



**U.S. Department of Treasury
Financial Management Service**

**OTCnet Agency Site Profile (ASP)
Check Capture and Check Processing
Release 1.0
Documentation Version 1.0**

Agency Representative

Agency Name

Location Name

Date

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1. Introduction

This document will provide the FMS OTC Deployment Team with the necessary information to set up each new location in OTCnet. Unless otherwise noted, each section of this document is required and must be completed in order for the new location to be set up in OTCnet.

If you have questions about any section of the document, or about the general OTCnet setup process, please contact the FMS OTC Deployment Team at fms.otcdeployment@citi.com or at (703) 377-5586.

2. Location Information

Please supply the following information for the location completing this form.

I. Location Information

Location Information	
Agency Full Name	
Location Name	
Location Name For Reports (Some examples of Reports are: Deposit Voucher, Debit Voucher, etc.) (Maximum of 17 characters)	

3. General and Contact Information

Please provide us with the following contact information to ensure that we can reach someone from your agency throughout and after the deployment process.

Location Address Information	
Agency Representative	
Email Address	
Phone Number	
Location Address	
Location County (if in the US)	
Shipping Address (if different from Location Address)	

I. Agency ALC or Four Digit DSSN(s)

ALC or Four Digit DSSN Information	
ALC or Four Digit DSSN	
Number of Endpoints or Cashflows Required	
List each individual Endpoint or Cashflow name as it should appear on the check writer's statement. (Maximum of 16 characters) NOTE: This list should correspond to the number of Cashflows requested in the line above.	

II. Cross-Servicing Information

Cross-Servicing allows your payment process to be sub-contracted to another Agency for processing. Please answer the questions below to indicate whether this location is a processor for another Agency.

Does the ALC listed above have Cross-Servicing functions performed by another agency?

Yes No

Does the ALC listed in the Location Information section belong to the Federal Agency who is completing the Form?

Yes No

If no, please explain in the space provided:

4. Method of Settlement

There are two types of settlement in OTCnet, which are based upon the type of item received and presented for deposit: Truncation and Conversion.

Truncation: Business checks, money orders, cashier checks, federal, state, and local government checks, and travelers checks will all have debits presented to the check writer's financial institution via Substitute Check or Electronic Image Presentment.

Conversion: Personal checks will have a debit presented to the check writer's financial institution via the Automated Clearing House (ACH) network.

When a return item has been received that was originally collected through either Conversion or Truncation, OTCnet can automatically represent the return item for collection based on certain return codes (i.e. insufficient funds). Treasury will hold the item on behalf of the Agency until it is time to resubmit the item for collection. The resubmission of a previously failed item is called a **representation**.

Truncation

Use the below table to specify the number and schedule of representations for items submitted for truncation (will be used for all return reason codes). Under the Check 21 law, this rule allows for only one representation.

Conversion

If your location is also submitting checks through the conversion process, please use the below table to specify the number and schedule of representations for items submitted for conversion (will be used for all return reason codes).

Truncation Representation Schedule			
Specify Number of Representments for Truncation – Please check one box	Indicate None, One, or Two Representments. The recommended setting is two, which will allow your agency the maximum number of opportunities to represent an item.	None	<input type="checkbox"/>
		One	<input type="checkbox"/>
Conversion Representation Schedule			
Specify Number of Representments for Conversion	Indicate None, One, or Two Representments. The recommended setting is two, which will allow your agency the maximum number of opportunities to represent an item.	None	<input type="checkbox"/>
		One	<input type="checkbox"/>
		Two	<input type="checkbox"/>
Representation Schedule			
Schedule – Please check one box	Indicate the preferred representation schedule. The returned items will be resubmitted on the selected dates. Truncation and conversion representations will follow the same schedule.	1 st and 15 th	<input type="checkbox"/>
		Next Business Day	<input type="checkbox"/>
		15 th and End of Month	<input type="checkbox"/>
		Hold item for # of days	
		Other	

I. Notification of Conversion

It is a regulatory requirement that all agencies participating in OTCnet notify their customers prior to receiving checks that will be converted via ACH.. The notice must be presented to customers prior to the agency going live with OTCnet. Please refer to the OTCnet Agency Agreement (AA) for the official Notification or visit our website at www.fms.treas.gov/otcnet.

