OTCnet℠

Deposits Made Simple

Chapter 3: Managing User Accounts

OTCnet Participant User Guide

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Audience, Overview and Topics

Audience

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

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

Overview

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

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

Topics

This chapter is organized by the following topics:

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

Topic 1. Purpose of Managing User Accounts

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

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

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

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

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

Topic 2. Creating a User Identity (ID)

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

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

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

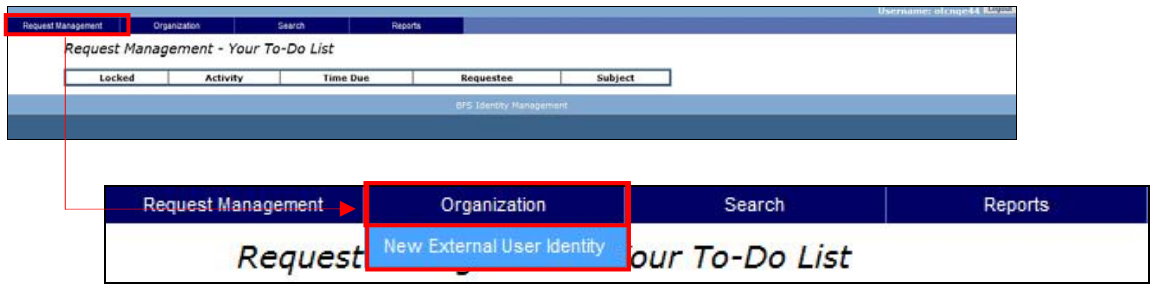
Create a User Identity

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

Figure 1. Log in to ITIM

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

Figure 2. New External User Identity

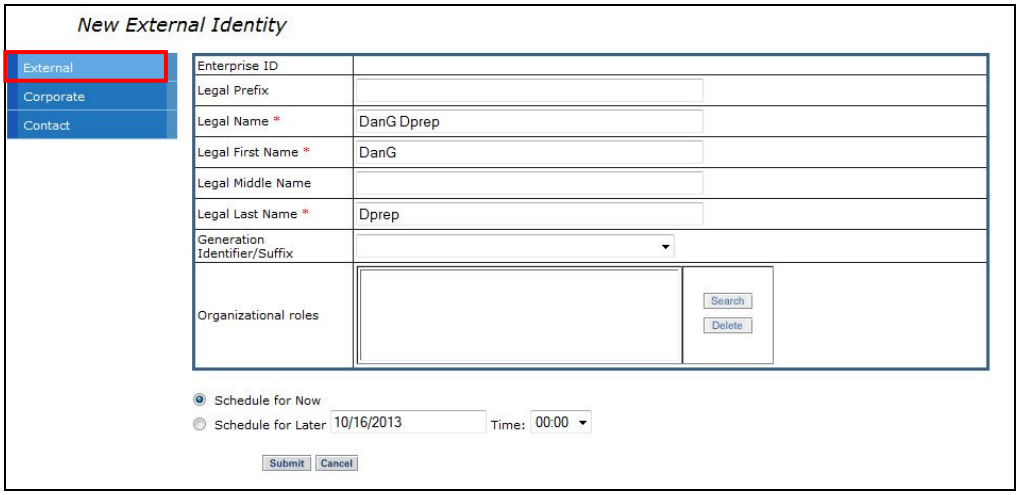


3. The *New External Identity* page appears. Under the **External** tab, enter the personal information details (see Figure 3 below).

   - Enter the user's **Legal Prefix**
   - Enter the user's **Legal Name**, *required*
   - Enter the user's **Legal Fir*st Name***, *required*
   - Enter the user's **Legal Middle Name**
   - Enter the user's **Legal Last Name**, *required*

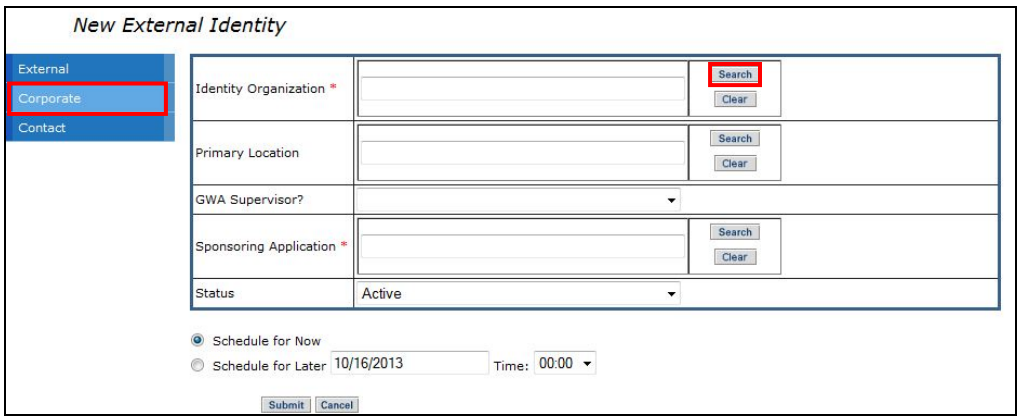
   The **Generation Identifier/Suffix** and **Organizational Roles** details are not applicable. The **Organizational Roles** details populates after the user's identity is successfully created.

Figure 3. External Identity Tab



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

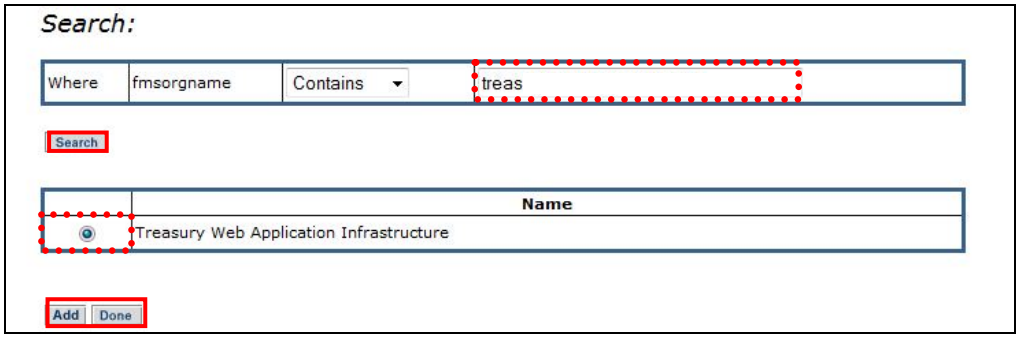
Figure 4. Corporate Tab (Identity Organization)



