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OTCnet Participant User Guide

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Glossary

Click this [link](https://www.fiscal.treasury.gov/otcnet/training/wbt/content/course_OTC/glossary.htm) to access the full OTCnet Glossary.

## Overview, Topics, and Audience

### Overview

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

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

### Topics

The topics in this chapter include the following:

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

### Audience

The intended audience for *Introduction to OTCnet* includes:

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

## Topic 1. Introduction to OTCnet

### Overview

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

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

OTCnet is a secure web-based system that enables federal agencies to integrate check conversion, deposit reporting, and card processing, so that all check, cash, coin, and card deposits to the Treasury General Account (TGA) are handled by one web-based application.

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

OTCnet financial services includes the following:

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

### OTCnet Elements

OTCnet comprises five elements:

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

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

Figure 1. OTCnet Elements



The functions of the five elements are:

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

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

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

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

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

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

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

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

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

If your agency uses the Master Verification Database (MVD) (which provides downloads of prior negative check information and blocked items) 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 the Check Clearing for the 21st Century Act, was signed into law on October 28, 2003. Provisions of the law took effect on October 28, 2004. It is important to understand the effects of Check 21 on OTCnet. Check 21 provides the legal framework for the creation of substitute checks, which can be used in place of the original paper document without an agreement in place with other financial institutions. A substitute check is a paper reproduction of the original check.

To meet legal requirements, a substitute check must:

* Contain an image of the front and back of the original check.
* Bear a legend that states, “This is a legal copy of your check. It can be used the same way you would use the original check.”
* Display a magnetic Ink character recognition (MICR) line containing information appearing on the MICR line of the original check.
* Conform in paper stock, dimension, and otherwise, with generally applicable industry standards for substitute checks.
* Be suitable for automated processing in the same manner as the original check.

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

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

Check 21 requires financial institutions to accept a substitute check from a presenting institute and grant it equivalent status to the original check if the substitute check meets prescribed requirements. It also requires a reconverting bank to meet the warranties and indemnities enacted through legislation and subsequent regulations. Check 21 requires financial institutions to provide education to individual consumers on substitute checks and consumer re-credit rights.

For more information on Check 21, visit: <https://www.frbservices.org/education/products-services-education/check21-act.html>

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

Table 1. FedACH and Check 21 Payment Types

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

### OTCnet Process Flow: Deposit Reporting

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

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

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

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

Figure 3. Deposit Processing Workflow



### OTCnet Process Flow: Card Processing

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

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

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

Worldpay processes the payment in four steps:

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

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

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

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

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

Figure 4. Card Processing Workflow



### OTCnet Process Flow: Self-Service Kiosk: Check Payment

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

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

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

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

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

Figure 5. Self-Service Kiosk: Check Payment



### OTCnet Process Flow: Self-Service Kiosk: Deposit Processing

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

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

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

Figure 6. Self-Service Kiosk: Deposit Processing Workflow



### OTCnet Process Flow: Self-Service Kiosk: Card Processing

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

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

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

Worldpay processes the payment in four steps:

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

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

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

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

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

Figure 7. Self-Service Kiosk: Card Processing Workflow



### OTCnet End Users

There are four functional areas of the OTCnet application:

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

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

* Administration user roles, with varying degrees of permission, perform administrative duties such as user management and system installation.
* Check Capture/Check Processing and Reporting user roles perform functions to capture checks, process checks, access reports and edit or view the Master Verification Database (MVD).
* Deposit Processing and Reporting user roles create or approve deposits, confirm (reject or adjust) deposits, or view deposit information, as shown in Table 2.
* Card Processing user roles perform functions to process card transactions.

