



Chapter 1: Introduction to OTCnet

OTCnet Participant User Guide

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Glossary

Click this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

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

- The introduction to OTCnet
- OTCnet User Roles

Topics

The topics in this chapter include the following:

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

Audience

The intended audience for the Introduction to OTCnet includes:

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

Topic 1. Introduction to OTCnet

Overview

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

OTCD oversees the systems, networks and program infrastructure which enable world-class OTCnet financial services including the collection of checks, cash, coins and credit, debit, and gift card transactions at agency POS locations around the globe. The OTCD is responsible for implementing a coordinated government-wide strategy for the collection of over-the-counter 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 that enables federal agencies to integrate check conversion, deposit reporting, and card processing, so that all check, cash, coin, and card deposits to the TGA are handled by one web-based application.

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

OTCnet Financial Services includes the following:

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

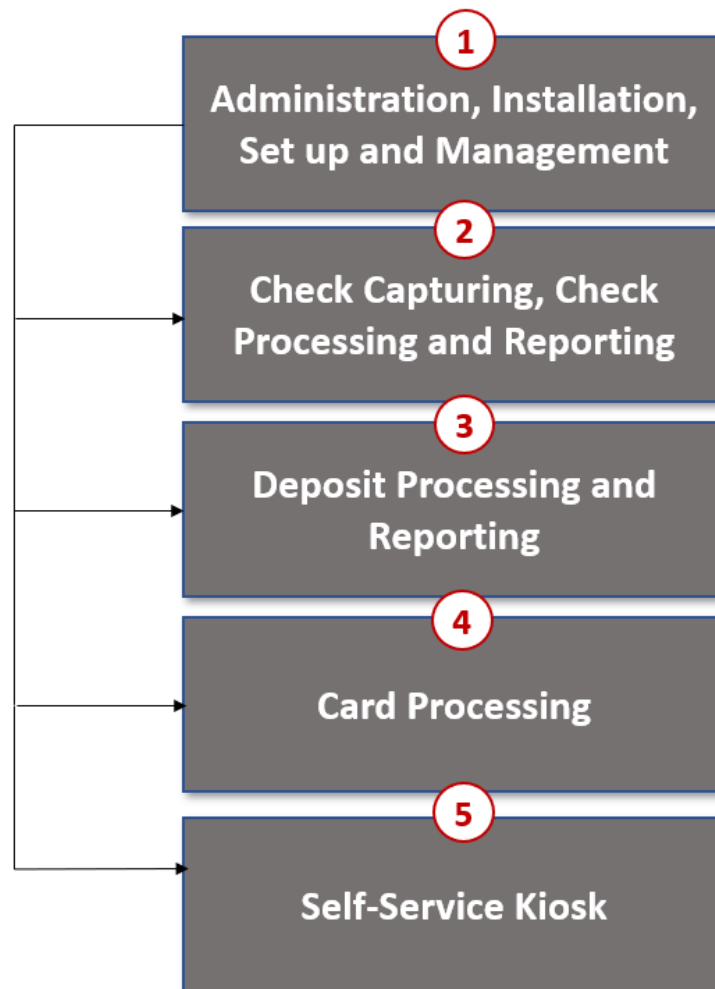
OTCnet Elements

OTCnet is comprised of five elements:

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

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

Figure 1. OTCnet Elements



The functions of the five elements are:

- **Administration, Installation Set Up and Management:** allows for those with administrative permissions to install, setup users, and manage OTCnet
- **Check Capturing, Check Processing:** converts personal and business checks into electronic fund transfers. Transactions include consumer, consumer accounts receivable, and business transactions
- **Deposit Processing:** permits federal agencies the ability to create and submit deposits for confirmation. This platform also allows for Financial Institutions (FIs) to confirm those deposits and create adjustments electronically. Deposits are created for US currency, foreign cash, and foreign check items
- **Card Processing:** allows agencies to provide their customers an option to make payments via credit/debit cards and gift cards
- **Self-Service Kiosk:** third party vendor standalone kiosk supported by OTCnet

OTCnet Process Flow: Check Capture, Check Processing and Reporting

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

In OTCnet, your Agency scans a check, and the check scanner captures an image of 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.

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

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

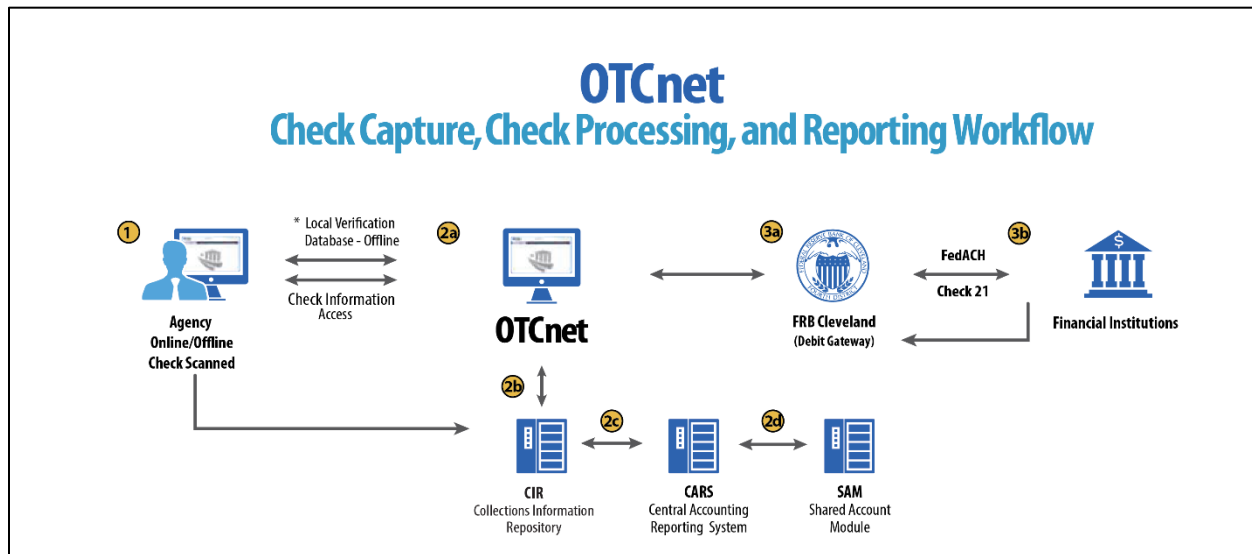
CIR sends accounting entries with Treasury Account Symbol/Business Event Type Code (TAS/BETC) or Classification Keys (C-Keys) to Central Accounting Reporting System/ Government Wide Accounting (CARS). CARS invokes Shared Account Module (SAM) to either validate, translate, or default the TAS/BETC based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

OTCnet sends the captured check data to Debit Gateway at the Federal Reserve Bank Cleveland (FRB-C). FRB-C/Debit Gateway sends the data and settles to the appropriate Financial Institutions (FIs) either through FedACH (personal check) or Check 21 (non-personal check) where the check was written. All non-personal items are processed via Check 21.

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

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

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. It can be used the same way you would use the original check.”
- Display a MICR line containing information appearing on the MICR line of the original check.
- Conform in paper stock, dimension, and otherwise, with generally applicable industry standards for substitute checks.
- Be suitable for automated processing in the same manner as the original check.

Overall, this legislation has modernized the nation’s check payments system. Check 21 is designed to foster innovation in the payments system and to enhance its efficiency by reducing some of the legal impediments to check truncation.

ALL payment instruments are eligible for processing under OTCnet, including business checks, money orders, Treasury checks, credit card checks, traveler’s checks, cashier’s checks, official checks, third-party checks, payroll checks and checks drawn on state or local government.

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: <https://www.frb services.org/education/products-services-education/check21-act.html>

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

Table 1. FedACH and Check 21 Payment Types

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

OTCnet Process Flow: Deposit Reporting

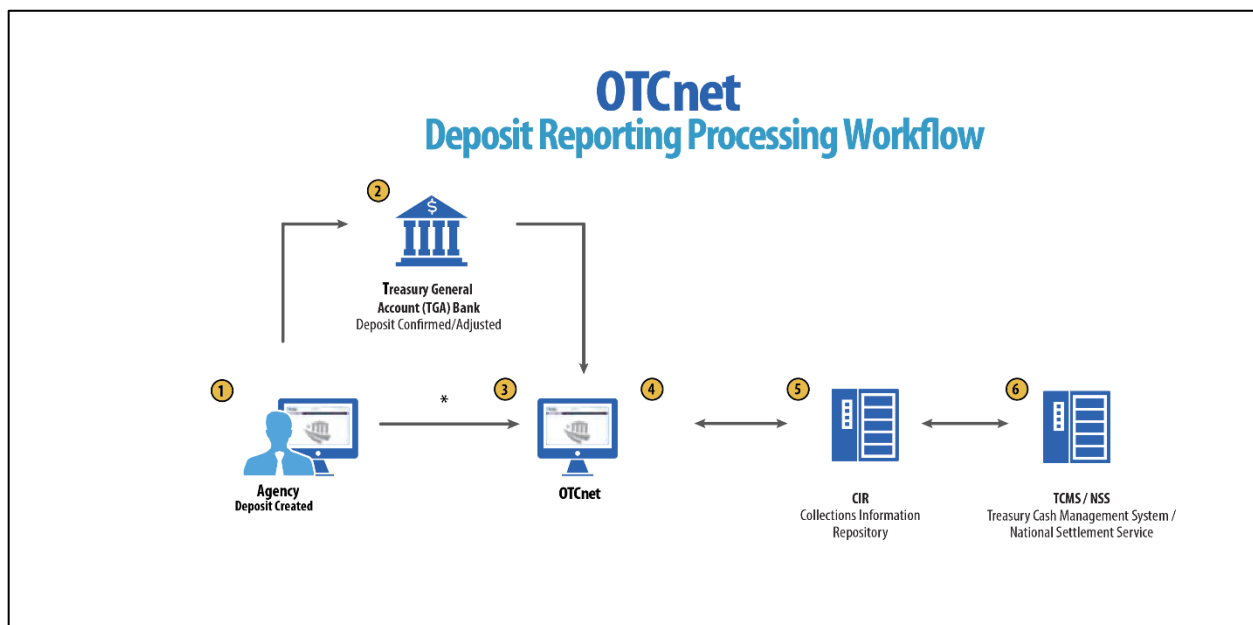
Deposit Processing electronically collects and automates US and Foreign funds which facilitates the classification of Treasury collections daily.

As shown in Figure 3, the Deposit Preparer, or Agency, electronically reports the deposit to Treasury using OTCnet and prints out the OTCnet deposit ticket. The bank deposit ticket, OTCnet deposit ticket, cash, and checks (US and foreign) are taken to your Treasury General Account (TGA) Bank. At the TGA Back, 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.

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

Figure 3. Deposit Processing Workflow



OTCnet Process Flow: Card Processing

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

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

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

Worldpay processes the payment in four steps:

Step 1 - Authorization (Real Time)

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

Step 2 – Clearing

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

Step 3 – Settlement

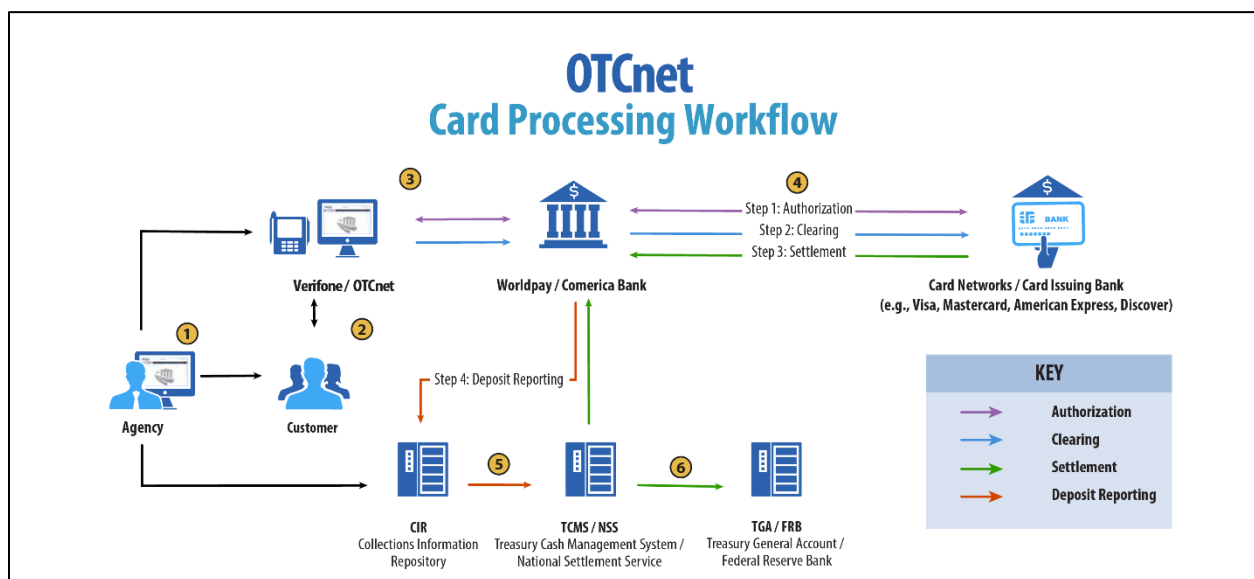
The card issuer sends the settlement money back to Worldpay via the card networks once the payments have been authorized and cleared. The timing varies by credit/debit network for when the settlement money is sent back to Worldpay.

Step 4 - Deposit Reporting

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

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

Figure 4. Card Processing Workflow



OTCnet Process Flow: Self-Service Kiosk: Check Payment

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

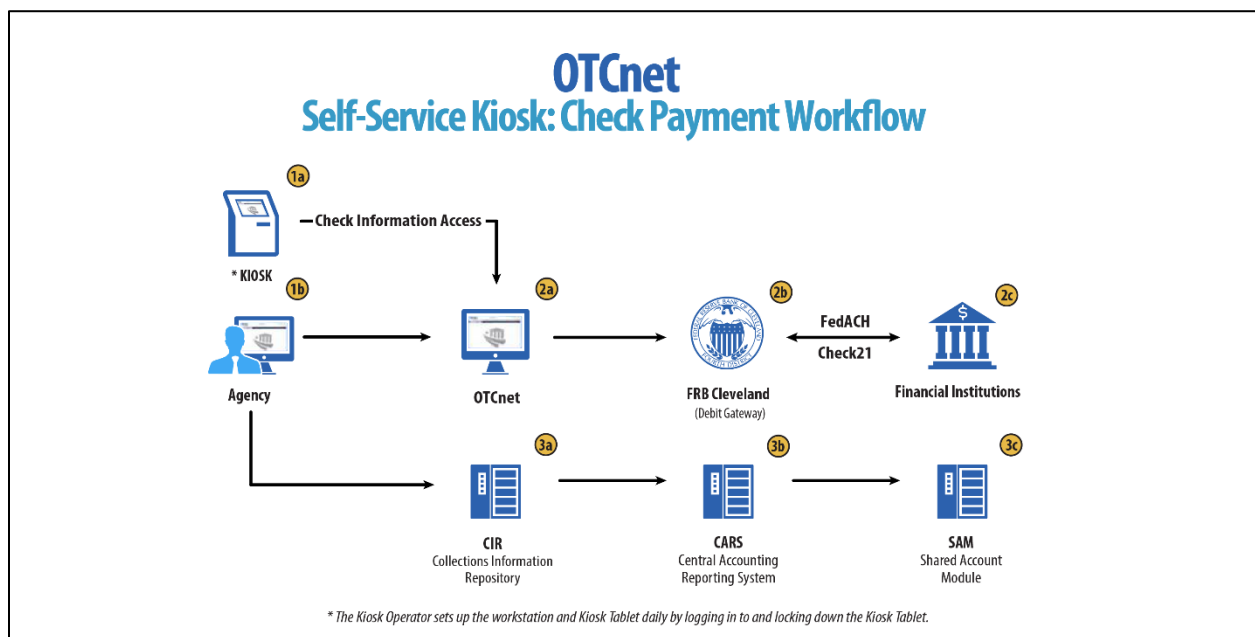
As shown in Figure 5, the kiosk captures the image of the front and back of each check. Kiosk: Image stored on the kiosk server. The images will be uploaded to the OTCnet server on a

scheduled basis. The Agency accesses OTCnet for Check Processing reports. The agency can also access Collections Information Repository (CIR) to retrieve deposit information.

The captured image of the check is stored for seven years in OTCnet. An agency can search for check images as well as the check capture and transaction date throughout the CIRA (Check Image and Research Archive) Query feature within OTCnet. OTCnet sends the captured check data to Debit Gateway at the Federal Reserve Bank Cleveland (FRB-C). FRB-C/Debit Gateway sends the data and settles to the appropriate Financial Institutions (FIs) either through FedACH (personal check) or Check 21 (non-personal check) where the check was written. The FI, where the check was written, shows the account was debited.

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

Figure 5. Self-Service Kiosk: Check Payment



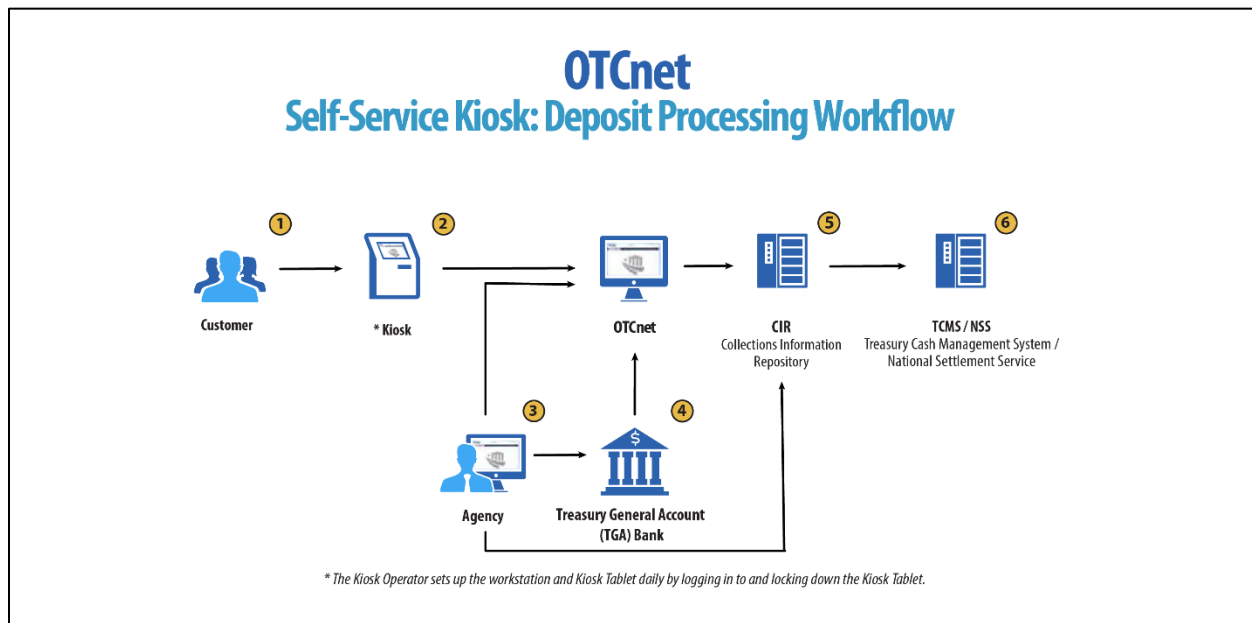
OTCnet Process Flow: Self-Service Kiosk: Deposit Processing

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

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

The Agency can also access Collections Information Repository (CIR) to retrieve deposit information. The FI verifies and confirms the deposit in OTCnet. OTCnet sends voucher information to Collections Information Repository (CIR). CIR sends the voucher information to Treasury Cash Management System (TCMS). TCMS uses National Settlement Service (NSS) to draw funds.

Figure 6. Self-Service Kiosk: Deposit Processing Workflow



OTCnet Process Flow: Self-Service Kiosk: Card Processing

Self-Service Kiosk: Card Processing is a web-based functionality that provides agency customers with an option to make payments with a credit, debit, or Visa/Mastercard gift card at an agency terminal station. Card transactions are sent directly to WorldPay. The Kiosk Operator sets up the workstation and Kiosk Tablet daily by logging in to and locking down the Kiosk Tablet.

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

Worldpay processes the payment in four steps:

Step 1 - Authorization (Real Time)

Worldpay sends the transaction data over to the card issuer through the card networks (Visa, Discover, Amex and Mastercard). The card issuer determines if funding is available and returns authorization back through the card networks to Worldpay.

Step 2 – Clearing

Funds in the daily transaction batch are cleared from Worldpay to Comerica Bank. Processing cut off for credit card payments is 4:30 AM and 2:00 AM for debit card payments.

Step 3 – Settlement

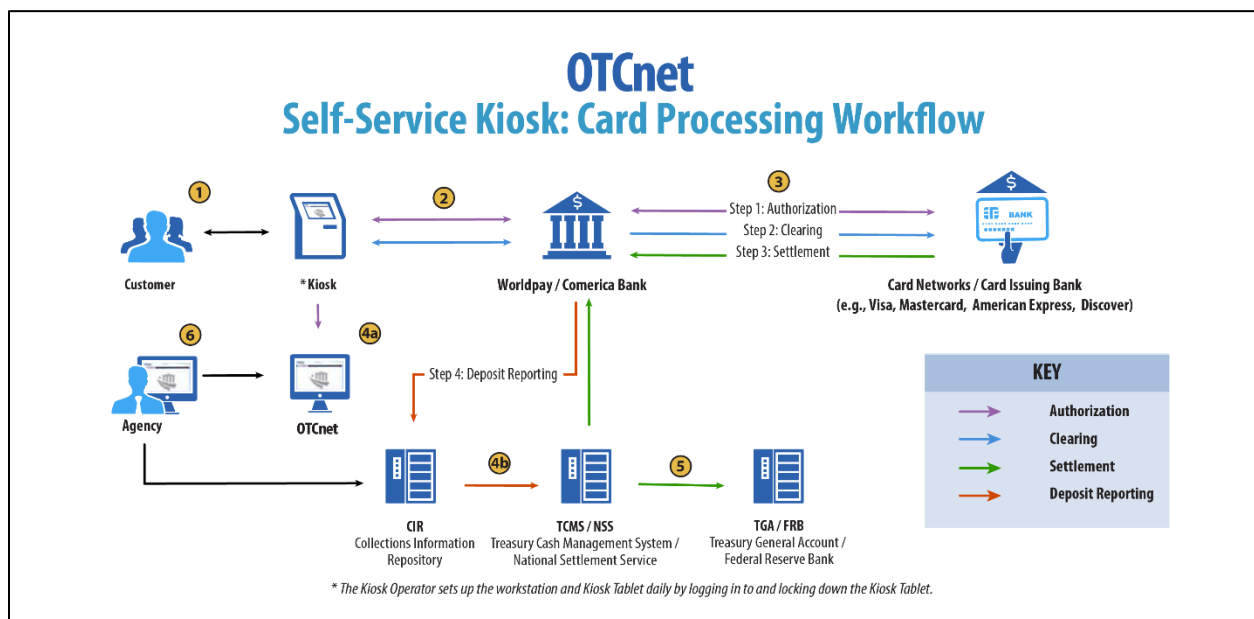
The card issuer sends the settlement money back to Worldpay via the card networks once the payments have been authorized and cleared. The timing varies by credit/debit network for when the settlement money is sent back to Worldpay.

Step 4 - Deposit Reporting

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

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

Figure 7. Self-Service Kiosk: Card Processing Workflow



OTCnet End Users

There are four functional areas of the OTCnet application:

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

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

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

- Check Capture/Check Processing and Reporting user roles perform functions to capture checks, process checks, access reports and edit or view the Master Verification Database (MVD).
- Deposit Processing and Reporting user roles create deposits, approve, confirm (reject or adjust), and/or view information as shown in Table 2.
- Card Processing user roles perform functions to process card transactions.

Table 2. End User Roles

Administration	Check Capture/ Check Processing and Reporting	Deposit Processing and Reporting	Card Processing
<p>Agency</p> <ul style="list-style-type: none"> • Check Capture Supervisor • Check Capture Administrator • Accounting Specialist/ Local • Accounting Specialist • Card Administrator <p>Financial Institution/ Federal Reserve</p> <ul style="list-style-type: none"> • Primary Security Administrator • Local Security Administrator 	<p>Agency</p> <ul style="list-style-type: none"> • Check Capture Operator • Check Capture Lead Operator • Check Capture Supervisor • Batch Approver* • Batch Uploader* • Master Verification Database (MVD) Editor • Master Verification Database (MVD) Viewer 	<p>Agency</p> <ul style="list-style-type: none"> • Deposit Preparer • Deposit Approver • Viewer <p>Financial Institution/ Federal Reserve</p> <ul style="list-style-type: none"> • Deposit Confirmer • Viewer 	<p>Agency</p> <ul style="list-style-type: none"> • Card Operator

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

Topic 2. OTCnet User Roles

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

Table 3. OTCnet Agency and FI/FRB User Roles

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

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

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

User Role	Role Description	Assignable By	Check Capture	Deposit Processing	Card Processing
Check Capture Administrator	The agency user in this role has the capability to define and modify the check capture sites as well as manage accounting codes and modify endpoint mappings. For example, this user can setup the location policy and location group. Additionally, this user can view, modify, and import accounting codes and modify endpoint mappings. This user can also configure the Check Capture functions and perform upgrades 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. This user has the permission to download software or firmware to the terminal using the Download Check Capture application permission. Lastly, this user is authorized to download the OTCnet Local Bridge (OLB) application, install the OLB certificate, install the OLB application, create the OLB profile, and start and stop the OLB application.	Agency PLSA Agency LSA	•		
Check Capture Lead Operator	The agency user in this role will have the ability to scan checks into a batch, view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. This user is authorized to install the OTCnet Local Bridge (OLB) certificate, install the OLB application, create the OLB profile, and start and stop the OLB application. Additionally, this user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicates. This user is not authorized, 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.	Agency PLSA Agency LSA	•		

User Role	Role Description	Assignable By	Check Capture	Deposit Processing	Card Processing
Check Capture Operator	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. This user is authorized to install the OTCnet Local Bridge (OLB) certificate, install the OLB application, create the OLB profile, and start and stop the OLB application. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established. However, the user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality.	Agency PLSA Agency LSA	•		
Check Capture Supervisor	The agency user in this role is the most powerful user on the Check Capture site. The user can perform almost all the functions in Check Capture including view and classify checks at the item level or a batch at the summary level, accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, accept checks with poor quality, as well as view, modify, and import accounting codes, and modify endpoint mappings. However, this user does not have any permissions associated with scanning checks. To ensure "checks and balances," scanning checks is reserved for a Check Capture Operator or Lead Operator only. This role can also establish, maintain, and view processing options that one or more lower-level endpoints will use in OTCnet. This user is authorized to install the OTCnet Local Bridge (OLB) certificate, install the OLB application, create the OLB profile, and start and stop the OLB application.	Agency PLSA Agency LSA	•		
CIRA Viewer	The agency user in this role can only view organization endpoints and CIRA records. This is the check processing role with the lowest level of access. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated 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		•	

User Role	Role Description	Assignable By	Check Capture	Deposit Processing	Card Processing
Deposit Preparer	The agency user in this role prepares the deposit ticket and supporting information for transmission to the TGA financial institution.	Agency PLSA Agency LSA		•	
FPA Viewer	The agency user in this role can only search / view 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 its depositing and lower-level endpoints. This role will establish, maintain, and view the organizational structure, accounting code mappings to individual endpoints, and the processing options that one or more lower-level endpoints will use in OTCnet.	Agency PLSA Agency LSA		•	
MVD Editor	The agency user in this role can create, update, and read verification records. This role can also download CSV formatted reports, view other general reports such as the 215 Deposit Ticket, 5515 Debit Voucher reports and the ACR Activity report. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated with an endpoint.	Agency PLSA Agency LSA	•		
MVD Viewer	The agency user in this role can read CIRA records in addition to read verification records and read block records containing only AB 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 except for the CIRA CSV report.	Agency PLSA Agency LSA	•	•	
Deposit Confirmer	The financial institution user in this role will verify the submitted deposit ticket, reject the deposit ticket if necessary, forward the information to the Treasury, and create adjustments, as necessary.	FI PLSA FI LSA		•	
FI Viewer	The financial institution user in this role can only search and view deposits and adjustments, view Financial Institution information and produce reports from it.	FI PLSA FI LSA		•	

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

Agency User Role Combinations

As shown in Table 4 and Table 5 Agency Deposit Processing, Check Capture and Card Processing user roles can be combined and assigned to an individual user. “•” indicates that the role in the column heading can be combined with the role to the far left of it.

Table 4. Combinable Agency Deposit Processing, Check Capture and Card Processing User Roles

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

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

Deposit Reporting, Check Capture and Card Processing User Roles	Agency Manager	CIRA Viewer	View Report	MVD Editor	MVD Viewer	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supvr.	Batch Approver	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		•	•	•		•	•	•	•		
Card Administrator							•	•	•		
Card Operator						•	•		•		
Check Capture Operator		•	•	•	•					•	•
Check Capture Lead Operator		•	•	•	•			•	•	•	•
Check Capture Administrator	•	•	•	•	•		•		•		
Check Capture Supervisor	•	•	•	•	•		•	•			
Batch Approver						•	•				
Batch Uploader						•	•				

Financial Institution (FI) User Role Combinations

Financial institution user roles that can be combined and assigned to an individual user are shown in Table 6. “•” indicates that the role in the column heading can be combined with the role to the far left of it.

Table 6. Combinable Financial Institution User Roles

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

System Tasks by Agency and Financial Institution (FI) Roles

The two tables below show the system tasks that can be performed by Agency and Financial Institution/Federal Reserve Bank (FI/FRB) user roles as shown in Table 7 **Error! Not a valid bookmark self-reference.** and Table 8. “•” indicates that the user role shown in the column heading can perform the task listed to the far left of it.

Table 7. Deposit Processing and Reporting Roles

Deposit Processing & Reporting Task	Agency PLSA	Agency LSA	Agency Acc Spec	Agency Local Acc Spec	Agency Dep. Prep.	Agency Dep. Appr.	FI/FRB Viewer	FI/FRB PLSA	FI/FRB LSA	FI/FRB Dep. Confirmer	FI/FRB Viewer
Add/Update/Delete a User	•	•						•	•		
Reset Password	•	•						•	•		
Manage Own Account	•	•	•	•	•	•	•	•	•	•	•
OTCnet Logon and Homepage	•	•	•	•	•	•	•	•	•	•	•
Create/Modify Deposit					•						
Submit Deposit						•					
Confirm/Reject Deposit										•	
View Deposit/Adjustment Detail					•	•	•			•	•
Search Deposit/ Adjustment					•	•	•			•	•
Create Deposit/ Adjustment										•	
Create Return Item Adjustment										•	
Modify Organization Hierarchy			•	•							
Delete Organization Hierarchy			•	•							
View Organization Hierarchy			•	•							
Search Organization Hierarchy			•	•							
Modify Accounting Codes*			•								
Import Accounting Codes*			•								
View Accounting Codes*			•	•							
Modify Endpoint Mappings*			•	•							
Modify Custom Labels			•								
View Custom Labels			•	•							
Modify Processing Options			•	•							
View Processing Options			•	•							
Modify User Defined Fields			•								
View user Defined Fields			•	•							
View Financial Institutions										•	•
View Business Reports			•	•	•	•	•			•	•

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 Security Reports	•	•						•	•		
View Administrative Reports					•	•	•			•	•
Read/View Audit Log	•	•									
View 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 Error ! Bookmark not defined.	Batch Approver*	Batch Uploader*	Online/Offline
Authorize Duplicates		•		•			Online/Offline
Authorize MICR Correction		•		•			Online/Offline
Authorize Poor Image Quality		•					Online/Offline
Balance Check Amounts		•		•			Online/Offline
Change Batch Control Values	•	•		•			Online/Offline
Change Batch Status				•			Online/Offline
Close Batch	•	•		•			Online/Offline
Edit Batch		•		•			Online/Offline
Change Mode	•	•					Online/Offline
Configure Check Capture System (settings)			•	•			Online/Offline
View Check Capture System Configuration	•	•	•	•			Online/Offline
Configure Batch Manager	•	•	•	•			Online/Offline
Override Verification				•			Online/Offline
Process Transactions (Scan Checks)	•	•					Online/Offline
Approve/Submit Batch				•	•		Online/Offline
View Batch List	•	•	•	•			Online/Offline
Void Item During Balancing				•	•		Online/Offline
Void Transaction				•	•		Online/Offline

Check Capture Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor ! Bookmark not defined.	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 Local Bridge Credential File	•	•	•	•			Online
Create and Download Initialization File			•				Offline
Startup of OTCnet Local Bridge (OLB) Application	•	•	•	•			
Startup of OTCnet Offline Application Server	•	•	•	•	•	•	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

Check Capture Task	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor ! Bookmark not defined.	Batch Approver*	Batch Uploader*	Online/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

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

Table 9. Check Processing

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

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*
Download Release**				.						
View CIRA	
Read/View Audit Admin (Partial)				.						
Read/View Audit Check Capture (All)				.						
Read/View Audit Check Capture Module (Partial)					.					
Read/View Audit Check Capture Module (Partial – User’s Own Activity)		.	.							
Read/View Audit Check Processing (All)								.		
Read CIRA Check Image Report	
Read CIRA CSV Report	
Download CIRA CSV Historical Report	
Read Deposit Ticket Report	
Read Debit Voucher Report	
Modify Accounting Codes				.	.					
Import Accounting Codes				.	.					
View Accounting Codes				.	.		.			
Modify Endpoint Mappings				.	.					
Modify Summary level Classification Flag			.		.					
View Summary Level Classification Flag	

Check Processing Task	Agency Manager	Check Capture Operator	Check Capture Lead Operator	Check Capture Admin.	Check Capture Supervisor	CIRA Viewer*	View Reports*	MVD Editor	MVD Viewer	Batch Approver*
Edit Agency Comments			.		.					
View Agency Comments	
Modify Processing Options			.		.					
View Processing Options			.		.					
ACR Activity Report	

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

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

Table 10. Card Processing

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

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

Summary

In this chapter, you learned:

- OTCnet Background and Organization
- OTCnet User Roles



Chapter 2: Accessing and Navigating OTCnet

OTCnet Participant User Guide

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Glossary

Click this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

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

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

Topics

The topics in this chapter include the following:

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

Audience

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

- All OTCnet Users

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

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

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

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

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

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

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

When using Microsoft Edge or Google Chrome:

- Ensure the latest version of the OLB is installed.

Start and Stop the OTCnet Local Bridge (OLB) Application

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

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

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

- Ensure the latest version of the OLB is installed
- Create your OLB profile

- Import your OLB credentials

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

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

Password Criteria includes the following, it must:

- Be at least 12 characters long
- Not have more than two repeating characters
- Not repeat any of your last ten passwords
- Not have been your password during the last ten days
- Not be a word in a language, slang, dialect, or jargon
- Not be related to personal identity, history, environment, or other personal associations

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

Start and Stop the OTCnet Local Bridge (OLB) Application

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

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

Or

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

2. The *OTCnet Local Bridge Startup* page appears. Enter your **OTCnet User ID** and **Password** in the appropriate text boxes.
3. Select **Log In**. A *Login Successful. OTCnet Local Bridge Application Started* message appears.



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

4. Select **OK**.

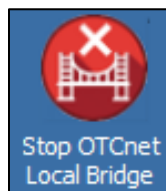


Application Tip

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

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

Figure 1. Stop OTCnet Local Bridge Icon



Or

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

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



Application Tips

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

Topic 2 Requesting Access for Yourself in SailPoint IIQ

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

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

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

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

Self-Register/Create an Account in SailPoint IIQ

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

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

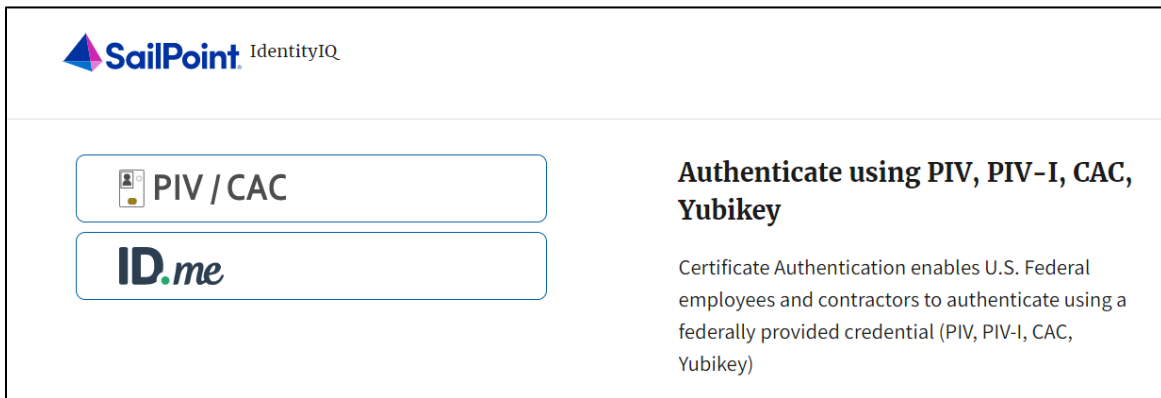
Follow the on-screen instructions to sign in with an existing account or create an account. If prompted, follow the on-screen instructions to verify your identity. After completing all steps, you should see the SailPoint IIQ home page.

Self-Register/Create an Account in SailPoint IIQ

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

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

Figure 2. SailPoint IIQ Login Page



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



Application Tip

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

Request Access for Yourself in SailPoint IIQ

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

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

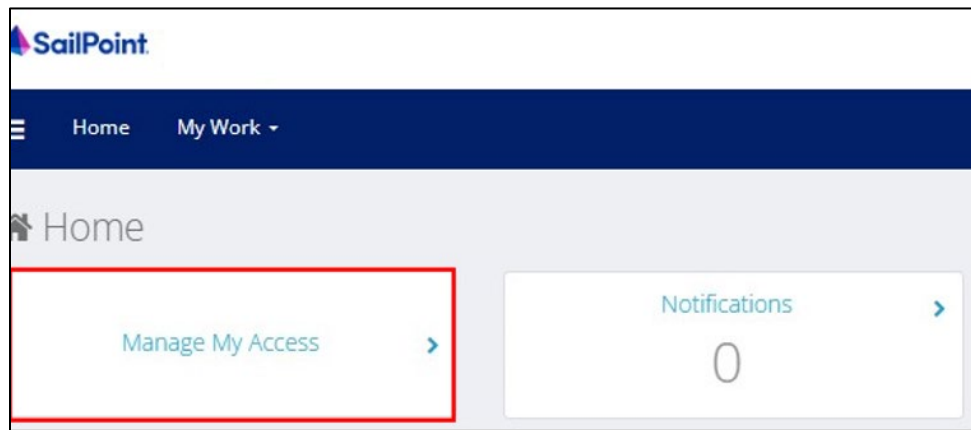
A confirmation message will appear. SailPoint IIQ will automatically notify the necessary approvers to review the request. Once approved, your PLSA/LSA can create your identity in OTCnet and assign endpoints and roles for you. You will receive an autogenerated email when your user account is created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

Request Access for Yourself in SailPoint IIQ

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

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

Figure 3. SailPoint Home Page with Manage My Access Button



2. On the **Manage My Access** screen, ensure that **Add Access** tab is selected as shown in Figure 4.



Application Tips

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

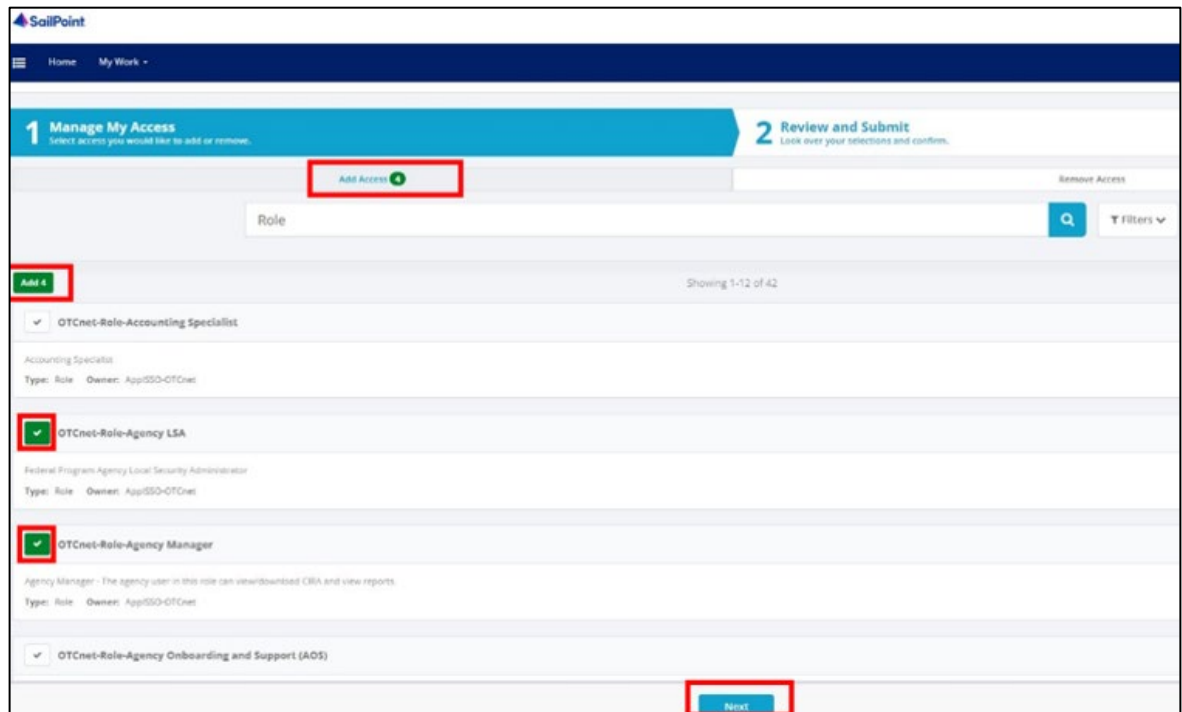
3. Search for an **HLO**. Select an **HLO** by clicking the **checkmark** to the left of the **HLO's** name.
4. Continue on the same screen to search for a user role. Select a **role** by clicking the **checkmark** to the left of the **role's** name. Then select **Next**.



