



## **Chapter 1: Introduction to OTCnet**

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### **OTCnet Participant User Guide**

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# Audience, Overview, and Topics

## Audience

The intended audience for the Introduction to OTCnet includes:

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

## Overview

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

- The introduction to OTCnet

## Topics

The topics of this chapter are:

- OTCnet Background and Organization
- OTCnet User Roles

# Topic 1. Introduction to OTCnet

## Overview

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

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

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

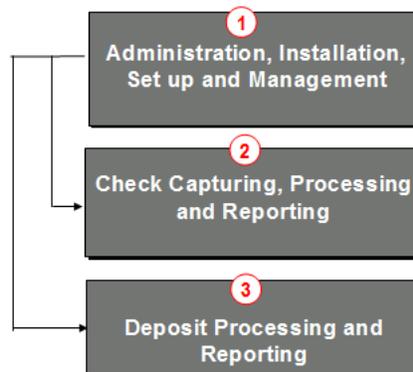
OTCnet financial services:

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

## OTCnet Elements

OTCnet is comprised of three elements: 1) Administration, 2) Check Capture, Check Processing and Reporting and 3) Deposit Processing and Reporting. Administration functions support Check Capture, Check Processing and Reporting as well as Deposit Processing and Reporting (see figure below).

Figure 1. OTCnet Elements



The functions of the three elements of are:

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

## OTCnet Process Flow: Check Capture, Check Processing and Reporting

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

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

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

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

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

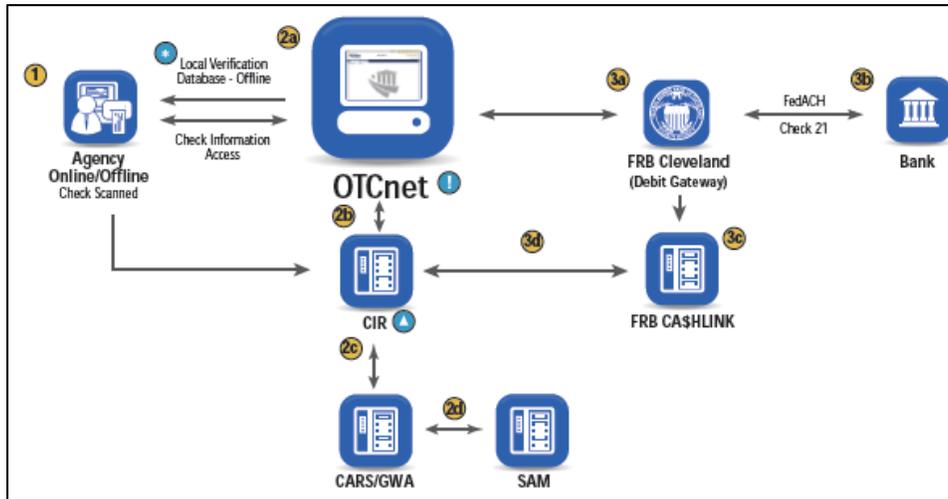
OTCnet sends captured check data to Debit Gateway at the Federal Reserve Bank Cleveland (FRB-C), who then sends the data to the appropriate Financial Institutions (FIs) either through FedACH (personal check) or Check 21 (non-personal check) where the check was written.

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

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

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

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



## What is ACH?

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

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

## What is Check 21?

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

To meet legal requirements, a substitute check must:

- Contain an image of the front and back of the original check.
- Bear a legend that states, "This is a legal copy of your check. You can use it the same way you would use the original check."
- Display a MICR line containing all information appearing on the MICR line of the original check.
- Conform in paper stock, dimension, and otherwise, with generally applicable industry standards for substitute checks.
- Be suitable for automated processing in the same manner as the original check.

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

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

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

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

**Table 1. FedACH and Check 21 Payment Types**

FedACH	Check 21
<ul style="list-style-type: none"> <li>• Direct Deposit of payroll, Social Security and other government benefits, and tax refunds</li> <li>• Direct Payment of consumer bills such as mortgages, loans, utility bills and insurance premiums</li> <li>• Business-to-business payments</li> <li>• E checks</li> <li>• E commerce payments</li> <li>• Federal, state and local tax payments</li> </ul>	<ul style="list-style-type: none"> <li>• Business Checks</li> <li>• Money Orders</li> <li>• Treasury Checks</li> <li>• Credit Card Checks</li> <li>• Traveler's Checks</li> <li>• Cashier's Checks</li> <li>• Official Checks</li> <li>• Third-party Checks</li> <li>• Payroll Checks</li> <li>• Checks drawn on state or local government</li> <li>• Personal Check (No Notice)</li> <li>• Personal Check (Opt Out)</li> </ul>

## OTCnet Process Flow: Deposit Reporting

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

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

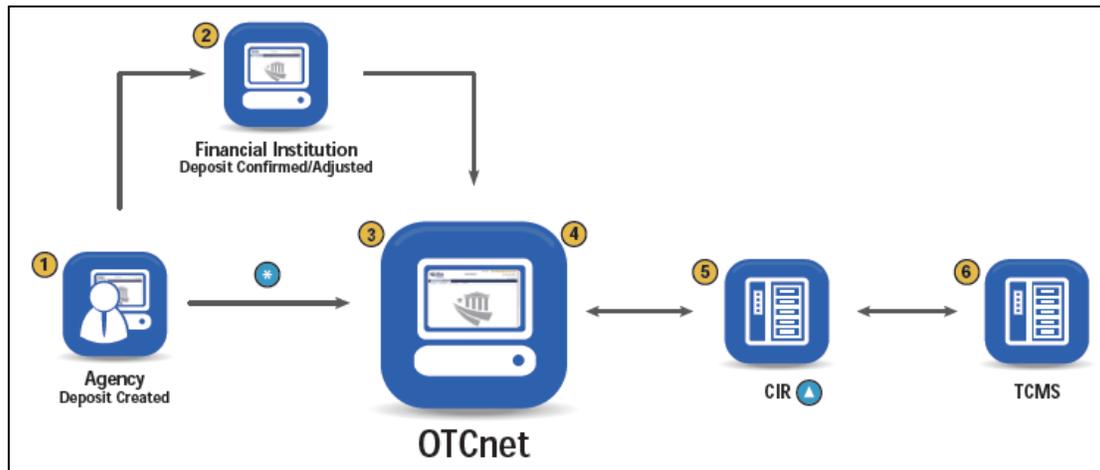
Treasury using OTCnet and prints out the OTCnet deposit ticket. The bank deposit ticket, OTCnet deposit ticket, cash, and checks (US and foreign) are taken to your Financial Institution (FI). At the FI, the Deposit Confirmer confirms the deposit, rejects the deposit or creates an adjustment to the deposit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

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

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

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

Figure 3. Deposit Reporting Process Flow



## OTCnet End Users

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

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

**Table 2. End User Roles**

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

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

## Topic 2. OTCnet User Roles

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

**Table 3. OTCnet Agency and FI/FRB User Roles**

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
Accounting Specialist	The agency user in this role is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.	Agency PLSA Agency LSA		•
Agency Local Security Administrator (LSA)	The agency user in this role will maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. LSAs can also view security reports.	Agency PLSA	•	•
Agency Primary Local Security Administrator (PLSA)	The agency user in this role has the same capabilities as an LSA, with the additional capability of creating and modifying LSAs for their organization. There can only be one PLSA per agency.	OTCnet Customer Support Team	•	•

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
Agency Manager	The agency user in this role can view and download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports. The agency user can view if an endpoint is designated for summary-level classification, and the agency comments associated to an endpoint.	Agency PLSA Agency LSA	•	
Batch Approver	<p>The user assigned this role will have the ability to approve a batch either prior to batch upload (from Offline) or when a batch is uploaded/submitted to OTCnet but not yet approved. This permission is granted especially when, in offline mode, a user has configured the terminal to upload a batch upon Batch Close. An example of this permission applies to a Check Capture Operator: though a terminal may be configured to upload upon close, an Operator is able to close a batch but does not inherently have Upload permissions, therefore the user's permissions will override the terminal configuration, and the batch will not be automatically uploaded. Providing this permission along with Batch Uploader allows for the Check Capture Operator to auto-upload the batch upon close. This role should be granted in limited cases at sites where there is a need for the Operator to perform this function without a Supervisor present.</p> <p>Note: This role only applies to the Offline version of OTCnet.</p>	Agency PLSA Agency LSA	•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
Batch Uploader	<p>The user assigned this role will have the ability to upload a batch from Offline OTCnet to the online database; this user has no other permissions, and therefore should typically be granted to a Check Capture Operator and Lead Operator. This permission is granted especially when, in offline mode, a user has configured the terminal to upload a batch upon Batch Close. An example of this permission applies to a Check Capture Operator: though a terminal may be configured to upload upon close, an Operator is able to close a batch but does not inherently have Upload permissions, therefore the user's permissions will override the terminal configuration, and the batch will not be automatically uploaded. Providing this permission along with Batch Approver allows for the Check Capture Operator to auto-upload the batch upon close. This role should be granted in limited cases at sites where there is a need for the Operator to perform this function without a Supervisor present.</p> <p>Note: This role only applies to the Offline version of OTCnet.</p>	Agency PLSA Agency LSA	•	

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

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
Check Capture Operator	<p>The agency user that has the authorization to in scan checks into a batch, view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. However, the user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.</p>	Agency PLSA Agency LSA	•	
Check Capture Supervisor	<p>The agency user in this role is the most powerful user on the Check Capture site. The user can perform almost all the functions in Check Capture including view and classify checks at the item level or a batch at the summary level, accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, accept checks with poor quality, as well as view, modify, and import accounting codes, and modify endpoint mappings. However, this user does not have any permissions associated with scanning checks. To ensure "checks and balances," scanning checks is reserved for a Check Capture Operator or Lead Operator only. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.</p>	Agency PLSA Agency LSA	•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
CIRA Viewer	The agency user in this role can only view organization endpoints and CIRA records. This is the check processing role with the lowest level of access. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.	Agency PLSA Agency LSA	•	
Deposit Approver	The agency user in this role will approve the deposit report and submit the information to the TGA financial institution.	Agency PLSA Agency LSA		•
Deposit Preparer	The agency user in this role prepares the deposit ticket and supporting information for transmission to the TGA financial institution.	Agency PLSA Agency LSA		•
FPA Viewer	The agency user in this role will only be able to search / view deposit and adjustments, and produce reports from it.	Agency PLSA Agency LSA		•
Local Accounting Specialist	The agency user in this role is an expert on the organizational structure, reporting needs and accounting rules for it's depositing and lower level endpoints. This role will establish, maintain and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower level endpoints will use in OTCnet.	Agency PLSA Agency LSA		•
MVD Editor	The agency user in this role can create, update and read verification records. This role can also download CSV formatted reports, view other general reports such as the 215 Deposit Ticket, 5515 Debit Voucher reports and the ACR Activity report. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated with an endpoint.	Agency PLSA Agency LSA	•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing
MVD Viewer	The agency user in this role can read CIRA records in addition to read verification records and read block records containing only ABA permissions. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket, 5515 Debit Voucher reports and the ACR Activity report. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.	Agency PLSA Agency LSA	•	
View Report	The agency user in this role will have access to agency reports with the exception of the CIRA CSV report.	Agency PLSA Agency LSA	•	•
Deposit Confirmer	The financial institution user in this role will verify the submitted deposit ticket, reject the deposit ticket if necessary, forward the information to the Treasury, and create adjustments, as necessary.	FI PLSA FI LSA		•
FI Viewer	The financial institution user in this role will only be able to search and view deposits and adjustments, view Financial Institution information and produce reports from it.	FI PLSA FI LSA		•
FI/FRB Local Security Administrator (LSA)	The financial institution/federal reserve bank user in this role will maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access.	FI PLSA		•
FI/FRB Primary Local Security Administrator (PLSA)	The financial institution/federal reserve bank user in this role has the same capabilities as an LSA, with the additional capability of creating and modifying LSAs for their organization. There can only be one PLSA per financial institution.	OTCnet Customer Support Team		•
FI/FRB Confirmer	The FI/FRB user in this role will verify the submitted deposit ticket, reject the deposit ticket if necessary, forward the information to the Treasury, and create adjustments, as necessary.	FI PLSA FI LSA		•

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

## Agency User Role Combinations

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

**Table 4. Combinable Agency Deposit Processing User Roles**

Agency User Roles	Agency PLSA	Agency LSA	Accounting Specialist	Local Accounting Specialist	Deposit Preparer	Deposit Approver	FPA Viewer
Agency PLSA							•
Agency LSA							•
Accounting Specialist				•	•	•	•
Local Accounting Specialist			•		•	•	•
Deposit Preparer			•	•		•	•
Deposit Approver			•	•	•		•
FPA Viewer	•	•	•	•	•	•	
CIRA Viewer			•	•	•	•	
View Report			•	•	•	•	
MVD Editor			•	•	•	•	
MVD Viewer	•	•	•	•	•	•	
Check Capture Operator			•	•	•	•	
Check Capture Lead Operator			•	•	•	•	
Check Capture Administrator		•	•	•	•	•	
Check Capture Supervisor			•	•	•	•	

**Table 5. Combinable Agency Check Capture User Roles**

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

## Financial Institution (FI) User Role Combinations

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

Table 6. Combinable Financial Institution User Roles

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

## System Tasks by Agency and Financial Institution (FI) Roles

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

Table 7. Deposit Processing and Reporting Roles

Deposit Processing & Reporting Task	Agency PLSA	Agency LSA	Agency Acc Spec	Agency Local Acc Spec	Agency Dep. Prep.	Agency Dep. Appr.	FI/FRB Viewer	FI/FRB PLSA	FI/FRB LSA	FI/FRB Dep. Confirmer	FI/FRB Viewer
Add/Update/Delete a User	•	•						•	•		
Reset Password	•	•						•	•		
Manage Own Account	•	•	•	•	•	•	•	•	•	•	•
OTCnet Logon and Homepage	•	•	•	•	•	•	•	•	•	•	•
Create/Modify Deposit					•						
Submit Deposit						•					
Confirm/Reject Deposit										•	
View Deposit/Adjustment Detail					•	•	•			•	•

Deposit Processing & Reporting Task	Agency PLSA	Agency LSA	Agency Acc Spec	Agency Local Acc Spec	Agency Dep. Prep.	Agency Dep. Appr.	FI/FRB Viewer	FI/FRB PLSA	FI/FRB LSA	FI/FRB Dep. Confirmer	FI/FRB Viewer
Search Deposit/ Adjustment					•	•	•			•	•
Create Deposit/ Adjustment										•	
Create Return Item Adjustment										•	
Modify Organization Hierarchy			•	•							
Delete Organization Hierarchy			•	•							
View Organization Hierarchy			•	•							
Search Organization Hierarchy			•	•							
Modify Accounting Codes*			•								
Import Accounting Codes*			•								
View Accounting Codes*			•	•							
Modify Endpoint Mappings*			•	•							
Modify Custom Labels			•								
View Custom Labels			•	•							
Modify Processing Options			•	•							

Deposit Processing & Reporting Task	Agency PLSA	Agency LSA	Agency Acc Spec	Agency Local Acc Spec	Agency Dep. Prep.	Agency Dep. Appr.	FI/ FRB Viewer	FI/ FRB PLSA	FI/ FRB LSA	FI/ FRB Dep. Confirmer	FI/ FRB Viewer
View Processing Options			•	•							
Modify User Defined Fields			•								
View user Defined Fields			•	•							
View Financial Institutions										•	•
View Business Reports			•	•	•	•	•			•	•
View Security Reports	•	•						•	•		
View Administrative Reports					•	•	•			•	•
Read/View Audit Log	•	•									
View GWA Reporters Flag			•	•							

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

Table 8. Check Capture Roles

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

Check Capture Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	Batch Approver*	Batch Uploader*	Online/Offline
Balance Check Amounts		•		•			Online/Offline
Change Batch Control Values	•	•		•			Online/Offline
Change Batch Status				•			Online/Offline
Close Batch	•	•		•			Online/Offline
Edit Batch		•		•			Online/Offline
Change Mode	•	•					Online/Offline
Configure Check Capture System (settings)			•	•			Online/Offline
View Check Capture System Configuration	•	•	•	•			Online/Offline
Configure Batch Manager	•	•	•	•			Online/Offline
Override Verification				•			Online/Offline
Process Transactions (Scan Checks)	•	•					Online/Offline
Approve/Submit Batch				•	•		Online/Offline
View Batch List	•	•	•	•			Online/Offline
Void Item During Balancing				•	•		Online/Offline
Void Transaction				•	•		Online/Offline

Check Capture Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	Batch Approver*	Batch Uploader*	Online/Offline
Check Capture System Maintenance (Upgrade Scanner Firmware)			•	•			Online/Offline
Check Capture System Maintenance (Upgrade Application from Online)			•	•			Offline
Check Capture System Maintenance (Upgrade Form from Online)			•	•			Offline
Upload Batch				•		•	Offline
Acknowledge Batch				•		•	Offline
Recover From Secondary Storage				•			Offline
Reset LVD			•	•			Offline
Update LVD		•		•			Offline
Authorize Old Verification				•			Offline
Create and Download Initialization File			•				Online
Startup of OTCnet Offline Application Server	•	•	•	•	•	•	Offline

Check Capture Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	Batch Approver*	Batch Uploader*	Online/Offline
Upgrade Offline OTCnet Version	•	•		•			Offline
Modify Classify Batch	•	•		•			Online/Offline
View Classify Batch	•	•	•	•			Online/Offline
Modify Classify Item	•	•		•			Online/Offline
View Classify Item	•	•	•	•			Online/Offline
Download Check Capture Application			•	•			Offline
View Activity Log	•	•					Offline
Read/View Audit Check Capture Module (Partial – Access User's Own Activities Only)			•				Offline
Manage Users			•				Offline
Download User Profiles			•				Offline
Update User Profiles			•				Offline
Download OTC Endpoints			•				Offline
Update OTC Endpoints (Offline)			•	•			Offline

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

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

**Table 9. Check Processing**

Check Processing Task	Agency Manager	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	CIRA Viewer*	View Reports*	MVD Editor	MVD Viewer	Batch Approver*
Manage Own Account	•	•	•	•	•	•		•	•	
OTCnet Logon and Homepage	•	•	•	•	•	•		•	•	
Modify Organization Hierarchy			•	•	•					
Delete Organization Hierarchy				•	•					
View organization Hierarchy	•	•	•	•	•	•		•	•	
Search Organization	•	•	•	•	•	•		•	•	
Create/Modify Verification Records								•		
View Verification Records								•	•	
Read Block Record Containing Only an ABA								•	•	
Create/Modify Check Capture Site				•						
Download Release				•						
View CIRA	•					•	•	•	•	
Read/View Audit Admin (Partial)				•						

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

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

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



# Glossary

## A

**Accounting Code** – A unique agency classification code assigned to a transaction, which identifies the FRB Account Key that is used within the Federal Reserve. In check capture, it is a method of grouping individual check transactions into certain classifications. In deposit reporting, the classification is being done at a voucher level, where a voucher is being classified with one or many agency defined accounting codes or TAS.

**Accounting Code Description** – A brief explanation that provides further detail about an accounting code.

**Accounting Code Name** – The title of the accounting code.

**Accounting Key** – The account number assigned to a deposit when it is submitted to FRB CA\$HLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

**Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.

**Acknowledged Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Acknowledged Error Batch Status** – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which resulted in a batch being updated to Acknowledgment Error.

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

**Activity Type** – The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

**Adjustment Activity (FI) Report** – A business report that allows you to view adjustments made by your financial institution (FI).

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

**Adjustments by OTC Endpoints Report** – A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

**Agency CIRA Report** – A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

**Agency Contact** – A person designated by an agency as the primary contact regarding deposit-related matters.

**Agency Information** – The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

**Agency Location Code (ALC)** – A numeric symbol identifying the agency accounting and/or reporting office.

**Agency Location Code plus 2 (ALC+2)** – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

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

**Alternate Agency Contact** – A person designated by an agency as the secondary contact regarding deposit-related matters.

**American Bankers Association (ABA)** – (also known as Bank Routing Number) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

**Approved Batch Status** – Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

**Audit Log** – A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a comma separated value report (CSV) and opened in a spreadsheet program or available to print in a formatted audit log report.

**Automated Clearing House** – A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

**Awaiting Approval (AWAP)** – A deposit that is waiting for deposit confirmation by a Deposit Approver.

## B

**Back Office Processing Method** – Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

**Batch** – A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

**Batch Approver** – An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Batch Control/Batch Balancing** – An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

**Batch ID** – The unique number assigned to a batch by OTCnet.

**Batch List Report** – A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

**Batch Status** – Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

**Batch Uploader** – An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Blocked** – A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

**Bureau of the Fiscal Service (FS)** – (formerly FMS) The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates

the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

**Business Event Type Code (BETC)** – A code used in the CARS/GWA system to indicate the type of activity being reported, such as payments, collections, borrowings, etc. This code must accompany the Treasury Account Symbol (TAS).

## C

**CA\$HLINK II** – An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

**CA\$HLINK II Account Number (CAN)** – The account number assigned to a deposit when it is submitted to CA\$HLINK II.

**Capture Date** – The calendar date and time the payment is processed by the agency.

**Cashier ID** – The ID of the user that created the transaction.

**Central Accounting Reporting System (CARS)** – (formerly GWA) The system that addresses the central accounting and reporting functions and processes associated with budget execution, accountability, and cash/other asset management. This includes the collection and dissemination of financial management and accounting information from and to federal program agencies.

**Central Image and Research Archive (CIRA)** – The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

**Characteristics** – The properties of a user, organization, deposit, or financial institution.

**Check 21** – Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

**Check Amount** – The dollar amount of the check.

**Check Capture** – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

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

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

**Check Capture Offline** – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

**Check Capture Online** – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

**Check Capture Operator** – An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

**Check Capture Supervisor** – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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

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

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

**CIRA CSV Report** – A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

**CIRA Viewer** – A user that has authorization to view CIRA records and download CSV files. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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

**Clear** – Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

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

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

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

**Collections Information Repository (CIR)** – (formerly TRS) A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Comma Separated Values (CSV)** – A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

**Confirmed** – A deposit that has been reviewed and then confirmed by a financial institution or FRB.

**Cost Center Work Unit (CCWU)** – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

**Custom Label** – Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

**Customer Not Present Processing Method** – The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

**Customer Present Processing Method** – The processing method used in the OTCnet when the check writer is presenting the check in person.

## D

**Daily Voucher Report** – A business report that allows you to view the daily voucher extract.

**Data Type** – The type of data that should be entered for a user defined field.

**Date of Deposit** – The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

**Debit Gateway** – The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

**Demand Deposit Account (DDA)** – The account at a financial institution where an organization deposits collections.

**Denied** – Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

**Deny Date** – Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

**Deposit** – A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

**Deposit Activity (FI) Report** – A business report that allows the financial institution to view deposits submitted to its location.

**Deposit Approver** – A user who has authorization to review and submit deposits to a financial institution.

**Deposit Confirmer** – A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

**Deposit History by Status Report** – A business report that allows you to view deposits by status.

**Deposit Information** – The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

**Deposit Preparer** – A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

**Deposit Total** – The total amount of over-the-counter receipts included in the deposit.

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

**Deposits by Accounting Code Report** – A business report that allows you to view deposits by accounting code.

**Deposits by OTC Endpoint Report** – A business report that allows you to view deposits by OTC Endpoint.

**Display Order Number** – The order in which user defined fields (UDFs) should be displayed.

**Draft** – A deposit that is saved for modification at a later date by a Deposit Preparer.

## E

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

## F

**Failed** – The item was unable to be processed and/or settled by Treasury/BFS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

**Federal Program Agency** – A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

**Federal Reserve Bank (FRB)** – A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given

power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

**Federal Reserve Bank-Cleveland (FRB-C)** – FRB-C serves as the conduit for settlement of transactions originating from the OTCnet application. FRB-C is responsible for receiving the transaction data from OTCnet via forward file, and performing check clearing/transaction settlement as the ‘debit gateway’.

**Federal Reserve System's Automated Clearing House (ACH) System** – Enables debits and credits to be sent electronically between depository financial institutions.

**Financial Institution (FI)** – A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

**Financial Institution Information** – The name, address, routing transit number, and the demand deposit account number of a financial institution.

**Firmware** – A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

**Fiscal Year** – A 12-month period for which an organization plans the use of its funds.

**Forwarded Batch Status** – Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

**Forwarded File** – A term that is assigned to a file that contains the check transactions that is send from channel applications, such as OTCnet or ECP, to Debit Gateway for settlement purposes.

**Franker** – An internal stamp unit that stamps a check with “Electronically Processed” after the check is processed and scanned. Franker availability is based on the model of your scanner.

**Franking** – The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

## H

**Highest Level Organization** – The primary level of the organization hierarchy.

## I

**IBM Tivoli Identity Manager (ITIM)** – Refers to Fiscal Service’s Enterprise provisioning tool for user account and identity management.

**Individual Reference Number (IRN)** – The auto-generated unique number used in OTCnet to identify Check Capture transactions.

**Input Length Maximum** – The maximum number of characters that may be entered in a user defined field.

**Input Length Minimum** – The minimum number of characters that may be entered in a user defined field.

**Internal Control Number** – A customizable field for agency use to further describe a deposit.

**Item Detail Report** – A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

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

## L

**Local Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish, maintain, and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

**Local Security Administrator (LSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Local Verification Database (LVD)** – A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

**Lower Level Organization** – Any organization created below the highest level organization.

**LVD Contents Report** – A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

## M

**Magnetic Ink Character Recognition (MICR)** – Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

**Master Verification Database (MVD)** – It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD

provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

**MVD Editor** – A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

**MVD Viewer** – A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

## N

**Non-Personal Item Type** – Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

**Non-Reporting OTC Endpoints Report** – A business report that allows you to view OTC Endpoints that have not reported a deposit.

## O

**Open Batch Status** – Indicates the batch is open and accepting new checks.

**Organization** – The location or level within a Federal Program agency.

**Organization Hierarchy** – The structure of a Federal Program agency as defined in OTCnet.

**Organization Hierarchy Report** – A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

**OTC Collections** – Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

**OTC Endpoint** – The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

**OTC Endpoint (CHK)** – The endpoint (location) setup in OTCnet to use check capture.

**OTC Endpoint (TGA)** – The endpoint (location) setup in OTCnet to use Deposit Reporting.

**OTC Endpoint Mapping** – The assignment of accounting codes to an agency's OTC Endpoint, for which a deposit amount can be allocated.

**OTCnet Offline** – Refers to the over the counter application that provides Check Capture functionality to end users with limited internet connectivity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

**OTCnet Online** – Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet connectivity).

**Over the Counter Channel Application (OTCnet)** – Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

## P

**Personal Item Type** – Indicates that the name on check is an individual's name, not acting as a business.

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

**Primary Local Security Administrator (PLSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Processing Options** – User-defined parameters for the deposit and adjustment processes.

**Processing Options by OTC Endpoints Report** – A business report that allows you to view processing options defined for endpoints within the organization.

## Q

**Queue Interface** – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

## R

**Received** – The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

**Received Date** – The date the check was received by web-based OTCnet.

**Rejected** – A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

**Represented** – This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason

Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

**Retired** – This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

**Return Reason Codes** – Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

**Return Settlement Date** – The effective date of settlement of the returned check item.

**Returned Item** – A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

**Routing Transit Number (RTN)** – (also known as American Bankers Association (ABA) Number or Bank Routing Number) – The nine-digit number used to identify a financial institution.

## S

**Save as Draft** – An option that allows a Deposit Preparer to save a deposit for modification at a later date.

**Save for Approval** – An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

**Send Error Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Sent Batch Status** – Indicates the batch was uploaded online without error.

**Separation of Duties** – A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

**Settle Best Method** – The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

**Settled** – This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

**Settlement Date** – The payment date of a check item, which is when the deposit is debited from the check writer's account.

**SF215 Deposit Ticket Report** – The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This

report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable for a duration of up to 45 days.

**SF5515 Debit Voucher Report** – The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable in for a duration of up to 45 days.

**Share Accounting Module (SAM)** – The application that facilitates the process of validating or deriving Treasury Account Symbol (TAS) and Business Event Type Code (BETC) combinations to assist CARS/GWA in classifying financial transactions as they occur.

**Short Name/Code** – The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

**Statistical Report** – A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is searchable for a duration of up to 15 days.

**Submit** – An option that allows a Deposit Approver to submit a deposit to a financial institution.

**Submitted** – A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

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

## T

**Terminal ID** – The unique number assigned to the workstation where a user performs functions in OTCnet.

**Trade Status** – Represents the status of the verification records. There are four possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

**Transaction History** – Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

**Transaction Reporting System (TRS)** – A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Treasury Account Symbol (TAS)** – The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

## U

**Universal Serial Bus (USB)** – A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

**US Dollar Equivalent (USE)** – The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

**US Treasury** – The executive department and the Treasury of the United States federal government.

**User Defined Field (UDF)** – A user-defined text that describes deposit activity or deposit accounting activity.

**User Information Report** – A security report allows that you to view a user's contact information.

**Users by Access Group (FI) Report** – A security report that allows you to view users by financial institution.

**Users by Access Group (FPA) Report** – A security report that allows you to view users by OTC Endpoint.

**Users by Role (FI) Report** – A security report that allows you to view users by role for your financial institution.

**Users by Role (FPA) Report** – A security report that allows you to view users by role for your OTC Endpoint.

## V

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

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

**View Vouchers Completed Report** – An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

**View Vouchers in Progress Report** – An administration report allows you to view the status of deposit and adjustment vouchers in progress.

**Viewer** – A user who has authorization to view OTCnet information and produce reports from it.

**Voucher Date** – The day that Debit Gateway receives transactions from OTCnet.

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



## Chapter 2: Accessing and Navigating OTCnet

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### **OTCnet Participant User Guide**

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# Audience, Overview, and Topics

## Audience

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

- All OTCnet Users

## Overview

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

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

## Topics

The topics of this chapter are:

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

## Topic 1. Logging In to OTCnet Online/Offline

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

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

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

After you obtain your temporary password, you can log in to OTCnet Offline. To log in to OTCnet Offline, double-click the **OTCnet Offline (Production or QA)** icon on your terminal's desktop or click **Start >Programs>OTCnet Offline (Production or QA)>Start OTCnet Offline (Production or QA)**.

If the icon does not reside in either location, contact your **CCA** to configure the terminal. If a terminal has more than one version of the OTCnet Offline application (Production or QA), do not run both at the same time as running more than one version at a time will cause errors.

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

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

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

## How to Log In for the First Time in OTCnet Online

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

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

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

Figure 1. Fiscal Service Single Sign On Page

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

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

Forgot your Password? Forgot your User ID? Register ?

Select an authentication method and enter your credentials

**Log In using your Fiscal Service ID:**

- SSO User ID and Password
- SecurID Token
- PKI Certificate

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

User ID:

Password:

**Log In** Reset

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

**WARNING**  
WARNING  
WARNING

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

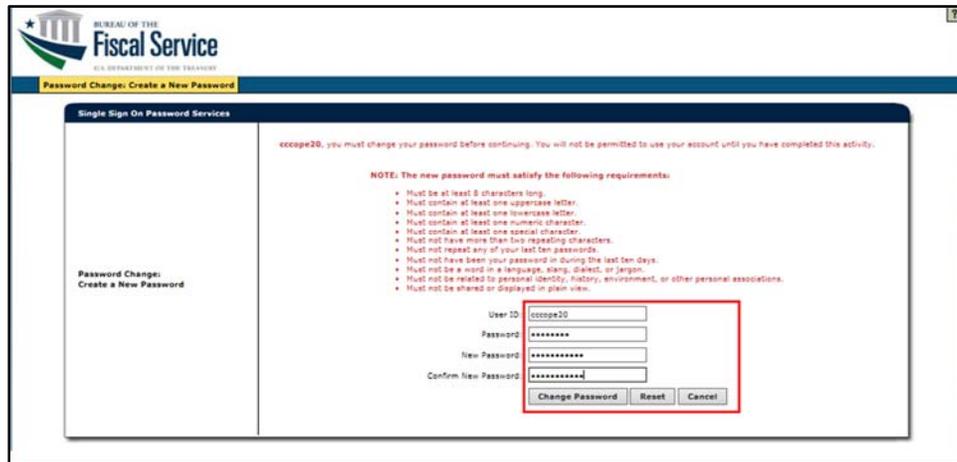
[Accessibility](#) | [Contacts](#) | [Privacy Policy](#)  
U. S. Department of the Treasury - Bureau of the Fiscal Service

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

Password Criteria:

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

Figure 2. Password Change Page



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

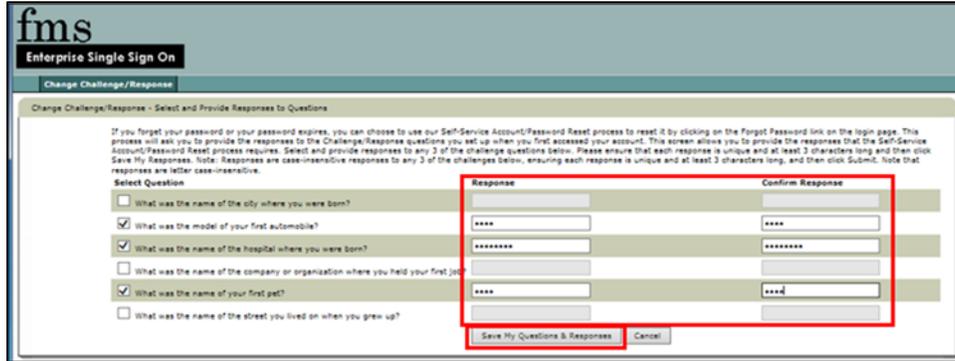
Figure 3. Password Change: Password Set



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

Provide your responses in the **Response** and **Confirm Response** fields. Each response must be at least three characters long and are case sensitive. Click **Save My Questions and Responses** (see Figure 4).

Figure 4. Select and Provide Responses to Questions Page



5. A *Change Shared Secret* page appears. Enter a **Shared Secret** phrase, a **Confirm Shared Secret** phrase, and then click **Save My Shared Secret** (see Figure 5). The shared secret phrase must be at least three characters.

You will not be able to proceed to OTCnet until the Challenge questions and Share Secret are set.

**Figure 5. Challenge Shared Secret Page**



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

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

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

**Figure 6. Close Browser Page**



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

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

If **Cancel** is clicked, you will be logged out of OTCnet. If you attempt to login to OTCnet again, the *GSS Rules of Behavior* page appears. You will not be able to proceed to OTCnet until the Rules of Behavior are accepted.

Figure 7. Security Rules of Behavior Page

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

Figure 8. Logout and Close Browser

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



## Log In to OTCnet Online For the First Time

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

1. Access <https://otcnet.fms.treas.gov>.
2. Enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In**. The *Password Change: Create New Password* page appears.
3. Enter your temporary **Password**, **New Password**, and **Confirm New Password**.

Password Criteria:

- Must be at least 8 characters long
  - Must contain at least one uppercase letter
  - Must contain at least one lowercase letter
  - Must contain at least one numeric character
  - Must not have more than two repeating characters
  - Must not repeat any of your last ten passwords
  - Must not have been your password during the last ten days
  - Must not be a word in a language, slang, dialect, or jargon
  - Must not be related to personal identity, history, environment, or other personal associations
  - Must not be shared or displayed in plain view
4. Click **Change Password**. A confirmation page appears stating your new password has been set.
  5. Click **Continue**. The *Change Challenge/Response – Select and Provide Responses to Questions* page appears.
  6. Select any three challenge questions you want to respond to by clicking the check boxes next to the questions, and provide your responses in the **Response** and **Confirm Response** fields.



### Application Tip

Each response must be at least three characters long and are case sensitive.

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

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

**Application Tip**

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

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

**Application Tip**

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

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

**Application Tip**

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

## How to Log In to OTCnet Online

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

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

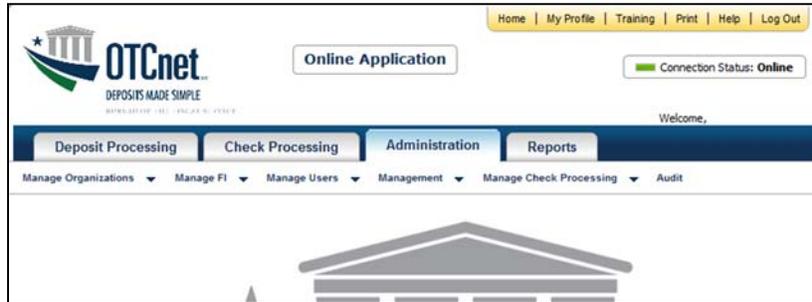
To log in to OTCnet Online, complete the following steps:

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

Figure 9. Fiscal Service Single Sign On Page

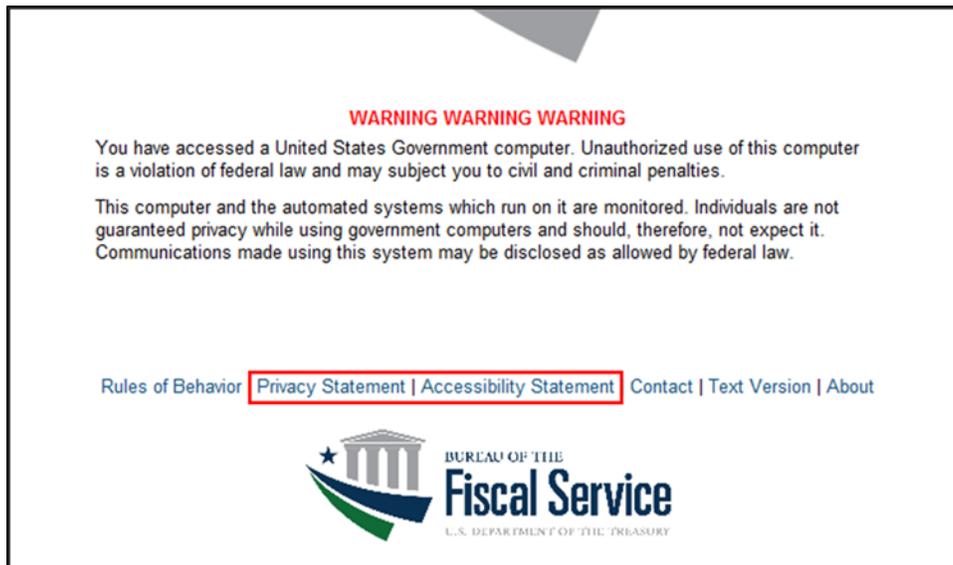
2. The OTCnet Home Page appears. See Figure 10 below.

Figure 10. OTCnet Home Page



Once you have logged in to OTCnet, you can review the Privacy Statement link at the bottom of the page, as well as the Accessibility Statement link (see Figure 11).

Figure 11. OTCnet Home Page





## Log In to OTCnet Online

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

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

## How to Start the OTCnet Offline Server

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

To log start the OTCnet Offline server, complete the following steps:

1. Double-click the **OTCnet Offline (Production or QA)** icon located on your terminal's desktop or click **Start >Programs>OTCnet Offline (Production or QA)>Start OTCnet Offline (Production or QA)** (see Figure 12).

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

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

Figure 12. OTCnet Offline Icon



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

Figure 13. OTCnet Offline Server Startup

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

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

Figure 14. OTCnet Offline User Login Page

OTCnet  
DEPOSITS MADE SIMPLE  
BUREAU OF THE FISCAL SERVICE

User Login

User ID:

Retrieve Admin Profile

Password:

Login Clear



## Start the OTCnet Offline Server

To start the OTCnet Offline server, complete the following steps:

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

Or

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



### Application Tip

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



### Application Tip

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

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



### Application Tip

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



### Application Tip

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

**Application Tip**

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

**Application Tip**

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

**Application Tip**

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

**Application Tip**

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

## How to Log In to OTCnet Offline for the First Time

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

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

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

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

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

Figure 15. OTCnet Offline Icon



2. Enter your **User ID** and temporary **Password** in the appropriate text boxes, and click **Log In** (see Figure 16).

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

Figure 16. OTCnet Offline User Login Page

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

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

Password Criteria:

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

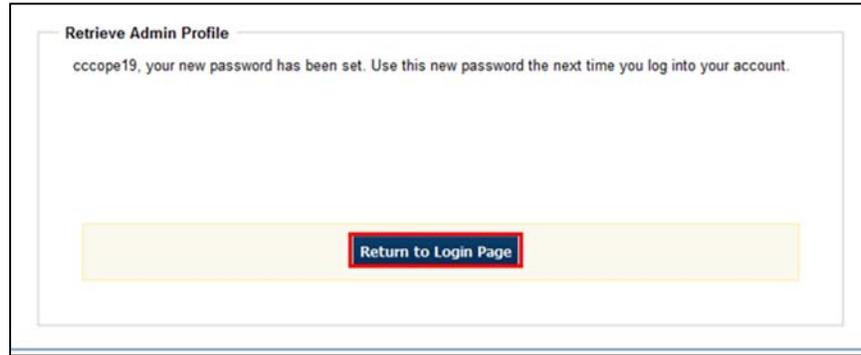
Figure 17. Set Permanent Password

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

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

After the profile is successfully downloaded and the password is reset, you will be prompted to log in to the system with your new password. Click **Return to Login Page** to login to the OTCnet Offline (see Figure 18).

**Figure 18. Password Reset Confirmation**



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

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



## Log In to OTCnet Offline for the First Time

To log in OTCnet Offline for the first time:

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

Or

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



### Application Tip

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



### Application Tip

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



### Application Tip

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

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



### Application Tip

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

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



#### Application Tip

Password Criteria:

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

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



#### Application Tip

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



#### Application Tip

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

## How to Log In to OTCnet Offline

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

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

1. Double-click the **OTCnet Offline (Production or QA)** icon located on your terminal's desktop or click **Start >Programs>OTCnet Offline (Production or QA)>Start OTCnet Offline (Production or QA)** (see Figure 19).

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

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

Figure 19. OTCnet Offline Icon



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

Figure 20. OTCnet Offline User Login Page



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

To stop the OTCnet Offline application, access the **Start Menu**, select **Programs>OTCnet Offline** and click **Stop OTCnet Offline**.

Stopping the OTCnet Offline application ensures the application is completely closed and that your OTCnet session is terminated securely.

## Log In to OTCnet Offline

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

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

Or

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



### Application Tip

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



### Application Tip

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



### Application Tip

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

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

**Application Tip**

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

**Application Tip**

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

# Topic 2. Accessing a User ID and Resetting Passwords

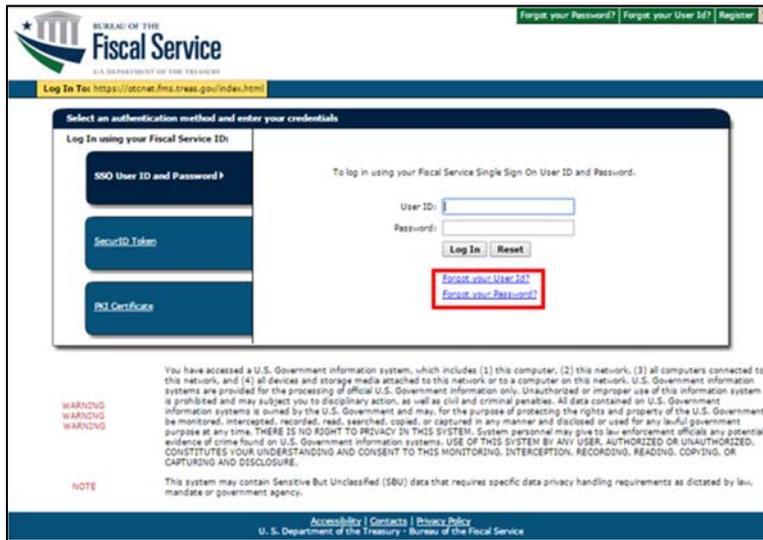
If you forget your Single Sign On User ID for OTCnet Online, you can have your User ID emailed to you. If you forget your online password, you can have a temporary password emailed to you. Once you sign in with your temporary password, you will need to reset it.

## Access a User ID

To access a user ID, complete the following steps:

1. From the Single Sign On page, click on the **Forgot your User ID?** link shown in Figure 21 below.

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



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

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

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



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

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

Figure 23. Forgot User ID (Enter Email Address)



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

- Click **Finish**.



## Access User ID

To access your user ID, complete the following steps:

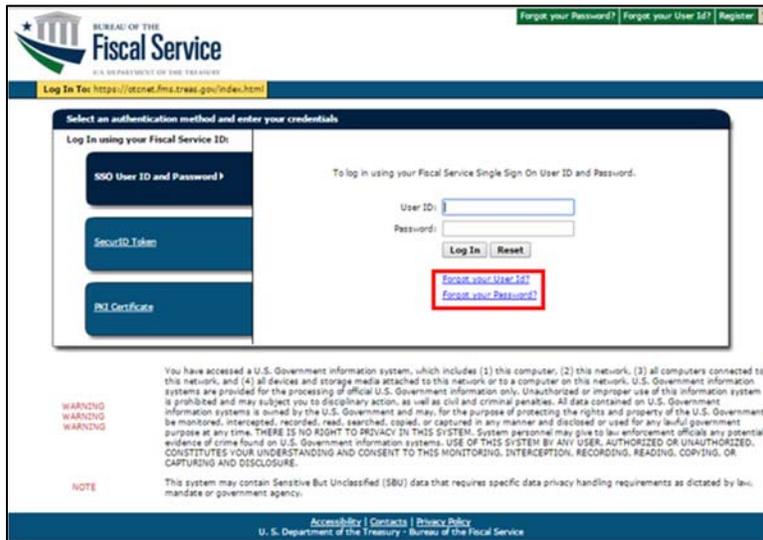
1. From the Fiscal Service Single Sign On page, click **Forgot your User ID?**. *The Self-Service Account/Password Reset* page appears.
2. Enter the words that you see in the image in the text box and click **Next**. The *Treasury Enterprise ID* page appears.
3. Enter your email address and click **Next**.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

## Resetting Passwords

To reset a password, complete the following steps:

1. From the Single Sign On page, click on the **Forgot your Password?** link as shown in Figure 24 below.

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



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

Figure 25. Forgot Your Password Page



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

**Figure 26. Enter Treasury Enterprise ID (User ID)**

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

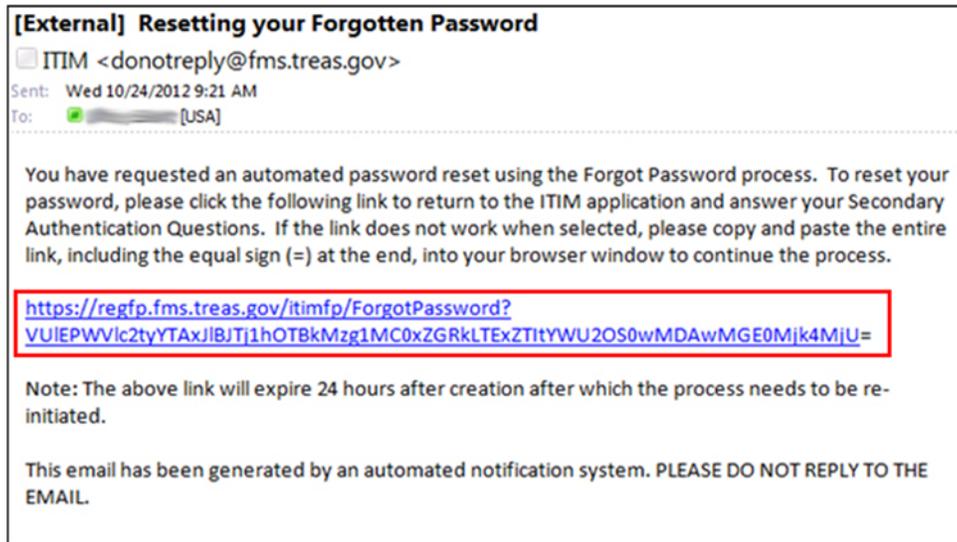
You will receive an email to your official email address with further instructions to complete the Self-Service Account/Password Reset process.

**Figure 27. Password Request Confirmation**

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

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

Figure 28. Resetting Your Forgotten Password Email



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

Figure 29. Answer Challenge/Response Questions - Provide Responses



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

Figure 30. Answer Challenge/Response Questions - Change Password



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

Figure 31. Answer Challenge/Response Questions - Completed





## Reset Password

To reset your password, complete the following steps:

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



### Application Tip

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

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



### Application Tip

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



### Application Tip

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

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

**Application Tip**

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

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

## Topic 3. Navigating the OTCnet Online/Offline Home Page

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

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

## OTCnet Online Main Menu

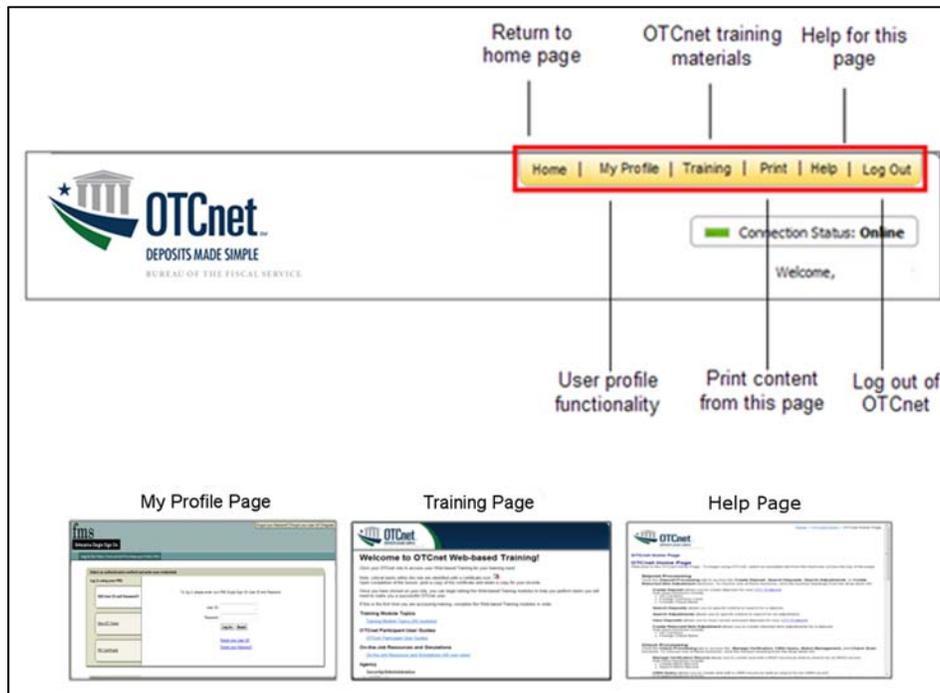
To access the OTCnet Main Menu, log in with your User ID and Password by accessing <https://otcnet.fms.treas.gov>. Table 1 below provides a list of the Main Menu options available to you and accessible on the upper right corner of the OTCnet application (highlighted in yellow).

**Table 1. Main Menu Link Descriptions**

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

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

**Figure 32. OTCnet Main Menu Page**



## OTCnet Online Deposit Processing Tab Functionality

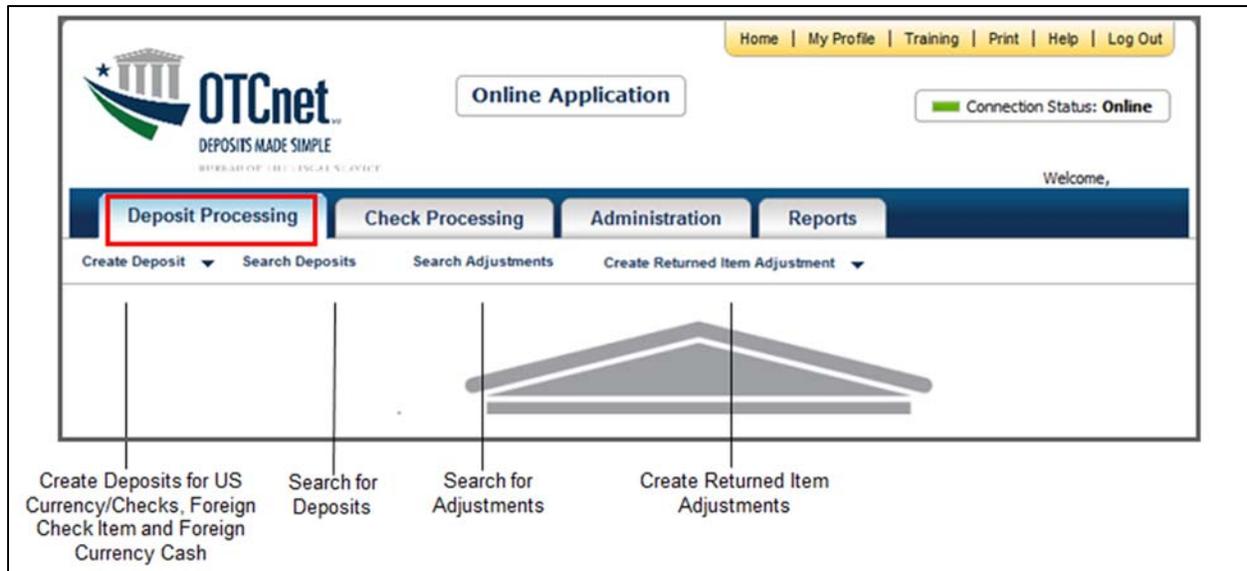
To access the OTCnet Deposit Processing functionality, log in with your user id and password. Table 2 below provides a list of the Deposit Processing functions that are available to you.

**Table 2. Deposit Processing Tab Descriptions**

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

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

**Figure 33. Deposit Processing Tab**



## OTCnet Online Check Processing Tab Functionality

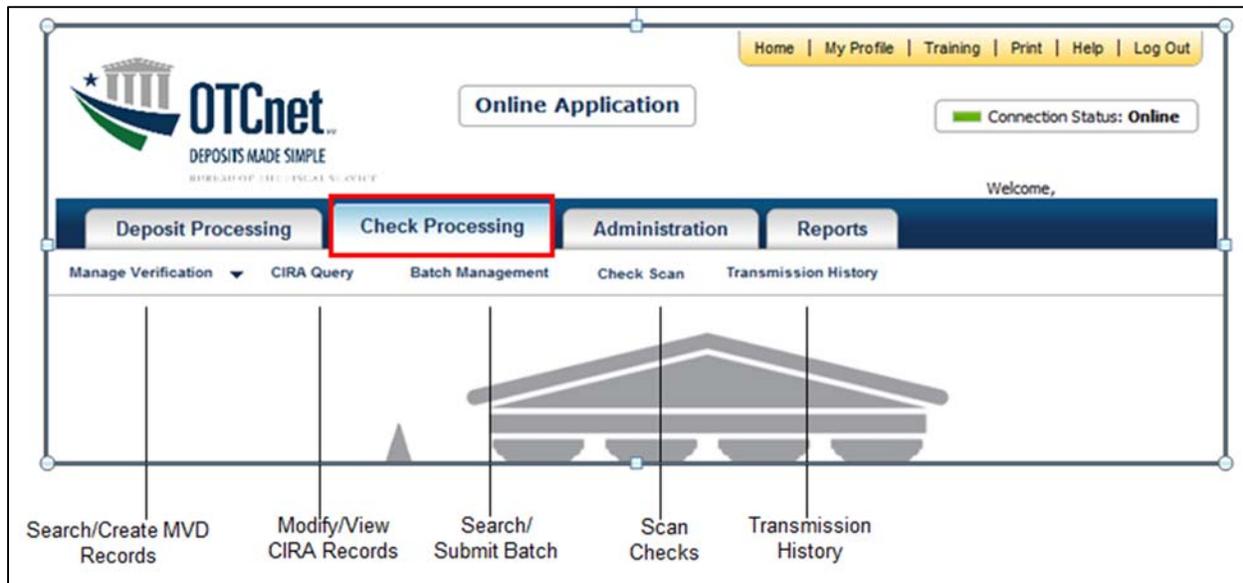
To access the OTCnet Check Processing functionality, log in with your user id and password. Table 3 provides a list of the Check Processing functions that are available to you.

**Table 3. Check Processing Tab Descriptions**

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

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

**Figure 34. Check Processing Tab**



## OTCnet Online Administration Tab Functionality

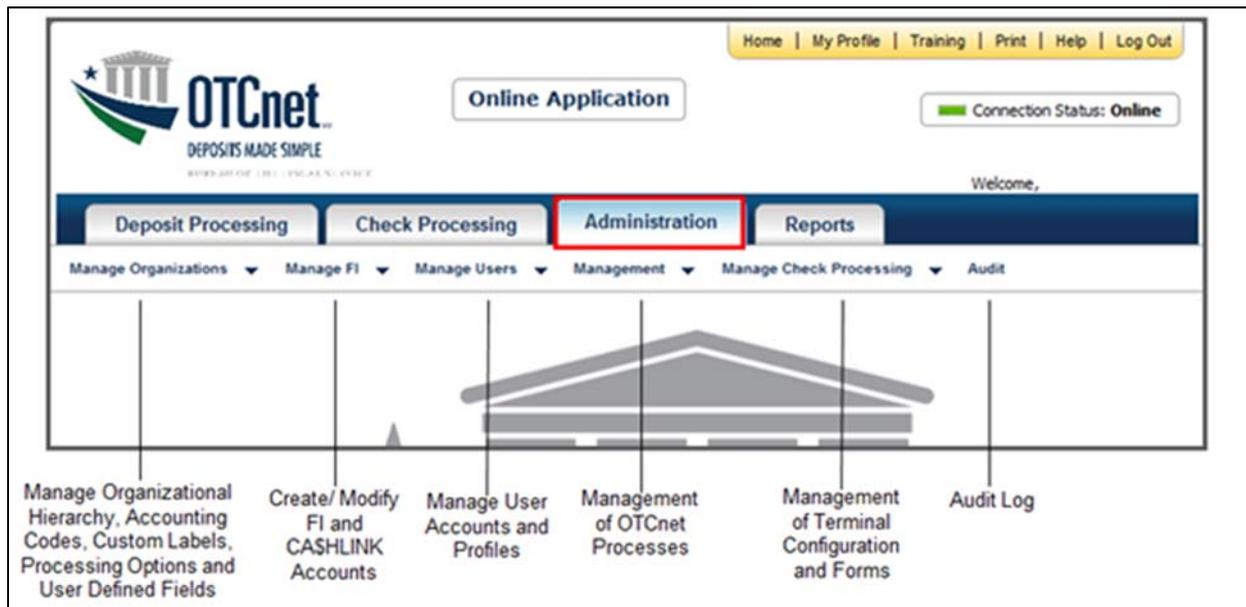
To access the OTCnet Administration functionality, log in with your user id and password. Table 4 below provides a list of the Administration functions that are available to you.

**Table 4. Administration Tab Descriptions**

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

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

**Figure 35. Administration Tab**



## OTCnet Online Reports Tab Functionality

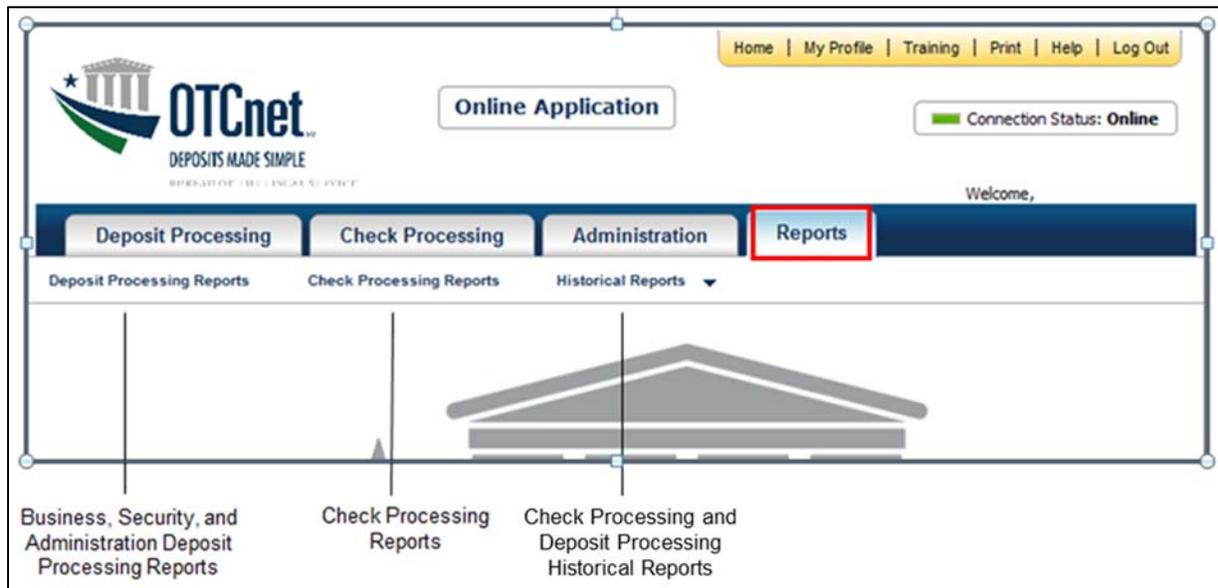
To access the OTCnet Reports functionality, log in with your user id and password. **Error! Reference source not found.** below provides a list of the Reports functions that are available to you. Depending on your user role, you will only see reports that you have access to view and download.

Table 5. Reports Tab Descriptions

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

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

Figure 36. Reports Tab



## OTCnet Offline Administration Tab Functionality

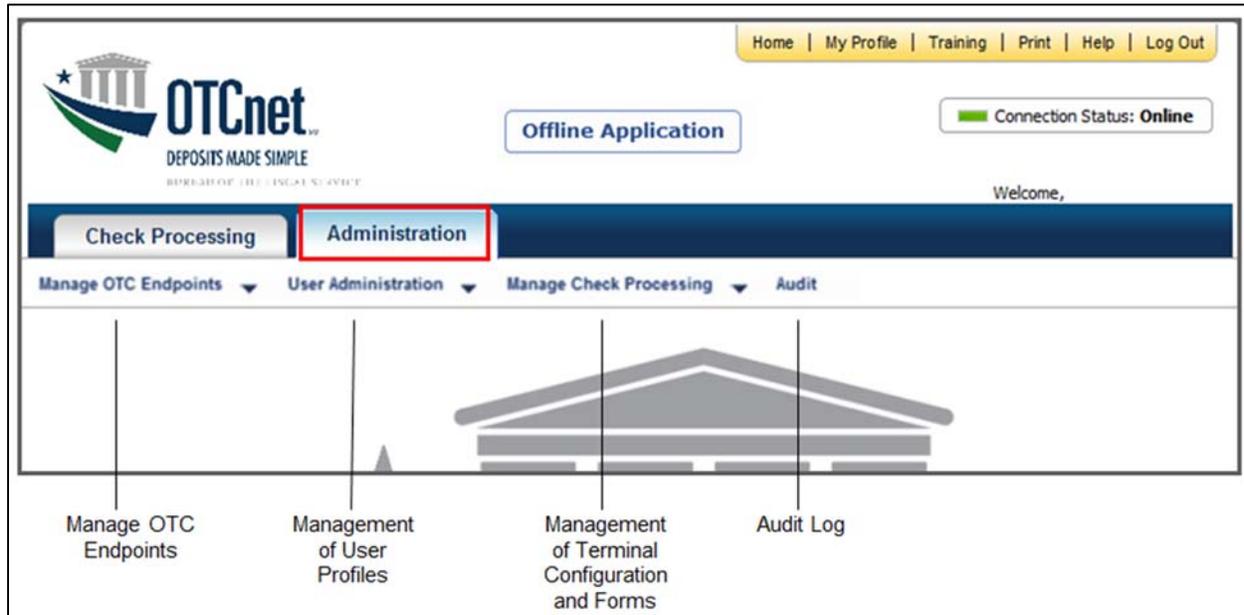
To access the OTCnet Offline Administration functionality, log in with your user id and password. Table 6 below provides a list of the Administration functions that are available to you.

**Table 6. OTCnet Offline Administration Descriptions**

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

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

**Figure 37. OTCnet Offline Administration**



## OTCnet Offline Check Processing Functionality

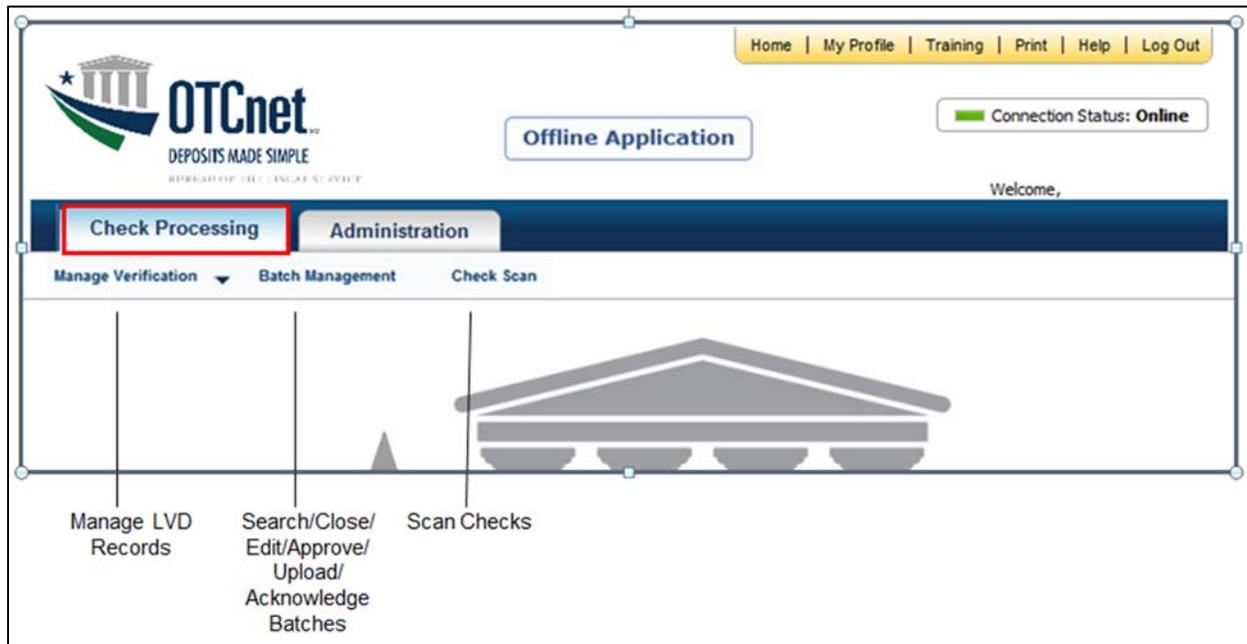
To access the OTCnet Offline Check Processing functionality, log in with your user id and password. Table 7 below provides a list of the Check Processing functions that are available to you.

**Table 7. OTCnet Offline Administration Descriptions**

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

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

**Figure 38. OTCnet Offline Check Processing Descriptions**





# Glossary

## A

**Accounting Code** – A unique agency classification code assigned to a transaction, which identifies the FRB Account Key that is used within the Federal Reserve. In check capture, it is a method of grouping individual check transactions into certain classifications. In deposit reporting, the classification is being done at a voucher level, where a voucher is being classified with one or many agency defined accounting codes or TAS.

**Accounting Code Description** – A brief explanation that provides further detail about an accounting code.

**Accounting Code Name** – The title of the accounting code.

**Accounting Key** – The account number assigned to a deposit when it is submitted to FRB CA\$HLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

**Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.

**Acknowledged Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Acknowledged Error Batch Status** – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which resulted in a batch being updated to Acknowledgment Error.

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

**Activity Type** – The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

**Adjustment Activity (FI) Report** – A business report that allows you to view adjustments made by your financial institution (FI).

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

**Adjustments by OTC Endpoints Report** – A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

**Agency CIRA Report** – A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

**Agency Contact** – A person designated by an agency as the primary contact regarding deposit-related matters.

**Agency Information** – The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

**Agency Location Code (ALC)** – A numeric symbol identifying the agency accounting and/or reporting office.

**Agency Location Code plus 2 (ALC+2)** – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

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

**Alternate Agency Contact** – A person designated by an agency as the secondary contact regarding deposit-related matters.

**American Bankers Association (ABA)** – (also known as Bank Routing Number) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

**Approved Batch Status** – Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

**Audit Log** – A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a comma separated value report (CSV) and opened in a spreadsheet program or available to print in a formatted audit log report.

**Automated Clearing House** – A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

**Awaiting Approval (AWAP)** – A deposit that is waiting for deposit confirmation by a Deposit Approver.

## B

**Back Office Processing Method** – Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

**Batch** – A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

**Batch Approver** – An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Batch Control/Batch Balancing** – An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

**Batch ID** – The unique number assigned to a batch by OTCnet.

**Batch List Report** – A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

**Batch Status** – Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

**Batch Uploader** – An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Blocked** – A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

**Bureau of the Fiscal Service (FS)** – (formerly FMS) The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

**Business Event Type Code (BETC)** – A code used in the CARS/GWA system to indicate the type of activity being reported, such as payments, collections, borrowings, etc. This code must accompany the Treasury Account Symbol (TAS).

## C

**CA\$HLINK II** – An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

**CA\$HLINK II Account Number (CAN)** – The account number assigned to a deposit when it is submitted to CA\$HLINK II.

**Capture Date** – The calendar date and time the payment is processed by the agency.

**Cashier ID** – The ID of the user that created the transaction.

**Central Accounting Reporting System (CARS)** – (formerly GWA) The system that addresses the central accounting and reporting functions and processes associated with budget execution, accountability, and cash/other asset management. This includes the collection and dissemination of financial management and accounting information from and to federal program agencies.

**Central Image and Research Archive (CIRA)** – The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

**Characteristics** – The properties of a user, organization, deposit, or financial institution.

**Check 21** – Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

**Check Amount** – The dollar amount of the check.

**Check Capture** – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

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

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

**Check Capture Offline** – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

**Check Capture Online** – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

**Check Capture Operator** – An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

**Check Capture Supervisor** – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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

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

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

**CIRA CSV Report** – A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

**CIRA Viewer** – A user that has authorization to view CIRA records and download CSV files. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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

**Clear** – Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

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

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

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

**Collections Information Repository (CIR)** – (formerly TRS) A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Comma Separated Values (CSV)** – A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

**Confirmed** – A deposit that has been reviewed and then confirmed by a financial institution or FRB.

**Cost Center Work Unit (CCWU)** – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

**Custom Label** – Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

**Customer Not Present Processing Method** – The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

**Customer Present Processing Method** – The processing method used in the OTCnet when the check writer is presenting the check in person.

## D

**Daily Voucher Report** – A business report that allows you to view the daily voucher extract.

**Data Type** – The type of data that should be entered for a user defined field.

**Date of Deposit** – The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

**Debit Gateway** – The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

**Demand Deposit Account (DDA)** – The account at a financial institution where an organization deposits collections.

**Denied** – Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

**Deny Date** – Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

**Deposit** – A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

**Deposit Activity (FI) Report** – A business report that allows the financial institution to view deposits submitted to its location.

**Deposit Approver** – A user who has authorization to review and submit deposits to a financial institution.

**Deposit Confirmer** – A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

**Deposit History by Status Report** – A business report that allows you to view deposits by status.

**Deposit Information** – The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

**Deposit Preparer** – A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

**Deposit Total** – The total amount of over-the-counter receipts included in the deposit.

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

**Deposits by Accounting Code Report** – A business report that allows you to view deposits by accounting code.

**Deposits by OTC Endpoint Report** – A business report that allows you to view deposits by OTC Endpoint.

**Display Order Number** – The order in which user defined fields (UDFs) should be displayed.  
**Draft** – A deposit that is saved for modification at a later date by a Deposit Preparer.

## E

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

## F

**Failed** – The item was unable to be processed and/or settled by Treasury/BFS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

**Federal Program Agency** – A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

**Federal Reserve Bank (FRB)** – A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

**Federal Reserve Bank-Cleveland (FRB-C)** – FRB-C serves as the conduit for settlement of transactions originating from the OTCnet application. FRB-C is responsible for receiving the transaction data from OTCnet via forward file, and performing check clearing/transaction settlement as the ‘debit gateway’.

**Federal Reserve System's Automated Clearing House (ACH) System** – Enables debits and credits to be sent electronically between depository financial institutions.

**Financial Institution (FI)** – A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

**Financial Institution Information** – The name, address, routing transit number, and the demand deposit account number of a financial institution.

**Firmware** – A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

**Fiscal Year** – A 12-month period for which an organization plans the use of its funds.

**Forwarded Batch Status** – Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

**Forwarded File** – A term that is assigned to a file that contains the check transactions that is send from channel applications, such as OTCnet or ECP, to Debit Gateway for settlement purposes.

**Franker** – An internal stamp unit that stamps a check with “Electronically Processed” after the check is processed and scanned. Franker availability is based on the model of your scanner.

**Franking** – The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

## H

**Highest Level Organization** – The primary level of the organization hierarchy.

## I

**IBM Tivoli Identity Manager (ITIM)** – Refers to Fiscal Service’s Enterprise provisioning tool for user account and identity management.

**Individual Reference Number (IRN)** – The auto-generated unique number used in OTCnet to identify Check Capture transactions.

**Input Length Maximum** – The maximum number of characters that may be entered in a user defined field.

**Input Length Minimum** – The minimum number of characters that may be entered in a user defined field.

**Internal Control Number** – A customizable field for agency use to further describe a deposit.

**Item Detail Report** – A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

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

## L

**Local Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish, maintain, and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

**Local Security Administrator (LSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Local Verification Database (LVD)** – A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

**Lower Level Organization** – Any organization created below the highest level organization.

**LVD Contents Report** – A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

## M

**Magnetic Ink Character Recognition (MICR)** – Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

**Master Verification Database (MVD)** – It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

**MVD Editor** – A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

**MVD Viewer** – A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

## N

**Non-Personal Item Type** – Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

**Non-Reporting OTC Endpoints Report** – A business report that allows you to view OTC Endpoints that have not reported a deposit.

