

# National Finance Center

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U. S. Department of Agriculture

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N E W O R L E A N S , L A

**National Finance Center**

**Government Employee  
Services Division (GESD) Training**

***History Correction Update Processing System (HCUP)  
Participant Guide***

***Version 1.0***

***Updated as of April 28, 2016***

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## **1.0. Course Information**

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### **1.1. Purpose**

This course is designed to provide you with the appropriate skills and knowledge to access and perform key functions within the History Correction Update Processing (HCUP) System.

### **1.2. Course Objectives**

By the end of this course, you will be able to:

- Describe the HCUP system and its purpose
- Describe how HCUP relates to NFC's Payroll/Personnel System (PPS) and Inquiry Systems (IRIS, PINQ, TMGT, PMSO, and PINE)
- Navigate within HCUP
- Process cancellation actions for updating personnel history
- Process correction actions for updating personnel history
- Insert newly required actions into history
- Execute the rollback process
- Correct suspense errors

### 1.3. Agenda

This HCUP course includes the following chapters:

Chapter	Duration
Chapter 1: Course Information	30 minutes
Chapter 2: Introduction to HCUP	1 hour 30 minutes
Chapter 3: HCUP, NFC's Payroll/Personnel System, and Inquiry Systems: Information/Research Inquiry System (IRIS) Payroll Inquiry (PINQ) Position Management System (PMSO) Table Management (TMGT)	3 hours
Chapter 4: HCUP Access and Navigation Concepts	2 hours
Chapter 5: Cancellation Actions	2 hours 45 minutes
Chapter 6: Correction Actions	2 hours 45 minutes
Chapter 7: Inserted Actions	2 hours 45 minutes
Chapter 8: Rollback Process	2 hours
Chapter 9: Suspense	2 hours 45 minutes
Chapter 10: Course Summary	1 hour

#### **1.4. Ground Rules and Expectations**

Please follow these ground rules throughout the training:

- Sign the attendance sheet
- Feel free to ask questions
- Be respectful of other participants
- Keep us on schedule with timely returns from breaks
- Share your knowledge, experience, and ideas
- Use the “Parking Lot” to revisit discussion topics
- Give helpful feedback
- Turn off your cell phones and refrain from checking email

#### **1.5. Course Materials and Resources**

You will be provided with the following course materials to assist your learning:

- HCUP Participant Guide

As you move through this participant guide, be sure to take note of the following messages:

**CAUTION:** A text field bordered and shaded in red indicates a cautionary message. CAUTION messages advise you that failure to take or avoid a specified action could result in loss of data.

**IMPORTANT:** A text field bordered and shaded in green indicates a very important message. This type of message provides information essential to the completion of a task. Subsequent steps in a process are dependent on the correct data entry or actions specified in an **IMPORTANT** message. While other messages may provide helpful suggestions, you should always adhere to messaging labeled as **IMPORTANT**.

**NOTE:** A text field bordered and shaded in blue indicates a note. This type of message emphasizes or supplements important parts of the main text. A **NOTE** supplies information that may apply only in special cases.

**TIP:** A text field bordered and shaded in yellow indicates a helpful tip. This type of message helps you apply the techniques and procedures described in the text to their specific needs. A **TIP** suggests alternative methods that may not be obvious and helps you understand the benefits and capabilities of the product.

## 2.0. Introduction to HCUP

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### 2.1. Chapter Overview

This chapter introduces the purpose and use of the HCUP system. It discusses the main functions of HCUP that a user would perform in the system.

#### *Chapter Objectives*

By the end of this chapter, you will be able to:

- Explain the purpose of HCUP
- Describe the main functions that a user would perform in HCUP

The following terminology will be addressed in this chapter:

<b>Terminology</b>	<b>Description</b>
Historical Action	An action previously processed and found in an employee's personnel history, or a new action that must be inserted within an employee's personnel history
Cancellation Action	An action that rescinds an earlier action that was improper, that was proper but contains references to improper data, or that contains remarks that are inappropriate or erroneous and that should not have been recorded
Correction Action	An action that changes information shown on an earlier action on which an error occurred or adds information that was omitted from an earlier action. A correction does not alter the fact that an action occurred, it just changes when it occurred or how it was documented.
Inserted Action	A newly required retroactive action that is the result of a late personnel action, cancellation, or erroneous effective dates

## **2.2. HCUP Overview**

### *Lesson Overview*

This lesson focuses on the main purpose and use of the HCUP system.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe the main purpose of HCUP
- Describe how Office of Personnel Management (OPM) guidelines on history corrections tie into HCUP
- Define a historical action

### **Purpose of HCUP**

The HCUP system is an online entry tool designed for processing of:

- Historical actions,
- Corrections of existing historical actions, and
- Cancellations of existing historical actions.

A historical action is an action previously processed and found in an employee's Personnel History, or a new action that must be inserted among actions already in history.

HCUP allows for correction and cancellation of historical personnel actions which were previously processed and have updated to:

- IRIS,
- Personnel History (PERHIS) database, and
- Entry, Processing, Inquiry, and Correction (EPIC) History database.

It also allows for the entry of late or new actions that must be inserted among actions residing in history.

The employee's current Agency has read access to all history data on the personnel history database for its employees. The history data includes history for all previous employment within a Department for organizations serviced by NFC. The current Agency is responsible for ensuring that all corrections, cancellations, or any other type of modification to the employee's history record are processed either by the current Agency or the previous Agency, depending on necessary action and its effective date.

**NOTE:** If an action must be added for the previous Agency, the previous Agency must process a HCUP package. The current Agency enters correction actions as necessary in the pay period after that package applies, based on the required data.

### **OPM Guidelines on Correcting Personnel History**

Now that we know about HCUP's purpose, let's examine OPM's guidelines on correcting personnel history to better understand HCUP and its use. OPM's Guide to Processing Personnel Actions offers instructions for:

- Preparing the SF-52 "Request for Personnel Action" for new actions,
- Correcting or cancelling previously issued actions, and
- Replacing cancelled actions<sup>1</sup>.

These types of actions are used to correct an employee's personnel history.

Instructions in Chapter 32 of OPM's Guide to Processing Personnel Actions suggest two types of correction scenarios:

- Situations in which personnel history can be corrected just by inserting, correcting, or cancelling a single retroactive action, and

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<sup>1</sup> Found in Chapter 32, "Interim Relief Actions, Corrections, Cancellations, and Replacement Actions for Cancellations."

- Situations in which a late personnel action requires the insertion, correction, or cancellation and replacement of one or more subsequent actions.

The following table outlines OPM’s guidance on the cancellation, correction and insertion of actions:

Scenario	Response
An action is invalid because it is improper (i.e. it never should have been processed).	The invalid action should be officially cancelled.
An action is invalid because it contains references to improper data or contains remarks that are inappropriate or erroneous.	The invalid action should be officially cancelled.
An invalid action is officially cancelled.	Per OPM, the cancelled invalid action may or may not be replaced by a replacement action.
An action is valid but incorrect.	Per OPM, the valid but incorrect action should be officially corrected.

**NOTE:** Agency policy will dictate when an action should be corrected, cancelled, or replaced with another action.

## 2.3. Main Functions of HCUP

### *Lesson Overview*

This lesson focuses on the main functions that a user performs in HCUP.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Discuss the primary functions of HCUP
- Explain how HCUP is used to correct history

### **Functions within HCUP**

As we learned in Lesson 2.2 HCUP Overview, HCUP simplifies the processing of official cancellation actions, official correction actions, and inserted actions. Let's look at each of these actions more in depth:

- **Cancellation Action:** This rescinds an earlier action that was improper, that was proper but contains references to an improper action, or that contains remarks that are inappropriate or erroneous and that should not have been recorded. A cancellation may be necessary in the following example situations:
  - A decision orders an action to be rescinded, withdrawn, or expunged.
  - An appointing officer determines an action should never have occurred.
  - An employee requests reconsideration of negative within-grade increase determination and the negative determination, documented with 888/Denial of WGI, is overturned.
- **Correction Action:** This changes information shown on an earlier action on which an error occurred or adds information that was omitted from an earlier action. A correction does not alter the fact that an action occurred, it just changes when it occurred or how it was documented. A correction may be necessary in the following example situations:
  - The nature of action is wrong (e.g. an appointment is documented as "Reinstatement-Career" and should be "Reinstatement-Career Conditional").

- Legal authority is wrong (e.g. authority indicates that the action is based on reclassification when it is the result of a career ladder promotion).
  - Required remarks have been omitted from the action or there is an error in the remarks that are documented.
  - Tenure, Annuitant Indicator, or another block on the Standard Form (SF)-50 is documented incorrectly.
- Insert Action: A newly required retroactive action is the result of a decision or cancellation and has effective dates previous to the last personnel action processed. An insert action may be necessary in the following example situations:
- A decision is made to cancel a change to a lower grade, thus returning the employee to his or her prior grade. If the employee would have received a WGI if he or she had remained in the prior grade, the action to document the WGI is a newly-required action.
  - A decision, order or settlement agreement is reached under the rules of the Merit Systems Protection Board (MSPB), the Equal Employment Opportunity Commission (EEOC), the Federal Labor Relations Authority (FLRA), OPM, or the Agency.

When you correct, cancel, or insert a history action, the system automatically cancels and re-processes all non-exception actions. These re-processed subsequent actions show as unofficial corrections in HCUP. This allows the following actions to occur:

- Personnel Edit System (PINE) edits each action of the new history chronologically for validity.
- Adjustment Processing (ADJP) will have a new chronological history from which to re-compute 25 pay periods of payroll.
- Retirement Processing (RETM) can replace an old personnel history with a new one.

Users must process history actions, whether a correction, cancellation or insertion, as a package. If one action in the HCUP package is automatically suspended by PINE, all other actions in the HCUP package will also be automatically suspended until the erroneous action is corrected.

## 2.4. Chapter Review

### *Knowledge Check*

1. Explain the purpose of HCUP in one to two sentences.

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2. Match the type of action in the left column with its appropriate description in the right column.

- |                               |  |
|-------------------------------|--|
| 1. <b>Cancellation action</b> | A. A retroactive action that is the result of a decision or cancellation and has effective dates previous to the last personnel action processed   |
| 2. <b>Correction action</b>   | B. An action that rescinds an earlier action that was improper, that was proper but contains references to an improper action, or that contains remarks that are inappropriate and that should not have been recorded. |
| 3. <b>Inserted action</b>     | C. An action that changes information shown on an earlier action on which an error occurred or adds information that was omitted from an earlier action.   |

### *Chapter Summary*

Having completed this chapter, you are now able to:

- Explain the purpose of HCUP
- Describe the main functions that a user would perform in HCUP

### 3.0. HCUP, NFC’s Payroll/Personnel System, and Inquiry Systems

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#### 3.1. Chapter Overview

This chapter focuses on how NFC’s PPS, including PINE, ADJP, PMSO, and TMGT, and the Inquiry Systems, including IRIS and PINQ, interface with HCUP. It also introduces the importance of using IRIS, PINQ, PMSO, and TMGT for research and validation of current data and personnel actions processed in HCUP.

#### *Chapter Objectives*

By the end of this chapter, you will be able to:

- Describe the relationship between NFC’s PPS and HCUP
- Describe the relationship among PINE, ADJP, IRIS, PINQ, PMSO, and TMGT with HCUP
- Describe the process to perform HCUP research within IRIS, PINQ, PMSO, and TMGT successfully

The following terminology will be addressed in this chapter:

<b>Terminology</b>	<b>Description</b>
Personnel History Record (PERHIS RCD)	A grouping of history records created by personnel actions when an employee is under a single Organizational Structure Code and POI

## **3.2. Relating NFC's Payroll/Personnel System to HCUP**

### *Lesson Overview*

This chapter focuses on how HCUP interfaces with NFC's PPS, including PINE and ADJP.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Explain the Payroll/Personnel Process Flow and Processing Cycle
- Describe the relationship between NFC's PPS and HCUP
- Summarize the flow of actions among HCUP, PINE, and ADJP

### **Introduction to PPS**

PPS is a database system that allows the integration and sharing of an array of data records among many modular subsystems (e.g. HR, Payroll, Time and Attendance, and Reporting components). The PPS database includes the following features:

- Consists of employees' current and prior salary payment information, personnel actions, name and address information, etc., and
- Allows integration of payroll and personnel actions with other payment systems.

HCUP is one of the many modular subsystems within PPS. Figure 1: Payroll/Personnel System illustrates how history correction interfaces with the PPS database.

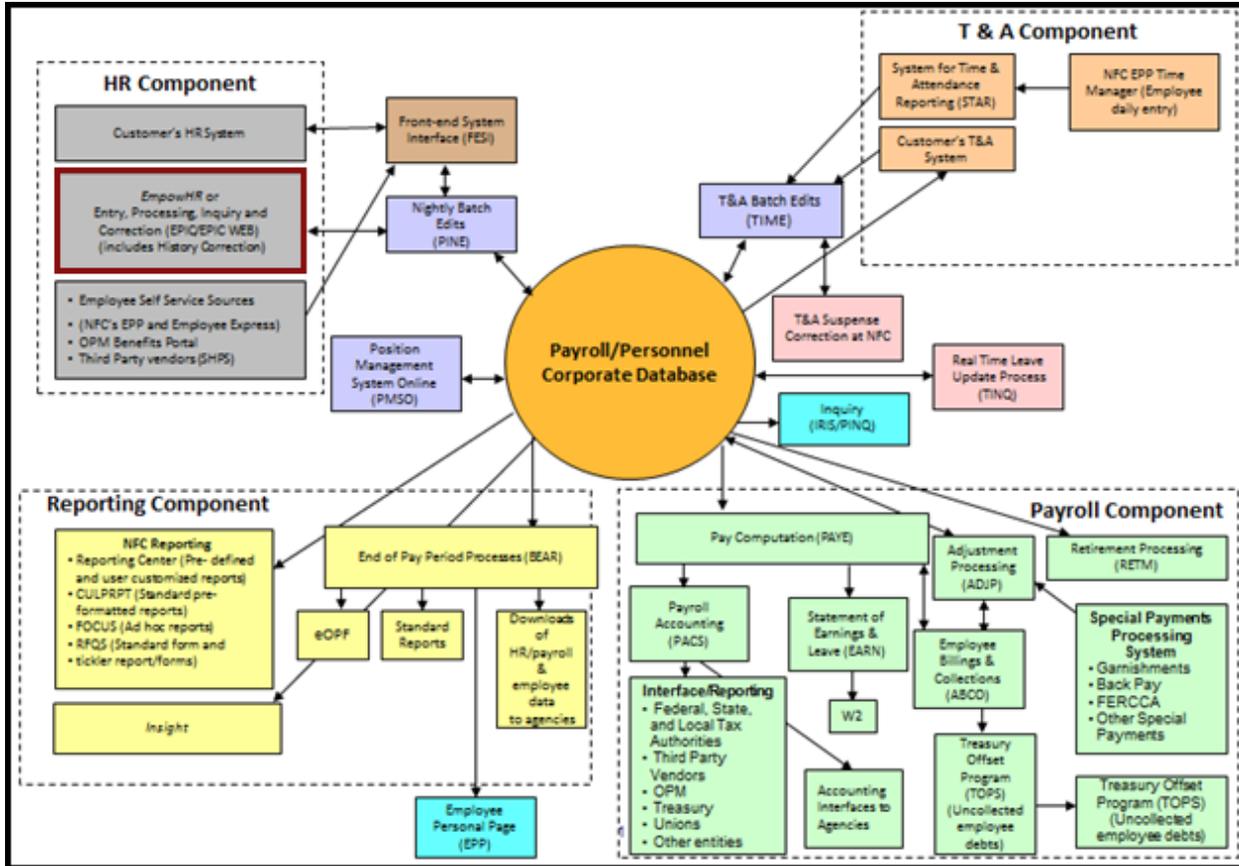


Figure 1: Payroll/Personnel System

As the figure demonstrates, HCUP is an essential part of the Entry, Processing, Inquiry, and Correction (EPIC) system. HCUP enables users to process corrections to an employee's personnel history according to OPM instructions and, at the same time, furnish PPS with the information required to validate the new history record created, and to make up to 25 pay periods of retroactive payroll adjustments.

Figure 2: HCUP and Payroll/Personnel System Actions further demonstrates the interaction between HCUP and PPS.

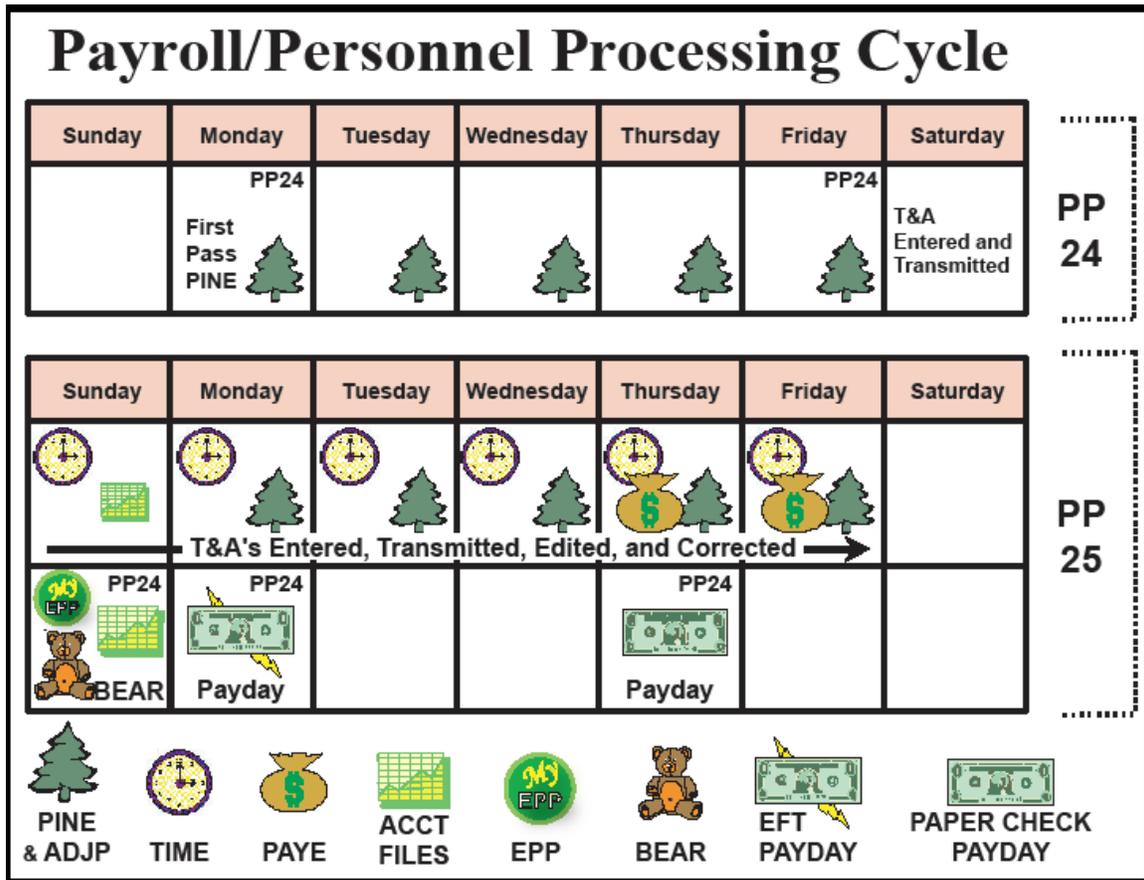


*Figure 2: HCUP and Payroll/Personnel System Actions*

When processing a personnel action using HCUP, you are doing much more than updating a database with information that will be used to generate a Standard Form (SF)-50 “Notification of Personnel Action”. PPS uses this personnel action information to compute an employee's biweekly pay and update retirement records maintained at NFC. Changing an employee's personnel history often means that you are changing information which affects how an employee's pay should have been calculated for the period being corrected. This means it affects payroll and benefits (e.g. retirement, health, life, etc.) information for the employee.

### **Validation of the New History Record**

When a HCUP package comprised of several actions is created and released from the system, it passes through PINE for edits. PINE is the edit system for all personnel and payroll transactions. It edits each action within the HCUP package for validity against the employee's database record. Figure 3: Payroll/Personnel Processing Cycle illustrates the daily PINE edits effective for Pay Period 24. The processing begins the second week of Pay Period 24 and is completed after the first week of Pay Period 25.



*Figure 3: Payroll/Personnel Processing Cycle*

Payroll and personnel transactions, including HCUP packages, undergo the following actions in relation to the Payroll/Personnel Processing Cycle:

- Are processed through PINE every Monday through Friday,
- First pass through PINE for the current pay period processes on the second Monday of the pay period, and
- Must be entered before the first pass of Pay Computation System (PAYE), which is the first Thursday or Friday of the following pay period.

**CAUTION:** Never start or change a HCUP package after PAYE runs through the first pass of PINE for the next pay period. PAYE generally runs Thursday evening, and the first pass of PINE is the following Monday so do not start or change a package on Friday, Saturday, Sunday, or Monday after PAYE runs. Packages started during these days will often encounter invalid errors and may need to be deleted and reentered.

When payroll and personnel transactions pass PINE edits with a current or prior effective date, the transactions are then sent to the Personnel Processing System (PEPL) to update PPS.

Payroll and personnel transactions that pass the PINE edits and have future effective dates are sent to the future file. Documents in the future file are edited in the first pass of PINE of each subsequent pay period until the effective pay period is reached to determine their validity. During the effective pay period, these transactions are re-edited in PINE and either applied to the PPS database or sent into suspense. Suspense is the process by which PPS marks the HCUP packages that:

- Fail PINE edits,
- Cannot be applied to PPS due to errors, and
- Must be corrected by the Agency in HCUP.

Remember that you must process history corrections as a package within HCUP. All cancellation, correction, insertion and replacement actions within a HCUP package are edited by PINE and applied to the database as an inseparable group. This means that the entire package must pass the PINE edits before any of the actions will apply, so if one action fails during PINE edits, the entire HCUP package will fail. This process, known as suspense, is covered in a later chapter.

## Retroactive Payroll Adjustments

Once edits are passed through PINE, the actions flow to the ADJP system, which provides for automatic handling of a variety of payroll adjustments. The ADJP system performs the following actions:

- Revalidates Time and Attendance (T&A) reports and late personnel actions,
- Performs the debit and credit routine,
- Calculates the difference,
- Compensates or collects the data accordingly, and
- Automatically disburses or collects in accordance with the Debt Collection Act, as appropriate, if a correction or cancellation action is processed that affects the employee's salary data, retirement coverage, cost of living allowance, post differential, or quarters deductions rate, etc.

The automatic adjustment period within ADJP is 26 pay periods, including:

- 25 prior pay periods, and
- The current processing pay period.

**IMPORTANT:** If the adjustment period exceeds 25 pay periods, whether the employee was underpaid or overpaid by the current or previous Agency, each Agency involved must enter or submit a Special Payroll Processing System (SPPS) Web request for processing.

When retroactive personnel actions are processed in HCUP, ADJP automatically uses this new history along with T&A records stored on the database to recalculate the employee's pay for up to the previous 25 pay periods. The old personnel history remains on the database so ADJP can use it to re-compute what the employee was originally paid for the periods involved. This recalculation of pay based on late personnel actions is referred to as the "revalidation" process.

The subsequent lessons in this chapter provide a more thorough explanation of each system and how it is used for research and validation in conjunction with HCUP. However, before doing so, the four systems are briefly introduced in the below bullets:

- Information/Research Inquiry System (IRIS)
  - IRIS is used to provide immediate access to at least one calendar year of current and five years of historical payroll/personnel data and certain payroll document history.
- Payroll/Personnel Inquiry System (PINQ)
  - PINQ is used to query employee payroll data in PPS, and it provides immediate access to one calendar year of employee payroll data.
- Position Management System Online (PMSO)
  - PMSO is a real time online database system that allows Agencies to add, change, inactivate, reactivate, delete, and restore position data for immediate update to the PMSO database.
- Table Management (TMGT) System
  - TMGT provides direct access to table records containing selected data elements (Agency or Bureau Codes, addresses, etc.) from the payroll/personnel, financial, and administrative systems. TMGT allows authorized users to view and update records, request reports, and view documentation data for various tables used in application programs.

Before learning more about each system, you must first learn how to access the respective four systems through the NFC Mainframe. To do so, follow the procedure below to gain access.

Step	Action
1.	Access the NFC mainframe. The <b>U.S. Government Computer Warning</b> screen displays.

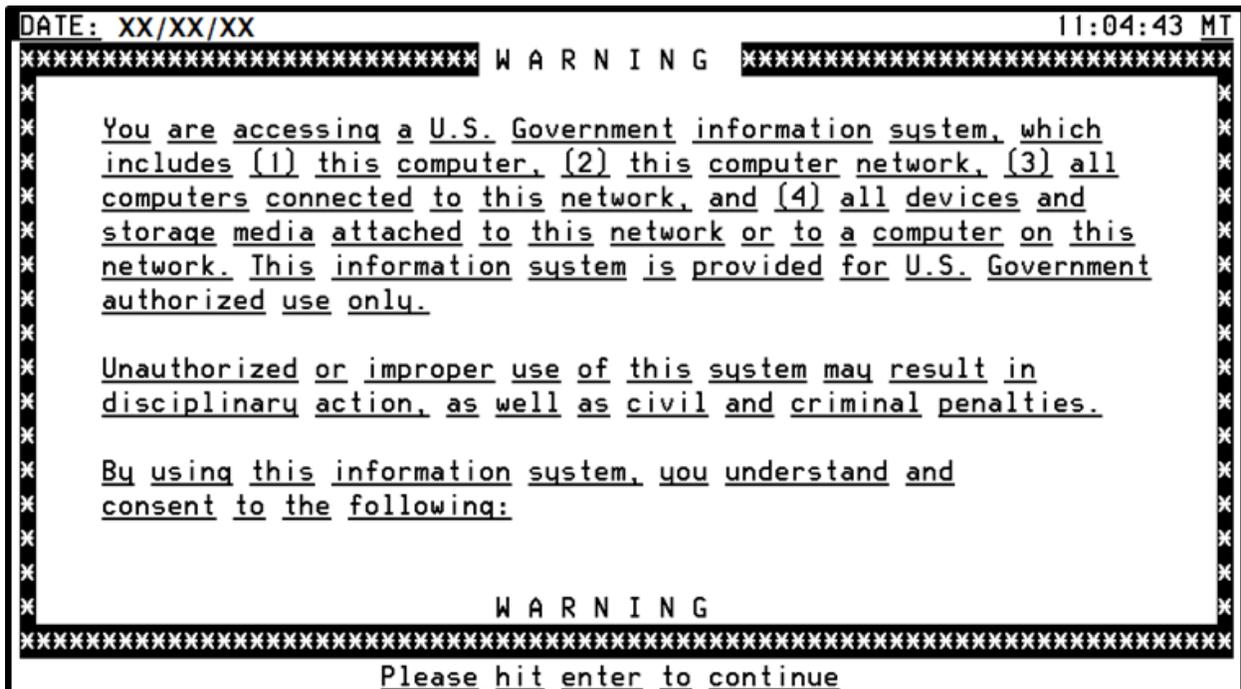


Figure 4: U.S. Government Warning Screen

Step	Action
2.	Press <b>Enter</b> . The <b>NFC Banner</b> displays.

```

=====
==  XX/XX/XX          SNX32702          T30N6711          PF 1=HELP  ==
=====
==              NN  NN          FFFFFFFF          CCCCCCCC  ==
==             NNN  NN          FFFFFFFF          CCCCCCCC  ==
==            NNNN  NN          FF              CCC      ==
==           NN NN NN          FFFFFFFF          CCC      ==
==          NN  NNNN          FFFFFFFF          CCC      ==
==         NN  NNN          FF              CCCCCCCC  ==
==        NN  NN          FF              CCCCCCCC  ==
=====
==              National Finance Center              ==
==            Office of the Chief Financial Officer            ==
==          United States Department of Agriculture          ==
==              =====              ==
==              For Authorized Use Only              ==
==  ENTER USER ID = █          PASSWORD =          NEW PASSWORD? N ==
==                                  (Y or N) ==
==  ENTER APPLICATION NAME =          OR PRESS ENTER FOR MENU ==
==
==
=====

```

Figure 5: NFC Banner Screen

Step	Action
3.	Enter your user ID in the <b>ENTER USER ID</b> field.
4.	Enter your password in the <b>PASSWORD</b> field.
5.	Enter the system abbreviation (IRIS, PINQ, PMSO, or TMGT) you wish to access in the <b>ENTER APPLICATION NAME</b> field.
6.	Press <b>Enter</b> . The respective system's <b>Main Menu</b> displays.

Now that you are able to access each system, we are going to walk through how to switch between systems. The following procedure is the same for navigating between any of the four systems, but for this example let's say you are trying to navigate from PINQ to IRIS.

To access a specific IRIS Menu while working in another NFC application (such as PINQ), you can bypass the IRIS Main Menu entirely by following the below steps:

Step	Action
1.	Press <b>Pause/Break</b> .
2.	Enter the Task Code (e.g., IRIS, PINQ, PMSO, etc.) in the <b>TASK CODE</b> field.



*Figure 6: TASK CODE Field*

Step	Action
3.	Press <b>Enter</b> . The requested system screen displays.

Now that you can access each system, now you can focus on learning purpose of each system and how it relates to HCUP.

### 3.3. Relating Inquiry Systems to HCUP

#### *Lesson Overview*

This lesson provides an overview of the Inquiry Systems, including IRIS and PINQ, and how they relate to HCUP. It also focuses on how to navigate through IRIS and PINQ using current and historical data menus to research and validate personnel actions in HCUP.

#### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Explain the purpose of the Inquiry Systems and provide an overview of its functionality
- Describe the relationship between the Inquiry Systems and HCUP
- Navigate menu options within IRIS and PINQ
- Compare and validate an employee's historical personnel data in IRIS and PINQ

#### **Introduction to Inquiry Systems**

IRIS and PINQ are inquiry systems of the PPS database. They provide immediate access to current and prior payroll and personnel data. The majority of the data displayed in IRIS and PINQ programs directly results from the entry of the same values via personnel actions and payroll transactions processed by the Agency. IRIS and PINQ allow users to look up hundreds of data items on employees, simply by selecting one of the program numbers.

**NOTE:** Neither inquiry system stores data for any period earlier than an Agency's conversion to PPS.

## **Introduction to IRIS**

IRIS is an inquiry system of PPS that provides immediate access to current and prior payroll and personnel data and allows processors to validate information necessary to complete HCUP packages.

IRIS contains data which results from the processing of personnel actions and payroll documents. Data is updated in IRIS after one or more of these processes:

- PINE editing,
- Time Inquiry-Leave Update System (TINQ) usage, and/or
- Bi-weekly Examination Analysis and Reporting (BEAR) completion.

IRIS provides inquiry and validity capability. Users are able to view current and historical employee data. Personnel actions and payroll documents apply to the database and are visible in IRIS if they:

- Pass all PINE edits, and
- Are effective in a prior or the current pay period.

## **IRIS' Relevance to HCUP**

Before starting a HCUP package to correct an employee's personnel history, it is important to research and view the employee's current history record in IRIS. You should research IRIS for any document that may have applied in the current processing cycle, which could include Agency-generated as well as system-generated documents. Agency-generated documents may include manually-processed payroll or personnel action documents (e.g. Temporary Promotion), while system-generated documents may include automatically-processed personnel action documents (e.g. system-generated Within Range Increase).

There are three reasons for researching in IRIS prior to starting a HCUP package, which include:

- Capturing the personnel actions in history,
- Finding out information on each of the personnel actions in history, and
- Verifying that the Personnel History Database (IR525) agrees with the History Correction List Window in HCUP.

Personnel history correction builds two distinct types of history records in IRIS:

Name	Series	Description	Length of Data Storage
<b>Transaction History</b>	IRIS 200-series and certain 300-series programs	Used by PPS in the re-editing of historical T&As based on retroactive personnel actions and by ADJP in recalculating biweekly pay based on the same actions	Two to three years
<b>Personnel History (PERHIS)</b>	IRIS 500-series programs	Used to process cancellation and replacement actions for the purpose of correcting personnel history	Ten years

### IRIS Menu and Navigation

. The IRIS Menu consists of six Menu groups, which contain employee data. To access an employee's data record you can navigate by menu or specific screens within IRIS

Name	Description
Menu	Grouping of related screens
Screens	Page of employee data

We have noted that HCUP interacts most with the 200, 300, and 500-series menus. Below is a brief description of all menu options within IRIS.

Menu	Description
100 - Current Data Menu	Displays an employee's current information
200 - Transaction History Menu	Displays transaction history data on an employee
300 - Restricted Data Menu	Displays restricted information on an employee

<b>Menu</b>	<b>Description</b>
400 - Payroll Data Menu	Reserved for future use
500 - Personnel History Menu	Displays the current and approximately 11 prior years of processed personnel history
600 - Name Employee Inquiry	Allows you to search by employee name

To move between screens and menus in IRIS, Function Keys are located at the bottom of each screen and vary from screen to screen. The below table describes the purpose of the reoccurring function keys when navigating in IRIS.

<b>Function Key</b>	<b>Description</b>
PF1	Returns you to the IRIS Main Menu or sub-menu
PF2	Displays additional information
PF5	Displays Help
PF7	Used to move up by record or to scroll up from the bottom of a page
PF8	Used to navigate down by record or to scroll down in the record
PF9	Provides access to the first history record for the key data elements displayed. History records attached to a particular current table record are numbered separately beginning with 000001.

```

IIIIIIIIII      ** INFORMATION/RESEARCH INQUIRY SYSTEM **      XX/XX/XX  IR000
  II
  II              SSN 000000000  SCREEN/MENU 000
  II
IIIIIIIIII      >> 100  CURRENT DATA MENU

RRRRRRRRRR      >> 200  TRANSACTION HISTORY MENU
RR      RR
RRRRRRRRRR      >> 300  RESTRICTED DATA MENU
RR      RR
RR      RR      >> 400  PAYROLL DATA MENU

IIIIIIIIII      >> 500  PERSONNEL HISTORY MENU
  II
  II              >> 600  NAME EMPLOYEE INQUIRY
  II
IIIIIIIIII

                ENTER SSNO (OPTIONAL) AND SCREEN NUMBER - PRESS ENTER.

SSSSSSSSSSSS
SS
SSSSSSSSSSSS
      SS              PF5 = HELP      PF6 = GLOSSARY      CLEAR = EXIT
SSSSSSSSSSSS

```

Figure 7: IRIS Main Menu

## IRIS: Navigation

To access a record in IRIS, follow the below steps:

Step	Action
1.	Enter the employee's social security number in the <b>SSNO</b> field.
2.	Enter the IRIS Menu/Screen number in the <b>SCREEN NUMBER</b> field.
3.	Press <b>Enter</b> . The requested employee record displays.

## **500-Series: Personnel History Menu**

The PERHIS Menu (IRIS 500s) contains the names of all the screens used to store a record of the current version of an employee's personnel history. IR525 in particular is the result of all original, update, correction, and cancellation actions processed on an employee. PERHIS and EPIC history records are updated once each pay period at the end of the processing cycle.

When history incorporates all changes made to personnel history, the following actions take place:

- History corrections apply to and appear within personnel history as though they were the original actions.
- Once the changes have applied to the database, the history records look the way they would have looked if all personnel actions had been processed correctly from the beginning.
- Officially cancelled actions are removed.
- If officially corrected, original actions are removed and replaced with the corrected action.

Some PERHIS programs are updated by adding a history record each time a personnel action is processed regardless of whether the data they contain is changed by the action or not. These programs are indicated by the symbol > on the Personnel History Menu screen below. The other programs are updated with an additional history record only when the specific information they contain is updated. It is important to know which group a program belongs to understand how an employee's database record looked at a specific point in time.

The IRIS 500 menu contains 18 programs used to view current and over 10 years of PERHIS data. Figure 8: Personnel History Menu is a screen image of the Personnel History Menu. All personnel history programs belong to the IRIS 500 series.

PERSONNEL HISTORY MENU

XX/XX/XX IR500

SCREEN 000

<u>501</u> SALARY DATA	<u>524</u> ADDRESS/CHECK INFORMATION
<u>502</u> DATES & MISC SAL/PERS DATA	<u>525</u> PERSONNEL ACTIONS SUMMARY
<u>515</u> HEALTH BENEFITS	<u>527</u> DETAIL ASSIGN/TEMPORARY PROMOTION
<u>516</u> LIFE INSURANCE	<u>528</u> RETAINED GRADE DATA
<u>517</u> RETIREMENT DATA	<u>530</u> EDUCATION AND CERTIFICATE
<u>518</u> THRIFT SAVINGS DATA	<u>532</u> SEPARATION INFORMATION
<u>519</u> RESERVED FOR FUTURE USE	<u>542</u> AWARDS
<u>522</u> SF-50B DATA ELEMENTS	<u>543</u> TIME OFF AWARD DATA
<u>523</u> PERSONNEL SUPPLEMENTS	<u>547</u> SERVICE RECORD

\* \* \* SCREEN NUMBERS CORRESPOND WITH THE IR100 SERIES \* \* \*  
EXCEPT IR547 SCREEN \* \* \*

ENTER SCREEN NUMBER AND PRESS ENTER

PF1 = MAIN MENU

PF5 = HELP

ENTER = TRANSFER

CLEAR = EXIT

Figure 8: Personnel History Menu

## IR525: PERHIS Personnel Actions Summary

IR525 displays a listing of personnel actions processed for over 10 years. Figure 9: PERHIS Personnel Actions Summary is a screen image of the PERHIS Personnel Actions Summary.

```

SSN 00000000 AG 90 * PERHIS PERSONNEL ACTIONS SUMMARY * XX/XX/XX IR525
SCREEN 000 NAME IRIS TRAINING
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL

```

PF SEL	PROCESSED PP YR	EFF-DATE	DOCUMENT NATURE OF ACTION	AGCY	POI	USER-ID
	11 10	05 23 10	000 849	90	5317	NP088E
	05 10	02 28 10	000 893 Q7M	90	5317	BEAR10
	01 10	01 03 10	000 894 QWM ZLM	90	5317	BEAR60
	24 09	11 22 09	000 840	90	5317	NP215E
	20 09	09 27 09	000 903 9BS	90	5317	BUSCD
	16 09	08 15 09	000 881 DPM	90	5317	NP0049E
	13 09	06 21 09	000 846	90	5317	NP088
	13 09	06 21 09	000 903 Z00	90	5317	BEAR10
	06 09	03 15 09	000 846	90	5317	NP0050
	01 09	01 04 09	000 894 QWM ZLM	90	5317	BEAR60
	24 08	11 23 08	000 840	90	5317	NP0050
	21 08	10 12 08	000 841	90	5317	NP0050
	20 08	09 28 08	000 847	90	5317	NP0050
	12 08	06 20 08	000 903	90	5317	PMSOC7

```

INQUIRY COMPLETE - PRESS PF8 FOR MORE RECORDS 0000
PF9 = IR501 PF10 = IR502 PF11 = IR523
PF1 = SUB MENU PF5 = HELP PF8 = PG/DOWN ENTER = INQUIRY CLEAR = EXIT

```

Figure 9: PERHIS Personnel Actions Summary

IR525 is a listing of all personnel actions for which there are history records. Each personnel action listed has several counterparts or “extensions” among other IRIS 500 programs. For every action on IR525, there is a corresponding IR501, IR502, IR516, IR517, IR522, IR523, IR527, IR528, and IR547. Together, the extensions make up a complete personnel history record on an employee for each action processed. However, IR525 should serve as the first point of reference for locating the personnel actions that make up an employee’s personnel history.

**TIP:** IR525 lists personnel actions with the most recent action shown at the top. The list can be one or more pages long.

When PERHIS programs are more than one page in length, the message “*INQUIRY COMPLETE – PRESS F8 FOR MORE RECORDS*” displays at the bottom of the screen.

Each line of data gives you the following information as you read from left to right:

- PF Select to toggle to associated history records,
- Pay period and year the personnel action was processed,
- Effective date of the personnel action,
- NOAC and authority code of the personnel action,
- Employing Agency and Personnel Office Identifier (POI) as of the effective date of the personnel action, and
- USER-ID of the person who initiated the action or the designation of the subsystem that generated it for actions after 01/94.

While IR525 provides you your first indication of what an employee’s personnel history looks like, it does not give all the information needed to understand how that history is organized. To understand how records are organized, you must be able to explain between two similar terms used on other history programs:

Term	Description
PERHIS RCD	<ul style="list-style-type: none"> <li>• A grouping of history records created by personnel actions when an employee is under a single Organizational Structure Code and POI.</li> <li>• A new PERHIS RCD is created each time a personnel action changes an employee’s Organizational Structure Code or POI.</li> <li>• The PERHIS RCD created by the most recent change in Organizational Structure Code or POI is designated as PERHIS RCD 0001.</li> <li>• If PERHIS RECORD 0001 already exists at the time that the new PERHIS record is created, the original PERHIS RECORD 0001 will change to PERHIS RECORD 0002.</li> <li>• The PERHIS RCD number is located in the upper right-hand corner of each PERHIS screen except for IR525.</li> </ul>
RECORD	<ul style="list-style-type: none"> <li>• RECORDs are found within PERHIS RECORDs and are created by a personnel action or a payroll document capable of creating a Current History record.</li> <li>• The most recent personnel action to update a PERHIS RECORD is always assigned RECORD number 0001.</li> <li>• If RECORD 0001 already exists at the time the new record is created, RECORD 0001 will change to RECORD 0002.</li> </ul>

## IR547: PERHIS Service Record

IR547 displays all personnel actions and certain payroll transactions processed for an employee for over 10 years. Figure 10: PERHIS Service Record is a screen image of IR547.

SSN 000000000 AG 90		* PERHIS SERVICE RECORD *		XX/XX/XX	IR547
SCREEN 000 NAME IRIS		TRAINING			
NATURE OF ACTION	ORGANIZATION STRUCTURE	EFFECTIVE DATE			
POSITION OFFICIAL TITLE	MR/IP #	PLAN/OCC/GR/ST			
PF SEL	SCHEDULED SALARY	ADJUSTED	SALARY		
INDIV CASH AWARD NRB	90 70 40 0080 15 00 00 00		05 23 10		
PROG ANAL	W01001 W0101001		GS 0343 12 04		
	66301.00		75689.00		
GEN ADJ	90 70 40 0080 15 00 00 00		01 03 10		
PROG ANAL	W01001 W0101001		GS 0343 12 04		
	66301.00		75689.00		
INDIVIDUAL CASH AWARD RB	90 70 40 0080 15 00 00 00		11 22 09		
PROG ANAL	W01001 W0101001		GS 0343 12 04		
	65320.00		74373.00		
CHG IN BUS CODE	90 70 40 0080 15 00 00 00		09 27 09		
PROG ANAL	W01001 W0101001		GS 0343 12 04		
	65320.00		74373.00		
INQUIRY COMPLETE - ENTER NEXT SSN OR SCREEN NUMBER			0000		
PF9 = IR501	PF10 = IR502		PF11 = IR523		
PF1 = SUB MENU	PF5 = HELP	PF8 = PG/DOWN	ENTER = INQUIRY	CLEAR = EXIT	

Figure 10: PERHIS Service Record

A quick review of IR547 on the figure below can help you to visualize some of the types of information needed on the replacement actions of a HCUP package. While IR547 does not come close to reflecting all position data and personnel action data associated with a history action, it does give some basic information associated with each record in PERHIS such as Master Record and Individual Position numbers, salary, organizational structure, pay plan, series, grade and step.

The actions in a HCUP package are a snapshot of their corresponding records in personnel history. When correcting actions, you are manipulating information taken from the personnel history record. To know what type of data to expect on a HCUP subsequent action, you bring up the corresponding record in personnel history. Looking at IR525 provides you information to determine how far back in history you need to go.

Matching those personnel actions to information on IR501 and its extensions is a matter of matching personnel actions to RECORD and PERHIS RCD numbers.

The EPIC History database does not contain a PERHIS record and PERHIS RCD number. Therefore, research in IRIS 500 screens is still necessary to make sure the correct extension records are used. Before starting your HCUP package, compare the IR525 screen to the History List to make sure both contain the same list of processed personnel actions.

## **Introduction to PINQ**

PINQ enables customers to view employee pay data in the PPS database. The data displayed in PINQ is the result of payroll/personnel transactions processed in PPS. PINQ contains data which is the result of the processing of T&A reports and the computation of employees' pay. Data is updated in PINQ after one or more of these processes:

- TIME editing
- PAYE processing
- ADJP processing
- PINE processing

PINQ provides inquiry capability to view current and historical payroll data. T&As apply to the database and are visible in PINQ if they:

- Pass all TIME edits, and
- Are for the current processing pay period or prior 25 pay periods, or
- Are corrected or revalidated T&As for prior pay periods which have been processed through ADJP and previously paid.

Payroll and deduction data for a particular pay period is visible in PINQ only after the:

- Original, corrected or revalidated T&A has passed all TIME edits, and
- Respective T&A has been paid.

PINQ stores data for the following periods:

- 26 pay periods with respect to T&A data, and
- 25 pay periods with respect to payroll and deduction data.

## **PINQ's Relevance to HCUP**

PINQ is essential to HCUP package processing because data displayed on earnings and deduction history in PINQ provides a record of how an employee was paid in a

particular pay period. If research prior to the HCUP package process is necessary, the most recently closed pay period is available once PAYE has run.

All T&A records for a particular pay period are accessed by entering the number of the pay period which the T&A covers in the Pay Period field. Data is retained for the current and the previous 25 processing pay periods. Data displayed on PINQ programs provide T&A information needed by the system for the computation of pay.

T&A History is collectively referred to as PQ023 through PQ025. The following table displays each PINQ (PQ) Menu related to T&A History and its description:

<b>PQ Menu</b>	<b>Description</b>
PQ023	T&A History
PQ024	T&A Miscellaneous
PQ025	T&A Extensions

For original T&As, these programs are updated upon receipt of a T&A that has passed through the T&A Validation (TIME) job. T&A data for corrected T&As is not visible in the T&A History programs until after the BEAR process for the pay period in which it was transmitted and applied. PINQ menus PQ022 and PQ027 through PQ083 are updated after the PAYE process.

Records for pay and deductions are stored according to the pay period in which they are processed rather than according to the pay period they represent. For example, pay and deduction information on a corrected or revalidated T&A for Pay Period 24 processed in Pay Period 25 would be referenced by entering "25" in the Pay Period field of the applicable PINQ screen. The debit and credit sides of the recomputed pay would be shown as separate records in front of the pay and deduction record for Pay Period 25.

## **Earnings and Deductions Data: Corrected/Revalidated T&A**

Remember in the first lesson of this chapter that we explained the role that ADJP plays in a HCUP process. ADJP continues to play a role through PINQ. When a corrected T&A record from a previous pay period or a late personnel action is processed, ADJP determines:

- Pay periods (T&As) that are affected, and
- Corresponding record(s) in Current Data and/or Transaction Data that must be used to re-compute both the credit (negative) and the debit (positive) sides of the adjustment.

The T&A with the highest history number (HIST NO) for a particular pay period is the record that the PAYE system uses to calculate the:

- Credit of an adjustment based on a corrected T&A (the corrected T&A itself serves as the basis for the debit side), and
- Both the credit and debit of an adjustment based on a late personnel action.

The most recently processed record in Current Data or Transaction History with a “PERS-ACT-EFFECT” date which encompasses the Circle Dates (beginning and ending dates) of the T&A is used by:

- TIME to edit current T&As, corrected T&As for prior pay periods, and the T&A representing the debit side of a revalidation,
- PAYE to compute gross pay and deductions for the current pay period (see EPIC Data Element “Effective Date” in the EPIC module for an exception),
- ADJP to compute gross pay for the debit side of an adjustment,
- ADJP to compute gross pay for the credit side of an adjustment based on a corrected T&A,
- PAYE to compute most deductions on the debit side of an adjustment, and
- PAYE to compute most deductions on the credit side of an adjustment based on a corrected T&A.

The most recently processed record in Transaction History with a “PERS-ACT-EFFECT” date which encompasses the Circle Dates of the T&A and which had applied to the database at the time the T&A was last paid is used by:

- ADJP to compute gross pay on the credit side of an adjustment based on a revalidation.
- PAYE to compute most deductions on the credit side of an adjustment based on a revalidation.

We just learned about IRIS and Personnel Transaction History within IRIS. Figure 11: Personnel Transaction History is a screen image of IR225, Personnel Transaction History, which shows a history of personnel actions processed. An 892 RBM (Irreg Perf Pay) action was processed in Pay Period 25 of 2009 with an effective date of 11/22/09 (Pay Period 24 of 2009). The action prior to that action was a 903 9BS (Chg in BUS Code).

PROCESSED		EFF-DATE		NATURE OF ACTION		AGCY	POI	BATCH	USER-ID
11	10	05	23	10	849	90	5317	6787	NP088E
01	10	01	03	10	894 QWM ZLM	90	5317	9960	BEAR60
26	09	12	20	09	CATCH-UP	90	5317	6690	GWEBESS
25	09	11	22	09	892 RBM	90	5317	6751	NP0050
20	09	09	27	09	903 9BS	90	5317	8881	BUSCD
08	09	04	12	09	FED TAX	90	5317	6605	GWEBESS
08	09	04	12	09	TSP	90	5317	6605	GWEBESS

SSN 000000000 AG 90 \* PERSONNEL TRANSACTION HISTORY \* XX/XX/XX IR225  
 SCREEN 000 NAME IRIS TRAINING  
 POSITION CURSOR ON NATURE OF ACTION FIELD, PRESS PF2 FOR NOA LITERAL

PRESS PF8 FOR CONTINUATION OF PERSONNEL ACTION SUMMARY 0000  
 PF1 ≡ SUB MENU PF5 ≡ HELP PF8 ≡ PG/DOWN ENTER ≡ INQUIRY CLEAR ≡ EXIT

Figure 11: Personnel Transaction History

ADJP creates facsimiles of the T&As from T&A HISTORY as they were last processed for the pay periods involved. For system revalidations, this facsimile forms the basis for both credit and debit of the adjustment. For corrected T&As, the ADJP-generated facsimile forms the basis for the credit side and the corrected T&A forms the basis for the debit side.



Using the Circle Dates for the Pay Period 24 T&A (11/22/2009 and 12/05/2009), the data on the T&As when the 903 9BS action was the most current on the database, the following actions occurred:

- ADJP created a facsimile of the Pay Period 24 of 2009 T&A to compute gross pay for the credit side of the adjustment, and
- PAYE computed most deductions for the credit side of the adjustment.

The pay computation for the debit side of a revalidated T&A is displayed below in Figure 13: Payroll-Listing, Revalidated T&A - Debit of Corrected Payment.

CORRECTED T&A		IRIS		DD/EFT		AGENCY 90 DO CD 3	
NAME	TRAINING						GS F/T
ADDRESS							12 05
							36.72
DESG AGENT 0000	FLSA NO	COMPRESS WK NO				BASE SAL	76627.00
PAY PERIOD	24	* * * * D E	D U C T	I O N S	* * * *		
SAL RATE CODE	PA	RETIREMENT	23.50	RETIRE PERCENT	.0080		
HB CODE 0 0 0		LIFE INS	11.85	OPT INS	38.24		
FEGLI CODE	R5	HEALTH INS	.00	BOND	.00		
SCHEDULE NO	0BA241	FED TAX M00	324.23	EXTRA FED	.00		
BLOCK/BATCH	55 240359	STATE1 22 000	111.73	EXTRA STATE1	.00		
CUR BOND REFUND	.00	STATE2 00 000	.00	EXTRA STATE2	.00		
1ST WEEK HOURS	.00	CITY CD/TX 0000	.00	IMPRES FUND	.00		
2ND WEEK HOURS	.00	CTY CD/TAX 000	.00	HITS TAX	42.60		
TOTAL HOURS	.00	OASDI TAX	182.13	UNION DUES	.00		
		CHAR CONT	.00	MEALS	.00		
		COMMISSARY	.00	QUARTERS	.00		
GROSS PAY	2,937.60	FIN ORG	.00	ADVANCE	.00		
NET PAY	2,144.57	CHILD/SUP & ALIM	.00	PERS-TAX-EXEMPT-CD	0		
		THRIFT SAVINGS	58.75	PRIVATE-TAX-CD	0		
		FLEXFUND	.00	OTHER DED	.00		

Figure 13: Payroll-Listing, Revalidated T&A - Debit of Corrected Payment

Based upon the Circle Dates for the Pay Period 24 T&A (11/22/2009 and 12/05/2009), the 892 RBM action was used by:

- TIME to edit the T&A representing the debit side of the adjustment against the new salary record created by the 892 RBM action,
- ADJP to compute gross pay for the debit side of the adjustment, and
- PAYE to compute most deductions on the debit side of an adjustment.

If there is a difference between the credit and debit sides of the recalculation, the system takes the appropriate action:

- Underpayments are added to the current processing cycle pay check,
- Overpayments of more than ten dollars cause a debt record to be established in the Administrative Billings and Collections System (ABCO), and
- Overpayments of ten dollars or less are deducted from the current processing cycle pay check.

In this example, the gross difference of the adjustment was \$86.40. This calculation is determined by subtracting the "GROSS PAY" on the credit screen from the "GROSS PAY" on the debit screen. The net difference was \$59.24 and is calculated the same. The net amount was included with the current salary check for Pay Period 25 of 2009. Note that there is nothing on the employee's Regular T&A PQ032 screen, seen in Figure 14: Payroll-Listing, Original (Current) T&A, that indicates the employee was paid additional pay. However, the additional net pay is reflected on the employee's Statement of Earnings and Leave for Pay Period 25.

PQ032 000000000 90 25 09		PAYROLL-LISTING		XX/XX/XX	
REGULAR T&A					
NAME TRAINING		IRIS		AGENCY 90	DO CD 3
ADDRESS				PAY PLAN	GS F/T
				GRADE/STEP	12 05
			DD/EFT	HOURLY RATE	36.72
DESG AGENT 0000	FLSA NO	COMPRESS WK NO		BASE SAL	76627.00
PAY PERIOD	25	* * * * D E D U C T I O N S * * * *			
SAL RATE CODE	PA	RETIREMENT	23.50	RETIRE PERCENT	.0080
HB CODE 0 0 0		LIFE INS	11.85	OPT INS	38.24
FEGLI CODE	R5	HEALTH INS	.00	BOND	.00
SCHEDULE NO	0BA241	FED TAX M00	324.23	EXTRA FED	.00
BLOCK/BATCH	55 240359	STATE1 22 000	111.73	EXTRA STATE 1	.00
CUR BOND REFUND	.00	STATE2 00 000	.00	EXTRA STATE2	.00
1ST WEEK HOURS	40.00	CITY CD/TX 0000	.00	IMPRES FUND	.00
2ND WEEK HOURS	40.00	CTY CD/TAX 000	.00	HITS TAX	42.60
TOTAL HOURS	80.00	OASDI TAX	182.13	UNION DUES	.00
		CHAR CONT	6.00	MEALS	.00
		COMMISSARY	.00	QUARTERS	.00
GROSS PAY	2,937.60	FIN ORG	292.52	ADVANCE	.00
NET PAY	1,846.05	CHILD/SUP & ALIM	.00	PERS-TAX-EXEMPT-CD	0
		THRIFT SAVINGS	58.75	PRIVATE-TAX-CD	0
		FLEXFUND	.00	OTHER DED	.00

Figure 14: Payroll-Listing, Original (Current) T&A

### 3.4. Relating PMSO to HCUP

#### *Lesson Overview*

This lesson will focus on how PMSO and HCUP relate to each other, as well as how to navigate the menu options within PMSO.

#### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe the purpose of PMSO and its relationship with HCUP
- Navigate within PMSO to research, create, and maintain master records and individual positions

#### **Introduction to PMSO**

PMSO is a real-time online database system which allows Agencies to add, change, inactivate, reactive, and delete/restore position data for immediate update to the PMSO database. PMSO also provides Agencies report generation and online inquiry capabilities for PMSO data and allows for complete control and management of position data.

Position data is separated into two types of records within PMSO:

Type of Record	Description
<b>Master Record</b>	Contains basic position data under which one or more individual positions may be assigned.
<b>Individual Position</b>	Links to the master record and identifies a specific position.

A master record must be first established before an individual position can be established. Position data is linked to employee records on the database by processing a personnel action. Once a personnel action is processed to assign an employee to the position, a social security number and name display on the individual position record.

## PMSO's Relevance to HCUP

When creating a new HCUP package, a HCUP Position Data screen is accessible for users to update or add position data for editing in the HCUP package. This data is not applied to the position data held within PMSO.

**IMPORTANT:** It is critical that you research the employee's position within PMSO to compare it with the position data on the current HCUP action processed within the HCUP package.

PINE edits the HCUP action position data against the current position in PMSO, so users should ensure that no discrepancy exists between the HCUP action position data and the position in PMSO.

Depending on the type of action being processed, it may be necessary to add or update information in PMSO. Following are examples of situations in which you may need to add or update information in PMSO:

- The creation of a new PMSO record may be necessary due to a newly inserted action or corrected action that results in a movement from one position to another. The employee will remain in the position at the end of the HCUP package.
- A PMSO change to an employee's current position may be necessary due to a corrected or inserted action. The employee will remain in the position.
- The reactivation or reestablishment of a PMSO record may be necessary due to the employee being permanently restored to your Agency's rolls.
  - If an employee's old position remains unoccupied but is inactive, you must reactivate it.
  - If the position is abolished and it can still be viewed in PMSO, you must restore it using the "Delete/Restore" function.
  - If the position is abolished and can no longer be viewed in PMSO, you must reestablish it.
  - If the position is currently occupied by someone else, you must move the person to another position or otherwise follow guidance provided in the OPM Guidance, Court Order, Agreement, etc.

Data entered on personnel actions which make changes to employees' personnel records carry effective dates and, as they apply to the database, they create a personnel action history (i.e. Salary and ADJP History records) for an employee.

Changes in PMSO change only a current position record. There is no history in PMSO. When an element is changed on the master record or individual position, that record looks as though it has always looked that way. The only historical record of how a position looked before it was changed is in the individual employee's personnel history. This may be seen on IR547.

**CAUTION:** When a personnel action is processed, it "picks up" what is in PMSO at the time. This is very important to the processing of cancellation, correction, and replacement actions within HCUP. When you make changes in PMSO, this determines if the SF-50s generated are correct and if the system correctly re-computes the employee's pay.

Every action in a history package has a position window attached to it as part of the personnel action itself. The PMSO key fields that you see on the position window (**Dept, Agency, POI, Grade, MR#, and IP#**) are part of every HCUP action, whether they are actually displayed on the personnel action window or not. The PMSO key fields are linked to the same data fields on the personnel action. This means that when you make a change to any field of the PMSO key on the Position window, the same element is automatically changed on the personnel action and vice versa.

In EPIC processing, PINE interfaces with PMSO every time a personnel action is processed whether an employee is changing positions or not. This is done for editing purposes and to update the employee's database record with any PMSO data that is changing. A personnel action moving an employee to a new position requires a vacant and active position in PMSO.

In the HCUP process, the actions contain position data but they are not edited against current PMSO data until the last action processed. After the process is completed, each employee must occupy a real position.

The Position tab within the HCUP package process is an extension of the personnel action entry window. The data fields are edited by PINE and applied to the database with all other data elements of the personnel action. From a processing perspective, it is as though PMSO did not exist for any action except the last position action of the package. Changes you make to data fields on the Position window undergo the same

online edits that are applied when you make changes to data fields in PMSO. HCUP requires that all positions used in the package exist in PMSO.

This method of pulling position data directly from PMSO is helpful when you are retroactively placing an employee in the position he or she will occupy at the end of the HCUP process.

**CAUTION:** Users must ensure that the position exists in real PMSO. In addition, users should ensure that the date the position is classified and established is no later than the effective date of the action you are processing. If more than one action with the same effective dates exists, the authentication date decides where the action is placed within the package.

## PMSO Menu and Navigation

After you access PMSO, the Position Management System Online menu is displayed. The PMSO menu consists of seventeen main functions which may be performed on either a master record or an individual position. For users with read-only access, an abbreviated PMSO menu will be displayed. Figure 15: PMSO Main Menu shows the main menu for PMSO.

```

PPPPPPPP                                     *** POSITION MANAGEMENT SYSTEM ONLINE ***
PP      PP
PPPPPPPP
PP
PP
      MMM      MMM
      MM M M MM
      MM M MM
      MM      MM
      MM      MM
      SSSSSSSS
      SS
      SSSSSSSS
      SS
      SSSSSSSS
      00000000
      00      00
      00      00
      00      00
      00000000

      QM ---> QUERY MASTER RECORD
      QI ---> QUERY INDIVIDUAL POSITION
      AM ---> ADD MASTER RECORD
      AI ---> ADD INDIVIDUAL POSITION
      CM ---> CHANGE MASTER RECORD
      CI ---> CHANGE INDIVIDUAL POSITION
      DM ---> DELETE/RESTORE MASTER RECORD
      DI ---> DELETE/RESTORE INDIVIDUAL POSITION
      IM ---> INACTIVATE MASTER RECORD
      II ---> INACTIVATE INDIVIDUAL POSITION
      RM ---> REACTIVATE MASTER RECORD
      RI ---> REACTIVATE INDIVIDUAL POSITION
      HM ---> HELP MASTER RECORD
      HI ---> HELP INDIVIDUAL POSITION
      PI ---> POSITION INQUIRY
      SR ---> REPORT SELECTION MENU
      EX ---> EXIT POSITION MANAGEMENT SYSTEM

      SELECT OPTION █

```

Figure 15: PMSO Main Menu

Below is a brief description of seven commonly used functions:

<b>Function Code</b>	<b>Description</b>
Query Master Record (QM)	Queries a master record on the PMSO database
Query Individual Position (QI)	Queries an individual position within a master record on the PMSO database
Help Master Record (HM)	Accesses the help screens for a master record without using the Add, Change, Delete, Inactivate, Reactivate, or Query option
Help Individual Position (HI)	Accesses the help screens for an individual position without using the Add, Change, Delete, Inactivate, Reactivate, or Query option
Position Inquiry (PI)	Displays all individual positions established for a master record
Report Selection Menu (SR)	Specifies the output criteria for selected reports
Exit Position Management System (EX)	Exits the system

### Selecting a Function in PMSO

<b>Step</b>	<b>Action</b>
1.	Enter in the two-character code next to the <b>SELECT OPTION</b> field.
2.	Press <b>Enter</b> .

## Key Data Fields

The key data fields at the top of each PMSO screen are used to identify a unique master record or individual position on the PMSO database. Each master record screen contains the key fields listed below. Each individual position screen contains all six of the key fields.

```

PM00301M          QUERY  INDIVIDUAL  POSITION          XX/XX/XX
                  (PF1=MENU)
                  (PF5=HELP)
1. FUNCTION Q     2. DEPT-CD/AGCY-BUR-CD             (PF7=MSTR)
3. SON           4. MR-NO           5. GRADE 00  6. IP-NO             (PF8=NEXT)
*****
1. FLSA-CD/PAY-TBL          2. FIN-DS/PROC-INTG  0             (CLR=EXIT)
3. POS-SCHED                4. POS-SENS/DRUG-TS
5. COMP-LEV                  6. WK-TITLE-CD
7. WK-TITLE
8. ORG-STR-CD              00  00  0000  00  00  00  00
9. VAC-REV-CD
11. LANG-REQ
13. DUTY-STATION
15. DT-LST-AUDIT          00  00  00
17. DATE-EST              00  00  00
19. DT-REQ-REC            00  00  00
21. POS-ST-BUD
23. DT-EMP-ASGN           00  00  00
25. INACT/ACT
27. ACCTG-STAT
29. AGCY-USE
31. DT-VACATED            00  00  00
22. MT-REV/CL-ACT-CD
24. DT-ABOL                00  00  00
26. DT-INACT/REACT        00  00  00
28. INT-ASGN-SER
30. OBLIG-SSN
32. INCUMBENT-SSN

** PLEASE FURNISH KEY DATA AND PRESS -ENTER- **

```

Figure 16: Query Individual Position

To query an individual position, you need the following information regarding applicable Function Codes.

Function Code	Description
<b>FUNCTION</b>	System-generated from the option selected on the PMSO menu
<b>DEPT-CD/AGCY-BUR-CD</b>	Two alpha character Department Code and the two alphanumeric Agency or Bureau Code
<b>SON</b>	Four numeric character POI assigned by OPM
<b>MR-NO</b>	Six character maximum master record number assigned by the Agency

<b>Function Code</b>	<b>Description</b>
<b>Grade</b>	Master record grade level. If the grade is a single digit, it must be prefixed with a zero. For SES positions, enter 00.
<b>IP-NO</b>	Maximum eight character individual position number assigned by the Agency

### **Query Master Record or Query Individual Position**

The key fields are used to query for a Master Record or Individual position. Query Master Record is option “QM” and query Individual Position is option “QI” on the PMSO Menu.

Follow the below steps to query a record in PMSO:

<b>Step</b>	<b>Action</b>
1.	Enter “!” in the <b>FUNCTION</b> field.
2.	Enter the data in the key fields in Figure 17 and Figure 18 as required.
3.	Press <b>Enter</b> .

**QUERY MASTER RECORD (QM)** screen is displayed below.

PM00201M	<u>QUERY MASTER RECORD</u>				XX/XX/XX
					(PF1=MENU)
1. FUNCTION <u>Q</u>	2. DEPT-CD/AGCY-BUR-CD	AG	<u>90</u>		(PF5=HELP)
3. SON <u>5317</u>	4. MR-NO <u>W01001</u>	5. GRADE	<u>12</u>		(PF8=INDV)
*****					(CLR=EXIT)
1. PAY-PLAN	<u>GS</u>	2. OCC-SER	<u>0343</u>		
3. OCC-FUNC-CD		4. OFF-TLE-PF/CD/SF	<u>0003</u>		
5. OFF-TITLE	<u>PROG ANAL</u>				
6. HQ-FLD-CD	<u>2</u>	7. SUP-CD	<u>8</u>		
8. CLASS-STD-CD		9. INTERDIS-CD	<u>N</u>		
10. DT-CLASS	<u>02 02 98</u>	11. EARLY-RET-CD	<u>0</u>		
12. INACT/ACT	<u>A</u>	13. DT-ABOL	<u>00 00 00</u>		
14. DT-INACT/REACT	<u>00 00 00</u>	15. AGCY-USE			
16. INTERDIS-SER	<u>0000</u>	<u>0000</u>	<u>0000</u>	<u>0000</u>	<u>0000</u>
	<u>0000</u>	<u>0000</u>	<u>0000</u>	<u>0000</u>	<u>0000</u>
17. INTERDIS-PF/CD/SF					
18. PATCO-CD	<u>A</u>	19. PROF-CATEGORY			
DC901056 MASTER RECORD FOUND - LAST UPDATE 03/26/10 BY EMPOWHR					

Figure 17: PM00201M QUERY MASTER RECORD Screen

**QUERY INDIVIDUAL POSITION (QI)** screen is displayed below.

```

PM00301M          QUERY  INDIVIDUAL  POSITION          XX/XX/XX
                                     (PF1=MENU)
  1. FUNCTION Q      2. DEPT-CD/AGCY-BUR-CD AG 90      (PF5=HELP)
  3. SON 5317       4. MR-NO W01001  5. GRADE 12  6. IP-NO W0101001 (PF7=MSTR)
  ***** (PF8=NEXT)
  1. FLSA-CD/PAY-TBL E          2. FIN-DS/PROC-INTG 0 N (CLR=EXIT)
  3. POS-SCHED
  5. COMP-LEV          0086      6. WK-TITLE-CD
  7. WK-TITLE
  8. ORG-STR-CD      90 70 40 0080 15 00 00 00
  9. VAC-REV-CD      0          10. TARGET-GD          12
 11. LANG-REQ      ENG          12. PROJ-DTY-IND          N
 13. DUTY-STATION  22 1690 071 14. BUS-CD/COPR-ST  2311
 15. DT-LST-AUDIT  02 02 98     16. PAS-IND/LEO-IND          N
 17. DATE-EST      02 02 98     18. GD-BASIS-IND
 19. DT-REQ-REC    00 00 00     20. NTE-DT          00 00 00
 21. POS-ST-BUD    Y          22. MT-REV/CL-ACT-CD  31
 23. DT-EMP-ASGN   00 00 00     24. DT-ABOL          00 00 00
 25. INACT/ACT     A          26. DT-INACT/REACT  00 00 00
 27. ACCTG-STAT    0010        28. INT-ASGN-SER
 29. AGCY-USE
 31. DT-VACATED    01 03 10     30. OBLIG-SSN
                                     32. INCUMBENT-SSN

DC901043 INDIVIDUAL POSITION FOUND - LAST UPDATE 10/05/09 BY BUSCD

```

Figure 18: PM00301M QUERY INDIVIDUAL POSITION Screen

The selected Master Record or Individual Position is displayed as it exists on the PMSO database with the message “*Master Record Found – Last Update xx/xx/xx by xxxxx or Individual Position Found – Last Update xx/xx/xx by xxxxx.*” This message indicates the date of the last update to the Master Record or Individual Position and the User ID of the person responsible for the update.

If the Master Record or Individual Position selected is not on the PMSO database, the message “Master Record Not Found – Check Key Fields or Individual Position Not Found – Check Key Fields” is displayed. The cursor returns to the **DEPARTMENT CODE** field, and you can select another Master Record or Individual Position and press **Enter**.

Additional PMSO navigation information is provided in the below table:

Function Key	Navigation Information
<b>Enter</b>	To query another Individual Position or Master Record or to change the applicable key fields.
<b>PF9</b>	To display the <b>QUERY INDIVIDUAL POSITION</b> screen or the <b>QUERY MASTER RECORD</b> screen.
<b>PF8</b>	To scroll forward through the <b>INDIVIDUAL POSITION</b> or <b>MASTER RECORD</b> screens.
<b>PF7</b>	To display the <b>QUERY INDIVIDUAL POSITION</b> or the <b>QUERY MASTER RECORD</b> screen.

## Help Screens

Help screens are available for completing the key fields and other fields displayed on the screen. Help screens display a list of valid codes and/or a narrative description for each field.

- To obtain a help screen at any function screen except the query function, position the cursor on the field in question and press **F5**. The applicable help screen is displayed.
- Press **Enter** to return to the previous screen. Help screens are also available through the Help Master Record (HM) or Help Individual Position (HI) option at the PMSO menu.

**TIP:** For additional information, please refer to the PMSO Procedure Manual: <http://help.nfc.usda.gov/publications/PMSO/index.htm>

### **3.5. Relating TMGT to HCUP**

#### *Lesson Overview*

This lesson focuses on how TMGT and HCUP interface with each other, as well as navigating through TMGT and accessing the relevant processing tables for HCUP.

#### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe the purpose of TMGT and its relationship with HCUP
- Navigate in TMGT
- Access the appropriate processing tables

#### **Introduction to TMGT**

TMGT is a menu-driven database management system which:

- Provides direct access to table records,
- Contains selected data elements from the Payroll/Personnel, financial, and administrative systems,
- Consists of 112 table options, each identified by a 3-digit numeric code, from 001 through 128, and
- Maintains an active file which includes all active and deleted records.

TMGT allows authorized users to:

- View and update records,
- Request reports, and
- View documentation data for various tables used in application programs.

TMGT maintains an active file which includes all active and deleted records. Certain tables maintain a history file, which includes at least one inactive record. Records are identified as active, history, or deleted within each table, and list the User ID and the date changed.

## TMGT's Relevance to HCUP

Depending on the type of HCUP package being processed, it may be necessary to perform research within TMGT. The following table highlights two of the most commonly used tables, as well as brief descriptions of each:

Table	Description
<b>Table 029, Pay Table Rates</b>	<ul style="list-style-type: none"> <li>• Helps to determine if a change to historical salary data is necessary prior to processing the HCUP package</li> <li>• Contains salary rates for each pay plan, grade, and step</li> <li>• Computes pay for all employees, including those in occupational special pay areas</li> <li>• Feeds data into PINE to validate salaries entered on personnel actions and to generate geographic pay</li> </ul>
<b>Table 101, Screen Elements</b>	<ul style="list-style-type: none"> <li>• Identifies the required, optional, and system-generated elements for NOACs</li> <li>• Allows users to enter a NOAC to generate field values that are required, optional, or system-generated</li> </ul>

## TMGT Menu and Navigation

The following table includes descriptions of functions within TMGT that may be used to obtain table data:

Function	Description
(I)nquiry	Used to view active, historical, or deleted records
(U)pdate	Used to add, modify, delete, or reactivate a record
(R)eport	Used to retrieve payroll/personnel data elements for processing personnel actions and to request ad-hoc reports
(D)ocumentation	Used to retrieve pertinent individual table screen information. This screen lists the table number, name, record count, purpose, and description of the table's data.

The following function keys are used to navigate in TMGT:

Function Key	Description
PF1	Returns you to the first screen of the TMGT Menu
PF2	Allows you to directly access the Documentation option
PF3	Allows you to directly access the Reports option
PF4	Allows you to directly access the Update option
PF7	Brings you back respectively, from one current record to another or from one History record to another
PF8	Brings you forward respectively, from one current record to another or from one History record to another
PF9	Accesses the first history record for the key data elements displayed. History records attached to a particular current table record are numbered separately beginning with 000001.
PF10	Takes you to screen two and then to screen three which displays rates for specific Agencies.
PF12	Allows you to access a particular page of the table

Follow the below steps to access information from a particular TMGT table:

Step	Action
1.	Enter the desired Function Code and Table Number in the <b>ENTER FUNCTION AND TABLE NUMBER</b> field.
2.	Press <b>Enter</b> .

Figure 19: TMGT Main Menu below is a screen image of the first page of the TMGT Main Menu.

```

TM00010          UNITED STATES DEPARTMENT OF AGRICULTURE          XX/XX/XX
                   OFFICE OF THE CHIEF FINANCIAL OFFICER          PAGE: 000001
                   NATIONAL FINANCE CENTER

TABLE MANAGEMENT SYSTEM - (I)NQUIRY, (U)PDATE, (R)EPORT, (D)OCUMENTATION

      NUMBER      DESCRIPTION
      -----      -----
      001          PERSONNEL OFFICE IDENTIFIER NAME AND ADDRESS
      002          ACCOUNTING STATION NAME AND ADDRESS
      003          T & A CONTACT POINT NAME AND ADDRESS
      004          DESIGNATED AGENT
      005          AGENCY ORGANIZATIONAL STRUCTURE
      006          CFC PAYEE ADDRESS
      007          CITY TAX, CITY NAME AND ADDRESS
      008          COUNTY TAX, COUNTY NAME AND ADDRESS
      009          STATE TAX NAME AND ADDRESS
      010          UNION AND ASSOCIATION CODE ADDRESS

      ENTER FUNCTION AND TABLE NUMBER          AND PRESS ENTER
                   FOR AUTHORIZED USE ONLY

CLEAR = EXIT   PF5 = HELP   PF7 = BACKWARD   PF8 = FORWARD   ENTER = PROCESS
  
```

Figure 19: TMGT Main Menu

## Inquiry Function

The Inquiry Function is used to view active, historical, or deleted records. Figure 20: Inquiry Function displays the Inquiry Function main screen.

```

TM000I0          UNITED STATES DEPARTMENT OF AGRICULTURE          XX/XX/XX
                  OFFICE OF THE CHIEF FINANCIAL OFFICER          PAGE: 000001
                  NATIONAL FINANCE CENTER

TABLE MANAGEMENT SYSTEM - (I)NQUIRY, (U)PDATE, (R)EPORT, (D)OCUMENTATION

      NUMBER      DESCRIPTION
      -----      -----
      001          PERSONNEL OFFICE IDENTIFIER NAME AND ADDRESS
      002          ACCOUNTING STATION NAME AND ADDRESS
      003          T & A CONTACT POINT NAME AND ADDRESS
      004          DESIGNATED AGENT
      005          AGENCY ORGANIZATIONAL STRUCTURE
      006          CFC PAYEE ADDRESS
      007          CITY TAX, CITY NAME AND ADDRESS
      008          COUNTY TAX, COUNTY NAME AND ADDRESS
      009          STATE TAX NAME AND ADDRESS
      010          UNION AND ASSOCIATION CODE ADDRESS

                ENTER FUNCTION AND TABLE NUMBER          AND PRESS ENTER
                  FOR AUTHORIZED USE ONLY

CLEAR = EXIT   PF5 = HELP   PF7 = BACKWARD   PF8 = FORWARD   ENTER = PROCESS
  
```

Figure 20: Inquiry Function

To access the Inquiry Function and view a particular table from the TMGT main screen:

Step	Action
1.	Enter "I" immediately followed by the 3-digit table number in the <b>ENTER FUNCTION AND TABLE NUMBER</b> field.
2.	Press <b>Enter</b> . The table screen will appear with all data elements empty.
3.	Press <b>Enter</b> to view the first record of the table.

Now that you have learned how to access an inquiry table, let's take a look at the navigational keys within TMGT. Figure 21: Inquiry Table 029 below shows Inquiry Table 029.

TM029I0	TABLE MANAGEMENT INQUIRY TABLE 029		XX/XX/XX								
	PAY TABLE RATES		PAGE: 003786								
ENTER PARTIAL OR COMPLETE KEY:		USER-ID: TMGT30N									
		DATE-CHANGED: 01/03/10									
*OPM-PAY-TABLE-NUMBER: 0000	*PAY-PLAN: GS	*GRADE: 12									
BEG-EFF-DATE: 01/03/10	LAST-EFF-DATE: 12/31/49	ACTIVE									
TABLE ANNUAL AND HOURLY RATE BY STEPS											
STEP	ANNUAL	HRLY	STEP	ANNUAL	HRLY	STEP	ANNUAL	HRLY	STEP	ANNUAL	HRLY
01	06027400	2888	02	06228300	2984	03	06429200	3081	04	06630100	3177
05	06831000	3273	06	07031900	3369	07	07232800	3466	08	07433700	3562
09	07634600	3658	10	07835500	3754	11			12		
13			14			15			16		
17			18			19			20		
SUCCESSFUL INQUIRY											
CLEAR=EXIT	PF1=MAIN	PF2=029	DOCM	PF3=029	RPTS	PF4=029	UPDT	PF6=REFRESH			
PF7=BACKWARD	PF8=FORWARD	PF9=ACT/HIS	PF12=PAGE	ENTER=PROCESS							

Figure 21: Inquiry Table 029

The record is identified as ACTIVE, HISTORY, or DELETED on the right side of the screen when the applicable data is displayed. The element **PAGE** specifies what page the current record is found within the entire table.

The **BEG-EFF-DATE** and **LAST-EFF-DATE** fields indicate the period of time during which the values shown on a particular table are on/were valid. When data entered on a personnel action or a payroll document is edited by PINE against a particular table, that data must be valid according to these dates for the effective date of the action. When the TIME, PAYE and ADJP jobs run, data processed that must be validated against a particular table, must be valid for the inclusive dates of the pay period being processed.

Two additional fields are located in the upper right hand corner of each table record. **USER-ID** field identifies the person who established or last changed the record. **DATE-CHANGED** field indicates when the record was established or last changed.



### 3.6. Chapter Review

#### *Knowledge Check*

1. What is the relationship between NFC's PPS and HCUP?

---



---

2. Match the system in the left column with its appropriate description in the right column.

- |                |   |
|----------------|---|
| 1. <b>PPS</b>  | A. A menu-driven database that provides direct access to table records and consists of 112 table options              |
| 2. <b>IRIS</b> | B. A database that allows the integration and sharing of an array of data records among many modular subsystems       |
| 3. <b>PINQ</b> | C. An inquiry system that provides access to current and prior payroll and personnel data                             |
| 4. <b>TMGT</b> | D. An inquiry system that provides access to employee pay data  |
| 5. <b>PMSO</b> | E. A real-time database that allows Agencies to add, change, inactivate, reactivate, and delete/restore position data |

#### *Chapter Summary*

Having completed this chapter, you are now able to:

- Describe the relationship between NFC's PPS with HCUP
- Describe the relationship between PINE, IRIS, PINQ, PMSO, and TMGT with HCUP
- Describe the process to perform HCUP research within IRIS, PINQ, PMSO, and TMGT successfully

## 4.0. HCUP Access and Navigation Concepts

---

### 4.1. Chapter Overview

This chapter introduces the user to accessing and navigating within the HCUP system, creating and releasing an initial starting action of a HCUP package, executing subsequent actions, and releasing a HCUP package.

#### *Chapter Objectives*

By the end of this chapter, you will be able to:

- Access HCUP
- Navigate to each of the HCUP screens
- Explain the purpose of starting actions within HCUP
- Create and release an initial starting action of a HCUP package
- Correct, cancel, and insert subsequent actions
- Release a HCUP package

The following terminology will be addressed in this chapter:

Terminology	Description
Starting Action	The earliest personnel action that will be changed in a HCUP package. There are three basic types of starting actions: cancellations, corrections, and inserted actions.

## 4.2. HCUP Access

### *Lesson Overview*

This lesson explains how a user can access HCUP.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Access the HCUP System

### **Accessing the HCUP System**

As we learned in Chapter 3.0 HCUP, NFC's Payroll/Personnel System, and Inquiry Systems, history correction is not a separate, stand-alone component. It is an essential part of EPIC, which is why we access HCUP through EPIC.

The procedure below details the steps to access HCUP.

<b>Step</b>	<b>Action</b>
1.	Open a Web browser.
2.	Enter " <a href="http://www.nfc.usda.gov">http://www.nfc.usda.gov</a> " in the Web browser Navigation Bar to access the <b>NFC Home</b> site.
3.	Press <b>Enter</b> . The <b>NFC Home</b> site displays.



Figure 23: NFC Home Site APPLICATION LAUNCHPAD

Step	Action
4.	<p>Click <b>Entry Processing Inquiry &amp; Correction System (EPIC)</b> on the Application Launchpad. The <b>U.S. Government Warning</b> page displays.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>TIP:</b> EPIC can also be accessed by typing the Web address <a href="http://www.nfc.usda.gov/epic/">http://www.nfc.usda.gov/epic/</a> in the Navigation Bar of a Web browser.</p> </div>

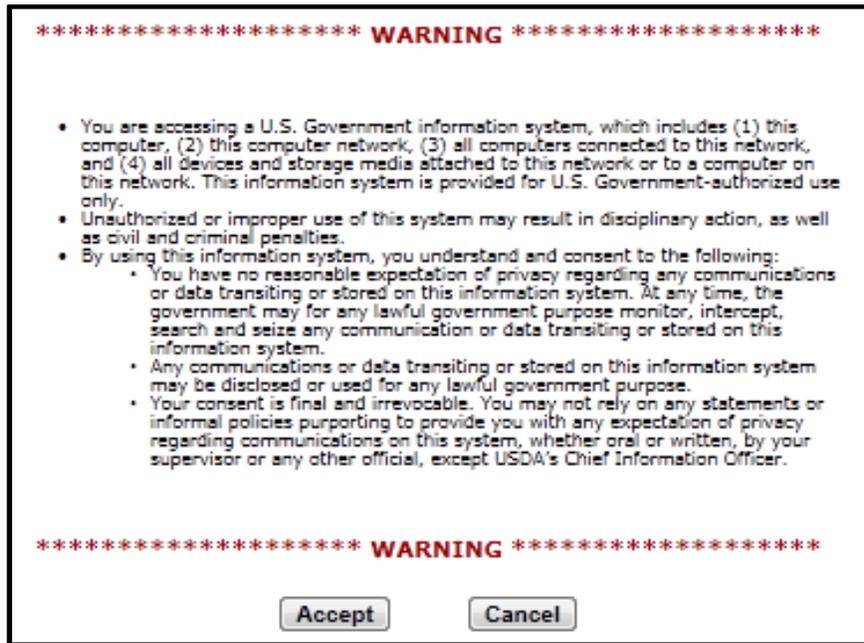


Figure 24: U.S. Government Warning Page

Step	Action
5.	Click <b>Accept</b> . The <i>EPIC Log In</i> page displays.



Figure 25: EPIC Log In Page

Step	Action
6.	Enter your User ID in the <b>User ID*</b> field. <div data-bbox="407 1115 1343 1360" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>NOTE:</b> Your User ID and password are the same as that used for the NFC Mainframe.</p> <p>The News and Announcement section of the <b>EPIC Log In</b> page provides information related to the EPIC training schedule, processing personnel actions, and NFC contact information.</p> </div>
7.	Enter your password in the <b>Password*</b> field. <div data-bbox="407 1461 1343 1598" style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>TIP:</b> You can change your password at any time, but not more than once a day. Click <b>Change Password</b> to change your password.</p> </div>
8.	Click <b>Log In</b> . The <b>Agency Selection</b> page may display.

**Agency Selection**

- AGRICULTURE AGENCIES**
- HOMELAND AGENCIES**
- OTHER AGENCIES**
- TREASURY AGENCIES**

*Figure 26: EPIC Agency Selection Page*

Step	Action
9.	<p>Select the appropriate radio button for your Agency. The <b>EPIC Home</b> page displays.</p> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p><b>NOTE:</b> You are only given a choice of a database if you process for more than one Agency. If you only have access to one database, you are taken directly to the <b>EPIC Home</b> page.</p> </div>

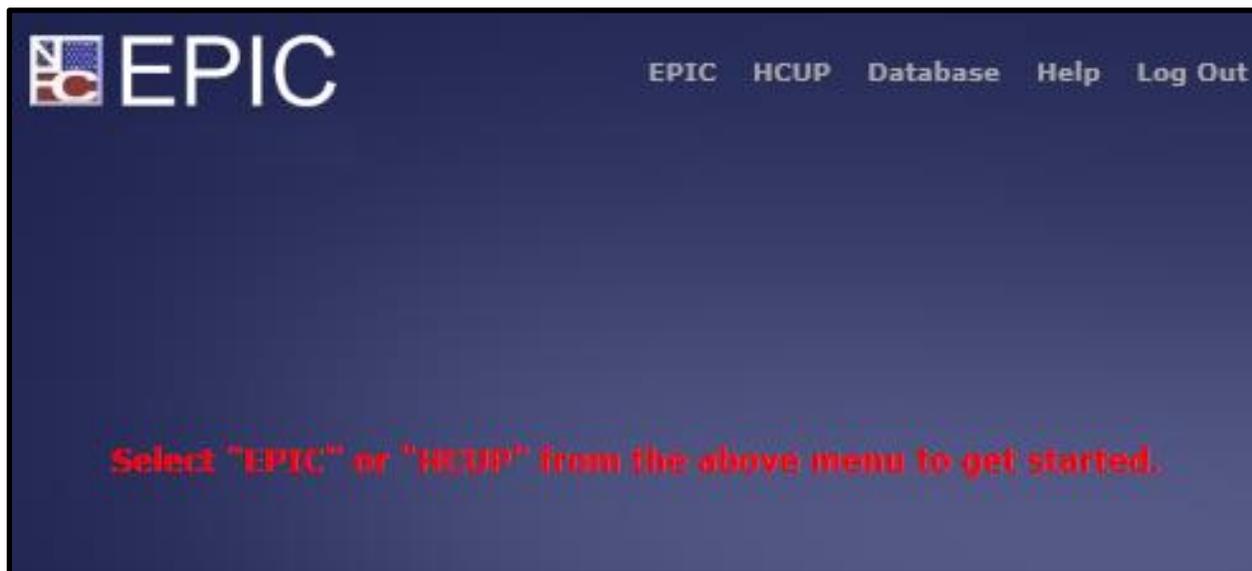


Figure 27: EPIC Home Page

Step	Action
10.	<p>Select <b>HCUP</b> from the EPIC Menu Bar. The <b>HCUP Package List</b> page displays.</p>

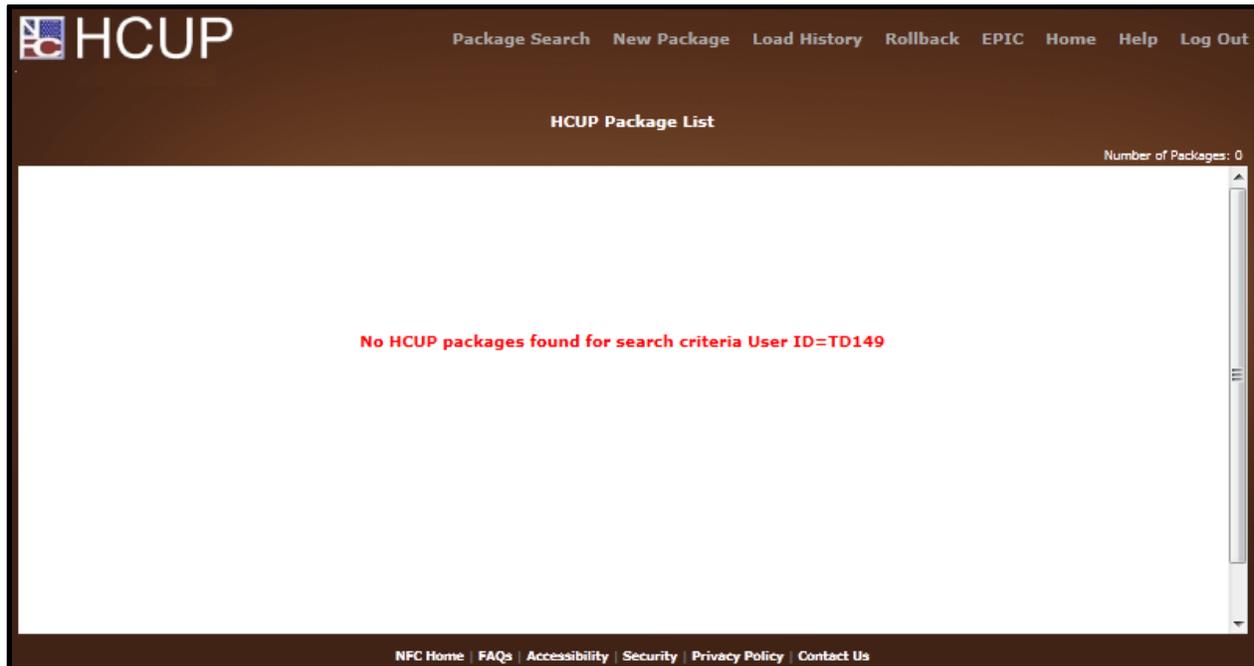


Figure 28: HCUP Package List Page

The **HCUP Package List** page displays HCUP packages processed during the current processing pay period as well as any packages in incomplete or suspense status from prior pay periods.

### **4.3. Using the HCUP Help Function**

#### *Lesson Overview*

This lesson introduces the HCUP Help feature, which provides supporting information regarding the screens and fields within HCUP.

#### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Access the HCUP Online Help feature on the HCUP Menu Bar
- Use the search, table of contents, and index to find a specific topic
- Use the field-level help feature in HCUP Web

#### **Accessing HCUP Online Help**

Within HCUP, there is an online help feature that can be used as a reference tool when processing data. This tool provides additional information regarding fields and steps for all of the processes and functions within HCUP.

There are three ways in which you can access help information:

- Perform a keyword search,
- Search the table of contents, and/or
- Search the index.

Step	Action
1.	Click <b>Help</b> on the <i>HCUP Home</i> page. A separate Web page opens.

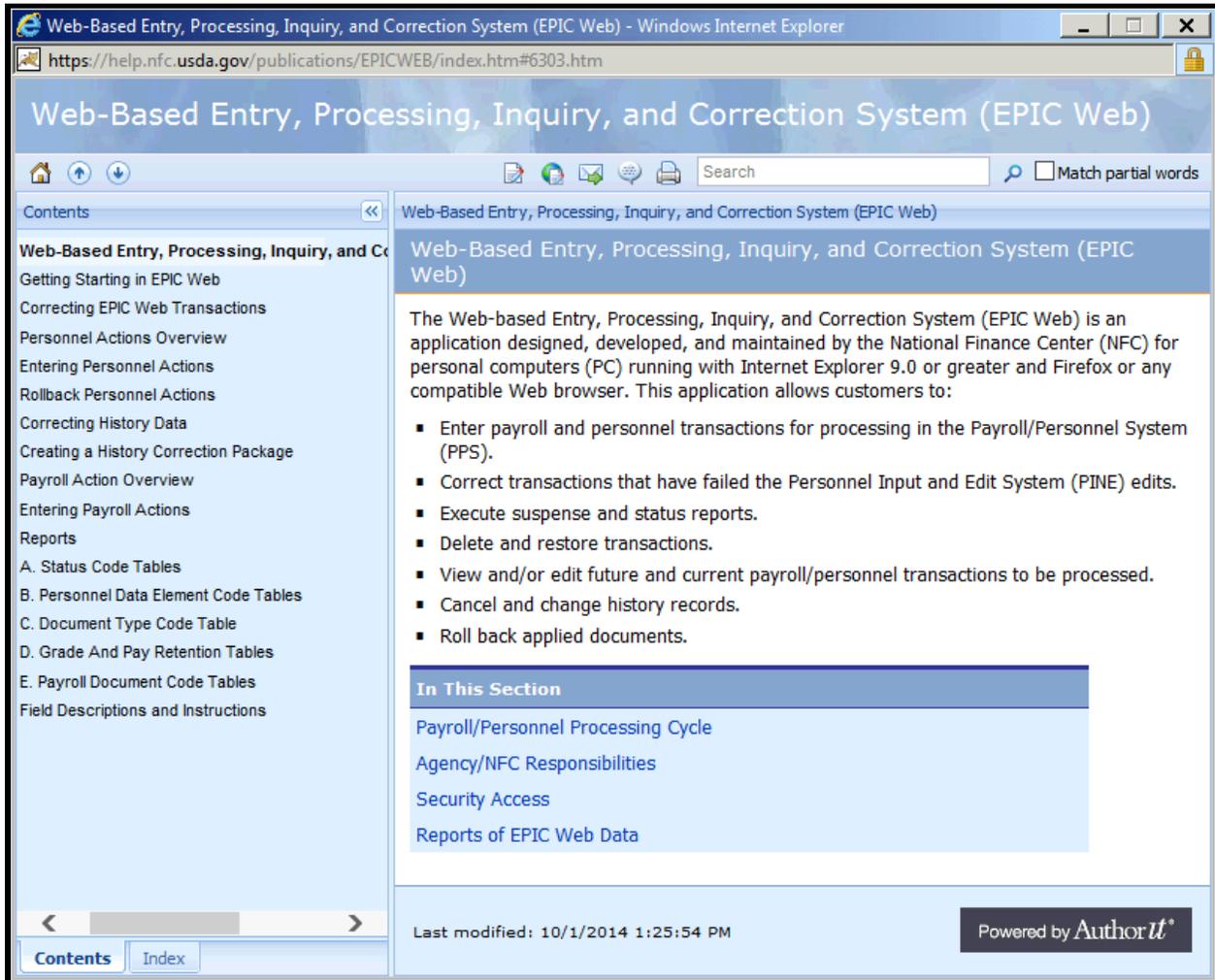


Figure 29: EPIC Web Help Page

After accessing the **EPIC Web Help Home** page, the following sections in **Error! eference source not found.** display:

Menu Option	Description
<b>Content</b>	Displays the table of contents for the EPIC Web Procedure Manual
<b>Index</b>	Displays the index for the EPIC Web Procedure Manual
<b>Search</b>	Allows you to enter keywords for which you wish to search

There are three methods for conducting a search in EPIC Help:

- Keyword search,
- Content tab, and/or
- Index tab.

## Performing a Keyword Search in Help

Similar to a search engine, you can search for help within EPIC Web Help based on a specific key word or topic.

Step	Action
1.	Click the <b>Search</b> icon from the EPIC Web Help Menu Bar. The Search panel displays.

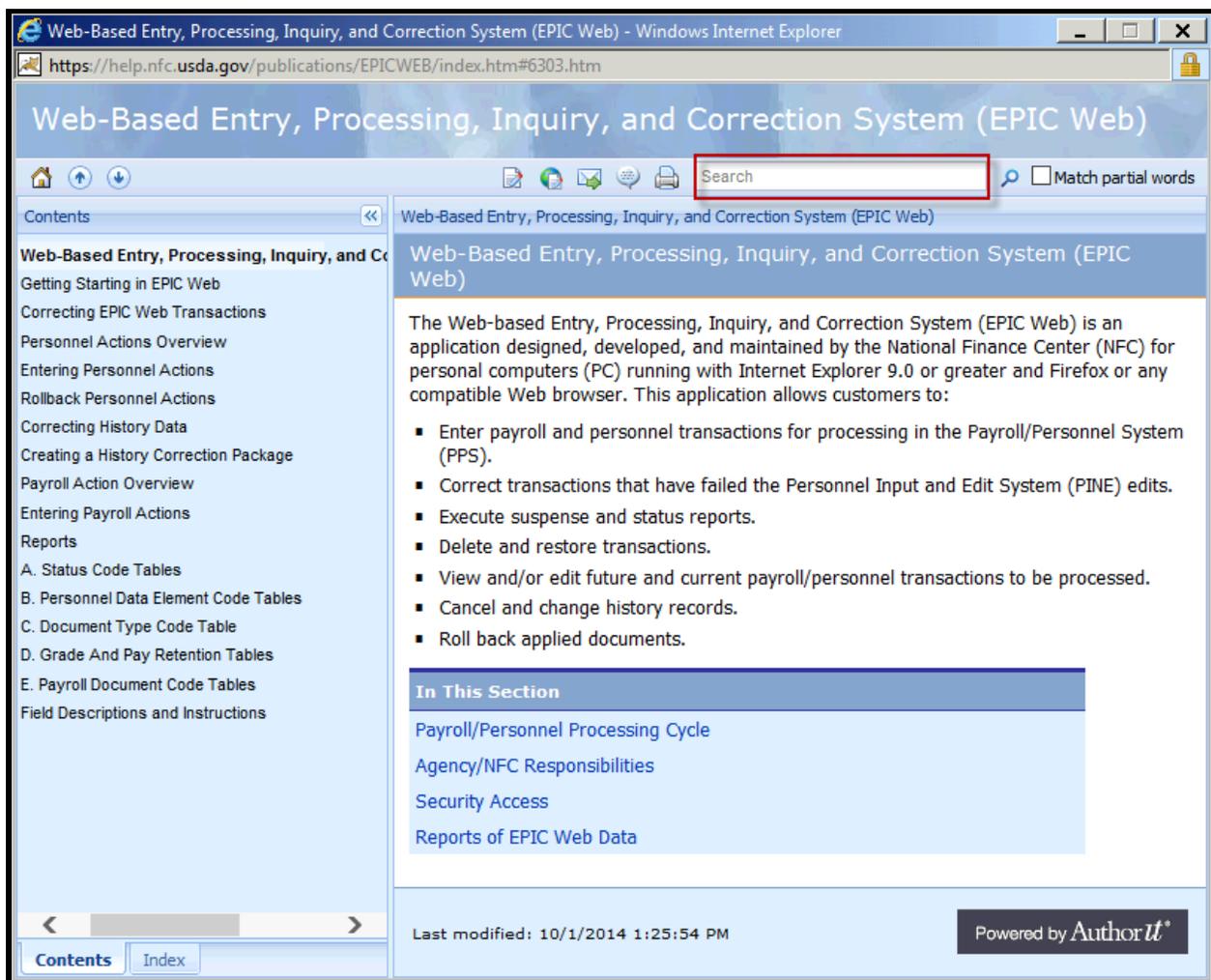
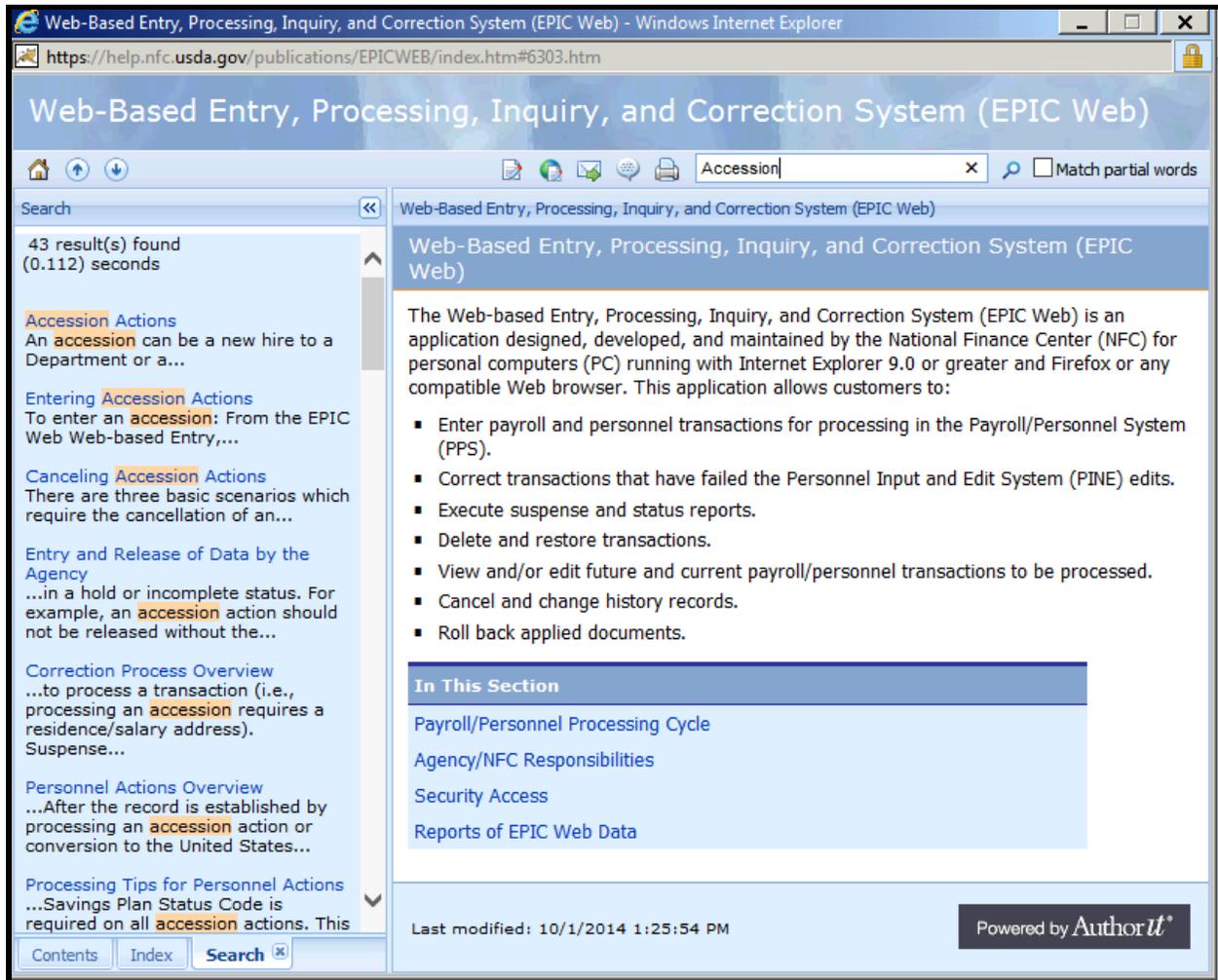


Figure 30: EPIC Web Help Page - Search Panel

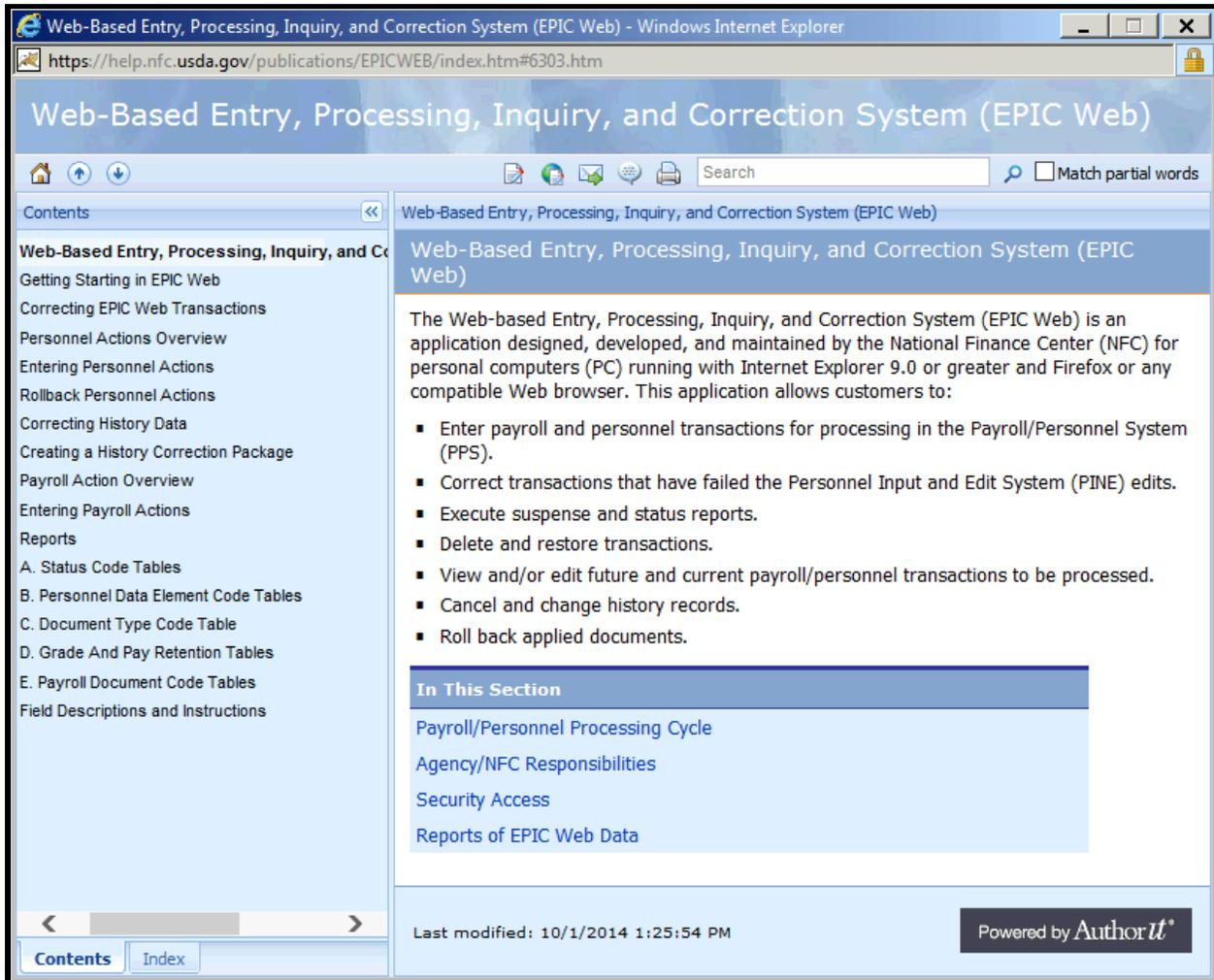
Step	Action
2.	Enter the keyword for your search in the <b>Search</b> field.
3.	Press <b>Search</b> .... The search results display in the Search Results Panel.



The screenshot shows a web browser window titled "Web-Based Entry, Processing, Inquiry, and Correction System (EPIC Web) - Windows Internet Explorer". The address bar shows the URL: <https://help.nfc.usda.gov/publications/EPICWEB/index.htm#6303.htm>. The search bar contains the text "Accession" and has a "Match partial words" checkbox. The search results panel on the left indicates "43 result(s) found (0.112) seconds" and lists several topics related to "Accession Actions". The main content area displays the title "Web-Based Entry, Processing, Inquiry, and Correction System (EPIC Web)" and a detailed description of the system. Below the description is a list of capabilities, followed by an "In This Section" list with links to "Payroll/Personnel Processing Cycle", "Agency/NFC Responsibilities", "Security Access", and "Reports of EPIC Web Data". At the bottom, it shows "Last modified: 10/1/2014 1:25:54 PM" and "Powered by Authorit<sup>®</sup>".

Figure 31: EPIC Web Help Page - Selected Search Result

Step	Action
4.	Double click the desired search result to display the full text in the Information panel. The full content displays in the Information Panel.



Web-Based Entry, Processing, Inquiry, and Correction System (EPIC Web) - Windows Internet Explorer  
 https://help.nfc.usda.gov/publications/EPICWEB/index.htm#6303.htm

## Web-Based Entry, Processing, Inquiry, and Correction System (EPIC Web)

Web-Based Entry, Processing, Inquiry, and Correction System (EPIC Web)

The Web-based Entry, Processing, Inquiry, and Correction System (EPIC Web) is an application designed, developed, and maintained by the National Finance Center (NFC) for personal computers (PC) running with Internet Explorer 9.0 or greater and Firefox or any compatible Web browser. This application allows customers to:

- Enter payroll and personnel transactions for processing in the Payroll/Personnel System (PPS).
- Correct transactions that have failed the Personnel Input and Edit System (PINE) edits.
- Execute suspense and status reports.
- Delete and restore transactions.
- View and/or edit future and current payroll/personnel transactions to be processed.
- Cancel and change history records.
- Roll back applied documents.

**In This Section**

- [Payroll/Personnel Processing Cycle](#)
- [Agency/NFC Responsibilities](#)
- [Security Access](#)
- [Reports of EPIC Web Data](#)

Last modified: 10/1/2014 1:25:54 PM  
 Powered by Authorit<sup>®</sup>

Figure 32: EPIC Web Help Page - Selected Search Result

## Searching Help Using the Content Panel

You can also search for a topic using the Content/Index Panel on the left side of the screen. This panel provides the table of contents for the EPIC Web Procedure Manual.

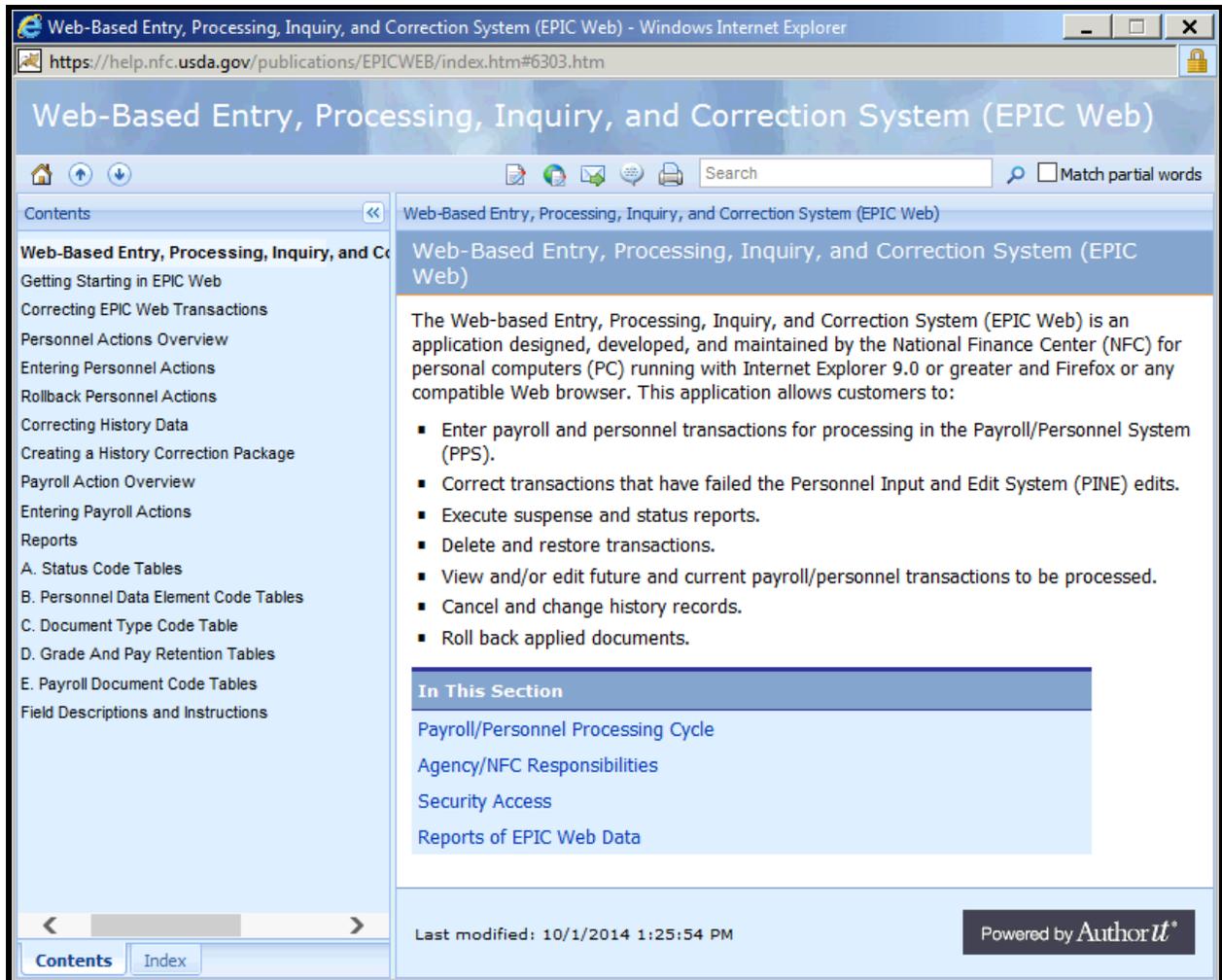
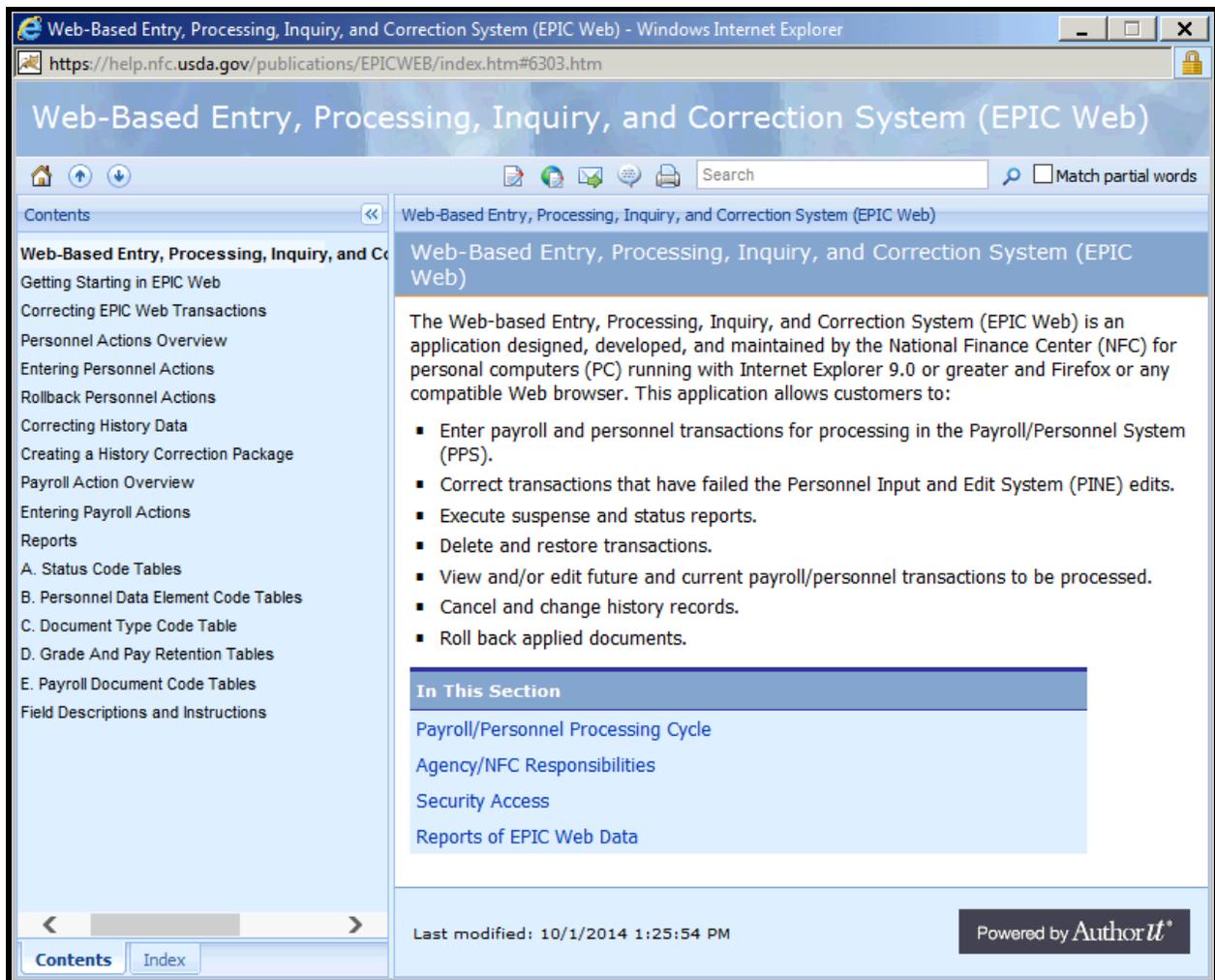


Figure 33: EPIC Web Help Page - Contents View

Step	Action
1.	Click the <b>Contents</b> icon. This switches your view to the Contents view.
2.	Click the desired topic.
3.	Click sub-topics until you locate your specific topic.



The screenshot shows a web browser window titled "Web-Based Entry, Processing, Inquiry, and Correction System (EPIC Web) - Windows Internet Explorer". The address bar shows the URL: <https://help.nfc.usda.gov/publications/EPICWEB/index.htm#6303.htm>. The page content includes a navigation menu on the left with the following items:

- Contents
- Web-Based Entry, Processing, Inquiry, and Correction System (EPIC Web)
- Getting Starting in EPIC Web
- Correcting EPIC Web Transactions
- Personnel Actions Overview
- Entering Personnel Actions
- Rollback Personnel Actions
- Correcting History Data
- Creating a History Correction Package
- Payroll Action Overview
- Entering Payroll Actions
- Reports
  - A. Status Code Tables
  - B. Personnel Data Element Code Tables
  - C. Document Type Code Table
  - D. Grade And Pay Retention Tables
  - E. Payroll Document Code Tables
- Field Descriptions and Instructions

The main content area displays the title "Web-Based Entry, Processing, Inquiry, and Correction System (EPIC Web)" and a description: "The Web-based Entry, Processing, Inquiry, and Correction System (EPIC Web) is an application designed, developed, and maintained by the National Finance Center (NFC) for personal computers (PC) running with Internet Explorer 9.0 or greater and Firefox or any compatible Web browser. This application allows customers to:"

- Enter payroll and personnel transactions for processing in the Payroll/Personnel System (PPS).
- Correct transactions that have failed the Personnel Input and Edit System (PINE) edits.
- Execute suspense and status reports.
- Delete and restore transactions.
- View and/or edit future and current payroll/personnel transactions to be processed.
- Cancel and change history records.
- Roll back applied documents.

Below the description, there is a section titled "In This Section" with the following links:

- [Payroll/Personnel Processing Cycle](#)
- [Agency/NFC Responsibilities](#)
- [Security Access](#)
- [Reports of EPIC Web Data](#)

At the bottom of the page, it says "Last modified: 10/1/2014 1:25:54 PM" and "Powered by AuthorIT®".

Figure 34: EPIC Web Help Page - Table of Contents Topic

<b>Step</b>	<b>Action</b>
4.	Click the desired topic within the Content/Index Panel. The content for the topic displays in the Information Panel.

## Searching Help Using the Index Tab

The last way you can use the EPIC Web Help feature is by searching the Index. A list of all of the chapters in the EPIC Procedures Manual displays, allowing you to select the topic you require.

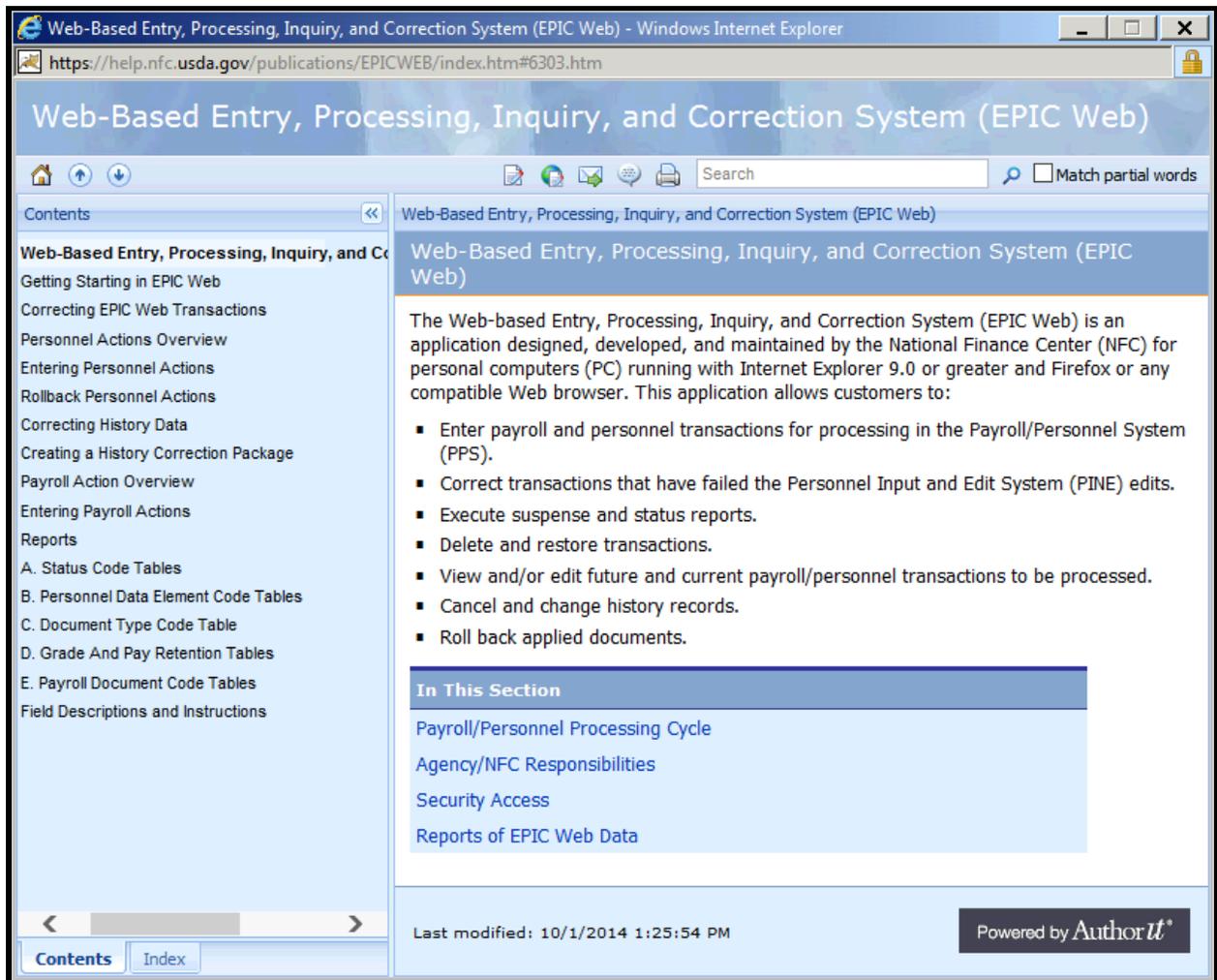


Figure 35: EPIC Web Help Page - Index View

Step	Action
1.	Click the <b>Index</b> tab. This clears the Content panel.
2.	Double click <b>Content</b> in the Content Panel. The Table of Contents automatically displays all chapters in the Information Panel.
3.	Click the desired chapter.

### Additional Help

The online Procedures Manual that accompanies the system is also available in PDF format on NFC's website. Go to **NFC's Home Page** (<http://www.nfc.usda.gov/>) and click the Publications link at the top of the page to view the EPIC Procedures Manual.

**TIP:** HCUP-specific information in the EPIC Procedures Manual can be found in Title I, Chapter 13.

## 4.4. Navigating within HCUP

### *Lesson Overview*

This lesson introduces navigational concepts to the user by completing a starting action within HCUP.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Explain the functions associated with the HCUP Menu Bar
- Search for and select an employee within HCUP
- Explain the assumptions behind the course's HCUP training exercises

## Navigating the HCUP System Training Environment

The HCUP Menu Bar displays in the top right corner on all HCUP pages, as seen in Figure 36: HCUP Package List Page - Menu Bar.

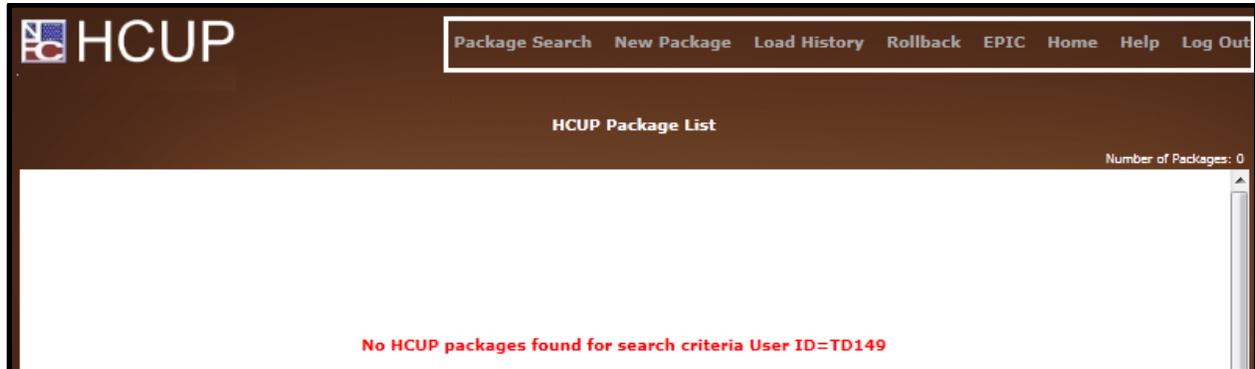


Figure 36: HCUP Package List Page - Menu Bar

Each menu bar displays menu options for processing and/or viewing transactions. When a menu option is selected, a specific action is initiated. The menu options vary based on your current page view and/or the function you are performing. To access any of the menu options, click the menu name.

Below is a brief description of each option:

<b>Menu Option</b>	<b>Description</b>
<b>Package List</b>	Displays HCUP packages processed during the current processing pay period as well as any packages in incomplete or suspense status from prior pay periods
<b>Package Search</b>	Allows you to search for a HCUP package
<b>New Package</b>	Directs you to create a new HCUP package after selecting an employee by social security number and Agency
<b>Load History</b>	Allows you to load employee history into the EPIC History Database
<b>Rollback</b>	Directs you to the rollback option within EPIC. This topic is covered in a later chapter.
<b>EPIC</b>	Directs you to the EPIC system
<b>Home</b>	Returns you to the initial landing screen after logging into EPIC Web; reselect HCUP to enter once again into the HCUP system
<b>Help</b>	Opens a new window with topics for help related to EPIC, including HCUP
<b>Log Out</b>	Allows you to securely log out of the system

## New HCUP Package

The **New HCUP Package** selection is used to establish a HCUP package. When you establish a package, it includes your starting action, along with cancellation (unseen to users) and replacement actions for all subsequent personnel actions. All of these personnel actions, along with any others you choose to add, create the HCUP package.

The following procedure explains how to search for and select an employee in order to create a HCUP package for that individual.

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar.



Figure 37: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee's social security number into the <b>SSN</b> field.
3.	Enter the Agency Code of the employee's current employing Agency according to IR522 into the <b>Agency</b> field.
4.	Click <b>Submit</b> . The <b>New HCUP Package History List</b> page displays.


 Package List Package Search New Package Load History Rollback EPIC Home Help Log Out

**New HCUP Package  
History List for AMY TRAINING**

SSN=881060149, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed Date	Click a button to start the package		
000			702	N3M		4/11/2010	4/9/2010			HIST			90	5317	NP214E	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			894	QWM	ZLM	1/3/2010	12/23/2009			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			840			11/22/2009	12/5/2009			HIST			90	5317	NP215E	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			903	9BS		9/27/2009	1/4/2009			HIST			90	5317	BUSCD	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			903	Z00		7/19/2009	7/17/2009			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			846			6/21/2009	7/7/2009			HIST			90	5317	NP088	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			894	QWM	ZLM	1/4/2009	12/18/2008			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			840			11/23/2008	12/10/2008			HIST			90	5317	NP0050	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			847			9/28/2008	10/15/2008			HIST			90	5317	NP0050	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			893	Q7M		1/6/2008	1/5/2008			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			894	QWM	ZLM	1/6/2008	1/4/2008			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			849			11/26/2007	11/27/2007			HIST			90	5317	NPO25	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			780	CGM		10/14/2007	10/25/2007			HIST			90	5317	NP216	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			780	CGM		10/14/2007	10/14/2007			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			894	QWM	ZLM	1/7/2007	12/21/2006			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			840			11/26/2006	12/5/2006			HIST			90	5317	NPO21	6/24/2010	6/24/2010	Insert	Correct	Cancel
000			840			11/12/2006	11/20/2006			HIST			90	5317	NPO21	6/24/2010	6/24/2010	Insert	Correct	Cancel

[NFC Home](#) | [FAQs](#) | [Accessibility](#) | [Security](#) | [Privacy Policy](#) | [Contact Us](#)

Figure 38: New HCUP Package History List Page

Upon submitting the Employee Selection from the **New HCUP Package Employee Selection** page, the **New HCUP Package History List** page is displayed for the employee and must match IR525.

**CAUTION:** If these records do not match, the employee’s history must be re-loaded. If the Agency does not have security access to load history, an Agency representative should contact the NFC Contact Center for assistance at 1-855-NFC4GOV (1-855-632-4468).

Only the current employing Agency and current POI as reflected in IRIS have read access to all history data for its employees, including history data for all previous employment with organizations serviced by the NFC. You cannot change history for the employee when he or she was not an employee of your Agency. HCUP packages cannot cross from one independent Agency or executive Department to another. Chapter 6.0 Correction Actions covers history corrections to accession actions, including instructions regarding corrections which extend to other executive Departments or independent Agencies.



## 4.5. Starting Actions in HCUP

### Lesson Overview

This lesson introduces starting actions within HCUP and guides users through the three main types of starting actions to create a HCUP package.

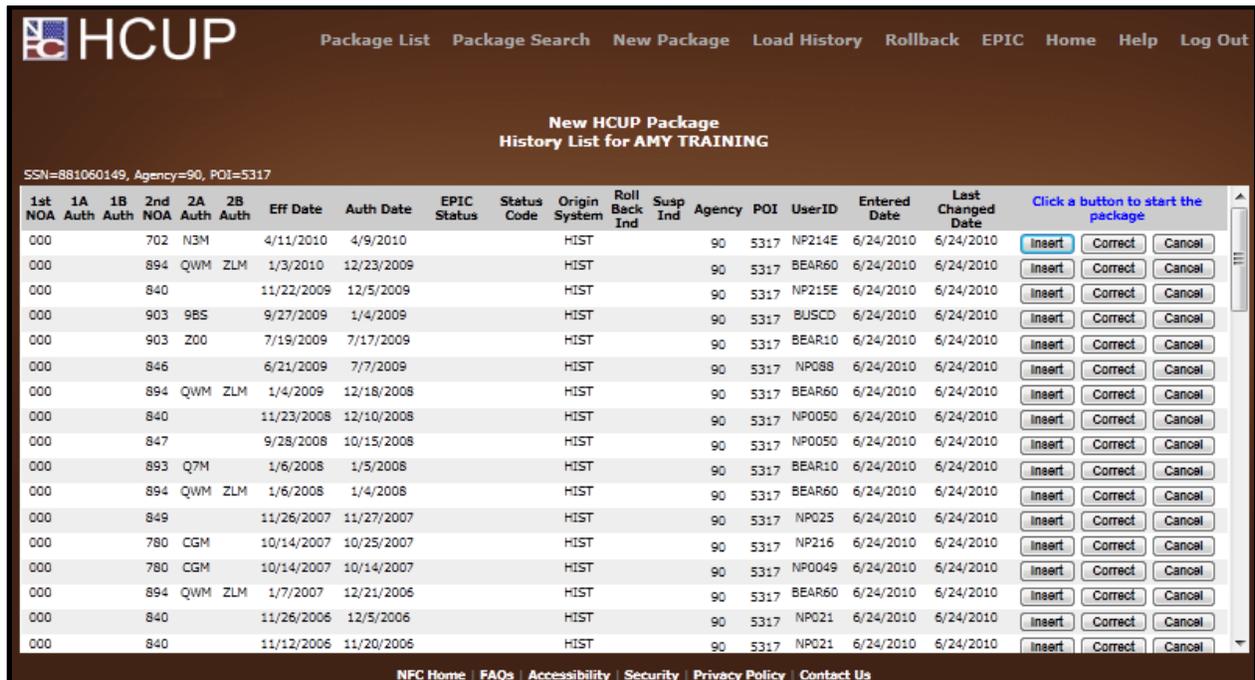
### Lesson Objectives

By the end of this lesson, you will be able to:

- Define starting action
- Create and release an initial starting action within HCUP
- Explain the main windows within a newly-created HCUP package

### Introduction to Starting Actions

The starting action is the earliest personnel action you want to affect within an employee's personnel history. Earlier we learned about insert actions, corrections, and cancellations. These actions especially become relevant when creating a new HCUP package.



The screenshot shows the HCUP system interface. At the top, there is a navigation bar with links: Package List, Package Search, New Package, Load History, Rollback, EPIC, Home, Help, Log Out. Below this is the title 'New HCUP Package History List for AMY TRAINING' and the identifier 'SSN=881060149, Agency=90, POI=5317'. The main content is a table with columns: 1st NOA, 1A Auth, 1B Auth, 2nd NOA, 2A Auth, 2B Auth, Eff Date, Auth Date, EPIC Status, Status Code, Origin System, Roll Back Ind, Susp Ind, Agency, POI, UserID, Entered Date, Last Changed Date, and a set of buttons (Insert, Correct, Cancel). The table contains 20 rows of data, all with 'HIST' status and '90' agency. The 'Entered Date' and 'Last Changed Date' are both '6/24/2010' for all entries.

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed Date	Click a button to start the package
000			702	N3M		4/11/2010	4/9/2010			HIST			90	5317	NP214E	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/3/2010	12/23/2009			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			11/22/2009	12/5/2009			HIST			90	5317	NP215E	6/24/2010	6/24/2010	Insert Correct Cancel
000			903	9BS		9/27/2009	1/4/2009			HIST			90	5317	BUSCD	6/24/2010	6/24/2010	Insert Correct Cancel
000			903	Z00		7/19/2009	7/17/2009			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	Insert Correct Cancel
000			846			6/21/2009	7/7/2009			HIST			90	5317	NPO88	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/4/2009	12/18/2008			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			11/23/2008	12/10/2008			HIST			90	5317	NP0050	6/24/2010	6/24/2010	Insert Correct Cancel
000			847			9/28/2008	10/15/2008			HIST			90	5317	NP0050	6/24/2010	6/24/2010	Insert Correct Cancel
000			893	Q7M		1/6/2008	1/5/2008			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/6/2008	1/4/2008			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			849			11/26/2007	11/27/2007			HIST			90	5317	NP025	6/24/2010	6/24/2010	Insert Correct Cancel
000			780	CGM		10/14/2007	10/25/2007			HIST			90	5317	NP216	6/24/2010	6/24/2010	Insert Correct Cancel
000			780	CGM		10/14/2007	10/14/2007			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/7/2007	12/21/2006			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			11/26/2006	12/5/2006			HIST			90	5317	NPO21	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			11/12/2006	11/20/2006			HIST			90	5317	NPO21	6/24/2010	6/24/2010	Insert Correct Cancel

Figure 39: New HCUP Package History List Page

The ***Click a button to start the package option*** field on the ***New HCUP Package History List*** page determines the first and/or second nature of action. Following are instructions for starting the package option for each type of starting action:

- **Insert Actions:** Newly required retroactive actions which have effective dates previous to the last personnel action processed. You can click the Insert button at any NOA listed except separation NOACs.
- **Corrections:** Actions containing erroneous data to be officially changed. Starting a package with a correction sets up the package with a first NOAC 002 and the second NOAC of the selected action (e.g. 002 903).
- **Cancellations:** Invalid actions requiring cancellation. Starting a package with a cancellation creates the package with a first NOAC 001, with OPM Authority Code ATM, and the second NOAC of the selected action (e.g. 001 ATM 702 N3M).

Only actions that have updated to PERHIS may be cancelled or corrected. HCUP cannot be used to:

- Cancel or correct a personnel action processed during the current processing pay period, or
- Insert an action with an effective date that is immediately prior to the effective date of a personnel action processed during the current processing pay period.

**NOTE:** The rollback process is used to roll back and insert actions with prior effective dates and/or to correct or delete actions which applied during the current processing pay period. This is discussed in a later chapter.

The following procedure explains how to create a HCUP package through an inserted starting action.

Step	Action
5.	Click <b>Insert</b> at any NOAC, except separation NOACs, listed on the <b>New HCUP Package History List</b> page. The <b>HCUP Insert Action</b> page displays, with the personnel action types (e.g., Accessions, Position Change, Separations, etc.) listed in alphabetical order with submenus that list each NOAC numerically.

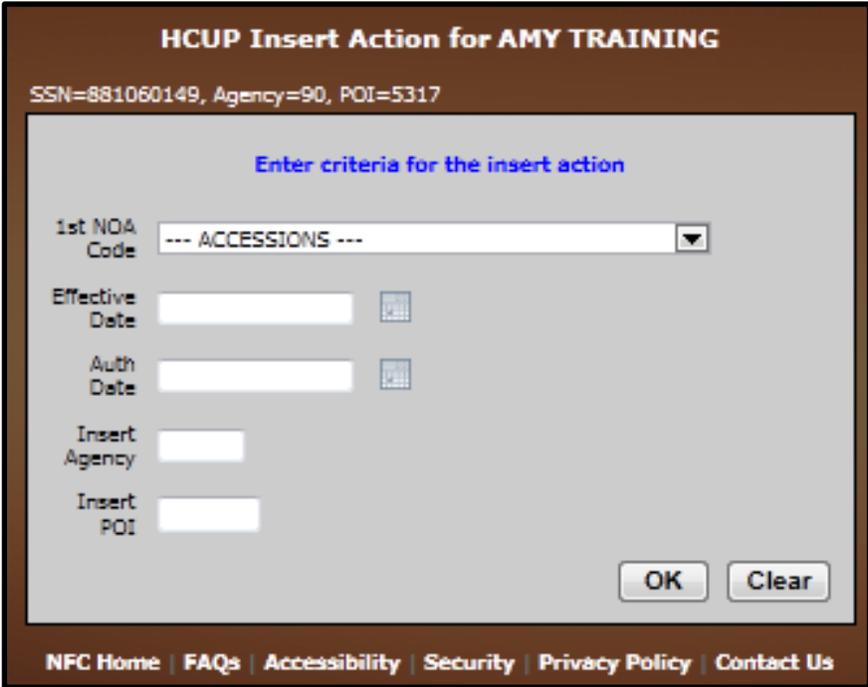


Figure 40: HCUP Insert Action Page

Step	Action
6.	Select the applicable NOAC from the <b>1<sup>st</sup> NOA Code</b> drop-down list.
7.	Enter the effective date for the NOAC you are inserting in the <b>Effective Date</b> field.
8.	Enter the authentication date for the NOAC you are inserting in the <b>Auth Date</b> field.

Step	Action
	<p><b>TIP:</b> If the starting action is an insert, the effective date and authentication date are required. The authentication date is usually the approval date from Block 49 of the SF-50.</p> <p>If you insert an action as the starting action or insert an action anywhere within a package that has the same effective date as an existing action, you must pay special attention to the inserted action's authentication dates. PINE uses the authentication date to sequence actions with the same effective date.</p>
9.	Enter the Agency Code of the employee's current employing Agency according to IR522 into the <b>Insert Agency</b> field.
10.	Enter the POI of the employee's current POI according to IR522 into the <b>Insert POI</b> field.
11.	Click <b>Submit</b> . A pop-up message displays.

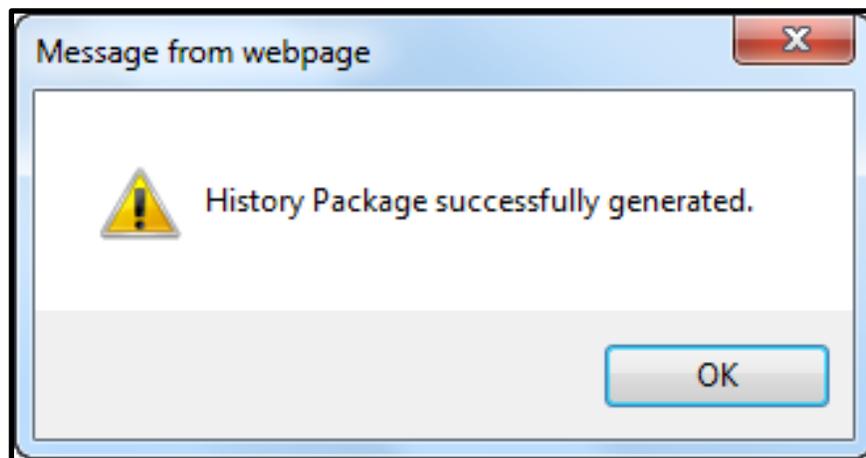


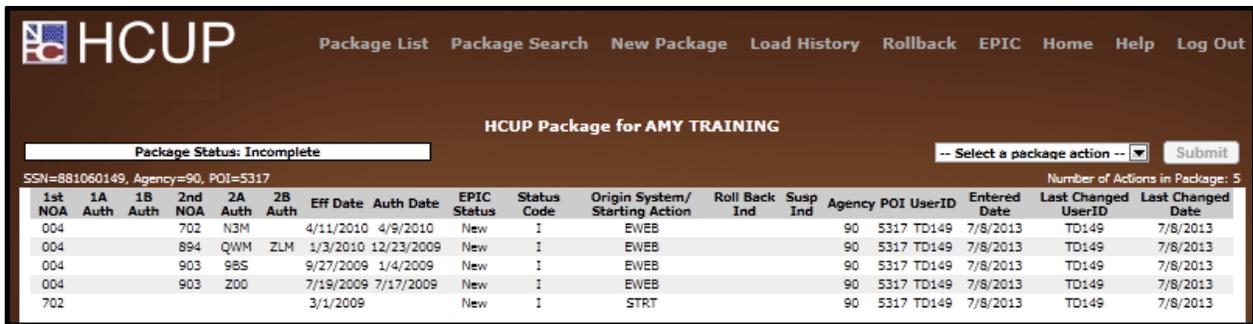
Figure 41: Pop-up Message

Step	Action
12.	Click <b>OK</b> . The <b>HCUP Package</b> page displays, and the HCUP package is created.

