Chapter 1: Introduction to OTCnet

OTCnet Participant User Guide

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Glossary

Click this link to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

Welcome to *Introduction to OTCnet Overview and OTCnet Course Content*. In this chapter:

- You will be introduced to OTCnet
- You will learn about OTCnet User Roles

Topics

The topics in this chapter include the following:

1. OTCnet Elements, Process Flows and End Users
2. OTCnet User Roles

Audience

The intended audience for *Introduction to OTCnet* includes:

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

Topic 1. Introduction to OTCnet

Overview

The Bureau of the Fiscal Service (BFS) Over the Counter Division (OTCD) provides the Over-the-Counter Channel Application (OTCnet) to facilitate electronic processing, 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 that enable world-class OTCnet financial services, including the collection of checks, cash, coins and credit, debit, and gift card transactions 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 transactions 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 that enables federal agencies to integrate check conversion, deposit reporting, and card processing, so that all check, cash, coin, and card deposits to the Treasury General Account (TGA) are handled by one web-based application.

OTCnet offers agencies superior customer service and high-quality e-commerce solutions for collections and reporting needs.

OTCnet financial services includes the following:

- Electronic processing of US checks presented for cashing, payment, or deposit
- Processing of US currency, foreign currency cash and foreign check deposits
- Acceptance of credit, debit, and gift cards (Visa, MasterCard, American Express, Discover)
- Support of the Self-Service Kiosk
- Automation of the collection and settlement process
- Support of online reporting and research capabilities for reconciliation and inquiries
- Improvements of deposit history record-keeping

OTCnet Elements

OTCnet comprises five elements:

1. *Administration
2. Check Capture, Check Processing and Reporting
3. Deposit Processing and Reporting
4. Card Processing
5. Self-Service Kiosk: Web Service

*Administration functions support Check Capture, Check Processing and Reporting, Deposit Processing and Reporting, Card Processing, and Self-Service Kiosk as shown in Figure 1.

Figure 1. OTCnet Elements
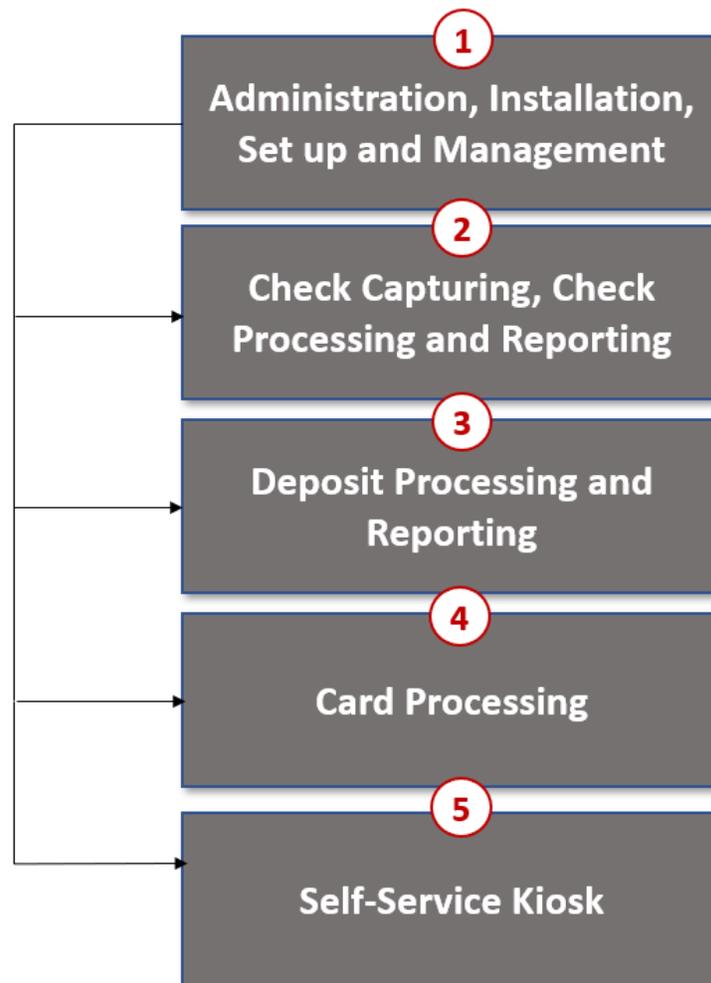
The functions of the five elements are:

- **Administration, Installation Set Up and Management** allows for those with administrative permissions to install and manage OTCnet and set up users.

- **Check Capturing, Check Processing** converts personal and business checks into electronic fund transfers. Transactions include consumer, consumer accounts receivable, and business transactions

- **Deposit Processing** permits federal agencies to create and submit deposits for confirmation. This platform also allows financial institutions (FIs) to confirm those deposits and create adjustments electronically. Deposits are created for US currency, foreign cash, and foreign checks

- **Card Processing** allows agencies to provide their customers with an option to make payments via credit/debit cards and gift cards

- **Self-Service Kiosk** is a third-party vendor standalone kiosk supported by OTCnet

OTCnet Process Flow: Check Capture, Check Processing and Reporting

Check Capture and Check Processing involve 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 agencies check collections.

In OTCnet, your agency scans a check, and the scanner captures an image of the front and back of each check. In OTCnet Online, the image is available immediately. You can also access the Collections Information Repository (CIR) to retrieve deposit information.

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

OTCnet sends summary as well as detailed information to CIR for those agencies that are not processing tax transactions.

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). CARS invokes Shared Account Module (SAM) to either validate, translate, or default the TAS/BETC based on the accounting information received on the transaction.

OTCnet sends the captured check data to the Debit Gateway at the Federal Reserve Bank Cleveland (FRB-C). FRB-C/Debit Gateway sends the data and settles to the financial institution (FI) either through FedACH (Automated Clearing House) personal check or Check 21 (non-personal check) where the check was written.

The FI where the check was written shows the account was debited (Complete Check Capture and Check Processing and Reporting Process flow as shown in Figure 2).

If your agency uses the Master Verification Database (MVD) (which provides downloads of prior negative check information and blocked items), 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.

Figure 2. Check Capture, Check Processing, and Reporting Process Flow
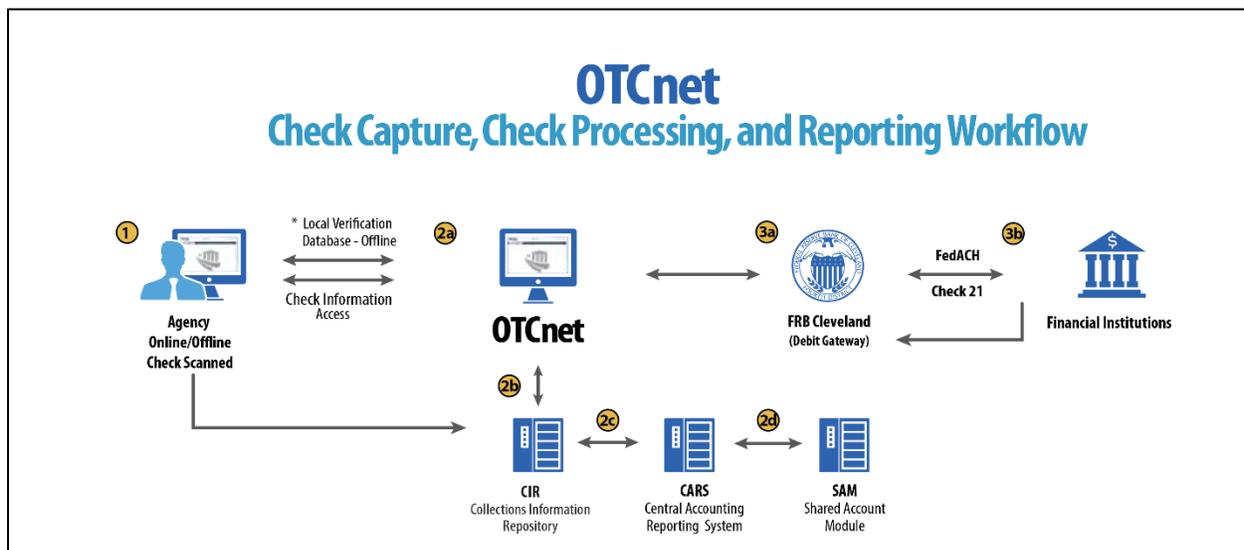
What is ACH?

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 the 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. It can be used the same way you would use the original check."

- Display a magnetic Ink character recognition (MICR) line containing 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.

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 accounts.

Check 21 requires financial institutions to accept a substitute check from a presenting institute and grant it equivalent status to the original check if the substitute check meets prescribed requirements. It also requires a reconverting bank to meet the warranties and indemnities enacted through 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: https://www.frbservices.org/education/products-services-education/check21-act.html

Acceptable forms of FedACH and Check 21 payment types are shown in Table 1.

Table 1. FedACH and Check 21 Payment Types

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

## OTCnet Process Flow: Deposit Reporting

Deposit Processing electronically collects US and foreign funds, which facilitates the daily classification of Treasury collections.

As shown in Figure 3, the Deposit Preparer, or Agency, 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 Treasury General Account (TGA) bank. At the TGA bank, 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 it to the Treasury Cash Management System (TCMS) for cash concentration purposes. TCMS receives the commercial deposit data from CIR and initiates the cash concentration activity.

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 Processing Workflow
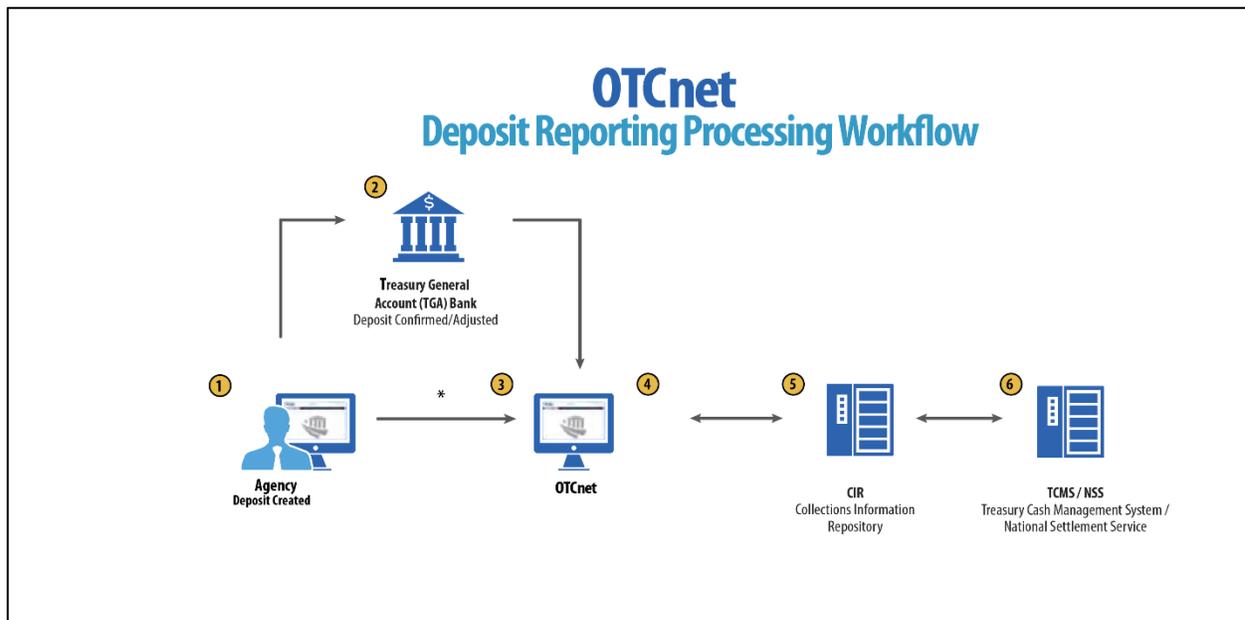
OTCnet Process Flow: Card Processing

Card processing is a web-based functionality that provides agency customers with an option to make payments with a credit, debit, or gift card. Card transactions are sent directly to WorldPay.

As shown in Figure 4, the Agency initiates the Card Processing payment. Currently, OTCnet does not store any card transaction details. The Agency can access the Collections Information Repository (CIR) to retrieve deposit and card payment information.

The customer pays with a credit/debit card or gift card at an agency terminal station. The customer authorizes the amount to be charged to their account. The Verifone/OTCnet terminal sends the transaction data to Worldpay for authorization.

Worldpay processes the payment in four steps:

Step 1 – Authorization (Real Time)
Worldpay sends the transaction data to the card issuer through the card network (e.g., Visa, Discover, Amex, and Mastercard). The card issuer determines whether funding is available and returns authorization through the card networks to Worldpay.

Step 2 – Clearing
Funds in the daily transaction batch are cleared from Worldpay to Comerica Bank. The processing cutoff for credit card payments is 4:30 AM; for debit card payments the cutoff is 2:00 AM.

Step 3 – Settlement
The card issuer sends the settlement money back to Worldpay via the card networks once the payments have been authorized and cleared. The timing for this transaction varies by credit/debit network.

Step 4 – Deposit Reporting
If the payment is approved, Worldpay sends deposit voucher transaction data to CIR via the Worldpay flat file the following morning between 4:00 and 6:00 AM.

CIR sends the voucher information to the Treasury Cash Management System (TCMS). TCMS uses the National Settlement Service (NSS) to draw funds. NSS transfers funds to the TGA Bank NY/FRB and reconciles them with Worldpay/Comerica Bank.

Figure 4. Card Processing Workflow
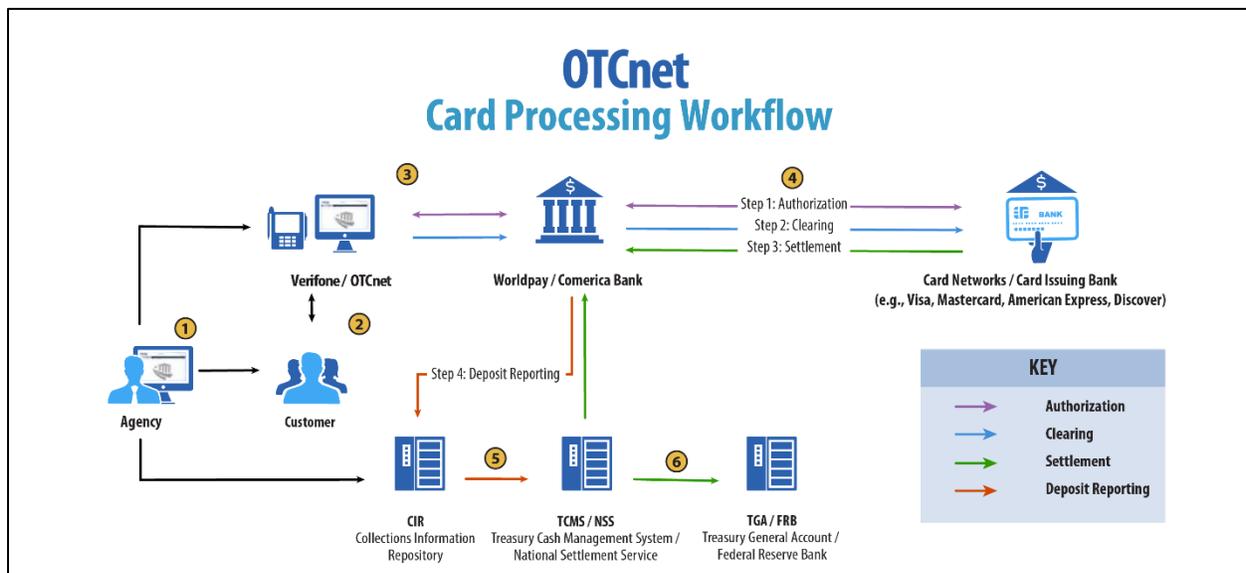
OTCnet Process Flow: Self-Service Kiosk: Check Payment

Self-Service Kiosk: Check Processing is a web-based functionality that provides agency customers with an option to make payments with a check at a kiosk. The Kiosk Operator sets up the workstation and Kiosk Tablet daily by logging in to and locking down the Kiosk Tablet.

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As shown in Figure 5, the kiosk captures the image of the front and back of each check and stores these images on the kiosk server. The captured images are uploaded to the OTCnet server on a scheduled basis and are stored in OTCnet for seven years.

OTCnet sends the captured check data to Debit Gateway at the Federal Reserve Bank Cleveland (FRB-C). FRB-C/Debit Gateway forwards the data to the Financial Institution (FI) where the check was written, either through FedACH (for personal checks) or Check 21 (for non-personal checks). The FI receives the data and shows the account as debited.

OTCnet also sends summary as well as detailed information to the Collections Information Repository (CIR). CIR sends accounting entries with Treasury Account Symbol/Business Event Type Code (TAS/BETC) or Classification Keys (C-Keys) to the Central Accounting Reporting System (CARS). CARS invokes the Shared Account Module (SAM) to either validate, translate, or default the TAS/BETC based on the accounting information received on the transaction.

Agencies access OTCnet for Check Processing reports and use OTCnet's Check Image and Research Archive (CIRA) Query feature to search for check images, check capture dates and transaction dates. Agencies retrieve deposit information from the Collections Information Repository (CIR).

Figure 5. Self-Service Kiosk: Check Payment
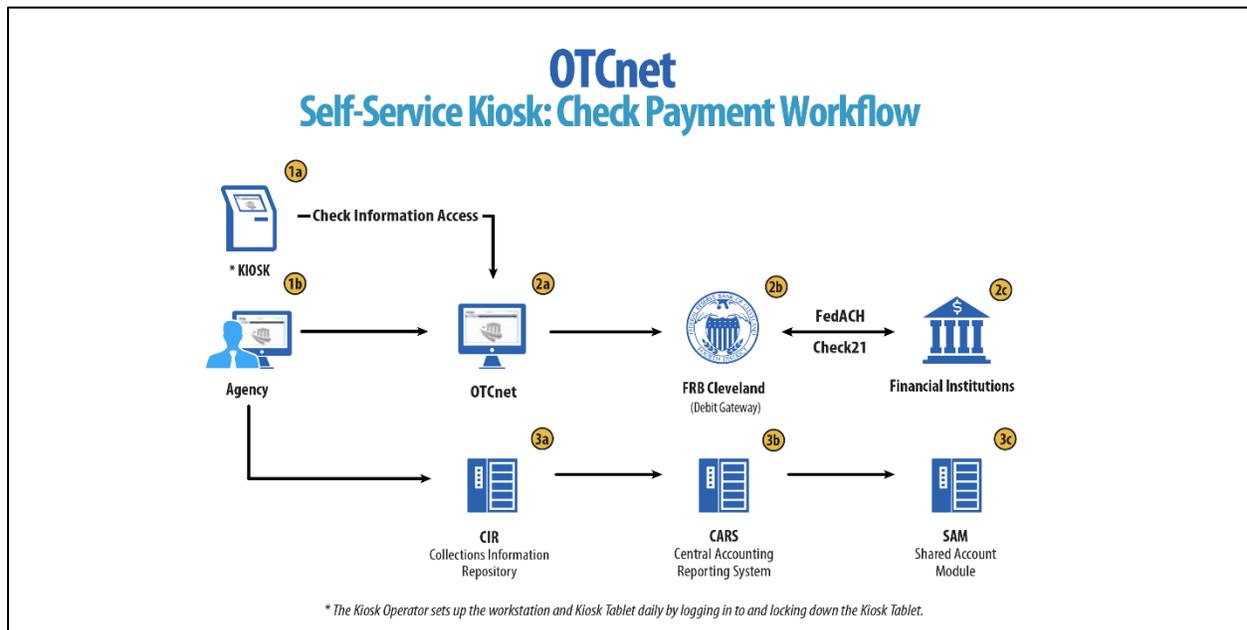
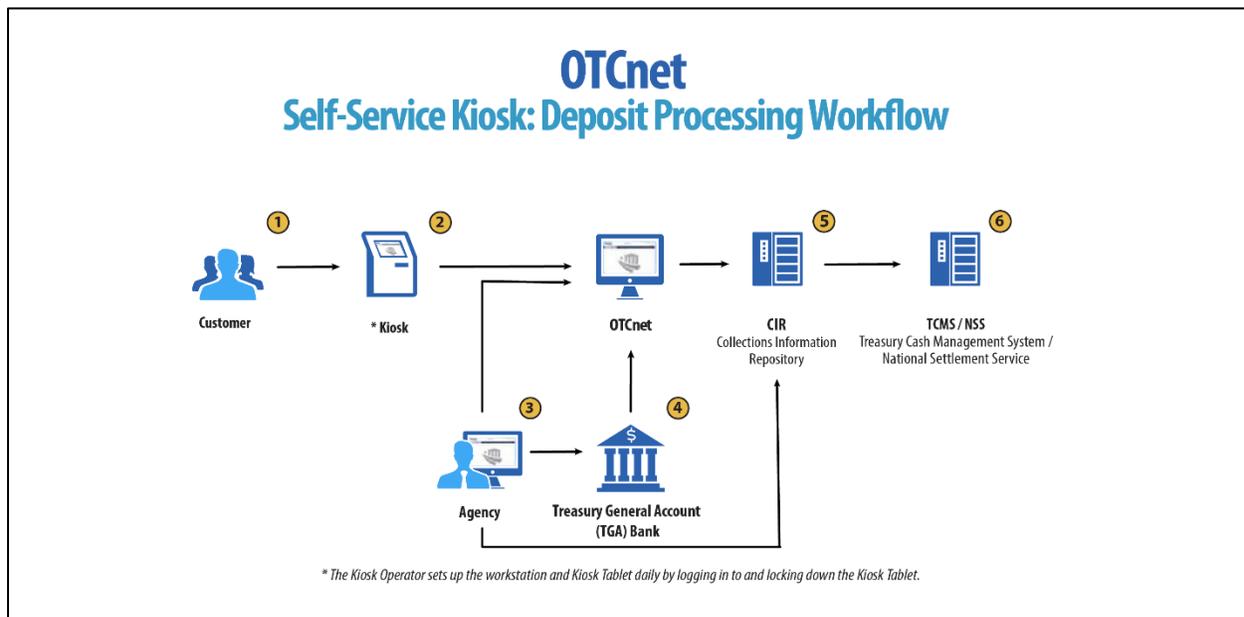## OTCnet Process Flow: Self-Service Kiosk: Deposit Processing

Self-Service Kiosk: Deposit Processing is a web-based functionality that provides agency customers with an option to make US cash payments at a kiosk. The Kiosk Operator sets up the workstation and Kiosk Tablet daily by logging in to and locking down the Kiosk Tablet.

As shown in Figure 6, the customer (kiosk user) makes US cash payments using the kiosk. The kiosk sends the deposit information to OTCnet with draft status. OTCnet creates a deposit voucher for the kiosk's cash payment transactions with accounting code information. The agency logs in to OTCnet to classify, approve and submit the voucher to the agency's FI and

can view the Deposit Process report. The FI verifies and confirms the deposit in OTCnet; the cash goes to the bank.

Once the FI has confirmed the deposit, OTCnet sends voucher information to the Collections Information Repository (CIR). CIR sends the voucher information to the Treasury Cash Management System (TCMS) and TCMS uses the National Settlement Service (NSS) to draw funds. Agencies can access CIR to retrieve deposit information.

Figure 6. Self-Service Kiosk: Deposit Processing Workflow

OTCnet Process Flow: Self-Service Kiosk: Card Processing

Self-Service Kiosk: Card Processing is a web-based functionality that provides agency customers with an option to make payments with a credit, debit, or Visa/Mastercard gift card at an agency terminal station. Card transactions are sent directly to WorldPay.

The Kiosk Operator sets up the workstation and Kiosk Tablet daily by logging in to and locking down the Kiosk Tablet.

As shown in Figure 7, payments can be made with a credit/debit card or Visa/Mastercard gift card at the kiosk. The customer authorizes the amount to be charged to their account. The kiosk sends transaction data to Worldpay for authorization.

Worldpay processes the payment in four steps:

Step 1 - Authorization (Real Time)
Worldpay sends the transaction data over to the card issuer through the card networks (e.g., Visa, Discover, Amex and Mastercard). The card issuer determines if funding is available and returns authorization back through the card networks to Worldpay.

Step 2 – Clearing
Funds in the daily transaction batch are cleared from Worldpay to Comerica Bank. The processing cutoff is 2:00 AM for debit card payments and 4:30 AM for credit card payments.

Step 3 – Settlement
Once the payments have been authorized and cleared, the card issuer sends the settlement money back to Worldpay via the card networks. The timing of the transfer varies by credit/debit network.

Step 4 - Deposit Reporting
If the payment is approved, Worldpay sends deposit voucher transaction data to the Collections Information Repository (CIR) via the Worldpay flat file the following morning between 4:00 AM and 6:00 AM.

CIR sends the voucher information to the Treasury Cash Management System (TCMS). TCMS uses the National Settlement Service (NSS) to draw funds. The kiosk sends the card transaction data to OTCnet via the card web service. NSS transfers funds to the TGA Bank NY/FRB and reconciles with Worldpay/Comerica Bank. The agency accesses OTCnet for Card Processing reporting; the agency can also access CIR to retrieve deposit information.

Figure 7. Self-Service Kiosk: Card Processing Workflow
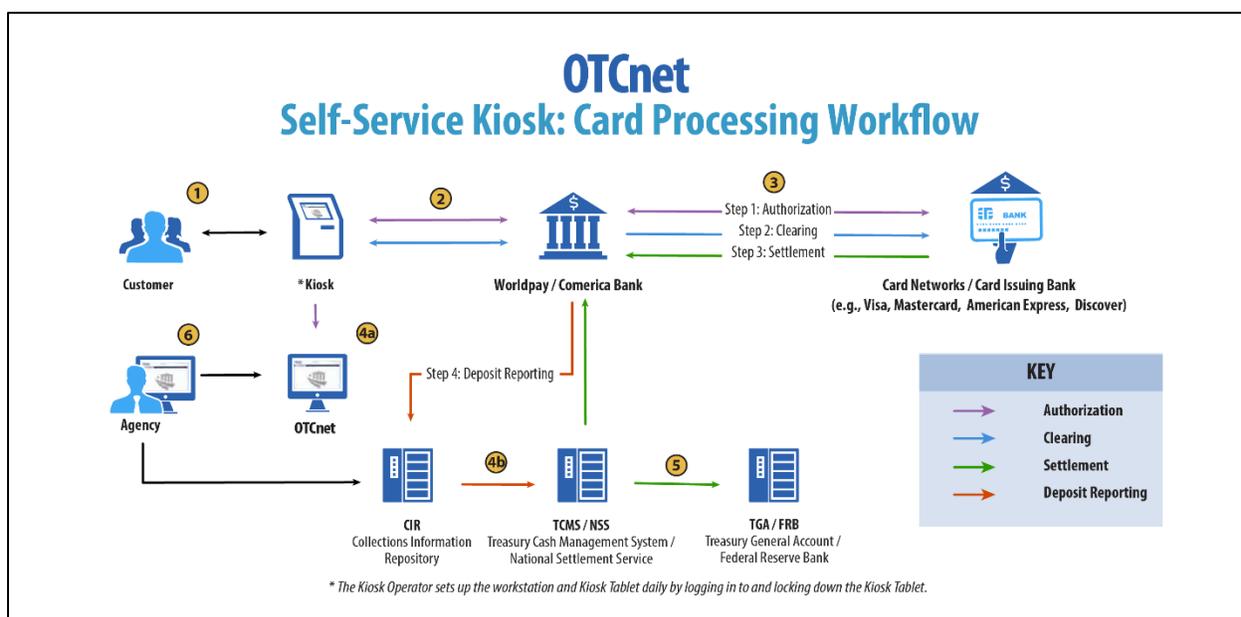
OTCnet End Users

There are four functional areas of the OTCnet application:

1. Administration
2. Check Capture, Processing and Reporting
3. Deposit Processing and Reporting
4. Card Processing

The user role you hold is based on the types of tasks you will perform.

- Administration user roles, with varying degrees of permission, perform administrative duties such as user management and system installation.

- Check Capture/Check Processing and Reporting user roles perform functions to capture checks, process checks, access reports and edit or view the Master Verification Database (MVD).

- Deposit Processing and Reporting user roles create or approve deposits, confirm (reject or adjust) deposits, or view deposit information, as shown in Table 2.

- Card Processing user roles perform functions to process card transactions.

Table 2. End User Roles

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

*Batch Approver is a sub-role assigned to users with existing roles.

Topic 2. OTCnet User Roles

Individuals are granted user access based on their job roles. Agency and Financial Institution/Federal Reserve Bank (FI/FRB) user roles are listed in Table 3 below with corresponding descriptions of job roles, the user roles that may assign the access, and whether the user can access Check Capture, Deposit Processing, or Card Processing functions.

Table 3. OTCnet Agency and FI/FRB User Roles

User Role	Role Description	Assignable By	Check Capture	Deposit Processing	Card 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	•	•	
Agency Manager	The agency user in this role can view and download CIRA CSV (Comma-Separated Values) reports and ACR (Accessibility Conformance Report) 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 with an endpoint.	Agency PLSA Agency LSA	•		
Card Administrator	The agency user in this role has the capability to manage endpoints for card processing. The user can view and modify terminal configuration. The user can also modify, delete, view, and search organization hierarchy. Lastly, this user has the capability to download releases and read/view audit card modules.	Agency PLSA Agency LSA			•

User Role	Role Description	Assignable By	Check Capture	Deposit Processing	Card Processing
Card Operator	This user views organizational hierarchy and searches within the organization. This user can process credit card payments, query card transactions, and view terminal configuration. Finally, this user can read/view the audit log and has partial access to the user's own activities.	Agency PLSA Agency LSA			•
Check Capture Administrator	The agency user in this role has the capability to define and modify the check capture sites as well as manage accounting codes and modify endpoint mappings. For example, this user can set up the location policy and location group. Additionally, this user can view, modify, and import accounting codes and modify endpoint mappings. This user can also configure the Check Capture functions and perform upgrades to the application, as well as 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 with an endpoint. This user has permission to download software or firmware to the terminal using the Download Check Capture application permission. Lastly, this user is authorized to download the OTCnet Local Bridge (OLB) application, install the OLB certificate, install the OLB application, create the OLB profile, and start and stop the OLB application.	Agency PLSA Agency LSA	•		

Administration

User Role	Role Description	Assignable By	Check Capture	Deposit Processing	Card Processing
Check Capture Lead Operator	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. This user is authorized to install the OTCnet Local Bridge (OLB) certificate, install the OLB application, create the OLB profile, and start and stop the OLB application. Additionally, this user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicates. This user is not authorized 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.	Agency PLSA Agency LSA	•		
Check Capture Operator	This agency user has the 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. This agency user can also view if an endpoint is designated for summary-level classification, and the agency comments associated with an endpoint. This user is authorized to install the OTCnet Local Bridge (OLB) certificate, install the OLB application, create the OLB profile, and start and stop the OLB application. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks. However, the user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.	Agency PLSA Agency LSA	•		

User Role	Role Description	Assignable By	Check Capture	Deposit Processing	Card Processing
Check Capture Supervisor	The agency user in this role is the most powerful user on the Check Capture site. The user can perform almost all the functions in Check Capture, including 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. This user is authorized to install the OTCnet Local Bridge (OLB) certificate, install the OLB application, create the OLB profile, and start and stop the OLB application.	Agency PLSA Agency LSA	•		
CIRA Viewer	The agency user in this role can only view organization endpoints and CIRA records. This is the check processing role with the lowest level of access. 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	•		
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 can only search/view deposits and adjustments and produce reports.	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 its 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		•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing	Card Processing
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	•		
MVD Viewer	The agency user in this role can read CIRA records, verification records, and block records containing only AB permissions. This role also has permission to download CSV formatted reports and 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	•		
View Report	The agency user in this role will have access to agency reports except for 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 can only 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		•	
FRB Viewer	The FRB user in this role can only search and view deposits and adjustments, view FRB information and produce reports from it.	FI PLSA FI LSA		•	

Agency User Role Combinations

As shown in Table 4 and Table 5, Agency Deposit Processing, Check Capture and Card Processing user roles 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, Check Capture and Card 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	•	•	•	•	•	•	•
Card Administrator			•	•	•	•	
Card Operator			•	•	•	•	
Check Capture Operator			•	•	•	•	•
Check Capture Lead Operator			•	•	•	•	•
Check Capture Administrator		•	•	•	•	•	•
Check Capture Supervisor			•	•	•	•	•

Administration

Table 5. Combinable Agency Check Capture and Card Processing User Roles

Deposit Reporting, Check Capture and Card Processing 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
Agency PLSA					•					
Agency LSA					•			•		
Accounting Specialist		•	•	•	•	•	•	•	•	
Local Accounting Specialist		•	•	•	•	•	•	•	•	
Deposit Preparer		•	•	•	•	•	•	•	•	
Deposit Approver		•	•	•	•	•	•	•	•	
Agency Manager				•				•	•	
CIRA Viewer			•	•	•	•	•	•	•	
View Report		•		•	•	•	•	•	•	
MVD Editor	•	•	•		•	•	•	•	•	
MVD Viewer		•	•	•		•	•	•	•	
Card Administrator							•	•	•	
Card Operator						•	•	•	•	
Check Capture Operator		•	•	•	•					•
Check Capture Lead Operator		•	•	•	•			•	•	•
Check Capture Administrator	•	•	•	•	•		•		•	
Check Capture Supervisor	•	•	•	•	•		•	•		
Batch Approver						•	•			

Financial Institution (FI) User Role Combinations

Financial institution user roles that can be combined and assigned to an individual user are shown in Table 6. "•" 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 following two tables 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					•	•	•			•	•
Search Deposit/ Adjustment					•	•	•			•	•
Create Deposit/ Adjustment										•	
Create Return Item Adjustment										•	
Modify Organization Hierarchy			•	•							
Delete Organization Hierarchy			•	•							
View Organization Hierarchy			•	•							
Search Organization Hierarchy			•	•							
Modify Accounting Codes*			•								
Import Accounting Codes*			•								
View Accounting Codes*			•	•							
Modify Endpoint Mappings*			•	•							
Modify Custom Labels			•								
View Custom Labels			•	•							
Modify Processing Options			•	•							
View Processing Options			•	•							
Modify User Defined Fields			•								
View User Defined Fields			•	•							
View Financial Institutions										•	•
View Business Reports			•	•	•	•	•			•	•
View Security Reports	•	•						•	•		

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 Administrative Reports					•	•	•			•	•
Read/View Audit Log	•	•									
View Reporters Flag			•	•							

The following 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*	Online
Authorize Duplicates		•		•		Online
Authorize MICR Correction		•		•		Online
Authorize Poor Image Quality		•				Online
Balance Check Amounts		•		•		Online
Change Batch Control Values	•	•		•		Online
Change Batch Status				•		Online
Close Batch	•	•		•		Online
Edit Batch		•		•		Online
Change Mode	•	•				Online
Configure Check Capture System (settings)			•	•		Online
View Check Capture System Configuration	•	•	•	•		Online
Configure Batch Manager	•	•	•	•		Online
Override Verification				•		Online
Process Transactions (Scan Checks)	•	•				Online
Approve/Submit Batch				•	•	Online
View Batch List	•	•	•	•		Online
Void Item During Balancing				•	•	Online
Void Transaction				•	•	Online
Check Capture System Maintenance (Upgrade Scanner Firmware)			•	•		Online

Check Capture Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	Batch Approver*	Online
Create and Download Local Bridge Credential File	•	•	•	•		Online
Startup of OTCnet Local Bridge (OLB) Application	•	•	•	•		
Modify Classify Batch	•	•		•		Online
View Classify Batch	•	•	•	•		Online
Modify Classify Item	•	•		•		Online
View Classify Item	•	•	•	•		Online

The OTCnet Agency Check Processing user roles and their associated permissions are shown in Table 9.

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**				•						

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 CIRA	•					•	•	•	•	
Read/View Audit Admin (Partial)				•						
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				•	•					
View Accounting Codes				•	•		•			
Modify Endpoint Mappings				•	•					
Modify Summary-level Classification Flag			•		•					
View Summary-level Classification Flag	•	•	•	•	•	•		•	•	

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*
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.

**Download Release – includes downloading firmware, the OTCnet Local Bridge (OLB) application, and Security Updates.

Table 10. Card Processing

Card Processing Task	Card Operator	Card Administrator	Card Uploader*
Manage Own Account	•	•	
OTCnet Logon and Homepage	•	•	
Modify Organization Hierarchy		•	
Delete Organization Hierarchy		•	
View Organization Hierarchy	•	•	
Search Organization	•	•	
Process Card Payments	•		
Print Receipts	•		
Card Transaction Query	•		
Modify User-defined Fields (UDF)		•	
View User-defined Fields (UDF)		•	
Manage Card Process – Modify Terminal Configuration		•	
Manage Card Process – View Terminal Configuration	•	•	
Download OTCnet Local Bridge		•	
Create OTCnet Local Bridge OLB Credentials	•	•	
Import OTCnet Local Bridge OLB Credentials	•	•	
Read/View Audit Admin – (Partial)		•	
Read/View Audit Card Module – (All)		•	
Read/View Audit Card Module – (Partial – Access User's Own Activities Only)	•		
Card Web Service			•

*The Card Uploader is a Self-Service kiosk-server system role that is authorized to transmit card data from an external kiosk system to OTCnet. This role requests acknowledgement of the data transmitted; the system account with this role has no other permissions.

Summary

In this chapter, you learned:

- OTCnet Background and Organization
- OTCnet User Roles

Chapter 2: Accessing and Navigating OTCnet

OTCnet Participant User Guide

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Glossary

Select this link to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

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

- Start and stop the OTCnet Local Bridge (OLB) application
- Request access for yourself in SailPoint IIQ
- Log in to OTCnet Online
- Navigate the OTCnet Online home page

Topics

The topics in this chapter include the following:

1. Starting and Stopping the OTCnet Local Bridge (OLB) Application
2. Requesting Access for Yourself in SailPoint IIQ
3. Logging in to OTCnet Online
4. Navigating the OTCnet Online Home Page

Audience

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

- All OTCnet users

Topic 1 Starting and Stopping the OTCnet Local Bridge (OLB) Application

The OTCnet Local Bridge (OLB) application is required for terminal detection and performing check capture, check processing and card processing tasks. If a user logs in to perform one of these operations and the OLB application is not started, the user receives the following message: *Terminal detection failed. Please ensure that the OLB application is running*. The OLB application is also required if you are using the Deployable Disbursing System (DDS) interface (Department of Defense [DoD] only).

If you are a **Check Capture Administrator**, **Check Capture Supervisor**, **Check Capture Lead Operator**, **Check Capture Operator, Card Operator** or **Card Administrator**, the OLB application must be started on the terminal to perform terminal configuration, check capture, check processing, and card processing tasks.

Before starting the OLB application, ensure the following steps are completed in this order:

1. The **Check Capture Administrator** and **Card Administrator** downloaded the OLB application.
2. The OLB application is installed on the terminal.
3. Each user has created an OLB profile, ensuring that the OLB credential file was not renamed (the file name remained the same as it was generated).
4. Each user has imported his/her OLB credentials to the terminal.

There is no "timeout" with the OLB application (i.e., a suspension or break in OTCnet activity). Therefore, the OLB application stays connected unless one of the following occurs:

*   The user logs out of the terminal (Windows session).
*   The terminal is restarted or rebooted.
*   The user stops the OLB application on the terminal.

When using Microsoft Edge or Google Chrome:

*   Ensure the latest version of the OLB is installed.

Start and Stop the OTCnet Local Bridge (OLB) Application

All users are authorized to start and stop the OTCnet Local Bridge (OLB) application.

To start the OLB application, either double-click the **Start OTCnet Local Bridge** icon on your terminal desktop or select **Start>Programs>Start OTCnet Local Bridge**.

If the **Start OTCnet Local Bridge** icon does not reside in either location, contact your **Card Administrator** or **Check Capture Administrator.** They will support your completion of the following steps:

*   Ensure the latest version of the OLB is installed.
*   Create your OLB profile.

- Import your OLB credentials.

If the OLB application is started on the terminal, you will receive an *OTCnet Local Bridge Application is already running* message.

When the *OTCnet Local Bridge Startup* page appears, enter your **OTCnet User ID** and **Password** in the appropriate text boxes. (Users will continue to use their User IDs to log in to OLB. They will not use their PIV/CAC or ID.me accounts).

Password Criteria includes the following. Your password must meet the following criteria:

- Be at least 12 characters long

- Not have more than two repeating characters

- Not repeat any of your last ten passwords

- Not have been your password during the last ten days

- Not be a word in a language, slang, dialect, or jargon

- Not be related to personal identity, history, environment, or other personal associations

To stop the OLB, double-click the **Stop OTCnet Local Bridge** icon located on the terminal desktop or select **Start**>**Programs**>**Stop OTCnet Local Bridge**.

Start and Stop the OTCnet Local Bridge (OLB) Application

To start the OTCnet Local Bridge (OLB) application, complete the following steps:

1. Double-click the **Start OTCnet Local Bridge** icon located on the terminal desktop.

   Or

   Select **Start**>**Programs**>**Start OTCnet Local Bridge**

2. The *OTCnet Local Bridge Startup* page appears. Enter your **OTCnet User ID** and **Password** in the appropriate text boxes.

3. Select **Log In**. A *Login Successful. OTCnet Local Bridge Application Started* message appears.

- Select **Cancel** and the *Are you sure you want to exit* message appears.
- Select **Yes** to cancel the OLB startup.
- Select **No** to return to the OTCnet Local Bridge Startup page.

4. Select **OK**.

Application Tip

Once you start the OLB application, proceed to log in to OTCnet Online.

5. To stop the OLB application, double-click the **Stop OTCnet Local Bridge** icon located on the terminal desktop as shown in Figure 1.

Figure 1. Stop OTCnet Local Bridge Icon

   Or

   Select **Start**>**Programs**>**Stop OTCnet Local Bridge**.

6. When the **Stop OTCnet Local Bridge** window and the *Are you sure you want to stop the OTCnet Local Bridge Application?* message appears, select **Yes**.

Application Tips

- If you select **No**, the *Are you sure you want to stop the OTCnet Local Bridge Application?* message closes, and the OLB application remains running.
- Stopping the OLB application ensures the application is completely closed and that your OTCnet session is securely terminated.
- Before uninstalling the OLB application, you must first stop the OLB application. If the OLB application has been started on the terminal, ensure that it is stopped before uninstalling the application.

Administration

Topic 2 Requesting Access for Yourself in SailPoint IIQ

Following the transition to Common Approach to Identity Assurance (CAIA), the SailPoint IdentityIQ (IIQ) environment will be used to manage the identities and provisioning of new users.

CAIA is a solution consisting of a common federation platform by which users seeking access to Fiscal Service programs will be able to register, proof, and authenticate their identity via one or more selected credential service providers.

Prospective OTCnet users can create identities through **Personal Identity Verification Cards (PIV)**, **Common Access Cards (CAC)**, or **ID.me**.

As a prospective OTCnet user, you can select your desired role(s) and high-level organization(s) based on instructions from your security administrator(s).

Self-Register/Create an Account in SailPoint IIQ

You can self-register in SailPoint IIQ and create an account using **PIV/CAC** or **ID.me**.

This functionality is available to all users but is not the preferred method for registering through SailPoint IIQ. The preferred option is for Primary Local Security Administrators or Local Security Administrators (PLSAs/LSAs) to assist with creating an identity for a user and/or requesting an HLO or role access for them in SailPoint IIQ.

Follow the on-screen instructions to sign in with an existing account or create an account. If prompted, follow the on-screen instructions to verify your identity. After completing all steps, you should see the SailPoint IIQ home page.

Self-Register/Create an Account in SailPoint IIQ

To self-register in SailPoint IIQ, navigate to the SailPoint IIQ environment at: *https://iiq.fiscal.treasury.gov/* and complete the following steps:

1. Log in using **PIV/CAC** or **ID.me** credentials as shown in Figure 2.

Figure 2. SailPoint IIQ Login Page
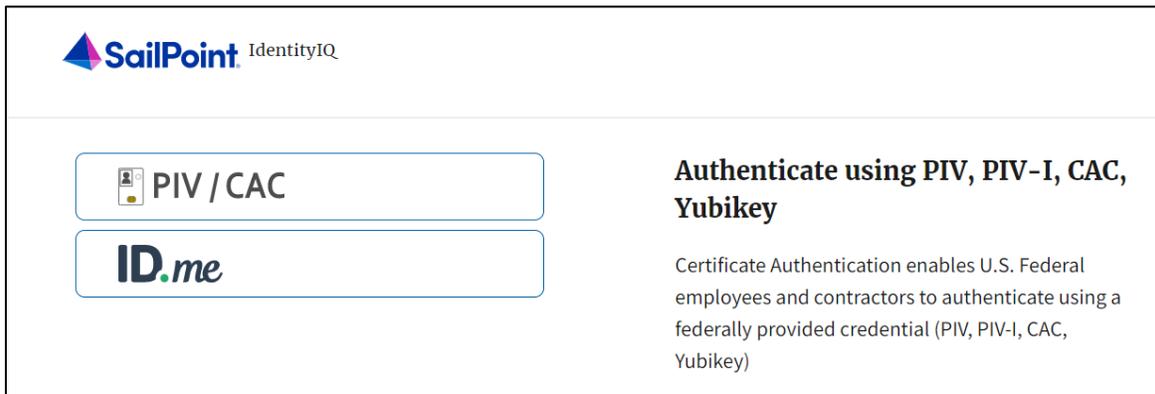
2. Follow the on-screen instructions to sign in with an existing account or create an account.
3. If prompted, follow the on-screen instructions to verify your identity.
4. After completing all steps, you should see the SailPoint IIQ home page.

Application Tip

New OTCnet users including those with **PIV/CAC** access can go through SailPoint IIQ to do the self-registration to create an account and request role(s) and high-level organization(s) before logging in to OTCnet. Once their high-level access is approved in SailPoint IIQ, they can proceed to log in to OTCnet.

Request Access for Yourself in SailPoint IIQ

If you need application entitlement, you can sign in to SailPoint IIQ and request the specific access you need (self-request).

To request access for yourself, log in to SailPoint IIQ and navigate to **Manage My Access.** Make sure **Add Access** is selected. In the search field, enter part or all of the **HLO/role** name you want to request. Select the **HLO/role** by selecting the **checkmark** to the left of the **HLO/role** name. Then select **Next**. On the **Review and Submit** screen, verify the requested **HLO/role(s)** are correct and select the **Submit** button.

A confirmation message will appear. SailPoint IIQ will automatically notify the necessary approvers to review the request. Once approved, your PLSA/LSA can create your identity in OTCnet and assign endpoints and roles for you. You will receive an autogenerated email when your user account is created in OTCnet.

Request Access for Yourself in SailPoint IIQ

To request access for yourself in SailPoint IIQ, complete the following steps:

1. From the **Home** screen of SailPoint, navigate to **Manage My Access** through the **Manage MyAccess** button as shown in Figure 3.

Figure 3. SailPoint Home Page with Manage My Access Button
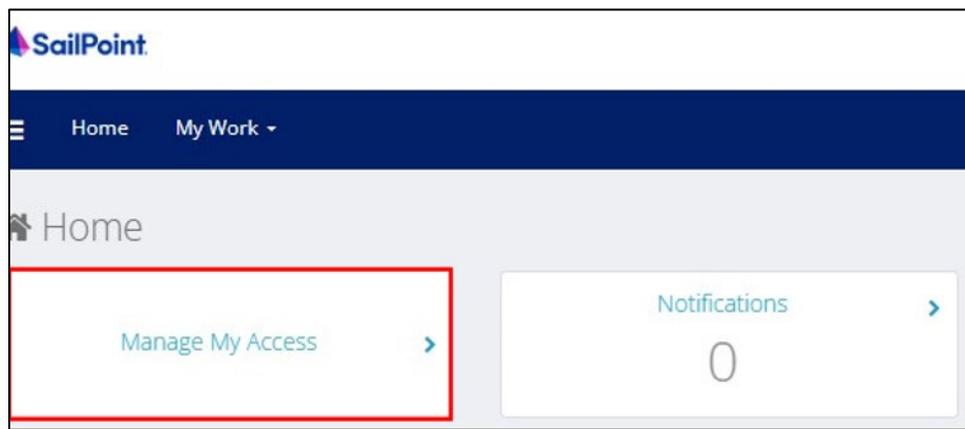
2. On the **Manage My Access** screen, ensure that the **Add Access** tab is selected as shown in Figure 4.

> **Application Tips**
>
> Search for the specific **HLO** name (e.g., Alaska USA Federal Credit Union) and user **role** (e.g., Check Capture Operator). If the HLO or user role's name is not known, type **HLO/Role** in the search field.

3. Search for an **HLO**. Select an **HLO** by selecting the **checkmark** to the left of the **HLO's** name.

4. Continue on the same screen to search for a user role. Select a **role** by selecting the **checkmark** to the left of the **role's** name. Then select **Next.**

> **Application Tips**
>
> - Multiple **HLOs** and **roles** can be selected.
> - All roles selected in SailPoint IIQ will be validated (and edited as needed) in OTCnet by the designated **PLSA/LSA**.

Figure 4. Add Access Screen
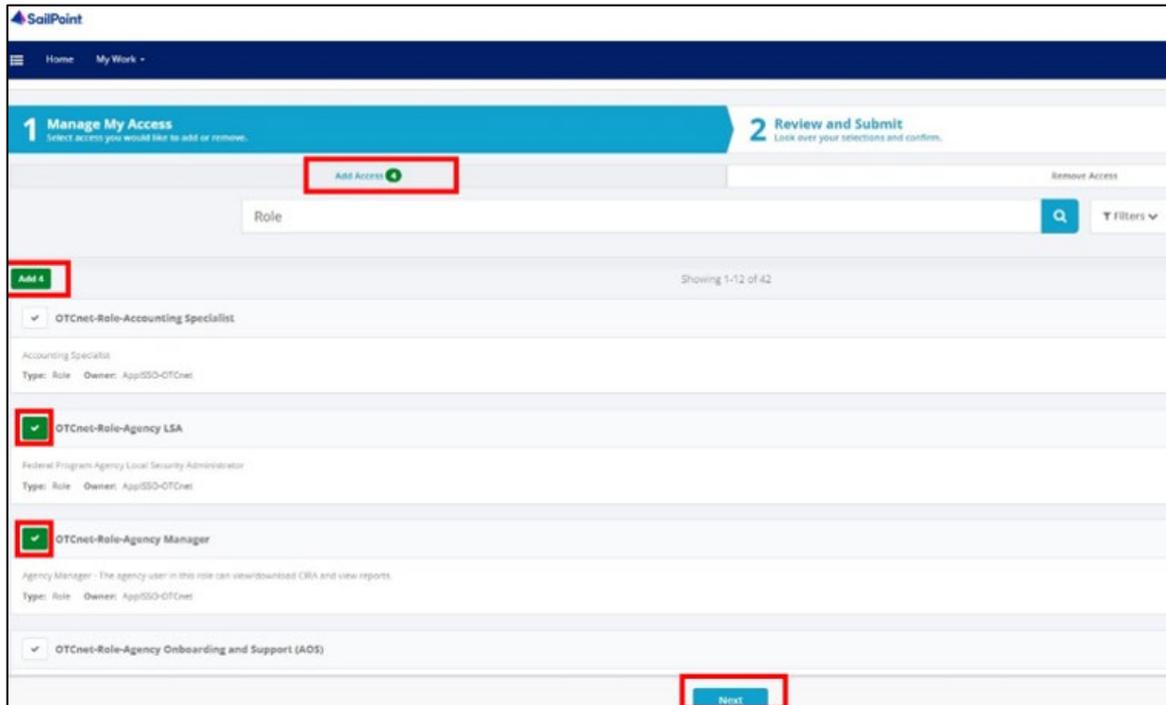
5. On the **Review and Submit** screen, verify the requested **HLOs** and **role(s)** are correct. Select the **voice bubble** to the right of the **HLO** or **role** to add any comments.

6. Select the **Submit** button at the bottom of the screen when finished, as shown in Figure 5.

Figure 5. Review and Submit Screen
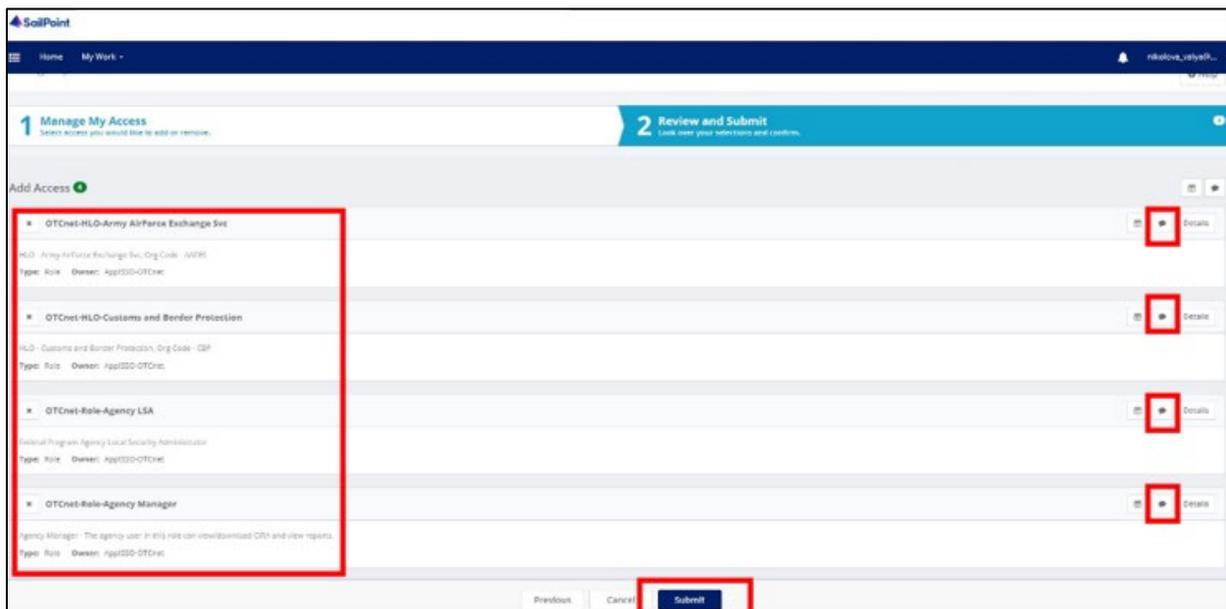
7. A confirmation message will appear. SailPoint IIQ will automatically notify the necessary approvers to review the request. Once approved, your PLSA/LSA can create your identity in OTCnet and assign endpoints and roles for you.

Application Tips

- You will receive an autogenerated email when your user account is created in OTCnet.

- Then you can access the OTCnet application.

Administration

Topic 3 Logging in to OTCnet Online

To log in to Fiscal Service Single Sign On (OTCnet Online) from the OTCnet Online login screen, use your **PIV/CAC** credentials if you are a government user or contractor, or **ID.me** if you are a non-government user.

If you are a non-government user who creates an account through **ID.me,** you will specify your email address associated with OTCnet. ID.me is a private single sign-on provider that meets the government's online identity proofing and authentication requirements.

Accounts registered by users for CAIA authentication are not application-specific, the same account credentials can be used on other sites or applications that are linked to CAIA. For example, Social Security Administration, Internal Revenue Service, Department of Veterans Affairs, and other government agencies accept **ID.me** credentials for logging in.

Log in to OTCnet Online

To log in to OTCnet Online, visit *https://otcnet.for.fiscal.treasury.gov* and log in with the following options: **PIV/CAC** or **ID.me.** Select the option that suits you best and follow the on-screen instructions to verify your identity or create an account in SailPoint IIQ.

Once you log in to OTCnet, you will be able to access functionality for one or more of the following:

- Administration

- Deposit Processing and Reporting

- Check Capture

- Check Processing

- Card Processing

The OTCnet Local Bridge (OLB) application is required for performing check processing, check capture, card processing and terminal configuration operations. If you are a **Check Capture Administrator**, **Check Capture Supervisor**, **Check Capture Lead Operator**, **Check Capture Operator, Card Operator** or **Card Administrator**, the **OLB** application must be started on the terminal to perform these operations.

Once a **new, first-time OTCnet agency end-user** has been fully provisioned with roles and endpoints, the first time they log in to OTCnet, they will receive an autogenerated email *'Welcome to OTCnet!'* that includes a list of resources to learn how to use OTCnet as well as important contact information to get acclimated to everything that OTCnet has to offer.

Log in to OTCnet Online

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

1. Access *https://otcnet.for.fiscal.treasury.gov*. A page is presented which displays the following login options: **PIV/CAC** and **ID.me**, as shown in Figure 6.

Figure 6. OTCnet Login Screen
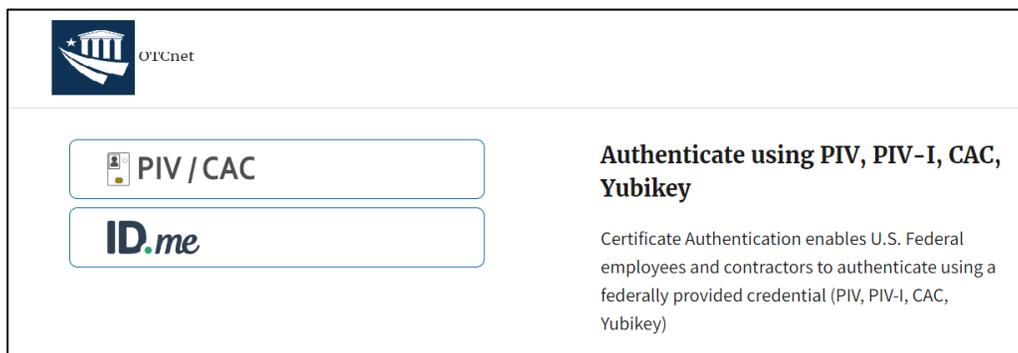
2. Select the option that best represents your status and follow the on-screen instructions.

Application Tips

PIV/CAC (Government Users/Contractors)

- Select the **PIV/CAC** button.

- If prompted, select your certificate and enter your PIN. If prompted, follow the on-screen instructions to verify your email address.

The first time a **PIV/CAC** certificate is used to authenticate, the email verification process is initiated.

- A web page is displayed prompting you to submit the **email address** that will be associated with your certificate. A **verification code** is sent to the email address specified.

- A web page is displayed to allow you to input the verification code from the email.

ID.me for Non-Government Users

- Select the **ID.me** button.

- Follow the on-screen instructions to sign in with an existing account or create an account. If prompted, follow the on-screen instructions to verify your identity.

- Use your **work email address** to create initially your **ID.me** identity. It is still recommended to add your personal email to your **ID.me** identity.

3. When you log in to OTCnet Online for first time you may be alerted that you are not permitted to access the application until your agency's security administrator completes your user provisioning in OTCnet, as shown in Figure 7.

4. Once your agency's security administrator has imported your user identity to OTCnet and assigned endpoints and roles for you, you will be able to access the application.

