



# Thrift Savings Plan BULLETIN for Agency TSP Representatives

**Subject:** Web-based Thrift Savings Plan Data and Journal Voucher Submission Application

**Date:** September 13, 2006

The Thrift Savings Plan (TSP) is introducing two new services available to agency and uniformed services payroll offices through the TSP Web-based data submission application. The first is the ability to submit journal vouchers via the Web regardless of the payroll office's data submission methodology. The second is the ability for payroll offices to request and retrieve TSP processing reports through the application. Consequently, we have renamed the application as the Thrift Savings Plan Data and Journal Voucher Submission Application.

This bulletin discusses the Web-based application and the certificates that are necessary to use this application. It also introduces the request for payroll office reports and retrieval features of the application.

## **I. Functionality of the Application. The Web-based application allows payroll offices to:**

- A. Submit employee data, contributions, negative adjustments, and loan payments to the TSP via the Web. After entering the information into the Web application and certifying its accuracy, the payroll office electronically submits the information to the TSP via the Web. Upon receiving the appropriate journal voucher (e.g., TSP-2/TSP-U-2), the TSP processes the submission.
- B. Submit journal vouchers (e.g., TSP-2/TSP-U-2) to the TSP using the Web connection. Most payroll offices fax their journal vouchers (or send them with their data cartridges). Now, the journal voucher can be submitted with the data entered

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**Inquiries:** Questions concerning this bulletin should be directed to the Federal Retirement Thrift Investment Board at **202-942-1450**.

Questions concerning the process for obtaining certificates should be directed to the Agency Technical Services Staff at 888-802-0179.

**Chapter:** This bulletin may be filed in Chapter 6, Establishing and Maintaining Accounts.

**Supersedes:** This bulletin supersedes TSP Bulletin 05-4, Web-based Thrift Savings Plan Data Submission Application, dated April 6, 2005.

through the Web-based application or sent separately via the Web if the data is submitted by another electronic transmission method (e.g., Connect Direct, VPN).

- C. Retrieve all TSP processing reports, including the TSP 19401 (Loan Issuances) and the TSP 5501 (Financial Hardship In-Service Withdrawals) through the Web application. See [Attachment 1](#) for an illustration of the screens that provide access to these reports.
- D. Request and receive ad hoc reports (e.g., TSP 5001 — account histories, TSP 5555 — account histories prior to June 1, 2003, TSP 5013 — benefits files, TSP 5015 and TSP 5016 — breakage, TSP 31503 — negative adjustments, and TSP 33011 — lost earnings) through the Web application.

Note: Most reports are available beginning in June 2003. Because the reports are in PDF format, you must have Adobe Reader installed on your computer to view them.

## **II. Reasons for the Enhancements**

- A. Ease and timeliness. Submitting journal vouchers via the Web-based application is more efficient and timely than submitting them on paper. (For these same reasons, the TSP has eliminated the use of the PC program and Forms TSP-5 and TSP-5L as data submission methods.) This is also true for retrieving reports, which some agencies are still receiving through the mail, and requesting reports (which usually entails a telephone call to Agency Technical Services (ATS) and the subsequent mailing of the reports).
- B. Accuracy. Using the Web-based application reduces the possibility of data entry error on the part of payroll office personnel because of the application's online edits. It eliminates the possibility of data entry error by ATS personnel because there is none. The information is submitted directly to the TSP record keeping system to be processed.
- C. Business continuity. Because the application is Web-based, it can be easily moved to our backup data center in the event of a service disruption at our primary center. This move would be transparent to the payroll offices and would ensure continuation of services.
- D. Staff efficiency. As we provide more self-service opportunities to the payroll offices, our ATS personnel can concentrate on advising and assisting the payroll offices to resolve problems and processing issues. This improves our service to you and reduces costs to TSP participants.

## **III. Accessing the Web-based Application**

- A. The application is accessible through the Information for TSP Representatives/ Payroll Information portion of the TSP Web site.