Application Tips

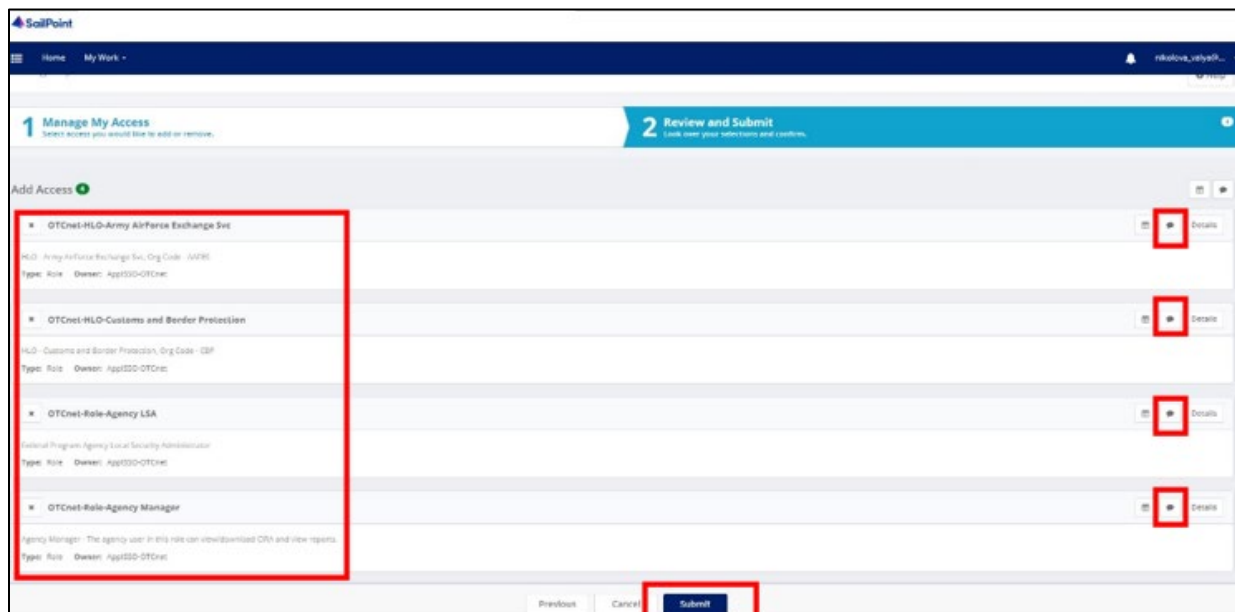
- Multiple **HLOs** and **roles** can be selected.
- All roles selected in SailPoint IIQ will be validated (and edited as needed) in OTCnet by the designated **PLSA/LSA**.

Figure 4. Add Access Screen



5. On the **Review and Submit** screen, verify the requested **HLOs** and **role(s)** are correct. Select the **voice bubble** to the right of the **HLO** or **role** to add any comments.
6. Select the **Submit** button at the bottom when finished, as shown in Figure 5.

Figure 5. Review and Submit Screen



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



Application Tips

- You will receive an autogenerated email when your user account is created in OTCnet.
 - Then you can access the OTCnet application.
-

Topic 3 Log in to OTCnet Online

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

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

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

Log in to OTCnet Online

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

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

- Administration
- Deposit Processing and Reporting
- Check Capture
- Check Processing
- Card Processing

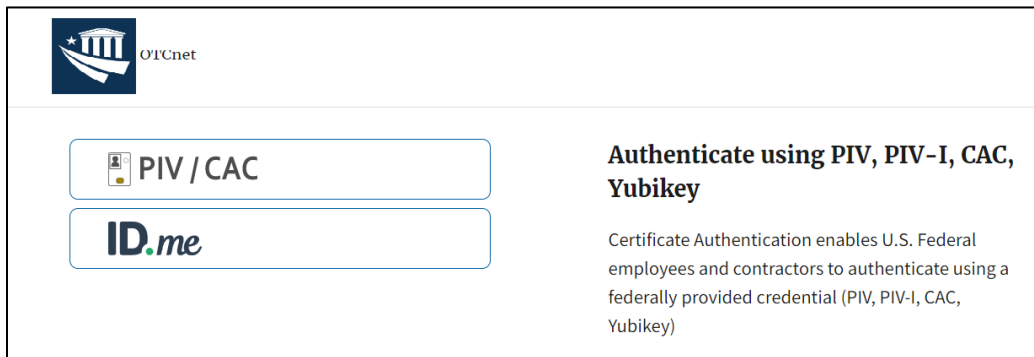
The OTCnet Local Bridge (OLB) application is required for performing check processing, check capture, card processing and terminal configuration operations. If you are a **Check Capture Administrator, Check Capture Supervisor, Check Capture Lead Operator, Check Capture Operator, Card Operator** or **Card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

Log in to OTCnet Online

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

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

Figure 6. OTCnet Log In Screen



2. Select the option that best represents your status and follow the on-screen instructions to verify your identity or create an account in SailPoint IIQ.



Application Tip

PIV/CAC (Government Users/Contractors)

- Select the **PIV/CAC** button.
- If prompted, select your certificate, and enter your pin.
- If prompted, follow the on-screen instructions to verify your email address.

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

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



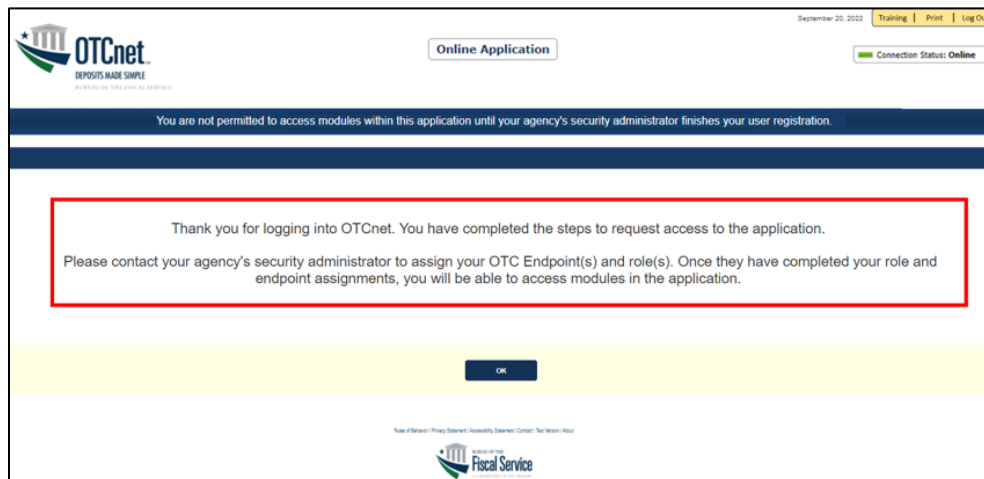
Application Tip

ID.me for Non-Government Users

- Select the **ID.me** button.
- Follow the on-screen instructions to sign in with an existing account or create an account.
- If prompted, follow the on-screen instructions to verify your identity.
- Use your **work email address** to create initially your **ID.me** identity. It is still recommended to add your personal email to your **ID.me** identity.

3. When you log in to OTCnet Online for first time you may be alerted that you are not permitted to access the application until your agency's security administrator completes your user provisioning in OTCnet as shown in Figure 7.
4. Once your agency's security administrator has imported your user identity to OTCnet, and assigned endpoints and roles for you, you will be able to access the application.

Figure 7. First Time Log In Screen



5. To completely log out, close your browser. You will need to reauthenticate next time you login to OTCnet.



Application Tip

As a **Check Capture Administrator, Check Capture Supervisor, Check Capture Lead Operator, Check Capture Operator, Card Operator** or **Card Administrator**, when logging in to OTCnet Online and using Microsoft Edge or Google Chrome, the OTCnet splash screen does not appear.

Topic 4 Log in to OTCnet Offline

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

Keep the following in mind when logging in to OTCnet Offline:

- To log in, double-click the **OTCnet Offline (Production or QA)** icon on your terminal desktop

Or

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

- If the OTCnet Offline icon does not reside in either location, contact your **Check Capture Administrator** 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 causes errors.
- As an added layer of security, you must 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 the Offline server, you are prompted to log in to the OTCnet Offline application.
- If the Offline server is started, log directly in to the OTCnet Offline application. The first time you log in to the OTCnet Offline application you are required to change your password. After your permanent password is set, use your permanent password to startup the Offline server and/or Offline application.
- To stop the OTCnet Offline application, access the **Start** menu and **Programs>Stop OTCnet Offline**. Stopping the OTCnet Offline application ensures the application is completely closed and that your OTCnet session is terminated securely.

Start the OTCnet Offline Server

As an added layer of security, the **Check Capture Administrator**, **Check Capture Supervisor**, **Check Capture Lead Operator**, and **Check Capture Operator** must first log in to the OTCnet Offline *server* before accessing the OTCnet Offline *application*. Identify the Offline Server log in page, it is labeled **OTCnet Offline Server Startup**. The **Retrieve Admin Profile** link *does not* appear on this page.

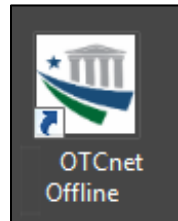
To start the OTCnet Offline *server*, **OTCnet Offline (Production or QA)** must be started. You'll import your OTCnet Offline profile and log in to OTCnet Offline.

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 desktop as shown in Figure 8.

Figure 8. OTCnet Offline Icon, Production



Or

Click **Start>Programs>OTCnet Offline (Production or QA)>Start OTCnet Offline (Production or QA)**. The *OTCnet Offline Startup* page appears as shown in **Error! Reference source not found.**

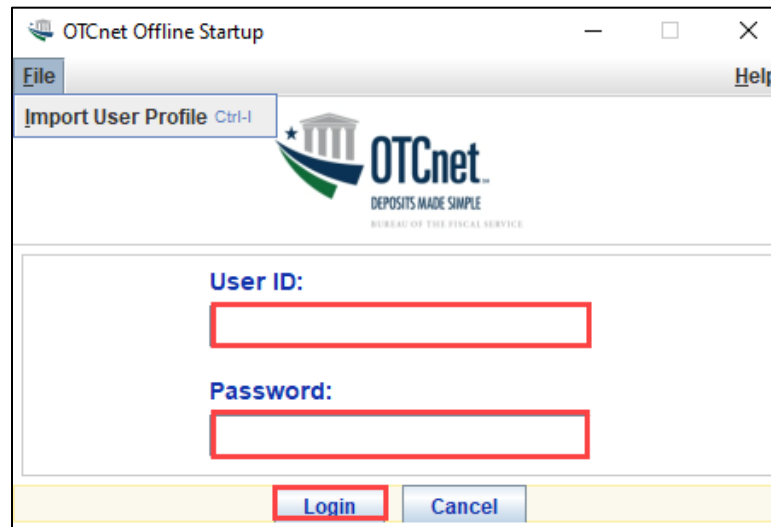


Application Tips

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

2. Enter your **User ID** and **Password** in the appropriate text boxes in the *OTCnet Offline Startup* page as shown in Figure 9. Click **Log In**.

Figure 9. OTCnet Offline Startup



Application Tips

- The *Offline Server Startup* prompt appears as a standalone prompt, outside the browser.
- If you are a **Check Capture Administrator** and this is your first time starting the OTCnet Offline server and logging in to OTCnet, enter the temporary password you created when you created your **Check Capture Administrator** Offline Logon Profile.
- If you are not a **Check Capture Administrator** and this is your first time starting the OTCnet Offline server and logging in to OTCnet, enter your temporary password.
- After your credentials are successfully authenticated, the *Offline Check Capture* application log in page displays.
- 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.

Log In to OTCnet Offline Application for the First Time

Once you receive your temporary password from your **Check Capture Administrator**, access the OTCnet Offline *application* to create a permanent password. The *application* includes the **Retrieve Admin Profile** link.

To log in to the OTCnet *application* for the first time, you must start the OTCnet Offline *server*, Production or QA and log in from the **Retrieve Admin Profile** page, reset your password and log in to OTCnet Offline.

Log in to OTCnet Offline Application for the First Time

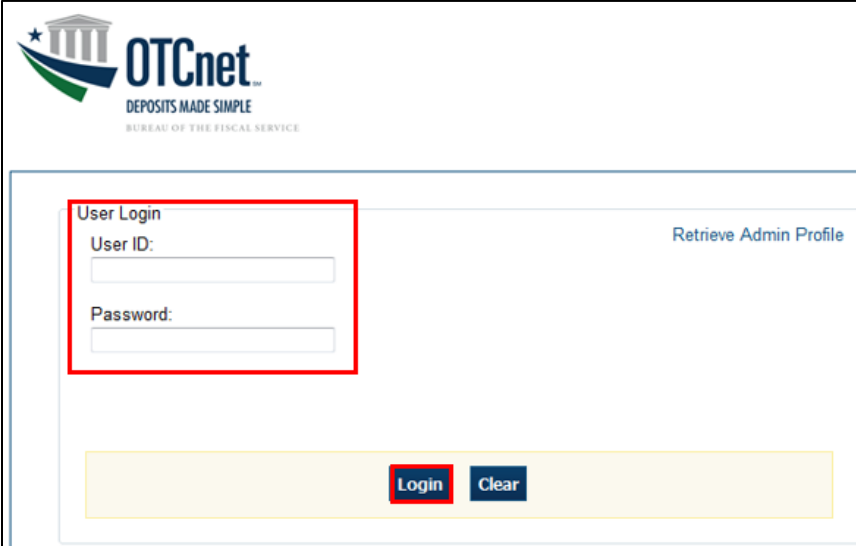
To log in to OTCnet *application* for the first time, complete the following steps:

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

Or

Click **Start>Programs>OTCnet Offline (Production or QA)>Start OTCnet Offline (Production or QA)**. The *Retrieve Admin Profile* page appears as shown in Figure 10.

Figure 10. OTCnet Offline Application User Login Page



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



Application Tips

- If the icon does not reside in either location, contact your **Check Capture Administrator** to configure the terminal.
- If a workstation 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 causes errors.
- If you are a **Check Capture Administrator** and this is your first time logging into OTCnet Offline, or you must download user profiles, click the **Retrieve Admin Profile** link.

3. Enter your *temporary Password*, **New Password**, **Re-Enter New Password** and click **Save** as shown in Figure 11. A *Confirmation* page appears stating your new password has been set.

Figure 11. Set Permanent Password



Application Tip

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

4. Click **Return to Login Page** to login to OTCnet Offline.
5. To stop the OTCnet Offline application, click **Start Menu>Programs> OTCnet Offline (Production or QA)>Stop OTCnet Offline (Production or QA)**.



Application Tips

- 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, you wait at least one to two minutes before restarting.
- If more than one version of the OTCnet Offline application resides on a terminal, stop the correct version of the OTCnet Offline application (Stop OTCnet Offline Production or QA).

Log in to OTCnet Offline

If you are a **Check Capture Administrator, Check Capture Supervisor, Check Capture Lead Operator, or Check Capture Operator** and you have reset your temporary password, log in to OTCnet Offline.

To log in to OTCnet Offline, you must start OTCnet Offline, Production or QA. Log in to the OTCnet Offline *server*. Select the **Return to Login Page** to return to the Login Page. If you do not immediately access OTCnet Offline after resetting your temporary password, double-click the OTCnet Offline icon or access your **Start Menu** under **Programs**.

Additionally, you will be prompted to set up **multi-factor authentication** if you have not set it up already. Download and install an **authenticator application** on your workstation device and set up two-factor authentication for OTCnet Offline.

The session timeout in the Offline application is 30 minutes which prevents unnecessary timeouts due to inactivity.

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 desktop.

Or

Click **Start>Programs>OTCnet Offline (Production or QA)>Start OTCnet Offline (Production or QA)**. The *OTCnet Offline Server Start Up* page appears.



Application Tips

- If the icon does not reside in either location, contact your **Check Capture Administrator** 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 causes errors.
- If the Offline server was not previously started, enter your User ID and password to start the Offline server.

2. Enter your **User ID** and **Password** in the appropriate text boxes. Select **Login** as shown in Figure 12.

Figure 12: OTCnet Offline Application User Login Page

3. The system validates your **User ID** and **offline password** and determines if you have **multi-factor authentication (MFA)** set up.
4. If you have already set up **MFA**, you will be prompted to input your one-time code.
5. If you have not set up the **MFA**, the system prompts you to set up **MFA** with your chosen authenticator application by downloading the application on your workstation device.
6. Follow the steps in the authenticator to set up **MFA**. The system displays the **authenticator secret** and instructs you to enter it into your chosen authenticator as shown in Figure 13.
7. Input the **authenticator secret** into your authenticator application and label it as **“OTCnet Offline.”**
8. Enter your **Time-Based One-Time Password (TOTP)** code generated by the authenticator into the textbox and select **OK**.

Figure 13: Prompt for Multi-Factor Authentication Setup

Multi-Factor Authentication Setup

If you do not have an authenticator application installed, please close the browser to download and install an authenticator application on your workstation device and begin setting up multi-factor authentication for OTCnet Offline.

Your Time-based one-time password (TOTP) secret is XXXXXXXX.

Please use this in your authenticator application to set up your multi-factor authenticator for OTCnet. In your authenticator application, please select TOTP as your authenticator option with SHA1 and a TOTP code length of six characters. After you have set up your multi-factor authenticator for OTCnet, please enter the code generated by the authenticator into the textbox below.

Please enter TOTP Code from your authenticator app



Application Tip

User must ensure they have selected **TOTP** as their authenticator option with **SHA1** and an **OTP code** length of six characters. Not all authenticators will present this option, but if it is an option, these parameters should be selected.

- If you enter correctly the **TOTP** code, system will display a message that you have successfully set up multi-factor authentication for OTCnet Offline. Select the **OK** button to proceed to the login page as shown in Figure 14. Otherwise, system will prompt you to verify your **MFA** setup and **TOTP** code and try again.

Figure 14: Successful Multi-Factor Authentication Setup Message

Multi-Factor Authentication Setup

If you do not have an authenticator application installed, please close the browser to download and install an authenticator application on your workstation device and begin setting up multi-factor authentication for OTCnet Offline.

Your Time-based one-time password (TOTP) secret is XXXXXXXX.

Please use this in your authenticator application to set up your multi-factor authenticator for OTCnet. In your authenticator application, please select TOTP as your authenticator option with SHA1 and a TOTP code length of six characters. After you have set up your multi-factor authenticator for OTCnet, please enter the code generated by the authenticator into the textbox below.

You have successfully set up multi-factor authentication for OTCnet Offline! Please click the "OK" button to proceed to the login page.

Please enter TOTP Code from your authenticator app

- The system completes user authentication and displays a message informing you that **MFA** has been successfully set up.
- Acknowledge the **message**. The system logs you out and displays the *OTCnet Offline* login screen.



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.
 - 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 5 Navigating the OTCnet Online/Offline Home Page

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

The *OTCnet Offline* home page allows **Check Capture Supervisors**, **Check Capture Lead Operators** and **Check Capture Operators** to capture checks along with transaction data, perform administrative functions and access help information. The OTCnet Offline home page is accessible by users to either view or perform any of the functionalities mentioned in *OTCnet Online*.

OTCnet Online Main Menu

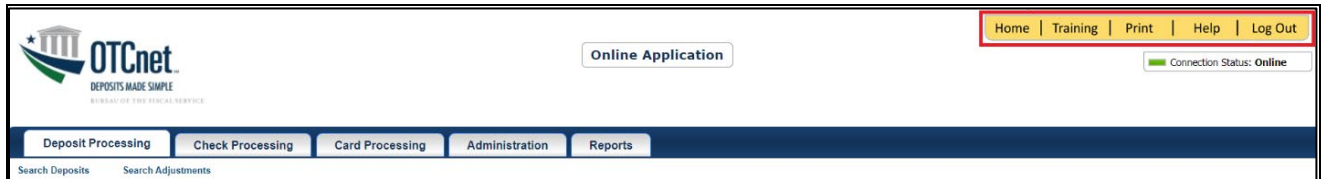
To access the OTCnet Main Menu, log in with your **PIV/CAC** or **ID.me** credentials with the following url, <https://otcnet.for.fiscal.treasury.gov>. Table 1 provides a list of the Main Menu options available to you. They are accessible on the upper right corner of the OTCnet application.

Table 1. Main Menu Link Descriptions

Link	Description
Home	Allows a user to return to the OTCnet home page.
Training	Allows a user to access the Web-Based Training (WBT) and other corresponding training materials.
Print	Allows a user to print the page.
Help	Allows a user to access help for the page they are on.
Log Out	Allows a user to log out of OTCnet.

The Main Menu is shown in Figure 15: The links are accessible on the upper right side of the OTCnet home page.

Figure 15: OTCnet Main Menu Page

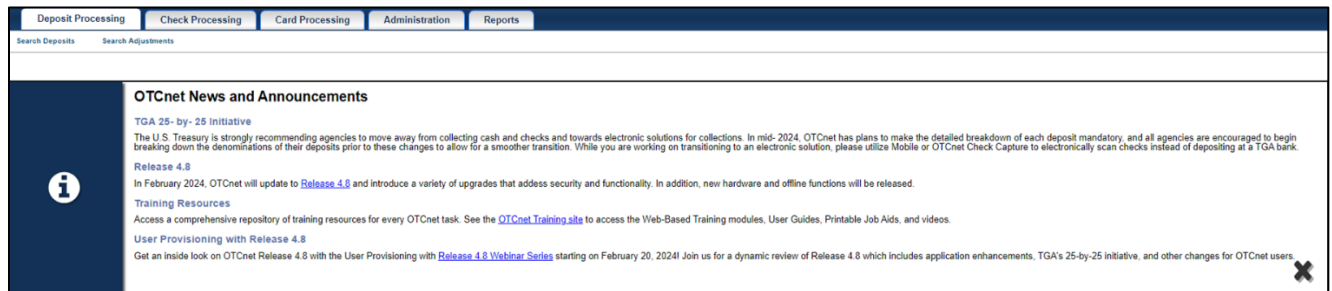


OTCnet Homepage Message Overlay

All user roles have access to the OTCnet Homepage Message Overlay, in OTCnet Online (you will not see it in OTCnet Offline). For all Microsoft Edge and Google Chrome users, the message overlay automatically presents when you first log in to OTCnet.

The message overlay is a messaging platform presenting important news and information on the OTCnet system as shown in Figure 16. It is recommended that you read the messages, close the message overlay, and continue viewing the OTCnet homepage.

Figure 16. OTCnet Homepage Message Overlay



OTCnet Online Deposit Processing Tab Functionality

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

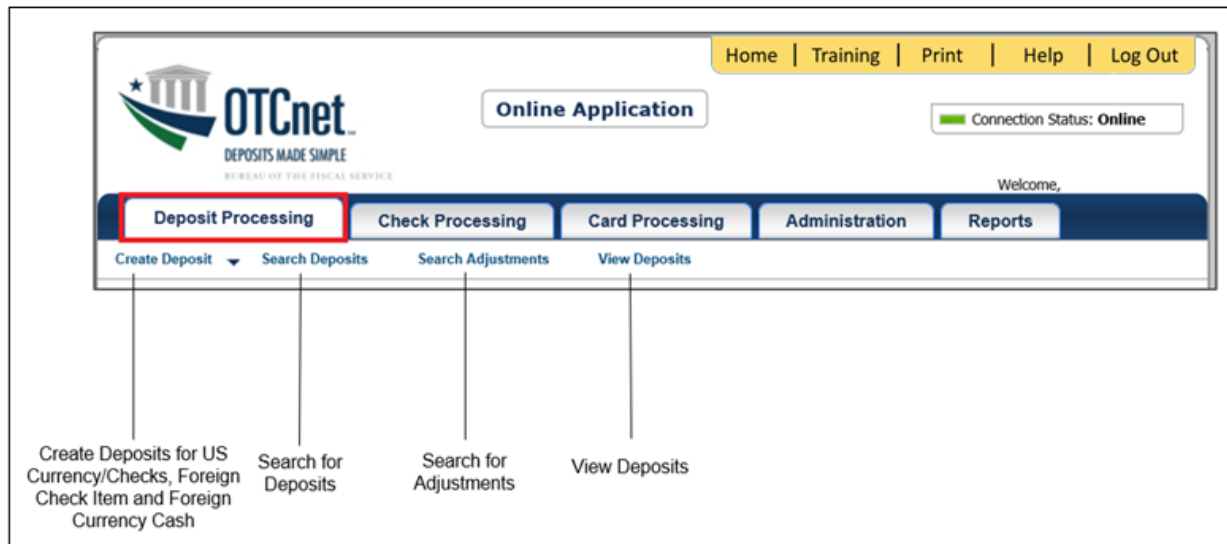
Table 2 provides a list of the Deposit Processing functions that are available to you.

Table 2. Deposit Processing Tab Descriptions

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

The Deposit Processing tab, as shown in Figure 17, allows you to access Deposit Processing functionality, though depending on your user role, you may not see all functionality.

Figure 17. Deposit Processing Tab



OTCnet Online Check Processing Tab Functionality

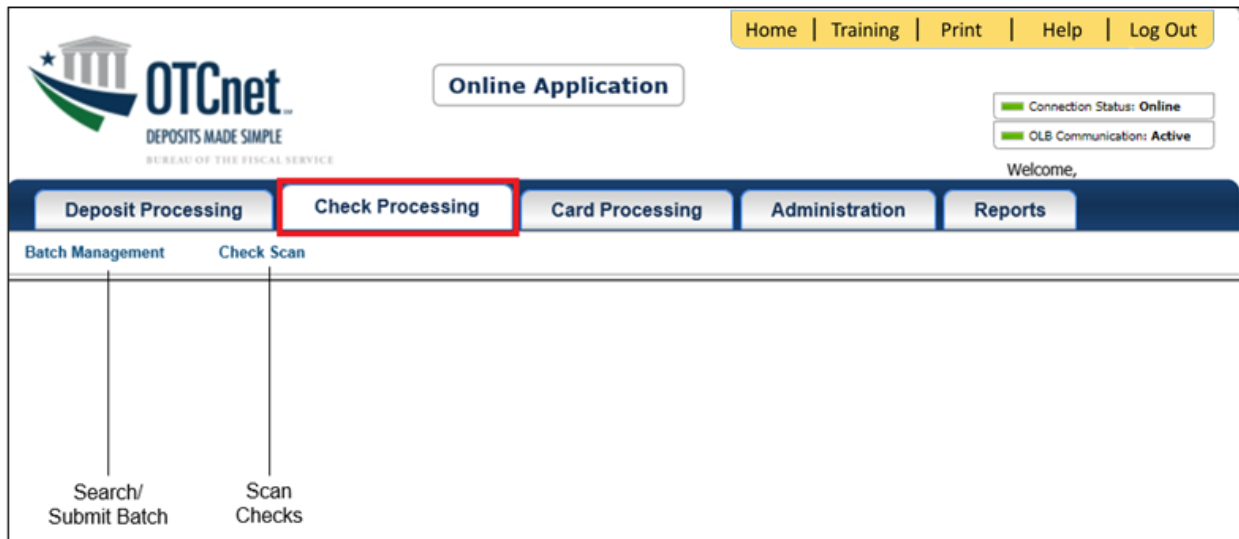
To access the OTCnet Check Processing functionality, log in with your **PIV/CAC** or **ID.me** credentials. Table 3 provides a list of the Check Processing functions that are available to you.

Table 3. Check Processing Tab Descriptions

Function	Description
Manage Verification	Allows a user to search and/or create an MVD record.
CIRA Query	Allows a user to view and/or modify a CIRA record.
Batch Management	Allows a user to search, view, close, approve and submit a batch. A user may edit and void an item within a batch with the proper permission.
Check Scan	Allows a user to scan checks.
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 18. Depending on your user role, you may not see all functionality shown in the image.

Figure 18. Check Processing Tab



OTCnet Online Card Processing Tab Functionality

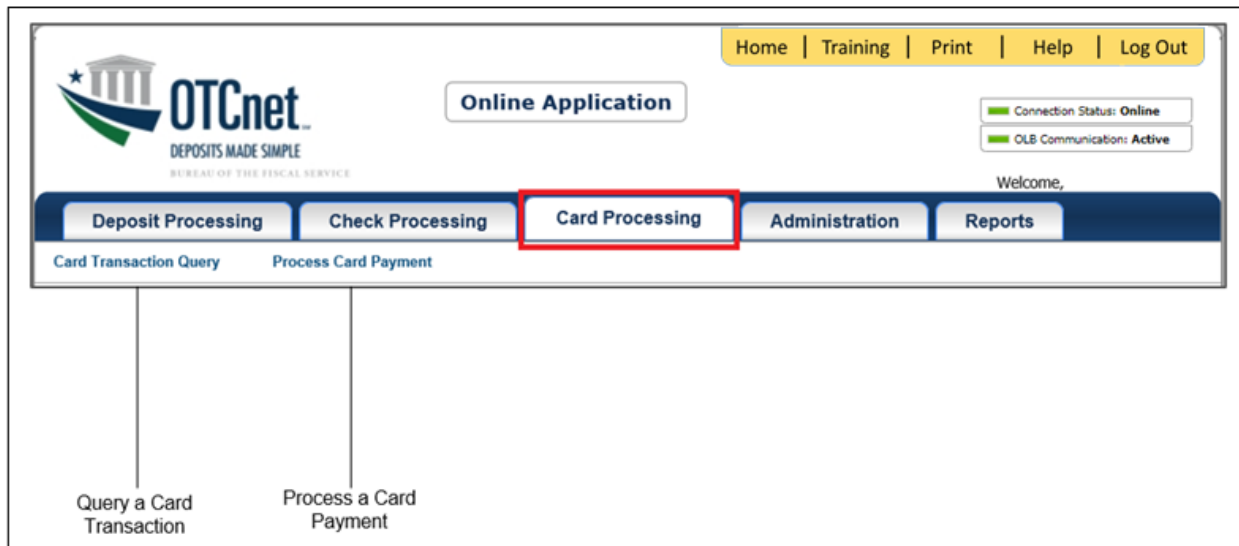
To access the OTCnet card processing functionality, log in with your **PIV/CAC** or **ID.me** credentials. Table 4 provides a list of the card processing functions that are available to you.

Table 4. Card Processing Tab Descriptions

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

The Card Processing tab is shown in Figure 19. Depending on your user role, you may not see all functionality shown in the image.

Figure 19. Card Processing Tab



OTCnet Online Administration Tab Functionality

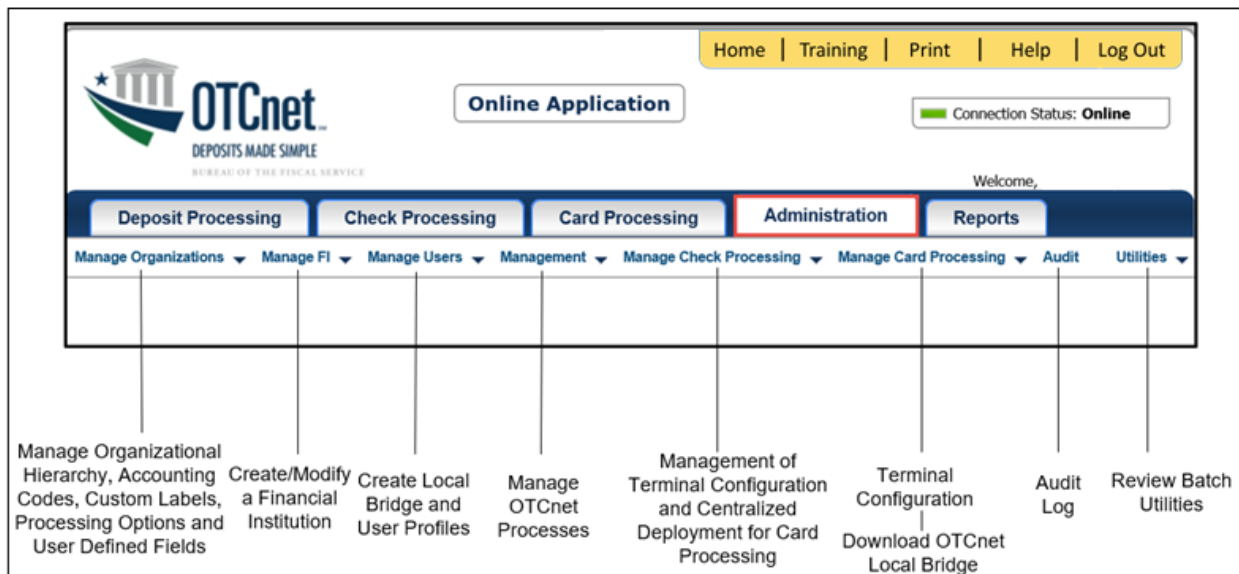
To access the OTCnet Administration functionality, log in with your **PIV/CAC** or **ID.me** credentials. Table 5 provides a list of the Administration functions that are available to you.

Table 5. Administration Tab Descriptions

Function	Description
Manage Organizations	Allows a user to manage Organization Hierarchy, Accounting Codes, Custom Labels, Processing Options, and User Defined Fields.
Manage FI	Allows a user to create and/or modify a Financial Institution, transfer FI RTN Numbers, transfer CA\$HLINK accounts, and maintain FRB CA\$HLINK accounts.
Manage Users	Allows a user to manage OTCnet user accounts and profiles.
Management	Allows a user to manage OTCnet processes.
Manage Check Processing	Allows a user to manage terminal configuration and forms.
Manage Card Processing	Allows a user to manage terminal configuration.
Manage Centralized Deployment	Allows users access to the following: Release Configuration, Edit Release and Download Release.
Audit	Allows a user to review the audit log history.
Utilities	Allows a user to review batch utilities, including Batch Recreate and Batch Repair.

The Administration tab is shown in Figure 20. Depending on your user role, you may not see all functionality shown in the image.

Figure 20. Administration Tab



OTCnet Online Reports Tab Functionality

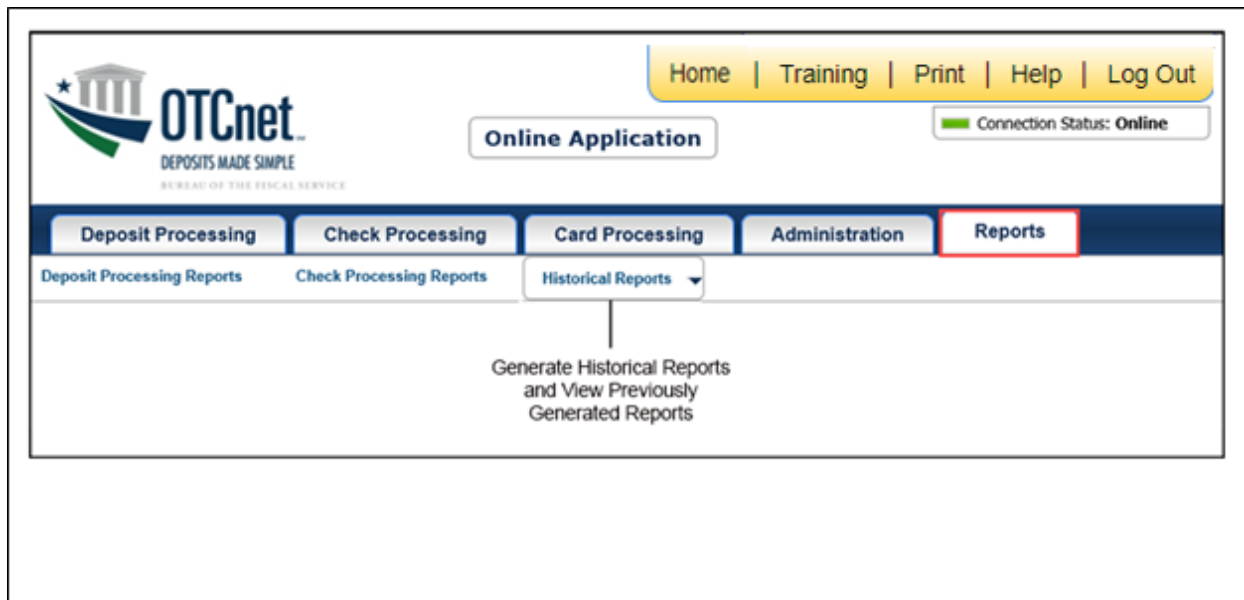
To access the OTCnet Reports functionality, log in with your **PIV/CAC** or **ID.me** credentials. Table 6 provides a list of the Reports functions that are available to you. Depending on your user role, you are only authorized to view and download certain reports.

Table 6. Reports Tab Descriptions

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

The Reports tab is shown in Figure 21. Depending on your user role, you may not see all functionality shown in the image.

Figure 21. Manage Reports



OTCnet Offline Check Processing Functionality

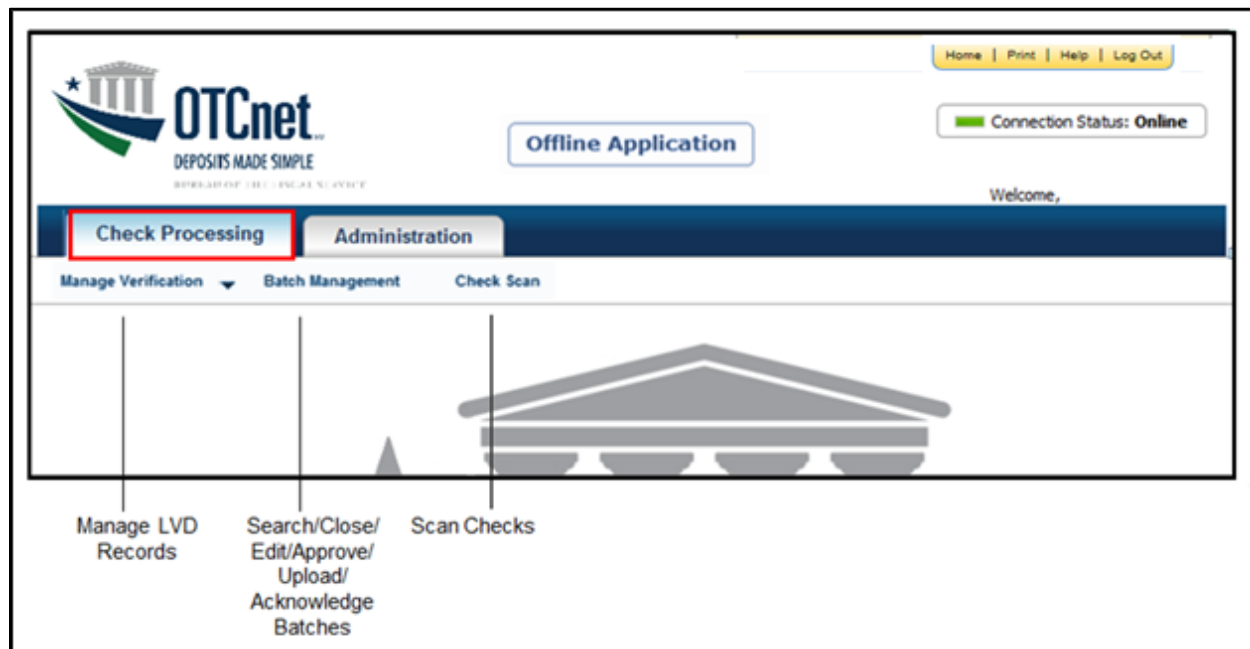
To access the OTCnet Offline Check Processing functionality, log in with your User ID and password. Table 7 provides a list of the Check Processing functions available to you.

Table 7. OTCnet Offline Check Processing 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 Check Processing tab is shown in Figure 22. Depending on your user role, you may not see all functionality shown in the image.