Figure 7. First Time Log In Screen
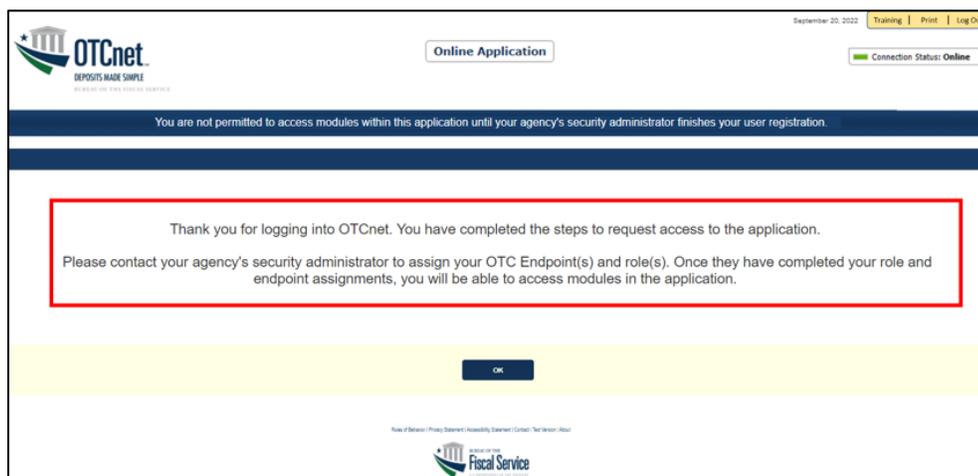
5. To completely log out, close your browser. You will need to reauthenticate the next time you log in to OTCnet.

💡 **Application Tip**

Ensure that you log in to OTCnet **at least once every 120 days** (or four months). Your user account will be disabled after 120 consecutive days of inactivity. To restore your account, contact the **Customer Support Team** to begin the process.

💡 **Application Tip**

If you are a **Check Capture Administrator**, **Check Capture Supervisor**, **Check Capture Lead Operator**, **Check Capture Operator**, **Card Operator** or **Card Administrator**, and use Microsoft Edge or Google Chrome when logging in to OTCnet Online, you will not see the OTCnet splash screen. Instead, the system automatically displays the OTCnet Homepage Message Overlay.

Topic 4 Navigating the OTCnet Online Home Page

The *OTCnet Online* home page allows **Check Capture Supervisors**, **Check Capture Lead Operators**, **Check Capture Operators** and **Card Operators** to process deposits, capture checks, process checks, process card transactions, view reports, and perform administrative and security functions. Additionally, a user can access information for training, help and to update a user profile. The OTCnet Online home page is accessible for users to either view or perform any of these functionalities.

OTCnet Online Main Menu

To access the OTCnet Main Menu, log in with your **PIV/CAC** or **ID.me** credentials at the following URL: *https://otcnet.for.fiscal.treasury.gov*. Table 1 provides a list of the Main Menu options available to you. They are accessible on the upper right corner of the OTCnet application.

Table 1. Main Menu Link Descriptions

Link	Description
Home	Allows a user to return to the OTCnet home page.
Training	Allows a user to access Web-Based Training (WBT) 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 8. The links are accessible on the upper right side of the OTCnet home page.

Figure 8: OTCnet Main Menu Page

OTCnet Homepage Message Overlay

All user roles have access to the OTCnet Homepage Message Overlay in OTCnet Online. For all Microsoft Edge and Google Chrome users, the message overlay automatically presents when you first log in to OTCnet.

The message overlay is a messaging platform presenting important news and information on the OTCnet system as shown in Figure 9. It is recommended that you read the messages, close the message overlay, and continue viewing the OTCnet homepage.

Figure 9. OTCnet Homepage Message Overlay
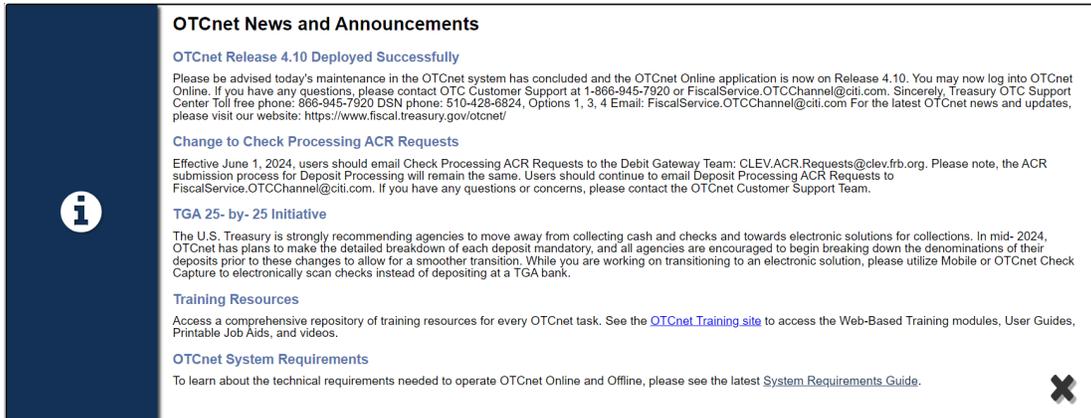
OTCnet Support Contact Overlay

Users can contact the OTCnet Customer Service team by submitting a form through the **Customer Support** button on the OTCnet homepage. This feature helps to standardize and streamline the inquiries and requests made to Customer Service. Select the **Customer Support** button on the bottom of the OTCnet homepage. The **Treasury OTC Support Contact** overlay appears over the homepage as shown in Figure 10.

Figure 10: Treasury OTC Support Contact Form
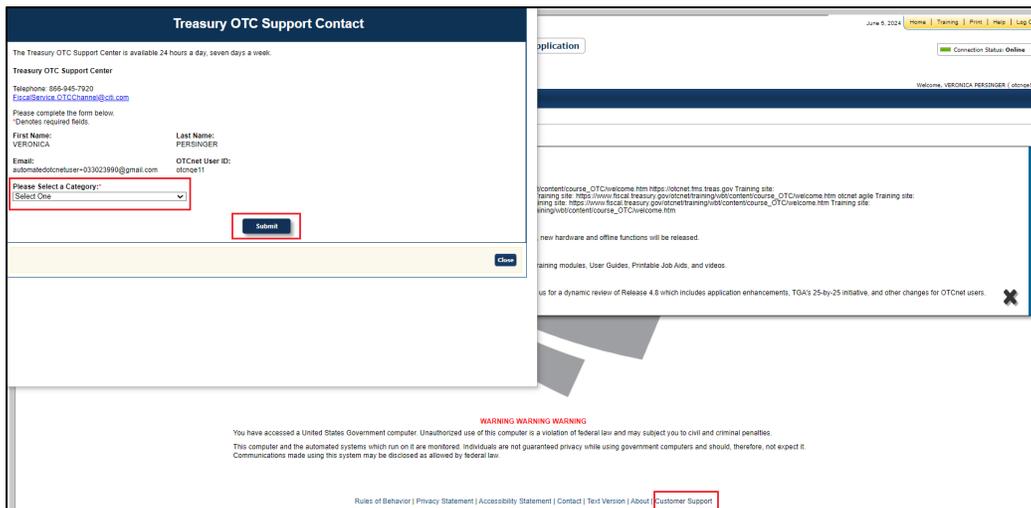
Select the **Please Select a Category** dropdown. The following options appear:

- Batch Management

- Check Scan

- Deposit Processing

- OTCnet Local Bridge (OLB)

- User Management

- Other

After you make the selections, select the **Submit** button to submit the request.

OTCnet Online Deposit Processing Tab Functionality

To access the OTCnet Deposit Processing functionality, log in with your **PIV/CAC** or **ID.me** credentials. Table 2 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, as shown in Figure 11, allows you to access Deposit Processing functionality, although depending on your user role, you may not see all functionality.

Figure 11. Deposit Processing Tab

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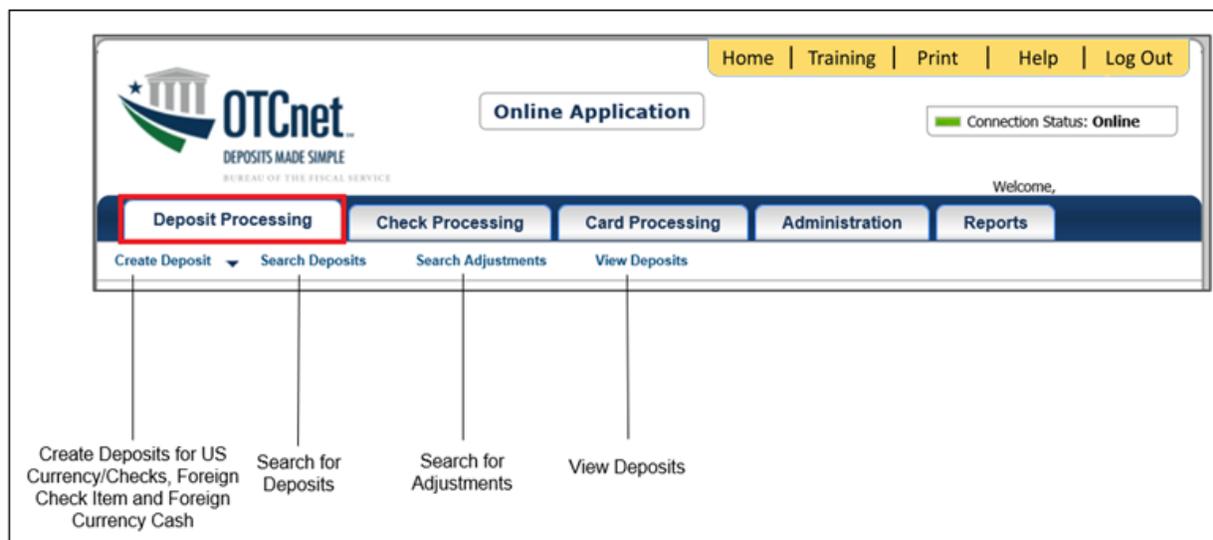
OTCnet Online Check Processing Tab Functionality

To access the OTCnet Check Processing functionality, log in with your **PIV/CAC** or **ID.me** credentials. 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.

The Check Processing tab is shown in Figure 12. Depending on your user role, you may not see all functionality shown in the image.

Figure 12. Check Processing Tab
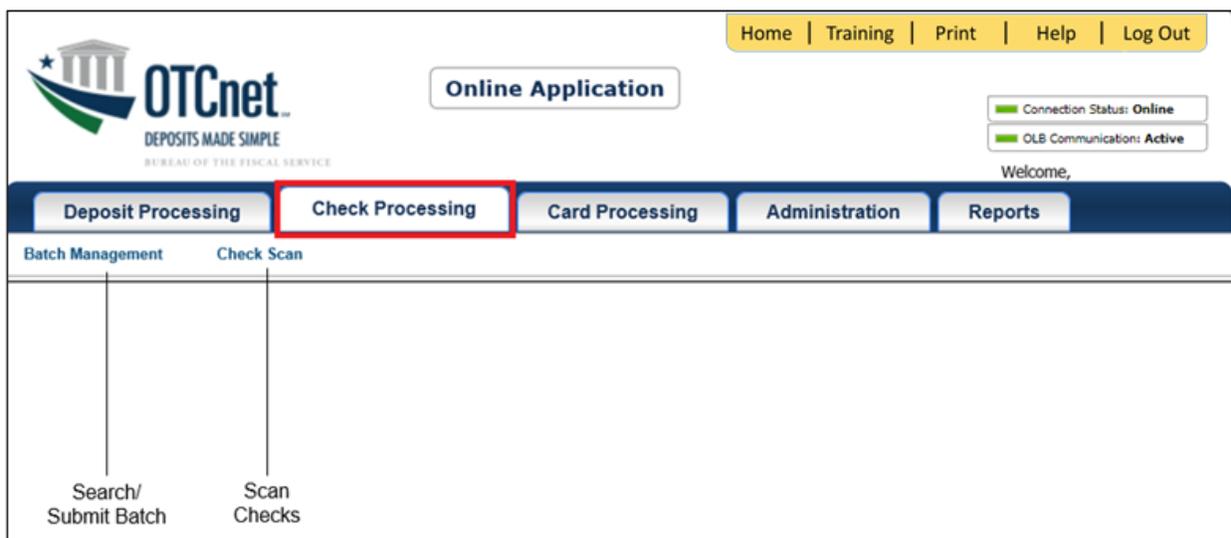
OTCnet Online Card Processing Tab Functionality

To access the OTCnet card processing functionality, log in with your **PIV/CAC** or **ID.me** credentials. Table 4 provides a list of the card processing functions that are available to you.

Table 4. Card Processing Tab Descriptions

Function	Description
Card Transaction Query	Allows a user to query a card transaction.
Process Card Payment	Allows a user to process a card payment.

The Card Processing tab is shown in Figure 13. Depending on your user role, you may not see all functionality shown in the image.

Figure 13. Card Processing Tab
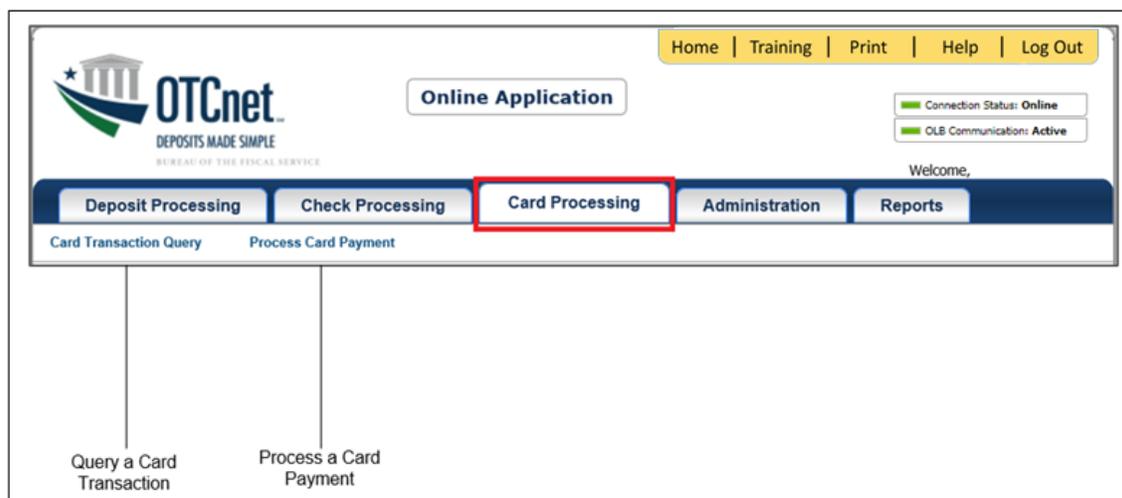
OTCnet Online Administration Tab Functionality

To access the OTCnet Administration functionality, log in with your **PIV/CAC** or **ID.me** credentials. Table 5 provides a list of the Administration functions that are available to you.

Table 5. 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.
Manage Card Processing	Allows a user to manage terminal configuration.
Manage Centralized Deployment	Allows users access to the following: Release Configuration, Edit Release and Download Release.
Audit	Allows a user to review the audit log history.
Utilities	Allows a user to review batch utilities, including Batch Recreate and Batch Repair.

The Administration tab is shown in Figure 14. Depending on your user role, you may not see all functionality shown in the image.

Figure 14. Administration Tab

OTCnet Online Reports Tab Functionality

To access the OTCnet Reports functionality, log in with your **PIV/CAC** or **ID.me** credentials. Table 6 provides a list of the Reports functions that are available to you. Depending on your user role, you are only authorized to view and download certain reports.

Table 6. 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.
Scheduled Reports	Allows a user to query and download scheduled reports.

The Reports tab is shown in Figure 15. Depending on your user role, you may not see all functionality shown in the image.

Figure 15. Manage Reports

Administration

Summary

In this chapter, you learned how to:

- Start and stop the OTCnet Local Bridge (OLB) application
- Request access for yourself in SailPoint IIQ
- Log in to OTCnet Online
- Navigate the OTCnet Online home page

Administration

Chapter 3. Capturing and Managing Checks Online

OTCnet Participant User Guide

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Glossary

Select this link to access the full OTCnet Glossary.

Overview, Topics, and Audience

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 detail 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

The topics in this chapter include the following:

1. The Purpose of Capturing and Managing Checks Online
2. Capture a Check Online
3. Manage Poor Check 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 Detail Report
9. Activate/ Deactivate a Batch
10. Classify a Batch
11. Close a Batch
12. Approve a Batch
13. Print a Receipt

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)

Topic 1 The Purpose of Capturing and Managing Checks Online

The Check Processing functionality is primarily used to capture check images and 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.

Check Capture Operators (CCO) or **Check Capture Lead Operators (CCLO)**, are the only authorized users who can capture a check.

As a **CCO**, you are authorized to 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 are authorized to conduct the same actions as the **CCO** stated above, and you can balance batch and enter batch control values (total check count and total amount), accept duplicates, make magnetic ink character recognition (MICR) code line corrections, and accept checks with poor quality without approval (as shown in Table 1).

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]	●
Edit a batch		●	●
Activate/Deactivate a batch			●
Void a check			●

[1] = requires additional Batch Approver permission

Topic 2 Capture a Check Online

Introduction to Capturing a Check

As a **CCO** or **CCLO**, you are authorized to capture a check in two modes, single or batch. Once a **Check Capture Administrator (CCA)** sets up your **Terminal Configuration** settings, you can scan a check in **Single** or **Batch** check mode. There are other settings that your **CCA** may have also instituted for your location, many of which are visible as you begin the check scanning process.

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 set up 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 a **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 select 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.

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- **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. Each **OTC Endpoint** is unique, and batches can include items for multiple **OTC Endpoints**, however during the configuration setup, 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 the OTCnet Check Processing Functionality

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

The following check items must 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

If a customer chooses to *opt out* and does not want their checks processed via ACH, the customer's personal check must be processed as a non-personal item. This allows the check to clear the financial institution as a Check 21 item.

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

- Personal/Consumer Checks

The list of Items that CANNOT be processed through the OTCnet Check Processing Functionality include the following:

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

These items may need to be processed through the **Deposit Processing** tab within OTCnet.

In regard to stamps, it is recommended that you 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 the OTCnet Check Processing items scanned and forwarded for settlement.

Batch Processing Modes

Keep the following in mind for Single vs. Batch Processing Mode:

- Agencies must choose to process checks in one of two processing modes. The **Single** check mode allows checks to be processed one at a time. **Batch** processing mode allows for check batches to be scanned prior to data entry. The **Batch** processing mode is available for RDM EC7000i, EC9100i, EC9600i, and EC9700i, and Panini VisionX.

- 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 with the item folded going through the device). If the image is not legible, select **Cancel** under **Scanner Controls** and re-scan the check.

- It is recommended, while scanning in **Batch** mode, 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. Move the mouse every 10 minutes or so to keep the system active.

- The maximum number of items to include in one batch is 3,000 items. The maximum dollar amount per batch is $99,999,999.99. The max number of items is also limited by the tagged image file format (TIFF) file.

- All processing method types can exist within a batch, although typically **Back Office** processing types are 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 choose the **Processing Method** where 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 a check). The **Customer Not Present** method is used when the check writer is not present (i.e., when checks are received through the mail or an unmanned drop box).

The **Back Office** processing method allows Agencies to convert received payments 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, though restrictions can be set to allow only the **Back Office** processing method or **Non-personal** items. Operators must ensure

they are selecting the proper choices for each item to avoid returned payments from the check writer's financial institution.

Prior to scanning, checks must be pre-sorted by **Customer present**, **Customer Not Present**, and **Back Office**. All processing method types can exist within a batch, although typically back-office processing types are processed independently of other types. Not all agencies utilize all methods. Additionally, your site may choose not to use all methods daily, 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 uses the default (previously established in the configurations). During the scanning process, if the system detects an **Item Type** other than the established default, it prompts the user for confirmation.

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

If the operator selects **Non Persona**l, the *Agency Form* data entry screen displays, *Check: Non Personal*. OTCnet can process both personal and non-personal checks within a batch. The operator must ensure 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 the OTCnet **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.

Accounting Codes

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

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If an OTC Endpoint is associated with an Agency Location Code (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, 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 five scanner types (see Table 2). Some scanners are designed to scan only in **Batch** mode, whereas others may only scan in **Single** mode. The RDM EC7000i, EC9100i, EC9600i, and EC9700i, 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)
EC9100i	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)
EC9600i	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)
EC9700i	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)

RDM 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 1). 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. RDM EC 7000i Scanner

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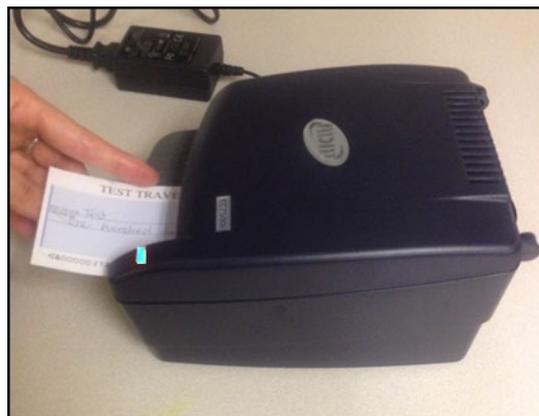
With the RDM EC7000i scanner, both the front and the back of the check are scanned automatically.

RDM EC9100i Scanner

Place the check in the scanner with the MICR line of the check at the bottom and facing towards the outside of the scanner (shown in Figure 2). Adjust the exit extension or the pocket stop to fit the check that you are scanning. The scanner automatically pulls the check through to begin the scan.

Figure 2. RDM EC 9100i Scanner

With the RDM EC9100i scanner, both the front and the back of the check are scanned automatically.

RDM EC9600i Series Scanner

Place the check in the scanner with the MICR line of the check at the bottom and facing towards the outside of the scanner (shown in Figure 2). Adjust the exit extension or the pocket stop to fit the check that you are scanning. The scanner automatically pulls the check through to begin the scan.

Figure 3. RDM EC 9600i Scanner

With the RDM EC9600i series scanner, both the front and the back of the check are scanned automatically.

RDM EC9700i Series Scanner

Place the check in the scanner with the MICR line of the check at the bottom and facing towards the outside of the scanner (shown in Figure 4). Adjust the exit extension or the pocket stop to fit the check that you are scanning. The scanner automatically pulls the check through to begin the scan.

Figure 4. RDM EC 9700i Scanner

With the RDM EC9700i series scanner, both the front and the back of the check are scanned automatically.

Panini Vision X and MyVision X Scanners

Ensure that the check(s) is already in the hopper of the scanner, with the front of the check(s) facing (as shown in Figure 5) out. 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. Select **Yes** to continue adding items to the batch. Select **No** if there are no more checks to scan. When **No** is selected, the system switches to the data entry phase and the first check that was scanned appears on the screen.

Figure 5. Panini Scanner

Use caution when selecting 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 last transaction to be lost.

Panini I: Deal Scanner

Place the check face up with the MICR line aligned to the right side of the scanner (as shown in in Figure 6). The scanner automatically detects the check and begins feeding. If the check is not aligned, the scanner automatically aligns the check to the proper position. When using the franking feature, the Panini I: Deal scanner franks 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 6. Panini I: Deal Scanner

As the document is fed into the device, the scanner detects if the document was not automatically aligned correctly. If the document is skewed, the scanner prevents further processing, stops the document, and flashes a red light. The check can then be removed and reinserted.

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.

Select **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 select **Save** under **Scan Controls** options. The bottom of the *Agency Form* entry screen displays *Scan front of Check*.

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

Capture a Check Online

The **Check Capture Operator** and **Check Capture Lead Operator** are authorized to capture a check. In order to capture a check online, you must first start the OTCnet Local Bridge (OLB) application.

For the **RDM EC7000i, EC9100i, EC9600i** or **EC9700i** 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 presents the item count after each scan. When finished scanning, select **Stop**.

For the **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 you finish scanning, select **Stop**.

Under Agency Form Data, complete the following:

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

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

Keep the following items in mind when capturing a check online:

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

- Ensure that you type in the data rather than copying and pasting from another source. Data that has been copied and pasted may result in an error. Use the **Tab** key on the keyboard to navigate to the next data field for entry.

- 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 is inserted upside down; appears skewed; or the image is illegible. Select **Cancel** and reinsert the check in the scanner. Then select **Start Scan** and re-enter the necessary data.

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- Upon scanning the check and using enter on your keyboard to finalize, 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, select on **Scanner Config**, under Scan Controls.

- If there aren't any accounting codes available for selection and the Agency is a CARS/GWA Reporter, an operator cannot scan a check. If there are not any accounting codes 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 code 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.

Capture a Check Online

To capture a check in OTCnet Online, complete the following steps:

1. From the **Check Processing** tab, Select **Check Scan.** The *Check Scan-Select Batch* page appears.

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

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

   - Select **Next**

💡 **Application Tips**

- If an operator has an OTC Endpoint with an **Open** batch, the batch details (Void Count, Approved Count, and Amount) are displayed.
- 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.

2. The *Check Scan – Perform Check Scan* page appears as shown in Figure 7.

Figure 7. Agency Form Data Entry Fields

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

- Verify the **OTC Endpoint**. To change the OTC Endpoint, select **Previous** and return to Step 2

Under **Processing Method**,

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

Under **Item Type**,

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

3. Select **Start Scan**, under **Scan Controls** to scan a check.

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Application Tip

If communication with the OLB application is not active, the **Start Scan** button is disabled. The OLB communication status *must* be active in order to scan a check. Determine if OLB communication is active by looking at the *OLB Communication* indicator, located in the upper right-hand corner of the screen, under the *Connection Status* indicator. The indicator is either green and shows **Active**, or red and shows **Inactive**.

4. Insert the check into the scanner.

Application Tip

Recapture a check image if it is inserted upside down, appears skewed, or the image is illegible. Select **Cancel** and reinsert the check in the scanner. Select **Start Scan** and re-enter the necessary data.

Additional Buttons

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

- Select **Cancel** to cancel the transaction. No data is saved.
- Select **Receipt** to access a receipt for review or printing. This is only available once the initial check is scanned.
- Select **Clear Form** to clear the data entered.
- Select **Save** to save the transaction.
- Select **<** to view the front of the check
- Select **>** to view the back of the check
- Select **-** to reduce the image of the check
- Select **+** to increase the image of the check
- Select **Left Rotate** to turn the image to the left
- Select **Right Rotate** to turn the image to the right

5. Enter the Amount under **Agency Form Data** and enter the check data in the field(s) provided.

Application Tips

- 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 adds a decimal and two zeroes at the end and save it as 3515.00 (three thousand five hundred and fifteen dollars).
- Use the **Tab** key on the keyboard to navigate to the next data field for entry.

Select the **Agency Accounting Code**, *if applicable*

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

Or

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

6. Select **Save** to save the check image and the data you entered. A message appears stating the transaction, Individual Reference Number (IRN) and check amount were successfully saved.

Application Tip

Upon scanning the check and selecting enter on your keyboard to finalize, the Individual Reference Number (IRN), **Bank Number**, **Check Number**, **Account Number**, and **Date & Time fields** automatically populate (located in the frame of the **Agency Form Data**).

Additional Button

Select **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 collection is not possible 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 processes. The following example is of a poor image scan as shown in Figure 8. Agencies must be aware that overriding a poor image may result in a returned item, depending upon the paying financial institution.

Figure 8. Poor Image Quality

Manage a Check with Poor Image Quality

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

1. From the *Check Scan–Perform Check Scan* page, the *Image Quality Failed* message appears, as shown in Figure 9. Select:

   - **Rescan** to rescan the check

   Or

   - **Cancel** to completely cancel the transaction

   Or

   - **Accept** to accept the image of the check (requires **CCS** to log in). The *Email Address and Password* dialog box appears. Enter the **Email Address** and **Password** and select **Login**.

Figure 9. Image Quality Failed Message
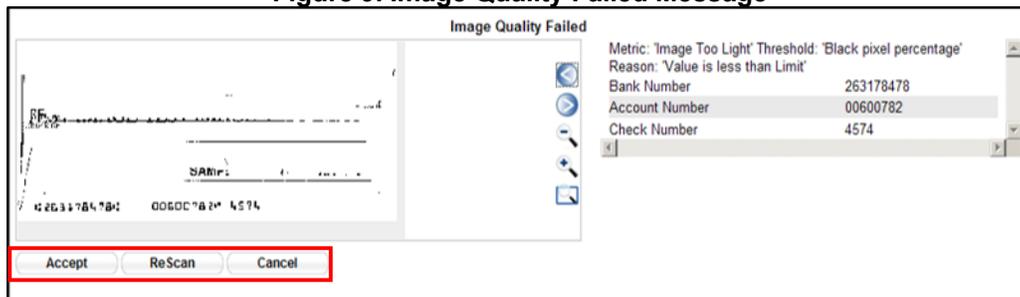
Application Tips

- Select **Rescan** if the check image is skewed, illegible, or upside down.
- If a **Check Capture Lead Operator (CCLO)** or **Check Capture Operator (CCO)** scanned the check, OTCnet prompts 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 Email Address and Password before approving the check.

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

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

Application Tip

Upon scanning the check, select **Enter** on your keyboard to finalize the **Individual Reference Number (IRN), Bank Number, Check Number, Account Number, Date & Time** fields. They automatically populate in the frame of the **Agency Form Data**.

Additional Buttons

- Select **Cancel** to return to the OTCnet Home Page. No data is saved.
- Select **Previous** to return to the previous page.
- Select **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. The system automatically compares the check to those scanned in the last 30 days.

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 is for a *different amount*, OTCnet does not catch the error and allows the duplicate entry. However, the financial institution later rejects one of the duplicate checks.

To 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.

During terminal configuration, select the **Franking Enabled** option to allow the scanner to automatically stamp the front of checks. Franking is available for RDM EC7000i, EC9100i, EC9600i, EC9700i and Panini I: Deal scanners.

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 must be corrected. A **CCS** or **CCLO** can select the **Edit MICR** button at the bottom of the window.

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

- **Rescanning** the check (recommended to perform as many times as necessary)
- **Editing MICR** to correct the MICR line
- **Accepting** the check (requires a **CCS** to log in to OTCnet to authorize)
- **Canceling** 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 *Email Address and Password* dialog box only appears if a **CCS** or **CCLO** is accepting a duplicate check for a **CCO**.

As a **Check Capture Lead Operator (CCLO)** or **Check Capture Supervisor (CCS)**, you are authorized to accept a duplicate check. You are also authorized to edit a MICR line, rescan a check, or completely cancel the transaction. A **CCLO** or **CCS** must authorize a MICR line correction.

Resolve a Duplicate Check

To resolve a duplicate check, complete the following steps:

1. Select **Cancel** to cancel the duplicate check. An *Email Address and Password* dialog box appears.

2. Select **Accept** to continue processing the check. Select **Edit MICR** to correct the MICR line as shown in Figure 10.

Figure 10. Duplicate Check Detected

Application Tips

- The *Email Address 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.
- A **CCS** or **CCLO** must authorize a MICR line code correction.
- As the **CCS** or **CCLO**, you can opt to make a MICR code line correction. If you do, look at the MICR line image closely to ensure all the characters are correctly entered in the code line Correction box.

3. Select **Cancel** or **Cancel All**. A *Transaction cancelled successfully* dialog box appears.

Application Tip

Select **Cancel** to cancel the one duplicate check. Select **Cancel All** to cancel all pending checks in the batch.

4. Select **OK**. The *Check Scan – Perform Check Scan* page appears.

Additional Buttons

- Select **Previous** to return to the previous page.
- Select **Return to Home** to return to the OTCnet Home page.

Topic 5 Void a Check

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

Payments must 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 must be voided via the **Batch Management** menu option. A **CCS** must sign in to **Batch Management** and change the incorrectly typed amount with the correct amount or update the user-defined field.

   Other details to void a check include the following:

   - 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.

As a **CCS,** you are authorized to void a check. You run a search for batches and enter batch search conditions you would like to view. When an image and details of the check appear, you are authorized to select **Void** to the right of the check image.

Void a Check

To void a scanned check, complete the following steps:

1. From the **Check Processing** tab, select **Batch Management**. The *Search Batch* page appears as shown in Figure 11.

Figure 11: Search Batch

2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.

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

4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tips

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- The **From** and **To Created On Date** must be entered in MM/DD/YYYY format.
- When running 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.
- When running 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.*

- Enter the **Cashier 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.

5. Select **Search**. The *View Batch* page appears.

6. Select the **Batch ID** hyperlink. The *View Checks* page appears.

7. Select the **Item ID** of the scanned check you would like to void. An image and details of the check appear in a window below.

8. Select **Void** to the right of the check image to void the check as shown in Figure 12.

Figure 12. Check Image Details

![Application Tips icon] **Application Tips**

- 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 accidently forwarded for settlement. Deactivated batches are archived to the Historical Database.

9. Select **Confirm** at the prompt, to void the check.

10. Enter comments concerning the void request at the prompt and select **OK**.

11. Select **OK** at the final prompt stating that the check is voided successfully.

Additional Buttons

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

Void All Checks in a Batch

To void all scanned checks in a batch, complete the following steps:

1. From the **Check Processing tab**, select **Batch Management**. The *Search Batch* page appears.

Application Tip

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

2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.
3. Select the **OTC Endpoint** you want to **Edit** a batch for by checking the checkbox under the **Select** column.
4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tips

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 1,000 batches are created within 30 days, then only the most recent 1,000 batches appear.
- When running 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.
- When running 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.*
- Enter the Cashier 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**,

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

5. Select **Search**. The *View Batch* page appears.

6. Select the **Batch ID** hyperlink. The *View Checks* page appears.

7. Under Batch Commands, select **Void All**, as shown in Figure 13.

Figure 13. View Checks (Voiding)

8. Select **Confirm** at the prompt to void all checks.

9. Enter comments concerning the void request at the prompt and select **OK**.

10. Select **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 accidently forwarded for settlement. Deactivated batches are archived to the Historical Database after 18 months as all batches and their associated check items are archived regardless of the batch status.

Additional Buttons

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

Topic 6 Override a Master Verification Database (MVD) Record

If an Agency chooses to use the **Master Verification Database (MVD)** feature, the Agency receives three types of check verification notifications: **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, 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, 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 specifies that the check writer is suspended, as referenced in the paragraph above.

As a **CCS**, you are authorized to override a blocked, suspended, or denied check. The override is a temporary, one-time event. You must enter a reason why the check was approved for processing.

Override a MVD Record

To override a MVD Record, complete the following steps:

1. Select **Override** to override the blocked, suspended, or denied check. An *Override Check Denial* dialog box appears as shown in Figure 14.

Figure 14. Override Check Denial Box

💡 **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.

2. Select **Print** to print the Verification report as shown in Figure 15.

Figure 15. Verification Report

> ### Application Tip
>
> Select **Cancel** to close the Check Verification window. If **Cancel** is selected, return the check to the customer.

3. Enter the **Email Address** and **Password** and select **Login**. A **Comment** dialog box appears.

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

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

Topic 7 Perform Batch Control and Batch Balancing

A **CCA** is authorized to configure the terminal for **Batch Control** as *optional* or *mandatory* on batch create, batch close, or both as an optional feature that your Agency can use as a batch balancing tool.

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

The batch control screen displays **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 **Terminal Configuration**.

If **Batch Control** is set at Batch Create, it can be either optional or mandatory, and the **Batch control** screen appears before scanning a batch of checks 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, the **Defer** button appears during Batch Create, and 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 select 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 select to **Defer** to skip this step.

Batch Control Options

As a **Check Capture Lead Operator (CCLO)** or **Check Capture Supervisor (CCS)**, you are authorized to set the batch control to appear on Batch Create or Batch Close. Enter the Batch Control Count and Batch Control Amount if Batch Control is set to mandatory.

Batch Control Options

To perform a Batch Create (Optional/ Mandatory), complete the following steps:

1. From the *Check Scan* page,

   Under **Set Up New Batch,**

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

2. Select **Next** as shown in Figure 16.

Figure 16. Batch Control Page (Batch Create)

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 select the **Defer** button.

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

On Batch Close (Optional/Mandatory)

As a **CCLO**, **CCO**, or **CCS**, you are authorized to enter the batch control total amount and count. You will close the batch and may print the PDF report or export the batch list report, regardless of whether the Close Batch or approve Batch checkboxes are checked or unchecked.

Perform Batch Control on Batch Close

To close a batch, complete the following steps:

1. From the *Batch Control* page,

   Under **Batch Detail**,
   - Enter the **Batch Control Count**
   - Enter the **Batch Control Amount**

2. Select **Next**.

💡 **Application Tips**

- If **Batch Control** is set to optional, the **CCLO**, **CCO**, or **CCS** can choose to select to **Next** button without entering the **Batch Control** count and amount.
- If the amount of a check item was incorrectly entered, select **Cancel** to return to the OTCnet Home Page. No data is saved.
- 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.

3. The *Close Batch* page appears. Select **Print PDF Report** or **Export** and select **Confirm** to close the batch. After **Print PDF Report** or **Export** is selected, the **Confirm** button is enabled as shown in Figure 17. The batch is not closed until **Confirm** is selected.

Figure 17. Print Batch List Report (Batch Close)
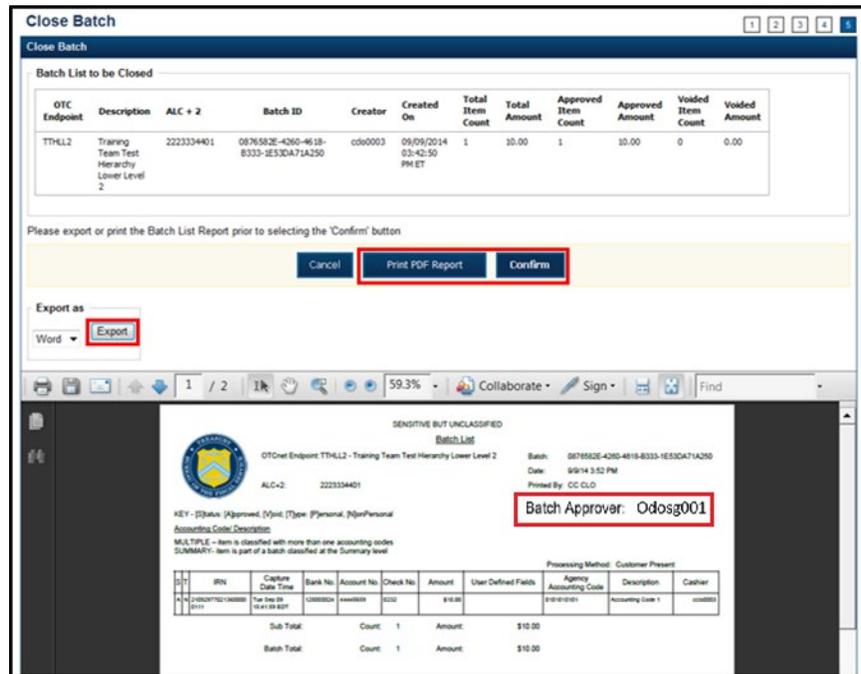
Application Tip

A user may print the PDF report or export the batch list report, regardless of whether the **Close Batch** and/or **Approve Batch** checkboxes are checked or unchecked. A **CCS** or **CCA** can specify the **Batch List Report Print/Export Required During** options under **Advanced Administration**.

Perform Batch Control on Batch Create

To perform batch control on **Batch Create**, complete the following steps:

1. From the *Check Scan* page,

   Under **Set Up New Batch**,

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

 Application Tips

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

2. Select **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. Select **Next**. The *Close Batch* page appears.

 Application Tips

- If Batch Control is set to optional, the **Check Capture Lead Operator**, **Check Capture Operator**, or **Check Capture Supervisor** can choose to select to **Next** button without entering the batch control count and batch control amount.
- When the amount of a check item is incorrectly entered, select **Cancel** to return to the OTCnet Home Page. No data is saved. If **Check Capture Lead Operators** or **Check Capture Operators** 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 the batch close process and print the batch list report.

Application Tip

A user may print the PDF report or export the batch list report, regardless of whether the **Close Batch** and/or **Approve Batch** checkboxes are checked or unchecked. A **CCS** or **CCA** can specify the **Batch List Report Print/Export Required During** options under **Advanced Administration**.

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 (as shown in Figure 17). This screen only appears if there is a discrepancy between the totals. To reconcile the discrepancy, the operator must discover where the issue 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 displays; *Failed to balance Batch (batch number), please check batch control* (as shown in Figure 18).

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 select **Next** below, to continue closing the batch.

Figure 18. Batch Control (Failed to Balance)

Below you will find **Batch Detail** descriptions:

- **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 contains both items. The operator must go back to the source documents for an answer. If it is determined that the batch contains 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. Select on the erroneous amount.
2. Select **Void** button.
3. Enter comments concerning the void request and select **Ok**.
4. Select **OK** to confirm the void request. The *Confirmation* message appears.

A **CCS** must log in at the prompt if the **Void** option is selected.

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

The **CCS**, **CCLO**, and **CCO** are authorized to view and print a **Batch List** report and an **Item Detail** report. An operator can print a **Batch List** for a deposit with any deposit status (i.e., Open, Closes, Approved, Forward). A **Batch List** consists of all transactions that are 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.

View and Print a Batch List Report

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

1. From the **Check Processing** tab, select **Batch Management**. The *Search Batch* page appears.
2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.
3. Select the **OTC Endpoint** you want to **Edit** a batch for by checking the checkbox under the **Select** column.
4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tips

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 1,000 batches are created within 30 days, then only the most recent 1,000 batches appear.
- When running 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.
- When running 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.*
- Enter the **Cashier 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.

5. Select **Search**. The *View Batches* page appears.
6. Select 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.

7. Select **Print Batch List**. The *Batch List Report* preview page appears as shown in Figure 19.

Figure 19. Batch List Report
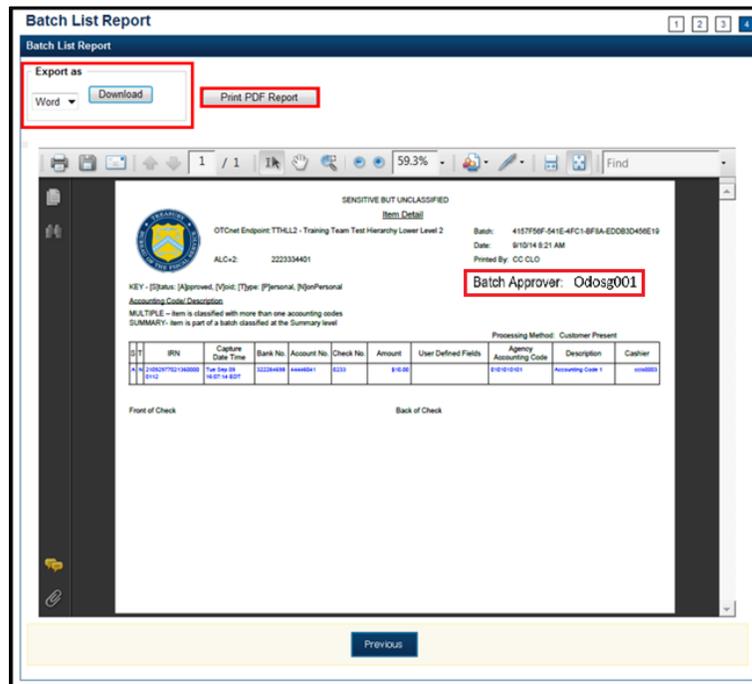
8. Under **Export as**,

    - Select **PDF**, **Word** or **Exce**l

    - Select **Download**

        Or

    - Select **Print PDF Report**

Additional Button

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

View and Print an Item Detail Report

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

1. From the **Check Processing** tab, select **Batch Management**. The *Search Batch* page appears.
2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.
3. Select the **OTC Endpoint** you want to **Edit** a batch for by checking the checkbox under the **Select** column.
4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tips

- There is an endpoint search restriction set based on **user permissions**. (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 1,000 batches are created within 30 days, then only the most recent 1,000 batches appear.
- When running 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.
- When running 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.*
- Enter the **Cashier 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.

5. Select **Search**. The *View Batches* page appears.
6. Select the **Batch ID** hyperlink. The *Batch and Item Details* page appears.

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7. Select the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

8. Select **Print Item**. The *Item Detail Report* preview page appears as shown in Figure 20.

Figure 20. Item Detail Report
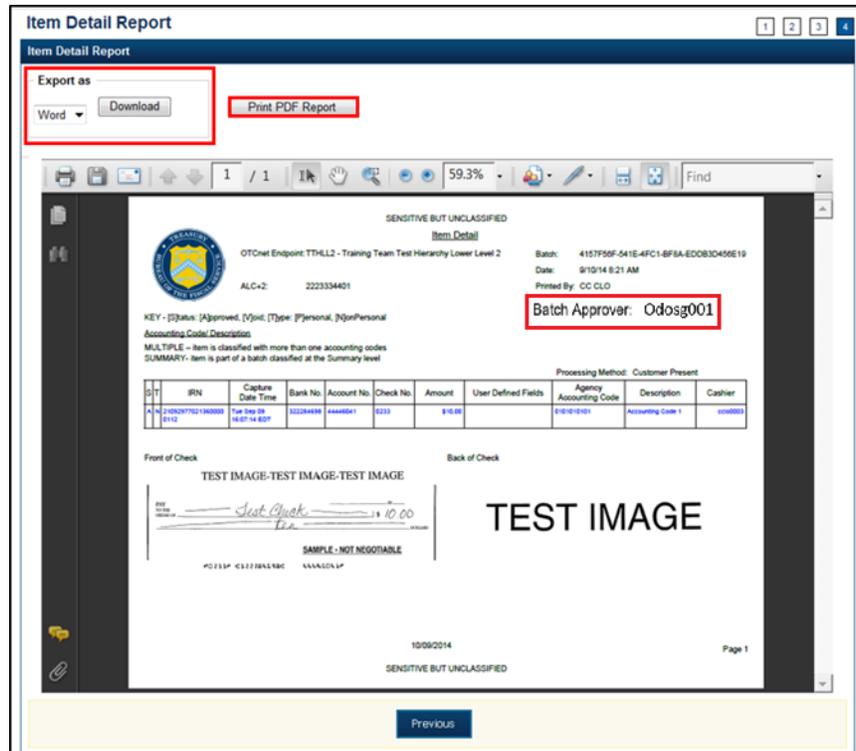
9. Under **Export as**,

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

- Select **Download**

     Or

- Select **Print PDF Report.**

  Additional Button

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

Topic 9 Activate/Deactivate a Batch

A **CCS** is authorized to deactivate a batch if there is an issue 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.

As a **CCS**, you are authorized to deactivate a batch if there is an issue with an item in the batch. You will enter the batch search conditions you would like to view.

Activate/Deactivate a Batch

To activate/deactivate a batch, complete the following steps:

1. From the **Check Processing** tab, select **Batch Management**. The *Search Batch* page appears.

2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.

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

4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tip

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

Application Tips

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 1,000 batches are created within 30 days, then only the most recent 1,000 batches appear.
- When running 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.
- When running 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.*
- Enter the **Cashier ID,** *optional.*

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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 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.

5. Select **Search**. The *Summary of Batches* page appears.

6. Check the checkbox of the **Batch ID** you want to activate or deactivate and select **Activate/Deactivate**. The *Activate/Deactivate Batch* page appears, as shown in Figure 21.

Figure 21. View Batches Page (Activate/Deactivate)

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.

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

Additional Buttons

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

Topic 10 Classify a Batch

Before a batch is classified, an OTC Endpoint must be designated. You must 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 **CCS**, **CCLO**, or **CCO** accesses Batch Management, selects View/Edit Classification and classifies the batch with an accounting code or C-key. Depending on your user privileges and batch status, you either have access to **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.

Summary Level Classification

To classify or edit a batch at the summary level, select **Batch Search Conditions** including **OTC Endpoint**, **Created On Date**, **Batch ID**, **Cashier ID** and enter **Batch Status** as **Open** or **Closed**.

Select the **Batch ID** hyperlink, **View/Edit Classification** and select an **Agency Accounting Code** and **Amount.**

Summary Level Classification

To classify or edit a batch at the summary level, complete the following steps:

1. From the **Check Processing** tab, select **Batch Management**. The *Search Batch* page appears.

2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the ENTER key) to retrieve a new set of results.

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

4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tips

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 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.*
- Enter the **Cashier 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.

💡 **Application Tip**

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

5. Select **Search**. The *View Batches* page appears.
6. Select the **Batch ID** hyperlink. The View Checks **page appears**.
7. Select **View/Edit Classification** as shown in Figure 22. The *Account Classification* **dialog box appears**.

Figure 22. View Checks – View/Edit Classification

💡 **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.

8. Select **Edit**. The *Account Classification* dialog box refreshes.
9. Enter or update the necessary account classification data.

   • Select an **Agency Accounting Code.**

💡 **Application Tips**

   • If an OTC Endpoint is associated with an Agency Location Code (ALC) that is designated as a Central Accounting Reporting System (CARS) Reporter, all check transactions must be classified with an accounting code. If an ALC is not a CARS 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 select **Add** for each subtotal of the batch.

Application Tips

- 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 select **Update**.

- Select **Save.**

Additional Buttons

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

Edit a Batch

As a **CCS**, **CCLO**, or **CCO**, you are authorized to classify or edit a batch at the summary level online. Batches in Open or Closed status can be edited at the summary level. You will enter or update the necessary account classification data and add the amount for each subtotal of the batch.

Edit a Batch

To classify or edit a batch at the summary level online, complete the following steps:

1. From the **Check Processing** tab, select **Batch Management**. The *Search Batch* page appears.
2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.
3. Select the **OTC Endpoint** you want to **Edit** a batch for by checking the checkbox under the **Select** column.
4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

💡 **Application Tips**

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 1,000 batches are created within 30 days, then only the most recent 1,000 batches appear.
- When running 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.
- When running 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.*
- Enter the **Cashier 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.

Application Tip

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

5. Select **Search**. The *View Batches* page appears.
6. Select the **Batch ID** hyperlink. The *View Checks* page appears.
7. Select **View/Edit Classification**, as shown in Figure 23. The *Account Classification* dialog box appears.

Figure 23. View Checks - View/Edit Classification

Application Tip

Depending on your user role and batch status you either have access to **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.

8. Select **Edit**. The *Account Classification* dialog box refreshes.
9. Enter or update the necessary account classification data.

    a. Select an **Agency Accounting Code**

Application Tips

- 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.
- 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 select **Add** for each subtotal of the batch.

Application Tips

- 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 select **Update**.

---

c. Select **Save**

Additional Buttons

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

Additional buttons on the *Show Item* page:

- Select **-Front** to return to the previous check.
- Select **Back+** to view the next check.
- Select **-Zoom** to reduce the image size.
- Select **Zoom+** to enlarge the image size.
- Select **Rotate Left+** to turn the image to the left.
- Select **Rotate Right+** to turn the image to the right.

Check Capture and Check Processing

Topic 11 Close a Batch

The **CCS** and **CCLO** are the only authorized users who can close a batch or multiple batches. You can only close batches for **OTC Endpoints** that you have permission to access.

OTCnet supports the following web browsers: Microsoft Edge and Google Chrome. For the PDF Documents Setting in Chrome: Disable the PDF Documents Setting within your browser to view PDFs in the PDF preview pane. If the PDF Documents Setting is enabled, reports can only be opened for download and do not display within the application. To view this option in a Chrome browser, navigate to:

Chrome browser > 3 vertical dots in upper right>Settings>Advanced>Site Settings (under "Privacy and security")**>PDF documents** (under "Permissions").

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

There are four batch status types, see Table 3 for details below.

Table 3. Batch Status Types

Open	Indicates the batch is open. Continue scanning checks to it.
Closed	Indicates the batch is closed and no new checks are accepted.
Approved	Indicates the batch is ready for settlement.
Forwarded	Indicates the batch has been sent to debit gateway to initiate the settlement process.

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.

Close Multiple Batches

As a **CCS** or **CCLO**, you are authorized to close multiple batches. Enter the batch search conditions you would like to view and select the batch you would like to close. You can also use the balancing feature for your OTC Endpoint if applicable. Print the PDF Report or Export and confirm the batches you want to close. A *Close Batch* page appears verifying the batches have been closed.

Close a Single or Multiple Batch(es)

To close a single or multiple batch(es), complete the following steps:

1. From the **Check Processing** tab, select **Batch Management**. The *Search Batch* page appears.

2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** (or the **ENTER** key) icon to retrieve a new set of results.

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

4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tips

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 1,000 batches are created within 30 days, then only the most recent 1,000 batches appear.
- When running 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.
- When running 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.*
- Enter the **Cashier 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** box under the **Select** column.

5. Select **Search**. The *View Batches* page appears.

6. Select the **Batch ID** hyperlink. The *View Checks* page appears.

7. Select the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

8. Select **Previous** to return to the *View Batches* page.

9. Select the batch(es) you want to close by checking the boxes to the left of the **Batch IDs**.

10. Select **Close Batch**. The *Close Batch* appears.

11. Verify that you want to close the batches and select **Confirm**. The *Batch Control* page appears.

12. Enter the **Batch Control Count** and **Batch Control Amount**, if applicable.

13. Select **Next**. The *Close Batch* page appears.

14. Select **Print PDF Report** or **Export** and select **Confirm** to close the batch(es).

> **Application Tips**
>
> - After **Print PDF Report** or **Export** is selected, the **Confirm** button is enabled. The batch(es) is(are) not closed until **Confirm** is selected.
> - The system generates one report for all selected batches.
> - If the CCS or CCA checked the **Close Batch** checkbox under **Advanced Administration**, then the user must print the PDF report or export the batch list report. Afterwards, the user can proceed to close the batch.
> - If the user is closing multiple batches online and the **Close Batch** checkbox is checked at any OTCnet endpoint, then the user must print the PDF reports or export the batch list reports. The batch is not closed until **Confirm** is selected, which is enabled when the **Print PDF Report** or **Export** is selected.
> - If the user is closing multiple batches online and the **Close Batch** checkbox is not checked, then the user can close multiple batches without printing the PDF reports or exporting the batch list reports. **Confirm** is enabled and the user can select to close the multiple batches.
> - A user may print the PDF report or export the batch list report, regardless of whether the **Close Batch** and/or **Approve Batch** checkboxes are checked or unchecked. A CCS or CCA can specify the **Batch List Report Print/Export Required During** options under **Advanced Administration**.

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

16. Select **Return to Batch Summary**. The *View Batches* page appears.

17. Select **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 selected, 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 approving a batch or multiple batches, you must first search for the batch. Batches can be searched 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 has a Closed status. After a batch is **Approved** and sent to **Debit Gateway** to initiate the settlement process, the status becomes Forwarded.

OTCnet supports the following web browsers: Microsoft Edge and Google Chrome. For the PDF Documents Setting in Chrome: Disable the PDF Documents Setting within your browser to view PDFs in the PDF preview pane. If the PDF Documents Setting is enabled, reports can only be opened for download and do not display within the application. To view this option in a Chrome browser, navigate to:

Chrome browser > 3 vertical dots in upper right >Settings> Advanced>Site Settings (under "Privacy and security") **>PDF documents** (under "Permissions").

Transactions processed before 9:30 p.m. EST are reflected on the next day's deposit SF215. Batches must 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

As a **CCS**, you are authorized to approve a single batch or multiple batches. Enter the batch search conditions you would like to view. If a **CCS** closes a batch, it is automatically Approved. If a batch is closed by a **CCO** or a **CCLO** without approver permission, an approve button is available. Verify that you want to approve the batch and confirm approval.

Approve a Single Batch

To approve a single batch, complete the following steps:

1. From the **Check Processing** tab, select **Batch Management**. The *Search Batch* page appears.
2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.
3. Select the **OTC Endpoint** you want to **Edit** a batch for by checking the checkbox under the **Select** column.
4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tips

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 1,000 batches are created within 30 days, then only the most recent 1,000 batches appear.
- When running 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.
- When running 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.*
- Enter the **Cashier 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**,

- Select the **Status** you want to close by checking the **Closed** box under the **Select** column.

5. Select **Search**. The *View Batch* page appears.
6. Select the **Batch ID** hyperlink. The *View Checks* page appears.

7. Select the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

8. Verify the details are correct and select **Previous** to return to the *View Batch* page.

9. Select the batch you want to approve by checking the box to the left of the **Batch ID**.

10. Select **Approve** as shown in Figure 24. The *Approve Batch* page appears.

Figure 24. Confirm Batches to Approve (Approve Single)

11. Verify that you want to approve the batch and select **Confirm**. The *Approve Batch* page appears with the batch details.

12. Select **Print PDF Report** or **Export** and select **Confirm** to approve the batch.

Application Tips

- After **Print PDF Report** or **Export** is selected, the **Confirm** button is enabled. The batch is not approved until **Confirm** is selected.
- If the CCS or CCA checked the **Approve Batch** checkbox under **Advanced Administration**, then the user must print the PDF report or export the batch list report. Afterwards, the user can proceed to approve the batch.
- If the user is approving multiple batches online and the **Approve Batch** checkbox is checked at any OTCnet endpoint, then the user must print the PDF reports or export the batch list reports. The batch is not approved until **Confirm** is selected, which is enabled when the **Print PDF Report** or **Export** is selected.
- If the user is approving multiple batches online and the **Approve Batch** checkbox is not checked, then the user can approve multiple batches without printing the PDF reports or exporting the batch list reports. **Confirm** is enabled and the user can select to approve the multiple batches.
- A user may print the PDF report or export the batch list report, regardless of whether the **Close Batch** and/or **Approve Batch** checkboxes are checked or unchecked. A CCS or CCA can specify the **Batch List Report Print/Export Required During** options under **Advanced Administration**.

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

14. Select **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 Central Accounting Reporting System (CARS)/ Government Wide Accounting (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.

Additional Buttons

- Select **Cancel** to return to the OTCnet Home Page. No data is saved.
- Select **Previous** to return to the previous page.
- Select **Activate/Deactivate** to activate or deactivate a batch.
- Select **Close Batches** to close a batch.
- Select **<<First** to go to the first page. (Only appears if there are several pages retrieved for the search results.)
- Select **Next>** to go to the next page. (Only appears if there are several pages retrieved for the search results.)
- Select **Last>>** to return to the last page. (Only appears if there are several pages retrieved for the search results.)
- Select **<<Image** to return to the previous check.
- Select **>>Image** to view the next check.
- Select **Zoom-** to reduce the image size.
- Select **Zoom+** to enlarge the image size.
- Select **Rotate Left** to turn the image to the left.
- Select **Rotate Right** to turn the image to the right.
- Select **Show Item** to view and update the check item details.
- Select **Void** to void a single check item.
- Select **Receipt** to print a receipt.
- Select **Print Item** to print a batch list report.

Approve Multiple Batches

As a **CCS**, you are authorized to approve multiple batches. You will enter the batch search conditions you would like to view, choose the desired scanned check, verify the details are correct and repeat this for each batch you want to approve. Verify that you want to approve the batches and confirm.

Approve Multiple Batches

To approve **multiple batches**, complete the following steps:

1. From the **Check Processing** tab, select **Batch Management**. The *Search Batch* page appears.

2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.

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

4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tips

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 1,000 batches are created within 30 days then only the most recent 1,000 batches appear.
- When running 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.
- When running 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.*

- Enter the **Cashier 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**,

- Select the **Status** you want to approve by checking the **Closed** box under the **Select** column.

