Participant Service Application

Table of Contents

Chapter 2

Overview

2.1 Introduction and Scope

The *Participant Service* application (*PSR*) is the custom designed software used by the *Thrift Savings Plan Division (TSPD)* and the *Federal Retirement Thrift Investment Board (the Board)* to access participant account information and to perform all participant requested transactions.

This document provides PSRs the ability to become familiar with the screens, features and functionality of the application. It introduces the application interface screens used daily by *Participant Service Representatives (PSR)* and others.

2.2 Objectives

Given an appropriately configured PC, user ID, and a password, the PSR will be able to:

- Log on and log off the application using the proper security procedures

- Identify and perform the transactions available through the application

- Select the appropriate screen(s) to respond to a participant request

- Use the navigational tools available in the application

2.3 Participant Service Application Overview

The *PSR* application is one of the custom designed interfaces in the new *Thrift Saving Plan (TSP)* system allowing access to participant account information stored in the record keeping and document databases. It features:

- Web-based navigation tools including tab menu bars, internet toolbar, hyperlinks, drop-down lists, and command buttons for point & click access to participant accounts

- Automatic display of participant data on receipt of a call via integration with ThriftLine, the TSP phone system

- Real-time account information based on daily valuation via integration with OMNIPlus, the TSP record keeping system

- Easy access to completed and in-workflow documents via integration with PowerImage, the TSP document imaging system

- Online transactions for making account changes, processing requests for plan materials, controlling account access, and adding call activity notes

The participant account information accessed by the *PSR* application includes:

- Indicative data such as participant addresses, beneficiaries, payroll office contacts, and account flags

- Loan and withdrawal details, both current and historical, with links to a variety of loan and withdrawal calculators

- Transaction details, both in-workflow and completed, including links to source documents contained within PowerImage

- Call activity notes from previous contacts with TSPD

PSRs use the *PSR* application to update participant accounts using the following online transactions:

- Request a Verification of Account Number

- Address changes for separated employees

- Block Web and/or ThriftLine account access

- Change contribution allocations

- Place a death hold

- Perform interfund transfers

- Mail TSP materials

- Request a system generated PIN

- Request a system generated Password

- Loan re-amortization

- Request a duplicate quarterly statement

- Change statement delivery options

- Request a Verification of Account

- Place a Administrative Hold

- Change a Date of Birth for separated employees

- Legal Authorization

- Request a new account number assignment

- Place a Security Alert

The typical cycle used with the *PSR* application by a PSR is to assist participants as follows:

- The PSR logs on to the *PSR* application

- A participant calls ThriftLine, enters his/her SSN + PIN, then requests to opt-out of ThriftLine for PSR assistance

- Simultaneously, the phone rings and *PSR* application pops up the participants account information to an available PSR

- The PSR assists the participant by using the *PSR* application to access participant account details, issue the appropriate transactions, and add call activity notes

2.4 Security Procedures

The required user ID and password, associated with the *TSP Call Center* user profiles, safeguards the participant account access. The user profiles grant specified individual users and user group privileges to view and/or utilize *PSR* application functions. For example, some PSRs can only see participant data while other PSRs or groups can view and change that data.

2.5 PSR Application

The *PSR* application is the gateway to participant data. The application accesses the *OMNIPlus* record-keeping database and the *PowerImage* document database to search for the requested information and displays the information on screen.

The *PSR* application is the *Graphic User Interface (GUI)* for the *Thrift Savings Plan* system allowing the PSR an easy means of accessing the information to meet participant needs. The basic look and feel of the screens is the same throughout the application.

The *PSR* application utilizes standard *Windows*™ and internet browser functions to make the system easy to use. In the following paragraphs, we will describe standard *Windows*™ tools and functions by explaining how the *PSR* application utilizes them. Examples of standard windows-based applications include *Microsoft Word*™ and *Internet Explorer*™.

The table below lists the tools to make navigation simple and user friendly (an example of each tool is in the sections following).

Term	Definition to make navigation simple and user friendly
Button	This is a box containing a word or picture that activates a specific function when clicked with the mouse.
Click	To press and quickly release either the right or left buttons on the mouse.
Drop-down List	This is a list of valid values that PSRs may select from for a specific field.
Field	An area on a screen where data is entered or selected from either a list of values or radio buttons.
Filter	A method of specifying conditions to narrow a search (*e.g.*, date range or a specific department).
Hyperlink	A cross-reference between electronic files or documents. It takes the PSR to the connected (linked) file or document.
Point	Positioning the mouse cursor over (pointing to) the area to be selected.
Pop-Up Window	A small screen that appears with a message, a specific

	set of related data (usually a small amount) or allows you to enter data related to a specific function on a window.
Option Button	A circular button that indicates an option. It is selected by a click of the left mouse button. Only one button can be selected at a time.
Tabs	A menu-bar resembling a file drawer that allows a PSR to display the contents of the tabbed folder.
Toggle	Move between open screens or applications on the screen.
Window	A screen that displays data, or allows the entry of data into an application.

2.6 Participant Service Application Screen Anatomy

Figure 2-1 illustrates the initial screen before a successful login. The *PSR* application displays the main-tab bar and the **Login**, **Search**, **Help** hyperlinks. The main-tab bar resembles file drawer tabs.

Figure 2-1 PSR Main-Tab Bar

The main-tab bar, depicted in Figure 2-1, offers a high level listing of all available information about the participant's account. Click on the tab for the type of information needed. Figure 2-2 illustrates the hyperlinks that display specific account information. Much the same way a file drawer contains a series of folders containing related information, each tab on the main-tab bar represents a "file drawer" of folders (hyperlinks) filled with a subset of information. Each tab on the main-tab bar has a unique set of hyperlinks tailored to address the information provided for the subject. For example, the **Account Information** main-tab bar makes the following hyperlink items available:

- Main Account
- Balance
- Address
- Beneficiary
- Employing Info
- Death
- Court Order
- Legal Authorization

Under the **Loan Summary** tab on the main-tab bar, are items relating to loans for this account:

- In-Workflow

- Loan History

- Loan Calculators

Each tab on the main-tab bar, or a hyperlink bar, identifies a set of information or a transaction to respond to the participant's need.

Some hyperlink options may contain no data. If the PSR selects a hyperlink option, such as **Death Information** that has no data available, a message will appear stating that this information is not available.

Figure 2-2 Account Information Hyperlink Bar

Hyperlinks

The three underlined items above the main-tab bar, **Logout**, **Search** and **Help**, are hyperlinks. A hyperlink is a cross-reference between electronic files or documents taking the PSR to the linked file or document. For example, click on the **Search** hyperlink to view the screen depicted in Figure 2-3. The new *PSR* application uses hyperlinks to make system navigation easy.

Figure 2-3 Selection of Search Hyperlink Result

Buttons

Word/Picture Buttons

This application uses buttons as an interface tool. Regardless of whether a button is a word (Figure 2-4) or a picture (Figure 2-5) the system performs the action the button represents. In the example depicted in Figure 2-5, the PSR clicks on the **Picture Button** and a pop-up window displays a calendar. The PSR clicks on the date desired which closes the window. The date appears in the data entry box. The PSR also has the option of keying the information (date) directly into the data entry box.
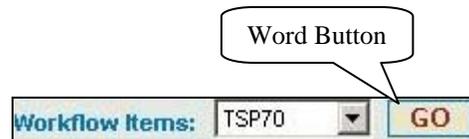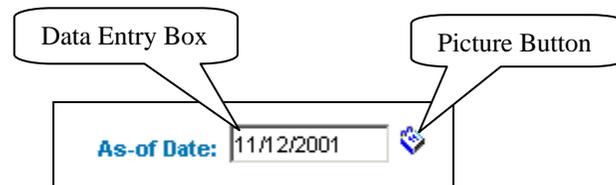
Figure 2-4 Word Button

Figure 2-5 Picture Button

Option Buttons

An option button allows PSRs to choose between mutually exclusive selections. In Figure 2-6, the PSR chooses between the two balance display options. In some cases, the selection of an **Option Button** will also need the click of an associated **Word Button**.

	Employee	EE - Exempt	Matching	Total
L 2040	$ 20.31	$ 0.00	$ 0.00	$ 20.31
L 2030	$ 121.68	$ 0.00	$ 0.00	$ 121.68
L 2020	$ 101.57	$ 0.00	$ 0.00	$ 101.57
G Fund	$ 5,505.06	$ 0.00	$ 0.00	$ 5,505.06
S Fund	$ 60.76	$ 0.00	$ 0.00	$ 60.76
I Fund	$ 101.99	$ 0.00	$ 0.00	$ 101.99
Total	$ 5,911.37	$ 0.00	$ 0.00	$ 5,911.37

Figure 2-6 Option Button

Drop-Down Lists

The *PSR* application uses drop-down lists to select from a set of choices. Click on the arrow to the right side of the box to display the list of options. Place the cursor over the desired item and click to select that item. Then click the associated **Go** button (Figure 2-7).
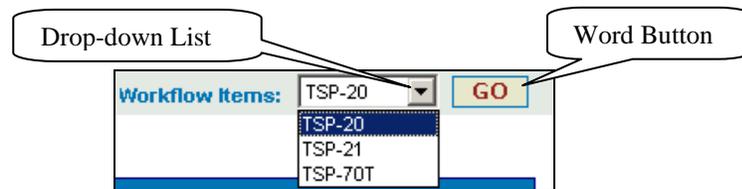

Figure 2-7 Drop-down List Selections

Pop Up Window

The *PSR* application uses pop-up windows to display documents or related account information without replacing the information currently displayed. It opens at the click of a button or a hyperlink. The PSR returns to the same screen they were originally viewing before opening the pop-up window after the pop-up window is closed.

Since a pop-up window opens as a separate window, PSRs can move or resize the window. To move a window, drag the blue title bar at the top, using the left mouse button, to move the window to the desired screen location. To resize the window, drag the cursor over the window border until the cursor changes to ↔ and, holding the left mouse button down, drag the border in the direction required to enlarge or reduce the window size. PSRs may also use the ⬛ icons in the upper right corner to minimize or restore an open window.

Close the window with a **Close** hyperlink, if available, or by clicking the ⬛ on the upper right corner of the window.

Figure 2-8 is a representation of accessing a pop-up window. First, click on the **Date** hyperlink. The pop-up window then appears (Figure 2-9).

Figure 2-8 Hyperlink

Figure 2-9 Pop-Up Window

Chapter 3

Logon and Account Selection

3.1 Introduction

The features discussed in this chapter include the Logon, Search, and Help functions, the *ThriftLine* interface, and the *PowerImage Workflow* interface. Access to these features is available throughout the *PSR* application. Access to all of these functions, except the workflow interface, is available from the initial screen displayed after login (Figure 3-1).

Figure 3-1 Initial Screen with Features

3.2 Objectives

Using the information in this chapter, PSRs will be able to logon and logoff the *PSR* application and use the built-in help system. PSRs will also be able to access participant accounts via the *ThriftLine Computer Telephony Interface (CTI)* Main Account pop-up or using the **Search** capability.

3.3 Logon Procedures

Figure 3-2 Desktop Screen with Icon

Figure 3-3 Logon Screen

To logon to the *PSR* application, double click on the desktop icon, displayed in Figure 3-2. The Logon screen (Figure 3-3) appears. Enter your assigned user ID in the **User ID** field and press the **<Tab>** key or click the mouse to move to the **Password** field. Enter your unique password. Click the **Continue** button or press the **<Enter>** key in the Logon screen and the initial *PSR* application screen displays as in Figure 3-1.

If the PSR tries to access any of the tabs on the menu-tab bar without logging in, the application will only display the logon screen and will not permit the PSR to proceed without a valid logon to the system.

Figure 3-4 Change Password Screen

04/19/2008

To ensure security, a PSR must change his or her password in accordance with established security procedures (Figure 3-4) that will be set by his or her supervisor. To change a password, the PSR enters his or her ID and current password in the associated fields. The *New Password* fields will contain the new password the PSR chooses. Once the **Continue** button is clicked, the system will change the password and logon to the *PSR* application.

3.4 Help

The On-line Help feature is available at any time. Place the mouse pointer on the **Help** hyperlink (Figure 3-5) at the top of the screen and click the mouse button. This will access help pages for application reference.

Figure 3-5 Location of Help Hyperlink

Note

The Help Function provides information regarding the application software version, fileset connectivity, session ID, and session security.

The application reference help information is currently unavailable.

3.5 ThriftLine Interface (CTI)

The *PSR* application is integrated with the *ThriftLine* TSP phone system via a feature called *Computer Telephony Interface (CTI)*. This is a feature within the COTS software application called *OMNIVoice*. It integrates the telephone and the *PSR* application to allow the participant main account information to "pop-up" using data entered by the participant while using *ThriftLine*.

Note

The *CTI* software is designed to route calls through the primary phone lines only. However, *CTI* will not route a call to a secondary line.

When a participant calls *ThriftLine*, that participant has one of two options:

➢ Use *ThriftLine* to personally access/update account information then "opt-out" at any time for service representative assistance

➢ "Opt-Out" of *ThriftLine* immediately for service representative assistance

When the participant chooses to "opt-out" of *ThriftLine*, the call will be redirected to a service representative and the *PSR* application will be triggered. Based on what the

participant entered in *ThriftLine* before "opting-out," the *PSR* application will perform one of three processes:

1. If the participant has entered both SSN and PIN in *ThriftLine*, the *PSR* application will display the **Main Account** screen information to the representative.

2. If the participant entered "only" his or her SSN, the *PSR* application will display the participant's **Main Account** screen information as well as a verification pop-up window (Figure 3-6). At this time, the representative is required to select a verification option to identify the caller (*i.e.*, verify by Date of Birth, Used other information, etc). Once verification is accepted, the participant's information is available for research.

Figure 3-6 Verification Pop-up Window

3. If the participant did not enter an SSN or PIN, the service representative is required to request an SSN from the participant to search for the participants' **Main Account** screen information using the application's **Search** function (refer to section 2.6). Once this information is located, the *PSR* application will display a verification pop-up window (Figure 3-6). At this time, the representative is required to select a verification option to identify the caller (*i.e.*, verify by Date of Birth, Used other information, etc). Once verification is accepted, the participant's information is available for research.

Note

The *Verification Chosen* field located on the **Add Call Notes** (refer to Chapter 8 section 8.2) is automatically filled with the selection made when verification is accepted in the above process.

If the representative has any uncertainties about the caller's identity, further verification should be performed. All further verification procedures used must be noted in the **Notes** screen.

3.6 Search

The search function is accessible by clicking on the **Search** hyperlink above the main-tab bar, as illustrated in Figure 3-7. If a PSR attempts to access a main-tab bar option without having a participant account opened, the application will force the PSR to the **Search** screen before proceeding.

Figure 3-7 Location of Search Hyperlink

A participant search can be performed by entering a last name, a first name and last name, account number, PowerImage task, treasury check number, or just an SSN of a desired participant. Clicking the **Search** button at the bottom will return a list of all participant accounts matching the search criteria.

The fastest, most efficient field to use for a search is the participant's SSN. When a PSR operator searches on a specific SSN, and the PSR application finds only one account under that SSN, the participant's **Main Account** screen will appear.

Searching by Treasury Check number corresponds to the check number associated with any disbursement from the TSP. When a PSR operator searches on a Treasury Check Number, the PSR application finds only one account number, and the participant's Main Account screen will appear.

Searching by account number corresponds to the account number associated with the participant within TSP. When a PSR operator searches on account number, the PSR application finds all accounts associated with the account number, and will return a list of all participant accounts matching the criteria.

Searching by PowerImage task corresponds to the number associated with a PowerImage task within the PowerImage application. When a PSR operator searches on a PowerImage task, the PSR application finds only one account number, and the participant's Main Account screen will appear.

Search results will also display the participant's first name, social security number, department/agency, date of birth and the account type. If the results are too many to fit on the screen, a **Prev** and **Next** hyperlink will appear at the top right hand corner of the list, displaying 25 accounts as a time. This will allow the PSR to page through the results. A maximum of 500 participants are returned for the selected criteria. If your participant is not in the group of 500, a further refined search is necessary.

Depicted in Figure 3-8 is a last name search. The PSR might enter "Johnson" in the **Last Name** field and "Betty" in the **First Name** field then click on the **Search** button at the bottom. The returned results display as illustrated in Figure 3-9. The PSR would then open the account by clicking on the appropriate hyperlinked **Name**. The main account of the chosen name is displayed (Figure 3-10).

Figure 3-8 Last Name Search

Figure 3-9 Results of a Last Name Search

Figure 3-10 Account Chosen from Search Results

Note

If your search results in only one account from the search criteria, the application will go immediately to the Main Account screen, bypassing the account selection screen.

3.7 Account Selection

Once a participant account is opened, the "Participant Header" (Figure 3-11) displays immediately below the main-tab bar. The *PSR* application populates the "Participant Header" with the SSN and name of the participant as well as creating two drop-down menus labeled **Account** and **Workflow Items**. The "Participant Header" is displayed on all main screens as the PSR navigates through the application. It will not appear on most pop-up windows.

Figure 3-11 Participant Header

The **Account** drop-down lists all accounts associated with the participant SSN and allows selection of a specific account. The choices on the drop-down are TSPCxx, TSPUxx (where xx correlates to the last two digits of the participant SSN), Beneficiary (if the participant is a beneficiary payee of another TSP participant), and/or Payee (court-ordered payment). Only the account types associated with the specific participant SSN will be listed and available for

selection. Using the **Account** drop-down, the PSR can easily switch between the participant's various accounts.

3.8 Workflow Interface

The *PSR* application interfaces with the *PowerImage* application, so a PSR can view many participant-related documents scanned into *PowerImage*. Documents that have been scanned and indexed into *PowerImage*, but have not yet been processed through to or rejected by *OMNIPlus* are considered to be *Workflow* documents. All *Workflow* documents for a participant are available for display by using the workflow drop-down list as shown in Figure 3-12.

Figure 3-12 Location of Workflow Interface

The PSR highlights the requested document by clicking on the appropriate item in the drop-down list. The selection shows in the box next to the down arrow. The PSR clicks on the associated **GO** button to the right of the drop-down, and *PowerImage* is launched displaying the selected document.

3.9 PowerImage Interface

All participant-related items received by the TSPD are scanned and indexed using *PowerImage*. These documents can be accessed by a PSR using either *PowerImage* or, in many cases, the *PSR* application. As described in section 2.8 all items considered to be *In-Workflow* are available through the *Workflow* interface on the *PSR* application screens. Some completed documents are available for display from certain screens within the P*SR* application.

A document is considered completed in *PowerImage* when it is processed through the system into *OMNIPlus*.

In the *PSR* application, completed documents that are available for viewing are displayed as hyperlinks. The references are either the form numbers or the associated *PowerImage* task numbers. Some of the available documents include:

- TSP-3 or TSP-17 from the **Beneficiary** screen (Figure 3-13)

- TSP-17 and related documents from the **Death Information** screen (Figure 3-14)

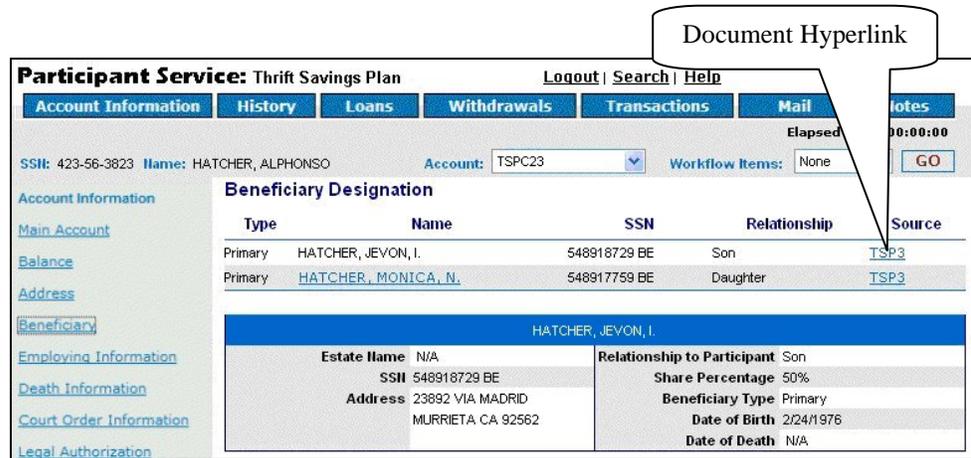All other completed documents are viewable using *PowerImage*.

Figure 3-13 Beneficiary PowerImage Interface

Some workflow documents can be accessed by clicking on the available hyperlink found on a screen, as shown in Figure 3-13 and Figure 3-14.
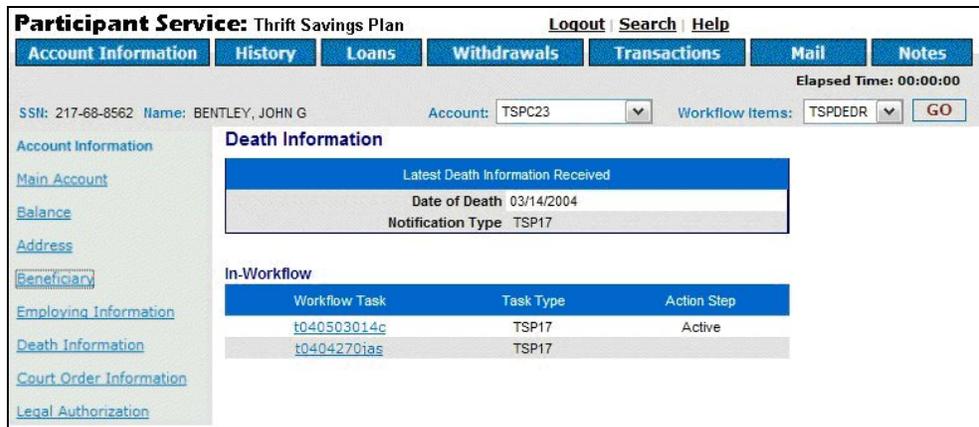

Figure 3-14 Death Information PowerImage Interface

Chapter 4

Account Information

4.1 Introduction

Accessed by clicking on the **Account Information** main-tab, this selection provides access to the following screens: **Main Account**, **Balance**, **Address**, **Beneficiary**, **Employing Info**, **Death**, **Court Order**, and **Legal Authorization**.

Once any one of the above mentioned screens is accessed, a list of hyperlinks will appear on the left hand side of the screen. This list is an alternate way of accessing the different **Account Information** screens as well as using the main-tab bar.

4.2 Main Account Screen

The **Main Account** screen is a snapshot of the participant's account information in *OMNIPlus*. This snapshot includes the participant's address of record, primary indicative (non-financial) data, account balance, loan and withdrawal status, contribution allocation and interfund transfer status, and various account flags. The illustration below (Figure 4-1) indicates the array of information available when viewing the **Main Account** screen.

Figure 4-1 Main Account Screen

The data on the **Main Account** screen is grouped into six blocks.

The data in the upper left block is Address of Record information.

The data in the middle left block in the account number information. The account number history may be obtained by clicking on the account number.

The lower left block contains indicative information about the account, such as date of birth, date of death, department code, agency code, status code, employment code, vesting code, date the account was opened, retirement codeetc. This block also contains a small icon that looks like a magnifying glass (🔍).
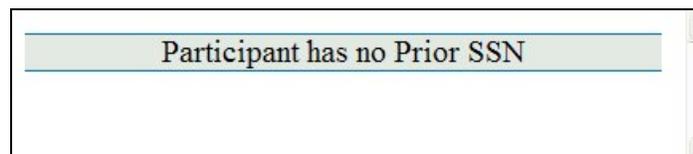
Figure 4-2 Prior SSN Screen

By clicking on this icon, the PSR can view any prior SSNs the participant might have held (Figure 4-2). By clicking on the question marks (❓), the PSR can view the text description of the corresponding code displayed on the screen.

In the upper right block is the account balance.

The middle right block contains transaction information, including the status of the most recent loan, withdrawal, interfund transfer and contribution allocation for the past 90 days. It also includes the maximum loan amount and a link to a worksheet that shows the calculation for that amount.

The final block, in the lower right includes Account Flags. The MRD Indicator, hold reason, TSP-3 signed, AOR code Pending taxable distribution, and Block Access information are

available in this area. Spousal exemptions are also displayed, with the expiration date shown as a hyperlink. Clicking the hyperlink will display the SSN of the spousal exemption(s). The PIN change date and Password change date display the last date each was changed. In addition, if the participant has been terminated from contributions, it will be displayed with the resume date of contributing.

4.2.1 Codes

Indicative Data Block		
Field	**Code**	**Description**
Status Code	E	Eligible, but not contributing
	W	Contributing, but waiting for agency contributions
	Y	Contributing
	T	Terminated
	S	Stopped Contributing, but still waiting for agency contributions
	I	Ineligible
Employment Code (Employment Code Date is displayed to the right of the code)	[blank] or N	Active
	T	Transfer
	S	Separated
	B	Disability Retirement
	D	Death
Transaction Information Block		
Field	**Code**	**Description**
Loan Status	In House	The loan application or loan agreement has been received but has not been processed (think of this status as the "data entry" stage).
	Under Review	Awaiting a manual review before sent to OMNIPlus for processing.
	Active	The loan application or agreement has been processed and is in *VTRAN* awaiting disbursement. In this status, the loan can still be cancelled since it is before the 11:00am CT cutoff.
	In-Process	The loan application or agreement is awaiting disbursement in the nightly *Unified Job* and **cannot** be cancelled since it is past the 11:00am CT cutoff.
	Posted	The loan has been disbursed.
	Rejected	The loan application or agreement has been rejected.
	Canceled	The loan application or agreement has been canceled within PowerImage, PSR, or the Web.