## O

**Open Batch Status** – Indicates the batch is open and accepting new checks.

**Organization** – The location or level within a Federal Program agency.

**Organization Hierarchy** – The structure of a Federal Program agency as defined in OTCnet.

**Organization Hierarchy Report** – A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

**OTC Collections** – Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

**OTC Endpoint** – The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

**OTC Endpoint (CHK)** – The endpoint (location) setup in OTCnet to use check capture.

**OTC Endpoint (TGA)** – The endpoint (location) setup in OTCnet to use Deposit Reporting.

**OTC Endpoint Mapping** – The assignment of accounting codes to an agency’s OTC Endpoint, for which a deposit amount can be allocated.

**OTCnet Offline** – Refers to the over the counter application that provides Check Capture functionality to end users with limited internet connectivity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

**OTCnet Online** – Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet connectivity).

**Over the Counter Channel Application (OTCnet)** – Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

## P

**Personal Item Type** – Indicates that the name on check is an individual’s name, not acting as a business.

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

**Primary Local Security Administrator (PLSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Processing Options** – User-defined parameters for the deposit and adjustment processes.

**Processing Options by OTC Endpoints Report** – A business report that allows you to view processing options defined for endpoints within the organization.

## Q

**Queue Interface** – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

## R

**Received** – The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

**Received Date** – The date the check was received by web-based OTCnet.

**Rejected** – A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

**Represented** – This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

**Retired** – This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

**Return Reason Codes** – Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

**Return Settlement Date** – The effective date of settlement of the returned check item.

**Returned Item** – A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

**Routing Transit Number (RTN)** – (also known as American Bankers Association (ABA) Number or Bank Routing Number) – The nine-digit number used to identify a financial institution.

## S

**Save as Draft** – An option that allows a Deposit Preparer to save a deposit for modification at a later date.

**Save for Approval** – An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

**Send Error Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Sent Batch Status** – Indicates the batch was uploaded online without error.

**Separation of Duties** – A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

**Settle Best Method** – The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

**Settled** – This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

**Settlement Date** – The payment date of a check item, which is when the deposit is debited from the check writer's account.

**SF215 Deposit Ticket Report** – The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable for a duration of up to 45 days.

**SF5515 Debit Voucher Report** – The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable in for a duration of up to 45 days.

**Share Accounting Module (SAM)** – The application that facilitates the process of validating or deriving Treasury Account Symbol (TAS) and Business Event Type Code (BETC) combinations to assist CARS/GWA in classifying financial transactions as they occur.

**Short Name/Code** – The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

**Statistical Report** – A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is searchable for a duration of up to 15 days.

**Submit** – An option that allows a Deposit Approver to submit a deposit to a financial institution.

**Submitted** – A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

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

## T

**Terminal ID** – The unique number assigned to the workstation where a user performs functions in OTCnet.

**Trade Status** – Represents the status of the verification records. There are four possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

**Transaction History** – Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

**Transaction Reporting System (TRS)** – A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Treasury Account Symbol (TAS)** – The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

## U

**Universal Serial Bus (USB)** – A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

**US Dollar Equivalent (USE)** – The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

**US Treasury** – The executive department and the Treasury of the United States federal government.

**User Defined Field (UDF)** – A user-defined text that describes deposit activity or deposit accounting activity.

**User Information Report** – A security report allows that you to view a user's contact information.

**Users by Access Group (FI) Report** – A security report that allows you to view users by financial institution.

**Users by Access Group (FPA) Report** – A security report that allows you to view users by OTC Endpoint.

**Users by Role (FI) Report** – A security report that allows you to view users by role for your financial institution.

**Users by Role (FPA) Report** – A security report that allows you to view users by role for your OTC Endpoint.

## V

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

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

**View Vouchers Completed Report** – An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

**View Vouchers in Progress Report** – An administration report allows you to view the status of deposit and adjustment vouchers in progress.

**Viewer** – A user who has authorization to view OTCnet information and produce reports from it.

**Voucher Date** – The day that Debit Gateway receives transactions from OTCnet.

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



## Chapter 3: Managing User Accounts

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### **OTCnet Participant User Guide**

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# Audience, Overview and Topics

## Audience

The intended audience for the *Managing User Accounts Participant User Guide* includes:

- Primary Local Security Administrator (PLSA)
- Local Security Administrator (LSA)

## Overview

Welcome to *Managing User Accounts*. In this chapter, you will learn:

- The purpose of managing user accounts
- How to identify users who can manage other user accounts
- How to create a User Identity (ID)
- How to create, assign and edit an OTCnet account for a user
- How to manage a user password
- How to manage personal information
- How to approve/reject an OTCnet user request
- How to modify a user status

## Topics

This chapter is organized by the following topics:

1. Purpose of Managing User Accounts
2. Creating a User Identity (ID)
3. Creating, Assigning and Editing an OTCnet Account
4. Managing a User Password
5. Managing Personal Information
6. Approving or Rejecting an OTCnet User Request
7. Modifying User Status

## Topic 1. Purpose of Managing User Accounts

As the **Primary Local Security Administrator (PLSA)** or **Local Security Administrator (LSA)** for your organization, you are able to manage which users can access OTCnet. Before a user can access OTCnet, you will need to access **IBM Tivoli Identity Manager (ITIM)** by logging in to <http://reg.fms.treas.gov/itimext>.

Managing a user's account involves (in order):

- Creating a User Identity (ID)
- Creating, assigning and updating an OTCnet account for a user
- Managing the user's password

The three steps referenced above are necessary to ensure that a user can access OTCnet. Creating a new user identity is only necessary if a user does not already have a Fiscal Service Single Sign On User identity. A temporary password is automatically sent to the user's email address after the user identity is created.

Managing a user's password is only required for resetting a user's password (typically reset by the **Primary/Local Security Specialist (P/LSA)** if a user forgets his/her password).

# Topic 2. Creating a User Identity (ID)

Creating the User ID is the **first** step in managing a user’s access to OTCnet, if a user does not already have an existing Fiscal Service Single Sign On (SSO) account. After you create the User ID, create and assign an OTCnet account to the User Identity, and then manage the user’s password so he/she can access OTCnet (in this order).

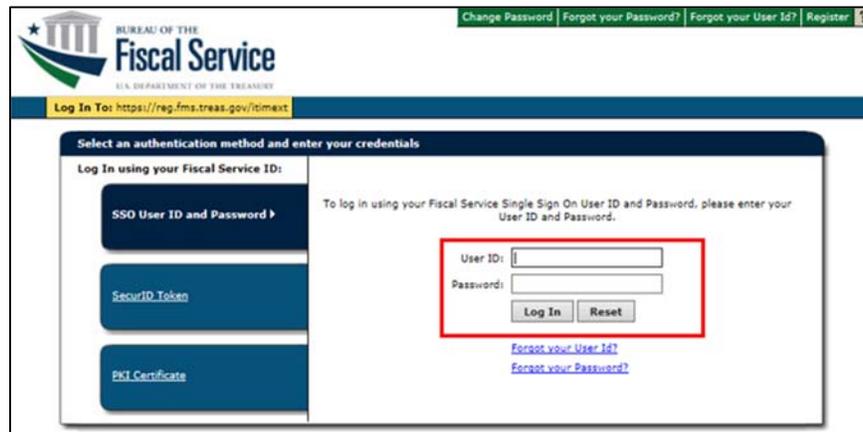
Creating a user identity does not require approval from another **PLSA** or **LSA**. Upon successful creation of a user’s identity, the user receives an email notification containing information about his/her new User Identity.

To create a User Identity, you will enter the user’s personal information such as name, agency name, and the application name (OTCnet) the user will be using.

## Create a User Identity

1. Log in to <https://reg.fms.treas.gov/itimext> (see Figure 1).

Figure 1. Log in to ITIM



2. The *Request Management-Your To-Do List* page appears. Select **Organization** from the main menu bar and click **New External User Identity** (see Figure 2).

Figure 2. New External User Identity



3. The *New External Identity* page appears. Under the **External** tab, enter the personal information details (see Figure 3).
  - Enter the user's **Legal Prefix**
  - Enter the user's **Legal Name**, *required*
  - Enter the user's **Legal First Name**, *required*
  - Enter the user's **Legal Middle Name**
  - Enter the user's **Legal Last Name**, *required*

The **Generation Identifier/Suffix** and **Organizational Roles** details are not applicable. The **Organizational Roles** details populates after the user's identity is successfully created.

Figure 3. External Identity Tab

*New External Identity*

Enterprise ID	
Legal Prefix	
Legal Name *	DanG Dprep
Legal First Name *	DanG
Legal Middle Name	
Legal Last Name *	Dprep
Generation Identifier/Suffix	
Organizational roles	<input type="button" value="Search"/> <input type="button" value="Delete"/>

Schedule for Now  
 Schedule for Later 10/16/2013 Time: 00:00

4. Click the **Corporate** tab. From **Identity Organization**, click **Search**, as shown in Figure 4

Figure 4. Corporate Tab (Identity Organization)

*New External Identity*

Identity Organization *	<input type="button" value="Search"/> <input type="button" value="Clear"/>
Primary Location	<input type="button" value="Search"/> <input type="button" value="Clear"/>
GWA Supervisor?	
Sponsoring Application *	<input type="button" value="Search"/> <input type="button" value="Clear"/>
Status	Active

Schedule for Now  
 Schedule for Later 10/16/2013 Time: 00:00

- The *Search: Identity Organization* dialog box appears. Enter the organization name in the blank text box and click **Search**. If you do not know the full name of the organization, you can enter a partial name search.

From the resulting list, click the organization’s name you want to add. Then, scroll to the bottom of the dialog box, and click **Add** and **Done**, as shown in Figure 5.

**Figure 5. Search: Identity Organization Dialog Box**

**Search:**

Where fmsorgname Contains

	Name
<input checked="" type="radio"/>	Treasury Web Application Infrastructure

- Click **Search** for **Sponsoring Application** as shown in Figure 6.

The **Primary Location** search functionality is optional to identify the user’s primary base location. The steps mirror those of *Sponsoring Application*.

**Figure 6. Corporate Tab (Sponsoring Application)**

**New External Identity**

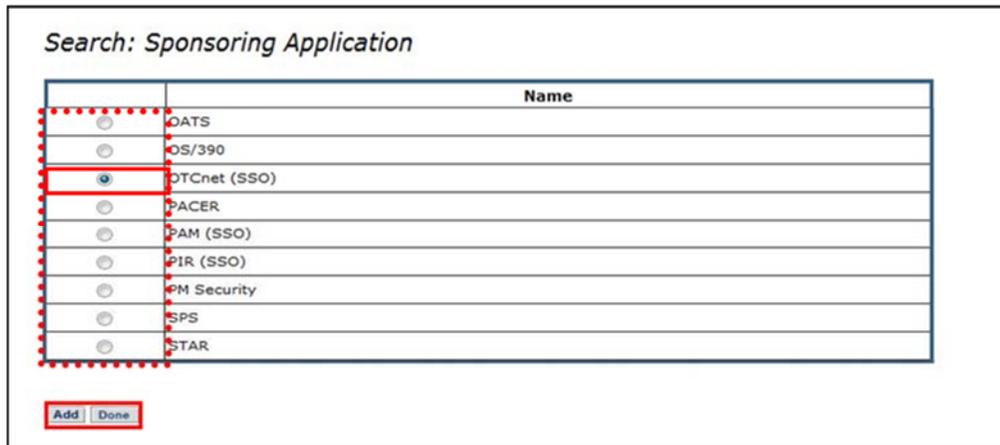
External  
Corporate  
Contact

Identity Organization *	Treasury Web Application Infrastructure	<input type="button" value="Search"/> <input type="button" value="Clear"/>
Primary Location		<input type="button" value="Search"/> <input type="button" value="Clear"/>
GWA Supervisor?		
Sponsoring Application *		<input type="button" value="Search"/> <input type="button" value="Clear"/>
Status	Active	

Schedule for Now  
 Schedule for Later: 10/16/2013 Time: 00:00

7. The *Search: Sponsoring Application* dialog box appears (see Figure 7). Select **OTCnet (SSO)** from the list, scroll to the bottom of the dialog box, and click **Add** and **Done**.

Figure 7. Search: Sponsoring Application Dialog Box



8. Click the **Contact** tab and enter the appropriate contact details as shown in Figure 8 below.
- Enter an **Email Address**, *required*
  - Enter a **Mobile Phone**
  - Enter an **Office Telephone Number**, *required*
  - Enter a **Pager number**
  - Enter an **Office Fax Number**
  - Enter an **Office Room Number**, *if applicable*
  - Enter an **Office Street address**, *required*
  - Enter an **Office Street Address 2**, *if applicable*
  - Enter a **City**, *required*
  - Enter an **Office State**, *required*
  - Enter an **Office Postal Code**, *required*
  - Enter an **Office Country**, *required*

The **Telephone Number** field may not include special characters including, but not limited to hyphens, periods, spaces, and parenthesis.

9. Click the **Schedule for Now** or **Schedule for Later** radio button. You can choose to schedule the User Identity to be created at a later time by clicking the **Schedule for Later** button and entering the preferred scheduled date and time.

10. Click **Submit**, as shown in **Error! Reference source not found.** below. The *Request Management- Your Pending Requests* page appears. To verify creation of a new identify, select **Request Management**, and click the **View Pending Requests** or **View Completed Requests**.

Figure 8. Contact Tab

*New External Identity*

External	Email *	QaeTrain+47@gmail.com
Corporate	Mobile Phone	
Contact	Office Phone *	555-555-5555
	Pager Number	
	Office Fax	
	Office Room Number	
	Office Street Address (no P.O. Boxes) *	123 Training St
	Office Street Address 2	
	City *	McLean
	Office State *	Virginia
	Office Zip/Postal Code *	22101
	Office Country *	UNITED STATES

Schedule for Now  
 Schedule for Later 10/16/2013 Time: 00:00

## Create a User Identity

To create a user identity, complete the following steps:

1. Log in to <https://reg.fms.treas.gov/itimext>. The *Request Management-Your To-Do List* page appears.
2. From the main menu bar, select **Organization** and click **New External User Identity**. The *New External Identity* page appears.
3. Under the **External** tab, enter the personal information details.
  - Enter the user's **Legal Prefix**
  - Enter the user's **Legal Name**, *required*
  - Enter the user's **Legal First Name**, *required*
  - Enter the user's **Legal Middle Name**
  - Enter the user's **Legal Last Name**, *required*



### Application Tip

The **Generation Identifier/Suffix** and **Organizational Roles** details are not applicable. The **Organizational Roles** details populates after the user's identity is successfully created.

4. Click the **Corporate** tab.
5. From **Identity Organization**, click **Search**. The *Search: Identity Organization* dialog box appears.
6. Enter the organization's name in the text box and click **Search**.



### Application Tip

If you do not know the full name of the organization, you can enter a partial name search.

7. From the resulting list, click the organization's name you want to add.
8. Scroll to the bottom of the dialog box, and click **Add** and **Done**.
9. From **Sponsoring Application**, click **Search**. The *Search: Sponsoring Application* dialog box appears.
10. Select **OTCnet (SSO)** from the list.
11. Scroll to the bottom of the dialog box, and click **Add** and **Done**.

12. Click the **Contact** tab.
13. Enter the appropriate contact details.
  - Enter an **Email Address**, *required*
  - Enter a **Mobile Phone**
  - Enter an **Office Phone**, *required*
  - Enter a **Pager number**
  - Enter an **Office Fax Number**
  - Enter an **Office Room Number**, *if applicable*
  - Enter an **Office Street address**, *required*
  - Enter an **Office Street Address 2**, *if applicable*
  - Enter a **City**, *required*
  - Enter an **Office State**, *required*
  - Enter an **Office Postal Code**, *required*
  - Enter an **Office Country**, *required*
14. Click the **Schedule for Now** or **Schedule for Later** radio button.

**Application Tip**

If the **Schedule for Later** radio button is selected, enter the **Date** and **Time** the identity should be created.

15. Click **Submit**. The *Request Management – Your Pending Requests* page appears.

**Application Tip**

To verify creation of a new identify, select **Request Management**, and click the **View Pending Requests** or **View Completed Requests**.

## Topic 3. Creating, Assigning and Editing an OTCnet Account

You can create and assign an OTCnet account to a user only **after** the user's identity (User ID) is created (see Topic 2 of this chapter for step-by-step instructions). When creating an OTCnet account, you can assign more than one role to a user. For example, you can assign a user both the **Deposit Preparer** and **Deposit Approver** roles. You can edit a user's account only after the OTCnet account is assigned to the user.

After a **PLSA** or **LSA** creates and assigns an OTCnet account to a user, **IBM Tivoli Identity Manager (ITIM)** looks for other approvers within the same OTC Endpoint or hierarchy and notifies them of the pending request. Approvers are other **PLSAs** and **LSAs** that exist in the same OTC Endpoint or hierarchy as the requestor.

## Create and Edit an OTCnet Account

- From the main menu bar, select **Search** and click **Person**. The Search Person page appears.
  - From the **Select** drop-down menu, select **External** (set to default)
  - From the **Where** drop-down menu, select a criteria type

By default, the **Where** drop-down menu is set to **Full Name**. You can choose any option as needed.

- Enter the search criteria in the blank text box on the right and click **Search** (see Figure 9).

Figure 9. Search Person Page (Criteria) - Person

The screenshot shows the 'Search Person' page with a navigation bar at the top containing 'Request Management', 'Organization', 'Search', and 'Reports'. The 'Search' tab is active, showing a sub-menu with 'Person' and 'Account'. Below this is a form with two rows: 'Select' with a dropdown menu set to 'External', and 'Where' with a dropdown menu set to 'Full Name'. To the right of the 'Where' dropdown is a text input field containing 'DanG Dprep'. A 'Search' button is located at the bottom left of the form area.

- The *Search Person* page appears with the results of your search criteria.

Click the **Select** hyperlink of the name of the user for which you would like to create/assign an OTCnet account (see Figure 10).

Figure 10. Search Person Page (Selection) - Accounts

	Name	E-Mail	Status	Organization
<a href="#">Select</a>	DanG Dprep	QaeTrain+47@gmail.com	Active	

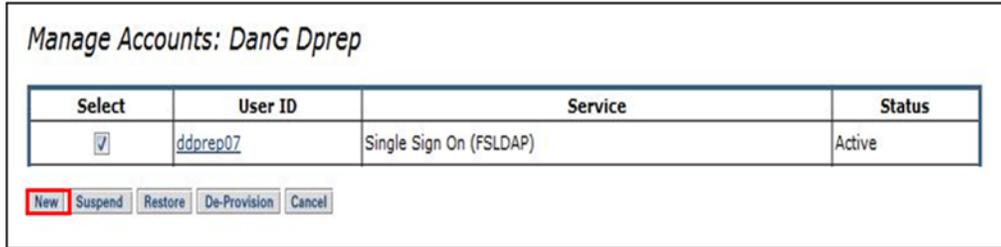
- A *Manage User* page appears. Click **Manage Accounts** (see Figure 11)

Figure 11. Manage User Page - Accounts

The screenshot shows the 'Manage User: DanG Dprep' page. It features a list of three options: 'Manage Personal Info', 'Manage Accounts', and 'Manage Passwords'. The 'Manage Accounts' option is highlighted with a red box.

- The *Manage Accounts* page appears. To create a new OTCnet account for a user, click **New** (see Figure 12). The *Create Account for:* page appears.

Figure 12. Manage Accounts Page

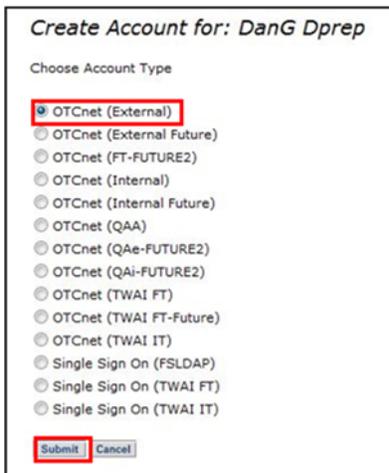


Or

To modify an existing OTCnet account for a user, click the **User ID** hyperlink for the OTCnet account and proceed to Step 6 below.

- Click **OTCnet** for the account type and then click **Submit** as shown in Figure 13 below. Selecting **OTCnet** indicates that the user can log on to OTCnet. Proceed to Step 8 if you are only modifying the user's role group.

Figure 13. Figure 13. Create Account for Page



6. The *Edit Account: OTCnet* page appears. From **Managed Organizations**, click **Search** as shown in Figure 14.

**Managed Organizations** is only used by **PLSAs** for creating LSA users. When creating any other user, this field should be left blank. **LSAs** should never use this field when creating users.

The name in the **Managed Organizations** field is typically the same as the Identity Organization name. The **Identity Organization** was originally used when you created a user identity.

Figure 14. Edit Account Manage Organizations Page

7. The *Search: Managed Organizations* dialog box appears. Enter the organization name in the blank text box and click **Search**. Enter the name of the organization you want to add. If you do not know the full name of the organization, you can enter a partial name search.

Click the name of the organization you want to add, then click **Add** and then click **Done** to return to the *Edit Account: OTCnet* page (see Figure 15).

Proceed to Step 8 if you are modifying the user's role group. If not, proceed to Step 11.

Figure 15. Search Managed Organizations Page

- From **Assign Permission** click the **Click to Modify** hyperlink (see Figure 16).

**Figure 16. Edit Account Assign Permission**

The screenshot shows a web form titled "Edit Account: OTCnet (External)". On the left is a "Main" navigation menu. The main form area contains several fields: "SSO UID" with the value "ddprep07", "Managed Organizations" with a search box containing "Treasury Web Application Infrastructure" and "Delete" and "Search" buttons, "Assign Permission" with a red-bordered button labeled "[Click to Modify]", "Created By", "Created Date", "Last Updated By", "Last Updated Date", and "Account Status" set to "Active". At the bottom, there are radio buttons for "Schedule for Now" (selected) and "Schedule for Later" with a date field "10/17/2013" and a time field "00:00". "Submit" and "Cancel" buttons are at the very bottom.

If the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box and/or the **Enable Check Capture** check box is not checked when modifying OTC Endpoint Information, you will not be able to provision the user to the appropriate OTCnet Endpoint. Refer to the Chapter 4: *Managing Your Organization Hierarchy* user guide for more details about managing your organization’s hierarchy.

- The *OTCnet Module Role Access Group* dialog box appears. Select a **Role** from the **Choose a Role** drop-down (see Figure 17).

**Figure 17. OTCnet Module Role Access Group Page**

The screenshot shows a web page titled "OTCnet Module Role Access Group". It includes a paragraph: "This form calls the AGM Web Service after changing each of the items below. The screen will refresh with the new data once it is available." Below this is the text "Existing values:" followed by a text input field containing "Module|Role|Access Group". A "Submit" button is to the left. Below the input field is a "Choose a Role" dropdown menu. The dropdown is open, showing options: "- Select -", "- Select -", "Accounting Specialist" (highlighted with a red border), "Agency LSA", "Agency Manager", and "Agency Onboarding & Support (AOS)".

10. Select an access group from the **Level 1** drop-down. The **Level 2** drop-down appears, *if applicable*. Select an access group from the **Level 2** drop-down, *if applicable* and so on (as shown in Figure 18).

Repeat this step as necessary for each successive level until you select the desired access group, then click **Submit** to return to the *Edit Account: OTCnet* page

Wait for the Level 2 drop-down to appear. Since ITIM is a web application there may be a slight delay. It is not required to select an access group from the next level if you want to provision a user at a higher level access (Level 2, 3, etc. is not required).

**Figure 18. Access Group Level Selection**

11. Click the **Schedule for Now** or **Schedule for Later** radio button, click **Submit** (see Figure 19).

If the **Schedule for Later** radio button is selected, enter the **Date** and **Time** when the OTCnet account should be created.

**Figure 19. Edit Account: Schedule Now or Schedule Later**

12. The *Request Management – Your Pending Requests* page appears (see Figure 20).

**Figure 20. Request Management- Your Pending Requests page**

<i>Request Management - Your Pending Requests</i>							
Select	View Details	Request ID	Time Submitted	Process Type	Requestee	Subject	Status
<input checked="" type="checkbox"/>	<a href="#">Details</a>	5101857541947746626	Oct 17, 2013 10:24 AM EDT	Create Account	DanG Dprep	ddprep07	In Process

To finalize a user's access to OTCnet, an approver (**PLSA** or **LSA**) within the same OTC Endpoint or hierarchy must approve the request.

To verify account was successfully provisioned, select **Request Management** and click The **View Pending Requests** or **View Completed Requests**. A request will only be listed as completed if an approver has already approved the request.

## Create and Edit an OTCnet Account for a User

To create and edit an OTCnet account for a user, complete the following steps:

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears.
2. From the **Select** drop-down menu, select **External**.



### Application Tip

By default, the **Select** drop-down menu is set to **External**.

3. From the **Where** drop-down menu, select a criteria type.



### Application Tip

By default, the **Where** drop-down menu is set to **Full Name**. You can choose any option as needed.

4. Enter the search criteria in the blank text box on the right and click **Search**. The *Search Person* page appears with the results of your search criteria.



### Application Tip

By default, the drop-down menu after **Where** is set to **Contains**. You can choose any option as needed.

5. Click the **Select** hyperlink of the name of the user for which you would like to create and assign an OTCnet account. A *Manage User* page appears.
6. Click **Manage Accounts**. The *Manage Accounts* page appears.
7. To create a new OTCnet account for a user, click **New**. The *Create Account for:* page appears.

Or

To modify an existing OTCnet account for a user, click the **User ID** hyperlink for the OTCnet account and proceed to Step 9.

- Click **OTCnet** for the account type and then click **Submit**. The *Edit Account: OTCnet* page appears.

**Application Tip**

Selecting **OTCnet** indicates that the user can log on to OTCnet.

**Application Tip**

Proceed to Step 13 if you are only modifying the user's role group.

- From **Managed Organization**, click **Search**. The *Search: Managed Organization* dialog box appears.

**Application Tip**

**Managed Organizations** is only used by **PLSAs** for creating **LSA** users. When creating any other user, this field should be left blank. **LSAs** should never use this field when creating users.

The name in the **Managed Organizations** field is typically the same as the Identity Organization name. The **Identity Organization** was originally used when you created the user's identity.

- Enter the organization name in the blank text box and click **Search**.

**Application Tip**

If you do not know the full name of the organization, you can enter a partial name search.

- Click the name of the organization you want to add.

- Click **Add** and then click **Done** to return to the *Edit Account: OTCnet* page.

**Application Tip**

Proceed to Step 13 if you are modifying the user's role group. If not, proceed to Step 18.

- From **Assign Permission**, click the **Click to Modify** hyperlink. The *OTCnet Module Role Access Group* dialog box appears.

**Application Tip**

If the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box and/or the **Enable Check Capture** check box is not checked when modifying OTC Endpoint Information, you will not be able to provision the user to the appropriate OTCnet Endpoint. Refer to the Chapter 4: *Managing Your Organization Hierarchy* user guide for more details about managing your organization's hierarchy.

- Select a **Role** from the **Choose a Role** drop-down.
- Select an access group from the **Level 1** drop-down. The **Level 2** drop-down appears, *if applicable*.

**Application Tip**

Wait for the **Level 2** drop-down to appear. Since ITIM is a web application there may be a slight delay.

- Select an access group from the **Level 3** drop-down. The **Level 4** drop-down appears, *if applicable*.

**Application Tip**

Repeat Step 15 as necessary for each successive level until you select the desired access group.

- Click **Submit** to return to the *Edit Account: OTCnet* page.
- Click the **Schedule for Now** or **Schedule for Later** radio button.

**Application Tip**

If the **Schedule for Later** radio button is selected, enter the **Date** and **Time** when the OTCnet account should be created.

19. Click **Submit**. The *Request Management – Your Pending Requests* page appears.

**Application Tip**

To add additional user roles, repeat Steps 13 through 19.

**Application Tip**

To finalize a user's access to OTCnet, an approver (**PLSA** or **LSA**) within the same OTC Endpoint or hierarchy must approve the request.

**Application Tip**

To verify account was successfully provisioned, select **Request Management** and click **View Pending Requests** or **View Completed Requests**. A request will only be listed as completed if an approver has already approved the request.

## Topic 4. Managing a User Password

As a **PLSA** or **LSA**, you will need to access **IBM Tivoli Identity Manager (ITIM)** to manage a user's password. You can only manage a user's password *after* the following occurs (*refer to Topics 2 and 3 of this User Guide for step-by-step instructions for the below tasks*):

1. The User's identity is created.
2. An OTCnet account is created and assigned to the user's identity (User ID).
3. An approver (another **PLSA** or **LSA** user within the same OTC Endpoint or hierarchy) approves the OTCnet account creation request.

After an OTCnet account is created and assigned to a user (and the request is approved), you will have the ability to manage the user's password. You can reset a user's password using the Manage Passwords function. Resetting a user's password does not require approval from another **PLSA** or **LSA**. Once the password reset has been successfully completed, an email notification is sent to the user with a temporary password.

### Manage a User Password

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears (see Figure 21).
  - a) From the **Select** drop-down menu, select **External** (set to default)
  - b) From the **Where** drop-down menu, select a criteria type
  - c) Enter the search criteria in the blank text box on the right
  - d) Click **Search**

By default, the drop-down menu after **Where** is set to **Contains**. You can choose any option as needed.

Figure 21. Search Person Page (Criteria) - Password

Request Management	Organization	Search	Reports
Search Person			
Select	External		
Where	Full Name	Contains	DanG Dprep
Search			

2. The *Search Person* page appears with the results of your search criteria. Click the **Select** hyperlink of the name of the user for whom you would like to manage the password (see Figure 22).

Figure 22. Search Person Page (Selection)

Select	Name	E-Mail	Status	Organization
Select	DanG Dprep	QaeTrain+47@gmail.com	Active	

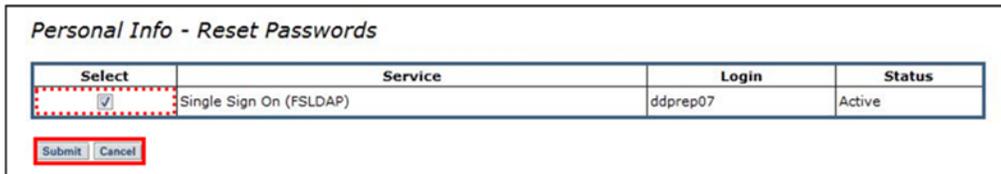
3. The *Manage User* page appears. Click **Manage Passwords** (see Figure 23).

Figure 23. Manage User Page



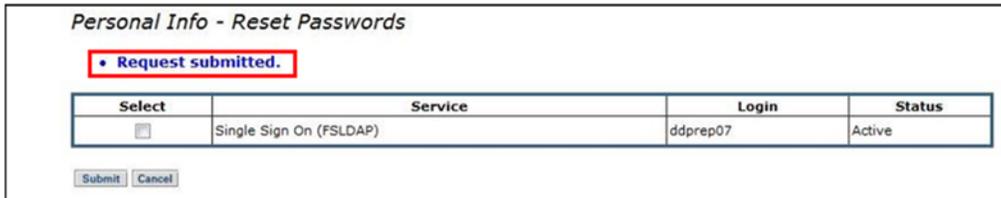
4. Click the **Select** check boxes for the **Single Sign On (FSLDAP)** and **OTCnet** services (see Figure 24) and click **Submit**.

Figure 24. Reset Password Page



5. The Request submitted message appears (see Figure 25).

Figure 25. Request Submitted Page



## Manage a User Password

To manage a password for a user, complete the following steps:

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears.
2. From the **Select** drop-down menu, select **External**.



### Application Tip

By default, the **Select** drop-down menu is set to **External**.

3. From the **Where** drop-down menu, select a criteria type.



### Application Tip

By default, the **Where** drop-down menu is set to **Full Name**. You can choose any option as needed.

4. Enter the search criteria in the blank text box on the right and click **Search**. The *Search Person* page appears with the results of your search criteria.



### Application Tip

By default, the drop-down menu after **Where** is to **Contains**. You can choose any option as needed.

5. Click the **Select** hyperlink of the name of the user for whom you would like to manage the password. A *Manage User* page appears.
6. Click **Manage Passwords**.
7. Click the **Select** check boxes for the **Single Sign On (FSLDAP)** and **OTCnet** services.

8. Click **Submit**. A Request submitted message appears.



**Application Tip**

After the request to reset the password is submitted, the user receives an email with a temporary password and link to access OTCnet.

## Topic 5. Managing Personal Information

As a **PLSA** or **LSA**, you will need to access **ITIM** to manage a user's personal information (e.g. external, corporate, and contact information). You can only manage a user's personal information *after* the user identity (User ID) is created (*refer to Topic 2 of this User Guide for step-by-step instructions*).

### Manage a User's Personal Information

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears (see Figure 26).
  - a) From the **Select** drop-down menu, select **External** (set to default)
  - b) From the **Where** drop-down menu, select a criteria type
  - c) Enter the search criteria in the blank text box on the right
  - d) Click **Search**

By default, the drop-down menu after **Where** is set to **Contains**. You can choose any option as needed.

Figure 26. Search Person Page (Criteria) - Full Name

Request Management	Organization	Search	Reports
Search Person			
Select	External	Where	Contains
			DanG Dprep
Search			

2. The *Search Person* page appears with the results of your search criteria. Click the **Select** hyperlink of the name of the user for whom you would like to manage the password (see Figure 27).

Figure 27. Search Person Page (Selection) – Personal Info

Select	Name	E-Mail	Status	Organization
<a href="#">Select</a>	DanG Dprep	QaeTrain+47@gmail.com	Active	

3. The *Manage User* page appears. Click **Manage Personal Info** (see Figure 28).

Figure 28. Manage User Page - Personal Info

*Manage User: DanG Dprep*

- [Manage Personal Info](#)
- [Manage Accounts](#)
- [Manage Passwords](#)

4. From the **Personal Information** page (see Figure 29),
  - Click **External** tab and update the appropriate fields.
  - Click **Corporate** tab and update the appropriate fields.
  - Click **Contact** tab and update the appropriate fields.
  
5. Click the **Schedule for Now** or **Schedule for Later** radio button. If the **Schedule for Later** radio button is selected, enter the **Date** and **Time** when the user's personal information should be managed. Then, click **Submit**.

**Figure 29. Personal Information Page**

*Personal Information: DanG Dprep*

Enterprise ID	ddprep07
Legal Prefix	
Legal Name *	DanG Dprep
Legal First Name *	DanG
Legal Middle Name	
Legal Last Name *	Dprep
Generation Identifier/Suffix	
Organizational roles	<input type="text"/> <input type="button" value="Search"/> <input type="button" value="Delete"/>

Schedule for Now  
 Schedule for Later: 10/17/2013 Time: 00:00

## Manage Personal Information

To edit a user's personal information, complete the following steps:

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears.
2. From the **Select** drop-down menu, select **External**.



### Application Tip

By default, the **Select** drop-down menu is set to **External**.

3. From the **Where** drop-down menu, select a criteria type.



### Application Tip

By default, the **Where** drop-down menu is set to **Full Name**. You can choose any option as needed.

4. Enter the search criteria in the blank text box on the right and click **Search**. The *Search Person* page appears.



### Application Tip

By default, the drop-down menu after **Where** is set to **Contains**. You can choose any option as needed.

5. Click the **Select** hyperlink of the name of the user you would like to manage. A *Manage User* page appears.
6. Click **Manage Personal Info**. The *Personal Information* page appears.
7. From the **Personal Information** page,
  - Click the **External** tab and update the appropriate fields.
  - Click the **Corporate** tab and update the appropriate fields.
  - Click the **Contact** tab and update the appropriate fields.

- Click the **Schedule for Now** or **Schedule for Later** radio button.

**Application Tip**

If the **Schedule for Later** radio button is selected, enter the **Date** and **Time** the identity should be created.

- Click **Submit**.

**Application Tip**

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

- Click **Cancel** to return to the ITIM Home Page. No data will be saved.

## Topic 6. Approving or Rejecting an OTCnet User Request

As a **PLSA** or **LSA**, you are able to approve or reject an OTCnet account creation or modification request. You will need to access **ITIM** to approve or reject a request. You can only approve or reject a request *after* another **PLSA** or **LSA** within the same OTC Endpoint or hierarchy generates the request by creating or modifying an OTCnet account for a user.

After you approve the request, the user for which the OTCnet account applies, receives an email notification containing information about the changes to their OTCnet account. If you reject the request, the **PLSA** or **LSA** who created the request receives an **ITIM** notification of the rejection.

### Approve/Reject an OTCnet User Request

1. Log in to <https://reg.fms.treas.gov/itimext>. *Request Management-Your To-Do List* page appears (see Figure 30). Click **Account Approval**.

Figure 30. Request Management- Your To Do List Page

Locked	Activity	Time Due	Requestee	Subject
	Account Approval	Sep 01, 2010 03:30 PM EDT	Brad Shaw	bshaw001

2. The *Approve/Reject the Request* page appears (see Figure 31). Click **Approve**, **Reject** or **Cancel**. Click **View Request Data** to view details of the request. Click **Back** to return to the *Approve/Reject the Request* page.

Figure 31. Approve/Reject the Request Page

Approve / Reject the Request	
Description	Access request for DanG Dprep's account ddp07 on OTCnet (External) requires your approval.
Request ID	5101873505291330896
Requestor	otcnet tcngHLAS1
Requestee	DanG Dprep
Subject	ddp07
Time Submitted	Oct 17, 2013 10:24 AM EDT
Time Due	Oct 24, 2013 10:24 AM EDT
	<a href="#">View Request Data</a>
Explanation	
<a href="#">Approve</a> <a href="#">Reject</a> <a href="#">Cancel</a>	

## Approve or Reject an OTCnet Account

To approve or reject an OTCnet account creation or modification request, complete the following steps:

1. Log in to <https://reg.fms.treas.gov/itimext>. The *Request Management-Your To-Do List* page appears.
2. Click **Account Approval**. The *Approve/Reject the Request* page appears.
3. Click the **Schedule for Now** or **Schedule for Later** radio button.



### Application Tip

If the **Schedule for Later** radio button is selected, enter the **Date** and **Time** the identity should be created.

4. Click **Approve**, **Reject** or **Cancel**.



### Application Tip

Click **Approve** to approve the user account request. Click **Reject** to reject the user account request. Click **Cancel** to return to the ITIM Home Page. No data will be saved.



### Application Tip

Click **View Request Data** to view details of the request. Click **Back** to return to the *Approve/Reject the Request* page.

## Topic 7. Modify User Status

After a **PLSA** or **LSA** creates and assigns an OTCnet account to a user, **ITIM** looks for other approvers within the same **OTC Endpoint** or hierarchy and notifies them of the pending request (approvers are other **PLSAs** and **LSAs**).

As the **PLSA** or **LSA** for your organization, you are the only users who can modify another user's OTCnet status. You can:

- Suspend (deactivate) a user's OTCnet account
- Restore (activate) a user's OTCnet account
- De-Provision (delete) a user's OTCnet account

### Modify User Status

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears (as shown in Figure 32).
  - a) From the **Select** drop-down menu, select **External** (set to default)
  - b) From the **Where** drop-down menu, select a criteria type
  - c) Enter the search criteria in the blank text box on the right
  - d) Click **Search**

By default, the drop-down menu after **Where** is set to **Contains**. You can choose any option as needed.

Figure 32. Search Person Page (Criteria) - Modify Status

Request Management	Organization	Search	Reports
<i>Search Person</i>			
Select	External		
Where	Full Name	Contains	DanG Dprep
<input type="button" value="Search"/>			

2. The *Search Person* page appears with the results of your search criteria. Click the **Select** hyperlink of the name of the user to suspend, restore or de-provision an OTCnet account (see Figure 33).

Figure 33. Search Person Page (Selection) - Modify Status

Select	Name	E-Mail	Status	Organization
<a href="#">Select</a>	DanG Dprep	QaeTrain+47@gmail.com	Active	

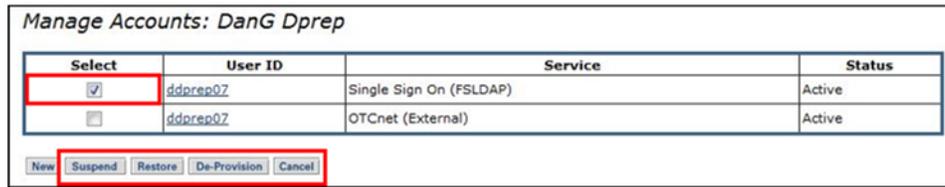
3. A *Manage User* page appears. Click **Manage Accounts** (see Figure 34).

Figure 34. Manage User Page - Modify Status



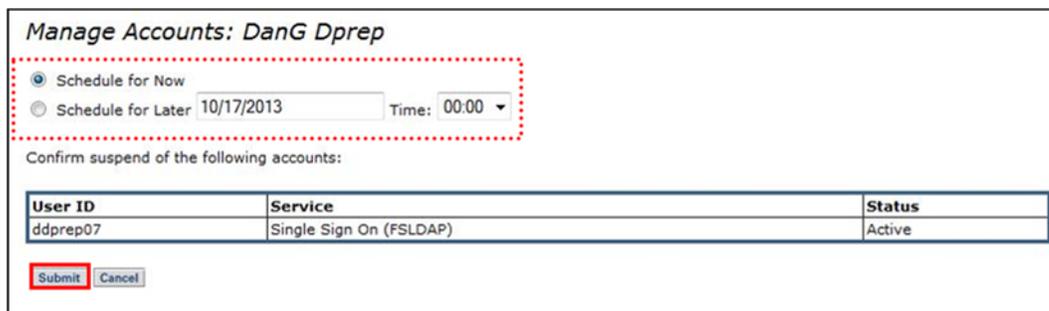
4. The *Manage Accounts* page appears (see Figure 35). Select the **Service (OTCnet)** you want to suspend, restore or de-provision by checking the check box under the **Select** column, then:
  - Click **Suspend**  
Or
  - Click **Restore**  
Or
  - Click **De-Provision**

Figure 35. Manage Accounts Page- Select User ID



5. The *Manage Accounts* page appears. Click the **Schedule for Now** or **Schedule for Later** radio button. You can choose to schedule the User Identity to be created at a later time by clicking the **Schedule for Later** button and entering the preferred scheduled date and time. Click **Submit**, as shown in Figure 36.

Figure 36. Manage Accounts Page- Submit



To finalize the modification of a user’s OTCnet account, an approver (PLSA or LSA) within the same **OTC Endpoint** or hierarchy must approve the request. This will require a PLSA/LSA to log into ITIM to approve the account.

- After logging into ITIM, click **Account Approval** under **Activity** (see Figure 37).

**Figure 37. Request Management- Your-To-Do List (Account Approval)**

Request Management	Organization	Search	Reports	
<i>Request Management - Your To-Do List</i>				
Locked	Activity	Time Due	Requestee	Subject
	Account Approval	Oct 24, 2013 10:24 AM EDT	DanG Dprep	ddprep07

The *Approve/Reject the Request* page appears. Click **Approve** (see Figure 38)

**Figure 38. Approve / Reject the Request Page**

*Approve / Reject the Request*

Description	Access request for DanG Dprep's account ddp07 on OTCnet (External) requires your approval.
Request ID	5101873505291330896
Requestor	otcnet tcnqeHLAS1
Requestee	DanG Dprep
Subject	ddprep07
Time Submitted	Oct 17, 2013 10:24 AM EDT
Time Due	Oct 24, 2013 10:24 AM EDT
	<a href="#">View Request Data</a>
Explanation	<div style="border: 1px solid gray; height: 40px;"></div>

[Approve](#) [Reject](#) [Cancel](#)

- The *Request Management – Your Pending Requests* page appears (see Figure 39).

**Figure 39. Your Pending Requests Page**

<i>Request Management - Your Pending Requests</i>							
Select	View Details	Request ID	Time Submitted	Process Type	Requestee	Subject	Status
<input type="checkbox"/>	<a href="#">Details</a>	7613900040730785793	Oct 26, 2010 01:50 PM EDT	Change User Data	Sandy Saunders		Not Started



## Modify User Status

To modify a user's status, complete the following steps:

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears.
2. From the **Select** drop-down menu, select **External**.



### Application Tip

By default, the **Select** drop-down menu is set to **External**.

3. From the **Where** drop-down menu, select a criteria type.



### Application Tip

By default, the **Where** drop-down menu is set to **Full Name**. You can choose any option as needed.

4. Enter the search criteria in the blank text box on the right and click **Search**. The *Search Person* page appears with the results of your search criteria.



### Application Tip

By default, the drop-down menu after **Where** is to **Contains**. You can choose any option as needed.

5. Click the **Select** hyperlink of the account for whom you would like to suspend, restore, or de-provision an OTCnet account. A *Manage User* page appears.
6. Click **Manage Accounts**. The *Manage Accounts* page appears.
7. Select the **Service (OTCnet)** you want to suspend, restore or de-provision by checking the check box under the **Select** column, then:
  - Click **Suspend**. The *Manage Accounts* page appears.  
Or
  - Click **Restore**. The *Manage Accounts* page appears.  
Or
  - Click **De-Provision**. The *Manage Accounts* page appears.

8. Click the **Schedule for Now** or **Schedule for Later** radio button.

**Application Tip**

If the **Schedule for Later** radio button is selected, enter the **Date** and **Time** the identity should be created.

9. Click **Submit**. The *Request Management – Your Pending Requests* page appears.

**Application Tip**

To verify account was successfully modified, select **Request Management** and click The **View Pending Requests** or **View Completed Requests**.

**Application Tip**

To finalize the modification of a user's OTCnet account, an approver (**PLSA** or **LSA**) within the same OTC Endpoint or hierarchy must approve the request.



## Glossary

### A

**Accounting Code** – A unique agency classification code assigned to a transaction, which identifies the FRB Account Key that is used within the Federal Reserve. In check capture, it is a method of grouping individual check transactions into certain classifications. In deposit reporting, the classification is being done at a voucher level, where a voucher is being classified with one or many agency defined accounting codes or TAS.

**Accounting Code Description** – A brief explanation that provides further detail about an accounting code.

**Accounting Code Name** – The title of the accounting code.

**Accounting Key** – The account number assigned to a deposit when it is submitted to FRB CA\$HLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

**Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.

**Acknowledged Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Acknowledged Error Batch Status** – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which resulted in a batch being updated to Acknowledgment Error.

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

**Activity Type** – The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

**Adjustment Activity (FI) Report** – A business report that allows you to view adjustments made by your financial institution (FI).

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

**Adjustments by OTC Endpoints Report** – A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

**Agency CIRA Report** – A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

**Agency Contact** – A person designated by an agency as the primary contact regarding deposit-related matters.

**Agency Information** – The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

**Agency Location Code (ALC)** – A numeric symbol identifying the agency accounting and/or reporting office.

**Agency Location Code plus 2 (ALC+2)** – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

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

**Alternate Agency Contact** – A person designated by an agency as the secondary contact regarding deposit-related matters.

**American Bankers Association (ABA)** – (also known as Bank Routing Number) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

**Approved Batch Status** – Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

**Audit Log** – A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a comma separated value report (CSV) and opened in a spreadsheet program or available to print in a formatted audit log report.

**Automated Clearing House** – A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

**Awaiting Approval (AWAP)** – A deposit that is waiting for deposit confirmation by a Deposit Approver.

## B

**Back Office Processing Method** – Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

**Batch** – A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

**Batch Approver** – An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Batch Control/Batch Balancing** – An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

**Batch ID** – The unique number assigned to a batch by OTCnet.

**Batch List Report** – A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

**Batch Status** – Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

**Batch Uploader** – An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Blocked** – A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

**Bureau of the Fiscal Service (FS)** – (formerly FMS) The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

**Business Event Type Code (BETC)** – A code used in the CARS/GWA system to indicate the type of activity being reported, such as payments, collections, borrowings, etc. This code must accompany the Treasury Account Symbol (TAS).

## C

**CA\$HLINK II** – An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

**CA\$HLINK II Account Number (CAN)** – The account number assigned to a deposit when it is submitted to CA\$HLINK II.

**Capture Date** – The calendar date and time the payment is processed by the agency.

**Cashier ID** – The ID of the user that created the transaction.

**Central Accounting Reporting System (CARS)** – (formerly GWA) The system that addresses the central accounting and reporting functions and processes associated with budget execution, accountability, and cash/other asset management. This includes the collection and dissemination of financial management and accounting information from and to federal program agencies.

**Central Image and Research Archive (CIRA)** – The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

**Characteristics** – The properties of a user, organization, deposit, or financial institution.

**Check 21** – Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

**Check Amount** – The dollar amount of the check.

**Check Capture** – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

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

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

**Check Capture Offline** – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

**Check Capture Online** – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

**Check Capture Operator** – An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

**Check Capture Supervisor** – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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

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

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

**CIRA CSV Report** – A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

**CIRA Viewer** – A user that has authorization to view CIRA records and download CSV files. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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

**Clear** – Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

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

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

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

**Collections Information Repository (CIR)** – (formerly TRS) A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Comma Separated Values (CSV)** – A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

**Confirmed** – A deposit that has been reviewed and then confirmed by a financial institution or FRB.

**Cost Center Work Unit (CCWU)** – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

**Custom Label** – Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

**Customer Not Present Processing Method** – The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

**Customer Present Processing Method** – The processing method used in the OTCnet when the check writer is presenting the check in person.

## D

**Daily Voucher Report** – A business report that allows you to view the daily voucher extract.

**Data Type** – The type of data that should be entered for a user defined field.

**Date of Deposit** – The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

**Debit Gateway** – The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

**Demand Deposit Account (DDA)** – The account at a financial institution where an organization deposits collections.

**Denied** – Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

**Deny Date** – Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

**Deposit** – A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

**Deposit Activity (FI) Report** – A business report that allows the financial institution to view deposits submitted to its location.

**Deposit Approver** – A user who has authorization to review and submit deposits to a financial institution.

**Deposit Confirmer** – A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

**Deposit History by Status Report** – A business report that allows you to view deposits by status.

**Deposit Information** – The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

**Deposit Preparer** – A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

**Deposit Total** – The total amount of over-the-counter receipts included in the deposit.

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

**Deposits by Accounting Code Report** – A business report that allows you to view deposits by accounting code.

**Deposits by OTC Endpoint Report** – A business report that allows you to view deposits by OTC Endpoint.

**Display Order Number** – The order in which user defined fields (UDFs) should be displayed.

**Draft** – A deposit that is saved for modification at a later date by a Deposit Preparer.

## E

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

## F

**Failed** – The item was unable to be processed and/or settled by Treasury/BFS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

**Federal Program Agency** – A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

**Federal Reserve Bank (FRB)** – A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

**Federal Reserve Bank-Cleveland (FRB-C)** – FRB-C serves as the conduit for settlement of transactions originating from the OTCnet application. FRB-C is responsible for receiving the transaction data from OTCnet via forward file, and performing check clearing/transaction settlement as the ‘debit gateway’.

**Federal Reserve System's Automated Clearing House (ACH) System** – Enables debits and credits to be sent electronically between depository financial institutions.

**Financial Institution (FI)** – A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

**Financial Institution Information** – The name, address, routing transit number, and the demand deposit account number of a financial institution.

**Firmware** – A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

**Fiscal Year** – A 12-month period for which an organization plans the use of its funds.

**Forwarded Batch Status** – Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

**Forwarded File** – A term that is assigned to a file that contains the check transactions that is send from channel applications, such as OTCnet or ECP, to Debit Gateway for settlement purposes.

**Franker** – An internal stamp unit that stamps a check with “Electronically Processed” after the check is processed and scanned. Franker availability is based on the model of your scanner.

**Franking** – The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

## H

**Highest Level Organization** – The primary level of the organization hierarchy.

## I

**IBM Tivoli Identity Manager (ITIM)** – Refers to Fiscal Service’s Enterprise provisioning tool for user account and identity management.

**Individual Reference Number (IRN)** – The auto-generated unique number used in OTCnet to identify Check Capture transactions.

**Input Length Maximum** – The maximum number of characters that may be entered in a user defined field.

**Input Length Minimum** – The minimum number of characters that may be entered in a user defined field.

**Internal Control Number** – A customizable field for agency use to further describe a deposit.

**Item Detail Report** – A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

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

## L

**Local Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish, maintain, and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

**Local Security Administrator (LSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Local Verification Database (LVD)** – A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

**Lower Level Organization** – Any organization created below the highest level organization.

**LVD Contents Report** – A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

## M

**Magnetic Ink Character Recognition (MICR)** – Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

**Master Verification Database (MVD)** – It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

**MVD Editor** – A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

**MVD Viewer** – A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

## N

**Non-Personal Item Type** – Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

**Non-Reporting OTC Endpoints Report** – A business report that allows you to view OTC Endpoints that have not reported a deposit.

## O

**Open Batch Status** – Indicates the batch is open and accepting new checks.

**Organization** – The location or level within a Federal Program agency.

**Organization Hierarchy** – The structure of a Federal Program agency as defined in OTCnet.

**Organization Hierarchy Report** – A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

**OTC Collections** – Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

**OTC Endpoint** – The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

**OTC Endpoint (CHK)** – The endpoint (location) setup in OTCnet to use check capture.

**OTC Endpoint (TGA)** – The endpoint (location) setup in OTCnet to use Deposit Reporting.

**OTC Endpoint Mapping** – The assignment of accounting codes to an agency’s OTC Endpoint, for which a deposit amount can be allocated.

**OTCnet Offline** – Refers to the over the counter application that provides Check Capture functionality to end users with limited internet connectivity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

**OTCnet Online** – Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet connectivity).

**Over the Counter Channel Application (OTCnet)** – Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

## P

**Personal Item Type** – Indicates that the name on check is an individual’s name, not acting as a business.

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

**Primary Local Security Administrator (PLSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Processing Options** – User-defined parameters for the deposit and adjustment processes.

**Processing Options by OTC Endpoints Report** – A business report that allows you to view processing options defined for endpoints within the organization.

## Q

**Queue Interface** – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

## R

**Received** – The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

**Received Date** – The date the check was received by web-based OTCnet.

**Rejected** – A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

**Represented** – This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

**Retired** – This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

**Return Reason Codes** – Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

**Return Settlement Date** – The effective date of settlement of the returned check item.

**Returned Item** – A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

**Routing Transit Number (RTN)** – (also known as American Bankers Association (ABA) Number or Bank Routing Number) – The nine-digit number used to identify a financial institution.

## S

**Save as Draft** – An option that allows a Deposit Preparer to save a deposit for modification at a later date.

**Save for Approval** – An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

**Send Error Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Sent Batch Status** – Indicates the batch was uploaded online without error.

**Separation of Duties** – A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

**Settle Best Method** – The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

**Settled** – This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

**Settlement Date** – The payment date of a check item, which is when the deposit is debited from the check writer's account.

**SF215 Deposit Ticket Report** – The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable for a duration of up to 45 days.

**SF5515 Debit Voucher Report** – The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable in for a duration of up to 45 days.

**Share Accounting Module (SAM)** – The application that facilitates the process of validating or deriving Treasury Account Symbol (TAS) and Business Event Type Code (BETC) combinations to assist CARS/GWA in classifying financial transactions as they occur.

**Short Name/Code** – The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

**Statistical Report** – A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is searchable for a duration of up to 15 days.

**Submit** – An option that allows a Deposit Approver to submit a deposit to a financial institution.

**Submitted** – A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

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

## T

**Terminal ID** – The unique number assigned to the workstation where a user performs functions in OTCnet.

**Trade Status** – Represents the status of the verification records. There are four possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

**Transaction History** – Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

**Transaction Reporting System (TRS)** – A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Treasury Account Symbol (TAS)** – The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

## U

**Universal Serial Bus (USB)** – A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

**US Dollar Equivalent (USE)** – The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

**US Treasury** – The executive department and the Treasury of the United States federal government.

**User Defined Field (UDF)** – A user-defined text that describes deposit activity or deposit accounting activity.

**User Information Report** – A security report allows that you to view a user's contact information.

**Users by Access Group (FI) Report** – A security report that allows you to view users by financial institution.

**Users by Access Group (FPA) Report** – A security report that allows you to view users by OTC Endpoint.

**Users by Role (FI) Report** – A security report that allows you to view users by role for your financial institution.

**Users by Role (FPA) Report** – A security report that allows you to view users by role for your OTC Endpoint.

## V

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

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

**View Vouchers Completed Report** – An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

**View Vouchers in Progress Report** – An administration report allows you to view the status of deposit and adjustment vouchers in progress.

**Viewer** – A user who has authorization to view OTCnet information and produce reports from it.

**Voucher Date** – The day that Debit Gateway receives transactions from OTCnet.

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



## **Chapter 4: Managing Your Agency's Hierarchy, Accounting Codes and Processing Options**

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### **OTCnet Participant User Guide**

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# Audience, Overview and Topics

## Audience

The intended audience for the *Managing Your Agency's Hierarchy Participant User Guide* varies by system. Please note the intended audience by system you are capturing or processing on:

### ***Deposit Processing***

- Accounting Specialist
- Local Accounting Specialist (refer to Chapter 1 for permission details)
- Viewer (View their organization's hierarchy endpoint only)

### ***Check Capture and Check Processing***

- Check Capture Administrator
- Check Capture Supervisor (refer to Chapter 1 for permission details)
- Check Capture Lead Operator

## Overview

Welcome to *Managing Your Agency's Hierarchy*. In this chapter, you will learn:

- The purpose of organizational hierarchy
- How to add lower level endpoints to the highest level of an organization hierarchy
- How to add additional lower level endpoints/ add financial institution relationship to a hierarchy that was previously defined
- How to make changes to OTC Endpoints
- How to delete or neutralize OTC Endpoints
- How to view OTC Endpoints
- How to modify accounting codes
- How to modify endpoint mappings
- How to modify processing options
- How to view processing options

## **Topics**

This chapter is organized by the following topics:

1. Purpose of the Organizational Hierarchy
2. Creating an Organizational Hierarchy
3. Managing the Organizational Hierarchy
4. Managing Accounting Codes
5. Managing Processing Options

## Topic 1. Purpose of the Organizational Hierarchy

As your Agency's **Accounting Specialist (AS)**, **Local Accounting Specialist (LAS)**, and **Check Capture Administrator (CCA)**, you are responsible for identifying and maintaining the organizational structure for your Agency's deposits and check capture settings. This organizational structure is called a hierarchy.

Creating this hierarchy accomplishes three things:

- An organization's hierarchy describes the relationships and reporting structures between **OTC Endpoints** within your organization that create or submit deposits in OTCnet
- Defines the content of the reports that individuals may run based on their **OTC Endpoints** within the hierarchy
- The creation of the hierarchy enables staff to create deposits and pull reports on all appropriate **OTC Endpoints** in the organization

You will work with your management to determine the desired hierarchy, and then use the OTCnet tools provided to define that hierarchy in OTCnet.

The organizational hierarchy you create contains specific **OTC Endpoints** from which **Deposit Preparers** may create deposits and **Check Capture Operators** may scan checks. These locations are called **OTC Endpoints**. You are responsible for indicating which locations in the hierarchy are **OTC Endpoints**, and how deposits at **OTC Endpoints** should be handled. A **Deposit Processing** endpoint will be indicated with a **(TGA)** next to the endpoint, and a **Check Capture** endpoint is indicated with a **(CHK)** next it.

## Topic 2. Creating an Organizational Hierarchy

Once your High Level Agency Support (HLAS) has entered your organization into OTCnet, you are responsible for entering your organizational hierarchy. As part of your setup process, the HLAS creates the highest level of your hierarchy for you; you add to that hierarchy according to your organization's needs. The highest level of your organization cannot be a depositing endpoint.

You may create as many lower levels in your hierarchy as you need, with as many **OTC Endpoints** in each level as you need.

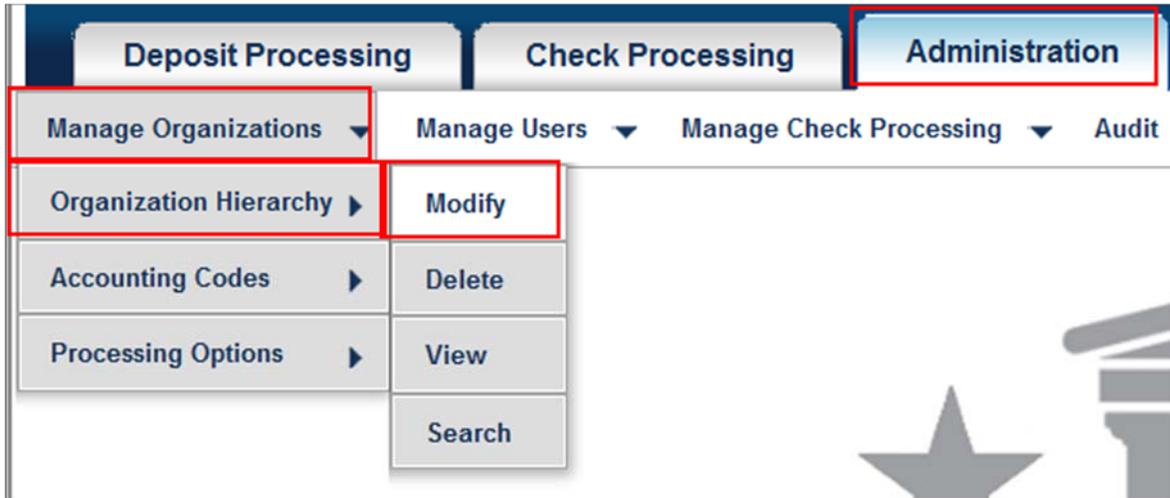
You may edit your hierarchy as desired by updating the information for each **OTC Endpoint** you create. You may delete an **OTC Endpoint** from which no deposit or check transaction has been made, but may not delete an **OTC Endpoint** once a deposit or check transaction has been made from that **OTC Endpoint**. **OTC Endpoints** may not be deleted after a deposit or check transaction has been made because historical information about that deposit or check transaction would also be deleted, creating inaccurate reporting. However, you may neutralize an OTC Endpoint, if deposits or check transactions have been created. For more information on deleting or neutralizing OTC Endpoints, refer to *Delete or Neutralize an OTC Endpoint*.

Your organization's hierarchy is accessible by selecting the **Administration** tab and then the **Manage Organization** menu option.

## Add an OTC Endpoint

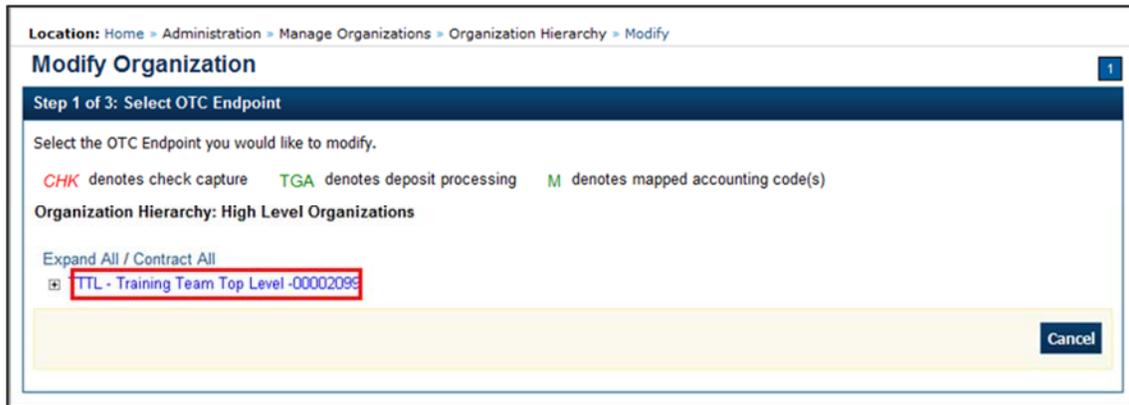
1. Click the Administration tab. Click Manage Organization and select Organization Hierarchy and click Modify.

Figure 1. Select Manage Organizations>Organization Hierarchy>Modify



The Step 1 of 3: Select an OTCnet Endpoint page appears. Select your organization's OTC Endpoint as it appears in the list.

Figure 2. Step 1 of 3: Select the OTC Endpoint



- The Step 2 of 3: Update OTC Endpoint Information page appears.

As shown in Figure 3, check the **Add lower levels to this OTC Endpoint** check box. In the table that appears you can add new **OTC Endpoints** that fall in the level under the current **OTC Endpoint**.

Enter the Lower Level OTC Endpoint(s)'s **Short Name(s)** and **Description(s)** and then click **Next**. The **Short Name** and **Description** field provide an abbreviation and a full description, respectively, of the **OTC Endpoint** you are adding.

**Short name(s)** are user-defined text describing an organization. Short names must be unique within an organization hierarchy (e.g. Short name: IRS; Description: Internal Revenue Service).

Special characters are accepted in **Short Name** and **Description** fields; however, only use standard American Standard Code for Information Interchange (ASCII) characters. The standard ASCII range is 32-126. If non-standard ASCII characters (0-31, 127-255) are entered in the **Short Name** and **Description** fields, ITIM will not display the endpoint name in the **Level** drop-down field. Additionally, if non-standard ASCII characters are entered, you will not be able to manage OTC Endpoints (select endpoints) in OTCnet Offline. Instead an error message appears asking that Customer Support is contacted.

Figure 3. Step 2 of 3: Update OTC Endpoint Information

The screenshot shows a web application interface titled "Modify Organization" with a sub-header "Step 2 of 3: Update OTC Endpoint Information". The page contains the following elements:

- Organization Information:**
  - Organization Hierarchy: TTTL - Training Team Top Level -00002099
  - OTC Endpoint: TTTL - Training Team Top Level -00002099
  - \* Denotes required fields.
- General Section:**
  - Short Name\*: TTTL
  - Description\*: Training Team Top Level
- Checkboxes:**
  - Check Cashing Policies
  - Data Privacy
  - Add lower levels to this OTC Endpoint
- Table for Lower Levels:**

Short Name*	Description*
LL1	Lower Level 1
LL2	Lower Level 2
LL3	Lower Level 3
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
- Buttons:**
  - Add More Lines
  - Navigation: < Previous, Cancel, Next >

- The *Step 3 of 3: Review OTC Endpoint(s)* page appears. Review and verify the OTC Endpoint details and click **Submit**.

Figure 4. Step 3 of 3: Review OTC Endpoint

**Modify Organization**
1 2 3

**Step 3 of 3: Review OTC Endpoint**

Verify the following information is correct and click **Submit** to modify the OTC Endpoint.

**Organization Hierarchy:** TTTL - Training Team Top Level -00002099  
**OTC Endpoint:** TTTL - Training Team Top Level -00002099

[Edit]

General	
Short Name	TTTL
Description	Training Team Top Level -00002099
OTC Endpoint	No

**Check Cashing Policies**

Assigned Return Reason Code Filters	Delete
01--Insufficient Funds	No
02--Account Closed	No
10--Customer Advises Not Authed	No

Agency Assigned Suspensions		
Days	Occurrence	Delete
30	1	No
60	2	No
90	3	No

Agency Verification Policies	
Include Retired Check Only	Yes
Include Expired	No

Data Privacy - Agency Available Attributes	
Attribute Name	Blocked
Account	true
Short Name	false
Note	true
Bank Routing Number	true
User Defined Field 1	true

Lower Levels	
Short Name	Description
LL1	Lower Level 1
LL2	Lower Level 2
LL3	Lower Level 3

Special Designation	
Associated ALC	GWA Reporter
00002099	

< Previous
Cancel
Submit

4. A Confirmation page appears showing the **OTC Endpoint** has been modified (added lower level OTC Endpoint).

Figure 5. Modify Organization Confirmation

### Modify Organization

Confirmation

The following OTC Endpoint has been modified.

**Organization Hierarchy:** TTTL - Training Team Top Level -00002099  
**OTC Endpoint:** TTTL - Training Team Top Level -00002099

General	
Short Name	TTTL
Description	Training Team Top Level -00002099
OTC Endpoint	No

Check Cashing Policies	
<b>Assigned Return Reason Code Filters</b>	<b>Delete</b>
01--Insufficient Funds	No
02--Account Closed	No
10--Customer Advises Not Authed	No

Agency Assigned Suspensions		
Days	Occurrence	Delete
30	1	No
60	2	No
90	3	No

Agency Verification Policies	
Include Retired Check Only	Yes
Include Expired	No

Data Privacy - Agency Available Attributes	
Attribute Name	Blocked
Account	true
Short Name	false
Note	true
Bank Routing Number	true
User Defined Field 1	true

Lower Levels	
Short Name	Description
LL1	Lower Level 1
LL2	Lower Level 2
LL3	Lower Level 3

Special Designation	
<b>Associated ALC</b>	<b>GWA Reporter</b>
00002099	

[Return Home](#)

## Add an OTC Endpoint from the Highest Level of an Organizational Hierarchy

To add an OTC Endpoint from the highest level of an organization hierarchy, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears.
3. Select your OTC Endpoint that appears in the list. The *Step 2 of 3: Update OTC Endpoint Information* page appears.
4. Check the **Add lower levels to this OTC Endpoint**
5. Enter the Lower Level OTC Endpoint's **Short Name(s)** and **Description(s)** and click **Next**.



### Application Tip

**Short name(s)** are user-defined text describing an organization. Short names must be unique within an organization hierarchy (e.g. Short name: IRS; Description: Internal Revenue Service).



### Application Tip

Special characters are accepted in **Short Name** and **Description** fields; however, only use standard American Standard Code for Information Interchange (ASCII) characters. The standard ASCII range is 32-126. If non-standard ASCII characters (0-31, 127-255) are entered in the **Short Name** and **Description** fields, ITIM will not display the endpoint name in the **Level** drop-down field. Additionally, if non-standard ASCII characters are entered, you will not be able to manage OTC Endpoints (select endpoints) in OTCnet Offline. Instead an error message appears asking that Customer Support is contacted.

6. In the *Step 3 of 3: Review OTC Endpoint(s)* page, review and verify the OTC Endpoint details and click **Submit**. A confirmation page appears showing the OTC Endpoint has been modified (added lower level OTC Endpoint).



### Application Tip

Additional buttons on the page help you perform other tasks:

- Click **Add More Lines** to insert additional rows to the table, to input additional Agency accounting codes.
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to return to the OTCnet Home Page.

## Topic 3. Managing the Organizational Hierarchy

Once you have performed initial setup of your organizational hierarchy, you can add to it and adjust it to suit your needs by performing the following tasks:

- Add a lower level to existing an OTC Endpoint
- Modify OTC Endpoint Information
- Delete an OTC Endpoint
- View an OTC Endpoint

Note: Before a user can be provisioned to a deposit processing OTC Endpoint (TGA) in ITIM, ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box is checked.

Before a user can be provisioned to a check capture OTC Endpoint (**CHK**) in ITIM, ensure the **Enable Check Capture** check box is checked.

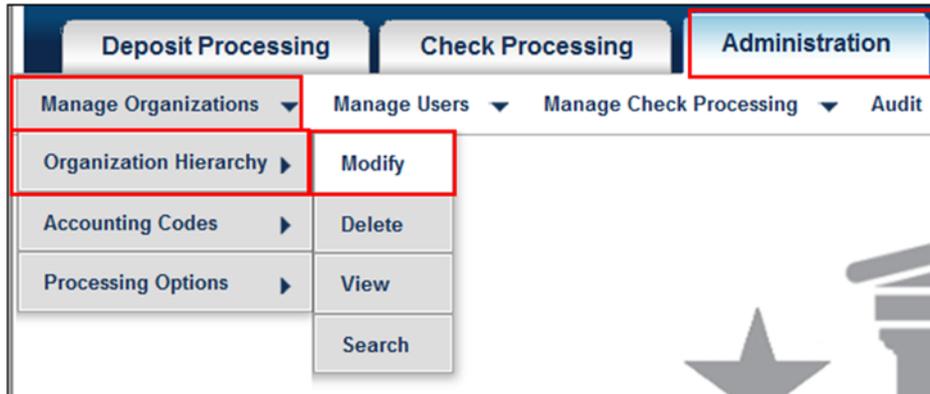
If the Allow OTC Endpoint to create deposits for over-the-counter collections check box and/or the Enable Check Capture check box is not checked when modifying OTC Endpoint Information, you will not be able to provision the user to the appropriate OTCnet Endpoint. Refer to the Chapter 4: *Managing Your Organization Hierarchy* user guide for more details about managing your organization's hierarchy.

## Add a Lower Level to an Existing OTC Endpoint

You can add as many levels to your Agency hierarchy as your organization needs, each with as many OTC Endpoints as needed.

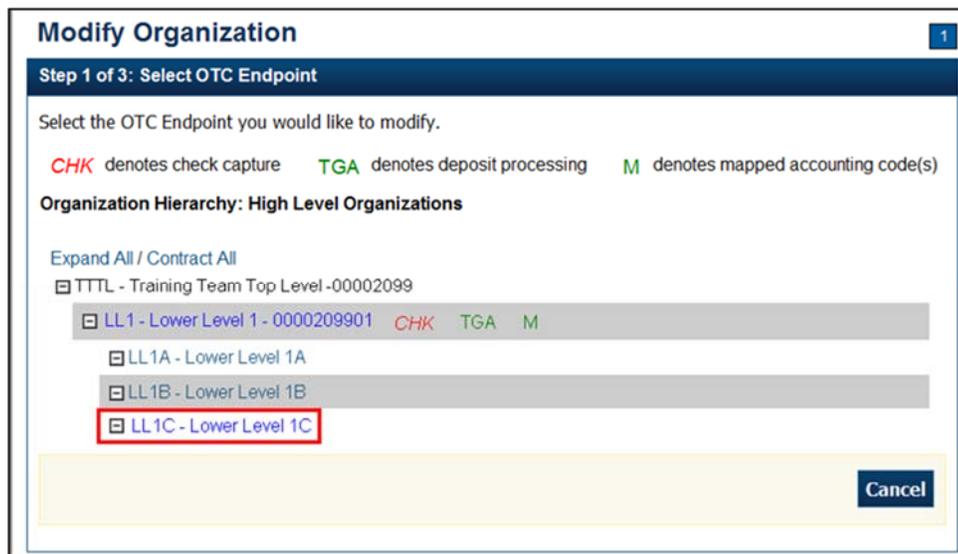
1. Click the Administration tab. From the Manage Organization menu, select Organization Hierarchy and click Modify.