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

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

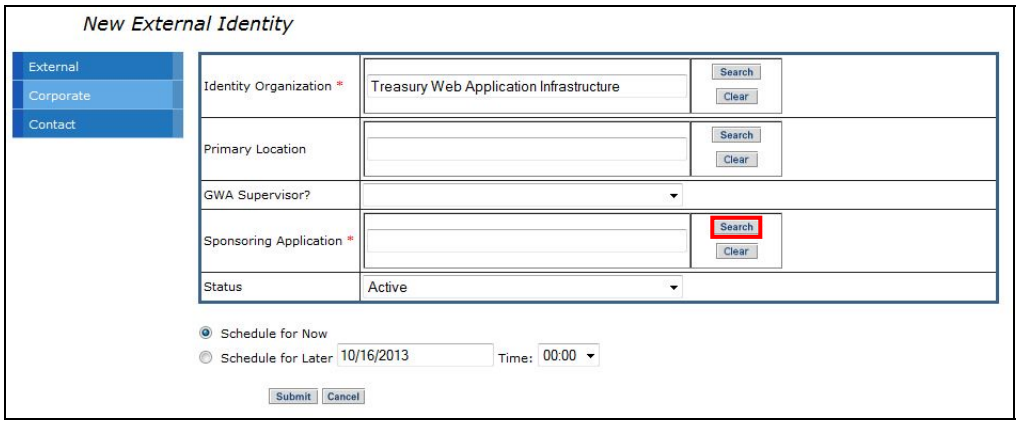
Figure 5. Search: Identity Organization Dialog Box



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

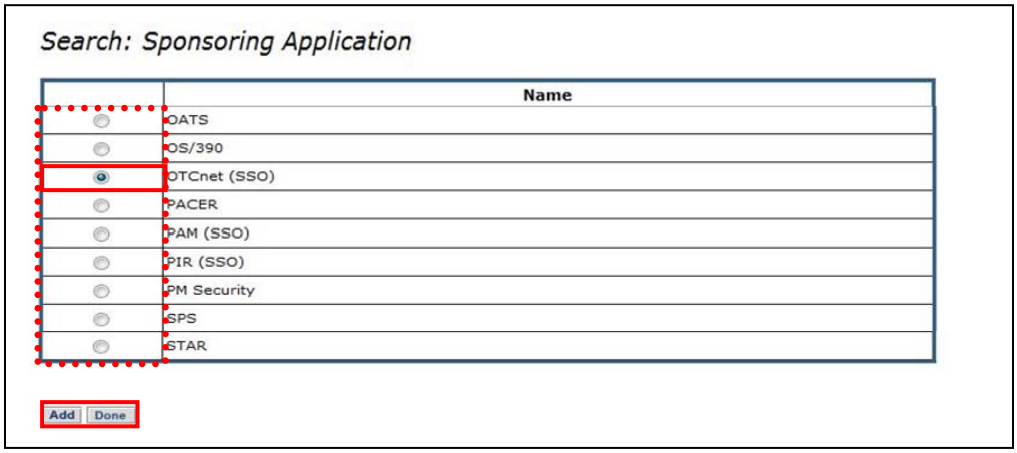
   The **Primary Location** search functionality is optional to identify the user's primary base location. The steps mirror those of *Sponsoring Application.*

Figure 6. Corporate Tab (Sponsoring Application)



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

Figure 7. Search: Sponsoring Application Dialog Box



8. Click the **Contact** tab and enter the appropriate contact details as shown in Figure 8 below.

   - Enter an **Email Address**, *required*
   - Enter a **Mobile Phone**
   - Enter an **Office Telephone Number**, *required*

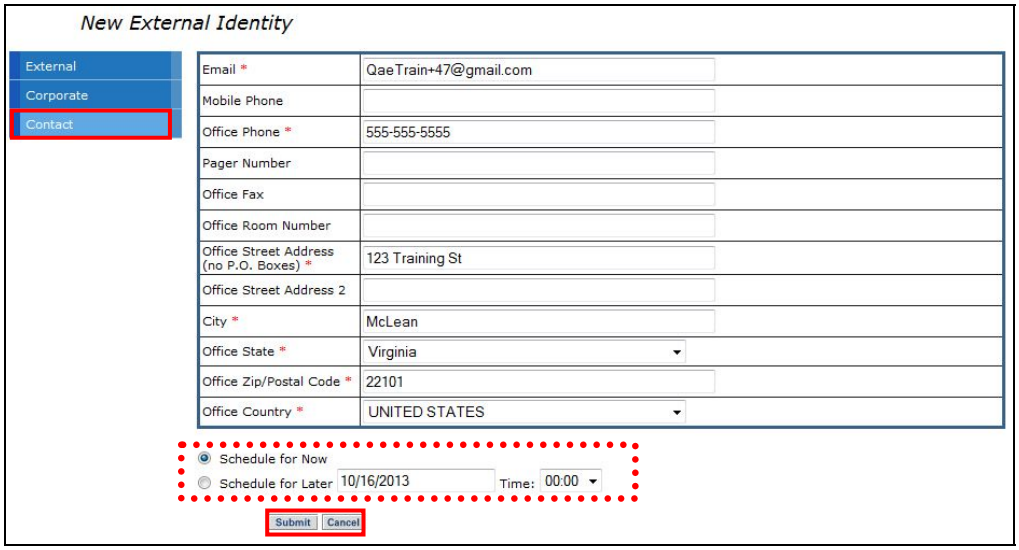
- Enter a **Pager number**
- Enter an **Office Fax Number**
- Enter an **Office Room Number**, *if applicable*
- Enter an **Office Street address**, *required*
- Enter an **Office Street Address 2**, *if applicable*
- Enter a **City**, *required*
- Enter an **Office State**, *required*
- Enter an **Office Postal Code**, *required*
- Enter an **Office Country**, *required*

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

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

10. Click **Submit**, as shown in Figure 8 below. The *Request Management- Your Pending Requests* page appears. To verify creation of a new identify, select **Request Management**, and click the **View Pending Requests** or **View Completed Requests**.