	Suspended	The loan application or agreement is suspended within PowerImage.
Withdrawal Type	TSP-70 TSP-U-70 TSP-70T TSP-U-70T TSP-71 TSP-U-71 TSP-75 TSP-U-75 TSP-75T TSP-U-75T TSP-76 TSP-U-76 TSP-77 TSP-U-77 TSP-76T TSP-U-76T TaxDist TaxDistrib	Referencing the incoming form number from the participant
Withdrawal Status		(refer to the Loan Status values)
Interfund Transfer Status	Active	The transaction is currently in *VTRAN* awaiting to post to the participant's account. Any Active status IFT can be cancelled since it is before the 11:00 am CT cutoff.
	In-Process	The transaction is currently in *VTRAN* awaiting to post to tonight's cycle. It is past the 11:00 am CT cutoff, so it cannot be cancelled.
	Posted	The transaction has successfully posted to OMNIPlus and can be viewed in Transaction History.
	Rejected	The transaction has rejected in OMNIPlus and will not post in any future cycles of OMNIPlus.
	Canceled	The transaction has been canceled via PowerImage, PSR, or the Web.
Contribution Allocation Status		(refer to the Interfund Transfer Status values)

04/19/2008

Note

In the current system, the spouses of married CSRS participants who apply for a loan or a withdrawal are entitled to a spousal notice, unless a TSP-16 exception has been approved. In the new system, the transaction will be future dated 2 days to allow time to send the notice. The notice is generated the same day the transaction is sent to *VTRAN* regardless of the 11:00 am CT cutoff (this an exception to the cutoff rule). The transaction itself still remains subject to the cutoff time. For example:

- If a withdrawal request is processed Monday at 9:00 am CT, the withdrawal is future dated for disbursement in Wednesday's nightly *Unified Job*. The notice is generated in Monday's nightly job.

- If a withdrawal request is processed Monday at 1:30 pm CT, it is future dated for disbursement in Thursday's nightly job. The notice is generated in Monday's nightly job. However, if this withdrawal request is processed after the nightly job has begun (approximately 6:00 pm CT); the notice will not be generated until Tuesday's nightly job.

In the Transaction Information block's status fields for **Withdrawals** and **Loans**, these fields will not only include the status (*i.e.*, Active, In Process), but also show the trade date for disbursements of a married CSRS participant.

Account Flags Block		
Field	**Code**	**Description**
AOR Code	0	AOR not on file or AOR for C and F Funds only
	1	AOR for C, F, S, I, L Income, L 2010, L 2020, L 2030, and L 2040 Funds and on file
Block Access	N/A	Participant has not blocked access to Web or ThriftLine
	Web	Web access blocked
	ThriftLine	ThriftLine access is blocked
	Web, ThriftLine	Web and ThriftLine access is blocked
Hold Reason	Administrative	This is a catch all hold.
	Single Court Order Multiple Court Order	This hold is placed on the account when a court order is received.
	Death – TSP17 Death – EDR Death – Certificate Death – Other Death – SSA	If reported by phone, a hold is placed on the account to prevent its disbursement and the automatic transfer to the G Fund is not made. If reported by EDR, the death code is reflected in the Employment Code field along with the date of death as reported by the agency. The EDR notation is shown in the Hold Reason field. Upon receipt of an EDR, the account money is moved to the G Fund

		and a 90 day clock is set for receipt of the TSP-17. If TSP-17 is not received within 90 days, a notice to the TSP-3's beneficiaries is sent. If there is no TSP-3, a notice is sent to the estate. These notices are only available through *PowerImage*.
		If reported via TSP-17, this notation is displayed in the Hold Reason field and the form can be viewed using the **Workflow** drop-down field at the top of the screen. This notification will move the account money to the G Fund and, if death certificate was included, it will default any outstanding loans to taxable distributions.
		If reported by receipt of only a death certificate, this notation will appear in the Hold Reason field. This notification will move the account money to the G Fund and default any outstanding loans to taxable distributions.
	Fraud/Forgery	This hold is placed on the account when an allegation of fraud or forgery is received.
	Homicide	This hold is placed on the death benefit account of a beneficiary(ies) if the beneficiary(ies) has been implicated in the death of the participant. This hold is not placed on the participant's account. This enables payment to those beneficiaries not implicated, while waiting for resolution of those beneficiaries being investigated.
Required Minimum Distribution	Y	Indicates if the participant is due a minimum distribution.
	N	Indicates the participant is not due a minimum distribution.

Note

Holds that are placed on accounts manually (*i.e.*, administrative, court order, death notice by phone, fraud/forgery and homicide) will be documented in **Notes** consistent with current practices.

Note

To see the date of the Hold Reason, click on the hyperlink underlining the Hold Reason code.

4.2.2 Beneficiary or Court Order Payee Accounts

If the caller is requesting information about an account for which he or she is a beneficiary or the payee in a court order action, he or she will have an account in the *PSR* application under his or her own Social Security number. The **Main Account** screen (Figure 4-3) displayed for this type of account shows a reduced amount of information. The available data includes the person's address, date of birth, date the account was opened, the payment type (death or court order) the payment status and the expected payment date. The participant header information

will contain his or her name and social security number. A court order payee account will not be in the system until the payment has been made. (A separate Court Order Document Interface System (CODIS) is being used to process court orders.) A beneficiary account will not be in the system until the decision has been made to pay the beneficiary.

Figure 4-3 Beneficiary Main Account Screen

4.3 Balance

By clicking on the **Account Information\Balance** tab or by selecting the **Balance** hyperlink to the left, PSRs can access information about the participant's current account balance (Figure 4-5). There are several ways to view this information, By **Fund/Source** in dollars or shares, or **By Fund**. The default view displays the participant's account balance by Fund/Source in dollars (Figure 4-5). This account balance view can be changed to display in shares by selecting the **Shares** option button (Figure 4-7).

The other view displays the account balance information by fund (Figure 4-6). To switch views, click one of the word buttons, **By Fund/Source** or **By Fund** (Figure 4-4).

Figure 4-4 Balance Display Choice Buttons

Figure 4-5 Account Balance screen

Figure 4-6 Balance by Fund

Figure 4-7 Account Balance by Shares

Above each view is an account balance summary showing the participant's total and vested account balance plus his or her total employee contributions made year to date in the current year and in the prior year (Figure 4-8).

Total Account Balance	$ 2,383.11
Vested Account Balance	$ 2,383.11
Current YTD Employee Contributions	$ 329.89
Prior Year Employee Contributions	$ 1,979.34
Current YTD Catch-up Contributions	$ 0.00
Prior Year Catch-up Contributions	$ 0.00

Figure 4-8 Balance

For information on vesting account balances for a 2 or 3 year period, click on the **Vested** hyperlink found in the **Vested Account Balance** field. This will open a secondary window (Figure 4-9) showing the vesting values as of the date found in the **As of Date** field on the **Account Balance** screen.
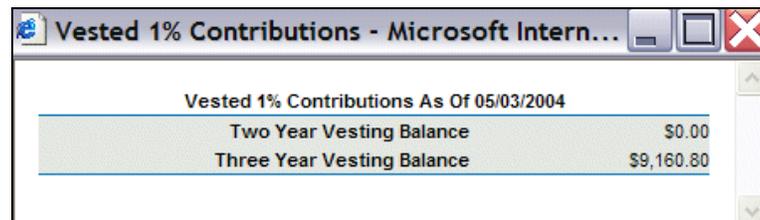
Vested 1% Contributions As Of 05/03/2004

| Two Year Vesting Balance | $0.00 |
| Three Year Vesting Balance | $9,160.80 |

Figure 4-9 Vesting Account Balances (2 & 3 Year Vesting Values)

4.3.1 Uniform Services Accounts

There are some differences on the Balance screen for a Uniform Services (TSPUxx) account as compared to a Civilian (TSPCxx) account. The primary difference is that the TSPUxx account will not have a column showing Automatic contributions. Instead, employee tax-exempt contributions (EE-Exempt) are displayed. See Figure 4-10 and Figure 4-11 for examples illustrating the balance as displayed in dollars and balance displayed in shares.

Figure 4-10 Uniform Services Account - Balance by Dollars

Figure 4-11 Uniform Services Account - Balance by Shares

Note

For uniformed services members, the 415(c) Contributions To-Date and the Tax Exempt Contributions To-Date information can be found on the **Account Balance** screen.

Note

For uniformed services members, the Current YTD Employee Contributions does not include tax-exempt money. This field only contains tax-deferred money and is used to track contributions against the IRS elective deferral limit (402(g)).

4.3.2 As-of-Date

In the upper right section of the screen is a field titled the **As-of Date**. If the participant wants to know the value of his or her account on a specific date in the past, the PSR can simply enter the date in the **As-of Date** field (Figure 4-12) and hit the **<Enter>** key. The screen will refresh and display the account balance as of the date entered.

Figure 4-12 As-of-Date field

Another alternative to entering the date in the field is to click on the picture button of the calendar next to the data entry box, and a pop-up window with a calendar will appear (Figure 4-13). The PSR then selects the month from the drop-down list, enters the year, if different than shown, and clicks on the day of the month. The window will then close. The PSR must then click the **GO** button to the right. The screen will refresh displaying the account balance as of the date selected.

Figure 4-13 Pop-Up Calendar Window

Note

As-of Balances cannot be computed prior to three years before the date of conversion.

4.4 Address

PSRs can view addresses for the participant by selecting the **Account Information\Address** tab or by selecting the **Address** hyperlink to the left. This displays the various addresses associated with the participant's account and when each address was last updated. The Mailing Address (address of record), Correspondence Address, Prior Address, and/or Undeliverable Address (Figure 4-14) will be displayed as available.

Figure 4-14 Address Information

4.5 Beneficiary

PSRs can view beneficiary information for an account by selecting the **Account Information\Beneficiary** tab or by selecting the **Beneficiary** hyperlink to the left. The **Beneficiary Designation** screen displays a summary list of all beneficiaries along with detailed information.   An example of the full **Beneficiary** screen is displayed in Figure 4-15.

Figure 4-15 Beneficiary Information

PSRs can view the *PowerImage* display of the form used to designate the beneficiary (if available) by clicking on the hyperlink **Source** field in the beneficiary summary list (Figure 4-16). The name of each beneficiary not displayed in the detail information below the summary is presented as a hyperlink. These links are used to select a different beneficiary than the one whose information is displayed in the detail information box (Figure 4-17). Information for the first beneficiary in the summary listing is always the default displayed.

Figure 4-16 Beneficiary Summary List

Figure 4-17 Beneficiary Detail Information

All TSP3s still being processed in workflow or having rejected in the past 90 days will appear on the Beneficiary screen as default or by clicking on the Workflow button. Clicking on the workflow task ID will display an image of the TSP3 or TSPU3. To view TSP3's that are stored on Microfiche, click on the Legacy button. An example of the full **Beneficiary** screen is displayed in Figure 3-18.

Figure 4-18 Beneficiary Information

4.6 Payroll/Personnel Office

PSRs can access contact information for the participant's payroll and personnel offices by selecting the **Account Information/Employing Info** tab or by selecting the **Employing Information** hyperlink to the left. Payroll Office contact information is listed in the box on the left. Personnel Office contact information is shown in the box on the right (Figure 4-19).

04/19/2008

Figure 4-19 Payroll/Personnel Office Information

4.7 Death Information

PSRs can access the **Death Information** screen (Figure 4-20) by selecting the **Account Information\Death Information** tab or by clicking the **Death Information** hyperlink to the left. This information will not be populated until the TSP-17 and/or Death Certificate are received by TSPD.

The top of the screen contains date of death, the received date of the notice and received date of the TSP-17. The bottom of the screen provides hyperlinks to the workflow documents related to the death case. The *PowerImage* task number, task type and action step of the task are displayed as available.

Figure 4-20 Death Information Screen

4.8 Court Orders

PSRs can access the **Court Order** screen (Figure 4-21) by selecting the **Account Information\Court Order** tab or by clicking the **Court Order** hyperlink to the left. This information will not be available until a payment is made.

Figure 4-21 Court Orders screen

4.9 Power of Attorney/Guardianship/Conservatorship

PSRs can access the **Power of Attorney/Guardianship/Conservatorship** screen (Figure 4-22) by selecting the **Account Information/Legal Authorization** tab or by clicking the **Power of Attorney** hyperlink to the left. The **Power of Attorney/Guardianship/Conservatorship** screen displays a summary list of all Power Of Attorney's associated with the account, as well as guardianship and conservatorship orders. Other details display the name of the individual recognized to hold Power of Attorney, Guardianship or Conservatorship for the account, the type and the effective period the status covers.

Figure 4-22 Power of Attorney

Chapter 5

Loans

5.1 Introduction

Many of the requests that come to the *TSP Service Office* are about loans. The *Participant Service Representative (PSR)* must be able to inquire about any loan, including loan applications and paid loans. The PSR must also have access to general information about loans for a particular participant including the number of current active loans, the maximum loan amount available, and any hold on the participant account that prevent a new loan.

Note

> All active loans and all closed loans that were closed within three years prior to the date of conversion was onverted. All loans closed greater than three years prior to conversion will only be available in IDMS04.

This information is available by selecting the **Loan Summary** tab on the main-tab bar (Figure 5-1).

Figure 5-1 Loan Tab

Information about pending loan requests is located under **In-Workflow**, while information about outstanding and closed loans is found under **Loan History**.

Note

> Loan requests **cannot** be made using *ThriftLine*.

Note

04/19/2008

> The new system will no longer have loan statements. The loan statement information will be consolidated into the quarterly participant statements. If the participant elects, these statements will be available to him or her on the web site, otherwise they will be mailed. They will contain the participant's indicative data (*i.e.*, name, address, etc.) as well as financial transactions. These statements can be downloaded by the participant in *.pdf* format.

5.2 Objectives

Using the information in this chapter, the PSR can locate information about any pending, current, or past loan. The PSR can also locate general information about a participant account with regard to loans, such as the maximum amount available for a loan, how it was determined, as well as current interest rates for general purpose and residential loans. Loan payment, disbursement, repayment, and taxable distribution information can also be located.

5.3 Loan In-Workflow

The **Loan Summary/In-Workflow** tab displays a summary screen listing all loans still being processed through the workflow (Figure 5-2).

Figure 5-2 Loan In-Workflow Screen

Figure 5-3 provides an informational table. Each element supplies PSRs with needed information as related to the **Loan In-Workflow** screen.

Loan In-Workflow	
Workflow Task	A scanned and indexed document. The number is assigned when document is indexed. (The DocID number.)
Status Date	Date of the most recent activity on a loan request.
Loan Status	Status values: In-House, Under Review, Active, Complete, Rejected, Canceled, Suspended
Loan Type	Residential or General Purpose.
Amount	Amount of monies requested on TSP-20.
Trade Date	The date of the trade.
Source	How the loan was requested.

Figure 5-3 Loan In-Workflow Display Items

The PSR is also able to cancel an active loan request from the **Loan In-Workflow** screen. If there is a hyperlink titled **Cancel** to the right of the loan the participant wants to remove, the PSR simply clicks on this hyperlink to cancel the loan request.

Note

A TSP-20 Loan Application that is not in a completed status in PowerImage will be available on the Loan In-Workflow screen. Once the loan application is complete, it will produce the loan agreement. The loan agreement can be viewed in PowerImage, and the Loan Status returns to N/A in PSR.

To view a request, the PSR can click on the **Workflow Task** hyperlink found in the first column of each loan request. This will open a secondary window displaying the actual request (Figure 5-4).

Figure 5-4 Workflow Request Display Window

Zoom In	Make image larger.
Zoom Out	Make image smaller.
Fit To Window	Fit entire image within the window.
Fit To Width	Fit the width of the image in the window.
Print	Print the image.
Previous Page	Display previous page.

Next Page	Display next page.
Goto Page	Display specific page.
Rotate Right	Rotate page to the right 90 degrees.
Rotate Left	Rotate page to the left 90 degrees.
Rotate Custom	Rotate page a specific number of degrees.
Magnify	Creates a magnifier window (check the box, then hold mouse button in image window).
Handpanning	Turns on manual pan (check the box, then hold mouse button in image window).

5.4 Loan History

Loan History provides information on all processed loans. This includes all currently outstanding and closed loans. The information available includes loan identification, loan type, loan status, loan amount, loan fee, loan disbursement information, payment information, interest rate, repayment information, last payment amount, last payment date, next payment due date and taxable distribution information.

Selecting the **Loan Summary/Loan History** tab displays the screen shown in Figure 5-5 below. This screen displays information segmented into three parts: information on current loans, general loan information associated with this account and a summary listing of all processed loans past and present with links to the loan details.

Figure 5-5 Loan History Screen

The middle area of the screen, as shown in Figure 5-6 and Figure 5-7, displays in two sections. The left side (Figure 5-6) includes information about current loans against this account as retrieved from *OMNIPlus*, the participant record-keeping application.

Figure 5-6 Current Loan Information

The right side (Figure 5-7) contains general loan information for this participant, such as current interest rate information, maximum loan amount, and highest outstanding balance. To the right of the amount of the *Maximum Loan Amount (MLA)* is a pencil icon. Clicking on this icon ( ) allows the PSR to view the pre-populated worksheet (Figure 5-8) representing the calculations made to determine the MLA (this icon is also found on the **Main Account** screen).

Figure 5-7 Participant General Loan Information

Note

The MLA Worksheet can be printed and mailed to the participants.

Figure 5-8 Pre-populated MLA Worksheet

The bottom section (Figure 5-9) of the screen displays a list of all loans, current and closed. The details about each loan are available by clicking on the loan number in the far left column.

Figure 5-9 Processed Loan Information

All loans in the account history display on the **Processed Loans** section of the screen. When the PSR views the details of a specific loan by clicking on the **loan number** (hyperlink), a pop-up window will appear displaying the summary details of the selected loan.

From this **Details** screen, the PSR may select any of the available tabs, **Disbursement**, **EFT/Check**, **Repayment**, **Payments,** and **Tax Distribution** to display additional information. Each screen is described below. As you click on the loan number for these detail screens, the top left of the screen will display processing, as it is retrieving all data for the associated tabs. Once all data is retrieved and available for viewing, the **Processing** image will change to the loan number.

5.4.1 Summary Screen Information

Across the top of the **Loan Details** screen, the PSR is presented with a series of tabs as shown in Figure 5-10. These tabs remain visible whenever a loan detail screen is displayed.

The summary information is the displayed default. It shows the type of loan, repayment frequency, original loan amount, loan fee, disbursement amount, scheduled payment amount, loan issue date, loan interest date, scheduled number of payments, total finance charges, reversal date, and reason for reversal if appropriate.

996-37-9140 RINGWOOD, ROBERT R

Processing

| Summary | Disbursement | EFT/Check | Repayment | Payments | Tax Distrib |

Summary Information	
Loan Number	0511007G
Loan Type	General Purpose
Repayment Frequency	Biweekly
Original Loan Amount	$11,550.00
Loan Fee	$0.00
Disbursement Amount	$11,550.00
Scheduled Payment Amount	$99.62
Loan Issue Date	05/18/2004
Loan Interest Rate	4.500%
Scheduled Number of Payments	130
Total Finance Charges	$1,395.84
Reversal Date	
Reversal Reason	

Close

Figure 5-10 Loan Summary Screen

5.4.2 Disbursement

The **Disbursement** tab displays a matrix listing the funds with employee contributions, share price, and number of shares per fund sold to distribute the requested loan amount to the participant. The original source of the loan request is listed at the bottom of the matrix, as seen in Figure 5-11.

Figure 5-11 Loan Disbursement Screen

This source information identifies the source of loan requests that have been disbursed.

5.4.3 EFT / Check

The **EFT/Check** screen (Figure 5-12) provides details regarding the method used to transmit the loan amount to the participant either *Electronic Funds Transfer (EFT)* or by check. This screen displays either the name of the payee, name of the financial institution, routing number of the selected financial institution, account number and account type where the EFT was directed or the check number issued and the address where the check was mailed.

Figure 5-12.1 Loan Check Screen

Figure 5-13.2 Loan EFT Screen

5.4.4 Repayments

The **Repayment** screen (Figure 5-14) displays the following details about the loan: current outstanding balance, outstanding principal, amount of principal paid to date, principal in arrears, any outstanding interest, and interest paid to date after the last payment was applied. The last payment amount, method of the last payment, last payment date, expected payment amount, next expected payment date, estimated loan payoff date are also displayed. In addition, if the loan was re-amortized, the date of the re-amortization and payment frequency for the re-amortization is provided. As a result, the terms of the loan, including the estimated loan payoff date, are updated.

Figure 5-14 Loan Repayment Screen

5.4.5 Payments

A history of the payments (Figure 5-15) made against the loan is displayed by clicking on the **Payments** tab. If more payments exist than the screen space is able to display, the PSR will

see a **Prev** and **Next** hyperlink at the top right of the list to page forward and back through the payments. The information displayed on this screen includes the date payment was processed, amount applied to the principal, amount applied to interest, total payment amount, method of payment, and outstanding principal amount after the payment was applied to the loan. This information is displayed in reverse chronological order (most recent first).

Figure 5-15 Loan Payments Screen

Note

The default display for **Payment History** is one year. If more than one year of data is available, click the hyperlink **Display All Payments** and all payments will be displayed for this loan.

Note

For all converted loan payments, the principal outstanding will always be $0.00. After conversion, the loan payments will have an associated principal outstanding.

5.4.6 Tax Distribution

The final tab in the **Loan Details** screen is the **Tax Distribution Information** (Figure 5-16). The information on this screen includes the following. The date the loan would be declared as a taxable distribution if the maximum term of the loan is reached without being paid off, date the taxable distribution is expected to be declared, reason for declaring the taxable distribution, taxable distribution amount, amount that was tax exempt, if any, and the amount that is taxable.

Figure 5-16 Tax Distribution Information

5.5 Loan Calculators

Five calculators are provided under the **Loan Calculators** hyperlink found under the **Loan Summary** main-tab bar. These include:

Loan Calculator - helps a participant understand terms available for a new general purpose or residential loan

Prepayment Calculator – used to determine what amount is required to prepay an existing loan for a given period of time. This calculator will automatically generate a notice to be mailed to the participant, if the call came in via CTI; otherwise, it is an optional notice.

Reamortization Calculator - helps a participant determine how best to reamortize an existing loan

Cure Amount Calculator - used if an existing loan is in default because payments have been missed. (This functionality will be available when default processing is implemented later this year.)

Court Order Balance Calculator - used to determine and display the amount of an account that must be paid if a court order has been deemed valid. (For Legal Review only)

Each of these calculators is accessed by clicking the appropriate hyperlink listed on the left hand side of the **Loan Calculators** screen (Figure 5-17).

Note

Both the Loan Calculator and Prepayment Calculator are available via the web site.
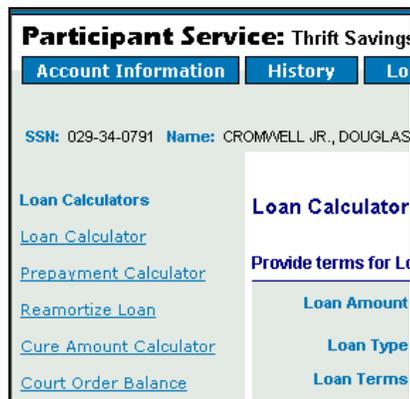
Figure 5-17 Loan Calculator Hyperlinks

5.5.1 Loan Calculator

The **Loan Calculator** permits the PSR to view the various options available for loans using his or her TSP account monies. The variables (type of loan, amount desired, terms and payment schedule) are entered as displayed in Figure 5-18. The payment amount, number of payments, term of the loan, and interest charges are calculated and displayed as shown in Figure 5-19. The participant can then determine if he or she wants to submit the appropriate paperwork to apply for the loan.

This is the same **Loan Calculator** available to participants at www.tsp.gov. Participants with access to the website are able to perform the same calculations and "what if" modeling.

Figure 5-18 Loan Calculator Variables

Figure 5-19 Terms of Loan as Calculated

5.5.2 Prepayment Calculator

The **Prepayment Calculator** is used to determine the amount required to pay off a loan early. The amount provided is time bound. It is the correct amount valid up to the "Good Through Date" provided on the **Loan Prepayment** screen. The PSR has only to select the loan to be prepaid using the "Loan Number" drop-down list and click on the **Calculate** button (Figure 5-20). A screen such as the one shown in Figure 5-21 will be displayed.

Figure 5-20 Prepayment Calculator

Figure 5-21 Results of Prepayment Calculation

5.5.3 Reamortize Loan Calculator

Reamortization involves changing one of three factors in an existing active loan:

1. The length of the loan term

2. The loan repayment amount

3. The frequency of payment

The participant may request more than one reamortization for a loan.

There are a maximum of four steps to reamortize a loan (Figure 5-22):

04/19/2008

1. Select the loan to be reamortized from the **Loan Number** drop-down list.

2. Select the frequency of loan payments from the **Frequency** drop-down list.

3. Select the appropriate Terms for calculation and enter the needed figures for the selected terms.

4. Click the **Calculate** button.

Figure 5-22 Reamortize Loan Calculator

If the reamortization terms entered do not allow the loan repayment in a manner that meets the TSP rules, a notice will display above the calculations stating the terms were adjusted to meet the rules (Figure 5-23). The PSR may cancel out of these adjusted terms and reenter other terms as the participant requests.

