



Treasury Financial Manual

Transmittal Letter No. 640

Volume I

To: Heads of Government Departments, Agencies, and Others Concerned

1. Purpose

This transmittal letter releases revised I TFM 4-7000: Cancellations, Deposits, and Claims for Checks Drawn on the U.S. Treasury. This chapter prescribes procedures and forms for processing and canceling U.S. Treasury checks that are:

- Stale dated;
- Undeliverable;
- Returned;
- Identified as not received, lost, or stolen;
- Destroyed or mutilated;

AND

- No longer entitled to the payee.

The requirements of this chapter apply to the Federal Program Agencies that disburse checks, as well as those serviced by the Treasury Regional Financial Centers. The procedures for processing cancellations, deposit transactions, and claims for checks drawn on designated depositories are prescribed in TFM Volume I, Part 4, Chapter 8000.

2. Page Changes

Remove

I TFM 4-7000 (T/L 508)

Table of Contents for Part 4 (T/L 629)

Insert

I TFM 4-7000

Table of Contents for Part 4

3. Rescission

This transmittal letter rescinds the following TFM bulletins:

- TFM Volume I Bulletin No. 94-09: Check Copy Retrieval Fee Increase and Record Storage Cost;
- TFM Volume I Bulletin No. 91-08: New Procedures Affecting Chargebacks and Transfers;

AND

- TFM Volume I Bulletin No. 90-03: Limited Payability.

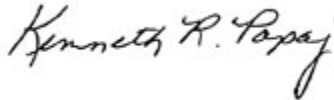
4. Effective Date

This transmittal letter is effective immediately.

5. Inquiries

Direct questions concerning this transmittal letter to:

Check Claims Branch
Check Resolution Division
Payment Management
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 8D22
Hyattsville, MD 20782
Telephone: 202-874-8217



Date: August 22, 2007

Kenneth R. Papaj
Commissioner

Part 4—Chapter 7000

CANCELLATIONS, DEPOSITS, AND CLAIMS FOR CHECKS DRAWN ON THE U.S. TREASURY

This chapter prescribes procedures and forms for processing and canceling U.S. Treasury checks that are:

- **Stale dated;**
 - **Undeliverable;**
 - **Returned;**
 - **Identified as not received, lost, or stolen;**
 - **Destroyed or mutilated;**
- AND**
- **No longer entitled to the payee.**

Section 7010—Scope and Applicability

This chapter prescribes procedures and forms to be used for:

- Automatically canceling checks drawn on the General Account of the U.S. Treasury;
- Processing undelivered and returned checks;

AND

- Processing claims because of nonreceipt, loss, theft, destruction, or mutilation of checks.

The requirements of this chapter apply to Federal agencies that do their own disbursing, as well as those serviced by U.S. Treasury Regional Financial Centers (RFCs). The procedures for processing cancellations, deposit transactions, and claims for checks drawn on designated depositories are prescribed in TFM Volume I, Part 4, Chapter 8000.

Section 7015—Authority

Governing authorities that limit the negotiability, claimability, and reclaimability of U.S. Treasury checks include the following:

- The Competitive Equality Banking Act of 1987; Public Law 100-86, 101 Stat. 552, 657-660, signed into law on August 10, 1987;

AND

- The Debt Collection Improvement Act of 1996 (part of the Omnibus Consolidated Rescissions and Appropriations Act of 1996); Public Law 104-134; 31 CFR 235 and 245; 31 U.S.C. 321, 3328, 3331, 3343, 3702, and 3712.

Section 7020—Definition of Terms

Agency Location Code (ALC)—An FMS-assigned 3-, 4-, or 8-digit numeric symbol used to identify agency accounting locations. U.S. Treasury disbursed Federal Program Agencies (FPAs) use an 8-digit

symbol, non-U.S. Treasury disbursing offices (NTDOs) use a 4-digit symbol, and RFCs use a 3-digit symbol.

Altered Check—A U.S. Treasury check on which the original information is changed with the intent to defraud the Government.

Available Check—An unpaid U.S. Treasury check in the possession of the RFC, other Financial Management Service (FMS) office, FPA, or NTDO.

Available Check Cancellation (ACC)—A check the RFC has canceled and has in its possession and for which the RFC has credited the funds to the FPA's ALC.

Birmingham Debt Management Operations Center (BDMOC)—A U.S. Treasury disbursing office responsible for issuing payments, for which certified amounts have been reduced due to offset, and for processing cancellation documents related to those payments back to the RFC that received the original payment request.

Budget Clearing Account—F3880 “Unavailable Check Cancellation Overpayments” (Suspense)—An FMS-

established budget clearing account for recording and adjusting credits and charges resulting from claims on unavailable checks. ALC administrators must clear credits and charges in the budget clearing account to the proper FPA account as expeditiously as possible.

Cancellation—The process of rendering a check canceled and repaying the amount of the check to the agency that authorized the issuance.

Certifying Officer—An FPA- or NTDO-certified official who authorizes issuance of a payment in accordance with 31 U.S.C. 3325.

Check—A draft or an order to pay that is drawn on the U.S. Treasury.

Check Forgery Insurance Fund (CFIF)—A fund established to settle payee claims of nonreceipt where the check has been fraudulently negotiated.

Check Number—A 12-digit number found on U.S. Treasury checks that consists of the 4-digit check symbol number and the 8-digit check serial number.

Check Reclamation—A demand to a financial institution for refund of the amount of an improperly negotiated U.S. Treasury check.

Check Serial Number—A number up to 8 digits that uniquely identifies a particular check issued under the RFC or NTDO disbursing symbol. The check serial number is printed on the upper right-hand corner of the check (preceded by the 4-digit check symbol number).

Check Status Inquiry—An inquiry from an FPA/NTDO regarding the payment status of a U.S. Treasury check.

Check Symbol Number—A 4-digit number within the range of 1000 and 9998 that uniquely identifies the RFC or NTDO issuing the U.S. Treasury check. The check symbol number is printed on the upper right-hand corner of the check as the first 4 digits (preceding the check serial number).

Claim—An unavailable check cancellation against a U.S. Treasury check.

Claimability—The length of time during which a payee may present a claim of nonreceipt, loss, or theft to an FPA/NTDO.

Claims Disposition Notice (CDN)—A computerized form printed from the Treasury Check Information System (TCIS) to advise the FPA/NTDO of an action taken in the adjudication of a claim.

Counterfeit Check—A document produced, reproduced, copied, engraved, or printed in an attempt to imitate, represent, or duplicate a genuine check drawn on the U.S. Treasury with the intent to defraud, or what enables any other person to defraud, either directly or indirectly, the U.S. Treasury.

Courtesy Disbursement—A U.S. Treasury check issued by the RFC as a result of an FPA submitting a “reserved” stop reason code (see Appendix 1). Courtesy disbursements are currently restricted to the Social Security Administration (SSA/SSI), Department of Veterans Affairs (VA), Office of Personnel Management (OPM), and the Railroad Retirement Board (RRB).

Daily Advice of Status (DAS)—Advice to the FPA/NTDO of check status. The DAS contains the FPA/NTDO check description together with the advice that the check is paid (negotiated) or outstanding (not paid).

Deceased Payee Intercepts—Treasury checks that the Federal Reserve Bank (FRB) identifies and returns to the presenting bank because the payee died before the check was issued and, therefore, no entitlement exists. The checks are returned stamped: “Payee Deceased—Questions Contact Authorizing Agency.”

Declination—The process by which the U.S. Treasury declines to make final payment on a check by instructing an FRB to reverse its provisional credit to a financial institution. The declination may occur because the check is over 1-year old

(stale dated) from the check issue date or because the amount of the check has been altered, or for other reasons.

Department Code—The first 2 digits used in Federal account symbols and ALCs indicating the department that is reporting transactions. A complete listing of department codes (also called agency codes) appears in the *Federal Account Symbols and Titles (FAST) Book*, Part IV (see the FAST Book Web site at <https://www.fms.treas.gov/fastbook>).

Digital Check Image—A digitized representation of a U.S. Treasury check.

Disbursing Officer—An employee of the Federal Government, a TDO or NTDO, authorized to disburse funds drawn on the U.S. Treasury. NTDOs located overseas also are called “USDOs” and are authorized to disburse funds in both U.S. dollars and foreign currency.

Document Identification Number—The 16 alphanumeric characters that the FRB processing centers assign to a check and its associated check image during the FRB check processing operation.

Due or Entitled—The condition where the entire proceeds of a check are due and payable to a payee or the payee’s estate.

Federal Program Agency (FPA)—A department, instrumentality, office, commission, board, service, or other establishment of the U.S. Government. FPAs do not have disbursing authority and, thus, designate certifying officers to submit requests to disbursing officers for payments to be drawn on the U.S. Treasury.

Federal Reserve Bank (FRB)—The depository bank that acts as the U.S. Treasury’s banker and clearinghouse in the payment of U.S. Treasury checks forwarded from the financial institutions.

Field Operations Manual (FOM)—The official internal publication of policies, procedures, and instructions for RFCs. The FOM supplements procedures found in the TFM, such as, TFM Volume I, Part 4, Chapter 7000.

Financial Institution—Includes but is not limited to any bank, savings bank, credit union, savings and loan association, State bank, or national bank created under Federal or State law.

Financial Management Service (FMS)—The U.S. Treasury bureau that is responsible for overseeing the Government's cashflow, collecting Federal revenues, providing centralized debt collection services, and providing Governmentwide accounting and reporting. FMS also oversees the disbursement of Federal payments, reconciliation, and claims processing of all U.S. Treasury checks.

Financial Processing Division—The FMS division responsible for maintaining records for check issuance, cancellations, payment records, and claims of forgery in the check aftermath process.

FMS 224: Statement of Transactions (Classified According to Appropriation, Fund, and Receipt Account; and Related Control Totals)—An accounting document that FPAs transmit monthly to FMS reporting the transactions affecting their accounts. This report reflects the disbursements and collections reported to the FPA's ALC by a disbursing officer, classified by appropriation/fund symbol.

FMS 1133: Claim Against the United States for the Proceeds of a Government Check—A document sent to a payee or claimant to complete when forgery of a U.S. Treasury check is alleged.

FMS 1219: Statement of Accountability—An accounting document that domestic disbursing officers transmit monthly to FMS reporting the transactions (disbursements and collections) processed to support their operations and/or on behalf of other FPAs. These transactions are classified by FPAs' 8-digit ALCs.

FMS 1220: Statement of Transactions (According to Appropriations, Funds, and Receipt Accounts)—An accounting document, which accompanies the FMS 1219, that NTDOs transmit monthly to FMS reporting the transactions affecting

their accounts. These transactions are classified by appropriation/fund symbol.

FMS 3813: Reversal of Credit—An accounting document RFCs use to reverse an item on an SF 1098 that previously has been canceled by an Unavailable Check Cancellation (UCC).

FMS 3858: Claims Document—A package sent to a payee, FPA, or NTDO that contains a requested check image or a claims package when forgery of a U.S. Treasury check is alleged.

FMS 3864: Agency Recertification Follow-Up Form—A document used by the FPA/NTDO to follow up on the status of UCCs and forgery claims.

Forged Check—A check that is endorsed without authorization by someone other than the payee and presented for payment.

Forgery Claim—An FMS 1133, filed by a payee or claimant of a U.S. Treasury check, alleging forgery.

Government On-Line Accounting Link System II (GOALS II)—The FMS telecommunications network with many functions to facilitate Governmentwide financial reporting, including allowing an RFC to report accounting data (payments and collections) to an FPA, a disbursing officer to transmit the monthly FMS 1219, and an FPA to transmit the monthly FMS 224.

Held Check—A check not released by the RFC at the request of the FPA.

Holder-In-Due-Course—A nonbanking institution or individual that negotiates a U.S. Treasury check and makes claims for the proceeds when the check is lost or stolen before being received for deposit at a financial institution.

Intra-Governmental Payment and Collection (IPAC) System—A system that allows funds to be transferred between FPAs' ALCs.

Limited Payability—Limits to 1 year from the issue date, the negotiation and acceptance of a U.S. Treasury check by the FRB.

Limited Payability Cancellation—The automatic cancellation by the U.S. Treasury in the 14th month of a check that has been outstanding for 1 year. The U.S. Treasury returns the funds to the agency that authorized the payment. If a check is presented for payment after it has been limited payability canceled, the U.S. Treasury considers it stale dated and will not honor that payment if presented by a bank. The originating agency would need to issue, or request the RFC to issue, a replacement check to pay the outstanding obligation.

Limited Payability Cancellation Credit—Proceeds of a U.S. Treasury check returned to the FPA via the IPAC System because the check was not negotiated within the 1-year timeframe allotted for negotiating checks.

Lost-In-Transit—Checks lost or stolen in transit between financial institutions, between a financial institution and the FRB, between the FRB District Office and the FRB processing center, or between overseas depositories and the FRB.

Magnetic Ink Character Recognition (MICR)—Encoded machine-readable numbers or characters printed across the bottom of a check, check repair strip, or document carrier envelope.

Mark—A symbol (X) made in place of a signature.

Mutilated Check—A U.S. Treasury check that is torn, folded, or has information missing that cannot be processed through normal banking channels.

Negotiability—The quality of being negotiable or transferable by endorsement.

Nonreceipt—An allegation by a payee or claimant that a U.S. Treasury check has not been received.

Non-U.S. Treasury Disbursing Office/Officer (NTDO)—A Federal Government agency/officer given authority to disburse funds, pursuant to Title 31 U.S.C., or that has statutory disbursing authority.

Not Due or Not Entitled—A condition where all or part of the proceeds of a check are not due and/or not entitled to the payee or the payee's estate.

Original Check—An initial check payment printed on U.S. Treasury paper stock.

Outstanding Check—A U.S. Treasury check reported as being issued but not paid by the U.S. Treasury.

