



National Finance Center

U. S. Department of Agriculture

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

National Finance Center

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

***Special Payroll Processing System (SPPS) Mainframe and
Document Tracking System External (DOTSE)
Facilitator Guide***

Version 1.0

Updated as of August 1, 2016

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1.0. Course Information

1.1. Purpose

This course focuses on the main functions of Special Payroll Processing System (SPPS) Mainframe and Document Tracking System External (DOTSE) Mainframe. The course provides detailed instructions for processing NFC special payments in both systems.

1.2. Course Objectives

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

- Provide colleagues with an overview of SPPS Mainframe and DOTSE
- Describe how to process an Advance Pay Quick Service Request (QSR) in SPPS Mainframe
- Describe how to process an indebted case for a separating employee in SPPS Mainframe
- Describe how to process a death case in SPPS Mainframe
- Describe how to recertify a paper check and a direct deposit/electronic funds transfer (DD/EFT) payment

1.3. Agenda

This course includes the following chapters:

Chapter	Duration
Welcome	15 Minutes
Course Information	15 Minutes
SPPS Mainframe Overview	15 Minutes
SPPS Mainframe Navigation	15 Minutes
Processing Quick Service Request	35 Minutes
Processing Indebtedness for Separated Employees	35 Minutes
Processing Death Cases	35 Minutes

Comment [NFC1]: Slide 2



Welcome students to the course and provide a brief introduction of yourself. Make sure to verify all student registration and enrollment in the course.

Comment [NFC2]:



Show Slide 3: Agenda.

Chapter	Duration
Document Tracking System External Overview	15 Minutes
Document Tracking System External Navigation	15 Minutes
Recertifying Direct Deposit and Paper Checks	30 Minutes
Generating Reports	10 Minutes
Course Summary	20 Minutes

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

Comment [NFC3]:



Show Slide 4: **Ground Rules and Expectations.**

Comment [NFC4]:



Share with participants the location of restrooms and break locations. Instruct students that there is one 15 minute break following Chapter 5.

Comment [NFC5]:



Show Slide 5: **Introductions.**



Ask the question, What are you hoping to get out of this training?

1.5. Course Materials and Resources

You are provided with the following course materials to support your learning:

- Special Payroll Processing System (SPPS) Mainframe and Document Tracking System External (DOTSE) Participant Guide

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

Icon	Meaning or Use
	CAUTION: Advises users that failure to take or avoid a specified action could result in loss of data.
	IMPORTANT: Provides information essential to the completion of a task. Users can disregard information in a note and still complete a task, but you should not disregard an important note.
	NOTE: Emphasizes or supplements important parts of the main text. A note supplies information that may apply only in special cases.
	TIP: Helps users 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 users understand the benefits and capabilities of the product.

Comment [NFC6]:



Transition from introduction information to Slide 6: **NFC Overview**.



Show Slide 7: **About NFC**.

2.0. SPPS Mainframe Overview

2.1. Chapter Overview

This chapter provides an introduction to the main functions and features of SPPS Mainframe.

Chapter Objectives

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

- Summarize the National Finance Center's (NFC) payroll processing functions
- Describe the main functions of SPPS Mainframe

Comment [NFC7]:



Show **Slide 8: SPPS Mainframe Overview Chapter Overview.**

Comment [NFC8]:



Ask the following questions:

1. How familiar are you with SPPS Mainframe?
2. How long have you been processing in SPPS Mainframe?

2.2. Introduction to SPPS Mainframe

Lesson Overview

This chapter introduces users to the main functions and features of SPPS Mainframe.

Lesson Objectives

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

- Explain how SPPS Mainframe is related to the payroll process
- Identify the three main functions of SPPS Mainframe

The NFC Payroll/Personnel System (PPS) is a full-service integrated payroll/personnel system offering the full range of personnel and payroll processing. PPS enables the processing of:

- Standard Form (SF) 52 (Request for Personnel Action),
- Awards,
- Allotments,
- Performance appraisals,
- Health and life insurance,
- Thrift Savings Plan (TSP),
- Tax documents,
- Severance pay,
- Leave records, and
- Payroll-related financial reporting operations.

PPS processes the above personnel and payroll information for the entire United States Department of Agriculture (USDA) and numerous other Federal and non-Federal Departments on a biweekly basis. PPS maintains NFC customers' employee data beginning with the hiring of the employee through separation/retirement.

The Special Payroll Processing System (SPPS) Mainframe is an online database payment system, which can be accessed through the NFC Mainframe.

Comment [n9]: Slide 09

Comment [NFC10]:



Show Slide 10: **Payroll Processing Overview.**

SPPS Mainframe is responsible for:

1. Adding, changing, and querying Quick Service Requests (QSR)
2. Recording indebtedness for separated employees
3. Processing and disbursing payments to the estate of a deceased employee



NOTE: SPPS Mainframe payments are disbursed on the manual pay schedule, which runs Monday – Friday, excluding holidays, at 11:00 AM Central Time (CST).

2.3. Chapter Review

Knowledge Check

1. **True or False:** PPS maintains the employee data of NFC's customer from hire to separation/death.

2. SPPS Mainframe is responsible for:

- _____
- _____
- _____

Chapter Summary

Having completed this chapter, you are now able to:

- Summarize the National Finance Center's (NFC) payroll processing functions
- Describe the main functions of SPPS Mainframe

Comment [NFC11]:



Show Slides 11:

- **Knowledge Check**
- **Chapter Review**



Ask students to record their answers to the Knowledge Checks individually.

Comment [NFC12]:



Ask a volunteer to answer the first Knowledge Check.

Explain that the correct answer is **True**.

Comment [NFC13]:



Ask a volunteer to answer the second Knowledge Check.

Explain that the correct answers are: ***processing QSRs, final payment for a separating employee, and distributing monies to beneficiaries of a deceased employee.***

Comment [NFC14]: Slide 12



Review previous chapter, and begin to transition to SPPS Mainframe Navigation chapter.

3.0. SPPS Mainframe Navigation

3.1. Chapter Overview

This chapter introduces the procedures for accessing and navigating in SPPS Mainframe.

Chapter Objectives

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

- Sign into SPPS Mainframe
- Navigate between the SPPS **MAIN MENU SCREEN** and the menu options

Comment [NFC15]:



Show Slide 13-14:
**SPPS Mainframe Navigation
Chapter Overview.**

3.2. Accessing SPPS Mainframe

Lesson Overview

This lesson provides the procedures for accessing SPPS Mainframe. Additionally, it covers the relevant security and access roles for SPPS Mainframe.

Lesson Objectives

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

- Identify all of the security and access roles for SPPS Mainframe
- Access the NFC mainframe
- Access SPPS Mainframe through the Agency specific database within the mainframe

SPPS Mainframe Security

SPPS Mainframe access security is designed to prevent unauthorized use of systems and databases. To access SPPS Mainframe you must have sign on credentials and access to the NFC Mainframe.

You must request access to SPPS Mainframe through your Agency's Security Office (ASO). In the request, you should provide the following data:

- User name
- User social security number (SSN)
- User ID
- Agency name
- User access request level
 - Retrieval only for all records
 - Update access for Quick Service Requests
 - Update access for death case records
 - Update access for Indebtedness
- Telephone number
- Application name
- User Security Access Code

Comment [n16]: Slide 15

Comment [n17]: Slide 16

Once you are granted system access, you can enter the SPPS application via the NFC Mainframe. In the procedure below, you learn how to access SPPS Mainframe.

Comment [n18]: Slide 17

Step	Action
1.	On your computer's desktop, open your Agencies' network connection. The U.S. Government Computer Warning screen displays.

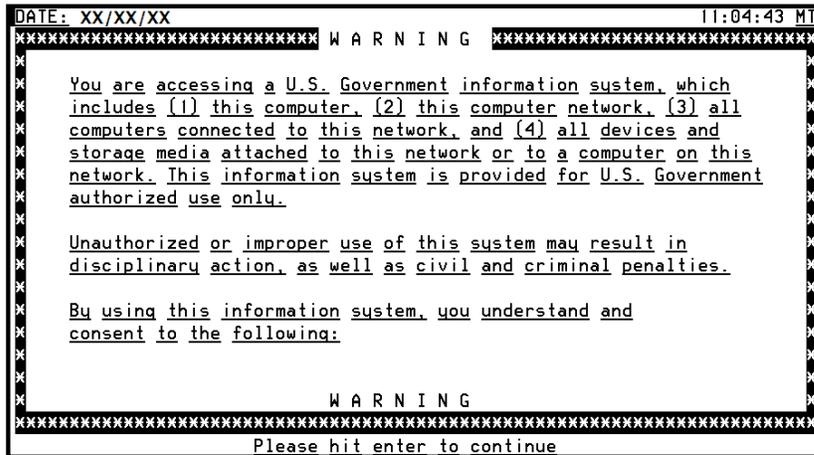


Figure 1: U.S. Government Computer Warning Screen

Step	Action
2.	Press Enter . The NFC Banner screen displays.  NOTE: In the event that NFC needs to communicate special system function messages, the Electronic Access Bulletin Board displays. In this case, press Enter and the NFC Banner displays.

```

=====
==  XX/XX/XX      SNX32702      T30N6711      PF1=HELP  ==
=====
==              NN   NN      FFFFFFFF      CCCCCCCC  ==
==             NNN  NN      FFFFFFFF      CCCCCCCC  ==
==            NNNN NN      FF              CCC        ==
==           NN NN NN      FFFFFFFF      CCC         ==
==          NN  NNNN      FFFFFFFF      CCC         ==
==         NN   NN      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 2: NFC Banner Screen

Comment [n19]: Slide 18

Step	Action
3.	Enter your User ID in the ENTER USER ID field.
4.	Enter your password in the PASSWORD field.
5.	Enter "SPPS" in the ENTER APPLICATION NAME field.
6.	Press Enter . The SPPS Banner screen displays.

3.3. General Navigation

Lesson Overview

This lesson introduces the basic navigation features of SPPS Mainframe, including main menu options and the system function keys.

Lesson Objectives

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

- Navigate within SPPS Mainframe
- Use SPPS Mainframe function keys

SPPS Mainframe is a menu-drive system. It consists of one main menu with three options:

1. QUICK SERVICE REQUEST (QSR)
2. INDEBTEDNESS (FOR SEPARATIONS ONLY)
3. DEATH CASE

These options are described in greater detail in Chapters 4-6.

After you have accessed SPPS Mainframe, the SPPS **MAIN MENU SCREEN** displays showing the three menu options.

Comment [n21]: Slide 20

Comment [n22]: Slide 21

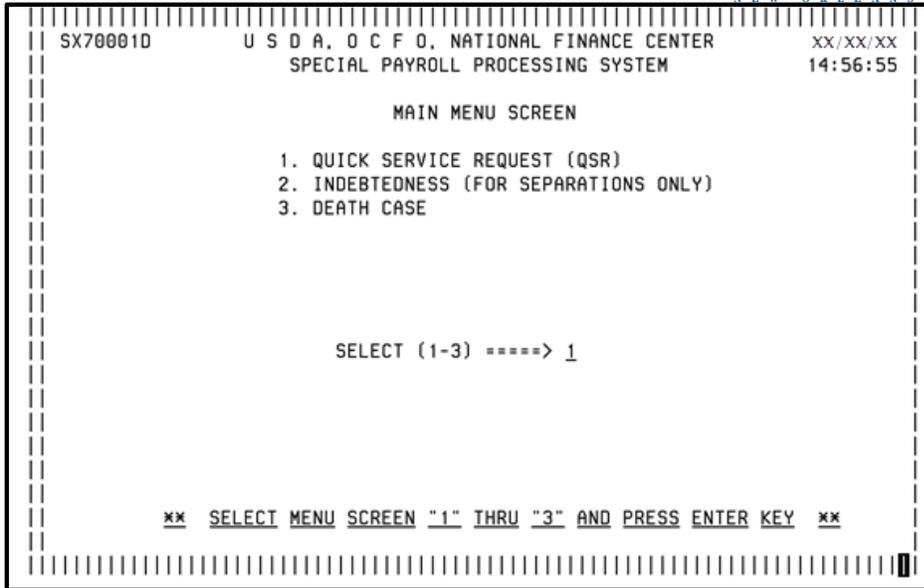


Figure 4: SPPS MAIN MENU SCREEN

In the procedure below, you learn how to access the SPPS **MAIN MENU SCREEN** options.

Step	Action
1.	Enter the option number in the SELECT (1-3) field.
2.	Press Enter . The menu for the option selected displays.

Function Keys

Function keys are assigned functions relevant to the program operated. These function keys are typically listed on a separate pad or across the top of the keyboard. Assigned F key functions used in SPPS Mainframe are displayed on each screen.

Comment [n23]: Slide 22



NOTE: If you are using a laptop, the keys may be configured differently.

Key	Description
F1	Press to return to the SPPS <i>MAIN MENU SCREEN</i> .
F5	Press to display additional help.
Clear	Press to exit the system.
Enter	Press to enter data into the system.
Tab	Press to move the cursor from field to field.
	NOTE: Additional functions keys may display, depending on the screen.

3.4. Chapter Review

Knowledge Check

1. What three fields are required on the **NFC Banner** screen to access SPPS Mainframe?

1. _____
2. _____
3. _____

2. **Fill in the blanks:** What are three of the function keys?

3.
 - **F1** – Return to the SPPS _____
 - **F5** – Used to display additional _____
 - **Enter** – Used to enter data into the _____

Chapter Summary

Having completed this chapter, you are now able to:

- Sign into SPPS Mainframe
- Navigate between the SPPS **MAIN MENU SCREEN** and the menu options

Comment [NFC24]:



Show Slide 23:

- **Knowledge Check**
- **Chapter Review**



Ask students to record their answers to the Knowledge Checks individually.

Comment [NFC25]:



Ask a volunteer to answer the first Knowledge Check.

Explain that the correct answers are: **USER ID, PASSWORD,** and **APPLICATION NAME.**

Comment [NFC26]:



Ask a volunteer to answer the second Knowledge Check.

Explain that the correct answers are: **MAIN MENU SCREEN, information,** and **system.**

Comment [NFC27]: Slide 24



Review previous chapter and transition to Processing Quick Service Requests chapter.

4.0. Processing Quick Service Requests

4.1. Chapter Overview

This chapter provides users with an introduction to processing Quick Service Requests (QSR).

Chapter Objectives

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

- Describe how the two formats of QSRs are organized
- Explain the purpose of each QSR format
- Describe the how to process an Advance Pay QSR in SPPS Mainframe
- Explain how to process a Delayed (14-Liner) QSR

Comment [NFC28]:



Show Slide 25-26:
**Processing Quick Service
Requests Chapter Overview.**

4.2. Introduction to Quick Service Requests

Lesson Overview

This lesson introduces users to the two QSR formats and their uses. Additionally, this lesson explains the purpose of each field on the QSR screens.

Lesson Objectives

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

- Identify the two formats of QSRs
- Explain the reasons for processing QSRs

QSRs provide salary payments when an employee is not paid through the automated Payroll/Personnel System or the manual payment process. This can occur as a result of:

- A late personnel action or a late accession,
- No check mailing address,
- An Agency in the middle of performing cancellation and correction actions to correct erroneous data in Personnel Action Processing System (PACT), or
- A late Time and Attendance (T&A) Report.

Agency personnel offices initiate QSRs if it is determined that an employee has not been paid. An Agency can determine if an employee has not been paid by conducting inquiries in one of three systems:

- Information/Research Inquiry System (IRIS)¹
- Payroll/Personnel Inquiry System (PINQ)²
- DOTSE

¹ IRIS is an online inquiry system that uses employee social security numbers to view employee data contained in the Payroll/Personnel System database.

² PINQ is an inquiry system used to research payroll-related inquiries received from employee data on the Payroll/Personnel System database.

Comment [NFC29]: Slide 28



Explain that participants should submit a T&A for the pay period the QSR is being processed for, along with the T&A for the current pay period to assure that the receipt is deducted from the appropriate pay period.

QSRs should be submitted in a timely fashion to ensure that the employee is paid as soon as possible.

There are two QSR formats. The first is an Advance Pay QSR, which is processed within SPPS Mainframe, and the second is a Delayed QSR. To process a Delayed QSR, an Agency must fax a completed Delayed QSR to NFC. If the Delayed QSR is related to a leave payment, the Agency must also update the Time Inquiry Update system (TINQ).



NOTE: For more information and procedures on processing a Delayed QSR refer to Appendix D: Processing a Delayed QSR.

An Advance Pay QSR is used for the majority of QSR requests. There are three situations when a Delayed QSR is required:

1. If an employee is separated
2. When an intervening pay period has been processed (Pay period prior to last pay period in which the employee was paid through the Payroll Computation System), this can be verified on PINQ Screen PQ032³
3. If an employee is transferring from one Agency to another Agency on the same database and the employee is still active with the previous Agency

The Advance Pay QSR is for processing QSRs for the current pay period and the three prior pay periods. Only one QSR record can be processed for a single pay period. You should enter QSR data based on criteria established by the Agency personnel office.



IMPORTANT: A T&A must be transmitted for each employee and for each pay period that an Advance Pay QSR is processed.

However, Agencies should not transmit a T&A for a Delayed QSR to avoid the processing of a duplicate payment.

QSR records are maintained for the current pay period and previous 26 pay periods in SPPS Mainframe, which is accessed through the History Inquiry function. QSR information that is no longer displayed in SPPS Mainframe can be viewed in DOTSE. To receive information on data not in DOTSE, submit an email request through Requester console NFCCONTACTCENTER@nfc.usda.gov

³ Refer to Appendix C: PINQ Program PQ032 for a sample of PQ032.

4.3. Processing Advance Pay Quick Service Requests

Comment [n31]: Slide 30

Lesson Overview

This lesson describes the procedures and information required to process an Advance Pay Quick Service Requests and provide examples.

Lesson Objectives

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

- Describe the process for adding an Advance Pay QSR record in SPPS Mainframe
- Explain the process for viewing an existing QSR record in SPPS Mainframe
- Explain the process for completing an Advance Pay Quick Service Request

Before submitting a QSR, the Agency personnel office must validate in IRIS or PINQ that the payment has not been made.⁴ For a payment made manually the Agency personnel office must validate in SPPS Web if the employee was paid through that system. The employee's payment information displays in IRIS and PINQ as early as the Monday prior to the Thursday payday for payments being made through the Payroll Processing System (PAYE).

Comment [n32]: Slide 31

Monday	Tuesday	Wednesday	Thursday	Friday
★ Payment information visible in IRIS and PINQ			Payday	

Figure 5: Payment Schedule

Now that we have discussed the purpose of the QSR function in SPPS Mainframe and how to verify if a QSR is required, the procedure below explains how to add a new QSR in SPPS Mainframe.

Comment [NFC33]:



Show Slide 32: SPPS MAIN MENU SCREEN.

⁴ More information on IRIS and PINQ can be found in the systems' procedure manuals.

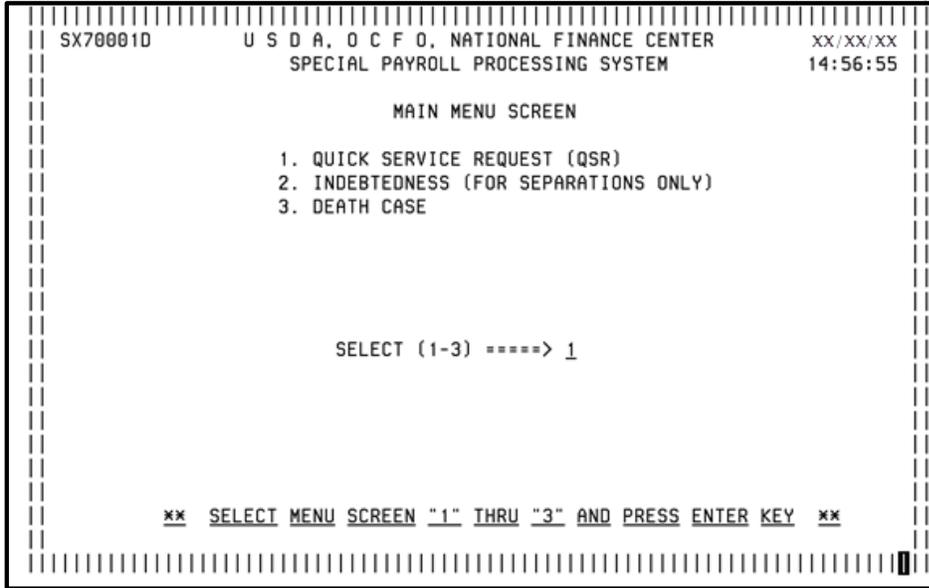


Figure 6: SPPS MAIN MENU SCREEN

Step	Action
1.	From the SPPS MAIN MENU SCREEN , enter "1" in the SELECT (1-3) field. The QSR MENU SCREEN displays.
2.	Press Enter.

Comment [NFC34]:



Show Slide 33: **QSR MENU SCREEN.**

```

SX70003D      U S D A, O C F O, NATIONAL FINANCE CENTER      XX/XX/XX
              SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      14:58:22
              QUICK SERVICE REQUEST (QSR)

              QSR MENU SCREEN

              1. NEW REQUEST (ADD, CHANGE, OR DELETE)
              2. HISTORY INQUIRY
              3. COMMENT UPDATE (NFC USE ONLY)

              SELECT OPTION (1-3) =====> 1

              ** SELECT MENU SCREEN OPTION "1" THRU "3" AND PRESS ENTER KEY **
              CLEAR=EXIT   PF1=MAIN MENU
  
```

Figure 7: QSR MENU SCREEN

Step	Action
3.	Enter "1" in the SELECT OPTION (1-3) field.
4.	Press Enter . The NEW REQUEST screen displays.

Comment [NFC35]:



NEW REQUEST screen.

```

SX71001D          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX
SCREEN 1 OF 3     SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          15:00:15
                                QUICK SERVICE REQUEST
FILE CONTROL INFORMATION          ** NEW REQUEST **

SSNO _____   AGCY  _   POI  _   PAY PERIOD NO/YR  _ /  _
NAME: LAST _____   FIRST _____   MIDDLE _____
FUNCTION CODE  _   (A=ADD C=CHANGE D=DELETE)

** PRESS ENTER **

ENTER=PROCESS  PF1=MAIN MENU  PF2=QSR MENU  PF5=HELP  PF12=RESET  CLEAR=EXIT
  
```

Figure 8: NEW REQUEST Screen

Comment [n36]: Slide 34

Step	Action
5.	Enter the employee's social security number in the SSNO field.
6.	Enter the employee's Agency Code in the AGCY field.
7.	Enter the employee's Personnel Office Identifier (POI) in the POI field.
8.	Enter the pay period that the QSR covers in the PAY PERIOD NO field.
9.	Enter the year that the QSR covers in the PAY PERIOD YR field.
10.	Press Enter .
	TIP: If the employee is currently in the database, you do not need to populate the name fields.
11.	Enter the employee's last name in the LAST field.
12.	Enter the employee's first name in the FIRST field.
13.	Enter the employee's middle name in the MIDDLE field.

Step	Action
14.	Enter the "A" (Add) in the FUNCTION CODE field to add the QSR.  TIP: Enter "A" if you are adding a new QSR record, "C" to change a record, or "D" to delete an erroneous record.
15.	Press Enter . The message <i>REVALIDATE SOCIAL SECURITY</i> displays.
16.	Enter the employee's social security in the SSNO field for verification.
17.	Press Enter . The PAY CONTACT/INFORMATION screen for a new request displays.

Comment [NFC37]:



Show **Slide 35:**
PAY/CONTACT
INFORMATION screen.

