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:

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Welcome</td>
<td>15 Minutes</td>
</tr>
<tr>
<td>Course Information</td>
<td>15 Minutes</td>
</tr>
<tr>
<td>SPPS Mainframe Overview</td>
<td>15 Minutes</td>
</tr>
<tr>
<td>SPPS Mainframe Navigation</td>
<td>15 Minutes</td>
</tr>
<tr>
<td>Processing Quick Service Request</td>
<td>35 Minutes</td>
</tr>
<tr>
<td>Processing Indebtedness for Separated Employees</td>
<td>35 Minutes</td>
</tr>
<tr>
<td>Processing Death Cases</td>
<td>35 Minutes</td>
</tr>
</tbody>
</table>

---

**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.


<table>
<thead>
<tr>
<th>Chapter</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Document Tracking System External Overview</td>
<td>15 Minutes</td>
</tr>
<tr>
<td>Document Tracking System External Navigation</td>
<td>15 Minutes</td>
</tr>
<tr>
<td>Recertifying Direct Deposit and Paper Checks</td>
<td>30 Minutes</td>
</tr>
<tr>
<td>Generating Reports</td>
<td>10 Minutes</td>
</tr>
<tr>
<td>Course Summary</td>
<td>20 Minutes</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Icon</th>
<th>Meaning or Use</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image" alt="Stop" /></td>
<td><strong>CAUTION</strong>: Advises users that failure to take or avoid a specified action could result in loss of data.</td>
</tr>
<tr>
<td><img src="image" alt="Pencil" /></td>
<td><strong>IMPORTANT</strong>: 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.</td>
</tr>
<tr>
<td><img src="image" alt="Pen" /></td>
<td><strong>NOTE</strong>: Emphasizes or supplements important parts of the main text. A note supplies information that may apply only in special cases.</td>
</tr>
<tr>
<td><img src="image" alt="Lightbulb" /></td>
<td><strong>TIP</strong>: 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.</td>
</tr>
</tbody>
</table>

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.
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
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
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
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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>On your computer’s desktop, open your Agencies’ network connection. The <strong>U.S. Government Computer Warning</strong> screen displays.</td>
</tr>
<tr>
<td></td>
<td><img src="image" alt="U.S. Government Computer Warning Screen" /></td>
</tr>
</tbody>
</table>
| 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.
Figure 2: NFC Banner Screen

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.</td>
<td>Enter your User ID in the <strong>ENTER USER ID</strong> field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter your password in the <strong>PASSWORD</strong> field.</td>
</tr>
<tr>
<td>5.</td>
<td>Enter “SPPS” in the <strong>ENTER APPLICATION NAME</strong> field.</td>
</tr>
<tr>
<td>6.</td>
<td>Press Enter. The <strong>SPPS Banner</strong> screen displays.</td>
</tr>
</tbody>
</table>
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.
In the procedure below, you learn how to access the SPPS **MAIN MENU SCREEN** options.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Enter the option number in the <strong>SELECT (1-3)</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press <strong>Enter</strong>. The menu for the option selected displays.</td>
</tr>
</tbody>
</table>

**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.

**NOTE:** If you are using a laptop, the keys may be configured differently.
<table>
<thead>
<tr>
<th>Key</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>F1</td>
<td>Press to return to the SPPS <strong>MAIN MENU SCREEN</strong>.</td>
</tr>
<tr>
<td>F5</td>
<td>Press to display additional help.</td>
</tr>
<tr>
<td>Clear</td>
<td>Press to exit the system.</td>
</tr>
<tr>
<td>Enter</td>
<td>Press to enter data into the system.</td>
</tr>
<tr>
<td>Tab</td>
<td>Press to move the cursor from field to field.</td>
</tr>
</tbody>
</table>

**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
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
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

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\(^1\) 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.
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 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

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

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. 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).

<table>
<thead>
<tr>
<th>Monday</th>
<th>Tuesday</th>
<th>Wednesday</th>
<th>Thursday</th>
<th>Friday</th>
</tr>
</thead>
<tbody>
<tr>
<td>Payment information visible in IRIS and PINQ</td>
<td></td>
<td></td>
<td>Payday</td>
<td></td>
</tr>
</tbody>
</table>

*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.

---

4 More information on IRIS and PINQ can be found in the systems’ procedure manuals.
Figure 6: SPPS MAIN MENU SCREEN

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the SPPS <strong>MAIN MENU SCREEN</strong>, enter “1” in the <strong>SELECT (1-3)</strong> field. The <strong>QSR MENU SCREEN</strong> displays.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter</td>
</tr>
</tbody>
</table>

Comment [NFC34]:
Show Slide 33: **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.
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.</td>
<td>Enter the employee’s social security number in the <strong>SSNO</strong> field.</td>
</tr>
<tr>
<td>6.</td>
<td>Enter the employee’s Agency Code in the <strong>AGCY</strong> field.</td>
</tr>
<tr>
<td>7.</td>
<td>Enter the employee’s Personnel Office Identifier (POI) in the <strong>POI</strong> field.</td>
</tr>
<tr>
<td>8.</td>
<td>Enter the pay period that the QSR covers in the <strong>PAY PERIOD NO</strong> field.</td>
</tr>
<tr>
<td>9.</td>
<td>Enter the year that the QSR covers in the <strong>PAY PERIOD YR</strong> field.</td>
</tr>
<tr>
<td>10.</td>
<td>Press <strong>Enter</strong>.</td>
</tr>
<tr>
<td><strong>Tip:</strong></td>
<td>If the employee is currently in the database, you do not need to populate the name fields.</td>
</tr>
<tr>
<td>11.</td>
<td>Enter the employee’s last name in the <strong>LAST</strong> field.</td>
</tr>
<tr>
<td>12.</td>
<td>Enter the employee’s first name in the <strong>FIRST</strong> field.</td>
</tr>
<tr>
<td>13.</td>
<td>Enter the employee’s middle name in the <strong>MIDDLE</strong> field.</td>
</tr>
</tbody>
</table>

**Figure 8: NEW REQUEST Screen**

Comment [n36]: Slide 34
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 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 **REVALIDATE SOCIAL SECURITY** 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.