Figure 8. Contact Tab



Create a User Identity

To create a user identity, complete the following steps:

1. Log in to https://reg.fms.treas.gov/itimext. The *Request Management-Your To-Do List* page appears.

2. From the main menu bar, select **Organization** and click **New External User Identity**. The *New External Identity* page appears.

3. Under the **External** tab, enter the personal information details.
   - Enter the user's **Legal Prefix**
   - Enter the user's **Legal Name**, *required*
   - Enter the user's **Legal Fir*st Name***, *required*
   - Enter the user's **Legal Middle Name**
   - Enter the user's **Legal Last Name**, *required*

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

4. Click the **Corporate** tab.

5. From **Identity Organization**, click **Search**. The *Search: Identity Organization* dialog box appears.

6. Enter the organization's name in the text box and click **Search**.

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

7. From the resulting list, click the organization's name you want to add.

8. Scroll to the bottom of the dialog box, and click **Add** and **Done**.

9. From **Sponsoring Application**, click **Search**. The *Search*: *Sponsoring Application* dialog box appears.
10. Select **OTCnet (SSO)** from the list.
11. Scroll to the bottom of the dialog box, and click **Add** and **Done**.
12. Click the **Contact** tab.
13. Enter the appropriate contact details.
    - Enter an **Email Address**, *required*
    - Enter a **Mobile Phone**
    - Enter an **Office Phone**, *required*
    - Enter a **Pager number**
    - Enter an **Office Fax Number**
    - Enter an **Office Room Number**, *if applicable*
    - Enter an **Office Street address**, *required*
    - Enter an **Office Street Address 2**, *if applicable*
    - Enter a **City**, *required*
    - Enter an **Office State**, *required*
    - Enter an **Office Postal Code**, *required*
    - Enter an **Office Country**, *required*
14. Click the **Schedule for Now** or **Schedule for Later** radio button.

Application Tip

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

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

Application Tip

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

Topic 3. Creating, Assigning and Editing an OTCnet Account

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

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

Create and Edit an OTCnet Account

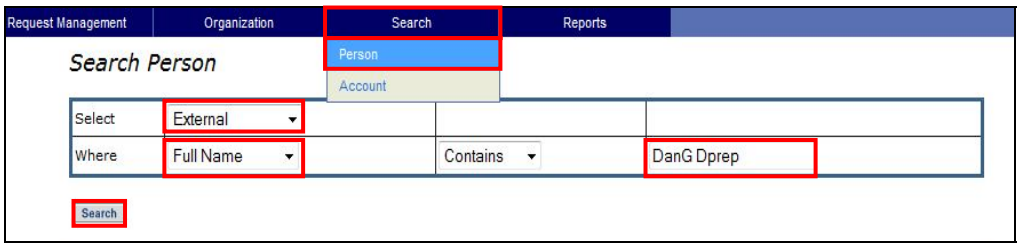
1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears.

   - From the **Select** drop-down menu, select **External** (set to default)
   - From the **Where** drop-down menu, select a criteria type

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

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

Figure 9. Search Person Page (Criteria)- Person



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

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

Figure 10. Search Person Page (Selection) - Accounts

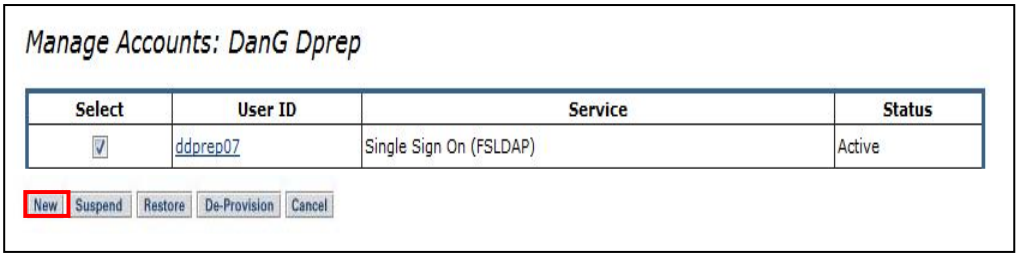
	Name	E-Mail	Status	Organization
Select	DanG Dprep	QaeTrain+47@gmail.com	Active	

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

Figure 11. Manage User Page - Accounts

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

Figure 12. Manage Accounts Page

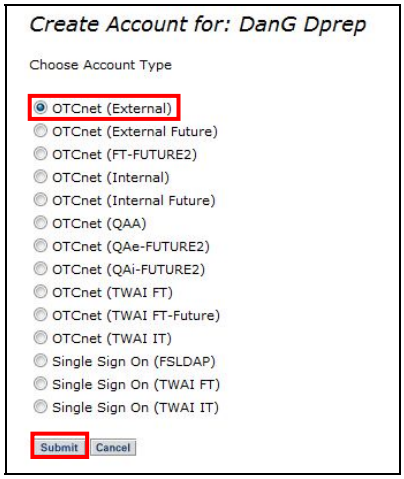


Or

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

5. Click **OTCnet** for the account type and then click **Submit** as shown in Figure 13 below. Selecting **OTCne**t indicates that the user can log on to OTCnet. Proceed to Step 8 if you are only modifying the user's role group.

Figure 13. Create Account for Page

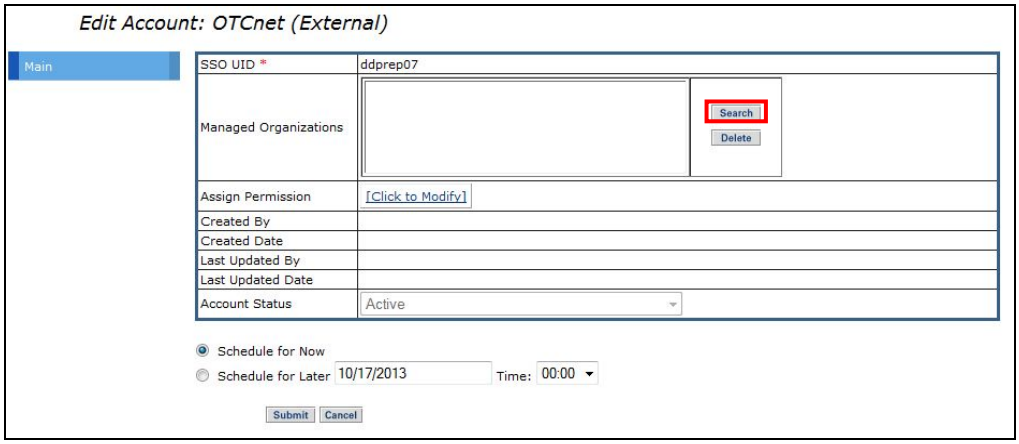


6. The *Edit Account: OTCnet* page appears. From **Managed Organizations**, click **Search** as shown in Figure 14 below.