5. Select **Search**. The *View Batch* page appears.

6. Select the **Batch ID** hyperlink as shown in Figure 25. The *View Checks* page appears.

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Figure 25. View Batches Page (Approve Multiple Batches)

7. Select the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

8. Verify the details are correct and select **Previous** to return to the *View Batch* page.

9. Select the batches you want to approve by checking the boxes to the left of the **Batch ID**.

10. Select **Approve**. The *Approve Batch* page appears.

11. Verify that you want to approve the batches and select **Confirm**. The *Approve Batch* page appears with the batch details.

12. Select **Print PDF Report** or **Export** and select **Confirm** to approve the batches.

Application Tips

- After **Print PDF Report** or **Export** is selected, the **Confirm** button is enabled. The batch is not approved until **Confirm** is selected.
- A user may print the PDF report or export the batch list report, regardless of whether the **Close Batch** and/or **Approve Batch** checkboxes are checked or unchecked. A Check Capture Supervisor (CCS) or Check Capture Administrator (CCA) can specify the **Batch List Report Print/Export Required During** options under **Advanced Administration**.
- If the **CCS** or **CCA** checked the **Approve Batch** checkbox under **Advanced Administration**, then the user must print the PDF report or export the batch list report. Afterwards, the user can proceed to approve the batch.
- If the user is approving multiple batches online and the **Approve Batch** checkbox is checked at any OTCnet endpoint, then the user must print the PDF reports or export the batch list reports. The batch is not approved until **Confirm** is selected, which is enabled when the **Print PDF Report** or **Export** is selected.
- If the user is approving multiple batches online and the **Approve Batch** checkbox is not checked, then the user can approve multiple batches without printing the PDF reports or exporting the batch list reports. **Confirm** is enabled and the user can select to approve the multiple batches.

---

13. An *Approve Batch* page appears verifying the batches have been approved.

14. Select **Return to Batch Summary**.

Application Tip

- 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 Central Accounting Reporting System (CARS)/Government-Wide Accounting (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.

Additional Buttons

- Select **Cancel** to return to the OTCnet Home Page. No data is saved.
- Select **Previous** to return to the previous page.
- Select **Activate/Deactivate** to activate or deactivate a batch.
- Select **Close Batches** to close a batch.
- Select **<<First** to go to the first page. (Only appears if there are several pages retrieved for the search results.)
- Select **Next>** to go to the next page. (Only appears if there are several pages retrieved for the search results.)
- Select **Last>>** to return to the last page. (Only appears if there are several pages retrieved for the search results.)
- Select **<<Image** to return to the previous check.
- Select **>>Image** to view the next check.
- Select **Zoom-** to reduce the image size.
- Select **Zoom+** to enlarge the image size.
- Select **Rotate Left** to turn the image to the left.
- Select **Rotate Right** to turn the image to the right.
- Select **Show Item** to view and update the check item details.
- Select **Void** to void a single check item.
- Select **Receipt** to print a receipt.
- Select **Print Item** to print a batch list report.

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)

As a **CCO**, **CCLO**, or **CCS**, you are authorized to print a receipt in single mode or batch mode from Check Scan. You can scan the check, input, and save the pertinent details. Print and close the receipt. If you are printing in batch mode, repeat the process throughout the batch.

Print a Receipt from Check Scan

To print a receipt from *Check Scan* functionality: *Single Mode*, complete the following steps:

1. Scan the check, input, and save the pertinent details.

2. Under **Scan Controls**, select **Receipt**. A *Printing…Please wait* message appears and the receipt prints to the default printer.

Application Tip

You have eight seconds to select the **Receipt** button. If the **Receipt** button is not selected within the allotted time, the button grays out. If a receipt is still needed, access the Batch Management function.

3. Select **Receipt**. The receipt appears as shown in Figure 26.

Figure 26. Receipt Print Image (Scan Check)

4. Select **Print** to print the receipt.

5. Select **Close** to close the receipt.

Application Tip

When printing a receipt in batch mode repeat steps 1-5 until finished.

Print a Receipt in Batch Management

To print a receipt using Batch Management, complete the following steps:

1. From the **Check Processing** tab, select **Batch Management**. The Search Batch page appears.

2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.

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

4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

💡 **Application Tips**

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 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.*

- Enter the **Cashier 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.

5. Select **Search**. The *View Batch* page appears.

6. Select the **Batch ID** hyperlink. The *View Checks* page appears as shown in Figure 27.

Figure 27. View Checks Page (Receipt)

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.

7. Select the **Item ID** of each scanned check. An image of the check and details of the check appear in the window below.

8. Select **Receipt**. The receipt appears.

9. Select **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 masks all but the last character.

10. Select **Close** to close the receipt.

Application Tips

- Select **Show Item** to view more details about the check.
- Under **Server Controls**, select **Receipt** to print the receipt.

Summary

In this chapter you learned:

- The Purpose of Capturing and Managing Checks Online
- Capture a Check Online
- Manage Poor Check Image Quality
- Resolve a Duplicate Check
- Void a Check
- Override a Master Verification Record (MVD) Record
- Perform Batch Control and Batch Balancing
- View and Print a Batch List/Item Detail Report
- Activate/ Deactivate a Batch
- Classify a Batch
- Close a Batch
- Approve a Batch
- Print a Receipt

Chapter 4. Correcting Scanned Checks

OTCnet Participant User Guide

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Glossary

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Overview, Topics, and Audience

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

The topics in this chapter include the following:

1. Purpose of Correcting Scanned Checks
1. Edit a Magnetic Ink Character Recognition (MICR) Code Line
2. Edit a Check Item

Audience

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

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

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 in OTCnet. Correcting a check may involve one or more of the following resolutions:

- Adjusting the Magnetic Ink Character Recognition (MICR) code line

- Editing a check after it is entered and saved into OTCnet

Agency users who have permission to make corrections to checks must 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, the **CCS** and **CCLO** can adjust a MICR line and edit a check after it's scanned by either a **CCLO** or **Check Capture Operator (CCO)**.

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

As a **CCS** or **CCLO**, you are authorized to make MICR line corrections. You are prompted to key in your Login ID and Password before correcting the MICR line.

Keep the following items in mind when editing a MICR Code Line:

- If a **CCO** scans the check and the scanner detects an issue with the MICR code line data (certain characters or all characters could not be read by the scanner), the operator is prompted to correct the code line.

- 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 **CCS** 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 the issue persists, and the decision is made to correct the MICR code line, OTCnet provides the symbol replacement codes to make the necessary corrections. If the scanner continues to have difficulty reading the characters in the code line, 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 1

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 Magnetic Ink Character Recognition (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. Select **Yes** to correct the code line.

    Or

    Select **Rescan** to rescan the check (applies only to *Reject Characters Detected* message).

    ### 💡 Application Tip

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

    Or

    Select **Cancel** to cancel the transaction.

2. The *Login ID* and *Password* dialog box appears. Enter the **Login ID** and **Password** and select **Login**.

    ### 💡 Application Tips

    - If a **Check Capture Operator (CCO)** 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 select **OK**.

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

Topic 3 Edit a Check Item

As a **CCS** or **CCLO**, 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 editing 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.

Table 2. 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

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

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

In the event an Agency becomes a GWA Reporter in between a captured check and an operator selecting to save updates, and 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 selected, you are returned to the Show Item page and allowed to select an accounting code.

If **No** is selected, 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.

💡 **Application Tips**

- As the **CCS** or **CCLO,** if you opt to make a MICR code line correction, you must look at the MICR line image closely to ensure all the characters are correctly entered in the Code Line Correction box as shown in Figure 1.
- 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, select **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. The **Deposit Processing** tab only appears if your agency and appropriate users have permission to create deposits for over-the-counter collections.

Figure 1. Code Line Correction Box

Edit a Check Item

To edit a check item, complete the following steps:

1. Select the **Check Processing tab** and select **Batch Management**. The *Search Batch* page appears as shown in Figure 2.

Figure 2: Search Batch

2. In the search field, under **Batch Search Conditions**, enter an **OTCnet Endpoint** and select the **magnifying glass** icon (or the **ENTER** key) to retrieve a new set of results.

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

4. Under **Created On Date**, enter the **From** and **To** date range, as needed.

Application Tips

- There is an endpoint search restriction set based on **user permissions** (i.e., a **CCLO**, **CCA** user can only search for their Agency and any endpoints under their Agency.).
- 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 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*.
- Enter the **Cashier ID**, *optional.*

Application Tip

If the only search criteria entered is a valid **Batch ID,** 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.

Application Tip

Only batches in **Open** or **Closed** status can be edited.

---

5. Select **Search**. The *View Batches* page appears.
6. Select the **Batch ID** hyperlink. The *View Checks* page appears.
7. Select the **Item ID** of the scanned check you would like to edit. An image and details of the check appear in a window below.
8. Select **Show Item** to the right of the check image to edit as shown in Figure 3. The *Show Item* page appears.

Figure 3. View Checks Page

9. Update the necessary form data.

   To edit the form data, complete the following:

   Under **Agency Form Data**, update the check data in the field(s) provided, *if applicable*

   - Enter the **Amount.**

   - Enter the User Defined Field (**UDF)** details.

   💡 **Application Tips**

   - 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.
   - Ensure that you 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*

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

   Or

   - Select the **Multiple** radio button. The *Account Classification* dialog box appears.

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

Under **Server Controls**, *required*

- Select **Update.**

10. Select **Confirm** to confirm to update the check data.

11. Enter comments concerning the updated request at the prompt and select **OK**.

12. Select **OK** at the confirmation prompt stating that the check has been successfully updated.

Additional Buttons

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

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

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

- Select **-Front** to return to the previous check.
- Select **Back+** to view the next check.
- Select **-Zoom** to reduce the image size.
- Select **Zoom+** to enlarge the image size.
- Select **Rotate Left+** to turn the image to the left.
- Select **Rotate Right+** to turn the image to the right.

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Summary

In this chapter, you learned:

- The purpose of correcting scanned checks
- How to edit a Magnetic Ink Character Recognition (MICR) code line
- How to edit a check item

Chapter 5. Managing Verification Records

OTCnet Participant User Guide

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Glossary

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Overview, Topics, and Audience

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 MVD record
- How to edit a MVD record

Topics

The topics in this chapter include the following:

1. Purpose of Managing Verification Records, Master Verification Database (MVD and Local Verification Database (LVD)
2. Create an MVD Record
3. Search for an MVD Record
4. Edit an MVD Record

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)

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 agency 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 **Local Verification Database (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 agency-specified criteria, that are in violation of agency policy. Verification information is available for download.

Verification records are derived from returns of previously processed payments originated through the OTCnet application and manually entered records (i.e., a 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 Trade Status as seen in 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

As an **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 and manually-entered records (i.e., a blocked, suspended, or denied record). Blocked, suspended, or denied data is entered manually by an authorized person from an agency 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 the MVD lifecycle.

Figure 1: MVD Lifecycle
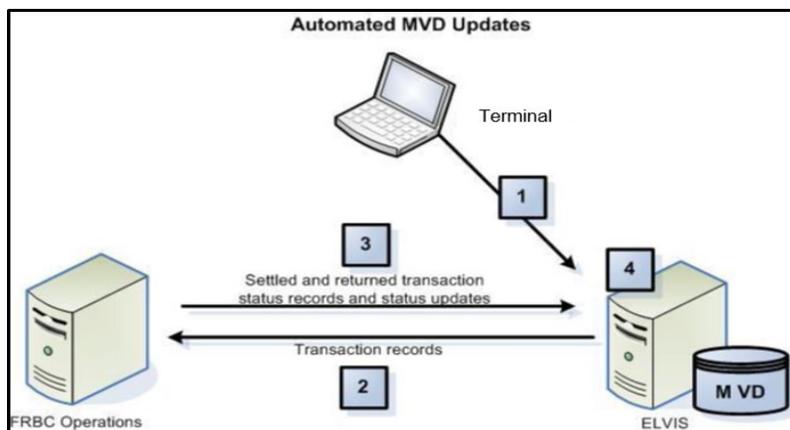
The MVD Lifecycle includes the following steps:

1. Check transactions are processed in OTCnet.

2. Check transaction data is sent from OTCnet to the Treasury/Bureau of the Fiscal Service (BFS).

3. The negative returns on check transactions are sent from the Treasury/BFS operations to the MVD.

4. The verification record is completed with information from the 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.

Figure 2: LVD Lifecycle
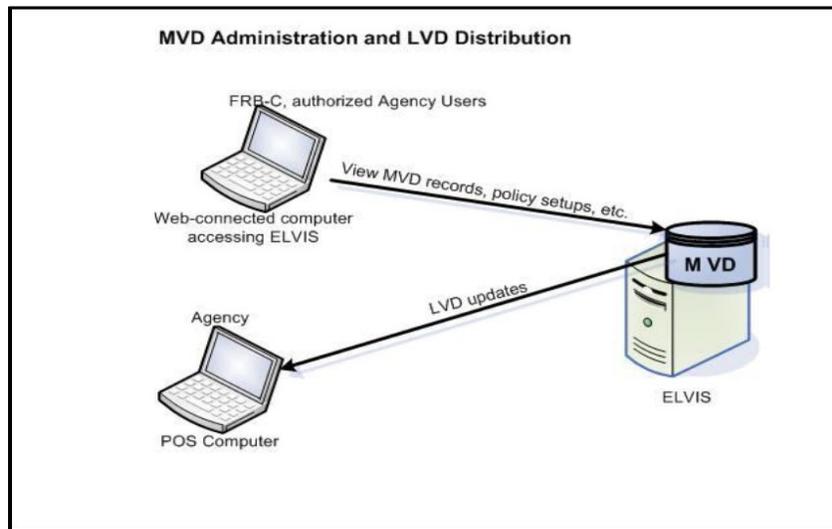
OTC Verification Group Management

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 will apply.

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 policy is based upon the agency's overall program or policy to ensure a consistent application of agency-wide check verification, including returned reason codes, suspension periods, and the inclusion of expired items. As part of the agency's participation in the OTCnet program, the agency provides the Treasury OTC Support Center, via the Agency Site Profile (ASP), their check collection policy regarding:

- Number of returns permissible by the agency
- Length of time for each suspension period

Generate Verification records based on:

- The inclusion of Represented and Retired checks
- The inclusion of Retired checks only
- The number and timing of representments

An agency chooses when MVD records are created, either:

- With any return item

> Or

- When items are retired to the agency

The final piece of information required in an OTC Endpoint policy is which 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 policy is established during the set-up of an OTC Endpoint in the MVD system. Treasury OTC Support Center administers the setup 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 Characters	Handling
' _ - @ #	Valid if surrounded by alpha characters. *Exception*: The hyphen (dash) is only permitted for the fields associated with the MICR, Raw MICR, account number, routing number, and check number. The hyphen shall be permitted in the Batch ID field if surrounded by alphanumeric characters. The hyphen and/or underscore special characters shall be permitted in the I R N field in the Verification Query. The hyphen shall be permitted in the first configurable field of verification and CIRA records. Two consecutive hyphens are not allowed.
| $	Valid if surrounded by alpha or numeric characters.
. / : _	Allowed wherever a URL must be entered. The forward slash is also permitted for use in a date entry field. The period is also permitted for use in free text fields if the period is preceded by an alpha or numeric character. The amount field only accepts numeric characters and one period.
All Other Special Characters	If a character was not specifically mentioned, it is not permitted at all. Passwords are exempt from these special character handling rules.

Topic 2 Create 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 (e.g., your agency may be aware of individuals for whom 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.

Create an MVD Record

To create an Master Verification Database (MVD) Record, complete the following steps:

1. From the **Check Processing** tab, select **Manage Verification**>**Create MVD Record**. *The Step 1 of 2: Define the MVD Record* page appears as shown in Figure 3.

Figure 3: Define the MVD Record

2. Enter the MVD details and select **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 Tips**
>
> - A trade status of **Blocked** or **Denied** automatically defaults to **the Deny Date** of 9/09/2099 and the date cannot be modified.
> - The **Deny Date** indicates the date when the suspension period ends. The **Deny Date** must be greater than or equal to today's date.

3. The *Step 2 of 2: Create MVD Record* page appears. Verify the information is correct and select **Submit**. Select **Edit** to modify the information entered.

4. A *Confirmation* page appears stating that the MVD Record has been created.

> **Additional Buttons**
>
> - Select **Cancel** to return to the OTCnet Home Page. No data is saved.
> - Select **Clear** to clear all data fields and reset to the default selections.
> - Select **Previous** to return to the previous page.
> - Select **Return Home** to the OTCnet Home Page.

Topic 3 Search an MVD Record

As an **MVD Editor** or **MVD Viewer**, you are authorized to search for MVD records. The MVD supports the agency by 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 your search results provides better system results. 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 as shown in Table 3.

Table 3: 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 Master Verification Database (MVD) Record, complete the following steps:

1. From the **Check Processing** tab, select **Manage Verification**>**Search MVD Record**. The *Step 1 of 4: Search MVD Record* page appears as shown in Figure 4.

Figure 4: Search MVD Records

2. Enter the MVD search criteria and select **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.

3. Select **Search** to initiate the search. The records appear in a table.

4. Select the **IRN** link of the check details you would like to view. The *Step 2 of 4: Review the MVD Record* page appears.

5. Review the verification record details. Select **Edit** to modify the MVD record.

> **Additional Buttons**
>
> - Select **Cancel** to return to the OTCnet Home Page. No data is saved.
> - Select **CIRA Detail** to display CIRA details (Visible only if is a CIRA record exists.)
> - Select **Edit** to update the MVD record.
> - Select **Previous** to return to the previous page.
> - Select **Return Home** to the OTCnet Home Page.

Topic 4 Edit an MVD Record

As an MVD **Editor**, you can edit MVD records. Before editing 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 are also authorized to clear a record's Trade Status. A **Clear Trade Status** indicates that prior restrictions on the individual check payments are removed.

Bureau of the Fiscal Service

Chapter 5. Managing Verification Records

Edit an MVD Record

To edit an Master Verification Database (MVD) record, complete the following steps:

1. From the **Check Processing** tab, select **Manage Verification**>**Search MVD Record**. The *Step 1 of 4: Search MVD Record* page appears.

2. Enter the MVD search criteria and select **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.

3. Select **Search** to initiate the search. The records appear in a table.

4. Select the **IRN** hyperlink for the check whose details you would like to view. The *Step 2 of 4: Review the MVD Record* page appears.

5. Select **Edit** to edit the MVD record. The *Step 3 of 4: Edit the MVD Record* page appears as shown in Figure 5. Edit the appropriate details.

Figure 5. Edit Verification Record

6. Select **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 Tips**
>
> - The **Deny Date** indicates the date when the suspension period ends.
> - The **Deny Date** must be greater 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.

    - 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.

7. The *Step 4 of 4: Review* the edited MVD Record. Verify the verification record information is correct and select **Submit**. Select **Edit** to modify the information entered.

8. A *Confirmation* page appears stating that the MVD record has been updated.

> **Additional Buttons**
>
> - Select **Cancel** to return to the OTCnet Home Page. No data is saved.
> - Select **CIRA Detail** to display CIRA details. (Visible only if is a CIRA record exists.)
> - Select **Edit** to update the MVD record.
> - Select **Previous** to return to the previous page.
> - Select **Return Home** to the OTCnet Home Page.

Summary

In this chapter, you learned:

- The purpose of managing verification records (MVD/LVD) records
- How to create an MVD record
- How to search for an MVD record
- How to edit an MVD record

Chapter 6. Reporting on Scanned Checks and Viewing Scheduled Reports

OTCnet Participant User Guide

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Overview, Topics, and Audience

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 CIR Transmission Status for Check Processing Report
- How to view and download Scheduled Reports

Topics

The topics in this chapter include the following:

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

    - View CIR Transmission Status for Check Processing

5. Scheduled Reports

    - CIRA CSV Historical Report

    - View Previously Generated Reports

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

Topic 1 Purpose of Accessing Check Processing Reports

In this guide you will learn how to: run and print Check Processing reports, query using the View CIRA functionality, and query and download Scheduled reports. Based on your user role, you are authorized to 1) access one or more of the Check Processing reports, 2) view a CIRA record, and 3) view and download Scheduled reports available in OTCnet. The following roles are authorized to access reports:

- Agency Manager
- Check Capture Administrator
- MVD Editor/MVD Viewer
- FMS Viewer/FMS Security
- Report Viewer

The following are the 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. Data for the report is available for a duration of one year.
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. Data for the report is available for a duration of one year.
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.
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 (i.e., shredded or electronically deleted) when no longer needed.

Users must 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 must 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 are authorized to 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**. Search for checks by **OTC Endpoint**, **Individual Reference Number (IRN)**, first four **User Defined Fields**, **Suspension Status** and other search criteria. When running a search without specifying criteria other than the OTC Endpoint, the search results return all checks that your access will permit you to view.

Search Criteria Includes:

- OTC Endpoint
- Include Subordinates
- Retrieve Mobile Check Transactions Only
- 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
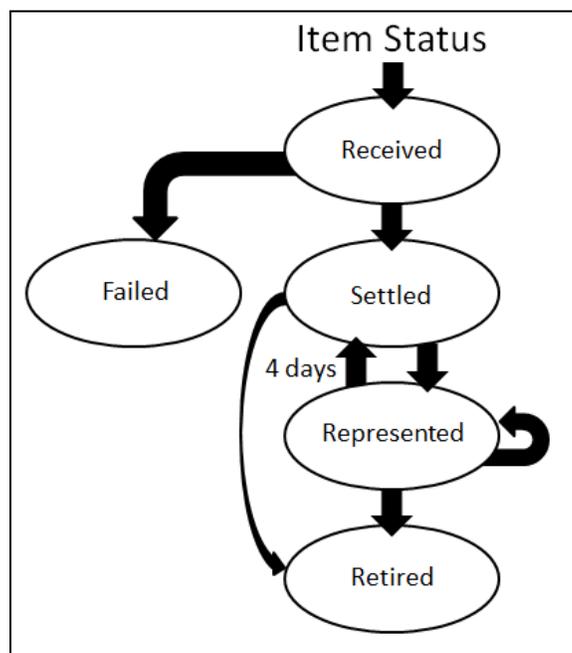
Received - The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

Failed - The item was unable to be processed and/or settled by Treasury/Bureau of the Fiscal Service (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. 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

To view a CIRA record, from the **CIRA Query**, you will enter the search criteria for the report you would like to view, search for a transaction, search the ACR transaction. The *CIRA Details* page appears, presenting the **Check Details**, **User Defined Fields**, **Check Image** and **Check History** details or CIRA Details page showing ACR Transaction details.

View a CIRA Record

To view a CIRA record, complete the following steps:

1. From the **Check Processing** tab select **CIRA Query**. The *CIRA Query* page appears.
2. Enter your search criteria.

- Select an **OTC Endpoint**, *required*

💡 **Application Tip**

If you do not know the full name of the OTC Endpoint, enter a partial name search (as few as one letter) in the **Starts with** text box and select the **Select From List** icon (magnifying glass). The configured OTC Endpoints appear according to the user's access. Select the appropriate OTC Endpoint radio button.

- Check/uncheck the **Include Subordinates** check box
- Check/uncheck the **Retrieve Mobile Check Transactions Only** check box
- Select a **Form Name**
- Select a **Deploy Date**

💡 **Application Tips**

- 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.
- By default, the **Retrieve Mobile Check Transactions Only** check box is unchecked. Data for **Retrieve Mobile Check Transactions Only** is not yet available and will be included in a future release.
- By default, the most recent **Deploy Date** and **Form Version** will populate the **Deploy Date** field, once the **Form Name** is selected.

3. To search for a transaction:

    a. Using the CIRA Query search criteria, complete the following steps:
    - Under **CIRA Query**,
        - Select a **Form Name**
        - Select a **Deploy Date**
    - 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 Tips

- 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.
- 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**
- Under **Check Amount**
    - Select the appropriate drop-down field
    - Enter the check amount
- Select a **Settlement Status**
- Enter the **5515/Debit Voucher Number**
- Enter the **215/Deposit Ticket Number**

Application Tips

- 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.
- The **5515/Debit Voucher Numbe**r represents items returned to an agency due to unsuccessful collection efforts.
- 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**
- Select the **Received Date:** radio button

    - Select **From** and **To** Received Date range

        Or

    - Select the **On** Received Date
        Or

- Select the **Check Capture Date**: radio button

    - Select **From** and **To** Check Capture Date range

        Or

    - Select the On Check Capture Date

> **Application Tips**
>
> - **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**).
> - **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

- Select the **Settlement Date**: radio button
  - o Select **From** and **To** Settlement Date range

    Or
  - o Select the **On** Settlement Date

> **Application Tips**
>
> - **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

- Select the **Return Settlement Date**: radio button
  - Select the **From/On** Date range
  - Select the **To** Date range

Application Tips

- **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.
- When the **Return Settlement Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Capture Date** or **Settlement Date**).
- 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, complete the following steps:

- Select **Search ACR Transaction** to expand the screen
- Select an **ACR Type**
- Select an **ACR Reason Code**
- Enter an **ACR Voucher Number**
- Enter the **From** and **To** ACR Settlement range

Application Tips

- By default, the **Search ACR Transaction** screen is collapsed. If the **Search ACR Transaction** screen is expanded, the **CIRA Query** screen is collapsed.
- **Search ACR Transaction** options include **All ACR**, **Adjustment**, **Correction**, and **Rescission**.
- **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**.
- The maximum numeric characters value for **ACR Voucher Number** is six.
- The maximum date range for the **From** and **To ACR Settlement** range is 90 days.

4. Select **Search** to initiate the search.

5. The *Count* table and *Search Results* table appears as shown in Figure 2. Select the **IRN** for the check details you would like to view.

Figure 2: CIRA Query Results Showing Count and IRN Table

6. The *CIRA Details* page appears showing the **Check Details**, **User Defined Fields**, **Check Image** and **Check History** details as shown in Figure 3.

Figure 3: CIRA Details Page

CIRA Details

View CIRA Item Details

The following is the current information for the CIRA item.

Check Details

IRN:	230604900104200000547
Settlement Status:	Retired
ALC or DSSN Code:	2223334401
Capture Date:	09/16/2014 13:23:29
Received Date:	09/16/2014 13:23:29
Bank Account Number:	****1234
Bank Routing Number:	021000018
Check Number:	001511
Check Amount:	125.00
Batch ID:	1365AEC8-6B7C-494D-BCC1-B5D158EE39B2
Cashier ID:	qcclo003
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:	Representment
ACR ALC:	00000000
ACR ALC+2:	0000000000
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

TEST CHECK   001511

PAY TO THE ORDER OF

DATE

$

DOLLARS

BNY MELLON   SAMPLE-VOID

NON-NEGOTIABLE

FOR

⑈001511⑈ ⑆021000018⑆ 12345678⑈

[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 09:58:20 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

[Previous] [Return Home]

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 if you search for results beyond the configured range.

Additional Buttons

- Select **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Select **Clear** to clear all data fields and reset to the default selections.
- Select **Count** to display the total number of check transactions and the total check amount for the specified search criteria.
- Select **Display First 1000** to retrieve the first 1000 records
- Select **Verification Detail** to view the corresponding MVD record for the check item. (Visible only if is a corresponding MVD record exists.)

Additional buttons exclusive to the *View CIRA Item Details* page:

- Select **Zoom In** to zoom in on the check image.
- Select **Zoom Out** to zoom out on the check image.
- Select **Save Zoom** to save the zoom percentage for the current session.
- Select **Original** to return the check image to the original display settings.
- Select **Fit Width** to fit the check image to the width of the open window.
- Select **Rotate Left** to rotate the check image counterclockwise 90 degrees.
- Select **Rotate Right** to rotate the check image clockwise 90 degrees.
- Select **Print** to the check image.
- Select **Download** to the check image.
- Select **Previous** to return to the previous page.
- Select **Return Home** to the OTCnet Home Page.

Topic 3 Business Reports

There are eight Business Reports that you may have access to, depending on your role. To print a report output, right select using your mouse and select *Print.*

Table 2: Business Reports (1st column) and Access Type (1st row)

Business Reports	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 (CSV) report. The exported data can be used to import into other applications within an agency. From **Check Processing Reports**, select **CIRA CSV Report**. Enter the search criteria for the report you would like to view and search for a transaction and download the CSV file.

When selecting the **Received Date** radio button, consider the following information for 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 Report via Home>> Reports>> Scheduled Reports.*" 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.

When selecting the **Check Capture Date** radio button, consider the following information for 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 Report via Home>> Reports>> Scheduled Reports.*" 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.

When selecting the **Settlement Date** radio button, consider the following information for the **Settlement (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 Report via Home>> Reports>> Scheduled Reports." 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.

When selecting the **Return Settlement Date** radio button, consider the following information for the **Return Settlement (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>> Scheduled Reports." 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.

To access the report, from **Check Processing Reports**, **Business Reports**, select **Check Image Report.**

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CIRA CSV Report

To view a CIRA CSV report, complete the following steps:

1. From the **Reports** tab, select **Check Processing** Reports. The *View Check Processing Reports* page appears.

2. Under **Business Reports**, select **CIRA CSV Report**. The *CIRA CSV Report* page appears.

3. Enter the search criteria for the report you would like to view.

    - Select an **OTC Endpoint**, *required*
    - Check/uncheck the **Include Subordinates** check box
    - Check/uncheck **Retrieve Mobile Check Transactions Only** check box

Application Tips

- If you do not know the full name of OTC Endpoint, enter a partial name search (as few as one letter) in the **Starts with** text box and select the **Select From List** icon (magnifying glass). The configured OTC Endpoints appear according to the user's access. Select the appropriate OTC Endpoint radio button.
- 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.
- By default, the **Retrieve Mobile Check Transactions Only** check box is unchecked. Data for **Retrieve Mobile Check Transactions Only** is not yet available and will be included in a future release.

4. To search for a transaction:

    a. Using the CIRA CSV Report search criteria, complete the following steps:

        - Select a **Form Name**
        - Select a **Deploy Date**

Application Tips

- 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.
- 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**
- Enter the **Account number**
- Enter the **Bank Routing Number**
- Enter the **IRN (Individual Record Number)**
- Enter the **Check Number**
- Under **Check Amount**,
    - Select the appropriate drop-down field
    - Enter the check amount
- Select a **Settlement Status**
- Enter the **5515/Debit Voucher Number**
- Enter the **215/Deposit Ticket Number**

Application Tips

- The **User Defined Fields** are visible based on the selected OTC Endpoint **Form Name** and **Deploy Date**.
- 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.
- The **5515/Debit Voucher Number** represents items returned to agency due to unsuccessful collection efforts.
- 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**
- Select the **Received Date**: radio button
    - Select **From** and **To** Received Date range
        Or
    - Select the **On** Received Date

        Or

- Select the **Check Capture Date**: radio button
    - Select **From** and **To** Check Capture Date range
        Or
    - Select the **On** Check Capture Date

        Or

- Select the **Settlement Date**: radio button

    - Select **From** and **To** Settlement Date range

        Or

- Select the **On** Settlement Date

  Or

- Select the **Return Settlement Date**: radio button
  - Select the **From/On** Date range
  - Select the **To** Date range

b. To query for a CIRA CSV Report - ACR transaction, complete the following steps:

- Select **Search ACR Transaction** to expand the screen

- Select an **ACR Type**

- Select an **ACR Reason Code**

- Enter an **ACR Voucher Number**

- Enter the **From** and **To** ACR Settlement range, *required*

Application Tips

- 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.
- **Search ACR Transaction** options include **All ACR**, **Adjustment**, **Correction**, and **Rescission**.
- **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**.
- The maximum numeric characters value for **ACR Voucher Number** is six.
- 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.

- Select **Download CSV File**. The *File Download* dialog box appears as shown in Figure 4.

Figure 4: File Download Dialog Box: Open/Save or Download
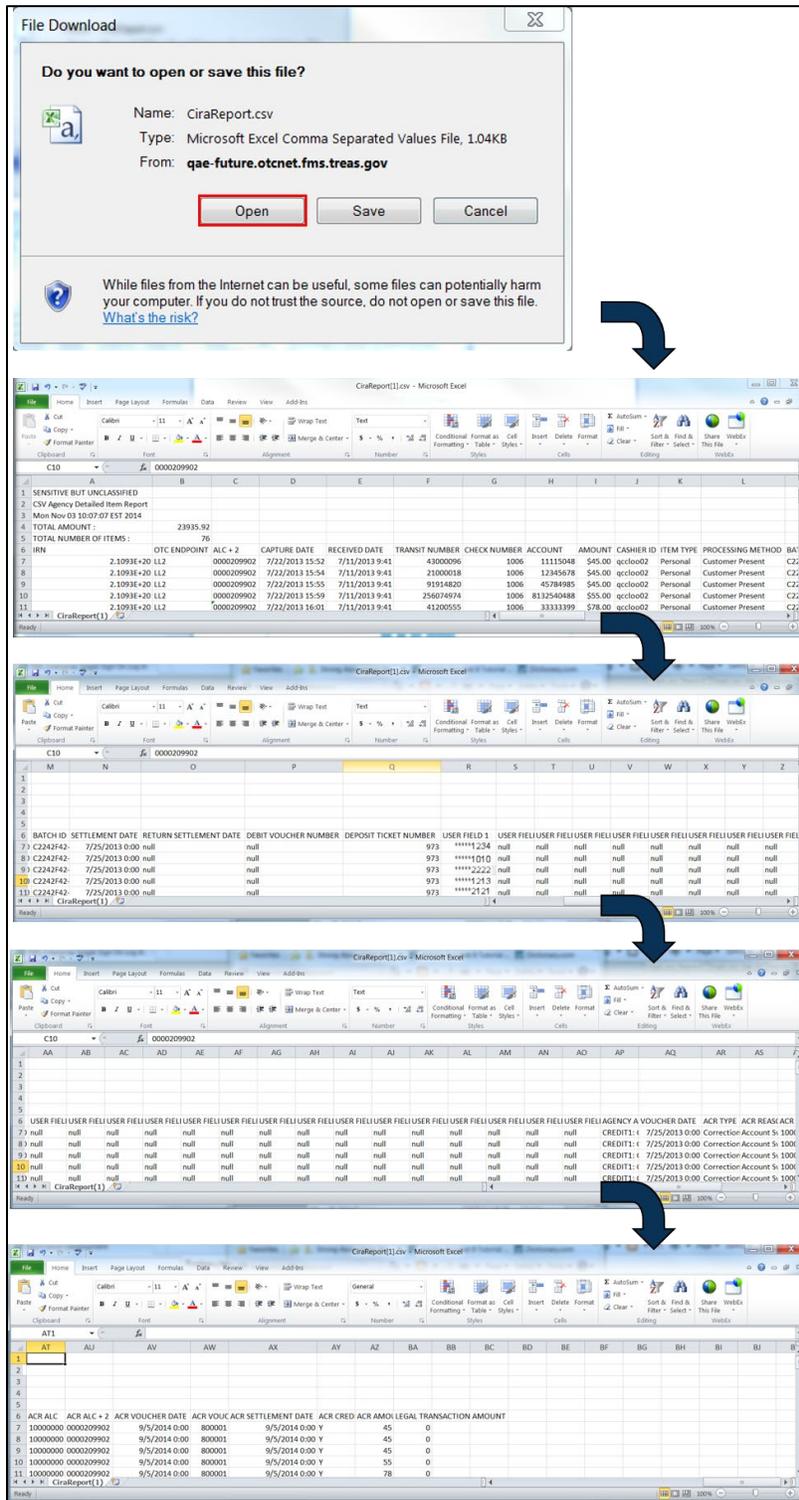
Application Tip

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 if you search for results beyond the configured range.

- Select **Open** or **Save**

Additional Buttons

- Select **Cancel** to return to the OTCnet Home Page. No data is saved.
- Select **Clear** to clear all data fields and reset to the default selections.
- Select **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.

IRNs associated with a received date older than the minimum data retention period, as specified by Fiscal Service, may not be displayed on the report as these transactions are eligible to be deleted. As a result, this check image will no longer be accessible, and an error message will show stating that the IRN has not been found or has been deleted.

To access the report, from **Check Processing Reports, Business Reports**, select **Check Image Report.**

Check Image Report

To view a Check Image report, complete the following steps:

1. From the **Reports** tab, select **Check Processing Reports**. The *View Check Processing Reports* page appears.

2. Under **Business Reports**, select **Check Image Report**. The *Check Image Report* page appears.

3. 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 Tips

  - IRNs are between 20 and 32 alphanumeric characters in length and can contain the following characters:
    - The special characters of **'**, **_**, **#**, **@**, and **-**, surrounded by only alpha characters
    - The special characters of **$** and **|**, surrounded by alphanumeric characters
  - To enter multiple IRNs, separate each IRN by a space and/or comma.
  - Check images for IRNs belonging to neutralized OTC Endpoints can be retrieved in the Check Image Report. These images can be retrieved by Agency Managers, Check Capture Administrators, View Reports, MVD Editors, or MVD Viewers who are provisioned to:
    - An OTC Endpoint level higher than the neutralized OTC Endpoint associated with the images
    - The highest-level OTC Endpoints associated with the images

4. Select **Add to IRN List**.

5. Under **List of IRNs**, check the check box(es) of the IRN(s) you would like to submit.

6. Select **Submit**. Check image(s) appear on the same page as shown in Figure 5.

Figure 5: Select Submit to View Check Image

Additional Buttons

- Select **Clear** to clear all data fields and reset to the default selections.
- Select **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.

When selecting the **Received Date** radio button, consider the following information for 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**).

- **(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>> Scheduled Reports.*" 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.

When selecting the **Check Capture Date** radio button, consider the following information for the **Received Date (From) and (To):**

- **(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 <u>both</u> 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>> Scheduled Reports.*" results that match the search parameters and have a Received Date older than 18 months from the current date are displayed.

To access the reports, from **Check Processing Reports, Business Reports**, select **Agency CIRA Report Check Processing Reports.**

Agency CIRA Report

To view an Agency CIRA report, complete the following steps:

1. From the **Reports** tab, select **Check Processing Reports**. The *View Check Processing Reports* page appears.

2. Under **Business Reports**, select **Agency CIRA Report**. The *Agency CIRA Report* parameters page appears as shown in Figure 6.

Figure 6: Agency CIRA Report Parameters Page
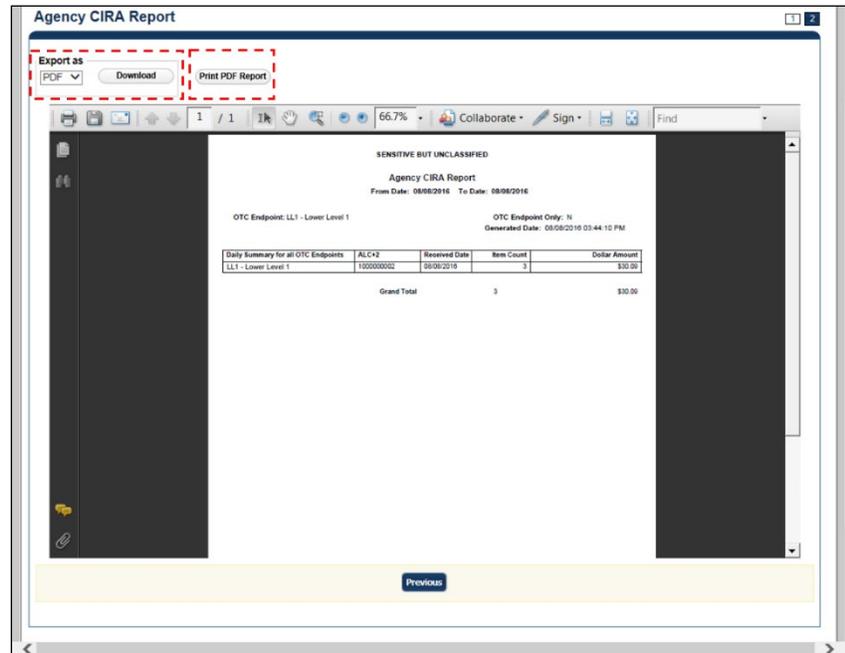
3. Enter the search criteria for the report you would like to view.

> Under **Report Filters**,
> - Select the **Date From** date
> - Select the **Date To** date
> - Select **Received Date** or **Captured Date**
> - Enter the **Batch ID**
> - Enter the **Cashier ID**
> - Select **Yes** or **No** to Include Subordinate OTC Endpoints

Application Tip

- Select **Yes** to generate a report that contains data for the selected OTC Endpoint as well as all of the lower-level OTC Endpoints.
- Select the **No** option to generate a report that contains data only for the selected OTC Endpoint.

4. Select 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.

5. Under Export as,

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

   Or

- Select **Print PDF Report**

Additional Button

- Select **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. To access the report, from **Check Processing Reports Business Reports**, select **LVD Contents Report.**

Check Capture and Processing

LVD Contents Report

To view an LVD Contents report, complete the following steps:

1. From the **Reports** tab, select **Deposit Processing Reports**. The *View Reports* page appears.

2. Under **Business Reports**, select **LVD Contents Report**. The *LVD Contents Reports* parameters page appears.

3. Enter the search criteria for the report you would like to view.

    Under **Report Filters**,
    *   Select a **Transaction Type**
    *   Select a **Trade Status**
    *   Select **Received Date** or **Captured Date**
    *   Enter **For Account**
    *   Enter the **User Defined Field 1**
    *   Enter the **Bank Routing Number**

Application Tips

*   Trade Status represents the status of the verification records (All, Cleared, Dynamic, Suspend, Denied, Blocked).
*   **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.

4. Select an OTC Endpoint to initiate the report. The *LVD Contents* Report preview page appears in a new window as shown in Figure 7.

Figure 7: LVD Contents Report Preview Page
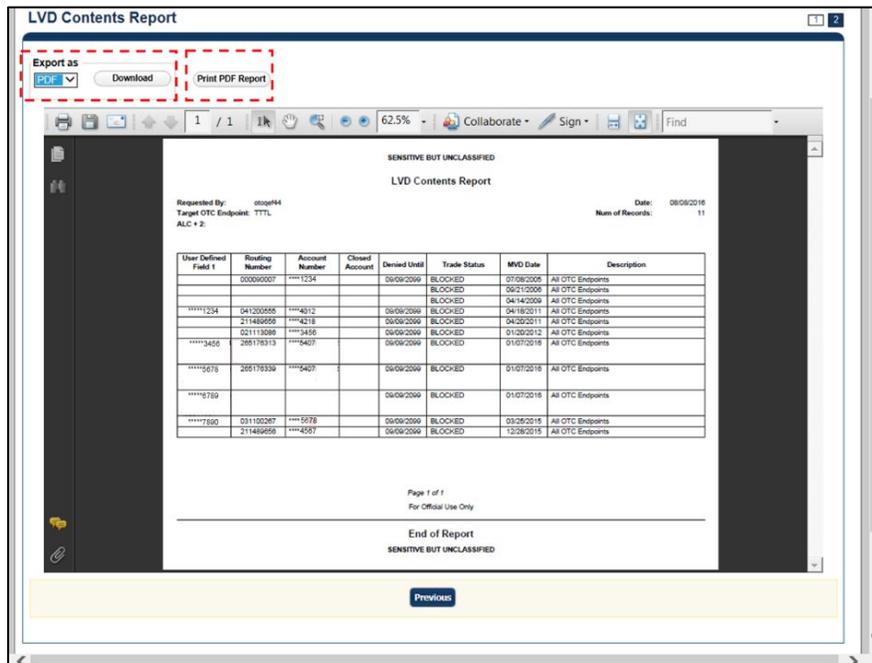
5. Under Export as,

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

Or

Select **Print PDF Report**

Additional Button

- Select **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.

To access the report, from **Check Processing Reports, Business Reports**, select **Organization Hierarchy Report.**

Organization Hierarchy Report

To view an Organization Hierarchy report, complete the following steps.

1. From the **Reports** tab, select **Check Processing Reports**. The *View Reports* page appears.
2. Under **Business Reports**, select **Organization Hierarchy Report**. The *Organization Hierarchy Report* parameters page appears.
3. Select an OTC Endpoint to initiate the report. The *Organization Hierarchy* report preview page appears as shown in Figure 8.

Figure 8: Organization Hierarchy Report Preview Page
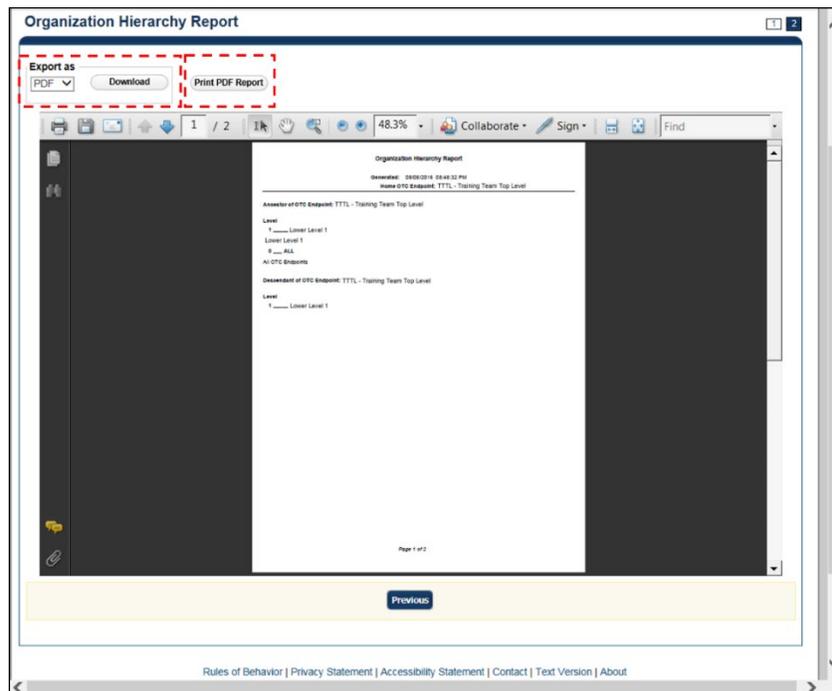
4. Under Export as,

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

        Or

    -   Select **Print PDF Report**

Additional Button

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

215 Deposit Ticket Report

The **215 Deposit Ticket Report**, also known as the SF215, is a daily report 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. Data for the report is available for a duration of one year.

To access the report, from **Check Processing Reports, Business Reports**, select **215 Deposit Ticket Report.**

215 Deposit Ticket Report

To view a 215 Deposit Ticket report, complete the following steps:

1. From the **Reports** tab, select **Check Processing Reports**. The *View Check Processing Reports* page appears.

2. Under **Business Reports**, select **215 Deposit Ticket Report**. The *215 Deposit Ticket* parameters page appears.

3. Enter the search criteria for the report you would like to view.

    Under **Report Filters**,

    - Select a **From** and **To** Start Date range
    - Select **Yes** to Include Subordinate OTC Endpoint

> **Application Tips**
>
> - The **From** and **To Start Date** range is searchable for a duration of up to 45 days. Data for the report is available for a duration of one year.
> - Select the **Yes** option to generate a report that contains data for lower-level OTC Endpoints.

4. Under **Expand All/Contract All**, select the **Plus Sign** ⊞ to expand the list of OTC Endpoints and locate the appropriate 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. Select an OTC Endpoint to initiate the report. The *215 Deposit Ticket Report* preview page appears as shown in Figure 9.

Figure 9: 215 Deposit Ticket Report Preview Page
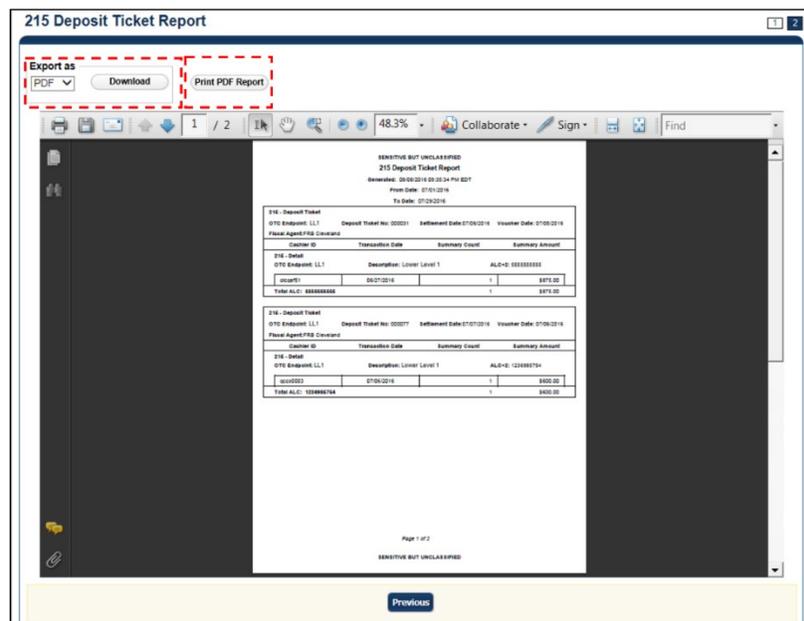
Application Tip

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**, **Word**, or **Excel** format
    - Select **Download**

        Or

    - Select **Print PDF Report**

Additional Button

Select **Previous** to return to the previous page.

5515 Debit Voucher Report

The 5515 Debit Voucher Report, also known as the SF5515 is a daily report 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. Data for the report is available for a duration of one year.

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.

To access the report, from **Check Processing Reports, Business Reports**, select **5515 Debit Voucher Report.**

5515 Debit Voucher Report

To view a 5515 Debit Voucher report, complete the following steps:

1. From the **Reports** tab, select **Deposit Processing Reports**. The *View Reports* page appears.
2. Under **Business Reports**, select **5515 Debit Voucher Report**. The *5515 Debit Voucher* parameters page appears.
3. Enter the search for the report you would like to view.

> Under **Report Filters**,
> *   Select a **From** and **To** Start Date range
> *   Select **Yes** or **No** to Include Subordinate OTC Endpoints.

Application Tips

*   The **From** and **To** Start Date range is searchable for a duration of up to 45 days. Data for the report is available for a duration of one year.
*   Select 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. Select the **No** option to generate a report that contains data only for the selected OTC Endpoint.
*   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.

4. Select an **OTC Endpoint** to initiate the report. The *5515 Debit Voucher* preview page appears as shown in Figure 10.

Figure 10: 5515 Debit Voucher Report Preview Page
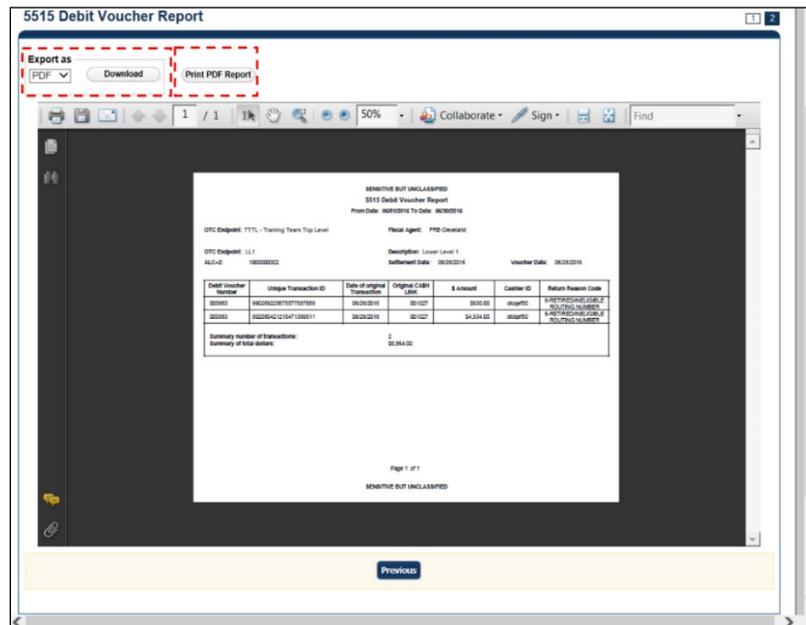
Application Tip

A 5515 Debit Voucher report will not generate for any day that is deemed a holiday during Monday-Friday hours.

5. Under Export as,

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

        Or

    - Select **Print PDF Report**

Additional Button

- Select **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.

To access the report, from **Check Processing Reports**, **Business Reports**, select **ACR Activity Report**.

ACR Activity Report

To search for ACR transactions, complete the following steps:

1. From the **Reports** tab, select **Check Processing Reports** and select **ACR Activity Report**. The *ACR Activity Report* page appears.

2. Enter the search criteria you would like to view.

> - Enter the **From** and **To** ACR Settlement date range
> - Select a **Report Type**
> - Select an **ACR Type**
> - Select an **ACR Reason Code**

Application Tips

- The maximum date range for the **From** and **To ACR (Adjustment, Correction, and Rescission) Settlemen**t range is 45 days.
- **Report Type** options include **Credit/Debit - ACR, Credit - ACR**, and **Debit - ACR**.
- **Search ACR Transaction** options include **All ACR, Adjustment, Correction**, and **Rescission**.
- **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**.

3. Select the **Yes** or **No** radio button to **Include Subordinates**

4. Select an **OTC Endpoint** to initiate the report. The *ACR* Activity *Report* preview page appears as shown in Figure 11.

Figure 11: ACR Activity Report Preview Page
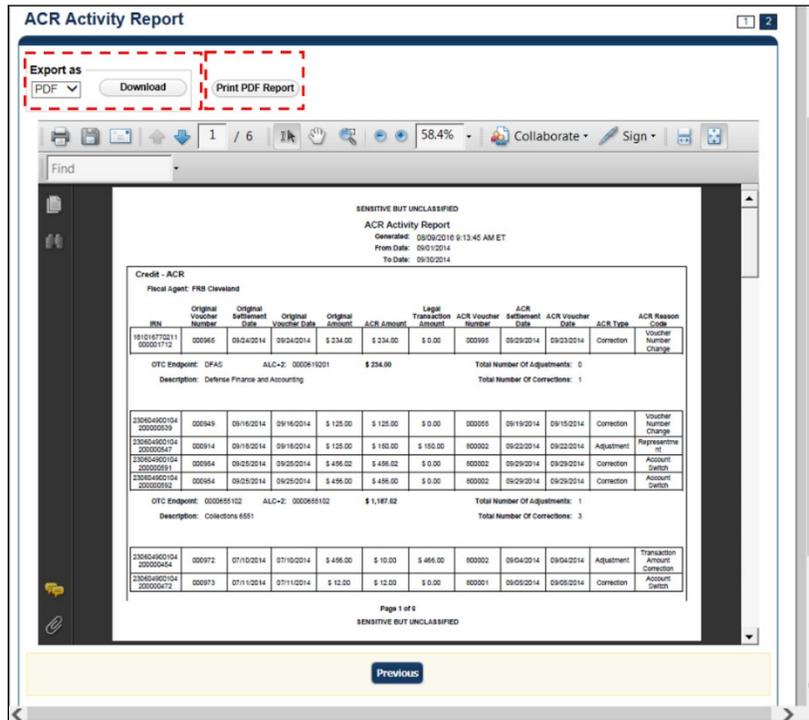
5. Under **Export as**,

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

            Or

    - Select **Print PDF Report**

Additional Button

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

Topic 4 Administration Reports

There are three Administration reports that you may have access to, depending on your role. As an **FMS Viewer**, you are authorized to access the **CIRA Transmission Summary**, **CIRA Transmission (Detailed) Summary**, and **View CIR Transmission Status for Check Processing** Administration reports (see Table 3 for details). To print a report output, right select 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	
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. To access the report, from **Check Processing Reports**, **Administration**, select **CIRA Transmission Summary Report.**

View CIRA Transmission Summary Report

To view a CIRA Transmission Summary report, complete the following steps:

1. From the **Reports** tab, select **Check Processing Reports**. The *View Check Processing Reports* page appears.

2. Under **Administration Reports**, select **CIRA Transmission Summary Report**. The *CIRA Transmission Summary Report* page appears.

3. Enter the search criteria for the report you would like to view.

    Under **Report Filters**, complete the following:
    - Select a **Date**
    - Select **Submit Request**. The *Transmission Files* table for the selected date appears.
    - Select **Yes** or **No** to Include Subordinate OTC Endpoints

💡 **Application Tips**

- The *Transmission Files* table lists all the transmissions for the selected date.
- Select 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.
  Select the **No** option to generate a report that contains data only for the selected OTC Endpoint
- 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.

4. Select an **OTC Endpoint** to initiate the report. The *CIRA Transmission Summary Report* preview page appears as shown in Figure 12.

Figure 12: CIRA Transmission Summary Report Preview Page

5. Under Export as,

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

        Or

   - Select **Print PDF Report**

Additional Button

   - Select **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. To access it, from **Check Processing Reports**, **Administration Reports**, select **CIRA Transmission (Detailed) Summary Report.**

CIRA Transmission Summary Report

To view a CIRA Transmission (Detailed) Summary report, complete the following steps:

1. From the **Reports** tab, select **Check Processing Reports**. The *View Check Processing Reports* page appears.

2. Under **Administration Reports**, select **CIRA Transmission (Detailed) Summary Report**. The *CIRA Transmission (Detailed) Summary Report* parameters page appears.

3. Enter the search criteria for the report you would like to view.

> Under **Report Filters**,
> - Select a **Date**
> - Select **Submit Request**. The *Transmission Files* table for the selected date appears.
> - Select **Yes** or **No** to Include Subordinate OTC Endpoints

 Application Tips

- The *Transmission Files* table lists all the transmissions for the selected date.
- Select 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. Select the **No** option to generate a report that contains data only for the selected OTC Endpoint.
- **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.

4. Select an **OTC Endpoint** to initiate the report. The *CIRA Transmission (Detailed) Summary Report* preview page appears as shown in Figure 13.

Figure 13: CIRA Transmission (Detailed) Summary Report

5. Under Export as,

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

            Or

    - Select **Print PDF Report**

Additional Button

Select **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.

To access the report, from **Check Processing Reports, Administration Reports**, select **View CIR Transmission Status for Check Processing**.

View CIR Transmission Status for Check Processing

To generate a View **CIR Transmission Status** for a Check Processing report, complete the following steps:

1. From the **Reports** tab, select **Check Processing Reports**. The *View Reports* page appears.

2. Under **Administration Reports**, select **View CIR Transmission Status for Check Processing**. The *View CIR Transmission Status for Check Processing* parameters page appears.

3. Select the **Transmission ID** to view the CIR transmission details or processing errors.

4. The CIR Transmission Status Export/Print Report preview page appears as shown in Figure 14.

Figure 14: CIR Transmission Status Export/Print Report Page

Under **Export as**,
- Select a **PDF**, **Excel** or **Word**
- Select **Download**

Or

- Select **Print PDF Report**

Additional Button

Select **Previous** to return to the previous page.

Topic 5 Scheduled Reports

Scheduled Reports are asynchronous reports that you can request in advance and review later. They include historical reports older than 18 months for check processing and 5 years for deposit processing.

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.

Here are some items to keep in mind for Scheduled Reports:

- Check Transactions with a received date older than the minimum data retention period, as specified by Fiscal Service, may not be displayed on the report as these transactions are eligible to be deleted. As a result, this queried check information may not be accessible and will be removed from the archival database.

- They are generated asynchronously (not occurring at the same time), allowing you to continue to use OTCnet.