```

SX71002D          U S D A , D C F O , NATIONAL FINANCE CENTER          XX/XX/XX
SCREEN 2 OF 3          QUICK SERVICE REQUEST          13:46:28
PAY/CONTACT INFORMATION    ** NEW REQUEST **
SSNO
NAME: LAST              FIRST              MIDDLE
PAYMENT INFORMATION:
PAYMENT REASON CODE  _  NET PAY AMOUNT  _  (OPTIONAL)
PAYMENT CALCULATION INFORMATION:
GRADE  _  STEP  _  (PAY PLAN - GS OR GS EQUIVALENT)
---- OR ----
BASE SALARY  _  (PER ANNUM)          BASE SALARY OVERRIDE  (Y ONLY)
T&A CONTACT POINT:  AGENCY  STATE  _  CITY  _  UNIT  _  TIMEKEEPER  _
QSR CONTACT PERSON:  LAST  _  FIRST  _
PHONE: AREA CODE  _  NUMBER  _
PAYROLL PERSONNEL DATA BASE CHECK ADDRESS  OR SPECIFIED ADDRESS  (Y ONLY)

ENTER=PROCESS          PF2=QSR MENU          PF5=HELP          PF12=RESET
PF1=MAIN MENU          PF3=NEXT RECORD      PF7=PREV SCREEN  CLEAR=EXIT
  
```

Figure 9: PAY/CONTACT INFORMATION Screen

Step	Action
18.	Enter the payment reason code in the PAYMENT REASON CODE field.  TIP: Press F5 to display the available reason codes.
19.	Enter the net pay amount (optional) in the NET PAY AMOUNT field.  TIP: The maximum net pay amount is \$5,000.00 and the minimum amount is \$5.00. If you leave this field blank, SPPS Mainframe calculates 70% of 80 hours of the employee's base salary listed in the payroll database. If the employee is not listed in the payroll database, enter the value of 70% of 80 hours of the employee's base salary rounded to the nearest \$25.00 increment.
	IMPORTANT: SPPS Mainframe can disburse more than 70% of 80 hours base salary by overriding the system (such as for overtime). To override the system, calculate 70% of the employee's gross salary and enter the net pay amount rounded to the nearest \$25.00 increment. Complete the BASE SALARY field with a base salary that is great enough to cover the net pay amount. Then enter "Y" in the BASE SALARY OVERRIDE field. You can also pay less than 80 hours if the employee didn't work 80 hours. (i.e. 40 hours x hourly rate x 70% = Net rounded to the nearest \$25.00 increment)
20.	Enter in the employee's Federal grade in the GRADE field or the employee's base salary in the BASE SALARY field.
21.	Enter in the employee's Federal step in the STEP field. This step is unnecessary if a base salary is provided.  IMPORTANT: Either the Federal grade and step, or the base salary must be entered. If the pay plan does not relate to the GS schedule or equivalent pay schedule, the requestor must calculate the employee's annual base salary.
	NOTE: The AGENCY , STATE , CITY , UNIT , and TIMEKEEPER fields may be system generated. If not, enter the appropriate information in each field.
22.	Enter the T&A contact point's Agency in the AGENCY field.

Step	Action
23.	Enter the T&A contact point's state in the STATE field.
24.	Enter the T&A contact point's city in the CITY field.
25.	Enter the T&A contact point's unit code in the UNIT field.
26.	Enter the T&A contact point's timekeeper code in the TIMEKEEPER field.
27.	Enter the QSR contact person's last name in the LAST field.
28.	Enter the QSR contact person's first name in the FIRST field.
	NOTE: The contact person is designated in the Table Management (TMGT) Table 063, ⁵ (Department/Agency/Bureau Contact) Contact Type 04 – Quick Service Request, as the principal contact authorized to process QSRs.
29.	Enter the QSR contact person's area code in the AREA CODE field.
30.	Enter the QSR contact person's phone number in the NUMBER field.
31.	Enter "Y" (Yes) in the PAYROLL/PERSONNEL database CHECK ADDRESS field or SPECIFIED ADDRESS field.  NOTE: If "Y" is entered in the PAYROLL PERSONNEL DATA BASE CHECK ADDRESS field, the specified address fields on the CHECK MAILING INFORMATION screen auto-populate. If "Y" is entered for the SPECIFIED ADDRESS field, complete the specified address fields on the CHECK MAILING INFORMATION screen. If an employee's social security number is not on the Payroll/Personnel database, the PAYROLL/PERSONNEL DATA BASE CHECK ADDRESS field is unavailable, and a "Y" (Yes) is system generated in the SPECIFIED ADDRESS field.
32.	Press Enter . The CHECK MAILING INFORMATION screen displays.

Comment [NFC38]:

 Show Slide 36: **CHECK MAILING INFORMATION** screen.

⁵ Table Management (TMGT) Table 063, Contacts.

```

SX710040          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX
SCREEN 3 OF 3          QUICK SERVICE REQUEST          13:48:23
CHECK MAILING INFORMATION  ** NEW REQUEST **
SSNO
NAME: LAST          FIRST          MIDDLE
SPECIFIED ADDRESS:
STREET ADDRESS _____
CITY _____ STATE ___ ZIP CODE _____
JR
DESIGNATED AGENT CODE _____
JR
BANK DEPOSIT (DD/EFT):
TYPE OF ACCOUNT
ACCOUNT NUMBER
ROUTING NUMBER

ENTER=PROCESS          PF2=QSR MENU          PF5=HELP          PF12=RESET
PF1=MAIN MENU          PF3=NEXT RECORD          PF7=PREV SCREEN          CLEAR=EXIT
  
```

Figure 10: CHECK MAILING INFORMATION Screen

Step	Action
33.	Enter the employee's street address in the STREET ADDRESS field.
34.	Enter the employee's city in the CITY field.
35.	Enter the employee's state in the STATE field.
36.	Enter the employee's zip code in the ZIP CODE field.
	<p>TIP: You can either send the payment to a mailing address, a designated agent, or a bank account number.</p> <p>The bank deposit fields cannot be changed unless NFC is contacted.</p>
37.	Press Enter . The record is stored in the system.

History Inquiry

Comment [n39]: Slide 37

After you have added a QSR record to SPPS Mainframe, you can use Option 2, History Inquiry, on the **QSR MENU SCREEN** to review the status of the QSR. Records for the current pay period and previous 26 prior pay periods are maintained in the SPPS Mainframe database for viewing.

In the procedure below, you learn how to view an existing QSR record in SPPS Mainframe.

```

SX70003D      U S D A, O C F O, NATIONAL FINANCE CENTER      XX/XX/XX
                SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      14:58:22
                QUICK SERVICE REQUEST (QSR)

                QSR MENU SCREEN

                1. NEW REQUEST (ADD, CHANGE, OR DELETE)
                2. HISTORY INQUIRY
                3. COMMENT UPDATE (NFC USE ONLY)

                SELECT OPTION (1-3) =====> 1

                ** SELECT MENU SCREEN OPTION "1" THRU "3" AND PRESS ENTER KEY **

                CLEAR=EXIT    PF1=MAIN MENU
  
```

Figure 11: QSR MENU SCREEN

Step	Action
1.	From the QSR MENU SCREEN , enter "2" in the SELECT OPTION (1-3) field.
2.	Press Enter . The HISTORY INQUIRY SCREEN 1 OF 3 displays.
3.	Enter the employee's social security number in the SSNO field.
4.	Enter the pay period that the QSR covers in the PAY PERIOD NO field.
5.	Enter the year that the QSR covers in the PAY PERIOD YR field.

Step	Action
6.	<p>Press Enter. The <i>HISTORY INQUIRY SCREEN 2 OF 3</i> displays.</p> <p> NOTE: The <i>HISTORY INQUIRY SCREEN 2 OF 3</i> is a view only screen that displays the payment information for the QSR.</p>
7.	<p>Press Enter. The <i>HISTORY INQUIRY SCREEN 3 OF 3</i> displays.</p> <p> NOTE: The <i>HISTORY INQUIRY SCREEN 3 OF 3</i> is a view only screen that displays the forwarding location of the employee's salary payment.</p>

4.4. Chapter Review

Knowledge Check

1. **Fill in the blanks:** Advance Pay QSRs are for processing QSRs for the _____ pay period and the _____ prior pay periods. Only _____ QSR record can be processed for a single pay period. What are two reasons for processing a QSR?
2. **True or False:** The following are reasons for processing an Advance Pay QSR:
 - If an employee is separated
 - When an intervening pay period has been processed (Pay period prior to last pay period in which the employee was paid through the Payroll Computation System), this can be verified on PQ032⁶
 - If an employee is transferring from one Agency to another Agency on the same database and the employee is still active with the previous Agency

Chapter Summary

Having completed this chapter, you are now able to:

- Describe how the two formats of QSRs are organized
- Explain the purpose of each QSR format
- Describe the how to process an Advance Pay QSR in SPPS Mainframe
- Explain how to process a Delayed (14-Liner) QSR

Comment [NFC40]:



Show **Slide 38:**

- **Knowledge Check**
- **Chapter Review**



Ask students to record their answers to the Knowledge Checks individually.

Comment [NFC41]:



Ask a volunteer to answer the first Knowledge Check.

Explain that the correct answers are: **current**, **three**, and **one**.

Answer: Slide 39

Comment [NFC42]:



Ask a volunteer to answer the second Knowledge Check.

Explain that the correct answer is **True**.

Comment [NFC43]:



Slide 40

Review previous chapter and transition to Processing Indebtedness for Separated Employees chapter.

⁶ Refer to Appendix C: PINQ Program PQ032 for a sample of PQ032.

5.0. Processing Indebtedness for Separated Employees

5.1. Chapter Overview

This chapter introduces the process for recording indebtedness for separated employees. It describes the information necessary to record indebtedness, collect the indebted amount, and process a final payment due to the employee.

Chapter Objectives

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

- Summarize the reasons for processing indebtedness for a separate employee
- Explain each function on the ***INDEBTEDNESS MENU***
- Explain how to process indebtedness for a separated employee

Comment [NFC44]:



Show Slide 41-42:
**Processing Indebtedness for
Separated Employees
Chapter Overview.**

5.2. Introduction to Indebtedness for Separated Employees

Comment [n45]: Slide 43

Lesson Overview

This lesson describes the process for issuing a final payment for an employee that is separating. Additionally, this lesson explains the type of receipt accounts that can be included and how final debts can be collected from a separating employee.

Lesson Objectives

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

- Describe the role of the Indebtedness for Separated Employees function in SPPS Mainframe
- Explain the reasons for processing Indebtedness for Separated Employees
- Identify the types of receipt accounts that may be entered in SPPS Mainframe for indebted employees separating from their Agency

Indebtedness (for separations only) is Option 2 on the SPPS **MAIN MENU SCREEN**. This option in SPPS Mainframe is used to send a final payment for a separated employee, after factoring in outstanding debts an employee owes and tax credits. This process can only be completed one time for a separating employee. If the employee's debts outweigh a final payment, a bill is generated through Administrative Billings and Collections System (ABCO).

The indebtedness option in SPPS Mainframe is used to:

- Establish an indebtedness record for a separated employee;
- Record debts not established in ABCO for a separated employee;
- View existing debts for the separated employee; and
- Process the final payment due the employee.



IMPORTANT: If all of an employee's debts have been recorded in ABCO or PAYE, a record does not need to be established in SPPS Mainframe. Collection and payment is made through PPS.

The following receipt account types, which indicate the computation and tax treatment of a collection, may be entered in SPPS Mainframe:

Comment [n46]: Slide 44

- Educational Loans
- Travel Advance Repayment (Originating in other than NFC's Travel (TRVL) System)
- Lost, Destroyed or Stolen Property
- Subsistence (Travel Payments)
- Personal Telephone Calls
- Parking Fees
- Recovery of Jury Duty Fees
- Travel Overpayment
- Uniforms
- Other Types (Other Departments) e.g., theft and embezzlement
- Other Types (USDA)

If an indebted employee separates from an Agency before repaying a debt that is already established in ABCO, the balance of the debt is automatically collected from any subsequent payments due the employee. These must be processed through the Payroll/Personnel Automated System and should not be sent to NFC for manual processing.

NFC automatically collects these debts from the:

- Final salary;
- Cash award;
- Lump sum leave payments; or
- Any other payments processed by NFC.

The Office of Personnel Management (OPM) may collect debts from retirement contributions if necessary. Figure 12: Indebtedness Collection Process outlines the indebtedness collection process.

Comment [n47]: Slide 45

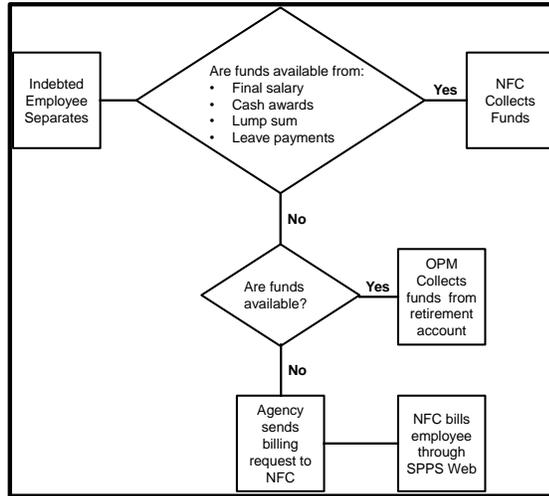


Figure 12: Indebtedness Collection Process

In order for SPPS Mainframe Indebtedness to be utilized, there must be positive monies to be captured in SPPS Mainframe, such as a final T&A, lump sum, or cash award. If there is no money available, the Agency must send a Other – NFC Process adjustment to request that NFC bill the employee.



CAUTION: When establishing a debt in SPPS Mainframe, to ensure the collection is not submitted multiple times, do not release the payment in SPPS Mainframe until the Tuesday following the biweekly process. This allows the debts processed through PAYE and recorded in ABCO to display in SPPS Mainframe.

Once a case has been certified to be released from SPPS Mainframe Indebtedness, the payment is scheduled for disbursement on the next manual pay schedule that NFC runs Monday – Friday, excluding holidays, at 11:00 AM CST.

5.3. Processing Indebtedness for Separated Employees

Comment [n48]: Slide 46

Lesson Overview

This lesson introduces the procedures and information required for processing a final payment for a separating employee, after all employee debts have been taken into consideration.

Lesson Objectives

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

- Describe how to establish an indebted case for a separated employee
- Describe how to add administrative debts not already recorded in ABCO and SPPS Mainframe
- Describe how to query information on debts recorded in ABCO and SPPS Mainframe
- Describe how to collect payment for advanced leave not paid back at the date of separation
- Describe how to review a preliminary calculation of the amount owed to a separated employee
- Describe how to add pertinent remarks to a indebted case
- Describe how to process the final payment for a separated employee

Figure 13: SPPS Mainframe Indebtedness Process outlines the five steps for processing indebtedness for a separated employee. These steps are further described in the bullets below.

Comment [n49]: Slide 47



Figure 13: SPPS Mainframe Indebtedness Process

1. Establish the employee record in SPPS Mainframe Indebtedness before PAYE runs for their final T&A.

	<p>NOTE: You should transmit T&A, lump sum, and cash award payments as normal.</p> <p>The message <i>MONIES WITHHELD DUE TO EMPLOYEE INDEBTEDNESS OF EMPLOYEE CONTACT PERSONNEL OFFICE</i> displays on PQ032. The net amount is maintained in SPPS Mainframe.</p> <p>Refer to the Contact Center page at: https://www.nfc.usda.gov/Contact_Us/Help_Desks/CHD/CHD_home.html, for whom to contact for the indebted employee.</p>
---	--

2. Add all debts, including advanced leave, that has not either been recorded in ABCO or already exists in SPPS Mainframe.
3. Submit an Other – NFC Process adjustment through SPPS Web, for NFC to calculate tax credits, if the indebtedness is for a negative leave balance.

	<p>NOTE: Tax credits are given for Federal, state, social security, Medicare, and retirement taxes.</p>
--	--

4. Add any additional remarks to the record. This is an optional step.
5. Certify the payment after all monies have been captured in SPPS Mainframe, all debts have been recorded, and if applicable, tax credits have been calculated.

	<p>TIP: If the Agency determines no indebtedness exists after PAYE has run, the funds can be released to the employee with no collection.</p>
---	--

Comment [NFC50]:

 Explain that participants can check CULPRPT Report P0162 to see if an employee is due a tax credit.

The below figure outlines what processes take place in SPPS Mainframe, SPPS Web, and ABCO.

Comment [n51]: Slide 48

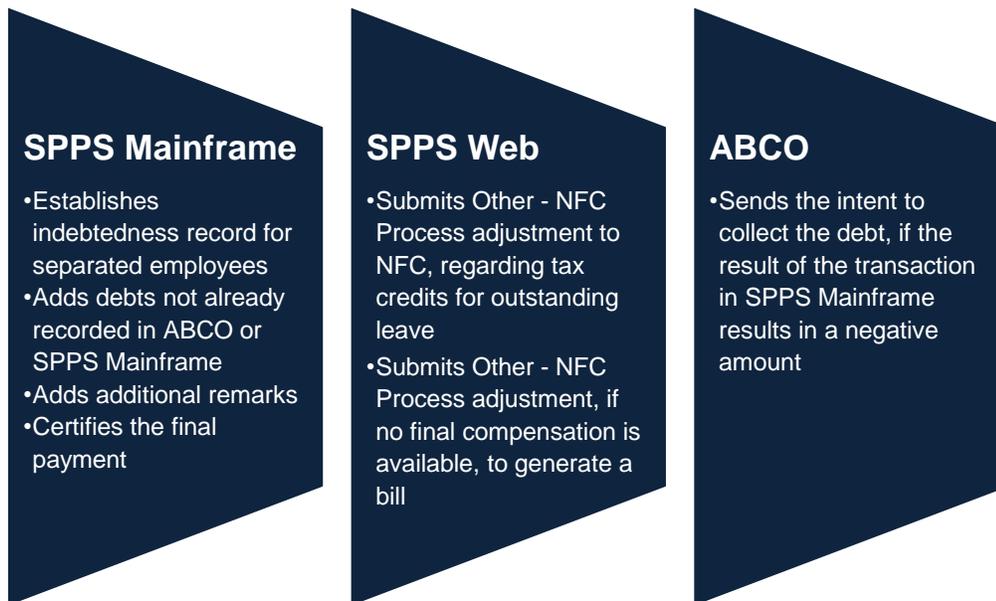


Figure 14: Outline of System Functionality

If an indebted, separated employee is normally paid manually, the Agency must establish an indebtedness record in SPPS Mainframe by completing the **ESTABLISH/DELETE INDEBTEDNESS** screen for the employee's final payment to be processed in SPPS Mainframe. The Agency must forward all payment information to NFC's Payroll/Personnel Operations Section on Form AD-343 (Payroll Action Request).



IMPORTANT: If payment information for a manually paid employee is not forwarded to NFC, the indebtedness record remains in SPPS Mainframe and the payment is not released.

Establishing a Indebtedness Record in SPPS Mainframe

To begin processing an indebtedness case, you must first establish the record in SPPS Mainframe. As mentioned earlier, this must be done before PAYE runs for the employee's final T&A. In the procedure below, you learn how to establish an indebtedness record in SPPS Mainframe for separated employees.

Step	Action
1.	From the SPPS MAIN MENU SCREEN , enter "2" in the SELECT (1-3) field.
2.	Press Enter . The FILE CONTROL INFORMATION screen displays.

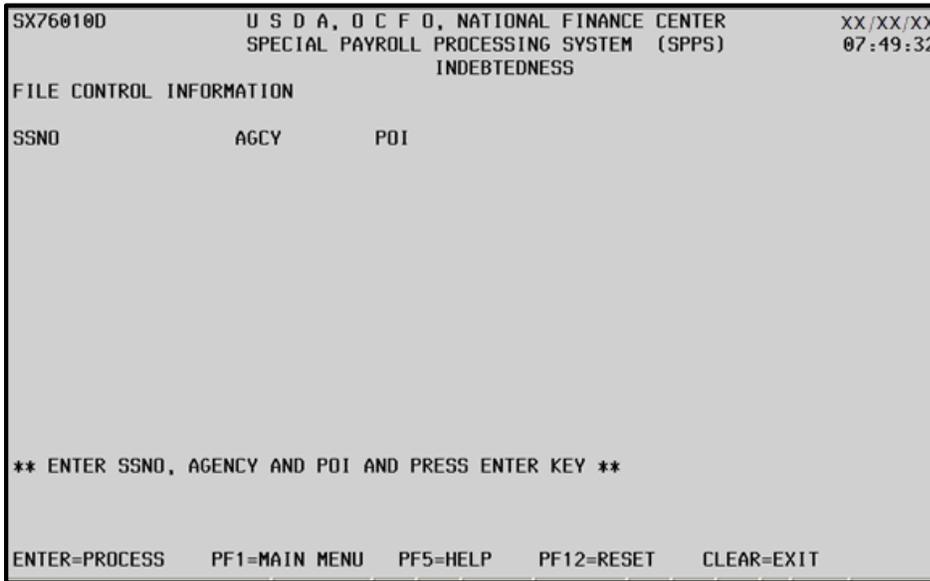


Figure 15: FILE CONTROL INFORMATION Screen

Step	Action
3.	Enter the employee's social security number in the SSNO field.
4.	Enter the employee's Agency Code in the AGCY field.
5.	Enter the employee's personnel office identifier in the POI field.
6.	Press Enter . The INDEBTEDNESS MENU displays.

Comment [NFC52]: Slide 49



Explain that if an employee is paid manually, participants should submit an SPPS Web Other – NFC Process adjustment for the separating employee.

Comment [NFC53]:



FILE CONTROL INFORMATION screen.

Comment [NFC54]:



Show Slide 50: **INDEBTEDNESS MENU.**

```

|| SX76020M      U S D A, O C F O, NATIONAL FINANCE CENTER      XX/XX/XX ||
||              SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      08:25:02 ||
||              INDEBTEDNESS                                     ||
||              INDEBTEDNESS MENU                               ||
||              1. ESTABLISH/DELETE INDEBTEDNESS               ||
||              2. ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS    ||
||              3. PENDING DISBURSEMENT                        ||
||              4. PAYMENT CERTIFICATION                       ||
||              5. CHECK MAILING INFORMATION                   ||
||              6. REMARKS                                     ||
||              7. PAYMENT INQUIRY                             ||
||              8. MANUAL PAYMENT(S) (NFC ONLY)                ||
||              SELECT OPTION (1-8) =====> 1              ||
||              ENTER=NEXT SCREEN  PF1= MAIN MENU  CLEAR=EXIT  ||
|| =====||

```

Figure 16: INDEBTEDNESS MENU

Step	Action
7.	Enter "1" in the SELECT OPTION (1-8) field.
8.	Press Enter. The ESTABLISH/DELETE INDEBTEDNESS screen displays.

Comment [NFC55]: Slide 51



**ESTABLISH/DELETE
INDEBTEDNESS.**

```

|| SX76030M          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX ||
||                  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          13:00:25 ||
||                  INDEBTEDNESS                                       ||
||                  ESTABLISH/DELETE INDEBTEDNESS                       ||
|| SSNO              AGENCY                                           ||
|| NAME: LAST        FIRST              MIDDLE                         ||
|| SEPARATION DATE (MM DD YY) XX XX XX                               ||
|| FUNCTION CODE  A      (A=ADD  D=DELETE)                             ||
|| DATE RECORD ESTABLISHED                                           ||
|| DOES EMPLOYEE HAVE ANY OUTSTANDING ADVANCED LEAVE?  Y           ||
||
|| ENTER=PROCESS  PF1=MAIN MENU  PF2=INDEBTEDNESS MENU  PF5=HELP  CLEAR=EXIT ||
  
```

Figure 17: ESTABLISH/DELETE INDEBTEDNESS Screen

Step	Action
	<p>TIP: The SSNO, AGENCY, LAST, FIRST, MIDDLE, and DATE RECORD ESTABLISHED fields are auto-populated on the ESTABLISH/DELETE INDEBTEDNESS screen.</p>
9.	<p>Enter the employee's date of separation in the SEPARATION DATE field.</p> <p> NOTE: A record can be established before the employee is actually separated. Once the personnel action separating the employee applies to the Payroll/Personnel System, the SEPARATION DATE field reflects the date entered on the personnel action. The date from the personnel action overrides any data entered in this field.</p>
10.	<p>Enter "A" (Add) in the FUNCTION CODE field to add an indebtedness record.</p> <p> TIP: Enter "A" if you are adding a new indebted record, or "D" to delete an erroneous record. A record cannot be deleted once SPPS Mainframe has recovered the employee's debt.</p>
11.	<p>Enter "Y" (Yes) or "N" (No) in the DOES EMPLOYEE HAVE ANY OUTSTANDING ADVANCED LEAVE field.</p>

Step	Action
12.	Press Enter . You have established the employee's indebtedness record.

Once you have established the record in SPPS Mainframe Indebtedness, transmit the employee's T&A, lump sum, or cash award payments as you would normally.

Adding Additional Employee Debts

Once you have established an indebtedness record in SPPS Mainframe, and PAYE has run, you must make any adjustments to the employee's indebtedness. Use Option 2 on the **INDEBTEDNESS MENU** to display the **ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS** menu. From here you can add, change, delete, or query information regarding administrative debts recorded in SPPS Mainframe and advanced leave debts.

In the procedure below, you learn how to add administrative debts, to an established indebtedness record, that have not been recorded in ABCO to an employee's indebtedness record.

Step	Action
1.	From the INDEBTEDNESS MENU , enter "2" in the SELECT OPTION (1-8) field.
2.	Press Enter . The ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS menu displays.

Comment [NFC56]:



Show Slide 52:
**ADJUSTMENT DUE TO
EMPLOYEE INDEBTEDNESS.**

```

SX76040M      U S D A, D C F O, NATIONAL FINANCE CENTER      XX/XX/XX
                SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      08:37:30
                INDEBTEDNESS

                ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS

                1. EMPLOYEE INDEBTEDNESS UPDATE
                2. EMPLOYEE INDEBTEDNESS INQUIRY
                3. ADVANCED LEAVE

                SELECT OPTION (1-3) =====> 1

                **SELECT MENU SCREEN OPTION "1", "2", "3" AND PRESS ENTER KEY **
                ENTER=NEXT SCREEN  PF1=MAIN MENU  PF2=INDEBTEDNESS MENU  CLEAR=EXIT
    
```

Figure 18: ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS Menu

Step	Action
3.	Enter "1" in the SELECT OPTION (1-3) field.
4.	Press Enter. The EMPLOYEE INDEBTEDNESS UPDATE screen displays.

Comment [NFC57]:



Show Slide 53:
**EMPLOYEE INDEBTEDNESS
UPDATE** screen.

