Transmittal Letter No. 640

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 depositaries are prescribed in TFM Volume I, Part 4, Chapter 8000.

2. Page Changes

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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

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 depositaries 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:

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 Forger 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).


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.

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 depositaries 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.


**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 depositary 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.

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**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;
- 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 disbursement 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.

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.

7045.20b—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.

7045.20c—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.

7050.10—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. 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 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 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 to FMS. The Funds Management System (FMS) forwards an FMS 3858 to the FPA/NTDO. The FPA/NTDO must record the amount in its internal accounting records as an increase or decrease to its F3880 account. 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.

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. The Accounts Branch verifies the information and enters the adjustment to the FPA’s/NTDO’s F3880 account.

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. Under no circumstances should an FPA/NTDO credit or charge any FPA account to effect an adjustment.

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 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. If 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

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;
- 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.)

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### 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).

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<tr>
<th>Payment Type</th>
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<tr>
<td>Department of Veterans Affairs, Internal Revenue Service, U.S. Department of</td>
<td>Financial Management Service</td>
</tr>
<tr>
<td>Justice, National Aeronautics and Space Administration, Federal Emergency</td>
<td>Austin Financial Center</td>
</tr>
<tr>
<td>Management Agency, General Services Administration, U.S. Customs, and U.S.</td>
<td>P.O. Box 149058</td>
</tr>
<tr>
<td>Department of Transportation check issues</td>
<td>Austin, TX 78714-9058</td>
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<td>Supplemental Security Income (SSI), SSA Retirement, U.S. Department of</td>
<td>Financial Management Service</td>
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<td>Agriculture - NFC Salary and Thrift Savings Plan, U.S. Department of Energy,</td>
<td>Kansas City Financial Center</td>
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<tr>
<td>U.S. Department of Interior (DOI) and DOI Firefighters, Federal Aviation</td>
<td>P.O. Box 12599-0599</td>
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<tr>
<td>Administration, U.S. Coast Guard, U.S. Department of State, Agency for</td>
<td>Kansas City, MO 64116-0599</td>
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<tr>
<td>International Development, Department of Health and Human Services - Centers</td>
<td>Telephone No.: 816-414-2100</td>
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<tr>
<td>for Disease Control and Prevention, Corporation for National and Community</td>
<td>Check Symbols: 3084 thru 3092, 3109, 4014 thru 4024</td>
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<td>SSA Disability, Retirement and Cycled Payments; Railroad Retirement Board;</td>
<td>Financial Management Service</td>
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<td>U.S. Department of Labor; U.S. Department of Housing and Urban Development;</td>
<td>Philadelphia Financial Center</td>
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<tr>
<td>U.S. Department of Education; and U.S. Customs check issues; FMS - settlement</td>
<td>P.O. Box 51317</td>
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<tr>
<td>Agency check issues</td>
<td>Philadelphia, PA 19115-6317</td>
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<tr>
<td></td>
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<td>transfers, U.S. Department of Health and Human Services</td>
<td>San Francisco Financial Center</td>
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<td>P.O. Box 24700</td>
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<td></td>
<td>Oakland, CA 94623-1700</td>
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<tr>
<td></td>
<td>Telephone No.: 510-594-7300</td>
</tr>
<tr>
<td></td>
<td>Check Symbols: 3145 thru 3149, 3151, 3156</td>
</tr>
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<td></td>
<td>EFT Symbol: 312</td>
</tr>
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</table>

### Birmingham Debt Management Operations Center

Debt offsets and residual checks issued on partial offsets for debt owed to the Federal Government

<table>
<thead>
<tr>
<th>Financial Management Service</th>
<th>Birmingham Debt Management Operations Center</th>
</tr>
</thead>
<tbody>
<tr>
<td>Birmingham Debt Management Operations Center</td>
<td>P.O. Box 1686</td>
</tr>
<tr>
<td>Birmingham, AL 35201-1686</td>
<td>Telephone No.: 205-912-6181</td>
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<tr>
<td>Check Symbol: 4500</td>
<td>EFT Symbol: 449</td>
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## APPENDICES LISTING