Figure 22. OTCnet Offline Check Processing Descriptions



OTCnet Offline Administration Tab Functionality

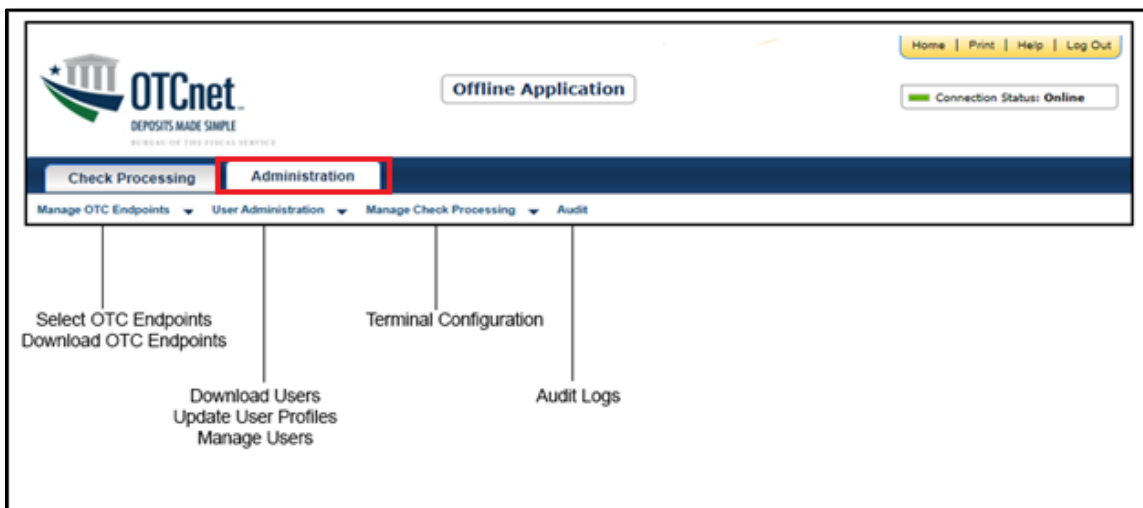
To access the OTCnet Offline Administration functionality, log in with your User ID and password. Table 8 provides a list of the Administration functions available to you.

Table 8. 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 23. Depending on your user role, you may not see all functionality shown in the image.

Figure 23. OTCnet Offline Administration
Offline Application



Summary

In this chapter, you learned how to:

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



Chapter 3. Managing User Accounts

OTCnet Participant User Guide

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Glossary

Select this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

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

- Manage User Accounts
- Create identity for a user in SailPoint IIQ
- Add or remove user access in SailPoint IIQ
- Approve or deny user access requests in SailPoint IIQ
- Import user identity to OTCnet
- Add or remove endpoint/role for a user in OTCnet
- Approve or reject an endpoint/role (or a removal of an endpoint/role) in OTCnet

Topics

The topics in this chapter include the following:

1. The Purpose of Managing User Accounts
2. Creating Identity for a User in SailPoint IIQ
3. Adding or Removing User Access in SailPoint IIQ
4. Approving or Denying User Access Requests in SailPoint IIQ
5. Importing User Identity to OTCnet
6. Adding or Removing Endpoint/Role for a User in OTCnet
7. Approving or Rejecting an Endpoint/Role (or a Removal of an Endpoint/Role) in OTCnet

Audience

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

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

Topic 1 The Purpose of Managing User Accounts

As the **Primary Local Security Administrator (PLSA)** or **Local Security Administrator (LSA)** for your organization, you are authorized to manage the users who have access to OTCnet. Before a user can access OTCnet, they must have an identity and account created in SailPoint IIQ.

The **PLSAs/LSAs** assist with creating an identity for a user and/or requesting an HLO or role access for them in SailPoint IIQ. This is the preferred method of registration for users in SailPoint IIQ while the self-registration functionality is available to users as needed.

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

- Registering users by creating an identity for a user in SailPoint IIQ
- Adding or removing user access in SailPoint IIQ
- Approving or denying user access requests in SailPoint IIQ
- Importing user identity to OTCnet
- Adding or removing an endpoint/role for a user in OTCnet
- Approving or rejecting an endpoint/role (or a removal of an endpoint/role) for a user in OTCnet

The **User Provisioning** workflow includes the following high-level action steps:

1. The **PLSA** or **LSA** receives an authorized/approved request to add a new user (from their organization) to OTCnet.
2. The **PLSA** or **LSA** logs into SailPoint IIQ, selects **Manage User Access**, and searches for the **email address** of the new user from the request in step 1.
 - a. If the email address is not found, the **PLSA** or **LSA** selects **Manage Identity** and **Create Identity** from the menu options. They enter the authorized user's email address and select **Submit**.
 - b. If the email address is is found, the **PLSA** or **LSA** continues with step 3.
3. The **PLSA** or **LSA** adds the authorized **role/HLO** or **role/Financial Institution (FI)** combinations to the identity.
4. Another **PLSA** or **LSA** approves (or denies) the request in SailPoint.
5. The **PLSA** or **LSA** imports the **email address** of a new user to OTCnet so that a user can be added to the OTCnet database. Then the **PLSA** or **LSA** adds the authorized **endpoint(s)** and **role(s)** to the user.
6. Another **PLSA** or **LSA** approves (or rejects) the request in OTCnet. Then the user is informed that their OTCnet provisioning is complete.

Topic 2 Creating a User Identity in SailPoint IIQ

SailPoint IIQ is an identity management solution utilized by the Department of the Treasury. It is being phased in through the Common Approach to Identity Assurance project, commonly referred to as CAIA.

Create a User Identity in SailPoint IIQ

The **PLSAs** and **LSAs** assist with creating an identity for a user and/or requesting an **HLO** or **role** access for them in SailPoint IIQ. **This is the preferred method for registering users and requesting HLO and role access for users in SailPoint IIQ.**

To create a user identity, select **Create Identity** from the menu at the top left of the SailPoint IIQ application under **Manage Identity**. Then enter their **email address** and select the **Submit** button.

Two notification emails will be sent out once an identity is created:

- One to the new identity holder, and
- One to the person who created the identity

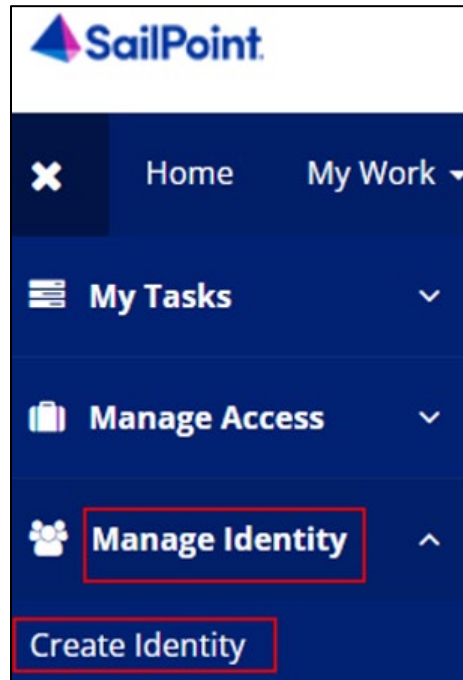
New users, not registered in SailPoint IIQ, will not be able to access OTCnet. Their identity will not be recognized. They may get a message that the email and/or password they entered is incorrect.

Create a User Identity in SailPoint IIQ

To create a user identity, complete the following steps:

1. At the top left of the SailPoint IIQ application, select the **Hamburger Menu** to display the available menu options.
2. Select the **Manage Identity** option, then select **Create Identity** as shown in Figure 1.

Figure 1: Creating Identity in SailPoint IIQ



3. SailPoint IIQ will route to the **Create Identity** screen as shown in Figure 2.



Application Tip

- There will be two fields available to fill out, **Identity Name** and **Email**.
- The **Identity Name** will be prepopulated as it is a unique identifier required by SailPoint IIQ.

4. Enter an **email address** for the identity you want to create and select **Submit** at the bottom of the page.

Figure 2: Create Identity Screen

Create Identity

If you would like to request that a new identity be created, please fill in the fields below. Fields marked with an asterisk are required.

CAIA Create Identity

Identity Name *

d83c99f2-146d-4a09-989b-2c0d7c93b1a0

Email *

lastname123@gmail.com

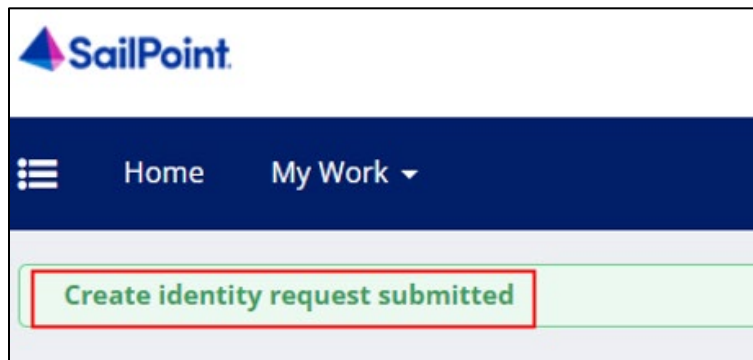
Cancel Submit



Application Tip

SailPoint IIQ will notify you if an identity with the email you provided already exists.

5. Once submitted, SailPoint IIQ will display the homepage with a success message as shown in Figure 3.

Figure 3: Create Identity Request Submitted**Application Tip**

- Due to system design, it may take up to a minute for the identity to be processed in SailPoint IIQ.
 - Two notification emails will be sent out once an identity is created, one to the new identity holder and one to the person who created the identity.
-

Topic 3 Adding or Removing User Access in SailPoint IIQ

There are two system admin groups inside SailPoint IIQ, requestors and approvers.

- Requestors can request (or add access) on behalf of someone else. They can also remove user access.
- Approvers can approve or deny those requests. The application approvers will receive notification that there is an access request available to review.

After a **PLSA** or **LSA** requests access for a user, the application looks for other approvers for the org **HLO** or **role** selection and notifies them of the pending request.

In SailPoint IIQ, approvers are determined based on the HLO selections (approvers are security admins with the same HLO assignments).

Add User Access in SailPoint IIQ

To request/add OTCnet user access, select **Manage Access** from the main menu, then select **Manage User Access**. Search for the user by typing their **email address** and select the **Search** button. Then select the **checkmark** to the left of the user's email address in the returned search result and select **Next**.

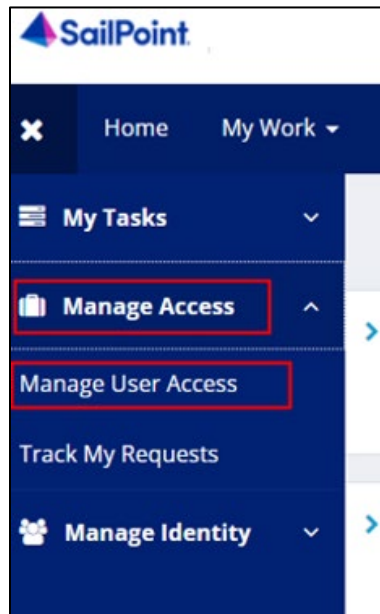
Make sure that **Add Access** is selected. In the search field, enter the **HLO** or **role** name to be assigned to the user. To select the **HLO** or **role** in the search results, select the **checkmark** to the left of the **HLO** or **role** name, then select **Next**. Review the requested role(s) and select the **Submit** button.

Add User Access in SailPoint IIQ

To request/add OTCnet user access, complete the following steps:

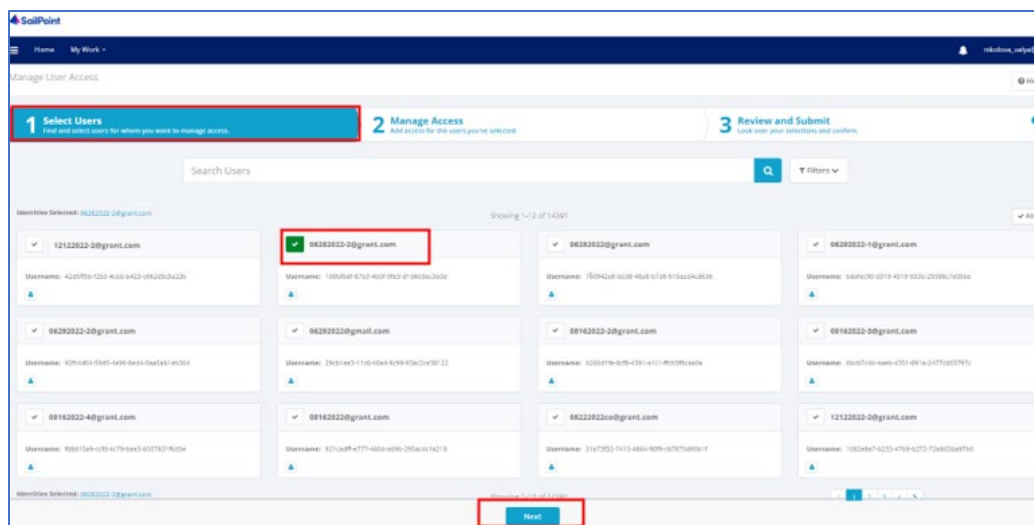
1. At the top left of left of the application, select the **Hamburger Menu** to display the options.
2. Select the **Manage Access** option, then select **Manage User Access** as shown in Figure 4.

Figure 4: Manage Access/Manage User Access



3. Search for the user (recipient of the access) typing their **email address** and select the **Search** button (blue magnifying glass) as shown in Figure 5.
4. Select the **checkmark** to the left of the user's **email address** in the returned search result, then select **Next** at the bottom of the page.

Figure 5: Select Users Screen



5. Select **Add Access** as shown in Figure 6. In the search field, enter part or all of the **HLO or role** name to be assigned to the user. For example, enter “customer”.

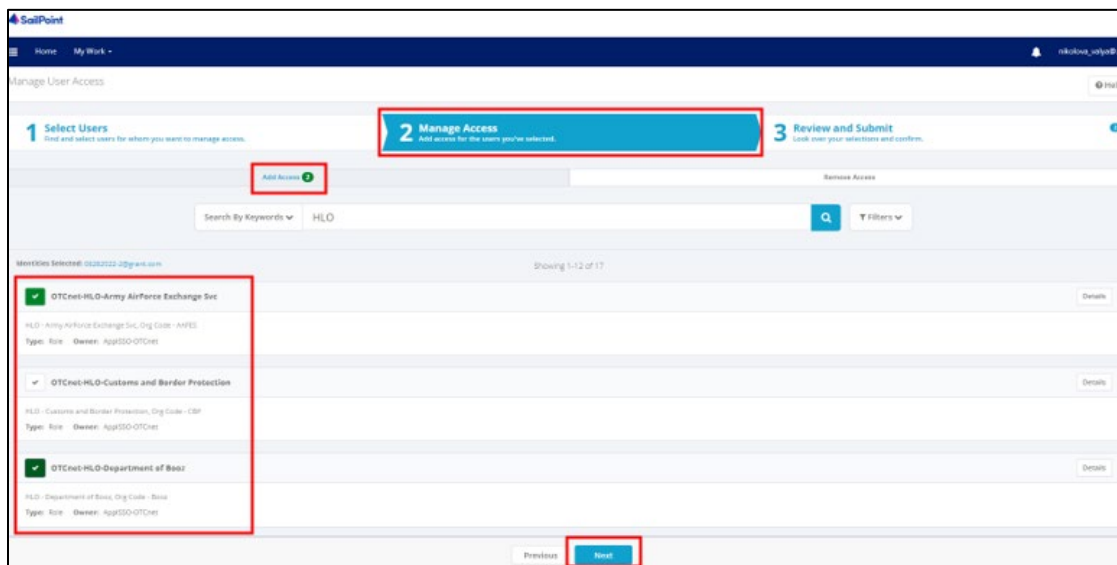


Application Tip

If you are unsure of the **HLO or role** name, simply select the **Magnifying Glass** button to return all roles that you as a requestor are authorized to provision to users.

6. Select an **HLO or role** by selecting the **checkmark** to the left of the **HLO or role** name. Select **Next** at the bottom of the page.

Figure 6: Manage Access/Add Access Screen

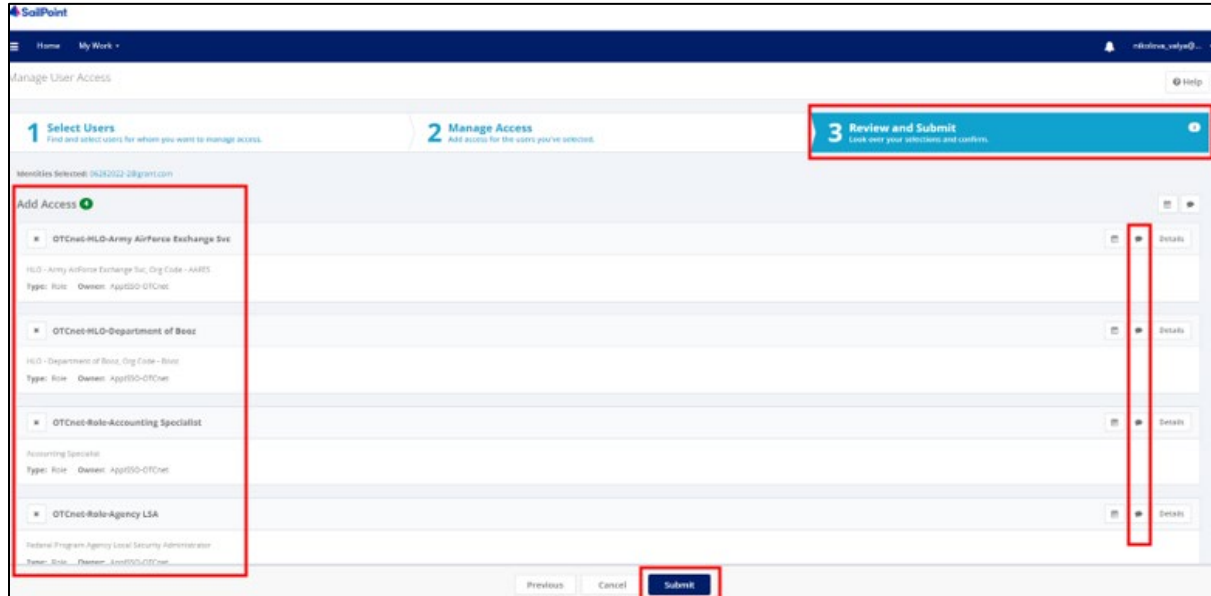


Application Tip

Multiple **HLOs or roles** can be selected.

7. Review the requested **HLOs or role(s)** as shown in Figure 7. Select the **voice bubble** on the right side to add any comments on the **HLO or role**, as needed. Then select the **Submit** button when finished.

Figure 7: Review and Submit Add Access Screen



8. A confirmation message will appear. You will also receive an **e-mail** confirmation. The request is now pending approval.

Remove User Access in SailPoint IIQ

To remove user's access, select **Manage Access** from the main menu, then select **Manage User Access**. Search for the user by typing their **email address** and select the **Search** button. Then select the **checkmark** to the left of the user's **email address** in the returned search result and select **Next**.

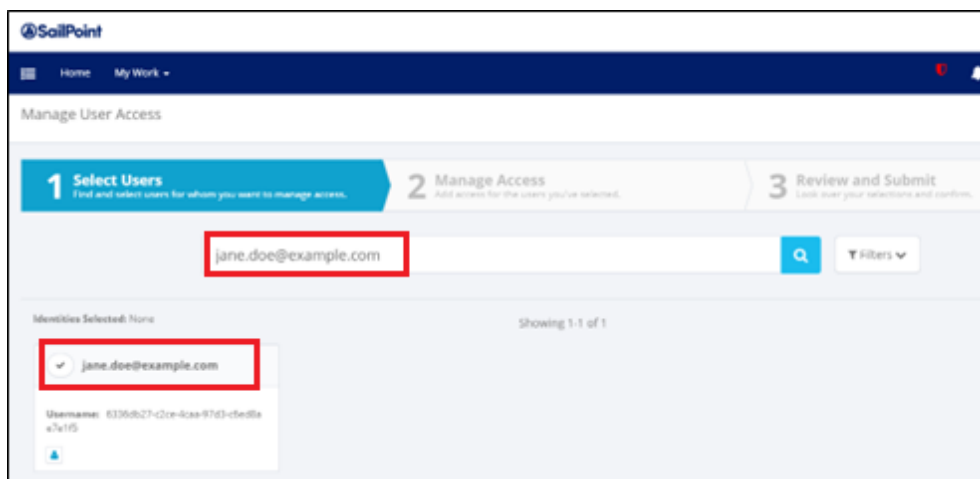
Make sure **Remove Access** is selected and then select the **Magnifying Glass** icon to the right of the text box to return all currently assigned **HLOs or roles** for the selected user. If everything is correct, select the **Submit** button to confirm the changes. If the information is incorrect, select the **Previous** button to modify the removal.

Remove User Access in SailPoint IIQ

To remove OTCnet user access, complete the following steps:

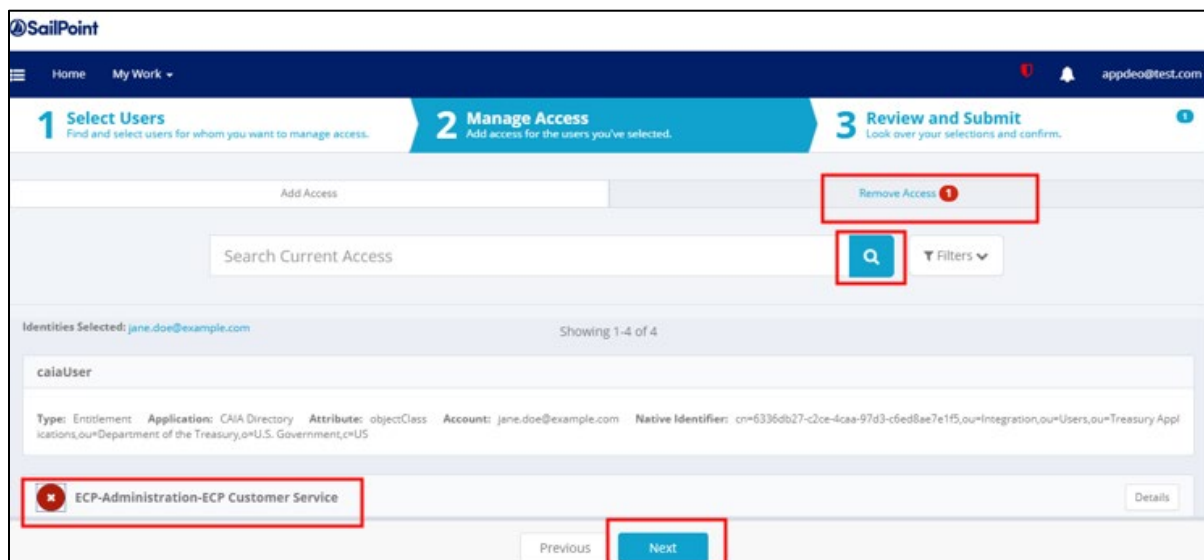
1. At the top left of left of the application, select the **Hamburger Menu** to display the options.
2. Select the **Manage Access** option, then select **Manage User Access**.
3. Search for the user by typing their **email address** and select the **Search** button (blue magnifying glass) as shown in Figure 8.
4. Select the **checkmark** to the left of the user's **email address** in the returned search result, then select **Next** at the bottom of the page.

Figure 8: Search Users Screen



5. Select **Remove Access** as shown in Figure 9. Then select the **Magnifying Glass** icon to the right of the text box to return all currently assigned **HLOs or roles** for the selected user. Select **Next**.

Figure 9: Remove User Access Screen



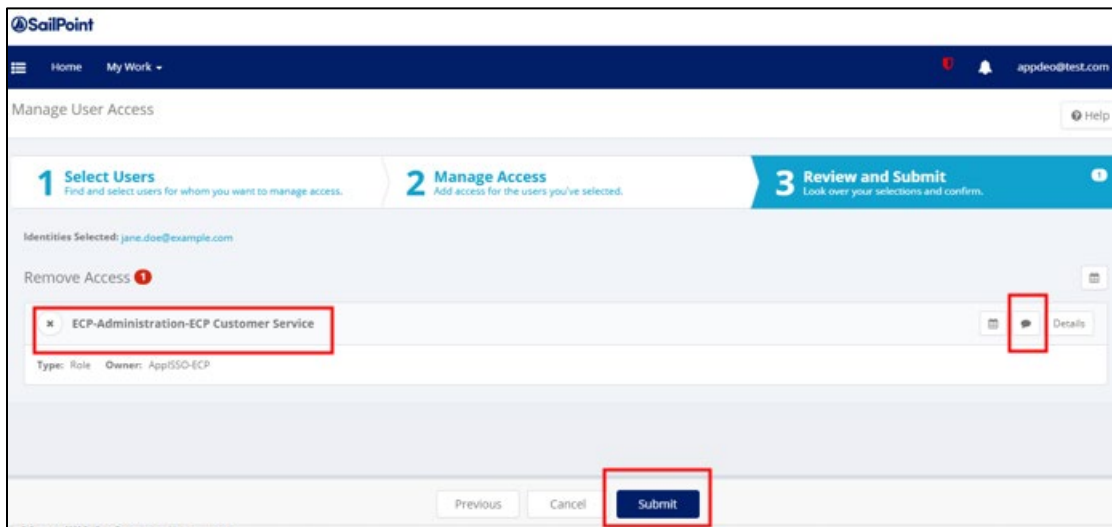


Application Tip

The requestor will only be able to remove **HLOs or roles** that they are authorized to manage.

- Review the information to confirm the removal as shown in Figure 10. You may add any comments using the **voice bubble** on the right side. Then select the **Submit** button to confirm the changes.

Figure 10: Review and Submit Remove Access Screen



Application Tip

If the information is incorrect, select the **Previous** button to modify the removal.

Topic 4 Approving or Denying User Access Requests in SailPoint IIQ

A **PLSA** or **LSA** assigns **HLOs** or **role(s)** to a user, approvers of these requests are determined based on the **HLO** org selections. They are security admins with the same HLO assignments. An approver logs in SailPoint IIQ and approves (or denies) the request(s).

Most actions within SailPoint IIQ will require at least one level of approval.

Approve or Deny User Access Requests in SailPoint IIQ

To approve or deny user access requests, first, notice a **red number notification** next to the **Bell** icon in the upper right-hand corner of the main SailPoint IIQ dashboard. Select the **Approvals** (or **Notifications**) box or the **Approvals** option under the **Bell** icon.

On the right side of the screen containing the details about the request, you will have the option to approve or deny the request. Select **Approve** or **Deny** and you will see a confirmation pop up window.

Approve or Deny User Access Requests in SailPoint IIQ

To approve or deny user access requests, complete the following steps:

1. Notice a **red number notification** next to the **Bell** icon in the upper right-hand corner of the main SailPoint IIQ dashboard as shown in Figure 11.

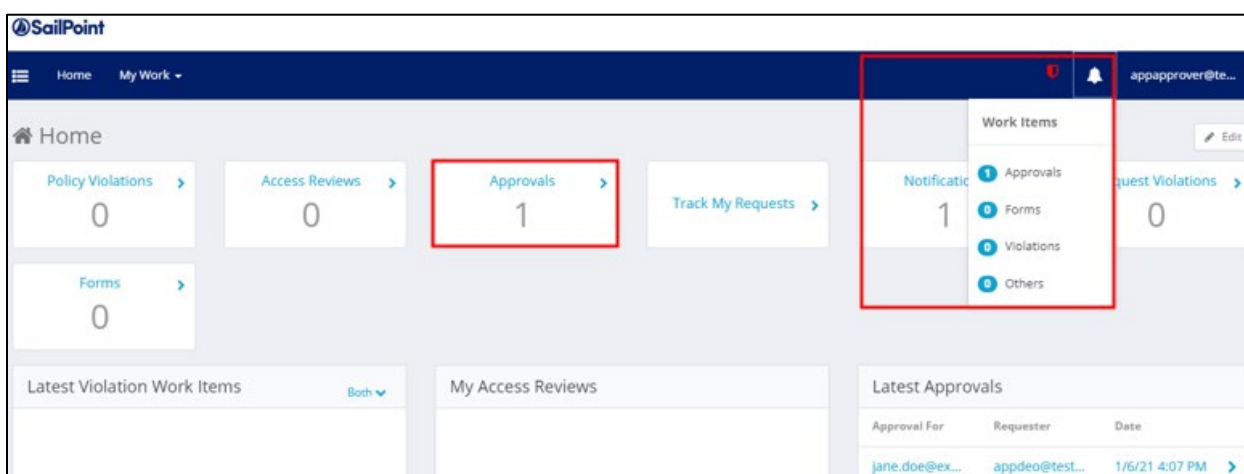


Application Tip

You may also receive an e-mail notification about the approval request.

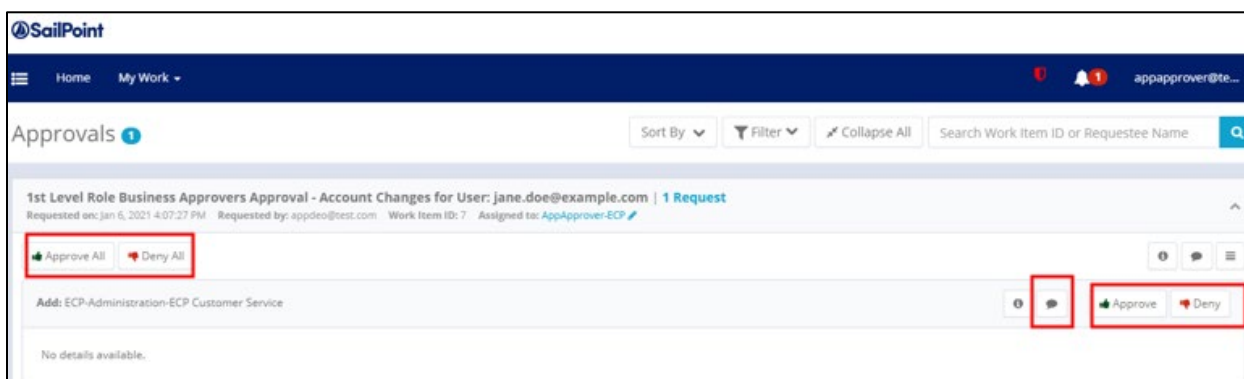
2. Select the **Approvals** (or **Notifications**) box, or the **Approvals** option under the **Bell** icon on the home page.

Figure 11: Approval Awaiting the Approver's Action Screen



3. You will be redirected to a screen containing the details about the request as shown in Figure 12.
4. Add any comments using the **voice bubble** on the right side of the screen. Then select the **Approve** or **Deny** buttons. A confirmation pop up window will appear.

Figure 12: Approve or Deny Screen



**Application Tip**

You may select **Approve All** or **Deny All** buttons on the left if you want to approve or deny multiple requests.

**Application Tip**

If the first level approver denies the request, any additional levels of approval will not occur.

Topic 5 Importing User Identity to OTCnet

Security administrators (PLSAs and LSAs) will import the **email address** of a new user to OTCnet so that a user can be added to the OTCnet database without having to wait for the user to login.

Import User Identity to OTCnet

From the **OTCnet Home page>Administration>Manage Users**, select the **Import OTCnet User Identity** tab. On the **Import OTCnet User Identity** page, enter one or more **email addresses** of the users (separated by a space, comma, semicolon, or a new line) whose identity will be imported and select the **Import User** button.

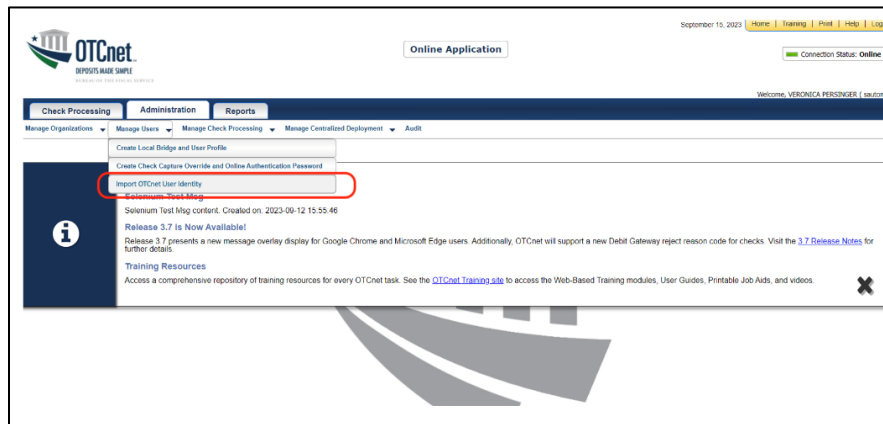
A confirmation page displays alerting you that the user identity has been imported and/or if there are errors. Select the **OK** button on the confirmation page to return to the OTCnet homepage or the **Fix Errors and Reimport** button to navigate back to the importing OTCnet user page to fix the errors.

Import User Identity to OTCnet

To import OTCnet user identity to OTCnet, complete the following steps:

1. From the **OTCnet Home page**>**Administration**>**Manage Users**, select the **Import OTCnet User Identity** tab as shown in Figure 13.

Figure 13: Import OTCnet User Identity



2. On the **Import OTCnet User Identity** page, enter one or more **email addresses** of the users (separated by a space, comma, semicolon, or a new line) whose identity will be imported.
3. Then select the **Import User** button as shown in Figure 14.

Figure 14: Enter User's Email Address to Import User

 A screenshot of the 'Import OTCnet User Identity' page. The breadcrumb trail at the top reads 'Location: Home > Administration > Manage Users > Import OTCnet User Identity'. The page title is 'Import OTCnet User Identity'. Below the title, there is a message: 'Users must be setup in SailPoint and assigned to HLO(s) before they can be imported to OTCnet. Please enter the users' email address(es) separated by space, comma, semicolon, and/or new line to import the user identity.' Below this message is a text input field labeled 'Email Address(es):'. At the bottom right of the form area, there are two buttons: 'Cancel' and 'Import User', with the 'Import User' button highlighted by a red rectangle. At the bottom of the page, there is a footer with links for 'Rules of Behavior', 'Privacy Statement', 'Accessibility Statement', 'Contact', 'Text Version', and 'About', along with the Bureau of the Fiscal Service logo.

Topic 6 Adding or Removing an Endpoint/Role for a User in OTCnet

There are 2 types of user provisioning access requests in OTCnet:

- Adding an endpoint/role
- Removing an endpoint/role

In OTCnet, **PLSA/LSA** users log in to select specific **endpoint(s)/role(s)** for fine-grained access under the HLO(s) and role(s) selected and approved in SailPoint IIQ for a user.

Add an Endpoint/Role for a User in OTCnet

To add an **endpoint/role** for an OTCnet User, select the **Search User Directory** button from the **OTCnet Home page>Administration>Manage Users>Manage OTCnet Users** screen. In the search field, type the user **email address**. Then under **Manage User Account**, select **View Account**.

From the **Manage User Account** screen, select the **Add Endpoint/Role** button. From the **Add Endpoint/Role** screen, select a **role** from the **Choose a Role** dropdown. Then select the associated **level(s)** from the dropdown options. There can be many levels to select depending on the HLO/endpoint hierarchy. Finally, select the **Submit** button to submit your request. Review the confirmation page that appears and select the **OK** button to return to the **Manage OTCnet Users** home screen.

13. Then select the associated **level(s)** from the dropdown options (each one is based on the previous selection and may be prepopulated). There can be many levels to select depending on the HLO/endpoint hierarchy.
14. As needed, add another role by selecting the **Add Role** button to select a different role. Once you select a role, it will be added to the *Selected Role at Endpoint* field as illustrated in Figure 18.



Application Tip

You can select up to **10 roles** per request. After 10 role additions, the **Add Role** button is disabled. To add additional roles, you must repeat the process by submitting a new request.

Figure 18: Add Endpoint/Role Screen

The screenshot shows the 'Manage User Account' interface for user FAKEY MCFAKERSON. It includes fields for Email Address, OTCnet User ID, and HLO(s). Below these are two tables: 'Assigned Endpoint' and 'Assigned Role at Endpoint'. At the bottom, there is a dropdown menu for 'Choose a Role' (currently showing 'MVD Viewer') and a table for 'Selected Endpoint' and 'Selected Role at Endpoint'. The 'Add Role' button is highlighted with a red box.

Assigned Endpoint	Assigned Role at Endpoint
DOa25	Accounting Specialist
#Browns	Agency LSA

Selected Endpoint	Selected Role at Endpoint	Delete
0-A-S3	MVD Viewer	Delete
All Federal Agencies	MVD Viewer	Delete

15. When you selected all roles needed, select the **Submit** button to submit your request.
16. The confirmation page after submitting an endpoint/role request and it is awaiting approval appears as shown in Figure 19.
17. Select the **OK** button to return to the **Manage OTCnet Users** screen.

Figure 19: Confirmation Screen on Adding Endpoint/Role Request Submitted

Confirmation

Your request has been submitted, and it is awaiting approval. You will be notified via email when it is rejected or approved.

Request Type: Access Approval

Request ID #: 307

Request Description: OTC Endpoints and roles were added to the user's account.

Requestee: Richard Grayson

Selections	
Assigned Endpoint	Assigned Role at Endpoint
CN - CaliforniaNevada	Check Capture Administrator
CN - CaliforniaNevada	Card Operator
FWS NE Regl Ofc	Check Capture Operator
FWS Valley Stream	Check Capture Operator

Time Submitted: Sept 20, 2022 2:30 PM EDT

OK

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BUREAU OF THE Fiscal Service



Application Tip

You will be notified via e-mail when the request is approved or rejected by another PLSA/LSA.

Remove an Endpoint/Role for a User in OTCnet

To remove an endpoint/role for OTCnet User, select the **Search User Directory** button from the **OTCnet Home page>Administration>Manage Users>Manage OTCnet Users** screen. In the search field, type the user **email address**. Then under **Manage User Account**, select **View Account**.

From the **Manage User Account** screen, select the **Remove Endpoint/Role** button. From the **Select an Endpoint and Role to Remove** screen, select the **Delete** checkbox next to the specific **Assigned Endpoint** or **Assigned Role at Endpoint** item. Then select the **Submit** button to submit your request. Review the confirmation page that appears and select the **OK** button to return to the **Manage OTCnet Users** home screen.

Remove an Endpoint/Role for a User in OTCnet

To remove an endpoint/role for OTCnet User, complete the following steps:

1. From the **OTCnet Home page**>**Administration**>**Manage Users**>**Manage OTCnet Users** screen, select the **Search User Directory** button.
2. From the **Search User Directory** screen, type the user **email address** in the search field.
3. Under **Manage User Account**, select **View Account**.
4. The **Manage User Account** screen displays as shown in Figure 20. Review the read-only information including the current endpoint/role assignments listed for the user.
5. Select the **Remove Endpoint/Role** button.

Figure 20: Manage User Account Screen

Assigned Endpoint	Assigned Role at Endpoint
All Federal Agencies	HLAS

6. The **Select an Endpoint and Role to Remove** screen displays as show in Figure 21.
7. Select the **Delete** checkbox next to the specific **Assigned Endpoint** or **Assigned Role at Endpoint** item.



Application Tip

You can select multiple checkboxes to remove multiple assigned endpoints/roles.

8. Then select the **Submit** button to submit your request.

Figure 21: Select an Endpoint and Role to Remove Screen

Manage User Account Manage OTCnet Users Home

FAKEY MCFAKERSON

Email Address: noname00@gmail.com
 OTCnet User ID: nname00
 HLO(s): #Browns
 DOa25

Assigned Endpoint	Assigned Role at Endpoint
DOa25	Accounting Specialist
#Browns	Agency LSA

Select an Endpoint and Role to remove.

Delete	Assigned Endpoint	Assigned Role at Endpoint
<input type="checkbox"/>	DOa25	Accounting Specialist
<input type="checkbox"/>	#Browns	Agency LSA

9. The confirmation page about removing an endpoint/role request being submitted and awaiting approval appears as shown in Figure 22.
10. Select the **OK** button to return to the **Manage OTCnet Users** screen.

Figure 22: Confirmation Screen on Removing Endpoint/Role Request Submitted

Administration | Reports

Manage Users | Audit

Manage User Account Manage OTCnet Users Home

Confirmation

Your request has been submitted, and it is awaiting approval. You will be notified via email when it is rejected or approved.

Request Type: Remove Endpoint/Role
 Request ID #: 311
 Request Description: OTC Endpoints and roles were added to the user's account.
 Requestee: Jason Todd

Removed Endpoint	Role at Removed Endpoint
FWS NE Regl Otc	Check Capture Operator

Time Submitted: Sept 20, 2022 2:30 PM EDT

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Application Tip

You will be notified via e-mail when the request is approved or rejected by another PLSA/LSA.

Topic 7 Approving or Rejecting an Endpoint/Role (or a Removal of an Endpoint/Role)

In OTCnet, approvers are determined based on the **endpoint** selections.

- Access request is sent to all **PLSAs** and **LSAs** at the same level or above the selected endpoints within the same hierarchy.
- An approver logs in and approves (or rejects) the request submitted.

As a **PLSA** or **LSA** you are authorized to approve or reject endpoint/role (or the removal of endpoint/role) for OTCnet user. You can approve or reject a request *after* another **PLSA** or **LSA** within the same OTC endpoint or hierarchy generates the request (adds or removes an endpoint/role for a user in OTCnet).