```

SX76050M          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          08:41:24
                  INDEBTEDNESS/ADJUSTMENT
                  EMPLOYEE INDEBTEDNESS UPDATE

SSNO              AGENCY
NAME LAST        FIRST          MIDDLE

FUNC REC ACCT
CODE TYPE CD    AMOUNT        ACCT          ACCOUNTING DATA    BILL NUMBER
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000
-              .00          0000

ENTER=PROCESS  PF1=MAIN MENU  PF2=INDEBTEDNESS MENU  PF3=ADJUSTMENT MENU
PF5=HELP       PF8=NEXT      CLEAR=EXIT
  
```

Figure 19: EMPLOYEE INDEBTEDNESS UPDATE Screen

Step	Action
5.	Enter "A" (Add) in the FUNC CODE field.  TIP: A code must be input for each debt. Enter "A" (Add) if you are adding a new debt, "C" (Change) to change a debt, or "D" (Delete) to delete an erroneous record.
6.	Enter the receipt account code in the REC ACCT TYPE CD field.  TIP: Press F5 for a list of receipt account codes. Do not enter leave debts here; use the ADVANCED LEAVE option on the ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS for that purpose.
7.	Enter in the amount of indebtedness for the receipt account involved in the AMOUNT field.  TIP: Use a decimal to separate dollars and cents (i.e. \$1000 is 1000.00)
8.	Enter the employee's accounting station in the ACCT STAT field.

Step	Action
9.	Enter the accounting code in the ACCOUNTING DATA field.  NOTE: Validate the accounting code against the Management Accounting Structure Codes system (MASC). The proper accounting format can be found on PQ046. Combine the following fields in the listed order to verify the accounting code: ACCTG-DIST-FISC-YR-CD , ACCTG-DIST-APPN-CD , and ACCTG-DIST-SUB-LVE-CD . ⁷
10.	Press Enter . The debts are added to the indebtedness record.
11.	Press F3 to return to the ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS menu.

In addition to using SPPS Mainframe Indebtedness to collect administrative debts, you also use it to collect debts for advanced leave. You use Option 3 on the **ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS** menu to collect payment for any advanced leave not paid back at the date of separation.

You should enter all advanced leave debts at one time to facilitate the calculation of any tax credits, which are processed by NFC's Payroll Processing Branch. After you add the advanced leave in SPPS Mainframe, you must use SPPS Web to send a Other – NFC Process adjustment to NFC for them to calculate the tax credit. A tax credit is a sum of money deducted from the total amount owed by the employee.

	TIP: Separating employees with advanced leave and who are due tax credits are listed on Payroll/Personnel Report Generator system (CULPRPT) Report P0162, Indebtedness Advanced Leave – Tax Credit Suspense Report. A message displays on this report indicating that the employee's final payment is ready to be released.
---	--

If the advanced leave dollar amount is greater than the payment due the employee, the record is automatically sent to ABCO to establish a bill. If this is the case, no further action is required in SPPS Mainframe.

⁷ Forest Service includes the **ACCT-STATION-CD** field at the end of its accounting code.

	<p>CAUTION: There must be a completed Leave Audit on file for the data recorded on the ADVANCED LEAVE screen. It is your responsibility to review the leave audit for accuracy and pay attention to any earned leave.</p>
---	---

In the procedure below, you learn how collect payment for advanced leave not paid back at the date of separation.

Step	Action
1.	From the INDEBTEDNESS MENU , enter "2" in the SELECT OPTION (1-8) field.
2.	Press Enter . The ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS MENU displays.


Comment [NFC58]:
 Show Slide 54 **ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS** screen.

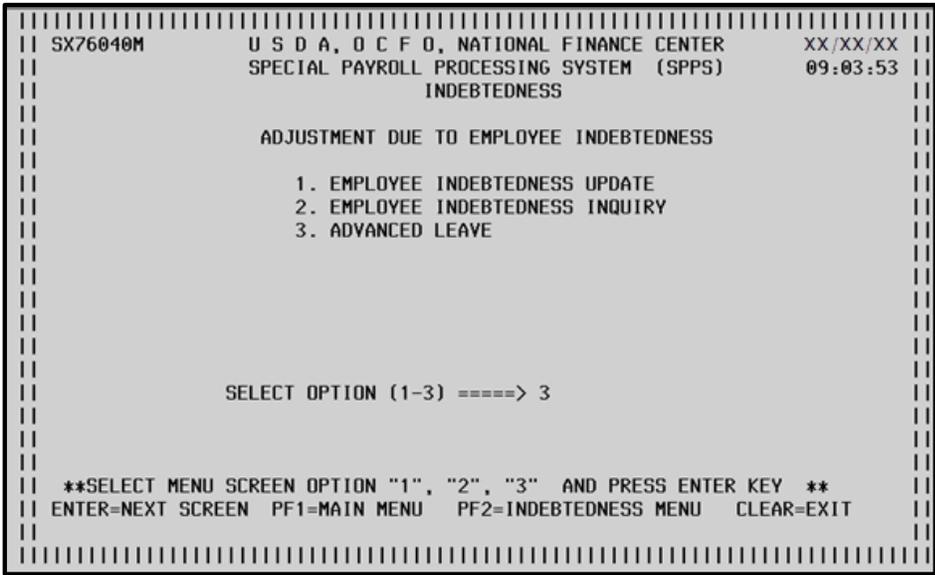


Figure 20: ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS Screen

Step	Action
3.	Enter "3" in the SELECT OPTION (1-3) field.
4.	Press Enter . The ADVANCED LEAVE screen displays.


Comment [NFC59]:
 Show Slide 55: **ADVANCED LEAVE** screen.

```

SX76070M          U S D A , O C F O , NATIONAL FINANCE CENTER          XX/XX/XX
                  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          13:03:05
                  INDEBTEDNESS/ADJUSTMENT
                  ADVANCED LEAVE
SSNO              AGENCY
NAME LAST        FIRST          MIDDLE

FUNC
CODE TYPE        HOURS        RATE          AMOUNT        ACCT
A   SICK         0.00         0.00          0.00          ____
                TOTAL SICK LEAVE          0.00
   ANNUAL       0.00         0.00          0.00          ____
   ANNUAL       0.00         0.00          0.00          ____
   COMP         0.00         0.00          0.00          ____
   COMP         0.00         0.00          0.00          ____
                TOTAL ADVANCED LEAVE
HAS ALL ADVANCED LEAVE BEEN FORGIVEN? N (Y,N)

ENTER=PROCESS  PF1=MAIN MENU  PF2=INDEBTEDNESS MENU  PF3=ADJUSTMENT MENU
PF5=HELP      PF8=NEXT      CLEAR=EXIT
  
```

Figure 21: ADVANCED LEAVE Screen

Step	Action
5.	<p>Enter "A" (Add) in the FUNC CODE field next to the appropriate leave type.</p>  <p>TIP: Enter "A" if you are adding a new debt, "C" to change a debt, or "D" to delete an erroneous record. A code must be input for each leave.</p>
6.	<p>Enter the hours of advanced leave in the HOURS field next to the appropriate leave type.</p>  <p>TIP: Enter the leave using whole and quarter hours (i.e. 3.25).</p>
7.	<p>Enter the rate in the RATE field next to the appropriate type of leave.</p>  <p>TIP: Enter the rate using a decimal point to separate the dollars and cents (i.e. 20.25).</p>

Step	Action
	<p>NOTE: The AMOUNT and TOTAL SICK LEAVE fields are system generated based on the following criteria:</p> <ul style="list-style-type: none"> • Sick leave is the rate of pay at the time the sick leave was advanced • The rate for annual leave is the current rate • The rate for compensatory time is the rate of pay at the time the compensatory time was earned
8.	Enter the accounting station code in the ACCT STAT field.
9.	<p>Enter the accounting code in the ACCOUNTING field.</p>  <p>NOTE: Validate the accounting code against the MASC. The proper accounting format can be found on PQ046. Combine the following fields in the listed order to verify the accounting code: ACCTG-DIST-FISC-YR-CD, ACCTG-DIST-APPN-CD, and ACCTG-DIST-SUB-LVE-CD.⁸</p> <p>The TOTAL ADVANCED LEAVE field indicates the total amount owed.</p>
10.	Enter "Y" (Yes) or "N" (No) in the HAS ALL ADVANCED LEAVE BEEN FORGIVEN? field.
11.	Press Enter . The advanced leave debts are added to the indebtedness record.
12.	Press F8 to add additional lines of sick leave if needed.

After the final payments are processed in SPPS Mainframe and the advanced leave debt is collected, you must remove the negative leave balance in Payroll/Personnel database by updating TING Program 01, ANNUAL & SICK LEAVE.

	<p>TIP: CULPRPT Report, P0167, Indebtedness Advanced Leave Hours Collected by SPPS Mainframe for Processing Pay Period/Yr, lists the employees whose leave balances should be changed to zero hours in TING.</p>
---	---

⁸ The Forest Service includes the **ACCT-STATION-CD** field at the end of its accounting code.

You can also research and verify debts recorded in ABCO and SPPS Mainframe using Option 2 on the **ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS** menu.



NOTE: Debts for advanced leave display on the **ADVANCED LEAVE** screen in SPPS Mainframe.

In the procedure below, you learn how view debts recorded in ABCO and SPPS Mainframe.

Step	Action
1.	From the INDEBTEDNESS MENU , enter "2" in the SELECT OPTION (1-8) field.
2.	Press Enter . The ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS MENU displays.

Comment [NFC60]:



Show Slide 56:
**ADJUSTMENT DUE TO
EMPLOYEE INDEBTEDNESS**
screen.

```

SX76040M      U S D A , O C F O , NATIONAL FINANCE CENTER      XX/XX/XX
                SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      08:48:41
                INDEBTEDNESS

                ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS

                1. EMPLOYEE INDEBTEDNESS UPDATE
                2. EMPLOYEE INDEBTEDNESS INQUIRY
                3. ADVANCED LEAVE

                SELECT OPTION (1-3) =====> 2

                **SELECT MENU SCREEN OPTION "1", "2", "3" AND PRESS ENTER KEY **
                ENTER=NEXT SCREEN  PF1=MAIN MENU  PF2=INDEBTEDNESS MENU  CLEAR=EXIT
  
```

Figure 22: **ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS** Screen

Step	Action
3.	Enter "2" in the SELECT OPTION (1-3) field.
4.	Press Enter . The EMPLOYEE INDEBTEDNESS INQUIRY screen displays.

```

SX76060M          U S D A, U C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                   SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      07:03:43
                   INDEBTEDNESS/ADJUSTMENT
                   EMPLOYEE INDEBTEDNESS INQUIRY

SSNO              AGENCY
NAME LAST        FIRST          MIDDLE

TAX CREDIT AMOUNT COLLECTED:    126.85

BILL              INDEBTED      REC ACCT   TRANS      SYSTEM
NUMBER           AMOUNT        DATE       TYPE CODE  TYPE       ACCESSED

PF1=MAIN MENU  PF2=INDEBTEDNESS MENU  PF3=ADJUSTMENT MENU  PF7=PREV RECORDS
PF8=NEXT RECORDS  CLEAR=EXIT
  
```

Figure 23: EMPLOYEE INDEBTEDNESS INQUIRY Screen

Comment [NFC61]:



Show Slide: 57
**EMPLOYEE INDEBTEDNESS
INQUIRY** screen.



NOTE: Existing debts that are established in ABCO before separation display on this screen until the final payment is released.

If a debt has been recorded in ABCO and the employee has paid the debt, the release of the final payment in SPPS Mainframe should not occur until the payment is recorded in ABCO and the debt does not display on the **EMPLOYEE INDEBTEDNESS INQUIRY** screen.

Review Pending Disbursement

Pending disbursements can be viewed in SPPS Mainframe. The records are view only and display a preliminary calculation of the amount the employee is scheduled to receive after all payroll amounts and debts have been recorded. Option 3 on the **INDEBTEDNESS MENU** is used to view these pending disbursements.

In the procedure below, you learn how to review a calculation of the preliminary payment an employee is scheduled to receive.

Comment [n62]: Slide 58

Step	Action
1.	From the INDEBTEDNESS MENU , enter "3" in the SELECT OPTION (1-8) field.
2.	Press Enter. The PENDING DISBURSEMENT screen displays.

Comment [NFC63]:



**PENDING
DISBURSEMENT** screen.

```

SX76080M          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                   SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      13:03:57
                   INDEBTEDNESS/ADJUSTMENT
                   PENDING DISBURSEMENT

SSNO              AGENCY
NAME LAST         FIRST           MIDDLE

PAYROLL MONIES TO BE DISBURSED:
PAY PERIOD       TYPE
NO  YR          PAYMENT  AMOUNT

TOTAL MONIES                                0.00
EMPLOYEE INDEBTEDNESS                       ( 0.00 )
TOTAL :                                       0.00
TAX CREDIT AMOUNT                          0.00
TOTAL MONIES TO BE DISBURSED                0.00

PF1 = MAIN MENU      PF2 = INDEBTEDNESS MENU
PF7 = PREV           PF8 = NEXT          CLEAR =EXIT
  
```

Figure 24: PENDING DISBURSEMENT Screen

The following fields display on the **PENDING DISBURSEMENT** screen.

Field	Description
PAY PERIOD NO/YR	The pay period and year of the pending disbursement.
TYPE PAYMENT	The following are the types of payments made to employees: <ul style="list-style-type: none"> • 01 - Regular T&A • 02 - Adjustment • 03 - NFC-29 (Live Payment) • 04 - Lump Sum Payment • 05 - Compensatory Payment • 06 - Cash Award • 07 - NFC-29 (Manual Payment) • 11 - Severance Payment
AMOUNT	The amount due to the employee.
TOTAL MONIES	The total amount of money to be disbursed before adjusting the indebtedness.
EMPLOYEE INDEBTEDNESS	The total amount of indebtedness recorded in SPPS Mainframe and ABCO.
TOTAL	The total amount of money after adjusting the employee's indebtedness.
TAX CREDIT AMOUNT	The employee's tax credit amount for advanced leave that has not been forgiven.
TOTAL MONIES TO BE DISBURSED	The total amount of money to be disbursed to an employee after factoring in remaining debts.

Comment [NFC64]:



Explain that the amount for this field comes from PQ032.

Verifying Payment Address

To verify or update the payment address, use Option 5, Check Mailing Information, on the **INDEBTEDNESS MENU**. This option displays the check mailing address recorded in the Payroll/Personnel database and allows the user to change this address for the final payment processed through SPPS Mainframe. Any changes made to the information on this screen result in an address change for the final payment processed in SPPS Mainframe; these changes do not impact the address in the Payroll/Personnel System.

In the procedure below, you learn how enter an employee's check mailing information.

Step	Action
1.	From the INDEBTEDNESS MENU , enter "5" in the SELECT OPTION (1-8) field.
2.	Press Enter . The CHECK MAILING INFORMATION screen displays.

```

SX76100M          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                   SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          13:04:33
                   INDEBTEDNESS
                   CHECK MAILING INFORMATION
                   AGENCY
SSNO              FIRST              MIDDLE
NAME LAST
CHECK MAILING ADDRESS:
STREET ADDRESS 1:
ADDRESS 2:
CITY              STATE              ZIP CODE
OR
DESIGNATED AGENT CODE:
OR
BANK DEPOSIT (DD/EFT):
TYPE OF ACCOUNT
ACCOUNT NUMBER
ROUTING NUMBER
FUNCTION CODE      (C=CHANGE)
ENTER=PROCESS    PF1=MAIN MENU    PF2=INDEBTEDNESS MENU
PF5=HELP          CLEAR=EXIT
  
```

Figure 25: CHECK MAILING INFORMATION Screen

Comment [n65]: Slide 56

Comment [NFC66]:



Show Slide 59: **CHECK MAILING INFORMATION** screen.

Step	Action
3.	Make any necessary changes to the check mailing address.  TIP: Enter "C" in the FUNCTION CODE field, if any changes are made to the CHECK MAILING INFORMATION screen.
4.	Press Enter . The data is processed.
	TIP: You can either send the payment to a mailing address, a designated agent, or a bank account number.

Additional Remarks

Remarks is Option 6 on the **INDEBTEDNESS MENU**. This option is used to record pertinent claim information, such as why an employee is being billed or why leave has been forgiven.

In the procedure below, you learn how to enter any relevant remarks for a claim.

Step	Action
1.	From the INDEBTEDNESS MENU , enter "6" in the SELECT OPTION (1-8) field.
2.	Press Enter . The REMARKS screen displays.

Comment [NFC67]:



Show Slide 60:
REMARKS screen.

Certification of the Final Payment

The last step in processing an indebtedness is to certify the final payment. Payment Certification is Option 4 on the **INDEBTEDNESS MENU**. This option is used to confirm receipt of all required documentation necessary to file indebtedness, process the final payment, and authorize such collections and disbursements.

Before selecting this option, be sure to refer to the **PENDING DISBURSEMENT** screen and the **EMPLOYEE INDEBTEDNESS INQUIRY** screen to ensure all payments and debts are entered correctly and also to verify that duplicate payments have not been recorded in ABCO, SPPS Web, or another SPPS Mainframe record.



IMPORTANT: Only one final payment is processed in SPPS Mainframe for an indebted employee. Once a payment is coded for release, the release can be rescinded only if the payment has not been processed in SPPS Mainframe.

To rescind a payment enter "N" (No) in the **RELEASE PAYMENT** field on the **PAYMENT CERTIFICATION** screen.

In the procedure below, you learn how certify a payment for indebted employees in SPPS Mainframe.

Step	Action
1.	From the INDEBTEDNESS MENU , enter "4" in the SELECT OPTION (1-8) field.
2.	Press Enter . The PAYMENT CERTIFICATION screen displays.

Comment [n68]: Slide 61

Comment [NFC69]:



PAYMENT INQUIRY screen.

```

SX76090M          U S D A, U C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                   SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      13:05:20
                   INDEBTEDNESS/ADJUSTMENT
                   PAYMENT CERTIFICATION

SSNO              AGENCY
NAME LAST         FIRST          MIDDLE

HAVE ALL APPLICABLE DEBTS BEEN RECORDED IN SPPS?  Y  (Y,N)
HAVE ALL PAYMENT DOCUMENTS BEEN PROCESSED ?      Y  (Y,N)
RELEASE PAYMENT      N  (Y,N,C)

FUNCTION CODE A      (A=ADD C=CHANGE)

ENTER=PROCESS  PF1=MAIN MENU  PF2=INDEBTEDNESS MENU  PF5=HELP  CLEAR=EXIT
  
```

Figure 27: PAYMENT CERTIFICATION Screen

Step	Action
3.	<p>Enter “Y” (Yes) or “N” (No) in the HAVE ALL APPLICABLE DEBTS BEEN RECORDED IN SPPS?</p> <p> CAUTION: The payment cannot be released until “Y” (Yes) is entered.</p>
4.	<p>Enter “Y” (Yes) or “N” (No) in the HAVE ALL PAYMENT DOCUMENTS BEEN PROCESSED?</p> <p> CAUTION: The payment cannot be released until “Y” (Yes) is entered.</p>
5.	<p>Enter “Y” (Yes) or “N” (No) in the RELEASE PAYMENT field.</p> <p> TIP: Enter “N” (No) in the RELEASE PAYMENT field to have tax credits calculated by NFC if the employee has advanced leave that has not been forgiven.</p> <p>When the tax credit amount is calculated by NFC, a message displays on CULPRPT Report P0162 (Indebtedness Advanced Leave – Tax Credit Suspense Report) indicating that the payment is ready to be released or you can check to see if tax credits have been calculated by checking the PENDING DISBURSEMENTS screen.</p>

Step	Action
6.	<p>Enter the function code in the FUNCTION CODE field.</p> <p> TIP: If tax credits are involved in the payment, enter “A” (Add) in the FUNCTION CODE field to have NFC calculate the tax credits. You must submit an Other – NFC Process adjustment in SPPS Web for NFC to calculate the tax credits.</p> <p> NOTE: You must wait until the tax credits are applied in SPPS Mainframe before continuing. Once the tax credits display on the ADVANCED LEAVE screen, release the payment by entering “C” (Change) in this field.</p> <p>SPPS Mainframe jobs run at approximately 11:00 AM CST. The FUNCTION CODE field cannot be changed to either “A” or “C” after the SPPS Mainframe daily batch process has completed.</p>
	<p>TIP: If you have released the payment to be disbursed and payment information does not appear on the PAYMENT INQUIRY screen, run CULPRPT Report P0163, Audit Errors for Processing Date XX/XX/XX. Errors may exist that prevent the payment from being disbursed.</p>
7.	<p>Press Enter. The message <i>DISBURSEMENT RECORD STORED</i> displays in the bottom left of the screen.</p>

Payment Research

Once the payment has been disbursed, the actual payment made can be viewed through the **PAYMENT INQUIRY** screen which is Option 7 on the **INDEBTEDNESS MENU**.

In the procedure below, you learn how review details of a payment made to a separated employee.

Step	Action
1.	From the INDEBTEDNESS MENU , enter "7" in the SELECT OPTION (1-8) field.
2.	Press Enter . The PAYMENT INQUIRY screen displays.