Figure 5-23 Reamortize Loan Results

Clicking on the **Cancel** button will return the PSR to the **Reamortize Loan Calculator** screen to continue with another loan or calculation. Clicking on the **Confirm** button will write the loan reamortization transaction to *OMNIPlus*. A confirmation will be sent to the participant, and the loan payment amount will be updated.

5.5.4 Cure Amount Calculator

The **Cure Amount Calculator** is used for loans that are in default because of missing payments. To calculate, select the desired loan number using the drop-down list and click on the **Calculate** button (Figure 5-24). The "Amount Required" to bring the loan back to a current status, and the "Good Through Date," are displayed as shown in Figure 5-25.

Figure 5-24 Cure Amount Calculator

04/19/2008

Figure 5-25 Cure Amount Results Screen

5.5.5 Court Order Balance

When a valid Court Order is received, a determination must be made as to the appropriate account balance for the terms of the order. The **Court Order Balance** calculator is used to determine this amount.

When the PSR first enters this calculator, the **Calculate Balance As-Of Date** field is pre-filled with the current date and the balance is calculated automatically based on that date (Figure 5-26). To calculate a balance based on another date, the PSR would enter a date in the as-of date box or select a date using the calendar icon (📎) to the right of the as-of date field. Once the **Go** button to the right of that is clicked, a new balance is calculated based on this new date (Figure 5-27).

The PSR will only see the results of the calculation. The actual calculation is performed at the Board.

Figure 5-26 Court Order Balance Screen

Figure 5-27 Court Order Balance Results

Note

This functionality is for Legal Review only.

Chapter 6
Withdrawals

6.1 Introduction

The **Withdrawals** identifies all previous, current and pending participant withdrawals, allows access to withdrawal documents and forms, and permits access to withdrawal calculators, which are linked to those on the web site.

Note

All withdrawal history was converted into the *OMNIPlus* system.

Note

Withdrawal forms for married FERS participants must have the spouse's signature notarized. If a withdrawal form is incorrect, it is rejected and a new form must be completed and resubmitted. These forms may not be faxed back to the participant for correction.

6.2 Withdrawal In-Workflow

PSRs can access information about current or past withdrawal documents and/or transactions by clicking on the **Withdrawals** main-tab bar. Selecting **In-Workflow** hyperlink displays the withdrawal documentation in *PowerImage* about withdrawal requests that have not posted (Figure 6-1).

Figure 6-1 Withdrawal In-Workflow Screen

Figure 6-2 provides an informational table. Each element supplies PSRs with needed information as related to the **Withdrawal In-Workflow** screen.

Withdrawal In-Workflow	
Workflow Task	A scanned and indexed document. The number is applied at indexing. This number is assigned by *PowerImage*.
Status Date	Date withdrawal request received or the date last updated.
Withdrawal Status	Status values: In-House, Under Review, Active, In-Process, Posted, Rejected, Canceled, Suspended
Withdrawal Type	TSP-70, TSP-U-70 TSP-70T, TSP-U-70T TSP-71, TSP-U-71 TSP-73, TSP-U-73 TSP-75, TSP-U-75 TSP-75T, TSP-U-75T TSP-76, TSP-U-76 TSP-76T, TSP-U-76T TSP-77, TSP-U-77 TaxDist TaxDistrib W4P
Amount	Dollar value of the withdrawal.
Trade Date	Date shares sold to accommodate withdrawal request.
Source	How the withdrawal was requested.

Figure 6-2 Withdrawal In-Workflow Display Items

The PSR is also able to cancel an active withdrawal request from the **Withdrawal In-Workflow** screen. If there is a hyperlink titled **Cancel** to the right of the withdrawal the participant wants to remove, the PSR simply clicks on this hyperlink to cancel the withdrawal request.

To view a request, the PSR can click on the **Workflow Task** hyperlink found in the first column of each withdrawal request. This will open a secondary window displaying the actual request (Figure 6-3).

Figure 6-3 Workflow Request Display Window

Zoom In	Make image larger.
Zoom Out	Make image smaller.
Fit To Window	Fit entire image within the window.
Fit To Width	Fit the width of the image in the window.
Print	Print the image.
Previous Page	Display previous page.
Next Page	Display next page.
Goto Page	Display specific page.
Rotate Right	Rotate page to the right 90 degrees.
Rotate Left	Rotate page to the left 90 degrees.
Rotate Custom	Rotate page a specific number of degrees.
Magnify	Creates a magnifier window (check the box, then hold mouse button in image window).
Handpanning	Turns on manual pan (check the box, then hold mouse button in image window).

Note

If the form has been rejected due to an administrative error, the form can be printed from PowerImage and re-processed through PowerImage.

If a TSP-70, TSP-U-70, TSP-77 or TSP-U-77 is received before a separation code, the system will hold the withdrawal form for 30 days. If a separation code is received within 30 days, the form is then processed immediately. If a separation code is not received within 30 days, the form will be rejected and the participant is notified. While these forms are being held, they will show as "suspended" in the **In-Workflow screen**.

If a separation code is received before any withdrawal forms, or there are no forms already on file, the account is flagged for forfeitures 31 days from the separation date (refer to note below for further information on forfeitures). If after the forfeitures have been taken, the account balance is less than $200, an automatic cashout is issued. The cashout takes precedence over a withdrawal form as long as the account is under $200 (*i.e.*, the money will not be transferred or monthly payments issued). There will be no advance notice of the cashout and participants cannot return this money to the plan. If funds are returned, these funds will be placed in an "unapplied cash account" to be returned to the participant. These funds will not be reinvested in the participant's account and the participant will not be gaining earnings.

Note

The PSR application has no visual notification for forfeitures. Forfeitures are taken 31 days from the date of separation. If the separation code is received within 31 days, the forfeiture is held until the 31st day. If the separation code is received after the 31st day, the forfeiture is taken immediately. Forfeitures can be accelerated and taken immediately by receipt of a withdrawal form so the disbursement can be processed without delay.

6.3 Withdrawal History

The *PSR* application displays information about requested, fulfilled, denied and/or cancelled withdrawals. By clicking the **Withdrawals** main-tab bar followed by selecting the **Withdrawal History** hyperlink, PSRs can view the records and related information. Figure 6-4 illustrates a withdrawal history list.

The hyperlinks on the left under **Posting Date** accesses details of each particular withdrawal.

Note

Miscellaneous Pays are payments made out of the account as a part of a correction.

Figure 6-4 Withdrawal History

Figure 6-5 Withdrawal Detail Pop-Up

When the detail information is requested by selecting the hyperlink in the Posting Date column, the **Summary** screen (Figure 6-5) is the default screen that will be displayed. Any other tabs may be selected from any of the detail information screens. Not all tabs may be displayed for each individual withdrawal. The information is dependent on the type of withdrawal and available information. Table 1 identifies the detail screens the PSR should see based on the withdrawal type.

Table 1

Withdrawal Type	Detail Screens Displayed
Full Separation	Full Separation Breakdown
Partial	Summary, Disbursement, EFT/Check, Transfer
Age-Based	Summary, Disbursement, EFT/Check, Transfer
Annuity	Summary, Disbursement
MRD	Summary, Disbursement, EFT/Check
Transfer to Beneficiary - Death	Summary, Disbursement, Transfer
Transfer from Participant - Death	Summary, Disbursement, EFT/Check
Transfer to Beneficiary – Court Ordered	Summary, Disbursement, Transfer
Transfer from Participant – Court Ordered	Summary, Disbursement, EFT/Check
Hardship	Summary, Disbursement, EFT/Check
Taxable Distribution	Summary, Disbursement, EFT/Check
Monthly	Summary, Disbursement, EFT/Check, Transfer
Miscellaneous Pay	Summary, Disbursement, EFT/Check
Excess Deferral Refund	Summary, Disbursement, EFT/Check
Excess Contribution Refund	Summary, Disbursement, EFT/Check
Excess Aggregate Contribution Refund	Summary, Disbursement, EFT/Check
Excess Annual Addition Refund	Summary, Disbursement, EFT/Check

A full withdrawal displays a Full Separation Breakdown screen prior to the Summary screen because of the new mixed election option. An example is shown in Figure 6-6. The full withdrawal will provide hyperlinks to the type of details of each election (Annuity or Single) the participant selected. Only the option selected by the participant will be displayed. For example, if the participant selects only the Annuity option, that is the only hyperlink that will be displayed on the Full Separation Breakdown screen. If the Full Separation includes a monthly payment, the breakdown screen will display the amount to disburse and the first date of disbursement. If the participant selected an annuity, a Summary screen, as shown in Figure 6-7, with Date Disbursed, Amount Disbursed, and Type of Annuity will be displayed. A Disbursement tab is also available for selection. The information displayed on this screen includes the same type of matrix used for all instances of Disbursement screens (Figure 6-9). It also displays the source of the withdrawal request on the line below the matrix.

Figure 6-6 Full Withdrawal Summary Screen

Figure 6-7 Annuity Summary Screen

If the participant elects a single payment withdrawal, the standard **Summary** screen will be displayed with the additional three tabs, **Disbursement**, **EFT/Check,** and **Transfer**.

If the participant elects a monthly payment option for the withdrawal, a **Summary** screen such as the one in Figure 6-8 will be displayed.   The PSR may select any of the other tab choices to view additional detail about this withdrawal.

The participant will be sent monthly payments each month on the date of the initial payment. For instance, if the first payment was issued on the 8th, all successive payments will be issued on the 8th of each month. If a payment falls on a weekend or holiday, it will be paid on the preceding business day. If the initial payment was made on the 31st, months containing less than 31 days (*i.e.*, February being 28/29 days) will issue payments on the last business day of the month.

Figure 6-8 Monthly Payment Election Summary Information

Figure 6-9 Disbursements Matrix

The **Disbursement** screen can be displayed using shares instead of dollars. The PSR would simply click on the option button at the top right of the matrix. The default is to display the dollar amounts.

Note

Converted Monthly Payments will be established to disburse on the first day of the month. If the first day of the month falls on a non business-day or holiday, it will disburse on the last day of the preceding month.

6.4 Withdrawal Calculators

The available Withdrawal Calculators in the *PSR* application include:

- Annuity Calculators:
    - Single Life Annuity
    - Joint Life with Spouse
    - Joint Life with Other Survivor
- Monthly Payment Calculators:
    - Amount of Payment
    - Life Expectancy

All of the withdrawal calculators are useful for the participant planning a full separation withdrawal. Participants should be encouraged to use these tools on the TSP web site.

6.4.1 Annuity Calculator

The initial screen displayed when the **Withdrawals/ Withdrawal Calculators** hyperlink is chosen is the **Annuity Calculator** screen. A notice is automatically generated if the call came from CTI; otherwise it is an optional notice.

The PSR selects the Annuity Calculator desired from the drop-down list as shown in Figure 6-10.

Figure 6-10 Annuity Calculators

Note

Each time an annuity is calculated, a notice will be sent to the participant.

6.4.1.1 Single Life

If the **Single Life** calculator is selected, a screen such as the one in Figure 6-11 is displayed. The PSR enters the age the participant expects to be when he or she begins to receive the annuity, the balance the participant expects to have in his or her account at that time, the type of annuity payments desired (either level payments or payments that increase over time) and the annuity features preferred (none, a cash refund or ten year certain). The PSR then clicks on the **Calculate** button.

Figure 6-11 Annuity Calculator – Single Life

Based on the information entered in the fields in this calculator, a screen such as the one depicted in Figure 6-12, Estimated Annuity Results, might display.

Figure 6-12 Estimated Annuity Results

6.4.1.2 Joint Life with Spouse

If the **Joint Life with Spouse** (Figure 6-13) calculator is selected, the PSR must enter the age the participant expects to be when he or she begins to receive the annuity, the balance the participant expects to have in his or her account at that time, the type of annuity payments desired (either level payments or payments that increase over time), and the annuity features preferred (none, or a cash refund). The PSR must also enter the age of the participant's spouse when the annuity is to begin and the type of survivor annuity (50% or 100% survivor annuity). The PSR then clicks on the **Calculate** button and the results will be displayed in an estimated results screen similar to the one shown in Figure 6-12.

Figure 6-13 Annuity Calculator – Joint Life with Spouse

6.4.1.3 Joint Life with Other Survivor

If the **Joint Life with Other Survivor** (Figure 6-14) calculator is selected, the PSR would enter the age the participant expects to be when he or she begins to receive the annuity, the balance the participant expects to have in his or her account at that time, and the annuity features preferred (none, or a cash refund). The PSR must also enter the age of the expected surviving annuitant when the annuity is to begin and the type of survivor annuity (50% or 100% survivor annuity). The PSR then clicks on the **Calculate** button and the results will be displayed in an estimated results screen similar to the one shown in Figure 6-12.

Figure 6-14 Annuity Calculator – Joint Life with Other Survivor

6.4.2 Monthly Payments Calculators

If the PSR selects the **Monthly Payments** hyperlink at the left side, a selection must be made as to the type of calculator to be used. This is done by selecting one of the two choices in the drop-down list as shown in Figure 6-15.

The Monthly Payments calculator requires an interest rate be supplied, unlike the Annuity Calculator which uses the current annuity interest rate.

Figure 6-15 Monthly Payments Calculators

Note

No notice is generated within PSR for the monthly payments calculators.

6.4.2.1 Amount of Payment

If the **Amount of Payment Calculator** is selected, a screen like the one depicted in Figure 6-16 is displayed. The PSR must enter the balance used for the calculation, the amount they wish to receive on a monthly basis and the percent they expect the balance will earn over the period of time. The number of months the participant can expect to receive this amount will be calculated and a screen such as the one illustrated in Figure 6-17 will be displayed.

Figure 6-16 Amount of Payment Calculator

Figure 6-17 Monthly Payment Results

6.4.2.2 Life Expectancy Calculator

If the **Life Expectancy Calculator** is selected, a screen like the one depicted in Figure 6-18 is displayed. The PSR must enter the balance used for the calculation and the age when payments are to begin. The life expectancy factor will be calculated and a screen such as the one illustrated in Figure 6-19 will be displayed. To view the next series of payments, click the **Next 10** button at the bottom.

Figure 6-18 Life Expectancy Calculator

Figure 6-19 Life Expectancy Calculator Results

6.5 Monthly Payments

If the participant is currently receiving or scheduled to receive monthly payments, the **Monthly Payment** screen will display the terms of those payments. This is accessible by clicking the **Withdrawals** main-tab bar followed by selecting the **Monthly Payment** hyperlink. PSRs can view the current set-up for the monthly payments, including the

disbursement information and any W4P override. Figure 6-4 illustrates a withdrawal history list.

Figure 6-20 Monthly Payments screen

If the participant is receiving monthly payments and opts to have a portion of the disbursement as a transfer, the Monthly Payment screen will appear as in Figure 5-21.

Figure 6-21 Monthly Payments screen with transfer option

If the participant has any pending or rejected TSP73s during the past 90 days, they will also appear as workflow items on the Monthly Payment screen. PSRs can click the link for the workflow task to view the image of the associated TSP73. Figure 6-4 illustrates a withdrawal history list.

Figure 6-22 Monthly Payments screen with TSP73 In-Workflow

6.6 Legal Documents

The Legal Documents screen will display all legal documents that have been processed within the last 14 days. This is accessible by clicking the **Withdrawals** main-tab bar followed by selecting the Death/CO Pay Forms hyperlink.

Figure 6-23 Legal Documents screen

The PSR can click on the workflow task hyperlink to display the legal documents.

Chapter 7

Transactions

7.1 Introduction

The *PSR* application allows PSRs to initiate any of the following transactions at the request of a participant:

- ➢ Account Number Notification
- ➢ Change the Address of a separated participant
- ➢ Block/Unblock access to the web and/or *ThriftLine*
- ➢ Change Contribution Allocations
- ➢ Process Death Hold
- ➢ Process Interfund Transfers
- ➢ Mail plan materials
- ➢ Initiate a system-generated PIN
- ➢ Initiate a system-generated password
- ➢ Reamortize loans
- ➢ Change Statement Delivery Option
- ➢ Request a Duplicate Quarterly Statement
- ➢ Request Verification of Account
- ➢ More…..
  - o Change the Date of Birth of a separated participant
  - o Administrative Hold
  - o Legal Authorization
  - o New Account Number Assignment
  - o Security Alert

Transactions are available using the **Transactions** tab on the main-tab bar.   (Note: Only the *TSP Service Office's Correspondence Unit* can initiate a verification of deposit transaction and unblock access to the web or *ThriftLine*.) Position the cursor over the **Transactions** tab

and click on the left mouse button. The **Transaction** hyperlink bar appears (Figure 7-1). Select a transaction by clicking on the hyperlink.

Transaction Hyperlink Bar

| Account Information | History | Loans | Withdrawals | Transactions | Mail | Notes |

Account Nbr | Address Change | Block Acct | Cntrb Alloc | Death Hold | IFT | Materials | P/PW | Ream Loan | Statements | VOA | More...

Figure 7-1 Transaction Hyperlinks

If a transaction is submitted to the system before the 11 am CT cutoff, it is considered an active transaction in the *OMNIPlus VTRAN* file. After the cutoff, the active transaction becomes an in-process transaction waiting to be processed in the nightly *Unified Job*. During the nightly job, all in-process transactions post to participant accounts in *OMNIPlus*. Thus, all transactions made to a participant account before cutoff become effective the following business day.

However, there are two exceptions. Transactions to block account access to *ThriftLine* or to the web are processed immediately and do not wait for the nightly job, and the generation of a new PIN is immediately changed once the request is submitted. The mailing of the new PIN becomes a transaction performed in the nightly job.

When performing any transaction, all representatives are **required** to read each and every confirmation window "verbatim" to the participant before completing a transaction request. The participant **must** reply positively before the request is submitted.

If power goes down or there is system interruption, and the PSR has not yet clicked on the final **Submit** or **Yes** button to enter the transaction, the transaction will not be sent to *VTRAN* for the nightly job. However, the PSR will be able to see if the transaction was accepted by returning to the same transaction screen. The new change will be visible along with the ability to cancel the active transaction for Contribution Allocations, Interfund Transfers, and Address Changes.

Note

A transaction submitted before the cutoff time on Monday morning becomes effective on Tuesday. A transaction submitted on Monday after the cutoff time is effective on Wednesday. This is also true of changes a participant submits through the *ThriftLine* or the www.tsp.gov web site. However, requests to block or unblock access to the web or *ThriftLine* and to change a PIN are processed immediately.

PSRs may not perform transactions for individuals appointed as Power-of-Attorneys (attorneys-in-fact), Conservators or Guardians. These individuals must send in a request in writing. These requests are reviewed by Legal Review, and must be deemed acceptable before they can be processed.

Note

Notices to participants will not contain the date or the time that the transaction was generated by the PSR.

04/19/2008

7.2 Address Change

To submit an address change for a separated participant, the PSR selects the main-tab bar option or the hyperlink on the left. An **Address Change** screen (Figure 7-2) will appear with the participant's current address of record displayed.

The PSR would edit the field information requested by the participant. Once the **Submit** button is clicked, a confirmation screen, as illustrated in Figure 7-3, appears asking the PSR to confirm the changes with the participant. If the changes are correct, click the **Yes** button. This will send the new address information to the *VTRAN* file for processing in the nightly job. If it is before the cutoff time, the transaction should process that night. If it is after the cutoff time, it will process with the next day's business.

If a PSR attempts to process an address change for an active participant using this method, the PSR receives a message advising that a non-separated participant must submit a change of address through his/her agency personnel office, as depicted in Figure 7-4. (Personnel office information is available by selecting the **Account Information/Employing Info** hyperlink.)

Address changes requested by a participant's beneficiary must be made in writing. These requests are processed by the death benefits group. PSRs may not change beneficiaries' addresses using this transaction.

Figure 7-2 Address Change Screen

Note

To enter a *Domestic* address, make sure to select the **Domestic** radio button option. To enter a *Foreign* address, choose the **Foreign** radio button option. To enter an *APO/FPO* address, click on the **APO/FPO** radio button option.

Figure 7-3 Address Change Confirmation Screen
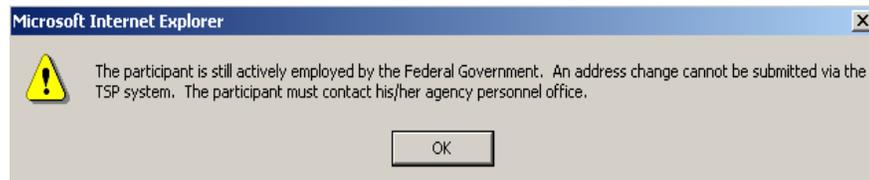
Figure 7-4 Non-Separated Participant Error Message Prompt

Once an address change is complete, a notice is sent to the participant. This notice is stored in *PowerImage* for viewing. If an address change request has been submitted but not yet processed, the display screen will note that a change request was submitted. The PSR may cancel this request, upon the participant's confirmation, by clicking the available
[Cancel Address Change] button. The PSR is then notified that the active request has been canceled.

7.2.1 Foreign Addresses

If the separated participant's new address is a foreign address, the PSR will use the following option (Figure 7-5):

Figure 7-5 Foreign Address Option

7.2.2 APO/FPO Addresses

If the separated participant's new address is an APO or FPO address, the PSR will use the following option (Figure 7-6):

Figure 7-6 APO/FPO Address Option

7.3 Block Account

The **Block Account** transaction allows a PSR to block access to a participant's account from the *ThriftLine* and/or from the Web. To accomplish an account block, a PSR selects the **Block Acct** hyperlink. The screen displays the **Block Account Access** screen, as illustrated in Figure 7-7 below.

Figure 7-7 Block Account Access

After reading the displayed message to the participant, the PSR clicks on the box (or boxes) associated with the type of account access the participant wants blocked and then clicks on the **Submit** button.

The submit action displays the screen shown in Figure 7-8 confirming the block action.

Figure 7-8 Block Account Access Confirmation Screen

After confirming with the participant of the correct block actions, the transaction is immediately registered when the PSR clicks on the **Yes** button. To cancel the submission of this transaction, the PSR clicks the **No** button.

Once a block request is complete, a notice is sent to the participant reminding that participant that he or she must send a request in writing to unblock. This notice is stored in *PowerImage* for viewing.

Note

The participant must send a written request to the *TSP Service Office* to remove either block. Only CCLU will have access to remove a block.

7.4 Contribution Allocation

Participants can change contribution allocation elections daily using the web site, the *ThriftLine* or with the assistance of a PSR.

Note

A contribution allocation change affects future contributions made to the account, not the money already in the participant's account.

The PSR begins this transaction by selecting the **Cntrb Alloc** hyperlink.

Before a contribution allocation or interfund transfer can be performed the participant is required to have an *Acknowledgement of Risk (AOR)* on file in the *PSR* application. Only one AOR is required per participant account. If the participant has not previously completed an AOR, a screen like Figure 7-9 displays. If the participant has an AOR on file, the screen in Figure 7-9 will not appear. Instead, the transaction request will proceed to a screen such as Figure 7-11.

Figure 7-9 Acknowledgement of Risk Screen

If the participant chooses not to accept the risk, the PSR selects the **No** button. A pop-up window appears on the screen to advise the PSR that an AOR is required for this request to continue (Figure 7-10). The PSR clicks the **OK** button on the window to terminate the transaction. No Contribution Allocation or Interfund Transfer changes can be made to the account unless the participant chooses to respond positively to an AOR.

Figure 7-10 Acknowledgement of Risk Error

If the participant responds in the affirmative, the PSR selects the **Yes** button enabling continuation of the transaction. The screen displays four columns as illustrated in Figure 7-11. The first column lists the funds. The second column, Current Fund Allocations, shows the current fund allocation for this account. The third column, Active Allocation, provides an input box for each fund to enter the new contribution percentage.

If the third column is populated with values, the participant has an *Active Allocation* transaction request in the system.   An active allocation is one that the participant has requested, through a PSR, the *ThriftLine* or the website, since the previous cutoff time. It remains active until the next cutoff time. While active, an election can be changed or cancelled. After the cutoff, the request becomes an *In-Process Allocation*, and is processed with the next nightly job. It cannot be changed or cancelled at this time. The participant's only option is to submit another contribution allocation request to be processed the following business day.

The fourth column displayed is an in-process allocation request. It is displayed to the right. This in-process request is processed in the nightly job and cannot be changed or cancelled.

Figure 7-11 Initial Contribution Allocation Screen

To start a new contribution allocation request, the PSR enters the percents requested by the participant into the active column for the corresponding fund input boxes. To complete the transaction, the PSR selects the **Change Allocation** button. A window displays the new contribution allocation (Figure 7-12-1).

Figure 7-12-1 Contribution Allocation Change Confirmation Screen

The PSR should review the updated contribution allocations with the participant. If the participant agrees, the PSR clicks the **Yes** button submitting the transaction to the system.

The second confirmation screen appears with dialog to read to the participant (Figure 16-13-2).

If the participant disagrees with the allocation, the PSR clicks the **No** button to return to the **Contribution Allocation Transaction** screen.

Figure 7-13-2 Contribution Allocation Change Confirmation Screen

Once an allocation has been submitted to the system, it becomes an active allocation until the next cutoff time. An active allocation can be cancelled. To cancel an active allocation, the PSR clicks the **Cancel Active** button (Figure 7-14).