---

![Figure 9: PAY/CONTACT INFORMATION Screen](image-url)
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 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. |
<p>| 22.  | Enter the T&amp;A contact point’s Agency in the <strong>AGENCY</strong> field. |</p>
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>23.</td>
<td>Enter the T&amp;A contact point’s state in the <strong>STATE</strong> field.</td>
</tr>
<tr>
<td>24.</td>
<td>Enter the T&amp;A contact point’s city in the <strong>CITY</strong> field.</td>
</tr>
<tr>
<td>25.</td>
<td>Enter the T&amp;A contact point’s unit code in the <strong>UNIT</strong> field.</td>
</tr>
<tr>
<td>26.</td>
<td>Enter the T&amp;A contact point’s timekeeper code in the <strong>TIMEKEEPER</strong> field.</td>
</tr>
<tr>
<td>27.</td>
<td>Enter the QSR contact person’s last name in the <strong>LAST</strong> field.</td>
</tr>
<tr>
<td>28.</td>
<td>Enter the QSR contact person’s first name in the <strong>FIRST</strong> field.</td>
</tr>
<tr>
<td><strong>NOTE:</strong></td>
<td>The contact person is designated in the Table Management (TMGT) Table 063, (Department/Agency/Bureau Contact) Contact Type 04 – Quick Service Request, as the principal contact authorized to process QSRs.</td>
</tr>
<tr>
<td>29.</td>
<td>Enter the QSR contact person’s area code in the <strong>AREA CODE</strong> field.</td>
</tr>
<tr>
<td>30.</td>
<td>Enter the QSR contact person’s phone number in the <strong>NUMBER</strong> field.</td>
</tr>
<tr>
<td>31.</td>
<td>Enter “Y” (Yes) in the <strong>PAYROLL/PERSONNEL database CHECK ADDRESS</strong> field or <strong>SPECIFIED ADDRESS</strong> field. <strong>NOTE:</strong> If “Y” is entered in the <strong>PAYROLL PERSONNEL DATA BASE CHECK ADDRESS</strong> field, the specified address fields on the <strong>CHECK MAILING INFORMATION</strong> screen auto-populate. If “Y” is entered for the <strong>SPECIFIED ADDRESS</strong> field, complete the specified address fields on the <strong>CHECK MAILING INFORMATION</strong> screen. If an employee’s social security number is not on the Payroll/Personnel database, the <strong>PAYROLL/PERSONNEL DATA BASE CHECK ADDRESS</strong> field is unavailable, and a “Y” (Yes) is system generated in the <strong>SPECIFIED ADDRESS</strong> field.</td>
</tr>
<tr>
<td>32.</td>
<td>Press Enter. The <strong>CHECK MAILING INFORMATION</strong> screen displays.</td>
</tr>
</tbody>
</table>

---

5 Table Management (TMGT) Table 063, Contacts.
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.

**TIP:** You can either send the payment to a mailing address, a designated agent, or a bank account number. The bank deposit fields cannot be changed unless NFC is contacted.

37. Press **Enter**. The record is stored in the system.
History Inquiry

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.

Figure 11: QSR MENU SCREEN

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the QSR MENU SCREEN, enter “2” in the SELECT OPTION (1-3) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The HISTORY INQUIRY SCREEN 1 OF 3 displays.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s social security number in the SSNO field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter the pay period that the QSR covers in the PAY PERIOD NO field.</td>
</tr>
<tr>
<td>5.</td>
<td>Enter the year that the QSR covers in the PAY PERIOD YR field.</td>
</tr>
<tr>
<td>Step</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
</tbody>
</table>
| 6.   | Press **Enter**. The **HISTORY INQUIRY SCREEN 2 OF 3** displays.  
**NOTE:** The **HISTORY INQUIRY SCREEN 2 OF 3** is a view only screen that displays the payment information for the QSR. |
| 7.   | Press **Enter**. The **HISTORY INQUIRY SCREEN 3 OF 3** displays.  
**NOTE:** The **HISTORY INQUIRY SCREEN 3 OF 3** is a view only screen that displays the forwarding location of the employee’s salary payment. |
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 PQ032
   - 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.

---

5 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
5.2. Introduction to Indebtedness for Separated Employees

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:

- 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.

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

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

**NOTE:** You should transmit T&A, lump sum, and cash award payments as normal.

The message MONIES WITHHELD DUE TO EMPLOYEE INDEBTEDNESS OF EMPLOYEE CONTACT PERSONNEL OFFICE displays on PQ032. The net amount is maintained in SPPS Mainframe.

Refer to the Contact Center page at: [https://www.nfc.usda.gov/Contact_Us/Help_Desk/CHD/CHD_home.html](https://www.nfc.usda.gov/Contact_Us/Help_Desk/CHD/CHD_home.html), for whom to contact for the indebted employee.

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.

**NOTE:** Tax credits are given for Federal, state, social security, Medicare, and retirement taxes.

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.

**TIP:** If the Agency determines no indebtedness exists after PAYE has run, the funds can be released to the employee with no collection.
The below figure outlines what processes take place in SPPS Mainframe, SPPS Web, and ABCO.

**SPPS Mainframe**
- Establishes indebtedness record for separated employees
- Adds debts not already recorded in ABCO or SPPS Mainframe
- Adds additional remarks
- Certifies the final payment

**SPPS Web**
- Submits Other - NFC Process adjustment to NFC, regarding tax credits for outstanding leave
- Submits Other - NFC Process adjustment, if no final compensation is available, to generate a bill

**ABCO**
- Sends the intent to collect the debt, if the result of the transaction in SPPS Mainframe results in a negative amount

*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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the SPPS MAIN MENU SCREEN, enter &quot;2&quot; in the SELECT (1-3) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The FILE CONTROL INFORMATION screen displays.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s social security number in the SSNO field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter the employee’s Agency Code in the AGCY field.</td>
</tr>
<tr>
<td>5.</td>
<td>Enter the employee’s personnel office identifier in the POI field.</td>
</tr>
<tr>
<td>6.</td>
<td>Press Enter. The INDEBTEDNESS MENU displays.</td>
</tr>
</tbody>
</table>

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.
Step | Action
---|---
7. | Enter “1” in the **SELECT OPTION (1-8)** field.
8. | Press Enter. The **ESTABLISH/DELETE INDEBTEDNESS** screen displays.
**Figure 17: ESTABLISH/DELETE INDEBTEDNESS Screen**

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TIP:</strong></td>
<td>The <strong>SSNO, AGENCY, LAST, FIRST, MIDDLE</strong>, and <strong>DATE RECORD ESTABLISHED</strong> fields are auto-populated on the <strong>ESTABLISH/DELETE INDEBTEDNESS</strong> screen.</td>
</tr>
<tr>
<td>9.</td>
<td>Enter the employee’s date of separation in the <strong>SEPARATION DATE</strong> field. <strong>NOTE:</strong> 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 <strong>SEPARATION DATE</strong> field reflects the date entered on the personnel action. The date from the personnel action overrides any data entered in this field.</td>
</tr>
<tr>
<td><strong>TIP:</strong></td>
<td>Enter “A” (Add) in the <strong>FUNCTION CODE</strong> field to add an indebtedness record.</td>
</tr>
<tr>
<td>10.</td>
<td>Enter “A” (Add) in the <strong>FUNCTION CODE</strong> field to add an indebtedness record. <strong>TIP:</strong> 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.</td>
</tr>
<tr>
<td>11.</td>
<td>Enter “Y” (Yes) or “N” (No) in the <strong>DOES EMPLOYEE HAVE ANY OUTSTANDING ADVANCED LEAVE</strong> field.</td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the <strong>INDEBTEDNESS MENU</strong>, enter “2” in the <strong>SELECT OPTION (1-8)</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press <strong>Enter</strong>. The <strong>ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS</strong> menu displays.</td>
</tr>
</tbody>
</table>
Figure 18: ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS Menu

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.</td>
<td>Enter “1” in the <strong>SELECT OPTION (1-3)</strong> field.</td>
</tr>
<tr>
<td>4.</td>
<td>Press <strong>Enter</strong>. The <strong>EMPLOYEE INDEBTEDNESS UPDATE</strong> screen displays.</td>
</tr>
</tbody>
</table>
Figure 19: EMPLOYEE INDEBTEDNESS UPDATE Screen

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 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. |
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.
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.