After approving the request, the user for which the OTCnet request applies, receives an email notification containing information about the approval of the request. If you reject the request, the **PLSA** or **LSA** who created the request receives a notification of the rejection.

Approve or Reject an Endpoint/Role (or a Removal of an Endpoint/Role)

To approve or reject an endpoint/role, you will log in to OTCnet and select **Administration>Manage Users>Manage OTCnet Users** from the home page. You will notice your **Pending Requests** list. Select the **View Details** link to view a specific request. Review the read-only information and enter any approval or rejection comments in the **Approver Comments** field. Select the **Approve** or **Reject** button. Review the read-only information on the confirmation page and select **OK** to return to the **Manage OTCnet Users** page.

To approve or reject a **removal** of an endpoint/role, follow the same process and steps as for approving or rejecting of an endpoint/role request, starting with selecting the **View Details** link from the **Manage OTCnet Users** page for a **Remove Endpoint/Role** type of request.

Approve or Reject an Endpoint/Role (or a Removal of an Endpoint/Role)

To approve an **endpoint/role** for OTCnet user, complete the following steps:

1. Log in to OTCnet and from the **Administration** tab, select **Manage Users**, and then **Manage OTCnet Users**.
2. From the **Manage OTCnet Users** screen, notice the **Pending Requests** list (**Your To-Do list**) as shown in Figure 23.



Application Tip

- For each request, notice the **Request Type**, **Time Due**, and **Requestee**.
- Notice 2 request types, for **Access Approval** and **Remove Endpoint/Role**. Each selection will take you respectively to the appropriate workflow for access approval or access removal.

3. Select the **View Details** link for a specific **access approval** request.

Figure 23: Manage OTCnet Users Screen

ID #	Request Type	Time Due	Requestee	View Request
320	Remove Endpoint/Role	2022-11-07	Unser West	View Details
231	Remove Endpoint/Role	2022-11-06	Sam Torrence	View Details
493	Access Approval	2022-11-03	Thy Highland	View Details
790	Remove Endpoint/Role	2022-11-03	William Peter	View Details
490	Access Approval	2022-11-02	John Carre	View Details
440	Remove Endpoint/Role	2022-11-02	Tom Drake	View Details
497	Access Approval	2022-11-02	Mary Dole	View Details
123	Access Approval	2022-11-02	Jerry Moore	View Details
342	Access Approval	2022-11-02	Gary Su	View Details
345	Access Approval	2022-11-02	Tommy York	View Details

4. The **Access Approval Request** screen displays as shown in Figure 24.
5. Review the read-only information and enter any approval or rejection comments in the **Approver Comments** field.



Application Tip

- If you reject the request, you **must** provide comments in the specified field. Otherwise, you will get an error message and will not be able to continue until you provide comments.
- You can enter a **maximum** amount of 4000 characters.

6. Select the **Approve** or **Reject** button.

Figure 24: Access Approval Request Screen

The screenshot displays the 'Access Approval Request 800' screen. At the top right is a link for 'Manage OTC User Home'. The main heading is 'Step 1 of 2: Review User Request'. Below this is a instruction: 'Please review the request below. If approved, you will be directed to the confirmation page. If rejected, please include comments before submitting. The requestor will be notified of your decision after you have completed all steps.'

The request details are as follows:

Request Type:	Access Approval
Request ID #:	800
Request Description:	OTC Endpoints and roles were added to the user's account
Requestor:	Auto Testten
Requestee:	Name, Last Name

Below the details are two tables:

Current Endpoint/Role Assignments	
Assigned Endpoint	Assigned Role at Endpoint
NIST	Deposit Approver

Selections for Review	
Assigned Endpoint	Assigned Role at Endpoint
Cost Accounting Section	MVD Viewer

Submission and due dates are shown below:

Time Submitted:	Aug 23, 2023 04:47 PM EDT
Time Due:	Sep 01, 2023 04:47 PM EDT

At the bottom, there is a text area for 'Approver Comments' with a 'Max 4000 Characters' limit and a '4000 Characters Remaining' indicator. At the bottom right, there are three buttons: 'Approve' (green), 'Reject' (red), and 'Cancel' (grey).



Application Tip

- Selecting **Cancel** will cancel the approval process.
- If you select **Reject**, you will get a notification: "Are you sure if you want to reject this request?" Select **Reject** or **Cancel**.

7. A confirmation page about the approval/rejection of the access request will display as shown in Figure 25.
8. Review the read-only information and select **OK** to return to the **Manage OTCnet Users** page.

Figure 25: Confirmation Screen on Approval/Rejection of the Access Request

Access Approval Request 308

Step 2 of 2: Confirmation

The following user request has been rejected. The requestor has been notified.

Request Type:	Access Approval
Request ID #:	308
Request Description:	Roles and/or OTC Endpoints were added to the user's account.
Requestor:	LSA Alfred Pennyworth
Requestee:	Timothy Drake

Selections for Review	
Assigned Endpoint	Assigned Role at Endpoint
CN – CaliforniaNevada	Check Capture Operator
CN – CaliforniaNevada	Card Operator
FWS NE Regl Ofc	Check Capture Operator
FWS Valley Stream	Check Capture Operator

Time Submitted:	Sept 20, 2022 2:30 PM EDT
Time Due:	Sept 29, 2022 2:30 PM EDT

Approver Comments: Lorem ipsum dolor sit amet, consectetur adipiscing elit. Asnean euismod bibendum laoreet. Proin gravida dolor sit amet lacus accumsan et viverra justo commodo. Proin sodales pulvinar tempor. Cum sociis natoque penatibus et magnis dis parturient montes, nascetur ridiculus mus.

Approver Name:	PLSA Bruce Wayne
Time Rejected:	Sept 22, 2022 9:00 AM EDT

OK

Rules of Service | Privacy Statement | Access to Statement | Contact Us | Help | About



Application Tip

Requestors will be notified via e-mail when a request is approved or rejected.



Application Tip

- To approve or reject a **removal** of an endpoint/role, follow the same process and steps as for approving or rejecting an endpoint/role request.
 - Start with selecting the **View Details** link from the **Manage OTCnet Users** page for a **Remove Endpoint/Role** request.
 - Refer to Figure 20 for more information.
-

Summary

In this chapter, you learned how to:

- Manage user accounts
- Create an identity for a user in SailPoint IIQ
- Add or remove user access in SailPoint IIQ
- Approve or deny user access requests in SailPoint IIQ
- Import user identity to OTCnet
- Add or remove endpoint/role for a user in OTCnet
- Approve or reject an endpoint/role (or a removal of an endpoint/role) in OTCnet



Chapter 4. Managing Your Agency's Hierarchy, Accounting Codes and Processing Options

OTCnet Participant User Guide

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Glossary

Click this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

Welcome to *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

Topics

The topics in this chapter include the following:

1. The Purpose of the Organizational Hierarchy
2. Creating an Organizational Hierarchy
3. Managing the Organizational Hierarchy
4. Managing Accounting Codes
5. Managing Processing Options

Audience

The intended audience for the *Managing Your Agency's Hierarchy Participant User Guide* varies by system. Note the intended audience, by system, you are capturing or processing on:

Deposit Processing

- Accounting Specialist
- Local Accounting Specialist
- Viewer (View the organization's hierarchy endpoint only)

Check Capture and Check Processing

- Check Capture Administrator
- Check Capture Supervisor

- Check Capture Lead Operator

Card Processing

- Card Administrator
- Card Operator (View the organization's hierarchy endpoint only)

Topic 1 The Purpose of the Organizational Hierarchy

As your Agency's **Accounting Specialist (AS)**, **Local Accounting Specialist (LAS)**, **Check Capture Administrator (CCA)**, **Check Capture Supervisor (CCS)** and **Card Administrator (CA)** you are responsible for identifying and maintaining the organizational structure for your Agency's deposits, check capture, and card processing settings. This organizational structure is called a hierarchy.

Creating a hierarchy accomplishes the following:

- Describes the relationships and reporting structures between **OTC Endpoints** (i.e., locations) within your organization that process check transactions, create deposits, submit deposits or that process card transactions, in OTCnet.
- Defines the content of the reports that individuals may run based on their **OTC Endpoints** within the hierarchy.
- Enables staff to process check transactions, create deposits, submit deposits, process card transactions and pull reports on all appropriate **OTC Endpoints** within the organization.

Work with your management to determine your desired hierarchy. Use the OTCnet tools, provided in this document to define your OTCnet hierarchy. The organizational hierarchy you create allows for the following:

- **Deposit Preparers** may create deposits from specific **OTC Endpoints**
- **Check Capture Operators** may scan checks
- **Card Operators** may process payments via credit card, debit card and gift card payments

You are responsible for indicating which hierarchy locations are **OTC Endpoints**, and how deposits at **OTC Endpoints** should be handled. The following describes the label that appears next to the endpoint and the endpoint types, in OTCnet.

- **TGA** – denotes a **Deposit Processing** endpoint
- **CHK** – denotes a **Check Capture** endpoint
- **CDC** – denotes a **Card Processing** endpoint
- **M** – denotes a **Mapped Accounting Code**

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 multiple lower levels in your hierarchy, as needed, with multiple **OTC Endpoints** in each level.

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, check transaction or card transaction has been made. You may not delete an **OTC Endpoint** once a deposit, check or card transaction has been made from that **OTC Endpoint**.

OTC Endpoints may not be deleted after a deposit, check or card 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. Card Processing Endpoints can also be neutralized.

Your organization's hierarchy is accessible by clicking **Administration** and the **Manage Organization** menu option.

Create an OTC Endpoint

The **Accounting Specialist, Local Accounting Specialist, Check Capture Administrator, Check Capture Supervisor** and **Card Administrators** can add endpoints.

To add an OTC Endpoint from the highest level of an organizational hierarchy, select your organization's OTC Endpoint check the **Add lower levels to this OTC Endpoint** checkbox.

Information on **Short Name** and **Description** includes:

- 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. Additionally, if non-standard ASCII characters are entered, you cannot manage OTC Endpoints (select endpoints) in OTCnet Online or OTCnet Offline. Instead, an error message appears suggesting you contact Customer Support.

Create an OTC Endpoint

To add an OTC Endpoint from the highest organization hierarchy, complete the following steps:

1. From the **Administration** tab, select **Manage Organization>Organization Hierarchy>Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears.
2. Select your OTC Endpoint from the list. The *Step 2 of 3: Update OTC Endpoint Information* page appears. View details for **Add lower levels to this OTC Endpoint** checkbox as shown in Figure 1.
3. Check the **Add lower levels to this OTC Endpoint** checkbox.
4. Enter the lower level OTC Endpoint's **Short Name(s)** and **Description(s)** and click **Next**.



Application Tip

- In the table that appears, add new **OTC Endpoints** that fall in the level under the current **OTC Endpoint**.
- **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).

Figure 1. 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: TTTL - Training Team Top Level -00002099
 * Denotes required fields.

General

Short Name* Max 10 alpha-numeric characters

Description*

Allow OTC Endpoint to create deposits for over-the-counter collections

Check Cashing Policies

Data Privacy

Enable Check Capture

Enable Card Processing

Add lower levels to this OTC Endpoint

Short Name*	Description*
<input type="text" value="LL1"/>	<input type="text" value="Lower Level 1"/>
<input type="text" value="LL2"/>	<input type="text" value="Lower Level 2"/>
<input type="text" value="LL3"/>	<input type="text" value="Lower Level 3"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Advanced Administration

Special Designation

5. 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 presenting the modified OTC Endpoint (and verifies the added lower level OTC Endpoint).



Additional Buttons

- Click **Add More Lines** to add additional lower levels to this endpoint.
 - Click **Cancel** to return to the OTCnet Home Page. No data is 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 **Accounting Specialists, Local Accounting Specialists, Check Capture Administrators, Check Capture Supervisors** and **Card Administrators** 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:

- Adding a lower level to existing an OTC Endpoint
- Modifying an OTC Endpoint Information
- Deleting an OTC Endpoint
- Viewing an OTC Endpoint

Before a user is provisioned to a deposit processing OTC Endpoint (**TGA**), ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** checkbox is checked. Before a user is provisioned to a check capture OTC Endpoint (**CHK**), ensure the **Enable Check Capture** checkbox is checked. Before a user is provisioned to a card processing OTC Endpoint (**CDC**), ensure the **Enable Card Processing** checkbox is checked.

Required fields for **Enable Card Processing** include **Chain Code, Division, ALC, Merchant ID, Address, Signature Capture** and **Return Policy**.

If the **Allow OTC Endpoint to create deposits for over-the-counter collections** checkbox, the **Enable Check Capture** checkbox and **Enable Card Processing** checkboxes are not checked when modifying OTC Endpoint Information, you cannot provision the user to the appropriate OTCnet Endpoint.

Add a Lower Level to an Existing OTC Endpoint

Accounting Specialists, Local Accounting Specialists, Check Capture Administrators, Check Capture Supervisors and **Card Administrators**, can add as many levels to your Agency hierarchy as needed, each with as many required OTC Endpoints.

To add a lower level to an existing OTC Endpoint, select your OTC Endpoint. Check the **Add lower levels to this OTC Endpoint** checkbox to add lower levels to the existing endpoint. Enter **Short Name** and **Description** fields for all **OTC Endpoints** in the next lower level. Verify the OTC Endpoint details are correct. Click **Submit**. A *Confirmation* page appears presenting the OTC Endpoint that has been modified (added). Verify the OTC Endpoint details are correct.

Add a Lower Level to an OTC Endpoint

To add a lower level to an OTC Endpoint, complete the following steps:

1. From the **Administration** tab, select **Manage Organization>Organization Hierarchy>Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears.
2. Select an OTC Endpoint from the list that appears. The *Step 2 of 3: Update OTC Endpoint Information* page appears.
3. Check the **Add lower levels to this OTC Endpoint** checkbox to add lower levels to the existing endpoint as shown in **Error! Reference source not found.. Short Name** and **Description** text boxes appear.
4. Enter **Short Name** and **Description** fields for all the **OTC Endpoints** in the next lower level. When you have finished, click **Next**.

Figure 2. Step 2 of 3: Short Name and Description for 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: TTTL - Training Team Top Level -00002099
 * Denotes required fields.

General

Short Name* Max 10 alpha-numeric characters
 LL1C x

Description*
 Lower Level 1C

Allow OTC Endpoint to create deposits for over-the-counter collections

Check Cashing Policies

Data Privacy

Enable Check Capture

Enable Card Processing

Add lower levels to this OTC Endpoint

Short Name*	Description*
LL1C1	Lower Level 1C1

Add More Lines

Advanced Administration

Special Designation

Previous **Cancel** **Next**

5. Verify the OTC Endpoint details are correct and click **Submit**. A *Confirmation* page appears presenting the modified OTC Endpoint.



Additional Buttons

- Click **Add More Lines** to add additional lower levels to this endpoint.
 - Click **Cancel** to return to the OTCnet Home Page. No data is saved.
 - Click **Previous** to return to the previous page.
 - Click **Return Home** to return to the OTCnet Home Page.
-

Modify OTC Endpoint Information

Accounting Specialists, Local Accounting Specialists, Check Capture Administrators, Check Capture Supervisors and **Card Administrators** are authorized to modify the **Short Name** or **Description** of an existing OTC Endpoint, enable the OTC Endpoint to create deposits (indicated with **[TGA]**), capture checks (indicated with **CHK**), process card transactions (indicated with Card Debit Card or **CDC**), or add a lower level to the OTC Endpoint.

Similarly, any **CDC** endpoint that is also a **TGA** and/or **CHK** endpoint, requires a card processing role with permission to modify an organization (e.g., **Card Administrator**).

To modify endpoint information settings for an OTC Endpoint with **TGA**, **CHK** and **CDC**, the user must have **Accounting Specialist, Check Capture Administrator, Check Capture Supervisor** and **Card Administrator** privileges.

Additional Information for modifying the OTC Endpoint information includes:

- 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. Additionally, if non-standard ASCII characters are entered, you cannot manage OTC Endpoints (select endpoints) in OTCnet Online or OTCnet Offline. Instead an error message appears asking that Customer Support is contacted.
- 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.
- **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 is automatically assigned to your OTC Endpoint.
- **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, Note** and **Mask PII** are checked as **Blocked**. If checkbox 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.
- **Enable Card Processing** options are defined as the following:
 - A **Chain Code** is an alphanumeric designator (e.g. 0F123B) assigned by WorldPay to reflect unique channel of card processing. A Chain Code is required for initial setup with lower level endpoints and once the Chain Code is saved, the Chain Code

Chapter 4. Managing Your Agency's Hierarchy, Accounting Codes and Processing Options

cannot be changed. An agency can have multiple Chain Codes, but no two agencies will have the same Chain Code.

- A **Division** is a three-digit value assigned at lower level endpoints under the chain code to designate unique lines of accounting. The Division code for all OTC Endpoints is any value from 001 to 999.
- The **Agency Location Code (ALC)** is required for initial setup and once the ALC is saved it cannot be changed. If an endpoint is adding the card processing functionality to an existing TGA or CHK endpoint, the ALC will already be populated.
- The **Merchant ID** is a unique alphanumeric designator, received from CAS, and reflects the card processing location. An ALC is associated with multiple merchant IDs; however, each merchant ID must be unique for each lower level endpoint. The Merchant ID field may contain up to 13 characters.

Once the **Chain Code**, **Division**, **ALC**, and **Merchant ID** are saved, they will grey out and cannot be changed. If any of these details need to be changed, a new endpoint must be created, and the information will need to be added again.

- If the **Signature Capture** checkbox is checked, the customer's signature, the "*I agree to pay the above total amount in accordance with the card issuer's agreement*" message will appear on your agency's sales receipts and the "*I agree that I have received a refund for the amount stated above*" message appears on your agency's refund receipts. By default, the **Signature Capture** checkbox is unchecked.
- A **Return Policy** indicates the agency's return policy for card transactions, it is stored in the system and generated on receipts as mandated by the Treasury Financial Manual. The default return policy choice is **None**. Selecting a **Return Policy** is optional and does not apply to all endpoints (e.g. where the card user is not purchasing an item, but only paying fee/payment a return policy is not required) appears on receipts.

Return Policy choices include:

- NO REFUND, ALL SALES FINAL – For any agency that does not accept merchandise in return or exchange and does not issue refunds to cardholders.
 - EXCHANGE ONLY – For any agency that only accepts merchandise in immediate exchange for similar merchandise of a price equal to the amount of the original transaction.
 - IN-STORE CREDIT ONLY – For any agency that accepts merchandise in return and delivers to the cardholder an in-store credit equal to the value of the merchandise returned that may be used only in the agency's place (s) of business.
 - REFUNDS ONLY AVAILABLE WITHIN 30 DAYS OF SERVICE OR PURCHASE – For any agency that issues refunds to the original credit or debit card within 30 days of purchase or service.
 - Other – The agency is prompted to enter some descriptive text outlining their agency's return policy.
 - None – Select if a return policy does not apply to an agency.
- Prior to specifying Debit Gateway, confirmation must be received from the OTCnet Deployment Team to set up each applicable OTCnet Endpoint.

Chapter 4. Managing Your Agency's Hierarchy, Accounting Codes and Processing Options

- **No** indicates that Debit Gateway setup is not complete, and the OTC Endpoint is not ready for performing check capturing activities.
- **Yes** indicates that Debit Gateway setup is complete, and the OTC Endpoint is now ready for performing check capture activities. A notification message appears as a reminder to submit your Agency Site Profile (ASP) for all check capture endpoints. If the ASP is not submitted to the OTCnet Deployment Team, this can prevent transactions from processing. Click OK.
- By default, all agencies will have the **Close Batch** checkbox checked. To close the batch, the user must print the PDF report or export the batch list report.
 - If the **Close Batch** checkbox is unchecked, the user can close the batch without having to print the PDF report or export the batch list report. If the **Close Batch** checkbox is unchecked, the user can close the batch without having to print the PDF report or export the batch list report.
 - By default, all agencies will have the **Approve Batch** checkbox checked. In order to approve the batch, the user must print the PDF report or export the batch list report.
 - If the **Approve Batch** checkbox is unchecked, the user can approve the batch without having to print the PDF report or export the batch list report.
 - If the user is closing or approving multiple batches online and the **Close Batch** or **Approve Batch** checkboxes are checked for any OTCnet endpoint, then the user must print the PDF reports or export the list reports. The batch is not closed or approved until **Confirm** is clicked, which is enabled when the **Print PDF Report** or **Export** is clicked.
 - If the user is closing and/or approving multiple batches online and the **Close Batch** or **Approve Batch** checkboxes are not checked for any OTCnet endpoint, then the user can close and/or approve multiple batches without printing the PDF reports or exporting the list reports. **Confirm** is enabled and the user can click to close and/or approve the multiple batches.
 - If the user is closing and/or approving multiple batches offline, **Confirm** is enabled and the user can close and/or approve multiple batches without needing to print the PDF reports or export the batch list reports. As a best practice, print the PDF reports or export the batch lists prior to closing and/or approving multiple batches.
- If **Special Designation** is selected, a user is able to view which ALCs are CARS Reporters.
 - The CARS 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 Reporter. **No** indicates that the OTC Endpoint is not associated with an ALC that has been designated as a CARS Reporter. If an ALC is identified as a CARS Reporter, entering the Accounting Code information is mandatory. This will apply to all ALC+2 within the hierarchy of the ALC.

Modify OTC Endpoint Information

To modify an OTC Endpoint, complete the following steps:

1. From the **Administration** tab, select **Manage Organizations>Organization Hierarchy>Modify**. The *Step 1 of 3: Select an OTC Endpoint* page appears.



Application Tip

To modify endpoint information settings for an OTC Endpoint with **TGA, CHK and CDC**, the user must have **Accounting Specialist, Check Capture Administrator and Card Administrator** privileges.

2. Select your OTC Endpoint from the list that appears. The *Step 2 of 3: Update OTC Endpoint Information* page appears as shown in **Error! Reference source not found..**
3. Update the OTC Endpoint Information.

To update the **General** details of an OTC Endpoint, complete the following:

- Enter the **Short Name** and **Description** for the OTC Endpoint.

Figure 3. Step 2 of 3: Update OTC Endpoint Information - Collapsed

Modify Organization 1 2

Step 2 of 3: Update OTC Endpoint Information

Update the OTC Endpoint information.

Organization Hierarchy: TTL - 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

Enable Card Processing

Add lower levels to this OTC Endpoint

Advanced Administration

Special Designation



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 allow the OTC Endpoint to create deposits, complete the following:

- Click the **Allow OTC Endpoint to create deposits for over-the-counter collections** checkbox as shown in **Error! Reference source not found..**



Application Tip

Before a user is provisioned to a deposit processing OTC Endpoint (**TGA**), ensure the **Allow OTC Endpoint to create deposits for over-the-counter collections** checkbox is checked.

- Update **Agency Location Code** by completing the following step:
 - Entering the **ALC**
- Update **Address** by completing the following step:
 - Entering the **address** details
- Update **Financial Institution Relationship(s)** by completing the following steps:
 - Selecting both the **Financial Institution** and the associated **Routing Transit Number (RTN)**
 - Entering the **Demand Deposit Account (DDA)** and Retype **DDA** and click **Add**.



Application Tip

To delete the Financial Institution relationship, click the **Delete** checkbox(es) under the **Delete** column.

Figure 4. 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

ALC*

Address

Address Line 1*

Address Line 2

City:*

State / Province*

Postal Code*

Country*

Phone Number

Financial Institution Relationship(s)

Financial Institution RTN

DDA

Retype DDA

Add >>

Financial Institution	RTN	DDA	Delete
Bank of America	111222333	121212	<input type="checkbox"/>

Check Cashing Policies

Data Privacy

Enable Check Capture

Enable Card Processing

Add lower levels to this OTC Endpoint

Advanced Administration

To specify the check cashing policies of the OTC Endpoint, complete the following:

Click the **Check Cashing Policies** checkbox as shown in



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.

Figure 5



Application Tip

If checkbox 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.

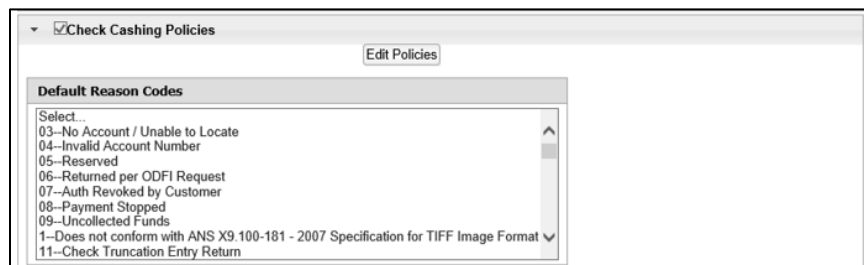
- Add **Default Reason Codes** by completing the following steps:
 - Selecting a default reason code and clicking **Add**, optional. Repeat steps as necessary
- Delete **Assigned Return Reason Code Filters** by completing the following steps:
 - Checking **Delete** box(es) under the **Delete** column, 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.

Figure 5. Default Reason Codes



- Update **Agency Assigned Suspensions** by completing the following steps, *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.
- 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 completing the following steps, *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.
- **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 is automatically assigned to your OTC Endpoint.

To specify the data privacy of the OTC Endpoint, complete the following:

- Click the **Data Privacy** checkbox.
- Update **Data Privacy**:
 - Select 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**, **Note** and **Mask PII** are checked as **Blocked**.

To enable the OTC Endpoint to capture checks, complete the following:

- Click the **Enable Check Capture** checkbox.
- Update **Enable Check Capture** by completing the following steps:
- Enter the **Agency Location Code (ALC+2)**.



Application Tip

- Before a user is provisioned to a check capture OTC Endpoint (CHK), ensure the **Enable Check Capture** checkbox is checked.
 - If checkbox is checked, it indicates that the OTC Endpoint information has been defined.
 - The ALC+2 is required for initial setup. Once the ALC+2 is entered it cannot be updated.
-
- Update **OTC Verification Group** by completing the following steps as shown in Figure 6:
 - 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 clicking **Add Agency Group**

Figure 6. 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 - 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 ABC Headquarters			
Short Name	Description	ALC+2	Delete
LL1	Lower Level 1	0000209901	<input type="checkbox"/>



Application Tips

- By default, the OTC Endpoint **Short Name** displays. Add additional OTC Endpoints to the OTC Verification Group by clicking the **Clear** button to clear the **Short Name** and entering a Short Name, clicking **Search** and clicking **Add Agency Group**.
- Designating an **OTC Verification Group** allows for verification data to be shared among non-related OTC Endpoints. For example, **Lower Level 1** 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.

To enable the **OTC Endpoint** to process card payments, complete the following steps:

- Click the **Enable Card Processing** checkbox



Application Tip

Before a user is provisioned to a card processing OTC Endpoint (**CDC**), ensure the **Enable Card Processing** checkbox is checked.

-
- Update **Enable Card Processing** by completing the following steps as show in Figure 7:
 - Entering the **Chain Code**
 - Entering the **Division**
 - Entering the **ALC**
 - Entering the **Merchant ID**
 - Update the **Address** by entering the address details
 - Designate the Signature Capture by completing the following steps:
 - Checking the **Signature Capture** check box, *optional*
 - Select a **Return Policy** by completing the following steps:
 - Clicking the appropriate card transaction policy radio button for your organization, *optional*.

Figure 7. Enable Card Processing Address, Signature Capture and Return Policy

To add lower level endpoints, complete the following:

- Click the **Add lower levels to this OTC Endpoint** checkbox.
- Update **Add lower levels to this OTC Endpoint** by completing the following steps:
 - 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, complete the following:

- Click **Advanced Administration** as shown in
- Specify **Advanced Administration** by completing the following:
 - Clicking **Yes** or **No** for **Debit Gateway**
View or specify the **Forms Rendered Solution**
 - View the **Report Only Summary Level Data to CIR**
 - View the **Summary Level Classification**



Application Tip

By default, all forms are set to be rendered and viewed in HTML. Under general circumstances, the ActiveX option does not need to be specified. The **Forms Rendered Solution** is read-only and only an HLAS can specify the option to switch between viewing and accessing forms in HTML or ActiveX.



Application Tips

- 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 is 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 are used to process tax data. An unchecked box indicates that detailed level data is transmitted to CIR.
 - 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.
 - 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.
-
- Specify **Batch List Print/Export Required During** options by completing the following:
 - Checking or unchecking the **Close Batch** checkbox
 - Checking or unchecking the **Approve Batch** checkbox
 - View or **Specify Agency Comments**

Figure 8. Advanced Administration

Advanced Administration

Debit Gateway
 Yes No

Forms Rendered Solution
 HTML ActiveX

Report Only Summary Level Data to CIR

Summary Level Classification

Batch List Report Print/Export Required During:
 Close Batch Approve Batch

Note: Users can choose to print/export the batch list report regardless of whether they are required to print/export it at close or approval

Specify Agency Comments:



Application Tips

- 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**.
- 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, complete the following:

- Click **Special Designation** as shown in **Figure 9**

Figure 9. Special Designation

Special Designation	
GWA Reporter ALC	No
Non-appropriated Funds ALC	No



Application Tips

- The CARS 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 Reporter. **No** indicates that the OTC Endpoint *is not* associated with an ALC that has been designated as a CARS Reporter.
-

4. Click **Next**. The *Step 3 of 3: Review OTC Endpoint* page appears.
5. Verify the information is correct and click **Submit**. Click **Edit**, to modify the information entered and return to Step 4.



Additional Buttons

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

Delete or Neutralize an OTC Endpoint

Accounting Specialists, Local Accounting Specialists, Check Capture Administrators, Check Capture Supervisors and Card Administrators are authorized to neutralize an **OTC Endpoint** or delete an **OTC Endpoint**.

Consider the following information on *deleting* an OTC Endpoint:

- You can delete an **OTC Endpoint** if no deposits or check transactions have been made to that endpoint.
- Deleting the **OTC Endpoint** deletes all information associated with the **OTC Endpoint**. This includes deleting deposit information that impacts the reports you run in OTCnet.
- Before deleting an **OTC Endpoint**, All 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.

Consider the following information on *neutralizing* an OTC Endpoint:

- You can neutralize an OTC Endpoint when deposits or check transactions are created for an **OTC Endpoint**.
- Once the OTCnet Endpoint is neutralized, however, deposits or check transactions can no longer be created from that OTC Endpoint. The information from previously created deposits or check transactions can be accessed from OTCnet reporting.
- All 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.

Delete or Neutralize an OTC Endpoint

To delete or neutralize an OTC Endpoint, complete the following steps:

1. From the **Administration** tab, select **Manage Organizations>Organization Hierarchy>Delete**. The *Step 1 of 2: Select the OTC Endpoint(s)* page appears.
2. Select the OTC Endpoints you would like to **Delete** and click **Next** as shown in Figure 10.

Or

Select the OTC Endpoints you would like to Neutralize and click **Next**.

Figure 10. Step 1 of 2: Select the OTC Endpoint(s)

Delete Organization 1

Step 1 of 2: Select OTC Endpoint(s)

Select the OTC Endpoint(s) you would like to delete.

CHK denotes check capture **TGA** denotes deposit processing **CDC** denotes card processing

M denotes mapped accounting code(s)

Organization Hierarchy

Expand All/Contract All

- ▣ TTTL - Training Team Top Level -00002099
- ▣ TTTL - Training Team Top Level -00002099
 - ▣ LL1 - Lower Level 1 - 0000209901 **CHK** **TGA** **M**

Neutralize

Delete

 - ▣ LL1A - Lower Level 1A
 - ▣ LL1B - Lower Level 1B
 - ▣ LL1C - TEST LEVEL 1C

Cancel **Next >>**

3. The *Step 2 of 2: Review OTC Endpoint(s)* page appears. Verify the correct endpoint is marked for deletion or neutralization and click **Submit**.
4. A *Confirmation* page appears confirming the OTC Endpoint was deleted.



Additional Button

Click **Return Home** to return to the OTCnet Home Page.

View an OTC Endpoint

Accounting Specialists, Local Accounting Specialists, Check Capture Administrators, Check Capture Supervisors, Check Capture Lead Operators, Card Administrators and Card Operators are authorized to view an OTC Endpoint.

When the *View OTC Endpoint* page appears, you can verify the following information for the OTC Endpoint:

- **General** information including **Short Name, Description, ALC** and whether the endpoint is **check capture, deposit processing** or **card processing**
- **Address**—including **Address** details
- **Financial Institution Relationships and Active Financial Institution Relationships** including **Financial Institution** and **RTN**
- **Check Cashing Policies** including **Assigned Return Reason Code Filters**
- **Agency Assigned Suspensions** including **Days** and **Occurrence**
- **Agency Verification Policies** including **Include Retired Check Only, Include Expired, Expired Days** and **Agency Verification Policies—Delete**
- **Data Privacy—Agency Available Attributes** including **Attribute Name (Short Name, Account, Mask PII, Bank Routing Number, User Defined Field 1 and Note)** and whether its **Blocked**
- **Check Capture** including the **ALC+2** and **Queue Interface**
- **OTC Verification Current Agency Site Lower Level I** including the **Short Name, Description** and **ALC+2** and whether it should be **Deleted**
- **Card Processing** including the **Chain Code, Division** and **Merchant ID**
- **Lower Levels** including the **Short Name** and **Description**
- **Advanced Administration** including **Debit Gateway, Forms Rendered Solution, Report Only Summary Data to CIR, Summary Level Classification, Batch List Report Print/Export Required at Close Batch, Batch List Report Print/Export Required at Approve Batch** and **Specify Agency Comments**
- **Special Designation** including **GWA Reporter ALC** and **Non-appropriated Funds ALC**

View an OTC Endpoint

To view an OTC Endpoint, complete the following steps:

1. From the **Administration** tab, select **Manage Organizations>Organization Hierarchy>View**. The *View Organization* page appears.
2. Select the OTC Endpoint you would like to view. The *View OTC Endpoint* page appears as shown in Figure 11.

Figure 11. View OTC Endpoint

View Organization

View OTC Endpoint

The following is the current information for the OTC Endpoint.

Organization Hierarchy: TTL - Training Team Top Level -00002099
OTC Endpoint:LL1 - Lower Level 1 -00002099

General	
Short Name	LL1
Description	Lower Level 1
ALC	00002099
OTC Endpoint (TGA)	Yes
OTC Endpoint (CRK)	Yes
OTC Endpoint (CDC)	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
Bank of America	011900445

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	
30	1	
60	2	
90	3	

Agency Verification Policies	
Include Retired Check Only	Yes
Include Expired	Yes
Expired Days	999999
Agency Verification Policies--Delete	No

Data Privacy - Agency Available Attributes	
Attribute Name	Blocked
Short Name	false
Account	true
Mask PII	true
Bank Routing Number	true
User Defined Field 1	true
Note	true

Check Capture	
ALC+2	8000000101
Queue Interface	No

OTC Verification Group Current Agency Site Lower Level 1			
Short Name	Description	ALC+2	Delete
LL1	Lower Level 1	8000000101	No

Card Processing	
Chain Code	OF1234
Division	001
Merchant ID	ap123123123123123123

Lower Levels	
Short Name	Description
LL1A	Lower Level 1A
LL1B	Lower Level 1B
LL1C	Lower Level 1C

Advanced Administration	
Debit Gateway	Yes
Forms Rendered Solution	HTML
Report Only Summary Level Data to CIR	No
Summary Level Classification	No
Batch List Report Print/Export Required at Close Batch	Yes
Batch List Report Print/Export Required at Approve Batch	Yes
Specify Agency Comments	

Special Designation	
GWA Reporter ALC	Yes
Non-appropriated Funds ALC	No

[Previous](#) [Return Home](#)



Additional Buttons

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

Search for an OTC Endpoint

Accounting Specialists, Local Accounting Specialists, Check Capture Administrators, Check Capture Supervisors, Check Capture Lead Operators, Card Administrators and Card Operators can search an OTC Endpoint.

When the *View OTC Endpoint* page appears, you can verify the following information for the OTC Endpoint:

- **General** information including **Short Name, Description, ALC** and whether the endpoint is **check capture, deposit processing** or **card processing**
- **Address**
- **Financial Institution Relationships and Active Financial Institution Relationships** including **Financial Institution** and **RTN**
- **Check Cashing Policies** including **Assigned Return Reason Code Filters**
- **Agency Assigned Suspensions** including **Days** and **Occurrence**
- **Agency Verification Policies** including **Include Retired Check Only, Include Expired, Expired Days** and **Agency Verification Policies—Delete**
- **Data Privacy—Agency Available Attributes** including **Attribute Name (Short Name, Account, Mask PII, Bank Routing Number, User Defined Field 1 and Note)** and whether its **Blocked**
- **Check Capture** including the **ALC+2** and **Queue Interface**
- **OTC Verification Current Agency Site Lower Level I** including the **Short Name, Description** and **ALC+2** and whether it should be **Deleted**
- **Card Processing** including the **Chain Code, Division** and **Merchant ID**
- **Lower Levels** including the **Short Name** and **Description**
- **Advanced Administration** including **Debit Gateway, Forms Rendered Solution, Report Only Summary Data to CIR, Summary Level Classification, Batch List Report Print/Export Required at Close Batch, Batch List Report Print/Export Required at Approve Batch** and **Specify Agency Comments**
- **Special Designation** including **GWA Reporter ALC** and **Non-appropriated Funds ALC**

Search for an OTC Endpoint

To search for an OTC Endpoint, complete the following steps:

1. From the **Administration** tab, click **Manage Organizations>Organization Hierarchy>Search**. The *View Organization* page appears.
2. Select the OTC Endpoint you would like to view. The *View OTC Endpoint* page appears as shown in Figure 12.

Figure 12. Step 2 of 2: View OTC Endpoint

View Organization

View OTC Endpoint

The following is the current information for the OTC Endpoint.

Organization Hierarchy: TTL - Training Team Top Level -00002099
OTC Endpoint:LL1 - Lower Level 1 -00002099

General	
Short Name	LL1
Description	Lower Level 1
ALC	00002099
OTC Endpoint (TGA)	Yes
OTC Endpoint (CHK)	Yes
OTC Endpoint (CDC)	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
Bank of America	011900445

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	
30	1	
60	2	
90	3	

Agency Verification Policies	
Include Retired Check Only	Yes
Include Expired	Yes
Expired Days	999999
Agency Verification Policies--Delete	No

Data Privacy - Agency Available Attributes	
Attribute Name	Blocked
Short Name	false
Account	true
Mask PII	true
Bank Routing Number	true
User Defined Field 1	true
Note	true

Check Capture	
ALC+2	8000000101
Queue Interface	No

OTC Verification Group Current Agency Site Lower Level 1			
Short Name	Description	ALC+2	Delete
LL1	Lower Level 1	8000000101	No

Card Processing	
Chain Code	OF1234
Division	001
Merchant ID	ap123123123123123123

Lower Levels	
Short Name	Description
LL1A	Lower Level 1A
LL1B	Lower Level 1B
LL1C	Lower Level 1C

Advanced Administration	
Debit Gateway	Yes
Forms Rendered Solution	HTML
Report Only Summary Level Data to CIR	No
Summary Level Classification	No
Batch List Report Print/Export Required at Close Batch	Yes
Batch List Report Print/Export Required at Approve Batch	Yes
Specify Agency Comments	

Special Designation	
GWA Reporter ALC	Yes
Non-appropriated Funds ALC	No

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Topic 4. Managing Accounting Codes

OTCnet provides enhanced check capture and deposit reporting functionalities to support the Central Accounting Reporting System (CARS). The CARS objectives include capturing classification information at the earliest possible time, streamlining central accounting and reporting, eliminating burdensome reconciliation, and providing 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 is 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 is 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, visit <http://fms.treas.gov/CARS/index.html>.

Modify Accounting Codes

The **Check Capture Administrator**, **Check Capture Supervisor** and **Accounting Specialist** are authorized to modify an accounting code. They can modify the classification code and description for an accounting code, indicate if it's a Treasury Account Symbol (TAS) and add and delete accounting codes.

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**.

Modify Accounting Codes

To modify an existing accounting code, complete the following steps:

1. From the **Administration** tab, select **Manage Organizations>Accounting Codes>Modify**. The *Step 1 of 3: Select OTC Endpoint* page appears.
2. Select the organization endpoint for the accounting codes you wish to modify. The *Step 2 of 3: Update Accounting Codes* page appears.
3. Under the **New Accounting Codes to be Added** table, enter the accounting code details, 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**.