Figure 7-14 Cancel Active Allocation

When the **Cancel Active** button is clicked, a confirmation will appear (Figure 7-15).

Figure 7-15 Cancel Active Allocation Confirmation

To cancel the active allocation, click the **Yes** button. To keep the active allocation in place, click the **No** button.

Note

The **Cancel Active** button will not be displayed unless there is an active Contribution Allocation request on file for the participant.

After the cutoff, the active allocation becomes an in-process allocation as illustrated in Figure 7-16.

Figure 7-16 In-Process Allocation Screen

7.5 Death Hold

The **Death Hold** transaction allows the PSR to place a death hold on a participant's account in response to a verbal report of death. The required fields are the participant's date of death, the persons name reporting the death, the caller's daytime phone number, and the caller's relationship to the participant. The transaction will also cause a system generated note denoting date of death, the name of the person reporting the date of death, their relationship to the participant, their daytime phone number, and the mailing address for death packet if provided. If no Mailing address was provided, PSR assumes the death hold should be placed without mailing a Death Benefits information packet. This transaction follows the cut-off rules as other transactions and therefore is not a real-time update. To access the death hold screen (Figure 7-17), the PSR selects the **Death Hold** hyperlink.

Figure 7-17 Death Hold Screen

The submit action displays the death hold confirmation screen (Figure 7-18 or Figure 7-19) confirming the death hold.

Figure 7-18 Death Hold Confirmation Screen with Address

If no mailing address is provided, the PSR assumes the death hold should be placed without mailing a Death Benefits information packet.

Figure 7-19 Death Hold Confirmation Screen without Address

Once the PSR confirms the request by clicking the 'Yes' button, a death hold transaction is written to VTRAN for processing in the nightly cycle and a death packet will be mailed to the address specified on the death hold confirmation screen.

If the participant already has a death hold or a pending death hold, the PSR will receive the following error message (Figure 7-20) upon entry to the Death Hold transaction.

Figure 7-20 Death Hold Pending Message

7.6 Participant Statement Transactions

The **Statement Delivery Option** controls how the quarterly participant statement is delivered to the participant. A **Duplicate Statement** transaction mails a copy of the current quarterly statement to the address on the statement. The PSR can access both of these functions from the **Statements** hyperlink. The Participant Statement Transaction screen will appear for the PSR to choose between changing the statement delivery option or request a duplicate statement.

Figure 7-20 Participant Statement Transactions Screen

7.6.1 Change Statement Delivery Options

By selecting **Change Statement Delivery Options**, the PSR will be taken to the Statement Option Screen (Figure 6-21).

Figure 7-21 Statement Option Screen

Note

The option currently available for the participant is the default upon entering the screen. By default, all participants were initially set to electronic delivery.

The PSR selects the preferred delivery option. The PSR then clicks the **Submit** button.

A confirmation screen will appear, as depicted in Figure 7-32. The PSR verifies the information from the request and if correct, clicks on the **Yes** button to complete the transaction. The request is submitted to the *VTRAN* file for processing in the nightly batch. A document is created using the same process as used to generate notices and sent to the mailroom for fulfillment. If the **No** button is selected, the PSR will be returned to the **Verification of Deposit** screen to make the necessary corrections.

Figure 7-22 Statement Option Confirmation Screen

When a statement option request is completed, a confirmation will be sent to the participant. The selected delivery option will be available on the PSR Main Account screen. In parenthesis, the method by which the delivery option was changed will be displayed.

7.6.2 Request Duplicate Statement

By selecting **Request Duplicate Statement**, the PSR will be taken to the duplicate statement screen (Figure 7-), the PSR selects the **Statements** hyperlink.

Figure 7-23 Duplicate Statement Request Screen

The request statement action displays the duplicate statement confirmation screen (Figure 7-214) confirming the duplicate statement transaction.

Figure 7-214 Duplicate Statement Confirmation Screen

After the PSR confirms the request by clicking the 'Yes' button, a copy of the current quarterly statement will be mailed to the address on the statement. The participant should receive the statement within 10 days.

7.7 Interfund Transfer

An Interfund Transfer affects the money already in the participant's account. Daily valuation enables participants to move the fund money as often as once a day. If multiple requests are made on the same day, the final electronic transfer the participant makes prior to cut-off is the transfer that is processed in that night's cycle. The participant has choices regarding the method used to accomplish an interfund transfer, including accessing the www.tsp.gov web site or *ThriftLine* and performing the transaction personally or calling the *TSP Service Office* via the *ThriftLine* to have the PSR complete the transaction. The PSR selects the IFT hyperlink.

The PSR can access the Interfund Transfer screen by selecting the IFT hyperlink.

The first screen displayed is dependent on whether the participant has responded positively to an AOR as discussed above. If the participant has not completed an AOR, the first screen the PSR sees is the AOR. The AOR screen displayed and the resulting processing are the same for an Interfund Transfer request as they are for a Contribution Allocation request. See Figure 7-9 and Figure 7-10 for examples.

A positive response to the AOR (the PSR points and clicks on the **Yes** button) or a previously completed acknowledgement results in the display of the **Interfund Transfer** screen shown in Figure 7-225.

Figure 7-225 Interfund Transfer Screen

The **Interfund Transfer** screen is similar to the **Contribution Allocation** screen, except that it has three columns instead of four. No current information is displayed. The first column on the **Interfund Transfer** screen lists the funds. The second column, Active Interfund Transfer, has an input box for the percent of the total account balance transferred into each fund. If there are any values in the boxes in this column, it means the participant has an active interfund transfer. Any changes will overlay that request. The third column, In-Process Interfund Transfer, displays any transfer the participant has submitted previously and is waiting for processing in the next nightly batch. This displays only if it is after the cutoff time.

The figures entered into the input boxes in the Active Interfund Transfer column must equal 100%. A running total is shown at the bottom of this column. If the PSR attempts to submit a transaction that does not total 100%, a message will appear as seen in Figure 7-236.

When the figures in the active column total 100% and are distributed in the funds as the participant wants, the PSR can click on the **Submit** button to send the request to the system. As with the allocation transaction, when the PSR submits the transfer, a window asks the PSR to confirm the transaction. The PSR reviews the transfer percentages per fund with the participant and clicks on the **Yes** button (Figure 7-247) and the submitted transaction passes to the system. Processing of a transaction submitted prior to the cutoff normally occurs that night. Transactions submitted after cutoff remains in the *VTRAN* file to be processed with the following day's business.

Figure 7-236 Total Not Equal to 100% Error Screen

Figure 7-247 Interfund Transfer Confirmation Screen

Interfund Transfer

Sir/Ma'am, I have just confirmed your interfund transfer request. Your interfund transfer should take effect as of close of business (today, tomorrow, Monday, etc.) The TSP will mail you a confirmation letter that you should receive within 7-10 business days after your interfund transfer becomes effective.

If the participant then asks for a specific date the PSR can tell him/her, "Based on the time of the completion of the request it SHOULD take effect as of close of business (todday, tomorrow, Monday, etc.), but we must tell participants that your request will take effect within 2 business days."

To close the transaction the PSR should state, Thank you for your request; is there something else I can help you with today?"

Figure 7-258 Interfund Transfer Confirmation Screen

At any time in the process, the participant can ask the PSR to cancel the request. While on the confirmation window, clicking the **No** button terminates the transaction.

Interfund Transfer

	Current Distribution	Active Interfund Transfer	In-Process Interfund Transfer
L 2040	10%	%	0%
L 2030	20%	%	0%
L 2020	30%	%	0%
L 2010	40%	50 %	0%
L Income	0%	%	0%
G Fund	0%	50 %	0%
F Fund	0%	%	0%
C Fund	0%	%	0%
S Fund	0%	%	0%
I Fund	0%	%	0%
Total	100%	100%	

Cancel Active   **Change Transfer**

Figure 7-269 Cancel Active Interfund Transfer

To cancel an active transfer request, the PSR hits the **Cancel Active** button (Figure 7-269). When the **Cancel Active** button is clicked, a confirmation window will appear.

Figure 7-30 Cancel Active Interfund Transfer Confirmation

To cancel the active transfer, click the **Yes** button. To keep the active transfer in place, click the **No** button as shown in Figure 7-30.

Note

The **Cancel Active** button will not be displayed unless there is an active transfer request on file for the participant.

7.8 Mail Plan Materials

The PSR selects the **Materials** hyperlink. A screen with the participant's mailing address and the available documents displays (Figure 7-31). The PSR confirms the mailing address and selects the category of the document requested. The PSR can then select one or more documents to send from the selection lists. If the participant wants the information mailed to another address, the PSR may edit the address information.

Note

This address information is only effective for this request and does not change addresses on the participant account.

04/19/2008

Figure 7-31 Mail Plan Materials Screen

To specify the documents for mailing, the PSR selects the materials category and then selects the desired document(s) in the selection list and clicks to highlight it (Figure 7-32). If the participant wants more than one document, the PSR can hold the **<Ctrl>** key permitting the PSR to select as many documents as necessary. After selecting the documents, the PSR clicks the **Submit** button. The *PSR* application submits the transaction to *VTRAN* for processing during the nightly batch. The nightly job creates a notice with a list of materials to be packaged for fulfillment by the *TSP Mail Room*.

Figure 7-32 Mail Plan Materials Screen

Note

> To mail materials to a *Domestic* address, make sure to select the **Domestic** radio button option. To enter a *Foreign* address, choose the **Foreign** radio button option. To enter an *APO/FPO* address, click on the **APO/FPO** radio button option.

7.9 Reamortize a Loan

Reamortization involves changing one of three factors in an existing active loan:

1. The length of the loan term

2. The loan repayment amount

3. The frequency of payment

The participant may request more than one reamortization for a loan.

There are a maximum of four steps to reamortize a loan:

1. Select the loan to be reamortized from the **Loan Number** drop-down list.

2. Select the frequency of loan payments from the **Frequency** drop-down list.

3. Select the appropriate Terms for calculation and enter the needed figures for the selected terms.

4. Click the **Calculate** button.

Figure 7-273 Reamortize Loan Calculator

If the reamortization terms entered do not allow the loan repayment in a manner that meets the TSP rules, a notice will display above the calculations stating the terms were adjusted to

meet the rules (Figure 7-284). The PSR may cancel out of these adjusted terms and reenter other terms as the participant requests.

Figure 7-284 Reamortize Loan Results

Clicking on the **Cancel** button will return the PSR to the **Reamortize Loan Calculator** screen to continue with another loan. Clicking on the **Confirm** button will write the loan reamortization transaction to *OMNIPlus*. A confirmation will be sent to the participant, and the loan payment amount will be updated.

7.10 Generate New PIN and Password

Access to a participant account using *ThriftLine* or the web requires two pieces of information, the participant's *Social Security Number (SSN)* and a *Personal Identification Number (PIN)*. When the participant changes his/her PIN using the *ThriftLine* or the web, the change is immediate and the participant may select the PIN of his/her choice. A PSR may submit a request for a new PIN for a participant using the **P/PW** hyperlink.

The important points for the participant to understand about having the PSR request the PIN change are:

1. Participants cannot select a custom PIN using this request method. The *OMNIPlus* system randomly generates the PIN.

2. While the PIN is changed immediately, the PSR cannot give the participant the PIN over the telephone since PINs are computer encrypted. The system generates the PIN for mailing in a secure envelope.

3. The system will mail the new PIN only to the address of record and it may take up to ten days for the participant to receive it.

Note

PIN Change notices will not be stored in PowerImage.

The system processes the request, generating and mailing the PIN and/or Password to the address of record. The participant should receive the PIN within ten days. Figure 7-295 is a sample of the screen used to request a PIN and/or Password for a participant.

Figure 7-295 Request a System Generated PIN Screen

If the participant's address of record is incorrect, and that participant is active, the participant needs to contact his/her payroll office to have the address changed before the PIN is sent (unless the participant knows that the PIN will be forwarded). If the participant is inactive (separated), the PSR can change the address and request the PIN within the same call. The address change will process before the PIN request as long as both are completed before the 11:00 am CT cutoff.

If a participant requests several PIN changes before the 11:00 am CT cutoff, only the last request before the cutoff will process. All previous requests will be voided. However, if the participant requests another PIN change across the cutoff (*i.e.*, the call begins at 10:59 am CT but completes at 11:01 am CT), two PIN notices are sent. The second notice received will be the active PIN.

If a participant asks what the PIN number is during the call, the PSR can not give this information to the participant. Participant PINs are encrypted by the record keeping system and cannot be accessed by anyone. The participant will need to wait until he or she receives the new PIN in a secure envelope via regular mail.

Once the PIN and/or Password request is processed in *OMNIPlus*, the change will be reflected on the Main Account screen in the PIN Change Date field and Password Change Date field (Figure 7-306).

Figure 7-306 Lower Right box on Main Account screen

7.11 Account Number Notification

The account number notification allows the PSR to mail a notification to the participant informing them of their account number. The notification will be mailed to the address of record and should be received within 10 days. The PSR can access this function from the **Account Nbr** hyperlink.

Figure 7-317 Account Number Notification Screen

After the PSR clicks on the Submit Request button, the account number confirmation screen will appear (Figure 6-38). The PSR must hit the 'yes' button for the transaction to be processed.

Figure 7-328 Account Number Confirmation Screen

7.12 Verification of Account

A written request is the only way a participant has to obtain a verification of account. The PSR can access this function from either of the **VOA** hyperlinks.

Figure 7-339 Verification of Deposit Screen

Note

To mail a VOA to a *Domestic* address, make sure to select the **Domestic** radio button option. To enter a *Foreign* address, choose the **Foreign** radio button option. To enter an *APO/FPO* address, click on the **APO/FPO** radio button option.

The PSR enters the contact name, name of the institution and the mailing address. The PSR then clicks the **Submit** button.

A confirmation screen will appear, as depicted in Figure 7-40. The PSR verifies the information from the request and if correct, clicks on the **Yes** button to complete the transaction. The request is submitted to the *VTRAN* file for processing in the nightly batch. A document is created using the same process as used to generate notices and sent to the mailroom for fulfillment. If the **No** button is selected, the PSR will be returned to the **Verification of Account** screen to make the necessary corrections.

Figure 7-40 Verification of Deposit Confirmation Screen

When a VOA request is completed, a copy of the response is sent to the participant. An automated note will also be stored in Notes. Once the VOA has been mailed, it is available in *PowerImage* in the event the participant needs an immediate copy (*i.e.*, participant is at closing and it has not arrived yet).

7.13 Supervisory Transactions

PSR's with supervisory permissions can access the following transactions by selecting the More… hyperlink under the **Transactions** tab. The Supervisory Transactions screen will appear allowing the PSR to select which transaction to process.

Figure 7-41 Supervisory Transactions Screen

7.13.1   Date of Birth Change

To submit a change in Date of Birth for a separated participant, the PSR selects the **Transactions** main-tab bar option then the More… hyperlink. A **Date of Birth Change** screen (Figure 7-28) will appear with the participant's current date of birth displayed.

The PSR would edit the field information requested by the participant. A pop-up calendar is provided to select the date, or it may be directly keyed into the date of birth field. Once the **Submit** button is clicked, a confirmation screen appears asking the PSR to confirm the changes with the participant (Figure 6-41). If the changes are correct, click the **Yes** button. This will send the new date of birth to the *VTRAN* file for processing in the nightly job. If it is before the cutoff time, the transaction should process that night. If it is after the cutoff time, it will process with the next day's business.

If a PSR attempts to process date of birth change for an active participant using this method, the PSR receives a message advising that a non-separated participant must submit a change of address through his/her agency personnel office.

Figure 7-42 Date of Birth Change Screen

Figure 7-43 Date of Birth Change Confirmation Screen

7.13.2   Administrative Hold

The Admin Hold screen (Figure 6-44) allows the PSR to place an admin hold on the account and specify the reason for the hold.

Figure 7-44 Admin Hold Screen

After the PSR selects a reason from the dropdown and clicks on the submit button, the Admin Hold confirmation screen (Figure 6-45) will appear.

Figure 7-45 Admin Hold Confirmation Screen

7.13.3   Legal Authorization

The Legal Authorization process allows the PSR to enter a Conservatorship, Guardianship, or Power of Attorney for a participant (Figure 6-46).

Figure 7-46 Legal Authorization for Participant Screen

The appropriate fields will appear based on which option was chosen. For each option the PSR will need to enter the name, begin date, and expiration date (Figure 6-47). The calendars (🖐) can be used for ease of entry.

Figure 7-47 Legal Authorization for Participant - Conservatorship Screen

The Power of Attorney screen allows the PSR to further specify if the Power of Attorney is General, Specific - Signature, or Specific – Information (Figure 6-48). The General POA option authorizes the person specified in the name field to transact business with TSP on behalf of the participant up to the expiration date specified. The Signature POA option authorizes the person specified in the name field to sign TSP documents on behalf of his spouse up to the expiration date specified. The Information POA option authorizes the person specified in the name field to obtain information only related to the TSP account up to the expiration date specified.

Figure 7-48 Legal Authorization for Participant – Power of Attorney Screen

After the PSR enters all of the information and clicks the submit button, the Participant Legal Authorization Confirmation screen will appear (Figure 6-49). The PSR can verify the information is correct and click the 'Yes' button.

Figure 7-49 Legal Authorization Confirmation Screen

7.13.4   New Account Number Assignment

A PSR may submit a request for a new system-generated account number for a participant by selecting the New Account Number Assignment option from the Supervisory Transactions screen.

Figure 7-50 System Generated Account Number Screen

The PSR must click on the 'Yes' button on the confirmation screen (Figure 6-51) for the transaction to be processed.

Figure 7-51 System Generated Account Number Confirmation Screen

7.13.5   Security Alert

The PSR may request a system generated password to be mailed to the address of record. The mailing should be received within 10 days.

Figure 7-52 Security Alert Screen

After the PSR clicks on the 'Request' button, the Security Alert Confirmation Screen (Figure 6-53) will appear. The PSR must click on the 'Yes' button for the transaction to be processed.

Figure 7-53 Security Alert Confirmation Screen

Chapter 8

History

8.1 Introduction

The **History** option allows PSRs access to information concerning all participant account activities. All transaction information within the PSR application is retained indefinitely.

Clicking the **History** main-tab bar reveals four hyperlinks: **Search Transactions**, **Indicative Changes**, **Search OMNI**, **Search Legacy, 90 Day Rejects,** and **Non-Pay** as illustrated in Figure 8-1.

Figure 8-1 History Tab

Note

Only financial type transactions are available to search using the **Search Transaction** function. The **Indicative Changes** function provides a search capability for non-financial transactions.

8.2 Search Transactions

To access the **Search Transactions** function, click on the **History** main-tab bar and select the **Search Transaction** hyperlink revealing the **Transaction History Filter** screen. This screen defaults to pre-select **Past 30 Days** and the **All Transactions** checkboxes and immediately displays the results of these criteria. PSRs can change these defaults by selecting what they wish to search. To search for information within a 90 day time frame, click the **Past 90 Days** option button. To search for information during a specific time period, the PSR would select the **From/To** option button and type a beginning and ending date range in MM/DD/YYYY format (Figure 8-2). To search for specific transaction types, the PSR would simply click in the appropriate check boxes to select which transaction type or types they wish to see. The **Time Period** and **Transaction Type** search criteria fields can be mixed and matched in any fashion.

Figure 8-2 Search Transaction Default Settings

The search results will display a list of all transactions of the type(s) selected within the specified time period. The transactions list is in date order beginning with the most recent transaction as shown in Figure 8-3.

Figure 8-3 Search Transactions Results

Note

Cash Earnings transactions are a result of conversion. Stock Purchase transactions are the date of conversion.

To review the details of the transaction, the PSR can click on the **Posting Date** hyperlink in the left hand column. A pop-up window will appear showing the details of the transaction including the source (i.e. JV, MATWEB, MATIVR, PowerImage UserID, or the PSR UserID). Each detail window will be unique to the type of transaction. Some examples are shown in Figure 8-4.

Figure 8-4 Transaction Detail Screen Sample

The source of the transaction is listed at the bottom in each details window. This source information identifies how the transaction was completed. Detail screens for contributions and loan payments will provide journal voucher numbers and payroll office numbers as well as annotations that payment was made through FRB for those loan payments submitted by the payroll office.

8.2.1 CSRS Participant Accounts

CSRS participants are not eligible for agency contributions, however some accounts do have money either because the participant's retirement code is wrong or the payroll office erroneously submitted these contributions. The new system will accept these contributions but will warn the payroll offices that they are inconsistent with the participant's retirement codes. These contributions will be displayed in the agency automatic and matching columns on the contributions allocation details screen similar to the way they are currently for FERS participant accounts.

These contributions and earnings will not be included in MLA calculations for CSRS participants nor can a CSRS participant withdraw money from his or her account as long as there remains a question regarding his or her entitlement to the funds. The payroll office is required to correct these accounts. In some circumstances, the erroneously submitted contributions will be forfeited to expedite payment to the participant.

8.3 Indicative Changes

To access **Indicative Changes**, select the **History** main-tab bar and then the **Indicative Changes** hyperlink. The system defaults to the **Past 90 Days** time period, however, PSRs can select the **From/To** time period and enter a narrower or wider range for the search. Activate the option button adjacent to the **From/To** text boxes and enter the desired dates in the fields in MM/DD/YYYY format. Figure 8-5 illustrates the Indicative Data Filter time period search.

Default Past 90 Days Search	Specified Date Search

Figure 8-5 Indicative Changes

Results from this search will look similar to the screen displayed in Figure 8-6. If the changes can be displayed on a single line such as "old value" and "new value," the PSR will see that on the summary results screen.

Figure 8-6 Indicative Search Summary Results Screen

Note

PIN change requests are not listed in the **Indicative Data History** list. Only indicative changes received from the Agencies are available on the **Indicative Data History** list.

8.4 Search OMNI

OMNIPlus often performs multiple transactions while processing what appears to the *PSR* application as a single transaction. For example, to a participant, an interfund transfer appears as a single transaction request. To *OMNIPlus,* it is at least two transactions, one to sell shares in a fund and a second transaction to buy shares in a fund. The same transaction may result in multiple buy and multiple sell transactions depending on the number of funds and the source of the funds involved.

Using the **Search Transactions** function to view an interfund transfer, the results would be displayed as a single transaction most PSRs will recognize such as the transaction displayed in Figure 8-7.

| 09/17/2007 | 09/17/2007 | Interfund Transfer | $0.00 |

Figure 8-7 Search Transaction Results for Interfund Transfer

Using the **Search OMNI** function to view the same interfund transfer will display the multiple transactions processed internally by *OMNIPlus* like the ones displayed in Figure 8-8.

Figure 8-8 Search OMNI Results for Interfund Transfer

The results from a **Search OMNI** are usually easy to identify because the PSR sees one date with many of the same transactions listed, the posting date on the above example shows 07/24/2002 with the transaction Interfund Transfer for the fifteen listings on the history. In the **Search Transactions** function, this is one line in the history (Figure 8-7).

Search OMNI allows PSRs to investigate participant transactions using various filters. PSRs can leave the default setting of **Past 90 Days**, or they can elect to change the **From/To** option button to narrow or widen the search criterion.

Filtering allows PSRs to investigate all *OMNIPlus* transactions or select a specific transaction type like Contribution Allocations, Withdrawals or Loan Payments. Figure 8-9illustrates the **Search OMNI** filters. The picture on the left depicts the default filter options. The right side of the figure illustrates implementing a date change as well as selecting only one type of transaction, Loan Payments.

Figure 8-9 Search History

Figure 8-10 is an illustration of a full **Search OMNI** results screen using all transaction types and a selected time period.

The results are displayed in date order with the most recent transactions first. If the results are too many for display on one screen, **Prev** and **Next** hyperlinks will appear. The PSR can then page through the screens until the desired information is located.

Figure 8-10 Search OMNI Results

The **Search OMNIPlus** function is particularly useful for research purposes because it shows a complete history of account transactions, including system generated transactions and payroll office transactions in addition to participant requested transactions. It is primarily a research function and will rarely be used by a PSR.

8.5 Search Legacy

PSRs can access Legacy data by clicking the **History** main-tab bar and selecting the **Search Legacy** hyperlink. The *PSR* application provides search criteria for the transactions selected for the report which is a date range, as well as, a funds search.

Figure 8-11 Search Legacy Search Filters

After the PSR has selected the appropriate search criteria and clicked the **Search** button, the data request will display in the Legacy History table (Figure 7-12).

Figure 8-122 Legacy History Screen

8.6 90 Day Rejects

The PSR operator has the ability to view all rejected transactions of the past 90 days. PSRs can access this information by clicking the **History** main-tab bar and selecting the **90 Day Rejects** hyperlink. The *PSR* application displays the screen illustrated in Figure 8-133.

Figure 8-133 90 Day Rejects Screen

8.7 Non-Pay Status History

The PSR can view the non-pay status history of the participant. PSRs can access this information by clicking the **History** main-tab bar and selecting the **Non-Pay** hyperlink. The *PSR* application displays the screen illustrated in Figure 8-14 .

Figure 8-14 Non-Pay Status History Screen

Chapter 9

Mail

9.1 Introduction

The *PSR* application sends and receives information via statements, notices, mail, forms, and tax documents. The **Mail** tab is the cumulative place to find all mail correspondence.