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

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

Figure 14. Edit Account: Manage Organizations Page

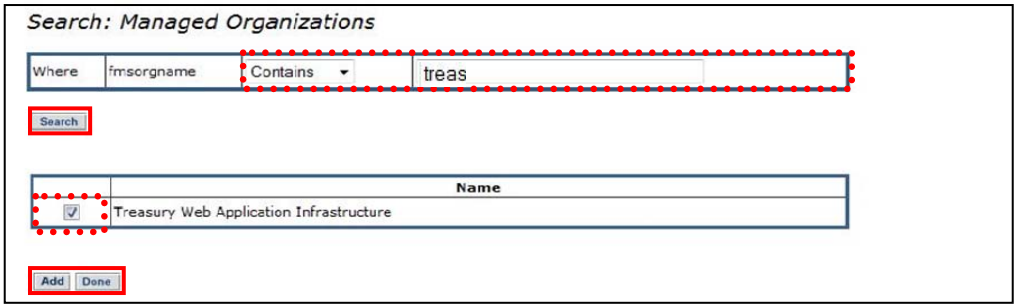


7. The *Search: Managed Organizations* dialog box appears. Enter the organization name in the blank text box and click **Search**. Enter the name of the organization you want to add. If you do not know the full name of the organization, you can enter a partial name search.

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

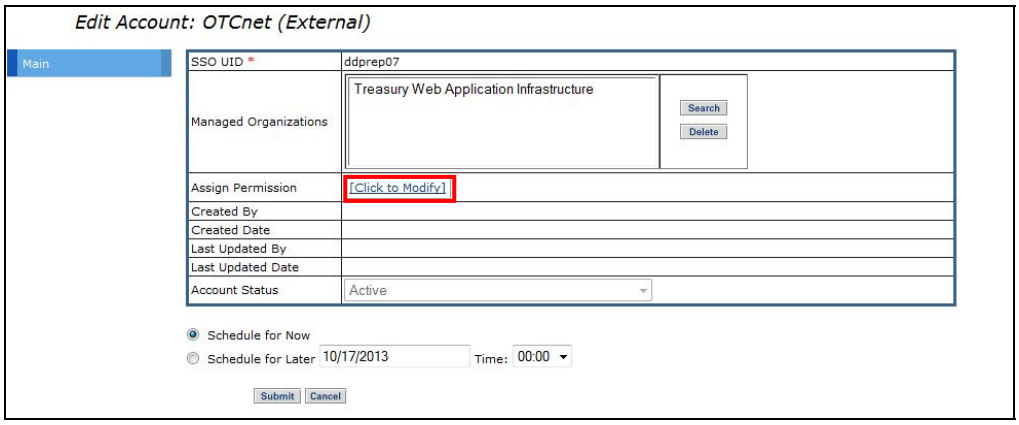
   Proceed to Step 8 if you are modifying the user's role group. If not, proceed to Step 11.

Figure 15. Search: Managed Organizations Page



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

Figure 16. Edit Account: Assign Permission



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

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

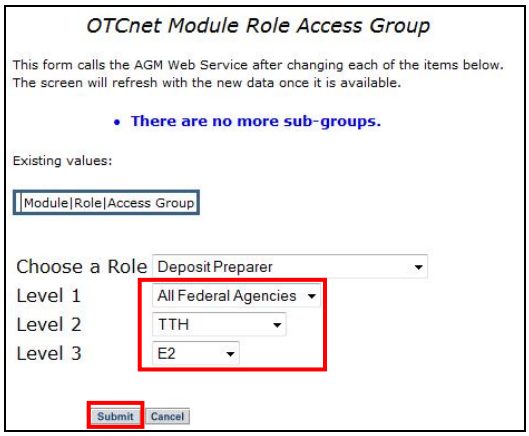
Figure 17. OTCnet Module Role Access Group Page

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

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

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

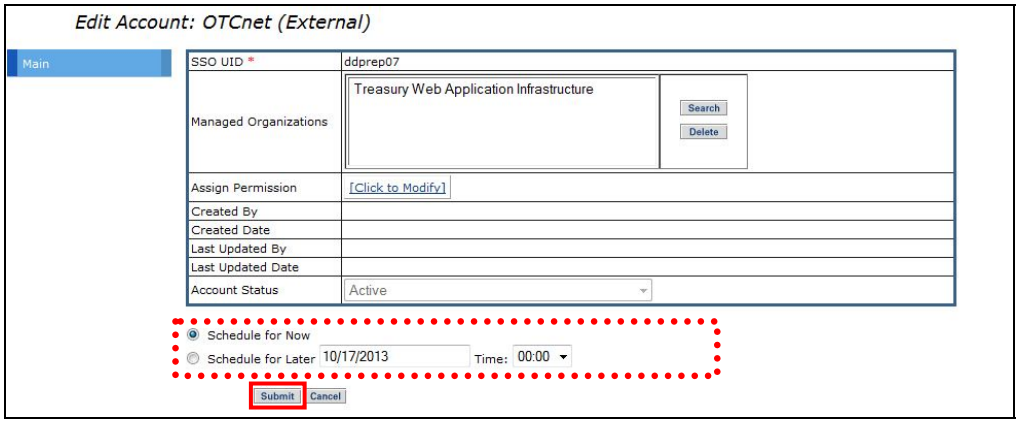
Figure 18. Access Group Level Selection



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

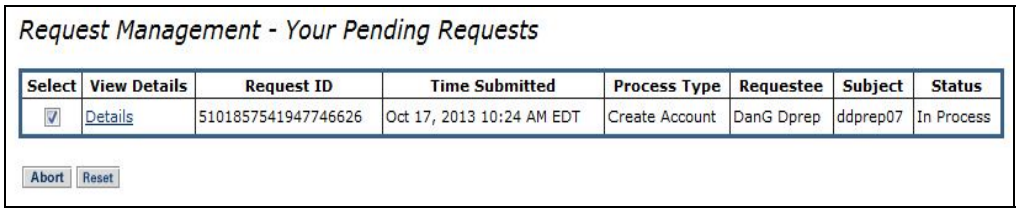
    If the **Schedule for Later** radio button is selected, enter the **Date** and **Time** when the OTCnet account should be created.