Paid Check—A U.S. Treasury check that has been issued and paid by the U.S. Treasury.

Paid Date—The date that a check has been paid by the U.S. Treasury.

Payee—The person or entity that the FPA/NTDO designates to receive payment pursuant to Title 31 U.S.C. 3528.

Payment Over Cancellation (POC)—A state that occurs when a check that previously has been canceled as an unavailable (lost) check is subsequently presented and paid by the U.S. Treasury.

Payments Claims and Enhanced Reconciliation (PACER) On-Line—An FMS payment information system that provides online status and digital images for U.S. Treasury payments issued on or after October 1, 1997.

Recertified Payment—The payment of a newly numbered replacement check (not a substitute) as certified by the FPA based on a claim of nonreceipt, loss, theft, destruction, or mutilation of an original check.

Reclaimability—The length of time FMS can demand refund from a financial institution.

Recovered Check—A check returned to the possession of the FPA, NTDO, or RFC after a UCC action has been taken.

Regional Financial Center (RFC)—One of four FMS offices in which a TDO is authorized to issue payments and process cancellations on behalf of FPAs that do not have their own disbursing authority.

Returned Check—A check returned to the FPA, NTDO, or RFC.

SF (Standard Form)—Any preprinted Government form assigned a form number and designated as a standard form.

SF 1081: Voucher and Schedule of Withdrawals and Credits—An interagency accounting document used to credit or debit funds between FPAs and NTDOs.

SF 1098: Schedule of Canceled or Undelivered Checks—An accounting document used by the RFC to credit an FPA for ACCs.

SF 1218: Statement of Accountability (Foreign Service Account)—An accounting document that overseas disbursing officers transmit monthly to FMS reporting the transactions (disbursements and collections), in U.S. dollars and foreign currency, processed to support their operations and on behalf of any FPA they service. These transactions are classified by FPAs' 8-digit ALCs.

SF 1221: Statement of Transactions (According to Appropriations, Funds, and Receipt Accounts) (Foreign Service Account)—An accounting document, which accompanies the FMS 1218, that overseas NTDOs transmit monthly to FMS reporting the transactions affecting their accounts and any FPAs they service, in U.S. dollars and foreign currency. These transactions are classified by appropriation/fund symbol.

SF 5515: Debit Voucher—An accounting document for making adjustments (decreases) to amounts previously deposited. The SF 5515 is used to record debit transactions to an ALC.

Stale-Dated Check—A nonnegotiated U.S. Treasury check that is 1 year old or older from the check issue date.

Status—Payment information indicating whether a check is outstanding or paid according to U.S. Treasury records.

Stop Reason Code—One alpha character reflecting the nonreceipt or nonentitlement code reported by the FPA/NTDO (see Appendix 1).

Treasury Check Information System (TCIS)—A system developed by the

Department of the Treasury/FMS as a replacement for the Check Payment and Reconciliation System. TCIS records and reconciles the worldwide issuance and payment of U.S. Treasury checks. It also allows end users to query PACER On-Line for claim status on Automated Clearing House (ACH) payments.

Treasury Check Operations Re-engineering Effort (T-CORE)—A system located at FRB Richmond that processes payment transmittals and declination and reclamation data. The T-CORE Declinations System handles U.S. Treasury check offsets and limited pay information provided by FMS, processes transmittal status reports, and intercepts U.S. Treasury checks negotiated under forged endorsements because the payee died and subsequent benefit payments were issued, or the check is stale dated.

Treasury Financial Manual (TFM Volume I)—The official publication of U.S. Treasury procedures for financial management and reporting. It describes the fiscal responsibilities of Federal agencies and other concerned parties by providing policies, procedures, and instructions.

Treasury Receivable, Accounting, and Collection System (TRACS)—A debt recovery and accounting system that provides all accounting, financial reporting, debt billing, and collection activity associated with the U.S. Treasury's check claims process.

Unavailable Check—A U.S. Treasury check that is not in the possession of the FPA, RFC, or NTDO and is reported as lost or not received by the payee or the claimant.

Unavailable Check Cancellation (UCC) Credit—A UCC credit returned to the FPA/NTDO for an outstanding U.S. Treasury payment that has been canceled.

Unavailable Check Processing—The action taken to process a UCC (nonreceipt claim) on a U.S. Treasury payment using stop reason codes A, B, C, D, E, F, or G.

Undeliverable Check—A U.S. Treasury check issued by the RFC or NTDO that

was returned to the RFC or NTDO as undeliverable.

United States Code (U.S.C.)—The official compilation, subject matter order, of the Federal laws of a general and permanent nature that are currently in force. The Office of the Law Revision Counsel of the U.S. House of Representatives compiles the U.S.C. in accordance with 2 U.S.C. 285b.

U.S. Disbursing Officer (USDO)—An officer authorized by the Secretary of the U.S. Treasury to maintain official accounts of the United States in depository banks located in the United States, its territories, and foreign countries and to draw checks thereon in dollars or in foreign currencies.

U.S. Treasury Disbursing Officer (TDO)—An FMS official operating at one of four RFCs (in Austin, TX; Kansas City, MO; Philadelphia, PA; or San Francisco, CA) delegated the authority to disburse funds pursuant to Title 31 U.S.C. TDOs disburse payments as requested by authorized FPA certifying officers.

Section 7025— Limited Payability Cancellation

Public Law 100-86 provides that U.S. Treasury checks must be negotiated no later than 1 year from the date of issuance. In addition, all checks not negotiated are canceled and the proceeds returned to the FPA/NTDO that authorized the issuance of the check. U.S. Treasury checks have the legend “VOID AFTER ONE YEAR” printed above the disbursing officer’s signature.

FMS cancels nonnegotiated checks that are 12 months old during the 14th month and returns the proceeds to the FPA/NTDO that authorized the payment for credit to the appropriation or fund account initially charged.

7025.10—Reversal of Limited Payability Cancellations

In some cases, checks are negotiated to financial institutions within 1 year from the date of issuance, but processing in the FRB system prevents the payment from being applied to TCIS before the limited payability cancellation has occurred. In these instances, FMS must reverse the limited payability cancellation credit previously provided to the FPA/NTDO by an SF 1081 (see Appendix 2) and must provide a copy of the paid item to the FPA/NTDO. This transaction is separate from the monthly cancellation credit.

7025.20—Checks Issued Prior to October 1, 1989

On November 30, 1990, FMS identified and canceled all checks issued and not negotiated prior to October 1, 1989. FMS applied the monies as required in Public Law 100-86, Section 1003, and did not make monies from this cancellation available to the FPA/NTDO.

7025.30—Claims Presented to the FPA/NTDO for Obligations

If a payee presents a claim to an FPA/NTDO for the underlying obligation on a check, the FPA/NTDO should examine its records to see whether an earlier claim or cancellation has been processed. The FPA/NTDO must:

- Determine if the payee is entitled;

AND

- Identify the source account from which the funds were originally paid.

The FPA/NTDO may recertify a payment from the appropriation or fund from which the original payment was made (or its successor account).

Section 7030—Available Check Cancellation Processing

Returned, held, undeliverable, or mutilated U.S. Treasury checks that are in the possession of the RFC, BDMOC, and NTDOs are canceled within 3 workdays of receipt in the disbursing offices. Exceptions include:

- Checks recovered or returned to the possession of the FPA or RFC subsequent to the submission of a UCC;
- Checks involving holder-in-due-course claims;
- Mutilated checks when substantial portions are missing;

AND

- Stale-dated checks.

7030.10—Safekeeping of Returned Checks

The RFCs, BDMOC, NTDOs, and FPAs must maintain adequate security and procedures for the safekeeping of all checks returned as undelivered while in the possession of their office pending disposition. At a minimum, they must:

- Open, extract, and deface returned U.S. Treasury checks in the presence of two people;
- Limit access to the area where returned U.S. Treasury checks are processed to individuals assigned the responsibility of processing returned checks;

AND

- Secure the checks in a locked container, if there is a delay between the time the checks are received and when they are defaced.

7030.20—Defacing Returned Checks

The face of each U.S. Treasury check to be canceled is defaced by stamping the legend “Not-Negotiable.” The letters of the legend should be of prominent size to remove all possibility of negotiation and should be a color other than black (preferably red).

7030.30—Transmitting Returned Checks to the RFC

If the FPA determines the checks should be returned to the RFC or BDMOC, it should do so as soon as possible but no later than 5 days from the date of receipt. In addition to stamping all returned checks “Not Negotiable,” the FPA does the following:

- Marks the checks with the appropriate return reason code (Appendix 3 lists the return reason codes with definitions);

AND

- Lists the checks on a transmittal.

The transmittal at a minimum should show the agency name, ALC, and the name and phone number of a point of contact. Two people should verify the transmittal before the FPA mails it to the RFC or BDMOC.

The RFC or BDMOC should process U.S. Treasury checks returned from the FPA on the day of receipt if at all possible but no later than 3 days following receipt.

RFC or BDMOC personnel must:

- Verify that all checks listed on the transmittal are received;
- Sign the transmittal acknowledging receipt;
- Keep a copy of the transmittal for their records;

AND

- Return the original transmittal to the FPA.

7030.40—Recovered or Returned Checks

Original checks recovered or returned to the FPA, NTDO, or RFC subsequent to being processed with a UCC are stamped with the legend “Not-Negotiable, Previously Treated as Canceled-SF 1184 UCC dated _____.” The checks are retained for 90 days and then shredded.

7030.50—RFC and BDMOC Check Cancellation through PACER On-Line

The RFC and BDMOC scan all returned, undeliverable, and held checks for input to PACER On-Line. Data from mutilated checks is manually entered into PACER On-Line. PACER On-Line processes cancellations into TCIS by the overnight batch process. The credit information appears in TCIS the following business day.

7030.60—Available Check Cancellation File Transmissions Returned Without Credit

During the PACER On-Line process, some ACC requests are rejected because the checks have already been paid or canceled.

7030.70—Checks Returned When the Authorizing Agency Is No Longer in Operation

If the RFC or NTDO receives a returned check for an FPA/NTDO that is no longer in operation, it stamps the check “Not-Negotiable” and forwards it to the successor FPA/NTDO.

Section 7035—Accounting and Reporting Requirements for Available Check Cancellations

This section prescribes the requirements and procedures for use by NTDOs, FPAs, and RFCs to account for

and report cancellation of available checks.

PACER On-Line file transmissions requesting check cancellation action are transmitted into TCIS for credit. The RFC receives credit from TCIS and passes credit via an SF 1098 (see Appendix 4) to an FPA’s ALC.

Specific instructions for these transactions are derived from general regulations prescribed in TFM Volume I, Part 2, Central Accounting and Reporting.

7035.10—Establishment of Liability for Payment of the Proceeds of Undelivered Checks Credited to FPA/NTDO Accounts

A valid liability exists for the amounts of all undelivered checks credited to the FPA/NTDO accounts for the possible subsequent payment to the payees or their estates upon claim for the proceeds. This liability represents an unpaid obligation. The FPA/NTDO may use customary documentation to establish the obligation and payability in its accounts. The FPA/NTDO should maintain a file on undelivered checks in order to facilitate the prompt processing of claims for the proceeds when presented by the payees or their estates.

7035.20—Reporting Check Cancellations

This section prescribes canceled check reporting procedures for the FMS 224, FMS 1219, FMS 1220, and SF 1221.

7035.20a—FMS 224

FPAs for which the RFCs issue checks credit the applicable deposit transactions as reductions in disbursements on the FMS 224, if the deposit transactions occurred within the same fiscal year. They should report the transactions as a net reduction in column 3 of Section I and on line 1 of Section II (see TFM Volume I, Part 2, Chapter 3300, Section 3335). The RFCs disbursing for these FPAs

reduce their FPA control totals (disbursements) report by the total amount of the deposits.

7035.20b—FMS 1219

The RFCs submit an FMS 1219 reporting cancellations processed on behalf of FPAs, as a reduction to the amount of disbursements.

7035.20c—FMS 1220/SF 1221

Disbursing offices, other than RFCs, submit an FMS 1220 or SF 1221 for foreign currency accounts, along with an FMS 1219 or SF 1218, respectively, to report cancellations classified by appropriation, fund, or receipt account. See TFM Volume I, Part 2, Chapter 3100, for further information.

7035.20d—NTDO Rejected Deposits

Canceled checks sent to a depository for deposit and credit to the NTDO's ALC are subject to collection (payment). If, after deposit, TCIS later rejects a check because of an existing prior check, FMS returns copies of the checks to the NTDO with an SF 5515. See TFM Volume I, Part 5, Chapter 5000.

Section 7040—Determining the Status of Checks

For the status of checks dated within a 7-year period, the FPA/NTDO accesses TCIS or PACER On-Line.

See Appendix 5 for a list and explanation of the check status codes.

Section 7045—Nonreceipt and Nonentitlement Claims Processing

This section prescribes the forms and procedures FPAs and NTDOs use when

requesting action on unavailable checks. These procedures are used when:

- The payee reports nonreceipt, theft, loss, mutilation, or destruction of a check, the proceeds of which are due the payee.
- The FPA determines that the payee is not entitled to the proceeds of the check.

The procedures in this section do not apply to:

- Lost or stolen blank check stock (see TFM Volume I, Part 4, Chapter 5000, subsection 5030.20);
- Holder-in-due-course claims (see subsection 7065.20);
- Loss or theft of checks in transit for payment between the FRBs, or from the FRB or certain other financial institutions (see subsection 7065.10);

AND

- Direct deposit/electronic fund transfers or Fedwire payments.

7045.10—Unavailable Check Cancellation – Stop Reason/Check Status Inquiry Codes

Before processing claims from the payee/claimant, the FPA/NTDO should ensure the following:

- The claimant is entitled to the payment.
- A check was previously scheduled for issuance.
- The check is not in the possession of the FPA/NTDO.
- No cancellation or deposit action has taken place previously.