- Depending on the volume of data requested, it can take between five to 20 minutes for the report to generate. As an **Agency Manager, Check Capture Administrator**, **MVD Editor**, **MVD Viewer**, or **FMS 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. Running a search without specifying any criteria other than an OTC Endpoint, will result in a search that includes 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 seven 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.

- OTCnet does not limit the number of rows that can be downloaded in a CIRA CSV Historical report. However, for Microsoft Excel 2010 or higher, you are authorized to view all records returned in a CIRA CSV *Historical* file up to approximately 1 million rows. For Microsoft Excel 2003, to 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

The CIRA CSV Historical Report allows you to review past exported data based on a query to a Comma Separated Value (CSV) report. To access the report, from **Scheduled Reports**, select **Generate Scheduled Reports, Check Processing Historical Reports**, select **CIRA CSV Historical Report.**

When selecting the **Received Date** radio button, consider the following information for 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.

When selecting the **Check Capture Date** radio button, consider the following information for the **Check Capture (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.

When selecting the **Settlement Date** radio button, consider the following information for the **Settlement (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 **Settlement Date**).

- If the **Settlement Date** radio button is selected, OTCnet does not validate any other date range values (**Received Date**, **Capture Date** or **Settlement Date**).

- **Settlement Date (From)** and **(To)** represents the date range when the check item was returned. **Settlement Date (On)** represents the single specific date the check item was returned.

- 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.

When selecting the **Return Settlement Date** radio button, consider the following information for the **Return Settlement (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.

CIRA CSV Historical Report

To view a CIRA CSV Historical report, complete the following steps:

1. From the **Reports** tab, select **Scheduled Reports.**

2. Select **Generate Scheduled Reports**.

3. 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.

4. Enter the search criteria for the report you would like to view.

- Select an **OTC Endpoint**, *required*
- Check/uncheck the **Include Subordinates** check box

Application Tips

- If you do not know the full name of the OTC Endpoint, enter a partial name search (as few as one letter) in the **Starts with** text box and select the **Select From List** icon (magnifying glass). The configured OTC Endpoints appear according to the user's access. Select the appropriate OTC Endpoint radio button.
- 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 Historical Report** search criteria, complete the following steps:

Under **CIRA CSV Historical Report**,
- Select a **Form Name**
- Select a **Deploy Date**

Application Tips

- 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.
- 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**
- Enter the **Account number**
- Enter the **Bank Routing Number**
- Enter the **IRN (Individual Record Number)**
- Enter the **Check Number**

Application Tips

- The **User Defined Fields** are visible based on the selected OTC Endpoint **Form Name** and **Deploy Date**.
- 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**
- Enter the **215/Deposit Ticket Number**
- Enter the **Cashier ID**
- Enter the **Batch ID**

Application Tips

- The **5515/Debit Voucher Number** represents items returned to agency due to unsuccessful collection efforts.
- The **2515/Deposit Ticket Number** represents items credited into FRB CA$HLINK for a given agency on a given day.
- 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.

Select the **Received Date**: radio button
- Select **From** and **To** Received Date range
  Or
- Select the **On** Received Date

  Or

Select the **Check Capture Date**: radio button
- Select **From** and **To** Check Capture Date range
  Or
- Select the **On** Check Capture Date

  Or

Select the **Settlement Date:** radio button
- Select **From** and **To** Settlement Date range
  Or
- Select the **On** Settlement Date

  Or

Select the **Return Settlement Date**: radio button
- Select the **From/On** Date range
- Select the **To** Date range
  Or

b. To query for an ACR transaction, complete the following steps:

- Select **CIRA CSV Historical Report - ACR** to expand the screen
- Select an **ACR Type**
- Select an **ACR Reason Code**
- Enter an **ACR Voucher Number**
- Enter the **From** and **To** ACR Settlement Range, *Required*

Application Tips

- 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.
- **Search ACR Transaction** options include **All ACR, Adjustment, Correction**, and **Rescission**.
- **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**.
- The maximum numeric characters value for **ACR Voucher Number** is six.
- 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.

6. Select **Submit Request**. A "*Your report request has been successfully received*" message appears as shown in Figure 15.

Figure 15: 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.

Additional Buttons

- Select **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Select **Clear** to clear all data fields and reset to the default selections.

Previously Generated Reports

Previously Generated reports are used to query records associated with batches that have a Received Date older than 18 months. Access these reports from Scheduled Reports and select **View Previously Generated Reports.**

Consider the following information when generating a Scheduled 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.

View Previously Generated Reports

To view previously generated reports, complete the following steps:

1. From the **Reports** tab, select **Scheduled Reports** and select **View Previously Generated Reports**. The *View Previously Generated Reports* page appears as shown in Figure 16.

Figure 16: View Previously Generated Reports

2. Select the **CSV icon** in the Download column to view your desired report. The report opens as a csv file.

💡 **Application Tips**

- Once the CSV file is downloaded, it can be opened using Excel or Notepad.
- 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.
- 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 when searching for results beyond the configured range.

3. Select **Open**, **Save**, or **Cancel**.

🖱 **Additional Button**

- Select **Open** and the file content displays.
- Select **Save** and choose the location for saving the file.
- Select **Cancel** and the dialog box closes. No data is saved.
- Select **Cancel** again to return to the OTCnet Home Page. No data is saved.

Summary

In this chapter, you learned:

- The purpose of accessing check processing reports
- How to view a CIRA Query
- How to view and download a CIRA CSV Report
- How to view and print a Check Image Report
- How to view and print an Agency CIRA Report
- How to view and print an 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 download Scheduled Reports

Chapter 7. Troubleshooting

OTCnet Participant User Guide

Table of Contents

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Glossary

Select this link to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

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

- How to resolve challenges transmitting and closing a batch
- Who to contact for access challenges
- 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:

1. Troubleshooting Overview
2. Challenges with Closing and Approving a Batch
3. Troubleshooting Scanner and Printer Issues
4. Troubleshooting Check Processing Error Messages
5. Challenges with Accessing OTCnet
6. Adjusting an Incorrect Entry
7. Refilling the 'Electronically Processed' Hand Stamp

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

Topic 1 Troubleshooting Overview

This section of the *Troubleshooting* Participant Guide supports challenges 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 unique circumstances.

Situations may occur that require assistance from your internal management, i.e., System Administrator or IT personnel. If the situation cannot be resolved internally using this guide, Agencies must can 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 via email at fiscalservice.OTCChannel@citi.com.

Topic 2 Challenges with Closing/Approving a Batch

If you cannot close a batch, verify the following:

- User roles have not changed. Contact the **Primary Local Security Administrator (PLSA)** to determine whether the user's role has been updated/changed. Have a different user, with Batch Management capabilities, log into and attempt to upload the batch. If the batch approval is successful, the user's role may have been modified. The user no longer has Close Batch responsibility. If needed, request that the user's role be updated to enable batch transmission.

- 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, contact Customer Support at 866-945-7920, or 302-323-3159, or military DSN at 510-428-6824, option 1, option 3, option 4.

Topic 3 Troubleshooting Scanner and Printer Issues

Properly Scan a Check

For all scanners, ensure that you have completed the following to properly scan a check:

- Remove all folds and creases

- Remove any paper clips and staples

- Ensure that checks are not stuck together

- Ensure that the check is dry

Scanner Challenges

As an example, if you are in single check mode, and you start the scan process and cancel the process to switch to batch mode, an issue may arise. It should not be an issue unless the scanner cable is disconnected after you switch to batch mode. If this occurs, the operator receives a scanner error. The only option is to select **OK** and cancel the scan. Once selected, a runtime error occurs, and the application shuts down. Ensure that the scanner cable remains connected.

Another example is, on a computer that has never accessed OTCnet before, upon entering Check Capture, a *[-20013] scanner error* may appear. This most likely occurs because the USB-connected scanner was connecting during the uploading or refresh of OTCnet and the scanner driver was not successfully installed. To correct it, follow these steps:

1. Ensure the USB scanner is connected to the computer you're connecting to OTCnet on.

2. From the Windows desktop, select the **Start** button. Select **Control Panel**.

3. If Control Panel is in **Category View**, select **Switch to Classic View** (upper left of the window).

4. Double-select on **Add Hardware**. The **Add Hardware Wizard** window appears. Select the **Next** button.

5. The wizard searches the computer for recently added hardware that hasn't yet been installed. It then asks if this hardware is already connected to the computer. Ensure the scanner is connected via an available USB port. Select *Yes, I have already connected the hardware*.

6. A list of installed hardware appears. A **USB device** should be at the top of the list, overlaid with a yellow question mark. Select this line and select **Next**.

7. The wizard may ask if it can connect to the internet and search Windows Update for a driver. Select **Yes**. You do not have to be connected to the internet. The wizard searches the computer for the driver and installs the scanner driver.

8. Select the **Finish** button. Close the **Control Panel**.

EC7000i Scanning Challenges

If the scanner does not respond, verify the following:

1. Ensure the cable that connects your scanner to your computer is properly connected to the correct port on the back of the scanner and computer.

2. Ensure that the correct power adaptor is connected to the unit. Change or replace the adaptor, if necessary.

An example of a scanner challenge is, when scanning items on your EC7000i scanner and you receive one long beep followed by five short beeps. If this happens, select **Cancel** to terminate the transaction and rescan the item. This sequence of beeps typically means the back of the check has not been scanned. You may also receive other unusual beeps or tones, indicating scan errors. Cancel the transaction and rescan the item. If necessary, the item can be voided.

An example of a scanner challenge is when the scanner beeps three times when scanning an image. If this happens, complete the following steps:

1. Place the check in the scanner with the MICR line of the check aligned with the right side of the scanner. 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 1. The scanner automatically pulls the check through to begin the scan.

Figure 1: Properly Scanning a Check

2. If the issue still exists, ensure the check does not contain creases, tears or marks, and that the MICR line is readable. If the MICR line is unreadable, 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. Attempt to scan the check again.

3. If there seems to be a different issue, try the following:

    *   Unplug the scanner from the outlet, wait five seconds and plug the cord back into the outlet.

    *   Attempt to scan the check at least two more times.

    *   Scan another check to determine if the issue is isolated to that check or, if there is a possible scanner issue.

4. If you cannot connect to the scanner or the scanner light is red, try the following possible solutions:

- Ensure that the cable is connected firmly to the back of the scanner and in the serial, or USB port, of the computer.

- Replace the scanner cable with the backup scanner cable.

- Ensure the cable is in the correct port on the scanner and laptop.

- Ensure that the correct COM port (only applies to serial connected scanners) is selected in the Check Capture System Administration. It can be found under configuration, the **Devices** tab.

- Ensure 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.

- Ensure the scanner is plugged in and the power strip is turned on (the amber light indicates that *power up* was successful).

5. If there are still issues, contact your System Administrator. If the System Administrator cannot resolve the issue, call Customer Support to determine if a replacement scanner must be ordered.

EC9100i Scanning Challenges

If the scanner does not respond, verify the following:

1. Ensure the cable that connects your scanner to your computer is properly connected to the correct port on the back of the scanner and computer.

2. Ensure that the correct power cord is connected to the unit. If your power cord has an on/off switch, make sure the switch is in the **On** position. Change or replace the cord, if necessary.

3. If there are still issues, contact your System Administrator. If the System Administrator cannot resolve the issue, call Customer Support to determine if a replacement scanner must be ordered.

4. Ensure that you adjust the exit extension or the pocket stop to fit the check that you are scanning. Checks can be damaged or jam in the scanner if the exit extension or pocket stop is not fitted to the check.

If the scanner beeps one time when scanning an image, the scanner was not successful in reading the MICR line. Ensure the check is placed into the feeder properly, with the MICR line at the bottom, facing toward the outside of the scanner.

Panini Scanning Challenges

One example of a Panini scanner issue is during the configuration process in OTCnet; no error will be presented in Devices Configuration is the 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*. To bring up the message again, select **OK**. 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 reads, *Problem detected, check scanner.* Ensure 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 issue that would cause the Panini to lose connection with OTCnet and require that it be disconnected rather than reconnected to the computer.

Another example of a Panini scanner issue is when 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 select **Cancel** on the error window. Check Capture is then ready for a new scan. Once the scanner's light is green, proceed to place the check into the feeder and select **Start Scan**. If the red light is flashing on the scanner, the scanner cannot 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: EC7000i Default Light and Sound Signals

Tone/Light	Meaning
One short beep LED is flashing green	The unit was successful in reading the MICR line.
Three short beeps LED is flashing red	The unit was not successful in reading the MICR line.
One long beep LED is flashing red	An error occurred during processing or storing of the captured image.
One long and five short beeps LED is flashing red	The scanner has failed to scan the back of the check.

Table 2: EC9100i Default Light and Sound Signals

Tone/Light	Meaning
LED is flashing red and green (after starting scanner)	The unit is being configured by the scanning application.
LED is green (solid)	The unit is ready and idle.
LED is green (flashing)	The unit is waiting for a check to be inserted for scanning.
LED is flashing red and green *(when scanning)*	The unit is scanning a check; the scanning operation is in progress.
One short beep	The unit was not successful in reading the MICR line.

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 must be processed through the Deposit Processing functionality.

Keypad/Scanner Challenges

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 select Cancel.

Printer Challenges

If experiencing printing issues, verify the following:

- The 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).
- Ensure the correct printer is selected from the OTCnet Devices Tab. See your IT personnel to have the printer added to your Windows operating system.
- The printer has paper.
- The printer is plugged in.
- The printer is online.
- The correct printer driver is installed.
- There is not paper jammed in the paper feed tray or the paper output tray.

If the issue still exists after verifying the items above, turn the printer off, wait 5 seconds, and turn it back on.

Contact your System Administrator if you cannot resolve the issue. Connect a local printer if the LAN connection cannot be resolved.

Topic 4 Troubleshooting Check Processing Error Messages

The following error messages may occur while performing check processing functions in OTCnet.

Table 3: 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] Select "Yes" to cancel the current and all remaining items. Select "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 4: 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 5: 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 is 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
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 you are experiencing additional issues, contact Customer Support 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 5 Challenges with Accessing OTCnet

If you are experiencing difficulties in accessing the OTCnet website, or obtaining images once on the OTCnet website:

- Attempt to access another website, to ensure that internet access is available.

- Shut the computer down. Restart it by selecting Windows **Start** and select **Shut Down**. Use the down arrow to choose **Restart**. Select **Ok** to restart the computer. Once the computer restarts, if you cannot access the site, and you verify that you can access other sites, contact your System Administrator.

- Ensure that you are accessing the correct url for the OTCnet website.

- If the application has a planned period of downtime, such as hardware or software upgrades, advance notice is provided to OTCnet customers via e-mail with the timeframe of the planned downtime. Contact the Treasury OTC Support Center to add names to the distribution list for these notifications. When the OTCnet application experiences unplanned outages (on rare occasions), e-mails are sent to the same distribution list to advise them of the outage and the expected time of resolution.

Topic 6 Adjusting an Incorrect Entry

The minimum limit for reporting items that must 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 must 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, you can:

1. Void the item and rescan, this time typing the correct dollar amount of the check.

2. 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.

If you are still having issues:

- 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.

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

Topic 7 Refilling the Electronically Processed Hand Stamp

If your agency uses Panini scanners, use the electronically processed hand stamp to stamp checks after processing. The hand stamp is used to stamp the words *Electronically Processed* on each check, once processed. The EC7000i scanners are setup to automatically stamp the checks using the scanner's franking functionality.

When the hand stamp needs to be refilled, follow these steps (see Figure 2, Figure 3 and Figure 4).

1. Press the white section down just a bit, then push the two buttons located on either side of the stamp until they lock. This sets the swivel stamp in a locked position, as shown below.

Figure 2: Step 1: Refill Hand Stamp

2. Gently push on the black ridge section (the ink pad has black ridges that run lengthwise), using a pencil or ruler, to slide the ink pad out of the stamping device. The ink pad slides all the way out of the stamp.

Figure 3: Step 2: Refill Hand Stamp

3. Add ink drops onto the ink pad.

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Figure 4: Step 3: Refill Hand Stamp

4. Slide the ink pad back in, as far as it goes, 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 on a piece of paper.

Summary

In this chapter, you learned:

- How to resolve challenges transmitting and closing a batch

- Who to contact for access issues

- How to handle scanner issues

- How to decipher OTCnet error messages

- How to refill the *Electronically Processed* hand stamp

Chapter 8. Appendix

OTCnet Participant User Guide

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Glossary

Click this link to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

Welcome to the *Appendix*. In this chapter, you will learn about:

- Administrative detail for cost, paperwork, policy, training and customer service
- Password requirements
- How to resolve check Image quality
- How to query within Central Image Research Archive (CIRA)
- How to access the CIRA Comma Separated Value (CSV) File
- How to access the Master Verification Database (MVD)
- How to establish check representments
- The procedure for returning equipment
- How to verify check capture return codes
- Guidance for OTCnet Security

Topics

This chapter is organized by the following appendixes:

1. Appendix A. Administrative Notes
2. Appendix B. Password Requirements
3. Appendix C. Image Quality
4. Appendix D. Central Image Research Archive (CIRA) Query
5. Appendix E. CIRA CSV File Overview
6. Appendix F. Master Verification Database (MVD)
7. Appendix G. Representments
8. Appendix H. Equipment Returns
9. Appendix I. OTCnet Check Capture Return Codes
10. Appendix J. OTCnet Security

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

Topic 1 Appendix A. Administrative Notes

Cost

The Agency 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 check scanner models supported are the RDM EC7000i and EC9100i; as well as the Panini MyVision Batch scanner models X-30, X-60, or X-90; Panini Vision X; and Panini I: Deal. All other computer hardware is purchased through another vendor or by contacting an OTCnet Deployment Specialist. The United States Department of Treasury/Bureau of the Fiscal Service (BFS) pays all other fees associated with the program, so there are no hidden software purchase costs or transaction fees.

Minimal Paperwork

Agencies must submit a signed Agency Agreement (AA), Agency Participation Agreement (APA) and 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 supports automation of an Agency check cashing/collection policy. The endpoint policy is based on 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 Master Verification Database (MVD) restricts the display of data based on the endpoint of the user. A user only sees records that 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 printable job aids. It is recommended that you access the WBT and Participant User Guides before using OTCnet and before contacting your Treasury OTC Support Center Deployment Specialist 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 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

For phone numbers and email addresses, 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.

Topic 2 Appendix B. Password Requirements

Password requirements are implemented as a security measure.

- End users will set up their own passwords to login to OTCnet Online application through the Configuration Service Provider (CSP) **ID.me.**
    - o If end users forget their password, and they are <u>not</u> using a **PIV/CAC**, they will go through **ID.me** to reset their passwords.
- OTCnet specific passwords only apply to the following:
    - o Logging into OTCnet Local Bridge
    - o Online Supervisor Override
- Password requirements include:
    - o Passwords must be at least **12** characters long.
    - o Passwords have a maximum limit of **64** characters
    - o Password cannot be the word *password* and cannot be the same as the user login
    - o Passwords are case-sensitive
    - o Passwords must be unique from the previous ten passwords used for each user
    - o Passwords must not have been used in the last 10 days
    - o Passwords must not have more than two repeating characters
    - o Passwords must not be shared with other users or put in a written, unsecured form
    - o Passwords must not be a word in a language, slang, dialect or jargon
    - o Passwords must not be related to personal identity, history, environment or other personal associations
- Single Sign On (OTCnet login window) suspends a user's access to the system after three unsuccessful login attempts.
    - o The OTCnet system settings default is set to three unsuccessful login attempts before suspension and cannot be customized

Topic 3 Appendix C. Image Quality

The scanner functionality has a feature that verifies the image quality of every check scanned. Agencies can, however, choose to override a poor quality image. Agencies must be aware that overriding a poor quality image may result in a returned item, depending upon the paying financial institution. Figure 1 illustrates a poor-quality image, Figure 2 presents a good image and Figure 3 presents an *Image Quality Failed* message.

Figure 1. Poor Image Quality
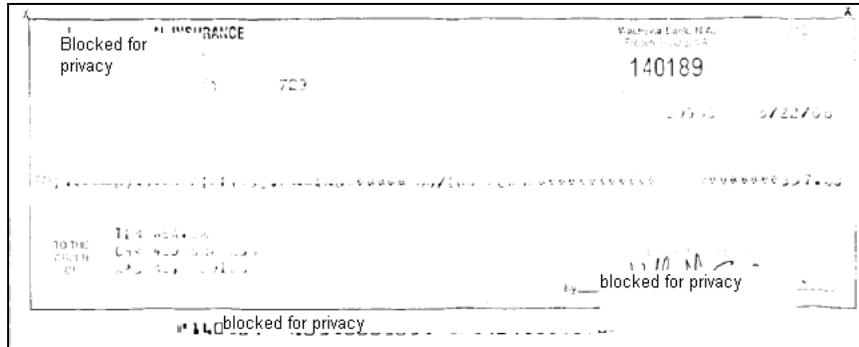
Figure 2. Good Image Quality
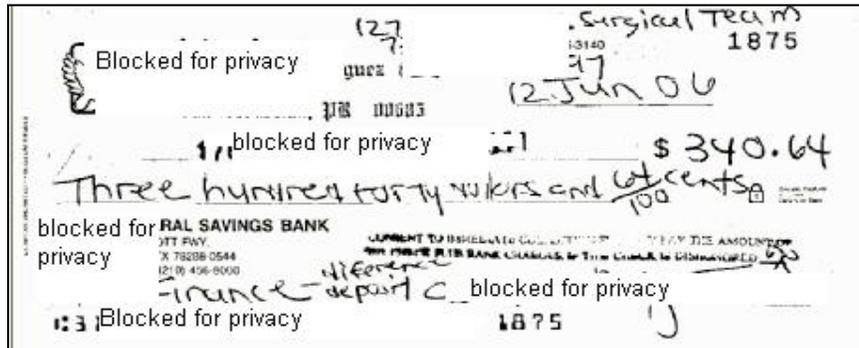
Figure 3. Image Quality Failed Message
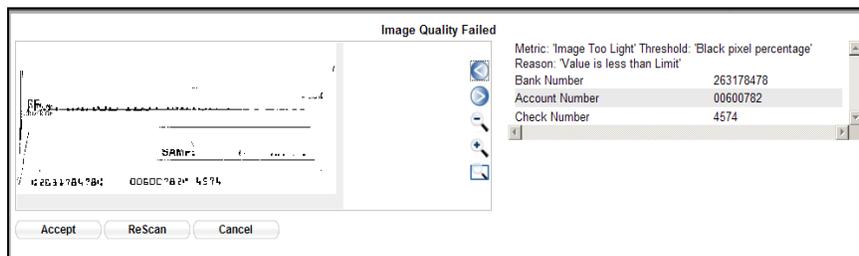
Topic 4 Appendix D. Central Image Research (CIRA) Query

The Central Image Research Archive (CIRA), as shown in Figure 4, is the central database where all check images are stored for seven years after the initial scan and processing in OTCnet.

Figure 4. CIRA Query Image

As a **CIRA Viewer**, **MVD Viewer** and **MVD Editor**, you are authorized to utilize the CIRA query function in OTCnet to search for and locate checks.

Topic 5 Appendix E. CIRA CSV File Overview

Introduction

As an OTCnet user, you may have 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

In OTCnet, the following updates were made to the file format:

1. The column which was titled **Location** in PCC OTC is now called **OTC Endpoint**. This column is now populated with the OTC Endpoint short name.

2. The column which was titled **Check Type** in PCC OTC is now called **Item Type**.

3. Two additional columns were added to the CSV report generated in OTCnet.

    -   A column entitled **Agency Location Code plus 2 (ALC+2)**. The ALC+2 column is automatically populated with the ALC+2 that was selected for the submitted item*

    -   A column entitled **Return Settlement Date**. The Return Settlement Date column is automatically populated with the effective date of settlement of the returned check item

* Endpoints that were migrated from PCC OTC may contain the same value for OTC Endpoint and ALC+2. This is not an error and does not interfere with the data generated by this report.

Layout

The CIRA CSV report consists of multiple lines, defined as follows:

-   Each line is terminated by a carriage return followed by a new line (0D0A)

-   The first five lines always existed. 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*:

-   Individual Reference Number (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

*Some labels in the CSV report appear slightly different than they do in other parts of OTCnet. This does 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 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	BLANK	Report Title	String	CSV Agency Detailed Item Report	Report Title Constant
2	BLANK	Date/Time	String	Thu May 05 12:27:53 EDT 2005	Date that the report was executed
3	BLANK	Total Amount	String	TOTAL AMOUNT :	Constant String
3	BLANK	Total Amount Value	Float	39594.43	Total dollar amount of the items queried
4	BLANK	Total number of items	String	TOTAL NUMBER OF ITEMS :	Constant String
4	BLANK	Total number of items value	Number	81	Number of items queried
4a	BLANK	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	BLANK	IRN	String	IRN	Constant String column header, value of the IRN
5	BLANK	OTC ENDPOINT	String	OTC ENDPOINT	Constant String column header, ALC+2
5	BLANK	ALC + 2	String	ALC + 2	Constant String column header, ALC + 2
5	BLANK	CAPTURE DATE	String	CAPTURE DATE	Constant String column header, Time the image and data was originally captured
5	BLANK	RECEIVE DATE	String	RECEIVE DATE	Constant String column header, Time the data was processed by OTCnet
5	BLANK	TRANSIT NUMBER	String	TRANSIT NUMBER	Constant String column header, Routing number parsed from RAW MICR

Line Number	Field Number	Name	Type	Format/Sample	Description
5	BLANK	CHECK NUMBER	String	CHECK NUMBER	Constant String column header, Check number parsed from RAW MICR
5	BLANK	ACCOUNT	String	ACCOUNT	Constant String column header, Account number parsed from RAW MICR
5	BLANK	AMOUNT	String	AMOUNT	Constant String column header, Amount of the payment
5	BLANK	CASHIER ID	String	CASHIER ID	Constant String column header, Value provided by A L C+2 for the operator id
5	BLANK	ITEM TYPE	String	ITEM TYPE	Constant String column header, Item Type – either "Personal" or "Non-Personal"
5	BLANK	PROCESSING METHOD	String	PROCESSING METHOD	Constant String column header, Processing Method – 3 options "Customer Not Present", "Customer Present" or "Back Office"
5	BLANK	BATCH ID	String	BATCH ID	Constant String column header. Batch containing the IRN
5	BLANK	SETTLEMENT DATE	String	SETTLEMENT DATE	Constant String column header. Settlement Date
5	BLANK	RETURN SETTLEMENT DATE	String	RETURN SETTLEMENT DATE	Constant String column header. Return Settlement Date
5	BLANK	DEBIT VOUCHER NUMBER	String	DEBIT VOUCHER NUMBER	Constant String column header. Debit Voucher Number
5	BLANK	DEPOSIT TICKET NUMBER	String	DEPOSIT TICKET NUMBER	Constant String column header. Deposit Ticker Number
5	BLANK	USER FIELD 1	String	USER FIELD 1	Constant String column header
5	BLANK	USER FIELD 2	String	USER FIELD 2	Constant String column header
5	BLANK	USER FIELD 3	String	USER FIELD 3	Constant String column header
5	BLANK	USER FIELD 4	String	USER FIELD 4	Constant String column header
5	BLANK	USER FIELD 5	String	USER FIELD 5	Constant String column header
5	BLANK	USER FIELD 6	String	USER FIELD 6	Constant String column header
5	BLANK	USER FIELD 7	String	USER FIELD 7	Constant String column header
5	BLANK	USER FIELD 9	String	USER FIELD 9	Constant String column header
5	BLANK	USER FIELD 10	String	USER FIELD 10	Constant String column header

Line Number	Field Number	Name	Type	Format/Sample	Description
5	BLANK	USER FIELD 11	String	USER FIELD 11	Constant String column header
5	BLANK	USER FIELD 12	String	USER FIELD 12	Constant String column header
5	BLANK	USER FIELD 13	String	USER FIELD 13	Constant String column header
5	BLANK	USER FIELD 14	String	USER FIELD 14	Constant String column header
5	BLANK	USER FIELD 15	String	USER FIELD 15	Constant String column header
5	BLANK	USER FIELD 16	String	USER FIELD 16	Constant String column header
5	BLANK	USER FIELD 17	String	USER FIELD 17	Constant String column header
5	BLANK	USER FIELD 18	String	USER FIELD 18	Constant String column header
5	BLANK	USER FIELD 19	String	USER FIELD 19	Constant String column header
5	BLANK	USER FIELD 20	String	USER FIELD 20	Constant String column header
5	BLANK	USER FIELD 21	String	USER FIELD 21	Constant String column header
5	BLANK	USER FIELD 22	String	USER FIELD 22	Constant String column header
5	BLANK	USER FIELD 23	String	USER FIELD 23	Constant String column header
5	BLANK	USER FIELD 24	String	USER FIELD 24	Constant String column header
5	BLANK	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	BLANK	VOUCHER DATE	String	VOUCHER DATE	Constant String column header, Time the voucher was originally created
5	BLANK	ACR TYPE	String	ACR TYPE	Constant String, column header containing the ACR Type
5	BLANK	ACR REASON CODE	String	ACR REASON CODE	Constant String, column header containing the ACR Reason Code
5	BLANK	ACR ALC	String	ACR ALC	Constant String, column header containing the ACR ALC
5	BLANK	ACR ALC+2	String	ACR ALC+2	Constant String, column header containing the ACR Endpoint
5	BLANK	ACR VOUCHER DATE	String	ACR VOUCHER DATE	Constant String, column header containing the ACR Voucher Date

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Line Number	Field Number	Name	Type	Format/Sample	Description
5	BLANK	ACR VOUCHER NUMBER	String	ACR VOUCHER NUMBER	Constant String, column header containing the ACR Voucher Number
5	BLANK	ACR SETTLEMENT DATE	String	ACR SETTLEMENT DATE	Constant String, column header containing ACR Settlement Date
5	BLANK	ACR CREDIT INDICATOR	String	ACR CREDIT INDICATOR	Constant String, column header containing either Credit or Debit
5	BLANK	ACR AMOUNT	String	ACR AMOUNT	Constant String, column header containing the ACR amount
5	BLANK	Legal TRANSACTION AMOUNT	String	Legal TRANSACTION AMOUNT	Constant String, column header containing the Legal Transaction Amount
5	BLANK	Blank Field (25)	N/A	BLANK FIELD 25	BLANK

Sample File Layout

The following is a sample file layout with details starting at Line Number 5:

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

Field Number	Name	Type	Sample value
	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
	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

CSV File Sample

The text below presents a sample of the CSV file report:

"CSV Agency Detailed Item Report"

"Thu Oct 06 11:17:23 EDT 2011"

"TOTAL AMOUNT : ","38509.00"

"TOTAL NUMBER OF ITEMS : ","2"

"IRN","OTC ENDPOINT","ALC + 2","CAPTURE DATE","RECEIVE DATE","TRANSIT NUMBER","CHECK NUMBER","ACCOUNT","AMOUNT","CASHIER ID","ITEM TYPE","PROCESSING METHOD","BATCH ID","SETTLEMENT DATE","RETURN SETTLEMENT DATE","DEBIT VOUCHER NUMBER","DEPOSIT TICKET NUMBER","User Field 1","User Field 2","User Field 3","User Field 4","User Field 5","User Field 6","User Field 7","User Field 8","User Field 9","User Field 10","User Field 11","User Field 12","User Field 13","User Field 14","User Field 15","User Field 16","User Field 17","User Field 18","User Field 19","User Field 20","User Field 21","User Field 22","User Field 23","User Field 24"

"13154124770015865281","DG1","1000000001","2011-09-07 12:21:17","2011-09-07 12:20:59","044000024","111","111111","11.11","otcqef50","Non Personal","Customer Present","1C111D1E-C111-1111-BC11-1CD11111ADBA","2011-09-12 00:00:00","null","null","000973","345345333","null"

"13154267000015865281","DG1","1000000001","2011-09-07 16:18:20","2011-09-07 16:18:07","073903503","00000013","1111","11.11","otcqef50","Personal","Customer Present","1C111D1E-C111-1111-BC11-1CD11111ADBA","2011-09-14 00:00:00","null","null","000973","234234223","null"

Topic 6 Appendix F. Master Verification Database (MVD)

The Master Verification Database (MVD) as shown in Figure 5 provides the information required to ensure a presented check is acceptable. It supports the Agency in determining the history of a particular check writer, managed by a MVD Editor.

Figure 5. Manage Verification Tab
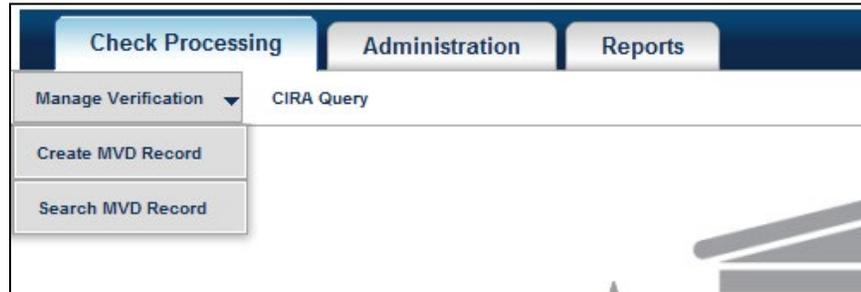
The verification database is an optional online database that maintains the agency hierarchy check cashing policy, dishonored check information, and manually entered blocked items based on Agency policy.

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.

Topic 7 Appendix G. Representment

Figure 6 illustrates the representment flow for checks that are not accepted the first time.

Figure 6. Transaction Status Codes
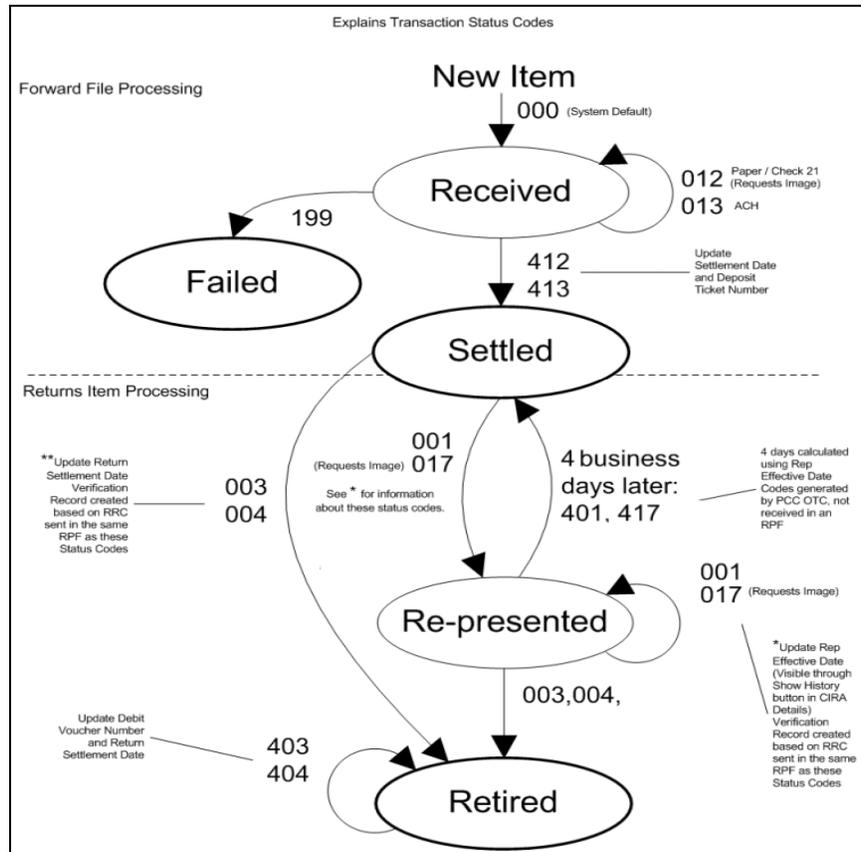
Topic 8 Appendix H. Equipment Returns

If there are issues with the OTCnet equipment 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, contact the vendor for warranty and/or repair information.

Contact 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 provides 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, purchase insurance for the equipment's full dollar value. Include a note explaining the reason for return (i.e., describing the damaged or defective equipment).

If the warranty has expired on the check capture equipment, call the Vendor Point-of-Contact for further instructions or discuss the possible purchase of new equipment with your Deployment Specialist.

Topic 9 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 Table 3).

Table 3. ACH Return Reason Codes

Return Reason Code (RRC)	Description
R01	Insufficient funds
R02	Account closed
R03	No account/unable to locate account
R04	Invalid account number
R05	Unauthorized debit to consumer account using corporate SEC Code
R06	Returned per Originating Depository Financial Institution's request
R07	Authorization revoked by customer
R08	Payment stopped
R09	Uncollected funds
R10	Customer advises not authorized
R11	Check truncation entry return
R12	Branch sold to another Depository Financial Institution
R13	RDFI not qualified to participate a (ACH operator initiated)
R14	Representative Payee (account holder) deceased or unable to continue in that capacity
R15	Beneficiary or account holder (other than a representative payee) deceased
R16	Account frozen
R17	File record edit criteria
R18	Improper effective entry date (ACH operator initiated)
R19	Amount field error (ACH operator initiated)
R20	Non-transaction account
R21	Invalid company identification
R22	Invalid individual ID number
R23	Credit entry refused by receiver
R24	Duplicate entry
R25	Addenda Error
R26	Mandatory Field Error
R27	Trace Number Error
R28	Routing Number Check Digit Error
R29	Corporate customer advises not authorized (CCD)
R30	RDFI Not Participant in Check Truncation Program
R31	Permissible return entry (CCD)
R32	RDFI Non-Settlement
R33	Return of XCK Entry
R34	Limited Participation DFI

Return Reason Code (RRC)	Description
R35	Return of Improper Debit Entry
R36	Return of Improper Credit Entry
R37	Source document presented for payment (adjustment entries) (ARC)
R38	Stop payment on source document (adjustment entries)
R39	Improper Source Document
R40	Non Participant in ENR Program
R41	Invalid Transaction Code (ENR only)
R42	Routing Number/Check Digit Error
R43	Invalid DFI Account Number
R44	Invalid Individual ID Number
R45	Invalid Individual Name
R46	Invalid Representative Payee Indicator
R47	Duplicate Enrollment
R50	State Law Prohibits Truncated Checks
R51	Notice not provided/Signature not authentic/ Item altered/Ineligible for conversion
R52	Stop Pay on Item
R53	Item and ACH Entry Presented for Payment
R61	Misrouted Return
R67	Duplicate Return
R68	Untimely Return
R69	Field Errors
R70	Permissible Return Entry Not Accepted
R71	Misrouted Dishonor Return
R72	Untimely Dishonored Return
R73	Timely Original Return
R74	Corrected Return
R75	Original Return not a Duplicate
R76	No Errors Found
R80	Cross-Border Payment Coding Error
R81	Non-Participant in Cross-Border Program
R82	Invalid Foreign Receiving DFI Identification
R83	Foreign Receiving DFI Unable to Settle
R84	Entry Not Processed by OGO (Originating Gateway Operator)

Check 21 Return Codes

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 Table 4).

Table 4. Check 21 Return Codes

Return Code	Description
A	Not Sufficient Funds
B	Uncollected Funds Hold
C	Stop Payment

Return Code	Description
D	Closed Account
E	Unable to Locate Account
F	Frozen/Blocked Account
G	Stale Dated
H	Post Dated
I	Endorsement Missing
J	Endorsement Irregular
K	Signature(s) Missing
L	Signature(s) Irregular
M	Non Cash Item
N	Altered/Fictitious Item
O	Unable to Process
P	Item Exceeded Dollar Limit
Q	Not Authorized
R	Branch/Account Sold
S	Refer to Maker
T	Stop Payment Suspect
U	Unusable Image
V	Image Fails Security Check
W	Cannot Determine Account
Y	Duplicate Presentment
Z	Forgery - An affidavit shall be available upon request to the OTCnet database

Items 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 I lists and describes transaction status codes applied in OTCnet during forward file and return processing (see Table 5).

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.

Transaction Status Code	Description	System Action
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 following check types:

    - Corporate check

    - Consumer POP (customer present)

    - Consumer ARC (customer not present)

    - Back Office – BOC

- Items can be settled as one of the following:

    - 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 and 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, typically 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 assumes that all money can be collected for the items sent in a forward file .

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 is 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 representment, the item is retired in OTCnet. Paper items can only be represented once and are retired in OTCnet upon the second representment. Endpoints can also choose not to have items in representment, in which case an item would just retire.

- Code 017 updates the status code to represented and generates 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 sent. This file does not contain return reason codes. Transaction status codes in this Return Processing File start with the number 4, indicating that the item is completed and in its final state.

- Codes 403, 404 and 409 (refer to Table 1) are already in a retired state. 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 return items drawn on retired routing transit numbers (RTN) directly to the bank of first deposit. This results in the items being returned to the bank of first deposit, generally the same day they are deposited with the Reserve Banks. Debit Gateway uses return reason code **6 – Retired/Ineligible Routing Number**.

Topic 10 Appendix J. OTCnet Security

Purpose

This section provides best practices for the OTCnet system, to 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 must take Treasury security best practices into consideration. 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 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 critical that this data is 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 OTCnet users and specify access rights/privileges. Access is granted to OTCnet based on a valid need-to-know/need-to-share basis, 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 must 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. This eliminates 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.

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- 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 OTCnet must 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 three.

- Review and certify OTCnet users annually. 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; Federal Information Processing Standards ([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 all 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 in 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 issues encountered during plan implementation, execution, or testing.

- Agencies identify an alternate storage site and initiate 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 initiate 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 alternative telecommunications services to support the OTCnet system. They also initiate 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 must determine the

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appropriate frequency of these backups. Backup and restoration of this data is part of the contingency testing plan.

- 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 annually 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 must 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, 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 takes 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 must keep an inventory of the OTCnet hardware and software. This inventory includes manufacturer, type, serial number, version number, and endpoint (physical and logical within the architecture). Keep this inventory current and document changes.

- OTCnet security settings must default 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 list of all settings that are set to the recommended defaults, as follows:

  - Only the designated Point of Contact (POC), or security contacts, are be allowed access to the OTCnet SAT.

  - The activity log must be regularly reviewed for suspicious activity. You must respond to evidence or indicators of increased risks to the OTCnet system and associated information with aggressive audit monitoring, more frequent reviews 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.

- Removing sensitive information from the OTCnet system components (if feasible) is required 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 a CD or an external hard drive, and deleting OTCnet from the computer. Once repairs are complete, the data can be restored. Secondary storage devices that contain sensitive data (i.e., flash drives, zip disks, CD-ROMs, and smart cards) must 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 authorized personnel are allowed access to perform system maintenance.

In Summary

- Regularly scheduled preventative maintenance must be performed on 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 must 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) must 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 must 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 must be updated when 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 verify 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 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) must 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 must be applied.

- Only authorized personnel can have access to the OTCnet system. If using backup personnel to perform OTCnet duties, backups must be issued their own unique email address and password. Passwords should never be shared under any circumstances.

- Verification practices must be used to ensure accuracy of input.

- To prevent duplicate check processing, checks may be hand stamped with 'Electronically Processed' after the transaction is complete and the check has been scanned. The EC7000i and EC9100i 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, including check images, the OTCnet media that stores this information is considered PII and must be secured. The OTCnet media that must be protected includes 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

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- 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 in the event 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 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 can 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 the OTCnet 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 typically involves the use of a password. If the additional level of encryption cannot be removed, OTCnet is unable to read the batch data and the batch recovery function fails.

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 must be familiar with the password requirements.
- Users must be familiar with the OTCnet Security Guidelines.

In Summary

Information that is covered in the OTCnet Security Awareness Training must include:

- Entering new passwords - prevent others from watching. Prevent others from guessing your password - do not use names of persons, places, or things that can be easily identified with you.

- Passwords - they must never be shared.

- Compromised passwords - 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.

- Logging off from the system must be completed when you leave your computer unattended. Click on the 'Logout' button on the menu or click the 'X' at the upper right corner of the screen to prevent unauthorized access to the system.

- Security contacts or POCs must 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.

- OTCnet security personnel, or POC's must be trained on the proper handling of a user and its associated password. Proper handling includes writing down the password and locking it up. It should only be available to the POC.

- Users must be familiar with the Rules of Behavior, Privacy Statement, and Accessibility Statement prior to using the system. They can be found as links on OTCnet.

Summary

In this chapter, you learned:

- Administrative details for costs, paperwork, policy, training and customer service
- Password requirements
- How to resolve check Image quality
- How to query within CIRA
- How to access the CIRA CSV File
- How to access the MVD
- How to establish check representments
- The procedure for returning equipment
- How to verify check capture return codes
- Security best practices for the OTCnet system
- Guidance for OTCnet Security

Chapter 9. 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 and use EC7000i* series and EC9100i series scanners

- How to install and use EC9600i series and EC9700iseries scanners

  *Note: OTCnet currently does not support EC7500i series

EC7000i and EC7500i
Series Scanners
User Guide

January 2018

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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@deluxe.com

Contents

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.

Type A

Type B

Printer

Document
insertion slot

Document
insertion slot

Magnetic
stripe reader
(MSR)

Scanner status
LED light

Scanner status
LED light
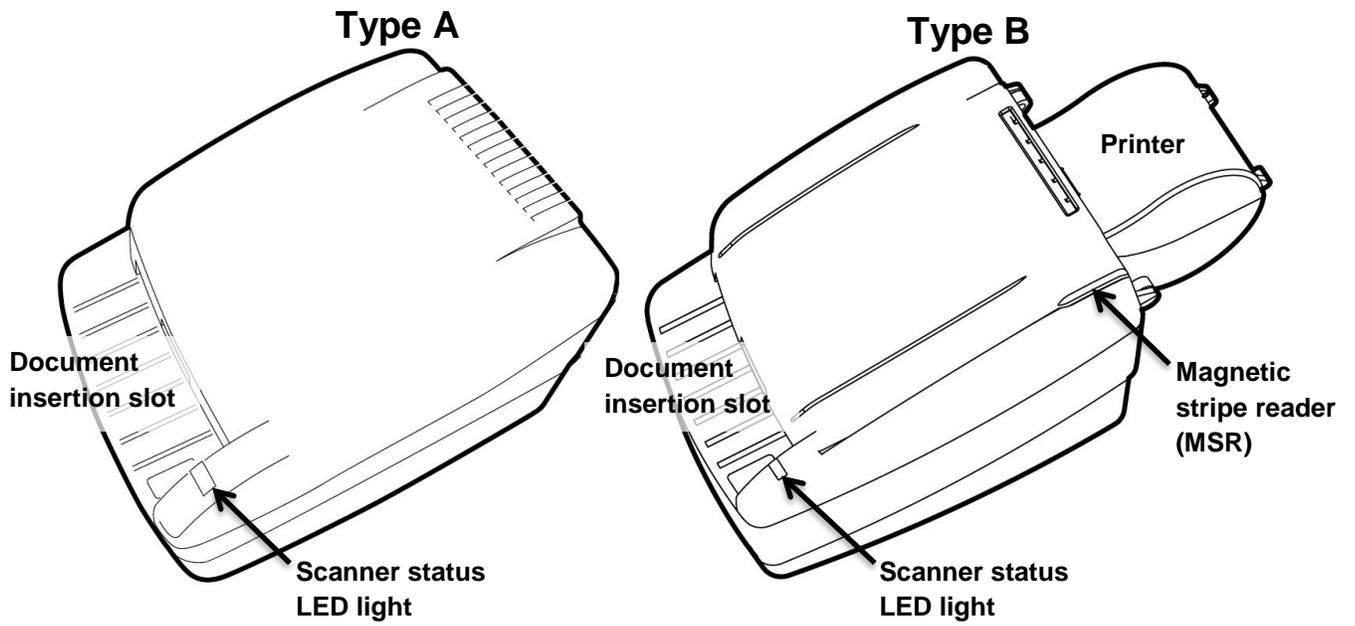
Inside EC7000i and EC7500i series scanners

Cover latch

Outside cover in raised position

Image frame in raised position

Image sensor

Document sensors

Document feed plate. To access the franking printer assembly, you must remove this plate.
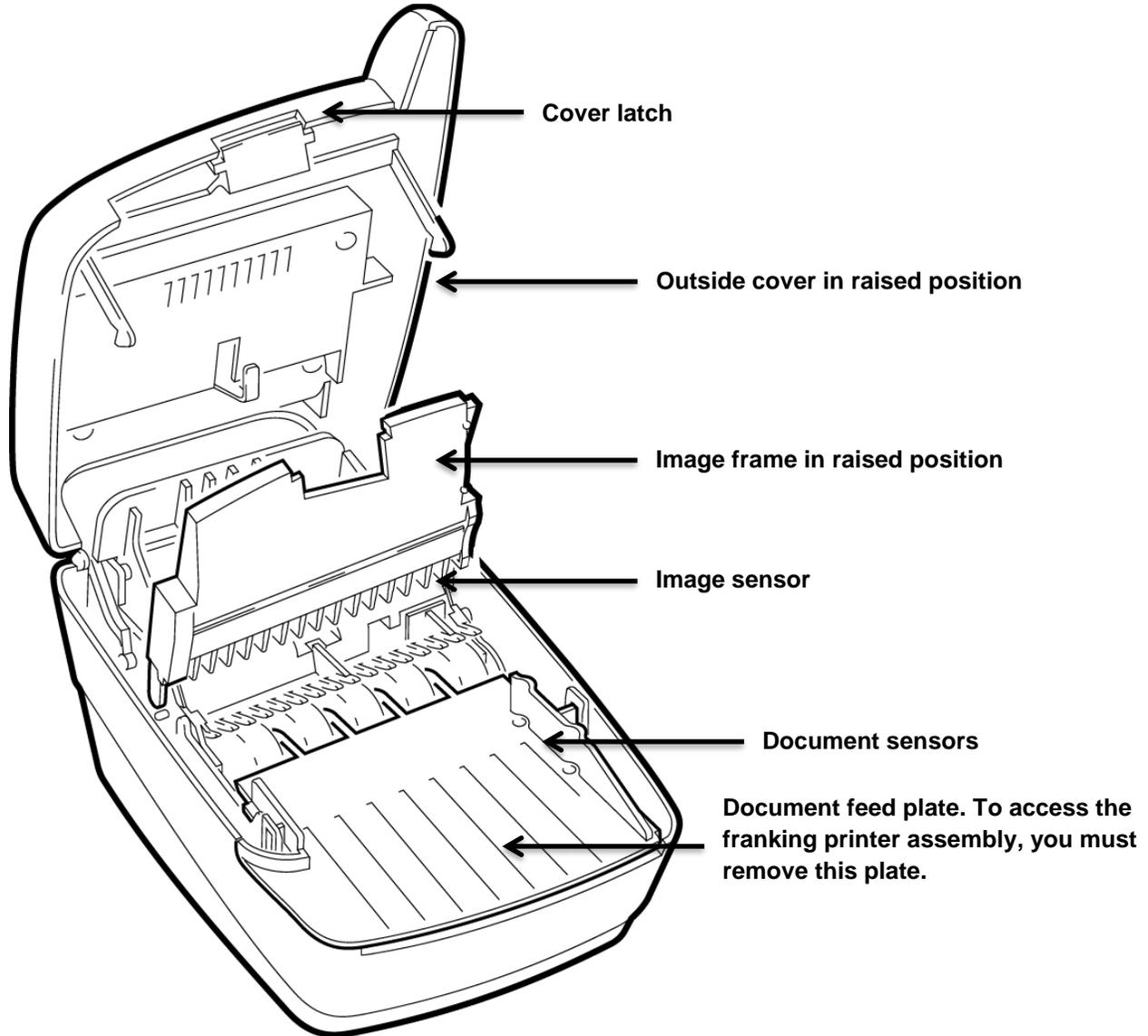
Connection ports

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
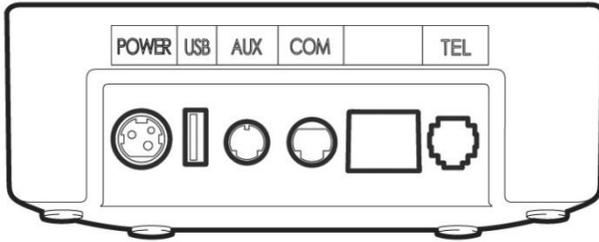
The following table describes the scanner ports, from left to right:

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
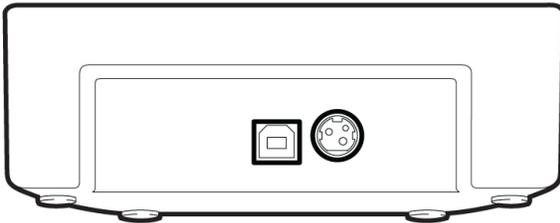
The following table describes the scanner ports, from left to right:

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.

Operating the scanner

Preparing checks

To reduce the possibility of errors and damage to the unit, you should:

- Remove all folds and creases in the check.
- Remove any paper clips and staples from the check.
- Make sure that checks are dry

Feeding checks

The scanner unit is ready to accept checks when the LED is green. Insert the check in the following way:

- Flush to the right side of the scanner.
- Information-side facing up.
- MICR line to the right.

CAUTION: Do not open the cover or otherwise try to access the inside of the unit while it is in the process of scanning a check.
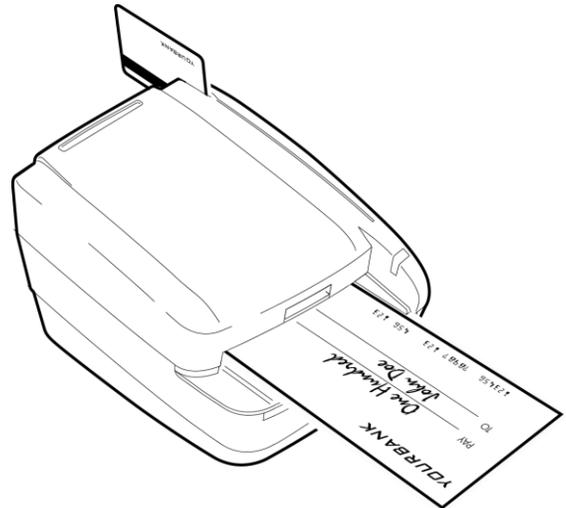
Swiping magnetic stripe cards

Swipe the credit card with the black, magnetic stripe facing downward, and to the left.

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.

Cleaning your scanner

RDM recommends that you periodically clean the scanner to remove dust, ink and debris build-up to ensure optimal performance and extended scanner life. Please follow the cleaning methods provided below.

There are two ways to clean your RDM scanner:

- Use the RDM ScannerCare application installed on your computer.
- Follow the instructions provided in *Manual cleaning* on page 19.

Cleaning the scanner with the RDM ScannerCare application

If you cannot find the ScannerCare program, you can clean your scanner manually. See *Manual cleaning* on page 19.

1. Run the ScannerCare program:
   - Search your computer for "ScannerCare", and run the ScannerCare application.
2. Select the "ScannerCare" tab.
3. Select the "Clean scanner" sub-tab:

4. Choose to run either the cleaning card only, or run a full cleaning cycle.
5. Perform each step. Click on each step as needed, and follow the instructions.
    a. Click the "Run step" button to begin the step.
    b. When the step is completed, click the "Mark step as complete" button.
    c. Click on either the next step, or the "Next Step" button to advance to the next step.
    d. Continue until all steps are completed.

6. Select the "View cleaning summary" sub-tab:
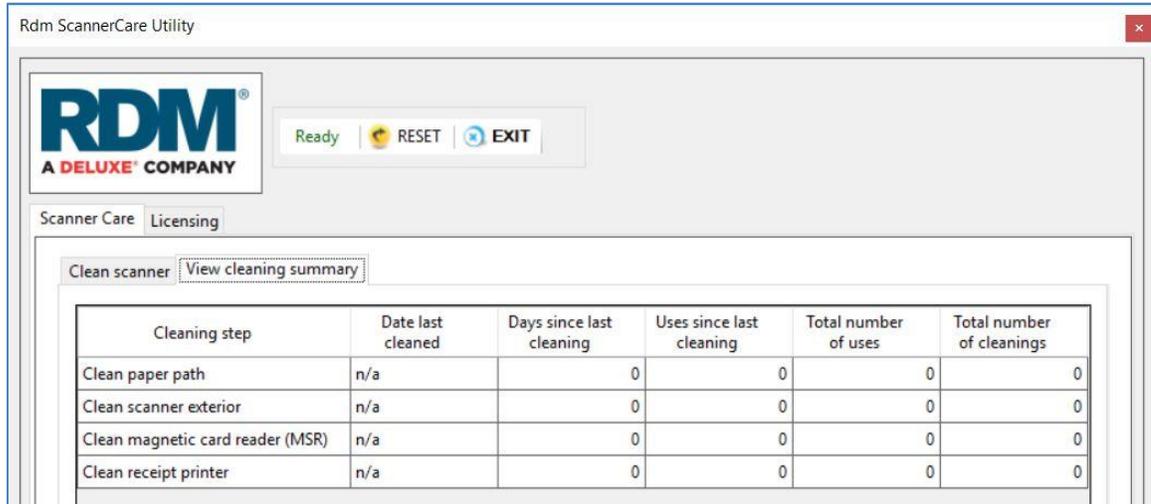
7. Review the cleaning summary for the scanner. The summary shows various information related to each scanner cleaning step.

Manual cleaning

Scanners perform best when all working surfaces are clean and free of foreign material.

Caution:

- Always disconnect the scanner from its power source before manual cleaning.
- Solvents or harsh cleaners might damage or discolor the cabinetry.

Cleaning the outside cabinetry

Use a damp cloth and mild soap.