Figure 8-1 Main tab and hyperlinks for Mail

9.2 Miscellaneous

The Miscellaneous Mailings screen (Figure 8-2) will be display Account Number Mailings. In the future, more mailing will be added to this screen.

Figure 8-2 Miscellaneous Mailings Screen

9.3 Participant Notices

All participant notices generated from the nightly cycle can be viewed on the Participant Notices screen. PSRs can access this information by clicking the **Mail** main-tab bar and selecting the **Notices** hyperlink. The notices are listed with the most recent first, with 25

displayed per page. If more than 25 notices exist for the participant, the Prev/Next navigation is available for scrolling through all participant statements. Clicking the workflow task will display the notice image. The *PSR* application displays the screen illustrated in Figure 8-148-3.

Figure 8-3 Participant Notes Screen

9.4 Statements

The PSR operator has the ability to view all quarterly and annual statements for the participant. By checking the *Mail as Duplicate Statement* checkbox, the PSR can request the current quarterly or current annual statement be mailed to the address on that statement. PSRs can access this information by clicking the **Mail** main-tab bar and selecting the **Statements** hyperlink. The *PSR* application displays the screen illustrated in Figure 8-4.

Figure 8-4 Participant Statements Screen

9.5 1099s

The PSR operator has the ability to view all 1099s mailed to the participant. PSRs can access this information by clicking the **Mail** main-tab bar and selecting the **1099s** hyperlink. The *PSR* application displays the screen illustrated in Figure 8-5.

Figure 8-5 1099 Screen

9.6 Returned Mail

The Returned Mail screen will display all undeliverable and unmailable items. A hyperlink on the Workflow Task ID will display the image as stored in PowerImage.

Figure 8-6 Returned Mail Screen

Chapter 10

Notes

10.1 Introduction

The *PSR* application uses notes to annotate participant contacts for both telephone and written correspondence.

Since all notes taken by PSRs become part of a participant's account record, the Notes function of the application serves as a permanent record of all correspondence between the participant and the TSPD.

All calls to a PSR require a note before the call is completed. If the caller does not provide a Social Security number, the PSR can enter a note without associating it to a particular account.

The *Agency Technical Support Section* (*ATSS*) has the ability to add notes about a *Payroll Office* or *Agency* using the **Add Call Note** hyperlink. These notes are available for retrieval and review using the *PSR* application.

Notes History provides a record of the notes describing previous inquiries about the participant's account(s) including written correspondence, telephone contacts, and resolutions. The application allows the PSR to view the notes already in the system. However, these notes cannot be changed or deleted.

Authorized personnel will have the option to view certain management reports on-line using the **Notes Reports** hyperlink.

10.2 Add Call Notes

10.2.1   Participant Specific Notes

Each time a participant contacts the TSPD regarding his or her account, a note must be added to the participant's records describing the inquiry and resolution. The primary method of these communications will likely be a telephone call to the *TSP Service Office (TSPSO)*.

Note

The application requires that the PSR enter a call note at the conclusion of the call before accepting another incoming call.

Notes are an integrated function of the *PSR* application. To add a call note, the PSR selects the **Notes/Add Call Note** hyperlink at the top of the screen (Figure 9-1).

Figure 9-1 Notes Tabs

A pop-up window will appear on the screen (Figure 9-2). The PSR may move the window to any location on the screen by clicking on the screens title bar and dragging it to the desired location.

The PSR may open the **Add Call Note** pop-up window at any time during the contact. Clicking on the **Minimize** (▬) button on the upper right corner of the pop-up window temporarily removes the window from the screen. Restore the window to the screen by clicking on the **Notes** button on the *Microsoft Windows*™ taskbar, as shown in Figure 9-3.
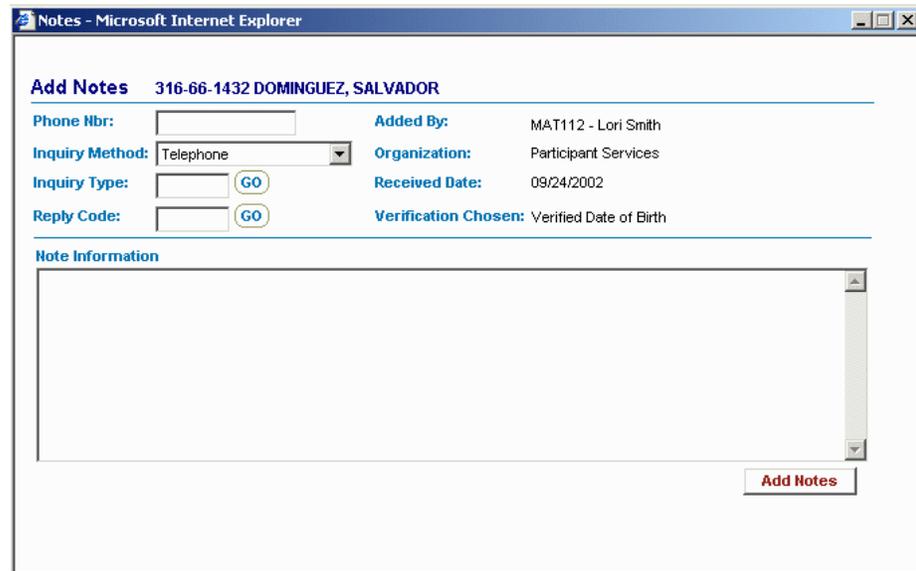
Figure 9-2 Add Call Note Pop-Up Window

Figure 9-3 Task Bar

Figure 9-4 Note Identification and Tracking Information

The **Add Call Note** screen is divided into two sections. The top section, displayed in Figure 9-4, contains pre-populated identification and tracking information including:

- Date of call

- User ID and name of person adding the note

- Organization of the person adding the note

- Verification Chosen (refer to the note box located in Chapter 2 section 2.5 for further information)

The Verification Chosen field is a drop-down list allowing selection. This field is normally populated for the PSR as a result of the verification process when receiving a phone call from a participant. If the PSR did not receive a call, or is doing outside research, this field will need to be completed.

The top section also includes additional fields the PSR must fill to complete the note entry. These fields include:

- Phone Number

- Inquiry Method

- Inquiry Type and Reply Code (These will replace the current DOTS codes)

The Phone Number field is a data entry field. The PSR has the option to obtain a contact number from the participant and provide it in this field.

The Inquiry Method field offers a drop-down list for selection. Figure 9-5 shows the list of choices for the Inquiry Method. The PSR need only click on the down-arrow to the right of the drop-down box and highlight the correct choice.

Figure 9-5 Add Call Note Inquiry Types

Inquiry Type and Reply Code fields are populated in one of two ways. The PSR may key in the numeric code, if known. If the PSR is unsure of the code, the alternative is to click on the **GO** button next to the field as illustrated in Figure 9-6. The **GO** button opens a secondary window listing all available choices. The PSR has only to select the desired code and it will automatically fill the field. See Figure 9-7 for an illustration of the list of Inquiry Type codes and Figure 9-8 for an example of the Reply Codes (refer to Appendix A for a complete list).
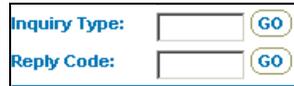
Figure 9-6 Select a Complete List of Codes

Figure 9-7 Inquiry Type Codes

If the PSR is unsure of the exact code, but knows it is a series, for instance the 100s, the PSR can enter "1" or "10" in the data entry box and then click on the Go button. Only the codes beginning with "1" or "10" are displayed. Both Inquiry Type and Reply Codes offer this filtered search.

Figure 9-8 Reply Codes

The bottom section of the **Add Call Note** screen (Figure 9-9) is a blank text box for entering the note. This is a free form field (*i.e.,* the PSR can key in whatever information they believe necessary to communicate the inquiry and the resolution). The PSR then clicks on the **Add Notes** button on the bottom right of the screen to add the note and complete the action.
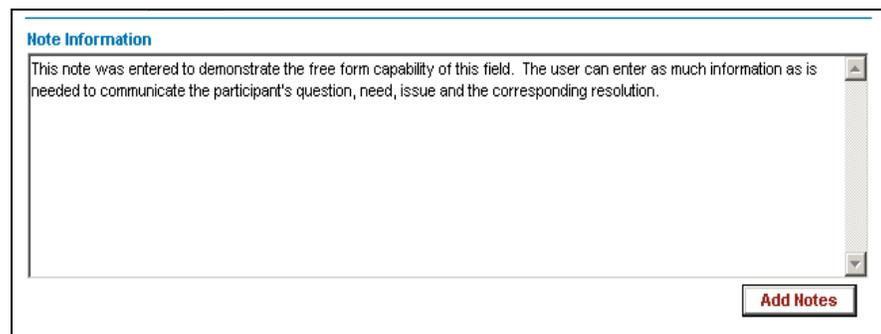
Figure 9-9 Note Entry Field

The PSR application will only allow one **Notes** window open at any one time. This means that the calls received on the primary phone line must be completed before answering another participant call on that same line, or transferred calls on any other phone line. It is being strongly discouraged to transfer calls to secondary lines while a representative is on an active call on the primary line. The *Computer Telephony Interface (CTI)* software is designed to route calls on the primary line only. PSRs should not transfer calls to secondary lines without first confirming with the receiving PSR that he or she is free to accept the call.

When participant calls are transferred to other PSRs, the originating PSR is required to complete the note stating that the call was transferred. When the alternate PSR receives a

transferred call, the PSR application will perform the same **Main Account** popup to continue the needed research.

Note

If a notes entry cannot be completed, or further research is needed before the note can be closed, a Reply Code of "1011" is required. This code indicates that the call is still open and allows supervisors to easily track such calls when reviewing the call status reports.

10.2.2   Non-Specific Call Note

If a call is received in the *TSPSO* and the caller does not want to give his or her SSN or other identifying information, the information requested is not specific to an account, the call terminated as a "hang-up," the caller simply requested a fax number, or other such calls, the PSR is still required to enter a call note. The PSR simply clicks on the **Notes** main-tab bar and the **Add Call Note** hyperlink. A similar screen much like the one used for Payroll Notes will appear (Figure 9-10). No SSN needs to be entered. Enter the required fields and click on the **Add Notes** button. The required fields include:

- Inquiry Method
- Inquiry Type
- Reply Code
- Verification Chosen

10.2.3   Add Payroll Note

ATSS has the capability to enter notes for a specific payroll office using the **Add Call Note** hyperlink. Only designated *ATSS* users will be able to add a Payroll Note. However, all users with access to the *PSR* application will be able to read these notes using the **Payroll Notes** hyperlink.

The *ATSS* user logs onto the *PSR* application and immediately selects the **Notes/Add Call Note** hyperlink. A pop-up window, as illustrated in Figure 9-10 will be displayed. The only difference is that at the top of the screen there are option buttons to select either a *Social Security number (SSN)* or a *Payroll Office*. The PSR clicks on the appropriate option button and enters the appropriate identifying number, either SSN or Payroll Office, in the data entry box to the right of the option buttons.

If the information to be posted applies to only one participant, the **SSN** option button is selected, the SSN is entered and the note will be associated only with that participant's account. It can be accessed by selecting that participant's account and selecting **Notes/Notes History**.

If the information to be posted applies to an entire *Payroll Office*, the **Payroll Office** option button is selected, the Payroll Office number is entered and the note is posted as a Payroll Note. It can then be accessed by selecting **Notes/Payroll Notes**.

Fields required for a Payroll Note include:
- Inquiry Method
- Inquiry Type
- Reply Code
- Verification Chosen

When all of the necessary information has been entered, the *ATSS* user clicks on the **Add Notes** button to post the note. It is then accessible to all PSRs by selecting **Notes/Payroll Notes**.

Figure 9-10 Add Payroll Note

10.3 Customer Survey

The Customer Satisfaction Survey function is used to walk the PSR through a customer survey and record the results. The Customer Survey can be accessed by selecting Notes/Customer Survey. The Customer Survey is performed by the PSR on the day after the participant has contacted the Call Center via telephone or within a reasonable amount of time after the written correspondence is received. The PSR can designate the type of correspondence (Figure 9-11) and read the pre-written customer survey to the participant (Figure 9-12 and Figure 9-13).

Figure 9-11 Customer Satisfaction Survey Screen

The pre-written customer survey changes slightly depending on the type of correspondence. For telephone correspondence (Figure 9-12), the participant will be asked 6 questions directly related to their contact with the call center and one general question. For written correspondence (Figure 9-13), the participant will be asked 4 questions directly related to their contact with the call center and one general question.

Figure 9-12 Customer Satisfaction Survey for Telephone Correspondence Screen

Figure 9-13 Customer Satisfaction Survey for Written Correspondence Screen

If the participant does not agree to participate in the survey, the PSR will click the 'No' button. The Response Summary screen (Figure 9-14) will be displayed acknowledging the participant declined to participate in the survey. A system note will be created automatically (Figure 9-15). If the participant agrees to participate in the Customer Survey, the PSR will

click the 'Yes' button in the bottom right hand corner of the screen and continue the customer survey (Figure 9-16).

Figure 9-14 Customer Satisfaction Survey Response Summary Screen

Figure 9-15 Notes History Screen

The second page of the customer survey prompts the PSR to ask the participant two questions (Figure 9-16). The questions are slightly different depending on if the correspondence was written or over the telephone. The responses entered into the fields must be numerical.

Figure 9-16 Customer Satisfaction Survey for Telephone Correspondence (Page 2) Screen

The third page of the customer survey prompts the PSR to ask 4 questions if the correspondence was over the telephone or 2 questions if the correspondence was in writing (Figure 9-17).

Figure 9-17 Customer Satisfaction Survey for Telephone Correspondence (Page 3) Screen

The third page of the customer survey prompts the PSR to thank the participant for their answers and prompt the PSR to ask one final question. There is also a space for additional comments (Figure 9-18). After the PSR types in all of the participants comments, the PSR can click the 'Submit Answers' button.

Figure 9-18 Customer Satisfaction Survey for Telephone Correspondence (Page 4) Screen

After the customer survey has been submitted, the Response Summary screen will display each of the questions along with the participant's answers (Figure 9-19). The participant comments will be displayed on the bottom. A system note is generated for each submitted customer survey (Figure 9-20).

Figure 9-19 Customer Satisfaction Survey Response Summary Screen

Figure 9-20 Notes History Screen

10.4 Notes Search

The Notes Search function is used to search and display payroll notes and notes w/o SSN. The PSR can designate which type of notes to search by using the radio buttons on Search criteria screen (Figure 9-21). The date range will default to the current day, although the PSR can change the date range to include multiple days or one day in history. The results can be filtered by the PSR selecting a specific Inquiry Code using the drop down box.

Figure 9-21 Notes Search Criteria

10.4.1   Payroll Notes

The Payroll Notes function allows access to notes entered primarily by the *ATSS*. To access payroll notes, the PSR clicks on the **Notes/Notes Search** hyperlink on the top of the screen to access the information. This permits the PSR the option of viewing all **Payroll Notes** for a specified payroll office. When **Notes/Notes Search** is selected, the system will display a **Search** screen (Figure 9-22). The PSR need to select the 'Payroll Office' radio button, enter a Payroll Office number in the associated field, and specify a date range. A listing of all notes related to the selected Payroll Office number will appear as displayed in Figure 9-23.

Figure 9-22 Payroll Notes Search Screen

The **Payroll Notes Summary** listing includes the date the note was posted, and the beginning of the actual freeform note. There may be more notes than can be listed on one screen. The **Previous** and **Next** hyperlinks at the bottom right of this list can be used to page through the list. The notes will be in date order with the most recent note listed first.

Figure 9-23 Payroll Notes Summary Listing

If the **Payroll Notes Summary** does not provide all of the information needed, the screen includes a hyperlink titled **Received Date** (Figure 9-23). When this hyperlink is selected, a copy of the note screen will be presented with all of the fields displayed. This screen will be view only (Figure 9-). No changes are permitted.

Figure 9-24 Payroll Note Detail

10.4.2   Notes w/o SSN Search

The **Notes/Notes Search** hyperlink permits the PSR to retrieve a list of all past notes not associated with a participant account, see 9.2.2. Unspecified Call Notes.

The **Notes Search** screen initially displays a search filter, as shown in Figure 9-25.   This screen displays a required date filter, defaulting to current day, the search type, and an optional inquiry code filter.

Figure 9-25 Notes w/o SSN Search Filter

Once the filter is populated and the Search button is selected, the results meeting that criteria are displayed. This display is the same format as the Payroll Notes screen, providing the same functionality of the **Received Date** hyperlink. See Figure 9-26.

Figure 9-26 Notes w/o SSN Screen

10.5 Notes History

The **Notes History** hyperlink permits the PSR to retrieve a list of all past notes associated with a participant account. This includes both telephone contacts and correspondence with either the participant or the participant's designee.

The **Notes Summary** screen is the initial screen displayed as shown in Figure 9-27. This screen displays a listing of all notes associated with the account. The notes are in date order, most recent first, with the following information for each entry:

- Received Date

- Inquiry Method

- Inquiry Type (Code)

- Reply Code

- Closed Date

- A Short Description

Clicking on the **Received Date** hyperlink, in the left hand column accesses more information for each note.

There may be more notes than can be listed on one screen. The **Previous** and **Next** hyperlinks to the top right of the list are used to page through the list.

Figure 9-27 Notes History Summary Screen

Clicking on the **Received Date** hyperlink will display additional information about the selected note as shown in Figure 9-28. A screen that closely resembles the **Add Call Note** screen is displayed. The top of the display includes the same data as the top section of the **Add Call Note** screen with several additions:

- Date the inquiry was received

- Phone number of person who made the contact

- Inquiry method

- Inquiry code and description

- Reply code and description

- ID and name of person who added the note

- Organization of person who added the note

- Verification method used

- Date and time the inquiry was closed

The bottom of the screen is the freeform note information that was added. The PSR will click on the **Close** button when he or she is finished looking at the record. The PSR will be returned to the **Notes Summary** screen. No change to this data is permitted.
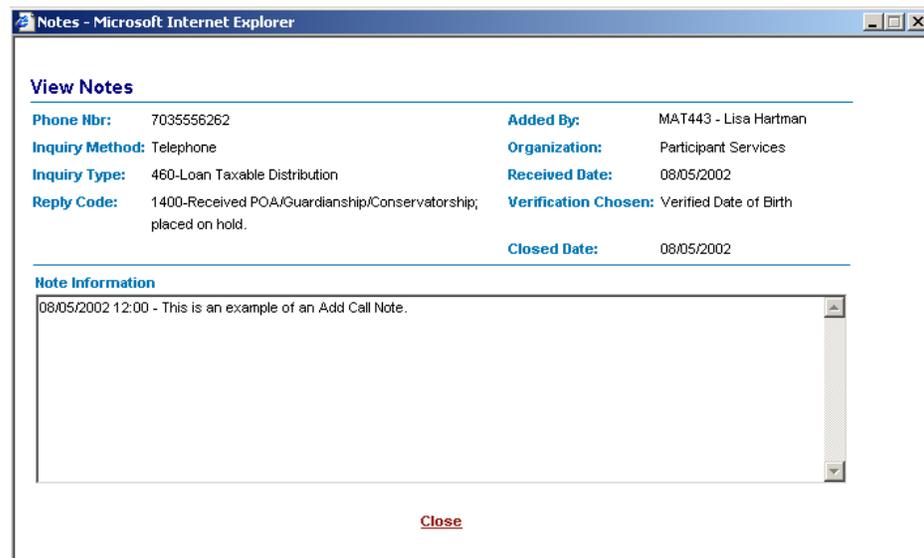
Figure 9-28 Note Details Screen

However, for notes where the Reply Code "1011" was used, these notes allow the entry of a second (addendum) note. When these notes are viewed, the window will appear as shown in Figure 9-29. The bottom right hand area is where a PSR may enter an addendum to the previous notation.

Figure 9-29 Note Details – Research Note Screen

To complete the addendum note, the Reply Code field is required as well as a second notation in the New Note area. By clicking the **Add Notes** button, the addendum is appended to the original note.

10.6 Unidentified Checks

The Unidentified Checks screen can be accessed by the Notes/Unidentified Checks hyperlink. When the hyperlink is clicked, the unidentified check screen (Figure 9-30) will display all of the unidentified checks. The screen details the last name, first name, financial institution, check type, check date, and check amount.

There may be more unidentified checks than can be listed on one screen. The **Previous** and **Next** hyperlinks to the top right of the list are used to page through the list.

Figure 9-30 Unidentified Checks Screen

10.7 Notes Reports

The **Notes Reports** tab contains management reports accessible only by authorized personnel (Figure 9-).

Figure 9-31 Notes Reports

Each report requires the entry and/or selection of search criteria before generation. To generate a report, simply click on a hyperlink on the left hand side of the screen for the needed report. Then enter and/or select the search criteria for the generated report. Once the criteria have been entered, click the **Create Report** button to generate.

10.7.1   Participant Multiple Inquiries

The Participant Multiple Inquiries report displays all of the participants who have made multiple inquries within the Look Back Period specified on the Participant Multiple Inquiries Search Screen (figure 9-32). The PSR can also specify the report date, number of inquiries per participant, supervisor, and organization.

Figure 9-32 Participant Multiple Inquiries Search Criteria Screen

After entering the selection criteria, click on the 'Create Report' button to generate the Participant Multiple Inquiries Report (Figure 9-33).

Figure 9-33 Participant Multiple Inquiries Report Screen

10.7.2   Inquiry Status Report

The Inquiry Status report subtotals by inquiry type for each inquiry method checked on the Inquiry Status Report Search Criteria Screen (Figure 9-34). The amounts are categorized by Month-to-Date (MTD) received and Year-to-Date (YTD) received. The PSR can specify the report date, report type, inquiry method, organization, and created by on the inquiry status report search criteria screen (Figure 9-34).

Figure 9-34 Inquiry Status Report Search Criteria Screen

After entering the selection criteria, click on the 'Create Report' button to generate the Inquiry Status Report (Figure 9-35).

Figure 9-35 Inquiry Status Report Screen

10.7.3 Inquiries Referred to a Supervisor

The Inquiries Referred to a Supervisor report displays all inquiries that have been referred to a supervisor within a specified report month. The report can be in either detail or summary format and can be limited to one supervisor or run for all supervisors. The organization may also be selected in the Inquiries Referred to a Supervisor Search Criteria Screen (Figure 9-36).

Figure 9-36 Inquiries Referred to a Supervisor Search Criteria Screen

After entering the selection criteria, click on the 'Create Report' button to generate the Inquiries Referred to a Supervisor Report (Figure 9-37).

Figure 9-37 Inquiries Referred to a Supervisor Report Screen

10.7.4   Performance Standard Report

The Performance Standard Report is a summary report broken down by inquiry method that details the inquiries received the Notes that are still open and the Year-to-Date Inquiries. The PSR can select the report date, report type, and the organization on the Performance Standard Report Search Criteria Screen (Figure 9-38).

Figure 9-38 Performance Standard Report Search Criteria Screen

After entering the selection criteria, click on the 'Create Report' button to generate the Performance Standard Report (Figure 9-39).

Figure 9-39 Performance Standard Report Screen

10.7.5   Incomplete Inquiries Report

The Incomplete Inquiries Report displays all incomplete inquiries for the report month specified on the Search Criteria Screen (Figure 9-40). The report is broken up by PSR then participant. The report displays the received date, entered date, method, and days open. The PSR can specify the report month, report type, supervisor, and organization on the Search Criteria Screen (Figure 9-40).

Figure 9-40 Incomplete Inquiries Report Search Criteria Screen

After entering the selection criteria, click on the 'Create Report' button to generate the Incomplete Inquiries Report (Figure 9-41).

Figure 9-41 Incomplete Inquiries Report Screen

10.7.6   Summary of Individual Productivity

The Summary of Individual Productivity report summarizes by PSR the open BOB, the number of inquiries received in the month, the number of inquiries processed in the month, the open COB's, and the number of inquiries processed in the quarter. The PSR can specify the report date, inquiry method to be shown on the report, and the organization on the Summary of Individual Productivity Search Criteria Screen (Figure 9-42).

Figure 9-42 Summary of Individual Productivity Search Criteria Screen

After entering the selection criteria, click on the 'Create Report' button to generate the Summary of Individual Productivity Report (Figure 9-43).

PSR NAME	Inquiry Type	Open BOB	Month Received	Month Processed	Open COB	Quarter Processed
	Telephone	1	0	0	1	1938
	Telephone	0	141	141	0	759
	Telephone	0	39	39	0	274
	Telephone	0	0	0	0	0
	Telephone	0	0	0	0	0
	Telephone	5	1153	1152	5	4332
	Telephone	0	0	0	0	0
	Telephone	1	0	0	1	0
	Telephone	0	0	0	0	0
	Telephone	0	0	0	0	0
	Telephone	4	884	884	4	3184
	Telephone	0	746	746	0	2521
	Telephone	0	596	596	0	1014
	Telephone	0	0	0	0	145
	Telephone	0	1017	1017	0	3795
	Telephone	0	0	0	0	494
	Telephone	0	109	109	0	564
	Telephone	0	0	0	0	0
	Telephone	2	111	111	2	940
	Telephone	0	720	720	0	3788

Figure 9-43 Summary of Individual Productivity Report Screen

10.7.7   Monthly Inquiry Report

The Monthly Inquiry Report displays for the number of inquiries handled by each PSR for the specified month. The PSR can specify the report month, SSN association, and organization on the Monthly Inquiry Report Search Criteria Screen (Figure 9-44).