Table 2. End User Roles

| Administration | Check Capture/ Check Processing and Reporting | Deposit Processing and Reporting | CardProcessing |
| --- | --- | --- | --- |
| **Agency*** Check Capture Supervisor
* Check Capture Administrator
* Accounting Specialist/ Local
* Accounting Specialist
* Card Administrator

**Financial Institution/ Federal Reserve*** Primary Security Administrator
* Local Security Administrator
 | **Agency*** Check Capture Operator
* Check Capture Lead Operator
* Check Capture Supervisor
* Batch Approver\*
* Batch Uploader\*
* Master Verification Database (MVD) Editor
* Master Verification Database (MVD) Viewer
 | **Agency*** Deposit Preparer
* Deposit Approver
* Viewer

**Financial Institution/ Federal Reserve*** Deposit Confirmer
* Viewer
 | **Agency*** 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 PLSAAgency LSA |  | • |  |
| Agency Local Security Administrator (LSA) | The agency user in this role will maintain user access to an organization, including assigning/removing user roles and assigning/removing organization hierarchy access. LSAs can also view security reports.  | Agency PLSA | • | • |  |
| Agency Primary Local Security Administrator (PLSA) | The agency user in this role has the same capabilities as an LSA with the additional capability of creating and modifying LSAs for their organization. There can only be one PLSA per agency. | OTCnet Customer Support Team | • | • |  |
| Agency Manager | The agency user in this role can view and download CIRA CSV (Comma-Separated Values) reports and ACR (Accessibility Conformance Report) Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports. The agency user can view if an endpoint is designated for summary-level classification, and the agency comments associated with an endpoint.  | Agency PLSAAgency LSA  | • | BLANK |  |
| Batch Approver | 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.This role *only applies* to the Offline version of OTCnet. | Agency PLSAAgency LSA | • | BLANK |  |
| Batch Uploader | 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.This role *only applies* to the Offline version of OTCnet. | Agency PLSAAgency LSA | • | BLANK |  |
| 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 PLSAAgency 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 PLSAAgency LSA |  |  | • |
| Check Capture Administrator | The agency user in this role has the capability to define and modify the check capture sites as well as manage accounting codes and modify endpoint mappings. For example, this user can set up the location policy and location group. Additionally, this user can view, modify, and import accounting codes and modify endpoint mappings. This user can also configure the Check Capture functions and perform upgrades to the application, as well as download user profiles for the site. Furthermore, this user can view checks at the item level or a batch at the summary level classified with multiple accounting codes, view/download CIRA CSV reports and ACR Activity reports, run CIRA queries and view other general reports such as the SF215 Deposit Ticket and 5515 Debit Voucher reports. The agency user can view if an endpoint is designated for summary-level classification, and the agency comments associated with an endpoint. This user has permission to download software or firmware to the terminal using the Download Check Capture application permission. Lastly, this user is authorized to download the OTCnet Local Bridge (OLB) application, install the OLB certificate, install the OLB application, create the OLB profile, and start and stop the OLB application. | Agency PLSAAgency LSA  | • | BLANK |  |
| Check Capture Lead Operator | The agency user in this role will have the ability to scan checks into a batch, view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, edit a batch, balance check amounts, and enter batch control values during batch closing. This user is authorized to install the OTCnet Local Bridge (OLB) certificate, install the OLB application, create the OLB profile, and start and stop the OLB application. Additionally, this user is authorized to accept checks with poor quality, make MICR line corrections, and accept duplicates. This user is not authorized to use out-of-date LVD. This role can establish, maintain, and view processing options for an endpoint pertaining to summary-level classification and agency comments.  | Agency PLSAAgency LSA  | • | BLANK |  |
| Check Capture Operator | This agency user has the authorization to scan checks into a batch, view and classify checks at the item level or a batch at the summary level with multiple accounting codes, close a batch, balance check amounts, and enter batch control values during batch closing. This agency user can also view if an endpoint is designated for summary-level classification, and the agency comments associated with an endpoint. This user is authorized to install the OTCnet Local Bridge (OLB) certificate, install the OLB application, create the OLB profile, and start and stop the OLB application. Additionally, the user can enter/apply the Accounting Code at the time of scanning checks. However, the user does not have authorization to accept duplicates, make MICR corrections, authorize the use of out-of-date LVD, or accept checks with poor quality. | Agency PLSAAgency LSA  | • | BLANK |  |
| 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 PLSAAgency LSA  | • | BLANK |  |
| CIRA Viewer | The agency user in this role can only view organization endpoints and CIRA records. This is the check processing role with the lowest level of access. The agency user can view if an endpoint is designated for summary level classification, and the agency comments associated with an endpoint. | Agency PLSAAgency LSA | • | BLANK |  |
| Deposit Approver | The agency user in this role will approve the deposit report and submit the information to the TGA financial institution.  | Agency PLSAAgency LSA | BLANK | • |  |
| Deposit Preparer | The agency user in this role prepares the deposit ticket and supporting information for transmission to the TGA financial institution. | Agency PLSAAgency LSA | BLANK | • |  |
| FPA Viewer | The agency user in this role can only search/view deposits and adjustments and produce reports.  | Agency PLSAAgency LSA | BLANK | • |  |
| 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 PLSAAgency LSA | BLANK | • |  |
| 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 PLSAAgency LSA | • | BLANK |  |
| MVD Viewer | The agency user in this role can read CIRA records, verification records, and block records containing only AB permissions. This role also has permission to download CSV formatted reports and view other general reports such as the 215 Deposit Ticket, 5515 Debit Voucher reports and the ACR Activity report. The agency user can view if an endpoint is designated for summary-level classification, and the agency comments associated with an endpoint. | Agency PLSAAgency LSA  | • | BLANK |  |
| View Report | The agency user in this role will have access to agency reports except for the CIRA CSV report.  | Agency PLSAAgency 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 PLSAFI LSA | BLANK | • |  |
| 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 PLSAFI LSA  | BLANK | • |  |
| 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 | BLANK | • |  |
| 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 | BLANK | • |  |
| 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 PLSAFI LSA | BLANK | • |  |
| 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 PLSAFI LSA  | BLANK | • |  |

