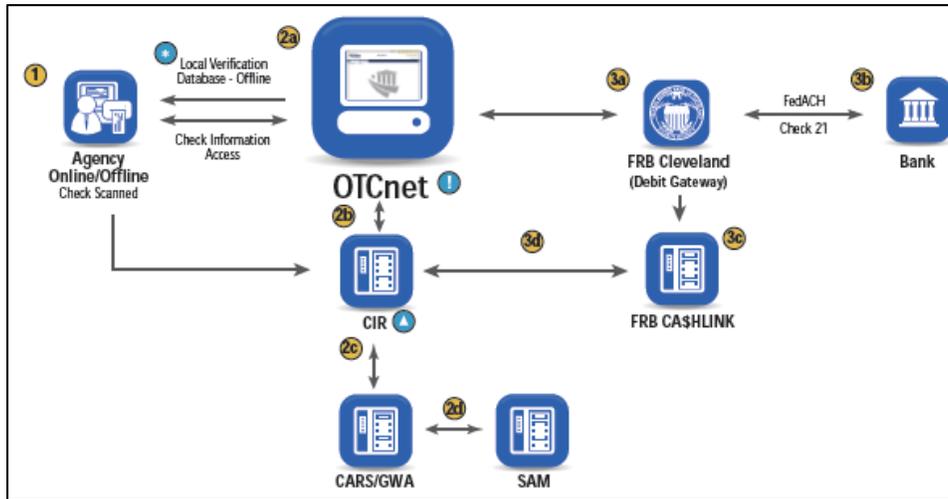
OTCnet sends captured check data to Debit Gateway at the Federal Reserve Bank Cleveland (FRB-C), who then sends the data to the appropriate Financial Institutions (FIs) either through FedACH (personal check) or Check 21 (non-personal check) where the check was written.

FRB-C sends the accounting information to FRB CA\$HLINK and makes your reporting information available (e.g. 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).

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.

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

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



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 re-credit rights.

For more information on Check 21, visit: <http://www.frb services.org/Retail/Check21.html>

The table below identifies acceptable forms of FedACH and Check 21 payment types.

Table 1. FedACH and Check 21 Payment Types

FedACH	Check 21
<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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)

OTCnet Process Flow: Deposit Reporting

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

As shown in **Error! Reference source not found.** below, the Deposit Preparer electronically reports the deposit to

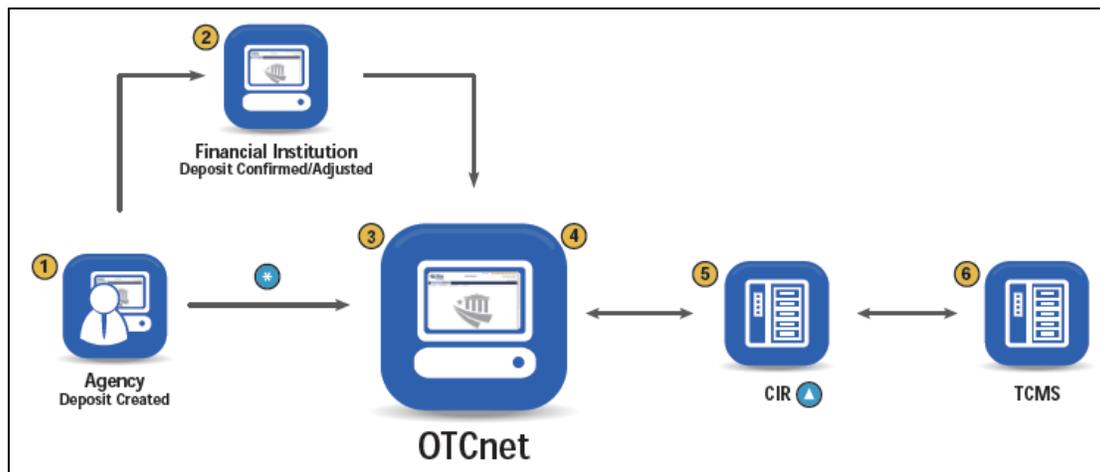
Treasury using OTCnet and prints out the OTCnet deposit ticket. The bank deposit ticket, OTCnet deposit ticket, cash, and checks (US and foreign) are taken to your Financial Institution (FI). At the FI, the Deposit Confirmer confirms the deposit, rejects the deposit or creates an adjustment to the deposit using OTCnet.

OTCnet sends commercial deposit voucher information to CIR. CIR receives commercial deposit information from OTCnet for reconciliation and transmits to Treasury Cash Management System (TCMS) for cash concentration purposes. TCMS receives the commercial deposit data from CIR and initiates the cash concentration activity.

Note: CIR is formerly the Transaction Reporting System (TRS).

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.

Figure 3. Deposit Reporting Process Flow



OTCnet End Users

There are three functional areas of the OTCnet application: 1) Administration, 2) Check Capture, Processing and Reporting and 3) Deposit Processing and Reporting. The user role you will hold is based on the types of tasks you will perform.

Administration user roles, with varying degrees of permission, can perform administrative duties such as user management and system installation. Check Capture/Check Processing and Reporting user roles can perform functions to capture checks, process checks, access reports and edit or view the Master Verification Database (MVD). Deposit Processing and Reporting user roles can create deposits, approve, confirm (reject or adjust), and/or view information. (see table below).

Table 2. End 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 Financial Institution/ Federal Reserve Primary Security Administrator Local Security Administrator	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 Deposit Confirmer Viewer

*Batch Approver and Batch Uploader are sub-roles assigned to users with existing roles.

Topic 2. OTCnet User Roles

Individuals can be granted user access based on their job roles. Agency and financial institution/federal reserve bank (FI/FRB) user roles are listed in the table below with corresponding descriptions of job roles, the user roles that may assign the access, and if the user can access Check Capture or Deposit Processing functions.

Table 3. OTCnet Agency and FI/FRB User Roles

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.	Agency PLSA Agency 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.	OTCnet Customer Support Team	•	•

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
Agency Manager	The agency user in this role can view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports. The agency user can view if an endpoint is designated for summary-level classification, and the agency comments associated to an endpoint.	Agency PLSA Agency LSA	•	
Batch Approver	<p>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.</p> <p>Note: This role only applies to the Offline version of OTCnet.</p>	Agency PLSA Agency LSA	•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
Batch Uploader	<p>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.</p> <p>Note: This role only applies to the Offline version of OTCnet.</p>	Agency PLSA Agency LSA	•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
Check Capture Administrator	<p>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 is 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. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the permission to download software or firmware to the terminal using the Download Check Capture application permission.</p>	Agency PLSA Agency LSA	•	
Check Capture Lead Operator	<p>The agency user in this role will have the ability to scan checks into a batch, view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, this user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicates. This user is not authorized, however, to use out-of-date LVD. This role can establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.</p>	Agency PLSA Agency LSA	•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
Check Capture Operator	<p>The agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. 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.</p>	Agency PLSA Agency LSA	•	
Check Capture Supervisor	<p>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 view and classify checks at the item level or a batch at the summary level, accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, accept checks with poor quality, as well as view, modify, and import accounting codes, 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.</p>	Agency PLSA Agency LSA	•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.	Agency PLSA Agency 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 Agency 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 Agency 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 Agency LSA		•
Local Accounting Specialist	The agency user in this role is an expert on the organizational structure, reporting needs and accounting rules for it's depositing and lower level endpoints. This role will establish, maintain and view 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 Agency LSA		•
MVD Editor	The agency user in this role can create, update and read verification records. This role can also download CSV formatted reports, view other general reports such as the 215 Deposit Ticket, 5515 Debit Voucher reports and the ACR Activity report. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated with an endpoint.	Agency PLSA Agency LSA	•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
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, view other general reports such as the 215 Deposit Ticket, 5515 Debit Voucher reports and the ACR Activity report. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.	Agency PLSA Agency 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 Agency 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.	FI PLSA FI LSA		•
FI Viewer	The financial institution user in this role will only be able to search and view deposits and adjustments, view Financial Institution information and produce reports from it.	FI PLSA FI LSA		•
FI/FRB 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.	FI PLSA		•
FI/FRB 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.	OTCnet Customer Support Team		•
FI/FRB Confirmer	The FI/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.	FI PLSA FI LSA		•

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
FRB Viewer	The FRB user in this role will only be able to search and view deposits and adjustments, view FRB information and produce reports from it	FI PLSA FI LSA		•

Agency User Role Combinations

The two tables below show Agency Deposit Processing and Check Capture user roles that can be combined and assigned to an individual user. “•” indicates that the role in the column heading can be combined with the role to the far left of it.

Table 4. Combinable Agency Deposit Processing User Roles

Agency 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	•	•	•	•	•	•	
CIRA Viewer			•	•	•	•	
View Report			•	•	•	•	
MVD Editor			•	•	•	•	
MVD Viewer	•	•	•	•	•	•	
Check Capture Operator			•	•	•	•	
Check Capture Lead Operator			•	•	•	•	
Check Capture Administrator		•	•	•	•	•	
Check Capture Supervisor			•	•	•	•	

Table 5. Combinable 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 Admin.	Check Capture Supvr.	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						•	•				

Financial Institution (FI) User Role Combinations

The following table shows financial institution user roles that can be combined and assigned to an individual user. “•” indicates that the role in the column heading can be combined with the role to the far left of it.

Table 6. Combinable Financial Institution User Roles

Financial Institution (FI) User Roles	FI PLSA	FI LSA	FI Confirmer	FI Viewer
FI PLSA				•
FI LSA				•
FI Confirmer				•
FI Viewer	•	•	•	

System Tasks by Agency and Financial Institution (FI) Roles

The two tables below show the system tasks that can be performed by Agency and Financial Institution/Federal Reserve Bank (FI/FRB) user roles. “•” indicates that the user role shown in the column heading can perform the task listed to the far left of it.

Table 7. Deposit Processing and Reporting Roles

Deposit Processing & Reporting Task	Agency PLSA	Agency LSA	Agency Acc Spec	Agency Local Acc Spec	Agency Dep. Prep.	Agency Dep. Appr.	FI/FRB Viewer	FI/FRB PLSA	FI/FRB LSA	FI/FRB Dep. Confirmer	FI/FRB 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					•	•	•			•	•

Deposit Processing & Reporting Task	Agency PLSA	Agency LSA	Agency Acc Spec	Agency Local Acc Spec	Agency Dep. Prep.	Agency Dep. Appr.	FI/FRB Viewer	FI/FRB PLSA	FI/FRB LSA	FI/FRB Dep. Confirmer	FI/FRB Viewer
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			•	•							

Deposit Processing & Reporting Task	Agency PLSA	Agency LSA	Agency Acc Spec	Agency Local Acc Spec	Agency Dep. Prep.	Agency Dep. Appr.	FI/ FRB Viewer	FI/ FRB PLSA	FI/ FRB LSA	FI/ FRB Dep. Confirmer	FI/ FRB Viewer
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	•	•									
View GWA Reporters Flag			•	•							

This next table specifies OTCnet Check Capture roles and corresponding permissions at the Agency level.

Table 8. Check Capture Roles

Check Capture Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	Batch Approver*	Batch Uploader*	Online/ Offline
Authorize Duplicates		•		•			Online/ Offline
Authorize MICR Correction		•		•			Online/ Offline
Authorize Poor Image Quality		•					Online/ Offline

Check Capture Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	Batch Approver*	Batch Uploader*	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 Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	Batch Approver*	Batch Uploader*	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
Create and Download Initialization File			•				Online
Startup of OTCnet Offline Application Server	•	•	•	•	•	•	Offline

Check Capture Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	Batch Approver*	Batch Uploader*	Online/Offline
Upgrade Offline OTCnet Version	•	•		•			Offline
Modify Classify Batch	•	•		•			Online/Offline
View Classify Batch	•	•	•	•			Online/Offline
Modify Classify Item	•	•		•			Online/Offline
View Classify Item	•	•	•	•			Online/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

*Batch Approver and Batch Uploader are sub-roles assigned to users with existing roles.

The table below shows the OTCnet Agency Check Processing user roles and their associated permissions.

Table 9. Check Processing

Check Processing Task	Agency Manager	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	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	•	•	•	•	•	•		•	•	
Create/Modify Verification Records								•		
View Verification Records								•	•	
Read Block Record Containing Only an ABA								•	•	
Create/Modify Check Capture Site				•						
Download Release				•						
View CIRA	•					•	•	•	•	
Read/View Audit Admin (Partial)				•						

Check Processing Task	Agency Manager	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	CIRA Viewer*	View Reports*	MVD Editor	MVD Viewer	Batch Approver*
Read/View Audit Check Capture (All)				•						
Read/View Audit Check Capture Module (Partial)					•					
Read/View Audit Check Capture Module (Partial – User's Own Activity)		•	•							
Read/View Audit Check Processing (All)								•		
Read CIRA Check Image Report	•			•			•	•	•	
Read CIRA CSV Report	•			•				•	•	
Download CIRA CSV Historical Report	•			•			•	•	•	
Read Deposit Ticket Report	•			•			•	•	•	
Read Debit Voucher Report	•			•			•	•	•	
Modify Accounting Codes				•	•					
Import Accounting Codes				•	•					

Check Processing Task	Agency Manager	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	CIRA Viewer*	View Reports*	MVD Editor	MVD Viewer	Batch Approver*
View Accounting Codes				•	•		•			
Modify Endpoint Mappings				•	•					
Modify Summary level Classification Flag			•		•					
View Summary Level Classification Flag	•	•	•	•	•	•		•	•	
Edit Agency Comments			•		•					
View Agency Comments	•	•	•	•	•	•		•	•	
Modify Processing Options			•		•					
View Processing Options			•		•					
ACR Activity Report	•			•			•	•	•	

*CIRA Viewer, View Reports, and Batch Approver are sub-roles assigned to users with existing roles.

Glossary

A

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 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report – A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report – A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager – A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 roles 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.

Bureau of the Fiscal Service (FS) – (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator – An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Image Report – A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number – The printed number of the check writer's check.

CIRA CSV Historical Report – A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) – A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status – Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR) – (formerly 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.

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 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.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate – The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed – The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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 Fiscal Service’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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) – It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers' maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR File Status Report – An administration report allows you to view the status of CIR files that have been processed by Collections Information Repository (CIR) or are ready for CIR to process.

View CIR Transmission Status for Check Processing – A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number – The number assigned to a deposit by OTCnet.



Chapter 2: Accessing and Navigating OTCnet

OTCnet Participant User Guide

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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

The topics of this chapter are:

- Logging in to OTCnet Online/Offline
- Accessing a User ID and Resetting Passwords
- Navigating the OTCnet Online/Offline Home Page

Topic 1. Logging In to OTCnet Online/Offline

To access OTCnet Online you must have your Fiscal Service 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 Fiscal Service 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)**.

After you obtain your temporary password, you can log in to OTCnet Offline. 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.

As an added layer of security, you will need to first start and log in to the OTCnet Offline server before accessing the OTCnet Offline *application*. To start the Offline server, enter your User ID and Offline password. If this is the first time you are accessing OTCnet Offline, enter your temporary password. Once you have successfully started up the Offline server, you will be prompted to log in to the OTCnet Offline application.

If the Offline server has already been started, you will skip this step and log directly in to the OTCnet Offline application. The first time you log in to the OTCnet Offline application you will be required to change your password. After your permanent password is set you will use your permanent password to startup the Offline server and/or Offline application.

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

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. Fiscal Service Single Sign On Page

BUREAU OF THE Fiscal Service
U.S. DEPARTMENT OF THE TREASURY

Log In To: <https://otcnet.fms.treas.gov/index.html>

Forgot your Password? Forgot your User ID? Register ?

Select an authentication method and enter your credentials

Log In using your Fiscal Service ID:

SSO User ID and Password

SecurID Token

PKI Certificate

To log in using your Fiscal Service Single Sign On User ID and Password.

User ID:

Password:

Log In Reset

[Forgot your User ID?](#)
[Forgot your Password?](#)

WARNING
WARNING
WARNING

NOTE
This system may contain Sensitive But Unclassified (SBU) data that requires specific data privacy handling requirements as dictated by law, mandate or government agency.

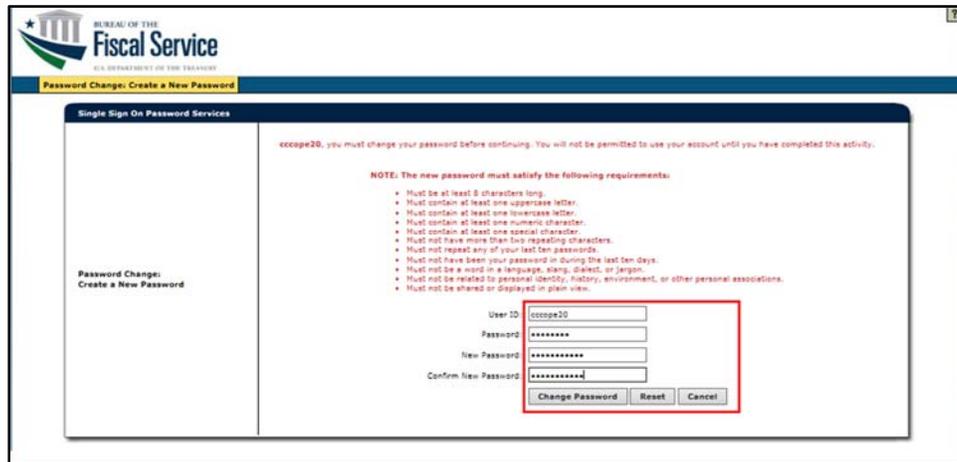
Accessibility | Contacts | Privacy Policy
U. S. Department of the Treasury - Bureau of the Fiscal Service

2. *The Password Change: Create New Password page appears. Enter your temporary Password, New Password, and Confirm New Password and click Change Password (see Figure 2).*

Password Criteria:

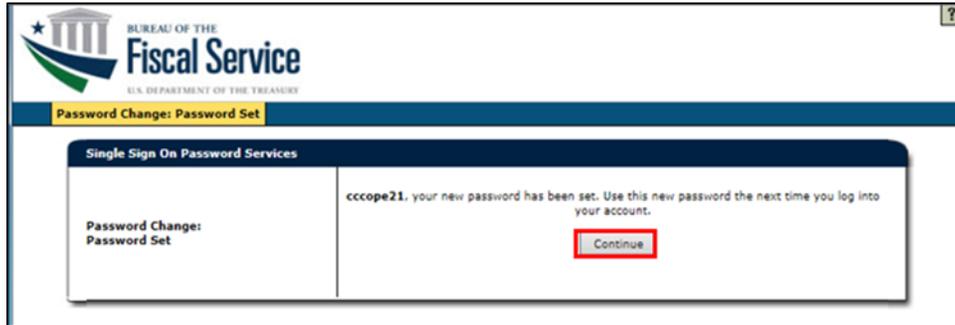
- Must be at least 8 characters long
- Must contain at least one uppercase letter
- Must contain at least one lowercase letter
- Must contain at least one numeric character
- Must not have more than two repeating characters
- Must not repeat any of your last ten passwords
- Must not have been your password 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

Figure 2. Password Change Page



3. A confirmation page appears stating your new password has been set. Click **Continue** (see Figure 3).

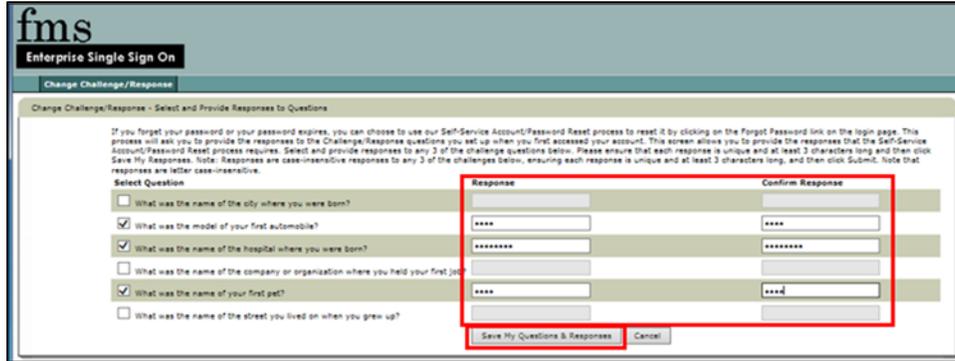
Figure 3. Password Change: Password Set



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

Provide your 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 4).

Figure 4. Select and Provide Responses to Questions Page



5. A *Change Shared Secret* page appears. Enter a **Shared Secret** phrase, a **Confirm Shared Secret** phrase, and then click **Save My Shared Secret** (see Figure 5). 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.

Figure 5. Challenge Shared Secret Page



6. The *Change Challenge/Response-Completed* page appears. Click **Logout**.

After you answer your Challenge Questions and enter a Shared Secret, you will need to log back in to OTCnet and read and accept the Rules of Behavior.

7. Click **Close Browser** (see Figure 6).

Figure 6. Close Browser Page



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

9. The *Security Rules of Behavior* page appears. Read and accept the Security Rules of Behavior by clicking all of the check boxes. Click **Accept** or **Cancel** (see Figure 7).

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. You will not be able to proceed to OTCnet until the Rules of Behavior are accepted.

Figure 7. Security Rules of Behavior Page

10. A confirmation page appears showing the challenge questions and responses and your new shared secret were successfully saved. Click **Logout**, then **Close Browser** (see Figure 8).

Figure 8. 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 For the First Time

To log in to Fiscal Service 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:

- Must be at least 8 characters long
 - Must contain at least one uppercase letter
 - Must contain at least one lowercase 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 **Change Password**. A confirmation page appears stating your new password has been set.
 5. Click **Continue**. The *Change Challenge/Response – Select and Provide Responses to Questions* page appears.
 6. 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.

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

8. 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.

9. Click **Save My Shared Secret**. A confirmation page appears showing the challenge questions and responses and your new shared secret were successfully saved.
10. Click **Logout**.
11. Click **Close Browser**.

**Application Tip**

After you answer your Challenge Questions and enter a Shared Secret, you will need to log back in to OTCnet and read and accept the Rules of Behavior.

12. Access OTCnet (<https://otcnet.fms.treas.gov>), enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In**. *The Password Change: Create New Password* page appears.
13. The *Security Rules of Behavior* page appears. Read and accept the Security Rules of Behavior by clicking all the check boxes.
14. 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 *Security 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.

How to Log In to OTCnet Online

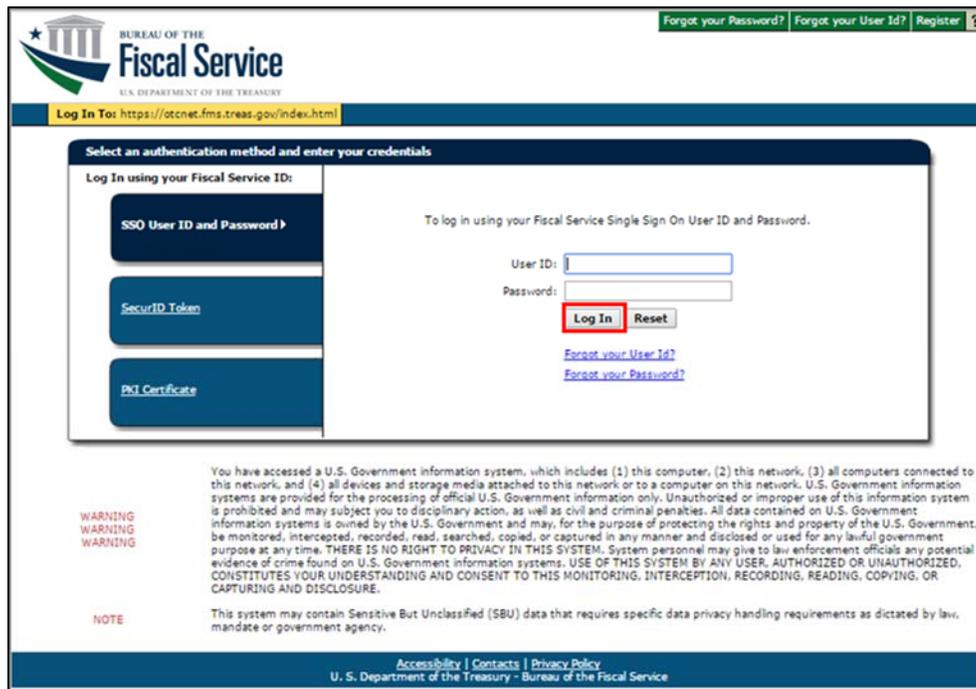
Once you have changed your password, responded to the challenge questions, and established a shared secret, you can log in to OTCnet to access functionality for one or more of the following:

- 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:

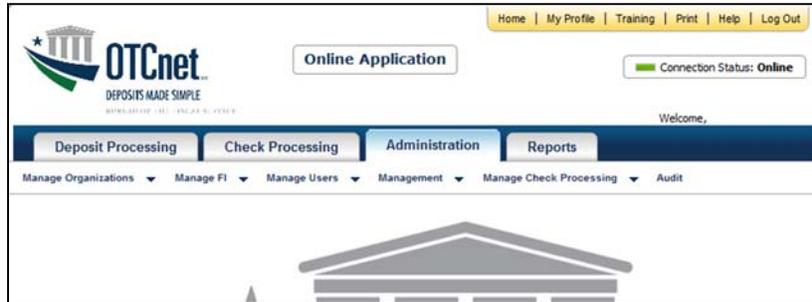
1. Access <https://otcnet.fms.treas.gov> and enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In** as shown in Figure 9.

Figure 9. Fiscal Service Single Sign On Page



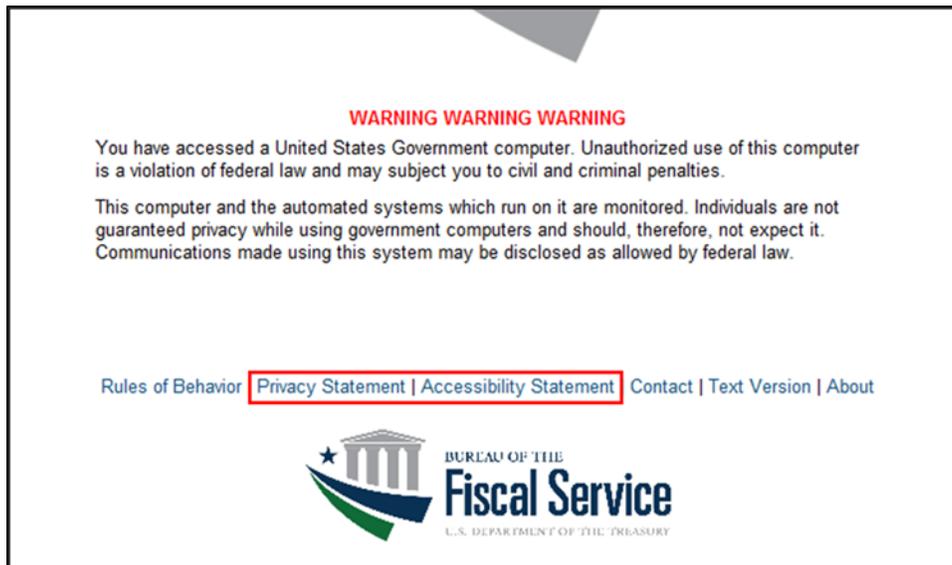
2. The OTCnet Home Page appears. See Figure 10 below.

Figure 10. 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 11).

Figure 11. OTCnet Home Page





Log In to OTCnet Online

To log in to Fiscal Service 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 Start the OTCnet Offline Server

As part of the logging in process, you will need to start the OTCnet Offline server. If the Offline server has already been started, you will skip this step and log directly in to the OTCnet Offline application. You can identify the Offline Server log in page, as it is smaller in size and the Retrieve Admin Profile link does not appear on the page.

To log start the OTCnet Offline server, 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 12).

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 12. OTCnet Offline Icon



2. The *OTCnet Offline Server Startup* page appears. Enter your **User ID** and **Password** in the appropriate text boxes and click **Log In** (see Figure 13).

Figure 13. OTCnet Offline Server Startup

The image shows a screenshot of the OTCnet Offline Server Startup application window. The window title is "OTCnet Offline Server Startup" and it has a "Help" button in the top right corner. The main content area features the OTCnet logo (a classical building with a star and a swoosh) and the text "OTCnet DEPOSITS MADE SIMPLE BUREAU OF THE FISCAL SERVICE". Below the logo are two text input fields: "User ID:" and "Offline Password:". At the bottom of the form are two buttons: "Login" and "Cancel". A red warning message "WARNING WARNING WARNING" is displayed at the very bottom of the window.

3. The *OTCnet User Login* page appears (see Figure 14).

Figure 14. OTCnet Offline User Login Page

The screenshot shows the OTCnet Offline User Login Page. At the top left is the OTCnet logo with the tagline 'DEPOSITS MADE SIMPLE' and 'BUREAU OF THE FISCAL SERVICE'. Below the logo is a 'User Login' section. This section contains two input fields: 'User ID:' and 'Password:'. To the right of the 'User ID' field is a link labeled 'Retrieve Admin Profile'. At the bottom of the login section are two buttons: 'Login' and 'Clear'.



Start the OTCnet Offline Server

To start the OTCnet Offline server, 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 offline terminal.



Application Tip

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

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



Application Tip

The *Offline Server Startup* prompt appears as a standalone prompt, outside of the browser.



Application Tip

If you are a CCA and this is the first time starting the OTCnet Offline server and logging in to OTCnet, enter the temporary password you created when you created your CCA Offline Logon Profile.

**Application Tip**

If you are a non-CCA user and this is the first time starting the OTCnet Offline server and logging in to OTCnet, enter your temporary password.

**Application Tip**

If the Offline server was previously started, you will skip this step and log in to the OTCnet Offline application. Refer to the *Log In to OTCnet Offline for the First Time* and *Log In to OTCnet Offline* printable job aids for more details. If the Offline server was not been previously started, you will need to enter your credentials to start up the Offline server.

**Application Tip**

After your credentials are successfully authenticated, the *Offline Check Capture* application log in page is displayed.

**Application Tip**

If you have forgotten your Offline password or you are not authorized to start the OTCnet Offline application, contact your **Check Capture Administrator** to reset/create your offline password.

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 15).

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 temporary **Password** in the appropriate text boxes, and click **Log In** (see Figure 16).

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 16. OTCnet Offline User Login Page

The screenshot shows the OTCnet Offline user login page. At the top left is the OTCnet logo with the tagline 'DEPOSITS MADE SIMPLE' and 'BUREAU OF THE FISCAL SERVICE'. Below the logo is a 'User Login' section with two text input fields: 'User ID:' and 'Password:'. A red rectangular box highlights these two input fields. To the right of the input fields is a blue link labeled 'Retrieve Admin Profile'. At the bottom of the login section are two buttons: a red 'Login' button and a blue 'Clear' button.

3. The *Set Permanent Password* page appears. Enter your temporary **Password**, **New Password**, and **Re-Enter New Password** and click **Save** (see Figure 17).

Password Criteria:

- a. Must be at least 10 characters long
- b. Must contain at least one uppercase letter
- c. Must contain at least one lowercase letter
- d. Must contain at least one numeric character
- e. Must not have more than two repeating characters
- f. Must not repeat any of your last ten passwords
- g. Must not have been your password during the last ten days
- h. Must not be a word in a language, slang, dialect, or jargon
- i. Must not be related to personal identity, history, environment, or other personal associations
- j. Must not be shared or displayed in plain view

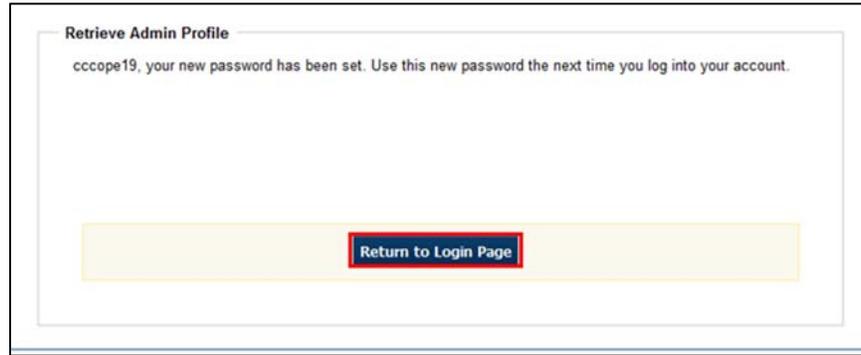
Figure 17. Set Permanent Password

The screenshot shows the OTCnet logo at the top left with the tagline 'DEPOSITS MADE SIMPLE' and 'BUREAU OF THE FISCAL SERVICE'. Below the logo is the title 'Set Permanent Password'. The main content area contains the following text: 'You must change your password before continuing. You will not be permitted to use your account until you have completed this activity.' and 'To reset password, please enter your login credentials and then enter your new password twice.' Below this is a 'User ID:' field with the value 'cccpe19'. There are three password input fields: 'Password:', 'New Password:', and 'Re-Enter New Password:'. At the bottom right of the form are three buttons: 'Clear', 'Cancel', and 'Save'. A red rectangular box highlights the three password input fields, and another red rectangular box highlights the 'Save' button.

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

After the profile is successfully downloaded and the password is 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 (see Figure 18).

Figure 18. 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:

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

Or

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



Application Tip

If you cannot locate the icon in either of these locations, contact your **Check Capture Administrator (CCA)**.



Application Tip

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



Application Tip

If the Offline server was not been previously started, you will need to enter your User ID and password to start up the Offline server. Refer to the Start up the OTCnet Offline Server printable job aid for more details.

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 10 characters long
- Must contain at least one uppercase letter
- Must contain at least one lowercase 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. After stopping OTCnet Offline, wait at least two minutes before restarting to ensure that OTCnet Offline was shut down completely.

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 your 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 19).

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

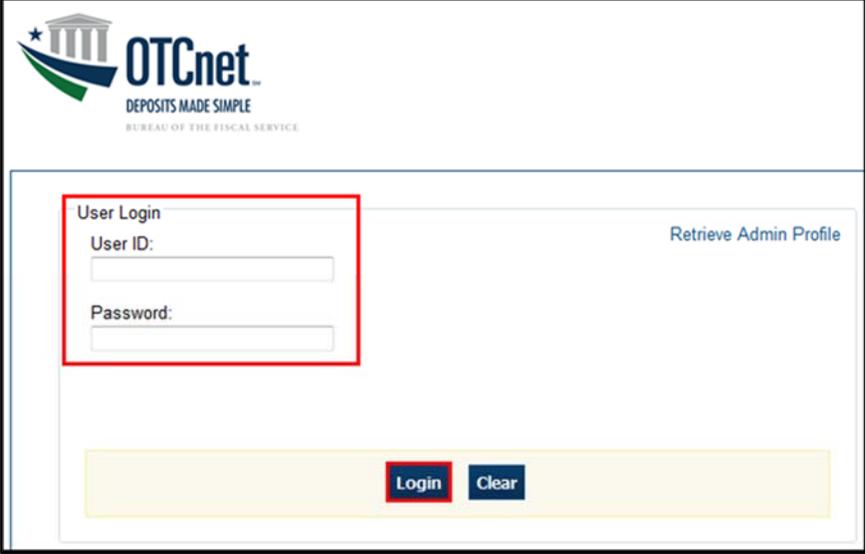
If a terminal has more than one version of the OTCnet Offline application (Production or QA), do not run both at the same time as running more than one version at a time will cause errors.

Figure 19. OTCnet Offline Icon



2. Enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In** (see Figure 20). The *OTCnet Home Page* appears.

Figure 20. OTCnet Offline User Login Page



The screenshot shows the OTCnet Offline User Login Page. At the top left is the OTCnet logo with the tagline 'DEPOSITS MADE SIMPLE' and 'BUREAU OF THE FISCAL SERVICE'. Below the logo is a 'User Login' section. This section contains two text input fields: 'User ID:' and 'Password:'. A red rectangular box highlights these two input fields. To the right of the input fields is a blue link labeled 'Retrieve Admin Profile'. At the bottom of the login section, there are two buttons: a red 'Login' button and a blue 'Clear' button.

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** 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.



Application Tip

If the Offline server was not been previously started, you will need to enter your User ID and password to start up the Offline server. Refer to the *Start up the OTCnet Offline Server* printable job aids for more details.

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

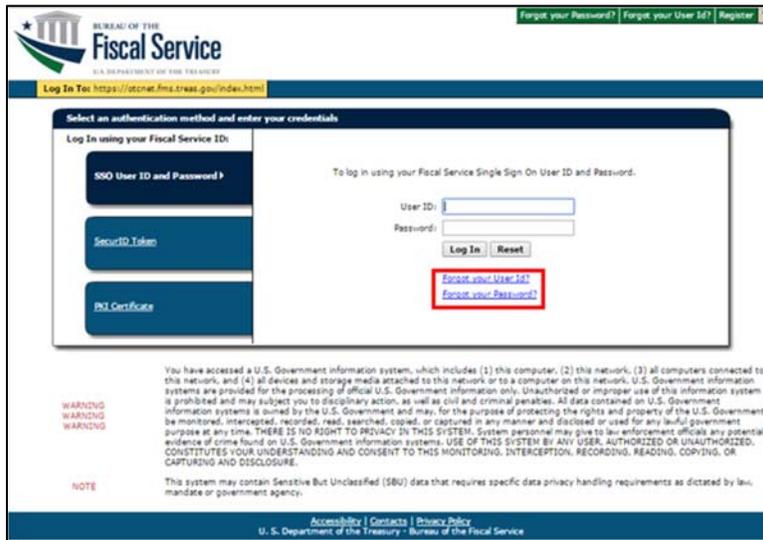
If you forget your Single Sign On User ID for OTCnet Online, you can have your User ID emailed to you. If you forget your online password, you can have a temporary password emailed to you. Once you sign in with your temporary password, you will need to reset it.

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 21 below.

Figure 21. Single Sign On Page (Forgot Your User ID? Link)



2. The *Treasury Self Service* page appears. Enter the words you see in the image in the text box and click **Next** (see Figure 22).

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 22. Treasury Self Service Page (Enter Image of Text)



The screenshot shows the 'Treasury User Provisioning' interface. At the top right are links for 'LOGOUT', 'SWITCH APPLICATION', and 'HELP'. Below the header is the 'Treasury Self Service' section. It features a CAPTCHA image of a green street sign that reads 'WYNDOM COURT'. Below the image is a text input field with the instruction: 'In the space below, enter the words that you see in the image above.' Underneath the input field are three buttons: 'New Image', 'Audio Test', and 'Help'. At the bottom of the section are two buttons: 'Next>>' and 'Cancel'.

3. Enter your email address and click **Next** (see Figure 23). A confirmation page appears showing your request for your User ID has been completed.

Figure 23. Forgot User ID (Enter Email Address)



The screenshot shows the 'Treasury User Provisioning' interface for the 'Forgot User ID' section. At the top right are links for 'LOGOUT', 'SWITCH APPLICATION', and 'HELP'. Below the header is the 'Forgot User ID' section. It features a text input field with the label 'Please Enter the Email Address' and an asterisk indicating a required field. Below the input field is a red asterisk with the text '* indicates a required field'. At the bottom of the section are two buttons: 'Next>>' and 'Cancel'.

4. Click **Finish**.



Access User ID

To access your user ID, complete the following steps:

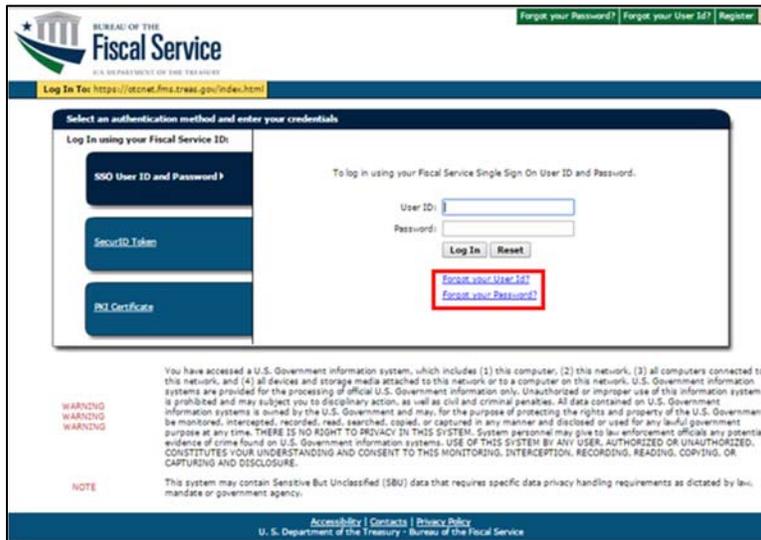
1. From the Fiscal Service Single Sign On page, click **Forgot your User ID?** *The Self-Service Account/Password Reset* page appears.
2. Enter the words that you see in the image in the text box and click **Next**. The *Treasury Enterprise ID* page appears.
3. Enter your email address and click **Next**. A confirmation page appears showing your request for your User ID has been completed.
4. Click **Finish**.

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 24 below.

Figure 24. Single Sign On Page (Forgot Your Password? Link)



2. The *Treasury Self Service* page appears. Enter the words that you see in the image in the text box and click **Next** (see Figure 25).

Figure 25. Forgot Your Password Page



3. The *Treasury Enterprise ID* page appears. Enter your **Treasury Login (User ID)** and click **Next** (see Figure 26).

Figure 26. Enter Treasury Enterprise ID (User ID)

4. A confirmation page appears. Click **Finish** (see Figure 27).

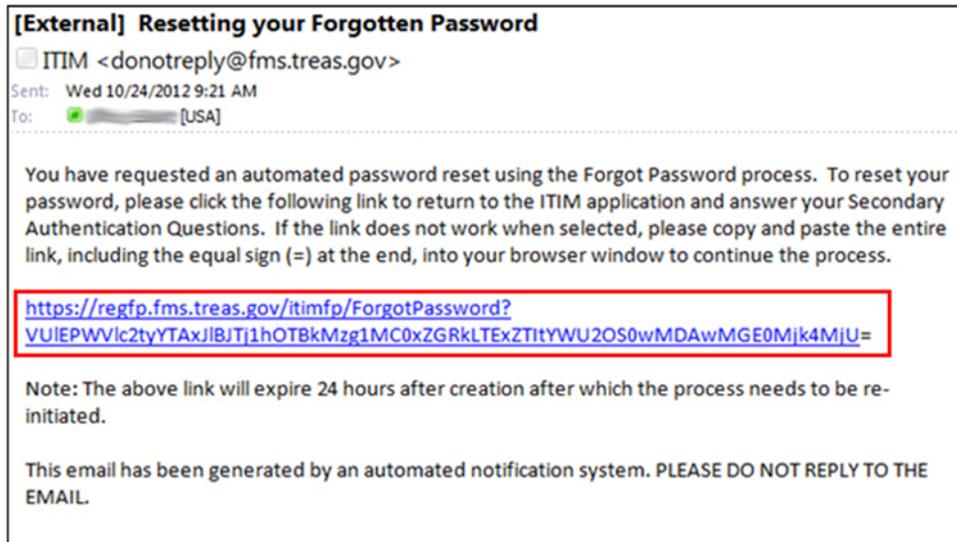
You will receive an email to your official email address with further instructions to complete the Self-Service Account/Password Reset process.

Figure 27. Password Request Confirmation

Check your email. After you received the email link to reset your password, copy and paste the entire link (including the equal sign "=") in the web browser.

Each reset password web link is unique. The link shown below is for example purposes only.

Figure 28. Resetting Your Forgotten Password Email



5. The *Answer Challenge/Responses Questions Provide Responses* page appears. Enter your answers for the challenge questions and click **Reset My Password** (see Figure 29).

Figure 29. Answer Challenge/Response Questions - Provide Responses



The *Answer Challenge/Response Questions – Change Password* page appears. Enter your **New Password** and **Confirm New Password** and click **Change My Password** (see Figure 30).

Figure 30. Answer Challenge/Response Questions - Change Password



6. The *Challenge/Response Questions – Completed* page appears. Click **Close Browser** (see Figure 31).

Figure 31. Answer Challenge/Response Questions - Completed





Reset Password

To reset your password, complete the following steps:

1. From the Fiscal Service Single Sign On page, click **Forgot your Password?**. The *Self-Service Account/Password Reset* page appears.
2. Enter the words that you see in the image in the text box and click **Next**. The *Treasury Enterprise ID* page appears.
3. Enter your **Treasury Login (User ID)** and click **Next**. A confirmation page appears.
4. Click **Finish**.



Application Tip

You will receive an email (Resetting your Forgotten Password) to your official email address with further instructions to complete the Self-Service Account/Password Reset process.

5. Check your email. After you received the email link to reset your password, copy and paste the entire link (including the equal sign “=”) in the web browser. The *Answer Challenge/Responses Questions Provide Responses* page appears.



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.



Application Tip

The email is generated by an automated notification system. The link expires 24 hours after creation after which the process needs to be reinitiated.

6. Enter your answers for the challenge questions and click **Reset My Password**. The *Answer Challenge/Response Questions – Change Password* page appears.

**Application Tip**

Three invalid attempts to answer your challenge questions will result in your account being locked. If your account is locked, call the Customer Support at 866-945-7920 or DSN 510-428-6824, Options 1, 2, 4 to re-activate your account.

7. Enter your **New Password** and **Confirm New Password** and click **Change My Password**. The *Challenge/Response Questions – Completed* page appears.
8. Click **Close Browser**.

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

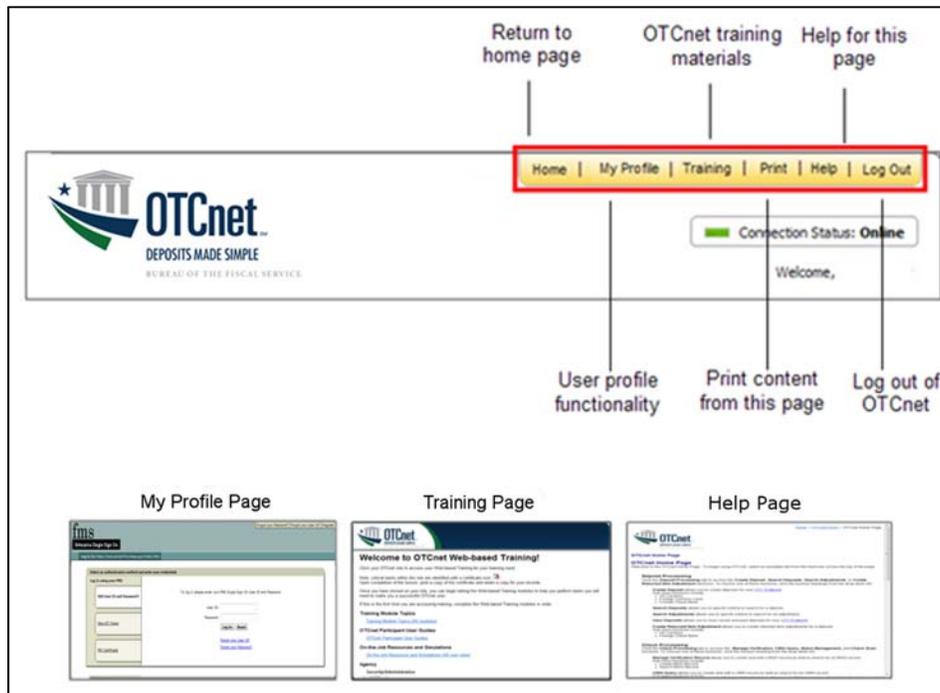
To access the OTCnet Main Menu, log in with your User ID and Password by accessing <https://otcnet.fms.treas.gov>. Table 1 below provides a list of the Main Menu options available to you and accessible on the upper right corner of the OTCnet application (highlighted in yellow).

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.

The Main Menu is shown in Figure 32. The links are accessible on the upper right side of the OTCnet home page.

Figure 32. OTCnet Main Menu Page



OTCnet Online Deposit Processing Tab Functionality

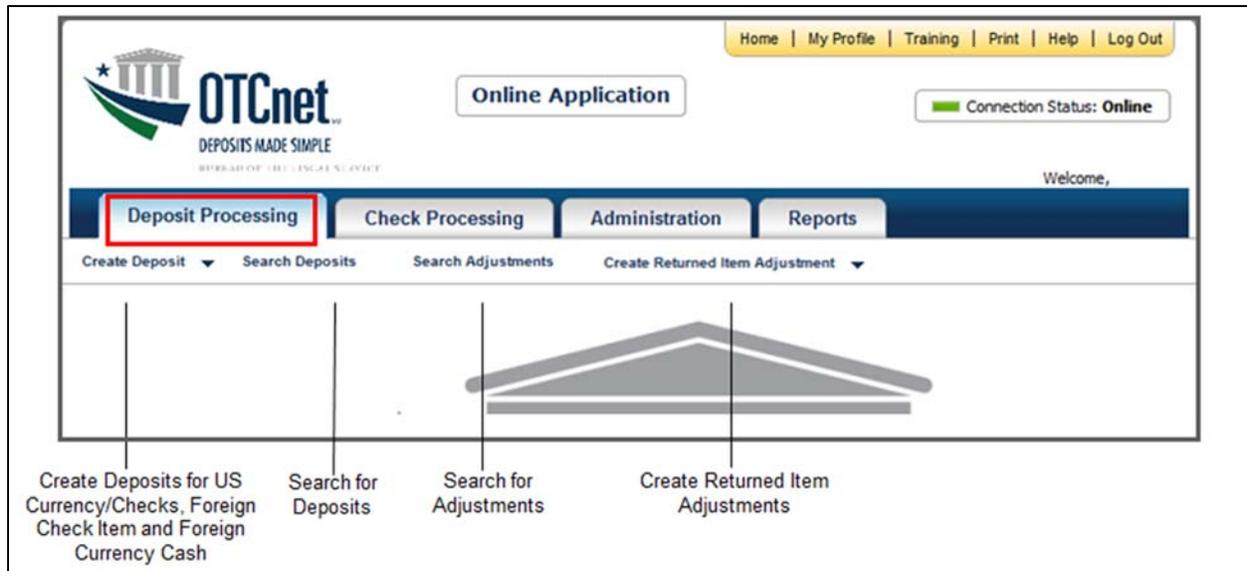
To access the OTCnet Deposit Processing functionality, log in with your user id and password. Table 2 below provides a list of the Deposit Processing functions that are available to you.

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.

The Deposit Processing tab is shown in Figure 33. Depending on your user role, you may not see all functionality shown in the image.

Figure 33. Deposit Processing Tab



OTCnet Online Check Processing Tab Functionality

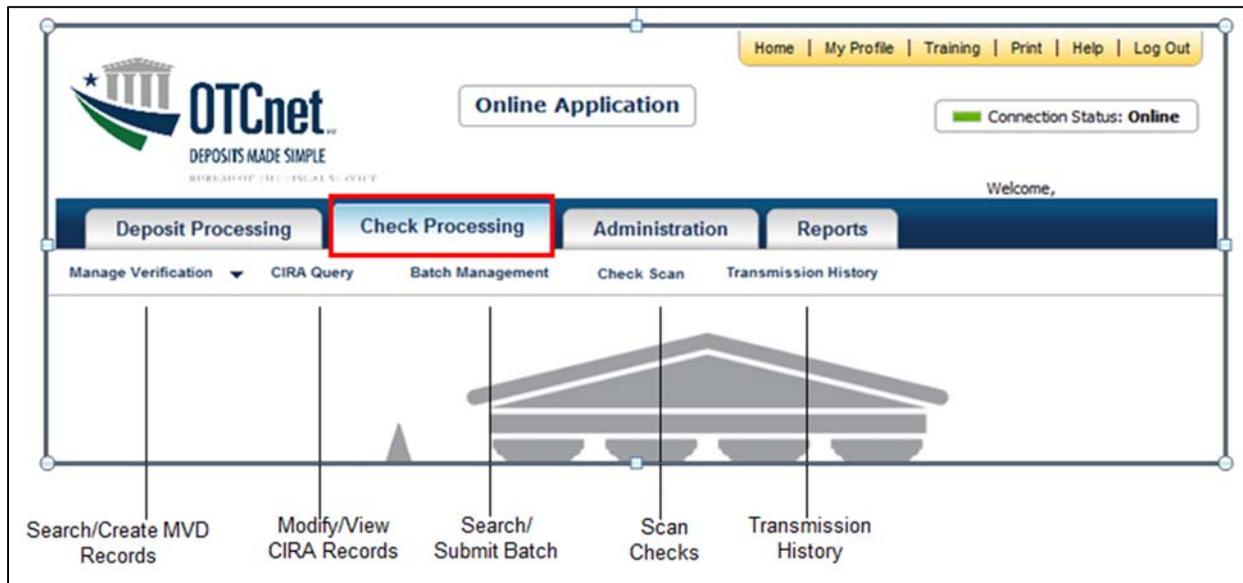
To access the OTCnet Check Processing functionality, log in with your user id and password. Table 3 provides a list of the Check Processing functions that are available to you.

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.

The Check Processing tab is shown in Figure 34. Depending on your user role, you may not see all functionality shown in the image.

Figure 34. Check Processing Tab



OTCnet Online Administration Tab Functionality

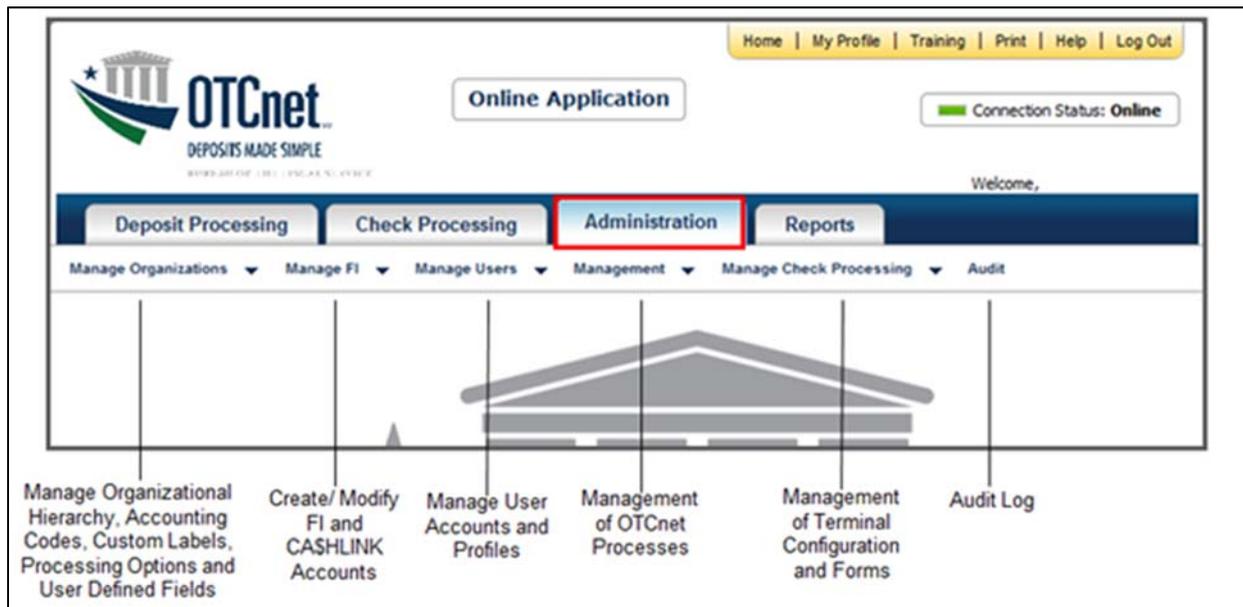
To access the OTCnet Administration functionality, log in with your user id and password. Table 4 below provides a list of the Administration functions that are available to you.

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 and profiles.
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.

The Administration tab is shown in Figure 35. Depending on your user role, you may not see all functionality shown in the image.

Figure 35. Administration Tab



OTCnet Online Reports Tab Functionality

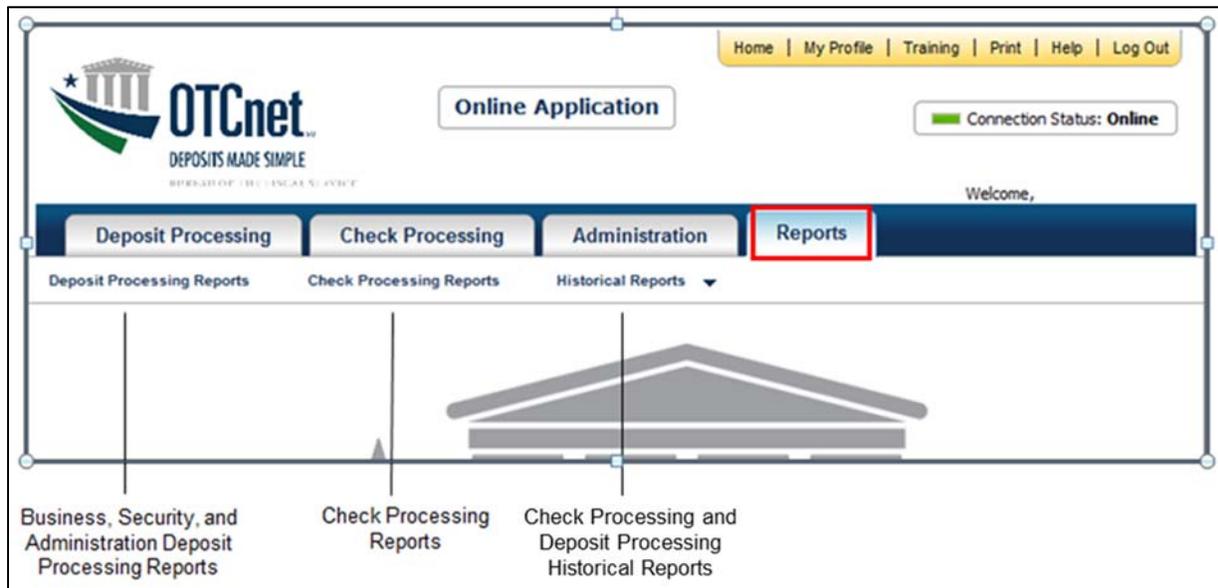
To access the OTCnet Reports functionality, log in with your user id and password. **Error! Reference source not found.** below provides a list of the Reports functions that are available to you. Depending on your user role, you will only see reports that you have access to view and download.

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.
Historical Reports	Allows a user to query and download historical reports.

The Reports tab is shown in Figure 36. Depending on your user role, you may not see all functionality shown in the image.

Figure 36. Reports Tab



OTCnet Offline Administration Tab Functionality

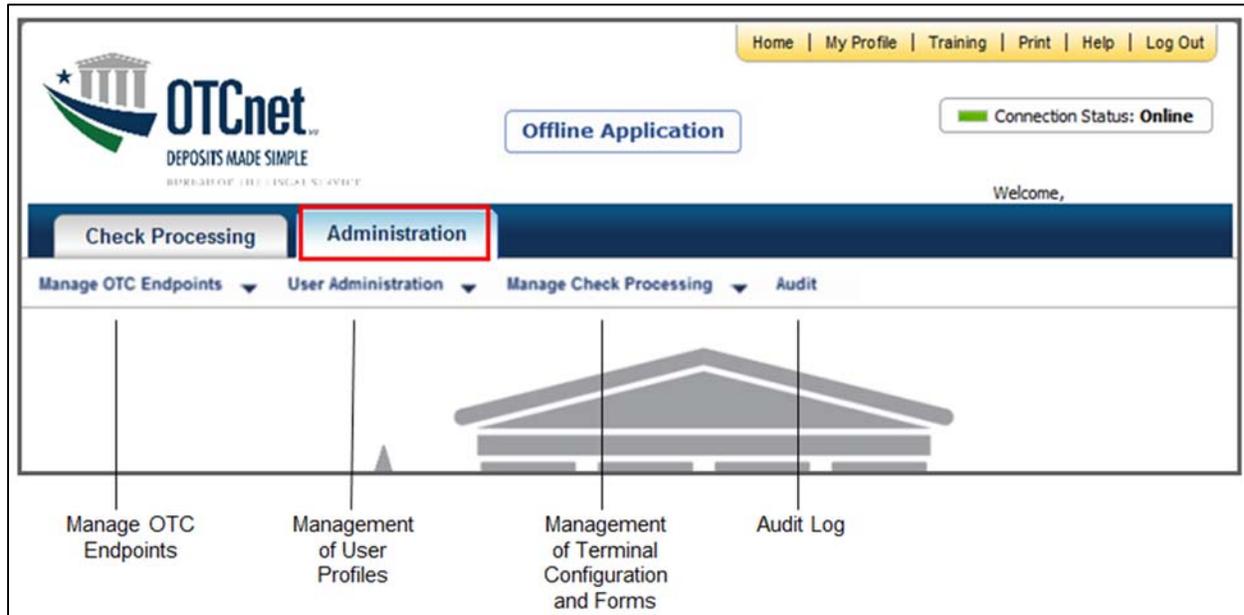
To access the OTCnet Offline Administration functionality, log in with your user id and password. Table 6 below provides a list of the Administration functions that are available to you.

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.

The Administration tab is shown in Figure 37. Depending on your user role, you may not see all functionality shown in the image.

Figure 37. OTCnet Offline Administration



OTCnet Offline Check Processing Functionality

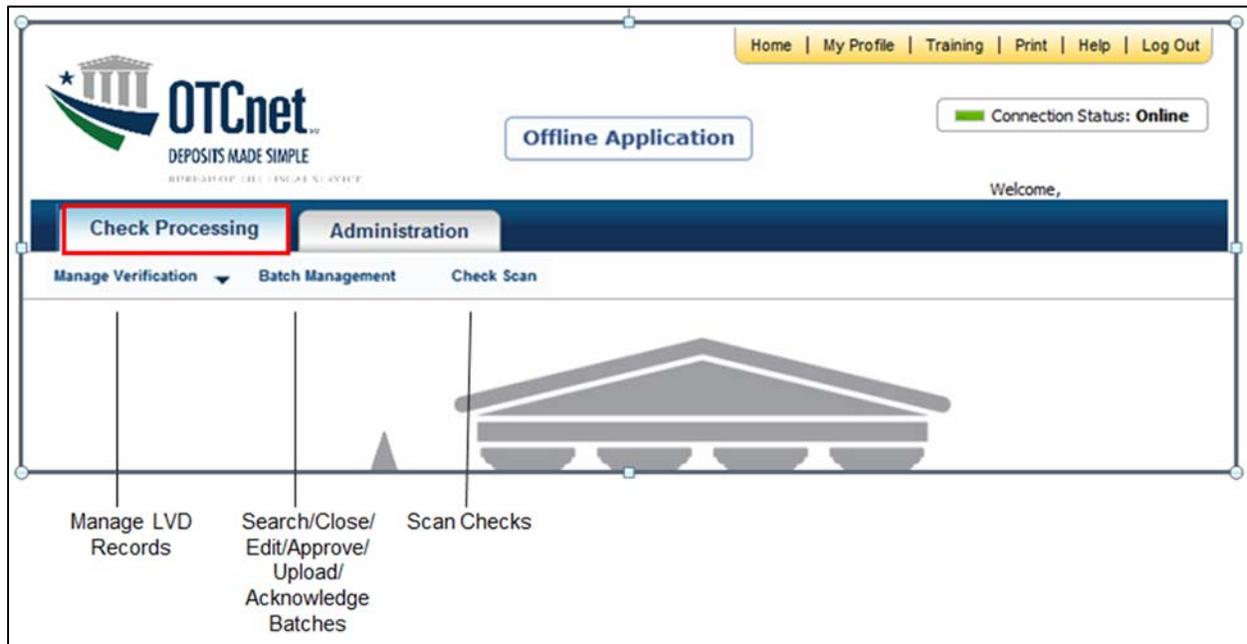
To access the OTCnet Offline Check Processing functionality, log in with your user id and password. Table 7 below provides a list of the Check Processing functions that are available to you.

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.

The Administration tab is shown in Figure 38. Depending on your user role, you may not see all functionality shown in the image.

Figure 38. OTCnet Offline Check Processing Descriptions



Glossary

A

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 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report – A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report – A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager – A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 roles 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.

Bureau of the Fiscal Service (FS) – (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator – An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Image Report – A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number – The printed number of the check writer's check.

CIRA CSV Historical Report – A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) – A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status – Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR) – (formerly 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.

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 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.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate – The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed – The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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 Fiscal Service’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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) – It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers’ maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR File Status Report – An administration report allows you to view the status of CIR files that have been processed by Collections Information Repository (CIR) or are ready for CIR to process.

View CIR Transmission Status for Check Processing – A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number – The number assigned to a deposit by OTCnet.



Chapter 3: Capturing and Managing Checks Online

OTCnet Participant User Guide

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Audience, Overview and Topics

Audience

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

- Check Capture Operator (CCO)
- Check Capture Lead Operator (CCLO)
- Check Capture Supervisor (CCS)

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 classify 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. Classify a Batch
11. Close a Batch
12. Approve a Batch
13. 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 conduct the same actions as the **CCO** stated above, as well as balance batch and enter batch control values (total check count and total amount), accept duplicates, make MICR code line corrections and accept checks with poor quality without 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 code line corrections		•	•
Resolve a duplicate check		•	•
Accept checks with poor image quality		•	•
View a batch list	•	•	•
Balance batch amount (total check count and total amount)		•	•
Enter batch control during batch closing		•	•
Classify a batch	•	•	•
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 Online

Introduction to Capturing a Check

As a **CCO** or **CCLO**, you can capture a check in two modes, single or batch. Once a **Check Capture Administrator (CCA)** 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 **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 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 logistics for 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 **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 **CCA** 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 **CCO** or **CCLO** 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.

Batch 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 works with the EC7000i, Panini Vision X, Panini MyVision X, and Panini I: Deal 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 3,000 items, and the maximum dollar amount per batch is \$99,999,999.99. 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.

Prior to scanning, checks should be pre-sorted by **Customer present**, **Customer Not Present**, and **Back Office**. 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 **CCA** or the *Administration Chapter 7: Configuring Check Processing Settings* user guide.

Accounting Codes

By default, the **Agency Accounting Code** drop-down field displays a blank value. An accounting code can be selected for a check transaction before or after scanning a check.

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).

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)**.

If no accounting codes are available for selection and the Agency is a Central Accounting Reporting System (CARS)/Government Wide Accounting (GWA) Reporter, an operator cannot scan a check. If no accounting codes are available for selection, and the Agency is not a CARS/GWA Reporter, an operator can still scan a check.

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

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 prior to the next user login.

Check Scanner Types and Check Placement

Your Agency may scan checks using one of nine 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, Panini MyVision X, Panini Vision X, and Panini I: Deal, however, can scan checks in both modes.

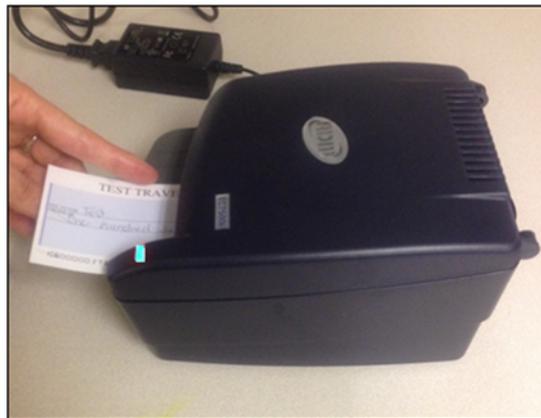
Table 2. Scanner Types

EC7000i	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
Panini MyVision X	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
Panini Vision X	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
Panini I: Deal	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)

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 1. EC 7000i Scanner



Note: With the EC7000i scanner, both the front and the back of the check are scanned automatically. For additional scanning information or troubleshooting using the EC7000i scanner, reference Troubleshooting or *Chapter 10: RDM Scanner Appendix*. For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the *Chapter 10: RDM Scanner Appendix*.

Panini Vision X and MyVision X Scanners

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 2 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 2. 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.

Panini I: Deal Scanner

Place the check face up with the MICR line aligned to the right side of the scanner (as shown in Figure 5 below). The scanner automatically detects the check and begins feeding. If the check is not aligned, the scanner will automatically align the check to the proper position. When using the franking feature, the Panini I: Deal scanner will frank the check as soon as it is scanned, rather than waiting until the operator has saved the transaction. This is a change in process from the EC7000i series scanner.

Figure 3. Panini I: Deal Scanner

Note: As the document is fed in to the device, the scanner will detect if the document was not automatically aligned correctly. If the document is skewed, the scanner will prevent further processing, will stop the document, and will flash a red light. The check can be removed and reinserted.

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

- *Chapter 8. Troubleshooting (for scanner / imaging issues)*
- *Chapter 10. RDM Scanner Appendix*
- *Chapter 11. 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. The bottom of the *Agency Form* entry screen displays *Scan front of Check*.

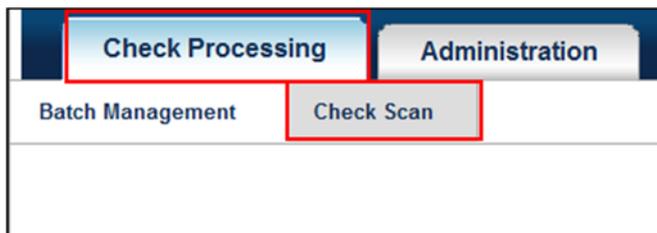
Note: A Batch Control screen may appear, based on the Agency's configuration settings.

Capture a Check Online

To scan a check:

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

Figure 4. Check Processing> Check Scan

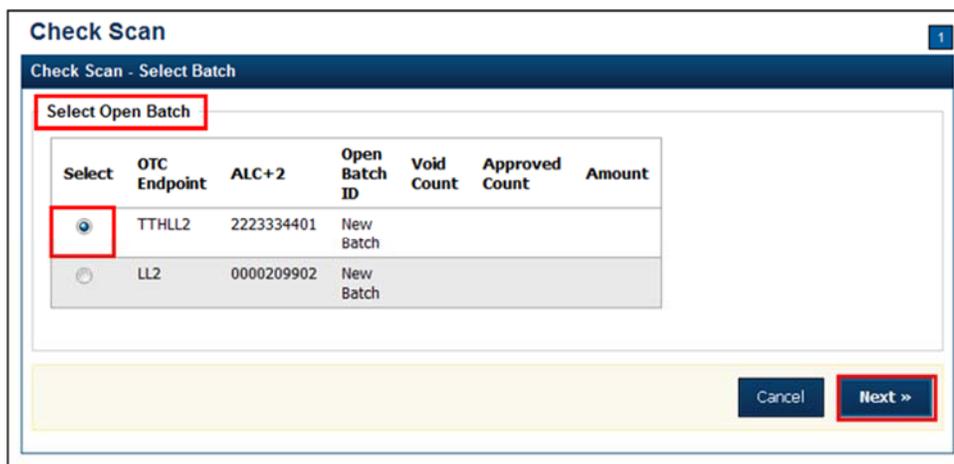


3. The *Check Scan-Select Batch* page appears. Under **Select Open Batch**, select for the **OTC Endpoint** for which you want to scan a check(s) and click **Next**, *if applicable*. The *Check Scan* page appears.

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. However, if an operator has access to scan against multiple OTC Endpoints, and then the system will prompt the user to select an OTC Endpoint.

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 5. Click Scan- Select Batch Page



4. The *Check Scan – Perform 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**

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 6: Agency Form Data Entry Fields

The screenshot displays the 'Check Scan' web application interface. The main window is titled 'Check Scan - Perform Check Scan'. It is divided into several sections:

- Agency Form Data:** A large text area containing the following information:
 - User: ccl0001
 - Processing Method: Customer Present
 - Item Type: Personal
 - Amount: 0.00 (with a text input field)
 - IRN: [blank]
 - Bank Number: [blank]
 - Check Number: [blank]
- Processing Mode:** SINGLE CHECK MODE
- Batch:** Total Item Count: 0, Key Item Count: [blank]
- OTC Endpoint:** Short name: TTHLL2, Description: Training Team Test Hierarchy Lower Level 2
- ALC + 2:** 2223334401
- Processing Method:** Customer Present (dropdown menu)
- Item Type:** Personal (dropdown menu)
- Scan Controls:** Start Scan, Cancel, Receipt, Clear Form, Save, Scanner Config (all buttons)
- Agency Accounting Code:** A dropdown menu with a 'Multiple' button and fields for Agency Accounting Code and Description.
- Scanned Check Image:** A large grey placeholder area with a vertical toolbar on the right containing icons for zoom, pan, and other image manipulation tools.

A 'Return Home' button is located in the bottom right corner of the application window.

Table 3. FedACH and Check 21 Item Types

FedACH	Check 21
<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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 7. Start Scan

Processing Mode
SINGLE CHECK MODE

Batch
Total Item Count: 0
Key Item Count:

OTC Endpoint:
Short name:
TTHLL2
Description:
Training Team Test
Hierarchy Lower Level 2

ALC + 2:
2223334401

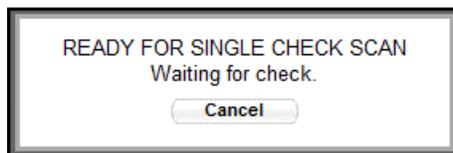
Processing Method:
Customer Present ▼

Item Type:
Personal ▼

Scan Controls:

Start Scan
 Cancel
 Receipt
 Clear Form
 Save
 Scanner Config

Figure 8. Ready for Single Check Scan – Waiting for Check



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**.

If you use a **Panini I: Deal, Panini MyVision X, or Panini Vision 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**.

Table 4. Scan Controls Menu

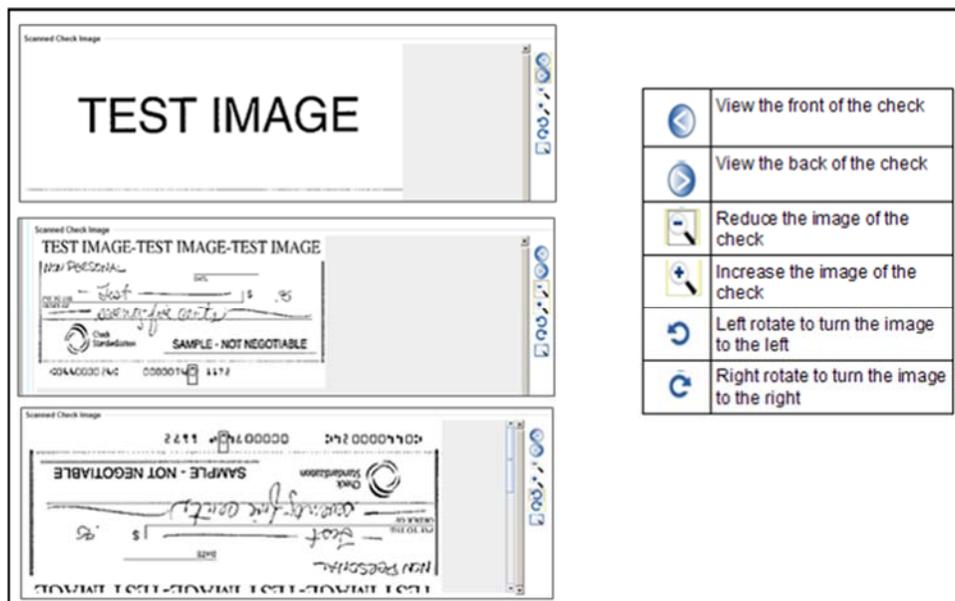
Cancel	Cancels the transaction. No data will be saved
Receipt	Access a receipt for review or printing. This is only available once the initial check is scanned
Clear Form	Clears the data entered
Save	Saves the transaction
Scanner Config	Provides scanner, printer and processing method configuration information

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 7. Scanner Check Image (Sample Images)



Under **Agency Form Data**,

- Enter the **Amount**, *required*
- Enter the check data in the field(s) provided, *if applicable*

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).