Figure 9-44 Monthly Inquiry Report Search Criteria Screen

10.7.8   ATS Inquiry Log

The ATS Inquiry Log displays all ATS inquiries for the specified agent with in the date range specified. Figure 9-45 displays the ATS Inquiry Log Search Criteria Screen.

Figure 9-45 ATS Inquiry Log Search Criteria Screen

Chapter 11

Operations

11.1 Introduction

The Operations tab is only visible to a select group of users who a specified security level. Currently the Operations tab is only used by IBS. There are two hyperlinks under the Operations tab: Roll-In Recon and Batch Notes Load. See Figure 10-1.

Figure 10-1 Operations tab hyperlinks

11.1.1   Roll-In Reconciliation

The Roll-in Reconciliation screen list all of the checks coming in that still need to be reconciled. This screen can be accessed by the Operations/Roll-In Recon hyperlink. The page will default to the Roll-In Aging view (Figure 10-2). The PSR can switch to the Roll-In Check Summary view (Figure 10-3) by clicking on the Roll-In Check Summary tab.

There may be more unidentified checks than can be listed on one screen. The **Previous** and **Next** hyperlinks to the top right of the list are used to page through the list.

Figure 10-2 Roll-In Reconciliation View Roll-In Aging Screen

The Roll-In Check Summary view (Figure 10-3) requires the check date to be entered by the PSR. The PSR may use the calendar ( ) to select the date.

Figure 10-3 Roll-In Reconciliation View Roll-In Check Summary Screen

11.1.2   Batch Notes Load

The Batch Notes Load process can be accessed by selecting Operations/Batch Notes Load. This process allows notes created external to the PSR application to be loaded into the notes database (Figure 10-4). There are specific criteria that must be met for the file to be successfully uploaded. The file format specifications are listed below but can also be found by clicking on the question mark ( ).

1. The file must be a tab delimited file which is an option when saving in MS Excel.

2. The file must have the following columns headers in this order
   SSN, Plan, Inquiry Type, Reply Code, Date, Note Text.

3. The SSN must be 9 numbers with no formatting.

4. Enter a valid participant plan. If no plan exists enter TSPCxx in the plan column.

5. The inquiry type and reply code must map to an inquiry type and reply code in PSR.

6. The date must be a valid date in mm/dd/yyyy format.

7. The number of lines in the file cannot exceed 5,000 during the following time period (6:00 AM - 6:00 PM)
100,000 rows between (6:00 PM - 6:00 AM).

8. If the file you need to load is larger than 100,000 lines then split the file into multiple files.

Figure 10-4 Batch Notes Load Screen

Appendix A

Codes, Acronyms & Glossary

A.1 Inquire Type Codes

CODE	DESCRIPTION
100	In-Service Withdrawal Program
110	Non-224 Agency
120	Adjustments
121	Earnings Adjustment
122	Loan Adjustment
123	Withdrawal Adjustment
124	Forfeiture Adjustment
130	Tax Withholding/Reporting
140	Death Benefits
150	Spouse Beneficiary Payment
160	Designation of Beneficiary
170	Administrative Hold
180	Direct Deposits (EFT)
190	General Investment Information
195	Lifecycle Funds
200	Contribution Allocation
210	Interfund Transfer
220	Rollover/Transfer to the TSP
230	Combining Uniformed Services & Civilian Accts.
240	TSP Web site/ThriftLine
250	TSP Materials
260	Eligibility
265	Catch-up Contributions
270	Mailing Address/Change of Address
280	Participant Statement
290	Agency Contacts & Other Identifying Info.
300	Agency Processing Reports
310	Lost Loan Check
320	Lost In-Service Withdrawal Check
330	Lost (Post-Sep) Withdrawal Check
340	Lost EFT Disbursement
350	Miscellaneous Check
360	Returned Check
370	Returned Credit
380	Inquiry From Agency Regarding Submission
390	Inquiry to Agency Regarding Submission

CODE	DESCRIPTION
400	Loan Program
401	Loan Program Changes
410	Loan Application / Loan Agreement
420	Loan Payment
421	Loan Default
430	Reamortization
435	Affordable Loan Reamortization
440	Loan Prepayment in Full
450	Effect of Separation From Service on Outstanding Loan
460	Loan Taxable Distribution
470	Post-Separation Withdrawal Program
480	Verification of Deposit
490	Exception to Spousal Requirements
500	Tax Issue
510	Minimum Distribution
520	EDR, Contributions, Neg. Adjustments, Acct. Balances
530	PIN
540	Request for Credit Information
550	Court Order
560	Tax Levy
570	Bankruptcy
580	Allegation of Fraud/Forgery
590	Privacy Act Inquiry
600	FOIA Request
610	POA/Guardianship/Conservatorship
620	Referral
630	Other
640	Exception Processing
650	Follow-Up
660	Call Satisfaction Survey
700	10 or More Inquiries (Post-Separation Withdrawal)
710	10 or More Inquiries (Loans)
720	10 or More Inquiries (Asset Management)
730	10 or More Inquiries (In-Service Withdrawal)
740	10 or More Inquiries (Lost Checks)
750	10 or More Inquiries (Other)
800	E-Form Request
888	Site to Site Transfer
990	Supervisor Call
998	SI-Intl Team
999	Board Call

A.2 Reply Codes

CODE	DESCRIPTION
1000	Explained process/procedures/regulations/requirements.
1001	Provided status (ln/wd/ift/ca/inswd/forms(s), etc.). (see comments).
1004	Mailed/faxed requested materials (booklets/form(s)) to part./agency/caller.
1005	Provided assistance in completing form(s).
1006	Part./payee cancelled request (wd/ln/ca/ift/inswd/form(s)). (see comments)

CODE	DESCRIPTION
1007	Provided part./payee/agency with duplicate. (see comments)
1008	Explained confirmation notice. (see comments)
1009	Explained cutoff times and dates. (see comments)
1010	Explained/provided non-contributions period.
1011	Research.
1100	Fax number rejected. (see comments)
1101	Telephone number invalid. (see comments)
1102	Counseled agency on current account balance.
1103	Explained balance report to agency.
1104	Forwarded agency's request for acct. balance refund to TSPD Acct. Branch.
1105	Processed agency refund.
1106	Earnings calculated/processed. (see comments)
1107	Loan taxable distribution reversed. (see comments)
1108	Taxable distribution bankruptcy.
1109	Taxable distribution nonpay.
1110	Bankruptcy; loan payment reversals.
1200	Loan payment/payment in full reversal.
1201	Removed funds. (see comments)
1202	Restored statutory forfeitures. (see comments)
1203	Restored CSRS forfeitures. (see comments)
1204	Restored abandoned account. (see comments)
1205	Forwarded Federal income tax withholding to IRS (disb. adjust/reissuances).
1206	Retrieved tax withholding from IRS (disb. adjust/reissuances).
1207	Mailed annual/corrected tax reporting.
1208	Tax withholding check issued to payee. (see comments)
1209	Homicide case; addtl info. requested from district attorney.
1210	Contacted agency regarding beneficiary designation on file.
1300	Explained disclaimer/waiver of 60-day payment waiting period requirement.
1301	Explained tax withholding/reporting/W4-P/1099-R/tax notice, etc.
1302	Placed administrative hold.
1303	Removed administrative hold.
1304	Placed court order hold.
1305	Removed court order hold.
1306	Placed report of death hold.
1307	Placed hold due to allegation of fraud/forgery.
1308	Removed allegation of fraud/forgery hold.
1309	Placed lost check hold.
1310	Removed lost check hold.
1400	Received POA/Guardianship/Conservatorship; placed on hold.
1401	Removed POA/Guardianship/Conservatorship hold.
1402	EFT disbursement not received by financial institution.
1403	Corrected EFT information.
1404	Explained investment funds/AOR.
1405	Explained TSP tax-deferred status.
1406	Explained contribution limits/excess deferrals.
1407	Explained difference between an election/contribution

CODE	DESCRIPTION
	allocation/IFT.
1408	Provided explanation of shares/share prices/account balance.
1409	Provided rates of return.
1410	Explained conversion from monthly to daily valuation.
1411	Receive Excess Deferral Form
1500	TSP-60/TSP-U-60 received with incomplete sections. (see comments)
1501	TSP-60/TSP-U-60 received with section 4 (certification) incomplete.
1502	TSP-60/TSP-U-60 needed within 30-day period.
1503	TSP-60/TSP-U-60 not completed within 30-day period.
1504	Transferred caller to ThriftLine.
1505	Blocked Web site/ThriftLine (PIN blocked).
1506	PIN reactivated (see comments).
1507	Processed PIN request.
1508	Provided street address for express mail.
1509	Returned TSP correspondence to agency due to invalid address.
1510	TSP materials, forms, etc. returned to TSP undeliverable.
1600	Verified address of record/correspondence address.
1601	Updated address on database; mailed letter to participant/payee.
1602	Explained participant statement.
1603	Updated agency PON/POI information.
1604	Provided agency info. to TSP Web site or forwarded agency info, to Directives for bulletins.
1605	Provided agency with report(s).
1606	Counseled agency on report(s).
1607	See comments about agency inquiry.
1608	Processed contribution allocation.
1609	Processed IFT.
1610	Processed reamortization request.
1615	Affordable Loan Reamortization payment amount
1700	Advised agency on submission procedures/record type & record layout format.
1701	Informed agency of the status of his or her submission.
1702	Informed agency of the status of his or her JV.
1703	Agency requested cancellation of JV and/or media submission.
1704	Instructed agency on ad hoc database use.
1705	Provided agency with participant's account history (verbally or by printout).
1706	Requested submission of agency JV/data.
1707	Called agency regarding incorrect data/format on submission/JV.
1708	Informed agency submission is defective and requested new submission.
1709	Inquired w/FRB regarding file submission.
1710	Provided guidance/info. about loan repayment methods.
1800	Explained the effect of nonpay status.
1801	Requested verification/documentation of approved nonpay status.
1802	Explained breakage.
1803	Explained overpayment and refund/return.

CODE	DESCRIPTION
1804	Erroneous sep. info.: part. rehired/transferred w/o break in service/explained correction.
1805	Provided info. about account flagged for 5/15 loan anniversary.
1806	Provided agency/participant with info. from account record.
1807	Requested verification/correction of account info. from agency.
1808	Explained forfeiture/restoration process.
1809	Requested Form TSP-5R from agency.
1810	Provided guidance to agency on submission of first conversion deposit.
1900	Provided guidance to agency on USERRA submission.
1901	Provided guidance to agency on back pay award submission.
1902	Explained MLA (Maximum Loan Amount)/other account balance restrictions.
1903	Provided loan interest rate.
1904	Provided annuity interest rate.
1905	Requested/provided confirmation/copy of receipt of Form TSP-3/TSP-U-3.
1906	Sent Form TSPSO-12 to payee (see comments for date).
1907	Payee located check (see comments).
1908	Lost check process initiated.
1909	Received TSPSO-12 from payee.
1910	Replacement check has been issued through NFC MISCPAY.
2000	Replacement check has been issued through the system.
2001	Daily Advice of Status (DAS) received (see comments).
2002	Form 1133 (Treas. questionnaire) forwarded to Treasury.
2003	Provided general info and/or assisted caller on the web site/ThriftLine.
2004	Hang up.
2005	Contact with Treasury department (see comments).
2006	Contact with financial institution (see comments).
2007	Received check for mailing fees; returned (cannot accept).
2008	Received check for legal fees; returned to part. atty (cannot accept).
2009	Received check in error; returned to payee/sender (see comments).
2010	Check returned (see comments).
3000	Received check for gifts; returned to participant (cannot accept).
3001	Check received; waiting for Board instructions.
3002	Check returned for insufficient information.
3003	Check returned per participant's request.
3004	Check processed.
3005	Non-guarantee funds returned to part./financial institution.
3006	Check returned to participant; no authorized signature.
3007	Check received from bankruptcy court; referred to Board.
3008	Check returned to part./financial institution; must be payable to TSP.
3009	Check redeposited into participant's account; disbursement reversed.
3010	Check returned to estate/spouse, participant deceased.
4000	Mailed/faxed Form TSP-825 to beneficiary to reissue

CODE	DESCRIPTION
	check.
4001	Received instructions from the Board to reissue (see comments).
4002	Check returned to Treasury (not cashed) (status-ACC).
4003	Check negotiated by someone (status-reconciled).
4004	Check outstanding at present time (status-outstanding).
4005	Available Check Cancellation Credit (ACC) received.
4006	Unavailable check Cancellation Credit (UCC) received.
4007	Limited Pay ability Credit (LPC) received.
4008	Reclamation Credit (RC) received.
4009	Payment Over Cancellation Debit (POC) received.
4010	Form 3858, For 1133 & copy of cashed check received from Treas.
5000	Form 1133 (Treas. questionnaire) & copy of cashed check sent to payee.
5001	Completed 1133 (Treas. questionnaire) received from payee.
5002	Incomplete 1133 (Treas. questionnaire) received from payee (see comments).
5003	Form 1133 (Treas. questionnaire) & copy of cashed check forwarded to Treas.
5004	Treasury check returned to TSP, cancelled on line.
5005	Non-Treasury check received, forwarded to Board.
5006	Received instructions from Board to reinvest (see comments).
5007	Participant returned Treasury check for TSP loan (see comments).
5008	Loan credit received; applying it to loan balance (see comments).
5009	Mutilated check process initiated, Board informed.
5010	Treasury check as a pre-PACER date (see comments).
6000	Board notified that replacement check has been issued. Sent letter.
6001	Board notified that withdrawal credit has been reinvested. Sent letter.
6002	Credit received - system rejected (see comments).
6003	Programmer intervention needed (see comments).
6004	Non-Treasury check received from payee to settle POC (see comments).
6005	MISCPAY Treasury check returned to TSP (see comments).
6006	PACER copy of cashed check sent to payee (see comments).
6007	MISCPAY check reported loss; process initiated (see comments).
6008	Check received for payment of more than one loan.
6009	Taxable distribution declared; check returned to participant.
6010	Taxable distribution date passed; check returned to participant.
7000	Unidentified check; no SSN received (see comments).
7001	Loan paid in full, returned check to participant.
7002	Mailed/faxed credit letter to credit bureau.
7003	Cannot process request for credit letter (see comments).
7004	Provided prepayment amount to participant.
7005	Explained separation notice and intent not to repay statement.
7006	Explained withdrawal options.

CODE	DESCRIPTION
7007	Mailed/faxed VOD to financial institution and participant.
7008	Verified previous VOD.
7009	VOD returned for correct SSN or no SSN.
7010	VOD returned for signature to release information.
7011	VOD returned to financial institution for name/signature of lender.
7012	Returned Form TSP-16/TSP-U-16 for more information (see comments).
7013	Form TSP-16/TSP-U-16 not needed (see comments).
7014	Requested/mailed corrected Form 1099-R.
7015	Issued manual/corrected Form 1042.
7016	Explained early withdrawal penalty tax.
7017	Form TSP-13-S/TSP-U-13-S/W4-P/waiver received (see comments).
7018	Court order incomplete; complete copy needed (see comments).
7019	Returned draft court order (see comments).
7020	Received non-colorable order attached to forms; no action required.
7021	Mailed court order decision letter (see comments).
7022	Mailed the 'no SSN' letter (see comments).
7023	Mailed the 'no account' letter (see comments).
7024	Received duplicate court order.
7025	Received court order not related to TSP; forms were forwarded for processing.
7026	Decision letter mailed (see comments).
7027	Explained decision letter/tax notice/waiver/30-days and TSP-13-S/U-13-S.
7028	IRS levy document received.
7029	Mailed IRS levy response letter.
7030	Forwarded document to Board.
7031	Explained effect of bankruptcy action on TSP account; sent fact sheet.
7032	See comments.
7033	Bankruptcy document received; no action taken (see comments).
7034	Explained loan payments will cease & taxable distribution declared (see comments).
7035	Request received (see comments).
7036	Request/form approved; mailed letter (see comments).
7037	Requested additional information before Privacy Act request can be answered (see comments).
7038	Provided/instructed agency on PC/Web based program.
7039	Board notified that loan credit has been received. Sent letter.
7040	Accounting Office exception processing (see comments).
7050	Request/form denied/disapproved; mailed letter (see comments).
7060	Request revoked (see comments).
7070	Referred caller to appropriate TSPD area (see comments).
7080	Referred caller to the Board.
7090	Referred personnel office to payroll office (see comments).
8000	Referred caller to Web site/ThriftLine.
8001	Referred agency caller requesting materials to TSP

CODE	DESCRIPTION
	coordinator/distribution.
8002	Referred participant to agency (see comments).
8003	Placed call in supervisor logbook.
8004	Supervisor comments (response to log book entry).
8005	Response to supervisor referral call (immediate).
8006	Processed E-Form

A.3 Transaction Codes

Transaction Number	Transaction Name	Description	OMNIPlus Component
002	Transaction File Utility	Automatically generated by Online Transaction System to extract transactions for processing, restore previously purged transactions or purge transaction files.	Transaction Management
005	Process Control	Used to control some processing functions in OMNIPlus.	Base
022	Loan Utility	Used for three functions: - Convert a loan from another record keeping system into OMNIPlus - Add a loan quote that will "freeze" the payoff amount for a specified period of time - Override an existing loan	Loans
029	Price Utility	Used to load and maintain Daily Price/Rate Records.	Prices
031	Participant Reinstatement	Used to suspend or reinstate suspended participants.	Participant
035	Activity Roll	Used to "roll" or "reset" financial fields.	Plans
039	Investment Action Utility	Provides batch add, delete and change record maintenance functions and batch data element change functions for the Investment Action Record. Produces File Maintenance Log and Investment Action Activity Log.	Investments
060	Activity Reversal	Used to reverse transactions posted in error.	Adjustments
104	Plan Contribution Control Totals	Used to post specific amounts of employee and employer contributions. Used in conjunction with transaction 114. Serves as control total. Used to designate contributions as "prior year".	Contributions
114	Participant Detail	Posts specified amounts of employee and employer contributions to participants. Used in conjunction with either OMNIPlusCash or transaction 104.	Contributions
205	Cash Earnings		Cash

Transaction Number	Transaction Name	Description	OMNIPlus Component
275	Stock Purchase	Used to process the purchase of Shares/Units.	Participant Shares
301	Miscellaneous Receipts / Disbursements	Allows posting of credits or debits to participant accounts or to reserve accounts. Used to post data received during a conversion directly to a participant's account.	Adjustments
317	Reserve Transfer	Used for interfund and intrafund transfers of amounts between the Contributions, Forfeitures, Miscellaneous and Earnings Reserves.	Transfers
366	Inter-Participant Transfer	Used to transfer a participant's assets to other participants in the plan, usually in the event of Death benefit or Court Order processing.	Transfers
381	Inter-fund transfer	Used to transfer amounts between participant funds.	Transfers
383	Loan Reamotization	Generates a new loan reamortization schedule.	Loans
384	Loan Issue	Used to issue either a participant or plan loan.	Loans
385	Loan Repayment	Used to process repayment of a participant loan. Normally created from payroll activity for a specified loan payment amount. Can be used for processing a total loan payoff.	Loans
386	Loan Adjustment	Used to process a mid-stream adjustment on an employee loan. Used to simplify process of adjusting principal and interest splits on a loan that has become corrupt. Alleviates the need to reverse and repost all loan activity back to the time an error occurred.	Loans
394	Incoming Plan Transfer	Used to transfer a participant's assets into a plan.	Transfers
395	Outgoing Plan Transfer	Used to transfer a participant's assets into another plan.	Transfers
404	Termination - Step 1	Used to process immediate termination payments and to set-up deferred and installment payments or annuity payments. Can also be used to process combinations of an immediate payment with subsequent deferred or installment payments.	Distributions
444	Withdrawal	Used for withdrawals and to generate deferred and installment payments.	Distributions / Loans
454	Return of Excess Defer/Contrib	Used to correct five types of excesses and forfeiture of related match. Distributes the excess or transfers the excess when applicable.	Distributions

Transaction Number	Transaction Name	Description	OMNIPlus Component
464	Installment Transaction	Determines what installment payments need to be made utilizing a user entered date range. Also releases any deferred payments as well as the designated installment.	Installments
506	Cash Transaction Deposit	Used to post deposits to Cash Control Accounts.	Cash
507	Cash Transaction	Used to post adjustment and/or reversals to adjustments to Cash Control Accounts.	Cash
555	Service Record Maintenance	Service Record Maintenance	OMNIPlusDBEN Service
560	Create Alternate Address	Used to add a new address for a participant. Will reject a duplicate address.	Addresses
561	Change Alternate Address	Used to change the Alternate Address record.	Addresses
588	User Defined OMNIPlusScript Function	Provides the ability to create customized posting or reporting processes. Executes in the Update / Post processing step.	OMNIPlusScript
600	Plan Create		Plans
613	Plan Maintenance	Used to change the value of plan record data elements. Overwrites existing data. Used to build Plan Level Common Plan Inquiry and Local Plan Inquiry records used in Plan Alternate Key Browse.	Plans
700	Fund Add	Used to add a new Fund Record to the Fund Control File.	Funds
713	Fund Maintenance	Used to change the value of data elements on Fund Control File Records. Overwrites existing data.	Funds
801	Create/update	Used to implement a variety of participant related functions.	Participant
813	Record maintenance	Used to change the value of a data element on the Participant Header Record. Can be either a replacement value, or a value that is added or subtracted from the existing value of the field.	Participant
815	Change Participant Allocation	Used to change contribution allocation percentages.	Participant
820	Voice Response Maintenance	Used to add, change or delete participant Voice Response (VR) records.	Voice Response
823	Partic. Fund Record Maint	Changes the value of a data element on the Participant Fund record. May be a replacement value, or a value that is added to or subtracted from the existing value of the field.	Funds
833	File	Allows the user to enter	OMNIPlusScript

Transaction Number	Transaction Name	Description	OMNIPlus Component
	maintenance OMNIPlusScript	OMNIPlusScript text directly on the transaction.	
840	Associated Individual Maintenance	Used to add, change or delete Associated Individual records.	Associated Individual
844	Minimum Dist Processing	Used to: - Save end of year account balances - Create minimum distribution report - Create a transaction file with Withdrawal (444) transactions to process minimum distribution withdrawals - Generate a validation log containing errors encountered, participants bypassed and participants nearing eligibility.	Distributions
850	Number Change	Used to change a participant social security number (SSN).	Participant
851	Number Merge	Used to combine records for two existing participant ID numbers. Normally used to combine records for a participant who was inadvertently enrolled under two different social security numbers.	Participant
877	Service Record Maintenance	Used to: - Add new service records - Delete existing service records - Change the value of existing data elements	Service
881	Loan Record Maintenance	Used to add or delete Loan Records or to change the value of a data element in an existing Loan Record.	Loans
884	Investment Control Rec Maintenance	Used to add or delete an active history investment control record or to change the value of a data element in an existing investment control record.	Investments
889	Record Maintenance for tax correction maintenance	Used to add or delete an activity history disbursement record, or change the value of a data element in an existing disbursement record.	Disbursements
890	Source Control rec maint	Used to add or delete a Source Control record, or to change the value of a data element in an existing Source Control record.	Sources
892	Base text record maint for minimum distribution process	Used to add or delete a base text record, or to update the value of a data element in an existing base text record.	Base text
896	Installment Record Maintenance	Used to add, delete or update installment record information for participants who receive periodic payments from the plan.	Installments

Transaction Number	Transaction Name	Description	OMNIPlus Component
901	Participant Record Dump	Used to request a Participant Record Data Element Listing. This report lists all participant header record and participant fund record data elements and the value of each. Used primarily for research and account reconstruction purposes.	Participant
903	Fund Control Record Dump	Used to request a Fund Control Record Dump. This lists all fund control record data elements and the value of each. Used primarily for researching and correcting "out of balance" conditions.	Funds
910	Check Data Element Report	Used to provide printed reports of checks and check information with user-defined filters. Allows filtering by creation / clear dates, plan numbers, check numbers and check status.	Checks
912	Installment Data Element Report Investment Action Utility		Installments
914	EFT Data Element Dump	Requests Electronic Fund Transfer record dump. Report lists all EFT record data elements and the value of each. Mainly used as an audit trail for each corresponding electronic funds transfer history record.	History
916	Activity History Summary	Report to provide history summary activity. Also supports foreign exchange reporting. Produces a detailed list of values for base records and foreign exchange history. Generated only on request and gives listing of activity only by fund.	History
918	Participant Enrollment Log	Provides a listing of all participants enrolled in the plan with such information as: participant name, date of birth, date of hire, date of plan entry, contribution allocation percentages.	Participant
919	Compensation Data Element Report	Displays participant compensation record data element values.	Compensation
920	Salary Data Element Report	Displays participant salary record data element values.	Compensation
923	Investment Valuation Statement	Used to request an Investment Valuation Summary. Produced from the activity history file and is used to reconcile to trustee statements.	Funds
929	Service Data Element Report	Displays participant service record data element values.	Service