```

SX76120M          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          10:59:26
                  INDEBTEDNESS
                  PAYMENT INQUIRY
SSNO              DEPT    AGCY    POI    SEPARATION DATE
NAME: LAST              FIRST WARREN          MIDDLE
T&A CONTACT POINT: STATE  CITY    UNIT    TIMEKEEPER
DISBURSEMENT TOTALS:    CURRENT          TOTAL TO DATE
CHECK MAILING ADDRESS:
STREET ADDRESS 1:
ADDRESS 2:
CITY              STATE    ZIP CODE 00000 0000
OR
DESIGNATED AGENCY CODE
OR
BANK DEPOSIT (DD/EFT):
TYPE OF ACCOUNT
ACCOUNT NUMBER          ROUTING NUMBER
PAYMENT/DEBTS/BILLING:
DISBURSEMENT DATE      SCHEDULE NUMBER
DISBURSEMENT AMOUNT
DEBT AMOUNT COLLECTED    AMOUNT BILLED TO ABCO    .00

PF1=MAIN MENU PF2=INDEBTEDNESS MENU CLEAR=EXIT
  
```

Figure 28: **PAYMENT INQUIRY** Screen

Step	Action
3.	Verify the information on the PAYMENT INQUIRY screen.  NOTE: The PAYMENT INQUIRY screen is a view only screen.

Comment [NFC70]: Slide 62



Explain that you can conduct research on the payment after 1:00 PM CST on the day the payment is made.

5.4. Chapter Review

Knowledge Check

1. **Fill in the missing blanks:**

The indebtedness option in SPPS Mainframe is used to:

- Establish an indebtedness record for a _____ employee
- Record debts not established in _____ for a separated employee
- View _____ debts for the separated employee; and
- Process the final _____ due the employee

2. **Match each step with the correct order that it occurs with respect to the indebtedness process:**

- | | |
|---|-----------------------------------|
| 1 | A. Add Remarks |
| 2 | B. Certify Payment |
| 3 | C. Add Debts |
| 4 | D. Establish Record |
| 5 | E. Submit Request For Tax Credits |

Chapter Summary

Having completed this chapter, you are now able to:

- Summarize the reasons for processing indebtedness for a separate employee
- Explain each function on the **INDEBTEDNESS MENU**
- Explain how to process indebtedness for a separated employee

Comment [NFC71]:



Show Slide 63:

- Knowledge Check
- Chapter Review



Ask students to record their answers to the Knowledge Checks individually.

Comment [NFC72]: Answers: Slide 64



Ask a volunteer to answer the first Knowledge Check.

Explain that the correct answers are: **separated**, **ABCO**, **recorded**, and, **payment**.

Comment [NFC73]:



Ask a volunteer to answer the second Knowledge Check.

Explain that the correct answers are:

- 1 – D
- 2 – C
- 3 – E
- 4 – A
- 5 – B

Comment [NFC74]: Slide 65



Review previous chapter and transition to Processing Death Cases chapter.

Comment [NFC75]:



Provide participants with a 10-15 minute break, based on the pace of the training.

6.0. Processing Death Cases

6.1. Chapter Overview

This chapter provides an introduction to death cases. It includes all relevant information to process a death case in SPPS Mainframe.

Chapter 6 Objectives

- Explain the purpose of the death case function within SPPS Mainframe
- Describe the different documents needed to process a death case
- Describe the process for performing each function on the **DEATH CASE MENU**

Comment [NFC76]:



Show Slide 66-67:
**Processing Death Cases
Chapter Overview.**

6.2. Introduction to Death Cases

Lesson Overview

This lesson describes when it is appropriate to process a death case. Additionally, this lesson explains the purpose of each function on the **DEATH CASE MENU**.

Lesson Objectives

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

- List the reasons for processing Adjustments Due to Indebtedness for Deceased Employees
- Describe the beneficiary information for death cases
- Identify the required documents to process a death case

A death case is a record that is established for an individual employee that has passed away while under Federal employment. You establish a death case record in SPPS Mainframe to disburse final compensation payments to the beneficiary of a deceased employee. Processing a death case is Option 3 on the **SPPS MAIN MENU SCREEN**.

When a death case is established in SPPS Mainframe, all applicable employee payment documents (Final T&A, Lump Sum, Cash Award, etc.) are processed through the Payroll/Personnel database as usual. The documents can be viewed in PQ032, and the net amounts are captured in SPPS Mainframe.



IMPORTANT: It is the agency's responsibility to disburse final payment through SPPS Mainframe to the beneficiary.

When calculating the final payment, any advanced leave that is owed to the deceased employee is forgiven. Use TINQ to remove the advanced leave balance.

Federal and state taxes are not to be deducted from the deceased employee's final T&A or lump sum, and a Form W-2 is issued for the deceased.

Form 1099-MISC (Miscellaneous Income) is issued to each beneficiary for the taxable gross not the net amount received.

Comment [n77]: Slide 68

Comment [NFC78]:



Explain that if a beneficiary passes away, the money to be disbursed is split amongst the remaining beneficiaries.

If a beneficiary cannot be found, the money remains with the Federal Government.



Once a case has been certified to be released from an SPPS Mainframe death case, the payment is scheduled for disbursement on the next manual pay schedule that NFC runs Monday – Friday, excluding holidays, at 11:00 AM CST.

6.3. Processing Death Cases

Comment [n79]: Slide 69

Lesson Overview

This lesson focuses on the procedures and information required for processing a death case.

Lesson Objectives

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

- Identify the documents needed to process a death case
- Describe how to establish a death case record
- Described how to record beneficiaries for a death case
- Describe how to update an employee's indebtedness for a death case
- Describe how to research debts recorded in ABCO and SPPS Mainframe
- Describe how to review a preliminary calculation of the amount owed to the beneficiaries
- Describe how to add pertinent remarks to a death case
- Describe how to process the final payment for a separated employee

There are five steps for processing a death case in SPPS Mainframe. The following graphic outlines these steps.



Figure 29: SPPS Mainframe Death Case Process

The above steps are outlined further below.

1. Establish the death case record in SPPS Mainframe before PAYE runs for their final T&A
2. Record any debts not already recorded in ABCO or SPPS Mainframe
3. Record all beneficiary information
4. Add any additional remarks to the record. This is an optional step.
5. Certify the payment, after all monies have been captured in SPPS Mainframe, all debts have been recorded, and if applicable, tax credits have been calculated.

Obtain beneficiary information from SF-1152, Designation of Beneficiary of Deceased Civilian Employee, on file in the deceased employee's Official Personnel Folder (OPF). If there is no SF-1152 on file, follow the order of precedence information gathered from SF-1153, Claim for Unpaid Compensation of Deceased Civilian Employee, or SF-1155, Claim for Unpaid Compensation Of Deceased Civilian Employee (No Designated Beneficiary Or Surviving Spouse).

Below are documents used to process a death case:

- Copy of death certificate
- SF-1152, if on file in deceased employee's OPF
- SF-1153/1155 for each beneficiary

If a minor is the beneficiary, the following documents are also needed to process a death case:

- Letter of Intent from parent or legal guardian. This is an informal letter from the parent or guardian stating the funds are to be used on behalf of the minor
- SF-1153 from parent or legal guardian of the minor
- Copy of legal guardianship papers if not the parent



TIP: Do not send the original forms or documents relating to the death case to NFC. Maintain the original documents with the employee's Official Personnel Folder with the Agency.

Comment [NFC80]:



Explain that a Living Will does not override a 1152 or 1153 document.

Check OPM guidelines on domicile states.

Establishing a Death Case Record

To begin processing a death case you must first establish the record in SPPS Mainframe using Option 1 on the **DEATH CASE MENU**. A death case record can be established before the employee’s personnel action is processed. When establishing a Death Case record make sure that information is being entered for the correct employee and that the correct option has been selected.

On the **DEATH CASE MENU**, you can also delete a death case record. A record can be deleted as long as the payment has not been scheduled for disbursement. If the death case has been submitted for disbursement. Refer to the Contact Center at: https://www.nfc.usda.gov/Contact_Us/Help_Desks/CHD/CHD_home.html for assistance with deleting a death case.

In the procedure below, you learn how establish a death case in SPPS Mainframe.

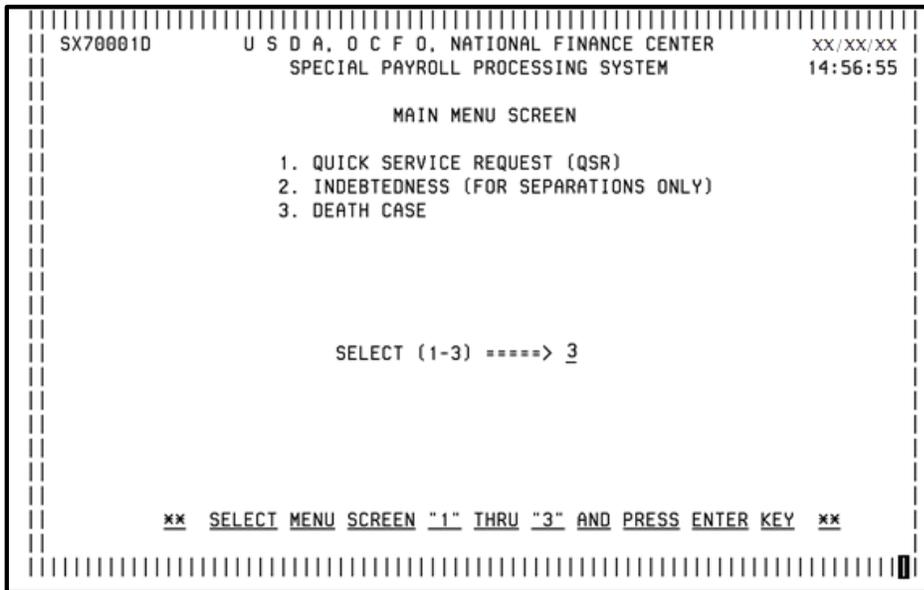


Figure 30: SPPS MAIN MENU SCREEN

Step	Action
1.	From the SPPS MAIN MENU SCREEN , enter “3” in the SELECT (1-3) field.

Comment [NFC81]: Slide 70



Explain that a death case remains open so that money can continue to be disbursed to beneficiary(ies) in the event additional money is due.

Comment [NFC82]:



Explain that a death case record can be established in SPPS Mainframe prior to processing of the death personnel action. However, the separation date and the date of death must match, otherwise the personnel action is put in suspense.

Comment [NFC83]:



SPPS **MAIN MENU SCREEN**.

Step	Action
2.	Press Enter. The FILE CONTROL INFORMATION screen displays.

```

SX75001M          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          10:40:41
                  DEATH CASE

FILE CONTROL INFORMATION

SSNO              AGCY              POI

** ENTER SSNO, AGENCY AND POI AND PRESS ENTER KEY **

ENTER=PROCESS    PF1=MAIN MENU    PF5=HELP    PF12=RESET    CLEAR=EXIT
  
```

Figure 31: FILE CONTROL INFORMATION Screen

Comment [NFC84]:



Show Slide 71: **FILE CONTROL INFORMATION** screen.

Step	Action
3.	Enter the employee's social security number in the SSNO field.
4.	Enter the employee's Agency Code in the AGCY field.
5.	Enter the employee's personnel office identifier in the POI field.
6.	Press Enter. The DEATH CASE MENU displays.

Comment [NFC85]:



Show Slide 72: **DEATH CASE MENU**.

```

|| SX75002M      U S D A, O C F O, NATIONAL FINANCE CENTER      XX/XX/XX
||                SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      08:29:50
||                DEATH CASE
||
||                DEATH CASE MENU
||
||                1. ESTABLISH/DELETE DEATH CASE
||                2. BENEFICIARY CLAIMANT INFORMATION
||                3. ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS
||                4. PAYMENT CERTIFICATION
||                5. PAYMENT INQUIRY
||                6. REMARKS
||                7. MANUAL PAYMENT(S)      (NFC USE ONLY)
||
||                SELECT OPTION (1-7) =====> 1
||
|| ** SELECT MENU SCREEN OPTION "1" THRU "7" AND PRESS ENTER KEY **
||
|| ENTER=NEXT SCREEN  PF1= MAIN MENU  CLEAR=EXIT
||
  
```

Figure 32: DEATH CASE MENU

Step	Action
7.	Enter "1" in the SELECT OPTION (1-7) field.
8.	Press Enter. The ESTABLISH/DELETE DEATH CASE screen displays.

Comment [NFC86]:



Show Slide 73:
**ESTABLISH/DELETE DEATH
CASE** screen.

Establishing a Beneficiary

Once you have established the death case you can enter the beneficiary information using Option 2 on the **DEATH CASE MENU**. This option is used to add, change, or delete information regarding the deceased employee's beneficiary(ies).

Comment [n87]: Slide 74



NOTE: A record for each beneficiary must be established before the death case can be processed.

In the procedure below, you learn how establish a beneficiary for a death case.

Step	Action
1.	From the DEATH CASE MENU , enter "2" in the SELECT OPTION (1-7) field.
2.	Press Enter . The BENEFICIARY CLAIMANT INFORMATION SCREEN 1 OF 2 screen displays.

Comment [NFC88]:



Show Slide 74:
**BENEFICIARY CLAIMANT
INFORMATION SCREEN 1 OF
2.**

```

|||-----|||
|| SX75004M                                     XX/XX/XX |||
|| SCREEN 1 OF 2   SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)   10:46:02 |||
||                                     DEATH CASE |||
||                                     BENEFICIARY CLAIMANT INFORMATION |||
|| SSNO |||
|| NAME: LAST                FIRST                MIDDLE |||
|| SF DOCUMENT - FORM NO: |||
|| 1152 - COMPLETED AND ON FILE Y (Y,N) |||
|| 1153/1155 RECEIVED, SIGNED & WITNESSED Y (Y,N) |||
|| DATE SIGNED (MM DD YY) |||
|| CLAIMANT NO  MINOR (Y,N)  DESIGNATED SHARE (PERCENT) |||
|| SSNO:        AGE          RELATIONSHIP TO DECEASED |||
|| NAME: |||
|| |||
|| SHOULD DISBURSEMENTS BE HELD? (Y/N) N |||
|| CLAIM STATUS:                ACTIVITY DATE: |||
|| REASON FOR HOLD STATUS:      (P=PENDING LEGAL REVIEW, O=OTHER) |||
|| SHOULD DISBURSEMENTS BE RELEASED FROM HOLD STATUS? (Y/N) |||
|| CLAIM DECISION FOR PENDING LEGAL REVIEW: (X) DENIED  ACCEPTED |||
|| FUNCTION CODE A (A=ADD C=CHANGE D=DELETE) |||
|| |||
|| ENTER=PROCESS PF2=DEATH CASE MENU PF5=HELP PF7=PREV CLAIMANT |||
|| PF8=NEXT CLAIMANT PF9=NEXT SCREEN PF12=ADD NEW CLAIMANT CLEAR=EXIT |||

```

Figure 34: BENEFICIARY CLAIMANT INFORMATION SCREEN 1 of 2

Step	Action
3.	<p>Enter “Y” (Yes) or “N” (No) in the SF DOCUMENT – FORM NO: 1152 – COMPLETED AND ON FILE field.</p> <p> NOTE: SF – 1152 is an optional form which can be completed when an employee is first hired. It designates specific beneficiaries for the employee.</p>
4.	<p>Enter “Y” (Yes) or “N” (No) in the 1153/1155 RECEIVED, SIGNED & WITNESSED field.</p> <p> CAUTION: There must be a completed SF-1153 or SF-1155 submitted for all beneficiary(ies).</p>
5.	<p>Enter the date the form was signed and witnessed in the DATE SIGNED (MM DD YY) field.</p> <p> CAUTION: Payments cannot be disbursed to the beneficiary(ies) if this field is not completed.</p>
6.	<p>Enter “Y” (Yes) or “N” (No) in the MINOR field to indicate if the beneficiary is under the age of 18.</p>
7.	<p>Enter the percentage from the Share To Be Paid To Each Beneficiary field from the employee’s SF-1152 in the DESIGNATED SHARE (PERCENT) field.</p> <p> NOTE: If there is no SF-1152 on file for this beneficiary, leave this field blank.</p>
8.	<p>Enter the beneficiary’s social security number in the SSNO field.</p>
9.	<p>Enter the beneficiary’s age in the AGE field if they are a minor.</p>
10.	<p>Enter the beneficiary’s relationship to the deceased employee in the RELATIONSHIP TO DECEASED field.⁹</p> <p> NOTE: If the employee’s estate is administered by the state of domicile, enter “Other-State” in the RELATIONSHIP TO DECEASED field.</p>

⁹ Refer to Appendix G: Entries for **RELATIONSHIP TO DECEASED** Field for a list of acceptable entries for the **RELATIONSHIP TO DECEASED** field.

Step	Action
11.	Enter the beneficiary's first, middle, last name, and relationship to the deceased in the NAME field.  NOTE: If the beneficiary is a minor include the guardian's name, "Susan Smith guardian of..."
12.	Enter "Y" (Yes) or "N" (No) in the SHOULD DISBURSEMENTS BE HELD .  TIP: SPPS Mainframe can hold one or more beneficiary's share while disbursing another beneficiary's share.
13.	Enter "A" (Add) in the FUNCTION CODE field.  TIP: Enter "A" if you are adding a beneficiary, "C" to change a beneficiary record, or "D" to delete a beneficiary record.
14.	Press Enter .  NOTE: If "Y" (Yes) is entered in the SHOULD DISBURSEMENTS BE HELD field, continue with the below steps. If "N" (No) is entered the BENEFICIARY CLAIMANT INFORMATION screen 2 of 2 displays.
15.	Enter "P" or "O" in the REASON FOR HOLD STATUS field.  TIP: Enter "P" if the disbursement is pending legal review or "O" for other reason.
16.	Enter "Y" (Yes) or "N" (No) in the SHOULD DISBURSEMENTS BE RELEASED FROM HOLD STATUS field.
17.	Enter "X" next to DENIED or ACCEPTED for the CLAIM DECISION FOR PENDING LEAGAL REVIEW field.  CAUTION: Only complete this field if REASON FOR HOLD STATUS field is coded P.
18.	Enter "A" (Add) in the FUNCTION CODE field.  TIP: Enter "A" if you are adding a beneficiary, "C" to change a beneficiary record, or "D" to delete a beneficiary record.

Step	Action
19.	Press Enter . BENEFICIARY CLAIMANT INFORMATION SCREEN 2 OF 2 displays.

```

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
|| SX75005M          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX
|| SCREEN 2 OF 2     SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          11:11:11
||
||                                DEATH CASE
||                                BENEFICIARY CLAIMANT INFORMATION
||
|| SSNO
|| NAME: LAST              FIRST              MIDDLE
||
|| CLAIMANT NO      SSNO:
|| NAME:
|| CHECK MAILING INFORMATION:
|| STREET ADDRESS 1:
|| ADDRESS 2:
|| CITY              STATE      ZIP CODE
|| OR
|| DESIGNATED AGENT CODE
|| OR
|| BANK DEPOSIT (DD/EFT):
|| TYPE OF ACCOUNT
|| ACCOUNT NUMBER
|| ROUTING NUMBER    000000000
||
|| ENTER=PROCESS PF2=DEATH CASE MENU PF5=HELP PF7=PREV CLAIMANT
|| PF8=NEXT CLAIMANT PF9=PREV SCREEN CLEAR=EXIT
  
```

Figure 35: BENEFICIARY CLAIMANT INFORMATION SCREEN 2 of 2

Comment [NFC89]:



Show Slide 75:
**BENEFICIARY CLAIMANT
 INFORMATION SCREEN 2 OF
 2.**

Step	Action
20.	Enter the deceased employee's name followed by "(dec)" in the STREET ADDRESS 1 field.  NOTE: If the beneficiary is a minor, enter the minor's name, relationship to the deceased employee, deceased employee's name, followed by (dec) (i.e. Mary Doe daughter of Michael Doe (dec)).
21.	Enter the beneficiary's street address in the STREET ADDRESS 2 field.
22.	Enter the beneficiary's city in the CITY field.
23.	Enter the beneficiary's state in the STATE field.
24.	Enter the beneficiary's zip code in the ZIP CODE field.
25.	Press Enter .

Step	Action
	NOTE: The <i>DESIGNATED AGENT CODE</i> , <i>TYPE OF ACCOUNT</i> , <i>ACCOUNT NUMBER</i> , and <i>ROUTING NUMBER</i> are not available due to the fact that the beneficiary(ies) must be paid by a paper check.
26.	Complete BENEFICIARY CLAIMANT INFORMATION SCREEN 1 and 2 for every beneficiary.  NOTE: SPPS Mainframe can accommodate up to 99 beneficiaries.

Adding Additional Employee Debts

After entering the beneficiary information you can make updates to the deceased employee's indebtedness. This helps determine the final amount owed to the beneficiaries. Use Option 3 on the **DEATH CASE MENU** to make adjustments due to employee indebtedness.

This option is used to:

- Add debts to SPPS Mainframe not recorded in ABCO
- Change, delete, and query these debts
- Query all debts recorded in ABCO, PAYE, and SPPS Mainframe

In the procedure below, you learn how make an adjustment to an employee's indebtedness for a death case.

Step	Action
1.	From the DEATH CASE MENU , enter "3" in the SELECT OPTION (1-7) field.
2.	Press Enter . The ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS menu displays.

Comment [n90]: Slide 76

Comment [NFC91]:



**ADJUSTMENT DUE TO
EMPLOYEE INDEBTEDNESS**
menu.

```

|| SX75006M || U S D A, O C F O, NATIONAL FINANCE CENTER || XX/XX/XX ||
||          || SPECIAL PAYROLL PROCESSING SYSTEM (SPPS) || 09:22:18 ||
||          || DEATH CASE ||
||          ||
||          || ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS ||
||          ||
||          || 1. EMPLOYEE INDEBTEDNESS UPDATE ||
||          || 2. EMPLOYEE INDEBTEDNESS INQUIRY ||
||          ||
||          ||
||          || SELECT OPTION (1-2) =====> 1 ||
||          ||
||          || ** SELECT MENU SCREEN OPTION "1" OR "2" AND PRESS ENTER KEY ** ||
||          ||
||          || ENTER=NEXT SCREEN PF1= MAIN MENU PF2=DEATH CASE MENU CLEAR=EXIT ||
||          ||
  
```

Figure 36: ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS Menu

Step	Action
3.	Enter "1" in the SELECT OPTION (1-2) field.
4.	Press Enter . The EMPLOYEE INDEBTEDNESS UPDATE screen displays.

Comment [NFC92]:



Show Slide 77:
**EMPLOYEE INDEBTEDNESS
UPDATE** screen.

```

SX75007M          U S D A, D C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          09:24:24
                  DEATH CASE/ADJUSTMENT
                  EMPLOYEE INDEBTEDNESS UPDATE

SSNO
NAME LAST          FIRST          MIDDLE          AGCY

FUNC REC ACCT
CODE TYPE CD      AMOUNT      ACCT
                  STAT          ACCOUNTING DATA      BILL NUMBER
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000
-                .00      0000          0000000000

ENTER=PROCESS  PF1=MAIN MENU   PF2=DEATH CASE MENU  PF3=ADJUSTMENT MENU
PF5=HELP       PF7=PREV RECORD PF8=NEXT RECORD      CLEAR=EXIT
  
```

Figure 37: EMPLOYEE INDEBTEDNESS UPDATE Screen

Step	Action
5.	Enter "A" (Add) in the FUNC CODE field.  TIP: Enter "A" if you are adding a new debt, "C" to change a debt, or "D" to delete an erroneous record. A code must be input for each debt.
6.	Enter the receipt account type in the REC ACCT TYPE CD field.  TIP: Press F5 for a list of the receipt account codes. Do not enter leave debts here.
7.	Enter the amount of indebtedness for each receipt account in the AMOUNT field.  TIP: Use a decimal to separate dollars and cents (i.e. \$1000 is 1000.00).
8.	Enter the employee's accounting station in the ACCT STAT field.

Step	Action
9.	Enter the accounting code in the ACCOUNTING DATA field.  NOTE: Validate the accounting code against the MASC. The proper accounting format can be found on PQ046. Combine the following fields in the listed order to verify the accounting code: ACCTG-DIST-FISC-YR-CD , ACCTG-DIST-APPN-CD , and ACCTG-DIST-SUB-LVE-CD . ¹⁰
10.	Press Enter . The debts are added to the death case record.

In addition to adding debts that haven't already been recorded in ABCO, you can use Option 2 on the **ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS** menu to verify and search for information on existing debts recorded in ABCO and SPPS Mainframe.

In the procedure below, you learn how to conduct an inquiry of the employee's recorded debts.

Step	Action
1.	From the DEATH CASE MENU , enter "3" in the SELECT OPTION (1-7) field.
2.	Press Enter . The ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS menu displays.

Comment [NFC93]:



Show Slide 78:
**ADJUSTMENT DUE TO
 EMPLOYEE INDEBTEDNESS**
 menu.

¹⁰ Forest Service includes the **ACCT-STATION-CD** field at the end of its accounting code.