<table>
<thead>
<tr>
<th>Appendix No.</th>
<th>Title</th>
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<tbody>
<tr>
<td>1</td>
<td>Stop Reason Codes</td>
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<tr>
<td>2</td>
<td>SF 1081: Voucher and Schedule of Withdrawals and Credits</td>
</tr>
<tr>
<td>3</td>
<td>Return Codes</td>
</tr>
<tr>
<td>4</td>
<td>SF 1098: Schedule of Canceled or Undelivered Checks</td>
</tr>
<tr>
<td>5</td>
<td>Check Status Codes</td>
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<tr>
<td>6</td>
<td>FMS 3858: Claims Document (consisting of FMS 1133 and instructions)</td>
</tr>
<tr>
<td>7</td>
<td>Status Codes/Messages Provided to the FPA or NTDO</td>
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<td>8</td>
<td>OF 1017-G: Journal Voucher</td>
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<tr>
<td>9</td>
<td>FMS 224: Statement of Transactions</td>
</tr>
<tr>
<td>10</td>
<td>Claims Disposition Notice</td>
</tr>
<tr>
<td>11</td>
<td>FMS 3864: Agency Recertification Follow-Up</td>
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<tr>
<td>12</td>
<td>Holder-In-Due-Course Cover Letter</td>
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<tr>
<td>13</td>
<td>Affidavit and Indemnity Agreement for Lost U.S. Treasury Check</td>
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## STOP REASON CODES

<table>
<thead>
<tr>
<th>Code Type</th>
<th>Description</th>
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<tbody>
<tr>
<td>A</td>
<td>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.</td>
</tr>
<tr>
<td>B</td>
<td>RESERVED FOR SSA, SSI, VA, RRB, AND OPM</td>
</tr>
<tr>
<td>C</td>
<td>RESERVED FOR SSA, SSI, VA, RRB, AND OPM</td>
</tr>
<tr>
<td>D</td>
<td>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.</td>
</tr>
<tr>
<td>E</td>
<td>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.</td>
</tr>
<tr>
<td>F</td>
<td>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.</td>
</tr>
<tr>
<td>G</td>
<td>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.</td>
</tr>
<tr>
<td>K</td>
<td>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.</td>
</tr>
<tr>
<td>L</td>
<td>Certified photocopy—A photocopy of the check that will satisfy legal requirements.</td>
</tr>
<tr>
<td>M</td>
<td>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.</td>
</tr>
<tr>
<td>V</td>
<td>RESERVED FOR FMS USE ONLY</td>
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</table>
# Voucher and Schedule of Withdrawals and Credits

### Change and Credit Will Be Reported On

Customer Agency Statement of Transactions For Accounting Period Ending

<table>
<thead>
<tr>
<th>CUSTOMER AGENCY</th>
<th>BILLING AGENCY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency Location Code (ALC)</td>
<td>Customer Agency Voucher No.</td>
</tr>
<tr>
<td>Agency Location Code (ALC)</td>
<td>Billing Agency Voucher No.</td>
</tr>
</tbody>
</table>

### Department

<table>
<thead>
<tr>
<th>DEPARTMENT</th>
<th>EUREAU</th>
<th>ADDRESS</th>
</tr>
</thead>
<tbody>
<tr>
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### Summary

<table>
<thead>
<tr>
<th>Appropriation, Fund, or Receipt Symbol</th>
<th>Amount</th>
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</thead>
<tbody>
<tr>
<td>(MUST AGREE WITH BILLING AGENCY TOTAL)</td>
<td>TOTAL</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Appropriation, Fund, or Receipt Symbol</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>(MUST AGREE WITH CUSTOMER AGENCY TOTAL)</td>
<td>TOTAL</td>
</tr>
</tbody>
</table>

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)  

(Author and administrative or certifying officer)  

(Phone No.)  