- B. Because it is critical to ensure the security of the data being transmitted via the Web-based application, payroll offices must obtain certificates to use the application. There are three types of certificates.
- (1) The data submission certificate (certificate type Data Entry) allows payroll offices to submit data and to request and receive reports.
  - (2) The journal voucher certificate (certificate type Certify Only) allows the certifying official at the agency or uniformed service (most commonly from the accounting or finance office) to submit the journal vouchers associated with the payroll office data submissions and request and receive reports.
  - (3) The journal voucher certificate (certificate type Certify Entry) allows an individual to submit both the data and the associated Journal Voucher as well as request and receive reports. Because of internal controls, we anticipate that this type of certificate will have very limited use – primarily our extremely small submitting offices.

IMPORTANT: The agencies and services are responsible for controlling the certificates issued to their personnel.

#### **IV. Obtaining the Required Certificates**

- A. To obtain a data submission certificate, the payroll office representative(s) who is authorized by the agency or uniformed service to submit data to the TSP must complete the Thrift Savings Plan Certificate Action Request for Data Entry and submit it along with the required identification to the address on the form. This form is [Attachment 2](#).
- B. To obtain a journal voucher certificate for either Certify Only or Certify Entry, you must use the Thrift Savings Plan Certificate Action Request for JV Certification. You should pay particular attention to the signatory requirements for this form. Identification must also be submitted. This form is [Attachment 3](#).
- C. To retrieve and install the certificate after the request has been approved, the payroll office representative or certifying official should follow the applicable instructions which are on the Web site. The instructions are titled: “Retrieve a TSP/Verisign-Issued User Certificate for Data Entry” and “Retrieve a TSP/Verisign-Issued User Certificate for JV Certification”.

#### **V. Maintaining the Certificate**

- A. Certificates are issued for a period of one year. To renew a certificate, follow the instructions “Renewing a TSP/Verisign Issued User Certificate for Data Entry.” We will add instructions for renewing a Journal Voucher certificate in 2007 as we approach the anniversary of this feature.

- B. To assist in trouble-shooting difficulties that may arise, please contact Agency Technical Services. (Please note the most frequent problems are forgotten passwords, expired certificates, and internal re-image of computer systems.)

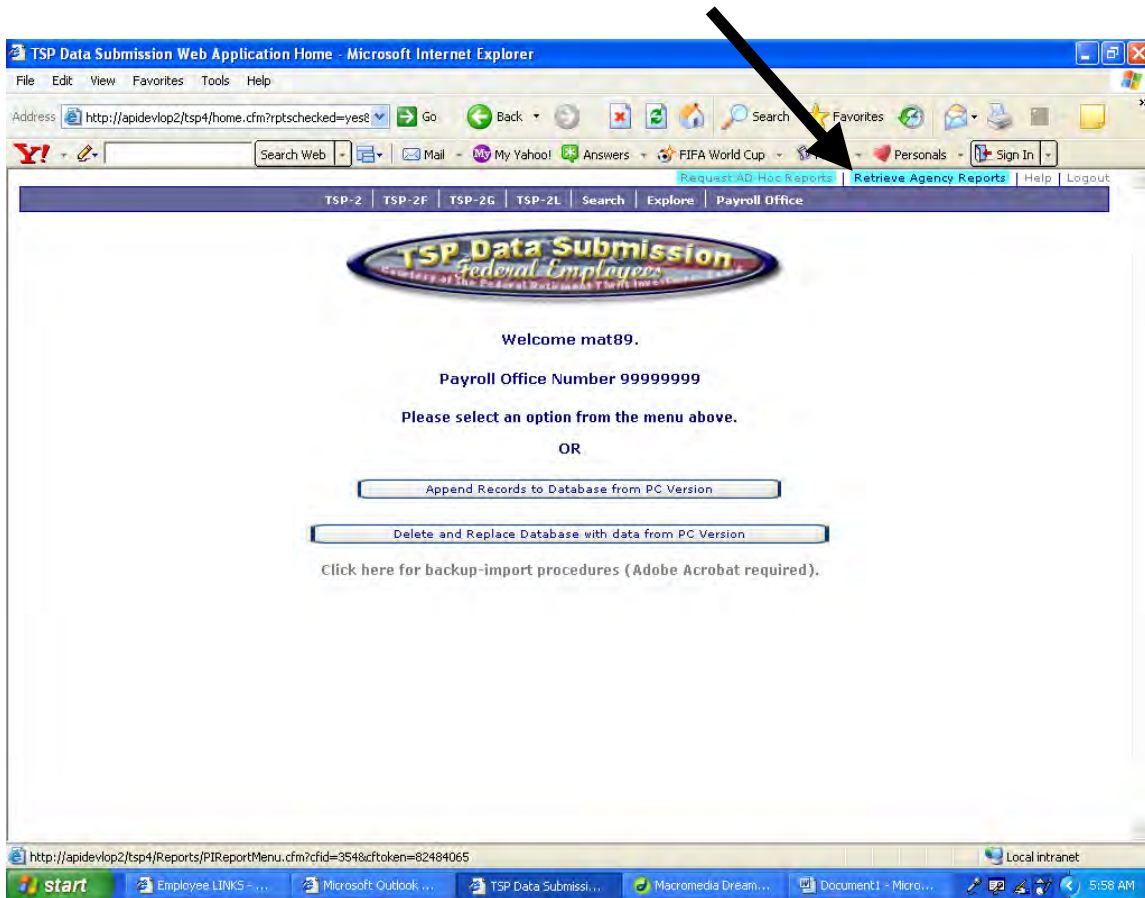
A handwritten signature in black ink that reads "Pamela-Jeanne Moran". The signature is written in a cursive, flowing style.