Cleaning the inside of the scanner

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.
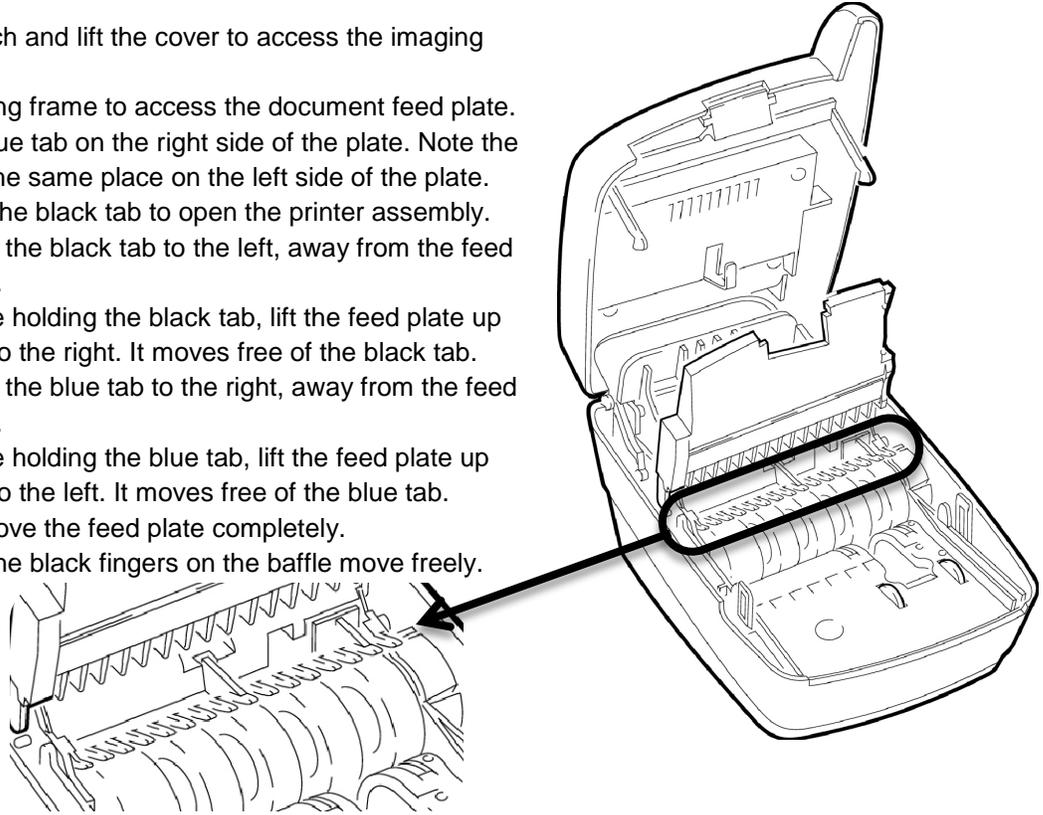
Cleaning the imaging camera glass

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
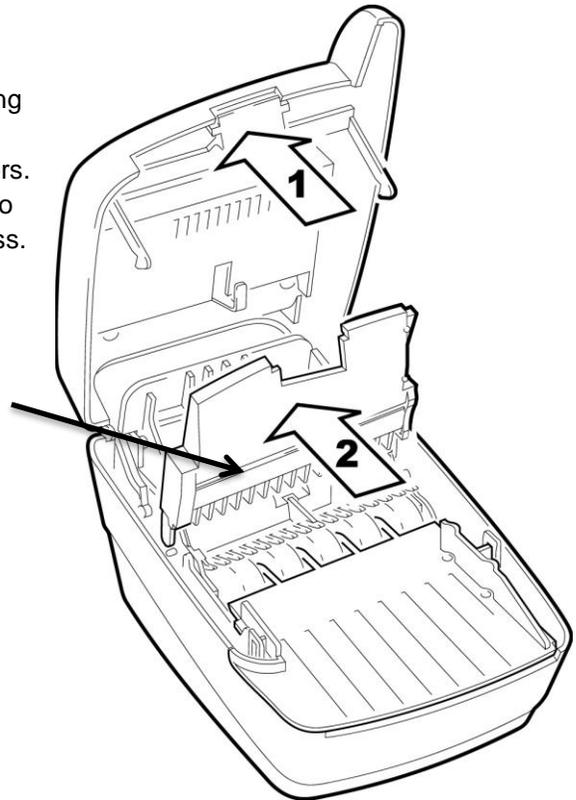
Troubleshooting

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.
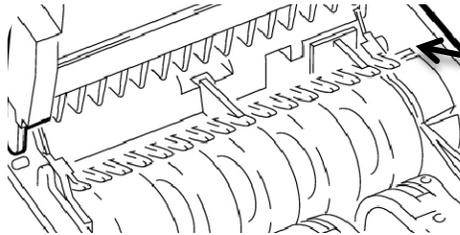
Document sensors

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.

Rollers
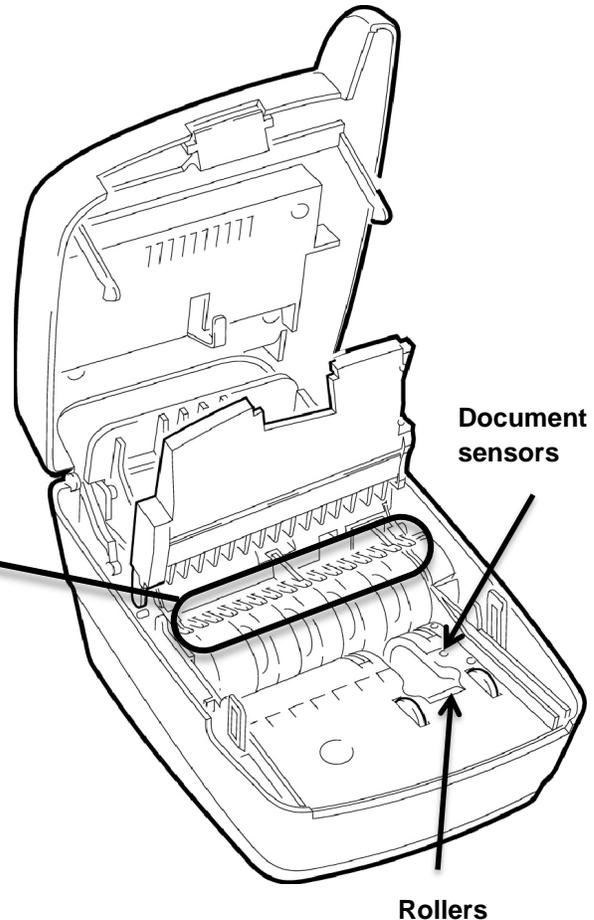
Card transactions do not function properly

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.
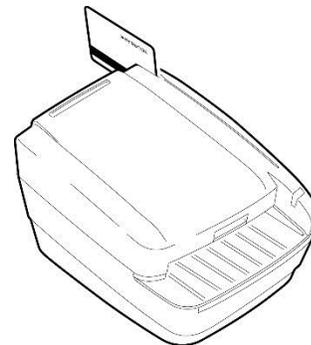
Specifications

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

Accessories and consumables

Options and accessories	RDM Part Number
Replacement franker cartridge – "Electronically Presented" - red ink	6000-6050
Replacement franker cartridge (EC6XXX/7XXX/SYNERGY) – "Electronically Presented" red ink (FRENCH)	6000-6053
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 theEC7000i 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.

RDM EC9100i Series Scanners
User Guide

January 2021

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RDM makes no warranty with respect to the adequacy of this documentation, programs, or hardware that it describes for any particular purpose or with respect to the adequacy to produce a particular result. In no event shall RDM be held liable for special, direct, indirect, or consequential damages, losses, cost, charges, claims, demands, or claim for lost profits, fees, or expenses of any nature or kind.

RDM, By Deluxe

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
Kortney Nordrum
(651)-490-8614
compliance@deluxe.com

Contents

About this guide

This guide describes the EC9100i 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, contact your solution provider.

Requirements

The scanner is for indoor use only. Keep the scanner dry; avoid areas of high humidity.

Do not remove any parts from areas that are not described in this guide. Removing parts from areas not described 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's power 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 document 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.

Introduction

The RDM EC9100i series scanners provide affordable functionality in a compact, efficient design. Featuring RDM's industry leading Progressive MICR Method and imaging technology, the EC9100i series scanners deliver optimum MICR read rates and image quality.

With several models and feature options to choose from, the RDM EC9100i series scanners are an ideal fit for payment applications such as remote deposit capture, check cashing, teller capture, healthcare POS, retail POS, and walk-in bill payments. Scanners are available in single-feed and auto-feed models, with speeds up to 90 documents per minute on some models. All models include an integrated ID card imager.

To accommodate applications such as walk-in bill payments, the EC9100i series can be licensed for OCR A and B font recognition capability. You can tell if your scanner is licensed for OCR by the label on the bottom or back of the scanner.

Your Scanner

Scanner Models

The following table lists the available EC9100i models and their key features.

	Single-Feed	Multi-Feed	MSR	3 Thermal Receipt Printer	Franker Enabled	Ink-jet Endorser Enabled	Document feeder capacity	Document throughput (DPM)
EC9111f	●				●		1	
EC9112f	●		●		●		1	
EC9103f		●			●	●	30	30/90
EC9104f		●	●		●	●	30	30/90
EC9108f		●	●	●	●	●	30	30/90

There is a label on your scanner that includes the following details about your scanner:

- The scanner's model number
- The scanner's serial number
- The speed of your scanner (30 documents per minute in the example below)
- Whether the scanner is licensed for OCR (the example below is not licensed for OCR scanning)

Model number

Scanner speed

RDM® by deluxe

EC9103f   Mfg Code: AB04D000000

263204
Input Voltage
24V DC 900mA
This device complies with Part 15 of FCC rules. Operation is subject to the following conditions: (1) This device may not cause harmful interference, and (2) this device must accept any interference, including interference that may cause undesired operation.

Serial # 3008249103049   90 DPM Lic.

Made In Canada   Patent Pending   www.rdmcorp.com

You can locate your scanner's label on the bottom or back of your scanner.

Status LED Signals

This status L.E.D. (Light Emitting Diode) is located on the front right of the scanner. The light indicates the status of the scanner. For more information, see *Light signals and beeps on page 22*.

EC9100i series scanner

Single-feed (SF) models

Endorsement printer cover

Exit pocket

Front cover

Exit extension

Status LED

Document feeder

Insertion extension

Auto-feed (AF) models

Endorsement printer cover

Front cover

Exit pocket

Pocket stop

Status LED

Document feeder

Auto-feed (AF) printer models

Endorsement printer cover

Exit pocket

Pocket stop

Front cover

Status LED

Document feeder

Printer door release button

Printer door

3" thermal receipt printer

Internal components

Inside the front cover - side view – Auto-Feed

Image sensor (closed)

Document feeder

ID card entry slot

Feeder roller

Inside the front cover - side view – Single-Feed

Image sensor (closed)

Document feeder

ID card entry slot

Inside the front cover - back view

Franker cartridge

Franker cartridge latch

Metal Plate (aligns with slot in franker cartridge)

ID card entry slot

Inside the front cover and endorsement printer cover - top view

Metal post for top cover

Back

Franker

ID card entry

Document track

Endorsement printer (select models)

Image sensor and panels

Metal post for top cover

Status LED

Exit pocket

Document feeder

Connection ports

USB   **Power**

* **Note**: Not all scanner models include every item shown in the diagrams. Some earlier models will also have a USB hub.

Connector/Port	Description
USB Port	High-speed 2.0 (480 mbps). Use this port to connect to a computer. You must use the USB A to B cable.
Power	Connect the power adapter to this port.
K-Slot	The K-Slot or Kensington® Security Lock lets you secure the unit with a cable (not provided) that locks into the slot. Cables can be purchased from your local computer supply store.

Setting up your scanner

To set up your scanner:

- Choose a location.
- Unpack the shipping box.
- Inspect the scanner's features.
- Insert the franker cartridge (sold separately).
- Insert the inkjet endorser printer cartridge (sold separately).
- Insert the receipt paper roll, if one is included with your scanner.

Choosing a location

Locate your scanner in a place that:

- Has a flat surface, such as a counter top 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 the application computer.
- Is close to an electrical outlet.

Unpacking 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 packing material for future use.

The shipping box includes the following items:

- Scanner
- USB cable (A to B)
- Power adapter
- 5-pack inkjet blotter (models with inkjet endorsement printer)
- 3" thermal receipt paper roll (models with receipt printer)

Connecting the power cord

1. Align the flat side of the power connector so that it is facing up.
2. Insert the round end of the power cord into the power port on the back of the scanner until it clicks into place.
   Note: Although the status light on the scanner might illuminate without the power cord being fully connected to the scanner, **you must push the power cord until it clicks into place for the scanner to function correctly.**
3. With the power cord connected to the power adapter, plug the other end of cord into an electrical outlet.
4. If your power cord has an on/off switch, make sure the switch is in the "on" position.

Click here to view video: How to connect your RDM EC9100i series check scanner

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists

Disconnecting the power cord

Caution: Disconnecting the scanner from a power source while the scanner is processing a transaction might cause data loss.

The power cord has a sleeve on it that secures it to the unit. The security sleeve prevents the power cord from being pulled out of the unit accidently.

1. Hold the unit in place with one hand to prevent the unit from falling.
2. With your other hand, slide the power cord security sleeve back and pull the power cord free of the scanner.

Installing cartridges and paper roll

For installing the franker cartridge, see *Replacing the franker cartridge on page 25*.

For installing the endorser inkjet cartridge, see *Replacing the endorser inkjet cartridge on page 26*.

For installing the paper roll, see *Replacing the paper roll for the printer on page 27.*

Drivers and applications

There are many applications that support the RDM EC9100i. Most are available from third-party vendors. If you are not sure where to acquire your payment application, check with whoever provided your scanner.

The drivers for RDM EC9100i series scanners are installed on your computer when you install your payment application.

Operating the scanner

Caution: Do not open the cover or try to access the inside of the scanner while it scans a document.

Preparing documents

To reduce the possibility of errors and damage to the unit:

- Remove all folds and creases in the document.
- Remove any paper clips and staples from the document.
- Make sure that documents are not stuck together.
- Make sure that documents are dry.

Feeding documents

The scanner unit is ready to accept documents when the LED is flashing green. Insert the documents either one at a time with single-feed (SF) models, or in a batch with auto-feed (AF) models.

Make sure that you place the documents into the feeder with the MICR line at the bottom and facing towards the outside of the scanner.

Caution: Adjust the exit extension or the pocket stop to fit the documents that you are scanning. Documents can be damaged or jam in the scanner if the exit extension or pocket stop is not fitted to the documents.

Single-feed (SF) models
1. Start the scanning process. For example, click Scan on your scanning application.
2. Hand-feed a document into the feeder until the scanner pulls the document through the transport.

   The document is scanned and processed.
3. Repeat steps 1 and 2 until you have scanned all your documents.

Click here to view video: Feeding checks on a RDM single-feed check scanner

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists

Auto-feed (AF) models

1.   Place up to 30 documents into the document feeder.
     Note: Do not push documents past the check icon on the right side of
     the document feeder.

2.   If you are required to do so, start the scanning process. For example,
     click Scan on your scanning application.

Click here to view video: View Feeding checks on a RDM Auto-feed check
scanner

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists
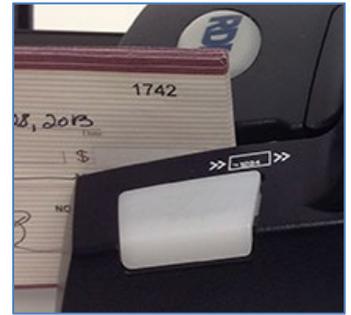
Swiping magnetic stripe cards (optional)

1.   Place the card in the slot on the side of the scanner with the stripe
     down and facing towards the body of the scanner.
2.   Swipe the card from front to back.

Imaging identification cards

The ID imager uses the same track as the document scanner, but
you insert ID cards at the back of the scanner. Insert the card into
the scanner so that the front of the ID card faces away from the
scanner. The ID imager scans both the front and back of the
identification card.

1.   Insert the identification card into the back of the scanner
     track until you feel the scanner pinch the card.
     The scanner pulls the card through the track.
2.   Remove the card from the front of the scanner track.

Understanding light signals

The scanner's status is shown through a single, multistate LED (light-emitting diode), which is the light on the top, front, right-hand side of the unit. The tables below describe typical status signals and their meanings.

Status	Signals	Meaning
After starting the scanner:	Red and green flashing cycle	The scanner is being configured by the scanning application.
Idle	Green solid	The scanner is ready and idle.
Scanning	Green flashing	The scanner is waiting for the user to insert a document into the feeder.
Scanning	Green and red flashing cycle	The scanner is processing the documents. Wait for the scanner to finish.
Error	Red flashing	An error occurred while the scanner was processing the document. Check your PC application for instructions or refer to your local procedures. If you need more help, contact your distributor (reseller).

Signals in a typical document processing 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

Removing the covers

RDM EC9100i scanners have two covers that can be removed in order to clean the image sensor, replace cartridges, or clear paper jams.

Front cover

Remove the front cover when you need to clear paper jams, replace the franker cartridge, or clean the image sensor.

1. Disconnect the power cord from the scanner.
2. Pull the insertion extensions forward.
3. Grasp the front and the back end of the front cover.
4. Gently pull the cover upwards until it detaches from the scanner.

To replace the front cover:

Caution: Before you replace the front cover, make sure the insertion extensions are pulled forward. Otherwise, you might damage the front cover.

1. Carefully place the front cover over the scanner assembly. Make sure that the cover overlaps the assembly correctly by lining it up with the metal posts.
2. Gently push the cover down until it snaps into place.

Endorsement printer cover

Remove the endorsement printer cover when you need to clear paper jams, to insert or replace the endorser inkjet printer cartridge, or to clean the image sensor.

1. Grasp the top of the endorsement printer cover.
2. Gently pull the cover upwards until it detaches from the scanner.

To replace the endorsement printer cover:

1. Carefully place the endorsement printer cover over the scanner assembly; make sure that the cover overlaps the assembly correctly.
2. Gently push the cover down until it snaps into place.

Franker and endorser inkjet cartridges

Franker cartridge
Item# 6000-6065

HP C6602A Black
Endorser inkjet cartridge
Item# 6000-6060

The franker cartridge creates a red ink stamp that defaces the front of each check with a message that says, "Electronically Presented". Franker cartridge must be purchased separately.

Certain EC9100i scanners are capable of endorsing checks, but the cartridges are not included with scanners. With your scanning application, the endorser inkjet printer places user-defined text on the rear of the check.

Franker or inkjet cartridges can be purchased by contacting your solution provider or reseller.

Follow the directions below to insert the cartridges into the scanner unit.

Caution:
- Ink might be harmful if swallowed.
- Avoid contact with eyes.
- Damage to the unit or the cartridge which results from modifying the inkjet cartridge is not the responsibility of RDM.
- The inkjet cartridge is not refillable.
- Inkjet cartridges are not licensed for modifications.
- RDM may change product designs, features, or specifications at any time.

Installing the franker cartridge

1. Remove the front cover of the scanner.

    At the back of the scanner, the franker cartridge is held in place by a blue franker latch and a metal plate.

Franker tab

Franker latch

Franker slot

Metal plate

2. Lift the blue franker latch.
3. Pull the franker cartridge out of the scanner by the franker tab.
4. Insert the new franker cartridge. Make sure the top of the metal plate fits into the slot in franker cartridge (as pictured).
5. Secure the franker cartridge:
    a. Push the metal plate towards the body of the scanner (pushing in the franker cartridge).
    b. Lowering the blue latch over the franker cartridge until it snaps closed.
6. Replace the scanner cover.

Click here to view video: How to Install Franker Cartridge

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists

Installing the endorser inkjet cartridge

When you place the new inkjet cartridge into the holder, make sure that you insert it at the angle described in the following steps. If you do not insert the cartridge properly, it might not make contact with the document when it is scanned.

1. Remove the endorsement printer cover.
2. Pull the inkjet latch away from the inkjet cartridge (as pictured).

3. Pull the inkjet cartridge out of the scanner.
4. To insert the new inkjet cartridge, pull the inkjet latch back and place the inkjet cartridge into the holder. The cartridge needs to be at an angle so that the back of the cartridge is lower than the front of the cartridge.
5. Push the cartridge down into the holder until the cartridge snaps into place.
   Once installed, the inkjet cartridge sits on a slight angle with the back of the cartridge lower than the front.
6. Make sure there is no gap between the inkjet cartridge and the endorsement channel.
7. Replace the endorsement printer cover.

Click here to view video: How to Install Inkjet Cartridge

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists

Replacing the inkjet blotter

Scanners with endorsement printers include an inkjet blotter that absorbs excess ink from the endorsement process. Over time, the blotter might stop absorbing ink effectively and so should be replaced. Scanners with endorsement printers come with five replacement blotters.

To replace the inkjet blotter:

1. Remove the front cover of the scanner.
    At the back of the scanner, above the franker cartridge, you can see the top of the inkjet blotter, as shown below:

2. With your finger or tweezers, remove the inkjet blotter from its slot.
3. Dispose of the used blotter.
4. Insert the replacement inkjet blotter into the slot.

Replacing the paper roll for the printer

If your scanner has a printer, the following steps describe how to replace the paper roll.

1. Press the printer door release button and completely open the printer door.
2. Remove the empty paper roll from the paper compartment.
3. Insert the new paper roll into the compartment, with the end of the paper roll rolling from the top.
4. Pull the paper out of the compartment and close the printer door so that the end of the paper sticks out of the compartment (as pictured). Push the door closed in the center of the printer door.
    Make sure the cover is completely closed. If you push the cover from the sides, the cover might not close completely. When closed correctly, both sides of the printer cover are flush with the scanner.
5. Rip off any access paper sticking out of the printer cover.

Cleaning your scanner

RDM recommends that you periodically clean the scanner to remove dust, ink and debris build-up to ensure optimal performance and extended scanner life.

There are two ways to clean your RDM scanner:

1. Using the **RDM ScannerCare Cleaning Kit**, which includes WaffleTechnology™ cleaning cards and device wipes:
    o   You can use the RDM ScannerCare application which is installed on your computer or your payment application's document feeding cycle as described below.
2. **Manually**, by follow instructions provided in *Manual cleaning* on page 29.

Using RDM ScannerCare Cleaning Kit

Cleaning the scanner with the RDM ScannerCare application

1. Run the ScannerCare program:
    •   search your computer for "ScannerCare" and run the ScannerCare application.
2. Select the "ScannerCare" tab.
3. Select the "Clean scanner" sub-tab.

Here is the "Clean scanner" sub-tab
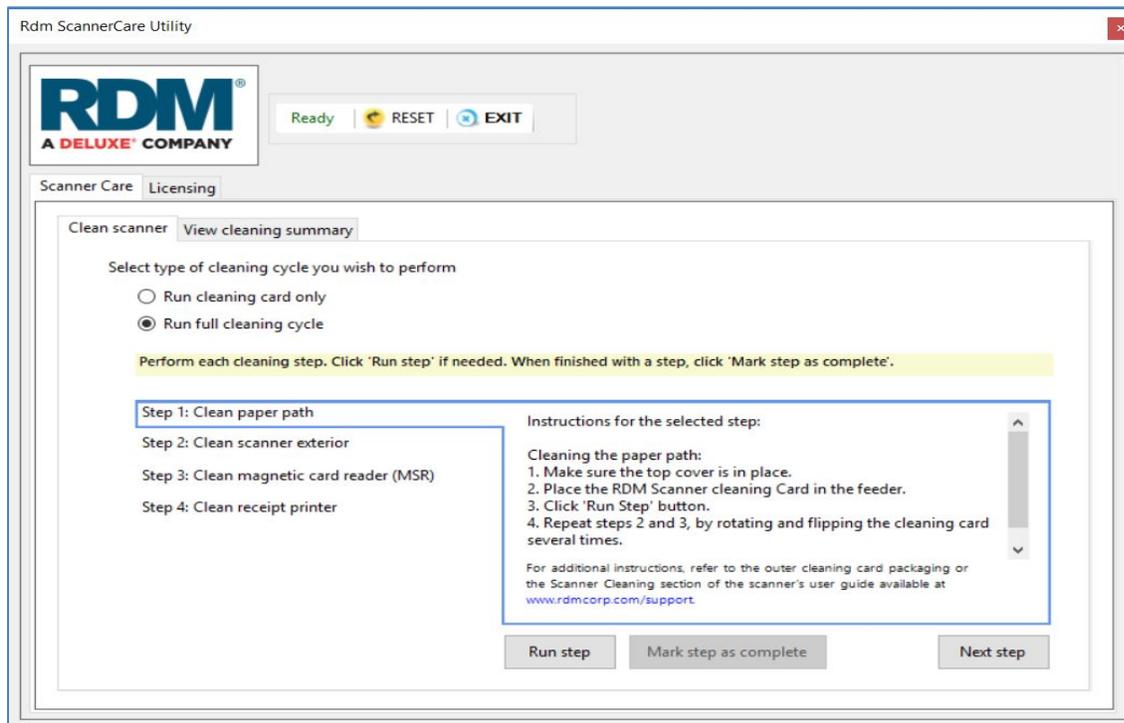
4.   Choose to run either the cleaning card only or run a full cleaning cycle.
5.   Perform each step. Click on each step as needed and follow the instructions.
     a.   Click the "Run step" button to begin the step.
     b.   When the step is completed, click the "Mark step as complete" button.
     c.   Click on either the next step, or the "Next Step" button to advance to the next step.
     d.   Continue until all steps are completed.
6.   Select the "View cleaning summary" sub-tab.
7.   View the cleaning summary for the scanner. The summary shows various information related to each scanner cleaning step.

Here is the **"View cleaning summary"** tab for the EC9100i:

Cleaning the scanner with the document feeding application

1.   Start a document feeding application.
2.   Run the cleaning card through the RDM scanner several times, rotating the card top to bottom on both sides.
3.   Cancel the application, discard the used cleaning card.

Manual cleaning

Scanners perform best when all working surfaces are clean and free of foreign material.

Caution:

- Always disconnect the scanner from its power source before manual cleaning.
- Solvents or harsh cleaners might damage or discolor the cabinetry.

Cleaning the outside cabinetry

Use a damp cloth and mild soap.

Cleaning the inside of the scanner unit

1. Remove the front cover and the endorsement printer cover.
2. Use a dusting brush designed for use with electronic equipment or a compressed air duster to clean inside the scanner.
3. Replace the covers.

Cleaning the image sensor

Caution: Always disconnect the unit from its power source before cleaning the image sensor.

1. Remove the front cover and the endorsement printer cover.
2. Open both the front and back panels that cover the image sensor.
   The front panel can open up to 90°. The back panel opens only a few degrees.
3. Use any of the following to gently remove any ink or dust from the image sensor.
   - A lens cleaning tissue.
   - A damp lint-free cloth.
   - A cotton swab dampened with rubbing alcohol.
4. Clean the glass on each panel thoroughly.
5. Replace each of the covers.

Troubleshooting

During everyday operations, you might encounter minor malfunctions with RDM EC9100i series scanners. Before calling for service, review the troubleshooting steps below.

Scanner does not respond

1. Ensure the cable that connects your scanner to your computer is properly connected to the correct port on the back of the scanner and computer (according to instructions provided by your distributor).
2. Make sure that the correct power cord is connected to the unit. If your power cord has an on/off switch, make sure the switch is in the "on" position. Change or replace the cord, if necessary.
3. If the problem persists, contact your solution provider or help desk.

Card transactions do not function properly

1. Ensure that you are swiping the card properly.
   The black magnetic stripe on the back of the card must face downward and towards the body of the scanner.
2. Try using another card to ensure the first card was not defective.
3. If the problem persists, contact your solution provider or help desk.

Printer does not print

1. Ensure you are using 3" Thermal printer roll (see 34)
2. Ensure that the printer has not jammed.
3. Ensure that the end of the paper rolls from the top of the roll.
4. Ensure that the printer door is completely closed.
5. If the problem persists, contact your solution provider or help desk.

Specifications

Physical dimensions		
Depth: **Min**: 237mm (9.3") *(with retracted extensions)* **Max**: 311mm (12.25") *(with fixed extensions)*	**Width**: **Standard Models:** 154mm (6.0") **MSR Models:** 157mm (6.2")	**Height:** **Standard Models:** 175mm (6.9") **Receipt Printer Models:** 245mm (9.65")
Document feed capacities		
Preferred paper weight: **20 lb. to 32 lb.**	**Height**: Min: 50.8mm (2") Max: 101.6mm (4")	**Length**: Min: 101.6mm (4") Max: 228.6mm (9")
Single-feed models	EC9111/12	Single document.
Auto-feed models *(multi-feed)*	EC9103/04/08	Up to 30 documents (based on document thickness & condition)
Document collection pocket	Up to 60 documents. (based on document thickness & condition) Maintains the integrity of the order of the original source documents.	
Technical features		
MICR reader	E13B or CMC7 MICR Fonts. OCR E13B MICR Assist available. Uses RDM's Progressive MICR Method for optimum MICR read accuracy.	
Image capture	Duplex imaging. **File formats:** Tiff 6.0, JPEG, BMP (uncompressed). **File compression:** JPEG grayscale (Quality 25), CCITT Group 4 (ITU T.6) (or no compression) for bi-level. **Documents and ID cards:** 100 or 200 DPI grayscale or bi-level	

Image processing	Up to 4 images, any combination, front and back for documents or ID cards.
	    Resolutions for documents: 100, 200 DPI grayscale or bi-level
	    Resolutions for ID cards: 200 or 400 DPI image resolution. (V-scan captured at 200DPI)	

Identification (ID) card imager	Integrated Duplex Imaging. 54mm [2.13"] (V) x 86mm [3.39"] (H)	
Image Quality Assurance (IQA)	IQA includes: too light/too dark /skew (Bi-Level Images Only).	
Magnetic Stripe Reader (MSR) (select models)	Integrated 3-track, bi-directional, alphanumeric, encryption capable MSR.	
Optical character recognition (optional license)	Under application control Alphanumeric OCR A and B font recognition of OCR code-lines for applications such as bill payment.	

Franker	Under application control a fixed text message "Electronically Presented" can be stamped on the front of a document, in red ink.
Inkjet Endorsement printer (select models)	Under application control, a single line 1/8" high text message can be printed on the rear of a document. HP C6602A inkjet cartridge required.
Scanner status LED	Provides the unit's status via illuminated LED.
USB port	High Speed USB 2.0 (480 mbps) on all models.
Receipt Printer (select models)	Integrated 3" thermal receipt printer. Clamshell paper load. Paper width 80mm (3.15"). Print width 71mm (2.8"). Maximum print speed of 170mm/sec (6.7"/sec). Uses power from scanner's power supply.

Software and support

Supported operating systems	Windows 10 (32/64-bit).
Development software	RDM EC Scanner Application Development Kit (ADK) includes RDM SCI API components, USB driver, Redistributable Installation Packages and Sample Applications.
3rd Party Certifications / Licenses	Silver Bullet Technologies: Ranger™ for RDM Plug-in

Environment

Operating temperature	10 to 40 Degrees C (50 to 104 Degrees F).
Operating humidity	10 to 85% relative humidity (non-condensing).

Power Rating

Unit input (24VDC)	Standard Models: 900mA. Receipt Printer Models: 2.5A.
Power supply input range	100–240V, 50/60 Hz.

Other

Certifications	Industry certifications including. WHQL certified USB driver IEC 60950-1 (Product Safety) FCC Part 15,Subpart B, Class A - Unintentional Radiators (EMC)
Warranty	2-year standard warranty.
Life expectancy	5 years under normal usage.

Consumables and accessories	
	RDM Part number
Replacement franker cartridge – "Electronically Presented" red ink *(sold separately)*	6000-6065
Replacement HP inkjet printer cartridge *(sold separately)*	6000-6060 (HP C6602A) – black ink
Ink Jet Blotter - 5 pack	302987
Thermal paper roll 3.125" W x 225' L (3.125" maximum diameter)	Standard thermal roll paper available from office supply stores
Replacement power adapter and cord	302843 – Standard models 303811 – Receipt Printer models
USB 2.0 cable, A to B male, shielded, 2m (black)	6000-6106

Warranty Information

LIMITED WARRANTY:

RDM EC9100i is warranted against defects in materials and workmanship under normal use and service for a period of two years after the date of receipt by you. This warranty is extended only to the original purchaser. Extended warranty programs might be offered by your solution provider.

The entire liability of RDM Corporation (the Corporation), distributors of the RDM EC9100i scanner and manufacturers of auxiliary equipment used with the RDM EC9100i 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 RDM EC9100i scanner that does not meet the 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 RDM EC9100i has resulted from accident, abuse or misapplication. Any replacement RDM EC9100i will be warranted for the remainder of the original warranty period.

The equipment is sold with the understanding that neither the Corporation, such distributors nor such manufacturers will be liable for any damages whatsoever (include, without limitation, direct or indirect damages for personal injury, loss of business profits, business interruption, loss of business information, or any other pecuniary loss) arising out of the use of or inability to use the RDM EC9100i, 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 RDM EC9100i shall be limited to the amount actually paid by you for the RDM EC9100i. 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 RDM EC9100i and the accompanying written materials.

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;
- Failures which result from accident, misuse, abuse, neglect, excessive dirt or dust cause by lack or preventative maintenance measures, mishandling, misapplication, alteration or modification;
- Service by anyone other than RDM;
- Damage that is attributable to acts of nature including but not limited to:
  - Flood, lightning, power surge or static electricity, water damage, fall, 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 Roller or Franker Assembly, or other RDM EC9100i consumables or accessories such as cables.

RDM scanner 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 reconfigured with factory defaults and returned to customers.

RDM and its authorized service depots reserve the right to charge a fee for scanners found to be problem free "No Trouble Found".

RDM Network Scanner Series
EC9700i / EC9600i

User Guide

January 2021

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RDM, By Deluxe

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 Corporation 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
Kortney Nordrum
(651)-490-8614
compliance@deluxe.com

Contents

About this guide

This guide describes the RDM network series scanners (EC9600i and EC9700i), some basic operations, and how to maintain your scanner. For instructions on how to use your scanner with your payment application, contact your solution provider.

Requirements

The scanner is for indoor use only. Keep the scanner dry; avoid areas of high humidity.

Do not remove any parts from areas that are not described in this guide. Removing parts from areas not described in this guide will void the warranty.

When you are working inside the scanner, such as when you are replacing the franker or endorser cartridge, make sure the scanner's power is disconnected.

Recommendations

Record all distributor contact information for future reference.

Save the original box and packing material and 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 document 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.

The scanner is not suitable for use in locations where children are likely to be present.

Introduction

The RDM EC9600i and EC9700i network series scanners, herein referred to as RDM network scanners, provide affordable functionality in a compact, efficient design. Featuring RDM's industry leading Progressive MICR Method, the RDM network scanners deliver optimum magnetic (MICR) and optical (OCR) read rates on E13B characters. Additionally, the scanners produce superior image quality to maximize recognition rates for machine printed and hand-written characters on checks, remittances and ID cards such as driver licenses.

With several models and feature options to choose from, RDM network scanners are an ideal fit for payment applications such as remote deposit capture, remote lockbox, check cashing, teller capture, branch back-counter capture, healthcare POS, retail POS, and walk-in bill payments. The scanners are available in single-feed and auto-feed (multi-feed) models and offer a range of document throughput options and configurations. All models include an integrated ID card imager.

Additionally, the RDM network scanners provide IP addressability over USB and Ethernet. Embedded software enables easy plug-and-play connectivity eliminating the need for the installation of device drivers or other utility software. The scanners can be used as a standalone device or shared network resource that works with workstations, terminals, or mobile devices; can be used with Microsoft Windows, Apple macOS and iOS, and Linux operating systems; and is compatible with virtual desktop/thin client (e.g. Citrix) and virtual machines (e.g. VMware Horizon) environments.

To accommodate applications such as walk-in bill payments, the EC9600i series can be licensed for OCR A and B font recognition capability. You can tell if your EC9600i scanner is licensed for OCR by the silver label (see page 9) on the bottom or back of the scanner, depending on the model. All EC9700i series scanners include recognition capability for OCR A and B, and optionally PDF 417 (for driver licenses). Please contact your reseller for questions specific to OCR capabilities of your scanner.

Your Scanner

Scanner Models

The following table lists the available EC9600i and EC9700i network series models and general feature comparison. Model and feature availability may vary. Check with your scanner provider.

	Single-Feed	Multi-Feed	E13B Recognition*	Franker Enabled	Ink-jet Endorser Enabled	Document feeder capacity	Document Throughput (DPM)	ID Card Imager	Magnetic Stripe Reader (MSR)	3" Thermal Receipt Printer	Other Recognition Capabilities
EC9611 SMB	●		Optical			1	30	●			OCR A/B Lic.
EC9603	●		MICR / OCR Assist	●		1	30	●			OCR A/B Lic.
EC9612f SF	●		MICR/ OCR Assist	●		1	30	●	●		OCR A/B Lic.
EC9613f SF	●		MICR/ OCR Assist	●	●	1	30	●			OCR A/B Lic.
EC9603f AF		●	MICR/ OCR Assist/ OCR Assist	●	●	30	30	●			OCR A/B Lic.
EC9604f AF		●	MICR/ OCR Assist	●	●	30	30	●	●		OCR A/B Lic.
EC9608f AF		●	MICR/ OCR Assist	●	●	30	30	●	●	●	OCR A/B Lic.
EC9703f AF		●	MICR / OCR Assist		●	60	100	●			OCR A/B PDF 417

*Note: All scanner models (except EC9611 SMB) perform E13B recognition magnetically (MICR) and use optical assist (OCR on E13B) for unrecognizable characters. The EC9611 SMB only uses optical recognition (OCR on E13B). Both methods deliver optimum read rates at or above industry standards.

There is a label on your scanner that includes the following details about your scanner:
- The scanner's model number
- MAC address
- The scanner's serial number
- The speed of your scanner (30 documents per minute in the example below)
- Whether the scanner is licensed for OCR (only EC9600i has optional OCR License and will be noted on the label - the example below is not licensed for OCR recognition)

You can locate your scanner's label on the bottom or back of your scanner, depending on the model.

Model number

MAC address

Scanner speed

MAC address

Model number

Scanner speed
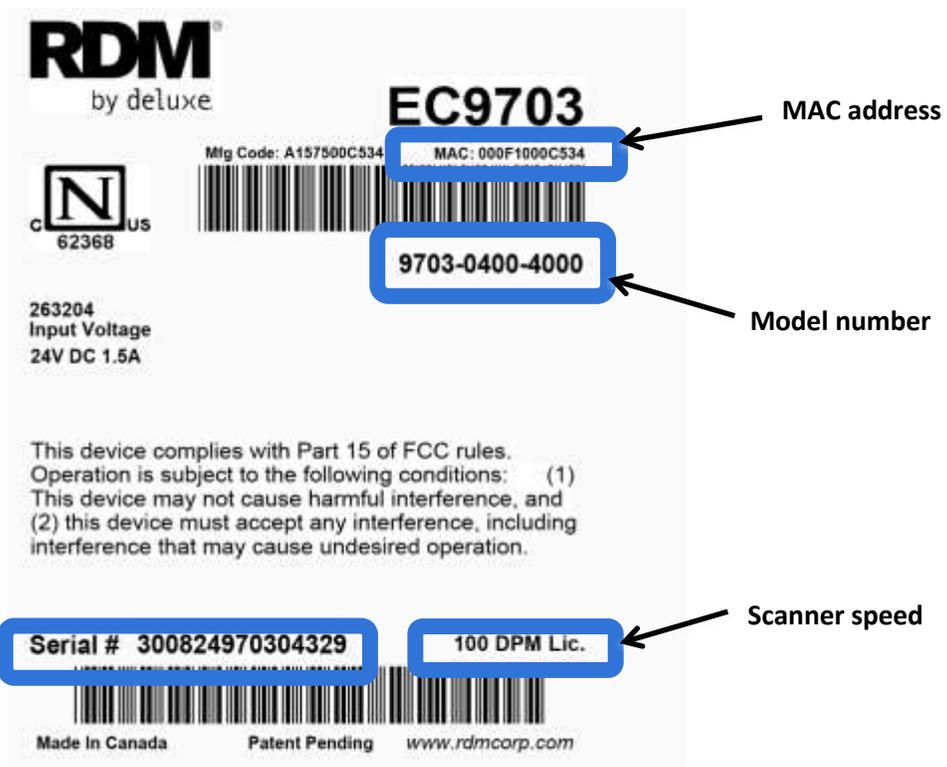
Status LED Signals

This status L.E.D. (Light Emitting Diode) is located on the front right of the scanner. The light indicates the status of the scanner. For more information, see Understanding light signals on page *26*.

RDM network scanners

Single-feed (SF) models

Front cover

Endorsement printer cover

Status LED

Document feeder area

Exit pocket

Exit extension

Insertion extension

Auto-feed (AF) models

Endorsement printer cover

Front cover

Exit pocket

Pocket stop

Status LED

Document feeder area

Auto-feed (AF) printer models

Endorsement printer cover

Exit pocket

Pocket stop

Front cover

Status LED

Document feeder area

Printer door release button

3" thermal receipt printer

Printer door

Internal components

Inside the front cover - side view – Auto-Feed

Image sensor (closed)

Document feeder

ID card entry slot

Feeder roller

Inside the front cover - side view – Single-Feed

Image sensor (closed)

Document feeder

ID card entry slot

Inside the front cover - back view

Franker cartridge latch

ID card entry slot

**Metal Plate
(aligns with slot in
franker cartridge)**

Inside the front cover and endorsement printer cover - top view

Metal post for top cover

Back

Franker (select models)

ID card entry

Document

Inkjet endorsement printer (select models)

Image sensor and panels (closed)

Metal post for top cover

Status LED

Exit pocket

Document feeder area

Connection ports

EC9600i AF models

USB   Power   Ethernet 10/100 Switch

EC9600i SF models

USB   Power   Ethernet 10/100

EC9600i SMB models

USB   Power

EC9700i AF models

USB   Ethernet 10/100/1000   Power

* Note: Not all scanner models include every item shown in the diagrams.

Connector/Port	Description		
USB Port	High-speed 2.0 (480 mbps). Use this port to connect to a computer. You must use the USB A to B cable.		
Power	Connect the power adapter to this port.		
K-Slot EC9600i models only	The K-Slot or Kensington® Security Lock lets you secure the unit with a cable (not provided) that locks into the slot. Cables can be purchased from your local computer supply store.		
Ethernet Port(s)		EC9600i models	EC9700i models
	SMB (Single-Feed)	0	n/a
	SF (Single-Feed)	1	n/a
	AF (Auto-Feed)	2	1

Setting up your scanner

To set up your scanner:

- Choose a location.
- Unpack the shipping box.
- Inspect the scanner's features.
- Insert the franker cartridge (sold separately).
- Insert the inkjet endorser printer cartridge (sold separately).
- Insert the receipt paper roll, if one is included with your scanner.

Choosing a location

Locate your scanner in a place that:

- Has a flat surface, such as a counter top 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 the application computer. Depending on your scanner model, a USB 2.0 high speed or Ethernet connection is required.
- Is close to an electrical outlet.

Unpacking 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 packing material for future use.

The shipping box includes the following items:

- Scanner
- USB cable (A to B)
- Ethernet cable (except EC9611 SMB)
- Power adapter
- 5-pack inkjet blotter (models with inkjet endorsement printer)
- 3" thermal receipt paper roll (models with receipt printer)
- Cleaning card sample
- Quick Start Guide

Connecting the power cord

1. Align the flat side of the power connector so that it is facing up.
2. Insert the round end of the power cord into the power port on the back of the scanner until it clicks into place.
   Note: Although the status light on the scanner might illuminate without the power cord being fully connected to the scanner, **you must push the power cord until it clicks into place for the scanner to function correctly.**
3. With the power cord connected to the power adapter, plug the other end of cord into an electrical outlet.
4. If your power cord has an on/off switch, make sure the switch is in the "on" position.

Click to view video: How to connect your EC9600i Network Auto Feed check scanner

Click to view video: How to connect your EC9600i Network Single Feed check scanner

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists

Disconnecting the power cord

Caution: Disconnecting the scanner from a power source while the scanner is processing a transaction might cause data loss.

The power cord has a sleeve on it that secures it to the unit. The security sleeve prevents the power cord from being pulled out of the unit accidently.

1. Hold the unit in place with one hand to prevent the unit from falling.
2. With your other hand, slide the power cord security sleeve back and pull the power cord free of the scanner.

Installing cartridges and paper roll

For installing the franker cartridge, see *Installing the franker cartridge on page 30.*

For installing the endorser inkjet cartridge, see *Installing the endorser inkjet cartridge on page 31*.

For installing the paper roll, see

Replacing the paper roll for the printer *on page 32.*

RDM network scanner payment application requirements

The RDM network scanners do not require you to install any drivers on your computer. However, depending on your payment application (i.e. does it support the scanner's plug and play capabilities), there might be some additional setup required for the application to connect to the scanner. For example, you might need to:

- Install a security certificate on your computer,
- Make changes to your browser's security settings,
- Enter your scanner's IP address or serial number into the payment application,
- Configure or select your scanner make/model in the payment application.

For more information about RDM network scanner setup requirements, see your payment application's documentation.

Connecting the RDM network scanner

The RDM network scanner can connect to your computer via USB Cable or by Ethernet Cable.

There are three types of connection configurations depending on your model.

Connectivity Options	Single-Feed SMB	Single-Feed	Auto-Feed
1. **USB**: Scanner is connected to the computer using USB cable	●	●	●
2. **Ethernet**: Scanner and computer have separate connections to the network		●	●
3. **Ethernet Switch**: Computer is connected to the network through the scanner (EC9600i AF series models only)			●

Option 1. USB: Scanner is connected to the computer using USB cable
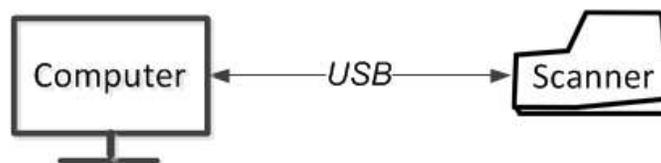
Considerations:

- The only workstation that can use the scanner is the one it is connected to.
- Does not require a dedicated Ethernet connection for the scanner.
- Can be used by both auto-feed and single-feed network scanners.
- EC9611 SMB model uses this option only.

To connect:

Plug the USB cable (included) into the square USB port on the back of the scanner (marked in red below) and plug the other end into a USB port on your computer
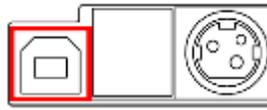
Option 2. Ethernet: Scanner and computer have separate connections to the network

In this configuration, you connect the scanner to the network. Your computer retains whatever network connection it had previously.
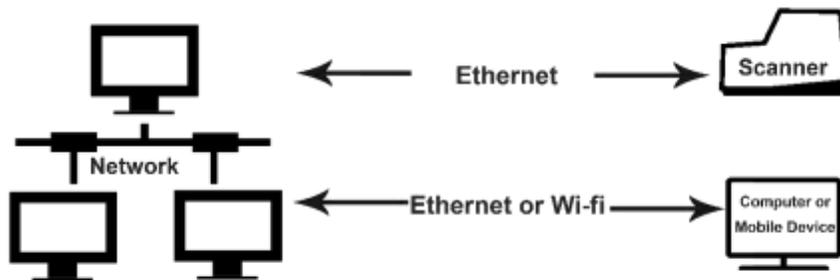
Considerations:

- All workstations on the same network can connect to the scanner.
- Requires a dedicated Ethernet connection for the scanner.
- Can be used by network scanners with at least one Ethernet port.

To connect:

1. Plug an Ethernet cable into the Ethernet port on the back of the scanner (marked in red below) and plug the other end into an Ethernet network jack. (Plug Ethernet cable into one of the two ports on EC9600i AF models).
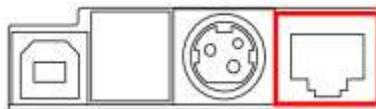
Option 3. Ethernet Switch: Computer is connected to the network through the scanner (EC9600i AF series models only)

In this configuration, you connect the scanner to the network and then connect your computer to the network through the scanner.

Considerations:

- For EC9600i AF models only: EC9603f, EC9604f, EC9608f
- All workstations on the same network can connect to the scanner.
- Does not require a dedicated Ethernet connection for the scanner
- The computer that connects to the network through the EC9600i AF network scanner is limited to a 100 MB/s connection.

To connect:
1. Disconnect the Ethernet cable that is plugged into your computer and connect it to the scanner in one of the two Ethernet ports (marked in red below).

2. Using the Ethernet cable that is included in your scanner box, connect one end to the other Ethernet port on the back of your scanner (marked in red below) and the other end into the Ethernet port on your computer.

Adding the scanner to the network

Depending on your network's security settings, an administrator might need to add the scanner to the network. The administrator will need the scanner's MAC address and device name:

- The MAC address is printed on the bottom or back of the scanner. (See Label on page 9)
- The scanner's device name is rd<*scannerserialnumber*>. For example, rd2807059603021. The serial number is printed on a silver label on the bottom or back of your scanner.

Operating the scanner

Caution: Do not open the cover or try to access the inside of the scanner while it scans a document.

Preparing documents

To reduce the possibility of errors and damage to the unit:

- Remove all folds and creases in the document.
- Remove any paper clips and staples from the document.
- Make sure that documents are not stuck together.
- Make sure that documents are dry.

Feeding documents

The scanner unit is ready to accept documents when the LED is flashing green. Insert the documents either one at a time with single-feed (SF) models, or in a batch with auto-feed (AF) models.

Make sure that you place the documents into the feeder with the MICR line at the bottom and facing towards the outside of the scanner.

Caution: Adjust the exit extension or the pocket stop to fit the documents that you are scanning. Documents can be damaged or jam in the scanner if the exit extension or pocket stop is not fitted to the documents.

Single-feed (SF) models

1. Start the scanning process. For example, click Scan on your payment application.
2. Hand-feed a document into the feeder until the scanner pulls the document through the transport. The document is scanned and processed.
3. Repeat steps 1 and 2 until you have scanned all your documents.

Click to view video: Feeding Checks on an RDM Single Feed Check Scanner

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists

Auto-feed (AF) models

Place documents into the document feeder.

> i.   EC9600i AF maximum documents = 30
> ii. EC9700i AF maximum documents = 60

Note: Do not push documents past the check icon on the right side of the document feeder in order to prevent document jams.

2. If you are required to do so, start the scanning process. For example, click Scan on your payment application.
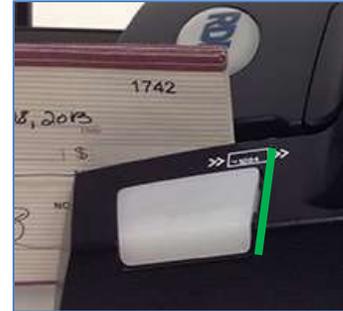
Click to view video: Feeding Checks on an RDM Auto Feed Check Scanner

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists

Swiping magnetic stripe cards (MSR models)

1. Place the card in the slot on the side of the scanner with the stripe down and facing towards the body of the scanner.
2. Swipe the card from front to back.

Imaging identification cards

The ID imager uses the same track as the document scanner, but you insert ID cards at the back of the scanner. Insert the card into the scanner so that the front of the ID card faces away from the scanner. The ID imager scans both the front and back of the identification card.

1. Insert the identification card into the back of the scanner track until you feel the scanner pinch the card.
    The scanner pulls the card through the track.
2. Remove the card from the front of the scanner track.

Understanding light signals

The scanner's status is shown through a single, multistate LED (light-emitting diode), which is the light on the top, front, right-hand side of the unit. The tables below describe typical status signals and their meanings for the EC9600i and EC9700i series scanners.

Signals in a typical document processing 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.

EC9600i network scanner signals

Status	LED Sequence	Notes
Booting	Solid red (max 30 seconds)	The scanner is starting.
Booting	Long-red and two short-green flashing cycle	
Unconnected	Long-green and short-red flashing cycle	The scanner does not detect an Ethernet or USB connection.
Idle	Long-green and short-green flashing cycle	The scanner is ready and idle. *Note: The idle signal depends on your payment application.*
Idle	Solid green	
Busy	Green flashing	The scanner is waiting for the user to insert a document into the feeder.
Busy	Solid green	The scanner is waiting for the user to take action on the PC application.
Busy	Green and red flashing cycle	The scanner is processing the documents. Wait for the scanner to finish.
Error	Red flashing	An error occurred while the scanner was processing the document. Check your PC application for instructions or refer to your local procedures. If you need more help, contact your distributor (reseller).

EC9700i network scanner signals

Status	LED Sequence	Notes
Booting	Solid Red (max 10 seconds)	Device is booting up
Unconnected	3 seconds Green / 3 seconds Red	No network connection: device is not connected to a network via Ethernet port or a computer via USB port
Idle	Solid Green (claimed or not claimed)	Device is connected and idle
Busy	Flashing Green (3 seconds on – 3 seconds off)	Operation in progress (scanning, MSR swipe, printing, firmware upgrade), including waiting for item
Error 1	Flashing Red (3 seconds on – 3 Seconds off)	Software has an error
Error 2	Flashing Red (1 seconds on – 1 second off)	Document track has an error

Maintaining your scanner

Removing the covers

RDM network series scanners have two covers that can be removed in order to clean the image sensor, replace cartridges, or clear paper jams.

Front cover

Remove the front cover when you need to clear paper jams, replace the franker cartridge, or clean the image sensor.

1. Disconnect the power cord from the scanner.
2. Pull the insertion extensions forward.
3. Grasp the front and the back end of the front cover.
4. Gently pull the cover upwards until it detaches from the scanner.

To replace the front cover:

Caution: Before you replace the front cover, make sure the insertion extensions are pulled forward. Otherwise, you might damage the front cover.

1. Carefully place the front cover over the scanner assembly. Make sure that the cover overlaps the assembly correctly by lining it up with the metal posts.
2. Gently push the cover down until it snaps into place.

Endorsement printer cover

Remove the endorsement printer cover when you need to clear paper jams, to insert or replace the endorser inkjet printer cartridge, or to clean the image sensor.

1. Grasp the top of the endorsement printer cover.
2. Gently pull the cover upwards until it detaches from the scanner.

To replace the endorsement printer cover:

1. Carefully place the endorsement printer cover over the scanner assembly; make sure that the cover overlaps the assembly correctly.
2. Gently push the cover down until it snaps into place.

Franker and endorser inkjet cartridges

**Franker cartridge
Item# 6000-6065**

**HP C6602A Black
Endorser inkjet cartridge
Item# 6000-6060**

The franker cartridge creates a red ink stamp that defaces the front of each check with a message that says "Electronically Presented". This option is available for the EC9600i scanners only (except EC9611 SMB). Franker cartridges are not included with scanners.

Certain network scanner models are inkjet endorser enabled to spray a user-defined text endorsement message on the rear of the check. Your payment application must also be enabled to support inkjet endorsement. Endorser inkjet cartridges are not included with scanners.

Franker and endorser inkjet cartridges can be purchased through your solution provider or scanner reseller.

Follow the directions below to insert the cartridges into the scanner:

Caution**:**

- Ink might be harmful if swallowed.
- Avoid contact with eyes.
- Damage to the unit or the cartridge which results from modifying the inkjet cartridge is not the responsibility of RDM.
- The inkjet cartridge is not refillable.
- Inkjet cartridges are not licensed for modifications.
- RDM may change product designs, features, or specifications at any time.

Installing the franker cartridge

1. Remove the front cover of the scanner.

    At the back of the scanner, the franker cartridge is held in place by a blue franker latch and a metal plate.

2. Lift the blue franker latch.
3. Pull the franker cartridge out of the scanner by the franker tab.
4. Insert the new franker cartridge. Make sure the top of the metal plate fits into the slot in franker cartridge (as pictured).
5. Secure the franker cartridge:
    a. Push the metal plate towards the body of the scanner (pushing in the franker cartridge).
    b. Lowering the blue latch over the franker cartridge until it snaps closed.
6. Replace the scanner cover.

Click to view video: How to Install the Franker Cartridge

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists

Installing the endorser inkjet cartridge

When you place the new inkjet cartridge into the holder for the EC9600i series, make sure that you insert it at the angle described in the following steps. If you do not insert the cartridge properly, it might not make contact with the document when it is scanned.

1. Remove the endorsement printer cover.
2. Pull the inkjet latch away from the inkjet cartridge (as pictured).

3. Pull the inkjet cartridge out of the scanner.
4. To insert the new inkjet cartridge, pull the inkjet latch back and place the inkjet cartridge into the holder. The cartridge needs to be at an angle so that the back of the cartridge is lower than the front of the cartridge.
5. Push the cartridge down into the holder until the cartridge snaps into place. Once installed, the inkjet cartridge sits on a slight angle with the back of the cartridge lower than the front.
6. Make sure there is no gap between the inkjet cartridge and the endorsement channel.
7. Replace the endorsement printer cover.

Click to view video: How to Install the Inkjet Cartridge

Alternatively visit: https://www.youtube.com/user/RDMCorporation/playlists

Replacing the inkjet blotter

Scanners with endorsement printers include an inkjet blotter that absorbs excess ink from the endorsement process. Over time, the blotter might stop absorbing ink effectively and so should be replaced. Scanners with endorsement printers come with five replacement blotters.

To replace the inkjet blotter:

1. Remove the front cover of the scanner.
    At the back of the scanner, above the franker cartridge, you can see the top of the inkjet blotter, as shown below:

2. With your finger or tweezers, remove the inkjet blotter from its slot.
3. Dispose of the used blotter.
4. Insert the replacement inkjet blotter into the slot.

Replacing the paper roll for the printer

If your scanner has a printer, the following steps describe how to replace the paper roll.

1. Press the printer door release button and completely open the printer door.
2. Remove the empty paper roll from the paper compartment.
3. Insert the new paper roll into the compartment, with the end of the paper roll rolling from the top.
4. Pull the paper out of the compartment and close the printer door so that the end of the paper sticks out of the compartment (as pictured). Push the door closed in the center of the printer door.
    Make sure the cover is completely closed. If you push the cover from the sides, the cover might not close completely. When closed correctly, both sides of the printer cover are flush with the scanner.
5. Rip off any access paper sticking out of the printer cover.

Cleaning your scanner

RDM recommends that you periodically clean the scanner to remove dust, ink and debris build-up to ensure optimal performance and extended scanner life.

There are two ways to clean your RDM scanner:

1. Using the **RDM ScannerCare Cleaning Kit**, which includes WaffleTechnology™ cleaning cards and device wipes:
   o You can use the RDM ScannerCare application via the RDM Network Scanner Dashboard or your payment application's document feeding cycle as described below.
2. **Manually**, by follow instructions provided in *Manual cleaning* on page 34.

Using RDM ScannerCare Cleaning Kit

Cleaning the scanner using the RDM ScannerCare application

1. You can access the RDM ScannerCare cleaning application through the RDM Network Scanner Dashboard (see page 38):
2. Select the "RDM ScannerCare" page.
3. Select the "Clean scanner" tab.
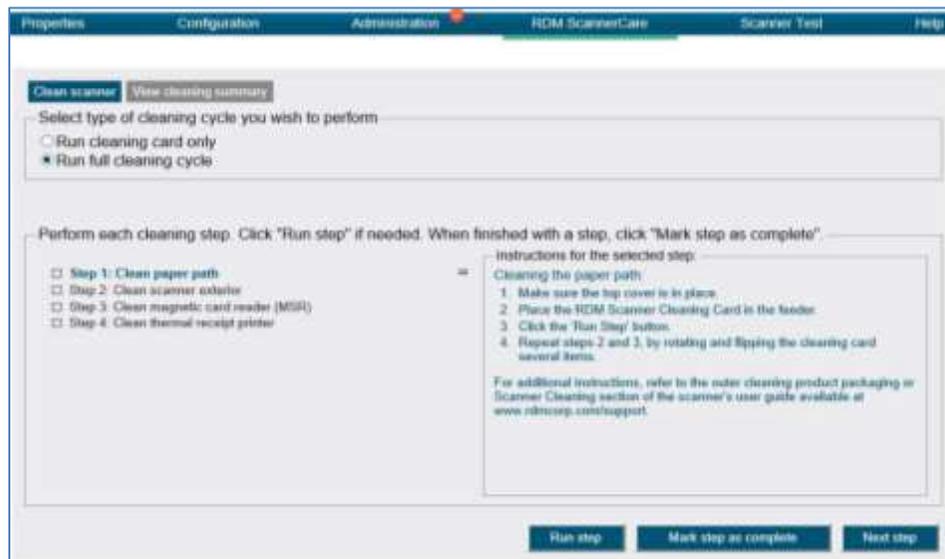
4. Choose to run either the cleaning card only or run a full cleaning cycle.