### Agency User Role Combinations

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

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

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

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 | BLANK | BLANK | BLANK | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK |
| Agency LSA | BLANK | BLANK | BLANK | BLANK | • | BLANK | BLANK | • | BLANK | BLANK | BLANK |
| Accounting Specialist | BLANK | • | • | • | • | • | • | • | • | BLANK | BLANK |
| Local Accounting Specialist | BLANK | • | • | • | • | • | • | • | • | BLANK | BLANK |
| Deposit Preparer | BLANK | • | • | • | • | • | • | • | • | BLANK | BLANK |
| Deposit Approver | BLANK | • | • | • | • | • | • | • | • | BLANK | BLANK |
| Agency Manager | BLANK | BLANK | BLANK | • | BLANK | BLANK | BLANK | • | • | BLANK | BLANK |
| CIRA Viewer | BLANK | BLANK | • | • | • | • | • | • | • | BLANK | BLANK |
| View Report | BLANK | • | BLANK | • | • | • | • | • | • | BLANK | BLANK |
| MVD Editor | • | • | • | BLANK | • | • | • | • | • | BLANK | BLANK |
| MVD Viewer |  | • | • | • | BLANK | • | • | • | • | BLANK | BLANK |
| Card Administrator | blank | blank | blank | blank | blank |   | • | • | • | blank | blank |
| Card Operator | blank | blank | blank | blank | blank | • | • | • | • | blank | blank |
| Check Capture Operator | BLANK | • | • | • | • | BLANK | BLANK | BLANK | BLANK | • | • |
| Check Capture Lead Operator | BLANK | • | • | • | • | BLANK | BLANK | • | • | • | • |
| Check Capture Administrator | • | • | • | • | • | BLANK | • | BLANK | • | BLANK | BLANK |
| Check Capture Supervisor | • | • | • | • | • | BLANK | • | • | BLANK | BLANK | BLANK |
| Batch Approver | BLANK | BLANK | BLANK | BLANK | BLANK | • | • | BLANK | BLANK | BLANK | BLANK |
| Batch Uploader | BLANK | BLANK | BLANK | BLANK | BLANK | • | • | BLANK | BLANK | BLANK | BLANK |

### 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 | BLANK | BLANK | BLANK | • |
| FI LSA | BLANK | BLANK | BLANK | • |
| FI Confirmer | BLANK | BLANK | BLANK | • |
| FI Viewer | • | • | • | BLANK |

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

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

Table 7. Deposit Processing and Reporting Roles

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

The following table specifies OTCnet Check Capture roles and corresponding permissions at the agency level.