PAMELA-JEANNE MORAN  
Director  
Office of Participant Services

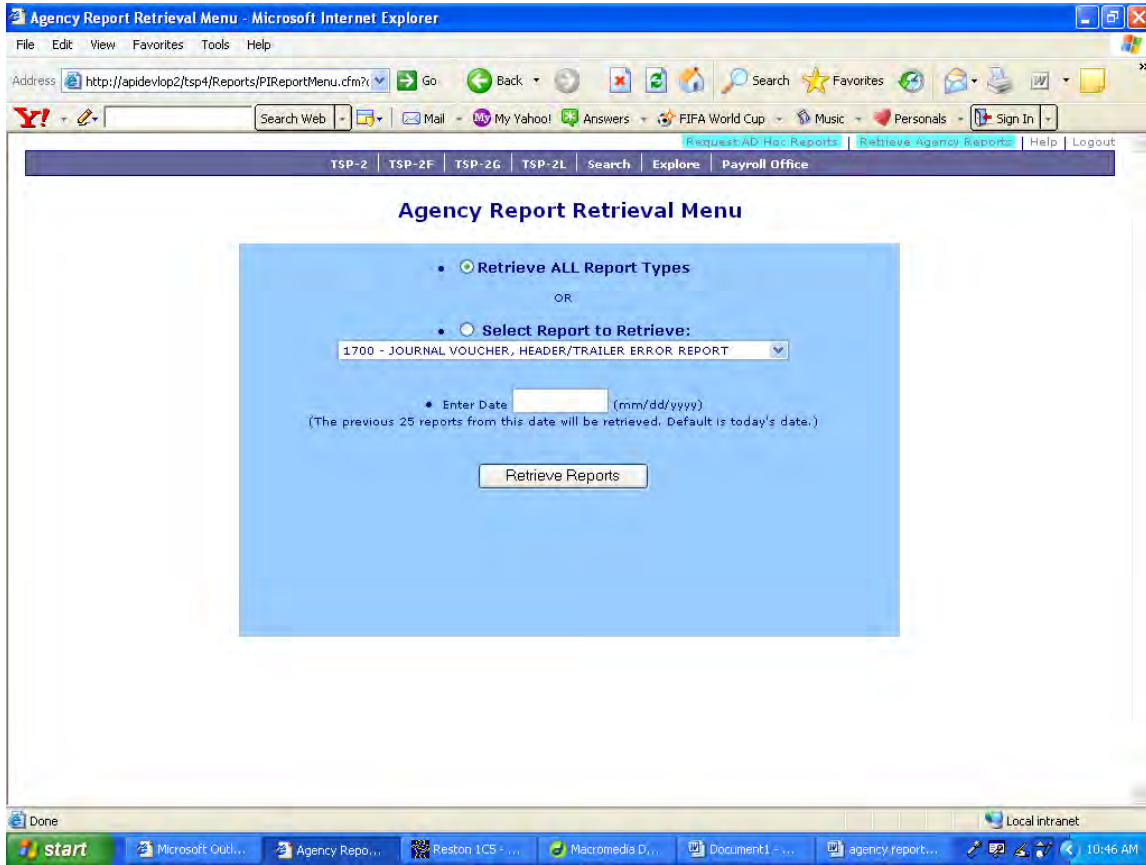
Attachments

## How to Retrieve Agency Reports from the TSP Web-based Data and Journal Voucher Submission Application

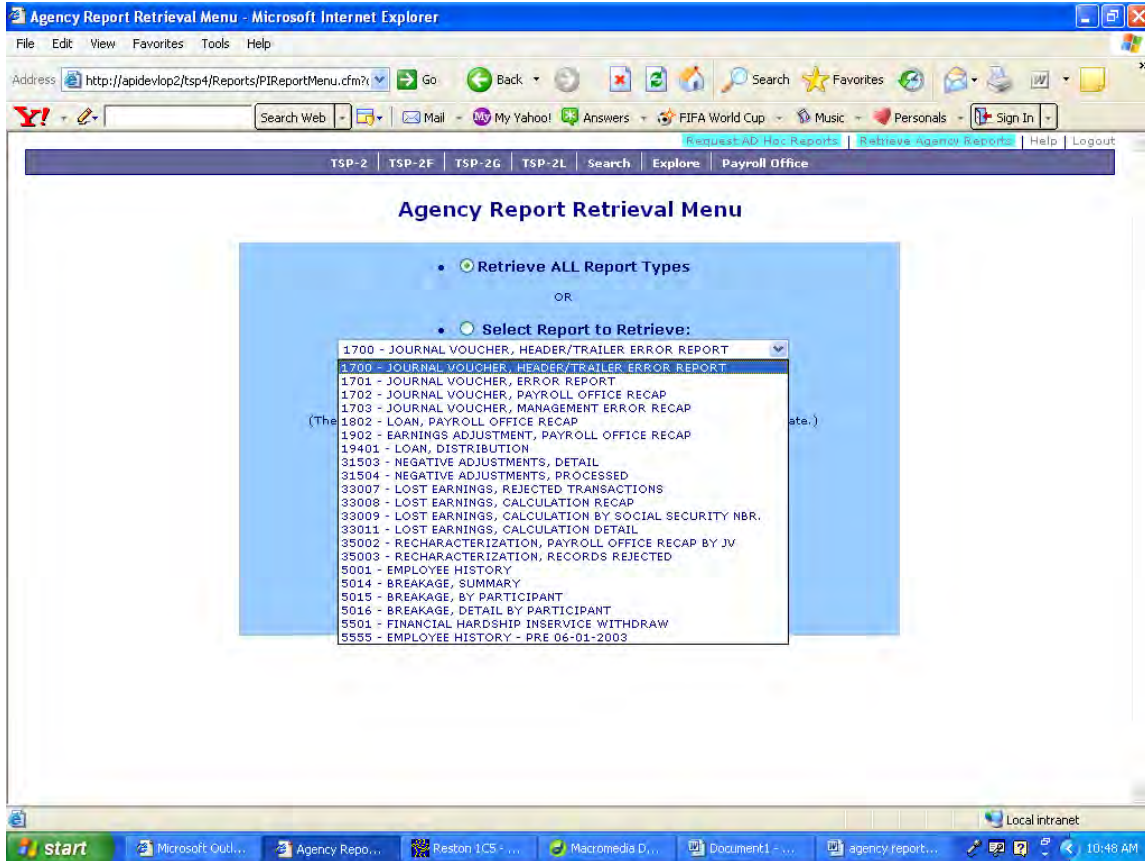
1. Select "Retrieve Agency Reports" in upper right of screen



2. You can enter a report date or it will default to the current date. If you do not select a report, the application will pull all report numbers.