## Understanding the HCUP Package Page

Let's examine the **HCUP Package** page to understand its fields. When accessed the first time, the page lists:

- the starting action, with a "STRT" Originating System/Starting Action description,
- all actions that applied in history after the starting action, with an "EWEB" Originating System/Starting Action description, and
- rollback and current actions not applied to the database, if applicable.



HCUP Package for AMY TRAINING

Package Status: Incomplete

SSN=881060149, Agency=90, POI=5317

-- Select a package action -- Submit

Number of Actions in Package: 5

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004			702	N3M		4/11/2010	4/9/2010	New	1	EWEB			90	5317 TD149	7/8/2013	TD149	7/8/2013
004			894	QWM	ZLM	1/3/2010	12/23/2009	New	1	EWEB			90	5317 TD149	7/8/2013	TD149	7/8/2013
004			903	98S		9/27/2009	1/4/2009	New	1	EWEB			90	5317 TD149	7/8/2013	TD149	7/8/2013
004			903	Z00		7/19/2009	7/17/2009	New	1	EWEB			90	5317 TD149	7/8/2013	TD149	7/8/2013
702						3/1/2009		New	1	STRT			90	5317 TD149	7/8/2013	TD149	7/8/2013

Figure 42: HCUP Package Page

Every package consists of one or more personnel actions, and each action has multiple windows. Every action, regardless of the NOAC, contains historical personnel and position data from its corresponding history record and each must be addressed for validity.

There are two unofficial NOAC created at NFC for use in HCUP processing. They appear as 1st NOA on actions generated by HCUP. They are:

- 007: an unofficial cancellation action, and
- 004: an unofficial replacement action.

Actions with a first NOA of 007 are not reported to OPM. They serve as cancellation actions for PINE editing purposes. They are used only to restore the database to a date in the past and not to officially cancel an action. 007 actions are unseen by the user unless they fail PINE edits. If this should happen, the package should be deleted and reprocessed. If the 007 action goes into suspense again, an Agency representative should contact the NFC Contact Center for assistance. Every 007 action which unofficially cancels an action has a corresponding 004 replacement action.

Actions with a first NOA of 004 are not reported to OPM. They serve as replacement actions for PINE editing purposes and for ADJP purposes. You must review every 004 replacement action in a HCUP package to determine if the information it contains is still valid based on corrections you've made to earlier actions. If changes were made that need to flow through subsequent actions, the 004 must be changed to a 002 official correction, regardless of whether the field within the 004 action is available for correcting. Leaving the action marked as a 004 means that no data element (in the system or on the SF-50) changes for this action. This rarely occurs. In almost all cases, a 004 replacement action must be changed to a 002 official correction action regardless of whether the Agency wants a SF-50.

A 004 replacement action can be changed into a 002 official correction or a 001 official cancellation. A 002 official correction can later be changed to a 001 official cancellation; however, a 001 official cancellation cannot be changed to a 002 official correction.

Looking at the HCUP Package window, you see the actions from the IR525 excluding the exception actions. Personnel actions are listed in reverse chronological order. Most of the information you see is readily understandable; however, there are two types of status codes that require explanation.

- **EPIC Status:** the current status of an entered action

<b>EPIC Status Codes</b>	<b>Description</b>
<b>N (New)</b>	A transaction that has not been released from EPIC for PINE processing. New documents can have an additional status code of: I (Save as incomplete), H (Hold until release), R (Release for processing), and W (Waiting remarks).
<b>A (Applied)</b>	A transaction that has been released and applied to PPS
<b>F (Future)</b>	A transaction that is effective in a future pay period, and is held in EPIC until the processing of the effective pay period.
<b>S (Suspense)</b>	A transaction that failed the PINE edits, and is held in suspense
<b>P (Pending)</b>	A transaction pending release and processing from PINE

- **Status Code:** the status of an entered document as it relates to PINE

<b>Status Codes</b>	<b>Description</b>
<b>I (Incomplete)</b>	A transaction that has not been edited in HCUP or released to PINE
<b>R (Release)</b>	A transaction that has been released to PINE for editing
<b>H (Hold)</b>	A transaction that has been edited in HCUP, but not released to PINE
<b>4 (Delete)</b>	A transaction that has been marked for deletion

Before you can release the package to PINE, you must release each individual action. All actions are generated with a status of "I". As you change (or PINE changes) the status, the new status is reflected on the HCUP Package window. As we release the actions to PINE, their status codes change to "R".

*Exercise 4.1: Creating a HCUP Package through an Inserted Starting Action*

**Description/Scenario**

In this exercise, the objective is to insert a retroactive 702 promotion action effective 02/24/2013, promoting the employee from a GS-12/08 to a GS-13/04. This newly required action was the result of a settlement case.

**Instructions**

Follow the steps in the table below to complete the exercise.

<b>Step</b>	<b>Action</b>	<b>Required Data</b>
1.	Click <b>New Package</b> on the HCUP Menu Bar.	
2.	Enter the employee's social security number into the <b>SSN</b> field.	881010XXX
3.	Enter the Agency Code of the employee's current employing Agency according to IR522 into the <b>Agency</b> field.	90
4.	Click <b>Submit</b> .	
5.	Click <b>Insert</b> at any NOAC, except separation NOACs.	
6.	Select the applicable NOAC from the <b>1<sup>st</sup> NOA Code</b> drop-down list.	702 Promotion
7.	Enter the effective date for the NOAC you are inserting in the <b>Effective Date</b> field.	02/24/2013
8.	Enter the authentication date for the NOAC you are inserting in the <b>Auth Date</b> field.	02/22/2013
9.	Insert <b>Agency Code</b> .	90
10.	Click <b>OK</b> .	
11.	Click <b>OK</b> .	

## Accessing and Changing the Starting Action

Now that you have learned how to create a HCUP package, let's learn how to access and change the starting action.



HCUP Package for NICHOLAS TRAINING

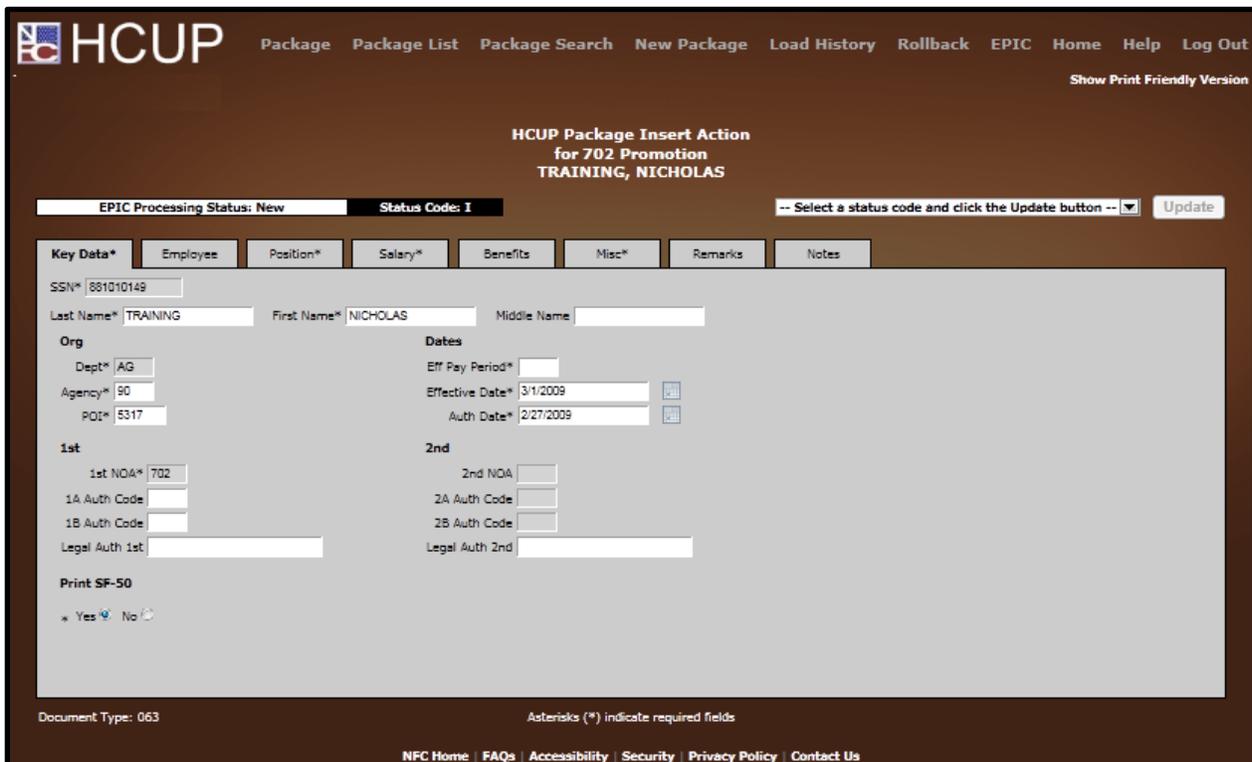
Package Status: Incomplete

SSN=881010149, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004			894	QWM	ZLM	1/3/2010	12/23/2009	New	I	EWEB			90	5317 TD149	7/8/2013	TD149	7/8/2013
004			903	985		9/27/2009	1/4/2009	New	I	EWEB			90	5317 TD149	7/8/2013	TD149	7/8/2013
004			893	Q7M		4/12/2009	4/11/2009	New	I	EWEB			90	5317 TD149	7/8/2013	TD149	7/8/2013
702						3/1/2009	2/27/2009	New	I	STRT			90	5317 TD149	7/8/2013	TD149	7/8/2013

Figure 43: HCUP Package Page

Step	Action
1.	Click the starting action from the <b>HCUP Package</b> page. The Key Data* tab displays.



HCUP Package Insert Action for 702 Promotion TRAINING, NICHOLAS

EPIC Processing Status: New Status Code: I

SSN\* | 881010149

Last Name\* TRAINING First Name\* NICHOLAS Middle Name

Org

Dept\* AG Eff Pay Period\*

Agency\* 90 Effective Date\* 3/1/2009

POI\* 5317 Auth Date\* 2/27/2009

1st

1st NOA\* 702 2nd

1A Auth Code 2nd NOA

1B Auth Code 2A Auth Code

Legal Auth 1st 2B Auth Code

Legal Auth 2nd

Print SF-50

\* Yes No

Document Type: 063 Asterisks (\*) indicate required fields

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Figure 44: HCUP Package Insert Action Page Key Data Tab

The first window you see for any starting action is its Key Data tab. It looks like the EPIC Key Data tab of an action except:

- The key data is completed with information from the ***Insert New Action*** page or with the information in the database on the effective date of the action when the starting action is a correction or cancellation.
- The status code is “I”, and it is now ready to enter or correct data as necessary. The status code of a 001 official cancellation starting action is an “R”.

The data windows that require field entries are marked with an asterisk (\*). Remember that other fields may be required based on Agency guidelines and/or on usage of certain OPM authority codes when used in conjunction with specific NOACs.

Step	Action
2.	Enter the pay period which the personnel action is entered in the <b>Eff Pay Period*</b> field.
3.	Enter the first authority code for the first NOAC in the <b>1A Auth Code</b> field. <b>TIP:</b> For Federal pay increases, enter “QWM.”
4.	Enter the second authority code for the first NOAC in the <b>1B Auth Code</b> field. <b>TIP:</b> If the authority code is YAM or Y1M, the occupational series code must be 0099. If the authority code is WVM or ZVM the occupational series code must be 3506.
5.	Enter the legal authority that authorizes the personnel action in the <b>Legal Auth 1<sup>st</sup></b> field. <b>TIP:</b> For Federal pay increases, enter the regulation and the Executive Order Number (EON). <b>NOTE:</b> Agencies with special authorities must use the Agency-cited authority.

Step	Action
6.	Enter the description of the law, executive order, regulation, rule, or other basis that authorizes the personnel action in the <b>Legal Auth 2<sup>nd</sup></b> field.
7.	Click the <b>Employee</b> tab. The Employee tab on the <b>HCUP Package Insert Action</b> page displays.

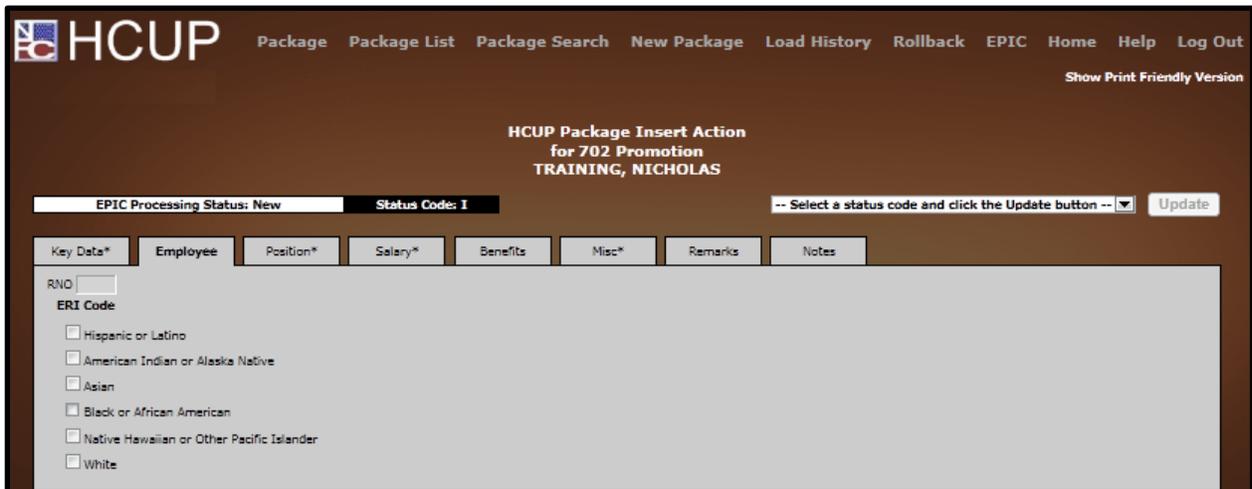
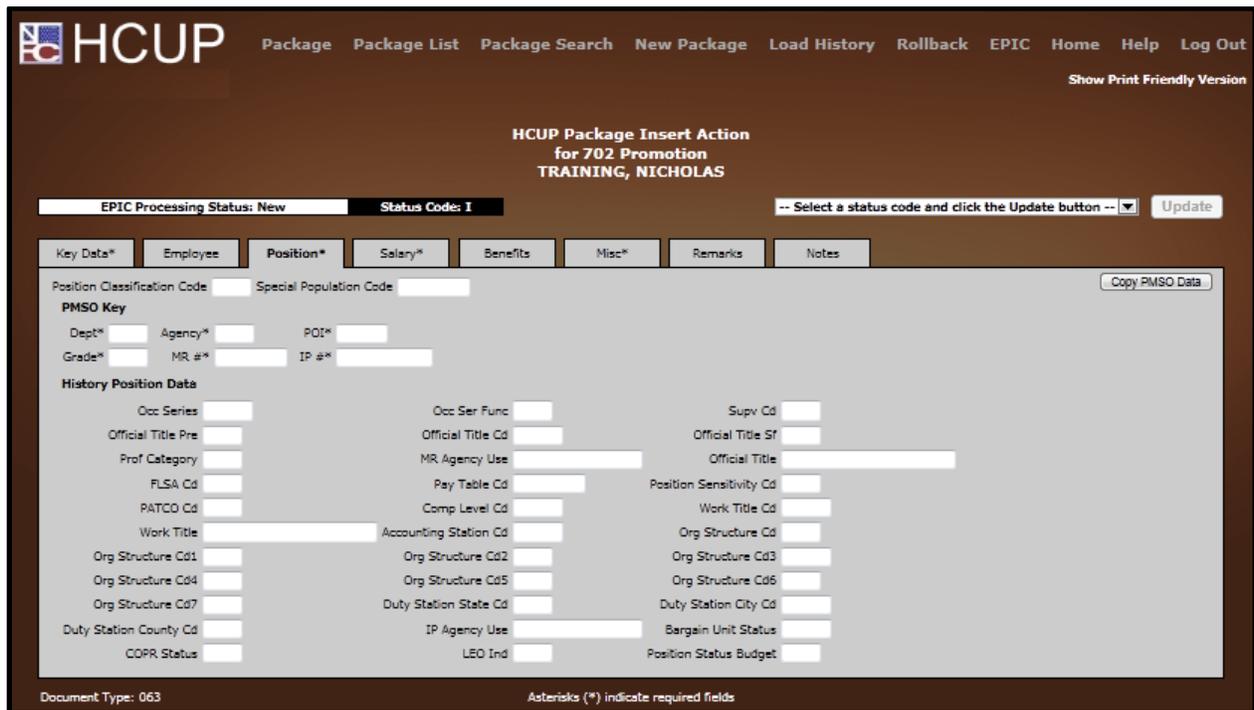


Figure 45: HCUP Package Insert Action Page Employee Tab

Step	Action
8.	Check the appropriate Ethnicity and Race Indicator checkbox under the <b>ERI Code</b> field.
<div style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> Fields may not be required on the Employee tab for certain actions. Always visit every window to check for conditional data that may be required depending on the NOAC used or Agency guidelines.</p> </div>	
9.	Click the <b>Position*</b> tab. The Position* tab on the <b>HCUP Package Insert Action</b> page displays.



HCUP Package Insert Action  
 for 702 Promotion  
 TRAINING, NICHOLAS

EPIC Processing Status: New      Status Code: I      -- Select a status code and click the Update button --      Update

Key Data\*    Employee    **Position\***    Salary\*    Benefits    Misc\*    Remarks    Notes

Position Classification Code:      Special Population Code:     

**PMSO Key**  
 Dept\*    Agency\*    POI\*  
 Grade\*    MR #\*    IP #\*

**History Position Data**

Occ Series	Occ Ser Func	Supv Cd
Official Title Pre	Official Title Cd	Official Title Sf
Prof Category	MR Agency Use	Official Title
FLSA Cd	Pay Table Cd	Position Sensitivity Cd
PATCO Cd	Comp Level Cd	Work Title Cd
Work Title	Accounting Station Cd	Org Structure Cd
Org Structure Cd1	Org Structure Cd2	Org Structure Cd3
Org Structure Cd4	Org Structure Cd5	Org Structure Cd6
Org Structure Cd7	Duty Station State Cd	Duty Station City Cd
Duty Station County Cd	IP Agency Use	Bargain Unit Status
COPR Status	LEO Ind	Position Status Budget

Document Type: 063      Asterisks (\*) indicate required fields

Figure 46: HCUP Package Insert Action Page Position Tab

Every action in a history package has a Position tab attached to it as part of the personnel action itself. The PMSO key fields that you see on the Position tab (**Dept**, **Agency**, **POI**, **Grade**, **MR#**, and **IP#**) are part of every HCUP action, whether they are actually displayed on the personnel action window or not. The PMSO key fields are linked to the same data fields on the personnel action. This means that when you make a change to any field of the PMSO key on the Position tab, the same element is automatically changed on the personnel action and vice versa.

Remember the following considerations when working in the Position window:

- It is an extension of the personnel action entry window,
- It is not part of real PMSO, and
- Its data fields are edited by PINE and applied to the database with all other data elements of the personnel action.

From a processing perspective, it is as though PMSO did not exist for any action except the last position action of the package. Changes you make to data fields on the Position tab undergo the same online edits that are applied when you make changes to data fields in PMSO. HCUP requires that all positions used in the package exist in PMSO.

All of the position data fields within the Position tab complete the following four actions:

- Furnish data to PINE/PEPL for proper editing of the personnel action and updating of a new personnel history,
- Furnish information for the SF-50 and OPM,
- Impact the computation of pay or entitlement to special types of payments, and
- Furnish data for the creation of history records.

PMSO data elements which directly impact an employee's scheduled salary, adjusted salary, special differentials, or biweekly computed salary payments are:

- ***Dept/Agency/POI***
- ***Pay Plan***
- ***Official Title Cd/SF (suffix code) Supv Cd***
- ***Grade***
- ***Occ Series***
- ***FLSA Cd***
- ***Pay Table Cd***
- ***Duty Station Cd***
- ***COPR Status***
- ***LEO Ind***

These data elements illustrate a single area impacted by PMSO data. Failure to assure they are coded correctly on any action can result in salary underpayments or overpayments.

In HCUP processing, PINE interfaces with PMSO every time a personnel action is processed whether an employee is changing positions or not. This is done for editing purposes and to update the employee's database record with any PMSO data that is changing. A personnel action moving an employee to a new position requires a vacant and active position in PMSO.

In the HCUP process, the actions contain position data but they are not edited against current PMSO data until the last action processed. After the process is completed, each employee must occupy a real position.

You must verify the data on the Position tab of every action to make sure that it is correct. Position information you change on one action should be carried forward to subsequent actions. A correction to an action is required to allow position data to flow to subsequent actions.

Position data is populated with the corresponding historical position information when an action is generated within a HCUP package. If the position data is invalid, it must be corrected by entering information into a blank field, typing over data in a field, or by blanking out data in a field using the space bar.

There is another way to make changes on the Position tab. To use this feature, you must understand its functionality. The position must exist in PMSO with the same data that existed when the employee occupied the position. It can be currently occupied by another employee but all of the data must be the same as it was when occupied by the employee. It can be coded as “inactive” or even “abolished” but at the end of the process the position being occupied by the employee must be vacant and active.

When you click the Copy PMSO Data button on the Position tab, HCUP accesses the Master Record and Individual Position corresponding to the PMSO key and replaces all data in the fields below the PMSO key with the data from the real PMSO database record.

Step	Action
10.	Enter the position classification code in the <b>Position Classification Code</b> field.
11.	Enter the special population code in the <b>Special Population Code</b> field.
<div style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> The PMSO key data fields must be identical to the PMSO key data element in PMSO, except for the position classification code, which is entered on the personnel action only.</p> </div>	
12.	Enter the employee’s Department Code in the <b>Dept*</b> field.
13.	Enter the employee’s Agency Code in the <b>Agency*</b> field.

Step	Action
14.	Enter the employee's POI in the <b>POI*</b> field.
15.	Enter the grade for the position in the <b>Grade*</b> field.
16.	Enter the master record number for the position in the <b>MR #*</b> field.
17.	Enter the individual position number in the <b>IP #*</b> field. <div style="border: 1px solid red; padding: 5px; margin-top: 10px;"> <p><b>CAUTION:</b> This number must be different than the incumbent individual position number in PMSO. The position must be active and vacant in PMSO when an employee is being placed in the position.</p> </div>
18.	Click <b>Copy PMSO Data</b> . A pop-up message displays.

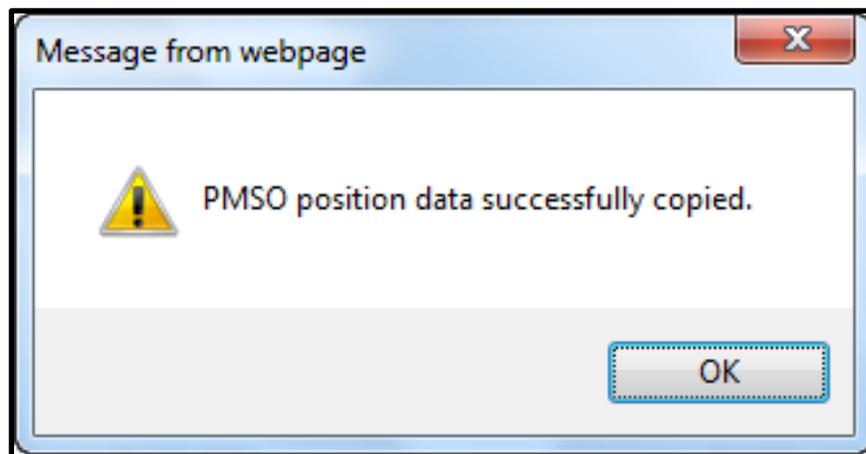


Figure 47: Pop-Up Message

Step	Action
19.	Click <b>OK</b> . The window populates with the relevant position data from PMSO.
20.	Click <b>Update Position Data</b> to register the changes to the Position* tab. A pop-up message displays.

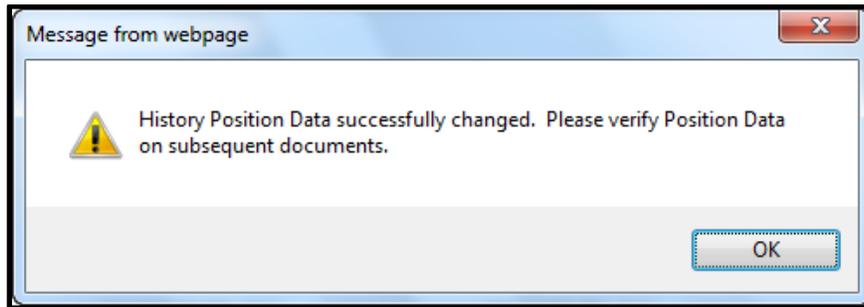


Figure 48: Pop-Up Message

Step	Action
21.	Click <b>OK</b> . Correct any subsequent actions to pull data from the new position into the Position tab of each action.

**HCUP** Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 Show Print Friendly Version

**HCUP Package Insert Action for 702 Promotion TRAINING, NICHOLAS**

EPIC Processing Status: New Status Codes: I -- Select a status code and click the Update button -- Update

Key Data\* Employee **Position\*** Salary\* Benefits Misc\* Remarks Notes

Position Classification Code Special Population Code Copy PMSO Data Update Position Data

**PMSO Key**  
 Dept\* AG Agency\* 90 POI\* 5317  
 Grade\* 13 MR #\* WD1149 IP #\* WD101149

**History Position Data**

Occ Series 0343 Occ Ser Func 00 Supv Cd 2  
 Official Title Pre S Official Title Cd 0003 Official Title Sf  
 Prof Category MR Agency Use Official Title SURVY PROG ANAL  
 FLSA Cd E Pay Table Cd Position Sensitivity Cd 5C  
 PATCO Cd A Comp Level Cd 0090 Work Title Cd 0000  
 Work Title Accounting Station Cd 0010 Org Structure Cd 90  
 Org Structure Cd1 70 Org Structure Cd2 40 Org Structure Cd3 0080  
 Org Structure Cd4 15 Org Structure Cd5 00 Org Structure Cd6 00  
 Org Structure Cd7 00 Duty Station State Cd 22 Duty Station City Cd 1690  
 Duty Station County Cd 071 IP Agency Use M5I Bargain Unit Status 8888  
 COPR Status LEO Ind Position Status Budget Y

Document Type: 063 Asterisks (\*) indicate required fields

Figure 49: HCUP Package Insert Action Page Position Tab

Be especially careful when using this feature. The copy button accesses a position as it looks in PMSO today. PMSO keeps no historical records of how a position looked at a specific point in time. That information is stored only in the personnel history records of employees who occupied the position. A position may have undergone several changes since it was established.

**CAUTION:** Do not use the copy and update buttons to correct position data if doing so will replace valid historical PMSO data with current PMSO data that has changed.

This method of pulling position data directly from PMSO is helpful when you are retroactively placing an employee in the position he/she will occupy at the end of the HCUP process. You will, of course, have to make sure that the position exists in real PMSO. You also have to make sure the date the position is classified and established is no later than the effective date of the action you are processing.

**NOTE:** The Position window is a part of every HCUP action and the Position Data windows of HCUP-generated actions always contain the original position information. Make a conscious decision as to whether the data requires correction or replacement.

Step	Action
22.	Click the <b>Salary*</b> tab. The Salary* tab on the <i>HCUP Package Insert Action</i> page displays.

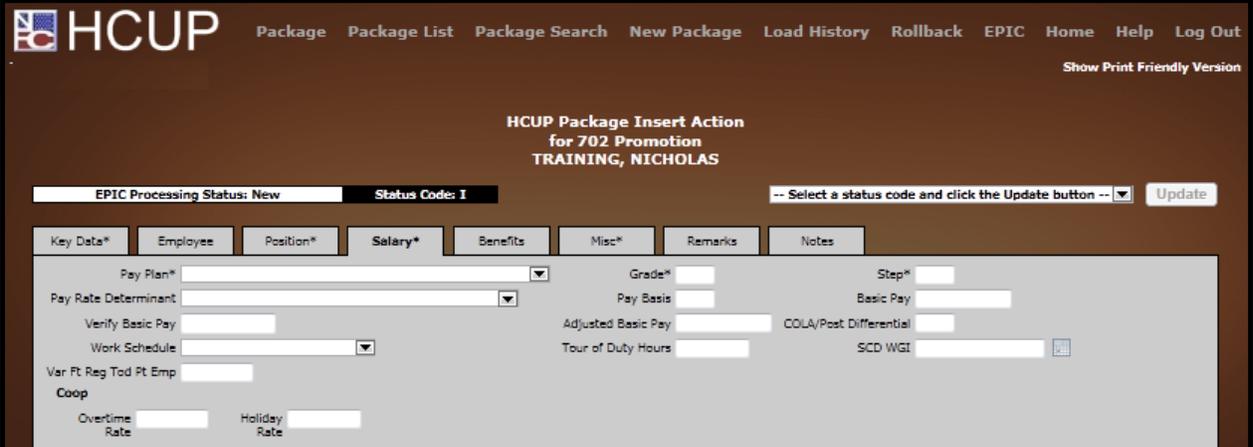


Figure 50: HCUP Package Insert Action Page Salary Tab

Step	Action
23.	Select the appropriate pay plan from the <b>Pay Plan*</b> drop-down list. <div style="border: 1px solid yellow; padding: 2px; margin: 5px 0;"><b>TIP:</b> For a list of valid codes, see TMGT Table 025.</div>
24.	Enter the grade for the position in the <b>Grade*</b> field.

Step	Action
25.	Enter the step within the grade, level, class, rank, or pay band in the <b>Step*</b> field.
26.	Select the pay rate determinant code from the <b>Pay Rate Determinant</b> drop-down list.
27.	Enter the pay basis in the <b>Pay Basis</b> field.
28.	Enter the scheduled salary amount in the <b>Basic Pay</b> field.
29.	<p>Enter the scheduled salary amount in the <b>Verify Basic Pay</b> field, if the salary cannot be verified in TMGT.</p> <div data-bbox="417 825 1349 915" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field must be completed if the Basic Pay field is not table driven.</p> </div>
30.	<p>Enter the appropriate code in the <b>COLA/Post Differential</b> field.</p> <div data-bbox="417 1020 1349 1236" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> Federal Wage System (FWS) employees are not entitled to COLA or post differential in non-foreign areas. For foreign areas, the Department of State's Standardized Regulations establishes regulations and post classifications for the payment of foreign post differential.</p> </div>
31.	<p>Select the work schedule code from the <b>Work Schedule</b> drop-down list.</p> <div data-bbox="417 1339 1349 1583" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> Intermittent work schedule applies to temporary accessions and conversions or extensions of temporary appointments.</p> <p>For Smithsonian Institution employees, the type of appointment must be 09 if the work schedule is intermittent.</p> </div>

Step	Action
32.	<p>Enter the scheduled number of hours an employee is to work per pay period in the <b>Tour of Duty Hours</b> field.</p> <div data-bbox="415 438 1351 573" style="border: 1px solid blue; padding: 5px;"> <p><b>NOTE:</b> This field must be completed for part-time work schedules. Leave this field blank for full-time and intermittent work schedules.</p> </div> <div data-bbox="415 600 1351 653" style="border: 1px solid yellow; padding: 5px;"> <p><b>TIP:</b> This field must be greater than one and less than 79.</p> </div>
33.	<p>Enter the date from which service is to be credited toward the employee's next within-grade salary increase in the <b>SCD WGI</b> field.</p> <div data-bbox="415 783 1351 1024" style="border: 1px solid blue; padding: 5px;"> <p><b>NOTE:</b> This field must be completed when the employee is not in the top of the step. If previous Federal service is unknown, enter the effective date of the action.</p> <p>This field cannot be later than the effective date of the personnel action.</p> </div> <div data-bbox="415 1052 1351 1146" style="border: 1px solid yellow; padding: 5px;"> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> </div>
34.	<p>Enter the number of hours for a hypothetical full-time regular biweekly tour of duty that would apply to an employee on a part-time schedule if he or she were full-time, in the <b>Var Ft Reg Tod Pt Emp</b> field.</p>
35.	<p>Enter the hourly overtime rate for a cooperative type employee if the overtime rate is not based on the basic pay because the cooperator pays part of the overtime in the <b>Overtime Rate</b> field.</p>
36.	<p>Enter the hourly holiday rate for a cooperative type employee if the holiday rate is not based on the basic pay because the cooperator pays part of the overtime in the <b>Holiday Rate</b> field.</p> <div data-bbox="415 1640 1351 1814" style="border: 1px solid blue; padding: 5px;"> <p><b>NOTE:</b> Do not complete the <b>Overtime Rate</b> or <b>Holiday Rate</b> fields if the Agency has agreed to pay all overtime or holiday pay. Do not complete the <b>Holiday Rate</b> field for reemployed annuitants.</p> </div>

Step	Action
37.	Click the <b>Benefits</b> tab. The Benefits tab on the <i>HCUP Package Insert Action</i> page displays.

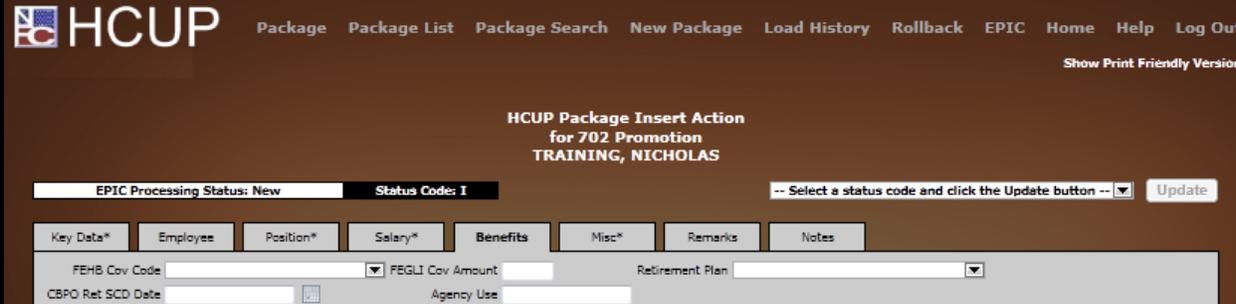


Figure 51: HCUP Package Insert Action Page Benefits Tab

Step	Action
38.	<p>Select the appropriate code to identify if the employee is eligible for the Federal Employee Health Benefits Plan (FEHB) plan or if he or she is already participating from the <b>FEHB Cov Code</b> drop-down list.</p> <div data-bbox="407 1102 1344 1276" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field must be completed for retirement, death, resignation in lieu of involuntary action, and involuntary termination actions. The field must be blank for other separation actions.</p> </div>
39.	<p>Enter the amount of basic insurance coverage for the employee who is covered under Federal Employees Group Life Insurance (FEGLI) Program in the <b>FEGLI Cov Amount</b> field.</p> <div data-bbox="407 1465 1344 1556" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field does not include additional optional insurance coverage amounts.</p> </div>
40.	<p>Select the appropriate retirement plan code from the <b>Retirement Plan</b> drop-down list.</p>

Step	Action
41.	<p>Enter the service computation date for Customs and Border Protection Officers (CBPO) in the <b>CBPO Ret SCD Date</b> field.</p> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> <p><b>NOTE:</b> This field is for Customs and Border Protection (CBP) employees only.</p>
42.	<p>Complete the <b>Agency Use</b> field per your Agency's requirements.</p> <p><b>TIP:</b> If the NOAC entered on the Key Data tab applies to one of the codes listed above and data is not entered in this field, the pay plan must be FE, FO, or FP.</p> <p>If you are processing NOAC 312 for a discontinued service retirement, this field must be completed. If you are processing NOAC 312 for a resignation-ILIA, the field must remain blank and the action must include Remark Code N22 to bypass edits.</p>
43.	<p>Click the <b>Misc*</b> tab. The Misc* tab on the <b>HCUP Package Insert Action</b> page displays.</p>

Figure 52: HCUP Package Insert Action Page Misc Tab

Step	Action
44.	Select the appropriate code from the <b>Sup/Managerial Probationary Period Required</b> drop-down list.
45.	<p>Enter the start date for the supervisor/managerial probationary period or for an SES probationary period in the <b>Sup/Managerial Start Date</b> field.</p> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> <p><b>NOTE:</b> This field must not be later than the effective date of the personnel action. If previous service is unknown, enter the effective date of the action. The supervisory code must be 1 or 3 if this field contains a date.</p>
46.	<p>Enter the beginning date of a one year probationary period in the <b>Probationary Period Start Date</b> field.</p> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> <p>Complete this field when: tenure is coded 2 and the type of appointment is 01, for type of appointments 01-03 and 06-09. This field must be blank for tenure 0 or 1 and tenure 3 with type appointment 8.</p>
47.	<p>Enter the date the employee was most recently assigned to the current grade in the <b>Date Entered Present Grade*</b> field.</p> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> <p>This field must be completed when the grade changes and for grade retention actions.</p> <p><b>NOTE:</b> This field cannot be later than the effective date of the personnel action.</p>
48.	Select the appropriate code to identify if the employee belongs to a special category of pay processing not accommodated in any other portion of PPS in the <b>Special Employee</b> drop-down list.

Step	Action
49.	Select the appropriate code to identify if the employee belongs to special employment program in the <b>Special Employment Program</b> drop-down list.
50.	Enter the reason that the employee is allowed to have an annual leave ceiling higher than 240 hours in the <b>Leave Ceiling Reason (75-Character Limit)</b> field.
51.	Enter the appropriate code in the <b>Agency</b> field.
52.	<p>Select the appropriate annual leave earning status from the <b>Category</b> drop-down list.</p> <div data-bbox="407 789 1344 926" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field must be completed for full-time and part-time employees who are eligible to earn annual leave and must be compatible with the SCD for leave.</p> </div>
53.	<p>Enter the appropriate code that identifies if the employee is stationed at an overseas foreign post of duty and is entitled to carry over one leave year to another for a maximum of 45 days annual leave accumulation in the <b>45 Day</b> field.</p> <div data-bbox="407 1152 1344 1289" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> Enter “Y” for foreign duty stations. You must adjust the annual leave ceiling at the end of the leave year, if applicable, when the employee returns from a foreign post.</p> </div>
54.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.
55.	Click <b>Update</b> . A pop-up message displays.

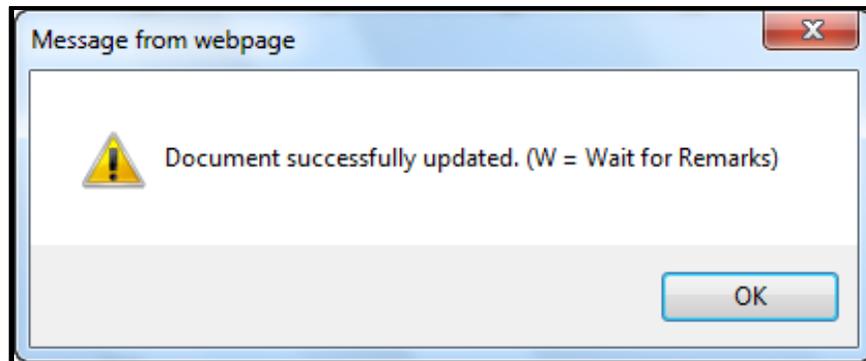


Figure 53: Pop-up Message

Step	Action
56.	<p>Click <b>OK</b>. The Key Data* tab displays with a status code of W (Waiting for Remarks).</p> <div data-bbox="407 995 1344 1171" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> If an action has a mandatory remark that needs more data, the pop-up message displays, and the status code changes to W. If the action has an optional remark that can be added, the status code remains R (Release for Processing).</p> </div>
57.	<p>Click the <b>Remarks</b> tab. The Remarks tab on the <b>HCUP Package Insert Action</b> page displays.</p> <div data-bbox="407 1316 1344 1493" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> The Remarks tab does not display until all other tabs have been completed and a status has been selected from the <b>Select a status code and click the Update button</b> drop-down list.</p> </div>
<div data-bbox="280 1535 1344 1711" style="border: 1px solid black; padding: 5px;"> <p><b>TIP:</b> Required remarks codes are system generated based on the NOAC entered previously. All remarks codes are listed in TMGT Table 052, Remarks Codes. If a remark's status code is W, it indicates the remark is required.</p> </div>	
58.	Click the remark code. A message displays in <b>Line 1</b> field.
59.	Enter the required information next to the message.

Step	Action
60.	Click <b>Update</b> . A pop-up message displays.

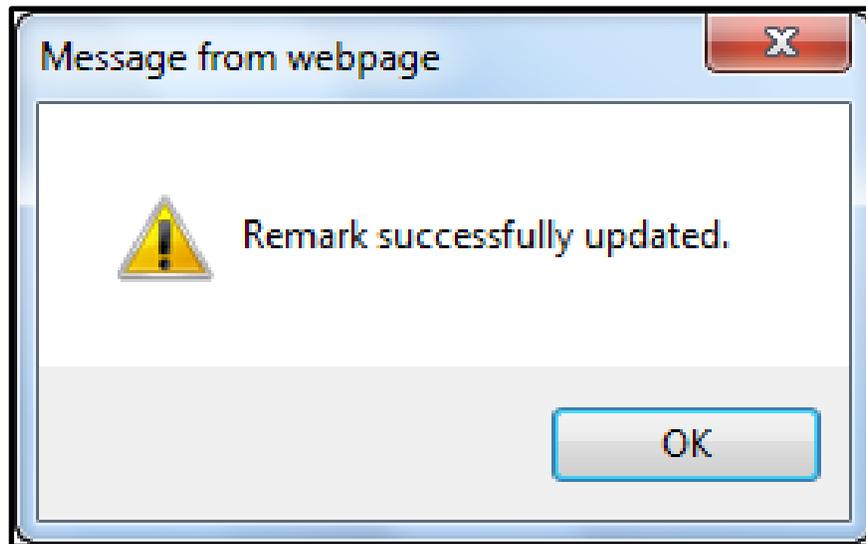


Figure 54: Pop-up Message

Step	Action
61.	Click <b>OK</b> . The entered information is saved, and the remark's status code changes to R.
62.	Click <b>Package</b> on the HCUP Menu Bar. The <b>HCUP Package</b> page displays with the released starting action.

*Exercise 4.2: Accessing and Changing the Starting Action*

**Description/Scenario**

In this exercise, you access and release the retroactive 702 promotion starting action, which you created in Exercise 4.1. The employee's SSN is 881010XXX.

**Instructions**

Follow the steps in the table below to complete the exercise.

<b>Step</b>	<b>Action</b>	<b>Required Data</b>
1.	Click the starting action from the <b>HCUP Package</b> page.	
2.	Enter the pay period in which the personnel action is entered in the <b>Eff Pay Period*</b> field.	04
3.	Enter the first authority code for the first NOAC in the <b>1A Auth Code</b> field.	N3M
4.	Enter the appropriate legal authority in the <b>Legal Auth 1<sup>st</sup></b> field.	Reg 335.102 COMP
5.	Click the <b>Position*</b> tab.	
6.	Select the position classification code from the <b>Position Classification Code*</b> drop-down list.	0
7.	Enter the employee's Department Code in the <b>Dept*</b> field.	AG
8.	Enter the employee's Agency Code in the <b>Agency*</b> field.	90
9.	Enter the employee's POI in the <b>POI*</b> field.	5317
10.	Enter the grade for the position in the <b>Grade*</b> field.	13
11.	Enter the master record number for the position in the <b>MR #*</b> field.	E11XXX

Step	Action	Required Data
12.	Enter the individual position number in the <b>IP #*</b> field.	E1100XXX
13.	Click <b>Copy PMSO Data</b> .	
14.	Click <b>OK</b> .	
15.	Click <b>Update Position Data</b>	
16.	Click <b>OK</b> .	
17.	Click the <b>Salary*</b> tab.	
18.	Enter the step within the grade, level, class, rank, or pay band in the <b>Step*</b> field.	04
19.	Select the pay rate determinant code from the <b>Pay Rate Determinant</b> drop-down list.	0
20.	Enter the scheduled salary amount in the <b>Basic Pay</b> field.	78841
21.	Enter the scheduled salary amount in the <b>Verify Basic Pay</b> field.	78841
22.	Enter the date from which service is to be credited toward the employee's next within-grade salary increase in the <b>SCD WGI</b> field.	02/24/2013
23.	Click the <b>Misc*</b> tab.	
24.	Select the appropriate code from the <b>Sup/Managerial Probationary Period Required</b> drop-down list.	2-Served
25.	Enter the date the employee was most recently assigned to the current grade in the <b>Date Entered Present Grade*</b> field.	02/24/2013

Step	Action	Required Data
26.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
27.	Click <b>Update</b> .	
28.	Click <b>OK</b> .	
29.	Click the <b>Remarks</b> tab.	
30.	Click the <b>K12</b> remarks code.	
31.	Enter the Certificate Number and Date in the <b>Line 1</b> field.	CERT 06-123 02/21/2013
32.	Click <b>Update</b> .	
33.	Click <b>OK</b> .	
34.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
35.	Click <b>Update</b> .	
36.	Click <b>OK</b> .	
37.	Click <b>Package</b> on the HCUP Menu Bar.	

## 4.6. Subsequent Actions in a HCUP Package

### *Lesson Overview*

This lesson introduces subsequent actions within a HCUP package to the user by completing cancellation, correction, and newly required subsequent actions within HCUP.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Explain subsequent actions within HCUP
- Execute a cancellation subsequent action within a HCUP package
- Execute a correction subsequent action within a HCUP package
- Execute a newly required personnel action within a HCUP package

### **Introduction to Subsequent Actions**

You have learned that history corrections are processed as a HCUP package. To correct, cancel, or insert a history action, all subsequent actions must be cancelled whether they are valid or invalid. Subsequent actions must be reprocessed, thus establishing a new personnel history. Again, this allows the following actions:

- PINE can edit each action of the new history chronologically for validity.
- ADJP will have a new chronological history from which to re-compute 25 pay periods of payroll.
- RETM can replace an old personnel history with a new one.

In HCUP, many fields are populated with data from history. You must remember to check data on every action and update data when needed to make sure that old data is not undoing the corrections you made to earlier personnel actions. PINE may or may not catch errors because it has no way to determine that the old data is no longer valid.

Changing an OPM authority code may require correction to the legal authority previously cited from the historical action. The fields, “**LI Coverage Amt**”, “**Retirement Coverage**”, “**Remarks**”, “**Rate**”, “**Verify Salary**”, “**Pay Rate Determinant Code**”, “**45 Days**”, and “**Duty Hours**” may be populated on many replacement actions. The same is true of “**Special Employee Code**”, “**COLA and/or Post Diff Code**”, and “**Work Schedule Code**”. You will not ordinarily enter data into these fields unless they are changing with this action. As long as these fields do not contain information that is invalid for the personnel action being processed, you can leave them alone. If they are no longer valid for the action you are processing, you need to correct them.

The remarks are populated from each replacement action’s corresponding record on IR522, SF-50B Data Elements. The Remarks codes stored on IR522 are those on the action when it applied to the database; this includes remarks generated online and those added to the document by the user. Remarks generated by PINE (i.e. E18 and T10) are not stored in history, so they are not generated on your action. PINE generates them on the replacement actions as it did on the original action. As with all data elements, you need to decide whether the remarks are valid or if new ones need to be added based on the corrections you make to an action or made to previous actions.

### **Cancelling an Action within a HCUP Package**

In the PPS database, the cancellation of a non-exception personnel action is the equivalent of processing the action in reverse. In other words, when you cancel a non-exception action, you are returning the values of any data fields that changed on the action to what they were just before the action was processed. For example, since a WGI changes an employee’s step, salary, and SCD WGI, cancelling a 893 NOAC means changing the values of those fields to what they were just before a promotion was processed.

**IMPORTANT:** You cannot correct any data on a cancellation action. The information comes directly from history and reflects the way the action was originally (or last) processed. The system automatically codes all cancellation actions for release to PINE.

The following procedure explains how to cancel subsequent actions that are not starting actions.



HCUP Package for NICHOLAS TRAINING

Package Status: Incomplete

SSN=881010149, Agency=90, POI=5317

Number of Actions in Package: 4

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004			894	QWM	ZLM	1/3/2010	12/23/2009	New	I	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
004			903	98S		9/27/2009	1/4/2009	New	I	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
004			893	Q7M		4/12/2009	4/11/2009	New	I	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
702						3/1/2009	2/27/2009	New	R	STRT			90	5317	TD149	7/8/2013	TD149	7/8/2013

Figure 55: HCUP Package Page

Step	Action
1.	Click the applicable action to be cancelled. The Key Data tab on the <b>HCUP 004 Action</b> page displays.
2.	Select <b>Change to Cancellation</b> from the <b>HCUP Change Option</b> drop-down list. A pop-up message displays.

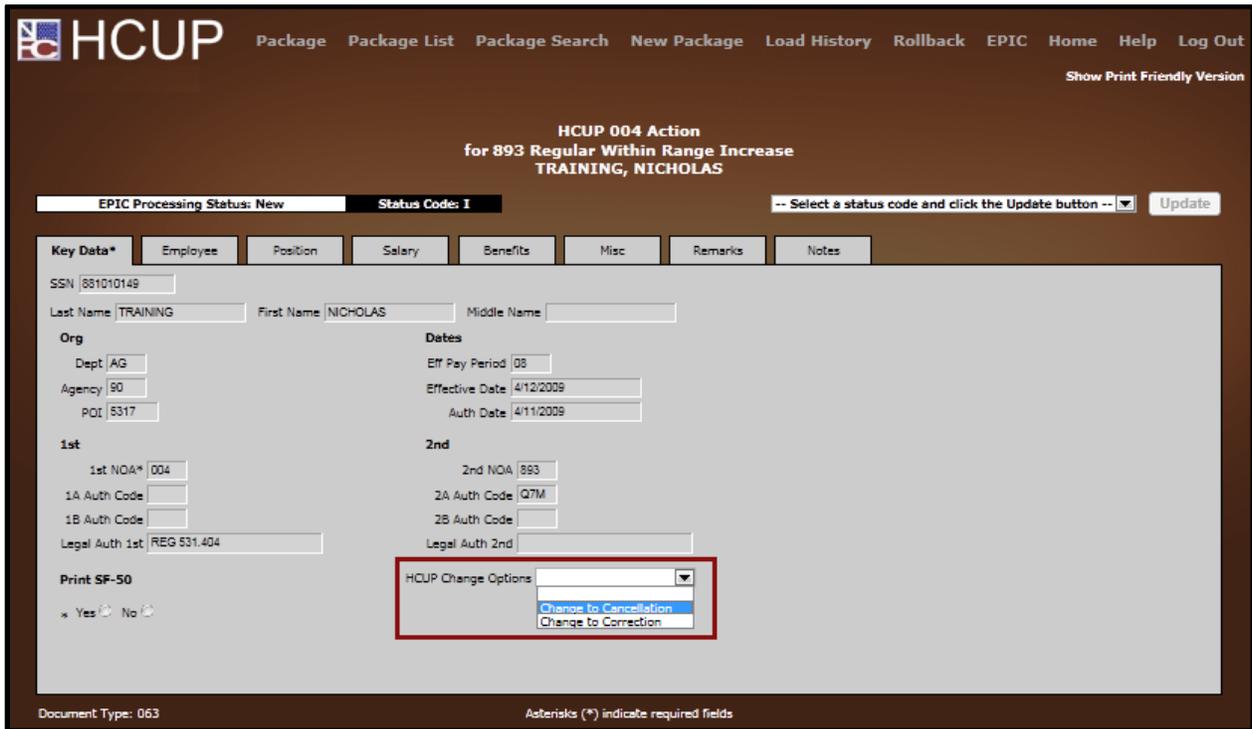


Figure 56: HCUP 004 Action Page Key Data Tab

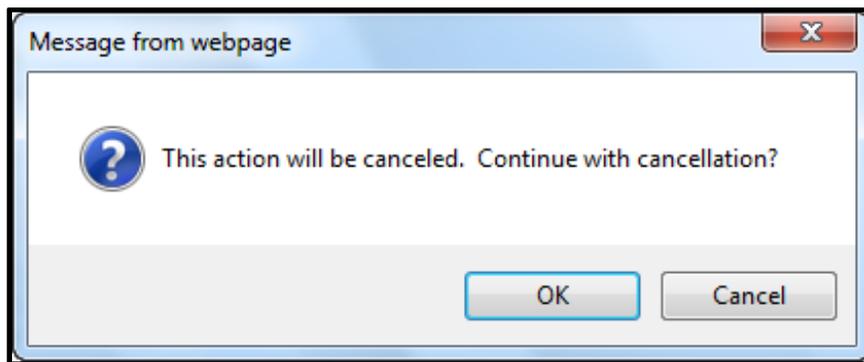


Figure 57: Pop-up Message

Step	Action
3.	Click <b>OK</b> . A pop-up message displays.

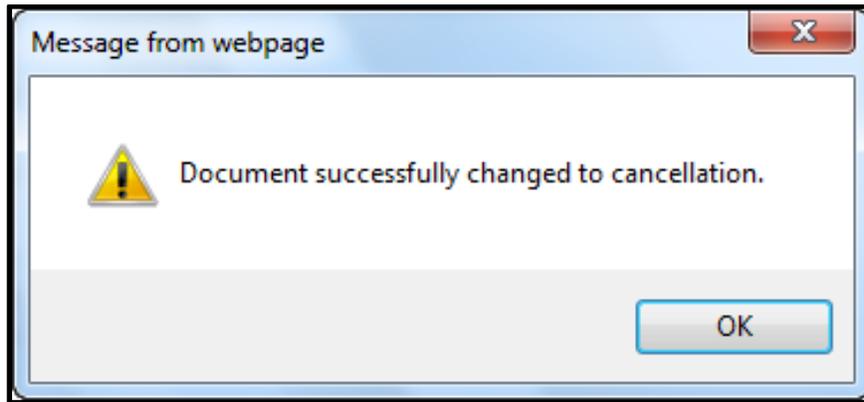


Figure 58: Pop-up Message

Step	Action
4.	Click <b>OK</b> . The action changes to an official cancellation with a first NOAC of 001 and is released.
5.	Click <b>Package</b> on the HCUP Menu Bar. The <b>HCUP Package</b> page displays.



[Package List](#)
[Package Search](#)
[New Package](#)
[Load History](#)
[Rollback](#)
[EPIC](#)
[Home](#)
[Help](#)
[Log Out](#)

**HCUP Package for NICHOLAS TRAINING**

Package Status: Incomplete

 -- Select a package action --

SSN=881010149, Agency=90, POI=5317 Number of Actions in Package: 4

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/ Starting Action	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004			894	QWM	ZLM	1/3/2010	12/23/2009	New	I	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
004			903	98S		9/27/2009	1/4/2009	New	I	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
001	ATM		893	Q7M		4/12/2009	4/11/2009	New	R	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
702						3/1/2009	2/27/2009	New	R	STRT			90	5317	TD149	7/8/2013	TD149	7/8/2013

Figure 59: HCUP Package Page

*Exercise 4.3: Cancelling a Subsequent Action*

**Description/Scenario**

The insertion of the newly required 702 promotion action effective 02/24/2013 means the employee is not entitled to the original Within Grade Increase (WGI) that she received on 04/07/2013; therefore, the 893 action must be officially cancelled.

**Instructions**

Follow the steps in the table below to complete the exercise.

<b>Step</b>	<b>Action</b>	<b>Required Data</b>
1.	Click the applicable action to be cancelled.	004 893 Q7M
2.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Cancellation
3.	Click <b>OK</b> .	
4.	Select the appropriate radio button in the <b>Print SF-50</b> field.	Yes
5.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
6.	Click <b>Update</b> .	
7.	Click <b>OK</b> .	
8.	Click <b>Package</b> on the HCUP Menu Bar.	

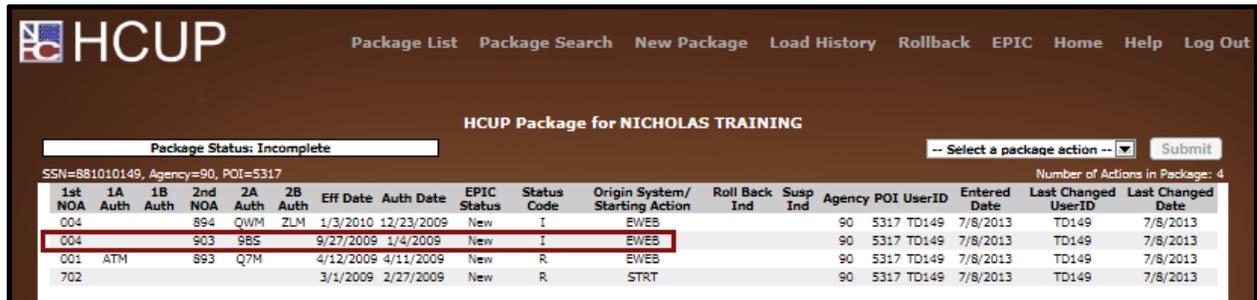
## Correcting an Action within a HCUP Package

This section explains how to correct actions that are not starting actions. Every package consists of one or more personnel actions, and each action has multiple windows. Every action, regardless of the NOAC, contains historical personnel and position data from its corresponding history record and each must be addressed for validity.

The Position tab of subsequent non-position change actions cannot be modified until the actions are changed to official corrections. When the correction option is selected, all fields are made available for correction.

**CAUTION:** In almost all cases, an 004 subsequent action must be changed to an 002 correction action regardless of whether the Agency wants a corrected SF-50. If the action is not changed to an 002 correction action, then HCUP does not roll the data forward. Leaving the action marked as a 004 subsequent action means that no data element changes for this action, which rarely occurs.

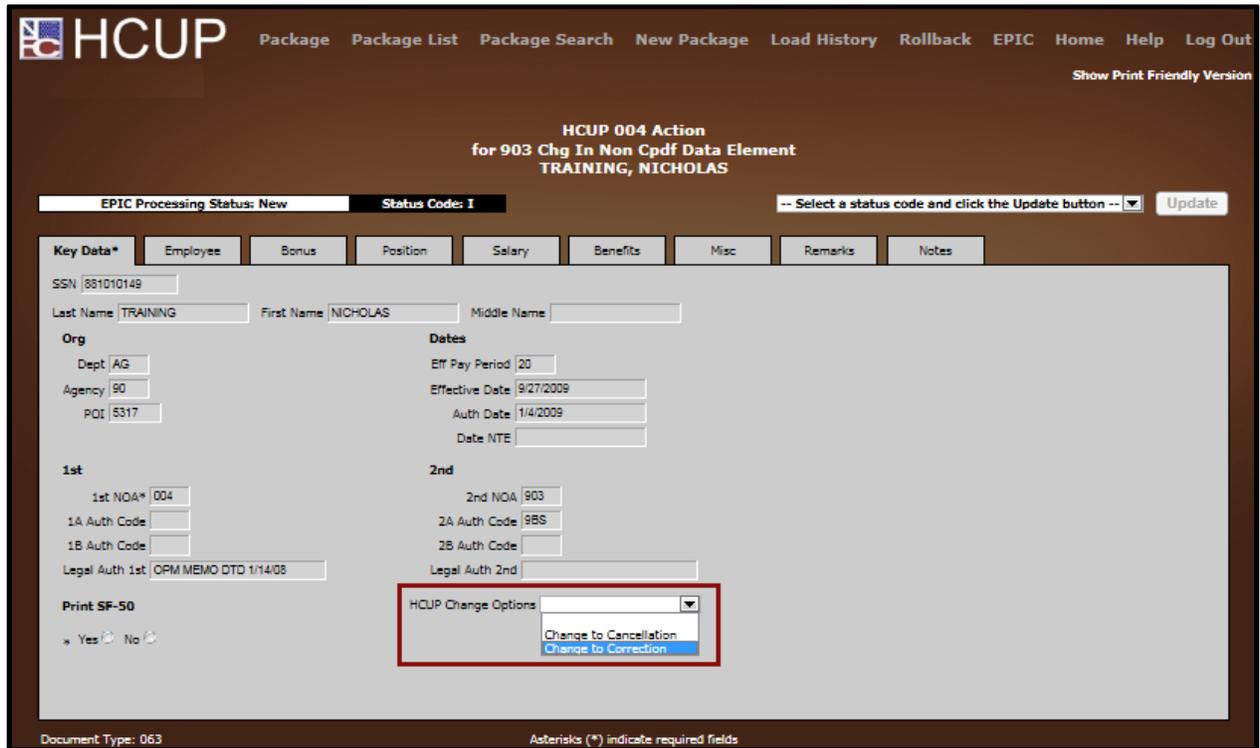
The following procedure explains how to cancel subsequent actions that are not starting actions.



1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004		894	QWM	ZLM		1/3/2010	12/23/2009	New	I	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
004		903	985			9/27/2009	1/4/2009	New	I	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
001	ATM		893	Q7M		4/12/2009	4/11/2009	New	R	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
702						3/1/2009	2/27/2009	New	R	STRT			90	5317	TD149	7/8/2013	TD149	7/8/2013

Figure 60: HCUP Package Page

Step	Action
1.	Click the applicable action to be corrected. The Key Data tab on the <b>HCUP 004 Action</b> page displays.
2.	Select <b>Change to Correction</b> from the <b>HCUP Change Option</b> drop-down list. A pop-up message displays.



**HCUP** Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 Show Print Friendly Version

**HCUP 004 Action**  
 for 903 Chg In Non CpDf Data Element  
 TRAINING, NICHOLAS

EPIC Processing Status: New Status Code: I -- Select a status code and click the Update button -- Update

**Key Data\*** Employee Bonus Position Salary Benefits Misc Remarks Notes

SSN 881010149  
 Last Name TRAINING First Name NICHOLAS Middle Name

**Org** Dept AG Agency 90 POI 5317  
**Dates** Eff Pay Period 20 Effective Date 9/27/2009 Auth Date 1/4/2009 Date NTE

**1st** 1st NOA\* 004 1A Auth Code 1B Auth Code Legal Auth 1st OPM MEMO DTD 1/14/08  
**2nd** 2nd NOA 903 2A Auth Code 98S 2B Auth Code Legal Auth 2nd

Print SF-50 \* Yes No  
 HCUP Change Options  
 Change to Cancellation  
 Change to Correction

Document Type: 063 Asterisks (\*) indicate required fields

Figure 61: HCUP 004 Action Page Key Data Tab

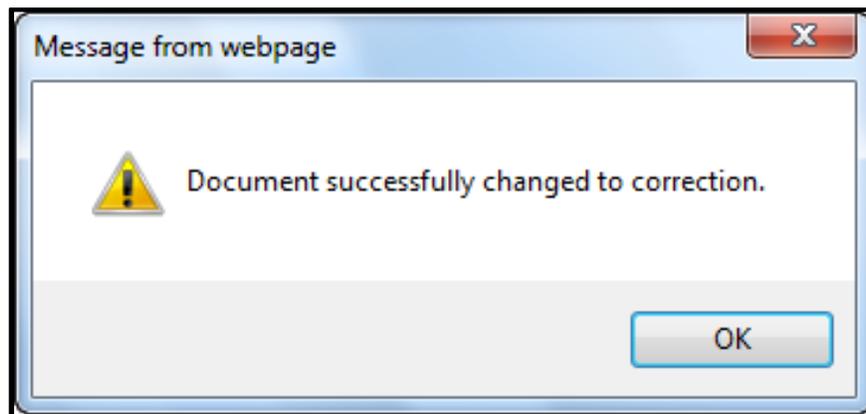
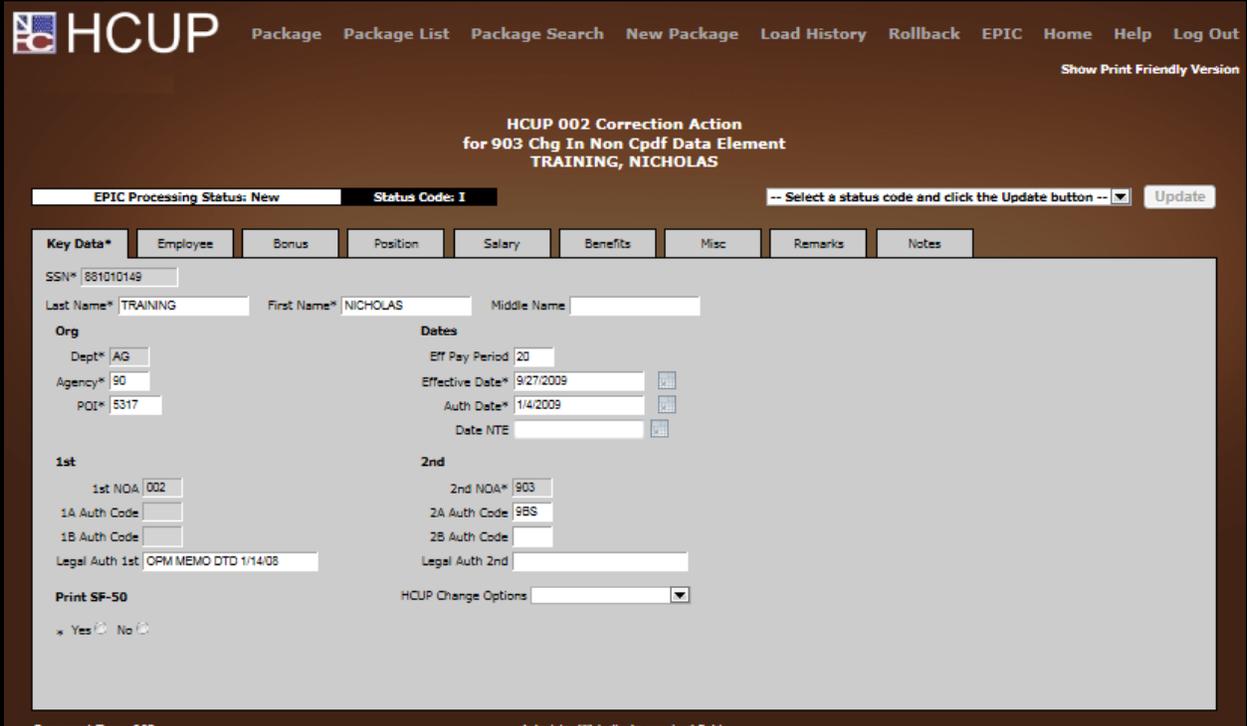


Figure 62: Pop-up Message

Step	Action
3.	Click <b>OK</b> . The action changes to an official correction with a first NOAC of 002.

Step	Action
	<p><b>NOTE:</b> You cannot change a 002 correction action back to a 004 replacement action; however, a 002 correction can be changed to a 001 cancellation. This feature prevents the releasing of a 004 replacement on which data fields were changed while it was a 002 correction. You are not permitted to change data fields on any window of a 004 replacement action.</p>



Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 Show Print Friendly Version

**HCUP 002 Correction Action**  
 for 903 Chg In Non Cpfd Data Element  
 TRAINING, NICHOLAS

EPIC Processing Status: New Status Code: I -- Select a status code and click the Update button -- Update

Key Data\* Employee Bonus Position Salary Benefits Misc Remarks Notes

SSN\* 881010149  
 Last Name\* TRAINING First Name\* NICHOLAS Middle Name\*  
 Org Dept\* AG Agency\* 90 POI\* 5317  
 Dates Eff Pay Period 20 Effective Date\* 9/27/2009 Auth Date\* 1/4/2009 Date NTE  
 1st 1st NOA 002 1A Auth Code 1B Auth Code Legal Auth 1st OPM MEMO DTD 1/14/08  
 2nd 2nd NOA\* 903 2A Auth Code 98S 2B Auth Code Legal Auth 2nd  
 Print SF-50 x Yes No  
 HCUP Change Options

Document Type: 063 Asterisks (\*) indicate required fields

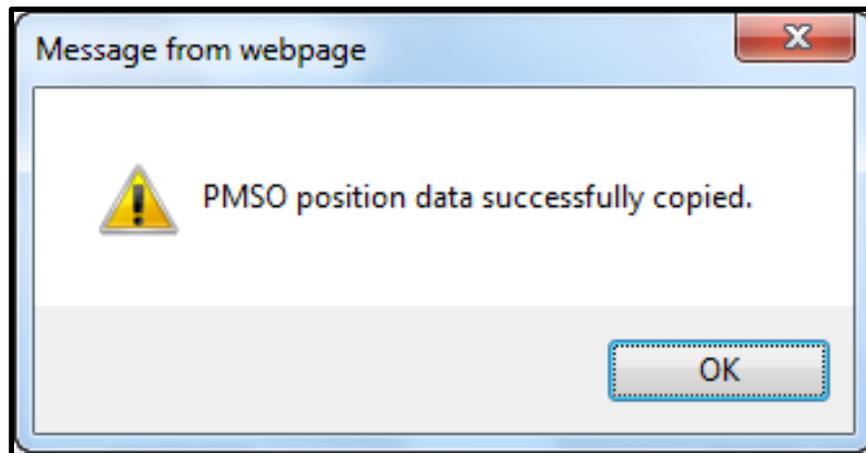
Figure 63: HCUP 002 Correction Action Page Key Data Tab

Step	Action
4.	Select the appropriate radio button in the <b>Print SF-50</b> field.
5.	Click the <b>Position</b> tab. The Position tab displays on the <b>HCUP 002 Correction Action</b> page.