Update the details by completing the following:

- Clicking the **TAS** checkbox to indicate that the accounting code is a Treasury Account Symbol (TAS), *if applicable*
- Entering details in both the **Agency Accounting Code** and **Description** text boxes as shown in Figure 13
- Checking the **Skip Selected** box to skip saving any of the imported accounting codes

Figure 13. Step 2 of 3: Update Accounting Codes

The screenshot displays the 'Modify Accounting Codes' application window. The title bar reads 'Modify Accounting Codes'. Below the title bar, the page is titled 'Step 2 of 3: Update Accounting Codes'. The main content area contains the following elements:

- A heading: 'Update the list of accounting codes for the organization hierarchy.'
- Organization Hierarchy: TTH1 - Training Team Test Hierarchy
- A note: '* Denotes required fields.'
- A search prompt: 'Enter search criteria for the Accounting Code(s) you would like to view.'
- Search criteria fields:
 - Agency Accounting Code (Starting With): [Text Input]
 - Description (Contains): [Text Input]
 - SAM Validation Status: [Dropdown Menu: - Select Status -]
- Buttons: 'Clear' and 'Search'
- Table of existing codes:

TAS	*Agency Accounting Code	*Description	Validation Status	Delete [Check All / Clear All]
<input type="checkbox"/>	0101010101	Accounting Code 1		<input type="checkbox"/>
<input type="checkbox"/>	0202020202	Accounting Code 2		<input type="checkbox"/>
- Navigation: '<< 1 - 2 >> of 2 Records' (twice)
- Bottom buttons: 'Cancel', 'Add More Lines', and 'Next >' (highlighted in red).

4. The *Step 3 of 3: Review Accounting Codes* page appears. Verify the information is correct and click **Submit**.
5. A *Confirmation* page appears presenting the imported accounting codes. Simultaneously, accounting codes flagged as TAS must be transmitted to the Shared Accounting Module (SAM) to confirm they are valid TAS strings.



Additional Button

Click **Return Home** to return to the OTCnet Home Page.

Import Accounting Codes

The **Check Capture Administrator (CCA)**, **Check Capture Supervisor (CCS)** and **Accounting Specialist (Acc Spec)** are authorized to import accounting codes.

To import an accounting code, the **CCA**, **CCS**, or **Acc Spec** has several options. From the *Import From File* page, they can select the type of accounting code (e.g., CSV File, Fixed File, XML File) they want to import into the system, browse to its location and Import. Next, they can review the accounting codes to be imported into the system and update as needed. Another option is to remove accounting codes before submitting them, by marking them for removal and updating the list of codes.

Details are updated by clicking the **TAS** checkbox to indicate the accounting code is a Treasury Account Symbol (TAS), *if applicable*, entering the details in both the **Agency Accounting Code** and **Description** text boxes and/or checking the **Skip Selected** box to skip saving the imported accounting codes.

Once the accounting codes are successfully imported and the *Confirmation* page appears, simultaneously, the accounting codes flagged as TAS must be transmitted to SAM to confirm that they are valid TAS strings.

Import Accounting Codes

To import an accounting code, complete the following steps:

1. From the **Administration** tab, select **Manage Organizations>Accounting Codes>Import**. The *Step 1 of 4: Select OTC Endpoint* page appears.
2. Select the top-level organization endpoint for which you want to import accounting codes. The *Step 2 of 4: Import from File* page appears.
3. 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.
4. Update the list of accounting codes that are imported into the system and click **Next** as shown in Figure 14.

Figure 14. 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"/>

Check All / Clear All

Cancel Next >

Update the details by completing the following steps:

- Clicking the **TAS** checkbox to indicate that the accounting code is a Treasury Account Symbol (TAS), *if applicable*



Application Tip

Download Treasury Account Symbols (TAS), for import from the Shared Account Module (SAM) site at: <https://www.sam.fms.treas.gov/sampublic/tasbetc.htm>.

- 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
5. The *Step 4 of 4: Review* page appears. Verify the information is correct and click **Submit**.

6. 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.



Additional Button

Click **Return Home** to return to the OTCnet Home Page.

View Accounting Codes

The **Accounting Specialist (Acc Spec)**, **Local Accounting Specialist (LAS)**, **Check Capture Administrator (CCA)**, and **Check Capture Supervisor (CCS)** are authorized to view the active accounting codes available for the organization hierarchy.

To view an accounting code, the **Acc Spec**, **LAS**, **CCA** or **CCS** selects the highest-level organization endpoint accounting code available to view.

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**.

View Accounting Codes

To view an accounting code, complete the following steps:

1. From the **Administration** tab, click **Manage Organizations>Accounting Codes>View**. The *View Accounting Codes* page appears.
2. Select the highest-level organization endpoint accounting codes available to view. The *View Accounting Codes* page appears as shown in Figure 15.

Figure 15. View 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	



Application Tips

- Only active accounting codes available for deposit processing and check processing (if applicable) appear.
- Under the **Active Accounting Code** table, both **Treasury Account Symbols (TAS)** and accounting codes not identified as **TAS** display.
- 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.



Additional Buttons

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 is allocated.

The accounting codes that display on the page are the codes that:

- Meet your search criteria.
- Are not assigned to your OTC Endpoint.

If you do not enter search criteria, all the accounting codes defined for the highest-level organization appear.

Additional information for modifying Endpoint Mapping includes the following:

- 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.
- To remove mappings for an accounting code, check the **Remove** box(es) and click **Update**.
- 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 is displayed to a user if this scenario occurs.

Modify Endpoint Mappings

To map accounting codes to OTC Endpoints, complete the following steps:

1. From the **Administration** tab, select **Manage Organizations>Accounting Codes>Modify OTC Endpoint Mappings**. The *Step 1 of 4: Select OTC Endpoint* page appears.
2. 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**.

3. 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.

4. Assign or remove an accounting code to or from an OTCnet Endpoint as shown in Figure 16.

To **Assign Mappings** to an OTCnet Endpoint, complete the following:

- 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 you must assign
- Click **Next** (Proceed to *Step 3 of 4: Assign Accounting Codes*)

Or

To **Remove Mappings** from an OTCnet Endpoint, complete the following:

- Check the **Remove** box(es) for the accounting codes that you must remove
- Click **Next** (Proceed to *Step 4 of 4: Review Accounting Codes from Endpoint*)

Figure 16. Step 2 of 4 Continued: Search and Assign Accounting Codes

Assign Accounting Codes to OTC Endpoint 1 2 3

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"/>



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)** is available for mapping to an OTC Endpoint.

- 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 Tips

- 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 is displayed to a user if this scenario occurs.

- 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 to Endpoint* page appears. Confirm the information is correct and click **Submit** to remove the accounting code(s) to the OTC Endpoint.

7. A *Confirmation* page appears showing that the accounting codes have been assigned to or removed from the OTC Endpoint.



Additional Buttons

- 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 are authorized to 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 classified at the summary level, containing a failed item.
- **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

The **Accounting Specialist** and **Local Accounting Specialist** are authorized to modify Deposit Processing options. The **Check Capture Supervisor** and **Check Capture Lead Operator** are authorized to modify Check Processing options.

The following items display on the page, Accounting codes:

- Not applied as a debit or credit adjustment to your OTC Endpoint
- That meet your search criteria

If you do not enter search criteria, all accounting codes defined for the highest-level organization appear.

Modify Processing Options

To modify a processing option, complete the following steps:

1. From the **Administration** tab, select **Manage Organizations>Processing Options>Modify**. The *Step 1 of 3: Select Organization Endpoint* page appears.



Application Tips

- Processing options must first be defined for the highest-level organization before any lower level organization's processing options are defined.
- If the processing options are not defined for the highest-level organization, all lower level organization links are disabled.

2. Select the OTC Endpoint for which you want to modify a processing option. The *Step 2 of 3: Define Processing Options* page appears.
3. Modify the processing option(s) and click **Next**.

To modify **Accounting Classifications for Adjustments, Corrections, and Returned Items**, complete the following:



Application Tips

- An accounting code is assigned to both a debit adjustment and credit adjustment.
- Accounting classifications for adjustments apply to **Accounting Specialists, Check Capture Supervisors** and **Check Capture Lead Operators**. Accounting Classifications for corrections and returned items apply to **Check Capture Supervisors** and **Check Capture Lead Operators**.

Update Default Accounting Codes by completing the following:

- 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.
- By default, the first ten accounting codes display, first by ascending special character order, by numerical order and finally 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.

-
- 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 is assigned to debit and credit adjustment, correction, and returned item types.
- 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 completing the following steps:

- 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**, complete the following steps:

Update **Returned Items** by completing the following steps:

- 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 completing the following steps:

- 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**, complete the following steps:

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 completing the following steps:

- 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 completing the following steps:

- 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** as shown in **Error! Reference source not found.**Figure 17 and by completing the following steps:

- 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

Figure 17. 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: 8735 J3 - Military - 00008735J3

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
 Select... v

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

To modify **Transaction History**, complete the following steps:

- 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

4. The *Step 3 of 3: Review the following processing options* page appears. Verify the information is correct and click **Submit**.
5. A *Confirmation* page appears showing which processing options were applied to the organization.



Additional Buttons

- Click **Cancel** to return to the OTCnet Home Page. No data is 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

The **Accounting Specialist** and **Local Accounting Specialist** are authorized to view deposit processing options. The **Check Capture Supervisor** and **Check Capture Lead Operator** are authorized to view check processing options.

When the *View Processing Options* page appears, it presents the custom labels in effect for the organization hierarchy, including the following:

- **Accounting Classifications for Adjustments, Corrections, and Returned Items**
- **Correspondence**
- **Deposit Preparation**
- **Transaction History**

View Processing Options

To view a processing option, complete the following steps:

1. From the **Administration** tab, select **Manage Organizations>Processing Options>View**. The *Select Organization Endpoint* page appears.
2. Select the highest-level organization or any lower level OTC Endpoint to view the processing options.
3. A *View Processing Options* page appears presenting the custom labels in effect for the organization hierarchy as shown in Figure 18.

Figure 18. View Processing Options

The screenshot displays the 'View Processing Options' page for the organization 'Train'. The page is divided into several sections, each with a set of options and a 'Can Descendant Org Modify' checkbox. The sections are:

- Accounting Classifications for Adjustments, Corrections, and Returned Items:** Includes 'Default Accounting Codes' with a table for 'Adjustment Type/Default Accounting Code' (Debit, Credit) and 'Default Accounting Code Usage' (Default based upon Deposit S, Inherit Option from Parent).
- Correspondence:** Includes 'Returned Items' with fields for Organization Name (Train), Attention, Address Line 1 (111 Train St), Address Line 2, City, State/Province, Country, Postal Code, and Contact Phone Number.
- Deposit Preparation:** Includes 'ITGA Deposit Creation' with options for 'Allow OTC Endpoint to create foreign deposits' (Yes), 'Default foreign currency when creating deposits' (AUD), and 'Inherit Option from Parent' (No).
- Transaction History:** Includes 'Transaction History' with 'Number of days displayed in Transaction History' (15) and 'Inherit Option from Parent' (No).
- Subtotals and C:** Includes 'Subtotals and C' with options for 'Include sub-', 'Include Cur-', 'Include con-', and 'Inherit Option from Parent' (No).
- Accounting Code Subtotals:** Includes 'Accounting Code Subtotals' with options for 'Allow negative numbers on accounting sub-total amounts' (Yes), 'Inherit Option from Parent' (No), and 'Can Descendant Org Modify' (Yes).
- Separation of Duties:** Includes 'Separation of Duties' with options for 'Deposits must be prepared and approved by different employees' (No), 'Inherit Option from Parent' (No), and 'Can Descendant Org Modify' (Yes).

A 'Return Home' button is located at the bottom right of the page.



Additional Button

Click **Return Home** to return to the OTCnet Home Page.

Summary

In this chapter, you learned:

- 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 OTC Endpoints
- How to view OTC Endpoints
- How to modify accounting codes



Chapter 5. Configuring Administration and Card Processing Settings

OTCnet Participant User Guide

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Glossary

Click this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

Welcome to *Configuring Administration and Card Processing Settings*. In this chapter, you will learn:

- How to create, edit and delete custom labels
- How to set your options for processing and deposits
- How to create, edit and delete user defined fields (UDFs) specific to your agency

Topics

The topics in this chapter include the following:

1. Managing Custom Labels
2. Managing Processing Options
3. Creating and Editing User Defined Fields (UDFs)

Audience

The intended audience for the *Configuring Administration and Card Processing Settings* Participant User Guide includes:

- Accounting Specialist
- Local Accounting Specialist
- Card Administrator

Topic 1 Managing Custom Labels

As an **Accounting Specialist**, you are authorized to define (create), modify and/or view a custom label. As part of your responsibility in managing your organization hierarchy, which includes entering the appropriate accounting codes, you can also customize the field labels in the deposit preparation page. These fields are called custom labels.

Customizing the labels for your organization's **Deposit Preparers** and **Deposit Approvers** is relative when these roles are preparing and submitting deposits and/or reports. A custom label allows you to define: a level in the organization hierarchy, the internal control number, or an agency accounting code. Performing this customization is *optional*.

Agency Accounting Code is the default name for the label; when you define the label, you are actually modifying its name. When referring to a custom label, the terms *define* and *create* are used interchangeably.

As an example, if your agency refers to *Accounting Codes as Financial Numbers*, you can modify the custom label to be *Financial Number*.

Once a custom label is defined, you may modify it. You can also view your custom labels from **Manage Organizations, Custom Labels**.

Define a Custom Label

To define (create) a custom label, complete the following steps:

1. From the **Administration** tab, click **Manage Organizations>Custom Labels>Modify**. The *Select OTC Endpoint* page appears.
2. Select the highest-level OTC Endpoint for which you want to modify custom labels. The *Step 1 of 2: Update Custom Labels* page appears.
3. Update the custom label(s) for the organization hierarchy and click **Next**. The *Step 2 of 2: Review Custom Labels* page appears as shown in **Error! Reference source not found.**

Figure 1. Step 1 of 2: Update Custom Labels

Update the labels by completing the following steps:

- Enter a title for your **Organization Hierarchy Labels**.
- Enter an agency accounting code title for the **Accounting Code Definition Label**.



Application Tips

The **Accounting Specialist** is authorized to complete the following steps:

- Define a new **Organization Hierarchy Label**
- Update the existing label(s)
- Modify the label of the accounting code definition

4. Verify the information is correct and click **Submit**. A *Confirmation* page appears presenting the custom labels modified for the organization hierarchy.



Additional Buttons

- Click **Cancel** to return to the OTCnet Home Page. No data is saved.
 - Click **Edit** to make additional changes.
 - Click **Previous** to return to the previous page.
 - Click **Submit** to complete the process and display the Confirmation page.
-

Modify a Custom Label

To modify a custom field label, complete the following steps:

1. From the **Administration** tab, click **Manage Organizations>Custom Labels>Modify**. The *Select OTC Endpoint page* appears.
2. Select the organization endpoint for which you want to modify custom labels. *The Step 1 of 2: Update Custom Labels* appears.
3. Update the custom labels for the organization hierarchy and click **Next**. *The Step 2 of 2: Review Custom Labels* page appears as shown in Figure 2.

Figure 2. 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



Application Tips

- 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. Verify the information is correct and click **Submit**.

A *Confirmation* page appears presenting the custom labels modified for the organization hierarchy.

View a Custom Label

To view a custom label, complete the following steps:

1. From the **Administration** tab, click **Manage Organizations>Custom Labels>View**. The *Select OTC Endpoint* page appears.
2. Select the highest-level organization for which you would like to view the custom labels. The *View Custom Labels* page appears showing the custom labels that are in effect for the organization hierarchy as shown in Figure 3

Figure 3. View Custom Labels

View Custom Labels

View Custom Labels

The following custom labels are in effect for the organization hierarchy.

Organization Hierarchy: TTTL - Training Team Top Level -00002099

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](#)



Additional Buttons

- Click **Cancel** to return to the OTCnet Home Page. No data is saved.
- Click **Return Home** to return to the OTCnet Home Page.

Topic 2 Managing Processing Options

Managing your organization hierarchy includes defining your deposit processing options.

Processing options are parameters for the deposit and adjustments process. For processing options, you must define the following:

- First, define processing options at the highest level of the organization, before defining lower-level options.
- For lower-level organizations, you must define these options, or the lower-level organizations will take on the options set for the next higher-level organization that does have the options set.

You must define processing options or your organization cannot create deposits. Define processing options at any level within your organization. View the processing options by **OTC Endpoint** report to manage processing options in your organization.

As an **Accounting Specialist**, you are authorized to 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

Accounting Specialists are authorized to modify processing options for the following:

- **Accounting Classifications for Adjustments, Corrections, and Returned Items**
- **Correspondence**
- **Deposit Preparation**
- **Transaction History**

When defining processing options, keep the following information in mind:

- To narrow an accounting code search, enter a partial or full accounting code.
- All accounting codes that meet your search criteria and that are not applied as a debit or credit adjustment to your OTC Endpoint are displayed on the page. You must enter search criteria, or all the accounting codes defined for the highest-level organization appear.
- By default, the first ten accounting codes display, in the following order, by:
 - Ascending special character order
 - Numerical order

- Ascending alphabetical order by accounting code
- If an organization has more than ten accounting codes, click the pagination menu above the section containing the existing accounting codes to view additional page results. The system only allows a user to view and apply active accounting codes not designated as Treasury Account Symbol (TAS) or those designated as TAS and that have been validated by Share accounting Module (SAM).
- After an accounting code is assigned to debit or credit adjustment, it appears in the Adjustment Type table.

Modify a Processing Option

To modify a processing option, complete the following steps:

1. From **Administration**, click **Manage Organizations>Processing Options>Modify**. The *Step 1 of 3: Select Organization Endpoint* page appears.



Application Tips

- 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 are disabled.

2. Select the OTC Endpoint for which you want to modify a processing option. The *Step 2 of 3: Define Processing Options* page appears.
3. Modify the processing option(s) and click **Next**.

To modify **Accounting Classifications for Adjustments, Corrections, and Returned Items** as shown in Figure 4, complete the following steps:

Update **Default Accounting Codes** by

- Selecting either **Use parent's values** or **Use my values**
Or
- Clicking **Search** (magnifying glass) to view accounting codes



Application Tip

- If selecting **Use my values**, enter the search criteria for the accounting code you would like to view and click **Search** (magnifying glass)
- To narrow an accounting code search, enter a partial or full accounting code

- Selecting the accounting code to apply a credit and/or debit adjustment type and click **Assign to Debit** and/or **Assign to Credit**
- Selecting **Yes** or **No** to allow changes by an organization lower in hierarchy



Application Tip

- 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

Figure 4. 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

Update **Default Accounting Code Usage** by completing the following steps:

- 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**, complete the following steps as shown in Figure 5:

Update **Returned Items** by completing the following steps:

- 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 completing the following steps:

- 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 5. Define Processing Options page with Correspondence 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

Returned Items

Update the correspondence address for return item

Use parent's values Use my values

Organization Name*

Attention

Address Line 1*

Address Line 2

City*

State/Province*
 VA

Postal Code*

Country*
 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*

Attention

Address Line 1*

Address Line 2

City*

State/Province*
 VA

Postal Code*

Country*
 US

Contact Phone Number

Allow changes by organization lower in hierarchy
 Yes No

Deposit Preparation

Transaction History

< Previous
Cancel
Next >

To modify **Deposit Preparation**, complete the following:

Update **ITGA Deposit Creation** by completing the following steps:

- 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 completing the following steps:

- 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 completing the following steps:

- 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 completing the following steps as shown in **Error! Reference source not found.**:

- 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

Figure 6. Update Deposit Processing Options with Deposit Preparation expanded

Modify Processing Options 1

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
 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 →

To modify **Transaction History**, complete the following steps as shown in Figure 7:
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

Figure 7. Deposit Procession Options with Transaction History 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

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 >

4. The *Step 3 of 3: Review the following processing options* page appears. Verify the information is correct and click **Submit**.
5. A *Confirmation* page appears showing which processing options were applied to the organization.

View Processing Options

Accounting Specialists are authorized to view the following processing options details:

- **Accounting Classifications for Adjustments, Corrections, and Returned Items**
- **Correspondence**
- **Deposit Preparation**
- **Transaction History**

From the **Viewing Processing Options** page, you can view the custom labels that are in effect for your organization hierarchy.

View Processing Options

To view a processing option, complete the following steps:

1. From the **Administration** tab, click **Manage Organizations>Processing Options>View**. The *Select Organization Endpoint* page appears.
2. 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 as shown in Figure 8.



Additional Button

Click **Return Home** to return to the OTCnet Home Page.

Figure 8. View Processing Options

The screenshot shows the 'View Processing Options' page for the organization 'Train'. The page is divided into several sections, each with a set of options and their current values:

- Organization Hierarchy:** TTTL - Training Team
- Accounting Classifications for Adjustments, Corrections, and Returned Items:**
 - Default Accounting Codes:**

Adjustment Type/Default Accounting Code
Debit
Credit
 - 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	
 - 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

A **Return Home** button is located at the bottom right of the page.

Topic 3. Creating and Editing User Defined Fields (UDFs)

As an **Accounting Specialist** and **Card Administrator** you are authorized to create, modify and delete a UDF for your organization hierarchy. **Deposit Preparers** use the UDFs when entering deposit activity and accounting activity information during the deposit preparation process.

Card Operators use UDFs when entering card payment details during card transaction processing. A UDF is an optional field for the **Deposit Preparer** and **Card Operator** to complete that describes a deposit activity or deposit accounting activity (e.g., a vendor number) or a card transaction, specific to your organization.

Your organization may elect to use UDFs, if so, communicate this to each of your OTC Endpoints and identify the information to be included.

Accounting Specialists and **Card Administrators** perform the following tasks in working with UDFs:

- Create a UDF
- Modify a UDF
- Delete a UDF
- View a UDF

Deposit processing activities are disabled to read-only if an **Accounting Specialist** or **Card Administrator** has selected an endpoint that is both a Deposit Processing and a Card Processing Endpoint, and this endpoint has a deposit that is currently in progress. You cannot modify or delete any deposit processing UDFs at this endpoint. You can select the **Create Card Processing** activity.

Create a User Defined Field

Accounting Specialists and **Card Administrators** are authorized to create up to four UDFs for deposit activity and three UDFs for card processing, for your agency. Up to three UDFs for a **Create Deposit** UDF and up to two UDFs for the **Create Deposit Subtotals** UDF can be created.

To create a UDF, from the *Select User Defined Field to Maintain* page, create a UDF by clicking **Create UDF**. When the *Step 2 of 3: Modify the User Defined Field* page appears, add your UDF fields (i.e., **Activity**, **Label**, **Description**, **Date Type**, **Maximum Input Length**, **Minimum Input length**, **Display Order Number**, and **Activity User Entry**).

Create a User Defined Field

To create a UDF, complete the following steps:

1. From the **Administration** tab click **Manage Organizations>User Defined Fields> Modify**. The *Select OTC Endpoint* screen appears.
2. Select the highest-level organization for which you want to modify UDFs. The *Step 1 of 3: Select User Defined Field to Maintain* page appears.
3. Click **Create UDF** as shown in Figure 9. The *Step 2 of 3: Modify the User Defined Field* page appears.

Figure 9. 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 >>



Application Tip

A message is displayed discouraging users from creating UDFs that request PII data.

4. Add the UDF and click **Done**.

Add a UDF by:

- Selecting the **Activity** type for the UDF



Application Tips

- There are two types of deposit processing activities (**Create Deposit** and **Create Deposit Subtotal**) and one activity for card processing (**Create Card Processing**).
- For TGA/CDC Endpoints with active deposits, in the drop-down **Activity** menu, the deposit activities are disabled. In this case, **Accounting Specialists** and **Card Administrators** can only select the **Create Card Processing** activity

- 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. 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 Tips

- When a deposit is in progress at a TGA or CDC endpoint, a UDF cannot be modified or deleted if the deposit is in **Draft** or **Awaiting Approval (AWAP)** status.
- If the **Accounting Specialist** or **Card Administrator** selected an endpoint that is both a TGA, and a CDC Endpoint and this endpoint has a deposit that is currently in progress, the deposit processing activities are disabled to read-only.
- Only the **Card Processing** activity is active.
- The **Card Administrator** continues card processing activities when a deposit is in progress.



Application Tips

- 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**.
- Click **Done** to return to the *Step 2 of 3: Modify the User Defined Field* page.

5. The *Step 1 of 3: Select User Defined Field to Maintain* page appears again. Select **Next**.
6. The *Step 3 of 3: Review* page appears. Verify the UDF information is correct. Select the plus sign next to the UDF to expand it.
7. The *Step 3 of 3: Review page* appears. Verify the UDF information is correct and click **Submit** as shown in Figure 10.

Figure 10. 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 Card Processing
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](#)

8. A confirmation page appears presenting the UDF data that is saved to the database.



Additional Buttons

- Click **Cancel** to return to the OTCnet Home Page. No data is saved.
- Click **Edit** to make additional changes.
- 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

Accounting Specialists and **Card Administrators** are authorized to modify UDFs, as needed, to accommodate your organization's changing needs.

For deposit processing you cannot modify a UDF 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 modify any UDFs associated with them. **Draft** or **AWAP** status does not impact card processing.

When modifying a UDF, you can modify the following UDF fields:

- **Activity**
- **Label**
- **Description**
- **Date Type**
- **Maximum Input Length**
- **Minimum Input length**
- **Display Order Number**
- **Activity User Entry**

Modify a User Defined Field

To modify an existing UDF, complete the following steps:

1. From the **Administration** tab, click **Manage Organizations>User Defined Fields>Modify**. The *Select OTC Endpoint* screen appears.
2. Select the highest-level organization for which you want to modify a UDF. The *Step 1 of 3: Select User Defined Field to Maintain* page appears.
3. Click the **UDF Label hyperlink**. The *Step 2 of 3: Modify User Defined Field* page appears.



Application Tip

A message is displayed discouraging users from creating UDFs that request personally identifiable information (PII) data.

4. Make the changes to the UDF and click **Done**. The *Step 1 of 3: Select User Defined Field to Maintain* page appears as shown in **Error! Reference source not found.**

Figure 11. Select User Defined Field to Maintain

5. Click **Next**. The *Step 3 of 3: Review* page appears.
6. Verify the UDF information is correct and click **Submit**. A confirmation page appears presenting the UDF data that has been saved to the database.



Additional Buttons

- Click **Cancel** to return to the OTCnet Home Page. No data is saved.
 - Click **Create UDF** to create a new UDF.
 - Click **Next** to advance to the next page.
 - Click **Previous** to return to the previous page.
 - Click **Edit** to make additional changes to a UDF.
 - 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

Accounting Specialists and **Card Administrators** are authorized to delete a user defined field (UDF). If a UDF isn't needed, delete it to save labor for your **Deposit Preparers** and **Card Administrators**.

For deposit processing, you cannot modify a UDF 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 modify any UDFs associated with them. **Draft** or **AWAP** status does not impact card processing.

Delete a User Defined Field

To delete a UDF, complete the following steps:

1. From the **Administration** tab, click **Manage Organizations>User Defined Fields>Modify**. The *Select OTC Endpoint* screen appears.
2. Select the highest-level organization for which you want to delete the UDF. The *Step 1 of 3: Select User Defined Field to Maintain* page appears.
3. Click the **Delete** checkbox next to the appropriate field and click **Next**. The *Step 3 of 3: Review* page appears. Select the plus sign next to the UDF to expand it as shown in Figure 12.

Figure 12. 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
Create Card Processing	UDF 1	UDF 1	1	U.S. Monetary Amount	<input type="checkbox"/>

Cancel Create UDF Next >



Application Tip

A UDF, during deposit processing, cannot be deleted if it is associated with a deposit that is in **Draft** or **awaiting approval (AWAP)** status. Only the **Card Processing** activity is active.

4. Verify the correct information is marked for deletion and click **Submit**. A *Confirmation* page appears showing the UDF data is saved to the database.



Additional Buttons

- Click **Cancel** to return to the OTCnet Home Page. No data is saved.
 - Click **Create UDF** to create a new UDF.
 - Click **Next** to advance to the next page.
 - Click **Previous** to return to the previous page.
 - Click **Edit** to make additional changes to a UDF.
 - 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**, **Viewer** and **Card Administrator**, you are authorized to view the UDFs that exist for your organization.

To view a UDF, when the *View User Defined Field* page appears, you can choose a UDF and view the following characteristics:

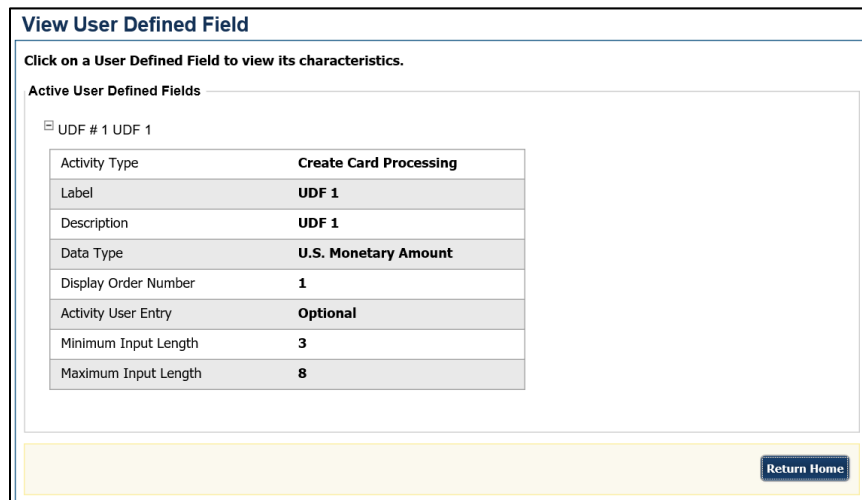
- **Activity Type**
- **Label**
- **Description**
- **Data Type**
- **Display Order Number**
- **Activity User Entry**
- **Minimum Input Length**
- **Maximum Input Length**

View a User Defined Field

To view a UDF, complete the following steps:

1. From the **Administration** tab, click **Manage Organizations>User Defined Fields >View**. The *Select OTC Endpoint* screen appears.
2. Select the highest-level organization for which you would like to view UDF. A *View User Defined Field* page appears.
3. Click on any of the UDFs to view its characteristics (e.g., activity type, label, description, etc.). The characteristics appear as shown in Figure 13.

Figure 13. View User Defined Field



The screenshot displays the 'View User Defined Field' interface. At the top, it says 'Click on a User Defined Field to view its characteristics.' Below this, there is a section titled 'Active User Defined Fields' with a search bar. A single UDF is listed: 'UDF # 1 UDF 1'. Below the list is a table showing the characteristics of this UDF.

Activity Type	Create Card Processing
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

At the bottom right of the page, there is a 'Return Home' button.

Summary

This chapter provided information on:

- How to create, edit and delete custom labels
- How to set your options for processing deposits
- How to create, edit and delete UDFs specific to your agency



Chapter 6. Viewing Financial Institutions

OTCnet Participant User Guide

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Glossary

Click this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

Welcome to *Viewing Financial Institutions*. In this chapter, you will learn:

- How to view a Financial Instruction

Topics

The topic in this chapter is: Viewing Financial Institutions

Audience

The intended audience for the *Viewing Financial Institutions* Participant User Guide includes:

- Financial Institution (FI) Confirmer
- Federal Reserve Bank (FRB) Confirmer
- FI Viewer
- FRB Viewer

Topic 1 View a Financial Institution

Financial Institution (FI) Confirmers, Federal Reserve Bank (FRB) Confirmers, FI Viewers and **FRB Viewers** are authorized to locate and view the financial institution details. You can only view a financial institution with an **Active** status.

Viewing a Financial Institution allows you to see related details, including the following:

- Institute Information
- Routing Transit Numbers (RTN) and Status
- CA\$HLINK II Account Number (CAN)/Account Key Relationships

View a Financial Institution

To view a Financial Institution (FI), complete the following steps:

1. From **Administration**, select **Manage FI>Financial Institution>View**.
2. The *View the Financial Institution* page appears. View details for Financial Institutions as shown in Figure 1 and Figure 2.

Figure 1. View FRB Detail

View Financial Institution

Step 2 of 2: View the Financial Institution

Institute Information	
Name	FRB Boston
City	Boston
State / Province	MA
Country	US
Institution Type	FRB
District Number	01
Office Number	1
Accepts Foreign Check Deposits	No
Accepts Foreign Cash Deposits	No

Routing Transit Numbers:

RTN	Status
011000015	Active

CAN/Account Key Relationships:

CAN/Acct Key	Relationship
120	Active
275	Active

Return Home

Figure 2. View Financial Institution Detail

View Financial Institution	
Step 2 of 2: View the Financial Institution	
Institute Information	
Name	Bank of America
City	Concord
State / Province	CA
Country	US
Institution Type	Commercial
Accepts Foreign Check Deposits	Yes
Accepts Foreign Cash Deposits	Yes
System To System Interface Participant	Yes
Short Name	BOA
Processes Foreign Check Deposits	Yes
Processes Foreign Cash Deposits	Yes
Routing Transit Numbers:	
RTN	Status
021867400	Active
032861194	Active
051241164	Active
CAN/Account Key Relationships:	
CAN/Acct Key	Relationship
001034	Active
001035	Active
001036	Active
001143	Active
Return Home	



Application Tip

FI Confirmers, Federal Reserve Bank (FRB) Confirmers, FI Viewers, and FRB Viewers are authorized to view Institution Information, Routing Transit Numbers (RTN) and Status and CAN/Acct Key Relationships.



Additional Button

Click **Return Home** to return to the OTCnet Home Page.

Summary

In this chapter, you learned how to view a Financial Institution.



Chapter 7. OTCnet Local Bridge (OLB) Setup Guide

OTCnet Participant User Guide

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Glossary

Select this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

Welcome to the *OTCnet Local Bridge (OLB) Setup Guide*. In this chapter, you will learn:

- How to download and install the OTCnet Local Bridge (OLB) application
- How to create your OLB profile
- How to import your OLB credentials

Topics

The topics in this chapter include the following:

1. Download and Install the OLB Application
2. Create the OLB Profile
3. Import the OLB Credentials

Audience

The intended audience for the *OTCnet Local Bridge (OLB) Setup Participant User Guide* includes:

Download OTCnet Local Bridge (OLB) Application

- Check Capture Administrator
- Card Administrator

Create the OTCnet OLB Profile

- Check Capture Administrator
- Card Administrator
- Check Capture Supervisor
- Check Capture Lead Operator
- Check Capture Operator
- Card Operator

Create OTCnet OLB Credentials

- Check Capture Administrator
- Card Administrator
- Check Capture Supervisor
- Check Capture Lead Operator

- Check Capture Operator
- Card Operator

Topic 1 Download and Install OTCnet Local Bridge (OLB) Application

Download OTCnet Local Bridge (OLB) Application

The **Check Capture Administrator (CCA)** and **Card Administrator (CA)** are authorized to download the OTCnet Local Bridge (OLB). The OLB is a stand-alone application that must be installed on all user workstations performing card processing, check capture, check processing and terminal configuration operations.

Windows Administrator privileges are required to install the OLB application on a workstation. Users may contact the **CCA** or the Agency's IT team to complete this step. The OLB must be installed before proceeding to the steps below. The download release process was streamlined for ease and efficiency—as a result, we recommend you download the newest version of the OLB.

OTCnet Firmware:

- For **check processing workstations**, the OLB application is installed before or after the OTCnet Firmware is installed.
 - Both the OLB application and Firmware must be installed on the workstation.
 - The OLB application is required if you are using the Deployable Disbursing System (DDS) Interface (DoD only).
- For **card processing workstations**, Firmware is not required.
- Depending on your user role, you may not have access to both **Manage Check Processing** and **Manage Card Processing** functions.

OTCnet supports Microsoft Edge and Google Chrome browsers.

When using Microsoft Edge and Google Chrome:

- Ensure the latest version of the OLB is installed.

After the **CCA** or **CA** downloads the OLB application, users (**CCA, Check Capture Supervisor [CCS], Check Capture Lead Operator [CCLO], Check Capture Operator [CCO], CA and Card Operator [CO]**) complete the following steps in setting up the OLB application:

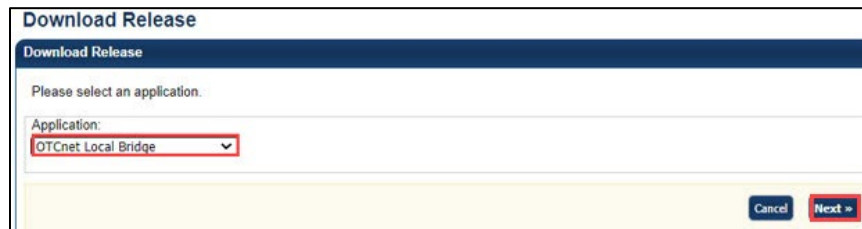
- Install the OLB application
- Create the OLB profile
- Start the OLB application
- The OLB application is started on the workstation

Download OTCnet Local Bridge (OLB) Application

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

1. From **Administration**, select **Manage Centralized Deployment**>**Download Release**.
2. The *Download Release* page appears. From the **Application** drop-down menu, select **OTCnet Local Bridge**. Select **Next** as shown in Figure 1.

Figure 1. Download Release, OLB



The screenshot shows a web interface titled "Download Release". Below the title is a sub-header "Download Release" and a prompt "Please select an application.". There is a drop-down menu labeled "Application:" with "OTCnet Local Bridge" selected. At the bottom right, there are two buttons: "Cancel" and "Next >".



Application Tips

- By default, the **Application** drop-down menu is set to **Firmware**, select **OTCnet Local Bridge**.
- The OLB application can be installed before or after Firmware is installed.
- However, both the OLB application and Firmware must be installed for workstation configuration.

3. The *Select OTCnet Local Bridge for Download* page appears. Select the **OTCnet Local Bridge** hyperlink, for the newest version of the OLB, to download the OLB Zip file.
4. The *Review OTCnet Local Bridge Download* page appears. Select **Download**. The zip file downloads to your workstation.



Application Tip

- Before you install the new OLB version, you must uninstall any older OLB version(s).
- Select **Previous** to return to the previous page.
- Select **Return Home** to return to the OTCnet Home page.

Install the OTCnet Local Bridge (OLB) Application

After the **CA** or **CCA** downloads the OLB application, the next step is for the **CA**, **CCA**, **CCS**, **CCLO**, **CCO**, **CA** and **CO** to install the OLB application. To install the OLB application, you must have Windows Administrator privileges on each workstation.

Multiple versions of the OLB are available for download. Depending on your agency, you may choose to install the newest version, or an older version—the newest version is recommended.

Version information includes the following:

- **OLB Installer**

For OLB version 2.5.0.0 and newer, the bundled Java Runtime Environment (JRE) was removed from the OLB installer. The OLB installer now verifies whether Java is installed on the workstation, and if the Java version is one that OTCnet supports. If Java is not installed on the workstation, Windows Administrator privileges are required to install Java.

For additional information, and to verify that you meet system and configuration requirements, review the system requirements document:
<https://fiscal.treasury.gov/files/otcnet/otcnet-sys-req.pdf>

Before you install the OLB application, and prior to each upgrade, the currently installed OLB application version must be uninstalled.

To uninstall a previous version of the OLB For Windows 10:

- If running, stop the OLB application
- Access your Control Panel under **Start>Windows Settings>Control Panel**
- Double-click **Add or Remove Programs**
- Select **OTCnet OLB** In the **Currently installed programs** box
- Select **Remove**
- Select **Yes** and wait while the OLB application uninstalls

Install the OTCnet Local Bridge (OLB) Application

To install the OLB application, complete the following steps:

1. Locate the folder on the workstation where the OLB zip file resides, e.g., your Downloads folder. Double click the zip file. Double-click the EXE file as shown in Figure 2 to start the installation.



Application Tip

The EXE must be launched and executed by a Windows Administrator.

Figure 2. OTCnet Local Bridge



2. The Welcome to the OTCnet OLB Setup program dialog box appears. Select **Next**.



Application Tip

- Select **Cancel** to cancel and exit the setup.

3. The *Destination Location* dialog box appears. Select **Next**.



Application Tip

- It is recommended that you install the OLB application into the default destination folder (i.e., C:\Program Files\OTCnet_olb).
- Select **Cancel** to cancel and exit the setup.
- Select **Back** to return to the previous dialog box.

4. The *Start Installation* dialog box appears. Select **Next**.
5. The *Server Port Settings* dialog box appears. Select **Next**. Wait a moment while the files install.



Application Tips

- It is recommended that you install the OLB application with the default list of fixed ports.
- If your agency has different server port settings or needs, contact Customer Support.

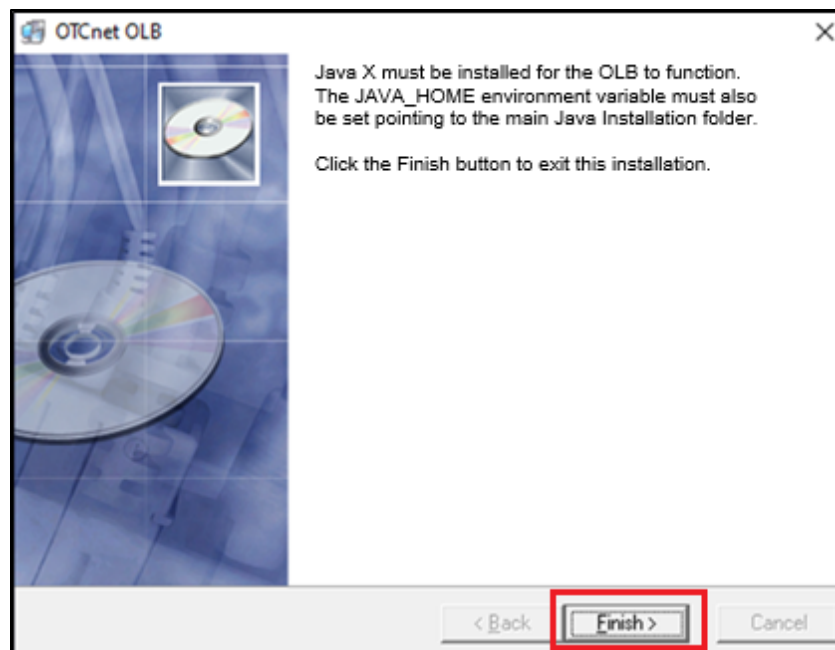
6. Once the *OTCnet Local Bridge* has been successfully installed message appears, select **Finish**.



