OTCnet Release Notes

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Overview

OTCnet 1.0 is a new application that enables federal agencies to integrate check conversion and deposit reporting activities into one web-based application. OTCnet encapsulates the functionality of two legacy US Treasury systems – Paper Check Conversion Over the Counter (PCC OTC) and Treasury General Account Deposit Reporting Network (TGAnet). The purpose of this document, the OTCnet release notes, is to highlight what is new to OTCnet Release 1.0 to include changes to the system.

OTCnet provides immediate benefits to agencies as the one stop shop for your Agency's check capture and deposit processing need:

➢ **System Consolidation:** OTCnet combines the functionality of PCC OTC and TGAnet into one system that contains both PCC OTC's Check Capture and TGAnet's Deposit Processing features

➢ **Architectural changes in the design of application:** OTCnet will be a web-based application that can be accessed online and offline (Check Capture activities only)

➢ **Centralized User Management**: Security Administrators from each agency will manage their OTCnet users centrally through Treasury Web Application Infrastructure (TWAI) IBM Tivoli Identity Manager (ITIM). Offline user profiles will be downloaded

➢ **Single Sign-On:** One username and password combination can access multiple systems using FMS' Single Sign-On application, ITIM
   o Check Capture users will no longer need to log into different POS modules, System Administration Tool, Point of Sale and Batch Manager one at a time

➢ **Uniform look and feel:** The Check Capture and Deposit Processing functionalities have a similar look and feel

➢ **Web-based Training (WBT):** An easily navigated WBT will be available to agencies at any time, eliminating the need to schedule Instructor-Led-Training (ILT) before processing on the system

➢ **Enhanced Security:** Increased security on agency or financial institution over-the-counter transaction data

➢ **Centralized location for Reporting:** User management reports will be consolidated and centrally located on the system

➢ **Online functionality will limit certification and accreditation:** Agencies may only need to conduct limited certification and accreditation

Look and Feel

OTCnet will be a web-based application that can be accessed online (Offline Check Capture activities will be offered in a future release of OTCnet).This will eliminate the need for the check processing application to be managed locally. In PCC OTC, user provisioning, batch management and scanning checks had to be performed at each individual terminal, for that specific terminal. The change in architecture allows for these same functions to be handled remotely, providing more flexibility with geographical limitations.

Users accessing OTCnet will experience a uniform look and feel that should provide an enhanced ease of use with the web application. A user will be able to access OTCnet and other applications using a Single Sign On (same Login ID and Password). Upon entering OTCnet, a user will see a series of Tabs based on their permissions. Tabs are used to access Administration, Deposit Processing, Check Processing, and Reporting functions.

Additionally, since OTCnet employs a web-page navigation, additional components are available to allow users to navigate to other pages in the application; Breadcrumbs are located at the top of each page for navigational reference, and selectable work-flow step numbers are displayed to allow a user to return to previous steps. For the majority of actions in the application, a user will see a Review page, and then a Confirmation Page (once the action has been completed). The Review page will feature an "Edit" hyperlink to allow a user to return and modify the action.

A user will also notice web page behaviors consistent throughout the application. Fields that a user is entering data for will be highlighted, and will contain "tips" for entering data. Fields displayed will be grouped into categories to better organize information captured by the user.

A common characteristic that will be available on all OTCnet web-pages is access to training. Training is accessible through a one step process. https://qa-train.otcnet.fms.treas.gov/training/index.html or via the Training Link at the Global Menu Toolbar at the top of the screen.

User Management

Users in OTCnet will be created using the IBM Tivoli Identity Manager (ITIM). ITIM is a user provisioning and role management system used for managing users across multiple FMS applications. ITIM provides the capability for security administrators to create and modify FMS user identities and to assign and modify user roles for specific FMS applications. ITIM is customized to support the requirements of specific FMS applications. OTCnet is one of the applications supported by ITIM. For OTCnet, ITIM is used to create and modify OTCnet users and to manage each user's role or roles within the OTCnet application. Users created using ITIM are provided with an FMS-wide, Single-Sign-On identity and can be assigned (if authorized) to other FMS applications that support FMS Single-Sign-On.

OTCnet employs a "distributed user management process" where each Federal Agency manages its own OTCnet users. Specifically, ITIM is used by an agency's OTCnet security administrators to manage its OTCnet users. Each agency participating in OTCnet must have a minimum of two OTCnet security administrators at the highest level (department level) as defined in OTCnet. This is necessary in order to allow for the request/approval process workflow, which is described

later in this document. The OTCnet agency adoption team will assist new agencies in setting up their two security administrators.