```

||| SX75006M ||| U S D A, O C F O, NATIONAL FINANCE CENTER ||| XX/XX/XX |||
||| SPECIAL PAYROLL PROCESSING SYSTEM (SPPS) ||| 09:28:28 |||
||| DEATH CASE |||
|||
||| ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS |||
|||
||| 1. EMPLOYEE INDEBTEDNESS UPDATE |||
||| 2. EMPLOYEE INDEBTEDNESS INQUIRY |||
|||
|||
||| SELECT OPTION (1-2) =====> 2 |||
|||
||| ** SELECT MENU SCREEN OPTION "1" OR "2" AND PRESS ENTER KEY ** |||
|||
||| ENTER=NEXT SCREEN PF1= MAIN MENU PF2=DEATH CASE MENU CLEAR=EXIT |||
|||

```

Figure 38: ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS Menu

Step	Action
3.	Enter "2" in the SELECT OPTION (1-2) field.
4.	Press Enter . The EMPLOYEE INDEBTEDNESS INQUIRY screen displays.

Comment [NFC94]:



Show Slide 79:
**EMPLOYEE INDEBTEDNESS
INQUIRY** screen.

```

SX75008M          U S D A, D C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          09:59:14
                  DEATH CASE/ADJUSTMENT
                  EMPLOYEE INDEBTEDNESS INQUIRY

SSNO
NAME LAST          FIRST          MIDDLE          AGCY

BILL      INDEBTED      REC ACCT      SYSTEM
NUMBER    AMOUNT        DATE  TYPE CODE    ACCESSED

PF1=MAIN MENU  PF2=DEATH CASE MENU  PF3=ADJUSTMENT MENU  PF7=PREV RECORD
PF8=NEXT RECORD  CLEAR=EXIT
  
```

Figure 39: EMPLOYEE INDEBTEDNESS INQUIRY Screen



NOTE: The **EMPLOYEE INDEBTEDNESS INQUIRY** screen is a view only screen. It displays all recorded debts until the final payment is released.

Adding Remarks to a Death Case

Before certifying a death case you can include any remarks related to the claim. Use Option 6 on the **DEATH CASE MENU** to add any additional remarks.

Follow the steps below to add remarks for a death case.

Step	Action
1.	From the DEATH CASE MENU , enter "6" in the SELECT OPTION (1-7) field.
2.	Press Enter. The REMARKS screen displays.

```

SX75015M          U S D A, D C F O, NATIONAL FINANCE CENTER          XX/XX/XX
                  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      10:38:08
                  DEATH CASE
                  REMARKS

SSNO
NAME:  LAST              FIRST              MIDDLE

____
____
____
____
____
____
____
____
____
____

FUNCTION CODE _      (A=ADD C=CHANGE D=DELETE)
** ENTER REMARKS AND FUNCTION CODE, PRESS ENTER **

ENTER=PROCESS  PF1=MAIN MENU  PF2=DEATH CASE  PF5=HELP  PF12=RESET  CLEAR=EXIT
  
```

Figure 40: REMARKS Screen

Comment [NFC95]:
 Show Slide 80: **REMARKS** screen.

Step	Action
	NOTE: The REMARKS screen is an optional screen.
3.	Enter any pertinent information to the claim in the text field.  NOTE: Remarks can include information regarding the type of documents, dates documents are received, and how the final payment is divided amongst the beneficiaries, etc.

Step	Action
4.	Enter "A" (Add) in the FUNCTION CODE field.  TIP: Enter "A" if you are adding a new remarks, "C" to change remarks, or "D" to delete remarks.
5.	Press Enter .

Certifying a Payment

Now that you have established a death case, identified the beneficiary(ies), and made any necessary adjustments to the deceased employee's indebtedness, you can finalize the payment for a death case.

Payment Certification is Option 4 on the **DEATH CASE MENU**. This option is used to:

- Identify the type beneficiary(ies) who receive the deceased employee's final payment(s)
- Confirm receipt of the necessary documentation to process the death claim and allow authorization of the claim for final processing
- Show a preliminary calculation of amounts already disbursed to the beneficiary(ies) to date and amounts to be disbursed
- Show beneficiary(ies) specific data based on information received to date

In the procedure below, you learn how to certify a payment for a death case.

Step	Action
1.	From the DEATH CASE MENU , enter "4" in the SELECT OPTION (1-7) field.
2.	Press Enter . The ORDER OF PRECEDENCE IN ACCORDANCE WITH 5USC5582 (B) screen displays.

Comment [NFC96]:



Show Slide 81: **ORDER OF PRECEDENCE IN ACCORDANCE WITH 5USC5582(B)** screen.

```

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
|| SX75009M          U S D A, O C F O, NATIONAL FINANCE CENTER          XX/XX/XX ||
|| SCREEN 1 OF 5     SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)           10/54/38 ||
||                                                           DEATH CASE/CERTIFICATION ||
|| ORDER OF PRECEDENCE IN ACCORDANCE WITH S USC5582(B) ||
|| SSND ||
|| NAME: LAST          FIRST          MIDDLE ||
|| ||
|| (ENTER Y TO IDENTIFY BENEFICIARY SELECTION) ||
|| (1)  Y DESIGNATED BENEFICIARY(IES) (PER SF 1152) ||
|| (2)  WIDOW OR WIDOWER ||
|| (3)  CHILD OR CHILDREN (ENTER Y BELOW IF MINOR) ||
|| (A)  LEGAL GUARDIANSHIP PAPERS, IF OTHER THAN PARENT ||
|| (B)  LETTER OF INTENT FROM OTHER PARENT OR GUARDIAN ||
|| (C)  COMPLETED SF-1153 FORM FROM GUARDIAN ||
|| (4)  PARENTS ||
|| (5)  EXECUTOR OR ADMINISTRATOR OF THE ESTATE (ENTER Y BELOW TO ||
|| CONFIRM DOCUMENT RECEIPT) ||
|| (A)  COURT DOCUMENTS OF THE APPOINTMENT ||
|| (6)  PERSON(S) ENTITLED UNDER LAWS OF DOMICILE AT THE TIME OF DEATH ||
|| FUNCTION CODE A (A=ADD C=CHANGE D=DELETE) ||
|| ||
|| ENTER=PROCESS PF1=MAIN MENU PF2=DEATH CASE MENU PF5=HELP ||
|| PF8=NEXT SCREEN PF12=RESET CLEAR=EXIT ||
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
    
```

Figure 41: ORDER OF PRECEDENCE IN ACCORDANCE WITH S USC5582(B) Screen

Step	Action
3.	<p>Enter “Y” (Yes) in front of the appropriate beneficiary, only one beneficiary can be selected.</p> <p> TIP: Use the guidance below to determine which beneficiary field to enter Y (Yes) for. The beneficiaries below are listed in order of precedence in accordance with S USC5582:</p> <ul style="list-style-type: none"> • DESIGNATED BENEFICIARY(IES) – If there is a SF-1152 in the employee's file • WIDOR OR WIDOWER – If there is no SF-1152 on file and the deceased is married • CHILD OR CHILDREN – If there is no SF-1152 on file and the deceased is not married, but has children. • PARENTS – If there is no SF-1152 on file, the deceased is not married, and has no children • EXECUTOR OR ADMINISTRATOR OF THE ESTATE – If there is an executor or administrator of the estate. • PERSON(S) ENTITLED UNDER LAWS OF DOMICILE AT THE TIME OF DEATH – If none of the above apply

Step	Action
4.	Enter "Y" (Yes) or "N" (No) in the LEGAL GUARDIANSHIP PAPERS, IF OTHER THAN PARENT field, if "Y" (Yes) is entered in the CHILD OR CHILDREN field.
5.	Enter "Y" (Yes) or "N" (No) in the LETTER OF INTENT FROM OTHER PARENT OR GUARDIAN field, if "Y" (Yes) is entered in the CHILD OR CHILDREN field.
6.	Enter "Y" (Yes) or "N" (No) in the COMPLETED SF-1153 FORM FROM GUARDIAN field, if "Y" (Yes) is entered in the CHILD OR CHILDREN field.
7.	Enter "Y" (Yes) or "N" in the COURT DOCUMENTS OF THE APPOINTMENT field, if "Y" is entered in the EXECUTOR OR ADMINISTRATOR OF THE ESTATE field.
8.	Enter "A" (Add) in the FUNC CODE field.  TIP: Enter "A" if you are adding a record, "C" to change a record, or "D" to delete an erroneous record.
9.	Press Enter . The order of precedence data is recorded and the AUTHORIZATION screen displays.

Comment [NFC97]:



Show Slide 82:
AUTHORIZATION screen.

```

|||||SX75010M      U S D A, O C F O, NATIONAL FINANCE CENTER      XX/XX/XX |||
|||||SCREEN 2 OF 5  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      10:55:44 |||
|||||              DEATH CASE/CERTIFICATION                       |||
|||||              AUTHORIZATION                                  |||
|||||SSNO                                                 |||
|||||NAME: LAST              FIRST              MIDDLE        |||
|||||DATE OF DEATH (MM DD YY)              (MUST AGREE WITH PERSONNEL ACTION) |||
|||||MARITAL STATUS          (AS SHOWN ON DEATH CERTIFICATE)  |||
|||||              A U T H O R I Z A T I O N                    |||
|||||HAVE ALL APPLICABLE DEBTS BEEN RECORDED IN SPPS? Y (Y,N) |||
|||||CALCULATE DISTRIBUTION Y (Y)                               |||
|||||RELEASE PAYMENT(S) Y (Y) IF YES, IS THIS THE FINAL PAYMENT Y (Y,N) |||
|||||FUNCTION CODE A (A=ADD C=CHANGE D=DELETE)                |||
|||||ENTER=PROCESS   PF1=MAIN MENU   PF2=DEATH CASE MENU   PF5=HELP   |||
|||||PF7=PREV SCREEN PF8=NEXT SCREEN PF12=RESET           CLEAR=EXIT |||

```

Figure 42: AUTHORIZATION Screen

Step	Action
	NOTE: The AUTHORIZATION screen is used to authorize the calculation and distribution of payments to approved beneficiaries. It must be completed to release payments.
10.	Enter the employee's date of death in the DATE OF DEATH (MM DD YY) field.  IMPORTANT: The date of death must agree with the personnel action.
11.	Enter the employee's marital status in the MARITAL STATUS field.  TIP: Enter "S" for single (including widowed), "M" for married, or "D" for divorced. This code must agree with what is shown on the death certificate.
12.	Enter "Y" (Yes) or "N" (No) in the HAVE ALL APPLICABLE DEBTS BEEN RECORDED IN SPPS? field.  NOTE: If "N" (No) is entered you must wait until all debts have been recorded before disbursement is possible.

Step	Action
13.	Enter "Y" (Yes) for the CALCULATE DISTRIBUTION field.  NOTE: This begins the online certification and payment calculation process. This is a preliminary payment calculation process to be used for review and approval of payment calculation before releasing the payment for distribution.
14.	Enter "Y" (Yes) in the RELEASE PAYMENT(S) field.  NOTE: If this field is coded Y (Yes) and the payment information does not display on the PAYMENT INQUIRY screen, request CULPRPT Report P0163, Death Case/Indebtedness Audit Error(s) For Processing Date XX/XX/XX. There may be errors that are preventing the payment from being disbursed.
15.	Enter "Y" (Yes) in the IF YES, IS THIS THE FINAL PAYMENT field.
16.	Enter "A" (Add) in the FUNC CODE field.  TIP: Enter "A" if you are adding a new record, "C" to change a record, or "D" to delete an erroneous record.
17.	Press Enter . The data is processed.
18.	Press F8 . The PENDING DISBURSEMENT(S) SCREEN 3 OF 5 displays.

Comment [NFC98]:



Show Slide 83 :
**PENDING DISBURSEMENT(S)
SCREEN 3 OF 5** screen.



**National
Finance
Center**

U. S. Department of Agriculture
NEW ORLEANS, LA

SX75011M	U S D A, O C F O, NATIONAL FINANCE CENTER		XX/XX/XX
SCREEN 3 OF 5	SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)		10:09:41
	DEATH CASE/CERTIFICATION		
	PENDING DISBURSEMENT(S)		
SSNO			
NAME LAST	FIRST	MIDDLE	
MONIES TO BE DISBURSED			
PAYROLL: PAY PERIOD		TYPE	
NO YR		PAYMENT	AMOUNT
END OF PAYMENT INQUIRY LIST, PF4 FOR SUMMARY TOTALS			
PF1 = MAIN MENU	PF2 = DEATH CASE MENU	PF4 = TOTALS	PF7 = PREV RECORD
PF8 = NEXT RECORD	PF9 = PREV SCREEN	PF10=NEXT SCREEN	CLEAR=EXIT

Figure 43: PENDING DISBURSEMENT(S) SCREEN 3 of 5

Step	Action
	NOTE: The PENDING DISBURSEMENT(S) SCREEN 3 OF 5 is a view only screen displaying each payment that is scheduled to be disbursed and shows the total amount to be disbursed.

Step	Action
	<p>TIP: The PAY PERIOD NO/YR field indicates the pay period number and year for the payment being processed.</p> <p>The TYPE PAYMENT field indicates the type of payment being distributed. The following are the different types of payments:</p> <ul style="list-style-type: none"> • 01 - Regular T&A • 02 - Adjustment • 03 - NFC-29 (Live Payment) • 04 - Lump Sum Payment • 05 - Comp Payment • 06 - Cash Award • 07 - NFC-29 (Manual Payment) • 11 - Severance Payment <p>The AMOUNT field indicates the net amount distributed.</p>
19.	Press F4 . The PENDING DISBURSEMENT(S) SCREEN 4 OF 5 displays.
20.	Press Enter . The summary totals for the payment display.

Comment [NFC99]:



Show Slide 84:
**PENDING DISBURSEMENT(S)
 SCREEN 4 OF 5** screen.

```

SX75011M      U S D A, O C F O, NATIONAL FINANCE CENTER      XX/XX/XX
SCREEN 4 OF 5  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)    10:19:23
                DEATH CASE/CERTIFICATION
                PENDING DISBURSEMENT(S)

SSNO
NAME LAST          FIRST          MIDDLE
MONIES TO BE DISBURSED
PAYROLL:  PAY PERIOD          TYPE          AMOUNT
                NO/YR          PAYMENT

                SUB-TOTAL

REISSUANCE:        DATE  00/00/00
TAX CREDITS:        TAX YEAR  00          MEDICARE
                SOCIAL SECURITY

EMPLOYEE INDEBTEDNESS:
TOTAL MONIES TO BE DISBURSED:

PF1 = MAIN MENU      PF2=DEATH CASE MENU      PF4 = DETAIL
PF10= NEXT SCREEN    CLEAR = EXIT
  
```

Figure 44: PENDING DISBURSEMENT(S) SCREEN 4 of 5

Step	Action
	<p>NOTE: The <i>PENDING DISBURSEMENT(S) SCREEN 4 OF 5</i> is a view only screen, which displays summary totals.</p>

Step	Action
	<p>TIP: The REISSUANCE field indicates the canceled payment amount that was made out to the deceased and reissued in the name of the beneficiary(ies). The amount may be different because of tax laws associated with death cases.</p> <p>The TAX CREDIT field is a result of payments being distributed to beneficiaries in the tax year following the year of the employee's death. If payments are made in the same year as the year of death, there are no tax credits.</p> <p>The TAX YEAR field indicates the year of the employee's death.</p> <p>The HITS field indicates the amount to be disbursed as a result of HITS (Hospital Insurance) tax credits.</p> <p>The SOCIAL SECURITY field indicates the amount to be disbursed as a result of social security tax credits.</p> <p>The EMPLOYEE INDEBTEDNESS field indicates the total amount of indebtedness recorded in ABCO and SPPS Mainframe.</p> <p>The TOTAL MONIES TO BE DISBURSED field indicates the total amount to be disbursed to the deceased employee's beneficiaries. If the amount is negative and the payment is released, the employee's estate is billed through ABCO.</p>
21.	<p>Press F10. The PENDING DISBURSEMENT(S) BY CLAIMANT screen displays.</p>

Comment [NFC100]:



Show Slide 85:
**PENDING DISBURSEMENT(S)
BY CLAIMANT** screen.

```

XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
|| SX75012M          U S D A, D C F O, NATIONAL FINANCE CENTER          XX/XX/XX ||
|| SCREEN 5 OF 5     SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          10:24:28 ||
||                                                           DEATH CASE/CERTIFICATION ||
||                                                           PENDING DISBURSEMENT(S) BY CLAIMANT ||
|| SSNO                                                     ||
|| NAME: LAST                FIRST                MIDDLE          ||
|| AMT IN SUSPENSE $          .00          CURRENT DIS AMT $    ||
|| SSNO                CLAIMANT NO          ||
|| NAME:                                                     ||
|| CHECK MAILING INFORMATION:                               ||
|| STREET ADDRESS 1:                                       ||
|| ADDRESS 2:                                             ||
|| CITY                STATE          ZIP CODE          ||
|| OR                                                         ||
|| DESIGNATED AGENT CODE                               ||
|| OR                                                         ||
|| BANK DEPOSIT (DD/EFT):                               ||
|| TYPE OF ACCOUNT                                       ||
|| ACCOUNT NUMBER                                         ||
|| ROUTING NUMBER    000000000                          ||
||                                                         ||
|| PF1=MAIN MENU  PF2=DEATH CASE MENU  PF7=PREV CLAIMANT  PF8=NEXT CLAIMANT ||
|| PF9=PREV SCREEN  CLEAR=EXIT                               ||
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
    
```

Figure 45: PENDING DISBURSEMENT(S) BY CLAIMANT SCREEN 5 of 5

Step	Action
	NOTE: The PENDING DISBURSEMENT(S) BY CLAIMANT screen is a view only screen. All data on this screen is system generated and reflects the pending disbursements from the most recent SPPS Mainframe entries. This screen indicates the amount due and address for each beneficiary.
	TIP: Press F7 to view the previous beneficiary and F8 to view the next.

Unlike an indebted case, a death case in SPPS Mainframe does not get closed. In the event that an employee is posthumously given an additional payment (i.e. cash award or bonus), an Agency can submit an adjustment through SPPS Web and include in the **Remarks** field that it is for a death case. NFC then uses SPPS Mainframe to add the net amount of the manual payment to the death case record.

	TIP: The Agency can indicate in the Remarks field of the adjustment if they would like NFC to certify the payment for distribution to the beneficiary(ies). If it's not indicated for NFC to certify, then the Agency is responsible for certifying the payment.
---	--

Comment [NFC101]:



Each time a manual payment is added to a death case, the authorized Agency official must certify the payment.

Reviewing Disbursed Payments

After finalizing the payments, you must verify that the death case was disbursed by conducting a payment inquiry. Payment Inquiry is Option 5 on the **DEATH CASE MENU**. This option is used to query payments that have been disbursed and the amount remaining to be disbursed.

In the procedure below, you learn how to conduct a payment inquiry for an employee's indebtedness regarding a death case.

Step	Action
1.	From the DEATH CASE MENU , enter "5" in the SELECT OPTION (1-7) field.
2.	Press Enter. The PAYMENT INQUIRY SCREEN 1 OF 3 displays.

```

SX75013M          U S D A , O C F O , NATIONAL FINANCE CENTER          XX/XX/XX
SCREEN 1 OF 3     SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)          08:47:26
                  DEATH CASE
                  PAYMENT INQUIRY

SSNO
NAME LAST          FIRST          MIDDLE
MONIES TO BE DISBURSED
PAYROLL:  PAY PERIOD          TYPE          REISSUANCE          AMOUNT
          NO  YR          PAYMENT

END OF PAYMENT INQUIRY LIST, PF4 FOR SUMMARY TOTALS
PF1 = MAIN MENU          PF2 = DEATH CASE MENU          PF4 = TOTALS          PF7=PREV RECORD
PF8 = NEXT RECORD          PF10 = NEXT SCREEN          CLEAR = EXIT
  
```

Figure 46: PAYMENT INQUIRY SCREEN 1 OF 3

Step	Action
	NOTE: All of the screens within the PAYMENT INQUIRY option are view only.
3.	Press F4. The PAYMENT INQUIRY SCREEN 2 OF 3 displays.

Comment [n102]: Slide 86

Comment [NFC103]:
 **PAYMENT INQUIRY
SCREEN 1 OF 3** screen.

Comment [NFC104]:
 Show Slide 87:
**PAYMENT INQUIRY
SCREEN 2 OF 3** screen.

```

SX75013M      U S D A, O C F O, NATIONAL FINANCE CENTER      XX/XX/XX
SCREEN 2 OF 3  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      08:52:52
                DEATH CASE
                PAYMENT INQUIRY

SSNO
NAME LAST          FIRST          MIDDLE
PAYROLL SUBTOTAL:

TAX CREDITS:                MEDICARE
                            SOCIAL SECURITY
TOTAL NET PAYROLL/CREDITS PROCESSED:

DISBURSEMENT DATE:
DISBURSEMENT ACTUALS -
MONIES AVAILABLE:                DISBURSED THIS DATE:
PENDING/OTHER STATUS -
PLACED ON HOLD:                DISBURSED (FROM HOLD):

DEBTS - COLLECTED:                BILLED VIA ABCO:

PF1 = MAIN MENU      PF2 = DEATH CASE MENU  PF4 = DETAIL
PF7 = PREV RECORD   PF8 = NEXT RECORD    PF10= NEXT SCREEN  CLEAR = EXIT
    
```

Figure 47: PAYMENT INQUIRY SCREEN 2 of 3

Step	Action
	<p>NOTE: <i>PAYMENT INQUIRY SCREEN 2 OF 3</i> displays the payments to be disbursed, amount of indebtedness, the amount to be disbursed, disbursements to date, and those payments yet to be disbursed.</p>
4.	<p>Press F10. The <i>PAYMENT INQUIRY BY CLAIMANT</i> screen displays.</p>

Comment [NFC105]:



Show Slide 88:
**PAYMENT INQUIRY BY
CLAIMANT** screen.