Figure 6. Select Manage Organizations>Organization Hierarchy>Modify



2. The *Step 1 of 3: Select an OTC Endpoint* page appears. Select your OTC Endpoint that appears in the list.

Figure 7. Step 1 of 3: Select OTC Endpoint



- 3. The *Step 2 of 3: Update OTC Endpoint Information* page appears.

Check the **Add lower levels to this OTC Endpoint** check box to add lower levels to the existing endpoint. **Short Name** and **Description** text boxes appear. Enter **Short Name** and **Description** fields for all the **OTC Endpoints** in the next lower level. When you have finished, click **Next**.

Figure 8: Step 2 of 3: Update OTC Endpoint Information

**Modify Organization** 1 2

**Step 2 of 3: Update OTC Endpoint Information**

Update the OTC Endpoint information.

Organization Hierarchy: TTTL - Training Team Top Level -00002099  
OTC Endpoint: LL1C - Lower Level 1C

\* Denotes required fields.

**General**

Short Name\*  
LL1C

Description\*  
Lower Level 1C

Allow OTC Endpoint to create deposits for over-the-counter collections

Check Cashing Policies

Data Privacy

Enable Check Capture

Add lower levels to this OTC Endpoint

Short Name*	Description*
LL1C1	Lower Level 1C1

**Add More Lines**

Advanced Administration

[< Previous](#) [Cancel](#) [Next >](#)

Last modified by dpac0001 on 09/02/2014

- The *Step 3 of 3: Review OTC Endpoint* appears. Verify the OTC Endpoint details are correct and click Submit. A confirmation page appears showing the OTC Endpoint has been modified (added). Verify the OTC Endpoint details are correct and click Submit. A confirmation page appears showing the OTC Endpoint has been modified.

Figure 9. Step 3 of 3: Review OTC Endpoint

**Modify Organization**
1 2 3

**Step 3 of 3: Review OTC Endpoint**

Verify the following information is correct and click **Submit** to modify the OTC Endpoint.

**Organization Hierarchy:** TTTL - Training Team Top Level -00002099  
**OTC Endpoint:** LL1C - Lower Level 1C

[Edit]

General	
Short Name	LL1C
Description	Lower Level 1C
OTC Endpoint ( TGA )	No
OTC Endpoint ( CHK )	No

**Check Cashing Policies**

Assigned Return Reason Code Filters	Delete
01--Insufficient Funds	No
02--Account Closed	No
10--Customer Advises Not Authed	No

**Agency Assigned Suspensions**

Days	Occurrence	Delete
30	1	No
60	2	No
90	3	No

**Agency Verification Policies**

Include Retired Check Only	Yes
Include Expired	No

**Data Privacy - Agency Available Attributes**

Attribute Name	Blocked
Account	true
Short Name	false
Note	true
Bank Routing Number	true
User Defined Field 1	true

**Lower Levels**

Short Name	Description
LL1C1	Lower Level 1C1

< Previous
Cancel
Submit

## Add a Lower Level to an OTC Endpoint

To add a lower level to an OTC Endpoint, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organization** menu, select **Organization Hierarchy** and click **Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears.
3. Select your OTC Endpoint that appears in the list. The *Step 2 of 3: Update OTC Endpoint Information* page appears.
4. Check the **Add lower levels to this OTC Endpoint**, to add lower level to the existing endpoint. **Short Name** and **Description** text boxes appear. The *Step 3 of 3: Review OTC Endpoint* appears.
5. Verify the OTC Endpoint details are correct and click **Submit**. A confirmation page appears showing the OTC Endpoint has been modified.



### Application Tip

Additional buttons on the page help you perform other tasks:

- Click **Add More Lines** to insert additional rows to the table, to input additional Agency accounting codes.
- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Previous** to return to the previous page.
- Click **Return Home** to return to the OTCnet Home Page.



### Application Tip

It is also important to note the following:

- Before a user can be provisioned to a deposit processing OTC Endpoint (**TGA**) in ITIM, ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box is checked.
- Before a user can be provisioned to a check capture OTC Endpoint (**CHK**) in ITIM, ensure the **Enable Check Capture** check box is checked.
- If the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box and/or the **Enable Check Capture** check box is not checked when modifying OTC Endpoint Information, you will not be able to provision the user to the appropriate OTCnet Endpoint. Refer to the Chapter 4: *Managing Your Organization Hierarchy* user guide for more details about managing your organization's hierarchy.

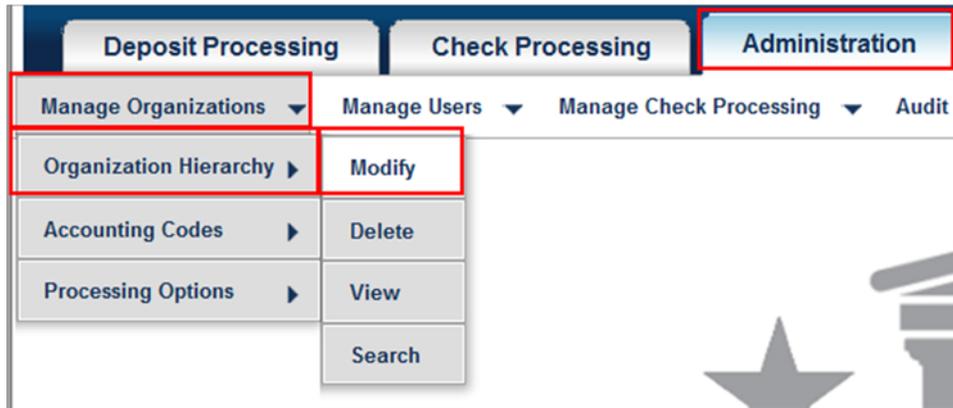
## Modify OTC Endpoint Information

You can modify the **Short Name** or **Description** of an existing **OTC Endpoint**, enable the **OTC Endpoint** to create deposits or capture checks, or add a lower level to the **OTC Endpoint**.

Note: To modify endpoint information settings for an OTC Endpoint that is both **TGA** and **CHK**, the user must have both **Accounting Specialist** and **Check Capture Administrator** privileges.

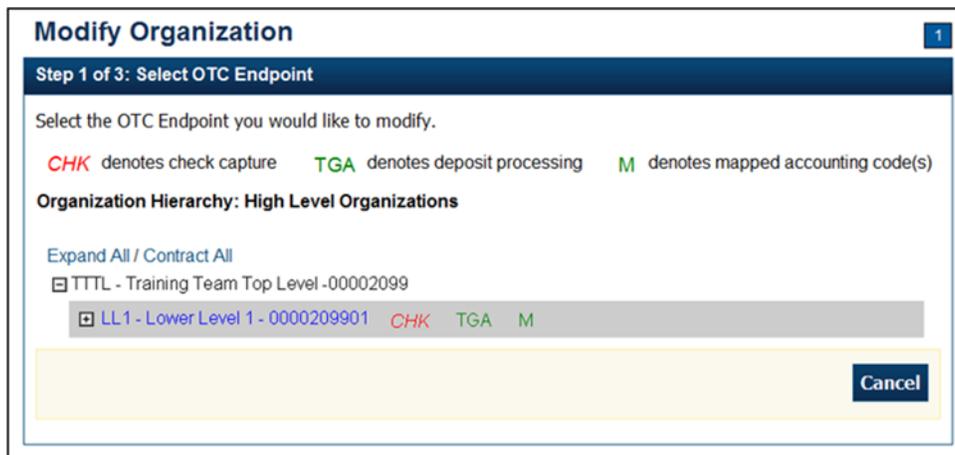
1. Click the **Administration** tab. From the **Manage Organizations** menu, select **Organization Hierarchy** and click **Modify**.

Figure 10. Select Manage Organizations>Organization Hierarchy>Modify



2. The *Step 1 of 3: Select an OTC Endpoint* page appears. Select your organization's endpoint that you want to modify that appears in the list.

Figure 11. Select 1 of 3: Select OTC Endpoint



To modify endpoint information settings for an OTC Endpoint that is both **TGA** and **CHK**, the user must have both **Accounting Specialist** and **Check Capture Administrator** privileges.

3. Select the OTC Endpoint you want to modify from the list that appears. The *Step 2 of 3: Update OTC Endpoint Information* page appears.

Figure 12. Step 2 of 3: Update OTC Endpoint Information - Collapsed

The screenshot shows a web application window titled "Modify Organization" with a sub-header "Step 2 of 3: Update OTC Endpoint Information". The page contains the following elements:

- Instruction: "Update the OTC Endpoint information."
- Organization Hierarchy: TTTL - Training Team Top Level -00002099
- OTC Endpoint: LL1 - Lower Level 1 - 0000209901
- Note: "\* Denotes required fields."
- General** section with two text input fields:
  - Short Name\* (containing "LL1")
  - Description\* (containing "Lower Level 1")
- A list of checkboxes, all of which are checked:
  - Allow OTC Endpoint to create deposits for over-the-counter collections
  - Check Cashing Policies
  - Data Privacy
  - Enable Check Capture
  - Add lower levels to this OTC Endpoint
  - Advanced Administration
  - Special Designation
- Navigation buttons: "<< Previous", "Cancel", and "Next >>".
- Footer text: "Last modified by dpac0001 on 09/02/2014".

#### 4. Update the **OTC Endpoint information**:

- Update **General** by entering the **Short Name** and **Description** details.

A short name must be entered to identify the **OTC Endpoint** that is being updated. If an **OTC Endpoint** exists, the data displayed in the text is available for update.

**Note:** Special characters are accepted in **Short Name** and **Description** fields; however, only use standard American Standard Code for Information Interchange (ASCII) characters. The standard ASCII range is 32-126. If non-standard ASCII characters (0-31, 127-255) are entered in the **Short Name** and **Description** fields, ITIM will not display the endpoint name in the **Level** drop-down field. Additionally, if non-standard ASCII characters are entered, you will not be able to manage OTC Endpoints (select endpoints) in OTCnet Offline. Instead an error message appears asking that Customer Support is contacted.

- To allow the **OTC Endpoint** to create deposits, you can:
  - Click the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box.

**Note:** Before a user can be provisioned to a deposit processing OTC Endpoint (**TGA**) in ITIM, ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box is checked.

- Update **Agency Location Code** by entering the ALC
- Update **Address** by entering the address details
- Update **Financial Institution Relationship(s)** by
  - Selecting both the **Financial Institution** and **RTN (Routing Transit Number)**
  - Entering the **DDA (Demand Deposit Account)** and **Retype DDA** and click **Add**

To delete the Financial Institution relationship, click the **Delete** checkbox(es) under the **Delete** column.

**Figure 13. Allow OTC Endpoint to create deposits for over-the-counter collections**

Allow OTC Endpoint to create deposits for over-the-counter collections

Agency Location Code

Address

Financial Institution Relationship(s)

Financial Institution  RTN

DDA

Financial Institution	RTN	DDA	Delete
Bank of America	021867400	234567	<input type="checkbox"/>

Check Cashing Policies  
 Data Privacy  
 Enable Check Capture  
 Add lower levels to this OTC Endpoint  
 Advanced Administration  
 Special Designation

- To specify the check cashing policies of the **OTC Endpoint**, you can:
  - Click the **Check Cashing Policies** check box.

If check box is checked and grayed out, it indicates that this OTC Endpoint is either inheriting the policies from the parent Organization or its own information has already been defined and the user does not have the privilege to make modifications. Only a CCA has privileges to modify the check cashing policies.

- Add **Default Reason Codes** by,
  - Selecting a default reason code and then clicking **Add**, *optional*. Repeat steps as necessary

The **Default Reason Codes** allows you to specify the return reason codes relevant to your Agency's program. These codes represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

Figure 14. Check Cashing Policies

### Modify Organization 1 2

Step 2 of 3: Update OTC Endpoint Information

Update the OTC Endpoint information.

Organization Hierarchy: TTTL - Training Team Top Level -00002099  
 OTC Endpoint: LL1 - Lower Level 1 - 0000209901

\* Denotes required fields.

**General**

Short Name\*

Description\*

Allow OTC Endpoint to create deposits for over-the-counter collections

Check Cashing Policies [Edit Policies](#)

**Default Reason Codes**

Select...

- 03--No Account / Unable to Locate
- 04--Invalid Account Number
- 05--Reserved
- 06--Returned per ODFI Request
- 07--Auth Revoked by Customer
- 08--Payment Stopped
- 12--Branch Sold To Another UH1
- 13--RDFI Not Qualified to Participate
- 14--Representative Payee Deceased or Unable to Continue in that Capacity

Assigned Return Reason Code Filters	Delete
01--Insufficient Funds	<input type="button" value="Delete"/>
02--Account Closed	<input type="button" value="Delete"/>
10--Customer Advises Not Authed	<input type="button" value="Delete"/>

**Agency Assigned Suspensions**

Days	Occurrence	Delete
<input type="text" value="30"/>	<input type="text" value="1"/>	<input type="button" value="Delete"/>
<input type="text" value="60"/>	<input type="text" value="2"/>	<input type="button" value="Delete"/>
<input type="text" value="90"/>	<input type="text" value="3"/>	<input type="button" value="Delete"/>

**Agency Verification Policies**

Include Represented and Retired Check

Include Retired Check Only

Include Expired

Data Privacy

Enable Check Capture

Add lower levels to this OTC Endpoint

Advanced Administration

Special Designation

- Delete **Assigned Return Reason Code Filters** by
  - Checking **Delete** box(es) under the **Delete** column, *optional*
- Update **Agency Assigned Suspensions** by, *optional*
  - Entering the number of **Days**
  - Entering the **Occurrence** number
  - Selecting **Agency Assigned Suspensions** you want to **Delete** by checking the boxes under the **Delete** column, *if applicable*

To update the **Agency Assigned Suspensions**, select the **Default Reason Code** it will apply, by clicking in the box provided.

The **Agency Assigned Suspensions - Days** allows you to specify the number of calendar days than an individual is unable to cash a check or pay by check and is calculated from the date the system is aware of the return file. The **Agency Assigned Suspensions - Occurrence** allows you to specify the suspension level.

- Update **Agency Verification Policy** by, *optional*
  - Clicking **Include Represented and Retired Check** or **Include Retired Check Only**
  - Checking **Include Expired**
  - Entering the number of **Expired Days**
  - Checking **Agency Verification Policies—Delete**

**Include Represented and Retired Check** or **Include Retired Check Only** allows you to specify whether the verification record is generated on Represented or Retired items. **Include Retired Check Only** allows you to specify whether the verification record is generated on only Retired items.

**Include Expired** indicates whether previous suspensions that have since expired are counted when accessing the suspension level to assign when the individual writes a check. **Agency Verification Policies—Delete** allows you to remove the check cashing policy for your OTC Endpoint. Once the check cashing policy is removed for the OTC Endpoint, the higher level organization's check cashing policy will be automatically assigned to your OTC Endpoint.

To specify the data privacy of the **OTC Endpoint**, you can:

- Click the **Data Privacy** check box.
- Update **Data Privacy** by,
- Selecting the **Data Privacy – Agency Available Attributes** you want to block or unblock by checking the boxes under the **Blocked** column.

**Data Privacy** defines the extent that users from other locations are able to view verification records from other locations. By default, account, user defined field 1, bank routing number, and note are checked as **Blocked**. If check box is checked, it indicates that the OTC Endpoint information has been defined. For maximum data privacy, all fields would be marked as blocked, except for **Short Name**. However, there may be situations where it is acceptable for outside users to view certain fields of verification records.

Figure 15. Data Privacy Available Attributes

**Modify Organization** 1 2

**Step 2 of 3: Update OTC Endpoint Information**

Update the OTC Endpoint information.

Organization Hierarchy: TTTL - Training Team Top Level -00002099  
 OTC Endpoint: LL1 - Lower Level 1 - 0000209901

\* Denotes required fields.

**General**

Short Name\*

Description\*

Allow OTC Endpoint to create deposits for over-the-counter collections

Check Cashing Policies

**Data Privacy**

Data Privacy - Agency Available Attributes	
Attribute Name	Blocked
Account	<input checked="" type="checkbox"/>
Short Name	<input type="checkbox"/>
Note	<input checked="" type="checkbox"/>
Bank Routing Number	<input checked="" type="checkbox"/>
User Defined Field 1	<input checked="" type="checkbox"/>

Enable Check Capture

Add lower levels to this OTC Endpoint

Advanced Administration

Special Designation

To enable the **OTC Endpoint** to capture checks, you can:

- Click the **Enable Check Capture** check box
- Update **Enable Check Capture** by,
- Entering the (Agency Location Code) **ALC+2**

The ALC+2 is required for initial setup. Once the ALC+2 is entered it cannot be updated.

- Update **OTC Verification Group** by,
  - Entering the **Short Name (Starting With)** and clicking **Search**
  - Clicking **Yes** or **No** for **Queue Interface**
  - Selecting the **OTC Endpoint** you want to add by checking the box under the **Assign** column and then clicking **Add Agency Group**

By default, the OTC Endpoint **Short Name** displays. You can add additional OTC Endpoints to the OTC Verification Group by clicking the **Clear** button to clear the Short Name and then entering a **Short Name** and clicking **Search**.

Designating an OTC Verification Group allows for verification data to be shared among non-related OTC Endpoints. For example, Lower Level1 and Lower Level 2 are siblings under the High-level organization, Training Team Top Level). Since there is no parent-child relationship between these two OTC Endpoints, users from one OTC Endpoint are isolated from the other's Verification data. By adding both unrelated locations to an OTC Verification Group, they are able to share information.

The Queue Interface is used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge.

- Under **OTC Verification Group, Current Agency Site**,
  - Select the **OTC Endpoint** you want to delete by checking the box under the **Delete** column.

Figure 16. Enable Check Capture

### Modify Organization 1 2

Step 2 of 3: Update OTC Endpoint Information

Update the OTC Endpoint information.

**Organization Hierarchy:** TTTL - Training Team Top Level -00002099  
**OTC Endpoint:** LL1 - Lower Level 1 - 0000209901

\* Denotes required fields.

**General**

Short Name\*

Description\*

▶  Allow OTC Endpoint to create deposits for over-the-counter collections

▶  Check Cashing Policies

▶  Data Privacy

▼  Enable Check Capture

ALC+2\*

Queue Interface  
 Yes  No

**OTC Verification Group**

Short Name (Starting With)

OTC Verification Group			
Current Agency Site			
Lower Level 1			
Short Name	Description	ALC+2	Delete
LL1	Lower Level 1	0000209901	<input type="checkbox"/>

▶  Add lower levels to this OTC Endpoint

▶ Advanced Administration

▶ Special Designation

To add lower level endpoints, you can:

- Click the **Add lower levels to this OTC Endpoint** check box.
- Update **Add lower levels to this OTC Endpoint** by,
  - Entering the **Short Name** and **Description**.
  - Click **Add More Lines** to add additional lower levels to this **OTC Endpoint**

A short name must be entered to identify the OTC Endpoint that is being updated. If an **OTC Endpoint** exists, the data displayed in the text is available for update.

Check the **Add lower levels to this OTC Endpoint**, to add lower level to the existing endpoint.

Figure 17. Add Lower Level to this OTC Endpoint

**Modify Organization** 1 2

**Step 2 of 3: Update OTC Endpoint Information**

Update the OTC Endpoint information.

Organization Hierarchy: TTTL - Training Team Top Level -00002099  
OTC Endpoint: LL1 - Lower Level 1 - 0000209901

\* Denotes required fields.

**General**

Short Name\*  
LL1

Description\*  
Lower Level 1

Allow OTC Endpoint to create deposits for over-the-counter collections

Check Cashing Policies

Data Privacy

Enable Check Capture

Add lower levels to this OTC Endpoint

Short Name*	Description*
LL1A	Lower Level 1A
LL1B	Lower Level 1B
LL1C	Lower Level 1C

**Add More Lines**

Advanced Administration

Special Designation

To specify the advanced administration, you can:

- Click **Advanced Administration**.
- Specify **Advanced Administration** by,
  - Clicking **Yes** or **No** for **Debit Gateway**

You can only specify the **Advanced Administration** information if the OTC Endpoint is allowed to capture checks.

**Yes** indicates that Debit Gateway setup is completed and the OTC Endpoint is now ready for performing check capture activities. **No** indicates that Debit Gateway setup is not completed and the OTC Endpoint is not ready for performing check capture activities. Viewing **Report Only Summary Level Data to CIR** check box

The **Report Only Summary Level Data to CIR Information** is read-only and only an HLAS can specify the information.

A checked box indicates that detailed level data will not be transmitted to Collections Information Repository (CIR) and only summary data will be reported to CIR for all the check transactions that are processed under this OTC Endpoint (CHK) or ALC+2. This is mainly for the OTC Endpoints that will be used to process tax data. An unchecked box indicates that detailed level data will be transmitted to CIR.

- View or specify **Summary Level Classification**

The **Summary Level Classification** is read-only and only an HLAS, Check Capture Supervisor, and Check Lead Operator can specify the information.

A checked box indicates that the Check Capture Operators cannot classify individual checks. Instead the classification of the batch will occur after all the checks have been scanned. An unchecked box indicates the Check Capture Operator will have to classify checks at the item level.

- View or specify **Agency Comments**

An HLAS, CCS or CCLO can add, edit, or remove Agency comments.

The **Specify Agency Comments** field allows agencies to add, edit, or remove Agency Comments which are sent to CIR as part of the check transmission.

Figure 18. Advanced Administration

Location: Home > Administration > Manage Organizations > Organization Hierarchy > Modify

### Modify Organization

1 2

#### Step 2 of 3: Update OTC Endpoint Information

Update the OTC Endpoint information.

Organization Hierarchy: TTTL - Training Team Top Level -00002099  
OTC Endpoint: LL1 - Lower Level 1 - 0000209901

\* Denotes required fields.

**General**

Short Name\*  
LL1

Description\*  
Lower Level 1

Allow OTC Endpoint to create deposits for over-the-counter collections

Check Cashing Policies

Data Privacy

Enable Check Capture

Add lower levels to this OTC Endpoint

**Advanced Administration**

Debit Gateway  
 Yes  No

Report Only Summary Level Data to CIR

Summary Level Classification

Specify Agency Comments:

**Special Designation**

If **Special Designation** is selected, a user is able to view which ALCs are CARS/GWA Reporters.

The CARS/GWA Reporter special designation information is read-only and displays for TGA and CHK endpoints. Only an HLAS can specify the **Special Designation information**.

**Yes** indicates that the OTC Endpoint *is* associated with an ALC that has been designated as a CARS/GWA Reporter. **No** indicates that the OTC Endpoint *is not* associated with an ALC that has been designated as a CARS/GWA Reporter. If an ALC is identified as a CARS/GWA Reporter, entering the Accounting Code information is mandatory. This will apply to all ALC+2 within the hierarchy of the ALC.

5. Click **Next** after completing the OTC Endpoint Information page.

Figure 19. Special Designation

**Modify Organization** 1 2

**Step 2 of 3: Update OTC Endpoint Information**

Update the OTC Endpoint information.

Organization Hierarchy: TTTL - Training Team Top Level -00002099  
 OTC Endpoint: LL1 - Lower Level 1 - 0000209901

\* Denotes required fields.

**General**

Short Name\*

Description\*

Allow OTC Endpoint to create deposits for over-the-counter collections  
 Check Cashing Policies  
 Data Privacy  
 Enable Check Capture  
 Add lower levels to this OTC Endpoint  
 Advanced Administration

▾ Special Designation

- The *Step 3 of 3: Review OTC Endpoint* page appears. Verify the OTC Endpoint details are correct and click Submit.

Figure 20. Step 3 of 3: Review OTC Endpoint

**Modify Organization** 1 2 3

**Step 3 of 3: Review OTC Endpoint**

Verify the following information is correct and click **Submit** to modify the OTC Endpoint.

Organization Hierarchy: TTTL - Training Team Top Level .00002099  
 OTC Endpoint: LL1 - Lower Level 1 - 0000209901

[Edit]

General	
Short Name	LL1
Description	Lower Level 1
OTC Endpoint ( TGA )	Yes
ALC	00002099
OTC Endpoint ( CHK )	Yes

Address	
Address Line 1	111 Train St
Address Line 2	
City:	McLean
State / Province	VA
Country	US
Postal Code	22102
Phone Number	

Financial Institution Relations hip(s) Active Financial Institution Re lationship(s)		
Financial Institution	RTN	DDA
Bank of America	021867400	234567

Check Cashing Policies	
Assigned Return Reason Code Filters	Delete
01--Insufficient Funds	No
02--Account Closed	No
10--Customer Advises Not Authed	No

Check Capture	
ALC+2	0000209901
Queue Interface	No

OTC Verification Group Current Agency Site Lower Level 1			
Short Name	Description	ALC+2	Delete
LL1	Lower Level 1	0000209901	No

Lower Levels	
Short Name	Description
LL1A	Lower Level 1A
LL1B	Lower Level 1B
LL1C	Lower Level 1C

Advanced Administration	
Report Only Summary Level Data to CIR	No
Summary Level Classification	Yes
Specify Agency Comments	<div style="border: 1px solid gray; height: 40px;"></div>

Special Designation	
GWA Reporter ALC	No

7. A Confirmation page appears showing the OTC Endpoint has been modified.

Figure 21. Modify Organization Confirmation

### Modify Organization

**Confirmation**

The following OTC Endpoint has been modified.

**Organization Hierarchy:** TTTL - Training Team Top Level -00002099  
**OTC Endpoint:** LL1 - Lower Level 1 - 0000209901

General	
Short Name	LL1
Description	Lower
OTC Endpoint ( TGA )	Yes
ALC	0000209901
OTC Endpoint ( CHK )	Yes

Address	
Address Line 1	111 Tr
Address Line 2	
City:	McLea
State / Province	VA
Country	US
Postal Code	22102
Phone Number	

Financial Institution Relationship(s)	
Active Financial Institution Relationship(s)	
<b>Financial Institution</b>	<b>R</b>
Bank of America	0218

Check Cashing Policies	
Include Retired Check Only	Yes
Include Expired	No

Check Capture	
ALC+2	0000209901
Queue Interface	No

OTC Verification Group			
Current Agency Site			
Lower Level 1			
Short Name	Description	ALC+2	Delete
LL1	Lower Level 1	0000209901	No

Lower Levels	
Short Name	Description
LL1A	Lower Level 1A
LL1B	Lower Level 1B
LL1C	Lower Level 1C

Advanced Administration	
Report Only Summary Level Data to CIR	No
Summary Level Classification	Yes
Specify Agency Comments	<div style="border: 1px solid gray; height: 30px; width: 100%;"></div>

Special Designation	
GWA Reporter ALC	No

[Return Home](#)



## Modify OTC Endpoint Information

To modify OTC Endpoint information, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Organization Hierarchy** and click **Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears.



### Application Tip

To modify endpoint information settings for an OTC Endpoint that is both **TGA** and **CHK**, the user must have both Accounting Specialist and Check Capture Administrator privileges.

3. Select your OTC Endpoint that appears in the list. The *Step 2 of 3: Update OTC Endpoint Information* page appears.
4. Update the OTC Endpoint Information.

To update the general details of an OTC Endpoint, you can:

Update **General** by,

- Entering the updated OTC Endpoint's **Short Name** and **Description** details.



### Application Tip

A short name must be entered to identify the OTC Endpoint that is being updated. If an OTC Endpoint exists, the data displayed in the text is available for update.



### Application Tip

Special characters are accepted in **Short Name** and **Description** fields; however, only use standard American Standard Code for Information Interchange (ASCII) characters. The standard ASCII range is 32-126. If non-standard ASCII characters (0-31, 127-255) are entered in the **Short Name** and **Description** fields, ITIM will not display the endpoint name in the Level drop-down field. Additionally, if non-standard ASCII characters are entered, you will not be able to manage OTC Endpoints (select endpoints) in OTCnet Offline. Instead an error message appears asking that Customer Support is contacted.

To allow the OTC Endpoint to create deposits, you can:

- Click the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box.



#### Application Tip

Before a user can be provisioned to a deposit processing OTC Endpoint (TGA) in ITIM, ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** check box is checked.

- Update **Agency Location Code** by
  - Entering the **ALC**
- Update **Address** by
  - Entering the address details
- Update **Financial Institution Relationship(s)** by
  - Selecting both the **Financial Institution** and the associated **RTN (Routing Transit Number)**
  - Entering the **DDA (Demand Deposit Account)** and **Retype DDA** and click **Add**.



#### Application Tip

To delete the Financial Institution relationship, click the **Delete** checkbox(es) under the **Delete** column.

To specify the check cashing policies of the OTC Endpoint, you can:

- Click the **Check Cashing Policies** check box.



#### Application Tip

If check box is checked and grayed out, it indicates that this OTC Endpoint is either inheriting the policies from the parent Organization or its own information has already been defined and the user does not have the privilege to make modifications. Only a CCA has privileges to modify the check cashing policies.

- Add **Default Reason Codes** by,
  - Selecting a default reason code and then clicking **Add**, *optional*. Repeat steps as necessary
- Delete **Assigned Return Reason Code Filters** by
  - Checking **Delete** box(es) under the **Delete** column, *optional*



### Application Tip

The **Default Reason Codes** allows you to specify the return reason codes relevant to your agency's program. These codes represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

- Update **Agency Assigned Suspensions** by, *optional*
  - Entering the number of Days
  - Entering the **Occurrence** number
  - Selecting **Agency Assigned Suspensions** you want to **Delete** by checking the boxes under the **Delete** column, *if applicable*



### Application Tip

To update the **Agency Assigned Suspensions**, select the **Default Reason Code** it will apply, by clicking in the box provided.



### Application Tip

The **Agency Assigned Suspensions - Days** allows you to specify the number of calendar days than an individual is unable to cash a check or pay by check and is calculated from the date the system is aware of the return file. The **Agency Assigned Suspensions - Occurrence** allows you to specify the suspension level.

- Update **Agency Verification Policy** by, *optional*
  - Clicking **Include Represented and Retired Check or Include Retired Check Only**
  - Checking **Include Expired**
  - Entering the number of **Expired Days**
  - Checking **Agency Verification Policies—Delete**



### Application Tip

**Include Represented and Retired Check or Include Retired Check Only** allows you to specify whether the verification record is generated on Represented or Retired items. **Include Retired Check Only** allows you to specify whether the verification record is generated on only Retired items.

**Application Tip**

**Include Expired** indicates whether previous suspensions that have since expired are counted when accessing the suspension level to assign when the individual writes a check. **Agency Verification Policies—Delete** allows you to remove the check cashing policy for your OTC Endpoint. Once the check cashing policy is removed for the OTC Endpoint, the higher level organization's check cashing policy will be automatically assigned to your OTC Endpoint.

To specify the data privacy of the OTC Endpoint, you can:

- Click the **Data Privacy** check box.
- Update **Data Privacy** by,
- Selecting the **Data Privacy – Agency Available Attributes** you want to block or unblock by checking the boxes under the **Blocked** column.

**Application Tip**

By default, account, user defined field 1, bank routing number, and note are checked as **Blocked**.

To enable the OTC Endpoint to capture checks, you can:

- Click the **Enable Check Capture** check box.

**Application Tip**

Before a user can be provisioned to a check capture OTC Endpoint (CHK) in ITIM, ensure the **Enable Check Capture** check box is checked.

**Application Tip**

If check box is checked, it indicates that the OTC Endpoint information has been defined.

- Update **Enable Check Capture** by,
  - Entering the (Agency Location Code) **ALC+2**.

**Application Tip**

The ALC+2 is required for initial setup. Once the ALC+2 is entered it cannot be updated.

- Update **OTC Verification Group** by,
  - Entering the **Short Name (Starting With)** and clicking **Search**



#### Application Tip

By default, the OTC Endpoint **Short Name** displays. You can add additional OTC Endpoints to the OTC Verification Group by clicking the **Clear** button to clear the **Short Name** and then entering a Short Name, clicking **Search** and then clicking **Add Agency Group**.



#### Application Tip

Designating an OTC Verification Group allows for verification data to be shared among non-related OTC Endpoints. For example, Lower Level1 and Lower Level 2 are siblings under the High-level organization, Training Team Top Level. Since there is no parent-child relationship between these two OTC Endpoints, users from one OTC Endpoint are isolated from the other's Verification data. By adding both unrelated locations to an OTC Verification Group, they are able to share information.

- Clicking **Yes** or **No** for **Queue Interface**



#### Application Tip

The Queue Interface is used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge.

- Selecting the **OTC Endpoint** you want to add by checking the box under the **Assign** column and then clicking **Add Agency Group**
- Under **OTC Verification Group, Current Agency Site**,
  - Select the **OTC Endpoint** you want to delete by checking the box under the **Delete** column.

To add lower level endpoints, you can:

- Click the **Add lower levels to this OTC Endpoint** check box.
- Update **Add lower levels to this OTC Endpoint** by,
  - Entering the **Short Name** and **Description**.
  - Click **Add More Lines** to add additional lower levels to this OTC Endpoint

**Application Tip**

A short name must be entered to identify the OTC Endpoint that is being updated. If an OTC Endpoint exists, the data displayed in the text is available for update.

To specify the advanced administration, you can:

- Click **Advanced Administration**.
- Specify **Advanced Administration** by,
  - Clicking **Yes** or **No** for **Debit Gateway**

**Application Tip**

You can only specify the **Advanced Administration** information if the OTC Endpoint is allowed to capture checks.

**Application Tip**

**Yes** indicates that Debit Gateway setup is completed and the OTC Endpoint is now ready for performing check capture activities. **No** indicates that Debit Gateway setup is not completed and the OTC Endpoint is not ready for performing check capture activities.

- Viewing **Report Only Summary Level Data to CIR**

**Application Tip**

The **Report Only Summary Level Data to CIR Information** is read-only and only an HLAS can specify the information.

**Application Tip**

A checked box indicates that detailed level data will not be transmitted to Collections Information Repository (CIR) and only summary data will be reported to CIR for all the check transactions that are processed under this OTC Endpoint (CHK) or ALC+2. This is mainly for the OTC Endpoints that will be used to process tax data. An unchecked box indicates that detailed level data will be transmitted to CIR.

- Viewing **Summary Level Classification**

**Application Tip**

The **Summary Level Classification** is read-only and only a High Level Agency Support (HLAS), Check Capture Supervisor, and Check Lead Operator can specify the information.

**Application Tip**

A checked box indicates that Check Capture Lead Operators and Check Capture Operators cannot classify individual checks. Instead the classification of the batch will occur after all the checks have been scanned. An unchecked box indicates the Check Capture Operator will have to classify checks at the item level.

- Viewing or specifying **Agency Comments**

**Application Tip**

A Check Capture Lead Operator, Check Capture Supervisor, and HLAS can add, edit, or remove Agency comments **Agency Comments**. A Check Capture Administrator, Check Capture Operator, Agency Manager, and CIRA Viewer can view **Agency Comments**.

**Application Tip**

The **Specify Agency Comments** field allows agencies to add, edit, or remove Agency comments which are sent to CIR as part of the check transmission.

To view the special designation, you can:

- Click **Special Designation**



#### Application Tip

The CARS/GWA Reporter special designation information is read-only and displays for **TGA** and **CHK** endpoints. Only an HLAS can specify the **Special Designation** information.



#### Application Tip

**Yes** indicates that the OTC Endpoint *is* associated with an ALC that has been designated as a CARS/GWA Reporter. **No** indicates that the OTC Endpoint *is not* associated with an ALC that has been designated as a CARS/GWA Reporter.

5. Click **Next**. The *Step 3 of 3: Review OTC Endpoint* page appears.
6. Verify the information is correct and click **Submit**. Click **Edit**, if you need to modify the information entered and return to Step 4.
7. A *Confirmation* page appears showing the OTC Endpoint has been modified.



#### Application Tip

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

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

## Delete or Neutralize an OTC Endpoint

You can delete an **OTC Endpoint** as long as no deposits or check transactions have been made to that endpoint. You cannot delete an **OTC Endpoint** with deposits or check transactions because deleting the **OTC Endpoint** deletes all information associated with that **OTC Endpoint**. This would delete deposit information that impacts the reports you run in OTCnet.

You can neutralize an OTC Endpoint if deposits or check transactions have been created. Once the OTC Endpoint is neutralized, deposits or check transactions cannot be created from that OTC Endpoint; however, the information from previously created deposits or check transactions can be accessed in OTCnet reporting.

Additionally, to delete or neutralize an OTC Endpoint, all ITIM user accounts must be removed from the OTCnet Endpoint (Deposit Processing and Check Processing) and the Agency Form Data must be removed. To remove a user from an OTCnet Endpoint, refer to the *Administration: Chapter 3. Managing User Accounts, Topic 3. Creating, Assigning, and Editing an OTCnet Account* user guide. To remove the Agency Form Data, contact Customer Support at: [fiscalservice.otcchannel@citi.com](mailto:fiscalservice.otcchannel@citi.com).

To delete or neutralize an OTC Endpoint, complete the following steps:

1. Click the **Administration** tab. From the **Manage Organizations** menu, select **Organization Hierarchy** and click **Delete**.

Figure 22. Select Manage Organizations>Organization Hierarchy>Delete



- The *Step 1 of 2: Select the OTC Endpoint(s)* page appears. Select the **OTC Endpoint(s)** you would like to **Delete** or **Neutralize** and click **Next**.

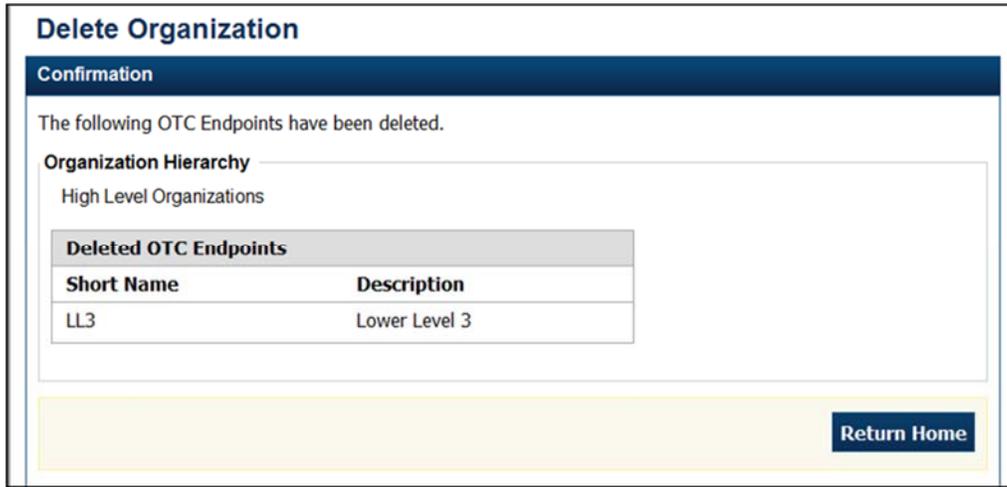
Figure 23. Step 1 of 2: Select the OTC Endpoint(s)

- The *Step 2 of 2: Review OTC Endpoint(s)* page appears. Verify the correct endpoint is marked for deletion/neutralization and click **Submit**.

Figure 24. Step 2 of 2: Review OTC Endpoint(s)

4. A *Confirmation* page appears confirming the **OTC Endpoint** has been deleted or neutralized.

Figure 25. Delete Organization Confirmation



## Delete or Neutralize an OTC Endpoint

To delete or neutralize an OTC Endpoint, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Organization Hierarchy** and click **Delete**. The *Step 1 of 2: Select the OTC Endpoint(s)* page appears.
3. Select the OTC Endpoints you would like to **Delete** and click **Next**.



### Application Tip

Consider the following information about deleting an OTC Endpoint:

- An OTC Endpoint can be deleted only if no deposits or check transactions have been made to that endpoint. You cannot delete an OTC Endpoint with deposits or check transactions because deleting the OTC Endpoint deletes all information associated with that OTC Endpoint. This would delete deposit and check transaction information that impacts the reports you run in OTCnet.
- Before you can delete an OTC Endpoint,
- All ITIM user accounts must be removed from the OTCnet Deposit Processing Endpoint and OTCnet Check Processing Endpoint.
- The Agency Form Data must be removed. To remove the Agency Form Data, contact the Customer Support at [fiscalservice.otcchannel@citi.com](mailto:fiscalservice.otcchannel@citi.com).

Or

Select the OTC Endpoints you would like to **Neutralize** and click **Next**



### Application Tip

Consider the following information about neutralizing an OTC Endpoint:

- An OTC Endpoint can be neutralized if deposits or check transactions have been created. Once neutralized, deposits or check transactions cannot be created from that OTC Endpoint; however, the information from previously created deposits or check transactions can be accessed in OTCnet reporting.
- Before you can neutralize an OTC Endpoint
  - All ITIM user accounts must be removed from the OTCnet Deposit Processing Endpoint and OTCnet Check Processing Endpoint.
  - The Agency Form Data must be removed. To remove the Agency Form Data, contact Customer Support at [fiscalservice.otcchannel@citi.com](mailto:fiscalservice.otcchannel@citi.com).

4. The *Step 2 of 2: Review OTC Endpoint(s)* page appears. Verify the correct endpoint is marked for deletion or neutralization and click **Submit**.
5. A Confirmation page appears confirming the OTC Endpoint has been deleted.



### Application Tip

Additional button on the page helps you perform other tasks:

- Click **Return Home** to return to the OTCnet Home Page.

## View OTC Endpoint

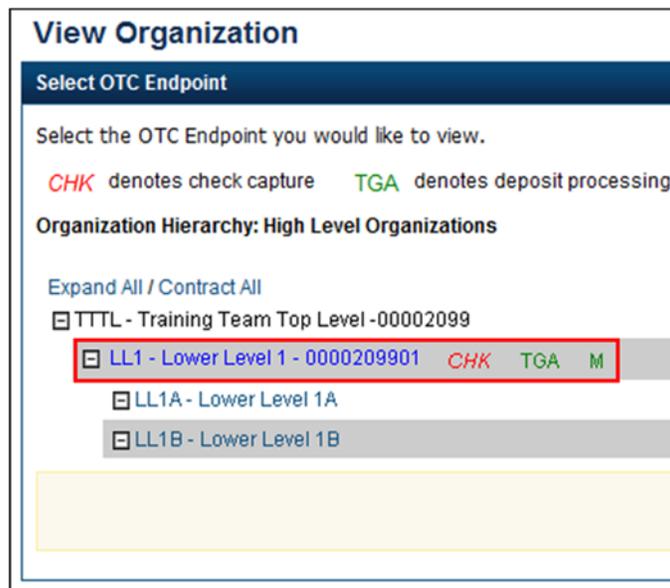
1. Click the Administration tab. From the **Manage Organizations** menu, select **Organization Hierarchy** and click **View**.

Figure 26. Select Manage Organizations> Organization Hierarchy>View



2. The *View Organization* page appears. Select the **OTC Endpoint** you would like to view.

Figure 27. Select the OTC Endpoint



- The *View OTC Endpoint* page appears. View OTC Endpoint Information.

Figure 28. View OTC Endpoint

### View Organization

View OTC Endpoint

The following is the current information for the OTC Endpoint.

**Organization Hierarchy:** TTTL - Training Team Top Level -00002099  
**OTC Endpoint:** LL1 - Lower Level 1 - 0000209901

General		
Short Name	LL1	
Description	Lower Level 1	
OTC Endpoint ( TGA )	Yes	
ALC	00002099	
OTC Endpoint ( CHK )	Yes	

Address		
Address Line 1	111 Train St	
Address Line 2		
City:	McLean	
State / Province	VA	
Country	US	
Postal Code	22102	
Phone Number		

Financial Institution Relationship(s) Active Financial Institution Relationship(s)		
Financial Institution	RTN	DD
Bank of America	021867400	2345

Check Cashing Policies	
Assigned Return Reason Code Filters	Delete
01--Insufficient Funds	No
02--Account Closed	No
10--Customer Advises Not Authed	No

Agency Assigned Suspensions		
Days	Occurrence	Delete
30	1	No
60	2	No
90	3	No

Agency Verification Policies	
Include Retired Check Only	Yes
Include Expired	No

Check Capture	
ALC+2	0000209901
Queue Interface	No

OTC Verification Group Current Agency Site Lower Level 1			
Short Name	Description	ALC+2	Delete
LL1	Lower Level 1	0000209901	No

Lower Levels	
Short Name	Description
LL1A	Lower Level 1A
LL1B	Lower Level 1B
LL1C	Lower Level 1C

Advanced Administration	
Report Only Summary Level Data to CIR	No
Summary Level Classification	Yes
Specify Agency Comments	<div style="border: 1px solid gray; height: 40px;"></div>

Special Designation	
GWA Reporter ALC	No

« Previous
Return Home



## View an OTC Endpoint

To view an OTC Endpoint, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Organization Hierarchy** and click View. The *View Organization* page appears.
3. Select the OTC Endpoint you would like to view. The *View OTC Endpoint* page appears.



### Application Tip

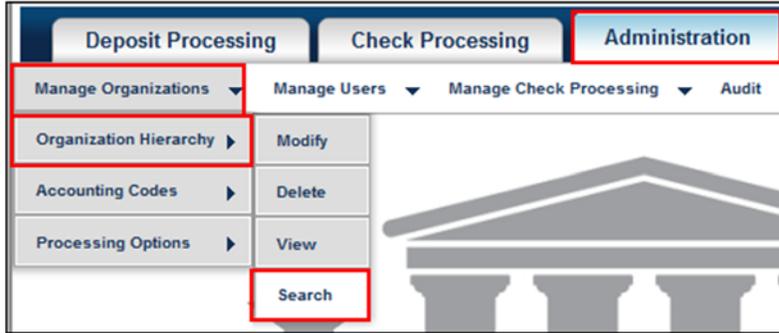
Additional button on the page helps you perform other tasks:

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

## Search OTC Endpoint

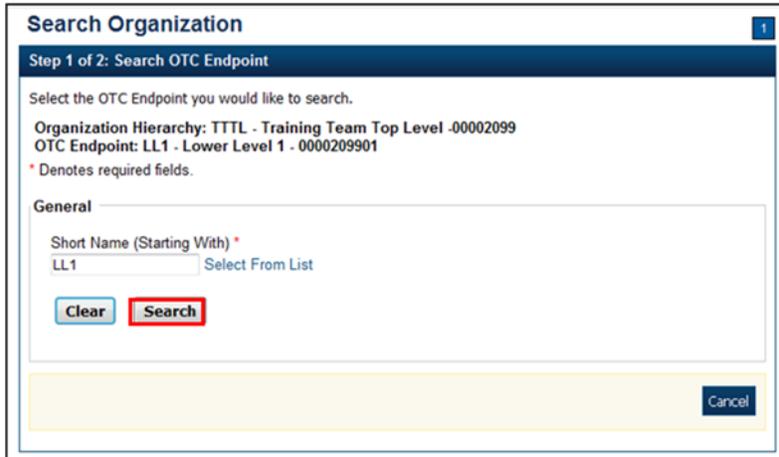
1. Click the Administration tab.
2. From the Manage Organizations menu, select Organization Hierarchy and click Search.

Figure 29. Select Manage Organizations>Organization Hierarchy>Search



3. The *Search Organization* page appears. Select the OTC Endpoint you would like to search. Click Search.

Figure 30. Step 1 of 2: Search OTC Endpoint



The *View the OTC Endpoint* (for Search Organization) page appears. Search OTC Endpoint Information.

Figure 31. Step 2 of 2: View OTC Endpoint

### Search Organization

Step 2 of 2: View OTC Endpoint

The following is the current information for the OTC Endpoint.  
**Organization Hierarchy:** TTTL - Training Team Top Level -00002099  
**OTC Endpoint:** LL1 - Lower Level 1 - 0000209901

General	
Short Name	LL1
Description	Lower Level 1
OTC Endpoint ( TGA )	Yes
ALC	00002099
OTC Endpoint ( CHK )	Yes

Address	
Address Line 1	111 Train St
Address Line 2	
City:	McLean
State / Province	VA
Country	US
Postal Code	22102
Phone Number	

Financial Institution Relationship(s) Active Financial Institution Relationship(s)	
<b>Financial Institution</b>	<b>RTN</b>
Bank of America	021867400

Check Cashing Policies	
<b>Assigned Return Reason Code Filters</b>	<b>Delete</b>
01--Insufficient Funds	No
02--Account Closed	No
10--Customer Advises Not Authed	No

Agency Assigned Suspensions		
Days	Occurrence	Delete
30	1	No
60	2	No
90	3	No

Agency Verification Policies	
Include Retired Check Only	Yes
Include Expired	No

Check Capture	
ALC+2	0000209901
Queue Interface	No

OTC Verification Group Current Agency Site Lower Level 1			
Short Name	Description	ALC+2	Delete
LL1	Lower Level 1	0000209901	No

Lower Levels	
Short Name	Description
LL1A	Lower Level 1A
LL1B	Lower Level 1B
LL1C	Lower Level 1C

Advanced Administration	
Report Only Summary Level Data to CIR	No
Summary Level Classification	Yes
Specify Agency Comments	<div style="border: 1px solid gray; height: 30px; width: 100%;"></div>

Special Designation	
GWA Reporter ALC	No

« Previous
Return Home



## Search for an OTC Endpoint

To search for an OTC Endpoint, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Organization Hierarchy** and click **Search**. The *View Organization* page appears.
3. Select the OTC Endpoint you would like to view. The *View OTC Endpoint* page appears.



### Application Tip

Additional button on the page helps you perform other tasks:

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

## Topic 4. Managing Accounting Codes

OTCnet provides enhanced check capture and deposit reporting functionalities to support the Central Accounting Reporting System (CARS), formally known as the Government Wide Accounting Modernization Program (GWAMP). The CARS objectives are to capture classification information at the earliest possible time, streamline central accounting and reporting, eliminate burdensome reconciliation, and provide timely Fund Balance with Treasury (FBWT) information to Agencies.

OTCnet captures classification information for transactions (over-the-counter deposits) processed through the Deposit Reporting function and the Check Capture function to support the CARS requirement that all transactions capture standard classification information. For OTCnet, standard classification information will be accepted in the form of a Treasury Account Symbol (TAS) String or a Classification Key (C-Key), which is an internal Agency Accounting Code that can be translated into a valid TAS.

OTCnet sends this C-Key information to CARS through the Collections Information Repository (CIR). CARS then communicates with the Shared Accounting Module (SAM) application to translate the C-Key into a valid TAS/BETC through the Cash Flow and Default Profiles that have been setup in SAM. Initially, classification of check transactions for non-CARS Reporting Agencies is optional.

To learn more about CARS, please visit <http://fms.treas.gov/CARS/index.html>.

## Modify Accounting Codes

To enter a new accounting code(s), complete the following steps:

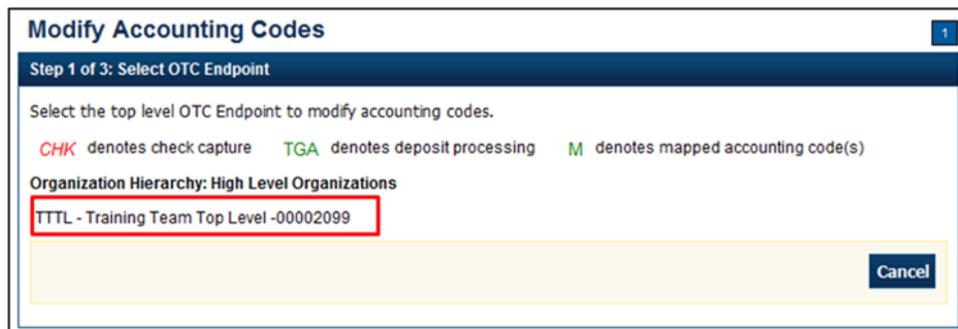
1. Click the **Administration** tab. From the **Manage Organizations** menu, select **Accounting Codes>Modify**.

Figure 32. Select Manage Organizations>Accounting Codes>Modify



2. The *Step 1 of 3 Select Organization Endpoint* page appears. Select the organization endpoint for which you want to modify accounting codes.

Figure 33. Step 1 of 3: Select OTC Endpoint



3. The *Step 2 of 3: Update Accounting Codes* page appears. Under the **New Accounting Codes to be Added** table, enter the accounting code details and click **Next**.
  - Enter the **Agency Accounting Code** details
  - Enter the accounting code **Description** details
  - Click the **TAS** check box to indicate the accounting code is a Treasury Account Symbol, *if applicable*

To input additional rows and accounting codes to the table, click **Add More Lines**.

If an Agency Accounting Code label is customized, it is displayed as the label above the imported codes, according to the custom label that was defined for the highest level organization. This applies to OTC Endpoints that use the deposit processing and/or check processing functionalities. The default accounting code label is **Agency Accounting Code**.

Figure 34. Step 2 of 3: Update Accounting Codes

**Modify Accounting Codes** [1] [2]

**Step 2 of 3: Update Accounting Codes**

Update the list of accounting codes for the organization hierarchy.

Organization Hierarchy: TTH1 - Training Team Test Hierarchy  
 \* Denotes required fields.

Enter search criteria for the Accounting Code(s) you would like to view.

Agency Accounting Code (Starting With)

Description (Contains)

SAM Validation Status  
 -- Select Status --

---

<< 1 - 2 >> of 2 Records

TAS	* Agency Accounting Code	* Description	Validation Status	Delete [ Check All / Clear All ]
<input type="checkbox"/>	<input type="text" value="0101010101"/>	<input type="text" value="Accounting Code 1"/>		<input type="checkbox"/>
<input type="checkbox"/>	<input type="text" value="0202020202"/>	<input type="text" value="Accounting Code 2"/>		<input type="checkbox"/>

<< 1 - 2 >> of 2 Records

- 4. The *Step 3 of 3: Review Accounting Codes* page appears. Verify the information is correct and click **Submit**.

Figure 35. Step 3 of 3: Review Accounting Codes

**Modify Accounting Codes** [1] [2] [3]

**Step 3 of 3: Review Accounting Codes**

Verify the following information is correct and click **Submit** to save the list of accounting codes.

Organization Hierarchy: TTH1 - Training Team Test Hierarchy [Edit]

Active Accounting Codes

TAS	Agency Accounting Code	Description
	0101010101	Accounting Code 1
	0202020202	Accounting Code 2

Removed Accounting Codes  
There are no accounting codes marked for deletion

< Previous Cancel **Submit**

- 5. A *Confirmation* page appears showing the accounting codes have been saved.

Figure 36. Modify Accounting Codes Confirmation

**Modify Accounting Codes**

**Confirmation**

The following accounting codes have been saved for the organization.

Organization Hierarchy: TTH1 - Training Team Test Hierarchy

Active Accounting Codes

TAS	Agency Accounting Code	Description
	0101010101	Accounting Code 1
	0202020202	Accounting Code 2

Removed Accounting Codes  
There are no accounting codes marked for deletion

**Return Home**



## Modify an Accounting Code

To import accounting codes, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Accounting Codes>Import**. The *Step 1 of 4: Select OTC Endpoint* page appears.
3. Select the top level organization endpoint for which you want to import accounting codes. The *Step 2 of 4: Import From File* page appears.
4. Select the type of accounting code to import into the system and browse to its location and click **Import**. The *Step 3 of 4: Select Accounting Codes* page appears.
5. Update the list of accounting codes that will be imported into the system and click **Next**.



### Application Tip

If an **Agency Accounting Code** label is customized, it is displayed as the label above the imported or modified codes within the Maintain Accounting Codes module, according to the custom label that was defined for the highest level organization. Within the rest of the application, custom labels apply to deposit processing functionalities, but are not extended to check processing functionalities. The default accounting code label is **Agency Accounting Code**.

You can update the details by

- Clicking the **TAS** check box to indicate that the accounting code is a Treasury Account Symbol (TAS), *if applicable*
  - Entering the details in both the **Agency Accounting Code** and **Description** text boxes
  - Checking the **Skip Selected** box to skip saving any of the imported accounting codes
6. The *Step 4 of 4: Review* page appears. Verify the information is correct and click **Submit**.
  7. A *Confirmation* page appears showing that the accounting codes have been imported. Simultaneously, accounting codes flagged as TAS will need to be transmitted to the Shared Accounting Module (SAM) to confirm that they are valid TAS strings



### Application Tip

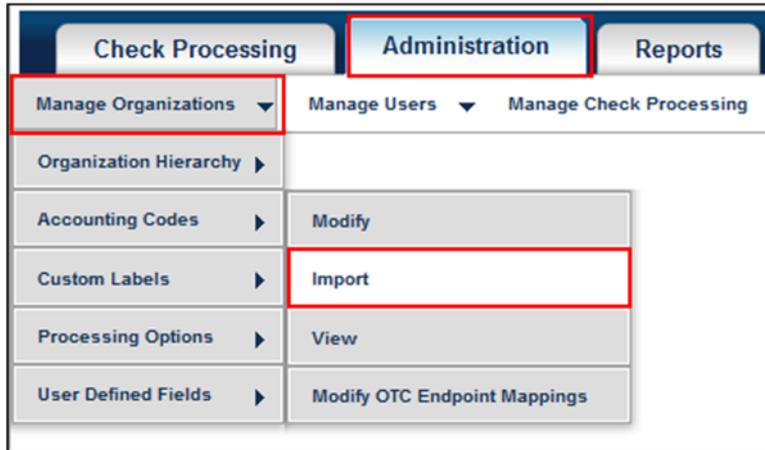
Additional button on the page that helps you perform other tasks:

- Click **Return Home** to return to the OTCnet Home Page.

## Import Accounting Codes

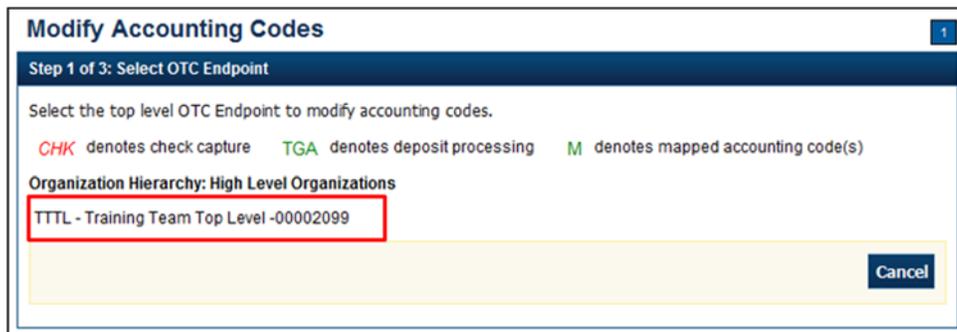
1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Accounting Codes>Import**.

Figure 37. Select Manage Organizations>Accounting Codes>Import



3. The *Step 1 of 4: Select OTC Endpoint* page appears. Select the top level organization endpoint for which you want to import accounting codes.

Figure 38. Step 1 of 4: Select OTC Endpoint



4. The *Step 2 of 4: Import from File* page appears. Select the type of accounting code to import into the system and browse to its location and click Import.

Figure 39. Step 2 of 4: Import from File

**Import Accounting Codes** [1] [2]

**Step 2 of 4: Import From File**

Organization Hierarchy: TTH1 - Training Team Test Hierarchy

Select File

Select the type of accounting code you would like to import into the system and browse to its location. Once you have chosen the file type and file location, click Import to save the information.

File Type  
CSV file ▾

File Name

5. The *Step 3 of 4: Select Accounting Codes* page appears. Update the list of accounting codes that will be imported into the system and click Next.

If an Agency Accounting Code label is customized, it is displayed as the label above the imported codes, according to the custom label that was defined for the highest level organization. This applies to OTC Endpoints that use the deposit processing and/or check processing functionalities. The default accounting code label is Agency Accounting Code.

Figure 40. Step 3 of 4: Select Accounting Codes

**Import Accounting Codes** [1] [2] [3]

**Step 3 of 4: Select Accounting Codes**

Organization Hierarchy: TTTL - Training Team Top Level -00002099

\* Denotes required fields.

Take a look at the list of accounting codes that will be imported to the system and make any necessary updates. To remove accounting codes before submitting them, mark them for removal and click Update to see the new list.

TAS	TAS/Accounting Codes	Description	Skip Selected
<input type="checkbox"/>	1220	Accounting Code 1	<input type="checkbox"/>
<input type="checkbox"/>	1221	Accounting Code 2	<input type="checkbox"/>

Skip Selected  
Check All / Clear All

Cancel Next >

You can update the details by

- Clicking the **TAS** check box to indicate that the accounting code is a Treasury Account Symbol (TAS), *if applicable*
- Entering the details in both the **Agency Accounting Code** and **Description** text boxes
- Checking the **Skip Selected** box to skip saving any of the imported accounting codes

- The *Step 4 of 4: Review* page appears. Verify the information is correct and click **Submit**.

Figure 41. Step 4 of 4: Review

**Import Accounting Codes** [1] [2] [3] [4]

**Step 4 of 4: Review**

Verify the following information is correct and click **Submit** to save the list of accounting codes.

[Edit]

Organization Hierarchy: TTTL - Training Team Top Level -00002099

TAS	TAS/Accounting Codes	Description
	1220	Accounting Code 1
	1221	Accounting Code 2

<< Previous Cancel **Submit**

- A *Confirmation* page appears showing that the accounting codes have been imported.

**Note:** Once accounting codes have been imported successfully, the *Confirmation* page appears. Simultaneously, the accounting codes flagged as TAS will need to be transmitted to the Shared Accounting Module (SAM) to confirm that they are valid TAS strings.

Figure 42. Import Accounting Codes Confirmation

**Import Accounting Codes**

**Confirmation**

The following accounting codes have been imported for the organization.

Organization Hierarchy: TTTL - Training Team Top Level -00002099

Active Accounting Codes

TAS	TAS/Accounting Codes	Description
	1220	Accounting Code 1
	1221	Accounting Code 2

**Return Home**

## Import an Accounting Code

To import accounting codes, complete the following steps:



### Application Tip

You can download Treasury Account Symbols (TAS), for import from the Shared Account Module (SAM) site at:  
<https://www.sam.fms.treas.gov/sampublic/tasbetc.htm>.

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Accounting Codes>Import**. The *Step 1 of 4: Select OTC Endpoint* page appears.
3. Select the top level organization endpoint for which you want to import accounting codes. The *Step 2 of 4: Import from File* page appears.
4. Select the type of accounting code to import into the system and browse to its location and click **Import**. The *Step 3 of 4: Select Accounting Codes* page appears.
5. Update the list of accounting codes that will be imported into the system and click **Next**.



### Application Tip

If an Agency Accounting Code label is customized, it is displayed as the label above the imported or modified codes within the Maintain Accounting Codes module, according to the custom label that was defined for the highest level organization. Within the rest of the application, custom labels apply to deposit processing functionalities, but are not extended to check processing functionalities. The default accounting code label is **Agency Accounting Code**.

You can update the details by

- Clicking the **TAS** check box to indicate that the accounting code is a Treasury Account Symbol (TAS), *if applicable*
  - Entering the details in both the **Agency Accounting Code** and **Description** text boxes
  - Checking the Skip Selected box to skip saving any of the imported accounting codes
6. The *Step 4 of 4: Review* page appears. Verify the information is correct and click **Submit**.

7. A *Confirmation* page appears showing that the accounting codes have been imported. Simultaneously, accounting codes flagged as TAS will need to be transmitted to the Shared Accounting Module (SAM) to confirm that they are valid TAS strings.



#### Application Tip

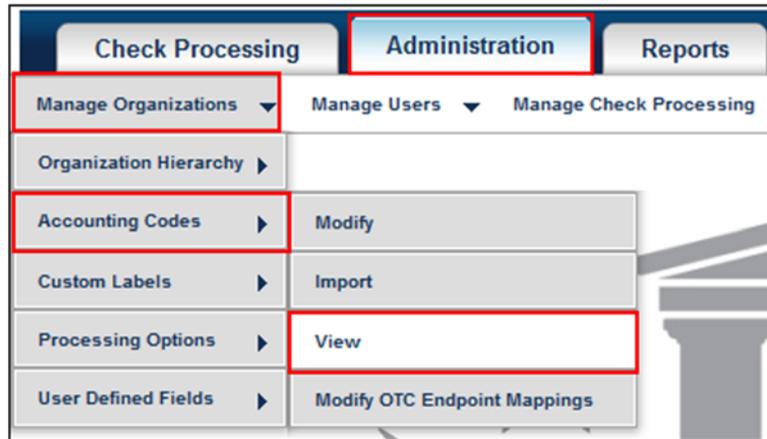
Additional button on the page that helps you perform other tasks:

- Click **Return Home** to return to the OTCnet Home Page.

## View Accounting Codes

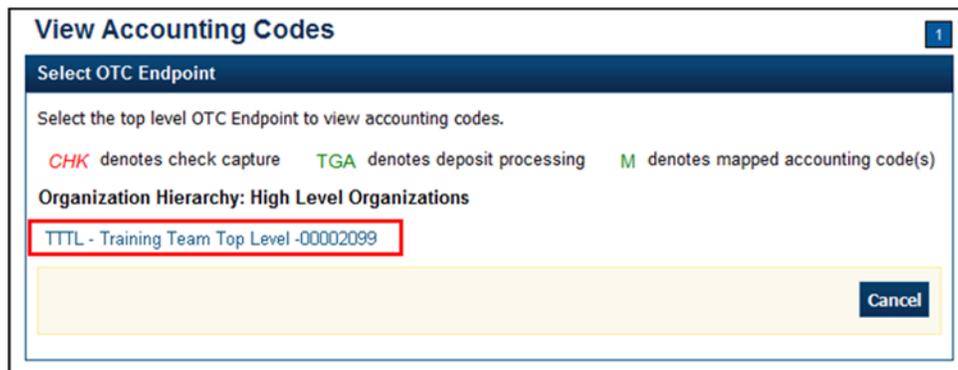
1. Click the **Administration** tab. From the **Manage Organizations** menu, select **Accounting Codes>View**.

Figure 43. Select Manage Organizations>Accounting Codes>View



2. The *View Accounting Codes* page appears. Select the highest level organization endpoint's accounting codes you would like to view.

Figure 44. Select Organization Endpoint



- 3. The *View Accounting Codes* page appears.

Figure 45. View Accounting Codes

**View Accounting Codes**

**View Accounting Codes**

The following accounting codes are available for the organization hierarchy.  
Organization Hierarchy: TTTL - Training Team Top Level -00002099

Active Accounting Codes

TAS	TAS/Accounting Codes	Description	Validation Status
	1212	Accounting Code 1	
	1213	Accounting Code 2	
	1214	Accounting Code 3	
✓	1217	Accounting Code 7	Invalid
	1220	Accounting Code 1	
	1221	Accounting Code 2	

[Return Home](#)



## View an Accounting Code

To view an accounting code, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Accounting Codes>View**. The *View Accounting Codes* page appears.
3. Select the highest level organization endpoint's accounting codes you would like to view. The *View Accounting Codes* page appears.



### Application Tip

If an Agency Accounting Code label is customized, it is displayed as the label above the imported codes, according to the custom label that was defined for the highest level organization. This applies to OTC Endpoints that use the deposit processing and/or check processing functionalities. The default accounting code label is **Agency Accounting Code**.



### Application Tip

Only active accounting codes available for deposit processing and check processing (if applicable) appear.



### Application Tip

Under the **Active Accounting Code** table, both **Treasury Account Symbols (TAS)** and accounting codes not identified as **TAS** display.



### Application Tip

If an accounting code is a **TAS**, a check mark displays under the **TAS** column and the SAM validation status (**Valid**, **Invalid** or **In Process**) displays under the **Validation Status** column.



### Application Tip

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

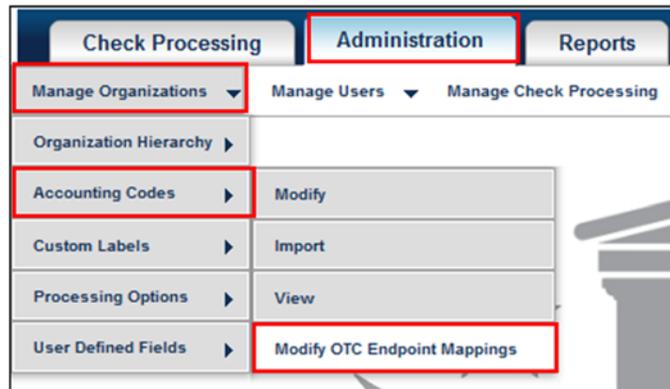
- Click **Return Home** to return to the OTCnet Home Page.

## Modify Endpoint Mappings

An endpoint mapping is the assignment of accounting codes to an agency's OTC Endpoint, to which a deposit amount can be allocated.

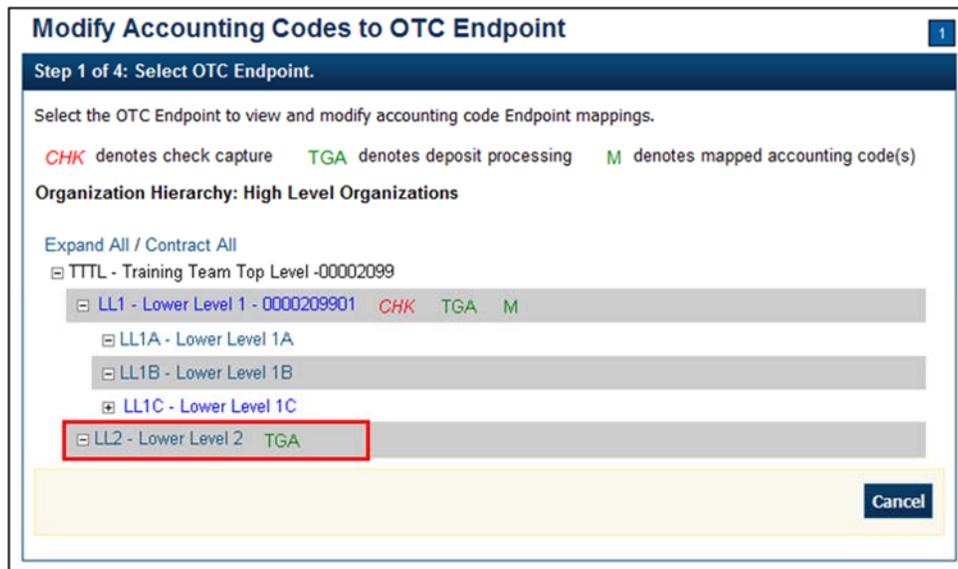
1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Accounting Codes** and click **Modify OTC Endpoint Mappings**.

Figure 46. Manage Organizations>Accounting Codes> Modify OTC Endpoint Mappings



3. The *Step 1 of 4: Select OTC Endpoint* page appears. Select the OTC Endpoint for the accounting code endpoint mapping you would like to assign or remove.

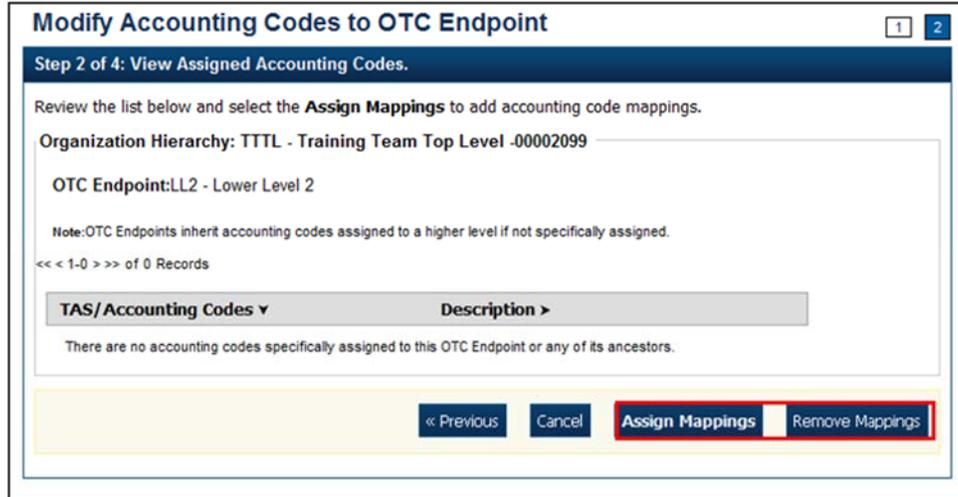
Figure 47. Step 1 of 4: Select OTC Endpoint



- 4. The *Step 2 of 4: View Assigned Accounting Codes* page appears. Click **Assign Mappings** to assign an accounting code to an OTCnet Endpoint. The *Step 2 of 4 Continued: Search and Assign Accounting Codes* page appears.  
or

Click **Remove Mappings** to remove an accounting code from an OTCnet Endpoint. The *Step 3 of 4: Remove Accounting Codes* page appears.

Figure 48. View Assigned Accounting Codes



5. Assign or remove an accounting code to or from an OTCnet Endpoint.

To **Assign Mappings** to an OTCnet Endpoint,

- Enter the **Accounting Code (Starting With)** search criteria, *optional*
- Enter the **Description (Contains)** search criteria, *optional*
- Click **Search**, *optional*
- Check the **Assign** box(es) for the accounting codes that you want to assign
- Click **Next** (Proceed to *Step 3 of 4: Assign Accounting Codes*)

If an Agency has identified accounting codes as a **TAS**, only **TAS** identified as **Valid** by **SAM** will be available for mapping to an OTC Endpoint.

Figure 49. Step 2 of 4 Continued: Search and Assign Accounting Codes

Organization Hierarchy: TTTL - Training Team Top Level -00002099

OTC Endpoint: LL2 - Lower Level 2

Enter your search criteria and click Search to search for accounting codes to assign

TAS/Accounting Codes (Starting With) Max 35 alpha-numeric characters

Description (Contains)

Search Results

TAS/Accounting Codes▼	Description▶	Assign [ Check All / Clear All ]
1212	Accounting Code 1	<input checked="" type="checkbox"/>
1213	Accounting Code 2	<input checked="" type="checkbox"/>
1214	Accounting Code 3	<input type="checkbox"/>
1220	Accounting Code 1	<input type="checkbox"/>
1221	Accounting Code 2	<input type="checkbox"/>

**Note:** All accounting codes that meet your search criteria and are not assigned to your OTC Endpoint display on the page. If you do not enter search criteria, all the accounting codes defined for the highest level organization appear.