Note: The posting of this notice on a website only is not sufficient notice by itself, but can be used to supplement a primary method of notification such as the inclusion of the notification language on billing statements.

The table below should be completed to outline how and when your Agency plans to begin the Notification process.

Plans for Notification of Conversion	
How will your agency notify check writers of the conversion of their paper checks to ACH debits?	
On what day does the Agency plan to begin the Notification process? Must be at least 30 days prior to deployment.	

5. System Configuration

I. Deposit Ticket and Debit Voucher Settlement Options

In OTCnet, your agency can specify how it wants to have your Deposit Tickets and Debit Vouchers reported and numbered. Please answer the questions below:

Deposit Ticket and Debit Voucher Settlement Options		
Should there be only one daily deposit ticket for all the locations under this agency or should each ALC+2 under this agency receive an individual deposit ticket?	One Deposit Ticket per ALC	<input type="checkbox"/>
	Individual Deposit Ticket per ALC + 2	<input type="checkbox"/>
If you selected individual, should this location share its range with other ALC+2s under this agency?	Yes	<input type="checkbox"/>
	No	<input type="checkbox"/>
Should there be a single range for deposit tickets and debit vouchers or a separate range for each?	Single Range	<input type="checkbox"/>
	Separate Range	<input type="checkbox"/>
Provide the ranges discussed above for Deposit Tickets (e.g., single: 000001-999999, next 000001).		
Provide the ranges discussed above for Debit Vouchers (e.g., single: 000001-999999, next 000001).		
Should each retired transaction get an individual debit voucher or should the debit vouchers be aggregated so that the location receives only one debit voucher with many retired items on it (per company)?	Individual Debit Voucher	<input type="checkbox"/>
	Consolidated Debit Voucher	<input type="checkbox"/>

II. Box 6 Information

When setting up a new location in OTCnet, it is also possible to include Box 6 or Agency Comments Field information. As you may know, this is a field used on the paper SF215 that allows an agency to record any information that they would like to appear in

CASHLINK. This information is customizable per locations and will appear next to each deposit in CASHLINK. It will be the same on every SF215 issued for a specific ALC + 2.

If there is any information you would like to have included in this field, please enter it in the box below:

--

III. Check Verification Database Usage and Policy

The Verification Database is an OTCnet feature that allows Agencies to verify items against their own historical, negative check database. It is used to set up the Agency’s Suspension Policy and to indicate how information should be shared within the Agency. Please indicate at what point the verification record should be created.

NOTE: This section is optional. If your Agency will not use the MVD, please skip this page. Only Agencies that choose to use the MVD should complete this section.

Agency Suspension Policy	
Number of Return (s) based on the following return codes: RO1 - Insufficient Funds, R02 - Account Closed, and R09 - Uncollected Funds	Suspension Period (# of days)
<i>First Item Returned</i>	
<i>Second Item Returned</i>	
<i>Third Item Returned</i>	
Should items past their suspension date be included in the number of returned checks to determine check writer status?	
	<input type="checkbox"/> Yes <input type="checkbox"/> No

Note: After the last suspension in the system, the next return item will automatically generate a “Deny” status, and any future transactions will be prevented.