Figure 19. Edit Account: Schedule Now or Schedule Later



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

Figure 20. Request Management- Your Pending Requests page



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

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

Create and Edit an OTCnet Account for a User

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

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears.

2. From the **Select** drop-down menu, select **External**.

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

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

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

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

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

5. Click the **Select** hyperlink of the name of the user for which you would like to create and assign an OTCnet account. A *Manage User* page appears.

6. Click **Manage Accounts**. The *Manage Accounts* page appears.

7. To create a new OTCnet account for a user, click **New**. The *Create Account for:* page appears.

   Or

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

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

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

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

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

> **Application Tip**
>
> **Managed Organizations** is only used by **PLSAs** for creating **LSA** users. When creating any other user, this field should be left blank. **LSAs** should never use this field when creating users.
>
> The name in the **Managed Organizations** field is typically the same as the Identity Organization name. The **Identity Organization** was originally used when you created the user's identity.

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

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

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

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

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

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

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

14. Select a **Role** from the **Choose a Role** drop-down.

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

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

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

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

17. Click **Submit** to return to the *Edit Account: OTCnet* page.

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

Application Tip

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

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

Application Tip

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

Application Tip

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

Application Tip

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

Topic 4. Managing a User Password

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

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

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

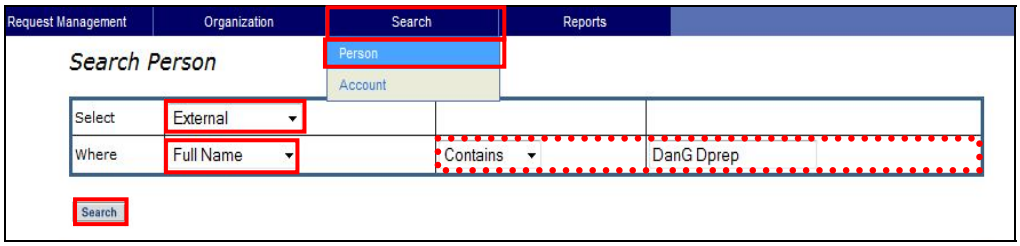
Manage a User Password

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears (see Figure 21 below).

   - From the **Select** drop-down menu, select **External** (set to default)
   - From the **Where** drop-down menu, select a criteria type
   - Enter the search criteria in the blank text box on the right
   - Click **Search**

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

Figure 21. Search Person Page (Criteria) - Password



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

Figure 22. Search Person Page (Selection)

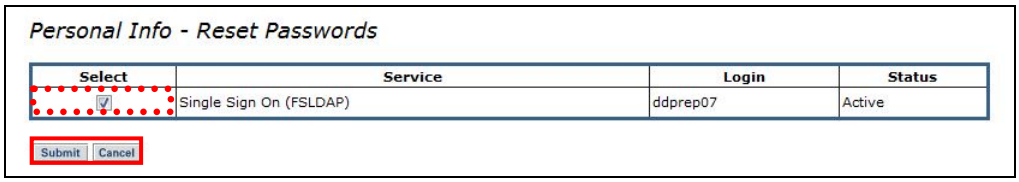
	Name	E-Mail	Status	Organization
Select	DanG Dprep	QaeTrain+47@gmail.com	Active	

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

Figure 23. Manage User Page

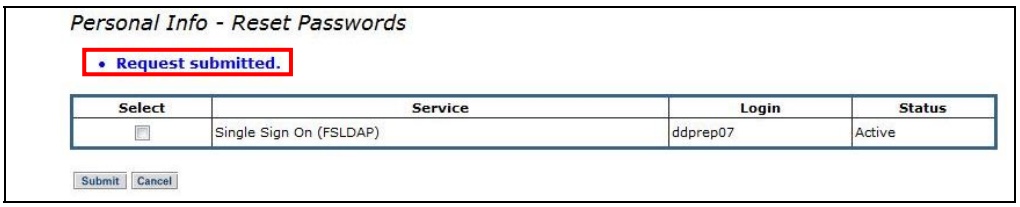
4. Click the **Select** check boxes for the **Single Sign On (FSLDAP)** and **OTCnet** services (see Figure 24 below) and click **Submit**.

Figure 24. Reset Password Page



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

Figure 25. Request Submitted Page



Manage a User Password

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

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears.

2. From the **Select** drop-down menu, select **External**.

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

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

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

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

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

5. Click the **Select** hyperlink of the name of the user for whom you would like to manage the password. A *Manage User* page appears.

6. Click **Manage Passwords**.

7. Click the **Select** check boxes for the **Single Sign On (FSLDAP)** and **OTCnet** services.

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

Application Tip

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

Topic 5. Managing Personal Information

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

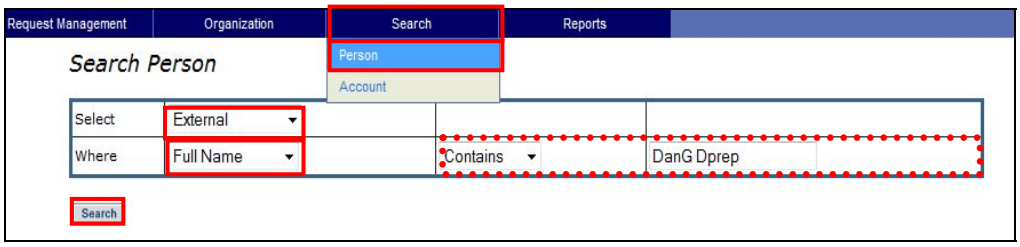
Manage a User's Personal Information

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears (see Figure 26 below).