If an Agency has identified accounting codes as a **TAS**, only **TAS** identified as **Valid** by **SAM** will be available for mapping to an OTC Endpoint.

or

To **Remove Mappings** from an OTCnet Endpoint,

- Check the **Remove** box(es) for the accounting codes that you want to remove
- Click **Next** (Proceed to *Step 4 of 4: Review Accounting Codes from Endpoint*)

Figure 50. Step 3 of 4: Assign Accounting Codes

Remove Accounting Codes from OTC Endpoint

Step 3 of 4: Remove Accounting Codes

Review the list below and select the accounting codes you would like to remove.

Organization Hierarchy: TTTL - Training Team Top Level -00002099

OTC Endpoint:LL2 - Lower Level 2

TAS/Accounting Codes	Description	Remove [ Check All / Clear All ]
1212	Accounting Code 1	<input checked="" type="checkbox"/>
1213	Accounting Code 2	<input type="checkbox"/>

<< Previous    Cancel    Next >>

- The *Step 3 of 4: Assign Accounting Codes* page appears. Review and verify the accounting code(s) you would like to assign and click Next.

Figure 51. Step 3 of 4: Assign Accounting Codes

**Note:** Check the **Remove** box(es) and click the **Update** button to delete the OTC Endpoint mapping for an accounting code.

A mapped accounting code is not eligible for removal if a batch is associated with a transaction within an active batch that is **Open**, **Closed**, or **Approved** or a deposit that is in **Draft** or **Awaiting Approval (AWAP)** status. An error message will be displayed to a user if this scenario occurs.

- 7. The *Step 4 of 4: Review Accounting Codes to Endpoint* page appears. Confirm the information is correct and click **Submit** to assign the accounting code(s) to the OTC Endpoint.

**Figure 52. Step 4 of 4: Review Accounting Codes to OTC Endpoint – Accounting Code Marked for Assignment**

TAS/Accounting Codes	Description
1212	Accounting Code 1
1213	Accounting Code 2

or

Confirm the information is correct and click **Submit** to remove the accounting code(s) from the OTC Endpoint.

**Figure 53. Step 4 of 4: Review Accounting Codes to Endpoint**

TAS/AAC	Description
20130126	Agency Accounting Code
20130128	Agency Accounting Code

- 8. A *Confirmation* page appears showing that the accounting codes have been assigned to or removed from the OTC Endpoint.

Figure 54. Assigned Accounting Code Confirmation

**Assign Accounting Codes to OTC Endpoint**

**Confirmation**

The following accounting codes have been assigned to the OTC Endpoint.

Organization Hierarchy: TTTL - Training Team Top Level -00002099

OTC Endpoint:LL2 - Lower Level 2

Assigned Accounting Codes	
TAS/Accounting Codes	Description
1212	Accounting Code 1
1213	Accounting Code 2

[Return Home](#) [Manage Additional](#)

## Map Accounting Codes to OTC Endpoints

To assign or remove an endpoint mapping, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Accounting Codes** and click **Modify OTC Endpoint Mappings**. The *Step 1 of 4: Select OTC Endpoint* page appears.
3. Select the OTC Endpoint for the accounting code endpoint mapping you would like to assign or remove. The *Step 2 of 4: View Assigned Accounting Codes* page appears.



### Application Tip

If an Agency Accounting Code label is customized, it is displayed as the label above the imported or modified codes within the Maintain Accounting Codes module, according to the custom label that was defined for the highest level organization. Within the rest of the application, custom labels apply to deposit processing functionalities, but are not extended to check processing functionalities. The default accounting code label is **Agency Accounting Code**.

4. Click **Assign Mappings** to assign an accounting code to an OTCnet Endpoint. The *Step 2 of 4 Continued: Search and Assign Accounting Codes* page appears.  
or  
Click **Remove Mappings** to remove an accounting code from an OTCnet Endpoint. The *Step 3 of 4: Remove Accounting Codes* page appears.
5. Assign or remove an accounting code to or from an OTCnet Endpoint.  
To **Assign Mappings** to an OTCnet Endpoint,
  - Enter the **Accounting Code (Starting With)** search criteria, *optional*
  - Enter the **Description (Contains)** search criteria, *optional*
  - Click **Search**, *optional*



### Application Tip

All accounting codes that meet your search criteria and are not assigned to your OTC Endpoint display on the page. If you do not enter search criteria, all the accounting codes defined for the highest level organization appear.

**Application Tip**

If an Agency has identified accounting codes as a **Treasury Account Symbol (TAS)**, only TAS identified as **Valid** by **Shared Accounting Module (SAM)** will be available for mapping to an OTC Endpoint.

- Check the **Assign** box(es) for the accounting codes that you want to assign
- Click **Next** (Proceed to *Step 3 of 4: Assign Accounting Codes*)

or

To **Remove Mappings** from an OTCnet Endpoint,

- Check the **Remove** box(es) for the accounting codes that you want to remove
- Click **Next** (Proceed to *Step 4 of 4: Review Accounting Codes from Endpoint*)

6. The *Step 3 of 4: Assign Accounting Codes page* appears. Review and verify the accounting code(s) you would like to assign and click **Next**. (Proceed to *Step 4 of 4: Review Accounting Codes to Endpoint*)

**Application Tip**

Check the **Remove** box(es) and click the **Update** button to delete the OTC Endpoint mapping for an accounting code.

**Application Tip**

A mapped accounting code is not eligible for removal if a batch is associated with a transaction within an active batch that is **Open, Closed,** or **Approved** or a deposit that is in **Draft** or **Awaiting Approval (AWAP)** status. An error message will be displayed to a user if this scenario occurs.

7. The *Step 4 of 4: Review Accounting Codes to Endpoint* page appears. Confirm the information is correct and click **Submit** to assign the accounting code(s) to the OTC Endpoint.

or

The *Step 4 of 4: Review Accounting Codes from Endpoint* page appears. Confirm the information is correct and click **Submit** to remove the accounting code(s) from the OTC Endpoint.

8. A *Confirmation* page appears showing that the accounting codes have been assigned to or removed from the OTC Endpoint.



**Application Tip**

Additional buttons on the page help you perform other tasks:

- Click **Return Home** to return to the OTCnet Home Page.
- Click **Manage Additional** to manage another accounting code.

## Topic 5. Managing Processing Options

As part of managing your organization hierarchy, you need to define your deposit processing options. **Processing options** are parameters for the deposit and adjustments process. You must first define processing options at the highest level of the organization before defining lower level options. For lower-level organizations, if you do not define these options, then the lower-level organizations will take on the options set for the next higher level organization that does have the options set.

If you do not define processing options, your organization cannot create deposits or classify a batch at the summary level. You can define processing options at any level within your organization. You can also view the processing options by **OTC Endpoint** report to manage processing options in your organization.

As an **Accounting Specialist**, you can modify the following processing options for your organization's hierarchy:

- **Accounting Classifications for Adjustments, Corrections, and Returned Items:** Identifies the default accounting codes to which you want adjusted amounts credited and debited. This also applies to credit and debit voucher ALC Account Switch Corrections, returned items, and batches that are classified at the summary level which contain a failed item

Accounting Specialists, Check Capture Supervisors and Check Capture Lead Operators can only apply Accounting classifications for adjustments. Check Capture Supervisors and Check Capture Lead Operators can only apply accounting classifications for corrections and returned items.

- **Correspondence:** Provides the financial institution with address information for any correspondence including returned item information
- **Deposit Preparation:** Sets default settings for deposit preparation to save time for Deposit Preparers
- **Transaction History:** Sets default settings for historical data about transactions

## Modify Processing Options

1. Click the **Administration** tab. From the **Manage Organizations** menu, select **Processing Options** and click **Modify**. The *Step 1 of 3: Select OTC Endpoint* page appears.

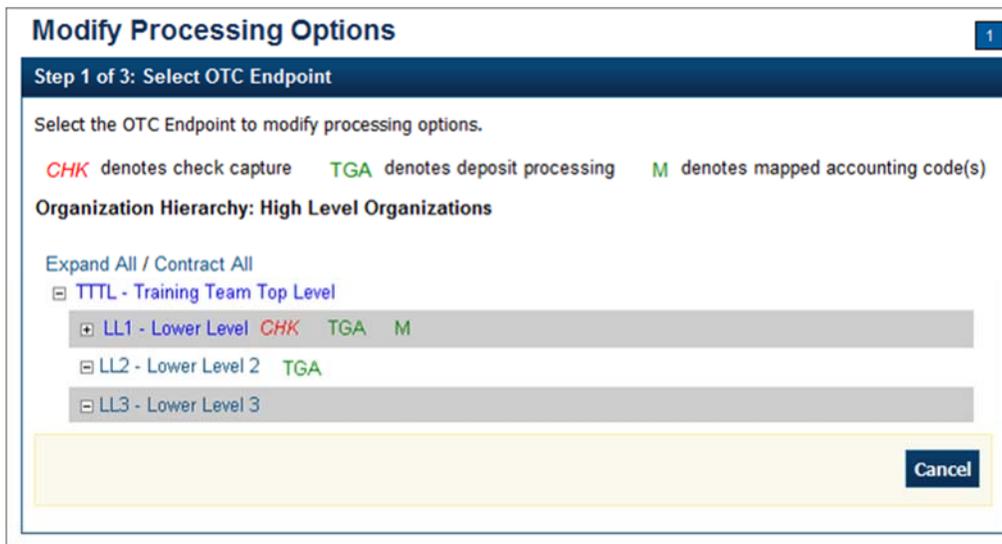
**Note:** Processing options must first be defined for the highest level organization before any lower level organization's processing options can be defined. If the processing options are not defined for the highest level organization, all lower level organization links will be disabled.

Figure 55. Select Processing Options>Modify



2. Select the OTC Endpoint for which you want to modify a processing option.

Figure 56. Step 1 of 3: Select OTC Endpoint



3. The *Step 2 of 3: Define Processing Options* page appears. Modify the processing option(s) and click **Next**.

Figure 57. Step 2 of 3: Define Processing Options

**Modify Processing Options** [1] [2]

**Step 2 of 3: Define processing options**

Modify processing options and click **Next**

Organization Hierarchy: TTTL - Training Team Top Level

- › Accounting Classifications for Adjustments, Corrections, and Returned Items
- › Correspondence
- › Deposit Preparation
- › Transaction History

< Previous   Cancel   **Next >**

**Note:** To narrow an accounting code search, enter a partial or full accounting code.

All accounting codes that meet your search criteria and are not applied as a debit or credit adjustment to your OTC Endpoint are displayed on the page. If you do not enter search criteria, all the accounting codes defined for the highest level organization appear.

By default, the first ten accounting codes display, first by ascending special character order, then by numerical order and then by ascending alphabetical order by accounting code.

If organization has more than ten accounting codes, click the pagination menu above the section containing the existing accounting codes to view additional pages of results. The system will only allow a user to view and apply active accounting codes not designated as TAS or those designated as TAS and have been validated by SAM.

An accounting code can be assigned to both a debit adjustment and credit adjustment.

After an accounting code is assigned to debit or credit adjustment it appears in the Adjustment Type/Default Accounting Code table.

To modify **Accounting Classifications for Adjustments, Corrections, and Returned Items**, you can:

Update **Default Accounting Codes** by,

- Selecting either **Use parent's values** or **Use my values**
- If selecting to **Use My Values**, entering the **Agency Accounting Code** and clicking the Search button (magnifying glass)
- Selecting the **Accounting Code** for the adjustment types you want to modify and clicking **Assign to Debit** or **Assign to Credit**.
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

**Note:** Click **Apply to Debit** to assign an accounting code to all debt adjustments.  
Click **Apply to Credit** to assigning an accounting code to all credit adjustments.

Update **Default Accounting Code Usage** by,

- Selecting either **Use parent's values** or **Use my values**.
- Selecting either **Always Use the Default for Deposit Adjustments** or **Default based upon Deposit Subtotals for Deposit Adjustments**
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy.

Figure 58. Step 2 of 3: Define Processing Options page with Accounting Classifications for Adjustments, Corrections, and Returned Items expanded

### Modify Processing Options 1 2

**Step 2 of 3: Define processing options**

Modify processing options and click **Next**

**Organization Hierarchy: TTTL - Training Team Top Level**

**Accounting Classifications for Adjustments, Corrections, and Returned Items**

**Default Accounting Codes**

Update the accounting codes used for adjustment

Use parent's values    Use my values

Enter search criteria for the Accounting Code(s) you would like to view.

Agency Accounting Code

**Account Code Results**

<< < 1-3 >> of 3 Records

Select	Account Code	TAS
<input type="radio"/>	1212	
<input type="radio"/>	1213	
<input type="radio"/>	1214	

Adjustment Type/Default Accounting Code	Account Code	TAS
Debit	1212	
Credit	1213	

Allow changes by organization lower in hierarchy  
 Yes    No

**Default Accounting Code Usage**

Define default accounting code processing for deposit adjustments

Use parent's values    Use my values

Always Use the Default for Deposit Adjustments  
 Default based upon Deposit Subtotals for Deposit Adjustments

Allow changes by organization lower in hierarchy  
 Yes    No

› Correspondence

› Deposit Preparation

› Transaction History

To modify **Correspondence**, you can:

Update **Returned Items** by,

- Selecting **Use parent's values** or **Use my values**
- Entering the corresponding address information that you would like to be displayed to a financial institution when return item adjustment is created
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update **Deposit Adjustment** by,

- Selecting **Use parent's values** or **Use my values**
- Entering the corresponding address information that you would like to be displayed to a financial institution when a deposit adjustment is created
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Figure 59. Define Processing Options page with Correspondence expanded

### Modify Processing Options

Step 2 of 3: Define processing options

Modify processing options and click **Next**

Organization Hierarchy: TTTL - Training Team Top Level -00002099

Accounting Classifications for Adjustments, Corrections, and Returned Items

**Correspondence**

**Returned Items**

Update the correspondence address for return item

Use parent's values  Use my values

Organization Name\*  
Train

Attention

Address Line 1\*  
111 Train St

Address Line 2

City\*  
McLean

State/Province\*  
Virginia VA

Postal Code\*  
22102

Country\*  
United States of America US

Contact Phone Number

Allow changes by organization lower in hierarchy  
 Yes  No

**Deposit Adjustments**

Correspondence address for deposit adjustment

Use parent's values  Use my values

Organization Name\*  
Train

Attention

Address Line 1\*  
111 Train St

Address Line 2

City\*  
McLean

State/Province\*  
Virginia VA

Postal Code\*  
22102

Country\*  
United States of America US

Contact Phone Number

Allow changes by organization lower in hierarchy  
 Yes  No

Deposit Preparation

Transaction History

< Previous Cancel Next >

To modify **Deposit Preparation**, you can:

Update **ITGA Deposit Creation** by,

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** to allow endpoint to create foreign deposits
  - If the endpoint accepts foreign deposits, enter the **Default foreign currency when creating deposits** details
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update **Subtotals and Cash Count** by,

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** for each of the following options
  - Include Sub-totals for Checks/Money Orders and Cash
  - Include Currency count and sub-totals by denomination
  - Include Coin count and sub-totals by denomination
  - Allow changes by an organization lower in hierarchy

Update **Accounting Code Subtotals** by,

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** radio for each of the following options
  - Allow negative accounting code subtotals
  - Allow changes by an organization lower in hierarchy

Update **Separation of Duties** by,

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** radio for each of the following options
  - Deposits must be prepared and approved by different employees
  - Allow changes by an organization lower in hierarchy

Figure 60. Update Deposit Processing Options with Deposit Preparation expanded

### Modify Processing Options

Step 2 of 3: Define processing options

Modify processing options and click **Next**

Organization Hierarchy: TTTL - Training Team Top Level -00002099

- Accounting Classifications for Adjustments, Corrections, and Returned Items
- Correspondence
- Deposit Preparation**
  - ITGA Deposit Creation**
    - OTC Endpoint Creation of Foreign Deposits
      - Use parent's values  Use my values
    - Allow OTC Endpoint to create foreign deposits
      - Yes  No
    - Default foreign currency when creating deposits
      - AUSTRALIAN DOLLAR
    - Allow changes by organization lower in hierarchy
      - Yes  No
  - Subtotals and Cash Count**
    - Update subtotals and currency/coin counts for deposits
      - Use parent's values  Use my values
    - Include sub-totals for Checks/Money Orders and Cash
      - Yes  No
    - Include Currency count and sub-totals by denomination
      - Yes  No
    - Include coin count and sub-totals by denomination
      - Yes  No
    - Allow changes by organization lower in hierarchy
      - Yes  No
  - Accounting Code Subtotals**
    - Negative Accounting Code Subtotals
      - Use parent's values  Use my values
    - Allow negative Accounting Code Subtotals
      - Yes  No
    - Allow changes by organization lower in hierarchy
      - Yes  No
  - Separation of Duties**
    - Update policy requiring separation of duties for deposit preparation and approval
      - Use parent's values  Use my values
    - Deposits must be prepared and approved by different employees
      - Yes  No
    - Allow changes by organization lower in hierarchy
      - Yes  No
- Transaction History

< Previous    Cancel    Next >

Modify **Transaction History** by,

- Selecting **Use parent's values** or **Use my values**
- Entering the **Number of days displayed** in the text box (if applicable)
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy and click **Next**.

Figure 61. Deposit Procession Options with Transaction History expanded

**Modify Processing Options** 1 2

**Step 2 of 3: Define processing options**

Modify processing options and click **Next**

Organization Hierarchy: TTTL - Training Team Top Level -00002099

- ▶ Accounting Classifications for Adjustments, Corrections, and Returned Items
- ▶ Correspondence
- ▶ Deposit Preparation
- ▼ **Transaction History**

**Transaction History**

Update the number of days displayed

Use parent's values  Use my values

Number of days displayed\*

15

Allow changes by organization lower in hierarchy

Yes  No

< Previous Cancel **Next >**

- The *Step 3 of 3: Review the following processing options* page appears. Verify the information is correct and click **Submit**.

**Figure 62. Step 3 of 3: Review the Following Processing Options with Accounting Classifications for Adjustments, Corrections, and Returned Items expanded**

### Modify Processing Options

1
2
3

**Step 3 of 3: Review the following processing options**

Verify the following information is correct and click **Submit** to store the processing options.

[Edit]

Organization Hierarchy: TTTL - Training Team Top Level -00002099

▼ Accounting Classifications for Adjustments, Corrections, and Returned Items

Default Accounting Codes

Adjustment Type/Default Accounting Code	Account Code	TAS
Debit	1212	
Credit	1213	
Inherit Option from Parent	No	
Can Descendant Org Modify	Yes	

Default Accounting Code Usage

Default based upon Deposit Subtotals for Deposit Adjustments	Yes
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

▶ Correspondence

▶ Deposit Preparation

▶ Transaction History

« Previous
Cancel
Submit

Figure 63. Review the Following Processing Options with Correspondence expanded

▼ Correspondence

Returned Items

Organization Name	<b>Train</b>
Attention	
Address Line 1	<b>111 Train St</b>
Address Line 2	
City	<b>McLean</b>
State/Province	<b>VA</b>
Country	<b>US</b>
Postal Code	<b>22102</b>
Contact Phone Number	
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

Deposit Adjustments

Organization Name	<b>Train</b>
Attention	
Address Line 1	<b>111 Train St</b>
Address Line 2	
City	<b>McLean</b>
State/Province	<b>VA</b>
Country	<b>US</b>
Postal Code	<b>22102</b>
Contact Phone Number	
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

Figure 64. Review the Following Processing Options with Deposit Preparation expanded

<b>▼ Deposit Preparation</b>	
<b>ITGA Deposit Creation</b>	
Allow OTC Endpoint to create foreign deposits	<b>Yes</b>
Default foreign currency when creating deposits	<b>AUD</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>
<b>Subtotals and Cash Count</b>	
Include sub-totals for Checks/Money Orders and Cash	<b>Yes</b>
Include Currency count and sub-totals by denomination	<b>Yes</b>
Include coin count and sub-totals by denomination	<b>Yes</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>
<b>Accounting Code Subtotals</b>	
Allow negative numbers on accounting sub-total amounts	<b>Yes</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>
<b>Separation of Duties</b>	
Deposits must be prepared and approved by different employees	<b>No</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

Figure 65. Review the Following Processing Options with Transaction History expanded

<b>Transaction History</b>	
Number of days displayed in Transaction History	<b>15</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>
<a href="#">&lt;&lt; Previous</a> <a href="#">Cancel</a> <a href="#">Submit</a>	

- 5. A *Confirmation* page appears showing which processing options were applied to the organization.

Figure 66. Modify Processing Options Confirmation

**Modify Processing Options**

**Confirmation**

The following processing options now apply to this organization

Organization Hierarchy: TTTL - Training Team Top Level -00002099

Accounting Classifications for Adjustments, Corrections, and Returned Items

Default Accounting Codes

Adjustment Type/Default Accounting Code	Account Code	TAS
Debit	1212	
Credit	1213	
Inherit Option from Parent	No	
Can Descendant Org Modify	Yes	

Default Accounting Code Usage

Default based upon Deposit Subtotals for Deposit Adjustments	Yes
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

Correspondence

Deposit Preparation

Transaction History

[Return Home](#)



## Modify a Processing Option

To modify a processing option, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Processing Options>Modify**. The *Step 1 of 3: Select Organization Endpoint* page appears.



### Application Tip

Processing options must first be defined for the highest level organization before any lower level organization's processing options can be defined. If the processing options are not defined for the highest level organization, all lower level organization links will be disabled.

3. Select the OTC Endpoint for which you want to modify a processing option. The *Step 2 of 3: Define Processing Options* page appears.
4. Modify the processing option(s) and click **Next**.

To modify **Accounting Classifications for Adjustments, Corrections, and Returned Items**, you can:



### Application Tip

Accounting classifications for adjustments apply to Accounting Specialists, Check Capture Supervisors and Check Capture Lead Operators. Accounting Classifications for corrections and returned items apply Check Capture Supervisors and Check Capture Lead Operators.

Update **Default Accounting Codes** by

- Selecting either **Use parent's values** or **Use my values**
- Entering the search criteria for the accounting code you would like to view and click **Search** (magnifying glass)



### Application Tip

To narrow an accounting code search, enter a partial or full accounting code.

Or

- Clicking **Search** (magnifying glass) to view accounting codes



#### Application Tip

All accounting codes that meet your search criteria and are not applied as a debit or credit adjustment, correction or returned item to your OTC Endpoint are displayed on the page. If you do not enter search criteria, all the accounting codes defined for the highest level organization appear.



#### Application Tip

By default, the first ten accounting codes display, first by ascending special character order, then by numerical order and then by ascending alphabetical order by accounting code.



#### Application Tip

If organization has more than ten accounting codes, click the pagination menu above the section containing the existing accounting codes to view additional pages of results. The system will only allow a user to view and apply active accounting codes not designated as TAS or those designated as TAS and have been validated by SAM.

- Selecting the accounting code to apply a credit and/or debit type and clicking **Assign to Debit** and/or **Assign to Credit**



#### Application Tip

An accounting code can be assigned to debit and credit adjustment, correction, and returned item types.



#### Application Tip

After an accounting code is assigned to debit or credit adjustment it appears in the Adjustment Type/Default Accounting Code table.

- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update **Default Accounting Code Usage** by

- Selecting either **Use parent's values** or **Use my values**
- Selecting either **Always Use the Default for Deposit Adjustments** or **Default based upon Deposit Subtotals for Deposit Adjustments**
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

To modify **Correspondence**, you can:

Update **Returned Items** by

- Selecting **Use parent's values** or **Use my values**
- Entering the corresponding address information that you would like to be displayed to a financial institution when return item adjustment is created
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update **Deposit Adjustment** by

- Selecting **Use parent's values** or **Use my values**
- Entering the corresponding address information that you would like to be displayed to a financial institution when a deposit adjustment is created
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

To modify **Deposit Preparation**, you can

Update **ITGA Deposit Creation** by

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** to allow endpoint to create foreign deposits
  - If the endpoint accepts foreign deposits, enter the **Default foreign currency when creating deposits** details
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update **Subtotals and Cash Count** by

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** for each of the following options
  - Include Sub-totals for Checks/Money Orders and Cash
  - Include Currency count and sub-totals by denomination
  - Include Coin count and sub-totals by denomination
  - Allow changes by an organization lower in hierarchy

Update **Accounting Code Subtotals** by

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** for each of the following options
  - Allow negative accounting code subtotals
  - Allow changes by an organization lower in hierarchy

Update **Separation of Duties** by

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** for each of the following options
  - Deposits must be prepared and approved by different employees
  - Allow changes by an organization lower in hierarchy

To modify **Transaction History**, you can by

- Selecting **Use parent's values** or **Use my values**
- Entering the **Number of days displayed** in the text box, *if applicable*
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

5. The *Step 3 of 3: Review the following processing options* page appears. Verify the information is correct and click **Submit**.
6. A *Confirmation* page appears showing which processing options were applied to the organization.



#### Application Tip

If additional changes are required after reviewing the information, click **Edit** and return to step 4.



#### Application Tip

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

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.  
Click **Edit** to return to the previous page.
- Click **Next** to advance to the next page.
- Click **Previous** to return to the previous page.
- Click **Submit** to complete the process and display the Confirmation page.
- Click **Return Home** to return to the OTCnet Home Page.

## View Processing Options

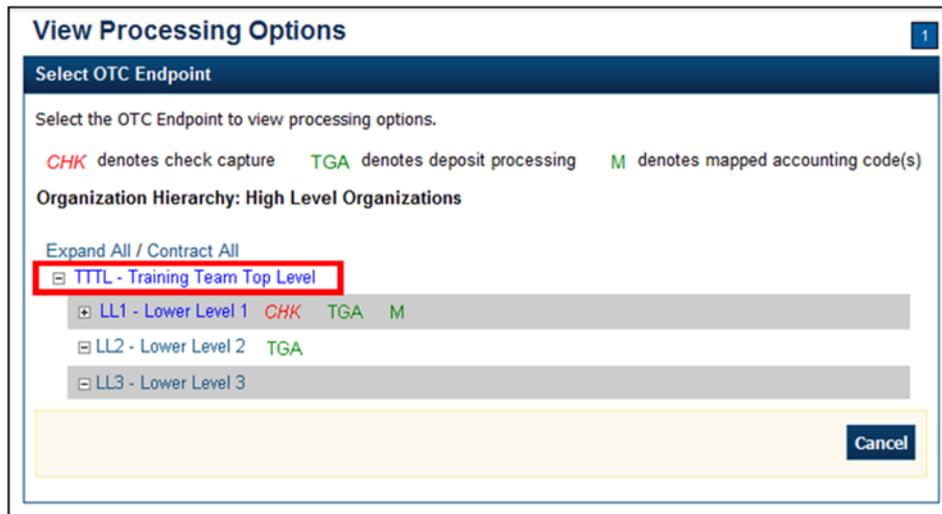
1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Processing Options** and click **View**.

Figure 67. Select Processing Options>View



3. The *Select OTC Endpoint* page appears. Select the highest level organization or any lower level OTC Endpoint for which you would like to view the processing options.

Figure 68. Select OTC Endpoint for Processing Options



- 4. A View Processing Options page appears showing which custom labels are in effect for the organization hierarchy.

Figure 69. View Processing Options

**View Processing Options**

The following processing options now apply to this organization  
Organization Hierarchy: TTTL - Training Team

Accounting Classifications for Adjustments, Corrections, and Returned Items

Default Accounting Codes

Adjustment Type/Default Accounting Code
Debit
Credit
Inherit Option from Parent
Can Descendant Org Modify

Default Accounting Code Usage

Default based upon Deposit
Inherit Option from Parent
Can Descendant Org Modify

Correspondence

Returned Items

Organization Name	Train
Attention	
Address Line 1	111 Train St
Address Line 2	
City	
State/Province	
Country	
Postal Code	
Contact Phone Number	
Inherit Option from Parent	
Can Descendant Org Modify	

Deposit Adjustments

Organization Name	
Attention	
Address Line 1	
Address Line 2	
City	
State/Province	
Country	
Postal Code	
Contact Phone Number	
Inherit Option from Parent	
Can Descendant Org Modify	

Deposit Preparation

ITGA Deposit Creation

Allow OTC Endpoint to create foreign deposits	Yes
Default foreign currency when creating deposits	AUD
Inherit Option from Parent	
Can Descendant Org Modify	

Transaction History

Number of days displayed in Transaction History	15
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

Subtotals and Accounting Code Subtotals

Allow negative numbers on accounting sub-total amounts	Yes
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

Separation of Duties

Deposits must be prepared and approved by different employees	No
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

Return Home



## View a Processing Option

To view a processing option, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Processing Options>View**. The *Select Organization Endpoint* page appears.
3. Select the highest level organization or any lower level OTC Endpoint for which you would like to view the processing options. A *View Processing Options* page appears showing which custom labels are in effect for the organization hierarchy.



### Application Tip

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

- Click **Return Home** to return to the OTCnet Home Page.



# Glossary

## A

**Accounting Code** – A unique agency classification code assigned to a transaction, which identifies the FRB Account Key that is used within the Federal Reserve. In check capture, it is a method of grouping individual check transactions into certain classifications. In deposit reporting, the classification is being done at a voucher level, where a voucher is being classified with one or many agency defined accounting codes or TAS.

**Accounting Code Description** – A brief explanation that provides further detail about an accounting code.

**Accounting Code Name** – The title of the accounting code.

**Accounting Key** – The account number assigned to a deposit when it is submitted to FRB CA\$HLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

**Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.

**Acknowledged Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Acknowledged Error Batch Status** – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which resulted in a batch being updated to Acknowledgment Error.

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

**Activity Type** – The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

**Adjustment Activity (FI) Report** – A business report that allows you to view adjustments made by your financial institution (FI).

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

**Adjustments by OTC Endpoints Report** – A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

**Agency CIRA Report** – A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

**Agency Contact** – A person designated by an agency as the primary contact regarding deposit-related matters.

**Agency Information** – The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

**Agency Location Code (ALC)** – A numeric symbol identifying the agency accounting and/or reporting office.

**Agency Location Code plus 2 (ALC+2)** – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

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

**Alternate Agency Contact** – A person designated by an agency as the secondary contact regarding deposit-related matters.

**American Bankers Association (ABA)** – (also known as Bank Routing Number) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

**Approved Batch Status** – Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

**Audit Log** – A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a comma separated value report (CSV) and opened in a spreadsheet program or available to print in a formatted audit log report.

**Automated Clearing House** – A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

**Awaiting Approval (AWAP)** – A deposit that is waiting for deposit confirmation by a Deposit Approver.

## B

**Back Office Processing Method** – Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

**Batch** – A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

**Batch Approver** – An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Batch Control/Batch Balancing** – An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

**Batch ID** – The unique number assigned to a batch by OTCnet.

**Batch List Report** – A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

**Batch Status** – Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

**Batch Uploader** – An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Blocked** – A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

**Bureau of the Fiscal Service (FS)** – (formerly FMS) The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates

the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

**Business Event Type Code (BETC)** – A code used in the CARS/GWA system to indicate the type of activity being reported, such as payments, collections, borrowings, etc. This code must accompany the Treasury Account Symbol (TAS).

## C

**CA\$HLINK II** – An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

**CA\$HLINK II Account Number (CAN)** – The account number assigned to a deposit when it is submitted to CA\$HLINK II.

**Capture Date** – The calendar date and time the payment is processed by the agency.

**Cashier ID** – The ID of the user that created the transaction.

**Central Accounting Reporting System (CARS)** – (formerly GWA) The system that addresses the central accounting and reporting functions and processes associated with budget execution, accountability, and cash/other asset management. This includes the collection and dissemination of financial management and accounting information from and to federal program agencies.

**Central Image and Research Archive (CIRA)** – The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

**Characteristics** – The properties of a user, organization, deposit, or financial institution.

**Check 21** – Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

**Check Amount** – The dollar amount of the check.

**Check Capture** – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

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

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

**Check Capture Offline** – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

**Check Capture Online** – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

**Check Capture Operator** – An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

**Check Capture Supervisor** – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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

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

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

**CIRA CSV Report** – A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

**CIRA Viewer** – A user that has authorization to view CIRA records and download CSV files. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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

**Clear** – Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

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

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

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

**Collections Information Repository (CIR)** – (formerly TRS) A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Comma Separated Values (CSV)** – A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

**Confirmed** – A deposit that has been reviewed and then confirmed by a financial institution or FRB.

**Cost Center Work Unit (CCWU)** – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

**Custom Label** – Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

**Customer Not Present Processing Method** – The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

**Customer Present Processing Method** – The processing method used in the OTCnet when the check writer is presenting the check in person.

## D

**Daily Voucher Report** – A business report that allows you to view the daily voucher extract.

**Data Type** – The type of data that should be entered for a user defined field.

**Date of Deposit** – The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

**Debit Gateway** – The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

**Demand Deposit Account (DDA)** – The account at a financial institution where an organization deposits collections.

**Denied** – Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

**Deny Date** – Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

**Deposit** – A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

**Deposit Activity (FI) Report** – A business report that allows the financial institution to view deposits submitted to its location.

**Deposit Approver** – A user who has authorization to review and submit deposits to a financial institution.

**Deposit Confirmer** – A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

**Deposit History by Status Report** – A business report that allows you to view deposits by status.

**Deposit Information** – The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

**Deposit Preparer** – A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

**Deposit Total** – The total amount of over-the-counter receipts included in the deposit.

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

**Deposits by Accounting Code Report** – A business report that allows you to view deposits by accounting code.

**Deposits by OTC Endpoint Report** – A business report that allows you to view deposits by OTC Endpoint.

**Display Order Number** – The order in which user defined fields (UDFs) should be displayed.

**Draft** – A deposit that is saved for modification at a later date by a Deposit Preparer.

## E

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

## F

**Failed** – The item was unable to be processed and/or settled by Treasury/BFS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

**Federal Program Agency** – A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

**Federal Reserve Bank (FRB)** – A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given

power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

**Federal Reserve Bank-Cleveland (FRB-C)** – FRB-C serves as the conduit for settlement of transactions originating from the OTCnet application. FRB-C is responsible for receiving the transaction data from OTCnet via forward file, and performing check clearing/transaction settlement as the 'debit gateway'.

**Federal Reserve System's Automated Clearing House (ACH) System** – Enables debits and credits to be sent electronically between depository financial institutions.

**Financial Institution (FI)** – A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

**Financial Institution Information** – The name, address, routing transit number, and the demand deposit account number of a financial institution.

**Firmware** – A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

**Fiscal Year** – A 12-month period for which an organization plans the use of its funds.

**Forwarded Batch Status** – Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

**Forwarded File** – A term that is assigned to a file that contains the check transactions that is send from channel applications, such as OTCnet or ECP, to Debit Gateway for settlement purposes.

**Franker** – An internal stamp unit that stamps a check with "Electronically Processed" after the check is processed and scanned. Franker availability is based on the model of your scanner.

**Franking** – The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

## H

**Highest Level Organization** – The primary level of the organization hierarchy.

## I

**IBM Tivoli Identity Manager (ITIM)** – Refers to Fiscal Service's Enterprise provisioning tool for user account and identity management.

**Individual Reference Number (IRN)** – The auto-generated unique number used in OTCnet to identify Check Capture transactions.

**Input Length Maximum** – The maximum number of characters that may be entered in a user defined field.

**Input Length Minimum** – The minimum number of characters that may be entered in a user defined field.

**Internal Control Number** – A customizable field for agency use to further describe a deposit.

**Item Detail Report** – A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

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

## L

**Local Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish, maintain, and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

**Local Security Administrator (LSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Local Verification Database (LVD)** – A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

**Lower Level Organization** – Any organization created below the highest level organization.

**LVD Contents Report** – A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

## M

**Magnetic Ink Character Recognition (MICR)** – Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

**Master Verification Database (MVD)** – It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD

provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

**MVD Editor** – A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

**MVD Viewer** – A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

## N

**Non-Personal Item Type** – Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

**Non-Reporting OTC Endpoints Report** – A business report that allows you to view OTC Endpoints that have not reported a deposit.

## O

**Open Batch Status** – Indicates the batch is open and accepting new checks.

**Organization** – The location or level within a Federal Program agency.

**Organization Hierarchy** – The structure of a Federal Program agency as defined in OTCnet.

**Organization Hierarchy Report** – A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

**OTC Collections** – Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

**OTC Endpoint** – The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

**OTC Endpoint (CHK)** – The endpoint (location) setup in OTCnet to use check capture.

**OTC Endpoint (TGA)** – The endpoint (location) setup in OTCnet to use Deposit Reporting.

**OTC Endpoint Mapping** – The assignment of accounting codes to an agency's OTC Endpoint, for which a deposit amount can be allocated.

**OTCnet Offline** – Refers to the over the counter application that provides Check Capture functionality to end users with limited internet connectivity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

**OTCnet Online** – Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet connectivity).

**Over the Counter Channel Application (OTCnet)** – Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

## P

**Personal Item Type** – Indicates that the name on check is an individual's name, not acting as a business.

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

**Primary Local Security Administrator (PLSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Processing Options** – User-defined parameters for the deposit and adjustment processes.

**Processing Options by OTC Endpoints Report** – A business report that allows you to view processing options defined for endpoints within the organization.

## Q

**Queue Interface** – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

## R

**Received** – The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

**Received Date** – The date the check was received by web-based OTCnet.

**Rejected** – A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

**Represented** – This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason

Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

**Retired** – This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

**Return Reason Codes** – Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

**Return Settlement Date** – The effective date of settlement of the returned check item.

**Returned Item** – A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

**Routing Transit Number (RTN)** – (also known as American Bankers Association (ABA) Number or Bank Routing Number) – The nine-digit number used to identify a financial institution.

## S

**Save as Draft** – An option that allows a Deposit Preparer to save a deposit for modification at a later date.

**Save for Approval** – An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

**Send Error Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Sent Batch Status** – Indicates the batch was uploaded online without error.

**Separation of Duties** – A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

**Settle Best Method** – The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

**Settled** – This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

**Settlement Date** – The payment date of a check item, which is when the deposit is debited from the check writer's account.

**SF215 Deposit Ticket Report** – The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This

report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable for a duration of up to 45 days.

**SF5515 Debit Voucher Report** – The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable in for a duration of up to 45 days.

**Share Accounting Module (SAM)** – The application that facilitates the process of validating or deriving Treasury Account Symbol (TAS) and Business Event Type Code (BETC) combinations to assist CARS/GWA in classifying financial transactions as they occur.

**Short Name/Code** – The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

**Statistical Report** – A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is searchable for a duration of up to 15 days.

**Submit** – An option that allows a Deposit Approver to submit a deposit to a financial institution.

**Submitted** – A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

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

## T

**Terminal ID** – The unique number assigned to the workstation where a user performs functions in OTCnet.

**Trade Status** – Represents the status of the verification records. There are four possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

**Transaction History** – Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

**Transaction Reporting System (TRS)** – A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Treasury Account Symbol (TAS)** – The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

## U

**Universal Serial Bus (USB)** – A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

**US Dollar Equivalent (USE)** – The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

**US Treasury** – The executive department and the Treasury of the United States federal government.

**User Defined Field (UDF)** – A user-defined text that describes deposit activity or deposit accounting activity.

**User Information Report** – A security report allows that you to view a user's contact information.

**Users by Access Group (FI) Report** – A security report that allows you to view users by financial institution.

**Users by Access Group (FPA) Report** – A security report that allows you to view users by OTC Endpoint.

**Users by Role (FI) Report** – A security report that allows you to view users by role for your financial institution.

**Users by Role (FPA) Report** – A security report that allows you to view users by role for your OTC Endpoint.

## V

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

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

**View Vouchers Completed Report** – An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

**View Vouchers in Progress Report** – An administration report allows you to view the status of deposit and adjustment vouchers in progress.

**Viewer** – A user who has authorization to view OTCnet information and produce reports from it.

**Voucher Date** – The day that Debit Gateway receives transactions from OTCnet.

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



**OTCnet**<sup>SM</sup>

**DEPOSITS MADE SIMPLE**

BUREAU OF THE FISCAL SERVICE

## **Chapter 5: Configuring Deposit Processing Settings**

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**OTCnet Participant User Guide**

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# Audience, Overview and Topics

## Audience

The intended audience for the Configuring Deposit Processing Settings Participant User Guide includes:

- Accounting Specialist
- Local Accounting Specialist (see Chapter 1 for specific permissions)

## Overview

Welcome to *Configuring Deposit Processing Settings*. In this chapter, you will learn:

- How to create, edit and delete custom labels
- How to set your options for processing deposits
- How to create, edit and delete user defined fields specific to your agency

## Topics

This chapter is organized by the following topics:

1. Maintaining Accounting Codes
2. Managing Custom Labels
3. Managing Processing Options
4. Creating and Editing User Defined Fields

## Topic 1. Managing Custom Labels

After you manage your organization hierarchy and enter the appropriate accounting codes, you can customize the labels of the fields in the deposit preparation page that your organization's **Deposit Preparers** and **Deposit Approvers** see when they are preparing and submitting deposits or in reports. These are called custom labels. A custom label allows you to define a level in the organization hierarchy, the internal control number, or agency accounting code. Performing this customization is optional.

For example, if your agency refers to *Accounting Codes* as *Financial Numbers* you can have the custom label changed to *Financial Number*. As an **Accounting Specialist**, you can define, update or view a custom label.

### Define a Custom Label

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Custom Labels** and click **Modify**.

Figure 1. Select Custom Labels>Modify



- The *Select OTC Endpoint* page appears. Select the highest level OTC Endpoint for which you want to modify custom labels.

Figure 2. Select OTC Endpoint

- The *Step 1 of 2: Update Custom Labels* page appears. Update the custom label(s) for the organization hierarchy and click **Next**.

Update the labels by

- Entering a title for your **Organization Hierarchy Labels**.
- Entering an agency accounting code title for the **Accounting Code Definition Label**

Figure 3. Step 1 of 2: Update Custom Labels

**Note:** You can define a new Organization Hierarchy Label or update the existing label(s). You can also modify the label of the accounting code definition.

- The *Step 2 of 2: Review Custom Labels* page appears. Verify the information is correct and click **Submit**.

Figure 4. Step 2 of 2: Review Custom Labels

**Modify Custom Labels** 1 2 3

**Step 2 of 2: Review Custom Labels**

Verify the following information is correct and click **Submit** to modify the custom labels for the organization hierarchy. [\[Edit\]](#)

Organization Hierarchy: TTTL - Training Team Top Level

Organization Hierarchy Labels	
Level	Label
Highest Level:	Training Team Top Level
Level 2:	
Level 3:	

Accounting Code Definition Label	
Agency Accounting Code	TAS/Accounting Codes

[< Previous](#)
[Cancel](#)
[Submit](#)

**Note:** From the *Step 2 of 2: Review Custom Labels* page, click **Edit** if you need to make additional changes after reviewing the information and return to Step 3.

- A *Confirmation* page appears showing that the custom labels have been modified for the organization hierarchy.

Figure 5. Modify Custom Labels Confirmation

**Modify Custom Labels**

**Confirmation**

The following custom labels have been modified for the organization hierarchy.

Organization Hierarchy: TTTL - Training Team Top Level

Organization Hierarchy Labels	
Level	Label
Highest Level	Training Team Top Level
Level 2:	
Level 3:	

Accounting Code Definition Label	
Agency Accounting Code	TAS/Accounting Codes

[Return Home](#)



## Define a Custom Label

To modify a custom label, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Custom Labels** and click **Modify**. The *Select OTC Endpoint* page appears.
3. Select the highest level OTC Endpoint for which you want to modify custom labels. The *Step 1 of 2: Update Custom Labels* page appears.
4. Update the custom label(s) for the organization hierarchy and click **Next**. The *Step 2 of 2: Review Custom Labels* page appears.

Update the labels by,

- Entering a title for your **Organization Hierarchy Labels**.
- Entering an agency accounting code title for the **Accounting Code Definition Label**



### Application Tip

You can define a new Organization Hierarchy Label or update the existing label(s). You can also modify the label of the accounting code definition.

5. Verify the information is correct and click **Submit**. A confirmation page appears showing that the custom labels have been modified for the organization hierarchy.



### Application Tip

Click **Edit** if you need to make additional changes after reviewing the information and return to Step 4.



### Application Tip

Additional buttons on the page help you perform other tasks:

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Edit** to return to the previous page.
- Click **Previous** to return to the previous page.
- Click **Submit** to complete the process and display the Confirmation page.
- Click **Return Home** to return to the OTCnet Home Page.



## Modify a Custom Label

To modify a custom field label,

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Custom Labels>Modify**. The *Select OTC Endpoint* page appears.
3. Select the organization endpoint for which you want to modify custom labels. *The Step 1 of 2: Update Custom Labels* appears.
4. Update the custom labels for the organization hierarchy and click **Next**. The *Step 2 of 2: Review Custom Labels* page appears.



### Application Tip

If an Agency Accounting Code label is customized, it is displayed as the label above the imported or modified codes within the Maintain Accounting Codes module, according to the custom label that was defined for the highest level organization. Within the rest of the application, custom labels apply to deposit processing functionalities, but are not extended to check processing functionalities. The default accounting code label is **Agency Accounting Code**.

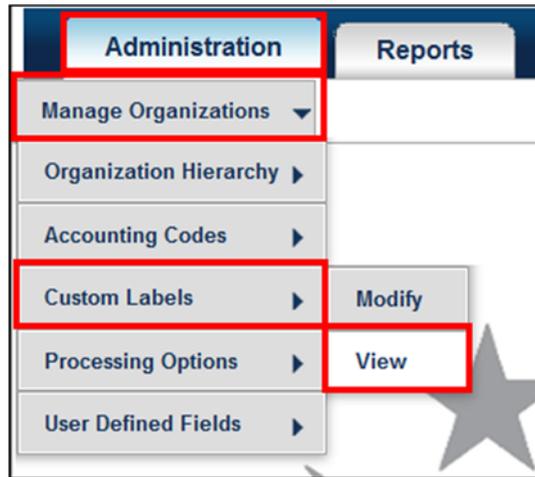
5. Verify the information is correct and click **Submit**.
6. A *Confirmation* page appears showing that the custom labels have been modified for the organization hierarchy.

## View a Custom Label

You use the **View** function to review the custom labels that are in effect for your organization's deposit preparation fields.

1. Click the **Administration** tab. From the **Manage Organizations** menu, select **Custom Labels** and click **View**.

Figure 6. Select Custom Labels>View



2. The *Select OTC Endpoint* page appears. Select the highest level organization for which you would like to view the custom labels.

Figure 7. Select OTC Endpoint

A screenshot of a web application window titled 'Modify Custom Labels'. The window has a blue header bar with the title and a small '1' in a blue square. Below the header, there is a section titled 'Select OTC Endpoint' with a dark blue background. The text below reads: 'Select the top level OTC Endpoint to modify custom labels.' Below this, there are three colored codes: 'CHK' in red, 'TGA' in green, and 'M' in green, followed by their respective meanings: 'denotes check capture', 'denotes deposit processing', and 'denotes mapped accounting code(s)'. Underneath, the text 'Organization Hierarchy: High Level Organizations' is displayed. A single organization, 'TTHL - Training Team Top Level', is listed and highlighted with a red box. At the bottom right of the form area, there is a 'Cancel' button.

- 3. The *View Custom Labels* page appears showing which custom labels are in effect for the organization hierarchy.

Figure 8. View Custom Labels

The screenshot shows a web interface titled "View Custom Labels". Below the title is a dark blue header with the text "View Custom Labels". The main content area contains the text "The following custom labels are in effect for the organization hierarchy." followed by "Organization Hierarchy: TTTL - Training Team Top Level -00002099". There are two tables: "Organization Hierarchy Labels" and "Accounting Code Definition Label".

Organization Hierarchy Labels	
Level	Label
Highest Level	Training Team Top Level
Level 2:	
Level 3:	

Accounting Code Definition Label	
Agency Accounting Code	TAS/Accounting Codes

At the bottom right of the page is a "Return Home" button.



## View a Custom Label

To view a custom label, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Custom Labels** and click **View**. The *Select OTC Endpoint* page appears.
3. Select the highest level organization for which you would like to view the custom labels. The *View Custom Labels* page appears showing which custom labels are in effect for the organization hierarchy.



### Application Tip

Additional buttons on the page help you perform other tasks:

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

## Topic 2. Managing Processing Options

As part of managing your organization hierarchy, you need to define your deposit processing options. **Processing options** are parameters for the deposit and adjustments process. You must first define processing options at the highest level of the organization before defining lower level options. For lower-level organizations, if you do not define these options, then the lower-level organizations will take on the options set for the next higher level organization that does have the options set.

If you do not define processing options, your organization cannot create deposits. You can define processing options at any level within your organization. You can also view the processing options by **OTC Endpoint** report to manage processing options in your organization.

As an **Accounting Specialist**, you can modify the following processing options for your organization's hierarchy:

- **Accounting Classifications for Adjustments:** Identifies the default accounting codes to which you want adjusted amounts credited and debited
- **Correspondence:** Provides the financial institution with address information for any correspondence including returned item information
- **Deposit Preparation:** Sets default settings for deposit preparation to save time for Deposit Preparers
- **Transaction History:** Sets default settings for historical data about transactions

## Modify Processing Options

1. Click the **Administration** tab. From the **Manage Organizations** menu, select **Processing Options** and click **Modify**. The *Step 1 of 3: Select OTC Endpoint* page appears.

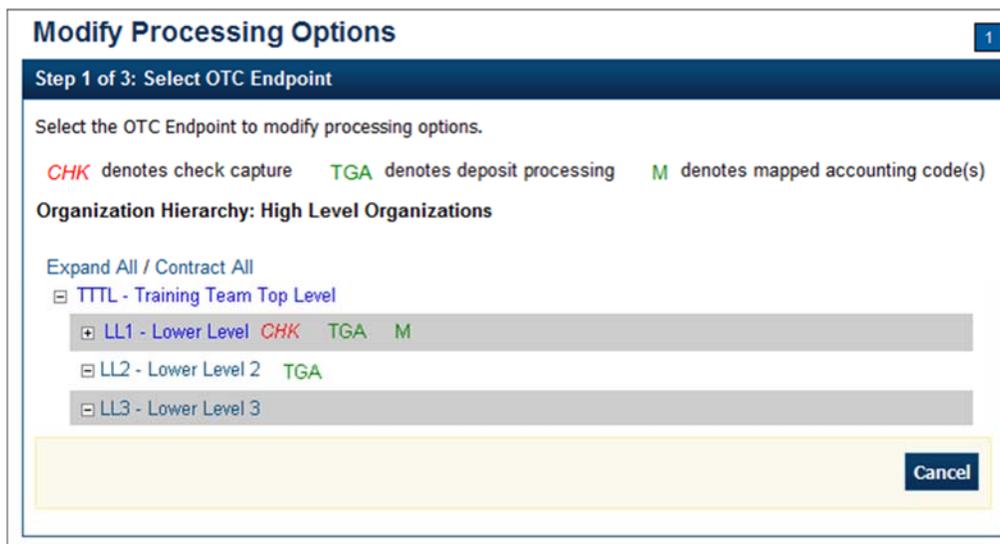
**Note:** Processing options must first be defined for the highest level organization before any lower level organization’s processing options can be defined. If the processing options are not defined for the highest level organization, all lower level organization links will be disabled.

Figure 9. Select Processing Options>Modify



2. Select the OTC Endpoint for which you want to modify a processing option.

Figure 10. Step 1 of 3: Select OTC Endpoint



- The *Step 2 of 3: Define Processing Options* page appears. Modify the processing option(s) and click **Next**.

Figure 11. Step 2 of 3: Define Processing Options

**Note:** To narrow an accounting code search, enter a partial or full accounting code.

All accounting codes that meet your search criteria and are not applied as a debit or credit adjustment to your OTC Endpoint are displayed on the page. If you do not enter search criteria, all the accounting codes defined for the highest level organization appear.

By default, the first ten accounting codes display, first by ascending special character order, then by numerical order and then by ascending alphabetical order by accounting code.

If organization has more than ten accounting codes, click the pagination menu above the section containing the existing accounting codes to view additional pages of results. The system will only allow a user to view and apply active accounting codes not designated as TAS or those designated as TAS and have been validated by SAM.

An accounting code can be assigned to both a debit adjustment and credit adjustment.

After an accounting code is assigned to debit or credit adjustment it appears in the Adjustment Type table.

To modify **Accounting Classifications for Adjustments, Corrections, and Returned Items**, you can:

Update **Default Accounting Codes** by,

- Selecting either **Use parent's values** or **Use my values**
- If selecting to **Use My Values**, entering the **Agency Accounting Code** and clicking the **Search** button (magnifying glass)

- Selecting the **Accounting Code** for the adjustment types you want to modify and clicking **Assign to Debit** or **Assign to Credit**.
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

**Note:** Click Apply to Debit to assign an accounting code to all debt adjustments.  
 Click Apply to Credit to assigning an accounting code to all credit adjustments.

Update **Default Accounting Code Usage** by,

- Selecting either **Use parent’s values** or **Use my values**.
- Selecting either **Always Use the Default for Deposit Adjustments** or **Default based upon Deposit Subtotals for Deposit Adjustments**
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy.

**Figure 12. Step 2 of 3: Define Processing Options page with Accounting Classifications for Adjustments, Corrections, and Returned Items expanded**

**Modify Processing Options** [1] [2]

**Step 2 of 3: Define processing options**

Modify processing options and click Next

Organization Hierarchy: TTTL - Training Team

**Accounting Classifications for Adjustments, Corrections, and Returned Items**

**Default Accounting Codes**

Update the accounting codes used for adjustment

Use parent's values  Use my values

Enter search criteria for the Accounting Code(s) you would like to view.

Agency Accounting Code

**Account Code Results**

<< < 1-3 >> of 3 Records

Select	Account Code	TAS
<input type="radio"/>	1212	
<input type="radio"/>	1213	
<input type="radio"/>	1214	

Adjustment Type/Default Accounting Code	Account Code	TAS
Debit	1212	
Credit	1213	

Allow changes by organization lower in hierarchy

Yes  No

**Default Accounting Code Usage**

Define default accounting code processing for deposit adjustments

Use parent's values  Use my values

Always Use the Default for Deposit Adjustments

Default based upon Deposit Subtotals for Deposit Adjustments

Allow changes by organization lower in hierarchy

Yes  No

> Correspondence

> Deposit Preparation

> Transaction History

To modify **Correspondence**, you can:

Update Returned Items by,

- Selecting **Use parent’s values** or **Use my values**
- Entering the corresponding address information that you would like to be displayed to a financial institution when return item adjustment is created
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update Deposit Adjustment by,

- Selecting **Use parent’s values** or **Use my values**
- Entering the corresponding address information that you would like to be displayed to a financial institution when a deposit adjustment is created
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Figure 13. Define Processing Options page with Correspondence expanded

The screenshot displays the 'Modify Processing Options' interface. At the top, it indicates 'Step 2 of 3: Define processing options' and 'Organization Hierarchy: TTIL - Training Team'. The 'Correspondence' section is expanded, showing two main areas: 'Returned Items' and 'Deposit Adjustments'. Both sections have 'Use my values' selected for updating the correspondence address. The 'Returned Items' section includes fields for Organization Name (Train), Attention, Address Line 1 (111 Train St), Address Line 2, City (McLean), State/Province (Virginia), Postal Code (22102), Country (United States of America), and Contact Phone Number. The 'Allow changes by organization lower in hierarchy' option is selected as 'Yes'. The 'Deposit Adjustments' section has identical fields and settings. At the bottom, there are 'Previous', 'Cancel', and 'Next' navigation buttons.

To modify **Deposit Preparation**, you can:

Update **ITGA Deposit Creation** by,

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** to allow endpoint to create foreign deposits
- If the endpoint accepts foreign deposits, enter the **Default foreign currency when creating deposits** details
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update **Subtotals and Cash Count** by,

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** for each of the following options
  - Include Sub-totals for Checks/Money Orders and Cash
  - Include Currency count and sub-totals by denomination
  - Include Coin count and sub-totals by denomination
  - Allow changes by an organization lower in hierarchy

Update **Accounting Code Subtotals** by,

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** radio for each of the following options
  - Allow negative accounting code subtotals
  - Allow changes by an organization lower in hierarchy

Update **Separation of Duties** by,

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** radio for each of the following options
  - Deposits must be prepared and approved by different employees
  - Allow changes by an organization lower in hierarchy

Figure 14. Update Deposit Processing Options with Deposit Preparation expanded

### Modify Processing Options

1
2

**Step 2 of 3: Define processing options**

Modify processing options and click **Next**

Organization Hierarchy: TTTL - Training Team

▸ Accounting Classifications for Adjustments, Corrections, and Returned Items

▸ Correspondence

▼ **Deposit Preparation**

**ITGA Deposit Creation**

OTC Endpoint Creation of Foreign Deposits  
 Use parent's values  Use my values

Allow OTC Endpoint to create foreign deposits  
 Yes  No

Default foreign currency when creating deposits

Allow changes by organization lower in hierarchy  
 Yes  No

**Subtotals and Cash Count**

Update subtotals and currency/coin counts for deposits  
 Use parent's values  Use my values

Include sub-totals for Checks/Money Orders and Cash  
 Yes  No

Include Currency count and sub-totals by denomination  
 Yes  No

Include coin count and sub-totals by denomination  
 Yes  No

Allow changes by organization lower in hierarchy  
 Yes  No

**Accounting Code Subtotals**

Negative Accounting Code Subtotals  
 Use parent's values  Use my values

Allow negative Accounting Code Subtotals  
 Yes  No

Allow changes by organization lower in hierarchy  
 Yes  No

**Separation of Duties**

Update policy requiring separation of duties for deposit preparation and approval  
 Use parent's values  Use my values

Deposits must be prepared and approved by different employees  
 Yes  No

Allow changes by organization lower in hierarchy  
 Yes  No

▸ Transaction History

Modify **Transaction History** by,

- Selecting **Use parent’s values** or **Use my values**
- Entering the **Number of days displayed** in the text box (if applicable)
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy and click **Next**.

Figure 15. Deposit Procession Options with Transaction History expanded

The screenshot shows a web application window titled "Modify Processing Options" with a progress indicator showing step 2 of 3. The main heading is "Step 2 of 3: Define processing options" with the instruction "Modify processing options and click Next". The organization hierarchy is listed as "TTTL - Training Team Top Level -00002099". There are four expandable sections: "Accounting Classifications for Adjustments, Corrections, and Returned Items", "Correspondence", "Deposit Preparation", and "Transaction History". The "Transaction History" section is expanded, showing options to "Update the number of days displayed" with radio buttons for "Use parent's values" and "Use my values" (selected). A text box for "Number of days displayed\*" contains the value "15". Below this is a section for "Allow changes by organization lower in hierarchy" with radio buttons for "Yes" (selected) and "No". At the bottom right, there are three buttons: "< Previous", "Cancel", and "Next >" (highlighted in red).

- The *Step 3 of 3: Review the following processing options* page appears. Verify the information is correct and click **Submit**.

**Figure 16. Step 3 of 3: Review the Following Processing Options with Accounting Classifications for Adjustments, Corrections, and Returned Items expanded**

### Modify Processing Options

1
2
3

**Step 3 of 3: Review the following processing options**

Verify the following information is correct and click **Submit** to store the processing options.

[Edit]

Organization Hierarchy: TTTL - Training Team

▼ Accounting Classifications for Adjustments, Corrections, and Returned Items

**Default Accounting Codes**

Adjustment Type/Default Accounting Code	Account Code	TAS
Debit	1212	
Credit	1213	

Inherit Option from Parent	No
Can Descendant Org Modify	Yes

**Default Accounting Code Usage**

Default based upon Deposit Subtotals for Deposit Adjustments	Yes
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

› Correspondence

› Deposit Preparation

› Transaction History

« Previous
Cancel
**Submit**

Figure 17. Review the Following Processing Options with Correspondence expanded

▼ Correspondence

**Returned Items**

Organization Name	<b>Train</b>
Attention	
Address Line 1	<b>111 Train St</b>
Address Line 2	
City	<b>McLean</b>
State/Province	<b>VA</b>
Country	<b>US</b>
Postal Code	<b>22102</b>
Contact Phone Number	
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

**Deposit Adjustments**

Organization Name	<b>Train</b>
Attention	
Address Line 1	<b>111 Train St</b>
Address Line 2	
City	<b>McLean</b>
State/Province	<b>VA</b>
Country	<b>US</b>
Postal Code	<b>22102</b>
Contact Phone Number	
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

**Figure 18. Review the Following Processing Options with Deposit Preparation expanded**

**▼ Deposit Preparation**

**ITGA Deposit Creation**

Allow OTC Endpoint to create foreign deposits	<b>Yes</b>
Default foreign currency when creating deposits	<b>AUD</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

**Subtotals and Cash Count**

Include sub-totals for Checks/Money Orders and Cash	<b>Yes</b>
Include Currency count and sub-totals by denomination	<b>Yes</b>
Include coin count and sub-totals by denomination	<b>Yes</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

**Accounting Code Subtotals**

Allow negative numbers on accounting sub-total amounts	<b>Yes</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

**Separation of Duties**

Deposits must be prepared and approved by different employees	<b>No</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

**Figure 19. Review the Following Processing Options with Transaction History expanded**

**Transaction History**

Number of days displayed in Transaction History	<b>15</b>
Inherit Option from Parent	<b>No</b>
Can Descendant Org Modify	<b>Yes</b>

« Previous
Cancel
Submit

- 5. A *Confirmation* page appears showing which processing options were applied to the organization.

Figure 20. Modify Processing Options Confirmation

**Modify Processing Options**

**Confirmation**

The following processing options now apply to this organization

Organization Hierarchy: TTTL - Training Team Top Level -00002099

Accounting Classifications for Adjustments, Corrections, and Returned Items

Default Accounting Codes

Adjustment Type/Default Accounting Code	Account Code	TAS
Debit	1212	
Credit	1213	
Inherit Option from Parent	No	
Can Descendant Org Modify	Yes	

Default Accounting Code Usage

Default based upon Deposit Subtotals for Deposit Adjustments	Yes
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

Correspondence

Deposit Preparation

Transaction History

[Return Home](#)



## Modify a Processing Option

To modify a processing option, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Processing Options>Modify**. The *Step 1 of 3: Select Organization Endpoint* page appears.



### Application Tip

Processing options must first be defined for the highest level organization before any lower level organization's processing options can be defined. If the processing options are not defined for the highest level organization, all lower level organization links will be disabled.

3. Select the OTC Endpoint for which you want to modify a processing option. The *Step 2 of 3: Define Processing Options* page appears.
4. Modify the processing option(s) and click **Next**.

To modify **Accounting Classifications for Adjustments, Corrections, and Returned Items**, you can:

Update **Default Accounting Codes** by

- Selecting either **Use parent's values** or **Use my values**
- Entering the search criteria for the accounting code you would like to view and click **Search** (magnifying glass)



### Application Tip

To narrow an accounting code search, enter a partial or full accounting code.

Or

- Clicking **Search** (magnifying glass) to view accounting codes



### Application Tip

All accounting codes that meet your search criteria and are not applied as a debit or credit adjustment to your OTC Endpoint are displayed on the page. If you do not enter search criteria, all the accounting codes defined for the highest level organization appear.



### Application Tip

By default, the first ten accounting codes display, first by ascending special character order, then by numerical order and then by ascending alphabetical order by accounting code.



### Application Tip

If organization has more than ten accounting codes, click the pagination menu above the section containing the existing accounting codes to view additional pages of results. The system will only allow a user to view and apply active accounting codes not designated as TAS or those designated as TAS and have been validated by SAM.

- Selecting the accounting code to apply a credit and/or debit adjustment type and click **Assign to Debit** and/or **Assign to Credit**



### Application Tip

An accounting code can be assigned to both a debit adjustment and credit adjustment.



### Application Tip

After an accounting code is assigned to debit or credit adjustment it appears in the Adjustment Type table.

- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update **Default Accounting Code Usage** by

- Selecting either **Use parent's values** or **Use my values**
- Selecting either **Always Use the Default for Deposit Adjustments** or **Default based upon Deposit Subtotals for Deposit Adjustments**
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

To modify **Correspondence**, you can:

Update **Returned Items** by

- Selecting **Use parent's values** or **Use my values**
- Entering the corresponding address information that you would like to be displayed to a financial institution when return item adjustment is created

- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update Deposit Adjustment by

- Selecting Use parent's values or Use my values
- Entering the corresponding address information that you would like to be displayed to a financial institution when a deposit adjustment is created
- Selecting Yes or No to allow changes by an organization lower in hierarchy

To modify **Deposit Preparation**, you can

Update **ITGA Deposit Creation** by

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** to allow endpoint to create foreign deposits
  - If the endpoint accepts foreign deposits, enter the **Default foreign currency when creating deposits** details
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

Update **Subtotals and Cash Count** by

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** for each of the following options
  - Include Sub-totals for Checks/Money Orders and Cash
  - Include Currency count and sub-totals by denomination
  - Include Coin count and sub-totals by denomination
  - Allow changes by an organization lower in hierarchy

Update **Accounting Code Subtotals** by

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** for each of the following options
  - Allow negative accounting code subtotals
  - Allow changes by an organization lower in hierarchy

Update **Separation of Duties** by

- Selecting **Use parent's values** or **Use my values**
- Selecting **Yes** or **No** for each of the following options
  - Deposits must be prepared and approved by different employees
  - Allow changes by an organization lower in hierarchy

To modify **Transaction History**, you can by

- Selecting **Use parent's values** or **Use my values**
- Entering the **Number of days displayed** in the text box, if applicable
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy

5. The *Step 3 of 3: Review the following processing options* page appears. Verify the information is correct and click **Submit**.
6. A *Confirmation* page appears showing which processing options were applied to the organization.

**Application Tip**

If additional changes are required after reviewing the information, click **Edit** and return to step 4.

**Application Tip**

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

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.  
Click **Edit** to return to the previous page.
- Click **Next** to advance to the next page.
- Click **Previous** to return to the previous page.
- Click **Submit** to complete the process and display the Confirmation page.
- Click **Return Home** to return to the OTCnet Home Page.

## View Processing Options

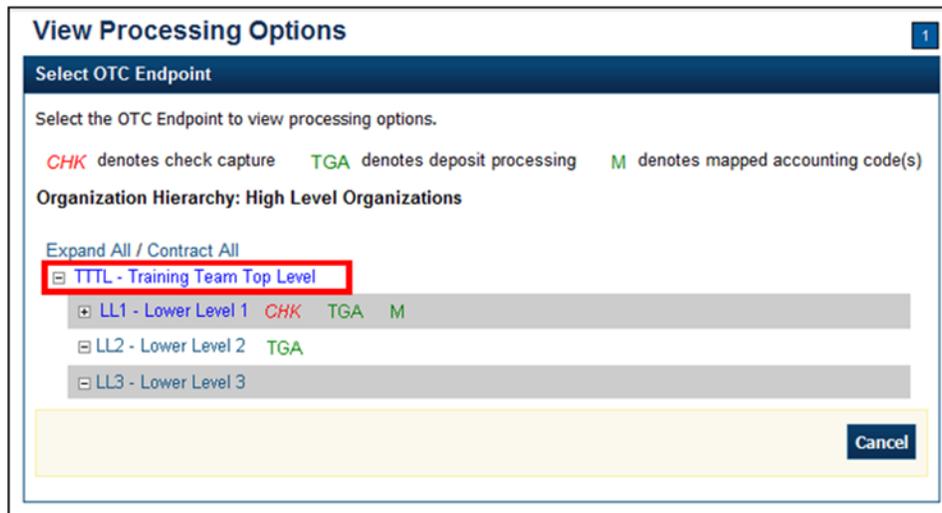
1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Processing Options** and click **View**

Figure 21. Select Processing Options>View



3. The *Select OTC Endpoint* page appears. Select the highest level organization or any lower level OTC Endpoint for which you would like to view the processing options.

Figure 22. Select OTC Endpoint for Processing Options



- 4. A View Processing Options page appears showing which custom labels are in effect for the organization hierarchy.

Figure 23. View Processing Options

**View Processing Options**

The following processing options now apply to this organization  
Organization Hierarchy: TTL - Training Team

Accounting Classifications for Adjustments, Corrections, and Returned Items

Default Accounting Codes

Adjustment Type/Default Accounting Code
Debit
Credit
Inherit Option from Parent
Can Descendant Org Modify

Default Accounting Code Usage

Default based upon Deposit
Inherit Option from Parent
Can Descendant Org Modify

Correspondence

Returned Items

Organization Name	Train
Attention	
Address Line 1	111 Train St
Address Line 2	
City	
State/Province	
Country	
Postal Code	
Contact Phone Number	
Inherit Option from Parent	
Can Descendant Org Modify	

Deposit Preparation

ITGA Deposit Creation

Allow OTC Endpoint to create foreign deposits	Yes
Default foreign currency when creating deposits	AUD
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

Transaction History

Number of days displayed in Transaction History	15
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

Deposit Adjustments

Organization Name	
Attention	
Address Line 1	
Address Line 2	
City	
State/Province	
Country	
Postal Code	
Contact Phone Number	
Inherit Option from Parent	
Can Descendant Org Modify	

Accounting Code Subtotals

Allow negative numbers on accounting sub-total amounts	Yes
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

Separation of Duties

Deposits must be prepared and approved by different employees	No
Inherit Option from Parent	No
Can Descendant Org Modify	Yes

Return Home



## View a Processing Option

To view a processing option, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **Processing Options>View**. The *Select Organization Endpoint* page appears.
3. Select the highest level organization or any lower level OTC Endpoint for which you would like to view the processing options. A *View Processing Options* page appears showing which custom labels are in effect for the organization hierarchy.



### Application Tip

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

- Click **Return Home** to return to the OTCnet Home Page.

## Topic 3. Creating and Editing User Defined Fields

You have the ability to provide user defined fields (UDFs) for **Deposit Preparers** to enter deposit activity and accounting activity information during the deposit preparation process. A UDF is a field for the deposit preparer to complete that describes a deposit activity or deposit accounting activity (e.g. driver's license number) specific to your organization. As an **Accounting Specialist** you can create, modify, and delete a UDF for your organization hierarchy.

If your organization elects to use UDFs, you should communicate this to each of your OTC Endpoints and identify what information should be included.

You can perform several tasks in working with UDFs:

- Create a user defined field
- Modify a user defined field
- Delete a user defined field
- View a user defined field

## Create a User Defined Field

You can create up to five user defined fields for your organization: up to three for **Create Deposit** UDF, and up to two for the **Create Deposit Subtotals** UDF. To create a user defined field:

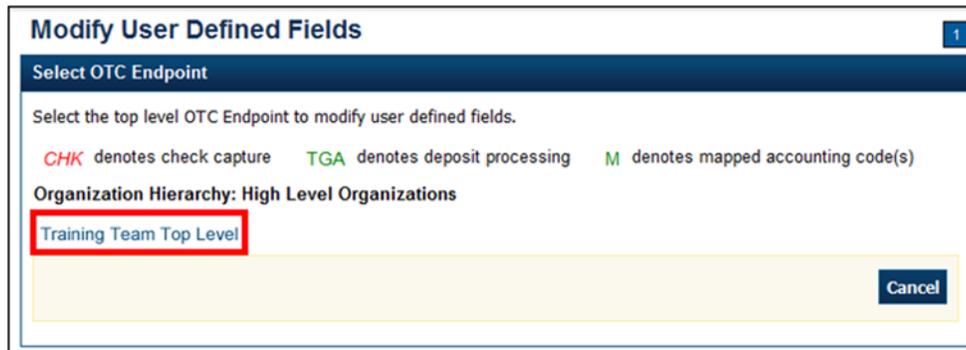
1. Click the **Administration** tab. From the **Manage Organizations** select, **User Defined Fields** and click **Modify**.

Figure 24. Select User Defined Fields>Modify



2. The *Select OTC Endpoint* screen appears. Select the highest level organization for which you want to modify user defined fields (UDFs).

Figure 25. Select OTC Endpoint page



3. The *Step 1 of 3: Select User Defined Field to Maintain* page appears. Click the **Create UDF**.

Figure 26. Select 1 of 3: Select User Defined Field to Maintain

**Modify User Defined Fields** [1] [2]

**Step 1 of 3: Select User Defined Field to Maintain**

Organization Hierarchy: TTTL - Training Team

Click on the activity label to edit the User Defined Field.  
Click on the 'Create UDF' button to create a new User Defined Field.  
Click the related checkbox to delete a User Defined Field.

Activity	Label	Description	Display Order	Data Type	Delete [ Delete All / Undelete All ]
----------	-------	-------------	---------------	-----------	--

Cancel Create UDF Next >>

4. The *Step 2 of 3: Modify the User Defined Field* page appears. Add the user defined field, and click **Done**.

You can add a user defined field by,

- Selecting the **Activity** type for the user defined field
- Entering the **Label** and **Description**
- Selecting a **Data Type**
  - If the *Drop Down List of Alphanumeric Values* **Data Type** is selected, proceed to step 5
  - If another **Data Type** is selected, continue entering in information for the fields below and then proceed to step 6
- Entering the
  - **Maximum Input Length** (Maximum length is 255)
  - **Minimum Input Length**
  - **Display Order Number**
- Selecting **Mandatory** or **Optional** for Activity User Entry.

Figure 27. Select 2 of 3: Modify User Defined Field page

**Note:** A User Defined Field cannot be modified if it is associated with a deposit that is in **Draft** or **Awaiting Approval** status.

If the **Drop Down List of Alphanumeric Values** data type is selected a **Permitted Values** section appears. Click **List Values**. A *Step 2 of 3 (Continued): Define Permitted Values* page appears. Enter details for both the **Value** and **Description**, and click **Done** to return to the *Step 2 of 3: Modify User Defined Field* page.

The Step 3 of 3: *Review* page appears. Verify the User Defined Field information is correct, and click **Submit**.