To file a nonreceipt claim against a U.S. Treasury check, the FPA/NTDO can submit a UCC on-line through TCIS or file transmission.

7045.10a—Stop Reason Code

FPAs/NTDOs use the stop reason codes to advise FMS of information that assists in determining the adjudication process. See Appendix 1 for a list and explanation of the stop reason codes.

If the check has been paid, an FMS 3858 (see Appendix 6) is mailed to the FPA/NTDO for UCC stop reason codes A, B, F, or G, and for all POC claims. For stop reason codes C and D, the FMS 3858 is mailed to the payee/claimant. See subsection 7055.05 for instructions on completing the claim form FMS 1133.

7045.10b—Check Status Inquiry Code

FPAs/NTDOs use the check status inquiry codes K and L solely for obtaining images of paid checks. The check status inquiry codes are not intended to and will not result in credits to the agencies, nor are they to be used for a claim of nonreceipt. Images of paid checks can be viewed and/or printed from TCIS or PACER On-Line.

7045.20—RFC Processing of UCCs

7045.20a—Preparation of File Transmission

The FPA is responsible for the accuracy of the payee's name and address. The RFC will reject the UCC if any of the following information is missing or disagrees with the RFC's records:

- For monthly payments, the payee identification number and check date;

OR

- For vendor and miscellaneous payments, the check issue range or schedule number.

After the FPA has verified the UCC file and signed the transmittal, it transmits the file to the RFC for processing. A

listing of the RFCs is included following the Contacts page.

The signature on the file transmittal certifies the correctness of the check descriptions, and other information, and authorizes the RFC to process the requests.

Upon receipt of the UCC file, the RFC processes the file into PACER On-Line. It consolidates all valid claims, enters them into a sequentially numbered daily UCC file, and transmits the file to FMS for submission to TCIS.

The transmission includes the data for each payee or claimant required by FMS's file specifications. The submitting FPA authorizes the RFC to do the following:

- Add the symbol and serial number of the check;
- Consolidate the claims with other UCC submissions;

AND

- Transmit the UCC records to FMS's Platform Operations Division.

The RFC notifies the FPA of the disposition of each claim submitted by a return file or other media.

7045.20b—TCIS Rejection of UCCs

TCIS rejects UCC transmissions if the file formats are improperly prepared, incorrect, or unreadable. TCIS returns the UCC file to the RFC/NTDO without further processing.

If TCIS can read the UCC file but the required data for individual records are missing or inappropriate for the stop reason code selected, then TCIS issues a Daily Advice of Status (DAS) message to indicate that it has rejected the UCC item.

The DAS provides the reason for rejection and advises of the action to be taken. TCIS may generate more than one DAS rejection message for each UCC submission.

7045.20c—DAS Message

For every accepted or rejected UCC record entered into TCIS, the FPA/NTDO receives a DAS.

Note: The DAS is not an accounting document.

The DAS contains the status date that indicates the date TCIS determined the status of the UCC.

Appendix 7 provides a list of status code messages and explanations.

Section 7050—Accounting and Reporting Requirements

This section provides information on accounting and reporting requirements for the following:

- UCC credits;
- Limited payability cancellation credits;
- Payments over cancellations;

AND

- SF 1081 transactions and adjustments.

TRACS transfers limited payability credits, UCC credits, and POC charges to the FPA/NTDO ALCs through IPAC.

Note: TRACS automatically assigns a distinct IPAC bill number for all transactions.

7050.05—UCC Credits

UCC submissions result in credits being provided to the FPA/NTDO if the check status is "issue outstanding." Generally, credits for RFC-issued checks are automatically posted to the RFCs. The RFCs return the UCC credits to the FPAs by an SF 1185 schedule. UCC credits for NTDOs are returned via IPAC.

7050.10—Limited Payability Cancellation Credits

Treasury checks that are 12 months old and not negotiated are automatically canceled during the 14th month and the proceeds returned to the FPA/NTDO for credit to the appropriation or fund account initially charged.

7050.15—Accounting for Canceled Checks Credited to FPA/NTDO Accounts

FPAs/NTDOs return the proceeds from canceled checks to the account from which the check was originally issued. FPAs/NTDOs with annual, multiyear, and no-year appropriation accounts treat the canceled check as an account payable. If the FPA/NTDO determines that the liability is not valid, the funds are available for obligation if the account has not expired.

In cases where the liability is valid but the claim is placed after the appropriation account is closed and the balance canceled, the FPA/NTDO may use up to 1 percent of its current appropriation by reporting a 46 subclass on the Statement of Transactions or it may seek a reappropriation.

FPAs/NTDOs with uninvested trust, revolving, and deposit fund accounts follow the procedures in TFM Volume I, Part 6, Chapter 3000.

FPAs/NTDOs with invested accounts retain funds from canceled checks on their books.

7050.20—Payment Over Cancellation (POC) Processing

A POC results when a check previously canceled by a UCC is subsequently presented for payment. When FMS has sent a cancellation credit to the FPA/NTDO and the check is subsequently negotiated, FMS debits the FPA/NTDO account through IPAC for the overpayment.

FMS forwards an FMS 3858 to the FPA/NTDO for completion by the payee/claimant. Upon receipt of the completed claim, FMS processes it according to the CFIF guidelines.

7050.25—IPAC Bill Data File

TRACS generates an IPAC bill data file reflecting the individual payee or claimant and corresponding check information to accompany the IPAC bill. Credits and charges are listed separately and are not commingled in the same IPAC bill document or IPAC bill data file. (See I TFM, Part 6, Chapter 4000.)

7050.30—SF 1081 Reversal of Original Credits or Debits Due to the Agency

TRACS generates SF 1081 documents to report adjustments to UCC, POC, limited payability cancellation, and reclamation credit activity. These documents indicate the total dollar amount of the credit or charge that has been entered into the FPA's/NTDO's budget clearing F3880 account. FMS sends the SF 1081 to the FPA's/NTDO's address on file. The SF 1081 is the FPA's/NTDO's documentary evidence that FMS has entered the credit or charge to the F3880 account. Credits and charges are listed separately and are not commingled on the same SF 1081. The FPA/NTDO must record the amount in its internal accounting records as an increase or decrease to its F3880 account.

TRACS generates an SF 1081 listing that summarizes the monthly SF 1081 activity by ALC.

7050.35—Agency Reporting (SF 1081 or IPAC)

The FPA/NTDO uses an IPAC bill generated from TRACS for reporting. The IPAC bill and detail data are available to the FPA/NTDO daily on-line through IPAC for current month transactions. The detail data remain available to the FPA/NTDO on-line in IPAC up to 15 months after the credits and charges are

transferred. The detail data must equal the total amount of the IPAC bill. The IPAC bill is documentary evidence that FMS provided credits and/or charges. FMS reports these transactions to the central accounting system.

At the end of each accounting period, the FPA/NTDO must accurately report to FMS funds transferred from TRACS via IPAC. FPAs report to FMS on the FMS 224. They should classify the net amount in Section I, column 3, as a disbursement or credit disbursement, whichever is applicable and also should include the net amount in Section II, line 1. NTDOs report to FMS on the FMS 1219/1220 or SF 1221.

After receiving the SF 1081 document and reporting a credit or charge to the F3880 account on its internal accounting records, the FPA/NTDO must prepare an OF 1017-G: Journal Voucher (see Appendix 8) or other journal voucher to clear the credit or charge from the F3880 account. The funds are returned to the appropriation or fund account identified by the FPA/NTDO.

At the end of each accounting period, the FPA/NTDO must report the journal voucher transaction that transferred the credit or charge from the F3880 account to the appropriate appropriation or fund account in Section I, column 3, of its monthly FMS 224 (see Appendix 9) or FMS 1219, FMS 1220, and SF 1221.

If the journal voucher transferred a credit from the F3880 account to the FPA's/NTDO's appropriation or fund account, the FPA or NTDO reports a charge to the F3880 account and a repayment (credit) to its appropriation or fund account. If the journal voucher transferred a charge from the F3880 account to the FPA's/NTDO's appropriation or fund account, then the FPA/NTDO reports a credit to the F3880 account and a debit (charge) to its appropriation or fund account.

The Financial Processing Division has established the second to the last business day of each month as the accounting cutoff date for each transferred credit or charge from TRACS to the FPA/NTDO.

Each credit or charge processed after TRACS closes for the month, beginning with a date within the current calendar month, is accounted for in the subsequent accounting month.

7050.40—Liquidating an Account Receivable

In instances where the FPA/NTDO recertified a payment and established an account receivable before receiving a credit from FMS, the credit serves to offset the receivable. In cases where the FPA/NTDO has not recertified a payment and established an account receivable before receiving credit from FMS, the credit restores the amount of the original payment to the account from which it was made and from which any subsequent recertified payment will be made.

7050.45—Monthly Statement

At the end of each accounting period, the Accounts Branch in the Financial Processing Division prepares and sends a worksheet to each FPA/NTDO by ALC, reflecting all credits and charges issued and reported via an SF 1081 document. The Accounts Branch reports both sides of the SF 1081 to the central accounting system (see Appendix 2).

7050.50—Undisbursed Appropriation Account Ledger

The net dollar amount entered by the Accounts Branch for the F3880 account is reported on the Governmentwide Accounting (GWA) Account Statement. The ALC 20180009 is listed as the reporting entity. Subsequent statement of transaction reporting, by the FPA/NTDO, to clear F3880 accounts is also shown on the GWA Account Statement with the FPA/NTDO ALC shown as the reporting entity. For example, when two or more ALCs within one FPA/NTDO report entries for the same F3880 account, line items reflect both (or additional) ALCs reporting on the GWA Account Statement. See subsections 7050.55 and 7050.60 regarding the F3880 account for

guidance in obtaining identifying suffixes when more than one ALC is used for the same F3880 account.

To request on-line access to the GWA Account Statement, refer to the GWA Web site at <https://www.fms.treas.gov/gwa>.

7050.55—F3880 “Unavailable Check Cancellations and Overpayments (Suspense Account)”

The F3880 account is a budget clearing account that holds credit or charge amounts until the FPA/NTDO identifies the correct appropriation or fund. The FPA/NTDO should make every effort to maintain a minimum balance in this account by transferring all monies initially classified in this account to the proper appropriation or fund as expeditiously as possible.

FMS establishes one F3880 account for each FPA/NTDO. The GWA Account Statement for this account is available on-line after the Monthly Treasury Statement is published.

7050.60—Transactions to the FPA/NTDO F3880 Account Reported by the Accounts Branch

The Accounts Branch in the Financial Processing Division reports adjustments (ADJ) and reversals (REV) to the FPA's/NTDO's F3880 account.

7050.60a—Suffixes for the F3880 Account

The suffix is a maximum of two numeric digits; for example, F3880.10, F3880.20, etc. It is recommended that the FPA/NTDO:

- Obtain suffixes for the F3880 account for the subdivisions that anticipate a high volume of credits or charges;

AND

- Establish central oversight of low-volume offices.

To request pertinent identifying suffixes for the F3880 account, send a written request to the Budget Reports Division (see the Contacts page). Include the justification for each request, the address for the suffixed F3880 account, and the ALC responsible for the suffixed F3880 account.

The Budget Reports Division does not grant suffixes when it determines that the requests are excessive.

7050.65—Adjustments

If the FPA/NTDO discovers that the Accounts Branch has credited or charged it in error, the FPA/NTDO should contact the Accounts Branch and provide the facts of the case. It should forward copies of relevant documents, indicating that the Accounts Branch should enter an adjusted credit or charge to its ALC's F3880 account. The Accounts Branch verifies the information and enters the adjustment to the FPA's/NTDO's F3880 account. Under no circumstances should an FPA/NTDO credit or charge any FPA account to effect an adjustment.

Section 7055—Processing Check Forgery Claims

The Check Claims Branch (CCB) is responsible for authorizing the payment of settlement checks issued to replace checks paid over forged endorsements.

This section provides information to FPAs and NTDOs concerning procedures for settling payee/claimant claims of nonreceipt where the original check has been fraudulently negotiated.

For a timely filed claim, FMS pays out of the CFIF to a payee or special endorsee of a U.S. Treasury check the amount of the check, if FMS determines that the payee or special endorsee has established the following:

- The payee or special endorsee presented a timely claim of nonreceipt to the FPA/NTDO pursuant to 31 CFR §245.3.
- The original check was lost or stolen without the fault of the payee or special endorsee, whose endorsement is necessary for further negotiation.
- The original check was negotiated and paid by FMS on a forged or unauthorized endorsement of the payee's or special endorsee's name.
- The payee or special endorsee has not participated in any part of the proceeds of the negotiation or payment of the original check.

FMS does not charge the CFIF for losses resulting from negotiation of checks issued to deceased payees or to payees who were not entitled to the payment.

7055.05—Completing the FMS 1133

After examining the check copy, if the payee/claimant denies negotiating the check, the payee/claimant should complete and sign the FMS 1133 and should return it along with the check copy to FMS. Upon receipt of the FMS 1133, CCB reviews the claim form for completeness. If the claim form is complete, CCB begins the adjudication process. To be properly completed, the payee/claimant must answer all questions on the FMS 1133 and sign where indicated. Both payees must sign if the check is drawn to co-payees. FMS rejects claims not signed by both co-payees. If the payee/claimant signs by mark, the mark must be witnessed in the space provided for witness.

If the FMS 1133 is not properly completed, CCB returns it to the payee/claimant with a letter advising the payee/claimant to complete the area(s) indicated and to return the FMS 1133 to CCB. In instances where the payee admits negotiating the check or does not return the FMS 1133, FMS takes no further action and closes the case.