   - From the **Select** drop-down menu, select **External** (set to default)
   - From the **Where** drop-down menu, select a criteria type
   - Enter the search criteria in the blank text box on the right
   - Click **Search**

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

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



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

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

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

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

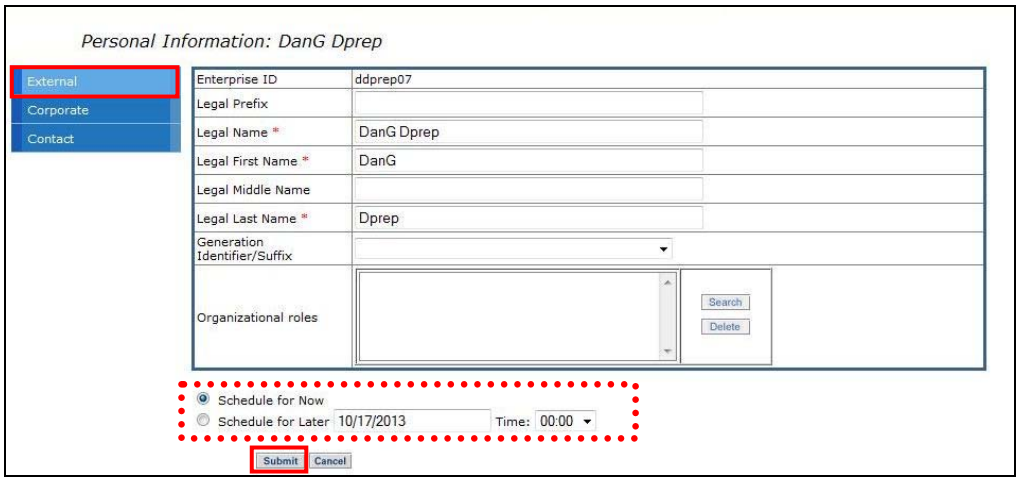
Figure 28. Manage User Page - Personal Info

4. From the **Personal Information** page (see Figure 29 below),

   - Click **External** tab and update the appropriate fields.
   - Click **Corporate** tab and update the appropriate fields.
   - Click **Contact** tab and update the appropriate fields.

5. Click the **Schedule for Now** or **Schedule for Later** radio button. If the **Schedule for Later** radio button is selected, enter the **Date** and **Time** when the user's personal information should be managed. Then, click **Submit**.

Figure 29. Personal Information Page



Manage Personal Information

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

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears.

2. From the **Select** drop-down menu, select **External**.

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

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

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

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

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

5. Click the **Select** hyperlink of the name of the user you would like to manage. A *Manage User* page appears.

6. Click **Manage Personal Info**. The *Personal Information* page appears.

7. From the **Personal Information** page,
   - Click the **External** tab and update the appropriate fields.
   - Click the **Corporate** tab and update the appropriate fields.
   - Click the **Contact** tab and update the appropriate fields.

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

Application Tip

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

9. Click **Submit**.

Application Tip

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

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

Topic 6. Approving or Rejecting an OTCnet User Request

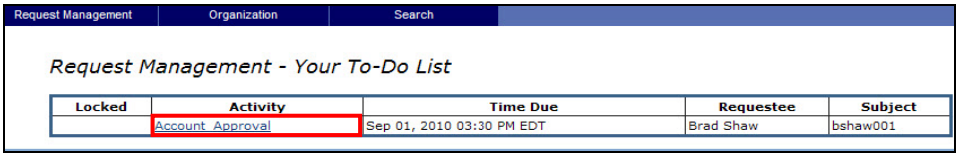
As a **PLSA** or **LSA**, you are able to approve or reject an OTCnet account creation or modification request. You will need to access **ITIM** to approve or reject a request. You can only approve or reject a request *after another* **PLSA** or **LSA** within the same OTC Endpoint or hierarchy generates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

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

Approve/Reject an OTCnet User Request

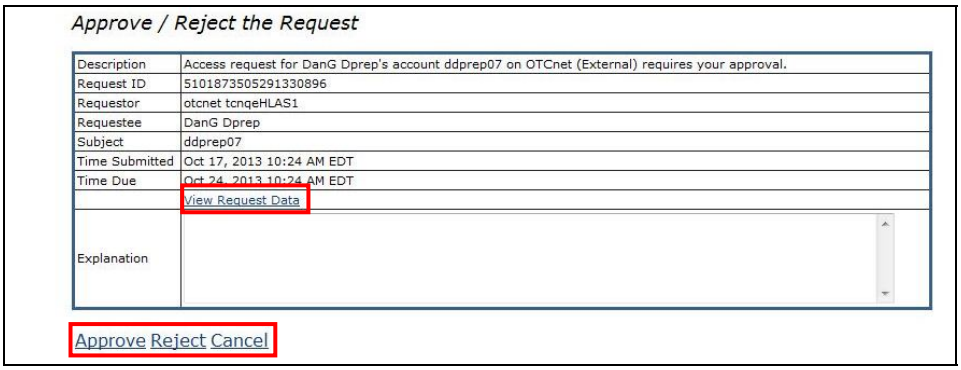
1. Log in to https://reg.fms.treas.gov/itimext. *Request Management-Your To-Do List* page appears (see Figure 30 below). Click **Account Approval**.

Figure 30. Request Management- Your To Do List Page



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

Figure 31. Approve/Reject the Request Page



Approve or Reject an OTCnet Account

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

1. Log in to https://reg.fms.treas.gov/itimext. The *Request Management-Your To-Do List* page appears.

2. Click **Account Approval**. The *Approve/Reject the Request* page appears.

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

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

4. Click **Approve**, **Reject** or **Cancel**.

> **Application Tip**
>
> Click **Approve** to approve the user account request. Click **Reject** to reject the user account request. Click **Cancel** to return to the ITIM Home Page. No data will be saved.

> **Application Tip**
>
> Click **View Request Data** to view details of the request. Click **Back** to return to the *Approve/Reject the Request* page.

Topic 7. Modify User Status

After a **PLSA** or **LSA** creates and assigns an OTCnet account to a user, **ITIM** looks for other approvers within the same **OTC Endpoint** or hierarchy and notifies them of the pending request (approvers are other **PLSAs** and **LSAs)**.