Click **Edit** if you need to make additional changes before submitting the information and return to Step 4.

Figure 28. Step 3 of 3: Review User Defined Fields page

**Modify User Defined Fields** 1 2 3

**Step 3 of 3: Review**

Verify the User Defined Field information is correct and click **Submit**.

[Edit]

**Active User Defined Fields**

UDF # 1 UDF 1

Activity Type	Create Deposit
Label	UDF 1
Description	UDF 1
Data Type	U.S. Monetary Amount
Display Order Number	1
Activity User Entry	Optional
Minimum Input Length	3
Maximum Input Length	8

No User Defined Fields are marked for deletion.

« Previous Cancel Submit

5. A *Confirmation* page appears showing that the UDF data has been saved to the database.

Figure 29. Modify User Defined Fields Confirmation

**Modify User Defined Fields**

**Confirmation**

The User Defined Field data has been saved to the database.

**Active User Defined Fields**

UDF # 1 UDF 1

Activity Type	Create Deposit
Label	UDF 1
Description	UDF 1
Data Type	U.S. Monetary Amount
Display Order Number	1
Activity User Entry	Optional
Minimum Input Length	3
Maximum Input Length	8

Return Home

## Create a User Defined Field

To create a user defined field (UDF), complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **User Defined Fields** and click **Modify**. The *Select OTC Endpoint* screen appears.
3. Select the highest level organization for which you want to modify user defined fields (UDFs). The *Step 1 of 3: Select User Defined Field to Maintain* page appears.
4. Click the **Create UDF**. The *Step 2 of 3: Modify the User Defined Field* page appears.
5. Add the user defined field, and click **Done**.

You can add a user defined field by

- Selecting the **Activity** type for the user defined field
- Entering the **Label** and **Description**
- Selecting a **Data Type**
  - If the **Drop Down List of Alphanumeric Values** Data Type is selected, proceed to step 6.
  - If another **Data Type** is selected, continue entering in information for the fields below and then proceed to step 7.
- Entering the
  - **Maximum Input Length** (Maximum length is 255)
  - **Minimum Input Length**
  - **Display Order Number**
- Selecting **Mandatory** or **Optional** for Activity User Entry



### Application Tip

A User Defined Field cannot be modified if it is associated with a deposit that is in Draft or Awaiting Approval status.



### Application Tip

If the **Drop Down List of Alphanumeric** values data type is selected a **Permitted Values** section appears. Click **List Values**. A *Step 2 of 3 (Continued): Define Permitted Values* page appears. Enter details for both the **Value** and **Description**, and click **Done** to return to the *Step 2 of 3: Modify the User Defined Field* page.

6. The Step 3 of 3: Review page appears. Verify the User Defined Field information is correct, and click Submit. A confirmation page appears showing that the UDF data has been saved to the database.

**Application Tip**

Click **Edit** if you need to make additional changes before submitting the information and return to Step 5.

**Application Tip**

Additional buttons on the page help you perform other tasks:

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

## Modify a User Defined Field

You can modify a user defined field as needed to accommodate your organization's changing needs. Note that you cannot modify a user defined field that is associated with a deposit that is still in **Draft** or **Awaiting Approval (AWAP)** status. **Draft** or **AWAP** deposits must be submitted to the Financial Institution before you can modify any user defined fields associated with them.

1. Click the **Administration** tab. From the **Manage Organizations** select, **User Defined Fields** and click **Modify**.
2. The *Select OTC Endpoint* screen appears. Select the highest level organization for which you want to modify user defined fields (UDFs).
3. The *Step 1 of 3: Select User Defined Field to Maintain* page appears. Click the user defined field **Label** hyperlink.

Figure 30. Step 1 of 3: Select User Defined Field to Maintain

**Modify User Defined Fields** [1] [2]

**Step 1 of 3: Select User Defined Field to Maintain**

Organization Hierarchy: TTTL - Training Team

Click on the activity label to edit the User Defined Field.

Click on the 'Create UDF' button to create a new User Defined Field.

Click the related checkbox to delete a User Defined Field.

Activity	Label	Description	Display Order	Data Type	Delete [ Delete All / Undelete All ]
Create Deposit	UDF 1	UDF 1	1	U.S. Monetary Amount	<input type="checkbox"/>

Cancel Create UDF Next >

4. The *Step 2 of 3: Modify the User Defined Field* page appears. Make the changes to the user defined field and click **Done**.

**Note:** A User Defined Field cannot be modified if it is associated with a deposit that is in Draft or Awaiting Approval status.

5. The *Step 3 of 3: Review* page appears. Verify the user defined field information is correct, and click **Submit**. A confirmation page appears showing that the UDF data has been saved to the database.

**Note:** Click **Edit** if you need to make additional changes before submitting the information and return to Step 4.

## Modify a User Defined Field

To modify an existing user defined field, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **User Defined Fields** and click **Modify**. The *Select OTC Endpoint* screen appears.
3. Select the highest level organization for which you want to modify user defined field. The *Step 1 of 3: Select User Defined Field to Maintain* page appears.
4. Click the user defined field **Label** hyperlink. The *Step 2 of 3: Modify User Defined Field* page appears.
5. Make the changes to the user defined field and click **Done**. The *Step 1 of 3: Select User Defined Field to Maintain* page appears.



### Application Tip

A User Defined Field cannot be modified if it is associated with a deposit I that is in **Draft** or **Awaiting Approval** status.

6. Click **Next**. The *Step 3 of 3: Review* page appears.
7. Verify the correct user defined field information is correct and click **Submit**. A confirmation page appears showing that the user defined field data has been save to the database.



### Application Tip

Click **Edit** if you need to make additional changes before submitting the data and return to Step 4.



### Application Tip

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Create UDF** to create a new user defined field.
- Click **Next** to advance to the next page.
- Click **Previous** to return to the previous page.
- Click **Edit** to return to the previous page.
- Click **Submit** to complete the process and display the Confirmation page.
- Click **Return Home** to return to the OTCnet Home Page.

## Delete a User Defined Field

If you find that you do not use a particular user defined field, you can delete it to save labor for your **Deposit Preparers**.

1. Click the **Administration** tab. From the **Manage Organizations** select, **User Defined Fields** and click **Modify**.
2. The *Select OTC Endpoint* screen appears. Select the highest level organization for which you want to delete the user defined field.
3. The *Step 1 of 3: Select User Defined Field to Maintain* page appears. Click the **Delete** checkbox next to the appropriate field (note that to delete all the user defined fields, you can click **Delete All**) and click **Next**.

Figure 31. Select 1 of 3: Select User Defined Field to Maintain

**Modify User Defined Fields** [1] [2]

**Step 1 of 3: Select User Defined Field to Maintain**

Organization Hierarchy: TTTL - Training Team

Click on the activity label to edit the User Defined Field.

Click on the 'Create UDF' button to create a new User Defined Field.

Click the related checkbox to delete a User Defined Field.

Activity	Label	Description	Display Order	Data Type	Delete [ Delete All / Undelete All ]
Create Deposit	UDF 1	UDF 1	1	U.S. Monetary Amount	<input type="checkbox"/>

Cancel Create UDF **Next >>**

**Note:** A User Defined Field cannot be modified if it is associated with a deposit I that is in Draft or Awaiting Approval status.

4. The *Step 3 of 3: Review* page appears. Verify the correct information is marked for deletion and click **Submit**. A confirmation page appears showing that the user defined field data has been saved to the database.

**Note:** Click Edit if you need to make additional changes before submitting the information and return to Step 3.

## Delete a User Defined Field

To delete a user defined field, complete the following steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** select, **User Defined Fields** and click **Modify**. The *Select OTC Endpoint* screen appears.
3. Select the highest level organization for which you want to delete the user defined field. The *Step 1 of 3: Select User Defined Field to Maintain* page appears.
4. Click the **Delete** checkbox next the appropriate field and click **Next**. The *Step 3 of 3: Review* page appears.



### Application Tip

A User Defined Field cannot be modified if it is associated with a deposit that is in **Draft** or **Awaiting Approval** status.

5. Verify the correct information is marked for deletion and click **Submit**. A confirmation page appears showing that the user defined field data has been saved to the database.



### Application Tip

Click **Edit** if you need to make additional changes before submitting the data and return to Step 4.



### Application Tip

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Create UDF** to create a new user defined field.
- Click **Next** to advance to the next page.
- Click **Previous** to return to the previous page.
- Click **Edit** to return to the previous page.
- Click **Submit** to complete the process and display the Confirmation page.
- Click **Return Home** to return to the OTCnet Home Page.

## View a User Defined Field

As an **Accounting Specialist**, **Local Accounting Specialist** and **Viewer**, you can view the user defined fields that exist for your organization.

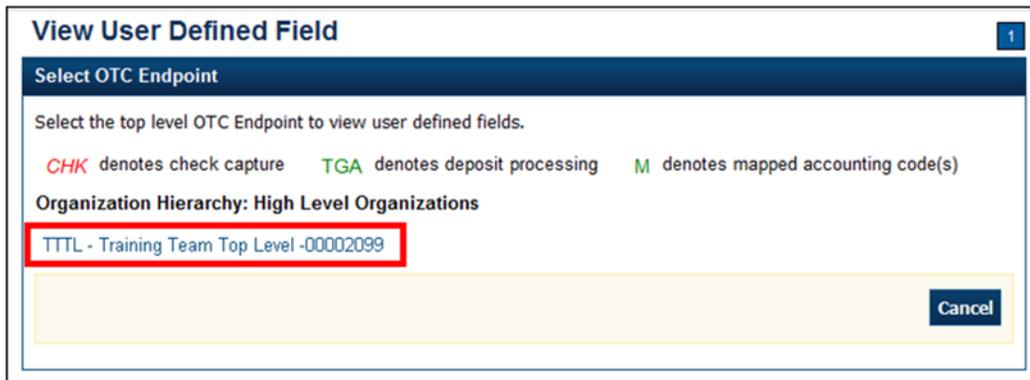
1. Click the **Administration** tab. From the **Manage Organizations** menu, select User Defined Fields and click View.

Figure 32. Select User Defined Fields>View



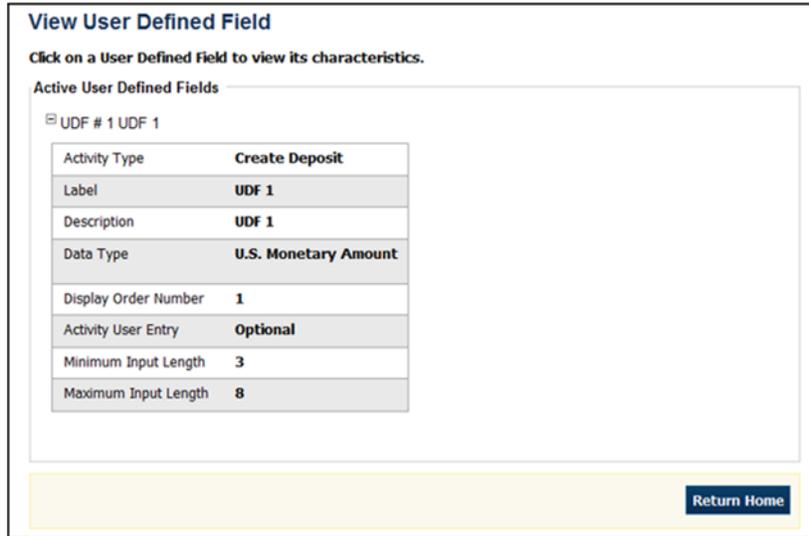
2. The *Select OTC Endpoint* screen appears. Select the highest level organization for which you would like to view user defined field.

Figure 33. Select OTC Endpoint



3. The *View User Defined Field* page appears. Click on any of the user defined fields to view its characteristics (e.g. activity type, label, description, etc.). The characteristics appear.

Figure 34. View User Defined Field





## View a User Defined Field

To view detailed information about a user defined field, follow these steps:

1. Click the **Administration** tab.
2. From the **Manage Organizations** menu, select **User Defined Fields** and click **View**.  
The *Select OTC Endpoint* screen appears.
3. Select the highest level organization for which you would like to view user defined field.  
A *View User Defined Field* page appears.
4. Click on any of the user defined fields to view it characteristics (e.g. activity type, label, description, etc.). The characteristics appear.



## Glossary

### A

**Accounting Code** – A unique agency classification code assigned to a transaction, which identifies the FRB Account Key that is used within the Federal Reserve. In check capture, it is a method of grouping individual check transactions into certain classifications. In deposit reporting, the classification is being done at a voucher level, where a voucher is being classified with one or many agency defined accounting codes or TAS.

**Accounting Code Description** – A brief explanation that provides further detail about an accounting code.

**Accounting Code Name** – The title of the accounting code.

**Accounting Key** – The account number assigned to a deposit when it is submitted to FRB CA\$HLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

**Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.

**Acknowledged Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Acknowledged Error Batch Status** – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which resulted in a batch being updated to Acknowledgment Error.

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

**Activity Type** – The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

**Adjustment Activity (FI) Report** – A business report that allows you to view adjustments made by your financial institution (FI).

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

**Adjustments by OTC Endpoints Report** – A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

**Agency CIRA Report** – A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

**Agency Contact** – A person designated by an agency as the primary contact regarding deposit-related matters.

**Agency Information** – The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

**Agency Location Code (ALC)** – A numeric symbol identifying the agency accounting and/or reporting office.

**Agency Location Code plus 2 (ALC+2)** – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

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

**Alternate Agency Contact** – A person designated by an agency as the secondary contact regarding deposit-related matters.

**American Bankers Association (ABA)** – (also known as Bank Routing Number) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

**Approved Batch Status** – Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

**Audit Log** – A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a comma separated value report (CSV) and opened in a spreadsheet program or available to print in a formatted audit log report.

**Automated Clearing House** – A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

**Awaiting Approval (AWAP)** – A deposit that is waiting for deposit confirmation by a Deposit Approver.

## B

**Back Office Processing Method** – Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

**Batch** – A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

**Batch Approver** – An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Batch Control/Batch Balancing** – An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

**Batch ID** – The unique number assigned to a batch by OTCnet.

**Batch List Report** – A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

**Batch Status** – Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

**Batch Uploader** – An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Blocked** – A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

**Bureau of the Fiscal Service (FS)** – (formerly FMS) The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

**Business Event Type Code (BETC)** – A code used in the CARS/GWA system to indicate the type of activity being reported, such as payments, collections, borrowings, etc. This code must accompany the Treasury Account Symbol (TAS).

## C

**CA\$HLINK II** – An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

**CA\$HLINK II Account Number (CAN)** – The account number assigned to a deposit when it is submitted to CA\$HLINK II.

**Capture Date** – The calendar date and time the payment is processed by the agency.

**Cashier ID** – The ID of the user that created the transaction.

**Central Accounting Reporting System (CARS)** – (formerly GWA) The system that addresses the central accounting and reporting functions and processes associated with budget execution, accountability, and cash/other asset management. This includes the collection and dissemination of financial management and accounting information from and to federal program agencies.

**Central Image and Research Archive (CIRA)** – The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

**Characteristics** – The properties of a user, organization, deposit, or financial institution.

**Check 21** – Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

**Check Amount** – The dollar amount of the check.

**Check Capture** – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

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

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

**Check Capture Offline** – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

**Check Capture Online** – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

**Check Capture Operator** – An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

**Check Capture Supervisor** – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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

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

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

**CIRA CSV Report** – A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

**CIRA Viewer** – A user that has authorization to view CIRA records and download CSV files. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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

**Clear** – Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

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

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

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

**Collections Information Repository (CIR)** – (formerly TRS) A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Comma Separated Values (CSV)** – A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

**Confirmed** – A deposit that has been reviewed and then confirmed by a financial institution or FRB.

**Cost Center Work Unit (CCWU)** – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

**Custom Label** – Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

**Customer Not Present Processing Method** – The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

**Customer Present Processing Method** – The processing method used in the OTCnet when the check writer is presenting the check in person.

## D

**Daily Voucher Report** – A business report that allows you to view the daily voucher extract.

**Data Type** – The type of data that should be entered for a user defined field.

**Date of Deposit** – The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

**Debit Gateway** – The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

**Demand Deposit Account (DDA)** – The account at a financial institution where an organization deposits collections.

**Denied** – Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

**Deny Date** – Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

**Deposit** – A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

**Deposit Activity (FI) Report** – A business report that allows the financial institution to view deposits submitted to its location.

**Deposit Approver** – A user who has authorization to review and submit deposits to a financial institution.

**Deposit Confirmer** – A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

**Deposit History by Status Report** – A business report that allows you to view deposits by status.

**Deposit Information** – The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

**Deposit Preparer** – A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

**Deposit Total** – The total amount of over-the-counter receipts included in the deposit.

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

**Deposits by Accounting Code Report** – A business report that allows you to view deposits by accounting code.

**Deposits by OTC Endpoint Report** – A business report that allows you to view deposits by OTC Endpoint.

**Display Order Number** – The order in which user defined fields (UDFs) should be displayed.  
**Draft** – A deposit that is saved for modification at a later date by a Deposit Preparer.

## E

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

## F

**Failed** – The item was unable to be processed and/or settled by Treasury/BFS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

**Federal Program Agency** – A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

**Federal Reserve Bank (FRB)** – A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

**Federal Reserve Bank-Cleveland (FRB-C)** – FRB-C serves as the conduit for settlement of transactions originating from the OTCnet application. FRB-C is responsible for receiving the transaction data from OTCnet via forward file, and performing check clearing/transaction settlement as the ‘debit gateway’.

**Federal Reserve System's Automated Clearing House (ACH) System** – Enables debits and credits to be sent electronically between depository financial institutions.

**Financial Institution (FI)** – A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

**Financial Institution Information** – The name, address, routing transit number, and the demand deposit account number of a financial institution.

**Firmware** – A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

**Fiscal Year** – A 12-month period for which an organization plans the use of its funds.

**Forwarded Batch Status** – Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

**Forwarded File** – A term that is assigned to a file that contains the check transactions that is send from channel applications, such as OTCnet or ECP, to Debit Gateway for settlement purposes.

**Franker** – An internal stamp unit that stamps a check with “Electronically Processed” after the check is processed and scanned. Franker availability is based on the model of your scanner.

**Franking** – The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

## H

**Highest Level Organization** – The primary level of the organization hierarchy.

## I

**IBM Tivoli Identity Manager (ITIM)** – Refers to Fiscal Service’s Enterprise provisioning tool for user account and identity management.

**Individual Reference Number (IRN)** – The auto-generated unique number used in OTCnet to identify Check Capture transactions.

**Input Length Maximum** – The maximum number of characters that may be entered in a user defined field.

**Input Length Minimum** – The minimum number of characters that may be entered in a user defined field.

**Internal Control Number** – A customizable field for agency use to further describe a deposit.

**Item Detail Report** – A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

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

## L

**Local Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish, maintain, and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

**Local Security Administrator (LSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Local Verification Database (LVD)** – A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

**Lower Level Organization** – Any organization created below the highest level organization.

**LVD Contents Report** – A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

## M

**Magnetic Ink Character Recognition (MICR)** – Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

**Master Verification Database (MVD)** – It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

**MVD Editor** – A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

**MVD Viewer** – A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

## N

**Non-Personal Item Type** – Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

**Non-Reporting OTC Endpoints Report** – A business report that allows you to view OTC Endpoints that have not reported a deposit.

## O

**Open Batch Status** – Indicates the batch is open and accepting new checks.

**Organization** – The location or level within a Federal Program agency.

**Organization Hierarchy** – The structure of a Federal Program agency as defined in OTCnet.

**Organization Hierarchy Report** – A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

**OTC Collections** – Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

**OTC Endpoint** – The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

**OTC Endpoint (CHK)** – The endpoint (location) setup in OTCnet to use check capture.

**OTC Endpoint (TGA)** – The endpoint (location) setup in OTCnet to use Deposit Reporting.

**OTC Endpoint Mapping** – The assignment of accounting codes to an agency’s OTC Endpoint, for which a deposit amount can be allocated.

**OTCnet Offline** – Refers to the over the counter application that provides Check Capture functionality to end users with limited internet connectivity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

**OTCnet Online** – Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet connectivity).

**Over the Counter Channel Application (OTCnet)** – Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

## P

**Personal Item Type** – Indicates that the name on check is an individual’s name, not acting as a business.

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

**Primary Local Security Administrator (PLSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Processing Options** – User-defined parameters for the deposit and adjustment processes.

**Processing Options by OTC Endpoints Report** – A business report that allows you to view processing options defined for endpoints within the organization.

## Q

**Queue Interface** – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

## R

**Received** – The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

**Received Date** – The date the check was received by web-based OTCnet.

**Rejected** – A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

**Represented** – This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

**Retired** – This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

**Return Reason Codes** – Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

**Return Settlement Date** – The effective date of settlement of the returned check item.

**Returned Item** – A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

**Routing Transit Number (RTN)** – (also known as American Bankers Association (ABA) Number or Bank Routing Number) – The nine-digit number used to identify a financial institution.

## S

**Save as Draft** – An option that allows a Deposit Preparer to save a deposit for modification at a later date.

**Save for Approval** – An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

**Send Error Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Sent Batch Status** – Indicates the batch was uploaded online without error.

**Separation of Duties** – A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

**Settle Best Method** – The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

**Settled** – This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

**Settlement Date** – The payment date of a check item, which is when the deposit is debited from the check writer's account.

**SF215 Deposit Ticket Report** – The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable for a duration of up to 45 days.

**SF5515 Debit Voucher Report** – The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable in for a duration of up to 45 days.

**Share Accounting Module (SAM)** – The application that facilitates the process of validating or deriving Treasury Account Symbol (TAS) and Business Event Type Code (BETC) combinations to assist CARS/GWA in classifying financial transactions as they occur.

**Short Name/Code** – The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

**Statistical Report** – A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is searchable for a duration of up to 15 days.

**Submit** – An option that allows a Deposit Approver to submit a deposit to a financial institution.

**Submitted** – A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

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

## T

**Terminal ID** – The unique number assigned to the workstation where a user performs functions in OTCnet.

**Trade Status** – Represents the status of the verification records. There are four possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

**Transaction History** – Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

**Transaction Reporting System (TRS)** – A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Treasury Account Symbol (TAS)** – The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

## U

**Universal Serial Bus (USB)** – A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

**US Dollar Equivalent (USE)** – The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

**US Treasury** – The executive department and the Treasury of the United States federal government.

**User Defined Field (UDF)** – A user-defined text that describes deposit activity or deposit accounting activity.

**User Information Report** – A security report allows that you to view a user's contact information.

**Users by Access Group (FI) Report** – A security report that allows you to view users by financial institution.

**Users by Access Group (FPA) Report** – A security report that allows you to view users by OTC Endpoint.

**Users by Role (FI) Report** – A security report that allows you to view users by role for your financial institution.

**Users by Role (FPA) Report** – A security report that allows you to view users by role for your OTC Endpoint.

## V

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

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

**View Vouchers Completed Report** – An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

**View Vouchers in Progress Report** – An administration report allows you to view the status of deposit and adjustment vouchers in progress.

**Viewer** – A user who has authorization to view OTCnet information and produce reports from it.

**Voucher Date** – The day that Debit Gateway receives transactions from OTCnet.

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



**OTCnet**<sup>SM</sup>

**DEPOSITS MADE SIMPLE**

BUREAU OF THE FISCAL SERVICE

## **Chapter 6: Viewing Financial Institutions**

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### **OTCnet Participant User Guide**

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# Audience, Overview and Topics

## Audience

The intended audience for the *Viewing Financial Institutions Participant User Guide* includes:

- FI Confirmer
- FRB Confirmer
- FI Viewer
- FRB Viewer

## Overview

Welcome to *Viewing Financial Institutions*. In this chapter, you will learn:

- How to view a Financial Instruction

## Topics

This chapter covers the following topic:

1. Viewing Financial Institutions

## Topic 1. Viewing Financial Institutions

If you are assigned the role of **FI Confirmer**, **FRB Confirmer**, **FI Viewer**, or **FRB Viewer** you can locate and view Financial Institution details for which you have access to. You can only view a Financial Institution that has an **Active** status.

Viewing a Financial Institution allows you to see related details such as:

- Institution Information
- Routing Transit Numbers (RTN) and Status
- CAN/Acct Key Relationships

### View a Financial Institution

1. Click the **Administration tab**, select **Manage FI**, select **Financial Institution**, and click **View** (see Figure 1).

Figure 1. Select Administration>Manage FI>Financial Institution>View



2. The *View the Financial Institution* page appears. View details for Financial Institutions as show in Figure 2 and Figure 3.

Figure 2. View FRB Detail

## View Financial Institution

Step 2 of 2: View the Financial Institution

Institute Information	
Name	<b>FRB Boston</b>
City	<b>Boston</b>
State / Province	<b>MA</b>
Country	<b>US</b>
Institution Type	<b>FRB</b>
District Number	<b>01</b>
Office Number	<b>1</b>
Accepts Foreign Check Deposits	<b>No</b>
Accepts Foreign Cash Deposits	<b>No</b>

Routing Transit Numbers:

RTN	Status
<b>011000015</b>	<b>Active</b>

CAN/Account Key Relationships:

CAN/Acct Key	Relationship
<b>120</b>	<b>Active</b>
<b>275</b>	<b>Active</b>

Return Home

Figure 3. View Financial Institution Detail

## View Financial Institution

**Step 2 of 2: View the Financial Institution**

Institute Information	
Name	<b>Bank of America</b>
City	<b>Concord</b>
State / Province	<b>CA</b>
Country	<b>US</b>
Institution Type	<b>Commercial</b>
Accepts Foreign Check Deposits	<b>Yes</b>
Accepts Foreign Cash Deposits	<b>Yes</b>
System To System Interface Participant	<b>Yes</b>
Short Name	<b>BOA</b>
Processes Foreign Check Deposits	<b>Yes</b>
Processes Foreign Cash Deposits	<b>Yes</b>

Routing Transit Numbers:

RTN	Status
<b>021867400</b>	<b>Active</b>
<b>032861194</b>	<b>Active</b>
<b>051241164</b>	<b>Active</b>

CAN/Account Key Relationships:

CAN/Acct Key	Relationship
<b>001034</b>	<b>Active</b>
<b>001035</b>	<b>Active</b>
<b>001036</b>	<b>Active</b>
<b>001143</b>	<b>Active</b>

Return Home



## View a Financial Institution

To view a Financial Institution:

1. Click the **Administration tab**.
2. Select **Manage FI** menu, select **Financial Institution**, and click **View**.
3. The *View the Financial Institution* page appears.



### Application Tip

**FI Confirmers**, **FRB Confirmers**, **FI Viewers**, and **FRB Viewers** can view Institution Information, Routing Transit Numbers (RTN) and Status, and CAN/Acct Key Relationships.



### Application Tip

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

- Click **Return Home** to return to the OTCnet Home Page.



## Glossary

### A

**Accounting Code** – A unique agency classification code assigned to a transaction, which identifies the FRB Account Key that is used within the Federal Reserve. In check capture, it is a method of grouping individual check transactions into certain classifications. In deposit reporting, the classification is being done at a voucher level, where a voucher is being classified with one or many agency defined accounting codes or TAS.

**Accounting Code Description** – A brief explanation that provides further detail about an accounting code.

**Accounting Code Name** – The title of the accounting code.

**Accounting Key** – The account number assigned to a deposit when it is submitted to FRB CA\$HLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

**Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.

**Acknowledged Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Acknowledged Error Batch Status** – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which resulted in a batch being updated to Acknowledgment Error.

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

**Activity Type** – The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

**Adjustment Activity (FI) Report** – A business report that allows you to view adjustments made by your financial institution (FI).

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

**Adjustments by OTC Endpoints Report** – A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

**Agency CIRA Report** – A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

**Agency Contact** – A person designated by an agency as the primary contact regarding deposit-related matters.

**Agency Information** – The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

**Agency Location Code (ALC)** – A numeric symbol identifying the agency accounting and/or reporting office.

**Agency Location Code plus 2 (ALC+2)** – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

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

**Alternate Agency Contact** – A person designated by an agency as the secondary contact regarding deposit-related matters.

**American Bankers Association (ABA)** – (also known as Bank Routing Number) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

**Approved Batch Status** – Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

**Audit Log** – A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a comma separated value report (CSV) and opened in a spreadsheet program or available to print in a formatted audit log report.

**Automated Clearing House** – A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

**Awaiting Approval (AWAP)** – A deposit that is waiting for deposit confirmation by a Deposit Approver.

## B

**Back Office Processing Method** – Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

**Batch** – A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

**Batch Approver** – An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Batch Control/Batch Balancing** – An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

**Batch ID** – The unique number assigned to a batch by OTCnet.

**Batch List Report** – A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

**Batch Status** – Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

**Batch Uploader** – An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Blocked** – A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

**Bureau of the Fiscal Service (FS)** – (formerly FMS) The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

**Business Event Type Code (BETC)** – A code used in the CARS/GWA system to indicate the type of activity being reported, such as payments, collections, borrowings, etc. This code must accompany the Treasury Account Symbol (TAS).

## C

**CA\$HLINK II** – An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

**CA\$HLINK II Account Number (CAN)** – The account number assigned to a deposit when it is submitted to CA\$HLINK II.

**Capture Date** – The calendar date and time the payment is processed by the agency.

**Cashier ID** – The ID of the user that created the transaction.

**Central Accounting Reporting System (CARS)** – (formerly GWA) The system that addresses the central accounting and reporting functions and processes associated with budget execution, accountability, and cash/other asset management. This includes the collection and dissemination of financial management and accounting information from and to federal program agencies.

**Central Image and Research Archive (CIRA)** – The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

**Characteristics** – The properties of a user, organization, deposit, or financial institution.

**Check 21** – Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

**Check Amount** – The dollar amount of the check.

**Check Capture** – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

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

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

**Check Capture Offline** – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

**Check Capture Online** – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

**Check Capture Operator** – An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

**Check Capture Supervisor** – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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

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

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

**CIRA CSV Report** – A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

**CIRA Viewer** – A user that has authorization to view CIRA records and download CSV files. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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

**Clear** – Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

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

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

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

**Collections Information Repository (CIR)** – (formerly TRS) A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Comma Separated Values (CSV)** – A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

**Confirmed** – A deposit that has been reviewed and then confirmed by a financial institution or FRB.

**Cost Center Work Unit (CCWU)** – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

**Custom Label** – Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

**Customer Not Present Processing Method** – The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

**Customer Present Processing Method** – The processing method used in the OTCnet when the check writer is presenting the check in person.

## D

**Daily Voucher Report** – A business report that allows you to view the daily voucher extract.

**Data Type** – The type of data that should be entered for a user defined field.

**Date of Deposit** – The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

**Debit Gateway** – The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

**Demand Deposit Account (DDA)** – The account at a financial institution where an organization deposits collections.

**Denied** – Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

**Deny Date** – Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

**Deposit** – A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

**Deposit Activity (FI) Report** – A business report that allows the financial institution to view deposits submitted to its location.

**Deposit Approver** – A user who has authorization to review and submit deposits to a financial institution.

**Deposit Confirmer** – A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

**Deposit History by Status Report** – A business report that allows you to view deposits by status.

**Deposit Information** – The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

**Deposit Preparer** – A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

**Deposit Total** – The total amount of over-the-counter receipts included in the deposit.

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

**Deposits by Accounting Code Report** – A business report that allows you to view deposits by accounting code.

**Deposits by OTC Endpoint Report** – A business report that allows you to view deposits by OTC Endpoint.

**Display Order Number** – The order in which user defined fields (UDFs) should be displayed.  
**Draft** – A deposit that is saved for modification at a later date by a Deposit Preparer.

## E

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

## F

**Failed** – The item was unable to be processed and/or settled by Treasury/BFS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

**Federal Program Agency** – A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

**Federal Reserve Bank (FRB)** – A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

**Federal Reserve Bank-Cleveland (FRB-C)** – FRB-C serves as the conduit for settlement of transactions originating from the OTCnet application. FRB-C is responsible for receiving the transaction data from OTCnet via forward file, and performing check clearing/transaction settlement as the ‘debit gateway’.

**Federal Reserve System's Automated Clearing House (ACH) System** – Enables debits and credits to be sent electronically between depository financial institutions.

**Financial Institution (FI)** – A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

**Financial Institution Information** – The name, address, routing transit number, and the demand deposit account number of a financial institution.

**Firmware** – A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

**Fiscal Year** – A 12-month period for which an organization plans the use of its funds.

**Forwarded Batch Status** – Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

**Forwarded File** – A term that is assigned to a file that contains the check transactions that is send from channel applications, such as OTCnet or ECP, to Debit Gateway for settlement purposes.

**Franker** – An internal stamp unit that stamps a check with “Electronically Processed” after the check is processed and scanned. Franker availability is based on the model of your scanner.

**Franking** – The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

## H

**Highest Level Organization** – The primary level of the organization hierarchy.

## I

**IBM Tivoli Identity Manager (ITIM)** – Refers to Fiscal Service’s Enterprise provisioning tool for user account and identity management.

**Individual Reference Number (IRN)** – The auto-generated unique number used in OTCnet to identify Check Capture transactions.

**Input Length Maximum** – The maximum number of characters that may be entered in a user defined field.

**Input Length Minimum** – The minimum number of characters that may be entered in a user defined field.

**Internal Control Number** – A customizable field for agency use to further describe a deposit.

**Item Detail Report** – A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

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

## L

**Local Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish, maintain, and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

**Local Security Administrator (LSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Local Verification Database (LVD)** – A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

**Lower Level Organization** – Any organization created below the highest level organization.

**LVD Contents Report** – A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

## M

**Magnetic Ink Character Recognition (MICR)** – Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

**Master Verification Database (MVD)** – It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

**MVD Editor** – A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

**MVD Viewer** – A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

## N

**Non-Personal Item Type** – Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

**Non-Reporting OTC Endpoints Report** – A business report that allows you to view OTC Endpoints that have not reported a deposit.

## O

**Open Batch Status** – Indicates the batch is open and accepting new checks.

**Organization** – The location or level within a Federal Program agency.

**Organization Hierarchy** – The structure of a Federal Program agency as defined in OTCnet.

**Organization Hierarchy Report** – A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

**OTC Collections** – Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

**OTC Endpoint** – The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

**OTC Endpoint (CHK)** – The endpoint (location) setup in OTCnet to use check capture.

**OTC Endpoint (TGA)** – The endpoint (location) setup in OTCnet to use Deposit Reporting.

**OTC Endpoint Mapping** – The assignment of accounting codes to an agency’s OTC Endpoint, for which a deposit amount can be allocated.

**OTCnet Offline** – Refers to the over the counter application that provides Check Capture functionality to end users with limited internet connectivity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

**OTCnet Online** – Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet connectivity).

**Over the Counter Channel Application (OTCnet)** – Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

## P

**Personal Item Type** – Indicates that the name on check is an individual’s name, not acting as a business.

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

**Primary Local Security Administrator (PLSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Processing Options** – User-defined parameters for the deposit and adjustment processes.

**Processing Options by OTC Endpoints Report** – A business report that allows you to view processing options defined for endpoints within the organization.

## Q

**Queue Interface** – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

## R

**Received** – The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

**Received Date** – The date the check was received by web-based OTCnet.

**Rejected** – A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

**Represented** – This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

**Retired** – This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

**Return Reason Codes** – Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

**Return Settlement Date** – The effective date of settlement of the returned check item.

**Returned Item** – A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

**Routing Transit Number (RTN)** – (also known as American Bankers Association (ABA) Number or Bank Routing Number) – The nine-digit number used to identify a financial institution.

## S

**Save as Draft** – An option that allows a Deposit Preparer to save a deposit for modification at a later date.

**Save for Approval** – An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

**Send Error Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Sent Batch Status** – Indicates the batch was uploaded online without error.

**Separation of Duties** – A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

**Settle Best Method** – The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

**Settled** – This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

**Settlement Date** – The payment date of a check item, which is when the deposit is debited from the check writer's account.

**SF215 Deposit Ticket Report** – The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable for a duration of up to 45 days.

**SF5515 Debit Voucher Report** – The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable in for a duration of up to 45 days.

**Share Accounting Module (SAM)** – The application that facilitates the process of validating or deriving Treasury Account Symbol (TAS) and Business Event Type Code (BETC) combinations to assist CARS/GWA in classifying financial transactions as they occur.

**Short Name/Code** – The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

**Statistical Report** – A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is searchable for a duration of up to 15 days.

**Submit** – An option that allows a Deposit Approver to submit a deposit to a financial institution.

**Submitted** – A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

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

## T

**Terminal ID** – The unique number assigned to the workstation where a user performs functions in OTCnet.

**Trade Status** – Represents the status of the verification records. There are four possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

**Transaction History** – Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

**Transaction Reporting System (TRS)** – A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Treasury Account Symbol (TAS)** – The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

## U

**Universal Serial Bus (USB)** – A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

**US Dollar Equivalent (USE)** – The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

**US Treasury** – The executive department and the Treasury of the United States federal government.

**User Defined Field (UDF)** – A user-defined text that describes deposit activity or deposit accounting activity.

**User Information Report** – A security report allows that you to view a user's contact information.

**Users by Access Group (FI) Report** – A security report that allows you to view users by financial institution.

**Users by Access Group (FPA) Report** – A security report that allows you to view users by OTC Endpoint.

**Users by Role (FI) Report** – A security report that allows you to view users by role for your financial institution.

**Users by Role (FPA) Report** – A security report that allows you to view users by role for your OTC Endpoint.

## V

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

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

**View Vouchers Completed Report** – An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

**View Vouchers in Progress Report** – An administration report allows you to view the status of deposit and adjustment vouchers in progress.

**Viewer** – A user who has authorization to view OTCnet information and produce reports from it.

**Voucher Date** – The day that Debit Gateway receives transactions from OTCnet.

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



## Chapter 7: Configuring Check Processing Settings

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### **OTCnet Participant User Guide**

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# Audience, Overview and Topics

## Audience

The intended audience for the *Configuring Check Processing Settings Participant User Guide* includes:

### *View / Modify Configuration Functions*

- Check Capture Administrator
- Check Capture Supervisor

### *View Configuration Only*

- Check Capture Lead Operator
- Check Capture Operator

## Overview

Welcome to *Configuring Check Processing Settings*. In this chapter, you will learn:

- The purpose of configuring check capture settings
- How to set up or modify a terminal configuration
- How to view a terminal configuration
- How to search an audit log
- How to download firmware

## Topics

This chapter is organized by the following topics:

1. Purpose of Configuring Check Processing Settings
2. Set up or Modify a Terminal Configuration
3. View a Terminal Configuration
4. Search an audit log
5. Download Firmware

## Topic 1. Purpose of Configuring Check Processing Settings Online

Only **Check Capture Administrators (CCA)** and **Check Capture Supervisors (CCS)** are authorized to configure the check processing settings for your Agency's terminal. Depending on your user role, you can see all or only specific check capture activities transacted within your Agency. Additionally, as a CCA, you have the ability to manually download or upgrade application software to be used on a terminal.

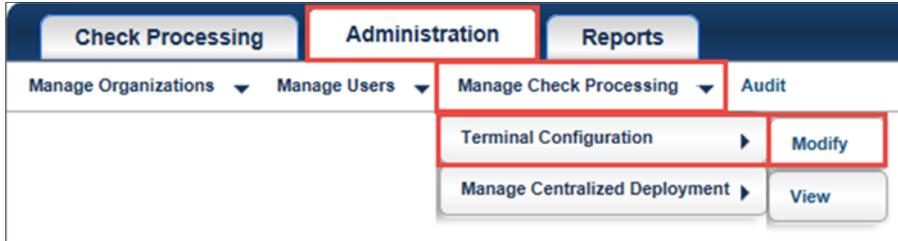
If you are to meet your location's check capturing needs, each OTCnet terminal must have configuration settings individually applied. You can add or update the following:

- **System Configuration:** Used to define LVD usage (offline users) and receipt printing
- **Application Configuration:** Used to define a Terminal ID, processing mode, specify a cashflow method, as well as to specify batch control and batch control prompts
- **Devices Configuration:** Used to specify the scanner type and communication channel, as well as enable franking
- **Available OTC Endpoints:** Used to add available **OTC Endpoints** for data entry
- **Configured OTC Endpoints:** Used to set a default **OTC Endpoint**, review already-configured OTC Endpoints or remove unused **OTC Endpoints** from the terminal

## Topic 2. Set Up or Modify a Terminal Configuration

1. Click the **Administration** tab.
2. From the **Manage Check Processing** menu, select **Terminal Configuration** and click **Modify** (see Figure 1 below).

Figure 1. Administration >Manage Check Processing>Terminal Configuration>Modify



3. The *Step 1 of 4: Gathering Terminal Information* page appears with *Automated terminal detection in progress...* message, then the *Step 2 of 4: Update the Terminal Configuration* page appears (see Figure 2 below). Enter the system configuration

When the *Automated terminal detection in progress...* message appears, the system reads the desktop settings and displays the appropriate information on the next page.

Under **System Configuration** (see Figure 2 below),

Set **LVD Usage** by, *optional*

- Checking or unchecking **Personal Check** and/or **Non Personal** for Customer Present
- Checking or unchecking **Personal Check** and/or **Non Personal** for Customer Not Present

By default all four checkboxes (Personal and/or Non Personal checks and Customer Present and/or Customer Not Present) for (Local Verification Database) LVD Usage are checked and they are optional. If all of them not checked, then LVD verification feature is disabled.

Set **Receipt Printing** by, *optional*

- Checking **Person Present**
  - Click the **Manual** or **Automatic** radio button
    - Check **with preview**
    - Checking **Person Not Present**
  - Click the **Manual** or **Automatic** radio button
    - Check **with preview**

Leaving both the **Person Present** and **Person Not Present** fields unchecked results in the disabling of this option. Click the appropriate box(es) if receipts are desired. Choosing **Manual** requires that the operator take additional steps to print the receipt.

Choosing **Automatic** results in a receipt printout each time a transaction has been entered. Choosing **With Preview** option allows the operator to see the receipt on the screen prior to the generation of the printout. When the **Person Present** and/or **Person Not Present** fields are selected, the default setting is **Manual**.

Figure 2. Step 2 of 4: Update the Terminal Configuration

**Terminal Configuration** [1] [2]

**Step 2 of 4: Update the Terminal Configuration**

System Configuration

LVD Usage

	Personal Check	Non Personal
Customer Present	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Customer Not Present	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Receipt Printing

Customer Present

Manual

Automatic  with preview

Customer Not Present

Manual

Automatic  with preview

Printer Name

Under **Application Configuration** (see Figure 3),

- Enter the **Terminal ID**
- Select **Single** or **Batch** for Processing mode
- Select **Settle Best Method** or **Truncate All Items** for Cashflow
  - Check **Back office Processing Only**
  - Select **Optional** or **Mandatory** for Batch Control
  - Click **Prompt on Batch Create** and/or **Prompt on Batch Close** for Batch Control Prompts

The **Terminal ID** field is available for data entry during initial setup. After the **Terminal ID** is assigned, it is protected and cannot be changed.

The **Host Name** field is automatically generated based on your computer's registry and cannot be changed.

The **Single** processing mode is designed to allow the user to scan one check at a time. The **Batch** processing mode allows groups of checks to be scanned all at once, prior to the data entry for the items. The **Batch** processing mode is only available for EC7000i and all Panini scanners.

The **Settle Best Method** is the default selection and when selected exclusively on the configuration screen, all processing methods (Customer Present, Customer Not Present, and Back Office) are allowed for either personal or non personal items on the Entry Screen.

The **Back Office** Processing method should be used by agencies that receive payments in person, and then scan the checks at a later time in a controlled, back office environment. **Truncate All Items** represents only non-personal items are allowed (for all processing methods) on the Entry Screen.

If the **Batch Control** is set to **Optional**, OTCnet prompts the user to use the batch control. If the **Batch Control** is set to **Mandatory**, OTCnet prompts for batch control totals.

Figure 3. Application Configuration

Application Configuration	
Terminal ID*	BAH01
Host Name	BAHR9YFTK5
Processing	<input checked="" type="radio"/> Single <input type="radio"/> Batch
Cashflow	<input checked="" type="radio"/> Settle Best Method <input type="radio"/> Truncate All Items <input type="checkbox"/> Back Office Processing Only
Batch Control	<input type="radio"/> Optional <input checked="" type="radio"/> Mandatory
Batch Control Prompts	<input type="checkbox"/> Prompt on Batch Create <input checked="" type="checkbox"/> Prompt on Batch Close

Under **Devices Configuration**,

- Select the **Scanner** model, *(required)* (see Table 1 below)
- Select **USB Port** or **Serial Port**, *(required)*
  - Select the Serial Port type

A “No Serial Ports are available for configuration” message displays if a Serial Port is not available for the terminal. A “No Serial Ports are available for configuration” message does not display if the terminal has a COM port enabled or if there a COM port enabled and there is no physical Serial Port.

- Check **Franking Enabled**, *(optional)*

The **Franking Enabled** option allows the scanner to automatically stamp the front of checks. Franking is only available for EC7000i and Panini I: Deal scanners.

When you complete the **Devices Configuration**, click **Next** (see Figure 4).

**Figure 4. Devices Configuration**

**Table 1. Scanner Types**

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

4. The *Step 3 of 4: Update the Configured OTC Endpoints* page appears.

Under **Available OTC Endpoints**,

- Select the **OTC Endpoint(s)** you want to **Add** by checking the box(es) under the **Add** column, and click **Add**

Under **Configure OTC Endpoint**,

- Select a **Default OTC Endpoint**, *required*
- Select the OTC Endpoint(s) you want to **Delete** by checking the box(es) under the **Remove** column, and click **Remove**, *if applicable*

When you complete configuring the OTC Endpoints, click **Next** (see Figure 5).

Figure 5. Step 3 of 4: Update the Configured OTC Endpoints

**Terminal Configuration** [1] [2] [3]

**Step 3 of 4: Update the Configured OTC Endpoints**

**Available OTC Endpoints**  
 << Page 1 >> of 1Page

ALC+2	OTC Endpoint	Form Version	Description	Add [ Check All / Uncheck All ]
1111111101	Test 01	1004	Test 01	<input type="checkbox"/>
1111111102	Test 02	1004	Test 02	<input type="checkbox"/>

Add >>

**Configured OTC Endpoints**

Default OTC Endpoint	ALC+2	OTC Endpoint	Form Version	Description	Remove [ Check All / Uncheck All ]
<input checked="" type="radio"/>	0000209902	TTTH L1	1009	TTTH Level 1	<input type="checkbox"/>

Remove

< Previous   Cancel   **Next >**

Selecting a **Default OTC Endpoint** determines which **OTC Endpoint** to use when performing Check Scan actions. At least one **Default OTC Endpoint** is required per terminal. While a default is chosen, it does not prevent you from scanning against another configured **OTC Endpoint**.

- The *Step 4 of 4: Review the Terminal Configuration* page appears (see **Error! Reference source not found.**Figure 6). Verify the Terminal Configuration is correct and click **Submit**. Click **Edit** if you need to modify the information entered.

Figure 6. Step 4 of 4: Review the Terminal Configuration

### Terminal Configuration

1 2 3 4

**Step 4 of 4: Review the Terminal Configuration**

Please review the Terminal Configuration record and click submit to save the changes

**OTC Endpoint Configuration** [Edit]

Configured OTC Endpoints

Default OTC Endpoint	ALC+2	OTC Endpoint	Form Version	Description
✓	0000209902	TTTH L1	1009	TTTH Level 1

Added OTC Endpoints

There are no new OTC Endpoints added

Removed OTC Endpoints

There are no OTC Endpoints Removed

**System Configuration** [Edit]

LVD Usage

	Personal Check	Non Personal
Customer Present	✓	✓
Customer Not Present	✓	

Receipt Printing

Customer Present	Manual
Customer Not Present	None
Printer Name	

**Application Configuration** [Edit]

Terminal ID	BAH01
Host Name	BAHR9YFTK5
Processing	Single
Cashflow	Settle Best Method
Batch Control	Mandatory
Batch Control Prompts	Prompts on Batch Close

**Devices Configuration** [Edit]

Scanner	Panini I:Deal
Communication Channel	USB Port
Franking Enabled	

← Previous
Cancel
Submit

Last modified by ctonqe87 on 08/31/2016

## Configure a Check Capture Terminal Online

To configure a check terminal online, complete the following steps:

1. Click the **Administration** tab.
2. Select **Manage Check Processing>Terminal Configuration** and click **Modify**. The *Step 1 of 4: Gathering Terminal Information* page appears with *Automated terminal detection in progress...* message.



### Application Tip

When the *Automated terminal detection in progress...* message appears the system reads the desktop settings and displays the appropriate information on the next page.

3. The *Step 2 of 4: Update the Terminal Configuration* page appears. Enter the system configuration.

Under **System Configuration**,

Set **LVD Usage** by, *optional*

- Checking or unchecking **Personal Check** and/or **Non Personal** for Customer Present
- Checking or unchecking **Personal Check** and/or **Non Personal** for Customer Not Present



### Application Tip

By default all four checkboxes (Personal and/or Non Personal checks and Customer Present and/or Customer Not Present) for (Local Verification Database) LVD Usage are checked and they are optional. If all of them not checked, then LVD verification feature is disabled.

Set **Receipt Printing** by, *optional*

- Checking **Person Present**, *optional*
  - Click the **Manual** or **Automatic** radio button
    - Check **with preview**
- Checking **Person Not Present**, *optional*
  - Click the **Manual** or **Automatic** radio button
    - Check **with preview**
- Selecting the **Printer Name**

**Application Tip**

Leaving both the **Person Present** and **Person Not Present** fields unchecked results in the disabling of this option. Click the appropriate box(es) if receipts are desired. Choosing **Manual** requires that the operator take additional steps to print the receipt. Choosing **Automatic** results in a receipt printout each time a transaction has been entered. Choosing **With Preview** option allows the operator to see the receipt on the screen prior to the generation of the printout. When the **Person Present** and/or **Person Not Present** fields are clicked, the default setting is **Manual**.

Under **Application Configuration**,

- Enter the **Terminal ID**

**Application Tip**

The **Terminal ID** field is available for data entry during initial setup. After the **Terminal ID** is assigned it is protected and cannot be changed.

**Application Tip**

The **Host Name** field is automatically generated based on your computer's registry and cannot be changed.

- Select **Single** or **Batch** for Processing mode

**Application Tip**

The **Single** processing mode allows the user to scan only one check at a time. **Batch** processing mode allows groups of checks to be scanned all at once, prior to the data entry for the items. **Batch** processing mode is only available for EC7000i and all Panini scanners.

- Select **Settle Best Method** or **Truncate All Items** for Cashflow
- Check **Back office Processing Only**



#### Application Tip

The **Settle Best Method** is the default selection and when selected exclusively on the configuration screen, all processing methods (Customer Present, Customer Not Present, and Back Office) are allowed for either personal or non personal items on the Entry Screen. The **Back Office** Processing method should be used by agencies that receive payments in person, and then scan the checks at a later time in a controlled, back office environment. **Truncate All Items** represents only non-personal items are allowed (for all processing methods) on the Entry Screen.

- Select **Optional** or **Mandatory** for Batch Control



#### Application Tip

If the **Batch Control** is set to **Optional**, OTCnet prompts the user to use the batch control. If the **Batch Control** is set to **Mandatory**, OTCnet prompts for batch control totals.

- Click **Prompt on Batch Create** and/or **Prompt on Batch Close** for Batch Control Prompts

Under **Devices Configuration**,

- Select the **Scanner** model, *required*
- Select **USB Port** or **Serial Port**, *required*
  - Select the Serial Port type



#### Application Tip

**USB Port:** RDM EC7000i, Panini MyVision, Panini VisionX, and Panini I: Deal scanners require USB port communication channel. RDM EC7000i scanners support USB and Serial communication channels.

**Serial Port:** USB-to-serial adapters are not supported. EC7000i scanners support USB and Serial communication channels.

**COM dropdown:** The user selects the serial port (aka COM port) where they have connected a serial scanner.

**Application Tip**

A “No Serial Ports are available for configuration” message displays if a Serial Port is not available for the terminal. A “No Serial Ports are available for configuration” message does not display if the terminal has a COM port enabled or if there a COM port enabled and there is no physical Serial Port.

- Check **Franking Enabled**, *optional*

**Application Tip**

The **Franking Enabled** option allows the scanner to automatically stamp the front of checks. Franking is only available for EC7000i and Panini I: Deal scanners.

4. Click **Next**. The *Step 3 of 4: Update the Configured OTC Endpoints* page appears.

Under **Available OTC Endpoints**,

- Select the **OTC Endpoint(s)** you want to **Add** by checking the box(es) under the **Add** column, and click **Add**.

**Application Tip**

The OTC Endpoints are permission based and are only visible to users with the appropriate permissions.

Under **Configure OTC Endpoint**,

- Select a **Default OTC Endpoint**, *required*.

**Application Tip**

Selecting a **Default OTC Endpoint** determines which OTC Endpoint to use when performing Scan Checks actions.

**Application Tip**

Multiple OTC Endpoints can be selected but only one can be set as a **Default OTC Endpoint**.

- Select the OTC Endpoint(s) you want to **Delete** by checking the box(es) under the **Remove** column, and click **Remove**, *if applicable*.

**Application Tip**

At least one **Default OTC Endpoint** is required per terminal.

5. Click **Next**. The *Step 4 of 4: Review the Terminal Configuration* page appears. Verify the Terminal Configuration is correct and click **Submit**. Click **Edit** if you need to modify the information entered.
6. A *Confirmation* page appears stating that the Terminal Configuration record has been updated.

**Application Tip**

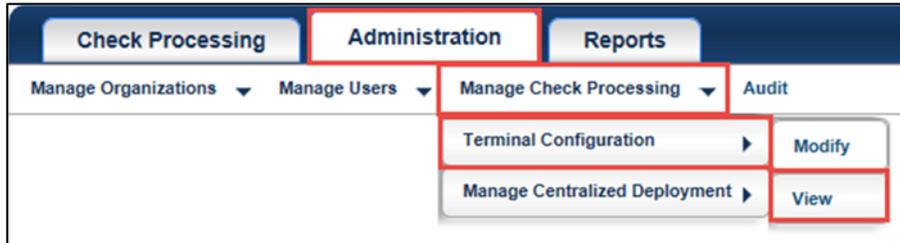
Additional buttons on the page that help you perform other tasks:

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

# Topic 3. View Terminal Configuration

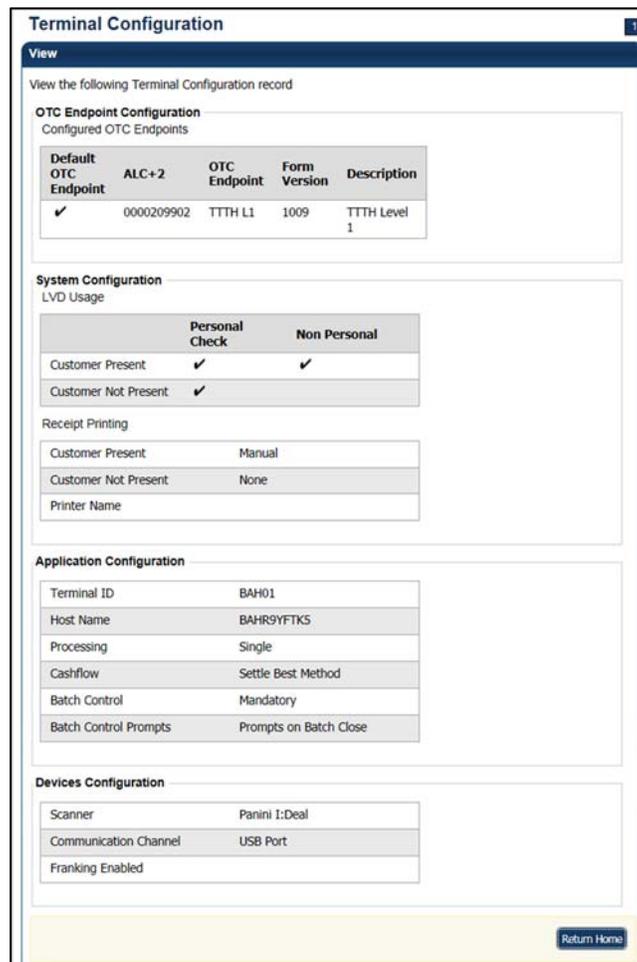
1. Click the **Administration** tab. From the **Manage Check Processing** menu, select **Terminal Configuration** and click **View** (see Figure 7 below).

Figure 7. Administration >Manage Check Processing>View



2. The *View page appears* (see Figure 8 below). View Terminal Configuration.

Figure 8. View Terminal Configuration Page





## View Terminal Configuration

To view terminal configuration, complete the following steps:

1. Click the **Administration** tab.
2. Select **Manage Check Processing>Terminal Configuration** and click **View**.
3. The *View page appears*. View Terminal Configuration.



### Application Tip

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

- Click **Return Home** to the OTCnet Home Page.

## Topic 4. Search an Audit Log

The audit log records are interactions between the user and OTCnet. They allow users to search and view audit log entries for the completed audit trail within OTCnet. The audit log is available for download to a *comma separated value* (CSV) report and opened in a spreadsheet program or available to print in a formatted audit log report.

If the audit log records contain Personally Identifiable Information (PII), the data is masked in the Transaction Description. To view more details about a specific batch, including PII, access Batch Management.

Depending on your role, you can search for and view only specific audit logs. See Table 2 for more details.

**Table 2. Audit Log User Permissions**

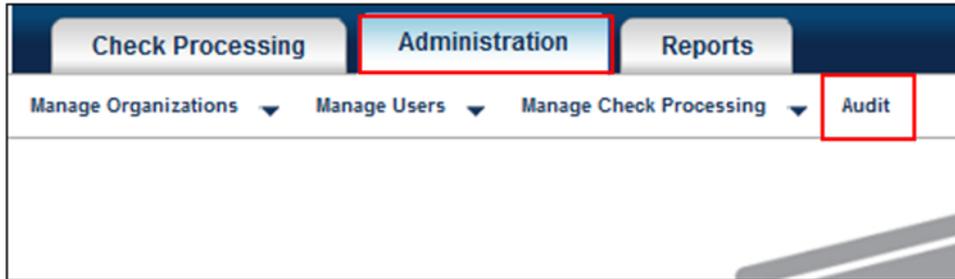
User Role	Audit Log Access
Check Capture Administrator (CCA)	Partial administration-related activities and all check capture-related activities
Check Capture Operator (CCO)	Own check capture-related activities
Check Capture Lead Operator (CCLO)	Own check capture-related activities
Check Capture Supervisor (CCS)	Partial check capture-related activities pertaining to own actions or actions taken by their CCO or CCLO
FS Viewer or Security Viewer	Administration-related, check capture-related, check processing-related, and deposit processing-related activities

You can search audit logs by module, user, **OTC Endpoint**, and other search criteria. If you run a search without specifying any criteria, then by default the search results include all activities in the system that you have access to view. If you run additional searches, the *Search Results* table repopulates with the results of the new search.

### To search an Audit Log:

1. Click the **Administration** tab
2. Click **Audit** (see
3. Figure 9).

Figure 9. Administration >Audit



4. The *Search Audit Logs* page appears. Enter the search criteria for the activities you would like to view (see **Error! Reference source not found.**).

Under **Search Conditions**, *optional*

- Select a **Module** type.

Module options include **All**, **Administration**, **Check Capture**, **Check Processing**, and **Deposit Processing**. The Module drop-down options vary by user role.

- Enter a **User** (login ID)
- Select an **OTC Endpoint**
- Enter the **From** and **To** Dates and Times, *required*
- Select a **Keyword**, *required*
- Select a **Category Name**, *required*

The **Keyword** and **Category Name** drop-down options vary by user role.

- Enter the **Terminal ID**
- Enter the **Batch ID**
- Select an **Event Type** (see Table 3)

Event types are categories of events that are recorded by the audit log.

Table 3. Event Types

Event Type	Description
All	Includes all event types in the audit log
Error	Error entries are created when the system is unable to complete an action
Informational	Information entries are general records of the activity that has happened while using OTCnet
Warning	Warning entries are created to inform the user when events of note have taken place. This includes cancelling an action, deleting information from the system and inactive users

- Select an **Operation Mode** and **click** Search.

**Operation Mode** options include **All**, **Online**, or **Offline**. If you run a search without specifying any criteria, the search results include all activities in the system that you have access to view. If you run additional searches, the Search Results table repopulates with the results of the new search.

- 5. Click **Search**.

Figure 10. Search Audit Logs Page

**Search Audit Logs**

\* Denotes required fields.

**Search Criteria**

Module:\*

User:

OTC Endpoint:

From:\*  
 :  :

To:\*  
 :  :

Keyword:\*

Category Name:

Terminal ID:

Batch ID:

Event Type:

Operation Mode:

- The *Search Results* table appears below. Click the **Audit Log ID** hyperlink to view additional details for an individual audit log entry (see Figure 11).

Figure 11. Audit Log Output

Click the Audit Log ID if you would like to view additional details.  
 Download or Print Search Results?

<< < 1-50 > >> of 136 Records

Audit Log ID	Created On (GMT Time)	Context	User	OTC EndPoint	Terminal Batch ID	Transaction Description	Module	Event Type
<a href="#">32591169</a>	08/18/2014 19:30:44	Execute Process - Image Request	SYSTEM			No image requests were available.	Administration	INFO
<a href="#">32591168</a>	08/18/2014 19:25:25	Account - Login	User	otcqef49		UserContext created due to new login or replaced previous user login. userId='otcqef49' userName='otcnet tcnqeChkAdmin' userOrganization='' Permissions='[Permission: moduleKey='O TCNET' roleKey='CP-AGY-LSA' accessGroupId='10509', Permission: moduleKey='OTCNET' roleKey='CP-AGY-LSA' accessGroup	Administration	INFO

Click **Download** to download the search results. Click **Print Audit Log Records** to print a formatted audit log record.

- The *View Audit Log Details* page appears (see Figure 12).

Figure 12. View Audit Log Details

### Audit Log Details

View Audit Log Details

Audit Log: Record Summary

Name	Value
Audit Log ID	32591169
Created On	08/18/2014 19:30:44
Context	Execute Process - Image Request
User Login ID	SYSTEM
OTC EndPoint	
Terminal ID	
Batch ID	
Transaction Description	No image requests were available.
Module	Administration
Event Type	INFO

Audit Log: Attribute Info

Attribute Description	Attribute Value
User Name	

Audit Log: Field Info

Field Name	Before Value	After Value
No field information found for this audit log record.		



## Search an Audit Log

To search an audit log, complete the following steps:

1. Click the **Administration** tab.
2. Click **Audit**. The *Search Audit Logs* page.
3. Enter the search criteria for the activities you would like to view.

Under **Search Conditions**, *optional*

- Select a **Module** type.



### Application Tip

**Module** options include **All**, **Administration**, **Check Capture**, **Check Processing**, and **Deposit Processing**.



### Application Tip

The **Module** drop-down options vary by user role.

- Enter a **User**
- Select an **OTC Endpoint**
- Enter the **From** and **To** date and time ranges, *required*



### Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format and cannot exceed 30 days.

- Select a **Keyword**, *required*
- Select a **Category Name**, *required*



### Application Tip

The **Keyword** and **Category Name** drop-down options vary by user role.

- Enter the **Terminal ID**
- Enter the **Batch ID**
- Select an **Event Type**

 **Application Tip**

**Event Types** are categories of events that are recorded by the audit log.

**Table 4. Event Types**

Event Type	Description
All	Includes all event types in the audit log
Error	Error entries are created when the system is unable to complete an action.
Informational	Information entries are general records of the activity that has happened while using OTCnet.
Warning	Warning entries are created to inform the user when events of note have taken place. This includes cancelling an action, deleting information from the system and inactive users.

- Select an **Operation Mode**

 **Application Tip**

**Operation Mode** options include **All**, **Online**, or **Offline**.

4. Click **Search**. The *Search Results* table appears below.

 **Application Tip**

If you run a search without specifying any criteria, the search results include all activities in the system that you have access to view. If you run additional searches, the Search Results table repopulates with the results of the new search.

 **Application Tip**

Click **Download** to download the search results. Click **Print Audit Log Records** to print a formatted audit log record.

5. Click the **Audit Log ID** hyperlink to view additional details for an individual audit log entry. The *View Audit Log Details* page appears.

**Application Tip**

If the audit log records contain Personally Identifiable Information (PII) the data is masked.

**Application Tip**

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

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

## Topic 5. Download and Install Firmware

### Download Firmware

If you are assigned the role of **Check Capture Administrator**, you can manually download check capture application firmware. The firmware “release” allows for the initial download or upgrades to the scanner software that enables a scanner to be used on a terminal. The firmware version you install also contains a series of other back-end installation files that should be used on a terminal to enable it to be used for Check Capture in OTCnet.

Additionally, firmware upgrades are operating system (e.g. Windows 7, etc) and scanner (e.g. EC 7000i or Panini MyVision X, etc) specific. Therefore, downloading and executing the correct firmware upgrades helps ensure that a terminal and scanner are functioning properly. To determine which firmware version matches the terminal settings, refer to the *OTCnet System Requirements and Reference Guide* at:

[https://www.fiscal.treasury.gov/fsservices/gov/rvnColl/otcNet/OTCnet\\_SysReq.pdf](https://www.fiscal.treasury.gov/fsservices/gov/rvnColl/otcNet/OTCnet_SysReq.pdf).

For offline users, this topic will also allow a user to download a “client” version of the OTCnet application to install on their terminals. Once the upgrade is downloaded to the terminal, an authorized user with terminal administrator rights must log in to the terminal and execute the upgrade. If there is more than one terminal per **OTC Endpoint**, the **Check Capture Administrator** must download and execute the firmware (release) for each terminal.

#### To Download Firmware:

1. Click the **Administration** tab, select **Manage Check Processing** then **Manage Centralized Deployment** and then click **Download Release** (see Figure 13).

Figure 13. Administration >Manage Check Processing> Manage Centralized Deployment>Download Release



- The *Agency Endpoint List* page appears. From the **Application** drop-down menu, select **Firmware** and click **Next** (see Figure 14).

Figure 14. Agency Endpoint List

Download Release

Please select agency sites to retrieve available Applications/Firmwares/Security Updates:

Application:  
Firmware

Select the Agencies

<< Page 1 of 47 >> Go to page: Page Size: 10 Showing 1 - 10 of 465 Records

Select	Short Name	Description	Cash Flow Id
<input type="checkbox"/>	Test4	Test4	0000022000
<input type="checkbox"/>	Test3	Test3	0000030300
<input type="checkbox"/>	0000030301	Phil Financial Center	0000030301
<input type="checkbox"/>	Sp&cial	Sp&cial Ch&racter	0000030400
<input type="checkbox"/>	Test5	Test5	0000030700
<input type="checkbox"/>	GWA11-Y	GWA Enabled - 11	0000030800
<input type="checkbox"/>	GWA12-Y	GWA Enabled - 12	0000031000
<input type="checkbox"/>	1100	1	0000180001
<input type="checkbox"/>	Child1	Child1	0000460312
<input type="checkbox"/>	111_A_End4	Endpoint 4	0000463411

Cancel Next >

By default, the **Application** drop-down menu is set to **Firmware**.

As a best practice, click the **Next** button **without** selecting individual OTC Endpoints. If a **Check Capture Administrator** chooses to proceed to the next page without selecting an OTC Endpoint, the system will display all available firmware versions for download.

Selecting the agencies (OTC Endpoints) and then proceeding to the next page will show only the firmware versions assigned to that particular OTC Endpoint. If you do not select an OTC Endpoint and proceed to the next page, the next page will display any and all releases configured for OTCnet. **Selecting an agency (OTC Endpoint) is not required or recommended.**

- The *Select Firmware for Download* page appears. Click the **Firmware** hyperlink to download the firmware (see Figure 15).

Figure 15. Select Firmware for Download



If an agency (OTC Endpoint) has multiple terminals and requires more than one firmware due to varying workstation requirements download and execute the firmware for each terminal.

Because firmware upgrades are operating system (e.g. Windows 7, etc) and scanner (e.g. EC 7000i or Panini MyVision X, etc) specific, each firmware version has a corresponding detailed description of which terminal configuration(s) it supports (including operating systems and all scanners). Determine which firmware version matches the terminal settings before downloading.

- The *Review Firmware Download* page appears. Click **Download** (see Figure 16).

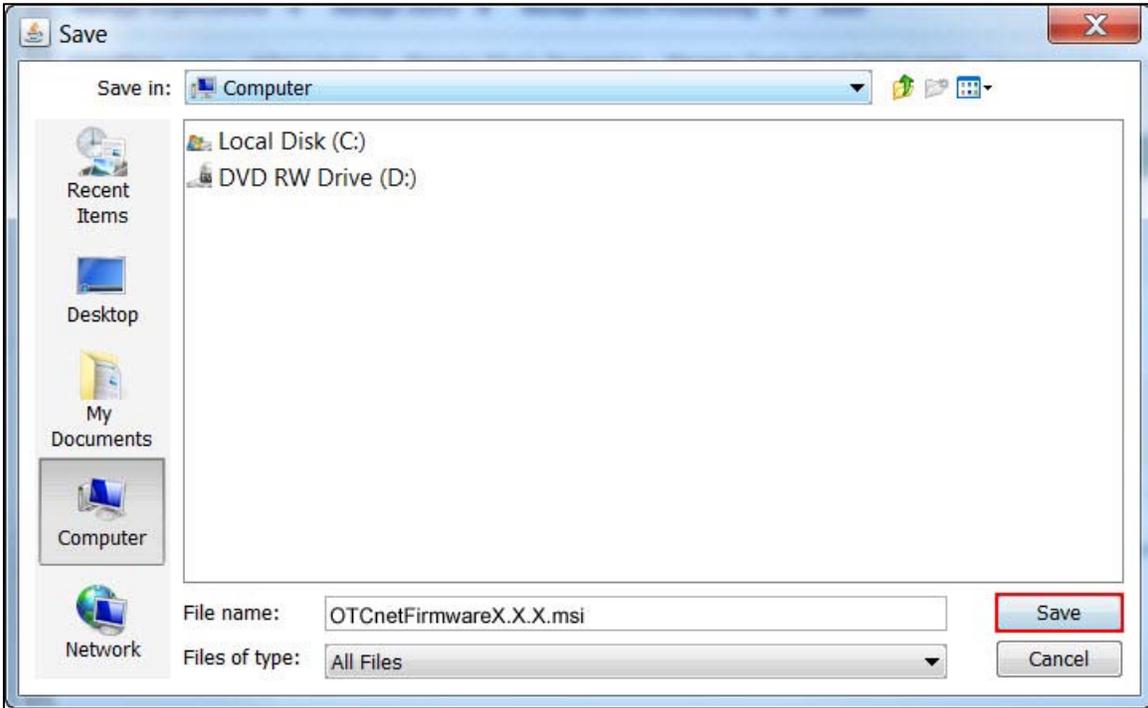
If there is more than one terminal per **OTC Endpoint**, the **Check Capture Administrator** must download and execute the firmware for each terminal.

Figure 16. Review Firmware Download



5. The Save dialog box appears. Click **Save** or **Cancel** (see Figure 17).

Figure 17. Save Dialog Box



If you click **Save**, choose the location where you want to save the file. If you click **Cancel**, you return to the OTCnet Check Capture Application Download page without saving the file.

## Download Firmware

To download firmware, complete the following steps:

1. Click the **Administration** tab.
2. Select **Manage Check Processing** then **Manage Centralized Deployment**.
3. Click **Download Release**. The *Agency Endpoint List* page appears.
4. From the **Application** drop-down menu, select **Firmware**.



### Application Tip

By default, the **Application** drop-down menu is set to **Firmware**.

5. Click **Next**. The *Select Firmware for Download* page appears.



### Application Tip

As a best practice, click the **Next** button without selecting individual OTC Endpoints. If a **Check Capture Administrator** chooses to proceed to the next page without selecting an OTC Endpoint, the system will display all available firmware versions for download, regardless of whether or not it has been assigned to that OTC Endpoint.



### Application Tip

Selecting the agencies (OTC Endpoints) and then proceeding to the next page will show only the firmware versions assigned to that particular OTC Endpoint. If you do not select an OTC Endpoint and proceed to the next page, the next page will display any and all releases configured for OTCnet.

**Note:** Selecting an agency (OTC Endpoint) is not required or recommended.



### Application Tip

Firmware upgrades are operating system (e.g. Windows 7) and scanner (e.g. EC 7000i or Panini MyVision X, etc) specific. Each firmware version has a corresponding detailed description of which terminal configuration(s) it supports (including operating systems and all scanners). Determine which firmware version matches the terminal settings before downloading.

6. Click the **Firmware** hyperlink to download the firmware. The *Review Firmware Download* page appears.

**Application Tip**

If an agency (OTC Endpoint) has multiple terminals and requires more than one firmware due to varying workstation requirements download and execute the firmware for each terminal.

7. Click **Download**. The *Save Program* dialog box appears.
8. Click **Save** or **Cancel**.

**Application Tip**

If you click **Save**, choose the location where you want to save the file. If you click **Cancel**, you return to the OTCnet Check Capture Application Download page without saving the file.

**Application Tip**

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

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

## Install Firmware

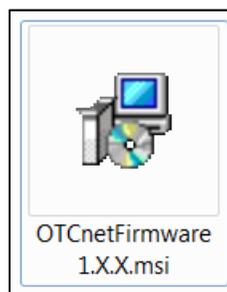
After the Firmware is downloaded, the next step is to install the firmware (must be done for each terminal). However, before you install the firmware consider the following information:

- You will need Windows Administrator privileges to install the firmware;
- If using OTCnet Offline close any open batches and upload all existing batches in Batch Management, as well as stop the Offline application;
- Ensure the scanner is not connected to the terminal as it may cause scanner connectivity issues;
- If a previous version of firmware is installed, uninstall it before installing the new firmware version. See the *Install OTCnet Firmware* printable job aid for specific directions.
- Firmware version 2.0.0 supports the RDM EC7000i, Panini MyVisionX, Panini Vision X, and Panini I:Deal scanners. Additionally, firmware version 2.0.0 supports Windows 7, Windows 8.1, and Windows 10 Operating Systems.
- Firmware version 1.6.0 supports the RDM EC7000i, Panini MyVisionX, Panini VisionX and Panini I:Deal scanners, and Windows 7 operating system.
- Firmware version 1.5.1 only supports the RDM EC7000i scanner and the Windows 7 operating system.