```

||-----||
|| SX75014M      U S D A, O C F O, NATIONAL FINANCE CENTER      XX/XX/XX ||
|| SCREEN 3 OF 3  SPECIAL PAYROLL PROCESSING SYSTEM (SPPS)      8:53:43 ||
||              DEATH CASE ||
||              PAYMENT INQUIRY BY CLAIMANT ||
|| SSNO ||
|| NAME: LAST           FIRST           MIDDLE ||
|| SSNO           CLAIMANT NO ||
|| NAME: ||
|| DISBURSEMENT AMOUNT $ 1725.98  DATE           SCHD NUMBER ||
|| CHECK MAILING ADDRESS: ||
|| STREET ADDRESS 1: ||
|| ADDRESS 2: ||
|| CITY RHOME           STATE           ZIP CODE ||
|| OR ||
|| DESIGNATED AGENT CODE ||
|| OR ||
|| BANK DEPOSIT (DD/EFT): ||
|| TYPE OF ACCOUNT ||
|| ACCOUNT NUMBER ||
|| ROUTING NUMBER  000000000 ||
|| ||
|| PF1=MAIN MENU  PF2=DEATH CASE MENU  PF7=PREV CLAIMANT  PF8=NEXT CLAIMANT ||
|| PF9=PREV SCREEN  PF10=PREV PAY RECORD  PF11=NEXT PAY RECORD  CLEAR=EXIT ||
||-----||

```

Figure 48: PAYMENT INQUIRY BY CLAIMANT Screen

Step	Action
	<p>NOTE: <i>PAYMENT INQUIRY BY CLAIMANT</i> screen displays disbursement data for each beneficiary.</p>

6.4. Chapter Review

Knowledge Check

1. **True or False:** If all beneficiaries are adults, a death certificate, SF-1152, and a SF/1153/1155 are the only documents needed to process a death case.

2. Insert the following steps for processing a death case in the correct order in the flow chart below:

Step Bank	
Record Beneficiary Information	Record Debts
Establish Record	Certify Payment
Add Remarks	



Chapter Summary

Having completed this chapter, you are now able to:

- Explain the purpose of the death case function within SPPS Mainframe
- Describe the different documents needed to process a death case
- Describe the process for performing each function on the **DEATH CASE MENU**

Comment [NFC106]:



Show Slide 89-90

- **Knowledge Check**
- **Chapter Review**



Ask students to record their answers to the Knowledge Checks individually.

Comment [NFC107]:



Ask a volunteer to answer the first Knowledge Check.

Explain that the correct answer is **True**.

Comment [NFC108]:



Ask a volunteer to answer the second Knowledge Check.

Explain that the correct answers are: **Establish Record**, **Record Beneficiary Information**, **Record Debts**, **Add Remarks**, and **Certify Payment**.

Comment [NFC109]: Slide 91



Review previous chapter and transition to DOTSE Overview chapter.

7.0. DOTSE Overview

7.1. Chapter Overview

This chapter introduces users to the main functions and features of Document Tracking System External (DOTSE) Mainframe.

Chapter Objectives

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

- Describe the purpose of DOTSE
- Discuss the main functions of DOTSE

Comment [NFC110]:



Show Slide 92-93:
DOTSE Overview.

7.2. Introduction to DOTSE Mainframe

Lesson Overview

This lesson provides an introduction to DOTSE. It describes the main purpose of DOTSE, and how DOTSE is incorporated into the overall payroll process.

Lesson Objectives

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

- Explain how DOTSE is related to the overall payroll process
- Describe the main purpose of DOTSE

The Document Tracking System External (DOTSE) is an online mainframe database management system of the USDA that is used to process recertified payments. DOTSE processing is a process involving Agency and NFC entries.

Recertification is the processing of a second payment when the employee claims non-receipt, loss, theft, destruction, forgery or cancellation of a Treasury check or direct deposit/electronic funds transmission (DD/EFT) issues for the initial payment.

The process involves both the Agency and NFC. Agencies enter data in DOTSE to initiate the recertification process, NFC verifies the recertification data and completes the recertification.

Before a recertification is processed, the Agency should review the claim to ensure that:

- The beneficiary is entitled to the payment
- A check was previously scheduled for issuance
- The check is not in the possession of the employee or Agency
- No check cancellation or deposit action has previously taken place

In each case where a claim is necessary, a personally signed statement from the employee or other beneficiary should be obtained for the Agency's records. If the check is drawn jointly between two or more payees, all of the payees must sign.

The statement should include the following information:

- What was the type of the payment (salary, travel, etc.);
- Whether the check was received and, if not, whether the check was lost, stolen, destroyed, or mutilated;
- Whether the check was endorsed by the employee on the reverse side of the check or if the check had a limited endorsement such as For Deposit Only;
- What were the circumstances surrounding the loss, theft, destruction, or mutilation of the check (if received); and
- What is the present address of the beneficiary



TIP: To avoid the loss of a replacement check, it is strongly recommended that the check be sent to an office or an address other than the one to which the original was sent. Altering the mailing address for the recertification does not change the employee's address in the Personnel/Payroll system.

Recertification **Payment Methods**

In DOTSE, recertification, or secondary payment, can be paid out in any one of three methods. The types of recertified payment methods are listed below.

Comment [n112]: Slide 95

Hard Copy	DD/EFT	Mixed
Both the original payment and the second check are issued as a paper check.	Both payments are issued as an DD/EFT.	The method of payment for the second check is different than the original.

Figure 49. Types of Recertified Payments



NOTE: If the original payment was a DD/EFT payment, the employee may request a paper check for the recertified payment and vice versa.

Replacement Instructions

If a recertification of a check is needed, the following steps should be taken:

1. Employee reports non-receipt of payment to the Agency personnel office if they do not receive their paper check by Monday or their DD/EFT payment by Tuesday (pay week)
2. Agency determines if the check was issued and sent to the correct mailing address by checking: IR124, Address/Check Information; IR524, PERHIS, Address/Check Information; and/or PQ032, Payroll Listing



NOTE: If the payment was not issued at all, you should process a QSR through SPPS Mainframe.

3. Employee completes and signs Form AD-663, Request for Issuance of Replacement Check.
4. Agency certifies that the information on the AD-663 is correct and maintains this form at the Agency location.

If the employee inadvertently negotiates both checks, he/she becomes liable for the return of the proceeds of the second check plus any interest and penalties that accrue before the amount is repaid.



IMPORTANT: To ensure that a payment has not been returned or disbursed, inquire for existing payments in DOTSE before beginning the recertification process.

If a payment has been previously recertified, or a Standard Form (SF) – 1098 (Schedule of Cancelled or Undelivered Checks) or RO145 (Scheduled of Cancelled EFT Items) was issued, do not enter the data; refer to the Contact Center page at: https://www.nfc.usda.gov/Contact_Us/Help_Desks/CHD/CHD_home.html.

If the original check is received, it must be returned by certified or registered mail to:

Kansas City Financial Center
Attn: Anthony Barnes
4241 NE 34th St.
Kansas City, Missouri 64117

7.3. Chapter Review

Knowledge Check

1. The main purpose of DOTSE is:
 - A. To process payments that employee's do not receive
 - B. To complete death cases caught in suspense
 - C. To track all document submitted by NFC's customers
 - D. To process recertified payments

2. What four steps must an Agency conduct to verify that a recertification is required?
 1. _____
 2. _____
 3. _____
 4. _____

Chapter Summary

Having completed this chapter, you are now able to:

- Describe the purpose of DOTSE
- Discuss the main functions of DOTSE

Comment [NFC113]:



Show Slide 96

- Knowledge Check
- Chapter Review



Ask students to record their answers to the Knowledge Checks individually.

Comment [NFC114]:



Ask a volunteer to answer the first Knowledge Check.

Explain that the correct answer is **D**.

Comment [NFC115]:



Ask a volunteer to answer the second Knowledge Check.

Explain that the correct answers are:

- The beneficiary is entitled to the payment
- A check was previously scheduled for issuance
- The check is not in the possession of the employee or Agency
- No check cancellation or deposit action has previously taken place

Comment [NFC116]: Slide 97



Review previous chapter and transition to DOTSE Navigation chapter.

8.0. DOTSE Navigation

8.1. Chapter Overview

This chapter discusses the procedures for accessing DOTSE through the NFC Mainframe and navigating within DOTSE.

Chapter Objectives

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

- Access DOTSE from another NFC Mainframe system
- Use the correct steps to navigate within DOTSE

Comment [NFC117]:



Show Slide 98-99:
**DOTSE Navigation Chapter
Overview.**

8.2. Accessing DOTSE

Lesson Overview

This lesson explains the procedures for accessing DOTSE. Additionally, it covers the relevant security and access roles for DOTSE.

Lesson Objectives

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

- Access DOTSE through the NFC Mainframe
- Describe the security and access roles for DOTSE

As mentioned previously, NFC secures access to the data residing on the NFC mainframe, NFC's data processing center. Multiple layers of stringent security measures are in place to secure the data.

You must request access to DOTSE through your Agency's security office. In the request, you should provide the following data:

- User name
- User ID
- Agency name
- User access request level
 - Inquiry read
 - Inquiry Update
 - Recertification
 - MANLOG read
- Telephone number
- Application name
- User Security Access Code

Comment [n118]: Slide 100

Switching Mainframe Application

For instructions regarding how to access the NFC Mainframe, refer back to Lesson 3.2 Accessing SPPS Mainframe.

In the procedure below, you learn how to transition between databases, specifically from SPPS Mainframe to DOTSE.

Step	Action
1.	Press CLEAR , while in another Mainframe application. The message <i>Enter Next Task Code</i> displays.
2.	Enter "bye" below the message.
3.	Press Enter . The CL/SUPERSESSION Main Menu displays.

```

_____ Actions Options Commands Features Help
-----
KLSVSEL1          CL/SUPERSESSION Main Menu          More: +

Select sessions with the ENTER key or use a "/"
to display an action code.

  Session ID  Description                                Type      Status
  -----
-  DOTS       IDMS02                                                Multi
-  ABCO       IDMS03                                                Multi
-  CICSP3     CICSP3                                                Multi
-  CTMS       Control-D/V User Reports                             Multi
-  IDMS05     IDMS05                                                Multi      Active
-  IDMS06     IDMS06                                                Multi
-  IDMS07     IDMS07                                                Multi
-  IDMS08     IDMS08                                                Multi
-  IRIS05     IDMS05                                                Multi
-  ISPF5      TSOB                                                  Multi      Active
-  MANLOG     IDMS02                                                Multi
-  RETM       IDMS03                                                Multi

Command ==>                                          SYSB/T30N7827
Enter F1=Help F3=Exit F5=Refresh F8=Fwd F9=Retrieve F10=Action

```

Figure 50: CL/SUPERSESSION Main Menu

Comment [NFC119]:



Show Slide 101:

**CL/SUPERSESSION Main
Menu.**

Step	Action
4.	Press F9 . The cursor moves to the Command field.

Step	Action
5.	Enter "s DOTSE" in the Command field.
6.	Press Enter . The DOTSE MAIN MENU displays.

Comment [NFC120]:



Show Slide 102:
DOTSE **MAIN MENU**.

```

DOA0000          USDA,OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
MAIN MENU          DOCUMENT TRACKING SYSTEM

                FOR AUTHORIZED USE ONLY

                1. INQUIRY INFORMATION
                2. INFORMATION ON FIRST CHECK
                3. SF-1166 - SECOND CHECK
                4. SF-1184 UNAVAILABLE CHECK CANCELLATION
                5. CLAIM OF NON-RECEIPT (DD/EFT)
                6. MANLOG

DEPARTMENT CODE:___ AGENCY CODE:___ PERSONNEL OFFICE:___

                SELECTION:      (PRESS ENTER)

CLEAR=EXIT          PF5=HELP
  
```

Figure 51: DOTSE MAIN MENU

8.3. General Navigation

Lesson Overview

This lesson introduces users to the basic navigation features of DOTSE and the steps required to navigate between the DOTSE **MAIN MENU** and the menu options.

Lesson Objectives

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

- Access each of the DOTSE main menu options
- Describe the DOTSE function keys at the bottom of each DOTSE screen

DOTSE is a menu-drive system consisting of one main menu with six menu options:

1. INQUIRY INFORMATION
2. INFORMATION ON FIRST CHECK
3. SF-1166 – SECOND CHECK
4. SF-1184 UNAVAILABLE CHECK CANCELLATION
5. CLAIM OF NON-RECEIPT (DD/EFT)
6. MANLOG

Recertified payments are processed using options 1 through 5. Each option must be completed in its entirety before a recertified payment can be processed. These options are described in greater detail in Chapter 9.0. No updates can be made to a record after a recertified payment is disbursed and a record cannot be deleted once it has been added in the system.



NOTE: The MANLOG function of DOTSE can be used to research manual adjustments made prior to pay period 14, Fiscal Year (FY) 2000. All manual adjustments processed since pay period 14, FY 2000, are now processed and maintained in SPPS Web.

Due to the infrequency with which the MANLOG function is used, it is not covered in this training. For more information regarding the MANLOG function, please refer to the DOTSE Procedure Manual.

Comment [n121]: Slide 103

Comment [n122]: Slide 104

Navigating Within DOTSE

After you have accessed DOTSE, the DOTSE **MAIN MENU** displays with six menu options.

In the procedure below, you learn how to access the options within DOTSE.

```

DOA0000          USDA,OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
MAIN MENU          DOCUMENT TRACKING SYSTEM

                FOR AUTHORIZED USE ONLY

                1.  INQUIRY INFORMATION
                2.  INFORMATION ON FIRST CHECK
                3.  SP-1166 - SECOND CHECK
                4.  SP-1184 UNAVAILABLE CHECK CANCELLATION
                5.  CLAIM OF NON-RECEIPT (DD/EPT)
                6.  MANLOG

DEPARTMENT CODE:___ AGENCY CODE:___ PERSONNEL OFFICE:___

                SELECTION:      (PRESS ENTER)

CLEAR=EXIT          PF5=HELP
  
```

Figure 52: DOTSE MAIN MENU

Step	Action
1.	Enter the employee's Department Code in the DEPARTMENT CODE field.
2.	Enter the employee's Agency Code in the AGENCY CODE field.
3.	Enter the employee's personnel office in the PERSONNEL OFFICE field.
4.	Enter the menu option number in the SELECTION field.
5.	Press Enter . The screen for the selected option displays.

Function Keys

Function keys are assigned functions relevant to the program operated. These function keys are typically listed on a separate pad or across the top of the keyboard. Assigned F key functions used in DOTSE are displayed on each screen.

Comment [n123]: Slide 105



NOTE: If you are using a laptop, the keys may be configured differently.

Key	Description
F1	Press to return to the DOTSE MAIN MENU .
F2	Press to add or update a record. Press to refresh a screen.
F3	Press to move between various submenus in DOTSE without having to return to the main menu.
F4	Press to move to a specific screen.
F5	Press to return to the Inquiry Menu.
F6	Press to add an employee to the database in MANLOG.
F7	Press to return to the previous screen within a record.
F8	Press to go to the next screen within a record.
F9	Press to clear (initialize) the screen of keyed in data including the social security number.
F10	Press to return to the previous record.
F11	Press to scroll to the next record.
Clear	Press to exit the system.
Enter	Press to enter data into the system after you have keyed it in at a screen.
Tab	Press to move the cursor from field to field.

8.4. Chapter Review

Knowledge Check

1. **True or False:** DOTSE is accessible through the internet.

2. **Fill in the blanks:**
 - **F3** – Press to move between various _____ in DOTSE without having to return to the main menu.
 - **F9** – Press to _____ (initialize) the screen of keyed in data including the social security number
 - **F10** – Press to return to the _____ record.

Chapter Summary

Having completed this chapter, you are now able to:

- Access DOTSE from another NFC Mainframe system
- Use the correct steps to navigate within DOTSE

Comment [NFC124]:



Show Slide 106:

- **Knowledge Check**
- **Chapter Review**



Ask students to record their answers to the Knowledge Checks individually.

Comment [NFC125]:



Ask a volunteer to answer the first Knowledge Check.

Explain that the correct answer is **False**.

Comment [NFC126]:



Ask a volunteer to answer the second Knowledge Check.

Explain that the correct answers are: **submenus**, **clear**, and **previous**.

Comment [NFC127]:



Slide 107

Review previous chapter and transition to Recertifying Paper Checks and Direct Deposit Payments chapter.

9.0. Recertifying Paper Checks and Direct Deposit Payments

9.1. Chapter Overview

This chapter provides users with the instructions and information required to recertify direct deposit and paper check payments.

Chapter Objectives

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

- Describe how to recertify a paper check
- Describe how to recertify a direct deposit/electronic funds transfer (DD/EFT) payment
- Explain the differences between recertifying a paper check and a DD/EFT

Comment [NFC128]:



Show Slide 108-109
**Recertifying Paper Check and
Direct Deposit Payments
Chapter Overview.**

9.2. Recertifying a Paper Check

Lesson Overview

This lesson provides the information and procedures required to recertify a paper check.

Lesson Objectives

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

- Describe how to add a new inquiry for a paper check
- Describe how to document information for an issued paper check
- Describe how to complete a SF-1184 to cancel an issued paper check
- Describe how to complete a SF-1166 for the reissuance of a second paper check

As mentioned earlier, recertification is the process for reissuing a check to a Federal employee. Figure 53: Paper Check Recertification Process outlines the recertification process for a paper check. After the Agency certifies that the check requires recertification, it completes the remaining steps in DOTSE for recertifying a paper check:



Figure 53: Paper Check Recertification Process

These steps are outlined further below:

1. Add an inquiry record
2. Documents information for the first check disbursed
3. Add a SF-1184 (Unavailable Check Cancellation Record)
4. Add the information for the second payment to be disbursed



NOTE: Paper checks are recertified the Monday after pay week. In the exception that the check was sent to an incorrect address, it should be recertified immediately.

While the screens for the following procedures flow to each other automatically, each procedure begins by accessing the respective screens from the DOTSE **MAIN MENU**.

Adding a Recertified Paper Check Record

In the event that a paper check was issued and not received, a new check may be created for recertification. To begin this process you must first add an inquiry record. Inquiry records are added in DOTSE using Option 1. To create a new inquiry, you will need to:

- Add, update, and view information for an AD-354 (Request for Information)
- Add, update and view recertified payment records
- Add descriptions for the inquiry and/or recertification record
- Summarize the results of the inquiry and/or recertification record

In the procedure below, you learn how to add a new inquiry for recertifying a paper check.

```

DOA0000          USDA,OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
MAIN MENU          DOCUMENT TRACKING SYSTEM

                FOR AUTHORIZED USE ONLY

                1.  INQUIRY INFORMATION
                2.  INFORMATION ON FIRST CHECK
                3.  SF-1166 - SECOND CHECK
                4.  SF-1184 UNAVAILABLE CHECK CANCELLATION
                5.  CLAIM OF NON-RECEIPT (DD/EFT)
                6.  MANLOG

DEPARTMENT CODE:  ___  AGENCY CODE:  ___  PERSONNEL OFFICE:  ___

                SELECTION:      (PRESS ENTER)

CLEAR=EXIT          PF5=HELP
  
```

Figure 54: DOTSE MAIN MENU

Step	Action
1.	From the DOTSE MAIN MENU , enter the employee's Department Code in the DEPARTMENT CODE field.
2.	Enter the employee's Agency Code in the AGENCY CODE field.
3.	Enter the employee's personnel office in the PERSONNEL OFFICE field.

Comment [n130]: Slide 111

Comment [NFC131]:
 DOTSE **MAIN MENU**.

Step	Action
4.	Enter "1" in the SELECTION field.
5.	Press Enter . The INQUIRY INFORMATION screen displays with the message <i>NOT FOUND</i> , in the top right corner. This is the default message that displays before conducting an inquiry search.

Comment [NFC132]:


Show Slide 112:
INQUIRY INFORMATION
screen.

```

DO10001          USDA,OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
INQUIRY          DOCUMENT TRACKING SYSTEM                    NOT FOUND
                  INQUIRY INFORMATION

      IDENTIFICATION NUMBER: PAYE
                PAYEE NAME:
METHOD INQUIRY RECEIVED:          AMOUNT:
TYPE INQUIRY:                     DATE DUE:
DATE RCVD:                         TIME RCVD:                INDEX NO:

INQUIRER:                          PHONE NO:                EXT:
INQUIRERS LOCATION:                ST:          PAYEE (1) /AGCY (2) /OTHER (3) :

DEPARTMENT:  AGENCY:  ACCOUNTING STATION:  UNIT*FS:  FUND CODE:
SUBMITTING PERSONNEL OFFICE:  ORIGINATING OFFICE:

CORRESPONDENCE DATE:  ASSIGNED DATE:  INQUIRY BY: 199
ASSIGNED TO:  ASSIGNED BY:

REPLY METHOD:  REPLY DATE:  REPLY TIME:
REPLY CODE:
PF1=MENU PF2=UPDT PF3=RCRT PF7=PGUP PF8=PGDN  ** PF10=PREV PF11=NEXT
  
```

Figure 55: INQUIRY INFORMATION Screen

Step	Action
6.	Enter the employee's social security number in the IDENTIFICATION NUMBER field, next to the word PAYE .
7.	<p>Press Enter. If the record does not exist, the message <i>NOT FOUND</i> displays in the top right corner. If an inquiry record exists, the established record displays with the message <i>FOUND</i> in the top right corner.</p> <p> NOTE: In the case that an inquiry record exists, enter in the next alphanumeric character that follows the previous record (e.g. A, B, C), after the social security number and press F2.</p> <p>You can scroll through the existing records by pressing F11 (NEXT) and F10 (PREV) to ensure the recertification has not been processed already.</p>

Step	Action
8.	Press F2 to update the blank record. The message at the top right corner changes from <i>NOT FOUND</i> to <i>ADD</i> . This record cannot be deleted once added. Make sure to verify that the correct social security number is entered.
9.	Enter the employee's name in the PAYEE NAME field.
10.	Enter the amount of the payment in the AMOUNT field.  TIP: Use a decimal to separate dollars and cents (i.e. \$1000 is 1000.00)
	NOTE: The METHOD INQUIRY RECEIVED is system generated with a 6, Electronic Transmission. This code can be changed to a 3 (congressional, special handling, etc.) if applicable.
11.	Enter the appropriate code for the method of inquiry in the TYPE INQUIRY field.  NOTE: The TYPE INQUIRY field is used to distinguish a paper inquiry (001), i.e. fax, from an electronic method, i.e. Remedy (002).
12.	Enter the name of the individual making the inquiry in the INQUIRER field.
13.	Enter the inquirer's phone number in the PHONE NUMBER .
14.	Enter the inquirer's extension in the EXT field.
15.	Enter "2" (Electronic) in the REPLY METHOD field.
16.	Enter "55" in the REPLY CODE field.  NOTE: The REPLY CODE field identifies the method the original payment was made. Valid entries include 55 (paper check) and 64 (DD/EFT).
17.	Press Enter . The INFORMATION ON FIRST CHECK displays. <input type="text"/>

Comment [NFC133]:



Show Slide 113:
**INFORMATION ON FIRST
 CHECK** screen.

The system edits the data. If no errors are found:

- The record is added to DOTSE; and
- The message *FOUND* displays in the top right corner of the **INQUIRY INFORMATION** screen confirming that the record was added.

If errors are found:

- The message *PLEASE CORRECT FIELD(S) IN ERROR* displays at the bottom of the screen; and
- The errors are highlighted.



TIP: To enter additional information about the inquiry, press **F7** and the **SUPPLEMENTAL INQUIRY INFORMATION** screen displays.

Adding a First Check Record

Now that we have added a rectification record, we must record the information from the first paper check. This is done from Option 2, INFORMATION ON FIRST CHECK, on the DOTSE **MAIN MENU**. This option is also used to view and update existing information.

If the first check was processed in the automated system, most of the fields, on the screen, will be auto populated; if processed manually all fields will be blank and must be entered manually.

The same menu option is used to view and update the first check information.



CAUTION: The information entered must be identical to the original payment to successfully process the recertified payment.

In the procedure below, you learn how to add the information on the first paper check that was issued.

Step	Action
1.	From the DOTSE Main Menu , enter the employee's Department Code in the DEPARTMENT CODE field.
2.	Enter the employee's Agency Code in the AGENCY CODE field.
3.	Enter the employee's personnel office in the PERSONNEL OFFICE field.
4.	Enter "2" in the SELECTION field.
5.	Press Enter . The INFORMATION ON FIRST CHECK screen displays.