Be sure to type in the data rather than copying and pasting from another source. Data that has been copied and pasted may result in an error. After **saving the data**, a **message appears stating the transaction was successfully saved along with the Individual Reference Number (IRN) and check amount.**

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 **Amount** field (e.g. Social Security Number). If your agency has additional fields, they display under the **Amount** 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 fiscalservice.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.

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 fields** automatically populates located in the frame of the **Agency Form Data**). For details regarding your scanner configurations, click on **Scanner Config**, under Scan Controls.

5. Under **Agency Accounting Code**, if applicable

- Click the **Agency Accounting Code** radio button and select a single accounting code from the drop-down list

Figure 80. Agency Accounting Code - Single Accounting Code

The screenshot shows a dialog box titled "Agency Accounting Code". On the left, there is a radio button that is selected. To its right is a text input field. Further right is another radio button labeled "Multiple". Below the text input field, a dropdown menu is open, displaying two items: "0101010101 - Accounting Code" (highlighted in blue) and "0202020202 - Accounting Code".

or

- Click the **Multiple** radio button. The *Account Classification* dialog box appears.
 - Select an **Accounting Code**, enter the **Amount**, and click **Add** for each subtotal of the deposit
 - Click **Save and Return to Check Scan**

Figure 91. Agency Accounting Code - Multiple Accounting Code

The screenshot shows the same "Agency Accounting Code" dialog box. The radio button on the left is now unselected, and the "Multiple" radio button on the right is selected. The text input field is empty. Below the input field, there are two labels: "Agency Accounting Code:" and "Description:", each followed by a blank space for text entry.

Figure 102. Account Classification – Multiple Agency Accounting Codes

The screenshot shows the 'Account Classification' window. At the top, it says 'Select an accounting code, enter the amount, and click: Add for each subtotal of the items.' Below this is a form with the following fields:

- IRN: 21092977021360000102
- Item Amount: \$ 20.00
- Variance: \$ 0.00
- Agency Accounting Code*: 0202020202 - Accounting Code (dropdown menu)
- Amount*: 10.00 (input field)
- Buttons: Add >>

Below the form is a table with the following data:

Agency Accounting Code	Description	Amount	Remove
0101010101	Accounting Code 1	\$ 10.00	<input type="checkbox"/>
0202020202	Accounting Code 2	\$ 10.00	<input type="checkbox"/>

At the bottom of the table, it says 'Total Accounting Codes: 2' and 'Total \$ 20.00'. There is an 'Update' button. At the very bottom of the window are 'Cancel' and 'Save' buttons.

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

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

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 prior to the next user login.

The single **Agency Accounting Code** and **Multiple** accounting codes options are available if checks are scanned against an OTC Endpoint designated for Item Level Classification. If an ALC is designated for Summary Level Classification the **Agency Accounting Code** and **Multiple** accounting codes options are disabled.

- If multiple accounting codes are used, the combined accounting code subtotal must be equal to the deposit total before proceeding to the next step. If it does not, you must go back and re-validate your subtotal entries.

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

Figure 113. 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** fields automatically populates located in the frame of the **Agency Form Data**.

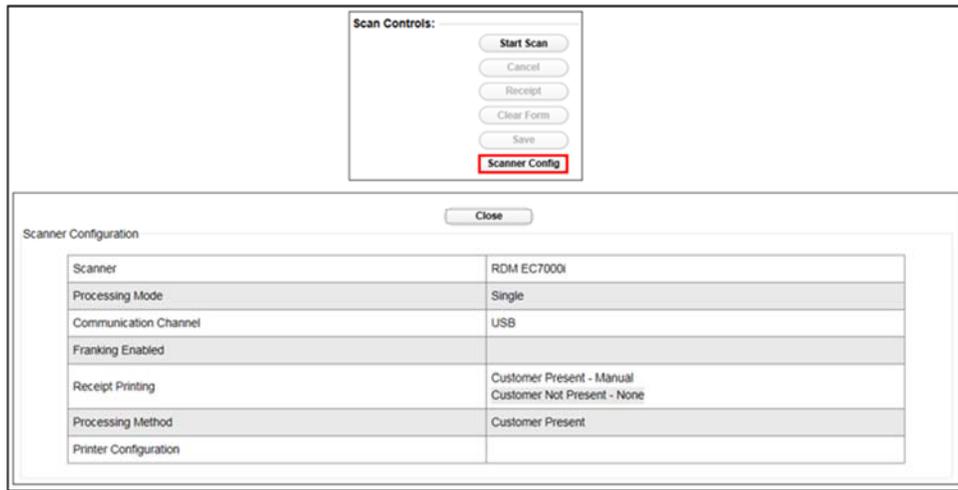
A message appears stating the transaction was successfully saved along with the Individual Reference Number (IRN) and check amount.

Figure 124. Transaction Saved Successfully

Transaction saved successfully. IRN: 221003770221000000155. Amount: \$20.00. Please click receipt button to continue.

For details regarding your scanner configurations, click on **Scanner Config**, under Scan Controls.

Figure 135. Scanner Configuration Menu Option





Capture a Check Online

To capture a check in online mode:

1. From the Check Processing tab, click Check Scan.

The *Check Scan-Select Batch* page appears.

Under Select **Open Batch**, if applicable

- Click **Select** for the *OTC Endpoint* for which you want to scan one or more checks
- Click **Next**



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. However, if an operator has access to scan against multiple OTC Endpoints, and then the system will prompt the user to select an OTC Endpoint.



Application Tip

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 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

If an Agency is associated with an OTC Endpoint that is designated as a Central Accounting Reporting System (CARS)/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 CARS/GWA Reporter, the operator can scan checks and selecting an accounting code is optional.

2. The *Check Scan – Perform 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 **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.

Table 5. FedACH and Check 21 Item Types

FedACH	Check 21
<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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).
- **Panini MyVision X**: 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).
- **Panini Vision X**: 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).
- **Panini I: Deal**: This scanner will automatically scan both sides of a check and can scan in single and batch mode (one or more checks in a batch).

**Application Tip**

The maximum number of check items that can be scanned per batch is 3,000.

**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 **Amount** field (e.g. Driver's License Number). If your Agency has additional fields, they are displayed under the **Amount** 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 fiscalservice.otcdeployment@citi.com.

**Application Tip**

Be sure to type in the data rather than copying and pasting from another source. Data that has been copied and pasted may result in an error.

**Application Tip**

Consider the following about Batch Mode:

- 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**.
- If you use a **Panini I: Deal, Panini MyVision X, or Panini Vision 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**, *if applicable*

- Click the **Agency Accounting Code** radio button and select a single accounting code from the drop-down list

Or

- Click the **Multiple** radio button and from the *Account Classification* dialog box, select an **Agency Accounting Code**, enter the **Amount**, and click **Add** for each subtotal of the deposit. Then click **Save**.



Application Tip

Consider the following information about Agency Accounting Codes:

- By default, **the Agency Accounting Code** drop-down field displays a blank value. An accounting code can be selected for a check transaction before or after scanning a check.
- 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).
- **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)**.
- If no accounting codes are available for selection and the Agency is a CARS/GWA Reporter, an operator cannot scan a check. If no accounting codes are available for selection, and the Agency is not a CARS/GWA Reporter, an operator can still scan a check.
- If an OTC Endpoint is associated with an ALC that is designated as a CARS/GWA Reporter, all check transactions must be classified with an accounting code. If an ALC is not a CARS/GWA Reporter, classifying it with an accounting code is optional.
- 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 prior to the next user login.
- The single **Agency Accounting Code** and **Multiple** accounting codes options are only available if checks are scanned against an OTC Endpoint designated for Item Level Classification. If an ALC+2 is designated for Summary Level Classification, the **Agency Accounting Code** and **Multiple** accounting codes options are disabled.
- If multiple accounting codes are used, the combined accounting code subtotal must be equal to the deposit total before proceeding to the next step. If it does not, you must go back and re-validate your subtotal entries.

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 fields** automatically populates located in the frame of the **Agency Form Data**.

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

**Application Tip**

Additional button on the page that helps you perform other tasks:

- 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 **CCS** or **CCLO** to log in to OTCnet to authorize)

A **CCS** or **CCLO** 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 146. Poor Image Quality

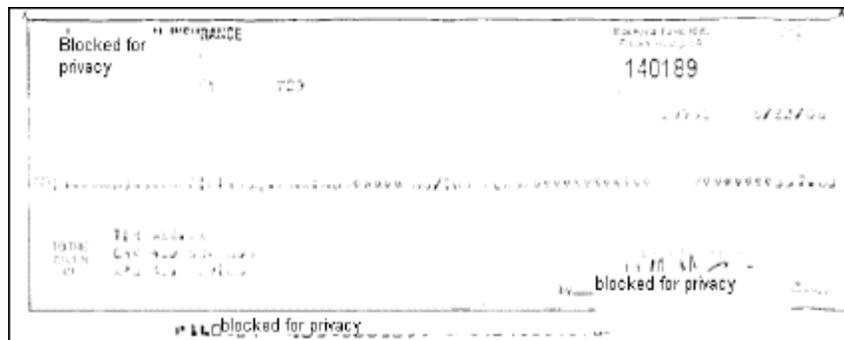


Figure 157. Good Image Quality



Managing a Check with Poor Image Quality

To manage a check with poor image quality:

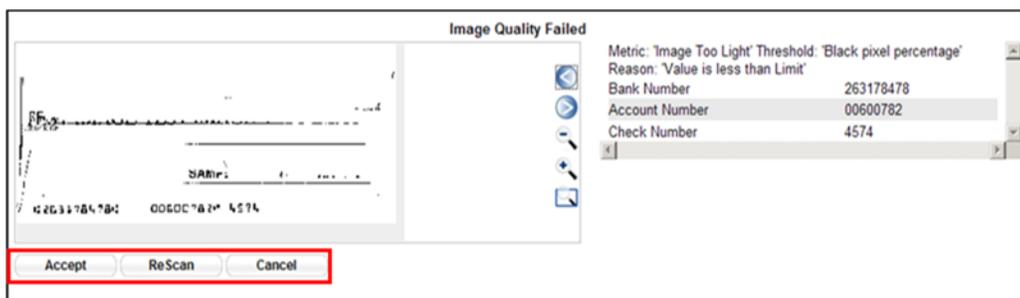
1. From the *Check Scan – Perform Check Scan* page, the *Image Quality Failed* message appears. The following message appears to the right of the screen:

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 **CCS** or **CCLO** to log in OTCnet to authorize)

Figure 168. Image Quality Failed Message



- 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 **CCO** scanned the check, OTCnet will prompt the operator for authorization from a **CCS** or **CCLO**. If a **CCLO** scanned the check, additional authorization is not required. A **CCS** and **CCLO** can accept a check with poor image quality.

The *Login ID and Password* dialog box only appears if a **CCS** or **CCLO** is overriding a poor image check for a **CCO**.

Figure 1917. Login ID and Password Dialog Box

- Check scanning tasks can resume after a **CCS** logs in authorizing the acceptance of the poor image quality check. A **CCO** or **CCLO** may enter the check item details into the form fields at this point.

Figure 180. Check Scan- Perform Check Scan Page



Manage a Check with Poor Image Quality

To manage a check with poor image quality:

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 **CCS** 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 (CCLO)** or **Check Capture Operator (CCO)** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor (CCS)** can approve a check with poor image quality. The **CCS** 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 fields** 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 (e.g. *Electronically Presented*) after the transaction is complete and the check has been scanned. The EC7000i and Panini I:Deal scanners can also be setup to automatically stamp the front of the check with the words, 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 **CCS** or **CCLO** 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).

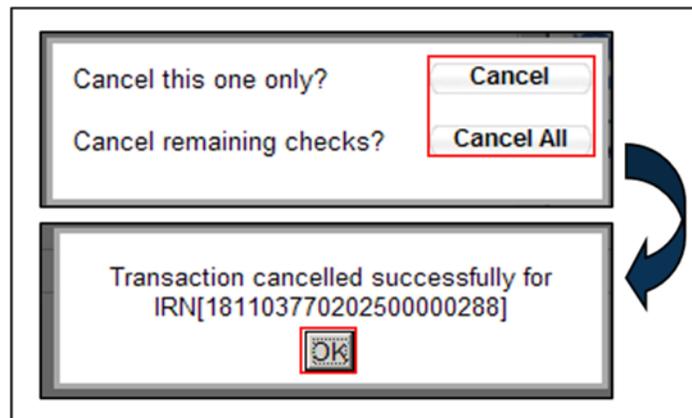
If a *Duplicate Check Detected* prompt is displayed during the check scanning process, an operator may consider the following actions:

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

A **CCS** and **CCLO** are the only authorized users who can accept a duplicate check. Therefore, before a **CCO** can accept a duplicate check, a **CCS** or **CCLO** must log in to authorize it. If a **CCLO** scanned the check, additional authorization is not required. The *Login ID and Password* dialog box only appears if a **CCS** or **CCLO** is accepting a duplicate check for a **CCO**.

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

Figure 202. Cancel a Check Dialog Box



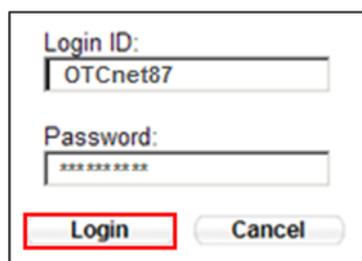
Note: If you want to edit the **MICR** code line, click **Edit MICR**, a **CCS** or **CCLO** must authorize a MICR line code correction (for details, refer to *Edit a MICR* line topic in Correcting Scanned Checks of the Participant User Guide).

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

3. Enter **CCS** Login ID and **Password** and click **Login**.

If a **CCLO** scanned the check, additional authorization is not required. The *Login ID and Password* dialog box only appears if a **CCS** or **CCLO** is accepting a duplicate check for a **CCO**.

Figure 213. Accept Duplicate Prompt



After the duplicate check is accepted, the CCO or CCLO can print a receipt if they choose and continue scanning.

Figure 224 Check Scanning Proceeds (print receipt as necessary)

Transaction saved successfully. IRN: 181103770202500000339. Amount: \$50. Please click receipt button to continue.

Agency Form Data	Processing Mode
User: otcqee20	SINGLE CHECK MODE
Processing Method: Customer Present	Batch
Item Type: Personal	Total Item Count: 2
Amount: 50	Key Item Count: 1/1
Social Security Number: 123456789	OTC Endpoint:
	Short name: DO 101st
	Description: Disbursing Office
	ALC + 2: 0000500601
	Processing Method: Customer Present
	Item Type: Personal
	Scan Controls:
	Start Scan
	Cancel
	Receipt
	Clear Form
	Save

IRN: 181103770202500000339
Bank Number: 041000124
Check Number: 1694
Account Number: 00001127
Date & Time: 10 - 26 - 2010 16:06:54.

Scanned Check Image

TEST IMAGE



Resolve a Duplicate Check

To resolve a duplicate check:

1. Click **Cancel** to cancel the duplicate check. A *Login ID and Password* dialog box appears.



Application Tip

Click **Accept** to continue processing the check. The *Login ID and Password* dialog box only appears if a **CCS** or **CCLO** is accepting a duplicate check for a **CCO**. If a **CCLO** scanned the check, additional authorization is not required.



Application Tip

Click **Edit MICR** to correct the MICR line. A **CCS** or **CCLO** must authorize a MICR line code correction.



Application Tip

It is important as the **CCS** or **CCLO** that if you opt to make a MICR code line correction that you look at the MICR line image closely to ensure all the characters are correctly entered in the code line Correction box.

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



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 **CCS**, you are the only authorized user who can void an erroneously scanned check or a batch of checks. Before you can void a check or batch of checks, 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 **CCS** to sign in to approve).
2. If a **CCS** 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 **CCS** 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/Fiscal Service 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/Fiscal Service 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:

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

Figure 235. 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.

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

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*

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 246. Search Batch Page

Search Batch 1

Search Batch

Batch Search Conditions

<< 1 - 1 >> of 1 Records

Select <small>Check All / Clear All</small>	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:
08/11/2014

To Date:
09/09/2014

Batch ID:

Cashier ID:

Batch Status:

Select <small>Check All / Clear All</small>	Status	Description
<input checked="" type="checkbox"/>	OPEN	Open - accepting new checks
<input checked="" type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

Cancel
Search

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

Figure 257. View Batches (Voiding)

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item Count	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	A06709E3-D684-4884-8879-FD91A19A3C00	ccl0001	TTHLL2	2223334401	9/8/2014 3:34:34 PM	2	40.00	OPEN	✓		
<input type="checkbox"/>	5E427E12-604C-4C46-954A-A1893C912D26	ccl0003	TTHLL2	2223334401	9/4/2014 1:21:53 PM	3	155.00	FORWARDED	✓	ccadm17	9/4/2014 2:20:04 PM
<input type="checkbox"/>	50DF4809-365A-4096-A85D-905D5F7EC246	ccl0004	TTHLL2	2223334401	9/4/2014 1:18:59 PM	3	155.00	FORWARDED	✓	ccadm17	9/4/2014 2:20:05 PM
<input type="checkbox"/>	D93E3C32-D64C-4316-80E7-256078D870D	ccl0001	TTHLL2	2223334401	8/20/2014 5:05:35 PM	1	1.00	CLOSED	✓		
<input type="checkbox"/>	CADFC655-90E8-4FEE-AF26-4D8E65770E1F	ccl0001	TTHLL2	2223334401	8/20/2014 4:50:07 PM	2	15.00	CLOSED	✓		

- 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 268. View Checks (Voiding)

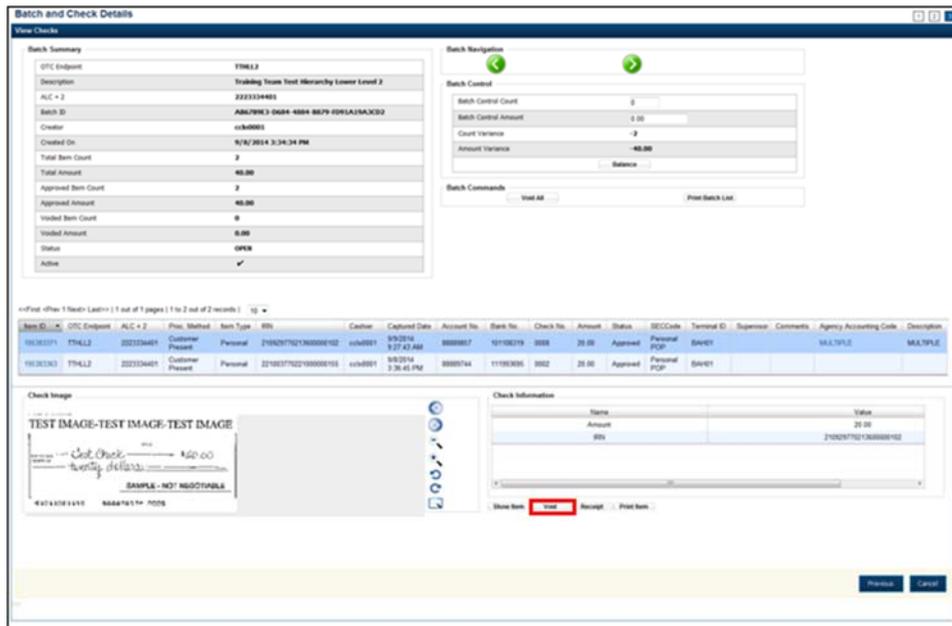
Batch ID	OTC Endpoint	ALC+2	Phis. Method	Item Type	RIN	Cashier	Captured Date	Account No.	Bank No.	Check No.	Amount	Status	SECCode	Terminal ID	Supervisor	Comments	Agency Accounting Code	Description
16161562	TTHLL2	2223334401	Customer Present	Personal	2108297021000000102	ccl0001	9/9/2014 3:27:43 AM	88889657	101108319	0008	20.00	Approved	Personal PGP	BAV01			MULTIPLE	MULTIPLE

4. 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.

If a check is voided and there is more than one check in the batch, and the ALC is designated to classify at the summary level, ensure that the combined accounting code subtotal is equal to the batch total prior to batch approval. If it does not, you must go back and re-validate your subtotal entries.

If a check is voided and there is only one check in the batch, as a best practice it is recommended that the batch is deactivated so that it is not accidentally forwarded for settlement. Deactivated batches will still be archived to the Historical Database.

Figure 29. Check Image/ Details



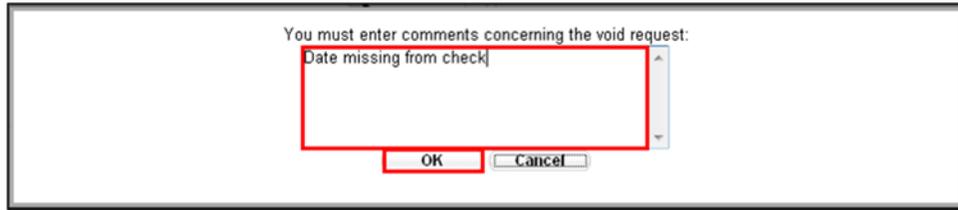
5. Click **Confirm** at the prompt asking if you want to void the check.

Figure 270. Void Confirmation Dialog Box



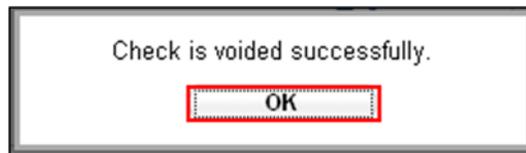
6. Enter comments concerning the void request at the prompt and click **OK**.

Figure 281. Enter Comment Dialog Box



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

Figure 292. Check Void Dialog Box



Void a Check

To void a scanned check:

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 criterion (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.



Application Tip

If a check is voided and there is more than one check in the batch, and the ALC is designated to classify at the summary level, ensure that the combined accounting code subtotal is equal to the batch total prior to batch approval. If it does not, you must go back and re-validate your subtotal entries.



Application Tip

If a check is voided and there is only one check in the batch, as a best practice it is recommended that the batch is deactivated so that it is not accidentally forwarded for settlement. Deactivated batches will still be archived to the Historical Database.

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.

Void All Checks in a Batch

To void all checks in a batch:

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

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

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*

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** box under the **Select** column, then click **Search**.

Figure 303. Search Batch Page

Search Batch

Search Batch

Batch Search Conditions

<< < 1 - 1 >> of 1 Records

Select	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date: 08/11/2014

To Date: 09/09/2014

Batch ID:

Cashier ID:

Batch Status:

Select	Status	Description
<input checked="" type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

Cancel Search

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

Figure 34. View Batches (Void All)

Summary of Batches

View Batches

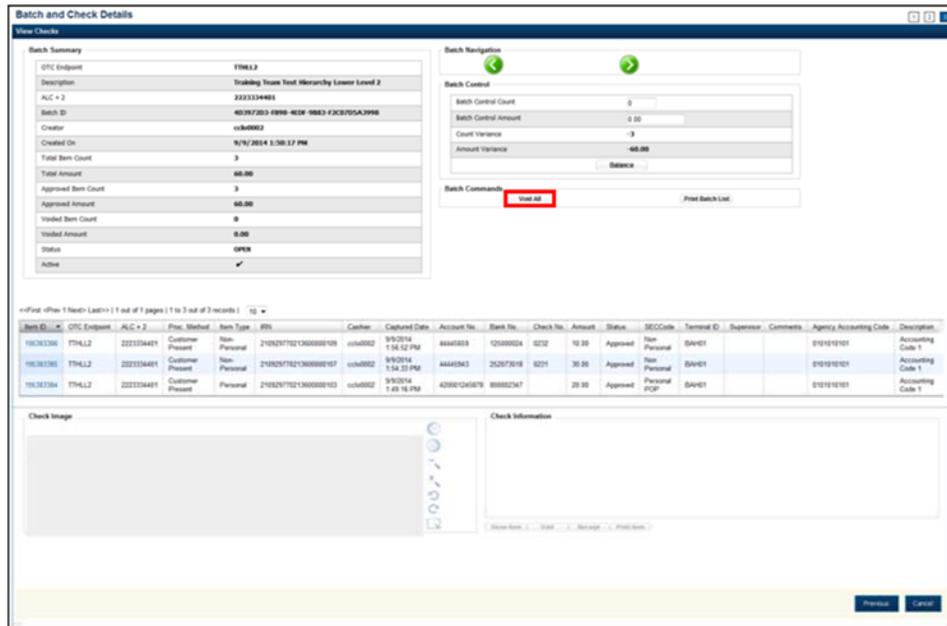
<<First <Prev 1 Next> Last>> | 1 out of 1 pages | 1 to 2 out of 2 records | 15

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount
<input type="checkbox"/>	4D3972D3-FB98-4EDF-9B83-F2C07D5A3998	ccl0002	TTHLL2	2223334401	9/9/2014 1:50:17 PM	3	60.00
<input type="checkbox"/>	AB67B9E3-D684-4884-B879-FD91A19A3CD2	ccl0001	TTHLL2	2223334401	9/8/2014 3:34:34 PM	2	40.00

Previous Cancel Activate/Deactivate Close Batch Approve

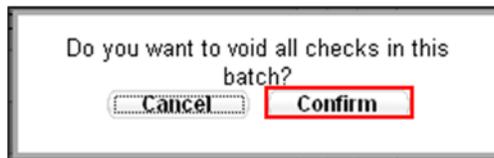
- The *View Checks* page appears. Under **Batch Commands**, click **Void All**.

Figure 315. View Checks (Voiding)



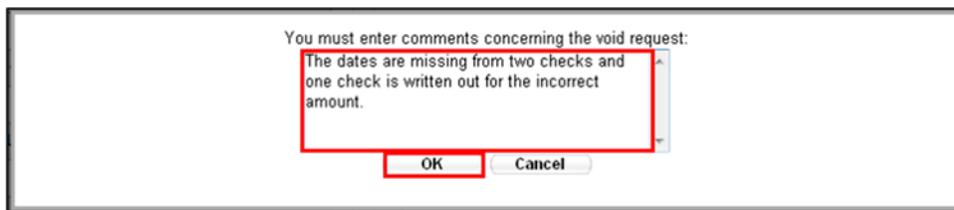
- Click **Confirm** at the prompt asking if you want to void the check.

Figure 326. Void All Checks Confirmation Dialog Box



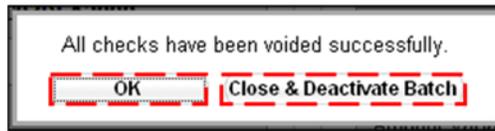
- Enter comments concerning the void request at the prompt and click **OK**.

Figure 37. Enter Comment Dialog Box



6. Click **OK** or **Close & Deactivate** Batch at the final prompt stating that the check is voided successfully.

Figure 38. Check Void Dialog Box





Void All Checks in a Batch

To void all scanned checks in a batch:



Application Tip

Only batches in **Open** status can have all checks voided at once.

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 void a check 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 criterion (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**,

- 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. Under Batch Commands, click **Void All**.
 7. Click **Confirm** at the prompt asking if you want to void all checks.
 8. Enter comments concerning the void request at the prompt and click **OK**.
 9. Click **OK** at the final prompt stating that the checks in the batches have been voided successfully.

**Application Tip**

After an entire batch of checks is voided, as a best practice, it is recommended that the batch be deactivated so that it is not accidentally forwarded for settlement. Deactivated batches will still be archived to the Historical Database after 18 months as all batches and their associated check items are archived regardless of the batch status.



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 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 **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 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 **CCLO** or **CCO** 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 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.

Override a MVD Record

To override an 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.

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

Figure 339. Override Check Denial Box

The screenshot shows a 'Check Verification' window with a red 'BLOCKED' status. It is divided into two sections: 'Current Item' and 'Problem Item'. The 'Current Item' section contains fields for SSN (****6789), Bank Number (325081865), and Account Number (88889842). The 'Problem Item' section contains fields for IRN (BLOCK-1683312), Until Date (09/09/2099 00:00:00 AM), MVD Date (09/11/2014 00:00:00 AM), Amount (\$0.00), Reason (Insufficient Funds), Comments, OTC Endpoint (DG2), Description (DG2 Test), and ALC + 2 (1000000002). At the bottom, there are three buttons: 'Print', 'Override' (highlighted with a red box), and 'Cancel'.

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

Figure 40. Override Login Dialog Box

The screenshot shows a dialog box with two input fields: 'Login ID' containing 'otcqr28' and 'Password' containing a masked password. Below the fields are two buttons: 'Login' (highlighted with a red box) and 'Cancel'.

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

Figure 341. Enter Comments Box

The screenshot shows a dialog box with the text 'You must enter comments concerning the override request.' above a large text area. Below the text area are two buttons: 'Submit' (highlighted with a red box) and 'Cancel'.

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 **CCA** 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 **CCLO** or **CCO** 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 **CCO**, **CCLO** or **CCS** 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 **CCS** 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 42. Batch Control Page (Batch Create)

Check Scan

Check Scan - Batch Control

OTC Endpoint Information	
OTC Endpoint	TTHLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401

Set Up New Batch

Batch Control Count:*
0

Batch Control Amount:*
0.00

Cancel << Previous Defer **Next >>**

If **Batch Control** is set to mandatory, the **CCLO** or **CCO** 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 **CCLO** or **CCO** can click the **Defer** button.

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

Figure 43. Perform Check Scan Page (after Batch Control)

Check Scan
Check Scan - Perform Check Scan

Agency Form Data

User: cc00003
Processing Method: Customer Present
Item Type: Non Personal
Amount: 10.00

IRN: 210929770213600000111
Bank Number: 125000024
Check Number: 0232
Account Number: 44445659

Processing Mode: SINGLE CHECK MODE

Batch: Total Item Count 0
Key Item Count 1/1

OTC Endpoint: Short name: TTIBLL2
Description: Training Team Test Hierarchy Lower Level 2

ALC + 2: 222334401

Processing Method: Customer Present

Item Type: Non Personal

Scan Controls: Start Scan, Cancel, Receipts, Clear Form, Save, Scanner Config

Agency Accounting Code: 0101010101 - Accounting Code
Agency Accounting Code: 0101010101
Description: Accounting Code 1

Scanned Check Image

TEST IMAGE-TEST IMAGE-TEST IMAGE

PAY TO THE ORDER OF: *1st Check* \$ 10.00
ten DOLLARS

SAMPLE - NOT NEGOTIABLE

⑆0232⑆ ⑆125000024⑆ ⑆44445659⑆

Return Home

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 44. Batch Control Page (Batch Close)

The screenshot shows a web application window titled "Batch Control" with a tabbed interface (tabs 1, 2, 3, 4). The main content area is titled "Batch Control Setup" and contains a table with the following data:

Batch Detail	
OTC Endpoint	TTHLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401
Batch ID	0876582E-4260-4618-B333-1E53DA71A250
Creator	ccl0003
Created On	09/09/2014 03:42:50 PM ET
Total Item Count	1
Total Amount	10.00
Approved Item Count	1
Approved Amount	10.00
Voided Item Count	0
Voided Amount	0.00
Batch Control Count:	<input type="text" value="1"/>
Batch Control Amount:	<input type="text" value="10.00"/>

At the bottom right of the form, there are three buttons: "Cancel", "Skip", and "Next >>". The "Next >>" button is highlighted with a red border.

If **Batch Control** is set to optional, the **CCLO**, **CCO**, or **CCS** 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 *Chapter 5. Correcting Scanned Checks* of the OTCnet Participant User Guides.

If you are a **CCLO** or **CCO** and discover that the amount of the check item was incorrectly entered, contact your **CCS**, and edit the check using the *Show Item* window.

- The *Close Batch* page appears. Click **Print PDF Report** or **Export** and click **Confirm** to close the batch.

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batch is not closed until **Confirm** is clicked.

Figure 355. Print Batch List Report (Batch Close)

Close Batch

Batch List to be Closed

OTC Endpoint	Description	ALC + 2	Batch ID	Creator	Created On	Total Item Count	Total Amount	Approved Item Count	Approved Amount	Voided Item Count	Voided Amount
TTHL2	Training Team Test Hierarchy Lower Level 2	2223334401	0876582E-4260-4618-8333-1E53DA71A250	cd00003	09/09/2014 03:42:50 PM ET	1	10.00	1	10.00	0	0.00

Please export or print the Batch List Report prior to selecting the 'Confirm' button

Export as
 Word

SENSITIVE BUT UNCLASSIFIED

Batch List

OTC Endpoint: TTHL2 - Training Team Test Hierarchy Lower Level 2 Batch: 0876582E-4260-4618-8333-1E53DA71A250
 Date: 09/14 3:52 PM
 ALC+2: 2223334401 Printed By: CC CLO

KEY - (A)Auto, (A)Approved, (V)Void, (T)Tax, (P)Personal, (N)NonPersonal
 MULTIPLE - Item is classified with more than one accounting codes
 SUMMARY - Item is part of a batch classified at the Summary level

Item	OTC	WTR	Capture Date Time	Bank No.	Account No.	Check No.	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier
1	1		09/14/2014 03:52:50 PM ET	10888824	44444433	0000	\$10.00		4110-10-1001	Accounting Code 1	cc00003
Sub Total						Count: 1	Amount: \$10.00				
Batch Total						Count: 1	Amount: \$10.00				

Perform Batch Control (Optional or Mandatory)

To perform batch control on **batch create**:

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**:

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 41 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 41 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 *Optional*, a user may click **Next** below, to continue closing the batch.

Figure 36. Batch Control (Failed to Balance)

Batch Control 1 2 3 4

Batch Control

Failed to balance Batch 4157F56F-541E-4FC1-BF8A-EDDB3D456E19, please check batch control.

Batch Control Setup

Batch Detail	
OTC Endpoint	THLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401
Batch ID	4157F56F-541E-4FC1-BF8A-EDDB3D456E19
Creator	ccl0003
Created On	09/09/2014 04:07:47 PM ET
Total Item Count	1
Total Amount	10.00
Approved Item Count	1
Approved Amount	10.00
Voided Item Count	0
Voided Amount	0.00
Batch Control Count:	<input type="text" value="1"/>
Batch Control Amount:	<input type="text" value="100.00"/>

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 **CCS** 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 **CCS**, **CCLO**, and **CCO**, 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.

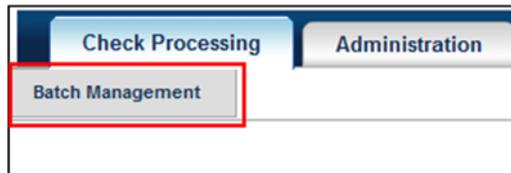
The printing of a **Batch List** is part of the batch close procedure. During batch close, the system prompts to make certain that the user acknowledges the printout of the **Batch List**. The **Print PDF Report** button defaults to print in PDF format; however, a user may also opt to download and save 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 37. Check Processing>Batch Management (View Batch)



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

Figure 48. Search Batch Page (View Batch)

The screenshot shows the 'Search Batch' interface. At the top, there's a header 'Search Batch' with a tab indicator '1'. Below it is a section titled 'Batch Search Conditions' with a sub-header 'Batch Search Conditions' and a record count '<<< 1 - 1 >>> of 1 Records'. The main content area contains a table with columns 'Select', 'OTC Endpoint', 'ALC + 2', and 'Description'. The table has one row with a checkbox, 'TTHLL2', '2223334401', and 'Training Team Test Hierarchy Lower Level 2'. Below the table are date filters for 'From Date' (08/11/2014) and 'To Date' (09/09/2014). There are also input fields for 'Batch ID' and 'Cashier ID'. At the bottom, there's a 'Batch Status' section with a table of status options: 'OPEN', 'CLOSED', 'APPROVED', and 'FORWARDED', each with a checkbox and a description. At the very bottom, there are 'Cancel' and 'Search' buttons, with the 'Search' button highlighted by a red box.

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.

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

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*

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.

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 49. View Batches Page (View Batch)

The screenshot shows the 'View Batches' page with a table of batch information. The table has the following columns: Select, Batch ID, Creator, OTC Endpoint, ALC+2, Created On, Total Item C, Total Amount, Status, Active Flag, Approver, and Approved On. The first row is highlighted with a red box around the Batch ID.

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	4157F56F-641E-4FC1-8FBA-ED0B3D456E19	cciv0003	TTHLL2	2223334401	9/9/2014 4:07:47 PM	1	10.00	OPEN	✓		
<input type="checkbox"/>	0876582E-4260-4618-B333-1E53DA71A250	cciv0003	TTHLL2	2223334401	9/9/2014 3:42:50 PM	1	10.00	CLOSED	✓		
<input type="checkbox"/>	5E427E12-604C-4C46-95AA-A1863C812026	cciv0003	TTHLL2	2223334401	9/4/2014 1:21:53 PM	3	155.00	FORWARDED	✓	ccadm17	9/4/2014 2:20:04 PM

At the bottom of the table, there are three buttons: Previous, Cancel, and Close Batch.

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

Figure 380. View Checks Page (View Batch)

The screenshot displays a web application window titled "Batch and Check Details" with a sub-tab "View Checks". The window is divided into two main sections: "Batch Summary" on the left and "Batch Control" on the right.

Batch Summary Table:

OTC Endpoint	TRH12
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401
Batch ID	4157956F-541E-4FC1-BABA-ED083D456E19
Creator	cks00003
Created On	9/9/2014 4:07:47 PM
Total Item Count	1
Total Amount	10.00
Approved Item Count	1
Approved Amount	10.00
Voided Item Count	0
Voided Amount	0.00
Status	OPEN
Active	✓

Batch Control Section:

Batch Navigation: Two green arrows pointing left and right.

Batch Control Summary:

Batch Control Count	1
Batch Control Amount	10.00
Count Variance	0
Amount Variance	0.00

A "Balance" button is located below the Batch Control summary.

Batch Commands:

A button labeled "Print Batch List" is highlighted with a red rectangular box.

5. The *Batch List Report* preview page appears.

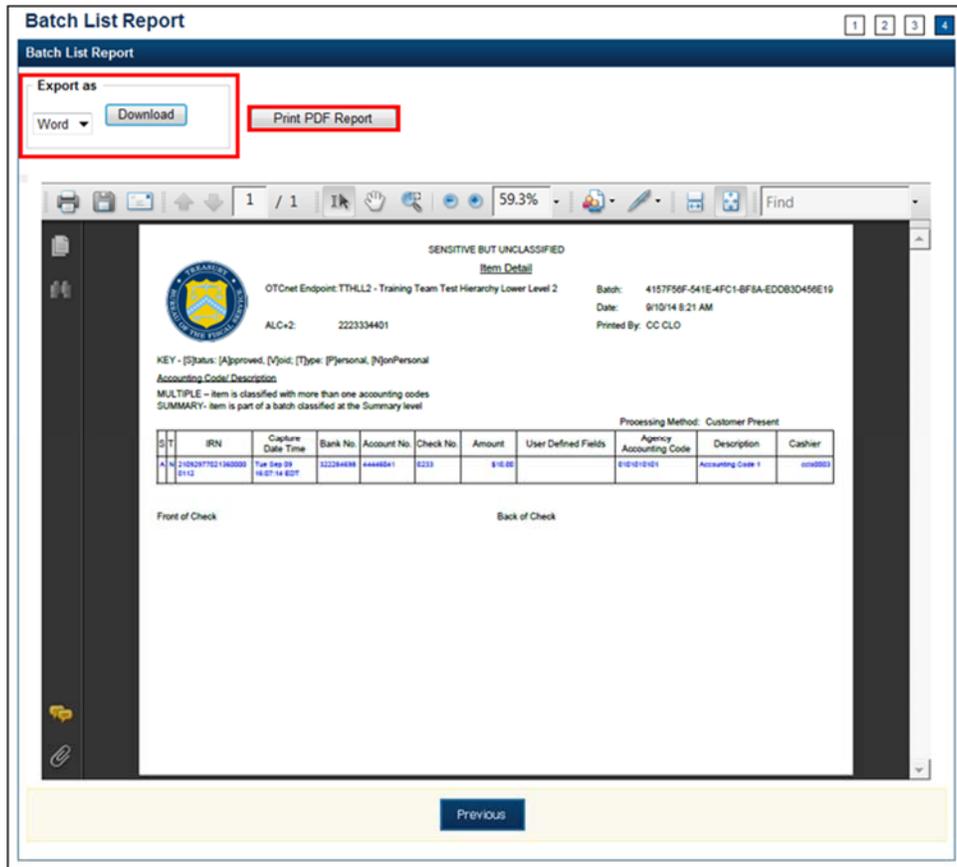
Under **Export as**,

- Select **PDF**, **Word** or **Excel**
- Click **Download**

Or

- Click **Print PDF Report**

Figure 391. Batch List Report

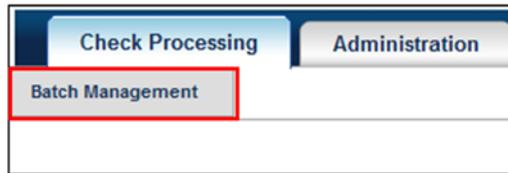


Item Detail Report

To run an item detail report:

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

Figure 52. Batch Management



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

Figure 403. Search Batch

Search Batch
1

Search Batch

Batch Search Conditions

<< < 1 - 1 >> of 1 Records

Select	OTC Endpoint	ALC + 2	Description
Check All / Clear All <input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:

To Date:

Batch ID:

Cashier ID:

Batch Status:

Select	Status	Description
Check All / Clear All <input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

Cancel
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.

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

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*

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**

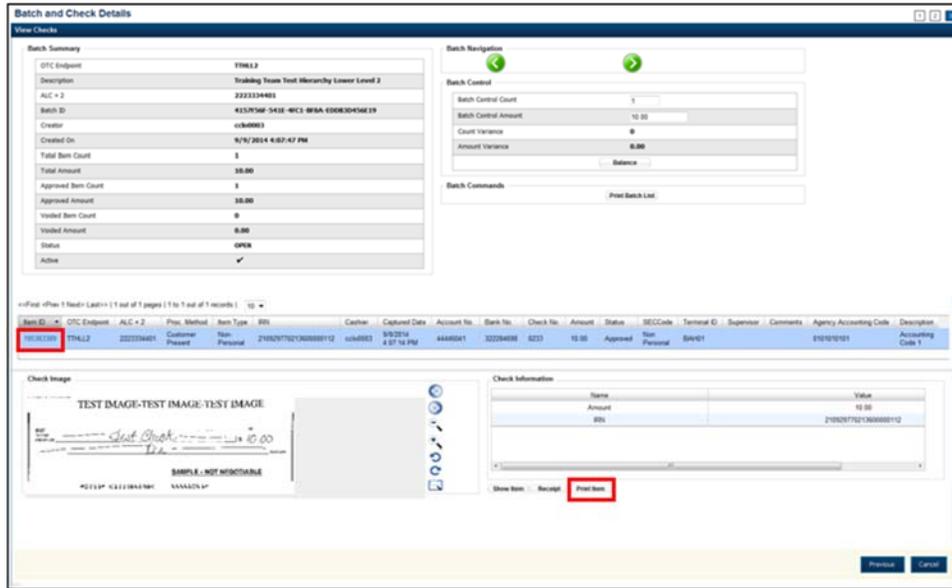
3. The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 414. Summary of Batches

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	4157F56F-641E-4FC1-BF6A-E00B5D456E19	cccb0003	TTHLL2	2223334401	9/9/2014 4:07:47 PM	1	10.00	OPEN	<input checked="" type="checkbox"/>		
<input type="checkbox"/>	0876582E-4260-4618-B333-1E53DA71A250	cccb0003	TTHLL2	2223334401	9/9/2014 3:42:50 PM	1	10.00	CLOSED	<input checked="" type="checkbox"/>		
<input type="checkbox"/>	5E427E12-604C-4C46-95AA-A1B63C812D26	cccb0003	TTHLL2	2223334401	9/4/2014 1:21:53 PM	3	155.00	FORWARDED	<input checked="" type="checkbox"/>	ccadm17	9/4/2014 2:20:04 PM

- The *Batch and Item Details* page appears. Click the **Item ID** of each scanned check, and 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 425. View Checks Page/ Item ID Select



5. The *Item Detail Report* preview page appears.

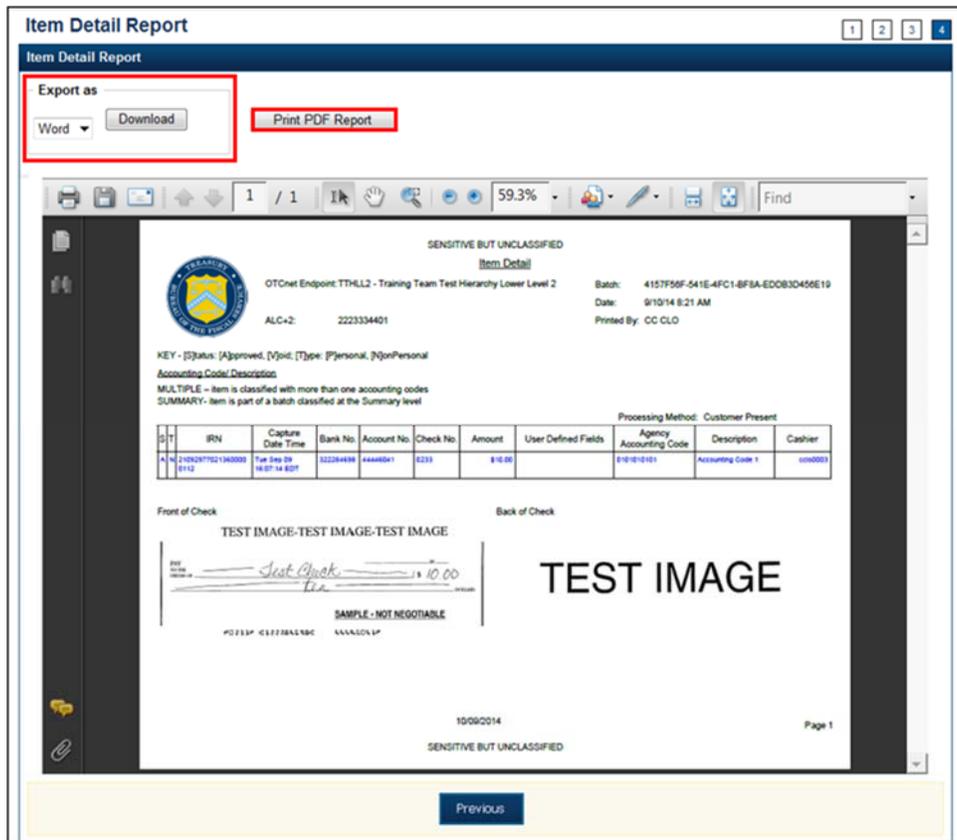
Under **Export as**,

- Select **PDF, Word** or **Excel**
- Click **Download**

Or

- Click **Print PDF Report**

Figure 436. Item Detail report



View and Print a Batch List Report

To view and print a Batch List report:

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.

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* preview page appears.
7. Under **Export as**,
 - Select **PDF**, **Word** or **Excel**
 - Click **Download**

Or

 - Click **Print PDF Report**



Application Tip

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

View and Print an Item Detail Report

To view and print an Item Detail report:

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* preview page appears.
 8. Under **Export as**,
 - Select **PDF**, **Word** or **Excel**
 - Click **Download**

Or

 - Click **Print PDF Report**.



Application Tip

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

Topic 9. Activate/Deactivate a Batch

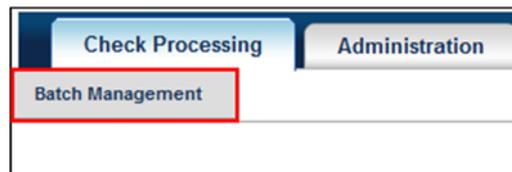
A **CCS** can deactivate a batch if there is a problem with an item within the batch and further research is needed. Deactivating a batch prevents it from being closed or approved for settlement.

A deactivated batch must be activated before it can be closed or approved for settlement. Additionally, a batch currently in use cannot be deactivated. A deactivated batch is retained in the system indefinitely and can be searched for using Batch Management.

Activating/Deactivating a Batch

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

Figure 447. 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.

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

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*

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 458. Search Batch Page (Activate/Deactivate)

Search Batch
1

Search Batch

Batch Search Conditions

<< 1 - 1 >> of 1 Records

Select	OTC Endpoint	ALC + 2	Description
Check All / Clear All			
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:

To Date:

Batch ID:

Cashier ID:

Batch Status:

Select	Status	Description
Check All / Clear All		
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

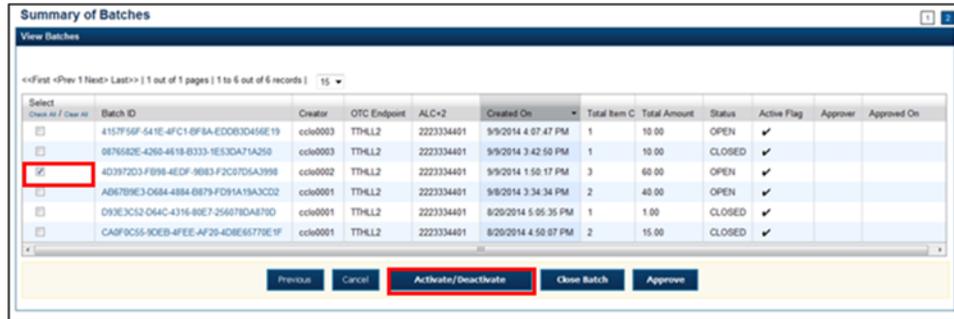
Cancel
Search

- The *Summary of 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.

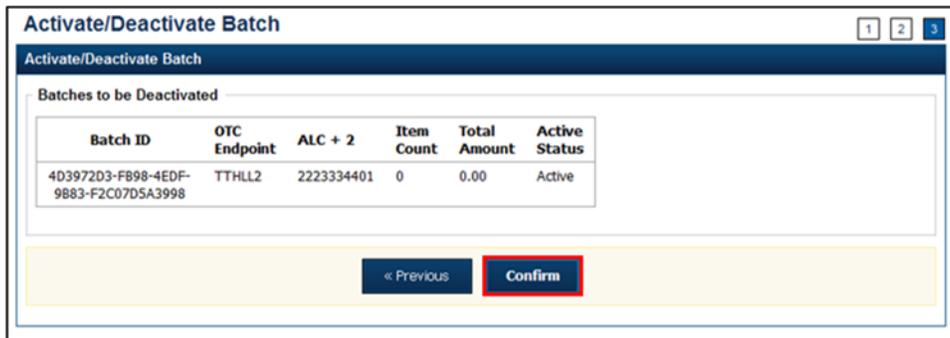
If a batch is activated or deactivated, a check appears under the **Active Flag** column. If a batch is deactivated, the **Active Flag** column is blank.

Figure 59. View Batches Page (Activate/Deactivate)



The *Activate/Deactivate Batch* page appears. Click Confirm (see Figure 60).

Figure 46. 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 47. Batch Activate/ Activate Confirmation

The screenshot shows a web interface titled "Activate/Deactivate Batch". Below the title is a sub-header "Activate/Deactivate Batch" and a section "Batches that have been Deactivated". A table lists the following data:

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount	Active Status
403972D3-F898-4EDF-9883-F2C07D5A3998	TTHLL2	2223334401	0	0.00	Inactive

At the bottom of the interface are two buttons: "Return to Batch Summary" and "Return Home". The "Active Status" cell in the table is highlighted with a red border.

Activate/Deactivate a Batch

To activate/deactivate:

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 activate/deactivate a batch for by checking the box under the **Select** column



Application Tip

Only batches with an **Open** or **Closed** status can be activated/deactivated. Additionally, batches currently in use cannot be deactivated.

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**

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. Additionally, batches currently in use cannot be 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. Classify a Batch

Before a batch can be classified, an OTC Endpoint must be designated as being able to classify a batch at the summary level with at least one accounting code or C-key. Additionally, if an OTC Endpoint is designated as a Central Accounting Reporting System (CARS)/Government-Wide Accounting (GWA) reporter, all batches (at the summary level) or items within a batch (at the item level) must be classified with at least one accounting code or C-key.

To classify a batch at the summary level, the CCLO or CCO first uses the Check Scan function, scans the check(s), enters the amount and any user defined field details, and saves the transaction. After the batch is saved, a Check Capture Supervisor (CCS), CCLO, or CCO accesses Batch Management, clicks View/Edit Classification and classifies the batch with an accounting code or C-key. Note: Depending on your user privileges and batch status you will see either a View/Edit Classification or a View Classification button.

The summary level (batch) classification process is independent of the batch close process. Therefore, a batch can be classified prior to closing a batch or after the batch is closed. Additionally, a CCS can classify a batch during Approve Batch.

Classify or Edit a Batch at the Summary Level

To classify or edit a batch at the summary level online:

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

Figure 48. Administration>Batch Management



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

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

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

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

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

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.

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

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

Batches in **Open** or **Closed** status can be classified or edited at the summary level.

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

Figure 49. Search Batch (Classify a Batch)

Search Batch

Search Batch

Batch Search Conditions

<< 1 - 2 >> of 2 Records

Select	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	LL1	0000209901	Lower Level 1
<input type="checkbox"/>	LL2	0000209902	Lower Level 2

Created On Date

From Date:
08/12/2014

To Date:
09/10/2014

Batch ID:

Cashier ID:

Batch Status:

Select	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

Cancel Search

- Click the **Batch ID** hyperlink. The *View Checks* page appears.

Figure 50. View Batches

Summary of Batches

View Batches

<<First <Prev 1 Next> Last>> | 1 out of 1 pages | 1 to 1 out of 1 records | 15

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	3FBABA2-79D8-4541-A95E-79FB618FD2A3	cclo0009	LL2	0000209902	9/10/2014 11:35:46 AM	1	20.00	OPEN	✓		

Previous Cancel Activate/Deactivate Close Batch Approve

- Click **View/Edit Classification**. The *Account Classification* dialog box appears.

Depending on your user role and batch status you will either see **View/Edit Classification** or **View Classification**. **View/Edit Classification** indicates that the user has view and edit permissions. **View Classification** indicates the user has view classification permission and is not permitted to edit or delete a classification.

Figure 51. View Checks – View/Edit Classification

The screenshot shows a web interface titled "Batch and Check Details" with a sub-header "View Checks". On the left, there is a "Batch Summary" table with the following data:

OTC Endpoint	112
Description	Lower Level 2
ALC + 2	0000209902
Batch ID	3BF8ABA2-79D8-4541-A99E-79FB618FD2A3
Creator	ccbk0009
Created On	9/18/2014 11:35:46 AM
Total Item Count	1
Total Amount	20.00
Approved Item Count	1
Approved Amount	20.00
Voided Item Count	0
Voided Amount	0.00
Status	OPEN
Active	✓

On the right, there is a "Batch Control" section with the following data:

Batch Control Count	0
Batch Control Amount	0.00
Count Variance	-1
Amount Variance	-20.00
Balance	

At the bottom right, there are "Batch Commands" including "View All", "View/Edit Classification" (highlighted with a red box), and "Print Batch List".

- Click **Edit**. The *Account Classification* dialog box refreshes.

Figure 52. Accounting Classification – Summary Level

The screenshot shows a dialog box titled "Account Classification" with a sub-header "View Account Classification". It displays the following summary information:

Batch ID	3BF8ABA2-79D8-4541-A99E-79FB618FD2A3
Batch Total	\$ 20.00
Variance:	\$ 20.00

At the bottom right, there are two buttons: "Edit" (highlighted with a red box) and "Close".

6. Enter or update the necessary account classification data.

- Select an **Agency Accounting Code**

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

- Enter the **Amount** and click **Add** for each subtotal of the batch

The classified total and batch total can remain unbalanced until the batch is approved. However, the **Variance** must equal \$0.00 before a batch can be approved. If it does not, you must go back and re-validate your subtotal entries.

To delete or remove an accounting code, check the **Remove** check box next to the accounting code you want to delete and click **Update**.

- Click **Save**

Figure 537. Accounting Classification – Summary Level

The screenshot displays the 'Account Classification' summary level interface. At the top, it shows the following summary data:

Batch ID	38FBABA2-7108-4541-A95E-71610618F02A3
Batch Total	\$ 20.00
Variance	\$ 0.00

Below the summary, there is a table for 'Agency Accounting Codes':

Agency Accounting Code	Description	Amount	Remove
1212	Accounting Code 1	\$ 5.00	<input type="checkbox"/>
1213	Accounting Code 2	\$ 15.00	<input type="checkbox"/>
Total Accounting Codes: 2		Total	\$ 20.00

At the bottom of the interface, there are 'Cancel' and 'Save' buttons. Red boxes in the original image highlight the 'Agency Accounting Code' dropdown menu, the 'Amount' input field, the 'Remove' checkbox, and the 'Update' button.

Classify or Edit a Batch at the Summary Level in OTCnet Online

To classify or edit a batch at the summary level online:

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 classify or 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

Batches in Open or Closed status can be classified or edited at the summary level.

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click **View/Edit Classification**. The *Account Classification* dialog box appears.



Application Tip

Depending on your user role and batch status you will either see **View/Edit Classification** or **View Classification**. **View/Edit Classification** indicates that the user has view and edit permission. **View Classification** indicates the user has view classification permission and is not permitted to edit or delete a classification.

7. Click **Edit**. The *Account Classification* dialog box refreshes.

8. Enter or update the necessary account classification data.
 - a. Select an **Agency Accounting Code**

**Application Tip**

If an OTC Endpoint is associated with an ALC that is designated as a Central Accounting Reporting System (CARS)/ Government-Wide Accounting (GWA) Reporter, all check transactions must be classified with an accounting code. If an ALC is not a CARS/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).

- b. Enter the **Amount** and click **Add** for each subtotal of the batch

**Application Tip**

The classified total and batch total can remain unbalanced until the batch is approved. However, the **Variance** must equal \$0.00 before a batch can be approved. If it does not, you must go back and re-validate your subtotal entries.

**Application Tip**

To delete or remove an accounting code, check the **Remove** check box next to the accounting code you want to delete and click **Update**.

- c. Click **Save**



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.

Topic 11. Close a Batch

If you are assigned the role of CCS or 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**.

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

Table 3. 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.
Forwarded	Indicates the batch has been sent to debit gateway to initiate the settlement process.

Note: All batches with a Received Date older than 18 months, including batches with an **Open** or **Closed** status, are saved in the Historical database and cannot be changed. Therefore, it is important that you close and approve all batches in a timely manner. For more details about Historical Reports refer to *Chapter 8. Reporting on Scanned Checks and Viewing Historical Reports, Topic 5. Historical Reports* of the *OTCnet Participant User Guide*.

Closing a Single Batch

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

Figure 548. 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**.

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 criterion (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

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 criterion 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 55. Search Batch Page (Closing Single Batch)

Search Batch 1

Search Batch

Batch Search Conditions

<< < 1 - 1 > >> of 1 Records

Select	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date: 08/12/2014

To Date: 09/10/2014

Batch ID:

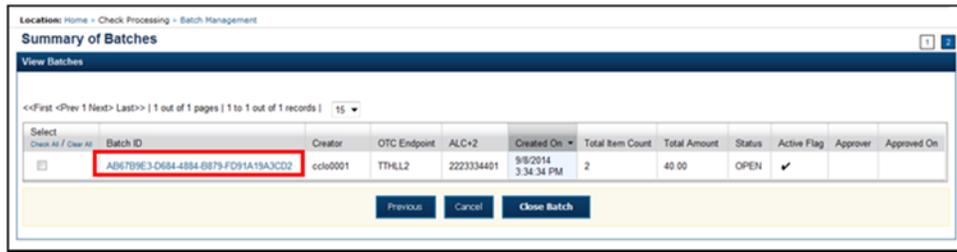
Cashier ID:

Batch Status:

Select	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

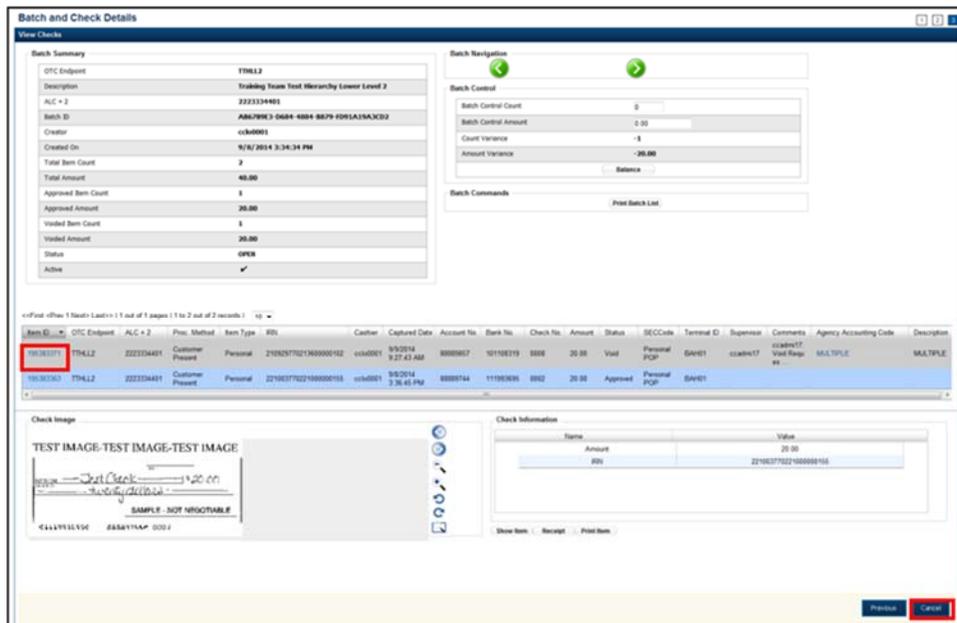
- The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 56. View Batches Page (Closing Single Batch)



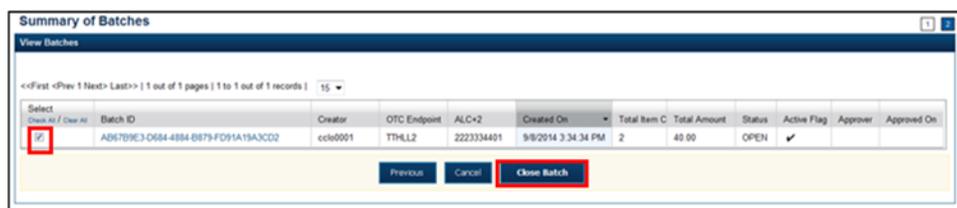
The *View Checks* page appears. Click the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below. Verify the details are correct and click Previous to return to the *View Batches* page.

Figure 57. View Checks Page (Closing Single Batch)



- Select the batch you want to close by checking the box to the left of the **Batch ID**.
- Click **Close Batch**. The *Close Batch* page appears.

Figure 58. Select to Close Batch



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

Figure 59. Confirm Close Batch

The screenshot shows a window titled "Close Batch" with a sub-header "Close Batch". Below the header is a section titled "Batches to be Closed" containing a table with the following data:

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
AB67B9E3-D684-4884-B879-FD91A19A3CD2	TTHLL2	2223334401	1	20.00

At the bottom of the window are three buttons: "Cancel", "<< Previous", and "Confirm". The "Confirm" button is highlighted with a red border.

- Enter the **Batch Control Count** and **Batch Control Amount**, if your terminal is configured for this action on batch close.
- Click **Next**. The *Close Batch* page appears.

Figure 60. Batch Control

The screenshot shows a window titled "Batch Control" with a sub-header "Batch Control". Below the header is a section titled "Batch Control Setup" containing a table with the following data:

Batch Detail	
OTC Endpoint	TTHLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401
Batch ID	AB67B9E3-D684-4884-B879-FD91A19A3CD2
Creator	ccl0001
Created On	09/08/2014 03:34:34 PM ET
Total Item Count	2
Total Amount	40.00
Approved Item Count	1
Approved Amount	20.00
Voided Item Count	1
Voided Amount	20.00
Batch Control Count:	<input type="text" value="1"/>
Batch Control Amount:	<input type="text" value="20.00"/>

At the bottom of the window are three buttons: "Cancel", "Skip", and "Next >". The "Next >" button is highlighted with a red border.

- Click **Print PDF Report** or **Export** and click **Confirm** to close the batch.

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batch is not closed until **Confirm** is clicked.

Figure 61. Print PDF Report/Confirm Report Print

Close Batch

Close Batch

Batch List to be Closed

OTC Endpoint	Description	ALC + 2	Batch ID	Creator	Created On	Total Item Count	Total Amount	Approved Item Count	Approved Amount	Voided Item Count	Voided Amount
THLL2	Training Team Test Hierarchy Lower Level 2	222334401	A86789E3-0684-4884-8879-FD91A19A3CD2	cd00001	09/08/2014 03:34:34 PM ET	2	40.00	1	20.00	1	20.00

Please export or print the Batch List Report prior to selecting the 'Confirm' button

Export as
 Word

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SENSITIVE BUT UNCLASSIFIED
 Batch List
 OTCnet Endpoint: THLL2 - Training Team Test Hierarchy Lower Level 2
 Batch: A86789E3-0684-4884-8879-FD91A19A3CD2
 Date: 9/10/14 3:10 PM
 Printed By: C CLO
 ALC+2: 222334401

KEY - (S)atus: (A)pproved, (V)oid, (T)ype: (P)ersonal, (I)nterPersonal
 Accounting Code: Description
 MULTIPLE - item is classified with more than one accounting codes
 SUMMARY - item is part of a batch classified at the Summary level

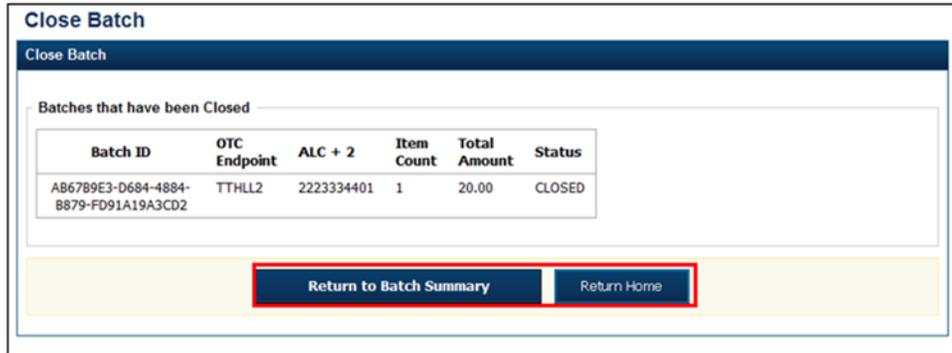
ID	IRN	Capture Date Time	Bank No.	Account No.	Check No.	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier	
1	21020477621100000000	Tue Sep 09 10:27:45 EDT	101083718	88888817	0008	\$20.00			MULTIPLE	MULTIPLE	0008891
2	22080776211000000000	Wed Sep 09 16:36:48 EDT	111992698	88889744	0002	\$20.00					0008891
Sub Total						Count: 2	Amount: \$40.00				
Batch Total						Count: 1	Amount: \$20.00				

9/10/14 3:10 PM Page 1 of 2
 SENSITIVE BUT UNCLASSIFIED

- A *Close Batch* page appears verifying the batch has been closed.

11. Click **Return to Batch Summary** or **Return Home**. The *View Batches* page appears. 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.

Figure 626. 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 criterion (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.

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

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*

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** 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**.

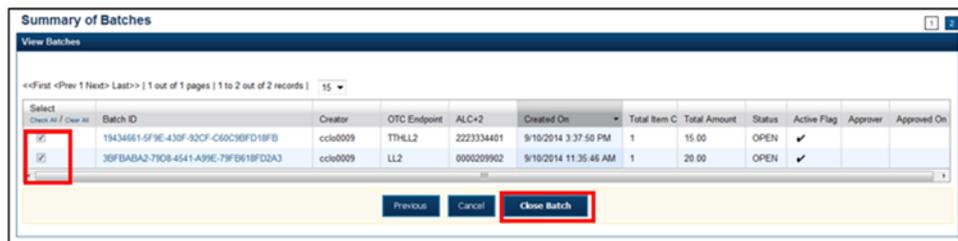
Once you have balanced the batch, the Batch Control Information dialog box appears. You are offered two options after balancing the batch:

- **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.

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 63. View Batches Page (Closing Multiple Batches)



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

Figure 64. Close Batch Confirmation (Closing Multiple Batches)

The screenshot shows a web application window titled "Close Batch" with three tabs (1, 2, 3). The main content area is titled "Close Batch" and contains a section "Batches to be Closed" with a table. Below the table are three buttons: "Cancel", "<< Previous", and "Confirm". The "Confirm" button is highlighted with a red border.

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
19434661-5F9E-430F-92CF-C60C98FD18FB	TTHLL2	2223334401	1	15.00
3BF8ABA2-79D8-4541-A99E-79FB618FD2A3	LL2	0000209902	1	20.00

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.

- 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 clicked the **Status** remains **Open** and the batch is not closed.

Figure 65. Batch Control Setup (Closing Multiple Batches)

The screenshot shows the 'Batch Control Setup' window. At the top, there are four numbered tabs (1, 2, 3, 4). Below the title bar, the 'Batch Control Setup' section contains a 'Batch Detail' table with the following data:

OTC Endpoint	TTHLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401
Batch ID	19434661-5F9E-430F-92CF-C60C98FD18FB
Creator	ccl0009
Created On	09/10/2014 03:37:50 PM ET
Total Item Count	1
Total Amount	15.00
Approved Item Count	1
Approved Amount	15.00
Voided Item Count	0
Voided Amount	0.00
Batch Control Count:	<input type="text" value="0"/>
Batch Control Amount:	<input type="text" value="0.00"/>

At the bottom right of the window, there are three buttons: 'Cancel', 'Skip', and 'Next >'. The 'Next >' button is highlighted with a red border.

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 66. Failed to Balance Batch

The screenshot shows the 'Batch Control' window with a red error message at the top: 'Failed to balance Batch 19434661-5F9E-430F-92CF-C60C98FD18FB, please check batch control.' Below the message, the 'Batch Control Setup' section is visible, showing the 'Batch Detail' table with the OTC Endpoint 'TTHLL2'.

8. *Close Batch* page appears with the batch details. Click **Print PDF Report** or **Export** and click **Confirm** to close the batches.

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batches are not closed until **Confirm** is clicked.

Figure 67. Confirm Report Print (Closing Multiple)

Close Batch

Close Batch

Batch List to be Closed

OTC Endpoint	Description	ALC + 2	Batch ID	Creator	Created On	Total Item Count	Total Amount	Approved Item Count	Approved Amount	Voided Item Count	Voided Amount
TTHLL2	Training Team Test Hierarchy Lower Level 2	2223334401	19434661-SF9E-430F-92CF-C60C98FD18FB	cco0009	09/10/2014 03:37:50 PM ET	1	15.00	1	15.00	0	0.00
LL2	Lower Level 2	0000209902	38FBABA2-79DB-4541-A99E-79FB618FD2A3	cco0009	09/10/2014 11:35:46 AM ET	1	20.00	1	20.00	0	0.00

Please export or print the Batch List Report prior to selecting the 'Confirm' button

Export as

Word

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Batch List

OTCnet Endpoint: TTHLL2 - Training Team Test Hierarchy Lower Level 2 Batch: 19434661-SF9E-430F-92CF-C60C98FD18FB

ALC+2: 2223334401 Date: 9/10/14 3:47 PM

Printed By: CI CLO

KEY - (S)status: (A)pproved, (V)oid, (T)ype: (P)ersonal, (N)onPersonal

Accounting Code/Description

MULTIPLE - item is classified with more than one accounting codes

SUMMARY - item is part of a batch classified at the Summary level

Processing Method: Customer Present

ST	IRN	Capture Date Time	Bank No.	Account No.	Check No.	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier	
A	P	21092977021340009	0014	09/08/2014	04300098	77794724	0799	\$15.00		cco0009	
Sub Total:						Count: 1	Amount: \$15.00				
Batch Total:						Count: 1	Amount: \$15.00				

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- 9. A *Close Batch* page appears verifying the batches have been closed.

Click **Return to the Batch Summary** to return to the Batch Summary page. Click **Return Home** to return to the OTCnet Homepage.

Figure 68. Close Batch Confirmation (Closing Multiple)

The screenshot shows a web interface titled "Close Batch". Below the title is a sub-header "Close Batch". A section titled "Batches that have been Closed" contains a table with the following data:

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount	Status
19434661-5F9E-430F-92CF-C60C98FD18FB	TTHLL2	2223334401	1	15.00	CLOSED
38FBABA2-79D8-4541-A99E-79FB618FD2A3	LL2	0000209902	1	20.00	CLOSED

At the bottom of the page, there are two buttons: "Return to Batch Summary" and "Return Home".

Close a Single or Multiple Batch(es)

To close single or multiple batch(es):

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 **Close** 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 criterion (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**

**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**

Under **Batch Status**, *optional*

- Select the **Status** you want to view by checking the **Open** 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 batch(es) 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 **Print PDF Report** or **Export** and click **Confirm** to close the batch(es).

**Application Tip**

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batch(es) is(are) not closed until **Confirm** is clicked.

**Application Tip**

The system generates one report for all selected batches.

14. A *Close Batch* page appears verifying the batches have been closed.
15. Click **Return to Batch Summary**. The *View Batches* page appears.
16. Click **Return Home** 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 12. Approve a Batch

As a **CCS**, 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.

Approve a Single Batch

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.

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

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*

If the only search criterion, 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 70. Search Batch Page (Approve Single)

The screenshot shows the 'Search Batch' interface. At the top, there's a 'Batch Search Conditions' section with a table of results. Below that, there are date pickers for 'From Date' (08/12/2014) and 'To Date' (09/10/2014). There are also input fields for 'Batch ID' and 'Cashier ID'. At the bottom, there's a 'Batch Status' section with a table of status options. A red box highlights the 'Search' button.

Select	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	LL1	0000209901	Lower Level 1
<input type="checkbox"/>	LL2	0000209902	Lower Level 2

Select	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input checked="" type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

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

Figure 71. View Batches Page (Approve Single)

The screenshot shows the 'View Batches' page with a table of batch details. A red box highlights the 'Batch ID' column for the first row. At the bottom, there are several action buttons: 'Previous', 'Cancel', 'Activate/Deactivate', 'Close Batch', and 'Approve'.

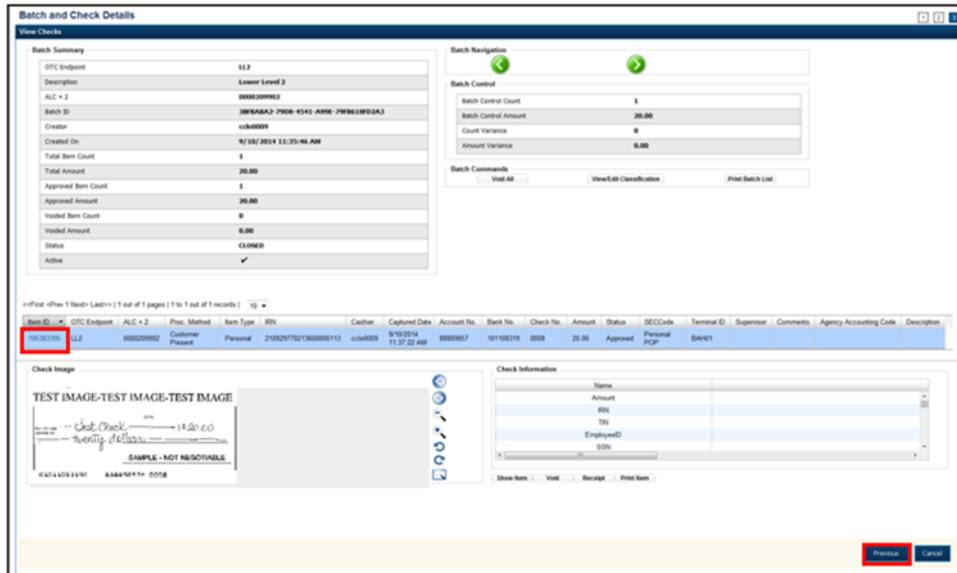
Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	78FBABA2-7908-4541-A99E-79FB618FD2A3	ccl00009	LL2	0000209902	9/10/2014 11:35:45 AM	1	20.00	CLOSED	✓		

If a **CCS** closes a batch, it is automatically moved into Approved status. If a batch is closed by a **CCO** or a **CCLO** without approver permission; however, an approve button is available.