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

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the <strong>INDEBTEDNESS MENU</strong>, enter “2” in the <strong>SELECT OPTION (1-8)</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The <strong>ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS MENU</strong> displays.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter “3” in the <strong>SELECT OPTION (1-3)</strong> field.</td>
</tr>
<tr>
<td>4.</td>
<td>Press Enter. The <strong>ADVANCED LEAVE</strong> screen displays.</td>
</tr>
</tbody>
</table>

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

Comment [NFC59]:
Show Slide 55:
**ADVANCED LEAVE** screen.
Figure 21: ADVANCED LEAVE Screen

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 5.   | Enter “A” (Add) in the **FUNC CODE** field next to the appropriate leave type.  
  **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. |
| 6.   | Enter the hours of advanced leave in the **HOURS** field next to the appropriate leave type.  
  **TIP:** Enter the leave using whole and quarter hours (i.e. 3.25). |
| 7.   | Enter the rate in the **RATE** field next to the appropriate type of leave.  
  **TIP:** Enter the rate using a decimal point to separate the dollars and cents (i.e. 20.25). |
### Step | Action
--- | ---
1 | NOTE: The AMOUNT and TOTAL SICK LEAVE fields are system generated based on the following criteria:
- 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 | Enter the accounting code in the ACCOUNTING 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. The TOTAL ADVANCED LEAVE field indicates the total amount owed.
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 TINQ Program 01, ANNUAL & SICK LEAVE.

**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 TINQ.

---

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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the <strong>INDEBTEDNESS MENU</strong>, enter “2” in the <strong>SELECT OPTION (1-8)</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press <strong>Enter</strong>. The <strong>ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS</strong> <strong>MENU</strong> displays.</td>
</tr>
</tbody>
</table>

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

Comment [NFC60]:

Show Slide 56: **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.

**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.

Figure 23: **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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the INDEBTEDNESS MENU, enter “3” in the SELECT OPTION (1-8) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The PENDING DISBURSEMENT screen displays.</td>
</tr>
</tbody>
</table>

Figure 24: PENDING DISBURSEMENT Screen
The following fields display on the *PENDING DISBURSEMENT* screen.

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PAY PERIOD NO/YR</td>
<td>The pay period and year of the pending disbursement.</td>
</tr>
<tr>
<td>TYPE PAYMENT</td>
<td>The following are the types of payments made to employees:</td>
</tr>
<tr>
<td></td>
<td>- 01 - Regular T&amp;A</td>
</tr>
<tr>
<td></td>
<td>- 02 - Adjustment</td>
</tr>
<tr>
<td></td>
<td>- 03 - NFC-29 (Live Payment)</td>
</tr>
<tr>
<td></td>
<td>- 04 - Lump Sum Payment</td>
</tr>
<tr>
<td></td>
<td>- 05 - Compensatory Payment</td>
</tr>
<tr>
<td></td>
<td>- 06 - Cash Award</td>
</tr>
<tr>
<td></td>
<td>- 07 - NFC-29 (Manual Payment)</td>
</tr>
<tr>
<td></td>
<td>- 11 - Severance Payment</td>
</tr>
<tr>
<td>AMOUNT</td>
<td>The amount due to the employee.</td>
</tr>
<tr>
<td>TOTAL MONIES</td>
<td>The total amount of money to be disbursed before adjusting the indebtedness.</td>
</tr>
<tr>
<td>EMPLOYEE INDEBTEDNESS</td>
<td>The total amount of indebtedness recorded in SPPS Mainframe and ABCO.</td>
</tr>
<tr>
<td>TOTAL</td>
<td>The total amount of money after adjusting the employee’s indebtedness.</td>
</tr>
<tr>
<td>TAX CREDIT AMOUNT</td>
<td>The employee’s tax credit amount for advanced leave that has not been forgiven.</td>
</tr>
<tr>
<td>TOTAL MONIES TO BE DISBURSED</td>
<td>The total amount of money to be disbursed to an employee after factoring in remaining debts.</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the INDEBTEDNESS MENU, enter “5” in the SELECT OPTION (1-8) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The CHECK MAILING INFORMATION screen displays.</td>
</tr>
</tbody>
</table>

![Figure 25: CHECK MAILING INFORMATION Screen](image-url)
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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the <strong>INDEBTEDNESS MENU</strong>, enter “6” in the <strong>SELECT OPTION (1-8)</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The <strong>REMARKS</strong> screen displays.</td>
</tr>
</tbody>
</table>
**Step** | **Action**  
--- | ---  
3. | Enter any pertinent information for the claim in the field, such as why an employee is being billed or why leave has been forgiven.  
4. | Enter “A” (Add) in the **FUNCTION CODE** field.  
   | **TIP:** Enter “A” if you are adding remarks, “C” to change remarks, or “D” to delete remarks.  
5. | Press **Enter**. The information is recorded.
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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the INDEBTEDNESS MENU, enter “4” in the SELECT OPTION (1-8) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The PAYMENT CERTIFICATION screen displays.</td>
</tr>
</tbody>
</table>

Comment [n68]: Slide 61

Comment [NFC69]: PAYMENT INQUIRY screen.
**Figure 27: PAYMENT CERTIFICATION Screen**

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 3.   | Enter “Y” (Yes) or “N” (No) in the **HAVE ALL APPLICABLE DEBTS BEEN RECORDED IN SPPS?**  
      **CAUTION:** The payment cannot be released until “Y” (Yes) is entered. |
| 4.   | Enter “Y” (Yes) or “N” (No) in the **HAVE ALL PAYMENT DOCUMENTS BEEN PROCESSED?**  
      **CAUTION:** The payment cannot be released until “Y” (Yes) is entered. |
| 5.   | Enter “Y” (Yes) or “N” (No) in the **RELEASE PAYMENT** field.  
      **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.  
      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. |
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 6.   | Enter the function code in the **FUNCTION CODE** field.  

**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.  

**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.  

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.  

**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. |
| 7.   | Press **Enter**. The message **DISBURSEMENT RECORD STORED** displays in the bottom left of the screen. |
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 to review details of a payment made to a separated employee.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the INDEBTEDNESS MENU, enter “7” in the SELECT OPTION (1-8) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The PAYMENT INQUIRY screen displays.</td>
</tr>
</tbody>
</table>

NOTE: The PAYMENT INQUIRY screen is a view only screen.

Figure 28: PAYMENT INQUIRY 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
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**
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.
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

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
- Describe 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_Desk/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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the SPPS MAIN MENU SCREEN, enter “3” in the SELECT (1-3) field.</td>
</tr>
</tbody>
</table>
2. Press Enter. The **FILE CONTROL INFORMATION** screen displays.

![FILE CONTROL INFORMATION Screen](image)

**Enter SSNO, AGENCY and POI and press enter key.**

**ENTER-PROCESS PFI-MAIN MENU PFS-HELP PFI2-RESET CLEAR-EXIT**

Figure 31: **FILE CONTROL INFORMATION Screen**

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.
7. Enter “1” in the SELECT OPTION (1-7) field.

8. Press Enter. The ESTABLISH/DELETE DEATH CASE screen displays.
** TIP: ** The SSNO, LAST, FIRST, MIDDLE, and SEPARATION DATE fields are auto-populated on this screen. The separation date should be generated from the death action. If there is no death action, enter the employee's date of death. The date entered and the date on the personnel record must be the same.

9. Enter "A" (Add) in the FUNCTION CODE field.

** TIP: ** Enter “A” if you are adding a death case, or “D” to delete an erroneous one. Records can only be deleted, by the Agency, if they have not been submitted for disbursement.