3. If you select a report, it will pull only that report number.



4. The most recent 25 reports will be listed in reverse chronological order, beginning with the date selected. You can click on any report in the list to display it in PDF format. You may also save or print the reports.

The screenshot shows a web browser window with the following elements:

- Browser Title:** Agency Reports - Microsoft Internet Explorer
- Address Bar:** http://apidevlop2/tsp4/Reports/PIGetAgencyReport: Go
- Navigation:** Back, Forward, Home, Stop, Refresh buttons.
- Search:** Search Web, Mail, My Yahoo!, Answers, FIFA World Cup, Music, Personals, Sign In.
- Page Navigation:** TSP-2 | TSP-2F | TSP-2G | TSP-2L | Search | Explore | Payroll Office
- Page Actions:** Request AD Hoc Reports | Retrieve Agency Reports | Help | Logout
- Table:**

Agency Reports for Payroll Office 12050332		
Journal Voucher Run Date	JV Number	Report Description
06/14/2006	060612	1701 JOURNAL VOUCHER, ERROR REPORT
06/14/2006	060612	1702 JOURNAL VOUCHER, PAYROLL OFFICE RECAP
06/14/2006	060612	1703 JOURNAL VOUCHER, MANAGEMENT ERROR RECAP
06/14/2006	06F612	1701 JOURNAL VOUCHER, ERROR REPORT
06/14/2006	06F612	1703 JOURNAL VOUCHER, MANAGEMENT ERROR RECAP
06/14/2006	06F612	1902 EARNINGS ADJUSTMENT, PAYROLL OFFICE RECAP
06/14/2006	G06612	1702 JOURNAL VOUCHER, PAYROLL OFFICE RECAP
06/14/2006	L06612	1802 LOAN, PAYROLL OFFICE RECAP
06/09/2006	060607	1701 JOURNAL VOUCHER, ERROR REPORT
06/09/2006	060607	1702 JOURNAL VOUCHER, PAYROLL OFFICE RECAP
06/09/2006	060607	1703 JOURNAL VOUCHER, MANAGEMENT ERROR RECAP
06/09/2006	060607	5014 BREAKAGE, SUMMARY
06/09/2006	L06607	1701 JOURNAL VOUCHER, ERROR REPORT
06/09/2006	L06607	1703 JOURNAL VOUCHER, MANAGEMENT ERROR RECAP
06/09/2006	L06607	1802 LOAN, PAYROLL OFFICE RECAP
- Buttons:** Back to Report Menu
- Address Bar (Bottom):** http://apidevlop2/tsp4/Reports/PIviewAgencyReports.cfm?jvn=L06607&docpath=http://PIDBSERV/docs/d060609/g690001s.pdf
- Taskbar:** start, Employee LINKS, Microsoft Outlook, Agency Reports, Macromedia Dreamweaver, Document1 - Microsoft Word, 5:59 AM





# THRIFT SAVINGS PLAN CERTIFICATE ACTION REQUEST FOR DATA ENTRY

Use this form to obtain a certificate which will enable you to submit employee data, current payment, late payment, negative adjustment, and loan payment records to the Thrift Savings Plan (TSP) using the TSP's Web-based data submission application. Also use this form to revoke a certificate that had been granted.

Submit the form to the address on the back and attach two clear legible copies of identification containing a picture of the subscriber. One of the picture IDs must have been issued by the Federal government or a state or local government.