- 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.

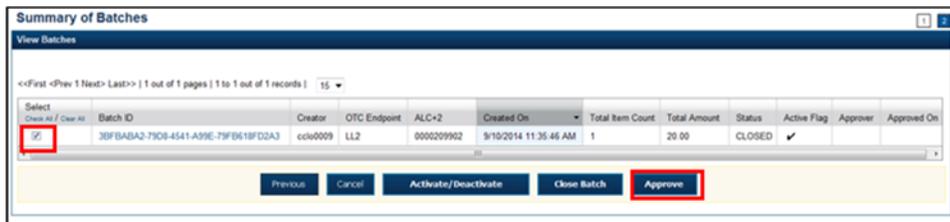
If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 72. View Checks Page (Approve Single)



- 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)



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)

The screenshot shows a web application window titled "Approve Batch". At the top right of the window are three small square buttons labeled "1", "2", and "3". Below the title bar is a dark blue header with the text "Approve Batch". The main content area is titled "Batches to be Approved" and includes the text "Number of Batches to be Approved: 1". Below this is a table with the following data:

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
3BFBABA2-79D8-4541-A99E-79FB618FD2A3	LL2	0000209902	1	20.00

At the bottom of the form, there are two buttons: a dark blue button with the text "< Previous" and a red button with the text "Confirm".

- The *Approve Batch* page appears with the batch details. Click **Print PDF Report** or **Export** and click **Confirm** to approve.

After **Print PDF Report** or **Export** is clicked, the Confirm button is enabled. The batch is not approved until **Confirm** is clicked.

Figure 75. Confirm Report Print To Approve (Approve Single)

Approve Batch

Batch Report

OTC Endpoint	Description	ALC + 2	Batch ID	Creator	Created On	Total Item Count	Total Amount	Approved Item Count	Approved Amount	Voided Item Count	Voided Amount
LL2	Lower Level 2	0000209902	30FBABA2-79D8-4541-A99E-79FB618FD2A3	cd00009	09/10/2014 11:35:46 AM ET	1	20.00	1	20.00	0	0.00

Please export or print the Batch List Report prior to selecting the 'Confirm' button

Export as

Word

SENSITIVE BUT UNCLASSIFIED

Batch List

OTCnet Endpoint LL2 - Lower Level 2

Batch: 30FBABA2-79D8-4541-A99E-79FB618FD2A3

ALC+2: 0000209902

Date: 9/10/14 4:33 PM

Printed By: DA PAC

KEY - (S)Status, (A)Approved, (V)Void, (T)Type, (P)Personal, (N)NonPersonal

Accounting Code/Description

MULTIPLE - Item is classified with more than one accounting codes

SUMMARY - Item is part of a batch classified at the Summary level

Processing Method: Customer Present

IRN	Capture Date Time	Bank No.	Account No.	Check No.	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier
-----	-------------------	----------	-------------	-----------	--------	---------------------	------------------------	-------------	---------

9/10/14 4:33 PM Page 1 of 4

SENSITIVE BUT UNCLASSIFIED

An *Approve Batch* page appears verifying the batch has been approved.

Click **Return to Batch Summary** to return to *View Batches* page. Click **Return Home** to return to the OTCnet Homepage.

After a batch is approved the status changes from **Closed** to **Approved**, except under one of these two scenarios. First, if a batch has been designated for summary level classification and the batch classification is not balanced. Second, if a batch is designated to be classified at the summary level and it is a CARS/GWA reporter, and the batch is not classified. Under these two scenarios the batch status is **Closed**. After the batch is classified and balanced, the batch can be approved.

Figure 76. Approve Batch Page (Approve Single)

The screenshot shows a web interface titled "Approve Batch". Below the title is a sub-header "Approve Batch". The main content area is titled "Batches that have been Approved" and indicates "Number of Batches Approved: 1". A table lists the approved batch details:

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
3BFBABA2-79D8-4541-A99E-79FB618FD2A3	LL2	0000209902	1	20.00

At the bottom of the page, there are two buttons: "Return to Batch Summary" and "Return Home".

Approve Multiple Batches

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: 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.

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

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*

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 78. Search Batches (Approve Multiple Batches)

Search Batch 1

Search Batch

Batch Search Conditions

<< < 1 - 1 > >> of 1 Records

Select	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date: 08/13/2014

To Date: 09/11/2014

Batch ID:

Cashier ID:

Batch Status:

Select	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

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 79. View Batches Page (Approve Multiple Batches)

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved
<input type="checkbox"/>	19434561-5F9E-430F-92CF-C60C96FD19FB	cclo009	TTHL2	2223334401	9/10/2014 3:37:50 PM	1	15.00	CLOSED	✓		
<input type="checkbox"/>	0876582E-4260-4618-8333-1E530A71A250	cclo003	TTHL2	2223334401	9/9/2014 3:42:50 PM	1	10.00	CLOSED	✓		
<input type="checkbox"/>	AD67B9E3-D684-4884-6879-FD91A19A3C02	cclo001	TTHL2	2223334401	9/8/2014 3:34:34 PM	2	40.00	CLOSED	✓		
<input type="checkbox"/>	D93E3C52-D64C-4316-80E7-266078DA870D	cclo001	TTHL2	2223334401	8/20/2014 5:05:35 PM	1	1.00	CLOSED	✓		
<input type="checkbox"/>	CA9FDC55-9DEB-4FEE-AF20-4D8E65770E1F	cclo001	TTHL2	2223334401	8/20/2014 4:50:07 PM	2	15.00	CLOSED	✓		

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

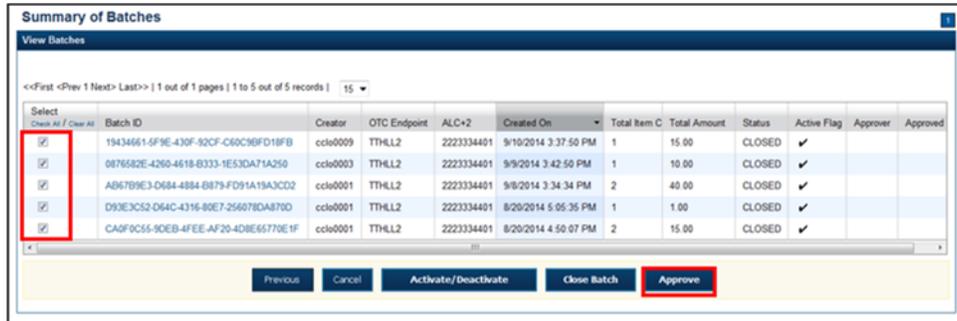
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Activate/Deactivate** to activate or deactivate a batch.
- Click **Close Batches** to close a batch.
- Click **<<First** to go to the first page. (Only appears if 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.

- 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.

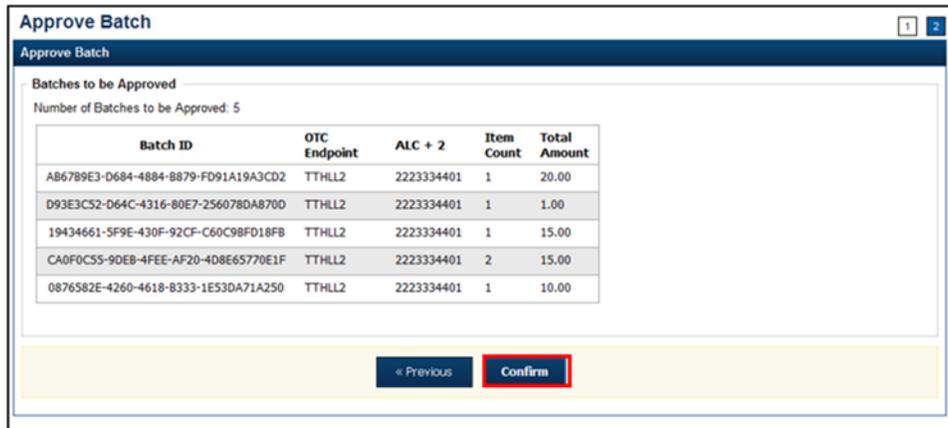
- Select the batches you want to approve by checking the box to the left of the **Batch ID** and click **Approve**.

Figure 80. View Batches (Approve Multiple)



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

Figure 81. Confirm Batches (Approve Multiple)



- The *Approve Batch* page appears with the batches' details. Click the **Print PDF Report** or **Export** and click **Confirm** to approve.

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batches are not approved until **Confirm** is clicked.

Figure 82. Confirm Report to Approve (Approve Multiple)

Approve Batch

Batch Report

OTC Endpoint	Description	ALC + 2	Batch ID	Creator	Created On	Total Item Count	Total Amount	Approved Item Count	Approved Amount	Voided Item Count	Voided Amount
TTHL2	Training Team Test Hierarchy Lower Level 2	2223334401	AB6789E3-D684-4884-8879-FD91A19A3C02	cd0001	09/08/2014 03:34:34 PM ET	2	40.00	1	20.00	1	20.00
TTHL2	Training Team Test Hierarchy Lower Level 2	2223334401	D93E3C52-D64C-4316-80E7-256078DA870D	cd0001	08/20/2014 05:05:35 PM ET	1	1.00	1	1.00	0	0.00
TTHL2	Training Team Test Hierarchy Lower Level 2	2223334401	19434661-SF9E-430F-92CF-C60C9FD18FB	cd0009	09/10/2014 03:37:50 PM ET	1	15.00	1	15.00	0	0.00
TTHL2	Training Team Test Hierarchy Lower Level 2	2223334401	CA0F0C55-90E3-4FEE-AF2D-4D8E55770E1F	cd0001	08/20/2014 04:50:07 PM ET	2	15.00	2	15.00	0	0.00
TTHL2	Training Team Test Hierarchy Lower Level 2	2223334401	0876582E-4260-4618-B333-1E53DA71A250	cd0003	09/09/2014 03:42:50 PM ET	1	10.00	1	10.00	0	0.00

Please export or print the Batch List Report prior to selecting the 'Confirm' button

Export as: Word

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Batch List

OTC/Net Endpoint: TTHL2 - Training Team Test Hierarchy Lower Level 2 Batch: AB6789E3-0684-8879-FD91A19A3C02
 Date: 9/11/14 9:08 AM
 ALC+2: 2223334401 Printed By: CB CAdmin

KEY - (A)Status, (B)Approved, (C)Void, (T)Type, (P)Personal, (Q)NonPersonal
 Account No. Description
 MULTIPLE - Item is classified with more than one accounting codes
 SUMMARY - Item is part of a batch classified at the Summary level

ST	IRN	Capture Date Time	Bank No	Account No	Check No	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier
1	210837752138889	Thu Sep 08 09:27:43 EDT	101100119	8888887	0008	\$20.00		MULTIPLE	MULTIPLE	cd0001
4	2210837752138889	Mon Sep 08 16:26:48 EDT	111093698	8888874	0002	\$20.00				cd0001
Sub Total						Count: 2	Amount: \$40.00			
Batch Total						Count: 1	Amount: \$20.00			

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 SENSITIVE BUT UNCLASSIFIED

8. An *Approve Batch* page appears verifying the batches have been approved. Click **Return to Batch Summary**. Verify that you want to approve the batch and click **Confirm**. After a batch is approved, the Status changes from **Closed** to **Approved** and The *Approve Batch* page appears with the batch details, except under one of these two scenarios. First, if a batch has been designated for summary level classification and the batch classification is not balanced. Second, if a batch is designated to be classified at the summary level and it is a CARS/GWA reporter, and the batch is not classified. Under these two scenarios the batch status is **Closed**. After the batch is classified and balanced, the batch can be approved.

Figure 83. Approve Batch Confirmation (Approve Multiple)

The screenshot shows a web browser window titled "Approve Batch" with a tab indicator showing "1" and "2". The page header is "Approve Batch". Below the header, it says "Batches that have been Approved" and "Number of Batches to be Approved: 5". A table lists the following data:

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
AB67B9E3-D684-4884-B879-FD91A19A3CD2	TTHLL2	2223334401	1	20.00
D93E3C52-D64C-4316-80E7-256078DA870D	TTHLL2	2223334401	1	1.00
19434661-5F9E-430F-92CF-C60C98FD18FB	TTHLL2	2223334401	1	15.00
CA0F0C55-9DEB-4FEE-AF20-4D8E65770E1F	TTHLL2	2223334401	2	15.00
0876582E-4260-4618-B333-1E53DA71A250	TTHLL2	2223334401	1	10.00

At the bottom of the interface, there are two buttons: "Return to Batch Summary" and "Return Home".

Approve Single or Multiple Batch(es) Online

To approve single or multiple batch(es):

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 **Close** 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**



Application Tip

If the only search criterion 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**,

- Select the **Status** you want to close by checking the **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 **Print PDF Report** or **Export** and click **Confirm** to approve the batch.

**Application Tip**

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batch is not approved until **Confirm** 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**, except under one of these two scenarios. First, if a batch has been designated for summary level classification and the batch classification is not balanced. Second, if a batch is designated to be classified at the summary level and it is a CARS/GWA reporter, and the batch is not classified. Under these two scenarios the batch status is **Closed**. After the batch is classified and balanced, the batch can be approved.

To approve **multiple batches**:

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 **Close** 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**



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**

Under **Batch Status**,

- Select the **Status** you want to approve by checking the **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 **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.

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 batches and click **Confirm**. The *Approve Batch* page appears with the batch details.
11. Click **Print PDF Report** or **Export** and click **Confirm** to approve the batches.

**Application Tip**

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batches are not approved until **Confirm** 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, its **Status** changes from **Closed** to **Approved**, except under one of these two scenarios. First, if a batch has been designated for summary level classification and the batch classification is not balanced. Second, if a batch is designated to be classified at the summary level and it is a CARS/GWA reporter, and the batch is not classified. Under these two scenarios the batch status is **Closed**. After the batch is classified and balanced, the batch can be approved.

Topic 13. Print a Receipt

Receipts are available for printing if the **CCA** configures the terminal beforehand in OTCnet. If your Agency requires a specific receipt layout, contact your Deployment Specialist at fiscalservice.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, **CCOs**, **CCLOs**, and **CCSs** 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 (Single/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.

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 84. Receipt Print Image (Scan Check)

Transaction saved successfully. IRN: 21092977021360000119. Amount: \$10.00. Please click receipt button to continue.

Agency Form Data

User: ccl0001
 Processing Method: Customer Present
 Item Type: Non Personal
 Amount: 10.00

IRN: 21092977021360000119
 Bank Number: 322284698
 Check Number: 0233
 Account Number: 44446041

Agency Accounting Code

0101010101 - Accounting Code
 Agency Accounting Code: 0101010101
 Description: Accounting Code 1

Scanned Check Image

TEST IMAGE

Processing Mode
 SINGLE CHECK MODE

Batch
 Total Item Count: 1
 Key Item Count: 1/1

OTC Endpoint:
 Short name: TTHLL2
 Description: Training Team Test Hierarchy Lower Level 2

ALC + 2:
 2223334401

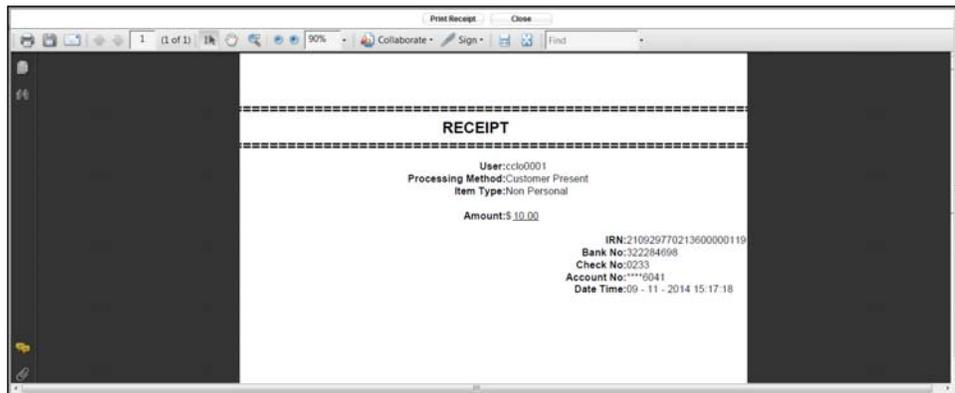
Processing Method:
 Customer Present

Item Type:
 Non-Personal

Scan Controls:
 Start Scan
 Cancel
 Receipt
 Clear Form
 Save
 Scanner Config

3. The receipt appears. Click Print to print the receipt and close the receipt.

Figure 85. Print Receipt



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 (Single/Batch Mode)

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

Figure 86. Check Processing>Batch Management (Receipt)



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

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.

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

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*

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 871. Search Batch (Receipt)

- 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 88. View Batches (Receipt)

- 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 89. View Checks Page (Receipt)

Item ID	OTC Endpoint	ALC + 2	Proc. Method	Item Type	IRN	Cashier	Captured Date	Account No.	Bank No.
195383409	TTHLL2	2223334401	Customer Present	Non-Personal	210929770213600000119	ccl0001	9/11/2014 3:17:18 PM	44446041	322284698

Check Image



Check Information

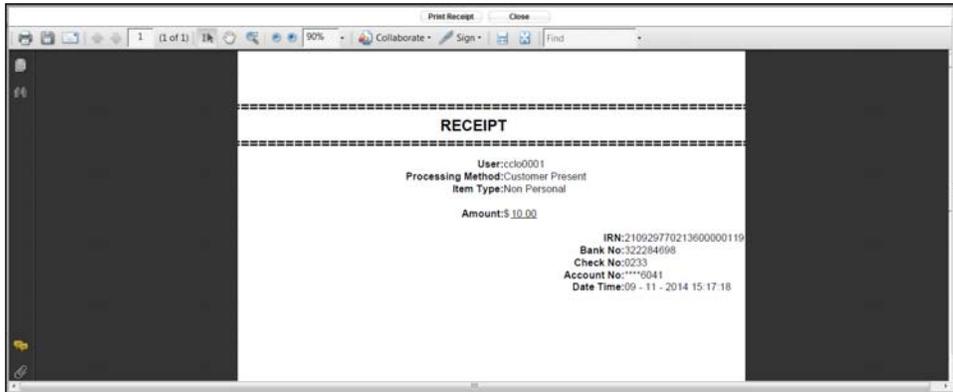
Name	Value
Amount	10.00
IRN	21092977021360000011

Show Item **Receipt** Print Item

To view more details about the check, click **Show Item**.

5. Click **Receipt**. The receipt appears. Click **Print** to print the receipt and close the receipt window.

Figure 90. 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: *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:

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

This chapter provided information on the following topics:

- 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

Glossary

A

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 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report – A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report – A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager – A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 roles 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.

Bureau of the Fiscal Service (FS) – (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator – An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Image Report – A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number – The printed number of the check writer's check.

CIRA CSV Historical Report – A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) – A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status – Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR) – (formerly 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.

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 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.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate – The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed – The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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.

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 Fiscal Service’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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) – It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers’ maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR File Status Report – An administration report allows you to view the status of CIR files that have been processed by Collections Information Repository (CIR) or are ready for CIR to process.

View CIR Transmission Status for Check Processing – A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number – The number assigned to a deposit by OTCnet.



Chapter 4: Correcting Scanned Checks

OTCnet Participant User Guide

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Audience, Overview and Topics

Audience

The intended audience for the *Correcting Scanned Checks Participant User Guide* includes:

- Check Capture Supervisor (CCS)
- Check Capture Lead Operator (CCLO)

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) code line
- 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) code line
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) code line (**CCS** and **CCLO**)

- 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, a CCS and CCLO are able to adjust a MICR line and edit a check after it has been scanned by either a CCLO or CCO.

Topic 2. Edit a Magnetic Ink Character Recognition (MICR) Code line

As a **CCS** or **CCLO**, you can make Magnetic Ink Character Recognition (MICR) line corrections. You will be prompted to key in your Login ID and Password before correcting the MICR line.

If a **CCO** scans the check and if the scanner detects a problem with the MICR code line data (such as certain characters or all characters could not read by the scanner), the operator is prompted to have the code line corrected.

If a **CCLO** scanned the check, additional authorization is not required. The Login ID and Password dialog box only appears if a **CCS** or **CCLO** is editing a MICR line for a **CCO**.

When a *Check Processing Error* or *Unsupported Bank Number* message appears, the operator has the option to correct the code line, rescan the check, or cancel the scan. It is recommended that before attempting to correct the code line, 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 code line or using the deposit processing functionality). If problem persists, and the decision is made to correct the MICR code line,

Table 1. Code Symbol Descriptions

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.

provides the symbol replacement codes to make the necessary corrections. If the scanner continues to have difficulty reading the characters in the code line, 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 fiscalservice.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 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.

Correct a MICR Code Line

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).

Click:

- **Yes** to correct the code line
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

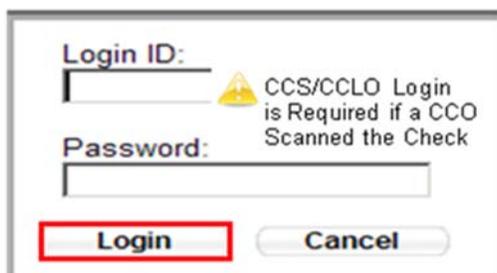


The *Login ID and Password* dialog box appears. Enter the **Login ID** and **Password** and click **Login** (see

2. Figure 2).

If a **CCO** scanned the check, OTCnet will prompt the operator for authorization. The **CCS** or **CCLO** must key in his/her Login ID and Password before correcting the MICR line. If a **CCLO** scanned the check, additional authorization is not required.

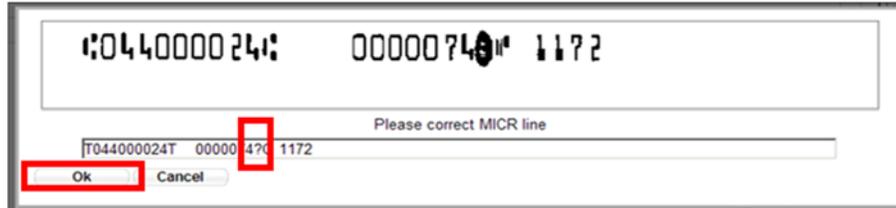
Figure 2. Login ID and Password Dialog Box



3. The *Code Line Correction* box appears. Enter the correct numbers and click **OK** (see Figure 3). 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. Code Line 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 code line.

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 Operator** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor (CCS)** or **Check Capture Lead Operator (CCLO)** can perform MICR line corrections. The **CCS** or **CCLO** must key in his/her Login ID and Password before correcting the MICR line. If a **CCLO** scanned the check, additional authorization is not required.

3. The *Code Line Correction* box appears. Enter the correct numbers and click **OK**.



Application Tip

It is important as the **CCS** or **CCLO** that if you opt to make a MICR code line correction that you look at the MICR line image closely to ensure all the characters are correctly entered in the Code Line Correction box.



Application Tip

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 or marked with a question mark, click **Cancel** and rescan the check.

If the scanner continues to have difficulty reading the characters in the code line, 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.

Table 2. Code Symbol within MICR Descriptions

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.

4. The *Code Line Correction* box closes and the scanned check image appears.

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 Figure 4 and Figure 5).

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

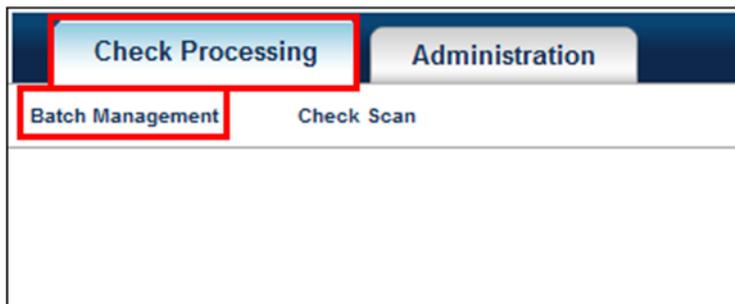
Figure 5: Batch Status Types for OTCnet Offline

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).

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).

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

- Select the **OTC Endpoint** you want to **Edit** a batch for by checking 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).

Figure 7. Search Batch Page

Search Batch

Search Batch

Batch Search Conditions

<< 1 - 1 >> of 1 Records

Select	OTC Endpoint	ALC + 2	Description
Check All / Clear All			
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date: 08/07/2014

To Date: 09/05/2014

Batch ID:

Cashier ID:

Batch Status:

Select	Status	Description
Check All / Clear All		
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

Cancel Search

9. The *Show Item* page appears. Update the necessary form data (see Figure 10). Be sure to type in the data rather than copying and pasting from another source. Data that has been copied and pasted may result in an error.

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**

Figure 10. Update Form Fields

The screenshot displays the 'Show Item' application window. The main content area is divided into several sections:

- Agency Form Data:** This section contains the following information:
 - User: cclb0001
 - Processing Method: Customer Present
 - Item Type: Personal
 - Amount: 1.00** (This field is highlighted with a red box in the original image)
 - IRN: 210929770213600000100
 - Bank Number: 262275835
 - Check Number: 3067
 - Account Number: 00001526
 - Date & Time: 08 - 20 - 2014 17:05:04
- Agency Accounting Code:** A dropdown menu and a 'Multiple' checkbox are present.
- Scanned Check Image:** Shows a test image of a check with the text 'TEST IMAGE-TEST IMAGE-TEST IMAGE'. The check itself is for 'Just one dollar' and is marked 'SAMPLE - NOT NEGOTIABLE'.
- Right Sidebar:** Contains various fields for item identification and tracking:
 - Item ID: 195383272
 - OTC Endpoint: TTHLL2
 - ALC + 2: 222334401
 - Processing Method: Customer Present
 - IRN: 210929770213600000100
 - Status: Approved
 - Capture Date: 08/20/2014 05:05:04 PM
 - Account Number: 00001526
 - Bank Routing Number: 262275835
 - Check Number: 3067
 - Item Type: Personal
- Server Controls:** Includes 'Update' and 'Receipt' buttons.
- Check Navigation:** Shows '1 of 1'.

At the bottom of the window, there are three buttons: 'Cancel', 'Previous', and 'Return to Batch Summary'.

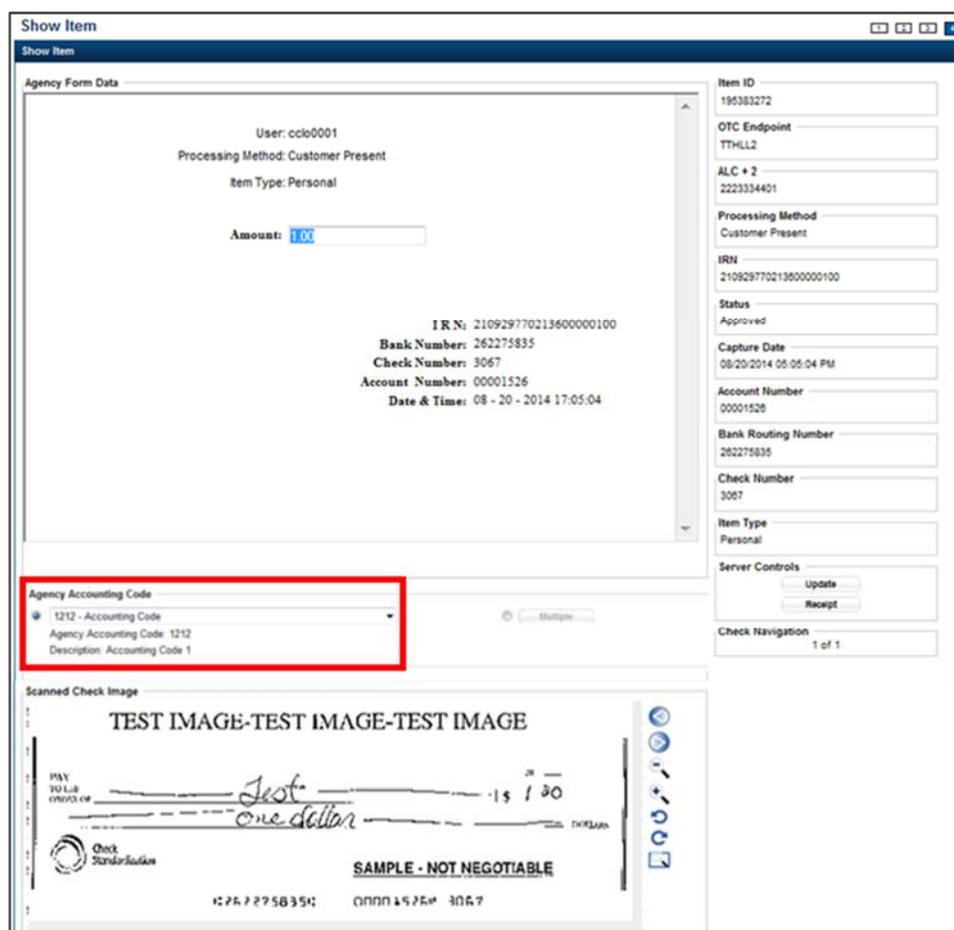
Note: The **Agency Form Data** form is customizable and can include fields beyond the **Amount** field (e.g. Driver's License Number). If your Agency has additional fields, they are displayed under the **Amount** field. Your Agency may deem the field(s) either mandatory or optional for you to complete 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.

Under **Agency Accounting Code**, if applicable

- Click the **Agency Accounting Code** radio button and select a single accounting code from the drop-down list

Figure 11. Update Single Accounting Code



Or

- Click the **Multiple** radio button, then click the **Multiple** button. The *Account Classification* dialog box appears

Figure 12. Update Multiple Accounting Codes

The screenshot shows the 'Show Item' application window. The main area displays 'Agency Form Data' with the following information:

- User: ccl0001
- Processing Method: Customer Present
- Item Type: Personal
- Amount: 1.00
- IR N: 210929770213600000100
- Bank Number: 262275835
- Check Number: 3067
- Account Number: 00001526
- Date & Time: 08 - 20 - 2014 17:05:04

The right-hand sidebar contains the following fields:

- Item ID: 195383272
- OTC Endpoint: TTHLL2
- ALC + 2: 222334401
- Processing Method: Customer Present
- IRN: 210929770213600000100
- Status: Approved
- Capture Date: 08/20/2014 05:05:04 PM
- Account Number: 00001526
- Bank Routing Number: 262275835
- Check Number: 3067
- Item Type: Personal
- Server Controls: Update, Receipt
- Check Navigation: 1 of 1

At the bottom, the 'Agency Accounting Code' dropdown is set to '1212 - Accounting Code'. The 'Add' and 'Multiple' buttons are highlighted with red boxes. Below this is the 'Scanned Check Image' section, which shows a test image of a check with the text 'TEST IMAGE-TEST IMAGE-TEST IMAGE' and 'SAMPLE - NOT NEGOTIABLE'.

- Select an **Accounting Code**, enter the **Amount**, and click **Add** for each subtotal of the deposit.
- Click **Save**

Figure 13. Update Account Classification

Account Classification

Account Classification

Select an accounting code, enter the amount, and click **Add** for each subtotal of the items.

IRN

Item Amount \$ 20.00

Variance: \$ 0.00

Agency Accounting Code* 1213 - Accounting Code

Amount* 20

Add >>

Agency Accounting Code	Description	Amount	Remove
1213	Accounting Code 2	\$ 20.00	<input type="checkbox"/>

Total Accounting Codes: 1 Total \$ 20.00 Update

Cancel Save

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.

The single **Agency Accounting Code** and **Multiple** accounting codes option is available if checks are scanned against an OTC Endpoint designated for Item Level Classification. If an ALC is designated for Summary Level Classification the **Agency Accounting Code** and **Multiple** accounting codes options are disabled.

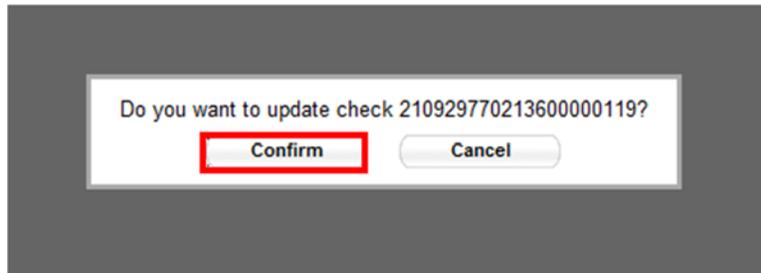
If multiple accounting codes are used, the combined accounting code subtotal must be equal to the deposit total before proceeding to the next step. If it does not, you must go back and re-validate your subtotal entries

Under **Server Controls**, *required*

- Click **Update**

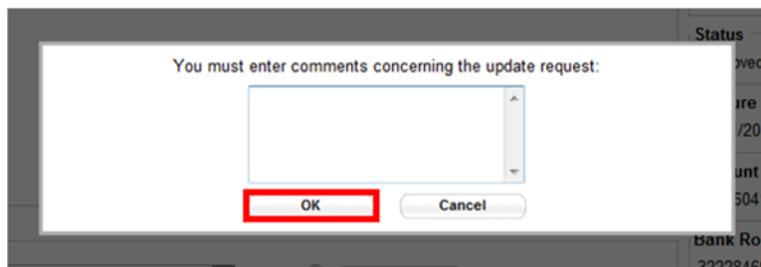
10. Click **Confirm** to validate that you want to update the check's data (see Figure 14).

Figure 14. Confirm Check Update Dialog Box



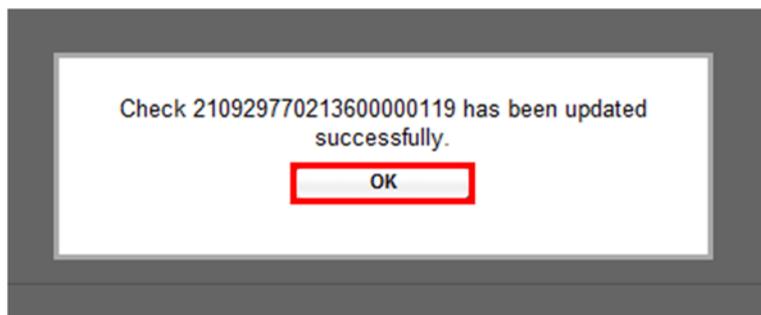
11. Enter comments concerning the updated request at the prompt and click **OK** (see Figure 15).

Figure 15. Enter Comments Dialog Box



12. Click OK at the confirmation prompt stating that the check has been updated successfully (see Figure 16).

Figure 16. 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 **Amount** field (e.g. Driver's License Number). If your Agency has additional fields, they are displayed under the **Amount** field. Your Agency may deem the field(s) either mandatory or optional for you to complete an entry.

**Application Tip**

Be sure to type in the data rather than copying and pasting from another source. Data that has been copied and pasted may result in an error.

Under **Agency Accounting Code**, *if applicable*

- Click the **Agency Accounting Code** radio button and select a single accounting code from the drop-down list

or

- Click the **Multiple** radio button. The *Account Classification* dialog box appears.
 - Select an **Accounting Code**, enter the **Amount**, and click **Add** for each subtotal of the deposit
 - Click **Save**



Application Tip

Consider the following information about Agency Accounting Codes:

- If an OTC Endpoint is associated with an ALC that is designated as a Central Accounting Reporting System/Government-Wide Accounting (CARS/GWA) Reporter, all check transactions must be classified with an accounting code. If an ALC is not a CARS/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).
- **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)**.
- If an Agency is not a CARS/GWA Reporter and becomes a CARS/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.

- The single **Agency Accounting Code** and **Multiple** accounting codes option is available if checks are scanned against an OTC Endpoint designated for Item Level Classification. If an ALC is designated for Summary Level Classification the **Agency Accounting Code** and **Multiple** accounting codes options are disabled.
- If multiple accounting codes are used, the combined accounting code subtotal must be equal to the deposit total before proceeding to the next step. If it does not, you must go back and re-validate your subtotal entries.

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.

Glossary

A

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 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report – A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report – A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager – A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 roles 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.

Bureau of the Fiscal Service (FS) – (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator – An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Image Report – A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number – The printed number of the check writer's check.

CIRA CSV Historical Report – A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) – A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status – Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR) – (formerly 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.

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 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.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate – The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed – The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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 Fiscal Service’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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) – It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers’ maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR File Status Report – An administration report allows you to view the status of CIR files that have been processed by Collections Information Repository (CIR) or are ready for CIR to process.

View CIR Transmission Status for Check Processing – A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number – The number assigned to a deposit by OTCnet.



OTCnetSM

DEPOSITS MADE SIMPLE

BUREAU OF THE FISCAL SERVICE

Chapter 5: Managing Verification Records

OTCnet Participant User Guide

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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 local verification database (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 an MVD Record
3. Search for an MVD Record
4. Edit an 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):

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 person into the MVD rather than the result of a failed transaction. If desired, authorized users can edit the transaction record to a clear status

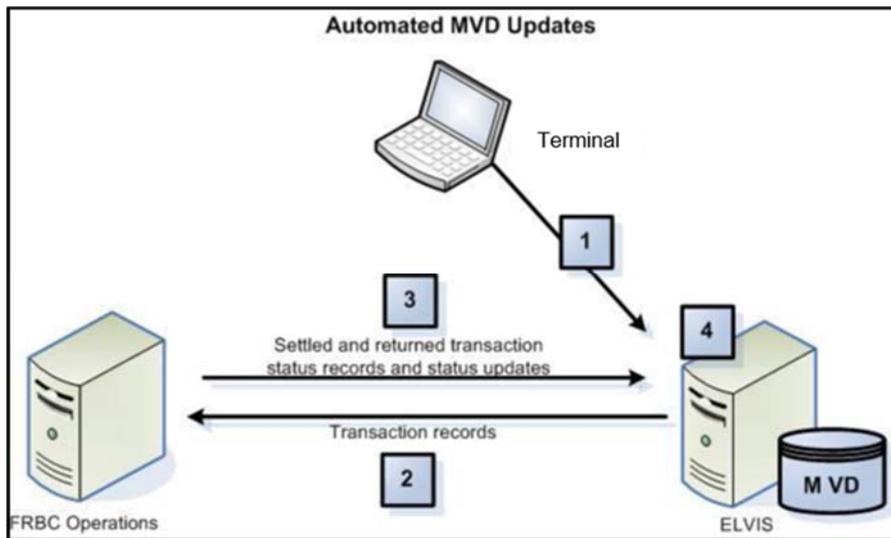
If you are assigned the role of **MVD Editor**, you can create, search, and edit **MVD** records. As an **MVD Viewer**, you can search and view **MVD** records only.

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 an 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 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/BFS.
3. The negative returns on check transactions are sent from the Treasury/BFS operations to the MVD.
4. Verification record is completed with information from original payment transaction.

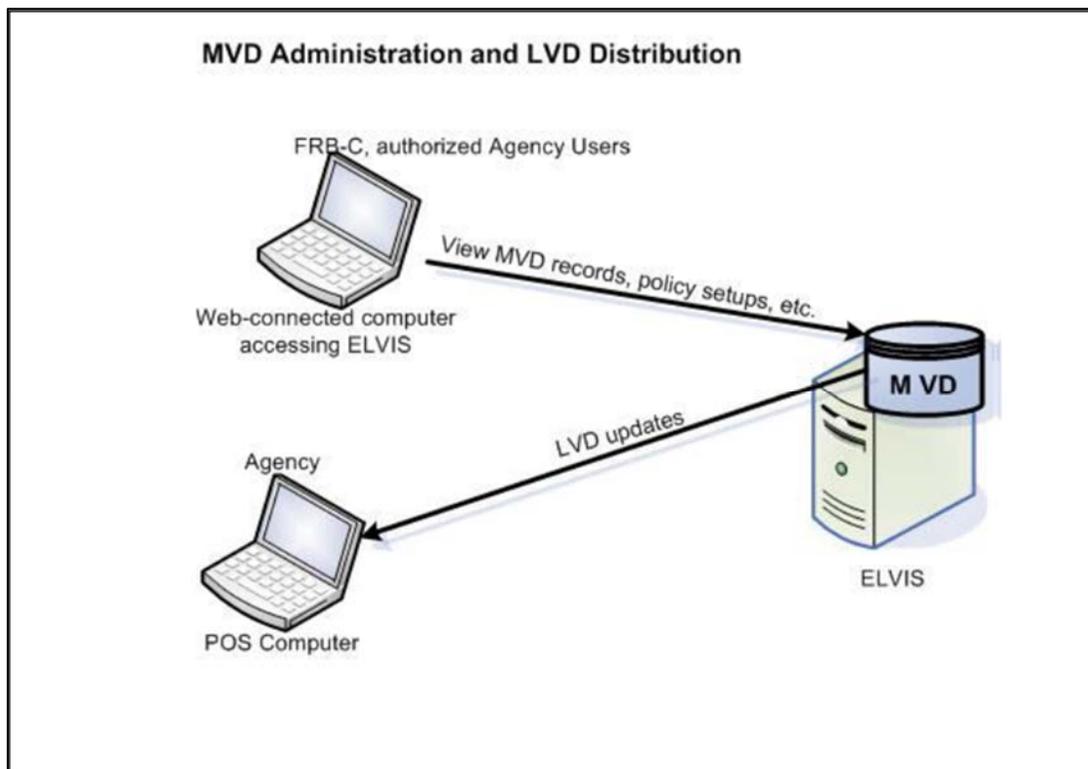
How does the LVD Work?

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 (LVD), 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 representations

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. <i>Exception:</i> 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 an 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:

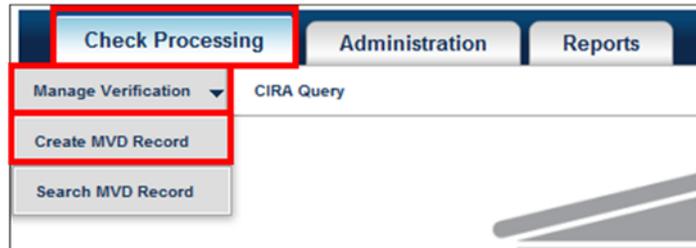
- **Suspend:** Indicates that an individual's record is set to a predetermined suspension period. During this time, the OTCnet system prevents an individual from cashing a check through OTCnet. The individual's database record has a Trade Status of Suspend and the expiration date is set until a specific 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 an MVD Record

To add an MVD Record:

1. Click the **Check Processing** tab. Select **Manage Verification** and click **Create MVD Record** (see Figure 3).

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

3. Figure 4).

- 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 the MVD Record

Create MVD Record 1

Step 1 of 2: Define the MVD Record

* Denotes required fields.

User Defined Field 1
12345678

Bank Routing Number
111102389

Account
66666960

Trade Status*
SUSPENDED ▾

Deny Date*
10/03/2014 📅

Configured OTC Endpoints

Select	OTC Endpoint Name	Top Level OTC Endpoint Name
<input checked="" type="radio"/>	DG2	Debit Gateway Test

Note
Test MVD Entry

3. The Step 2 of 2: Create MVD Record page appears (see Figure 5). Verify the information is correct and click **Submit**. 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).

Figure 5. Review MVD Record

Create MVD Record [1] [2]

Step 2 of 2: Review the MVD Record

Verify that the following information is correct and click **Submit** to create the verification record.

MVD Information		[Edit]
User Defined Field 1	12345678	
Search Type	SSN	
Bank Routing Number	111102389	
Account	66666960	
Trade Status	SUSPENDED	
Deny Date	Oct 3, 2014	
OTC Endpoint	DG2	
Note	Test MVD Entry	

<< Previous Cancel **Submit**



Create an MVD Record

To create an MVD Record:

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 an 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).

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 an MVD Record

To search an MVD record:

1. Click the **Check Processing** tab. Select **Manage Verification** and click **Search MVD Record** (see Figure 7).

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).

- 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

Search MVD Records 1

* Denotes required fields.

OTC Endpoint*

Select	OTC Endpoint Name	Top Level OTC Endpoint Name
<input checked="" type="radio"/>	DG2	Debit Gateway Test

Include Subordinates

IRN

User Defined Field 1

Bank Routing Number

Account

Trade Status

MVD Date

From

To

- The records appear in the table below. Click the **IRN** link of the check whose details you would like to view (see Figure 9).

Figure 9. MVD Records

<< < 1-2 >> of 2 Records Click the IRN number if you would like to view additional details.

IRN	User Defined Field 1	OTC Endpoint	Bank Routing Number	Account	Amount	MVD Date	Trade Status	Deny Date
MANUAL-1683312	123456789	DG2	325081885	88889842		09/11/2014	SUSPENDED	09/10/2099
MANUAL-1683370	12345678	DG2	111102389	66666960		10/03/2014	SUSPENDED	10/03/2014

- The *Step 2 of 4: Review the MVD Record* page appears. Review the verification record details (see Figure 10).

Note: Click **Edit**, if you need to edit the MVD record.

Figure 10. View MVD Record Page

View Verification Record 1 2

View MVD Record

Review the verification record details below and click Edit to modify the verification record.

MVD Detail Information	
IRN	MANUAL-1683370
User Defined Field 1	12345678
Bank Routing Number	111102389
Account	66666960
Transaction Type	T
Modified Time	Oct 3, 2014
Amount	
Capture Date	
OTC Endpoint	DG2
OTC Endpoint Description	DG2 Test
MVD Date	Oct 3, 2014
Trade Status	SUSPENDED
Deny Date	Oct 3, 2014
Occurrence	0
Return Reason Code	
Return Reason Description	
Note	Test MVD Entry

← Previous
Cancel
Edit



Search an MVD Record

To search an MVD Record:

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 an MVD Record

As an MVD **Editor**, you can edit **MVD** records. Before you can edit an 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 an MVD Record

To edit an MVD Record:

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).

- The *Step 2 of 4: Review the MVD Record* page appears (see Figure 11). Click **Edit** to edit the MVD record.

Figure 11. View MVD Record Page

View Verification Record

1 2

View MVD Record

Review the verification record details below and click Edit to modify the verification record.

MVD Detail Information	
IRN	MANUAL-1683370
User Defined Field 1	12345678
Bank Routing Number	111102389
Account	66666960
Transaction Type	T
Modified Time	Oct 3, 2014
Amount	
Capture Date	
OTC Endpoint	DG2
OTC Endpoint Description	DG2 Test
MVD Date	Oct 3, 2014
Trade Status	SUSPENDED
Deny Date	Oct 3, 2014
Occurrence	0
Return Reason Code	
Return Reason Description	
Note	Test MVD Entry

< 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).
 - 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

The screenshot shows a web application window titled "Edit Verification Record" with a sub-header "Step 3 of 4: Edit the MVD Record". The form contains the following fields and values:

- Trade Status:** A dropdown menu with "SUSPENDED" selected.
- Deny Date:** A date picker showing "10/03/2014".
- Occurrence:** A text input field containing "0".
- OTC Endpoint:** A text input field containing "DG2".
- OTC Endpoint Description:** A text input field containing "DG2 Test".
- Return Reason Code:** A dropdown menu that is currently empty.
- Return Reason Description:** A text area that is currently empty.
- Note:** A text area containing "Test MVD Entry".

At the bottom of the form, there are three buttons: "<< Previous" (disabled), "Cancel", and "Next >>" (highlighted in red).

- 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 Verification Record
1 2 3 **4**

Step 4 of 4: Review the edited MVD Record

Verify the verification record information below is correct and click **Submit** to update the verification record.

MVD Detail Information [Edit]	
IRN	MANUAL-1683370
User Defined Field 1	12345678
Bank Routing Number	111102389
Account	66666960
Transaction Type	T
Modified Time	10/03/2014 10:12:50
Amount	
Capture Date	
OTC Endpoint	DG2
OTC Endpoint Description	DG2 Test
MVD Date	Oct 3, 2014
Trade Status	SUSPENDED
Deny Date	Oct 3, 2014
Return Reason Code	
Return Reason Description	
Note	Test MVD Entry

< Previous
Cancel
Submit



Edit an MVD Record

To edit an MVD record:

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.

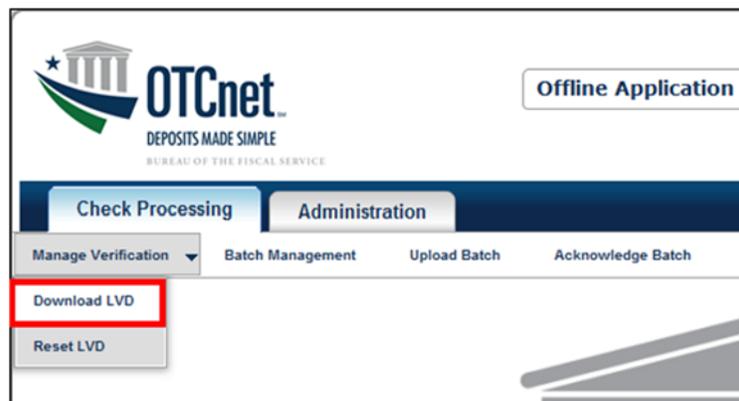
For more information refer to *Administration User Guide: Chapter 8: Setting Up and Configuring Check Capture Offline*, *Topic 7: Manage a Check Capture Terminal Offline*, or *Check Capture User Guide Chapter 7. Capturing and Managing Checks Offline*, *Topic 6: Local Verification Database (LVD) Record*.

Download LVD

To download the LVD:

1. Click the **Check Processing** tab, select **Manage Verification** and then click **Download LVD**. The *Online Authentication* page appears (see
2. Figure 14).

Figure 14. Download LVD



- When an *Online Authentication* dialog box appears, insert the online password and click **Login** (see Figure 15).

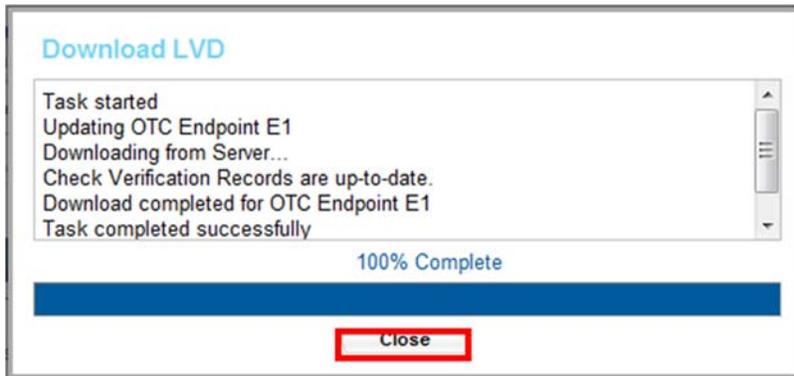
Figure 15. Online Password



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).

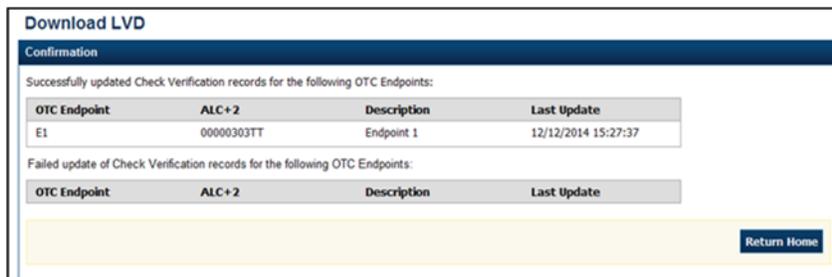
- The Download LVD dialog box appears. Once the task has been successfully completed, click **Close**. (see Figure 16).

Figure 16. Download LVD



- A Download LVD Confirmation page appears, verifying that the LVD download was successful (see
- Figure 17).

Figure 17. Download LVD Confirmation





Download an LVD

To download an LVD:

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 or a terminal is re-deployed to a new location (e.g. DoD). 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 will not occur.

Note: Resetting the LVD is a mandatory step for agencies upgrading from a pre-1.3.2 OTCnet Offline Check Capture software version to a 1.3.2 OTCnet Offline Check Capture software version or above. If an LVD is reset without downloading the new LVD, the verification of the checks presented will not occur. See Table 3 for all the combinations of upgrades that require LVD reset.

Table 3. OTCnet Offline Versions Requiring LVD Reset

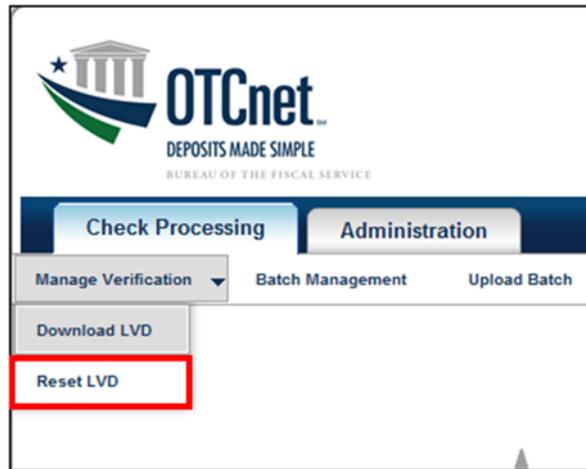
OTCnet Offline Version	Upgrade to OTCnet Offline Version	Reset LVD Required
1.2.3.A	1.2.4	No
1.2.3.A	1.3.2	Yes
1.2.4	1.2.5	No
1.2.4	1.4	Yes
1.2.5	1.3	No
1.2.5	1.3.2	Yes
1.3	1.3.2	Yes
1.3	1.4 and above	Yes
1.3.2 and above	1.4 and above	No

Reset an LVD

To reset an LVD:

1. Click the **Check Processing** tab, select **Manage Verification**, and click **Reset LVD**. The *Review LVD Reset* page appears (see Figure 18).

Figure 18. Reset LVD



2. Click **Submit**. The *LVD Reset* dialog box appears (see Figure 19).

Figure 19. Review LVD Reset

 The screenshot shows a dialog box titled 'Reset LVD'. At the top, there is a 'Review' section with a warning message: 'Reset Check Verification records will permanently remove all records from the local verification database:'. Below this is a table with the following data:

OTC Endpoint	ALC+2	Description	Last Update
E1	00000303TT	Endpoint 1	12/12/2014 15:27:37

 At the bottom of the dialog box, there are two buttons: 'Cancel' and 'Submit'. The 'Submit' button is highlighted with a red rectangular box.

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).

Figure 20. LVD Reset Confirmation

Reset LVD		
Confirmation		
Check Verification Records have been deleted successfully for the following OTC Endpoints:		
OTC Endpoint	ALC+2	Description
E1	00000303TT	Endpoint 1



Reset an LVD

To reset an LVD:

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

Resetting the LVD is a mandatory step for agencies upgrading from a pre-1.3.2 OTCnet Offline Check Capture software version to a 1.3.2 OTCnet Offline Check Capture software version or above. For more information refer to Administration User Guide: Chapter 6: Managing Verification Records (MVD/LVD), Topic 6: Reset LVD.



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.

Glossary

A

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 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report – A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report – A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager – A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 roles 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.

Bureau of the Fiscal Service (FS) – (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator – An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Image Report – A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number – The printed number of the check writer's check.

CIRA CSV Historical Report – A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) – A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status – Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR) – (formerly 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.

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 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.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate – The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed – The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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 Fiscal Service’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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) – It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers’ maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR File Status Report – An administration report allows you to view the status of CIR files that have been processed by Collections Information Repository (CIR) or are ready for CIR to process.

View CIR Transmission Status for Check Processing – A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number – The number assigned to a deposit by OTCnet.



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Chapter 6: Capturing and Managing Checks Offline

OTCnet Participant User Guide

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Audience, Overview and Topics

Audience

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

- Check Capture Operator (CCO) (Batch Approver/ Batch Uploader)
- Check Capture Lead Operator (CCLO) (Batch Approver/ Batch Uploader)
- Check Capture Supervisor (CCS)

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 classify 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. Classify a Batch
11. Close and Batch
12. Approve a Batch
13. Upload a Batch
14. Acknowledge a Batch
15. 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 conduct the same actions as the **CCO** stated above, as well as balance batch and enter batch control values (total check count and total amount), accept duplicates, make MICR code line corrections or accept checks with poor quality without 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 **CCLO** or **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 **CCLO** or **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 **CCS** 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 code line corrections		•	•
Resolve a duplicate check		•	•
Accept checks with poor image quality		•	•
View a batch list	•	•	•
Balance batch amount (total check count and total amount)		•	•
Enter batch control during batch closing		•	•
Classify a batch	•	•	•
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			•

•= User can perform task, 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 **CCO** or **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 **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 logistics for 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 **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 **CCS** 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 **CCO** or **CCLO** 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 Checks⁷
- 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.

Batch 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 works with the EC7000i, Panini Vision X, Panini MyVision X, and Panini I: Deal 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 3,000 items, and the maximum dollar amount per batch is \$99,999,999.99. 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.

Prior to scanning, checks should be pre-sorted by **Customer Present**, **Customer Not Present**, and **Back Office**. 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 CCA or the Configuring Check Capture Participant User Guide.

Accounting Codes

By default, the **Agency Accounting Code** drop-down field displays a blank value. An accounting code can be selected for a check transaction before or after scanning a check.

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).

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)**.

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.

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.

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 prior to the next user login.

Check Scanner Types and Check Placement

Your Agency may scan checks using one of nine 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, Panini MyVision X, Panini Vision X, and Panini I: Deal, however, can scan checks in both modes.

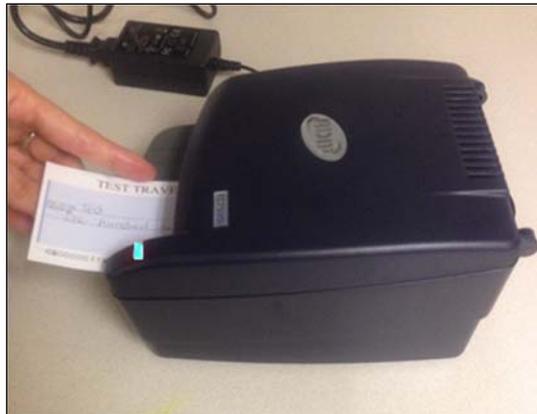
Table 2. Scanner Types

EC7000i	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
Panini MyVision X	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
Panini Vision X	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
Panini I: Deal	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)

EC7000i Scanners

Place the check in the scanner with the MICR line of the check aligned with the right side of the scanner (shown in Figure 1 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 1. EC 7000i Scanner



Note: With the EC7000i scanner, both the front and the back of the check are scanned automatically. For additional scanning information or troubleshooting using the EC7000i scanner, reference Troubleshooting or *Chapter 10: RDM Scanner Appendix*. For more detailed information regarding the scanner, such as scanner ports, scanning checks, cleaning the scanner, etc., refer to the *Chapter 10: RDM Scanner Appendix*.

Panini Vision X and Panini MyVision X Scanners

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 **Error! Reference source not found.** 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 2. 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.

Panini I: Deal Scanner

Place the check face up with the MICR line aligned to the right side of the scanner (as shown in **Error! Reference source not found.** below). The scanner automatically detects the check and begins feeding. If the check is not aligned, the scanner will automatically align the check to the proper position. When using the franking feature, the Panini I: Deal scanner will frank the check as soon as it is scanned, rather than waiting until the operator has saved the transaction. This is a change in process from the EC7000i series scanners.

Figure 3. Panini I: Deal Scanner



Note: As the document is fed into the device, the scanner will detect if the document was not automatically aligned correctly. If the document is skewed, the scanner will prevent further processing, will stop the document and will flash a red light. The check can be removed and reinserted.

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

- *Chapter 8. Troubleshooting (for scanner/imaging issues)*
- *Chapter 10. RDM Scanner Appendix*
- *Chapter 11. 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. 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.

Capture a Check Offline

To scan a check:

1. Click the **Check Processing** tab.
2. Click **Check Scan** (see **Error! Reference source not found.**).

Figure 4. Check Processing> Check Scan



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 **CCS** 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. The *Check Scan – Select Batch* page appears (see **Error! Reference source not found.**). Under **Select Open Batch**, click **Select** for the *OTC Endpoint* for which you want to scan a check(s) and click **Next**, *if applicable*. The *Check Scan* page appears.

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. However, if an operator has access to scan against multiple OTC Endpoints, then the system will prompt the user to select an OTC Endpoint.

Figure 5. Check Scan- Select Batch Page

Select	OTC Endpoint	ALC+2	Open Batch ID	Void Count	Approved Count	Amount
<input checked="" type="radio"/>	TTHLL2	2223334401	New Batch			
<input type="radio"/>	LL2	0000209902	New Batch			

4. The *Check Scan – Perform Check Scan* page appears (see **Error! Reference source not found.**).

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 6. Check Scan – Perform Check Scan Page

Check Scan 1

Check Scan - Perform Check Scan

Agency Form Data

User: ccl0001
Processing Method: Customer Present
Item Type: Personal

Amount:

I R N:
Bank
Number:
Check

Processing Mode
SINGLE CHECK MODE

Batch
Total Item Count: 0
Key Item Count:

OTC Endpoint:
Short name:
TTHLL2
Description:
Training Team Test
Hierarchy Lower Level 2

ALC + 2:
2223334401

Processing Method:

Item Type:

Scan Controls:

Agency Accounting Code

Agency Accounting Code:
Description:

Scanned Check Image

Under **Scan Controls**,

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

Table 3. FedACH and Check 21 Item Types

FedACH	Check 21
<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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

Figure 7. Start Scan

Processing Mode
SINGLE CHECK MODE

Batch
Total Item Count: 0
Key Item Count:

OTC Endpoint:
Short name:
THLL2
Description:
Training Team Test
Hierarchy Lower Level 2

ALC + 2:
2223334401

Processing Method:
Customer Present ▼

Item Type:
Personal ▼

Scan Controls:
Start Scan
 Cancel
 Receipt
 Clear Form
 Save
 Scanner Config

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**.

Figure 8. Waiting for Check Image



If you use an **Panini I: Deal, Panini MyVision X, or Panini Vision 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**.

Table 4. Scan Controls Menu

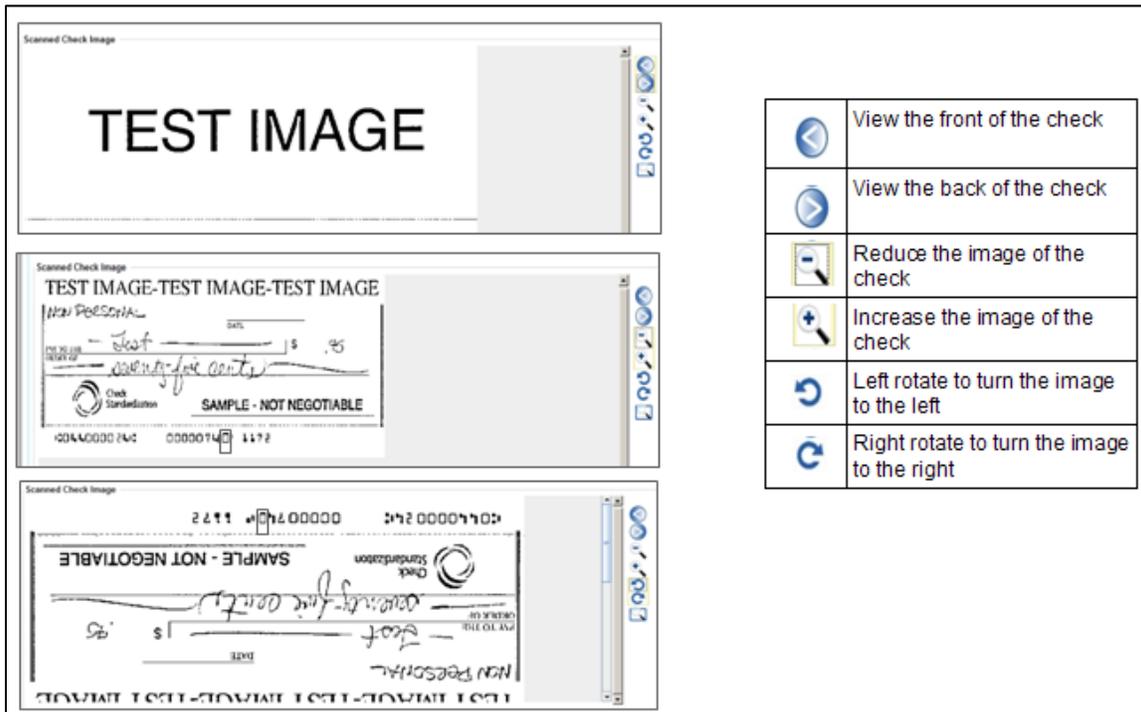
Cancel	Cancels the transaction. No data will be saved
Receipt	Access a receipt for review or printing. This is only available once the initial check is scanned
Clear Form	Clears the data entered
Save	Saves the transaction
Scanner Config	Provides scanner, printer and processing method configuration information

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 9. Scanner Check Image (Sample Images)



Under **Agency Form Data**,

- Enter the **Amount**, *required*
- Enter the check data in the field(s) provided, *if applicable*

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.

Be sure to type in the data rather than copying and pasting from another source. Data that has been copied and pasted may result in an error. After saving the data, a message appears stating the transaction was successfully saved along with the Individual Reference Number (IRN) and check amount.

The **Agency Form Data** form is customizable and can include fields beyond the **Amount** field (e.g. Social Security Number). If your Agency has additional fields, they display under the **Amount** 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 fiscalservice.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.

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 fields** automatically populates located in the frame of the **Agency Form Data**). For details regarding your scanner configurations, click on **Scanner Config**, under Scan Controls.

5. Under **Agency Accounting Code**, *if applicable*
 - Click the **Agency Accounting Code** radio button and select a single accounting code from the drop-down list

Figure 10. Agency Accounting Code - Single Accounting Code

or

- Click the **Multiple** radio button. The *Account Classification* dialog box appears.
 - Select an **Accounting Code**, enter the **Amount**, and click **Add** for each subtotal of the deposit
 - Click **Save and Return to Check Scan**

Figure 11. Agency Accounting Code - Multiple Accounting Code

Figure 12. Account Classification – Multiple Agency Accounting Codes

Agency Accounting Code	Description	Amount	Remove
0101010101	Accounting Code 1	\$ 10.00	<input type="checkbox"/>
0202020202	Accounting Code 2	\$ 10.00	<input type="checkbox"/>
Total Accounting Codes: 2		Total	\$ 20.00

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.

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.

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 prior to the next user login.

The single **Agency Accounting Code** and **Multiple** accounting codes option is available if checks are scanned against an OTC Endpoint designated for Item Level Classification. If an ALC is designated for Summary Level Classification the **Agency Accounting Code** and **Multiple** accounting codes options are disabled.

If multiple accounting codes are used, the combined accounting code subtotal must be equal to the deposit total before proceeding to the next step. If it does not, you must go back and re-validate your subtotal entries.

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

Figure 13. 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** fields automatically populate located in the frame of the **Agency Form Data**. For details regarding your scanner configurations, click on **Scanner Config**, under Scan Controls.

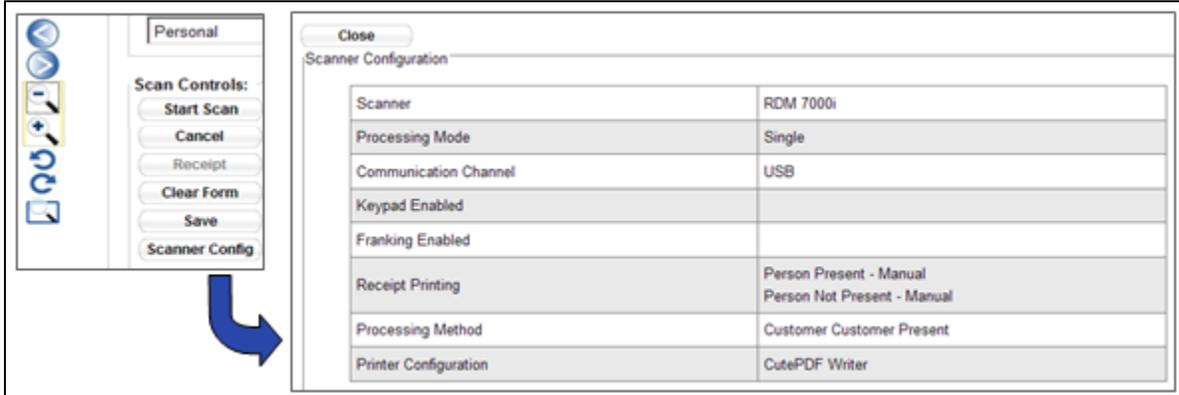
A message appears stating the transaction was successfully saved along with the Individual Record Number (IRN) and check amount.

Figure 14. Transaction Saved Successfully

Transaction saved successfully. IRN: 221003770221000000155. Amount: \$20.00. Please click receipt button to continue.

For details regarding your scanner configurations, click on **Scanner Config**, under Scan Controls.

Figure 15. Scanner Config Menu Option



Capture a Check Offline

To capture a check in offline mode:

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



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.

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

Under **Select Open Batch**, *if applicable*

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**

If an operator has OTC Endpoint has 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**



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:

- 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

Check 21:

- 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).
- **Panini MyVision X:** 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).
- **Panini Vision X:** 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).
- **Panini I: Deal:** This scanner will automatically scan both sides of a check and can scan in single and batch mode (one or more checks in a batch).



Application Tip

The maximum number of check items that can be scanned per batch is 3,000.



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 **Amount** field (e.g. Driver's License Number). If your Agency has additional fields, they are displayed under the **Amount** 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 fiscalservice.otcdeployment@citi.com.



Application Tip

Be sure to type in the data rather than copying and pasting from another source. Data that has been copied and pasted may result in an error.



Application Tip

Consider the following about Batch Mode:

- 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**.
- If you use a **Panini I: Deal, Panini MyVision X, or Panini Vision 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**, *if applicable*

- Click the **Agency Accounting Code** radio button and select a single accounting code from the drop-down list

or

- Click the **Multiple** radio button. The *Account Classification* dialog box appears.
 - Select an **Accounting Code**, enter the **Amount**, and click **Add** for each subtotal of the deposit
 - Click **Save**



Application Tip

Consider the following information about Agency Accounting Codes:

- By default, the **Agency Accounting Code** drop-down field displays a blank value. An accounting code can be selected for a check transaction before or after scanning a check.
- 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).
- **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)**.
- 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.
- 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.
- 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 prior to the next user login.
- The single **Agency Accounting Code** and **Multiple** accounting codes option is available if checks are scanned against an OTC Endpoint designated for Item Level Classification. If an ALC is designated for Summary Level Classification the **Agency Accounting Code** and **Multiple** accounting codes options are disabled.
- If multiple accounting codes are used, the combined accounting code subtotal must be equal to the deposit total before proceeding to the next step. If it does not, you must go back and re-validate your subtotal entries.

- 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 fields** automatically populates (located in the frame of the **Agency Form Data**).

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

**Application Tip**

Additional button on the page that helps you perform other tasks:

- 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:

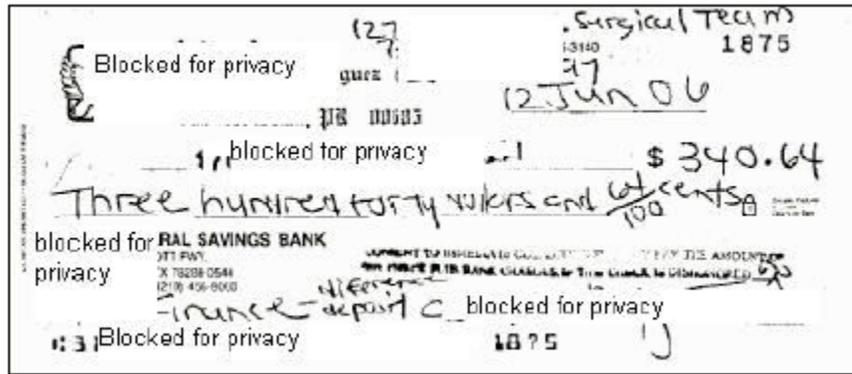
- **Rescan** the check (recommended to perform as many times as necessary)
- **Cancel** the check and opt to use the Deposit Processing functionality within OTCnet to deposit the check
- **Accept** the check (requires a **CCS** or **CCLO** to Log in to OTCnet to authorize)

A **CCS** or **CCLO** 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 16. Poor Image Quality



Figure 17. Good Image Quality



Manage a Check with Poor Image Quality

To manage a check with poor image quality:

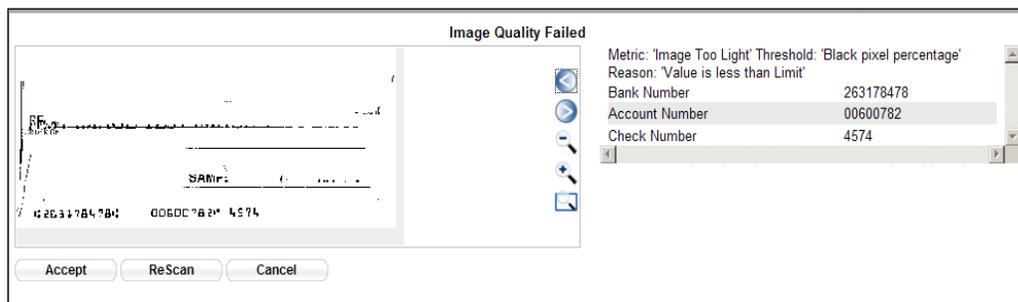
1. From the *Check Scan – Perform Check Scan* page, the *Image Quality Failed* message appears. The following message appears to the right of the screen:

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 **CCS** or **CCLO** to log in)

Figure 18. 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 **CCO** scanned the check, OTCnet will prompt the operator for authorization from a **CCS** or **CCLO**. If a **CCLO** scanned the check, additional authorization is not required. A **CCS** and **CCLO** can accept a check with poor image quality.

The *Login ID and Password* dialog box only appears if a **CCS** or **CCLO** is overriding a poor image check for a **CCO**.

Figure 19. Login ID and Password Dialog Box



The dialog box is titled "Login ID and Password Dialog Box". It contains the following fields and buttons:

- Login ID:** A text input field containing "OTCnft67".
- Password:** A text input field containing "*****".
- Login** button (highlighted with a red border).
- Cancel** button.

A yellow warning triangle icon is located to the right of the Login ID field, with the text "CCS/CCLO Login is Required if a CCO Scanned the Check" next to it.

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

Figure 20. Check Scan- Perform Check Scan Page

Check Scan
Check Scan - Perform Check Scan

Agency Form Data

User: ccl00001
Processing Method: Customer Present
Item Type: Personal
Amount: 20.00

IR N: 210929770213600000102
Bank Number: 101108319
Check Number: 0008
Account Number: 88889857

Agency Accounting Code
Agency Accounting Code: [Dropdown]
Description: [Text]

Scanned Check Image

TEST IMAGE-TEST IMAGE-TEST IMAGE

DATE: [Blank]

PAY TO THE ORDER OF: Test Check \$20.00
twenty dollars

SAMPLE - NOT NEGOTIABLE

⑆10⑆⑆08⑆⑆19⑆ 88889857⑆ 0008

Processing Mode
SINGLE CHECK MODE

Batch
Total Item Count: 1
Key Item Count: 1/1

OTC Endpoint
Short name: TTHLL2
Description: Training Team Test Hierarchy Lower Level 2

ALC + 2:
222334401

Processing Method:
Customer Present

Item Type:
Personal

Scan Controls:
Start Scan
Cancel
Receipt
Clear Form
Save
Scanner Config

[Return Home](#)

Manage a Check with Poor Image Quality

To manage a check with poor image quality:

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 **CCS** 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 (CCLO)** or **Check Capture Operator (CCO)** scanned the check, OTCnet will prompt the operator for authorization. Only a **Check Capture Supervisor (CCS)** can approve a check with poor image quality. The **CCS** 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 fields** 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 code line 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 (e.g. Electronically *Presented*) after the transaction is complete and the check has been scanned. The EC7000i and Panini I:Deal scanners can also be setup to automatically stamp the front of the check, 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 CCS or CCLO 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 **CCS** or **CCLO** to log in to OTCnet to authorize)
- **Cancel** the check

A **CCS** and **CCLO** are the only authorized users who can accept a duplicate check. Therefore, before a **CCO** can accept a duplicate check, a **CCS** or **CCLO** must log in to authorize it. If a **CCLO** scanned the check, additional authorization is not required. The *Login ID and Password* dialog box only appears if a **CCS** or **CCLO** is accepting a duplicate check for a **CCO**.