10. Press Enter. The death case is established.
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).

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

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

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DEATH CASE MENU, enter “2” in the SELECT OPTION (1-7) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The BENEFICIARY CLAIMANT INFORMATION SCREEN 1 OF 2 screen displays.</td>
</tr>
</tbody>
</table>

![Figure 34: BENEFICIARY CLAIMANT INFORMATION SCREEN 1 of 2](Slide 74)
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 3.   | Enter “Y” (Yes) or “N” (No) in the **SF DOCUMENT – FORM NO: 1152 – COMPLETED AND ON FILE** field.  
**NOTE:** SF – 1152 is an optional form which can be completed when an employee is first hired. It designates specific beneficiaries for the employee. |
| 4.   | Enter “Y” (Yes) or “N” (No) in the **1153/1155 RECEIVED, SIGNED & WITNESSED** field.  
**CAUTION:** There must be a completed SF-1153 or SF-1155 submitted for all beneficiary(ies). |
| 5.   | Enter the date the form was signed and witnessed in the **DATE SIGNED (MM DD YY)** field.  
**CAUTION:** Payments cannot be disbursed to the beneficiary(ies) if this field is not completed. |
| 6.   | Enter “Y” (Yes) or “N” (No) in the **MINOR** field to indicate if the beneficiary is under the age of 18. |
| 7.   | 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.  
**NOTE:** If there is no SF-1152 on file for this beneficiary, leave this field blank. |
| 8.   | Enter the beneficiary’s social security number in the **SSNO** field. |
| 9.   | Enter the beneficiary’s age in the **AGE** field if they are a minor. |
| 10.  | Enter the beneficiary’s relationship to the deceased employee in the **RELATIONSHIP TO DECEASED** field.  
**NOTE:** If the employee’s estate is administered by the state of domicile, enter “Other-State” in the **RELATIONSHIP TO DECEASED** field. |

---

9 Refer to Appendix G: Entries for **RELATIONSHIP TO DECEASED** Field for a list of acceptable entries for the **RELATIONSHIP TO DECEASED** field.
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 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 LEGAL 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. |
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>19.</td>
<td>Press Enter. <strong>BENEFICIARY CLAIMANT INFORMATION SCREEN 2 OF 2</strong> displays.</td>
</tr>
</tbody>
</table>

Figure 35: **BENEFICIARY CLAIMANT INFORMATION SCREEN 2 of 2**

**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)).

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>20.</td>
<td>Enter the deceased employee’s name followed by “(dec)” in the <strong>STREET ADDRESS 1</strong> field.</td>
</tr>
<tr>
<td>21.</td>
<td>Enter the beneficiary’s street address in the <strong>STREET ADDRESS 2</strong> field.</td>
</tr>
<tr>
<td>22.</td>
<td>Enter the beneficiary’s city in the <strong>CITY</strong> field.</td>
</tr>
<tr>
<td>23.</td>
<td>Enter the beneficiary’s state in the <strong>STATE</strong> field.</td>
</tr>
<tr>
<td>24.</td>
<td>Enter the beneficiary’s zip code in the <strong>ZIP CODE</strong> field.</td>
</tr>
<tr>
<td>25.</td>
<td>Press Enter.</td>
</tr>
</tbody>
</table>
### Step Action

**NOTE:** The **DESIGNATED AGENT CODE, TYPE OF ACCOUNT, ACCOUNT NUMBER, and ROUTING NUMBER** 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.
Figure 36: ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS Menu

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.</td>
<td>Enter “1” in the SELECT OPTION (1-2) field.</td>
</tr>
<tr>
<td>4.</td>
<td>Press Enter. The EMPLOYEE INDEBTEDNESS UPDATE screen displays.</td>
</tr>
</tbody>
</table>

Comment [NFC92]:

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

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the <strong>DEATH CASE MENU</strong>, enter “3” in the SELECT OPTION (1-7) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The <strong>ADJUSTMENT DUE TO EMPLOYEE INDEBTEDNESS</strong> menu displays.</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the <strong>DEATH CASE MENU</strong>, enter “6” in the <strong>SELECT OPTION (1-7)</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td><strong>Press Enter.</strong> The <strong>REMARKS</strong> screen displays.</td>
</tr>
</tbody>
</table>

**NOTE:** The **REMARKS** screen is an optional screen.

**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.

---

**Figure 40: REMARKS Screen**

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

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DEATH CASE MENU, enter “4” in the SELECT OPTION (1-7) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The ORDER OF PRECEDENCE IN ACCORDANCE WITH SUSC5582 (B) screen displays.</td>
</tr>
</tbody>
</table>
Enter “Y” (Yes) in front of the appropriate beneficiary, only one beneficiary can be selected.

**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 SUSC5582:

- **DESIGNATED BENEFICIARY(IES)** – If there is a SF-1152 in the employee’s file
- **WIDOW 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
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.</td>
<td>Enter “Y” (Yes) or “N” (No) in the <strong>LEGAL GUARDIANSHIP PAPERS, IF OTHER THAN PARENT</strong> field, if “Y” (Yes) is entered in the <strong>CHILD OR CHILDREN</strong> field.</td>
</tr>
<tr>
<td>5.</td>
<td>Enter “Y” (Yes) or “N” (No) in the <strong>LETTER OF INTENT FROM OTHER PARENT OR GUARDIAN</strong> field, if “Y” (Yes) is entered in the <strong>CHILD OR CHILDREN</strong> field.</td>
</tr>
<tr>
<td>6.</td>
<td>Enter “Y” (Yes) or “N” (No) in the <strong>COMPLETED SF-1153 FORM FROM GUARDIAN</strong> field, if “Y” (Yes) is entered in the <strong>CHILD OR CHILDREN</strong> field.</td>
</tr>
<tr>
<td>7.</td>
<td>Enter “Y” (Yes) or “N” in the <strong>COURT DOCUMENTS OF THE APPOINTMENT</strong> field, if “Y” is entered in the <strong>EXECUTOR OR ADMINISTRATOR OF THE ESTATE</strong> field.</td>
</tr>
</tbody>
</table>
| 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. |
NOTE: The **AUTHORIZATION** screen is used to authorize the calculation and distribution of payments to approved beneficiaries. It must be completed to release payments.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>10.</td>
<td>Enter the employee’s date of death in the <strong>DATE OF DEATH (MM DD YY)</strong> field. <strong>IMPORTANT:</strong> The date of death must agree with the personnel action.</td>
</tr>
<tr>
<td>11.</td>
<td>Enter the employee’s marital status in the <strong>MARITAL STATUS</strong> field. <strong>TIP:</strong> 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.</td>
</tr>
<tr>
<td>12.</td>
<td>Enter “Y” (Yes) or “N” (No) in the <strong>HAVE ALL APPLICABLE DEBTS BEEN RECORDED IN SPPS?</strong> field. <strong>NOTE:</strong> If “N” (No) is entered you must wait until all debts have been recorded before disbursement is possible.</td>
</tr>
<tr>
<td>Step</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
</tbody>
</table>
| 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. |
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.
### TIP:
The **PAY PERIOD NO/YR** field indicates the pay period number and year for the payment being processed.

The **TYPE PAYMENT** field indicates the type of payment being distributed. The following are the different types of payments:

- 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

The **AMOUNT** field indicates the net amount distributed.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>19.</td>
<td>Press F4. The <strong>PENDING DISBURSEMENT(S) SCREEN 4 OF 5</strong> displays.</td>
</tr>
<tr>
<td>20.</td>
<td>Press Enter. The summary totals for the payment display.</td>
</tr>
<tr>
<td>Step</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
</tbody>
</table>

NOTE: The **PENDING DISBURSEMENT(S) SCREEN 4 OF 5** is a view only screen, which displays summary totals.
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| **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.  

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.  

The **TAX YEAR** field indicates the year of the employee’s death.  