Figure 64: HCUP 002 Correction Action Page Position Tab

Step	Action
6.	Enter the position classification code in the <b>Position Classification Code</b> field.
7.	Enter the position occupied code in the <b>Position Occupied</b> field. <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p><b>NOTE:</b> Codes 1 and 2 are system generated for all accession personnel actions based on the NOAC. This field must be 3 or 4 for SES employees.</p> <p>When changing this field, the position occupied code must be compatible with the type of appointment and tenure codes.</p> </div>
8.	Enter the special population code in the <b>Special Population Code</b> field.
<div style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> The PMSO key data fields must be identical to the PMSO key data element in PMSO, except for the position classification code, which is entered on the personnel action only.</p> </div>	

Step	Action
9.	Enter the employee's Department Code in the <b>Dept</b> field.
10.	Enter the employee's Agency Code in the <b>Agency</b> field.
11.	Enter the employee's POI in the <b>POI</b> field.
12.	Enter the grade for the position in the <b>Grade</b> field.
13.	Enter the master record number for the position in the <b>MR #</b> field.
14.	Enter the individual position number in the <b>IP #</b> field.  <div style="border: 1px solid red; padding: 5px; margin: 10px 0;"> <p><b>CAUTION:</b> This number must be different than the incumbent individual position number in PMSO. The position must be active and vacant in PMSO when an employee is being placed in the position.</p> </div>
15.	Click <b>Copy PMSO Data</b> . A pop-up message displays.



*Figure 65: Pop-Up Message*

Step	Action
16.	Click <b>OK</b> . The window populates with the relevant position data from PMSO.
17.	Click <b>Update Position Data</b> to register the changes to the Position tab. A pop-up message displays.

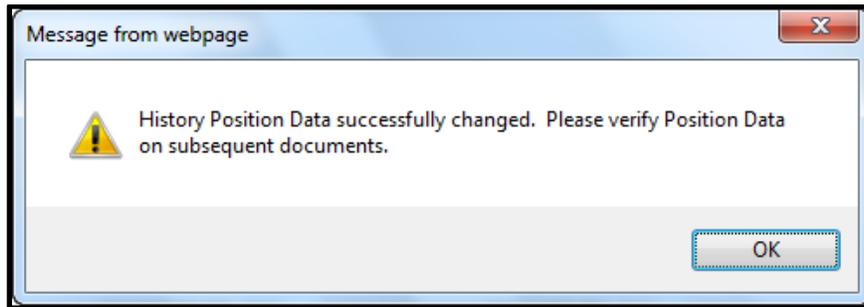


Figure 66: Pop-Up Message

Step	Action
18.	Click <b>OK</b> . Correct any subsequent actions to pull data from the new position into the Position tab of each action.
19.	Click the <b>Salary</b> tab. The Salary tab displays on the <b>HCUP 002 Correction Action</b> page.

**HCUP** Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 Show Print Friendly Version

**HCUP 002 Correction Action**  
 for 903 Chg In Non Cpfd Data Element  
 TRAINING, NICHOLAS

EPIC Processing Status: New Status Code: I -- Select a status code and click the Update button -- Update

Key Data\* Employee Bonus Position **Salary** Benefits Misc Remarks Notes

Pay Plan: GS-Class. Act 1949,as Amended Grade: 13 Step:   
 Pay Rate Determinant:  Pay Basis:  Basic Pay:   
 Verify Basic Pay:  Adjusted Basic Pay:  COLA/Post Differential:   
 Salary Share Code: 0 Work Schedule:  Tour of Duty Hours:   
 Date Service Year Starts:  SCD WGI:  Annuitant Share Amt:   
 Merit Increase:  Salary Share Amount:  Var Pt Reg Tod Pt Emp:   
 Coop: Overtime Rate:  Holiday Rate:   
 Retained Information: Pay Plan:  Grade:  Occ Series:   
 Occ Ser Func:  Rate Expd:   
 Quarters Deduction: Rate:  Appointment Limit: Dollar Total:  Hours Total:  Days Total:   
 Amount:  Dollar Balance:  Hours Balance:  Days Balance:

Document Type: 063 Asterisks (\*) indicate required fields

Figure 67: HCUP 002 Correction Action Page Salary Tab

Step	Action
20.	Select the appropriate pay plan from the <b>Pay Plan</b> drop-down list. <div data-bbox="415 396 1351 449" style="border: 1px solid black; padding: 2px;"> <b>TIP:</b> For a list of valid codes, see TMGT Table 025.           </div>
21.	Enter the grade for the position in the <b>Grade</b> field.
22.	Enter the step within the grade, level, class, rank, or pay band in the <b>Step</b> field.
23.	Select the pay rate determinant code from the <b>Pay Rate Determinant</b> drop-down list.
24.	Enter the pay basis in the <b>Pay Basis</b> field.
25.	Enter the scheduled salary amount in the <b>Basic Pay</b> field.
26.	Enter the scheduled salary amount in the <b>Verify Basic Pay</b> field, if the salary cannot be verified in TMGT. <div data-bbox="415 1041 1351 1136" style="border: 1px solid black; padding: 2px;"> <b>NOTE:</b> This field must be completed if the Basic Pay field is not table driven.           </div>
27.	Enter the appropriate code in the <b>COLA/Post Differential</b> field.
28.	Select the work schedule code from the <b>Work Schedule</b> drop-down list.
29.	Enter the scheduled number of hours an employee is to work per pay period in the <b>Tour of Duty Hours</b> field. <div data-bbox="415 1430 1351 1562" style="border: 1px solid black; padding: 2px;"> <b>NOTE:</b> This field must be completed for part-time work schedules. Leave this field blank for full-time and intermittent work schedules.           </div> <div data-bbox="415 1587 1351 1640" style="border: 1px solid black; padding: 2px;"> <b>TIP:</b> This field must be greater than one and less than 79.           </div>

Step	Action
30.	<p>Enter the date from which service is to be credited toward the employee's next within-grade salary increase in the <b>SCD WGI</b> field.</p> <div data-bbox="415 436 1349 682" style="border: 1px solid blue; padding: 5px;"> <p><b>NOTE:</b> This field must be completed when the employee is not in the top of the step. If previous Federal service is unknown, enter the effective date of the action.</p> <p>This field cannot be later than the effective date of the personnel action.</p> </div> <div data-bbox="415 709 1349 800" style="border: 1px solid yellow; padding: 5px;"> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> </div>
31.	<p>Enter the number of hours for a hypothetical full-time regular biweekly tour of duty that would apply to an employee on a part-time schedule if he or she were full-time, in the <b>Var Ft Reg Tod Pt Emp</b> field.</p>
32.	<p>Enter the hourly overtime rate for a cooperative type employee if the overtime rate is not based on the basic pay because the cooperator pays part of the overtime in the <b>Overtime Rate</b> field.</p>
33.	<p>Enter the hourly holiday rate for a cooperative type employee if the holiday rate is not based on the basic pay because the cooperator pays part of the overtime in the <b>Holiday Rate</b> field.</p> <div data-bbox="415 1293 1349 1472" style="border: 1px solid blue; padding: 5px;"> <p><b>NOTE:</b> Do not complete the <b>Overtime Rate</b> or <b>Holiday Rate</b> fields if the Agency has agreed to pay all overtime or holiday pay. Do not complete the <b>Holiday Rate</b> field for reemployed annuitants.</p> </div>
34.	<p>Click the <b>Misc</b> tab. The Misc tab on the <b>HCUP Package Insert Action</b> page displays.</p>

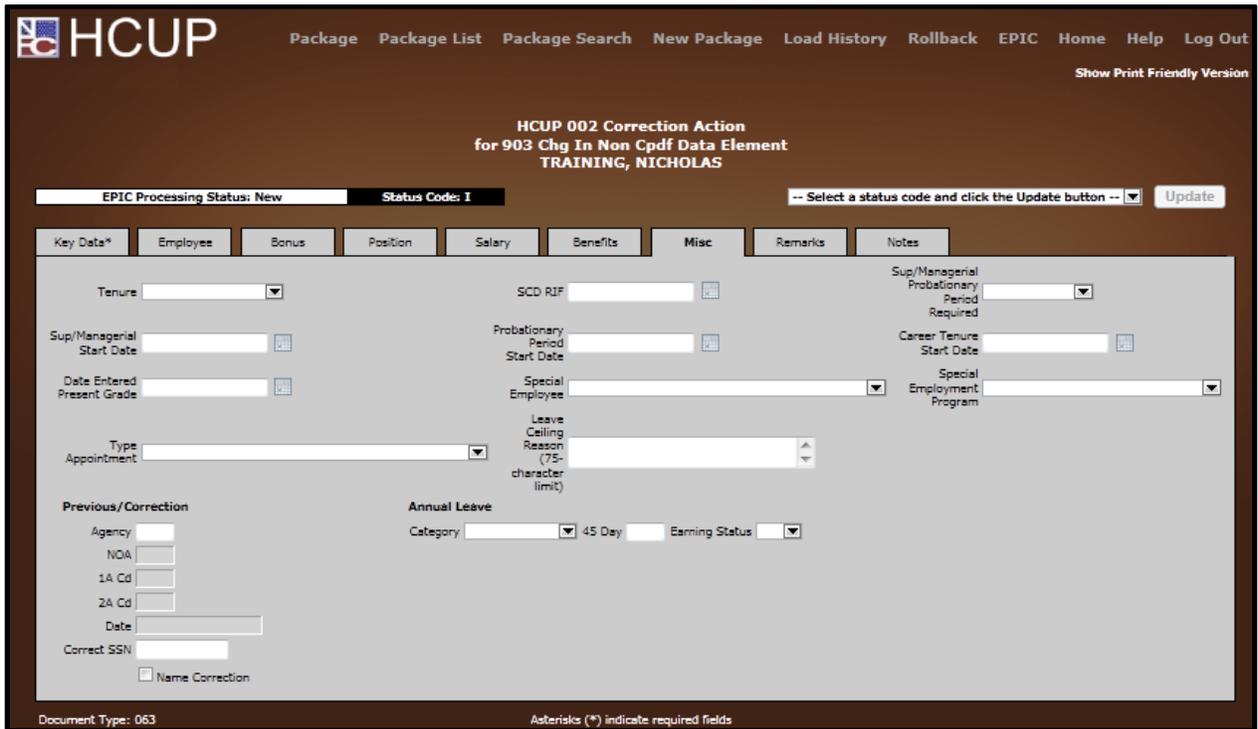


Figure 68: HCUP 002 Correction Action Page Misc Tab

Step	Action
35.	Select the appropriate code from the <b>Sup/Managerial Probationary Period Required</b> drop-down list.
36.	Enter the start date for the supervisor/managerial probationary period or for an SES probationary period in the <b>Sup/Managerial Start Date</b> field. <div data-bbox="407 1409 1344 1503" style="border: 1px solid yellow; padding: 5px; margin: 10px 0;"> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> </div> <div data-bbox="407 1514 1344 1692" style="border: 1px solid blue; padding: 5px; margin: 10px 0;"> <p><b>NOTE:</b> This field must not be later than the effective date of the personnel action. If previous service is unknown, enter the effective date of the action. The supervisory code must be 1 or 3 if this field contains a date.</p> </div>

Step	Action
37.	<p>Enter the beginning date of a one year probationary period in the <b>Probationary Period Start Date</b> field.</p> <div data-bbox="410 438 1343 716" style="border: 1px solid black; padding: 5px;"> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> <p>Complete this field when: tenure is coded 2 and the type of appointment is 01, for type of appointments 01-03 and 06-09. This field must be blank for tenure 0 or 1 and tenure 3 with type appointment 8.</p> </div>
38.	<p>Enter the date the employee was most recently assigned to the current grade in the <b>Date Entered Present Grade*</b> field.</p> <div data-bbox="410 848 1343 1041" style="border: 1px solid black; padding: 5px;"> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> <p>This field must be completed when the grade changes and for grade retention actions.</p> </div> <div data-bbox="410 1056 1343 1146" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field cannot be later than the effective date of the personnel action.</p> </div>
39.	<p>Select the appropriate code to identify if the employee belongs to a special category of pay processing not accommodated in any other portion of PPS in the <b>Special Employee</b> drop-down list.</p>
40.	<p>Select the appropriate code to identify if the employee belongs to special employment program in the <b>Special Employment Program</b> drop-down list.</p>
41.	<p>Enter the reason that the employee is allowed to have an annual leave ceiling higher than 240 hours in the <b>Leave Ceiling Reason (75-Character Limit)</b> field.</p>
42.	<p>Enter the appropriate code in the <b>Agency</b> field.</p>

Step	Action
43.	<p>Select the appropriate annual leave earning status from the <b>Category</b> drop-down list.</p> <div data-bbox="409 436 1343 573" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field must be completed for full-time and part-time employees who are eligible to earn annual leave and must be compatible with the SCD for leave.</p> </div>
44.	<p>Enter the appropriate code that identifies if the employee is stationed at an overseas foreign post of duty and is entitled to carry over one leave year to another for a maximum of 45 days annual leave accumulation in the <b>45 Day</b> field.</p> <div data-bbox="409 800 1343 936" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> Enter “Y” for foreign duty stations. You must adjust the annual leave ceiling at the end of the leave year, if applicable, when the employee returns from a foreign post.</p> </div>
45.	<p>Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.</p>
46.	<p>Click <b>Update</b>. A pop-up message displays.</p>

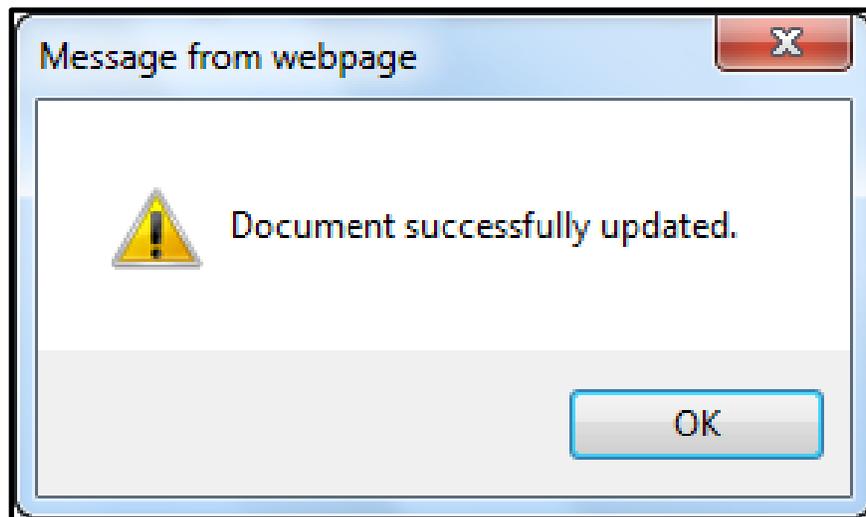


Figure 69: Pop-up Message

Step	Action
47.	Click <b>OK</b> .
48.	Click <b>HCUP Package</b> on the HCUP Menu Bar. The <b>HCUP Package</b> page displays.

#### *Exercise 4.4: Correcting a Subsequent Action*

##### **Description/Scenario**

The next action in the package is the 004 894 QWM effective 01/12/2014. This is a valid action with invalid data and will have to be officially corrected. All personnel data (i.e. salary, step, SCD WGI, date entered present grade) was obtained from the NOAC 894's corresponding history record. In this case, all personnel data must be corrected to reflect the data of the inserted 702 promotion dated 02/24/2013.

##### **Instructions**

Follow the steps in the table below to complete the exercise.

<b>Step</b>	<b>Action</b>	<b>Required Data</b>
1.	Click the applicable action to be corrected.	004 894 QWM
2.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
3.	Click <b>OK</b> .	
4.	Select the appropriate radio button in the <b>Print SF-50</b> field.	Yes
5.	Click the <b>Position</b> tab.	
6.	Enter the position classification code in the <b>Position Classification Code</b> field.	0
7.	Enter the employee's Department Code in the <b>Dept</b> field.	AG
8.	Enter the employee's Agency Code in the <b>Agency</b> field.	90
9.	Enter the employee's POI in the <b>POI</b> field.	5317
10.	Enter the grade for the position in the <b>Grade</b> field.	13
11.	Enter the master record number for the position in the <b>MR #</b> field.	E11XXX

Step	Action	Required Data
12.	Enter the individual position number in the <b>IP #</b> field.	E1100XXX
13.	Click <b>Copy PMSO Data</b> .	
14.	Click <b>OK</b> .	
15.	Click <b>Update Position Data</b> .	
16.	Click <b>OK</b> .	
17.	Click the <b>Salary tab</b> .	
18.	Enter the step within the grade, level, class, rank, or pay band in the <b>Step</b> field.	04
19.	Enter the scheduled salary amount in the <b>Basic Pay</b> field.	79630
20.	Enter the scheduled salary amount in the <b>Verify Basic Pay</b> field.	79630
21.	Enter the <b>SCD WGI Date</b>	02/24/2013
22.	Click the <b>Misc.</b> tab.	
23.	Select the appropriate code from the <b>Sup/Managerial Probationary Period Required</b> drop-down list.	2-Served
24.	Enter the date the employee was most recently assigned to the current grade in the <b>Date Entered Present Grade</b> field.	02/24/2013
25.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
26.	Click <b>Update</b> .	
27.	Click <b>OK</b> .	

Step	Action	Required Data
28.	Click <b>Package</b> on the HCUP Menu Bar.	

*Exercise 4.5: Correcting a Subsequent Action*

**Description/Scenario**

The next subsequent action, 903, Change in non-CPDF Data Element, effective 02/09/2014 is a valid action with incorrect data. This action must be officially corrected in order to correct field data and to allow corrected and new data from previous actions to flow through the HCUP package. If left as a 004, the SCD WGI date would be 04/07/2013 and the Date Entered Present Grade would be 04/22/2001 from the employee's last promotion as recorded in PERHIS. The PMSO data for the promotion action must be updated to this record as well as new salary information.

**Instructions**

Follow the steps in the table below to complete the exercise.

<b>Step</b>	<b>Action</b>	<b>Required Data</b>
1.	Click the applicable action to be corrected.	004 903 9BS
2.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
3.	Click <b>OK</b> .	
4.	Select the appropriate radio button in the <b>Print SF-50</b> field.	Yes
5.	Click the <b>Position</b> tab.	
6.	Enter the position classification code in the <b>Position Classification Code</b> field.	0
7.	Enter the employee's Department Code in the <b>Dept</b> field.	AG
8.	Enter the employee's Agency Code in the <b>Agency</b> field.	90
9.	Enter the employee's POI in the <b>POI</b> field.	5317
10.	Enter the grade for the position in the <b>Grade</b> field.	13

Step	Action	Required Data
11.	Enter the master record number for the position in the <b>MR #</b> field.	E11XXX
12.	Enter the individual position number in the <b>IP #</b> field.	E1100XXX
13.	Click <b>Copy PMSO Data</b> .	
14.	Click <b>OK</b> .	
15.	Click <b>Update Position Data</b> .	
16.	Click <b>OK</b> .	
17.	Click the <b>Salary</b> tab.	
18.	Enter the step within the grade, level, class, rank, or pay band in the <b>Step</b> field.	04
19.	Select the appropriate code from the <b>Pay Rate Determinant</b> drop-down list.	0
20.	Enter the scheduled salary amount in the <b>Basic Pay</b> field.	79630
21.	Enter the scheduled salary amount in the <b>Verify Basic Pay</b> field.	79630
22.	Enter the date from which service is to be credited toward the employee's next within-grade salary increase in the <b>SCD WGI</b> field.	02/24/2013
23.	Click the <b>Misc</b> tab.	
24.	Select the appropriate code from the <b>Sup/Managerial Probationary Period Required</b> drop-down list.	2-Served

Step	Action	Required Data
25.	Enter the date the employee was most recently assigned to the current grade in the <b>Date Entered Present Grade</b> field.	02/24/2013
26.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
27.	Click <b>Update</b> .	
28.	Click <b>OK</b> .	
29.	Click <b>Package</b> on the HCUP Menu Bar.	

## Inserting an Action within a HCUP Package

Now let's learn about inserted subsequent actions within HCUP packages. An inserted action in HCUP is an EPIC personnel action in every respect. You are given a document with empty data fields to complete. Required windows and fields are marked with an asterisk. Required remarks codes are generated for insert actions. You must enter the current processing pay period and address other fields, such as authority code and legal authority. Additional fields may be required based on Agency guidelines.

The following procedure explains how to insert subsequent actions that are not starting actions.



HCUP Package for NICHOLAS TRAINING

Package Status: Incomplete

SSN=881010149, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency POI Use	Last Changed Date
002			894	QWM	ZLM	1/3/2010	12/23/2009	New	R	EWEB			90 5317 TD149	7/8/2013
002			903	985		9/27/2009	1/4/2009	New	R	EWEB			90 5317 TD149	7/8/2013
001	ATM		893	Q7M		4/12/2009	4/11/2009	New	R	EWEB			90 5317 TD149	7/8/2013
702						3/1/2009	2/27/2009	New	R	STRT			90 5317 TD149	7/8/2013

Figure 70: HCUP Package Page Insert New Action

Step	Action
1.	Select <b>Insert New Action</b> from the <b>Select a package action</b> drop-down list.
2.	Click <b>Submit</b> . The <b>HCUP Insert Action</b> page displays.

Figure 71: HCUP Insert Action Page

Step	Action
3.	Select the applicable NOAC from the <b>1<sup>st</sup> NOA Code</b> drop-down list.
4.	Enter the effective date for the NOAC you are inserting in the <b>Effective Date</b> field.
5.	Enter the authentication date for the NOAC you are inserting in the <b>Auth Date</b> field.
6.	Enter the Agency Code of the employee's current employing Agency according to IR522 into the <b>Insert Agency</b> field.
7.	Enter the POI of the employee's current POI according to IR522 into the <b>Insert POI</b> field.
8.	Click <b>OK</b> . The <b>HCUP Package</b> page displays with the newly inserted action.

01 AM

**HCUP Package for RITA TRAINING**

Package Status: Incomplete -- Select a package action --

SSN=881010002, Agency=90, POI=5317 Number of Actions in Package: 7

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/ Starting Action	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004			894	QWM	ZLM	1/11/2015	12/19/2014	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
849						3/9/2014	3/7/2014	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
004			903	Z00		2/9/2014	2/7/2014	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
004			894	QWM	ZLM	1/12/2014	12/23/2013	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
004			893	Q7M		4/7/2013	4/6/2013	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
004			893	Q7M		4/7/2013	4/6/2013	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
702						2/24/2013	2/22/2013	New	1	STRT			90	5317	TD002	7/13/2015	TD002	7/13/2015

Figure 72: HCUP Package Page

Step	Action
9.	Click the newly inserted action. The Key Data tab on the <b>HCUP Package Insert Action</b> page displays.

**HCUP** Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
WEBAPP21: 7/13/2015 - 11:08 AM Show Print Friendly Version

**HCUP Package Insert Action  
for 849 Individual Cash Award NRB  
TRAINING, RITA**

EPIC Processing Status: New Status Code: 1 -- Select a status code and click the Update button --

Key Data\* Award\* Remarks Notes

SSN\* 881010002

Last Name\* TRAINING First Name\* RITA Middle Name\*

Org

Dept\* AG Eff Pay Period\*

Agency\* 90 Effective Date\* 3/9/2014

POI\* 5317 Auth Date\* 3/7/2014

1st

1st NOA\* 849 2nd

1A Auth Code  2A NOA

1B Auth Code  2A Auth Code

Legal Auth 1st  Legal Auth 2nd

Print SF-50

Yes  No

Document Type: 110 Asterisks (\*) indicate required fields

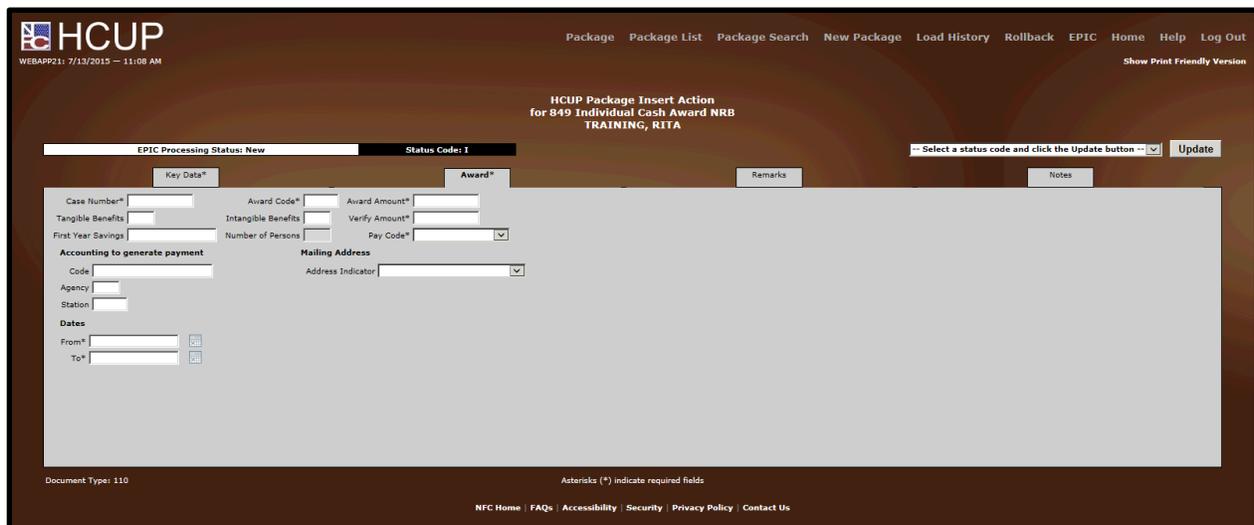
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Figure 73: HCUP Package Insert Action Page Key Data Tab

Step	Action
10.	Enter the pay period which the personnel action is entered in the <b>Eff Pay Period*</b> field.

Step	Action
11.	<p>Enter the effective date for the personnel action in the <b>Effective Date*</b> field.</p> <p><b>TIP:</b> Alternatively, click the calendar icon to select the applicable date.</p> <p><b>TIP:</b> The effective date is determined by an authorized official of the Agency’s personnel office.</p> <p><b>NOTE:</b> When you process more than one personnel action during the same processing pay period, and the actions are not entered in sequence according to the effective dates, the system will automatically rollback any actions not in sequential order. The rollback process is discussed further in Chapter <b>Error! Reference source not found. Error! Reference source not found.</b></p>
12.	<p>Enter the authentication date for the personnel action in the <b>Auth Date*</b> field.</p> <p><b>TIP:</b> Alternatively, click the calendar icon to select the applicable date.</p> <p><b>TIP:</b> The authentication date is assigned by the authorizing personnel official within each Agency’s personnel office.</p> <p><b>NOTE:</b> If two actions are entered with identical effective dates in the same pay period, the system sorts them based on the authentication date.</p>
13.	<p>Enter the first authority code for the first NOAC in the <b>1A Auth Code</b> field.</p> <p><b>TIP:</b> For Federal pay increases, enter QWM.</p>
14.	<p>Enter the second authority code for the first NOAC in the <b>1B Auth Code</b> field.</p> <p><b>TIP:</b> If the authority code is YAM or Y1M, the occupational series code must be 0099. If the authority code is WVM or ZVM, the occupational series code must be 3506.</p>

Step	Action
15.	Enter the description of the law, executive order, regulation, rule, or other basis that authorizes the personnel action in the <b>Legal Auth 1<sup>st</sup></b> field.  <div style="border: 1px solid yellow; padding: 5px; margin: 5px 0;"> <b>TIP:</b> For Federal pay increases, enter the regulation and the EON.           </div> <div style="border: 1px solid blue; padding: 5px; margin: 5px 0;"> <b>NOTE:</b> Agencies with special authorities must use the Agency-cited authority.           </div>
16.	<div style="border: 1px solid blue; padding: 5px;"> <b>NOTE:</b> The <b>2nd NOA</b>, <b>2A Auth Code</b>, and <b>2B Auth Code</b> fields are system generated from the original personnel action that was corrected or cancelled.           </div>
17.	Enter the description of the law, executive order, regulation, rule, or other basis that authorizes the personnel action in the <b>Legal Auth 2<sup>nd</sup></b> field.
18.	Click the <b>Award*</b> tab. The Award tab on the <b>HCUP Package Insert Action</b> page displays.



Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 WEBAPP21: 7/13/2015 -- 11:08 AM Show Print Friendly Version

**HCUP Package Insert Action**  
 for 849 Individual Cash Award NRB  
 TRAINING, RITA

EPIC Processing Status: New      Status Code: 1      -- Select a status code and click the Update button --      Update

Key Data\*      Award\*      Remarks      Notes

Case Number\*      Award Code\*      Award Amount\*  
 Tangible Benefits      Intangible Benefits      Verify Amount\*  
 First Year Savings      Number of Persons      Pay Code\*

**Accounting to generate payment**      **Mailing Address**  
 Code      Address Indicator  
 Agency      Station  
**Dates**  
 From\*      To\*

Document Type: 110      Asterisks (\*) indicate required fields  
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Figure 74: HCUP Package Insert Action Page Salary Tab

Step	Action
19.	Enter the Agency assigned cash award case number in the <b>Case Number*</b> field.

Step	Action
20.	Enter the appropriate award code in the in the <b>Award Code*</b> field.
21.	Enter the amount of the award in the <b>Award Amount*</b> field.
22.	Enter “1” in the <b>Tangible Benefits</b> field, if the award is based on tangible benefits, otherwise move to the next field.
23.	Enter “1” in the <b>Intangible Benefits</b> field if the value of the cash award is based on intangible benefits.
24.	Enter the amount of the award in the <b>Verify Amount*</b> field.
25.	<p>Enter the amount of first year savings, as a result of implementing the suggestion, in the <b>First Year Savings</b> field.</p> <div data-bbox="415 898 1349 989" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field is required for tangible benefits only. This field is required for awards that save an awarding Agency money.</p> </div>
26.	<p>Enter the number of people included in the award in the <b>Number of Persons</b> field.</p> <div data-bbox="415 1136 1349 1184" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field is unavailable for individual awards.</p> </div>
27.	<p>Select the appropriate action from the <b>Pay Code*</b> drop-down list.</p> <div data-bbox="415 1287 1349 1640" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> Valids values include:</p> <p><b>Process Award</b> – issue payment if applicable, update W-2, update Earnings &amp; Leave Statement, updates IRIS/PING/Reporting Center, updates SF-50b.</p> <p><b>Document Award</b> – updates IRIS/PINQ/Reporting Center and SF-50b. Use this option if payment has already been issued by NFC Manual Pay/SPPS.</p> </div>

Step	Action
28.	<p>Enter the accounting code in the <b>Code</b> field.</p> <div data-bbox="418 401 1349 657" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> The accounting code can be validated against the Management Accounting Structure Codes (MASC) system. The proper accounting format can be found on PQ046. Combine the following fields in the listed order to verify the accounting code: <b>ACCTG-DIST-FISC-YR-CD</b>, <b>ACCTG-DIST-APPN-CD</b>, and <b>ACCTG-DIST-SUB-LVE-CD</b>.<sup>2</sup></p> </div>
29.	<p>Enter the Agency Code for the Agency granting the award in the <b>Agency</b> field.</p> <div data-bbox="418 804 1349 1087" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> For USDA Agencies, complete the code field only to generate a payment.</p> <p>For USDA Agencies, if another Agency is granting the award, process the personnel action pay code as Document Award and submit through SPPS Web with Agency and the accounting code of the granting Agency to NFC for payment.</p> </div>
30.	<p>Enter the accounting station code that is charged for the payment, in the case the employing Agency is not charged, in the <b>Station</b> field.</p>
31.	<p>Select the appropriate address indicator from the <b>Address Indicator</b> drop-down list.</p> <div data-bbox="418 1352 1349 1440" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> If option 1, 3, or 4 is selected, address fields display below the drop-down list. Complete these fields as necessary.</p> </div>
32.	<p>Enter the beginning date of the period covered by the award in the <b>From*</b> field.</p> <div data-bbox="418 1587 1349 1675" style="border: 1px solid black; padding: 5px;"> <p><b>TIP:</b> Alternatively, click the calendar icon to select the applicable date.</p> </div>

<sup>2</sup> The Forest Service includes the **ACCT-STATION-CD** field at the end of its accounting code.

Step	Action
33.	Enter the ending date of the period covered by the award in the <b>To*</b> field. <div style="border: 1px solid yellow; padding: 5px; margin: 5px 0;"> <b>TIP:</b> Alternatively, click the calendar icon to select the applicable date.         </div>
34.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.
35.	Click <b>Update</b> . A pop-up message displays.

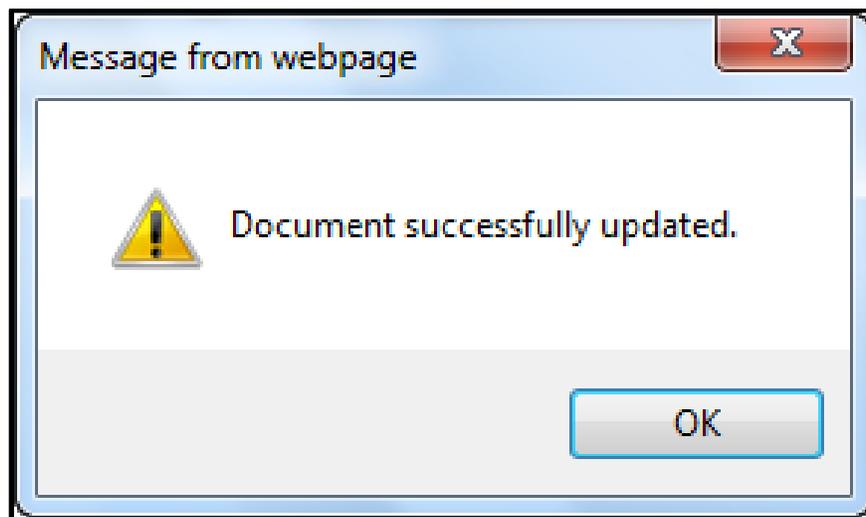


Figure 75: Pop-up Message

Step	Action
36.	Click <b>OK</b> .
37.	Click <b>HCUP Package</b> on the HCUP Menu Bar. The <b>HCUP Package</b> page displays with the released inserted action.

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**HCUP Package for RITA TRAINING**

Package Status: Incomplete -- Select a package action --

SSN=881010002, Agency=90, POI=5317 Number of Actions in Package: 7

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/ Starting Action	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004			894	QWM	ZLM	1/11/2015	12/19/2014	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
849						3/9/2014	3/7/2014	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
004			903	Z00		2/9/2014	2/7/2014	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
004			894	QWM	ZLM	1/12/2014	12/23/2013	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
004			893	Q7M		4/7/2013	4/6/2013	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
004			893	Q7M		4/7/2013	4/6/2013	New	1	EWEB			90	5317	TD002	7/13/2015	TD002	7/13/2015
702						2/24/2013	2/22/2013	New	1	STRT			90	5317	TD002	7/13/2015	TD002	7/13/2015

Figure 76: HCUP Package Page

*Exercise 4.6: Inserting a Subsequent Action*

**Description/Scenario**

Due to the employee working on a special project, you must add a newly required personnel action, NOA 849, an Individual Cash Award NRB effective 03/09/2014, to the HCUP package. .

**Instructions**

Follow the steps in the table below to complete the exercise.

<b>Step</b>	<b>Action</b>	<b>Required Data</b>
1.	Select <b>Insert New Action</b> from the <b>Select a package action</b> drop-down list.	
2.	Click <b>Submit</b> .	
3.	Select the applicable NOAC from the <b>1<sup>st</sup> NOA Code</b> drop-down list.	849 Individual Cash Award
4.	Enter the effective date for the NOAC you are inserting in the <b>Effective Date</b> field.	03/09/2014
5.	Enter the authentication date for the NOAC you are inserting in the <b>Auth Date</b> field.	03/07/2014
6.	Insert <b>Agency Code</b> .	90
7.	Insert <b>POI</b> .	5317
8.	Click <b>OK</b> .	
9.	Click the <b>849</b> newly inserted action within the HCUP package.	
10.	Enter the pay period which the personnel action is entered in the <b>Eff Pay Period*</b> field.	05

Employees are granted awards as determined by their employing Agency. There are two types of awards that can be granted to an employee:

- **Tangible:** Given to an employee as a result of their actions saving the Agency noticeable savings.
- **In-tangible:** Given to an employee for additional circumstances

Awards are granted to employees as determined by their Agency. All awards are processed as personnel actions in EPIC; however the award amount is always paid through ADJP.

Step	Action	Required Data
11.	Click the <b>Award*</b> tab.	
12.	Enter the Agency assigned cash award case number in the <b>Case Number*</b> field.	00000xxx
13.	Enter the appropriate award code in the in the <b>Award Code*</b> field.	C012
14.	Enter the amount of the award in the <b>Award Amount*</b> field.	2500
15.	Enter “1” in the <b>Intangible Benefits</b> field.	1
16.	Enter the amount of the award in the <b>Verify Amount*</b> field.	2500
17.	Select the appropriate action from the <b>Pay Code*</b> drop-down list.	1-Document Award
18.	Enter the beginning date of the period covered by the award in the <b>From*</b> field.	01/01/2013
19.	Enter the ending date of the period covered by the award in the <b>To*</b> field.	12/31/2013

Step	Action	Required Data
20.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
21.	Click <b>Update</b> .	
22.	Click <b>OK</b> .	
23.	Click <b>Package</b> on the HCUP Menu Bar.	

### Exercise 4.7: Correcting a Subsequent Action

#### Description/Scenario

The next subsequent action in the package is a 004 894 QWM ZLM effective 01/11/2015. This is a valid action with invalid data and will have to be officially corrected.

All personnel data (i.e. Salary, Step, SCD WGI, and Date Entered Present Grade) is obtained from the NOAC 894's corresponding history record. In this case all personnel data must be corrected to reflect the data of the inserted 702 promotion dated 02/24/2013.

#### Instructions

Follow the steps in the table below to complete the exercise.

Step	Action	Required Data
1.	Click on the applicable action to be corrected.	004 894 QWM ZLM
2.	Select the applicable change from <b>the HCUP Change Option</b> drop-down list.	Change to a Correction
3.	Click <b>OK</b> .	
4.	Select the appropriate radio button in the <b>Print SF-50</b> field.	Yes
5.	Click the <b>Position</b> tab.	
6.	Enter the position classification code in the <b>Position Classification Code</b> field	0
7.	Enter the employ's Department Code in the <b>Dept.</b> field	AG
8.	Enter the employee's Agency Code in the <b>Agency</b> field.	90

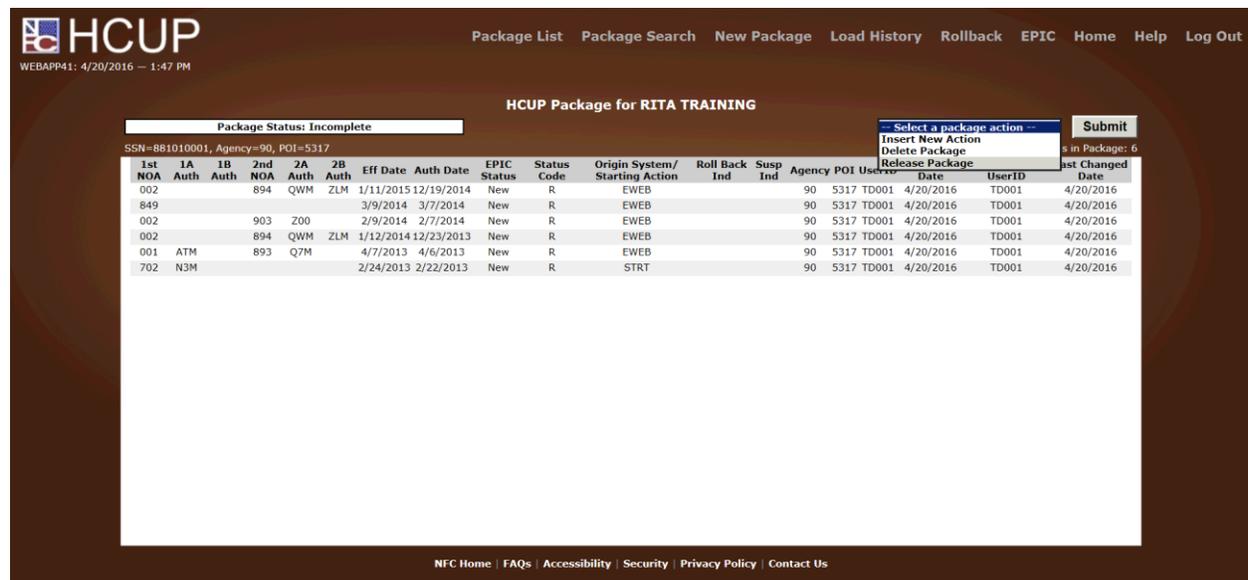
<b>Step</b>	<b>Action</b>	<b>Required Data</b>
9.	Enter the employee's POI in the <b>POI</b> field.	5317
10.	Enter the grade for the position in the <b>Grade</b> field.	13
11.	Enter the master record number for the position in the <b>MR#</b> field.	E11XXX
12.	Enter the individual position number in the <b>IP#</b> field.	E1100XXX
13.	Click <b>Copy PMSO Data</b> .	
14.	Click <b>OK</b> .	
15.	Click <b>Update Position Data</b> .	
16.	Click <b>OK</b> .	
17.	Click the <b>Salary Tab</b> .	
18.	Enter the step within the grade, level, class, rank, or pay band in the <b>Step</b> field.	04
19.	Enter the scheduled salary amount in the <b>Basic Pay</b> field.	80426
20.	Enter the scheduled salary amount in the <b>Verify Basic Pay</b> field.	80426
21.	Enter the SCD WGI Date in the <b>SCD WGI Date</b> field.	02/24/2013
22.	Click the <b>Misc. Tab</b> .	
23.	Select the appropriate code from the <b>Sup/Managerial Probationary Period Required</b> drop-down list.	2-Served
24.	Enter the date the employee was most recently assigned to the current grade in the <b>Date Entered Present Grade</b> field.	02/24/2013

Step	Action	Required Data
25.	Select the applicable status code from the <b>Select a status code and click the Update</b> button drop-down list.	R-Release for Processing
26.	Click <b>Update</b> .	
27.	Click <b>OK</b> .	
28.	Click <b>Package</b> on the HCUP Menu Bar.	
29.	Select the applicable status code from the <b>Select a package action</b> drop-down list.	R-Release Package
30.	Click <b>Submit</b> .	
31.	Click <b>OK</b> .	
32.	Click <b>Package List</b> on the HCUP Menu Bar.	

## Releasing a HCUP Package

Now that you have learned how to address all subsequent actions, you must release the HCUP package for PINE processing. The procedure below guides you through the steps necessary to release a HCUP package.

Step	Action
1.	Select Release Package from the <b>Select a package action</b> drop-down list.



The screenshot shows the 'HCUP Package for RITA TRAINING' page. At the top, it indicates 'Package Status: Incomplete'. Below this, there is a table with columns for various attributes including NOA, Auth, Eff Date, Auth Date, EPIC Status, Status Code, Origin System/Starting Action, Roll Back Ind, Susp Ind, Agency, POI, User, Date, and User ID. A dropdown menu is open over the table, showing options: 'Select a package action', 'Insert New Action', 'Delete Package', and 'Release Package'. A 'Submit' button is visible to the right of the dropdown.

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency	POI	User	Date	User ID	Last Changed Date
002			894	QWM	ZLM	1/11/2015	12/19/2014	New	R	EWEB			90	5317	TD001	4/20/2016	TD001	4/20/2016
849						3/9/2014	3/7/2014	New	R	EWEB			90	5317	TD001	4/20/2016	TD001	4/20/2016
002			903	Z00		2/9/2014	2/7/2014	New	R	EWEB			90	5317	TD001	4/20/2016	TD001	4/20/2016
002			894	QWM	ZLM	1/12/2014	12/23/2013	New	R	EWEB			90	5317	TD001	4/20/2016	TD001	4/20/2016
001	ATM		893	Q7M		4/7/2013	4/6/2013	New	R	EWEB			90	5317	TD001	4/20/2016	TD001	4/20/2016
702	N3M					2/24/2013	2/22/2013	New	R	STRT			90	5317	TD001	4/20/2016	TD001	4/20/2016

Figure 77: HCUP Package Page - Release Package Status

Step	Action
2.	Click <b>Submit</b> . A pop-up message displays.

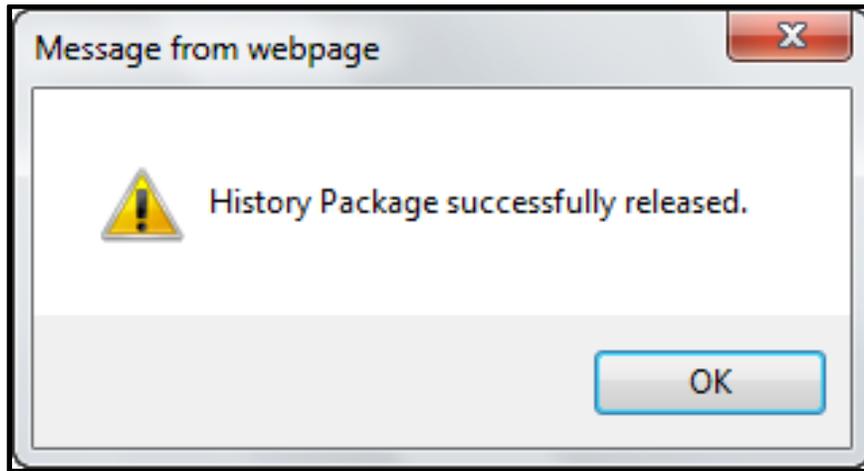
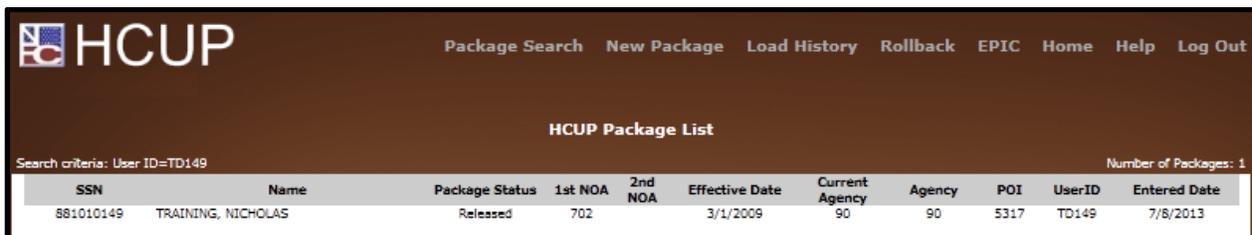


Figure 78: Pop-up Message

Step	Action
3.	Click <b>OK</b> . The HCUP package is released.
4.	Click <b>Package List</b> on the HCUP Menu Bar. The HCUP package status shows released.



SSN	Name	Package Status	1st NOA	2nd NOA	Effective Date	Current Agency	Agency	POI	UserID	Entered Date
881010149	TRAINING, NICHOLAS	Released	702		3/1/2009	90	90	5317	TD149	7/8/2013

Figure 79: HCUP Package List Page

## 4.7. Chapter Review

### *Knowledge Check*

1. Name the three main types of starting actions.

---

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2. True or False:

\_\_\_\_\_ A. Once you create and release a starting action, the HCUP package is completed and released for PINE processing.

\_\_\_\_\_ B. HCUP allows you to correct, cancel, and insert new actions in a HCUP package.

\_\_\_\_\_ C. The starting action is the earliest personnel action you want to affect within an employee's personnel history.

### *Chapter Summary*

Having completed this chapter, you are now able to:

- Access HCUP
- Navigate to each of the HCUP screens
- Summarize the definition of a starting action
- Create and release an initial starting action of a HCUP package
- Correct, cancel, and insert subsequent actions
- Release a HCUP package

## 5.0. Cancellation Actions

---

### 5.1. Chapter Overview

This chapter introduces and explains the concept of cancellation actions as starting actions within HCUP packages, including cancellations to accession, exception, and separation actions. This chapter also guides users through procedures for processing cancellation actions as starting actions.

#### *Chapter Objectives*

By the end of this chapter, you will be able to:

- Explain the purpose of cancellation actions within HCUP
- Describe how HCUP is used to cancel accession, exception, and separation actions
- Execute cancellation actions within HCUP

### **5.3. Cancellations as Starting Actions**

#### *Lesson Overview*

This lesson provides an introduction to cancellations as starting actions within HCUP packages. It also provides procedures for processing a cancellation action as a starting action.

#### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Provide examples of cancellations as starting actions within HCUP packages
- Explain the steps necessary to initiate a cancellation action as a starting action
- Create and release HCUP packages that have cancellation starting actions

#### **Introduction to Cancellations**

Now that we have learned about starting actions within HCUP packages, you will now learn about cancellations, the first type of starting actions. Remember that a starting action is the earliest personnel action you want to affect within an employee's personnel history.

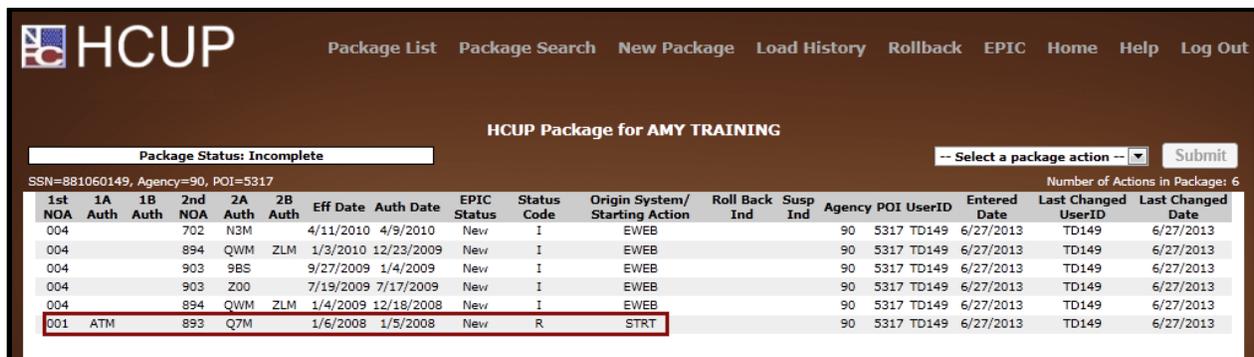
A cancellation action is an official action that:

- Rescinds an earlier action that was improper,
- Rescinds an earlier action that was proper but contains references to improper data, or
- Rescinds an earlier action that contains inappropriate or erroneous remarks that should not have been recorded.

In particular, we will examine the following types of cancellation actions:

Action	Description
<b>Accession</b>	A personnel action that results in the addition of an employee to the rolls of an Agency.
<b>Exception</b>	A personnel action that is processed at any time without regard to effective dates.
<b>Separation</b>	A personnel action that results in the removal of an employee from the rolls of an Agency.

Similar to the starting action exercise in Chapter 4.0 HCUP Access and Navigation Concepts, starting a HCUP package with a cancellation sets up the package with a first NOAC of 001, with OPM Authority Code ATM, and the second NOAC of the selected action (i.e. 001 ATM 893 Q7M). Refer to Figure 80: HCUP Package Page for an example.



HCUP Package for AMY TRAINING

Package Status: Incomplete

SSN=881060149, Agency=90, POI=5317

Number of Actions in Package: 6

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency POI	User ID	Entered Date	Last Changed User ID	Last Changed Date
004			702	N3M		4/11/2010	4/9/2010	New	I	EWEB			90	5317 TD149	6/27/2013	TD149	6/27/2013
004			894	QWM	ZLM	1/3/2010	12/23/2009	New	I	EWEB			90	5317 TD149	6/27/2013	TD149	6/27/2013
004			903	9BS		9/27/2009	1/4/2009	New	I	EWEB			90	5317 TD149	6/27/2013	TD149	6/27/2013
004			903	Z00		7/19/2009	7/17/2009	New	I	EWEB			90	5317 TD149	6/27/2013	TD149	6/27/2013
004			894	QWM	ZLM	1/4/2009	12/18/2008	New	I	EWEB			90	5317 TD149	6/27/2013	TD149	6/27/2013
001	ATM		893	Q7M		1/6/2008	1/5/2008	New	R	STRT			90	5317 TD149	6/27/2013	TD149	6/27/2013

Figure 80: HCUP Package Page

In the procedure below, you learn how to process a cancellation as the starting action within a HCUP package:

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar. The <b>New HCUP Package Employee Selection</b> page displays.

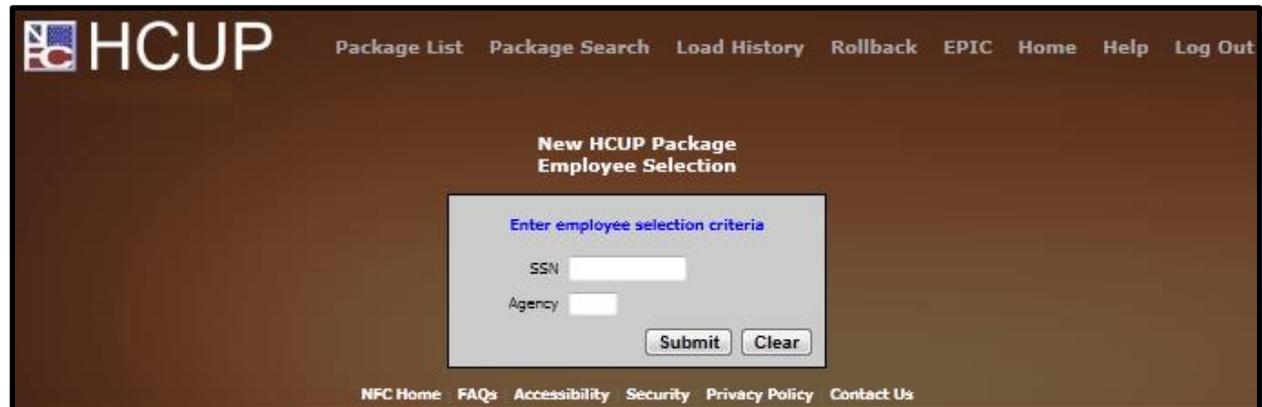


Figure 81: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee's social security number into the <b>SSN</b> field.
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.
4.	Click <b>Submit</b> . The <b>New HCUP Package History List</b> page displays for the selected employee.

**IMPORTANT:** You cannot start a HCUP package if one already exists for the employee, including Pending HCUP packages. To have the Pending package deleted, contact NFC's Contact Center at 1-855-NFC4GOV (1-855-632-4468).


 Package List | Package Search | New Package | Load History | Rollback | EPIC | Home | Help | Log Out

**New HCUP Package  
History List for SARAH TRAINING**

SSN=881040105, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed Date	Click a button to start the package		
000			894	QWM	ZLM	1/11/2015	12/19/2014			HIST			90	5317	BEAR60	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			840			12/12/2014	12/12/2014			HIST			90	5317	NP839E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			849			9/7/2014	9/7/2014			HIST			90	5317	NP063E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			790	UNM		6/16/2014	6/16/2014			HIST			90	5317	NP430	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			893	Q7M		6/15/2014	6/14/2014			HIST			90	5317	BEAR10	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			840			3/23/2014	3/24/2014			HIST			90	5317	NFC021M	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			894	QWM	ZLM	1/12/2014	12/23/2013			HIST			90	5317	BEAR60	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			893	Q7M		6/2/2013	6/1/2013			HIST			90	5317	NFC001M	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			840			11/20/2012	11/20/2012			HIST			90	5317	NP088E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			790	UNM		10/7/2012	10/5/2012			HIST			90	5317	NP063	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			893	Q7M		5/6/2012	5/5/2012			HIST			90	5317	BEAR10	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			721	N3M		8/28/2011	8/30/2011			HIST			90	5317	NP1025	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			903	Z00		8/28/2011	8/26/2011			HIST			90	5317	BEAR10	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			790	UNM		6/5/2011	6/5/2011			HIST			90	5317	PMSO999	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			702	N6M		5/8/2011	4/25/2011			HIST			90	5317	NP1025	3/27/2015	3/27/2015	Insert	Correct	Cancel
000			849			12/19/2010	12/28/2010			HIST			90	5317	NP0050	3/27/2015	3/27/2015	Insert	Correct	Cancel

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Figure 82: New HCUP Package History List Page

Step	Action
5.	Click <b>Cancel</b> on the action to be cancelled. The <b>HCUP Package</b> page displays with a pop-up message.

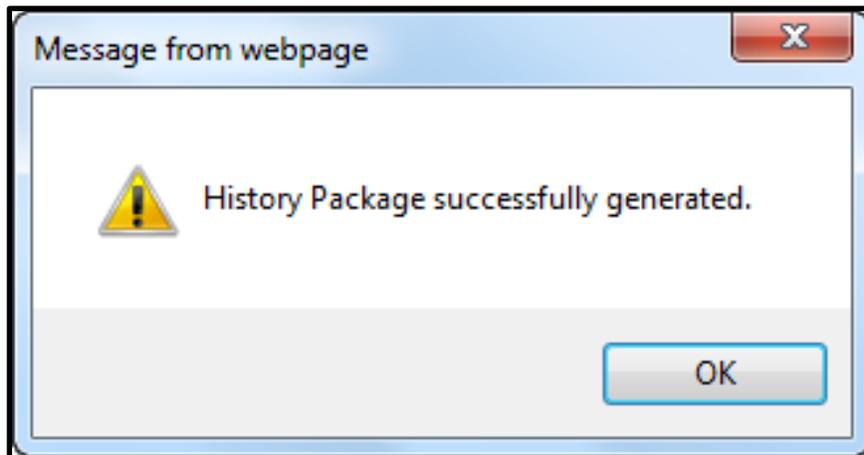
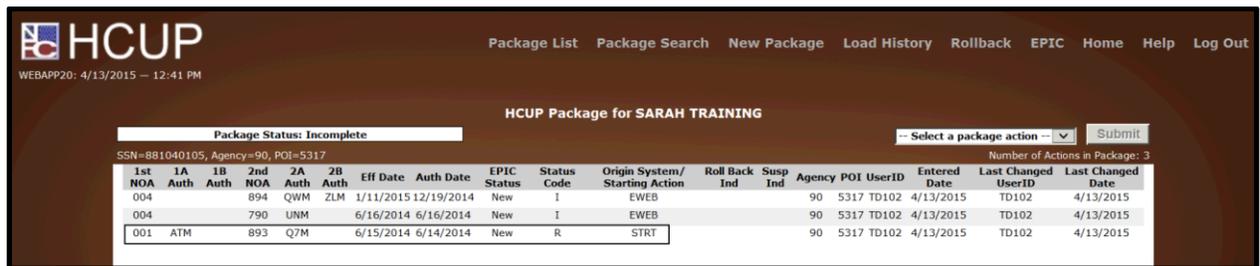


Figure 83: Pop-up Message

Step	Action
6.	Click <b>OK</b> . The HCUP package is generated, and the cancellation starting action is released. <div style="border: 1px solid yellow; padding: 10px; margin: 10px 0;"> <p><b>TIP:</b> The starting action has a first NOAC of 001, with OPM Authority Code ATM, and the second NOAC of the selected action (i.e. 001 ATM 893 Q7M). It is automatically released, indicated by the R <b>Status Code</b>, and it is indicated as the starting action with the STRT <b>Origin System/Starting Action</b> status.</p> </div>



HCUP Package for SARAH TRAINING

Package Status: Incomplete

SSN=881040105, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004			894	QWM	ZLM	1/11/2015	12/19/2014	New	I	EWEB			90	5317	TD102	4/13/2015	TD102	4/13/2015
004			790	UNM		6/16/2014	6/16/2014	New	I	EWEB			90	5317	TD102	4/13/2015	TD102	4/13/2015
001	ATM		893	Q7M		6/15/2014	6/14/2014	New	R	STRT			90	5317	TD102	4/13/2015	TD102	4/13/2015

Figure 84: HCUP Package Page with Released Starting Action

As you learned in Chapter 3.0 HCUP, NFC’s Payroll/Personnel System, and Inquiry Systems, history corrections, including cancellations, are processed as an entire HCUP package. You have just learned how to successfully cancel and release the cancellation starting action, but each subsequent action within the HCUP package must be examined and addressed for any necessary changes based on the starting action. Finally, the HCUP package must be released so that PINE can verify it before the history correction applies to the PPS database.

**CAUTION:** You must examine and address every subsequent action in a HCUP package, since the cancellation starting action may have resulted in invalid data in the subsequent actions.

In Chapter 4.0 HCUP Access and Navigation Concepts, you learned how to address subsequent actions in a HCUP package and release the entire HCUP package. Refer to the subsequent actions and HCUP package release procedures in Chapter 4.0 HCUP Access and Navigation Concepts.

Now that you have just learned how to process a cancellation as a starting action and can call upon your knowledge of subsequent action processing from Chapter 4.0 HCUP Access and Navigation Concepts, you can complete a HCUP package with a cancellation action as the starting action.

### Exercise 5.1: Cancellation as a Starting Action

#### Scenario

You discover that Sarah Training's unsatisfactory performance appraisal was not processed timely. She received a system-generated WGI, 893 Q7M, effective 06/15/2014.

#### Instructions

Follow the steps in the table on the next page to cancel the WGI, 893 Q7M, effective 06/15/2014, in the employee's personnel history. Sarah's IR525 history screen is shown in Figure 86: Sarah Training's IR525 Screen.

The following actions are outlined in more detailed steps after Sarah's IR525 history screen:

- Process a cancellation, 001 ATM, to the WGI, 893 Q7M, effective 06/15/14.
- Correct subsequent actions, as needed.

SSN 881040100 AG 90 * PERHIS PERSONNEL ACTIONS SUMMARY * 04/15/15 IR525									
SCREEN 000 NAME SARAH TRAINING									
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL									
PF	PROCESSED			DOCUMENT					
SEL	PP	YR	EFF-DATE	NATURE OF ACTION		AGCY	POI	USER-ID	
	01	15	01 11 15	000	894 QWM ZLM	90	5317	BEAR60	
	24	14	12 12 14	000	840	90	5317	NP839E	
	19	14	06 16 14	000	790 UNM	90	5317	NP430	
	18	14	09 07 14	000	849	90	5317	NP063E	
	12	14	06 15 14	000	893 Q7M	90	5317	BEAR10	
	06	14	03 23 14	000	840	90	5317	NFC021M	
	01	14	01 12 14	000	894 QWM ZLM	90	5317	BEAR60	
	12	13	06 02 13	000	893 Q7M	90	5317	NFC001M	
	24	12	11 20 12	000	840	90	5317	NP088E	
	21	12	10 07 12	000	790 UNM	90	5317	NP063	
	10	12	05 06 12	000	893 Q7M	90	5317	BEAR10	
	18	11	08 28 11	000	721 N3M	90	5317	NP1025	
	18	11	08 28 11	000	903 Z00	90	5317	BEAR10	
	12	11	06 05 11	000	790 UNM	90	5317	PMS0999	

INQUIRY COMPLETE - PRESS PF8 FOR MORE RECORDS 0000  
 PF9 = IR501 PF10 = IR502 PF11 = IR523  
 PF1 = SUB MENU PF5 = HELP PF8 = PG/DOWN ENTER = INQUIRY CLEAR = EXIT

Figure 85: Sarah Training's IR525 Screen

Step	Action	Required Data
1.	Click <b>New Package</b> on the HCUP Menu Bar.	
2.	Enter the employee's social security number into the <b>SSN</b> field.	881040XXX
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.	90
4.	Click <b>Submit</b> .	
5.	Click <b>Cancel</b> on the action to be cancelled.	893 Q7M, effective 06/15/2014
6.	Click <b>OK</b> .	

Now that you have cancelled the WGI as the starting action let's address the subsequent actions within the HCUP package. Remember, you must examine every subsequent action in a HCUP package since the cancellation starting action may result in invalid data in the subsequent actions.

Step	Action	Required Data
7.	Click the next subsequent action.	004 790 UNM, effective 06/16/2014
8.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
9.	Click <b>OK</b> .	
10.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
11.	Click the <b>Salary</b> tab.	

Step	Action	Required Data
12.	Enter the step within the grade, level, class, rank, or pay band in the <b>Step*</b> field.	03
13.	Enter the scheduled salary amount in the <b>Basic Pay*</b> field.	54176
14.	Enter the scheduled salary amount in the <b>Verify Basic Pay*</b> field.	54176
15.	Enter the SCD WGI Date in the <b>SCD WGI Date</b> field.	06/02/2013
16.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
17.	Click <b>Update</b> .	
18.	Click <b>OK</b> .	
19.	Click <b>Package</b> on the HCUP Menu Bar.	
20.	Click the next subsequent action.	004 894 QWM, effective 1/11/2015
21.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
22.	Click <b>OK</b> .	
23.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes

Step	Action	Required Data
24.	Click the <b>Salary</b> tab.	
25.	Enter the step within the grade, level, class, rank, or pay band in the <b>Step*</b> field.	03
26.	Enter the scheduled salary amount in the <b>Basic Pay*</b> field.	54718
27.	Enter the scheduled salary amount in the <b>Verify Basic Pay*</b> field.	54718
28.	Enter the SCD WGI Date in the <b>SCD WGI Date</b> field.	06/02/2013
29.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
30.	Click <b>Update</b> .	
31.	Click <b>OK</b> .	
32.	Select <b>Package</b> on the HCUP Menu Bar.	
33.	Select the applicable package action from the <b>Select a package action</b> drop-down list.	Release package
34.	Click <b>Submit</b> .	
35.	Click <b>OK</b> .	
36.	Click <b>Package List</b> on the HCUP Menu Bar.	

*Exercise 5.2: Cancellation as a Starting Action*

**Scenario**

You discover that a separation effective Pay Period 21 in 2013 was processed in error. The action should be cancelled.

**Instructions**

Follow the steps in the table on the next page to cancel the removal in the employee's personnel history. The employee's IR525 history screen is shown in **Figure 86: Eve Training's IR525 Screen**. You must complete the following actions within the HCUP package:

- Before processing this action in HCUP, reactivate the Individual Position in PMSO.
- Process a cancellation to the removal, 330 V6J, effective 11/02/2013
- Master Record Number: W17XXX
- Individual Position Number: W1700XXX
- Grade: 05
- Effective date of reactivation: 11/01/2013

```

SSN 881070101 AG 90 * PERHIS PERSONNEL ACTIONS SUMMARY * 04/15/15 IR525
SCREEN 000 NAME EVE TRAINING
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL

PF PROCESSED ----- DOCUMENT -----
SEL PP YR EFF-DATE NATURE OF ACTION AGCY POI USER-ID
  21 13 11 02 13 000 330 V6J 90 5317 NP0171E
  17 13 08 12 13 000 292 DAM 90 5317 NP1028
  14 13 12 31 12 000 460 DAM 90 5317 NP063E
  27 12 12 16 12 000 790 UNM 90 5317 NP088E
  26 12 11 04 12 000 790 UNM 90 5317 NP088E
  17 12 08 12 12 000 292 CGM 90 5317 NP0171E
  16 12 07 29 12 000 450 VAC 90 5317 NP0171E
  06 12 03 19 12 000 292 CGM 90 5317 NP0171E
  06 12 03 16 12 000 450 VAC 90 5317 NP0171E
  18 11 08 28 11 000 790 UNM 90 5317 NP0049E
  13 11 06 05 11 000 790 UNM 90 5317 NFC012D
  12 11 06 05 11 000 790 UNM 90 5317 PMS0999
  04 11 02 13 11 000 903 Z00 90 5317 BEAR10
  01 10 01 03 10 000 894 QWM ZLM 90 5317 BEAR60

INQUIRY COMPLETE - PRESS PF8 FOR MORE RECORDS 0000
PF9 = IR501 PF10 = IR502 PF11 = IR523
PF1 = SUB MENU PF5 = HELP PF8 = PG/DOWN ENTER = INQUIRY CLEAR = EXIT

```

Figure 86: Eve Training's IR525 Screen

Step	Action	Required Data
1.	Click <b>New Package</b> on the HCUP Menu Bar.	
2.	Enter the employee's social security number into the <b>SSN</b> field.	881070XXX
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.	90
4.	Click <b>Submit</b> .	
5.	Click <b>Cancel</b> on the action to be cancelled.	330 V6J, effective 11/02/2013
6.	Click <b>OK</b> .	
7.	Select the applicable package action from the <b>Select a package action</b> drop-down list.	Release package
8.	Click <b>Submit</b> .	
9.	Click <b>OK</b> .	

Step	Action	Required Data
10.	Click <b>Package List</b> on the HCUP Menu Bar.	

## 5.4. Cancelling Accession Actions

### *Lesson Overview*

This lesson explains when to cancel accession actions within the HCUP system and describes the special considerations that a user must take when processing an accession action.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe the conditions that require the cancellation of accession actions
- Explain the special considerations when processing the cancellation of accession actions

### **Introduction to Cancelling Accession Actions**

Now that we have learned about cancellations as starting actions, let's focus on the cancellation of accession actions in particular. There are three basic scenarios which require the cancellation of an accession action:

1. The cancellation of an unpaid accession for reasons such as the employee not reporting for duty,
2. The cancellation of a current appointment (paid accession) in connection with a correction to a previous appointment within the same executive Department or independent Agency, or
3. The cancellation of a current appointment (paid accession) to an executive Department or independent Agency in connection with a correction to a previous appointment with another executive Department or independent Agency.

**TIP:** The term appointment, as used in this section on cancelling accession actions, does not refer to NOACs in the 500 series (conversions).

**IMPORTANT:** Do not cancel accession actions for the purpose of correcting their NOACs and/or authority codes. For instructions on correcting NOACs and/or authority codes for accession actions, see Chapter 6.0 Correction Actions.

## **Cancelling an Unpaid Accession**

You just learned that there are instances in which you must cancel an unpaid accession action. Let's further examine these instances. Within the cancellation of accession actions, unpaid accessions should be cancelled in the following situations when:

- Your Agency has processed an accession for an employee,
- The employee did not report for duty, and
- Processing has been completed (i.e. BEAR has processed) for the pay period in which the accession was processed.

Your starting action will be an official cancellation of the accession action. Refer to Lesson 5.2

Cancellations as Starting Actions for the procedure on processing a cancellation starting action.

**IMPORTANT:** If the HCUP package for cancellation of an unpaid accession contains any other subsequent actions (e.g. any subsequent 894 actions), convert those actions to official cancellation (001) actions. Refer to the subsequent action cancellation procedure in Lesson 4.6 Subsequent Actions in a HCUP Package.

To allow the employee's database master record to pass to history, use the EPIC document, Master File Change Document, to set the **SEPARATION-FINAL-TA-RECD** flag. After the flag is set and other payroll situations resolved, the employee's master record will pass to history.

### **Cancelling a Current Appointment back to a Previous One with the Same Department or Independent Agency**

There may be times when you must cancel or correct actions processed during an employee's previous appointment within your executive Department or independent Agency. You are able to perform history corrections in these instances when the employee served within your executive Department or independent Agency.

When the starting action is an action which falls prior to the separation under the previous appointment, the system generates the intervening separation and accession actions as 004 actions. Based on your cancellation or correction of this employee's personnel history, you must consider the following resulting actions:

Scenario	Response
The intervening 004 actions between the separation and accession are no longer valid.	You must convert the intervening 004 actions to official cancellation actions.
The changes on your starting action affect the intervening actions.	You must change the intervening 004 actions to official correction actions.