### To Install Firmware:

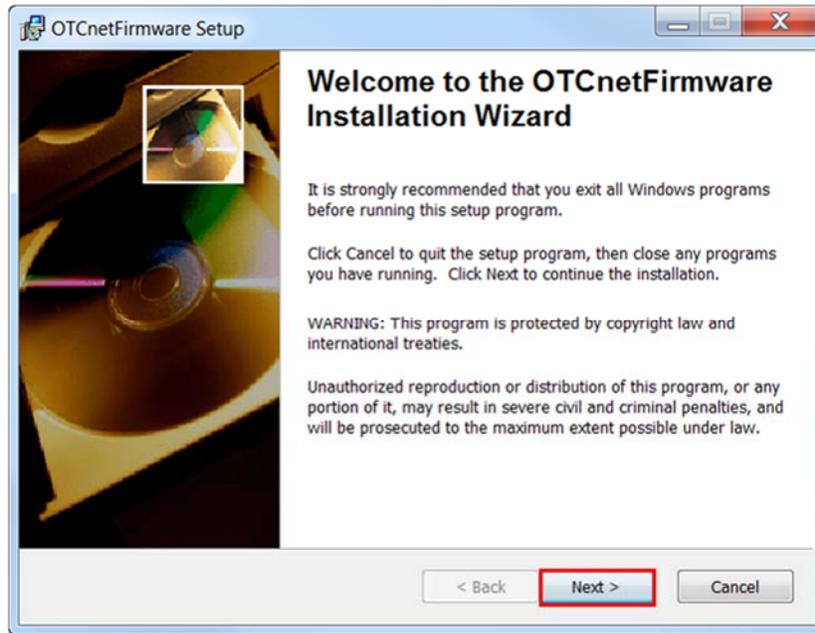
1. Locate the folder where the firmware file (MSI file) resides and double-click on the file to start the installation (see Figure 18).

Figure 18. OTCnet Firmware .msi icon



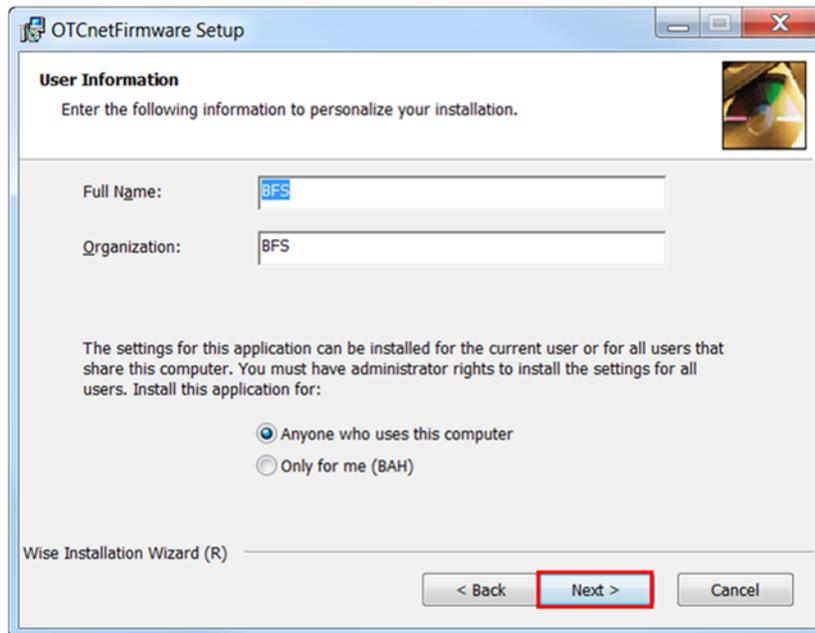
2. The *Welcome to the OTCnet Firmware Installation Wizard* dialog box appears. Click **Next** (see Figure 19).

**Figure 19. Welcome to the OTCnet Firmware Installation Dialog Box**



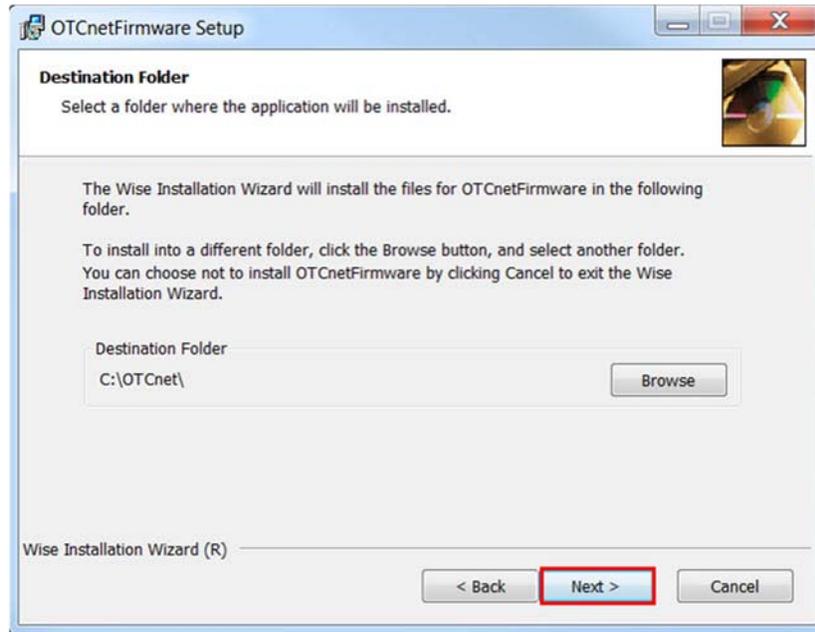
3. The *User Information* dialog box appears. Click **Next** (see Figure 20).

**Figure 20. User Information Dialog Box**



4. The *Destination Folder* dialog box appears. Click Next (see Figure 21).

Figure 21. Destination Folder Dialog Box

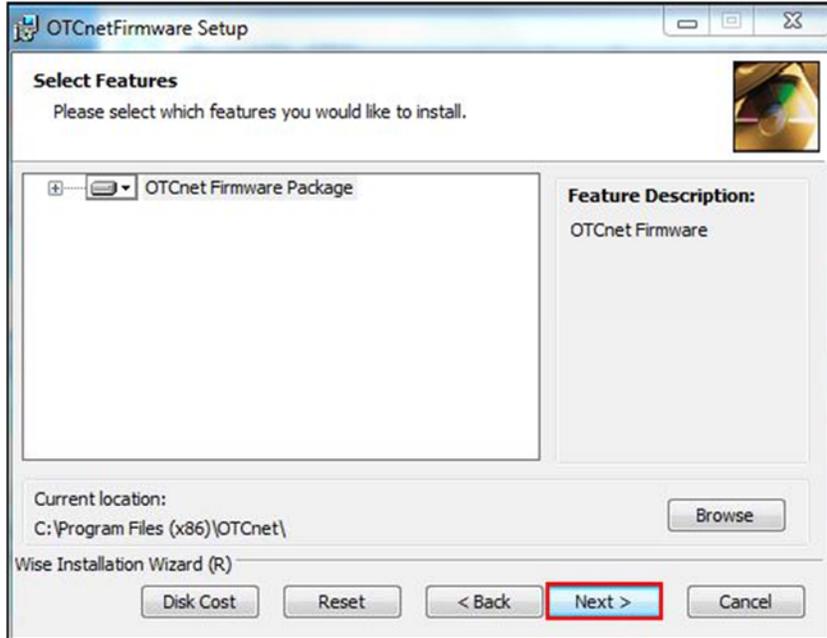


As a best practice, it is recommended that the firmware package is installed into the default destination folder. Click **Cancel** to exit the setup. Click **Back** to return to the previous dialog box.

5. The *Select Features* dialog box appears. Click **Next** (See Figure 22).

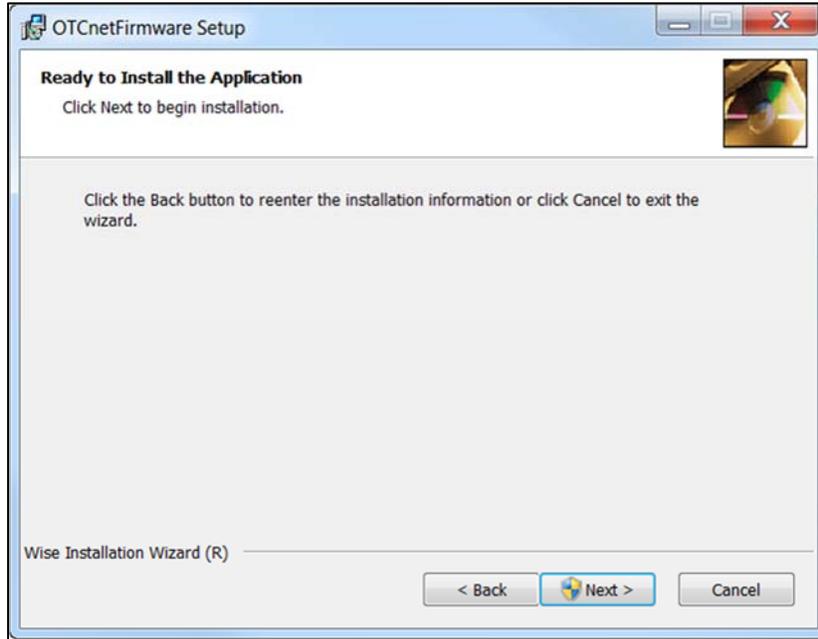
Skip Step 5 and proceed to Step 6 if installing firmware version 1.5.1 or 1.6.0.

Figure 22. Select Features Dialog Box



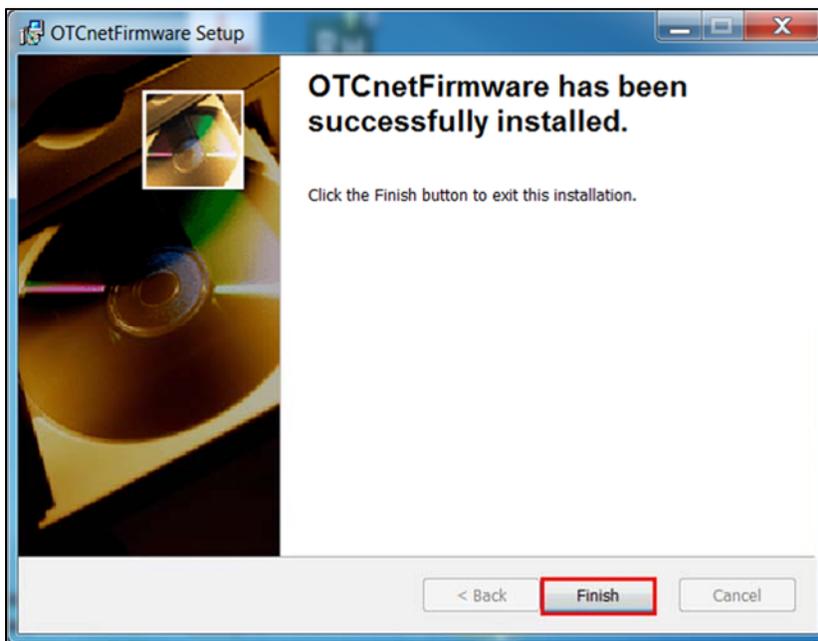
6. The *Ready to Install the Application* dialog box appears. Click **Next** (see Figure 23). Wait a moment while the files install.

**Figure 23. Ready to Install the Application Dialog Box**



7. After the *OTCnet Firmware has been successfully installed* message appears, click **Finish** (see Figure 24).

**Figure 24. OTCnet Firmware has been successfully installed Dialog Box**





## Install OTCnet Firmware



### Application Tip

Before you install the OTCnet Firmware, consider the following information:

- To install the Firmware you will need Windows Administrator privileges on each computer.
- If using OTCnet Offline close any open batches and upload all existing batches in Batch Management, as well as stop the Offline application.
- Ensure the scanner is not connected to the terminal when installing the firmware as it may cause scanner connectivity issues.
- If you have a previous firmware version installed, you will need to uninstall it before installing a new Firmware version. See the directions below for uninstalling a previous version of Firmware.

#### For Windows 7:

1. Access your Control Panel under **Start > Control Panel > Programs**
2. Click **Programs and Features**
3. Double-click **OTCnetFirmware**
4. Click Yes and wait while the Firmware uninstalls
5. Verify the **OTCnetFirmware** and **Panini 3.3.1 Universal Installer** automatically uninstalled

#### For Windows 8.1 and Windows 10:

1. Access your Control Panel under **Start > Control Panel**
2. Double-click **Add or Remove Programs**
3. In the Currently installed programs box, click **OTCnetFirmware**
4. Click **Remove**
6. Click Yes and wait while the Firmware uninstalls
7. Verify the **OTCnetFirmware** and **Panini X.X.X Universal Installer** automatically uninstalled



### Application Tip

Before you install the OTCnet Firmware, consider the following information:

- Firmware version 2.0.0 supports the RDM EC7000i, Panini MyVisionX, Panini Vision X, and Panini I:Deal scanners. Additionally, firmware version 2.0.0 supports Windows 7, Windows 8.1, and Windows 10 Operating Systems.
- Firmware version 1.6.0 supports the RDM EC7000i, Panini MyVisionX, Panini VisionX and Panini I:Deal scanners, and Windows 7 operating system.
- Firmware version 1.5.1 only supports the RDM EC7000i scanner and the Windows 7 operating system. For more information about which firmware version matches the terminal settings, refer to the *OTCnet System Requirements and Reference Guide* at:  
[https://www.fiscal.treasury.gov/fsservices/gov/rvnColl/otcNet/OTCnet\\_SysReq.pdf](https://www.fiscal.treasury.gov/fsservices/gov/rvnColl/otcNet/OTCnet_SysReq.pdf).

To install OTCnet firmware, complete the following steps:

1. Locate the folder where the firmware file (MSI file) resides and double-click on the file to start the installation.'
2. The *Welcome to the OTCnet Firmware Installation Wizard* dialog box appears. Click **Next**
3. The *User Information* dialog box appears. Click **Next**.
4. The *Destination Folder* dialog box appears. Click **Next**.



### Application Tip

To install the firmware to another folder destination, click **Browse** to select a different folder. Click **Cancel** to exit the setup.

5. The *Ready to Install the Application* dialog box appears. Click **Next**. Wait a moment while the files install.
6. After the *OTCnet Firmware has been successfully installed* message appears, click **Finish**.



## Glossary

### A

**Accounting Code** – A unique agency classification code assigned to a transaction, which identifies the FRB Account Key that is used within the Federal Reserve. In check capture, it is a method of grouping individual check transactions into certain classifications. In deposit reporting, the classification is being done at a voucher level, where a voucher is being classified with one or many agency defined accounting codes or TAS.

**Accounting Code Description** – A brief explanation that provides further detail about an accounting code.

**Accounting Code Name** – The title of the accounting code.

**Accounting Key** – The account number assigned to a deposit when it is submitted to FRB CA\$HLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

**Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.

**Acknowledged Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Acknowledged Error Batch Status** – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which resulted in a batch being updated to Acknowledgment Error.

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

**Activity Type** – The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

**Adjustment Activity (FI) Report** – A business report that allows you to view adjustments made by your financial institution (FI).

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

**Adjustments by OTC Endpoints Report** – A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

**Agency CIRA Report** – A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

**Agency Contact** – A person designated by an agency as the primary contact regarding deposit-related matters.

**Agency Information** – The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

**Agency Location Code (ALC)** – A numeric symbol identifying the agency accounting and/or reporting office.

**Agency Location Code plus 2 (ALC+2)** – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

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

**Alternate Agency Contact** – A person designated by an agency as the secondary contact regarding deposit-related matters.

**American Bankers Association (ABA)** – (also known as Bank Routing Number) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

**Approved Batch Status** – Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

**Audit Log** – A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a comma separated value report (CSV) and opened in a spreadsheet program or available to print in a formatted audit log report.

**Automated Clearing House** – A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

**Awaiting Approval (AWAP)** – A deposit that is waiting for deposit confirmation by a Deposit Approver.

## B

**Back Office Processing Method** – Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

**Batch** – A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

**Batch Approver** – An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Batch Control/Batch Balancing** – An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

**Batch ID** – The unique number assigned to a batch by OTCnet.

**Batch List Report** – A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

**Batch Status** – Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

**Batch Uploader** – An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Blocked** – A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

**Bureau of the Fiscal Service (FS)** – (formerly FMS) The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

**Business Event Type Code (BETC)** – A code used in the CARS/GWA system to indicate the type of activity being reported, such as payments, collections, borrowings, etc. This code must accompany the Treasury Account Symbol (TAS).

## C

**CA\$HLINK II** – An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

**CA\$HLINK II Account Number (CAN)** – The account number assigned to a deposit when it is submitted to CA\$HLINK II.

**Capture Date** – The calendar date and time the payment is processed by the agency.

**Cashier ID** – The ID of the user that created the transaction.

**Central Accounting Reporting System (CARS)** – (formerly GWA) The system that addresses the central accounting and reporting functions and processes associated with budget execution, accountability, and cash/other asset management. This includes the collection and dissemination of financial management and accounting information from and to federal program agencies.

**Central Image and Research Archive (CIRA)** – The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

**Characteristics** – The properties of a user, organization, deposit, or financial institution.

**Check 21** – Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

**Check Amount** – The dollar amount of the check.

**Check Capture** – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

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

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

**Check Capture Offline** – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

**Check Capture Online** – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

**Check Capture Operator** – An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

**Check Capture Supervisor** – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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

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

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

**CIRA CSV Report** – A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

**CIRA Viewer** – A user that has authorization to view CIRA records and download CSV files. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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

**Clear** – Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

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

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

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

**Collections Information Repository (CIR)** – (formerly TRS) A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Comma Separated Values (CSV)** – A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

**Confirmed** – A deposit that has been reviewed and then confirmed by a financial institution or FRB.

**Cost Center Work Unit (CCWU)** – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

**Custom Label** – Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

**Customer Not Present Processing Method** – The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

**Customer Present Processing Method** – The processing method used in the OTCnet when the check writer is presenting the check in person.

## D

**Daily Voucher Report** – A business report that allows you to view the daily voucher extract.

**Data Type** – The type of data that should be entered for a user defined field.

**Date of Deposit** – The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

**Debit Gateway** – The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

**Demand Deposit Account (DDA)** – The account at a financial institution where an organization deposits collections.

**Denied** – Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

**Deny Date** – Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

**Deposit** – A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

**Deposit Activity (FI) Report** – A business report that allows the financial institution to view deposits submitted to its location.

**Deposit Approver** – A user who has authorization to review and submit deposits to a financial institution.

**Deposit Confirmer** – A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

**Deposit History by Status Report** – A business report that allows you to view deposits by status.

**Deposit Information** – The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

**Deposit Preparer** – A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

**Deposit Total** – The total amount of over-the-counter receipts included in the deposit.

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

**Deposits by Accounting Code Report** – A business report that allows you to view deposits by accounting code.

**Deposits by OTC Endpoint Report** – A business report that allows you to view deposits by OTC Endpoint.

**Display Order Number** – The order in which user defined fields (UDFs) should be displayed.

**Draft** – A deposit that is saved for modification at a later date by a Deposit Preparer.

## E

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

## F

**Failed** – The item was unable to be processed and/or settled by Treasury/BFS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

**Federal Program Agency** – A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

**Federal Reserve Bank (FRB)** – A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

**Federal Reserve Bank-Cleveland (FRB-C)** – FRB-C serves as the conduit for settlement of transactions originating from the OTCnet application. FRB-C is responsible for receiving the transaction data from OTCnet via forward file, and performing check clearing/transaction settlement as the ‘debit gateway’.

**Federal Reserve System's Automated Clearing House (ACH) System** – Enables debits and credits to be sent electronically between depository financial institutions.

**Financial Institution (FI)** – A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

**Financial Institution Information** – The name, address, routing transit number, and the demand deposit account number of a financial institution.

**Firmware** – A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

**Fiscal Year** – A 12-month period for which an organization plans the use of its funds.

**Forwarded Batch Status** – Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

**Forwarded File** – A term that is assigned to a file that contains the check transactions that is send from channel applications, such as OTCnet or ECP, to Debit Gateway for settlement purposes.

**Franker** – An internal stamp unit that stamps a check with “Electronically Processed” after the check is processed and scanned. Franker availability is based on the model of your scanner.

**Franking** – The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

## H

**Highest Level Organization** – The primary level of the organization hierarchy.

## I

**IBM Tivoli Identity Manager (ITIM)** – Refers to Fiscal Service’s Enterprise provisioning tool for user account and identity management.

**Individual Reference Number (IRN)** – The auto-generated unique number used in OTCnet to identify Check Capture transactions.

**Input Length Maximum** – The maximum number of characters that may be entered in a user defined field.

**Input Length Minimum** – The minimum number of characters that may be entered in a user defined field.

**Internal Control Number** – A customizable field for agency use to further describe a deposit.

**Item Detail Report** – A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

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

## L

**Local Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish, maintain, and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

**Local Security Administrator (LSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Local Verification Database (LVD)** – A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

**Lower Level Organization** – Any organization created below the highest level organization.

**LVD Contents Report** – A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

## M

**Magnetic Ink Character Recognition (MICR)** – Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

**Master Verification Database (MVD)** – It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

**MVD Editor** – A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

**MVD Viewer** – A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

## N

**Non-Personal Item Type** – Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

**Non-Reporting OTC Endpoints Report** – A business report that allows you to view OTC Endpoints that have not reported a deposit.

## O

**Open Batch Status** – Indicates the batch is open and accepting new checks.

**Organization** – The location or level within a Federal Program agency.

**Organization Hierarchy** – The structure of a Federal Program agency as defined in OTCnet.

**Organization Hierarchy Report** – A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

**OTC Collections** – Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

**OTC Endpoint** – The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

**OTC Endpoint (CHK)** – The endpoint (location) setup in OTCnet to use check capture.

**OTC Endpoint (TGA)** – The endpoint (location) setup in OTCnet to use Deposit Reporting.

**OTC Endpoint Mapping** – The assignment of accounting codes to an agency’s OTC Endpoint, for which a deposit amount can be allocated.

**OTCnet Offline** – Refers to the over the counter application that provides Check Capture functionality to end users with limited internet connectivity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

**OTCnet Online** – Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet connectivity).

**Over the Counter Channel Application (OTCnet)** – Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

## P

**Personal Item Type** – Indicates that the name on check is an individual’s name, not acting as a business.

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

**Primary Local Security Administrator (PLSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Processing Options** – User-defined parameters for the deposit and adjustment processes.

**Processing Options by OTC Endpoints Report** – A business report that allows you to view processing options defined for endpoints within the organization.

## Q

**Queue Interface** – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

## R

**Received** – The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

**Received Date** – The date the check was received by web-based OTCnet.

**Rejected** – A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

**Represented** – This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

**Retired** – This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

**Return Reason Codes** – Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

**Return Settlement Date** – The effective date of settlement of the returned check item.

**Returned Item** – A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

**Routing Transit Number (RTN)** – (also known as American Bankers Association (ABA) Number or Bank Routing Number) – The nine-digit number used to identify a financial institution.

## S

**Save as Draft** – An option that allows a Deposit Preparer to save a deposit for modification at a later date.

**Save for Approval** – An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

**Send Error Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Sent Batch Status** – Indicates the batch was uploaded online without error.

**Separation of Duties** – A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

**Settle Best Method** – The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

**Settled** – This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

**Settlement Date** – The payment date of a check item, which is when the deposit is debited from the check writer's account.

**SF215 Deposit Ticket Report** – The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable for a duration of up to 45 days.

**SF5515 Debit Voucher Report** – The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable in for a duration of up to 45 days.

**Share Accounting Module (SAM)** – The application that facilitates the process of validating or deriving Treasury Account Symbol (TAS) and Business Event Type Code (BETC) combinations to assist CARS/GWA in classifying financial transactions as they occur.

**Short Name/Code** – The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

**Statistical Report** – A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is searchable for a duration of up to 15 days.

**Submit** – An option that allows a Deposit Approver to submit a deposit to a financial institution.

**Submitted** – A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

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

## T

**Terminal ID** – The unique number assigned to the workstation where a user performs functions in OTCnet.

**Trade Status** – Represents the status of the verification records. There are four possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

**Transaction History** – Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

**Transaction Reporting System (TRS)** – A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Treasury Account Symbol (TAS)** – The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

## U

**Universal Serial Bus (USB)** – A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

**US Dollar Equivalent (USE)** – The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

**US Treasury** – The executive department and the Treasury of the United States federal government.

**User Defined Field (UDF)** – A user-defined text that describes deposit activity or deposit accounting activity.

**User Information Report** – A security report allows that you to view a user's contact information.

**Users by Access Group (FI) Report** – A security report that allows you to view users by financial institution.

**Users by Access Group (FPA) Report** – A security report that allows you to view users by OTC Endpoint.

**Users by Role (FI) Report** – A security report that allows you to view users by role for your financial institution.

**Users by Role (FPA) Report** – A security report that allows you to view users by role for your OTC Endpoint.

## V

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

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

**View Vouchers Completed Report** – An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

**View Vouchers in Progress Report** – An administration report allows you to view the status of deposit and adjustment vouchers in progress.

**Viewer** – A user who has authorization to view OTCnet information and produce reports from it.

**Voucher Date** – The day that Debit Gateway receives transactions from OTCnet.

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



**OTCnet**<sup>SM</sup>

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## **Chapter 8: Setting Up and Configuring Check Capture Offline**

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### **OTCnet Participant User Guide**

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# Audience, Overview and Topics

## Audience

The intended audience for *Setting Up and Configuring Check Capture Offline* includes:

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

## Overview

Welcome to *Setting Up and Configuring Check Capture Offline*. In this chapter, you will learn:

- Purpose of Setting Up and Configuring Check Capture Offline
- Download and Install OTCnet Offline Check Capture Software
- Manage a Check Capture Administrator Profile
- Manage OTC Endpoints
- Manage User Profiles
- Manage Offline Users
- Manage a Check Capture Terminal
- Search an Audit Log
- Recover a Batch

## Topics

This chapter is organized by the following topics:

- Topic 1. Purpose of Setting Up and Configuring Check Capture Offline
- Topic 2. Download and Install OTCnet Offline Check Capture Software
- Topic 3. Manage a Check Capture Administrator Profile
- Topic 4. Manage OTC Endpoints
- Topic 5. Manage User Profiles
- Topic 6. Manage Offline Users
- Topic 7. Manage a Check Capture Terminal
- Topic 8. Search an Audit Log
- Topic 9. Recover a Batch

## Topic 1. Purpose of Setting Up and Configuring Check Capture Offline

OTCnet Offline allows an OTC Endpoint to scan checks and close batches without internet connectivity. Online functions (such as upload a batch, acknowledge a batch, or manage OTC Endpoints or users), however, require the appropriate permission in addition to internet connectivity. Table 1, the Offline/Online Functions, Internet Connectivity and User Matrix illustrates the functions of each user role and whether they are performed Online or Offline.

**Table 1. Offline/Online Functions, Internet Connectivity, and User Matrix**

Function	OTCnet Offline	OTCnet Online	Requires Internet Connectivity	User
Download and Install* OTCnet Offline Check Capture Software				CCA
Create a CCA Offline Logon Profile**				CCA
Retrieve a Check Capture Administrator Profile				CCA
Manage OTC Endpoints				CCA, CCS, CCLO
Manage User Profiles				CCA
Manage Offline Users				CCA
Manage a Check Capture Terminal				CCA, CCS
View an Audit Log				CCA, CCS, CCLO
Recover a Batch				CCS

CCA = Check Capture Administrator, CCS = Check Capture Supervisor, CCL/O = Check Capture Lead Operator or Check Capture Operator.

\* Installation does not require the user to be logged into either OTCnet Online or Offline, and it does not require internet access.

\*\* The OTCnet Offline application must be installed before a CCA Offline logon profile can be created.

## Topic 2. Download, Install, and Upgrade OTCnet Offline Check Capture Software

If you are assigned the role of **Check Capture Administrator (CCA)**, you can manually download, install, and upgrade the OTCnet Offline Check Capture software by logging into OTCnet Online and accessing the **Administration** tab, or you can request a copy of the software on CD.

The term *“install”* is used in this topic section to refer to a situation in which OTCnet Offline was not previously installed: this is the first time the application is being applied to a terminal. The term *“upgrade”* refers to a situation in which OTCnet Offline was previously installed and an updated version is being applied.

Downloading and installing OTCnet Offline software allows for capturing checks, managing batches and managing users associated with a terminal in an offline environment (no internet connectivity required). When internet connectivity is present, the OTCnet Offline software also allows users to upload and acknowledge batches.

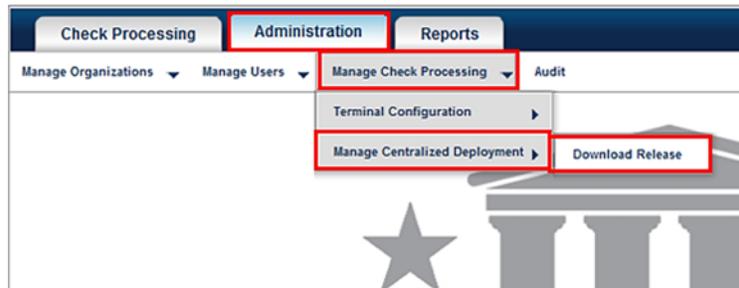
The Offline Check Capture software must be downloaded and installed for each terminal individually and requires Windows Administrator privileges.

## Download OTCnet Offline Check Capture Software

To download OTCnet Offline Check Capture software:

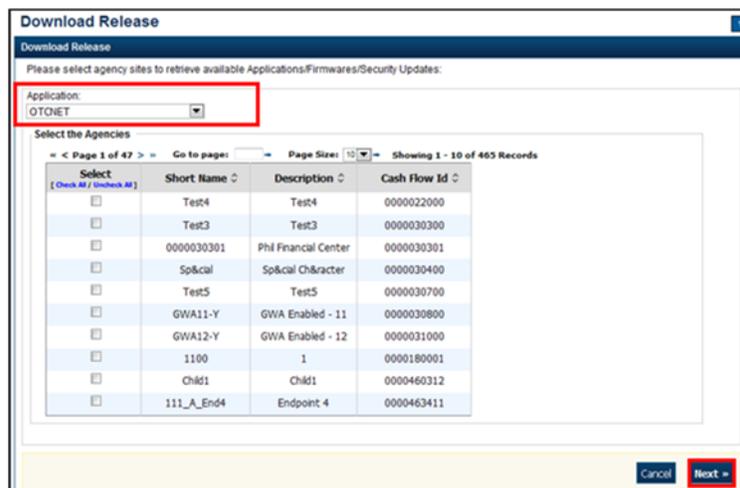
1. Click the **Administration** tab and then **Manage Check Processing**. Select **Manage Centralized Deployment** and then **Download Release** (see Figure 1).

Figure 1. Download Release



2. The *Agency Endpoint List* page appears. From the **Application** drop-down menu, select **OTCNET** and then click **Next** (see Figure 2). Clicking the **Next** button without selecting individual OTC Endpoints will allow you to view all releases available for download.

Figure 2. Agency Endpoint List



- By default, the **Application** drop-down menu is set to **Firmware**.
- The OTCnet application is the OTCnet Offline check capture software.
- Before a terminal can scan checks in OTCnet Offline you must download and install both the firmware and the OTCnet application.

- The *Select Application for Download* page appears. Click the **OTCnet** Application/Firmware hyperlink to download the OTCnet Offline software (see Figure 3).

Figure 3. Select Application for Download

Application/Firmware	Release Date	Description
OTCNETX.X.XX	2012-01-18 00:00:00	
OTCNETX.X.XX	2011-08-19 00:00:00	
OTCNETX.X.XX	2011-09-08 00:00:00	
OTCNETX.X.XX	2011-09-24 00:00:00	
OTCNETX.X.XX	2011-09-26 00:00:00	
OTCNETX.X.XX	2011-05-30 00:00:00	
OTCNETX.X.XX	2011-05-09 00:00:00	
OTCNETX.X.XX	2011-05-18 00:00:00	
OTCNETX.X.XX	2011-05-24 00:00:00	
OTCNETX.X.XX	2011-05-25 00:00:00	

- The *Review Application for Download* page appears. Once you have verified the application name and version, click **Download** to continue (see Figure 4).

Figure 4. Review Application Download

New Application Name	New Application Version:	Release Date
OTCNET	X.X.X	01/18/2012 00:00:00

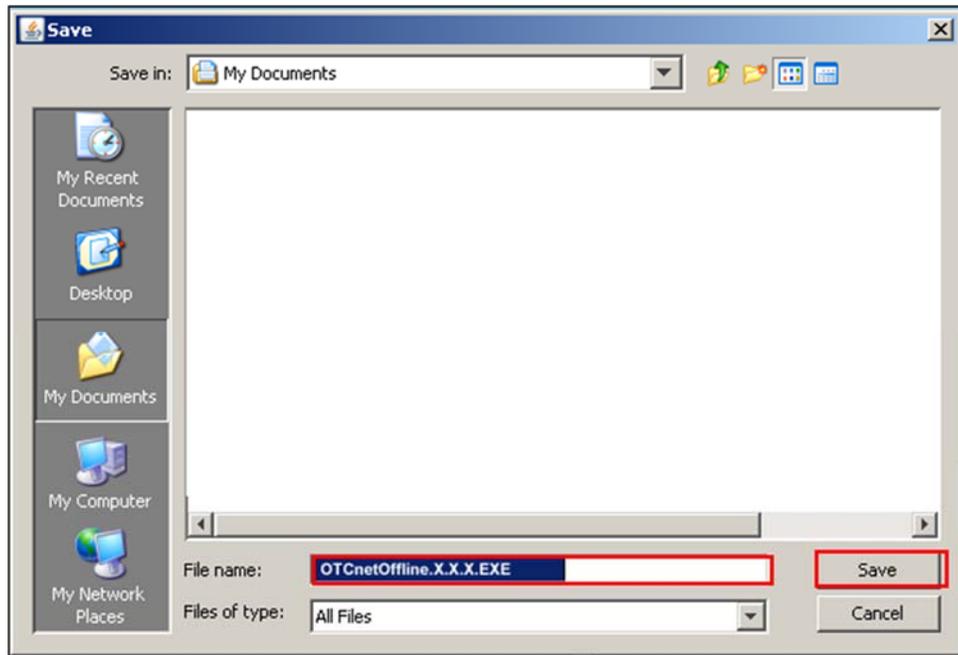
[Previous](#)
[Download](#)
[Return Home](#)

The *Save Program* dialog box appears. Choose the location where you want to save the file and click **Save**. If you click **Cancel**, you will return to the *OTCnet Check Capture Application Download* page without saving the file (see

5. Figure 5).

Once the application is successfully installed, the OTCnet Offline icon appears on your terminal's desktop and in your Start menu.

**Figure 5. Save Dialog Box**



## Download OTCnet Offline Check Capture Software

To download the OTCnet Offline Check Capture Software:

1. Click the **Administration** tab.
2. Select **Manage Check Processing** then **Manage Centralized Deployment**.
3. Click **Download Release**. The *Agency Endpoint List* page appears.
4. From the **Application** drop-down menu, select **OTCnet**.



### Application Tip

By default, the **Application** drop-down menu is set to **Firmware**.



### Application Tip

The OTCnet application is the OTCnet Offline check capture software.



### Application Tip

Before a terminal can scan checks in **OTCnet Offline**, download and install **both** the **Firmware** and **OTCnet** application.



### Application Tip

If you are upgrading from a 1.3 or older version of OTCnet Offline Check Capture version to a 1.3.1 OTCnet Offline Check Capture version or above and your Agency manages verification records, you will need to reset and download the LVD for each terminal. Refer to the *Reset LVD* and *Download LVD* printable job aids. If you are upgrading from a 1.3.1 version to 1.3.3 or higher, you do not need to reset and download the LVD.

5. Click **Next**. The *Select Application for Download* page appears.



#### Application Tip

As a best practice, click the **Next** button without selecting individual OTC Endpoints. If a **Check Capture Administrator** chooses to proceed to the next page without selecting an OTC Endpoint, the system will display all available firmware versions for download regardless of whether or not it has been assigned to that OTC Endpoint.



#### Application Tip

Selecting the agencies (OTC Endpoints) and then proceeding to the next page will show only the firmware versions assigned to that particular OTC Endpoint. If you do not select an OTC Endpoint and proceed to the next page, the next page will display any and all releases configured for OTCnet. **Note:** Selecting an Agency (OTC Endpoint) is not required or recommended.

6. Click the **OTCnet** hyperlink to download the software. The *Review Application Download* page appears.
7. Click **Download**. The *Save Program* dialog box appears.
8. Click **Save** or **Cancel**. The **OTCnet Offline** icon appears on the terminal's desktop and on your Start Menu under Programs once the application is successfully installed.



#### Application Tip

If you click **Save**, choose the location where you want to save the file. If you click **Cancel**, you return to the OTCnet Check Capture Application Download page without saving the file.



#### Application Tip

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

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

## Install OTCnet Offline Check Capture Software

After the OTCnet Offline Check Capture Software is downloaded, the next step is to install the software (must be done for each terminal). The Offline software was developed to provide the same functionality offered by OTCnet Online to agencies that cannot rely on a consistent online connection.

*Install* refers to no previous versions of OTCnet Offline installed on a terminal.

To install the OTCnet Offline Check Capture software you will need Windows Administrator privileges on each computer. Additionally, more than one version of the OTCnet Offline (Production or QA) application can be installed on a terminal. Each version of the application must be installed separately.

If installing the OTCnet Offline Check Capture Software (version 1.4 and above) for the first time (i.e. not upgrading from an older version), you must install the application *before* creating the CCA offline logon profile. You will also need to create a CCA Offline logon profile to run the OTCnet application, but it can only be created *after* installing version 1.4 or above of the OTCnet Offline application. For more information refer to *Administration User Guide: Chapter 8: Setting Up and Configuring Check Capture Offline, Topic 3. Manage a Check Capture Administrator Profile*.

To install the OTCnet Offline Check Capture software:

1. Locate the folder where the OTCnet software file (EXE file) resides and double-click the **OTCnet Offline.exe** icon (see Figure 6).

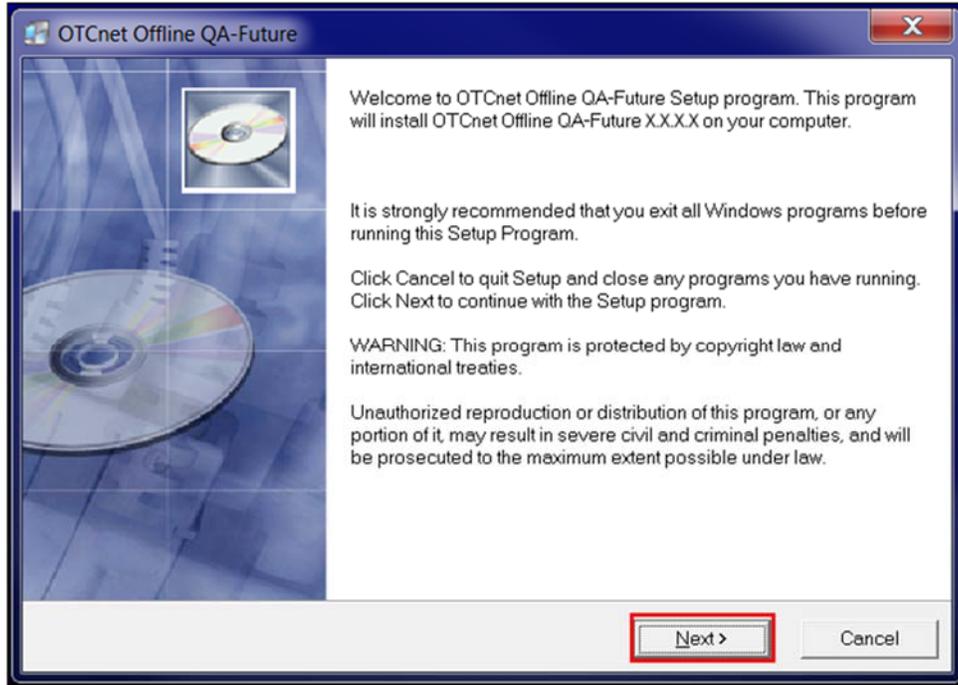
Figure 6. OTCnet Offline Icon



The *Welcome to the OTCnet Offline* dialog box appears. Click **Next** to continue (see Figure 7).

Figures 7, 8, 9, and 11 illustrate OTCnet Offline qae-future Setup; however, a user will also have the option to download and set up a production version of the software.

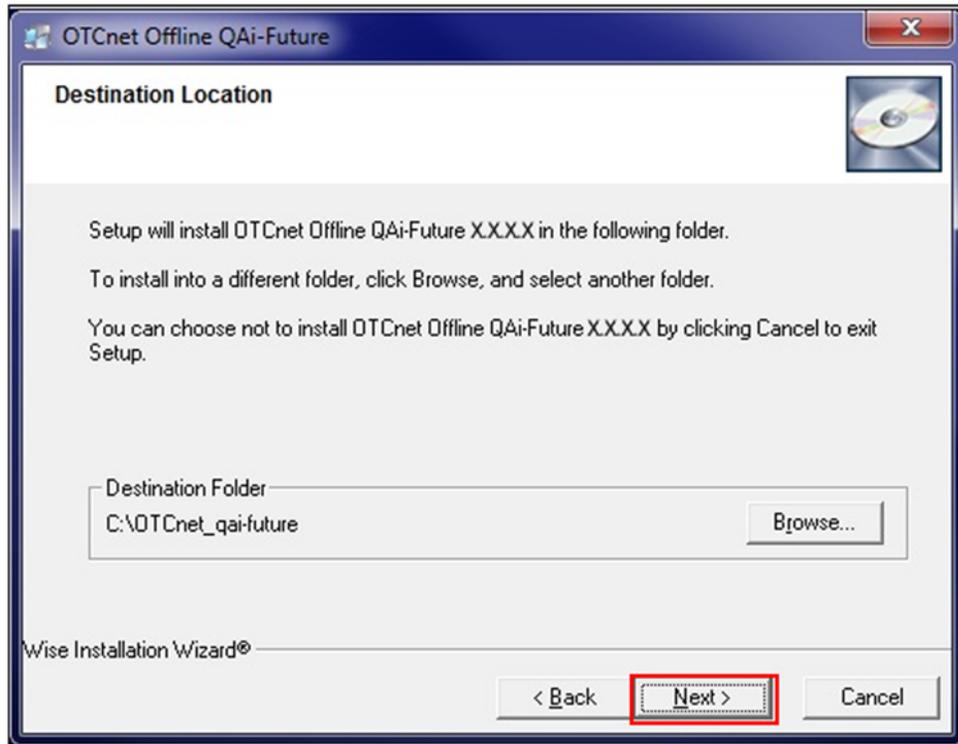
**Figure 7. Welcome to OTCnet Offline Setup**



2. The *OTCnet Offline Destination Location* dialog box appears. Click **Next** to continue (see Figure 8).

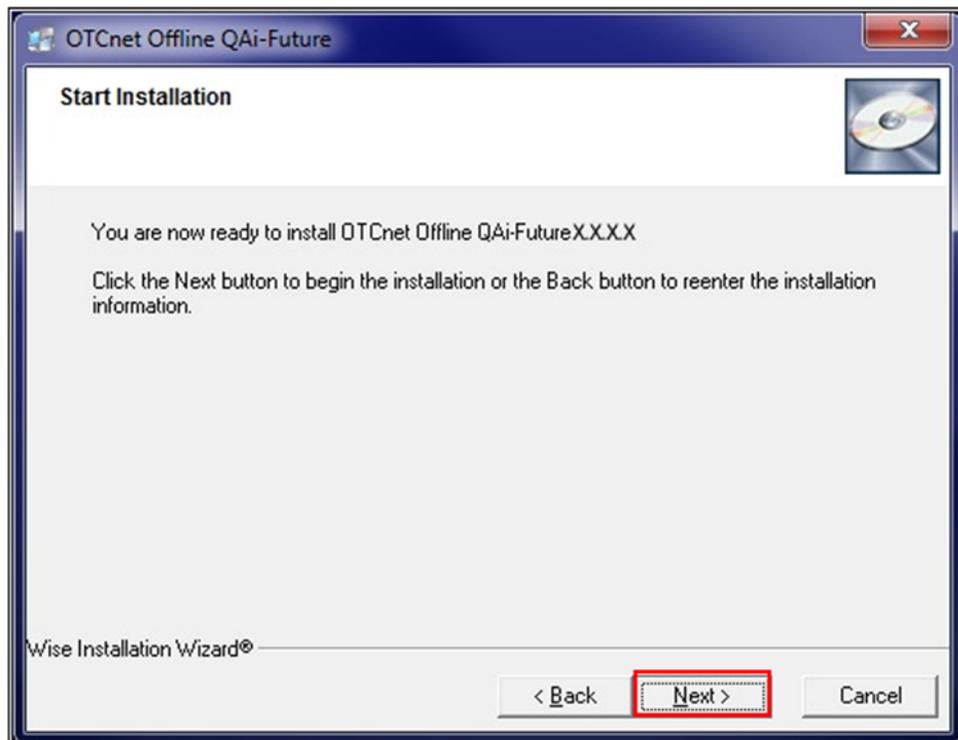
If you do not want the software to install the default folder destination, click **Browse** to select a different folder.

Figure 8. OTCnet Offline Destination Location



3. When the *OTCnet Offline Start Installation* dialog box appears, click **Next** to continue (see Figure 9).

Figure 9. OTCnet Offline Start Installation



4. The *Server Port Setting* Dialog box appears. Enter the appropriate values and click **Next** (see Figure 10).

The Server Port Settings are pre-populated with the default values.

Figure 10. Server Port Settings dialog box

Server Port Settings

Please enter the port settings for the Server below

Server Startup Port: 44238

Server Stop Port: 8079

Server HTTPS Port: 8443

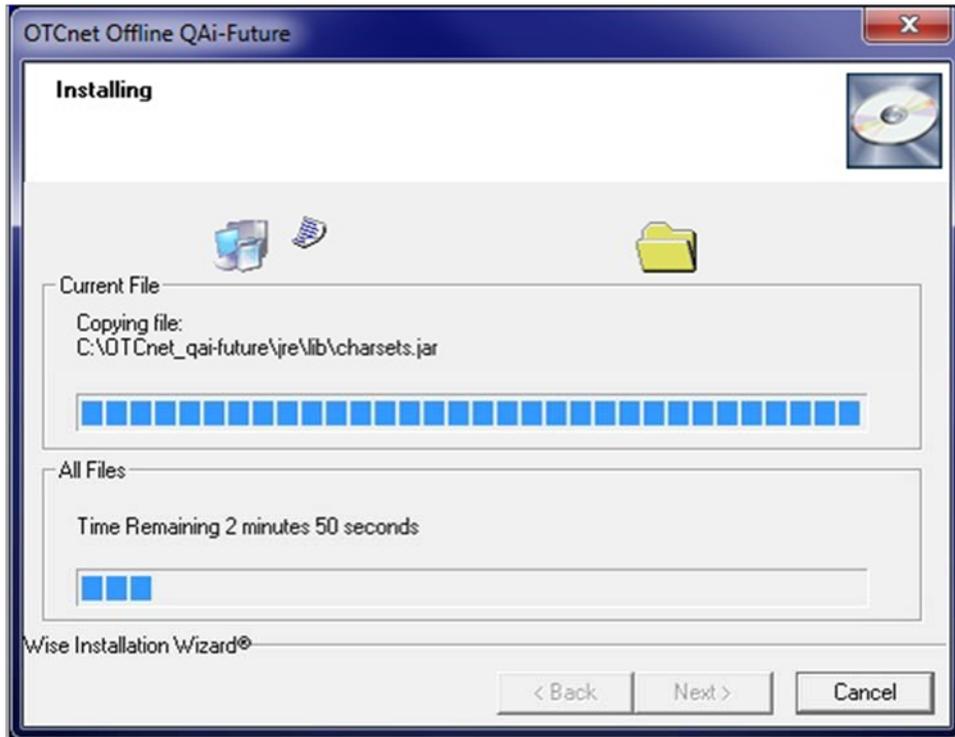
Server Monitor Port: 45723

Wise Installation Wizard®

Next > Cancel

5. The *Installing* dialog box appears. Wait a moment while the files install (see Figure 11).

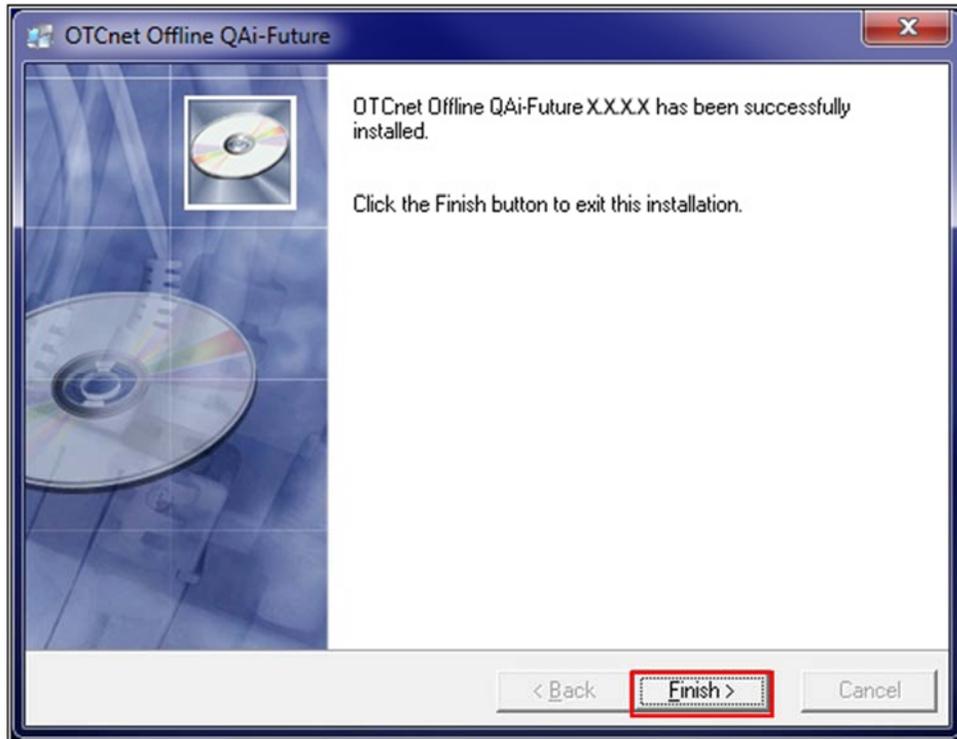
Figure 11. Installing dialog box



The *OTCnet Offline Successful Installation* dialog box appears. Click Finish to complete the installation (see Figure 12).

After OTCnet Offline (Production or QA) is successfully installed an OTCnet Offline (Production or QA) icon appears on the terminal's desktop and on your Start Menu under Programs.

**Figure 12. OTCnet Offline Successful Installation**



## Install OTCnet Offline Check Capture Software

The term *'install'* is used in this section to refer to a situation in which the OTCnet Offline application was not previously installed. The term *'upgrade'* refers to a situation in which the OTCnet Offline application was previously installed and an updated version is being applied.

To install the OTCnet Offline Check Capture software:



### Application Tip

Before initiating an Offline Check Capture software installation consider the following information:

- To install the OTCnet Offline Check Capture software you will need Windows Administrator privileges on each computer
- You will not be able to upgrade an existing Offline version to version 2.0.1. You must first uninstall the previous Offline version and perform a new installation. If Release 2.0.1 is installed over an existing offline version, it will not work properly.
- More than one OTCnet Offline application environment (Production or QA) can be installed on a terminal. Each Offline application environment must be installed separately.
- If you are installing OTCnet Offline Check Capture version 1.4 or higher, you must install the application first, *before* creating the CCA Offline Logon Profile. You will also need to create a CCA Offline Logon Profile to run the OTCnet application, but it can only be created *after* installing the OTCnet Offline application. Refer to the *Create a Check Capture Administrator Offline Logon Profile* printable job aid.

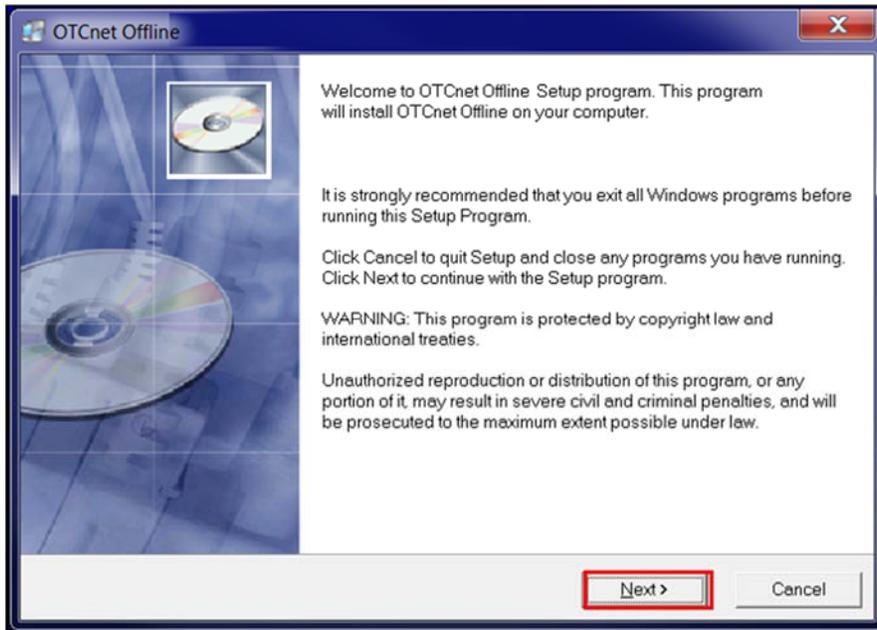
1. Locate the folder where the OTCnet software file (EXE file) resides and double-click the OTCnet Offline.exe icon.

Figure 13: OTCnet: Offline Icon



2. The *Welcome to the OTCnet Offline Installation Wizard* dialog box appears. Click **Next**.

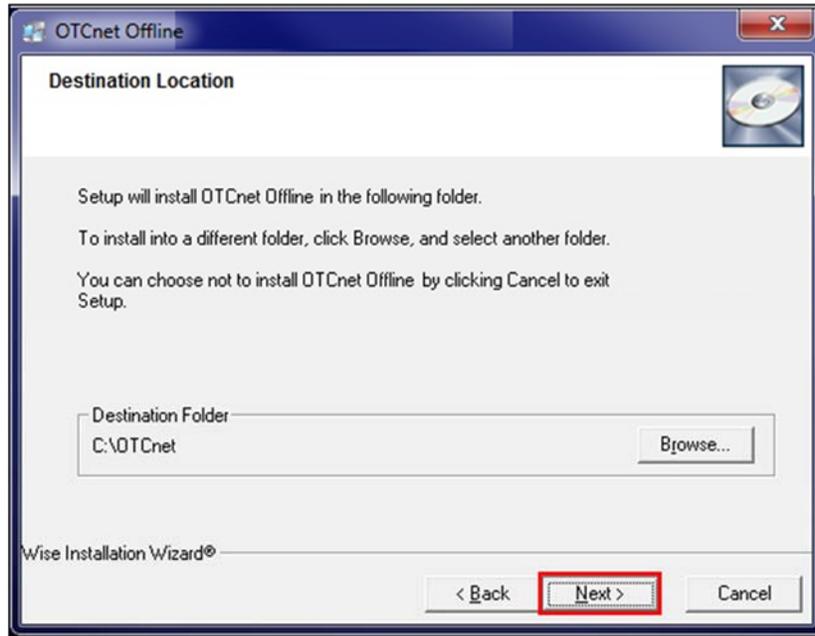
**Figure 14: Welcome to the OTCnet Offline Installation Wizard Dialog Box**



3. The *Destination Location* dialog box appears. Click **Next**.

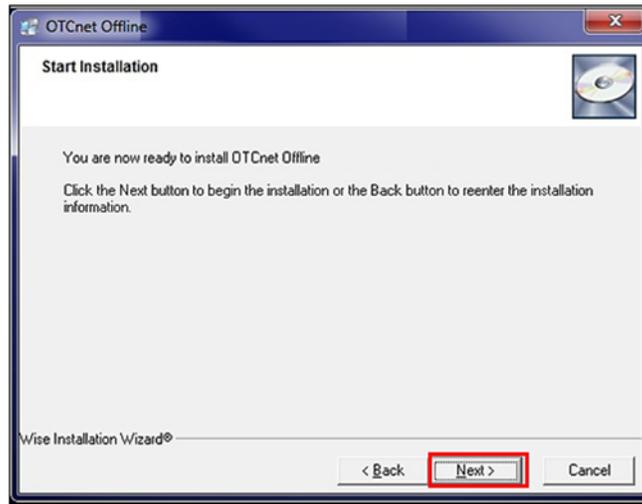
 **Application Tip**  
To install the software to another folder destination, click Browse to select a different folder. Click Cancel to exit the setup.

Figure 15: Destination Location Dialog Box



4. The *Start Installation* dialog box appears. Click **Next**.

**Figure 16: OTCnet Offline Installation Dialog Box**

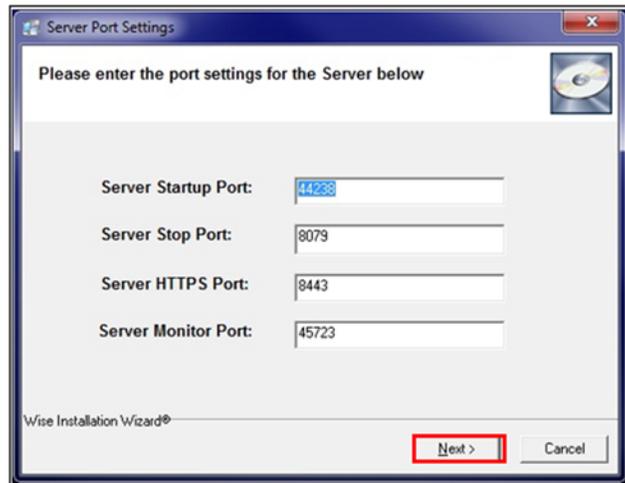


5. The *Server Port Settings* dialog box appears. Click **OK**.

 **Application Tip**  
The Server Port Settings are pre-populated with the default values.

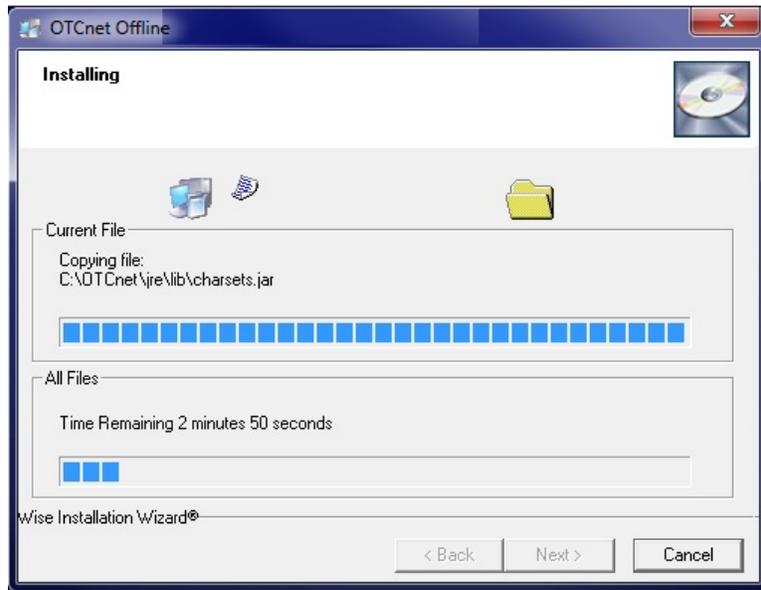
 **Application Tip**  
If your location has specific **Server Port Settings**, enter the **Server Start Port**, **Server Stop Port** details, **Server HTTPS Port**, and **Server Monitor Port** details.

Figure 17: Server Port Settings



The *Installing* dialog box appears. Wait a moment while the files install.

**Figure 18: Installing Prompt**

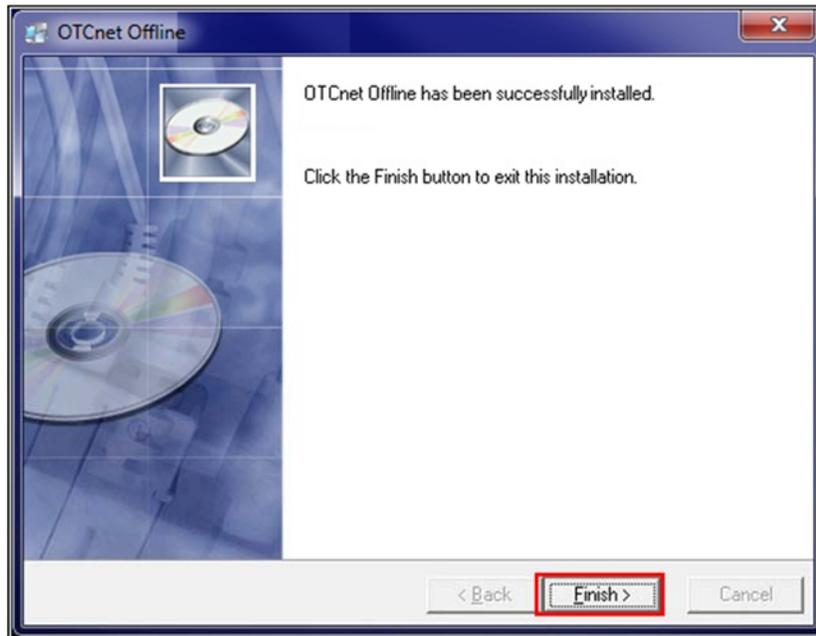


6. After the message “*OTCnet Offline has been successfully installed*” appears, click **Finish**.

 **Application Tip**

After OTCnet Offline is successfully installed an OTCnet Offline icon appears on the terminal's desktop and on your Start Menu under Programs.

**Figure 19: OTCnet Offline has been successfully installed**



## Upgrade OTCnet Offline Check Capture Software

As new versions of OTCnet Offline Check Capture software become available, your Agency may choose to upgrade its terminals. *Upgrade* refers to installing an updated version of OTCnet Offline on a terminal that has a previous version of OTCnet Offline installed.

Before you can upgrade from an OTCnet Offline version to a newer version, a CCA's Offline logon profile must first be created on the OTCnet Offline terminal using OTCnet *Online* (refer to

## Upgrade OTCnet Offline Check Capture Software

The term *'install'* is used in this section to refer to a situation in which the OTCnet Offline application was not previously installed. The term *'upgrade'* refers to a situation in which the OTCnet Offline application was previously installed and an updated version is being applied.

To upgrade OTCnet Offline Check Capture software:



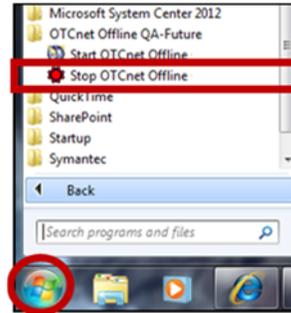
### Application Tip

Before initiating an Offline Check Capture software upgrade consider the following information:

- You will need Windows Administrator privileges for each computer you will be upgrading.
- If you have any of the OTCnet Offline versions (1.2.X–2.0) installed and you are upgrading to version 2.0.1 or higher, you must uninstall the previous offline version and then perform a new installation.
- If OTCnet Offline versions 2.0.1 or 2.2 is installed over an OTCnet Offline version earlier than 2.0.1, the OTCnet Offline application will not work properly. However, if you are upgrading from 2.0.1 to 2.2, you can perform the upgrade without uninstalling the previous offline version.
- If you are upgrading to OTCnet Offline version 1.4 or higher, you must install the application first, **before** creating the CCA Offline Logon Profile. You will also need to create a CCA Offline Logon Profile to run the OTCnet application, but it can only be created **after** installing the OTCnet Offline application. Refer to the *Create a Check Capture Administrator Offline Logon Profile* printable job aid.
- If you are upgrading from version 1.3 or older to version 1.3.1 or above and your Agency manages verification records, you will need to reset and download the LVD for each terminal. Refer to the *Reset LVD* and *Download LVD* printable job aids. If you are upgrading from a 1.3.1 version to 1.3.3 or higher, you do not need to reset and download the LVD.
- More than one OTCnet Offline application environment (Production or QA) can be installed and upgraded on a computer. Each Offline application environment must be upgraded separately.

1. Close open batches and upload all existing batches in Batch Management
2. Stop the Offline application (From the Windows Start Button menu, select **Stop OTCnet Offline**)

Figure 28: Stop OTCnet Offline



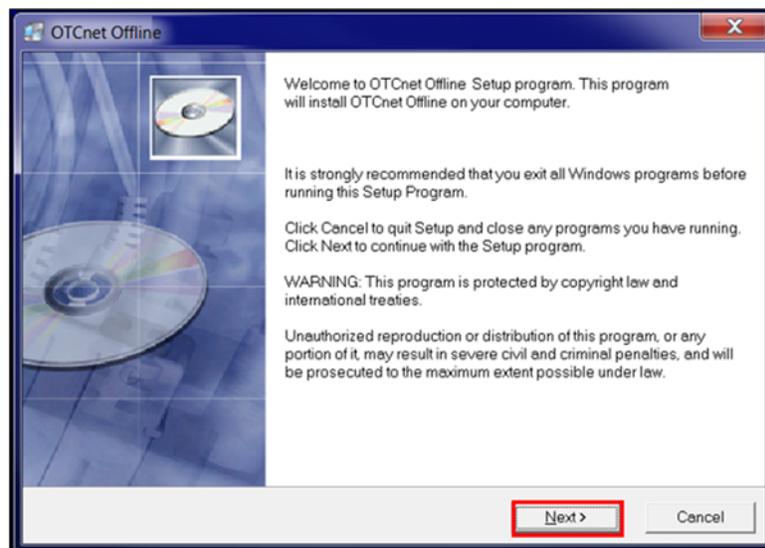
3. Locate the folder where the OTCnet software file (EXE file) resides and double-click the OTCnet Offline.exe icon.

Figure 29: OTCnet Offline.exe Icon



4. The *Welcome to the OTCnet Offline Installation Wizard* dialog box appears. Click **Next**.

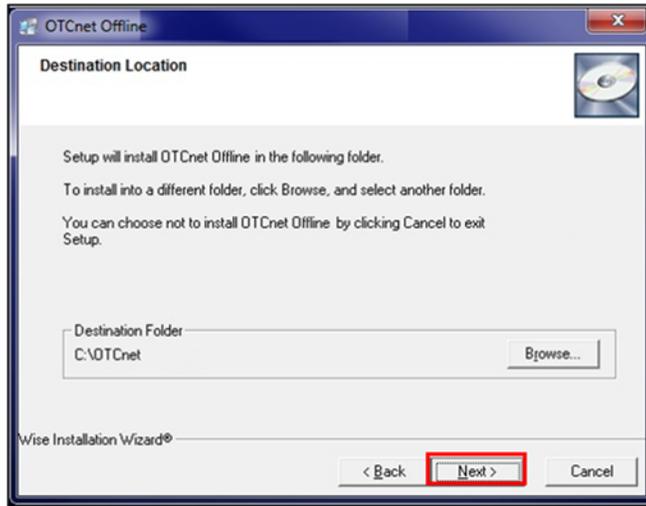
Figure 30: OTCnet Offline Installation Wizard



5. The *Destination Location* dialog box appears. Click **Next**.

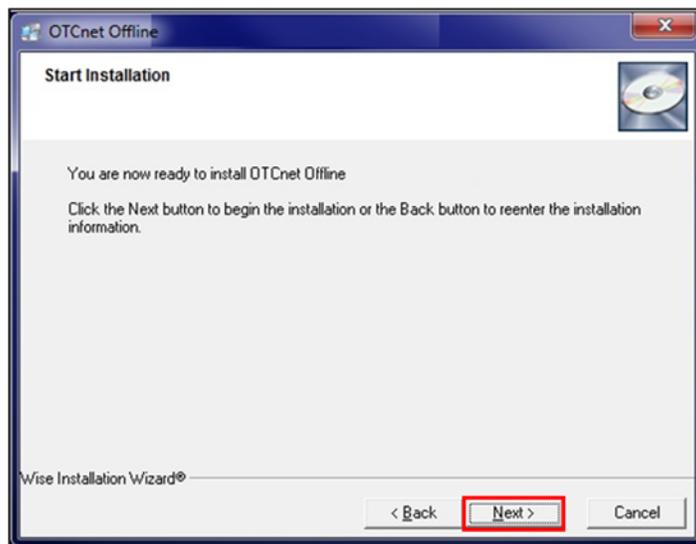
 **Application Tip**  
To install the software to another folder destination, click Browse to select a different folder. Click Cancel to exit the setup.

Figure 31: Destination Location



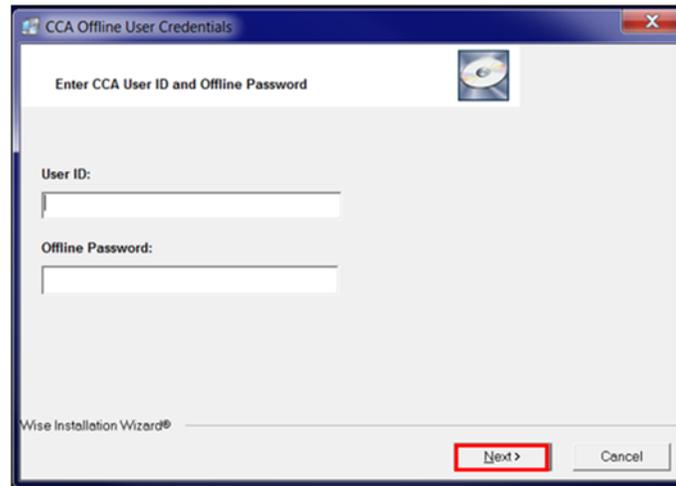
6. The *Start Installation* dialog box appears. Click **Next**.

Figure 32: Start Installation



7. The *CCA Offline User Credentials* dialog box appears. Enter your **Enter ID** and **Offline Password** in the appropriate text boxes, and click **Next**.

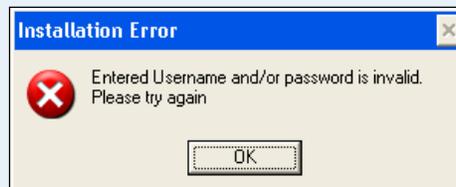
Figure 33: CCA Offline User Credentials



#### Application Tip

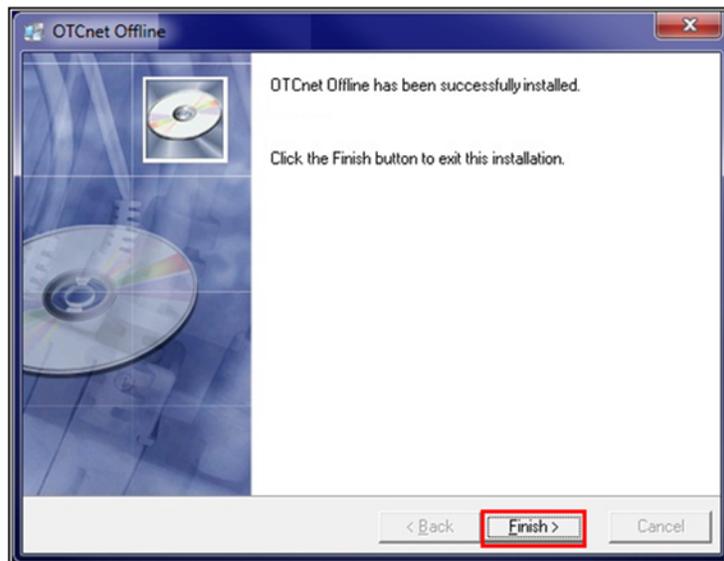
If an incorrect **User ID** and/or **Offline Password** is entered, an *Installation Error* dialog box message appears stating that the entered username (User ID) and/or password is invalid. Click **OK**. The upgrade process will be cancelled. As a result, you will need to run the installer again and enter the correct credentials.

Figure 34: Installation Error



8. Wait while the files install. After the *OTCnet Offline has been successfully installed* message appears, click **Finish**.

**Figure 35: OTCnet Offline has been successfully installed**



Topic 3. Manage a Check Capture Administrator Profile for more information).

Prior to performing the upgrade:

1. Close open batches and upload all existing batches in Batch Management
2. Stop the Offline application

If you have any of the OTCnet Offline versions (1.2.5–1.5) installed and you are upgrading to version 2.1 or above, you must uninstall the previous offline version and then perform a new installation. If you do not perform a new installation the OTCnet Offline application will not work properly.

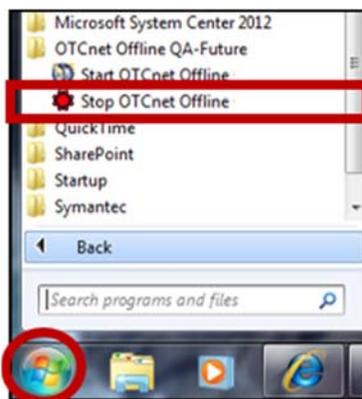
If you are upgrading from version 1.2.5 to 1.4 and your Agency manages local verification records, you will need to reset and download the LVD for each terminal (refer to *Administration User Guide: Chapter 5: Managing Verification Records, Topic 5. Download LVD and Topic 6. Reset LVD*).

If you are upgrading from version 1.4 and above to 1.5 and above, you do not need to reset and download the LVD.