As the **PLSA** or **LSA** for your organization, you are the only users who can modify another user's OTCnet status. You can:

- Suspend (deactivate) a user's OTCnet account
- Restore (activate) a user's OTCnet account
- De-Provision (delete) a user's OTCnet account

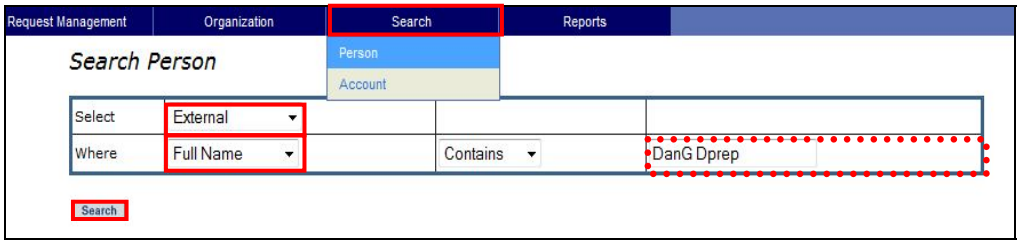
Modify User Status

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears (as shown in Figure 32 below).

   - From the **Select** drop-down menu, select **External** (set to default)
   - From the **Where** drop-down menu, select a criteria type
   - Enter the search criteria in the blank text box on the right
   - Click **Search**

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

Figure 32. Search Person Page (Criteria) - Modify Status



2. The *Search Person* page appears with the results of your search criteria. Click the **Select** hyperlink of the name of the user to suspend, restore or de-provision an OTCnet account (see Figure 33 below).

Figure 33. Search Person Page (Selection) - Modify Status

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

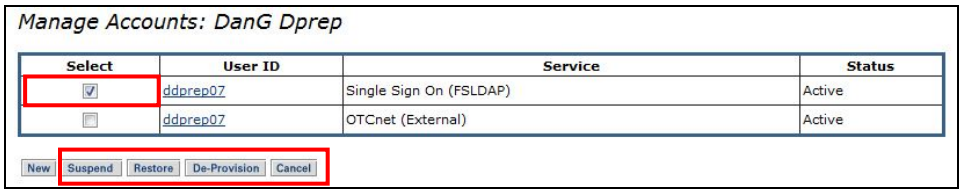
3. A *Manage User* page appears. Click **Manage Accounts** (see Figure 34 below).

Figure 34. Manage User Page - Modify Status

4. The *Manage Accounts* page appears (see Figure 35 below). Select the **Service (OTCnet)** you want to suspend, restore or de-provision by checking the check box under the **Select** column, then:

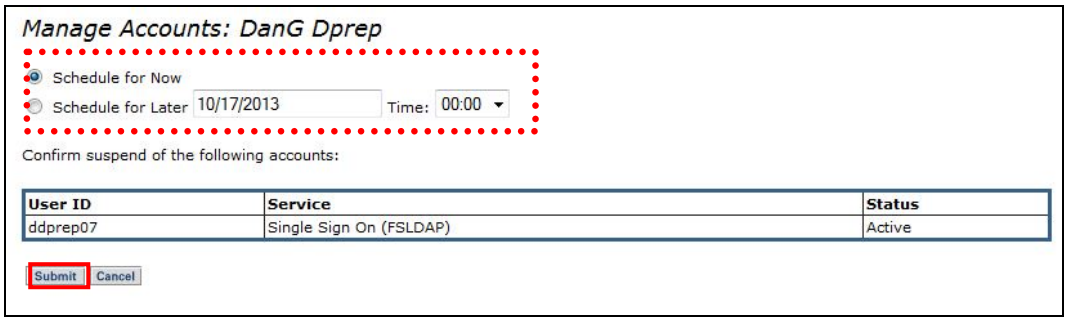
- Click **Suspend**
  Or
- Click **Restore**
  Or
- Click **De-Provision**

Figure 35. Manage Accounts Page- Select User ID



5. The *Manage Accounts* page appears. Click **the Schedule for Now** or **Schedule for Later** radio button. You can choose to schedule the User Identity to be created at a later time by clicking the **Schedule for Later** button and entering the preferred scheduled date and time. Click **Submit**, as shown in Figure 36 below.

Figure 36. Manage Accounts Page- Submit



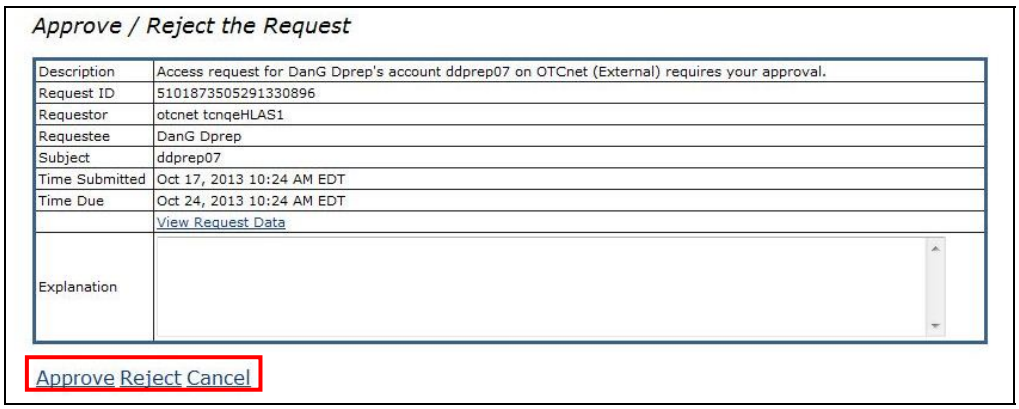
To finalize the modification of a user's OTCnet account, an approver (PLSA or LSA) within the same **OTC Endpoint** or hierarchy must approve the request. This will require a PLSA/LSA to log into ITIM to approve the account.