## I. SUBSCRIBER — (Requestor) Information

Subscriber Name (First, Middle Initial, Last)		Last Five Digits of Social Security Number	Payroll Office Number
Organization Name		Office Address	
City		State	Zip Code
Telephone Number	Facsimile Number		E-mail Address

## II. ACTION REQUESTED

- New Certificate**
- Revoke Certificate**

Reason for revocation (See instructions)
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## III. SUBSCRIBER STATEMENT AND SIGNATURE

I have read and understand the Subscriber Agreement at <http://www.versign.com/repository/subscriber/SUBAGR.html> and my signature on this document, by hand, is my agreement to abide by it and the policies and rules of the Thrift Savings Plan.

I certify under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

Subscriber Signature	Date
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## IV. HIGHER LEVEL APPROVAL (AGENCY OR SERVICE)

Name of Approving Official	Title	Telephone Number
Signature of Approving Official	Date	E-mail Address

## V. PROOF OF IDENTITY (TO BE COMPLETED BY TSP)

Identification 1	ID Issuer	ID Number	ID Date
Identification 2	ID Issuer	ID Number	ID Date

### IDENTIFICATION VERIFICATION BY TSP

Name and Title	Signature	Date
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## INSTRUCTIONS FOR COMPLETING TSP CERTIFICATE ACTION REQUEST FOR DATA ENTRY

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Submit completed form and the identification described in Part V to:

Thrift Savings Plan, ATS  
USPS, Fairfax Main  
P.O. Box 4570  
Fairfax, VA 22030-9998

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### I. SUBSCRIBER INFORMATION

**Subscriber (Requestor) Name** — Enter first name, middle initial, and last name of the subscriber (up to 150 characters).

**Last Five Digits of the SSN** — Enter last five digits of the Social Security number of the subscriber.

**Payroll Office Number** — Enter eight-digit payroll office number of the subscriber.

**Organization Name** — Enter name of the employing organization of the subscriber.

**Office Address** — Enter street address and any necessary organizational components (up to 100 characters).

**City** — Enter the city (up to 40 characters).

**State** — Enter 2-character state code.

**Zip Code** — Enter Zip code (5-9 characters).

**Office Telephone Number** — Enter the commercial telephone number of the subscriber (including the area code).

**Office Facsimile** — Enter the commercial facsimile number of the subscriber.

**Office E-mail Address** — Enter the e-mail address of the subscriber.

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### II. ACTION REQUESTED

Check box to indicate whether the request is for a new certificate or to revoke a certificate.

If the request is to revoke a certificate, also indicate the reason for the revocation.

Typical reasons for requesting revocation are:

1. You no longer wish to have a certificate.
2. You have changed your legal name.
3. You have forgotten the password to your certificate.
4. Your certificate is no longer accessible on your computer.
5. You have lost control of your certificate, i.e., someone else may have access to it. This is a key compromise and you **must** provide the last date on which you alone controlled the use of the certificate.
6. Your role within your organization has changed and you no longer need a certificate.
7. A new certificate has been issued to you.

Once your certificate is revoked, you will no longer be able to submit information via the TSP Web site.

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### III. SIGNATURE

The subscriber must sign and date this form after reading the subscriber statement.

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### IV. HIGHER LEVEL APPROVAL

The Agency or Service official approving this request must sign and date this form. Also include the printed or typed name and title of the official and provide the telephone number and e-mail address of the official.

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### V. PROOF OF IDENTITY

Two forms of picture ID are required to identify the subscriber. One of these must have been issued by the Federal government or a state or local government. Attach legible copies of these picture IDs to this form.



# THRIFT SAVINGS PLAN CERTIFICATE ACTION REQUEST FOR JV CERTIFICATION

Use this form to obtain a certificate which will enable you to certify and submit journal vouchers to the Thrift Savings Plan (TSP) using the TSP's Web-based data submission application. Also use this form to revoke a certificate that had been granted.

Submit the form to the address on the back and attach two clear, legible copies of identification containing a picture of the subscriber. One of the picture IDs must have been issued by the Federal Government or a state or local government.