7055.10—Claims Adjudication Process

The adjudication process begins when the Check Claims Branch Legal Administrative Specialist (LAS) receives a properly completed FMS 1133. The LAS sends Claims Disposition Notices (CDNs) (see Appendix 10) to the FPA/NTDO advising of the status of received forgery claims. Several activities take place during the adjudication process.

7055.10a—Review of the FMS 1133 and Supporting Documentation

The LAS reviews the FMS 1133 for completeness and analyzes the payee's signature and other information on the FMS 1133 and any accompanying documentation to determine the validity of the claim.

In adjudicating the claim, the LAS accesses the TCIS Integrated View to obtain additional claims information and check images to aid in the adjudication process.

If the LAS determines that the claim is valid, CCB settles the claim with the payee or FPA/NTDO according to the UCC stop reason code. CCB makes settlement with the FPA/NTDO on POC checks.

7055.10b—Review Check Endorsement/Acquire the Questioned Documents Branch's Opinion

If the LAS determines that the endorsement on the check is similar to the signature on the FMS 1133, the file is forwarded to the Questioned Documents Branch (QDB) for handwriting analysis.

If the QDB document analyst renders the opinion that the endorsement on the check does not appear to be that of the payee, the LAS settles the claim based on the QDB's opinion.

7055.10c—Settling the Claim

If CCB determines the payee/claimant was not involved in the negotiation of the check, from the examination of the evidence, QDB's opinion, Secret Service investigation, or bank protest, and did not participate in the proceeds from the check, CCB settles the claim by initiating a request to issue a check to the payee/claimant or transfers the funds to the FPA/NTDO.

Stop Reason Code A or B—If the criteria for settlement from the CFIF have been met, CCB settles with the FPA/NTDO since the agency has already issued a replacement check to the payee/claimant. FMS charges the CFIF and transfers credit to the FPA/NTDO via IPAC. The LAS sends a CDN to the FPA/NTDO with the message "Forgery Established – Treasury is Crediting Your Account." The LAS may request reclamation against the financial institution and refer the claim to the Secret Service.

Stop Reason Code C or D—If the criteria for settlement from the CFIF have been met, CCB issues a settlement check to the payee/claimant and charges the CFIF. The LAS sends a CDN to the FPA/NTDO with the message "Forgery Established - A Settlement Check Is Being Issued to the Payee." The LAS requests reclamation action against the financial institution and sends a settlement letter to the payee. They also may refer the case to the Secret Service.

Stop Reason Code E—FMS credits the FPA/NTDO for deceased payee checks after the reclamation credit is received from the financial institution. However, when a UCC is received on a check whose issue amount is \$25 or less, and the check is paid, the FPA/NTDO receives a DAS Code 29 with the following message: "Paid-The Issue Amount is \$25.00 or Less. No Further Action Will Be Taken." FMS has determined that it is not cost effective to reclaim on checks for \$25 or less.

Stop Reason Code F or G—If forgery is substantiated, CCB requests reclamation action against the financial institution and

refers the case to the Secret Service. The LAS sends a CDN to the FPA/NTDO with the message "Forgery Established. Claim Valid But Settlement Not Appropriate Based On Your Nonentitlement Code. Treasury Will Credit Your Account When The Funds Are Collected." After FMS collects the funds from the financial institution, it transfers the funds to the FPA/NTDO via IPAC.

7055.15—Settlement From the Check Forgery Insurance Fund (CFIF)

The CFIF is a revolving fund established to settle payee/claimant claims of nonreceipt where the original check has been fraudulently negotiated. The CFIF ensures that innocent payees/claimants, whose U.S. Treasury checks are fraudulently negotiated, receive settlement checks in a timely manner. A permanent and indefinite source of funding is an integral part of the CFIF that enables FMS to meet its obligation to payees/claimants of forged checks.

FMS bars any claim on a U.S. Treasury check unless the payee/claimant presents a claim to the FPA/NTDO within 1 year from the date of issuance of the check. In addition, the FPA/NTDO must submit the UCC to FMS within 13 months from the issue date of the check.

7055.15a—Check Forgery Insurance Fund Act

The Check Forgery Insurance Fund Act does the following:

- Creates a permanent and indefinite appropriation to adequately fund the CFIF. FMS uses the CFIF to ensure that recipients, whose checks have been forged and fraudulently negotiated, are promptly issued replacement checks.
- Amends the conditions underlying the issuance of substitute checks under 31 U.S.C. 3331 by authorizing the Secretary of the

U.S. Treasury to waive any condition for the purpose of ensuring that claimants receive timely payments.

- Clarifies that the initial burden of establishing a claim for a check paid over a forged endorsement rests with the claimant, and that the Secretary has the discretion to determine whether a claimant has met this burden.
- Eliminates the requirement that check replacement is contingent on whether recovery on a forgery is delayed or unsuccessful. This change is necessary to facilitate the timely issuance of replacement checks to innocent payees and to make it clear that a second payment is not contingent on the Government's ability to recover on a forged item.
- Ensures that certifying or authorizing agencies may provide for the expedited payment of replacement checks and that such agencies may be reimbursed out of the CFIF by a transfer of funds to the appropriated account, trust fund, or other account.
- Enables the U.S. Treasury to comply with two decisions of the Comptroller General, B-24266 (August 31, 1993) and B-243536 (September 7, 1993), which concluded that the Check Forgery Insurance Fund Act (31 U.S.C. 3343) requires the U.S. Treasury to certify checks issued to replace checks paid over forged endorsements and to charge the CFIF.

7055.20—Request Reclamation

If forgery is suspected, CCB takes reclamation action if the check payment date is less than 18 months old. CCB does not request reclamation for claims on checks for \$25 or less. For these claims and claims received after the reclamation period has expired, settlement is made

from the CFIF for UCC stop reason codes A, B, C, and D.

CCB requests that the FRB Richmond institute reclamation action through the T-CORE System against the financial institution that presented the check for payment.

Reclamation credits are received into TRACS and automatically clear a debit in the CFIF account. If there is no debit in a CFIF account, the credits remain in the suspense account until appropriate disposition is determined.

7055.25—Cases Referred to the Secret Service

If during the initial review and adjudication of the claim, the LAS cannot determine whether or not all of the criteria for settlement have been met, the LAS refers the claim to the Secret Service for investigation. The LAS sends the payee/claimant a letter advising that the case has been referred to the Secret Service for investigation or requires further consideration. The LAS advises the FPA/NTDO by CDN "Settlement Not Authorized At This Time Pending Investigation."

Claims must meet the following criteria before being referred to the Secret Service:

- The check amount must be \$500 or more.
- The check must bear a written endorsement in the name of the payee/claimant.
- CCB must be able to identify where the check was negotiated.
- The check must have been negotiated within the Secret Service's jurisdiction (United States and Territories).

After completion of an investigation, the Secret Service provides the CCB with its findings to assist in the resolution of the case.

7055.30—Claim Denial

If, from the examination of the evidence, the QDB's opinion, Secret Service investigation, or bank protest, FMS determines that the payee/claimant was involved in the negotiation of the check or participated in the proceeds of the check, the claim is denied. CCB notifies the FPA/NTDO by CDN of the denial of the claim. Any attempts by the FPA/NTDO to collect an overpayment from the payee/claimant are made in accordance with the Federal Claims Collection Standards (31 CFR Part 900-904).

The LAS sends the payee/claimant a letter denying the claim. The denial letter informs the payee/claimant of the reason for denial and advises the payee/claimant of the right to appeal the denial in writing. If the reason for denial is based on additional information other than what was originally furnished, the letter may include the following:

- For New York SSA claims:
 - An opinion of a handwriting expert, including a brief explanation of the expert's opinion.
 - Copies of any handwriting exemplars relied upon by the handwriting expert that may or may not have been provided by the payee/claimant.

OR

- For non-New York SSA claims, the denial letters will expound on the reason for denials; however, copies of handwriting exemplars are not furnished.

7055.35—Appeal Process for Denied Claims

An appeal is the process whereby a payee/claimant seeks review of a denied claim based upon information used by FMS in the initial decision to deny a claim, or when a claimant seeks a review of the initial denial based on new or additional information not available at the time of the initial denial.

7055.35a—Filing an Appeal

Claimants must file appeals in writing and must mail them to CCB (see the Contacts page). The payee returns a copy of the denial letter to CCB, together with a signed statement and any additional information or documentation for further investigation.

The request for an appeal must include the check and symbol number identified in the denial letter. To be considered, an appeal must be postmarked no later than 60 days following the date on the denial letter.

7055.35b—Determining the Appeal Decision

If it is determined that the appeal is valid, the LAS notifies the payee/claimant by letter that the appeal is valid. Settlement is processed in accordance with subsection 7055.15 (CFIF). If it is determined that the appeal is invalid, the LAS upholds the denial and sends the payee/claimant a letter advising that the appeal was denied and of the payee's/claimant's right to file a lawsuit in Federal Court. The LAS sends the FPA/NTDO a CDN advising of the appeal decision.

7055.35c—Effect of Appeal Decision

The denial of a payee/claimant appeal serves as the final action on a claim. A payee/claimant may not file a civil suit until the payee/claimant has filed an appeal with FMS and received FMS's appeal decision.

7055.40—Processing POCs

When FMS has sent a cancellation credit to the FPA/NTDO and the check is subsequently negotiated, FMS debits the FPA/NTDO account through IPAC for the overpayment (see subsection 7050.20).

FMS forwards an FMS 3858 to the FPA/NTDO for completion by the payee/claimant. The FPA/NTDO has the payee/claimant complete the claim form if forgery is alleged. Upon receipt of the

completed claim, FMS processes it according to the CFIF guidelines.

7055.45—Nonreceipt of the Settlement Check

If the settlement check is not received, the payee/claimant must report nonreceipt of the check to CCB. CCB initiates tracer action to determine the status of the settlement check. If the settlement check has not been negotiated (outstanding status), the check is canceled by UCC and CCB issues a second settlement check to the payee/claimant or may forward the funds to the FPA/NTDO.

If the settlement check is paid, CCB forwards the FMS 3858 to the payee/claimant for examination. If the payee/claimant alleges forgery of the settlement check, the payee/claimant must return the completed FMS 1133 to CCB for adjudication.

Section 7060—FMS 3864: The Agency Recertification Follow-Up

If the FPA/NTDO later reviews its UCC records and finds that initial or final status was not received, the FPA/NTDO should complete an FMS 3864 (see Appendix 11).

The FPA/NTDO also may use this form to request a new FMS 3858 or check image and to obtain credit information. The FPA/NTDO should mail the form to CCB (see the Contacts page).

Section 7065—Miscellaneous Claims

7065.10—Lost-in-Transit Check Procedure

Lost-in-transit items are U.S. Treasury checks that have been negotiated and subsequently lost by a financial institution, lost or stolen between the financial institutions, and/or the financial institutions and the FRB.

The nearest FRB Government Check Adjustment Department handles these

items, providing that the U.S. Treasury checks are less than 1 year old.

If the FPAs, NTDOs, and RFCs receive these requests and the checks have not been canceled and are not older than 1 year, they should return the requests with advice for the financial institutions to submit them to the nearest FRB Government Check Adjustment Department.

7065.20—Holder-in-Due-Course Claims Procedure

A holder-in-due-course claim occurs when a nonbanking institution negotiates a U.S. Treasury check and the check is lost or stolen before being presented for cash or deposit at a financial institution. The claim should be submitted to the CCB for processing.

7065.20a—Processing Holder-in-Due-Course Claims in the Check Claims Branch

Upon receipt of the holder-in-due-course claim, the CCB determines the status of the check.

If the check has been negotiated, CCB returns the claim with a copy of the check advising the holder that the check has been paid and that no further action is being taken.

If the check has not been negotiated, CCB forwards an indemnity letter (see Appendices 12 and 13) to the holder for completion. When the holder returns the requested information, CCB ensures that the check is still outstanding.

If the check is still outstanding, the CCB issues a settlement check to the holder.

7065.30—Secret Service Assistance

With the implementation of Public Law 100-86, the Secret Service considers providing assistance directly to FPAs on a case-by-case basis when forgery or fraud is indicated. Each request should total \$25,000 or more in forged or fraudulently

issued or negotiated checks. FPAs should send the checks to the Secret Service's Criminal Investigative Division (see the Contacts page) as a package consisting of the following:

- An official "Request for Assistance" letter;
- Complete check descriptions and check copies;

AND

- Any documentary evidence or accompanying paperwork (that is, FMS 1133, FPA forms, correspondence, or memoranda).

The Secret Service's Criminal Investigative Division reviews each request and replies to the requesting FPA advising of its decision regarding acceptance of the case for criminal investigation.

7065.30a—Secret Service Case Review Factors

The Secret Service considers several factors in the review process as follows:

- The overall merit of the case;
- The availability of evidence and/or witnesses;
- Provable fraudulent intent;
- A tangible loss to the Government or other victim;

AND

- The 5-year criminal statute of limitations (from date of offense).

The Secret Service considers these requests for investigation only if the requests cannot be handled through the normal FMS referral process. (See subsection 7055.25.)

Section 7070—Handwriting Analysis of Checks Older Than 1 Year for Which UCCs Have Not Been Requested Timely

FMS's QDB considers handwriting identification and document examination requests on a case-by-case basis when the

FPA/NTDO can demonstrate that it has exhausted all available means of adjudication. QDB accepts referrals on a time-available basis. The requesting FPA/NTDO must pay any cost above the normal administrative handling per diem, such as travel for court testimony.

FPAs/NTDOs should submit requests for handwriting identification to QDB (see the Contacts page). The requests must contain the following information:

- An official "Request for Assistance" letter;
- A check image;

AND

- Any documentary evidence and documentation (signed statements, etc.).

QDB completes requests as time and volume dictate and forwards a reply to the requesting FPA/NTDO.