5. Perform each step. Click on each step as needed and follow the instructions.
    a. Click the "Run step" button to begin the step.
    b. When the step is completed, click the "Mark step as complete" button.
    c. Click on either the next step, or the "Next Step" button to advance to the next step.
    d. Continue until all steps are completed.
6. Select the "View cleaning summary" tab.
7. View the cleaning summary for the scanner. The summary shows various information related to each scanner cleaning step.

Here is the "View cleaning summary" tab:

Cleaning the scanner with a document feeding application

1. Start your document feeding application.
2. Run the cleaning card through the RDM scanner several times, rotating the card top to bottom on both sides.
3. Cancel the application, discard the used cleaning card.

Manual cleaning

Scanners perform best when all working surfaces are clean and free of foreign material.

Caution:

- Always disconnect the scanner from its power source before manual cleaning.
- Solvents or harsh cleaners might damage or discolor the cabinetry.

Cleaning the outside cabinetry

Use a damp cloth and mild soap.

Cleaning the inside of the scanner unit

1. Remove the front cover and the endorsement printer cover.
2. Use a dusting brush designed for use with electronic equipment or a compressed air duster to clean inside the scanner.
3. Replace the covers.

Cleaning the image sensor

Caution: Always disconnect the unit from its power source before cleaning the image sensor.

1. Remove the front cover and the endorsement printer cover.
2. Open both the front and back panels that cover the image sensor.
    The front panel can open up to 90°. The back panel opens only a few degrees.
3. Use any of the following to gently remove any ink or dust from the image sensor.
    - A lens cleaning tissue.
    - A damp lint-free cloth.
    - A cotton swab dampened with rubbing alcohol.
4. Clean the glass on each panel thoroughly.
5. Replace each of the covers.

Troubleshooting

During everyday operations, you might encounter minor malfunctions with RDM EC9600i and EC9700i series network scanners. Before calling for service, review the troubleshooting steps below.

Scanner does not respond

1. Ensure the cable that connects your scanner to your computer is properly connected to the correct port on the back of the scanner and computer (according to instructions provided by your reseller).
2. Make sure that the correct power cord is connected to the unit. If your power cord has an on/off switch, make sure the switch is in the "on" position. Change or replace the cord, if necessary.
3. If the problem persists, contact your solution provider or help desk.

Card transactions do not function properly

1. Ensure that you are swiping the card properly.
   The black magnetic stripe on the back of the card must face downward and towards the body of the scanner.
2. Try using another card to ensure the first card was not defective.
3. If the problem persists, contact your solution provider or help desk.

Printer does not print

1. Ensure you are using 3" Thermal printer roll (see 44)
2. Ensure that the printer has not jammed.
3. Ensure that the end of the paper, rolls from the top of the roll as shown.
4. Ensure that the printer door is completely closed.
5. If the problem persists, contact your solution provider or help desk.

Can't connect to network scanner

If your payment application cannot connect to the network scanner, try the following troubleshooting steps:

- Make sure the scanner is connected to a power source and to your computer or network. The status LED light should be solid green.

- Your payment application might require that you install security certificates to use the scanner. Make sure that you have installed these certificates. See your payment application's documentation for how to install the certificates or contact your application provider.

- If your payment application uses your internet browser, it might require that you make changes to the browser's security settings. See your payment application's documentation for how to configure your browser.

- If you're using a network connection and there are multiple network connections in your work area (for example, Ethernet cables or Ethernet wall jacks), try connecting the scanner to another connection.

- Try to access the RDM Network Scanner Dashboard (see page 38).

  If you can open the scanner dashboard, then your computer can connect to the scanner, but something is preventing your payment application from connecting to it. This situation typically indicates that you need to install security certificates or configure your browser's security settings. To confirm that you have installed certificates and configured your browser, see the documentation for your payment application.

Network Scanner Dashboard

You can use the Network Scanner Dashboard to configure, clean and troubleshoot the scanner.

Click to view video: Network Scanner Dashboard

 Alternatively visit: https://www.youtube.com/user/RDMCorporation

To access the RDM Network Scanner Dashboard:

1. Open a browser (Internet connection required)

    a. **For USB connections**:

        i. In the URL address bar, enter: **https://usb.rdmscanners.net**

        ii. Alternatively enter:

            On Windows: **https://rd<*scannerserialnumber*>**

            On Macintosh: **https://rd<*scannerserialnumber*>.local**

            For example, https://rd3005069611030.*local* **(for Mac)**

    b. **For Ethernet connections**:

        i. In the URL address bar, enter:

            On Windows: **https://rd<*scannerserialnumber*>**

            On Macintosh: **https://rd<*scannerserialnumber*>.local**

            For example, https://rd3005069611030.*local* **(for Mac)**

    If you can't open the Dashboard, then you might need to have your network add the scanner to the network by:

    - Using the scanner's MAC address (located on the bottom or back of the scanner)

    - The scanner's device name is rd<*scannerserialnumber*>. For example, rd3005069611030.
        - The serial number is printed on the bottom or back of your scanner, depending on the model.

Below is a screen shot of the Dashboard:

The dashboard is broken up into multiple pages that allow you to view information about the network scanner and modify its settings:

- **Properties:** Lists information about the scanner and its network configuration. This page is useful when troubleshooting the scanner.

- **Configuration:** Allows you to adjust the scanner's date and time and network settings.

- **Administration:** Allows you to upgrade the scanner's firmware, reboot the scanner, and change the administrator password.

- **RDM ScannerCare:** Instructs you on how to clean your scanner using the RDM ScannerCare Cleaning Kit.

- **Test Scanner:** Allows you to test the features of the network scanner. These tests can be useful if you need to troubleshoot the scanner or a specific feature of the scanner.

- **Help:** Lists detailed information about the other pages and their options.

The Configuration and Administration pages require a username and password to access. The defaults are:

- **Username:** administrator
- **Password:** rdm123

Testing the network scanner

The Test Scanner page of the network scanner dashboard allows you to test the features of the RDM network scanners. The available tests depend on the available features on your model of scanner.

The tests can include:

- **Scan a document:** Tests the scanner's ability to scan an item in single feed mode, capture the front and back of the item, and read the MICR line. To test

- **Scan a document with decisioning:** Tests the scanner's ability to scan an item in single feed mode, capture the front and back of the item, and read the MICR line. You are also prompted to accept or reject the item.

- **Scan documents in batch mode:** Tests the scanner's ability to scan a batch of items in an auto-feed scanning mode, capture the front and back of the items, and read the MICR lines.

- **Scan an ID card:** Tests the scanner's ability to scan and read ID cards, such as a driver's license.

- **Read MSR stripe:** Tests the scanner's ability to read a card with a magnetic stripe. After the test, the information contained in the magnetic stripe displays.

- **Print sample receipt:** Tests the scanner's ability to print receipts.

After scanning a document, ID card, or MSR stripe, a dialog appears with information about what was scanned. For example, after scanning a check, the following dialog appears:

This dialog includes front and back images of the document, an IRN, and the MICR number.
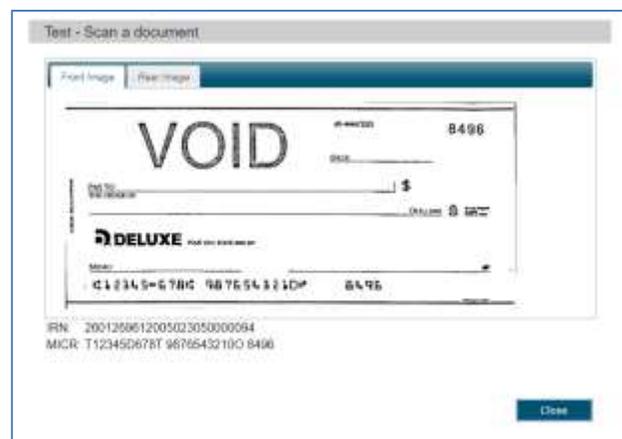
Restoring factory default settings

The RDM network series scanners have a reset button in the back-right corner of the scanner. The reset button restores the dashboard settings to their factory default. The reset button does not affect the firmware installed on the scanner.

To restore the scanner's default settings:

1. Unplug the scanner.
2. Use a pin to hold down the reset button and plug in the scanner.
   The scanner starts with the factory default dashboard settings.

After you restore the scanner's default settings:

- If you made changes to the dashboard settings to allow the scanner to work on your network, you will need to make these changes again.
- The password used to access the Configuration, Administration, and Test Scanner pages is reset to its default (rdm123)

Specifications

Physical Dimensions		

Depth:
Min: 237mm (9.3")
(with retracted extensions)
Max: 311mm (12.25")
(with fixed extensions)
	Width:
	Standard Models: 154mm (6.0")
	MSR Models: 157mm (6.2")
		Height:
		EC9600i:
		    Standard Models: 175mm (6.9")
		    Receipt Printer Models: 245mm (9.65")
		EC9700i:
		    Standard Models: 201mm (7.9")
		    Receipt Printer Models: 245mm (9.65")

Document Feed Capacities		
Preferred paper weight: **20 lb. to 32 lb.**	**Height**: Min: 50.8mm (2") Max: 101.6mm (4")	**Length**: Min: 101.6mm (4") Max: 228.6mm (9")
Single-feed models	EC9611 SMB/EC9611/12/13	Single Document
Auto-feed models *(multi-feed)*	EC9603/04/08	Up to 30 documents Up to 60 documents (based on document thickness & condition)
Document collection pocket	Up to 60 documents. (based on document thickness & condition) Maintains the integrity of the order of the original source documents.	
Technical Features		
MICR reader	E13B or CMC7 MICR Fonts. OCR E13B MICR Assist available. Uses RDM's Progressive MICR Method for optimum MICR read accuracy (except EC9611 SMB models which uses optical recognition for E13B characters only. CMC-7 is not available on EC9611 SMB	
Image capture	Duplex imaging. **File formats:** Tiff 6.0, JPEG, BMP (uncompressed). **File compression:** JPEG for color (RGB) and grayscale (Quality 25), CCITT Group 4 (ITU T.6) (or no compression) for bi-level. **EC9600i documents and ID cards:** 100 or 200 DPI grayscale or bi-level **EC9700i documents:** 200 or 300 DPI grayscale. **EC9700i ID cards:** 300 or 600 DPI color or grayscale.	

Image processing	**EC9600i:** Up to 4 images, any combination, front and back for documents or ID cards.
	    Resolutions for documents: 100, 200 DPI grayscale or bi-level
	    Resolutions for ID cards: 200 or 400 DPI image resolution. (V-scan captured at 200DPI)
	EC9700i: Up to 6 images, any combination, front and back for documents or ID cards.
	    Resolutions for documents: 100, 200, 300 DPI grayscale or bi-level
	    Resolutions for ID cards: 300 or 600 DPI color, grayscale or bi-level	

Identification (ID) card imager	Integrated Duplex Imaging. 54mm [2.13"] (V) x 86mm [3.39"] (H)	
Image Quality Assurance (IQA)	IQA includes too light/too dark /skew (Bi-Level Images Only).	

Magnetic Stripe Reader (MSR) *(select models)*	Integrated 3-track, bi-directional, alphanumeric, encryption capable MSR.
Optical character recognition	OCR recognition can be performed under application control as follows: **EC9600i**: Alphanumeric OCR A & B – optional license required **EC9700i**: Alphanumeric OCR A & B and 2D barcode (PDF417) optional
Franker	Under application control a fixed text message "Electronically Presented" can be stamped on the front of a document, in red ink for EC9600i series only.
Inkjet endorsement printer	Under application control, a single line 1/8" high text message can be printed on the rear of a document. HP C6602A inkjet cartridge required.
Scanner status LED	Provides the unit's status via illuminated LED.
USB port	High Speed USB 2.0 (480 mbps) on all models.
Ethernet ports	**Ethernet Port Configuration** EC9600i: max. network speed of 10/100 mbps EC9700i: max. network speed of 10/100/1000 mbps <table><tr><td><u>Model type</u></td><td><u>EC9600i</u></td><td><u>EC9700i</u></td></tr><tr><td>Single-feed (SMB)</td><td>n/a</td><td>n/a</td></tr><tr><td>Single-feed (SF)</td><td>1</td><td>n/a</td></tr><tr><td>Auto-feed (AF)</td><td>2</td><td>1</td></tr></table>
Receipt printer *(select models)*	Integrated 3" thermal receipt printer. Clamshell paper load. Paper width 80mm (3.15"). Print width 71mm (2.8"). Maximum print speed of 170mm/sec (6.7"/sec). Uses power from scanner's power supply.

Software and Support

Supported browsers	Internet Explorer, Edge, Chrome, Firefox and Safari.
System environments *(Ethernet connected)*	Virtual desktop/thin client (e.g. Citrix) and Virtual machine (e.g. VMware Horizon) environments.
Development software	RDM Network Scanner Developer Package. Includes RDM SCI API components and sample applications.
3rd party certifications / licenses	Silver Bullet Technologies Ranger™ Remote (embedded). Requires Ranger licensed models

Environment

Operating temperature	10 to 40 Degrees C (50 to 104 Degrees F).
Operating humidity	10 to 85% relative humidity (non-condensing).

Power Rating

Unit input (24VDC)	Standard Models: 1.5A. Receipt Printer Models: 2.5A.
Power supply input range	100–240V, 50/60 Hz.

Other	
Certifications	IEC 62368-1 (Product Safety) For EC9700i IEC 60950-1 (Product Safety) For EC9600i FCC Part 15, Subpart B, Class A - Unintentional Radiators (EMC)
Warranty	2-year standard warranty.
Life expectancy	5 years under normal usage.

Consumables and Accessories	
	RDM part number
Replacement franker cartridge – "Electronically Presented" red ink *(sold separately)*	6000-6065
Replacement HP inkjet printer cartridge *(sold separately)*	6000-6060 (HP C6602A) – black ink
Ink Jet Blotter - 5 pack	302987
Thermal paper roll 3.125" W x 225' L (3.125" maximum diameter)	Standard thermal roll paper available from office supply stores
Replacement power adapter and cord	**EC9600i bundle**: 302843 - standard models. 303811 – receipt printer models. **EC9700i individual:** 303986 - power supply. 303988 - power cord.
USB 2.0 cable, A to B male, shielded, 2m (black)	6000-6106
Ethernet cable, Cat5E RJ45 350MHZ, 1.5m (black)	6000-6114

Warranty Information

LIMITED WARRANTY:

RDM network series scanners are warranted against defects in materials and workmanship under normal use and service for a period of two years after the date of receipt by you. This warranty is extended only to the original purchaser. Extended warranty programs might be offered by your solution provider.

The entire liability of RDM Corporation (the Corporation), distributors of the RDM network scanners and manufacturers of auxiliary equipment used with the RDM network scanners 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 RDM network scanners that does not meet the 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 RDM network scanners has resulted from accident, abuse or misapplication. Any replacement RDM network scanners will be warranted for the remainder of the original warranty period.

The equipment is sold with the understanding that neither the Corporation, such distributors nor such manufacturers will be liable for any damages whatsoever (include, without limitation, direct or indirect damages for personal injury, loss of business profits, business interruption, loss of business information, or any other pecuniary loss) arising out of the use of or inability to use the RDM network scanners, 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 RDM network scanners shall be limited to the amount actually paid by you for the RDM network scanners. 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 RDM network scanners and the accompanying written materials.

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;
- Failures which result from accident, misuse, abuse, neglect, excessive dirt or dust cause by lack or preventative maintenance measures, mishandling, misapplication, alteration or modification;
- Service by anyone other than RDM;
- Damage that is attributable to acts of nature including but not limited to:
    - Flood, lightning, power surge or static electricity, water damage, fall, 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 Roller or Franker Assembly, or other RDM network scanners consumables or accessories such as cables.

RDM scanner units with problems found to be caused by incorrectly set configuration parameters 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 reconfigured with factory defaults and returned to customers.

RDM and its authorized service depots reserve the right to charge a fee for scanners found to be problem free "No Trouble Found".

Chapter 10. 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

Panini Vision X
Operator Manual

CONTENTS

0. Preface

1. General

2. Learning about the Panini Vision X

3. Operating your Panini Vision X

Second Edition:
February 2008

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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 CE affixed to the product certifies that the product satisfies the basic quality requirements.   CE

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.

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.

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.

Chapter 7: "Vision X SD Addendum"

Chapter 8: "Vision X AGP Addendum"

Chapter 9: "Vision X P Addendum"

Chapter 10: "Multilingual WEEE Disposal Procedure and Safety Precautions" explains how to dispose the Vision X in 12 languages

1. General

Congratulations on your selection of the Panini Vision X!
The Panini Vision X is the next generation check scanning platform designed specifically for distributed check capture.
With a small footprint, sleek design and quiet operation, the Panini Vision X series is the ideal choice for a wide array of applications such as: Teller Window, Back Counter, Commercial Deposits, Microfilm Replacement, Cash Vault, Brokerage Houses, Accounts Receivable Conversion (ARC), just to name a few.

The Panini Vision X incorporates the latest, state-of-the-art technology and the latest standards for check processing in the marketplace. It is characterized by its ease of use and scalability.

A unique, patent-protected 3-mode feeder can be found in the Panini Vision X, allowing for single item feeding, up to 50 items batch feeding or up to 100 items batch insertion.

Panini Vision X image capture capabilities have been optimized in order to guarantee image integrity and perfect data readability despite variations in documents processed, operational skills, environmental and usage conditions.

MICR reading technology available with the Panini Vision X is comparable to the larger and faster reader sorter, thanks to the Panini MICR Plus™ technology.

Taking advantage of the most up to date technology, the Panini Vision X connects to computers via USB2.0 interface, allowing for fast data transfer at no additional cost.

A rear Ink-Jet endorser can also be found on the Panini Vision X.

The Panini Vision API is standard on the Vision X, guaranteeing easy and reliable software integration.

Finally, the Panini Vision X has been designed specifically to allow for entire track accessibility, including scanner area, for easy intervention and for maintenance purposes.

1.1 Audience

This manual is written primarily for personnel who process checks or other documents.

1.2 Safety Precautions

Before you begin operating or servicing your Vision X as instructed in this manual, please make sure you read and understand these important safety instructions.

- Dress safely. Do not wear loose clothing, long hair or jewelry that can become entangled in moving parts.

- Do not allow anything to rest on the power cord. Do not locate the Vision X where people may walk on the cord.

- Always unplug the Vision X before cleaning.

- Do not attempt to service or repair the Vision X, except as instructed elsewhere in this manual.

- Attempting to service or repair the external power supply of the Vision X may expose you to dangerous voltage points or other risks.

- Refer all servicing to qualified service personnel.

1.3 If the Machine is Damaged

Unplug the Vision X from the wall outlet and refer servicing to qualified personnel under the following conditions:

- If the power cord is damaged or frayed.
- If liquid has been spilled into the product.
- If the equipment has been exposed to rain or water.
- If the equipment does not operate normally when the operating instructions are followed.
- If the equipment has been dropped or damaged.
- If the equipment exhibits a distinct change in performance, indicating a need for service.

Adjust only those controls and replace only those items that are covered by the instructions in this manual. If you attempt to make adjustments not covered in this manual, you may damage the equipment and void the warranty.

Unauthorized adjustments or repairs may result in the need for extensive work by a qualified technician to return the equipment to its proper working condition.

2. Learning About the Panini Vision X

The Panini Vision X is a compact, easy-to-use and quiet scanner.

The Panini Vision X automatically scans the front and/or rear of checks while simultaneously capturing the Magnetic Ink Character Recognition (MICR) code line. An optional Ink-Jet endorser prints alphanumeric characters on the rear of items. Any of the Windows standard fonts can be used for printing endorsements. The Panini Vision X is connected to a PC via a USB2.0 interface.

2.1 Packaging List

The Panini Vision X package includes:

– Operator Manual (1)
– Accessories box (2)*
– Panini Vision X scanner unit (3)
– Power cable (4)

(*) The accessories box contains:

- Feeder Extension
- Extension plate
- Ink-Jet Cartridge HP C6602A
  (Panini P/N: CA-00138-00)
  Cartridge not included with No Ink Jet (NJ) versions
- Ink-Jet Plastic Lever (adapter for HP 51604A cartridge)
- USB 2 Cable
- Power Supply

Fig.1

Fig.2
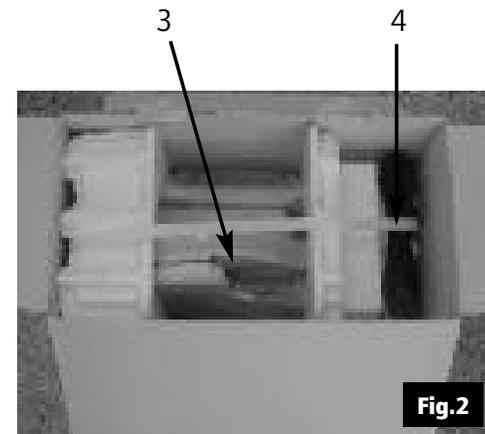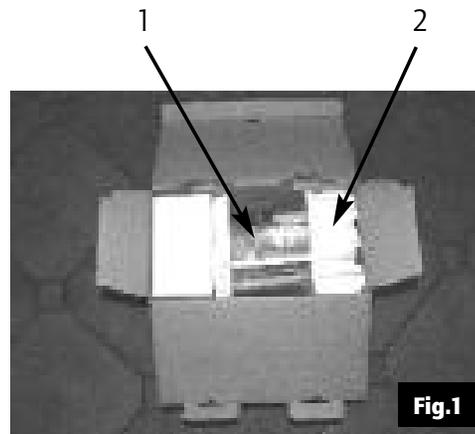
Removing the Panini Vision X from the Packaging

1. Remove the Accessories box, the operator manual and the power cable out of the packaging.
2. Holding the packaging down with one hand, lift the Vision X together with the packing materials making use of the plastic handle (Fig.3).

Plastic handle

Fig.3

C

B

A
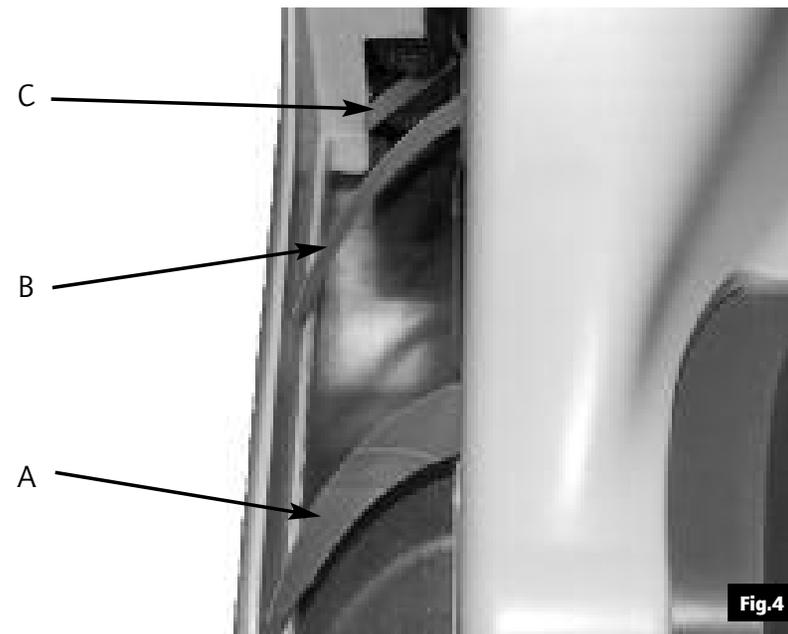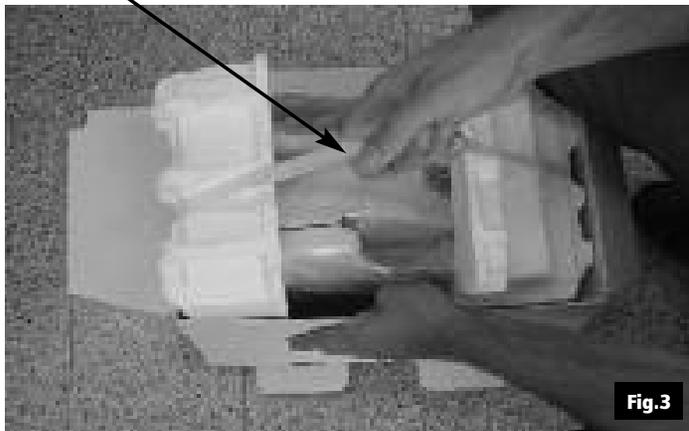
Fig.4

Attention: • **Don't use the plastic handle to carry the Vision X from one place to another. Use it only to extract the device from its packaging.**
• **During unpackaging, do not remove or pull the Mylar blades A, B and C (see Fig.4).**

2.2 External Parts Description

This section describes the major components of the Panini Vision X.
The component names introduced here and shown in the figures are used throughout this manual.

Inner Cover

Pocket
Extension

Document
Pressure
Plate

Outer Cover

Extension
Plate

Feeder
Extension

Bottom Cover

Fig.5

**Advanced Solutions
for Document Processing**
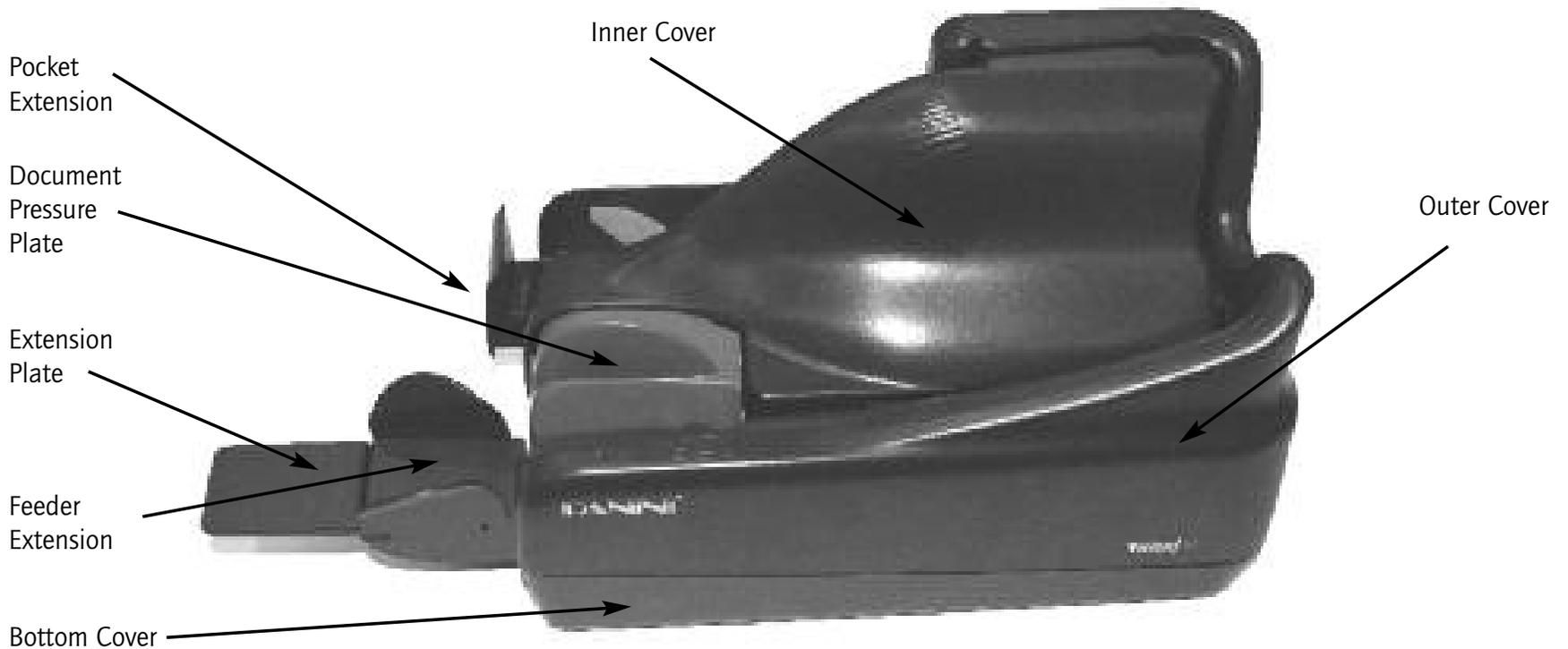
2.3 Internal Parts Description

1   Document Pressure Plate
2   LED board
3   Feeder Roller
4   Feeder Sensor
5   Separator Roller
6   Rear Separator Roller
7   Pre-magnetization Head
8   Synchronization Sensor
9   MICR Reading Head
10 "U" Track Wall
11 Transport Rollers
12 Ink-Jet Cartridge Cradle
13 Front Image Camera
14 Rear Image Camera
15 Pocket sensor
16 Transport Belt
17 Interlock Board
18 Feeder Motor

Fig.6
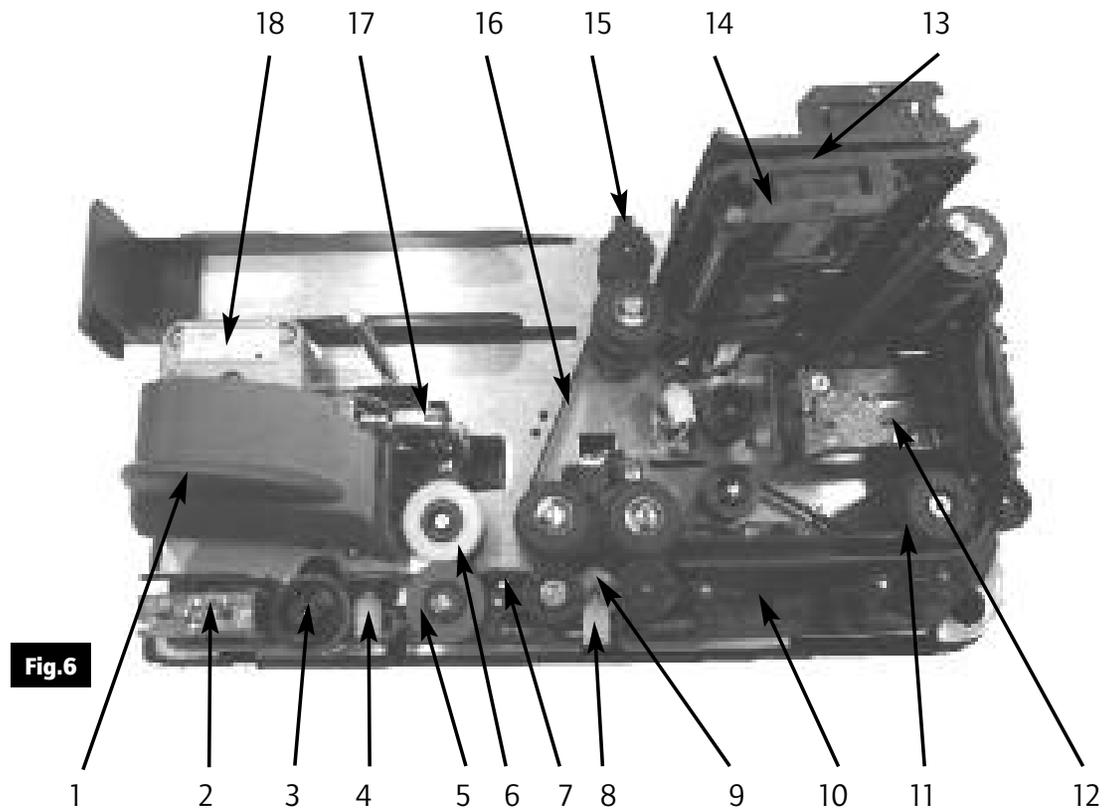
3. Operating your Panini Vision X

3.1 Document Support Installation

Insert the Feeder Extension in the slot uncovered by pushing back the Document Pressure Plate. Installation is correct if the Feeder Extension is at the same level of the entrance of the scanner platform.

Document
Pressure Plate

Feeder
Extension

Slot

Fig.7

3.2 Extension Plate Installation

The feeder extension is designed to support all documents anticipated to be processed by the Vision X. Markets or applications that process a large number of long documents (longer than 8 inches) may find it necessary to apply the optional extension plate for better document support, reducing the risk of image skewing, MICR rejects, etc. Assembly is made by sliding the extension plate, face side up, along the bottom side of the feeder extension into the support notches until the plate snaps into place (Fig.8). The lock tabs should securely fit into the round holes and the short and long tabs should be fully inserted into the support notches (Fig.9).

Fig.8 Feeder extension Support notches — Extension plate Face side up

Fig.9 Lock tabs should be in round holes — Long and short tabs should be fully inserted into the support notches
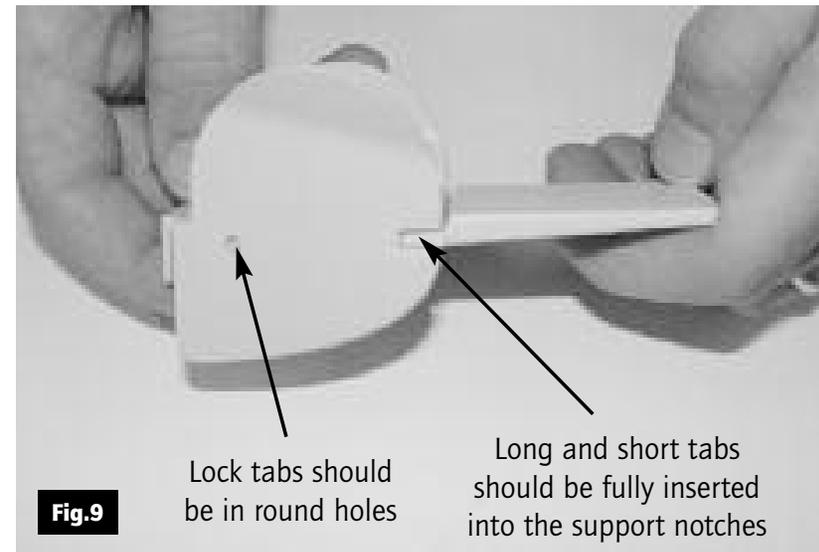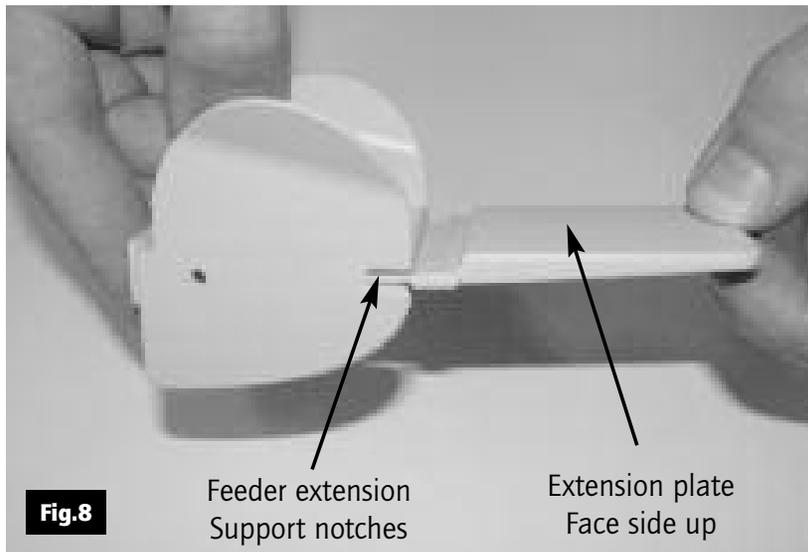
To remove, firmly grip the feeder extension and the extension plate and pull apart.

3.3 Power Cable Connection

Before connecting the scanner to your PC, make sure to locate the unit on a flat surface near the PC, away from direct light and from electromagnetic equipment.

1. Plug the power cord connector in the Power Supply socket (Fig.10).
2. Plug the Power Supply cable in the Vision X power connector (Fig.11).

> **Warning:** • The electromagnetic emission from a CRT monitor can produce interference and affect the MICR reading; therefore place the Vision X as far as possible from the CRT.
> • The Vision X will be in compliance to the standard IEC/EN 60950-1 and UL 60950-1 only using the Power Supply model DSA-0421S-28 1 42 provided with the machine.

Fig.10

Fig.11

3. The Vision X should be plugged into a dedicated electrical power outlet. The socket outlet shall be installed near the equipment and shall be easily accessible. The power supply will be 100-240 VAC (no power selection required), and the frequency 50/60 Hz. If you are not sure of the type of power available, consult your Service Representative or local power company.

Note: There is no LED power indication upon connecting the Vision X. LED status indicators only illuminate when the application connects to the Vision X unit. See section 4.1.

3.4 USB 2 Cable Connection

Connect the USB 2 cable to the USB 2.0 port located on the rear side of the scanner, then connect the other end of the cable to an available USB 2.0 port on the PC.

USB 2 cable

Fig.12

3.5 HP C6602A Ink-Jet Cartridge Installation (*Optional)

Remove the inner cover (*see section 5.1 for details*).

Take a new Ink-Jet cartridge out from its package.

Do not touch the ink with your fingers or clothing: it will stain.

Angle the front side of the cartridge downwards and face the two pins with the two holes in the cradle.

Gently push down the rear side of the cartridge until it snaps in the plastic retainer.

* If the unit was purchased without the endorser option then the unit is shipped without an ink cartridge and that one is not needed to run the device.

Ink-Jet cartridge HP C6602A
Panini P/N: CA-00138-00

Plastic retainer

Cartridge cradle

Fig.13
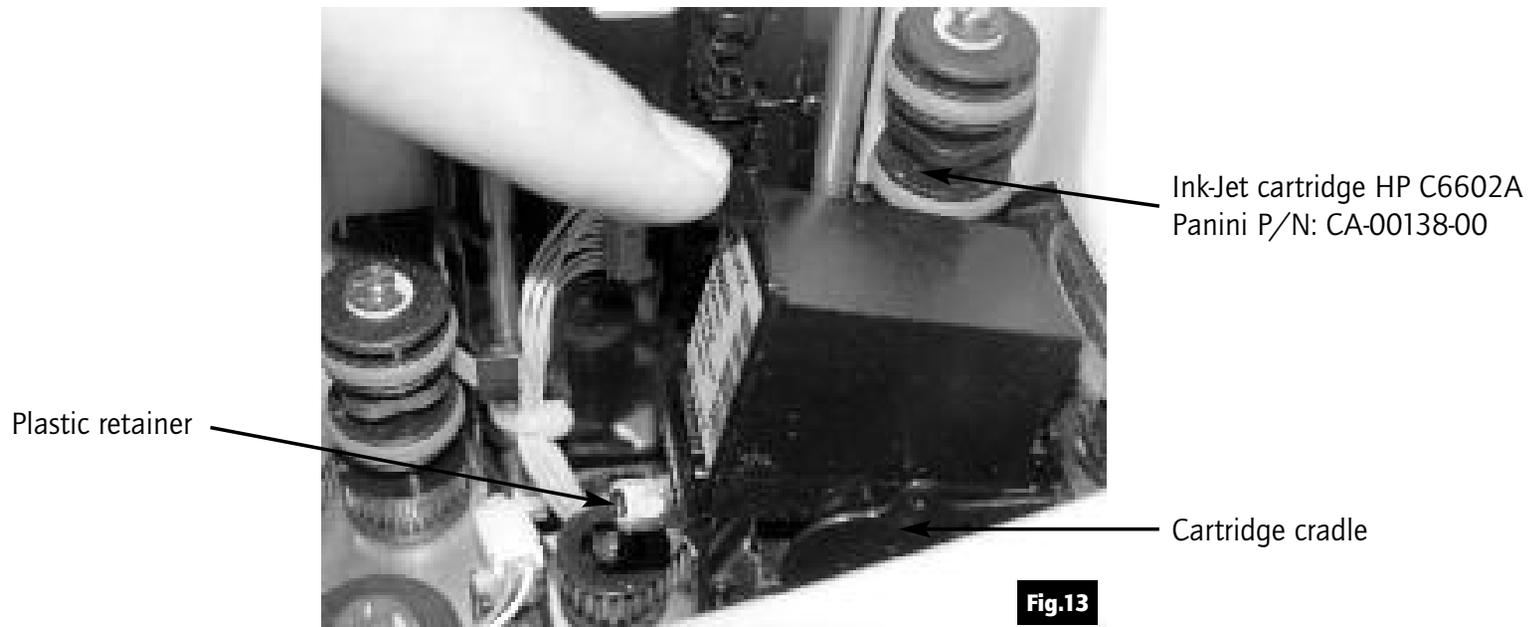
3.6 Pocket Length Adjustment

Adjust the pocket length by inserting the longest document that will be processed in the pocket.
Move the pocket extension left or right until a space of 5 mm (1/4") is available between the leading
edge of the document and the end of the pocket extension.

5mm (1/4")
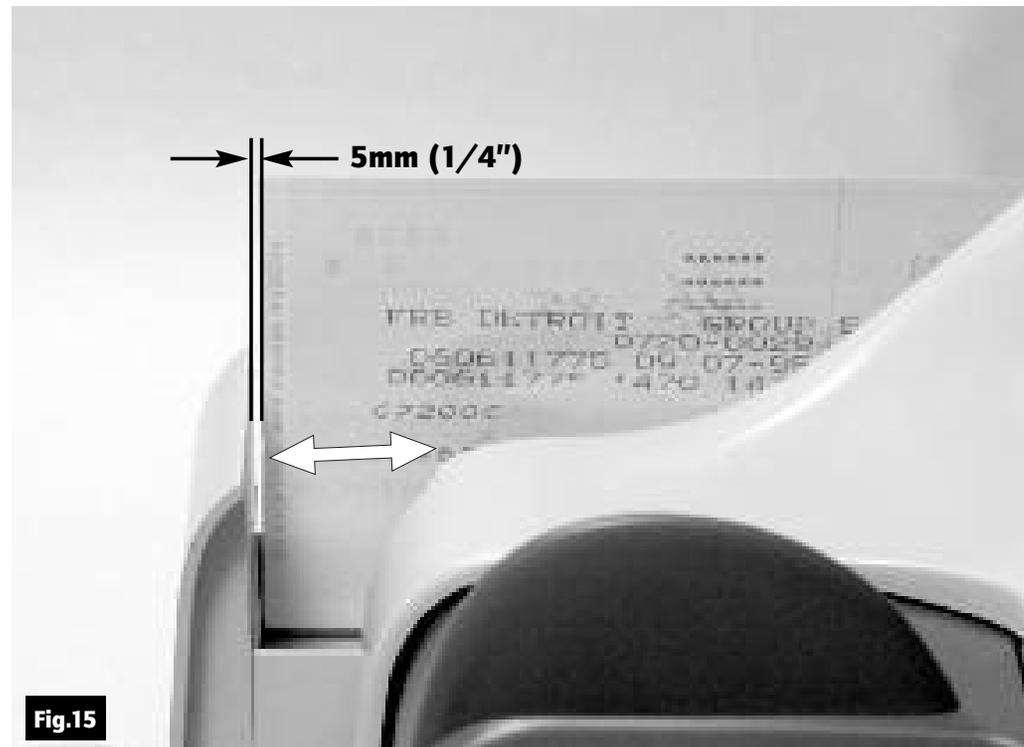
Fig.15

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.

Bottom edge

Fig.17

Leading edge

Fig.18
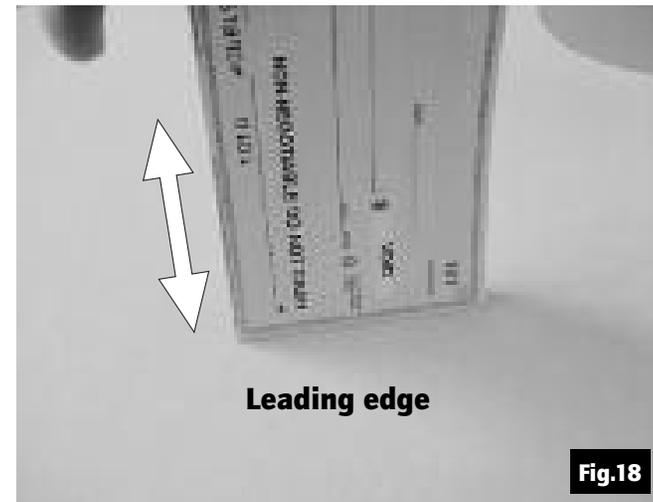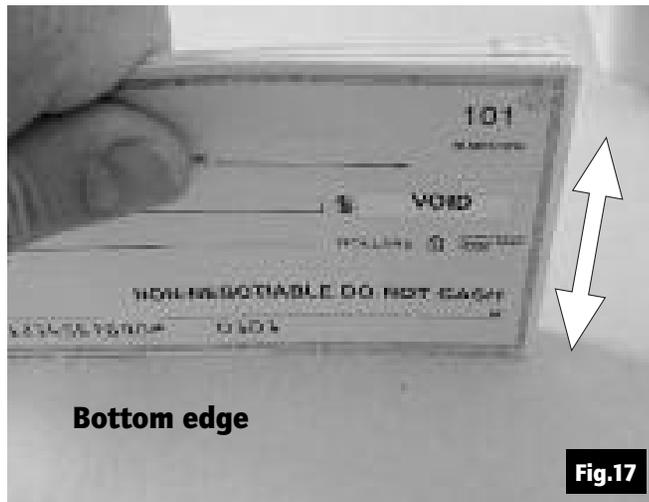
Tip: Use a mechanical jogger device for faster and more accurate alignment of bottom and leading edges.

Feeding Documents

You may feed documents one at a time or in small batches by inserting the documents all the way into the feeder. (Fig.19).
The documents must be inserted into the feeder so that the leading edge fits between the two black lines shown in Fig.20.

Fig.19

Fig.20
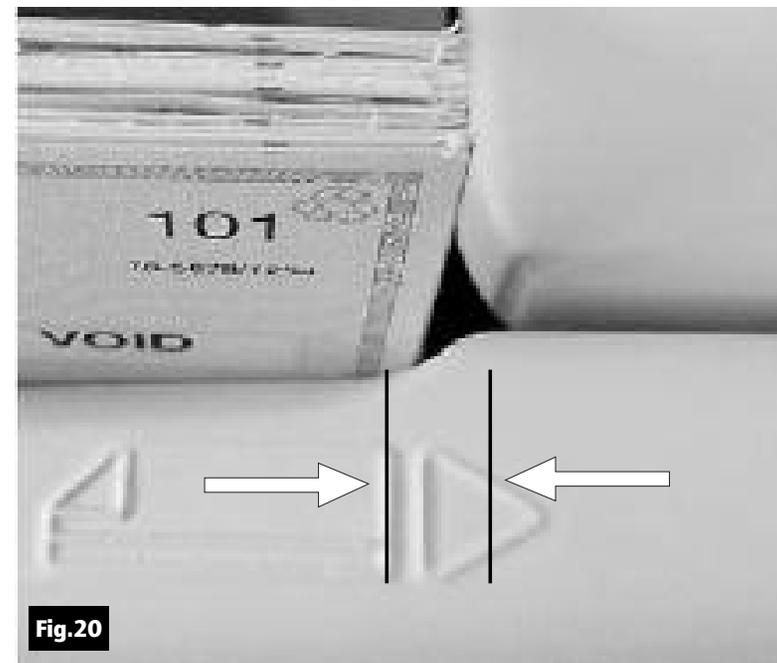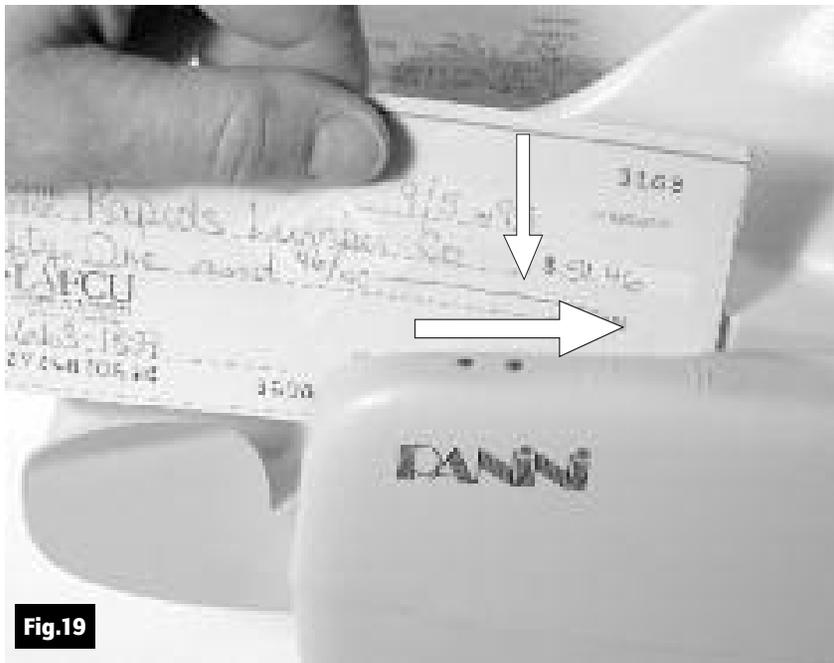
Do not insert the checks past the rollers.

Larger batches up to 100 checks require the pressure plate be pushed back before inserting checks into the feeder.

To prevent misfeeding, do not insert more than 100 documents into the feeder. Leave at least 2 mm (1/8") between the last document and the pressure plate in the maximum backwards position. The leading edges of the documents should be aligned as described in the previous page.

2mm (1/8")

Fig.21

Document Feeder Options

Depending on the configuration ordered, three feeder types are available:

1. *Full Feeder (FF) Option:*
Designed for both single document automatic insertion and up to 100 document batch processing.

2. *Small Feeder (SF) Option:*
Designed for both single document automatic insertion and up to 50 document batch processing.
Note: The small feeder option causes the automatic document feeding operation to stop, followed by a system warning message, after 50 consecutive documents have been processed, according to the ordered configuration. The feeder sensor must then be cleared by removing the documents from the feeder and then repositioning and restarting the application. All other features are the same as the Full Feeder.

Note: This option is reset if the feeder is emptied before the 50 document limit is met for the 50 documents limited feeder.

3. *Single Document Feeder (1F) Option:*
Designed to process documents one at a time with single document automatic insertion.
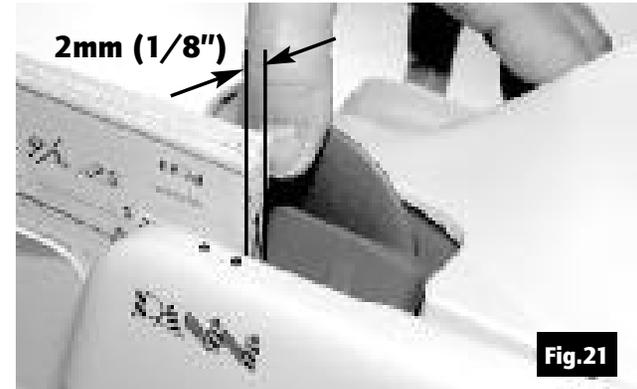
The feeder is designed so that checks can be loaded continuously, while the scanner is processing. This can be done by inserting checks behind those already present in the feeder.

Fig.22

Removing Documents from Pocket

Processed documents are sent to the exit pocket.

For best result, follow these recommendations:

- Remove the documents when the pocket is nearly full. Jams occur when the pocket is too full. No "pocket-full" sensor is available.
- Occasionally verify that the endorsements are clearly printed.
- Occasionally verify that the images are being properly captured and that the image quality is good.

4.3 Clearing Jams

When a jam occurs, the paper path must be cleared. To do this, first remove all the documents from the exit pocket and then free the track by pressing Eject in your application. In case of unsuccessful operation, apply the following suggestions:

Fig.23

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.
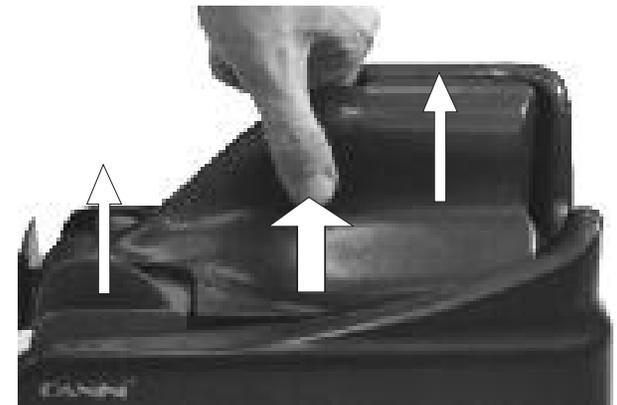
Fig.24

3. Grab the document with your fingers to remove it from the transport. (See Fig.25).

Fig.25
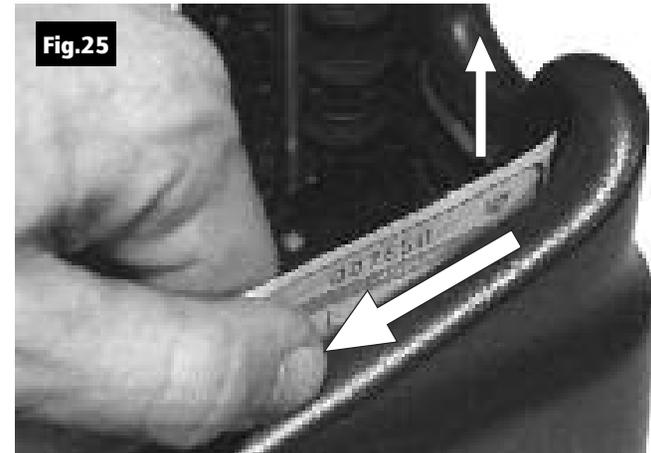
4. After the jam is removed, install the inner cover by following the instructions below:

a. Open the pocket extension.
b. Insert the two reference shafts
   in the corresponding housings found
   in the inner cover (See Fig.26).

Fig.26
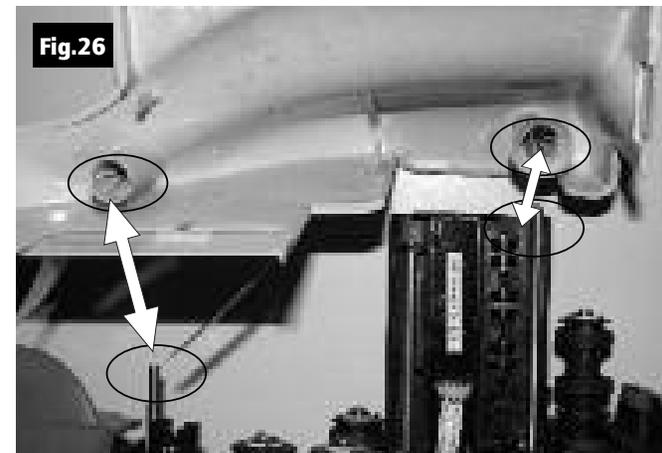
c. Push down the inner cover until it is back
to its original position. Take care to ensure
that the inner cover stays behind the scanner,
which is indicated by a black area (see Fig.27).

Fig.27

The inner cover
(grid) must be
inserted behind
the scanner (black)

Scanner

Inner cover
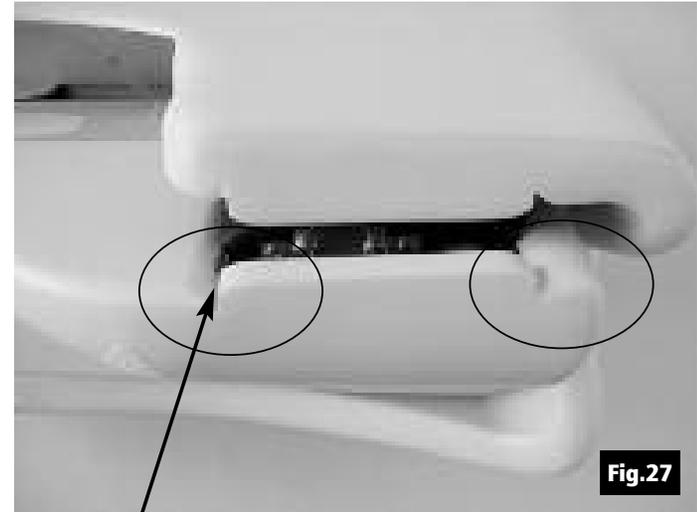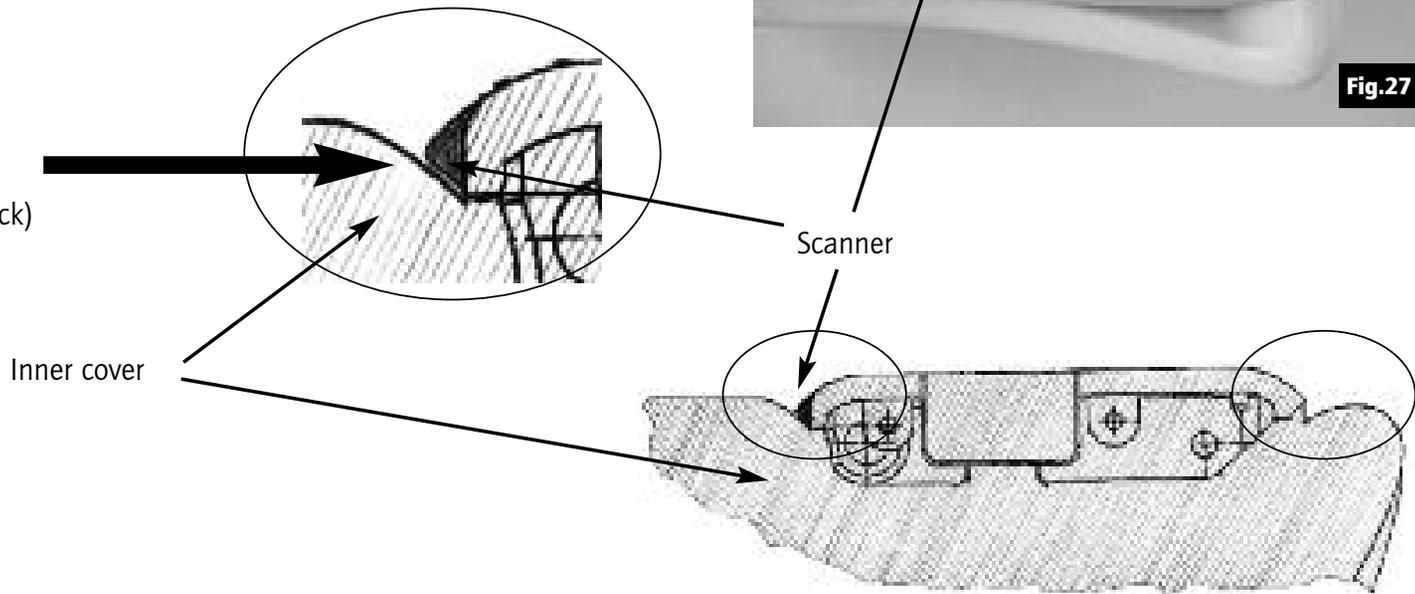
d. Check the exit pocket to ensure that the
two plastic springs are aligned properly
as shown in Fig.28.