The **HITS** field indicates the amount to be disbursed as a result of HITS (Hospital Insurance) tax credits.  

The **SOCIAL SECURITY** field indicates the amount to be disbursed as a result of social security tax credits.  

The **EMPLOYEE INDEBTEDNESS** field indicates the total amount of indebtedness recorded in ABCO and SPPS Mainframe.  

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. |

**21.** **Press F10.** The **PENDING DISBURSEMENT(S) BY CLAIMANT** screen displays. |
Figure 45: PENDING DISBURSEMENT(S) BY CLAIMANT SCREEN 5 of 5

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NOTE:</strong> The <strong>PENDING DISBURSEMENT(S) BY CLAIMANT</strong> 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.</td>
<td></td>
</tr>
<tr>
<td><strong>TIP:</strong> Press F7 to view the previous beneficiary and F8 to view the next.</td>
<td></td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DEATH CASE MENU, enter “5” in the SELECT OPTION (1-7) field.</td>
</tr>
<tr>
<td>2.</td>
<td>Press Enter. The PAYMENT INQUIRY SCREEN 1 OF 3 displays.</td>
</tr>
</tbody>
</table>

![PAYMENT INQUIRY SCREEN 1 OF 3](image)

Figure 46: PAYMENT INQUIRY SCREEN 1 OF 3

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>

NOTE: All of the screens within the PAYMENT INQUIRY option are view only.
**Figure 47: PAYMENT INQUIRY SCREEN 2 of 3**

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.</td>
<td>Press F10. The <strong>PAYMENT INQUIRY BY CLAIMANT</strong> screen displays.</td>
</tr>
</tbody>
</table>

**NOTE:** PAYMENT INQUIRY SCREEN 2 OF 3 displays the payments to be disbursed, amount of indebtedness, the amount to be disbursed, disbursements to date, and those payments yet to be disbursed.

**Comment [NFC105]:**
Show Slide 88: **PAYMENT INQUIRY BY CLAIMANT** screen.
NOTE: PAYMENT INQUIRY BY CLAIMANT screen displays disbursement data for each beneficiary.
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](%20)

   - 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
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
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.

<table>
<thead>
<tr>
<th>Hard Copy</th>
<th>DD/EFT</th>
<th>Mixed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Both the original payment and the second check are issued as a paper check.</td>
<td>Both payments are issued as an DD/EFT.</td>
<td>The method of payment for the second check is different than the original.</td>
</tr>
</tbody>
</table>

*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
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
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
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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Press CLEAR, while in another Mainframe application. The message Enter Next Task Code displays.</td>
</tr>
<tr>
<td>2.</td>
<td>Enter “bye” below the message.</td>
</tr>
<tr>
<td>3.</td>
<td>Press Enter. The CL/SUPERSESSION Main Menu displays.</td>
</tr>
</tbody>
</table>

### Step and Action

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.</td>
<td>Enter “s DOTSE” in the <strong>Command</strong> field.</td>
</tr>
<tr>
<td>6.</td>
<td><strong>Press Enter.</strong> The DOTSE <strong>MAIN MENU</strong> displays.</td>
</tr>
</tbody>
</table>

---

**Comment [NFC120]:**

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

---

![DOTSE MAIN MENU](image)

*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.
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.

![DOTSE MAIN MENU](image)

**Figure 52: DOTSE MAIN MENU**

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Enter the employee’s Department Code in the <strong>DEPARTMENT CODE</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td>Enter the employee’s Agency Code in the <strong>AGENCY CODE</strong> field.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s personnel office in the <strong>PERSONNEL OFFICE</strong> field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter the menu option number in the <strong>SELECTION</strong> field.</td>
</tr>
<tr>
<td>5.</td>
<td>Press <strong>Enter</strong>. The screen for the selected option displays.</td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>Key</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>F1</td>
<td>Press to return to the DOTSE <strong>MAIN MENU</strong>.</td>
</tr>
</tbody>
</table>
| 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. |

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

Comment [NFC125]:
Ask students to record their answers to the Knowledge Checks individually.

Comment [NFC126]:
Ask a volunteer to answer the first Knowledge Check.

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

Comment [NFC127]:
Ask a volunteer to answer the second Knowledge Check.

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

Comment [NFC128]:
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 payment
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:

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.

![Figure 54: DOTSE MAIN MENU](Slide 111)

**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 4
Enter “1” in the **SELECTION** field.

### Step 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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.</td>
<td>Enter “1” in the <strong>SELECTION</strong> field.</td>
</tr>
<tr>
<td>5.</td>
<td>Press <strong>Enter</strong>. The <strong>INQUIRY INFORMATION</strong> screen displays with the message <strong>NOT FOUND</strong>, in the top right corner. This is the default message that displays before conducting an inquiry search.</td>
</tr>
</tbody>
</table>

**Figure 55: INQUIRY INFORMATION Screen**

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>Enter the employee’s social security number in the <strong>IDENTIFICATION NUMBER</strong> field, next to the word <strong>PAYE</strong>.</td>
</tr>
</tbody>
</table>
| 7.   | Press **Enter**. If the record does not exist, the message **NOT FOUND** displays in the top right corner. If an inquiry record exists, the established record displays with the message **FOUND** in the top right corner.  

**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**.

You can scroll through the existing records by pressing **F11** (NEXT) and **F10** (PREV) to ensure the recertification has not been processed already.
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.</td>
<td>Press <strong>F2</strong> to update the blank record. The message at the top right corner changes from <strong>NOT FOUND</strong> to <strong>ADD</strong>. This record cannot be deleted once added. Make sure to verify that the correct social security number is entered.</td>
</tr>
<tr>
<td>9.</td>
<td>Enter the employee’s name in the <strong>PAYEE NAME</strong> field.</td>
</tr>
</tbody>
</table>
| 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. |
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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DOTSE Main Menu, enter the employee’s Department Code in the DEPARTMENT CODE field.</td>
</tr>
<tr>
<td>2.</td>
<td>Enter the employee’s Agency Code in the AGENCY CODE field.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s personnel office in the PERSONNEL OFFICE field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter “2” in the SELECTION field.</td>
</tr>
<tr>
<td>5.</td>
<td>Press Enter. The INFORMATION ON FIRST CHECK screen displays.</td>
</tr>
</tbody>
</table>

![Figure 56: INFORMATION ON FIRST CHECK Screen](image)

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

**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.

If the payment was processed manually, the system does not generate the data; these fields must be completed by the Agency.

9. Enter the current date in the **DATE ISSUED** field.  
**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.

10. Enter the amount of the original check in the **CHECK AMOUNT** field.  
**TIP:** Use a decimal to separate dollars and cents (i.e. $1000 is 1000.00).

11. Enter the name of the employee, as it appears in the original payment, in the **NAME** field.

12. Enter the employee’s street address as it appears in the original payment in the **ADDRESS (1)** and **ADDRESS (2)** fields.  
**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).