CONTACTS

Direct general inquiries regarding this chapter and inquiries concerning the check claims aftermath process, certified and regular check copy requests, check status requests, congressional interest and appeal cases, forgery and holder claims, suspected altered checks, FMS 3858s, FMS 3864s, and CDNs to:

Check Claims Branch
Check Resolution Division
Payment Management
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 800D
Hyattsville, MD 20782
Telephone: 202-874-8445

Direct inquiries concerning NTDO address changes, check issue reporting and discrepancies, check orders, and lost or stolen check stock to:

Check Reconciliation Branch
Check Resolution Division
Payment Management
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 700A
Hyattsville, MD 20782
Telephone: 202-874-8150

Direct requests for budget clearing accounts and identifying suffixes for the F3880 account to:

Budget Reports Division
Financial and Budget Reports Directorate
Governmentwide Accounting
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 518D
Hyattsville, MD 20782
Telephone: 202-874-9880

Direct inquiries concerning 8-digit ALC address changes to:

Cash Accounting Division
Governmentwide Accounting
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 500E
Hyattsville, MD 20782
Telephone: 202-874-7980

Send correspondence for the proceeds of a check for which the authorizing FPA cannot be determined or entitlement is questionable to:

Check Resolution Division
Payment Management
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 700D
Hyattsville, MD 20782
Telephone: 202-874-7620

Direct inquiries concerning submission of check issue files and UCC transmissions to:

Platform Operations Division
IT Operations Directorate
Information Resources
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 305
Hyattsville, MD 20782
Telephone: 202-874-8130

Direct inquiries concerning IPAC procedures and credit listings to:

GWA Customer Assistance Group
Governmentwide Accounting Modernization Project
Governmentwide Accounting
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 500D
Hyattsville, MD 20782
Telephone: 202-874-8270
Fax: 202-874-6170

Direct inquiries concerning UCCs, limited payability cancellation and reclamation credits, POC debits, Financial Processing Division IPAC accounting issues, and SF 1081 transactions to:

Accounts Branch
Check Resolution Division
Payment Management
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 700A
Hyattsville, MD 20782
Telephone: 202-874-7920

Direct requests for assistance with suspected forgery or fraud totaling \$25,000 or more to:

U.S. Secret Service
Criminal Investigative Division
950 H Street, Suite 5300
Washington, DC 20223
Telephone: 202-406-9330

Direct requests for handwriting analysis after exhausting all other available means of adjudication to:

Questioned Documents Branch
Check Resolution Division
Payment Management
Financial Management Service
Department of the Treasury
3700 East-West Highway, Room 800C
Hyattsville, MD 20782
Telephone: 202-874-7640

FINANCIAL MANAGEMENT SERVICE REGIONAL FINANCIAL CENTERS

The Regional Financial Centers process all electronic payments for the FPAs. Depending on the FPA, the payments may be called electronic funds transfer (EFT), automated clearinghouse (ACH), direct deposits (DDs), and direct deposit electronic funds transfers (DD-EFTs).

<i>Payment Type</i>	<i>Regional Financial Center</i>
Department of Veterans Affairs, Internal Revenue Service, U.S. Department of Justice, National Aeronautics and Space Administration, Federal Emergency Management Agency, General Services Administration, U.S. Customs, and U.S. Department of Transportation check issues	Financial Management Service Austin Financial Center P.O. Box 149058 Austin, TX 78714-9058 Telephone No.: 512-342-7300 Check Symbols: 2214, 2217 thru 2221, 2300 thru 2306 EFT Symbol: 220
Supplemental Security Income (SSI), SSA Retirement, U.S. Department of Agriculture - NFC Salary and Thrift Savings Plan, U.S. Department of Energy, U.S. Department of Interior (DOI) and DOI Firefighters, Federal Aviation Administration, U.S. Coast Guard, U.S. Department of State, Agency for International Development, Department of Health and Human Services - Centers for Disease Control and Prevention, Corporation for National and Community Service, U.S. Courts - salary, EFT, vendor payments, and Environmental Protection Agency check issues	Financial Management Service Kansas City Financial Center P.O. Box 12599-0599 Kansas City, MO 64116-0599 Telephone No.: 816-414-2100 Check Symbols: 3084 thru 3092, 3109, 4014 thru 4024 EFT Symbol: 310
SSA Disability, Retirement and Cycled Payments; Railroad Retirement Board; U.S. Department of Labor; U.S. Department of Housing and Urban Development; U.S. Department of Education; and U.S. Customs check issues; FMS - settlement checks and miscellaneous agency payments	Financial Management Service Philadelphia Financial Center P.O. Box 51317 Philadelphia, PA 19115-6317 Telephone No.: 215-516-8000 Check Symbols: 2030 thru 2051 EFT Symbol: 303
SSA Retirement, Office of Personnel Management Civil Service annuity, Fedwire transfers, U.S. Department of Health and Human Services	Financial Management Service San Francisco Financial Center P.O. Box 24700 Oakland, CA 94623-1700 Telephone No.: 510-594-7300 Check Symbols: 3145 thru 3149, 3151, 3156 EFT Symbol: 312

BIRMINGHAM DEBT MANAGEMENT OPERATIONS CENTER

Debt offsets and residual checks issued on partial offsets for debt owed to the Federal Government	Financial Management Service Birmingham Debt Management Operations Center P.O. Box 1686 Birmingham, AL 35201-1686 Telephone No.: 205-912-6181 Check Symbol: 4500 EFT Symbol: 449
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APPENDICES LISTING**Appendix No. Title**

- 1 Stop Reason Codes
- 2 SF 1081: Voucher and Schedule of Withdrawals and Credits
- 3 Return Codes
- 4 SF 1098: Schedule of Canceled or Undelivered Checks
- 5 Check Status Codes
- 6 FMS 3858: Claims Document (consisting of FMS 1133 and instructions)
- 7 Status Codes/Messages Provided to the FPA or NTDO
- 8 OF 1017-G: Journal Voucher
- 9 FMS 224: Statement of Transactions
- 10 Claims Disposition Notice
- 11 FMS 3864: Agency Recertification Follow-Up
- 12 Holder-In-Due-Course Cover Letter
- 13 Affidavit and Indemnity Agreement for Lost U.S. Treasury Check

STOP REASON CODES

Code Type	Description
A	Recertified —The payee reported nonreceipt, loss, theft, destruction, or mutilation of the check, and if the check was reported lost or stolen, it was not endorsed. The payee is entitled to the proceeds. The FPA has decided that a recertified payment will be authorized before the status of the original check is known. If the FPA is not immediately recertifying, stop reason code D is appropriate.
B	RESERVED FOR SSA, SSI, VA, RRB, AND OPM
C	RESERVED FOR SSA, SSI, VA, RRB, AND OPM
D	Entitlement —The same conditions apply as for recertified (see A above) except the FPA prefers to recertify the payment after it has been advised of the status of the original payment, or after receiving credit from Treasury on the outstanding check. A recertified check is not issued until the status of the original check has been determined.
E	Deceased —The payee died before the check was issued, and the payee's estate is not entitled to the proceeds of the check. As in nonentitlement situations (F below), the administrative FPA will attempt to find out what disposition was made of the check. The FPA will warn the representative of the payee's estate that the check must be returned to the FPA or the disbursing activity for proper disposition if it is in the possession of the estate or later comes into such possession. The check must not be negotiated.
F	Nonentitlement —The payee is not entitled to all or part of the proceeds of the check. The FPA should attempt to find out what disposition was made of the check. It should warn the payee that the check must be returned to the FPA or disbursing activity for proper disposition if it is in the payee's possession or later comes into such possession. The check must not be negotiated. A check (the proceeds of which are not due) that has pieces missing, large enough to be negotiated or that could constitute a claim for a replacement, must be canceled by a UCC.
G	Lost/stolen-endorsed —The payee reported the check was endorsed and then lost or stolen. The payee is entitled to the proceeds, and the FPA will recertify any second payment after the status of the original payment is determined. Note: Checks endorsed in blank or restrictively endorsed are payable to the bearer. If an FPA decides to recertify a second payment when the status of the original check indicates paid, it does so at its own risk. Treasury may not be able to recover the proceeds of the original payment from a financial institution.
K	Photocopy —The administrative FPA requires a check image for administrative purposes. No indications of nonreceipt, loss, theft, or other evidence that a claim for a check by the payee is involved.
L	Certified photocopy —A photocopy of the check that will satisfy legal requirements.
M	Status-no photocopy —To be used for determining payment status only, but a photocopy is not required by the administrative FPA. No indication that a claim for a check is involved.
V	RESERVED FOR FMS USE ONLY

STANDARD FORM 1081
 Revised September 1982
 Department of the Treasury
 I TFM 2-2500

**VOUCHER AND SCHEDULE
 OF WITHDRAWALS AND CREDITS**

CHARGE AND CREDIT WILL BE REPORTED ON
 CUSTOMER AGENCY STATEMENT OF TRANSACTIONS
 FOR ACCOUNTING PERIOD ENDING _____

Transaction Date
Document No.

CUSTOMER AGENCY		BILLING AGENCY	
Agency Location Code (ALC)	Customer Agency Voucher No.	Agency Location Code (ALC)	Billing Agency Voucher No.
DEPARTMENT BUREAU ADDRESS		DEPARTMENT BUREAU ADDRESS	
SUMMARY		SUMMARY	
APPROPRIATION, FUND, OR RECEIPT SYMBOL	AMOUNT	APPROPRIATION, FUND, OR RECEIPT SYMBOL	AMOUNT
(MUST AGREE WITH BILLING AGENCY TOTAL)		(MUST AGREE WITH CUSTOMER AGENCY TOTAL)	
TOTAL		TOTAL	

Details of charges or reference to attached supporting documents

BILLING AGENCY CONTACT:
 PREPARED BY _____
 APPROVED BY _____
 TELEPHONE NO. _____

CERTIFICATION OF CUSTOMER OFFICE

I certify that the items listed herein are correct and proper for payment from and to the appropriation(s) designated.

 (Date)

 (Telephone No.)

 (Authorized administrative or certifying officer)

NSN 7540-00-634-4234
 PREVIOUS EDITION NOT USABLE

Original – Forward To Customer For Payment

1081-108

RETURN CODES

Return Code	Agency	Description
02	CG	ADDRESS
06	CG	DECEASED
08	CG	AGENCY HOLD/AGENCY REQ
10	CG	MISCELLANEOUS/OTHER
11	CG	CHECKS WITH CORRESP
AD	DIB	ADDRESS
CI	DIB	CHECK INTERCEPT
CP	DIB	CHANGE IN PAYEE
DC	DIB	DUPLICATE CHECK
DR	DIB	DEATH OF REP PAYEE
DT	DIB	DEATH OF BENEFICIARY
HC	DIB	COURTESY DISB HOLD
HO	DIB	AGENCY HOLD
MR	DIB	MARRIAGE
MS	DIB	MISCELLANEOUS/OTHER
SS	DIB	SPOUSE DECEASED
ST	DIB	STUDENT TERMINATION
WK	DIB	WORKING
WS	DIB	W/E DECEASED
02	DOL	ADDRESS
06	DOL	DECEASED
08	DOL	AGENCY HOLD/AGENCY REQ
10	DOL	MISCELLANEOUS/OTHER
11	DOL	CHECKS WITH CORRESP
02	HUD	ADDRESS
06	HUD	DECEASED
08	HUD	AGENCY HOLD/AGENCY REQ
10	HUD	MISCELLANEOUS/OTHER
11	HUD	CHECKS WITH CORRESP
1	IRS	HOLD/COURTESY DISB HOLD
2	IRS	ADDRESS
3	IRS	MISCELLANEOUS/OTHER
6	IRS	DECEASED
8	IRS	AGENCY REQUEST
11	IRS	CHECKS WITH CORRESP
02	MISC	ADDRESS
06	MISC	DECEASED
08	MISC	AGENCY HOLD/AGENCY REQ
10	MISC	MISCELLANEOUS/OTHER
11	MISC	CHECKS WITH CORRESP
2	OPM	ADDRESS
4	OPM	REMARRIAGE
6	OPM	DEATH OF BENEFICIARY
7	OPM	WORKING
8	OPM	AGENCY HOLD
10	OPM	MISCELLANEOUS/OTHER
11	OPM	CHECKS WITH CORRESP
14	OPM	DEATH OF REP PAYEE
01	RRB	ANNUITANT/PENSIONER DIED

02	RRB	ANNUITANT RET'D TO EMPLOY
06	RRB	OTHER
07	RRB	ANNUITANT RET'D PERSON
08	RRB	ANNUITANT RECOVERED DIS
09	RRB	DISA ANNUITY EXCEEDS INCO
11	RRB	BEN IN EMPLOYER SERVICE
12	RRB	UNDER 72 EXCEEDS YR INCOM
14	RRB	CHILD NOT IN CARE/WIDOW
16	RRB	PAYEE UNDETERMINED
18	RRB	CHILD BEN RECOVERED DIS
38	RRB	ERRONEOUS PAYMENT
41	RRB	BENEFICIARY DECEASED
42	RRB	CHILD BEN RECOVERED DIS
44	RRB	BEN CHILD MARRIED/ADOPTED
45	RRB	WIDOW ANNUITY TERMINATED
46	RRB	BENEFICIARY ENTITLEMENT
47	RRB	STUDENT CEASED FULLTIME
51	RRB	SPOUSE DIED
52	RRB	SPOUSE WK EMPLOYER SER
53	RRB	SPOUSE UNDER 65 NO CHILD
56	RRB	OTHER
57	RRB	SPOUSE DIVORCED
58	RRB	BENEFIT SUSPENDED
59	RRB	BENEFIT TERMINATED
98	RRB	UNDELIVERABLE
AD	SSA	ADDRESS
CI	SSA	CHECK INTERCEPT
CP	SSA	CHANGE IN PAYEE
DC	SSA	DUPLICATE CHECK
DR	SSA	DEATH OF REP PAYEE
DT	SSA	DEATH OF BENEFICIARY
HC	SSA	COURTESY DISB HOLD
HO	SSA	AGENCY HOLD - SSA ONLY
MR	SSA	MARRIAGE
MS	SSA	MISCELLANEOUS/OTHER
SS	SSA	SPOUSE DECEASED
ST	SSA	STUDENT TERMINATION
WK	SSA	WORKING
WS	SSA	W/E DECEASED
AD	SSI	ADDRESS
CP	SSI	CHANGE IN PAYEE
DC	SSI	DUPLICATE CHECK
DR	SSI	DEATH REP PAYEE
DT	SSI	DEATH OF BENEFICIARY
HC	SSI	COURTESY DISB HOLD
IR	SSI	INCOME RESOURCES
LA	SSI	LIVING ARRANGEMENT
MR	SSI	MARRIAGE
MS	SSI	MISCELLANEOUS/OTHER
MS	SSI	CHECK INTERCEPT
ST	SSI	STUDENT TERMINATION
WK	SSI	WORKING
WS	SSI	W/E DECEASED