### **Cancelling a Current Appointment back to a Previous One with Another Executive Department or Independent Agency**

There may be times when an employee's current appointment must be cancelled back to a previous appointment with another executive Department or independent Agency. You cannot establish a HCUP package when the starting action was processed by another executive Department, independent Agency, or POI different than yours. The processing of such a case requires the establishment of separate HCUP packages.

The following table outlines the responsibilities of both the current employing office and the last employing office in properly processing HCUP packages:

Office	Action to Complete	Result
<b>Current employing office</b>	<ul style="list-style-type: none"> <li>• Establish a package with a cancellation of the current appointing action as the starting action.</li> <li>• Convert all subsequent unofficial replacement actions (004) to official cancellation actions.</li> </ul>	<p>This effectively deletes all history records for the current Department or independent Agency at the end of the processing pay period in which the HCUP package applies to the database.</p>
<b>Last employing office</b>	<ul style="list-style-type: none"> <li>• Establish a package to correct history for the period the employee belonged to the prior executive Department or independent Agency in the following pay period from the current employing office's HCUP package processing.</li> <li>• Process the new appointment and all subsequent actions processed as brand new actions after the HCUP package applies to the database.</li> </ul>	<p>This allows the last employing office to make the necessary changes in personnel history for the employee and process the new appointment and all subsequent actions.</p>

## 5.5. Cancelling Exception Actions

### *Lesson Overview*

This lesson explains when to cancel exception actions within the HCUP system and describes the special considerations that users must take when processing an exception action. It also provides procedures for cancelling a cash award exception action.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe the conditions that require the cancellation of exception actions
- Explain the special considerations when processing the cancellation of exception actions
- Cancel a cash award exception action

### **Introduction to Cancelling Exception Actions**

Now let's look at the cancellation of exception actions. Exception actions are processed:

- At any time without regard to effective dates, and
- As initial actions even when the last personnel action on the database has an effective date which is later than the action the user is processing.

For these reasons, the system does not generate unofficial cancellations of subsequent actions to restore the database to the point of the exception action. When your starting action is an exception action, it is the only action in the HCUP package.

**NOTE:** When cancelling any type of exception action, there is no data in the previous window in the system. You are not restoring the database to any point in the past. You are simply cancelling the action.

Exception actions include the following NOACs:

<b>NOAC</b>	<b>Description</b>
006	Update
730-732	Details
815	Recruitment Bonus
816	Relocation Bonus
817	Student Loan
825	Separation Incentive
840	Individual Cash Award Rating-Based (RB)
841	Group Cash Award
842	Individual Suggestion/Invention Award
843	Group Suggestion/Invention Award
844	Foreign Language Award
845	Travel Savings Incentive Award
846	Individual Time Off Award
847	Group Time Off Award
848	Applicant Referral Award
849	Individual Cash Award Non Rating-Based (NRB)
872	Time Off Award
874	Gainsharing Award
875	Suggestion Award

<b>NOAC</b>	<b>Description</b>
876	Invention Award
877	Special Act or Service Award
878	Presidential Rank Award
879	Senior Executive Service (SES) Performance Award
885	Lump Sum Perform Pay (RB- In Lieu of Pay Adjustment)
886	Lump Sum Perform Pay (RB-Not in Lieu of Pay Adjustment)
887	Lump Sum Perform Pay (NRB)
889	Group Award Other
902	Appointment for Pay Purposes Only (Department of Justice Only)
906	Senior Community Service Employment Program (SCSEP) Enrollee
907	Mainstream Employee
908	Termination
911	Youth Conservation Corps (YCC) Enrollee Appointment
922-924	Details
928	Volunteer Accession
929	Volunteer Separation
950	Change in Shift (Government Printing Office Only)

<b>NOAC</b>	<b>Description</b>
970	Foreign Language Bonus
972	Applicant Referral (Internal Revenue Service [IRS] Only)
973	Lump Sum Retention (IRS Only)
982	Recruitment Allowance (USDA Only)
983	Retention Allowance (USDA Only)
984	Share of Equivalent Increase
994	Honorary
998	Transfer to New Payroll Provider

You cannot cancel detail-related actions. The NOACs that cannot be cancelled include:

- NOA 006
- NOA 730-732
- NOA 817
- NOA 902
- NOA 906-908
- NOA 922-924
- NOA 928-929
- NOA 950
- NOA 984
- NOA 998

These detail-related actions are exception actions but are applied in date sequence and cannot be corrected or cancelled. New actions documenting these NOAs cannot be inserted in a HCUP package.

## Cancelling Cash Awards

When you cancel a cash award, the system does not automatically set up a debt. Any debt due to an overpayment caused by an erroneously processed cash award must be established and collected manually by submitting an SPPS Web adjustment.

The table below describes when an SPPS Web adjustment is necessary.

Scenario	Response
You choose to have the repayment issued.	You must process an SPPS Web adjustment to collect the monies paid with the initial award.
You choose to only document the award.	You do not have to process an SPPS Web adjustment.

**NOTE:** When reprocessing the action in EPIC, select “Process Award or Document Award” from the **Pay Code** drop-down list.

“Spot Award” actions do not contain this question. Each Spot Award processed updates the database with the full “grossed-up” amount of the award to allow for tax withholding.

Cash awards interact with IRIS and ADJP in the following ways:

- The award documentation within IRIS is a personnel (063) document and not the award payment document (110) that has processed through ADJP. You can cancel the personnel action but not the payment document. Remember to submit an SPPS Web request to generate bill for the erroneous award.
- If you are deleting an award other than an 840 or 841 NOAC with an OPM authority code “PAY” that applied in the current pay period, you must contact the NFC Operation section to request that the award document be deleted from ADJP.

It may be necessary to initiate an SPPS Web adjustment when cancelling a cash award. An SPPS Web adjustment to collect the monetary payment is required when:

- An award is processed in a prior pay period or the award is an 840/841 PAY award,
- Any debt due to an overpayment is caused by an erroneously processed cash award, and/or
- The award payment will be reissued, and the initial award monies need to be collected.

The procedure below describes the steps used to cancel a cash award.

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar. The <b>New HCUP Package Employee Selection</b> page displays.

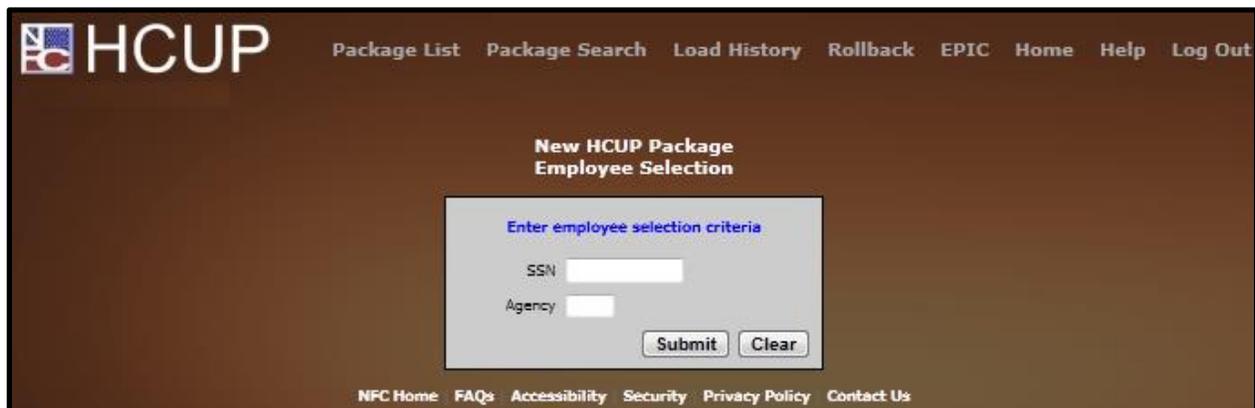
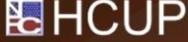


Figure 87: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee's social security number in the <b>SSN</b> field.
3.	Enter the employee's Agency Code in the <b>Agency</b> field.
4.	Click <b>Submit</b> . The employee's <b>New HCUP Package History List</b> page displays.


 Package List | Package Search | New Package | Load History | Rollback | EPIC | Home | Help | Log Out  
 WEBAPP20: 4/13/2015 — 11:42 AM

**New HCUP Package History List for MARIA TRAINING**

SSN=881090102, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed Date	Click a button to start the package		
000		894	QWM	ZLM		1/11/2015	12/19/2014			HIST			90	5317	BEAR60	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		840				12/12/2014	12/12/2014			HIST			90	5317	NP839E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		849				9/7/2014	9/6/2014			HIST			90	5317	NP063E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		840				3/23/2014	3/24/2014			HIST			90	5317	NP255	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		894	QWM	ZLM		1/12/2014	12/23/2013			HIST			90	5317	BEAR60	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		780	CGM			8/11/2013	8/11/2013			HIST			90	5317	NP088E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		893	Q7M			7/28/2013	7/27/2013			HIST			90	5317	BEAR10	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		721	N2M			6/16/2013	6/16/2013			HIST			90	5317	NP063E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		702	N3M			7/29/2012	7/28/2012			HIST			90	5317	NP839E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		846				1/11/2012	1/12/2012			HIST			90	5317	NP0170E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		846				12/22/2011	1/6/2012			HIST			90	5317	NP839E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		903	Z00			11/20/2011	11/18/2011			HIST			90	5317	BEAR10	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		846				12/19/2010	1/6/2011			HIST			90	5317	NP0170E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		840				11/21/2010	11/22/2010			HIST			90	5317	NP088E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		849	PAY			7/4/2010	7/22/2010			HIST			90	5317	NP089E	3/27/2015	3/27/2015	Insert	Correct	Cancel
000		849				5/23/2010	6/3/2010			HIST			90	5317	NP088E	6/24/2010	6/24/2010	Insert	Correct	Cancel

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Figure 88: New HCUP Package History List Page

Step	Action
5.	Click <b>Cancel</b> at the applicable cash award NOAC to be cancelled. The <b>HCUP Package</b> page displays with a pop-up message.

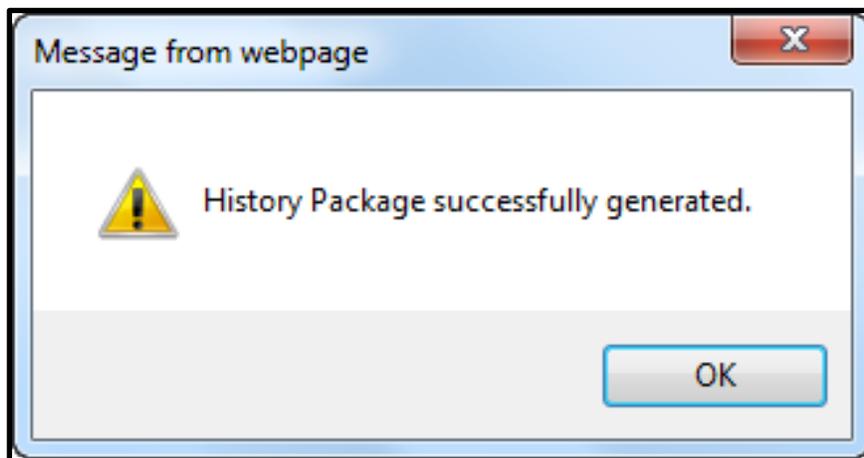
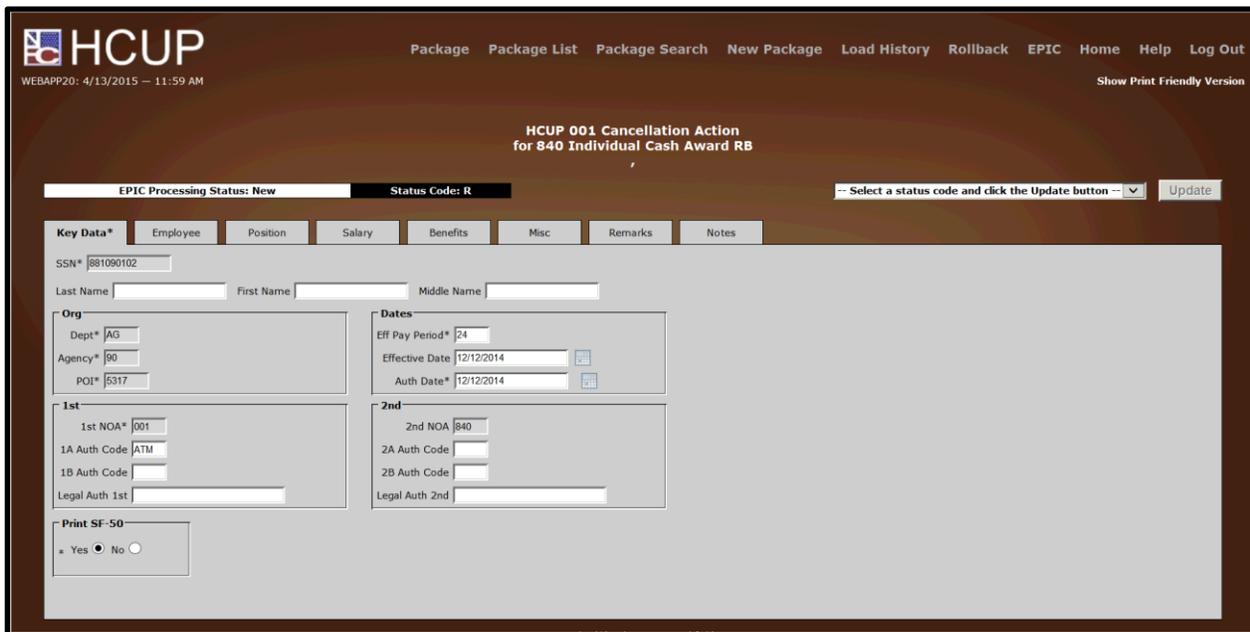


Figure 89: Pop-up Message

Step	Action
6.	Click <b>OK</b> .
7.	Click the applicable action from the <b>HCUP Package</b> page. The Key Data tab displays on the <b>HCUP 001 Cancellation Action</b> page. <div style="border: 1px solid yellow; padding: 5px; margin-top: 10px;"> <p><b>TIP:</b> There should only be one action in the HCUP package. When your starting action is an exception action, it is the only action in the HCUP package.</p> </div>



Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 WEBAPP20: 4/13/2015 -- 11:59 AM Show Print Friendly Version

**HCUP 001 Cancellation Action  
for 840 Individual Cash Award RB**

EPIC Processing Status: New Status Code: R -- Select a status code and click the Update button -- Update

**Key Data\*** Employee Position Salary Benefits Misc Remarks Notes

SSN\* 081090102  
 Last Name First Name Middle Name

**Org**  
 Dept\* AG Agency\* 90 POI\* 5317

**Dates**  
 Eff Pay Period\* 24 Effective Date 12/12/2014 Auth Date\* 12/12/2014

**1st**  
 1st NOA\* 001 1A Auth Code ATM 1B Auth Code Legal Auth 1st

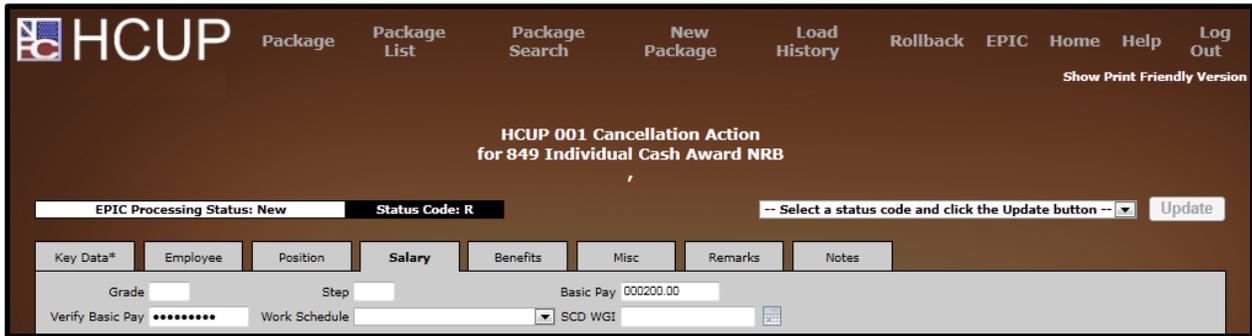
**2nd**  
 2nd NOA 840 2A Auth Code 2B Auth Code Legal Auth 2nd

**Print SF-50**  
 Yes No

Figure 90: HCUP 001 Cancellation Action Page Key Data Tab

Step	Action
8.	Review the Key Data tab to ensure accuracy.
9.	Enter the pay period in which the personnel action is entered in the <b>Eff Pay Period</b> field.
10.	Enter the first authority code for the first NOAC in the <b>1A Auth Code</b> field.
11.	Enter the second authority code for the first NOAC in the <b>1B Auth Code</b> field.

Step	Action
12.	Enter the legal authority that authorizes the personnel action in the <b>Legal Auth 1<sup>st</sup></b> field.
13.	Enter the description of the law, executive order, regulation, rule, or other basis that authorizes the personnel action in the <b>Legal Auth 2<sup>nd</sup></b> field.
14.	Click the <b>Salary</b> tab. The Salary tab displays.



HCUP Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
Show Print Friendly Version

HCUP 001 Cancellation Action  
for 849 Individual Cash Award NRB

EPIC Processing Status: New Status Code: R -- Select a status code and click the Update button -- Update

Key Data\* Employee Position **Salary** Benefits Misc Remarks Notes

Grade Step Basic Pay 000200.00  
Verify Basic Pay \*\*\*\*\* Work Schedule SCD WGI

Figure 91: HCUP 001 Cancellation Action Page Salary Tab

Step	Action
15.	Review the <b>Basic Pay</b> field to ensure that it reflects the cash award amount. <b>NOTE:</b> HCUP automatically places the amount of the cancelled cash award in the base salary field.
16.	Review the <b>Verify Basic Pay</b> field to ensure that it reflects the cash award amount.
17.	Select R – Release for Processing from the <b>Select a status code and click the Update button</b> drop-down list.

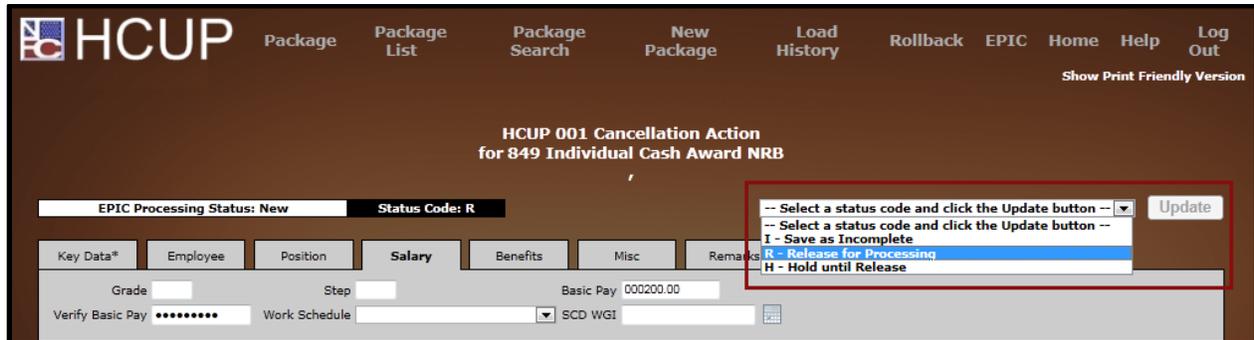


Figure 92: HCUP 001 Cancellation Action Page Release for Processing Status

Step	Action
18.	Click <b>Update</b> . A pop-up message displays.

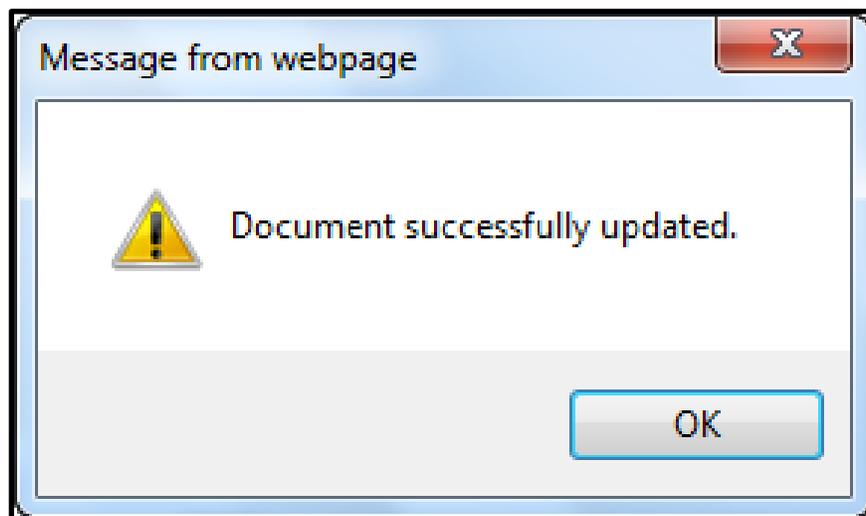


Figure 93: Pop-up Message

Step	Action
19.	Click <b>OK</b> . The cancelled action reflects an R status code.
20.	Click <b>Package</b> on the HCUP Menu Bar. The <b>HCUP Package List</b> page displays, with the cancelled action reflecting an R status code.
21.	Select Release Package from the <b>Select a package action</b> drop-down list.



Figure 94: HCUP Package Page - Release Package Status

Step	Action
22.	Click <b>Submit</b> . A pop-up message displays.

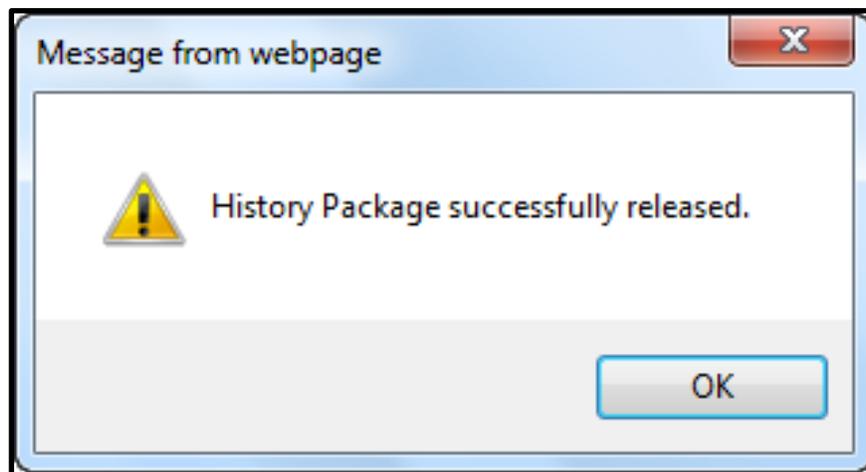


Figure 95: Pop-up Message

Step	Action
23.	Click <b>OK</b> .
24.	Click <b>Package List</b> on the HCUP Menu Bar. The <b>HCUP Package List</b> page displays, with the <b>Package Status</b> field reflecting Released.

 **HCUP**    Package List   Package Search   New Package   Load History   Rollback   EPIC   Home   Help   Log Out

**HCUP Package List**

Search criteria: User ID=TD150 Number of Packages: 1

SSN	Name	Package Status	1st NOA	2nd NOA	Effective Date	Current Agency	Agency	POI	UserID	Entered Date
881070150	TRAINING, DONALD	Released	001	849	12/7/2008	90	90	5317	TD150	6/27/2013

Figure 96: HCUP Package List Page

*Exercise 5.3: Cancelling a Cash Award*

**Scenario**

A review of Maria Training's Official Personnel Folder (OPF) revealed that she received an erroneous award in the amount of \$500.00. The effective date of the award was 12/12/2014.

**Instructions**

Follow the steps in the table on the next page to cancel the cash award in the employee's personnel history. Maria's IR525 history screen is shown below in Figure 97: Maria Training's IR525.

SSN 881090101 AG 90 * PERHIS PERSONNEL ACTIONS SUMMARY * 04/13/15 IR525										
SCREEN 000 NAME MARIA TRAINING										
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL										
PF	PROCESSED		NATURE OF ACTION				DOCUMENT	AGCY	POI	USER-ID
SEL	PP	YR	EFF-DATE	NATURE	OF	ACTION				
	01	15	01 11 15	000	894	QWM ZLM		90	5317	BEAR60
	24	14	12 12 14	000	840			90	5317	NP839E
	18	14	09 07 14	000	849			90	5317	NP063E
	06	14	03 23 14	000	840			90	5317	NP255
	01	14	01 12 14	000	894	QWM ZLM		90	5317	BEAR60
	16	13	08 11 13	000	780	CGM		90	5317	NP088E
	15	13	07 28 13	000	893	Q7M		90	5317	BEAR10
	15	13	06 16 13	000	721	N2M		90	5317	NP063E
	16	12	07 29 12	000	702	N3M		90	5317	NP839E
	01	12	01 11 12	000	846			90	5317	NP0170E
	01	12	12 22 11	000	846			90	5317	NP839E
	24	11	11 20 11	000	903	Z00		90	5317	BEAR10
	26	10	12 19 10	000	846			90	5317	NP0170E
	24	10	11 21 10	000	840			90	5317	NP088E

INQUIRY COMPLETE - PRESS PF8 FOR MORE RECORDS 0000  
 PF9 = IR501 PF10 = IR502 PF11 = IR523

*Figure 97: Maria Training's IR525 Screen*

Step	Action	Required Data
1.	Click <b>New Package</b> on the HCUP Menu Bar.	
2.	Enter the employee's social security number in the <b>SSN</b> field.	881090XXX
3.	Enter the employee's Agency Code in the <b>Agency</b> field.	90
4.	Click <b>Submit</b> .	
5.	Click <b>Cancel</b> at the applicable cash award NOAC to be cancelled.	840 effective 12/12/2014
6.	Click <b>OK</b> .	
7.	Click the applicable action on the <b>HCUP Package</b> page.	001 840 ATM
8.	Enter the employee's last name in the <b>Last Name</b> field.	Training
9.	Enter the employee's first name in the <b>First Name</b> field.	Maria
10.	Review the Key Data tab to ensure accuracy.	
11.	Click the <b>Salary</b> tab.	
12.	Review the <b>Basic Pay</b> field to ensure that it reflects the cash award amount.	500
13.	Review the <b>Verify Basic Pay</b> field to ensure that it reflects the cash award amount.	500
14.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing

Step	Action	Required Data
15.	Click <b>Update</b> .	
16.	Click <b>OK</b> .	
17.	Click <b>Package</b> on the HCUP Menu Bar.	
18.	Select the applicable package action from the <b>Select a package action</b> drop-down list.	Release package
19.	Click <b>Submit</b> .	
20.	Click <b>OK</b> .	
21.	Click <b>Package List</b> on the HCUP Menu Bar.	

## **Cancelling Time Off Awards**

If a time off award must be cancelled, you must enter zeroes in all positions of the base salary and verify salary fields of the action.

**IMPORTANT:** You cannot cancel a time off award if any of the hours of that award were used.

When the employee has used some or all of the time off hours but the time off award needs to be cancelled, the timekeeper must submit corrected T&As replacing the time off hours used with another type of leave (e.g. annual leave, compensatory time, or other paid leave). This restores the time off award hours, and the award can be cancelled.

## 5.6. Cancelling Separation Actions

### *Lesson Overview*

This lesson explains when to cancel separation actions within the HCUP system and describes the special position considerations that a user must take into account when cancelling a separation action.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe how to cancel separation actions
- Explain the special position considerations when processing a separation cancellation action

### **Introduction to Cancelling Separation Actions**

Let's now focus on the last type of cancellation action, the cancellation of separation actions. When cancelling separation actions in history, you must consider if payroll documents that were in effect at the time of separation have passed to personnel history or not. Cancelling a separation action in history does not require reprocessing payroll documents that were in effect at the time of separation; the system automatically restores this data if the employee's information displays in the IRIS Current Data program (IR100 series).

**NOTE:** Adding a retroactive separation action in a HCUP package may require cancelling all subsequent actions in the HCUP package.

However, circumstances may require personnel offices to process the appropriate benefit documents to assure the employee is properly enrolled. Thus, you should check the IR100 and IR500 series prior to cancelling a separation action. The table below provides the IRIS scenario and appropriate response in reprocessing payroll documents:

IRIS Scenario	Response
The IR100 Current Data series reflects the employee's payroll documents that were in effect at the time of separation.	You do not have to reprocess those payroll documents.
The IR500 PERHIS series contains the employee's payroll documents that were in effect at the time of separation. The IR100 Current Data series does not reflect these payroll documents.	You must process the cancellation action and reprocess all applicable payroll documents. Follow your Agency instructions for compensation as a result of the cancellation.

### **Special Position Considerations when Cancelling Separation Actions**

When you submit a HCUP package on an employee, PINE verifies that the position the employee will occupy as of the last position action in the package is vacant and active.

There may be times when you must cancel a separation for an employee who will not be ultimately separated at the end of the HCUP package process. In this case, you must provide a position for the employee to occupy. This situation may occur when the separation is improper for some reason, and the employee is returned to the Agency's rolls.

To avoid PINE errors, check PMSO for the status of the old position. The following table outlines the actions that a user should take depending on the status of the position in PMSO:

Position Scenario	Action
The employee's old position remains unoccupied and active.	Take no action.
The employee's old position remains unoccupied but is inactive.	Reactivate the position.
The employee's old position is abolished but can still be viewed in PMSO.	Restore the position using the "Delete/Restore" function in PMSO.
The employee's old position is abolished and can no longer be viewed in PMSO.	Reestablish the position.
The employee's old position is currently occupied by someone else.	Move the person to another position or otherwise follow guidance provided in the OPM Guidance, Court Order, Agreement, etc.

## 5.7. Chapter Review

### *Knowledge Check*

1. What is a cancellation action?

---

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2. What are the three main types of cancellation actions within HCUP?

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3. True or False:

\_\_\_\_\_ A. You can cancel an employee's current appointment back to a previous appointment with another executive Department or independent Agency.

\_\_\_\_\_ B. You cannot cancel detail-related exception actions in HCUP.

\_\_\_\_\_ C. When cancelling a separation, you do not have to reprocess payroll documents if the employee's IR100 Current Data series reflects the employee's payroll documents that were in effect at the time of separation.

### *Chapter Summary*

Having completed this chapter, you are now able to:

- Explain cancellation actions within HCUP
- Describe how HCUP is used to cancel accession, exception, and separation actions
- Execute cancellation actions within HCUP

## **6.0. Correction Actions**

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### **6.1. Chapter Overview**

This chapter introduces and explains the concept of correction actions as starting actions within HCUP packages, including corrections to effective dates, NOACs, names, social security numbers, and exception actions. This chapter also leads users through correction action exercises.

#### *Chapter Objectives*

By the end of this chapter, you will be able to:

- Explain the purpose of correction actions within HCUP
- Describe how HCUP is used to correct effective dates, NOACs, names, social security numbers, and exception actions
- Execute correction actions within HCUP

## 6.2. Corrections as Starting Actions

### *Lesson Overview*

This lesson provides an introduction to corrections as starting actions within HCUP packages.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Provide examples of corrections as starting actions within HCUP packages
- Explain the steps necessary to initiate a correction action as a starting action
- Create and release HCUP packages that have correction starting actions

### **Introduction to Correction Actions**

Now that we have learned about cancellation actions within HCUP packages, you will learn about corrections, a second type of starting actions. A correction action is an official action that:

- Changes information shown on an earlier action on which an error occurred, or
- Adds information that was omitted from an earlier action.

**NOTE:** A correction does not alter the fact that an action occurred, it just changes when it occurred or how it was documented.

A correction may be necessary in the following example situations:

- The NOA is wrong (i.e. an appointment is documented as Reinstatement-Career and should be Reinstatement-Career Conditional).
- The legal authority is wrong (i.e. authority indicates that the action is based on reclassification when it is the result of a career ladder promotion).
- Required remarks have been omitted from the action or there is an error in the remarks that are documented.
- A block on the SF-50 (Tenure, Annuitant Indicator, etc.) is documented incorrectly.

When processing a HCUP package, you must consider:

- Whether the correction is within or beyond the range of the database,
- Whether the correction affects the employee’s pay, and/or
- Whether actions you are correcting are affected by intervening actions. An intervening action is an action that may have to be crossed over in order to accomplish the correction of another action.

In the procedure below, you learn how to process a correction as the starting action within a HCUP package:

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar. The <b>New HCUP Package Employee Selection</b> page displays.

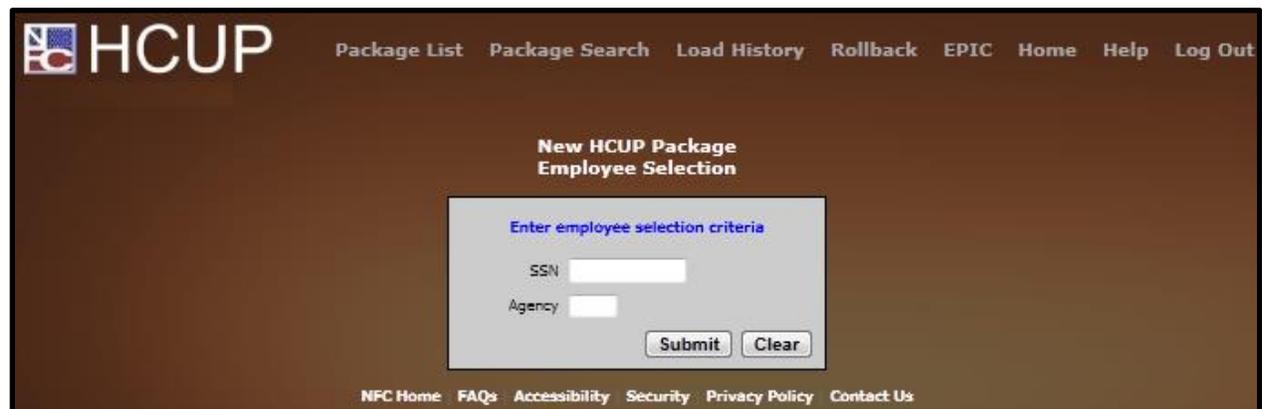
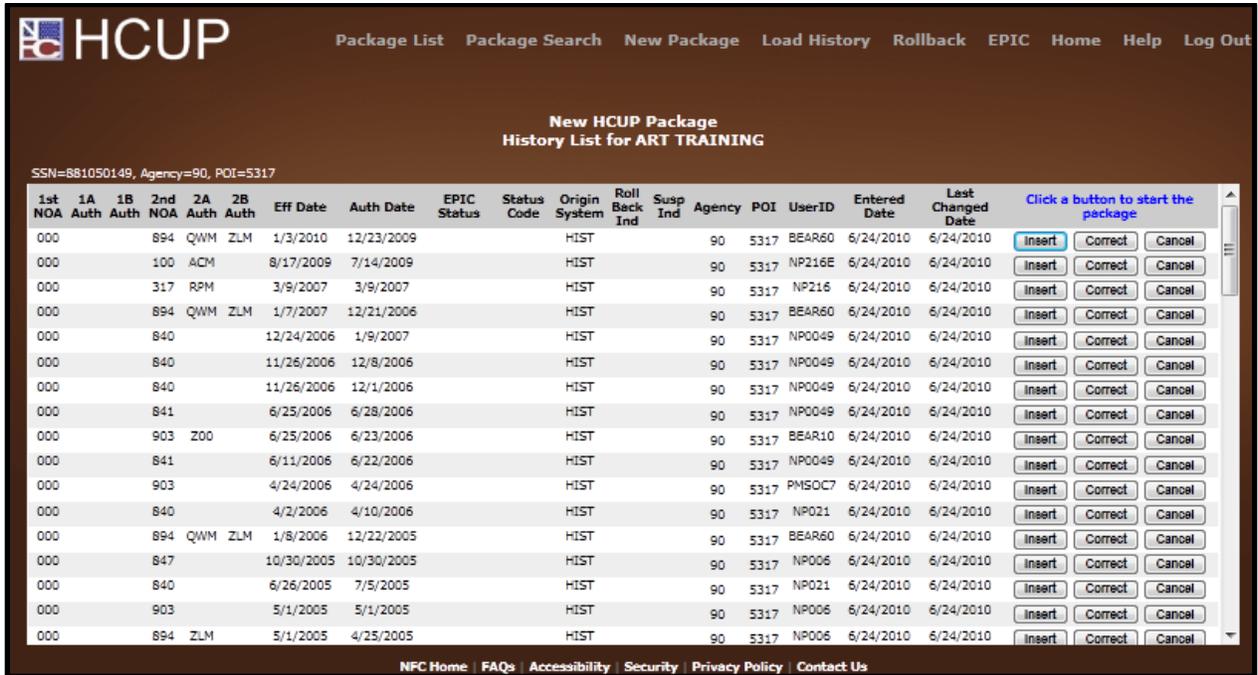


Figure 98: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee’s social security number into the <b>SSN</b> field.
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.
4.	Click <b>Submit</b> . The <b>New HCUP Package History List</b> page displays for the selected employee.

**IMPORTANT:** You cannot start a HCUP package if one already exists for the employee, including Pending HCUP packages. To have the Pending package deleted, contact NFC's Contact Center at 1-855-NFC4GOV (1-855-632-4468).



SSN=881050149, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed Date	Click a button to start the package
000		894	QWM	ZLM		1/3/2010	12/23/2009			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	insert Correct Cancel
000		100	ACM			8/17/2009	7/14/2009			HIST			90	5317	NP216E	6/24/2010	6/24/2010	insert Correct Cancel
000		317	RPM			3/9/2007	3/9/2007			HIST			90	5317	NP216	6/24/2010	6/24/2010	insert Correct Cancel
000		894	QWM	ZLM		1/7/2007	12/21/2006			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	insert Correct Cancel
000		840				12/24/2006	1/9/2007			HIST			90	5317	NP0049	6/24/2010	6/24/2010	insert Correct Cancel
000		840				11/26/2006	12/8/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	insert Correct Cancel
000		840				11/26/2006	12/1/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	insert Correct Cancel
000		841				6/25/2006	6/28/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	insert Correct Cancel
000		903	Z00			6/25/2006	6/23/2006			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	insert Correct Cancel
000		841				6/11/2006	6/22/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	insert Correct Cancel
000		903				4/24/2006	4/24/2006			HIST			90	5317	PMSOC7	6/24/2010	6/24/2010	insert Correct Cancel
000		840				4/2/2006	4/10/2006			HIST			90	5317	NP021	6/24/2010	6/24/2010	insert Correct Cancel
000		894	QWM	ZLM		1/8/2006	12/22/2005			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	insert Correct Cancel
000		847				10/30/2005	10/30/2005			HIST			90	5317	NP006	6/24/2010	6/24/2010	insert Correct Cancel
000		840				6/26/2005	7/5/2005			HIST			90	5317	NP021	6/24/2010	6/24/2010	insert Correct Cancel
000		903				5/1/2005	5/1/2005			HIST			90	5317	NP006	6/24/2010	6/24/2010	insert Correct Cancel
000		894	ZLM			5/1/2005	4/25/2005			HIST			90	5317	NP006	6/24/2010	6/24/2010	insert Correct Cancel

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Figure 99: New HCUP Package History List Page

Step	Action
5.	Click <b>Correct</b> on the action to be corrected. The <b>HCUP Package</b> page displays with a pop-up message.

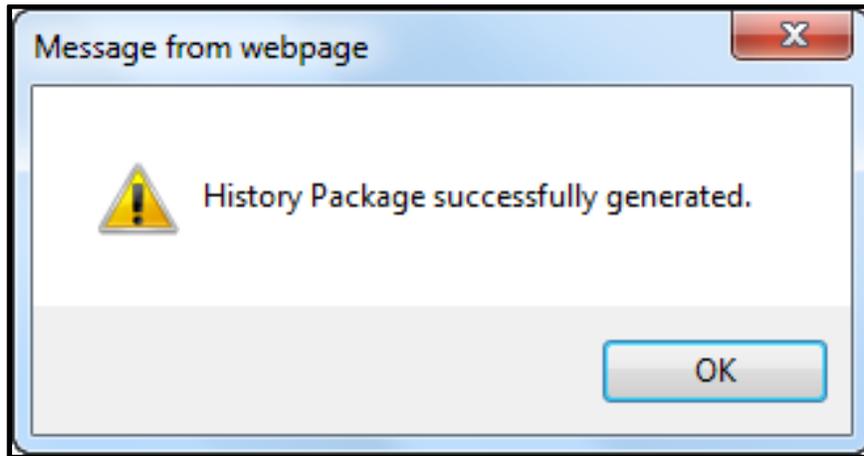


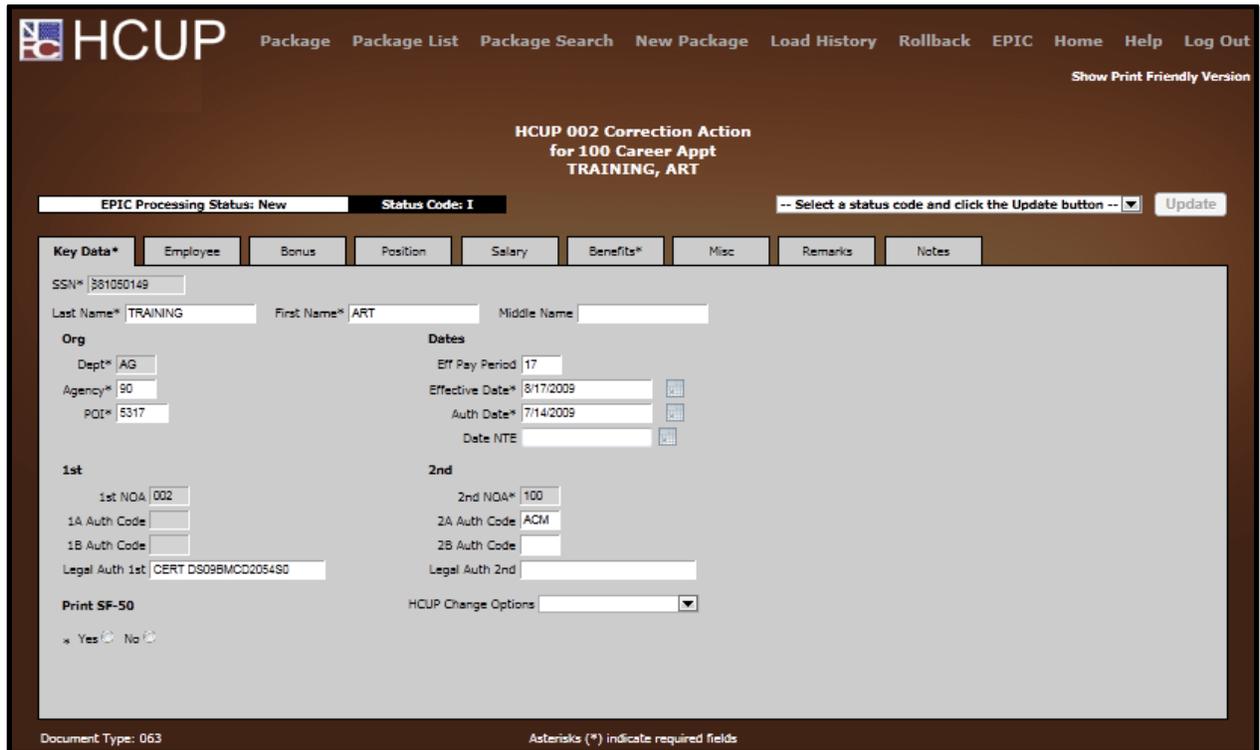
Figure 100: Pop-up Message

Step	Action
6.	Click <b>OK</b> . The HCUP package is generated. <div style="border: 1px solid yellow; padding: 5px; margin-top: 10px;"> <b>TIP:</b> The correction starting action has a 1<sup>st</sup> NOAC 002 and the 2<sup>nd</sup> NOAC of the selected action, i.e. 002 100 ACM.           </div>

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency POI	Agency User ID	Entered Date	Last Changed User ID	Last Changed Date
004			894	QWM	ZLM	1/3/2010	12/23/2009	New	I	EWEB			90	5317 TD149	7/10/2013	TD149	7/10/2013
002			100	ACM		8/17/2009	7/14/2009	New	I	STRT			90	5317 TD149	7/10/2013	TD149	7/10/2013

Figure 101: HCUP Package Page

Step	Action
7.	Click the correction starting action. The Key Data* tab on the <b>HCUP 002 Correction Action</b> page displays.



**HCUP** Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 Show Print Friendly Version

**HCUP 002 Correction Action  
for 100 Career Appt  
TRAINING, ART**

EPIC Processing Status: New Status Code: I -- Select a status code and click the Update button -- Update

**Key Data\*** Employee Bonus Position Salary Benefits\* Misc Remarks Notes

SSN\* | 381050149  
 Last Name\* | TRAINING First Name\* | ART Middle Name |  
 Org Dept\* | AG Agency\* | 90 PDI\* | 5317  
 Dates Eff Pay Period | 17 Effective Date\* | 8/17/2009 Auth Date\* | 7/14/2009 Date NTE |  
 1st 1st NOA | 002 1A Auth Code | 1B Auth Code | Legal Auth 1st | CERT DS095MCD205490  
 2nd 2nd NOA\* | 100 2A Auth Code | ACM 2B Auth Code | Legal Auth 2nd |  
 Print SF-50 HCUP Change Options |  
 \* Yes  No

Document Type: 063 Asterisks (\*) indicate required fields

Figure 102: HCUP 002 Correction Action Page Key Data Tab

Step	Action
8.	Correct the necessary data field(s). <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <b>NOTE:</b> Click each tab to review and/or change any necessary fields.           </div>
9.	Click the appropriate radio button under the <b>Print SF-50</b> field. <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <b>NOTE:</b> The Yes radio button must be selected to document the correction action in the employee's OPF.           </div>
10.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.

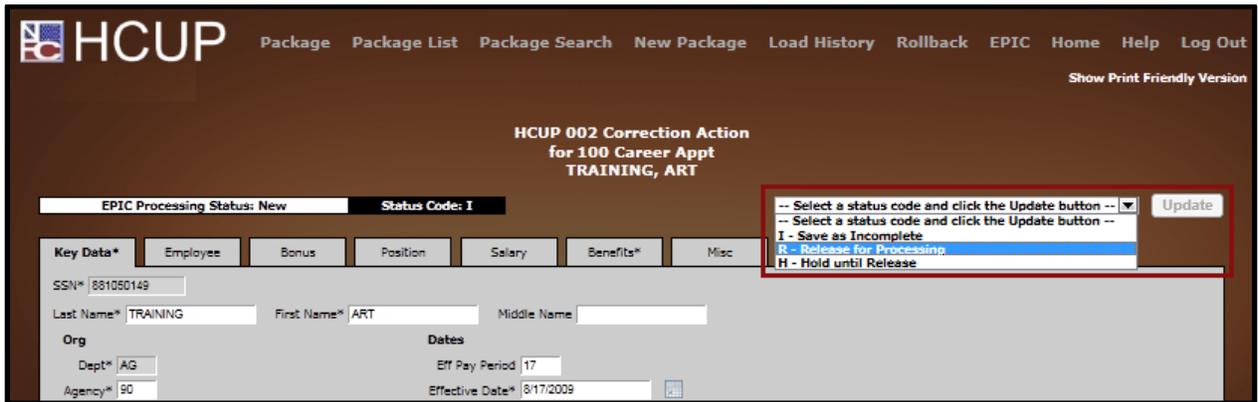


Figure 103: HCUP 002 Correction Action Page Status Drop-Down List

Step	Action
11.	Click <b>Update</b> . A pop-up message displays.

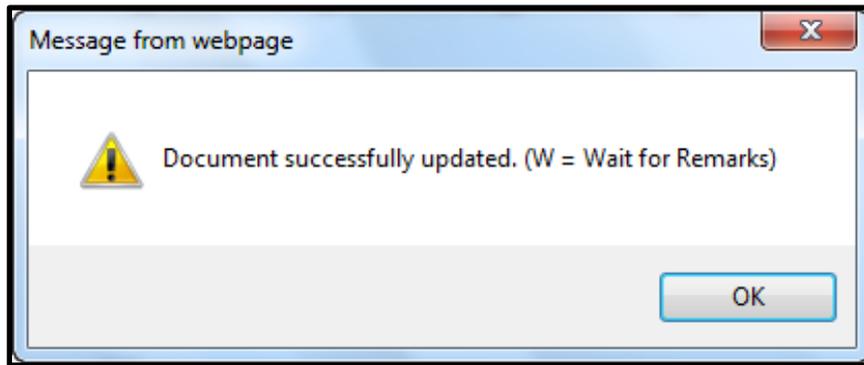


Figure 104: Pop-up Message

Step	Action
12.	Click <b>OK</b> . The Key Data* tab displays with a status code of W (Waiting for Remarks). <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>NOTE:</b> The pop-up displays, and the status code changes to W. If the action has an optional remark that can be added, the status code remains R (Release for Processing).</p> </div>

Step	Action
13.	Click the <b>Remarks</b> tab. The Remarks tab on the <b>HCUP Package 002 Correction Action</b> page displays. <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p><b>NOTE:</b> The Remarks tab does not display until all other tabs have been completed and a status has been selected from the <b>Select a status code and click the Update button</b> drop-down list.</p> </div>

**TIP:** Required remarks codes are system generated based on the NOAC entered previously. All remarks codes are listed in TMGT Table 052, Remarks Codes. If a remark's status code is W, it indicates the remark is required.

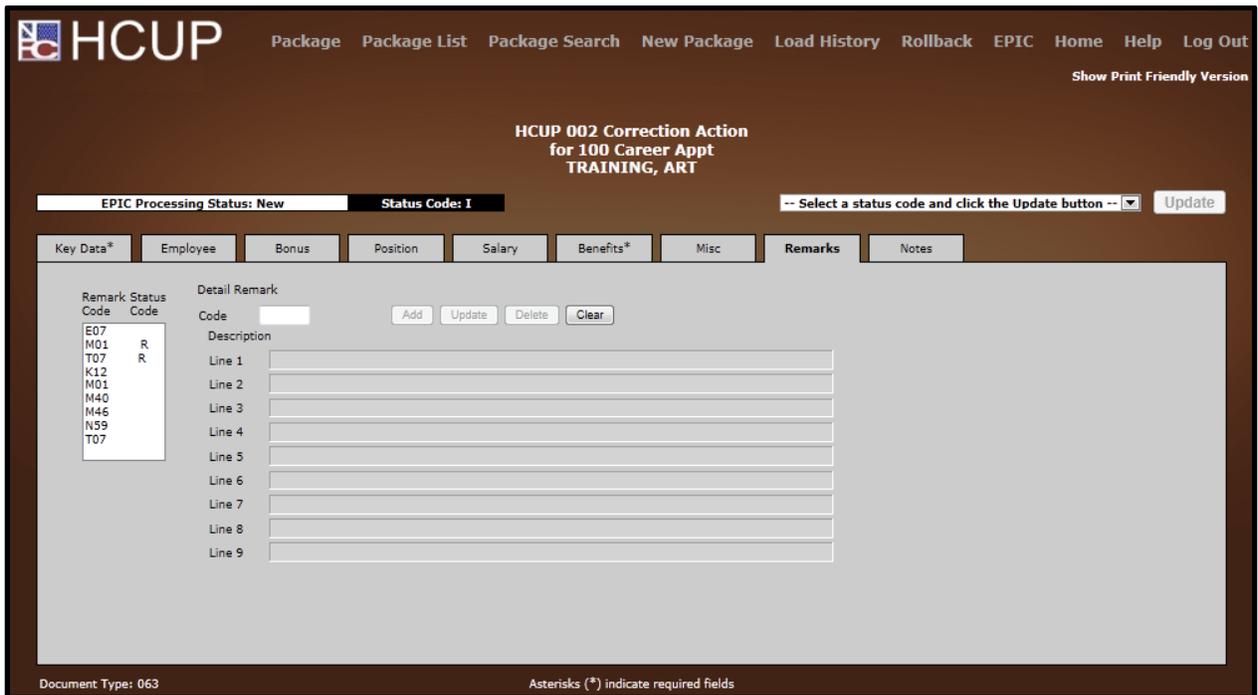


Figure 105: HCUP 002 Correction Action Page Remarks Tab

Step	Action
------	--------

Step	Action
14.	Click the remark code. A message displays in <b>Line 1</b> field.
15.	Enter the required information next to the message.
16.	Click <b>Update</b> . A pop-up message displays.

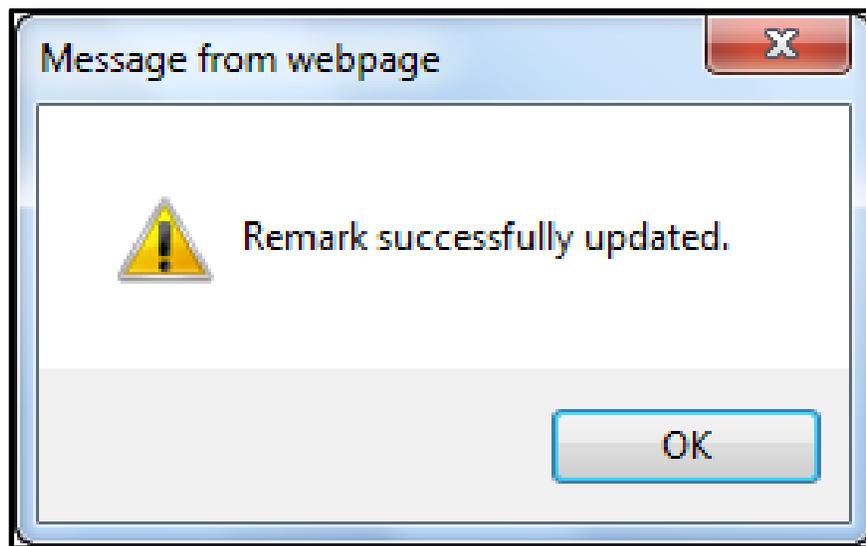


Figure 106: Pop-up Message

Step	Action
17.	Click <b>OK</b> . The entered information is saved, and the remark's status code changes to R.
18.	Click <b>Package</b> on the HCUP Menu Bar. The <b>HCUP Package</b> page displays with the released starting action.

As you learned in Chapter 3.0 HCUP, NFC's Payroll/Personnel System, and Inquiry Systems, history corrections, including correction actions, are processed as an entire HCUP package. You have just learned how to successfully correct and release the correction starting action, but each subsequent action within the HCUP package must be examined and addressed for any necessary changes based on the starting action. Finally, the HCUP package must be released so that PINE can verify it before the history correction applies to the PPS database.

**CAUTION:** You must examine and address every subsequent action in a HCUP package, since the correction starting action may have resulted in invalid data in the subsequent actions.

In Chapter 4.0 HCUP Access and Navigation Concepts, we learned how to address subsequent actions in a HCUP package and release the entire HCUP package. Refer to the procedures in Chapter 4.0 HCUP Access and Navigation Concepts for instructions on how to examine subsequent actions and release HCUP packages.

### Exercise 6.1: Correction as a Starting Action

#### Scenario

In reviewing the employee's OPF, you discover that an SF-2817, Life Insurance Form, was processed incorrectly in Pay Period 21 of 2013. The employee should have been coded with a FEGLI code of Z4.

#### Instructions

Follow the steps in the table on the next page to correct the Life Insurance Form in the employee's personnel history. The employee's IR525 history screen is shown below in Figure 107: Beth Training's IR525 Screen. You must complete the following actions within the HCUP package:

- Process a correction to the FEGLI change, 881 DPM, effective 10/21/2013
- Correct subsequent actions, as needed

PF		PROCESSED		EFF-DATE		NATURE OF ACTION		AGCY	POI	USER-ID
SEL	PP	YR								
	01	15	01	11	15	000	894 QWM ZLM	90	5317	BEAR60
	21	14	10	19	14	000	893 Q7M	90	5317	BEAR10
	18	14	09	07	14	000	849	90	5317	NP063E
	07	14	01	13	14	000	883 CCM	90	5317	NP225E
	01	14	01	12	14	000	894 QWM ZLM	90	5317	BEAR60
	26	13	12	29	13	000	915	90	5317	BEAR10
	22	13	10	21	13	000	881 DPM	90	5317	NP839E
	21	13	10	20	13	000	140 KQM	90	5317	NP839E

INQUIRY COMPLETE - ENTER NEXT SSN OR SCREEN NUMBER  
 PF9 = IR501 PF10 = IR502 PF11 = IR523  
 PF1 = SUB MENU PF5 = HELP PF8 = PG/DOWN ENTER = INQUIRY CLEAR = EXIT

Figure 107: Beth Training's IR525 Screen

Step	Action	Required Data
1.	Click <b>New Package</b> on the HCUP Menu Bar.	
2.	Enter the employee's social security number into the <b>SSN</b> field.	881050XXX
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.	90
4.	Click <b>Submit</b> .	
5.	Click <b>Correct</b> on the action to be corrected.	881 DPM, effective 10/21/2013
6.	Click <b>OK</b> .	
7.	Click the correction starting action.	002 881 DPM
8.	Click the appropriate radio button under the <b>Print SF-50</b> field.	Yes
9.	Click the <b>Benefits</b> tab.	
10.	Select the appropriate FEGLI coverage code from the <b>FEGLI Coverage Code</b> drop-down list.	Z4-Basic-5x Additional-4x Family
11.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
12.	Click <b>Update</b> .	
13.	Click <b>OK</b> .	
14.	Click <b>Package</b> on the HCUP Menu Bar.	
15.	Click the next subsequent action.	004 915, effective 12/29/2013

Step	Action	Required Data
16.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
17.	Click <b>OK</b> .	
18.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
19.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
20.	Click <b>Update</b> .	
21.	Click <b>OK</b> .	
22.	Click <b>Package</b> on the HCUP Menu Bar.	
23.	Click the next subsequent action.	004 894 QWM, effective 01/12/2014
24.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
25.	Click <b>OK</b> .	
26.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
27.	Click the <b>Benefits</b> tab.	
28.	Select the appropriate FEGLI coverage code from the <b>FEGLI Coverage Code</b> drop-down list.	Z4-Basic-5x Additional-4x Family
29.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
30.	Click <b>Update</b> .	

Step	Action	Required Data
31.	Click <b>OK</b> .	
32.	Click <b>Package</b> on the HCUP Menu Bar.	
33.	Click the next subsequent action.	004 883, effective 01/13/2014
34.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
35.	Click <b>OK</b> .	
36.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
37.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
38.	Click <b>Update</b> .	
39.	Click <b>OK</b> .	
40.	Click <b>Package</b> on the HCUP Menu Bar.	
41.	Click the next subsequent action.	004 893 Q7M, effective 10/19/2014
42.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
43.	Click <b>OK</b> .	
44.	Select the applicable radio button under the <b>Print SF-50</b> header.	No
45.	Click the <b>Benefits</b> tab.	

Step	Action	Required Data
46.	Select the appropriate FEGLI coverage code from the <b>FEGLI Coverage Code</b> drop-down list.	Z4-Basic-5x Additional-4x Family
47.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
48.	Click <b>Update</b> .	
49.	Click <b>OK</b> .	
50.	Click <b>Package</b> on the HCUP Menu Bar.	
51.	Click the next subsequent action.	004 894 QWM, effective 01/11/2015
52.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
53.	Click <b>OK</b> .	
54.	Click the appropriate radio button under the <b>Print SF-50</b> field.	Yes
55.	Click the <b>Benefits</b> tab.	
56.	Select the appropriate FEGLI coverage code from the <b>FEGLI Coverage Code</b> drop-down list.	Z4-Basic-5x Additional-4x Family
57.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
58.	Click <b>Update</b> .	
59.	Click <b>OK</b> .	
60.	Click <b>Package</b> on the HCUP Menu Bar.	

Step	Action	Required Data
61.	Select the applicable package action from the <b>Select a package action</b> drop-down list.	Release package
62.	Click <b>Submit</b> .	
63.	Click <b>OK</b> .	
64.	Click <b>Package</b> on the HCUP Menu Bar.	

### **6.3. Correcting Effective Dates**

#### *Lesson Overview*

This lesson explains how to correct effective dates of actions within the HCUP system and describes the special considerations that a user must take when processing corrections to effective dates.

#### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe the conditions that require the correction of effective dates
- Explain the special considerations when processing the correction of effective dates

#### **Introduction to Correcting Effective Dates**

Let's examine a particular type of correction within a HCUP package, the correction of effective dates. Correcting effective dates of personnel actions that have applied to the database fall into the following basic categories:

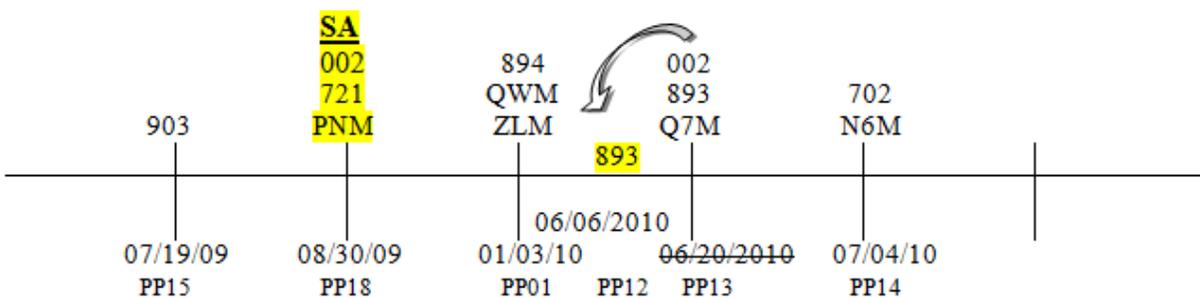
- Correcting the effective date of a replacement action within a HCUP package,
- Correcting the effective date of a starting action to an earlier date which is later than that of the immediately previous action, or
- Correcting the effective date of a starting action to a later date which is earlier than that of the immediately subsequent action.

We will look at each of these more in-depth in the following subsections.

## Correcting the Effective Date of a Replacement Action within a HCUP Package

Let's consider an example in which you must correct the effective date of a replacement action within a HCUP package. You established a HCUP package with a starting action of 002 721 effective 08/30/2009. As part of your HCUP process, you also correct the 06/20/2010 effective date of the 893 action that falls within the package to an earlier date. We will address when you can and when you cannot process an official correction. There are no intervening actions in any of these examples.

In this example, this adjustment is within the range of the database and affects the employee's pay as he is entitled to the step increase one pay period earlier. You will then be able to change the 004 replacement action created by HCUP to a 002 official correction action, with a new effective date of 06/06/2010.



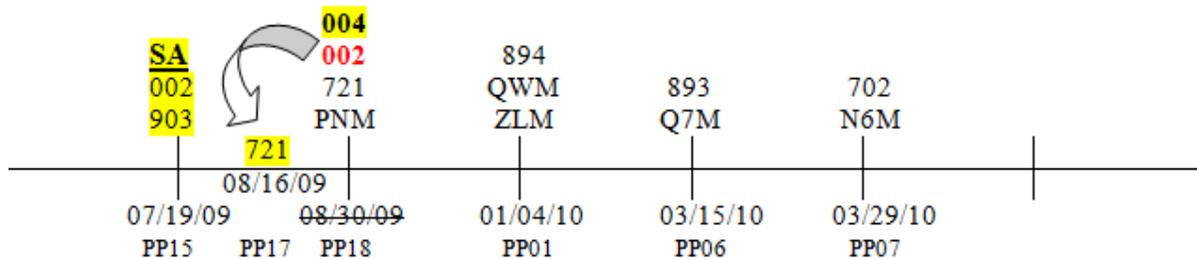
While the action is an official correction, remember that:

- PINE processes corrections as replacements of PERHIS actions that were unofficially cancelled in the behind the scene HCUP process as a 007. Official corrections are edited as initial (original) actions rather than correction actions.
- ADJP adjusts prior pay periods and depending upon the NOAC corrected, pay additional money, or bill adjusted pay period as needed.

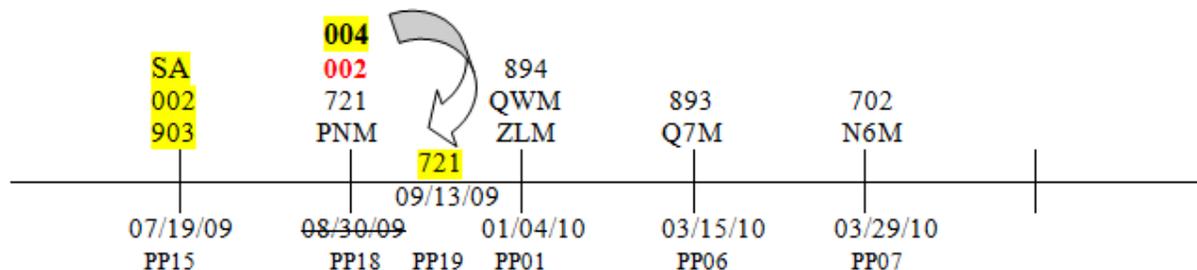
**IMPORTANT:** If correcting the effective date of an action within a package to a later date within the range of the database, you must officially cancel the action and insert a new action with the correct effective date. You cannot process as an official correction to the effective date because the ADJP process would not properly revalidate the original pay period.

In this example, you established a HCUP package with a starting action of 002 903 effective 07/19/2009. As part of your HCUP process, you are also correcting the 08/30/2009 effective date of the 721 action that falls within the package to an earlier date with no intervening actions. These adjustments are beyond the range of the database, therefore it does not matter if the employee's pay is affected as a SPSS Web request would be required for overpayment or underpayment.

You will need to change the 004 replacement action given to you by HCUP to a 002 official correction action, with a new effective date of 08/16/2009.



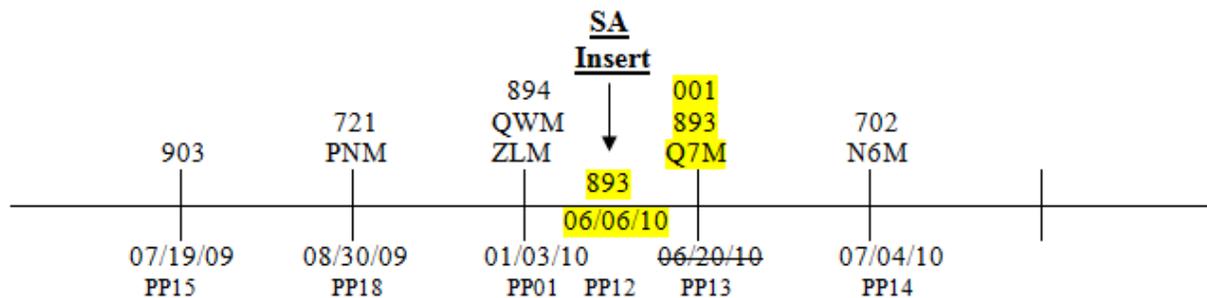
If changing the effective date to a later date, change the 004 replacement action given to you by HCUP to a 002 official correction action, with a new effective date of 09/13/2009.



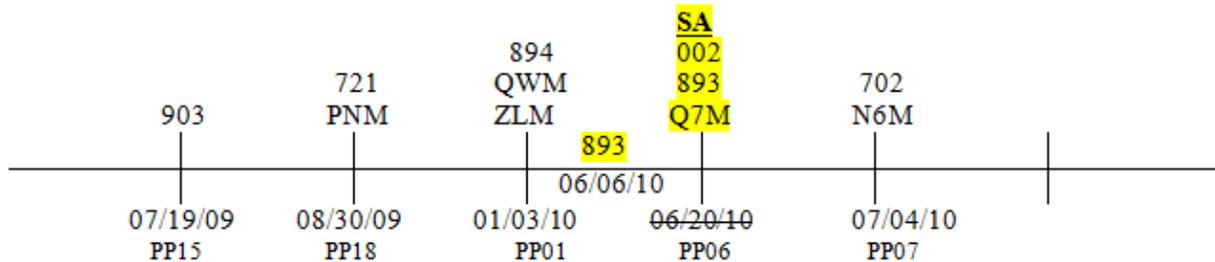
## Correcting the Effective Date of a Starting Action to an Earlier Date

Next, let's consider correcting the effective date of a starting action to an earlier date which is later than that of the immediately previous action. In this case, our starting action is the action that requires correction of the effective date. Corrections required to the following examples are not affected by intervening actions.

Because the 893 action effective 06/20/2010 should have been effective one pay period earlier, it is considered an invalid action. You must establish a package with an insert 893 effective 06/06/2010 and officially cancel the 893 effective 06/20/2010. It is within the range of the database and it affects the employee's pay. Starting the package with an insert action restores the database to the prior non-exception action and generates the proper system revalidations to pay the additional amount that is due to the employee.



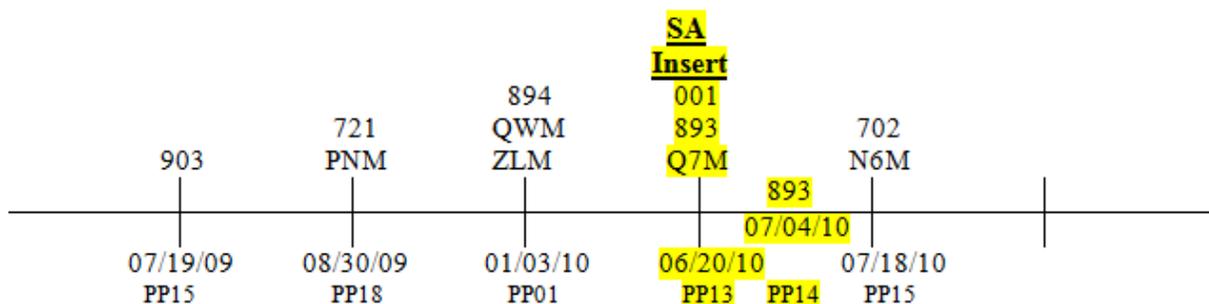
If the correction of an action's effective date is beyond the range of the database, with no intervening actions, the starting action would be an official correction action to the original action. You would simply key in the new effective date of 08/16/2009 in the effective date field of the action on the key data window. Submit an SPPS Web request to adjust any overpayment or underpayment of pay.



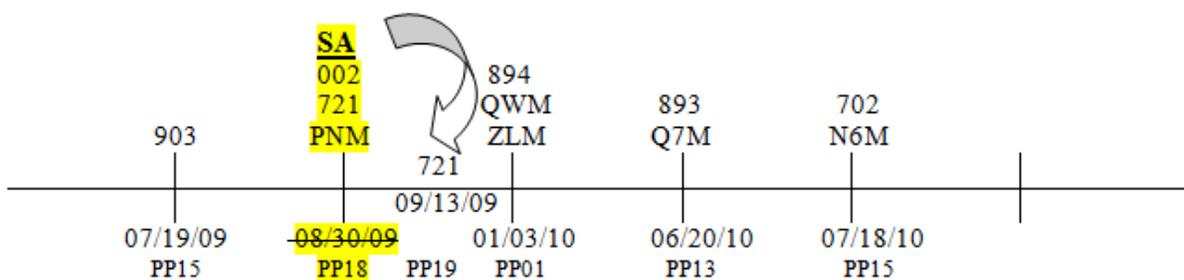
**NOTE:** When you correct an effective date that crosses an intervening action, you must start your package as an insert action with an earlier effective date and officially cancel the invalid (original) action. This applies to adjustments both within and beyond the range of the database.