```

DO20011          USDA,OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
DISB              DOCUMENT TRACKING SYSTEM                    NOT FOUND
                  INFORMATION ON FIRST CHECK

IDENTIFICATION NUMBER: PAYE
NAME:                                     AMOUNT:          0.00

CHECK SYM/NO:          DATE ISSUED:          CHECK AMOUNT:
NAME:
ADDRESS (1):
ADDRESS (2):
CITY:                  ST:          ZIP CODE:

CHECK SERIES:          DISBURSING OFFICE:          ALC
SF-1166 SCHEDULE NUMBER: REF NO:          INV DATE:
CHECK TYPE:          PAY PERIOD:          PERIOD OF VOUCHER/SVC:          TO:

CHECK NUMBER(CORRECTION):          DATE TO CLAIMS:          DO SYMBOL:
REMARKS

PF1=MENU PF2=UPDT PF3=FORMS PF4=SUBMA PF7=PGUP PF8=PGDN PF10=PREV PF11=NEXT

```

Figure 56: **INFORMATION ON FIRST CHECK** Screen

Step	Action
6.	Enter the employee's social security number in the IDENTIFICATION NUMBER field, next to the word PAYE .
7.	Press Enter . If the record is located, the message FOUND displays in the top right corner on INFORMATION ON FIRST CHECK screen.  NOTE: If the message NOT FOUND displays in the top right corner, begin the recertification process by adding an inquiry.
8.	Press F2 to add the first check information. The message ADD displays in the

Step	Action
	top right corner.
	<p>NOTE: If the payment was processed in the automated system, most of the fields on the INFORMATION ON FIRST CHECK screen are system-generated and are transferred from the INQUIRY INFORMATION screen or PAYE.</p> <p>If the payment was processed manually, the system does not generate the data; these fields must be completed by the Agency.</p>
9.	<p>Enter the current date in the DATE ISSUED field.</p>  <p>NOTE: The date is system-generated if the payment was processed in PPS. If the payment was not paid in the automated system or processed prior to Tuesday after payday, use the current date.</p>
10.	<p>Enter the amount of the original check in the CHECK AMOUNT field.</p>  <p>TIP: Use a decimal to separate dollars and cents (i.e. \$1000 is 1000.00).</p>
11.	<p>Enter the name of the employee, as it appears in the original payment, in the NAME field.</p>
12.	<p>Enter the employee's street address as it appears in the original payment in the ADDRESS (1) and ADDRESS (2) fields.</p>  <p>NOTE: If the original check went to a designated agent, enter "D/A" followed by the designated agent number in the ADDRESS (1) field (e.g. D/A 1234).</p>
13.	<p>Enter the employee's city, as it appears in the original payment, in the CITY field.</p>
14.	<p>Enter the employee's state, as it appears in the original payment, in the ST field.</p>  <p>NOTE: Enter "FF" in the ST field if it is a foreign address.</p>

Step	Action
15.	Enter the employee's zip code, as it appears in the original payment, in the ZIP CODE field.  TIP: Leave the ZIP CODE field blank for a foreign address.
	NOTE: The CHECK SERIES field is system generated for a paper check. If the payment was not processed by the automated system, enter all "9"s in this field.
16.	Enter in the SF-1166 disbursing office number in the DISBURSING OFFICE field, only if the SF-1166 SCHEDULE NUMBER field is to be completed.  TIP: If the payment was not processed by the automated system, enter "0310" in the DISBURSING OFFICE field.
17.	Enter the SF-1166 voucher and schedule number of the original check in the SF-1166 SCHEDULE NUMBER field.  TIP: The schedule number can be found in PQ032. This schedule number should be changed to reflect your Department Code and if the payment was a paper check or DD/EFT. The elements of the schedule number are as follows: <ul style="list-style-type: none"> • First position is the fiscal year • Second position distinguishes a paper check from an EFT: B (paper check) or assigned database code used in the third position (DD/EFT) • Third position is the assigned database code for your Agency: A (Agriculture), H (Homeland Security), N (Other), and T (Treasury) • Fourth and fifth positions are the pay period • Sixth position indicates the first or second schedule of PAYE • The last position is always "-3" An example of a paper check processed in Pay Period 04, 2013, on the first schedule of PAYE for the Department of Agriculture is, 3BA041-3.

Step	Action
18.	Enter the pay period in the PAY PERIOD field.
19.	Press Enter . The SF-1184 UNAVAILABLE CHECK CANCELLATION screen displays.

Comment [NFC134]:



Show Slide 114: **SF-1184 UNAVAILABLE CHECK CANCELLATION** screen.

The system edits the data. If no errors are found:

- The record is added to DOTSE; and
- The message *FOUND* displays in the top right corner of the **INFORMATION ON FIRST CHECK** screen confirming that the record was added.

If errors are found:

- The message *PLEASE CORRECT FIELD(S) IN ERROR* displays at the bottom of the screen; and
- The errors are highlighted.

Adding a SF-1184 Unavailable Check Cancellation Record

After you have entered the information for the first check into DOTSE, then you use Option 4 on the DOTSE **MAIN MENU** to add Form SF-1184 (Unavailable Check Cancellation). This generates an SF-1184 that is sent to the Department of Treasury to alert them to put a stop payment on the original check. This option can also be used to update and verify information for a SF-1184.

The Agency completes only two fields on this screen, **NEW ADDRESS** and **STOP REASON**. The remaining fields are either system generated or completed by NFC.

The **SF-1184 UNAVAILABLE CHECK CANCELLATION** screen automatically displays for paper checks with the message *FOUND* after the **INFORMATION ON FIRST CHECK** screen is completed.

In the procedure below, you learn how to complete the SF-1184 Unavailable Check Cancellation form.

Step	Action
1.	From the DOTSE MAIN MENU , enter the employee's Department Code in the DEPARTMENT CODE field.
2.	Enter the employee's Agency Code in the AGENCY CODE field.
3.	Enter the employee's personnel office in the PERSONNEL OFFICE field.
4.	Enter "4" in the SELECTION field.
5.	Press Enter . The SF-1184 UNAVAILABLE CHECK CANCELLATION screen displays.

```

DO30003          USDA, OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
RCRT DOCS        RECERTIFICATION TRACKING SYSTEM             FOUND
                  SF-1184 UNAVAILABLE CHECK CANCELLATION

IDENTIFICATION NUMBER: PAYE
NAME:
SF-1184 SCHEDULE NUMBER:          CHECK SERIES: AMOUNT:
DATE TO CERTIFICATION:           CHECK DATE:
DATE TO TREASURY(1):             CHECK AMOUNT:
DATE TO TREASURY(2):             CHECK NUMBER:
DATE FROM TREASURY:              ALC
OLD ADDRESS:                      NEW ADDRESS:

STOP REASON CODES:                TREASURY RESPONSE OPTION:
DESC:
DATE OF DEATH:                   CHECK CANCELED DATE:
SCHEDULE NUMBER:
CHECK NUMBER (CORRECTION):        DATE TO CLAIMS:          DO SYMBOL:
PF1=MENU PF2=UPDT ** PF7=PGUP PF8=PGDN ** PF10=PREV PF11=NEXT

```

Figure 57: SF-1184 UNAVAILABLE CHECK CANCELLATION Screen

Step	Action
6.	Enter the employee's social security number in the IDENTIFICATION NUMBER field, next to the word PAYE .
7.	Press Enter . The message FOUND displays.
8.	Press F2 to add an SF-1184 record. The message ADD displays in the top right corner of the SF-1184 UNAVAILABLE CHECK CANCELLATION screen.
9.	Enter the employee's name and full address for the second check in the NEW ADDRESS field.

Step	Action
10.	Enter "A" (Recertified) in the STOP REASON CODES field.
11.	Press Enter . The SF-1166 – SECOND CHECK screen displays.

Comment [NFC135]:



Show Slide 115: **SF-1166 – SECOND CHECK** screen.

The system edits the data. If no errors are found:

- The record is added to DOTSE; and
- The message *FOUND* displays in the top right corner of the **SF-1184 UNAVAILABLE CHECK CANCELLATION** screen confirming that the record was added.

If errors are found:

- The message *PLEASE CORRECT FIELD(S) IN ERROR* displays at the bottom of the screen; and
- The errors are highlighted.

Adding an SF-1166 Second Check Record

After completing the **SF-1184 UNAVAILABLE CHECK CANCELLATION** screen, you can use Option 3 on the DOTSE **MAIN MENU** to insert the information for the second payment to be issued to the employee. This option can also be used update, or view the information for a replacement payment.

In the procedure below, you learn how to file information for recertifying a second check.

Step	Action
1.	From the DOTSE MAIN MENU , enter the employee's Department Code in the DEPARTMENT CODE field.
2.	Enter the employee's Agency Code in the AGENCY CODE field.
3.	Enter the employee's personnel office in the PERSONNEL OFFICE field.
4.	Enter "3" in the SELECTION field.
5.	Press Enter . The SF-1166 – SECOND CHECK screen displays.

```

DO20012          USDA, OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
DISB             DOCUMENT TRACKING SYSTEM                     NOT FOUND
                SF-1166 - SECOND CHECK

IDENTIFICATION NUMBER: PAYE          REPLY CODE:
                NAME:                    AMOUNT:          0.00

    DATE TO CERTIFICATION:
    DATE TO TREASURY:

CONSOLIDATED SCHEDULE NUMBER:        FFIS SCHEDULE NUMBER:

    FEEDER SCHEDULE NUMBER:          ADMINISTRATIVE INTEREST:
    MANUAL SCHEDULE NUMBER:          ALC:

    DATE 2ND PAYMENT PROCESSED:      CHECK TYPE:
    PAYMENT STATUS:

CHECK SYM/NO:          CHECK DATE:          CHECK AMOUNT:
    NAME:
ADDRESS(1):
ADDRESS(2):
    CITY:                    ST:          ZIP CODE:

PF1=MENU PF2=UPDT  PF3=FORMS          PF7=PGUP PF8=PGDN PF10=PREV PF11=NEXT

```

Figure 58: SF-1166 – SECOND CHECK Screen

Step	Action
6.	Enter the employee's social security number in the IDENTIFICATION NUMBER field, next to the word PAYE .
7.	Press Enter . The message <i>FOUND</i> displays.
8.	Press F2 to add an SF-1166 record. The message <i>ADD</i> displays.
9.	Enter "P" in the PAYMENT STATUS field.  NOTE: The PAYMENT STATUS field indicates the progress of the recertified payment. This field is system generated with N (Waiting to be processed). For paper checks, you must change the N to a P (Process). For DD/EFT payments, N automatically changes to P when Y is entered in the OK TO RECERTIFY field on the CLAIM OF NON-RECEIPT screen. Once a payment is disbursed, the system changes the field to D (Disbursed) for both a paper check and a DD/EFT.
10.	Enter "0" in the CHECK TYPE field.  NOTE: The CHECK TYPE field indicates the type of payment being recertified. Enter "0" for a paper check, "9" for a DD/EFT address on the database, or "2" for a DD/EFT address other than the one on the database.

Step	Action
11.	Enter the employee's name in the NAME field.
12.	Enter the first line of the employee's address in the ADDRESS (1) field followed by the letters "RE" and the pay period (e.g. RE01).
13.	Enter the second line of the employee's address in the ADDRESS (2) field.
14.	Enter the employee's city in the CITY field.
15.	Enter the employee's state in the ST field.  NOTE: Enter "FF" in the ST field if it is a foreign address.
16.	Enter the employee's zip code in the ZIP CODE field.
17.	Press Enter .

The system edits the data. If no errors are found:

- The record is added to DOTSE; and
- The message *FOUND* displays in the top right corner of the **SF-1166 – SECOND CHECK** screen confirming that the record was added.

If errors are found:

- The message *PLEASE CORRECT FIELD(S) IN ERROR* displays at the bottom of the screen; and
- The errors are highlighted.

9.3. Recertifying a Direct Deposit/Electronic Funds Transfer Payment

Lesson Overview

This lesson provides users with the information and procedures required to recertify a direct deposit/electronic funds transfer (DD/EFT) payment.

Lesson Objectives

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

- Describe how to add a new inquiry for a DD/EFT payment
- Describe how to document necessary information for an employee's first issued check or DD/EFT
- Describe how to complete a SF-1166 for the reissuance of a second DD/EFT
- Describe how to complete a Claim of Non-Receipt

The process for recertifying a DD/EFT payment is slightly different than the recertification of a paper check. After the Agency certifies that the DD/EFT payment has not been issued, it completes the remaining steps in DOTSE for recertifying a DD/EFT payment:



Figure 59: DD/EFT Recertification Process

These steps are outlined further below:

1. Add an inquiry record
2. Documents the information for the first check disbursed
3. Add the information for the second payment to be disbursed
4. File a Claim of Non-Receipt



NOTE: DD/EFT payments are recertified the Tuesday after a Monday EFT/DD payday.

While the screens for the following procedures flow to each other automatically, each procedure begins by accessing the respective screens from the DOTSE **MAIN MENU**.

Adding a Recertified DD/EFT Payment Record

Comment [n137]: Slide 117

As mentioned previously when an employee does not receive an initial DD/EFT, the payment may be resent. To begin this process you must first add an inquiry, or record, in DOTSE using Option 1 on the DOTSE **MAIN MENU**. This option is used to:

- Add, update, and view information for an AD-354 (Request for Information)
- Add, update, and view recertified payment records
- Add descriptions for the inquiry and/or recertification record
- Summarize the results of the inquiry and/or recertification record

In the procedure below, you learn how to add a new inquiry for recertifying a DD/EFT payment.

Comment [NFC138]:



DOTSE **MAIN MENU**.

```

DOA0000          USDA,OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
MAIN MENU          DOCUMENT TRACKING SYSTEM

                FOR AUTHORIZED USE ONLY

                1.  INQUIRY INFORMATION
                2.  INFORMATION ON FIRST CHECK
                3.  SF-1166 - SECOND CHECK
                4.  SF-1184 UNAVAILABLE CHECK CANCELLATION
                5.  CLAIM OF NON-RECEIPT (DD/EFT)
                6.  MANLOG

DEPARTMENT CODE:___ AGENCY CODE:___ PERSONNEL OFFICE:___

                SELECTION:      (PRESS ENTER)

CLEAR=EXIT          PF5=HELP
  
```

Figure 60: DOTSE MAIN MENU

Step	Action
1.	From the DOTSE MAIN MENU , enter the employee's Department Code in the DEPARTMENT CODE field.
2.	Enter the employee's Agency Code in the AGENCY CODE field.
3.	Enter the employee's personnel office in the PERSONNEL OFFICE field.

Step	Action
4.	Enter "1" in the SELECTION field.
5.	Press Enter . The INQUIRY INFORMATION screen displays with the message NOT FOUND , in the top right corner. This is the default message that displays before conducting an inquiry search.

```

DO10001          USDA,OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
INQUIRY          DOCUMENT TRACKING SYSTEM                    NOT FOUND
                  INQUIRY INFORMATION

      IDENTIFICATION NUMBER: PAYE
                PAYEE NAME:
METHOD INQUIRY RECEIVED:          AMOUNT:
TYPE INQUIRY:                     DATE DUE:
DATE RCVD:                        TIME RCVD:                INDEX NO:

INQUIRER:                          PHONE NO:          EXT:
INQUIRERS LOCATION:                ST:             PAYEE (1)/AGCY (2)/OTHER (3):

DEPARTMENT:  AGENCY:  ACCOUNTING STATION:  UNIT*FS:  FUND CODE:
SUBMITTING PERSONNEL OFFICE:          ORIGINATING OFFICE:

CORRESPONDENCE DATE:                ASSIGNED DATE:          INQUIRY BY: 199
ASSIGNED TO:                        ASSIGNED BY:

REPLY METHOD:                        REPLY DATE:            REPLY TIME:
REPLY CODE:
PF1=MENU PF2=UPDT PF3=RCRT PF7=PGUP PF8=PGDN  ** PF10=PREV PF11=NEXT
  
```

Figure 61: INQUIRY INFORMATION Screen

Comment [NFC139]:



Show Slide 118:
INQUIRY INFORMATION
screen.

Step	Action
6.	Enter the employee's social security number in the IDENTIFICATION NUMBER field, next to the word PAYE .
7.	<p>Press Enter. If the record does not exist, the message NOT FOUND displays in the top right corner.</p> <p> NOTE: If an inquiry record exists, the established record displays with the message FOUND in the top right corner.</p> <p>In the case that an inquiry record exists, enter in the next alpha character (e.g. A, B, C) after the social security number and press F2.</p> <p>You can scroll through the existing records by pressing F11 (NEXT) and F10 (PREV) to ensure the recertification has not been processed already.</p>
8.	Press F2 to update the blank record. The message in the top right corner changes from NOT FOUND to ADD .

Step	Action
9.	Enter the employee's name in the PAYEE NAME field.
10.	Enter the amount of the payment in the AMOUNT field.  TIP: Use a decimal to separate dollars and cents (i.e. \$1000 is 1000.00)
	NOTE: The METHOD INQUIRY RECEIVED is system generated with a 6, Electronic Transmission. This code can be changed to a 3 (congressional, special handling, etc.) if applicable.
11.	Enter the appropriate code for the method of inquiry in the TYPE INQUIRY field.  NOTE: The TYPE INQUIRY field is used to distinguish a paper inquiry (001), i.e. fax, from an electronic method, i.e. Remedy (002).
12.	Enter the name of the individual making the inquiry in the INQUIRER field.
13.	Enter the inquirer's phone number in the PHONE NUMBER .
14.	Enter the inquirer's extension in the EXT field.
15.	Enter "2" (Electronic) in the REPLY METHOD field.
16.	Enter "64" in the REPLY CODE field.  NOTE: The REPLY CODE field identifies the method the original payment was made. Valid entries include 55 (paper check) and 64 (DD/EFT).
17.	Press Enter . The INFORMATION ON FIRST CHECK screen displays.

Comment [NFC140]:



Show Slide 119:
**INFORMATION ON FIRST
CHECK** screen.

The system edits the data. If no errors are found:

- The record is added to DOTSE; and
- The message *FOUND* displays in the top right corner of the **INQUIRY INFORMATION** screen confirming that the record was added.

If errors are found:

- The message *PLEASE CORRECT FIELD(S) IN ERROR* displays at the bottom of the screen; and
- The errors are highlighted.



TIP: To enter additional information about the inquiry, press **F7** and the **SUPPLEMENTAL INQUIRY INFORMATION** screen displays.

Adding a First Check Record

Now that we have added a recertification record, we must record the information from the first paper check. After adding the record, the **INFORMATION ON FIRST CHECK** screen displays where we record the information from the first payment. This can also be done by selecting Option 2, INFORMATION ON FIRST CHECK, on the DOTSE **MAIN MENU**. This option is also used to view and update existing information.

If the first payment was processed in the automated system, most of the fields, on the screen, are system-generated; if processed manually all fields are blank and must be entered manually.



CAUTION: Any information entered must be identical to the original payment to successfully process the recertified payment.

In the procedure below, you learn how to add file information for a DD/EFT payment that needs to be recertified.

Step	Action
1.	From the DOTSE MAIN MENU , enter the employee's Department Code in the DEPARTMENT CODE field.

Step	Action
2.	Enter the employee's Agency Code in the AGENCY CODE field.
3.	Enter the employee's personnel office in the PERSONNEL OFFICE field.
4.	Enter "2" in the SELECTION field.
5.	Press Enter . The INFORMATION ON FIRST CHECK screen displays with the message <i>NOT FOUND</i> , in the top right corner.

```

DO20011          USDA, OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
DISB              DOCUMENT TRACKING SYSTEM                    NOT FOUND
                  INFORMATION ON FIRST CHECK

IDENTIFICATION NUMBER: PAYE                                AMOUNT:          0.00
NAME:

CHECK SYM/NO:      DATE ISSUED:      CHECK AMOUNT:
NAME:
ADDRESS (1):
ADDRESS (2):
CITY:              ST:      ZIP CODE:

CHECK SERIES:      DISBURSING OFFICE:      ALC
SF-1166 SCHEDULE NUMBER:  REF NO:      INV DATE:
CHECK TYPE:      PAY PERIOD:      PERIOD OF VOUCHER/SVC:      TO:

CHECK NUMBER (CORRECTION):      DATE TO CLAIMS:      DO SYMBOL:
REMARKS

PF1=MENU PF2=UPDT PF3=FORMS PF4=SUBMA PF7=PGUP PF8=PGDN PF10=PREV PF11=NEXT
  
```

Figure 62: INFORMATION ON FIRST CHECK Screen

Step	Action
6.	Enter the employee's social security number in the IDENTIFICATION NUMBER field, next to the word PAYE .
7.	Press Enter . If the record is located, the message <i>FOUND</i> displays in the top right corner on INFORMATION ON FIRST CHECK screen.  NOTE: If the message <i>NOT FOUND</i> displays in the top right corner, begin the recertification process by adding an inquiry.
8.	Press F2 to add the first check information. The message <i>ADD</i> displays in the top right corner.
9.	Press Enter .

Step	Action
	<p>NOTE: If the payment was processed in the automated system, most of the fields on the INFORMATION ON FIRST CHECK screen are system-generated and are transferred from the INQUIRY INFORMATION screen or PAYE.</p> <p>If the payment was processed manually, the system does not generate the data; these fields must be completed by the Agency.</p>
10.	<p>Enter the current date in the DATE ISSUED field.</p>  <p>NOTE: The date is system-generated if the payment was processed in the automated Payroll/Personnel System. If the payment was not paid in the automated system or processed prior to Tuesday after payday, use the current date.</p>
11.	<p>Enter the amount of the original check in the CHECK AMOUNT field.</p>  <p>TIP: Use a decimal to separate dollars and cents (i.e. \$1000 is 1000.00)</p>
12.	<p>Enter the name of the employee, as it appears in the original payment, in the NAME field.</p>
13.	<p>Enter “RT#” followed by the employee’s original routing number in the ADDRESS (1) field.</p>
14.	<p>Enter “ACCT#” followed by the employee’s original account number in the ADDRESS (2) field.</p>
	<p>NOTE: The CHECK SERIES field is not needed for DD/EFT payments.</p>
15.	<p>Enter in the SF-1166 disbursing office number in the DISBURSING OFFICE field, only if the SF-1166 SCHEDULE NUMBER field is also being entered.</p>  <p>TIP: If the payment was not processed by the automated system, enter “0310” in the DISBURSING OFFICE field.</p>

Step	Action
16.	<p>Enter the SF-1166 voucher and schedule number of the original check in the SF-1166 SCHEDULE NUMBER field.</p> <p> TIP: The schedule number can be found in PQ032. This schedule number should be changed to reflect your Department Code and if the payment was a paper check or EFT.</p> <p>The elements of the schedule number are as follows:</p> <ul style="list-style-type: none"> • First position is the fiscal year • Second position distinguishes a paper check from an EFT: B (paper check) or assigned database code used in the third position (DD/EFT) • Third position is the assigned database code for your Agency: A (Agriculture), H (Homeland Security), N (Other), and T (Treasury) • Fourth and fifth positions are the pay period • Sixth position indicates the first or second schedule of PAYE • The last position is always “-3” <p>An example of a EFT processed in Pay Period 04, 2013, on the first schedule of PAYE for the Department of Homeland Security is, 3HH041-3.</p>
17.	Enter the pay period in the PAY PERIOD field.
18.	Press Enter . The SF-1166 – SECOND CHECK screen displays.

Comment [NFC141]:



Show Slide 120: **SF-1166 – SECOND CHECK** screen.

The system edits the data. If no errors are found:

- The record is added to DOTSE; and
- The message *FOUND* displays in the top right corner of the **INFORMATION ON FIRST CHECK** screen confirming that the record was added.

If errors are found:

- The message *PLEASE CORRECT FIELD(S) IN ERROR* displays at the bottom of the screen; and
- The errors are highlighted.

Adding an SF-1166 Second Check Record

After you have entered the information for the first check into DOTSE, the **SF-1166 – SECOND CHECK** screen displays for you to insert the information for the second payment to be issued. If an inquiry already exists, you can also access this screen through Option 3, SF-1166 – SECOND CHECK, on the **DOTSE MAIN MENU**. This option can also be used update or view inquiry information for a replacement payment.

In the procedure below, you learn how to enter information needed for recertifying a second DD/EFT payment.

Step	Action
1.	From the DOTSE MAIN MENU , enter the employee's Department Code in the DEPARTMENT CODE field.
2.	Enter the employee's Agency Code in the AGENCY CODE field.
3.	Enter the employee's personnel office in the PERSONNEL OFFICE field.
4.	Enter "3" in the SELECTION field.
5.	Press Enter . The SF-1166 – SECOND CHECK screen displays with the message NOT FOUND , in the top right corner.