1	VA	UNDELIVERABLE
2	VA	REARRIED
3	VA	DECEASED
4	VA	INCOME LIMITATION
5	VA	INELIGIBLE OR VA REQUEST
6	VA	OTHER
7	VA	B7 HOLDS
9	VA	REPLACEMENT CHECK RETURN

STANDARD FORM 1098
 Revised July 1980
 Department of the Treasury
 I TFM 4-7000
 1098-110

SCHEDULE OF CANCELED OR UNDELIVERED CHECKS

CANCELED: UNDELIVERED:

DEPARTMENT OR ESTABLISHMENT	SCHEDULE NUMBER
BUREAU OR OFFICE	SHEET NUMBER
LOCATION	D. O. SYMBOL NO.
ACCOUNTING PERIOD	AGENCY LOCATION CODE (ALC)

DATE OF ISSUE	CHECK NUMBER	PAYEE	VOUCHER NUMBER APPLICABLE	AMOUNT	SYMBOL OF APPROPRIATION OR FUND TO BE CREDITED
TOTAL					

The amount of the above check(s) was deposited for credit in the account of the U.S. Treasury, on deposit ticket no.	DATE OF DEPOSIT TICKET	FORWARD <i>(Date)</i>
	DISBURSING OR ACCOUNTABLE	BY <i>(Name)</i>
	DATE	TITLE

NSN 7540-00-634-4287

PREVIOUS EDITION NOT USABLE
 USAPPC V1.00

CHECK STATUS CODES

Check issue information is provided to our Platform Operations by the Treasury Disbursing Offices (TDO) and Non Treasury Disbursing Offices (NTDO). Check paid information is provided by the Federal Reserve Banks (FRB's). The check issue and paid information is input into the Treasury Check Information System (TCIS).

Code Type	Description
A	Cancelled by ACC: A check authorized for issuance by a Federal Program Agency (FPA) has been returned to the Regional Financial Center (RFC) and cancelled (paid). The RFC returns the credit to the FPA on an SF 1098 schedule.
C	Administrative Cancellation: A report has been generated from TCIS to the issuing Agency that the check is over 6 months old and has not been cashed.
D	Declined: A check presented for payment to the Treasury bearing an altered amount has been returned (payment) declined to the Federal Reserve Bank.
F	Check Payment: There is a payment in TCIS for this check however, the payment information is archived. Contact CCB to restore payment information.
I	Outstanding Issue: A check issue item has been recorded by the system, but the matching paid item (i.e., the payment item with the same Check/Serial Number) has not.
L	Limited Payability: The check was not cashed in the 1 year timeframe (Public Law 100-86). The Treasury has returned funds to the FPA.
N	Unreconciled Issue/Payment: A check issue item and a check paid item with the same Check/Symbol/Serial Number have been recorded, but they are not reconciled because the amounts are not the same
O	Null: There is no issue or paid data pertaining to the check. An Outstanding Payment that was reversed by Treasury's Check Reconciliation Branch with the reverse paid transaction would result in the Null state. In most instances, however, the Null state is the default when no data have entered TCIS.
P	Paid No Issue (PNI): A check paid has been recorded by TCIS but the matching check issue information has not been received from the FPA or NTDO.
R	Reconciled Issue/Payment: A check issue item and a check payment item have been matched and reconciled in Treasury's TCIS System.
U	UCC Cancellation: A nonreceipt was recorded on a check issue item and credit returned to the FPA because the check had not been cashed.
Z	Zero Issue: No funds available. A check issue item has been voided by the Disbursing Officer.

CC USE ONLY
REPORT(S)
ATTACHMENT
DISTRIBUTION

CLAIMS DOCUMENT
 CHECK CLAIMS Hyattsville, MD. 20788
 AGENCY REF.

INSTRUCTIONS TO PAYEE

1. Complete and return the FMS 1133 immediately to ensure timely processing of your claim.
2. See Page 2 for specific instructions for completing both pages of FMS 1133 Claim Form (Pages 3 and 4).
3. Keep Page 2 for your records.

↑ **PAYEE ADDRESS** ↑

STOP REASON:

PAYMENT RECERTIFIED

STATUS:

SYMBOL		SERIAL NO				
CHECK DATE	CHECK AMOUNT	PAYEE NAME				
PAYEE ID NO.	AGENCY	AGENCY LOCATION CODE	AMOUNT TO BE RECLAIMED	DATE OF DEATH		
LOCATOR NUMBER(S):			CC REMARKS			
1.	2.					
3.	4.					
5.						
DECEDENT						

AGENCY: SEE PAGE 2 FOR INSTRUCTIONS. KEEP PAGE 1 FOR YOUR RECORDS.

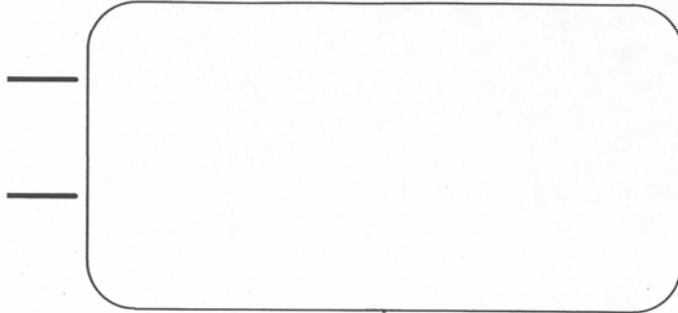
↑ **AGENCY ADDRESS** ↑

DEPARTMENT OF THE TREASURY
 FINANCIAL MANAGEMENT SERVICE

EDITION OF 7-89 IS OBSOLETE

PAYEE INSTRUCTIONS

FOR COMPLETING CLAIM FORM FMS 1133, CLAIM AGAINST THE UNITED STATES FOR THE PROCEEDS OF A U.S. TREASURY CHECK.



← PAYEE ADDRESS

PLEASE READ AND FOLLOW THE INSTRUCTIONS

1. The check you inquired about has been cashed. The Treasury's Check Claims is responsible for handling claims involving U.S. Treasury checks.
2. Examine the attached check copy, especially the handwritten and/or stamped endorsements on the back.
3. Pay particular attention to the date of the check. If the check is not the one you are missing, or if you have a question about the check amount, contact the agency which authorized the payment (Social Security Administration (SSA), Veterans Affairs (VA), Internal Revenue Service (IRS), etc.) giving them enough information to locate the check in question.
4. If the check copy shows that the check was deposited at your financial organization, take the check copy to the bank, credit union or savings and loan and ask them to verify that your account was credited. If you are unable to settle this matter, complete and return the Claim Form (Pages 3 and 4) and check copy.
5. If you signed the check or the check was cashed with your permission, or if for any reason you do not want to make claim for the amount of the check, do not return the Claim Form.
6. Answer all questions on both pages, Part 1 is for use in the criminal investigation and recovery of funds from the bank. Part 2 is for criminal and administrative investigation and handwriting analysis. Signatures are required for Parts 1 and 2 since this form is routed to two separate destinations for processing.
7. If you did not sign the check, did not give someone else permission to cash the check or did not benefit in any way from the check, fill in BOTH PAGES of the Claim Form. It is important that you:
 - A. ANSWER ALL QUESTIONS ON BOTH PAGES (items 1 thru 8 on page 3) (items 9 thru 16 on page 4). Please fill out the Claim Form in Black ink.
 - B. Sign your name personally where indicated. If the check is issued to two payees, both payees must sign the Claim Form.
 - C. The signature of a Witness is required only when one or both payees sign their names with a mark.
- D. RETURN THE CHECK COPY, YOUR COMPLETED FMS 1133 CLAIM FORM (AND THE FMS 3858 CLAIMS DOCUMENT IF SENT TO YOU) TO THE FOLLOWING ADDRESS.

United States Treasury Department
 Financial Management Service
 Post Office Box 515
 Philadelphia, Pa 19105

PAYEE: RETAIN THIS COPY FOR YOUR RECORDS.


PAGE 2

63

PART 1 OMB No. 1510-D019
Exp. 7/31/94

**CLAIM AGAINST THE UNITED STATES FOR THE
PROCEEDS OF A GOVERNMENT CHECK**

Your social security number and the other information requested will allow the Department of the Treasury to process your claim for the proceeds of a government check. This collection of information is made pursuant to the Department of the Treasury's authority to consider your claim, which is found at Title 31 of the United States Code, Sections 321, 3331 and 3343, and Title 31 of the Code of Federal Regulations, Parts 235, 245, and 248. This information may be disclosed to the endorsees on the government check that is the subject of your claim, including the bank that presented the check for payment. This information may also be disclosed to a court, magistrate, congressional office, or a Federal, state, or local government agency, as authorized or required by Federal law. Executive Order 9397, November 22, 1943, authorizes the use of your social security number. Your social security number will be used to ensure the accurate identification and retention of records pertaining to you and to distinguish you from other claimants. Furnishing your social security number and the other requested information is voluntary. However, failure to provide any part of the requested information may delay the processing of your claim.

	
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WARNING: Title 18, Sec. 287, U.S. Code: "Whoever makes or presents to any person or officer in the civil, military, or naval service, of the United States, or to any department or agency thereof, any claim upon or against the United States, or to any department or agency thereof, knowing such claim to be false, fictitious, or fraudulent, shall be fined not more than \$10,000 or imprisoned not more than five years, or both."

1. Did you receive this check?	
2. Did you sign your name on this check?	
3. Did you cash this check?	
4. Did you deposit this check in a bank, credit union other financial organization? Did someone else deposit this check to an account that you could use?	
5. Was this check cashed with your permission?	
6. Did you receive any money or benefit in any way from this check (e.g. household expenses, child support, etc.)? If so, explain, (include amount if known.)	
7. If your present name is different from that on the face of the check, explain why.	
8. If you are making claim for this check and it is not made out to you, state your relationship to the payee. Explain why the payee cannot sign.	

THIS CLAIM IS MADE FOR THE PROCEEDS OF THE ABOVE CHECK. IF YOU CASH BOTH ORIGINAL AND ANY SETTLEMENT CHECKS, THE OVERPAYMENT MUST BE PROMPTLY REFUNDED. FAILURE TO DO SO COULD RESULT IN LEGAL ACTION. BE SURE TO INCLUDE THE ABOVE CHECK AND SYMBOL NUMBERS WITH YOUR REFUND.

SIGN HERE	Payee's Signature	2 nd Payee's Signature (if check drawn to two payees)
	Your assigned I.D. No. (SSA, VA, IRS, Etc.)	2 nd Payees's assigned I.D. No. (SSA, VA, IRS, Etc.)
	Signature of Witness (ONLY if Payee(s) Signed by Mark)	

DEPARTMENT OF THE TREASURY
FINANCIAL MANAGEMENT SERVICE
EDITION OF 7-89 IS OBSOLETE

PART 2

9. Did you ever live or receive mail at the address on the front of this check?	
10. What was your mailing address on the date this check was issued? If you moved, did you advise the Post Office and agency which authorized payment.	Address _____ Apt. _____ _____ Zip _____ <input type="checkbox"/> Yes <input type="checkbox"/> No
11. Did anyone other than yourself have the opportunity to receive your mail? If so, who?	
12. Did you lose any identification which might have been used by someone else to cash your check? Explain.	
13. Do you have information concerning the cashing of the check? If so, explain. (Please use additional paper if necessary.)	
14. Where did you usually cash or deposit your check at the time this check was cashed?	
15. Clearly print your current mailing address.	Address _____ Apt. _____ _____ Zip _____
16. If you are employed, give the name, address, and telephone number of your current employer.	Name _____ Address _____ Telephone No. () _____
I certify that all the above questions have been answered truthfully to the best of my knowledge.	2 nd Payee's Signature (if check drawn to two payees) _____
SIGN HERE Payee's Signature _____	Date _____
Give your home address, telephone number and/or a number where you can be reached.	Address _____ Zip _____ Telephone No. () _____ Other No. () _____
To expedite the settlement of your claim, sign your name three (3) times below for handwriting comparison.	
Payee's Signature	2 nd Payee's Signature
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____
Be sure to detach and retain the payee instruction page for your records. If you move before your claim is settled, send your new address along with the check and symbol numbers to the agency given on the instruction page, and advise the Post Office of your forwarding address. COMPLETE BOTH PAGES OF THIS CLAIM FORM. You must return the check copy or we will be unable to process your claim.	
LOST OR STOLEN CHECKS CAN BE AVOIDED!! "ASK YOUR LOCAL FINANCIAL ORGANIZATION ABOUT THE DIRECT DEPOSIT PROGRAM"	

Status Codes/Messages Provided to the FPA or NTDO

TCIS Codes for Rejected UCC Items

1A.....	Rejected - symbol missing
1B.....	Rejected - check serial number missing
1C.....	Rejected - check amount missing
1D.....	Rejected - original check date missing
1E.....	Rejected - UCC/CSI reason code missing ¹
1F.....	Rejected - payee ID number missing
1H.....	Rejected - payee name missing
1I.....	Rejected - address missing
1J.....	Rejected - decedent name missing
1K.....	Rejected - date of death missing
1L.....	Rejected - FPA location code missing
1M.....	(Reserved)
1N.....	Rejected - amount to be reclaimed missing
2A.....	Rejected - check description error; resubmit corrected stop
3A.....	Rejected - date of death after check date
3C.....	Rejected - deceased payee wrong/payee
4A.....	Rejected - invalid UCC/CSI
4C.....	Rejected - invalid Agency Location Code (ALC)
4D.....	Rejected - UCC/CSI code unauthorized for ALC
4E.....	Rejected - invalid FPA output indicator
5A.....	Rejected - check symbol field numeric only
5B.....	Rejected - check serial no. field numeric only
5C.....	Rejected - amount field numeric only
5D.....	Rejected - reclaimed amount field numeric only
5E.....	Rejected - ALC field numeric only

Footnote:

¹ UCC/CSI refers to the type of claim or inquiry. UCCs include stop reason codes A, D, E, F, and G for claims (reserved codes B, C and V). For check copy and status inquiries, use stop reason codes K and L.