## Correcting the Effective Date of a Starting Action to a Later Date

Next, let's consider correcting the effective date of a starting action to a later date which is earlier than the immediately subsequent action. If the new effective date falls within the range of the database and the employee's pay is affected by the action, you must officially cancel the invalid 893 action effective 06/20/2010. Beginning the package with an official cancellation action restores the database to the prior 894 action and generates the proper system revalidations to generate a bill for overpayment of pay.



If the new effective date falls beyond the range of the database or if the employee's pay is not affected by the action, you must correct the effective date. If correcting the effective date of the 721 effective 08/30/2009 to 09/13/2009, your starting action would be a 002 to the 721 effective 08/30/2009. You would then simply change the effective date to 09/13/2009.



**NOTE:** When you correct an effective date that crosses an intervening action, you must start your package as an official cancellation of the invalid (original) action and insert your new action with the later effective date. This applies to adjustments both within and beyond the range of the database.



## 6.4. Correcting NOACs

### *Lesson Overview*

This lesson explains how to correct NOACs within the HCUP system and describes the special considerations that a user must take when processing corrections to NOACs.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe the conditions that require the correction of NOACs
- Explain the special considerations when processing the correction of NOACs
- Process a NOAC correction

The correction of a NOAC and/or authority code(s) depends on the type of action. You can correct the following types of NOAC and/or authority code(s):

- Accession actions,
- Separation actions that have not yet passed to history,
- Separation actions that have passed to history, and
- Actions which are neither accessions nor separations.

When an action's authority code is neither an accession nor a separation, you cannot correct its NOAC as an official correction. If you need to correct the NOAC, you must officially cancel the invalid action and insert the correct action. If the invalid NOAC that you need to correct falls within the package, change its corresponding 004 action to an official cancellation action and add the action with the correct NOAC as an insertion (newly required) action.

- If you only need to correct the authority code of an action which is neither an accession nor a separation and that action is the starting action of the package, choose an official correction to the action as your starting action. On the Key Data tab, correct the OPM and/or Legal Authority Code as applicable.

-

- Corrections as Starting Actions refer to the procedure in Lesson 6.2.

In the procedure below, you learn how to process a NOAC correction:

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar. The <b>New HCUP Package Employee Selection</b> page displays.

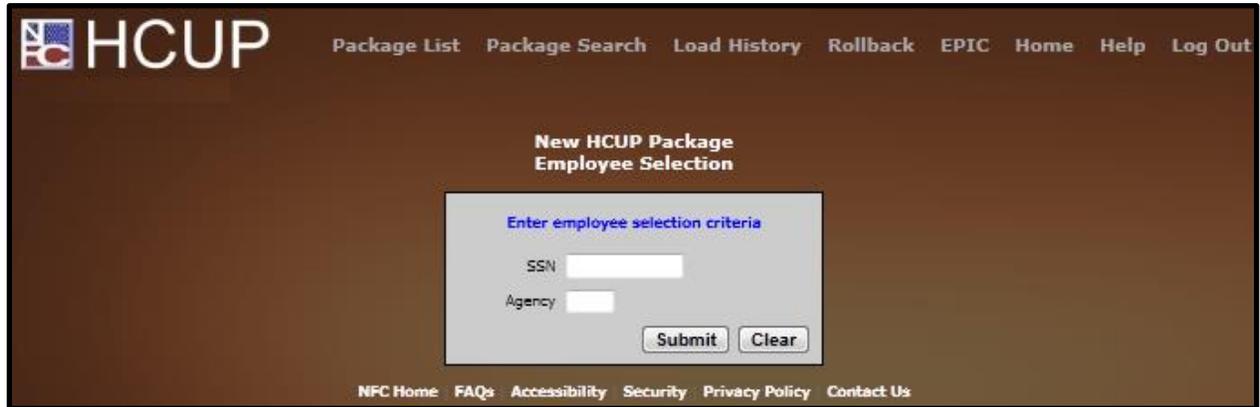


Figure 108: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee's social security number into the <b>SSN</b> field.
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.
4.	Click <b>Submit</b> . The <b>New HCUP Package History List</b> page displays for the selected employee.

**IMPORTANT:** You cannot start a HCUP package if one already exists for the employee, including Pending HCUP packages. To have the Pending package deleted, contact NFC's Contact Center at 1-855-NFC4GOV (1-855-632-4468).


 Package List   Package Search   New Package   Load History   Rollback   EPIC   Home   Help   Log Out

**New HCUP Package  
History List for ART TRAINING**

SSN=881050149, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed Date	Click a button to start the package
000			894	QWM	ZLM	1/3/2010	12/23/2009			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			100	ACM		8/17/2009	7/14/2009			HIST			90	5317	NP216E	6/24/2010	6/24/2010	Insert Correct Cancel
000			317	RPM		3/9/2007	3/9/2007			HIST			90	5317	NP216	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/7/2007	12/21/2006			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			12/24/2006	1/9/2007			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			11/26/2006	12/8/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			11/26/2006	12/1/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			841			6/25/2006	6/28/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			903	Z00		6/25/2006	6/23/2006			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	Insert Correct Cancel
000			841			6/11/2006	6/22/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			903			4/24/2006	4/24/2006			HIST			90	5317	PMSOC7	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			4/2/2006	4/10/2006			HIST			90	5317	NP021	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/8/2006	12/22/2005			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			847			10/30/2005	10/30/2005			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			6/26/2005	7/5/2005			HIST			90	5317	NP021	6/24/2010	6/24/2010	Insert Correct Cancel
000			903			5/1/2005	5/1/2005			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	ZLM		5/1/2005	4/25/2005			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel

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Figure 109: New HCUP Package History List Page

Step	Action
5.	Click <b>Correct</b> on the action to be corrected. The <b>HCUP Package</b> page displays with a pop-up message.

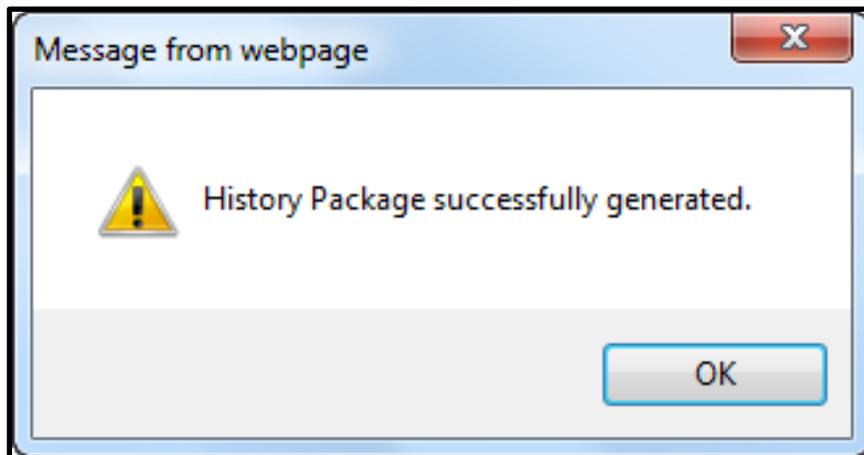
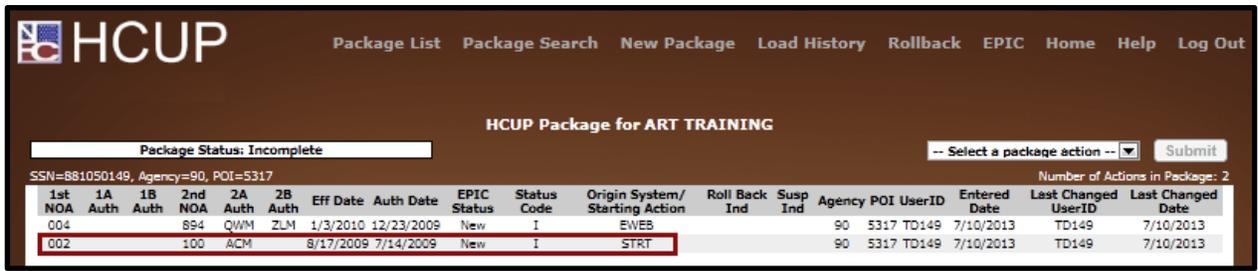


Figure 110: Pop-up Message

Step	Action
6.	Click <b>OK</b> . The HCUP package is generated. <div style="border: 1px solid yellow; padding: 5px; margin-top: 10px;"> <b>TIP:</b> The correction starting action has a 1<sup>st</sup> NOAC 002 and the 2<sup>nd</sup> NOAC of the selected action, i.e. 002 100 ACM.           </div>

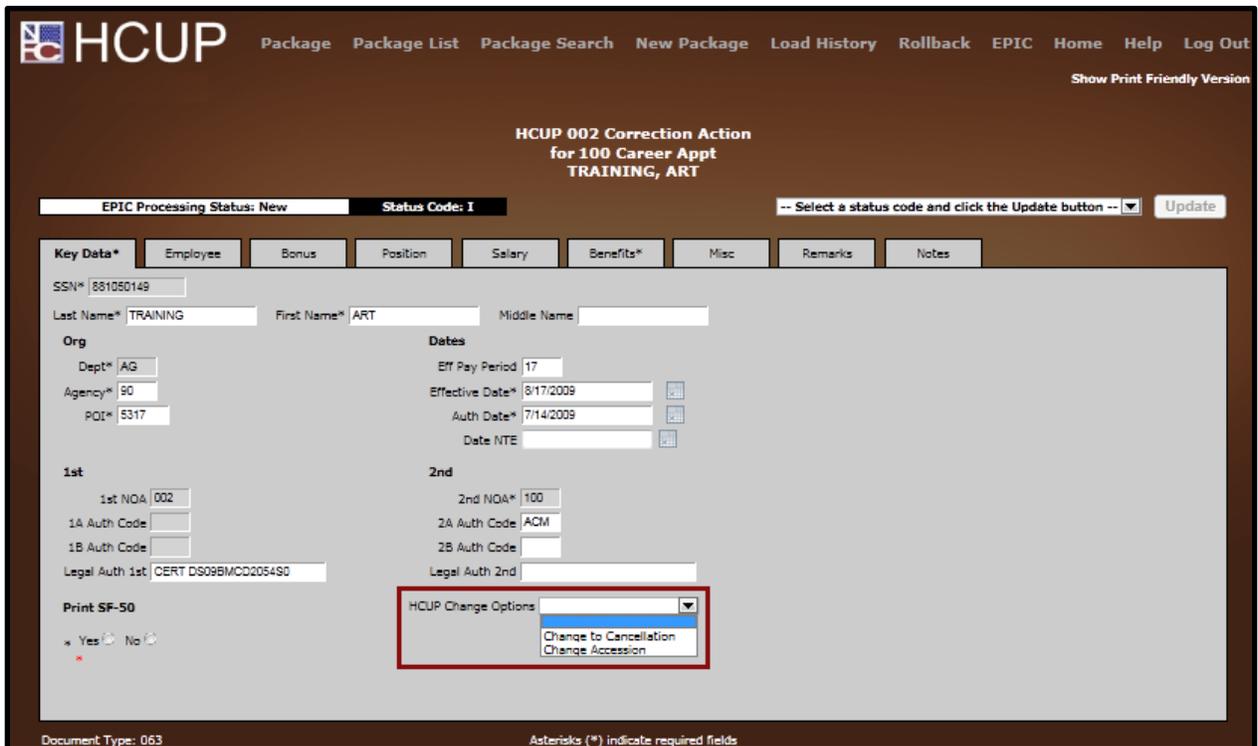


Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
**HCUP Package for ART TRAINING**  
 Package Status: Incomplete -- Select a package action -- Submit  
 SSN=881050149, Agency=90, POI=5317 Number of Actions in Package: 2

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004			894	QWM	ZLM	1/3/2010	12/23/2009	New	I	EWEB			90	5317	TD149	7/10/2013	TD149	7/10/2013
002			100	ACM		8/17/2009	7/14/2009	New	I	STRT			90	5317	TD149	7/10/2013	TD149	7/10/2013

Figure 111: HCUP Package Page

Step	Action
7.	Click the correction starting action. The <b>HCUP 002 Correction Action</b> page displays.



Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
**HCUP 002 Correction Action for 100 Career Appt TRAINING, ART**  
 EPIC Processing Status: New Status Code: I -- Select a status code and click the Update button -- Update  
 Key Data\* Employee Bonus Position Salary Benefits\* Misc Remarks Notes  
 SSN\* 881050149  
 Last Name\* TRAINING First Name\* ART Middle Name\*  
 Org Dept\* AG Eff Pay Period 17  
 Agency\* 90 Effective Date\* 8/17/2009  
 POI\* 5317 Auth Date\* 7/14/2009  
 Date NTE  
 1st 1st NOA 002 2nd 2nd NOA\* 100  
 1A Auth Code 2A Auth Code ACM  
 1B Auth Code 2B Auth Code  
 Legal Auth 1st CERT DS09BMC0205490 Legal Auth 2nd  
 Print SF-50  
 x Yes No  
 HCUP Change Options  
 Change to Cancellation  
 Change Accession  
 Document Type: 063 Asterisks (\*) indicate required fields

Figure 112: HCUP 002 Correction Action Page HCUP Change Options

Step	Action
8.	Select the applicable option from the <b>HCUP Change Options</b> drop-down list. The <b>2nd NOA*</b> field changes from a text field to a drop-down list, and a pop-up message displays.

**NOTE:** Select Change Accession for changes to an accession action. Select Change Separation for changes to a separation action.

**CAUTION:** You cannot correct a separation action if the employee's database master record has passed to history and is visible only in IR626. First cancel the separation action, then correct prior actions or enter the correct separation action type in the next processing cycle.

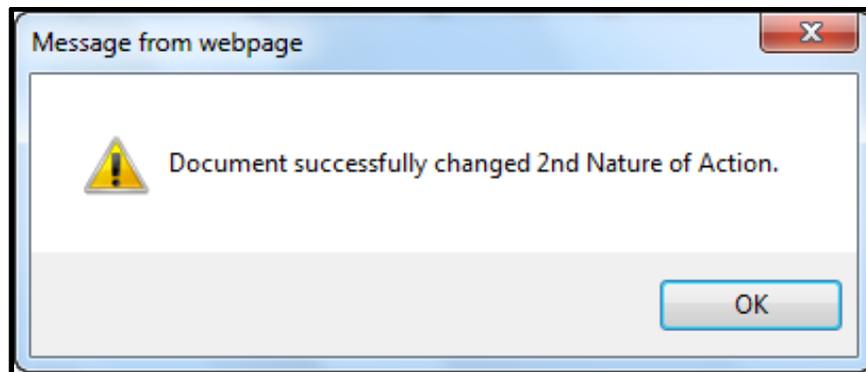


Figure 113: Pop-up Message

Step	Action
9.	Click <b>OK</b> .

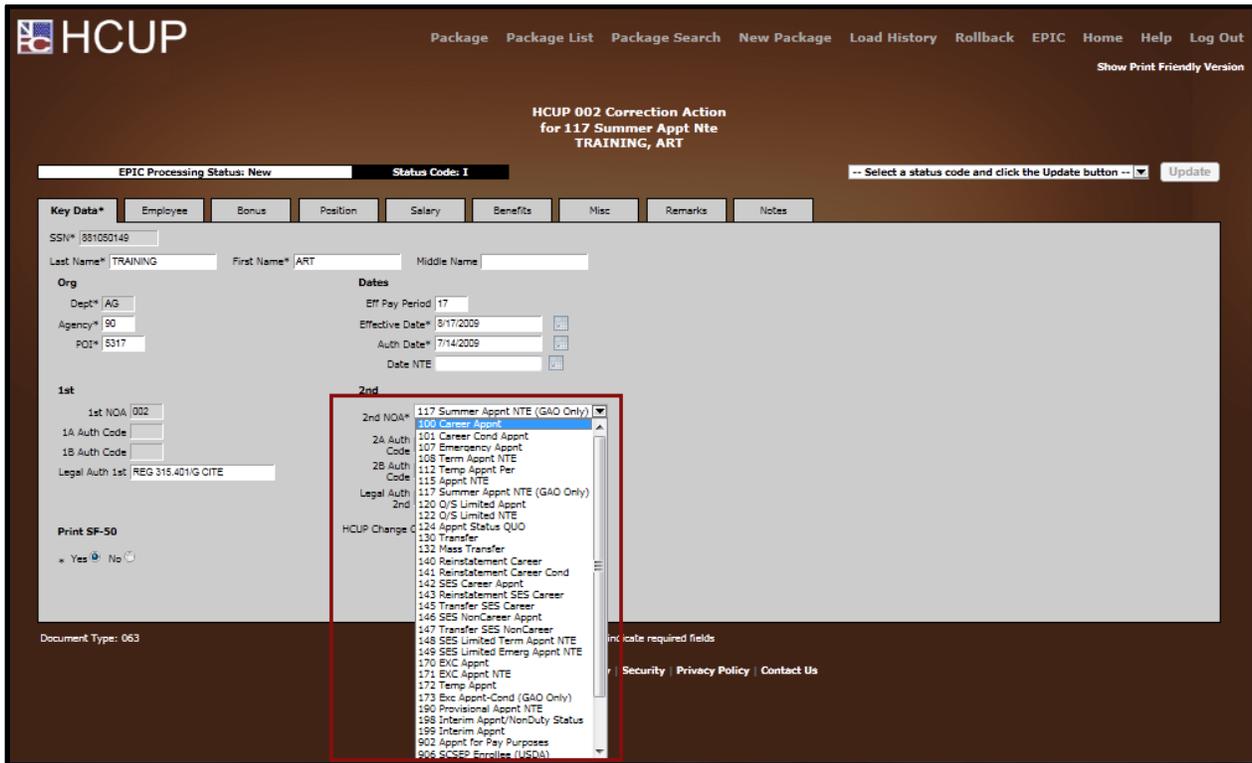


Figure 114: HCUP 002 Correction Action Page 2<sup>nd</sup> NOA Drop-Down List

Step	Action
10.	Select the correct second NOA from the <b>2<sup>nd</sup> NOA*</b> drop-down list.
11.	Enter the first authority code for the second NOAC in the <b>2A Auth Code</b> field.
12.	Enter the second authority code for the second NOAC in the <b>2B Auth Code</b> field.
13.	Enter the description of the law, executive order, regulation, rule, or other basis that authorizes the personnel action in the <b>Legal Auth 2<sup>nd</sup></b> field.
14.	Correct the necessary data field(s). <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"><b>NOTE:</b> Click the appropriate tab to change data on the necessary fields.</div>
15.	Click the appropriate radio button under the <b>Print SF-50</b> field.

Step	Action
16.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.

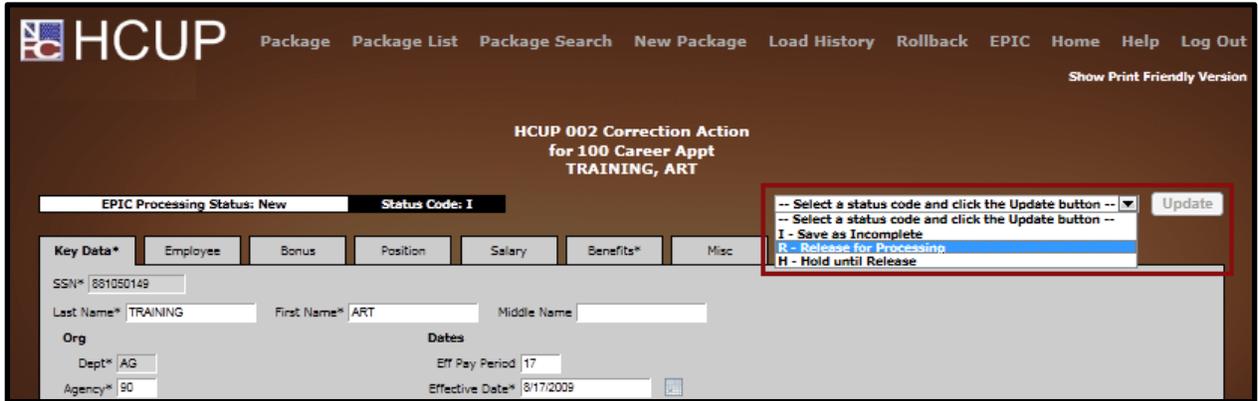


Figure 115: HCUP 002 Correction Action Page Status Drop-Down List

Step	Action
17.	Click <b>Update</b> . A pop-up message displays.

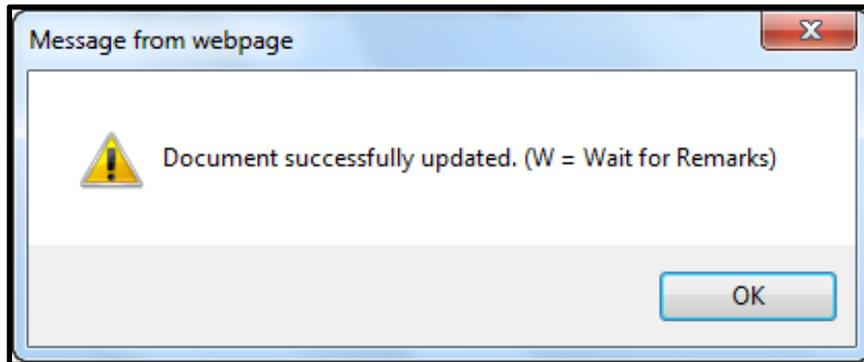
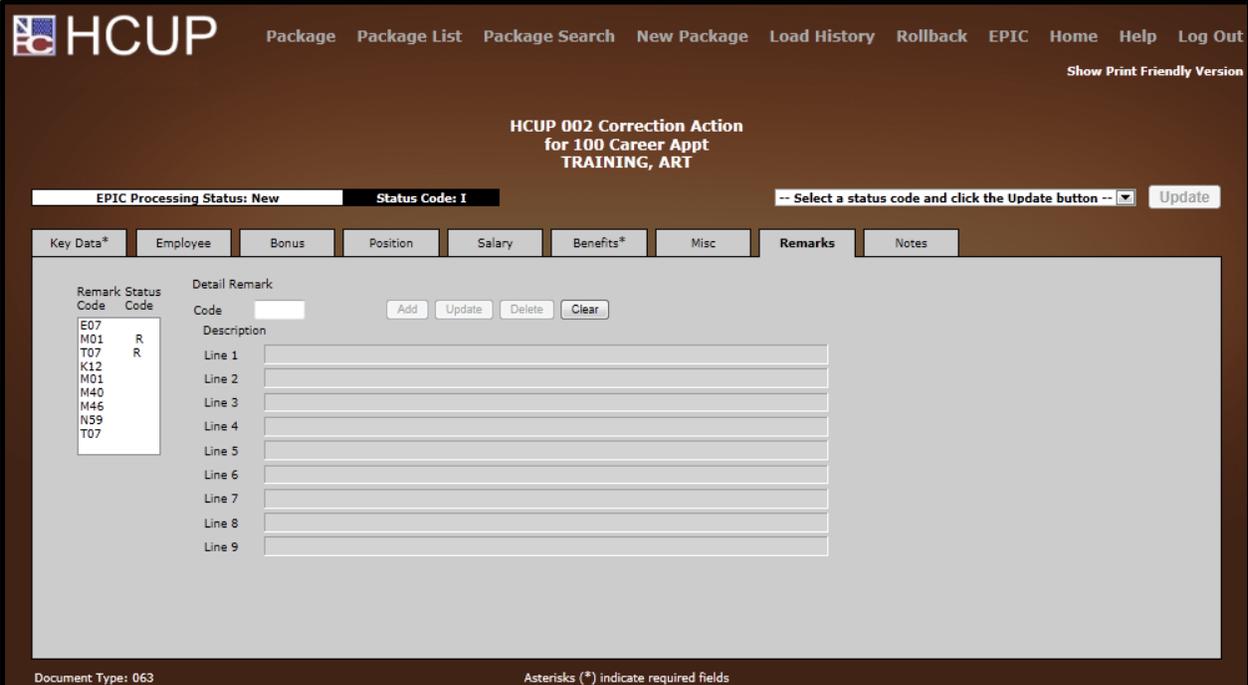


Figure 116: Pop-up Message

Step	Action
18.	<p>Click <b>OK</b>. The <b>Key Data*</b> tab displays with a status code of W (Waiting for Remarks).</p> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p><b>NOTE:</b> The pop-up message displays, and the status code changes to W. If the action has an optional remark that can be added, the status code remains R (Release for Processing).</p> </div>
19.	<p>Click the <b>Remarks</b> tab. The Remarks tab on the <b>HCUP Package 002 Correction Action</b> page displays.</p> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p><b>NOTE:</b> The Remarks tab does not display until all other tabs have been completed and a status has been selected from the <b>Select a status code and click the Update button</b> drop-down list.</p> </div>
<div style="border: 1px solid black; padding: 10px; background-color: #ffffcc;"> <p><b>TIP:</b> Required remarks codes are system generated based on the NOAC entered previously. All remarks codes are listed in TMGT Table 052, Remarks Codes. If a remark's status code is W, it indicates the remark is required.</p> </div>	



HCUP Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
Show Print Friendly Version

HCUP 002 Correction Action  
for 100 Career Appt  
TRAINING, ART

EPIC Processing Status: New Status Code: I -- Select a status code and click the Update button -- Update

Key Data\* Employee Bonus Position Salary Benefits\* Misc **Remarks** Notes

Remark Code	Status Code	Detail Remark
E07		
M01	R	
T07	R	
K12		
M01		
M40		
M46		
N59		
T07		

Code: [ ] Add Update Delete Clear

Description

Line 1 [ ]

Line 2 [ ]

Line 3 [ ]

Line 4 [ ]

Line 5 [ ]

Line 6 [ ]

Line 7 [ ]

Line 8 [ ]

Line 9 [ ]

Document Type: 063 Asterisks (\*) indicate required fields

Figure 117: HCUP 002 Correction Action Page Remark Tab

Step	Action
20.	Click the remark code. A message displays in <b>Line 1</b> field.
21.	Enter the required information next to the message.
22.	Click <b>Update</b> . A pop-up message displays.

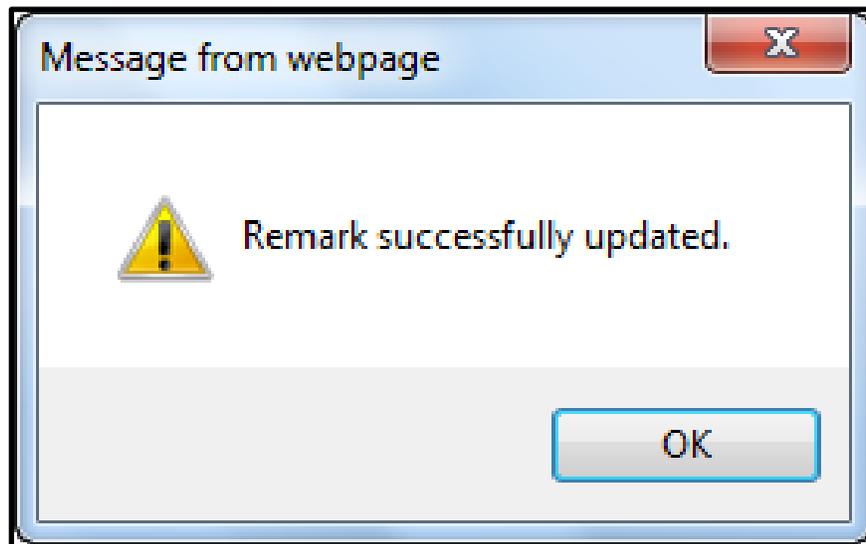


Figure 118: Pop-up Message

Step	Action
23.	Click <b>OK</b> . The entered information is saved, and the remark's status code changes to R.
24.	Click <b>Package</b> on the HCUP Menu Bar. The <b>HCUP Package</b> page displays with the released starting action.

## Exercise 6.2: Correction to an Accession Action

### Scenario

You discover that an employee's appointment was processed as a Transfer Appointment and should have been a Career Conditional Appointment.

### Instructions

Follow the steps in the table on the next page to correct the appointment in the employee's personnel history. The employee's IR525 history screen is shown below in **Figure 119: David Training's IR525 Screen**. You must complete the following actions within the HCUP package:

- Process a correction to the Transfer Appointment, 130/KTM, effective 07/18/10, changing it to a Career Conditional Appointment, 101/ACM, Cert #10-123 DTD 12/14. Correct other data elements on the action, as needed.

```

SSN 881080001 AG 90 * PERHIS PERSONNEL ACTIONS SUMMARY * 07/15/15 IR525
SCREEN 000 NAME DAVID TRAINING
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL

```

PF	PROCESSED	EFF-DATE	NATURE OF ACTION	AGCY	POI	USER-ID
SEL	PP YR					
	19 12	11 20 11	000 840	90	5317	NP025
	15 11	07 17 11	000 893 Q7M	90	5317	BEAR10
	15 10	07 18 10	000 130 KTM	90	5317	NP416E

```

INQUIRY COMPLETE - ENTER NEXT SSN OR SCREEN NUMBER 0000
PF9 = IR501 PF10 = IR502 PF11 = IR523
PF1 = SUB MENU PF5 = HELP PF8 = PG/DOWN ENTER = INQUIRY CLEAR = EXIT

```

Figure 119: David Training's IR525 Screen

Step	Action	Required Data
1.	Click <b>New Package</b> on the HCUP Menu Bar.	
2.	Enter the employee's social security number into the <b>SSN</b> field.	881080XXX
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.	90
4.	Click <b>Submit</b> .	
5.	Click <b>Correct</b> on the action to be corrected.	130 KTM, effective 07/18/2010
6.	Click <b>OK</b> .	
7.	Click the correction starting action.	002 130 KTM
8.	Click the appropriate radio button under the <b>Print SF-50</b> field.	Yes
9.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change Accession
10.	Select the applicable second NOA from the <b>2<sup>nd</sup> NOA*</b> drop-down list.	101 Career Conditional Appointment
11.	Click <b>OK</b> .	
12.	Remove the legal authority code in the <b>Legal Auth 1<sup>st</sup></b> field.	
13.	Enter the first authority code for the second NOAC in the <b>2A Auth Code</b> field.	ACM

Step	Action	Required Data
14.	Enter the description of the law, executive order, regulation, rule, or other basis that authorizes the personnel action in the <b>Legal Auth 2<sup>nd</sup></b> field.	Cert #10-123 DTD 12/14
15.	Click the <b>Misc</b> tab	
16.	Enter the appropriate <b>SCD RIF Date</b>	07/18/10
17.	Enter the appropriate <b>Probationary Period Start Date</b>	07/18/10
18.	Enter the appropriate <b>Career Tenure Start Date</b>	07/18/10
19.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
20.	Click <b>OK</b> .	
21.	Click <b>Update</b> .	
22.	Click the <b>Remarks</b> tab.	
23.	Click the first required <b>Remark Code</b> .	M01 W
24.	Enter the appropriate remarks into the <b>Line 1</b> field.	07/12/2010
25.	Click <b>Update</b> .	
26.	Click <b>OK</b> .	
27.	Click <b>Package</b> on the HCUP Menu Bar.	
28.	Click the next subsequent action.	004 893 Q7M, effective 07/17/2011
29.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
30.	Click <b>OK</b> .	

Step	Action	Required Data
31.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
32.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
33.	Click <b>Update</b> .	
34.	Click <b>OK</b> .	
35.	Click <b>Package</b> on the HCUP Menu Bar.	
36.	Click the next subsequent action.	004 880 KMM, effective 05/10/2012
37.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
38.	Click <b>OK</b> .	
39.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
40.	Click the <b>Misc</b> tab	
41.	Select the appropriate code from the <b>Tenure</b> drop down list.	2-Group II
42.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
43.	Click <b>Update</b> .	
44.	Click <b>OK</b> .	
45.	Click <b>Package</b> on the HCUP Menu Bar.	

Step	Action	Required Data
46.	Click the next subsequent action.	004 893 Q7M, effective 07/15/2012
47.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
48.	Click <b>OK</b> .	
49.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
50.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
51.	Click <b>Update</b> .	
52.	Click <b>OK</b> .	
53.	Click <b>Package</b> on the HCUP Menu Bar.	
54.	Click the next subsequent action.	004 721 N2M, effective 10/07/2012
55.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
56.	Click <b>OK</b> .	
57.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
58.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
59.	Click <b>Update</b> .	
60.	Click <b>OK</b> .	

Step	Action	Required Data
61.	Click <b>Package</b> on the HCUP Menu Bar.	
62.	Click the next subsequent action.	004 702 N3M, effective 03/10/2013
63.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
64.	Click <b>OK</b> .	
65.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
66.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
67.	Click <b>Update</b> .	
68.	Click <b>OK</b> .	
69.	Click <b>Package</b> on the HCUP Menu Bar.	
70.	Click the next subsequent action.	004 903 Z00, effective 08/11/2013
71.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
72.	Click <b>OK</b> .	
73.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
74.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
75.	Click <b>Update</b> .	

Step	Action	Required Data
76.	Click <b>OK</b> .	
77.	Click <b>Package</b> on the HCUP Menu Bar.	
78.	Click the next subsequent action.	004 894 QWM, effective 01/12/2014
79.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
80.	Click <b>OK</b> .	
81.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
82.	Click the <b>Misc</b> tab	
83.	Select the appropriate code from the <b>Tenure</b> drop down list.	2-Group II
84.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
85.	Click <b>Update</b> .	
86.	Click <b>OK</b> .	
87.	Click <b>Package</b> on the HCUP Menu Bar.	
88.	Click the next subsequent action.	004 893 Q7M, effective 03/09/2014
89.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
90.	Click <b>OK</b> .	

Step	Action	Required Data
91.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
92.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
93.	Click <b>Update</b> .	
94.	Click <b>OK</b> .	
95.	Click <b>Package</b> on the HCUP Menu Bar.	
96.	Click the next subsequent action.	004 702 N6M, effective 03/09/2014
97.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
98.	Click <b>OK</b> .	
99.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
100.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
101.	Click <b>Update</b> .	
102.	Click <b>OK</b> .	
103.	Click <b>Package</b> on the HCUP Menu Bar.	
104.	Click the next subsequent action.	004 894 QWM, effective 01/11/2015
105.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction

Step	Action	Required Data
106.	Click <b>OK</b> .	
107.	Select the applicable radio button under the <b>Print SF-50</b> header.	Yes
108.	Click the <b>Misc</b> tab	
109.	Select the appropriate code from the <b>Tenure</b> drop down list.	2-Group II
110.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
111.	Click <b>Update</b> .	
112.	Click <b>OK</b> .	
113.	Click <b>Package</b> on the HCUP Menu Bar.	
114.	Select the applicable package action from the <b>Select a package action</b> drop-down list.	Release package
115.	Click <b>Submit</b> .	
116.	Click <b>OK</b> .	
117.	Click <b>Package</b> on the HCUP Menu Bar.	

## 6.5. Correcting Names and Social Security Numbers

### *Lesson Overview*

This lesson instructs users on how to correct names and social security numbers within an employee's record in HCUP.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Explain the process to correct names and social security numbers in HCUP
- Correct an employee's social security number in HCUP

### **Introduction to Correcting Names and Social Security Numbers**

Next, let's learn how to correct employee names and social security numbers. Corrections to names and social security numbers are processed as official corrections to the last non-exception action.

The name correction is changed within the current PERHIS record only. All prior PERHIS records will reflect the name as originally processed.

When you correct a social security number, the system automatically changes the social security number changed on historical and current records.

**CAUTION:** Official name changes must be processed using NOAC 780, Official Name Change.

In the procedure below, you learn how to process corrections to a name and social security number within a HCUP package:

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar. The <b>New HCUP Package Employee Selection</b> page displays.

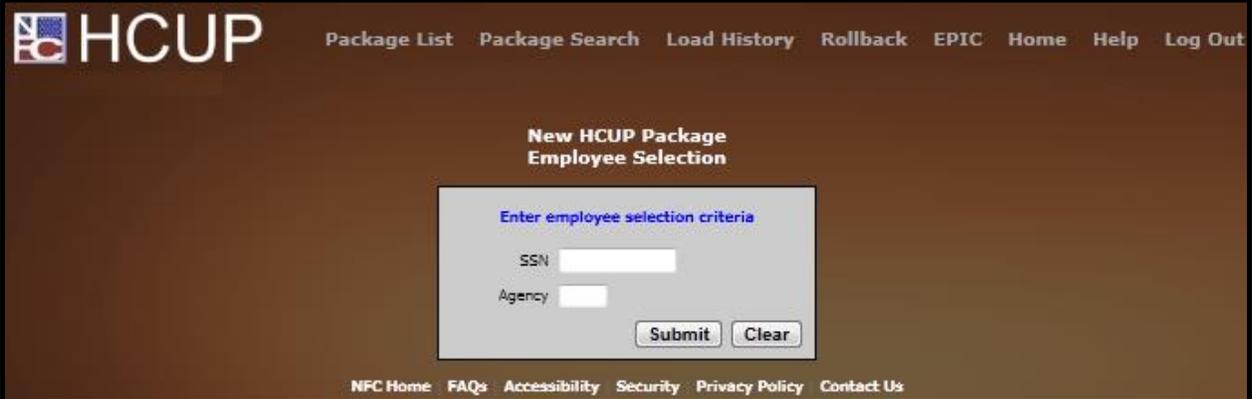


Figure 120: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee's social security number into the <b>SSN</b> field.
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.
4.	Click <b>Submit</b> . The <b>New HCUP Package History List</b> page displays for the selected employee.

**IMPORTANT:** You cannot start a HCUP package if one already exists for the employee, including Pending HCUP packages. To have the Pending package deleted, contact NFC's Contact Center at 1-855-NFC4GOV (1-855-632-4468).


 Package List   Package Search   New Package   Load History   Rollback   EPIC   Home   Help   Log Out

**New HCUP Package**  
**History List for TRAINING, TERRY**

SSN=881050149, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed Date	Click a button to start the package
000			894	QWM	ZLM	1/3/2010	12/23/2009			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			100	ACM		8/17/2009	7/14/2009			HIST			90	5317	NP216E	6/24/2010	6/24/2010	Insert Correct Cancel
000			317	RPM		3/9/2007	3/9/2007			HIST			90	5317	NP216	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/7/2007	12/21/2006			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			12/24/2006	1/9/2007			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			11/26/2006	12/8/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			11/26/2006	12/1/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			841			6/25/2006	6/28/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			903	Z00		6/25/2006	6/23/2006			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	Insert Correct Cancel
000			841			6/11/2006	6/22/2006			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			903			4/24/2006	4/24/2006			HIST			90	5317	PMSOC7	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			4/2/2006	4/10/2006			HIST			90	5317	NP021	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/8/2006	12/22/2005			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			847			10/30/2005	10/30/2005			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			6/26/2005	7/5/2005			HIST			90	5317	NP021	6/24/2010	6/24/2010	Insert Correct Cancel
000			903			5/1/2005	5/1/2005			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	ZLM		5/1/2005	4/25/2005			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel

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Figure 121: New HCUP Package History List Page

Step	Action
5.	Click <b>Correct</b> on the last non-exception action processed. The <b>HCUP Package</b> page displays with a pop-up message.

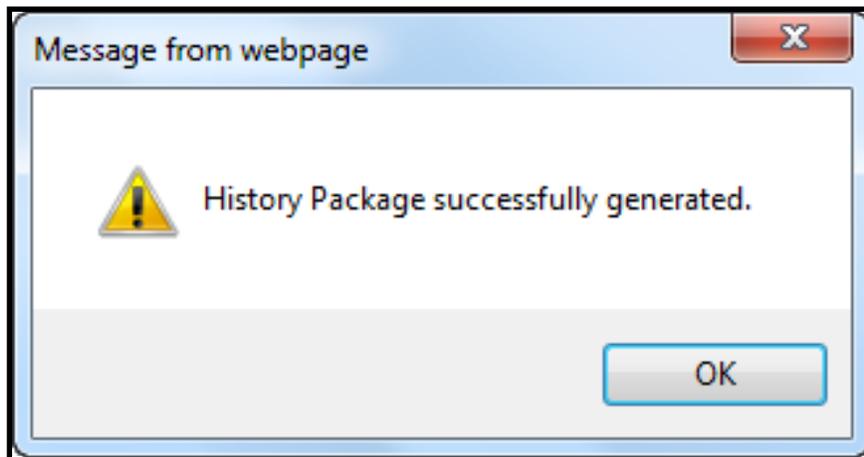


Figure 122: Pop-up Message

Step	Action
6.	Click <b>OK</b> . The HCUP package is generated. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>NOTE:</b> The correction starting action has a 1st NOAC 002 and the 2nd NOAC of the selected action, i.e. 002 100 ACM.</p> </div>



HCUP Package for TERRY TRAINING

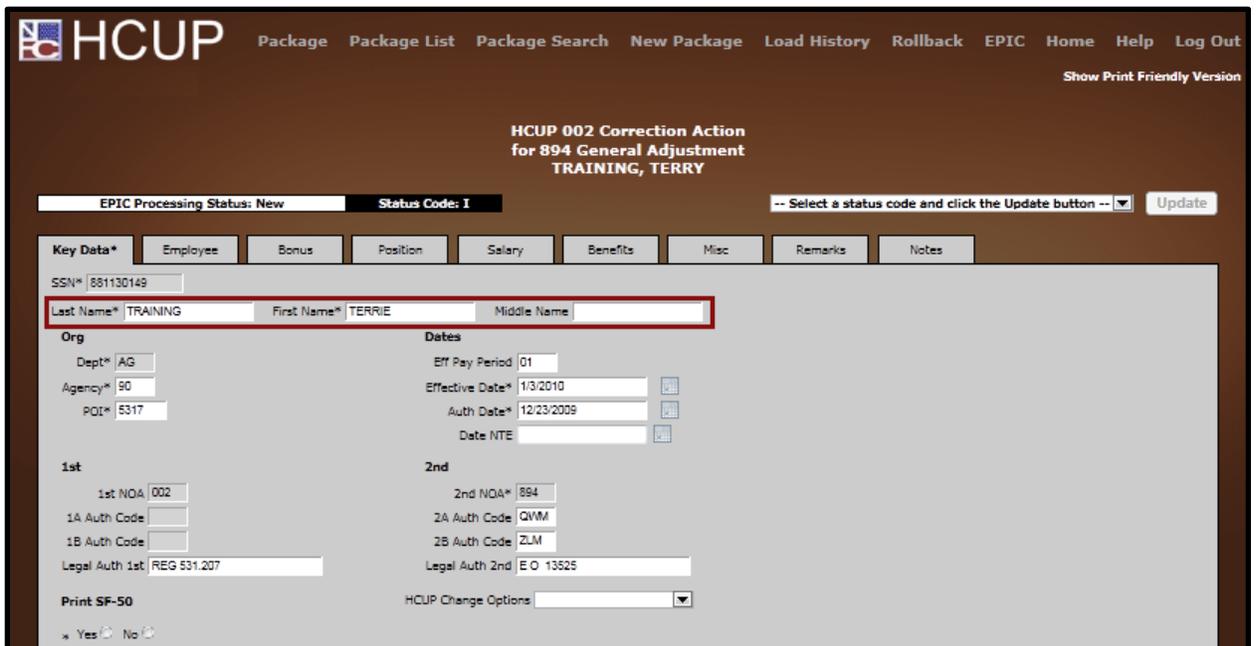
Package Status: Incomplete

SSN=881130149, Agency=90, POI=5317

1st NOAC	1A Auth	1B Auth	2nd NOAC	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
002			894	QWM	ZLM	1/3/2010	12/23/2009	New	I	STRT			90	5317 TD149	7/10/2013	TD149	7/10/2013

Figure 123: HCUP Package Page

Step	Action
7.	Click the correction starting action. The <b>HCUP 002 Correction Action</b> page displays.



HCUP 002 Correction Action for 894 General Adjustment TRAINING, TERRY

EPIC Processing Status: New Status Code: I

SSN\* | 881130149

Last Name\* | TRAINING First Name\* | TERRIE Middle Name |

Org: Dept\* | AG Agency\* | 90 POI\* | 5317

Dates: Eff Pay Period | 01 Effective Date\* | 1/3/2010 Auth Date\* | 12/23/2009 Date NTE |

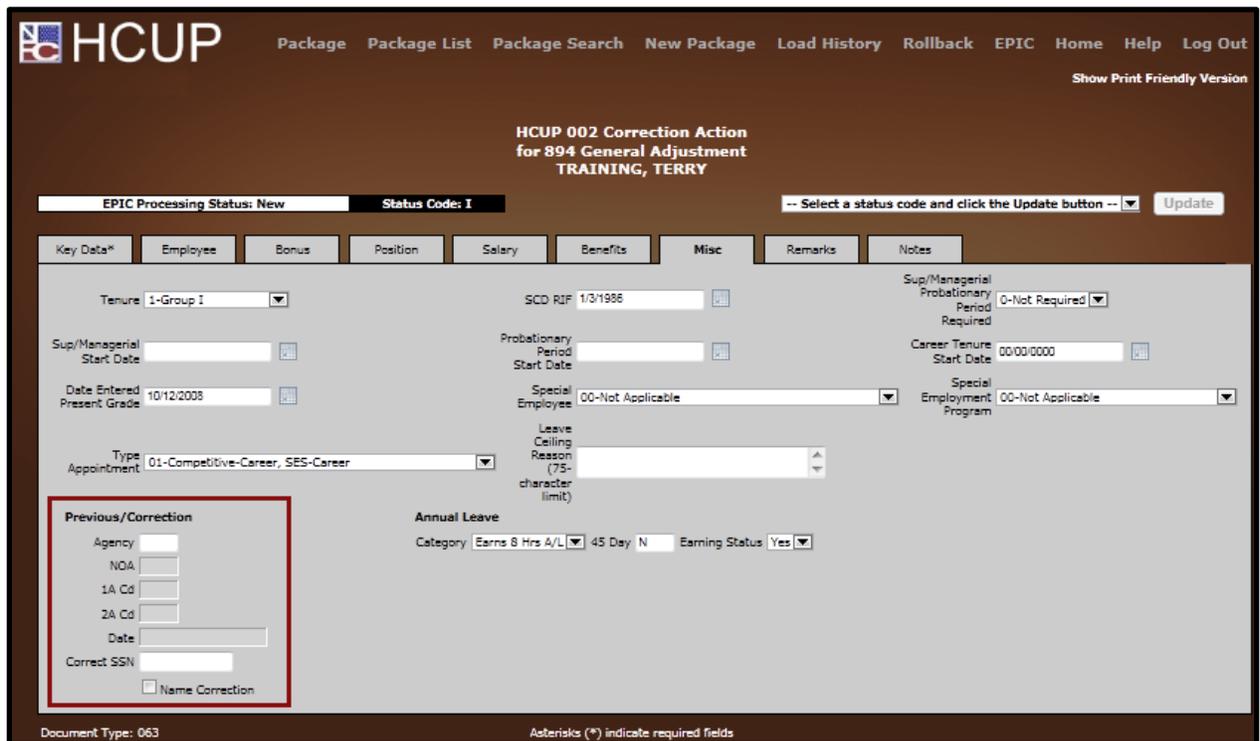
1st: 1st NOAC | 002 1A Auth Code | 1B Auth Code | Legal Auth 1st | REG 531.207

2nd: 2nd NOAC\* | 894 2A Auth Code | QWM 2B Auth Code | ZLM Legal Auth 2nd | E O 13525

Print SF-50 HCUP Change Options

Figure 124: HCUP 002 Correction Action Page

Step	Action
8.	Enter the employee's correct last name in the <b>Last Name*</b> field, as necessary.
9.	Enter the employee's correct first name in the <b>First Name*</b> field, as necessary.
10.	Click the appropriate radio button under the <b>Print SF-50</b> field.
11.	Click the <b>Misc</b> tab. The Misc tab on the <b>HCUP 002 Correction Action</b> page displays.



**HCUP** Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 Show Print Friendly Version

**HCUP 002 Correction Action for 894 General Adjustment TRAINING, TERRY**

EPIC Processing Status: New Status Code: I -- Select a status code and click the Update button -- Update

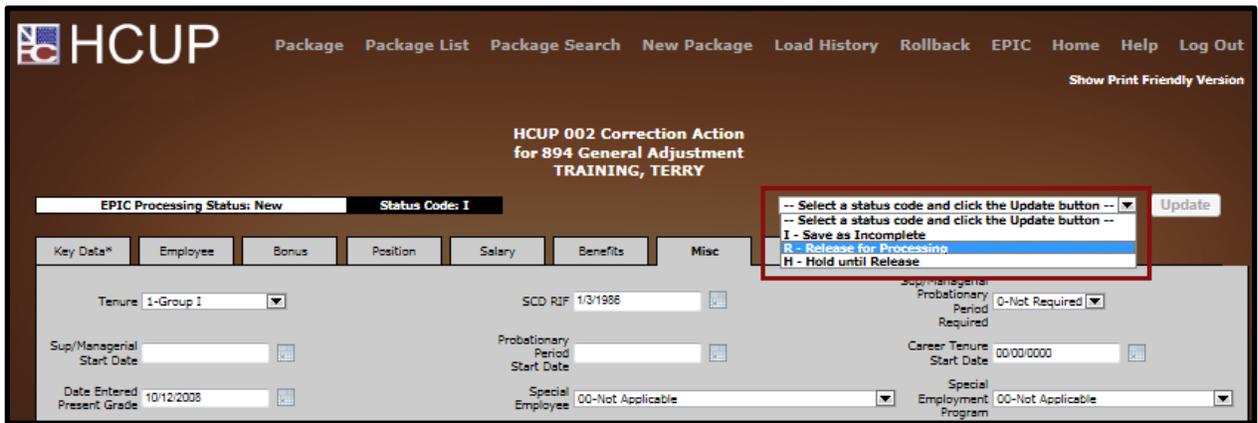
Key Data\* Employee Bonus Position Salary Benefits Misc Remarks Notes

Tenure 1-Group 1 SCD RIF 1/3/1988 Sup/Managerial Probationary Period Required 0-Not Required  
 Sup/Managerial Start Date Probationary Period Start Date Career Tenure Start Date 00/00/0000  
 Date Entered Present Grade 10/12/2008 Special Employee 00-Not Applicable Special Employment Program 00-Not Applicable  
 Type Appointment 01-Competitive-Career, SES-Career Leave Ceiling Reason (75-character limit)  
 Annual Leave Category Earns 8 Hrs A/L 45 Day N Earning Status Yes  
**Previous/Correction**  
 Agency NOA 1A Cd 2A Cd Date Correct SSN Name Correction

Document Type: 063 Asterisks (\*) indicate required fields

Figure 125: HCUP 002 Correction Action Page Misc Tab

Step	Action
12.	Enter the correct social security number in the <b>Correct SSN</b> field, as necessary.
13.	Click the <b>Name Correction</b> checkbox, if correcting a name.
14.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.



HCUP Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 Show Print Friendly Version

**HCUP 002 Correction Action for 894 General Adjustment TRAINING, TERRY**

EPIC Processing Status: New Status Code: I Update

Key Data\* Employee Bonus Position Salary Benefits Misc

Tenure 1-Group 1 SCD RIF 1/3/1986 Probationary Period 0-Not Required  
 Sup/Managerial Start Date Probationary Start Date Career Tenure Start Date 00/00/0000  
 Date Entered Present Grade 10/12/2008 Special Employee 00-Not Applicable Special Employment Program 00-Not Applicable

-- Select a status code and click the Update button --  
 -- Select a status code and click the Update button --  
 I - Save as Incomplete  
 R - Release for Processing  
 H - Hold until Release

Figure 126: HCUP 002 Correction Action Page Status Drop-Down List

Step	Action
15.	Click <b>Update</b> . A pop-up message displays.

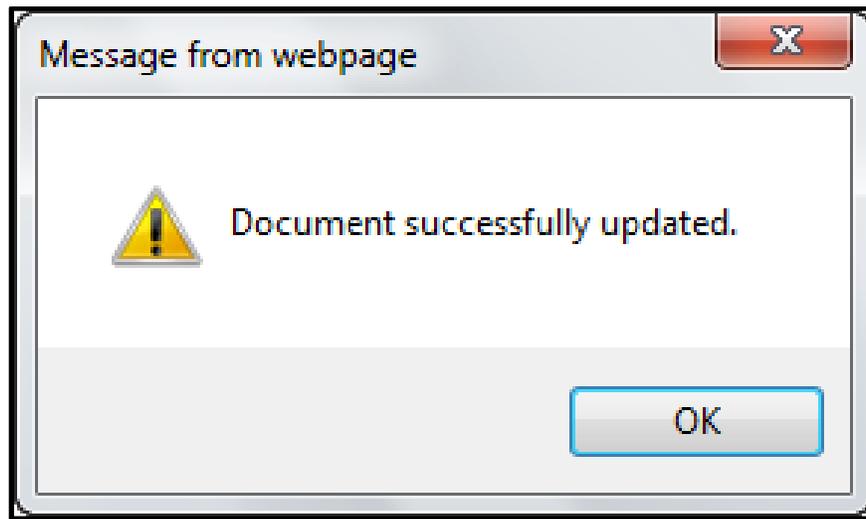


Figure 127: Pop-up Message

Step	Action
16.	Click <b>OK</b> . The correction action's status code changes to R.
17.	Click <b>Package</b> on the HCUP Menu Bar. The <b>HCUP Package</b> page displays with the released starting action.



Figure 128: HCUP Package Page - Release Package Status

Step	Action
18.	Select Release Package from the <b>Select a package action</b> drop-down list.
19.	Click <b>Submit</b> . A pop-up message displays.

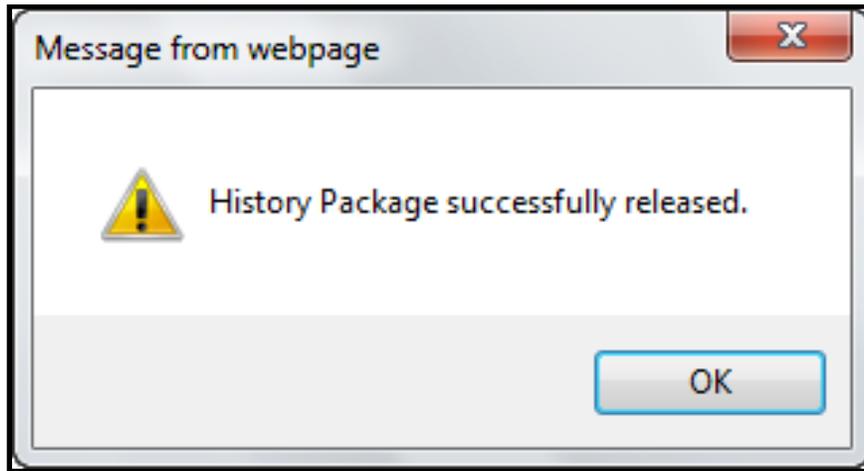


Figure 129: Pop-up Message

Step	Action
20.	Click <b>OK</b> . The HCUP package is released.
21.	Click <b>Package List</b> on the HCUP Menu Bar. The HCUP package status shows released.

Package List   Package Search   New Package   Load History   Rollback   EPIC   Home   Help   Log Out

**HCUP Package for TERRIE TRAINING**

Package Status: Released    -- Select a package action --    Submit

SSN=881130149, Agency=90, POI=5317    Number of Actions in Package: 1

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/Starting Action	Roll Back Ind	Susp Ind	Agency POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
002			894	QWM	ZLM	1/3/2010	12/23/2009	New	R	STRT			90	5317 TD149	7/10/2013	TD149	7/10/2013

Figure 130: HCUP Package Page

### Exercise 6.3: Correcting an Employee's Name

#### Scenario

You discover that an employee's official name is incorrect.

#### Instructions

Follow the steps in the table below to correct the employee's name. The employee's IR525 history screen is shown below in **Figure 131: Kerry Training's IR525 Screen**. You must complete the following actions within the HCUP package:

- Process an official correction to the last non-exception action and correct the official name.

SSN 081060101 AG 90 * PERHIS PERSONNEL ACTIONS SUMMARY * 04/13/15 IR525									
SCREEN 000 NAME KERRY TRAINING									
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL									
PF	PROCESSED			DOCUMENT					
SEL	PP	YR	EFF-DATE	NATURE OF ACTION			AGCY	POI	USER-ID
	01	15	01 11 15	000	894	QWM ZLM	90	5317	BEAR60
	20	14	09 21 14	000	849		90	5317	NP0172
	08	14	04 20 14	000	903	Z00	90	5317	BEAR10
	01	14	01 12 14	000	894	QWM ZLM	90	5317	BEAR60
	10	13	05 19 13	000	847		90	5317	NP063
	03	12	02 09 12	000	847		90	5317	NP839E
	17	12	11 20 11	000	840		90	5317	NP025
	18	11	08 28 11	000	881	DPM	90	5317	NP214E
	13	11	06 19 11	000	847		90	5317	NP0050
	12	11	06 05 11	000	790	UNM	90	5317	PMS0999
	11	10	05 23 10	000	893	Q7M	90	5317	BEAR10
	10	10	05 09 10	000	849		90	5317	NP088
	04	10	02 14 10	000	846		90	5317	NP088E
	01	10	01 03 10	000	894	QWM ZLM	90	5317	BEAR60

INQUIRY COMPLETE - PRESS PF8 FOR MORE RECORDS 0000

PF9 = IR501 PF10 = IR502 PF11 = IR523

PF1 = SUB MENU PF5 = HELP PF8 = PG/DOWN ENTER = INQUIRY CLEAR = EXIT

Figure 131: Kerry Training's IR525 Screen

Step	Action	Required Data
1.	Click <b>New Package</b> on the HCUP Menu Bar.	
2.	Enter the employee's social security number into the <b>SSN</b> field.	881060XXX
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.	90
4.	Click <b>Submit</b> .	
5.	Click <b>Correct</b> on the last non-exception action to be corrected.	894, effective 01/11/2015
6.	Click <b>OK</b> .	
7.	Click the correction starting action.	002 894, effective 01/11/2015
8.	Enter the correct last name in the <b>last name</b> field.	Training
9.	Enter the correct first name in the <b>first name</b> field.	Keri
10.	Click the appropriate radio button under the <b>Print SF-50</b> field.	Yes
11.	Click the <b>Misc</b> tab.	
12.	Click the appropriate box under the <b>Previous/Correction</b> field.	Name Correction

Step	Action	Required Data
13.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
14.	Click <b>Update</b> .	
15.	Click <b>OK</b> .	
16.	Click <b>Package</b> on the HCUP Menu Bar.	
17.	Select the applicable package action from the <b>Select a package action</b> drop-down list.	Release package
18.	Click <b>Submit</b> .	
19.	Click <b>OK</b> .	

## 6.6. Correcting Exception Actions

### *Lesson Overview*

This lesson explains how to correct exception actions within the HCUP system and describes the special considerations that a user must take when processing corrections to exception actions.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe the conditions that require the correction of exception actions in HCUP
- Explain the special considerations when processing the correction of exception actions in HCUP

### **Introduction to Correcting Exception Actions**

Finally, let's examine the correction of exception actions. We first learned about exception actions within HCUP in Chapter 5.0 Cancellation Actions. Refer to Lesson 5.5 Cancelling Exception Actions for a list of exception actions that can be corrected within HCUP.

You can correct most exception actions. These actions can be processed without regard to their effective dates. For this reason, the system does not generate unofficial cancellations of subsequent actions to restore the database to the point of the exception action. When your starting action is an exception action, it is the only action in the package.

**IMPORTANT:** You cannot correct detail related actions (730-732 & 922-924), 817 actions, 950 actions, and 984 actions. These actions are exception actions but are applied in date sequence and cannot be corrected. New actions documenting these NOAs cannot be inserted into a HCUP package.

## Correcting Cash Awards

The only field you may correct on a cash award is the effective date. Do not attempt to correct the amount of the award. If you need to correct the amount of a cash award, you must officially cancel it. Refer to Lesson 5.5 Cancelling Exception Actions for the procedure to cancel a cash award.

## Correcting Time Off Awards

If a time off award was processed with an incorrect number of hours, a correction to the time off award must be processed prior to the employee using any of the hours. Enter the correct number of hours in the **Base Salary** and **Verify Base Salary** fields of the action using the last four positions for hours and quarter hours preceded by zeros. You do not need to take additional action if:

- The number of hours on the correction action is greater than the number of hours on the award as originally processed, or
- The number of hours on the correction is fewer than the number of hours on the award as originally processed, and none of the hours have been used.

When correcting the effective date of a time off award, remember that time off award records are structured in such a way as to accommodate only one time off award with an effective date falling within a single pay period.

There are instances where the employee has used some or all of the time off hours but the award needs to be corrected. After the award is corrected, the timekeeper must submit corrected T&As substituting annual leave, compensatory leave, or other paid leave for time off used.

## 6.7. Chapter Review

### *Knowledge Check*

1. True or False:

\_\_\_\_\_ A. When an action is neither an accession nor a separation, you cannot correct its NOAC as an official correction.

\_\_\_\_\_ B. Official name changes must be processed using NOAC 780, Official Name Change.

\_\_\_\_\_ C. When you correct an effective date that crosses an intervening action, you must start your package as an insert action with an earlier effective date and officially cancel the invalid (original) action.

\_\_\_\_\_ D. You can correct all exception actions within HCUP.

2. Provide three examples of situations in which a correction action is necessary.

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### *Chapter Summary*

Having completed this chapter, you are now able to:

- Explain the purpose of correction actions within HCUP
- Describe how HCUP is used to correct effective dates, NOACs, names, social security numbers, and exception actions
- Execute correction actions within HCUP

## 7.0. Inserted Actions

---

### 7.1. Chapter Overview

This chapter introduces and explains the concept of inserted actions as starting actions within HCUP packages. This chapter also provides the procedures for inserting a starting action in HCUP.

#### *Chapter Objectives*

By the end of this chapter, you will be able to:

- Explain the purpose of inserted actions within HCUP
- Describe how HCUP is used to insert actions
- Create and release inserted actions as starting actions within HCUP packages
- Create and release inserted actions with effective dates equal to actions in history

## 7.2. Inserted Actions as Starting Actions

### *Lesson Overview*

This lesson introduces inserted actions as starting actions of HCUP packages. This lesson also provides procedures to insert a starting action in HCUP.

### *Lesson Objectives*

By the end of this chapter, you will be able to:

- Define the term “inserted action”
- Provide examples of inserted starting actions within HCUP packages
- Explain the steps necessary to initiate an inserted starting action
- Create and release HCUP packages that have inserted starting actions

### **Introduction to Inserted Actions**

You have learned about cancellation and correction starting actions within HCUP packages. This chapter will focus on inserted starting actions. An inserted action is an official action that:

- Is a newly-required retroactive action,
- Is the result of a late personnel action or cancellation, or
- Has erroneous effective dates.

An inserted action may be necessary in the following example situations:

- A decision is made to cancel a change to a lower grade, thus returning the employee to his or her prior grade. If the employee would have received a WGI if he or she had remained in the prior grade, the action to document the WGI is a newly-required action.
- A decision, order, or settlement agreement is reached under the rules of the MSPB, the EEOC, the FLRA, OPM, or the Agency, which requires the insertion of a retroactive personnel action.

The following procedure demonstrates how to process an inserted action as the starting action within a HCUP package:

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar. The <b>New HCUP Package Employee Selection</b> page displays.

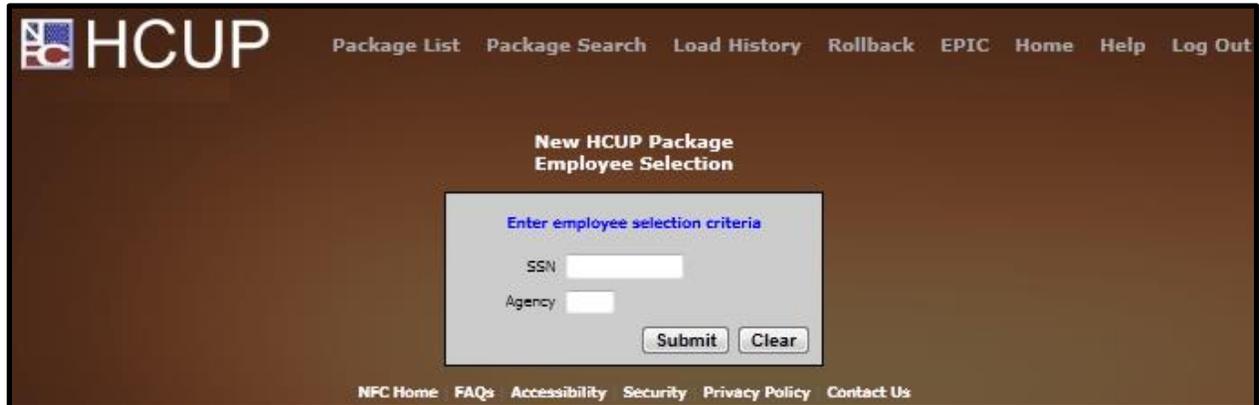


Figure 132: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee's social security number into the <b>SSN</b> field.
3.	Enter the Agency Code of the employee's current employing Agency, according to IR522, into the <b>Agency</b> field.
4.	Click <b>Submit</b> . The <b>New HCUP Package History List</b> page displays.

**IMPORTANT:** You cannot start a HCUP package if one already exists for the employee, including pending HCUP packages. To have the pending package deleted, contact NFC's Contact Center at 1-855-NFC4GOV (1-855-632-4468).


[Package List](#) [Package Search](#) [New Package](#) [Load History](#) [Rollback](#) [EPIC](#) [Home](#) [Help](#) [Log Out](#)

**New HCUP Package  
History List for AMY TRAINING**

SSN=881060149, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed Date	Click a button to start the package
000			702	N3M		4/11/2010	4/9/2010			HIST			90	5317	NP214E	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			894	QWM	ZLM	1/3/2010	12/23/2009			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			840			11/22/2009	12/5/2009			HIST			90	5317	NP215E	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			903	9BS		9/27/2009	1/4/2009			HIST			90	5317	BUSCD	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			903	Z00		7/19/2009	7/17/2009			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			846			6/21/2009	7/7/2009			HIST			90	5317	NP088	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			894	QWM	ZLM	1/4/2009	12/18/2008			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			840			11/23/2008	12/10/2008			HIST			90	5317	NP0050	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			847			9/28/2008	10/15/2008			HIST			90	5317	NP0050	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			893	Q7M		1/6/2008	1/5/2008			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			894	QWM	ZLM	1/6/2008	1/4/2008			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			849			11/26/2007	11/27/2007			HIST			90	5317	NP025	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			780	CGM		10/14/2007	10/25/2007			HIST			90	5317	NP216	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			780	CGM		10/14/2007	10/14/2007			HIST			90	5317	NP0049	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			894	QWM	ZLM	1/7/2007	12/21/2006			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			840			11/26/2006	12/5/2006			HIST			90	5317	NP021	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>
000			840			11/12/2006	11/20/2006			HIST			90	5317	NP021	6/24/2010	6/24/2010	<input type="button" value="Insert"/> <input type="button" value="Correct"/> <input type="button" value="Cancel"/>

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Figure 133: New HCUP Package History List Page

Step	Action
5.	Click <b>Insert</b> under the <b>Click a button to start the package</b> field. The <i>HCUP Insert Action</i> page displays. <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>NOTE:</b> You can click <b>Insert</b> at any NOAC, except separation NOACs, listed on the <i>New HCUP Package History List</i> page.</p> </div>

HCUP Insert Action for AMY TRAINING

SSN=881060149, Agency=90, POI=5317

Enter criteria for the insert action

1st NOA Code

Effective Date

Auth Date

Insert Agency

Insert POI

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Figure 134: HCUP Insert Action Page

Step	Action
6.	Select the applicable NOAC from the <b>1<sup>st</sup> NOA Code</b> drop-down list. <div style="border: 1px solid blue; padding: 5px; margin-top: 10px;"> <p><b>NOTE:</b> Personnel action types (i.e. Accessions, Position Changes, Separations, etc.) are listed in alphabetical order with submenus that list each NOAC numerically.</p> </div>
7.	Enter the effective date for the NOAC you are inserting in the <b>Effective Date</b> field.
8.	Enter the authentication date for the NOAC you are inserting in the <b>Auth Date</b> field.

Step	Action
	<p><b>TIP:</b> If the starting action is an insert, the effective date and authentication date are required. The authentication date is usually the approval date from Block 49 of the SF-50.</p> <p>If you insert an action as the starting action or insert an action anywhere within a package that has the same effective date as an existing action, you must pay special attention to the inserted action's authentication dates. PINE uses the authentication date to sequence actions with the same effective date.</p>
9.	Enter the Agency Code of the employee's current employing Agency, according to IR522, into the <b>Insert Agency</b> field.
10.	Enter the POI of the employee's current POI, according to IR522, into the <b>Insert POI</b> field.
11.	Click <b>OK</b> . A pop-up message displays.

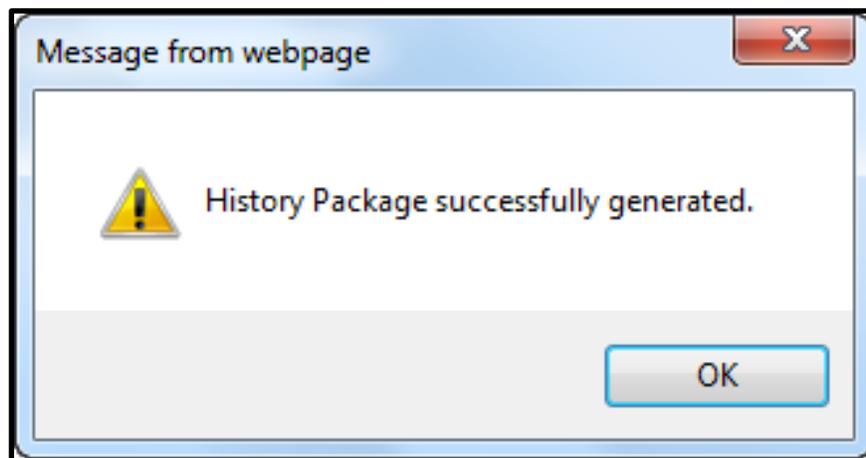


Figure 135: Pop-up Message

Step	Action
12.	Click <b>OK</b> . The <b>HCUP Package</b> page displays, and the HCUP package is created.