```

DO20012          USDA, OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
DISB             DOCUMENT TRACKING SYSTEM                     NOT FOUND
                SF-1166 - SECOND CHECK

IDENTIFICATION NUMBER: PAYE          REPLY CODE:
NAME:                               AMOUNT:          0.00

DATE TO CERTIFICATION:
DATE TO TREASURY:

CONSOLIDATED SCHEDULE NUMBER:        FFIS SCHEDULE NUMBER:
FEEDER SCHEDULE NUMBER:              ADMINISTRATIVE INTEREST:
MANUAL SCHEDULE NUMBER:              ALC:

DATE 2ND PAYMENT PROCESSED:          CHECK TYPE:
PAYMENT STATUS:

CHECK SYM/NO:          CHECK DATE:          CHECK AMOUNT:
NAME:
ADDRESS (1):
ADDRESS (2):
CITY:                  ST:          ZIP CODE:

PF1=MENU PF2=UPDT  PF3=FORMS          PF7=PGUP PF8=PGDN PF10=PREV PF11=NEXT

```

Figure 63: SF-1166 – SECOND CHECK Screen

Step	Action
6.	Enter the employee's social security number in the IDENTIFICATION NUMBER field, next to the word PAYE .
7.	Press Enter . The message <i>FOUND</i> displays in the top right corner.
8.	Press F2 to add an SF-1166 record. The message <i>ADD</i> displays in the top right corner.
	<p>NOTE: The PAYMENT STATUS field indicates the progress of the recertified payment. This field is system generated with N (Waiting to be processed). For paper checks, you must change the N to a P (Process). For DD/EFT payments, N automatically changes to P when Y is entered in the OK TO RECERTIFY field on the CLAIM OF NON-RECEIPT screen. Once a payment is disbursed, the system changes the field to D (Disbursed) for both a paper check and DD/EFT.</p>
9.	<p>Enter the appropriate check type in the CHECK TYPE field.</p> <p> TIP: The CHECK TYPE field indicates the type of payment being recertified. Enter "0" for a paper check, "9" for a DD/EFT address on the database, or "2" for a DD/EFT address other than the one on the database.</p> <p>If "2" is entered, you must enter a new routing number in the ADDRESS (1) field and a new account number in the ADDRESS (2) field.</p>
10.	Enter the employee's name in the NAME field.
11.	Enter "RT#" followed by the employee's routing number in the ADDRESS (1) field. A space should be entered after the #.
12.	Enter "ACCT#" followed by the employee's account number in the ADDRESS (2) field (e.g. Acct# 3456). A space should be entered after the #.
	<p>NOTE: No entry is required for ADDRESS (1) and ADDRESS (2) fields if "9" is entered for CHECK TYPE.</p> <p>If the account is a savings account, enter "/S" after the account number.</p>
13.	Enter the employee's city in the CITY field.

Step	Action
14.	Enter the employee's state in the ST field.  TIP: Enter "FF" in the ST field if it is a foreign address.
15.	Enter the employee's zip code in the ZIP CODE field.
16.	Press Enter . The CLAIM OF NON-RECEIPT (DD/EFT) screen displays.

Comment [NFC142]:



Show Slide 121: **CLAIM OF NON-RECEIPT DD/EFT** screen.

The system edits the data. If no errors are found:

- The record is added to DOTSE; and
- The message *FOUND* displays in the top right corner of the **SF-1166 – SECOND CHECK** screen confirming that the record was added.

If errors are found:

- The message *PLEASE CORRECT FIELD(S) IN ERROR* displays at the bottom of the screen; and
- The errors are highlighted.

Adding a Claim of Non-Receipt (DD/EFT)

Once you complete the **SF-1166 – SECOND CHECK** screen, the **CLAIM OF NON-RECEIPT DD/EFT** screen displays. This screen is used to record and trace a claim of non-receipt of a DD/EFT payment. If an inquiry already exists, you can access this screen using Option 5, CLAIM OF NON-RECEIPT (DD/EFT), on the **DOTSE MAIN MENU**. This option can also be used update, or view the information for a current Claim of Non-Receipt.

In the procedure below, you learn how to submit a Claim of Non-Receipt for a DD/EFT payment.

Step	Action
1.	From the DOTSE MAIN MENU , enter the employee's Department Code in the DEPARTMENT CODE field.
2.	Enter the employee's Agency Code in the AGENCY CODE field.
3.	Enter the employee's personnel office in the PERSONNEL OFFICE field.
4.	Enter "5" in the SELECTION field.
5.	Press Enter . The CLAIM OF NON-RECEIPT DD/EFT screen displays with the message NOT FOUND , in the top right corner.

```

DO30007          USDA,OCFO, NATIONAL FINANCE CENTER          XX/XX/XX
RCRT DOCS          DOCUMENT TRACKING SYSTEM                NOT FOUND
                   CLAIM OF NON-RECEIPT DD/EFT
IDENTIFICATION NUMBER: PAYE
                   NAME:                                AMOUNT:      0.00

RCVD:              00 BY: 000
PAID DATE:         1166 SCHD:          DO:
RO145<SCHD NO:    TRACER NO:          ALC:

REMARK/BANK:

SENT TO CERT:          RCVD FROM CERT:

NON RECEIPT NO:      RCVD BY CERT:          FAX TO DO:
DO RESPONDED:
CERT COMPLETED:
COPY RETURNED TO INQUIRY:          OK TO RECERTIFY:

                   FINAL RESULTS
PF1=MENU PF2=UPDT          PF7=PGUP PF8=PGDN          PF10=PREV PF11=NEXT

```

Figure 64: CLAIM OF NON-RECEIPT DD/EFT Screen

Step	Action
6.	Enter the employee's social security number in the IDENTIFICATION NUMBER field, next to the word PAYE .
7.	Press Enter . The message <i>FOUND</i> displays in the top right corner.
8.	Press F2 to add a Claim of Non-Receipt Record. The message <i>ADD</i> displays in the top right corner.
9.	Enter the name of the bank, the bank's phone number, the full address of the bank, and the contact person at the bank in the REMARK/BANK field.
10.	Enter the date (MMDDYY) that the claim is sent to NFC's certification area in the SENT TO CERT field.
	IMPORTANT: NFC contacts the bank to ensure the original payment funds are returned. NFC enters "Y" (Yes) or "N" (No) in the OK TO RECERTIFY field and enters additional comments in the FINAL RESULTS field.
11.	Press Enter .

The system edits the data. If no errors are found:

- The record is added to DOTSE; and
- The message *FOUND* displays in the top right corner of the **CLAIM OF NON-RECEIPT DD/EFT** screen confirming that the record was added.

If errors are found:

- The message *PLEASE CORRECT FIELD(S) IN ERROR* displays at the bottom of the screen; and
- The errors are highlighted.

9.4. Chapter Review

Knowledge Check

1. The correct process for recertifying a paper check is:
 - A. Add an inquiry record, document the information for the first check disbursed, add the information for the second payment to be disbursed, add a SF-1184
 - B. Document information for the first check to be disbursed, add an inquiry record, add the information for the second payment to be disbursed, add a SF-1184
 - C. Add a SF-1184, add an inquiry record, document the information for the first check disbursed, and add the information for the second payment to be disbursed
 - D. Add an inquiry record, document information for the first check disbursed, add a SF-1184, and add the information for the second payment to be disbursed

2. Which of the following DOTSE **MAIN MENU** option is not used to recertify a DD/EFT payment:
 - A. INQUIRY INFORMATION
 - B. INFORMATION ON FIRST CHECK
 - C. SF-1184 UNAVAILABLE CHECK CANCELLATION
 - D. SF-1166 SECOND CHECK

Chapter Summary

Having completed this chapter, you are now able to:

- Describe how to recertify a paper check
- Describe how to recertify a direct deposit/electronic funds transfer (DD/EFT) payment
- Explain the differences in how to recertify a paper check and a DD/EFT

Comment [NFC143]:



Show Slide 122:

- Knowledge Check
- Chapter Review



Ask students to record their answers to the Knowledge Checks individually.

Comment [NFC144]:



Ask a volunteer to answer the first Knowledge Check.

Explain that the correct answer is **D**.

Comment [NFC145]:



Ask a volunteer to answer the second Knowledge Check.

Explain that the correct answer is **C**.

Comment [NFC146]: Slide 123



Review previous chapter and transition to the overall training Knowledge Check.

10.0. Course Summary

10.1. SPPS Mainframe and DOTSE Knowledge check

1. How do you access SPPS and DOTSE Mainframe?
2. What are the three major functions within SPPS Mainframe?
3. Under what circumstances do you process a Delayed QSR?
4. What are the main steps in processing an indebted record for a separated employee?
5. What are the main steps in processing a death case?
6. What is the main function of DOTSE?

Comment [NFC147]:



Show 124-128 : **SPPS Mainframe and DOTSE Knowledge Check**. Review the knowledge check questions.

Comment [n148]: To access SPPS and DOTSE Mainframe you must have sign on credentials and access to the NFC Mainframe

Comment [n149]: Quick Service Request (QSR) Indebtedness (For Separations Only) Death Case

Comment [n150]: If an employee is separated
 b. When an intervening pay period has been processed (Pay period prior to last pay period in which the employee was paid through the Payroll Computation System), this can be verified on PINQ Screen PQ032
 c. If an employee is transferring from one Agency to another Agency on the same database and the employee is still active with the previous Agency

Comment [n151]: Establish Record, Add debts, Submit Request for Tax Credits, Add Remarks and Certify payment

Comment [n152]: Establish Record, Add debts, Submit Request for Tax Credits, Add Remarks and Certify payment

Comment [n153]: process recertified payments

7. What must an Agency do before recertifying a check?

Comment [n154]: The beneficiary is entitled to the payment
 b. A check was previously scheduled for issuance
 c. The check is not in the possession of the employee or Agency
 d. No check cancellation or deposit action has previously taken place

8. Describe the recertification process.

Comment [n155]: Employee reports non-receipt of payment to the Agency personnel office if they do not receive their paper check by Monday or their DD/EFT payment by Tuesday (pay week)
 b. Agency determines if the check was issued and sent to the correct mailing address by checking: IR124, Address/Check Information; IR524, PERHIS, Address/Check Information; and/or PQ032, Payroll Listing
 c. Employee completes and signs Form AD-663, Request for Issuance of Replacement Check.
 d. Agency certifies that the information on the AD-663 is correct and maintains this form at the Agency location

10.2. Things to Remember

Please remember the following items when using SPPS Mainframe and DOTSE:

- Advanced Pay QSRs are processed in SPPS Mainframe
- For an Advanced Pay QSR, SPPS Mainframe automatically calculates 70% of 80 hours of base salary, rounded down to the nearest \$25 increment, leaving the 30% for deductions
- Indebtedness is used to recoup debts from employees at separation
- If no final compensation is available at the time of separation, a SPPS Web request must be sent to NFC to establish a bill
- Death case is used to issue final compensation to beneficiary(ies) of employees who pass away while in Federal service
- DOTSE is used to process recertified payments, both DD/EFT and paper checks, resulting from an employee's claim of non-receipt

Comment [n156]: Slide 129

10.3. Training Review

SPPS Mainframe and DOTSE Training Objectives

Having completed this training, you are now able to:

- Provide colleagues with an overview of SPPS Mainframe and DOTSE Mainframe
- Describe how to process an Advance Pay QSR in SPPS Mainframe
- Describe how to process an indebted case for a separating employee in SPPS Mainframe
- Describe how to process a death case in SPPS Mainframe
- Describe how to recertify a paper check and a DD/EFT payment

Comment [n157]: Slide 130

10.4. Additional Resources

For additional resources regarding SPPS Mainframe please contact/refer to https://www.nfc.usda.gov/Publications/Manual_Pay/Procedures/spps.pdf for the SPPS Mainframe Procedure Manual.

For questions about NFC Processing visit the Contact Center page at: https://www.nfc.usda.gov/Contact_Us/Help_Desks/CHD/CHD_home.html.

For additional resources regarding DOTSE Mainframe please contact/refer to <http://help.nfc.usda.gov/publications/DOTSE/index.htm> for the DOTSE Procedure Manual.

For questions about NFC Processing, visit the Contact Center page at: https://www.nfc.usda.gov/Contact_Us/Help_Desks/CHD/CHD_home.html.

Comment [NFC158]:



Show Slide 131:
**Closing and Additional
Resources.**

11.0. Appendices

11.1. Appendix A: Course Glossary

Concept/Item	Description
Accounting Station Code	Agency-assigned code that allows for obligations and payment information to be distributed to the proper unit.
Advance Pay (14-liner) Quick Service Request	Document used for processing an advance of net salary when the corresponding T&A is transmitted to be processed with the next PAYE cycle.
Beneficiary	Recipient(s) of a deceased employee's final payment from the Federal government.
Cost-of-Living Allowance (COLA)	Identification that allows for the adjustment of basic pay that is payable only in selected nonforeign areas (Alaska, Hawaii, Guam/Commonwealth of Northern Mariana Islands, Puerto Rico, U.S. Virgin Islands). COLA Rates are based on living costs in the nonforeign areas relative to living costs in Washington, DC, area.
Delayed Quick Service Request	Document used when an Advance Pay QSR is not applicable.
Direct Deposit/Electronic Funds Transfer (DD/EFT)	Electronic payment from the government to an employee's financial institution.
Discretionary Allotments	Voluntary allotments authorized typically for purposes of paying monthly bills to a designated payee.
NFC Mainframe	Central, secure data processing system.
Payment	Transaction processed in SPPS Mainframe to establish and/or update information in an employee's record. The data is used to compute and/or pay salaries, deductions, leave records, accounting, indebtedness, etc.
Receipt Account Types	Field that indicates the computation and tax treatment of a collection
Recertification	Process for reissuing a check for a Federal employee.

Concept/Item	Description
Remarks	Information regarding a specific transaction.
Table Management	Menu-driven database management system of USDA that provides direct access to table records containing selected data elements from payroll/personnel, financial, and administrative systems.
Voluntary Allotments	Monies taken from an employee's paycheck with his/her consent, typically for purposes of spousal or child support

11.2. Appendix B: Course Acronyms

Acronym	Definition
ABCO	Administrative Billings and Collections System
DD/EFT	Direct Deposit/Electronic Funds Transfer
DOTSE	Document Tracking System External
FLSA	Fair Labor Standards Act
FEGLI	Federal Employee Group Life Insurance
FY	Fiscal Year
HITS	Hospital Insurance Taxes
IRIS	Information/Research Inquiry System
MASC	Management Accounting Structure Codes System
NFC	National Finance Center
OPM	Office of Personnel Management
PAYE	Payroll Processing System
PINQ	Payroll/Personnel Inquiry System
PPS	Payroll/Personnel System
PACT	Personnel Action Processing System
POI	Personnel Office Identifier
QSR	Quick Service Request
SSN	Social Security Number
SPPS	Special Payroll Processing System
SF	Standard Form
TMGT	Table Management



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Acronym	Definition
TSP	Thrift Savings Plan
TINQ	Time - Inquiry Leave Update System
T&A	Time and Attendance
TRVL	Travel
USDA	United States Department of Agriculture

11.3. Appendix C: PINQ Program PQ032

PQ032 is the Payroll-Listing screen. This program is used to research nonreceipt of a salary check. The program displays an employee's current plus previous 25 pay periods of pay data. If none of the fields are populated with information, it indicates that the employee was not paid and a QSR is needed.

```

PQ032 000000000 00 00 PAYROLL-LISTING XX/XX/XX
ENTER SSNO & PPNO - HIT ENTER
NAME AGENCY 00 CD 0
ADDRESS PAY PLAN
GRADE/STEP 00 00
HOURLY RATE .00
BASE SAL .00
DESG AGENT 0000 FLSA COMPRESS WK
PAY PERIOD 00 * * * * D E D U C T I O N S * * * *
SAL RATE CODE RETIREMENT .00 RETIRE PERCENT .0000
HB CODE 0 0 0 LIFE INS .00 OPT INS .00
FEGLI CODE HEALTH INS .00 BOND .00
SCHEDULE NO FED TAX .00 EXTRA FED .00
BLOCK/BATCH 00 000000 STATE1 .00 EXTRA STATE1 .00
CUR BOND REFUND .00 STATE2 .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 .00
TOTAL HOURS .00 OASDI TAX .00 UNION DUES .00
CHAR CONT .00 MEALS .00
COMMISSARY .00 QUARTERS .00
GROSS PAY .00 FIN ORG .00 ADVANCE .00
NET PAY .00 CHILD/SUP & ALIM .00 PERS-TAX-EXEMPT-CD 0
THRIFT SAVINGS .00 PRIVATE-TAX-CD 0
FLEXFUND .00 OTHER DED .00
  
```

11.4. Appendix D: Processing a Delayed QSR

A Delayed QSR is submitted to NFC as an Other – NFC Process adjustment in SPSS Web if an employee has not been paid either in the automated system or manually. The three situations when a Delayed QSR is required are:

1. If an employee is terminated
2. When an intervening pay period has been processed (Pay period prior to last pay period in which the employee was paid through the Payroll Computation System), this can be verified on PQ032
3. If an employee is transferring from one Agency to another Agency on the same database and the employee is still active with the previous Agency

For more information on where to send the Delayed QSR request, visit the Contact Center page at: https://www.nfc.usda.gov/Contact_Us/Help_Desks/CHD/qsr.html.

The information below should be copied into the **Remarks** field of the Other – NFC Process adjustment in the following line-by-line order:

Step	Action
1.	Enter "QSR" to indicate that a request is being made for quick service.
2.	Enter the employee's name and social security number: adding "C" if employee is currently being paid by NFC or "N" for a new employee if never paid in the system.
3.	State the reason for the QSR, i.e., terminated employee, etc.
4.	Enter the T&A contact point code, accounting station code, and submitting office number.
5.	Enter the employee's Federal grade, step, and salary rate. If a wage board employee, indicate applicable shift rates. Enter the COLA Code with percentage rate and post differential with percentage rate, if applicable.
6.	Enter the pay period to be paid.
7.	Indicate whether an employee is covered by Fair Labor Standards Act (FLSA). Enter "N" for non-exempt or "E" for exempt.
8.	Enter the total hours to be paid per transaction code (If the QSR is for a wage



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Step	Action
	board employee provide Shift Suffix Codes for differential pay).
9.	Enter the tax withholding data, with federal data given first, followed by state, state code, then city data with name of the city or city code.
10.	Enter the other deductions, such as Federal Employees Group Life Insurance (FEGLI) Code. If the employee has Additional or Family FEGLI insurance plans provide the employee's date of birth, type of retirement, Federal Employees Health Benefits Code, Financial Organization route and account numbers, Meals, Quarters, Commissary, TSP.
11.	Enter the accounting code to be charged.
12.	Enter the check mailing address. This does not have to match the AD-349 in the database.
13.	Enter the name, title, Agency, and signature of the official authorized to complete the QSRs
14.	Enter the name and telephone number of Agency representative who can answer questions regarding the request

Agencies should submit separate Delayed QSRs for each payment. Conflicting data in the employee's master file or on the T&A are disregarded.

Below is an example of a completed Delayed QSR.

1. QSR
2. JOHN DOE, SSN 123-45-6789, "C"
3. TERMINATED EMPLOYEE
4. 90-02-2360-03, 1003, 5194
5. WG-10, STEP 5, Shift Suffix 1, \$14.40 PH
6. PP11
7. E
8. 30 hrs TC-01, 8 hrs TC-66, 2 hrs TC-61
9. M01-M01 AK
10. FEGLI-C, DOB 4/23/51, CS-1, FEHB-102
11. TC-01 - 802-960-01-40-7022
TC-61 - 802-071-06-40-7026
TC-66 - 827-00-011-614-00-1297
12. P. O. BOX 819, JUNEAU, AK 99835
13. MARY SMITHE, PERSONNEL SPECIALIST, AGENCY 90 (SIGNATURE
REQUIRED)
14. 555-586-2290, EXT 9, SUE BENNETT, SITKA, AK



NOTE: Delayed QSRs are processed in SPPS Web by NFC as Other- NFC Process adjustments. For more information regarding processing Other – NFC Process adjustments, please refer to the SPPS Web Procedure Manual.

11.5. Appendix E: Additional Notes on Quick Service Requests

1. SPPS Mainframe automatically calculates 70% of 80 hours of base salary, rounded down to the nearest \$25.00 increment, leaving the 30% for deductions.
2. SPPS Mainframe can disburse more than 70% of 80 hours of base salary by overriding the system, such as for overtime. Agency calculates 70% of the gross rounded down to the nearest \$25.00 increment and keys that amount in the **NET PAY AMOUNT** field. Enter Y in the **BASE SALARY OVERRIDE** field.
3. SPPS Mainframe transactions are disbursed on the manual pay schedule which runs Monday – Friday, excluding holidays, at 11:00 AM CST.
4. SPPS Mainframe automatically establishes a receipt account for the amount that is disbursed through QSR - SPPS Mainframe. Check IR114 to be sure the receipt account was established. The receipt account deducts from the next T&A that is processed at NFC. If the T&A for the QSR is not transmitted, the receipt account deducts from the net of the current T&A.
5. Transmit the T&A for the pay period of the QSR along with the current pay period's T&A to assure that the receipt account deducts from the appropriate pay period.
6. The T&A for the QSR processes on PQ032 the next process of PAYE along with the current T&A. It processes gross to net, deducting all of the employee's deductions as it would normally do and then deduct the receipt account from the net amount.
7. If the net amount of the QSR T&A is greater than the receipt account, the employee receives the remainder of the net of the QSR T&A along with the current T&A.
8. If the net amount of the QSR T&A is less than the receipt account the balance of the receipt account deducts from the net amount of the current T&A.



11.6. Appendix F: SPPS Mainframe Indebtedness Processing Tips

1. This system is used for separating employees only who are indebted to their Agency for a debt that is NOT already recorded in ABCO.
2. A separating employee's final compensation (T&A, lump sum, comp time, cash award, etc) can be used to offset the debt that is NOT already recorded in ABCO.
3. To use this system, there must be final compensation (positive net monies) to be captured in this system (T&A, lump sum, comp time, cash award, etc.).
4. If no final compensation is available at the time of separation, an SPPS Web request must be sent to NFC to establish a bill.
5. If it's determined by the Agency that the employee is NOT indebted and monies have been captured in this system, the Agency can release the funds to be disbursed to the employee.
6. Before certifying, check to be sure the employee isn't coded as owing advanced leave. Choose Option 2, ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS, choose Option 3, ADVANCED LEAVE. There is a field **HAS ALL ADVANCED LEAVE BEEN FORGIVEN?** this must be an "N" (No) in order for this to be certified and released.
7. Choose Option 4, PAYMENT CERTIFICATION to certify the payment.

11.7. Appendix G: Entries for *RELATIONSHIP TO DECEASED* Field

Below is a list of acceptable entries for the *RELATIONSHIP TO DECEASED* field:

- Husb (husband)
- Wif (Wife)
- Fath (Father)
- Mot (Mother)
- Sis (Sister)
- Bro (Brother)
- Aunt (Aunt)
- Uncl (Uncle)
- Neph (Nephew)
- Niec (Niece)
- Grandchil (Grandchild)
- Grandpar (Grandparent)
- Son (Son)
- Daug (Daughter)
- Other

11.8. Appendix H: SPPS Mainframe Death Case Processing Tips

1. This system is used to issue final compensation such as the final T&A, lump sum, comp time and/or cash award to beneficiary(ies). If no final compensation is due, this system is not utilized.
2. To hold one or more beneficiary's share and disburse the others:
 - All the beneficiaries must be recorded in SPP.
 - If a beneficiary's information is unknown, placeholder information must be recorded in order to hold their share. It can be changed at a later date
3. If there is an SF-1152 on file, you must enter the percentage from the SF-1152 in the **DESIGNATED SHARE (PERCENT)** field on the **BENEFICIARY CLAIMANT INFORMATION** screen (Option 2).
4. If no SF-1152 is on file, do NOT enter a percentage in the **DESIGNATED SHARE (PERCENT)** field on the **BENEFICIARY CLAIMANT INFORMATION** screen (Option 2). If you leave this field blank, the system divides the funds equally amongst the beneficiaries.
5. If the Agency cannot determine the beneficiary, call NFC and the Certification and Disbursement Section can make the determination.
6. As stated on the SF-1152, "If more than one beneficiary is named, the share for any deceased beneficiary who may predecease me shall be distributed equally among the surviving beneficiaries, or entirely to the survivor. I understand that this Designation of Beneficiary shall be void if none of the designated beneficiaries is living at the time of my death."