Point of Creation for MVD Verification Record	
Please check one of the statements below to define how your verification records are created:	
Verification Records are created when an item is returned, but has not been retired	<input type="checkbox"/>
Verification Records are created when all attempts to collect the item have been unsuccessful, and the item has been retired	<input type="checkbox"/>

IV. User Defined Fields (Optional)

User Defined Fields (UDFs) are optional customizable fields that a location can use to collect information on a payment item. Among other data, OTCnet will automatically capture Date and Check Number, and add a standard Amount UDF. In addition to this UDF, the location can add UDFs to collect additional, cashier-entered information such as invoice number, name of the remitter, or other information that will help the location track the item. As a note, information that is Personally Identifiable Information (PII) will be masked.

Each Location can choose to use between 0 and 24 User Defined Fields, with each UDF containing up to 256 characters. Each ALC can elect to use two forms, one for use when processing in Person (Customer) Present mode and another for processing in Person (Customer) Not Present/Back Office mode. As an example, a certain field can be mandatory for Customer Present, but not mandatory for Customer Not Present/Back Office operating mode if requested on the below forms.

If your agency is utilizing the Verification Database, one field can be selected as the 'primary' field, which will link to the MVD for verification purposes. Additionally, an Agency can specify four fields that can be used for searching and retrieving records from the Check Image Retrieval Archive (CIRA), a subset of OTCnet. OTCnet contains an archive of all check images, reports, and banking information.

Four templates have been provided below; please use one page per UDF. If you would like to add additional UDFs, you can duplicate one of the provided pages. The UDFs will appear on the form in the order that they are requested below.

User Defined Field #1		
Name of Field	<i>Supply the name of the field, i.e., Invoice Number, Social Security Number, etc</i>	
This Field is for ALC	<i>Enter the ALC for which you want this User Defined Filed to be utilized</i>	
Primary Field	<i>This field is considered the 'primary' field. It will be used for verification purposes in OTCnet. Pleased check 'Yes' or 'No'</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Field is visible in mode	<i>Check either 'Customer present', 'Customer not present/Back Office', or 'Both'.</i>	<input type="checkbox"/> Customer present <input type="checkbox"/> Customer not present <input type="checkbox"/> Both
Does this field contain Personally Identifiable Information (PII)?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is the field Mandatory or Optional?	<i>Check either 'Mandatory' or 'Optional'.</i>	<input type="checkbox"/> Mandatory <input type="checkbox"/> Optional
Is this field the primary field?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this field one of four searchable fields?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Minimum field length (in number of characters)	<i>Specify the minimum number of characters the field should hold.</i>	
Maximum field length (in number of characters)	<i>Specify the maximum number of characters the field should hold. Maximum = 256</i>	
Data Type	<i>Describe the type of data this field contains. If Data Type is a dropdown list, provide the desired fields</i> <i>Note: ISO Format date (yyyy/mm/dd); US Format Date (mm/dd/yyyy)</i>	<input type="checkbox"/> Text <input type="checkbox"/> Number <input type="checkbox"/> Currency <input type="checkbox"/> Drop-down <input type="checkbox"/> ISO Date <input type="checkbox"/> US Date Drop-down items:
What edits should be made for this field?	<i>Describe the edits you wish the system to make. For example, the system could check to make sure that a field is all alphabetical or all numeric.</i>	
Comments or additional information		

User Defined Field #2

User Defined Field #2		
Name of Field		
This Field is for ALC	<i>Enter the ALC for which you want this User Defined Filed to be utilized</i>	
Primary Field	<i>This field is considered the 'primary' field. It will be used for verification purposes in OTCnet. Pleased check 'Yes' or 'No'</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Field is visible in mode	<i>Check either 'Customer present', 'Customer not present/Back Office', or 'Both'.</i>	<input type="checkbox"/> Customer present <input type="checkbox"/> Customer not present <input type="checkbox"/> Both
Does this field contain Personally Identifiable Information (PII)?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is the field Mandatory or Optional?	<i>Check either 'Mandatory' or 'Optional'.</i>	<input type="checkbox"/> Mandatory <input type="checkbox"/> Optional
Is this field the primary field?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this field one of four searchable fields?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Minimum field length (in number of characters)	<i>Specify the minimum number of characters the field should hold.</i>	
Maximum field length (in number of characters)	<i>Specify the maximum number of characters the field should hold. Maximum = 256</i>	
Data Type	<i>Describe the type of data this field contains. If Data Type is a dropdown list, provide the desired fields</i> <i>Note: ISO Format date (yyyy/mm/dd); US Format Date (mm/dd/yyyy)</i>	<input type="checkbox"/> Text <input type="checkbox"/> Number <input type="checkbox"/> Currency <input type="checkbox"/> Drop-down <input type="checkbox"/> ISO Date <input type="checkbox"/> US Date Drop-down items:
What edits should be made for this field?	<i>Describe the edits you wish the system to make. For example, the system could check to make sure that a field is all alphabetical or all numeric.</i>	
Comments or additional information		