 Package List Package Search New Package Load History Rollback EPIC Home Help Log Out

**HCUP Package for NICHOLAS TRAINING**

Package Status: Incomplete
-- Select a package action --

SSN=881010149, Agency=90, POI=5317 Number of Actions in Package: 4

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/ Starting Action	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
004			894	QWM	ZLM	1/3/2010	12/23/2009	New	1	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
004			903	98S		9/27/2009	1/4/2009	New	1	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
004			893	Q7M		4/12/2009	4/11/2009	New	1	EWEB			90	5317	TD149	7/8/2013	TD149	7/8/2013
702						3/1/2009	2/27/2009	New	1	STRT			90	5317	TD149	7/8/2013	TD149	7/8/2013

Figure 136: HCUP Package Page

Step	Action
13.	Click the starting action on the <b>HCUP Package</b> page. The Key Data* tab displays.


 Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out

**HCUP Package Insert Action  
for 702 Promotion  
TRAINING, NICHOLAS**

EPIC Processing Status: New
 Status Code: I
-- Select a status code and click the Update button --

Key Data\*
Employee
Position\*
Salary\*
Benefits
Misc\*
Remarks
Notes

SSN\* 881010149  
 Last Name\* TRAINING First Name\* NICHOLAS Middle Name\*   
 Org  
 Dept\* AG Eff Pay Period\*   
 Agency\* 90 Effective Date\* 3/1/2009   
 POI\* 5317 Auth Date\* 2/27/2009   
 1st  
 1st NOA\* 702 2nd  
 2nd NOA   
 1A Auth Code  2A Auth Code   
 1B Auth Code  2B Auth Code   
 Legal Auth 1st  Legal Auth 2nd   
 Print SF-50  
 \* Yes No

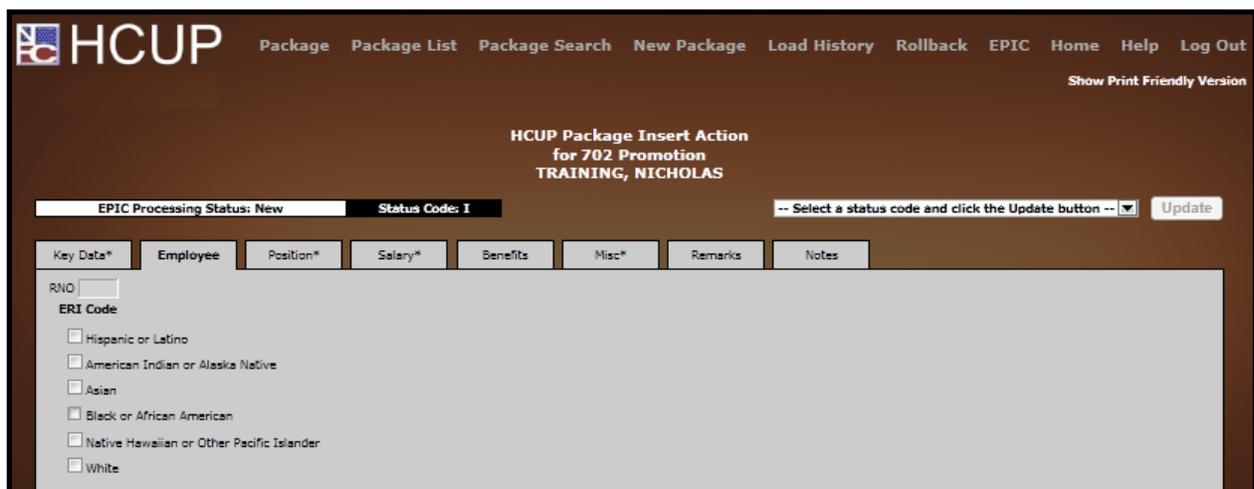
Document Type: 063 Asterisks (\*) indicate required fields

Figure 137: HCUP Package Insert Action Page Key Data Tab

**NOTE:** The **SSN\***, **Last Name\***, **First Name\***, **Dept\***, **Agency\***, **POI\***, **Effective Date\***, **Auth Date\***, and **1<sup>st</sup> NOA\*** fields auto populate based on the information entered in the previous screen.

Print SF-50 auto populates to Yes for newly inserted actions.

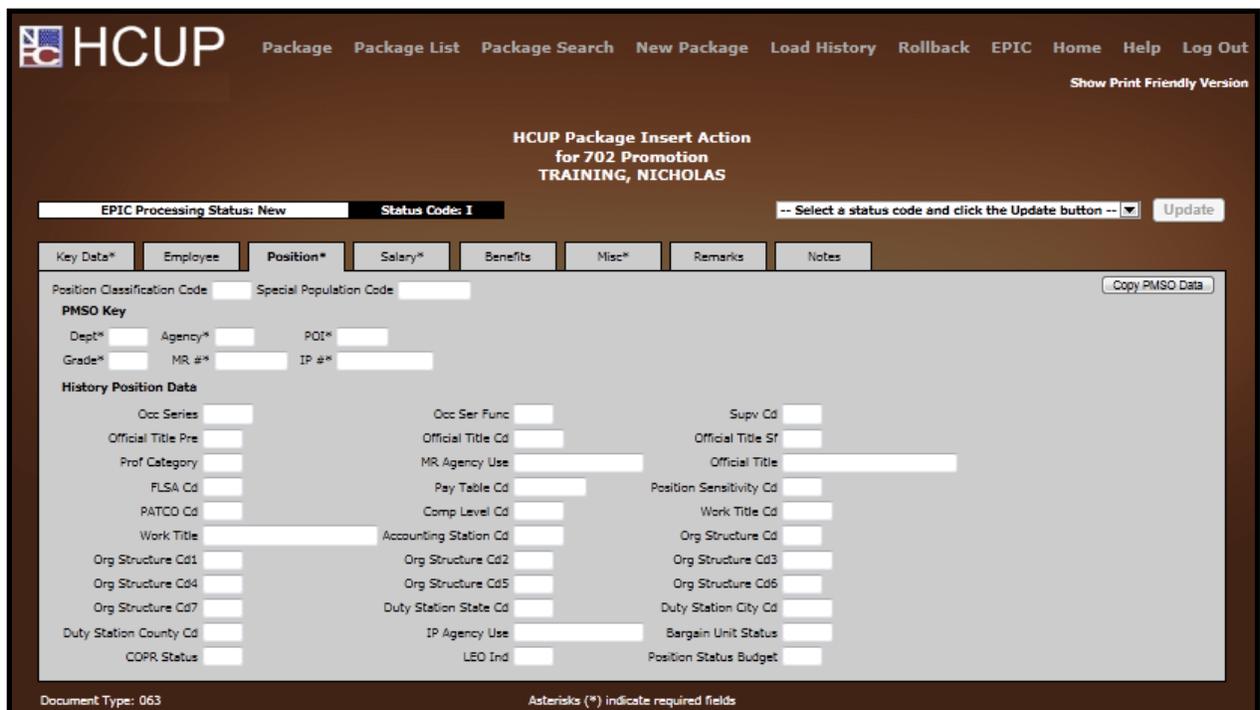
Step	Action
14.	Enter the pay period in which the personnel action is entered in the <b>Eff Pay Period*</b> field.
15.	Enter the first authority code for the first NOAC in the <b>1A Auth Code</b> field.
16.	Enter the second authority code for the first NOAC in the <b>1B Auth Code</b> field.
17.	Enter the legal authority that authorizes the personnel action in the <b>Legal Auth 1<sup>st</sup></b> field.
18.	Enter the description of the law, executive order, regulation, rule, or other basis that authorizes the personnel action in the <b>Legal Auth 2<sup>nd</sup></b> field.
19.	Click the <b>Employee</b> tab. The Employee tab on the <b>HCUP Package Insert Action</b> page displays.



The screenshot shows the 'HCUP Package Insert Action' page for a 702 Promotion for 'TRAINING, NICHOLAS'. The page includes a navigation menu at the top with options like 'Package', 'Package List', 'Package Search', 'New Package', 'Load History', 'Rollback', 'EPIC', 'Home', 'Help', and 'Log Out'. Below the menu, there are fields for 'EPIC Processing Status: New' and 'Status Code: I'. A dropdown menu is set to '-- Select a status code and click the Update button --' with an 'Update' button next to it. The main content area has several tabs: 'Key Data\*', 'Employee' (which is selected), 'Position\*', 'Salary\*', 'Benefits', 'Misc\*', 'Remarks', and 'Notes'. Under the 'Employee' tab, there is a section for 'RNO' and 'ERI Code' with a list of checkboxes for ethnicity: 'Hispanic or Latino', 'American Indian or Alaska Native', 'Asian', 'Black or African American', 'Native Hawaiian or Other Pacific Islander', and 'White'.

Figure 138: HCUP Package Insert Action Page Employee Tab

Step	Action
20.	Click the appropriate Ethnicity and Race Indicator checkbox under the ERI Code heading.
21.	Click the <b>Position*</b> tab. The Position* tab on the <b>HCUP Package Insert Action</b> page displays.



**HCUP** Package Package List Package Search New Package Load History Rollback EPIC Home Help Log Out  
 Show Print Friendly Version

**HCUP Package Insert Action for 702 Promotion TRAINING, NICHOLAS**

EPIC Processing Status: New Status Code: I -- Select a status code and click the Update button -- Update

Key Data\* Employee **Position\*** Salary\* Benefits Misc\* Remarks Notes

Position Classification Code: Special Population Code: Copy PMSO Data

**PMSO Key**  
 Dept\* Agency\* POI\*  
 Grade\* MR #\* IP #\*

**History Position Data**

Occ Series	Occ Ser Func	Supv Cd
Official Title Pre	Official Title Cd	Official Title Sf
Prof Category	MR Agency Use	Official Title
FLSA Cd	Pay Table Cd	Position Sensitivity Cd
PATCO Cd	Comp Level Cd	Work Title Cd
Work Title	Accounting Station Cd	Org Structure Cd
Org Structure Cd1	Org Structure Cd2	Org Structure Cd3
Org Structure Cd4	Org Structure Cd5	Org Structure Cd6
Org Structure Cd7	Duty Station State Cd	Duty Station City Cd
Duty Station County Cd	IP Agency Use	Bargain Unit Status
COPR Status	LEO Ind	Position Status Budget

Document Type: 063 Asterisks (\*) indicate required fields

Figure 139: HCUP Package Insert Action Page Position Tab

Step	Action
22.	Enter the position classification code in the <b>Position Classification Code</b> field.
23.	Enter the special population code in the <b>Special Population Code</b> field.
<div style="border: 1px solid green; padding: 5px;"> <p><b>IMPORTANT:</b> The PMSO key data fields must be identical to the PMSO key data element in PMSO, except for the position classification code, which is entered on the personnel action only.</p> </div>	
24.	Enter the employee's Department Code in the <b>Dept*</b> field.

Step	Action
25.	Enter the employee's Agency Code in the <b>Agency*</b> field.
26.	Enter the employee's POI in the <b>POI*</b> field.
27.	Enter the grade for the position in the <b>Grade*</b> field.
28.	Enter the master record number for the position in the <b>MR #*</b> field.
29.	Enter the individual position number in the <b>IP #*</b> field.  <div style="border: 1px solid red; padding: 5px; margin: 5px 0;"> <p><b>CAUTION:</b> This number must be different than the incumbent individual position number in PMSO. The position must be active and vacant in PMSO when an employee is being placed in the position.</p> </div>
30.	Click <b>Copy PMSO Data</b> . A pop-up message displays.

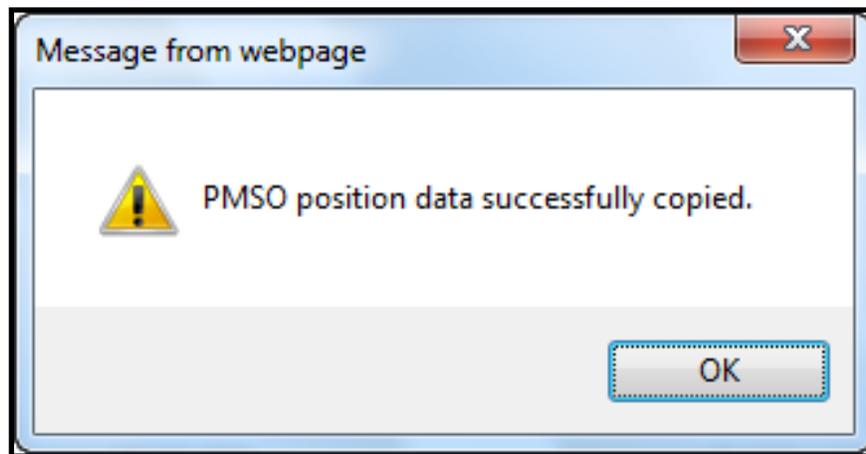


Figure 140: Pop-Up Message

Step	Action
31.	Click <b>OK</b> . The window populates with the relevant position data from PMSO.  <div style="border: 1px solid blue; padding: 5px; margin: 5px 0;"> <p><b>NOTE:</b> The Update Position Data button displays.</p> </div>
32.	Click <b>Update Position Data</b> to register the changes to the Position* tab. A pop-up message displays.



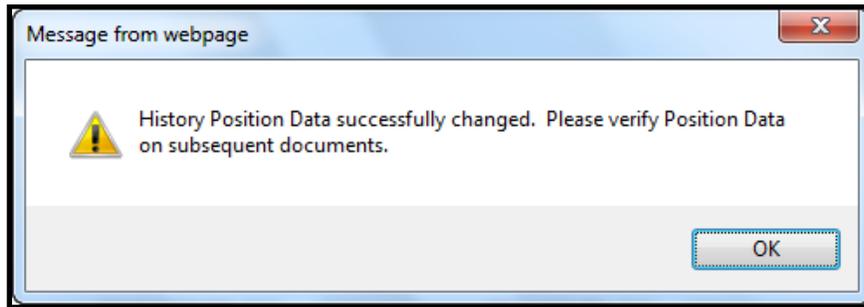


Figure 141: Pop-Up Message

Step	Action
33.	Click <b>OK</b> .

Figure 142: HCUP Package Insert Action Page Position Tab

Step	Action
34.	Click the <b>Salary*</b> tab. The Salary* tab on the <i>HCUP Package Insert Action</i> page displays.

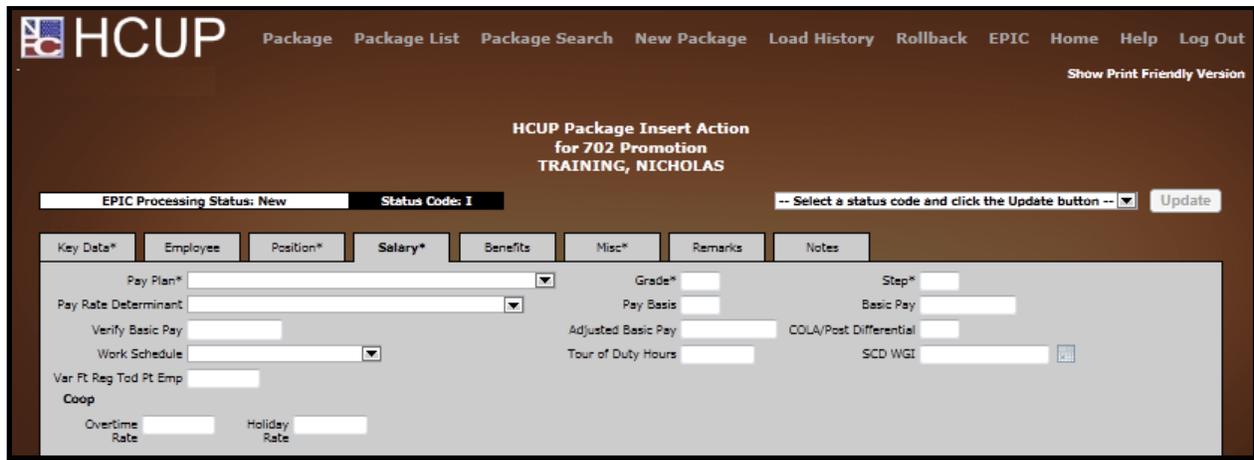


Figure 143: HCUP Package Insert Action Page Salary Tab

Step	Action
35.	Select the appropriate pay plan from the <b>Pay Plan*</b> drop-down list.
36.	Enter the grade for the position in the <b>Grade*</b> field.
37.	Enter the step within the grade, level, class, rank, or pay band in the <b>Step*</b> field.
38.	Select the pay rate determinant code from the <b>Pay Rate Determinant</b> drop-down list.
39.	Enter the pay basis in the <b>Pay Basis</b> field.
40.	Enter the scheduled salary amount in the <b>Basic Pay</b> field.
41.	Enter the scheduled salary amount in the <b>Verify Basic Pay</b> field, if the salary cannot be verified in TMGT.
42.	Enter the appropriate code in the <b>COLA/Post Differential</b> field.
43.	Select the work schedule code from the <b>Work Schedule</b> drop-down list.
44.	Enter the scheduled number of hours an employee is to work per pay period in the <b>Tour of Duty Hours</b> field.

Step	Action
45.	Enter the date from which service is to be credited toward the employee's next within-grade salary increase in the <b>SCD WGI</b> field.
46.	Enter the number of hours for a hypothetical full-time regular biweekly tour of duty that would apply to an employee on a part-time schedule if he or she were full-time, in the <b>Var Ft Reg Tod Pt Emp</b> field.
47.	Enter the hourly overtime rate for a cooperative type employee if the overtime rate is not based on the basic pay because the cooperators pays part of the overtime in the <b>Overtime Rate</b> field.
48.	Enter the hourly holiday rate for a cooperative type employee in the <b>Holiday Rate</b> field.
49.	Click the <b>Benefits</b> tab. The Benefits tab on the <b>HCUP Package Insert Action</b> page displays.

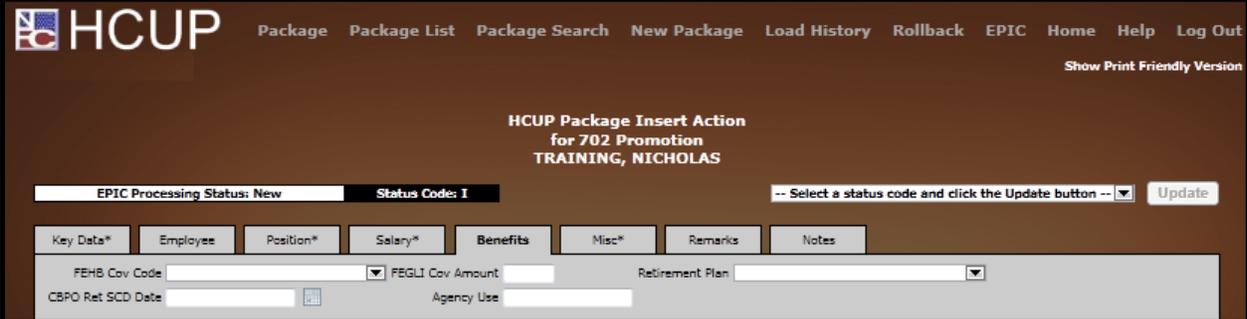


Figure 144: HCUP Package Insert Action Page Benefits Tab

Step	Action
50.	<p>Select the appropriate code to identify if the employee is eligible for the Federal Employee Health Benefits Plan (FEHB) plan or if he or she is already participating from the <b>FEHB Cov Code</b> drop-down list.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p><b>NOTE:</b> This field should be completed for retirement, death, resignation in lieu of involuntary action, and involuntary termination actions. The field should be blank for other separation actions.</p> </div>

Step	Action
51.	<p>Enter the amount of basic insurance coverage for the employee who is covered under Federal Employees Group Life Insurance (FEGLI) Program in the <b>FEGLI Cov Amount</b> field.</p> <div data-bbox="407 480 1343 573" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field does not include additional optional insurance coverage amounts.</p> </div>
52.	<p>Select the appropriate retirement plan code from the <b>Retirement Plan</b> drop-down list.</p>
53.	<p>Enter the service computation date for Customs and Border Protection Officers (CBPO) in the <b>CBPO Ret SCD Date</b> field.</p> <div data-bbox="407 835 1343 928" style="border: 1px solid black; padding: 5px;"> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> </div> <div data-bbox="407 942 1343 1035" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field is for Customs and Border Protection (CBP) employees only.</p> </div>
54.	<p>Complete the <b>Agency Use</b> field per your Agency's requirements.</p> <div data-bbox="407 1136 1343 1455" style="border: 1px solid black; padding: 5px;"> <p><b>TIP:</b> If the NOAC entered on the Key Data tab applies to one of the codes listed above and data is not entered in this field, the pay plan must be FE, FO, or FP.</p> <p>If you are processing NOAC 312 for a discontinued service retirement, this field must be completed. If you are processing NOAC 312 for a resignation-ILIA, the field must remain blank and the action must include Remark Code N22 to bypass edits.</p> </div>
55.	<p>Click the <b>Misc*</b> tab. The Misc* tab on the <b>HCUP Package Insert Action</b> page displays.</p>

Figure 145: HCUP Package Insert Action Page Misc Tab

Step	Action
56.	Select the appropriate code from the <b>Sup/Managerial Probationary Period Required</b> drop-down list.
57.	<p>Enter the start date for the supervisor/managerial probationary period or for an SES probationary period in the <b>Sup/Managerial Start Date</b> field.</p> <div data-bbox="407 1161 1344 1255" style="border: 1px solid yellow; padding: 5px;"> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> </div> <div data-bbox="407 1270 1344 1444" style="border: 1px solid green; padding: 5px;"> <p><b>IMPORTANT:</b> This field must not be later than the effective date of the personnel action. If previous service is unknown, enter the effective date of the action. The supervisory code must be 1 or 3 if this field contains a date.</p> </div>
58.	<p>Enter the beginning date of a one year probationary period in the <b>Probationary Period Start Date</b> field.</p> <div data-bbox="407 1577 1344 1854" style="border: 1px solid yellow; padding: 5px;"> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> <p>Complete this field when: tenure is coded 2 and the type of appointment is 01, for type of appointments 01-03 and 06-09. This field must be blank for tenure 0 or 1 and tenure 3 with type appointment 8.</p> </div>

Step	Action
59.	<p>Enter the date the employee was most recently assigned to the current grade in the <b>Date Entered Present Grade*</b> field.</p> <div data-bbox="407 438 1343 632" style="border: 1px solid yellow; padding: 5px;"> <p><b>TIP:</b> You can also click the calendar icon to select the applicable date.</p> <p>This field must be completed when the grade changes and for grade retention actions.</p> </div> <div data-bbox="407 646 1343 739" style="border: 1px solid blue; padding: 5px;"> <p><b>NOTE:</b> This field cannot be later than the effective date of the personnel action.</p> </div>
60.	<p>Select the appropriate code in the <b>Special Employee</b> drop-down list.</p> <div data-bbox="407 842 1343 974" style="border: 1px solid blue; padding: 5px;"> <p><b>NOTE:</b> This code allows you to identify an employee belonging to a special category of pay processing not accommodated in any other portion of PPS.</p> </div>
61.	<p>Select the appropriate code in the <b>Special Employment Program</b> drop-down list.</p> <div data-bbox="407 1119 1343 1211" style="border: 1px solid blue; padding: 5px;"> <p><b>NOTE:</b> This code allows you to identify an employee belonging to a special employment program.</p> </div>
62.	<p>Enter the reason that the employee is allowed to have an annual leave ceiling higher than 240 hours in the <b>Leave Ceiling Reason (75-Character Limit)</b> field.</p>
63.	<p>Enter the appropriate code in the <b>Agency</b> field.</p>
64.	<p>Select the appropriate annual leave earning status from the <b>Category</b> drop-down list.</p> <div data-bbox="407 1591 1343 1724" style="border: 1px solid blue; padding: 5px;"> <p><b>NOTE:</b> This field should be completed for full-time and part-time employees who are eligible to earn annual leave and must be compatible with the SCD for leave.</p> </div>

Step	Action
65.	Enter the appropriate code in the <b>45 Day</b> field. <div style="border: 1px solid #000; padding: 10px; margin: 10px 0;"> <p><b>NOTE:</b> This code allows you to identify an employee stationed at an overseas foreign post of duty that is entitled to carry over one leave year to another for a maximum of 45 days annual leave accumulation.</p> <p>Enter “Y” for foreign duty stations. You must adjust the annual leave ceiling at the end of the leave year, if applicable, when the employee returns from a foreign post.</p> </div>
66.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.
67.	Click <b>Update</b> . A pop-up message displays.

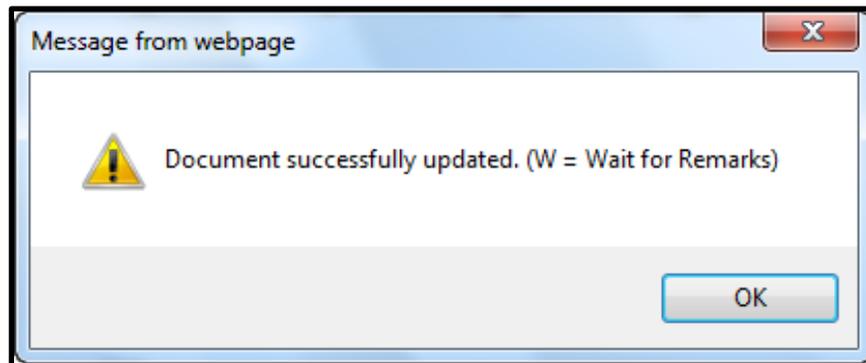


Figure 146: Pop-up Message

Step	Action
68.	Click <b>OK</b> . The Key Data* tab displays with a status code of W (Waiting for Remarks).
69.	Click the <b>Remarks</b> tab. The Remarks tab on the <b>HCUP Package Insert Action</b> page displays.

Figure 147: HCUP Package Insert Action Page Remarks Tab

Step	Action
70.	Click the remark code. A message displays in <b>Line 1</b> field.
71.	Enter the required information next to the message.
72.	Click <b>Update</b> . A pop-up message displays.

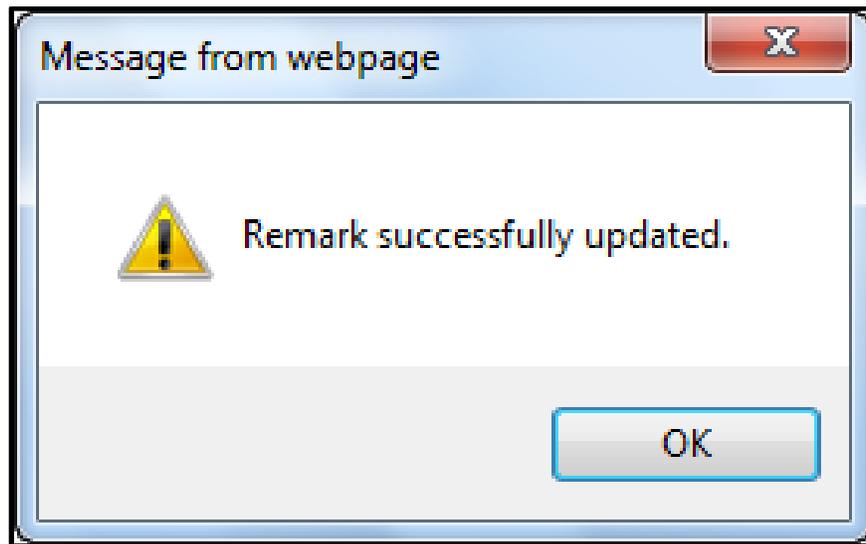


Figure 148: Pop-up Message

Step	Action
73.	Click <b>OK</b> . The entered information is saved, and the remark's status code changes to R.
74.	Click <b>Package</b> on the HCUP Menu Bar. The <b>HCUP Package</b> page displays with the released starting action.

As you learned in Chapter 3.0 HCUP, NFC's Payroll/Personnel System, and Inquiry Systems, history corrections, including inserted actions, are processed as an entire HCUP package. You have just learned how to successfully create and release the inserted starting action, but each subsequent action within the HCUP package must be examined and addressed for any necessary changes based on the starting action. Finally, the HCUP package must be released so that PINE can verify it before the history correction applies to the PPS database.

**CAUTION:** You must examine and address every subsequent action in a HCUP package, since the inserted starting action may have resulted in invalid data in the subsequent actions.

In Chapter 4.0 HCUP Access and Navigation Concepts, we learned how to address subsequent actions in a HCUP package and release the entire HCUP package. Refer to the procedures in Chapter 4.0 HCUP Access and Navigation Concepts for instructions on how to examine subsequent actions and release HCUP packages.

Now that you have just learned how to process an insert action as a starting action and can call upon your knowledge of subsequent action processing from Chapter 4.0 HCUP Access and Navigation Concepts, you will now learn how to execute a complete HCUP package with an inserted action as the starting action.

### Exercise 7.1: Inserted Action as a Starting Action

#### Scenario

The objective of this exercise is to insert a retroactive promotion effective 10/05/2014. This will promote Tory Training from a GS 12/7 to a GS 13/3. This newly required action is the result of a settlement case.

#### Instructions

Follow the steps in the table on the next page to insert the retroactive promotion action. Tory's IR525 history screen is shown in figure below.

```

SSN 081100101  AG 90  * PERHIS PERSONNEL ACTIONS SUMMARY *  04/15/15  IR525
SCREEN 000 NAME TORY TRAINING
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL

PF  PROCESSED  ----- DOCUMENT -----
SEL  PP  YR      EFF-DATE      NATURE OF ACTION      AGCY  POI      USER-ID
01  15      01 11 15      000 894 QWM ZLM      90  5317  BEAR60
24  14      12 12 14      000 840      90  5317  NP839E
18  14      09 07 14      000 849      90  5317  NP063E
10  14      05 03 14      000 713 N2M      90  5317  NP430
07  14      03 24 14      000 840      90  5317  NP249
10  14      03 23 14      002 703 N8M      90  5317  NP430
10  14      01 12 14      002 894 QWM ZLM      90  5317  NP430
24  12      11 18 12      000 893 Q7M      90  5317  BEAR10
16  12      06 17 12      000 903 Z00      90  5317  NP423
09  12      04 25 12      000 849      90  5317  NP0170E
24  11      11 20 11      000 840      90  5317  NP0050
16  12      06 19 11      002 721 N7M      90  5317  NP423
12  11      06 05 11      000 790 UNM      90  5317  PMS0999
24  10      11 21 10      000 840      90  5317  NP088E

INQUIRY COMPLETE - PRESS PF8 FOR MORE RECORDS 0000
PF9 = IR501 PF10 = IR502 PF11 = IR523
PF1 = SUB MENU PF5 = HELP PF8 = PG/DOWN ENTER = INQUIRY CLEAR = EXIT

```

Figure 149: Tory Training's IR525 Screen

Step	Action	Required Data
1.	Click <b>New Package</b> on the HCUP Menu Bar.	
2.	Enter the employee's social security number in the <b>SSN</b> field.	881100XXX
3.	Enter the employee's Agency Code in the <b>Agency</b> field.	90
4.	Click <b>Submit</b> .	
5.	Click <b>Insert</b> at any NOAC, except separation NOACs.	
6.	Select the applicable NOAC from the <b>1<sup>st</sup> NOA Code</b> drop-down list.	702 Promotion
7.	Enter the effective date in the <b>Effective Date</b> field.	10/05/2014
8.	Enter the authentication date in the <b>Auth Date</b> field.	10/01/2014
9.	Click <b>OK</b> .	
10.	Click <b>OK</b> .	
11.	Click the starting action on the <b>HCUP Package</b> page.	
12.	Enter the appropriate effective pay period into the <b>Eff Pay Period*</b> field.	20
13.	Enter the appropriate 1A authorization code into the <b>1A Auth Code</b> field.	ZLM
14.	Enter the appropriate legal authority into the <b>Legal Auth 1st</b> field.	Cert 1234
15.	Click the <b>Position*</b> tab.	
16.	Enter the appropriate Department Code into the <b>Dept*</b> field.	AG

Step	Action	Required Data
17.	Enter the appropriate Agency Code into the <b>Agency*</b> field.	90
18.	Enter the appropriate POI into the <b>POI*</b> field.	5317
19.	Enter the appropriate grade into the <b>Grade*</b> field.	13
20.	Enter the appropriate master record number into the <b>MR #*</b> field.	E20XXX
21.	Enter the appropriate individual position number into the <b>IP #*</b> field.	E2000XXX
22.	Click <b>Copy PMSO Data.</b>	
23.	Click <b>OK.</b>	
24.	Click <b>Update Position Data.</b>	
25.	Click <b>OK.</b>	
26.	Click the <b>Salary*</b> tab.	
27.	Review the appropriate pay plan from the <b>Pay Plan*</b> drop-down list.	GS-Class. Act 1949,as Amended
28.	Review the appropriate grade into the <b>Grade</b> field.	13
29.	Enter the appropriate step into the <b>Step</b> field.	03
30.	Enter the scheduled salary amount in the Basic Pay field.	77217
31.	Enter the scheduled salary amount in the Verify Basic Pay field.	77217
32.	Enter the date from which service is to be credited toward the employee's next within-grade salary increase in the <b>SCD WGI</b> field.	10/05/2014

Step	Action	Required Data
33.	Click the <b>Misc*</b> tab	
34.	Select the appropriate code from the <b>Sup/Managerial Probationary Period Required</b> drop-down list.	2-Served
35.	Enter the date the employee was most recently assigned to the current grade in the <b>Date Entered Present Grade*</b> field.	10/05/2014
36.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
37.	Click <b>Update</b> .	
38.	Click <b>OK</b> .	
39.	Click <b>Package</b> on the HCUP Menu Bar.	

Step	Action	Required Data
40.	Click the next subsequent action.	002 894 QWM, effective 01/11/2015
41.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
42.	Click <b>OK</b> .	
43.	Select the applicable radio button under the <b>Print SF-50</b> field.	Yes
44.	Click the <b>Position*</b> tab.	
45.	Enter the appropriate Department Code into the <b>Dept*</b> field.	AG

Step	Action	Required Data
46.	Enter the appropriate Agency Code into the <b>Agency*</b> field.	90
47.	Enter the appropriate POI into the <b>POI*</b> field.	5317
48.	Enter the appropriate grade into the <b>Grade*</b> field.	13
49.	Enter the appropriate master record number into the <b>MR #*</b> field.	E20XXX
50.	Enter the appropriate individual position number into the <b>IP #*</b> field.	E2000XXX
51.	Click <b>Copy PMSO Data</b> .	
52.	Click <b>OK</b> .	
53.	Click <b>Update Position Data</b> .	
54.	Click <b>OK</b> .	
55.	Click the <b>Salary*</b> tab.	
56.	Select the appropriate pay plan from the <b>Pay Plan*</b> drop-down list.	GS-Class. Act 1949,as Amended
57.	Enter the appropriate grade into the <b>Grade</b> field.	13
58.	Enter the appropriate step into the <b>Step</b> field.	03
59.	Enter the scheduled salary amount in the <b>Basic Pay</b> field.	77989
60.	Enter the scheduled salary amount in the <b>Verify Basic Pay</b> field.	77989
61.	Enter the date from which service is to be credited toward the employee's next within-grade salary increase in the <b>SCD WGI</b> field.	10/05/2014

Step	Action	Required Data
62.	Click the <b>Misc*</b> tab	
63.	Enter the date the employee was most recently assigned to the current grade in the <b>Date Entered Present Grade*</b> field.	10/05/2014
64.	Select the applicable status code from the Select a status code and click the Update button drop-down list.	R – Release for Processing
65.	Click <b>Update</b> .	
66.	Click <b>OK</b> .	
67.	Click <b>Package</b> on the HCUP Menu Bar.	
68.	Select the applicable package action from the <b>Select a package action</b> drop-down list.	Release package
69.	Click <b>Submit</b> .	
70.	Click <b>OK</b> .	

### **7.3. Inserted Actions with Effective Dates Equal to Actions in History**

#### *Lesson Overview*

This lesson introduces inserted actions that have effective dates equal to actions in history. This lesson also explains how to process these types of inserted actions within HCUP packages.

#### *Lesson Objectives*

By the end of this chapter, you will be able to:

- Explain the importance of recognizing actions with effective dates equal to actions in history
- Explain the steps necessary to insert an action with an effective date equal to an action in history
- Create and release HCUP packages that have inserted actions with effective dates equal to actions in history

#### **Introduction to Inserted Actions with Effective Dates Equal to Actions in History**

Inserted actions with effective dates equal to actions already in history fall into two basic categories:

- Actions inserted within a HCUP package, and
- Actions inserted as starting actions.

When actions have the same effective date, the authentication date determines the order of sequence of the actions when they apply to the database. The authentication date for inserted actions must place the actions in their proper chronological order. To effectively manipulate actions with the same effective date, you must understand how HCUP receives the authentication date it associates with actions.

The following table outlines each action and its associated authentication date standards:

Type of Action	Authentication Date Standards
Replacement action (004)	Reflects the authentication date on the action's corresponding PERHIS (IR501) record.
Restored action resulting from a HCUP-built cancellation (007)	Does not reflect the authentication date on the action's corresponding PERHIS (501) record, but rather the authentication date on the corresponding IR501 of the subsequent non-exception action.

### **Actions Inserted within a HCUP Package**

Let's examine the first type of inserted actions with effective dates equal to actions already in history, actions inserted within a HCUP package. You may need to insert a new action in a HCUP package that has the same effective date as a non-exception action on the **History List** page and PERHIS. In these situations, you must follow the steps below:

- Review the corresponding action to find its authentication date in IR501, and
- Enter an earlier authentication date on the inserted action if you want it to be edited first (Option 1), or
- Enter a later authentication date on the inserted action if you want it edited second (Option 2).

Figure 150: Options 1 and 2 for Inserting Actions with the Same Effective Dates is a visual representation for inserting a 790 action with the same effective date of an 894 action effective 01/03/2010.

Starting Action	Option 1	894 QWM ZLM	Option 2	702 N3M
	Insert		Insert	
002 903 9BS	790 UNM		790 UNM	
09/27/09 01/04/09 PP20	01/03/10 12/22/09 PP20	01/03/10 12/23/09 PP01	01/03/10 12/24/09 PP20	04/11/10 04/09/10 PP08

Figure 150: Options 1 and 2 for Inserting Actions with the Same Effective Dates

## Actions Inserted as Starting Actions

Let's examine the second type of inserted actions with effective dates equal to actions already in history, actions inserted as starting actions. There are two situations in which this may happen when inserted starting actions apply:

- Prior to the non-exception action with same effective date, or
- After the non-exception action with same effective date.

First let's look at inserted starting actions that apply prior to the non-exception action with same effective date. In situations where you must insert a starting action that applies prior to the non-exception action with the same effective date, you must follow the steps below:

- Review the corresponding action in IR501 to find its authentication date, and
- Enter an authentication date on your starting action that is earlier than the authentication date of the action in history.

Refer to the modified IR525 screen print below in Figure 151: Amy Training's IR525 with IR501 Authentication Dates. We have modified it to include the authentication dates as found on IR501.

SSN 881060001 AG 90 * PERHIS PERSONNEL ACTIONS SUMMARY * XX/XX/XX IR525										
SCREEN 000 NAME AMY TRAINING										
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL										
PF	PROCESSED		DOCUMENT							
SEL	PP	YR	EFF-DATE	NATURE OF ACTION			AUTH DATE	AGCY	POI	USER-ID
	08	10	04 11 10	000	702	N3M	04/09/10	90	5317	NP214E
	01	10	01 03 10	000	894	QWM ZLM	12/23/09	90	5317	BEAR60
	24	09	11 22 09	000	840	N/A-EXCEPTION ACTION		90	5317	NP215E
	20	09	09 27 09	000	903	9BS	01/04/09	90	5317	BUSCD
	15	09	07 19 09	000	903	Z00	07/17/09	90	5317	BEAR10

Figure 151: Amy Training's IR525 with IR501 Authentication Dates

Imagine that you must insert a 790 realignment starting action effective 01/03/2010. Since the authentication date of the 894 action is 12/23/2009, we have made the authentication date on the 790 realignment inserted action to be 12/22/2009 as shown on the timeline below in Figure 152: Starting Action with Same Effective Date and Prior Authentication Date.

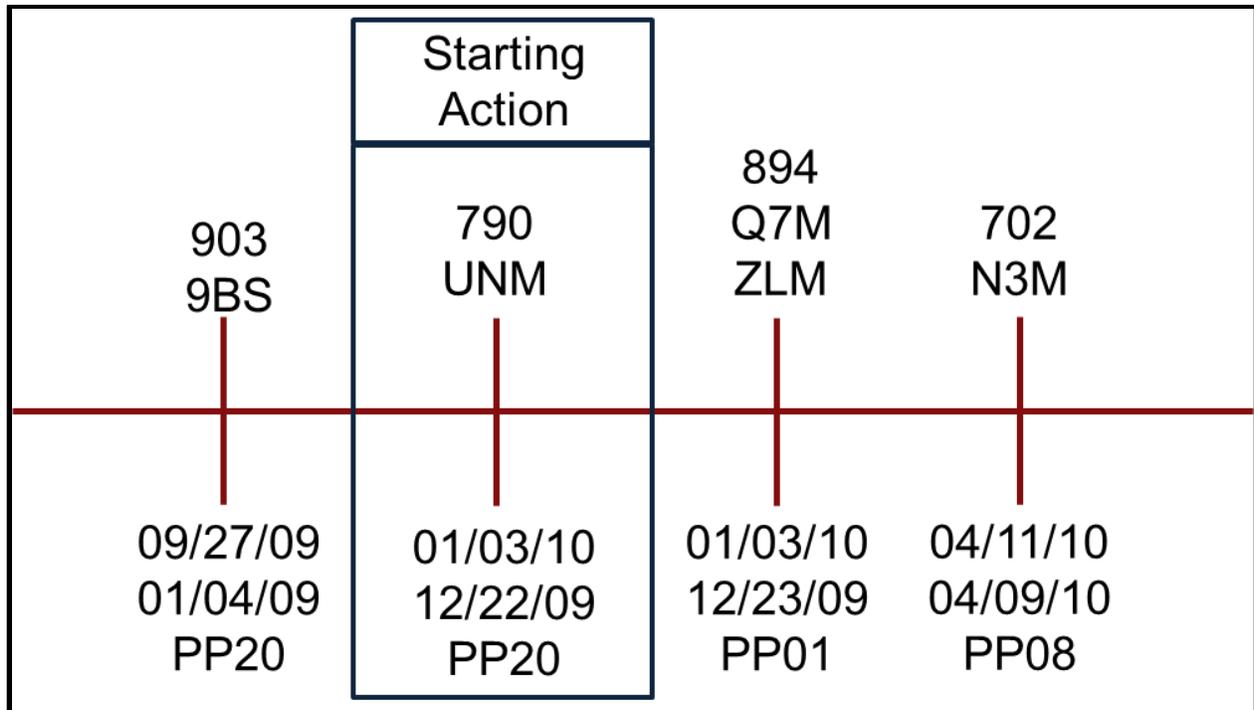


Figure 152: Starting Action with Same Effective Date and Prior Authentication Date

Next, let's look at inserted starting actions that apply after the non-exception action with same effective date.

**IMPORTANT:** To successfully pass PINE edits, the authentication date on the starting action must also be later than the authentication date of the non-exception action immediately after the action being restored.

Refer to the modified IR525 screen print below in Figure 153: Amy Training's IR525 with IR501 Authentication Dates. We have modified it to include the authentication dates as found on IR501.

SSN 881060001 AG 90 * PERHIS PERSONNEL ACTIONS SUMMARY * XX/XX/XX IR525									
SCREEN 000 NAME AMY TRAINING									
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL									
PF	PROCESSED			DOCUMENT					
SEL	PP	YR	EFF-DATE	NATURE OF ACTION		AUTH DATE	AGCY	POI	USER-ID
	08	10	04 11 10	000	702 N3M	04/09/10	90	5317	NP214E
	01	10	01 03 10	000	894 QWM ZLM	12/23/09	90	5317	BEAR60
	24	09	11 22 09	000	840 N/A- EXCEPTION ACTION		90	5317	NP215E
	20	09	09 27 09	000	903 9BS	01/04/09	90	5317	BUSCD
	15	09	07 19 09	000	903 Z00	07/17/09	90	5317	BEAR10

Figure 153: Amy Training's IR525 with IR501 Authentication Dates

Let's again consider the 790 realignment starting action, effective 01/03/2010. Following are the considerations of this action's authentication date:

- If you choose an authentication date later than 12/23/2009, the authentication date of the 894 action, the HCUP package would not include the 894 action effective 01/03/2010.
- On the surface, the HCUP package would look acceptable since you want to insert the new 790 action after the 894 action.
- However, to successfully pass PINE edits, the authentication date placed on the starting action must also be later than the authentication date of the 702 non-exception action immediately subsequent to the action being restored.
- If you do not take this into account, the starting action will fail PINE edits with error message "622, Eff Date Eq-Authentication Date Not Valid".

*Exercise 7.3: Inserted Actions with Effective Dates Equal to Actions in History*

**Scenario**

Kristi Training was realigned effective 03/23/2014, auth 03/20/2014. However, the Realignment has the same effective date as the non exception cash award action, (auth 03/24/14) in the employee's history. Look at IRIS125 after the action has applied in HCUP.

**Instructions**

Follow the steps in the table below to insert the realignment action. Kristi's IR525 history screen is shown below.

```

SSN 881020101 AG 90 * PERHIS PERSONNEL ACTIONS SUMMARY * 04/14/15 IR525
SCREEN 000 NAME KRISTI TRAINING
POSITION CURSOR ON NATURE OF ACTION FIELD PRESS PF2 FOR NOA LITERAL

```

PF	PROCESSED	EFF-DATE	NATURE OF ACTION	AGCY	POI	USER-ID
SEL	PP YR					
	01 15	01 11 15	000 894 QWM ZLM	90	5317	BEAR60
	24 14	12 12 14	000 840	90	5317	NP313E
	06 14	03 23 14	000 840	90	5317	NP225E
	01 14	01 12 14	000 894 QWM ZLM	90	5317	BEAR60
	18 13	09 08 13	000 903 Z00	90	5317	BEAR10
	07 13	04 07 13	000 893 Q7M	90	5317	BEAR10
	07 13	04 07 13	000 893 Q7M	90	5317	BEAR10
	02 13	01 27 13	000 847	90	5317	NP063E
	24 12	11 20 12	000 840	90	5317	NP088E
	21 12	10 07 12	000 841	90	5317	NP1025
	15 12	07 20 12	000 846	90	5317	NP839E
	24 11	11 20 11	000 840	90	5317	NP0050
	17 11	08 14 11	000 721 N2M	90	5317	NP0049E
	16 11	08 05 11	000 847	90	5317	NP0050

```

INQUIRY COMPLETE = PRESS PF8 FOR MORE RECORDS 0000
PF9 = IR501 PF10 = IR502 PF11 = IR523
PF1 = SUB MENU PF5 = HELP PF8 = PG/DOWN ENTER = INQUIRY CLEAR = EXIT

```

Figure 154: Kristi Training's IR525 Screen

Step	Action	Required Data
1.	Click <b>New Package</b> on the HCUP Menu Bar.	
2.	Enter the employee's social security number in the <b>SSN</b> field.	881020XXX
3.	Enter the employee's Agency Code in the <b>Agency</b> field.	90
4.	Click <b>Submit</b> .	
5.	Click <b>Insert</b> at any NOAC, except separation NOACs.	
6.	Click <b>Submit</b> .	
7.	Select the applicable NOAC from the <b>1<sup>st</sup> NOA Code</b> drop-down list.	790 Realignment
8.	Enter the effective date in the <b>Effective Date</b> field.	03/23/2014
9.	Enter the authentication date in the <b>Auth Date</b> field.	03/20/2014
10.	Click <b>OK</b> .	
11.	Click <b>OK</b> .	
12.	Click the starting action from the <b>HCUP Package</b> page.	
13.	Enter the appropriate effective pay period into the <b>Eff Pay Period*</b> field.	06
14.	Enter the appropriate 1A authorization code into the <b>1A Auth Code</b> field.	UNM

Step	Action	Required Data
15.	Enter the appropriate legal authority into the <b>Legal Auth 1st</b> field	Agency Cited
16.	Click the <b>Position*</b> tab.	
17.	Enter the appropriate Department Code into the <b>Dept*</b> field.	AG
18.	Enter the appropriate Agency Code into the <b>Agency*</b> field.	90
19.	Enter the appropriate POI into the <b>POI*</b> field.	5317
20.	Enter the appropriate grade into the <b>Grade*</b> field.	12
21.	Enter the appropriate master record number into the <b>MR #*</b> field.	W12XXX
22.	Enter the appropriate individual position number into the <b>IP #*</b> field.	W1200XXX
23.	Click <b>Copy PMSO Data</b> .	
24.	Click <b>OK</b> .	
25.	Click <b>Update Position Data</b> .	
26.	Click <b>OK</b> .	
27.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
28.	Click <b>Update</b> .	
29.	Click <b>OK</b> .	

You have just inserted and created the starting action for the HCUP package. Now let's examine each of the subsequent actions.

Step	Action	Required Data
30.	Click <b>Package</b> on the HCUP Menu Bar.	
31.	Click the next subsequent action.	004 894 QWM, effective 01/11/2015
32.	Select the applicable change from the <b>HCUP Change Option</b> drop-down list.	Change to Correction
33.	Click <b>OK</b> .	
34.	Select the applicable radio button under the <b>Print SF-50</b> field.	Yes
35.	Select the applicable status code from the <b>Select a status code and click the Update button</b> drop-down list.	R – Release for Processing
36.	Click <b>Update</b> .	
37.	Click <b>OK</b> .	
38.	Click <b>Package</b> on the HCUP Menu Bar.	
39.	Select the applicable package action from the <b>Select a package action</b> drop-down list.	Release package
40.	Click <b>Submit</b> .	
41.	Click <b>OK</b> .	
42.	Click <b>Package List</b> on the HCUP Menu Bar.	

## 7.4. Chapter Review

### *Knowledge Check*

1. **Fill in the blanks:** An inserted action is an official action that:
2. Is a \_\_\_\_\_ retroactive action, and
3. Is the result of a \_\_\_\_\_ or cancellation.

True or False:

4. \_\_\_\_\_ A. When actions have the same effective date, the effective date determines the order of sequence of the actions when they apply to the database.
5. \_\_\_\_\_ B. You can apply the same set of rules for inserted starting actions that apply prior to and after the non-exception action with the same effective date.
6. \_\_\_\_\_ C. To successfully pass PINE edits, the authentication date on an inserted starting action must also be later than the authentication date of the non-exception action immediately subsequent to (after) the action being restored.

### *Chapter Summary*

Having completed this chapter, you are now able to:

- Explain inserted actions within HCUP
- Describe how HCUP is used to insert actions
- Create and release inserted actions as starting actions within HCUP packages
- Create and release inserted actions with effective dates equal to actions in history

## 8.0. Rollback Process

---

### 8.1. Chapter Overview

This chapter introduces the rollback process of EPIC personnel actions, in relation to HCUP, and of HCUP packages. It also describes the situations in which a user should use the rollback process and guides the user through rollback process demonstrations.

#### *Chapter Objectives*

By the end of this chapter, you will be able to:

- Define the rollback process
- Identify the situations in which to use the rollback process
- Execute the rollback process

The following terminology will be addressed in this chapter:

Terminology	Description
Rollback process	The process that rolls back, or retrieves, historical personnel data that is reflected on to the employee's database record during the current processing pay period. This allows the user to correct, delete, or allow another action with an earlier effective date to apply.

## 8.2. Introduction to the Rollback Process

### *Lesson Overview*

This lesson provides an introduction to the rollback process as it relates to HCUP packages within EPIC and HCUP.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Define the rollback process
- Name the two types of rollback processes
- Explain the status codes for the rollback process

### **Overview of the Rollback Process**

Now that you have learned about the cancellations, corrections, and insertions of actions within HCUP packages, we now focus on processes, including rollback, which you can perform once these actions and packages apply in the HCUP system. The rollback process is the process which:

- Rolls back, or retrieves, historical personnel data that has applied to the employee's database record during the current processing pay period, and
- Allows you to correct, delete, or allow another action with an earlier effective date than the historical personnel data to apply.

A rollback can be initiated for actions that applied during the current processing pay period by:

- You (user-generated rollback), or
- The application (system-generated rollback).

In relation to HCUP packages, there are two types of rollback processes. The following are the two types of rollback processes, which are covered in-depth later in this chapter:

- Rollback applied EPIC personnel actions, and
- Rollback applied HCUP packages.

**CAUTION:** These action types must be performed before PAYE has run (first Thursday and Friday after the end of the processing pay period).

The status codes for rollbacks are:

- **HOLD:** When you choose the hold option, the system retains applied EPIC personnel actions and payroll documents until you establish the HCUP package. Once you establish the HCUP package, the system incorporates the applied EPIC personnel actions into the HCUP package.
- **RELEASE:** When you choose the release option and establish the HCUP package, the system incorporates applied EPIC personnel actions into the HCUP package. Although coded as released, the system does not release the action to PINE until the entire HCUP package is released.

**IMPORTANT:** NFC recommends that rollback actions be placed into HOLD status. Check IR125 after PINE runs to verify the removal of the action and/or package from the database before completing and releasing your HCUP package.

Timing is an essential component of the rollback process. A HCUP package can only be rolled back during the same pay period it is applied to the PPS database. After PAYE is processed, a correction or cancellation to a personnel action must be processed in the following pay period, which requires the creation of another HCUP package.

If you are within two PINE passes before the first pass of PAYE, you must determine whether to:

- Allow the HCUP package to remain “as is” on the database and process an official correction or official cancellation in the next processing cycle (i.e. create another HCUP package in the next processing cycle to fix the original HCUP package), or
- Roll the HCUP package off the database and place it in “hold” status until you later complete it in the next processing cycle.

The following table outlines the consequences of each of these decisions:

Scenario	Result
You allow the HCUP package to remain “as is” on the database during the current processing cycle.	The HCUP package will apply within the current processing cycle. In the next processing cycle, you must create a new HCUP package to process any official corrections or cancellations.
You roll the HCUP package off the database and place it in “hold” status.	The HCUP package will not be completed or applied within the current processing cycle. In the next processing cycle, you must complete and release this HCUP package so that it can apply at the end of the processing cycle.

### **8.3. Rollback EPIC Personnel Actions**

#### *Lesson Overview*

This lesson describes the first type of the rollback processes, the rollback of applied EPIC personnel actions, and leads learners through a demonstration of this process.

#### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe when the rollback of applied EPIC personnel actions occurs
- Explain the procedure to rollback applied EPIC personnel actions

#### **Introduction to the Rollback of Applied EPIC Personnel Actions**

As you learned in Chapter 3.0 HCUP, NFC's Payroll/Personnel System, and Inquiry Systems, PERHIS is updated at the close of each processing pay period with the BEAR process. When processing a HCUP package, you must address any non-exception EPIC personnel actions in the current processing cycle for the employee. In fact, EPIC prevents you from starting your HCUP package until you do so.

When you create a HCUP package, EPIC is automatically edited for the following actions processed within the current processing cycle:

- Any non-exception personnel action, whether applied, suspense, or future, and
- Any payroll documents processed in conjunction with a personnel action.

If EPIC finds applied, suspense, or future personnel actions, EPIC prevents you from starting your package until you address the EPIC personnel actions. If EPIC finds applied payroll documents within the current processing cycle, you will only need to address them if a personnel action was also processed.

At this point, you must determine whether to:

- Start your HCUP package, or
- Wait until the following processing pay period to start it.

**CAUTION:** In either decision, if you do not establish the HCUP package until after the rollback function is processed, you must still address the rolled back action in EPIC.

An applied EPIC document is visible in the current data record of IRIS (IR100s). If you perform the rollback process, the applied personnel action immediately changes from an applied action to a new action in EPIC. The overnight PINE process completely removes it from the database.

If you rollback an EPIC applied action into HCUP and then delete the package, the action gets deleted in EPIC. You must then reprocess it in EPIC. EPIC actions in suspense and/or future must be deleted before processing a HCUP package.

### **Rollback EPIC Personnel Actions**

As you just learned in the Introduction to Rollback Applied EPIC Personnel Actions, EPIC is automatically edited for actions processed within the current processing cycle. The following procedure explains how to proceed after you have submitted a search for an employee based on his or her social security number and Agency Code.

The procedure below describes the steps used to rollback applied EPIC personnel actions in the current processing cycle.

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar. The <b>New HCUP Package Employee Selection</b> page displays.

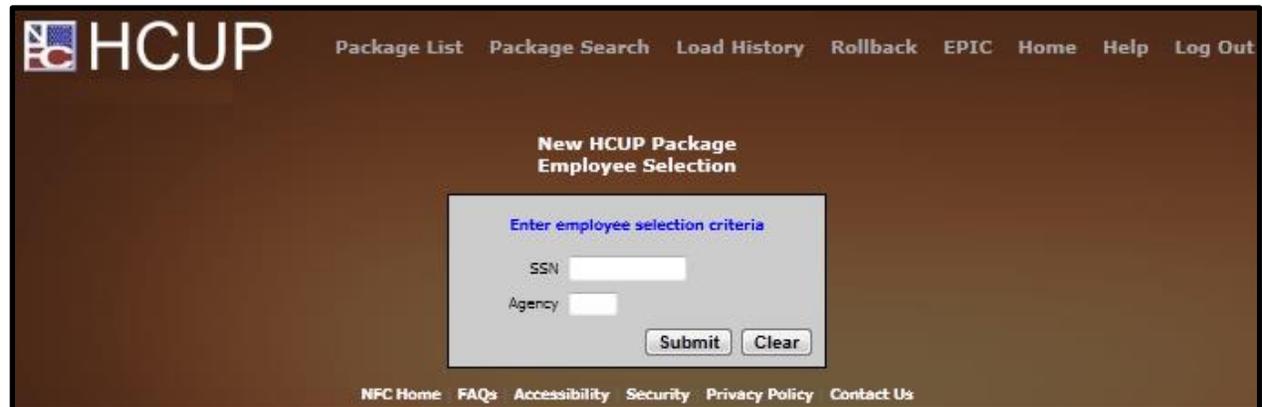


Figure 155: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee's social security number into the <b>SSN</b> field.
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.
4.	Click <b>Submit</b> . A pop-up message displays.

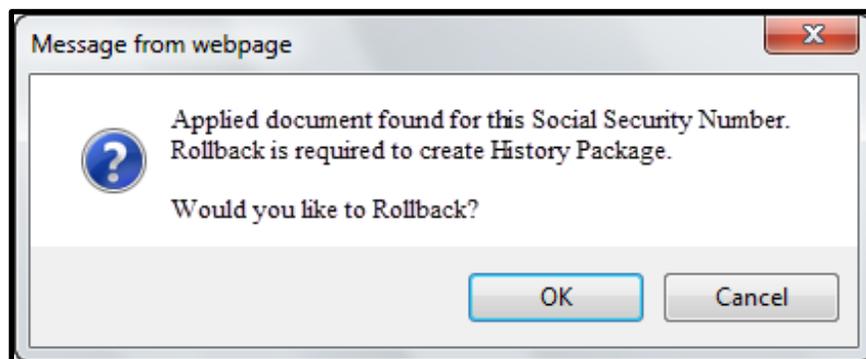


Figure 156: Pop-up Message

Step	Action
5.	Click <b>OK</b> . The <b>Rollback Documents</b> page displays with applied actions available for rollback.

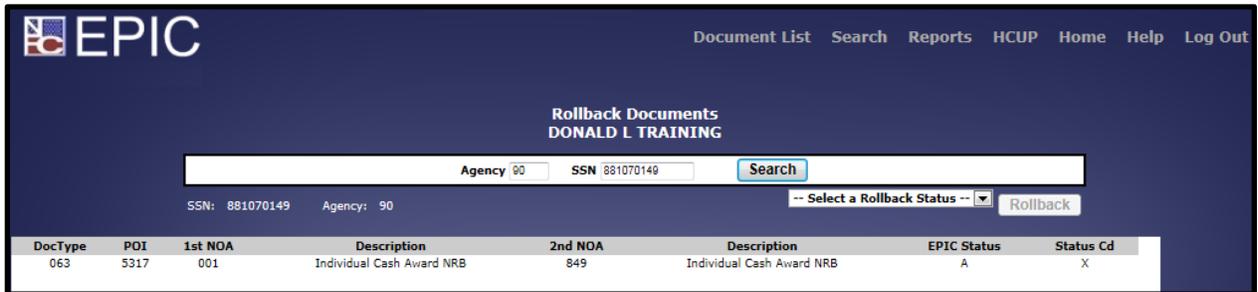


Figure 157: Rollback Documents Page

Step	Action
6.	Select Hold or Release from the <b>Select a Rollback Status</b> drop-down list. The selection displays in the <b>Select a Rollback Status</b> drop-down list.

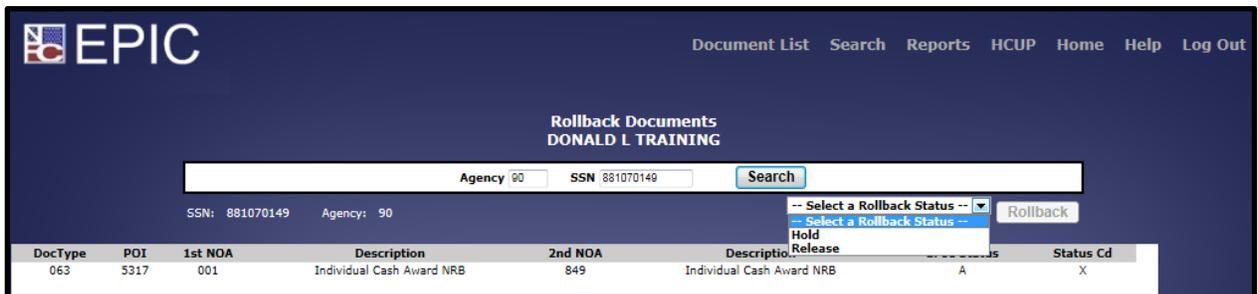


Figure 158: Rollback Documents Page – Select a Rollback Status Drop-Down List

Step	Action
7.	Click <b>Rollback</b> . A pop-up message displays.

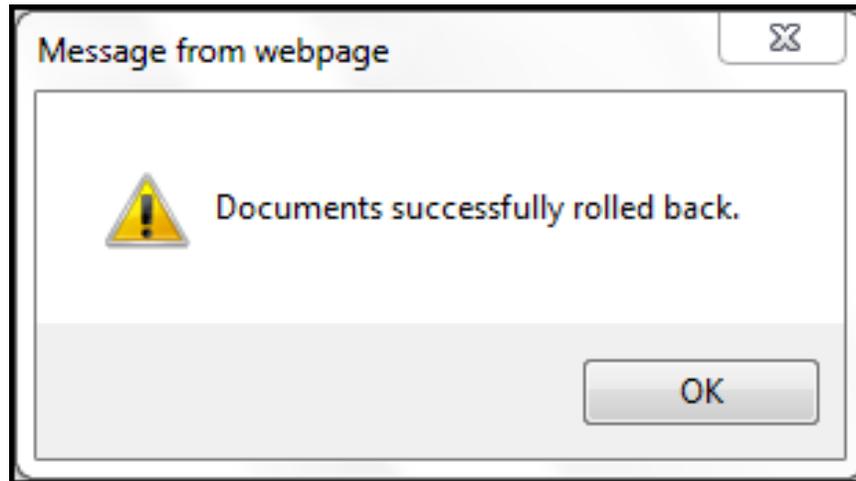


Figure 159: Pop-up Message

Step	Action
8.	Click <b>OK</b> . The action displays on the <b>Document List</b> page as a new EPIC action with a status code of H or R. The <b>Rollback Indicator</b> field is populated with a Y.

SSN	Name	Description	Doc Type	EPIC Status	Status Code	Roll Back Ind	Agency	POI	Origin System	Enter Date	Enter UserID	Last Changed Date
990030001	TRAINING, STEPHANI	Resignation	063	New	R	Y	90	5317	EWEB	8/20/2009	NFA92T	8/21/2009

Figure 160: Document List Page

The EPIC actions have now been rolled back. At this point, you must return to HCUP to establish your HCUP package.

The following procedure explains how to establish a HCUP package after rolling back applied EPIC personnel actions:

Step	Action
1.	Click <b>HCUP</b> from the EPIC Menu Bar. The <b>HCUP Package List</b> page displays.
2.	Click <b>New Package</b> on the HCUP Menu Bar. The <b>New HCUP Package Employee Selection</b> page displays.

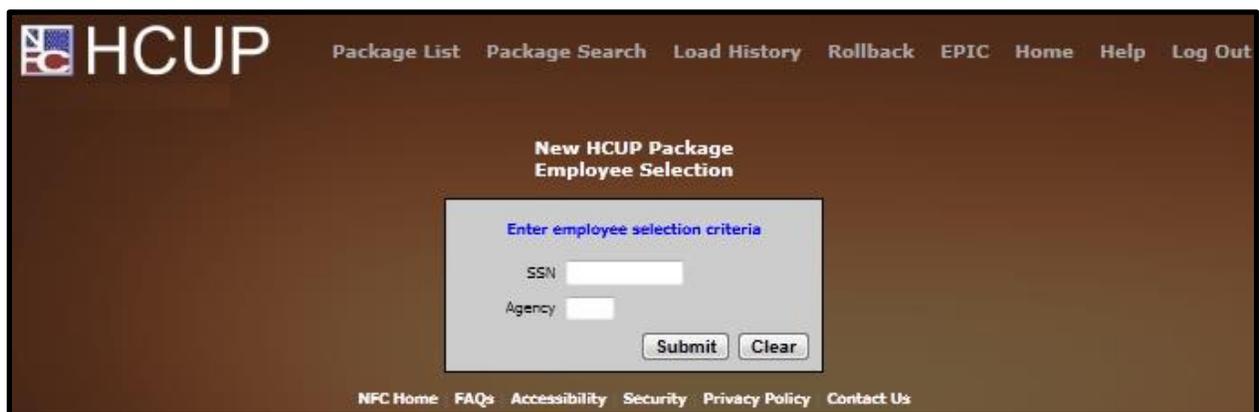


Figure 161: New HCUP Package Employee Selection Page

Step	Action
3.	Enter the employee's social security number in the <b>SSN</b> field.
4.	Enter the employee's Agency Code into the <b>Agency</b> field.
5.	Click <b>Submit</b> . A pop-up message displays.

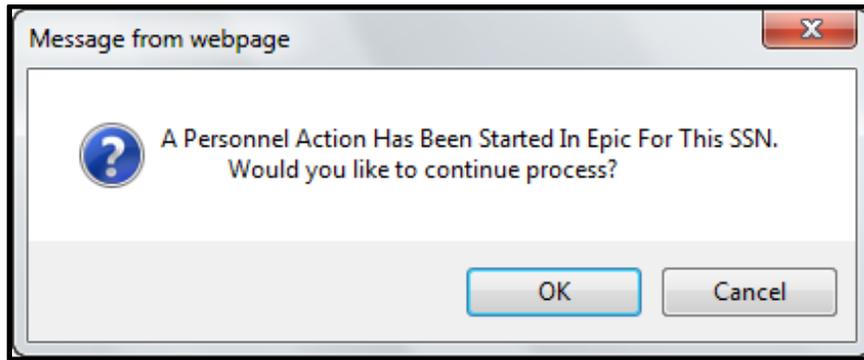
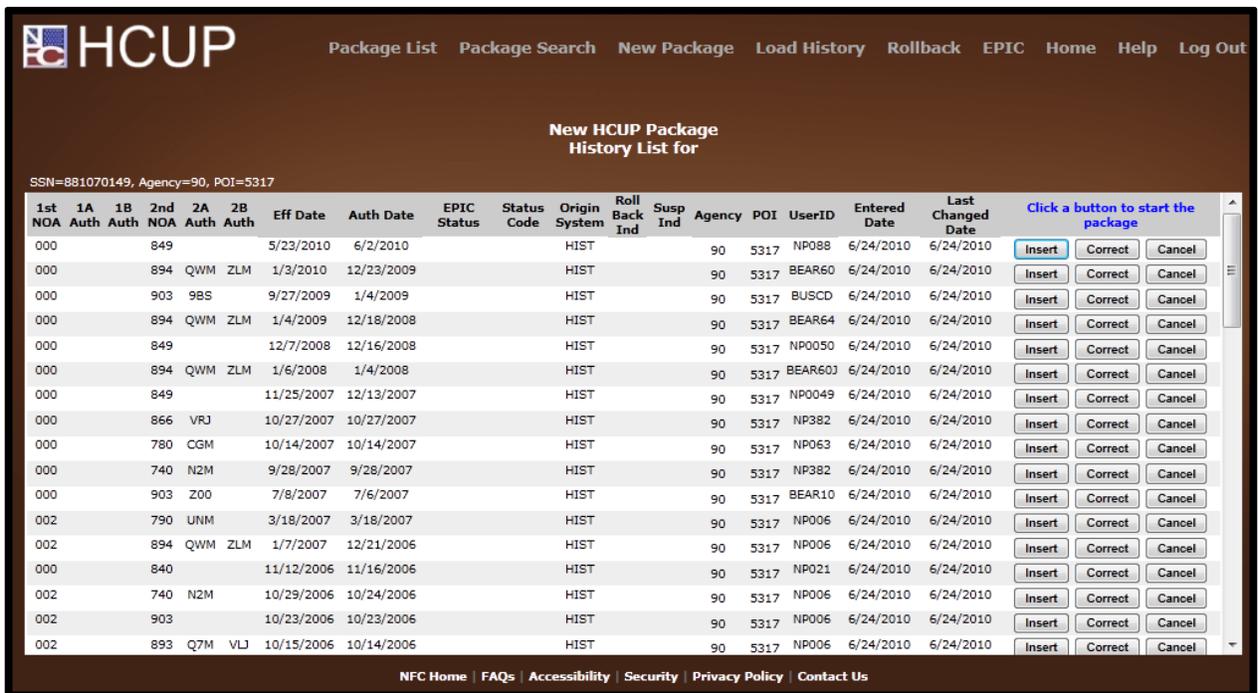


Figure 162: Pop-up Message

Step	Action
6.	Click <b>OK</b> . The <b>New HCUP Package History List</b> page displays.