ITIM utilizes a request approval process. Once an OTCnet account has been created in ITIM, a request for approval is automatically created by ITIM. The request must be approved by an authorized user, using ITIM. An agency must have at least one user who can submit an OTCnet account creation or modification request and at least one user who can approve the request in order to support the request approval process. As a result, it is required for each agency to have two security administrators at the highest level (a PLSA and an LSA). The PLSA can act as an approver for a request submitted by the LSA and the LSA can act as an approver for a request submitted by a PLSA. Additional LSAs at the same or lower levels can be created to allow for additional requestors and approvers.

When a user logs into their SSO account for the first time, he/she will be required to accept all Rules of Behavior, establish a permanent password, set Challenge/Response security questions, and create a Shared Secret. This is a one-time occurrence at the initial login and will not need to be repeated again, but it must be completed once to gain access to the OTCnet application.

Web-based Training (WBT) and Online Help

OTCnet provides WBT to agency users to learn about the deposit reporting/processing and check processing modules. TGAnet users are familiar with WBT since it is available in the TGAnet application. For PCC OTC users, WBT will provide a new experience in learning about the system base on the user roles. In addition, a context sensitive online help will also be provided to help users to navigate the different functionalities in the application.

Hardware/ Software

For a full list of OTCnet Hardware and Software requirements and needs, please visit the OTCnet website at:
http://www.fms.treas.gov/otcnet/sys_req.html

Functional Components

Deposit processing, check processing (including online check capture) and administration are three main functional components of OTCnet 1.0 release.

Administration

Administration allows users to configure the setting for an Agency who uses deposit processing and/or check capture. These activities include creating a hierarchy, defining/mapping accounting codes, establishing deposit processing options, configuring check capture terminals, and more.

The key features of administration module are:

Manage Organizations

Each Agency will have an organizational structure for your agency's deposits and check processing. This organizational structure is called a hierarchy. Creating this hierarchy accomplishes three things:

- An organization's hierarchy describes the relationships and reporting structures between OTC Endpoints within your organization that create or submit deposits in OTCnet
- Defines the content of the reports that individuals may run based on their OTC Endpoints within the hierarchy
- The creation of the hierarchy enables staff to create deposits and pull reports on all appropriate OTC Endpoints in the organization

The organizational hierarchy you create contains specific OTC Endpoints from which Deposit Preparers may create deposits and Check Capture Operators may scan checks. These locations are called OTC Endpoints. You are responsible for indicating which locations in the hierarchy are OTC Endpoints, and how deposits at OTC Endpoints should be handled. A Deposit Processing endpoint will be indicated with a (TGA) next to the endpoint, and a Check Capture endpoint is indicated with a (CHK) next to it. Also, a given OTC Endpoint can perform both Deposit Processing and Check Capture Activities as well.

- Create organization hierarchy
- Modify organization endpoints
- Delete organization endpoints
- Search organizations
- Maintain organization and financial institution relationship
- Modify, import and view accounting codes
- Maintain custom labels
- Maintain and view processing options
- Create, modify and view user defined fields
- Add and maintain OTC verification groups
- Maintain check cashing policy

With TGAnet and PCC OTC, agencies have maintained and created separate hierarchies in each application. In OTCnet, agencies will have an integrated hierarchy for Deposit Processing and Check Processing. In OTCnet, agencies can also setup the Check Cashing Policies and display the description for the Return Reason Code.

When creating an organization, the system will accept certain special characters to be included in a Short Name or Description. However, inclusion of certain special characters can and will create issues with the Voucher to FI transmission file. Due to new system requirements in OTCnet, the following special characters cannot be utilized in the short name or description of the endpoint name: \ > < ' &. Therefore, Special Characters should be limited or not used altogether; all questions associated with this should be directed towards Customer Service.

When enabling an OTC Endpoint for Check Capture, an authorized user may establish the Queue interface for the OTC Endpoint with one click. If a user is attempting to enable an OTC Endpoint for deposit processing that was previously set up as a Check Capture OTC Endpoint, the system will ensure that the OTC Endpoint has a valid ALC with SAM (Shared Accounting Module). If the ALC (from the ALC+2) is not valid with SAM, the system prevents the user from enabling that Endpoint for Deposit Processing as well.