6A.....	Rejected - invalid check date field
6B.....	Rejected - invalid date of death field
7A.....	Rejected - no record check symbol/serial no.
8A.....	Rejected - check canceled/FPA credited
8B.....	Rejected - void check-DO never issued check
9A.....	Rejected - amount not equal to issue amount

TCIS /DAS Codes for Paid Items

- 11.....Paid - photocopy and claim to follow
- 12.....(Reserved)
- 13..... Paid - Check Claims Branch reclamation; no check copy to FPA/NTDO
- 14.....Paid - photocopy to follow
- 15..... Paid - certified photocopy to follow
- 16..... Paid - status
- 17..... Paid - endorsement may prohibit claims actions; photocopy and claim to follow
- 18.....Paid - statute of limitations expired; no photocopy available
- 19.....(Reserved)
- 20.....Paid - declined check photo/claim to follow
- 21..... Paid - ACC credit by DO - no photo available

TCIS/DAS Codes for Outstanding Items

- 30.....(Reserved)
- 31.....(Reserved)
- 32..... Outstanding - check canceled, FPA/NTDO credited
- 33..... Outstanding - no check copy

Daily Advice of Status for Outstanding Items

- 34..... Outstanding - status
- 35.....(Reserved)
- 36.....(Reserved)

TCIS Rejection of Subsequent Stops

- 53..... Rejected - duplicate stop
- 54..... Check has been previously canceled

Daily Advice of Status Payments-Over-Cancellation Items

- 61. Payment-over-cancellation-reversal of previous FPA/NTDO credit on (date) by FMS (Document #) FMS 3858 Claims Package attached.
- 62. Payment-over-cancellation-reversal of previous FPA/NTDO credit on (date) by FMS (Document #) check image used for Reclamation on Deceased stop.
- 63. Payment-over-cancellation-reversal of previous FPA/NTDO credit on (date) by FMS (Document #) FMS 3858 Claims Package attached; endorsement may prohibit claims action.
- 65.....(Reserved)

Daily Advice of Status for Payment Exception

- 90. Payment exception – FPA/NTDO should contact the Check Claims Branch for status.

FMS Form 224
 Created 10/96
 DEPARTMENT of the TREASURY
 Financial Management Service

STATEMENT OF TRANSACTIONS

(Classified According to Appropriation, Fund and Receipt Account; and Related Control Totals)

DEPARTMENT OR AGENCY	LOCATION - MAIL ADDRESS OF REPORTING OFFICE	AGENCY LOCATION CODE (ALC)
BUREAU OR OFFICE		ACCOUNTING PERIOD ENDED
Section I - Classification of Disbursements and Collections by Appropriation, Fund and Receipt Account		
APPROPRIATION, FUND OR RECEIPT ACCOUNT (1)	RECEIPTS AND COLLECTIONS CREDITED TO APPROPRIATION OR FUND ACCOUNTS (2)	GROSS DISBURSEMENTS (3)
COLUMNAR TOTALS.....		
NET TOTAL, SECTION I (Column 3 minus column 2).....		
Section II - Control Totals of Disbursements and Collections Classified in Section I		
1. ADD: Payment Transactions (Net) Classified in Section I, Accomplished by Disbursing Office in:		
THIS MONTH \$	PRIOR MONTH OF \$	PRIOR MONTH OF \$
2. DEDUCT: Collections Received This Month (Net) and Classified in Section I.....		
3. NET TOTAL, SECTION II (MUST AGREE WITH NET TOTAL OF SECTION I).....		
Section III - Status of Collections		
1. Balance of Undeposited Collections, Close of Preceding Month		
2. ADD: Collections Received This Month (Same as Section II, Item 2).....		
3. DEDUCT: Deposits Presented or Mailed to Bank in:		
THIS MONTH \$	PRIOR MONTH OF \$	PRIOR MONTH OF \$
4. NET TOTAL, SECTION III - Balance of Undeposited Collections, Close of Month.....		
DATE	NOTE: Required to be submitted over GOALS not later than the fifth working day following the close of the reporting month.	SIGNATURE AND TITLE

DEPARTMENT OF THE TREASURY
FINANCIAL MANAGEMENT SERVICE
P.O. BOX 515
PHILADELPHIA, PENNSYLVANIA 19105

FINANCIAL MANAGEMENT SERVICE
TREASURY CHECK INFORMATION SYSTEM

CLAIMS DISPOSITION NOTICE

AGENCY NAME AND ALC NUMBER:

AGENCY ADDRESS:

AGENCY REFERENCE NUMBER:

CHECK SYMBOL AND SERIAL NUMBER:

ISSUE AMOUNT:

PAYEE ID:

CHECK DATE:

PAYEE NAME:

Legal Administrative Specialist
Check Claims Branch

Date Prepared

Mail to

DEPARTMENT OF THE TREASURY
 FINANCIAL MANAGEMENT SERVICE
 AGENCY RECERTIFICATION FOLLOW-UP
 DATE: _____

PART A: STOP REQUEST INFORMATION (type)

CHECK SYMBOL NO.	CHECK SERIAL NO.	
CHECK DATE	CHECK AMOUNT	
STOP REASON CODE	DAS DATE	STATUS CODE
PAYEE NAME		
AGENCY PAYEE ID NO.		
AGENCY LOCATION CODE (ALC)		
AGENCY REFERENCE NO.		

AGENCY TYPE RETURN ADDRESS HERE

PART B: AGENCY REASON FOR FOLLOW-UP

1. "Duplicate Stop" message received from second stop; furnish status of first stop request.
2. Status of EXCEPTION processing requested.
3. Items to be provided based on status code message have not been received.
4. Claims Document received:
 - a. without photocopy or paid checks.
 - b. without Claim Form (when applicable).
 - c. with WRONG check photocopy.
5. Claims Document indicating overpayment received:
 - a. without check photocopy(s).
 - b. without Claims Form.
 - c. with WRONG check photocopy(s).
6. Completed Claim Form submitted _____; Claims Disposition Notice not received.
(date)
7. Final Claims Disposition Notice not received. Copy of previous Claims Disposition Notice attached.
8. Cancellation credit for outstanding check not received.
9. Reclamation credit not received. Claims Disposition Notice dated _____.
(date)
10. No response to previous Follow-up, copy attached.
11. OTHER:

PART C: RESPONSE TO AGENCY

1. Stop entered on _____; status code is _____.
(date)
2. EXCEPTION status is _____.
3. Requested information:
 - a. was sent on _____
 - b. is attached.(date)
4. Completed Claim Form:
 - a. received and being processed.
 - b. not received; check photocopy(s) and Claim Form attached.
5. Final Claims Disposition Notice not yet available; claim still being processed.
6. Account credited on _____ by SF 1081/215 No. _____.
(date) (number)
7. Follow-up submitted too soon.
8. Receipt of Agency Follow-up acknowledged; response will follow.
9. OTHER:

DEPARTMENT OF THE TREASURY
 CHECK CLAIMS BRANCH
 CORRESPONDENCE BRANCH 800-D
 P.O. BOX 1849
 HYATTASVILLE, MD 20788

AGENCY MAILING ADDRESS

DIRECTOR, FINANCIAL PROCESSING DIVISION
 (Headquarters Operations)

By: _____

Date: _____

EXPLANATION OF USE OF FORM**PART A. Stop Request Information** (Completed by the FPA/NTDO)

The FPA/NTDO will complete Part A from their records (Daily Advice of Status (DAS), and/or Claims Document). All blocks must be completed.

PART B. Agency Reason for Follow-up (Completed by the FPA/NTDO)**1. Duplicate Stop message received on DAS from second stop; furnish status on first stop request.**

Condition: The following sequence of events must have taken place prior to a follow-up being initiated on a Duplicate Stop message:

- An SF 1184 must have been submitted to FMS.
- The SF 1184 did not generate a DAS within 21 days or there is no record of receiving the DAS.

2. Status of Exception processing requested.

Condition: FPA/NTDO received DAS showing item in exception category. Contact FMS' Check Claims Branch for assistance.

3. Items to be provided based on status code message have not been received.

Condition: FPA/NTDO received DAS showing that FMS paid the check but documentation not received. This should be used for status codes 11 through 15, 17 and 61 through 63.

Time frame: Submit follow-up no earlier than 30 days from receipt of DAS.

4. Claims document received: a. without check copy. b. without claim form (when applicable). c. with wrong check copy.

- Condition:FPA/NTDO received DAS showing that check has been paid and later a claims document is received.
- Without the check copy and a claim form (when claim form applies).
- Without a claim form (when claim form applies).
- Without a check copy (unless it is indicated that the copy cannot be obtained).
- With a check copy that has a different check symbol and check serial number from information reflected on the DAS or claims document. (If the check symbol and check serial number on the check photocopy matches the information on the DAS or claims document but the payee's name

is different, the FPA/NTDO should place a SF 1184 UCC on the correct check symbol and serial number for the payee on the DAS and/or claims document.)

Time frame: Submit follow-up immediately upon receipt of the claims document without necessary attachments or when condition four exists.

- Condition 1 – Complete follow-up form by placing a check mark in Items 4, 4a and 4b.
- Condition 2 – Complete follow-up form by placing a check mark in Items 4 and 4b.
- Condition 3 – Complete follow-up form by placing a check mark in Items 4 and 4a.
- Condition 4 – Complete follow-up form by placing a check mark in items 4 and 4c. Return the wrong check photocopy.

5. Claims document indicating overpayment received: a. Without check copy(s). b. Without claim form (when applicable). c. With wrong check copy(s).

Condition: The FMS 1081 or IPAC Bill (paper or electronic) Payment Over Cancellation (POC) charge to the FPA/NTDO was received with a claims document from FMS.

- Without check copy(s) (unless it is indicated that the check copy(s) could not be obtained).
- Without claim form (not applicable for Stop Reason Code E or when the claims document states that no check copy can be obtained). Non-entitlement UCC POC items will be charged to the FPA/NTDO whether or not a check copy can be obtained.
- Without a check copy and claim form (when claim form applies).
- With a check copy that has a different check symbol and/or serial number from the information on the claims document. (If the check symbol and serial number on the check copy matches the claims document, but the payee name is different, the FPA/NTDO should contact the FPA/NTDO to submit a stop on the correct check symbol and serial number for the payee on the claims document.

Time frame: Submit a follow-up immediately upon receipt of debit (charge) document.

- Condition 1 – Place a check mark in Items 5 and 5a of the follow-up form.
- Condition 2 – Place a check mark in Items 5 and 5b of the follow-up form.
- Condition 3 – Place a check mark in Items 5, 5a, and 5b of the follow-up form.
- Condition 4 – Place a check mark in Items 5 and 5c of the follow-up form. Return the wrong check photocopies.

6. Completed claim form submitted (date) _____; Claims Disposition Notice (CDN) not received.

Condition: A completed claim form has been sent to the Check Claims Branch (CCB) and CCB response has not been received. Response needed.

Time frame: Submit a follow-up no earlier than 30 days from the date claim form was forwarded to CCB. (Enter date claim form was forwarded to CCB on follow-up form.)

7. Final Claims Disposition Notice (CDN) not received. Copy of previous CDN attached.

Condition: Previous CDN received from CCB indicating the need for investigation or refund from the financial institution before authorizing settlement but final CDN not received. Final disposition needed on case.

Time frame: Submit follow-up no earlier than 120 days from date of last CDN, which indicates settlement not recommended pending investigation.

Time frame: Submit follow-up no earlier than 60 days from date of last CDN, which indicates settlement not recommended pending refund from the financial institution.

8. Cancellation credit for outstanding check not received.

Condition: DAS advised FPA that an outstanding check was being canceled; FPA/NTDO has no record of receiving credit.

Time frame: Submit follow-up no earlier than 21 days from receipt of DAS.

9. Reclamation credit not received; Claims Disposition Notice dated ____.

Condition: Reclamation credit not been received after CDN advised the FPA/NTDOs account was being credited.

Time frame: Submit follow-up no earlier than 60 days from receipt of CDN. (Indicate date CDN was sent by CCB.)

Condition: Reclamation credit not received for a deceased payee case where FMS was to request refund from the financial institution.

Time frame: Submit follow-up no earlier than 60 days from the receipt of DAS. (Cross out "Claims Disposition Notice dated" and write in "Deceased Payee".)