Resolve a Duplicate Check

To resolve 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 21. Duplicate Check Detected

Duplicate Check Detected											
<p>Current Check</p> 	<table border="1"> <tr><td>Batch ID</td><td>EC45B39A-ECF2-497C-902E-C2B60074EA2F</td></tr> <tr><td>Bank Number</td><td>041000124</td></tr> <tr><td>Account Number</td><td>00001127</td></tr> <tr><td>Check Number</td><td>1694</td></tr> <tr><td>Check Amount</td><td>\$.50</td></tr> </table>	Batch ID	EC45B39A-ECF2-497C-902E-C2B60074EA2F	Bank Number	041000124	Account Number	00001127	Check Number	1694	Check Amount	\$.50
Batch ID	EC45B39A-ECF2-497C-902E-C2B60074EA2F										
Bank Number	041000124										
Account Number	00001127										
Check Number	1694										
Check Amount	\$.50										
<p>Duplicate Check</p> 	<table border="1"> <tr><td>Batch ID</td><td>EC45B39A-ECF2-497C-902E-C2B60074EA2F</td></tr> <tr><td>Batch Control Total</td><td>\$0.50</td></tr> <tr><td>Batch Control Count</td><td>1</td></tr> <tr><td>Batch Create Date</td><td>2010-10-26 16:03:51</td></tr> <tr><td>Check Capture Date</td><td>2010-10-26 16:04:40</td></tr> </table>	Batch ID	EC45B39A-ECF2-497C-902E-C2B60074EA2F	Batch Control Total	\$0.50	Batch Control Count	1	Batch Create Date	2010-10-26 16:03:51	Check Capture Date	2010-10-26 16:04:40
Batch ID	EC45B39A-ECF2-497C-902E-C2B60074EA2F										
Batch Control Total	\$0.50										
Batch Control Count	1										
Batch Create Date	2010-10-26 16:03:51										
Check Capture Date	2010-10-26 16:04:40										
<p>Accept Edit MICR ReScan Cancel</p>											

- 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 22. Cancel a Check Dialog Box

Cancel this one only?

Cancel remaining checks?

Transaction cancelled successfully for
IRN[181103770202500000288]

Note: If you want to edit the **MICR** code line, click **Edit MICR**, a **CCS** or **CCLO** 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 the next Step below if you want to **Accept** the duplicate check, requiring a **CCS** or **CCLO** to log in (at the Login prompt).

- Enter CCS Login ID and Password and click Login.

If a **CCLO** scanned the check, additional authorization is not required. The *Login ID and Password* dialog box only appears if a **CCS** or **CCLO** is accepting a duplicate check for a **CCO**.

Figure 23. Accept Duplicate Prompt

Login ID:
OTCnft67

Warning: CCS/CCLO Login is Required if a CCO Scanned the Check

Password:

After the duplicate check is accepted, the **CCO** or **CCLO** can print a receipt if they choose and continue scanning checks.

Figure 24. Check Scanning Proceeds (print receipt as necessary)

Transaction saved successfully. IRN: 18110377020250000339. Amount: \$50. Please click receipt button to continue.

Agency Form Data	Processing Mode
User: otcqee20	SINGLE CHECK MODE
Processing Method: Customer Present	
Item Type: Personal	
Amount: 50	Batch
Social Security Number: 123456789	Total Item Count: 2
	Key Item Count: 1/1
	OTC Endpoint:
	Short name: DO 101st
	Description: Disbursing Office
	ALC + 2: 0000500601
	Processing Method: Customer Present
	Item Type: Personal
	Scan Controls:
	Start Scan
	Cancel
	Receipt
	Clear Form
	Save

Scanned Check Image

TEST IMAGE

IR N: 18110377020250000339
Bank Number: 041000124
Check Number: 1694
Account Number: 00001127
Date & Time: 10 - 26 - 2010 16:06:54.

Resolve a Duplicate Check in OTCnet

To resolve a duplicate check:

1. Click **Cancel** to cancel the duplicate check. A *Login ID and Password* dialog box appears.



Application Tip

Click **Accept** to continue processing the check. The *Login ID and Password* dialog box only appears if a **CCS** or **CCLO** is accepting a duplicate check for a **CCO**. If a **CCLO** scanned the check, additional authorization is not required.



Application Tip

Click **Edit MICR** to correct the MICR line. A **CCS** or **CCLO** must authorize a MICR line code correction.



Application Tip

It is important as the **CCS** or **CCLO** that if you opt to make a MICR code line correction, you look at the MICR line image closely to ensure all the characters are correctly entered in the code line correction box.

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



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 **CCS**, or a **CCLO** with **Batch Approver** permission, you are the only authorized user who can void an erroneously scanned check or a batch of checks. Before you can void a check or a batch of checks, 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 **CCS** to sign in to approve).
2. If a **CCS** 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 **CCS** 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/Fiscal Service 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/Fiscal Service 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:

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

Figure 25. 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.

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

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*

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 26. Search Batch Page

The screenshot shows the 'Search Batch' interface. At the top, there's a header 'Search Batch' with a tab indicator '1'. Below the header is a section for 'Batch Search Conditions' with a pagination indicator '<< 1 - 1 >> of 1 Records'. A table displays one batch record with columns: Select (checkbox), OTC Endpoint (TTHLL2), ALC + 2 (2223334401), and Description (Training Team Test Hierarchy Lower Level 2). Below this is a 'Created On Date' section with 'From Date' (08/11/2014) and 'To Date' (09/09/2014) fields. There are input fields for 'Batch ID:' and 'Cashier ID:'. The 'Batch Status:' section contains a table with columns: Select (checkbox), Check All / Clear All, Status, and Description. The 'OPEN' and 'CLOSED' rows are highlighted with a red box. At the bottom, there are 'Cancel' and 'Search' buttons.

Select	Check All / Clear All	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>		TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date: 08/11/2014

To Date: 09/09/2014

Batch ID:

Cashier ID:

Batch Status:

Select	Check All / Clear All	Status	Description
<input type="checkbox"/>		OPEN	Open - accepting new checks
<input type="checkbox"/>		CLOSED	Closed - no new checks
<input type="checkbox"/>		APPROVED	Approved - ready for settlement process
<input type="checkbox"/>		SENT	Successfully uploaded to host
<input type="checkbox"/>		ACKNOWLEDGED	Acknowledge that upload was complete
<input type="checkbox"/>		SEND ERROR	Error during upload
<input type="checkbox"/>		ACKNOWLEDGED ERROR	Error from host with the upload

Cancel Search

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

Figure 27. View Batches Page (Voiding)

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item Count	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	AB67B9E3-D684-4884-B879-FD91A19A3CD2	cclo0001	TTHLL2	2223334401	9/8/2014 3:34:34 PM	2	40.00	OPEN	✓		
<input type="checkbox"/>	5E427E12-604C-4C46-954A-A1B63C812D25	cclo0003	TTHLL2	2223334401	9/4/2014 1:21:53 PM	3	155.00	FORWARDED	✓	ccadmi17	9/4/2014 2:20:04 PM
<input type="checkbox"/>	50DF4809-365A-4066-A85D-90605F7EC246	cclo0004	TTHLL2	2223334401	9/4/2014 1:18:59 PM	3	155.00	FORWARDED	✓	ccadmi17	9/4/2014 2:20:05 PM
<input type="checkbox"/>	D93E3C52-D64C-4316-80E7-256078DAB70D	cclo0001	TTHLL2	2223334401	8/20/2014 5:05:35 PM	1	1.00	CLOSED	✓		
<input type="checkbox"/>	CAGFOC55-90EB-4FEE-AF20-4D8E65778E1F	cclo0001	TTHLL2	2223334401	8/20/2014 4:50:07 PM	2	15.00	CLOSED	✓		

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

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 28. View Checks Page (Voiding)

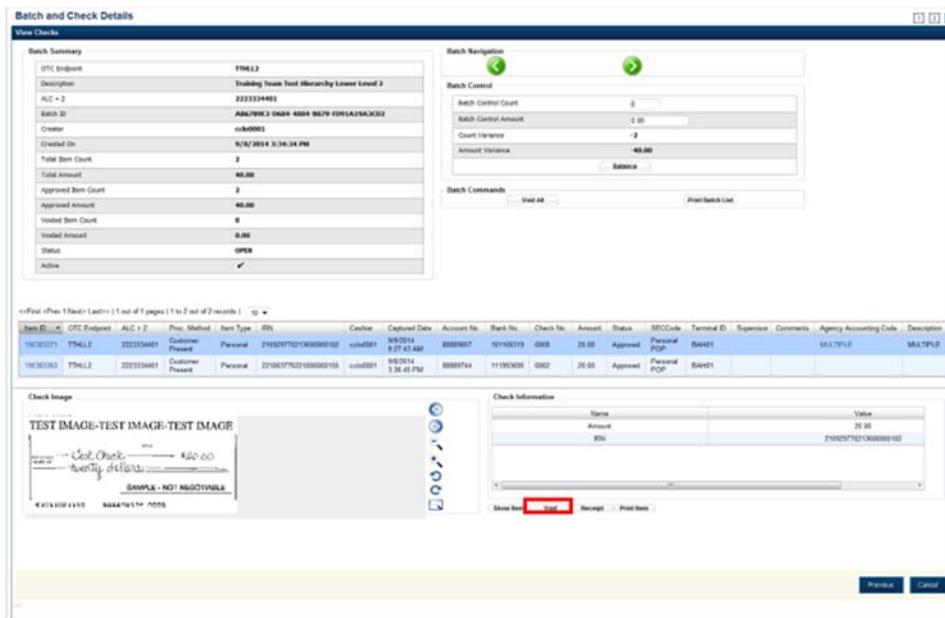
Item ID	OTC Endpoint	ALC + 2	Proc. Method	Item Type	Item	Control	Captured Date	Account No.	Bank No.	Check No.	Amount	Status	SEC Code	Terminal ID	Supervisor	Comments	Agency Accounting Code	Description
103832374	TTHLL2	2223334401	Customer Present	Personal	219029778213600008112	cclo0001	9/8/2014 3:37:43 AM	8888887	10188319	8088	25.00	Approved	Personal POP	BAVD1			MULTIPLE	MULTIPLE
103833062	TTHLL2	2223334401	Customer Present	Personal	221083778221888888116	cclo0001	9/8/2014 3:38:45 PM	8888887	11188308	8082	25.00	Approved	Personal POP	BAVD1				

- 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.

If a check is voided and there is more than one check in the batch, and the ALC is designated to classify at the summary level, ensure that the combined accounting code subtotal is equal to the batch total prior to batch approval. If it does not, you must go back and re-validate your subtotal entries.

If a check is voided and there is only one check in the batch, as a best practice it is recommended that the batch is deactivated so that it is not accidentally forwarded for settlement. Deactivated batches will still be archived to the Historical Database.

Figure 29. Check Image/ Details



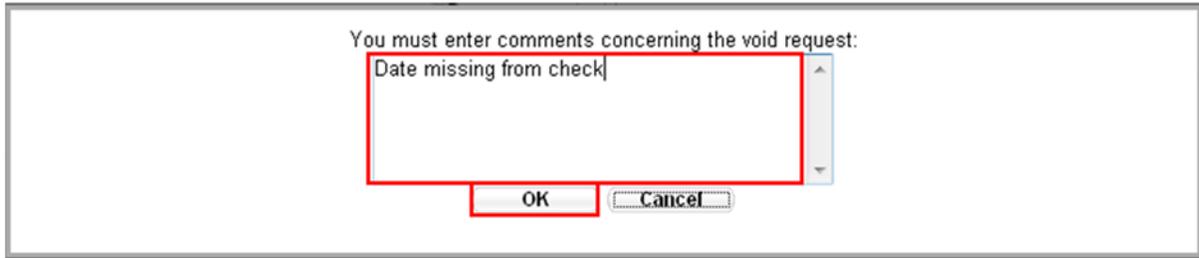
- Click **Confirm** at the prompt asking if you want to void the check.

Figure 30. Void Confirmation Dialog Box



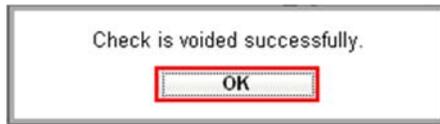
6. Enter comments concerning the void request at the prompt and click **OK**.

Figure 31. Enter Comment Dialog Box



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

Figure 32. Check Void Dialog Box





Void a Check

To void a scanned check:

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 criterion (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.

**Application Tip**

If a check is voided and there is more than one check in the batch, and the ALC is designated to classify at the summary level, ensure that the combined accounting code subtotal is equal to the batch total prior to batch approval. If it does not, you must go back and re-validate your subtotal entries.



Application Tip

If a check is voided and there is only one check in the batch, as a best practice it is recommended that the batch is deactivated so that it is not accidentally forwarded for settlement. Deactivated batches will still be archived to the Historical Database.

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.

Void All Checks in a Batch

To void all checks in a batch:

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

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

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*

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** box under the **Select** column, then click **Search**.

Figure 33. Search Batch Page

Search Batch 1

Search Batch

Batch Search Conditions

<< < 1 - 1 > >> of 1 Records

Select <small>Check All / Clear All</small>	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:

To Date:

Batch ID:

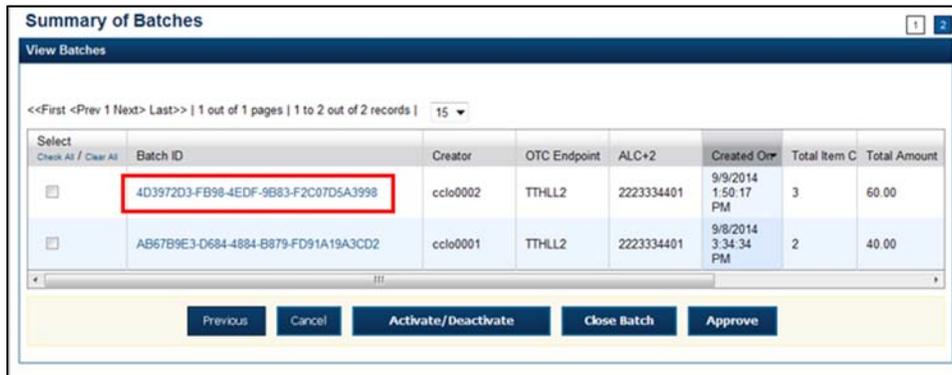
Cashier ID:

Batch Status:

Select <small>Check All / Clear All</small>	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	SENT	Successfully uploaded to host
<input type="checkbox"/>	ACKNOWLEDGED	Acknowledge that upload was complete
<input type="checkbox"/>	SEND ERROR	Error during upload
<input type="checkbox"/>	ACKNOWLEDGED ERROR	Error from host with the upload

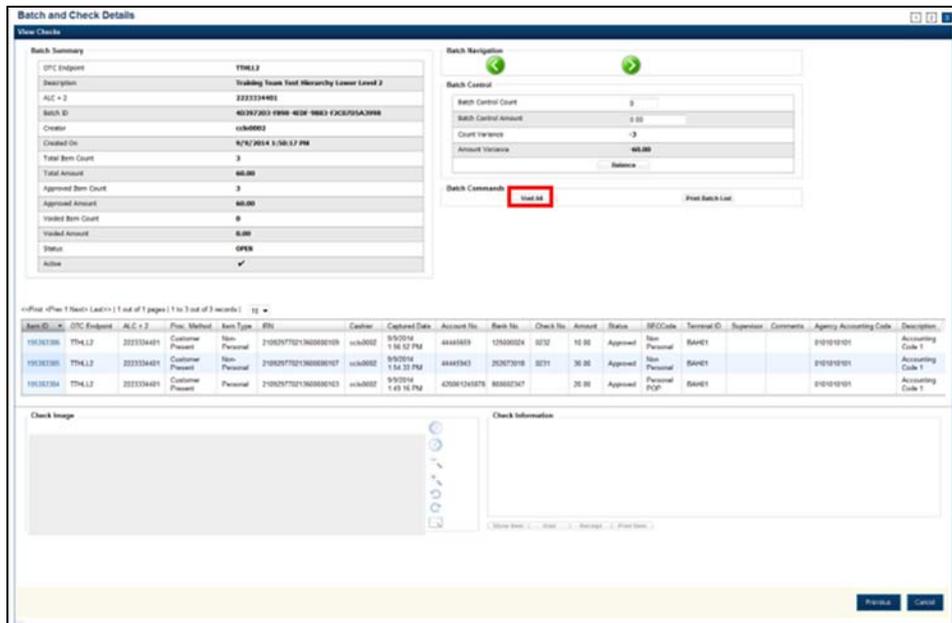
3. The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 34. View Batches (Void All)



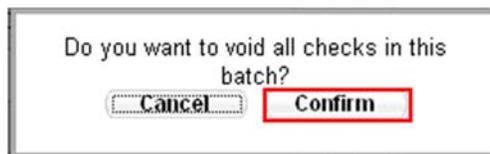
- The *View Checks* page appears. Under **Batch Commands**, click **Void All**.

Figure 35. View Checks (Voiding)



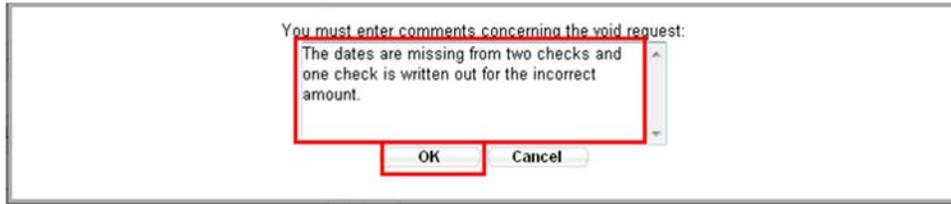
- Click **Confirm** at the prompt asking if you want to void the check.

Figure 36. Void All Checks Confirmation Dialog Box



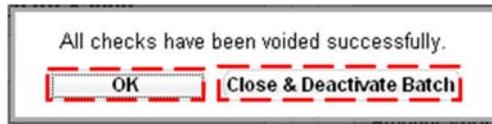
6. Enter comments concerning the void request at the prompt and click **OK**.

Figure 37. Enter Comment Dialog Box



7. Click **OK** or **Close & Deactivate Batch** at the final prompt stating that the check is voided successfully.

Figure 38. Check Void Dialog Box





Void All Checks in a Batch

To void all scanned checks in a batch:



Application Tip

Only batches in **Open** status can have all checks voided at once.

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 void a check 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 criterion (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 **Cashier ID**, *optional*

Under **Batch Status**,

- 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. Under Batch Commands, click **Void All**.
 7. Click **Confirm** at the prompt asking if you want to void all checks.
 8. Enter comments concerning the void request at the prompt and click **OK**.
 9. Click **OK** at the final prompt stating that the checks in the batches have been voided successfully.

**Application Tip**

After an entire batch of checks is voided, as a best practice, it is recommended that the batch be deactivated so that it is not accidentally forwarded for settlement. Deactivated batches will still be archived to the Historical Database after 18 months as all batches and their associated check items are archived regardless of the batch status.



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 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 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 7: Reporting on Scanned Checks and Viewing Historical Reports; 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:

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.

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

Figure 39. Override Check Denial Box

Check Verification	
BLOCKED	
Current Item	
SSN	****6789
Bank Number	325081885
Account Number	88889842
Problem Item	
IRN	BLOCK-1683312
Util Date	09/09/2099 00:00:00 AM
MVD Date	09/11/2014 00:00:00 AM
Amount	\$0.00
Reason	Insufficient Funds
Comments	
OTC Endpoint	DG2
Description	DG2 Test
ALC + 2	1000000002
Print Override Cancel	

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

Figure 40. Override Login Dialog Box



Login ID: otcqef28

Password: ●●●●●●●●

Login Cancel

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

Figure 41. Enter Comments Box



You must enter comments concerning the override request.

Submit Cancel

Override a LVD Record

To override a LVD Record:

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.

Figure 42. Verification Report

SENSITIVE BUT UNCLASSIFIED	
	
Verification Report	
Date: 09/11/2014 4:48:39 PM	
Printed By: otaqef50	
Verification Status :	BLOCKED
Current Item	
SSN	****6789
Bank Number	325081885
Account Number	88880842
Problem Item	
IRN	BLOCK-1683312
Until Date	09/09/2099 00:00:00 AM
MVD Date	09/11/2014 00:00:00 AM
Amount	\$0.00
Reason	Insufficient Funds
Note	
OTC Endpoint	DG2
Description	DG2 Test
ALC + 2	1000000002
09/11/2014 Page 1	
SENSITIVE BUT UNCLASSIFIED	

**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 **CCA** 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 **CCLO** or **CCO** 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 **CCO**, **CCLO** or **CCS** 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 **CCS** can choose to click to **Defer** to skip this step.

Batch Control Options

To use the batch control options on batch create:

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 43. Batch Control Page (Batch Create)

The screenshot displays the 'Check Scan - Batch Control' interface. It features a table for OTC Endpoint Information and a 'Set Up New Batch' section with input fields for 'Batch Control Count' and 'Batch Control Amount'. The 'Next >' button is highlighted with a red box.

OTC Endpoint Information	
OTC Endpoint	TTHLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401

Set Up New Batch	
Batch Control Count:*	<input type="text" value="0"/>
Batch Control Amount:*	<input type="text" value="0.00"/>

Navigation buttons: Cancel, < Previous, Defer, **Next >**

If **Batch Control** is set to mandatory, the **CCLO** or **CCO** 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 **CCLO** or **CCO** can click the **Defer** button.

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

Figure 44. Perform Check Scan Page (after Batch Control)

Check Scan

Check Scan - Perform Check Scan

Agency Form Data

User: ccl00003
Processing Method: Customer Present
Item Type: Non Personal

Amount: 10.00

IR N: 21092977021360000111
Bank Number: 125000024
Check Number: 0232
Account Number: 44445659

Processing Mode: SINGLE CHECK MODE

Batch:
Total Item Count: 0
Key Item Count: 1/1

OTC Endpoint:
Short name: THLL2
Description: Training Team Test Hierarchy Lower Level 2

ALC + 2:
222334401

Processing Method:
Customer Present

Item Type:
Non-Personal

Agency Accounting Code:
0101010101 - Accounting Code
Agency Accounting Code: 0101010101
Description: Accounting Code 1

Scanned Check Image

TEST IMAGE-TEST IMAGE-TEST IMAGE

PAY TO THE ORDER OF: *Jed Cheak* \$ 10.00 DOLLARS

ten

SAMPLE - NOT NEGOTIABLE

102320 125000024 44445659

Scan Controls:
Start Scan
Cancel
Receipt
Clear Form
Save
Scanner Config

Return Home

On Batch Close (Optional/ Mandatory)

To use the batch control options on batch close:

1. From the *Batch Control* page

Under **Batch Detail**,

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

2. Click **Next**.

Figure 45. Batch Control Page (Batch Close)

The screenshot shows a web application window titled "Batch Control" with a tabbed interface. The active tab is "Batch Control". Below the tab is a "Batch Control Setup" section containing a table of batch details. At the bottom of the table are two input fields: "Batch Control Count:" with the value "1" and "Batch Control Amount:" with the value "10.00". A red box highlights these two input fields. At the bottom right of the page are three buttons: "Cancel", "Skip", and "Next >>". The "Next >>" button is highlighted with a red box.

Batch Detail	
OTC Endpoint	TTHLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401
Batch ID	0876582E-4260-4618-B333-1E53DA71A250
Creator	ccl0003
Created On	09/09/2014 03:42:50 PM ET
Total Item Count	1
Total Amount	10.00
Approved Item Count	1
Approved Amount	10.00
Voided Item Count	0
Voided Amount	0.00
Batch Control Count:	<input type="text" value="1"/>
Batch Control Amount:	<input type="text" value="10.00"/>

If **Batch Control** is set to optional, the **CCLO**, **CCO**, or **CCS** 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 *Chapter 5. Correcting Scanned Checks* of the OTCnet Participant User Guides.

If you are a **CCLO** or **CCO** and discover that the amount of the check item was incorrectly entered, contact your **CCS**, and edit the check using the *Show Item* window.

- 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.

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

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batch is not closed until **Confirm** is clicked.

Figure 46. Print Batch List Report (Batch Close)

Batch List to be Closed

OTC Endpoint	Description	ALC + 2	Batch ID	Creator	Created On	Total Item Count	Total Amount	Approved Item Count	Approved Amount	Voided Item Count	Voided Amount
THLL2	Training Team Test Hierarchy Lower Level 2	222334401	0876582E-4260-4638-8333-8E53DA71A250	cd00003	09/09/2014 03:42:50 PM ET	1	10.00	1	10.00	0	0.00

Please export or print the Batch List Report prior to selecting the 'Confirm' button

Buttons: **Cancel**, **Print PDF Report**, **Confirm**

Export as: Word **Export**

SENSITIVE BUT UNCLASSIFIED

Batch List

OTCnet Endpoint: THLL2 - Training Team Test Hierarchy Lower Level 2 Batch: 0876582E-4260-4638-8333-8E53DA71A250
 ALC+2: 222334401 Date: 09/14 3:52 PM
 Printed By: CC CLO

KEY - (A)Auto, (A)Approved, (V)Void, (T)Type, (P)Personal, (N)Not Personal
 Accounting Code: Description
 MULTIPLE - Item is classified with more than one accounting codes
 SUMMARY - Item is part of a batch classified at the Summary level

Processing Method: Customer Present

ID	IRN	Cashier Date Time	Bank No	Account No	Check No	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier	
1	210637752106888	Tue Sep 09 10:41:09 EDT	12888024	4444889	0232	\$10.00		010-0-0-001	Accounting Code 1	cc08883	
Sub Total:						Count: 1	Amount: \$10.00				
Batch Total:						Count: 1	Amount: \$10.00				



Perform Batch Control (Optional or Mandatory)

To perform batch control on batch create:

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:

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 *Optional*, a user may click **Next** below, to continue closing the batch.

Figure 47. Batch Control (Failed to Balance)

Batch Control [1] [2] [3] [4]

Batch Control

Failed to balance Batch 4157F56F-541E-4FC1-BF8A-EDDB3D456E19, please check batch control.

Batch Control Setup

Batch Detail	
OTC Endpoint	TTHLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401
Batch ID	4157F56F-541E-4FC1-BF8A-EDDB3D456E19
Creator	ccl0003
Created On	09/09/2014 04:07:47 PM ET
Total Item Count	1
Total Amount	10.00
Approved Item Count	1
Approved Amount	10.00
Voided Item Count	0
Voided Amount	0.00
Batch Control Count:	<input type="text" value="1"/>
Batch Control Amount:	<input type="text" value="100.00"/>

Cancel Skip **Next »**

Some important **Batch Detail** descriptions are below:

- **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:

- Click on the erroneous amount.
- Click **Void** button.
- Enter comments concerning the void request and click **OK**.
- Click **OK** to confirm the void request. The *Confirmation* message appears.

Note: A **CCS** 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 **CCS**, **CCLO**, and **CCO**, 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.

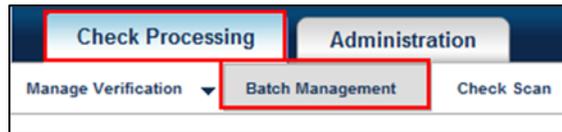
The printing of a **Batch List** is part of the batch close procedure. During batch close, the system prompts to make certain that the user acknowledges the printout of the **Batch List**. The **Print PDF Report** button defaults to print in PDF format; however a user may also opt to download and save 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 48. Check Batch Management (View Batch)



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

Figure 49. Search Batch Page (View Batch)

Search Batch 1

Search Batch

Batch Search Conditions

<< 1 - 1 >> of 1 Records

Select <small>Check All / Clear All</small>	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:

To Date:

Batch ID:

Cashier ID:

Batch Status:

Select <small>Check All / Clear All</small>	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	SENT	Successfully uploaded to host
<input type="checkbox"/>	ACKNOWLEDGED	Acknowledge that upload was complete
<input type="checkbox"/>	SEND ERROR	Error during upload
<input type="checkbox"/>	ACKNOWLEDGED ERROR	Error from host with the upload

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.

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

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*

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.

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.

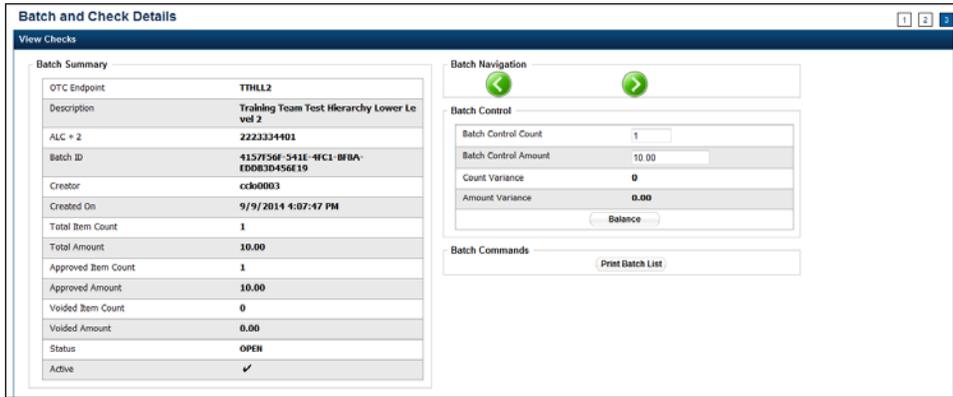
Figure 50. View Batches Page (View Batch)

The screenshot shows a web application interface for 'View Batches'. At the top, there is a breadcrumb trail: 'Locations: Home > Check Processing > Batch Management'. Below this is a header 'Summary of Batches' with a search icon and a close button. The main content is a table with the following columns: 'Select', 'Batch ID', 'Creator', 'OTC Endpoint', 'ALC+2', 'Created On', 'Total Item C', 'Total Amount', 'Status', 'Active Flag', 'Approver', and 'Approved On'. There are three rows of data. The first row has a red box around its 'Batch ID' cell. Below the table are three buttons: 'Previous', 'Cancel', and 'Close Batch'.

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	4157F56F-6A1E-4FC1-8F8A-ED083D456E19	cclo0003	TTHLL2	2223334401	9/9/2014 4:07:47 PM	1	10.00	OPEN	<input checked="" type="checkbox"/>		
<input type="checkbox"/>	0876682E-4260-4618-8333-1E53DA71A250	cclo0003	TTHLL2	2223334401	9/9/2014 3:42:50 PM	1	10.00	CLOSED	<input checked="" type="checkbox"/>		
<input type="checkbox"/>	5E427E12-604C-4C46-964A-A18E3C812D26	cclo0003	TTHLL2	2223334401	9/4/2014 1:21:53 PM	3	156.00	FORWARDED	<input checked="" type="checkbox"/>	ccadm17	9/4/2014 2:20:04 PM

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

Figure 51. View Checks Page (View Batch)

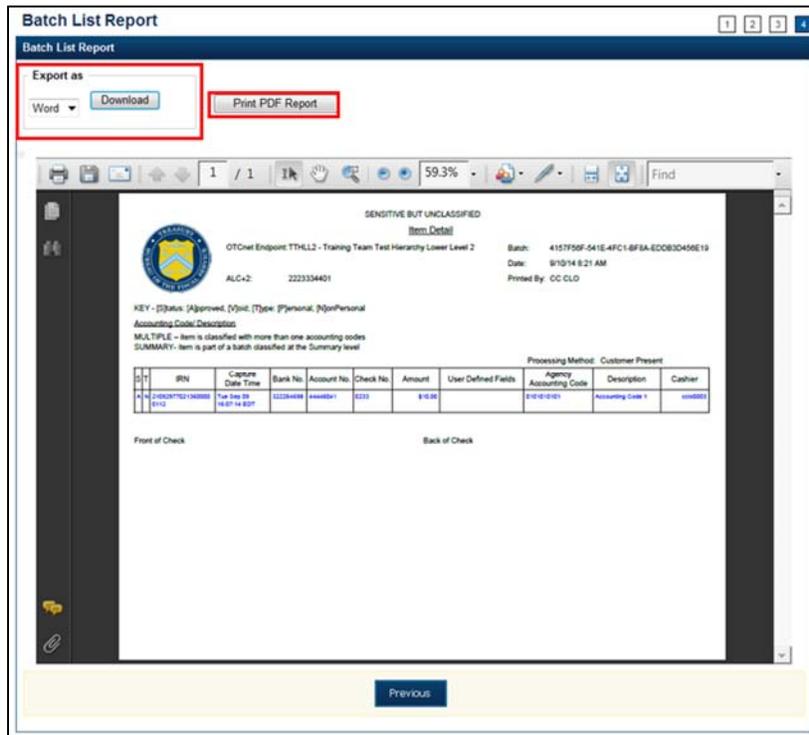


- The *Batch List Report* page appears. Under **Export as**,
 - Select **Word**, **Excel**, **RTF**, or **PDF**
 - Click **Download**

Or

- Click **Print PDF Report**.

Figure 52. Batch List Report Page



Item Detail Report

To run an item detail report:

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

Figure 53. Batch Management



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

Figure 54. Search Batch

Search Batch
1

Search Batch

Batch Search Conditions

<< 1 - 1 >> of 1 Records

Select Check All / Clear All	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:
08/11/2014

To Date:
09/09/2014

Batch ID:

Cashier ID:

Batch Status:

Select Check All / Clear All	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	SENT	Successfully uploaded to host
<input type="checkbox"/>	ACKNOWLEDGED	Acknowledge that upload was complete
<input type="checkbox"/>	SEND ERROR	Error during upload
<input type="checkbox"/>	ACKNOWLEDGED ERROR	Error from host with the upload

Cancel
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. 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.

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

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*

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**

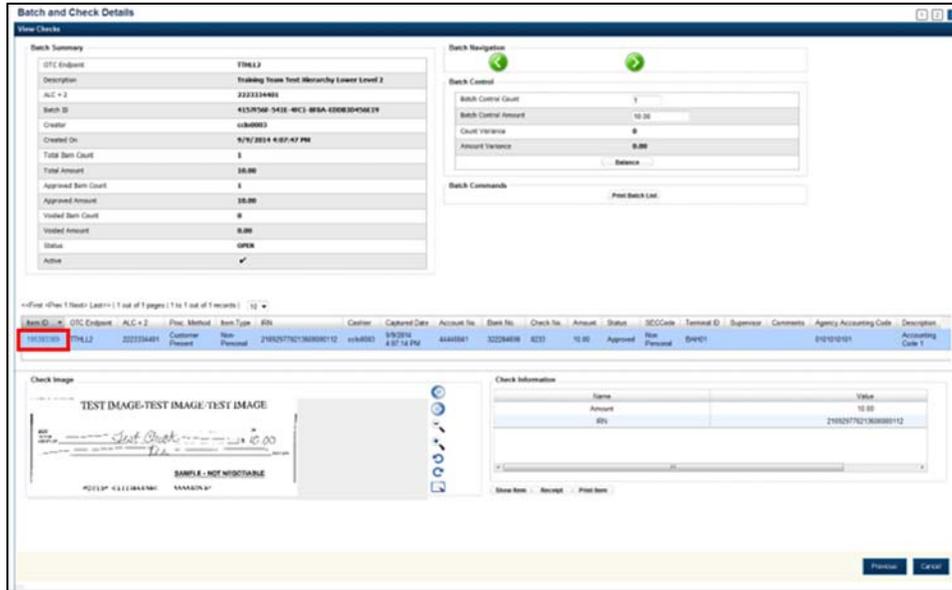
3. The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 55. Summary of Batches

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	4157F56F-541E-4FC1-8F8A-EDD83D456E19	cclo0003	THLL2	2223334401	9/9/2014 4:07:47 PM	1	10.00	OPEN	<input checked="" type="checkbox"/>		
<input type="checkbox"/>	0876582E-4260-4618-8333-1E53DA71A250	cclo0003	THLL2	2223334401	9/9/2014 3:42:50 PM	1	10.00	CLOSED	<input checked="" type="checkbox"/>		
<input type="checkbox"/>	5E427E12-604C-4C46-954A-A19E3CB12026	cclo0003	THLL2	2223334401	9/4/2014 1:21:53 PM	3	156.00	FORWARDED	<input checked="" type="checkbox"/>	ccadm17	9/4/2014 2:20:04 PM

- 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 56. View Checks Page/ Item ID Select



5. The *Item Detail Report* appears

Figure 57. Item Detail Report

Item Detail Report

Export as
Word

SENSITIVE BUT UNCLASSIFIED
Item Detail
OTCnet Endpoint: TTHLL2 - Training Team Test Hierarchy Lower Level 2 Batch: 4157F56F-541E-4FC1-8F8A-ED0B3040E19
ALC+2: 2223334401 Date: 9/10/14 9:21 AM
Printed By: CC CLO

KEY - [S]tatus: [A]pproved, [V]oid, [T]ype: [P]ersonal, [N]onPersonal
Accounting Code/Description
MULTIPLE - Item is classified with more than one accounting codes
SUMMARY- Item is part of a batch classified at the Summary level

ST	IRN	Capture Date Time	Bank No	Account No	Check No	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier
A	2105297752136033 0112	Tue Sep 09 16:07:14 EDT	32238488	44446041	E233	\$10.00		010101001	Accounting Code 1	0000003

Processing Method: Customer Present

Front of Check
TEST IMAGE-TEST IMAGE-TEST IMAGE
Back of Check
TEST IMAGE

10/09/2014 Page 1
SENSITIVE BUT UNCLASSIFIED

Under **Export as**,

- Select Word, Excel, RTF, or PDF
- Click Download

Or

- Click Print PDF Report



View and Print a Batch List Report

To view and print a Batch List report:

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

Under **Export as**,

- Select **Word**, **Excel**, **RTF**, or **PDF**
- 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:

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**
 - 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

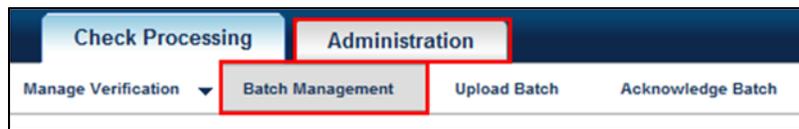
A **CCS** can deactivate a batch if there is a problem with an item within the batch and further research is needed. Deactivating a batch prevents it from being closed or approved for settlement. A deactivated batch must be activated before it can be closed or approved for settlement.

The deactivated batch is retained for as long as the configuration settings allow. The default setting is 14 days, but the Check Capture Administrator can configure the default setting to accommodate the agency's business process. 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 a Batch

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

Figure 58. 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.

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

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*

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 59. Search Batch Page (Activate/Deactivate)

Search Batch

Batch Search Conditions

<< 1 - 1 >> of 1 Records

Select <small>Check All / Clear All</small>	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:
08/11/2014

To Date:
09/09/2014

Batch ID:

Cashier ID:

Batch Status:

Select <small>Check All / Clear All</small>	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	SENT	Successfully uploaded to host
<input type="checkbox"/>	ACKNOWLEDGED	Acknowledge that upload was complete
<input type="checkbox"/>	SEND ERROR	Error during upload
<input type="checkbox"/>	ACKNOWLEDGED ERROR	Error from host with the upload

- The *Summary of 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 60. View Batches Page (Activate/Deactivate)

Select	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	4157F56F-541E-4FC1-8F5A-EC083D456E19	cclo003	THLL2	2223334401	9/9/2014 4 07:47 PM	1	10.00	OPEN	✓		
<input type="checkbox"/>	987652E-4260-4618-0333-1E53DA71A250	cclo003	THLL2	2223334401	9/9/2014 3:42:50 PM	1	10.00	CLOSED	✓		
<input checked="" type="checkbox"/>	4D3972D3-FB98-4EDF-9B83-F2C07D5A3998	cclo002	THLL2	2223334401	9/9/2014 1:50:17 PM	3	60.00	OPEN	✓		
<input type="checkbox"/>	AD679E3-0684-4884-8879-FD91A1A3CD2	cclo001	THLL2	2223334401	9/8/2014 3:34:34 PM	2	40.00	OPEN	✓		
<input type="checkbox"/>	D93E3C52-D64C-4316-80E7-256078CA873D	cclo001	THLL2	2223334401	8/20/2014 5:05:35 PM	1	1.00	CLOSED	✓		
<input type="checkbox"/>	CADF0C55-90EB-4FEE-AF20-4DBE65779E1F	cclo001	THLL2	2223334401	8/20/2014 4:50:07 PM	2	15.00	CLOSED	✓		

Figure 61. Activate/ Deactivate Batch Page

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount	Active Status
4D3972D3-FB98-4EDF-9B83-F2C07D5A3998	THLL2	2223334401	0	0.00	Active

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

Figure 62. Batch Activate/ Activate Confirmation

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount	Active Status
4D3972D3-FB98-4EDF-9B83-F2C07D5A3998	THLL2	2223334401	0	0.00	Inactive



Activate/Deactivate a Batch

To activate/deactivate:

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



Application Tip

Only batches with an **Open** or **Closed** status can be activated/deactivated. Additionally, batches currently in use cannot be deactivated.

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. Classify a Batch

Before a batch can be classified, an OTC Endpoint must be designated as being able to classify a batch at the summary level with at least one accounting code or C-key. Additionally, if an OTC Endpoint is designated as a Central Accounting Reporting System (CARS)/Government-Wide Accounting (GWA) reporter, all batches (at the summary level) or items within a batch (at the item level) must be classified with at least one accounting code or C-key.

To classify a batch at the summary level, the CCLO or CCO first uses the Check Scan function, scans the check(s), enters the amount and any user defined field details, and saves the transaction. After the batch is saved, a Check Capture Supervisor (CCS), CCLO, or CCO accesses Batch Management, clicks View/Edit Classification and classifies the batch with an accounting code or C-key. Note: Depending on your user privileges and batch status you will see either a View/Edit Classification or a View Classification button.

The summary level (batch) classification process is independent of the batch close process. Therefore, a batch can be classified prior to closing a batch or after the batch is closed. Additionally, a CCS can classify a batch during Approve Batch.

Classify or Edit a Batch at the Summary Level

To classify or edit a batch at the summary level:

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

Figure 63. Administration>Batch Management



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

Under **Batch Search Conditions**, optional

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

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

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

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.

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

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

Batches in **Open** or **Closed** status can be classified or edited at the summary level.

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

Figure 64. Search Batch (Classify a Batch)

Search Batch

Search Batch

Batch Search Conditions

<< 1 - 1 >> of 1 Records

Select Check All / Clear All	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:

To Date:

Batch ID:

Cashier ID:

Batch Status:

Select Check All / Clear All	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	SENT	Successfully uploaded to host
<input type="checkbox"/>	ACKNOWLEDGED	Acknowledge that upload was complete
<input type="checkbox"/>	SEND ERROR	Error during upload
<input type="checkbox"/>	ACKNOWLEDGED ERROR	Error from host with the upload

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

Figure 65. View Batches

Summary of Batches

View Batches

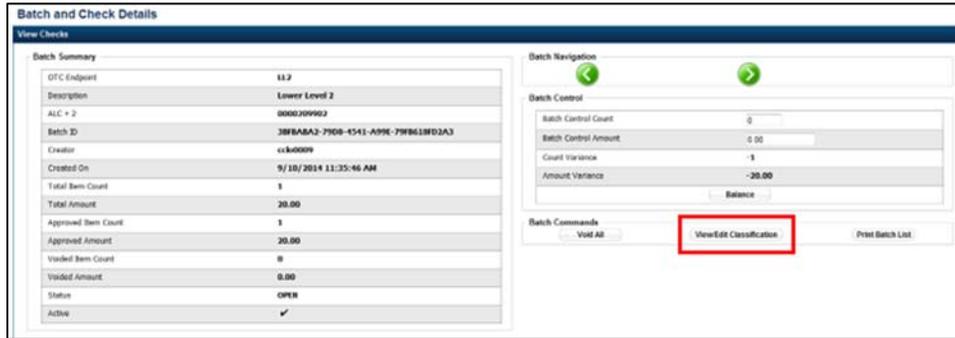
<<First <Prev 1 Next> Last>> | 1 out of 1 pages | 1 to 1 out of 1 records | 15

Select Check All / Clear All	Batch ID	Creator	OTC Endpoint	ALC+2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved On
<input type="checkbox"/>	36FBABA2-7908-4541-A99E-79FB618FD2A3	ccl0009	LL2	0000209902	9/10/2014 11:35:46 AM	1	20.00	OPEN	✓		

- Click **View/Edit Classification**. The *Account Classification* dialog box appears.

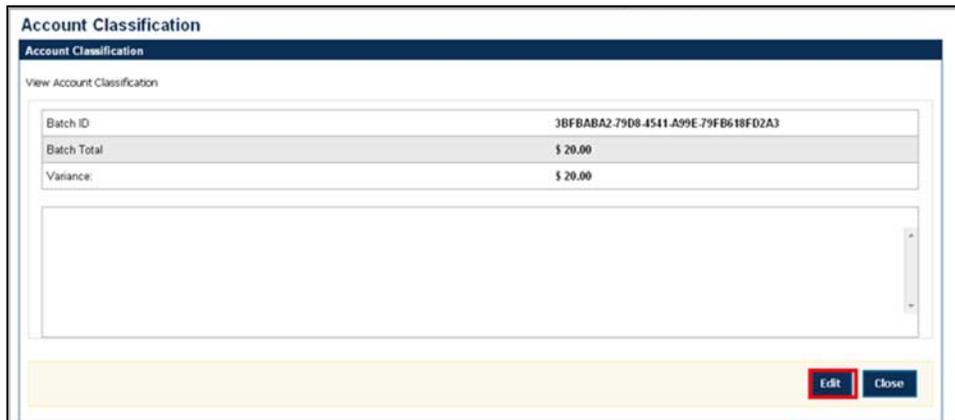
Depending on your user role and batch status you will either see **View/Edit Classification** or **View Classification**. **View/Edit Classification** indicates that the user has view and edit permission. **View Classification** indicates the user has view classification permission and is not permitted to edit or delete a classification.

Figure 66. View Checks – View/Edit Classification



- Click **Edit**. The *Account Classification* dialog box refreshes.

Figure 67. Accounting Classification – Summary Level



6. Enter or update the necessary account classification data.
 - Select an **Agency Accounting Code**

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).

7. Enter the **Amount** and click **Add** for each subtotal of the batch

The classified total and batch total can remain unbalanced until the batch is approved. However, the **Variance** must equal \$0.00 before a batch can be approved. If it does not, you must go back and re-validate your subtotal entries.

To delete or remove an accounting code, check the **Remove** check box next to the accounting code you want to delete and click **Update**.

8. Click **Save**

Figure 68. Accounting Classification – Summary Level

Select an accounting code, enter the amount, and click **Add** for each subtotal of the batch.

Batch ID	989BABA2-7968-4541-APR-7968-989B0A3		
Batch Total	\$ 20.00		
Variance	0.00		
Agency Accounting Code*	1212 - Accounting Code		
Amount*	15.00		
Add (+)			
Agency Accounting Code	Description	Amount	Remove
2212	Accounting Code 1	\$ 5.00	<input type="checkbox"/>
2213	Accounting Code 2	\$ 15.00	<input type="checkbox"/>
Total Accounting Codes: 2		Total	\$ 20.00
Update			
Cancel Save			

Classify or Edit a Batch at the Summary Level in OTCnet Offline

To classify or edit a batch at the summary level:

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 classify or 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**

Batches in Open or Closed status can be classified or edited at the summary level.

4. Click **Search**. The *View Batches* page appears.
5. Click the **Batch ID** hyperlink. The *View Checks* page appears.
6. Click **View/Edit Classification**. The *Account Classification* dialog box appears.

**Application Tip**

Depending on your user role and batch status you will either see **View/Edit Classification** or **View Classification**. **View/Edit Classification** indicates that the user has view and edit permission. **View Classification** indicates the user has view classification permission and is not permitted to edit or delete a classification.

7. Click **Edit**. The *Account Classification* dialog box refreshes.
8. Enter or update the necessary account classification data.

- Select an **Agency 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).

- Enter the **Amount** and click **Add** for each subtotal of the batch

**Application Tip**

The classified total and batch total can remain unbalanced until the batch is approved. However, the **Variance** must equal \$0.00 before a batch can be approved. If it does not, you must go back and re-validate your subtotal entries.

**Application Tip**

To delete or remove an accounting code, check the **Remove** check box next to the accounting code you want to delete and click **Update**.

- Click **Save**



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.

Topic 11. Close a Batch

If you are assigned the role of **CCS**, **CCO** or **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 5. 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 resulted in a batch being updated to Acknowledgment Error. Batches that are in Acknowledged Error state have the ability to be re-uploaded

Note: All batches with a Received Date older than 18 months, including batches with an **Open** or **Closed** status, are saved in the Historical database and cannot be changed. Therefore, it is important that you close and approve all batches in a timely manner. For more details about Historical Reports refer to *Chapter 8. Reporting on Scanned Checks and Viewing Historical Reports, Topic 5. Historical Reports of the OTCnet Participant User Guide*.

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. A batch with **ACK ERROR** is eligible for re-upload. However, the batch is re-uploaded and is already successfully processed in Online, 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:

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

Figure 69. 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**.

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 criterion (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

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 (Closing Single Batch)

Search Batch
1

Search Batch

Batch Search Conditions

<< 1 - 1 >> of 1 Records

Select Check All / Clear All	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:
08/11/2014

To Date:
09/09/2014

Batch ID:

Cashier ID:

Batch Status:

Select Check All / Clear All	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	SENT	Successfully uploaded to host
<input type="checkbox"/>	ACKNOWLEDGED	Acknowledge that upload was complete
<input type="checkbox"/>	SEND ERROR	Error during upload
<input type="checkbox"/>	ACKNOWLEDGED ERROR	Error from host with the upload

Cancel
Search

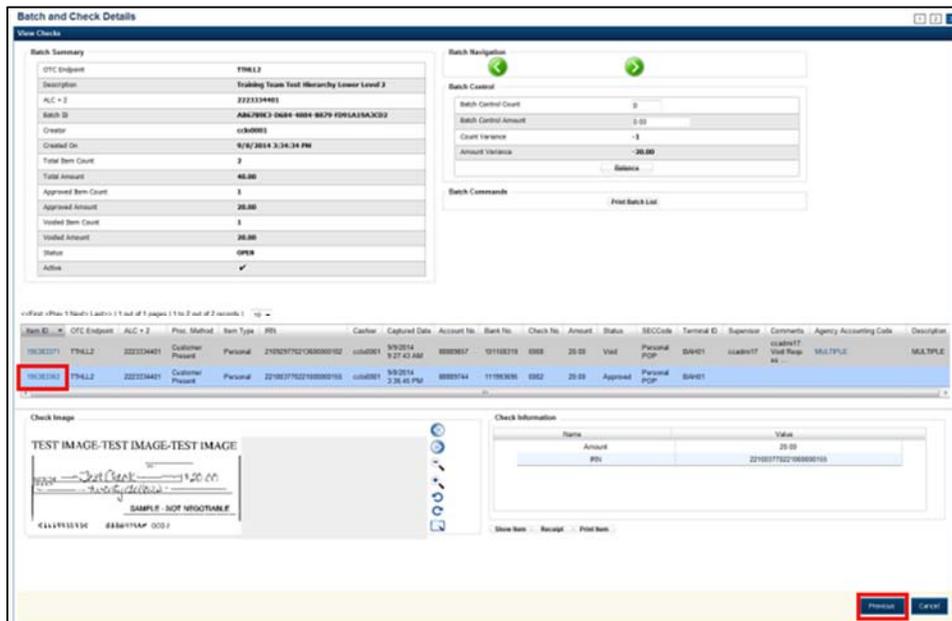
- The *View Batches* page appears. Click the **Batch ID** hyperlink.

Figure 71. 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 72. View Checks Page (Closing Single Batch)



- Select the batch you want to close by checking the box to the left of the **Batch ID**.
- Click **Close Batch**. The *Close Batch* page appears.

Figure 73. Select to Close Batch



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

Figure 74. Confirm Close Batch

Close Batch

Close Batch

Batches to be Closed

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
AB67B9E3-D684-4884-B879-FD91A19A3CD2	TTHLL2	2223334401	1	20.00

- Enter the **Batch Control Count** and **Batch Control Amount**, if your terminal is configured for this action on batch close.
- Click **Next**. The *Close Batch* page appears.

Figure 75. Batch Control

Batch Control

Batch Control

Batch Control Setup

Batch Detail	
OTC Endpoint	TTHLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401
Batch ID	AB67B9E3-D684-4884-B879-FD91A19A3CD2
Creator	ccl0001
Created On	09/08/2014 03:34:34 PM ET
Total Item Count	2
Total Amount	40.00
Approved Item Count	1
Approved Amount	20.00
Voided Item Count	1
Voided Amount	20.00
Batch Control Count:	<input type="text" value="1"/>
Batch Control Amount:	<input type="text" value="20.00"/>

- Click the **Print PDF Report** or **Export** and click **Confirm**.

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batch is not closed until **Confirm** is clicked.

Figure 76. Print PDF Report/Confirm Report Print

Close Batch 1 2 3 4 5

Close Batch

Batch List to be Closed

OTC Endpoint	Description	ALC + 2	Batch ID	Creator	Created On	Total Item Count	Total Amount	Approved Item Count	Approved Amount	Voided Item Count	Voided Amount
TTHLL2	Training Team Test Hierarchy Lower Level 2	2223334401	AB67B9E3-D684-4884-B879-FD91A19A3CD2	cdo0001	09/08/2014 03:34:34 PM ET	2	40.00	1	20.00	1	20.00

Please export or print the Batch List Report prior to selecting the 'Confirm' button

Cancel Print PDF Report Confirm

Export as
Word Export

1 / 2 59.3% Sign Find

SENSITIVE BUT UNCLASSIFIED
Batch List
OTCnet Endpoint: TTHLL2 - Training Team Test Hierarchy Lower Level 2 Batch: AB67B9E3-D684-4884-B879-FD91A19A3CD2
ALC+2: 2223334401 Date: 9/10/14 3:10 PM
Printed By: C CLO

KEY - (S)Status: (A)pproved, (V)oid, (T)ype: (P)ersonal, (N)onPersonal
Accounting Code/Description
MULTIPLE - Item is classified with more than one accounting codes
SUMMARY - Item is part of a batch classified at the Summary level
Processing Method: Customer Present

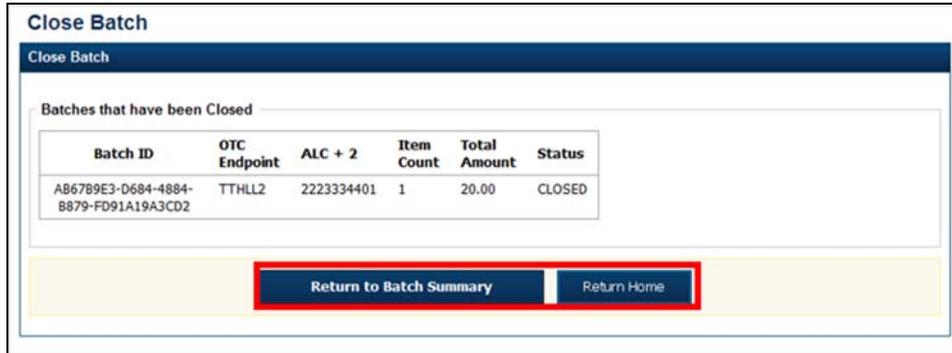
S/T	IRN	Capture Date Time	Bank No	Account No	Check No	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier	
V	2102977021362000	Tue Sep 09 09:27:43 EDT	101109319	88889807	0008	\$20.00		MULTIPLE	MULTIPLE	cdo0001	
A	2210037702210000	Mon Sep 08 16:36:48 EDT	111993686	88889744	0002	\$20.00				cdo0001	
Sub Total:						Count: 2	Amount: \$40.00				
Batch Total:						Count: 1	Amount: \$20.00				

9/10/14 3:10 PM Page 1 of 2
SENSITIVE BUT UNCLASSIFIED

- A *Close Batch* page appears verifying the batch has been closed.

- 11. Click **Return to Batch Summary**. The *View Batches* page appears. If a **CALO** 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.

Figure 77. Close Batch Confirmation



Closing Multiple Batches

To close 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 criterion (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.

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

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*

If the only search criterion 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** 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:

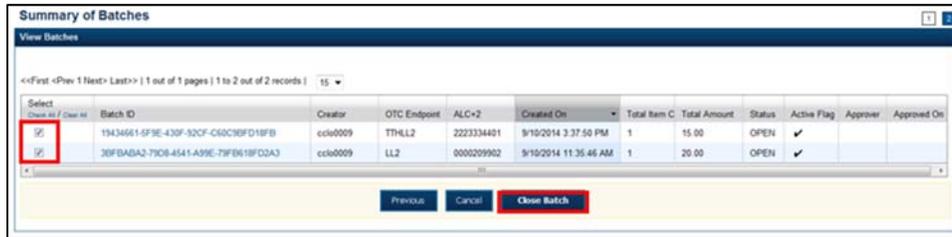
Option A. If you click **Close Batch**, you are taken directly to the *Close Batch Page*

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

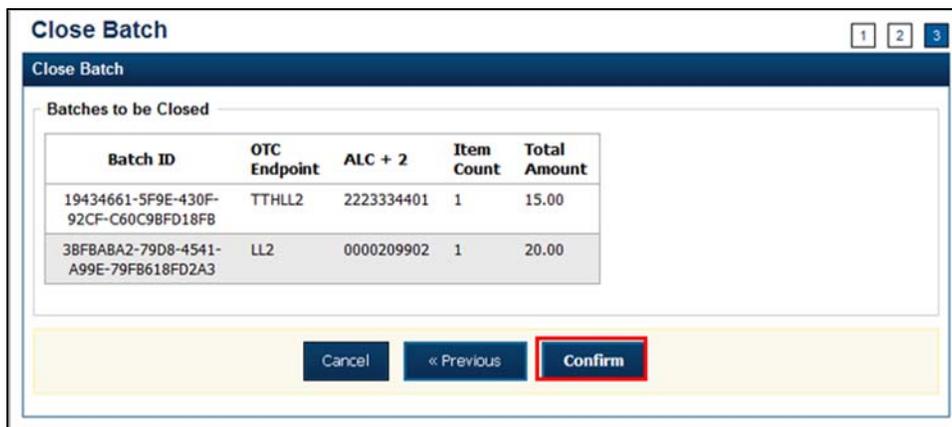
- Click **Confirm** the *View Batches* page appears. Select the batches you want to close by checking the box to the left of the **Batch ID** for each batch and click **Close Batch**

Figure 78. View Batches Page (Closing Multiple Batches)



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

Figure 79. Close Batch Confirmation (Closing Multiple Batches)



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

- 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 80. Batch Control Setup (Closing Multiple Batches)

Batch Detail	
OTC Endpoint	TTHLL2
Description	Training Team Test Hierarchy Lower Level 2
ALC + 2	2223334401
Batch ID	19434661-5F9E-430F-92CF-C60C9BFD18FB
Creator	cck0009
Created On	09/10/2014 03:37:50 PM ET
Total Item Count	1
Total Amount	15.00
Approved Item Count	1
Approved Amount	15.00
Voided Item Count	0
Voided Amount	0.00
Batch Control Count:	<input type="text" value="0"/>
Batch Control Amount:	<input type="text" value="0.00"/>

Buttons: Cancel, Skip, **Next >>**

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 81. Failed to Balance Batch

Failed to balance Batch 19434661-5F9E-430F-92CF-C60C9BFD18FB, please check batch control.

Batch Detail	
OTC Endpoint	TTHLL2

- The *Close Batch* page appears with the batch details. Click **Print PDF Report** or **Export** and click **Confirm** to close the batches.

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batches are not closed until **Confirm** is clicked.

Figure 82. Confirm Report Print (Closing Multiple)

Close Batch

Close Batch

Batch List to be Closed

OTC Endpoint	Description	ALC + 2	Batch ID	Creator	Created On	Total Item Count	Total Amount	Approved Item Count	Approved Amount	Voided Item Count	Voided Amount
TTHLL2	Training Team Test Hierarchy Lower Level 2	2223334401	19434651-5F9E-430F-92CF-C60C98FD18FB	cd0009	09/10/2014 03:37:50 PM ET	1	15.00	1	15.00	0	0.00
LL2	Lower Level 2	0000209902	38FBABA2-79DB-4541-A99E-79FB618FD2A3	cd0009	09/10/2014 11:35:46 AM ET	1	20.00	1	20.00	0	0.00

Please export or print the Batch List Report prior to selecting the 'Confirm' button

Export as

Word

1 / 5 59.3%

SENSITIVE BUT UNCLASSIFIED

Batch List

OTCNet Endpoint: TTHLL2 - Training Team Test Hierarchy Lower Level 2 Batch: 19434651-5F9E-430F-92CF-C60C98FD18FB

ALC+2: 2223334401 Date: 9/10/14 3:47 PM

Printed By: CI CLO

KEY - (S)atus: (A)pproved, (V)oid, (T)ype: (P)ersonal, (N)onPersonal

Accounting Code/Description

MULTIPLE - item is classified with more than one accounting codes

SUMMARY - item is part of a batch classified at the Summary level

Processing Method: Customer Present

ST	IRN	Capture Date Time	Bank No.	Account No.	Check No.	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier	
A	210929770213600002114	Wed Sep 10 15:38:28 EDT	04300029	77794724	0799	\$15.00				cd0009	
Sub Total:						Count: 1	Amount:	\$15.00			
Batch Total:						Count: 1	Amount:	\$15.00			

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SENSITIVE BUT UNCLASSIFIED

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

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.

Figure 83. Close Batch Confirmation (Closing Multiple)

The screenshot shows a web interface titled "Close Batch". Below the title is a sub-header "Close Batch". A section titled "Batches that have been Closed" contains a table with the following data:

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount	Status
19434661-5F9E-430F-92CF-C60C9BFD18FB	TTHLL2	2223334401	1	15.00	CLOSED
38FBABA2-79D8-4541-A99E-79FB618FD2A3	LL2	0000209902	1	20.00	CLOSED

At the bottom of the page, there are two buttons: "Return to Batch Summary" (highlighted with a red border) and "Return Home".

Close a Single or Multiple Batch(es)

To close a batch in OTCnet Offline:

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 **Batch Search Conditions**, *optional*

- Select the **OTC Endpoint** you want to **Close** 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 criterion (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**

**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**

Under **Batch Status**,

- Select the **Status** you want to close by checking the **Open** 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 **Print PDF Report** or **Export** and click **Confirm** to close the batch.



Application Tip

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batch is not closed until **Confirm** 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 **Return Home** 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 in OTCnet Offline:

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 **Batch Search Conditions**,

- Select the **OTC Endpoints** you want to **Close** a batch for by checking the **Open** boxes 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**

**Application Tip**

If the only search criterion 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**,

- Select the **Status** you want to close by checking the **Open** 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 **Print PDF Report** or **Export** and click **Confirm** to close the batches.

**Application Tip**

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batches are not closed until Confirm is clicked.

**Application Tip**

The system generates one report for all selected batches.

14. A *Close Batch* page appears verifying the batches have been closed.
15. Click **Return to Batch Summary**. The *View Batches* page appears.
16. Click **Return Home** 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 12. Approve a Batch

As a **CCS**, you are the only authorized user who, by default, can approve a batch or multiple batches. A **CCO** or **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:

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

Figure 84. Check Processing>Batch Management (Approving Single)



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.

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.

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

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*

If the only search criterion 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 85. Search Batch Page (Approve Single)

Search Batch
1

Search Batch

Batch Search Conditions

<<< 1 - 2 >>> of 2 Records

Select	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/> Check All / Clear All	LL1	0000209901	Lower Level 1
<input type="checkbox"/>	LL2	0000209902	Lower Level 2

Created On Date

From Date: 08/12/2014

To Date: 09/10/2014

Batch ID:

Cashier ID:

Batch Status:

Select	Status	Description
<input type="checkbox"/> Check All / Clear All	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	FORWARDED	Forwarded - sent for settlement

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

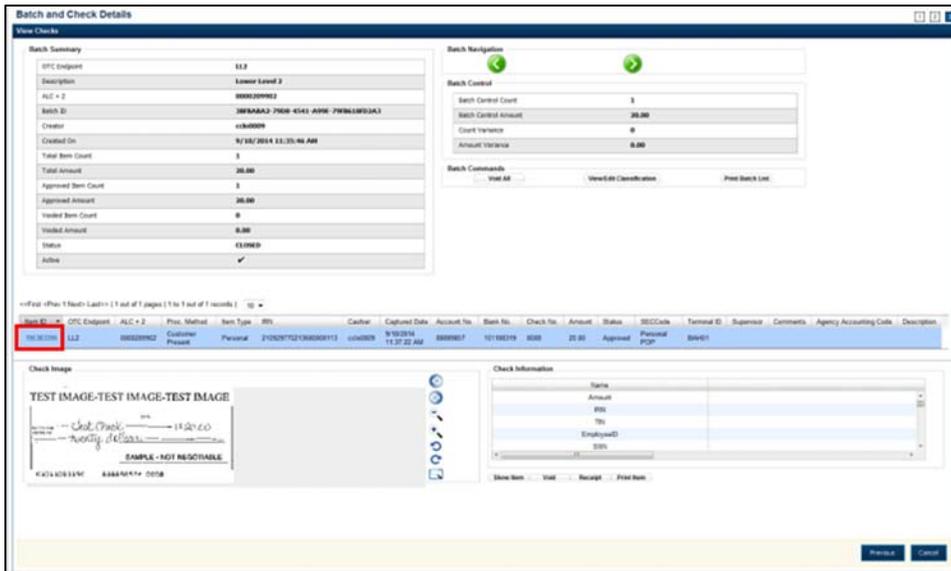
If a **CCS** closes a batch, it is automatically moved into Approved status. If a batch is closed by a **CCO** or a **CCLO** without approver permission; however, an approve button is available.

Figure 86. View Batches Page (Approve Single)



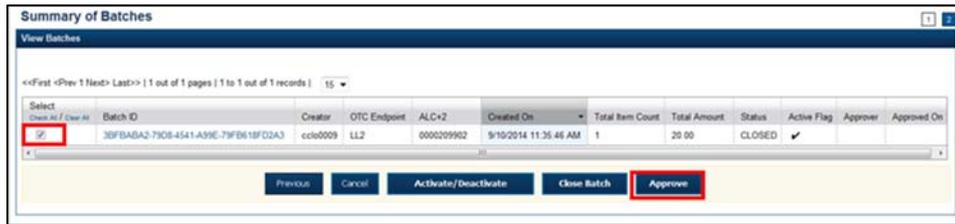
- The *View Checks* page appears. Click the **Item ID** of each scanned check (see Figure 72 below). An image of the check and details of the check appear in the window below. Verify the details are correct and click **Previous** to return to the View Batches page.

Figure 87. View Checks Page (Approve Single)



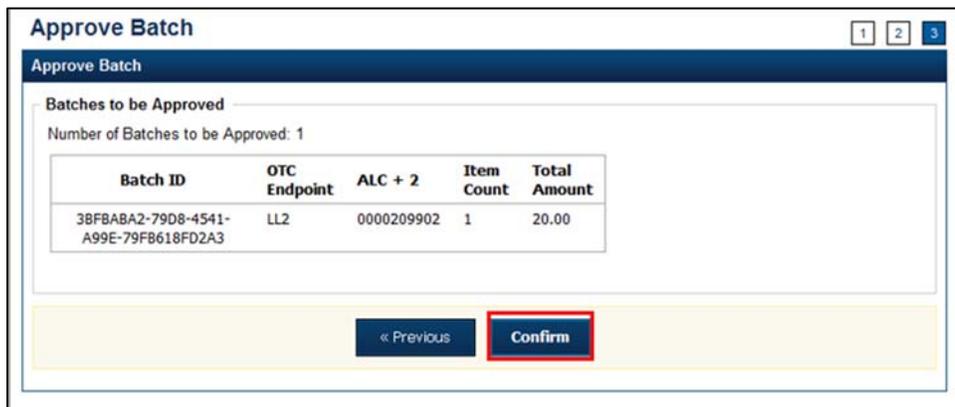
5. Select the batch you want to approve by checking the box to the left of the **Batch ID** and click **Approve**.

Figure 88. View Batches (Approve Single)



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

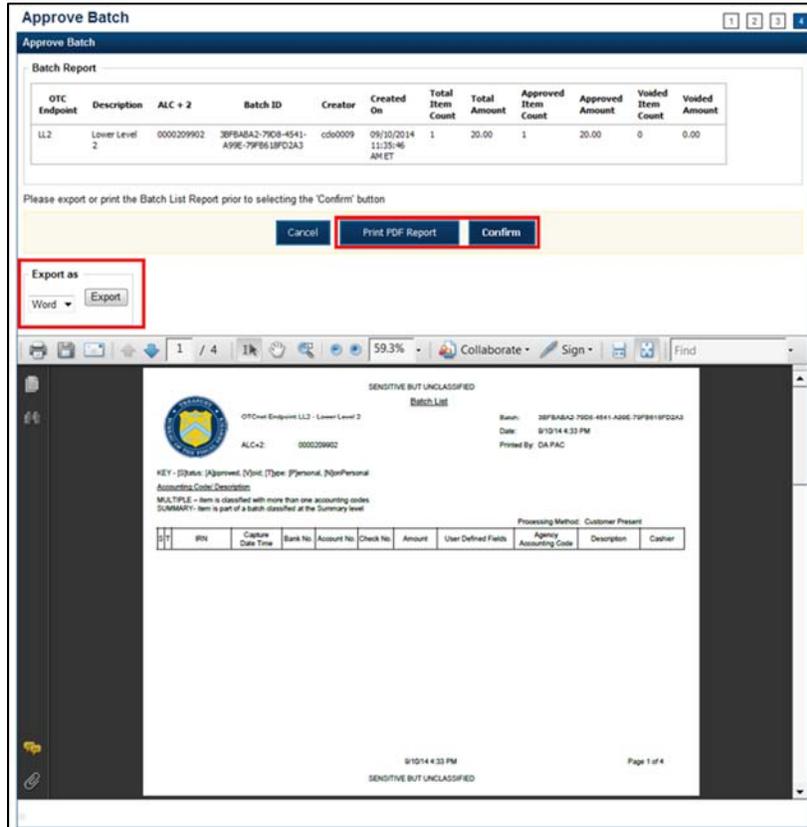
Figure 89. Confirm Batches to Approve (Approve Single)



- The *Approve Batch* page appears with the batch details. Click **Print PDF Report** or **Export** and click **Confirm** to approve.

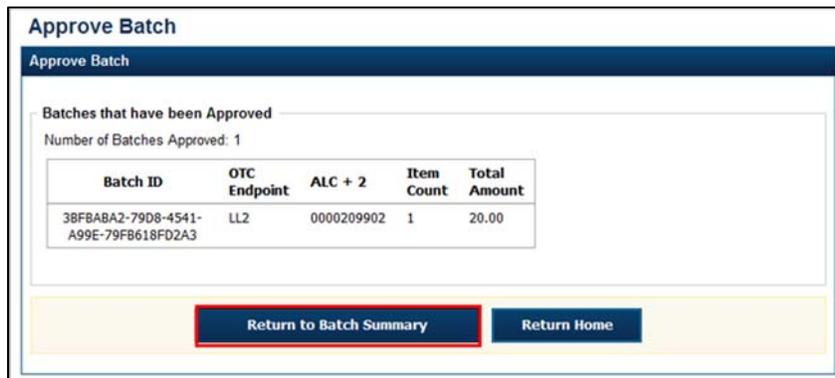
After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batch is not approved until **Confirm** is clicked.

Figure 90. Confirm Report Print To Approve (Approve Single)



- 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 91. Approve Batch Page (Approve Single)



Approve a Batch in OTCnet Offline

To approve a batch:

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**,

- Select the **OTC Endpoint** you want to **Approve** by checking the check 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**

**Application Tip**

If the only search criterion 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**,

- Select the **Status** you want to approve by checking the **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 **Print PDF Report** or **Export** and click **Confirm** to approve the batch.

**Application Tip**

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled.
The batch is not approved until **Confirm** 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 in OTCnet Offline

To approve multiple batches:

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

Figure 92. 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: 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.

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

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*

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 93. Search Batches (Approve Multiple Batches)

Search Batch
1

Search Batch

Batch Search Conditions

<< < 1 - 1 >> of 1 Records

Select <small>Check All / Clear All</small>	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date: 📅

To Date: 📅

Batch ID:

Cashier ID:

Batch Status:

Select <small>Check All / Clear All</small>	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	SENT	Successfully uploaded to host
<input type="checkbox"/>	ACKNOWLEDGED	Acknowledge that upload was complete
<input type="checkbox"/>	SEND ERROR	Error during upload
<input type="checkbox"/>	ACKNOWLEDGED ERROR	Error from host with the upload

Cancel
Search

- 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 94. View Batches Page (Approve Multiple)

Select	Batch ID	Creator	OTC Endpoint	ALC#2	Created On	Total Item C	Total Amount	Status	Active Flag	Approver	Approved
<input type="checkbox"/>	19434661-F9E-430F-92CF-C60C9FD18FB	cclo009	TTHL2	2223334401	9/10/2014 3:37:50 PM	1	15.00	CLOSED	✓		
<input type="checkbox"/>	0876582E-4260-4618-B333-1E53DA71A250	cclo003	TTHL2	2223334401	9/9/2014 3:42:50 PM	1	10.00	CLOSED	✓		
<input type="checkbox"/>	AD8789E3-D684-4884-B879-FD91A19A3C02	cclo001	TTHL2	2223334401	9/8/2014 3:34:34 PM	2	48.00	CLOSED	✓		
<input type="checkbox"/>	D93E3C52-D64C-4316-80E7-2560780A870D	cclo001	TTHL2	2223334401	8/20/2014 5:05:35 PM	1	1.00	CLOSED	✓		
<input type="checkbox"/>	CAD9FC55-9DEB-4FEE-AF20-4DBE65779E1F	cclo001	TTHL2	2223334401	8/20/2014 4:50:07 PM	2	15.00	CLOSED	✓		

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

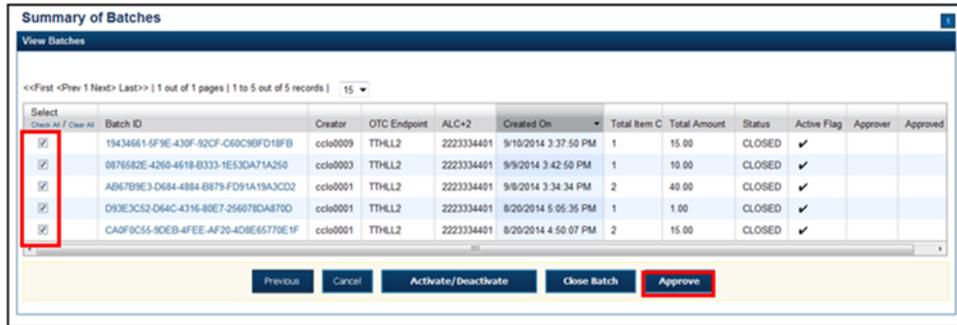
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Activate/Deactivate** to activate or deactivate a batch.
- Click **Close Batches** to close a batch.
- Click **<<First** to go to the first page. (Only appears if 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.