To upgrade the OTCnet Offline Check Capture software:

1. Close open batches and upload all existing batches in Batch Management
2. Stop the Offline application (From the Windows Start Button menu, select **Stop OTCnet Offline**).

**Figure 20. Stop OTCnet Offline**



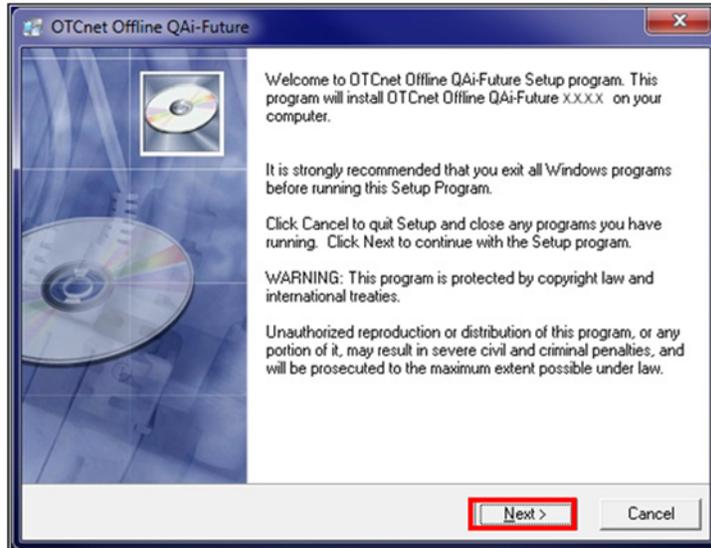
3. Locate the folder where the OTCnet software file (EXE file) resides and double-click the **OTCnet Offline.exe** icon (see Figure 13).

Figure 13. OTCnet Offline EXE



4. The *Welcome to OTCnet Offline Setup Program* dialog box appears. Click **Next**. (see Figure).

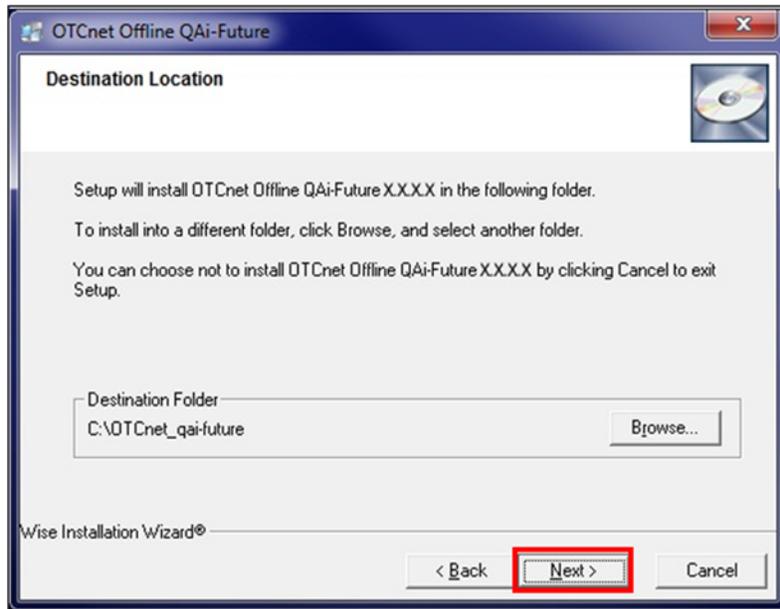
Figure 22. Welcome to OTCnet Offline Setup Program Dialog Box



5. The *Destination Location* dialog box appears. Click **Next** (see Figure 2314).

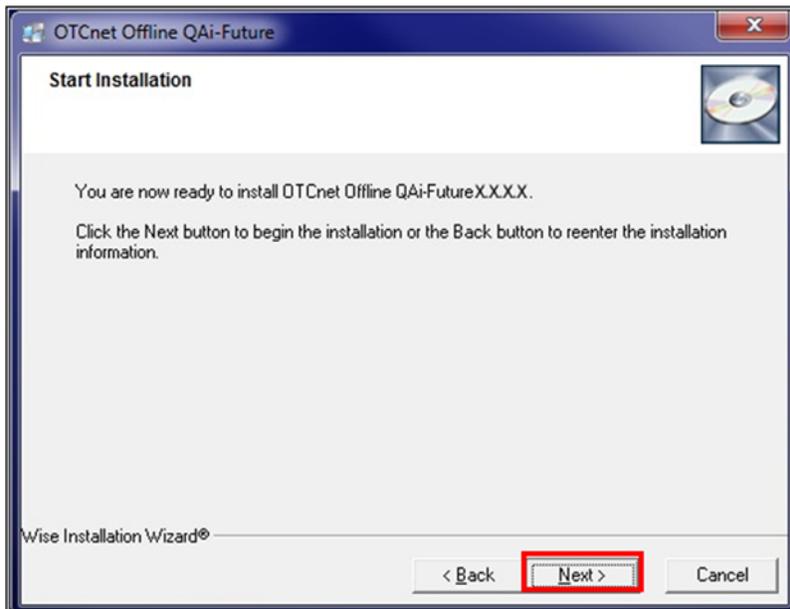
To install the software to another folder destination, click **Browse** to select a different folder. Click **Cancel** to exit the setup.

Figure 2314. Destination Location Dialog Box



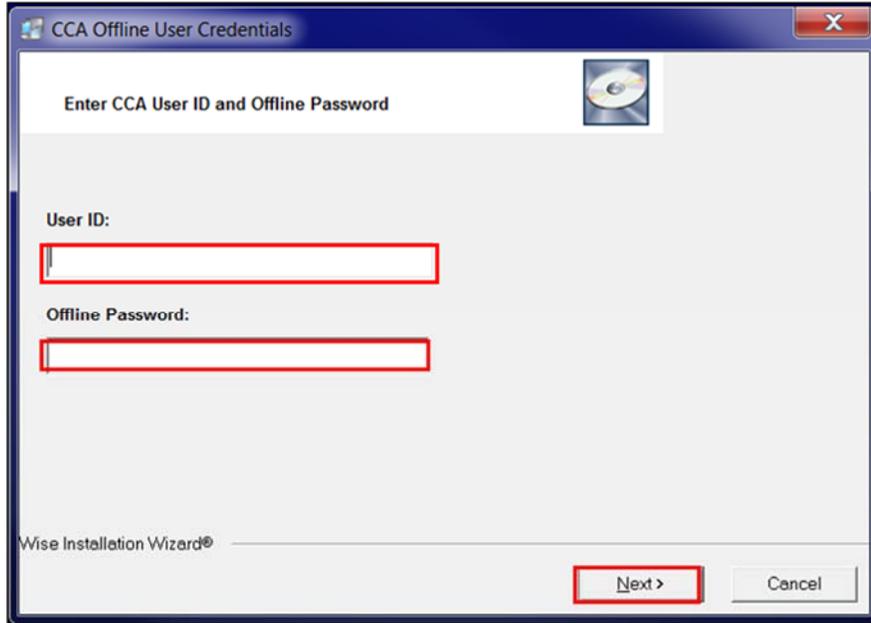
6. The *Start Installation* dialog box appears. Click **Next** (see Figure 15).

Figure 15. Start Installation dialog box



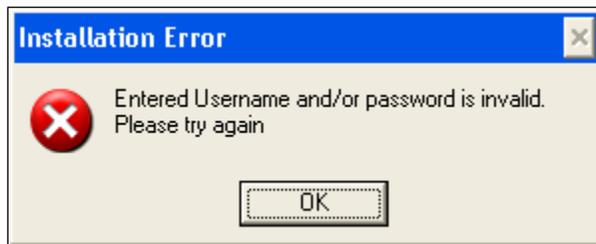
7. The *Enter CCA User ID and Offline Password* dialog box appears. Enter your **User ID** and **Offline Password** in the appropriate text boxes, and click **Next** (see Figure 16).

Figure 16. CCA Offline User Credentials dialog box



If an incorrect **User ID** and/or **Offline Password** is entered, an *Installation Error* dialog box message appears stating that the entered username (User ID) and/or password is invalid (see Figure 17). Click **OK**. The upgrade process will be cancelled. As a result, you will need to run the installer again and enter the correct credentials.

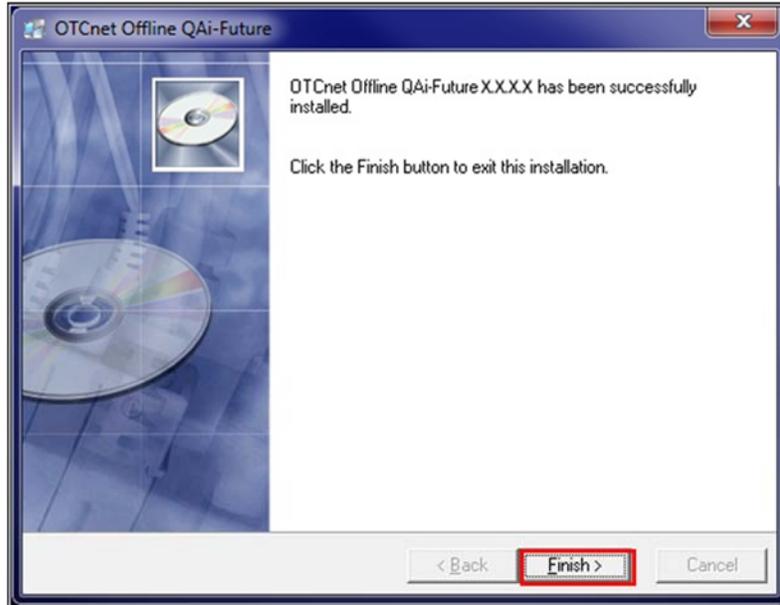
Figure 17. Installation Error dialog box



8. Wait a moment while the files install. After the *OTCnet Offline has been successfully installed* message appears, click **Finish** (see Figure 18).

After OTCnet Offline (Production or QA) is successfully installed an **OTCnet Offline (Production or QA)** icon appears on the terminal's desktop and on your Start Menu under Programs.

**Figure 18. OTCnet Offline has been successfully installed**



## Upgrade OTCnet Offline Check Capture Software

The term *'install'* is used in this section to refer to a situation in which the OTCnet Offline application was not previously installed. The term *'upgrade'* refers to a situation in which the OTCnet Offline application was previously installed and an updated version is being applied.

To upgrade OTCnet Offline Check Capture software:



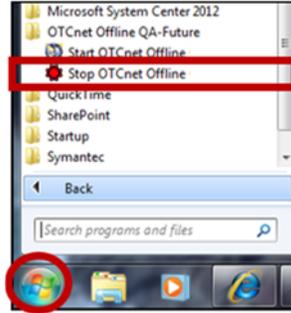
### Application Tip

Before initiating an Offline Check Capture software upgrade consider the following information:

- You will need Windows Administrator privileges for each computer you will be upgrading.
- If you have any of the OTCnet Offline versions (1.2.X–2.0) installed and you are upgrading to version 2.0.1 or higher, you must uninstall the previous offline version and then perform a new installation.
- If OTCnet Offline versions 2.0.1 or 2.2 is installed over an OTCnet Offline version earlier than 2.0.1, the OTCnet Offline application will not work properly. However, if you are upgrading from 2.0.1 to 2.2, you can perform the upgrade without uninstalling the previous offline version.
- If you are upgrading to OTCnet Offline version 1.4 or higher, you must install the application first, **before** creating the CCA Offline Logon Profile. You will also need to create a CCA Offline Logon Profile to run the OTCnet application, but it can only be created **after** installing the OTCnet Offline application. Refer to the *Create a Check Capture Administrator Offline Logon Profile* printable job aid.
- If you are upgrading from version 1.3 or older to version 1.3.1 or above and your Agency manages verification records, you will need to reset and download the LVD for each terminal. Refer to the *Reset LVD* and *Download LVD* printable job aids. If you are upgrading from a 1.3.1 version to 1.3.3 or higher, you do not need to reset and download the LVD.
- More than one OTCnet Offline application environment (Production or QA) can be installed and upgraded on a computer. Each Offline application environment must be upgraded separately.

- 9. Close open batches and upload all existing batches in Batch Management
- 10. Stop the Offline application (From the Windows Start Button menu, select **Stop OTCnet Offline**)

Figure 28: Stop OTCnet Offline



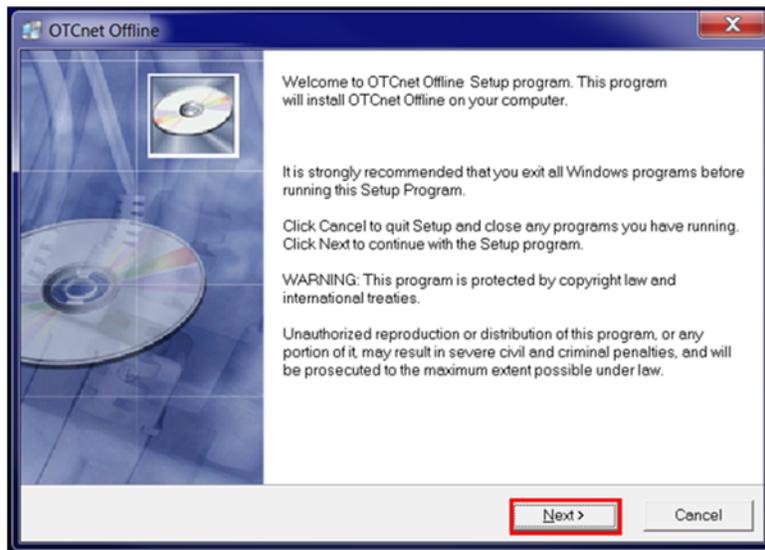
- 11. Locate the folder where the OTCnet software file (EXE file) resides and double-click the OTCnet Offline.exe icon.

Figure 29: OTCnet Offline.exe Icon



- 12. The *Welcome to the OTCnet Offline Installation Wizard* dialog box appears. Click **Next**.

Figure 30: OTCnet Offline Installation Wizard



13. The *Destination Location* dialog box appears. Click **Next**.

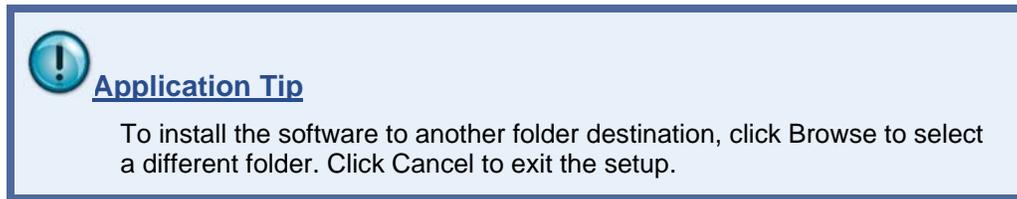
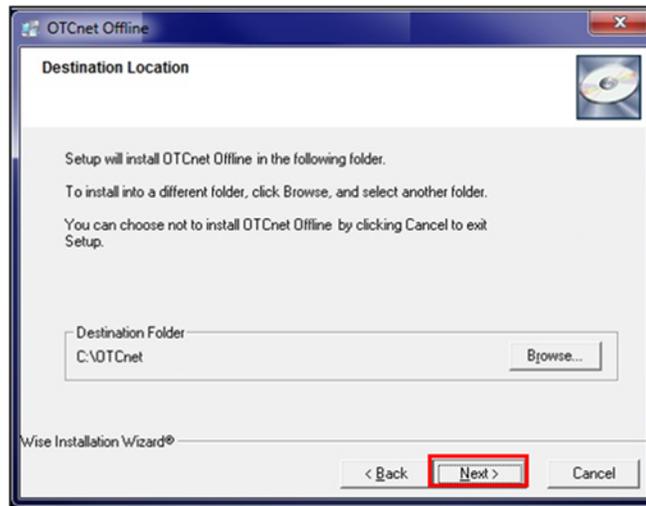
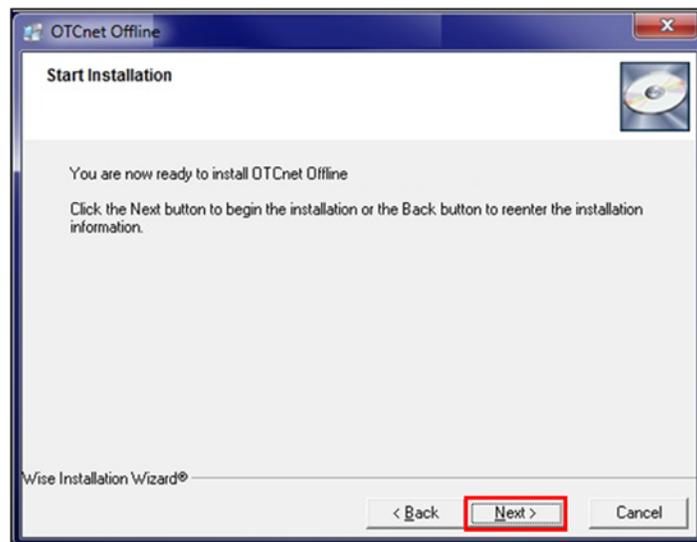


Figure 31: Destination Location



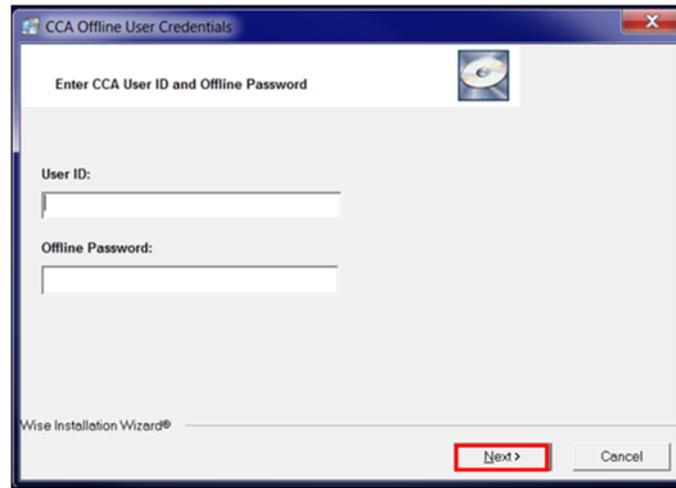
14. The *Start Installation* dialog box appears. Click **Next**.

Figure 32: Start Installation



15. The *CCA Offline User Credentials* dialog box appears. Enter your **Enter ID** and **Offline Password** in the appropriate text boxes, and click **Next**.

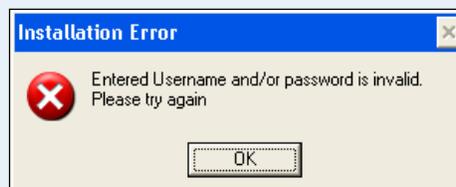
**Figure 33: CCA Offline User Credentials**



#### Application Tip

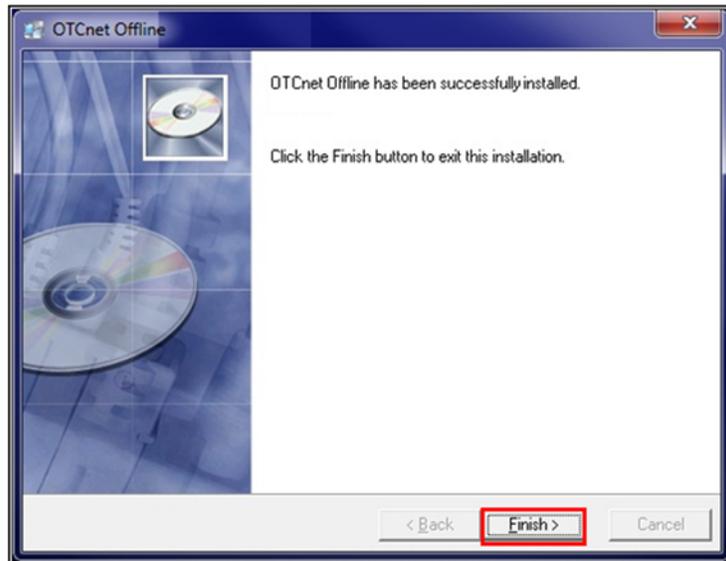
If an incorrect **User ID** and/or **Offline Password** is entered, an *Installation Error* dialog box message appears stating that the entered username (User ID) and/or password is invalid. Click **OK**. The upgrade process will be cancelled. As a result, you will need to run the installer again and enter the correct credentials.

**Figure 34: Installation Error**



16. Wait while the files install. After the *OTCnet Offline has been successfully installed* message appears, click **Finish**.

**Figure 35: OTCnet Offline has been successfully installed**



## Topic 3. Manage a Check Capture Administrator Profile

A CCA's Offline logon profile is necessary for upgrading the Offline application to version 1.4 and above, starting the OTCnet Offline server, and updating pre-existing non-CCA user Offline profiles during upgrade.

To create a CCA Offline logon profile, you must first log in, as a CCA, to **OTCnet Online** from each workstation where OTCnet is installed. Once logged in, you can create your CCA Offline logon profile. For more information about Downloading and Installing OTCnet Offline Check Capture Software, refer to *Administration User Guide: Chapter 8: Setting Up and Configuring Check Capture Offline, Topic 2. Download and Install OTCnet Offline Check Capture Software.*

If you are upgrading an OTCnet Offline version that is prior to 1.4 to version 1.4 or higher, you must create a *CCA Offline logon profile* **before** running an *OTCnet upgrade*.

If you are installing OTCnet Offline version 1.4 or higher on a terminal for the first time (i.e. no previous OTCnet Offline versions are installed), you must run the *OTCnet Offline installation* **before** creating a *CCA Offline logon profile*.

If you are installing an OTCnet Offline version that is prior to 1.4 on a terminal for the first time (i.e. there are no previous OTCnet Offline versions installed), you do not need to create a CCA Offline logon profile and you can skip this step and proceed to retrieving (downloading) your Admin profile.

The following table illustrates the steps necessary to install or upgrade to version 1.4 and above of the OTCnet Offline application:

**Table 2: Steps Necessary to Install or Upgrade to Version 1.4 and Above**

OTCnet Offline Version	Step 1	Step 2
No Prior Installation	Execute OTCnet 1.4+ installation	Create CCA Offline Logon Profile
Upgrading from OTCnet 1.2.x	Create CCA Offline Logon Profile	Execute OTCnet 1.4+ installation upgrade
Upgrading from OTCnet 1.3.x	Create CCA Offline Logon Profile	Execute OTCnet 1.4+ installation upgrade

## Create a Check Capture Administrator Offline Logon Profile

To create a Check Capture Administrator's (CCA) Offline logon profile:

1. Log into **OTCnet Online** and click the **Administration** tab, select **Manage Users** click Create a User Logon Profile (see Figure 19).

To create a CCA logon profile you need CCA privileges. Every time a CCA Offline logon profile is created using OTCnet Online, you will also need to download your CCA's admin profile in OTCnet Offline.

If your Agency is upgrading an existing OTCnet Offline version (1.3.3 or older) to a newer version (1.4 and above), these steps are required prior to running the OTCnet Offline update. The CCA Offline logon profile is necessary for starting the offline components so that the upgrade can complete successfully.

If you are installing an OTCnet Offline version (1.4 and above) on a terminal for the first time (i.e. no previous OTCnet offline versions are installed), you must run the OTCnet Offline installation **before** executing these steps to create a CCA Offline logon profile .

If you are installing a OTCnet Offline version (1.3.3 or older) on a terminal for the first time (i.e. no previous OTCnet Offline versions are installed), you do not need to create a CCA Offline logon profile and you can skip these steps and proceed to retrieving (downloading) you Admin profile.

Figure 19. Create User Logon Profile



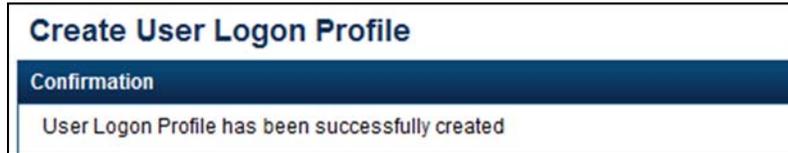
- The *Create User Logon Profile* page appears. Select the **Application Version** (see 2. Figure 20).
- Selecting an incorrect Offline **Application Version** may result in the Offline application not working properly.

Figure 20. Create User Logon Profile

- Enter your **Offline Password** and **Confirm Offline Password** and then click **Submit** (see 3. Figure 20).
- If you have an existing CCA account from a 1.3.3 or older version of OTCnet Offline, it is recommended that you set your CCA's Offline logon profile password to the *same* password used for logging in to the Offline application.
- If you forget your temporary Offline password and the OTCnet Offline server is not available, you must log in to OTCnet Online from your OTCnet Offline workstation and create a new CCA Offline logon profile. You must be logged into your OTCnet workstation as a CCA to create your Offline logon profile.

4. A *Confirmation* page appears stating your offline logon profile has been successfully created (see Figure 21).

**Figure 21. Create User Logon Profile Confirmation**



After you have successfully created your Offline logon profile and restarted your computer, log in to OTCnet Offline to download your Admin profile and set your permanent offline password. Ensure the upgraded OTCnet Offline Check Capture Software version (1.4 and above) is downloaded and installed on each terminal before retrieving your Admin profile.

5. Restart your computer to ensure that all OTCnet security features are fully enabled.

## Create a Check Capture Administrator Offline Logon Profile

To create a Check Capture Administrator (CCA) Offline Logon Profile:

1. Log into **OTCnet Online** from the workstation that will be using the OTCnet Offline application and click the **Administration** tab, select **Manage Users** click **Create User Logon Profile**. The *Create User Logon Profile* page appears.



### Application Tip

Before creating a Check Capture Administrator logon profile consider the following information:

- To create a CCA Offline user logon profile you will need CCA privileges
- The CCA Offline Logon Profile is necessary for starting the Offline server, and updating pre-existing non-CCA Offline user profiles during upgrade
- If your Agency is upgrading an existing OTCnet Offline version (1.3.3 or older) to a newer version (1.4 or higher), you must first create a CCA Offline user logon profile
- Every time a CCA Offline user logon profile is created using OTCnet Online, you will need to download your CCA admin profile in OTCnet Offline

2. Select **Prior to Release 2.0.1** or **Release 2.0.1 or higher** based on the version of the OTCnet Offline application that you wish to install.

Figure 39: Application Version

The screenshot shows the OTCnet web application interface. At the top, there is a navigation bar with 'Check Processing', 'Administration', and 'Reports' tabs. Below this is a breadcrumb trail: 'Home > Administration > Manage Users > Create User Logon Profile'. The main heading is 'Create User Logon Profile'. Underneath, there is a section titled 'Enter Offline Password' with a note: '\* Denotes required fields.' The 'Application Version' section is highlighted with a red box and contains two radio button options: 'Prior to Release 2.0.1' (which is selected) and 'Release 2.0.1 or higher'. Below this is a red warning message: 'Please note that selecting an incorrect Offline Application Version may result in offline application not working properly'. At the bottom of the form are three buttons: 'Clear', 'Cancel', and 'Submit'.



**Application Tip**

Selecting an incorrect Offline Application Version may result in the Offline application not working properly.

3. Enter your **Offline Password** and **Confirm Offline Password** and click **Submit**.

Figure 40: Offline Password

This screenshot is similar to Figure 39, showing the 'Create User Logon Profile' page. The 'Application Version' section is visible with 'Prior to Release 2.0.1' selected. The 'Offline Password' and 'Confirm Offline Password' fields are highlighted with a red box. The 'Submit' button at the bottom right is also highlighted with a red box. The warning message and other form elements are the same as in Figure 39.

**Application Tip**

If you forget your Offline password and the OTCnet Offline server is not available, you must log in to OTCnet Online from your OTCnet Offline workstation and create a new Offline Logon Profile. You must be logged into your OTCnet workstation as a CCA to create your Offline logon profile again.

**Application Tip**

If you have an existing CCA account from a 1.3.3 or older version of OTCnet Offline installed, it is recommended that you set your CCA's Offline Logon Profile password to the *same* password used for logging in to the Offline application.

4. A *Confirmation* page appears stating your Offline Logon Profile has been successfully created.
5. After you have successfully created your CCA Offline Logon Profile, log in to OTCnet Offline to download your Admin profile and set your permanent Offline password.

**Application Tip**

Ensure the upgraded OTCnet Offline Check Capture Software version (1.4 and above) is downloaded and installed on each terminal before retrieving your Admin profile.

6. Restart the workstation to ensure that all OTCnet security features are fully enabled.

## Retrieve an Administrator Profile

After the OTCnet Offline Check Capture software is downloaded and installed, the CCA Offline logon profile is created, and the Offline server is started, the next step is to retrieve (download) your **Check Capture Administrator's (CCA)** profile.

Once the Internet Explorer browser opens to the OTCnet Offline logon page, click the **Retrieve Admin Profile** hyperlink. This step is required if this is the first time that you have installed and accessed OTCnet Offline on that terminal or if you forgot your Offline password and had to create a new CCA Offline logon profile.

To download your Administrator profile offline, enter in your Online User ID and Password, and specify the Proxy settings for the terminal (if required). Once your credentials are confirmed, the system will connect with the OTCnet Online server, validate your credentials, and download your Administrator Profile locally. You will then be prompted to enter in a new Permanent Password for your offline account. Once completed, you will be returned to the login page to re-login to Offline OTCnet.

If you are upgrading an existing OTCnet Offline version (pre-1.4) to a newer version (1.4 and above) and you have already created a CCA Offline logon profile, you do not need to retrieve your administrator profile. Skip this step and proceed to logging in to the Offline application.

In the event that you forget both your online and offline passwords, contact the Customer Service Team at (866) 945-7920 to reset your online password. Then log in to OTCnet Online and re-establish a permanent password. Once your online password is reset, you will need to create another CCA Offline logon profile in OTCnet Online (see *Create a Check Capture Administrator's Offline Logon Profile*) and then access OTCnet Offline (internet connectivity required) and repeat the steps for retrieving your administrator profile (see *Retrieve an Administrator Profile*).

Your password for offline does not need to match your online account credentials.

To retrieve an administrator profile:

1. Double-click the **OTCnet Offline** icon located on the terminal's desktop or click **Start >Programs>OTCnet Offline (Production or QA)>Start OTCnet Offline (Production or QA)** (see Figure 22).

If you have already entered your Offline logon profile credentials proceed to step 3.

Figure 22. OTCnet Offline Icon



2. The *OTCnet Offline Server Startup* page appears (see Figure 23). Enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In**. Wait for the application to start up and Internet Explorer to open.

If the Offline server was not been previously started, you will need to enter your User ID and password to start up the Offline server. Refer to the *Administration Chapter 2: Accessing and Navigating OTCnet* user guide, *Topic 1: Logging In to OTCnet Online/Offline* and *Start the OTCnet Offline Server* for more details.

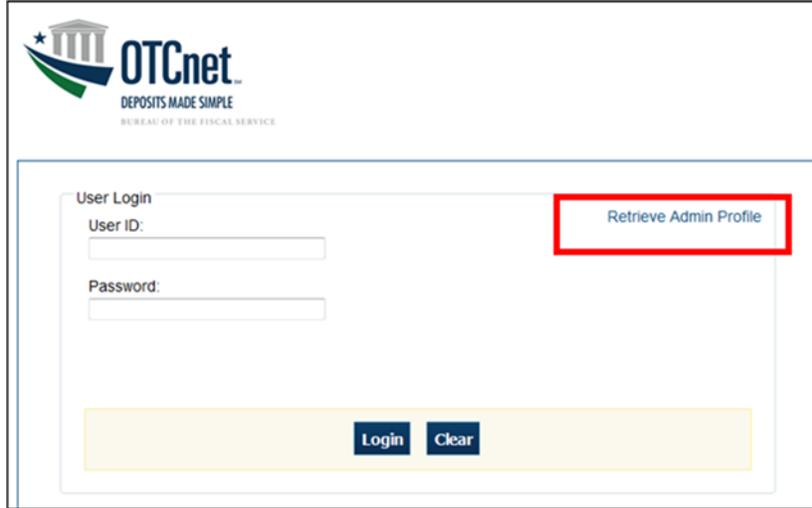
Figure 23. OTCnet Offline Server Startup

The image shows a screenshot of the 'OTCnet Offline Server Startup' application window. The window title bar reads 'OTCnet Offline Server Startup'. The main content area features the OTCnet logo (a stylized building with a star) and the text 'OTCnet DEPOSITS MADE SIMPLE BUREAU OF THE FISCAL SERVICE'. Below the logo are two text input fields: 'User ID:' and 'Offline Password:'. Underneath these fields are 'Login' and 'Cancel' buttons. A yellow warning banner with the text 'WARNING WARNING WARNING' is displayed. Below the banner is a disclaimer: 'You have accessed a United States Government computer. Unauthorized use of this computer is a violation of federal law and may subject you to civil and criminal penalties. This computer and the automated systems which run on it are monitored. Individuals are not guaranteed privacy while using government computers and should, therefore, not expect it. Communications made using this system may be disclosed as allowed by federal law.' At the bottom of the window is the 'BUREAU OF THE Fiscal Service U.S. DEPARTMENT OF THE TREASURY' logo.

3. The *OTCnet Login* page appears. Click the **Retrieve Admin Profile** hyperlink to begin the process of downloading the **Check Capture Supervisor** profile (see Figure 24).

Use the **Retrieve Admin Profile** hyperlink if this the first time you are installing any version of OTCnet Offline on your workstation or if you forgot your Offline password and had to create a new CCA Offline logon profile.

Figure 24. OTCnet Offline Home Page



4. Enter your **Online User ID** and **Online Password** and click **Retrieve Profile** (see Figure 25).

Figure 25. Retrieve Admin Profile Online Credentials

The screenshot shows a dialog box titled "Retrieve Admin Profile". It contains two input fields: "Online User ID:" and "Online Password:". These two fields are enclosed in a red rectangular box. Below these fields is a section titled "Proxy Server Configuration" which includes several settings: "Use Firewall Agent" (checkbox), "Firewall Agent" (dropdown menu showing "-- blank --"), "Use Proxy" (checkbox), "Proxy Timeout" (dropdown menu showing "-- blank --"), "Proxy User" (dropdown menu showing "-- blank --"), "Proxy Password" (password field with masked characters), "Proxy Server" (dropdown menu showing "-- blank --"), and "Proxy Port" (dropdown menu showing "-- blank --"). At the bottom of the dialog box, there are two buttons: "Retrieve Profile" (highlighted in red) and "Cancel".

If applicable, configure the proxy server settings. The **Proxy Timeout** value is the number of minutes the application waits for a connection to the server before the system times out. The maximum allowed timeout is 30 minutes

- Enter the **Proxy Password**
- Enter the **Proxy Server**
- Enter the **Proxy Port**

If the Use Firewall Agent option is enabled, then the Fire Agent is available for configuration and the agent name can be entered.

- Check **Use Proxy**
- Enter the **Proxy Timeout**

5. Enter **New Password**, Re-enter **New Password**, and click **Save** (see Figure 26).

Figure 26. Retrieve Admin Profile - New Password

**Retrieve Admin Profile**

Your profile has downloaded successfully

Please enter a permanent offline password

**User ID:** sccsup17

**New Password:**

**Re-Enter New Password:**

**Save** **Cancel**

Password Criteria:

- Must be at least **8 characters** long for OTCnet Offline versions prior to 2.0.1 and at least **10 characters** long for OTCnet Offline versions 2.0.1 and above
- Must contain at least one upper case letter
- Must contain at least one lower case letter
- Must contain at least one numeric character
- Must not have more than two repeating characters
- Must not repeat any of your last ten passwords
- Must not have been your password during the last ten days
- Must not be a word in a language, slang, dialect, or jargon
- Must not be related to personal identity, history, environment, or other personal associations
- Must not be shared or displayed in plain view

When you finish entering the passwords, click **Save**. A *Confirmation* page appears, stating your new password has been set. This new password is also the permanent password for your Offline logon profile, used for starting up the Offline server and application.

6. Restart your computer to ensure that all OTCnet security features are fully enabled.

## Retrieve a Check Capture Administrator Profile

To retrieve a Check Capture Administrator profile:

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

Or

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

The *OTCnet Offline Server Startup* page appears.



### Application Tip

If the OTCnet Offline icon is not located on the computer's desktop or Start Menu, under Programs, download and install the OTCnet Offline Check Capture software. Refer to the *Download OTCnet Offline Check Capture Software* and *Install OTCnet Offline Check Capture Software* printable job aids.



### Application Tip

If the Offline server was previously started, proceed to Step 3.

2. Enter your **User ID** and **Password** in the appropriate text boxes, and click **Log In** (if applicable). The *OTCnet Login* page appears.
3. Click the **Retrieve Admin Profile** hyperlink. The *Retrieve Admin Profile* page appears.



### Application Tip

Use the **Retrieve Admin Profile** hyperlink if this the first time you are installing version 1.4 (i.e. no previous versions are installed) on your workstation or if you forgot your Offline password and had to create a new CCA Offline logon profile.

4. Enter your **Online User ID** and **Online Password**.
5. Under Proxy Server Configuration (if applicable):
  - Check **Use Firewall Agent** and enter the **Firewall Agent**
  - Check **Use Proxy** and enter **Proxy Timeout, Proxy Password, Proxy Server** and **Proxy Port**

**Application Tip**

If **Proxy Server Configuration** settings are entered, they will be saved in the system and can later be **viewed** and modified in **Terminal Configuration**.

**Application Tip**

If the **Use Firewall Agent** option is enabled, then the Firewall Agent is available for configuration and the agent name can be entered.

**Application Tip**

If the **Use Proxy option** is **enabled**, then **Proxy Timeout**, **Proxy Password**, **Proxy Server**, and **Proxy Port** are available for configuration.

The **Proxy Timeout** value is the number of minutes the application waits for a connection to the server before giving up. The maximum allowed timeout is 30 minutes.

6. Click **Retrieve Profile**.
7. Enter your **New Password**, and **Re-Enter New Password**.

**Application Tip**

## Password Criteria:

- Must be at least 8 characters long for OTCnet Offline versions prior to 2.0.1 and at least 10 characters long for OTCnet Offline versions 2.0.1 and above
- Must contain at least one upper case letter
- Must contain at least one lower case letter
- Must contain at least one numeric character
- Must not have more than two repeating characters
- Must not repeat any of your last ten passwords
- Must not have been your password during the last ten days
- Must not be a word in a language, slang, dialect, or jargon
- Must not be related to personal identity, history, environment, or other personal associations
- Must not be shared or displayed in plain view

8. Click **Save**. A *Confirmation page* appears stating your new password has been set. This new password is also the permanent password for your offline logon profile, used for starting up the Offline server and application.



**Application Tip**

After the profile is successfully downloaded and permanent password was set, you will be prompted to log in to the Offline application with your new password.



**Application Tip**

If the profile download was unsuccessful, a message appears stating that the profile download was unsuccessful and to please contact Customer Service for assistance.

9. Restart your computer to ensure that all OTCnet security features are fully enabled.

## Topic 4. Managing OTC Endpoints

After the **Check Capture Administrator's (CCA)** profile is downloaded to the terminal, as the **CCA** you have the ability to manage OTC Endpoints. Managing OTC Endpoints allows for the user to select which OTC Endpoint(s) (CHK) and OTC Endpoint information will be downloaded to the OTCnet Offline Check Capture application. As a **Check Capture Supervisor (CCS)**, you can download OTC Endpoints after the Check Capture Administrator selects the OTC Endpoint for download.

Before OTC Endpoints can be managed, you must access the OTCnet Offline application and enter your online User ID and password. Once connectivity is established to the Online server from OTCnet Offline the system will retrieve all OTC Endpoints (CHK) (ALC+2, Short Name, and Description) that you have access to Online. After the system has successfully retrieved all accessible OTC Endpoints (CHK), you will be redirected to the OTC Endpoint selection screen.

Once the OTC Endpoints are saved into the local offline database, perform the Download OTC Endpoints function to download the form and form data, DDS flags (Department of Defense [DoD] only), Government-Wide Accounting (GWA) flag, Summary Level Classification flag, accounting code mapping (a link will be provided to review the list of accounting codes before downloading), OTC Endpoint updates, and other information necessary for performing check scanning in offline mode. Internet connectivity is required.

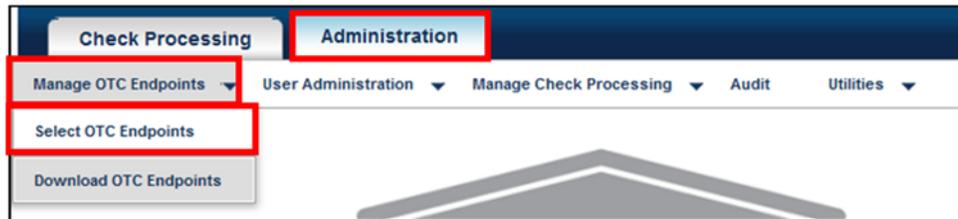
Agencies that are capturing accounting codes will have the ability to retrieve and save the accounting codes that have been setup online and mapped to that endpoint. If a CCA or CCS updates an accounting code online, the Offline application will incorporate those adjustments when internet connectivity has been established.

## Select OTC Endpoints

To select OTC Endpoints:

1. Click the **Administration** tab, select **Manage OTC Endpoints** and then click **Select OTC Endpoints** (see Figure).

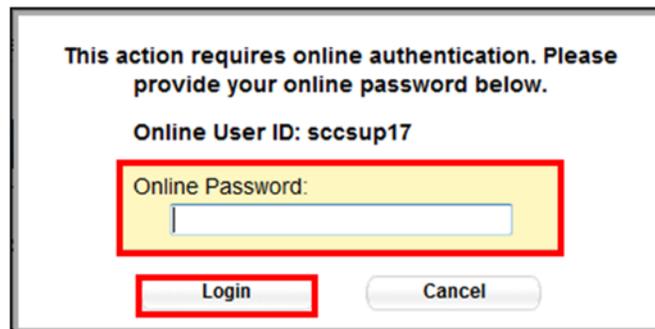
Figure 46. Select OTC Endpoints



The **Select OTC Endpoints** function allows you to select which OTC Endpoint(s) will be retrieved from the hierarchy. You must first select the OTC Endpoints you want to retrieve from the hierarchy before you can download to the OTCnet Endpoints.

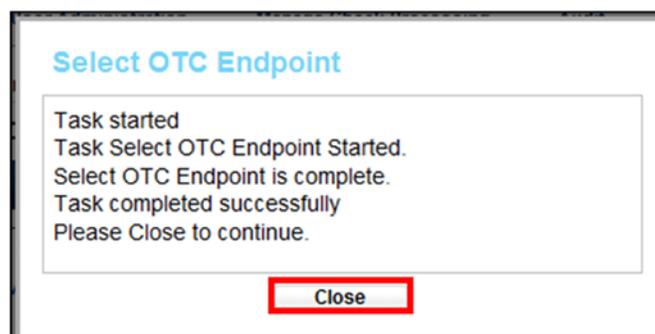
2. Once the *Online User ID and Online Password* dialog box appears, enter your **Online Password** and click **Login** (see Figure 27).

Figure 27. Online Password



3. When the *Select OTC Endpoints Download* dialog box appears, the system retrieves the Short Name, Description, and ALC+2 for all OTC Endpoints that you have access to in OTCnet Online. Upon *Task completed successfully*, click **Close** (see Figure 28).

Figure 28. Agency Download



- When the *Step 1 of 2: Select OTC Endpoint(s)* page appears, select **OTC Endpoint(s)** that you want to download to the OTCnet Offline Check Capture application by checking the box(es) in the **Select** column and click **Next** (see Figure 29).

Figure 29. Select OTC Endpoints

OTC Endpoint(s)

Showing 1 - 1 of 1 Records

Select [ Check All / Uncheck All ]	OTC Endpoint	ALC+2	Description
<input type="checkbox"/>	E1	00000303TT	Endpoint 1

Cancel Next

- The *Step 2 of 2: Review OTC Endpoint(s)* page appears. Verify the OTC Endpoints that will be downloaded and click Submit (see Figure 30).

Figure 30. Review OTC Endpoints

OTC Endpoints(s)

Showing 1 - 1 of 1 Records

OTC Endpoint	ALC+2	Description
E1	00000303TT	Endpoint 1

Cancel << Previous Submit

- 6. A *Confirmation* page appears showing the OTC Endpoints that have been successfully saved into the local offline database (see Figure 31).

**Figure 31. OTC Endpoint Confirmation**

**Select OTC Endpoints**

**Confirmation**

The following OTC Endpoints were downloaded successfully.

OTC Endpoint(s) \_\_\_\_\_

Showing 1 - 1 of 1 Records

OTC Endpoint	ALC+2	Description
E1	00000303TT	Endpoint 1

[Return Home](#)



## Select OTC Endpoints

To select OTC Endpoints:

1. Click the **Administration** tab.
2. Select **Manage OTC Endpoints** and click **Select OTC Endpoints**. The *Online User ID and Online Password* dialog box appears.



### Application Tip

The Select OTC Endpoints function allows you to select which OTC Endpoint(s) will be retrieved from the hierarchy. You must first select the OTC Endpoints you want to retrieve from the hierarchy before you can download to the OTCnet Endpoints.

3. Enter your **Online Password** and click **Login**. The *Select OTC Endpoint Downloads* dialog box appears.



### Application Tip

Enter your password that you use to access OTCnet Online. If your OTCnet Online credentials (Log In and Password) are expired or do not exist an error message appears. Ensure your OTCnet Offline credentials correspond to an existing OTCnet Online account.



### Application Tip

The system retrieves the Short Name, Description and ALC+2 for all OTC Endpoints that you have access to in OTCnet Online.

4. Click **Close**. The *Step 1 of 2 Select OTCnet Endpoint(s) page appears with Select OTC Endpoint* message.

**Application Tip**

It is highly recommended that the **Cancel** button is not clicked. Instead, wait for the **Close** button to ensure the OTC Endpoints (CHK) display on the *Select OTC Endpoints* page.

**Application Tip**

When the *Select OTC Endpoints Task dialog box* appears, the system downloads the OTC Endpoint information (CHK) (Short Name, ALC+2, and Description).

5. Select the OTC Endpoint(s) that you want to download to the OTCnet Offline Check Capture application by checking the check box(es) under the **Select** column.

**Application Tip**

Only active OTC Endpoints (CHK) to which a user has access will be listed. OTC Endpoints (TGA) will not be displayed.

6. Click **Next**. The *Step of 2 of 2 Review OTC Endpoint(s) page* appears.
7. Verify that the following OTC Endpoints should be saved to the database and click **Submit**.
8. A *Confirmation page* appears showing the OTC Endpoints have been successfully saved into the local offline database.

**Application Tip**

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

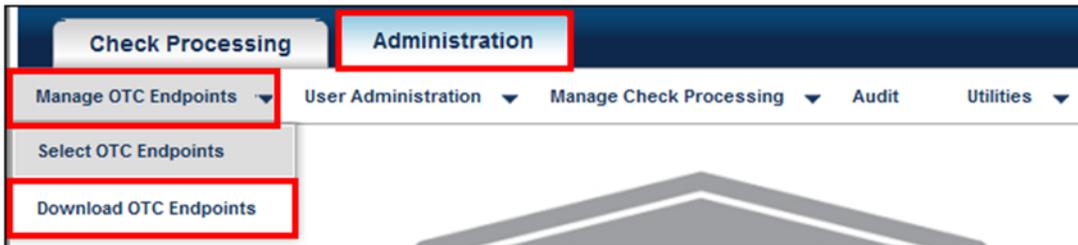
- Click **Return Home** to the OTCnet Home Page

## Download OTC Endpoints

To download OTC Endpoints:

1. Click the **Administration** tab
2. Select **Manage OTC Endpoints** and then click **Download OTC Endpoints** (see Figure 32).

Figure 32. Download OTC Endpoints

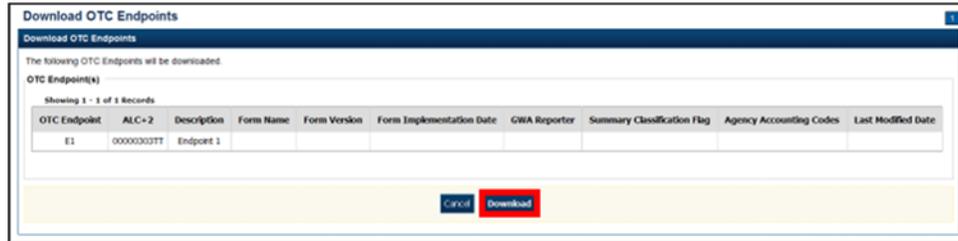


The Download OTC Endpoints function allows you to download OTC Endpoint information such as the form and form data; Deployable Disbursing System (DDS) flag configurations (Department of Defense (DoD) only); GWA Reporter flag configurations; accounting codes that are mapped explicitly to the OTC Endpoints or inherited from a higher level OTC Endpoint or highest level organization (HLO); and other information necessary to perform check scanning in Offline mode. Only OTC Endpoints that have been retrieved using the Select OTC Endpoints function are available for download using the Download OTC Endpoints function.

When the Task Download OTC Endpoint Started... message appears the system downloads the check capture forms and form data, DDS flag configurations, accounting code information, and organization hierarchy details for all OTC Endpoint (CHK) for all OTC Endpoints present on the local application.

Once the *Download OTC Endpoints* page appears, click Download (see Figure 33).

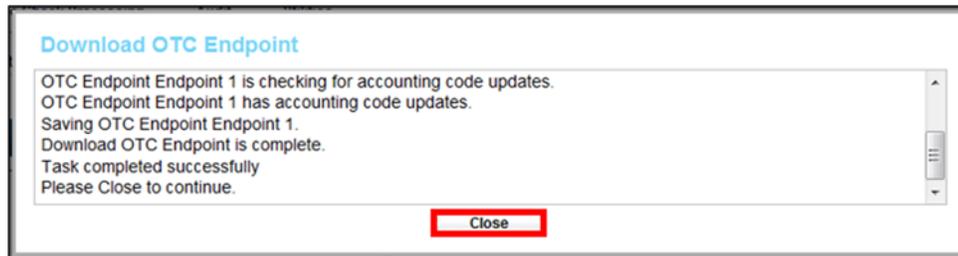
**Figure 33. Download OTC Endpoints Review**



To view the accounting codes associated with the OTC Endpoint before downloading the OTC Endpoints, click View on the Download OTC Endpoints page. After viewing the accounting codes, click Previous to return to the Download OTC Endpoints page.

3. Once the *OTC Endpoint and Form Update* task is complete, click **Close** to continue (see Figure 34).

**Figure 34. OTC Endpoint Form Update**



It is highly recommended that the Cancel button is not clicked instead wait for the Close button to ensure the OTC Endpoints (CHK) and forms are downloaded on the Download OTC Endpoints page.

Only active OTC Endpoints (CHK) that a user has access will be listed. OTC Endpoints (TGA) will not display. CHK denotes check capture and TGA denotes deposit processing.

- 4. A *Confirmation* page appears showing the OTC Endpoints have been successfully downloaded (see Figure 35).

**Figure 35. PTC Endpoint Download Confirmation**

The screenshot shows a web interface titled "Download OTC Endpoints". Under the "Confirmation" section, it states "The following OTC Endpoints have been successfully downloaded." Below this, there is a table of OTC Endpoints. The table has 10 columns: OTC Endpoint, ALC-2, Description, Form Name, Form Version, Form Implementation Date, GWA Reporter, Summary Classification Flag, Agency Accounting Codes, and Last Modified Date. One record is shown for OTC Endpoint E1 with ALC-2 0000030TT, Description Endpoint 1, Form Name NoConfigFields, Form Version 2004, Form Implementation Date 06/05/2013, and Last Modified Date 10/28/2014. A "View" link is present in the Agency Accounting Codes column. At the bottom of the table area, there is a "Return Home" button.

OTC Endpoint	ALC-2	Description	Form Name	Form Version	Form Implementation Date	GWA Reporter	Summary Classification Flag	Agency Accounting Codes	Last Modified Date
E1	0000030TT	Endpoint 1	NoConfigFields	2004	06/05/2013			<a href="#">View</a>	10/28/2014



## Download OTC Endpoints

To download OTC Endpoints:

1. Click the **Administration** tab.
2. Select **Manage OTC Endpoints** and click **Download OTC Endpoints**. The *Download OTC Endpoint* message appears.



### Application Tip

The **Download OTC Endpoints** function allows you to download OTC Endpoint information such as the form and form data; Deployable Disbursing System (DDS) flag configurations (Department of Defense (DoD) only); GWA Reporter flag configurations; accounting codes that are mapped explicitly to the OTC Endpoints or inherited from a higher level OTC Endpoint or highest level organization (HLO); and other information necessary to perform check scanning in Offline mode. Only OTC Endpoints that have been retrieved using the **Select OTC Endpoints** function are available for download using the **Download OTC Endpoints** function.

3. The *Download OTC Endpoints* page appears. Click **Download**. The *OTC Endpoint and Form Update* dialog box appears.



### Application Tip

When the *Task Download OTC Endpoint Started...* message appears the system downloads the check capture forms and form data, DDS flag configurations, accounting code information, and organization hierarchy details for all OTC Endpoint (CHK) for all OTC Endpoints present on the local application.



### Application Tip

To view the accounting codes associated with the OTC Endpoint before downloading the OTC Endpoints, click **View** on the *Download OTC Endpoints* page. After viewing the accounting codes, click **Previous** to return to the *Download OTC Endpoints* page.

4. Click **Close**.

**Application Tip**

It is highly recommended that the **Cancel** button is not clicked instead wait for the **Close** button to ensure the OTC Endpoints (CHK) and forms are downloaded on the *Download OTC Endpoints* page.

**Application Tip**

Only active OTC Endpoints (CHK) that a user has access will be listed. OTC Endpoints (TGA) will not display. **CHK** denotes check capture and **TGA** denotes deposit processing.

5. A *Confirmation* page appears showing the OTC Endpoints have been successfully downloaded.

**Application Tip**

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

- Click **Return Home** to return the OTCnet Home Page.

## Topic 5. Managing User Profiles

If you are assigned the role of **Check Capture Administrator (CCA)**, you are the only authorized user that can download and update user profiles.

Downloading user profiles allows for a user to perform the check capture function using the OTCnet Offline. The user can only perform this function within the OTC Endpoints that he/she is provisioned to in OTCnet Online (via ITIM). After the user profiles are downloaded to the appropriate OTC Endpoints temporary passwords are displayed. Communicate the User ID and temporary password details to the appropriate users.

Updating user profiles allows for updating the account status, personal information, as well as provisioning. If an inactive user profile is downloaded, and can be activated in OTCnet Offline. Updating user profiles in OTCnet Offline does not change the user's profile in OTCnet Online.

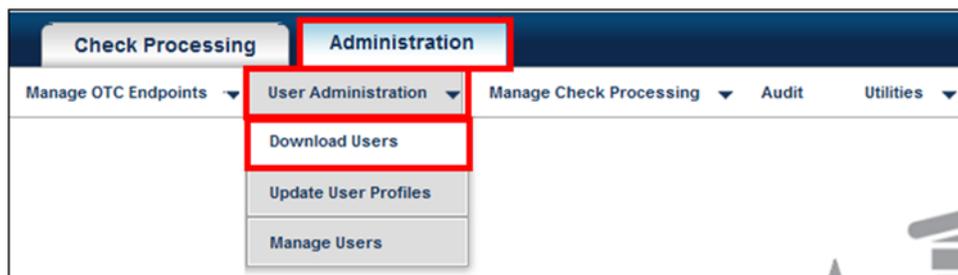
### Download User Profiles

In order to manage user profiles, one must first download user profiles to the OTCnet Offline application. This ensures the most up to date information is being used.

To download user profiles:

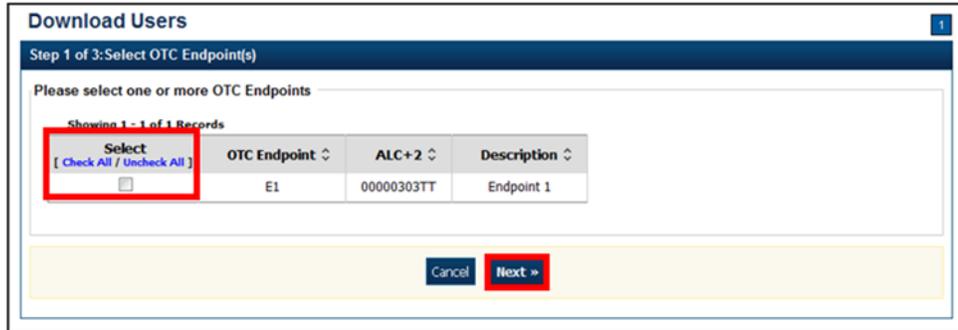
1. Click the Administration tab, select User Administration, and then click Download User (see Figure ).

Figure 59. Download Users



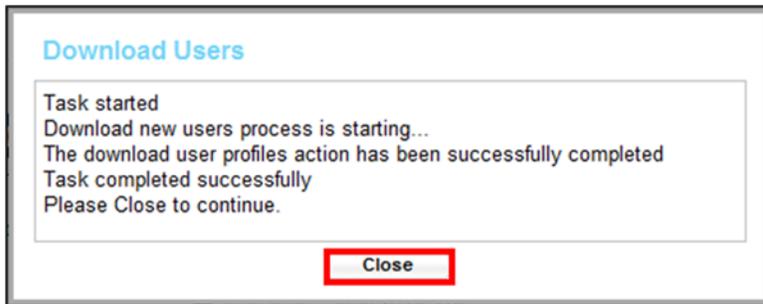
- Once the *Step 1 of 3: Selecting OTC Endpoint(s)* page appears, select the **OTC Endpoints(s)** for which you want to download the user profile(s), and then click **Download User Profile** (see Figure 36).

Figure 36. Step 1 of 3: Select OTC Endpoint(s)



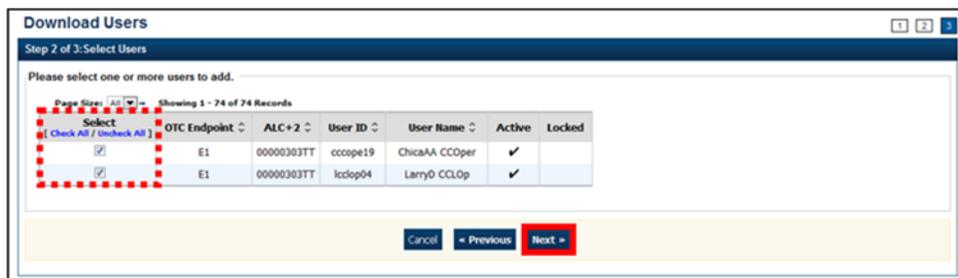
- Once the *download user profiles action has been successfully completed* message appears in the *Download Users* dialog box, click **Close** to continue (see Figure 37).

Figure 37. Download Users



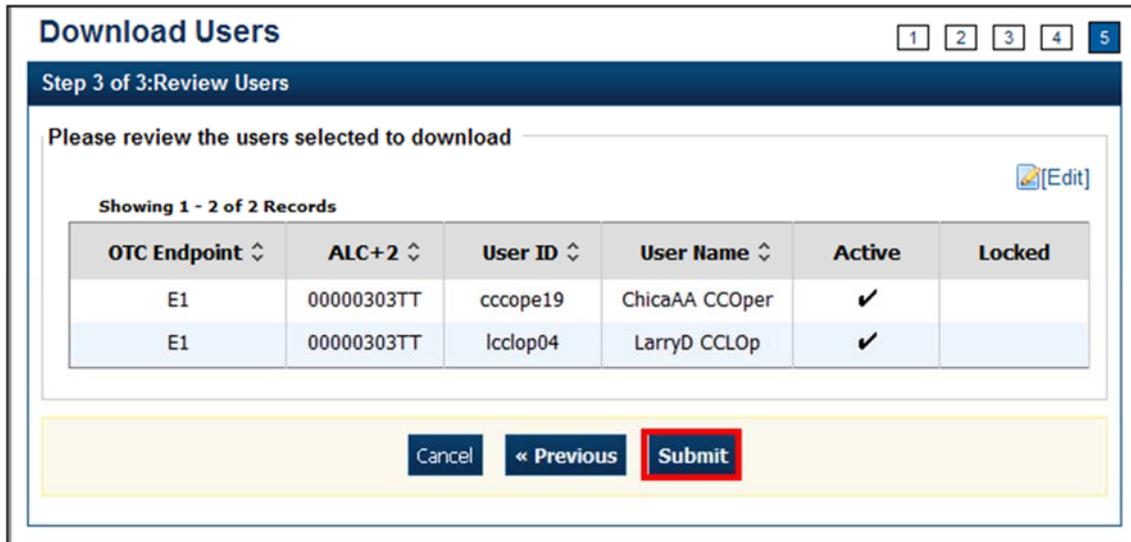
- After the *Step 2 of 3: Select Users* dialog box appears, select the user profile(s) that you want to download to the OTCnet Offline Check Capture application and then click **Next** (see Figure 38).

Figure 38. Step 2 of 3: Select Users



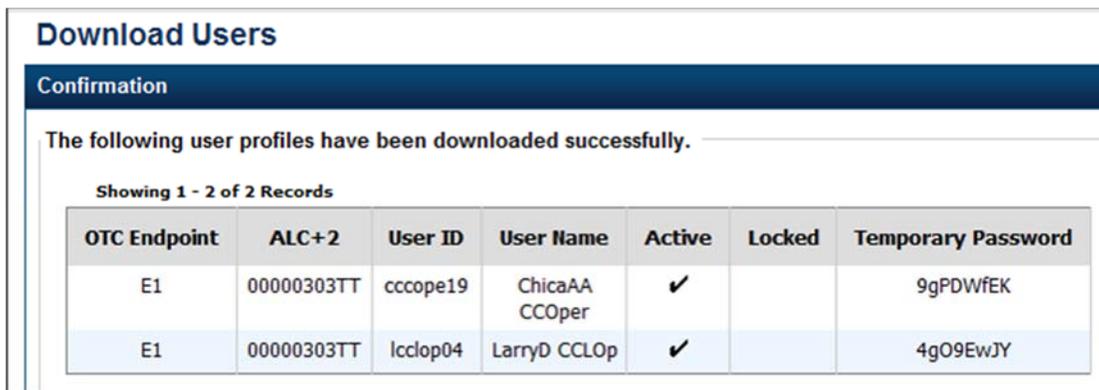
- The *Step 3 of 3: Review Users* dialog box appears. Verify the users selected to download and click **Submit** (see Figure 39).

Figure 39. Step 3 of 3: Review Users



- The *Download Users Confirmation* page appears, showing the user profiles for the OTC Endpoints that have successfully been downloaded to the local Offline database (see Figure 40).

Figure 40. Download Users Confirmation





## Download User Profiles

To download user profiles:

1. Click the **Administration** tab.
2. Select User **Administration** and click **Download Users**. The *Step 1 of 3: Select OTCnet Endpoint(s)* page appears.
3. Select the OTC Endpoint(s) that you want to download the user profile(s) to the OTCnet Offline Check Capture application.
4. Click **Next**. The *Download Users* dialog box appears.
5. Click **Close**. The *Step 2 of 3: Select User(s)* page appears.
6. Select the user profile(s) that you want to download to the OTCnet Offline Check Capture application.
7. Click **Next**. The *Step 3 of 3: Review Users* page appears.
8. Verify the following user profiles for the selected OTC Endpoints should be downloaded to the local offline database and click **Submit**.
9. A *Confirmation* page appears showing the user profiles for the OTC Endpoints that have been successfully downloaded to the local offline database along with the users' temporary passwords to access OTCnet Offline.



### Application Tip

Communicate the User IDs and temporary passwords to the appropriate users. The user's ID is the same User ID used to access OTCnet Online. If the CCA forgets to record the temporary password, he/she may reset the user profile's password for another temporary password.



### Application Tip

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

- Click **Return Home** to the OTCnet Home Page.

## Topic 6. Managing Offline Users

If you are assigned the role of **Check Capture Administrator (CCA)**, you are the only authorized user in OTCnet Offline that can manage Offline users. Upon downloading the user profiles to a local terminal, the user accounts must be managed locally. Once you download the OTCnet Offline software and configure each terminal, you have the ability to activate/deactivate a user, unlock a user account, reset a user's password, and print the system users list.

Before a user can access OTCnet Offline, the **Primary/Local Security Administrator (P/LSA)** must not only create the OTC Online user identity, but this user identity must also be successfully provisioned, approved, and provided a password using the online IBM Tivoli Identity Manager (ITIM). For more details and step-by-step instructions refer to User Guide Chapter 5.5 pg. 2 Managing User Accounts.

### Activating/Deactivating a User

It is strongly recommended that the user's account be deactivated if the user is not going to access OTCnet Offline for an extended period (e.g. vacation or leave). Temporarily deactivating a user's account disables the user's account, disallowing the capture of checks and/or managing or uploading batches. Activating a user's account allows the user to capture checks and/or managing or uploading batches.

To activate or deactivate a user:

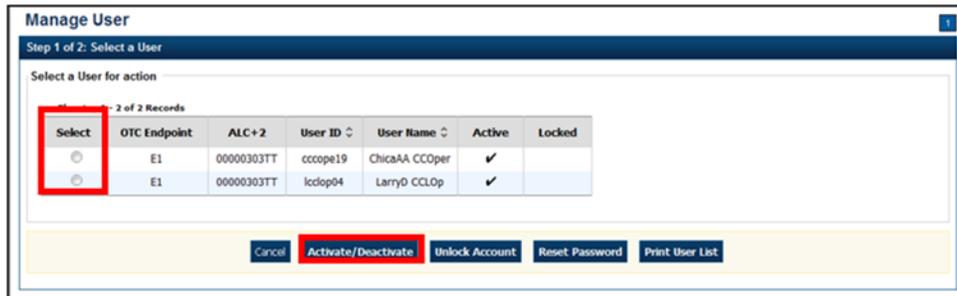
1. Click the **Administration** tab, select **User Administration**, and then **Manage Users** (see Figure 41).

Figure 41. Manage Users



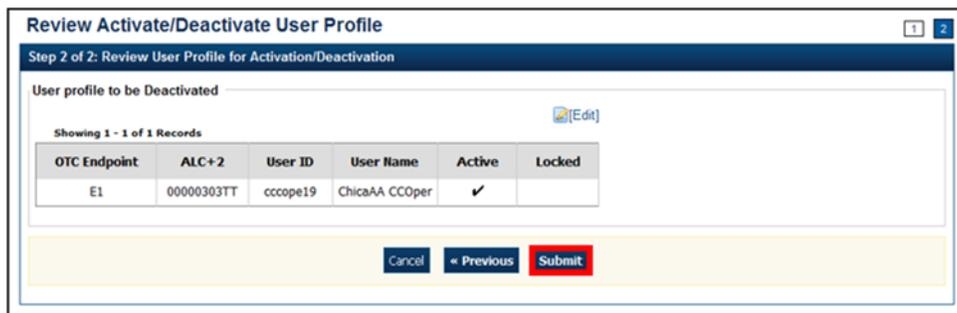
- Once the *Step 1 of 2: Select a User* page appears, select the radio button next to the user profile that you want to activate/deactivate and click **Activate/Deactivate** (see Figure 42).

Figure 42: Activate/Deactivate User Profile



- When the *Step 2 of 2: Review User Profile for Activation/Deactivation* page appears, verify the following user should be Activated/Deactivated and click **Submit** (see Figure 43).

Figure 43. Step 2 of 2: Review User Profile for Activation/Deactivation



- A *Confirmation page* appears showing the user profile has been activate/deactivated (see Figure 44).

Figure 44. Activating/Deactivating Confirmation





## Activate/Deactivate a User

To activate/deactivate a user:

1. Click the **Administration** tab.
2. Select User **Administration** and click **Manage Users**. The *Step 1 of 2: Select a User* page appears.
3. Select the user profile's radio button that you want to activate/deactivate.



### Application Tip

You can only activate/deactivate one user's profile at a time.

4. Click **Activate/Deactivate**. The *Step 2 of 2: Review User Profile for Activation/Deactivation* page appears.
5. Verify the following user profile should be activated/deactivated and click **Submit**. A confirmation page appears showing the user profile has been activated/deactivated.



### Application Tip

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

- Click **Return to View User Profile List** to return to the View User Profile List for that terminal.
- Click **Return Home** to the OTCnet Home Page.

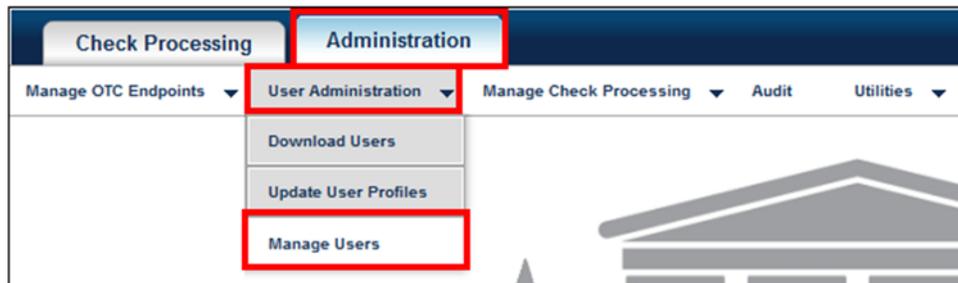
## Unlocking a User Account

Unlocking a user's account allows the user to log on to OTCnet Offline using his/her original password. For example, if a user locks his/her account after three failed log on attempts and remembers his/her password, you can unlock the user's account without resetting the user's password.

To unlock a user account:

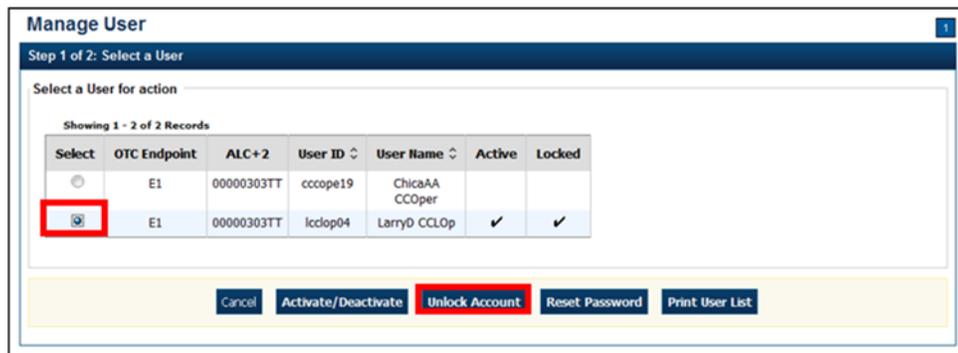
1. Click the **Administration** tab, select **User Administration**, and then click **Manage Users** (see Figure 45).

Figure 45. Manage Users



2. Once the *Step 1 of 2: Select User Profiles* page appears, select the User Profiles radio button that you want to unlock and click **Unlock Account** (see Figure 46).

Figure 46. Step 1 of 2: Select User Profiles



- After the *Step 2 of 2: Review User Profile to be Unlocked* page appears, verify the following user profile should be unlocked and click **Submit** (see Figure 47).

**Figure 47. Step 2 of 2: Review User Profile to be Unlocked**

Unlock User Profile

Step 2 of 2: Review User Profile to be Unlocked

User profile to be Unlocked [\[Edit\]](#)

Showing 1 - 1 of 1 Records

OTC Endpoint	ALC+2	User ID	User Name	Active	Locked
E1	00000303TT	lclop04	LarryD CCLop	✓	✓

[Cancel](#)
[← Previous](#)
[Submit](#)

- A *Confirmation* page appears showing the profile has been unlocked (see Figure 48).

**Figure 48. User Profile Unlock Confirmation**

Unlock User Profile

Confirmation

User profile has been Unlocked.

Showing 1 - 1 of 1 Records

OTC Endpoint	ALC+2	User ID	User Name	Active	Locked
E1	00000303TT	lclop04	LarryD CCLop	✓	

[Return to User List](#)
[Return Home](#)

## Unlock a User's Profile

To unlock a user's profile:

1. Click the **Administration** tab.
2. Select **User Administration** and click **Manage Users**. The *Step 1 of 2 Select a User* page appears.
3. Select the user profile's radio button that you want to unlock.



### Application Tip

You can only unlock one user's profile at a time.

4. Click **Unlock Account**. The *Step 2 of 2: Review User Profile To Be Unlocked* page appears.



### Application Tip

Unlocking a user's profile will allow the user to log on to OTCnet Offline using his/her original password.

5. Verify the following user profile should be unlocked and click **Submit**. A Confirmation page appears showing that the user profile has been unlocked.



### Application Tip

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

- Click **Return to View User Profile List** to return to the View User Profile List for that terminal.
- Click Return Home to the OTCnet Home Page.

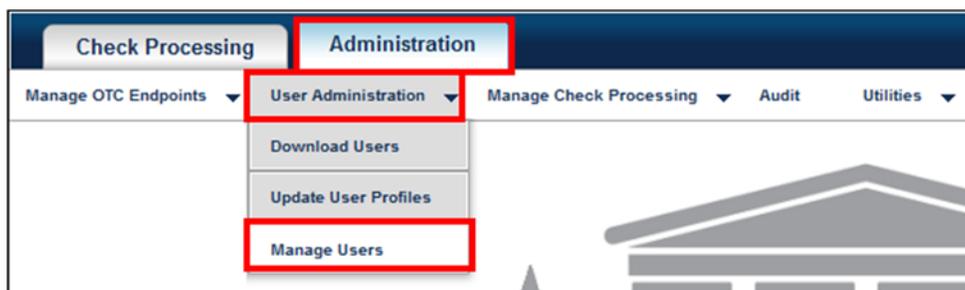
## Resetting a User's Password

Resetting a user's password allows the user to receive a new temporary password to access OTCnet Offline. For example, if a user locks his/her account after three failed log in attempts and does not remember his/her password, or if a user forgets his/her password, you can reset the user's password to a temporary password. After the password is reset, communicate the temporary password to the appropriate user.