10. No response to previous follow-up, copy attached.

Condition: Previous follow-up submitted; no response.

Time frame: Submit second follow-up no earlier than 30 days after previous follow-up. Attach copy of first follow-up to second follow-up.)

11. Other

Condition: To be used only to further explain Items 1 through 9 or when Items 1 through 9 do not apply.

PART C. CHECK CLAIMS BRANCH RESPONSE TO FPA/NTDO (Completed By CCB)

CCB will place a check mark in the appropriate block in reply to FPA/NTDO follow-up and will enter a further explanation in Part C-9 "Other" when warranted.

Part C-8 is checked when CCB cannot furnish an immediate response to a follow-up. A further response will be provided within 30 days.

HOLDER-IN-DUE COURSE COVER LETTER

Date

Dear Name:

This office has received your notification as a Holder-In-Due Course for replacement of United States Treasury checks. However, before we can process your claim (s), you must first complete and have notarized the enclosed Affidavit and Indemnity Agreement for Lost U.S. Treasury Check. Please carefully review each agreement once completed. We cannot process an agreement if there are any changes, cross-outs, or revisions made to the face of the document.

Further, you must agree to reimburse Treasury in the event that the original check is presented for payment after you have received a replacement.

If you require additional information please contact the Check Claims Branch at (202) 874-8445. For your convenience, a self addressed envelope has been enclosed.

Sincerely,

(Name & Title)
Check Claims Branch
Financial Processing Division

Enclosures

AFFIDAVIT AND INDEMNITY AGREEMENT FOR LOST U.S. TREASURY CHECK

I, _____, [hereinafter (“indemnitor”)] the undersigned, being of sound mind and over the age of 21, capable of making this affidavit and indemnity agreement, duly sworn, state that the indemnitor is the lawful owner of U.S. Treasury Check Number _____, Symbol _____, Payable to _____, issued by the U.S. Department of the Treasury for the sum of \$ _____. Indemnitor further states that:

- 1. it/he/she is not in possession of the check now;
- 2. it/he/she was entitled to enforce the check when the loss of possession occurred;
- 3. the loss of possession was not the result of a transfer by it/him/her;
- 4. the loss of possession was not the result of a lawful seizure; and
- 5. it/he/she cannot reasonably obtain possession of the check because the check was destroyed, the check’s whereabouts cannot be determined, or the check is in the wrongful possession of an unknown person or a person that cannot be found or is not amenable to service of process.

NOW, THEREFORE, in consideration of the payment of said check to indemnitor of the sum of \$_____, Indemnitor promises to indemnify, defend, and protect the U.S. Treasury from any loss or harm occasioned or sustained by the U.S. Treasury of account of payment of the above described check to indemnitor. THIS AGREEMENT SHALL BE INTERPRETED ACCORDING TO FEDERAL COMMON LAW, INCLUDING APPLICABLE U.S. TREASURY REGULATIONS.

INDEMNITOR

Entity: _____

By: _____

Title: _____

State of _____

County of _____

Before me, the undersigned Notary Public for the State of _____, appeared (name) _____, (title of company) _____, who after being duly sworn, did acknowledge and sign the foregoing AFFIDAVIT AND INDEMNITY AGREEMENT FOR LOST U.S. TREASURY CHECK.

SWORN AND SUBSCRIBED this _____ day of _____, _____.

Notary Public, State of _____

My Commission expires _____

PART 4 - DISBURSING

Table of Contents

Chapter	Section	Title
1000		INTRODUCTION
	1010	Scope and Applicability
	1015	Authority
	1020	Compliance with Executive Order 13224 (Blocking Property and Prohibiting Transactions With Persons Who Commit, Threaten To Commit, or Support Terrorism) and Foreign Assets Control Regulations
	1025	Changes in Disbursing Services
	1030	Contacting Treasury's RFCs Contacts
		Appendix
		Treasury's Regional Financial Centers
1100		DELEGATIONS AND DESIGNATIONS OF AUTHORITY FOR DISBURSING FUNCTIONS
	1110	Scope and Applicability
	1115	Authority
	1120	Definition of Terms
	1125	General Form Instructions for Delegation and Designation of Authority
	1130	Reorganizations
	1135	Head of Agency Delegation (HOA)
	1140	Delegations of Designation Authority
	1145	Designation of Certifying Officer
	1150	Designation of Electronic Certification System (ECS) Security Administrator
	1155	Designation of ECS Data Entry Operators
	1160	Designation of Designated Agent to Receive and Deliver Checks
	1165	Designation of Check Custodian, for Blank Treasury Check Stock
	1170	Designation of Encryption Officers for Treasury Telecommunications Systems
	1175	Designation of ASAP Authorizing Officials and/or Financial Officials
	1180	Use of FMS Form 210ECS
	1185	Use of FMS Forms 210RC, 210RD, and 210RS Contacts
		Appendices
		1. FMS 2958: Delegation of Authority
		2. FMS 2958A: Delegation of Authority (ASAP)
		3. FMS 210: Designation for Certifying Officer
		4. FMS 210A: Designation for ASAP Authorizing Official and Financial Official
		5. FMS 210C: Designation for Check Custodian
		6. FMS 210D: Designation for Agent to Receive & Deliver Checks
		7. FMS 210DEO: Designation for ECS Data Entry Operator
		8. FMS 210E: Designation for Encryption Officer
		9. FMS 210ECS: ECS User Designation Form
		10. FMS 210S: Designation for ECS Security Administrator

11. FMS 210RC: Receipt for ECS Certifying Officer Token/PIN
12. FMS 210RD: Receipt for ECS Data Entry Operator ID
13. FMS 210RS: Receipt for ECS Security Administrator Token/PIN
14. FMS 210RX: Order/Receipt for FedSelect Blank Check Stock

2000**PAYMENT ISSUE DISBURSING PROCEDURES**

2010	Scope and Applicability
2015	Authority
2020	Control Over Disbursements
2025	Basic Disbursement Requirements
2030	Standard Form Vouchers
2035	Information To Be Furnished on Vouchers
2040	Certification and Approval of Vouchers
2045	Payments From Basic Vouchers
2050	Payments From Treasury Electronic Certification System Voucher and Schedule of Payments
2055	Payments From Paper SF 1166, Voucher and Schedule of Payments
2060	Payments From SF 1166-EDP, Voucher and Schedule of Payments
2065	Foreign Currency Payments
2070	Furnishing of Enclosures or Inserts With Treasury Checks
2075	Restricted Delivery of Checks
2080	Designating Agents to Receive Salary Checks
	Contacts

Appendices

1. SF 1166: Voucher and Schedule of Payments
 SF 1167: Voucher and Schedule of Payments (Continuation Sheet)
 SF 1166-EDP: Print Layout SF 1166-EDP Voucher and Schedule of Payments
 (computer-generated)
2. SF 1166: Voucher and Schedule of Payments
 Explanation of Items To Be Reported on SF 1166 Scheduled for Payment in Foreign
 Currency
 SF 1166: Voucher and Schedule of Payments
 Explanation of Items To Be Reported on SF 1166 Scheduled for Payment When the
 Precise Equivalent To Be Paid in Foreign Currency Is Not Known
 SF 1166: Voucher and Schedule of Payments
 Explanation of Items To Be Reported on SF 1166 Scheduled for Payment to a Payee in
 an Excess or Near-Excess Currency Country When Payment Must Be Made in U.S.
 Dollars
 SF 1166: Voucher and Schedule of Payments
 Explanation of Items To Be Reported on SF 1166 Scheduled for Payment When the
 Amount Payable in Foreign Currency is Limited by Law
3. Insert Specifications, Packing, and Shipping Instructions for Tabulating Cards
4. List of Restricted Countries Designated in 31 CFR Part 211
5. List of Foreign Assets Control Regulations Referenced in 31 CFR Part 211

3000**THIRD-PARTY DRAFT PROCEDURES FOR IMPREST FUND
DISBURSING ACTIVITIES**

3010	Background
3015	Authority
3020	Third-Party Drafts
	Contacts

4500**GOVERNMENT PURCHASE CARDS**

4510	Authority
4515	Policy and Use
4520	Definition of Terms
4525	Agency Procedures
4530	Refund of Contractual Costs
4535	Review and Approval of Billing Statement for Payment
4540	Electronic Commerce
	Contacts

5000**REQUISITIONING, PREPARING, AND ISSUING TREASURY CHECKS**

5010	General
5015	Submission of Disbursing Officers' Signature Specimens and Designation of Assistants
5020	Specifications and Characteristics of Treasury Checks
5025	Requisitioning Treasury Checks
5030	Safekeeping and Control of Blank Check Stock
5035	Drawing and Inscribing Treasury Checks
	Contacts

Appendices

1. GPO Form 2431: Print Order
2. Packaging Units and Shipping Weights
3. Definition of Secure Room

6000**CHECKING ACCOUNTS WITH THE U.S. TREASURY**

6010	Scope and Applicability
6015	Checking Account Symbol Maintenance
6020	Check-Issue Reporting
6025	Reporting of Documents by Disbursing Offices
6030	Spoiled Checks
6035	Control Checks
6040	Voided Checks
6045	Checking Account Reconciliation Reports and Adjustments by FMS
6050	Check-Issue Adjustments by Disbursing Offices
	Contacts

Appendices

1. SF 1179: Month End Check Issue Summary
2. FMS 5206: Advice of Check Issue Discrepancy
3. OF 1017-G: Journal Voucher
4. CRRER252: Notification of Check Issue Correction – Disbursing Office Requested

6500**MAGNETIC TAPE CHECK ISSUE AND REPORTING LEVEL 8**

6510	Scope and Applicability
6515	Authority
6520	Issue Reporting for Level 8
6530	Conversion Testing Processes for Level 8
6540	Tape Reporting Requirements for Level 8
6550	Disbursing Office Responsibility for Magnetic Tapes
6595	Inquiries

Appendices

1. Sample Tape/Transmittal Structure
2. Standard Issue Transmittal Header Record
3. Standard Issue Record
4. Standard Issue Transmittal Trailer Record
5. TFS 3510: Magnetic Tape Control Record Explanation

7000**CANCELLATIONS, DEPOSITS, AND CLAIMS FOR CHECKS DRAWN ON THE U.S. TREASURY**

7010	Scope and Applicability
7015	Authority
7020	Definition of Terms
7025	Limited Payability Cancellation
7030	Available Check Cancellation Processing
7035	Accounting and Reporting Requirements for Available Check Cancellations
7040	Determining the Status of Checks
7045	Nonreceipt and Nonentitlement Claims Processing
7050	Accounting and Reporting Requirements
7055	Processing Check Forgery Claims
7060	FMS 3864: The Agency Recertification Follow-Up
7065	Miscellaneous Claims
7070	Handwriting Analysis of Checks Older Than 1 Year for Which UCCs Have Not Been Requested Timely
	Contacts

Appendices

1. Stop Reason Codes
2. SF 1081: Voucher and Schedule of Withdrawals and Credits
3. Return Codes
4. SF 1098: Schedule of Canceled or Undelivered Checks
5. Check Status Codes
6. FMS 3858: Claims Document (consisting of FMS 1133 and instructions)
7. Status Codes/Messages Provided to the FPA or NTDO
8. OF 1017-G: Journal Voucher
9. FMS 224: Statement of Transactions
10. Claims Disposition Notice
11. FMS 3864: Agency Recertification Follow-Up
12. Holder-In-Due-Course Cover Letter
13. Affidavit and Indemnity Agreement for Lost U.S. Treasury Check

7100**CHECK RECLAMATIONS**

7110	Scope and Applicability
7115	Authority
7120	Definition of Terms
7125	Check Reclamations
7130	Interest, Penalty Charges, and Administrative Fees
7135	Collection Action
7140	Electronic Transmission of Partial Credits
7145	Abandoned Reclamations
7150	Reporting to the IRS on IRS Form 1099-C: Cancellation of Debt Contacts

Appendices

1. Abandonment Notice to Agencies
2. Agency Receivables for IRS Form 1099-C Reporting
3. Corrected Agency Receivables for IRS Form 1099-C Reporting

8000**DESIGNATED DEPOSITARY CHECKING ACCOUNTS**

8010	Introduction
8020	Checks, Check Issue Records, and Deposit Information
8030	Voided and Spoiled Checks
8040	Check Issue Adjustments by Disbursing Offices
8050	Cancellation of Depositary Checks
8060	Undeliverable Checks Drawn on Designated Depositaries
8070	Claims on Account of Nonreceipt, Loss, Theft, Destruction, Mutilation, or Forgery of Depositary Checks
8080	Periodic Transfer of Proceeds of Uncurrent Checks
8085	Monthly Depositary Bank Statement
8090	Closing of the Bank Accounts
8095	Inquiries

Appendix

Forms Prescribed for Designated Depositary Checking Accounts

9000**FOREIGN EXCHANGE**

9010	Background
9015	Authority
9020	Instructions Contained in Other Treasury Financial Manual Chapters
9025	Definition of Terms
9030	Designated Depositaries
9035	Foreign Exchange Transactions for Official Purposes
9040	Cashing Checks and Other Instruments in Foreign Countries for Accommodation Purposes
9045	Acquisition of Foreign Exchange
9050	Rate of Exchange for Expenditures and Accommodation Exchanges
9055	Collections and Interest on Deposits
9060	Disbursements
9065	Gains and Deficiencies Contacts

10000

DELEGATION OF DISBURSING AUTHORITY

- 10010 Authority
- 10015 Standards for Delegating Disbursing Authority
- 10020 Delegated Disbursing Authority Document
- 10025 Authorities of Treasury's Chief Disbursing Officer
- 10030 Responsibilities and Liabilities of the Agency with
Delegated Disbursing Authority
- 10035 Oversight Requirements
- 10040 Termination of Delegated Disbursing Authority
Contacts