- 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.

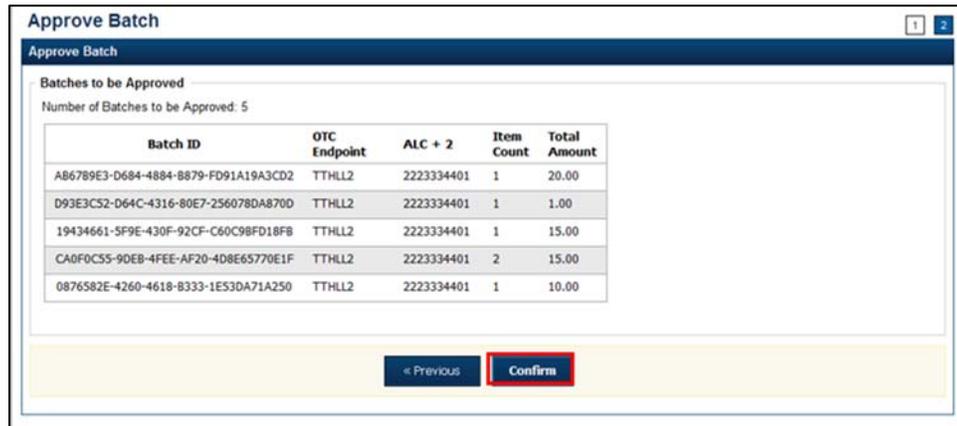
- Select the batches you want to approve by checking the box to the left of the **Batch ID** and click **Approve**

Figure 95. View Batches (Approve Multiple)



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

Figure 96. Confirm Batches (Approve Multiple)



- The *Approve Batch* page appears with the batches' details. Click **Print PDF Report** or **Export** and click **Confirm** to approve.

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batches are not approved until **Confirm** is clicked.

Figure 97. Confirm Report to Approve (Approve Multiple)

Approve Batch

Approve Batch

Batch Report

OTC Endpoint	Description	ALC + 2	Batch ID	Creator	Created On	Total Item Count	Total Amount	Approved Item Count	Approved Amount	Voided Item Count	Voided Amount
THLL2	Training Team Test Hierarchy Lower Level 2	2223334401	AB6789E3-D684-4884-8879-FD91A19A3CD2	cdo0001	09/08/2014 03:34:34 PM ET	2	40.00	1	20.00	1	20.00
THLL2	Training Team Test Hierarchy Lower Level 2	2223334401	D93E3C52-D6AC-4316-80E7-256078DA870D	cdo0001	08/20/2014 05:05:35 PM ET	1	1.00	1	1.00	0	0.00
THLL2	Training Team Test Hierarchy Lower Level 2	2223334401	19434661-5F9E-430F-92CF-C60C9FD18FB	cdo0009	09/10/2014 03:37:50 PM ET	1	15.00	1	15.00	0	0.00
THLL2	Training Team Test Hierarchy Lower Level 2	2223334401	CA0FOC55-90EB-4FEE-4C2D-4D8E65770E1F	cdo0001	08/20/2014 04:50:07 PM ET	2	15.00	2	15.00	0	0.00
THLL2	Training Team Test Hierarchy Lower Level 2	2223334401	0876582E-4260-4618-8333-1E53DA71A250	cdo0003	09/09/2014 03:42:50 PM ET	1	10.00	1	10.00	0	0.00

Please export or print the Batch List Report prior to selecting the 'Confirm' button

Cancel Print PDF Report Confirm

Export as Word Export

1 / 6 59.3% Sign Find

SENSITIVE BUT UNCLASSIFIED

Batch List

OTCnet Endpoint: THLL2 - Training Team Test Hierarchy Lower Level 2 Batch: AB6789E3-D684-4884-8879-FD91A19A3CD2

ALC+2: 2223334401 Date: 9/11/14 9:09 AM

Printed By: CB CAdmin

KEY - [A]Approved, [V]Void, [T]Type, [P]Personal, [Q]Personal

Accounting Code Description

MULTIPLE - Item is classified with more than one accounting codes

SUMMARY - Item is part of a batch classified at the Summary level

Item	IRN	Capture Date Time	Bank No.	Account No.	Check No.	Amount	User Defined Fields	Agency Accounting Code	Description	Cashier
1	21102077621040000000	Tue Sep 09 16:27:43 EDT	40108318	88888887	0008	\$20.00		MULTIPLE	MULTIPLE	cdo0001
2	21102077621040000000	Tue Sep 09 16:36:48 EDT	11189308	88889744	0002	\$20.00				cdo0001

Sub Total Count: 2 Amount: \$40.00

Batch Total Count: 1 Amount: \$20.00

9/11/14 9:09 AM Page 1 of 6

SENSITIVE BUT UNCLASSIFIED

8. An *Approve Batch* page appears verifying the batches have been approved. Click **Return to Batch Summary**. Verify that you want to approve the batch and click **Confirm**. After a batch is approved, the Status changes from **Closed** to **Approved** and The *Approve Batch* page appears with the batch details, except under one of these two scenarios. First, if a batch has been designated for summary level classification and the batch classification is not balanced. Second, if a batch is designated to be classified at the summary level and it is a GWA reporter, and the batch is not classified Under these two scenarios the batch status is **Closed**. After the batch is classified and balanced, the batch can be approved.

Figure 98. Approve Batch (Batches that have been Approved)

Approve Batch

Approve Batch

Batches that have been Approved

Number of Batches to be Approved: 5

Batch ID	OTC Endpoint	ALC + 2	Item Count	Total Amount
AB6789E3-D684-4884-8879-FD91A19A3CD2	TTHLL2	2223334401	1	20.00
D93E3C52-D64C-4316-80E7-256078DA870D	TTHLL2	2223334401	1	1.00
19434661-5F9E-430F-92CF-C60C98FD18FB	TTHLL2	2223334401	1	15.00
CA0FOC55-9DEB-4FEE-AF20-4D8E65770E1F	TTHLL2	2223334401	2	15.00
0876582E-4260-4618-8333-1E53DA71A250	TTHLL2	2223334401	1	10.00

Return to Batch Summary

Return Home

Approve Multiple Batches in OTCnet Offline

To approve multiple batches:

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**,

- Select the **OTC Endpoint** you want to **Approve** by checking the check 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**

**Application Tip**

If the only search criterion 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**,

- Select the **Status** you want to approve by checking the **Closed** box(es) 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. 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 **Print PDF Report** or **Export** and click **Confirm** to approve the batches.

**Application Tip**

After **Print PDF Report** or **Export** is clicked, the **Confirm** button is enabled. The batches are not approved until **Confirm** 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**, except under one of these two scenarios. First, if a batch has been designated for summary level classification and the batch classification is not balanced. Second, if a batch is designated to be classified at the summary level and it is a GWA reporter, and the batch is not classified. Under these two scenarios the batch status is Closed. After the batch is classified and balanced, the batch can be approved.

Topic 13. Upload a Batch

If you are assigned the role of **CCS**, **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 in 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:

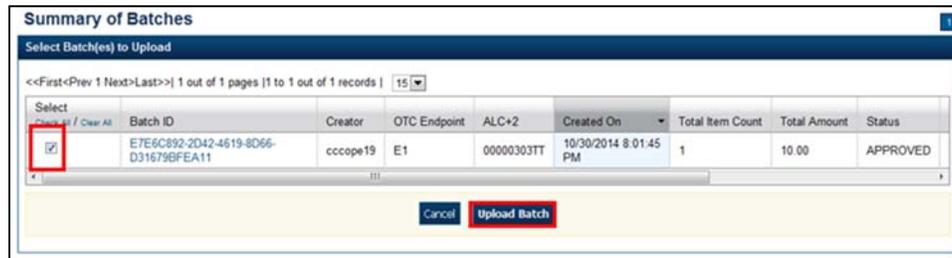
1. Click the **Check Processing** tab and then click **Upload Batch**

Figure 99. Upload Batch



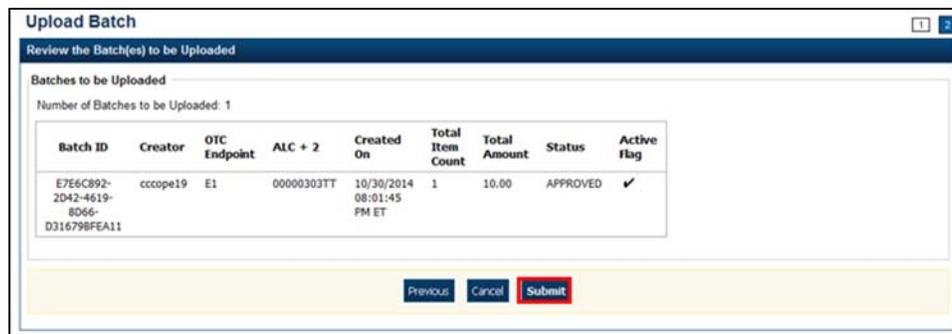
2. When the *Summary of Batches* page appears, select the batches to upload by clicking the check box and then selecting **Upload Batch**

Figure 100. Upload Batch – Summary of Batches



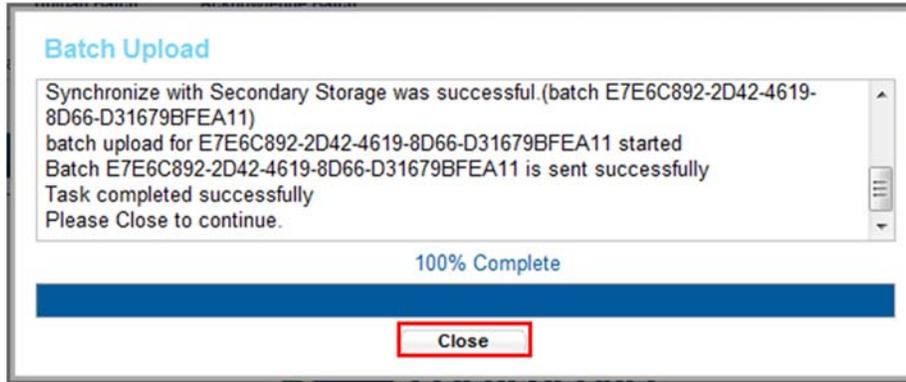
3. When the *Review Batch(es) to be Uploaded* page appears, verify that the correct batches are in queue to be uploaded and click **Submit**

Figure 101. Upload Batch – Review Batches to Upload



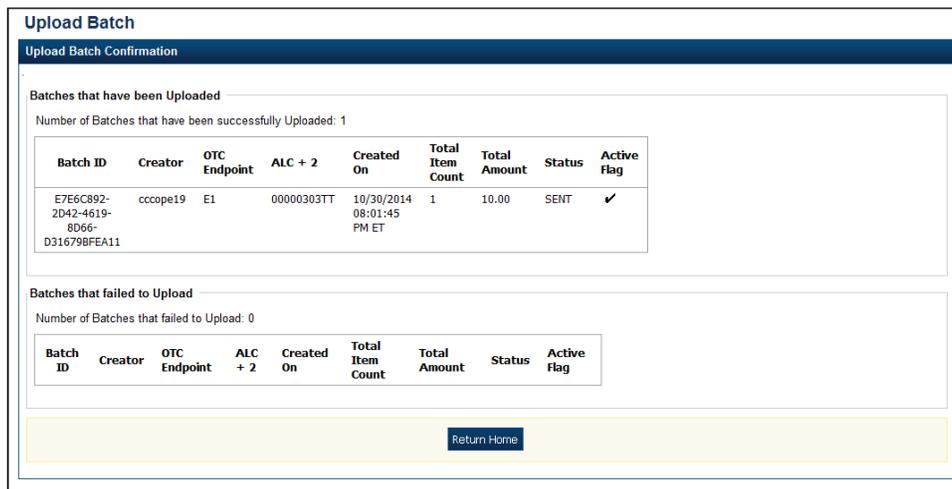
- Once the batch upload task has been completed successfully, click **Close**.

Figure 102. Batch Upload Task Completed Successfully



- The *Upload Batch Confirmation* page appears, verifying that the batch(es) have been successfully uploaded

Figure 103. Upload Batch Confirmation



Upload a Batch in OTCnet Offline

To upload a batch(es):

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** (TWA) 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 14. Acknowledge a Batch

If you are assigned the role of **CCS**, **CCO/CCLO**, or **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:

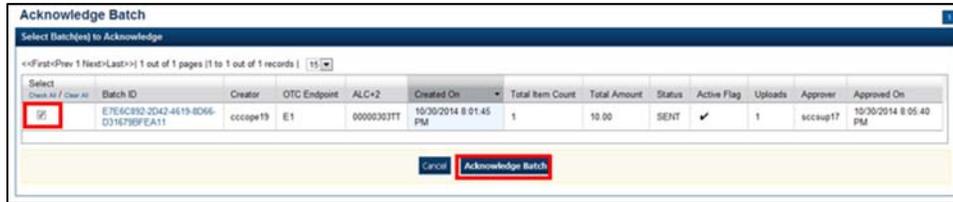
1. Click the **Check Processing** tab and then click **Acknowledge Batch**.

Figure 104. Acknowledge Batch



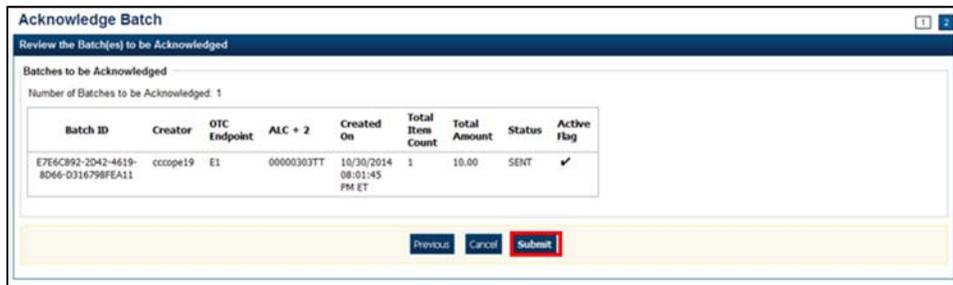
- Once the *Select Batches to Acknowledge* page appears, select the batches to acknowledge by clicking the corresponding check box and then click **Acknowledge Batch**

Figure 105. Select Batches to Acknowledge



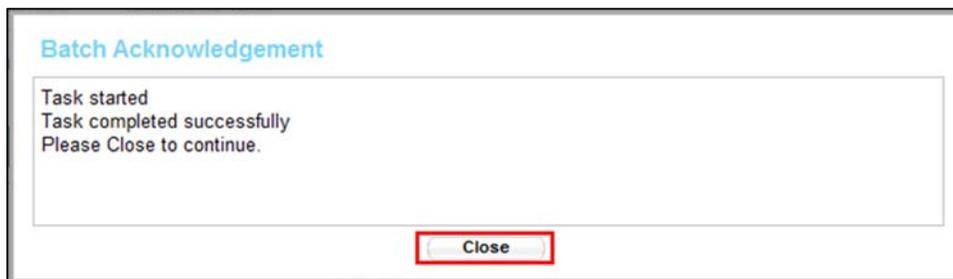
- When the *Review the Batch(es) to be Acknowledged* page appears, verify the correct batches are in queue to be acknowledged and then click **Submit**

Figure 106. Review the Batch(es) to be Acknowledged



- After the batch acknowledgement task has been successfully completed, click **Close**

Figure 107. Batch Acknowledge



5. A *Confirmation* page appears, verifying that the batch(es) has been successfully acknowledged

Figure 108. Acknowledge Batch Confirmation

Acknowledge Batch									
Acknowledge Batch Confirmation									
Batches that have been Acknowledged									
Number of Batches that have been successfully Acknowledged: 0									
Batch ID	Creator	OTC Endpoint	ALC + 2	Created On	Total Item Count	Total Amount	Status	Active Flag	
Batches that failed to Acknowledge									
Number of Batches that failed to Acknowledge: 1									
Batch ID	Creator	OTC Endpoint	ALC + 2	Created On	Total Item Count	Total Amount	Status	Active Flag	
E7E6C892-2D42-4619-8D66-0316798FEA11	cccpe19	E1	00000303TT	10/30/2014 08:01:45 PM ET	1	10.00	SENT	✓	
Return Home									

Acknowledge a Batch in OTCnet Offline

To acknowledge batch(es):

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 15. Print a Receipt

Receipts are available for printing if the CCA configures the terminal beforehand in OTCnet. If your Agency requires a specific receipt layout, contact your Deployment Specialist at fiscalservice.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, **CCO**, **CCLOs**, and **CCSs** 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 (Single/Batch Mode)

To print a receipt from batch management:

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 109. Receipt Print Image (Scan Check)

Transaction saved successfully. IRN: 210929770213600000119. Amount: \$10.00. Please click receipt button to continue.

Agency Form Data

User: ccto0001
Processing Method: Customer Present
Item Type: Non Personal
Amount: 10.00

IRN: 210929770213600000119
Bank Number: 322284698
Check Number: 0233
Account Number: 44446041

Agency Accounting Code
0101010101 - Accounting Code
Agency Accounting Code: 0101010101
Description: Accounting Code 1

Scanned Check Image

Processing Mode
SINGLE CHECK MODE

Batch
Total Item Count: 1
Key Item Count: 1/1

OTC Endpoint:
Short name:
TTHLL2
Description:
Training Team Test Hierarchy
Lower Level 2

ALC - Z:
222334401

Processing Method:
Customer Present

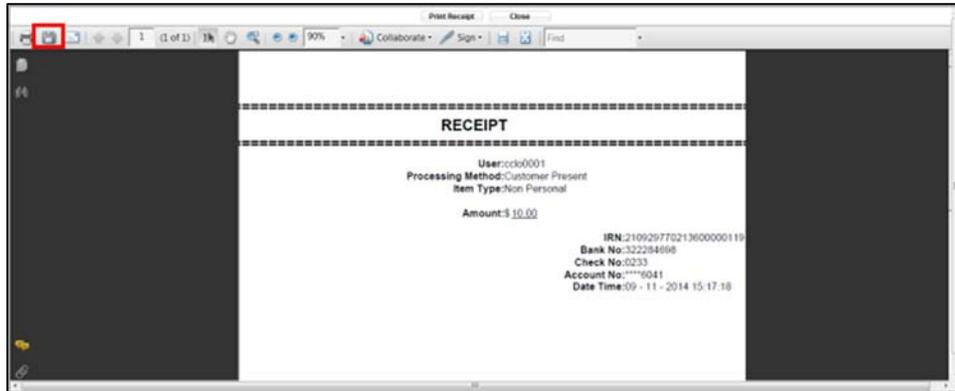
Item Type:
Non-Personal

Scan Controls:
Start Scan
Cancel
Receipt
Clear Form
Save
Scanner Config

TEST IMAGE

3. The receipt appears. Click **Print** to print the receipt and close the receipt

Figure 110. 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 (Single/Batch Mode)

To print a receipt from batch management:

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

Figure 111. Batch Management (Receipt)



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

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.

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

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*

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 112. Search Batch (Receipt)

Search Batch 1

Search Batch

Batch Search Conditions

<< < 1 - 1 >> of 1 Records

Select Check All / Clear All	OTC Endpoint	ALC + 2	Description
<input type="checkbox"/>	TTHLL2	2223334401	Training Team Test Hierarchy Lower Level 2

Created On Date

From Date:

To Date:

Batch ID:

Cashier ID:

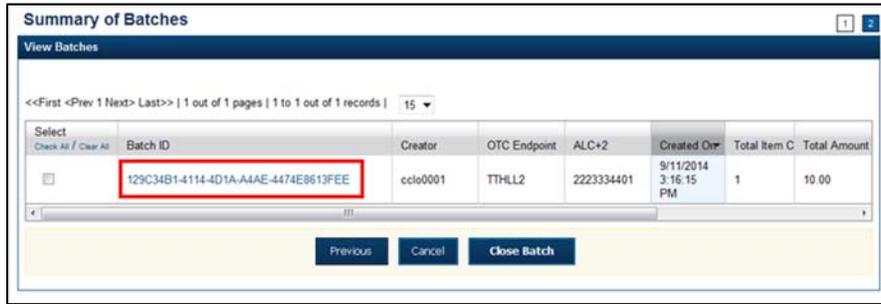
Batch Status:

Select Check All / Clear All	Status	Description
<input type="checkbox"/>	OPEN	Open - accepting new checks
<input type="checkbox"/>	CLOSED	Closed - no new checks
<input type="checkbox"/>	APPROVED	Approved - ready for settlement process
<input type="checkbox"/>	SENT	Successfully uploaded to host
<input type="checkbox"/>	ACKNOWLEDGED	Acknowledge that upload was complete
<input type="checkbox"/>	SEND ERROR	Error during upload
<input type="checkbox"/>	ACKNOWLEDGED ERROR	Error from host with the upload

Cancel
Search

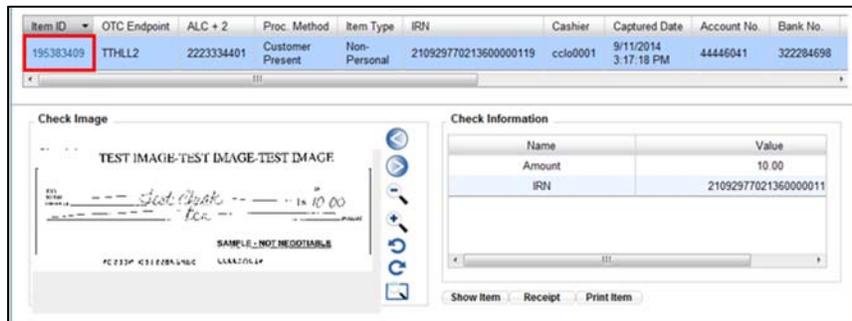
- The *View Batch* page appears. Click the **Batch ID** hyperlink. If a batch is in use and another user attempts to access the same batch, a Batch Lock message appears stating the batch is in use and he/she cannot access the batch.

Figure 113. Summary of Batches (View Batches)



- 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 114. View Checks Page (Receipt)

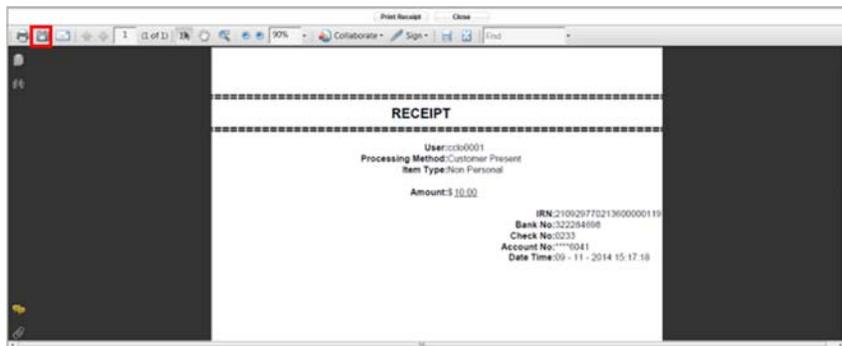


Note: Click **Show Item** to view more details about the check.

- The receipt appears. Click **Print** to print the receipt and close the receipt window.

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.

Figure 115. Print Receipt





Print a Receipt

To print a receipt from Check Scan functionality: *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: *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.

Glossary

A

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 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report – A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report – A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager – A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 roles 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.

Bureau of the Fiscal Service (FS) – (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator – An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Image Report – A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number – The printed number of the check writer's check.

CIRA CSV Historical Report – A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) – A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status – Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR) – (formerly 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.

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 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.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate – The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed – The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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 FS’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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) – It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers’ maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR Transmission Status for Check Processing – A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number – The number assigned to a deposit by OTCnet.



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Chapter 7: Reporting on Scanned Checks and Viewing Historical Reports

OTCnet Participant User Guide

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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 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 an ACR Activity 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 a Statistical Report
- How to view CIR Transmission Status for Check Processing Report
- How to view and download Historical Reports

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
 - LVD Contents Report
 - Organizational Hierarchy Report
 - 215 Deposit Ticket Report
 - 5515 Debit Voucher Report
 - ACR Activity Report
4. Administration Reports
 - CIRA Transmission Summary Report
 - CIRA Transmission (Detailed) Summary Report
 - Statistical Report
 - View CIR Transmission Status for Check Processing
5. Historical Reports
 - CIRA CSV Historical Report
 - View Previously Generated Historical Reports

Topic 1. Purpose of Accessing Check Processing Reports

In this chapter, you will learn how to run and print **Check Processing reports**, query using the **View CIRA** functionality, as well as query and download **Historical reports**. Based on your user role, you will be able to 1) access one or more of the Check Processing reports, 2) view a CIRA record, and 3) view and download Historical 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 11 reports a user may have access to view and download/ print (see Table 1).

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.
Check Image	View the front and back images of the checks for IRNs requested.
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 searchable using a date range of up to 45 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 searchable using a date range of up to 45 days.
ACR Activity Report	View detailed information about transactions that were adjusted, corrected, or reversed/rescinded.
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.
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 searchable using a date range of up to 15 days.
View CIR Transmission Status for Check Processing	View the status of CIR files that have been processed by CIR or are ready for CIR processing.

Guidance for Handling OTCnet Reports Marked with Sensitive But Unclassified

OTCnet users must safeguard reports generated from OTCnet that are marked as sensitive but unclassified (SBU) and only share these on a need to know basis. OTCnet reports marked as SBU must be safely destroyed (e.g. shredded or electronically deleted) when no longer needed.

Users should avoid transferring reports generated from OTCnet that are marked as SBU. If it is necessary to transfer an SBU OTCnet report, users must adhere to the “need-to-know” principle and perform the transfer in a secure fashion, encrypting the data before transferring it electronically and providing the encryption key to the recipient using a separate medium from the transfer method (e.g. by phone if the document is sent by email or by email if the document is sent using a secure transfer utility). The encryption algorithm used must be NIST-approved (e.g. AES-256).

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.

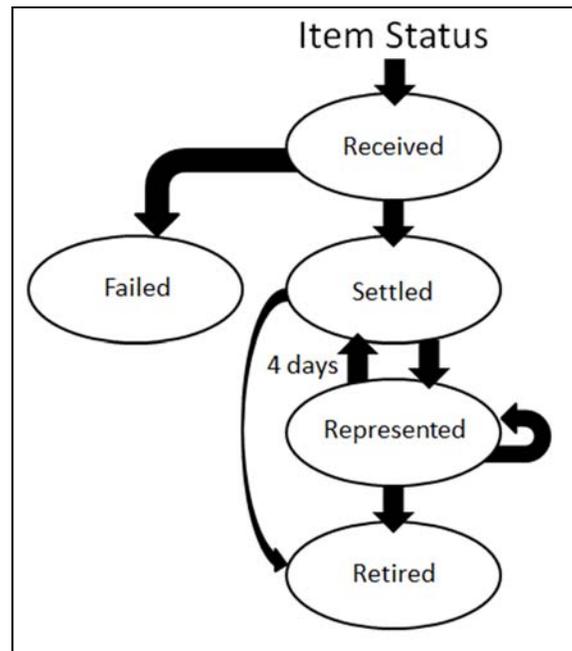
Search Criteria Includes:

- 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 1). 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/BFS. 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 9. 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

Follow the steps below to view a **CIRA record**.

1. Click the **Check Processing** tab. Click **CIRA Query** (see Figure 2).

Figure 2. Select Check Processing>CIRA Query



2. The *CIRA Query* page appears. Enter the search criteria for the report you would like to view (see Figure 3).

Under **Search Criteria**,

- Select the **OTC Endpoint**, *required*

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**

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.

3. To search for a transaction:
 - a. Using the CIRA Query criteria, enter the search criteria and click **Search** to initiate search, as shown in Figure 3.
 - Under CIRA Query,
 - Select the **Form Name**
 - Select the **Deploy Date**

By default, the **CIRA Query** screen is expanded. If the **CIRA Query** screen is expanded, the **Search ACR Transaction** screen is collapsed.

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**

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**

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**

The **5515/Debit Voucher Number** represents items returned to an agency due to unsuccessful collection efforts.

- Enter the **215/Deposit Ticket Number**

The **215/Deposit Ticket Number** represents items credited into FRB CA\$HLINK 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 rangeOr
 - Select the **On** Received Date

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.

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

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**.

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

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.

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

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.

- Select the **To** Date range

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.

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 Expanded

CIRA Query 1

Enter search criteria for the CIRA Item(s) you would like to view.

* Denotes required fields.

Search Criteria

OTC Endpoint: *

Configured OTC Endpoints
 << < 1-1 >> of 1 Records

Select	OTC Endpoint	Highest Level Organization
<input type="checkbox"/>	ALL	

Include Subordinates

CIRA Query

Form Name:

Deploy Date:

User Defined Fields

User Defined Field 1:

User Defined Field 2:

User Defined Field 3:

User Defined Field 4:

Account:

Bank Routing Number:

IRN:

Check Number:

Check Amount:

Settlement Status:

5515/Debit Voucher Number:

215/Deposit Ticket Number:

Cashier ID:

Batch ID:

Received Date:

From:

To:

Check Capture Date:

From:

To:

Settlement Date:

From:

To:

Return Settlement Date:

From:

To:

Search ACR Transaction

Or

- b. To query for an ACR transaction, enter the search criteria and click **Search** to initiate search, as shown in Figure 4.

- Select an **ACR Type**

Search ACR Transaction options include **All ACR**, **Adjustment**, **Correction**, and **Rescission**.

- Select an **ACR Reason Code**

ACR Reason Code options include **Duplicate Transaction Processed**, **Non-Cash Item**, **Transaction Amount Correction**, **Representment**, **Warranty Indemnity Claim**, **Voucher Date Change**, **Voucher Number Change**, **Account Switch**, **Transaction Account Switch**, and **ACH Reversal**.

- Enter an **ACR Voucher Number**

The maximum numeric characters value for **ACR Voucher Number** is six.

- Enter the **ACR Settlement range**

The maximum date range for the **From** and **To ACR Settlement** range is 90 days.

4. Click **Search** to initiate search (see Figure 4).

Figure 4. Search ACR Transaction

The screenshot shows a web form titled "Search ACR Transaction". The form contains the following fields and controls:

- ACR Type:** A dropdown menu with "ALL ACR" selected.
- ACR Reason Code:** A dropdown menu with "-- Select --" selected.
- ACR Voucher Number:** A text input field.
- ACR Settlement Date:** A date range selector with "From" and "To" dropdowns. The "From" date is 06/29/2014 and the "To" date is 09/26/2014. Each date field has a calendar icon to its right.

At the bottom of the form, there is a yellow bar containing four buttons: "Cancel", "Clear", "Search" (highlighted with a red border), and "Count".

The *Count* table and *Search Results* table appears. Click the **IRN** of the check whose details details you would like to view (see Figure 5 and

Count

Total Records:	660
Total Check Amount:	\$ 55,342,846.05

<< < 1 - 10 >> of 100 Records Click the IRN number if you would like to view additional details.

IRN >	OTC Endpoint >	ALC + 2 >	Capture Dates >	Bank Routing Number >	Account Number >	Check Amount >	Cashier ID >	Item Type >	Processing Method >	Batch ID >
181016770211000001698	TTHLL2	2223334401	09/22/2014 11:07:44	031100267	12345678	\$22.44	qcco0003	Personal	Customer Not Present	9F908BC9-F3CF-4078-8538-36C9DA9F63A
230604900104200000582	TTHLL2	2223334401	09/22/2014 11:17:12	021000018	12345678	\$456.00	qcco0003	Non-Personal	Customer Present	A1355E80-68F5-4FD1-8096-6A840540EAD2
230604900104200000583	TTHLL2	2223334401	09/22/2014 11:18:43	021000018	12345678	\$128.00	qcco0003	Non-Personal	Customer Present	A1355E80-68F5-4FD1-8096-6A840540EAD2
230604900104200000584	TTHLL2	2223334401	09/22/2014 11:23:51	021000018	12345678	\$456.00	qcco0003	Non-Personal	Customer Present	A1355E80-68F5-4FD1-8096-6A840540EAD2
230604900104200000585	TTHLL2	2223334401	09/22/2014 11:24:52	044000804	12345678	\$1278.00	qcco0003	Personal	Customer Present	A1355E80-68F5-4FD1-8096-6A840540EAD2
996412026312790226457	TTHLL2	2223334401	09/22/2014 14:05:20	021113102	37373739	\$100.00	qcco0003	Personal	Customer Present	2ECA2475-BE6A-44A8-AE08-9551D8FCFB4F
996226086644650071822	TTHLL2	2223334401	09/22/2014 14:34:45	021113102	37373739	\$100.00	qcco0003	Personal	Customer Present	2ECA2475-BE6A-44A8-AE08-9551D8FCFB4F
230604900104200000586	TTHLL2	2223334401	09/22/2014 16:41:43	021000322	12345678	\$456.00	qcco0003	Personal	Customer Present	1532A68C-1F48-4943-AF93-7CC6868F7767
230604900104200000587	TTHLL2	2223334401	09/22/2014 16:51:46	031100209	12345677994	\$45.00	qcco0003	Personal	Customer Present	F4254CA7-3A40-4FD7-B9EA-E4EE468EC9FA
181016770211000001707	TTHLL2	2223334401	09/23/2014 13:16:42	031100267	12345678	\$230.00	qcco0003	Personal	Customer Present	C2405965-C0BC-4981-A98B-778CD4582887

<< < 1 - 10 >> of 100 Records
The first 100 items are displayed out of 660. Total Checks Amount: 55342846.05

5. Figure 6).

Figure 5. CIRA Query Results Showing Count and IRN Table

Count

Total Records:	660
Total Check Amount:	\$ 55,342,846.05

<< < 1 - 10 >> of 100 Records Click the IRN number if you would like to view additional details.

IRN >	OTC Endpoint >	ALC + 2 >	Capture Dates >	Bank Routing Number >	Account Number >	Check Amount >	Cashier ID >	Item Type >	Processing Method >	Batch ID >
181016770211000001698	TTHLL2	2223334401	09/22/2014 11:07:44	031100267	12345678	\$22.44	qcco0003	Personal	Customer Not Present	9F908BC9-F3CF-4078-8538-36C9DA9F63A
230604900104200000582	TTHLL2	2223334401	09/22/2014 11:17:12	021000018	12345678	\$456.00	qcco0003	Non-Personal	Customer Present	A1355E80-68F5-4FD1-8096-6A840540EAD2
230604900104200000583	TTHLL2	2223334401	09/22/2014 11:18:43	021000018	12345678	\$128.00	qcco0003	Non-Personal	Customer Present	A1355E80-68F5-4FD1-8096-6A840540EAD2
230604900104200000584	TTHLL2	2223334401	09/22/2014 11:23:51	021000018	12345678	\$456.00	qcco0003	Non-Personal	Customer Present	A1355E80-68F5-4FD1-8096-6A840540EAD2
230604900104200000585	TTHLL2	2223334401	09/22/2014 11:24:52	044000804	12345678	\$1278.00	qcco0003	Personal	Customer Present	A1355E80-68F5-4FD1-8096-6A840540EAD2
996412026312790226457	TTHLL2	2223334401	09/22/2014 14:05:20	021113102	37373739	\$100.00	qcco0003	Personal	Customer Present	2ECA2475-BE6A-44A8-AE08-9551D8FCFB4F
996226086644650071822	TTHLL2	2223334401	09/22/2014 14:34:45	021113102	37373739	\$100.00	qcco0003	Personal	Customer Present	2ECA2475-BE6A-44A8-AE08-9551D8FCFB4F
230604900104200000586	TTHLL2	2223334401	09/22/2014 16:41:43	021000322	12345678	\$456.00	qcco0003	Personal	Customer Present	1532A68C-1F48-4943-AF93-7CC6868F7767
230604900104200000587	TTHLL2	2223334401	09/22/2014 16:51:46	031100209	12345677994	\$45.00	qcco0003	Personal	Customer Present	F4254CA7-3A40-4FD7-B9EA-E4EE468EC9FA
181016770211000001707	TTHLL2	2223334401	09/23/2014 13:16:42	031100267	12345678	\$230.00	qcco0003	Personal	Customer Present	C2405965-C0BC-4981-A98B-778CD4582887

<< < 1 - 10 >> of 100 Records
The first 100 items are displayed out of 660. Total Checks Amount: 55342846.05

Figure 6. Search ACR Transaction Results Showing Count and IRN Table

The screenshot shows a web interface with a yellow header bar containing buttons for 'Cancel', 'Clear', 'Search', and 'Count'. Below the header, a 'Count' section displays 'Total Records: 2' and 'Total Check Amount: \$ 273.00'. A navigation bar shows '<< 1 - 2 >> of 2 Records' and a note to 'Click the IRN number if you would like to view additional details.' The main table has columns: IRN, OTC Endpoint, ALC + 2, ACR Type, ACR Reason Code, ACR Voucher Date, ACR Voucher Number, ACR Settlement Date, ACR Credit Indicator, Check Amount, and ACR Amount. Two rows are shown, with the first row's IRN highlighted in red.

IRN >	OTC Endpoint >	ALC + 2 >	ACR Type >	ACR Reason Code >	ACR Voucher Date >	ACR Voucher Number >	ACR Settlement Date >	ACR Credit Indicator >	Check Amount >	ACR Amount >
230604900104200000547	0000000000	0000000000	Adjustment	Representation	09/22/2014	800002	09/22/2014	Credit	\$125.00	\$150.00
230604900104200000572	0000000000	0000000000	Adjustment	Representation	09/23/2014	800002	09/23/2014	Credit	\$148.00	\$148.00

Navigation: << 1 - 2 >> of 2 Records
The first 2 items are displayed out of 2. Total Checks Amount: 273.00

- The *CIRA Details* page appears showing the **Check Details**, **User Defined Fields**, **Check Image** and **Check History** details (see Figure 7) or CIRA Details page showing ACR Transaction details (see Figure 8).

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**, **Return**, **Settlement Date** or **ACR Settlement date**. The system will display an error message to you if you attempt to search for results beyond the configured range.

Figure 7. CIRA Details Page

CIRA Details

View CIRA Item Details

The following is the current information for the CIRA item.

Check Details

IRN:	181016770211000001698
Settlement Status:	Settled
ALC or DSSN Code:	000000000
Capture Date:	09/22/2014 11:07:44
Received Date:	09/22/2014 11:07:44
Bank Account Number:	12345678
Bank Routing Number:	031100267
Check Number:	0147
Check Amount:	22.44
Batch ID:	9F90BBC9-F3CF-4078-8538-36C9DAA9F63A
Cashier ID:	qcco0003
Item Type:	Personal
Processing Method:	Customer Not Present
Agency Accounting Code:	SUMMARY
Description:	SUMMARY
215/Deposit Ticket Number:	000982
5515/Debit Voucher Number:	
Settlement Date:	09/23/2014
Return Settlement Date:	
Voucher Date:	09/23/2014

User Defined Fields

DATE_RCVD	09/22/2014
PYMT_TYPE	RX
PAYR_NAME	Test

Check Image

DATE _____

• PAY TO THE ORDER OF _____ \$ _____ DOLLARS

SAMPLE - VOID

NON-NEGOTIABLE

FOR _____

⑆03 100267⑆ 2345678⑆ 0147⑆

Zoom In Zoom Out Save Zoom Original Fit Width Rotate Left Rotate Right Print Download

Check History

Item ID	Insert Time	Bank	215/Deposit Ticket Number	5515/Debit Voucher Number	Rep Effective Date	Settlement Date	Return Settlement Date	Settlement Status	Settlement Method	CIR Transmission Status	CIR Transmission Status Timestamp
195383525	Sep 22, 2014		000982			Sep 23, 2014		413 - Completed ACH Origination	ACH	ItemToTRSSent	09/23/2014 09:42:46 AM ET
195383525	Sep 22, 2014		000982			Sep 23, 2014		413 - Completed ACH Origination	ACH	ItemToTRSCreated	09/23/2014 09:41:19 AM ET

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Last modified by SYSTEM on 09/22/2014

Figure 8. CIRA Details Page Showing ACR Details

CIRA Details

View CIRA Item Details

The following is the current information for the CIRA item.

Check Details

Item:	230604900104200000547
Settlement Status:	Retired
ALC or DSSN Code:	00000000
Capture Date:	09/16/2014 13:23:29
Received Date:	09/16/2014 13:23:29
Bank Account Number:	12345678
Bank Routing Number:	021000018
Check Number:	001511
Check Amount:	125.00
Batch ID:	1365AFCB-687C-494D-BCCL-85D158E3982
Cashier ID:	qcc0003
Item Type:	Non-Personal
Processing Method:	Customer Present
Agency Accounting Code:	SUMMARY
Description:	SUMMARY
215/Deposit Ticket Number:	000950
5515/Debit Voucher Number:	000914
Settlement Date:	09/17/2014
Return Settlement Date:	09/18/2014
Voucher Date:	09/17/2014
- ACR Information	
ACR Type:	Adjustment
ACR Reason Code:	Representation
ACR ALC:	00000000
ACR ALC+2:	000000000
ACR Voucher Date:	09/22/2014
ACR Voucher Number:	800002
ACR Settlement Date:	09/22/2014
ACR Credit Indicator:	Credit
ACR Amount:	150.00
Legal Transaction Amount:	150.00

- User Defined Fields

PayerIdentifier:	112222222
ReferenceNumber:	54555445

Check Image

Zoom In Zoom Out Save Zoom Original Fit Width Rotate Left Rotate Right Print Download

- Check History

Item ID	Insert Time	Bank	215/Deposit Ticket Number	5515/Debit Voucher Number	Rep Effective Date	Settlement Date	Return Settlement Date	Original Amount	ACR Amount	Legal Transaction Amount	ACR Type	Settlement Status	Settlement Method	CIR Transmission Status	CIR Transmission Status	Timestamp
195383441	Sep 19, 2014		800002			Sep 22, 2014		125.00	150.00	150.00	Adjustment			ItemToTRSCreated		09/22/2014 09:38:20 AM ET
195383441	Sep 19, 2014		800002			Sep 22, 2014		125.00	150.00	150.00	Adjustment			ItemToTRSSent		09/22/2014 10:00:33 AM ET
195383441	Sep 18, 2014		000950	000914		Sep 17, 2014	Sep 18, 2014	125.00				404 - Completed Paper Retire	Check21	ItemToTRSCreated		09/19/2014 11:33:43 AM ET
195383441	Sep 18, 2014		000950	000914		Sep 17, 2014	Sep 18, 2014	125.00				404 - Completed Paper Retire	Check21	ItemToTRSSent		09/19/2014 11:35:41 AM ET
195383441	Sep 16, 2014		000950			Sep 17, 2014		125.00				412 - Completed Paper Draft	Check21	ItemToTRSCreated		09/17/2014 10:14:16 AM ET
195383441	Sep 16, 2014		000950			Sep 17, 2014		125.00				412 - Completed Paper Draft	Check21	ItemToTRSSent		09/17/2014 10:17:17 AM ET

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View a CIRA Record

To view a CIRA record, complete the following steps:

1. Click the **Check Processing** tab.
2. Click **CIRA Query**. 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.

4. To search for a transaction:
 - a. Using the CIRA Query search criteria, you can:
 - Under **CIRA Query**,
 - Select a **Form Name**
 - Select a **Deploy Date**

**Application Tip**

By default, the **CIRA Query** screen is expanded. If the **CIRA Query** screen is expanded, the **Search ACR Transaction** screen is collapsed.

**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 **215/Deposit Ticket Number** represents items credited into FRB CA\$HLINK 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**).



Application Tip

By default, the **CIRA Query** screen is expanded. If the CIRA Query screen is expanded, the screen Search ACR Transaction collapsed.

Or

- b. To query for an ACR transaction, you can:
 - Click **Search ACR Transaction** to expand the screen



Application Tip

By default, the **Search ACR Transaction** screen is collapsed. If the **Search ACR Transaction** screen is expanded, the **CIRA Query** screen is collapsed.

- Select an **ACR Type**



Application Tip

Search ACR Transaction options include **All ACR**, **Adjustment**, **Correction**, and **Rescission**.

- Select an **ACR Reason Code**



Application Tip

ACR Reason Code options include **Duplicate Transaction Processed**, **Non-Cash Item**, **Transaction Amount Correction**, **Representation**, **Warranty Indemnity Claim**, **Voucher Date Change**, **Voucher Number Change**, **Account Switch**, **Transaction Account Switch**, and **ACH Reversal**.

- Enter an **ACR Voucher Number**



Application Tip

The maximum numeric characters value for **ACR Voucher Number** is six.

- Enter the **From** and **To** ACR Settlement range



Application Tip

The maximum date range for the **From** and **To ACR Settlement** range is 90 days.

5. Click **Search** to initiate the search.
6. The *Count* table and *Search Results* table appears. Click the **IRN** of the check whose details you would like to view.
7. 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**, **Return Settlement Date** or **ACR 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 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 eight Business Reports that you may access depending on your role. To print a report output, right click using your mouse and select *Print*.

Table 2. Business Reports (1st column) and Access Type (1st row)

	Agency Manager	Check Capture Administrator	MVD Viewer	MVD Editor	FMS Viewer	View Reports
CIRA CSV	X	X	X	X	X	
Check Image	X	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
ACR Activity	X	X	X	X	X	X

Legend: *Blank* = N/A & *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**.

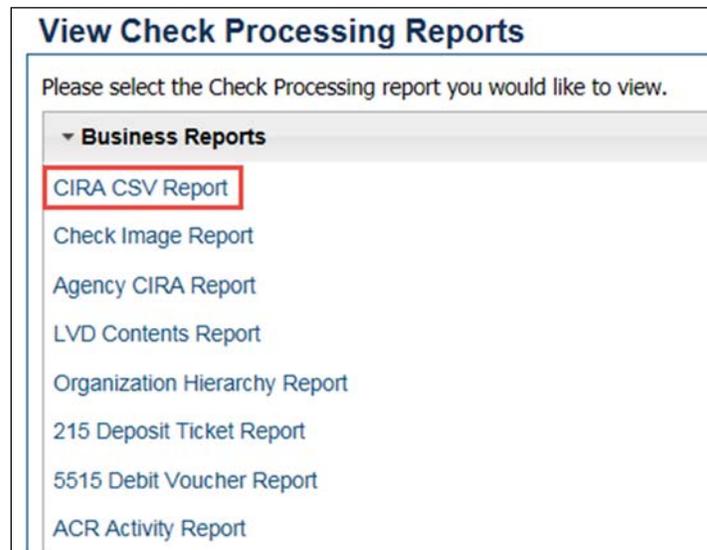
1. Click the Reports tab and click Check Processing Reports (see Figure 9).

Figure 9. 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 10).

Figure 10. Select CIRA CSV Report



Enter the search criteria for the report you would like to view (see

3. Figure 11).

- Select an **OTC Endpoint**, *required*

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

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.

4. Search for a transaction:

- a. Using the **CIRA CSV Historical Report** search criteria.

Under **CIRA CSV Historical Report**,

- Select a **Form Name**
- Select a **Deploy Date**

The **Form Name** is the name/list of available forms available for the selected OTC Endpoint. The **Deploy Date** is the date, time and version number of the selected form. 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**

The **User Defined Fields** are visible based on the selected OTC Endpoint **Form Name** and **Deploy Date**.

Figure 11. CIRA CSV Report Page (OTC Endpoint, Form Name, Deploy Date, UDFs)

CIRA CSV Report

Enter search criteria for the CIRA Item(s) you would like to view.
* Denotes required fields.

Search Criteria

OTC Endpoint:*

Configured OTC Endpoints

<< < 1-1 >> of 1 Records

Select	OTC Endpoint	Highest Level Organization
<input checked="" type="radio"/>	TTH1	Training Team Test Hierarchy

- CIRA Query

Form Name:
-- Select Form --

Deploy Date:
-- Select Version --

User Defined Fields

User Defined Field 1:

User Defined Field 2:

User Defined Field 3:

User Defined Field 4:

- Enter the **Account number**
- Enter the **Bank Routing Number**
- Enter the **IRN (Individual Record Number)**
- Enter the **Check Number**

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**

The **5515/Debit Voucher Number** represents items returned to an agency due to unsuccessful collection efforts.

- Enter the **215/Deposit Ticket Number**

The **215/Deposit Ticket Number** represents items credited into FRB CA\$HLINK 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

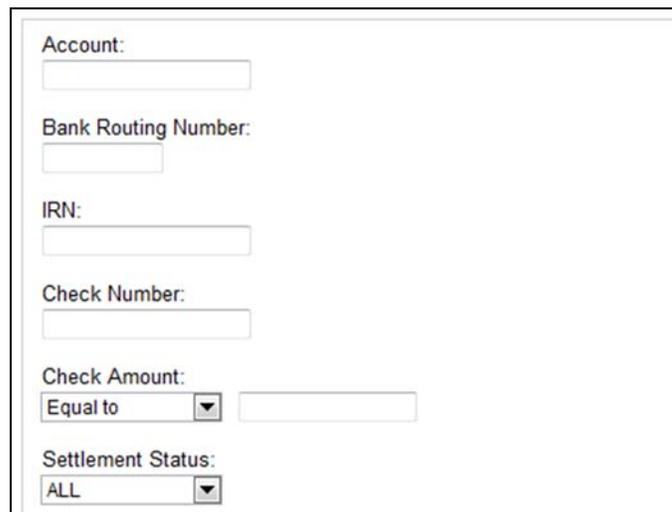
If the **Received Date** radio button is selected, OTCnet does not validate any other date range values (**Capture Date**, **Settlement Date** or **Return Settlement Date**).

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.

If **both** the **(From)** and **(To) Received Date** are more than 18 months from the current date, an error message appears stating “*Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.*” Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and have a Received Date older than 18 months from the current date are displayed.

If the **(From) or (To) Received Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

Figure 12. CIRA CSV Search Criteria



The screenshot shows a search criteria form with the following fields and options:

- Account:** Text input field
- Bank Routing Number:** Text input field
- IRN:** Text input field
- Check Number:** Text input field
- Check Amount:** Dropdown menu with "Equal to" selected and a text input field
- Settlement Status:** Dropdown menu with "ALL" selected

Or

- Click the **Check Capture Date**: radio button
 - Select **From** and **To** Check Capture Date range

Or

- Select the **On** Check Capture Date

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**).

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**.

If **both** the **Check Capture Date (From)** and **(To)** are more than 18 months from the current date, an error message appears stating “*Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.*” Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and have a Received Date older than 18 months from the current date are displayed.

If the **(From) or (To) Check Capture Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

Or

- Click the **Settlement Date**: radio button
 - Select **From** and **To** Settlement Date range

Or

- Select the **On** Settlement Date range

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**).

If **both** the **Settlement Date (From)** and **(To)** are more than 18 months from the current date, an error message appears stating “*Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.*” Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and have a Received Date older than 18 months from the current date are displayed.

If the **(From) or (To) Settlement Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

Or

- Click the **Return Settlement Date**: radio button
 - Select the **From/On** Date range
 - Select the **To** Date range

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**).

If **both** the **Return Settlement Date (From)** and **(To)** are more than 18 months from the current date, an error message appears stating “*Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.*” Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and have a Received Date older than 18 months from the current date are displayed.

If the **(From) or (To) Return Settlement Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

Figure 13: CIRA CSV Search Criteria (Received Date, Check Capture Date, Settlement Date, and Returned Settlement Date)

The screenshot shows a search criteria form with the following elements:

- Received Date:** Selected radio button. Fields: From (06/19/2014), To (09/16/2014).
- Check Capture Date:** Unselected radio button. Fields: From, To.
- Settlement Date:** Unselected radio button. Fields: From, To.
- Return Settlement Date:** Unselected radio button. Fields: From, To.
- Search ACR Transaction:** Button at the bottom.

b. To query for an ACR Transaction, you can:

- Click **Search ACR Transaction**

By default, the **Search ACR (Adjustment, Correction, and Rescission) Transaction** screen is collapsed. If the Search ACR Transaction screen is expanded, the CIRA CSV screen is collapsed

- Select an **ACR Type**

Search ACR Transaction options include **All ACR, Adjustment, Correction, and Rescission.**

- Select an **ACR Reason Code**

ACR Reason Code options include **Duplicate Transaction Processed, Non-Cash Item, Transaction Amount Correction, Representment, Warranty Indemnity Claim, Voucher Date Change, Voucher Number Change, Account Switch, Transaction Account Switch, and ACH Reversal.**

- Enter an **ACR Voucher Number**

The maximum numeric characters value for **ACR Voucher Number** is six.

- Enter the **ACR Settlement Date** range

The **From** and **To ACR Settlement** fields are searchable for a duration up to 90 days. Additionally, the **From** and **To ACR Settlement** dates must be older than 18 months from the current date.

5. After you make your selection, click Download CSV File (see Figure 14).

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 14: CIRA Query: Search ACR Transaction

The screenshot shows a web form titled "CIRA Query" with a sub-section "Search ACR Transaction". The form contains the following fields and controls:

- ACR Type:** A dropdown menu with "ALL ACR" selected.
- ACR Reason Code:** A dropdown menu with "-- Select --" selected.
- ACR Voucher Number:** An empty text input field.
- ACR Settlement Date:** A date range selector with "From" and "To" dropdowns. The "From" date is 06/19/2014 and the "To" date is 09/16/2014. Both date fields have a calendar icon to their right.

At the bottom of the form, there is a yellow bar containing four buttons: "Cancel", "Clear", "Count", and "Download CSV File". The "Download CSV File" button is highlighted with a red border.

6. The *File Download* dialog box appears. Click **Open** or **Save** (see

Figure 15).



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.

5. To search for a transaction:
 - a. Using the CIRA CSV Report search criteria, you can:
 - Select a **Form Name**
 - Select a **Deploy Date**

**Application Tip**

By default, the **CIRA CSV Report** screen is expanded. If the **CIRA CSV Historical Report** screen is expanded, the **CIRA CSV Report - ACR** screen is collapsed.

**Application Tip**

The **Form Name** is the name/list of available forms available for the selected OTC Endpoint. The **Deploy Date** is the date, time and version number of the selected form.

**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 FRB CASHLINK 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

Consider the following information about the **Received Date (From) and (To)**:

- 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**).
- **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.
- If **both** the **(From)** and **(To) Received Date** are more than 18 months from the current date, an error message appears stating *“Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.”* Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and have a Received Date older than 18 months from the current date are displayed.
- If the **(From) or (To) Received Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

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

Consider the following information about the Check Capture **Date (From)** and **(To)**:

- 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**).
- **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**.
- If **both** the **Check Capture Date (From)** and **(To)** are more than 18 months from the current date, an error message appears stating *"Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports."* Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and are with a Received Date older 18 months from the current date are displayed.
- If the **(From)** or **(To) Check Capture Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

Or

- Click the **Settlement Date**: radio button
 - Select **From** and **To** Settlement Date range

Or

- Select the **On** Settlement Date



Application Tip

Consider the following information about the **Settlement Date (From) and (To)**:

- 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**).
- If **both** the **Settlement Date (From)** and **(To)** are more than 18 months from the current date, an error message appears stating *“Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.”* Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and are with a Received Date older 18 months from the current date are displayed.
- If the **(From) or (To) Settlement Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

Or

- Click the **Return Settlement Date**: radio button
 - Select the **From/On** Date range
 - Select the **To** Date range



Application Tip

Consider the following information about the **Return Settlement Date (From) and (To)**:

- 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**).
- If **both** the **Return Settlement Date (From)** and **(To)** are more than 18 months from the current date, an error message appears stating “*Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.*” Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and are with a Received Date older 18 months from the current date are displayed.
- If the **(From) or (To) Return Settlement Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

Or

- b. To query for a CIRA CSV Report - ACR transaction, you can:
 - Click **Search ACR Transaction** to expand the screen



Application Tip

By default, the **Search ACR (Adjustment, Correction, and Rescission) Transaction** screen is collapsed. If the **Search ACR Transaction** screen is expanded, the **CIRA Query** screen is collapsed.

- Select an **ACR Type**



Application Tip

Search ACR Transaction options include **All ACR, Adjustment, Correction, and Rescission.**

- Select an **ACR Reason Code**



Application Tip

ACR Reason Code options include **Duplicate Transaction Processed, Non-Cash Item, Transaction Amount Correction, Representation, Warranty Indemnity Claim, Voucher Date Change, Voucher Number Change, Account Switch, Transaction Account Switch, and ACH Reversal.**

- Enter an **ACR Voucher Number**



Application Tip

The maximum numeric characters value for **ACR Voucher Number** is six.

- Enter the **From** and **To** ACR Settlement range, *required*



Application Tip

The **From** and **To ACR Settlement** fields are searchable for a duration up to 90 days. Additionally, the **From** and **To ACR Settlement** dates must be older than 18 months from the current date.

- 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, Return Settlement Date** or **ACR Settlement Date**. The system will display an error message to you if you attempt to search for results beyond the configured range.

- 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.

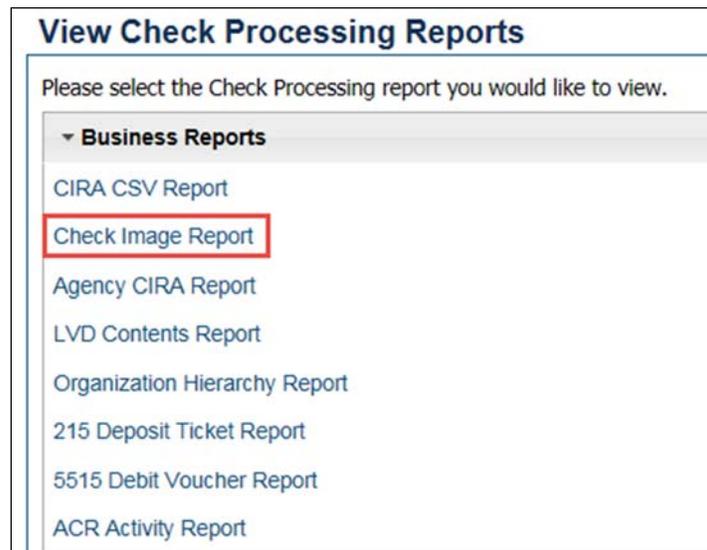
Check Image Report

The **Check Image Report** allows you to view the front and back images of a check for an Individual Reference Number (IRN) 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 9).
2. Under **Business Reports**, click **Check Image Report** (see Figure 16).

Figure 16. 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 17).

Figure 17. Check Image Report Page

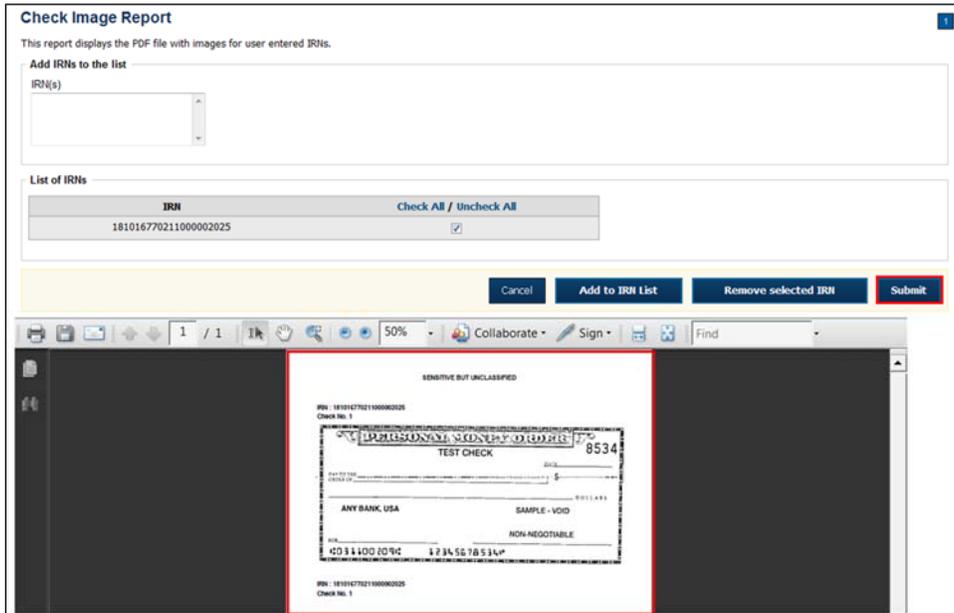
4. Check which IRN(s) you would like to submit (see Figure 18).

Figure 18. Check IRNs to Submit

IRN	Check All / Uncheck All
181016770211000002025	<input checked="" type="checkbox"/>

- 5. Click **Submit**. Check image appears on the same page (see Figure 19).

Figure 19. 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. Under **List of IRNs**, check the checkbox(es) of the IRN(s) you would like to submit.
7. Click **Submit**. Check image(s) 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.

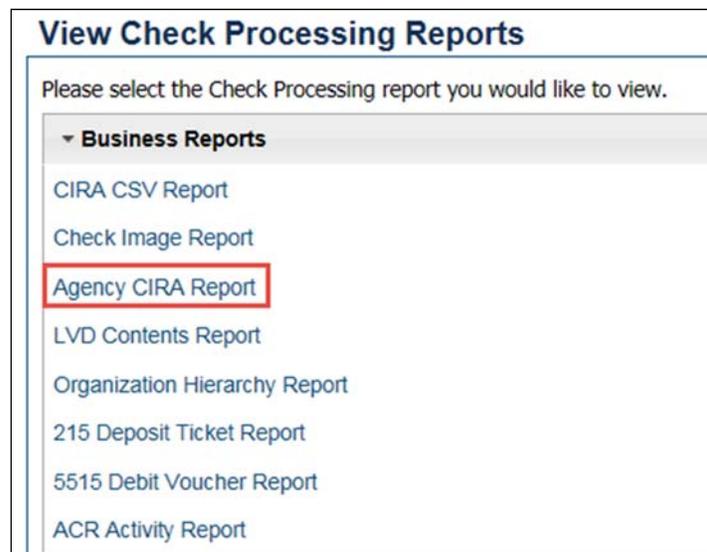
Agency CIRA Report

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 an **Agency CIRA Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 9).
2. Under **Business Reports**, click **Agency CIRA Report** (see Figure 20).

Figure 20. Select Agency CIRA Report



3. The *Agency CIRA Report* parameters page appears. Enter the search criteria for the report you would like to view (see Figure 21).

Under **Report Filters**,

- Select the **Date From** date
- Select the **Date To** date
- Click **Received Date**

If the **Received Date** radio button is selected, OTCnet does not validate any other date range values (**Capture Date**).

(From) and **(To) Received Date** represents the date range the check was received into OTCnet.

If **both** the **(From)** and **(To) Received Date** are more than 18 months from the current date, an error message appears stating “*Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.*” Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and have a Received Date older than 18 months from the current date are displayed.

If the **(From)** or **(To) Received Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

Or

Click **Capture Date**

If the **Check Capture Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**).

(From) and **(To) Check Capture Date** represents the date range the check was processed by the **Check Capture Lead Operator** or **Check Capture Operator**.

If **both** the **(From)** and **(To) Check Capture Date** are more than 18 months from the current date, an error message appears stating “*Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.*” Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and have a Received Date older than 18 months from the current date are displayed.

If the **(From) or (To) Check Capture Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

- Enter the **Batch ID**
- Enter the **Cashier ID**
- Click **Yes** or **No** to Include Subordinate OTC Endpoints

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.

Figure 21. Agency CIRA Report Parameters Page

Agency CIRA Report

This report displays the transaction activity for the specified OTC Endpoint.

Report Filters

Date From: 08/08/2016

Date To: 08/08/2016

Received Date
 Captured Date

Batch ID: ALL

Cashier ID: ALL

Include Subordinate OTC Endpoint:
 Yes No

CHK denotes check capture TGA denotes deposit processing M denotes mapped accounting code(s) denotes access permission
 denotes no access permission

OTC Endpoint

Contract All

TTTL - Training Team Top Level

LL1 - Lower Level 1 **CHK** **TGA**

Clear Cancel

5. The *Agency CIRA Report* preview page appears (see Figure 22).

Under **Export as**,

- Select a **PDF**, **Excel** or **Word**
- Click **Download**

Or

- Click **Print PDF Report**

Figure 22. Agency CIRA Report Parameters Page

Agency CIRA Report

Export as
PDF ▾ Download Print PDF Report

1 / 1 66.7% Collaborate Sign Find

SENSITIVE BUT UNCLASSIFIED
Agency CIRA Report
From Date: 08/08/2016 To Date: 08/08/2016
OTC Endpoint: LL1 - Lower Level 1 OTC Endpoint Only: N
Generated Date: 08/08/2016 03:44:10 PM

Daily Summary for all OTC Endpoints	ALC#	Received Date	Item Count	Dollar Amount
LL1 - Lower Level 1	1000000002	08/08/2016	3	\$30.09
Grand Total			3	\$30.09

Previous



View Business Reports: Agency CIRA Report

To view Agency CIRA 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 **Agency CIRA Report**. The *Agency CIRA Report parameters* page appears.
4. 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**



Application Tip

Consider the following information about the **Received Date (From) and (To)**:

- If the **Received Date** radio button is selected, OTCnet does not validate any other date range values (**Capture Date**).
- **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.
- If **both** the **(From) and (To) Received Date** are more than 18 months from the current date, an error message appears stating *“Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports.”* Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and have a Received Date older than 18 months from the current date are displayed.
- If the **(From) or (To) Received Date** is less than 18 months from the current date, the results that match the search parameters are displayed.



Application Tip

Consider the following information about the **Check Capture Date (From) and (To)**:

- 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**).
- **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**.
- If **both** the **(From) and (To) Check Capture Date** are more than 18 months from the current date, an error message appears stating *"Check transactions with a Received Date older than 18 months have been archived to the archive database according to the Fiscal Service data retention policy. These transactions are viewable through the CIRA CSV Historical Report via Home>> Reports>> Historical Reports."* Refer to the *CIRA CSV Historical Report* printable job aid for more details. Any results that match the search parameters and are with a Received Date older 18 months from the current date are displayed.
- If the **(From) or (To) Check Capture Date** is less than 18 months from the current date, the results that match the search parameters are displayed.

- Enter the **Batch ID**
- Enter the **Cashier ID**
- 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 *Agency CIRA Report* preview page appears.



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. Under **Export as**,
 - Select a **PDF**, **Excel** or **Word**
 - Click **Download**

Or

 - Click **Print PDF Report**



Application Tip

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

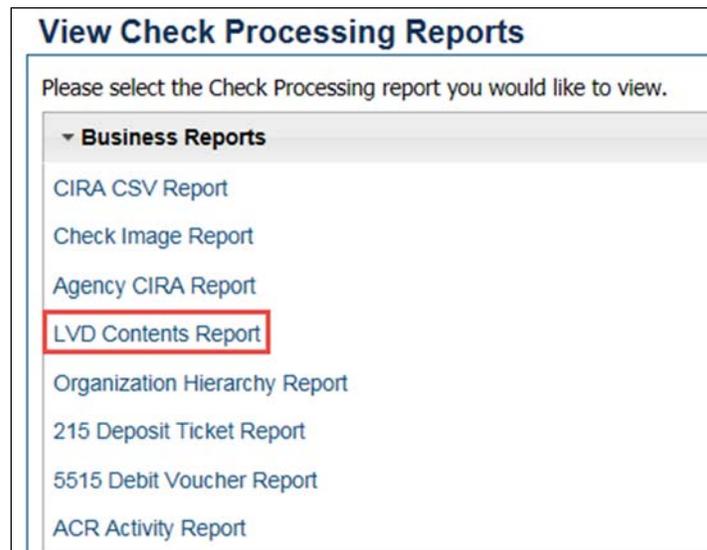
LVD Contents Report

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 9).
2. Under **Business Reports**, click **LVD Contents Report** (see Figure 23).

Figure 23. Select LVD Contents Report



The *LVD Contents Report parameters page* appears. Enter the search criteria for the report you would like to view and click an OTC Endpoint to initiate the report. (see Figure 24).

Under **Report Filters**,

- Select a **Transaction Type**
- Select a **Trade Status**
- Click **Received Date** or **Captured Date**

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**

Figure 24. LVD Contents Parameters Page

3. The LVD Contents Report preview page appears (see Figure 25).

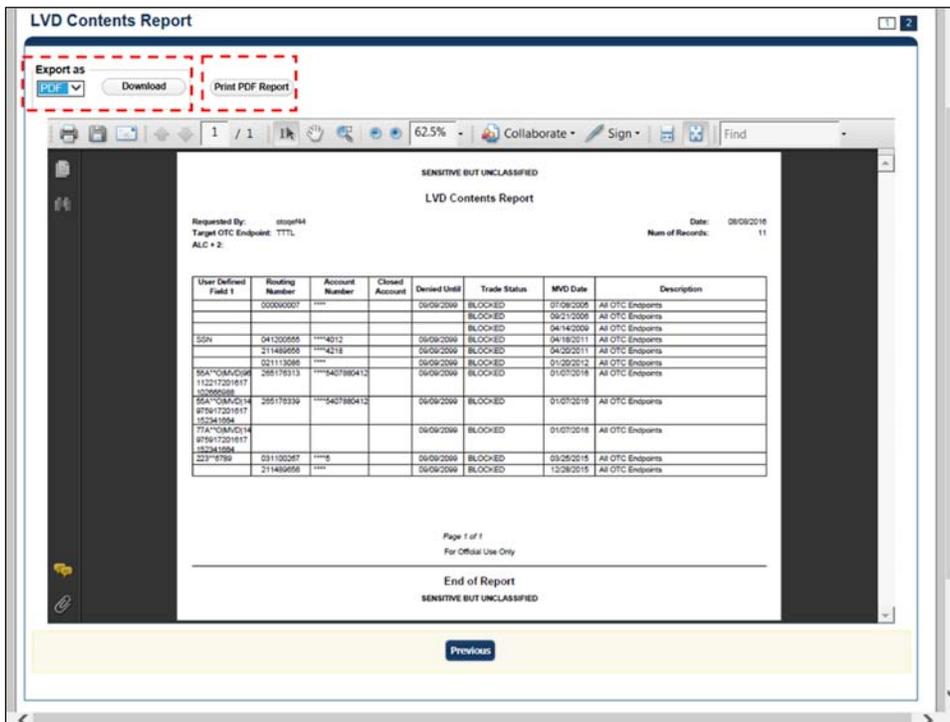
Under **Export as**,

- Select a **PDF, Excel or Word**
- Click **Download**

Or

Click **Print PDF Report**

Figure 25. LVD Contents Report Preview Page



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* parameters 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**



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 *LVD Contents* Report preview page appears in a new window.

6. Under **Export as**,
 - Select a **PDF**, **Excel** or **Word**
 - Click **Download**

Or

Click **Print PDF Report**



Application Tip

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

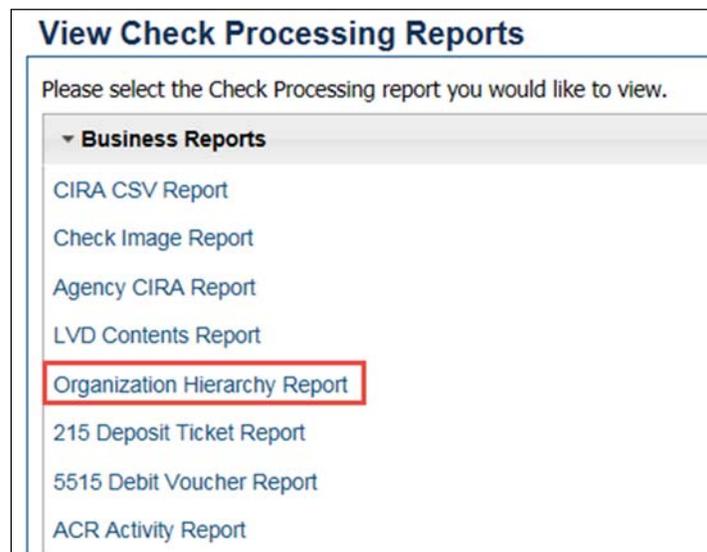
Organization Hierarchy Report

The **Organization Hierarchy Report** allows you to view the target OTC Endpoint within the context of the current OTC Endpoint. The OTC Endpoints listed in the hierarchy tree are based on the user's given access permission. Additionally, any endpoint displayed in the hierarchy is designated as a check capture endpoint or is not designated as check capture endpoint but is an endpoint that is associated with at least one check transaction.

Follow the steps below to view and/or print an **Organization Hierarchy Report**.

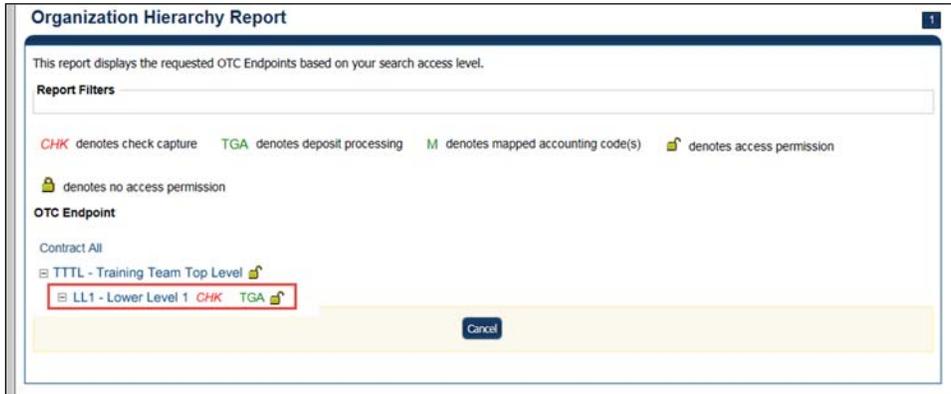
1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 9).
2. Under **Business Reports**, click **Organization Hierarchy Report** (see Figure 26).