User Defined Field #3		
Name of Field	<i>Supply the name of the field, i.e., Invoice Number, Social Security Number, etc</i>	
This Field is for ALC	<i>Enter the ALC for which you want this User Defined Filed to be utilized</i>	
Primary Field	<i>This field is considered the 'primary' field. It will be used for verification purposes in OTCnet. Pleased check 'Yes' or 'No'</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Field is visible in mode	<i>Check either 'Customer present', 'Customer not present/Back Office', or 'Both'.</i>	<input type="checkbox"/> Customer present <input type="checkbox"/> Customer not present <input type="checkbox"/> Both
Does this field contain Personally Identifiable Information (PII)?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is the field Mandatory or Optional?	<i>Check either 'Mandatory' or 'Optional'.</i>	<input type="checkbox"/> Mandatory <input type="checkbox"/> Optional
Is this field the primary field?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this field one of four searchable fields?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Minimum field length (in number of characters)	<i>Specify the minimum number of characters the field should hold.</i>	
Maximum field length (in number of characters)	<i>Specify the maximum number of characters the field should hold. Maximum = 256</i>	
Data Type	<i>Describe the type of data this field contains. If Data Type is a dropdown list, provide the desired fields</i> <i>Note: ISO Format date (yyyy/mm/dd); US Format Date (mm/dd/yyyy)</i>	<input type="checkbox"/> Text <input type="checkbox"/> Number <input type="checkbox"/> Currency <input type="checkbox"/> Drop-down <input type="checkbox"/> ISO Date <input type="checkbox"/> US Date Drop-down items:
What edits should be made for this field?	<i>Describe the edits you wish the system to make. For example, the system could check to make sure that a field is all alphabetical or all numeric.</i>	
Comments or additional information		

User Defined Field #4		
Name of Field	<i>Supply the name of the field, i.e., Invoice Number, Social Security Number, etc</i>	
This Field is for ALC	<i>Enter the ALC for which you want this User Defined Filed to be utilized</i>	
Primary Field	<i>This field is considered the 'primary' field. It will be used for verification purposes in OTCnet. Pleased check 'Yes' or 'No'</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Field is visible in mode	<i>Check either 'Customer present', 'Customer not present/Back Office', or 'Both'.</i>	<input type="checkbox"/> Customer present <input type="checkbox"/> Customer not present <input type="checkbox"/> Both
Does this field contain Personally Identifiable Information (PII)?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is the field Mandatory or Optional?	<i>Check either 'Mandatory' or 'Optional'.</i>	<input type="checkbox"/> Mandatory <input type="checkbox"/> Optional
Is this field the primary field?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this field one of four searchable fields?	<i>Check either 'Yes' or 'No'?</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Minimum field length (in number of characters)	<i>Specify the minimum number of characters the field should hold.</i>	
Maximum field length (in number of characters)	<i>Specify the maximum number of characters the field should hold. Maximum = 256</i>	
Data Type	<i>Describe the type of data this field contains. If Data Type is a dropdown list, provide the desired fields</i> <i>Note: ISO Format date (yyyy/mm/dd); US Format Date (mm/dd/yyyy)</i>	<input type="checkbox"/> Text <input type="checkbox"/> Number <input type="checkbox"/> Currency <input type="checkbox"/> Drop-down <input type="checkbox"/> ISO Date <input type="checkbox"/> US Date Drop-down items:
What edits should be made for this field?	<i>Describe the edits you wish the system to make. For example, the system could check to make sure that a field is all alphabetical or all numeric.</i>	
Comments or additional information		