Original – Forward To Customer For Payment

1081-108

T/L 640  

August 2007
## RETURN CODES

<table>
<thead>
<tr>
<th>Return Code</th>
<th>Agency</th>
<th>Description</th>
</tr>
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<td>CG</td>
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<tr>
<td>08</td>
<td>CG</td>
<td>AGENCY HOLD/AGENCY REQ</td>
</tr>
<tr>
<td>10</td>
<td>CG</td>
<td>MISCELLANEOUS/OTHER</td>
</tr>
<tr>
<td>11</td>
<td>CG</td>
<td>CHECKS WITH CORRESP</td>
</tr>
<tr>
<td>AD</td>
<td>DIB</td>
<td>ADDRESS</td>
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<tr>
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<td>CHECK INTERCEPT</td>
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<tr>
<td>CP</td>
<td>DIB</td>
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</tr>
<tr>
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<tr>
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<td>OTHER</td>
</tr>
<tr>
<td>7</td>
<td>VA</td>
<td>B7 HOLDS</td>
</tr>
<tr>
<td>9</td>
<td>VA</td>
<td>REPLACEMENT CHECK RETURN</td>
</tr>
<tr>
<td>DATE OF ISSUE</td>
<td>CHECK NUMBER</td>
<td>PAYEE</td>
</tr>
<tr>
<td>---------------</td>
<td>--------------</td>
<td>-------</td>
</tr>
</tbody>
</table>

**TOTAL**

The amount of the above check(s) was deposited for credit in the account of the U.S. Treasury, on deposit ticket no.

DISBURSING OR ACCOUNTABLE

DATE OF DEPOSIT TICKET | FORWARD (Date) | BY (Name) | DATE | TITLE |

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).

<table>
<thead>
<tr>
<th>Code Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>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.</td>
</tr>
<tr>
<td>C</td>
<td>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.</td>
</tr>
<tr>
<td>D</td>
<td>Declined: A check presented for payment to the Treasury bearing an altered amount has been returned (payment) declined to the Federal Reserve Bank.</td>
</tr>
<tr>
<td>F</td>
<td>Check Payment: There is a payment in TCIS for this check however, the payment information is archived. Contact CCB to restore payment information.</td>
</tr>
<tr>
<td>I</td>
<td>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.</td>
</tr>
<tr>
<td>L</td>
<td>Limited Payability: The check was not cashed in the 1 year timeframe (Public Law 100-86). The Treasury has returned funds to the FPA.</td>
</tr>
<tr>
<td>N</td>
<td>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.</td>
</tr>
<tr>
<td>O</td>
<td>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.</td>
</tr>
<tr>
<td>P</td>
<td>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.</td>
</tr>
<tr>
<td>R</td>
<td>Reconciled Issue/Payment: A check issue item and a check payment item have been matched and reconciled in Treasury’s TCIS System.</td>
</tr>
<tr>
<td>U</td>
<td>UCC Cancellation: A nonreceipt was recorded on a check issue item and credit returned to the FPA because the check had not been cashed.</td>
</tr>
<tr>
<td>Z</td>
<td>Zero Issue: No funds available. A check issue item has been voided by the Disbursing Officer.</td>
</tr>
</tbody>
</table>
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).

STOP REASON: □ PAYMENT RECERTIFIED

STATUS:

<table>
<thead>
<tr>
<th>SYMBOL</th>
<th>SERIAL NO.</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHECK DATE</td>
<td>CHECK AMOUNT</td>
</tr>
<tr>
<td>PAYEE ID NO.</td>
<td>AGENCY</td>
</tr>
</tbody>
</table>

LOCATOR NUMBER(S):
1. 
2. 
3. 
4. 
5. 

DECEDENT

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

DEPARTMENT OF THE TREASURY FINANCIAL MANAGEMENT SERVICE

EDITION OF 7-85 IS OBSOLETE

PAGE 1

4-7000
PAYEE INSTRUCTIONS

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

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

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, or 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
Payee's Signature

HERE
2nd Payee's Signature (if check drawn to two payees)

Your assigned I.D.
No. (SSA, VA, IRS, etc.)

2nd Payee'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

FMS FORM 4-94 1133
Edition of 7-89 is OBSOLETE

PAGE 3

4-7000

T/L 640

3

August 2007
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 ________  
☐ Yes ☐ 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?

Address ________________________ Apt. _______  
______________________________ Zip ________

15. Clearly print your current mailing address.

Name

Address

Telephone No. (   )

I certify that all the above questions have been answered truthfully to the best of my knowledge.