Figure 26. Select Organization Hierarchy Report



3. The *Organization Hierarchy Report* parameters page appears. Click an **OTC Endpoint** to initiate the report.

Figure 27. Organization Hierachy Report Preview Page



4. The *Organization Hierarchy Report* preview page appears. (see Figure 28).

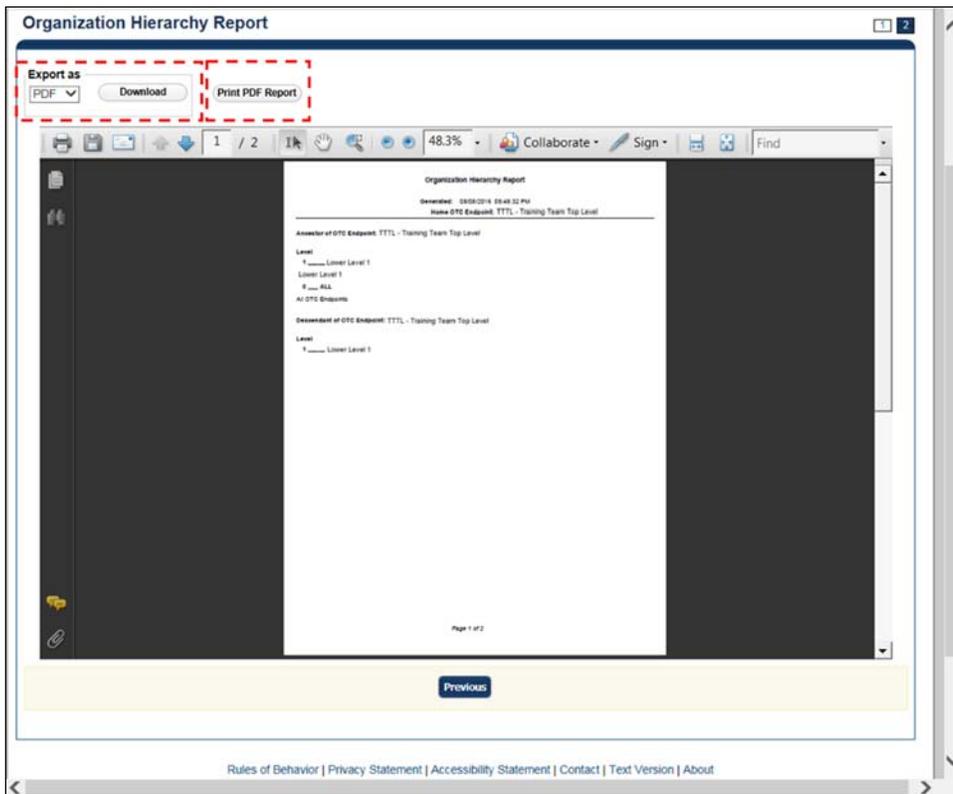
Under **Export as**,

- Select a **PDF**, **Excel** or **Word**
- Click **Download**

Or

- Click **Print PDF Report**

Figure 28. Organization Hierarchy Report Preview Page





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* parameters page appears.
4. Click an OTC Endpoint to initiate the report. The *Organization Hierarchy* report preview page appears.
5. Under **Export as**,
 - Select a **PDF**, **Excel** or **Word**
 - Click **Download**

Or

- Click **Print PDF Report**



Application Tip

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

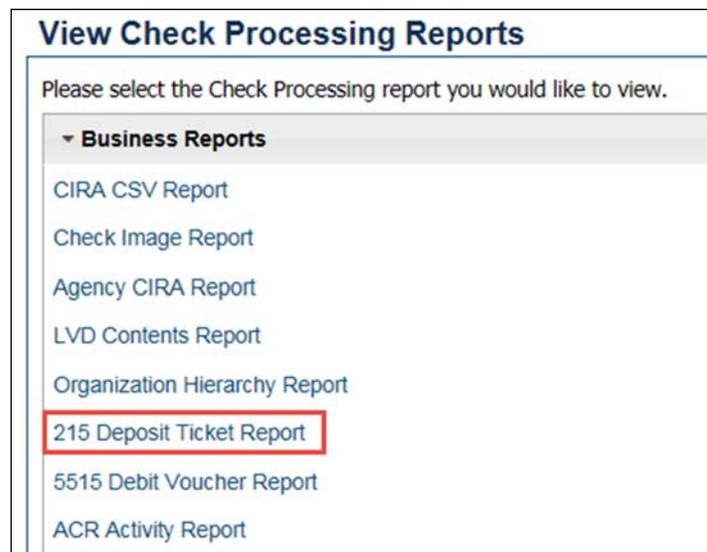
215 Deposit Ticket Report

The **215 Deposit Ticket Report**, also known as the SF215 is report run daily that includes all items deposited and processed into Collections Information Repository (CIR) within the preceding 24 hours. The report is searchable for a duration of up to 45 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 9).
2. Under **Business Reports**, click **215 Deposit Ticket Report** (see Figure 29).

Figure 29. Select 215 Deposit Ticket Report



- The *215 Deposit Ticket* parameters page appears (see Figure 30). Enter the search criteria for the report you would like to view.

Under **Report Filters**,

- Select a **From** and **To** Start Date range

The **From** and **To** Start Date range is searchable for a duration of up to 45 days.

- Click **Yes** or **No** to Include Subordinate OTC Endpoints

- Click an OTC Endpoint to initiate the report (see Figure 30). The *215 Deposit Ticket* Report preview page appears.

Figure 30. 215 Deposit Ticket Report Parameters Page

215 Deposit Ticket Report

Run once daily and covers all items settled that business day.

Report Filters

Start Date

From: 07/01/2016

To: 07/29/2016

Include Subordinate OTC Endpoint:

Yes No

CHK denotes check capture TGA denotes deposit processing M denotes mapped accounting code(s) denotes access permission

denotes no access permission

OTC Endpoint

Contract All

TTTL - Training Team Top Level

LL1 - Lower Level 1 CHK TGA

Clear Cancel

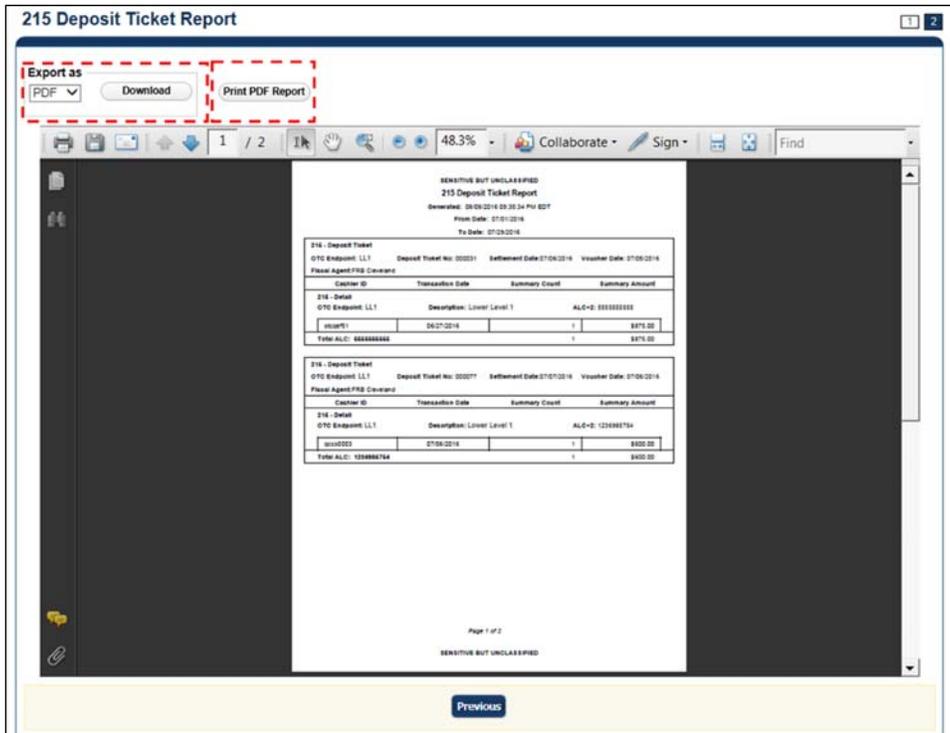
A 215 Deposit Ticket report will not generate for any day that is deemed a holiday during Monday-Friday hours.

- 5. Under **Export as**,
 - Select a **PDF, Excel or Word**
 - Click **Download**

Or

Click **Print PDF Report**

Figure 31. 215 Deposit Ticket Report Preview Page



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 parameters 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 is searchable for a duration of up to 45 days.

- 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 **215 Deposit Ticket Report** preview page appears.

**Application Tip**

A **215 Deposit Ticket report** will not generate for any day that is deemed a holiday during Monday-Friday hours.

6. Under **Export as**,
 - Select **PDF**, **Excel** or **Word format**
 - Click **Download**

Or

- Click **Print PDF Report**

**Application Tip**

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

5515 Debit Voucher Report

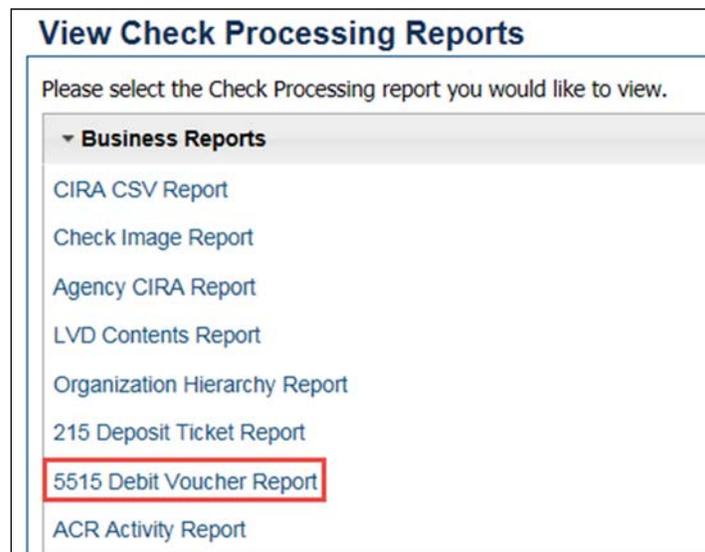
The 5515 Debit Voucher Report, also known as the SF5515 is a report run daily that includes all retired items processed within the preceding 24 hours. The report is searchable for a duration of up to 45 days and will not generate for any day that is deemed a holiday during Monday-Friday hours.

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 9).
2. Under **Business Reports**, click **5515 Debit Voucher Report** (see Figure 32).

Figure 32. Select 5515 Debit Voucher Report



3. The *5515 Debit Voucher* parameters page appears. Enter the search criteria for the report you would like to view (see Figure 33).

Under **Report Filters**,

- Select a **From** and **To** Start Date range

The **From** and **To** Start Date range is searchable for a duration of up to 45 days.

- Click **Yes** or **No** to Include Subordinate OTC Endpoints.

4. Click an **OTC Endpoint** to initiate the report (see Figure 33). The *5515 Debit Voucher Report* preview page appears.

Figure 33. 5515 Debit Voucher Report Parameters Page

5515 Debit Voucher Report

Run once daily and covers all retired items settled for that business day.

Report Filters

Start Date

From: 06/01/2016

To: 06/30/2016

Include Subordinate OTC Endpoint:
 Yes No

Legend:
CHK denotes check capture TGA denotes deposit processing M denotes mapped accounting code(s) denotes access permission
 denotes no access permission

OTC Endpoint

Contract All

- [-] TTTL - Training Team Top Level
- [+] LL1 - Lower Level 1** **CHK** **TGA**

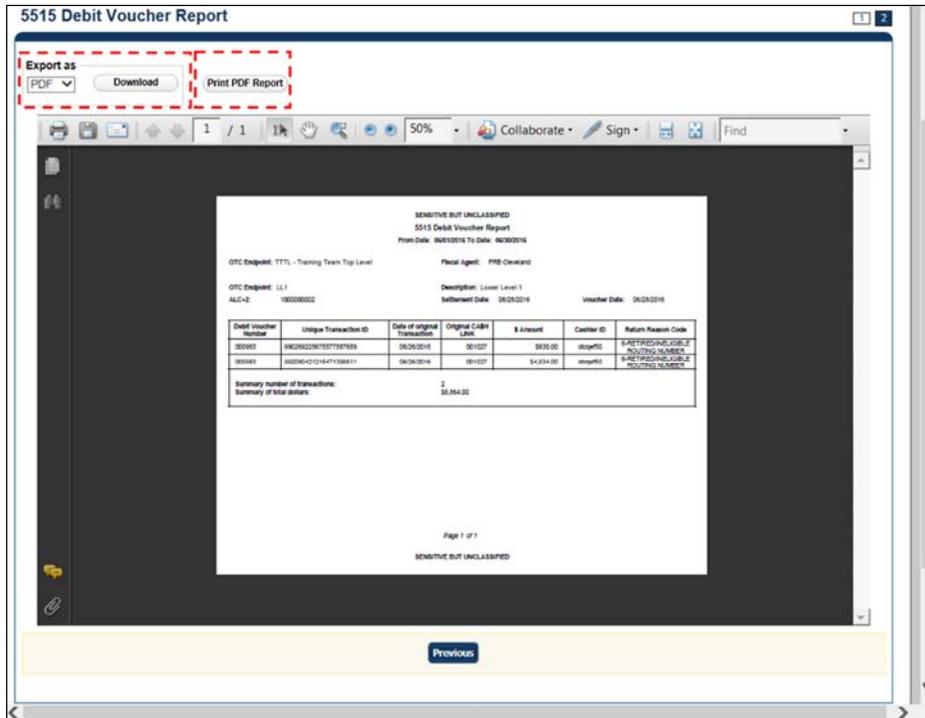
Clear Cancel

- 5. Under **Export as**,
 - Select a **PDF, Excel or Word**
 - Click **Download**

Or

- Click **Print PDF Report**

Figure 34. 5515 Debit Voucher Report Preview Page



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* parameters 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 is searchable for a duration of up to 45 days.

- 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 *5515 Debit Voucher* preview page appears.

**Application Tip**

A 5515 Debit Voucher report will not generate for any day that is deemed a holiday during Monday-Friday hours.

6. Under **Export as**,
 - Select **PDF**, **Excel** or **Word format**
 - Click **Download**

Or

- Click **Print PDF Report**

**Application Tip**

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

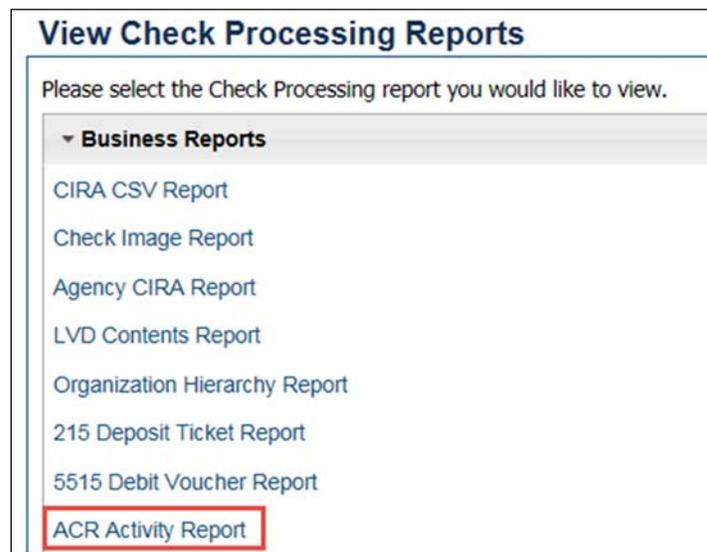
ACR Activity Report

The **ACR Activity Report**, or Adjustment, Correction and Rescission Report, is a report that displays the detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

Follow the steps below to view and/or print an **ACR Activity Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 9).
2. Under **Business Reports**, click **ACR Activity Report** (see Figure 35). The *ACR Activity Report* parameters page appears.

Figure 35. Select ACR Activity Report



View Check Processing Reports

Please select the Check Processing report you would like to view.

- ▼ **Business Reports**
 - CIRA CSV Report
 - Check Image Report
 - Agency CIRA Report
 - LVD Contents Report
 - Organization Hierarchy Report
 - 215 Deposit Ticket Report
 - 5515 Debit Voucher Report
 - ACR Activity Report**

3. Enter the search criteria for the report you would like to view (see Figure 36).

Under **Report Filters**,

- Enter the **From** and **To** ACR Settlement Date range

The maximum date range for the **From** and **To** ACR (Adjustment, Correction, and Rescission) Settlement range is 45 days.

- Select a **Report Type**
- Report Type options include **Credit/Debit - ACR**, **Credit - ACR**, and **Debit - ACR**.
- Select an **ACR Type**
- **Search ACR Transaction** options include **All ACR**, **Adjustment**, **Correction**, and **Rescission**.
- Choose **ACR Reason Code**

ACR Reason Code options include **Duplicate Transaction Processed**, **Non-Cash Item**, **Transaction Amount Correction**, **Representment**, **Warranty Indemnity Claim**, **Voucher Date Change**, **Voucher Number Change**, **Account Switch**, **Transaction Account Switch**, and **ACH Reversal**.

- Click **Yes** or **No** radio button to Include Subordinates

4. Click an **OTC Endpoint** to initiate the report. The *ACR Activity Report* preview page appears.

Figure 36. ACR Activity Report Parameters Page

ACR Activity Report

Please enter the search criteria to generate the ACR Activity Report.

Report Filters

ACR Settlement Date

From: 09/01/2014

To: 09/30/2014

Report Type: CREDIT/DEBIT ACR

ACR Type: ALL ACR

ACR Reason Code: -- Select --

Include Subordinate OTC Endpoint:
 Yes
 No

CHK denotes check capture TGA denotes deposit processing M denotes mapped accounting code(s) denotes access permission

denotes no access permission

OTC Endpoint

Contract All

TTTL - Training Team Top Level

LL1 - Lower Level 1 **CHK** **TGA**

Clear Cancel

5. Under **Export as**,
 - Select **PDF**, **Excel** or **Word** format
 - Click **Download**

Or

- Click **Print PDF Report**

Figure 37. ACR Activity Report Preview Page

ACR Activity Report

Export as: PDF, Download, Print PDF Report

1 / 6 | 58.4% | Collaborate | Sign

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ACR Activity Report
Generated: 09/09/2016 9:13:45 AM ET
From Date: 09/01/2014
To Date: 09/30/2014

Credit - ACR
Fiscal Agent: FRB Cleveland

IRN	Original Voucher Number	Original Settlement Date	Original Voucher Date	Original Amount	ACR Amount	Legal Transaction Amount	ACR Voucher Number	ACR Settlement Date	ACR Voucher Date	ACR Type	ACR Reason Code
181016770211 00001712	000965	09/24/2014	09/24/2014	\$ 234.00	\$ 234.00	\$ 0.00	000995	09/29/2014	09/23/2014	Correction	Voucher Number Change
OTC Endpoint: DFAS				ALC-ID: 0000619201	\$ 234.00		Total Number Of Adjustments: 0		Total Number Of Corrections: 1		
Description: Defense Finance and Accounting											
23060490104 200000539	000949	09/16/2014	09/16/2014	\$ 125.00	\$ 125.00	\$ 0.00	000055	09/19/2014	09/19/2014	Correction	Voucher Number Change
23060490104 200000547	000914	09/18/2014	09/18/2014	\$ 125.00	\$ 150.00	\$ 150.00	800002	09/22/2014	09/22/2014	Adjustment	Representation
23060490104 200000591	000954	09/25/2014	09/25/2014	\$ 456.02	\$ 456.02	\$ 0.00	800002	09/29/2014	09/29/2014	Correction	Account Switch
23060490104 200000593	000954	09/25/2014	09/25/2014	\$ 456.00	\$ 456.00	\$ 0.00	800002	09/29/2014	09/29/2014	Correction	Account Switch
OTC Endpoint: 000065102				ALC-ID: 0000655102	\$ 1,187.02		Total Number Of Adjustments: 1		Total Number Of Corrections: 3		
Description: Collections 6551											
23060490104 200000454	000972	07/10/2014	07/10/2014	\$ 456.00	\$ 10.00	\$ 466.00	800002	09/04/2014	09/04/2014	Adjustment	Transaction Amount Correction
23060490104 200000472	000973	07/11/2014	07/11/2014	\$ 12.00	\$ 12.00	\$ 0.00	800001	09/09/2014	09/09/2014	Correction	Account Switch

Page 1 of 6

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PREVIOUS

View an ACR Activity Report

To search for ACR transactions, complete the following steps:

1. Click the **Reports** tab.
2. Click **Check Processing Reports** and click **ACR Activity Report**. The *ACR Activity Report* page appears.
3. Enter the search criteria you would like to view.
 - Enter the **From** and **To** ACR Settlement date range



Application Tip

The maximum date range for the **From** and **To ACR (Adjustment, Correction, and Rescission) Settlement** range is 45 days.

- Select a **Report Type**



Application Tip

Report Type options include **Credit/Debit - ACR**, **Credit - ACR**, and **Debit - ACR**.

- Select an **ACR Type**



Application Tip

Search ACR Transaction options include **All ACR**, **Adjustment**, **Correction**, and **Rescission**.

- Select an **ACR Reason Code**



Application Tip

ACR Reason Code options include **Duplicate Transaction Processed**, **Non-Cash Item**, **Transaction Amount Correction**, **Representation**, **Warranty Indemnity Claim**, **Voucher Date Change**, **Voucher Number Change**, **Account Switch**, **Transaction Account Switch**, and **ACH Reversal**.

4. Click the **Yes** or **No** radio button to **Include Subordinates**
5. Click an **OTC Endpoint** to initiate the report. The *ACR Activity Report* preview page appears.
6. Under **Export as**,
 - Select a **PDF**, **Excel** or **Word**
 - Click **Download**

Or

 - Click **Print PDF Report**

**Application Tip**

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

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**, **Statistical**, and **View CIR Transmission Status for Check Processing** Administration reports (see Table 3 for details). To print a report output, right click using your mouse and select *Print*.

Table 3. Administration Reports (1st column) and Access Type (1st row)

	Agency Manager	Check Capture Administrator	MVD Viewer	MVD Editor	FMS Viewer	View Reports
CIRA Transmission Summary Report					X	
CIRA Transmission (Detailed) Summary Report					X	
Statistical					X	
View CIR Transmission Status for Check Processing					X	

Legend: *Blank* = N/A & *X* = Access

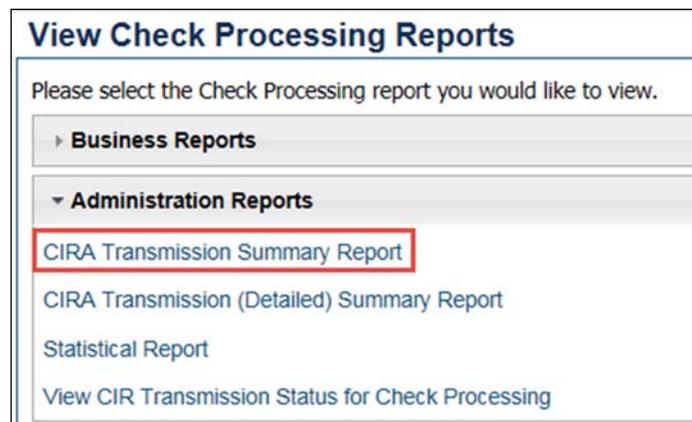
CIRA Transmission Summary Report

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 9).
2. Under **Administration Reports**, click **CIRA Transmission Summary Report** (see Figure 38).

Figure 38. Select CIRA Transmission Summary Report



- The *CIRA Transmission Summary Report* page appears. Enter the search criteria for the report you would like to view (see Figure 39).

Under **Report Filters**,

- Select a **Date**
- Click **Submit Request**. The *Transmission Files* table for the selected date appears

The *Transmission Files* table lists all the transmissions for the selected date.

- Click **Yes** or **No** to Include Subordinate OTC Endpoints
- Click an **OTC Endpoint** to initiate the report (see Figure 39). The *CIRA Transmission Summary Report* preview page appears.

Figure 39. CIRA Transmission Summary Report Parameters Page

CIRA Transmission Summary Report 1

This report is used to view the detailed transactions sent to Debit Gateway.

Report Filters

Date:

Transmission Files for 09/04/2014

Current USD Documents

Select	Transmission Time	Migrated Data
<input checked="" type="radio"/>	09/04/2014 14:36	

Include Subordinate OTC Endpoint:
 Yes No

CHK denotes check capture TGA denotes deposit processing

M denotes mapped accounting code(s) denotes access permission

denotes no access permission

OTC Endpoint

- TTTL - Training Team Top Level
- LL1 - Lower Level 1 CHK TGA

5. Under **Export as**,
 - Select a **PDF, Excel or Word**
 - Click **Download**

Or

- Click **Print PDF Report**

Figure 40. CIRA Transmission Summary Report Preview Page

CIRA Transmission Summary Report

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CIRA Transmission Summary Report
Transmission Date and Time: 09/04/2014 14:36

	Items	Amount
Total Activity:	10	\$965.00

OTC Endpoint: ALL OTC Endpoint Only: N

OTC Endpoint	Description	ALC+2	Items	Amount
TTHLL2	Training Team Test Hierarchy Lower Level 2	2223334401	10	\$965.00
Total Transmission Activity:			10	\$965.00

Previous



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.

- 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 *CIRA Transmission Summary Report* preview page appears.
6. Under **Export as**,
 - Select a **PDF**, **Excel** or **Word**
 - Click **Download**

Or

- Click **Print PDF Report**



Application Tip

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

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 9).
2. Under **Administration Reports**, click **CIRA Transmission (Detailed) Summary Report** (see Figure 41).

Figure 41. Select CIRA Transmission (Detailed) Summary Report



- The *CIRA Transmission Summary (Detailed) Summary Report* page appears. Enter the search criteria for the report you would like to view (see Figure 42).

Under **Report Filters**,

- Select a **Date**
- Click **Submit Request**. The *Transmission Files* table for the selected date appears

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

- Click an **OTC Endpoint** to initiate the report (see Figure 42).

Figure 42. CIRA Transmission (Detailed) Summary Report Parameters Page

CIRA Transmission (Detailed) Summary Report 1

This report is used to view the detailed transactions sent to Debit Gateway.

Report Filters

Date:

Transmission Files for 09/04/2014

Current USD Documents

Select	Transmission Time	Migrated Data
<input checked="" type="radio"/>	09/04/2014 14:36	

Include Subordinate OTC Endpoint:
 Yes No

CHK denotes check capture
 TGA denotes deposit processing
 M denotes mapped accounting code(s)

🔒 denotes access permission
 🔒 denotes no access permission

OTC Endpoint

Contract All

- TTTL - Training Team Top Level 🔒
- LL1 - Lower Level 1 CHK TGA 🔒

5. The CIRA Transmission (Detailed) Summary Report appears.

Under **Export as**,

- Select a **PDF, Excel or Word**
- Click **Download**

Or

- Click **Print PDF Report**

Figure 43. CIRA Transmission (Detailed) Summary Report\

CIRA Transmission (Detailed) Summary Report

Export as: PDF (selected), Download, Print PDF Report

1 / 1 | 82.9% | Collaborate | Sign

Find

SENSITIVE BUT UNCLASSIFIED

CIRA Transmission (Detailed) Summary Report
Transmission Date and Time: 09/04/2014 14:36

OTC Endpoint: ALL OTC Endpoint Only: N

TTHLL2	Check Number	Date	Amount	Count	Total
	2223334401	09/04/2014 13:22:45	221003770213400000041	1	\$25.00
	2223334401	09/04/2014 13:21:15	221003770213400000040	1	\$30.00
	2223334401	09/04/2014 13:19:46	221009770212700000038	1	\$30.00
	2223334401	09/04/2014 13:21:52	221009770212700000039	1	\$25.00
OTC Endpoint Activity:				4	\$110.00
Total Transmission Activity:				4	\$110.00

Page 1 of 1
SENSITIVE BUT UNCLASSIFIED

Previous

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* parameters 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.

- 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 *CIRA Transmission (Detailed) Summary Report* preview page appears.
6. Under **Export as**,
 - Select a **PDF**, **Excel** or **Word**
 - Click **Download**

Or

- Click **Print PDF Report**



Application Tip

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

Statistical Report

The 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 **Statistical Report**.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 9 **Error! Reference source not found.**).
2. Under **Administration Reports**, click **Statistical Report** (see Figure 44).

Figure 44. Select Statistical Report



3. The *Statistical Report parameters* page appears. Enter the search criteria for the report you would like to view (see Figure 45).

Under **Report Filters**,

- Select a **From** and **To** Start Date range

The **From** and **To** Start Date range is searchable using a date range of up to 15 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
- Click **Yes** or **No** to Include Subordinate OTC Endpoints

4. Click an **OTC Endpoint** to initiate the report. The *Statistical Report* preview page appears.

Figure 45. Statistical Report Parameters Page

Statistical Report

This report can be generated only by Fiscal Service members.

Report Filters

Start Date

From: 09/17/2014

To: 09/17/2014

Item Type:
 Personal Non Personal Both

Processed At:
 Present Not Present Both

Process Type:
 ACH Paper Items Both

Include Subordinate OTC Endpoint:
 Yes No

Legend:
CHK denotes check capture TGA denotes deposit processing M denotes mapped accounting code(s)
🔒 denotes access permission 🔒 denotes no access permission

OTC Endpoint

Contract All

- TTTL - Training Team Top Level 🔒
 - LL1 - Lower Level 1 CHK TGA 🔒

Clear Cancel

5. Under **Export as**,
 - Select a **PDF, Excel or Word**
 - Click **Download**

Or

 - Click **Print PDF Report**

Figure 46. Statistical Report Preview Page

Statistical Report

Export as: PDF (selected), Download, Print PDF Report

1 / 1 | 82.9% | Collaborate | Sign

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Statistical Report
 Generated: 08/09/2016 01:15:57 PM EDT
 From Date: 09/17/2014 To Date: 09/17/2014
 OTC Endpoint: Lower Level 1 OTC Endpoint Only: N

Description	Number of Items	Dollar Value of Items	% of Dollar Value	% Number of Items
Total Transactions	3	\$702.00	n/a	n/a
Total ACH Transactions	3	\$702.00	100.00%	100.00%
Total Paper Transactions	n/a	n/a	n/a	n/a
Cancelled	0	\$0.00	0.00%	0.00%
Overall Success Rate	3	\$702.00	100.00%	100.00%
Total Items Sent Back to Agency	0	\$0.00	0.00%	0.00%
Total Returns Received	0	\$0.00	0.00%	0.00%
Returns Currently Eligible for Representation	0	\$0.00	n/a	n/a
Returns Successfully Processed	0	\$0.00	n/a	n/a
Returns Unsuccessfully Processed	0	\$0.00	n/a	n/a

Previous

View Administration Reports: Statistical Report

To view a 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 **Statistical Report**. The *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 is searchable using a date range of up to 15 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
- 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 *Statistical Report* preview page appears.
6. Under **Export as**,
 - Select a **PDF, Excel** or **Word**
 - Click **Download**

Or

- Click **Print PDF Report**



Application Tip

Additional button on the page that helps you perform other tasks:

- Click **Previous** to return to the previous page.

View CIR Transmission Status for Check Processing

The **View CIR Transmission Status for Check Processing** report allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing. The *View CIR Transmission Status for Check Processing* page is divided into two sections: Top section displays the check transmissions that have not been successfully processed by CIR. The bottom section displays all the check transmissions that have been sent to CIR regardless of their status.

Follow the steps below to view and/or print a **View CIR Transmission Status for Check Processing** report.

1. Click the **Reports** tab and click **Check Processing Reports**. The *View Check Processing Reports* page appears (refer to Figure 9).
2. Under **Administration Reports**, click **View CIR Transmission Status for Check Processing** (see Figure 47).

Figure 47. Select View CIR Transmission Status for Check Processing

View Check Processing Reports

Please select the Check Processing report you would like to view.

- ▶ **Business Reports**
- ▼ **Administration Reports**
 - CIRA Transmission Summary Report
 - CIRA Transmission (Detailed) Summary Report
 - Statistical Report
 - View CIR Transmission Status for Check Processing**

The *View CIR Transmission Status for Check Processing* parameters page appears. Click the **Transmission ID** to view the CIR transmission details or processing errors (see Figure 48).

Figure 48. View CIR Transmission Status Page

Location: Home >> Reports >> Check Processing Reports

View CIR Transmission Status

CIR Transmission(s) Not Processed:

Click on the Transmission ID to view the CIR transmission details or processing errors. [Refresh](#)

Transmission ID	Status	Create falseTimestamp	CIR Transmit falseTimestamp	CIR false Acknowledge falseTimestamp
OTCNETCHK2016-01-07T0938050099.xml	TRS-SENT	01/07/2016 09:38:30 AM ET	01/07/2016 09:40:36 AM ET	
OTCNETCHK2012-10-23T1327070012.xml	TRS-FAILED	10/23/2012 01:39:57 PM ET	10/23/2012 01:43:15 PM ET	10/23/2012 01:53:29 PM ET

All CIR Transmission(s):

Click on the Transmission ID to view the CIR transmission details or processing errors.

<< < 1-25 > >> of 3246 Records

Transmission ID	Status	Create falseTimestamp	CIR Transmit falseTimestamp	CIR false Acknowledge falseTimestamp
OTCNETCHK2016-01-12T1620470003.xml	TRS-PROCESSED	01/12/2016 04:21:06 PM ET	01/12/2016 04:22:48 PM ET	01/12/2016 04:33:48 PM ET
OTCNETCHK2015-04-27T0900040066.xml	TRS-PROCESSED	04/27/2015 09:02:01 AM ET	04/27/2015 09:03:44 AM ET	04/27/2015 09:13:27 AM ET
OTCNETCHK2015-04-27T0400060065.xml	TRS-PROCESSED	04/27/2015 04:02:45 AM ET	04/27/2015 04:07:01 AM ET	04/27/2015 04:21:47 AM ET

<< < 1-25 > >> of 3246 Records

[Return Home](#) [Refresh](#)

View Administration Reports: View CIR Transmission Status for Check Processing

To generate a View CIR Transmission Status for Check Processing report, complete the following steps:

1. Click the **Reports** tab.
2. Click **Check Processing Reports**. The *View Reports* page appears.
3. Under **Administration Reports**, click **View CIR Transmission Status for Check Processing**. The *View CIR Transmission Status for Check Processing* parameters page appears.
4. Click the **Transmission ID** to view the CIR transmission details or processing errors.
5. The *CIR Transmission Status Export/Print Report* preview page appears.

Under **Export as**,

- Select a **PDF**, **Excel** or **Word**
- Click **Download**

Or

- Click **Print PDF Report**



Application Tip

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

- Click **Previous** to return to the previous page.

Topic 5. Historical Reports

Check Processing Historical reports are used to query check records that are associated with batches that have a Received Date older than 18 months. All batches including batches with an **Open** or **Closed** status with a Received Date older than 18 months are saved in the Historical database.

Historical reports are generated asynchronously (not occurring at the same time), allowing you to continue to use OTCnet.

Note: Depending on the volume of data requested, it can take between 5 and 20 minutes for the report to generate.

If you are assigned the role of **Agency Manager**, **Check Capture Administrator**, **MVD Editor**, **MVD Viewer**, or **FS Viewer**, you are authorized to query and download CIRA CSV Historical reports.

You can search for check records by OTC Endpoint, User Defined Fields, Account Number, Bank Routing Number, Individual Reference Number (IRN), and other search criteria. If you run a search without specifying any criteria other than an OTC Endpoint, the search results include all checks in the system that you have access to view.

When the report request is submitted, its status is set to **Submitted**. After the report is successfully generated, the status is set to **Completed** and the report is available for download in CSV format.

Previously generated reports are available for 7 days and can be downloaded using the *View Previously Generated Reports* function. Duplicate report requests based on identical search parameters cannot be made within the same 7 day period; however, after 7 days the same report request can be submitted.

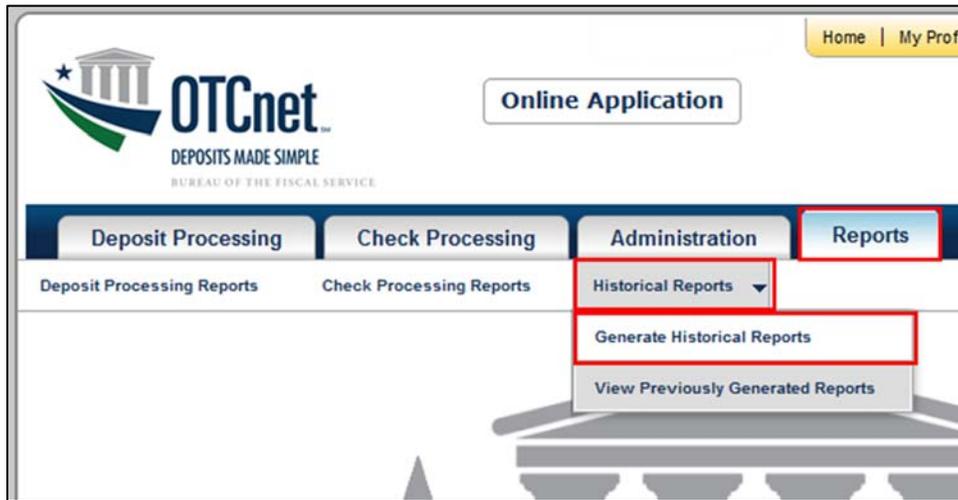
The OTCnet does not limit the number of rows that can be downloaded in a CIRA CSV historical report. However, if you use Microsoft Excel 2010 or higher, you will be able to view all records returned in a CIRA CSV historical file up to approximately 1 million rows. If you use Microsoft Excel 2003 and generate a CIRA CSV Historical report, any rows after 65,000 rows will not be displayed because Microsoft Excel 2003 has a 65,000 row limit.

CIRA CSV Historical Report

Follow the steps below to generate a CIRA CSV Historical Report.

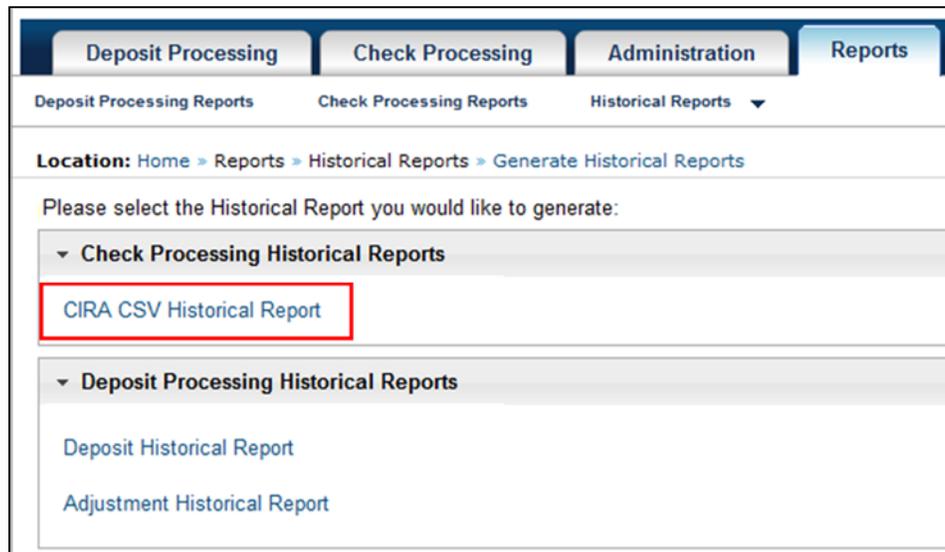
1. Click the **Reports** tab and select **Historical Reports** and click **Generate Historical Reports** (see Figure 50).

Figure 50. Reports Tab> Historical Reports>Generate Historical Reports



2. Under **Check Processing Historical Reports**, click **CIRA CSV Historical Report** (see Figure 51).

Figure 51. Select Deposit Historical Report



3. The *CIRA CSV Historical Report* page appears. Enter the search criteria for the report you would like to view.

- Select an **OTC Endpoint**, *required*

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

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.

- a. To search for a transaction using the CIRA CSV Historical Report search criteria, you can (see

b. Figure 52, Figure 53 and Figure 54):

By default, the **CIRA CSV Historical Report** screen is expanded. If the **CIRA CSV Historical Report** screen is expanded, the **CIRA CSV Historical Report- ACR** screen is collapsed.

Under **CIRA CSV Historical Report**,

- Select a **Form Name**
- Select a **Deploy Date**

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**

The **User Defined Fields** are visible based on the selected OTC Endpoint **Form Name** and **Deploy Date**.

Figure 52. CIRA CSV Historical Report (OTCnet Endpoint, Include Subordinates, Form Name, Deployment Date, UDFs)

CIRA CSV Historical Report

Please enter CIRA CSV Historical Report search criteria.
* Denotes required fields.

Search Criteria

OTC Endpoint:*

Configured OTC Endpoints

<< 1-1 >> of 1 Records

Select	OTC Endpoint	Highest Level Organization
<input type="radio"/>	ALL	

Include Subordinates

▼ CIRA CSV Historical Report

Form Name:

Deploy Date:

User Defined Fields

User Defined Field 1:

User Defined Field 2:

User Defined Field 3:

- Enter the **Account number**
- Enter the **Bank Routing Number**
- Enter the **IRN (Individual Record Number)**
- Enter the **Check Number**

If an **IRN** and a date range (**Received Date**, **Capture Date**, **Settlement Date**, and **Return Settlement Date**) are entered, OTCnet ignores the date range during report generation.

- Under **Check Amount**,
 - Select the appropriate drop-down field
 - Enter the check amount
- Select a **Settlement Status**
- Enter the **5515/Debit Voucher Number**

The **5515/Debit Voucher Number** represents items returned to agency due to unsuccessful collection efforts.

- Enter the **215/Deposit Ticket Number**

The **215/Deposit Ticket Number** represents items credited into FRB CA\$HLINK for a given agency on a given day.

- Enter the **Cashier ID**
- Enter the **Batch ID**

If a **Batch ID** and a date range (**Received Date**, **Capture Date**, **Settlement Date**, and **Return Settlement Date**) are entered, OTCnet ignores the date range during report generation.

Figure 53. CIRA CSV Historical Report (Account, BRN, IRN, Check Number, Check Amount, Settlement Status, 5515, 215, Cashier ID, and Batch ID)

Account:	<input type="text"/>
Bank Routing Number:	<input type="text"/>
IRN:	<input type="text"/>
Check Number:	<input type="text"/>
Check Amount:	<input type="text"/>
	Equal to <input type="text"/>
Settlement Status:	ALL <input type="text"/>
5515/Debit Voucher Number:	<input type="text"/>
215/Deposit Ticket Number:	<input type="text"/>
Cashier ID:	<input type="text"/>
Batch ID:	<input type="text"/>

Click the **Received Date**: radio button

- Select **From** and **To** Received Date range
- Or
- Select the **On** Received Date

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**).

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.

The **Received Date (From)** and **(To)** fields are searchable for a duration up to 31 days.

The **Received Date (From)** and **(To)** dates must be older than 18 months from the current date.

Or

Click the **Check Capture Date**: radio button

- Select **From** and **To** Check Capture Date range
- Or
- Select the **On** Check Capture Date

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**).

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**.

The **Check Capture Date (From)** and **(To)** fields are searchable for a duration up to 31 days.

The **Check Capture Date (From)** and **(To)** dates must be older than 18 months from the current date.

Or

Click the **Settlement Date**: radio button

- Select **From** and **To** Settlement Date range

Or

- Select the **On** Settlement Date

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**).

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.

The **Settlement Date (From)** and **(To)** fields are searchable for a duration up to 31 days.

The **Settlement Date (From)** and **(To)** dates must be older than 18 months from the current date.

Or

Click the **Return Settlement Date**: radio button

- Select the **From/On** Date range
- Select the **To** Date range

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**).

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.

The **Return Settlement Date (From)** and **(To)** fields are searchable for a duration up to 31 days.

The **Return Settlement Date (From)** and **(To)** dates must be older than 18 months from the current date.

Figure 54. CIRA CSV Historical Report (Received Date, Check Capture Date, Settlement Date and Return Settlement Date)

The screenshot shows a web interface for filtering CIRA CSV historical reports. It contains four sections, each with a radio button and a date range selector:

- Received Date:** Selected. Includes 'From' and 'To' dropdown menus, empty text input fields, and calendar icons.
- Check Capture Date:** Unselected. Includes 'From' and 'To' dropdown menus, empty text input fields, and calendar icons.
- Settlement Date:** Unselected. Includes 'From' and 'To' dropdown menus, empty text input fields, and calendar icons.
- Return Settlement Date:** Unselected. Includes 'From' and 'To' dropdown menus, empty text input fields, and calendar icons.

Or

- c. To query for an ACR transaction, you can:
- Click **CIRA CSV Historical Report – ACR** to expand the screen,
 - Select a **Form Name**
 - Select a **Deploy Date**

By default, the **CIRA CSV Historical Report - ACR (Adjustment, Correction, and Rescission)** screen is collapsed. If the **CIRA CSV Historical Report - ACR** screen is expanded, the **CIRA CSV Historical Report** screen is collapsed.

- Select an **ACR Type**

ACR Type options include **All ACR**, **Adjustment**, **Correction**, and **Rescission**.

- Select an **ACR Reason Code**

ACR Reason Code options include **Duplicate Transaction Processed**, **Non-Cash Item**, **Transaction Amount Correction**, **Representment**, **Warranty Indemnity Claim**, **Voucher Date Change**, **Voucher Number Change**, **Account Switch**, and **ACH Reversal**. **ACR Type** and **ACR Reason Code** have a parent-child relationship.

- Enter an **ACR Voucher Number**

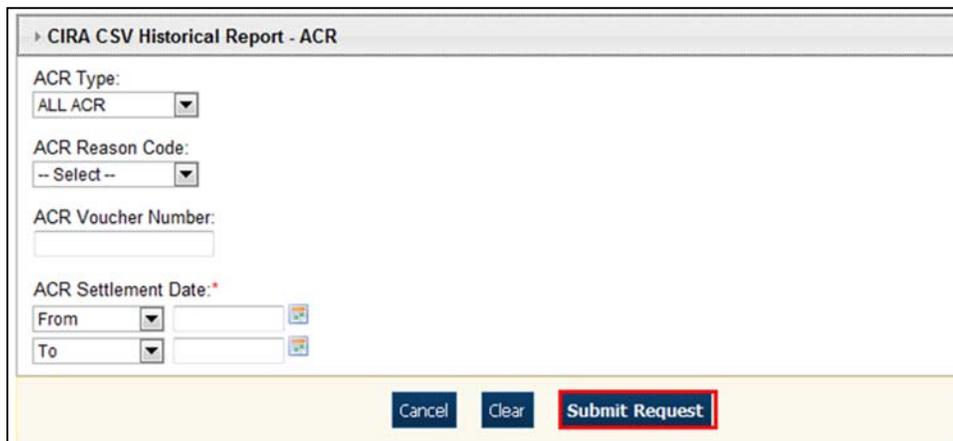
The maximum numeric characters value for **ACR Voucher Number** is six.

- Enter the From and To **ACR Settlement** range, *required*

The **From** and **To ACR Settlement** fields are searchable for a duration up to 90 days. Additionally, the **From** and **To ACR Settlement** dates must be older than 18 months from the current date.

4. Click **Submit Request** (see Figure 55).

Figure 55. CIRA CSV Historical Report - ACR



› CIRA CSV Historical Report - ACR

ACR Type:
ALL ACR

ACR Reason Code:
--Select--

ACR Voucher Number:

ACR Settlement Date:*

From

To

Cancel Clear **Submit Request**

5. A “Your report request has been successfully received” message appears (see Figure 56).

Figure 56. CIRA CSV- Request Successfully Submitted



CIRA CSV Historical Report

Please enter CIRA CSV Historical Report search criteria.
Your report request has been successfully received.
* Denotes required fields.



CIRA CSV Historical Report

To view a CIRA CSV historical report, complete the following steps:

1. Click the **Reports** tab.
2. Select **Historical Reports** and click **Generate Historical Reports**. Under **Check Processing Historical Reports** select **CIRA CSV Historical Report**. The *CIRA CSV Historical Report* page appears.



Application Tip

The CIRA CSV historical report is generated asynchronously (not occurring at the same time) allowing you to continue using the OTCnet application. Depending on the volume of data queried it can take between 5 and 20 minutes to generate the report.

3. 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.

4. To search for a transaction:
 - a. Using the **CIRA CSV Historical Report** search criteria, you can:

**Application Tip**

By default, the **CIRA CSV Historical Report** screen is expanded. If the **CIRA CSV Historical Report - ACR** screen is expanded, the **CIRA CSV Historical Report** screen is collapsed.

Under **CIRA CSV Historical Report**,

- Select a **Form Name**
- Select a **Deploy Date**

**Application Tip**

The **Form Name** is the name/list of available forms available for the selected OTC Endpoint. The **Deploy Date** is the date, time and version number of the selected form.

**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** and a date range (**Received Date**, **Capture Date**, **Settlement Date**, and **Return Settlement Date**) are entered, OTCnet ignores the date range during report generation.

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 FRB CA\$HLINK for a given agency on a given day.

- Enter the **Cashier ID**
- Enter the **Batch ID**

**Application Tip**

If a **Batch ID** and a date range (**Received Date**, **Capture Date**, **Settlement Date**, and **Return Settlement Date**) are entered, OTCnet ignores the date range during report generation.

Click the **Received Date**: radio button

- Select **From** and **To** Received Date range
- Or
- Select the **On** Received Date



Application Tip

Consider the following information about the **Received Date (From) and (To)**:

- 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**).
- **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.
- The **Received Date (From)** and **(To)** fields are searchable for a duration up to 31 days.
- The **Received Date (From)** and **(To)** dates must be older than 18 months from the current 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

Consider the following information about the Check Capture **Date (From) and (To)**:

- 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**).
- **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**.
- The **Check Capture Date (From)** and **(To)** fields are searchable for a duration up to 31 days.
- The Check Capture **Date (From)** and **(To)** dates must be older than 18 months from the current date.

Or

Click the **Settlement Date**: radio button

- Select **From** and **To** Settlement Date range

Or

- Select the **On** Settlement Date



Application Tip

Consider the following information about the **Settlement Date (From) and (To)**:

- 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**).
- **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.
- The **Settlement Date (From)** and **(To)** fields are searchable for a duration up to 31 days.
- The **Settlement Date (From)** and **(To)** dates must be older than 18 months from the current date.

Or

Click the **Return Settlement Date**: radio button

- Select the **From/On** Date range
- Select the **To** Date range



Application Tip

Consider the following information about the **Return Settlement Date (From) and (To)**:

- 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**).
- **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.
- The **Return Settlement Date (From)** and **(To)** fields are searchable for a duration up to 31 days.
- The **Return Settlement Date (From)** and **(To)** dates must be older than 18 months from the current date.

Or

b. To query for an ACR transaction, you can:

- Click **CIRA CSV Historical Report - ACR** to expand the screen



Application Tip

By default, the **CIRA CSV Historical Report - ACR (Adjustment, Correction, and Rescission)** screen is collapsed. If the Search ACR Transaction screen is expanded, the **CIRA CSV Historical Report** screen is collapsed.

- Select an **ACR Type**



Application Tip

Search ACR Transaction options include **All ACR**, **Adjustment**, **Correction**, and **Rescission**.

- Select an **ACR Reason Code**



Application Tip

ACR Reason Code options include **Duplicate Transaction Processed**, **Non-Cash Item**, **Transaction Amount Correction**, **Representation**, **Warranty Indemnity Claim**, **Voucher Date Change**, **Voucher Number Change**, **Account Switch**, and **ACH Reversal**.

- Enter an **ACR Voucher Number**



Application Tip

The maximum numeric characters value for **ACR Voucher Number** is six.

- Enter the **From** and **To** ACR Settlement range, *required*



Application Tip

The **From** and **To ACR Settlement** fields are searchable for a duration up to 90 days. Additionally, the **From** and **To ACR Settlement** dates must be older than 18 months from the current date.

- Click **Submit Request**. A “*Your report request has been successfully received*” message 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 **Clear** to clear all data fields and reset to the default selections.

Previously Generated Historical Reports

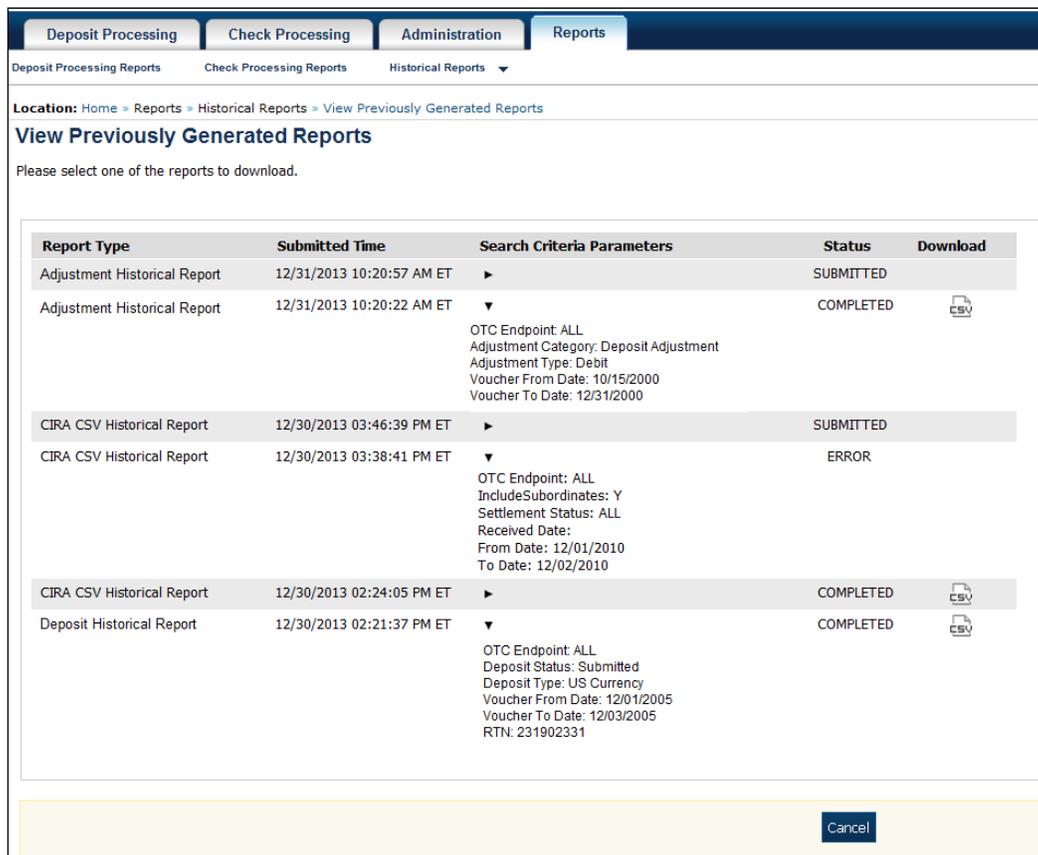
1. Click the **Reports** tab and click **Historical Reports**. From the **Historical Reports** menu, select **View Previously Generated Reports** (see Figure 57).

Figure 57. Select Generate Historical Reports



2. The *View Previously Generated Reports* page appears (see Figure 58). Click  in the **Download** column for the report you wish to download.

Figure 58. View Previously Generated Reports



3. The *File Download* dialog box appears. Click **Open**, **Save**, or **Cancel**.



View Previously Generated Historical Reports

To view previously generated historical reports:

1. Click the **Reports** tab.
2. Select **Historical Reports** and click **View Previously Generated Reports**. The *View Previously Generated Reports* page appears.



Application Tip

Consider the following information about generating a Historical Report:

- When a report request is submitted, its status is **Submitted**.
- When a report is successfully generated, the status is **Completed** and available for download.
- When a report request is submitted and the Historical Database is unavailable, an informational message appears stating, “*Historical Database is currently unavailable. All reports in Submitted status will be processed when the Historical Database is available.*” Report requests that are in **Submitted** status will remain in **Submitted** status until the database is available and the report is generated. After the report is generated a **Completed** status is displayed.
- When a report request is submitted and the report could not generate (e.g. code error), its status is **Error**. Resubmit your report request to ensure your report is generated. If a report displays an **Error** status, the request can be resubmitted at any time without receiving a duplicate request message.

3. Select one of the reports to download and under the **Download** column, click  **Download**. The *File Download* dialog box appears.



Application Tip

After the CSV file is downloaded, it can be opened using Excel or Notepad.



Application Tip

Previously generated reports are available for 30 days. Duplicate report requests based on identical report parameters cannot be made within the same 7 day period; however, after 7 days a duplicate report request can be submitted. Report requests are user specific and are not viewable by other users.



Application Tip

The CIRA CSV Historical Report page is configured to download a maximum of 31 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.

4. Click **Open**, **Save**, or **Cancel**.



Application Tip

If you click **Open**, the content of the file displays. If you click **Save**, choose the location where you want to save the file. If you click **Cancel**, the dialog box closes and no data will be saved.



Application Tip

Additional button on the page that helps you perform other tasks:

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

Summary

This chapter provided information on:

- 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 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 an ACR Activity 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 a Statistical Report
- How to view and download Historical Reports

Glossary

A

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 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report – A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report – A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager – A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 roles 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.

Bureau of the Fiscal Service (FS) – (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator – An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Image Report – A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number – The printed number of the check writer's check.

CIRA CSV Historical Report – A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) – A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status – Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR) – (formerly 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.

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 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.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate – The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed – The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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 Fiscal Service’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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) – It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers’ maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR File Status Report – An administration report allows you to view the status of CIR files that have been processed by Collections Information Repository (CIR) or are ready for CIR to process.

View CIR Transmission Status for Check Processing – A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number – The number assigned to a deposit by OTCnet.



Chapter 8: Troubleshooting

OTCnet Participant User Guide

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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. 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 3, option 4 or via email at fiscalservice.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 3, 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 (see Figure 1).

Figure 1. Single Sign OnPage (Forgot Your Password? Link)

The screenshot shows the OTCnet Single Sign On page. At the top, there are links for "Forgot your Password?", "Forgot your User Id?", and "Register?". Below this is the Bureau of the Fiscal Service logo and the text "U.S. DEPARTMENT OF THE TREASURY". A "Log In To:" link points to "https://otcnet.fms.treas.gov/index.html". The main content area is titled "Select an authentication method and enter your credentials". On the left, there are three options: "SSO User ID and Password", "SecurID Token", and "PKI Certificate". The "SSO User ID and Password" option is selected, and it shows a form with "User ID:" and "Password:" fields, "Log In" and "Reset" buttons, and a "Forgot your User Id?" link. The "Forgot your Password?" link is highlighted with a red box. Below the form, there is a "WARNING" section with a "NOTE" section. At the bottom, there are links for "Accessibility", "Contacts", and "Privacy Policy", and the text "U. S. Department of the Treasury - Bureau of the Fiscal Service".

2. The *Treasury Self-Service Account/Password Reset* page appears. Enter the words that you see in the image in the text box and click Next (see Figure 2).

Figure 2. Forgot Your Password Page

Logged in as: [username] | [date/time]

LOGOUT SWITCH APPLICATION HELP

Treasury User Provisioning

Treasury Self Service

In the space below, enter the words that you see in the image above.

New Image Audio Test Help

Next>> Cancel

3. The *Treasury Enterprise ID* page appears. Enter your Treasury Login (User ID) and click Next (see Figure 3).

Figure 3. Enter Treasury Enterprise ID (User ID)

Logged in as: [username] | [date/time]

LOGOUT SWITCH APPLICATION HELP

Treasury User Provisioning

Please enter your Treasury Enterprise ID

Treasury Login : *

Click "Next" to have an email sent to you with instructions for resetting your password.
You will be required to answer the secondary authentication questions that you have previously setup for your account. * indicates a required field

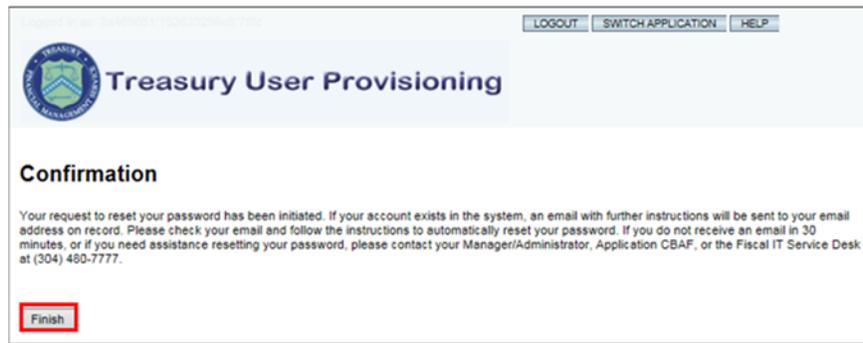
Next>> Cancel

A confirmation page appears. Click Finish (see Figure 4. Password Request Confirmation



You will receive an email to your official email address with further instructions to complete the Self-Service Account/Password Reset process.

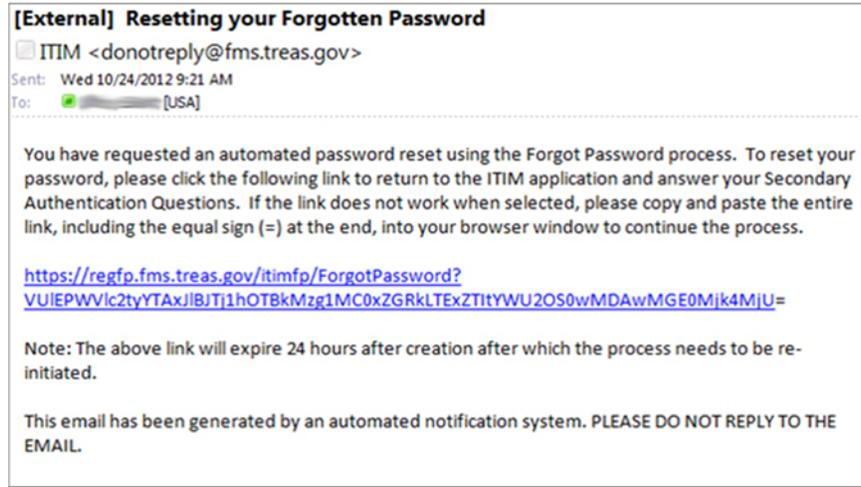
Figure 4. Password Request Confirmation



5. Check your email. After you received the email link to reset your password, copy and paste the entire link (including the equal sign "=") in the web browser.

Each reset password web link is unique. The link shown below is for example purposes only.

Figure 5. Resetting Your Forgotten Password Email



- 6. The *Answer Challenge/Responses Questions Provide Responses* page appears. Enter your answers for the challenge questions and click **Reset My Password** (see Figure 6).

You will receive an email to your official email address with further instructions to complete the Self-Service Account/Password Reset process.

Figure 6. Answer Challenge/Response Questions - Provide Responses



- 7. The *Challenge/Response Questions – Completed* page appears. Click **Close Browser** (see Figure 7).

Figure 7. Answer Challenge/Response Questions - Completed



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 3, option 4 or via email at fiscalservice.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 Guide*.

Topic 4. Troubleshooting Scanner and Printer Issues

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 (EC 7000i 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 8 below. The scanner automatically pulls the check through to begin the scan.

Figure 8. 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.	EC7000i
Three short beeps LED is flashing red	The unit was not successful in reading the MICR line.	EC7000i

Tone	Meaning	Scanners
One long beep LED is flashing red	An error occurred during processing or storing of the captured image.	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 EC7000i scanner 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**.

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 Check Processing Error Messages

The following error messages may occur while performing check processing functions in 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.
SCNCHK004	"User Defined Field" is required.
SCNCHK005	The "User Defined Field" must be in yyyy/mm/dd format.
SCNCHK006	The "User Defined Field" must be in mm/dd/yyyy format.
SCNCHK007	The value for "User Defined Field" field is not within allowed minimum/maximum value.
SCNCHK008	The "User Defined Field" value is more than 256 characters.
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.

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.”
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.
MNGBCH008	Void Item [IRN #] Are you sure?
MNGBCH009	Void Item [IRN #] Successful

Message Number	Message Text
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".

If an error message displays that is not indicated in this Troubleshooting section, or if you are experiencing additional problems, please contact Customer Service at 866-945-7920, or 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, option 4 or email fiscalservice.OTCChannel@citi.com.

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 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, option 4 or via email at fiscalservice.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/Fiscal Service 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/Fiscal Service 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. Refilling the 'Electronically Processed' Hand Stamp

If your agency uses 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 EC7000i scanners can be setup to automatically stamp the checks using the scanner's franking functionality. For information on setting up the EC7000i scanners to frank checks, see *Appendix User Guide*.

When the hand stamp needs to be refilled, follow these steps (see Figure 9, Figure 10 and Figure 11):

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 9. 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 10. Step 2: Refill Hand Stamp



3. Add ink drops onto the ink pad.

Figure 11. 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.

Glossary

A

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 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report - A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report - A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) - The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager - A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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.

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 roles 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.

Bureau of the Fiscal Service (FS) - (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator - An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor - An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Clearing Act for the 21st Century - The law that took effect on October 28, 2004 that states that an Image Replacement Document (IRD) (electronic image of a check) is legally the equivalent of the original document therefore eliminating the need to clear the physical check.

Check Image Report - A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number - The printed number of the check writer's check.

CIRA CSV Historical Report - A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) - A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status - Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR)- (formerly 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.

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.

Create Deposit - Allows a user to create a deposit for an organization.

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.

Debit Voucher Report (5515 Report) - The report provided by FRB-C to an agency that funds have been debited for their CA\$HLINK II account.

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 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 Ticket Report (215 Report) - The report provided by FRB-C to an agency that funds have been deposited into their CA\$HLINK II account.

Deposit Total - The total amount of over-the-counter receipts included in the deposit.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate - The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed - The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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 FS'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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) - It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers' maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR File Status Report - An administration report allows you to view the status of CIR files that have been processed by Collection Information Repository (CIR) or are ready for CIR to process.

View CIR Transmission Status for Check Processing - A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number - The number assigned to a deposit by OTCnet.



Chapter 9: Appendix

OTCnet Participant User Guide

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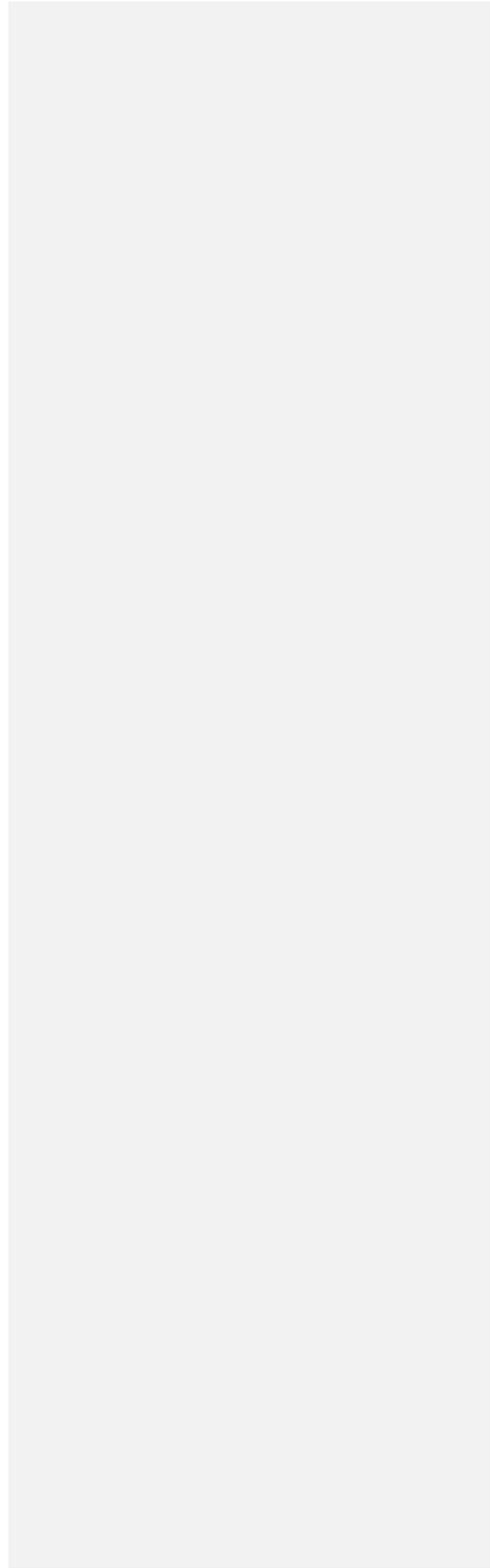


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Audience, Overview and Appendixes

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 representations
- 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 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. All other computer hardware is purchased through another vendor or by contacting an OTCnet Deployment Specialist. Treasury/BFS 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 endpoint 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 policy is established during the set-up of an 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 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, option 4, or via email at fiscalservice.OTCChannel@citi.com.

Look up Phone Numbers for Financial Institutions

To find phone numbers and email addresses please go to www.fededirectory.frb.org. Contact the Treasury OTC Support Center at 866-945-7920, or 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, option 4 or via email at fiscalservice.OTCChannel@citi.com.

Appendix B. Password Requirements

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.

- For OTCnet Online, passwords must be at least 8 characters long. For OTCnet Offline, passwords must be at least **8 characters** long for OTCnet Offline versions prior to 2.0.1 and at least **10 characters** long for OTCnet Offline versions 2.0.1 and above
- Passwords have a maximum limit 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 from the previous ten passwords used for each 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 quality image. Agencies should be aware that overriding a poor quality image may result in a returned item, depending upon the paying financial institution.

below illustrates a poor quality image. **Error! Reference source not found.** below is an example of a good quality image. **Error! Reference source not found.** shows an Image Quality Failed message.

Figure 1. Poor Image Quality

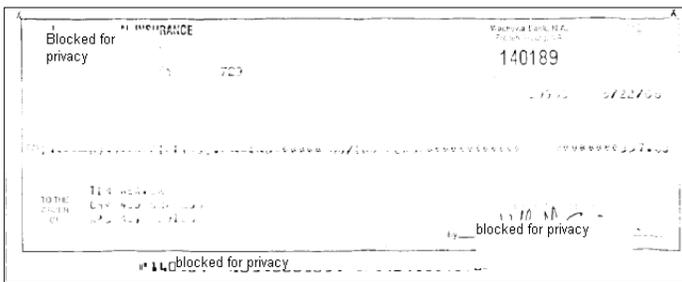


Figure 2. Good Image Quality

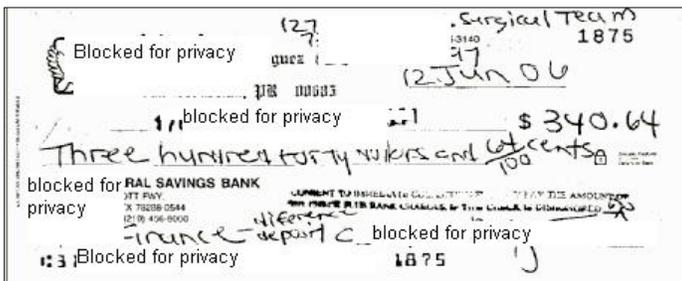
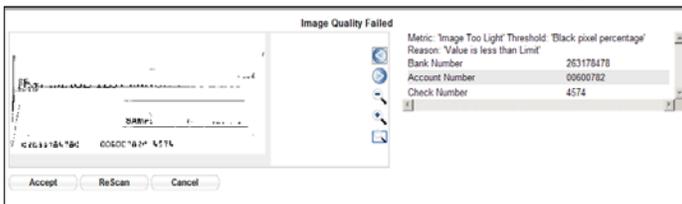


Figure 3. Image Quality Failed Message



Appendix D. Central Image Research (CIRA) Query

The Central Image Research Archive (CIRA) (see **Error! Reference source not found.**) 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

The screenshot displays the CIRA Query interface. At the top, it prompts the user to "Enter search criteria for the CIRA item(s) you would like to view." Below this, there is a "Search Criteria" section with an "OTC Endpoint" input field and a "Max 20 alpha-numeric characters" limit. A "Configured OTC Endpoints" table is shown with columns for "Select", "OTC Endpoint", and "Highest Level Organization". One entry is visible: "LL1" for "Training Team Top Level -0002099".

On the left side, there are several filter sections: "Include Subordinates" (checked), "CIRA Query" (with "Form Name" and "Deploy Date" dropdowns), and "User Defined Fields" (with four empty input fields). The main search area includes "Settlement Status" (dropdown), "515/Debit Voucher Number", "215/Deposit Ticket Number", "Cashier ID", and "Batch ID" input fields. There are also three date range filters: "Received Date", "Check Capture Date", and "Return Settlement Date", each with "From" and "To" dropdowns. At the bottom, there is a "Search ACR Transaction" section and buttons for "Cancel", "Clear", "Search", and "Count".

As a CIRA Viewer, MVD Viewer and MVD Editor, you can utilize the CIRA query function of OTCnet to search for and locate checks.

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

* Note: Some labels in the CSV report appear slightly differently than they do in other parts 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
3		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
4		Total number of items value	Number	81	Number of items queried
4a		Error message	String	TOTAL NUMBER OF ITEMS EXCEEDS 65000. RETURNING FIRST 65000 ITEMS	Error message displayed if the number of items in the CSV exceeds 65,000 items.
5		IRN	String	IRN	Constant String column header, value of the IRN
5		OTC ENDPOINT	String	OTC ENDPOINT	Constant String column header, ALC+2
5		ALC + 2	String	ALC + 2	Constant String column header, ALC + 2
5		CAPTURE DATE	String	CAPTURE DATE	Constant String column header, Time the image and data was originally captured
5		RECEIVE DATE	String	RECEIVE DATE	Constant String column header, Time the data was processed by OTCnet
5		TRANSIT NUMBER	String	TRANSIT NUMBER	Constant String column header, Routing number parsed from RAW MICR
5		CHECK NUMBER	String	CHECK NUMBER	Constant String column header, Check number parsed from RAW MICR
5		ACCOUNT	String	ACCOUNT	Constant String column header, Account number parsed from RAW MICR
5		AMOUNT	String	AMOUNT	Constant String column header, Amount of the payment
5		CASHIER ID	String	CASHIER ID	Constant String column header, Value provided by A L C+2 for the operator id
5		ITEM TYPE	String	ITEM TYPE	Constant String column header, Item Type – either "Personal" or "Non-Personal"

Line Number	Field Number	Name	Type	Format/Sample	Description
5		PROCESSING METHOD	String	PROCESSING METHOD	Constant String column header, Processing Method – 3 options “Customer Not Present”, “Customer Present” or “Back Office”
5		BATCH ID	String	BATCH ID	Constant String column header. Batch containing the IRN
5		SETTLEMENT DATE	String	SETTLEMENT DATE	Constant String column header. Settlement Date
5		RETURN SETTLEMENT DATE	String	RETURN SETTLEMENT DATE	Constant String column header. Return Settlement Date
5		DEBIT VOUCHER NUMBER	String	DEBIT VOUCHER NUMBER	Constant String column header. Debit Voucher Number
5		DEPOSIT TICKET NUMBER	String	DEPOSIT TICKET NUMBER	Constant String column header. Deposit Ticker Number
5		USER FIELD 1	String	USER FIELD 1	Constant String column header
5		USER FIELD 2	String	USER FIELD 2	Constant String column header
5		USER FIELD 3	String	USER FIELD 3	Constant String column header
5		USER FIELD 4	String	USER FIELD 4	Constant String column header
5		USER FIELD 5	String	USER FIELD 5	Constant String column header
5		USER FIELD 6	String	USER FIELD 6	Constant String column header
5		USER FIELD 7	String	USER FIELD 7	Constant String column header
5		USER FIELD 9	String	USER FIELD 9	Constant String column header
5		USER FIELD 10	String	USER FIELD 10	Constant String column header
5		USER FIELD 11	String	USER FIELD 11	Constant String column header
5		USER FIELD 12	String	USER FIELD 12	Constant String column header
5		USER FIELD 13	String	USER FIELD 13	Constant String column header
5		USER FIELD 14	String	USER FIELD 14	Constant String column header
5		USER FIELD 15	String	USER FIELD 15	Constant String column header
5		USER FIELD 16	String	USER FIELD 16	Constant String column header
5		USER FIELD 17	String	USER FIELD 17	Constant String column header
5		USER FIELD 18	String	USER FIELD 18	Constant String column header
5		USER FIELD 19	String	USER FIELD 19	Constant String column header
5		USER FIELD 20	String	USER FIELD 20	Constant String column header
5		USER FIELD 21	String	USER FIELD 21	Constant String column header
5		USER FIELD 22	String	USER FIELD 22	Constant String column header
5		USER FIELD 23	String	USER FIELD 23	Constant String column header
5		USER FIELD 24	String	USER FIELD 24	Constant String column header
5		AGENCY ACCOUNTING CODE, DESCRIPTION AND CLASSIFICATION AMOUNT	String	AGENCY ACCOUNTING CODE, DESCRIPTION AND CLASSIFICATION AMOUNT	Constant String Column Header, accounting code value, description and classification amount
5		VOUCHER DATE	String	VOUCHER DATE	Constant String column header, Time the voucher was originally created

Line Number	Field Number	Name	Type	Format/Sample	Description
5		ACR TYPE	String	ACR TYPE	Constant String, column header containing the ACR Type
5		ACR REASON CODE	String	ACR REASON CODE	Constant String, column header containing the ACR Reason Code
5		ACR ALC	String	ACR ALC	Constant String, column header containing the ACR ALC
5		ACR ALC+2	String	ACR ALC+2	Constant String, column header containing the ACR Endpoint
5		ACR VOUCHER DATE	String	ACR VOUCHER DATE	Constant String, column header containing the ACR Voucher Date
5		ACR VOUCHER NUMBER	String	ACR VOUCHER NUMBER	Constant String, column header containing the ACR Voucher Number
5		ACR SETTLEMENT DATE	String	ACR SETTLEMENT DATE	Constant String, column header containing ACR Settlement Date
5		ACR CREDIT INDICATOR	String	ACR CREDIT INDICATOR	Constant String, column header containing either Credit or Debit
5		ACR AMOUNT	String	ACR AMOUNT	Constant String, column header containing the ACR amount
5		Legal TRANSACTION AMOUNT	String	Legal TRANSACTION AMOUNT	Constant String, column header containing the Legal Transaction Amount
5		Blank Field (25)	N/A	BLANK FIELD 25	

Sample File Layout

The following is a sample file layout with details starting at Line Number 5:

- The system shall generate a report that can contain a possible maximum of 65,000 line items. This is an increase in the limit from PCC OTC, which currently caps the report at a possible maximum of 10,000 line items.
- If the CSV file contains more than 65,000 items, the system will display an error message preceding the IRN and will be enclosed in quotations.