Manage Users, User Login and Profile Management

As the Primary Local Security Administrator (PLSA) or Local Security Administrator (LSA) for your organization, an Agency is able to manage which users can access OTCnet.

- Create and maintain users and user profiles online
- Create and maintain user roles/permissions
- Create and maintain user password
- Modify a user status

Formerly handled via UPS (for TGAnet users) and locally via SAT (for PCC OTC users), a link to Managing Users is available in OTCnet; selecting this link will automatically re-direct the authorized user to the ITIM user provisioning application (discussed in detail below) to perform these functions.

Deposit Processing

Deposit Processing permits Federal agencies the ability to create and submit deposits for confirmation. This platform also allows for Financial Institutions to confirm those deposits and create adjustments electronically. Deposits can be created for US currency, foreign cash and foreign check items. The key features of deposit processing function are:

Manage Deposits

The purpose of creating a deposit is to help an Agency find the information needed quickly and easily to successfully complete deposits for their organization. The ability to modify those deposits ensures that accurate deposits are made.

- Create and modify deposits
- Submit and confirm deposits
- View Deposits
- Create adjustment
- Search / Download deposits
- Search / Download adjustments
- Create return item adjustment

Manage Financial Institutions

Financial Institutions can configure and update their account information, which can include updating account numbers and routing numbers used by Agencies.

- Create and modify financial institution
- Create and modify CA$HLINK II account
- Modify FRB CA$HLINK account
- Transfer CA$HLINK II account
- Transfer financial institution RTNs
- View financial institution

Deposit Processing Reports

Deposit Processing Reports display a variety of information relating to deposit processing functionality. Some of this information includes adjustment activity, user information, voucher status, and user information. The reports are divided into three distinct report types:

- Business reports
- Administrative reports
- Security reports

Check Processing (Online Check Capture)

The Check Processing component of OTCnet is used to process scanned images of checks and money orders through OTCnet for electronic deposit of checks. Check capture can be done online through the internet, from the user's desktop. The key features of check processing function are:

Check Capture System Administration

Configure Check Capture combines SAT and POS Configuration functionality from the legacy PCC OTC system into one screen of OTCnet.

- Configure check capture settings (Terminal Configuration)

Terminal Configuration allows a user to specify all of the configuration settings for a workstation. When configuring the terminal for the first time, a user will be required to specify the Terminal ID one time only. As Check Scanning will be performed via the Online Application (in Release 1.0) and scanned checks will be saved directly to the processing system, several fields previously configured in PCC OTC will no longer be necessary, including configuring Task Executions such as Batch Upload, Batch Acknowledgment, as well as Proxy Settings. A user will also no longer need to configure the secondary storage, batch retention and activity log retention periods.

When accessing the check scan page, an Operator will be able to select to view the Terminal Configuration settings established. Additionally, a user will receive error messages if he or she selects the Scan Check menu option, selects to scan a check with a certain scanner if the terminal is not configured for it.

Check Capture

The component of OTCnet used to process images of checks and money orders for the electronic deposit of checks and money orders. Check capture can be done online through the internet, or in a future release, offline through the user's desktop.

- Process checks in single and batch mode
- Batch control and correct MICR
- Image quality and resolve duplicate
- Validate checks and print receipt

In OTCnet, a user will only be able to scan a check against a single ALC+2 at a time. A user will need to return to the initial scan check page if he/she wants to scan against a different ALC+2 while scanning a batch. Different from POS, scanning a batch is not limited to a single terminal using the web application; a batch may be acted upon from multiple terminals, though not at the same time. When entering in an amount for a check, the system will automatically populate the decimal point two places from the right, therefore entering a decimal point is not necessary.

Manage Batch

Batch management allows Check Capture users to scan checks into a batch, close a batch, balance check amounts and enter batch control values during batch closing. In OTCnet, there is also an explicit approve batch action to allow a Check Capture Supervisor to approve a batch before submitting for check processing. OTCnet also provides a new capability to allow a user to search and view batch for manage.

- Search / View batch
- Activate / Deactivate batch
- Close batch
- Approve batch
- View and Print Batch List Report
- Manage item and Print Item Detail Report
- Void item

Users with authorized access may select to manage a batch from any workstation. Since OTCnet is operating as a web application, the system institutes a locking mechanism that will prevent more than one user at a time with access to a batch from accessing it. Users accessing Batch Management will have the ability to search for batches that are open, closed, approved or forwarded. In PCC OTC, printing of the batch list was required to close a Batch. In order to close a batch in OTCnet, a user will be required to select the option to "Confirm Batch Print." Once this button has been selected, the batch (if balanced) will be moved to "Closed" state. If a Supervisor is closing a batch, the batch will immediately bypass "Closed" state move to an Approved state.