V. Receipts

OTCnet can print receipts based on the UDF you created in the previous section. Based on your UDF choices, please list the fields and the appropriate order in which they should appear in the table below (if needed, please insert additional rows). You may specify multiple receipt formats for different locations/cashflows.

Would you like to use receipts?

Yes

No

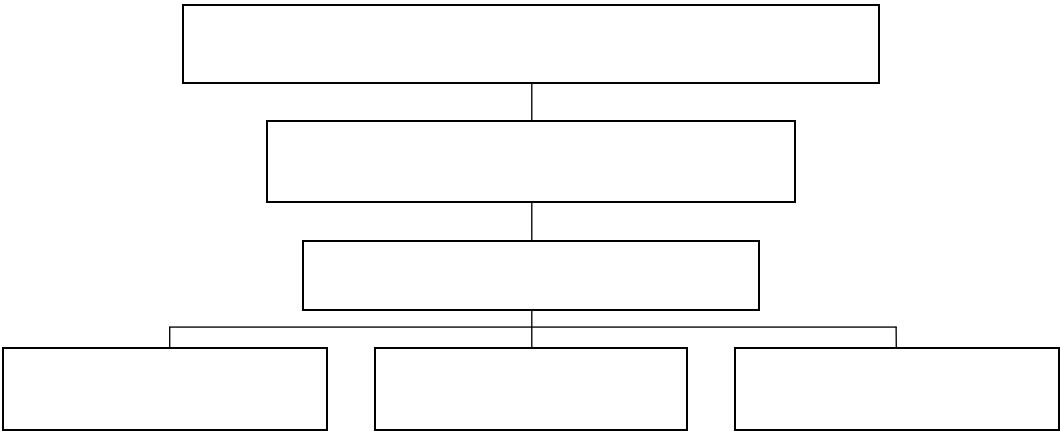
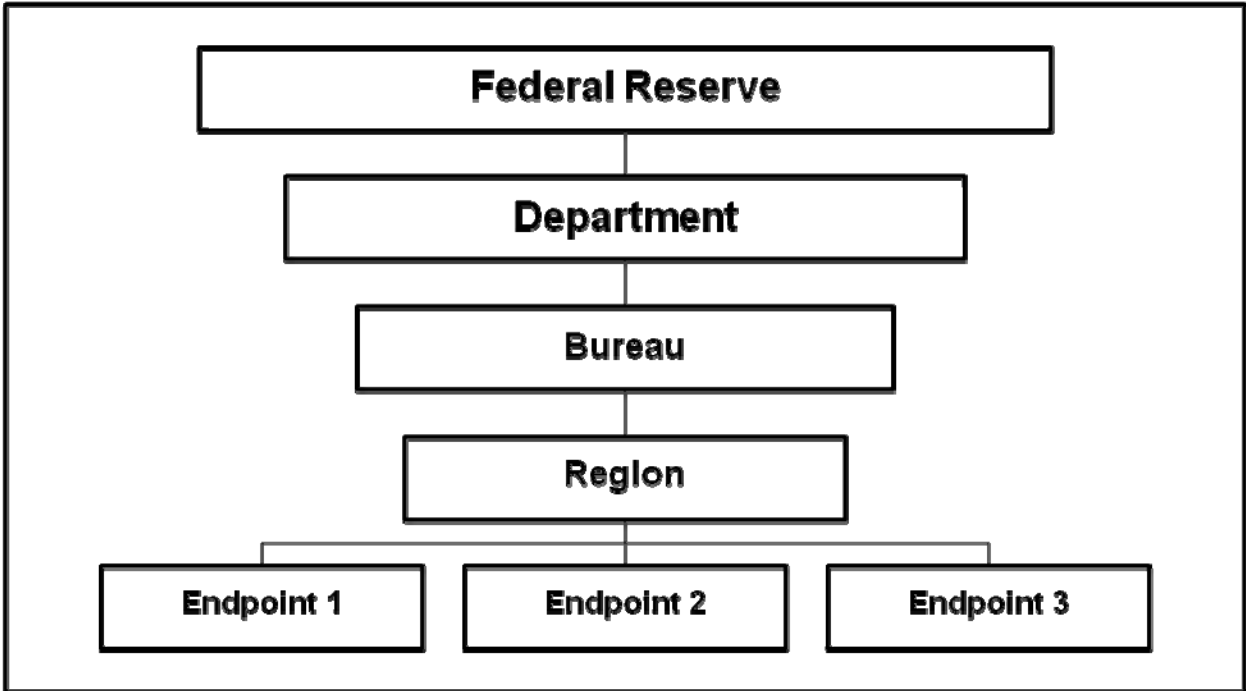
Receipts	
Field 1	
Field 2	
Field 3	
Field 4	