To reset a user's password:

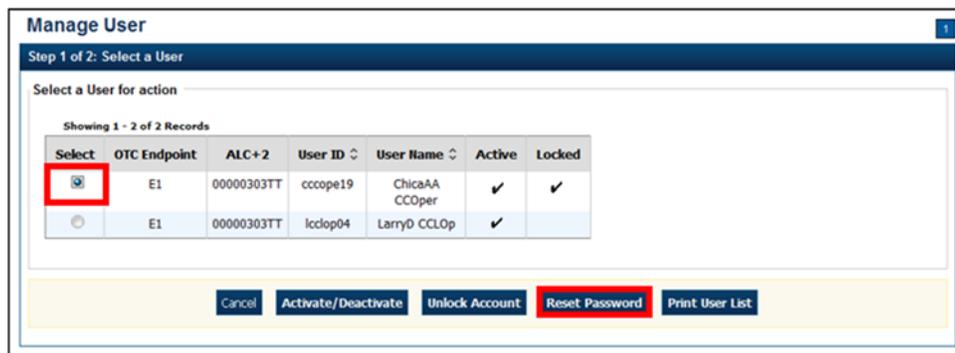
1. Click the **Administration** tab, select **User Administration**, and then click **Manage Users** (see Figure 49).

Figure 49. Manage Users



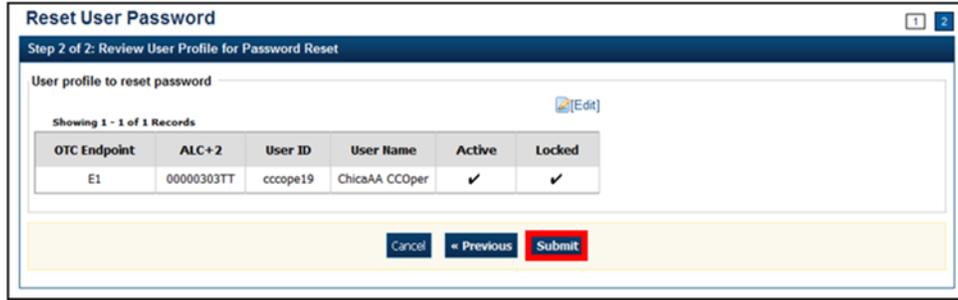
2. When the *Step 1 of 2: Select User Profile* page appears, select the User Profiles radio button for the user whose password should be reset and click Reset Password (see Figure 50).

Figure 50. Step 1 of 2: Select User Profile



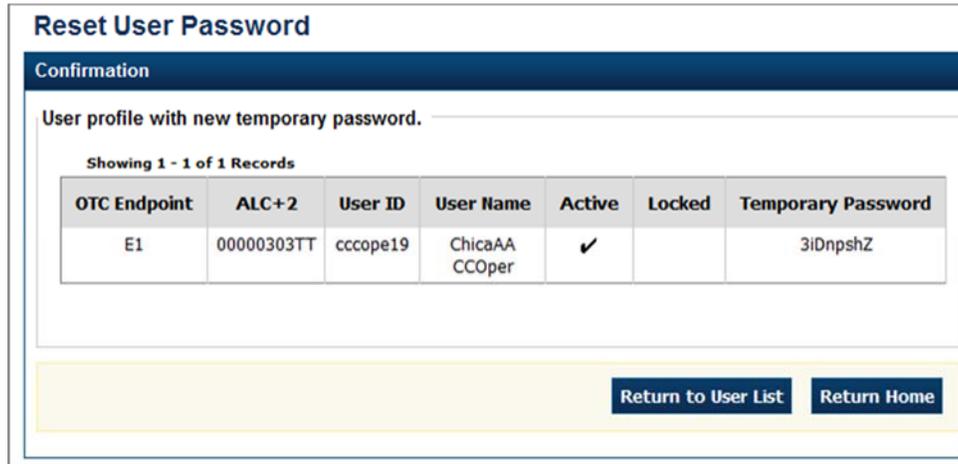
- Once the *Step 2 of 2: Review User Profile for Password Reset* page appears, verify the following users profiles password should be reset and click **Submit** (see Figure 51).

Figure 51. Step 2 of 2: Review User Password Reset



- A *Confirmation* page appears showing the user’s password has been reset (see Figure 52).

Figure 52. Reset User Password Confirmation





## Reset a User's Password

To reset a user's password:

1. Click the **Administration** tab.
2. Select **User Administration** and click **Manage Users**. The *Step 1 of 2 Select a User* page appears.
3. Select the user profile radio button for which you want to reset the password.



### Application Tip

You can only reset one user's password at a time.

4. Click **Reset Password**. The *Step 2 of 2 Review User Profile for Password Reset page* appears.
5. Verify the following user profile's password should be reset and click **Submit**. A *Confirmation page* appears showing the user profile's temporary password.



### Application Tip

Communicate the User's ID and temporary password and provide it to the appropriate user. The User's ID is the same User ID used to access OTC Online.



### Application Tip

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

- Click Return to View User Profile List to return to the View User Profile List for that terminal.
- Click Return Home to the OTCnet Home Page.

## Printing a User's List

After the users' profiles are managed, you can export and print out a detailed user list in the following formats: Word, Excel, RTF, or PDF. The User List report provides details such as OTC Endpoint, ALC+2, User ID, User Name, Create Date, Last Access Time, Download Time, and Role Name.

To print a user's list:

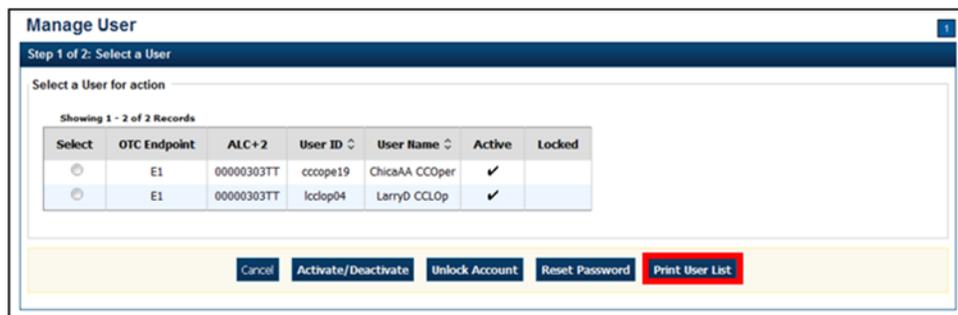
1. Click the **Administration** tab, select **User Administration**, and then click **Manage Users** (see Figure 53).

Figure 53. Manage Users



2. Click **Print User List** (see Figure 54).

Figure 54. Step 1 of 2: Select User Profile



Selecting a radio button is not required. If no radio button is selected the user list will print all users.

3. The *Print User List* preview page appears (see Figure 55).

Under Export as,

- Select **PDF, Word** or **Excel**
- Click **Download**
- Or
- Click **Print PDF Report**.

Figure 55. Print User List

The screenshot shows a web application interface titled "Print User List". At the top, there is a "User List" header. Below it, an "Export as" dropdown menu is set to "Word", with "Download" and "Print PDF Report" buttons highlighted in red. The main content area displays a table of user data. Above the table, there is a "SENSITIVE BUT UNCLASSIFIED" warning, the title "User List", the date "10/28/2014 4:28:27 PM", and the user "Printed By: sccsup17". The table has columns for OTC Endpoint, ALC + 2, User ID, User Name, Create Date, Last Access Time, Download Date, and Role Name. Below the table, there is another "SENSITIVE BUT UNCLASSIFIED" warning and the text "Page 1". A "Previous" button is visible at the bottom of the page.

OTC Endpoint	ALC + 2	User ID	User Name	Create Date	Last Access Time	Download Date	Role Name
E1 Endpoint 1	00000303TT	lccsup04	LamyO CCLop	10/28/2014	10/28/2014 03:23:19PM	10/28/2014	Check Capture Lead Operator
E1 Endpoint 1	00000303TT	lccsup19	ChicaAA CCOper	10/28/2014	10/28/2014 04:12:25PM	10/28/2014	Check Capture Operator
E1 Endpoint 1	00000303TT	lccsup17	SallyAA CCOsup	10/28/2014	10/28/2014 04:25:17PM	10/28/2014	Check Capture Supervisor
E1 Endpoint 1	00000303TT	lccsup17	SallyAA CCOsup	10/28/2014	10/28/2014 04:25:17PM	10/28/2014	Check Capture Administrator



## Print User List

To print a user list:

1. Click the **Administration** tab.
2. Select **User Administration** and click **Manage Users**. The *Step 1 of 2 Select a User* page appears.
3. Click **Print User List**. The *Print User List* preview page appears.
4. Under **Export as**,
  - Select **PDF, Word** or **Excel**
  - Click **Download**

Or

- Click **Print PDF Report**.



### Application Tip

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

- Click **Previous** to return to the *View User Profile List* for that terminal.

## Topic 7. Manage a Check Capture Terminal Offline

If you are assigned the role of **Check Capture Administrator (CCA)** or **Check Capture Supervisor (CCS)**, you are the only authorized users who can configure the OTCnet Offline check capture settings for your agency's terminal(s). To meet your location's check capture needs, each OTCnet terminal must have configuration settings individually applied.

You can add or update the following:

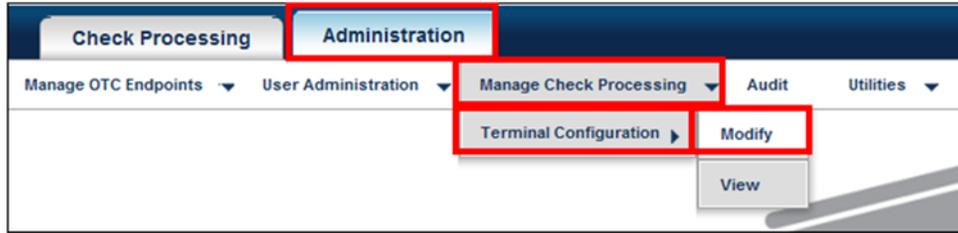
- **System Configuration:** Used to ensure Task Execution on Start Up or Batch Close, LVD usage, and receipt printing.
- **Application Configuration:** Used to define a Terminal ID, processing mode, specify a cashflow method, as well as specify batch control and batch control prompts.
- **Devices Configuration:** Used to specify the scanner type and communication channel, and enable franking.
- **Standalone Configuration:** Used to define a secondary storage, specify if supervisor approval is required to upload a batch, specify retention periods for batches and audit logs, as well as specify secure batch transmission details and proxy server configuration details (if applicable).
- **Available OTC Endpoints:** Used to add available OTC Endpoints for check capture.
- **Configured OTC Endpoints:** Used to set a default OTC Endpoint, review already-configured OTC Endpoints or remove unused OTC Endpoints from the terminal.

## Configure a Check Capture Terminal

To configure a check capture terminal Offline:

1. Click the **Administration** tab.
2. Select **Manage Check Processing**, then select **Terminal Configuration** and click **Modify** (see Figure 56).

Figure 56. Modify Terminal



The *Step 1 of 4: Gathering Terminal Information* page appears with an Automated Terminal Detection in Progress message (see Figure 57).

Figure 57. Step 1 of 4: Gathering Terminal Information



3. The *Step 2 of 4: Update Terminal Configuration* page appears. Under System Configuration (see Figure 58),
  - a. Set Task Execution
  - b. Set LVD Usage (optional)
  - c. Set Receipt Printing (optional)

By default, all tasks execute on **Start Up** and **Close Batch**. Unless you want the tasks to execute on **Start Up** and **Batch Close** every time, customize your options appropriately. If none of the tasks are checked, then none of the tasks will be executed.

Figure 58. Step 2 of 4: Update Terminal Configuration

### Terminal Configuration

Step 2 of 4: Update the Terminal Configuration

▼ System Configuration

**Task Execution**

Task Selection	Execute On	Execute On
Download OTC Endpoint	<input checked="" type="checkbox"/> Start Up	<input checked="" type="checkbox"/> Close Batch
LVD Download	<input checked="" type="checkbox"/> Start Up	<input checked="" type="checkbox"/> Close Batch
Acknowledge Batch	<input checked="" type="checkbox"/> Start Up	<input checked="" type="checkbox"/> Close Batch
Upload Batch	<input checked="" type="checkbox"/> Start Up	<input checked="" type="checkbox"/> Close Batch

**LVD Usage**

	Personal Check	Non Personal
Customer Present	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Customer Not Present	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
LVD Download override is required after	30	days

**Receipt Printing**

Person Present
 

Manual
 

Automatic  with preview

Person Not Present
 

Manual
 

Automatic  with preview

Printer Name

4. Under Application Configuration: (see Figure 59).
  - a. Enter **Terminal ID** (this is a onetime setting per Terminal)
  - b. Select **Single** or **Batch** for **Processing Mode**
  - c. Select **Settle Best Method** or **Truncate All**
  - d. Select **Optional** or **Mandatory** for **Batch Control**
  - e. Click **Prompt on Batch Create** and/or **Prompt on Batch Close**

For more details, refer to the *Configure a Check Capture Terminal Offline* printable job aid below.

Figure 59. Application Configuration

▼ Application Configuration	
Terminal ID*	<input type="text"/>
Host Name	BAHR9YFTK5
Processing	<input checked="" type="radio"/> Single <input type="radio"/> Batch
Cashflow	<input checked="" type="radio"/> Settle Best Method <input type="checkbox"/> Back Office Processing Only <input type="radio"/> Truncate All Items
Batch Control	<input type="radio"/> Optional <input checked="" type="radio"/> Mandatory
Batch Control Prompts	<input type="checkbox"/> Prompt on Batch Create <input checked="" type="checkbox"/> Prompt on Batch Close

5. Under **Device Configuration** (see Figure 60):
  - a. Select the **Scanner Model** (required)
  - b. Select **USB Port** or **Serial Port** (required)
    - o Select the Serial Port Type

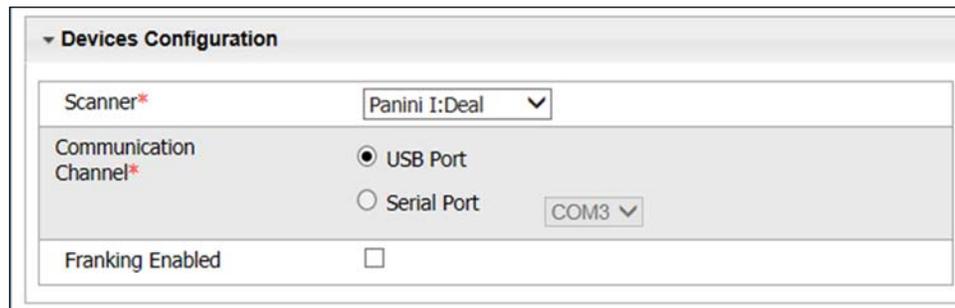
A “*No Serial Ports are available for configuration*” message displays if a Serial Port is not available for a terminal. A “*No Serial Ports are available for configuration*” message does not display if the terminal has a COM port enabled or if there a COM port enabled and there is no physical Serial Port.

- c. Check **Franking Enabled** (optional)

The **Franking Enabled** option allows the scanner to automatically stamp the front of checks. Franking is only available for EC7000 and Panini I: Deal scanners.

For more details, refer to the *Configure a Check Capture Terminal Offline* printable job aid below.

**Figure 60. Device Configuration**



The screenshot shows a window titled "Devices Configuration" with a dropdown arrow on the left. It contains three main sections:

- Scanner\***: A dropdown menu showing "Panini I:Deal".
- Communication Channel\***: Two radio buttons, "USB Port" (selected) and "Serial Port". Next to "Serial Port" is a dropdown menu showing "COM3".
- Franking Enabled**: An unchecked checkbox.

6. Under **Standalone Configuration** (see Figure 61):
  - a. Set **Secondary Storage** (required)
  - b. Set **Supervisor Approval** (optional)
  - c. Set **Retention Periods** (required)
  - d. Set **Secure Batch Transmissions**
  - e. Set **Proxy Server Configuration**

For more details, refer to the *Configure a Check Capture Terminal Offline* printable job aid below.

Once the terminal configuration settings have been entered, click **Next**.

**Figure 61. Standalone Configuration**

The screenshot shows a configuration window titled "Standalone Configuration" with a dropdown arrow on the left. The window is divided into several sections:

- Secondary Storage\***: A text input field followed by a "Browse" button.
- Supervisor Approval**: A checkbox labeled "Supervisor Approval Required for Upload Batch".
- Retention Periods**: Two rows of input fields. The first row is "Batch Retention Period\*" with the value "14" and the unit "days". The second row is "Audit Log Retention Period\*" with the value "365" and the unit "days".
- Secure Batch Transmission**: Three rows of input fields. The first row is "WSDL URL" with the value "https://qae.ws.otcnet.fms.treas.gov/otcnet/p os/OTCnetPOSWebservice". The second row is "Number of Re-Tries\*" with a dropdown menu showing "3". The third row is "Re-Try Interval\*" with the value "10000" and the unit "milliseconds".
- Proxy Server Configuration**: A series of checkboxes and input fields. "Use Firewall Agent" is a checkbox. "Firewall Agent" is an input field with "-- blank --". "Use Proxy" is a checkbox. "Proxy Timeout" is an input field with "-- blank --". "Proxy User" is an input field with "-- blank --". "Proxy Password" is an input field with "\*\*\*\*\*". "Proxy Server" is an input field with "-- blank --". "Proxy Port" is an input field with "-- blank --".

At the bottom right of the window, there are two buttons: "Cancel" and "Next »".

7. The *Step 3 of 4: Update the Configured OTC Endpoints* page appears. **Select** the OTC Endpoint(s) that you want to Add by checking the box(es) under the Add column, and click **Add** (see Figure 62).

Figure 62. Step 3 of 4: Update the Configured OTC Endpoints

**Terminal Configuration** [1] [2] [3]

Step 3 of 4: Update the Configured OTC Endpoints

Available OTC Endpoints

<< Page 1 >> of 1 Pages

ALC+2	OTC Endpoint	Form Version	Description	Add [ Check All / Uncheck All ]
00000303TT	E1	2004	Endpoint 1	<input type="checkbox"/> Add >>

Configured OTC Endpoints  
No OTC Endpoints have been configured for this terminal

<< Previous Cancel Next >>

8. Under **Configure OTC Endpoint(s)** (see Figure 63):
  - a. Select a **Default OTC Endpoints** (required)
  - b. Select the **OTC Endpoints** that you want to Delete by checking the box(es) under the Remove column, and click **Remove** (if applicable)

Once the Endpoints have been selected for updates, click **Next**

Figure 63. Configure OTC Endpoints

**Terminal Configuration** [1] [2] [3]

Step 3 of 4: Update the Configured OTC Endpoints

Available OTC Endpoints

Configured OTC Endpoints

Default OTC Endpoint	ALC+2	OTC Endpoint	Form Version	Description	Remove [ Check All / Uncheck All ]
<input checked="" type="checkbox"/>	00000303TT	E1	2004	Endpoint 1	<input type="checkbox"/> Remove

<< Previous Cancel Next >>

- The *Step 4 of 4: Review the Terminal Configuration* page appears. Verify the Terminal Configuration is correct and click **Submit**. Click **Edit** if you need to modify the information entered (see Figure 64).

Figure 64. Step 4 of 4: Review the Terminal Configuration

**Terminal Configuration** 1 2 3 4

**Step 4 of 4: Review the Terminal Configuration**

Please review the Terminal Configuration record and click submit to save the changes

**OTC Endpoint Configuration** [Edit]

Configured OTC Endpoints

There are no configured OTC Endpoints available

Added OTC Endpoints

Default OTC Endpoint	ALC+2	OTC Endpoint	Form Version	Description
✓	00000303TT	E1	2004	Endpoint 1

Removed OTC Endpoints

There are no OTC Endpoints Removed

**System Configuration** [Edit]

**Task Execution**

Task Selection	Execute On Start Up	Execute On Close Batch
Download OTC Endpoint	✓	✓
LVD Download	✓	✓
Acknowledge Batch	✓	✓
Upload Batch	✓	✓

**LVD Usage**

	Personal Check	Non Personal
Customer Present	✓	✓
Customer Not Present	✓	✓
LVD Download override is required after	30 days	

**Receipt Printing**

Person Present	Manual
Person Not Present	None
Printer Name	

**Application Configuration** [Edit]

Terminal ID	BAH01
Host Name	BAHR9YFTKS
Processing	Single
Cashflow	Settle Best Method
Batch Control	Mandatory
Batch Control Prompts	Prompts on Batch Close

**Devices Configuration** [Edit]

Scanner	RDM EC7000i
Communication Channel	USB Port
Franning Enabled	
Keypad Enabled	
Keypad Communication Channel	

**Standalone Configuration** [Edit]

**Secondary Storage**

Secondary Storage: C:\OTCnet\_qae

**Supervisor Approval**

Supervisor Approval Required for Upload Batch:

**Retention Periods**

Batch Retention Period: 14 days

Audit Log Retention Period: 365 days

**Secure Batch Transmission**

WSDL URL: https://qae.ws.otcnet.fms.treas.gov/otcnet/pos/OTCnetPOSWebService

Number of Re-Tries: 3

Re-Try Interval: 10000 milliseconds

**Proxy Server Configuration**

Use Firewall Agent:

Firewall Agent:

Use Proxy:

Proxy Timeout:

Proxy User:

Proxy Password:

Proxy Server:

Proxy Port:

Previous Cancel **Submit**

- A *Confirmation* page appears stating that the *Terminal Configuration record has been updated* (see Figure 65).

Figure 65. Terminal Configuration Confirmation

### Terminal Configuration

Confirmation

The following Terminal Configuration record has been updated

**OTC Endpoint Configuration**

Configured OTC Endpoints

There are no configured OTC Endpoints available

Added OTC Endpoints

Default OTC Endpoint	ALC+2	OTC Endpoint	Form Version	Description
<input checked="" type="checkbox"/>	00000303TT	E1	2004	Endpoint 1

Removed OTC Endpoints

There are no OTC Endpoints Removed

**System Configuration**

Task Execution

Task Selection	Execute On Start up	Execute On Close Batch
Download OTC Endpoint	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
LVD Download	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Acknowledge Batch	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Upload Batch	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

LVD Usage

	Personal Check	Non Personal
Customer Present	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Customer Not Present	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
LVD Download override is required after	30 days	

Receipt Printing

Person Present	Manual
Person Not Present	None
Printer Name	

**Application Configuration**

Terminal ID	BAH01
Host Name	BAHR9YFTKS
Processing	Single
Cashflow	Settle Best Method
Batch Control	Mandatory
Batch Control Prompts	Prompts on Batch Close

**Devices Configuration**

Scanner	RDM EC7000i
Communication Channel	USB Port
Franking Enabled	<input type="checkbox"/>
Keypad Enabled	<input type="checkbox"/>
Keypad Communication Channel	

**Standalone Configuration**

Secondary Storage

Secondary Storage: C:\OTCnet\_qae

Supervisor Approval

Supervisor Approval Required for Upload Batch:

Retention Periods

Batch Retention Period	14 days
Audit Log Retention Period	365 days

Secure Batch Transmission

WSDL URL	https://qae.ws.otcnet.fms.treas.gov/otcnet/pos/OTCnetPOSWebService
Number of Re-Tries	3
Re-Try Interval	10000 milliseconds

Proxy Server Configuration

Use Firewall Agent	<input type="checkbox"/>
Firewall Agent	
Use Proxy	<input type="checkbox"/>
Proxy Timeout	
Proxy User	
Proxy Password	
Proxy Server	
Proxy Port	

[Return Home](#)

## Configure a Check Capture Terminal Offline

To configure a check capture terminal offline:

1. Click the **Administration** tab.
2. Select **Manage Check Processing>Terminal Configuration** and click **Modify**. The *Step 1 of 4: Gathering Terminal Information* page appears with *Automated terminal detection in progress...* message.



### Application Tip

When the *Automated terminal detection in progress* message appears, the system reads the desktop settings and displays the appropriate information on the next page.

3. The *Step 2 of 4: Update the Terminal Configuration* page appears. Enter the system configuration.

Under **System Configuration**,

Set **Task Execution** by,

- Checking or unchecking **Start Up** and/or **Close Batch** for
  - Download OTC Endpoint
  - LVD Download
  - Acknowledge Batch
  - Upload Batch



### Application Tip

By default, all tasks execute on **Start Up** and **Close Batch**. Unless you want the tasks to execute on **Start Up** and **Batch Close** every time, customize your options appropriately. Note, if none of the tasks are checked, then none of the tasks will be executed.



### Application Tip

**Download OTC Endpoint:** If enabled, the offline application automatically downloads updated forms, organization information, DDS flags, and the endpoint status from the OTCnet Online servers.

**LVD Download:** If enabled and there is no previous LVD located on the terminal, the full LVD downloads. Subsequent LVD Downloads:

- Update existing records (if necessary)
- Download new records

**Acknowledge Batch:** If enabled, the offline application automatically acknowledges any uploaded batches that have successfully been processed by the OTCnet Online application.

**Upload Batch:** If enabled, OTCnet Offline automatically uploads any approved batches. If the supervisor approval flag is unchecked in terminal configuration, the Upload Batch task uploads Closed batches. The local activity log is also uploads during the Upload Batch task. Additionally, the terminal configuration information uploads for use by Customer Service in Terminal Query.

Set LVD Usage by, *optional*

- Checking or unchecking **Personal Check** and/or **Non Personal** for Customer Present
- Checking or unchecking **Personal Check** and/or **Non Personal** for Customer Not Present
- Entering the number of **days** an **LVD Download override is required after**



### Application Tip

By default all four checkboxes (Personal and/or Non Personal checks and Customer Present and/or Customer Not Present) for (Local Verification Database) LVD Usage are checked and they are optional. If all of them are not checked, then the LVD verification feature is disabled.



### Application Tip

If any of the **LVD Usage** check boxes are checked, the number of days an **LVD Download override is required after** is required. The **LVD Download override is required after** field specifies the number of days that can pass before the LVD is considered stale and requires a **Check Capture Supervisor** to approve scanning checks against the stale LVD; otherwise, the operator is required to download the latest LVD.

Set **Receipt Printing** by, *optional*

- Checking **Person Present**, *optional*
  - Click the **Manual** or **Automatic** radio button
    - Check **with preview**
- Checking **Person Not Present**, *optional*
  - Click the **Manual** or **Automatic** radio button
    - Check **with preview**
- Selecting the **Printer Name**

**Application Tip**

Leaving both the **Person Present** and **Person Not Present** fields unchecked results in the disabling of this option. Click the appropriate box(es) if receipts are desired. Choosing **Manual** requires that the operator take additional steps to print the receipt. Choosing **Automatic** results in a receipt printout each time a transaction has been entered. Choosing **With Preview** option allows the operator to see the receipt on the screen prior to the generation of the printout. When the **Person Present** and/or **Person Not Present** fields are clicked, the default setting is **Manual**.

Under **Application Configuration**,

- Enter the **Terminal ID**

**Application Tip**

The **Terminal ID** field is available for data entry during initial setup. After the **Terminal ID** is assigned it is protected and cannot be changed.

**Application Tip**

The **Host Name** field is automatically generated based on your computer's registry and cannot be changed.

- Select Single or Batch for Processing mode

**Application Tip**

**Single** processing mode allows the user to scan only one check at a time. **Batch** processing mode allows groups of checks to be scanned all at once, prior to the data entry for the items. **Batch** processing mode is only available for EC7000i and all Panini scanners.

- Select **Settle Best Method** or **Truncate All Items** for Cashflow
  - Check **Back Office Processing Only**



#### Application Tip

The **Settle Best Method** is the default selection and when selected exclusively on the configuration screen, all processing methods (Customer Present, Customer Not Present, and Back Office) are allowed for either personal or non-personal items on the Entry Screen. The **Back Office Processing** method should be used by agencies that receive payments in person, and then scan the checks at a later time in a controlled, back office environment. **Truncate All Items** represents only non-personal items are allowed (for all processing methods) on the Entry Screen.

- Select Optional or Mandatory for Batch Control



#### Application Tip

If the **Batch Control** is set to **Optional**, OTCnet prompts the user to use the batch control and enter the batch control totals. If the **Batch Control** is set to **Mandatory**, OTCnet prompts for batch control totals.

- Click **Prompt on Batch Create** and/or **Prompt on Batch Close** for Batch Control Prompts

**Under Devices Configuration,**

- Select the **Scanner** model, *required*
- Select **USB Port** or **Serial Port**, *required*
  - Select the Serial Port type
    - **COM dropdown:** The user selects the serial port (aka COM port) where they have connected a serial scanner.

**Application Tip**

**USB Port:** RDM EC7000i, Panini MyVision, Panini VisionX, and Panini I: Deal scanners require USB port communication channel. RDM EC7000i scanners support USB and Serial communication channels.

**Serial Port:** USB-to-serial adapters are not supported. RDM EC7000i scanners support USB and Serial communication channels.

**Application Tip**

A “No Serial Ports are available for configuration” message displays if a Serial Port is not available for the terminal. A “No Serial Ports are available for configuration” message does not display if the terminal has a COM port enabled or if there a COM port enabled and there is no physical Serial Port.

- Check **Franking Enabled**, *optional*

**Application Tip**

The **Franking Enabled** option allows the scanner to automatically stamp the front of checks. Franking is only available for EC7000i and Panini I: Deal scanners.

**Under Standalone Configuration,**

- Set **Secondary Storage** by, *required*
  - Browsing for and selecting a **Secondary Storage** location



### Application Tip

Do not set the **Secondary Storage** to the terminal's local workstation (e.g. C:\ drive) instead browse to a folder on the network drive or Flash drive that is accessible by all that use OTCnet. While it is possible to set the location of the secondary storage to a local folder, it is not recommended, and a warning will be displayed.



### Application Tip

The **Secondary Storage** location cannot contain any spaces. For example, use E:\SecondaryFolder vs. E:\Secondary Folder.

- Set **Supervisor Approval** by, *optional*
  - Checking or unchecking **Supervisor Approval Required for Upload Batch**



### Application Tip

By default, the **Supervisor Approval Required** for Upload Batch is unchecked. Checking **Supervisor Approval Required for Upload Batch** indicates that a **Check Capture Supervisor's (CCS)**, or a check capture user with the **Batch Approver** permission, approval is required to upload a batch to the OTCnet server when there is internet connectivity. Additionally, the **CCS** needs to approve the batch from the terminal where the checks were captured. If unchecked, batches that are Closed but not Approved may be uploaded, but must be approved once the batch is available in Online OTCnet.

- Set **Retention Periods** by,
  - Entering the number of **days** for Batch Retention Period
  - Entering the number of **days** for Audit Log Retention Period



### Application Tip

The **Batch Retention Period** refers to the period of time that a batch is available in both primary storage and secondary storage. After the **Batch Retention Period** passes for a batch, the batch is removed from Primary and Secondary Storage. This only applies to Acknowledged and Deactivated batches. All other batches remain in Primary and Secondary storage indefinitely.

**Application Tip**

By default, the **Batch Retention Period** is set to **14** days. By default, the **Audit Log Retention Period** is set to **365** days.

Under **Secure Batch Transmission**,

- Set the **WSDL URL** by,
  - Selecting the **Number of Re-Tries**
  - Entering the **number of milliseconds** for Re-Try Interval

**Application Tip**

By default, the **WSDL URL Number of Retries** is set to 3. The **Number of Re-Tries** is the number of attempts the OTCnet Offline application will make to connect with the OTCnet Online server. The **Re-Try Interval** allows for specifying the number of milliseconds before the OTCnet Offline attempts another connection to the OTCnet Online server (to maximum of 100,000 ms) in order to transmit the batch.

Under **Proxy Server Configuration**, *if applicable*

- Check **Use Firewall Agent**
  - Enter the **Firewall Agent**
- Check **User Proxy**
  - Enter the **Proxy Timeout**
  - Enter the **Proxy User**
  - Enter the **Proxy Password**
  - Enter the **Proxy Server**
  - Enter the **Proxy Port**

**Application Tip**

If **Proxy Server Configuration** settings are entered when the **Check Capture Administrator's** profile was retrieved, then the Proxy Server Configuration settings are saved in the system, are displayed here, and can be modified.

**Application Tip**

If the **Use Firewall Agent** option is enabled, then the **Fire Agency** is available for configuration and the agent name can be entered.

**Application Tip**

If the **Use Proxy** option is enabled, then **Proxy Timeout**, **Proxy User**, **Proxy Password**, **Proxy Server**, and **Proxy Port** are available for configuration.

- Click **Next**. The *Step 3 of 4: Update the Configured OTC Endpoints* page appears.

Under **Available OTC Endpoints**,

- Select the **OTC Endpoint(s)** you want to Add by checking the box(es) under the **Add** column, and click **Add**.

**Application Tip**

The OTC Endpoints are permission based and are only visible to users with the appropriate permissions.

Under **Configure OTC Endpoint**,

- Select a **Default OTC Endpoint**, *required*

**Application Tip**

Selecting a **Default OTC Endpoint** determines which OTC Endpoint to use when performing Scan Checks actions.

**Application Tip**

Multiple OTC Endpoints can be selected but only one can be set as a **Default OTC Endpoint**.

- Select the OTC Endpoint(s) you want to **Delete** by checking the box(es) under the **Remove** column, and click **Remove**, *if applicable*.
- Click **Next**. The *Step 4 of 4: Review the Terminal Configuration* page appears. Verify the Terminal Configuration is correct and click **Submit**. Click **Edit** if you need to modify the information entered.

6. A *Confirmation* page appears stating that the Terminal Configuration record has been updated.



#### **Application Tip**

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

- Click **Return Home** to the OTCnet Home Page.

## View a Check Capture Terminal's Configuration

To view a Check Capture Terminal's Configuration:

1. Click the **Administration** tab.
2. Click **Manage Check Processing**. Next, go to **Terminal Configuration** and click **View**. The *View* page appears (see Figure 66 and **Error! Reference source not found.**).

Figure 66. View Terminal Configuration

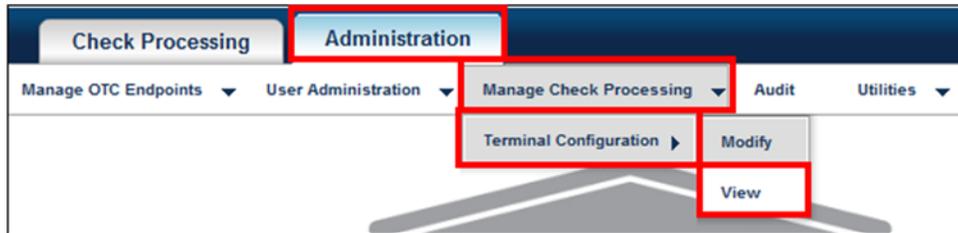
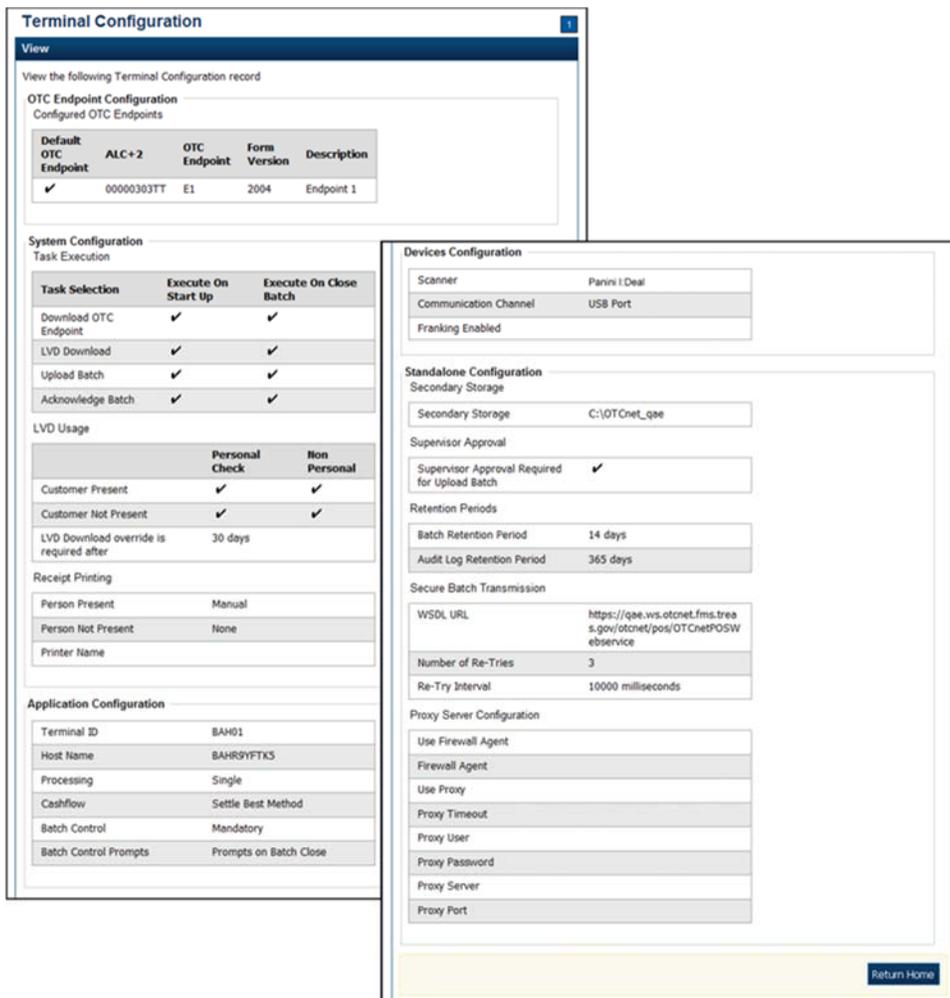


Figure 67. View Terminal Configuration Page



## View a Check Capture Terminal's Offline Configuration Settings

To view check capture terminal configuration settings:

1. Click the **Administration** tab.
2. Select **Manage Check Processing>Terminal Configuration** and click **View**. The *View* page appears.



### Application Tip

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

- Click **Return Home** to the OTCnet Home Page.

## Topic 8. Search an Audit Log

The audit log records all interactions between the user and OTCnet and allows users to search and view Audit Log entries for the completed audit trail within OTCnet. The Audit Log is available for download to a *comma separated value* report (CSV) and opened in a spreadsheet program or available to print in a formatted audit log report.

If the audit log records contain Personally Identifiable Information (PII), the data is masked in the Transaction Description. To view more details about a specific batch, including PII, access Batch Management.

Each user role can view specific audit logs. For example, if you are assigned the role of **Check Capture Administrator (CCA)**, you can view partial administration-related activities and all check capture-related activities. If you are assigned the role of **Check Capture Supervisor (CCS)**, however, you can view partial check capture-related activities pertaining to your actions or actions taken by **Check Capture Lead Operators (CCLO)** or **Check Capture Operators (CCO)**. If you are assigned the role **CCLO** or **CCO**, you can only view your own check capture-related activities.

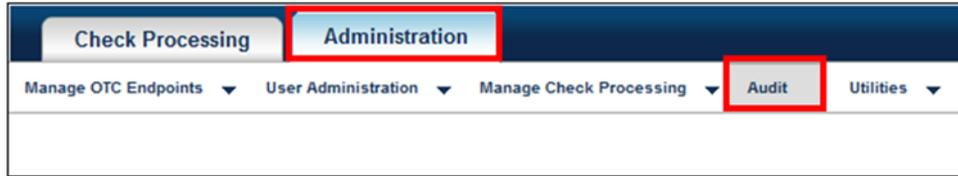
You can search audit logs by module, user, OTC Endpoint, as well as other search criteria. If you run additional searches, the *Search Results* table repopulates with the results of the new search. Before you can view an audit log, you must access OTCnet Offline and enter your online User ID and offline password.

## Search an Audit Log

To search an Audit Log:

1. Click the **Administration** tab.
2. Click **Audit** (see Figure 68).

Figure 68. Audit Log



3. The *Search Audit Log* page appears. Enter the search criteria for the activities you would like to view and click **Search**.

Under **Search Criteria:** (see

Figure 69).

- Select **Module Type**, *required*

Module options include **All**, **Administration**, **Check Capture**, and **Check Processing**. Additionally the Module drop-down options vary by user role.

- Enter a **User**
- Select and **OTC Endpoint**
- Enter the **From** and **To** Dates and Times, *required*

The **From** and **To** Dates must be entered in MM/DD/YYYY format and cannot exceed 30 days

- Select a **Keyword**, *required*
- Select a **Category Name**
- Enter the **Terminal ID**
- Enter the **Batch ID**
- Select an **Event Type**
- Select an **Operation Mode**

Figure 69. Search Audit Logs

**Search Audit Logs** 1

\* Denotes required fields.

**Search Criteria**

Module:\*

User:

OTC Endpoint:  
 🔍

From:\*  
  :

To:\*  
  :

Keyword:\*

Category Name:

Terminal ID:

Batch ID:

Event Type:

Operation Mode:

Event types are categories of events that are recorded by the audit log (see Table 2).

Table 2. Event Types

Event Type	Description
All	Includes all event types in the audit log
Error	Error entries are created when the system is unable to complete an action
Informational	Information entries are general records of the activity that has happened while using OTCnet
Warning	Warning entries are created to inform the user when events of note have taken place. This includes cancelling an action, deleting information from the system and inactive users

- To view additional details for an individual audit log entry, click the **Audit Log ID** hyperlink (see Figure 70).

Click **Download** to download the search results. Click **Print Audit Log Records** to print a formatted audit log record.

**Figure 70. Audit Log ID**

Click the Audit Log ID if you would like to view additional details.  
 Download or Print Search Results? [Download](#) [Print Audit Log Records](#)

<< < 1-5 >> of 5 Records

Audit Log ID	Created On (GMT Time)	Context	User	OTC EndPoint	TerminalBatch ID	Transaction Description	Module	Event Type
246	10/29/2014 13:18:07	Maintenance - LVD	sccsup17	E1		Update lvd successful	Administration	INFO
245	10/29/2014 13:17:54	Endpoint Configuration - Download	sccsup17	E1		OTC Endpoint was updated	Administration	INFO
244	10/29/2014 13:17:54	OTC Endpoint Download - Download Accounting Code Success	sccsup17	E1		Download OTC Endpoint - accounting codes already up to date	Administration	INFO
242	10/29/2014 13:17:32	User Account - Login	sccsup17			UserContext created due to new login or replaced previous user login. userId='sccsup17' userName='SallyAA C CSup' userOrganization='Permissions=[Permission: moduleKey='OTCNET' roleKey='POS-SUP' accessGroupId='28011', Permission: moduleKey='OTCNET' roleKey='CP-AGY-LSA' accessGroupId='28011']'	Administration	INFO
241	10/29/2014 13:17:32	User Account - Logon Success	sccsup17			Successful logon	Administration	INFO

<< < 1-5 >> of 5 Records



## Search an Audit Log

To search an audit log using OTCnet Offline:

1. Click the **Administration** tab.
2. Click **Audit**. The *Search Audit Logs* page appears.
3. Enter the search criteria for the activities you would like to view.

Under **Search Conditions**, *optional*

- Select a **Module type**.



### Application Tip

**Module** options include **All**, **Administration**, **Check Capture**, and **Check Processing**.



### Application Tip

The **Module** drop-down options vary by user role.

- Enter a **User**
- Select an **OTC Endpoint**



### Application Tip

If you do not know the full name of OTC Endpoint, you can enter a partial name search (as few as one letter) in the **Starts with** text box and click the **Select From List** icon (magnifying glass).

- Enter the **From** and **To** date and time ranges, *required*



### Application Tip

The **From** and **To Created On Date** must be entered in MM/DD/YYYY format and cannot exceed 30 days.

- Select a **Keyword**, *required*
- Select a **Category Name**, *required*



### Application Tip

The **Keyword** and **Category Name** drop-down options vary by user role.

- Enter the **Terminal ID**
- Enter the **Batch ID**
- Select an **Event Type**



### Application Tip

**Event Types** are categories of events that are recorded by the audit log.

**Table 3. Event Types**

Event Type	Description
All	Includes all event types in the audit log
Error	Error entries are created when the system is unable to complete an action.
Informational	Information entries are general records of the activity that has happened while using OTCnet.
Warning	Warning entries are created to inform the user when events of note have taken place. This includes cancelling an action, deleting information from the system and inactive users.

- Select an **Operation Mode**



### Application Tip

**Operation Mode** option includes **Offline**.

4. Click **Search**. The *Search Results* table appears below.



### Application Tip

If you run a search without specifying any criteria, the search results include all activities in the system that you have access to view. If you run additional searches, the Search Results table repopulates with the results of the new search.

**Application Tip**

Click **Download** to download the search results. Click **Print Audit Log Records** to print a formatted audit log record.

5. Click the **Audit Log ID** hyperlink to view additional details for an individual audit log entry. The *View Audit Log Details* page appears.

**Application Tip**

If the audit log records contain Personally Identifiable Information (PII) in the Transaction Description, the data is masked. To view more details about a specific batch including PII access Batch Management.

**Application Tip**

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

- Click **Cancel** to return to the OTCnet Home Page. No data will be saved.
- Click **Clear** to clear all data fields and reset to the default selections.
- Click **Previous** to return to the previous page.
- Click **Return Home** to the OTCnet Home Page.

## Topic 9. Recover a Batch

If you are assigned the role of **Check Capture Supervisor (CCS)**, you can recover a batch from a non-functioning terminal and restore items to a backup terminal. Batch Recovery would occur when a Check Capture terminal unexpectedly fails any time prior to batches being uploaded Online. If the backup or contingency terminal is being used to process batches, all batches must be closed and transmitted before using the terminal for batch recovery. The primary terminal and the contingency terminal must both have the same secondary storage or a compatible secondary storage for the batch recovery to work. Additionally, the full name of the user on the new system must match the name of the user that created the batch. Also, the Agency Location Code (ALC) and Terminal ID must match that of the batch to be recovered.

For the Batch Recovery function to work:

- The backup or contingency terminal being used to process batches must be closed and transmitted before using the terminal for batch recovery
- The primary terminal and the contingency terminal must both have the same storage or a compatible secondary storage
- The full name of the user on the new terminal must match the name of the user that created the batch
- The Agency Location Code (ALC) and Terminal ID must match that of the batch to be recovered

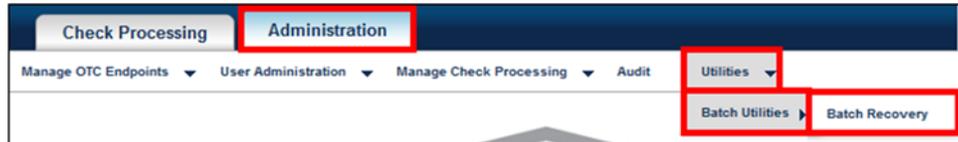
The Recover Batch function supports the recovery of batches that contain transactions with associated accounting codes from secondary storage.

## Recover a Batch

To recover a batch:

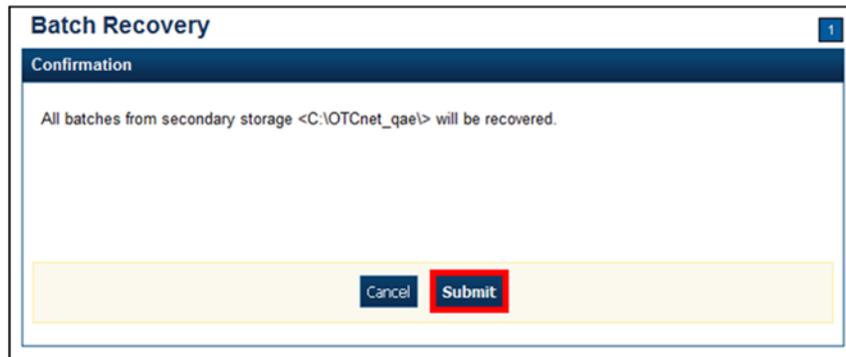
1. Click the **Administration** tab.
2. Select **Utilities**. Next, select **Batch Utilities** and then click **Batch Recovery** (see Figure 71).

Figure 71. Batch Recovery



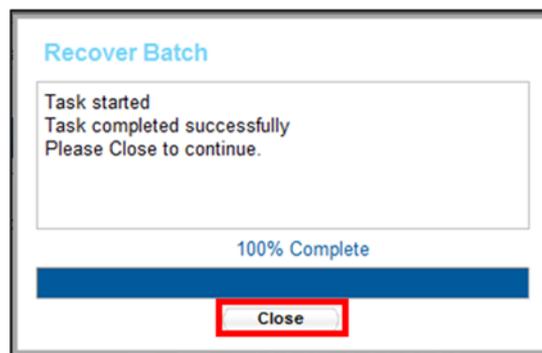
3. The *Review Recovery* page appears. Click **Submit** (see Figure 72).

Figure 72. Batch Recovery Review



4. The *Percentage Complete* dialog box appears (see Figure 73). Click **Close**.

Figure 73. Batch Recovery Percentage Complete



Wait until the display percent completion reaches 100% before clicking **Close**. If the **Cancel** button is clicked before the batch recovery is complete, a dialog box appears asking if you want to cancel the batch recovery. Click **Yes** to cancel the batch recovery or click **No** to continue recovering the batch.

- 5. A *Review* page shows the total number of batches that have been successfully recovered from the secondary storage (see Figure 74).

**Figure 74. Successfully Recovered Batches**





## Recover a Batch

To recover a batch:

1. Click the **Administration** tab.
2. Select **Utilities>Batch Utilities** and click **Batch Recovery**. The *Review Recovery* page appears.



### Application Tip

For the **Batch Recovery** function to work:

- The backup or contingency terminal being used to process batches must be closed and transmitted before using the terminal for batch recovery
- The primary terminal and the contingency terminal must both have the same storage or a compatible secondary storage
- The full name of the user on the new terminal must match the name of the user that created the batch
- The **Agency Location Code (ALC)** and **Terminal ID** must match that of the batch to be recovered



### Application Tip

The **Recover Batch** function supports the recovery of batches that contain transactions with associated accounting codes from secondary storage.

3. Click **Submit**. The *Percentage Complete* dialog box appears.
4. Click **Close**. The *Review* page shows the total number of batches that have been successfully recovered from the secondary storage.



### Application Tip

Wait until the display percent completion reaches 100% before clicking **Close**. If the **Cancel** button is clicked before the batch recovery is complete, a dialog box appears asking if you want to cancel the batch recovery. Click **Yes** to cancel the batch recovery or click **No** to continue recovering the batch.

5. A *Review* page shows the total number of batches that have been successfully recovered from the secondary storage.



#### Application Tip

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

- Click **Return Home** to return to the OTCnet Home Page.



## Glossary

### A

**Accounting Code** – A unique agency classification code assigned to a transaction, which identifies the FRB Account Key that is used within the Federal Reserve. In check capture, it is a method of grouping individual check transactions into certain classifications. In deposit reporting, the classification is being done at a voucher level, where a voucher is being classified with one or many agency defined accounting codes or TAS.

**Accounting Code Description** – A brief explanation that provides further detail about an accounting code.

**Accounting Code Name** – The title of the accounting code.

**Accounting Key** – The account number assigned to a deposit when it is submitted to FRB CA\$HLINK. The FRB Account Key is used by FRB CASHLINK in combination with the RTN to determine the appropriate CAN. The FRB Account Key is similar to the CAN, but is only used for FRB financial activity.

**Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet. This role can also establish, maintain, and view processing options that one or more lower level endpoints will use in OTCnet.

**Acknowledged Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Acknowledged Error Batch Status** – Indicates the acknowledge batch process experienced system errors and the acknowledgment was unsuccessful, or a user selected to cancel the batch acknowledgment which resulted in a batch being updated to Acknowledgment Error.

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

**Activity Type** – The parameter indicates if a User Defined Field (UDF) is used for capturing custom agency information for a deposit or during classifying the deposit with accounting codes. OTCnet allows for the creation of three UDFs for the deposit activity, and two UDFs for the deposit accounting subtotals activity.

**Adjustment Activity (FI) Report** – A business report that allows you to view adjustments made by your financial institution (FI).

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

**Adjustments by OTC Endpoints Report** – A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit ticket.

**Agency CIRA Report** – A check processing business report that allows you to view the batch level transaction activity for a specified OTC Endpoint. A user can filter the report by Received Date, Capture Date, Batch ID, or Check Capture Operator.

**Agency Contact** – A person designated by an agency as the primary contact regarding deposit-related matters.

**Agency Information** – The optional comments or instructions, receipt processing dates, alternate agency contact, and internal control number for your deposit.

**Agency Location Code (ALC)** – A numeric symbol identifying the agency accounting and/or reporting office.

**Agency Location Code plus 2 (ALC+2)** – The agency location code plus a unique two digit number that is used in OTCnet to identify a cashflow at a location within an ALC. This plus two digits accommodates the fact that one ALC can represent many locations, and allows the agency to identify those locations specifically.

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

**Alternate Agency Contact** – A person designated by an agency as the secondary contact regarding deposit-related matters.

**American Bankers Association (ABA)** – (also known as Bank Routing Number) A routing transit number (RTN), routing number, or ABA number is a nine-digit bank code, used in the United States, which appears on the bottom of negotiable instruments such as checks identifying the financial institution on which it was drawn.

**Approved Batch Status** – Indicates that the batch is ready for settlement (online only). Indicates that the batch is ready for upload and settlement (offline only).

**Audit Log** – A table that records all interactions between the user and OTCnet Deposit Reporting, Check Capture, Check Processing, administrative actions and other processes that take place in the application. Some entries also contain before and after values for actions completed. The audit log is available for download to a comma separated value report (CSV) and opened in a spreadsheet program or available to print in a formatted audit log report.

**Automated Clearing House** – A computerized network used by member financial institutions to process payment orders in machine readable form. ACH processes both credit and debit transactions between financial institutions in batches. ACH items are settled electronically and do not require an image.

**Awaiting Approval (AWAP)** – A deposit that is waiting for deposit confirmation by a Deposit Approver.

## B

**Back Office Processing Method** – Indicates that a customer presented a check in person, but the check is being scanned in a controlled back-office environment away from the customer.

**Batch** – A file containing the transaction information and tiff images (collection of scanned checks) of one or more checks, which will be sent for settlement.

**Batch Approver** – An agency user that has the authorization to approve a batch either prior to batch upload from OTCnet Offline or when a batch is uploaded/submitted to OTCnet Online but not yet approved. The Batch Approver permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to approve batches that they have created. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Batch Control/Batch Balancing** – An optional feature (which can be configured to be mandatory) that agencies can use as a batch balancing tool to perform checks and balances on the number of checks that have been scanned, and ensure their respective dollar amounts and check number totals have been accurately entered. The functionality is available for both single item mode and batch mode.

**Batch ID** – The unique number assigned to a batch by OTCnet.

**Batch List Report** – A report that contains transaction information for each batch item, including the Individual Reference Number (IRN), Item Type, ABA Number, Account Number, Check Number, and Amount.

**Batch Status** – Reflects the current state of a batch during processing, transmission, and settlement. The batch states for OTCnet Online are Open, Closed, Approved, and Forwarded. The batch states for OTCnet Offline are Open, Closed, Approved, Sending, Sent, Acknowledged, Send Error, and Acknowledgment Error (offline only).

**Batch Uploader** – An agency user that has the authorization to upload a batch from OTCnet Offline to the online database. The Batch Uploader permission must be applied to either a Check Capture Lead Operator or Check Capture Operator roles and allows the operators to auto-upload the batch upon close (if terminal is configured to do so), or upload approved batches. This role should be granted in limited cases at sites where there is a need for the operator to perform this function without a Check Capture Supervisor present.

**Blocked** – A customer may no longer present checks for a specific ABA number and account number due to manual entry by authorized persons into the MVD rather than the result of a failed transaction. If desired, an authorized user can edit the transactional record to a clear status.

**Bureau of the Fiscal Service (FS)** – (formerly FMS) The bureau of the United States Department of Treasury that provides central payment services to federal agencies, operates the federal government's collections and deposit systems, provides government wide accounting and reporting services, and manages the collection of delinquent debt owed to the government.

**Business Event Type Code (BETC)** – A code used in the CARS/GWA system to indicate the type of activity being reported, such as payments, collections, borrowings, etc. This code must accompany the Treasury Account Symbol (TAS).

## C

**CA\$HLINK II** – An electronic cash concentration, financial information, and data warehouse system used to manage the collection of U.S. government funds and to provide deposit information to Federal agencies.

**CA\$HLINK II Account Number (CAN)** – The account number assigned to a deposit when it is submitted to CA\$HLINK II.

**Capture Date** – The calendar date and time the payment is processed by the agency.

**Cashier ID** – The ID of the user that created the transaction.

**Central Accounting Reporting System (CARS)** – (formerly GWA) The system that addresses the central accounting and reporting functions and processes associated with budget execution, accountability, and cash/other asset management. This includes the collection and dissemination of financial management and accounting information from and to federal program agencies.

**Central Image and Research Archive (CIRA)** – The Central Image Research Archive (CIRA) is an image archive of all items processed in the OTCnet System.

**Characteristics** – The properties of a user, organization, deposit, or financial institution.

**Check 21** – Provides the legal framework for the creation of substitute checks which can be used in place of the original paper document, without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check. Check 21 items require an image before they can settle. Check 21 is also referred to as check truncation.

**Check Amount** – The dollar amount of the check.

**Check Capture** – The component of OTCnet used to process scan images of checks and money orders through OTCnet for the electronic deposit of checks and money orders at financial institutions. Check capture can be done online through the internet, or offline through the user's desktop.

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

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

**Check Capture Offline** – A web-based functionality in the offline Check Capture application that resides in the user's desktop for capturing check images for the electronic deposit of checks and money orders. The check transactions are stored within a local database, and the check information will need to be uploaded to OTCnet server when there is internet connectivity before they can be deposited for settlement.

**Check Capture Online** – A web-based functionality within OTCnet to allow agencies users to process scanned images of checks and money orders for the electronic deposit of checks and money orders at financial institutions. The check transactions are directly saved to the OTCnet online database, and no upload of batches of checks are needed.

**Check Capture Operator** – An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts and enter batch control values during batch closing. The agency user can also view is an endpoint is designated for summary level classification, and the agency comments associated to an endpoint. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.

**Check Capture Supervisor** – An agency user that has the authorization to perform almost all the functions on the Check Capture including view and classify checks at the item level or a batch at the summary level with multiple accounting codes, accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings. This role can also establish, maintain, and view processing options for an endpoint pertaining to summary level classification and agency comments.

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

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

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

**CIRA CSV Report** – A check processing business report that allows you to export data based on a query to a comma separated value report (CSV). The exported data can be used to import into other applications within an agency.

**CIRA Viewer** – A user that has authorization to view CIRA records and download CSV files. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

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

**Clear** – Indicates that a customer may present checks for a specific ABA Number and Account Number, because the prior restrictions on the individual's check payments have been removed. Note: Manually cleared items are permanently cleared. If a transaction is cleared in error, manual suspend, block or deny records need to be created in its place to prevent transactions.

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

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

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

**Collections Information Repository (CIR)** – (formerly TRS) A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Comma Separated Values (CSV)** – A computer data file used for storage of data structured in a table form. Each line in the CSV file corresponds to a row in the table. Within a line, fields are separated by commas, each field belonging to one table column.

**Confirmed** – A deposit that has been reviewed and then confirmed by a financial institution or FRB.

**Cost Center Work Unit (CCWU)** – A Federal Reserve cost center work unit that processing the FRB deposits and adjustments. It is normally abbreviated as CCWU, and provided only on non-commercial (FRB settled) transactions. Debits and credits processed by FRB Cleveland will be noted with the CCWU number 9910 on the daily accounting statement agencies receive from the Federal Reserve Bank.

**Custom Label** – Text defined by OTCnet that describes a level in the organization hierarchy, the internal control number, or agency accounting code.

**Customer Not Present Processing Method** – The processing method selected in OTCnet when processing a check that has been presented by a check writer who is not present at the agency location i.e., mail.

**Customer Present Processing Method** – The processing method used in the OTCnet when the check writer is presenting the check in person.

## D

**Daily Voucher Report** – A business report that allows you to view the daily voucher extract.

**Data Type** – The type of data that should be entered for a user defined field.

**Date of Deposit** – The date, prior to established cut off times, the user transmits a batch of checks and money orders through check capture, or the date the agency sends the physical negotiable instruments to the financial institution.

**Debit Gateway** – The financial settlement program that is responsible for the presenting and settling of payment transactions acquired through the OTCnet application. The Debit Gateway receives a transaction file from OTCnet and determines the proper path for settlement of each item. Items are either converted to ACH for direct automated clearing house debit, or are included in an image cash letter, which is sent to the Check 21 system for presentment to paying banks. Once the file is processed, the Debit Gateway sends a Response Processing File (RPF) to OTCnet with the status of each of the items.

**Demand Deposit Account (DDA)** – The account at a financial institution where an organization deposits collections.

**Denied** – Indicates that OTCnet system permanently denies an individual from cashing a check through OTCnet based on the combination of ABA number, account number, and User Defined Field 1. User Defined Field 1 is usually the SSN number of an individual.

**Deny Date** – Indicates when the verification record (MVD/LVD) expires, and OTCnet can start accepting checks that will be presented by a check writer that has previously presented a bad check. The Deny Date is calculated based on suspension periods configured in the Check Cashing policy of an OTC Endpoint.

**Deposit** – A collection of over-the-counter receipts deposited to a Treasury General Account for credit.

**Deposit Activity (FI) Report** – A business report that allows the financial institution to view deposits submitted to its location.

**Deposit Approver** – A user who has authorization to review and submit deposits to a financial institution.

**Deposit Confirmer** – A user at a financial institution that has authorization to verify the accuracy of deposits received from an agency.

**Deposit History by Status Report** – A business report that allows you to view deposits by status.

**Deposit Information** – The attributes that define a deposit: deposit status, voucher number, deposit endpoint, ALC, voucher date, deposit total, check/money order subtotal, currency subtotal, and subtotals by accounting code.

**Deposit Preparer** – A user that has authorization to prepare and save deposits for approval to a Deposit Approver.

**Deposit Total** – The total amount of over-the-counter receipts included in the deposit.

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

**Deposits by Accounting Code Report** – A business report that allows you to view deposits by accounting code.

**Deposits by OTC Endpoint Report** – A business report that allows you to view deposits by OTC Endpoint.

**Display Order Number** – The order in which user defined fields (UDFs) should be displayed.

**Draft** – A deposit that is saved for modification at a later date by a Deposit Preparer.

## E

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

## F

**Failed** – The item was unable to be processed and/or settled by Treasury/BFS. These are item that could not be collected such as foreign items or possible duplicate items. These items are not included on your 215 Report.

**Federal Program Agency** – A permanent or semi-permanent organization of government that is responsible for the oversight and administration of specific functions.

**Federal Reserve Bank (FRB)** – A Federal Reserve Bank is one of twelve regulatory bodies throughout the United States that make up the Federal Reserve System. Each Bank is given power over commercial and savings banks in its area and is charged with making sure that those banks comply with any and all rules and regulations.

**Federal Reserve Bank-Cleveland (FRB-C)** – FRB-C serves as the conduit for settlement of transactions originating from the OTCnet application. FRB-C is responsible for receiving the transaction data from OTCnet via forward file, and performing check clearing/transaction settlement as the ‘debit gateway’.

**Federal Reserve System's Automated Clearing House (ACH) System** – Enables debits and credits to be sent electronically between depository financial institutions.

**Financial Institution (FI)** – A bank, designated by the Treasury and a Treasury General Account (TGA) of International Treasury General Account (ITGA), which collects funds to be deposited in the Treasury General Account. These banks also include the Federal Reserve Bank (FRB).

**Financial Institution Information** – The name, address, routing transit number, and the demand deposit account number of a financial institution.

**Firmware** – A release used for initial download or upgrades to the scanner software that allows a scanner to be used on a terminal. The firmware versions also contains a series of other back-end installation files that should be installed on a terminal to enable it to be used for Check Capture in OTCnet.

**Fiscal Year** – A 12-month period for which an organization plans the use of its funds.

**Forwarded Batch Status** – Indicates the batch has been sent to Debit Gateway to initiate the settlement process.

**Forwarded File** – A term that is assigned to a file that contains the check transactions that is send from channel applications, such as OTCnet or ECP, to Debit Gateway for settlement purposes.

**Franker** – An internal stamp unit that stamps a check with “Electronically Processed” after the check is processed and scanned. Franker availability is based on the model of your scanner.

**Franking** – The process of stamping a check processed through Check Capture. The stamp indicates that the check was electronically processed.

## H

**Highest Level Organization** – The primary level of the organization hierarchy.

## I

**IBM Tivoli Identity Manager (ITIM)** – Refers to Fiscal Service’s Enterprise provisioning tool for user account and identity management.

**Individual Reference Number (IRN)** – The auto-generated unique number used in OTCnet to identify Check Capture transactions.

**Input Length Maximum** – The maximum number of characters that may be entered in a user defined field.

**Input Length Minimum** – The minimum number of characters that may be entered in a user defined field.

**Internal Control Number** – A customizable field for agency use to further describe a deposit.

**Item Detail Report** – A report that contains the information about an individual item (check) associated with a batch. The report print-out will contain MICR information, data entered about the check, and an image of the check obtained during scanning.

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

## L

**Local Accounting Specialist** – A user who is an expert on the organizational structure, reporting needs and accounting rules for their depositing endpoint and its lower level OTC Endpoints. This role will establish, maintain, and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower level OTC Endpoints will use in OTCnet.

**Local Security Administrator (LSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Local Verification Database (LVD)** – A database (specific to the endpoint using OTCnet) that is downloaded from OTCnet and stored locally on the agencies network, which replicates the information found in the Master Verification Database (MVD).

**Lower Level Organization** – Any organization created below the highest level organization.

**LVD Contents Report** – A check processing business report that allows you to view the contents of a Local Verification Database (LVD) for a given OTC Endpoint.

## M

**Magnetic Ink Character Recognition (MICR)** – Digital characters on the bottom edge of a paper check containing the issuing bank's ABA number and account number. The check number may also be included.

**Master Verification Database (MVD)** – It is an online database specific to the agency that maintains the agency hierarchy check cashing policy, information on bad check writers, and manually entered blocked items based on an agency's policy. Bad check information is accumulated in the MVD as agencies process checks through Check Capture. The MVD provides downloads of dishonored check information and blocked items via the Local Verification Database (LVD) on a daily basis.

**MVD Editor** – A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions, view other general reports such as the SF215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint..

**MVD Viewer** – A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions. This role also has the permission to download CSV formatted reports, view other general reports such as the 215 Deposit Ticket report, 5515 Debit Voucher report, the ACR Activity report, as well as view and download Historical Reports. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated to an endpoint.

## N

**Non-Personal Item Type** – Indicates that the name on check is an organization, or the check is a money order, traveler's check, or third-party check.

**Non-Reporting OTC Endpoints Report** – A business report that allows you to view OTC Endpoints that have not reported a deposit.

## O

**Open Batch Status** – Indicates the batch is open and accepting new checks.

**Organization** – The location or level within a Federal Program agency.

**Organization Hierarchy** – The structure of a Federal Program agency as defined in OTCnet.

**Organization Hierarchy Report** – A check processing business report that allows you to view the target OTC Endpoint within the context of the current OTC Endpoint.

**OTC Collections** – Receipts that contain cash, checks, and/or money orders that are collected over-the-counter by organization endpoints in exchange for goods or services.

**OTC Endpoint** – The endpoint (location) that collects over-the-counter (OTC) receipts and deposits them to the Treasury's General Account.

**OTC Endpoint (CHK)** – The endpoint (location) setup in OTCnet to use check capture.

**OTC Endpoint (TGA)** – The endpoint (location) setup in OTCnet to use Deposit Reporting.

**OTC Endpoint Mapping** – The assignment of accounting codes to an agency’s OTC Endpoint, for which a deposit amount can be allocated.

**OTCnet Offline** – Refers to the over the counter application that provides Check Capture functionality to end users with limited internet connectivity, and provides the capability to upload offline-captured batches to the Online OTCnet application for processing.

**OTCnet Online** – Refers to the web-based over the counter application that provides Check Capture, Check Processing and Deposit Processing functions to end users (that have constant internet connectivity).

**Over the Counter Channel Application (OTCnet)** – Refers to the over the counter application that provide Check Capture and Deposit Reporting to end users.

## P

**Personal Item Type** – Indicates that the name on check is an individual’s name, not acting as a business.

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

**Primary Local Security Administrator (PLSA)** – An agency or financial institution/federal reserve bank user who has authorization to maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. This user is also able to request and create users for the organization.

**Processing Options** – User-defined parameters for the deposit and adjustment processes.

**Processing Options by OTC Endpoints Report** – A business report that allows you to view processing options defined for endpoints within the organization.

## Q

**Queue Interface** – Used by military agencies that utilize the Deployable Disbursing System (DDS) database bridge. It provides a single transaction input point, prevents data entry errors, and discrepancy between both systems.

## R

**Received** – The agency has sent this transaction through OTCnet. No settlement has been performed for this transaction yet.

**Received Date** – The date the check was received by web-based OTCnet.

**Rejected** – A deposit that is returned by a financial institution or FRB to the Deposit Preparer to create a new deposit.

**Represented** – This transaction was returned with a reason code that allows for another collection attempt to be made (see Appendix Chapter of the Participant User Guides for Reason Codes). Depending on an agency's policy, the item is reprocessed in an attempt to collect the funds from the check writer. Items with this status are in-process of collection.

**Retired** – This transaction was unable to be collected. The agency receives an SF5515 Debit Voucher Report with a debit processed to Debit Gateway, the effective date and debit voucher number. The offset to the agency's debit is an ACH return or a paper return (Check 21) received from the check writer's financial institution. This transaction cannot be processed again through OTCnet.

**Return Reason Codes** – Represent the numeric codes used in the ACH and paper return processing, which specify the reason for the return of the transaction and Check 21 codes.

**Return Settlement Date** – The effective date of settlement of the returned check item.

**Returned Item** – A check that was originally part of an OTCnet deposit but returned to the financial institution for non-sufficient funds, closed account, etc.

**Routing Transit Number (RTN)** – (also known as American Bankers Association (ABA) Number or Bank Routing Number) – The nine-digit number used to identify a financial institution.

## S

**Save as Draft** – An option that allows a Deposit Preparer to save a deposit for modification at a later date.

**Save for Approval** – An option that allows a Deposit Preparer to save a deposit for a Deposit Approver to submit to a financial institution.

**Send Error Batch Status** – Indicates the batch was transmitted and fully processed by the OTCnet server without error.

**Sent Batch Status** – Indicates the batch was uploaded online without error.

**Separation of Duties** – A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

**Settle Best Method** – The option that allows OTCnet to decide the best settlement method for personal and non-personal checks.

**Settled** – This transaction is complete and the funds have been credited to the agency's Treasury General Account. The effective date of the deposit and the SF215 Deposit Ticket Report deposit ticket number are provided.

**Settlement Date** – The payment date of a check item, which is when the deposit is debited from the check writer's account.

**SF215 Deposit Ticket Report** – The report presented to a financial institution by a U.S. government agency with checks and other payment instruments to make a manual deposit. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable for a duration of up to 45 days.

**SF5515 Debit Voucher Report** – The report used to debit the Treasury General Account (TGA) to decrease the amount of a deposit made to that account. This report is manually generated for Deposit Reporting and auto-generated for Check capture. The report is searchable in for a duration of up to 45 days.

**Share Accounting Module (SAM)** – The application that facilitates the process of validating or deriving Treasury Account Symbol (TAS) and Business Event Type Code (BETC) combinations to assist CARS/GWA in classifying financial transactions as they occur.

**Short Name/Code** – The user-defined text describing an organization. Short Names/Codes must be unique within an organization hierarchy.

**Statistical Report** – A check processing administration report that allows you to view statistical details for an OTC Endpoint. The report includes statistical information regarding the total transactions, overall success rate, total returns sent back to the agency, and total returns received. The report is searchable for a duration of up to 15 days.

**Submit** – An option that allows a Deposit Approver to submit a deposit to a financial institution.

**Submitted** – A deposit that is submitted and waiting deposit confirmation by a Deposit Confirmer.

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

## T

**Terminal ID** – The unique number assigned to the workstation where a user performs functions in OTCnet.

**Trade Status** – Represents the status of the verification records. There are four possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

**Transaction History** – Defines the time range that a Deposit Confirmer will be able to view the historical deposit transactions for his or her financial institutions. For example, if the transaction history is set at 45 days, the Deposit Confirmer will be able to view all the deposits that he or she has confirmed for the past 45 days.

**Transaction Reporting System (TRS)** – A collections reporting tool, supplying the latest information on deposits and detail of collections transactions to federal agencies. The system will allow financial transaction information from all collections systems and settlement mechanisms to be exchanged in a single system.

**Treasury Account Symbol (TAS)** – The receipt, expenditure, appropriation, and other fund account symbols and titles as assigned by Treasury.

## U

**Universal Serial Bus (USB)** – A connection port on a computer that is universally compatible with many types of devices, such as printers, speakers, mouse, flash drives, etc.

**US Dollar Equivalent (USE)** – The deposit amount, in United States currency, which is equal to the foreign currency for which it is being exchanged.

**US Treasury** – The executive department and the Treasury of the United States federal government.

**User Defined Field (UDF)** – A user-defined text that describes deposit activity or deposit accounting activity.

**User Information Report** – A security report allows that you to view a user's contact information.

**Users by Access Group (FI) Report** – A security report that allows you to view users by financial institution.

**Users by Access Group (FPA) Report** – A security report that allows you to view users by OTC Endpoint.

**Users by Role (FI) Report** – A security report that allows you to view users by role for your financial institution.

**Users by Role (FPA) Report** – A security report that allows you to view users by role for your OTC Endpoint.

## V

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

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

**View Vouchers Completed Report** – An administration report allows you to view the status of deposit and adjustment vouchers that have completed processing through the FI System To System Interface in the past 36 hours.

**View Vouchers in Progress Report** – An administration report allows you to view the status of deposit and adjustment vouchers in progress.

**Viewer** – A user who has authorization to view OTCnet information and produce reports from it.

**Voucher Date** – The day that Debit Gateway receives transactions from OTCnet.

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