Table 8. Check Capture Roles

| **Check Capture Task** | **Check Capture Operator** | **Check Capture Lead Operator** | **Check Capture Admin.** | **Check Capture Supervisor** | **Batch Approver\*** | **Batch Uploader\*** | **Online/Offline** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Authorize Duplicates | BLANK | • | BLANK | • | BLANK | BLANK | Online/Offline |
| Authorize MICR Correction | BLANK | • | BLANK | • | BLANK | BLANK | Online/Offline |
| Authorize Poor Image Quality | BLANK | • | BLANK | BLANK | BLANK | BLANK | Online/Offline |
| Balance Check Amounts | BLANK | • | BLANK | • | BLANK | BLANK | Online/Offline |
| Change Batch Control Values | • | • | BLANK | • | BLANK | BLANK | Online/Offline |
| Change Batch Status | BLANK | BLANK | BLANK | • | BLANK | BLANK | Online/Offline |
| Close Batch | • | • | BLANK | • | BLANK | BLANK | Online/Offline |
| Edit Batch | BLANK | • | BLANK | • | BLANK | BLANK | Online/Offline |
| Change Mode | • | • | BLANK | BLANK | BLANK | BLANK | Online/Offline |
| Configure Check Capture System (settings) | BLANK | BLANK | • | • | BLANK | BLANK | Online/Offline |
| View Check Capture System Configuration | • | • | • | • | BLANK | BLANK | Online/Offline |
| Configure Batch Manager | • | • | • | • | BLANK | BLANK | Online/Offline |
| Override Verification | BLANK | BLANK | BLANK | • | BLANK | BLANK | Online/Offline |
| Process Transactions (Scan Checks) | • | • | BLANK | BLANK | BLANK | BLANK | Online/Offline |
| Approve/Submit Batch | BLANK | BLANK | BLANK | • | • | BLANK | Online/Offline |
| View Batch List | • | • | • | • | BLANK | BLANK | Online/Offline |
| Void Item During Balancing | BLANK | BLANK | BLANK | • | • | BLANK | Online/Offline |
| Void Transaction | BLANK | BLANK | BLANK | • | • | BLANK | Online/Offline |
| Check Capture System Maintenance (Upgrade Scanner Firmware) | BLANK | BLANK | • | • | BLANK | BLANK | Online/Offline |
| Check Capture System Maintenance (Upgrade Application from Online) | BLANK | BLANK | • | • | BLANK | BLANK | Offline |
| Check Capture System Maintenance (Upgrade Form from Online) | BLANK | BLANK | • | • | BLANK | BLANK | Offline |
| Upload Batch | BLANK | BLANK | BLANK | • | BLANK | • | Offline |
| Acknowledge Batch | BLANK | BLANK | BLANK | • | BLANK | • | Offline |
| Recover from Secondary Storage | BLANK | BLANK | BLANK | • | BLANK | BLANK | Offline |
| Reset LVD | BLANK | BLANK | • | • | BLANK | BLANK | Offline |
| Update LVD | BLANK | • | BLANK | • | BLANK | BLANK | Offline |
| Authorize Old Verification | BLANK | BLANK | BLANK | • | BLANK | BLANK | Offline |
| Create and Download Local Bridge Credential File | • | • | • | • | BLANK | BLANK | Online |
| Create and Download Initialization File | BLANK | BLANK | • | BLANK | BLANK | BLANK | Offline |
| Startup of OTCnet Local Bridge (OLB) Application | • | • | • | • |  |  |  |
| Startup of OTCnet Offline Application Server | • | • | • | • | • | • | Offline |
| Upgrade Offline OTCnet Version | • | • | BLANK | • | BLANK | BLANK | Offline |
| Modify Classify Batch | • | • | BLANK | • | BLANK | BLANK | Online/Offline |
| View Classify Batch | • | • | • | • | BLANK | BLANK | Online/Offline |
| Modify Classify Item | • | • | BLANK | • | BLANK | BLANK | Online/Offline |
| View Classify Item | • | • | • | • | BLANK | BLANK | Online/Offline |
| Download Check Capture Application | BLANK | BLANK | • | • | BLANK | BLANK | Offline |
| View Activity Log | • | • | BLANK | BLANK | BLANK | BLANK | Offline |
| Read/View Audit Check Capture Module (Partial – Access User’s Own Activities Only) | BLANK | BLANK | • | BLANK | BLANK | BLANK | Offline |
| Manage Users | BLANK | BLANK | • | BLANK | BLANK | BLANK | Offline |