13. Enter the employee’s city, as it appears in the original payment, in the **CITY** field.

14. Enter the employee’s state, as it appears in the original payment, in the **ST** field.  
**NOTE:** Enter “FF” in the **ST** field if it is a foreign address.
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 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:  
- 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. |
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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DOTSE <strong>MAIN MENU</strong>, enter the employee’s Department Code in the <strong>DEPARTMENT CODE</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td>Enter the employee’s Agency Code in the <strong>AGENCY CODE</strong> field.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s personnel office in the <strong>PERSONNEL OFFICE</strong> field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter “4” in the <strong>SELECTION</strong> field.</td>
</tr>
<tr>
<td>5.</td>
<td>Press Enter. The <strong>SF-1184 UNAVAILABLE CHECK CANCELLATION</strong> screen displays.</td>
</tr>
</tbody>
</table>

![Figure 57: SF-1184 UNAVAILABLE CHECK CANCELLATION Screen](image)

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>Enter the employee’s social security number in the <strong>IDENTIFICATION NUMBER</strong> field, next to the word PAYE.</td>
</tr>
<tr>
<td>7.</td>
<td>Press Enter. The message <strong>FOUND</strong> displays.</td>
</tr>
<tr>
<td>8.</td>
<td>Press <strong>F2</strong> to add an SF-1184 record. The message <strong>ADD</strong> displays in the top right corner of the <strong>SF-1184 UNAVAILABLE CHECK CANCELLATION</strong> screen.</td>
</tr>
<tr>
<td>9.</td>
<td>Enter the employee’s name and full address for the second check in the <strong>NEW ADDRESS</strong> field.</td>
</tr>
</tbody>
</table>
### Step 10
Enter “A” (Recertified) in the **STOP REASON CODES** field.

### Step 11
Press **Enter**. The **SF-1166 – SECOND CHECK** screen displays.

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 to update, or view the information for a replacement payment.

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

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DOTSE <strong>MAIN MENU</strong>, enter the employee’s Department Code in the <strong>DEPARTMENT CODE</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td>Enter the employee’s Agency Code in the <strong>AGENCY CODE</strong> field.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s personnel office in the <strong>PERSONNEL OFFICE</strong> field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter “3” in the <strong>SELECTION</strong> field.</td>
</tr>
<tr>
<td>5.</td>
<td>Press <strong>Enter</strong>. The <strong>SF-1166 – SECOND CHECK</strong> screen displays.</td>
</tr>
<tr>
<td>Step</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
<tr>
<td>6.</td>
<td>Enter the employee’s social security number in the IDENTIFICATION NUMBER field, next to the word PAYE.</td>
</tr>
<tr>
<td>7.</td>
<td>Press Enter. The message FOUND displays.</td>
</tr>
<tr>
<td>8.</td>
<td>Press F2 to add an SF-1166 record. The message ADD displays.</td>
</tr>
<tr>
<td>9.</td>
<td>Enter “P” in the PAYMENT STATUS field. &lt;br&gt;&lt;br&gt;<strong>NOTE:</strong> 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.</td>
</tr>
<tr>
<td>10.</td>
<td>Enter “0” in the CHECK TYPE field. &lt;br&gt;&lt;br&gt;<strong>NOTE:</strong> 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.</td>
</tr>
<tr>
<td>Step</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
<tr>
<td>11.</td>
<td>Enter the employee’s name in the <strong>NAME</strong> field.</td>
</tr>
<tr>
<td>12.</td>
<td>Enter the first line of the employee’s address in the <strong>ADDRESS (1)</strong> field followed by the letters “RE” and the pay period (e.g. RE01).</td>
</tr>
<tr>
<td>13.</td>
<td>Enter the second line of the employee’s address in the <strong>ADDRESS (2)</strong> field.</td>
</tr>
<tr>
<td>14.</td>
<td>Enter the employee’s city in the <strong>CITY</strong> field.</td>
</tr>
<tr>
<td>15.</td>
<td>Enter the employee’s state in the <strong>ST</strong> field. <strong>NOTE:</strong> Enter “FF” in the <strong>ST</strong> field if it is a foreign address.</td>
</tr>
<tr>
<td>16.</td>
<td>Enter the employee’s zip code in the <strong>ZIP CODE</strong> field.</td>
</tr>
<tr>
<td>17.</td>
<td>Press <strong>Enter</strong>.</td>
</tr>
</tbody>
</table>

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:

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

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.

![Figure 60: DOTSE MAIN MENU](image.png)

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DOTSE MAIN MENU, enter the employee’s Department Code in the DEPARTMENT CODE field.</td>
</tr>
<tr>
<td>2.</td>
<td>Enter the employee’s Agency Code in the AGENCY CODE field.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s personnel office in the PERSONNEL OFFICE field.</td>
</tr>
<tr>
<td>Step</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
<tr>
<td>4.</td>
<td>Enter “1” in the <strong>SELECTION</strong> field.</td>
</tr>
<tr>
<td>5.</td>
<td><strong>Press Enter.</strong> The <strong>INQUIRY INFORMATION</strong> screen displays with the message <strong>NOT FOUND</strong>, in the top right corner. This is the default message that displays before conducting an inquiry search.</td>
</tr>
</tbody>
</table>

![INQUIRY INFORMATION Screen](image)

**Figure 61: INQUIRY INFORMATION Screen**

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>Enter the employee’s social security number in the <strong>IDENTIFICATION NUMBER</strong> field, next to the word <strong>PAYE</strong>.</td>
</tr>
</tbody>
</table>
| 7.   | **Press Enter.** If the record does not exist, the message **NOT FOUND** displays in the top right corner.  

**NOTE:** If an inquiry record exists, the established record displays with the message **FOUND** in the top right corner.  
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**.  
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.   | <strong>Press F2</strong> to update the blank record. The message in the top right corner changes from <strong>NOT FOUND</strong> to <strong>ADD</strong>. |</p>
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.</td>
<td>Enter the employee’s name in the <strong>PAYEE NAME</strong> field.</td>
</tr>
</tbody>
</table>
| 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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DOTSE <em>MAIN MENU</em>, enter the employee’s Department Code in the <em>DEPARTMENT CODE</em> field.</td>
</tr>
<tr>
<td>Step</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
<tr>
<td>2.</td>
<td>Enter the employee’s Agency Code in the <strong>AGENCY CODE</strong> field.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s personnel office in the <strong>PERSONNEL OFFICE</strong> field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter “2” in the <strong>SELECTION</strong> field.</td>
</tr>
<tr>
<td>5.</td>
<td>Press <strong>Enter</strong>. The <strong>INFORMATION ON FIRST CHECK</strong> screen displays with the message <strong>NOT FOUND</strong>, in the top right corner.</td>
</tr>
</tbody>
</table>

![Figure 62: INFORMATION ON FIRST CHECK Screen](image)

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>Enter the employee’s social security number in the <strong>IDENTIFICATION NUMBER</strong> field, next to the word PAYE.</td>
</tr>
<tr>
<td>7.</td>
<td>Press <strong>Enter</strong>. If the record is located, the message <strong>FOUND</strong> displays in the top right corner on <strong>INFORMATION ON FIRST CHECK</strong> screen. <strong>NOTE:</strong> If the message <strong>NOT FOUND</strong> displays in the top right corner, begin the recertification process by adding an inquiry.</td>
</tr>
<tr>
<td>8.</td>
<td>Press <strong>F2</strong> to add the first check information. The message <strong>ADD</strong> displays in the top right corner.</td>
</tr>
<tr>
<td>9.</td>
<td>Press <strong>Enter</strong>.</td>
</tr>
<tr>
<td>Step</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
</tbody>
</table>
| 10.  | Enter the current date in the **DATE ISSUED** field.  
**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. |
| 11.  | Enter the amount of the original check in the **CHECK AMOUNT** field.  
**TIP:** Use a decimal to separate dollars and cents (i.e. $1000 is 1000.00) |
| 12.  | Enter the name of the employee, as it appears in the original payment, in the **NAME** field. |
| 13.  | Enter "RT#" followed by the employee’s original routing number in the **ADDRESS (1)** field. |
| 14.  | Enter "ACCT#" followed by the employee’s original account number in the **ADDRESS (2)** field. |
| **NOTE:** The **CHECK SERIES** field is not needed for DD/EFT payments. |
| 15.  | 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.  
**TIP:** If the payment was not processed by the automated system, enter “0310” in the **DISBURSING OFFICE** field. |
Step | Action
--- | ---
16. | 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 EFT.