Table 2. Sample File Layout

Field Number	Name	Type	Sample value
	IRN	String	111201500244600000608
	OTC ENDPOINT	String	0000633502
	ALC + 2	String	0000633502
	CAPTURE DATE	Date/Time	2002-07-19 14:11:14
	RECEIVE DATE	Date/Time	2002-07-22 07:31:19
	TRANSIT NUMBER	String	251480576
	CHECK NUMBER	String	4114784
	ACCOUNT	String	787910415647
	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	Date/Time	2002-08-22 07:43:10
	RETURN SETTLEMENT DATE	Date/Time	2002-08-23 07:43:10
	DEBIT VOUCHER NUMBER	String	24
	DEPOSIT TICKET NUMBER	String	8
	USER FIELD 1	String	USER FIELD 1
	USER FIELD 2	String	USER FIELD 2
	USER FIELD 3	String	USER FIELD 3
	USER FIELD 4	String	USER FIELD 4
	USER FIELD 5	String	USER FIELD 5
	USER FIELD 6	String	USER FIELD 6
	USER FIELD 7	String	USER FIELD 7
	USER FIELD 8	String	USER FIELD 8
	USER FIELD 9	String	USER FIELD 9
	USER FIELD 10	String	USER FIELD 10
	USER FIELD 11	String	USER FIELD 11
	USER FIELD 12	String	USER FIELD 12
	USER FIELD 13	String	USER FIELD 13
	USER FIELD 14	String	USER FIELD 14
	USER FIELD 15	String	USER FIELD 15
	USER FIELD 16	String	USER FIELD 16
	USER FIELD 17	String	USER FIELD 17
	USER FIELD 18	String	USER FIELD 18
	USER FIELD 19	String	USER FIELD 19
	USER FIELD 20	String	USER FIELD 20
	USER FIELD 21	String	USER FIELD 21
	USER FIELD 22	String	USER FIELD 22

Field Number	Name	Type	Sample value
	USER FIELD 23	String	USER FIELD 23
	USER FIELD 24	String	USER FIELD 24
	AGENCY ACCOUNTING CODE, DESCRIPTION AND CLASSIFICATION AMOUNT	String	ARMYCODE1: ARMYDESCRIPTION 1: 10.00; ARMYCODE2: ARMYDESCRIPTION 2: 10.00;
	VOUCHER DATE		1/31/2014 07:43:10
	ACR TYPE	String	Adjustment
	ACR REASON CODE	String	Transaction Amount Correction
	ACR ALC	String	20004444
	ACR ALC+2	String	2000444422
	ACR VOUCHER DATE	String	2/08/2014 07:43:10
	ACR VOUCHER NUMBER	String	5864000
	ACR SETTLEMENT DATE	String	2/12/2014 07:43:10
	ACR CREDIT INDICATOR	String	Credit
	ACR AMOUNT	String	\$100.00
	Legal TRANSACTION AMOUNT	String	\$138.81
	Blank Field (25)	N/A	Empty Value

Appendix F. Master Verification Database (MVD)

The Master Verification Database (MVD) (see **Error! Reference source not found.** 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



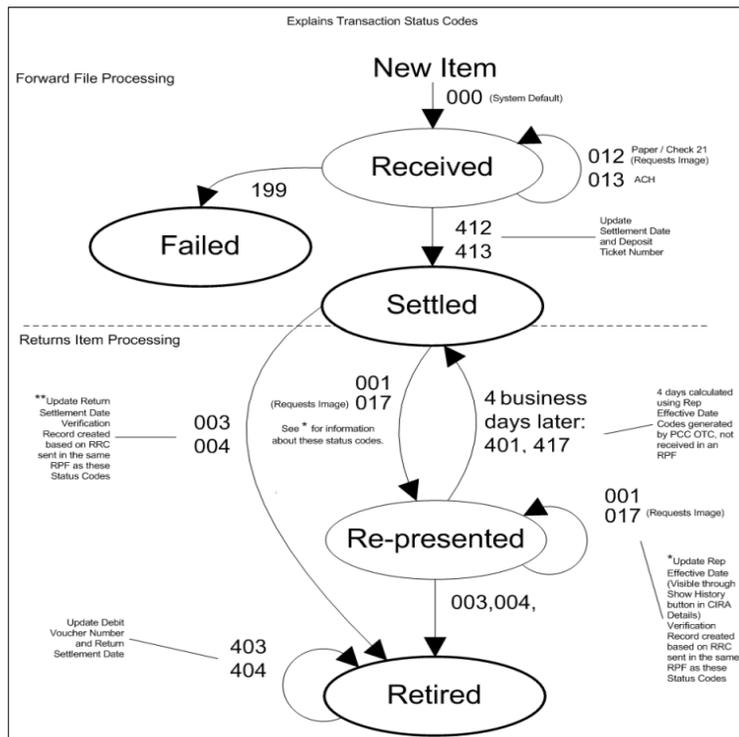
The verification database is an optional online database that maintains the agency hierarchy check cashing policy, dishonored check information, and manually entered blocked items based on an Agency's policy.

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. Representation

The figure below illustrates the representation 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 scanner(s). 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 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, option 4 or via email at fiscalservice.otcdeployment@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.

Deleted: following pieces of equipment:

Deleted: S

Deleted: and Yes/No keypads

Appendix I. OTCnet Check Capture Codes

ACH Return Reason Codes

ACH return reason codes are used when an item, which has been converted to an ACH entry, is returned. They are used by the paying institution from where the item is drawn, when returning 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) (see **Error! Reference source not found.**).

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)

Return Reason Code (RRC)	Description
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

Return Reason Code (RRC)	Description
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

Check 21 return codes are used by the paying Financial Institution, where the item was drawn, when a Check 21 transaction, originally processed by OTCnet, is returned. The return reason code for a particular item is listed on the Debit Voucher Report (SF5515) (see **Error! Reference source not found.**).

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

Return Code	Description
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 lists and describes transaction status codes applied in OTCnet during forward file and return processing (see **Error! Reference source not found.**).

Table 5. Transaction Status Codes

Transaction Status Code	Description	System Action
000	Received	In-Process status assigned by Treasury/Fiscal Service
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.
403 404	ACH Retire Paper Retire	Change status to Retired. 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.
- A Return Processing File is sent. Codes 199, 012 and 013 are sent in this Return Processing File
- 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 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 (e.g., insufficient funds, account closed).
- A Return Processing File containing the return reason code is sent. All status codes in the Return Processing File begin with a zero which indicates 'accepted'. It is NOT in its 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 four days from the Rep Effective Date, the item status in OTCnet will be updated to a transaction status code of 401 or 417
- An ACH item can usually only be represented twice unless specific arrangements are made. Upon the third representation, the item will be retired in OTCnet. Paper items can only be represented once and will retire in OTCnet upon the second representation. Endpoints can also choose to not have items represent in which case an item would just retire
- Code 017 updates the status code to represented and generate an image request
- Items with codes 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 second Return Processing File, the 'return settlement' file is then sent. This file does not contain return reason codes. Transaction status codes in this Return Processing File 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.

- The Reserve Banks will return items drawn on retired RTNs directly to the bank of first deposit. This result in these items being returned to the bank of first deposit generally the same day that they are deposited with the Reserve Banks. Debit Gateway will use return reason code **6 – Retired/Ineligible Routing Number**.

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 educational, 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 and biometric records (*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.

Access Control

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.

Effects on OTCnet

- 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. Fiscal Service 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.

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 plan 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 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, 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 Special Publication 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 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 equipment, 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 equipment, 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 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, 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 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, option 4 or via email at fiscalservice.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 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, option 4 or via email at fiscalservice.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 its 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.

Glossary

A

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 CASHLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report – A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report – A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager – A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 roles 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.

Bureau of the Fiscal Service (FS) – (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator – An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Image Report – A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number – The printed number of the check writer's check.

CIRA CSV Historical Report – A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) – A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status – Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR) – (formerly 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.

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 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.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate – The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed – The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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 FS'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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) – It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers' maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR File Status Report - An administration report allows you to view the status of CIR files that have been processed by Collection Information Repository (CIR) or are ready for CIR to process.

View CIR Transmission Status for Check Processing – A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number – The number assigned to a deposit by OTCnet.



Chapter 10: RDM Scanner

OTCnet Participant User Guide

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Audience and Overview

Audience

The intended audience for the *RDM Scanner Appendix* includes:

- Check Capture Administrator (CCA)
- Check Capture Supervisor (CCS)
- Check Capture Lead Operator (CCLO)
- Check Capture Operator (CCO)

Overview

Welcome to *RDM Scanner Appendix*. This chapter contains information on:

- How to install an EC7000i* series scanners

* Note OTCnet does not currently support EC7500i series scanners.

EC7000i and EC7500i Series Scanners User Guide

July 2014

RDM[®]

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RDM Corporation
www.rdmcorp.com

End-User/Customer Agreement

Please read the end-user/customer agreement regarding software license and warranty terms during the installation of the application.

Compliance statements

FCC Compliance Statement

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.

Warning: Changes or modifications not expressly approved by RDM could void the user's authority to operate the equipment.

All units covered by this manual have no user-serviceable parts inside. In the event repairs are ever needed to any RDM product, they should be performed by RDM Corporation or an authorized representative of RDM Corporation. For information please contact RDM Corporation,

619A Kumpf Drive, Waterloo, Ontario, Canada N2V 1K8, at 1-800-567-6227, or RDM's US service agent below.

US Service Agent
William Buser
(703) 286-5734
bbuser@rdmcorp.com

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Introduction

The RDM EC7000i and EC7500i series scanners provide affordable functionality in a compact and efficient design. Featuring RDM's industry leading Progressive MICR Method and imaging technology the EC7000i and EC7500i series scanners deliver optimum MICR read rates and image quality. In addition, all EC7000i and EC7500i series scanners include a franker cartridge to comply with various payment industry guidelines.

With several models and feature options to choose from, the RDM EC7000i and EC7500i series scanners are an ideal fit for payment applications such as remote deposit capture, healthcare POS, retail POS, and walk-in bill payments.

About this guide

This guide describes the EC7000i and EC7500i series scanners, some basic operations, and how to maintain your scanner. For instructions on how to use your scanner to scan documents with your computer or credit card terminal, contact your solution provider.

Requirements

The EC7000i and the EC7500i scanners are for indoor use only. Keep the scanners dry and avoid areas of high humidity.

Do not remove any parts other than the areas specified in this guide. Removing parts other than the areas specified in this guide will void the warranty.

When you are working inside the scanner, such as when you are replacing the franker cartridge, make sure the scanner is disconnected.

Recommendations

Record all distributor contact information for future reference.

Save the original box and packing material. Reuse them if the unit must be shipped to a new location or returned for service.

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.

EC7000i and EC7500i models and features

The EC7000i and EC7500i series scanners are available in several optional model configurations. All models ship with a franker cartridge.

All scanner models can also be licensed to perform optical character recognition (OCR) on documents with machine printed text (remittances, pay stubs). This can be used with different applications such as walk-in bill payment. You can tell if your scanner is licensed for OCR by the label on the bottom of the scanner.

The following table lists the available EC7000i and EC7500i models and their optional features.

EC7000i

Model	Description
EC7011f	Single-feed scanner.
EC7014f	Single-feed scanner with a modem.
EC7111f	Single-feed scanner with MSR

EC7500i

Model	Description
EC7501f	Single-feed scanner.
EC7502f	Single-feed scanner with MSR.
EC7504f	Single-feed scanner with MSR and thermal printer.
EC7511f	Single-feed scanner.
EC7512f	Single-feed scanner with MSR.

Model and serial number

To locate the model and serial number of your scanner, carefully turn your scanner over to view the label affixed to the bottom.



Note: this guide is for EC series scanners with serial numbers beginning with 24 and higher. If your scanner's serial number begins with 23 or lower, you should download the appropriate guide from RDM's website, www.rdmcorp.com/support

Setting up the EC7000i or EC7500i

To set up the EC7000i and the EC7500i, follow these steps.

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 (depending on your unit) and power connections.

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.

Unpack the shipping box

1. Open the top of the box.
2. Remove and unwrap the items. Lift the scanner out of the box from the bottom of the scanner.
3. Save the box and wrapping for future use.

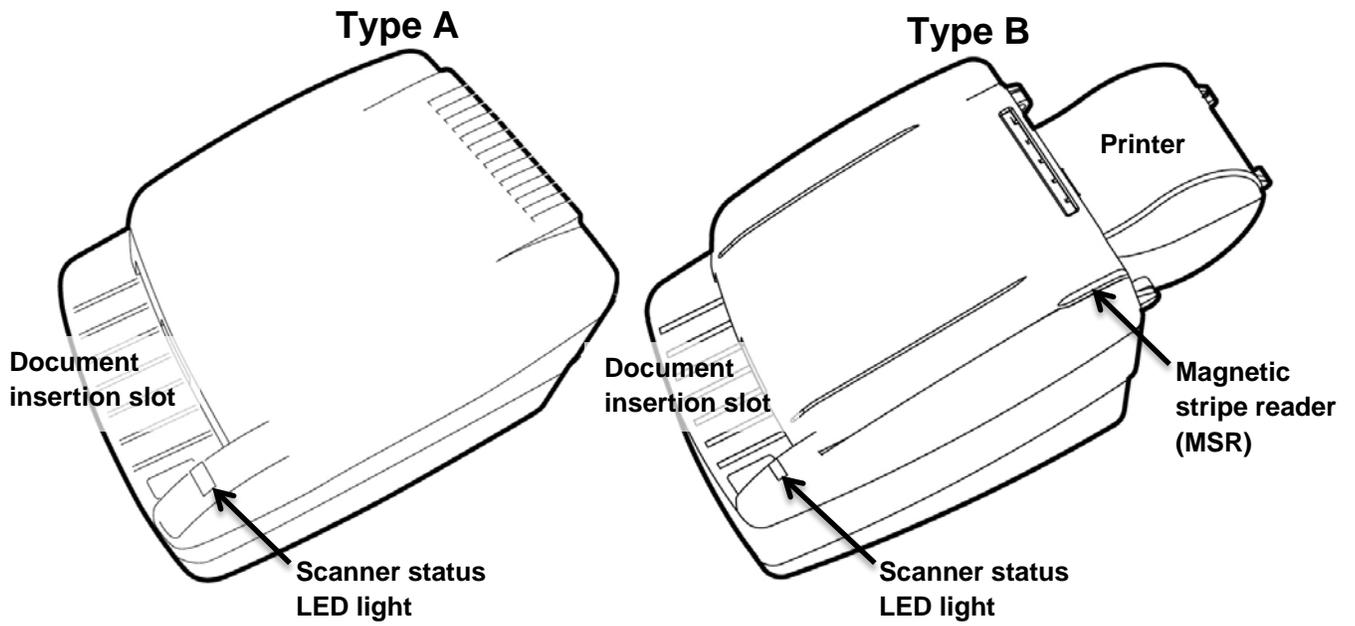
Your EC7000i or EC7500i product package includes the following:

- The scanner
- Power adapter
- Telephone cord (if the scanner includes a modem)
- Franker cartridge
- USB cable
- Thermal receipt paper roll (if the scanner includes a printer)

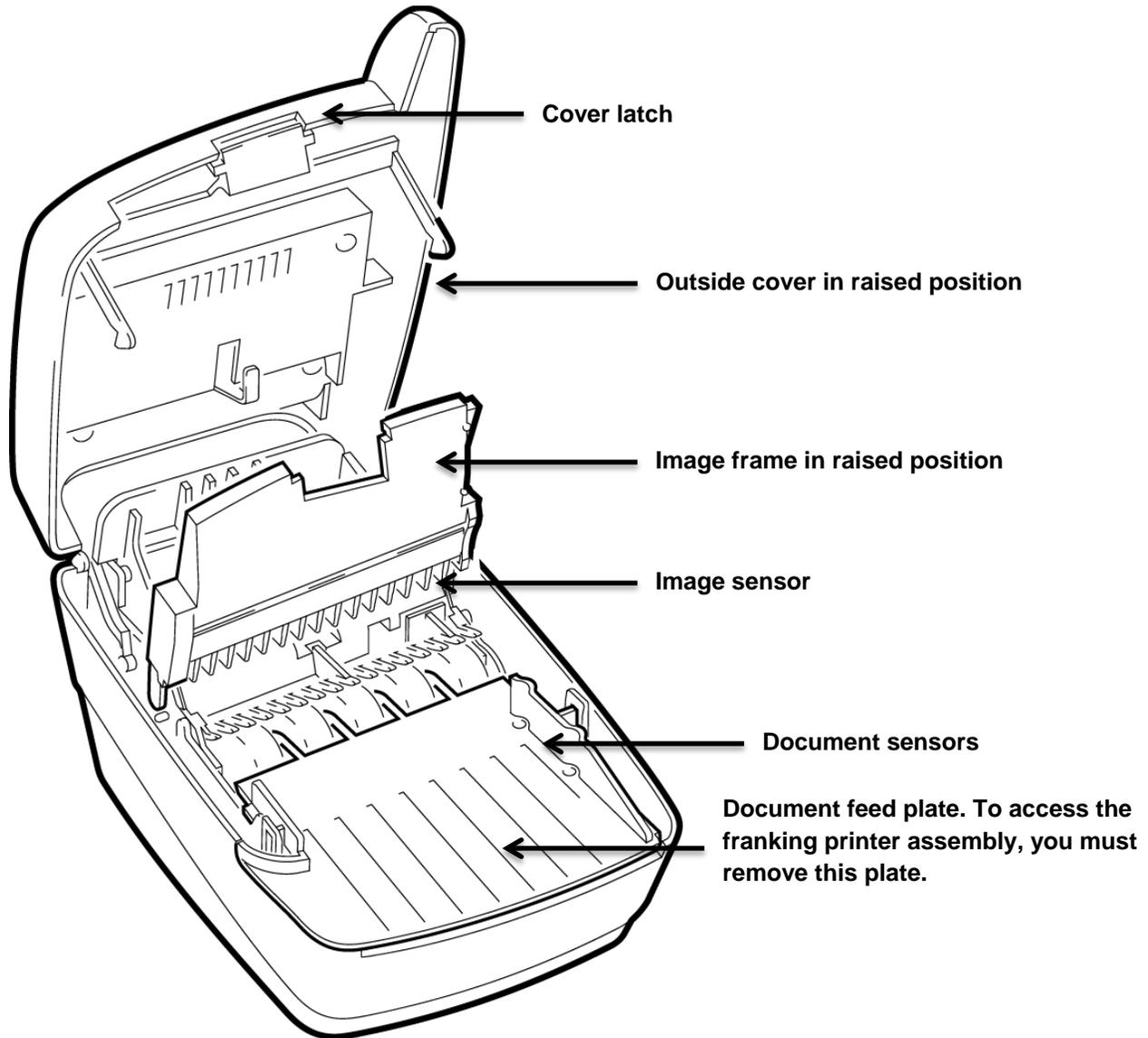
Inspect the scanner's features

EC7000i and EC7500i scanners look very similar, but some scanners include a magnetic stripe reader (MSR) and the EC7504f includes a receipt printer. The illustrations below show the basic scanner (type A), and a scanner with a magnetic stripe reader and printer (type B). We'll use type A throughout this manual for consistency.

For more information on scanner models and features, see [Model and serial number](#).



Inside EC7000i and EC7500i series scanners

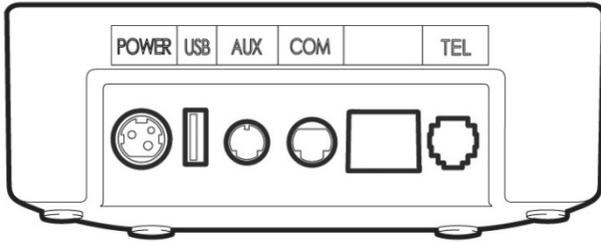


Connection ports

The EC7000i and EC7500i have different configurations of connection ports based on optional features. These configurations are set and programmed by the distributor (reseller) to suit your unique needs.

The following diagrams show the possible ports for EC7000i and EC7500i scanners:

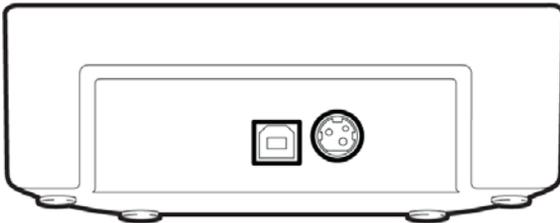
EC7000i ports



The following table describes the scanner ports, from left to right:

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)	Use this port to connect to a telephone line. This port is only included on scanners with a modem.

EC7500i ports



The following table describes the scanner ports, from left to right:

USB (Left)	Use this port to connect to a PC.
Power (Right)	Connect the power adaptor to this port.

Insert the franker cartridge

The franker cartridge is an ink stamp that marks the front of each check with an “Electronically Presented” message. Follow these directions to insert the franker cartridge into the unit.

Access the printer assembly

1. Press the cover 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 right side of the plate. Note the black tab in the same place on the left side of the plate. You will use the black tab to open the printer assembly.
 - a. Push the black tab to the left, away from the feed plate.
 - b. While holding the black tab, lift the feed plate up and to the right. It moves free of the black tab.
 - c. Push the blue tab to the right, away from the feed plate.
 - d. While holding the blue tab, lift the feed plate up and to the left. It moves free of the blue tab.
 - e. Remove the feed plate completely.

Insert the franker cartridge into the printer assembly

Under the feed plate, there is a hole in the plastic where you can insert the franker cartridge.

1. Insert the franker cartridge into the hole. The roller on the cartridge should face into the scanner.
2. Apply pressure to the widest part of the cartridge top until it 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.
- 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 cartridge is not refillable.
- The franker cartridge is not licensed for modifications.

Connect to a telephone line

If you have purchased a scanner with a modem, follow these directions to connect to a telephone line.

1. Insert the end of the telephone cord into the TEL port on the back of the scanner.
2. Insert the other end of the telephone cord into a telephone jack in the wall.

CAUTION: Plug the telephone cord into an analog phone jack only; the modem will not work if it is plugged into a PBX digital line.

Connect the power cord

1. Insert the round end of the power cord into the power port on the back of the scanner. Align the flat side of the power connector facing up.
2. Plug the power cord into an electrical power outlet.
3. When you connect to power, the LED lights up. Your unit is now powered on.

CAUTION: Disconnecting the power source while the scanner is processing a transaction may cause data files stored in the unit's memory to be lost.

NOTE: The power adapter includes 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 on the connector before disconnecting the power cord from the unit.

Drivers and software

The drivers for your scanner are installed on your computer when you install the check scanning application. There are many applications that support EC7000i and EC7500i scanners; most are available from third-party vendors.

If you are not sure where to acquire your check scanning application, check with whoever provided your scanner.

Install the receipt printer paper roll

If your scanner includes a receipt printer, use single-ply, thermal-sensitive paper. These rolls are 2.25 inches (5.8 cm) wide and can be purchased from office supply stores.

CAUTION:

- Handle thermal paper with care; friction, humidity, light, etc, will damage it.
- The scanner will not load paper into the printer if the end of the roll is wrinkled, folded, or torn. Cut the end of the paper straight across before trying to load it into the scanner.

To install a roll of paper:

1. Ensure that the scanner is powered on.
2. Open the top of the paper roll cover at the back of the unit.
3. Hold the paper roll with the paper feeding from the bottom and guide the end of the paper into the slot that enters the scanner. The feed mechanism will pull the paper into the unit.
4. Place the roll into the paper roll holder.
5. Close the paper roll cover.

Status signals for EC7000i and EC7500i

The scanner's status is shown through a single, multi-state LED (light-emitting diode), which is the light on the top, front, right-hand side of the unit. Additionally, the scanner beeps to provide more information. The tables below describe typical status signals and their meanings.

EC7000i light signals and beeps

The following tables are for EC7000i scanners with serial number 24x and higher. Your scanner's serial number is listed on the bottom of the unit. For more information on finding your serial number, see [Model and serial number](#).

Scanners with serial number 23x and below might also have these signal patterns if they are updated to firmware 5.4.0 or higher. For more information on what firmware your scanner is running, contact your distributor (reseller).

If your scanner has a serial number of 23x or lower and does not follow these signal patterns, your scanner has an older set of signals. See [Appendix A](#) for a list of those patterns.

Startup

Signals	Meaning / What to do
Red-green-amber flashing cycle followed by a solid amber light and then a long solid red light.	The scanner is starting up and performing diagnostics. Wait for the scanner to finish.
Green solid	The scanner is configured but idle. The scanner is ready.

Document scanning and processing

Signals	Meaning / What to do
Green flashing	The scanner is waiting for the user to insert a document into the feeder.
Green-red flashing cycle	The scanner is processing the document. Wait for the scanner to finish.
Red flashing and short beep	An error occurred during processing. Check the computer or terminal's display for instructions or refer to your scanning application's documentation. If you need more help, contact your distributor (reseller).

EC7500i light signals and beeps

Start up

Signals	Meaning / What to do
Red-green flashing cycle Or, red-red-green-green flashing cycle	The scanner is being configured by the application.
Green solid	The scanner is configured but idle. You can start a task by using the check scanning application on your computer.
Red solid	An error occurred during startup. Check your computer's display for instructions or refer to your scanning application's documentation. If you need more help, contact your distributor (reseller).

Document scanning and processing

Signals	Meaning / What to do
Green flashing	The scanner is waiting for the user to insert a document into the feeder.
Green-red flashing cycle	The scanner is processing the document. Wait for the scanner to finish.
Red flashing and short beep	An error occurred during processing. Check your computer's display for instructions or refer to your local procedures. If you need more help, contact your distributor (reseller).

A Typical Document Processing / LED Cycle

1. The LED is green (solid): the unit is idle.
2. The LED is green (flashing): the scanner is waiting for a document to be inserted for scanning.
3. The LED is green/red (flashing): the scanning operation is in progress.
4. The LED is green (solid): the scanning operation is complete. The scanner has returned to its idle state.

Maintaining your scanner

Your scanner performs best when all working surfaces are clean and free of foreign material.

Cleaning the scanner

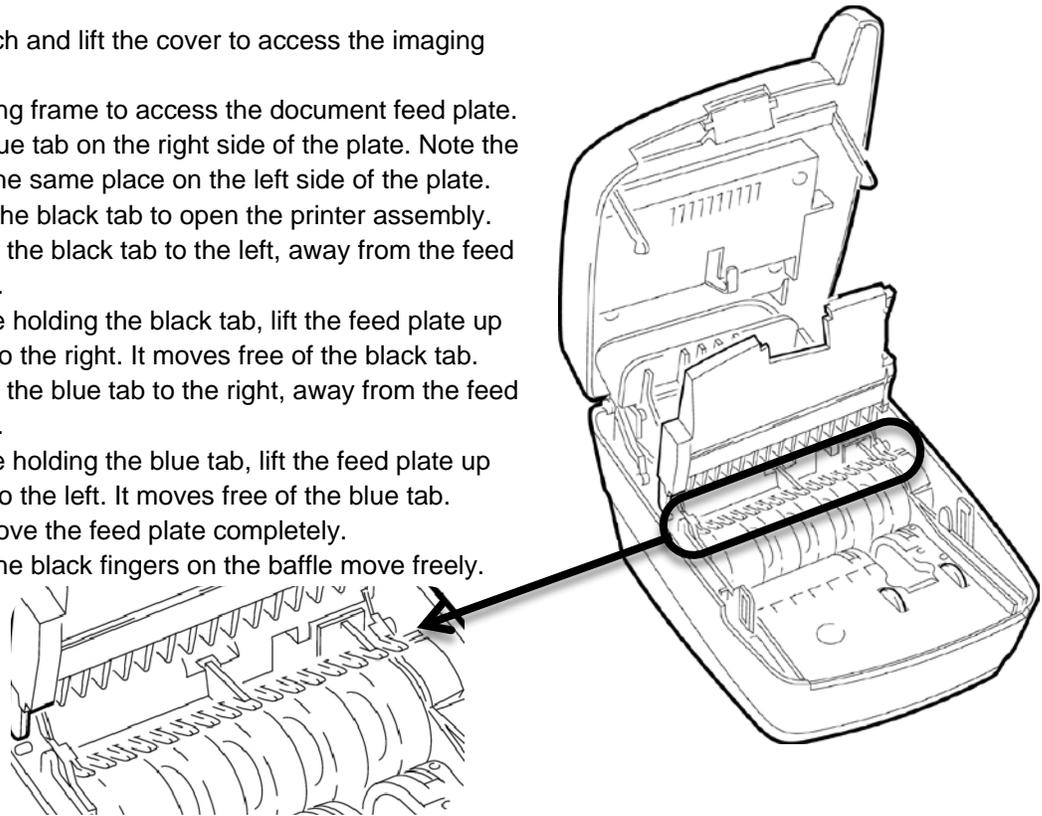
CAUTION:

- Always disconnect the power to the scanner before cleaning it.
- 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:

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 right side of the plate. Note the black tab in the same place on the left side of the plate.
You will use the black tab to open the printer assembly.
 - a. Push the black tab to the left, away from the feed plate.
 - b. While holding the black tab, lift the feed plate up and to the right. It moves free of the black tab.
 - c. Push the blue tab to the right, away from the feed plate.
 - d. While holding the blue tab, lift the feed plate up and to the left. It moves free of the blue tab.
 - e. Remove the feed plate completely.
4. Ensure that the black fingers on the baffle move freely.



5. Use a dusting brush designed for use on electronic equipment or use compressed air to remove dust or debris.

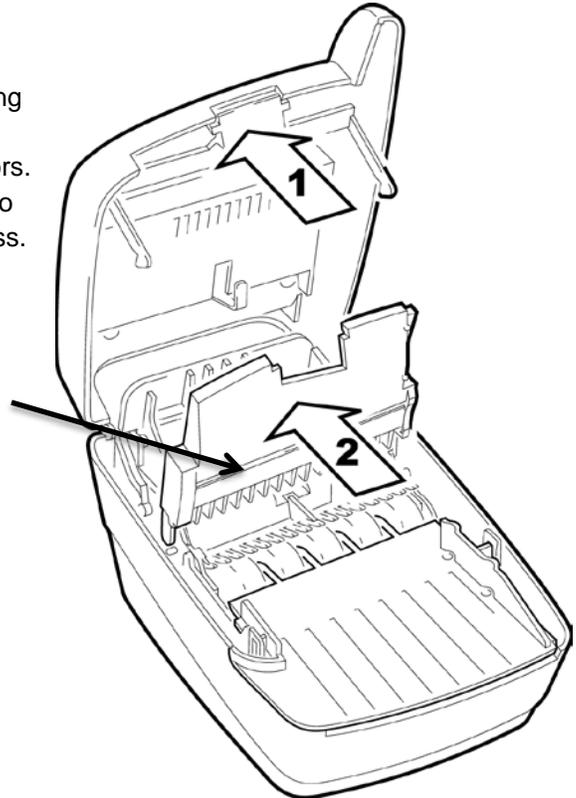
Cleaning the imaging camera glass

If there are horizontal lines in the image of the scanned document, you should clean the imaging camera glass.

To locate and access the imaging camera glass:

1. Press the latch and lift the cover to access the imaging frame.
2. Lift the 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 imaging camera glass.

Imaging camera
glass



Troubleshooting

In the course of everyday operations, you may encounter minor malfunctions in your scanner. Before calling for service, review the troubleshooting steps below.

Scanner does not respond

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 or reseller).

If the problem persists, contact your distributor or reseller.

Ensure that the correct power adaptor is connected to the unit. Change or replace the adapter, if necessary.

Scanner modem cannot connect to the telephone line

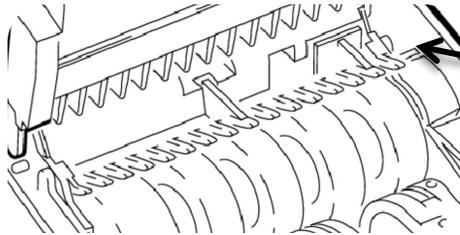
If your scanner is not connecting to the telephone line:

1. Check that the telephone cord is plugged into both the scanner and the telephone jack.
2. Check that the telephone cord you are using is not damaged. Connect the telephone cord to a telephone. If the line operates normally, the cord does not need to be replaced.
3. Call the phone number of the telephone line to ensure that it is working properly.
 - If you cannot connect to the telephone line, contact your telephone company to repair the line.
 - If you can connect to the telephone line, contact your distributor to have the scanner serviced.

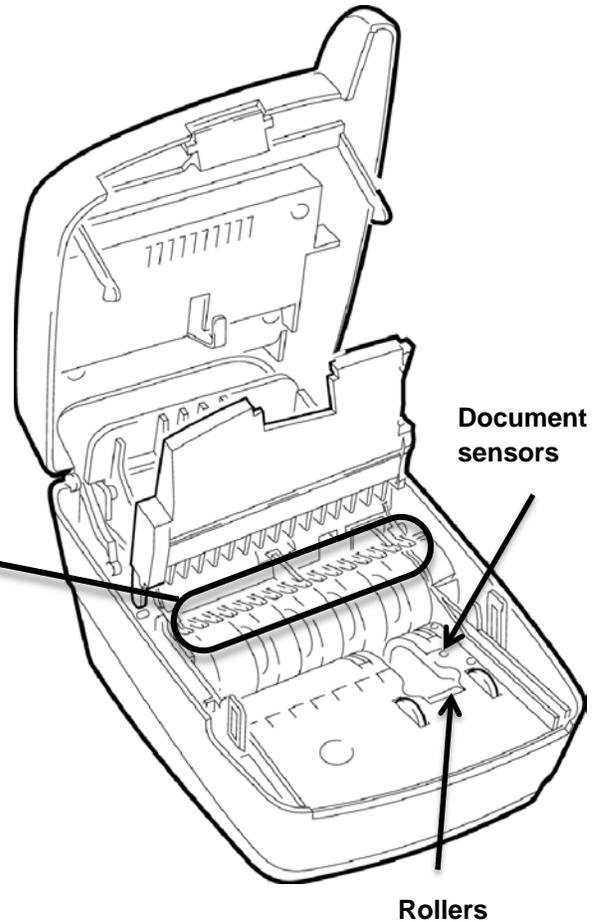
The check feeder does not function properly

Ensure that you are inserting the check properly: flush to the right side of the scanner, information-side facing up, with the MICR line to the right. If the problem persists, contact your distributor. Remove any debris by following the directions below:

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. Clear any paper or debris from the imaging frame and document feed plate.
4. Ensure that the black fingers on the baffle move freely.



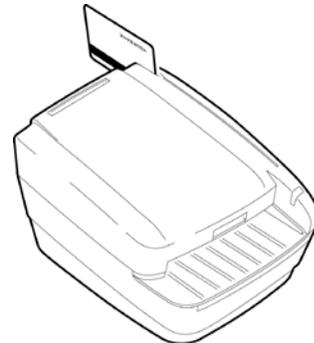
5. Use a lens-cleaning tissue or a damp, lint-free cloth to remove any ink or dust from the document sensors.
6. Ensure that the rollers under the baffle are clean.
7. Close the imaging frame and cover.



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

EC7000i and EC7500i Specifications	
Unit size	Without MSR 8.6" long x 6.1" wide x 4.4" high 21.9 cm long X 15.4 cm wide X 11.3 cm high With MSR 8.6" long x 6.1" wide x 5.3" high 21.9 cm long x 15.4 cm wide x 13.5 cm high With Printer 11.8" long x 6.1" wide x 5.3" high 30.1 cm long x 15.4 cm wide x 13.5 cm high
Unit weight	EC7000i: 3.4 lbs. / 1.5 Kg EC7504f with printer: 6.0 lbs / 2.7 Kg with power supply
Unit orientation	For proper operation, place unit on a level, horizontal surface.
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).
EC7500i connectors	Power: Mini-DIN 3-pin USB: USB-B (2.0)
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) Preferred Paper Weight Range: 20 lb to 32 lb
MICR fonts	E13B MICR Character Set CMC7 MICR Character Set
OCR font recognition (optional license)	Under application control Alphanumeric OCR A and B font recognition of OCR code-lines for applications such as bill payment
Electrical Power Requirements for Power Adapter	
Power supply	Input: 100–240 V AC, 50–60Hz Output: 24V, DC 1.0A For use with model no GFP241DA-2410M-2 or 3A-242DA24. Pour utiliser avec modèle GFP241DA-2410M-2 or 3A-242DA24.

Software and support	
Supported operating systems	Windows XP, Windows 7 (32/64-bit), Windows 8 (32/64-bit), Windows 8.1 (32/64-bit)
Development software	RDM EC Scanner Application Development Kit (ADK) includes API components, USB driver, Redistributable Installation Packages and Sample Applications

Modem Specifications (Optional)	
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
	V.42bis and MNP 5
Magnetic Stripe Reader (MSR) Specifications (Optional)	
	3 track, bi-directional

Part Numbers

Scanners

Model	RDM Part Number
EC7011f	6000-7702-FRK
EC7011f with OCR	6000-7702-OFR
EC7014f	6000-7712-FRK
EC7014f with OCR	6000-7712-OFR
EC7111f	6000-7714-FRK
EC7111f with OCR	6000-7714-OFR
EC7501f	6000-7501-FRK
EC7501f with OCR	6000-7501-OFR
EC7502f	6000-7502-FRK
EC7502f with OCR	6000-7502-OFR
EC7504f	6000-7504-FRK
EC7504f with OCR	6000-7504-OFR
EC7511f	6000-7511-0000
EC7511f with OCR	6000-7511-000R
EC7512f	6000-7512-0000
EC7512f with OCR	6000-7512-000R

Additional parts

Options and accessories	RDM Part Number
Replacement franker cartridge – “Electronically Presented” - red ink	6000-6050
Replacement thermal paper roll, 2.25” x 50’ (58 mm x 15 m)	Standard thermal roll paper available from office supply stores
Replacement power adapter (EC7000i, EC7500i)	302843
Optional Aux to PC serial cable, mini-DIN9 to DB9 – (EC7000i models)	5000-40012
USB Cable, Type A to A (EC7000i models)	5000-40091
USB 2.0 cable, A to B male, shielded (EC7500i models)	6000-6106
Modem cable, RJ11 to RJ11 (EC7014f)	5000-40063

Appendix A

This appendix describes the EC7000i series scanners' LED and beep signal patterns for serial numbers 23x and lower.

Startup

Signals	Meaning / What to do
Red/Green/Amber flashing cycle	The scanner is starting up and performing diagnostics. Wait for the scanner to finish.
Solid red	The scanner failed a start-up test. Check the computer's display for instructions. If you need more help, contact your distributor (reseller).
Solid amber	The scanner is ready. You can start a task by using the check application on your computer or terminal.

Document scanning and processing

Signals	Meaning / What to do
Green solid	The scanner is ready to scan a document. Insert a document.
Green flashing	The scanner is processing the document. Wait for the scanner to finish.
Green flashing and one short beep	The scanner read the MICR line successfully.
Amber flashing	The scanner is communicating with your computer or terminal. Wait for the scanner to finish.
Red flashing and three short beeps.	The scanner failed to read the MICR line. Check the computer or terminal's display for instructions or refer to your local procedures. If you need additional assistance, contact your distributor (reseller).
Red flashing and one long beep	An error occurred processing or storing the document image. Check the computer or terminal's display for instructions or refer to your local procedures. If you need additional assistance, contact your distributor (reseller).

Warranty Information

LIMITED WARRANTY:

The RDM EC7000i and EC7500i units are warranted against defects in materials and workmanship under normal use and service for a period of two years. This warranty is extended only to the original purchaser.

The entire liability of RDM Corporation (the Corporation), distributors of the EC7000i and EC7500i and manufacturers of auxiliary equipment used with the EC7000i and EC7500i 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 and EC7500i 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 EC7000i or EC7500i has resulted from accident, abuse or misapplication. Any replacement of the EC7000i or EC7500i 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 EC7000i or EC7500i, 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 EC7000i or the EC7500i shall be limited to the amount actually paid by you for the EC7000i or the EC7500i.

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 EC7000i or the EC7500i 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, lightning, 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 Franker cartridge or Franker Assembly, or other EC7000i or EC7500i consumables or accessories such as roll paper or cables.

RDM's EC7000i or EC7500i 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.



Chapter 11: Panini Scanner

OTCnet Participant User Guide

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Audience, Overview and Topics

Audience

The intended audience for the *Panini Scanner Appendix* includes:

- Check Capture Administrator (CCA)
- Check Capture Supervisor (CCS)
- Check Capture Lead Operator (CCLO)
- Check Capture Operator (CCO)

Overview

Welcome to *Panini Scanner Appendix*. In this chapter, you will learn:

- How to install a Panini Vision X scanner
- How to install a Panini I: Deal scanner



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Panini Vision X Operator Manual



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- 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



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- 4.1 Status Lights
- 4.2 How to Prepare and Load Checks
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7. Vision X SD Addendum

8. Vision X AGP Addendum

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10. Multilingual WEEE Disposal Procedure and Safety Precautions



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Trademark Acknowledgement

PANINI, Vision X, Vision API, ICR Vision and MICR Plus are trademarks or registered trademarks of Panini SpA.

The mark  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.



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O. 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.



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O. 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.



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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.

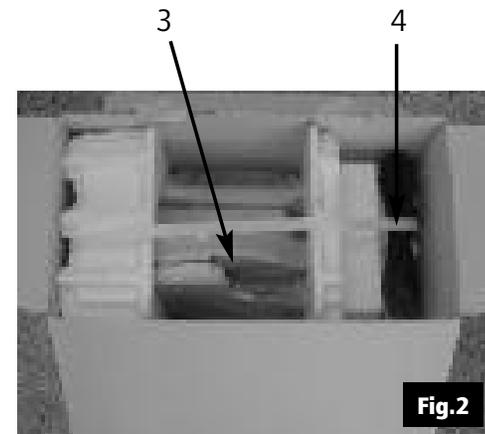
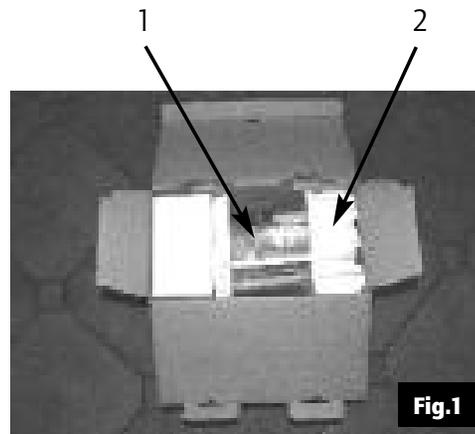
2.1 Packaging List

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:

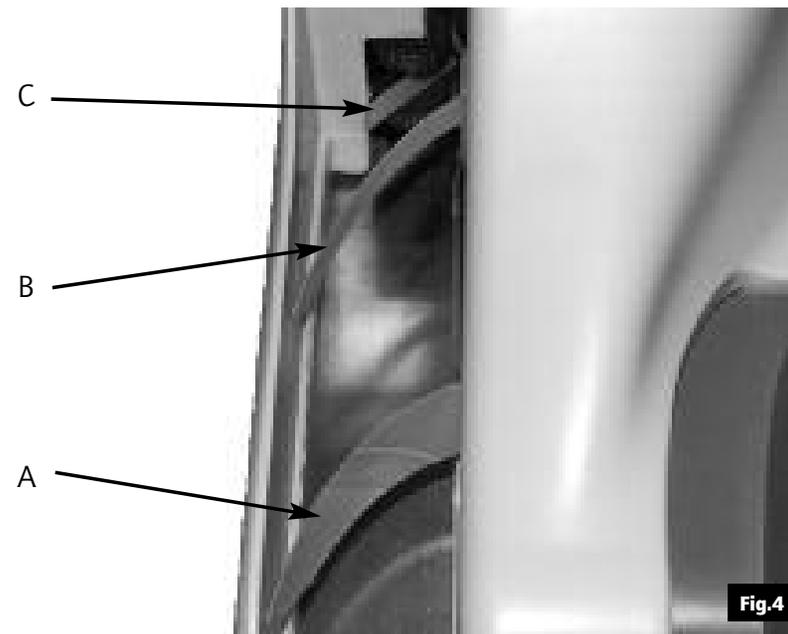
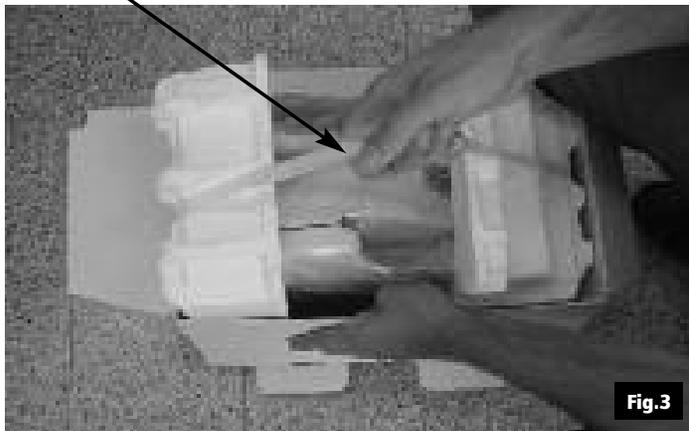
- Feeder Extension
- Extension plate
- Ink-Jet Cartridge HP C6602A
(Panini P/N: CA-00138-00)
Cartridge not included with No Ink Jet (NJ) versions
- Ink-Jet Plastic Lever (adapter for HP 51604A cartridge)
- USB 2 Cable
- Power Supply



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).

Plastic handle



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.

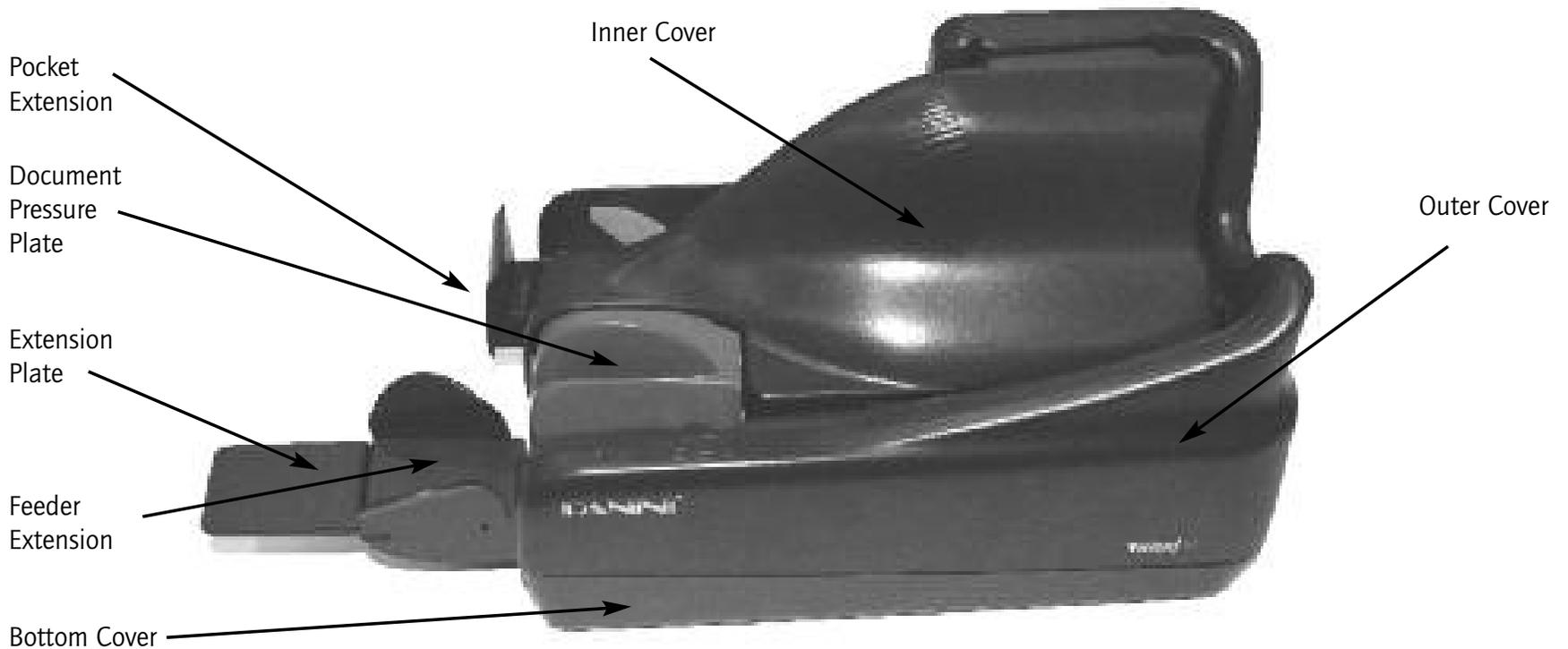
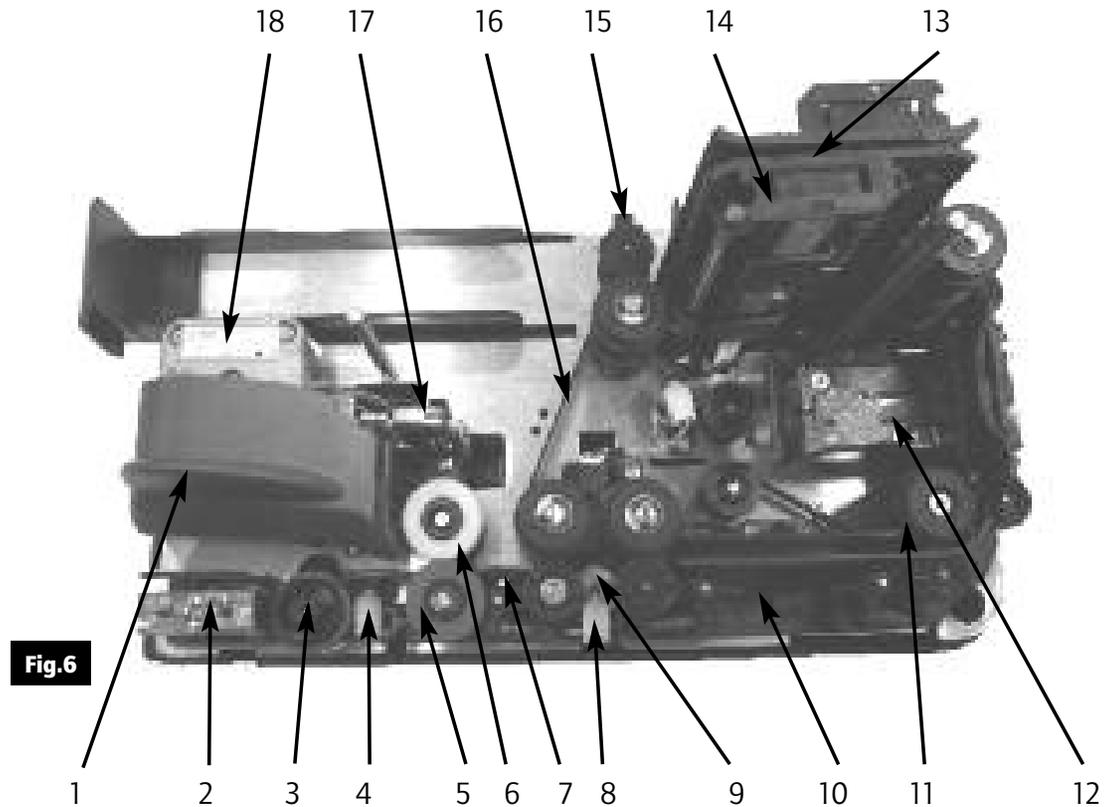


Fig.5

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



3. Operating your Panini Vision X

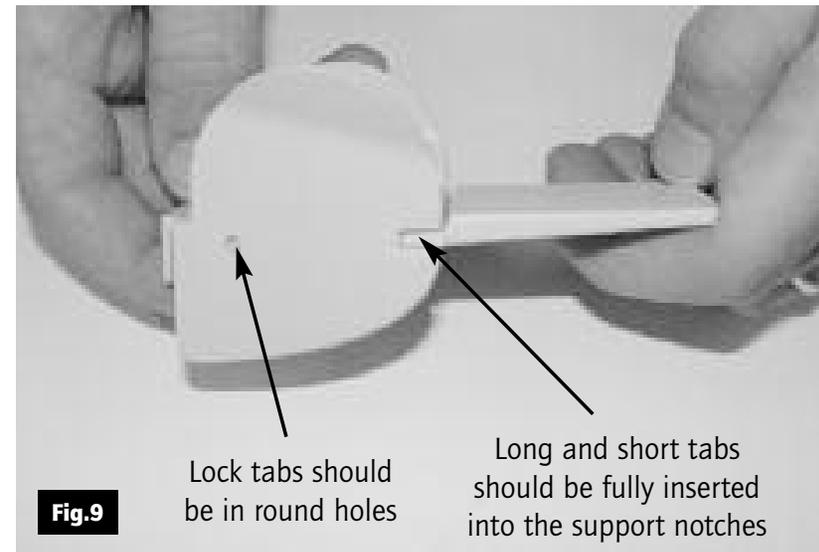
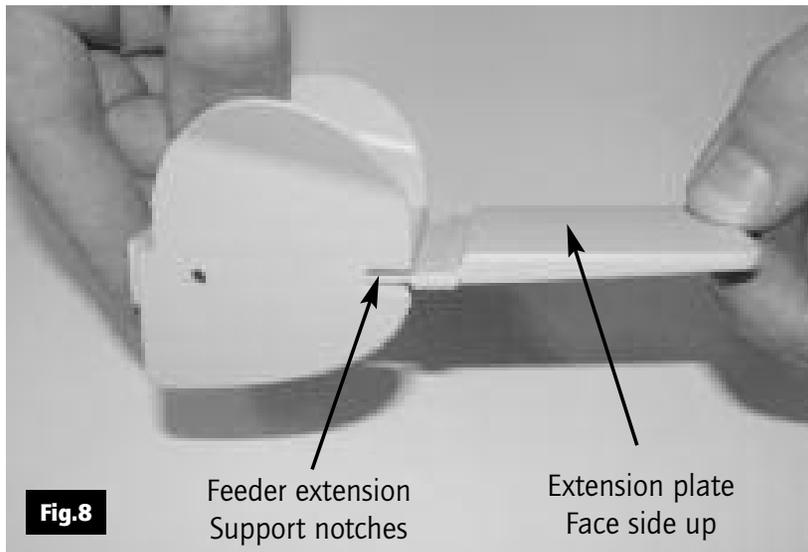
3.1 Document Support Installation

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.



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).



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.

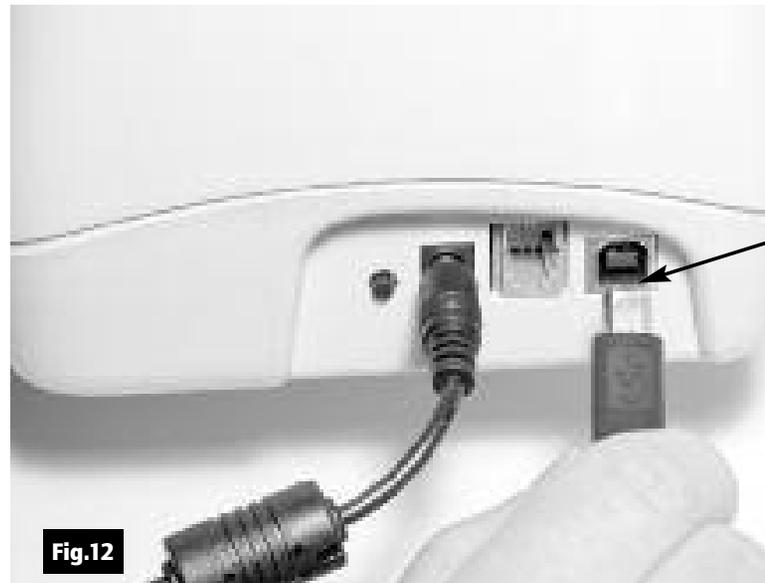


3. The Vision X should be plugged into a dedicated electrical power outlet. The socket outlet shall be installed near the equipment and shall be easily accessible. The power supply will be 100-240 VAC (no power selection required), and the frequency 50/60 Hz. If you are not sure of the type of power 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.



USB 2 cable

3.5 HP C6602A Ink-Jet Cartridge Installation (*Optional)

Remove the inner cover (see section 5.1 for details).

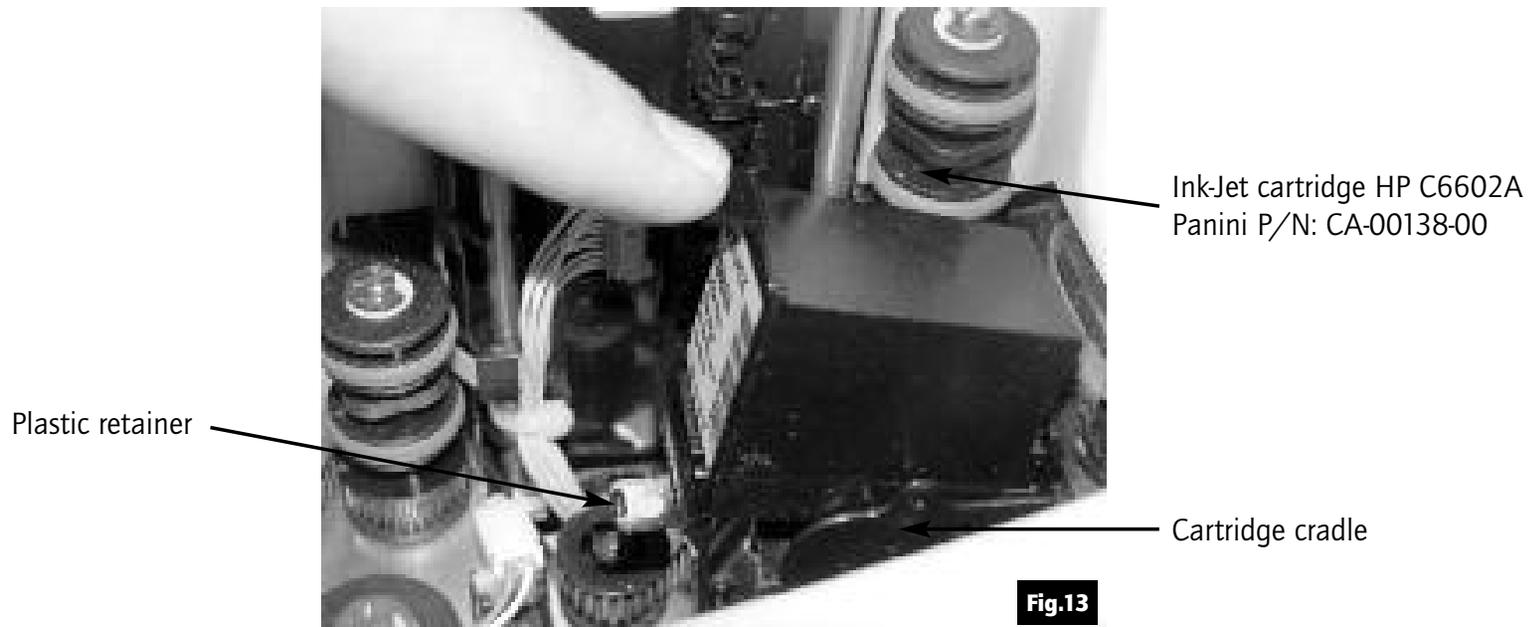
Take a new Ink-Jet cartridge out from its package.

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.



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.

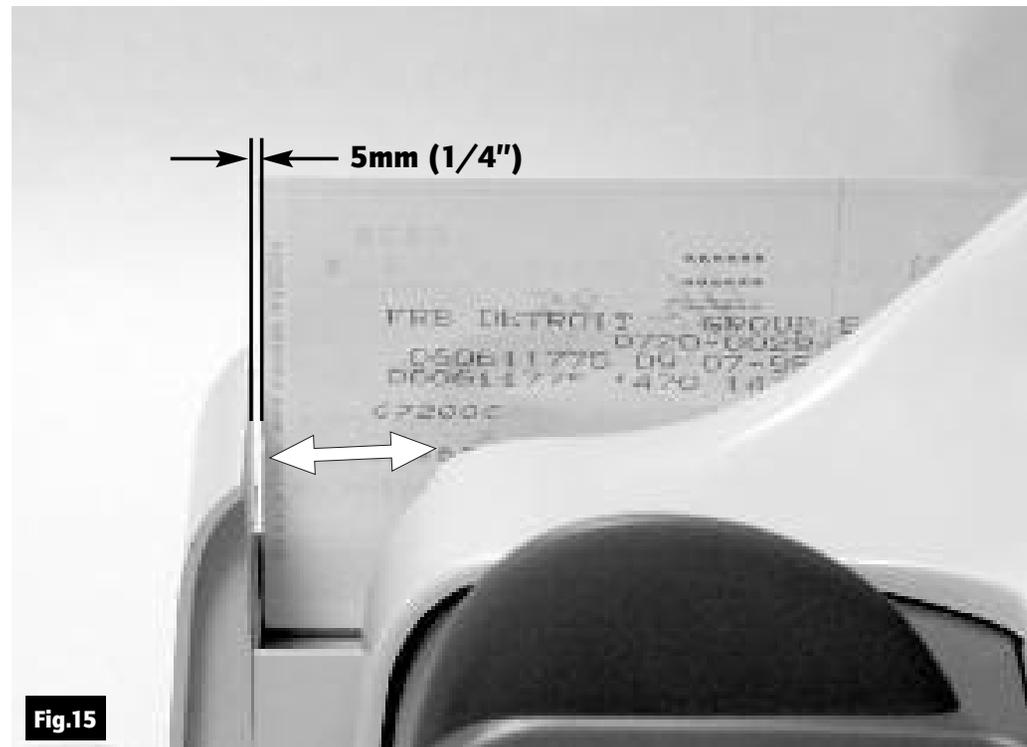


Fig.15



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



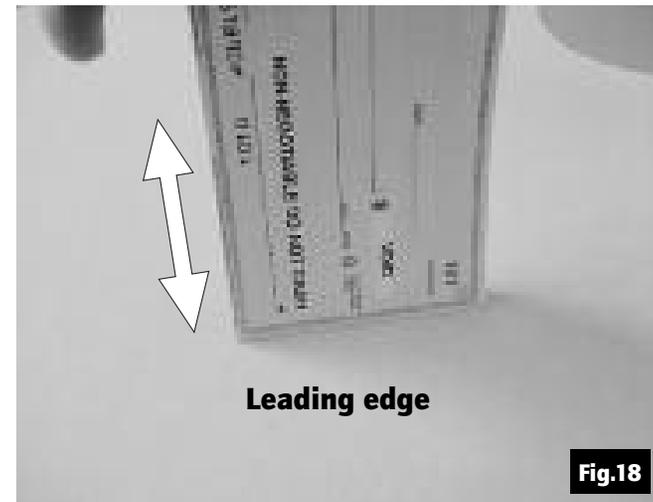
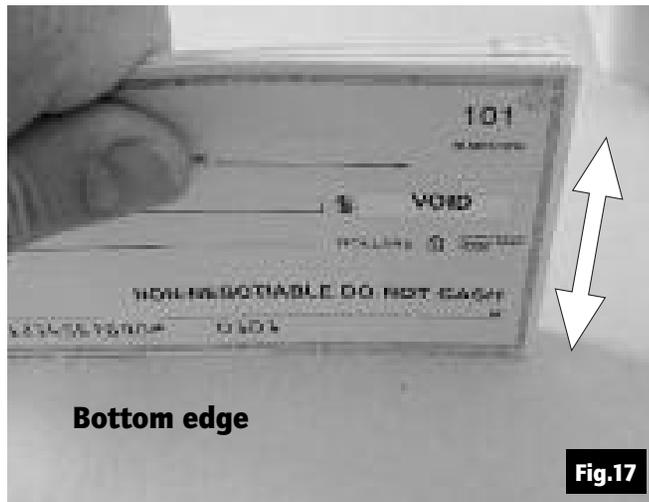
Fig.16

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.



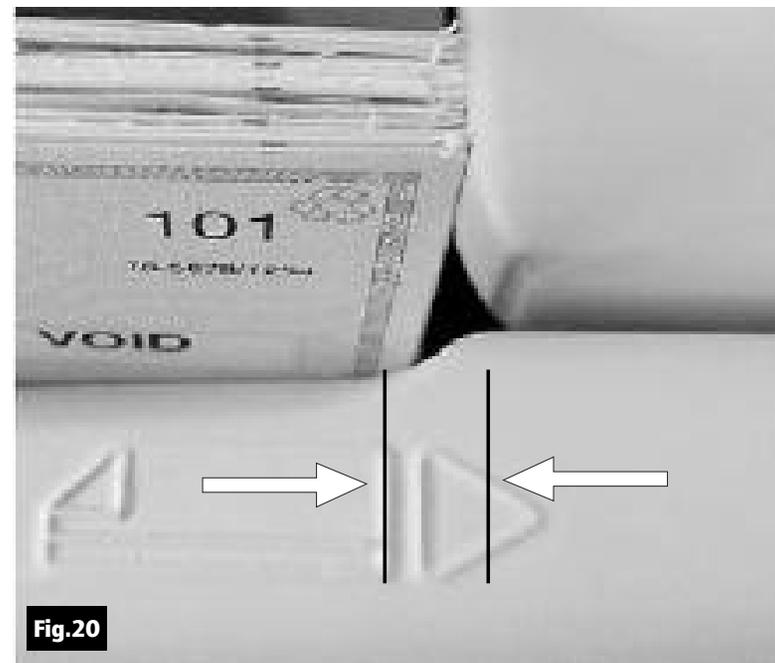
Tip: Use a mechanical jogger device for faster and more accurate alignment of bottom and leading edges.



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.



! 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.

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:

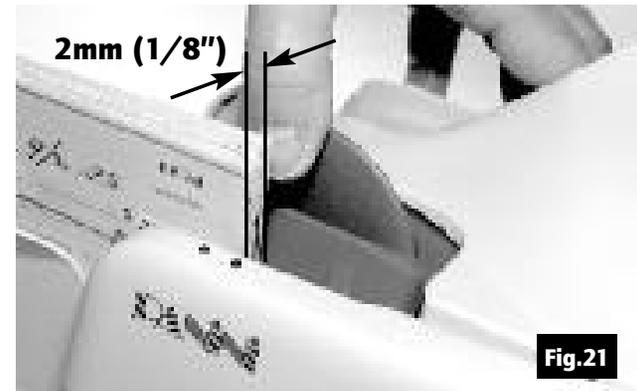
Designed for both single document automatic insertion and up to 50 document batch processing.

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.





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for Document Processing

Vision | X

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.



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

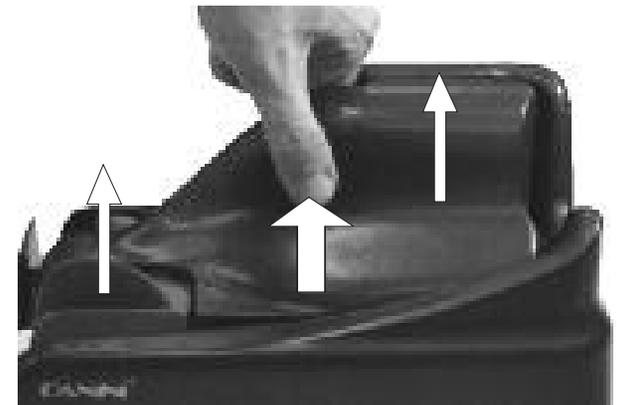
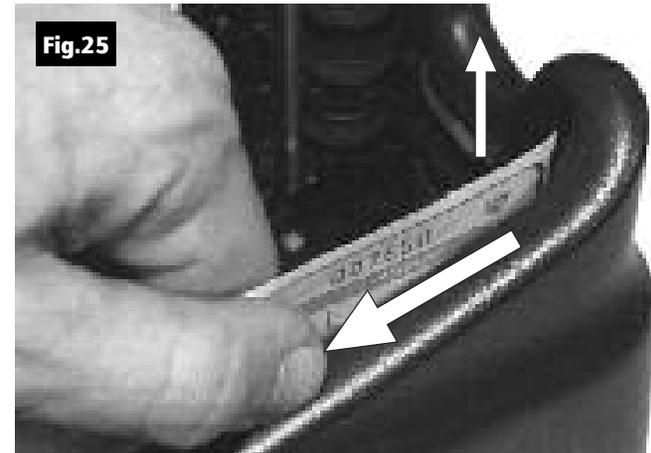


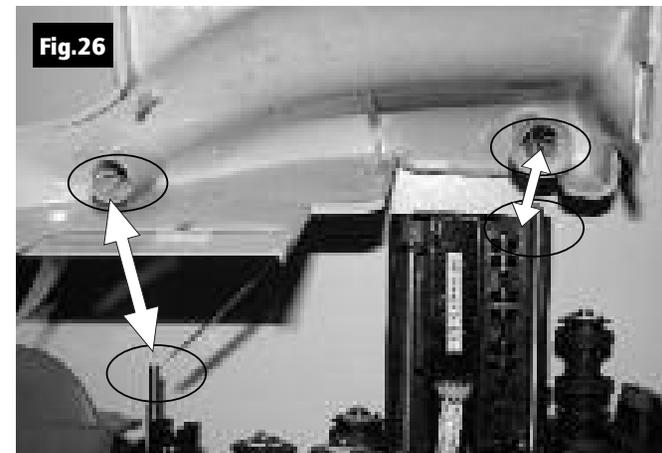
Fig.24

3. Grab the document with your fingers to remove it from the transport. (See Fig.25).



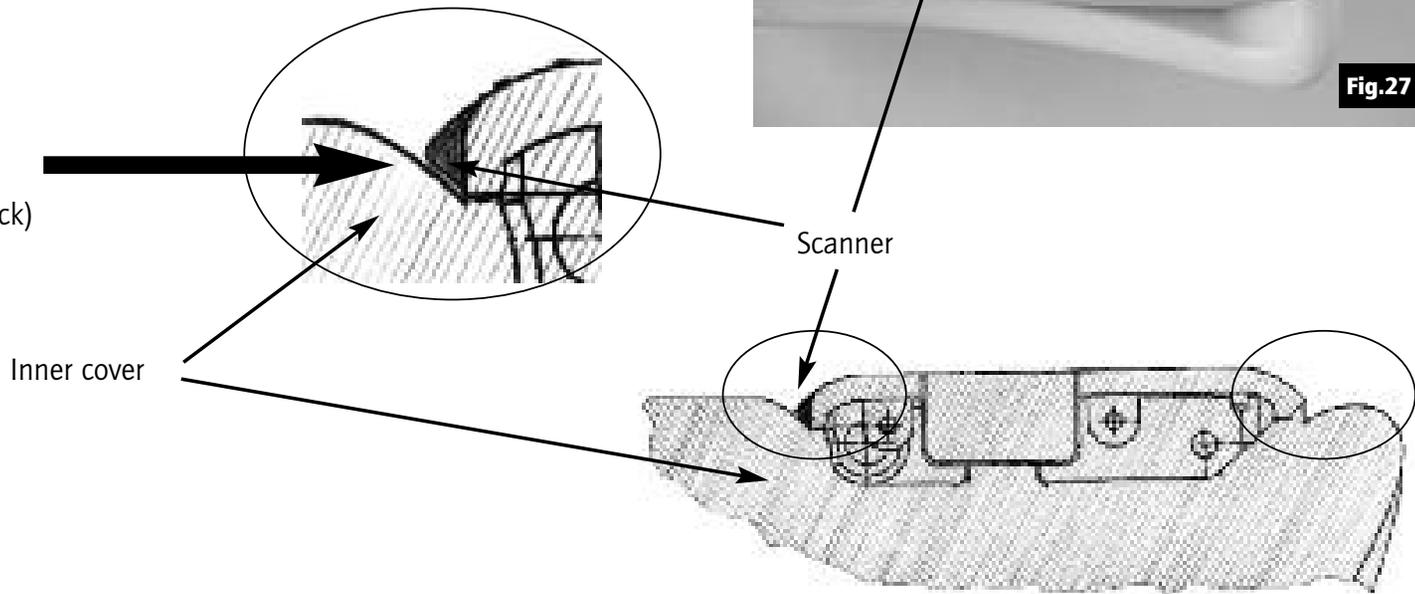
4. After the jam is removed, install the inner cover by following the instructions below:

- a. Open the pocket extension.
- b. Insert the two reference shafts in the corresponding housings found in the inner cover (See Fig.26).

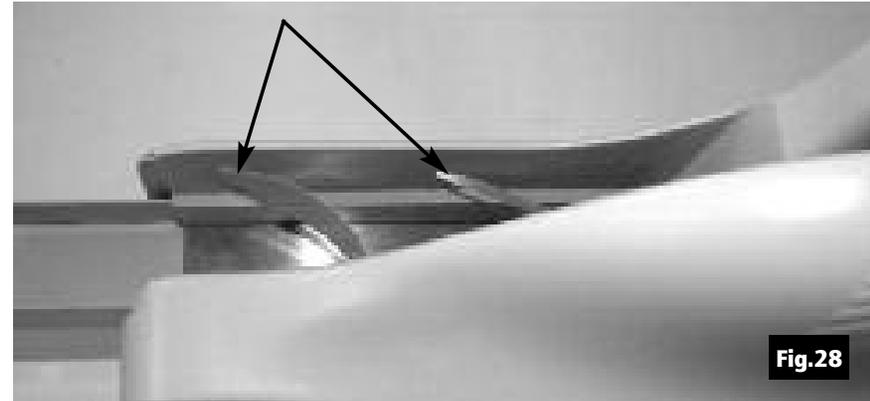


c. Push down the inner cover until it is back to its original position. Take care to ensure that the inner cover stays behind the scanner, which is indicated by a black area (see Fig.27).

The inner cover (grid) must be inserted behind the scanner (black)



d. Check the exit pocket to ensure that the two plastic springs are aligned properly as shown in 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.



6. To remove the "U" track wall see Fig.30.
Please follow the instructions listed in chapter 5.1.2.

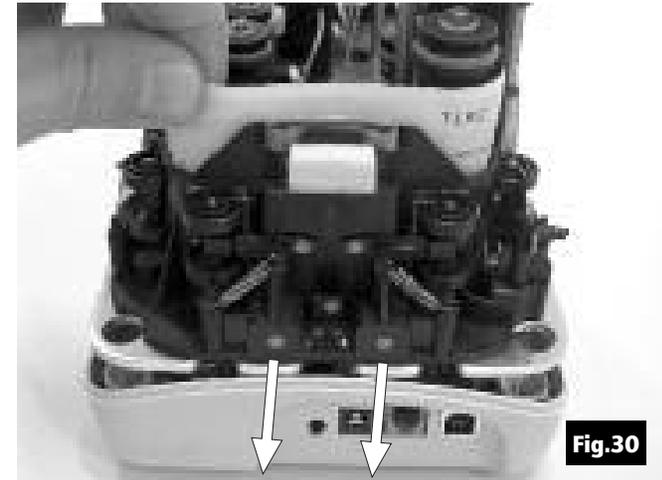


Fig.30

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



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for Document Processing

Vision | X

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.