6. Agency Hierarchy

When a location is entered into the OTCnet system, it is added as a level to a pre-existing OTCnet hierarchy. The hierarchy is organized under the Federal Reserve by agency, bureau, and, in some cases, region. When a User is set up in the OTCnet system, access is granted at a specific level, allowing the User to see transactional data for a given level as well as its subordinate locations. Your location's placement in the hierarchy will determine what records are seen by which locations. Similarly, the OTCnet system configuration settings, such as user defined fields and MVD policy information, are assigned by level and can be adopted by or assigned to subordinate locations.

Please use the hierarchy shown on the next page as a guide to complete the blank hierarchy below for the location completing this form. Please add more boxes wherever appropriate.

Hierarchy Example:



7. Hardware

In order to purchase your OTCnet hardware, there are two steps that you should consider.

I. Determining Your Hardware Needs

Currently, we offer two types of check scanners:

1. RDM EC7000i series check scanner- single feed duplex scanner with internal stamping (\$349)
2. Panini MyVisionX batch scanners with 3 different operating speeds. This is a high speed batch scanner that is capable of processing 50, 75, or 100 checks per minute. (Starting at \$993).

II. Ordering Hardware (Check Summary and Peripheral

You have two options for purchasing hardware:

Option 1: Use your agency purchase card, or credit card, to purchase the hardware directly from the vendor. If you would like to purchase your hardware directly from the vendor, please contact:

RDM: Stacy Carson: 800-567-6227 x345, scarson@rdmcorp.com or

Bankers Exchange (Panini): Birch Harrison: 888-749-6396 x22, birch.harrison@bankersx.com

Option 2: Complete an Interagency Agreement (IPAC) form to transfer funding for hardware from your agency to Treasury/FMS, and have the OTC Deployment Team purchase the hardware on your behalf.

Will your Agency need to purchase new scanners?

Yes No

If yes, will your Agency be purchasing these scanners through the IPAC?

Yes No

8. Metrics and Site Statistics

The information gathered in the following section will aid in your conversion to OTCnet. Please provide a brief description of this cashflow by answering the questions below as accurately as possible:

Metrics and Site Statistics	
How many sites/locations are there under the listed Agency?	
What types of checks will be collected using OTCnet?	
How are paper checks accepted at this particular site per day?	
Indicate your agency's mode of processing as Person (Customer) Present for face-to-face, or over the counter transactions; Person (Customer) Not Present , or Back Office for items received by mail or drop box activity at your agency location, or Combination if your agency receives checks all three ways.	