Transaction Number	Transaction Name	Description	OMNIPlus Component
930	Participant Statement Request	Used to produce participant statements from a custom statement program.	Participant
931	Participant Statement - Enhanced	Used to produce enhanced standard participant statements.	Participant
933	Custom Report Generator	"Pre-formatted" report generator that allows the user to enter OMNIPlusScript test directly onto the transaction.	OMNIPlusScript
944	Associated Individual Record Dump	Produces a report of all associated individual records that meet the specified filter criteria. Lists all associated individual record data elements and the value of each.	Associated Individual
945	Tax Reporting: Process 1099 and Magnetic Media	Used to request 1099-R, 1099-DIV and 1099-INT IRS forms, tax tapes and internal tax logs.	Disbursements
948	IRA/QVEC Rpt/Tape Request	Used to request 5498 IRS forms, tax tapes and internal tax logs.	Disbursements
949	Mailing Label Request	Used to request mailing labels and proxy cards.	Participant
950	Top Heavy Test (Plan Level)	Compares key employee account balances on the testing date, plus distributions during the testing period, with account balances and distributions for all plan participants.	Compliance
951	Top Heavy Test Participant Detail	Used in conjunction with the 950. Allows the user to override participant header records or to add a participant who is not on file.	Compliance
952	Minimum Participation Test	The Minimum Coverage Test requires plan comparison of the Non-Highly Compensated Employees to the Highly Compensated Employees to determine if the plan is discriminatory.	Compliance
953	Minimum Coverage Test (Plan Level)	The Minimum Coverage OMNIPlusScript routine allows for greater flexibility in defining the account balances for highly compensated and non-highly compensated employees.	Compliance
954	Minimum Coverage Test (Participant Level)	Used with the transaction 952 to perform the Minimum Coverage Test. Allows the user to override participant employee type, participant header compensation amount or participant contribution amount. May also be used to control whether a participant is eligible to be included in the test or to change the name printed on the Minimum Coverage Test.	Compliance

Transaction Number	Transaction Name	Description	OMNIPlus Component
955	Form 5500 Reports		Compliance
957	Participant Valuation Summary	Used to request a participant valuation summary. IT summarizes participant financial activity and other information based on selection criteria for a specified time period. May include current account value, contribution allocation percentages, participant status, vested percentages, and indicative data such as date of birth, date of hire, and date of plan entry.	Funds
958	Participant Activity Summary Report	Produces a participant level statement. Detail provided is based on activity history generated from transactions specified by user.	Funds
960	Report Address Data	Allows for production of an Address Record Dump for all records meeting selected filter criteria. Report lists all address record data elements and the value of each.	Addresses
965	Product Master Record Dump	Used to get a full listing of the data elements and his or her values from a specified product master record.	Plans
966	Custom Full Page Report Generator	Uses "free-form" report definitions stored in text files to produce custom reports or generate data.	OMNIPlusScript
970	Non-Discrimination Test	Provides a comprehensive approach to performing Nondiscrimination Testing and correcting test failures. Can be used to perform shifting, calculate excess contributions and calculate QNEC contributions.	Compliance
971	Multiple Non-Discrimination Test (Participant Detail)	Processed in conjunction with the Nondiscrimination Test. Can be used to override a participant's employee type, and to include or exclude participants from one of more of the tests. Can also be used to include eligible employees who are not on the participant file.	Compliance
972	402(g) and 415© test	IRS Code Section 402(g) places a dollar limit on the amount an individual may elect to defer in a calendar year. IRS Code Section 415 places a dollar limit on the amount of annual additions an individual can receive. This transaction will produce a report listing the participants with excess deferrals or excess annual additions. A plan level transaction 454 is automatically created that generates payment for the excess or forfeit the match.	Compliance

Transaction Number	Transaction Name	Description	OMNIPlus Component
974	Investment Action Report Request	Produces a report with information contained in investment action records.	Investments
976	Price/Rate Record Report Request	Used to request a Daily Price / Rate Report which is a formatted dump of the daily price / rate records.	Prices
977	Cash - Share Activity Report	Produces a report that lists the activities that changed net cash, number of shares or cost of shares. Pre-activity and post activity totals, net change to cash balance or share balance or cost are printed for the selected activities.	Participant Shares
978	Activity History Listing	Produces a formatted columnar listing of selected activity history base records.	History
979	Pending Activity Report	Produces a formatted columnar listing of selected activity history base records.	History
981	Loan Record Dump	Used to request a formated dump for selected activity history loan records.	Loans
985	Loan Balance Report	Used to request various loan reports. Displays data for participants who meet the selection code requirements entered on the transaction.	Loans
987	Loan Delinquency/Default Report	Used to report loans that are ahead or behind the payment schedule.	Loans
988	User Defined Report Function	Provides the ability to create customized posting or reporting processes. Executes in the Report Extract processing step.	OMNIPlusScript
989	Disbursement History Record Dump	Used to request Activity History Disbursements Record Dumps at the plan level, or for selected participants based on date ranges, amount ranges and distribution types.	Disbursements
990	Plan Resume Generator	Produces a complete listing of all plan and control record data element settings for a plan.	Plans
991	Cash Control Account Listing	Produces a listing of all cash control accounts on a plan or across a fileset.	Cash
992	Cash Control History Listing	Produces a listing of all cash control history records on a plan or across a fileset.	Cash
993	Cash Report Transaction	Produces a summary financial report of all cash control accounts within a single local plan, within a single cash control account or across an entire fileset.	Cash
994	Cash Online Activity History Report	Allows the user to add, change or delete cash history records.	Cash

Transaction Number	Transaction Name	Description	OMNIPlus Component
995	Master File Validation	Validates plan and participant information. Checks for imbalances and inconsistencies that could signal problems with the plan. Produces the Validation Warning Log that lists all validation findings to allow user to check plan conditions related to participant dates, loans, minimum distributions and 415 limitations.	Plans
996	Expense Cash Report	Lists expense bill cash control accounts. Uses the CCA Type as a filter, reporting only CCA Types = 1. Can be used to list all expense bills for a specific plan, all outstanding or unpaid bills for a specific plan or across all plans.	Cash

A.4 Acronyms

Acronym	Description
ACH	Automated Clearing House
AO	Accounting Office
AOR	Acknowledgement of Risk
API	Agency Payroll Interface
ATSS	Agency Technical Support Section
CSRS	Civil Service Retirement System
CTI	Computer Telephony Interface
DOTS	Document Tracking System
EDR	Employee Data Record
EE	Employee Exempt
EFT	Electronic Funds Transfer
ERD	Eligible Rollover Distributions
FERS	Federal Employee's Retirement System
FFS	Federal Financial System
FRB	Federal Reserve Bank
GUI	Graphic User Interface
JV	Journal Voucher
MLA	Maximum Loan Amount
MRD	Minimum Required Distribution
NFC	National Finance Center
OAS	Office of Automated Systems
OEA	Office of External Affairs
OB	Operations Branch
OBI	Office of Benefits and Investments

Acronym	Description
PCG	Participant Counseling Groups
PIN	Personal Identification Number
PSR	Participant Service Representative
SSN	Social Security Number
SUSF	Suspense File
TSP	Thrift Savings Plan
TSPCIV	Thrift Savings Plan Civilian
TSPD	Thrift Savings Plan Division
TSPUSV	Thrift Savings Plan Uniformed Services
TSPSO	Thrift Savings Plan Service Office
VOD	Verification of Deposit
VTRAN	Volume/Verilog Translator

A.5 Glossary

TERM	DEFINITION
Accelerator	A combination of keystrokes that allows users to choose a menu item when the pull down menu is not open.
Acceptable Attachments	E-mail attachments with file types that have been specified as acceptable in your PowerImage database. PowerImage E-mail will add e-mail with these types of attachments to the workflow. Typically these file types are TIFF (*.TIF), text (*.TXT), Microsoft Word (*.DOC), WordPerfect (*.WPD), and any specific file types that have been set to be saved to specific directories. *.TIF, *.TXT, *.DOC, and *.WPD are added to the workflow as ATTCH documents. See also "unacceptable attachments."
Account Classification Code Structure	Consists of the bureau code, project and task codes, fund code, program code, organization code, object class and a user-defined code. Determines the funds availability for commitments, obligations, and accrual transactions using the funds control levels established in the Funds Management Parameter Maintenance Screen (FM001). Drives the General Ledger effects by determining the G/L transaction code selection from the General Ledger Transaction Code Maintenance Screen (GL022). Validates the fund code fiscal year recorded for each financial transaction along with the fund code. Retrieves the fund code and program code based upon the project code.
Account Identifier	An identifier whose identifier type has been designated as one of the key identifier types at your company. Account identifiers are the only identifiers that appear in the Work Packet Detail – Display and Case Detail – Display windows.
ACCS	See Account Classification Code Structure
Action Step	A specific phase of a task when a particular type of work is done. PowerImage has six types of action steps: INDEX, PROCESS, QA, QC, REPROCESS, and REVIEW. See also "task action step."
Active Status	The flag indicating if the code or value is active and available for use. Valid values are Y for yes and N for no. This field defaults to N.
Active Status Date	The effective date for the ACTIVE STATUS flag.
Active Transaction	

TERM	DEFINITION
Active/ACTIVE	1. The status of a task that an operator is currently working on. 2. The status of a fax that is currently being sent.
Administrators	Operators that have authorization to use PowerImage Administration to establish workflow parameters and settings.
Agency Location Code (ALC)	The Treasury-assigned agency location code that uniquely identifies an agency and/or bureau. The required format for this field is 99-99-9999.
ALC	See Agency Location Code
Approval	The flag indicating whether the document has passed all system edits and applicable debits and credits have been recorded in the general ledger. Valid values are Y for yes and N for no. When this flag is set to Y, the document is read-only and cannot be updated. This field defaults to N and cannot be changed to Y until all required document fields are complete.
Approval: By	The name of the person applying the approval. This field defaults to the first and middle initial and last name of the user when the APPROVAL flag is set to Y.
Approval: Date	The effective date of the approval. This field defaults to the system date when the APPROVAL flag is set to Y.
Archive Box	A box used to store paper documents that have been scanned into PowerImage.
ATTCH	An e-mail attachment document. E-mail documents (TEXT) and his or her attachments are received into the PowerImage workflow via PowerImage E-mail.
Authorization Identifier	A catalogued identifier that is associated with an operator such that the operator is only assigned tasks with that identifier.
Authorize	A status which operators assign before completing a REVIEW task action step, when they approve the task to be completed.
Auto Indexing	Extracting information from reports produced by external business applications into PowerImage as tasks and index them with identifiers, using the application PowerImage EMS. MARYB
Auto Proxy Task Type	The task type assigned to tasks that are being automatically processed by PowerImage Proxy vV (Validate version), or were on time and voted successfully. The specific name of this task type is determined by an administrator.
Bar Code	
Barcode	A linear, machine-readable sequence of rectangular, black bars and the white spaces between them. In PowerImage, barcodes are used during scanning to separate documents and assign information, such as departments and task types. In PowerImage Proxy, barcodes are used to assign account numbers, issue numbers, and proxy numbers to identifiers. See also "PowerImage barcode."
Barcode Identifier Type	A special identifier type, usually called "BARCODE," that is used to assign a unique identifier to each check and the paperwork that accompanied it. In PowerImage Barcode Generator, this identifier type appears in a custom window with identifier fields that are not listed in the PowerImage Administration Identifier window. In PowerImage Cash Processing, Check Merge uses the barcode identifier to locate check and paperwork documents that should be merged.
Batch	
Batch (PowerImage)	A group of documents that are scanned together.
Black Box	Term used to define a system component that does not require explanation to the typical user. Example: Your car has an internal combustion engine, you do not need to know how an internal combustion engine works to drive.
Block	A section of a form that corresponds to a single table in the database and can contain one or more records from the table.
Breakage	

TERM	DEFINITION
Browser	Short for Web browser, a software application used to locate and display Web pages. The two most popular browsers are Netscape Navigator and Microsoft Internet Explorer. Both of these are graphical browsers, which means that they can display graphics as well as text.
Bubble Help	Contains the Savantage on-line help documentation. It is field-specific, and can be modified by the user for convenience and flexibility. However, it also provides information about the currently active option code. Bubble help can be accessed by pressing F1 or by clicking on the Question Mark icon located in the top right corner of the screen.
Bureau Code	The code that uniquely identifies a bureau within the client.
Bureau Name	The name assigned to the bureau code.
Business Application	An application, separate from PowerImage, that is used by a company to process and retrieve client account information. PowerImage can be used in conjunction with many business applications.
Button	A box with a word in it or a picture that activates a specific function when clicked with the mouse
Button Bar	A toolbar with pictures on buttons to represent critical or frequently used objects or actions. The use of these buttons alleviates the need to search through menus.
Calculated Method	One of two methods PowerImage can use to recalculate priority values as tasks age. In the calculated method, priority values increase by the same amount each day that a task has not been completed, until they reach 999. See also "priority value" and "tabular method."
Cancel Button	A push button labeled Cancel that is located on editable GUI pop-up screens within an option code and on report screens.
Canned Paragraph	A pre-written paragraph used in correspondence.
Carbon Copy	An additional printed version of a correspondence letter and any enclosures, with a separate cover letter. Used to send copies of correspondence to other parties.
Case	A group of tasks that are linked together. It is often used for tasks that cannot be processed without further documentation.
Case Id	See "case identifier."
Case Identifier	The unique name or number associated with a case type, used for tracking and retrieval of cases. It is often the same as an identifier for a key task in the case.
Case Search	A search for cases by create date and time, wake date (for suspended cases), case type, case identifier, and/or related names. Finds a case or a list of cases, which you can view and work with.
Case Type	A descriptive category name for a case. A case type and a case identifier, that is unique for that case type, is the unique name for each case.
Catalogued Enclosure	A standard document, such as a form, which is set up to be sent out in correspondence documents. Operators can choose these from a list in the Correspondence – Enclosures window.
Catalogued Identifier	An identifier that has one or more catalogued identifier fields.
Catalogued Identifier Field	An identifier field for which administrators have supplied some choices that operators can choose from. When entering information in this type of field the operator can choose a value from a list rather than typing in a value.
CCS (Character Client Server)	The CCS screens in Savantage consist mostly of the maintenance, transaction, and lookup screens. These screens have a similar appearance to the GUI screens, but still operate strictly in a character-based mode. That is, a user may only navigate through the screens using the keyboard, not the mouse or MDI menu bar.
Check Box	A GUI screen object used for choosing one or more options and for toggling a feature on or off.C36

TERM	DEFINITION
Check Information Identifier Type	A special identifier type that is used to store information about checks for PowerImage Cash Processing. In PowerImage Cash Processing, Check Merge enters information gathered in Check Scan into check information identifiers. In PowerImage, this identifier type appears in a custom window with identifier fields that are not listed in the PowerImage Administration Identifier window.
Check Merge	One of the applications in the PowerImage package used for PowerImage Cash Processing. Check Merge merges each scanned check and its accompanying paperwork into a single IMAGE document for processing. It also assigns a check information identifier that contains information gathered with Check Scan.
Check Scan	One of the applications in the PowerImage package used for PowerImage Cash Processing. Check Scan scans checks, gathers microencoded information from checks, allows operators to enter other information from checks, and saves this information.
Check Scanner	A specialized scanner used to scan the fronts and backs of checks.
Check Separator Barcode	A PowerImage barcode used in scanning for PowerImage Cash Processing. Check separator barcodes assign matching barcode identifiers to checks and his or her accompanying paperwork. They also assign the paperwork's task to an appropriate department, task type, and action step for PowerImage Cash Processing. Check Merge uses the barcode identifier to locate check and paperwork documents that should be merged.
Click	To press and quickly release either the right or left buttons on the mouse.
Close Button	A push button that is located on a non-navigable, GUI pop-up screen. It allows the user to close the pop-up screen.
Closed/CLOSED	1. The status of a case that is not OPEN or SUSPENDED. 2. The status of a fax that has already been sent.
COMBINE	The status of a case which has been combined with another case.
Complete	1. Finish a task action step. 2. See "COMPLETE/COMPLETED."
COMPLETE/COMPLETED	The status of a task that has either gone through all of its assigned steps in the workflow or been assigned this status by an operator. Operators can assign the status, "COMPLETE," using the Edit Defaults window.
Configuration File	A saved combination of scan settings.
Confirmation E-Mail	An e-mail that PowerImage E-mail automatically sends to the original sender of an e-mail when it has been successfully added to the workflow. The content of a confirmation e-mail is standardized text for your company.
Conservatorship	
Contingent Beneficiary	
Correspondence Document	An editable letter with one or more canned paragraphs, attached enclosures, and "carbon copies" with separate cover letters. The canned paragraphs can include task-specific information, for example, references to the client name and account number in the related task.
Correspondence Identifier	A unique identifier that is added to each task with a correspondence document and printed in the correspondence letter. They are useful when clients call regarding letters. They make it easy for phone operators to locate correspondence documents and his or her associated tasks, for reference.
Correspondence Letter	The main letter of a correspondence document.
Correspondence Printer	A printer used to print correspondence documents. It can have different paper bins set to print different parts of the correspondence.
CORRO	A correspondence document
Corro Identifier	An identifier used in correspondence to insert information that is not included in a regular (task) identifier.

TERM	DEFINITION
Corro Identifier Type	A category of corro identifiers with the same label and references. For example FIRST NAME@LAST NAME is the name of a corro identifier type, while Bob@Johnson is the name of a corro identifier.
COTS	COTS (commercial off-the-shelf) describes ready-made products that can easily be obtained. The term is sometimes used in military procurement specifications. TSP examples: OMNIPlus and Savantage.
Count	The number of records selected by executing a query or the number of records displayed on the screen. This number appears in the lower left-hand corner of the screen.
Cover Letter	A letter that accompanies a "carbon copy" of a correspondence document.
Create Date	The date when a task or document was created.
Create Operator	The operator who created a task.
Create Time	The time when a task or document was created.
CTEXT	A report document, which was imported from a business application to PowerImage using PowerImage EMS.
Cure Amount	
Cut-Off Time	
Daily Cut-off	
Database	A collection of information organized in such a way that a computer program can quickly select desired pieces of data. Think of a database as an electronic filing system.
Date Received	See "receipt date."
Default	A value or setting that a program automatically selects if the user does not specify a substitute. For example, word processors have default margins and default page lengths that users can override or reset.
Department	A group of operators that, for the most part, handle similar tasks.
Department List View	The area at the upper right of Workflow and Operator Administration windows in PowerImage Administration. This area has different uses in each window. In the Workflow Administration window it is used to add, change, and delete departments to be used PowerImage. It is also used to assign task types to departments. In the Operator Administration window it is used to assign operators to departments.
Dialog Box	A box containing system commands or requiring additional data. A Dialog Box is activated as a result of the user clicking on a push button in a GUI screen. In these cases, ellipses ( ) are used to imply an additional dialog box. In some cases, chevrons (>>) are used to show additional information in an expanded dialog box.
Document	A PowerImage document, saved in the PowerImage database and associated with one or more PowerImage tasks. A PowerImage document can be one of the following types: IMAGE (scanned or faxed), TEXT (e-form or e-mail), CTEXT (report), ATTACH (e-mail attachment), NOTE (internal note), CORRO (correspondence), SIGN (digitally signed) or EXTERN (viewed with an external application).
Document Content	A description of the contents of a page or pages in a document. Used to highlight a specific page or pages of a document.
Document Content Barcode	A PowerImage barcode used in scanning to assign a document content tag to a specific page or group of pages within a document.
Document ID	A unique twelve-character name assigned to a PowerImage document.
Document List Box	The area in the Task Request – Process, Work Packet Detail – Display, and Case Detail – Display windows where documents are listed.
Document Number	The Document Number.
Document Search	A search for documents by document ID, or mail type and mail identifier. Finds a document and the tasks associated with it. You can view and work with the document and its related tasks.

TERM	DEFINITION
Drill-Down	The ability to access a screen that contains detailed information relating to the data displayed on the screen, e.g., either in a lookup or transaction screen.
Dropdown List	A list of valid values from which you can select a response for a field.
Drop-Down Menus	A display of all associated items or functions within a GUI screen. This function is used when there is more than one item in a particular menu. The items in the drop-down menu should be unique, with the most frequently used or most important items at the top.
Earnings	
E-Form	An electronic form used for a specific type of transaction. Operators can fill in e-forms at his or her computers, putting data directly into PowerImage.
Electronic Form	See "e-form."
Enclosure	A document included with correspondence.
Enhanced Review Workflow	A version of the PowerImage workflow in which tasks that are given the status Authorize on a REVIEW action step are next assigned to the action step they were on when the REVIEW was requested. Tasks that are given the status Process on a REVIEW action steps are next assigned to the action step which follows the one they were on when the REVIEW was requested.
Excluded Operator	An operator that is excluded from performing an action step on a specific task. Operators are designated as excluded when a task type has been set up so that the same operator does not perform a certain combination of action steps in the same task. For example, the PROCESS operator on a task might be excluded from performing QC.
FACTS	The Federal Agencies Centralized Trial-Balance System.
Fail	A status that operators assign before completing a QC or QA task action step when they have found errors and do not fix the errors themselves. When this status is assigned, the next action step is REPROCESS.
Failed/FAILED	The status of a fax that was not successfully sent after four attempts.
Failure Code	A name and number used to identify a reason that a task failed QC or QA.
Failure Tracking	An optional PowerImage feature that allows operators to assign failure codes when tasks fail QC and QA. These failure codes can be viewed in the Task Activity – Detail window and used in reports to identify trends.
Fax List Box	The area in the Fax – Search window where fax requests are listed.
Fax Request Search	A search for outgoing fax requests by date, operator, fax number, and/or status. Finds a list of fax requests, which can be viewed, sorted, resent, and deleted.
Federal Financial Management System (FFMS)	An integrated financial management system consisting of General Ledger Management, Funds Management, Receipts Management, Workflow Management, Cost Management, Payment Management, and Database Administration Management applications.
FFMS	See Federal Financial Management System
Field	An area on a screen into which you key data or choose from a list of valid values or option buttons
Filter	
Fiscal Year (FY)	The four-digit fund code fiscal year that represents the year of funding for the transaction.
Font	A particular style of text.
Font Style	A standard variation of a font, for example, bold or italic.
Form	The form (screen) used to enter information into Savantage.
Form (PowerImage)	See "e-form."
Fund Code	The code representing the established fund/appropriation.
Fund Title	The title of the fund in compliance with the Federal Account Symbols and Titles (FAST) structure.

TERM	DEFINITION
Funding Officer	The official responsible for submitting the document for funds availability checking.
Funds Certification	The performance of funds availability checking of transactions in Savantage.
FY	See Fiscal Year
G/L Account	The combination of the general ledger account and sub-account number used to record debits and credits.
G/L Date	The general ledger end date. The required format for this field is DD-MON-YYYY, e.g., 30-NOV-2000.
GOALS	Government On-Line Accounting Link System - A Department of Treasury government-wide on-line information system through which financial data is transmitted to and from agencies. Data can be sent from and captured by Savantage.
Graphical User Interface	A GUI screen uses mouse navigation and may contain push buttons, check boxes, radio buttons, pull down lists, and/or tabs. GUI screens can also utilize the MDI menu bar. The GUI screens in FFMS consist of the Database Administration Management screens, the Message Retrieval Screen (WF003), the Locator screen, and all report and program screens.
Grayed Field	A GUI indicator that a field or button is temporarily disabled (i.e., data cannot be entered or changed at this time) is shown by displaying the field label in gray rather than black.
Group Box	A box containing and displaying a logical group of fields in a GUI screen.
GUI	Pronounced goo-ee, acronym for graphical user interface.
GUI Error Messages	There are two types of error messages that a user may encounter: an acknowledgement message and a status bar message. An acknowledgement message is displayed in a dialog box and requires the user to respond in some fashion. An error message displayed in the status bar is informative and does not require a specific response by the user.
Guardianship	
Hardship	
Hit List	Any time a piece of data matches criteria you set. Example: Using the example of a telephone book, if you opened the telephone book to the pages that list the Smiths – the multiple Smiths – Aaron to Zeke would be the "Hit List" of Smiths.
Hold Queue	A group of documents that can be printed or faxed as a group. Operators have his or her own hold queues, which they can add documents to, delete documents from, print, and fax. A hold queue is automatically cleared whenever it is printed or faxed and when the operator exits PowerImage.
Hot Keys	A user -defined key sequence that executes a command or causes the operating system to switch to another program. In Windows environments, you can often press a hot key to execute common commands. For example, Ctrl +C usually copies the selected objects.
Hyperlink	A cross-reference between electronic files or documents. It takes the user to the connected (linked) file or document.
I Fund	International Stock Index Investment Fund
Icon	In a computer's graphical user interface (GUI), an icon is an image that represents an application, a capability, or some other concept or specific entity with meaning for the user. An icon is usually selectable but can also be a non-selectable image such as a company's logo. Examples: Word Icon, Access Icon and Microsoft & IBM icon(s)
Icons	Objects of Windows that graphically represent an object or function.
ICR	Stands for "Intelligent Character Recognition," and is used to read handwritten text from scanned forms and enter it into fields that would otherwise be filled in through data entry.