When managing a batch, an authorized user (Supervisor) may select to Void All items in a batch. A user with appropriate privileges may also modify user defined fields as in PCC OTC. However, a user must select to "Update Item" in order to edit and save the changes.

An enhanced set of controls has been implemented to allow a user to toggle with the check item image as well; a user has the ability to zoom in/out, rotate left/right, and navigate to the next image.

Central Image Research Archive (CIRA)

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

- Query CIRA
- View CIRA detail
- Edit CIRA detail
- View verification detail
- Status monitoring

Manage Verification

Manage Verification functionality allows users to search the Master Verification Database (MVD) to identify check writers that wrote bad checks and may be suspended from submitting checks. Users with certain access levels can override information in the MVD database and also edit entries.

- Query / View verification records
- Add manual MVD record
- Add dynamic MVD record
- Edit verification record

Check Processing Reports

Users can use Check Processing reports to view a variety of information relating to Check Processing. These reports include the CIRA CSV report, Agency CIRA report, 215 Deposit ticket report, 5515 Debit Voucher Report and additional reports to help agencies view and report out Check Processing activity.

- Business reports

Check Processing System Administration

Users have the ability to access two other system administration related functions in OTCnet

- Query Audit Log
- Transmission History

Users can view the Audit Log and search for audit log entries in the Administration Tab, while Transmission History can be accessed under the Check Processing Tab. The Audit Log serves as a consolidation of the Audit Log in ELVIS that captured Check Processing related entries and the Activity Log in SAT that captured entries associated with POS, Batch Manager, and SAT. A user may search the audit log via Keywords (as in ELVIS) and further via Category Name. Access to search the audit log by keyword is filtered by level of permissions. Check Capture Operators and Lead Operators may view only entries associated with their own actions, while Check Capture Supervisors and other roles contain more significant levels of access their own entries and entries of those under them. In the future release, audit log entries captured for the Offline OTCnet application will be uploaded to OTCnet made available in Online to administrators/supervisors with appropriate access.

Transmission History was originally labeled "Batch Management" in PCC OTC – ELVIS. Given the Batch Management name already being used in OTCnet, this menu option name was changed. Users will have the ability to continue using this function to query for batches that were uploaded by transmission date.

Appendix A: User Roles

Below we have outlined the users in PCC OTC and their OTCnet user role equivalent:

PCC OTC	OTCnet
Cashier	Check Capture Operator
POC	Check Capture Supervisor
Agency User Admin MVD Information Security Security Contact	Primary Local Security Administrator (PLSA) Local Security Administrator (LSA)
MVD Edit	MVD Editor
MVD View	MVD Viewer
CIRA	CIRA Viewer
MVD View/ CIRA MCD Edit/ CIRA/ Reports MVD Edit/ CIRA/ Reports +CSV MVD Edit/ Report	MVD Editor CIRA Viewer View Reports
Agency Manager 1 Agency Manager 2	Agency Manager

Appendix B: OTCnet Terminology Changes

Below we have outlined the changes to the PCC OTC & TGAnet terminology and their OTCnet equivalent:

PCC OTC Terminology	TGAnet Terminology	OTCnet Terminology
Location Hierarchy	Organization Hierarchy	Organization Hierarchy
NA	Organization Endpoint	OTC Endpoint
POS Location / ALC+2 Location	Depositing Endpoint	- OTC Endpoint (CHK) - OTC Endpoint (TGA)
Root Location (Federal Reserve)	All Federal Program Agencies	All
ALC + 2	NA	ALC + 2
Parent	Higher Level Organization	Higher Level Organization
Location Name	Short Name	Short Name
Description	Description	Description
System Administration Tool	NA	Check Capture System Administration / ITIM
POS Configuration	NA	Check Capture System Administration
Batch Manager	NA	Manage Batch
Point-of-Sale	NA	Check Capture
Verification	NA	Manage Verification
CIRA Query	NA	CIRA Query
Centralized Deployment	NA	Manage Centralized Deployment
Scheduler	NA	Manage Process
Location Group	NA	OTC Verification Group
Location Policy	NA	Check Cashing Policy
Configure Block	NA	Data Privacy
Batch Management	NA	Transmission History