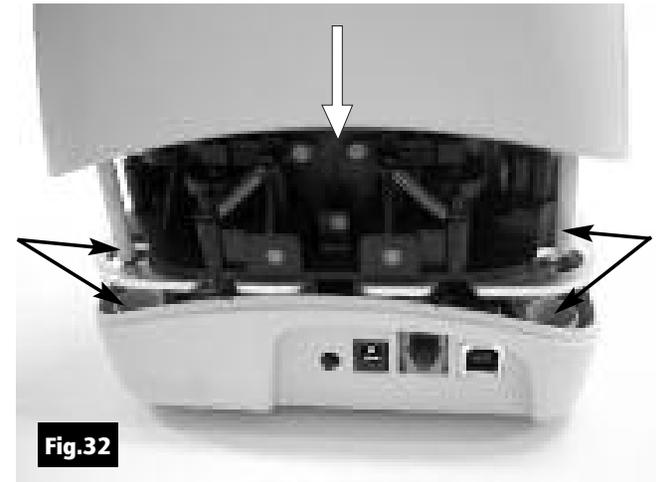


Fig.32

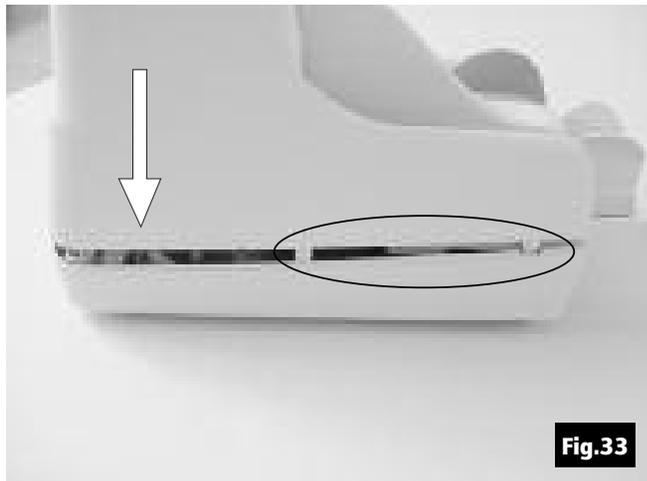


Fig.33

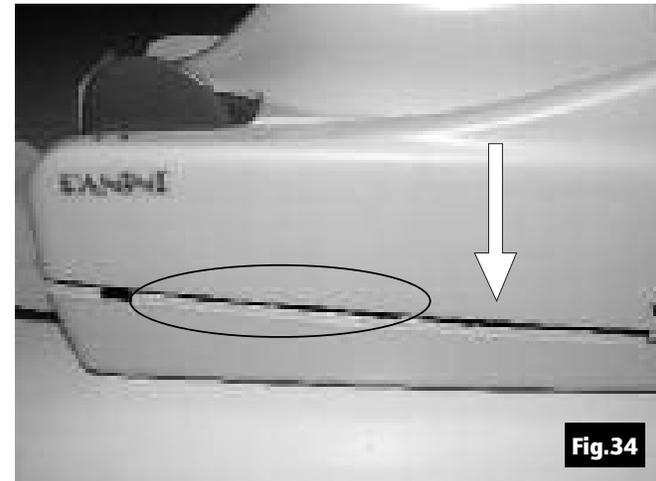


Fig.34

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.

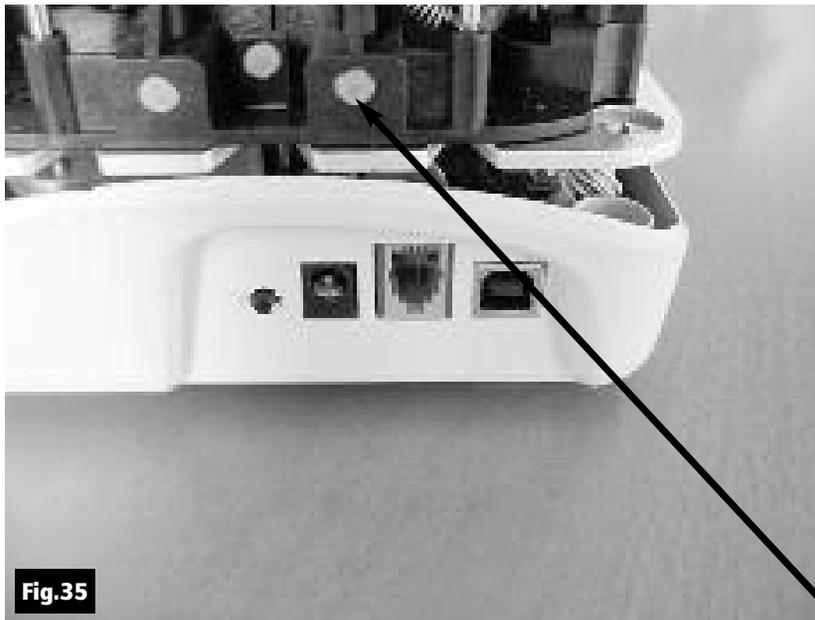


Fig.35



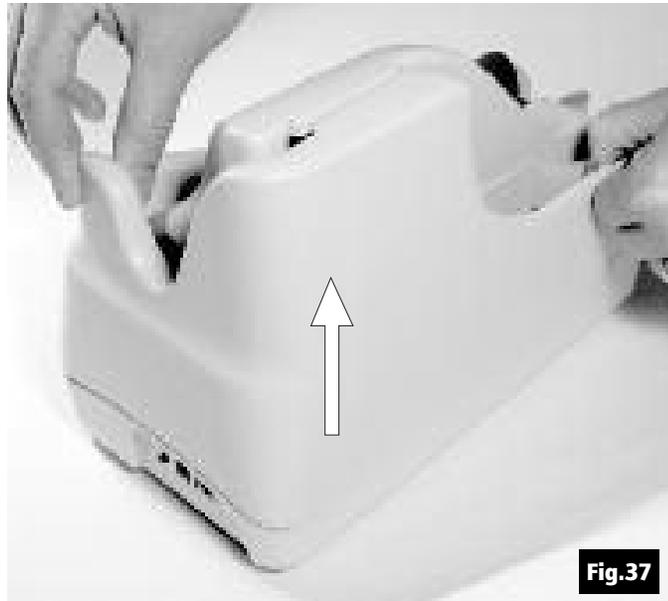
Fig.36

Green stickers

5.1 Cleaning the Transport

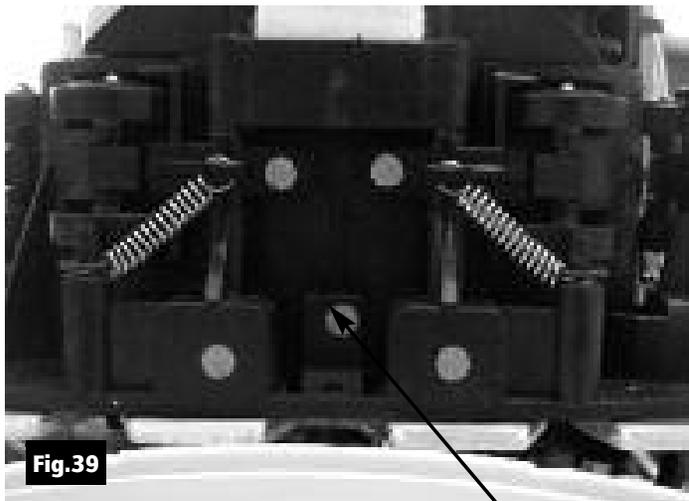
Dust, lint and small particles can get into the track area. Clean this area as follows:

1. Remove the inner and outer covers by pulling up on the covers as illustrated below.

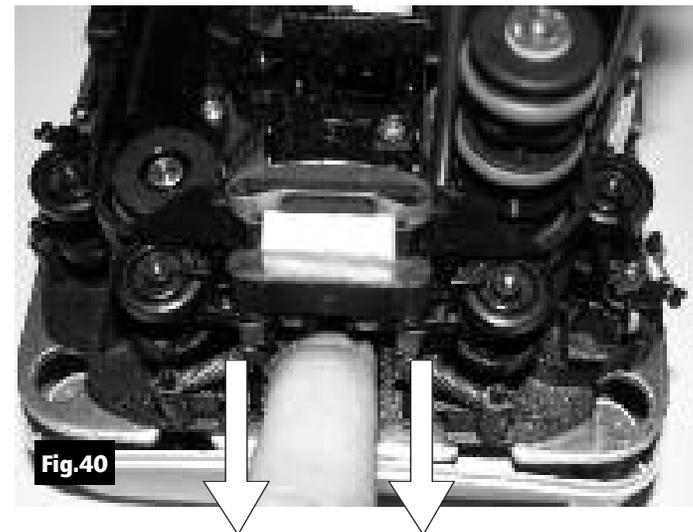


2. To remove the U-track, pull back on lever (A) away from unit (Fig.39).

The Fig.40 shows how to pull the lever and remove the U-track.



A

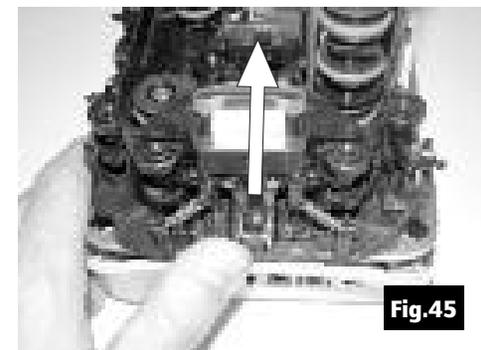
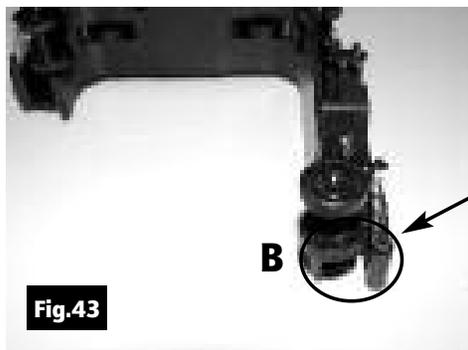
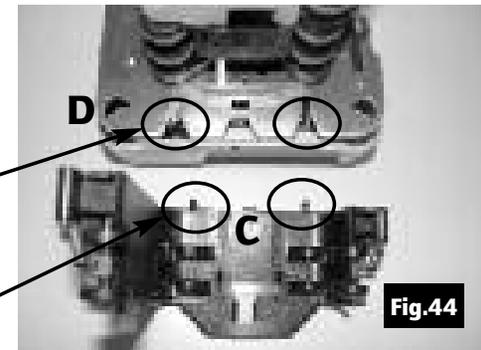
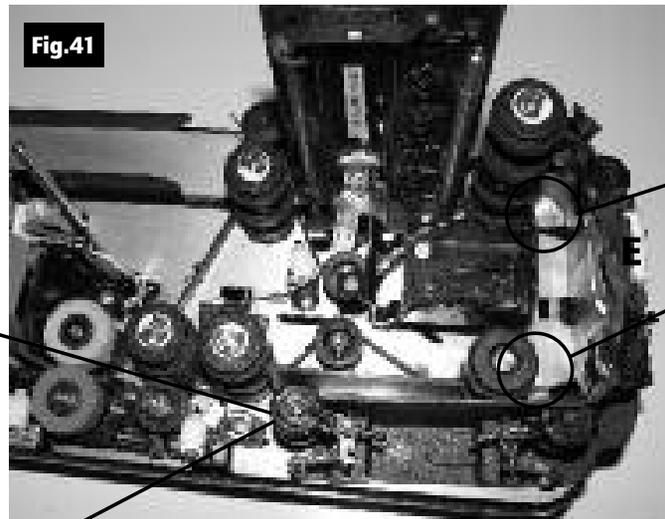
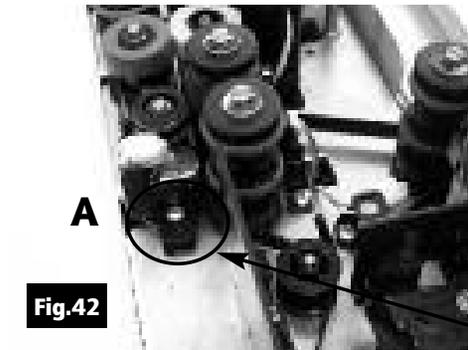


3. Inspect and clean the entire track area from beginning to end.

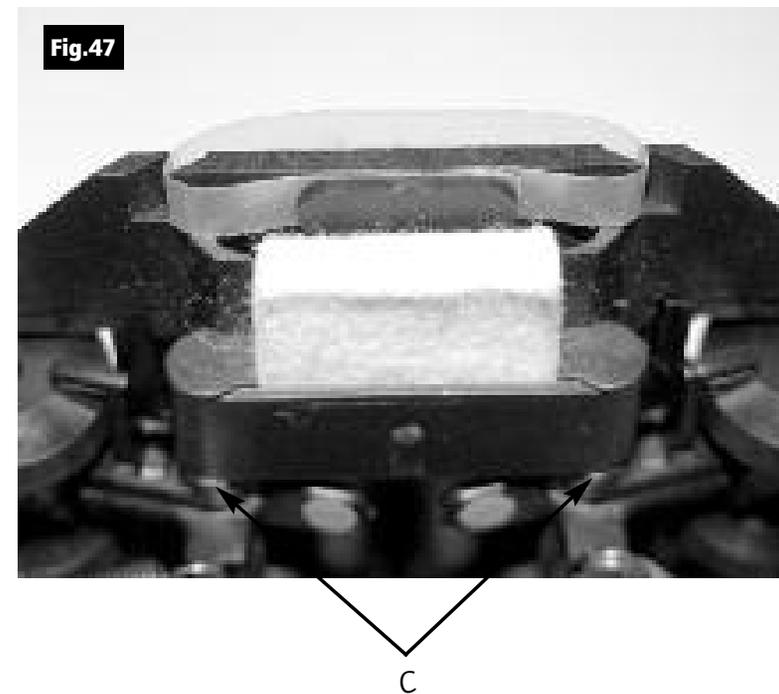
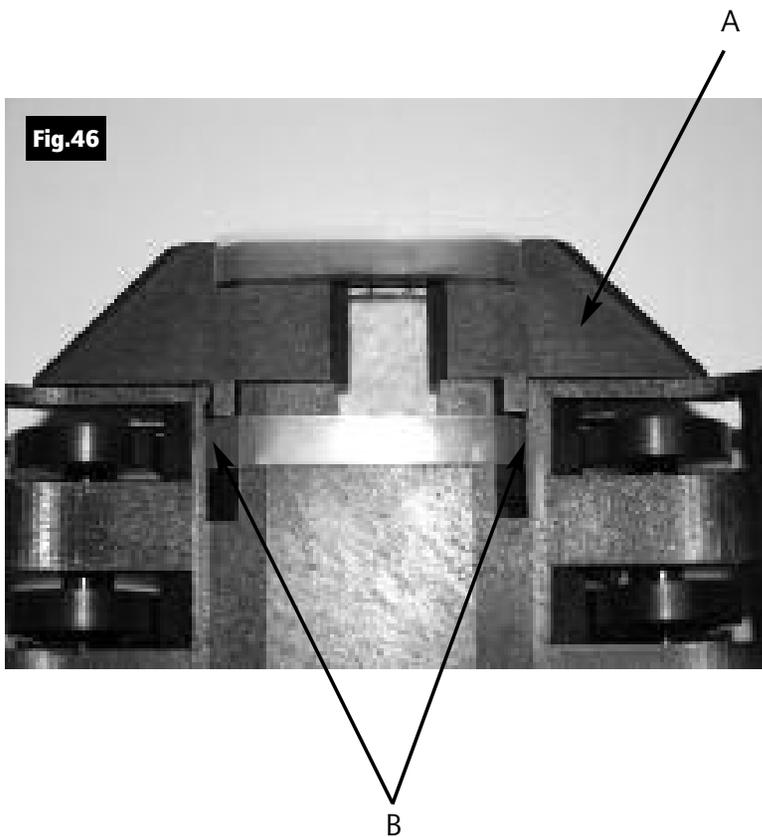
4. Remove staples, paper clips, rubber bands, and pieces of paper that may have accumulated during use.

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).

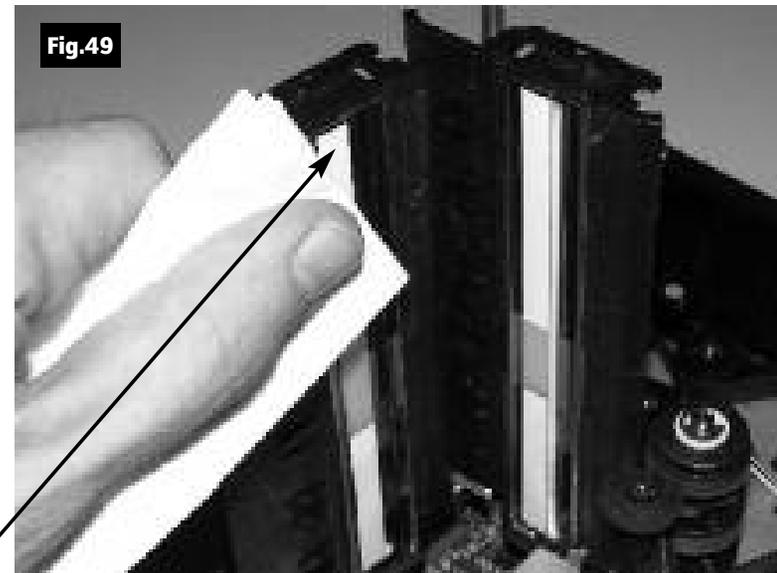
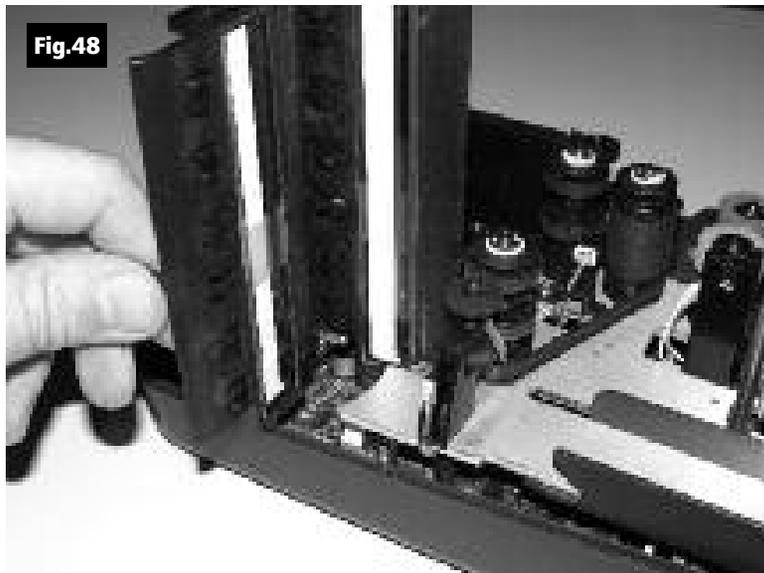


Note: If the blotting pad housing assembly. (A) comes away from the U-track, insert the low mylar spring in the lateral slots (B) and the pad housing in the reference pins (C). Gently press down until the pad housing stops on the top of the U-Track wall.



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).



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.

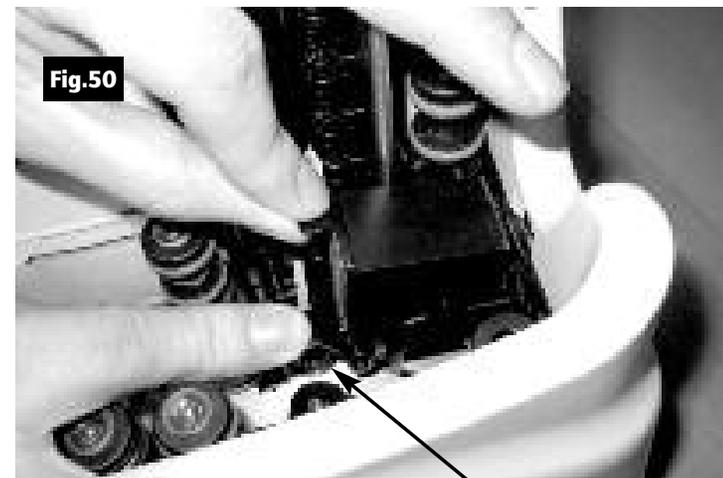
When this occurs:

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.

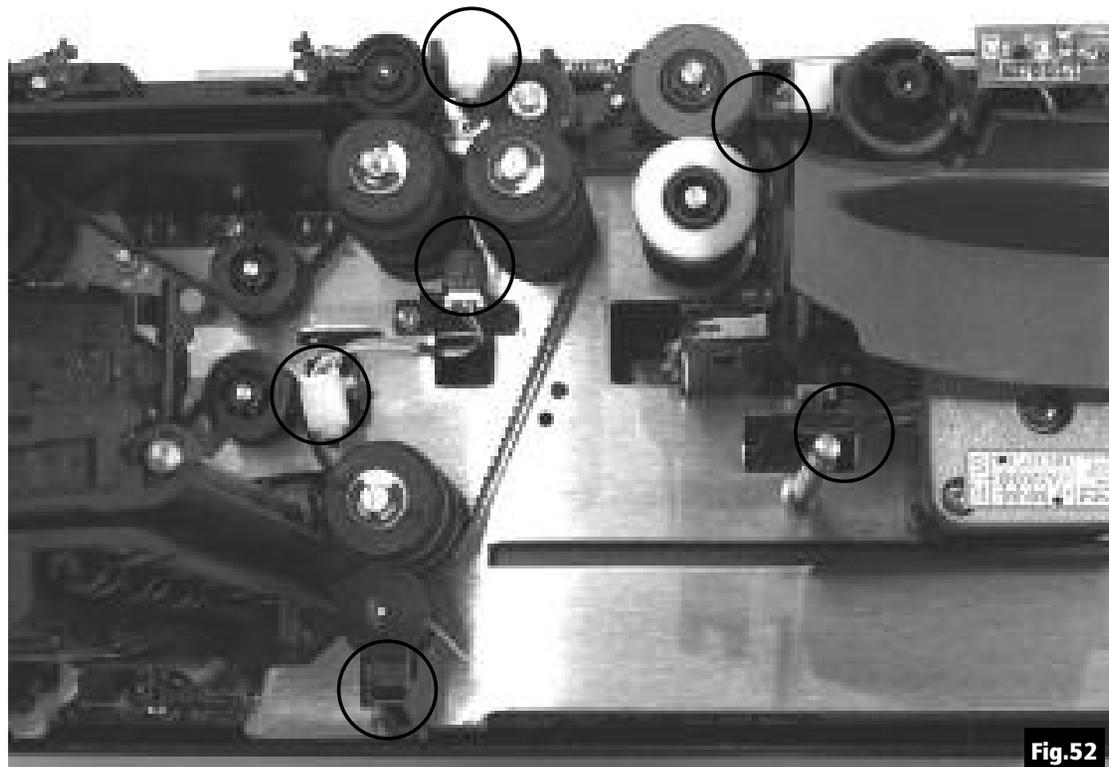
* If the unit was purchased without the endorser option then the unit is shipped without an ink cartridge and that one is not needed to run the device.



Plastic retainer

5.4 Cleaning the Photocell Detectors

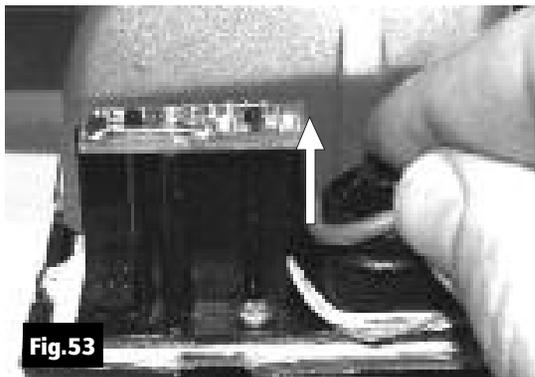
The six photocells (emitter and receiver) are identified with black circles in Fig.52 below. Using a container of canned air and nozzle, spray the sensors to remove any dust. Also a dry soft cloth can be used.



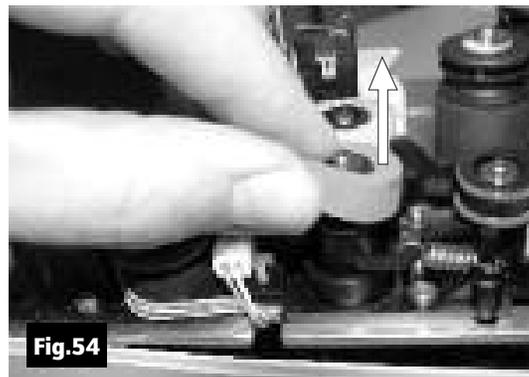
5.5 Replacing the Feeder and Separator Rollers

After extended use it will be necessary to replace the Feeder and Separator Roller rings due to normal wear.

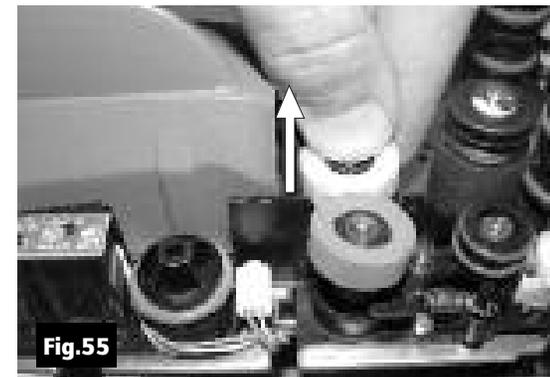
1. Open the inner and outer covers.
2. Carefully lift the rings off the rollers (See the arrows in Fig.53, 54 and 55).



Feeder ring



Front separator ring



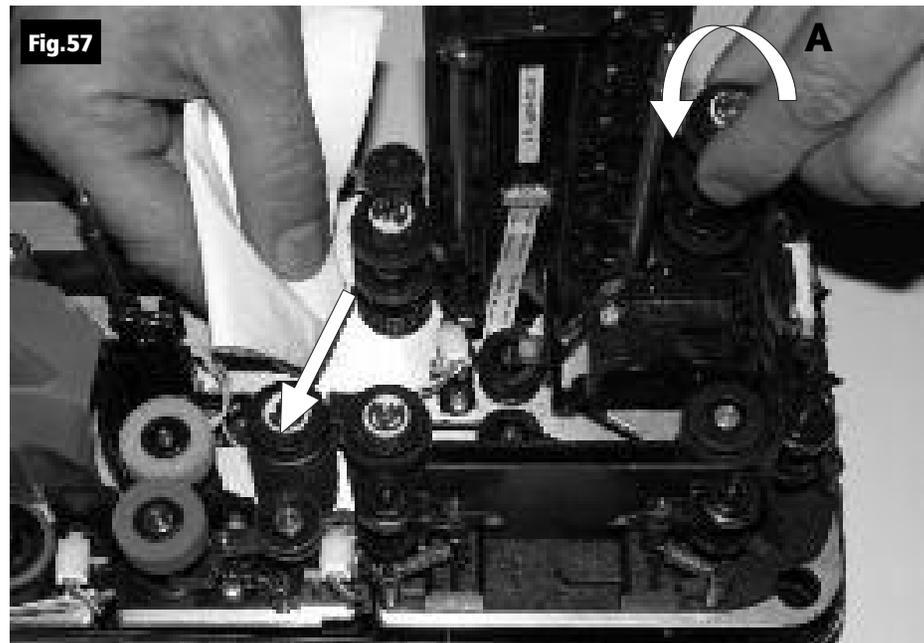
Rear separator ring

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.



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.

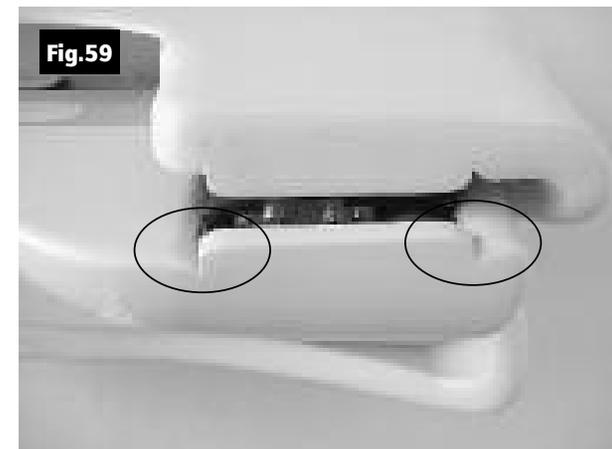
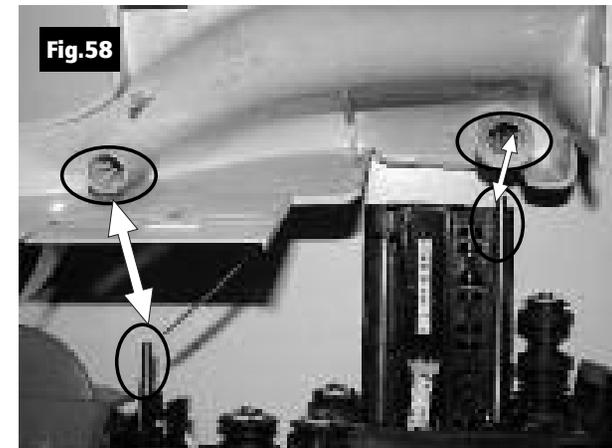


5.7 Install the External Covers

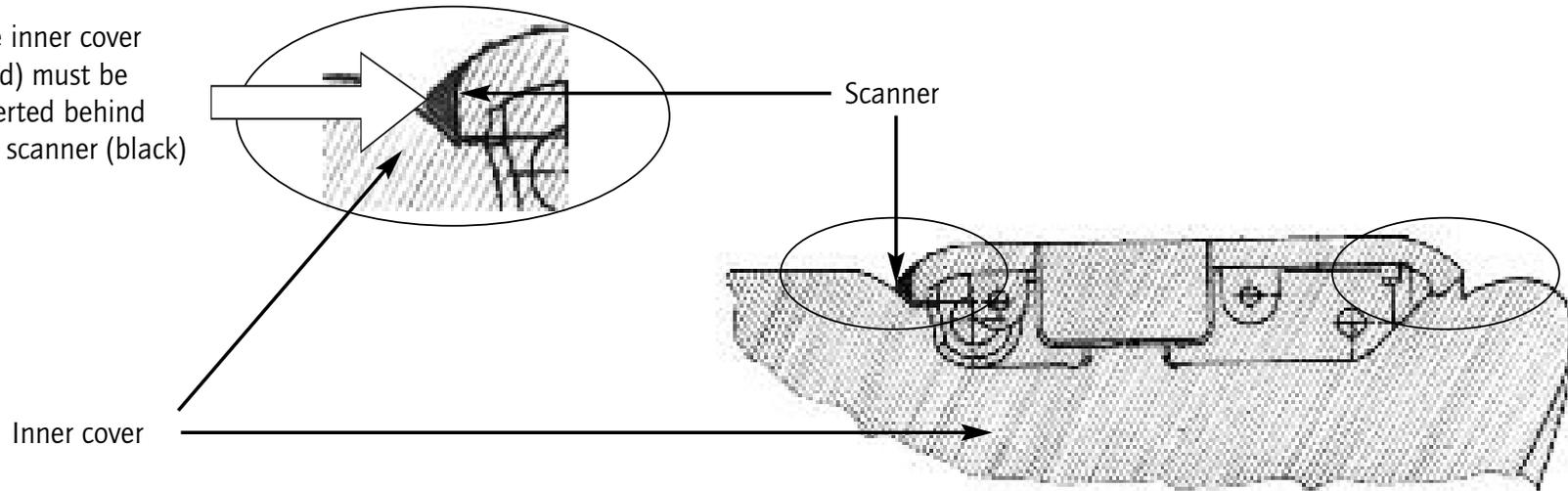
Install the inner cover following the instructions below:

1. Open the pocket extension.
2. Insert the two reference shafts in the corresponding housings found in the inner cover (Fig.58).

3. Push down on the inner cover until it stops, ensuring that the inner cover stays behind the scanner (black area) (Fig.59).



The inner cover (grid) must be inserted behind the scanner (black)



4. Check the exit pocket to ensure that the two plastic springs are properly aligned as shown in Fig.60.





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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.

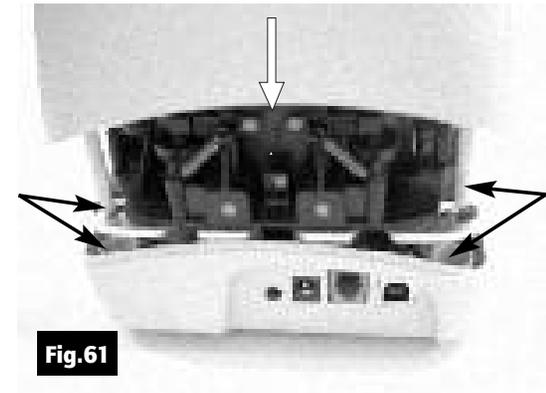


Fig.61

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.

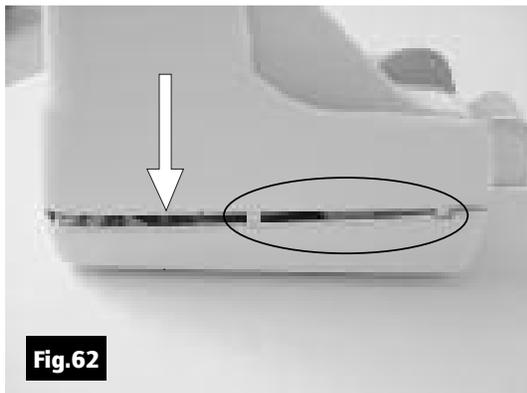


Fig.62

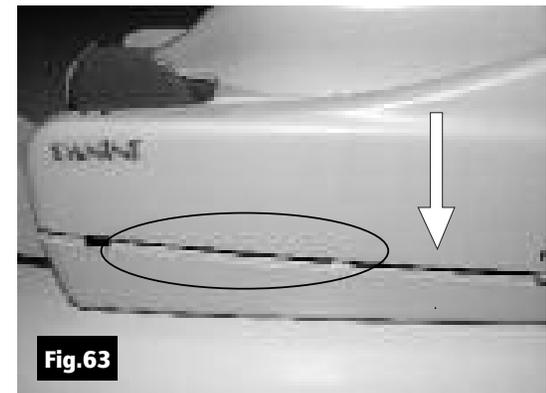


Fig.63



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

<p>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</p>
<p>50 dpm and 75 dpm Models</p>
<p><i>Application PC minimum requirements</i> Intel Pentium IV, 1.2 GHz, 512 Megabytes Ram</p>
<p>100 dpm Models</p>
<p><i>Application PC minimum requirements</i> Intel Pentium IV, 2 GHz, 512 Megabytes Ram</p>

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

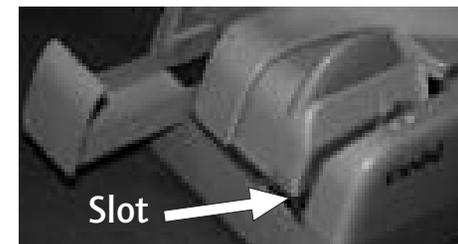
(*) The accessories box contains:

- 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.





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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

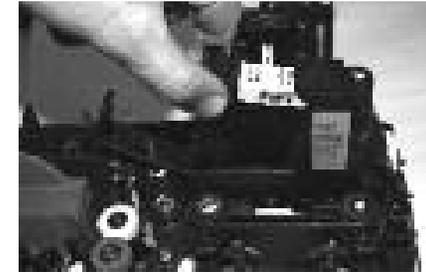
* Note: Frequent cleaning of the nozzle head may be required on HP Q2344A cartridges when processing with long intervals between batches of endorsed documents.

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.



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- Open the inner cover
- Open the rear cradle lever and remove the print cartridge
- Using a slightly dampened (de-ionized water is best) lint 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.

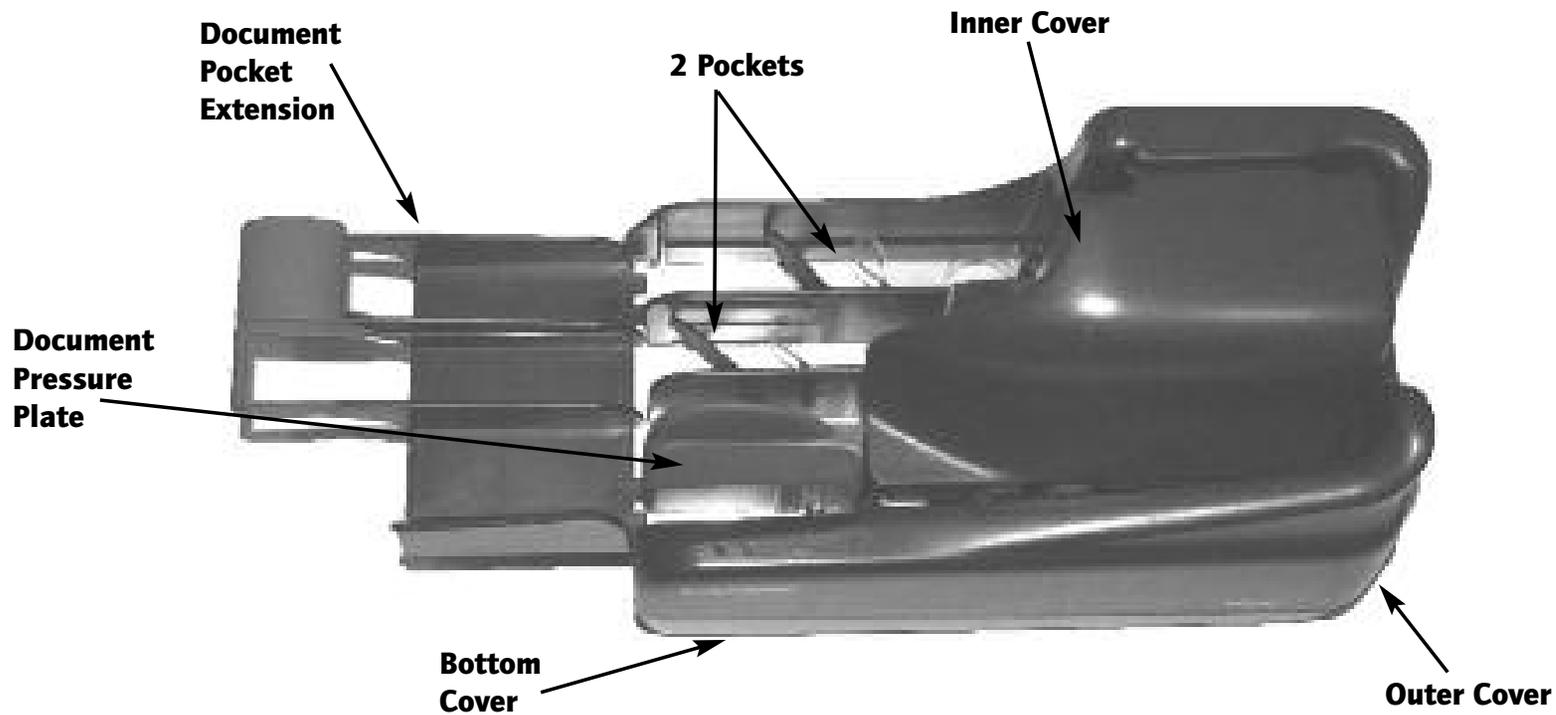


9. Vision X P Addendum

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

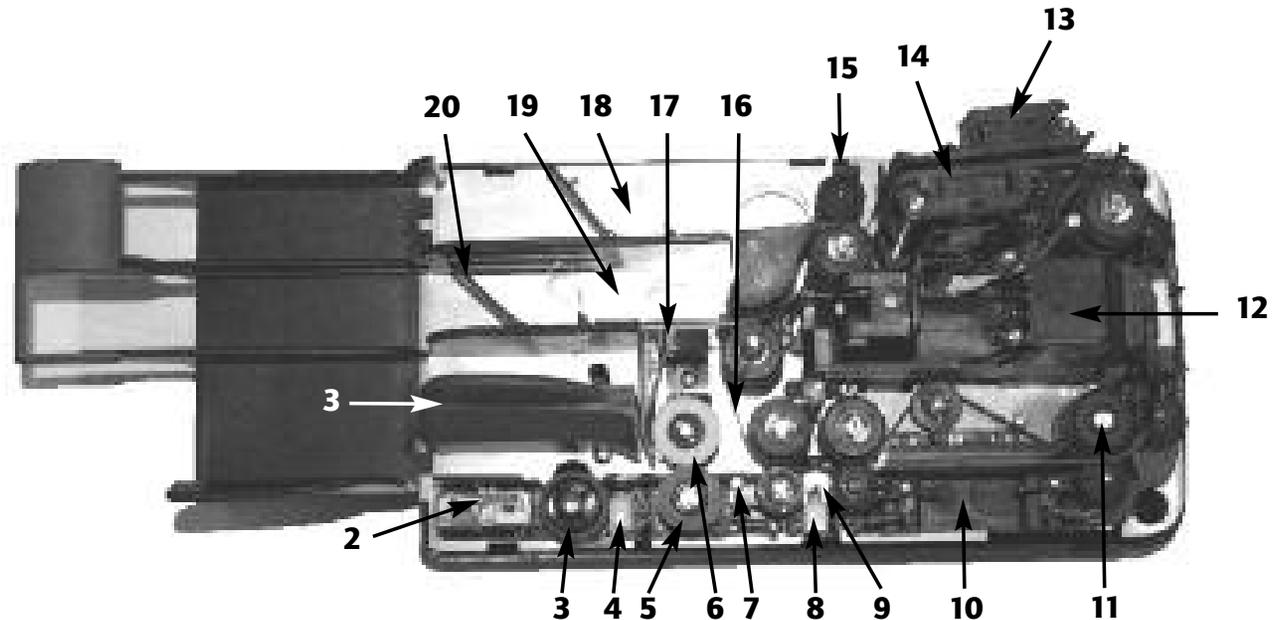




Internal Parts Description

** 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

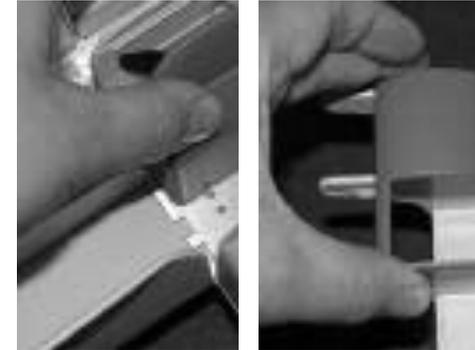


Document Support Installation / Pocket Length Adjustment

** 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	
<p>PERFORMANCE</p> <p>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</p>	<p>ADDITIONAL OPTIONS</p> <p>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)</p>
<p>IMPROVED AUTOMATIC DOCUMENT FEEDER</p> <p>2 versions (sw upgradable):</p> <ul style="list-style-type: none"> • Holding up to 50 documents – SF version • Holding up to 120 documents – FF version <p>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</p>	<p>POCKETS</p> <p>2 versions (based on the same hardware platform) :</p> <ul style="list-style-type: none"> • 1P: one exit pocket capable of holding 100 documents • 2P: two exit pockets capable of holding 100 documents each. <p>Flexible Sorting Options, based on MICR and/or image Full pocket sensor for both versions</p>
<p>MAINTENANCE</p> <p>Maximum accessibility to every component to minimize MTTR Total access to scanner and track area Firmware upgradeable via PC</p>	<p>MAGNETIC READER</p> <p>E13B/CMC7/Automatic New Panini MICR Plus® exclusive technology with OCR assist feature Superior MICR recognition and management MICR based sorting</p>
<p>DOCUMENTS SPECIFICATIONS</p> <p>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#)</p>	<p>SOFTWARE TOOLS</p> <p>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</p>



<p>INKJET PRINTER</p> <p>Rear Ink-jet AGP (advanced Graphic Printer) Printing capability, two versions:</p> <ul style="list-style-type: none"> • 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 <p>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</p>	<p>IMAGE CAPTURE</p> <p>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</p>
<p>INTERFACE</p> <p>USB2.0 port/Backward compatible with USB 1.1 RS232 Port for external device connection.</p>	<p>TOTAL COMPATIBILITY AND SCALABILITY</p> <p>Total backward compatibility for software API > release 2.24 Full version scalability (for sw options) throughout the range, via software upgrade</p>
<p>APPLICATION PC MINIMUM REQUIREMENTS</p> <p>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</p>	<p>WORKSPAC</p> <p>Extremely compact footprint – Ideal for teller, back office and corporate installations</p>
<p>DIAGNOSTIC FEATURES</p> <p>On board Diagnostics: tests the functionality of the scanner Power-on Self Testing: Automatic self testing and photocells calibration when powering the unit</p>	<p>DIMENSIONS AND WEIGHT</p> <p>Height: 175 mm (6.88") Width: 138 mm (5.43") Length: 264 mm (10.39") Weight: 2.6 Kg (5.73#)</p>
<p>OPERATING CONDITIONS</p> <p>Temperature: 15 ÷ 35°C Humidity: 20 ÷ 80% R.H. Non-Condensing</p>	<p>POWER SUPPLY INPUT VOLTAGE</p> <p>Autosensing from 100 to 240 Vac, 50 to 60 Hz</p>
<p>DEVICE INPUT VOLTAGE</p> <p>30 VDC</p>	

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 donner 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.

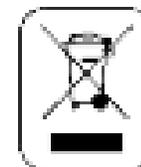
Les réglages ou réparations effectués sans autorisation peuvent exiger l'intervention d'un technicien qualifié pour rétablir les conditions de fonctionnement de l'appareil.

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 Europea, 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.

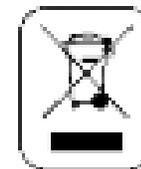
Si intenta realizar ajustes que no estén cubiertos en este manual, puede dañar el aparato e invalidar la garantía.

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 plaatselijke autoriteiten of plaatselijke distributeur, die u de noodzakelijke praktische 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 voedingsnoer 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.

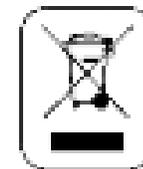
Als u tracht aanpassingen te maken die niet zijn beschreven in deze handleiding, kunt u de apparatuur beschadigen en de garantie ongeldig maken.

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 søppelopsamlingsstasjonene 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 trækker 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-auktorerade 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 voltal 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.
- Väggttaget 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 underhåll.

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 käsittelystä 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.



Advanced Solutions
for Document Processing



10. WEEE指令による電気・電子器具廃棄物の適正処理

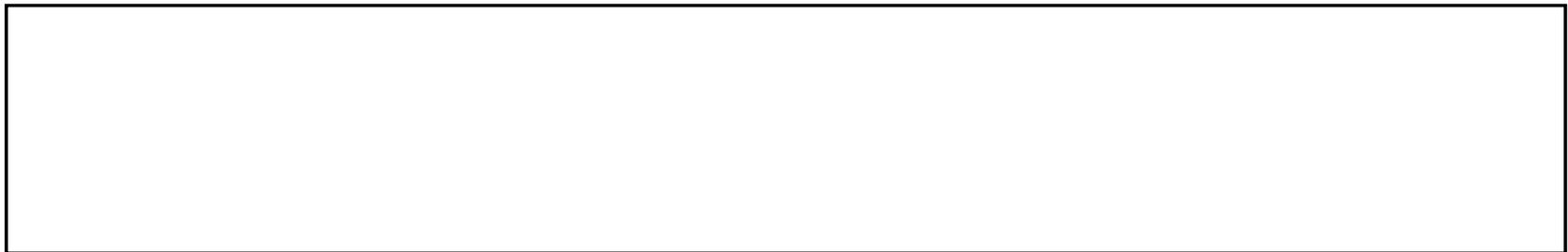




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10.1 本書の対象となる主体





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Vision | X





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Deal

panini.com



Operator Manual

Rev. 1.5



Advanced Solutions
for Document Processing

Preface

Release Date:
March 2011

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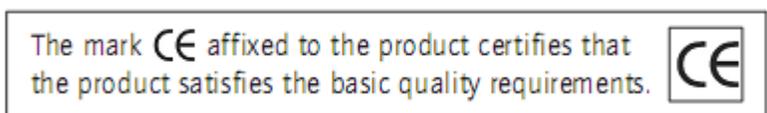
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This manual could contain technical inaccuracies or typographical errors. Changes are periodically made to the information herein; these changes will be incorporated in new editions of this publication.

Trademark Acknowledgements

PANINI. I:Deal. Vision API, ICR Vision and MICR Plus are trademarks or registered trademarks of Panini SpA.



The Panini I:Deal™ is also UL 950 compliant

Note: This equipment has been tested and found to comply with the limits for a Class B digital device, pursuant to part 15 of the FCC Rules. These limits are designed to provide reasonable protection against harmful interference in a residential installation. This equipment generates, uses and can radiate radio frequency energy and, if not installed and used in accordance with the instructions, may cause harmful interference to radio communications. However, there is no guarantee that interference will not occur in a particular installation. If this equipment does cause harmful interference to radio or television reception, which can be determined by turning the equipment off and on, the user is encouraged to try to correct the interference by one or more of the following measures:

- Reorient or relocate the receiving antenna.
- Increase the separation between the equipment and receiver.
- Connect the equipment into an outlet on a circuit different from that to which the receiver is connected.
- Consult the dealer or an experienced radio/TV technician for help.

Modifications not expressly approved by the manufacturer could void the user's authority to operate the equipment under FCC rules.

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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.



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Thank you for purchasing the Panini I:Deal™, a breakthrough and revolutionary product that will provide a compelling check capture solution designed specifically for the needs of small-business users of remote deposit capture (RDC).

The new device, through patented technologies, features:

- Innovative paper handling, including document auto-alignment
- High quality dual-sided image capture
- Advanced reading technologies in the areas of MICR and OCR
- Document franking
- Virtual endorsement
- Pocketing capability, providing document storage while ensuring transaction sequence integrity
- Outstanding performance in all critical functions of distributed capture

Please read this manual thoroughly before operating the machine in order to familiarize yourself with its capabilities and understand proper handling of its many functions.

1. Preparation

This chapter describes necessary preparations before using the I:Deal™.



Do not connect the device to your PC before installing the device drivers. If the device is connected before installing the drivers, it will not operate correctly.

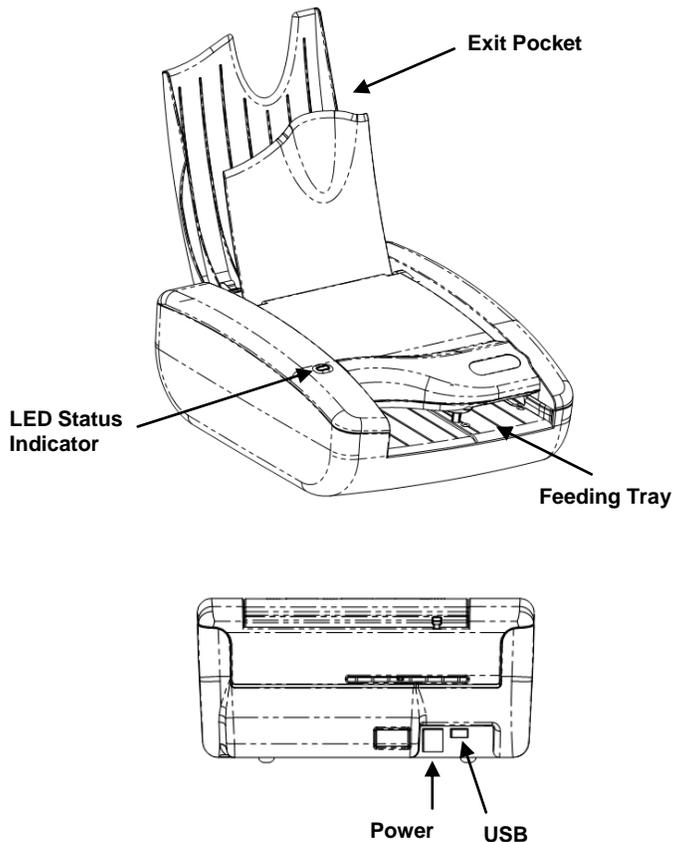
Refer to Chapter 2 for the device installation instructions.

1.1. Packaging List

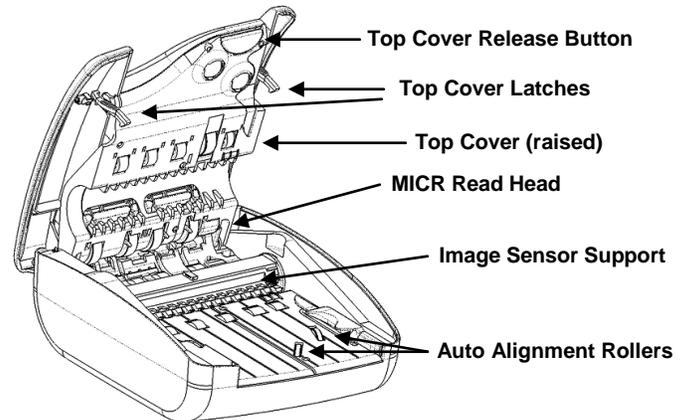
The Panini I:Deal™ packaging includes:

- Panini I:Deal™ scanner unit
- Power Supply
- USB Cable
- Operator Manual CD
- Quick Guide
- Franking Roller (optional)

1.2. External Components



1.3. Internal Components



1.4. Safety Precautions

Before you begin operating or servicing your I:Deal™ as instructed in this manual, please make sure you read and understand these important safety instructions.

- Do not allow anything to rest on the power cord. Do not locate the device where people may walk on the cord
- Always unplug the device before cleaning
- Do not attempt to service or repair the device, except as instructed elsewhere in this manual
- Attempting to service or repair the external power supply of the device may expose you to dangerous voltage points or other risks
- Refer all servicing to qualified service personnel

1.5. If the Machine is Damaged

Unplug the device 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. Installation

To set up the Panini I:Deal™ follow the steps below.

2.1. Choose a Location

Place the device on a level surface on or near the host computer, such as a countertop or table, away from direct light. Leave enough space to open the pocket flaps, top cover and to insert documents.

The device should be located as to minimize Electro-Magnetic Interference (EMI). Keep the device a minimum of 1 foot away from CRT monitors that can produce interference and affect the MICR reading.

2.2. Unpack the Scanner



Before unpacking the box, examine it for damage received during shipping. If the device, or any component, appears damaged do not use it. File a claim with the shipping company and contact your distributor.

When you unpack the I:Deal™, make sure that all parts are included (see packaging list from section 1.1). Save all packaging materials in case you need to repack the scanner.

- 1.) Open the top of the box



- 2.) Remove and unwrap the items



2.3. Connect Cables

Ensure that the device drivers have been preinstalled on the PC. The device drivers are widely available through supported software applications or by directly installing Panini's Vision API. Device drivers are available for Windows XP, Windows Vista and Windows 7.



Power Connection

USB Interface

Power Cable Connection

- 1.) Plug the power supply cable in the I:Deal™ power connector

- 2.) Connect the I:Deal™ to a dedicated electrical power outlet. The socket outlet needs to be installed near the equipment and 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.

USB Cable Connection

Connect the USB cable to the USB port located on the rear side of the scanner, and then connect the other end of the cable to an available USB 2.0 port on the PC.

Windows will detect the newly connected hardware and initiate the "New Hardware Wizard". The Microsoft signed drivers previously installed on the PC will be recognized and the device will be successfully installed.

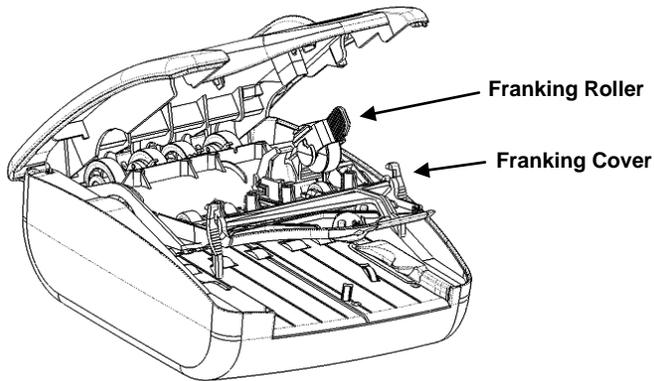
When removing or disconnecting the USB or Power Supply Cable from the device, be sure to pull straight back on the cable and remove.

DO NOT remove the cable by pulling up, vertically or at an angle. Doing so can damage the connector. The cables must be removed by gently pulling straight back on the cable from the connector.

2.4. Install Franking Roller (optional)

The optional Franking Roller is an ink stamp which can be used to mark the front of a document to read “ELECTRONICALLY DEPOSITED”.

Follow these steps to insert the franking roller into the device.



Open the Franking Cover

1.) Open the top cover by pressing the top cover release button and lifting the cover



2.) Open the franking cover by pressing forward on the top cover latches and pulling the franking cover down



Insert the Franking Roller

1.) Insert the Franking Roller straight into the roller harness, aligning the assembly guides on both sides



2.) Align the roller notch to fit into the positioning tab



3.) Apply pressure to the handle until the roller clicks into place

4.) Close the franking cover by pushing it up until it clicks into place

5.) Close the top cover. Press firmly in the middle of the scanner to securely close the top cover.



6.) After replacing franking roller, connect device and perform franking on a test document. Sample franking will ensure the correct position and confirm proper installation of the roller.



CAUTION

- Avoid contact with the main drive roller to prevent ink transfer to documents
- Ink may be harmful if swallowed
- Avoid contact with eyes
- Damage to the unit or the roller resulting from modifying the roller is not the responsibility of Panini

3.3. LED Indicators

The 3-color LED on the top cover of the device indicates the machine's status. The following table indicates the meaning of each status light.



LED	Description
Off	Device disconnected or software not connected
Yellow Blinking	Device connected, software connected but pocket flaps are closed
Yellow Solid	Device connected, software connected, pocket flaps open
Green Solid	Device is ready to begin feeding (Device connected, software connected, pocket flaps open and feeding enabled)
Green Blinking	Machine is processing documents
Red Blinking	Document jam or misalignment
Red Solid	Firmware being updated

3.4. Document Processing / LED Cycle

- 1.) Once the unit is powered on, flaps are up and USB cable connected the status LED will turn solid yellow, indicating initial power and PC connection to the device.
- 2.) When the application requests to start feeding the LED will turn solid green. Once a document is loaded into the feeding tray the machine will detect the document and begin scanning. The LED status

will begin blinking green indicating that the machine is busy processing a document.

- 3.) After scanning the machine will stop with the document either in the exit pocket or feeding tray according to the processing mode. If exiting to the feeding tray the LED will continue flashing green until document is removed from the tray. Once removed the LED will have be solid green indicating it is ready to process the next document.
- 4.) A flashing red LED indicates that either a document jam or misalignment has been detected. The machine will stop the document in the track to prevent capturing a misaligned document or to prevent damaging a jammed document. If misaligned, remove document and begin scanning again. For jammed documents see section 5.1 on how to remove jammed documents.
- 5.) A flashing yellow LED indicates that either the top flaps are closed or the top cover is open.

3.5. Opening / Closing Top Cover

The top cover of the device can be easily opened for removal of jammed documents, cleaning the device or for replacing the franking roller.

- 1.) To open the top cover press the blue release button on the top side of the feeding tray and lift the cover up.



- 2.) To close the cover press firmly downwards in the middle of the top cover. Ensure that both sides of the scanner securely snap closed.



4. Maintenance

The I:Deal™ has been designed as a minimal maintenance device. As such no regular cleaning schedule has been defined. However, processing documents in a scanner can cause some paper dust or other debris which after continued use could build up to eventually lead to imaging issues. As a preventative measure to ensure the expected quality from the device a general maintenance program can help achieve optimal results and avoid unnecessary failures.



CAUTION

- Before doing maintenance, remember to disconnect the USB and power cables from the device.
- Solvents or harsh cleaners may damage or discolor the cabinetry.
- Do not spray or try to clean the Contact Imaging Sensors (CIS) or the inside of the scanner with any kind of cleaner other than what is recommended. This may damage the CIS or the electronics.

4.1. Cleaning the Scanner

- **Cleaning Inside of Unit:** Remove paper dust and small debris from device by using low pressure canned air or a dusting brush designed for use on electronic equipment.
- **Cleaning Outside of Unit:** The outside cabinetry can be cleaned to remove finger marks and dust with a damp cloth and mild soap.

4.2. Cleaning the Contact Image Sensors

1.) Gently open the front image camera



a. Manually rotate the CIS support, positioning the camera on the bottom.



b. Open the rear CIS support by pressing the right tab in and lifting up.



c. Hold the CIS support to clean the camera lens.

2. Remove any debris and dust. Clean the Contact Image Sensors with a soft, lint-free cloth dampened with Isopropyl Alcohol or with eye glass cleaner.

5. Troubleshooting

In the course of everyday operations, you may encounter minor issues. The topics below should be reviewed prior to calling for service on the unit.

5.1. Clearing Jams

When a jam occurs, the paper path must be cleared. The paper path can be easily accessed simply by opening the cover and extracting the jammed document simply by gently pulling it out with your fingers.



When clearing a jam clear the paper path and rollers from any documents, paper dust or debris. Close cover to resume operation.

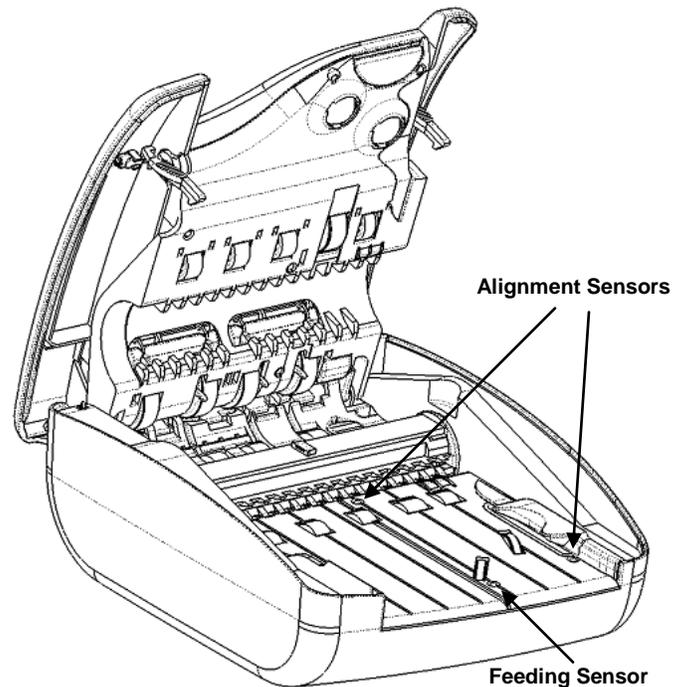
5.2. Feeding Issues

The I:Deal™ is designed to make document feeding as hassle-free as possible. The auto align feature of the device permits inserting documents in the feeding tray at varied angles. If the position or angle of the document insertion is too extreme and the auto alignment is not able to align the document, then the skewed position of the document will be detected by the device and the I:Deal™ will stop feeding.



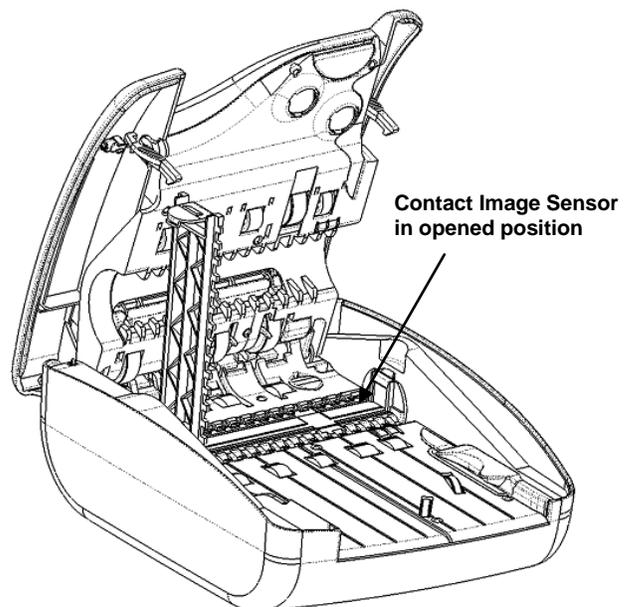
In this case remove and re-feed document into the scanner. Ensure that the top cover is properly closed after removing the document.

If the device fails to recognize a document when inserted into the feeding tray, try opening the scanner to remove any paper or debris. Additionally, the feeding sensor and alignment sensors can be cleaned of any dust build-up with the use of canned air.



5.3. Image Striking or Fading

If streaking or fading appears on the images, the Contact Image Sensors may require cleaning. Refer to section 4.2 for instructions on how to clean the scanners.



6. Specifications

6.1. Technical Specifications

Dimensions	Height: 81 mm (3.19") Width: 167 mm (6.57") Length: 201 mm (7.91")
Weight	1,05 Kg (2.3#)
Product layout	Positioned on horizontal, level surface Straight track Clam-shell structure – easy inspection No covers to remove, no extensions
Document Specifications	Height: Min. 54 mm (2.12") – Max. 106 mm (4.17") Length: Min. 100 mm (3.93") – Max. 235 mm (9.25") Weight: Min. 70 gr/m2 (18.7#) – Max. 120 gr/m2 (32#)
Document Feeder	Auto-aligning single document feeder Automatic loading, document face up
Magnetic Reader	E13B/CMC7/Automatic New Panini MICR Plus® exclusive technology with OCR assist feature Superior MICR recognition and management
Image Capture	Scanning: Contact Image Sensor (CIS) technology; dual sided image capture Image format: Bitmap in B/W, 256 shades of gray, TIFF, JPEG and Group IV compression Image resolution: 300 dpi optical, scalable to 200 or 100 dpi Advanced Dynamic Thresholding Superior auto calibrated image quality Dual image: 4 images plus a maximum of 10 uncompressed snippets per document
Front-side Franking	Self-inking roll-on stamp, red color Intelligent franking (based on codeline contents, image contents, IQA controls) Possibility to capture franked front image with an additional pass Ink roller (not included) life: up to 10,000 impressions, subject to environmental conditions Standard text: / ELECTRONICALLY DEPOSITED / <i>For customized text please contact your Sales representative</i>
Virtual Endorsement	Up to 8 different virtual endorsements applicable to rear document image User can select: - multi-line text and/or bitmap - endorsement area (3 pre-defined following ANSI X9 standard for US checks; 5 customizable) - font and color - rotation (0, 90, 180 or 270°)
Interface	USB 2.0 port
Pockets	Exit pocket capable of holding up to 10 documents with sequence integrity Intelligent sorting to send document to either exit pocket or back to feeding tray
Software Tools	Panini Vision API control running on: Windows XP SP1, Windows Vista and Windows 7 with USB 2.0 ICR Vision function for image snippet definition and download Easy integration of ICR/Barcode/OCR recognition technology
Software Options	OCR Recognition: OCR-A, OCR-B recognition engine Barcode Recognition: Code 39, Interleaved 2/5, EAN8, EAN13, UPCA, UPCE, Code 128 Bi-dimensional barcode (PDF417) Image Quality Assurance (IQA) library
PC Minimum Requirements	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
Power Supply Input Voltage	Autosensing from 100 to 240 Vac, 50 to 60 Hz 24 W Meets CEC IV
Operating Conditions	Operating: 15 ÷ 35 °C, 20 ÷ 80 % RH Non-Condensing Storage: 0 ÷ 40 °C, 10 ÷ 80 % RH Non-Condensing Altitude: 0 ÷ 3000 meters
Product Life	MCBF: 100,000 documents or 4 years Designed for low-end Remote Deposit Capture applications Minimal maintenance requirements
Certifications	UL / FCC Class B / CE Electronics and mechanics following the European RoHS and WEEE Directives

6.2. Warranty

Panini SpA warrants that, on the date of purchase, the product shall comply with its technical specifications and be free from defects in workmanship and material. Panini SpA warrants the product as such, meaning not in the guise of components, spare parts or consumables.

The standard warranty period for each product is of 12 (twelve) months from the date of purchase. However, to the extent a different warranty period is granted by Panini SpA under a specific agreement or by any reseller, dealer or distributor, the latter shall apply.

For avoidance of doubt, Panini SpA shall have no liability if the product has been damaged by any force or occurrence beyond its control, including, without limitation, accident, abuse, misuse, improper warehousing, conservation, repair, service or maintenance, modification or alteration by third parties, combination with other products, normal wear and tear.

In principle, notice of the non-compliance or of the defects shall be sent to the location indicated, as the case may be, by the reseller, the dealer, the distributor or Panini SpA within 10 (ten) days from the date on which you will have discovered the lack of compliance or the defect. Upon receipt of a warranty claim, it shall be promptly verified if the allegedly non-compliant or defective product is still under warranty and, if that should be the case, the shipment thereof shall be authorized. You will be assigned a specific code in such respect and you shall ship the allegedly non-compliant or defective product to the location indicated. Should the product be found to be non-compliant or defective, it shall be replaced or repaired free of charge, and returned to you.

In any case, please refer to your reseller, dealer or distributor for returning the product under warranty and for related shipment costs and expenses, where applicable.

Except as provided for herein, Panini SpA disclaims all other warranties or any express, implied or statutory remedies regarding the product, including any warranty of merchantability and fitness for a particular purpose. You acknowledge that you have relied on no other warranties or remedies other than those expressly provided for herein. In no event, shall Panini SpA be liable for any indirect, incidental or consequential damages or loss of profit, loss of data or loss of opportunities.

This warranty does not limit in any manner whatsoever, to the extent applicable, the rights granted under local mandatory laws, including those concerning the sale of consumer goods.



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Chapter 12: Queue Interface

OTCnet Participant User Guide

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Audience, Overview and Topics

Audience

The intended audiences for this guide are:

- Agencies using Queue Interface
- Check Capture Administrators

Overview

In this guide, you will learn how to:

- Configure the Queue Interface

Topic

This guide contains one topic: Queue Interface Overview.

Topic 1. Queue Interface Overview

Queue Interface Purpose

The purpose of the Queue Interface is to enable interaction between OTCnet and military agencies' 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 and 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).

Figure 1. Manage Organization Screen



2. The *Step 1 of 3: Select Organization Endpoint* page appears. 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. Check **Enable Check Capture** and then click **Yes** for Queue Interface (see Figure 2).

Figure 2. Enable Check Capture

Modify Organization
 Step 2 of 3: Update OTC Endpoint Information

Update the OTC Endpoint information.
 Organization Hierarchy: TTTL - Training Team Top Level - 00002099
 OTC Endpoint: LL1 - Lower Level 1 - 0000209901
 * Denotes required fields.

General

Short Name*
 LL1

Description*
 Lower Level 1

Allow OTC Endpoint to create deposits for over-the-counter collections

Check Cashing Policies

Data Privacy

Enable Check Capture

ALC+2*
 0000209901

Queue Interface
 Yes No

OTC Verification Group
 Short Name (Starting With)
 LL1

Clear Search

- Click **Next**, and then click **Submit** to save changes (see Figure 3Error! Reference source not found.).

Figure 3. Queue Interface

Enable Check Capture

ALC+2*
 0000209901

Queue Interface
 Yes No

OTC Verification Group
 Short Name (Starting With)
 LL1

Clear Search

Add Agency Group

OTC Verification Group			
Current Agency Site			
Lower Level 1			
Short Name	Description	ALC+2	Delete
LL1	Lower Level 1	0000209901	<input type="checkbox"/>

Add lower levels to this OTC Endpoint

Advanced Administration

Special Designation

Previous Cancel Next

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.

Glossary

A

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 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. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use 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 resulted in a batch being updated to Acknowledgment Error.

ACR Activity Report - A check processing business report that allows you to view detailed information about transactions that were adjusted, corrected, or reversed/rescinded. Users can generate a report that covers a maximum period of 45 calendar days.

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 Historical Report - A deposit processing report that allows you to view historical deposit adjustment and returned item adjustment transaction data.

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) - The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

Agency Manager - A user that has authorization to view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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.

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 roles 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.

Bureau of the Fiscal Service (FS) - (formerly 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.

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 create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Lastly, this user has the ability to create the CCA offline user logon profile using OTCnet online.

Check Capture Lead Operator - An agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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 view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. 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.

Check Capture Supervisor - An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, 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. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

Check Clearing Act for the 21st Century - The law that took effect on October 28, 2004 that states that an Image Replacement Document (IRD) (electronic image of a check) is legally the equivalent of the original document therefore eliminating the need to clear the physical check.

Check Image Report - A check processing business report that allows you to view the front and back images of a check for an Individual Reference Number (IRN) that you request.

Check Number - The printed number of the check writer's check.

CIRA CSV Historical Report - A check processing business report that allows you to query check records that are associated with batches that have been forwarded for settlement more than 18 months ago. The exported comma separated value report (CSV) data can be used to import into other applications within an agency.

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. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

Classification Key (C-Key) - A unique agency accounting code assigned to a transaction. Agencies establish C-Keys in SAM for collection transactions that will be used to derive the appropriate values of TAS-BETC(s).

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.

Client ID/GCI Number – An ID used by the deposit end point when requesting a currency conversion for foreign check to the US dollar Equivalent (USE) with the foreign currency exchange gateway for foreign check items or currency conversion service for foreign currency cash.

Client Order ID – A unique ID assigned by OTCnet to maintain uniqueness while requesting/accepting a foreign currency conversion quote for foreign checks the foreign currency exchange gateway.

Closed Batch Status - Indicates the batch is closed and no new checks may be scanned into that batch.

Collections Information Repository (CIR)- (formerly 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.

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.

Create Deposit - Allows a user to create a deposit for an organization.

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.

Debit Voucher Report (5515 Report) - The report provided by FRB-C to an agency that funds have been debited for their CA\$HLINK II account.

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 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 Ticket Report (215 Report) - The report provided by FRB-C to an agency that funds have been deposited into their CA\$HLINK II account.

Deposit Total - The total amount of over-the-counter receipts included in the deposit.

Deposit Historical Report – A deposit processing report that allows you to view historical deposit transaction data.

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.

E

Exchange Rate - The decimal value used to convert foreign currency to the US dollar Equivalent (USE).

F

Failed - The item was unable to be processed and/or settled by Treasury/BFS. 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.

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.

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 FS'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, maintain, and view 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, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

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. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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 connectivity, 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 connectivity).

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.

Personally Identifiable Information (PII) - It is any piece of information which can potentially be used to uniquely identify, contact, or locate a single person or can be used with other sources to uniquely identify a single individual. Examples of PII include but are not limited to social security numbers, dates and places of birth, mothers' maiden names, biometric records.

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 payment date of a check item, which is when the deposit is debited from the check writer's 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 searchable for a duration of up to 45 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 searchable in for a duration of up to 45 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.

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 searchable for a duration of up to 15 days.

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 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 CIR File Status Report - An administration report allows you to view the status of CIR files that have been processed by Collection Information Repository (CIR) or are ready for CIR to process.

View CIR Transmission Status for Check Processing - A check processing administration report that allows you to view the status of CIR files that have been processed by CIR or are ready for CIR processing.

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 day that Debit Gateway receives transactions from OTCnet.

Voucher Number - The number assigned to a deposit by OTCnet.