## I. SUBSCRIBER — (Requestor) Information

Subscriber's Name (First, Middle Initial, Last)		Last Five Digits of Social Security Number	Payroll Office Number
Organization Name		Office Address	
City		State	Zip Code
Telephone Number (Commercial)	Facsimile Number		E-mail Address

## II. ACTION REQUESTED

- New Certificate – JV certification only**
- New Certificate – JV certification and data submission**
- Revoke Certificate**

Reason for revocation (See instructions)
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## III. SUBSCRIBER'S STATEMENT AND SIGNATURE

I have read and understand the Subscriber Agreement at <http://www.versign.com/repository/subscriber/SUBAGR.html> and my signature on this document, by hand, is my agreement to abide by it and the policies and rules of the Thrift Savings Plan.

I certify under penalty of perjury under the laws of the United States of America that the foregoing is true and correct.

Subscriber's Signature	Date
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## IV. HIGHER LEVEL APPROVAL (AGENCY OR SERVICE)

I certify that the information, statements, and representations provided by me on this form are true and accurate to the best of my knowledge. I affirm that I have the authority, as a Nominating Official, to approve Journal Voucher Certification or, as a Requestor, to request the issuance and revocation of the Certificate. I understand that a willfully false certification is a criminal offense and is punishable by law (18 U.S.C. 1001). See the instructions for disfunction.

Name of Approving Official	Title	Telephone Number (Commercial)
Signature of Approving Official	Date	E-mail Address

## V. PROOF OF IDENTITY (TO BE COMPLETED BY TSP)

Identification 1	ID Issuer	ID Number	ID Date
Identification 2	ID Issuer	ID Number	ID Date

### IDENTIFICATION VERIFICATION BY TSP

Name and Title	Signature	Date
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### I. SUBSCRIBER INFORMATION

**Subscriber (Requestor) Name** — Enter first name, middle initial, and last name of the subscriber (up to 150 characters).

**Last Five Digits of the SSN** — Enter last five digits of the Social Security number of the subscriber.

**Payroll Office Number** — Enter eight-digit payroll office number of the subscriber.

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**Office Address** — Enter street address and any necessary organizational components (up to 100 characters).

**City** — Enter the city (up to 40 characters).

**State** — Enter 2-character state code.

**Zip Code** — Enter Zip code (5-9 characters).

**Office Telephone Number** — Enter the commercial telephone number of the subscriber (including the area code).

**Office Facsimile** — Enter the commercial facsimile number of the subscriber.

**Office E-mail Address** — Enter the e-mail address of the subscriber.

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### II. ACTION REQUESTED

Check appropriate box.

- If you are requesting authority only to submit journal vouchers, check the box "New Certificate - JV certification only."
- If you are also responsible for submitting data records, check the box "New Certificate - JV certification and data submission."
- If the request is to revoke a certificate, check the box "Revoke Certificate" and indicate the reason for the revocation.

Typical reasons for requesting revocation are:

1. You no longer wish to have a certificate.
2. You have changed your legal name.
3. You have forgotten the password to your certificate.
4. Your certificate is no longer accessible on your computer.
5. You have lost control of your certificate, i.e., someone else may have access to it. This is a key compromise and you **must** provide the last date on which you alone controlled the use of the certificate.
6. Your role within your organization has changed and you no longer need a certificate.
7. A new certificate has been issued to you.

Once your certificate is revoked, you will no longer be able to submit information via the TSP Web site.

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### III. SIGNATURE

The subscriber must sign and date this form after reading the subscriber statement.

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### IV. HIGHER LEVEL APPROVAL

The Agency or Service official approving this request must be at the same level as an assistant secretary, head of a major agency or service component, or equivalent to a Fiscal Sponsoring Authority for Treasury Fiscal Services PKI business systems.

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### V. PROOF OF IDENTITY

Two forms of picture ID are required to identify the subscriber. One of these must have been issued by the Federal Government or a state or local government. Attach legible copies of these picture IDs to this form.