SSN=881070149, Agency=90, POI=5317

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed Date	Click a button to start the package
000			849			5/23/2010	6/2/2010			HIST			90	5317	NP088	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/3/2010	12/23/2009			HIST			90	5317	BEAR60	6/24/2010	6/24/2010	Insert Correct Cancel
000			903	9BS		9/27/2009	1/4/2009			HIST			90	5317	BUSCD	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/4/2009	12/18/2008			HIST			90	5317	BEAR64	6/24/2010	6/24/2010	Insert Correct Cancel
000			849			12/7/2008	12/16/2008			HIST			90	5317	NP0050	6/24/2010	6/24/2010	Insert Correct Cancel
000			894	QWM	ZLM	1/6/2008	1/4/2008			HIST			90	5317	BEAR60J	6/24/2010	6/24/2010	Insert Correct Cancel
000			849			11/25/2007	12/13/2007			HIST			90	5317	NP0049	6/24/2010	6/24/2010	Insert Correct Cancel
000			866	VRJ		10/27/2007	10/27/2007			HIST			90	5317	NP382	6/24/2010	6/24/2010	Insert Correct Cancel
000			780	CGM		10/14/2007	10/14/2007			HIST			90	5317	NP063	6/24/2010	6/24/2010	Insert Correct Cancel
000			740	N2M		9/28/2007	9/28/2007			HIST			90	5317	NP382	6/24/2010	6/24/2010	Insert Correct Cancel
000			903	Z00		7/8/2007	7/6/2007			HIST			90	5317	BEAR10	6/24/2010	6/24/2010	Insert Correct Cancel
002			790	UNM		3/18/2007	3/18/2007			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel
002			894	QWM	ZLM	1/7/2007	12/21/2006			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel
000			840			11/12/2006	11/16/2006			HIST			90	5317	NP021	6/24/2010	6/24/2010	Insert Correct Cancel
002			740	N2M		10/29/2006	10/24/2006			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel
002			903			10/23/2006	10/23/2006			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel
002			893	Q7M	VLJ	10/15/2006	10/14/2006			HIST			90	5317	NP006	6/24/2010	6/24/2010	Insert Correct Cancel

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Figure 163: HCUP Package History List Page

Step	Action
7.	<p>Select the applicable starting action on the <b>Click a button to start the package</b> field. The <b>HCUP Package</b> page displays.</p> <p><b>TIP:</b> The rolled back EPIC document is now within the HCUP package.</p>

You have just learned how to address a current applied EPIC personnel action. The following procedure explains how to address future EPIC personnel actions:

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar. The <b>New HCUP Package Employee Selection</b> page displays.

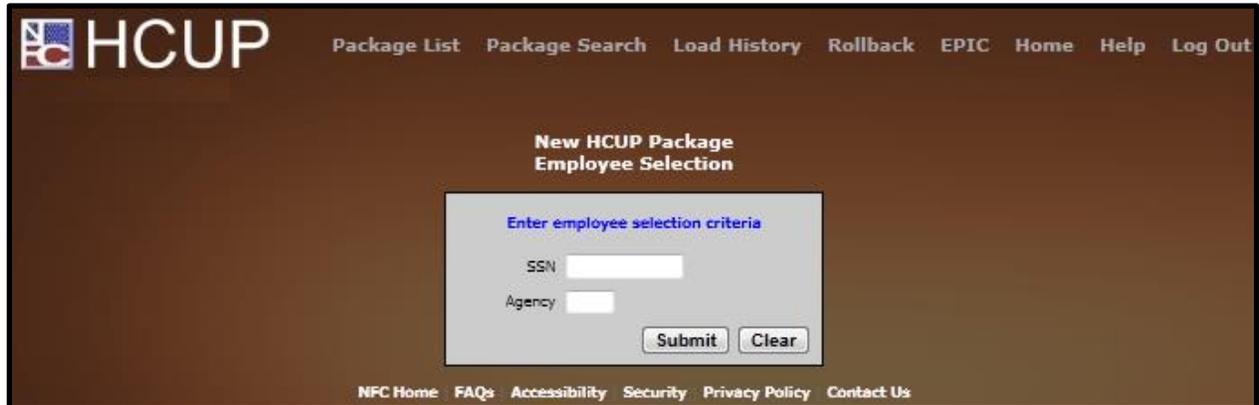


Figure 164: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee's social security number into the <b>SSN</b> field.
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.
4.	Click <b>Submit</b> on the <b>New HCUP Package Employee Selection</b> page. A pop-up message displays.

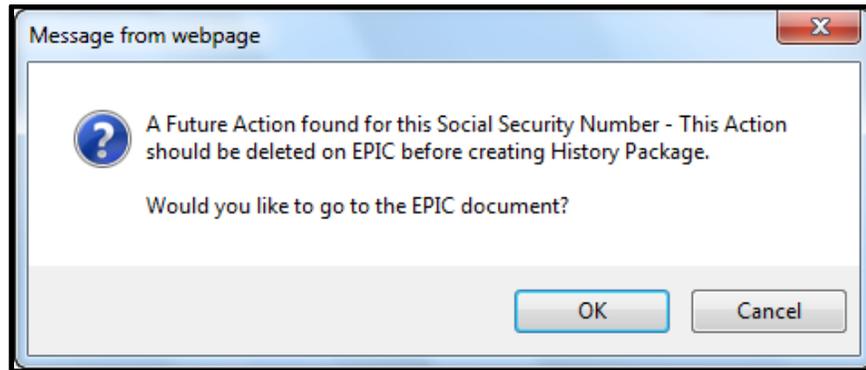


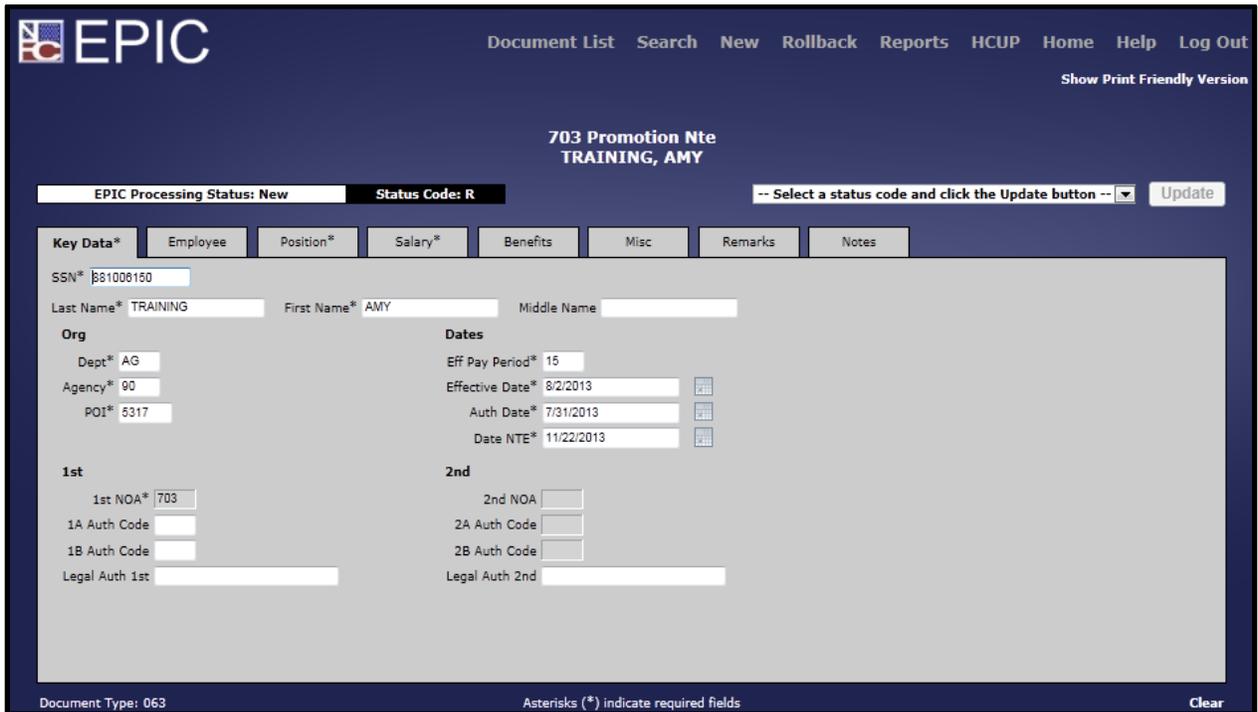
Figure 165: Pop-up Message

Step	Action
5.	Click <b>OK</b> . The <b>Document List</b> page displays.

SSN	Name	Description	Doc Type	EPIC Status	Status Code	Roll Back Ind	Agency	POI	Origin System	Entered Date	Entered UserID	Last Changed Date	Last Changed UserID
881006150	TRAINING, AMY	Promotion Nte	063	New	R	90	5317	EWEB	7/15/2013	TD150	7/15/2013	TD150	

Figure 166: Document List Page

Step	Action
6.	Click the future action to be deleted. The Key Data tab displays.



**EPIC** Document List Search New Rollback Reports HCUP Home Help Log Out  
 Show Print Friendly Version

**703 Promotion Nte**  
**TRAINING, AMY**

EPIC Processing Status: **New** Status Code: **R** -- Select a status code and click the Update button -- Update

**Key Data\*** Employee Position\* Salary\* Benefits Misc Remarks Notes

SSN\* 881006150  
 Last Name\* TRAINING First Name\* AMY Middle Name

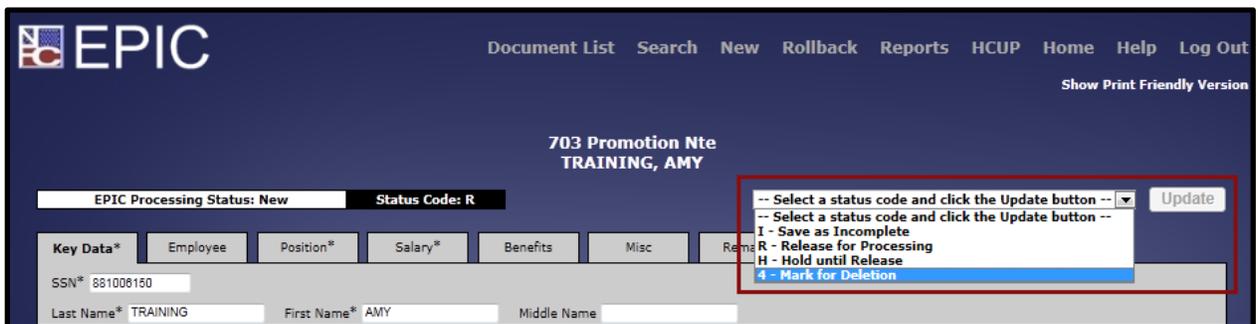
**Org** Dept\* AG Agency\* 90 POI\* 5317  
**Dates** Eff Pay Period\* 15 Effective Date\* 8/2/2013 Auth Date\* 7/31/2013 Date NTE\* 11/22/2013

**1st** 1st NOA\* 703 1A Auth Code 1B Auth Code Legal Auth 1st  
**2nd** 2nd NOA 2A Auth Code 2B Auth Code Legal Auth 2nd

Document Type: 063 Asterisks (\*) indicate required fields Clear

Figure 167: EPIC Future Action Page Key Data Tab

Step	Action
7.	Select 4 – Mark for Deletion from the <b>Select a status code and click the Update button</b> field.



**EPIC** Document List Search New Rollback Reports HCUP Home Help Log Out  
 Show Print Friendly Version

**703 Promotion Nte**  
**TRAINING, AMY**

EPIC Processing Status: **New** Status Code: **R** -- Select a status code and click the Update button -- Update

**Key Data\*** Employee Position\* Salary\* Benefits Misc Remarks Notes

SSN\* 881006150  
 Last Name\* TRAINING First Name\* AMY Middle Name

-- Select a status code and click the Update button --  
 -- Select a status code and click the Update button --  
 I - Save as Incomplete  
 R - Release for Processing  
 H - Hold until Release  
**4 - Mark for Deletion**

Figure 168: EPIC Future Action Page Key Data Tab 4 – Mark for Deletion

Step	Action
8.	Click <b>Update</b> . A pop-up message displays.

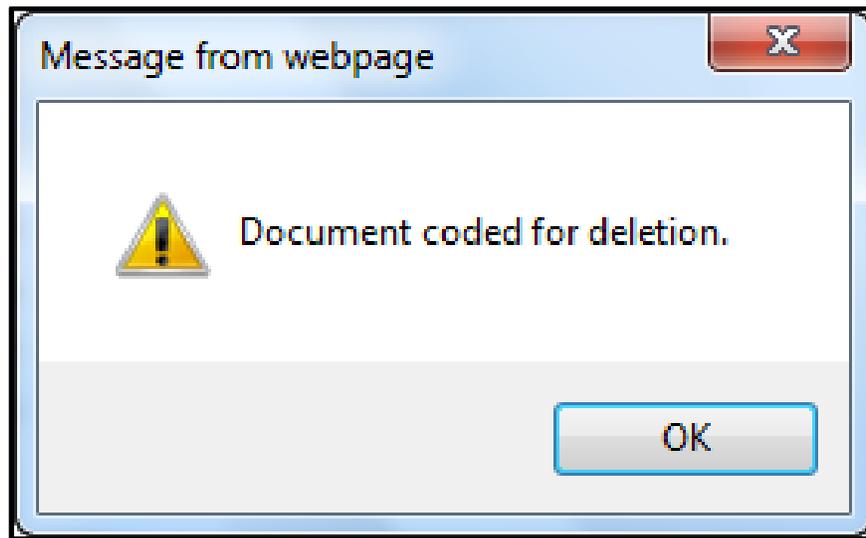


Figure 169: Pop-up Message

Step	Action
9.	Click <b>OK</b> . The action's status code changes to 4.

Now that the future action is deleted, you may create the new HCUP package. After creating and releasing the HCUP package, you can reactivate the deleted future action once the HCUP package applies.

**TIP:** Refer to the EPIC Procedures Manual for steps related to reactivating actions within EPIC.

You have just learned how to address a future EPIC personnel action. The following procedure explains how to address EPIC personnel actions in suspense:

Step	Action
1.	Click <b>New Package</b> on the HCUP Menu Bar. The <b><i>New HCUP Package Employee Selection</i></b> page displays.

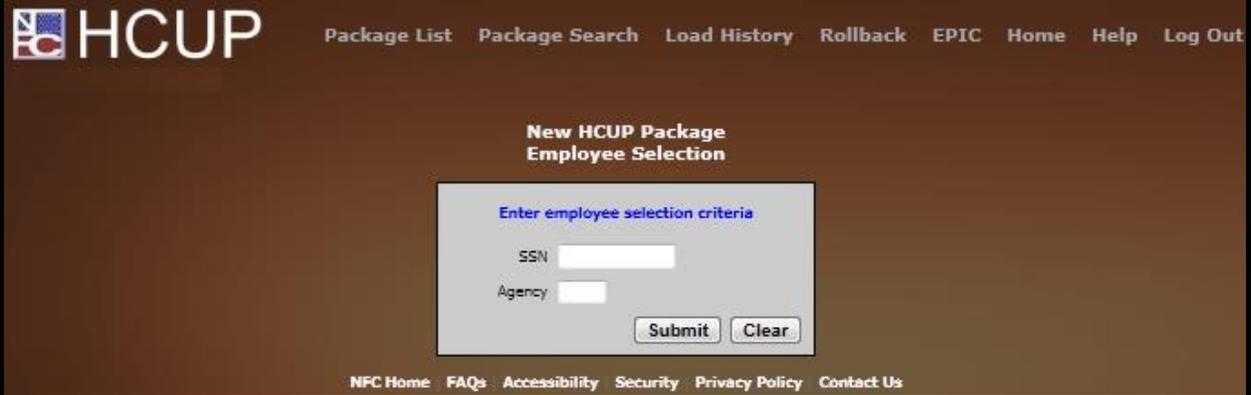


Figure 170: New HCUP Package Employee Selection Page

Step	Action
2.	Enter the employee's social security number into the <b>SSN</b> field.
3.	Enter the Agency Code of the employee's current employing Agency into the <b>Agency</b> field.
4.	Click <b>Submit</b> on the <b><i>New HCUP Package Employee Selection</i></b> page. A pop-up message displays.

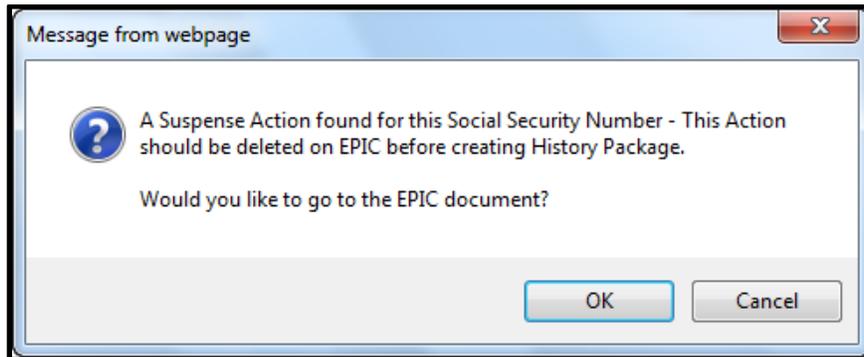
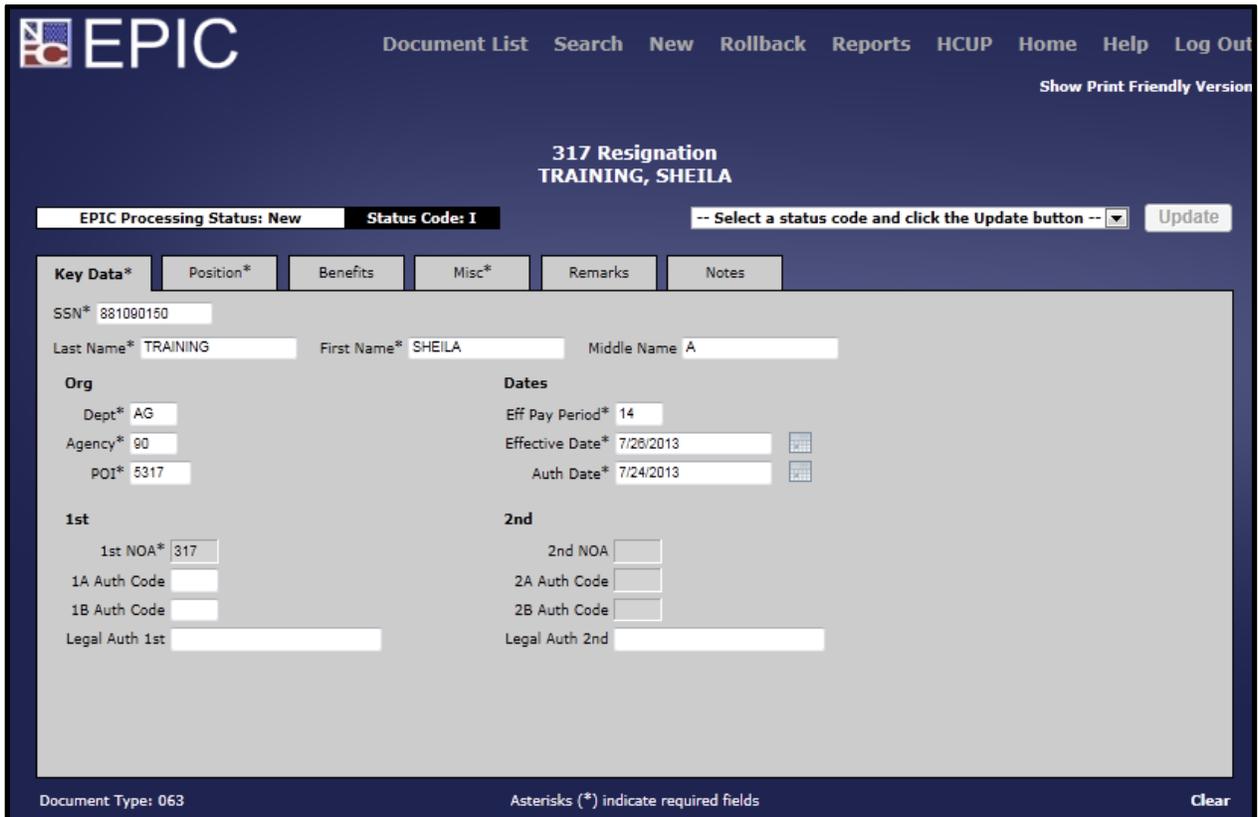


Figure 171: Pop-up Message

Step	Action
5.	Click <b>OK</b> . The <b>Document List</b> page displays.

Figure 172: Document List Page

Step	Action
6.	Click the action in suspense to be deleted. The Key Data tab displays.



**EPIC** Document List Search New Rollback Reports HCUP Home Help Log Out  
 Show Print Friendly Version

**317 Resignation**  
**TRAINING, SHEILA**

EPIC Processing Status: **New** Status Code: **I** -- Select a status code and click the Update button -- Update

Key Data\* Position\* Benefits Misc\* Remarks Notes

SSN\* 881090150  
 Last Name\* TRAINING First Name\* SHEILA Middle Name A

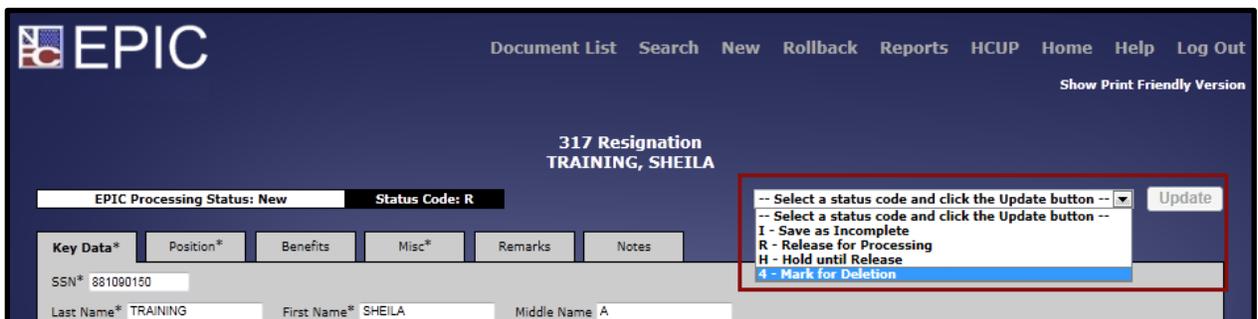
**Org** Dept\* AG Agency\* 90 PO1\* 5317  
**Dates** Eff Pay Period\* 14 Effective Date\* 7/26/2013 Auth Date\* 7/24/2013

**1st** 1st NOA\* 317 1A Auth Code 1B Auth Code Legal Auth 1st  
**2nd** 2nd NOA 2A Auth Code 2B Auth Code Legal Auth 2nd

Document Type: 063 Asterisks (\*) indicate required fields Clear

Figure 173: 317 Resignation Page Key Data Tab

Step	Action
7.	Select 4 – Mark for Deletion from the <b>Select a status code and click the Update button</b> field.



**EPIC** Document List Search New Rollback Reports HCUP Home Help Log Out  
 Show Print Friendly Version

**317 Resignation**  
**TRAINING, SHEILA**

EPIC Processing Status: **New** Status Code: **R** -- Select a status code and click the Update button -- Update

Key Data\* Position\* Benefits Misc\* Remarks Notes

SSN\* 881090150  
 Last Name\* TRAINING First Name\* SHEILA Middle Name A

-- Select a status code and click the Update button --  
 -- Select a status code and click the Update button --  
 I - Save as Incomplete  
 R - Release for Processing  
 H - Hold until Release  
**4 - Mark for Deletion**

Figure 174: 317 Resignation Page Key Data Tab 4 - Mark for Deletion Status

Step	Action
8.	Click <b>Update</b> . A pop-up message displays.

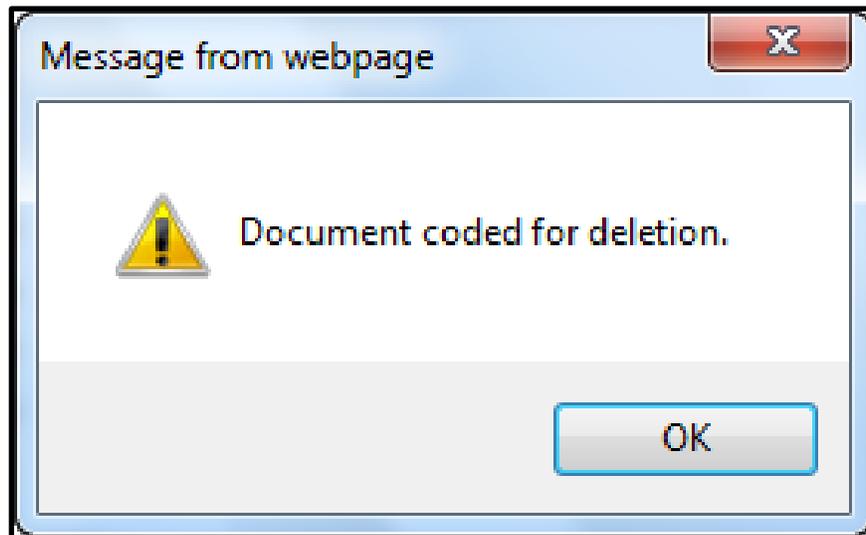


Figure 175: Pop-up Message

Step	Action
9.	Click <b>OK</b> . The action's Status Code changes to 4.

Now that you have deleted the action in suspense, you can create the new HCUP package. After creating and releasing the HCUP package, you can reactivate the deleted action in suspense once the HCUP package applies.

**TIP:** Refer to the EPIC Procedures Manual for steps related to reactivating actions within EPIC.

## 8.4. Rollback HCUP Packages

### *Lesson Overview*

This lesson describes the second type of the rollback processes, the rollback of HCUP packages. This lesson also guides the user through a demonstration of a HCUP package rollback.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Identify the situations in which rollbacks of HCUP packages occur
- Explain the procedure to rollback HCUP packages

### **Introduction to the Rollback of HCUP Packages**

Now that you have learned about the rollback of applied EPIC personnel action, let's examine the rollback of HCUP packages. The rollback of a HCUP package retrieves the HCUP package that has been applied to the employee's database record during the current processing pay period in order to make changes within the package. You can roll back the HCUP package if the HCUP package applied:

- Data visible only in the IR100 records, not IR500 (PERHIS), and
- In the current processing cycle.

There are several reasons you might choose to rollback a HCUP package that has applied to the database in the current processing pay period, including:

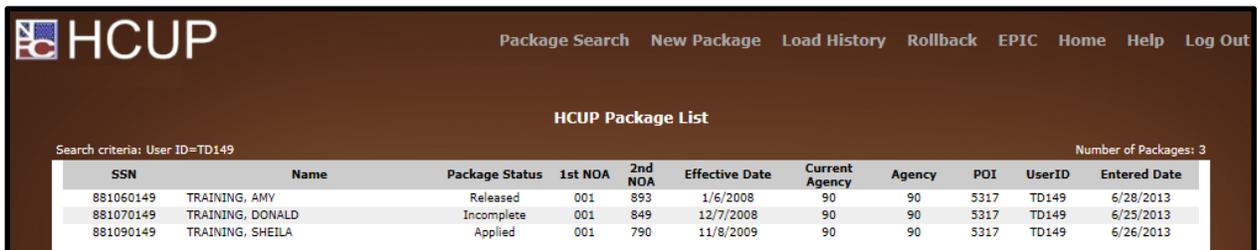
- Adding a newly required action you failed to add before the package applied,
- Correcting an error in data within the HCUP package, or
- Establishing an entirely new HCUP package if the original HCUP package was processed in error or processed incorrectly.

**NOTE:** PINE recognizes the rollback process and reactivates the entire HCUP package for editing purposes. The package is not completely removed from the database until PINE runs.

## Rollback HCUP Packages

The procedure below describes the steps used to rollback HCUP packages.

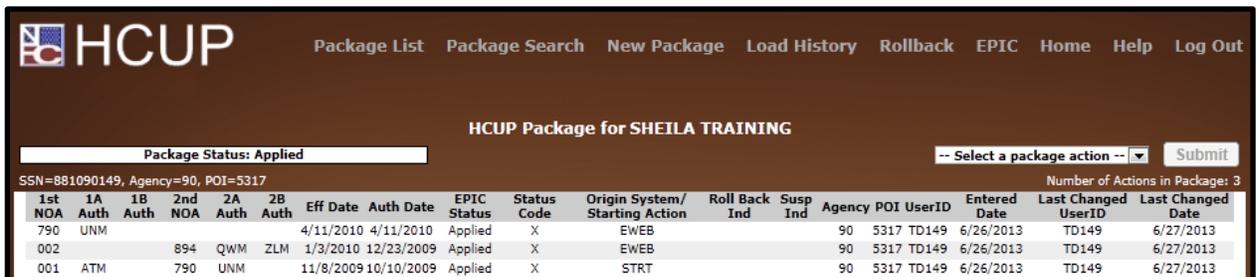
Step	Action
1.	Click <b>HCUP Package List</b> on the HCUP Menu Bar. The <b>HCUP Package List</b> page displays.



SSN	Name	Package Status	1st NOA	2nd NOA	Effective Date	Current Agency	Agency	POI	UserID	Entered Date
881060149	TRAINING, AMY	Released	001	893	1/6/2008	90	90	5317	TD149	6/28/2013
881070149	TRAINING, DONALD	Incomplete	001	849	12/7/2008	90	90	5317	TD149	6/25/2013
881090149	TRAINING, SHEILA	Applied	001	790	11/8/2009	90	90	5317	TD149	6/26/2013

Figure 176: HCUP Package List Page

Step	Action
2.	Click the HCUP package to be rolled back from the <b>HCUP Package List</b> page.



1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/ Starting Action	Roll Back Ind	Susp Ind	Agency	POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
790	UNM					4/11/2010	4/11/2010	Applied	X	EWEB			90	5317	TD149	6/26/2013	TD149	6/27/2013
002			894	QWM	ZLM	1/3/2010	12/23/2009	Applied	X	EWEB			90	5317	TD149	6/26/2013	TD149	6/27/2013
001	ATM		790	UNM		11/8/2009	10/10/2009	Applied	X	STRT			90	5317	TD149	6/26/2013	TD149	6/27/2013

Figure 177: HCUP Package Page

Step	Action
3.	Select Rollback Package from the <b>Select a package action</b> drop-down list.


 Package List Package Search New Package Load History Rollback EPIC Home Help Log Out

**HCUP Package for SHEILA TRAINING**

Package Status: Applied

SSN=881090149, Agency=90, POI=5317

-- Select a package action -- Submit  
 -- Select a package action --  
 Rollback Package

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/ Starting Action	Roll Back Ind	Susp Ind	Agency	POI	Usr	Entered Date	Last Changed UserID	Last Changed Date
790	UNM					4/11/2010	4/11/2010	Applied	X	EWEB			90	5317	TD149	6/26/2013	TD149	6/27/2013
002			894	QWM	ZLM	1/3/2010	12/23/2009	Applied	X	EWEB			90	5317	TD149	6/26/2013	TD149	6/27/2013
001	ATM		790	UNM		11/8/2009	10/10/2009	Applied	X	STRT			90	5317	TD149	6/26/2013	TD149	6/27/2013

Figure 178: HCUP Package Page – Rollback Package Drop-Down List

Step	Action
4.	Click <b>Submit</b> . The <b>Rollback Documents</b> page displays.


 Package List Package Search Load History Rollback EPIC Home Help Log Out

**Rollback Documents  
SHEILA TRAINING**

Agency  SSN

SSN: 881090149 Agency: 90 -- Select a Rollback Status --

DocType	POI	1st NOA	Description	2nd NOA	Description	EPIC Status	Status Cd
063	5317	790	Realignment			A	X
063	5317	007	General Adjustment	894	General Adjustment	A	X
063	5317	002	General Adjustment	894	General Adjustment	A	X
063	5317	001	Realignment	790	Realignment	A	X

Figure 179: Rollback Documents Page

Step	Action
5.	Select Hold or Release from the <b>Select a Rollback Status</b> drop-down list.

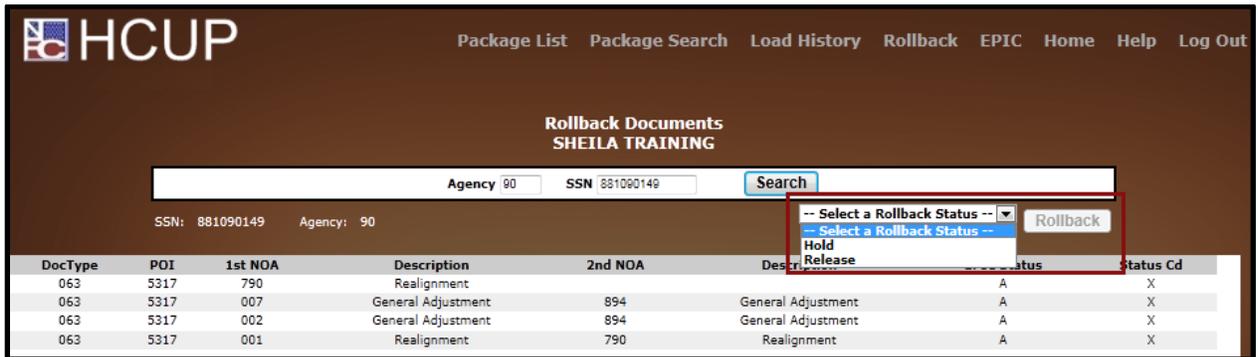


Figure 180: Rollback Documents Page - Rollback Status Drop-Down List

Step	Action
7.	Click <b>Rollback</b> . A pop-up message displays.

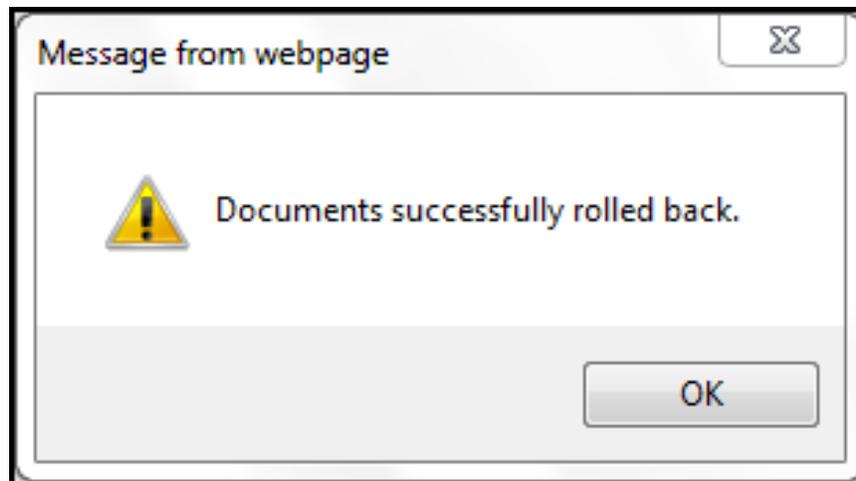


Figure 181: Pop-up Message

Step	Action
8.	Click <b>OK</b> . The HCUP package actions display in the <b>HCUP Package</b> page with the <b>EPIC Status</b> field listed as New, <b>Status Code</b> field listed as H or R, and <b>Roll Back Ind</b> field listed as Y.


 Package List Package Search New Package Load History Rollback EPIC Home Help Log Out

**HCUP Package for SHEILA TRAINING**

Package Status: Incomplete -- Select a package action -- Submit

SSN=881090149, Agency=90, POI=5317 Number of Actions in Package: 3

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/ Starting Action	Roll Back Ind	Susp Ind	Agency POI	UserID	Entered Date	Last Changed UserID	Last Changed Date
790	UNM					4/11/2010	4/11/2010	New	H	EWEB	Y		90	5317 TD149	6/26/2013	TD149	6/28/2013
002		894	QWM	ZLM		1/3/2010	12/23/2009	New	H	EWEB	Y		90	5317 TD149	6/26/2013	TD149	6/28/2013
001	ATM	790	UNM			11/8/2009	10/10/2009	New	H	STRT	Y		90	5317 TD149	6/26/2013	TD149	6/28/2013

Figure 182: HCUP Package Page

You have just rolled back the HCUP package in order to:

1. Correct an action,
2. Insert an action, or
3. Delete the entire package.

After executing the necessary corrections, insertions or deletions, you must release each action and the entire HCUP package. Refer to the procedures in Chapter 4.0 HCUP Access and Navigation Concepts for releasing starting actions, subsequent actions, and the HCUP package.

## 8.5. Chapter Review

### *Knowledge Check*

1. Define the rollback process in one to two sentences.

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2. After reading each scenario, select the type of rollback process that should be executed.
  - D. You processed a HCUP package in the current processing cycle, but now you need to add a newly required action you failed to add before the package applied.
    1. Rollback EPIC Personnel Actions
    2. Rollback HCUP Packages
  3. You processed a Realignment 790/UNM effective in the current processing period for Jane Training, but you need to create a HCUP package to correct personnel history for her as well.
    3. Rollback EPIC Personnel Actions
    4. Rollback HCUP Packages
  4. You mistakenly processed a HCUP package for an employee in the current processing period and need to delete it from the database.
    5. Rollback EPIC Personnel Actions
    6. Rollback HCUP Packages

### *Chapter Summary*

Having completed this chapter, you are now able to:

- Define the rollback process
- Identify the situations in which to use the rollback process
- Execute the rollback process

## 9.0. Suspense

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### 9.1. Chapter Overview

This chapter introduces the suspense function of HCUP. It explains why HCUP packages enter into suspense and how users are able to correct HCUP packages in suspense.

#### *Chapter Objectives*

By the end of this chapter, you will be able to:

- Summarize why HCUP packages enter into suspense
- Explain PINE's role in validating HCUP packages
- Access and correct actions in HCUP suspense
- Run reports in EPIC to monitor the status of a HCUP package

## 9.2. Introduction to Suspense

### *Lesson Overview*

This lesson provides users with an overview of the suspense process and explains why HCUP packages enter into suspense.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Explain why HCUP packages enter into suspense
- Describe the suspense process
- Identify the different PINE edit message categories

### **Suspense Process**

As discussed earlier, PINE is a PPS subsystem that edits personnel actions and payroll documents before they apply to the PPS database. PINE compares the employee's database record to the data that you enter, editing all transactions regardless of the entry system.

The following actions occur after you release a HCUP package:

1. PINE edits all the cancellation actions back to the starting action.
2. PEPL applies each action to the database as it passes the PINE edits.
3. PINE then edits the replacement actions and inserted actions. The first action that fails PINE edits along the way stops the process.
4. The Database Rollback System (DRBS) takes all the actions that have applied to the database and joins them in suspense to the action that actually failed PINE and the actions not yet edited.

PINE performs edits on the following areas:

- Field-field compatibility (i.e. service computation date for leave must be compatible with annual leave category)
- Individual field specifications (i.e. field requirement)
- Validity of action being processed (i.e. promotion grade is the same as the grade on the database)
- Other miscellaneous edits pertaining to processing personnel actions

**TIP:** Even though only one action in the package failed, PINE places the whole package in suspense.

Suspense reports are available to provide processors with the actual errors that are preventing the document from applying to the database as well as other suspense-related information. This topic is covered further in Lesson 9.4 EPIC Status Reports for HCUP Packages.

If the HCUP package applies to the database, PINE deletes certain information in its normal processing of personnel actions. When you process actions in a timely manner, these processes perform valuable functions. However, when you process late actions or change history, PINE does not restore all payroll data present before you started the operation.

**NOTE:** Refer to Appendix C for information on additional payroll duties after the HCUP package applies.

## Appendix C: Additional Payroll Duties after HCUP Package Applies **PINE Edit Message Categories**

Some PINE edit messages can apply to all transactions while others apply only to specific actions. Due to this, PINE edit messages are grouped into the following four categories:

<b>PINE Edit Message</b>	<b>Description</b>
All	Applies to all actions.
Specific Document Type	Applies to a specific kind of action being processed.
998 (FESI Position Data)	Identifies position data that was entered through Agency-developed front-end systems and processed through PMSO using FESI.
999 (Informational Messages)	Indicates that a type of action must be initiated.

PINE also uses HCUP- specific error messages:

<b>PINE Edit Message</b>	<b>Description</b>
<i>030 Document Edited – Waiting due to HCUP Package</i>	Identifies actions within a HCUP package that passed PINE edits and were rolled off the database by DRBS.
<i>031 HCUP Document in Error</i>	Identifies actions that failed PINE.
<i>032 Document Not Edited – Waiting due to HCUP Package</i>	Identifies actions that PINE has not yet edited.

**TIP:** Refer to the PINE Edit Messages manual at:  
<http://www.nfc.usda.gov/publications/PINE/pine.pdf> for a complete list of PINE edit messages.



### 9.3. Access and Correct HCUP Packages in Suspense

#### *Lesson Overview*

This lesson provides users with the procedures and information necessary to access and correct HCUP packages in suspense.

#### *Lesson Objectives*

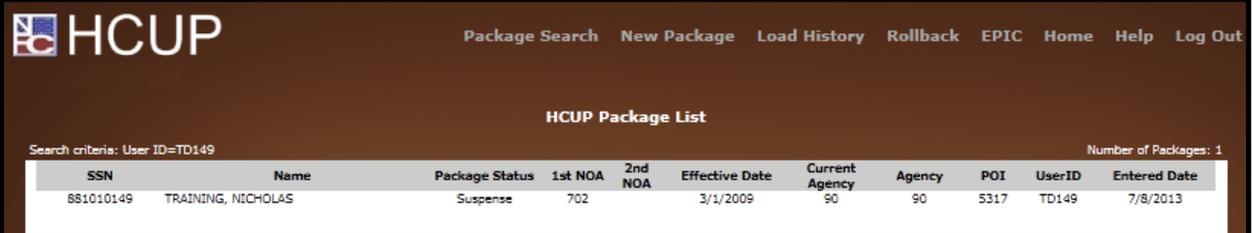
By the end of this lesson, you will be able to:

- Access HCUP packages in suspense
- Correct HCUP packages in suspense

### HCUP Packages in Suspense

Now that we have covered the suspense process and PINE edit messages, we can introduce the procedure for accessing and correcting HCUP packages in suspense. HCUP packages in suspense can be accessed and corrected online from the **HCUP Package List** page.

Step	Action
2.	Click <b>Package List</b> from the HCUP Menu Bar. The <b>HCUP Package List</b> page displays.



SSN	Name	Package Status	1st NOA	2nd NOA	Effective Date	Current Agency	Agency	POI	UserID	Entered Date
881010149	TRAINING, NICHOLAS	Suspense	702		3/1/2009	90	90	5317	TD149	7/8/2013

Figure 183: HCUP Package List Page

Step	Action
3.	Click the package that is in suspense. The <b>HCUP Package</b> page displays.


 Package List Package Search New Package Load History Rollback EPIC Home Help Log Out

**HCUP Package for NICHOLAS TRAINING**

Package Status: In Suspense

-- Select a package action -- Submit

SSN=881010149, Agency=90, POI=5317 Number of Actions in Package: 6

1st NOA	1A Auth	1B Auth	2nd NOA	2A Auth	2B Auth	Eff Date	Auth Date	EPIC Status	Status Code	Origin System/ Starting Action	Roll Back Ind	Susp Ind	Agency POI UserID	Entered Date	Last Changed UserID	Last Changed Date
853						2/28/2010	2/26/2010	Suspense	9	EWEB			90 5317 TD149	7/8/2013	TD149	7/8/2013
007			894	QWM	ZLM	1/3/2010	12/23/2009	Suspense	9	EWEB		Y	90 5317 TD149	7/8/2013	TD149	7/8/2013
002			894	QWM	ZLM	1/3/2010	12/23/2009	Suspense	9	EWEB			90 5317 TD149	7/8/2013	TD149	7/8/2013
002			903	9BS		9/27/2009	1/4/2009	Suspense	9	EWEB			90 5317 TD149	7/8/2013	TD149	7/8/2013
001	ATM		893	Q7M		4/12/2009	4/11/2009	Suspense	9	EWEB			90 5317 TD149	7/8/2013	TD149	7/8/2013
702						3/1/2009	2/27/2009	Suspense	9	STRT			90 5317 TD149	7/8/2013	TD149	7/8/2013

Figure 184: HCUP Package Page

After selecting the package in suspense, the actions are displayed in reverse chronological order, from the most recent, back to the starting action. The action that failed the edit is marked Y in the **Susp Ind** field.

To research the error, you must check the data on the action that failed PINE edits, the data on the previous actions that passed PINE edits, and the data in IRIS. After correcting the error, check to see if your corrections may have affected data on subsequent actions.

Step	Action
4.	Click the action with the <b>Susp Ind</b> field of Y. The Key Data* tab of the action displays with the PINE Suspense Errors listed at the bottom.

**NOTE:** If error messages indicate incorrect current data on the action rather than history, this is a Table 101 issue. Notify NFC's Contact Center for correction of the table. After the table is updated, you must reenter the package.

If error messages indicate missing data or actions, compare IR525 to HCUP History. If they are not the same, report it to NFC's Contact Center to reload history.


 Package Package List Package Search New Package Load History Rollback EPIC Home Help Log O

Show Print Friendly Versi

**HCUP Package 007 Action for 894 General Adjustment TRAINING, NICHOLAS**

EPIC Processing Status: In Suspense
Status Code: 9
-- Select a status code and click the Update button --

SSN\* 881010149  
 Last Name TRAINING First Name NICHOLAS Middle Name  
 Org  
 Dept\* AG  
 Agency\* 90  
 POI\* 5317  
 Dates  
 Eff Pay Period\* 01  
 Effective Date 1/3/2010  
 Auth Date\* 12/23/2009  
 Date NTE  
 1st  
 1st NOA\* 007  
 1A Auth Code  
 1B Auth Code  
 Legal Auth 1st ORM MEMO DTD 1/14/08  
 2nd  
 2nd NOA 894  
 2A Auth Code QWM  
 2B Auth Code ZLM  
 Legal Auth 2nd  
 Print SF-50  
 Yes No  
 Override Code

Document Type: 063 Asterisks (\*) indicate required fields

**PINE Suspense Errors**

Error Code	Error Message	Element Name	Content of Element
031	HCUP DOCUMENT IN ERROR.	NAT OF ACT 2ND 3 POS	894 QWM ZLM
031	HCUP DOCUMENT IN ERROR.	EFFECTIVE DATE OF ACTION	010310
031	HCUP DOCUMENT IN ERROR.	AUTHENTICATION DATE	122309
031	HCUP DOCUMENT IN ERROR.	PREVIOUS EFFECTIVE DATE	092709
181	NATURE OF ACTION NOT THE SAME AS LAST ACTION	NAT OF ACT 1ST 3 POS	007 ATM
181	NATURE OF ACTION NOT THE SAME AS LAST ACTION	NAT OF ACT 2ND 3 POS	894 QWM ZLM
181	NATURE OF ACTION NOT THE SAME AS LAST ACTION	NAT OF ACT PREV 3 POS	903 9BS
181	NATURE OF ACTION NOT THE SAME AS LAST ACTION	DB-NAT OF ACT 1ST 3 POS	000
181	NATURE OF ACTION NOT THE SAME AS LAST ACTION	DB-NAT OF ACT 2ND 3 POS	893 Q7M
031	HCUP DOCUMENT IN ERROR.	NAT OF ACT 1ST 3 POS	007
031	HCUP DOCUMENT IN ERROR.	NAT OF ACT PREV 3 POS	903 9BS

[Print Suspense Error Listing](#)

Figure 185: HCUP Package 007 Action Page with PINE Suspense Errors

Step	Action
5.	Correct the suspense errors.
6.	Select 9 – Release for Processing from the <b>Select a status code and click the Update button</b> drop-down list, once you have finished correcting the suspense errors.

**NOTE:** You cannot delete actions in a HCUP package in suspense. You must delete the package and restart. HCUP allows for immediate reentry of packages.



Figure 186: HCUP 002 Correction Action Page 9 - Release for Processing Status

Step	Action
7.	Click <b>Update</b> . A pop-up message displays.

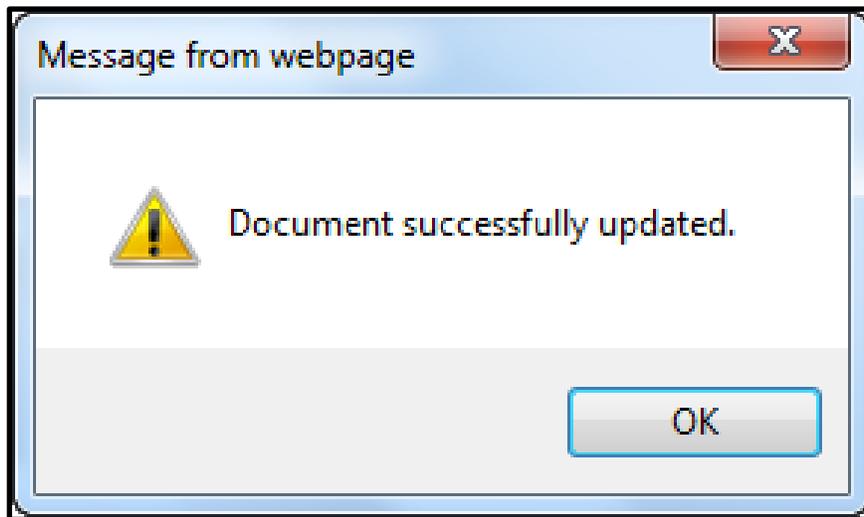


Figure 187: Pop-up Message

Step	Action
8.	Click <b>OK</b> .
9.	Click <b>Package</b> on the HCUP Menu Bar. The <b>HCUP Package</b> page displays.

Actions subsequent to the action in suspense, with the exception of official cancellations, carry PINE error message number *032, Document Not Edited - Waiting due to HCUP Package*. Once the action in suspense clears the edits, subsequent actions are allowed to continue the PINE editing process.

Corrections are edited in the next pass of PINE. Those errors not corrected are repeated in subsequent PINE passes and remain until corrected or deleted.

## 9.4. EPIC Status Reports for HCUP Packages

### *Lesson Overview*

This lesson covers the information and procedures for running and viewing reports within EPIC in relation to HCUP packages.

### *Lesson Objectives*

By the end of this lesson, you will be able to:

- Describe the three types of reports that can be run in EPIC
- Run reports in EPIC to monitor the status of a HCUP package

EPIC includes a reports option for viewing status and suspense reports for HCUP packages entered in HCUP. You can print these reports or save them as Microsoft® Excel spreadsheets. When run daily, these reports can help your office track the HCUP workload and ensure that all documents are corrected and released in a timely manner.

The report option in EPIC can be accessed from the EPIC Menu Bar in the top right corner of the **EPIC Home** page. This can be used to view and request status and suspense reports for transactions processed in EPIC.

Below is a brief description of each type of report:

EPIC Report	Description
<b>Processing Status List</b>	This report reflects the status of documents that have been entered during the current processing pay period. You can search on any or all document types (i.e. applied, new, future, pending, and suspense). The report can be sorted by User ID, effective pay period, EPIC status code, social security number, or document type.
<b>Processing Status Totals</b>	This report reflects the total number of HCUP packages for each EPIC status code. You can search on any or all status codes (i.e. applied, new, future, pending, and suspense).
<b>Suspense Error Counts</b>	This report reflects all PINE errors by document type, with a description of each error.

Step	Action
10.	Click <b>EPIC</b> on the HCUP Menu Bar.
11.	Click <b>Reports</b> on the EPIC Menu Bar. The <b>Reports</b> page displays.



Figure 188: Reports Page

Step	Action
12.	Click the appropriate radio button for the type of report you are requesting. Additional fields display below based on the type of report selected.

Reports

Select a report

Processing Status List  
 Processing Status Totals  
 Suspense Error Counts

**Select document types**

Applied Documents  All  
 New Documents  
 Future Documents  
 Pending Documents  
 Suspense Documents

**Select an originating system**

Non-Front End System Interface (Non-FESI)  
 Front End System Interface (FESI)  
 History Correction  
 Employee Self-Service

**Enter an organizational structure selection**

Department\*   
 Agency  Servicing Agency   
 POI  Pay Period   
 Document Type  User ID

**Select the sort order**

User Id  
  Effective PP  
  Status Code  
  SSN  
  Doc Type

Figure 189: Select a Report Page

Step	Action
13.	Select the appropriate document type(s) you are requesting. <div data-bbox="417 401 1349 489" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This field is not available for a Suspense Error Counts Report.</p> </div>
14.	Click the <b>History Correction</b> radio button under the <b>Select the originating system</b> field for the transactions you wish to view.
15.	Enter an organizational structure selection.
16.	Click the radio button for how you would like the report to be sorted. <div data-bbox="417 787 1349 875" style="border: 1px solid black; padding: 5px;"> <p><b>NOTE:</b> This option is only available for the Processing Status List Report.</p> </div>
17.	Click <b>Run Report</b> . The report displays based on your selected criteria.

## 9.5. Chapter Review

### *Knowledge Check*

1. Match each type of report with its appropriate description:

- |                                   |   |
|-----------------------------------|---|
| 1. <b>Processing Status List</b>  | A. Reflects all PINE errors by document type, with a description of each error. |
| 2. <b>Suspense Error Counts</b>   | B. Reflects the status of transactions in HCUP.                                 |
| 3. <b>Processing Status Total</b> | C. Reflects the totals for each EPIC status code.                               |

2. True or False:

- \_\_\_\_\_ A. When one action in a HCUP package enters into suspense, the entire HCUP package still applies to the database.
- \_\_\_\_\_ B. You cannot delete actions in a HCUP package in suspense.
- \_\_\_\_\_ C. PINE first edits all the replacement actions in a HCUP package back to the starting action.
- \_\_\_\_\_ D. HCUP reports are generated within EPIC.

### *Chapter Summary*

Having completed this chapter, you are now able to:

- Summarize why HCUP packages enter into suspense
- Explain PINE's role in validating HCUP packages
- Access and correct actions in HCUP suspense
- Run reports in EPIC to monitor the status of a HCUP package

## 10.0. Course Summary

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### 10.1. Course Accomplishments

Having completed this course, you are now able to:

- Describe the HCUP system and its purpose
- Describe how HCUP relates to NFC's PPS and Inquiry Systems (IRIS, PINQ, TMGT, PMSO, and PINE)
- Navigate within HCUP
- Process cancellation actions for updating personnel history
- Process correction actions for updating personnel history
- Insert newly required actions into history
- Execute the rollback process
- Correct suspense errors

### 10.2. Additional Resources

For additional resources please contact/refer to:

- OPM's guidance on processing, staffing, pay, etc. (<http://www.opm.gov/>)
- Applicable CFRs, laws, regulations
- EPIC Web Help or other application help
- EPIC Procedures Manual  
(<http://help.nfc.usda.gov/publications/EPICWEB/index.htm>)
- PINE Edit Error Messages  
([http://www.nfc.usda.gov/Publications/PINE/PINE\\_home.html](http://www.nfc.usda.gov/Publications/PINE/PINE_home.html))
- Knowledge Base (<http://www.nfc.usda.gov/>)
- System directives and guidance including suspense error messages  
(<http://www.nfc.usda.gov/>)
- CAPPs Web Site (<http://www.nfc.usda.gov/>)
- NFC Contact Center at 1-855-NFC4GOV (1-855-632-4468)

## 11.0. Appendices

### 11.1. Appendix A: Course Glossary

Concept/Item	Description
Accession Action	A personnel action that results in the addition of an employee to the rolls of an Agency
Adjustment Processing Subsystem (ADJP)	Provides for automatic handling of a variety of payroll adjustments
Cancellation Action	An action that rescinds an earlier action that was improper, that was proper but contains references to improper data, or that contains remarks that are inappropriate or erroneous and that should not have been recorded
Correction Action	An action that changes information shown on an earlier action on which an error occurred or adds information that was omitted from an earlier action
Exception Action	A personnel action that is processed at any time without regard to effective dates
Historical Action	An action previously processed and found in an employee's personnel history, or a new action that must be inserted within an employee's personnel history
History Correction Update Processing (HCUP) system	Online entry tool designed for processing of historical actions, corrections of existing historical actions, and cancellations of existing historical actions. HCUP allows correction and cancellation of historical personnel actions which were previously processed and have already updated to IRIS, PERHIS, and EPIC. It also allows for the entry of late or new actions that must be inserted among actions residing in history.
Individual Position	A record within PMSO that links to the master record and identifies a specific position

Concept/Item	Description
Information/Research Inquiry System (IRIS)	Provides immediate access to at least one calendar year of current and five years of historical payroll/personnel data and certain payroll document history
Inserted Action	A newly required retroactive action that is the result of a late personnel action, cancellation, or erroneous effective dates
Master Record	A record within PMSO that contains basic position data under which one or more individual positions may be assigned
Payroll/Personnel Inquiry system (PINQ)	Enables customers to view employee pay data in the PPS database which is the result of the processing of T&A reports and the computation of employees' pay
Payroll/Personnel System (PPS)	Allows the integration and sharing of an array of data records among many modular subsystems (i.e. HR, Payroll, Time and Attendance, and Reporting components)
Personnel History (PERHIS)	History record within IRIS that is used to process cancellation and replacement actions for the purpose of correcting personnel history (data storage: 10 years)
IR525	Personnel History Record within IRIS that displays a listing of personnel actions processed for over 10 years
Personnel Edit system (PINE)	Edits personnel actions and payroll documents before they apply to the PPS database and compares the employee's database record to the data that you enter
Position Management System (PMSO)	Allows Agencies to add, change, inactivate, reactivate, and delete/restore position data for immediate update to the PMSO database
Processing Status List	Type of EPIC Report that reflects the status of documents that have been entered during the current processing pay period

Concept/Item	Description
Processing Status Totals	Type of EPIC Report that reflects the total number of HCUP packages for each EPIC status code (i.e. applied, new, future, pending, and suspense)
Rollback Process	The process that rolls back, or retrieves, historical personnel data that is reflected on to the employee's database record during the current processing pay period in order to correct, delete, or allow another action with an earlier effective date to apply
Separation	A personnel action that results in the removal of an employee from the rolls of an Agency
Standard Form 50 (SF-50)	Notification of Personnel Action
Standard Form 52 (SF-52)	Request for Personnel Action
Starting Action	The earliest personnel action that will be changed in a HCUP package; the three basic types of starting actions are cancellations, corrections, and inserted actions
Subsequent Action	Any non-exception action that occurs after the initial starting action within HCUP, coded as a 004 action in a HCUP package
Suspense Error Counts	Type of EPIC Report that reflects all PINE errors by document type, with a description of each error
Table Management system (TMGT)	Provides direct access to table records containing selected data elements (i.e. Agency or Bureau Codes, addresses, etc.) from the payroll/personnel, financial, and administrative systems
Transaction History	History record within IRIS that is used by T&A in the re-editing of historical T&As based on retroactive personnel actions and by ADJP in recalculating biweekly pay based on the same actions

## 11.2. Appendix B: Course Acronyms

Acronym	Definition
ABCO	Administrative Billings and Collections System
ADJP	Adjustment Processing System
BEAR	Bi-weekly Examination Analysis and Reporting System
COLA	Cost of Living Adjustment
DRBS	Database Rollback System
EEOC	Equal Employment Opportunity Commission
EON	Executive Order Number
EPIC	Entry, Processing, Inquiry, and Correction System
ERI	Ethnicity and Race Indicator
FEGLI	Federal Employees' Group Life Insurance
FEHB	Federal Employee Health Benefits Plan
FERS	Federal Employees Retirement System
FLRA	Federal Labor Relations Authority
FWS	Federal Wage System
GESD	Government Employee Services Division
HCUP	History Correction Update Processing System
IRIS	Information/Research Inquiry System
IRS	Internal Revenue Service
MSPB	Merit Systems Protection Board

Acronym	Definition
NFC	National Finance Center
NOA	Nature of Action
NOAC	Nature of Action Code
NRB	Non Rating-Based
OPF	Official Personnel Folder
OPM	Office of Personnel Management
PAYE	Payroll Computation System
PEPL	Personnel Processing System
PERHIS	Personnel History
PINE	Personnel Edit System
PINQ	Payroll/Personnel Inquiry System
PMSO	Position Management System Operations
POI	Personnel Office Identifier
PPS	Payroll/Personnel System
PRD	Pay Rate Determinant
RB	Rating-Based
RETM	Retirement Processing System
SCSEP	Senior Community Service Employment Program
SF	Standard Form
SPPS	Special Payroll Processing System

Acronym	Definition
SSN	Social Security Number
T&A	Time & Attendance
TINQ	Time Inquiry-Leave Update System
TMGT	Table Management System
TSP	Thrift Savings Plan
USDA	United States Department of Agriculture
YCC	Youth Conservation Corps

### **11.3. Appendix C: Additional Payroll Duties after HCUP Package Applies**

#### **Tax Exemption Data**

PINE establishes state tax liability based on the duty station in which a personnel action initially places an employee. City and county tax liability (except for voluntary taxes) are established in the same manner when city or county tax liability is based on the employee's duty station. A personnel action which moves an employee to a new taxing jurisdiction cancels the old tax liability and establishes a new liability. The number of exemptions and the amount of any extra deductions are established only through the processing of state, city, and county tax documents through EPIC or other HR system.

When a history correction package includes actions that move an employee from one taxing jurisdiction to another, PINE resets data elements controlling tax liability each time the employee's taxing jurisdiction changes. After all actions apply, the employee's tax liability based on duty station is reset to the current duty location. However, any exemption (including waiver) and extra deductions previously on the database are wiped out. The information must be reentered.

#### **WGI Counters**

IR140, Non Pay Leave, stores information regarding hours in non-creditable non-pay status since a non-intermittent employee's last equivalent increase. IR129, Intermittent, stores information regarding the number of days worked since an intermittent employee's last equivalent increase. Non-pay hours and intermittent days worked are updated each pay period by PAYE. The data elements containing this information are referred to as WGI counters.

This information is zeroed out each time a 702, 703, 713, 893, or 5XX NOAC is processed. When you process a package that contains any of these NOACs, WGI counters maintained since the employee's last equivalent increase are restarted. You must check for the existence of any WGI counters prior to releasing the package and record the information, and reestablish them as needed through TINQ.

The cancellation of an equivalent increase restarts its associated non-pay or intermittent counters. If you officially cancel an employee's last equivalent increase, you adjust any associated WGI counters to reflect the period elapsed from what has now become the last equivalent increase.

If you insert a newly required equivalent increase as part of a package, you must consider any WGI counters kept based on what was formerly the employee's last equivalent increase. You may have to adjust them on the basis of the new action.

### **Manual Payroll Adjustments**

The database is able to make automated payroll adjustments based on late personnel actions for the 25 pay periods previous to the processing pay period in which the actions apply. Payroll adjustments for prior pay periods must be submitted to NFC as an SPPS Web request.

When the history correction process involves actions when the employee belonged to a previous Agency, the database does not automatically re-compute pay for any pay periods the employee belonged to the previous Agency even if they fall within the prior 25 pay periods. An SPPS Web request is submitted by an authorized representative of the previous Agency for periods the employee belonged to that Agency.

### **TSP Contributions and Lost Earnings**

Late personnel actions and T&As may create retroactive underpayments or overpayments of basic pay. When they do, the POI must take into consideration the effects such actions have on:

- contributions made to an employee's TSP account had the actions been processed timely, and
- the earnings credited to an employee's TSP account had the actions been processed timely.

Earnings associated with the late deposit of TSP contributions with the TSP record keeper are referred to as TSP "lost earnings".

Lost earnings may be positive or negative if an employee participated in the:

- C Fund (Common Stock Index Investment Fund),
- the F Fund (Fixed Income Index Investment Fund),
- the S Fund (Small Capitalization Stock Index Investment Fund), and/or
- the I Fund (International Stock Index Investment Fund) and whether the respective funds posted gains or losses during the period(s) covered by the adjustment.

Lost earnings are always positive with respect to funds deposited in the G Fund (i.e. Government Securities Investment Fund). TSP contributions made by the employer and/or employee through the USDA PPS are credited to an employee's TSP account on the Thursday payday for the pay period in which they were made. When a holiday falls on a Thursday which is a payday, the date used for TSP postings is the Wednesday prior to that Thursday. This schedule applies to original payments as well as adjustments made in a pay period. The fact that an employee's net pay may be sent to a financial institution the previous Monday via direct deposit does not alter this schedule.

Agencies are not required to address the issue of TSP lost earnings based on the submission of late personnel actions or T&As in the following situations:

- When fewer than 30 days elapse between the sending of late TSP contributions to the TSP record keeper and the date those funds would have been sent had the late personnel action or T&A been processed timely, or
- When the difference is in any one of the following three contribution sources amounts to less than \$1.00 for a pay period:
  - 1% Agency contribution
  - Agency matching contribution
  - employee contribution

When retroactive adjustments in basic pay are the result of late personnel actions or T&As, the database will automatically adjust each of the three TSP account contribution sources for up to the previous 25 pay periods. However, the database does not compute earnings on TSP accounts. This is done by the TSP System, a completely

separate system serving many Agencies, most of which do not use the USDA Payroll/Personnel System. The TSP System does not know the period of time contributions are for, it only knows when they are received. Therefore, employing offices must request that NFC prepare TSP lost earnings records and forward them to the TSP record keeper for processing. The TSP System calculates the amount of lost earnings due an employee based on the beginning and ending interest computation dates that NFC forwards to the TSP record keeper. The beginning date in the interest calculation is the date the funds should have been deposited into the employee's TSP account (always a payroll pay date). The ending date is the date the funds were actually posted to the employee's account.

TSP lost earnings are almost always a consideration for late actions and T&As involving a retroactive change in basic pay when the employee is under FERS or a FERS equivalent. This is because the 1% government contribution will always be affected as long as the employee is enrolled in TSP even if he or she does not participate. Of course, government matching and employee contributions must also be taken into account for employees who actively participate.

TSP lost earnings are almost always a consideration for late actions and T&As involving a retroactive change in basic pay when the employee is non-FERS and contributes a percentage of basic pay.

Both FERS and non-FERS employees may elect to contribute a fixed dollar amount per pay period. PINE edits assure that most fixed amount deductions do not exceed the applicable percentage limitation. PAYE performs a cutback on fixed dollar amount deductions in any case where a dollar deduction would exceed the applicable percentage limitation for the pay period. Therefore, do not assume that a non-FERS employee who had a fixed dollar amount deduction for TSP is not entitled to TSP lost earnings on the basis of a retroactive adjustment to basic pay. Keep in mind that a FERS employee may still be due lost earnings on 1% government contribution even though he or she contributed the proper fixed dollar amount.

There are two instances when not only TSP lost earnings records must be forwarded to TSP but all contribution amounts must be manually posted by NFC payroll as well:

- When the retroactive adjustment to basic pay exceeds the prior 25 pay periods, or
- When the effective date of a late personnel action or CIRCLE-TA-START of a late T&A resulting in an adjustment to basic pay is earlier than the EFFECTIVE DATE OF ACTION recorded on IR118, THRIFT SAVINGS DATA.

The EFFECTIVE DATE OF ACTION represents the effective date of the latest Form TSP-1 processed. ADJP uses this date in the adjustment process as though it were the date of initial enrollment in TSP even if it is the result of an Open Season document making a change in percentage rate, dollar amount, or fund allocation. What this means is TSP deductions will not be included in the adjustment process for any pay periods preceding this date even when a late action or a corrected T&A results in a change in basic pay. The employing office must request a manual adjustment to the employee's TSP to adjust retroactive deductions and contributions as well as TSP earnings in situations where pay periods are adjusted by the system during which an employee was actually participating in TSP but which are prior to the EFFECTIVE DATE OF ACTION.

When the late adjustment to basic pay results in an underpayment, the employee is entitled to lost earnings on

- the 1% government contribution, when applicable,
- Agency matching contributions, when applicable, and
- employee contributions, when applicable.

When the late adjustment to basic pay results in an overpayment, the following must be backed out of the employee's TSP account:

- funds associated with the excess 1% government contribution including related earnings, when applicable. Although government contributions older than one year are to be removed, they are not credited to the Agency; they are retained by TSP to reduce operating expenses.
- funds associated with the excess Agency matching contribution including related earnings, when applicable, and
- excess employee contributions, when applicable.

Note that excess earnings posted to the employee's TSP account on the basis of excess employee contributions are not forfeited by the employee. They remain in the account. A refund of excess employee contributions for a previous year does not affect the W-2 Form issued for that year. Instead, such a refund affects the current year's W-2.

The information given above applies to pay adjustments. For instructions specific to back pay awards, refer to 5 CFR Part 1605 § 1605.9.

Chapter 11, Non-automated Processing, of NFC's Payroll/Personnel Manual contains instructions on the submission of an SPPS request for the adjustment of TSP deductions, Agency contributions, and lost/excess earnings.

## **Grade Retention**

Grade retention applies when the employee's position is reduced in grade as a RIF, reclassification, or reorganization, and the employee is eligible to retain the current grade. The Grade and Pay Retention Tables in the EPIC Procedures Manual, Title I, Chapter 23 show the PRD code(s) used when certain NOACs are processed for employees whose database salary data record indicates grade and/or pay retention. Also included are definitions for the nature of action codes and remarks codes.

The instructions for grade retention are based upon OPM regulations contained in:

- Part 536 of Title 5, Code of Federal Regulations, and
- Chapters 14 and 17 of OPM's Guide to Processing Personnel Actions.

To determine the applicable pay rate determinant (PRD) code used for grade and/or pay retention, refer to OPM's Guide to Processing Personnel Actions Chapter 4 Table 4.

After the personnel action (NOAC 740) establishing grade and/or pay retention applied to the database, the retained grade data is recorded on IR128, Retained Grade Data. The PRD Code is recorded on IR101, Salary Data. The retained grade data recorded on IR128 displays the position the employee is currently occupying during the period of grade retention and data for the retained position including pay plan, occupational series, and grade. An employee who meets specific eligibility requirements is eligible to retain his/her grade for a period of two years if:

- The employee is placed in a lower-graded position as a result of reduction-in-force.
- The employee's position is reduced in grade as a result of a reclassification process.
- The Agency offers grade retention to employees placed in lower-graded positions as a result of a reclassification or reorganization decision announced by management in writing as defined in 5 CFR 536.103(b).

An employee placed in a lower-graded position as a result of a reduction-in-force or reorganization announced by management in writing is eligible for grade retention only if the employee served 52 or more consecutive weeks in a grade or grades higher than the grade of the lower-graded position. The requirement for 52 or more consecutive weeks may be in one or more positions, in one or more Agencies, and at more than one grade level.

An employee placed in a lower-graded position as a result of a reclassification is eligible for grade retention only if the previous position was classified at a higher level grade(s) for a continuous period of at least one year prior to the reclassification process. The previous position may be classified at more than one higher grade level during the one year period, and in any pay schedule. The employee is not required to have 52 consecutive weeks or more in the previous position to be eligible for grade retention as a result of reclassification.

Grade and pay retention does not apply when the employee:

- Moves from a position that is not in an Agency defined in U.S.C. 5102,
- Is identified under 5 U.S.C. 2105(c), except prevailing rate employees included under 5 U.S.C. 5361,
- Is reduced in grade or pay for personal cause or at the employee's request,
- Is removed from a supervisory or managerial position because the probationary period is not successfully completed,
- Is other than a prevailing rate employee under 5 U.S.C. 5342(a)(2)(B) and is paid from non-appropriated funds under the jurisdiction of the Armed Forces, and
- Is entitled to receive basic pay under 5 U.S.C. 3594(c) because of removal from the SES and placement in a civil service position (other than an SES position) under 5 U.S.C. 3594(b)(2).