| Download User Profiles | BLANK | BLANK | • | BLANK | BLANK | BLANK | Offline |
| Update User Profiles | BLANK | BLANK | • | BLANK | BLANK | BLANK | Offline |
| Download OTC Endpoints | BLANK | BLANK | • | BLANK | BLANK | BLANK | Offline |
| Update OTC Endpoints (Offline) | BLANK | BLANK | • | • | BLANK | BLANK | 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 | • | • | • | • | • | •• | BLANK | • | • | BLANK |
| OTCnet Logon and Homepage | • | • | • | • | • | • | BLANK | • | • | BLANK |
| Modify Organization Hierarchy | BLANK | BLANK | • | • | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| Delete Organization Hierarchy | BLANK | BLANK | BLANK | • | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| View organization Hierarchy | • | • | • | • | • | • | BLANK | • | • | BLANK |
| Search Organization | • | • | • | • | • | • | BLANK | • | • | BLANK |
| Create/Modify Verification Records | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK | • |  | BLANK |
| View Verification Records | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK | • | • | BLANK |
| Read Block Record Containing Only an ABA | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK | • | • | BLANK |
| Create/Modify Check Capture Site | BLANK | BLANK | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK |
| Download Release\*\* | BLANK | BLANK | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK |
| View CIRA | • | BLANK | BLANK | BLANK | BLANK | • | • | • | • | BLANK |
| Read/View Audit Admin (Partial) | BLANK | BLANK | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK |
| Read/View Audit Check Capture (All) | BLANK | BLANK | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK |
| Read/View Audit Check Capture Module (Partial) | BLANK | BLANK | BLANK | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| Read/View Audit Check Capture Module (Partial – User’s Own Activity) | BLANK | • | • | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK |
| Read/View Audit Check Processing (All) | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK | BLANK | • | BLANK | BLANK |
| Read CIRA Check Image Report | • | BLANK | BLANK | • | BLANK | BLANK | • | • | • | BLANK |
| Read CIRA CSV Report | • | BLANK | BLANK | • | BLANK | BLANK | BLANK | • | • | BLANK |
| Download CIRA CSV Historical Report | • | BLANK | BLANK | • | BLANK | BLANK | • | • | • | BLANK |
| Read Deposit Ticket Report | • | BLANK | BLANK | • | BLANK | BLANK | • | • | • | BLANK |
| Read Debit Voucher Report | • | BLANK | BLANK | • | BLANK | BLANK | • | • | • | BLANK |
| Modify Accounting Codes | BLANK | BLANK | BLANK | • | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| Import Accounting Codes | BLANK | BLANK | BLANK | • | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| View Accounting Codes | BLANK | BLANK | BLANK | • | • | BLANK | • | BLANK | BLANK | BLANK |
| Modify Endpoint Mappings | BLANK | BLANK | BLANK | • | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| Modify Summary-level Classification Flag | BLANK | BLANK | • | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| View Summary-level Classification Flag | • | • | • | • | • | • | BLANK | • | • | BLANK |
| Edit Agency Comments | BLANK | BLANK | • | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| View Agency Comments | • | • | • | • | • | • | BLANK | • | • | BLANK |
| Modify Processing Options | BLANK | BLANK | • | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| View Processing Options | BLANK | BLANK | • | BLANK | • | BLANK | BLANK | BLANK | BLANK | BLANK |
| ACR Activity Report | • | BLANK | BLANK | • | BLANK | BLANK | • | • | • | BLANK |

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

\*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