Fig.28
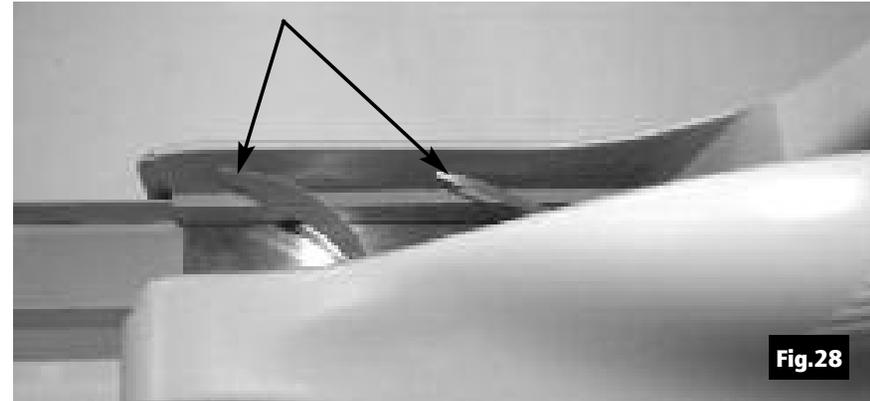
5. In the event that the outer cover has to be
removed, first disconnect the USB and power
cables and then lift the outer cover as shown
in Fig.29.

Fig.29

6. To remove the "U" track wall see Fig.30.
   Please follow the instructions listed in chapter 5.1.2.
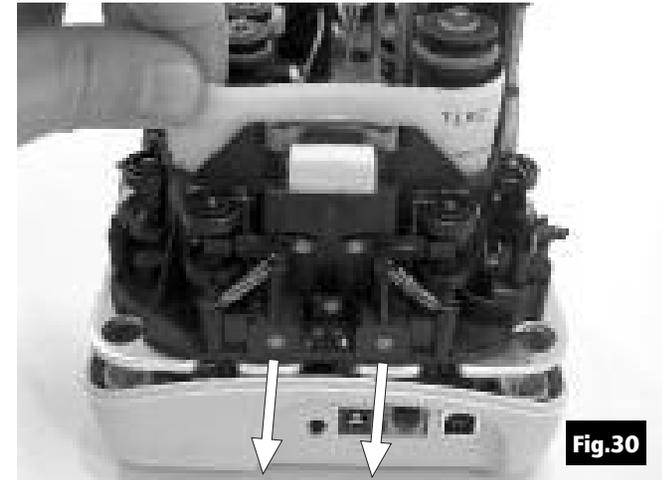
Fig.30

7. If the jam occurs in the image camera area, it is advisable to open the front image camera (see Fig.31) so that the document can easily be removed.

   Close the image camera carefully. Don't allow the spring to snap it closed.

Fig.31

8. Insert the outer cover by aligning the two shafts with the holes in the bottom cover of the unit (Fig.32). Insert the two teeth located on each side of the outer cover in the bottom cover and lock it (Fig.33 and 34).

9. Reconnect the USB and power cables.
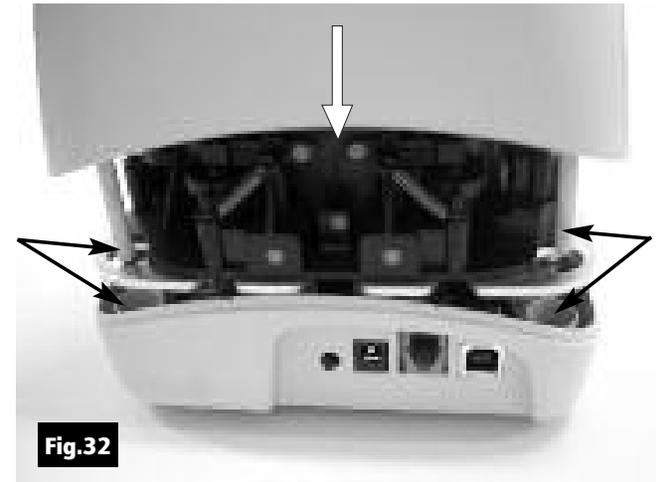
Fig.32
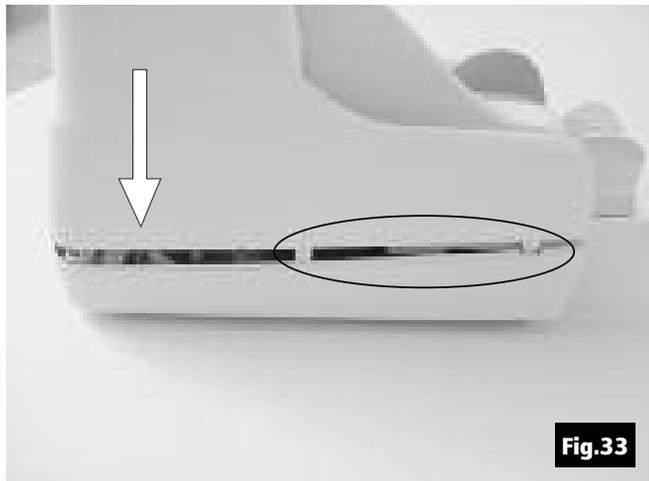
Fig.33
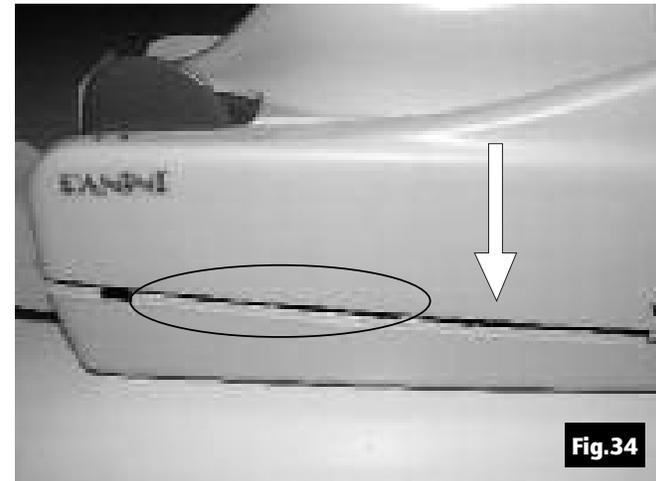
Fig.34

5. Maintenance

Warning: Before doing maintenance, remember to disconnect the USB 2 and power cables from the device.

Note: Panini recommends cleaning the Vision X weekly, or on a needed based with respect to the quantity and condition of the documents being processed.

Note: The parts accessible to the operator for cleaning or jam removal are identifiable by green stickers.
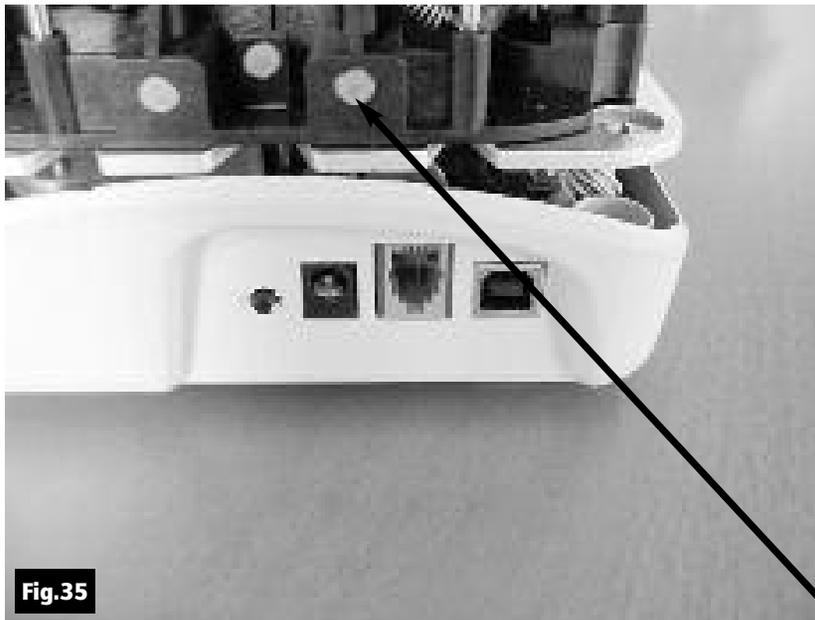
Fig.35

Fig.36

Green stickers

5.1 Cleaning the Transport

Dust, lint and small particles can get into the track area. Clean this area as follows:

1. Remove the inner and outer covers by pulling up on the covers as illustrated below.

Fig.37

Fig.38
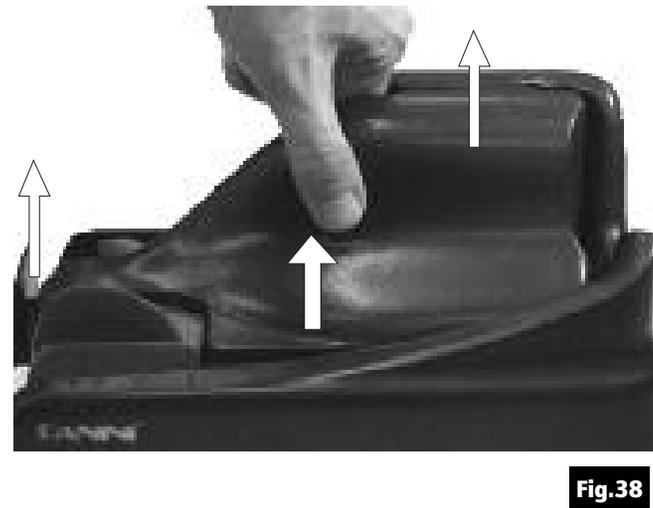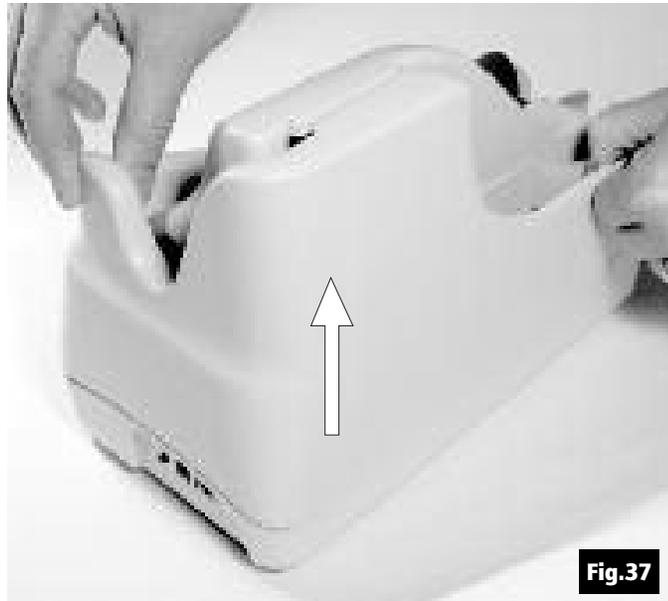
2. To remove the U-track, pull back on lever (A) away from unit (Fig.39).

The Fig.40 shows how to pull the lever and remove the U-track.


Fig.39

A

Fig.40
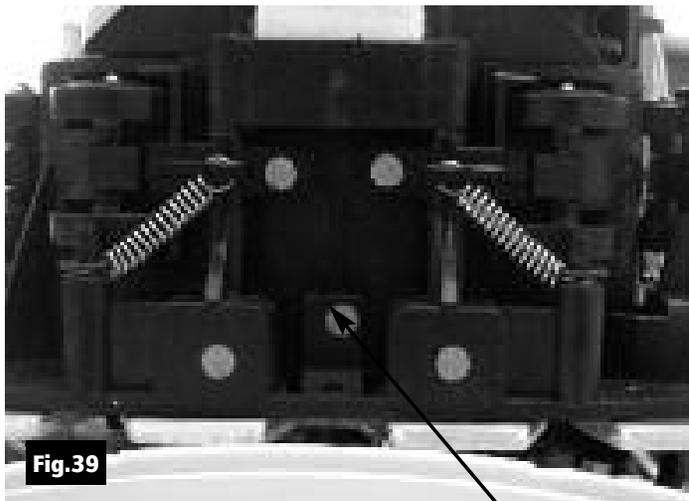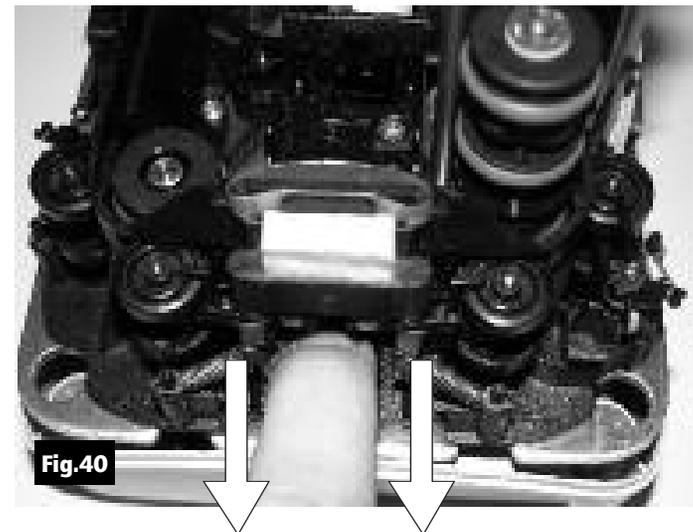
3. Inspect and clean the entire track area from beginning to end.
4. Remove staples, paper clips, rubber bands, and pieces of paper that may have accumulated during use.
5. Using a container of canned air and nozzle, spray the track area and check entrance.

6. To reinstall the U-track insert the two teeth "C" in the rail "D" (Fig.44), and align the U-track (Fig.41).
Push back the U-track (Fig.45) until the lever "E" (Fig.41) locks the unit in place.
Make sure that the pin "B" (Fig.43) is inserted in the receptacle "A" (Fig.42).


Fig.41

Fig.42

D
C
Fig.44

B
Fig.43

Fig.45
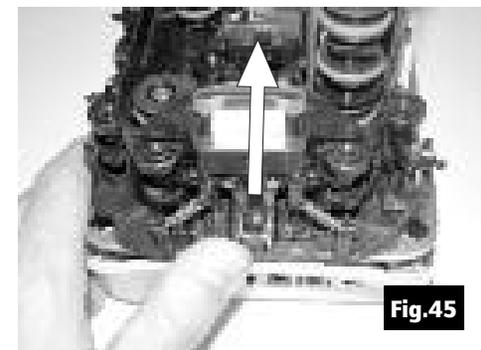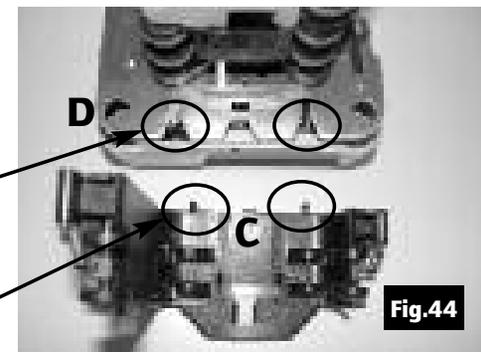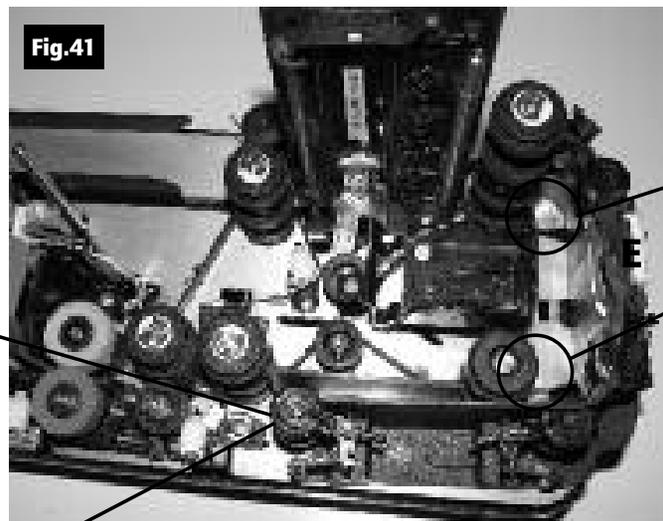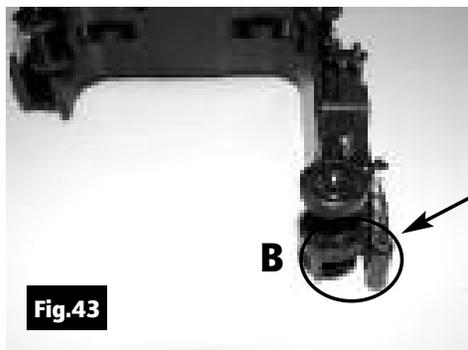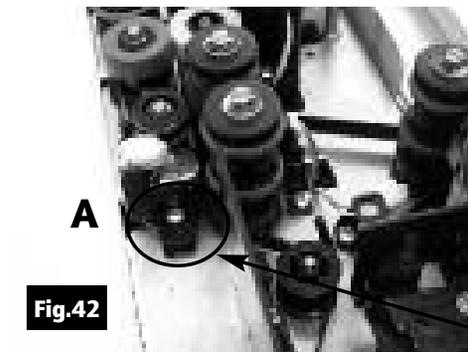
Note: If the blotting pad housing assembly. (A) comes away from the U-track, insert the low mylar spring in the lateral slots (B) and the pad housing in the reference pins (C). Gently press down until the pad housing stops on the top of the U-Track wall.

Fig.46

Fig.47
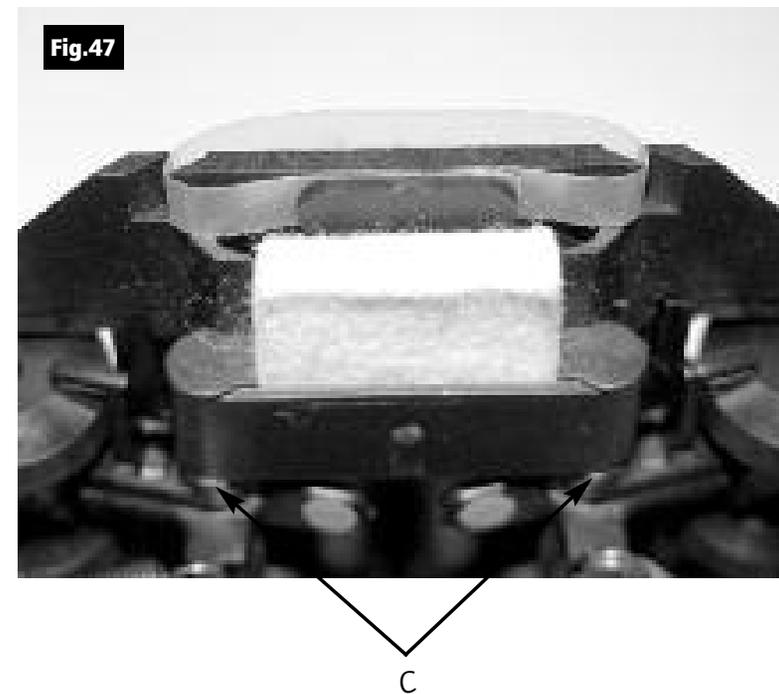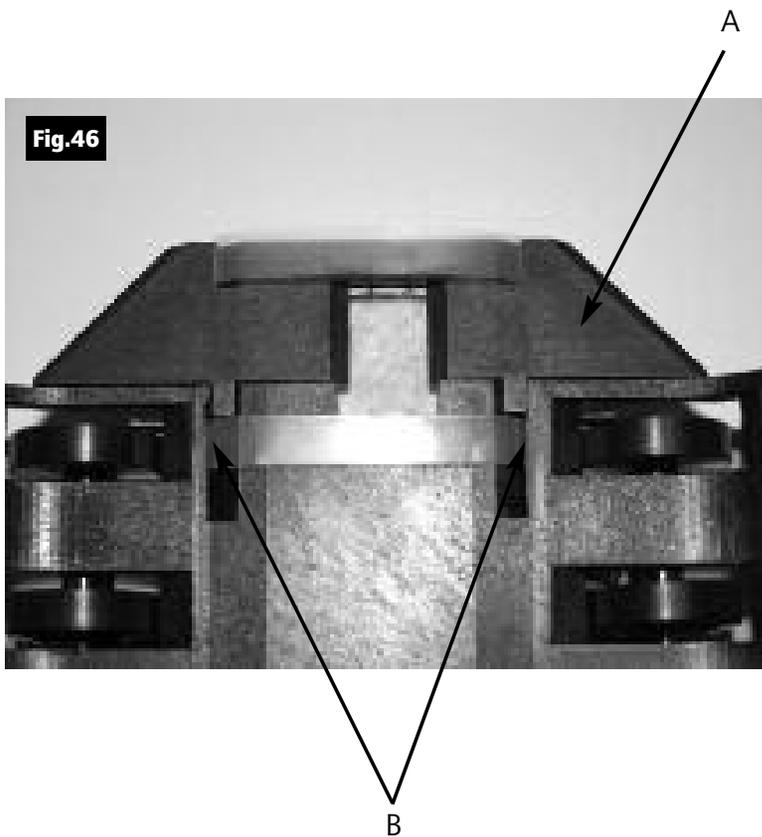
5.2 Cleaning the Contact Image Sensors

1. Gently open the front image camera (Fig.48) and remove any debris and dust.
2. Clean the Contact Image Sensors with a soft, lint-free cloth dampened with Isopropyl Alcohol or with eye glass cleaner (Fig.49).

Fig.48

Fig.49
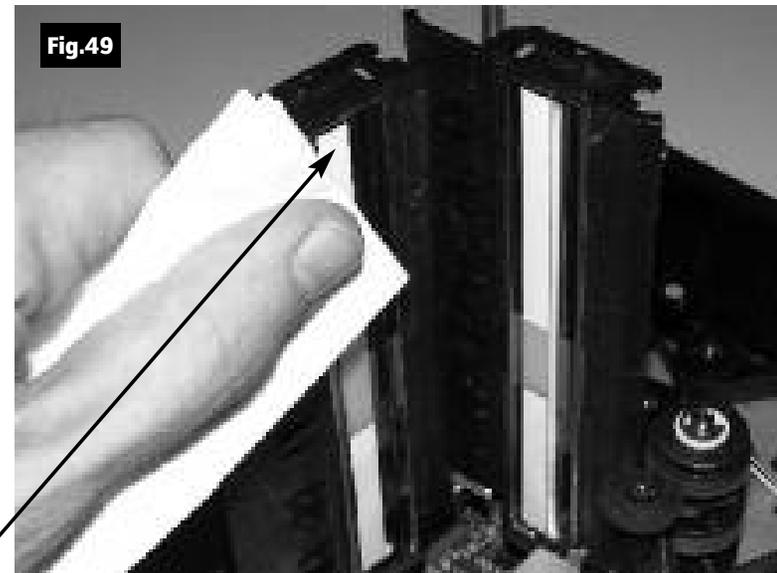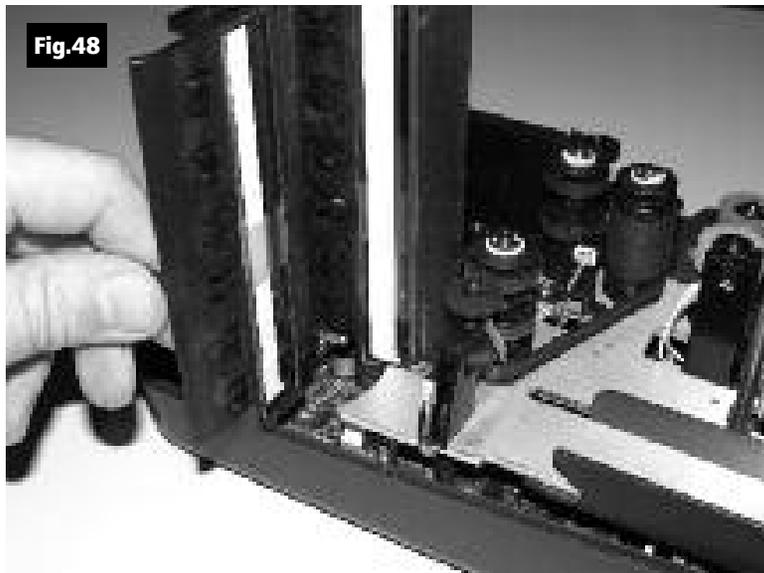
Contact Image Sensor (CIS)

5.3 Cleaning the HP C6602A Ink-Jet Cartridge (*Optional)

Fibers, such as cotton or paper, dried ink plugs or crust, or excess ink puddles on the nozzle plate can obstruct ink droplets or cause ink droplets to deflect from the desired trajectory, resulting in a degraded print quality.

When this occurs:
1. Open the inner cover.
2. Remove the print cartridge by pushing down the plastic retainer (Fig.50).
3. Dampen a clean, lint-free cloth with deionized (or distilled) water.
4. Hold the dampened cloth in contact with the nozzles for a few seconds.
5. Then gently wipe the nozzle plate in the direction of the paper movement.
   Do not wipe the electrical contact area.
6. If ink remains on the nozzle plate wipe again with a clean dry lint-free cloth.
7. Reinsert the cartridge.
8. Replace the inner cover.

! ***Remove the Ink-Jet cartridge when transporting the unit and when the unit is not used for long periods.***
In case the scanner is not used regularly, periodically clean the Ink-Jet nozzles with a lint-free cloth.

Fig.50

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.

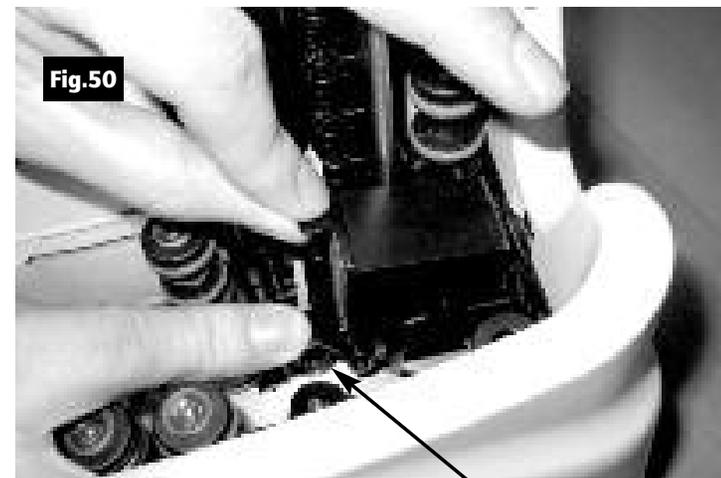## 5.4 Cleaning the Photocell Detectors

The six photocells (emitter and receiver) are identified with black circles in Fig.52 below.
Using a container of canned air and nozzle, spray the sensors to remove any dust.
Also a dry soft cloth can be used.
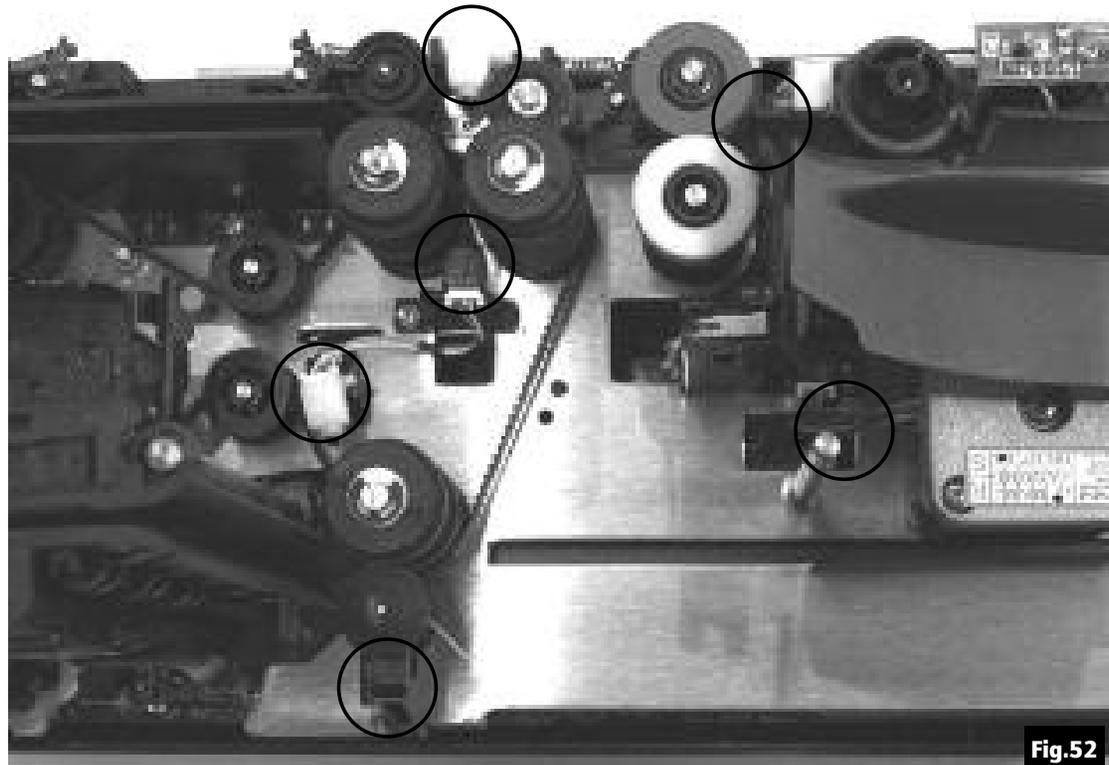
Fig.52

5.5 Replacing the Feeder and Separator Rollers

After extended use it will be necessary to replace the Feeder and Separator Roller rings due to normal wear.

1. Open the inner and outer covers.
2. Carefully lift the rings off the rollers (See the arrows in Fig.53, 54 and 55).
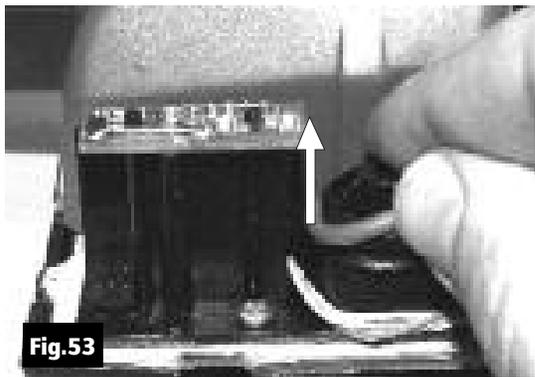
Feeder ring
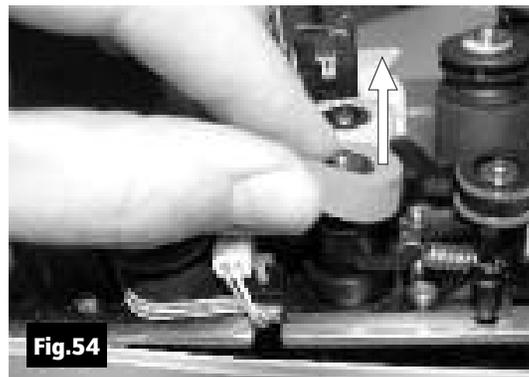
Front separator ring
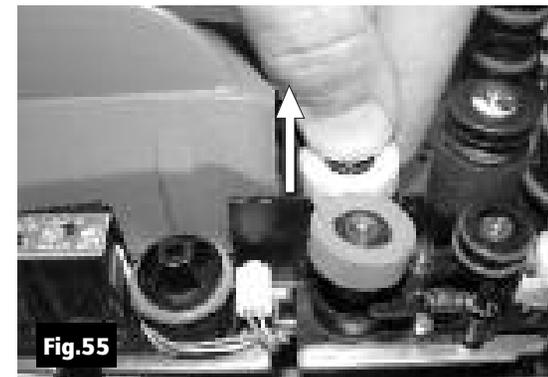
Rear separator ring

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.

Fig.56
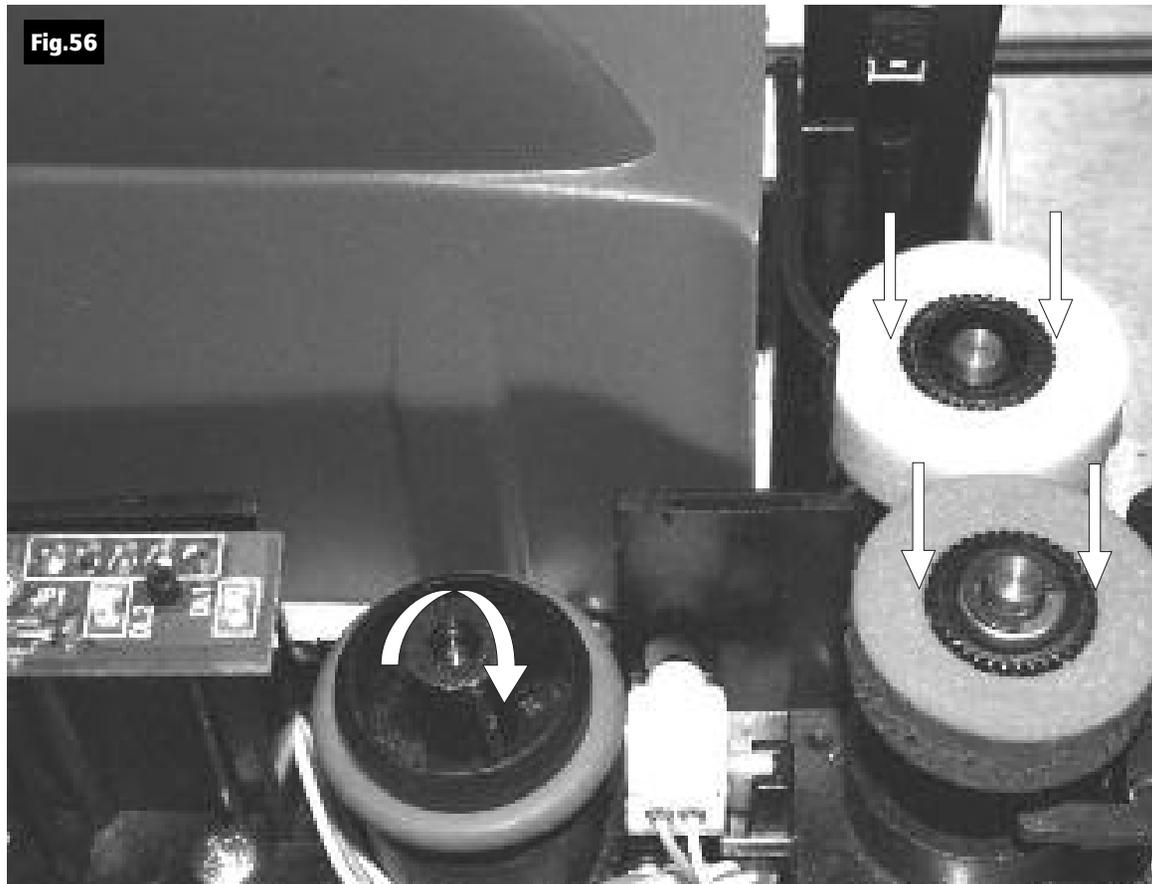
5.6 Cleaning the Reading Transport Belt

If an increase in the number of MICR (Magnetic Ink Characters Recognition) rejects is noticed, it may be necessary to clean the surface of the reading transport belt to remove extraneous magnetic ink or iron dust. Clean the external surface of the belt with a soft, lint-free cloth, dampened with Isopropyl Alcohol.

Turn pulley "A" counterclockwise to move the belt in the direction of the arrow and clean the entire belt surface.

Fig.57
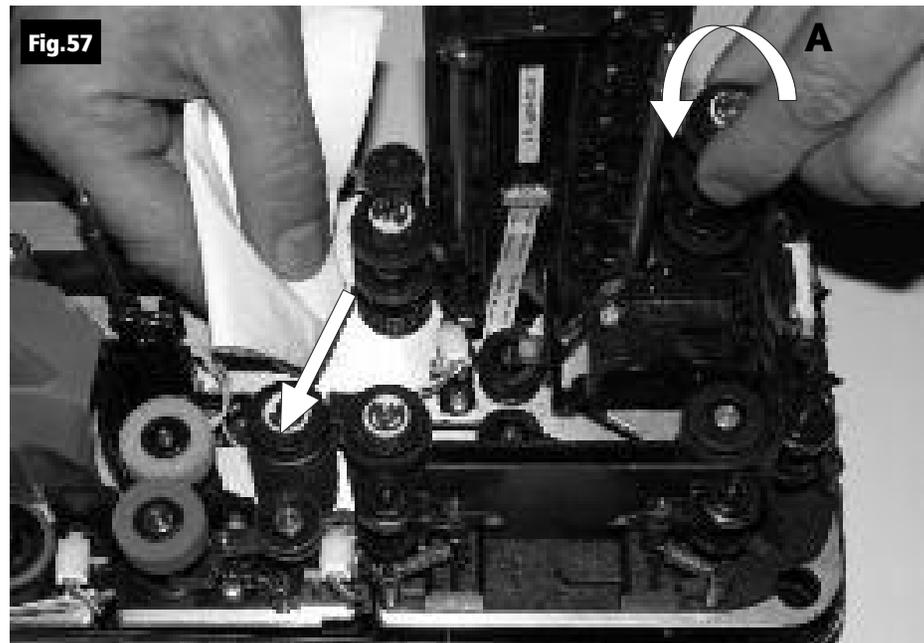
5.7 Install the External Covers

Install the inner cover following the instructions below:

1. Open the pocket extension.
2. Insert the two reference shafts in the
   corresponding housings found in
   the inner cover (Fig.58).

Fig.58

Fig.59

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)
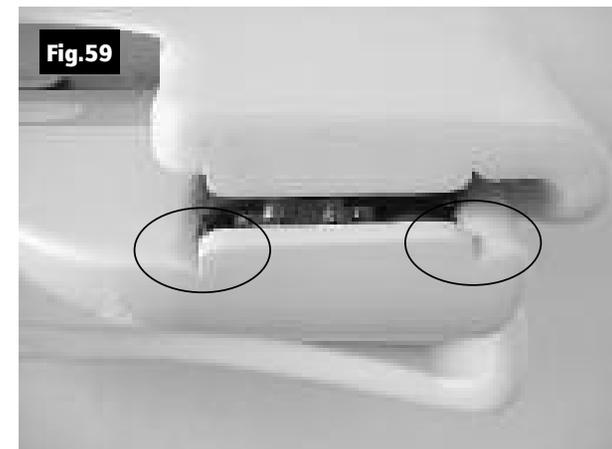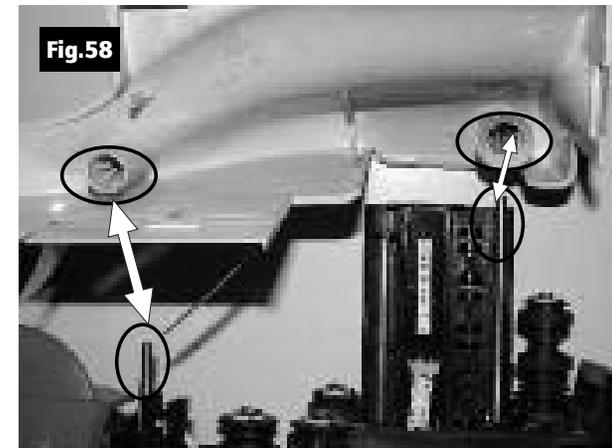
Scanner

Inner cover
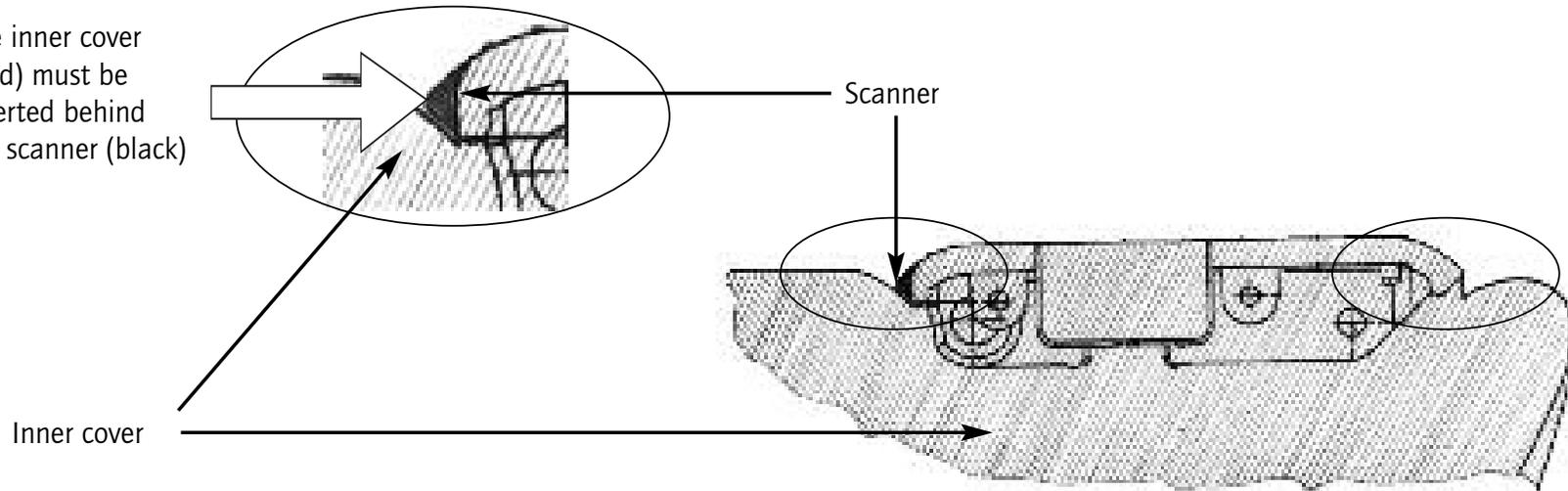
4. Check the exit pocket to ensure that the
   two plastic springs are properly aligned
   as shown in Fig.60.

Fig.60

5. Insert the outer cover by aligning the two shafts
   with the two holes in the bottom cover of the unit (Fig.61).
   Push the cover down.

Fig.61

6. Insert the two teeth located on each side of the
   outer cover in the bottom cover and lock it
   see Fig.62 and 63.

Fig.62

Fig.63

6. Specifications

6.1 Technical Specifications of the Panini Vision X

PERFORMANCE

3 versions (sw upgradable)
VX 50: Up to 50 DPM
VX 75: Up to 75 DPM
VX 100: Up to 100 DPM
Performance declared for 6'' checks . Final performance depends on applications and PC performance
USB2.0 interface

**IMPROVED AUTOMATIC
DOCUMENT FEEDER**

3 versions (sw upgradable)
- single document automatic drop - 1F version
- holding up to 50 documents - SF version
- holding up to 100 documents - FF version
Double feed detection with infrared (std) and ultra sonic technologies(future HW option)
Auto-tuning separator rollers designed to process varied thickness of documents and to compensate wear

INKJET PRINTER

2 versions (sw upgradable)
Rear Ink-jet Printer (IJ version) and No ink jet (NJ version, sw upgradable)
Printing capability: Single line, Alphanumeric characters, all MS Windows fonts
Reg CC Compliant
Printed information captured by the image
Intelligent printing, image and MICR driven
Automatic cartridge presence detection and empty cartridge alert

**TOTAL COMPATIBILITY
AND SCALABILITY**

Total backward compatibility for software API > release 2.24
Full version scalability (for sw options) throughout the range, via software upgrade

POCKETS

A single exit pocket capable of holding up to 100 documents

WORKSPACE

Extremely compact footprint - Ideal for teller, back office and corporate installations

DOCUMENTS SPECIFICATIONS

Height: Min: 54 mm (2.12'') - Max: 106 mm (4.17'')
Length: Min: 80 mm (3.14'') - Max 235 mm (9.25'')
Weight: Min: 60 gr/m2 (16#) - Max: 120 gr/m2 (32#)

INTERFACE

USB2.0 port/Backward compatible with USB 1.1
RS232 Port for external device connection. (SW/FW developments on request.)

MAGNETIC READER	E13B/CMC7/Automatic
	New Panini MICR Plus® exclusive technology with OCR assist feature
	Superior MICR recognition and management
IMAGE CAPTURE	Scanning: Next Generation Contact Image Sensor (CIS) technology (front and rear)
	Image format: Bitmap in B/W, 256 shades of gray, Infrared, Color (Fast and True) and drop out mode. TIFF, JPEG and Group IV compression
	Image Quality Assurance sw (IQA) available as sw option
	Image resolution: 100, 200 or enhanced 300 dpi
	Advanced Dynamic Thresholding
	Superior auto calibrated image quality
	Dual Image: 4 images in one document pass
SOFTWARE TOOLS	Panini Vision API control running on:
	Windows 2000 S.P. 3, XP S.P. 1, Windows Vista with USB 2.0 or USB 1.1
	ICR Vision function for image snippet definition and download
	Easy integration of ICR/Barcode/OCR recognition technology
ADDITIONAL OPTIONS	HW : 3 Tracks Magnetic BADGE READER (future option)
	HW: External dongle for temporary and device independent upgrades
	SW: OCR Recognition: OCR-A, OCR-B recognition engine
	SW: Barcode Recognition: Code 39, Interleaved 2/5, EAN8, EAN13, UPCA, UPCE, Code 128
	SW: Bi-dimensional barcode (pdf)
APPLICATION PC	V X 50, V X 75: Intel Pentium IV, 1.2 GHz, 512 Megabytes Ram
MINIMUM REQUIREMENTS	V X 100: Intel Pentium IV, 2 GHz, 512 Megabytes Ram
DIAGNOSTIC FEATURES	On board Diagnostics: tests the functionality of the scanner
	Power-on Self Testing: Automatic self testing and photocells calibration when powering the unit
MAINTENANCE	Maximum accessibility to every component to minimize MTTR
	Total access to scanner and track area
	Firmware upgradeable via PC
POWER SUPPLY INPUT VOLTAGE	Autosensing from 100 to 240 Vac, 50 to 60 Hz
DEVICE INPUT VOLTAGE	30 VDC
OPERATING CONDITIONS	Temperature: 15 ÷ 35°C
	Humidity: 20 ÷ 80% R.H. Non-Condensing

DIMENSIONS and WEIGHT	**Height**	**Width**	**Length**	**Weight**
	175 mm (6.88")	138 mm (5.43")	264 mm (10.39")	2.5 Kg (5.73#)

Specifications subject to change without previous notice.

6.2 Technical Specification of the PC

Panini Vision API running on:
Windows 2000 SP3 or Windows XP SP1 or higher with USB2.0 or USB1.1 port
Windows NT 4.0 SP6 with USB1.1

50 dpm and 75 dpm Models

Application PC minimum requirements

Intel Pentium IV, 1.2 GHz, 512 Megabytes Ram

100 dpm Models

Application PC minimum requirements

Intel Pentium IV, 2 GHz, 512 Megabytes Ram

7. Vision X SD Addendum

This addendum provides specific product details related to the Vision X SD model. This information highlights product characteristics that vary from the information in the Operator Manual.

Vision X SD Packaging List

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

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.

Slot
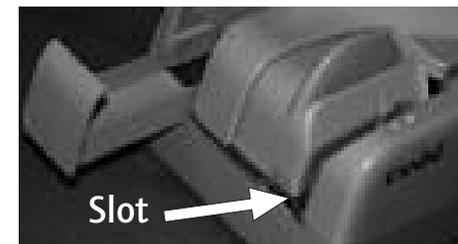
How to Prepare and Load Checks

** 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

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

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
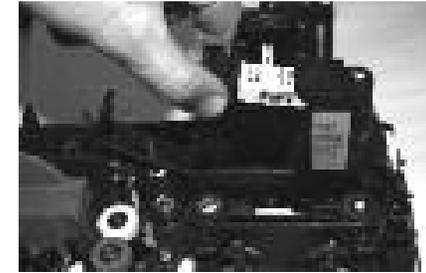
Cleaning the Contact Image Sensors

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

Fibers, such as cotton or paper, dried ink plugs or crust, or excess ink puddles on the nozzle plate can obstruct ink droplets or cause ink droplets to deflect from the desired trajectory, resulting in a degraded print quality.

- Open the inner cover

- Open the rear cradle lever and remove the print cartridge

- Using a slightly dampened (de-ionized water is best) lent free cloth gently wipe the nozzle head in an upward vertical direction. Do not apply excessive force, as this could scratch the nozzle surface

- Reinsert the print cartridge and inner cover

Note: If the print cartridge sits inactive for a period of time, ink may dry clogging the nozzles. As a result white streaks will be visible in the printed text or graphic on the document. Printing alone may not remove ink clogs. Follow the steps above to properly clean the nozzle. If print quality does not improve, gently shake the cartridge with the nozzle head towards the cleaning cloth, causing a slight expulsion of ink on the cloth. Gently wipe the nozzle head in an upward vertical direction. The Ink being pulled from the cartridge will flush the nozzles out, then print a few lines of text or graphics.

9. Vision X P Addendum

This addendum provides specific product details related to the Vision X P model. This information highlights product characteristics that vary from the information in the Operator Manual.

External Parts Description

** Replaces section 2.2

Internal Parts Description

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
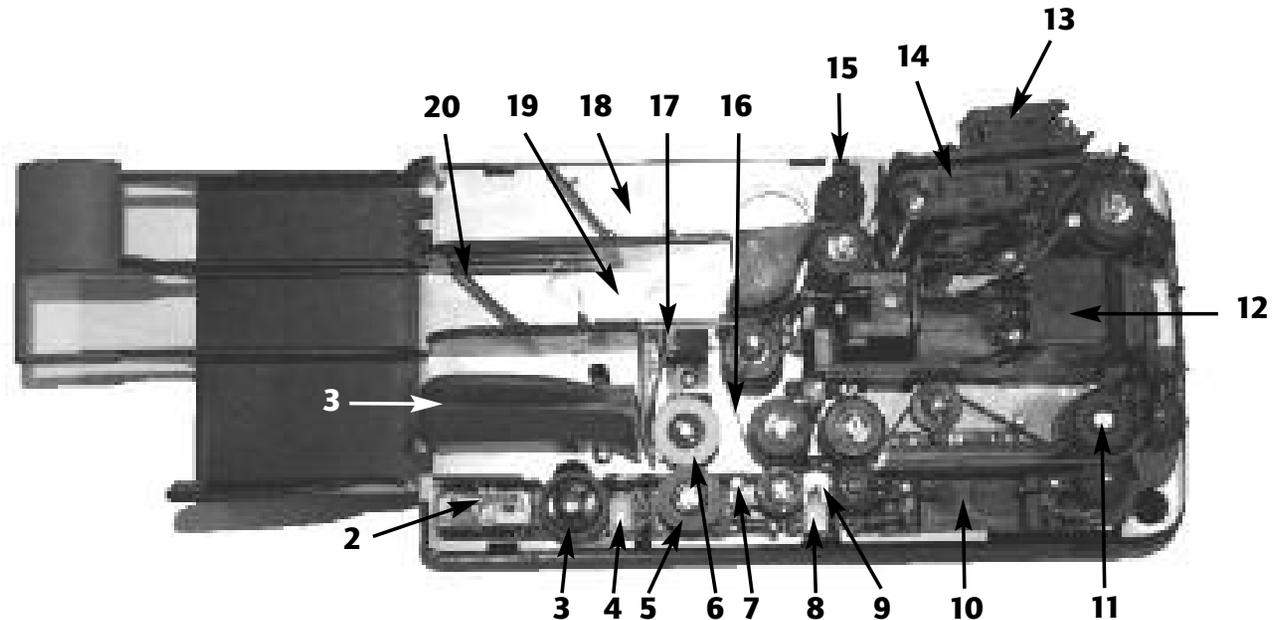
Document Support Installation / Pocket Length Adjustment

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.
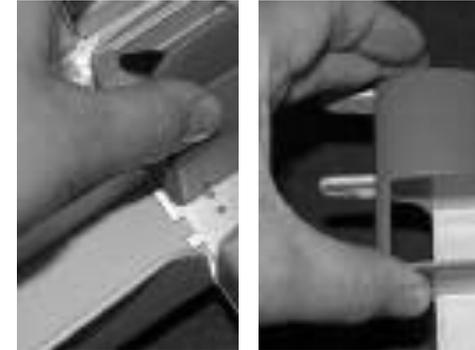
Cleaning the Contact Image Sensors

In addition to following the basic cleaning instructions provided in section 5.2 of the Operator Manual, Panini recommends that you occasionally inspect the images for the presence of any streaking due to residual ink on the Contact Image Sensors (CIS) glass. If so, use the Panini cleaning cloth (Panini P/N: GS-00020-00) to clean the CIS surface.

Technical Specifications of the Panini Vision X P

Vision X P Technical Specifications

PERFORMANCE

3 versions (sw upgradable)
VX P 50: Up to 50 DPM
VX P 75: Up to 75 DPM
VX P 100: Up to 100 DPM
Performance declared for 6" checks. Final performance depends on applications and PC performance USB2.0 interface

ADDITIONAL OPTIONS

HW: 3 Tracks Magnetic BADGE READER (future option)
HW: External dongle for temporary and device independent upgrades
SW: OCR Recognition: OCR-A, OCR-B
SW: Barcode Recognition: Code 39, Interleaved 2/5, EAN8, EAN13, UPCA, UPCE, Code 128
SW: Bi-dimensional barcode (pdf)

IMPROVED AUTOMATIC DOCUMENT FEEDER

2 versions (sw upgradable):
• Holding up to 50 documents – SF version
• Holding up to 120 documents – FF version
Double feed detection with infrared (std) and ultrasonic technologies (future HW option). Auto-tuning separator rollers designed to process varied thickness of documents and to compensate wear

POCKETS

2 versions (based on the same hardware platform) :
• 1P: one exit pocket capable of holding 100 documents
• 2P: two exit pockets capable of holding 100 documents each. Flexible Sorting Options, based on MICR and/or image
Full pocket sensor for both versions

MAINTENANCE

Maximum accessibility to every component to minimize MTTR
Total access to scanner and track area
Firmware upgradeable via PC

MAGNETIC READER

E13B/CMC7/Automatic
New Panini MICR Plus® exclusive technology with OCR assist feature
Superior MICR recognition and management MICR based sorting

DOCUMENTS SPECIFICATIONS

Height: Min: 54 mm (2.12") – Max: 106 mm (4.17")
Length: Min: 80 mm (3.14") – Max 235 mm (9.25")
Weight: Min: 60 gr/m2 (16#) – Max: 120 gr/m2 (32#)

SOFTWARE TOOLS

Panini Vision API control running on:
Windows 2000 S.P. 3, XP, Windows Vista with USB 2.0 or USB 1.1
ICR Vision function for image snippet definition and download
Easy integration of ICR/Barcode/OCR recognition technology

INKJET PRINTER	IMAGE CAPTURE
Rear Ink-jet AGP (advanced Graphic Printer) Printing capability, two versions: • AGP 1: one line text/graph in any vertical position • AGP 2: two lines text/graph in any vertical position • AGP 4: four lines text/graph for full 1/2″ height Alphanumeric characters: all MS Windows fonts Reg CC Compliant Printed information captured by image Intelligent printing based on MICR or image on a defined printing area Automatic cartridge presence detection and empty cartridge alert	Scanning: Contact Image Sensor (CIS) technology (front and rear) Image format: Bitmap in B/W, 256 shades of gray, Infrared, Color (Fast and True) and drop out mode. TIFF, JPEG and Group IV compression Image Quality Assurance sw (IQA) available as sw option Image resolution: 100, 200 or enhanced 300 dpi Advanced dynamic thresholding Superior auto calibrated image quality Dual Image: 4 images in one document pass Front/rear image based sorting
INTERFACE USB2.0 port/Backward compatible with USB 1.1 RS232 Port for external device connection.	**TOTAL COMPATIBILITY AND SCALABILITY** Total backward compatibility for software API > release 2.24 Full version scalability (for sw options) throughout the range, via software upgrade
APPLICATION PC MINIMUM REQUIREMENTS V X P 50, V X P 75: Intel Pentium IV, 1.2 GHz, 512 Megabytes Ram V X P 100: Intel Pentium IV, 2 GHz, 512 Megabytes Ram	**WORKSPAC** Extremely compact footprint – Ideal for teller, back office and corporate installations
DIAGNOSTIC FEATURES On board Diagnostics: tests the functionality of the scanner Power-on Self Testing: Automatic self testing and photocells calibration when powering the unit	**DIMENSIONS AND WEIGHT** Height: 175 mm (6.88″ Width: 138 mm (5.43″) Length: 264 mm (10.39″) Weight: 2.6 Kg (5.73#)
OPERATING CONDITIONS Temperature: 15 ÷ 35°C Humidity: 20 ÷ 80% R.H. Non-Condensing	**POWER SUPPLY INPUT VOLTAGE** Autosensing from 100 to 240 Vac, 50 to 60 Hz
DEVICE INPUT VOLTAGE 30 VDC	

10. Vorschriftsmäßige Entsorgung von Elektro- und Elektronikaltgeräten (WEEE)

FÜR LÄNDER DER EUROPÄISCHEN UNION (EU)

Die EU-Kommission hat bestimmt, dass elektrische und elektronische Geräte, die heute auf dem Markt angeboten werden, Bauteile und Komponenten enthalten, die wiederverwertet werden und somit dazu beitragen können, die in Müllgruben und Deponien entsorgten Materialmenge zu reduzieren. In Übereinstimmung mit dieser Bestimmung dürfen elektrische und elektronische Geräte (WEEE) nicht mit dem unsortierten Müll von Privathaushalten oder Büros entsorgt werden. Sie müssen vielmehr einer gesonderten Abfallentsorgung zugeführt werden. Die Entsorgung dieser Geräte an Stellen, die dafür weder ausgerüstet noch zugelassen sind, hat verheerende Folgen auf Umwelt und Gesundheit. Zuwiderhandlungen werden mit den gesetzlichen Strafen und Bußgeldern belegt.

Die Panini-Produkte sind daher in Entsprechung der europäischen WEEE-Richtlinie über Elektro- und Elektronikaltgeräte (WEEE) mit dem Symbol einer durchgestrichenen Mülltonne gekennzeichnet, das darauf hinweist, dass alle nach dem 13. August 2005 auf dem Markt eingeführten Produkte dieser Art gemäß WEEE-Richtlinie 2002/96/EC (und folgender Zusätze) nicht mit dem normalen Hausmüll entsorgt werden dürfen.

So entsorgen Sie die Altgeräte umweltgerecht:

• Wenden Sie sich an die lokalen Behörden oder an Ihren Fachhändler, die Ihnen die notwendigen Informationen zur korrekten Entsorgung liefern werden, wie zum Beispiel: Ort und Öffnungszeiten der Abfallsammelstellen usw.
• Wenn Sie ein neues Gerät von uns kaufen, können Sie ein ähnliches Altgerät unserem Fachhändler zur Entsorgung übergeben.

FÜR ANDERE (NICHT DER EU ANGEHÖRIGE) LÄNDER

Die Behandlung, Sammlung, Wiederverwertung und Entsorgung von Elektro- und Elektronikaltgeräten erfolgt in Entsprechung der in dem betreffenden Land gültigen Bestimmungen.

10.1 Audience

Das vorliegende Handbuch ist vornehmlich für das Personal bestimmt, das Schecks und andere Dokumente bearbeitet.

10.2 Sicherheitsmaßnahmen

Vergewissern Sie sich, bevor Sie mit dem Gerät Vision X arbeiten oder das Gerät warten, dass Sie die Sicherheitsanweisungen gelesen und verstanden haben.