SIGN HERE

Payee’s Signature

2nd Payee’s Signature (if check drawn to two payees)

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

1. ________________________________  

2. ________________________________  

3. ________________________________  

2nd Payee’s Signature

1. ________________________________  

2. ________________________________  

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

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

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.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>6A</td>
<td>Rejected - invalid check date field</td>
</tr>
<tr>
<td>6B</td>
<td>Rejected - invalid date of death field</td>
</tr>
<tr>
<td>7A</td>
<td>Rejected - no record check symbol/serial no.</td>
</tr>
<tr>
<td>8A</td>
<td>Rejected - check canceled/FPA credited</td>
</tr>
<tr>
<td>8B</td>
<td>Rejected - void check-DO never issued check</td>
</tr>
<tr>
<td>9A</td>
<td>Rejected - amount not equal to issue amount</td>
</tr>
</tbody>
</table>
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 - certified photocopy to follow
15. Paid - status
16. Paid - endorsement may prohibit claims actions; photocopy and claim to follow
17. Paid - statute of limitations expired; no photocopy available
18. (Reserved)
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.
Optional Form 1017-G (9-79)
Title 7, GAO Manual
901017-810

### JOURNAL VOUCHER

<table>
<thead>
<tr>
<th>REFERENCE</th>
<th>EXPLANATION</th>
<th>DEBIT</th>
<th>CREDIT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
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</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

J. V. No. ______________________________________
Date __________________________________________

Prepared by ________________________________
(Signature) ________________________________
(Title) ________________________________

Approved by ________________________________
(Signature) ________________________________
(Title) ________________________________

Total,
### STATEMENT OF TRANSACTIONS
(Classified According to Appropriation, Fund and Receipt Account; and Related Control Totals)

<table>
<thead>
<tr>
<th>DEPARTMENT OR AGENCY</th>
<th>LOCATION - MAIL ADDRESS OF REPORTING OFFICE</th>
<th>AGENCY LOCATION CODE (ALC)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Section I - Classification of Disbursements and Collections by Appropriation, Fund and Receipt Account

<table>
<thead>
<tr>
<th>APPROPRIATION, FUND OR RECEIPT ACCOUNT</th>
<th>RECEIPTS AND COLLECTIONS CREDITED TO APPROPRIATION OR FUND ACCOUNTS</th>
<th>GROSS DISBURSEMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### 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:

<table>
<thead>
<tr>
<th>THIS MONTH</th>
<th>PRIOR MONTH OF</th>
</tr>
</thead>
<tbody>
<tr>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

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:

<table>
<thead>
<tr>
<th>THIS MONTH</th>
<th>PRIOR MONTH OF</th>
</tr>
</thead>
<tbody>
<tr>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

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
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
PART A: STOP REQUEST INFORMATION (type)

<table>
<thead>
<tr>
<th>CHECK SYMBOL NO.</th>
<th>CHECK SERIAL NO.</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHECK DATE</td>
<td>CHECK AMOUNT</td>
</tr>
<tr>
<td>STOP REASON CODE</td>
<td>DAS DATE</td>
</tr>
<tr>
<td>STATUS CODE</td>
<td></td>
</tr>
<tr>
<td>PAYEE NAME</td>
<td></td>
</tr>
<tr>
<td>AGENCY PAYEE ID NO.</td>
<td></td>
</tr>
<tr>
<td>AGENCY LOCATION CODE (ALC)</td>
<td></td>
</tr>
<tr>
<td>AGENCY REFERENCE NO.</td>
<td></td>
</tr>
</tbody>
</table>

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.
   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.
   _________: Claims Disposition Notice not received.
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 ______________________.
   _________.
10. ☐ No response to previous Follow-up, copy attached.
11. OTHER:

PART C: RESPONSE TO AGENCY

1. ☐ Stop entered on _________; status code is _______________________.
2. ☐ EXCEPTION status is _______________________.
3. ☐ Requested information: a. ☐ was sent on _______________________. 
   b. ☐ is attached.
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 _______________________.
   _______________________.
   _________: _________.
7. ☐ Follow-up submitted too soon.
8. ☐ Receipt of Agency Follow-up acknowledged; response will follow.
9. ☐ OTHER:

DIRECTOR, FINANCIAL PROCESSING DIVISION
(Headquarters Operations)
By: _______________________.
Date: _______________________.

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

AGENCY MAILING ADDRESS

FMS FORM 3864—AGENCY RECERTIFICATION FOLLOW-UP
FORMERLY TFS 3864-11-86 IS OBSOLETE

ORIGINAL – Forward to Check Claims Branch

T/L 640  1
August 2007
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.


   - 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.


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

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