The elements of the schedule number are as follows:

- 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 an EFT processed in Pay Period 04, 2013, on the first schedule of PAYE for the Department of Homeland Security is, 3HH041-3.

17. | Enter the pay period in the **PAY PERIOD** field.

18. | **Press Enter.** The **SF-1166 – SECOND CHECK** screen displays.

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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DOTSE MAIN MENU, enter the employee’s Department Code in the DEPARTMENT CODE field.</td>
</tr>
<tr>
<td>2.</td>
<td>Enter the employee’s Agency Code in the AGENCY CODE field.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s personnel office in the PERSONNEL OFFICE field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter “3” in the SELECTION field.</td>
</tr>
<tr>
<td>5.</td>
<td>Press Enter. The SF-1166 – SECOND CHECK screen displays with the message NOT FOUND, in the top right corner.</td>
</tr>
</tbody>
</table>

Figure 63: SF-1166 – SECOND CHECK Screen
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>Enter the employee’s social security number in the <strong>IDENTIFICATION NUMBER</strong> field, next to the word PAYE.</td>
</tr>
<tr>
<td>7.</td>
<td>Press <strong>Enter</strong>. The message <strong>FOUND</strong> displays in the top right corner.</td>
</tr>
</tbody>
</table>
| 8.   | Press **F2** to add an SF-1166 record. The message **ADD** displays in the top right corner.  

**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. |
| 9.   | Enter the appropriate check type in the **CHECK TYPE** field.  

**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.  

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.  

| 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 #.  

**NOTE:** No entry is required for **ADDRESS (1)** and **ADDRESS (2)** fields if “9” is entered for **CHECK TYPE**.  

If the account is a savings account, enter “/S” after the account number. |
<p>| 13.  | Enter the employee’s city in the <strong>CITY</strong> field. |</p>
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
</table>
| 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. |

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.

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>From the DOTSE <em>MAIN MENU</em>, enter the employee’s Department Code in the <strong>DEPARTMENT CODE</strong> field.</td>
</tr>
<tr>
<td>2.</td>
<td>Enter the employee’s Agency Code in the <strong>AGENCY CODE</strong> field.</td>
</tr>
<tr>
<td>3.</td>
<td>Enter the employee’s personnel office in the <strong>PERSONNEL OFFICE</strong> field.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter “5” in the <strong>SELECTION</strong> field.</td>
</tr>
<tr>
<td>5.</td>
<td>Press Enter. The <strong>CLAIM OF NON-RECEIPT DD/EFT</strong> screen displays with the message <strong>NOT FOUND</strong>, in the top right corner.</td>
</tr>
</tbody>
</table>

![CLAIM OF NON-RECEIPT DD/EFT Screen](image)

*Figure 64: CLAIM OF NON-RECEIPT DD/EFT Screen*
<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.</td>
<td>Enter the employee’s social security number in the <strong>IDENTIFICATION NUMBER</strong> field, next to the word PAYE.</td>
</tr>
<tr>
<td>7.</td>
<td>Press <strong>Enter</strong>. The message <strong>FOUND</strong> displays in the top right corner.</td>
</tr>
<tr>
<td>8.</td>
<td>Press <strong>F2</strong> to add a Claim of Non-Receipt Record. The message <strong>ADD</strong> displays in the top right corner.</td>
</tr>
<tr>
<td>9.</td>
<td>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 <strong>REMARK/BANK</strong> field.</td>
</tr>
<tr>
<td>10.</td>
<td>Enter the date (MMDDYY) that the claim is sent to NFC’s certification area in the <strong>SENT TO CERT</strong> field.</td>
</tr>
<tr>
<td></td>
<td><strong>IMPORTANT</strong>: NFC contacts the bank to ensure the original payment funds are returned. NFC enters “Y” (Yes) or “N” (No) in the <strong>OK TO RECERTIFY</strong> field and enters additional comments in the <strong>FINAL RESULTS</strong> field.</td>
</tr>
<tr>
<td>11.</td>
<td>Press <strong>Enter</strong>.</td>
</tr>
</tbody>
</table>

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

8. Describe the recertification process.

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 [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

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

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

10.4. **Additional Resources**


For questions about NFC Processing visit the Contact Center page at: [https://www.nfc.usda.gov/Contact_Us/Help_Desk/CHD/CHD_home.html](https://www.nfc.usda.gov/Contact_Us/Help_Desk/CHD/CHD_home.html).


For questions about NFC Processing, visit the Contact Center page at: [https://www.nfc.usda.gov/Contact_Us/Help_Desk/CHD/CHD_home.html](https://www.nfc.usda.gov/Contact_Us/Help_Desk/CHD/CHD_home.html).
# 11.0. Appendices