Application Tips

- The OLB Installer verifies that Java is installed on the workstation.
- If Java is not installed, you will receive a “*Java X must be installed for the OLB to function. The JAVA_HOME environment variable must also be set pointing to the main Java installation folder*” message as shown in Figure 3. A Windows Administrator must install Java.

Figure 3. Java message



7. The OTCnet OLB start and stop icons appear on the workstation desktop as shown in Figure 4.

Figure 4. Start and Stop OTCnet Local Bridge icons



Upgrade OTCnet Local Bridge (OLB) Application

The **CCA** and **CA** are authorized to upgrade the OLB.

As newer versions of the OTCnet OLB application become available, your Agency may choose to upgrade its workstations. *Upgrade* refers to installing an updated version of OTCnet OLB on a workstation that has a previous version of the OTCnet OLB installed.

Prior to initiating an OTCnet OLB application upgrade, consider the following information:

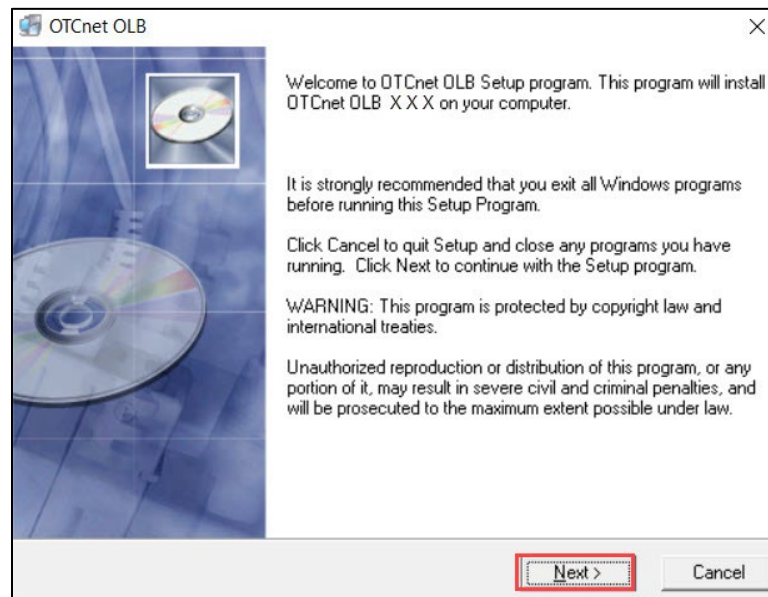
- Before uninstalling the OLB application, you must first stop the OLB application.
- If the OLB application is started on the workstation, ensure that it is stopped before uninstalling the application—or you cannot install the new OLB version.
- You must have Windows Administrator privileges to upgrade each computer.
- When upgrading to a newer OLB version, uninstall the previous OLB version and perform a new installation.
- If you previously created and imported your OLB credentials, you do not need to recreate and reimport your OLB credentials after upgrading to a newer OLB version.
- The OLB application is required for workstation detection and performing check capture and check processing operations.

Upgrade OTCnet Local Bridge (OLB) Application

To upgrade the OTCnet Local Bridge (OLB) Application, complete the following steps:

1. Stop the OTCnet OLB application. From the desktop, double-click **Stop OTCnet Local Bridge**.
2. Locate the folder where the OTCnet OLB application is installed and uninstall it.
3. After downloading the latest version of the OTCnet OLB application, locate the folder on the workstation where the OLB zip file resides e.g., your Downloads folder. Double click the zip file. Double click the .EXE file to start the installation.
4. The *Welcome to the OTCnet OLB Setup program* dialog box appears as shown in Figure 5. Select **Next**.

Figure 5. Welcome to the OTCnet OLB Setup Dialog Box



Application Tip

- Select **Cancel** to cancel and exit the setup.

5. The *Destination Location* dialog box appears. Select **Next**.



Application Tip

As a best practice, it is recommended that the OLB application is installed into the default destination folder (i.e., C:\Program Files\OTCnet_olb).



Additional Buttons

- Select **Cancel** to exit the setup.
 - Select **Back** to return to the previous dialog box.
-

6. The *Start Installation* dialog box appears. Select **Next**.
7. The *Server Port Settings* dialog box appears. Select **Next**. Wait a moment while the files install.



Application Tip

- It is recommended that you install the OLB application with the default list of fixed ports.
 - If your agency has different server port settings or needs, contact Customer Support.
-

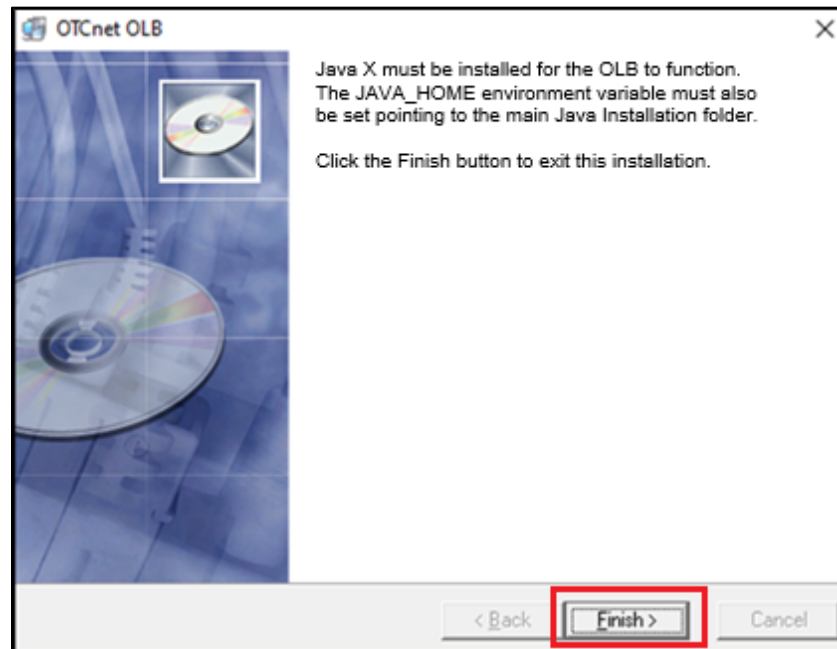
8. Once the *OTCnet OLB has been successfully installed* message appears, select **Finish**.



Application Tip

- The OLB Installer verifies that Java is installed on the workstation.
 - If Java is not installed, you will receive a “*Java X must be installed for the OLB to function. The JAVA_HOME environment variable must also be set pointing to the main Java installation folder*” message as shown in Figure 6. A Windows Administrator must install Java.
 - To upgrade your OLB version, you do not need to recreate or import your OLB credentials.
-

Figure 6. Java message



9. The OTCnet OLB start and stop icons appear on the desktop of the workstation as shown in Figure 7.

Figure 7. Start and Stop OTCnet Local Bridge icons



Topic 2 Create the OTCnet Local Bridge (OLB) Profile

After the **CCA** or **CA** downloads the OTCnet Local Bridge (OLB) application, the next step is to create the OLB profile.

If you are assigned the role of **CCA**, **CCS**, **CCLO**, **CCO**, **CA** or **CO**, you are authorized to create the OLB profile. The OLB profile is unique to each user role. Therefore, each of these user roles must create an OLB profile.

Before creating an OLB profile, consider the following information:

- Creating an OLB profile applies to all card processing and check processing users, including **CCA**, **CCS**, **CCLO**, **CCO**, **CA** and **CO**.
- The OLB application is required for the following:
 - Check capture workstation detection
 - The Deployable Disbursing System (DDS) Interface (DoD and Check Processing only)
 - Performing check processing and check capture operations and performing card processing operations and card workstation detection.

When creating a Local Bridge Password, keep the following Password Criteria in mind, the password must contain:

- At least 12 characters
- No more than two repeating characters

The password must not be:

- A word in a language, slang, dialect, or jargon
- Related to personal identity, history, environment, or other personal associations
- Shared or displayed in plain view

The password criteria are displayed on the page when you enter and confirm your Local Bridge password.

Create the OTCnet Local Bridge (OLB) Profile

To create an OLB profile, complete the following steps:

1. From **Administration**, select **Manage Users>Create Local Bridge and User Profile**.
2. Select the relevant radio button for your version of the OLB or for OTCnet Offline.



Application Tips

Before you create your new profile, and if you downloaded and installed the newest version of the OLB, you must import the new OLB credentials file, required.

3. Enter your **Local Bridge Password** and confirm your **Local Bridge Password** as shown in Figure 8. Select **Submit**.

Figure 8. Create Local Bridge and User Profile Radio Buttons and Password



Application Tip

Select **Submit** and the system generates the credential file based on the application version selected.



Additional Buttons

- Select **Clear** to reset the password fields.
- Select **Cancel** to return to the OTCnet Home Page.

4. A *Do you want to open or save [file name].ini?* dialog box appears. Select the **Save** drop-down arrow and select **Save as**.



Application Tips

- When saving the OLB credential file, **do not** rename the file as the file name must remain the same as it was generated.
- If the file name is changed, the OLB application will not run.

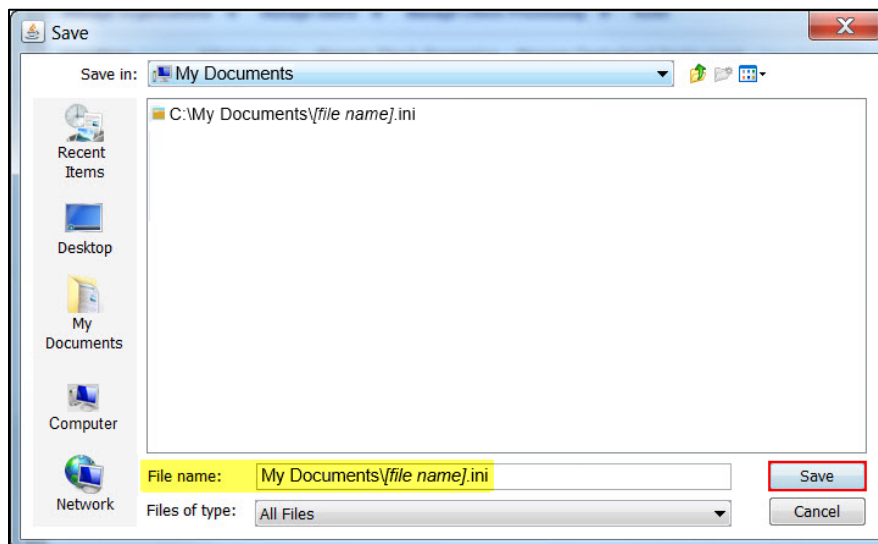


Additional Buttons

- Select **Open** and the file opens in the Microsoft Notepad application.
- Select **Cancel** and the *Do you want to open or save* dialog box closes, you remain on the *Create Local Bridge and User Profile* page.

5. The Save dialog box appears. Select **Save** as shown in Figure 9 or **Cancel**.

Figure 9. Create Local Bridge and User Profile Save





Application Tips

- Choose the location where you want to save the OLB credential file. Save the OLB credential file to any folder where you can save a file (e.g., My Documents folder, Desktop folder).
 - The default location on the Save dialog box is the user's **My Documents** folder.
 - For a forgotten OLB password, or if you attempt to enter an incorrect password three times (or more), you must recreate an OLB credential file through the *Create Local Bridge and User Profile* page and save it again.
 - You must also import your OLB credentials again, which is the next step in the OLB startup process.
-



Additional Button

Select **Cancel** to return to the *Create Local Bridge and User Profile* page without saving the file.

Topic 3 Import OTCnet Local Bridge (OLB) Credentials

The OTCnet Local Bridge (OLB) application is required for OTCnet Online users performing workstation configuration, check processing, card processing and check capture operations. As a **CCA**, **CCS**, **CCLO**, **CCO**, **CA** or **CO** you are required to import your OLB credentials to the workstation.

Additional version information includes the following:

- If upgrading your OLB version, in general, you do not need to recreate or re-import your OLB credentials.
- If upgrading your OLB version from a version older than 2.2.0.0, you must recreate and re-import your OLB credentials.

The only time you need to recreate an OLB password is if you forget your OLB password. After recreating your OLB password, OTCnet users must reimport OLB credentials.

Importing OLB credentials is unique to each user. Therefore, if there are multiple users on a workstation, each user must import their OLB credentials.

Users are only required to import their OLB credentials **once**. After importing OLB credentials, users can successfully start the OLB application.

Before importing your OLB credentials, ensure the following steps have been completed in this order:

1. The **CCA**, or **CA**, downloaded the OLB application.
2. The OLB application is installed on the workstation.

Each user has created an OLB profile, ensuring that the OLB credential file was **not** renamed (the file name remained the same as it was generated).

Import OTCnet Local Bridge (OLB) Credentials

To import OTCnet Local Bridge (OLB) credentials, complete the following steps:

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

Or

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



Application Tips

If the icon does not reside in either location, contact your **CCA** or **CA**. They can help with:

- Completing the steps required to install the OLB application on the workstation
- Creating your OLB profile
- Importing your OLB credentials

2. The *OTCnet Local Bridge Startup* window appears. Select the **File** menu.
3. Select **Import User Profile** as shown in Figure 10.

Figure 10. Start OTCnet Local Bridge Startup



4. The *Select User Profile File* window appears. Navigate to the location on the workstation where the OLB credential file was saved. Select the file and select **Import**.



Application Tip

The default location on the *Select User Profile File* window is the user's **My Documents** folder.

5. A *Successfully imported user profile* message appears. Select **OK**. Once you have successfully imported your OLB credentials, proceed with starting the OLB application on the workstation.

Summary

In this chapter, you learned:

- How to download and install the OTCnet Local Bridge (OLB) Application
- How to create the OTCnet Local Bridge (OLB) Profile
- How to import the OTCnet Local Bridge (OLB) Credentials



Chapter 8. Configuring Card Terminal Processing Settings

OTCnet Participant User Guide

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Glossary

Select this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

Welcome to *Configuring Card Processing Settings*. In this chapter, you will learn:

- The purpose of configuring card processing settings
- How to set up or modify a card terminal configuration
- How to view a card terminal configuration
- How to search an audit log
- How to select an 80mm Card Receipt Printer

Topics

This chapter is organized by the following topics:

1. Purpose of Configuring Card Processing Settings
2. Set Up or Modify a Card Terminal Configuration
3. Search an Audit Log
4. Select the 80mm Card Receipt Printer

Audience

The intended audience for the *Configuring Card Processing Settings* Participant User Guide includes:

View / Modify Configuration Functions

- Card Administrator
- Check Capture Administrator
- Check Capture Supervisor

View Configuration Only

- Card Operator
- Check Capture Lead Operator
- Check Capture Operator

Topic 1 Purpose of Configuring Card Processing Settings

As a **Card Administrator (CA)**, you are authorized to configure the card processing settings for your Agency's card terminal. Additionally, as a **CA**, are authorized to manually download or upgrade application software (e.g., the OTCnet Local Bridge Application [OLB]) which is used to communicate between OTCnet and a card terminal. You must register your card terminal.

For check processing, a **Check Capture Administrator (CCA)** can also download or upgrade the OLB.

To meet your agency's card transaction needs, each card terminal must have configuration settings individually applied. The card terminal must be paired with OTCnet **before** the card terminal can be used for processing payments in OTCnet Online. The following is a list of data elements needed to pair the card terminal to OTCnet:

- **Card Terminal Internet Protocol (IP) address**—Internet Protocol Address is a unique number or address that computing devices, (e.g., computers, laptops, tablets, etc.) connected to a computer network, use to identify themselves and communicate with other devices in an IP-based network (e.g., the Internet).
- **OTC Endpoint Credit-Debit-Card (CDC)**—The endpoint (location) setup in OTCnet for CDC processing
- **OTCnet Generated Eight-Character Pairing Pin**—A pairing pin is a unique eight-character OTCnet-generated number used to pair OTCnet and the card terminal. During card terminal setup, the card terminal prompts the user for the pairing pin.

Topic 2 Set Up or Modify a Card Terminal Configuration

As a **Card Administrator (CA)** you are authorized to register/configure a card terminal. To register a card terminal, you must select your OTC Endpoint and enter your Card Terminal Internet Protocol (IP) Address. You can also unregister a card terminal. For this you must begin the steps to re-register a card terminal. And you are authorized to view a card terminal. To configure a card terminal, start the OLB. If the OLB is not started, you cannot pair the card terminal with OTCnet.

Once the OLB is started, ensure the following:

- The card terminal must be ethernet connected to the Internet/network and ready for pairing with the OTCnet server
- The **CA** or must use either a Static (Fixed Internet Protocol Address [IP]) or Dynamic Host Configuration Protocol (DHCP) when configuring the card terminal. A static IP Address is recommended as it will not change.

Register a Card Terminal

To register a card terminal, modify your Card Terminal Configuration, by selecting your OTC Endpoint and entering your Card Terminal IP Address. The system searches for and displays a pairing pin, which you will enter into the card terminal. The system compares Merchant IDs and communicates when the connection is successful.

Register a Card Terminal

To register/configure a card terminal, complete the following steps:

1. From the **Administration** tab, select **Manage Card Processing>Card Terminal Configuration>Modify**. The *Step 1 of 3: Select OTC Endpoint and Card Terminal Type* page appears.



Application Tip

When configuring a card terminal and have not started the OLB application, you receive the following message: “*Card terminal detection failed. Ensure that the OLB application is running.*”

2. Select the OTC Endpoint. Select **Add**. The Endpoint appears under **Configured OTC Endpoint**.
3. Select the **Card Terminal Type** from the dropdown at the bottom of the page. Then select **Next** as shown in Figure 1.

Figure 1: Step 1 of 3 Select OTC Endpoint and Card Terminal Type Page

Card Terminal Configuration

Step 1 of 3: Select OTC Endpoint & Card Terminal Type

Available OTC Endpoints
 << Page 45 >> of 50 Pages

Chain Code	Merchant ID	ALC	OTC Endpoint	Description	Add
246	440	16238419	9	YhDkQqQd1vmCH4kdmvzqck6Yao5oI8evqkMcvl	
852	441	58462117	9	qtELZ00G64WBhHrcwTmXUtu0Bh1V5cq2Q2RjnbkIjHfmlkD4MGvYk43L	
735	442	26539454	6GY	yaMZF0ETZbbTABBMpXul5yoxRLjyeFwZwT	
537	443	30016394	S	Jra2AY0jnb2yGBZ22N1qALq5F9Qh6EF3T	
873	444	39016746	5F	vNnF71b8LJannJvtbTud5Vjx0ITMSU	
099	445	91610406	NNDSD	vpTcmX07QkbpqjVA4mK8ve3tbZTspskvO5h3EBQqY8DpE	
534	446	74868471	Y6	Srpf9gesgq9Rufqmp1rjcnw0RkuSrQok9Lytb05BZzW5f1tjCUaza	
120	447	11680542	lp3QjRG	Q7gpfIn5fYnkTSExp1fGcpeuBc9	
409	448	99346962	7qE	o55WtruhJgFSABkEZBeID	
705	449	40854737	6P	AHRe9vuaAsPrqT75aqYfYeuQpOJqQ7rbzjSpVjXk6IEoHEzoZ2L	

[Add >>](#)

Configured OTC Endpoint

Chain Code	Merchant ID	ALC	OTC Endpoint	Description	Remove
873	444	39016746	5F	vNnF71b8LJannJvtbTud5Vjx0ITMSU	

Card Terminal Type

Card Terminal Type:

[Cancel](#) [Next >](#)



Application Tips

- You need to **upgrade the OLB** to a new version to avoid receiving an error when registering your device to OTCnet and using your **M440** card terminal.
- If you are an existing **MX925** user, you will also need to upgrade to the latest OLB to keep using the existing card terminals.

4. The *Step 2 of 3: Terminal Registration* page appears, as shown in Figure 2. Enter the **Card Terminal Internet Protocol (IP) Address** and select **Register**.

Figure 2: Terminal Registration, Enter Card Terminal IP Address

The screenshot shows a web application window titled "Card Terminal Configuration" with a sub-header "Step 2 of 3: Terminal Registration". The main content area is titled "Register Terminal" and contains a text input field with the label "Enter Card Terminal IP Address:". Below the input field is a button labeled "Register". At the bottom right of the window, there are three navigation buttons: "< Previous", "Cancel", and "Next >".

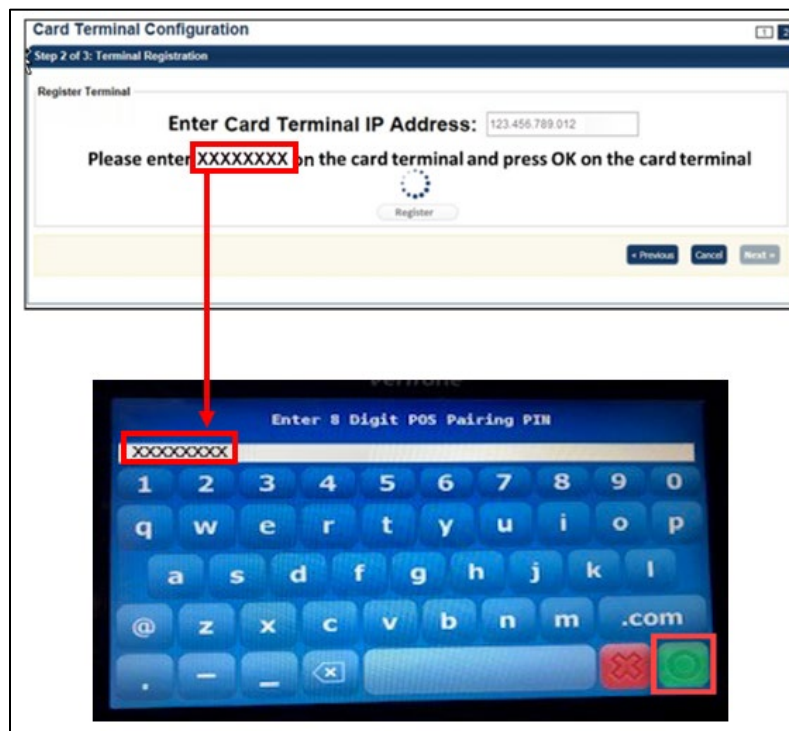


Application Tip

Internet Protocol (IP) Address is a unique number or address that computing devices (e.g., laptops, tablets, mobile phones, etc.) connected to a computer network, use to identify themselves and communicate with other devices in an IP-based network (e.g., the Internet). Please contact your deployment specialist to help you retrieve your IP address at: fiscalservice.otcdeployment@citi.com.

5. The system searches for the pairing pin. A pairing pin displays.
6. Enter the **Pairing Pin** on the card terminal, as shown in Figure 3. Press the **green button**. The green button indicates "OK" on the card terminal. The system compares Merchant IDs.

Figure 3: Step 2 of 3: Card Terminal Registration and Entering the Pairing Pin in the Card Terminal

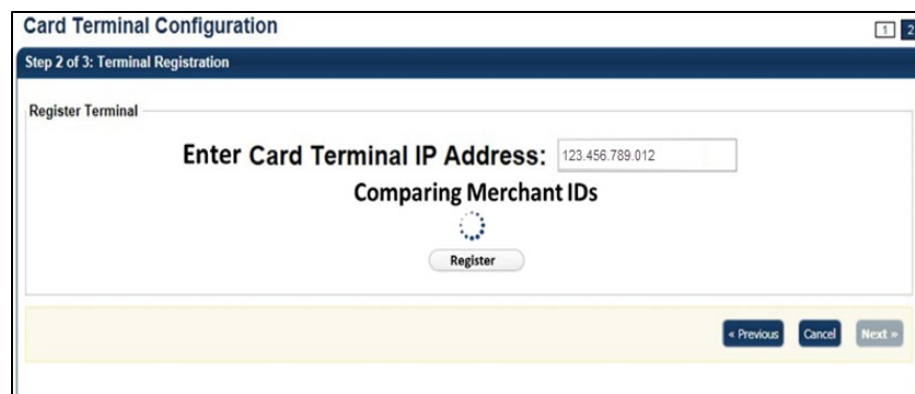


Application Tips

- A pairing pin is a unique eight-character OTCnet-generated number used to pair OTCnet and the card terminal.
- It may take 15-20 seconds to receive a pairing pin.
- The pairing pin number is entered on the card terminal.

7. The system compares **Merchant IDs** as shown in Figure 4.

Figure 4. Step 2 of 3: Terminal Registration, Comparing Merchant IDs message





Application Tips

- A **Merchant ID** is a unique designator assigned by Worldpay to reflect the processing location.
- Each agency has several Merchant IDs under a single **Chain Code**, to distinguish which agency location processed card transactions.
- The **Merchant ID** is entered at the lower-level endpoint in OTCnet.

8. The “*Registration Successful!*” message appears. Select **Next**.
9. The “*Connection successful!*” message appears. Select **Next**.
10. The *Step 3 of 3: Review the Terminal Configuration* page appears. Select **Submit** as shown in Figure 5.

Figure 5. Step 3 of 3: Review the Card Terminal Configuration

Deposit Processing | Check Processing | **Card Processing** | Administration | Reports

Manage Organizations | Manage FI | Manage Users | Management | Manage Check Processing | Manage Card Processing | Audit | Utilities

Location: Home >> Administration >> Manage Card Processing >> Terminal Configuration >> Modify

Terminal Configuration [1] [2] [3]

Step 3 of 3: Review the Terminal Configuration

Please review the Terminal Configuration record and click submit to save the changes

OTC Endpoint & Card Terminal Type Configuration [Edit]

Configured OTC Endpoint & Card Terminal Type

Chain Code	Merchant ID	ALC	OTC Endpoint	Description	Card Terminal Type
1234AB	8889819998	8889819	8889819998	Duke field AF Lod	M440

Application Configuration [Unregister]

Card Terminal Serial Number	998492938201
Host Name	8AH5CG5213M3D
IP Address	192.168.101.253

< Previous | Cancel | **Submit**



Application Tips

- Select the **Edit** hyperlink to modify the information entered.
- Select the **Unregister** hyperlink to unregister the terminal.

11. The *Confirmation* page appears. View the card terminal configurations, they are automatically populated.



Additional Button

Select **Return Home** to return to the OTCnet Home Page.



Application Tips

- When you try to refund a transaction on the **Card Transaction History Details** page with a different card terminal than the configured card terminal, the following error displays at the top of the screen: *“Registration was not found/valid, or the terminal is offline/busy.”*
 - When you try to perform a card transaction on the **Process Payment** page with a different card terminal than the configured card terminal, the following error displays at the top of the screen: *“Registration was not found/valid, or the terminal is offline/busy.”*
 - If you have a terminal model saved in **Card Terminal Configuration** but have a different physical card terminal connected when going through Step 2 of 3 Terminal Registration, the registration will fail with the following error displayed at the top of the screen: *“Card terminal Merchant ID does not match the Merchant ID of the configured endpoint or terminal type does not match the selected type. Please select Previous to restart Terminal Configuration.”*
-

Unregister a Card Terminal

As a **CA** you are authorized to unregister a card terminal after it has been paired with OTCnet, as needed. At times, you may need to unregister a terminal (i.e., you may want to add a different card terminal to an OTCnet terminal, or you may mistakenly register a terminal and wish to unregister it). First, you must begin the steps to re-register a card terminal before you can unregister it.

To unregister a card terminal, after it's been paired with OTCnet, there are two options:

Option 1: Unregister from the *Registration Successful!* page.

Option 2: Unregister from the Review (*Step 3 of 3: Review the Terminal Configuration*) page.

For Option 1, you will modify your Card Terminal Configuration by selecting an OTC Endpoint and entering the card terminal **IP Address** for the card terminal you wish to register. You will enter the pairing pin in the card terminal. Once the "*Registration Successful!*" message appears, you can unregister the card terminal.

For Option 2, you will modify your Card Terminal Configuration by selecting an OTC Endpoint and entering the card terminal **IP Address** for the card terminal you wish to register. You will enter the pairing pin in the card terminal. Once the "*Registration Successful!*" message appears, and the *Step 3 of 3: Review the Terminal Configuration* page appears, you can unregister the card terminal.

Unregister a Card Terminal

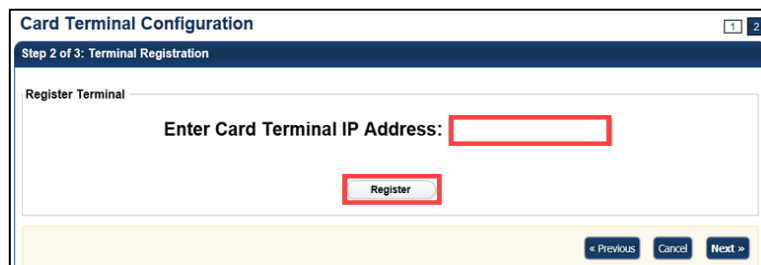
To unregister a card terminal after it's been paired with OTCnet, there are two options:

- **Option 1:** Unregister from the *Registration Successful!* page.
- **Option 2:** Unregister from the Review (*Step 3 of 3: Review the Terminal Configuration*) page.

For Option 1, complete the following steps:

1. From the **Administration** tab, select **Manage Card Processing>Card Terminal Configuration>Modify**. The *Step 1 of 3: Select OTC Endpoint and Card Terminal Type* page appears.
2. Select an OTC Endpoint. Select **Add**.
3. Select the **Card Terminal Type** and then select **Next**. The *Step 2 of 3: Terminal Registration* page appears.
4. Enter the card terminal **IP Address** in to the **Enter Card Terminal IP Address** text box for the card terminal you wish to register, as shown in Figure 6. Select **Register**.

Figure 6: Card Terminal Registration, Enter IP Address



The screenshot shows a web application window titled "Card Terminal Configuration" with a sub-header "Step 2 of 3: Terminal Registration". The main content area is titled "Register Terminal" and contains a text input field labeled "Enter Card Terminal IP Address:". Below the input field is a "Register" button. At the bottom right of the window, there are three navigation buttons: "< Previous", "Cancel", and "Next >".

5. OTCnet searches for the pairing pin. Once the pairing pin appears in OTCnet, enter it into the card terminal and press the **green button**. The green button indicates "OK" on the card terminal.



Application Tip

It may take 15-20 seconds to receive a pairing pin.

6. The "*Registration Successful!*" message appears. Select **Unregister**, as shown in Figure 7. Then select **Next**.

Figure 7: Step 2 of 3: Terminal Registration

7. The “*Terminal unregistered*” message appears.



Additional Buttons

- Select **Test Connection** to test the pairing connection between the card terminal and OTCnet.
- Select **Unregister** to unregister the card terminal.
- Select **Cancel** to terminal registration. A "Registration cancelled" appears and the terminal registration stops.
- Select **Previous** to return to the previous page.
- Select **Return Home** to return to the OTCnet Home Page.

For Option 2, complete the following steps:

1. From the **Administration** tab, select **Manage Card Processing>Terminal Configuration>Modify**. The *Step 1 of 3: Select OTC Endpoint and Card Terminal Type* page appears.
2. Select an OTC Endpoint. Select **Add**.
3. Select **Card Terminal Type**.
4. Select **Next**. The *Step 2 of 3: Terminal Registration* page appears.
5. Enter the **Card Terminal IP Address** for the card terminal you wish to register. Select **Register**. OTCnet searches for the pairing pin.
6. Enter the pairing pin number, that appears in OTCnet, into the card terminal. Press the **green button**. The green button indicates “**OK**” on the card terminal.



Application Tip

It may take 15-20 seconds to receive a pairing pin.

7. The “*Registration Successful!*” message appears. Select **Next**.

8. The Step 3 of 3: *Review the Terminal Configuration* page appears, as shown in Figure 8. **Error! Reference source not found.** Select **Unregister**.

Figure 8: Step 3 of 3: Review the Terminal Configuration

Deposit Processing | Check Processing | **Card Processing** | Administration | Reports

Manage Organizations | Manage FI | Manage Users | Management | Manage Check Processing | Manage Card Processing | Audit | Utilities

Location: Home >> Administration >> Manage Card Processing >> Terminal Configuration >> Modify

Terminal Configuration 1 2 3

Step 3 of 3: Review the Terminal Configuration

Please review the Terminal Configuration record and click submit to save the changes

OTC Endpoint & Card Terminal Type Configuration [Edit]

Configured OTC Endpoint & Card Terminal Type

Chain Code	Merchant ID	ALC	OTC Endpoint	Description	Card Terminal Type
1234AB	8889819998	8889819	8889819998	Duke field AF Lod	M440

Application Configuration [Unregister]

Card Terminal Serial Number	998492958201
Host Name	BAH5CG5213M3D
IP Address	192.168.101.255

< Previous | Cancel | Submit

9. The “*Registration Successful!*” page appears. Select **Unregister**.

10. Select **Next**. The “*Terminal unregistered*” message appears.



Additional Buttons

- Select **Edit** to navigate to the *Step 1 of 3: Select OTC Endpoint page and Card Terminal Type* to remove an OTC endpoint or add another available OTC endpoint.
- Select **Unregister** to unregister the card terminal.
- Select **Cancel** to stop terminal registration. A “*Registration cancelled*” message appears and the terminal registration ends.
- Select **Previous** to return to the previous page.
- Select **Return Home** to return to the OTCnet Home Page.

View Card Terminal Configuration

As a **CA** and **CO** you are authorized to view a card terminal configuration.

From the *View Card Terminal Configuration* page, the following actions occur:

- OTCnet verifies your OLB connection and the card terminal configuration.
 - This typically takes about 10-15 seconds.
- The card terminal(s) that has been configured appears.

View Card Terminal Configuration

To view card terminal configuration, complete the following steps:

1. From the **Administration** tab, select **Manage Card Processing>Terminal Configuration>View**.
2. The *Card Terminal Configuration View* page appears, as shown in Figure 9.
3. Select **Return Home** to return to the home page.

Figure 9: Card Terminal Configuration View

October 25, 2023 Home | Training | Print | Help | Log Out

Online Application

Connection Status: Online

Welcome, cdc2first qaecolum18DEX (cqaec001)

Check Processing Administration Reports

Manage Organizations Manage Users Manage Check Processing Manage Card Processing Manage Centralized Deployment Audit

Location: Home > Administration > Manage Card Processing > Terminal Configuration > View

Card Terminal Configuration

Terminal Configuration - View

OTC Endpoint & Card Terminal Type Configuration

Configured OTC Endpoints & Card Terminal Type

Chain Code	Merchant ID	ALC	OTC Endpoint	Description	Card Terminal Type
0V3952	4445035000216	20180031	F53	Credit and Debit #2	M440

Application Configuration

Card Terminal Serial Number	284741274
Host Name	BAHSCG1225F86
IP Address	192.168.1.222

Return Home

Rules of Behavior | Privacy Statement | Accessibility Statement | Contact | Text Version | About

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Topic 3 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. It opens in a spreadsheet program or can be printed in a formatted audit log report.

If the audit log records contain Personally Identifiable Information (PII), the data is masked in the Transaction Description.

The **CA** and **Card Operator (CO)** are authorized to search audit logs related to card processing activities. The **CCA**, **Check Card Operator (CCO)**, **Check Card Lead Operator (CCLO)** and **Check Card Supervisor (CCS)** can search audit logs related to check processing activities. Depending on your role, you can search for and view only specific audit logs. See Table 1 for details.

Table 1: 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
Card Administrator (CA)	Partial administration-related activities and all card-related activities
Card Operator (CO)	Partial access to user's own card-related activities

You can search audit logs by module, user, OTC Endpoint and other search criteria. When running a search without specifying any criteria, by default, the search results include all activities in the system that you have access to view. When running additional searches, the *Search Results* table repopulates with the results of the new search.

Search an Audit Log

To search an audit log, complete the following steps:

1. From the **Administration** tab, select **Audit**. The *Search Audit Logs* page appears.
2. Enter the search criteria for the activities you would like to view.

Under **Search Criteria**, *optional*

- Select a **Module** type.



Application Tips

- Card Processing **Module** options include **Administration** and **Card Processing**.
- Check processing **Module** options include **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** date and time ranges, *required*



Application Tip

The **From** and **To Create 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 **Card Terminal ID**, *for the workstation*
 - Enter the **Batch ID**



Application Tip

The **Batch ID** is specific to Check Processing.

- Select an **Event Type** (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	Informational 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**.
*** Offline** applies to OTCnet Check Capture Processing only.

3. Select **Search**. The *Search Results* table appears.



Application Tips

- When running a search without specifying any criteria, the search results include all activities in the system that you have access to view.
- When running additional searches, the *Search Results* table repopulates with the results of the new search.



Application Tips

- Select **Download** to download the search results.
- Select **Print Audit Log Records** to print a formatted audit log record.

4. Select the **Audit Log ID** hyperlink to view additional details for an individual audit log entry, as shown in Figure 10. The *View Audit Log Details* page appears.

Figure 10: Audit Log Input

Click the Audit Log ID if you would like to view additional details.

Download or Print Search Results? [Download](#) [Print Audit Log Records](#)

<< < 1-50 >> of 1000 Records

Audit Log ID	Created On GMT Time	Context	User	OTC EndPoint	TerminalBatch ID	Transaction Description	Module	Event Type
184001704	09/03/2019 01:52:30	User Account - Login	oca01001			UserContext created due to new login or replaced previous user login. userId='oca01001' userName='otcgefCA01' userOrganization='' Permissions='[Permission: moduleKey='OTCNET' roleKey='CARD-LSA' accessGroupId='27112', Permission: moduleKey='OTCNET' roleKey='CARD-LSA' accessGroupId='161367', Permission: moduleKey='OTCNET' roleKey='CARD-LSA' accessGroupId='161370', Permission: moduleKey='OTCNET' roleKey='CARD-LSA' accessGroupId='161362', Permission: moduleKey='OTCNET' roleKey='CARD-LSA' accessGroupId='161454', Permission: moduleKey='OTCNET' roleKey='CARD-LSA' accessGroupId='161486', Permission: moduleKey='OTCNET' roleKey='CARD-LSA' accessGroupId='177', Permission: moduleKey='OTCNET' roleKey='CARD-LSA' accessGroupId='161462', Permission: moduleKey='OTCNET' roleKey='CARD-LSA' accessGroupId='161463']	Administration	INFO



Application Tip

If the Audit Log records contain Personally Identifiable Information (PII) the data is masked.

Topic 4 Select 80mm Card Receipt Printer

As a **Card Operator (CO)**, you have the option to choose **Select 80mm Card Receipt Printer**. OTCnet offers the option to select an 80mm Card Receipt Printer for card processing receipts. Receipts are printed on 80mm (3.125 inch) paper.

Before selecting your 80mm printer, ensure that you verify the following:

- Your printer must be installed on your workstation or network. If you do not install the 80mm printer, card receipts are sent to your default Windows printer.
- The OLB is not started. If it is started, you receive a message that the OLB is running and you cannot access the OLB menu until you stop the OLB.
- You must have the latest OLB version to select the 80mm printer.

If your agency uses check processing and/or deposit processing, check or deposit items print to the Windows default printer, not the 80mm printer.

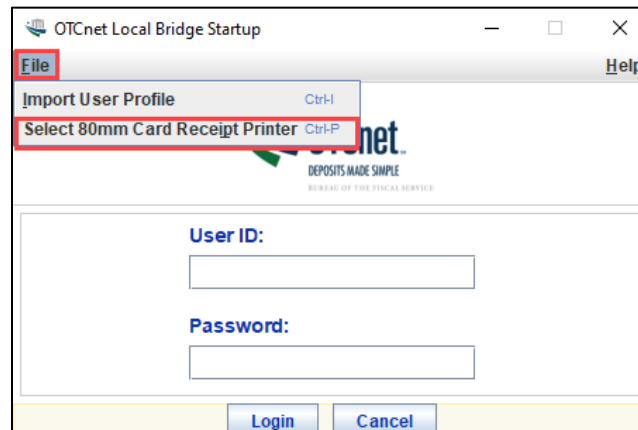
For the 80mm printer driver installation process, review the system requirements document (<https://www.fiscal.treasury.gov/files/otcnet/OTCnet-SysReq.pdf>) for additional information.