6. After logging into ITIM, click **Account Approval** under **Activity** (see Figure 37 below).

Figure 37. Request Management- Your-To-Do List (Account Approval)

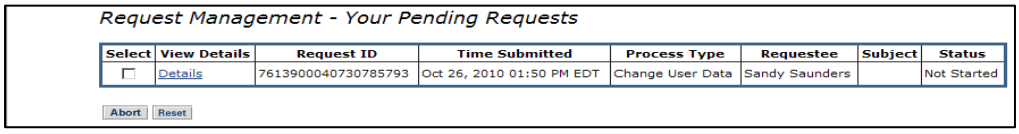
The *Approve/Reject the Request* page appears. Click **Approve** (see Figure 38 below)

Figure 38. Approve / Reject the Request Page



7. The *Request Management – Your Pending Requests page* appears (see Figure 39 below).

Figure 39. Your Pending Requests Page



Request Management - Your Pending Requests

Select	View Details	Request ID	Time Submitted	Process Type	Requestee	Subject	Status
☐	Details	7613900040730785793	Oct 26, 2010 01:50 PM EDT	Change User Data	Sandy Saunders		Not Started

Abort Reset

Modify User Status

To modify a user's status, complete the following steps:

1. From the main menu bar, select **Search** and click **Person**. The *Search Person* page appears.

2. From the **Select** drop-down menu, select **External**.

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

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

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

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

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

5. Click the **Select** hyperlink of the account for whom you would like to suspend, restore, or de-provision an OTCnet account. A *Manage User* page appears.

6. Click **Manage Accounts**. The *Manage Accounts* page appears.

7. Select the **Service (OTCnet)** you want to suspend, restore or de-provision by checking the check box under the **Select** column, then:

   Click **Suspend**. The *Manage Accounts* page appears.
   Or
   Click **Restore**. The *Manage Accounts* page appears.
   Or

Click **De-Provision**. The *Manage Accounts* page appears.

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

Application Tip

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

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

Application Tip

To verify account was successfully modified, select **Request Management** and click The **View Pending Requests** or **View Completed Requests**.

Application Tip

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

Summary

In this chapter, you learned:

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

This completes the OTCnet Administration Chapters relevant to your user group. You can continue to use this guide as reference or extract the *How To Steps* at the end of each *Topic* for quick application.

Notes

Glossary

A

Access Groups by Users Report - This report displays the roles and the corresponding access groups of the role for a particular OTCnet user. The role assigns the permissions (functions/features) that a user has access to in OTCnet. The access group governs the OTC Endpoint(s) and the data that a user has permission to access.

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

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

Accounting Code Name - The title of the accounting code.

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

Accounting Specialist - A user who is an expert on the organizational structure, reporting needs and accounting rules for their agency. This role will establish and maintain the organizational foundation, accounting data and accounting relationships at the highest level of the agency in OTCnet.

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

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

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

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

Adjustment Activity (FRB) Report - A business report that allows you view adjustments made by your Federal Reserve Bank (FRB).

Adjustments by OTC Endpoints Report - A business report that allows you to view adjustments made by Agency Location Code (ALC) and Adjustment Types (Credit, Debit or Return Item Adjustments). An adjustment was created when a deposit ticket has been received by a financial institution and the amount of the deposit does not match the deposit amount reported on the deposit tic1cket.

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

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

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

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

Agency Location Code plus 2 (ALC+2) - A numeric symbol identifying the agency accounting and/or reporting office.

Agency Manager - A user that has authorization to view and download CIRA records and view reports.

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

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

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

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

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

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

B

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

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

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

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

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

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

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

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

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

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

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

C

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

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

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

Cashier ID - The ID of the user that created the transaction.

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

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

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

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

Check Amount - The dollar amount of the check.

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

Check Capture Administrator - An agency user that has the authorization to define and modify the check capture sites; to manage accounting codes; to modify endpoint mappings; to configure Check Capture functions and perform upgrades of the application; to create and download user profiles; as well as download software or firmware to the terminal using the Download Check Capture application permission.

Check Capture Lead Operator - An agency user that has the authorization to in scan checks into a batch, close a batch, balance check amounts and enter batch control values during batch closing. Additionally, the user is authorized to accept checks with poor quality, make MICR line

corrections, and accept duplicate checks. This user is not authorized; however, to use an out-of-date LVD.

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

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

Check Capture Operator - An agency user that has the authorization to perform only very minimal Check Capture activities. This user has authorization to scan checks into a batch and close a batch. This user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks is established.

Check Capture Supervisor - An agency user that has the authorization to perform all the functions on the Check Capture. The user has authorization to accept duplicates (not recommended), make MICR corrections, authorize the use of out-of-date LVD, and accept checks with poor quality as well as view, modify, import, and modify endpoint mappings.

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

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

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

CIRA Viewer - A user that has authorization to view CIRA records and download CSV files.

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

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

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

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

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

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

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

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

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

D

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

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

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

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

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

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

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

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

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

Deposit Activity (FRB) Report - A business report that allows you to view deposits submitted to your FRB.

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

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

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

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

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

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

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

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

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

F

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

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

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

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

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

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

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

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

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

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

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

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

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

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

H

Highest Level Organization - The primary level of the organization hierarchy.

I

IBM Tivoli Identity Manager (ITIM) - Refers to FMS's Enterprise provisioning tool for user account and identity management.

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

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

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

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

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

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

L

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

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

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

Lower Level Organization - Any organization created below the highest level organization.

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

M

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

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

MVD Editor - A user that has the authorization to view, edit, and download CIRA records, view verification records, and read blocked records containing only ABA permissions.

MVD Viewer - A user that has the authorization to view and download CIRA records, view verification records, and read blocked records containing only ABA permissions.

N

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

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

O

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

Organization - The location or level within a Federal Program agency.

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

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

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

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

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

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

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

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

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

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

P

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

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

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

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

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

Q

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

R

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

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

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

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

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

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

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

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

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

S

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

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

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

Sent Batch Status – Indicates the batch was uploaded online without error.
Separation of Duties - A concept used to ensure there are typically separate personnel with authority to authorize a transaction, process the transaction, and review the transaction.

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

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

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

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

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

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

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

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

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

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

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

T

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

Trade Status - Represents the status of the verification records. There are four 4 possible trade statuses in the system: Blocked, Denied, Suspended, and Cleared. The Trade Status D-Suspended or D-Denied is assigned to auto generated Dynamic records.

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

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

U

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

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

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

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

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

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

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

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

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

V

View CA$HLINK II File Status Report - An administration report that allows you to view the status of deposit report files that have been processed by CA$HLINK II or are ready for CA$HLINK II to process.

View FRB CA$HLINK File Status Report - An administration report allows you to view the status of deposit files that have been sent to FRB CA$HLINK.

View TRS File Status Report - An administration report allows you to view the status of TRS files that have been processed by Transaction Reporting System (TRS) or are ready for TRS to process.

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

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

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

Voucher Date - The business processing day the check transaction is received by the Debit Gateway from the channel applications.

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

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