TERM	DEFINITION
ICR Form	A form that has been designed to be scanned and have handwritten text on it read by an ICR engine.
Identifier	A unit of information, such as an account number or a client name, used to identify a task. Within PowerImage identifiers are used for tracking and retrieval. They can also be used as a means to transfer data to business applications and to determine which operators are authorized to be assigned a task. The specific information associated with a task, such as "11298746" or "JANE JONES," is the identifier.
Identifier Field	The spaces in a Task Identifier – Entry or Task Identifier – Update window where operators fill in information for an identifier. Each identifier type has its own identifier fields. For example, the identifier type, CLIENT NAME, would probably have two identifier fields: one called FIRST NAME and one called LAST NAME.
Identifier List View	The area at the lower right of Workflow Administration window in PowerImage Administration, where administrators can add, change, and delete identifiers to be used PowerImage. This area is also used to assign required identifier types to action steps.
Identifier Type	A category of identifiers which hold equivalent information for different tasks. Examples include ACCOUNT # or CLIENT NAME.
IMAGE	A document that was either scanned into PowerImage or faxed directly into PowerImage.
Image Mode	The mode of PowerImage Display that is used when viewing IMAGE (scanned or faxed), SIGN (digitally signed), and some ATTCH (e-mail attachment) documents.
INDEX	An action step used to assign one or more identifiers to a task.
Indicative	Non-financial data
In-Process Transaction	
Intelligent Barcode	A PowerImage barcode used in scanning to tell PowerImage where one document ends and the next begins, and also assign information to the newly scanned document. Usually intelligent barcodes supply the names of departments and task types. They can also supply the names of action steps, received dates, and/or identifiers.
Interfaces	Programs designed to extract data from Savantage or import data into Savantage (e.g., transaction that occurred in an external financial system, such as FIMA, that is interfaced into the Savantage General Ledger for reporting purposes).
In-Workflow	
Jukebox	See "optical jukebox."
Keyboard Equivalents	A keystroke or a combination of keystrokes resulting in the same functions found in a pull-down menu. This allows the user to choose a menu item without using the mouse.
Late Proxy Task Type	The task type that PowerImage Proxy (both versions) assigns to tasks for proxy cards that were read successfully but did not arrive on or before the meeting date on the proxy card. The specific name of this task type is determined by an administrator.
Line Item	An individual item on a document with detailed information, such as line item number, description, quantity, unit price, total price, account classification code(s), etc.
Line Item Distribution	A distribution of costs for a line item to one or more account classification codes.
List of Values (LOV)	A list of valid values that are active and available for a particular field. When a field contains a valid list, the message List of Values appears at the bottom of the screen, left of center.

TERM	DEFINITION
List View	An area at the right of the Workflow Administration or Operator Administration window in PowerImage Administration. Administrators can use List View to add, change, delete, and assign workflow components.
Location	A users location is defined as the first three segments of Organization established in GL029.
Locator	A navigational tool that assists users in moving across applications within FFMS or moving directly to a particular option code within an application. The FIND field in the Locator allows users to access an option code directly.
lock operator	The operator currently working on a task.
Lookup Screens	Screens used to view and query specific information. Lookup screens are for query only; no updates, changes, or deletes are allowed.
LOV	See List of Values
Magnetic Disk	A hard disk drive used as a storage medium.
Mail Identifier	See "mail type identifier."
Mail Type	The way that a document arrived at the company.
Mail Type Identifier	A unique number associated with the way that the document arrived at the company. For example, if the original document arrived by Federal Express, a Federal Express bar code number might be used as a mail type identifier.
Maintenance Screens	Screens used to record essential information that an application requires to record and process a transaction. Access to maintenance screens is limited to designated Savantage users.
Manual Proxy Task Type	The task type that PowerImage Proxy vV (Validate version) assigns to tasks that were not read successfully. The specific name of this task type is determined by an administrator.
Maximize, Minimize	Maximizing and minimizing windows is a standard Windows feature. Essentially, this feature allows users to have multiple option codes open simultaneously or only view one at a time.
MDI Menu Bar	The MDI (Multi-Document Interface) menu bar is a toolbar with pictures on buttons to represent critical or frequently used objects or actions. The use of these buttons/icons alleviates the need to search through menus. This menu bar appears only when accessing a GUI screen.
MDL	See Multiple Distribution Line
Menu	A list of available selections within the Savantage applications.
Morella Checks	
MRD	Minimum Required Distribution
Multiple Distribution Line (MDL)	The system-assigned multiple distribution line number for the account distribution of each line item.
Navigation Bar	The area at the top of most of the pages of the PowerImage Web Browser Interface that has links to the other pages in the web site.
Non-Catalogued Enclosures	Enclosures that are not listed in the Correspondence –Enclosures window and not printed or faxed as part of a correspondence document. Any documents that are sent with correspondence via an operator's hold queue are considered non-catalogued enclosures. Each time an operator sends out a non-catalogued enclosure that is not automatically added to the hold queue, that operator or another operator must locate and print or fax it.
None	A status that operators assign before completing a task action step when they want to put it back in the workflow to be assigned to the next available, authorized operator.
Normal Review Workflow	A version of the PowerImage workflow in which tasks given the status Authorize on a REVIEW action step are next assigned to the PROCESS action step. Tasks that are given the status Process on a REVIEW action step are next assigned to the QC action step.
Note Template	Pre-written text for a note.

TERM	DEFINITION
Note/NOTE	Text attached to a document. Used to allow operators to clarify the status of tasks and record additional information about documents.
OCR	The status of a task that is in the OCR queue.
OCR queue	Tasks that are waiting to have his or her primary documents run through PowerImage ICR (Intelligent Character Recognition) and have not yet entered the workflow.
OK Button	A push button that allows users to indicate acceptance of an action or data displayed within a dialog box. These buttons are located in editable GUI pop-up screens and report screens.
On-line Documentation	The On-line Documentation is field-specific and can be modified by the user for convenience and flexibility. It also provides information about the currently active option code. The On-line Documentation can be accessed by pressing HELP or by clicking on the Question Mark icon located in the top right corner of the screen.
OPAC	On-line Payment and Collection System - A component of the Treasury GOALS system that transmits billing and collection data to and from Federal agencies.
Open/OPEN	1. The status of a task that is in the workflow and available for processing. 2. The status of a fax that has not yet been sent. 3. The status of a case that is currently in the workflow.
Operator	A person that has been set up to work with PowerImage.
Operator ID	The short name for an operator. Used to log on to PowerImage and used to refer to the operator within PowerImage. Usually the same as the operator's user ID on the server.
Operator List View	The area at the lower right of Operator Administration window in PowerImage Administration, where administrators can add, change, and delete operators authorized to use PowerImage. This area is also used to assign departments and action steps to operators.
Operator Tree View	The area at the left of the Operator Administration window in PowerImage Administration, where administrators can view the relationships among operators, departments, task types, and action steps, and make deletions.
Optical	See "optical jukebox." (In PowerImage, "optical" is used to refer to optical jukeboxes.)
Optical Jukebox	A device used to store and access multiple storage media, creating one very high capacity storage device. To access a specific file, an optical jukebox uses an internal robotic arm to retrieve the appropriate platter from a shelf or slot and place it in an internal optical disk drive. In PowerImage, optical jukeboxes are used for long-term storage of PowerImage documents.
Option Code	The code representing the screen and the application to which the option belongs. For example, RM003 is within the Receipts Management application.
Originator	The user that originates (initiates) the entry of a document into Savantage.
Outstanding	The status of a task or case that is in the workflow. A task that is either OPEN or ACTIVE.

TERM	DEFINITION
Outstanding Tasks	1. (when used in reference to a case) The tasks, in an open case, that are not yet COMPLETE. 2. (when used in reference to a task search) Tasks with the status, OPEN, ACTIVE, OCR, or QA WAIT. This excludes tasks with the status, SUSPENDED or COMPLETE. 3. (when used in reference to an outstanding tasks search) Tasks with the status OPEN or ACTIVE. This excludes tasks with the status, SUSPENDED, QA WAIT, OCR, or COMPLETE. 4. (when used in reference to a Backlog Report) Tasks with the status, OPEN, ACTIVE, or SUSPENDED. This excludes tasks with the status, QA WAIT, OCR, or COMPLETE. 5. (when used in reference to an Outstanding Tasks Report) Tasks that are not COMPLETE. 6. (when used in reference to PowerImage Online Statistics) Tasks with the status, OPEN, ACTIVE, or SUSPENDED. Tasks with the status QA WAIT are also included when the Include QA Wait tasks checkbox is checked. Tasks with the status, OCR or COMPLETE, are always excluded.
Outstanding Tasks Search	A search for tasks that are OPEN or ACTIVE by department. Finds a list of outstanding tasks, which you can view and sort.
Override Official	The officer responsible for approving override requests.
Page	The portion of the form a user can view on the screen at one time. (A form can consist of one or more pages).
Page Separator Barcode	A PowerImage barcode used in scanning to tell PowerImage where one document ends and the next begins.
Parameter Screens	Screens used to submit reports, programs, and print documents for processing. For each report, program, or printed document, there is a parameter screen that prompts the user for specific selection criteria for processing.
Payment Certification	The performance of documents checking (signatures, accurate completion, all required documents, etc.) prior to payment being made.
PiForms	The application in the PowerImage package that is used to run ICR forms through an ICR engine and manage the related documents, tasks, and data.
Plan	
Platter	A storage medium used within an optical jukebox. In PowerImage, the possible types of platters are WORM (write once, read many), erasable optical, CD-ROM, and tape (DAT or DLT).
Point	To position the mouse so the cursor is over the area to be selected.
Populated	
Pop-up Screen	A screen that is denoted by "< >" on a CCS screen and a push button on a GUI screen. This window can be an entire screen or a small window depending on the information to be recorded/displayed. Usually a pop-up contains additional data pertaining to the data on the screen. In many cases, it is used to capture additional, required information from the user.
Pop-Up Window	A small screen that appears with a message, a specific set of related data (usually a small amount) or allows you to enter data related to a specific function on a window.
Pop-up Windows	A pop-up is a graphical user interface (GUI) display area, usually a small window, that suddenly appears ("pops up") in the foreground of the visual interface. Pop-ups can be initiated by a single or double mouse click or rollover (sometimes called a mouseover), and also possibly by voice command or can simply be timed to occur. A pop-up window must be smaller than the background window or interface; otherwise, it's a replacement interface.
Power of Attorney	
PowerImage	The application in the PowerImage package that is used to scan, process, and search.
PowerImage Administration	The application in the PowerImage package that is used to establish workflow parameters and settings for PowerImage.

TERM	DEFINITION
PowerImage barcode	A barcode created by PowerImage Barcode Generator. Used during scanning to separate documents and assign information, such as departments and task types. See also "check separator barcode," "document content barcode," "intelligent barcode," "page separator barcode," and "stand-alone identifier barcode."
PowerImage Barcode Generator	The application in the PowerImage package that allows office services staff to generate barcodes, so that scanning operators can automatically assign information to documents as they scan them.
PowerImage Cash Processing	The set of applications in the PowerImage package that are used to streamline and expedite cash processing. Check Scan allows operators to efficiently scan both sides of checks, using a specialized scanner, and gathers microencoded information from checks. Check Merge merges each scanned check and its accompanying paperwork into a single IMAGE document for processing.
PowerImage database	The collection of stored information that is referenced by PowerImage.
PowerImage Display	The application in the PowerImage package that is in conjunction with PowerImage to view and fine-tune documents at the scanning workstations, and to view documents while processing tasks and searching.
PowerImage document	See "document."
PowerImage Electronic Forms	The application in the PowerImage package that allows operators to work with electronic versions of nine commonly used forms. When these forms are used data goes directly into PowerImage.
PowerImage E-mail	The application in the PowerImage package that allows systems administrators to set up your company's e-mail server so that e-mail received at certain e-mail addresses goes into the PowerImage workflow.
PowerImage EMS	The application in the PowerImage package that is used to integrate information in reports from other business applications into PowerImage. "EMS" stands for "Electronic Media Storage." PowerImage EMS has two types of functions. It can insert reports into the PowerImage workflow, auto indexing them; and it can advance existing tasks in the workflow or release tasks from suspension, based on information in task-reports.
PowerImage Fax	The application in the PowerImage package that is used to set up workstations to send and receive faxes.
PowerImage ICR	The set of applications in the PowerImage Package that are used to read handwritten text from scanned forms and enter it into fields that would otherwise be filled in through data entry. ICR stands for "Intelligent Character Recognition."
PowerImage Online Statistics	The application in the PowerImage package that provides managers and supervisors with current, detailed information regarding outstanding and completed tasks.
PowerImage Print Manager	The application in the PowerImage package that is used to manage the relationship between PowerImage and your company's printers.
PowerImage Proxy	The application in the PowerImage package that is used to create an audit trail for proxy cards that have been sent and compile those that have been received.
PowerImage Proxy vA	The AutoData version of the PowerImage Proxy software, which was designed to integrate with AutoData OCR software and the business application, SunStar.
PowerImage Proxy vV	The Validate version of the PowerImage Proxy software, which was designed to integrate with selected OCR software packages and any business application. An additional feature of this PowerImage Proxy software is that it validates proxy card data.

TERM	DEFINITION
PowerImage Reports	Reports on data in the PowerImage database that are created using templates in the PowerImage package. They help managers and supervisors monitor key performance data, including volumes, backlogs, productivity, quality, and turnaround time.
PowerImage Tools	The group of applications that supplements the basic functionality of PowerImage.
PowerImage View	The feature of the PowerImage Web Browser Interface that allows you to view IMAGE (scanned or faxed), TEXT (e-form or e-mail), and NOTE (internal note) documents in a separate browser window.
PowerImage Web Browser Interface	The application in the PowerImage package that allows staff members to access the PowerImage database via an Intranet. In a future release of PowerImage it will be available via the Internet as well.
Primary Contact	An operator who has been set up to follow up with clients regarding certain kinds of incoming e-mail. PowerImage E-mail forwards such e-mail directly to the primary contact's regular e-mailbox.
Primary document	A PowerImage document that is used as the basis of one or more tasks. This document appears in PowerImage Display when its task is accessed in PowerImage. Primary documents may be of the following types: IMAGE (scanned or faxed), TEXT (e-form or e-mail), CTEXT (report) or EXTERN (viewed with an external application)
Priority	See "priority value."
Priority Value	priority value A number from 1 to 999, which is used to determine the order in which task action steps are assigned to operators. The task action step with the highest priority value is assigned first. When multiple task action steps have the same priority value, the order is determined by age. See also "calculated method" and "tabular method."
Pro Forma	User-defined debit/credit general ledger entries. Pro Formas are created in Savantage in the General Ledger Transaction Code Maintenance Screen (GL022).
Process	1. A status that operators assign before completing a task action step when they want to advance the task to the next stage of the workflow. 2. See "PROCESS"
PROCESS (PowerImage)	An action step used to do the work specific to the task. For example, in an address change task, the PROCESS action step would be changing the address.
Programs	Processes that may select specific data for further processing and may also produce a resultant report. For example, the Vendor Invoices to be Released program selects payments; calculates appropriate discounts, 1099 withholdings, and penalty interest entries; and produces a report listing these payments and calculations.
Propagatory Identifier	An identifier that is automatically added to new tasks for the same primary document.
Proxy Card Text	The text, checkboxes, entry fields, and locators that appear on all of the proxy cards in an issue.
Proxy Department	The department assigned to tasks based on proxy cards. The specific name of this department is determined by an administrator.
Proxy Print	The application in the PowerImage package that is used to set up and print the barcodes and shareholder information that appear on proxy cards.
Proxy Task Type	The task type that PowerImage Proxy vA assigns to tasks for proxy cards that were on time and voted successfully, or were not read successfully. The specific name of this task type is determined by an administrator.
Pull Down List	A list of multiple possible values for a field on a GUI screen. This list is indicated by a downward pointing arrow on a scroll bar next to the name of a field.

TERM	DEFINITION
Push Buttons	An oblong box with two sides shaded that represents a dialog box. The push button contains the title of the field and is followed by ellipses ( ). Clicking once within the box opens a larger box for entering text. Push buttons are used to take immediate actions that is frequent or critical.
QA	Stands for "quality assurance." An action step used to check the work of the QC operator by checking the work of the INDEX, PROCESS, and REPROCESS operators for accuracy. Some companies use this action step as secondary QC, while others use it to assess work quality trends.
QA WAIT	The status of a task that is in the waiting period before the QA action step. The QA waiting period lasts from the time the previous action step was completed until the next business day.
QC	Stands for "quality control." An action step used to check the work of the INDEX and PROCESS action steps for errors.
Query	Function performed by an RDBMS whereby a database is searched for records which match certain user-defined criteria.
Radio/Option Button	A circular button that indicates an option. It is selected by a click of the left mouse button. You can only select one button at a time.
Radio/Option Buttons	Radio Buttons offer a user mutually exclusive choices in a list of options from which to select. For example, choosing an action to follow when funding request fails funds availability.
RDBMS	A Relational Database Management System that allows for the recording, storage, and retrieval of information.
Reassign Operator	The operator assigned to do the work of an operator who is unavailable to work.
Receipt Date	The date used to establish a trade date and calculate priority values based on the age of a task. This date is usually the same as the primary document's create date, but it can differ.
Receipt Time	The time used to establish a trade date and calculate priority values based on the age of a task. This time is usually the same as the primary document's create time, but it can differ.
Recharacterize	
Record	Data from one row in a table in the database.
Regular Identifier	See "identifier."
Rejection E-Mail	An e-mail that PowerImage E-mail sends to the original sender or forwards to a primary contact within the company when the original e-mail either had attachments with unacceptable file types or included a task ID in the subject line. (An e-mail with a task ID in the subject line is usually a reply to a confirmation e-mail). A rejection e-mail includes standardized text for your company and a line that specifies why the e-mail was rejected.
Report	A display of information contained in the database that can either be viewed on the screen or printed.
REPROCESS	An action step used to correct any indexing or processing errors identified in the QC or QA action steps.
Required Identifier Type	A type of identifier that must be entered before a task action step that requires it can be completed.
Required Operator	An operator that is required to perform an action step on a specific task. Operators are designated as required when a task type has been set up so that the same operator will perform a certain combination of action steps in the same task. For example, the PROCESS operator on a task might be required to perform any REPROCESS action steps.
Review	A status that operators assign before completing a task action step when they want it to be reviewed.
REVIEW (PowerImage)	An action step used to check another operator's work in order to provide assistance or authorization.
S Fund	Capitalization Stock Index Investment Fund.

TERM	DEFINITION
Scan	Use a machine, called a scanner, to make an electronic version of a paper document.
Scan Mode	The mode of PowerImage Display that is used when scanning.
Scanning Session	A period of work when an operator is scanning, viewing, finetuning, and storing documents based on the same settings in the Scan Options area of the Image Document – Scan window. During a scanning session the Scanning window is open in PowerImage Display, and the words "Waiting for scan operation to complete…" appear in the lower left corner of the Image Document – Scan window.
Screen	A Savantage display of data (also known as an Option Code) that is a combination of a graphic window, Oracle canvases, and various GUI objects.
Scroll Bars	A tool used to display multiple items that cannot be displayed all at once. A user can use a scroll bar to move between the items in a GUI screen.
Scrollable Note Boxes	An item contained in a dialog box that indicates the existence of additional lines of text or data, i.e., Notes information.
Search	Criteria set by a database user to retrieve information from the database. Example telephone book. A telephone book is a database of everyone in a given town that has a listed telephone number.
Selection Order	The order in which operators are assigned work when they are cross-trained and assigned to multiple departments. Operators are assigned all available tasks for his or her primary department before being assigned tasks for his or her secondary department, and all for his or her secondary department before his or her tertiary.
Shares	
SIGN	A digitally signed document. SIGN documents are created in PowerImage by adding a scanned signature to a CORRO document, IMAGE document, SIGN document, or ATTCH document whose original file type was TIFF (*.TIF).
site key	A variable used by the PowerImage database. Site keys hold site values, which determine preferences and settings in PowerImage.
Site Value	The value assigned to a site key.
Skeletal Accounts	
Source Reference	A user-defined value for a supporting external document or transaction, if applicable.
Stand-Alone Identifier Barcode	A PowerImage barcode used in scanning that tells PowerImage to assign an identifier to the documents that is scanned with it. Stand-alone identifier barcodes do not indicate page separation and are often scanned along with intelligent barcodes.
Standard Reports	Selections of pre-defined information that can either be printed or viewed on-line. All reports have a cover page that specifies the time the report is processed, the title of the report, the period covered by the report, and other pertinent parameters. Cover pages help prevent unauthorized persons from accidentally viewing financial data.
status	1. The current state of a task, group of tasks, case, or fax request. 2. The word used to determine how a task will continue in the workflow after its current action step is complete.
Status Bar	A bar at the bottom of a Savantage option code that has a variety of functions. It normally displays different kinds of messages to a user, including field navigation guidelines (i.e., whether a field is mandatory or has a List of Values associated with it), error messages, and query results.
SunGard Client Manager	The person at SunGard Investor Accounting Systems who is your primary contact regarding PowerImage.
Suspend	A status that operators assign before completing a task action step when they want to temporarily remove the task from the workflow.
suspend operator	The operator who suspended a case.

TERM	DEFINITION
Suspended/SUSP ENDED/SUSPE ND	The status of a task or case that has been temporarily removed from the workflow.
Systems Administrator	A person who works with the technical aspects of PowerImage.
Tab	(verb) Using the tab key to move from field to field. (noun) a projection from a card used as an aid in filing. A projection, flap, or short strip attached to an object to facilitate opening, handling, or identification.
Tab Order	Refers to or in sequential order, that is, one record or field after the other.
Tabs	A menu bar resembling a file drawer that allows a user to display the contents of the tabbed folder.
tabular method	One of two methods PowerImage can use to recalculate priority values as tasks age. In the tabular method priority values can increase by the same or a different amount each day that a task has not been completed, through the seventh day. After the seventh day the priority value is set to a standard value called the critical priority value. See also "calculated method" and "priority value."
Task	The basic unit of work in PowerImage. Each task is based on one IMAGE (scanned or faxed), TEXT (e-form or e-mail), CTEXT (report) or EXTERN (viewed with an external application)document, referred to as a "primary document."Tasks are divided into action steps.
Task Action List View	The area at the middle right of Workflow and Operator Administration windows in PowerImage Administration. This area has different uses in each window. In the Workflow Administration window it is used to add, change, and delete task types and his or her action steps to be used PowerImage. It is also used to assign task types to departments and required identifiers to action steps. In the Operator Administration window it is used to assign operators to action steps.
Task Action Step	An action step in a specific task. Task action steps are what are assigned to operators when they use PowerImage to process tasks in order of priority.
Task ID	A unique number assigned to a task.
Task Identifier	1. See "Identifier." 2. See "Task ID."
Task List Box	The area in the Work Packet Detail – Display and Case Detail – Display windows where tasks are listed.
Task Search	A search for tasks by date, status, task ID, workbasket, identifier, department, task type, and/or action step. Finds a list of tasks, which you can view and work with.
Task Type	A category of tasks, such as ADDRESSCHG (for address change) or TRANSFER (for transfers).
Template	See "note template."
TEXT	An e-form or e-mail document. E-form documents are created via PowerImage Electronic Forms or a custom e-form. E-mail documents and his or her attachments (ATTCH) are received into the PowerImage workflow via PowerImage E-mail.
Text Box	
Text Mode	The mode of PowerImage Display that is used when viewing TEXT (e-form or e-mail), NOTE (internal note), and some ATTCH (e-mail attachment) documents.
TIFF	Acronym for tagged image file format, one of the most widely supported file formats for storing bit-mapped images on personal computers (both PCs and Macintosh computers). Other popular formats are BMP and PCX. TIFF graphics can be any resolution, and they can be black and white, gray-scaled, or color. Files in TIFF format often end with a .tif extension.
Time Received	See "receipt time."

TERM	DEFINITION
TIN	Taxpayer Identification Number – Control number used by the Internal Revenue Service (IRS) to identify individuals and businesses. For employees, the TIN is the Social Security Number (SSN) and for businesses, it is the Employer Identification Number (EIN).
Toggle	Move between open screens or applications on the screen.
Transaction Screens	Screens used to record individual transactions or documents.
Transactions	
Tree View	The areas at the left of the Workflow Administration and Operator Administration windows in PowerImage Administration, where administrators can view the relationships among workflow components and make deletions.
Unacceptable Attachments	E-mail attachments with file types that have not been specified as acceptable in your PowerImage database. Depending on your company's settings, PowerImage E-mail may or may not put e-mail with unacceptable attachments in the workflow. See also "acceptable attachments."
Uniformed Services	Active members of the US military and the active reserves recently added to the TSP retirement system by the Floyd D. Spence National defense Authorization Act for Fiscal Year 2001 (Public Law 106-398).
User	Any person accessing the Savantage system.
User Profile	A privilege to use computer information in some manner. For example, a user might be granted read access to a file, meaning that the user can read the file but cannot modify or delete it. Most operating systems have several different types of access privileges that can be granted or denied to specific users or groups of users.
V.I.P.	A task that is tagged to receive an increase in its priority value.
Verbose Output	A detailed version of status information that is recorded to a log file.
View Only User	An official with privileges to view any Savantage Desktop document regardless of location. These users are not permitted to make any changes to the records, and cannot create any new records. View Only Users are established and maintained in the Savantage Desktop User Type Maintenance Screen (WF008).
Wake Date	The date when a suspended task will re-enter the workflow.
Wake Time	The time when a suspended task will re-enter the workflow.
Window	A screen on which you view data or enter it into an application.
Work Packet	A group of tasks with the same primary document.
Workbasket	Used to route task action steps to specific operators. Operators are assigned task action steps in his or her workbaskets before all other task action steps.
Workflow	The activities and entities involved as operators within departments do task action steps in order of priority.
Workflow Tree View	The area at the left of the Workflow Administration window in PowerImage Administration, where administrators can view the relationships among departments, task types, action steps, and required identifiers, and make deletions.