## 11.1. Appendix A: Course Glossary

<table>
<thead>
<tr>
<th>Concept/Item</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting Station Code</td>
<td>Agency-assigned code that allows for obligations and payment information to be distributed to the proper unit.</td>
</tr>
<tr>
<td>Advance Pay (14-liner) Quick Service Request</td>
<td>Document used for processing an advance of net salary when the corresponding T&amp;A is transmitted to be processed with the next PAYE cycle.</td>
</tr>
<tr>
<td>Beneficiary</td>
<td>Recipient(s) of a deceased employee’s final payment from the Federal government.</td>
</tr>
<tr>
<td>Cost-of-Living Allowance (COLA)</td>
<td>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.</td>
</tr>
<tr>
<td>Delayed Quick Service Request</td>
<td>Document used when an Advance Pay QSR is not applicable.</td>
</tr>
<tr>
<td>Direct Deposit/Electronic Funds Transfer (DD/EFT)</td>
<td>Electronic payment from the government to an employee’s financial institution.</td>
</tr>
<tr>
<td>Discretionary Allotments</td>
<td>Voluntary allotments authorized typically for purposes of paying monthly bills to a designated payee.</td>
</tr>
<tr>
<td>NFC Mainframe</td>
<td>Central, secure data processing system.</td>
</tr>
<tr>
<td>Payment</td>
<td>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.</td>
</tr>
<tr>
<td>Receipt Account Types</td>
<td>Field that indicates the computation and tax treatment of a collection</td>
</tr>
<tr>
<td>Recertification</td>
<td>Process for reissuing a check for a Federal employee.</td>
</tr>
<tr>
<td>Concept/Item</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Remarks</td>
<td>Information regarding a specific transaction.</td>
</tr>
<tr>
<td>Table Management</td>
<td>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.</td>
</tr>
<tr>
<td>Voluntary Allotments</td>
<td>Monies taken from an employee’s paycheck with his/her consent, typically for purposes of spousal or child support</td>
</tr>
</tbody>
</table>
### 11.2. Appendix B: Course Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABCO</td>
<td>Administrative Billings and Collections System</td>
</tr>
<tr>
<td>DD/EFT</td>
<td>Direct Deposit/Electronic Funds Transfer</td>
</tr>
<tr>
<td>DOTSE</td>
<td>Document Tracking System External</td>
</tr>
<tr>
<td>FLSA</td>
<td>Fair Labor Standards Act</td>
</tr>
<tr>
<td>FEGLI</td>
<td>Federal Employee Group Life Insurance</td>
</tr>
<tr>
<td>FY</td>
<td>Fiscal Year</td>
</tr>
<tr>
<td>HITS</td>
<td>Hospital Insurance Taxes</td>
</tr>
<tr>
<td>IRIS</td>
<td>Information/Research Inquiry System</td>
</tr>
<tr>
<td>MASC</td>
<td>Management Accounting Structure Codes System</td>
</tr>
<tr>
<td>NFC</td>
<td>National Finance Center</td>
</tr>
<tr>
<td>OPM</td>
<td>Office of Personnel Management</td>
</tr>
<tr>
<td>PAYE</td>
<td>Payroll Processing System</td>
</tr>
<tr>
<td>PINQ</td>
<td>Payroll/Personnel Inquiry System</td>
</tr>
<tr>
<td>PPS</td>
<td>Payroll/Personnel System</td>
</tr>
<tr>
<td>PACT</td>
<td>Personnel Action Processing System</td>
</tr>
<tr>
<td>POI</td>
<td>Personnel Office Identifier</td>
</tr>
<tr>
<td>QSR</td>
<td>Quick Service Request</td>
</tr>
<tr>
<td>SSN</td>
<td>Social Security Number</td>
</tr>
<tr>
<td>SPPS</td>
<td>Special Payroll Processing System</td>
</tr>
<tr>
<td>SF</td>
<td>Standard Form</td>
</tr>
<tr>
<td>TMGT</td>
<td>Table Management</td>
</tr>
<tr>
<td>Acronym</td>
<td>Definition</td>
</tr>
<tr>
<td>---------</td>
<td>------------------------------------------------</td>
</tr>
<tr>
<td>TSP</td>
<td>Thrift Savings Plan</td>
</tr>
<tr>
<td>TINQ</td>
<td>Time - Inquiry Leave Update System</td>
</tr>
<tr>
<td>T&amp;A</td>
<td>Time and Attendance</td>
</tr>
<tr>
<td>TRVL</td>
<td>Travel</td>
</tr>
<tr>
<td>USDA</td>
<td>United States Department of Agriculture</td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>PINQ32</th>
<th></th>
<th></th>
<th>PAYROLL-LISTING</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>NAME</td>
<td></td>
<td></td>
<td>AGENCY</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ADDRESS</td>
<td></td>
<td></td>
<td>PAY PLAN</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DESC AGENT</td>
<td>0000</td>
<td>FLSA</td>
<td>COMPRESS WK</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SAL RATE CODE</td>
<td></td>
<td>RETIREMENT</td>
<td></td>
<td>RETIRE PERCENT</td>
<td>0000</td>
</tr>
<tr>
<td>HB CODE</td>
<td>0</td>
<td>0</td>
<td>LIFE INS</td>
<td></td>
<td>OPT INS</td>
</tr>
<tr>
<td>FEGLI CODE</td>
<td></td>
<td>HEALTH INS</td>
<td></td>
<td>BOND</td>
<td>00</td>
</tr>
<tr>
<td>SCHEDULE ND</td>
<td></td>
<td>FED TAX</td>
<td></td>
<td>EXTRA FED</td>
<td>00</td>
</tr>
<tr>
<td>BLOCK/BATCH</td>
<td>00</td>
<td>000000</td>
<td>STATE1</td>
<td></td>
<td>EXTRA STATE1</td>
</tr>
<tr>
<td>CUR BOND REFUND</td>
<td></td>
<td>STATE2</td>
<td></td>
<td>EXTRA STATE2</td>
<td>00</td>
</tr>
<tr>
<td>1ST WEEK HOURS</td>
<td></td>
<td>CITY CD/TX ADD</td>
<td></td>
<td>IMPRES FUN</td>
<td>00</td>
</tr>
<tr>
<td>2ND WEEK HOURS</td>
<td></td>
<td>CITY CD/TAX ADD</td>
<td></td>
<td>HITS TAX</td>
<td>00</td>
</tr>
<tr>
<td>TOTAL HOURS</td>
<td></td>
<td>OASDI TAX</td>
<td></td>
<td>UNION DUES</td>
<td>00</td>
</tr>
<tr>
<td>GROSS PAY</td>
<td></td>
<td>CHAR CONT</td>
<td></td>
<td>MEALS</td>
<td>00</td>
</tr>
<tr>
<td>NET PAY</td>
<td></td>
<td>COMMISSARY</td>
<td></td>
<td>QUARTERS</td>
<td>00</td>
</tr>
<tr>
<td>CHILD/SUP &amp; ALIM</td>
<td></td>
<td>FIN Drg</td>
<td></td>
<td>ADVANCE</td>
<td>00</td>
</tr>
<tr>
<td>THRIFT SAVINGS</td>
<td></td>
<td>PERS-TAX-EXEMPT-CO</td>
<td></td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>FLEXFUND</td>
<td></td>
<td>PRIVATE-TAX-CO</td>
<td></td>
<td></td>
<td>0</td>
</tr>
<tr>
<td>OTHER DED</td>
<td></td>
<td>OTHER DED</td>
<td></td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

National Finance Center
U.S. Department of Agriculture
NEW ORLEANS, LA

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11.4. Appendix D: Processing a Delayed QSR

A Delayed QSR is submitted to NFC as an Other – NFC Process adjustment in SPPS 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_Desk/CHD/qsr.html](https://www.nfc.usda.gov/Contact_Us/Help_Desk/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:

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Enter “QSR” to indicate that a request is being made for quick service.</td>
</tr>
<tr>
<td>2.</td>
<td>Enter the employee’s name and social security number: adding &quot;C&quot; if employee is currently being paid by NFC or &quot;N&quot; for a new employee if never paid in the system.</td>
</tr>
<tr>
<td>3.</td>
<td>State the reason for the QSR, i.e., terminated employee, etc.</td>
</tr>
<tr>
<td>4.</td>
<td>Enter the T&amp;A contact point code, accounting station code, and submitting office number.</td>
</tr>
<tr>
<td>5.</td>
<td>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.</td>
</tr>
<tr>
<td>6.</td>
<td>Enter the pay period to be paid.</td>
</tr>
<tr>
<td>7.</td>
<td>Indicate whether an employee is covered by Fair Labor Standards Act (FLSA). Enter &quot;N&quot; for non-exempt or &quot;E&quot; for exempt.</td>
</tr>
<tr>
<td>8.</td>
<td>Enter the total hours to be paid per transaction code (If the QSR is for a wage</td>
</tr>
<tr>
<td>Step</td>
<td>Action</td>
</tr>
<tr>
<td>------</td>
<td>--------</td>
</tr>
<tr>
<td></td>
<td>board employee provide Shift Suffix Codes for differential pay).</td>
</tr>
<tr>
<td>9.</td>
<td>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.</td>
</tr>
<tr>
<td>10.</td>
<td>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.</td>
</tr>
<tr>
<td>11.</td>
<td>Enter the accounting code to be charged.</td>
</tr>
<tr>
<td>12.</td>
<td>Enter the check mailing address. This does not have to match the AD-349 in the database.</td>
</tr>
<tr>
<td>13.</td>
<td>Enter the name, title, Agency, and signature of the official authorized to complete the QSRs</td>
</tr>
<tr>
<td>14.</td>
<td>Enter the name and telephone number of Agency representative who can answer questions regarding the request</td>
</tr>
</tbody>
</table>

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.”