Select 80mm Card Receipt Printer

To select the 80mm Card Receipt Printer, complete the following steps:

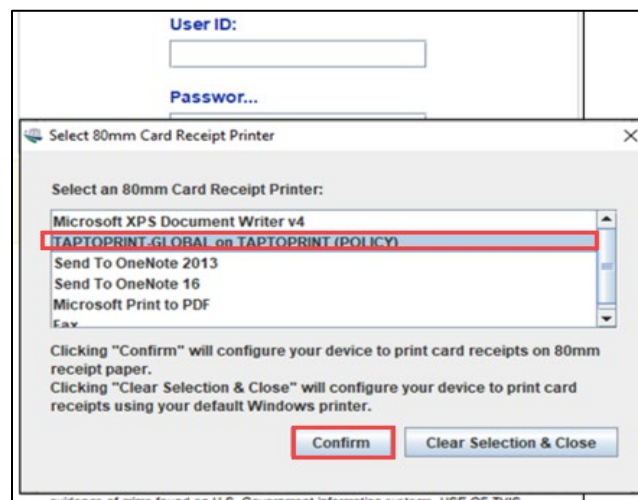
1. Double-click the **Start OTCnet Local Bridge** icon located on the terminal's desktop.
Or
Select **Start>Programs>Start OTCnet Local Bridge**.
2. The *OTCnet Local Bridge Startup* window appears. Select the **File** menu, and select **Select 80mm Card Receipt Printer**, as shown in Figure 11.

Figure 11. Start OTCnet Local Bridge Startup



3. The *Select 80mm Card Receipt Printer* window appears. Select a printer and select **Confirm**, as shown in Figure 12.

Figure 12: Confirm the 80mm Printer





Application Tips

- To cancel your selection (**Select 80mm Card Receipt Printer**), select **Clear Selection & Close** to cancel and close the window.
 - A “*The Windows default printer, ‘Microsoft Print to PDF,’ is used as your card receipt printer*” message appears.
-

4. The “*You have successfully chosen XXX Printer as your 80mm card receipt printer*” message appears. Select **OK** to return to the OLB Login page.



Application Tips

- In the event that your 80mm printer is no longer available (if your printer drivers are removed from the Window’s list of managed printers), the “*Your previously selected 80mm card receipt printer, ‘XXX Printer’, is no longer available. Card Receipt printing reverts back to using the Windows default printer. Please select an 80mm printer again to enable 80mm card receipt printing*” message appears on the OLB login page.
 - Select **Ok**.
-

Summary

In this chapter, you learned:

- The purpose of configuring card processing settings
- How to set up or modify a card terminal configuration
- How to unregister a card terminal
- How to view a card terminal configuration
- How to search an audit log
- How to select the 80mm Card Receipt Printer



Chapter 9. Configuring Check Processing Settings

OTCnet Participant User Guide

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Glossary

Click this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

Overview

Welcome to *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 and install 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. Search an Audit Log
4. Download and Install Firmware

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

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 terminals. Depending on your user role, you may see all, or only specific check capture activities within your Agency.

Additionally, as a **CCA**, you can manually download or upgrade application software for a terminal (e.g., the OTCnet Local Bridge [OLB] Application) used to communicate between OTCnet and the check capture terminal.

To meet your check capturing for your location, 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, and 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

The **CCA** and **CCS** are authorized to configure a check capture terminal. To configure a check capture terminal online, enter your system configuration, add or update your OTC endpoints and verify the terminal configuration. The **Card Administrator (CA)** is authorized to configure a card terminal.

If you are configuring a check capture terminal, you must first start the OTCnet Local Bridge (OLB) application.

The **Scanner Types** table presents a list of the scanners supported by OTCnet. They can be configured to a check capture terminal.

Table 1. Scanner Types

RDM EC7000i	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
RDM EC9100i	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
RDM EC9600i	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
RDM EC9700i	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
Panini MyVision X	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks in a batch)
Panini Vision X	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks at a time)
Panini I: Deal	This scanner will automatically scan both sides of a check and can scan in single or batch mode (one or more checks at a time)

Configure a Check Capture Terminal Online

To configure a check capture terminal online, enter your system configuration, including **LVD Usage, Receipt Printing, Application Configuration** and **Devices Configuration** and add or update your OTC endpoints, as needed. Verify the terminal configuration, including **Configured OTC Endpoints, System Configuration, Application Configuration** and **Devices Configuration**. You can also edit the information.

Configure a Check Capture Terminal Online

To configure a check capture terminal online, complete the following steps:

1. From the **Administration** tab, select **Manage Check Processing>Terminal Configuration>Modify**. The *Step 1 of 4: Gathering Terminal Information* page may appear briefly. The *Step 2 of 4: Update the Terminal Configuration* page appears.
2. Enter the system configuration and click **Next**. The *Step 3 of 4: Update the Configured OTC Endpoints* page appears.

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

If you are configuring a check capture terminal and have not started the OTCnet Local Bridge (OLB) application, you receive the following message: *Terminal detection failed. Please ensure that the OLB application is running.*

Set **Receipt Printing** by, *optional*

- Checking **Customer Present**, *optional*
 - Click the **Manual** or **Automatic** radio button
 - Check **with preview**
- Checking **Customer Not Present**, *optional*
 - Click the **Manual** or **Automatic** radio button
 - Check **with preview**



Application Tips

- Leaving both the **Customer Present** and **Customer Not Present** fields unchecked results in the disabling of this option. If receipts are desired, click the appropriate box(es). When the **Customer Present** and/or **Customer Not Present** fields are clicked, the default setting is **Manual**.
 - Click **Manual** to require the operator to take additional steps to print the receipt.
 - Click **Automatic** to print a receipt each time a transaction is entered.
 - Click **with preview** to allow the operator to see the receipt on the screen prior to the generation of the printout.
- When printing receipts, the system prints to the Windows default printer. All receipts print to the Windows default printer.

Under **Application Configuration**,

- 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



Application Tips

- 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 allows the user to scan only 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 available for RDM EC7000i, EC9100i, EC9600i, EC9700i and Panini MyVision X, VisionX and I:Deal.
- 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 must be used by agencies that receive payments in person, then scan the checks at a later time in a controlled, back office environment. If **Truncate All Items** is selected, 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.

Under **Devices Configuration**,

- Select the **Scanner** model, *required*
- Select **USB Port** or **Serial Port**, *required*
- Select the Serial Port type
- Check **Franking Enabled**, *optional*



Application Tips

- **USB Port:** RDM EC7000i, EC9100i, EC9600i, EC9700i, Panini MyVision, Panini VisionX, and Panini I: Deal scanners require a USB port communication channel. RDM EC7000i scanners support USB and Serial communication channels.
- **Serial Port and COM dropdown:** The user selects the serial port (i.e., COM port) where they have connected a serial scanner.
- **USB-to-Serial adapters:** USB-to-serial adapters are not supported. RDM EC7000i scanners support USB and Serial communication channels.
- 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 is a COM port enabled, and there is no physical Serial Port.
- The **Franking Enabled** option allows the scanner to automatically stamp the front of checks. Franking is available for RDM EC7000i, EC9100i, EC9600i, EC9700i, and Panini I: Deal scanners.

3. Add or remove the OTCnet endpoint(s) that perform check scan, designate a default OTC Endpoint, and click **Next** as shown in Figure 1. The *Step 4 of 4: Review the Terminal Configuration* 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*

Figure 1. 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 Page

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 >



Application Tips

- The OTC Endpoints are permission based and are only visible to users with the appropriate permissions. 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**.
- Selecting a **Default OTC Endpoint** determines which OTC Endpoint to use when performing Check Scan actions.
- Multiple OTC Endpoints can be selected, but only one can be set as a **Default OTC Endpoint**.

4. Verify the Terminal Configuration is correct and click **Submit**. Click **Edit** to modify the information entered. A *Confirmation* page appears stating that the Terminal Configuration record has been updated.



Additional Buttons

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

View Terminal Configuration

The **CCA**, **CCS**, **Check Capture Lead Operator (CCLO)** and **Check Capture Operator (CCO)** are authorized to view check terminal configuration details for each terminal configured.

Terminal configuration details include the following:

- **OTC Endpoint Configuration:** OTC Endpoints and default OTC Endpoint
- **System Configuration:** LVD usage (offline users) and receipt printing
- **Application Configuration:** Terminal ID, host name, processing mode, cashflow method, batch control and batch control prompts
- **Devices Configuration:** Scanner type, communication channel, and franking

You can view terminal configuration from the *View Terminal Configuration* page.

View Terminal Configuration

To view terminal configuration, complete the following steps:

1. From the **Administration** tab, click **Manage Check Processing>Terminal Configuration>View**.
2. The *View* page appears as shown in Figure 2 .

Figure 2. View Terminal Configuration Page

Terminal Configuration
1

View

View the following Terminal Configuration record

OTC Endpoint Configuration
Configured OTC Endpoints

Default OTC Endpoint	ALC+2	OTC Endpoint	Form Version	Description
✓	0000209902	TTTH L1	1009	TTTH Level 1

System Configuration
LVD Usage

	Personal Check	Non Personal
Customer Present	✓	✓
Customer Not Present	✓	

Receipt Printing

Customer Present	Manual
Customer Not Present	None

Application Configuration

Terminal ID	BAH01
Host Name	BAHR9YFTK5
Processing	Single
Cashflow	Settle Best Method
Batch Control	Mandatory
Batch Control Prompts	Prompts on Batch Close

Devices Configuration

Scanner	Panini I:Deal
Communication Channel	USB Port
Franking Enabled	

Return Home



Additional Button

Click **Return Home** to go OTCnet Home.

Topic 3 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**.

The **CCA**, **CCO**, **CCLO**, and **CCS** are authorized to search audit logs related to check processing activities. The **CA** and **Card Operator (CO)** are authorized to search audit logs related to card processing activities. 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
Card Administrator (CA)	Partial administration-related activities and all card-related activities
Card Operator (CO)	Partial access to user's own card-related activities

You can search audit logs by module, user, **OTC Endpoint**, and other search criteria (created on date, batch ID, event type, etc.). If you run a search without specifying any criteria, 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.

Search an Audit Log Online

To search an audit log, enter your search criteria—including module options (**Administration**, **Check Capture** and **Check Processing**), **User**, **OTC Endpoint**, **From** and **To** dates, **Keyword** (**All** or make your selection from the list i.e., **Application Exception**, **Batch Management**, etc.) and **Category Name** (**All** or make your selection from the list i.e., **Accept Duplicate**, **Access**, etc.), **Terminal ID**, **Batch ID** and **Event Type** (**Error**, **Information** and **Warning**) **Operation Mode** (**All**, **Online**, or **Offline**).

Click your Audit Log ID hyperlink to view additional details for an individual audit log entry. Download and print your formatted audit log record, including the **Audit Log Record Summary**; **Audit Log ID**, **Created On**, **Context**, **User Email Address**, **OTC Endpoint**, **Terminal ID**, **Batch ID**, **Transaction Description**, **Module** and **Event Type**, **Audit Log Attribute Info**, **User Name** and **Audit Log Field Info**. You can also view your audit log details.

Search an Audit Log Online

To search an audit log, complete the following steps:

1. From the **Administration** tab, click **Audit**. The *Search Audit Logs* page appears.
2. Enter your search criteria.

Under **Search Criteria**, *optional*

- Select a **Module** type.
- Enter a **User**
- Select an **OTC Endpoint**
- Enter the **From** and **To** date and time ranges, *required*
- Select a **Keyword**, *required*
- Select a **Category Name**, *required*
- Enter the **Terminal ID**
- Enter the **Batch ID**
- Select an **Event Type**
- Select an **Operation Mode**



Application Tips

- **Module** drop-down options vary by user role. **Module** options include **Administration**, **Check Capture**, **Check Processing**, and **Deposit Processing**.
 - Card Processing **Module** options include **Administration** and **Card Processing**.
 - The **From** and **To Created On Date** must be entered in MM/DD/YYYY format and cannot exceed 30 days.
 - The **Keyword** and **Category Name** drop-down options vary by user role.
 - **Operation Mode** options include **All**, **Online**, or **Offline**.
-



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.

- Click **Search**. The *Search Results* table appears as shown in Figure 3.

Figure 3. Audit Log Output

Click the Audit Log ID if you would like to view additional details.
Download or Print Search Results?

<< < 1-50 >> of 138 Records

Audit Log ID	Created On (GMT Time)	Context	User	OTC EndPoint	TerminalBatch ID	Transaction Description	Module	Event Type
32591169	08/18/2014 19:30:44	Execute Process - Image Request	SYSTEM			No image requests were available.	Administration	INFO
32591168	08/18/2014 19:25:25	User Account - Login	otcqef49			UserContext: created due to new login or replaced previous user login. userId='otcqef49' userName='otcnet:tcnqChkAdmin' userOrganization='' Permissions=[Permission: moduleKey='OTCNET' roleKey='CP-AGY-LSA' accessGroupId='10509', Permission: moduleKey='OTCNET' roleKey='CP-AGY-LSA' accessGroup...	Administration	INFO



Application Tips

- Run a search without specifying any criteria, the search results include all activities in the system that you have access to view. Run additional searches, the *Search Results* table repopulates with the results of the new search.
- Click **Download** to download the search results.

- Click the **Audit Log ID** hyperlink to view additional details for an individual audit log entry. The *View Audit Log Details* page appears.



Application Tips

- Click **Print Audit Log Records** to print a formatted audit log record.
 - If the audit log records contain Personally Identifiable Information (PII) the data is masked.
-



Additional Buttons

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

Topic 4 Download and Install Firmware

Download Firmware

If you are assigned the role of **CCA**, you are authorized to 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 must be used on a terminal to enable it to be used for Check Capture in OTCnet.

Prior to each firmware upgrade, the currently installed firmware must be uninstalled first.

Additionally, firmware upgrades are operating system (Windows 11 or Windows 10) and scanner (e.g., RDM EC7000i, EC9100i, EC9600i, EC9700i, Panini I;Deal, Panini MyVision, or Panini Vision X) specific. Note: Firmware versions 4.3.0 and 4.4.0 are only compatible with OLB versions 2.3.0 and above. Firmware version 4.4.0 or higher is required for the RDM EC9600i and EC9700i scanner models.

Therefore, downloading and executing the correct firmware upgrades ensures that a terminal and scanner are functioning properly. To determine firmware upgrades by firmware version, scanner, and operating system, refer to the *OTCnet System Requirements and Reference Guide* at: <https://fiscal.treasury.gov/files/otcnet/otcnet-sys-req.pdf>.

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.

For offline users, this topic allows 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 **CCA** must download and execute the firmware (release) for each terminal.

You must download firmware using **Download Release**, selecting **Firmware** and saving the file to your chosen location.

Download Firmware

To download firmware, complete the following steps:

1. From the **Administration** tab, click **Manage Centralized Deployment >Download Release**.
2. From the **Application** drop-down menu, select **Firmware**.
3. Click **Next**. The *Select Firmware for Download* page appears.



Application Tips

- Prior to each firmware upgrade, the currently installed firmware version must be uninstalled first.
- Firmware upgrades are operating system (e.g., Windows 11 or Windows 10) and scanner (e.g., EC7000i, EC9100i, EC9600i, EC9700i, Panini MyVision X) specific.
- Each firmware version has a corresponding terminal configuration(s) that it supports (by scanner and by operating system). Determine the appropriate firmware upgrade by firmware version, scanner, and operating system before downloading.

4. Click the **Firmware** hyperlink to download the firmware. The *Review Firmware Download* page appears.
5. Click **Download** as shown in Figure 4. The *Save Program* dialog box appears.

Figure 4. Review Firmware Download

New Firmware Name	New Firmware Version	Release Date
Firmware	X.X.X	05/24/2099 00:00:00

Previous Download Return Home

6. Click **Save** or **Cancel**.



Application Tips

- Click **Save** to choose the location where you want to save the file.
 - Click **Cancel** to the *OTCnet Check Capture Application Download* page without saving the file.
-



Additional Buttons

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

Install Firmware

After the **CCA** downloads the firmware, the next step is to install the firmware (must be done for each terminal). This can be completed by the **CCA**, **CCS**, **CCLO**, and **CCO**. However, before you install the firmware consider the following information:

- You must have 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 4.3.0 supports the RDM EC7000i, RDM EC9100i, Panini MyVisionX, Panini Vision X, and Panini I: Deal scanners. Firmware version 4.4.0 supports the RDM EC9600i and RDM EC9700i scanners.

For Windows 11 and Windows 10:

1. Access your Control Panel under **Start > Window Systems > Control Panel**
2. Click **Programs > Uninstall Programs**
3. In the Currently installed programs box, click **OTCnetFirmware**
4. Click **Remove**
5. Click Yes and wait while the Firmware uninstalls

Verify the **OTCnetFirmware** and **Panini X.X.X Universal Installer** automatically uninstalled.

For more information about the firmware version that matches the terminal settings, refer to the *OTCnet System Requirements and Reference Guide* at: <https://fiscal.treasury.gov/files/otcnet/otcnet-sys-req.pdf>.

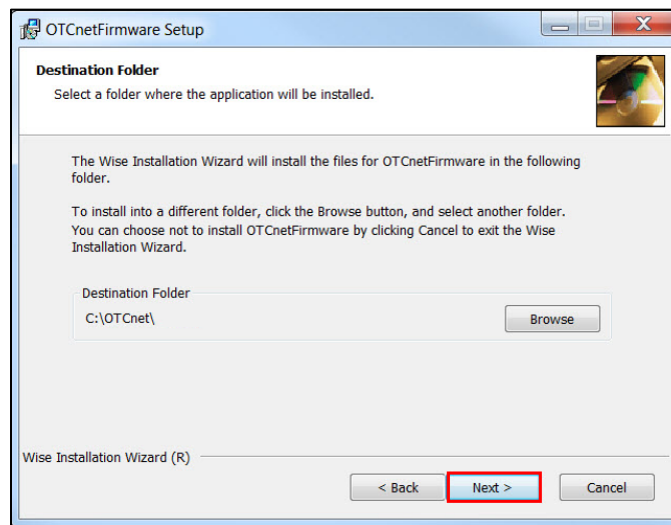
To install firmware, install the firmware file (MSI file).

Install Firmware

To install OTCnet firmware, complete the following steps:

1. Locate the folder where the firmware file (MSI file) resides and double-click the file to start the installation. The *Welcome to the OTCnet Firmware Installation Wizard* dialog box appears.
2. Click **Next**. The *User Information* dialog box appears.
3. Click **Next**. The *Destination Folder* dialog box appears as shown in Figure 5.

Figure 5. Destination Folder Dialog Box



Application Tip

To install the firmware to another folder destination, click **Browse** to select a different folder. Click **Cancel** to exit the setup.

4. Click **Next**. The *Ready to Install the Application* dialog box appears.
5. Click **Next**. Wait a moment while the files install.



Application Tip

During the installation process for OTCnet Firmware, you can continue to use their workstations. However, OTCnet and all related activities are unavailable until the installation of the Firmware is complete.

The installation time can vary from workstation to workstation. Users can expect a duration of up to 30 minutes to complete full installation. Do not close the installation window until the installation is complete.

6. The *OTCnet Firmware has been successfully installed* message appears. Click **Finish**.

Summary

This chapter provided information on:

- The purpose of configuring check processing 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 and install firmware



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Chapter 10. Setting Up and Configuring Check Capture Offline

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Glossary

Select this [link](#) to access the full OTCnet Glossary.

Overview, Topics, and Audience

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 topics in this chapter include following:

1. Purpose of Setting Up and Configuring Check Capture Offline
2. Download and Install OTCnet Offline Check Capture Software
3. Manage a Check Capture Administrator Profile
4. Manage OTC Endpoints
5. Manage User Profiles
6. Manage Offline Users
7. Manage a Check Capture Terminal
8. Search an Audit Log
9. Recover a Batch

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

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 (i.e., upload a batch, acknowledge a batch, or manage OTC Endpoints or users) require 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 **CCA**, you are authorized to 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 must be used on a terminal to enable it to be used for Check Capture in OTCnet.

Prior to each firmware upgrade, the currently installed firmware must be uninstalled first.

Additionally, firmware upgrades are operating system (Windows 10) and scanner (e.g., EC7000i, EC9100i, Panini MyVision, or Panini Vision X) specific.

Downloading and executing the correct firmware upgrades ensures that a terminal and scanner are functioning properly. To determine firmware upgrades by firmware version, scanner, and operating system, refer to the *OTCnet System Requirements and Reference Guide* at: <https://www.fiscal.treasury.gov/files/otcnet/OTCnet-SysReq.pdf>.

If an agency (OTC Endpoint) has multiple terminals and requires more than one firmware install due to varying workstation requirements, download and execute the firmware for each terminal.

For offline users, this topic allows 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 **CCA** must download and execute the firmware (release) for each terminal.

You must download firmware using **Download Release**, selecting **Firmware** and saving the file to your chosen location.

Download the OTCnet Offline Check Capture Software

To download the OTCnet Offline Check Capture Software in OTCnet Online, complete the following steps:

1. From the **Administration** tab, select **Manage Centralized Deployment>Download Release**. The *Download Release* page appears.
2. From the **Application** drop-down menu, select **OTCnet**.



Application Tips

- 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 **OTCnet** application.
- If you are upgrading OTCnet Offline, and your Agency manages verification records, you do not need to reset and download the Local Verification Database (LVD).

3. Select **Next**. The *Select Application for Download* page appears.
4. Select the **OTCnet** hyperlink to download the software as shown in Figure 1. The *Review Application Download* page appears.

Figure 1. Select Application for Download

Application/Firmware	Release Date	Description
OTCNET X X X	2020-01-06 00:00:00	

5. Select **Download** as shown in Figure 2. The file downloads to your workstation.

Figure 2. Review Application Download

New Application Name	New Application Version:	Release Date
OTCNET	X.X.X	01/06/20 00:00:00



Additional Buttons

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

To *install* the OTCnet Offline Check Capture software, there must not be a previous version of OTCnet Offline installed on a workstation. You must have Windows Administrator privileges on each workstation. 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 for the first time (i.e., not upgrading from an older version), you must install the application *before* creating the **Check Capture Administrator (CCA)** Offline logon profile. If you are installing the OTCnet Offline application, you must also install the application *before* creating the CCA Offline logon profile. Next, you must create a CCA Offline logon profile to run the OTCnet application, it can only be created *after* installing the OTCnet Offline application.

To install OTCnet Offline Check Capture Software, you must start the **OTCnet Offline installation** and complete the OTCnet Offline QA-Future Setup program. Choose the **C:\Program Files\OTCnet_qai_future** destination folder to save the file and start the installation. Server Port settings prepopulate and the files install.

Offline Installer

For the Offline Installer, the bundled Java Runtime Environment (JRE) was removed. The Offline installer now verifies whether Java is installed on the workstation, and if the Java version installed is one that OTCnet supports. If Java is not installed on the workstation, Windows Administrator privileges are required to install Java.

For additional information, and to verify that you meet system and configuration requirements, review the system requirements document:
<https://fiscal.treasury.gov/files/otcnet/otcnet-sys-req.pdf>

Install OTCnet Offline Check Capture Software

To install the OTCnet Offline Check Capture software, complete the following steps:

1. Locate the folder on the workstation where the OTCnet Offline zip file resides, e.g., your Downloads folder. Double select the zip file. Double-click the EXE file. The *Welcome to OTCnet Offline QA Setup program* dialog box appears.

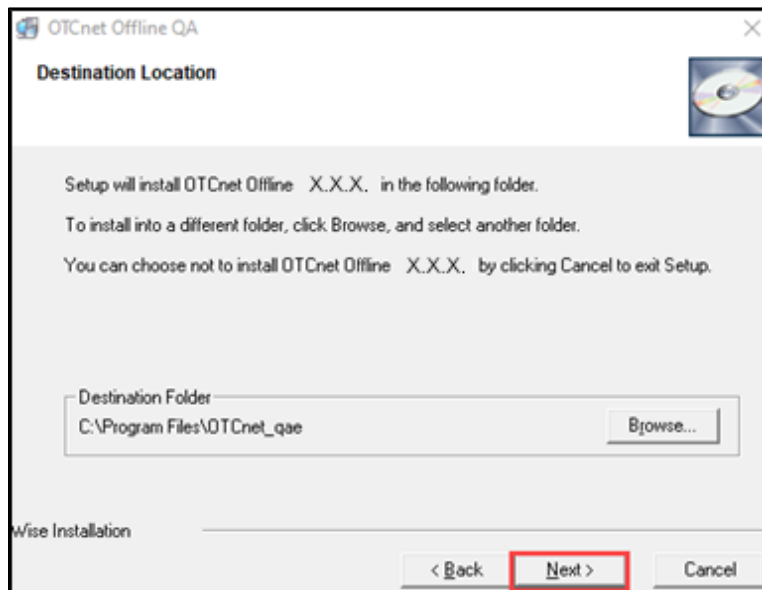


Application Tips

The EXE must be launched and executed by a Windows Administrator.

2. Select **Next**. The *Destination Location* dialog box appears as shown in **Error! Reference source not found.**

Figure 3. Destination Location Dialog Box



Application Tips

- To install the software to another folder destination, select **Browse** to select a different folder.
- Select **Back** to go back.
- Select **Cancel** to exit the setup.

3. Select **Next**. The *Start Installation* dialog box appears.
4. Select **Next**. The *Server Port Settings* dialog box appears.
5. Select **Next**. The *Installing* dialog box appears. Wait a moment while the files install.



Application Tips

- The Server Port Settings are pre-populated with the default values.
- 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**.

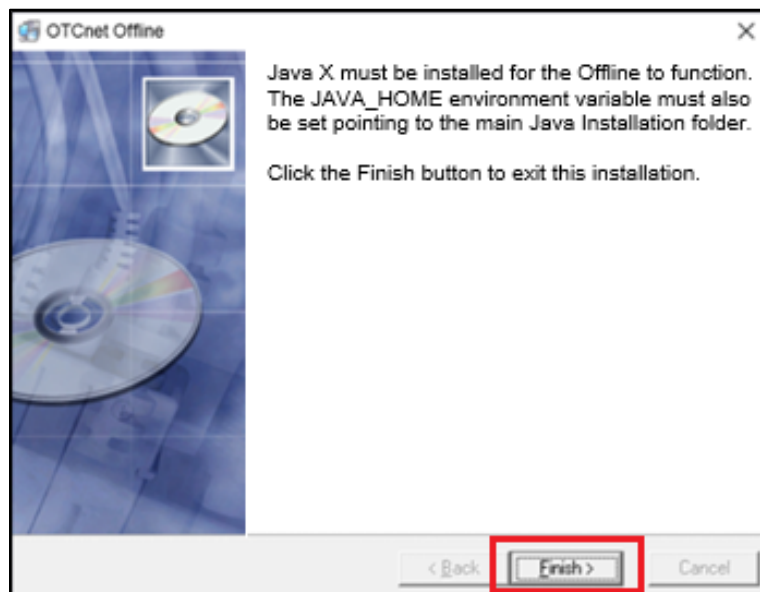
6. The message “*OTCnet Offline X.X.X has been successfully installed*” appears. Select **Finish**. The OTCnet Offline icon appears on your desktop.



Application Tip

- The Offline Installer verifies that Java is installed on the workstation.
- If Java is not installed, you will receive a “*Java must be installed for the Offline to function. The JAVA_HOME environment variable must also be set pointing to the main Java installation folder*” message as shown in Figure 4. A Windows Administrator must install Java.

Figure 4. Java message



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 initiating an OTCnet Offline Application upgrade, consider the following information:

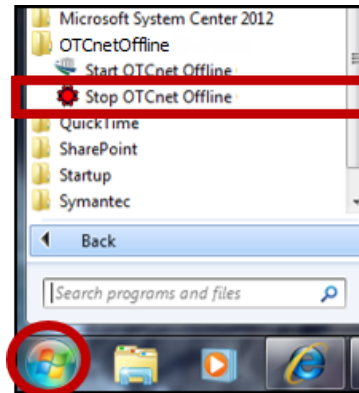
- Before uninstalling the OTCnet Offline Application, you must first stop the OTCnet Offline Application. If the OTCnet Offline Application has been started on the terminal, ensure that it is stopped before uninstalling the application.
- When upgrading to a newer OTCnet Offline version, you must uninstall the previous offline version and perform a new installation.
- When upgrading OTCnet Offline, you must install the application first, *before* creating the **Check Capture Administrator (CCA)** Offline logon profile. You also need to create a CCA Offline logon profile to run the OTCnet Offline application, but it can only be created *after* installing the OTCnet Offline application.
- When upgrading OTCnet Offline, and your Agency manages verification records, you do not need to reset and download the Local Verification Database (LVD) for each terminal.
- 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.
- You need Windows Administrator privileges for each computer you are upgrading.
- To upgrade the OTCnet Offline Check Capture Software, close any open batches, upload all existing batches and stop the Offline application.
- You must install the files using the **OTCnet Offline.EXE** icon and click through the OTCnet Offline QAI-Future setup to install the software.

Upgrade OTCnet Offline Check Capture Software

To upgrade OTCnet Offline Check Capture software, complete the following steps:

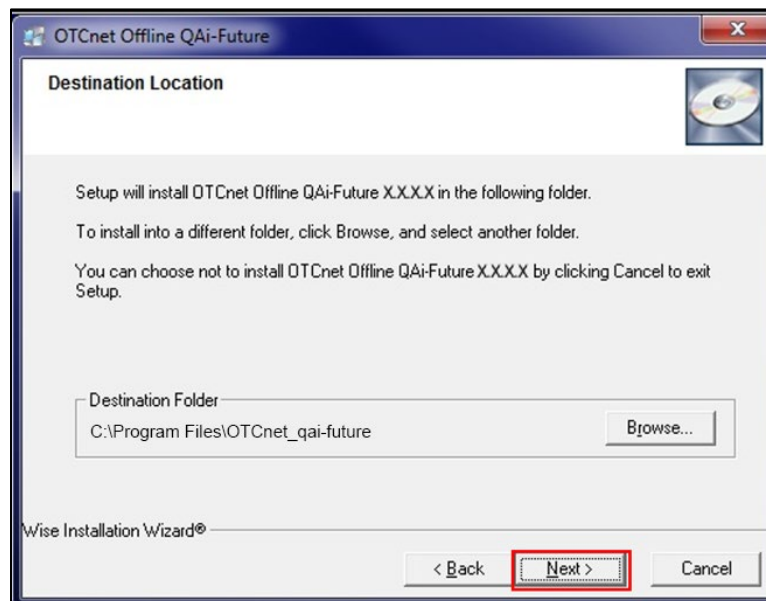
1. Close any open batches and upload all existing batches in **Batch Management**.
2. From the Windows Start Button menu, select **Stop OTCnet Offline** to stop the offline application as shown in Figure 5.

Figure 5. Stop OTCnet Offline



3. After downloading the latest version of OTCnet Offline, locate the folder on the workstation where the OTCnet Offline zip file resides e.g., your Downloads folder. Double click the zip file. Double click the EXE file to start the installation. *Welcome to OTCnet Offline QA Setup program* dialog box appears.
4. Select **Next**. The *Destination Location* dialog box appears as shown in Figure 6.

Figure 6. Destination Location





Application Tips

- To install the software to another folder destination, select **Browse** to select a different folder.
 - Select **Back** to go back.
 - Select **Cancel** to exit the setup.
-

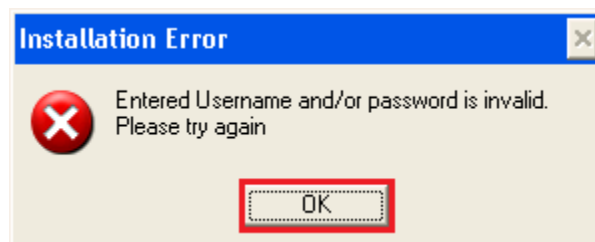
5. Select **Next**. The *Start Installation* dialog box appears.
6. Select **Next**. The *CCA Offline User Credentials* dialog box appears.
7. Enter your **User ID** and **Offline Password** in the appropriate text boxes and select **Next**. Wait while the files install.



Application Tips

- 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 as shown in Figure 7.
 - Select **OK**. The upgrade process is cancelled.
 - Run the installer again and enter the correct credentials.
-

Figure 7. Installation Error



8. After the *OTCnet Offline has been successfully installed* message appears, select **Finish**. You have the upgraded version of OTCnet Offline Check Capture Software.



Application Tip

- The Offline Installer verifies that Java is installed on the workstation.
 - If Java is not installed, you will receive a “*Java must be installed for the Offline to function. The JAVA_HOME environment variable must also be set pointing to the main Java installation folder*” message. A Windows Administrator must install Java.
-

Topic 3 Manage a Check Capture Administrator Profile

Create a Check Capture Administrator Offline Logon Profile

A **Check Capture Administrator (CCA)** Offline logon profile is required for upgrading the OTCnet Offline application and starting the OTCnet Offline server.

The CCA Offline logon profile is also referred to as the *User profile*.

Before creating a CCA Offline logon profile, for the new OTCnet Offline release, any previous existing installation cannot be upgraded. You must uninstall the older Offline version and install the new version.

To create a Check Capture Administrator Offline Logon Profile, log in to **OTCnet Online** as a **CCA** from each workstation where OTCnet is installed and select **Create Local Bridge and User Profile**. Choose the latest version (recommended) of **Offline** (3.4.0.0 or newer) and enter/confirm your **Local Bridge/Offline Password**.

Password Criteria includes the following, it must:

- Be at least 12 characters long
- Not have more than two repeating characters
- Not repeat any of your last ten passwords
- Not have been your password during the last ten days
- Not be a word in a language, slang, dialect, or jargon
- Not be related to personal identity, history, environment, or other personal associations
- Not be shared or displayed in plain view

The password criteria is displayed on the page when you enter and confirm your **Offline** password.

Save the .ini file. The Offline logon profile credential file is saved in the appropriate folder on the terminal (C:\OTCnetOffline\data\ini*file name*.ini).

Create a Check Capture Administrator Offline Logon Profile

To create a **Check Capture Administrator (CCA)** Offline logon profile, complete the following steps:

1. Log into **OTCnet Online** from the workstation in which you will be using the OTCnet Offline application.
2. From the **Administration** tab, select **Manage Users>Create Local Bridge and User Profile**. The *Create Local Bridge and User Profile* page appears.
3. Under **Application**, choose your **OTCnet Offline** version.



Application Tip

The first two radio buttons on this page, **Online Local Bridge version XXX or newer** and **Online Local Bridge version XXX or older** are for OTCnet Online users.

4. Enter your **Offline Password** and **Confirm Offline Password**.



Application Tips

- 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 CCA Offline logon profile. You must be logged into your OTCnet workstation as a CCA to create your CCA Offline logon profile again.
- If you have an existing CCA account from an 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.

5. Select **Submit**.



Additional Buttons

- Select **Submit**, the system generates the credential file based on the application version selected.
- Select **Clear** to reset the password fields.
- Select **Cancel** to return to the OTCnet Home Page.

6. A *Do you want to open or save [file name].ini?* dialog box appears. Select the **Save** drop-down arrow and select **Save as**.

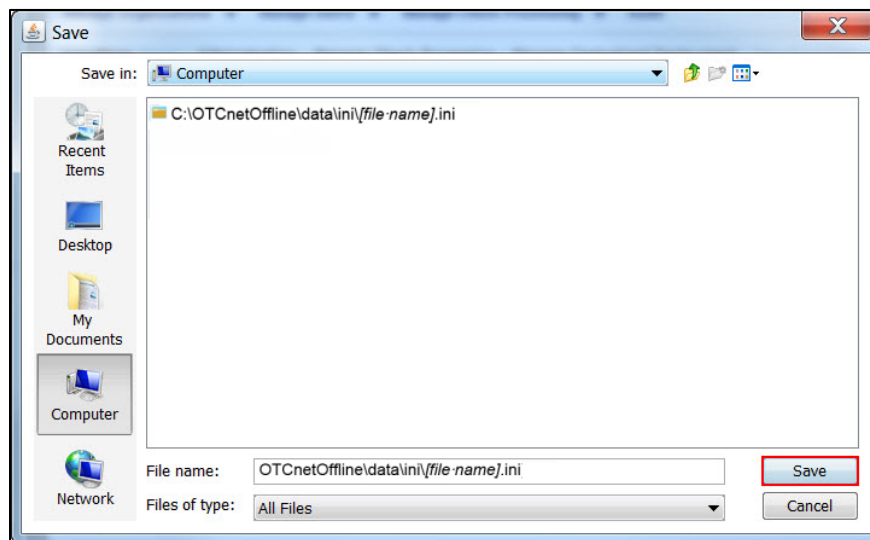


Additional Buttons

- Save the *Offline logon profile credential file* with its generated file name, **do not** rename the file as the file name must remain the same.
- Store the Offline logon profile credential file in the OTCnet Offline folder on the terminal.
- If the file name is changed, or if the file is saved in the wrong folder location, the OTCnet application will not run.
- Select **Open** and the opens in the Microsoft Notepad application.
- Select **Cancel** and the *Do you want to open or save* dialog box closes, and you remain on the *Create Local Bridge and User Profile* page.

7. The Save dialog box appears. To store the Offline logon profile credential file in the Offline folder on the terminal:
 - Select **Local Disk (C:)**
 - Double-click the **OTCnetOffline** folder
 - Double-click the **data** folder
 - Double-click the **ini** folder
8. Select **Save** as shown in Figure 8) and the Offline logon profile credential file is saved in the appropriate folder on the terminal (**C:\OTCnetOffline\data\ini\file name.ini**).

Figure 8. Save Credential File



Import a Check Capture Administrator Offline Logon Profile

After creating your Check Capture Administrator Offline Logon Profile (credential file) in OTCnet Online, import your Offline User Profile in OTCnet Offline. You must import the credential file to start the Offline application.

To import the *Check Capture Administrator Offline Logon Profile*, start **OTCnet Offline (Production or QA)**. Import your user profile and navigate to the location on the workstation where the *Check Capture Administrator Offline Logon Profile* was saved and import it.

Import a Check Capture Administrator Offline Logon Profile

To import the Check Capture Administrator Offline Logon Profile, complete the following steps:

1. Double-click the **OTCnet Offline (Production or QA)** icon located on the workstation desktop.

Or

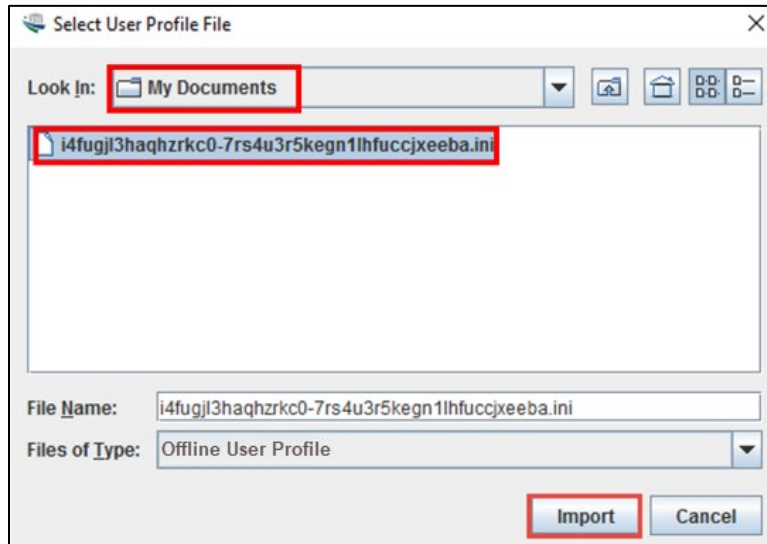
Select **Start>Programs>OTCnet Offline (Production or QA)**. The *OTCnet Offline Startup* window appears.
2. Select the **File** menu. Select **Import User Profile** as shown in Figure 9. The *Select User Profile File* dialog box appears.

Figure 9. OTCnet Offline Startup



3. Navigate to the location on the workstation where the *Check Capture Administrator Offline Logon Profile* is saved. Select the file and select **Import** as shown in Figure 10. Proceed with starting OTCnet Offline on the workstation.

Figure 10. Select User Profile



Application Tips

- The default location on the *Select User Profile File* dialog box is the user's **My Documents** folder.
- Once you have successfully imported the Check Capture Administrator Offline Logon Profile, you receive the *Successfully imported user profile* message.

Retrieve a Check Capture Administrator Offline Logon Profile

Once the OTCnet Offline Check Capture software is downloaded and installed, the **Check Capture Administrator's (CCA)** Offline logon profile is created and imported, and the Offline server is started. The next step is to retrieve (download) your Offline logon profile.

Once the Microsoft Edge or Chrome browser opens to the OTCnet Offline logon page, select the **Retrieve Admin Profile** hyperlink. If it is the first time you installed and accessed OTCnet Offline on a workstation, or if you forgot your Offline password and had to create a new CCA Offline logon profile, this step is required.

To download your CCA Offline logon profile, enter your Online User ID and Password, and specify the Proxy settings for the terminal (if required). Once your credentials are confirmed, the system connects with the OTCnet Online server, validates your credentials, and downloads your Administrator Profile locally. You are prompted to enter a new Permanent Password for your offline account. Once completed, you are returned to the login page to re-login to OTCnet Offline.

If you are upgrading an existing OTCnet Offline version to a newer version 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.

If you forget both your online and offline passwords, contact the Customer Service Team at (866) 945-7920 to reset your online password. Log in to OTCnet Online and re-establish a permanent password. Once your online password is reset, you must create another CCA Offline logon profile in OTCnet Online and access OTCnet Offline (internet connectivity is required) and repeat the steps for retrieving your administrator profile.