- Tragen Sie sichere Kleidung. Vermeiden Sie das Tragen lockerer Kleider, langer Haare und von Schmuck, die sich in den sich bewegenden Teilen verfangen können.
- Achten Sie darauf, dass niemand auf dem Stromkabel steht. Stellen Sie Vision X nicht in Bereichen auf, in denen Leute auf das Kabel treten können.
- Ziehen Sie vor dem Reinigen des Gerätes Vision X immer den Netzstecker.
- Versuchen Sie nicht, Vision X selbst zu warten oder zu reparieren, soweit dies im Handbuch nicht ausdrücklich erwähnt wird.
- Der Versuch, den externen Netzanschluss selbst zu warten oder zu reparieren, setzt Sie gefährlichen Spannungen oder anderen Gefahren aus.
- Wenden Sie sich immer an erfahrene Wartungsfachkräfte.

Hinweis:

- Vision X entspricht den Normen IEC/EN 60950-1 und UL 60950-1 nur, wenn es mit dem Netzteil DSA-0421S-28 1 42 verwendet wird, das mit der Maschine geliefert wird.
- Die Wandsteckdose muss in der Nähe des Gerätes installiert werden und immer leicht zugänglich sein.
- BETRIEBSBEDINGUNGEN: Temperatur: 15 ÷ 35°C. Relative Luftfeuchtigkeit: 20 ÷ 80% ohne Kondensation.

10.3 Bei Maschinenstörungen

Ziehen Sie den Netzstecker des Gerätes Vision X und rufen Sie eine Fachkraft, wenn sich folgende Bedingungen einstellen:

- Wenn das Netzkabel beschädigt oder abgenutzt ist.
- Wenn Flüssigkeit in das Produkt eingedrungen ist.
- Wenn das Gerät Regen oder Wasser ausgesetzt worden ist.
- Wenn das Gerät bei Befolgung der Bedienungsanweisungen nicht korrekt funktioniert.
- Wenn das Gerät beschädigt oder hingefallen ist.
- Wenn die Geräteleistungen deutlich nachlassen und damit anzeigen, dass das Gerät gewartet werden muss.

Nehmen Sie nur solche Einstellungen vor und ersetzen Sie nur Bauteile, die in diesem Handbuch erwähnt werden.
Wenn Sie versuchen, Einstellungen vorzunehmen, die nicht in dem Handbuch erwähnt werden, laufen Sie Gefahr, das Gerät zu beschädigen; außerdem verfällt die Garantie.
Ungenehmigte Einstellungen oder Reparaturen können später außergewöhnliche Arbeiten durch eine Fachkraft erfordern, um das Gerät wieder in die normalen Betriebsbedingungen zu versetzen.

10. Mise au rebut des équipements électriques et électroniques (WEEE)

POUR LES PAYS DE L'UNION EUROPÉENNE (UE)

L'Union européenne a établi que les équipements électriques et électroniques actuellement sur le marché contiennent des composants et des matériaux pouvant être réutilisés ou recyclés afin de réduire la masse de déchets jetés dans des centres d'enfouissement et autres décharges. Dans cette optique, l'UE appelle à ne pas collecter ou jeter les déchets d'équipements électriques et électroniques (WEEE) avec des déchets tout venant issus des ménages ou des entreprises. Ils doivent faire l'objet d'une collecte sélective. La mise au rebut de (WEEE) dans des décharges non équipées et non homologuées peut avoir des conséquences nocives pour la santé et l'environnement. Les contrevenants s'exposent aux sanctions et autres mesures établies par la loi.

Dans cette optique, les produits Panini portent le pictogramme de la « poubelle barrée » prévu par la Directive (WEEE) de l'Union européenne. Ce pictogramme indique l'obligation de procéder à la collecte sélective des équipements électriques et électroniques mis sur le marché après le 13 août 2005, conformément à la directive européenne (WEEE) 2002/96/CE (et à ses amendements suivants), ainsi qu'aux lois en vigueur dans chaque pays.

Pour la mise au rebut de vos (WEEE):

• demandez aux autorités locales compétentes ou à un distributeur local de vous donnez les informations pratiques et les indications dont vous avez besoin pour une gestion appropriée de vos déchets comme, par exemple, l'adresse et les horaires des centres de collecte des déchets, etc.

• quand vous achetez un nouvel appareil électrique ou électronique, remettez votre ancien appareil au revendeur pour qu'il se charge de son élimination.

POUR LES AUTRES PAYS (HORS UE)

Le traitement, la collecte, le recyclage et l'élimination des équipements électriques et électroniques doivent être effectués conformément à la législation en vigueur dans le pays concerné.

10.1 Destinataires

Ce manuel s'adresse principalement au personnel chargé du traitement de chèques ou d'autres documents.

10.2 Consignes de sécurité

Avant l'utilisation ou la maintenance de votre Vision X conformément aux indications de ce manuel, il est important d'avoir entièrement lu et bien compris ces consignes de sécurité.

- Portez des vêtements appropriés. Ne portez pas de vêtements amples ou de bijoux et attachez les cheveux longs pour éviter qu'ils ne soient happés par les pièces en mouvement.

- Ne posez aucun objet sur le cordon d'alimentation. Installez le Vision X en veillant à ce que personne ne risque de marcher sur le cordon d'alimentation.

- Débranchez toujours le Vision X avant de le nettoyer.

- Ne tentez pas d'intervenir sur le Vision X pour sa maintenance ou sa réparation, sauf pour les interventions explicitement décrites dans ce manuel.

- Toute tentative d'intervenir sur l'alimentation externe du Vision X expose l'opérateur à des hautes tensions ou d'autres dangers.

- Pour toutes les opérations d'entretien et les réparations, faites appel à du personnel de maintenance qualifié.

Remarque:

- Le Vision X n'est conforme aux normes CEI/EN 60950-1 et UL 60950-1 qu'en cas d'utilisation de l'alimentation modèle DSA-0421S-28 1 42 fournie avec la machine.

- La prise de courant doit être installée près de l'équipement et doit être facilement accessible.

- CONDITIONS DE FONCTIONNEMENT: Température: 15 ÷ 35°C. Humidité: 20 ÷ 80 % H.R. sans condensation.

10.3 Si l'appareil est endommagé

Débranchez le Vision X de la prise murale et faites appel à du personnel qualifié :

- si le cordon d'alimentation est endommagé ou fissuré ;
- si du liquide a pénétré dans l'appareil ;
- si l'appareil a été exposé à la pluie ou à de l'eau ;
- si l'appareil ne fonctionne pas normalement bien que les instructions d'utilisation aient été respectées ;
- si l'appareil est tombé ou a subi des dommages ;
- si l'appareil a besoin d'une vérification suite à une altération quelconque de son fonctionnement.

Procédez uniquement aux réglages et aux remplacements décrits dans ce manuel.
Si vous tentez d'effectuer un réglage non indiqué dans ce manuel, vous risquez de causer des dommages à l'appareil. Ces dommages ne sont pas couverts par la garantie.
Les réglages ou réparations effectués sans autorisation peuvent exiger l'intervention d'un technicien qualifié pour rétablir les conditions de fonctionnement de l'appareil.

10. Smaltimento corretto delle apparecchiature elettriche ed elettroniche (WEEE)

PER I PAESI MEMBRI DELL'UNIONE EUROPEA (EU)

La Commissione dell'Unione Europea ha stabilito che le apparecchiature elettriche ed elettroniche attualmente presenti sul mercato contengono parti e componenti che possono essere adeguatamente riutilizzati o riciclati per ridurre le quantità di materiali destinati in ultimo alle discariche e ad altri siti di smaltimento. Per rispettare questa decisione, le apparecchiature elettriche ed elettroniche (WEEE) non devono essere raccolte o smaltite nei normali cassonetti di raccolta sia dai privati cittadini che dalle aziende. Devono invece essere oggetto di raccolta differenziata. La discarica di questi dispositivi presso luoghi non adeguatamente attrezzati e non autorizzati può avere effetti nocivi sulla salute e sull'ambiente. I trasgressori saranno passibili delle sanzioni e dei provvedimenti previsti dalla legge.

A tal fine, i prodotti Panini sono debitamente contrassegnati dal marchio stabilito dalla direttiva WEEE dell'Unione Europea, costituito dal simbolo da un bidone della spazzatura barrato da una croce per indicare che le apparecchiature elettriche ed elettroniche immesse sul mercato dopo il 13 agosto 2005 devono essere smaltite in modo differenziato, ai sensi della Direttiva WEEE 2002/96/CE (e successivi emendamenti) e della legislazione nazionale.
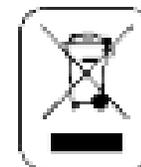
Per smaltire i nostri dispositivi correttamente:

- Contattare le autorità o il distributore locali, che forniranno le informazioni pratiche e le istruzioni necessarie per smaltire correttamente il prodotto, per esempio: luogo e orari dei centri di raccolta rifiuti, ecc.
- Al momento dell'acquisto di un nostro nuovo dispositivo, è possibile consegnare un dispositivo simile a quello acquistato al nostro distributore, che si occuperà dello smaltimento.

PER ALTRI PAESI (EXTRA UE)

Il trattamento, la raccolta, il riciclaggio e lo smaltimento delle apparecchiature elettriche ed elettroniche dovrà avvenire in conformità alle leggi in vigore nel paese di residenza.

10.1 A chi è rivolto il presente manuale

Il presente manuale è rivolto principalmente al personale che elabora gli assegni o altri documenti.

10.2 Precauzioni di sicurezza

Prima di mettere in funzione o effettuare interventi di manutenzione su Vision X nel rispetto delle istruzioni del presente manuale, assicurarsi di aver letto e compreso le presenti importanti istruzioni di sicurezza.

- Indossare indumenti sicuri. Non indossare indumenti larghi, non portare capelli sciolti o gioielli che potrebbero rimanere impigliati nelle parti in movimento dell'apparecchio.
- Non appoggiare oggetti sul cavo di alimentazione. Non posizionare Vision X in punti in cui sia possibile calpestare il cavo di alimentazione.
- Staccare sempre Vision X dalla presa di alimentazione prima di pulirlo.
- Non tentare di effettuare interventi di manutenzione o riparazione su Vision X, eccetto secondo le istruzioni impartite in altri punti del presente manuale.
- Eventuali tentativi di manutenzione o riparazione dell'alimentatore esterno di Vision X possono esporre a pericolosi picchi di tensione o ad altri rischi.
- Per tutti gli aspetti della manutenzione, fare riferimento a personale qualificato.

Nota:
- Vision X sarà conforme alle norme CEI/EN 60950-1 e UL 60950-1 solo utilizzando l'alimentatore modello DSA-0421S-28 1 42 fornito in dotazione con l'apparecchio.
- La presa deve essere installata nelle vicinanze dell'apparecchio e in una posizione facilmente accessibile.
- CONDIZIONI DI ESERCIZIO: Temperatura: 15 ÷ 35°C. Umidità: 20 ÷ 80% Umidità relativa non condensante.

10.3 Se l'apparecchio è danneggiato

Scollegare la spina di Vision X dalla presa a muro e, nei seguenti casi, rivolgersi a personale qualificato per un intervento di manutenzione:

- Se il cavo di alimentazione è danneggiato o usurato.
- Se è penetrato del liquido nell'apparecchio.
- Se l'apparecchio è stato esposto a pioggia o acqua.
- Se l'apparecchio non funziona normalmente pur rispettando le istruzioni di sicurezza.
- Se l'apparecchio è caduto o ha subito danni.
- Se l'apparecchio mostra chiari segni di calo di prestazioni, indicando così la necessità di un intervento di manutenzione.

Regolare unicamente i comandi e sostituire solo le parti coperte da istruzioni nel presente manuale.
Tentando di effettuare regolazioni non coperte dal presente manuale, l'apparecchio si potrebbe danneggiare, invalidando pertanto la garanzia.
Regolazioni o riparazioni non autorizzate possono determinare la necessità di un lungo intervento da parte di un tecnico qualificato per riportare l'apparecchio alle corrette condizioni di funzionamento.

10. Cómo deshacerse correctamente de los equipos eléctricos y electrónicos (WEEE)

PARA LOS PAÍSES DE LA UNIÓN EUROPEA (UE)

La Comisión Europea ha determinado que los equipos eléctricos y electrónicos comercializados actualmente contienen piezas y componentes que se pueden volver a utilizar o reciclar para reducir las cantidades de materiales que invaden los vertederos y otras zonas destinadas a los desechos. Con el fin de respetar esta decisión, los residuos de aparatos eléctricos y electrónicos (WEEE) no deberían ser recogidos ni eliminados junto con los residuos sin clasificar de los hogares o empresas. Se deben recoger por separado. Arrojar estos dispositivos en lugares no-equipados o no-autorizados puede tener consecuencias peligrosas para la salud y el medioambiente. Los infractores sufrirán las penas y las medidas establecidas por ley.

Por todo ello, los productos Panini están debidamente marcados con el símbolo de la papelera tachada, según obliga la normativa (WEEE) de la Unión Europa, para indicar que es necesario realizar una recogida selectiva de los aparatos eléctricos y electrónicos comercializados después del 13 de agosto de 2005, con arreglo a la normativa (WEEE) 2002/96/EC (y sus posteriores enmiendas) y según las leyes nacionales de cada país miembro.

Para deshacerse de los aparatos correctamente:

• Póngase en contacto con las Autoridades Locales o con su distribuidor local, quien le proporcionará la información práctica que necesite y las instrucciones para desechar correctamente el aparato, por ejemplo: Ubicación y horarios de los centros de recogida, etc.

• Cuando compre un aparato nuevo de Panini, entregue a nuestro distribuidor un aparato similar usado para que lo deseche.

PARA OTROS PAÍSES (FUERA DE LA UE)

El tratamiento, la recogida, el reciclaje y la eliminación de aparatos eléctricos y electrónicos se realizarán con arreglo a las leyes en vigor en el país en cuestión.

10.1 Público objetivo

Este manual ha sido redactado principalmente para el personal que realiza las comprobaciones o procesa otros documentos.

10.2 Instrucciones de Seguridad

Antes de empezar a utilizar el Vision X tal y como se indica en este manual, asegúrese de leer y comprender estas importantes instrucciones de seguridad.

- Debe vestirse con prendas seguras. No lleve ropa floja, pelo largo o joyas que puedan engancharse en las piezas en movimiento.
- No permita que nada repose sobre el cable eléctrico. No coloque el Vision X donde alguien pueda pisar el cable.
- Desconecte siempre el Vision X antes de limpiarlo.
- No intente realizar el mantenimiento o las reparaciones del Vision X, de otra forma que no se la indicada en este manual.
- Si intenta realizar el mantenimiento o las reparaciones del suministro de potencia externo del Vision X puede exponerse a picos de tensión peligrosos u otros riesgos.
- Encargue siempre el mantenimiento al personal de servicio cualificado.

Nota:

- Vision X respetará las normas IEC/EN 60950-1 y UL 60950-1 utilizando sólo el modelo de Suministro de Energía DSA-0421S-28 1 42 suministrado con el aparato.
- La salida del enchufe deberá estar instalada cerca del equipo y deberá ser fácil acceder a ella.
- CONDICIONES DE FUNCIONAMIENTO: Temperatura: 15 ÷ 35°C. Humedad: 20 ÷ 80% H.R. Sin condensación.

10.3 Si el Aparato Está Estropeado

Desenchufe el Vision X de la toma de corriente de la pared y encargue el mantenimiento al personal cualificado si se dan las siguientes condiciones:

- Si el cable eléctrico está dañado o desgastado.
- Si se ha derramado líquido en el producto.
- Si el aparato ha quedado expuesto a la lluvia o el agua.
- Si el aparato no funciona con normalidad cuando se siguen las instrucciones de funcionamiento.
- Si el aparato ha quedado expuesto a la lluvia o el agua.
- Si el aparato muestra un claro cambio en el funcionamiento que indique que hay que repararlo.

Ajuste sólo los controles y repare sólo los elementos cubiertos por las instrucciones de este manual. **Si intenta realizar ajustes que no estén cubiertos en este manual, puede dañar el aparato e invalidar la garantía.**
Los ajustes o reparaciones no-autorizados pueden requerir posteriormente un trabajo más importante a cargo de un técnico cualificado, con vistas a restituir al aparato sus condiciones de funcionamiento adecuadas.

10. Eliminação adequada de equipamento eléctrico e electrónico (WEEE)

PARA PAÍSES PERTENCENTES À UNIÃO EUROPEIA (UE)

A Comissão Europeia da União Europeia determinou que o equipamento eléctrico e electrónico no mercado actual contém partes e componentes que podem ser devidamente recuperados e reciclados para reduzir as quantidades de materiais eliminados em lixeiras e aterros. Para cumprir esta determinação, os resíduos de equipamento eléctrico e electrónico (WEEE) não devem ser recolhidos ou eliminados juntamente com lixo indiferenciado proveniente de casas particulares ou empresas. Em vez disso, devem ser recolhidos separadamente. A descarga destes dispositivos em locais não equipados e não autorizados pode ter efeitos prejudiciais para a saúde e o meio ambiente. Os transgressores serão sujeitos a multas e medidas estabelecidas pela legislação. Neste sentido, os produtos Panini estão devidamente marcados com o símbolo do caixote do lixo barrado com uma cruz (Directiva (WEEE) da União Europeia), para indicar a necessidade de uma recolha separada de equipamento eléctrico e electrónico comercializado após 13 de Agosto de 2005, de acordo com a directiva (WEEE) 2002/96/CEE (e posteriores alterações) e a legislação nacional.
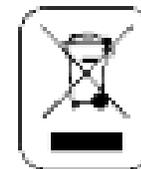
Para eliminar os aparelhos correctamente:

- Contacte as autoridades competentes ou o distribuidor local, que lhe fornecerá as informações práticas de que necessita e as instruções para o tratamento adequado do lixo, por exemplo: localização e horário dos centros de recolha de resíduos, etc.
- Quando adquirir um novo aparelho, entregue ao seu distribuidor um aparelho usado semelhante ao que acabou de adquirir, para garantir uma eliminação adequada.

PARA OUTROS PAÍSES (NÃO PERTENCENTES À UE)

O tratamento, recolha, reciclagem e eliminação de aparelhos eléctricos e electrónicos será efectuado de acordo com a legislação em vigor no país em questão.

10.1 Público alvo

Este manual destina-se principalmente ao pessoal responsável pelas verificações ou outros documentos.

10.2 Precauções de segurança

Antes de começar a utilizar ou a efectuar a manutenção do seu Vision X de acordo com as instruções neste manual, certifique-se de que leu e compreendeu estas importantes precauções de segurança.

- Use vestuário de protecção. Não use roupa folgada, cabelo comprido ou jóias que possam ficar presas nas partes em movimento.
- Não apoie nada no cabo de alimentação. Não coloque o Vision X em locais onde as pessoas possam pisar o cabo.
- Desligue sempre o Vision X antes das operações de limpeza.
- Não tente efectuar operações de manutenção ou reparação no Vision X, salvo indicações em contrário neste manual.
- A tentativa de efectuar operações de manutenção ou reparação na alimentação externa do Vision X pode expô-lo a picos de tensão perigosos ou outros riscos.
- Confie estas operações a pessoal de assistência qualificado.

Nota:

- O Vision X estará em conformidade com as normas IEC/EN 60950-1 e UL 60950-1 utilizando apenas o modelo de alimentação de energia DSA-0421S-28 1 42 fornecido com a máquina.
- A tomada será instalada próximo do equipamento e deverá estar facilmente acessível.
- CONDIÇÕES DE FUNCIONAMENTO: Temperatura: 15 ÷ 35°C. Humidade: 20 ÷ 80% H.R. não condensada.

10.3 Se a máquina estiver danificada

Desligue o Vision X da tomada e confie as operações de manutenção a pessoal qualificado nas seguintes condições:

- Se o cabo de alimentação estiver gasto ou danificado.
- Se se derramar líquido no produto.
- Se o equipamento tiver sido exposto à chuva ou água.
- Se o equipamento não funcionar normalmente quando se seguem as instruções de funcionamento.
- Se o equipamento tiver caído ou estiver danificado.
- Se o equipamento apresentar uma alteração visível em termos de desempenho, indicando uma necessidade de manutenção.

Ajuste apenas estes comandos e substitua apenas as peças abrangidas neste manual de instruções.
Se tentar realizar ajustes não abrangidos neste manual, poderá danificar o equipamento e anular a garantia.
Ajustes ou reparações não autorizados podem resultar na necessidade de operações alargadas por parte de um técnico qualificado para fazer regressar o equipamento à sua condição de funcionamento adequada.

10. Correct afdanken volgens de elektrische en elektronische apparaten WEEE-richtlijn

VOOR LANDEN IN DE EUROPESE UNIE (EU)

De Europese Commissie van de Europese Unie heeft bepaald dat elektrische en elektronische apparaten die tegenwoordig op de markt zijn onderdelen en componenten bevatten die op correcte wijze hergebruikt of gerecycled kunnen worden teneinde de hoeveelheid materiaal die uiteindelijk op stortterreinen en andere afvalplaatsen terecht komt te verminderen. Om aan deze bepaling te voldoen, mag afgedankte elektrische en elektronische apparatuur (WEEE) niet ingezameld of weggegooid worden samen met ongesorteerd afval van particuliere huishoudens of bedrijven. Het dient daarentegen gescheiden te worden ingezameld. Het weggoien van deze apparaten op plaatsen die daarvoor niet ingericht en bevoegd zijn kan gevaarlijke gevolgen hebben voor de gezondheid en het milieu. Overtreders zullen onderworpen worden aan de in de wet vastgestelde boetes en maatregelen.

Daarom zijn de producten van Panini overeenkomstig voorzien van het door de Europese WEEE-richtlijn voorgeschreven symbool van de doorgekruiste verrijdbare afvalbak om de vereiste aan te geven van gescheiden inzameling van elektrische en elektronische apparatuur die na 13 augustus 2005 op de markt is gebracht, in overeenstemming met de WEEE-richtlijn 2002/96/EG (en hierna volgende amendementen) en uw nationale wetten.

Om uw apparatuur op de juiste wijze af te danken:

- kunt u contact opnemen met de plaatelijke autoriteiten of plaatselijke distributeur, die u de noodzakelijke practische informatie en de aanwijzingen voor het op de juiste hanteren van het afval zal geven, bijvoorbeeld: plaats en openingstijden van de afvalinzamelcentra, enz.
- Indien u een nieuw apparaat van ons aanschaft, lever dan een vergelijkbaar apparaat in bij onze distributeur voor verwerking tot afval.

VOOR ANDERE LANDEN (NIET BINNEN DE EU)

De behandeling, inzameling, recycling en afvalverwerking van elektrische en elektronische apparatuur dient te geschieden in overeenstemming met de geldende wetten in het betreffende land.

10.1 Doelgroep

Deze handleiding is in de eerste plaats geschreven voor personeel die controles uitvoert of andere documenten samenstelt.

10.2 Veiligheidsmaatregelen

Verzeker u er alstublieft van dat u, voordat u uw Vision X in gebruik neemt of enig onderhoud verricht zoals beschreven in deze handleiding, deze belangrijke veiligheidsinstructies gelezen en begrepen hebt.

- Draag veilige kleding. Draag geen loshangende kleding, lang haar of juwelen die verstrikt kunnen raken in bewegende delen.
- Laat niets op het voedingssnoer staan. Zet de Vision X niet op plaatsen waar mensen over het snoer kunnen lopen.
- Trek de stekker van de Vision X altijd uit het stopcontact voordat u hem schoonmaakt.
- Probeer geen onderhoud of reparaties te verrichten aan de Vision X, behalve als deze handelingen elders in deze handleiding beschreven zijn.
- Als u probeert onderhoud of reparaties te verrichten aan de externe elektrische voeding van de Vision X loopt u het risico van blootstelling aan een hoog voltage of andere risico's.
- Laat alle onderhoudswerkzaamheden over aan gekwalificeerd onderhoudspersoneel.

Opmerking:
- De Vision X voldoet alleen aan de norm IEC/EN 60950-1 en UL 60950-1 wanneer de Voeding, model DSA-0421S-28 1 42, die bij de machine geleverd is, gebruikt wordt.
- De uitgang van het stopcontact dient vlakbij de apparatuur geïnstalleerd te worden en moet makkelijk toegankelijk zijn.
- BEDIENINGSVOORWAARDEN: Temperatuur: 15 ÷ 35°C. Vochtigheidsgraad: 20 ÷ 80% R.H. Niet-Condenerend.

10.3 Als de machine beschadigd is

Trek de stekker van de Vision X uit het stopcontact en wend u voor onderhoud tot gekwalificeerd personeel, in de volgende omstandigheden:

- Als de voedingskabel beschadigd of gerafeld is.
- Als er vloeistof in het product gemorst is.
- Als de apparatuur blootgesteld geweest is aan regen of water.
- Als de apparatuur niet normaal werkt terwijl de bedieningsinstructies zijn opgevolgd.
- Als de apparatuur gevallen of beschadigd is.
- Als de apparatuur een duidelijke verandering in de prestatie vertoont, hetgeen aangeeft dat onderhoud nodig is.

Stel alleen die bedieningselementen af en vervang uitsluitend die onderdelen die beschreven zijn in de instructies in deze handleiding.

Als u tracht aanpassingen te maken die niet zijn beschreven in deze handleiding, kunt u de apparatuur beschadigen en de garantie ongeldig maken.

Onbevoegde aanpassingen of reparaties kunnen leiden tot de noodzaak van uitgebreide werkzaamheden door een gekwalificeerd technicus, om de apparatuur weer terug te brengen in de toestand van goede werking.

10. Korrekt kassering av elektrisk og elektronisk utstyr (WEEE)

FOR LAND I DEN EUROPEISKE UNION (EU)

Europakommisjonen i EU har slått fast at elektrisk og elektronisk utstyr på dagens marked inneholder deler og komponenter som på korrekt vis kan brukes på nytt eller bli resirkulert, slik at mengdene av materialer som tilslutt blir kastet på fyllplasser og andre søppelområder, reduseres. For å forholde seg til denne beslutningen må man ikke samle opp eller kaste elektrisk og elektronisk utstyr sammen med usortert søppel fra privathusholdninger eller fra forretningsvirksomheter. Det må derimot samles inn særskilt. Det kan ha skadelig innvirkning på helse og miljø hvis slike innretninger kastes på steder som ikke har autorisasjon eller utstyr. Gjerningspersoner vil kunne bli gjenstand for de straffereaksjoner og -tiltak som er fastsatt i lovverket. I denne sammenheng er Panini-produktene korrekt merket med symbolet bestående av en søppelbøtte med et kryss over, som angitt i EUs WEEE-direktiv. Dette angir kravet om særskilt innsamling av elektrisk og elektronisk utstyr som kom på markedet etter 13. august 2005 i henhold til WEEE-direktiv 2002/96/EC (og senere endringer) og din nasjonale lovgivning.
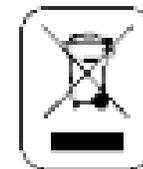
Slik kasserer du innretningene på korrekt vis:

- Kontakt lokale myndigheter eller lokal distributør, som vil gi deg den praktiske informasjonen du behøver og veiledninger for å håndtere søppel korrekt, for eksempel: Lokasjon og åpningstider til søppeloppsamlingssentrene osv.
- Når du kjøper en ny innretning fra oss, kan du gi til distributøren vår en innretning som er lik den du kjøper, for kassering.

FOR ANDRE LAND (IKKE I EU)

Behandlingen, innsamlingen, resirkuleringen og kasseringen av elektriske og elektroniske innretninger vil bli utført i samsvar med lovverket som gjelder i det aktuelle landet.

10.1 Målgruppe

Denne håndboken er hovedsakelig skrevet for personer som behandler kontroller og andre dokumenter.

10.2 Sikkerhetsforanstaltninger

Før du begynner å bruk eller foreta service på Vision X som angitt i denne håndboken, må du lese og forstå disse viktige sikkerhetsveiledningene.

- Kle deg sikkert. Ikke bruk løstsittende klær, ikke ha langt hår eller smykker som kan henge seg opp i bevegelige deler.

- Ikke la noe ligge oppå strømledningen. Ikke plasser Vision X der du risikerer at noen tråkker på ledningen.

- Koble alltid Vision X fra før rengjøring.

- Ikke prøv å utføre service eller reparasjoner på Vision X bortsett fra det som det er gitt veiledning om andre steder i denne håndboken.

- Du kan bli utsatt for farlig spenning eller andre farer hvis du prøver å utføre service eller reparasjoner på den eksterne strømforsyningen til Vision X.

- Henvis all service til kvalifisert servicepersonell.

Merk:
- Vision X er i samsvar med standarden IEC/EN 60950-1 og 60950-1 kun bruk av strømforsyningsmodell DSA-0421S-28 1 42 som leveres med maskinen.
- Kontaktuttaket må installeres nær utstyret og være lett tilgjengelig.
- BRUKSFORHOLD: Temperatur: 15 ÷ 35° C. Fuktighet: 20 ÷ 80 % R.H. ikke-kondenserende.

10.3 Hvis maskinen er skadet

Trekk ut ledningen til Vision X fra uttaket i veggen, og henvis servicen til kvalifisert personell under følgende forhold:

- Hvis strømledningen er skadet eller slitt.
- Hvis det er sølt væske inn i produktet.
- Hvis utstyret har vært utsatt for regn eller vann.
- Hvis utstyret ikke virker normalt når bruksveiledningene følges.
- Hvis utstyret har falt i bakken eller er blitt skadet.
- Hvis utstyret viser en tydelig endring i ytelsen, som angir behov for service.

Juster kun de kontrollene, og bytt kun ut de elementene som omfattes av veiledningene i denne håndboken.

Hvis du prøver å foreta justeringer som ikke omfattes av denne håndboken, kan du skade utstyret og ugyldiggjøre garantien.

Uautoriserte justeringer eller reparasjoner kan føre til at det blir nødvendig med omfattende arbeider utført av kvalifisert tekniker for at utstyret skal bli satt tilbake i skikkelig stand.

10. Korrekt kassering av elektroniska komponenter enligt (WEEE)

FÖR LÄNDER INOM DEN EUROPEISKA UNIONEN (EU)

Europakommissionen i den Europeiska Unionen har fastställt att elektronisk utrustning som finns på marknaden idag innehåller delar och komponenter som kan återanvändas eller återvinnas för att minska den mängd material som slutligen hamnar på tippen och andra sopförvaringsplatser. För att tillgodose denna bestämmelse skall avfall från elektriska och elektroniska produkter (WEEE) inte samlas upp tillsammans med osorterat avfall från privata hushåll eller företag. Det skall istället samlas in separat. Att dumpa dessa apparater på icke härför utrustade eller icke-auktoriserade platser kan ha en farlig inverkan på vår hälsa och miljö. Lagöverträdare blir föremål för de åtal och straff som lagen föreskriver.

Därför är Panini-produkter märkta med det härför avsedda EU-märket (WEEE): en symbol med en överkryssad soptunna som visar att den skall gå till separat uppsamling enligt den lag som säger att elektriska och elektroniska produkter som når marknaden efter den 13 augusti 2005 skall återvinnas enligt WEEE-direktivet 2002/96/EG (och senare tillägg) och enligt lokal lagstiftning.

För att skrota våra produkter på ett korrekt vis:

• Kontakta dina lokala myndigheter eller din lokala återförsäljare: de kan ge dig de praktiska upplysningar som du behöver och alla instruktioner om hur du korrekt skall behandla dessa sopor, till exempel: plats och öppettider för sopstationer, osv

• Då du handlar en ny apparat av oss, kan du lämna den gamla apparaten hos vår återförsäljare som ser till att skrota den på korrekt vis.

FÖR ANDRA LÄNDER (UTANFÖR DEN EUROPEISKA UNIONEN (EU)

Behandling, insamling, återvinning och skrotning av elektrisk och elektronisk utrustning skall utföras i enlighet med de lokala lagarna i landet i fråga.

10.1 Målgrupp

Denna manual är först och främst skriven för den personal som utför kontroll och annan dokumentation.

10.2 Säkerhetsföreskrifter

Innan du börjar använda eller serva din VisionX enligt instruktionerna i denna manual, skall du läsa och förstå dessa viktiga säkerhetsinstruktioner.

- Klä dig säkert. Använd inte lössittande kläder eller smycken, och ha inte långt hår - dessa kan alla fastna i rörliga delar.
- Se till att ingenting står på strömkabeln. Placera inte VisionX på en plats där folk måste kliva på eller över strömkabeln.
- Koppla alltid loss VisionX från strömförande nät innan du rengör den.
- Utför inget underhåll eller reparation på VisionX, förutom enligt de instruktioner du finner i denna manual.
- Att försöka serva eller reparera det yttre strömförsörjningspaketet på VisionX kan utsätta dig för farligt höga volttal och andra risker.
- Se till att allt underhållsarbete utförs av kvalificerad underhållspersonal.

OBS:
- Vision X är endast i överensstämmelse med standard IEC/EN 60950-1 och UL 60950-1 om Strömförsörjningsenhet av modell DSA-0421S-28 1 42 används, den medföljer maskinen.
- Vägguttaget skall vara placerat i närheten av utrustningen och skall vara lättåtkomligt.
- DRIFTSFÖRHÅLLANDEN: Temperatur: 15 ÷ 35 °C. Luftfuktighet: 20 ÷ 80 % relativ luftfuktighet, icke-kondenserande.

10.3 Om maskinen är skadad

Koppla bort Vision X från strömförande nät och se till att underhållet utförs av kvalificerad personal vid dessa tillfällen:

- Om den strömförande kabeln är skadad eller sliten.
- Om vätska spillts i maskinen.
- Om utrustningen har utsatts för regn eller vatten.
- Om utrustningen inte fungerar normalt trots att driftsinstruktionerna följs.
- Om utrustningen har tappats eller skadats.
- Om utrustningen uppvisar nedsatt prestanda, något som tyder på behov för undehåll.

Justera endast de reglage och byt endast ut de delar som finns omnämnda i denna manual.
Om du försöker att justera sådant som inte behandlas i denna manual, kan du eventuellt skada utrustningen och då ogiltigförklaras garantin.
Icke-auktoriserade ingrepp eller reparationer kan resultera i betydande arbetsinsats av en kvalificerad tekniker för att återställa utrustningen till dess korrekta driftskondition.

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10. Sähkö- ja elektroniikkalaitteiden oikea hävittäminen (WEEE)

EUROOPAN UNIONIN MAAT (EU)

Euroopan Unionin komissio on päättänyt, että nykyään markkinoilla olevat sähköiset ja elektroniset laitteet sisältävät osia ja komponentteja, joita voidaan uudelleenkäyttää tai kierrättää sellaisten jätteiden vähentämiseksi, jotka käytetään täyttömaana tai viedään kaatopaikalle. Tämän päätöksen mukaisesti sähkö- ja elektroniikkalaiteromua (WEEE) ei saa kerätä tai hävittää yhdessä lajittelemattomien kotitalous- tai yhdyskuntajätteiden kanssa. Se on kerättävä erikseen. Näiden laitteiden jättäminen varustelemattomiin tai valtuuttamattomiin paikkoihin saattaa aiheuttaa vaaraa terveydelle ja ympäristölle. Rikkomuksentekijöitä rangaistaan lain mukaisesti.

Tätä varten Panini-tuotteet on asianmukaisesti merkitty Euroopan Unionin WEEE-direktiivin mukaisella merkillä, jossa on risti jäteastian päällä, joka osoittaa, että 13. elokuuta 2005 jälkeen markkinoille tulleet sähkö- ja elektroniikkalaitteet täytyy WEEE-direktiivin 2002/96/EY (ja myöhempien muutosten) mukaisesti kerätä erikseen.
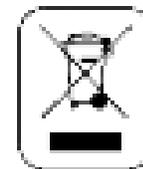
Laitteiden asianmukainen hävittäminen:

- Ota yhteys paikallisiin viranomaisiin tai jälleenmyyjään, joilta saat tarvitsemasi käytännön tiedot ja ohjeet romun käsittelemistä varten, esimerkiksi: keräyskeskusten sijainti ja aukioloajat jne.
- Kun hankit uuden laitteen, palauta samanlainen käytetty laite jälleenmyyjälle hävittämistä varten.

MUUT MAAT (EI EU)

Sähkö- ja elektroniikkaromun käsittely, kerääminen, kierrätys ja hävittäminen on tehtävä maassa voimassa olevien lakien mukaisesti.

10.1 Kenelle opas on tarkoitettu

Tämä opas on laadittu ennen kaikkea henkilökunnalle, joka käsittelee shekkejä tai muita asiakirjoja.

10.2 Turvallisuusvarotoimet

Varmista, että olet lukenut ja ymmärtänyt nämä tärkeät turvaohjeet ennen kuin alat käyttää tai huoltaa Vision X -laitetta.

- Pukeudu turvallisesti. Älä käytä löysiä vaatteita, älä pidä pitkää tukkaa auki, älä käytä koruja, jotka saattavat tarttua liikkuviin osiin.

- Virtajohdon päällä ei saa olla mitään. Älä sijoita Vision X -laitetta paikkaan, jossa joku voi kävellä johdon päällä.

- Irrota pistoke aina pistorasiasta ennen Vision X -laitteen puhdistamista.

- Älä yritä huoltaa tai korjata Vision X -laitetta muuten kuin tässä oppaassa kuvatulla tavalla.

- Vision X:n virtajohdon huolto- tai korjausyritykset saattavat aiheuttaa sähköisku- tai muun vaaran.

- Anna kaikki huoltotoimet pätevän henkilökunnan tehtäväksi.

Huomaa:

- Vision X vastaa standardeja IEC/EN 60950-1 ja UL 60950-1 vain kun käytetään koneen mukana toimitettua virtajohtoa, malli DSA-0421S-28 1 42.
- Pistorasian täytyy olla laitteen lähellä ja sen on oltava helposti saavutettavissa.
- KÄYTTÖOLOSUHTEET: Lämpötila: 15 ÷ 35 °C. Kosteus: 20 ÷ 80 % S.K. tiivistymätön.

10.3 Jos kone on vahingoittunut

Kytke Vision X irti sähköverkosta ja anna huolto pätevän henkilökunnan tehtäväksi seuraavissa olosuhteissa:

- Jos virtajohto on vahingoittunut tai kulunut.
- Jos tuotteeseen on valunut nestettä.
- Jos laitteisto on ollut sateessa tai vedessä.
- Jos laitteisto ei toimi normaalisti kun käyttöohjeita noudatetaan.
- Jos laite on pudonnut tai vaurioitunut.
- Jos laitteen tehossa havaitaan selvä muutos, joka osoittaa, että huoltoa tarvitaan.

Säädä ainoastaan sellaisia asetuksia ja vaihda ainoastaan sellaisia osia, jotka kuvataan tässä oppaassa.
Jos yrität tehdä muita kuin tässä oppaassa kuvattuja säätöjä, laite voi vahingoittua ja takuu raukeaa.
Valtuuttamattomat säädöt tai korjaukset voivat johtaa tilanteeseen, jossa vaaditaan pätevän teknikon työskentelyä laitteen palauttamiseksi oikeisiin toimintaolosuhteisiin.

10. Σωστή απόρριψη των (WEEE)

ΓΙΑ ΧΩΡΕΣ ΣΤΗΝ ΕΥΡΩΠΑΪΚΗ ΕΝΩΣΗ (ΕΕ)

Η Ευρωπαϊκή Επιτροπή της Ευρωπαϊκής Ένωσης έχει καθορίσει ότι οι ηλεκτρικές και ηλεκτρονικές συσκευές στην αγορά σήμερα περιέχουν μέρη και εξαρτήματα τα οποία μπορούν να επαναχρησιμοποιηθούν ή να ανακυκλωθούν κατάλληλα για να μειωθούν οι ποσότητες των υλικών που τελικά απορρίπτονται σε χωματερές και άλλους χώρους απόρριψης.Για να εξυπηρετηθεί αυτή η απόφαση, τα απόβλητα ηλεκτρικού και ηλεκτρονικού εξοπλισμού (WEEE) δεν πρέπει να συλλέγονται ή να απορρίπτονται μαζί με τα απορρίμματα που δεν έχουν υποστεί διαλογή από ιδιωτικές κατοικίες ή επιχειρήσεις. Αντίθετα, πρέπει να συλλέγονται ξεχωριστά.Η απόρριψη αυτών των συσκευών σε χώρους χωρίς κατάλληλο εξοπλισμό ή εξουσιοδότηση μπορεί να έχει επικίνδυνες επιπτώσεις στην υγεία και το περιβάλλον.Οι παραβάτες θα υπόκεινται σε ποινές και μέτρα που καθορίζει η νομοθεσία.

Προς το σκοπό αυτό, τα προϊόντα της Panini φέρουν την κατάλληλη σήμανση με το σύμβολο του διαγραμμένου κάδου απορριμμάτων της Οδηγίας (WEEE) της Ευρωπαϊκής Ένωσης, για να υποδεικνύουν την ανάγκη για ξεχωριστή συλλογή του ηλεκτρικού και ηλεκτρονικού εξοπλισμού που κυκλοφόρησε στην αγορά μετά τις 13 Αυγούστου 2005, σύμφωνα με την οδηγία (WEEE) 2002/96/ΕΚ (και τις επακόλουθες τροπολογίες της) και την εθνική σας νομοθεσία.

Για να απορριφθούν σωστά οι συσκευές μας:

- Επικοινωνήστε με τις τοπικές αρχές ή τον τοπικό αντιπρόσωπο, οι οποίοι θα σας δώσουν τις πρακτικές συμβουλές που χρειάζεστε και τις οδηγίες για το σωστό χειρισμό των αποβλήτων, για παράδειγμα: τοποθεσίες και ώρες λειτουργίας των κέντρων συλλογής απορριμμάτων, κλπ.
- Όταν αγοράζεται μια καινούρια συσκευή μας, παραδώστε μια μεταχειρισμένη συσκευή παρόμοια με εκείνη που αγοράσατε στον αντιπρόσωπό μας για απόρριψη..

ΓΙΑ ΑΛΛΕΣ ΧΩΡΕΣ (ΟΧΙ ΣΤΗΝ ΕΕ)

Η επεξεργασία, συλλογή, ανακύκλωση και απόρριψη των ηλεκτρικών και ηλεκτρονικών συσκευών θα πραγματοποιείται σύμφωνα με την ισχύουσα νομοθεσία στη συγκεκριμένη χώρα.

10.1 Αποδέκτες

Το εγχειρίδιο αυτό γράφτηκε κυρίως για το προσωπικό που χειρίζεται τους ελέγχους ή άλλα έγγραφα.

10.2 Προφυλάξεις ασφαλείας

Πριν ξεκινήσετε τη λειτουργία ή το σέρβις του Vision X σύμφωνα με τις οδηγίες του παρόντος εγχειριδίου, παρακαλούμε βεβαιωθείτε ότι διαβάσατε και κατανοήσατε αυτές τις σημαντικές οδηγίες ασφαλείας.

- Ασφάλεια ένδυσης. Μη φοράτε χαλαρά ρούχα, μακριά μαλλιά ή κοσμήματα τα οποία μπορεί να μπλεχτούν σε κινούμενα μέρη.
- Μην αφήνετε τίποτε να ακουμπά πάνω στο καλώδιο τροφοδοσίας.Μην τοποθετείτε το Vision X σε σημείο όπου κάποιος μπορεί να πατήσει πάνω στο καλώδιο τροφοδοσίας.
- Πάντοτε αποσυνδέετε το Vision X από την πρίζα πριν τον καθαρισμό.
- Μην προσπαθήσετε να επισκευάσετε ή να συντηρήσετε το Vision X, με εξαίρεση τις οδηγίες που παρέχονται σε άλλο σημείο του παρόντος εγχειριδίου.
- Η προσπάθεια συντήρησης ή επισκευής της εξωτερικής παροχής τροφοδοσίας του Vision X μπορεί να σας εκθέσει σε σημεία με επικίνδυνες τάσεις ή άλλους κινδύνους.
- Αναθέστε κάθε συντήρηση σε εξειδικευμένο προσωπικό σέρβις.

> **Σημείωση:**
>
> • Το Vision X θα είναι σύμφωνο με το πρότυπο IEC/EN 60950-1 και UL 60950-1 χρησιμοποιώντας μόνο το μοντέλο Παροχής Τροφοδοσίας DSA-0421S-28 1 42 που διατίθεται με το μηχάνημα.
>
> • Ο ρευματολήπτης θα πρέπει να είναι εγκατεστημένος κοντά στον εξοπλισμό και να είναι εύκολα προσβάσιμος.
>
> • ΣΥΝΘΗΚΕΣ ΛΕΙΤΟΥΡΓΙΑΣ: Θερμοκρασία: 15 ÷ 35°C. Υγρασία: 20 ÷ 80%. Σ.Υ. Χωρίς συμπύκνωση.

10.3 Εάν το μηχάνημα πάθει ζημιά

Αποσυνδέστε το Vision X από την πρίζα στον τοίχο και αναθέστε τη συντήρηση σε εξειδικευμένο προσωπικό σέρβις υπό τους παρακάτω όρους:

- Εάν το καλώδιο τροφοδοσίας έχει υποστεί ζημιά ή έχει ξεφτίσει.
- Εάν έχει χυθεί υγρό πάνω στο προϊόν.
- Εάν η συσκευή εκτέθηκε σε βροχή ή νερό.
- Εάν η συσκευή δε λειτουργεί κανονικά όταν ακολουθούνται οι οδηγίες λειτουργίας.
- Εάν η συσκευή έπεσε ή έπαθε ζημιά.
- Εάν η συσκευή παρουσιάσει σαφή αλλαγή στην απόδοση, υποδεικνύοντας την ανάγκη για σέρβις.

Ρυθμίστε μόνο εκείνα τα χειριστήρια και αντικαταστήστε μόνο εκείνα τα εξαρτήματα τα οποία καλύπτονται από τις οδηγίες του παρόντος εγχειριδίου.
Εάν προσπαθήσετε να κάνετε ρυθμίσεις οι οποίες δεν καλύπτονται στο παρόν εγχειρίδιο, μπορεί να προκαλέσετε βλάβη στη συσκευή και να ακυρώσετε την εγγύηση.
Οι μη εξουσιοδοτημένες ρυθμίσεις μπορεί να προκαλέσουν την ανάγκη για εκτενή εργασία από εξειδικευμένο τεχνικό για την αποκατάσταση της συσκευής στην κανονική κατάσταση λειτουργίας της.

10.1 本書の対象となる主体

Notes
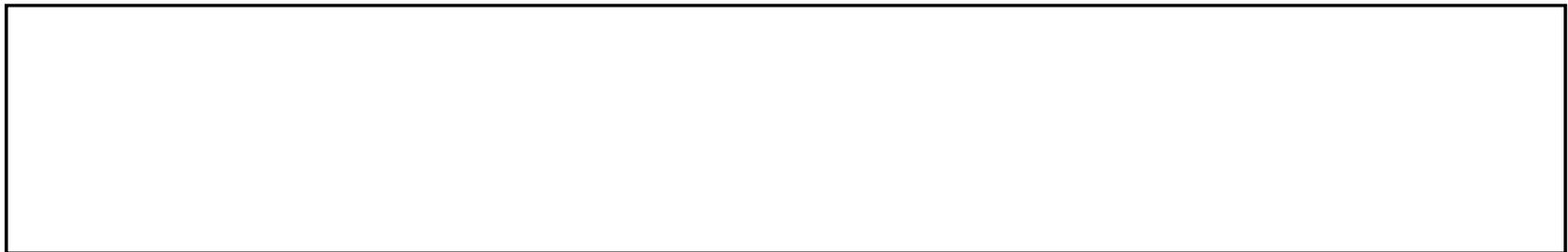
Operator Manual

Rev. 1.5

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Preface

Release Date:
March 2011

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**PANINI NORTH
AMERICA**
(Subsidiary)
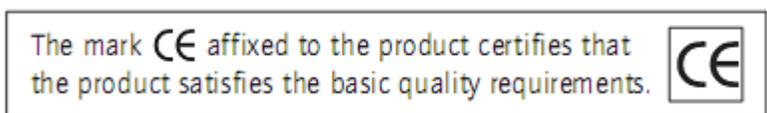577 Congress Park Drive
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(USA)

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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.

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E 172976

The mark CE affixed to the product certifies that the product satisfies the basic quality requirements.

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.

Operator Manual   Page 1   Preface

Contents

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™.

⓵ 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.
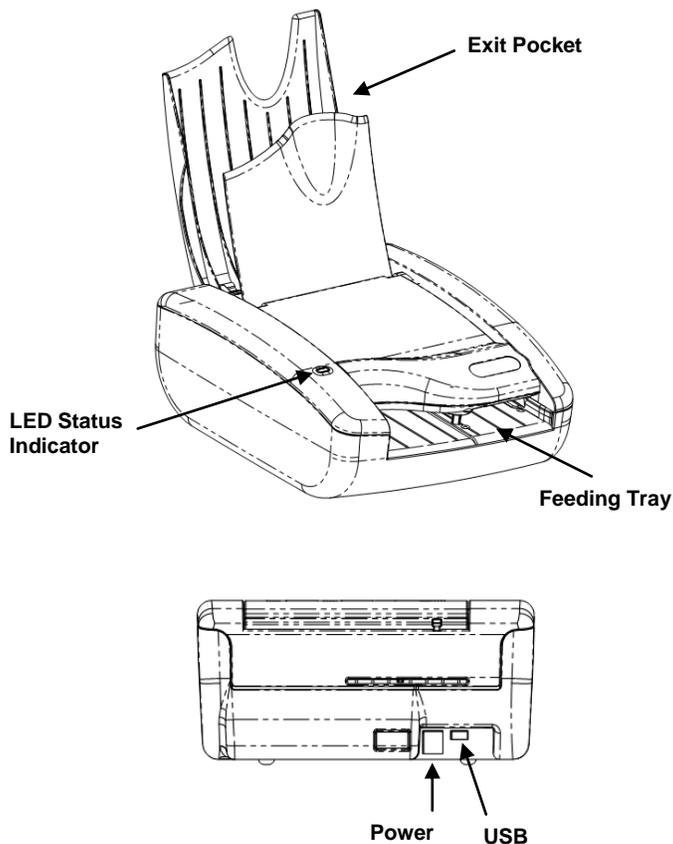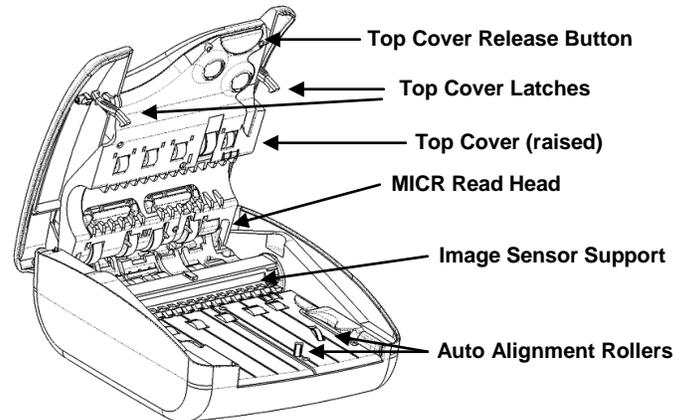Refer to Chapter 2 for the device installation instructions.

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

LED Status Indicator

Exit Pocket

Feeding Tray

Power   USB

1.3. Internal Components

Top Cover Release Button

Top Cover Latches

Top Cover (raised)

MICR Read Head

Image Sensor Support

Auto Alignment Rollers

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.

Franking Roller
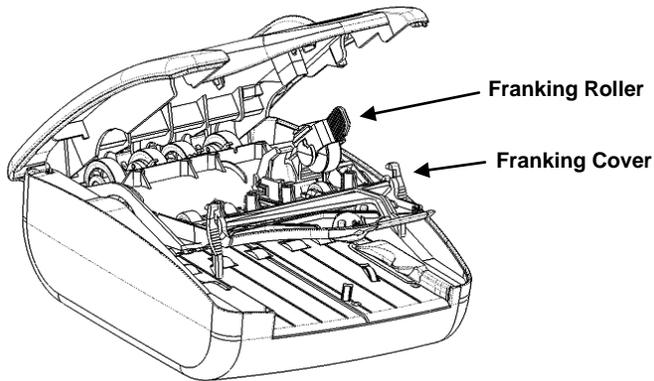
Franking Cover

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. Operating the I:Deal™

3.1. Preparing Documents

To reduce the possibility of transport errors and damage to the unit, you should perform the following steps prior to feeding the documents:

- Remove all folds and creases in the document
- Remove any paper clips, staples, pins, rubber bands, etc. from the document

3.2. Feeding Documents

The unit is designed to make feeding as easy and hassle free as possible. The steps below instruct how to properly feed documents into the unit.

- To begin feeding first open the feeding pocket flaps by lifting up on the flap handle.

Flap Handle

Pocket Flaps

Once the software calls the feeding process and the LED is green then the I:Deal™ unit is ready to accept documents.

- Insert document face up with the MICR line aligned to the right side of the scanner into the right side of the feeding tray (as indicated by the check icon).

Feeding Tray

MICR Code Line

- Once the document is inserted, the machine will detect the presence of the document and will begin feeding. The device will automatically align the document to the proper position regardless of the angle or alignment in which the document is inserted into the unit.

- The document is scanned and, depending on the scan mode selected by the application, will either scan and stop in the exit pocket (which holds up to 10 documents) or scan and return to the feeding tray for easy removal.

As the document is fed into the device the machine will detect if the document was not automatically aligned correctly. If the document is skewed the device will prevent further processing, stopping the document and flashing a red LED. Document can be fed again by removing and reinserting the document.

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.

b. Open the rear CIS support by pressing the right tab in and lifting up.

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.

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.

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.
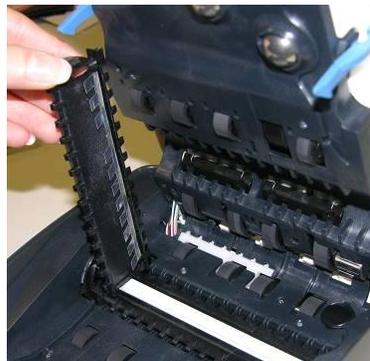
4.2. Cleaning the Contact Image Sensors

1.) Gently open the front image camera

a. Manually rotate the CIS support, positioning the camera on the bottom.

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.
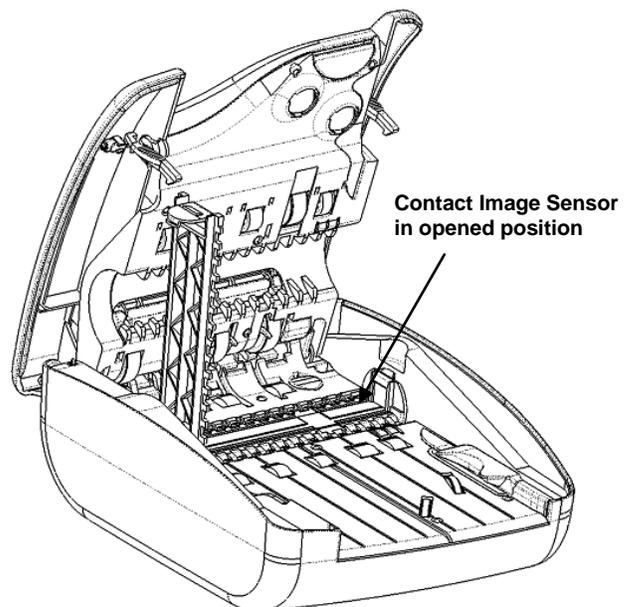

In this case remove and re-feed document into the scanner. Ensure that the top cover is properly closed after removing the document.

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.
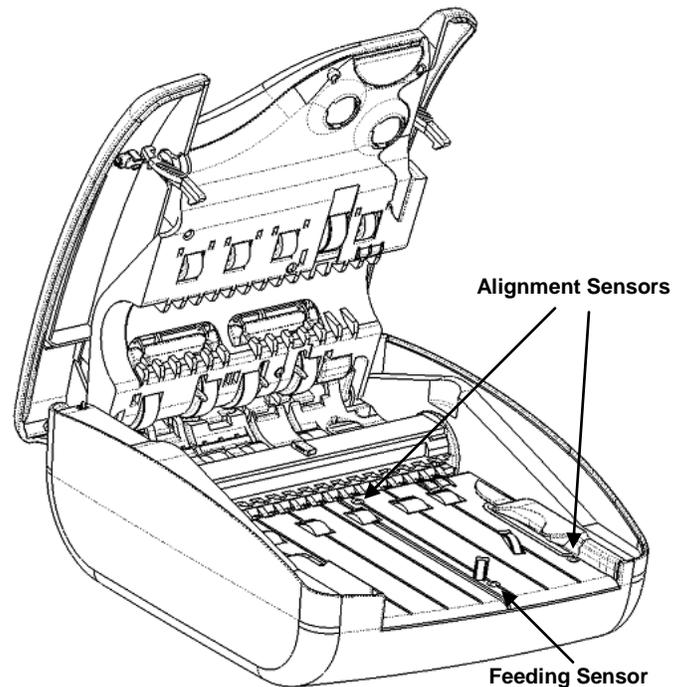
5.3. Image Streaking or Fading

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 / *For customized text please contact your Sales representative*
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 11. Queue Interface

OTCnet Participant User Guide

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List of Figures

Glossary

Click this link to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

In this guide, you will learn how to configure the Queue Interface.

Topic

This guide contains one topic: Queue Interface Overview

Audience

The intended audiences for this guide are:

- Agencies using Queue Interface
- Check Capture Administrators

Topic 1 Queue Interface Overview

Queue Interface Purpose

The purpose of the Queue Interface is to enable interaction between **Over the Counter Channel Application (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 discrepancies 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:

    - A scanned check is saved

    - A check is updated

    - A check is voided

    - A batch is created

    - A batch is closed

    - A batch is approved

    - An updated batch total appears

- OTCnet 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 updated batch data and the updated item data are transmitted to the Queue

- Once an agency's Queue Interface is enabled for an 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*

- The OTCnet audit log includes Queue transaction status information

Queue Interface Configuration

Only **Check Capture Administrators** and **Check Capture Supervisors** are authorized to set up a link, or bridge, to Queue Interface.

To configure the Queue Interface, you must select the endpoint you wish to link to Queue Interface. You must enable **Check Capture** and **Queue Interface**. You also must complete the OTCnet and DDS interface configuration by performing some additional actions, found in the **DDS Interface Setup Standard Operating Procedure (SOP)**.

Queue Interface Configuration

To configure the queue interface, complete the following steps:

1. From the **Administration** tab, select **Manage Organization**>**Organization Hierarchy** >**Modify.**

2. The *Step 1 of 3: Select Organization Endpoint* page appears. Expand the hierarchy to select the OTC Endpoint that you wish to link to the Queue Interface.

Application Tip

You must use an active OTC endpoint.

3. The *Step 2 of 3: Define Processing Options* page appears. Check **Enable Check Capture and** select **Yes** for Queue Interface as shown in Figure 1.

Figure 1. Queue Interface

4. Select **Next**.

5. Select **Submit** to save your changes.

Application Tips

- Once your changes are submitted, the OTC Endpoint is configured with the Queue Interface.
- You can only configure the Queue Interface for OTC Endpoints that you are authorized to access.

Summary

In this chapter, you learned how to configure the Queue Interface.

Check Capture and Check Processing