Your Offline password does not need to match your online account credentials.

Password Criteria includes the following, it must:

- Be at least 12 characters long
- Not have more than two repeating characters
- Not repeat any of your last ten passwords
- Not have been your password during the last ten days
- Not be a word in a language, slang, dialect, or jargon
- Not be related to personal identity, history, environment, or other personal associations
- Not be shared or displayed in plain view

Retrieve a Check Capture Administrator Offline Logon Profile

To retrieve a Check Capture Administrator Offline logon profile, complete the following steps:

1. Double-click the **OTCnet Offline (Production or QA)** icon on the workstation desktop.

Or

Select **Start>Programs>OTCnet Offline (Production or QA)>Start OTCnet Offline (Production or QA)**. The *OTCnet Offline Server Startup* page appears.



Application Tips

- If the OTCnet Offline icon is not located on the workstation desktop or Start Menu, under Programs, download and install the OTCnet Offline Check Capture software.
- If the Offline server was previously started, proceed to Step 3.

2. Enter your **User ID** and **Password** in the appropriate text boxes and select **Log In** (if applicable). The *OTCnet Login* page appears.
3. Select the **Retrieve Admin Profile** hyperlink as shown in Figure 11. The *Retrieve Admin Profile* page appears.

Figure 11. OTCnet Offline Home Page

The screenshot shows the OTCnet Offline Home Page. At the top left is the OTCnet logo with the tagline "DEPOSITS MADE SIMPLE" and "BUREAU OF THE FISCAL SERVICE" below it. The main content area is titled "User Login" and contains two text input fields: "User ID:" and "Password:". To the right of the "User ID" field is a blue hyperlink labeled "Retrieve Admin Profile", which is highlighted with a red rectangular box. At the bottom of the form area, there are two buttons: "Login" and "Clear".



Application Tip

Use the **Retrieve Admin Profile** hyperlink if this is the first time you are installing the OTCnet Offline application 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 Tips

- If **Proxy Server Configuration** settings are entered, they are saved in the system and can later be **viewed** and modified in **Terminal Configuration**.
- If the **Use Firewall Agent** option is enabled, the Firewall Agent is available for configuration and the agent name can be entered.
- 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. Select **Retrieve Profile** as shown in Figure 12.

Figure 12. 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:". Below these is a section titled "Proxy Server Configuration" which includes several options and dropdown menus: "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 dots), "Proxy Server" (dropdown menu showing "-- blank --"), and "Proxy Port" (dropdown menu showing "-- blank --"). At the bottom of the dialog, there are two buttons: "Retrieve Profile" and "Cancel".

7. Enter your **New Password**, and **Re-Enter New Password**.
8. Select **Save**. A *Confirmation* page appears stating your new password has been set.



Application Tips

- This new password is also the permanent password for your offline logon profile, used for starting up the Offline server and application.
 - Once the profile is successfully downloaded and your permanent password is set, you are prompted to log in to the Offline application with your new password.
 - If the profile download was unsuccessful, a message appears stating that the profile download was unsuccessful and to contact Customer Service for assistance.
-

9. Restart your computer to ensure that all OTCnet security features are fully enabled.

Reset a Check Capture Administrator Multi-Factor Authentication Status

When logging in to OTCnet Offline, you will be prompted to set up **two-factor authentication**. You will download and install an **authenticator application** on your workstation device and set up two-factor authentication for OTCnet Offline.

As a **Check Capture Administrator**, you can reset your own **multi-factor authentication (MFA)** status if you change your **offline password**, need to download your **offline profile** again, or input the **one-time** MFA code 10 times incorrectly so that you can login to OTCnet offline.

Download your offline profile by selecting **Retrieve Admin Profile**. Your MFA status resets and offline prompts you to set up your **MFA** status again.

Reset Your Own Multi-Factor Authentication Status

To reset your own multi-factor authentication status, complete the following steps:

1. On the **Offline Application** login page, select **Retrieve Admin Profile**.
2. The system retrieves your user profile and prompts you to change your offline password.
3. Change your **offline password**.
4. The system updates your offline password and initialization file and saves your profile and login credentials.
5. The system will prompt you to set up **multi-factor authentication (MFA)**.
6. If you have already set up **MFA**, you will be prompted to input your one-time code.
7. If you have not set up the **MFA**, the system prompts you to set up **MFA** with your chosen authenticator application by downloading the application on your workstation device.
8. Follow the steps in the authenticator to set up **MFA**. The system displays the **authenticator secret** and instructs you to enter it into your chosen authenticator as shown in Figure 13.
9. Input the **authenticator secret** into your authenticator application and label it as “**OTCnet Offline**.”
10. Enter your **Time-Based One-Time Password (TOTP)** code generated by the authenticator into the textbox and select **OK**.

Figure 13: Prompt for Multi-Factor Authentication Setup

Multi-Factor Authentication Setup

If you do not have an authenticator application installed, please close the browser to download and install an authenticator application on your workstation device and begin setting up multi-factor authentication for OTCnet Offline.

Your Time-based one-time password (TOTP) secret is XXXXXXXX.

Please use this in your authenticator application to set up your multi-factor authenticator for OTCnet. In your authenticator application, please select TOTP as your authenticator option with SHA1 and a TOTP code length of six characters. After you have set up your multi-factor authenticator for OTCnet, please enter the code generated by the authenticator into the textbox below.

Please enter TOTP Code from your authenticator app

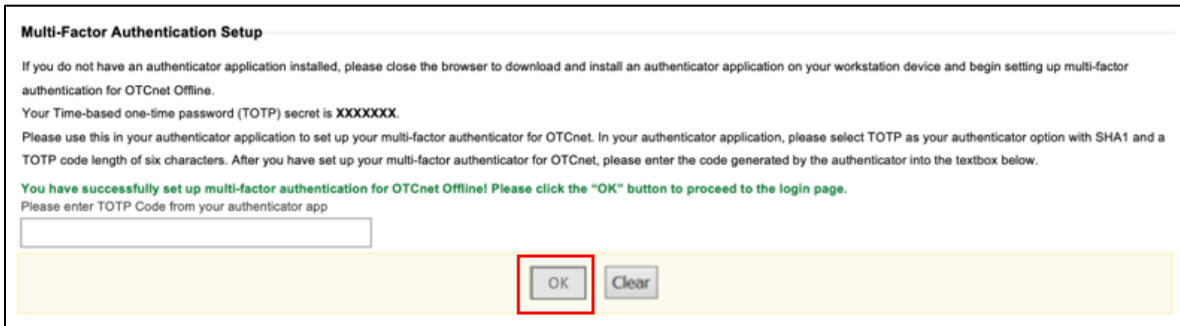
OK Clear



Application Tip

User must ensure they have selected **TOTP** as their authenticator option with **SHA1** and an **OTP code** length of six characters. Not all authenticators will present this option, but if it is an option, these parameters should be selected.

11. If you enter correctly the **TOTP** code, system will display a message that you have successfully set up multi-factor authentication for OTCnet Offline. Select the **OK** button to proceed to the login page as shown in Figure 14. Otherwise, system will prompt you to verify your **MFA** setup and **TOTP** code and try again.

Figure 14: Successful Multi-Factor Authentication Setup Message

Multi-Factor Authentication Setup

If you do not have an authenticator application installed, please close the browser to download and install an authenticator application on your workstation device and begin setting up multi-factor authentication for OTCnet Offline.

Your Time-based one-time password (TOTP) secret is XXXXXXXX.

Please use this in your authenticator application to set up your multi-factor authenticator for OTCnet. In your authenticator application, please select TOTP as your authenticator option with SHA1 and a TOTP code length of six characters. After you have set up your multi-factor authenticator for OTCnet, please enter the code generated by the authenticator into the textbox below.

You have successfully set up multi-factor authentication for OTCnet Offline! Please click the "OK" button to proceed to the login page.

Please enter TOTP Code from your authenticator app

12. The system completes user authentication and displays a message informing you that **MFA** has been successfully set up.
13. Acknowledge the **message**. The system logs you out and displays the *OTCnet Offline* login screen.

Topic 4 Manage OTC Endpoints

After the **Check Capture Administrator's (CCA)** profile is downloaded to the terminal, as the **CCA** you are authorized to manage OTC Endpoints. Managing OTC Endpoints allows for the user to select which OTC Endpoint(s) (e.g., **CHK**) and OTC Endpoint information is downloaded to the OTCnet Offline Check Capture application. As a **Check Capture Supervisor (CCS)**, you are authorized to download OTC Endpoints after the **CCA** selects the OTC Endpoint for download.

Before you can manage your OTC Endpoints, 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 retrieves all OTC Endpoints (**CHK**): Agency Location Code plus 2 (ALC+2), Short Name, and Description, that you have access to Online. After the system has successfully retrieved all accessible OTC Endpoints (**CHK**), you are 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 is 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 capture accounting codes have the ability to retrieve and save the accounting codes that have been set up online and mapped to that endpoint. If a **CCA** or **CCS** updates an accounting code online, the Offline application incorporates those adjustments.

Select OTC Endpoints

The **Select OTC Endpoints** function allows you to select OTC Endpoint(s) to be retrieved from the hierarchy. You must first select the OTC Endpoints you want to retrieve before you can download to the OTCnet Endpoints.

Select OTC Endpoints

To select OTC Endpoints, complete the following steps:

1. From the **Administration** tab, select **Manage OTC Endpoints>Select OTC Endpoints**. The *Online User ID and Online Password* dialog appears.
2. Enter your **Online Password** and select **Login** as shown in Figure 15. The *Select OTC Endpoint Downloads* dialog box appears.

Figure 15. Online Password

This action requires online authentication. Please provide your online password below.

Online User ID: sccsup17

Online Password:

Login Cancel



Application Tips

- Enter the 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.

3. Select **Close**. The *Step 1 of 2 Select OTCnet Endpoint(s)* page appears with the *Select OTC Endpoint* message.



Application Tips

- It is recommended that you do not select the **Cancel** button. Instead, wait for the **Close** button to ensure the OTC Endpoints (**CHK**) display on the *Select OTC Endpoints* page.
- When the *Select OTC Endpoints Task* dialog box appears, the system downloads the OTC Endpoint information (**CHK**) (**Short Name, Agency Location Code plus 2 [ALC+2], and Description**).

- 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 as shown in Figure 16.

Figure 16. Select OTC Endpoints

Select OTC Endpoints

Step 1 of 2: Select OTC Endpoint(s)

Please select an OTC Endpoint

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



Application Tips

- Only active OTC Endpoints (**CHK**) to which a user has access is listed.
- OTC Endpoints (**TGA**) are not displayed.

- Select **Next**. The *Step of 2 of 2 Review OTC Endpoint(s)* page appears.
- Verify the OTC Endpoints to be saved to the database. Select **Submit**.
- A *Confirmation page* appears presenting the OTC Endpoints that have been successfully saved into the local offline database.



Additional Button

Select **Return Home** to the OTCnet Home Page.

Download OTC Endpoints

The Download OTC Endpoints function allows you to download OTC Endpoint information, i.e., 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.

The **Check Capture Administrator** and **Check Capture Supervisor** are authorized to download OTC endpoints.

Download OTC Endpoints

To download OTC Endpoints, complete the following steps:

1. From the **Administration** tab, select **Manage OTC Endpoints>Download OTC Endpoints**. The *Download OTC Endpoint* message appears.
2. Select **Download** as shown in Figure 17. The *OTC Endpoint and Form Update* dialog box appears.

Figure 17. Download OTC Endpoints Review

OTC Endpoint	ALC-2	Description	Form Name	Form Version	Form Implementation Date	GWA Reporter	Summary Classification Flag	Agency Accounting Codes	Last Modified Date
E1	00000303TT	Endpoint 1							



Application Tips

- 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.
- To view the accounting codes associated with the OTC Endpoint before downloading the OTC Endpoints, select **View** on the *Download OTC Endpoints* page. After viewing the accounting codes, select **Previous** to return to the *Download OTC Endpoints* page.

3. Select **Close**.



Application Tips

- It is recommended that the **Cancel** button is not selected. 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 to are listed.
- OTC Endpoints (**TGA**) do not display.
- **CHK** denotes check capture.
- **TGA** denotes deposit processing.
- **CDC** denotes card processing.

4. A *Confirmation* page appears presenting the OTC Endpoints that have been successfully downloaded.



Additional Button

Select **Return** Home to return the OTCnet Home Page.

Topic 5 Manage User Profiles

If you are assigned the role of **Check Capture Administrator (CCA)**, you are the only authorized user who can download and update user profiles.

Downloading user profiles allows a user to perform the check capture function using OTCnet Offline. The user can only perform this function within the OTC Endpoints that he/she is provisioned to in OTCnet Online. 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 account status, personal information, and provisioning. If a profile is inactive, and it must be used, it must be reactivated in OTCnet Offline. Updating user profiles in OTCnet Offline does not change the user's profile in OTCnet Online.

Download User Profiles

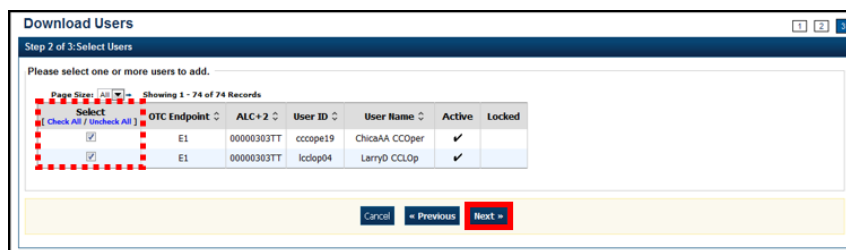
To manage user profiles, you must first download your user profile(s) to the OTCnet Offline application. Select the user profile(s) that you want to download to the OTCnet Offline Check Capture application and review the users selected to download.

Download User Profiles

To download user profiles, complete the following steps:

1. From the **Administration** tab, select **User Administration>Download Users**. The *Step 1 of 3: Select OTCnet Endpoint(s)* page appears.
2. Select the OTC Endpoint(s) where you want to download the user profile(s) to the OTCnet Offline Check Capture application.
3. Select **Next**. The *Download Users* dialog box appears.
4. Select **Close**. The *Step 2 of 3: Select User(s)* page appears.
5. Select the user profile(s) that you want to download to the OTCnet Offline Check Capture application as shown in Figure 18.

Figure 18. Step 2 of 3: Select Users



6. Select **Next**. The *Step 3 of 3: Review Users* page appears.
7. Verify the user profiles for the selected OTC Endpoints that should be downloaded to the local offline database. Select **Submit**.
8. A *Confirmation* page appears presenting the user profiles for the OTC Endpoints that have been successfully downloaded to the local offline database, along with the users' temporary passwords, used to access OTCnet Offline.



Application Tips

- Communicate the User IDs and temporary passwords to the appropriate users.
- The User ID is the same one you use to access OTCnet Online.
- If the **Check Capture Administrator** forgets to record the temporary password, he/she may reset the user profile's password for another temporary password.



Additional Button

Select **Return Home** to the OTCnet Home Page.

Topic 6 Manage 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 create check capture override and online authentication password, activate/deactivate a user, unlock a user account, reset a user password and multi-factor authentication (MFA), 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 and approved, and a password must be provided.

Creating Check Capture Override and Online Authentication Password

Check Capture Administrators can create passwords for online authentication into offline so that they can continue to perform functions in offline.

From the **Administration** tab, select **Manage Users>Create Check Capture Override and Online Authentication Password**. Enter and confirm your **password**, then select the **Submit** button. A **Confirmation** page displays stating that you have successfully created your **Check Capture Override and Online Authentication password**. Select **OK** to return to the *OTCnet homepage*.

Create Check Capture Override and Online Authentication Password

To create check capture override and online authentication password, complete the following steps:

1. From the **Administration** tab, select **Manage Users>Create Check Capture Override and Online Authentication Password**. The **Create Password** screen displays as shown in Figure 19.
2. Enter and confirm your **password**.



Application Tip

The **Check Capture Administrator** can create a new password that is either the same or different from their old password. The password must satisfy the following requirements:

- Must be at least 12 characters long.
- Must not be longer than 64 characters.
- Must not have more than two repeating characters.
- 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.

3. Select the **Submit** button to process the data.

Figure 19: Create Check Capture Override and Online Authentication Password

The screenshot displays the 'Create Password' interface. At the top, there are navigation tabs for 'Check Processing', 'Administration', and 'Reports'. Below these are several dropdown menus for system management. The breadcrumb trail indicates the current path: 'Home >> Administration >> Manage Users >> Create Check Capture Override and Online Authentication Password'. The main title of the page is 'Create Check Capture Override and Online Authentication Password', with a small blue box containing the number '1' to its right. Below the title is a section labeled 'Create Password'. A note indicates that an asterisk denotes required fields. The 'User ID' is shown as 'exampleID123'. There are two text input fields: 'Enter Check Capture Override and Online Authentication Password*' and 'Confirm Check Capture Override and Online Authentication Password*'. At the bottom right of the form, there are three buttons: 'Clear', 'Cancel', and 'Submit'. The 'Submit' button is highlighted with a red box.



Additional Buttons

If your **password** does not comply with the Fiscal Service password policy requirements, you will get an error message to try again. The password requirements will be displayed on the screen.

4. A **Confirmation** page displays, as show in Figure 20, stating that you have successfully created your **Check Capture Override and Online Authentication Password**.
5. Select **OK** to return to the *OTCnet Homepage*.

Figure 20: Confirmation Page (Check Capture Override/Online Authentication)

The screenshot shows a web application interface with a navigation bar at the top containing 'Check Processing', 'Administration', and 'Reports'. Below the navigation bar are several dropdown menus: 'Manage Organizations', 'Manage Users', 'Manage Check Processing', 'Manage Centralized Deployment', and 'Audit'. The breadcrumb trail reads: 'Location: Home >> Administration >> Manage Users >> Create Check Capture Override and Online Authentication Password'. The main heading is 'Create Check Capture Override and Online Authentication Password' with a small '2' in a box to its right. Below this is a 'Confirmation' section with a red asterisk and the text '* Denotes required fields'. A text box contains 'User ID: exampleID123'. The main message reads: 'You have successfully created your Check Capture Override and Online Authentication Password. Click OK to return to the OTCnet homepage.' At the bottom right, there is a blue 'Ok' button highlighted with a red rectangular box.

Activating/Deactivating a User

It is 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 manage or upload batches.

To activate/deactivate a user account, you must select a user and activate or deactivate it.

Activate/Deactivate a User

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

1. From the **Administration** tab, select **User Administration>Manage Users**. The *Step 1 of 2: Select a User* page appears.
2. Select the **user profile radio button** that you want to activate/deactivate.



Application Tip

You can only activate/deactivate one user profile at a time.

3. Select **Activate/Deactivate** as shown in Figure 21.

Figure 21. Step 1 of 2: Select a User (Activate/Deactivate a User)

The screenshot shows the 'Manage User' interface with the following data table:

Select	OTC Endpoint	ALC+2	User ID	User Name	Active	Locked
<input type="radio"/>	CAS BofA	14160006R9	atstf02	Auto Testfve	✓	
<input type="radio"/>	CAS BofA	14160006R9	atsto01	Auto TestOne	✓	
<input checked="" type="radio"/>	CAS BofA	14160006R9	otcnetDebug01529	Evkod Qjovsn	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01530	Ydfip Cxgquykr		
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01636	Lxfrigy Vvgnbrssw	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01696	Jaus Ghzpoh	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01720	Akimpig Midobvyyjmv	✓	
<input type="radio"/>	SruLLE6	1601200401	otcqe49	otcnet tcnqeChkAdmin	✓	
<input type="radio"/>	SruLLE6	1601200401	otcqe51	otcnet tcnqeChkLeadOp	✓	
<input type="radio"/>	ABC test1	1600008011	otqef176	otcnet tcqeeChkSupervisorFA_Bureau of the Public Debt	✓	

At the bottom of the interface, the 'Activate/Deactivate' button is highlighted with a red box.

4. The Step 2 of 2: Review User Profile for Activation/Deactivation page appears.
5. Verify the user profile should be activated/deactivated. Select **Submit**. A *Confirmation* page appears presenting the user profile that is activated/deactivated.



Additional Buttons

- Select **Return to View User Profile List** to return to the View User Profile List for that terminal.
- Select **Return Home** to the OTCnet Home Page.

Unlocking a User Account

Unlocking a user 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.

Unlocking a User Profile

To unlock a user profile, complete the following steps:

1. From the **Administration** tab, select **User Administration>Manage Users**. The *Step 1 of 2 Select a User* page appears.
2. Select the **user profile radio button** that you want to unlock.
3. Select **Unlock Account** as shown in Figure 22.

Figure 22. Step 1 of 2: Select a User (Unlock User Account)

The screenshot shows the 'Manage User' interface in the 'Administration' tab. The page title is 'Manage User' and the sub-header is 'Step 1 of 2: Select a User'. Below this, there is a table of users with columns: Select, OTC Endpoint, ALC+2, User ID, User Name, Active, and Locked. The user 'Evkod Qjowsn' is selected, and the 'Unlock Account' button is highlighted with a red box. Below the table are buttons for 'Cancel', 'Activate/Deactivate', 'Unlock Account', 'Reset Password and MFA', and 'Print User List'.

Select	OTC Endpoint	ALC+2	User ID	User Name	Active	Locked
<input type="radio"/>	CAS BofA	14160006R9	atestf02	Auto Testfive	✓	
<input type="radio"/>	CAS BofA	14160006R9	atesto01	Auto TestOne	✓	
<input checked="" type="radio"/>	CAS BofA	14160006R9	otcnetDebug01529	Evkod Qjowsn	✓	✓
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01530	Yxfip Cxgquykr		
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01636	Lxfrigy Vvgnbrssw	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01696	Jaus Ghzpoh	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01720	Akiimplg Midobvxyjmv	✓	
<input type="radio"/>	SruLLE6	1601200401	otcqef49	otcnet tcnqeChkAdmin	✓	
<input type="radio"/>	SruLLE6	1601200401	otcqef51	otcnet tcnqeChkLeadOp	✓	
<input type="radio"/>	ABC test1	1600008011	otqef176	otcnet tcqeeChkSupervisorFA_Bureau of the Public Debt	✓	



Application Tips

- You can only unlock one user profile at a time.
- Unlocking a user profile allows the user to log in to OTCnet Offline using his/her original password.

4. Verify the specific user profile should be unlocked and select **Submit**. A Confirmation page appears verifying the user profile is unlocked.



Additional Buttons

- Select **Return to View User Profile List** to return to the View User Profile List for that terminal.
 - Select **Return Home** to return to the OTCnet Home Page.
-



Application Tips

Unlocking a user account also allows the user to reset/change their offline password and **multi-factor authentication (MFA)**. The application resets their **MFA** status, updates the **offline password** for the user and initialization file, and prompts the user to set up again their **two-factor authentication**. The user then can login to their OTCnet offline account.

Resetting a User Password and Multi-Factor Authentication (MFA)

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 password from Manage Users, select the user profile for the user whose password and reset the password.

If the user enters their **password incorrectly** three times or inputs their **one-time MFA code incorrectly** 10 times, they must contact their administrator to reset their account.

Resetting a User Password and Multi-Factor Authentication (MFA)

To reset a user password, complete the following steps:

1. From the **Administration** tab, select **User Administration>Manage Users**. The *Step 1 of 2 Select a User* page appears.
2. Select the **user profile radio button** for the password you want to reset.
3. Select the **Reset Password and MFA** button as shown in Figure 23.

Figure 23. Step 1 of 2: Select a User (Resetting a User Password and MFA)

Check Processing Administration

Manage OTC Endpoints User Administration Manage Check Processing Audit

Location: Home > Administration > User Administration > Manage Users

Manage User

Step 1 of 2: Select a User

Select a User for action

Showing 1 - 10 of 10 Records

Select	OTC Endpoint	ALC+2	User ID	User Name	Active	Locked
<input type="radio"/>	CAS BofA	14160006R9	atestf02	Auto Testfive	✓	
<input type="radio"/>	CAS BofA	14160006R9	atesto01	Auto TestOne	✓	
<input checked="" type="radio"/>	CAS BofA	14160006R9	otcnetDebug01529	Evkod Qjowsn	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01530	Ydflp Cxgquykr	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01636	Ldfrlgy Vvgnbrssw	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01696	Jaus Ghzpoh	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01720	Aklimplg Midobvvygmv	✓	
<input type="radio"/>	SruLLE6	1601200401	otcqef49	otcnet tcnqeChkAdmin	✓	
<input type="radio"/>	SruLLE6	1601200401	otcqef51	otcnet tcnqeChkLeadOp	✓	
<input type="radio"/>	ABC test1	1600008011	otqef176	otcnet tcqeeChkSupervisorFA_Bureau of the Public Debt	✓	

Cancel Activate/Deactivate Unlock Account **Reset Password and MFA** Print User List

4. The *Step 2 of 2 Review User Profile for Password Reset and Multi-Factor Authentication* page appears. Verify the following user's profile password and MFA should be reset and select **Submit** as shown in Figure 24.

Figure 24: Step 2 of 2: Review User Profile for Password Reset and MFA

Check Processing Administration

Manage OTC Endpoints User Administration Manage Check Processing Audit

Location: Home > Administration > User Administration > Manage Users

Reset User Password and Multi-Factor Authentication

Step 2 of 2: Review User Profile for Password Reset and Multi-Factor Authentication

User profile to reset password and multi-factor authentication.

Showing 1 - 1 of 1 Records

OTC Endpoint	ALC+2	User ID	User Name	Active	Locked
Selenium1	7200000401	sautom01	Selenium sautom01CCO	✓	

Cancel < Previous **Submit**

5. The system resets user **MFA** status as part of this step. User will need to set up the **MFA** again upon next login.

- The system displays the user's **temporary password** to you, the **Check Capture Administrator**, on the screen.



Application Tips

The user must have already:

- Entered their **password** incorrectly three times
 - Input their **one-time code** incorrectly 10 times
 - Contacted their administrator to **reset** their status
-

- Copy and paste the **temporary password** and provide it to the user whose account has been unlocked.
- User receives temporary password from you, the **Check Capture Administrator**, and logs into offline using the **temporary password** and **email address**.
- The system prompts the user to change offline **password**.
- User changes offline **password**.
- The system updates the offline **password** for user and initialization file and prompts the user to set up their **MFA** again.



Application Tips

- You can only reset one user password at a time.
 - Communicate the User ID and temporary password and provide it to the appropriate user. The User ID is the same as the one used to access OTC Online.
-



Additional Buttons

- Select **Return to View User Profile List** to return to the View User Profile List for that terminal.
 - Select **Return Home** to return to the OTCnet Home Page.
-

Printing a User List

When managing user profiles, you can export and print out a detailed user list in the following formats: **Word**, **Excel** or **PDF**. The User List report provides details, i.e., **OTC Endpoint**, **Agency Location Code plus 2 (ALC+2)**, **User ID**, **User Name**, **Create Date**, **Last Access Time**, **Download Time**, and **Role Name**.

Printing a User List

To print a user list, complete the following steps:

1. From the **Administration** tab, select **User Administration>Manage Users**. The *Step 1 of 2 Select a User* page appears.
2. Select **Print User List** as shown in Figure 25.

Figure 25. Step 1 of 2: Select a User (Print User List)

The screenshot shows the 'Manage User' interface with the following data table:

Select	OTC Endpoint	ALC+2	User ID	User Name	Active	Locked
<input type="radio"/>	CAS BofA	14160006R9	atestf02	Auto Testfive	✓	
<input type="radio"/>	CAS BofA	14160006R9	atesto01	Auto TestOne	✓	
<input checked="" type="radio"/>	CAS BofA	14160006R9	otcnetDebug01529	Evkod Qjowsn	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01530	Ydfip Cxgquykr		
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01636	Lxfrlgy Vvgnbrssw	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01696	Jaus Ghzpoh	✓	
<input type="radio"/>	CAS BofA	14160006R9	otcnetDebug01720	Akimplg Midobvxyjmv	✓	
<input type="radio"/>	SruLLE6	1601200401	otcqef49	otcnet tcnqeChkAdmin	✓	
<input type="radio"/>	SruLLE6	1601200401	otcqef51	otcnet tcnqeChkLeadOp	✓	
<input type="radio"/>	ABC test1	1600008011	otqef176	otcnet tcqeeChkSupervisorFA_Bureau of the Public Debt	✓	

At the bottom of the interface, there are several buttons: Cancel, Activate/Deactivate, Unlock Account, Reset Password and MFA, and **Print User List** (highlighted with a red box).

3. The *Print User List* preview page appears. Under **Export as**, you have the following options:
 - Select **PDF, Word** or **Excel**
 - Select **Download**

Or

 - Select **Print PDF Report**



Additional Button

Select **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 Offline

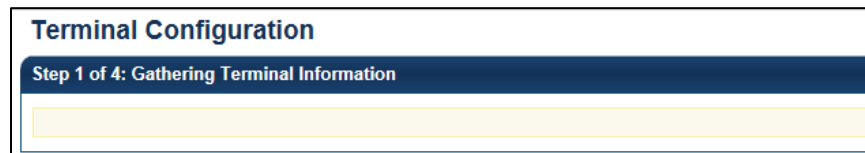
To configure a check capture terminal offline, you must update the terminal configuration, which consists of the **System Configuration (Task Execution, LVD Usage and Receipt Printing)**, **Application Configuration**, **Devices Configuration (Scanner Model, USB Port, Serial Port and Franking Enabled)**, and the **Standalone Configuration (Secondary Storage, Supervisor Approval, Retention Periods, Secure Batch Transmissions and Proxy Server Configuration)**. Once you have configured these settings, you can update the **Configured OTC Endpoints** and/or add the **Available OTC Endpoints** and review the configuration options.

Configure a Check Capture Terminal Offline

To configure a check capture terminal offline, complete the following steps:

1. From the **Administration** tab, select **Manage Check Processing>Terminal Configuration >Modify**. The *Step 1 of 4: Gathering Terminal Information* page may appear briefly as shown in Figure 26.

Figure 26. Step 1 of 4: Gathering Terminal Information



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.

2. The *Step 2 of 4: Update the Terminal Configuration* page appears. Enter the system configuration.

Under **System Configuration**:

Set **Task Execution** by completing the following:

- Checking or unchecking **Start Up** and/or **Close Batch** for the following:
 - Download OTC Endpoint
 - LVD Download
 - Acknowledge Batch
 - Upload Batch

3. Select **Next**. The *Step 3 of 4: Update the Configured OTC Endpoints* page appears as shown in Figure 27.

Figure 27. Step 3 of 4: Update the Configured OTC Endpoints

ALC+2	OTC Endpoint	Form Version	Description	Add [Check All / Uncheck All]
00000303TT	E1	2004	Endpoint 1	<input type="checkbox"/>

Configured OTC Endpoints
No OTC Endpoints have been configured for this terminal

<< Previous Cancel Next >>



Application Tips

- 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 are executed.
- **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 also uploads during the Upload Batch task. Additionally, the terminal configuration information uploads for use by Customer Service in Terminal Query.

Set **LVD Usage** as shown in Figure 28 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**

Figure 28. LVD Usage

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	



Application Tips

- 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 none of these items are checked, the LVD verification feature is disabled.
- 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*
 - Select the **Manual** or **Automatic** radio button
 - Check **with preview**
- Checking **Person Not Present**, *optional*
 - Select the **Manual** or **Automatic** radio button
 - Check **with preview**



Application Tips

- Leaving both the **Person Present** and **Person Not Present** fields unchecked results in the disabling of this option. If receipts are desired, select the appropriate box(es).
- 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 the **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**.
- When printing receipts, the system prints to the Windows default printer. All receipts print to the Windows default printer.

Under **Application Configuration**, enter the **Terminal ID**, **Processing** option, **Cashflow**, **Batch Control** and **Batch Control Attempts**:

- Enter the **Terminal ID**



Application Tips

- 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.
-

- Select **Single** or **Batch** for Processing mode



Application Tips

- **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. The **Batch** processing mode is available for EC7000i, EC9100i, and all Panini scanners.
-

- Select **Settle Best Method** or **Truncate All Items** for Cashflow
 - Check **Back Office Processing Only**



Application Tips

- 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 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 Tips

- 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.
-
- Select **Prompt on Batch Create** and/or **Prompt on Batch Close** for Batch Control Prompts.

Under **Devices Configuration** as shown in Figure 29,

- Select the **Scanner** model, *required*
- Select **USB Port** or **Serial Port**, *required*
 - Select the Serial Port type

Figure 29: Device Configuration



Application Tips

- **USB Port:** EC7000i, EC9100i, Panini MyVision, Panini VisionX, and Panini I: Deal scanners require a USB port communication channel. EC7000i scanners support USB and Serial communication channels.
- **Serial Port and COM dropdown:** The user selects the serial port (i.e., COM port) where they have connected a serial scanner.
- **USB-to-serial adapters:** USB-to-serial adapters are not supported. EC7000i scanners support USB and Serial communication channels.
- 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 available for EC7000i, EC9100i, and Panini I: Deal scanners.

Under **Standalone Configuration**,

- Set **Secondary Storage** by, *required*
 - Specifying the preferred **Secondary Storage** folder location in the **Secondary Storage** location



Application Tips

- As a best practice, it is recommended that you use an external secondary storage folder location, for example a shared or network drive (e.g., E:\OTCnet\SecondaryStorage).
 - If you do not specify an external folder location and attempt to use a folder on your local workstation, you receive a warning message.
 - You can use Windows Explorer to specify (and enter) the preferred folder location for **Secondary Storage** on the terminal.
 - You can either manually enter the preferred folder location or copy the path from the Windows Explorer path field and paste it into the **Secondary Storage** field.
-

- Set **Supervisor Approval** by, *optional*
 - Checking or unchecking **Supervisor Approval Required for Upload Batch**



Application Tips

- 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 **Check Capture Supervisor** must
- .+ 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 Tips

- 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.
- By default, the **Batch Retention Period** is set to **30** 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 Tips

- 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 makes 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 Tips

- 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.
- If the **Use Firewall Agent** option is enabled, then the **Fire Agency** is available for configuration and the agent name can be entered.
- If the **Use Proxy** option is enabled, then **Proxy Timeout, Proxy User, Proxy Password, Proxy Server, and Proxy Port** are available for configuration.

-
4. Add or remove the OTCnet endpoint(s) that performs check scan, designate a default OTC Endpoint. Select **Next**.

Under **Available OTC Endpoints**,

- Select the **OTC Endpoint(s)** you want to add by checking the box(es) under the **Add** column, and select **Add** as seen in Figure 30.

Figure 30. Step 3 of 4: Update the Configured OTC Endpoints

Terminal Configuration

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
00000303TT	E1	2004	Endpoint 1	[Check All / Uncheck All] <input type="checkbox"/>

Add >>

Configured OTC Endpoints

No OTC Endpoints have been configured for this terminal

<< Previous Cancel Next >>

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 select **Remove**, *if applicable*.



Application Tips

- The OTC Endpoints are permission based and are only visible to users with the appropriate permissions.
- Selecting a **Default OTC Endpoint** determines which OTC Endpoint to use when performing Scan Checks actions.
- Multiple OTC Endpoints can be selected but only one can be set as a **Default OTC Endpoint**.
- At least one **Default OTC Endpoint** is required per terminal.

5. Select **Next**. The *Step 4 of 4: Review the Terminal Configuration* page appears. Verify the Terminal Configuration is correct and select **Submit**. Select **Edit** to modify the information entered.
6. A *Confirmation* page appears stating that the Terminal Configuration record has been updated.



Additional Button

Select **Return Home** to the OTCnet Home Page.

View a Check Capture Terminal Offline Configuration

To view a check capture terminal configuration, you can view all aspects of the configuration, including the **Default OTC Endpoint**, **System Configuration**, **Application Configuration**, **Devices Configuration** and **Standalone Configuration**.

View a Check Capture Terminal Offline Configuration

To view check capture terminal configuration settings, complete the following steps:

1. Select the **Administration** tab and select **Manage Check Processing>Terminal Configuration>View**. The *View* page appears as shown in Figure 31.

Figure 31. View Terminal Configuration Page

The screenshot displays the 'Terminal Configuration' view page. It includes several sections:

- OTC Endpoint Configuration:** A table showing configured OTC endpoints.

Default OTC Endpoint	ALC+2	OTC Endpoint	Form Version	Description
<input checked="" type="checkbox"/>	00000303TT	E1	2004	Endpoint 1
- 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"/>
Upload Batch	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Acknowledge 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
- Application Configuration:**

Terminal ID	BAH01
Host Name	BAHRVFTK5
Processing	Single
Cashflow	Settle Best Method
Batch Control	Mandatory
Batch Control Prompts	Prompts on Batch Close
- Devices Configuration:**
 - Scanner: Panini Deal
 - Communication Channel: USB Port
 - Franking Enabled:
- Standalone Configuration:**
 - Secondary Storage: C:\OTCnet_gse
 - Supervisor Approval:

Supervisor Approval Required for Upload Batch	<input checked="" type="checkbox"/>
---	-------------------------------------
 - Retention Periods:

Batch Retention Period	30 days
Audit Log Retention Period	365 days
 - Secure Batch Transmission:

WSDL URL	https://gse.wvs.otcnet.fms.trea.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	



Additional Button

Select **Return Home** to the OTCnet Home Page.

Topic 8 Search an Audit Log Offline

The audit log records all interactions between the user and OTCnet. It 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* (CSV) report and opens in a spreadsheet program. It's also 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 is authorized to view specific audit logs as shown in Table 2.

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
Card Administrator (CA)	Partial administration-related activities and all card-related activities
Card Operator (CO)	Partial access to user's own card-related activities

Search an Audit Log Offline

You can search audit logs by module, user, OTC Endpoint, and other search criteria, i.e., **From** and **To** date, **Keyword**, **Category Name**, **Terminal ID**, **Batch ID**, **Event Type** and **Operation Mode**. 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 Offline

To search an audit log using OTCnet Offline, complete the following steps:

1. From the **Administration** tab, select **Audit**. The *Search Audit Logs* page appears.
2. Enter the search criteria for the activities you would like to view.

Under **Search Criteria**, *optional*

- Select a **Module** type, *optional*
- Enter a **User**
- Select an **OTC Endpoint**
- Enter the **From** and **To** date and time ranges, *required*
- Select a **Keyword**, *required*
- Select a **Category Name**
- Enter the **Terminal ID**
- Enter the **Batch ID**
- Select an **Event Type**
- Select an **Operation Mode**



Application Tips

- The **Module** drop-down options vary by user role. **Module** options include **Administration**, **Check Processing**, and **Deposit Processing**.
 - If you do not know the full name of the OTC Endpoint, enter a partial name search (as few as one letter) in the **Starts with** text box and select the **Select From List** icon (magnifying glass).
- The **From** and **To Created On Date** must be entered in MM/DD/YYYY format and cannot exceed 30 days.
- The **Keyword** and **Category Name** drop-down options vary by user role.
 - **Event Types** are categories of events recorded by the audit log as shown in Table 3. Event Types.
 - **Operation Mode** option includes **Offline**.

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.

3. Select **Search**. The *Search Results* table appears.



Application Tips

- If you run a search without specifying any criteria, the search results include all activities in the system that you have access to view. Run additional searches and the *Search Results* table repopulates with the results of the new search.
- Select **Download** to download the search results.
- Select **Print Audit Log Records** to print a formatted audit log record.

4. Select 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**.

5. Select **Download** to download the search results as shown in Figure 32. Select **Print Audit Log Records** to print a formatted audit log record as shown in Figure 32.

Figure 32. 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](#)

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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='P' 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



Additional Buttons

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

Topic 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 occurs when a check capture terminal unexpectedly fails - any time prior to batches being uploaded Online.

For the Batch Recovery function to work, the following steps must be completed:

- 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.
- You must review the total number of batches that were successfully recovered from 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 the ALC and Terminal ID for the recovered batch.
- 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, complete the following steps:

1. From the **Administration** tab, select **Utilities>Batch Utilities>Batch Recovery**. The *Review Recovery* page appears.



Application Tip

The **Recover Batch** function supports the recovery of batches containing transactions with associated accounting codes from secondary storage.

2. Select **Submit** as shown in Figure 33. The *Percentage Complete* dialog box appears.

Figure 33: Batch Recovery Review



Application Tip

Wait until the display percent completion reaches 100% before selecting **Close**.

Select **Close**. The *Review* page presents the total number of batches that were successfully recovered from the secondary storage.



Additional Buttons

3.
 - If the **Cancel** button is selected before the batch recovery is complete, a dialog box appears asking if you want to cancel the batch recovery.
 - Select **Yes** to cancel the batch recovery.
 - Select **No** to continue recovering the batch.
 - Select **Return Home** to return to the OTCnet Home Page.

Summary

In this chapter, you learned:

- The purpose of Setting Up and Configuring Check Capture Offline
- Downloading and Installing OTCnet Offline Check Capture Software
- Retrieving a Check Capture Administrator Profile
- Managing OTC Endpoints
- Managing User Profiles
- Managing Offline Users
- Managing a Check Capture Terminal Offline
- Searching an Audit Log
- Recovering a Batch